**3GPP TSG-RAN WG2 #110-e *R2-200xxxx***

**Online meeting, 1st – 12th June 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.331** | **CR** | **1644** | **rev** | **1** | **Current version:** | **16.0.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Clarification on release and addition of the uplink for SCell | | | | | | | | | |
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| ***Source to WG:*** | Huawei, HiSilicon | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
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| ***Work item code:*** | NR\_newRAT-Core | | | | |  | ***Date:*** | | | 2020-06-01 |
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| ***Category:*** | **A** |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed e?planations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
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| ***Reason for change:*** | | An SCell may or may not be configured with uplionk in CA scenario. In LTE, it has been clarified in TS 36.331 that addition or release of uplink for a SCell can only be done by releasing/adding a SCell. However, in TS 38.331, it is not clear how to add or release the uplink of an SCell. To avoid potential inter-operation problem, it is beneficial to clarify that addition/release of the uplink of an SCell can only be done by releasing/adding the SCell. | | | | | | | | |
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| ***Summary of change:*** | | Clarify that the network can add or release the uplink of an SCell by releasing and adding the concerned SCell.  **Impact analysis:**  Impacted 5G architectures:  NR SA, (NG)EN-DC, NE-DC, NR-DC  Impacted functionality:  SCell reconfiguration  Inter-operability:  1. If the network is implemented according to the CR and the UE is not, there is no inter-operability problem, since the network will add or release the uplink of an SCell by releasing and adding the concerned SCell, and the UE can support this operation.  2. If the UE is implemented according to the CR and the network is not, there is a potential inter-operability problem, since the network may directly add an uplink to a SCell which was not configured with uplink, and the UE may not support this operation. | | | | | | | | |
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| ***Consequences if not approved:*** | | The network may directly add an uplink to a SCell which was not configured with uplink, and the UE may not support this operation, and this would cause RRC reconfiguration failure. | | | | | | | | |
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| ***Clauses affected:*** | | 6.3.2 | | | | | | | | |
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|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
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| ***Other comments:*** | |  | | | | | | | | |
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| ***This CR's revision history:*** | |  | | | | | | | | |

**<Start of modified section 1>**

– *ServingCellConfig*

The IE *ServingCellConfig* is used to configure (add or modify) the UE with a serving cell, which may be the SpCell or an SCell of an MCG or SCG. The parameters herein are mostly UE specific but partly also cell specific (e.g. in additionally configured bandwidth parts). Reconfiguration between a PUCCH and PUCCHless SCell is only supported using an SCell release and add.

***ServingCellConfig* information element**

-- ASN1START

-- TAG-SERVINGCELLCONFIG-START

ServingCellConfig ::= SEQUENCE {

tdd-UL-DL-ConfigurationDedicated TDD-UL-DL-ConfigDedicated OPTIONAL, -- Cond TDD

initialDownlinkBWP BWP-DownlinkDedicated OPTIONAL, -- Need M

downlinkBWP-ToReleaseList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Id OPTIONAL, -- Need N

downlinkBWP-ToAddModList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Downlink OPTIONAL, -- Need N

firstActiveDownlinkBWP-Id BWP-Id OPTIONAL, -- Cond SyncAndCellAdd

bwp-InactivityTimer ENUMERATED {ms2, ms3, ms4, ms5, ms6, ms8, ms10, ms20, ms30,

ms40,ms50, ms60, ms80,ms100, ms200,ms300, ms500,

ms750, ms1280, ms1920, ms2560, spare10, spare9, spare8,

spare7, spare6, spare5, spare4, spare3, spare2, spare1 } OPTIONAL, --Need R

defaultDownlinkBWP-Id BWP-Id OPTIONAL, -- Need S

uplinkConfig UplinkConfig OPTIONAL, -- Need M

supplementaryUplink UplinkConfig OPTIONAL, -- Need M

pdcch-ServingCellConfig SetupRelease { PDCCH-ServingCellConfig } OPTIONAL, -- Need M

pdsch-ServingCellConfig SetupRelease { PDSCH-ServingCellConfig } OPTIONAL, -- Need M

csi-MeasConfig SetupRelease { CSI-MeasConfig } OPTIONAL, -- Need M

sCellDeactivationTimer ENUMERATED {ms20, ms40, ms80, ms160, ms200, ms240,

ms320, ms400, ms480, ms520, ms640, ms720,

ms840, ms1280, spare2,spare1} OPTIONAL, -- Cond ServingCellWithoutPUCCH

crossCarrierSchedulingConfig CrossCarrierSchedulingConfig OPTIONAL, -- Need M

tag-Id TAG-Id,

dummy ENUMERATED {enabled} OPTIONAL, -- Need R

pathlossReferenceLinking ENUMERATED {spCell, sCell} OPTIONAL, -- Cond SCellOnly

servingCellMO MeasObjectId OPTIONAL, -- Cond MeasObject

...,

[[

lte-CRS-ToMatchAround SetupRelease { RateMatchPatternLTE-CRS } OPTIONAL, -- Need M

rateMatchPatternToAddModList SEQUENCE (SIZE (1..maxNrofRateMatchPatterns)) OF RateMatchPattern OPTIONAL, -- Need N

rateMatchPatternToReleaseList SEQUENCE (SIZE (1..maxNrofRateMatchPatterns)) OF RateMatchPatternId OPTIONAL, -- Need N

downlinkChannelBW-PerSCS-List SEQUENCE (SIZE (1..maxSCSs)) OF SCS-SpecificCarrier OPTIONAL -- Need S

]],

[[

supplementaryUplinkRelease ENUMERATED {true} OPTIONAL, -- Need N

tdd-UL-DL-ConfigurationDedicated-iab-mt-v16xy TDD-UL-DL-ConfigDedicated-IAB-MT-v16xy OPTIONAL, -- Need FFS

firstWithinActiveTimeBWP-Id-r16 BWP-Id OPTIONAL, -- Cond MultipleNonDormantBWP

firstOutsideActiveTimeBWP-Id-r16 BWP-Id OPTIONAL, -- Cond MultipleNonDormantBWP-WUS

ca-SlotOffset-r16 CHOICE {

refSCS15kHz INTEGER (-2..2),

refSCS30KHz INTEGER (-5..5),

refSCS60KHz INTEGER (-10..10),

refSCS120KHz INTEGER (-20..20)

} OPTIONAL, -- Cond AsyncCA

channelAccessConfig-r16 ChannelAccessConfig-r16 OPTIONAL -- Need M

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}

UplinkConfig ::= SEQUENCE {

initialUplinkBWP BWP-UplinkDedicated OPTIONAL, -- Need M

uplinkBWP-ToReleaseList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Id OPTIONAL, -- Need N

uplinkBWP-ToAddModList SEQUENCE (SIZE (1..maxNrofBWPs)) OF BWP-Uplink OPTIONAL, -- Need N

firstActiveUplinkBWP-Id BWP-Id OPTIONAL, -- Cond SyncAndCellAdd

pusch-ServingCellConfig SetupRelease { PUSCH-ServingCellConfig } OPTIONAL, -- Need M

carrierSwitching SetupRelease { SRS-CarrierSwitching } OPTIONAL, -- Need M

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powerBoostPi2BPSK BOOLEAN OPTIONAL, -- Need M

uplinkChannelBW-PerSCS-List SEQUENCE (SIZE (1..maxSCSs)) OF SCS-SpecificCarrier OPTIONAL -- Need S

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[[

bdFactorR-r16 ENUMERATED {n1} OPTIONAL, -- Need R

lte-CRS-PatternList-r16 SetupRelease { LTE-CRS-PatternList-r16 } OPTIONAL, -- Cond LTE-CRS

lte-CRS-PatternListSecond-r16 SetupRelease { LTE-CRS-PatternList-r16 } OPTIONAL, -- Cond CORESETPool

enablePLRS-UpdateForPUSCH-SRS ENUMERATED {enabled} OPTIONAL, -- Need R

enableDefaultBeamPL-ForPUSCH0 ENUMERATED {enabled} OPTIONAL, -- Need R

enableDefaultBeamPL-ForPUCCH ENUMERATED {enabled} OPTIONAL, -- Need R

enableDefaultBeamPL-ForSRS ENUMERATED {enabled} OPTIONAL -- Need R

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}

ChannelAccessConfig-r16 ::= SEQUENCE {

maxEnergyDetectionThreshold-r16 INTEGER(-85..-52),

energyDetectionThresholdOffset-r16 INTEGER (-20..-13),

ul-toDL-COT-SharingED-Threshold-r16 INTEGER (-85..-52) OPTIONAL, -- Need R

absenceOfAnyOtherTechnology-r16 ENUMERATED {true} OPTIONAL -- Need R

}

-- TAG-SERVINGCELLCONFIG-STOP

-- ASN1STOP

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| ***ServingCellConfig* field descriptions** |
| ***absenceOfAnyOtherTechnology***  Presence of this field indicates absence on a long term basis (e.g. by level of regulation) of any other technology sharing the carrier; absence of this field indicates the potential presence of any other technology sharing the carrier, as specified in TS 37.213 [48} clause Y. |
| ***bdFactorR***  Parameter for determining and distributing the maximum numbers of BD/CCE for mPDCCH based mPDSCH transmission as specified in TS 38.213 [13] Clause 10.1. |
| ***bwp-InactivityTimer***  The duration in ms after which the UE falls back to the default Bandwidth Part (see TS 38.321 [3], clause 5.15). When the network releases the timer configuration, the UE stops the timer without switching to the default BWP. |
| ***ca-SlotOffset***  Slot offset between the primary cell (PCell/PSCell) and the SCell in unaligned frame boundary with slot alignment and partial SFN alignment inter-band CA. Based on this field, the UE determines the time offset of the SCell as specified in clause 4.5 of TS 38.211 [16]. The granularity of this field is determined by the reference SCS for the slot offset (i.e. the maximum of PCell/PSCell lowest SCS among all the configured SCSs in DL/UL *SCS-SpecificCarrierList* in *ServingCellConfig* and this serving cell's lowest SCS among all the configured SCSs in DL/UL *SCS-SpecificCarrierList* in *ServingCellConfig*).  The Network configures at most single non-zero offset duration in ms (independent on SCS) among CCs in the unaligned CA configuration. If the field is absent, the UE applies the value of 0. |
| ***channelAccessConfig***  List of parameters used for access procedures of operation with shared spectrum channel access (see TS 37.213 [48). |
| ***crossCarrierSchedulingConfig***  Indicates whether this serving cell is cross-carrier scheduled by another serving cell or whether it cross-carrier schedules another serving cell. |
| ***defaultDownlinkBWP-Id***  The initial bandwidth part is referred to by BWP-Id = 0. ID of the downlink bandwidth part to be used upon expiry of the BWP inactivity timer. This field is UE specific. When the field is absent the UE uses the initial BWP as default BWP. (see TS 38.213 [13], clause 12 and TS 38.321 [3], clause 5.15). |
| ***downlinkBWP-ToAddModList***  List of additional downlink bandwidth parts to be added or modified. (see TS 38.213 [13], clause 12). |
| ***downlinkBWP-ToReleaseList***  List of additional downlink bandwidth parts to be released. (see TS 38.213 [13], clause 12). |
| ***downlinkChannelBW-PerSCS-List***  A set of UE specific channel bandwidth and location configurations for different subcarrier spacings (numerologies). Defined in relation to Point A. The UE uses the configuration provided in this field only for the purpose of channel bandwidth and location determination. If absent, UE uses the configuration indicated in *scs-SpecificCarrierList* in *DownlinkConfigCommon* / *DownlinkConfigCommonSIB*. Network only configures channel bandwidth that corresponds to the channel bandwidth values defined in TS 38.101-1 [15] and TS 38.101-2 [39]. |
| ***energyDetectionThresholdOffset***  Indicates the offset to the default maximum energy detection threshold value. Unit in dB. Value -13 corresponds to -13dB, value -12 corresponds to -12dB, and so on (i.e. in steps of 1dB) as specified in TS 37.213 [48]. |
| ***firstActiveDownlinkBWP-Id***  If configured for an SpCell, this field contains the ID of the DL BWP to be activated upon performing the RRC (re-)configuration. If the field is absent, the RRC (re-)configuration does not impose a BWP switch.  If configured for an SCell, this field contains the ID of the downlink bandwidth part to be used upon MAC-activation of an SCell. The initial bandwidth part is referred to by BWP-Id = 0.  Upon PCell change and PSCell addition/change, the network sets the *firstActiveDownlinkBWP-Id* and *firstActiveUplinkBWP-Id* to the same value. |
| ***initialDownlinkBWP***  The dedicated (UE-specific) configuration for the initial downlink bandwidth-part (i.e. DL BWP#0). If any of the optional IEs are configured within this IE, the UE considers the BWP#0 to be an RRC configured BWP (from UE capability viewpoint). Otherwise, the UE does not consider the BWP#0 as an RRC configured BWP (from UE capability viewpoint). Network always configures the UE with a value for this field if no other BWPs are configured. NOTE1 |
| ***lte-CRS-PatternList***  A list of LTE CRS patterns around which the UE shall do rate matching for PDSCH. The LTE CRS patterns in this list shall be non-overlapping in frequency. |
| ***lte-CRS-PatternListSecond***  A list of LTE CRS patterns around which the UE shall do rate matching for PDSCH scheduled with a DCI detected on a CORESET with CORESETPoolIndex configured with 1. This list is configured only if CORESETPoolIndex configured with 1. The first LTE CRS pattern in this list shall be fully overlapping in frequency with the first LTE CRS pattern in lte-CRS-PatternList, The second LTE CRS pattern in this list shall be fully overlapping in frequency with the second LTE CRS pattern in lte-CRS-PatternList, and so on. |
| ***lte-CRS-ToMatchAround***  Parameters to determine an LTE CRS pattern that the UE shall rate match around. |
| ***maxEnergyDetectionThreshold***  Indicates the absolute maximum energy detection threshold value. Unit in dBm. Value -85 corresponds to -85 dBm, value -84 corresponds to -84 dBm, and so on (i.e. in steps of 1dBm) as specified in TS 37.213 [48]. If the field is not configured, the UE shall use a default maximum energy detection threshold value as specified in TS 37.213 [48]. |
| ***pathlossReferenceLinking***  Indicates whether UE shall apply as pathloss reference either the downlink of SpCell (PCell for MCG or PSCell for SCG) or of SCell that corresponds with this uplink (see TS 38.213 [13], clause 7). |
| ***pdsch-ServingCellConfig***  PDSCH related parameters that are not BWP-specific. |
| ***rateMatchPatternToAddModList***  Resources patterns which the UE should rate match PDSCH around. The UE rate matches around the union of all resources indicated in the rate match patterns. Rate match patterns defined here on cell level apply only to PDSCH of the same numerology. See TS 38.214 [19], clause 5.1.2.2.3. |
| ***sCellDeactivationTimer***  SCell deactivation timer in TS 38.321 [3]. If the field is absent, the UE applies the value infinity. |
| ***servingCellMO***  *measObjectId* of the *MeasObjectNR* in *MeasConfig* which is associated to the serving cell. For this *MeasObjectNR*, the following relationship applies between this MeasObjectNR and *frequencyInfoDL* in *ServingCellConfigCommon* of the serving cell: if *ssbFrequency* is configured, its value is the same as the *absoluteFrequencySSB* and if *csi-rs-ResourceConfigMobility* is configured, the value of its *subcarrierSpacing* is present in one entry of the *scs-SpecificCarrierList*, *csi-RS-CellListMobility* includes an entry corresponding to the serving cell (with *cellId* equal to *physCellId* in *ServingCellConfigCommon*) and the frequency range indicated by the *csi-rs-MeasurementBW* of the entry in *csi-RS-CellListMobility* is included in the frequency range indicated by in the entry of the *scs-SpecificCarrierList*. |
| ***supplementaryUplink***  Network may configure this field only when *supplementaryUplinkConfig* is configured in *ServingCellConfigCommon* or *ServingCellConfigCommonSIB*. |
| ***supplementaryUplinkRelease***  If this field is included, the UE shall release the uplink configuration configured by *supplementaryUplink*. The network only includes either *supplementaryUplinkRelease* or *supplementaryUplink* at a time. |
| ***tag-Id***  Timing Advance Group ID, as specified in TS 38.321 [3], which this cell belongs to. |
| ***tdd-UL-DL-ConfigurationDedicated-iab-mt*** ***v16xy***  Resource configuration per IAB-MT D/U/F overrides all symbols (with a limitation that effectively only flexible symbols can be overwritten in Rel-16) per slot over the number of slots as provided by *TDD-UL-DL ConfigurationCommon*. |
| ***ul-toDL-COT-SharingED-Threshold***  Maximum energy detection threshold that the UE should use to share channel occupancy with gNB for DL transmission with length no longer than 2, 4, and 8 OFDM symbols for 15Khz, 30Khz, 60KHz SCS respectively, as specified in TS 37.213 [48]. |
| ***uplinkConfig***  Network may configure this field only when *uplinkConfigCommon* is configured in *ServingCellConfigCommon* or *ServingCellConfigCommonSIB*. Addition or release of this field can only be done upon SCell addition or release (respectively). |

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| ***UplinkConfig* field descriptions** |
| ***carrierSwitching***  Includes parameters for configuration of carrier based SRS switching (see TS 38.214 [19], clause 6.2.1.3. |
| ***enableDefaultBeamPlForPUSCH0\_0, enableDefaultBeamPlForPUCCH, enableDefaultBeamPlForSRS***  When the parameter is present, UE derives the spatial relation and the corresponding pathloss reference Rs as specified in 38.213, clauses 7.1.1, 7.2.1, 7.3.1 and 9.2.2The network only configures these parameters for FR2. |
| ***enablePLRSupdateForPUSCHSRS***  When this parameter is present, the Rel-16 feature of MAC CE based pathloss RS updates for PUSCH/SRS is enabled. Network only configures this parameter , when the UE is configured with *sri-PUSCH-PowerControl*. |
| ***firstActiveUplinkBWP-Id***  If configured for an SpCell, this field contains the ID of the UL BWP to be activated upon performing the RRC (re-)configuration. If the field is absent, the RRC (re-)configuration does not impose a BWP switch.  If configured for an SCell, this field contains the ID of the uplink bandwidth part to be used upon MAC-activation of an SCell. The initial bandwidth part is referred to by BandiwdthPartId = 0. |
| ***initialUplinkBWP***  The dedicated (UE-specific) configuration for the initial uplink bandwidth-part (i.e. UL BWP#0). If any of the optional IEs are configured within this IE as part of the IE *uplinkConfig*, the UE considers the BWP#0 to be an RRC configured BWP (from UE capability viewpoint). Otherwise, the UE does not consider the BWP#0 as an RRC configured BWP (from UE capability viewpoint). Network always configures the UE with a value for this field if no other BWPs are configured. NOTE1 |
| ***powerBoostPi2BPSK***  If this field is set to *true*, the UE determines the maximum output power for PUCCH/PUSCH transmissions that use pi/2 BPSK modulation according to TS 38.101-1 [15], clause 6.2.4. |
| ***pusch-ServingCellConfig***  PUSCH related parameters that are not BWP-specific. |
| ***uplinkBWP-ToAddModList***  The additional bandwidth parts for uplink to be added or modified. In case of TDD uplink- and downlink BWP with the same *bandwidthPartId* are considered as a BWP pair and must have the same center frequency. |
| ***uplinkBWP-ToReleaseList***  The additional bandwidth parts for uplink to be released. |
| ***uplinkChannelBW-PerSCS-List***  A set of UE specific channel bandwidth and location configurations for different subcarrier spacings (numerologies). Defined in relation to Point A. The UE uses the configuration provided in this field only for the purpose of channel bandwidth and location determination. If absent, UE uses the configuration indicated in *scs-SpecificCarrierList* in *UplinkConfigCommon* / *UplinkConfigCommonSIB*. Network only configures channel bandwidth that corresponds to the channel bandwidth values defined in TS 38.101-1 [15] and TS 38.101-2 [39]. |

NOTE 1: If the dedicated part of initial UL/DL BWP configuration is absent, the initial BWP can be used but with some limitations. For example, changing to another BWP requires *RRCReconfiguration* since DCI format 1\_0 doesn't support DCI-based switching.

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| **Conditional Presence** | **Explanation** |
| *AsyncCA* | This field is mandatory present for SCells whose slot offset between the SpCell is not 0. Otherwise it is absent, Need S. |
| *CORESETPool* | This field is optionally present, Need M, if the field *lte-CRS-ToMatchAround* is not configured and CORESETPoolIndex configured with 1. It is absent otherwise. |
| *LTE-CRS* | This field is optionally present, Need M, if the field *lte-CRS-ToMatchAround* is not configured. It is absent otherwise. |
| *MeasObject* | This field is mandatory present for the SpCell if the UE has a *measConfig*, and it is optionally present, Need M, for SCells. |
| *MultipleNonDormantBWP* | The field is mandatory present when the SCell is configured with more than one *BWP-DownlinkDedicated* with *pdcch-Config* present, otherwise it is absent. |
| *MultipleNonDormantBWP-WUS* | The field is mandatory present when the SCell is configured with WUS and with more than one *BWP-DownlinkDedicated* with *pdcch-Config* present, otherwise it is absent. |
| *SCellOnly* | This field is optionally present, Need R, for SCells. It is absent otherwise. |
| *ServingCellWithoutPUCCH* | This field is optionally present, Need S, for SCells except PUCCH SCells. It is absent otherwise. |
| *SyncAndCellAdd* | This field is mandatory present for a SpCell upon PCell change and PSCell addition/change and upon *RRCSetup*/*RRCResume*.  The field is mandatory present for an SCell upon addition.  For SpCell, the field is optionally present, Need N, upon reconfiguration without *reconfigurationWithSync*.  In all other cases the field is absent. |
| *TDD* | This field is optionally present, Need R, for TDD cells. It is absent otherwise. |

**<End of modified section 2>**