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**UMTS Terrestrial Radio Access Network (UTRAN);
UE-UTRAN Radio Interface Protocol Architecture;
Stage 2;
(UMTS YY.01 version 1.0.4)**

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Universal Mobile
Telecommunications System



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ETSI

Postal address

F-06921 Sophia Antipolis Cedex - FRANCE

Office address

650 Route des Lucioles - Sophia Antipolis
Valbonne - FRANCE
Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16
Siret N° 348 623 562 00017 - NAF 742 C
Association à but non lucratif enregistrée à la
Sous-Préfecture de Grasse (06) N° 7803/88

Internet

secretariat@etsi.fr
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Foreword

This Description has been produced by the Special Mobile Group (SMG) of the European Telecommunications Standards Institute (ETSI).

This Description defines the stage-2 overall architecture for the UTRAN.

The contents of this Description are subject to continuing work within TC-SMG2 and may change following formal TC-SMG2 approval.

1 Scope

This document shall provide an overview and overall description of the UE-UTRAN Radio Interface protocol architecture as agreed within the ETSI SMG2 UMTS L2&L3 expert group. Details of the radio protocols will be specified in companion documents.

2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies.
- A non-specific reference to an ETS shall also be taken to refer to later versions published as an EN with the same number.

[1]	UMTS 23.10 UMTS Access Stratum Services and Functions, Ver. 0.8.1
[2]	UMTS ZZ.01, UTRAN Architecture description, Ver. 0.0.9
[3]	UMTS 25.XX, Vocabulary for the UTRAN, Ver. 0.1.3
[4]	UMTS YY.02, Layer 1; General requirements, Ver. 1.1.0
[5]	UMTS YY.03, Description of UE States and Procedures in Connected Mode, Ver. 0.3.1
[6]	UMTS YY.04, Description of Procedures in Idle Mode, Ver. 0.2.1
[7]	UMTS YY.21, Description of the MAC Protocol, Ver. 0.0.6
[8]	UMTS YY.22, Description of the RLC Protocol, Ver. 0.0.4
[9]	UMTS YY.31, Description of the RRC Protocol, Ver. 0.1.3

3 Definitions and Abbreviations

3.1 Definitions

See [3] for a definition of fundamental concepts and vocabulary.

3.2 Abbreviations

ARQ	Automatic Repeat Request
BCCH	Broadcast Control Channel
BCH	Broadcast Channel
Control- CC	Call Control
CCCH	Common Control Channel
CCH	Control Channel
CCTrCH	Coded Composite Transport Channel
CN	Core Network
CRC	Cyclic Redundancy Check
DC	Dedicated Control (SAP)
DCA	Dynamic Channel Allocation
DCCH	Dedicated Control Channel
DCH	Dedicated Channel
DL	Downlink
DRNC	Drift Radio Network Controller
DSCH	Downlink Shared Channel
DTCH	Dedicated Traffic Channel
FACH	Forward Link Access Channel
FAUSCH	Fast Uplink Signalling Channel
FCS	Frame Check Sequence
FDD	Frequency Division Duplex

GC	General Control (SAP)
HO	Handover
ITU	International Telecommunication Union
kbps	kilo-bits per second
L1	Layer 1 (physical layer)
L2	Layer 2 (data link layer)
L3	Layer 3 (network layer)
LAC	Link Access Control
MAC	Medium Access Control
MM	Mobility Management
Nt	Notification (SAP)
OCCCH	ODMA Common Control Channel
ODCCH	ODMA Dedicated Control Channel
ODCH	ODMA Dedicated Channel
ODMA	Opportunity Driven Multiple Access
ORACH	ODMA Random Access Channel
ODTCH	ODMA Dedicated Traffic Channel
PCCH	Paging Control Channel
PCH	Paging Channel
PDU	Protocol Data Unit
PHY	Physical layer
PhyCH	Physical Channels
RACH	Random Access Channel
RLC	Radio Link Control
RNC	Radio Network Controller
RNS	Radio Network Subsystem
RNTI	Radio Network Temporary Identity
RRC	Radio Resource Control
SAP	Service Access Point
SCCH	Synchronization Control Channel
SCH	Synchronization Channel
SDU	Service Data Unit
SRNC	Serving Radio Network Controller
SRNS	Serving Radio Network Subsystem
TCH	Traffic Channel
TDD	Time Division Duplex
TFCI	Transport Format Combination Indicator
TFI	Transport Format Indicator
TPC	Transmit Power Control
U-	User-
UE	User Equipment
UE _R	User Equipment with ODMA relay operation enabled
UL	Uplink
UMTS	Universal Mobile Telecommunications System
URA	UTRAN Registration Area
UTRA	UMTS Terrestrial Radio Access
UTRAN	UMTS Terrestrial Radio Access Network

4 Assumed UMTS Architecture

Figure 1 shows the assumed UMTS architecture as outlined in UMTS 23.10 . The figure shows the UMTS architecture in terms of its entities User Equipment (UE), UTRAN and Core Network. The respective reference points Uu (Radio Interface) and Iu (CN-UTRAN interface) are shown. The figure illustrates furthermore the high-level functional grouping into the Access Stratum and the Non-Access Stratum.

The Access Stratum offers services through the following Service Access Points (SAP) to the Non-Access Stratum:

- General Control (GC) SAPs,
- Notification (Nt) SAPs and
- Dedicated Control (DC) SAPs

The SAPs are marked with circles in Figure 1. The services provided to the non-access stratum by the GC, Nt, and DC SAPs, from a radio interface protocol perspective, are assumed to be provided by the Radio Resource Control (RRC) to the higher protocol layer. It is however assumed that at the network side, the RRC layer terminates in the UTRAN (cf. Sec. 61).

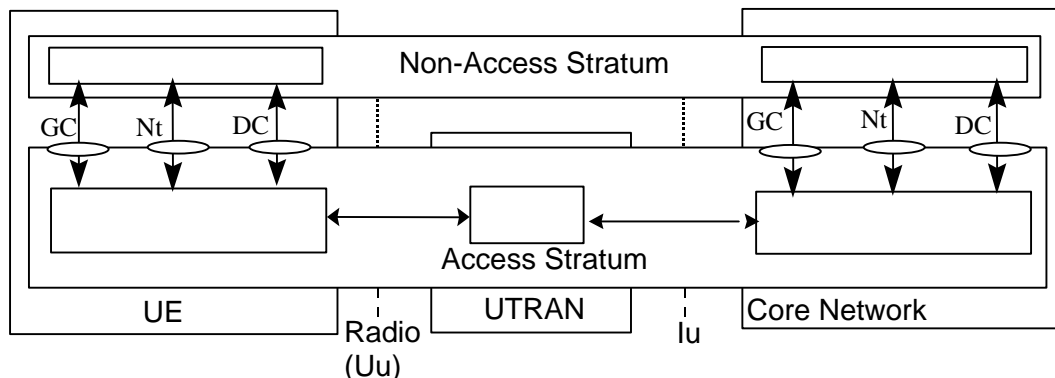


Figure 1: Assumed UMTS Architecture

5 Radio interface protocol architecture

5.1 Overall protocol structure

The radio interface is layered into three protocol layers:

- the physical layer (L1),
- the data link layer (L2),
- network layer (L3).

Layer 2 is split into two sublayers, Radio Link Control (RLC) and Medium Access Control (MAC).

[Editor's note: The split of layer 2 into two sublayers, RLC and MAC, is the present working assumption, in both L23 and ARC Experts Groups. This assumption might be reconsidered if the split is difficult to achieve.]

Layer 3 and RLC are divided into Control (C-) and User (U-) planes.

In the C-plane, Layer 3 is partitioned into sublayers where the lowest sublayer, denoted as Radio Resource Control (RRC), interfaces with layer 2. The higher layer signalling such as Mobility Management (MM) and Call Control (CC) are assumed to belong to the non-access stratum, and therefore not in the scope of SMG2. On the general level, the protocol architecture is similar to the current ITU-R protocol architecture, ITU-R M.1035.

Figure 2 shows the radio interface protocol architecture. Each block in Figure 2 represents an instance of the respective protocol. Service Access Points (SAP) for peer-to-peer communication are marked with circles at the interface between sublayers. The SAP between MAC and the physical layer provides the transport channels (cf. Sec. 62.1.1). The SAPs between RLC and the MAC sublayer provide the logical channels (cf. Sec. 63.1.1.1). In the C-plane, the interface between RRC and higher L3 sublayers (CC, MM) is defined by the General Control (GC), Notification (Nt) and Dedicated Control (DC) SAPs.

Also shown in the figure are connections between RRC and MAC as well as RRC and L1 providing local inter-layer control services. An equivalent control interface exists between RRC and the RLC sublayer. These interfaces allow the RRC to control the configuration of the lower layers. For this purpose separate Control SAPs are defined between RRC and each lower layer (RLC, MAC, and L1). It is assumed that for RLC and MAC one Control SAP each is provided per UE.

[Editor's note: Control of RLC entities in C and U planes needs to be clarified further. Also, the multiplicity of Control SAPs (necessity of one SAP per UE) at the UTRAN side may need to be reconsidered.]

The RLC sublayer provides ARQ functionality closely coupled with the radio transmission technique used. There is no difference between RLC instances in C and U planes.

The UTRAN can be requested by the CN to prevent all loss of data (i.e. independently of the handovers on the radio interface), as long as the Iu connection point is not modified. This is a basic requirement to be fulfilled by the UTRAN retransmission functionality as provided by the RLC sublayer.

However, in case of the Iu connection point is changed (e.g. SRNS relocation, streamlining), the prevention of the loss of data may not be guaranteed autonomously by the UTRAN but would rely on some functions in the CN. In this case, a mechanism to achieve the requested QoS may require support from the CN. Such mechanisms to protect from data loss due to SRNS relocation or streamlining are for further study. They need to be specified jointly with SMG12.

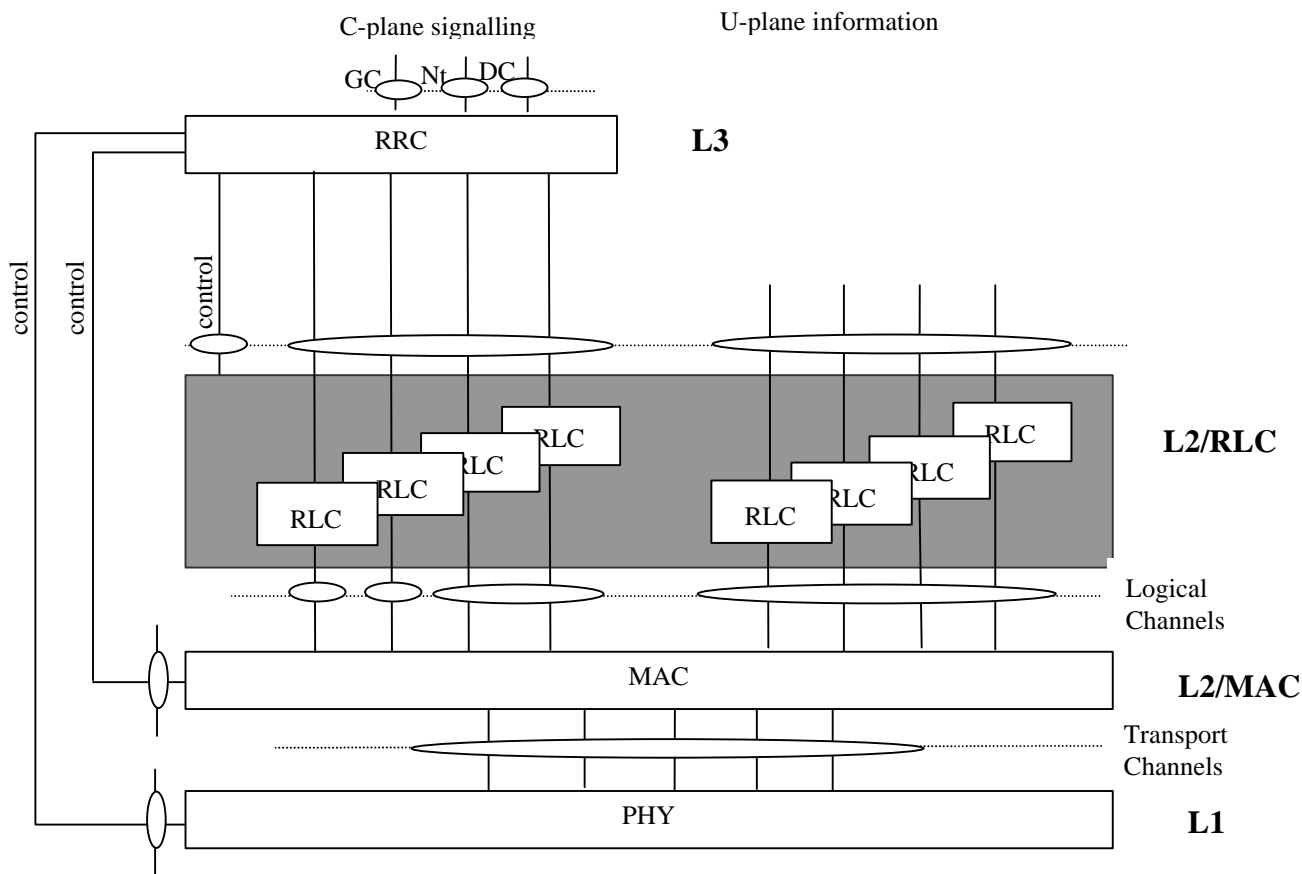


Figure 2: Radio Interface protocol architecture (Service Access Points marked by circles)

5.2 Layer 1 Services and Functions

This section shall provide an overview on services and functions provided by the physical layer. A detailed description of Layer 1 general requirements can be found in UMTS YY.02 [4].

5.2.1 L1 Services

The physical layer offers information transfer services to MAC and higher layers. The physical layer transport services are described by *how* and with what characteristics data are transferred over the radio interface. An adequate term for this is ‘Transport Channel’¹.

5.2.1.1 Transport channels

A general classification of transport channels is into two groups:

- common channels (where there is a need for inband identification of the UEs when particular UEs are addressed) and
- dedicated channels (where the UEs are identified by the physical channel, i.e. code and frequency for FDD and code, time slot and frequency for TDD).

Common transport channel types are (a more detailed description can be found in [4]):

Random Access Channel (RACH)

A contention based uplink channel used for transmission of relatively small amount of data, e.g. for initial access or non-realtime dedicated control or traffic data.

ODMA Random Access Channel (ORACH)

A contention based channel used in relaylink.

Forward Access Channel (FACH)

Common downlink channel without closed-loop power control used for transmission of relatively small amount of data.

Downlink Shared Channel (DSCH)

A downlink channel shared by several UEs carrying dedicated control or traffic data.

¹ This should be clearly separated from the classification of *what* is transported, which relates to the concept of logical channels. Thus DCH is used to denote that the physical layer offers the same type of service for both control and traffic.

[Editor's note: It is for further study whether or not the DSCH needs to be regarded as separate transport channel type. It's relationship to the FACH and DCH requires further clarification.]

Broadcast Channel (BCH)

A downlink channel use for broadcast of system information into an entire cell.

Synchronization Channel (SCH)

A downlink channel used for broadcast of synchronization information into an entire cell in TDD mode.

Note that the SCH transport channel is defined for the TDD mode only. In the FDD mode, a synchronization channel is defined as a physical channel. This channel however should not be confused with the SCH transport channel defined above.

Paging Channel (PCH)

A downlink channel used for broadcast of paging and notification information into an entire cell allowing efficient UE sleep mode procedures.

Dedicated transport channel types are:

Dedicated Channel (DCH)

A channel dedicated to one UE used in uplink or downlink.

Fast Uplink Signalling Channel (FAUSCH)

An uplink channel used to allocate dedicated channels in conjunction with FACH.

[Editor's note: The FAUSCH transport channel is still under discussion in the L1 Expert Group. If the corresponding physical channel is not approved, then the FAUSCH Transport Channel will be removed]

ODMA Dedicated Channel (ODCH)

A channel dedicated to one UE used in relaylink.

To each transport channel (except for the FAUSCH, since it only conveys a reservation request), there is an associated Transport Format (for transport channels with a fixed or slow changing rate) or an associated Transport Format Set (for transport channels with fast changing rate). A Transport Format is defined as a combination of encodings, interleaving, bit rate and mapping onto physical channels (see YY.02 [4] for details). A Transport Format Set is a set of Transport Formats. E.g., a variable rate DCH has a Transport Format Set (one Transport Format for each rate), whereas a fixed rate DCH has a single Transport Format.

5.2.2 L1 Functions

The physical layer performs the following main functions:

- Macrodiversity distribution/combining and soft handover execution
- Error detection on transport channels and indication to higher layers
- FEC encoding/decoding and interleaving/deinterleaving of transport channels
- Multiplexing of transport channels and demultiplexing of coded composite transport channels
- Mapping of coded composite transport channels on physical channels
- Power weighting and combining of physical channels
- Modulation and spreading/demodulation and despreading of physical channels
- Frequency and time (chip, bit, slot, frame) synchronization
- Measurements and indication to higher layers
- Closed-loop power control
- RF processing

5.3 Layer 2 Services and Functions

5.3.1 MAC Services and Functions

This sections provides an overview on services and functions provided by the MAC sublayer. A detailed description of the MAC protocol is given in UMTS YY.21 [7].

5.3.1.1 MAC Services to upper layers

Data transfer. This service provides unacknowledged transfer of MAC SDUs between peer MAC entities.

Reallocation of radio resources and MAC parameters. This service performs on request of RRC execution of radio resource reallocation and change of MAC parameters, i.e. reconfiguration of MAC functions such as change of identity of UE, change of transport format (combination) sets, change of transport channel type. In TDD mode, in addition, resource allocation can be handled by the MAC autonomously.

The following potential services are regarded as further study items:

Reporting of measurements. Local measurements such as traffic volume, quality indication, MAC status indication, [other MAC measurements tbd.], are reported to RRC.

Allocation/deallocation of radio resources. Indication to RRC that allocation/deallocation of a MAC bearer is required. In TDD mode, resource allocation can alternatively be performed by the MAC autonomously.

5.3.1.1.1 Logical channels

The MAC layer provides data transfer services on logical channels. A set of logical channel types is defined for different kinds of data transfer services as offered by MAC. Each logical channel type is defined by what type of information is transferred.

A general classification of logical channels is into two groups:

Control Channels (for the transfer of control plane information)

Traffic Channels (for the transfer of user plane information)

The configuration of logical channel types is depicted in Figure 3.

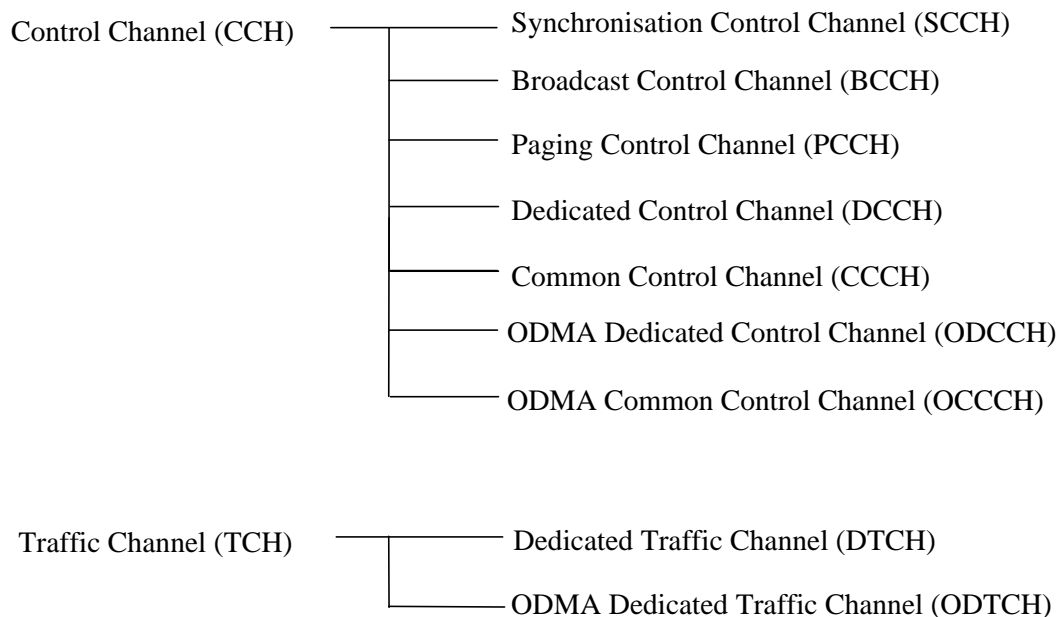


Figure 3: Logical channel structure

5.3.1.1.1.1 Control Channels

Control channels are used for transfer of control plane information only.

Synchronisation Control Channel (SCCH)

A downlink channel for broadcasting synchronisation information (cell ID, optional information) in case of TDD operation.

Broadcast Control Channel (BCCH)

A downlink channel for broadcasting system control information.

Paging Control Channel (PCCH)

A downlink channel that transfers paging information. This channel is used when the network does not know the location cell of the UE, or, the UE is in the cell connected state (utilizing UE sleep mode procedures).

Common Control Channel (CCCH)

Bi-directional channel for transmitting control information between network and UEs. This channel is commonly used by the UEs having no RRC connection with the network.

Dedicated Control Channel (DCCH)

A point-to-point bi-directional channel that transmits dedicated control information between a UE and the network. This channel is established through RRC connection setup procedure.

ODMA Common Control Channel (OCCCH)

Bi-directional channel for transmitting control information between UEs.

ODMA Dedicated Control Channel (ODCCH)

A point-to-point bi-directional channel that transmits dedicated control information between UEs. This channel is established through RRC connection setup procedure.

5.3.1.1.1.2 Traffic Channels

Traffic channels are used for the transfer of user plane information only.

Dedicated Traffic Channel (DTCH)

A Dedicated Traffic Channel (DTCH) is a point-to-point channel, dedicated to one UE, for the transfer of user information. A DTCH can exist in both uplink and downlink.

ODMA Dedicated Traffic Channel (ODTCH)

A ODMA Dedicated Traffic Channel (ODTCH) is a point-to-point channel, dedicated to one UE, for the transfer of user information between UE's. A ODTCH exists in relaylink.

Note: Inclusion of a logical channel type for multicast and/or broadcast user data transfer is FFS.

5.3.1.1.2 Mapping between logical channels and transport channels

The following connections between logical channels and transport channels exist:

- SCCH is connected to SCH
- BCCH is connected to BCH
- PCCH is connected to PCH
- CCCH is connected to RACH and FACH

DTCH can be connected to either RACH and FACH, to RACH and DSCH, to DCH and DSCH, or to a DCH
 DCCH can be connected to either RACH and FACH, to RACH and DSCH, to DCH and DSCH, to a DCH, or to FAUSCH. The mappings as seen from the UE and UTRAN sides are shown in Figure 4 and Figure 5 respectively. Figure 6 illustrates the mapping from the UE in relay operation. Note that ODMA logical channels and transport channels are employed only in relaylink transmissions (i.e. not used for uplink or downlink transmissions on the UE-UTRAN radio interface).

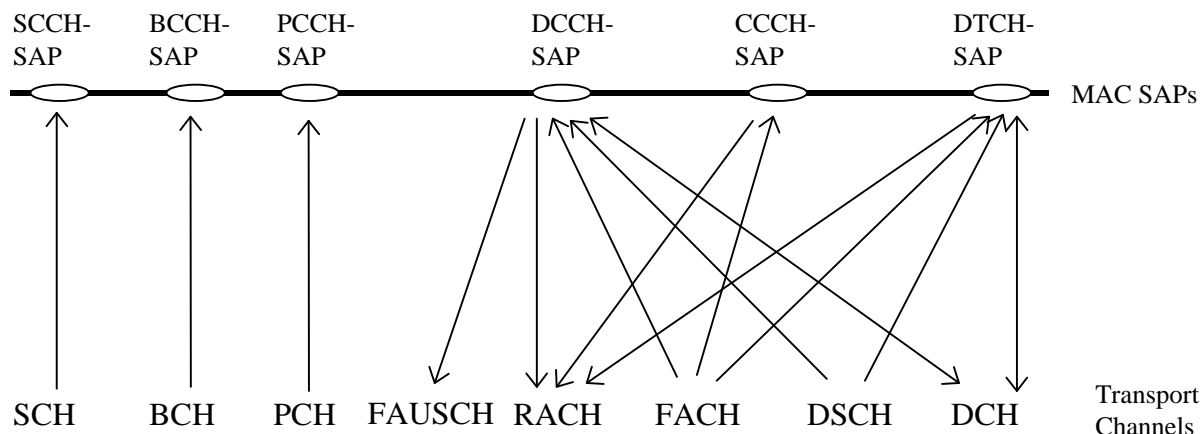


Figure 4: Logical channels mapped onto transport channels, seen from the UE side

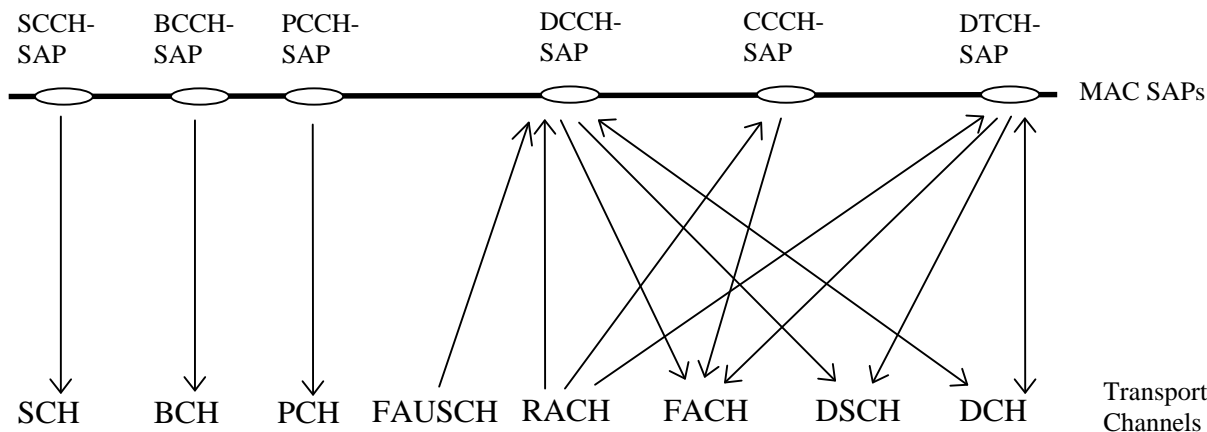


Figure 5: Logical channels mapped onto transport channels, seen from the UTRAN side

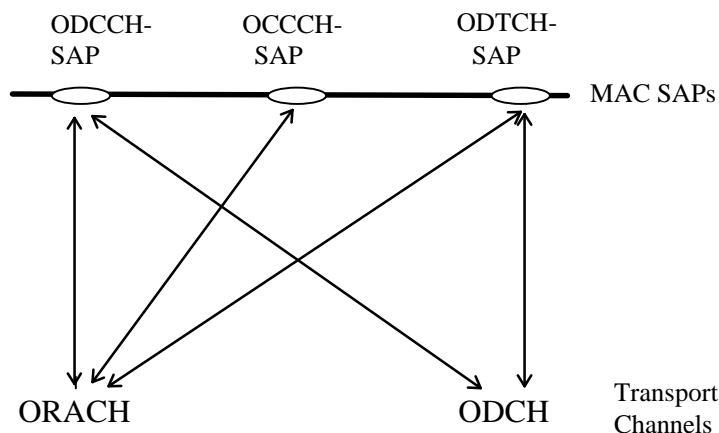


Figure 6: Logical channels mapped onto transport channels, seen from the UE side (relay only)

5.3.1.2 MAC functions

The functions of MAC include:

Mapping between logical channels and transport channels. The MAC is responsible for mapping of logical channel(s) onto the appropriate transport channel(s).

Selection of appropriate Transport Format for each Transport Channel depending on instantaneous source rate. Given the Transport Format Combination Set assigned by RRC, MAC selects the appropriate transport format within an assigned transport format set for each active transport channel depending on source rate. The control of transport formats ensures efficient use of transport channels.

Priority handling between data flows of one UE. When selecting between the Transport Format Combinations in the given Transport Format Combination Set, priorities of the data flows to be mapped onto the corresponding Transport Channels can be taken into account. Priorities are e.g. given by attributes of radio access bearer services and RLC buffer status. The priority handling is achieved by selecting a Transport Format Combination for which high priority data is mapped onto L1 with a “high bit rate” Transport Format, at the same time letting lower priority data be mapped with a “low bit rate” (could be zero bit rate) Transport Format.

Priority handling between UEs by means of dynamic scheduling. In order to utilize the spectrum resources efficiently for bursty traffic (packet), a dynamic scheduling function may be applied. Priority handling on common channels is realized by MAC. Note that dynamic scheduling on dedicated channels belongs to RRC in FDD mode. For TDD it is regarded as further study item.

Note that in the TDD mode the data to be transported are represented in terms of sets of resource units.

Scheduling of broadcast, paging and notification messages. This function provides mechanisms for efficient transfer of broadcast, paging and notification messages by means of appropriate scheduling and repetition of the messages.

Identification of UEs on common transport channels. When a particular UE is addressed on a common downlink channel, or when a UE is using the RACH, there is a need for inband identification of the UE. Since the MAC layer handles the access to, and multiplexing onto, the transport channels, the identification functionality is naturally also placed in MAC.

Multiplexing/demultiplexing of higher layer PDUs into/from transport blocks delivered to/from the physical layer on common transport channels. MAC should support service multiplexing for common transport channels, since the physical layer does not support multiplexing of these channels.

Multiplexing/demultiplexing of higher layer PDUs into/from transport block sets delivered to/from the physical layer on dedicated transport channels. The MAC allows service multiplexing for dedicated transport channels. This function can be utilized when several upper layer services (e.g. RLC instances) can be mapped efficiently on the same transport channel. In this case the identification of multiplexing is contained in the MAC protocol control information.

Traffic volume monitoring. Measurement of traffic volume on logical channels and reporting to RRC. Based on the reported traffic volume information, RRC performs transport channel switching decisions.

[Editor’s note: This function may possibly be performed on RLC instead on MAC.]

Constrained execution of open loop power control algorithms. This function establishes layer 1 power levels within the constraints of open loop power control set by RRC.

Routing of higher layer signalling. This function performs the mapping of higher layer signalling messages to the appropriate transport channel. This function is required in TDD mode, where resource allocation is performed by the MAC autonomously.

Maintenance of a MAC signalling connection between peer MAC entities. This function supports unacknowledged transfer of MAC-internal messages between peer MAC entities. A MAC signalling connection is required in the TDD mode.

Monitoring the links of the assigned resources. This function provides means for monitoring link quality in TDD mode (used by MAC for fast DCA).

Dynamic Transport Channel type switching. Execution of the switching between common and dedicated transport channels based on a switching decision derived by RRC.

The following potential functions are regarded as further study items:

Processing of messages received at common control channels. This function is applied in TDD mode to support a data transfer on common control channels to support MAC operation (needed for fast DCA details are ffs.).

5.3.2 RLC Services and Functions

This sections provides an overview on services and functions provided by the RLC sublayer. A detailed description of the RLC protocol is given in UMTS YY.22 [8].

5.3.2.1 Services provided to the upper layer

RLC connection establishment/release. This service performs establishment/release of RLC connections.

Transparent data transfer. This service transmits higher layer PDUs without adding any protocol information, possibly including segmentation/reassembly functionality.

Unacknowledged data transfer. This service transmits higher layer PDUs without guaranteeing delivery to the peer entity. The unacknowledged data transfer mode has the following characteristics:

Detection of erroneous data: The RLC sublayer shall deliver only those SDUs to the receiving higher layer that are free of transmission errors by using error-detection function.

[Editors note: FCS error detection and handling is ffs. See respective function in Sec. 6.3.2.2. It may optionally be allowed that erroneous data is delivered to higher layer in this transfer mode.]

Unique delivery: The RLC sublayer shall deliver each SDU only once to the receiving upper layer using duplication detection function.

Immediate delivery: The transmitting RLC entity shall deliver SDUs to the receiving RLC entity without any confirmation for best-effort transmission.

Acknowledged data transfer. This service transmits higher layer PDUs and guarantees delivery to the peer entity. In case RLC is unable to deliver the data correctly, the user of RLC at the transmitting side is notified. For this service, both in-sequence and out-of-sequence delivery are supported. In many cases a higher layer protocol can restore the order of its PDUs. As long as the out-of-sequence properties of the lower layer are known and controlled (i.e. the higher layer protocol will not immediately request retransmission of a missing PDU) allowing out-of-sequence delivery can save memory space in the receiving RLC. The acknowledged data transfer mode has the following characteristics:

Error-free delivery: Error-free delivery is ensured by means of retransmission. The receiving RLC entity delivers only error-free SDUs to the higher layer.

Unique delivery: The RLC sublayer shall deliver each SDU only once to the receiving upper layer using duplication detection function.

In-sequence delivery: RLC sublayer shall provide support for in-order delivery of SDUs, i.e., RLC sublayer should deliver SDUs to the receiving higher layer entity in the same order as the transmitting higher layer entity submits them to the RLC sublayer.

Out-of-sequence delivery: Alternatively to in-sequence delivery, it shall also be possible to allow that the receiving RLC entity delivers SDUs to higher layer in different order than submitted to RLC sublayer.at the transmitting side.

QoS setting. The retransmission protocol shall be configurable by layer 3 to provide different levels of QoS. This can be controlled e.g. by adjusting the maximum number of retransmissions according to delay requirements.

Notification of unrecoverable errors. RLC notifies the upper layer of errors which cannot be resolved by RLC itself by normal exception handling procedures.

The length of a higher layer PDU (RLC SDU) can be variable up to the maximum length specified for each data transfer service [ffs.]. There is only a single RLC connection per Radio Access Bearer.

5.3.2.2 RLC Functions

Connection Control. This function performs establishment, release, and maintenance of a RLC connection.

Segmentation and reassembly. This function performs segmentation/reassembly of variable-length higher layer PDUs into/from smaller RLC PDUs. The size of the smallest retransmission unit shall be determined by the smallest possible bit rate. The RLC PDU size is adjustable to the actual set of transport formats.

Concatenation. If the contents of an RLC SDU does not fill an integer number of RLC PDUs, the first segment of the next RLC SDU may be put into the RLC PDU in concatenation with the last segment of the previous RLC SDU.

Padding. When concatenation is not applicable and the remaining data to be transmitted does not fill an entire RLC PDU of given size, the remainder of the data field shall be filled with padding bits in order to maintain a fixed RLC PDU size.

Transfer of user data. This function is used for conveyance of data between users of RLC services. RLC supports acknowledged, unacknowledged and transparent data transfer.

Error correction. This function provides error correction by retransmission (e.g. Selective Repeat, Go Back N, or a Stop-and-Wait ARQ) in acknowledged data transfer mode.

In-sequence delivery of higher layer PDUs. This function preserves the order of higher layer PDUs that were submitted for transfer by RLC using the acknowledged data transfer service. If this function is not used, out-of-sequence delivery is provided.

Duplicate Detection. This function detects duplicated received RLC PDUs and ensures that the resultant higher Layer PDU is delivered only once to the upper layer.

Flow control. This function allows an RLC receiver to control the rate at which the peer RLC transmitting entity may send information.

Protocol error detection and recovery. This function detects and recovers from errors in the operation of the RLC protocol.

The following potential function(s) are regarded as further study items:

Suspend/resume function. Suspension and resumption of data transfer as in e.g. LAPDm (cf. GSM 04.05).

Keep Alive. This function ensures that the two peer RLC entities remain in a relationship even in the case of a prolonged absence of data transfer.

FCS error detection and handling. This function provides mechanisms for the detection and handling of corrupted RLC PDU's through FCS (Frame check sequence). A corrupted acknowledged RLC PDU is retransmitted. A corrupted unacknowledged RLC PDU is discarded. Note that FCS error detection is already provided by Layer 1. Whether or not additional error detection functionality is required on RLC level is ffs.

Ciphering. This function prevents unauthorised acquisition of data.

5.3.3 Data flows through Layer 2

Data flows through layer 2 are characterized by the applied data transfer modes on RLC (acknowledged, unacknowledged and transparent transmission) in combination with the data transfer type on MAC, i.e. whether or not a MAC header is required. The case where no MAC header is required is referred to as "transparent" MAC transmission. Acknowledged and unacknowledged RLC transmissions both require a RLC header. In unacknowledged transmission, only one type of unacknowledged data PDU is exchanged between peer RLC entities. In acknowledged transmission, both (acknowledged) data PDUs and control PDUs are exchanged between peer RLC entities.

The resulting different data flow cases are illustrated in Figures 7 - 10. On the level of detail presented here, differences between acknowledged and unacknowledged RLC transmission are not visible. Acknowledged and unacknowledged RLC transmission is shown as one case, referred to as non-transparent RLC.

[Editor's note: The term "transparent transmission" is used here to characterize the case where a protocol, MAC or RLC, does not require any protocol control information (e.g. header). In transparent transmission mode, however, some protocol functions may still be applied. In this case an entity of the respective protocol must be present even when the protocol is transparent. For the RLC protocol the segmentation/reassembly function may be applied. This can be performed without segmentation header when a given higher layer PDU fits into a fixed number of RLC PDUs to be transferred in a given transmission time interval. In this case segmentation/reassembly follows predefined rules known to sending and receiving RLC entities. For instance in the user plane, the segmentation/reassembly function is needed for the case of real-time services using high and possibly variable bit rates. For such services higher layer PDUs shall be segmented into reasonably sized RLC PDUs of fixed length allowing efficient FCS error detection on the physical layer. The higher layer PDU can be reassembled by simply concatenating all RLC PDUs included in a transport block set as implied by the used transport format.]

Figure 7 and Figure 8 illustrate the data flows for transparent RLC with transparent and non-transparent MAC transmission, respectively.

Figure 9 and Figure 10 illustrate the data flows for non-transparent RLC with transparent and non-transparent MAC transmission, respectively.

A number of MAC PDUs shown in the figures shall comprise a transport block set. Note, however, that in all cases a transport block set must not necessarily match with a RLC SDU. The span of a transport block set can be smaller or larger than a RLC SDU.

Each mapping between a logical channel and a transport channel as defined in Figure 4 and Figure 5 in combination with the respective RLC transmission mode implies a certain data flow which is specified on a general level in the following.

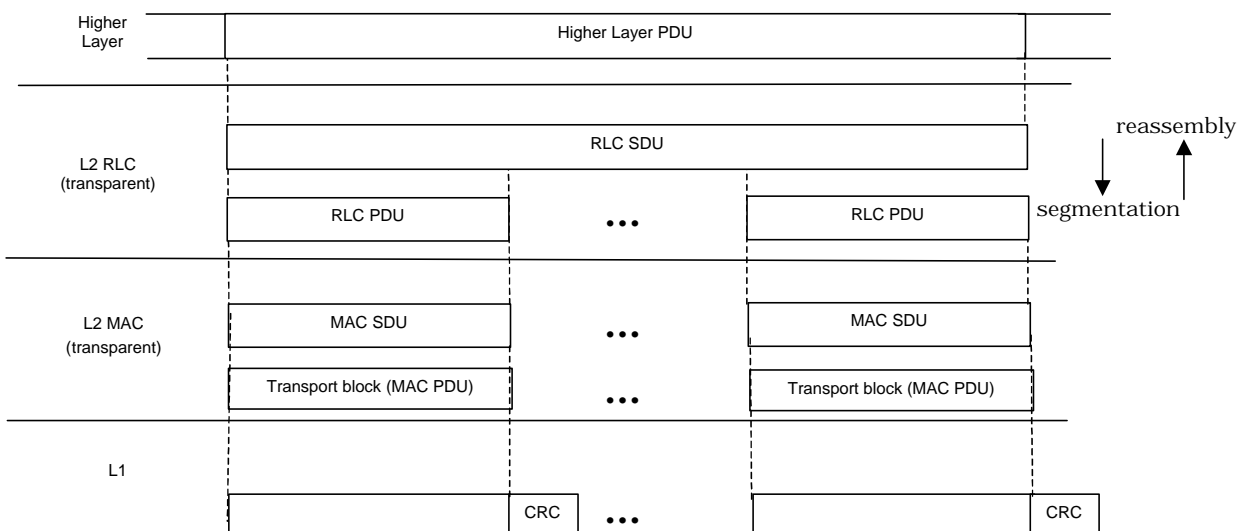


Figure 7: Data flow for transparent RLC and MAC

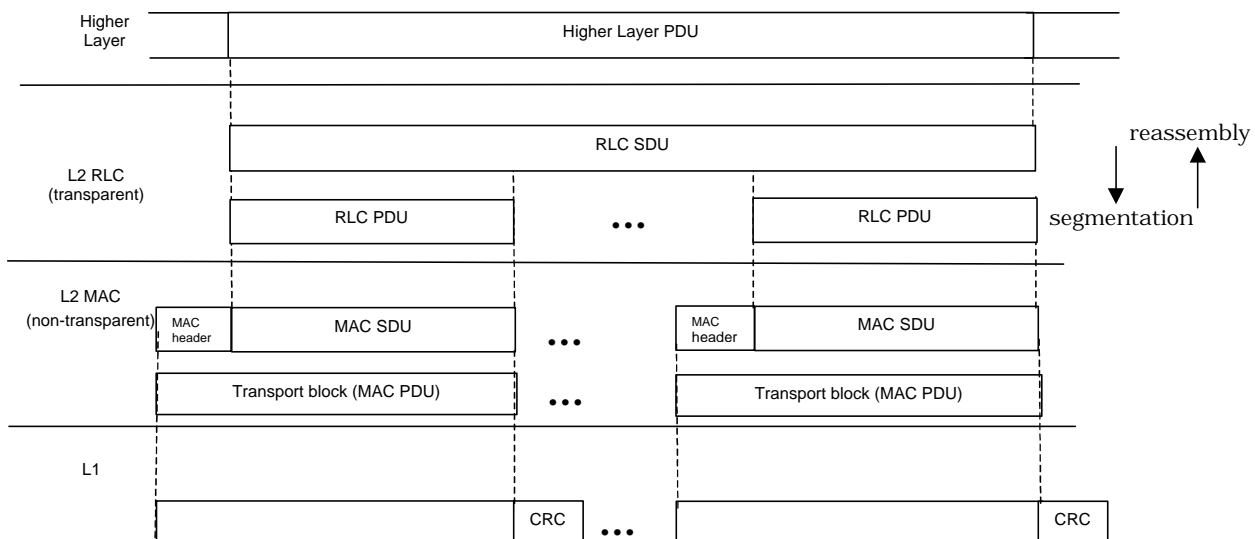


Figure 8: Data flow for transparent RLC and non-transparent MAC

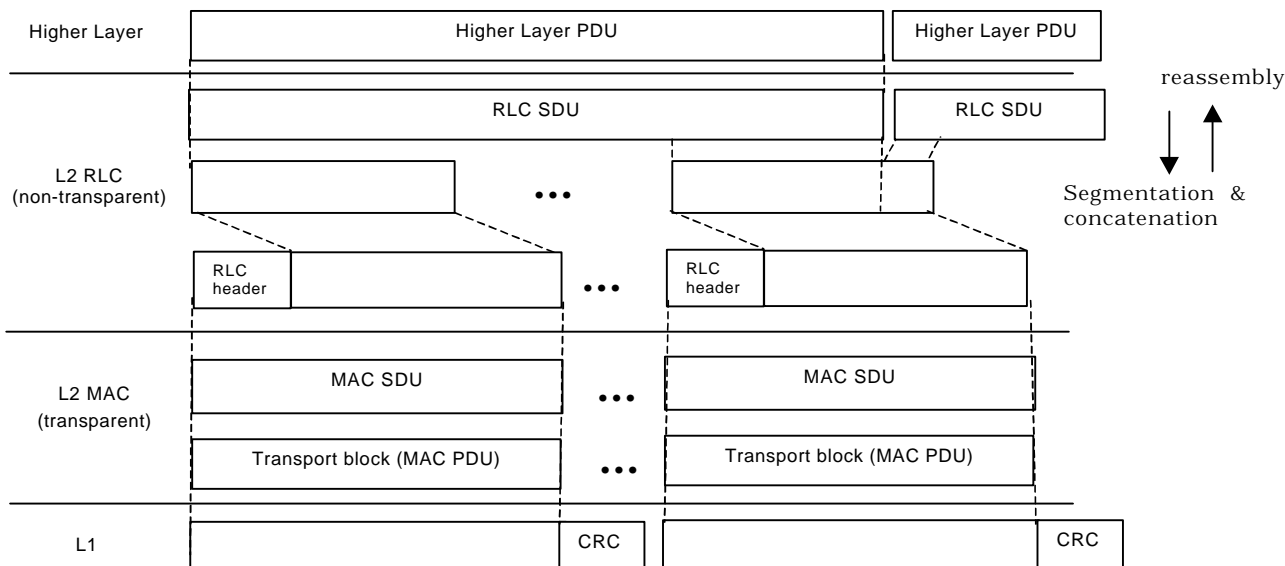


Figure 9: Data flow for non-transparent RLC and transparent MAC

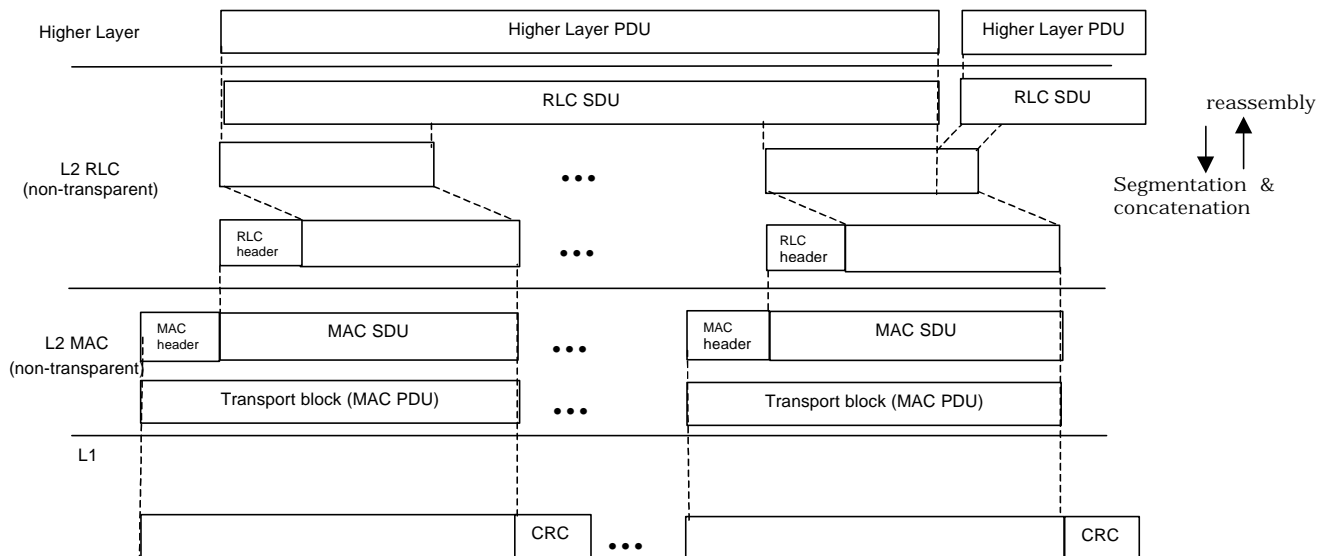


Figure 10: Data flow for non-transparent RLC and MAC

5.3.3.1 Data flow for BCCH mapped to BCH

Regarding the mapping of RRC PDUs into RLC PDUs two alternatives can be considered:

- 1) All RRC PDUs transmitted on BCCH have a fixed length and fit into one (or a fixed number) of RLC PDUs (and, equivalently, MAC PDUs, as defined by the transport format). For this type of segmentation no RLC header is needed, i.e. the transparent data transfer mode of RLC is applied.
- 2) RRC PDUs do not fit to the size of a fixed number of RLC PDUs. In this case the unacknowledged RLC transfer mode must be applied, since segmentation/reassembly requires a RLC header for segmentation sequence control.

A MAC header is needed only if multiple BCCH logical channels are mapped onto a BCH.

If the transparent RLC transfer mode is applied (above option (i)), depending on whether the MAC header is needed or not, either the data flow Figure 7 or Figure 8 is applicable. If the unacknowledged RLC transfer mode is applied (above option (ii)), depending on whether the MAC header is needed or not, either the data flow Figure 9 or Figure 10 is applicable.

[Editor's note: It is expected that some of the above mentioned options can be removed when details of the BCCH have been specified.]

5.3.3.2 Data flow for PCCH mapped to PCH

Same data flow is applicable as for BCCH mapped to BCH. A MAC header is needed only if multiple PCCH logical channels are mapped onto a single PCH.

5.3.3.3 Data flow for SCCH mapped to SCH

Same data flow is applicable as for BCCH mapped to BCH. Applied in TDD mode only. A MAC header is not needed. The data flow shown in Figure 7 or Figure 9 applies, depending on applied RLC transmission mode.

5.3.3.4 Data flow for CCCH mapped to FACH/RACH

For CCCH, transparent or unacknowledged transmission mode on RLC is employed. A MAC header may be used for logical channel identification (CCCH, DCCH, DTCH). When no MAC header is used, CCCH must be the only channel mapped to RACH/FACH. If the transparent RLC transfer mode is applied, depending on whether the MAC header is needed or not, either the data flow Figure 7 or Figure 8 is applicable. If the unacknowledged RLC transfer mode is applied, depending on whether the MAC header is needed or not, either the data flow Figure 9 or Figure 10 is applicable.

[Editor's note: It might be possible that some of the above mentioned options can be removed when all messages carried on CCCH have been specified in detail.]

5.3.3.5 Data flow for DCCH mapped to FACH/RACH

For DCCH, both unacknowledged and acknowledged transmission mode on RLC is employed. A MAC header is mandatory for FACH/RACH carrying DCCH. The data flow shown in Figure 10 is applicable.

5.3.3.6 Data flow for DCCH mapped to DSCH

For DCCH, both unacknowledged and acknowledged transmission mode on RLC is employed. Whether or not a MAC header is needed for UE identification when DCCH is mapped to a DSCH is ffs., i.e. either the data flow in Figure 9 or Figure 10 is applicable.

5.3.3.7 Data flow for DTCH (non-transparent RLC) mapped to FACH/RACH

Mapping to FACH/RACH implies a DTCH with acknowledged (possibly also unacknowledged, ffs.) transmission on RLC. A MAC header is mandatory for FACH/RACH when carrying DTCH. The data flow shown in Figure 10 is applicable.

5.3.3.8 Data flow for DTCH (non-transparent RLC) mapped to DSCH

Mapping to DSCH implies a DTCH with acknowledged (possibly also unacknowledged, ffs.) transmission on RLC. Whether or not a MAC header is needed for UE identification when DTCH is mapped to a DSCH is ffs., i.e. either the data flow in Figure 9 or Figure 10 is applicable.

5.3.3.9 Data flow for DTCH (transparent RLC) mapped to DCH

Continuous DTCH data stream is segmented into transport blocks on RLC and mapped on a DCH transport channel on MAC. The transport block size is naturally implied by the data rate. Both RLC and MAC sublayers are transparent, i.e. no protocol control information is added, when no multiplexing of DTCH on MAC is applied. The data flow shown in Figure 7 is applicable. If multiplexing on MAC is performed, a MAC header is needed, and Figure 8 applies.

5.3.3.10 Data flow for DTCH (non-transparent RLC) mapped to DCH

In this case acknowledged or unacknowledged transmission on RLC is applied. A MAC header is needed only if multiple DTCH logical channels are multiplexed in MAC before mapping to a DCH, i.e. either the data flow in Figure 9 or Figure 10 is applicable.

5.3.3.11 Data flow for DCCH mapped to DCH

In this case non-transparent transmission mode on RLC is applied. A MAC header is needed only if DCCH and DTCH logical channels are multiplexed in MAC before mapping to a DCH, i.e. either the data flow in Figure 9 or Figure 10 is applicable.

5.4 Layer 3 - RRC Services and Functions

This sections provides an overview on services and functions provided by the RRC layer. A detailed description of the RRC protocol is given in UMTS YY.31 [9]. Examples of structured procedures involving RRC in Idle Mode and Connected Mode are described in UMTS YY.03 [5] and UMTS YY.04 [6], respectively.

5.4.1 RRC services

5.4.1.1 General Control

The GC SAP provides an information broadcast service. This service broadcasts information to all UEs in a certain geographical area. The basic requirements from such service are:

It should be possible to broadcast non-access stratum information in a certain geographical area.

The information is transferred on an unacknowledged mode link. Unacknowledged mode means that the delivery of the broadcast information can not be guaranteed (typically no retransmission scheme is used). It seems reasonable to use an unacknowledged mode link since the information is broadcast to a lot of UEs and since broadcast information often is repeated periodically.

It should be possible to do repeated transmissions of the broadcast information (how it is repeated is controlled by the non-access stratum).

The point where the UE received the broadcast information should be included, when the access stratum delivers broadcast information to the non-access stratum.

5.4.1.2 Notification

The Nt SAP provides paging and notification broadcast services. The paging service sends information to a specific UE(s). The information is broadcast in a certain geographical area but addressed to a specific UE(s). The basic requirements from such service are:

It should be possible to broadcast paging information to a number of UEs in a certain geographical area.

The information is transferred on an unacknowledged mode link. It is assumed that the protocol entities in non-access stratum handle any kind of retransmission of paging information.

The notification broadcast service broadcasts information to all UEs in a certain geographical. The basic requirements from this service are typically the same as for the information broadcast service of the GC SAP:

It should be possible to broadcast notification information in a certain geographical area.

The information is transferred on an unacknowledged mode link.

5.4.1.3 Dedicated Control

The DC SAP provides services for establishment/release of a connection and transfer of messages using this connection. It should also be possible to transfer a message during the establishment phase. The basic requirements from the establishment/release services are:

It should be possible to establish connections (both point and group connections).

It should be possible to transfer an initial message during the connection establishment phase. This message transfer has the same requirements as the information transfer service.

It should be possible to release connections.

The information transfer service sends a message using the earlier established connection. According to [1] it is possible to specify the quality of service requirements for each message. A finite number of quality of service classes will be specified in [1], but currently no class has been specified. In order to get an idea of the basic requirements, the CC and MM protocols in GSM are used as a reference. A GSM based core network is chosen since it is one main option for UMTS. Considering the existing GSM specification of CC and MM the basic requirements from the information transfer service are (these are some the services provided by RR and the data link layer in GSM):

Acknowledged mode link for transfer of messages

This acknowledged mode link guarantees that the CC and MM messages are transferred to the corresponding side. Acknowledged mode means that the delivery of the paging information can be guaranteed (some kind of retransmission scheme is used). A connection between two DC SAPs using an acknowledged mode link is called *signalling connection*. This link should also guarantee that no messages are lost or duplicated during handover.

Preserved message order

The order of the transferred messages is preserved.

Priority handling

If SMS messages should be transported through the control plane it should be possible to give higher priority to signalling messages.

The CC and MM protocols also expect other services, which can not be supported by the current primitives of the DC SAP, e.g. indication of radio link failure.

5.4.2 RRC functions

The Radio Resource Control (RRC) layer handles the control plane signalling of Layer 3 between the UEs and UTRAN. The RRC performs the following functions:

- **Broadcast of information provided by the non-access stratum (Core Network).** The RRC layer performs system information broadcasting from the network to all UEs. The system information is normally repeated on a regular basis. This function supports broadcast of higher layer (above RRC) information. This information may be cell specific or not. As an example RRC may broadcast Core Network location service area information related to some specific cells.
- **Broadcast of information related to the access stratum.** The RRC layer performs system information broadcasting from the network to all UEs. This function supports broadcast of typically cell-specific information.
- **Broadcast of ODMA relay node neighbour information.** The RRC layer performs probe information broadcasting to allow ODMA routing information to be collected.
- **Establishment, maintenance and release of an RRC connection between the UE and UTRAN.** The establishment of an RRC connection is initiated by a request from higher layers at the UE side to establish the first Signalling Connection for the UE. The establishment of an RRC connection includes an optional cell re-selection, an admission control, and a layer 2 signalling link establishment. The release of an RRC connection can be initiated by a request from higher layers to release the last Signalling Connection for the UE or by the RRC layer itself in case of RRC connection failure. The RRC layer detects loss of RRC connection and releases resources assigned for the RRC connection in case of connection failure.
- **Collating ODMA neighbour list and gradient information.** The ODMA relay node neighbour lists and their respective gradient information will be maintained by the RRC.
- **Maintenance of number of ODMA relay node neighbours.** The RRC will adjust the broadcast powers used for probing messages to maintain the desired number of neighbours.
- **Establishment, maintenance and release of a route between ODMA relay nodes.** The establishment of an ODMA route and RRC connection based upon the routing algorithm.
-
- **Interworking between the Gateway ODMA relay node and the UTRAN.** The RRC layer will control the interworking with the standard TDD or FDD communication link between the Gateway ODMA relay node and the UTRAN.
- **Establishment, reconfiguration and release of Radio Access Bearers.** The RRC layer can, on request from higher layers, perform the establishment, reconfiguration and release of radio access bearers in the user plane. A number of radio access bearers can be established to an UE at the same time. At establishment and reconfiguration, the RRC layer performs admission control and selects parameters describing the radio access bearer processing in layer 2 and layer 1, based on information from higher layers.
- **Assignment, reconfiguration and release of radio resources for the RRC connection.** The RRC layer handles the assignment of radio resources (e.g. codes) needed for the RRC connection including needs from both the control and user plane. The RRC layer may reconfigure radio resources during an established RRC connection. This function includes coordination of the radio resource allocation between multiple radio bearers related to the same RRC connection. RRC controls the radio resources in the uplink and downlink such that UE and UTRAN can communicate using unbalanced radio resources (asymmetric uplink and downlink). RRC signals to the UE to indicate resource allocations for purposes of handover to GSM or other radio systems.
- **RRC connection mobility functions.** The RRC layer performs evaluation, decision and execution related to RRC connection mobility during an established RRC connection, such as handover, preparation of handover to GSM or other systems, cell re-selection and cell/paging area update procedures, based on e.g. measurements done by the UE.
- **Arbitration of the radio resource allocation between the cells.** This function shall ensure optimal performance of the overall UTRAN capacity.
- **Control of requested QoS.** This function shall ensure that the QoS requested for the radio access bearers can be met. This includes the allocation of a sufficient number of radio resources.
- **UE measurement reporting and control of the reporting.** The measurements performed by the UE are controlled by the RRC layer, in terms of what to measure, when to measure and how to report, including both UMTS air interface and other systems. The RRC layer also performs the reporting of the measurements from the UE to the network.
- **Outer loop power control.** The RRC layer controls setting of the target of the closed loop power control.
- **Control of ciphering.** The RRC layer provides procedures for setting of ciphering (on/off) between the UE and UTRAN.

- **Slow DCA.** Allocation of preferred radio resources based on long-term decision criteria. It is applicable only in TDD mode.
- **Contention resolution.** The RRC handles reallocations and releases of radio resources in case of collisions indicated by lower layers in TDD mode.

The following functions are regarded as further study items:

- Initial cell selection and re-selection in idle mode. Idle mode is a further study item.
- Paging/notification. The RRC layer can broadcast paging information from the network to selected UEs. Paging and notification can be requested by higher layers on the network side. The RRC layer can also initiate paging during an established RRC connection.
- Congestion control. Further study item.
- Routing of higher layer PDUs. This function performs at the UE side routing of higher layer PDUs to the correct higher layer entity, at the UTRAN side to the correct RANAP entity.
- [Editor's note: The need for this function will be discussed with SMG12. A decision is expected in December.]

5.5 Interactions between RRC and lower layers in the C plane

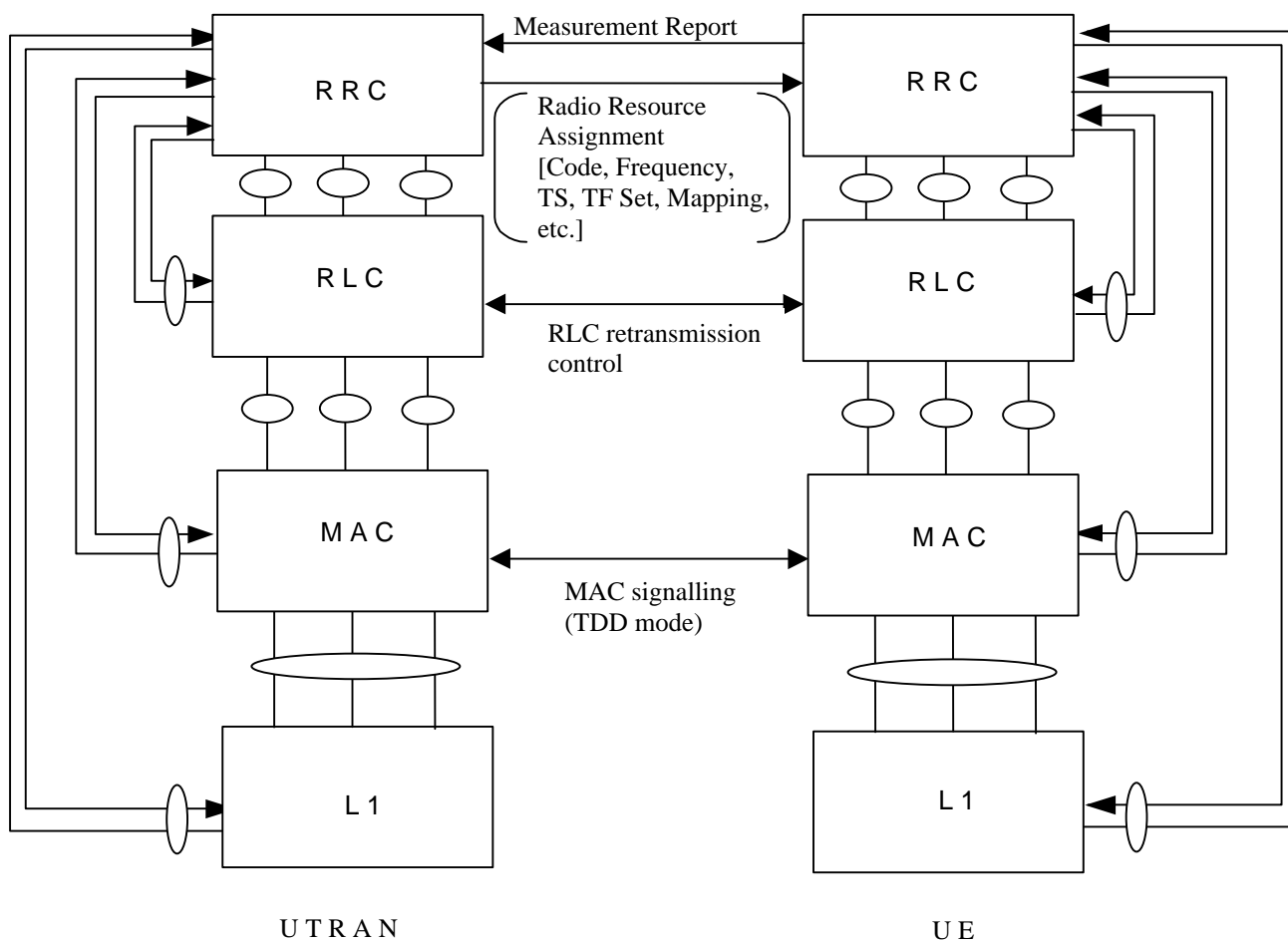


Figure 11: Interactions between RRC and lower layers

The RRC protocol controls and signals the allocation of radio resources to the UE. RRC allows MAC to arbitrate between users and radio access bearers within the radio resource allocation. The RRC uses the measurements done by the lower layers to determine which radio resources that are available. Therefore it is a need for a measurement report from the UE RRC to the UTRAN RRC. Figure 11 illustrates the principle. The local control and local measurements reporting is handled through the control SAPs between RRC and the lower layers.

[Editor's note: Measurement reporting by RLC will be needed only if traffic volume monitoring is performed on RLC. Currently this function is assumed to be handled by MAC.]

5.6 Protocol termination

This section specifies in which node of the UTRAN the radio interface protocols are terminated, i.e. where within UTRAN the respective protocol services are accessible.

[Editor’s note: It is assumed that for each channel type only one case of protocol termination shall be supported by the initial UMTS standard (first release 1999) and be mandatory on the multi-vendor interfaces. Only for RACH/FACH a decision on the supported protocol termination is pending. Two (slightly) different cases, referred to as cases A and C, are under consideration. Further optional solutions for protocol termination, which may be considered for future releases of the UMTS standard are described in the Annex.]

5.6.1 Protocol termination for DCH

Figure 12 and Figure 13 show the protocol termination for DCH for the control and user planes, respectively. The part of physical layer terminating in the Serving RNC is the topmost macro-diversity combining and splitting function for the FDD mode. If no macrodiversity applies, the physical layer is terminated in Node B.

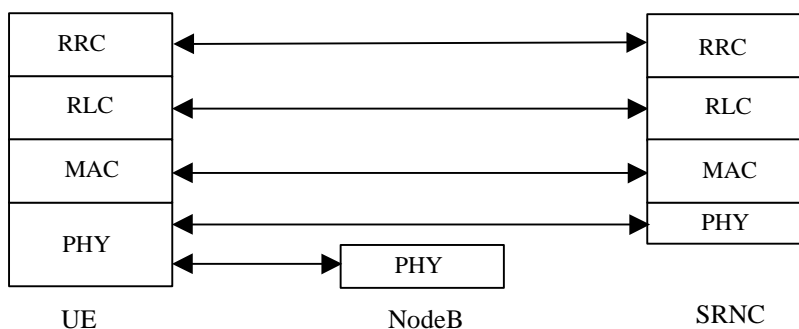


Figure 12: Protocol Termination for DCH, control plane

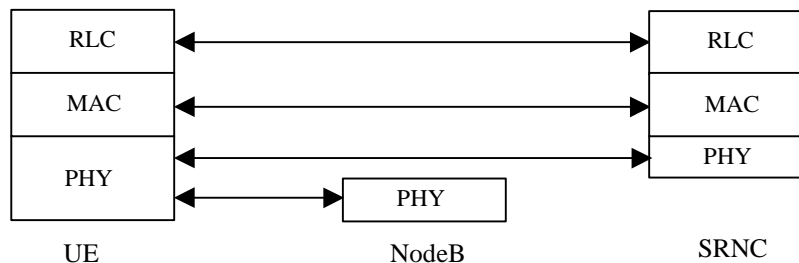


Figure 13: Protocol Termination for DCH, user plane

5.6.2 Protocol termination for RACH/FACH

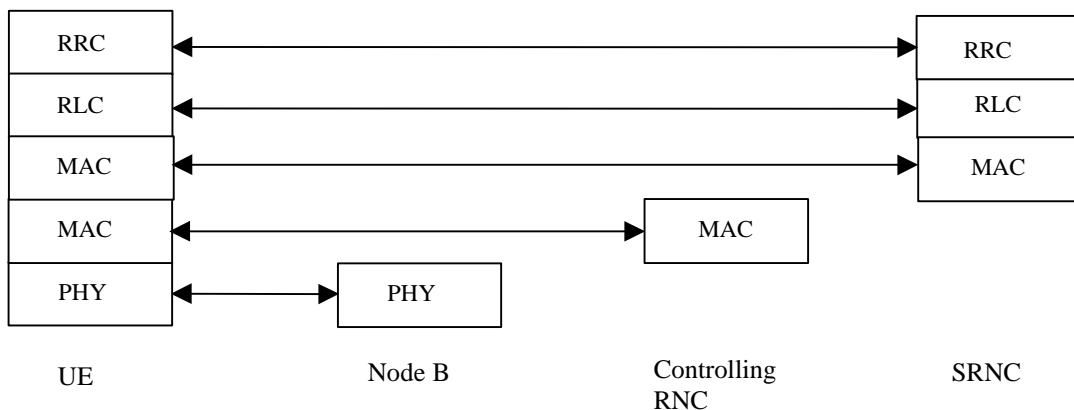
Figure 14 and Figure 15 show the protocol termination for RACH/FACH for the control and user planes, respectively. Control plane termination refers to the case where RACH/FACH carry dedicated or common control information (i.e. CCCH or DCCH). User plane termination refers to the case where RACH/FACH carry user data (DTCH). In both user and control planes there are two alternatives for protocol terminations referred to as cases A and C (a third case, referred to as case B, is described in the Annex).

In case A, the physical layer terminates in Node B. MAC is split between Controlling and Serving RNC. RLC, and in the C plane also RRC terminate in the Serving RNC. Since Iur can support common channel data streams, the users of that common channel can depend on different SRNCs. However, they depend on the same Controlling RNC. Therefore, for a given user, the Controlling RNC and the Serving RNC can be separate RNCs.

In case C the MAC sublayer is split between Node B, Controlling and Serving RNC. MAC in Node B provides acknowledgements to RACH messages and the scheduling of all transmissions on FACH.

It is assumed that macrodiversity/soft handover is not applied for RACH/FACH. Therefore the physical layer terminates in Node B for all cases.

Case A:



Case C:

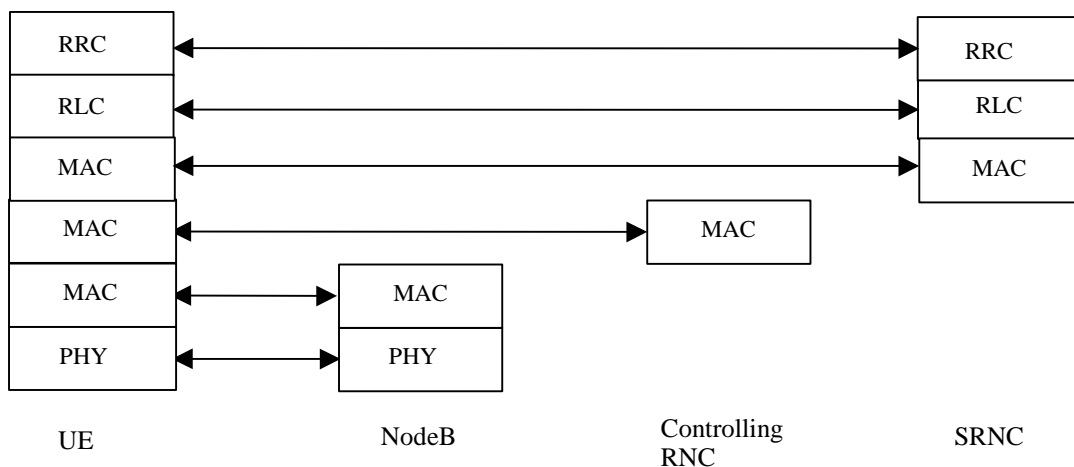
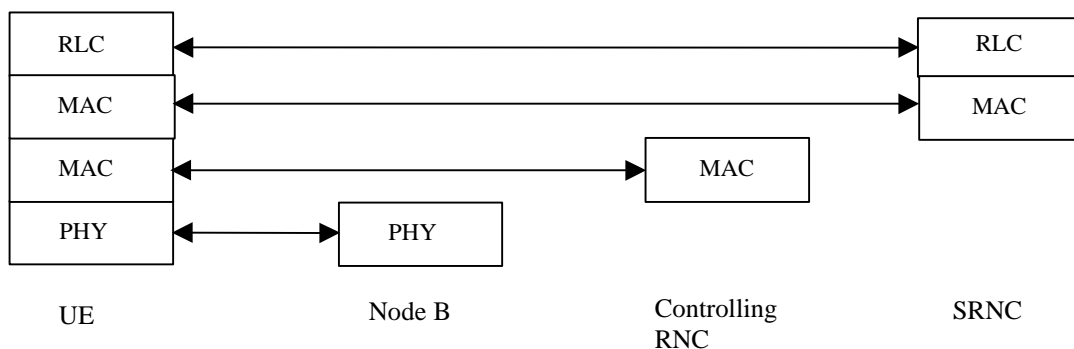


Figure 14: Protocol Termination for RACH/FACH, control plane

Case A:



Case C:

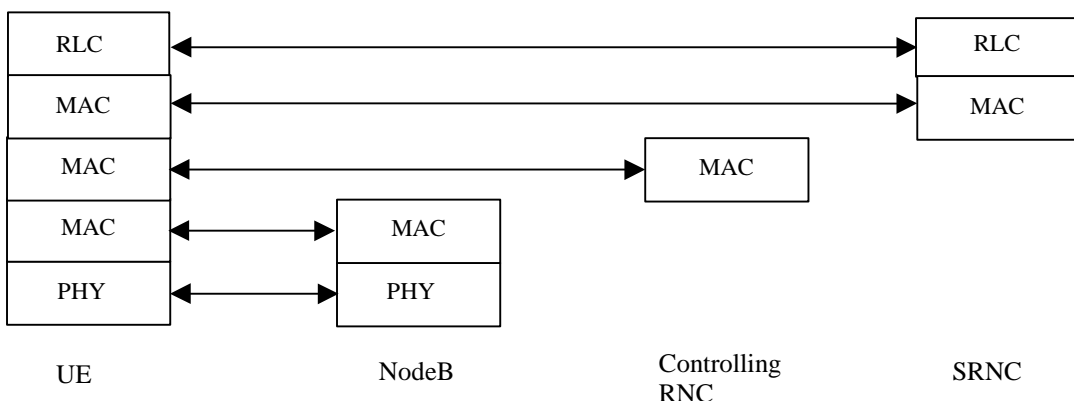


Figure 15: Protocol Termination for RACH/FACH, user plane

5.6.3 Protocol termination for FAUSCH

Protocol termination for the FAUSCH is the same as for the RACH in the control plane (see Figure 14), since FAUSCH is for control purposes only.

5.6.4 Protocol termination for DSCH

[Note: Not all concepts and cases described in this section need to be supported by the initial UMTS standard (first release 1999). Selection of the cases and functionality to be included in the first release requires further study.]

5.6.4.1 DSCH definition

The DSCH is a resource that exists in downlink only. It has only impact on the physical and transport channel levels, so there is no definition of shared channel in the logical channels provided by MAC.

The DSCH is a transport channel shared dynamically between several UEs. The DSCH is mapped to one or several physical channels such that a specified part of the downlink code tree is employed. For the DSCH no macrodiversity is applied, i.e. a specific DSCH is transmitted in a single cell only.

The following two DSCH cases are presently considered, in the following denoted as cases A and B:

Case A: The DSCH is defined as an extension to DCH transmission. DSCH related resource allocation is signalled utilizing the transport format indication field (TFI) that will be mapped to the TFCI of the associated DCH.

Case B: The DSCH is defined as a shared downlink channel for which resource allocation, including UE identification, is signalled on another common downlink channel, referred to as DSCH Control Channel.

Note: For case B it is assumed that DSCH and DSCH Control Channel employ individual channelization codes each. Time multiplexing of user data (DSCH) and control information (DSCH Control Channel) is not considered.

Note also that a third case of DSCH definition, where the DSCH was defined as a stand-alone channel providing in-band UE identification is not considered any more. This case has been identified as being equivalent to a FACH and is as such already included in the radio interface specification.

Interleaving for the DSCH may be applied over a multiplicity of radio frames. Nevertheless, here the basic case is considered where the interleaving is rectangular for a given MAC PDU, and equal to one radio frame (10 ms). The framing is synchronised on the SCH.

In every radio frame, one or several codes can be used in the downlink. Therefore, the DSCH supports code multiplexing. Nevertheless, one code may correspond to more than one UE, because MAC multiplexing of Transport Blocks is allowed on a frame by frame basis. MAC multiplexing shall not be applied within a radio frame, i.e. the whole radio frame for one code is assigned to a single UE.

5.6.4.2 Resource allocation and UE identification on DSCH

The principles of capacity allocation and UE identification on the DSCH are described in more detail below.

[Editor's note: The two resource allocation methods of the cases A and B might be used simultaneously for one DSCH, i.e. some UEs may use an associated DSCH Control Channel and some UEs may use an associated DCH for resource allocation while transmitting data on the same DSCH. This option is ffs.]

5.6.4.2.1 Case A (UE requires a downlink TFCI on a DPCCH)

The TFCI of the dedicated physical channel may carry the information that a given code of the DSCH must be listened to by the UE. Fast power control can be applied per code based on the dedicated physical control channel, DPCCH. When MAC multiplexing is performed on that code level, then fast power control will have to take into account the farthest UE who needs to listen to the channel.

Alternatively, a UE may be requested on the DCH to listen to a DSCH for a given period of time, and to decode the data so that the address of the destination UE can be decoded. This does not require more TFCI values because signalling is done in layers 2 and 3.

5.6.4.2.2 Case B (UE requires a downlink DSCH Control Channel)

The information which DSCH code to listen to and when is sent on an additional downlink channel to the UE (essentially a broadcast channel). This channel, is referred to as *DSCH Control Channel*. It is code multiplexed on the downlink and should convey the following information, which is modified every radio frame:

Layer 1 information

TPC bits for each UE which would have an uplink DCH (ffs.)

Information on the Transport Format of the DSCH (codes)

Layer 2 information

Identity of the UEs who should receive information on the DSCH.

This concept allows to perform power control on the DSCH, whereas the DSCH Control Channel would be less efficient in terms of power control efficiency (need to power control on the farthest UE).

[Editor's note: It is considered ffs. whether the DSCH Control Channel requires a new type of transport channel or whether a specific FACH transport channel can be used for this purpose.]

5.6.4.3 Model of DSCH in UTRAN

Figure 16 captures the working assumption on the Downlink Shared Channel (DSCH). The two RLCs point to logical channel (DTCH) specific RLC-entities of specific users while MAC refers to the provision of MAC sublayer functions for all users.

The MAC sublayer of a DSCH is split between the Controlling RNC and SRNC. For a given user, the RLC sublayer of a DSCH is terminated in its SRNC. Since Iur can support DSCH data streams, the users on that DSCH can depend on different SRNCs. For a given user, the Controlling RNC and the Serving RNC can be separate RNCs. The MAC in the network takes care of mapping downlink data either to a common channel (FACH, not shown in this figure), DCH or the DSCH. Figure 16 also includes the DSCH Control Channel, needed for case B of DSCH definition only. See UMTS YY.21 [8] for details on MAC architecture.

[Editor's note: should the box "DSCH control channel" be moved to Node B and respectively the MAC pulled down to Node B?]

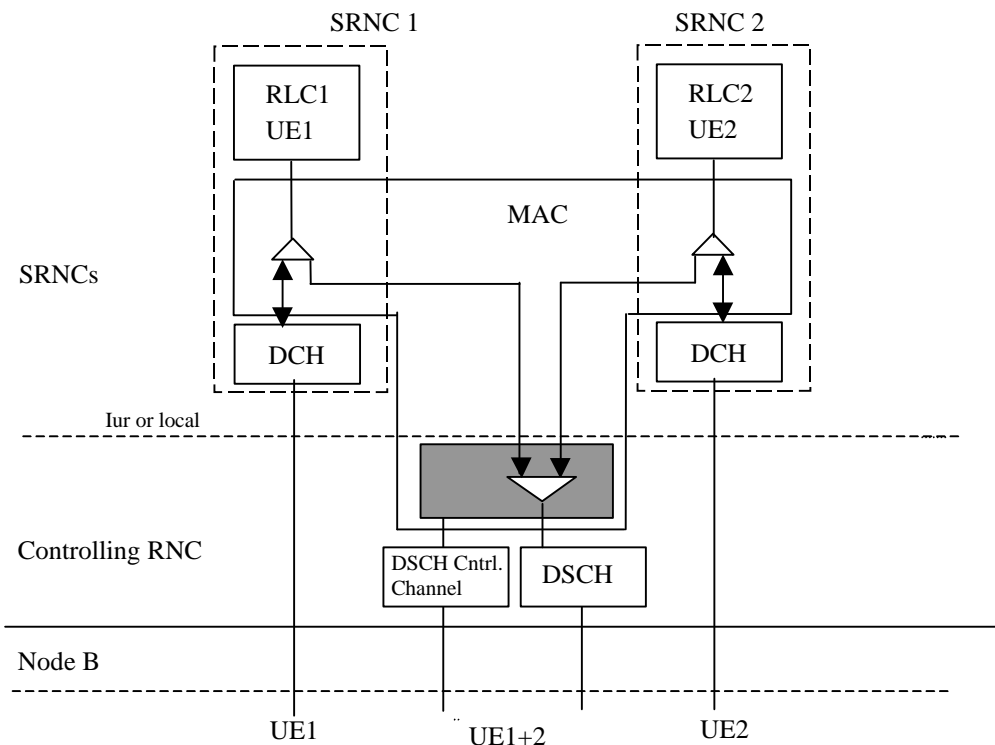


Figure 16: Model of downlink shared channel (DSCH) in UTRAN

5.6.4.4 Protocol termination

The protocol termination points for DSCH in control and user planes are presented in Figure 17 and Figure 18, respectively.

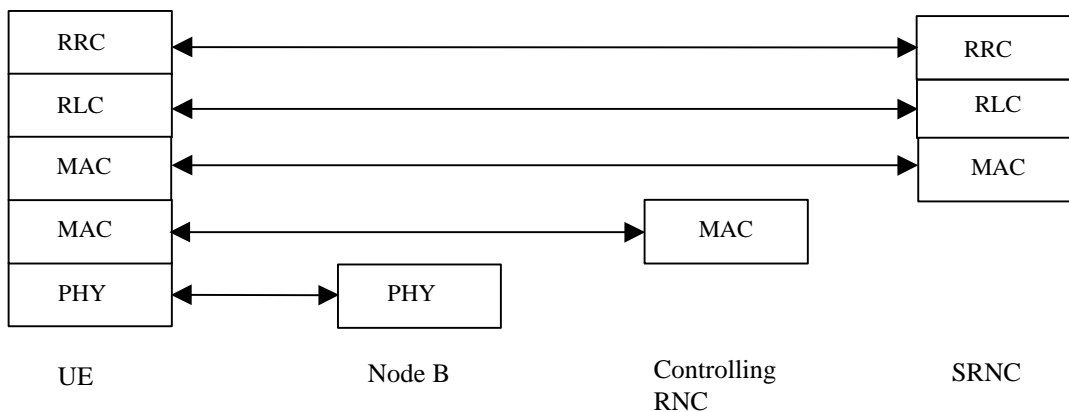


Figure 17: Protocol termination points for DSCH, control plane.

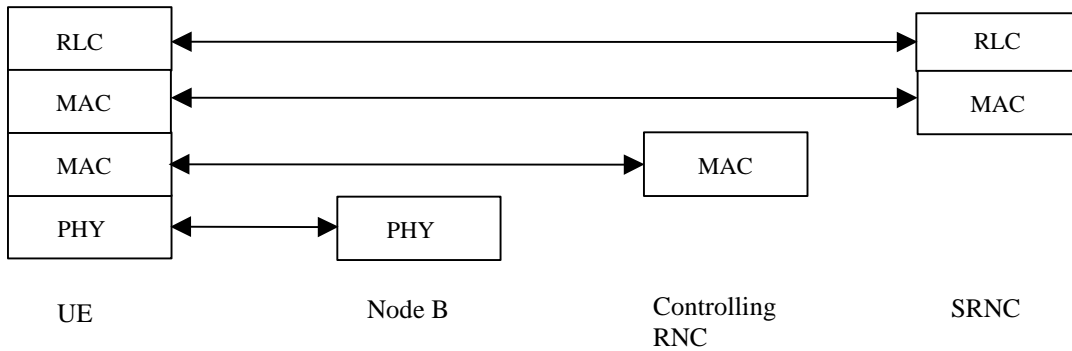


Figure 18: Protocol termination points for DSCH, user plane.

5.6.5 Protocol termination for transport channel of type BCH

System information on BCH can include information which is available only in Node B, and need to be updated very frequently (each 10-100 ms), such as uplink interference in the cell. Also, for the system information originating from the RNC, it is assumed that the updating of system information is at least one magnitude less (minutes) than the repetition frequency on the BCH (in the order of 1s). Protocol termination for the BCH shall therefore reside in the Node B, resulting in less signalling on Iub and lower processor load. Note that the RLC sublayer is transparent for this transport channel type.

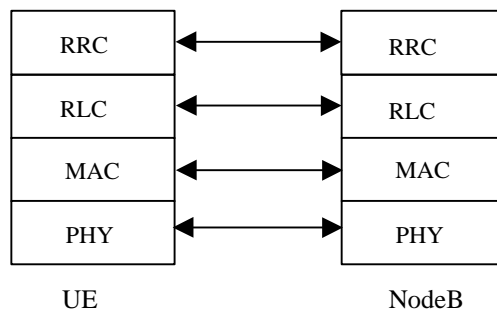


Figure 19: Protocol termination for BCH.

5.6.6 Protocol termination for transport channel of type PCH

Since a Node B possibly can control several cells, the paging distribution signalling can be reduced if the Node B handles the distribution to each cell it controls. This results in less paging signalling on the Iub interface and thus lower processor load for distribution of paging. Protocol termination for the PCH shall therefore reside in the Node B. Note that the RLC sublayer is transparent for this transport channel type.

[Editor's note: Paging/notification is a further study item. It needs to be clarified whether paging is done by the RRC layer.]

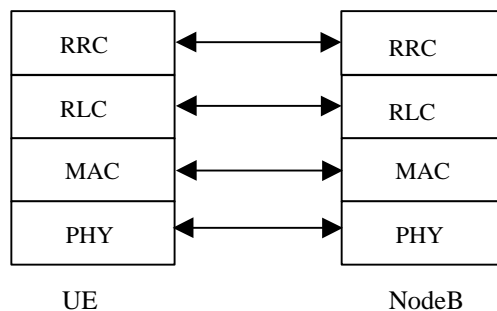


Figure 20: Protocol termination for PCH

5.6.7 Protocol termination for ODCH

Figure 21 and Figure 22 show the protocol termination for ODCH in the control and user planes, respectively.

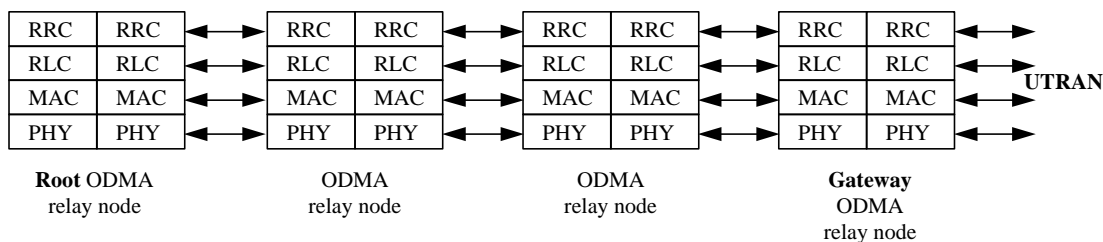


Figure 21: Protocol Termination for the ODCH in the Control Plane

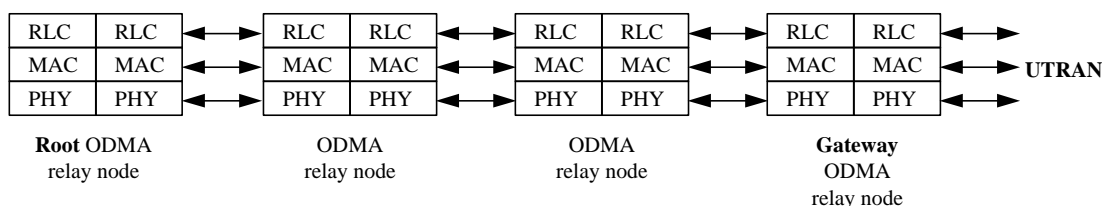


Figure 22: Protocol Termination for the ODCH in the User Plane

NOTE: The current mechanisms and procedures carried out by the RLC and the MAC for the DCH will require minor, subtle modifications to enable them to handle the ODCH.

5.6.8 Protocol termination for ORACH

The protocol termination for ORACH for the control and user planes are illustrated in Figure 23 and Figure 24, respectively. The shown ODMA relay nodes may be either UE_R, Seed, Root, or Gateway.

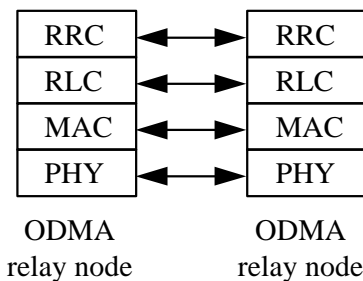


Figure 23: Protocol Termination for ORACH control plane

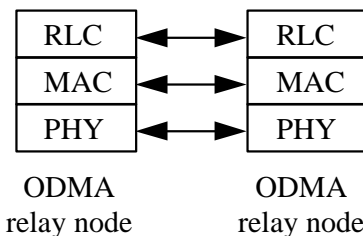


Figure 24: Protocol Termination for ORACH user plane

6 User Identification and RRC Connection Mobility

6.1 UE identification within UTRAN on common radio channels

A Radio Network Temporary Identity (RNTI) is used as an UE identifier on RACH/FACH by the MAC protocol, or on PCH by the RRC, when a RRC connection exists.

The RNTI is allocated by UTRAN when the RRC connection is established and deallocated when the RRC connection is released.

[Editors note: Initial access, when no RRC connection exists, needs further study. The following two methods could be applied: (i) The initial access message carried on RACH/FACH transport channels and CCCH logical channel includes a unique UE identity (e.g. TMSI + LAI). (ii) The initial access message includes a temporary identity. The unique UE identity is then exchanged in a second phase after establishment of DCH transport channels on DCCH. In TDD mode, the first approach may imply initial access message length too large to be carried on RACH. Therefore the above second approach is preferred for TDD. In FDD mode, the first approach would be preferable. It is thus currently not decided whether the same or different initial access methods will need to be applied in FDD and TDD modes. Further contributions on this issue are invited.]

A network allocated RNTI is conveyed to the UE on layer 3 (RRC) and then used by layer 2 (MAC) to identify the UE. A specific RNTI is valid in several cells, thus decreasing the RNTI reallocation signalling for moving inactive packet data UE's.

The area which is covered by these cells is called 'UTRAN registration area (URA)', since the UE has to register with UTRAN when crossing the area border.

6.2 UE connection to UTRAN

The different levels of UE connection to UTRAN are listed below:

- No signalling connection exist
The UE has no relation to UTRAN, only to CN. For data transfer, a signalling connection has to be established.
- Signalling connection exist
There is a RRC connection between UE and UTRAN. The UE position can be known on different levels:
 - UTRAN Registration Area (URA) level
The UE position is known on UTRAN registration area level as defined in Sec. 71.
 - Cell level
The UE position is known on cell level. Different channel types can be used for data transfer:
 - Common channels (RACH/FACH),
 - Dedicated channels (DCH); note that FAUSCH can be used to allocate a dedicated channel for data transmission.

7 UE modes

The modes of the UE are illustrated in Figure 25.

After power on, the UE stays in idle mode until it transmits a request to establish an RRC connection. In idle mode the UE is identified by non-access stratum identities such as IMSI, TMSI and TLLI. In addition, the UTRAN has no own information about the individual idle mode UEs, and can only address e.g. all UEs in a cell or all UEs in a paging group. The connected mode is entered when the RRC connection is established. The UE is assigned a radio network temporary identity (RNTI) to be used as UE identity on common transport channels. *[Note: The exact definition of RRC connection needs further refinement.]*

The UE leaves the connected mode and returns to idle mode when the RRC connection is released or at RRC connection failure. *[Note: whether UE power off causes RRC connection release and/or RRC connection failure is FFS.]*

[Note: Other modes than idle mode and connected mode, such as separate mode(s) for the reception of point-to-multipoint information, are FFS.]

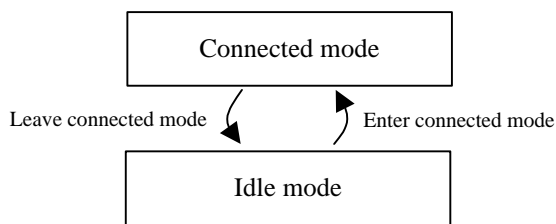


Figure 25: UE Modes.

8 Annex A (informative): Protocol termination

This Annex describes protocol termination cases which have been excluded from the initial UMTS release. These cases are captured here for information. They potentially may be considered for future releases.

A.1 Alternative protocol termination for DCH

Figure 26 and Figure 27 show an alternative protocol termination case for DCH for the control and user planes, respectively, referred to as Case B. This case would be applicable when macrodiversity at RNC level is not applied, i.e. especially for DCH in the TDD mode.

Case B:

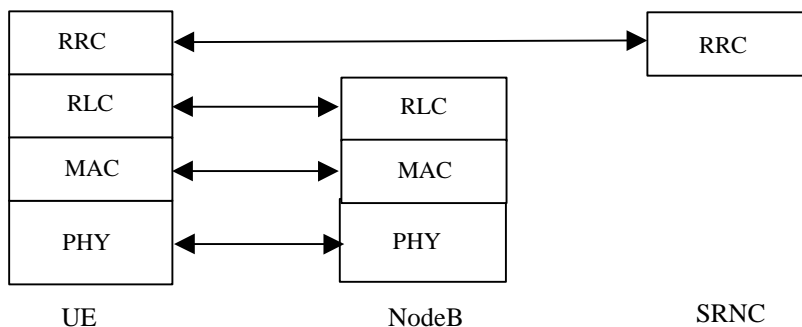


Figure 26: Protocol Termination for DCH, control plane

Case B:

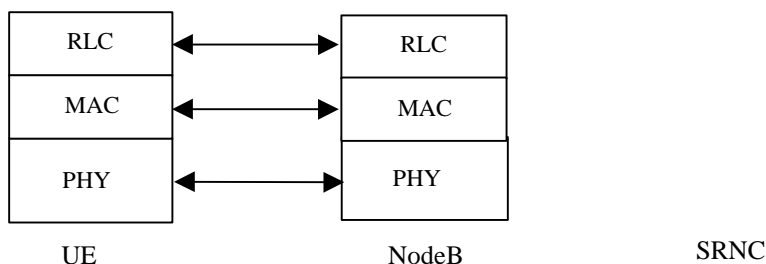


Figure 27: Protocol Termination for DCH, user plane

A.2 Protocol termination for RACH/FACH

Figure 28 and Figure 29 show an alternative protocol termination case for RACH/FACH for the control and user planes, respectively, referred to as Case B.

In case B, the physical layer, MAC and RLC terminate in Node B.

Case B:

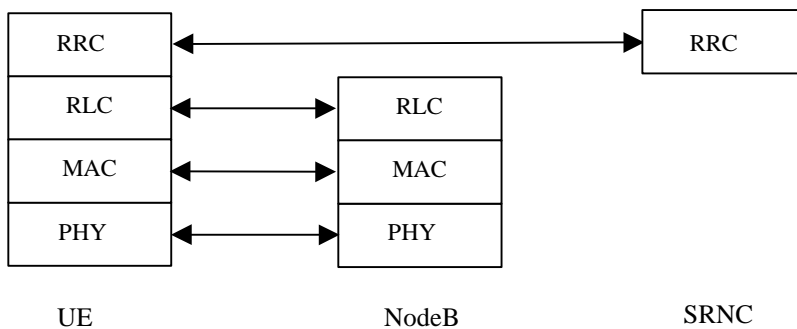


Figure 28: Protocol Termination for RACH/FACH, control plane

Case B:

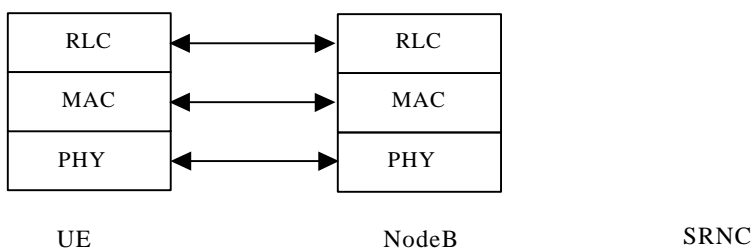


Figure 29: Protocol Termination for RACH/FACH, user plane

History

Document history		
Date	Version	Comment
April 1998	0.0.1	First draft
April 1998	0.0.2	Layout converted into ETSI format, minor revisions
April 1998	0.0.3	Changes agreed at the joint UMTS Architecture and L2&L3 Expert Groups meeting, April 27-28, 1998.
May 1998	0.1.0	Changes agreed at the L2&L3 Expert Group meeting, May 13-14, 1998. Document presented to SMG2#26.
July 1998	0.2.0	Changes agreed at the L2&L3 Expert Group meeting, June 23-26, 1998: MAC services, updated MAC functions, updated 7.3.2 Retransmission protocol services and functions, updated RRC functions, updated 8. User Identity and RRC Connection Mobility, included Document presented at UMTS Ad Hoc #6, Stratford, July 6-8, 1996.
August 1998	0.2.1	Update of Sec. 7.2.1.1: inclusion of SHCH, RRC functions "contention resolution" and "congestion control" added as ffs. Document presented at the L2&L3 Expert Group meeting #5, Helsinki, Sept. 1-4, 1998.
September 1998	0.2.2	Changes agreed at L2&L3 Expert Group meeting #5, Helsinki, Sept. 1-4, 1998: Sec. 5.2: abbreviation list updated Sec. 6: Fig. 1 updated, descriptive text added Sec. 7.1: LAC removed, text and Fig. 2 updated Sec. 7.2.1.1: SHCH replaced with DSCH (new definition), SCH included Sec. 7.2.1.2: updates with respect to TDD mode Sec. 7.2.2: function CRC handling included Sec. 7.3.1.1: MAC services updated Sec. 7.3.1.1.1: new section on logical channels included Sec. 7.3.1.1.2: new section on mapping between logical and transport channels included Sec. 7.3.1.2: MAC functions updated Sec. 7.3.2.2: RLC functions updated Sec. 7.4.2: new RRC function "control of ciphering" included Sec. 7.5: new section included on interactions between MAC and RRC Sec. 7.6: new section on protocol termination included Sec. 8.1: marked as ffs item Sec. 8.2: all references to "activity" removed
September 1998	0.3.0	References in Sec. 4. and cross-refs in text updated/corrected terminology: "assured/unassured" replaced with "acknowledged/unacknowledged" All references to "RLC-C/U" replaced with "RLC" Fig. 2: SAPs between RRC-MAC and RRC-L1 removed, text adapted. Sec. 7.2.1.1: DSCH, missing bullet line on fast power control included Sec. 7.2.1.2: Fig.3, "demultiplexing" changed to "demultiplexing/splitting", handling of TFI/TFCI corrected Sec. 7.2.2: function "CRC handling" renamed "error detection" Sec. 7.3.2.2: function segmentation/reassembly, text updated; function "QoS adaptation" renamed "QoS setting" and included as RLC service in Sec 7.3.2.1 Sec. 7.6: Protocol termination "options" renamed to "cases", editorial note included Sec. 7.6.2 Protocol termination for DSCH included

October 1998	0.3.1	Changes agreed at L2&L3 Expert Group meeting #6, Milan, Oct. 6-9, 1998.
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November 1998	0.4.1	Changes proposed by editor.
November 1998	0.5.0	Changes agreed at L2&L3 Expert Group meeting #7, Paris, Nov. 12-13, 1998. Document presented to SMG2#28.
December 1998	1.0.0	Inclusion of further changes agreed at L2&L3 Expert Group meeting #7, Paris, Nov. 12-13, 1998.
December 1998	1.0.1	Inclusion of changes agreed at L2&L3 Expert Group meeting #8, Sophia Antipolis, Dec. 9-11, 1998: Sec. 7.1: Control SAPs in text and. Fig. 2 included. Sec. 7.3.2.1: RLC service description updated Sec. 7.4.2: RRC functions updated Sec. 7.5: Control SAPs in text and. Fig. 11 included. Sec. 7.6.4: DSCH definitions updated according to latest working assumptions, including Fig. 16.
January 1999	1.0.2	Corrections according to comments distributed via email. Presented at L2&L3 Expert Group meeting #9, Helsinki, Jan. 18-19, 1999:
January 1999	1.0.3	Inclusion of changes agreed at L2&L3 Expert Group meeting #9, Helsinki, Jan. 18-19, 1999: Sec. 7.3.1.2, MAC function "Dynamic transport channel switching" moved from ffs items to agreed functions list. Sec. 7.3.2.2, RLC function "Padding" included. Sec. 7.3.3, editorial note on transparent transmission definition, and RLC segmentation/reassembly in transparent mode included. Sec. 7.3.3.4, data flow for CCCH, transparent mode RLC included. Secs. 7.6.4.1 and 7.6.4.2.1, DSCH definitions updated. Sec. 8.1, RNTI for PCH corrected, editorial note on initial access schemes included.
January 1999	1.0.4	Re-formatted for SMG#28 Clause renumbered
Rapporteur for UMTS YY.01 is:		
Wolfgang Granzow Ericsson Eurolab Germany Tel. : +49 911 5217 308 Fax : +49 911 5217 950 Email : wolfgang.granzow@eedn.ericsson.se		
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