**3GPP TSG-WG2 Meeting #109e *draft\_R2-200xxxx***

**E-Meeting, 24th February - 6th March, 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **36.300** | **CR** | **1267** | **rev** | **2** | **Current version:** | **16.0.0** |  |
|  | | | | | | | | |
| *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:*** | Introduction of Rel-16 eMTC enhancements | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Intel Corporation | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | LTE\_eMTC5-Core | | | | |  | ***Date:*** | | | 2020-03-06 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **B** |  | | | | | ***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 explanations 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)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | To capture the agreements on Rel-16 eMTC enhancements.  Agreements made until RAN2#108 are captured in R2-1916424. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | Agreements on the following topics are captured.   1. Connection to 5GC    1. CP/UP CIoT 5GS optimization    2. CP EDT    3. eDRX    4. I-RNTI 2. Scheduling multiple UL/DL TBs 3. Downlink Quality report 4. MT EDT 5. PUR 6. ETWS/CMAS in RRC\_CONNECTED 7. new AS RAI 8. coesxitance with NR | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | Stage 2 details on the Rel-16 eMTC enhancements would be missing. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 2, 3.2, 5.1.3, 7, 7.3x(new), 8.1, 10.1.4, 10.1.5.1, 11, 11.x(new), 15.3, 16.1.x, 23.7b, 24 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS/TR TS 36.331 CR xxxx  TS/TR TS 36.321 CR xxxx  TS/TR TS 36.304 CR xxxx  TS/TR TS 36.306 CR xxxx... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | Revision of R2-2001097 submitted to RAN2#109e.  Revision of R2-1916361 submitting to RAN2#109.  R2-1916361 is revision of R2-1914860 capturing agreements from RAN2#108.  R2-1914036 is revision of R2-1912864 capturing agreements from RAN2#107bis.  R2-1912864 is revision of initial version in R2-1910387 in RAN2#107. | | | | | | | | |

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| Start of the change |

# 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. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

[1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".

[2] 3GPP TR 25.913: "Requirements for Evolved UTRA (E-UTRA) and Evolved UTRAN (E-UTRAN)".

[3] 3GPP TS 36.201: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer; General description".

[4] 3GPP TS 36.211:"Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Channels and Modulation".

[5] 3GPP TS 36.212: "Evolved Universal Terrestrial Radio Access (E-UTRA); Multiplexing and channel coding".

[6] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer procedures".

[7] 3GPP TS 36.214: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer; Measurements".

[8] IETF RFC 4960 (09/2007): "Stream Control Transmission Protocol".

[9] 3GPP TS 36.302: "Evolved Universal Terrestrial Radio Access (E-UTRA); Services provided by the physical layer".

[10] Void

[11] 3GPP TS 36.304: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) procedures in idle mode".

[12] 3GPP TS 36.306: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) radio access capabilities".

[13] 3GPP TS 36.321: "Evolved Universal Terrestrial Radio Access (E-UTRA); Medium Access Control (MAC) protocol specification".

[14] 3GPP TS 36.322: "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Link Control (RLC) protocol specification".

[15] 3GPP TS 36.323: "Evolved Universal Terrestrial Radio Access (E-UTRA); Packet Data Convergence Protocol (PDCP) specification".

[16] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Resource Control (RRC) protocol specification".

[17] 3GPP TS 23.401: "Technical Specification Group Services and System Aspects; GPRS enhancements for E-UTRAN access".

[18] 3GPP TR 24.801: "3GPP System Architecture Evolution (SAE); CT WG1 aspects".

[19] 3GPP TS 23.402: "3GPP System Architecture Evolution: Architecture Enhancements for non-3GPP accesses".

[20] 3GPP TS 24.301: "Non-Access-Stratum (NAS) protocol for Evolved Packet System (EPS); Stage 3".

[21] 3GPP TS 36.133: "Evolved Universal Terrestrial Radio Access (E-UTRA); "Requirements for support of radio resource management".

[22] 3GPP TS 33.401: "3GPP System Architecture Evolution: Security Architecture".

[23] 3GPP TS 23.272: "Circuit Switched Fallback in Evolved Packet System; Stage 2".

[24] Void.

[25] 3GPP TS 36.413: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); S1 Application Protocol (S1AP)".

[26] 3GPP TS 23.003: "Numbering, addressing and identification".

[27] 3GPP TR 25.922: "Radio Resource Management Strategies".

[28] 3GPP TS 23.216: "Single Radio voice Call continuity (SRVCC); Stage 2".

[29] 3GPP TS 32.421: "Subscriber and equipment trace: Trace concepts and requirements".

[30] 3GPP TS 32.422: "Subscriber and equipment trace; Trace control and configuration management".

[31] 3GPP TS 32.423: "Subscriber and equipment trace: Trace data definition and management".

[32] Void.

[33] 3GPP TS 22.220: "Service Requirements for Home NodeBs and Home eNodeBs".

[34] 3GPP TS 22.268: "Public Warning System (PWS) Requirements".

[35] IETF RFC 3168 (09/2001): "The Addition of Explicit Congestion Notification (ECN) to IP".

[36] 3GPP TS 25.446: "MBMS synchronisation protocol (SYNC)".

[37] 3GPP TS 22.168: "Earthquake and Tsunami Warning System (ETWS) requirements; Stage 1".

[38] Void.

[39] Void.

[40] 3GPP TS 29.274: "Tunnelling Protocol for Control Plane (GTPv2-C); Stage 3".

[41] 3GPP TS 29.061: "Interworking between the Public Land Mobile Network (PLMN) supporting packet based services and Packet Data Networks (PDN)".

[42] 3GPP TS 36.423: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 Application Protocol (X2AP)".

[43] 3GPP TS 37.320: "Universal Terrestrial Radio Access (UTRA) and Evolved Universal Terrestrial Radio Access (E-UTRA); Radio measurement collection for Minimization of Drive Tests (MDT); Overall description; Stage 2".

[44] 3GPP TS 36.443: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); M2 Application Protocol (M2AP)".

[45] 3GPP TS 36.444: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); M3 Application Protocol (M3AP)".

[46] 3GPP TS 36.420: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 general aspects and principles".

[47] 3GPP TS 29.281: "General Packet Radio System (GPRS) Tunnelling Protocol User Plane (GTPv1-U)"

[48] 3GPP TS 23.246: "Multimedia Broadcast/Multicast Service (MBMS); Architecture and functional description"

[49] 3GPP TS 26.346: "Multimedia Broadcast/Multicast Service (MBMS); Protocols and codecs"

[50] 3GPP TR 36.816: "Evolved Universal Terrestrial Radio Access (E-UTRA); Study on signalling and procedure for interference avoidance for in-device coexistence".

[51] 3GPP TS 36.305: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Stage 2 functional specifications of User Equipment (UE) positioning in E-UTRAN".

[52] 3GPP TS 36.101: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) radio transmission and reception".

[53] 3GPP TS 33.320: "Security of Home Node B (HNB) / Home evolved Node B (HeNB)".

[54] 3GPP TS 23.251: "Technical Specification Group Services and System Aspects; Network Sharing; Architecture and functional description".

[55] 3GPP TS 23.139: "3GPP system – fixed broadband access network interworking".

[56] 3GPP TS 23.007: "Technical Specification Group Core Network and Terminals; Restoration procedures".

[57] 3GPP TS 23.682: "Architecture enhancements to facilitate communications with packet data networks and applications".

[58] 3GPP TS 24.312: "Access Network Discovery and Selection Function (ANDSF) Management Object (MO)".

[59] 3GPP TR 36.842: "Study on Small Cell enhancements for E-UTRA and E-UTRAN; Higher layer aspects"

[60] 3GPP TR 36.932: "Scenarios and Requirements for Small Cell Enhancements for E-UTRA and E-UTRAN".

[61] 3GPP TS 36.425: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 interface user plane protocol".

[62] 3GPP TS 23.303: "Technical Specification Group Services and System Aspects; Proximity-based services (ProSe)"

[63] 3GPP TS 36.314: "Evolved Universal Terrestrial Radio Access (E-UTRA); Layer 2 - Measurements".

[64] 3GPP TR 36.889: "Study on Licensed-Assisted Access to Unlicensed Spectrum".

[65] IEEE 802.11, Part 11: "Wireless LAN Medium Access Control (MAC) and Physical Layer (PHY) specifications, IEEE Std.".

[66] 3GPP TS 36.360: "LTE-WLAN Aggregation Adaptation Protocol (LWAAP) specification".

[67] 3GPP TS 24.302: "Access to the 3GPP Evolved Packet Core (EPC) via non-3GPP access networks".

[68] 3GPP TS 36.361: "LTE/WLAN Radio Level Integration Using IPsec Tunnel (LWIP) encapsulation; Protocol specification".

[69] 3GPP TS 36.463: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN) and Wireless LAN (WLAN); Xw application protocol (XwAP)".

[70] 3GPP TS 33.402: "3GPP System Architecture Evolution (SAE); Security aspects of non-3GPP accesses".

[71] 3GPP TS 22.185: "Service requirements for V2X services; Stage 1".

[72] 3GPP TS 23.285: "Technical Specification Group Services and System Aspects; Architecture enhancements for V2X services".

[73] IETF RFC 7567 "IETF Recommendations Regarding Active Queue Management".

[74] 3GPP TS 26.114: "Technical Specification Group Services and System Aspects; IP Multimedia Subsystem (IMS); Multimedia Telephony; Media handling and interaction".

[75] 3GPP TS 24.386: "User Equipment (UE) to V2X control function; protocol aspects; Stage 3".

[76] 3GPP TS 37.340: "Evolved Universal Terrestrial Radio Access (E-UTRA) and NR; Multi-connectivity".

[77] 3GPP TS 23.280: "Common functional architecture to support mission critical services; Stage 2".

[78] 3GPP TS 36.355: " Evolved Universal Terrestrial Radio Access (E-UTRA);LTE Positioning Protocol (LPP)".

[79] 3GPP TS 38.300: "NR; NR and NG-RAN Overall Description, Stage 2".

[80] 3GPP TS 37.324: "NR; Service Data Protocol (SDAP) specification".

[81] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) specification".

[82] 3GPP TS 23.501: "System Architecture for the 5G System; Stage 2".

[83] 3GPP TS 23.502: "Procedures for the 5G System; Stage 2".

[84] 3GPP TS 29.002: "Mobile Application Part (MAP) specification".

[85] 3GPP TS 25.412: "UTRAN Iu interface signalling transport".

[86] 3GPP TS 38.423: "NG-RAN; Xn Application Protocol (XnAP)".

[87] Void

[88] 3GPP TS 38.101-1: "NR; User Equipment (UE) radio transmission and reception; Part 1: Range 1 Standalone".

[89] 3GPP TS 38.306: "NR; User Equipment (UE) radio access capabilities".

[90] 3GPP TS 37.213: "Physical layer procedures for shared spectrum channel access".

[xx] 3GPP TS 24.501: "Non-Access-Stratum (NAS) protocol for 5G System (5GS); Stage 3".

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## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

1xCSFB Circuit Switched Fallback to 1xRTT

5GC 5G Core Network

ABS Almost Blank Subframe

AC Access Category

ACK Acknowledgement

ACLR Adjacent Channel Leakage Ratio

AM Acknowledged Mode

AMBR Aggregate Maximum Bit Rate

ANDSF Access Network Discovery and Selection Function

ANR Automatic Neighbour Relation

ARP Allocation and Retention Priority

ARQ Automatic Repeat Request

AS Access Stratum

AUL Autonomous Uplink

BCCH Broadcast Control Channel

BCH Broadcast Channel

BL Bandwidth reduced Low complexity

BR-BCCH Bandwidth Reduced Broadcast Control Channel

BSR Buffer Status Report

C/I Carrier-to-Interference Power Ratio

CA Carrier Aggregation

CAZAC Constant Amplitude Zero Auto-Correlation

CBC Cell Broadcast Center

CC Component Carrier

CG Cell Group

CIF Carrier Indicator Field

CIoT Cellular Internet of Things

CMAS Commercial Mobile Alert Service

CMC Connection Mobility Control

C-plane Control Plane

C-RNTI Cell RNTI

CoMP Coordinated Multi Point

CP Cyclic Prefix

CQI Channel Quality Indicator

CRC Cyclic Redundancy Check

CRE Cell Range Extension

CRS Cell-specific Reference Signal

CSA Common Subframe Allocation

CSG Closed Subscriber Group

CSI Channel State Information

CSI-IM CSI interference measurement

CSI-RS CSI reference signal

DC Dual Connectivity

DCCH Dedicated Control Channel

DCN Dedicated Core Network

DeNB Donor eNB

DFTS DFT Spread OFDM

DL Downlink

DMTC Discovery Signal Measurement Timing Configuration

DRB Data Radio Bearer

DRS Discovery Reference Signal

DRX Discontinuous Reception

DTCH Dedicated Traffic Channel

DTX Discontinuous Transmission

DwPTS Downlink Pilot Time Slot

E-CID Enhanced Cell-ID (positioning method)

E-RAB E-UTRAN Radio Access Bearer

E-UTRA Evolved UTRA

E-UTRAN Evolved UTRAN

EAB Extended Access Barring

ECGI E-UTRAN Cell Global Identifier

ECM EPS Connection Management

EDT Early Data Transmission

eHRPD enhanced High Rate Packet Data

eIMTA Enhanced Interference Management and Traffic Adaptation

EMM EPS Mobility Management

eNB E-UTRAN NodeB

EPC Evolved Packet Core

EPDCCH Enhanced Physical Downlink Control Channel

EPS Evolved Packet System

ETWS Earthquake and Tsunami Warning System

FDD Frequency Division Duplex

FDM Frequency Division Multiplexing

G-RNTI Group RNTI

GBR Guaranteed Bit Rate

GERAN GSM EDGE Radio Access Network

GNSS Global Navigation Satellite System

GP Guard Period

GRE Generic Routing Encapsulation

GSM Global System for Mobile communication

GUMMEI Globally Unique MME Identifier

GUTI Globally Unique Temporary Identifier

GWCN GateWay Core Network

GWUS Group Wake Up Signal

H-SFN Hyper System Frame Number

HARQ Hybrid ARQ

(H)eNB eNB or HeNB

HO Handover

HPLMN Home Public Land Mobile Network

HRPD High Rate Packet Data

HSDPA High Speed Downlink Packet Access

ICIC Inter-Cell Interference Coordination

IDC In-Device Coexistence

IP Internet Protocol

ISM Industrial, Scientific and Medical

KPAS Korean Public Alert System

L-GW Local Gateway

LAA Licensed-Assisted Access

LB Load Balancing

LBT Listen Before Talk

LCG Logical Channel Group

LCR Low Chip Rate

LCS LoCation Service

LHN Local Home Network

LHN ID Local Home Network ID

LIPA Local IP Access

LMU Location Measurement Unit

LPPa LTE Positioning Protocol Annex

LTE Long Term Evolution

LWA LTE-WLAN Aggregation

LWAAP LTE-WLAN Aggregation Adaptation Protocol

LWIP LTE WLAN Radio Level Integration with IPsec Tunnel

LWIP-SeGW LWIP Security Gateway

MAC Medium Access Control

MBMS Multimedia Broadcast Multicast Service

MBR Maximum Bit Rate

MBSFN Multimedia Broadcast multicast service Single Frequency Network

MCCH Multicast Control Channel

MCE Multi-cell/multicast Coordination Entity

MCG Master Cell Group

MCH Multicast Channel

MCS Modulation and Coding Scheme

MDT Minimization of Drive Tests

MeNB Master eNB

MGW Media Gateway

MIB Master Information Block

MIMO Multiple Input Multiple Output

MME Mobility Management Entity

MMTEL Multimedia telephony

MO-EDT Mobile Originated Early Data Transmission

MPDCCH MTC Physical Downlink Control Channel

MSA MCH Subframe Allocation

MSI MCH Scheduling Information

MSP MCH Scheduling Period

MTC Machine-Type Communications

MTCH Multicast Traffic Channel

MT-EDT Mobile Terminated Early Data Transmission

MTSI Multimedia Telephony Service for IMS

N2 Reference point between the NG-RAN and the AMF

NACK Negative Acknowledgement

NAS Non-Access Stratum

NB-IoT Narrow Band Internet of Things

NCC Next Hop Chaining Counter

NCGI NR Cell Global Identifier

NCR Neighbour Cell Relation

NG-RAN NG Radio Access Network

NH Next Hop key

NNSF NAS Node Selection Function

NPBCH Narrowband Physical Broadcast channel

NPDCCH Narrowband Physical Downlink Control channel

NPDSCH Narrowband Physical Downlink Shared channel

NPRACH Narrowband Physical Random Access channel

NPUSCH Narrowband Physical Uplink Shared channel

NPRS Narrowband Positioning Reference Signal

NPSS Narrowband Primary Synchronization Signal

NR NR Radio Access

NRT Neighbour Relation Table

NSSS Narrowband Secondary Synchronization Signal

OFDM Orthogonal Frequency Division Multiplexing

OFDMA Orthogonal Frequency Division Multiple Access

OPI Offload Preference Indicator

OTDOA Observed Time Difference Of Arrival (positioning method)

P-GW PDN Gateway

P-RNTI Paging RNTI

PA Power Amplifier

PAPR Peak-to-Average Power Ratio

PBCH Physical Broadcast CHannel

PBR Prioritised Bit Rate

PCC Primary Component Carrier

PCCH Paging Control Channel

PCell Primary Cell

PCFICH Physical Control Format Indicator CHannel

PCH Paging Channel

PCI Physical Cell Identifier

PDCCH Physical Downlink Control CHannel

PDCP Packet Data Convergence Protocol

PDN Packet Data Network

PDSCH Physical Downlink Shared CHannel

PDU Protocol Data Unit

PHICH Physical Hybrid ARQ Indicator CHannel

PHY Physical layer

PLMN Public Land Mobile Network

PMCH Physical Multicast CHannel

PMK Pairwise Master Key

PPPP ProSe Per-Packet Priority

PPPR ProSe Per-Packet Reliability

PRACH Physical Random Access CHannel

PRB Physical Resource Block

ProSe Proximity based Services

PSBCH Physical Sidelink Broadcast CHannel

PSC Packet Scheduling

PSCCH Physical Sidelink Control CHannel

PSCell Primary SCell

PSDCH Physical Sidelink Discovery CHannel

PSK Pre-Shared Key

PSM Power Saving Mode

PSSCH Physical Sidelink Shared CHannel

pTAG Primary Timing Advance Group

PTW Paging Time Window

PUCCH Physical Uplink Control Channel

PUR Preconfigured Uplink Resource

PUSCH Physical Uplink Shared CHannel

PWS Public Warning System

QAM Quadrature Amplitude Modulation

QCI QoS Class Identifier

QoE Quality of Experience

QoS Quality of Service

R-PDCCH Relay Physical Downlink Control CHannel

RA-RNTI Random Access RNTI

RAC Radio Admission Control

RACH Random Access Channel

RANAC RAN-based Notification Area code

RAT Radio Access Technology

RB Radio Bearer

RBC Radio Bearer Control

RCLWI RAN Controlled LTE-WLAN Interworking

RF Radio Frequency

RIBS Radio-interface based synchronization

RIM RAN Information Management

RLC Radio Link Control

RMTC RSSI Measurement Timing Configuration

RN Relay Node

RNA RAN-based Notification Area

RNAU RAN-based Notification Area Update

RNC Radio Network Controller

RNL Radio Network Layer

RNTI Radio Network Temporary Identifier

ROHC Robust Header Compression

ROM Receive Only Mode

RRC Radio Resource Control

RRM Radio Resource Management

RU Resource Unit

S-GW Serving Gateway

S-RSRP Sidelink Reference Signal Received Power

S1-MME S1 for the control plane

SAE System Architecture Evolution

SAP Service Access Point

SBCCH Sidelink Broadcast Control Channel

SC-FDMA Single Carrier – Frequency Division Multiple Access

SC-MCCH Single Cell Multicast Control Channel

SC-MTCH Single Cell Multicast Transport Channel

SC-N-RNTI Single Cell Notification RNTI

SC-PTM Single Cell Point To Multiploint

SC-RNTI Single Cell RNTI

SCC Secondary Component Carrier

SCell Secondary Cell

SCG Secondary Cell Group

SCH Synchronization Channel

SCTP Stream Control Transmission Protocol

SD-RSRP Sidelink Discovery Reference Signal Received Power

SDAP Service Data Adaptation Protocol

SDF Service Data Flow

SDMA Spatial Division Multiple Access

SDU Service Data Unit

SeGW Security Gateway

SeNB Secondary eNB

SFN System Frame Number

SI System Information

SI-RNTI System Information RNTI

S1-U S1 for the user plane

SIB System Information Block

SIPTO Selected IP Traffic Offload

SIPTO@LN Selected IP Traffic Offload at the Local Network

SL-BCH Sidelink Broadcast Channel

SL-DCH Sidelink Discovery Channel

SL-RNTI Sidelink RNTI

SL-SCH Sidelink Shared Channel

SPDCCH Short PDCCH

SPID Subscriber Profile ID for RAT/Frequency Priority

SPT Short Processing Time

SPUCCH Short PUCCH

SR Scheduling Request

SRB Signalling Radio Bearer

sTAG Secondary Timing Advance Group

STCH Sidelink Traffic Channel

SU Scheduling Unit

TA Tracking Area

TAG Timing Advance Group

TB Transport Block

TCP Transmission Control Protocol

TDD Time Division Duplex

TDM Time Division Multiplexing

TEID Tunnel Endpoint Identifier

TFT Traffic Flow Template

TM Transparent Mode

TMGI Temporary Mobile Group Identity

TNL Transport Network Layer

TTI Transmission Time Interval

U-plane User plane

UAC Unified Access Control

UDC Uplink Data Compression

UE User Equipment

UL Uplink

UM Unacknowledged Mode

UMTS Universal Mobile Telecommunication System

UpPTS Uplink Pilot Time Slot

UTRA Universal Terrestrial Radio Access

UTRAN Universal Terrestrial Radio Access Network

V2I Vehicle-to-Infrastructure

V2N Vehicle-to-Network

V2P Vehicle-to-Pedestrian

V2V Vehicle-to-Vehicle

V2X Vehicle-to-Everything

VRB Virtual Resource Block

WLAN Wireless Local Area Network

WT WLAN Termination

WUS Wake Up Signal

X2-C X2-Control plane

X2 GW X2 GateWay

X2-U X2-User plane

Xw-C Xw-Control plane

Xw-U Xw-User plane

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# 5 Physical Layer for E-UTRA

<skipped>

### 5.1.3 Physical downlink control channels

The downlink control signalling (PDCCH) is located in the first *n* OFDM symbols where *n*  4 and consists of:

- Transport format and resource allocation related to DL-SCH and PCH, and hybrid ARQ information related to DL-SCH;

- Transport format, resource allocation, and hybrid-ARQ information related to UL-SCH;

- Resource allocation information related to SL-SCH and PSCCH.

Transmission of control signalling from these groups is mutually independent.

Multiple physical downlink control channels are supported and a UE monitors a set of control channels.

Control channels are formed by aggregation of control channel elements, each control channel element consisting of a set of resource elements. Different code rates for the control channels are realized by aggregating different numbers of control channel elements.

QPSK modulation is used for all control channels.

Each separate control channel has its own set of x-RNTI.

There is an implicit relation between the uplink resources used for dynamically scheduled data transmission, or the DL control channel used for assignment, and the downlink ACK/NAK resource used for feedback.

The physical layer supports R-PDCCH for the relay.

The enhanced physical downlink control channel (EPDCCH) carries UE-specific signalling. It is located in UE-specifically configured physical resource blocks and consists of:

- Transport format, resource allocation, and hybrid ARQ information related to DL-SCH;

- Transport format, resource allocation, and hybrid-ARQ information related to UL-SCH;

- Resource allocation information related to SL-SCH and PSCCH.

Multiple EPDCCHs are supported and a UE monitors a set of EPDCCHs.

EPDCCHs are formed by aggregation of enhanced control channel elements, each enhanced control channel element consisting of a set of resource elements. Different code rates for EPDCCHs are realized by aggregating different numbers of enhanced control channel elements. An EPDCCH can use either localized or distributed transmission, differing in the mapping of enhanced control channel elements to the resource elements in the PRBs.

EPDCCH supports C-RNTI and SPS C-RNTI and UL Semi-Persistent Scheduling V-RNTI and SL-RNTI and SL-V-RNTI and SL Semi-Persistent Scheduling V-RNTI, and AUL C-RNTI, and SRS-TPC-RNTI. If configured, EPDCCH is applicable in the same way as PDCCH unless otherwise specified.

The MTC physical downlink control channel (MPDCCH) is used for bandwidth-reduced operation and carries common and UE-specific signalling.

Multiple MPDCCHs are supported and a UE monitors a set of MPDCCHs.

MPDCCHs are formed by aggregation of enhanced control channel elements, each enhanced control channel element consisting of a set of resource elements. Different code rates for MPDCCHs are realized by aggregating different numbers of enhanced control channel elements. An MPDCCH can use either localized or distributed transmission, differing in the mapping of enhanced control channel elements to the resource elements in the PRBs.

MPDCCH supports RA-RNTI, P-RNTI, C-RNTI, Temporary C-RNTI, SPS C-RNTI, SC-RNTI and G-RNTI. For non-BL UEs in RRC\_CONNECTED, MPDCCH supports SI-RNTI.

The short physical downlink control channel (SPDCCH) carries UE-specific signalling. It is located in UE-specifically configured physical resource blocks and consists of:

- Transport format, resource allocation, and hybrid ARQ information related to DL-SCH;

- Transport format, resource allocation, and hybrid-ARQ information related to UL-SCH;

Multiple SPDCCHs are supported and a UE monitors a set of SPDCCHs.

SPDCCHs are formed by aggregation of short control channel elements (SCCEs), each short control channel element consisting of a set of resource elements. Different code rates for SPDCCHs are realized by aggregating different numbers of SCCEs. An SPDCCH can use either localized or distributed transmission, differing in the mapping of SCCEs to the resource elements in the PRBs.

SPDCCH supports C-RNTI and SPS C-RNTI. If configured, SPDCCH is applicable in the same way as PDCCH unless otherwise specified.

For NB-IoT, the narrowband physical downlink control channel (NPDCCH) is located in available symbols of configured subframes. Within a PRB pair, two control channel elements are defined, with each control channel element composed of resources within a subframe. NPDCCH supports aggregations of 1 and 2 control channel elements and repetition. NPDCCH supports C-RNTI, Temporary C-RNTI, P-RNTI, RA-RNTI, SC-RNTI, G-RNTI, and SPS C-RNTI.

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# 7 RRC

## 7.0 General

This clause provides an overview on services and functions provided by the RRC sublayer.

## 7.1 Services and Functions

The main services and functions of the RRC sublayer include:

- Broadcast of System Information related to the non-access stratum (NAS);

- Broadcast of System Information related to the access stratum (AS);

- Paging;

- Establishment, maintenance and release of an RRC connection between the UE and E-UTRAN including:

- Allocation of temporary identifiers between UE and E-UTRAN;

- Configuration of signalling radio bearer(s) for RRC connection:

- Low priority SRB and high priority SRB;

- For NB-IoT, a new UE dedicated SRB is supported before AS security is activated and only one UE dedicated SRB is supported after AS security is activated;

- For a NB-IoT UE that supports S1-U data transfer or User Plane CIoT EPS optimization, as defined in TS 24.301 [20]:

- One DRB is supported by default and up to two DRBs are supported optionally;

- For a UE that supports User Plane CIoT EPS optimization, as specified in TS 24.301 [20]; or

- For a UE that supports User Plane CIoT 5GS Optimisation, as specified in TS 24.501 [xx]:

- Suspension/resuming of the RRC connection;

- Security functions including key management;

- Establishment, configuration, maintenance and release of point to point Radio Bearers;

- Mobility functions including:

- UE measurement reporting and control of the reporting for inter-cell and inter-RAT mobility;

- Handover;

- UE cell selection and reselection and control of cell selection and reselection;

- Context transfer at handover.

- Notification and counting for MBMS services;

- Establishment, configuration, maintenance and release of Radio Bearers for MBMS services;

- QoS management functions;

- UE measurement reporting and control of the reporting;

- NAS direct message transfer to/from NAS from/to UE.

## 7.2 RRC protocol states & state transitions

RRC uses the following states:

- **RRC\_IDLE**:

- PLMN selection;

- DRX configured by NAS;

- Broadcast of system information;

- Paging;

- Cell re-selection mobility;

- The UE shall have been allocated an id which uniquely identifies the UE in a tracking area;

- No RRC context stored in the eNB and ng-eNB (except for a UE that supports User Plane CIoT EPS optimizations, as specified in TS 24.301 [20] and User Plane CIoT 5GS Optimisations, as specified in TS 24.501 [xx], where a context may be stored for the resume procedure);

- Sidelink communication transmission and reception;

- Sidelink discovery announcement and monitoring;

- V2X sidelink communication transmission and reception;

- MO-EDT;

- MT-EDT;

- Transmission using PUR.

- **RRC\_CONNECTED**:

- UE has an E-UTRAN-RRC connection;

- UE has context in E-UTRAN;

- E-UTRAN knows the cell which the UE belongs to;

- Network can transmit and/or receive data to/from UE;

- Network controlled mobility (handover and inter-RAT cell change order to GERAN with NACC);

- Neighbour cell measurements;

- Sidelink communication transmission and reception;

- Sidelink discovery announcement and monitoring;

- V2X sidelink communication transmission and reception;

- At PDCP/RLC/MAC level:

- UE can transmit and/or receive data to/from network;

- UE monitors control signalling channel for shared data channel to see if any transmission over the shared data channel has been allocated to the UE;

- UE also reports channel quality information and feedback information to eNB;

- DRX period can be configured according to UE activity level for UE power saving and efficient resource utilization. This is under control of the eNB.

E-UTRA connected to 5GC additionally supports RRC\_INACTIVE state, which has the same characteristics as RRC\_INACTIVE of NR connected to 5GC, as specified in TS 38.300 [79].

## 7.3 Transport of NAS messages

The AS provides reliable in-sequence delivery of NAS messages in a cell. During handover, message loss or duplication of NAS messages can occur.

In E-UTRAN, NAS messages are either concatenated with RRC messages or carried in RRC without concatenation. Upon arrival of concurrent NAS messages for the same UE requiring both concatenation with RRC for the high priority queue and also without concatenation for the lower priority queue, the messages are first queued as necessary to maintain in-sequence delivery.

In downlink, when an EPS bearer (EPC) or PDU Session (5GC) establishment or release procedure is triggered, or for EDT in case of Control Plane CIoT EPS optimization or Control Plane CIoT 5GS Optimisation, the NAS message should normally be concatenated with the associated RRC message. When the EPS bearer (EPC) or PDU Session (5GC) is modified and when the modification also depends on a modification of the radio bearer, the NAS message and associated RRC message should normally be concatenated. Concatenation of DL NAS with RRC message is not allowed otherwise. In uplink, concatenation of NAS messages with RRC message is used only for transferring the initial NAS message during connection setup and for EDT in case of Control Plane CIoT EPS optimization or Control Plane CIoT 5GS Optimisation. Initial Direct Transfer is not used in E-UTRAN and no NAS message is concatenated with RRC connection request.

Multiple NAS messages can be sent in a single downlink RRC message during EPS bearer (EPC) or PDU Session (5GC) establishment or modification. In this case, the order of the NAS messages in the RRC message shall be kept the same as that in the corresponding S1-AP (EPC) or NG-AP (5GC) message in order to ensure the in-sequence delivery of NAS messages.

NOTE: NAS messages are integrity protected and ciphered by PDCP, in addition to the integrity protection and ciphering performed by NAS.

## 7.3a CIoT signalling reduction optimizations

### 7.3a.1 General

Which solution of CIoT signalling reduction optimizations to be used is configured over NAS signalling between the UE and the MME or the AMF.

For NB-IoT, PDCP is not used while AS security is not activated.

### 7.3a.2 Control Plane CIoT EPS/5GS optimizations

The RRC connection established for Control Plane CIoT EPS Optimisations, as defined in TS 24.301 [20], and Control Plane CIoT 5GS Optimisation, as defined in TS 24.501 [xx], are characterized as below:

- A UL NAS signalling message or UL NAS message carrying data can be transmitted in a UL RRC container message (see Figure 7.3a.2-1). A DL NAS signaling or DL NAS data can be transmitted in a DL RRC container message;

- for NB-IoT:

- RRC connection reconfiguration is not supported;

- Data radio bearer (DRB) is not used;

- AS security is not used;

- A non-anchor carrier can be configured for all unicast transmissions during RRC connection establishment or re-establishment.

- There is no differentiation between the different data types (i.e. IP, non-IP or SMS) in the AS.



Figure 7.3a.2-1: The RRC connection established for Control Plane CIoT EPS/5GS Optimizations

### 7.3a.3 User Plane CIoT EPS/5GS optimizations

The RRC connection established for User Plane CIoT EPS Optimisation, as defined in TS 24.301 [20], and User Plane CIoT 5GS Optimisation, as defined in TS 24.501 [xx], are characterized as below:

- A RRC connection suspend procedure is used at RRC connection release, the (ng-)eNB may request the UE to retain the UE AS context including UE capability in RRC\_IDLE;

- A RRC connection resume procedure is used at transition from RRC\_IDLE to RRC\_CONNECTED where previously stored information in the UE as well as in the (ng-)eNB is utilised to resume the RRC connection. In the message to resume, the UE provides a Resume ID (for EPS) or I-RNTI (for 5GS) to be used by the (ng-)eNB to access the stored information required to resume the RRC connection;

- At suspend-resume, security is continued. Re-keying is not supported in RRC connection resume procedure. The short MAC-I is reused as the authentication token at RRC connection reestablishment procedure and RRC connection resume procedure by the UE. For EPS, the eNB provides the NCC in the *RRCConnectionResume* message as well. And also the UE resets the COUNT;

- Multiplexing of CCCH and DTCH in the transition from RRC\_IDLE to RRC CONNECTED is not supported;

- For NB-IoT, a non-anchor carrier can be configured for all unicast transmissions when an RRC connection is re-established, resumed or reconfigured additionally when an RRC connection is established.

The RRC connection suspend and resume procedures are illustrated in Figures 7.3a.3-1/7.3a.3-1a and 7.3a.3-2/7.3a.3-2a, respectively. Note that the description here is only intended as an overview and all parameters are therefore not listed in the message flows.



Figure 7.3a.3-1: RRC Connection Suspend procedure in EPS



Figure 7.3a.3-1a: RRC Connection Suspend procedure in 5GS

1. Due to some triggers, e.g. the expiry of a UE inactivity timer, the (ng-)eNB decides to suspend the RRC connection.

2. In EPS, the eNB initiates the S1-AP UE Context Suspend procedure to inform the MME that the RRC connection is being suspended. In 5GS, the ng-eNB initiates the NG-AP UE Context Suspend procedure to inform the AMF that the RRC connection is being suspended.

3. In EPS, the MME requests the S-GW to release all S1-U bearers for the UE. In 5GS, the AMF requests the SMF to suspend the PDU session and the SMF requests the UPF to release the tunnel information for the UE.

4. MME/AMF Acks step 2.

5. The (ng-)eNB suspends the RRC connection by sending an *RRCConnectionRelease* message with the *releaseCause* set to *rrc-Suspend*. For EPS, the message includes the Resume ID which is stored by the UE and optionally, for EDT and transmission using PUR, the message also includes the *NextHopChainingCount* which is stored by the UE. For 5GS, the message includes the I-RNTI and *NextHopChainingCount* which are stored by the UE.

6. The UE stores the AS context, suspends all SRBs and DRBs, and enters RRC\_IDLE.



Figure 7.3a.3-2: RRC Connection Resume procedure in EPS



Figure 7.3a.3-2a: RRC Connection Resume procedure in 5GS

1. At some later point in time (e.g. when the UE is being paged or when new data arrives in the uplink buffer) the UE resumes the connection by sending an *RRCConnectionResumeRequest* to the (ng-)eNB. The UE includes its Resume ID (for EPS) or I-RNTI (for 5GS), the establishment cause, and authentication token. The authentication token is calculated in the same way as the short MAC-I used in RRC connection re-establishment and allows the (ng-)eNB to verify the UE identity. For 5GS, the UE resumes SRB1, derives new security keys using the *NextHopChainingCount* provided in the *RRCConnectionRelease* message of the previous RRC connection and re-establishes the AS security.

2. Provided that the Resume ID (for EPS) or I-RNTI (for 5GS) exists and the authentication token is successfully validated, the (ng-)eNB responds with an *RRCConnectionResume*. For EPS, the message includes the Next Hop Chaining Count (NCC) value which is required in order to re-establish the AS security.

3. For EPS, the UE resumes all SRBs and DRBs and re-establishes the AS security. For 5GS, the UE resumes all other SRBs and all DRBs. The UE is now in RRC\_CONNECTED.

4. The UE responds with an *RRCConnectionResumeComplete* confirming that the RRC connection was resumed successfully, along with an uplink Buffer Status Report, and/or UL data, whenever possible, to the (ng-)eNB.

5. For EPS, the eNB initiates the S1-AP Context Resume procedure to notify the MME about the UE state change. For 5GS, the ng-eNB initiates the NG-AP Context Resume procedure to notify the AMF about the UE state change.

6. For EPS, the MME requests the S-GW to activate the S1-U bearers for the UE. For 5GS, the AMF requests the SMF to resume the PDU session and the SMF requests the UPF to establish the tunnel information for the UE.

7. MME/AMF Acks step 5.

An RRC connection can also be resumed in an (ng-)eNB (the new (ng-)eNB) different from the one where the connection was suspended (the old (ng-)eNB). Inter (ng-)eNB connection resumption is handled using context fetching, whereby the new (ng-)eNB retrieves the UE context from the old (ng-)eNB over the X2/Xn interface. The new (ng-)eNB provides the Resume ID (for EPS) or I-RNTI (for 5GS) which is used by the old (ng-)eNB to identify the UE context. This is illustrated in Figure 7.3a.3-3/7.3a.3-3a.



Figure 7.3a.3-3: RRC Connection Resume procedure in different eNB in EPS



Figure 7.3a.3-3a: RRC Connection Resume procedure in different ng-eNB in 5GS

1. Same as step 1 in the intra (ng-)eNB connection resumption.

2. The new (ng-)eNB locates the old (ng-)eNB using the Resume ID (for EPS) or I-RNTI (for 5GS) and retrieves the UE context by means of the X2-AP (for EPS) or Xn-AP (for 5GS) Retrieve UE Context procedure.

3. The old (ng-)eNB responds with the UE context associated with the Resume ID (for EPS) or I-RNTI (for 5GS).

4. Same as step 2 in the intra (ng-)eNB connection resumption.

5. Same as step 3 in the intra (ng-)eNB connection resumption.

6. Same as step 4 in the intra (ng-)eNB connection resumption.

7. For EPS, the new eNB initiates the S1-AP Path Switch procedure to establish a S1 UE associated signalling connection to the serving MME and to request the MME to resume the UE context. For 5GS, the new ng-eNB initiates the NG-AP Path Switch procedure to establish a NG UE associated signalling connection to the serving AMF and to request the AMF to resume the UE context.

8. For EPS, the MME requests the S-GW to activate the S1-U bearers for the UE and updates the downlink path. For 5GS, the AMF requests the SMF to resume the PDU session and the SMF requests the UPF to create the tunnel information for the UE and update the downlink path.

9. MME/AMF Acks step 7.

10. For EPS, after the S1-AP Path Switch procedure the new eNB triggers release of the UE context at the old eNB by means of the X2-AP UE Context Release procedure. For 5GS, after the NG-AP Path Switch procedure the new ng-eNB triggers release of the UE context at the old ng-eNB by means of the Xn-AP UE Context Release procedure.

For a NB-IoT UE that supports Control Plane CIoT EPS optimization and S1-U data transfer or User Plane CIoT EPS optimization, as defined in TS 24.301 [20], PDCP is not used until AS security is activated.

## 7.3b MO-EDT

### 7.3b.1 General

MO-EDT allows one uplink data transmission optionally followed by one downlink data transmission during the random access procedure.

MO-EDT is triggered when the upper layers have requested the establishment or resumption of the RRC Connection for Mobile Originated data (i.e., not signalling or SMS) and the uplink data size is less than or equal to a TB size indicated in the system information. MO-EDT is not used for data over the control plane when using the User Plane CIoT EPS/5GS optimizations.

MO-EDT is only applicable to BL UEs, UEs in enhanced coverage and NB-IoT UEs.

### 7.3b.2 MO-EDT for Control Plane CIoT EPS/5GS optimizations

MO-EDT for Control Plane CIoT EPS Optimisations, as defined in TS 24.301 [20], and Control Plane CIoT 5GS Optimisation, as defined in TS 24.501 [xx], are characterized as below:

- Uplink user data are transmitted in a NAS message concatenated in UL RRCEarlyDataRequest message on CCCH;

- Downlink user data are optionally transmitted in a NAS message concatenated in DL RRCEarlyDataComplete message on CCCH;

- There is no transition to RRC CONNECTED.

The MO-EDT procedure for Control Plane CIoT EPS Optimisations and Control Plane CIoT 5GS Optimisations are illustrated in Figure 7.3b-1 and Figure 7.3b-1a respectively.



Figure 7.3b-1: MO-EDT for Control Plane CIoT EPS Optimizations



Figure 7.3b-1a: MO-EDT for Control Plane CIoT 5GS Optimisations

0. Upon connection establishment request for Mobile Originated data from the upper layers, the UE initiates the MO-EDT procedure and selects a random access preamble configured for EDT.

1. UE sends *RRCEarlyDataRequest* message concatenating the user data on CCCH. For EPS if enabled in the cell, or for 5GS, the UE may indicate AS Release Assistance Information.

2. For EPS, the eNB initiates the S1-AP Initial UE message procedure to forward the NAS message and establish the S1 connection. For 5GS, the ng-eNB initiates the NG-AP Initial UE message procedure to forward the NAS message. The (ng-)eNB may indicate in this procedure that this connection is triggered for EDT.

3. For EPS, the MME requests the S-GW to re-activate the EPS bearers for the UE. For 5GS, the AMF determines the PDU session contained in the NAS message.

4. For EPS, the MME sends the uplink data to the S-GW. For 5GS, the AMF sends the PDU session ID and the uplink data to the SMF and the SMF forwards the uplink data to the UPF.

5. For EPS, if downlink data are available, the S-GW sends the downlink data to the MME. For 5GS, if downlink data are available, the UPF forwards the downlink data to SMF and the SFM forwards the downlink data to AMF.

6. If downlink data are received from the S-GW or SMF, the MME or AMF forwards the data to the eNB or ng-eNB via DL NAS Transport procedure and may also indicate whether further data are expected. Otherwise, the MME or AMF may trigger Connection Establishment Indication procedure and also indicate whether further data are expected.

7. If no further data are expected, the (ng-)eNB can send the *RRCEarlyDataComplete* message on CCCH to keep the UE in RRC\_IDLE. If downlink data were received in step 6, they are concatenated in *RRCEarlyDataComplete* message.

8. For EPS, the S1 connection is released and the EPS bearers are deactivated. For 5GS, the AN release procedure is started.

NOTE 1: If the MME/AMF or the (ng-)eNB decides to move the UE in RRC\_CONNECTED mode, *RRCConnectionSetup* message is sent in step 7 to fall back to the legacy RRC Connection establishment procedure; the (ng-)eNB will discard the zero-length NAS PDU received in *RRCConnectionSetupComplete* message.

NOTE 2: If neither *RRCEarlyDataComplete* nor, in case of fallback, *RRCConnectionSetup* is received in response to *RRCEarlyDataRequest*, the UE considers the UL data transmission not successful.

### 7.3b.3 MO-EDT for User Plane CIoT EPS/5GS optimizations

MO-EDT for User Plane CIoT EPS optimizations, as defined in TS 24.301 [20], and for User Plane CIoT 5GS Optimisations, as defined in TS 24.501 [xx], are characterized as below:

- The UE has been provided with a *NextHopChainingCount* in the *RRCConnectionRelease* message with suspend indication;

- Uplink user data are transmitted on DTCH multiplexed with UL *RRCConnectionResumeRequest* message on CCCH;

- Downlink user data are optionally transmitted on DTCH multiplexed with DL *RRCConnectionRelease* message on DCCH;

- The short resume MAC-I is reused as the authentication token for *RRCConnectionResumeRequest* message and is calculated using the integrity key from the previous connection;

- The user data in uplink and downlink are ciphered. The keys are derived using the *NextHopChainingCount* provided in the *RRCConnectionRelease* message of the previous RRC connection;

- The *RRCConnectionRelease* message is integrity protected and ciphered using the newly derived keys;

- There is no transition to RRC CONNECTED.

The MO-EDT procedure for User Plane CIoT EPS optimizations is illustrated in Figure 7.3b-2.



Figure 7.3b-2: MO-EDT for User Plane CIoT EPS Optimizations

0. Upon connection resumption request for Mobile Originated data from the upper layers, the UE initiates the MO-EDT procedure and selects a random access preamble configured for EDT.

1. The UE sends an *RRCConnectionResumeRequest* to the eNB, including its Resume ID, the establishment cause, and an authentication token. The UE resumes all SRBs and DRBs, derives new security keys using the *NextHopChainingCount* provided in the *RRCConnectionRelease* message of the previous RRC connection and re-establishes the AS security. The user data are ciphered and transmitted on DTCH multiplexed with the *RRCConnectionResumeRequest* message on CCCH. If enabled in the cell, the UE may indicate AS Release Assistance Information.

2. The eNB initiates the S1-AP Context Resume procedure to resume the S1 connection and re-activate the S1-U bearers.

3. The MME requests the S-GW to re-activate the S1-U bearers for the UE.

4. The MME confirms the UE context resumption to the eNB.

5. The uplink data are delivered to the S-GW.

6. If downlink data are available, the S-GW sends the downlink data to the eNB.

7. If no further data are expected, the eNB can initiate the suspension of the S1 connection and the deactivation of the S1-U bearers.

8. The eNB sends the *RRCConnectionRelease* message to keep the UE in RRC\_IDLE. The message includes the *releaseCause* set to *rrc-Suspend*, the *resumeID,* the *NextHopChainingCount* and *drb-ContinueROHC* which are stored by the UE. If downlink data were received in step 6, they are sent ciphered on DTCH multiplexed with the *RRCConnectionRelease* message on DCCH.

The MO-EDT procedure for User Plane CIoT 5GS Optimisations is illustrated in Figure 7.3b-2a.



Figure 7.3b-2a: MO-EDT for User Plane CIoT 5GS Optimisations

0. Upon connection resumption request for Mobile Originated data from the upper layers, the UE initiates the MO-EDT procedure and selects a random access preamble configured for EDT.

1. The UE sends an *RRCConnectionResumeRequest* to the ng-eNB, including its I-RNTI, the resume cause, and an authentication token. The UE resumes all SRBs and DRBs, derives new security keys using the *NextHopChainingCount* provided in the *RRCConnectionRelease* message of the previous RRC connection and re-establishes the AS security. The user data are ciphered and transmitted on DTCH multiplexed with the *RRCConnectionResumeRequest* message on CCCH. The UE may indicate AS Release Assistance Information.

2. The uplink data are delivered to the UPF.

3. The ng-eNB sends a NG-AP Context Resume Request message to the AMF to resume the connection. If the UE included AS Release Assistance information indicating No further UL/DL higher layer PDU in step 1, ng-eNB may request for immediate transition to RRC IDLE with Suspend.

4. If the AMF does not receive a request for immediate transition to RRC IDLE with Suspend in step 3 or the AMF is aware of downlink data or signalling pending, the AMF requests the SMF to resume the PDU session.

5. The AMF sends a NG-AP Context Resume Response to the ng-eNB. If the AMF receives a request for immediate transition to RRC IDLE with Suspend in step 3 and there is no downlink data or signalling pending, the AMF includes a Suspend indication, and keeps the UE in CM-IDLE with Suspend.

6. If the AMF includes Suspend indication in step 5, the ng-eNB proceeds to step 8. If the AMF does not include Suspend indication and the UE included AS Release Assistance information indicating Only a single Downlink Data transmission subsequent to the Uplink transmission in step 1, the ng-eNB may wait for the DL data to arrive, and proceeds to step 7.

7 The ng-eNB initiates the NG-AP UE Context Suspend procedure to inform the AMF that the RRC connection is being suspended. The AMF requests the SMF to suspend the PDU session and the SMF requests the UPF to release the tunnel information for the UE.

8. The eNB sends the *RRCConnectionRelease* message to keep the UE in RRC\_IDLE. The message includes the *releaseCause* set to *rrc-Suspend*, the *I-RNTI,* the *NextHopChainingCount* and *drb-ContinueROHC* which are stored by the UE. If downlink data were received in step 6, they are sent ciphered on DTCH multiplexed with the *RRCConnectionRelease* message on DCCH.

NOTE 1: If the MME/AMF or (ng-)eNB decides the UE to move in RRC\_CONNECTED mode, *RRCConnectionResume* message is sent in step 7 to fall back to the RRC Connection resume procedure. In that case, the *RRCConnectionResume* message is integrity protected and ciphered with the keys derived in step 1 and the UE ignores the *NextHopChainingCount* included in the *RRCConnectionResume* message. Downlink data can be transmitted on DTCH multiplexed with the *RRCConnectionResume* message. In addition, an *RRCConnectionSetup* can also be sent in step 7 to fall back to the RRC Connection establishment procedure.

NOTE 2: If neither *RRCConnectionRelease* nor, in case of fallback, *RRCConnectionResume* is received in response to *RRCConnectionResumeRequest* for MO-EDT,the UE considers the UL data transmission not successful.

For MO-EDT for User Plane CIoT EPS Optimizations and User Plane CIoT 5GS Optimisations, an RRC connection can also be resumed in an (ng-)eNB (the new (ng-)eNB) different from the one where the connection was suspended (the old (ng-)eNB). Inter (ng-)eNB connection resumption is handled using context fetching, whereby the new (ng-)eNB retrieves the UE context from the old (ng-)eNB over the X2(Xn) interface. The new (ng-)eNB provides the Resume ID for EPS or I-RNTI for 5GS which is used by the old (ng)eNB to identify the UE context. This is illustrated in Figure 7.3b-3 and Figure 7.3b-3a for the case of User Plane CIoT EPS Optimisations and for the case of User Plane CIoT 5GS Optimisations respectively.



Figure: 7.3b-3: MO-EDT for User Plane CIoT EPS Optimisations in different eNB



Figure: 7.3b-3a: MO-EDT for User Plane CIoT 5GS Optimisations in different ng-eNB

1. Same as step 1 in the intra (ng-)eNB connection resumption.

2. The new (ng-)eNB locates the old (ng-)eNB using the Resume ID (for EPS) or I-RNTI (for 5GS) and retrieves the UE context by means of the X2-AP (for EPS) or Xn-AP (for 5GS) Retrieve UE Context procedure.

3. The old (ng-)eNB responds with the UE context associated with the Resume ID (for EPS) or I-RNTI (for 5GS).

4. For EPS, the new eNB initiates the S1-AP Path Switch procedure to establish a S1 UE associated signalling connection to the serving MME and to request the MME to resume the UE context. For 5GS, the new ng-eNB initiates the NG-AP Path Switch procedure to establish a NG UE associated signalling connection to the serving AMF and to request the AMF to resume the UE context.

5. For EPS, the MME requests the S-GW to activate the S1-U bearers for the UE and updates the downlink path. For 5GS, the AMF requests requests the SMF to resume the PDU session and the SMF requests the UPF to create the tunnel information for the UE and update the downlink path.

6. MME/AMF Acks step 5.

7. For EPS, after the S1-AP Path Switch procedure the new eNB triggers release of the UE context at the old eNB by means of the X2-AP UE Context Release procedure. For 5GS, after the NG-AP Path Switch procedure the new ng-eNB triggers release of the UE context at the old ng-eNB by means of the Xn-AP UE Context Release procedure.

8. For EPS, same as step 5 in the intra eNB connection resumption. For 5GS, the uplink data are delivered to the UPF.

9. Same as step 6 in the intra (ng-)eNB connection resumption.

10. Same as step 7 in the intra (ng-)eNB connection resumption.

11. Same as step 8 in the intra (ng-)eNB connection resumption.

## 7.3x MT-EDT

### 7.3x.1 General

MT-EDT is intended for one single downlink data transmission during random access procedure.

MT-EDT is initiated by the MME if the UE and the network support MT-EDT and there is a single DL data transmission for the UE.

MT-EDT for Control Plane CIoT EPS Optimisations and for User Plane CIoT EPS Optimisations, as defined in TS 23.401 [17], is characterised as below:

- Support for MT-EDT for the Control Plane CIoT EPS Optimisation and/or for the User Plane CIoT EPS Optimisation is reported by UE at NAS level;

- DL data size is included in the S1-AP Paging message for the UE;

- MT-EDT indication is included in the *Paging* message for the UE over the Uu interface;

- For User Plane CIoT EPS Optimisation, the UE has been provided with a *NextHopChainingCount* in the *RRCConnectionRelease* message with suspend indication;

- In response to the *Paging* message including MT-EDT indication, the UE triggers the MO-EDT procedure for Control Plane CIoT EPS Optimisations or for User Plane CIoT EPS Optimisations if the upper layers request the establishment or resumption of the RRC Connection for Mobile Terminated Call;

- There is no transition to RRC CONNECTED.

MT-EDT is only applicable to BL UEs, UEs in enhanced coverage [and NB-IoT UEs].

### 7.3x.2 MT-EDT for Control Plane CIoT EPS Optimisations

The MT-EDT procedure for Control Plane CIoT EPS Optimisations is illustrated in Figure 7.3x-1.



Figure 7.3x-1: MT-EDT for Control Plane CIoT EPS Optimisations

1. Upon arrival of downlink data, the SGW may send the DL data size information to the MME for MT-EDT consideration by the MME.

2. The MME includes the DL data size information in the S1-AP PAGING message to assist eNodeB in triggering MT-EDT.

3. If the data can fit in one single downlink transmission according to the UE category included in the UE Radio Capability for Paging provided in the S1-AP Paging message, the eNB includes *mt-EDT* indication in the *Paging* message for the UE.

4. The UE initiates the MO-EDT procedure for the Control Plane CIoT EPS Optimisations as described in subclause 7.3b.2 with the following differences:

- In step 1, the UE sends *RRCEarlyDataRequest* message with the establishment cause *mt-Access* andwithout user data.

- In step 7, in case of fallback to the RRC Connection establishment procedure, the downlink data may optionally be included in *RRCConnectionSetup* message.

### 7.3x.3 MT-EDT for User Plane CIoT EPS Optimisations

The MT-EDT procedure for User Plane CIoT EPS Optimisations is illustrated in Figure 7.3x-2.



Figure 7.3x-2: MT-EDT for User Plane CIoT EPS Optimisations

1. Upon arrival of downlink data, the SGW may send the DL data size information to the MME for MT-EDT consideration by the MME.

2. The MME includes the DL data size in the S1-AP PAGING message to assist eNodeB in triggering MT- EDT.

3. If the data can fit in one single downlink transmission according to the UE category included in the UE Radio Capability for Paging provided in the S1-AP Paging message, the eNB includes *mt-EDT* indication in the *Paging* message for the UE.

4. The UE initiates the MO-EDT procedure for the User Plane CIoT EPS Optimisations as described in subclause 7.3b.3 / figure 7.3b-2 with the following differences:

- In step 0, the UE selects a random access preamble not configured for EDT;

- In step 1, the UE sends *RRCConnectionResumeRequest* message with the resume cause *mt-EDT* and without user data.

- In step 4, the MME may include the Pending Data Indication in the S1AP UE Context Resume Response message to notify the eNB of further data traffic in excess of that initially signalled in step 2. The eNB may use this indication to decide whether to release the UE.

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## 7.3y Transmission using PUR

### 7.3y.1 General

Transmission using PUR allows one uplink transmission from RRC\_IDLE using a preconfigured uplink resource without performing the random access procedure.

Transmission using PUR is enabled by the (ng-)eNB if the UE and the (ng-)eNB support.

The UE may request to be configured with a PUR while in RRC\_CONNECTED mode. The (ng-)eNB decides to configure a PUR that may be based on UE’s request, UE’s subscription information and/or local policy. The PUR is only valid in the cell where the configuration was received.

Transmission using PUR is triggered when the upper layers request the establishment or resumption of the RRC Connection and the UE has a valid PUR for transmission and meets the TA validation criteria as specified in TS 36.331 [16].

Transmission using PUR is only applicable to BL UEs, UEs in enhanced coverage [and NB-IoT UEs].

### 7.3y.2 PUR Configuration Request and PUR configuration

The procedure for PUR configuration request and PUR configuration is common to the Control Plane CIoT EPS/5GS optimisations and the User Plane CIoT EPS/5GS optimisations and are illustrated in Figure 7.3y-1.



Figure 7.3y-1: PUR Configuration Request and PUR Configuration

0. The UE is in RRC\_CONNECTED and PUR is enabled in the cell.

1. Based on indication from the upper layers, the UE may indicate to the (ng-)eNB that it is interested in being configured with PUR by sending *PURConfigurationRequest* message providing information about the requested resource (e.g. No. of occurences, periodicity, time offset, TBS, L1 Ack…).

2. When the (ng-)eNB moves the UE to RRC\_IDLE, based on a precedent UE’s request, subscription information and/or local policies, the (ng-)eNB may decide to provide a PUR resource to the UE or to release an existing PUR resource. The (ng-)eNB includes the details of the PUR configuration or a PUR release indication in the *RRCConnectionRelease* message.

NOTE: The PUR configuration can be implicitly released at the UE and (ng-)eNB, when the UE accesses in another cell, when PUR is no longer enabled in the cell, or when the PUR resource has not been used for a configured number of consecutive occasions.

### 7.3y.3 Transmission using PUR for Control Plane CIoT EPS/5GS Optimisations

Transmission using PUR for Control Plane CIoT EPS Optimisations, as defined in TS 24.301 [20], and for Control Plane CIoT 5GS Optimisations, as defined in TS 24.501 [xx], is characterised as below:

- Uplink user data are transmitted using the PUR resource in a NAS message concatenated in *RRCEarlyDataRequest* message on CCCH;

- If there is no downlink data, the (ng-)eNB may terminate the procedure by sending a layer 1 acknowledgement optionally containing a Time Advance Command, a MAC Time advance Command or *RRCEarlyDataComplete* with no user data;

- Downlink user data, if any, are transmitted in a NAS message concatenated in *RRCEarlyDataComplete* message on CCCH;

- There is no transition to RRC CONNECTED.

The procedure for transmission using PUR for the Control Plane CIoT EPS optimisations and for the Control Plane CIoT 5GS optimisations is illustrated in Figure 7.3y-2.



Figure 7.3y-2: Transmission using PUR for the Control Plane CIoT EPS/5GS Optimisations

0. The UE has determined that the PUR resource can be used (e.g. PUR enabled in the cell, valid Time Alignment …).

1 Same as step 1 in MO-EDT for Control Plane CIoT EPS/5GS optimisations in Figure 7.3b-1 and 7.3b-1a except that the UE transmits over the PUR resource instead of a resource allocated in the random access response.

If the uplink data are too large to be included in RRCEarlyDataRequest, the UE can use the PUR resource to transmit RRCConnectionRequest. The procedure will fall back to the legacy RRC Connection establishment procedure, a new C-RNTI can be assigned.

After step 1, the (ng-)eNB may request the UE to abort the transmission using PUR by sending a Layer 1 fallback indication. UE actions upon reception of Layer 1 fallback indication are left up to UE implementation.

2..6 Same as MO-EDT for Control Plane CIoT EPS/5GS Optimisations in Figure 7.3b-1 and 7.3b-1a.

7a If the (ng-)eNB is aware that there is no pending downlink data or signalling, the (ng-)eNB can send a Layer 1 ACK optionally containing a Time Advance Adjustment to the UE to update the TA and terminate the procedure.

7b If the (ng-)eNB is aware that there is no further data or signalling, the (ng-)eNB can send a Time Advance Command to update the TA and terminate the procedure.

7c Same as step 7 in MO-EDT for Control Plane CIoT EPS/5GS Optimisations in Figure 7.3b-1 and 7.3b-1a except that a Time Advance Command can also be included.

NOTE 1: If the MME/AMF or the (ng-)eNB decides to move the UE in RRC\_CONNECTED mode, *RRCConnectionSetup* message is sent in step 7 to fall back to the legacy RRC Connection establishment procedure, a new C-RNTI can be assigned. The (ng-)eNB will discard the zero-length NAS PDU received in *RRCConnectionSetupComplete* message.

NOTE 2: If none of Layer 1 Ack, MAC Time advance Command, *RRCEarlyDataComplete* and, in case of fallback, *RRCConnectionSetup* is received in response to *RRCEarlyDataRequest*, the UE considers the UL data transmission not successful.

7.3y.4 Transmission using PUR for User Plane CIoT EPS/5GS Optimisations

Transmission using PUR for User Plane CIoT EPS Optimisations, as defined in TS 24.301 [20], and for User Plane CIoT 5GS Optimisations, as defined in TS 24.501 [xx], are characterised as below:

- The UE is in RRC\_IDLE and has a valid PUR resource;

- The UE has been provided with a *NextHopChainingCount* in the *RRCConnectionRelease* message with suspend indication;

- Uplink user data are transmitted on DTCH multiplexed with *RRCConnectionResumeRequest* message on CCCH;

- Downlink user data are optionally transmitted on DTCH multiplexed with *RRCConnectionRelease* message on DCCH;

- The user data in uplink and downlink are ciphered. The keys are derived using the *NextHopChainingCount* provided in the *RRCConnectionRelease* message of the previous RRC connection;

- The *RRCConnectionRelease* message is integrity protected and ciphered using the newly derived keys;

- There is no transition to RRC CONNECTED.

The procedure for transmission using PUR for the User Plane CIoT EPS optimisations and for the User Plane CIoT 5GS optimisations is illustrated in Figure 7.3y-3 and Figure 7.3y-4 respectively.



Figure 7.3y-3: Transmission using PUR for the User Plane CIoT EPS Optimisations



**Figure 7.3y-4: Transmission using PUR for the User Plane CIoT 5GS Optimisations**

0. The UE has validated the PUR resource according to the configured criteria.

1 Same as step 1 in MO-EDT for User Plane CIoT EPS/5GS optimisations in Figure 7.3b-2 and 7.3b-2a except that the UE transmits over the PUR resource instead of a resource allocated in the random access response.

If the user data are too large to be fully included in the transmission using PUR, the UE can use PUR to transmit RRCConnectionResumeRequest and a segment of the user data. The procedure will fall back to the legacy RRC Connection Resume procedure; a new C-RNTI can be assigned.

After step 1, the (ng-)eNB may request the UE to abort the transmission using PUR by sending a Layer 1 fallback indication. UE actions upon reception of Layer 1 fallback indication are left up to UE implementation.

2..7 Same as MO-EDT for User Plane CIoT EPS/5GS optimisations in Figure 7.3b-2 and 7.3b-2a.

8 Same as step 8 in MO-EDT for user Plane CIoT EPS/5GS optimisations in Figure 7.3b-2 and 7.3b-2a except that a Time Advance Command can also be included.

NOTE 1: If the MME/AMF or the (ng-)eNB decides to move the UE in RRC\_CONNECTED mode, *RRCConnectionSetup* message is sent in step 7 to fall back to the legacy RRC Connection establishment procedure, a new C-RNTI can be assigned. The (ng-)eNB will discard the zero-length NAS PDU received in *RRCConnectionSetupComplete* message.

NOTE 2: If neither *RRCConnectionRelease* nor, in case of fallback, *RRCConnectionResume* is received in response to *RRCConnectionResumeRequest* using PUR, the UE considers the UL data transmission not successful

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# 8 E-UTRAN identities

## 8.1 E-UTRA related UE identities

The following E-UTRA related UE identities are used at cell level:

- C-RNTI: unique identification used for identifying RRC Connection and scheduling;

- Semi-Persistent Scheduling C-RNTI: unique identification used for semi-persistent scheduling;

- Temporary C-RNTI: identification used for the random access procedure;

- TPC-PUSCH-RNTI: identification used for the power control of PUSCH;

- TPC-PUCCH-RNTI: identification used for the power control of PUCCH;

- SL-RNTI: identification used for sidelink communication scheduling;

- SL-V-RNTI: identification used for V2X sidelink communication scheduling;

- Random value for contention resolution: during some transient states, the UE is temporarily identified with a random value used for contention resolution purposes;

- SRS-TPC-RNTI: identification used for triggering group SRS and power control of SRS for SRS-only SCells;

- SL Semi-Persistent Scheduling V-RNTI: identification used for semi-persistent scheduling for V2X sidelink communication;

- UL Semi-Persistent Scheduling V-RNTI: identification used for multiple semi-persistent scheduling for UE capable of V2X communication;

- AUL C-RNTI: unique identification used for autonomous uplink scheduling.

In DC, two C-RNTIs are independently allocated to the UE: one for MCG, and one for SCG.

The following UE identity is only used for E-UTRA connected to EPC:

- Resume ID: unique identification used for the RRC connection resume procedure;

The following UE identity is only used for E-UTRA connected to 5GC:

- I-RNTI: unique identification used for the RRC connection resume procedure in RRC\_INACTIVE or for the User Plane 5GS Optimisation as specified for NR connected to 5GC in TS 38.300 [79];

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### 10.1.4 Paging and C-plane establishment

Paging groups (where multiple UEs can be addressed) are used on PDCCH:

- Precise UE identity is found on PCH;

- DRX configurable via BCCH and NAS, for NB-IoT DRX configurable via BCCH only;

- Only one subframe allocated per paging interval per UE;

- The network may divide UEs to different paging occasions in time;

- There is no grouping within paging occasion;

- One paging RNTI for PCH.

When extended DRX (eDRX) is used in idle mode, the following are applicable:

- The DRX cycle is extended up to and beyond 10.24s in idle mode, with a maximum value of 2621.44 seconds (43.69 minutes); For NB-IoT, the maximum value of the DRX cycle is 10485.76 seconds (2.91 hours);

- The hyper SFN (H-SFN) is broadcast by the cell and increments by one when the SFN wraps around;

- Paging Hyperframe (PH) refers to the H-SFN in which the UE starts monitoring paging DRX during a Paging Time Window (PTW) used in ECM-IDLE. The PH is determined based on a formula that is known by the MME/AMF, UE and (ng-)eNB as a function of eDRX cycle and UE identity;

- During the PTW, the UE monitors paging for the duration of the PTW (as configured by NAS) or until a paging message is including the UE's NAS identity received for the UE, whichever is earlier. The possible starting offsets for the PTW are uniformly distributed within the PH and defined in TS 36.304 [11];

- MME/AMF uses the formulas defined in TS 36.304 [11] to determine the PH as well as the beginning of the PTW and sends the S1 paging request just before the occurrence of the start of PTW or during PTW to avoid storing paging messages in the (ng-)eNB;

- ETWS, CMAS, PWS requirement may not be met when a UE is in eDRX. For EAB, if the UE supports SIB14, when in extended DRX, it acquires SIB14 before establishing the RRC connection;

- When the eDRX cycle is longer than the system information modification period, the UE verifies that stored system information remains valid before establishing an RRC connection. Paging message can be used for system information change notification, when including *systemInfoModification-eDRX*, for a UE configured with eDRX cycle longer than the system information modification period.

NB-IoT UEs, BL UEs or UEs in enhanced coverage can use (G)WUS, when configured in the cell, to reduce the power consumption related to paging monitoring.

When GWUS is used in idle mode, the following are applicable:

- Multiple WUS groups, possibly distributed over multiple GWUS resource, can be configured in the cell;

- If the UE supports WUS assistance information, the MME/AMF may provide the UE with UE paging probability information (see TS 24.301 [20] and TS 24.501 [xx]);

- UE selects one of the WUS group based on its UE paging probability information and /or its UE NAS identity as defined in TS 36.304 [11];

- A common WUS group may be used to wake up all WUS groups monitoring the same GWUS resource.

When (G)WUS is used in idle mode, the following are applicable:

- The WUS or WUS group is used to indicate that the UE shall monitor MPDCCH or NPDCCH to receive paging in that cell;

- For a UE not configured with extended DRX, the WUS or WUS group is associated to one paging occasion (N = 1);

- For a UE configured with extended DRX, the WUS or WUS group can be associated to one or multiple paging occasion(s) (N ≥ 1) in a PTW;

- If UE detects the WUS or WUS group, the UE shall monitor the following N paging occasions unless it has received a paging message;

- The paging operation in the MME is not aware of the use of the WUS in the eNB.

The timing between (G)WUS and the paging occasion (PO) is illustrated in Figure 10.1.4-1. The timing between GWUS and the paging occasion (PO) is illustrated in Figure 10.1.4-2 and Figure 10.1.4-3. The UE can expect (G)WUS repetitions during "Configured maximum WUS duration" but the actual (G)WUS transmission can be shorter, e.g. for UE in good coverage. The UE does not monitor (G)WUS during the non-zero "Gap".



Figure 10.1.4-1: Illustration of WUS timing

Gap

Configured maximum

WUS duration

PO

t

Configured maximum

WUS duration

WUS 2

f

WUS 3

WUS 1

WUS 0

Figure 10.1.4-x: Illustration of GWUS timing for BL UEs and UEs in enhanced coverage

NOTE: WUS1/WUS3 could be higher or lower frequency than WUS0/WUS2.

For NB-IoT, UE in RRC\_IDLE receives paging on the anchor carrier or on a non anchor carrier based on system information.

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#### 10.1.5.1 Contention based random access procedure

The contention based random access procedure is outlined on Figure 10.1.5.1-1 below:



Figure 10.1.5.1-1: Contention based Random Access Procedure

The four steps of the contention based random access procedures are:

1) Random Access Preamble on RACH in uplink:

- There are two possible groups defined and one is optional. If both groups are configured the size of message 3 and the pathloss are used to determine which group a preamble is selected from. The group to which a preamble belongs provides an indication of the size of the message 3 and the radio conditions at the UE. The preamble group information along with the necessary thresholds are broadcast on system information.

2) Random Access Response generated by MAC on DL-SCH:

- Semi-synchronous (within a flexible window of which the size is one or more TTI) with message 1;

- No HARQ;

- Addressed to RA-RNTI on PDCCH;

- Conveys at least RA-preamble identifier, Timing Alignment information for the pTAG, initial UL grant and assignment of Temporary C-RNTI (which may or may not be made permanent upon Contention Resolution);

- Intended for a variable number of UEs in one DL-SCH message.

3) First scheduled UL transmission on UL-SCH:

- Uses HARQ;

- Size of the transport blocks depends on the UL grant conveyed in step 2.

- For initial access:

- Conveys the RRC Connection Request generated by the RRC layer and transmitted via CCCH;

- Conveys at least NAS UE identifier but no NAS message;

- RLC TM: no segmentation.

- For RRC Connection Re-establishment procedure:

- Conveys the RRC Connection Re-establishment Request generated by the RRC layer and transmitted via CCCH;

- RLC TM: no segmentation;

- Does not contain any NAS message.

- After handover, in the target cell:

- Conveys the ciphered and integrity protected RRC Handover Confirm generated by the RRC layer and transmitted via DCCH;

- Conveys the C-RNTI of the UE (which was allocated via the Handover Command);

- Includes an uplink Buffer Status Report when possible.

- For other events:

- Conveys at least the C-RNTI of the UE;

- In the procedure to resume the RRC connection or in the EDT procedure for User Plane CIoT EPS/5GS Optimizations:

- Conveys the RRC Connection Resume Request generated by the RRC layer and transmitted via CCCH;

- Conveys a Resume ID (for EPS) or I-RNTI (for 5GS) to resume the RRC connection;

- For the MO-EDT procedure for User Plane CIoT EPS/5GS Optimizations:

- Conveys ciphered user data transmitted via DTCH;

- RLC UM/AM: no segmentation;

- Does not contain any NAS message.

- For NB-IoT:

- In the procedure to setup the RRC connection:

- An indication of the amount of data for subsequent transmission(s) on SRB or DRB can be indicated.

- For EDT for Control Plane CIoT EPS Optimizations:

- Conveys the RRC Early Data Request generated by the RRC layer and transmitted via CCCH;

- Conveys NAS UE identifier;

- For the MO-EDT procedure for Control Plane CIoT EPS/5GS Optimisations:

- Convey user data concatenated in a NAS message;

- RLC TM: no segmentation.

4) Contention Resolution on DL:

- Early contention resolution shall be used i.e. eNB does not wait for NAS reply before resolving contention;

- For NB-IoT, for initial access, RRC connection resume procedure and RRC Connection Re-establishment procedure, eNB may transmit MAC PDU containing the UE contention resolution identity MAC control element without RRC response message;

NOTE: In Release 13, NB-IoT UEs do not support the MAC PDU containing the UE contention resolution identity MAC control element without RRC response message for initial access, RRC connection resume procedure and RRC Connection Re-establishment procedure.

- Not synchronised with message 3;

- HARQ is supported;

- Addressed to:

- The Temporary C-RNTI on PDCCH for initial access and after radio link failure;

- The C-RNTI on PDCCH for UE in RRC\_CONNECTED.

- HARQ feedback is transmitted only by the UE which detects its own UE identity, as provided in message 3, echoed in the Contention Resolution message;

- For initial access, RRC Connection Re-establishment procedure and EDT for Control Plane CIoT EPS/5GS Optimizations, no segmentation is used (RLC-TM).

The Temporary C-RNTI is promoted to C-RNTI for a UE which detects RA success and does not already have a C-RNTI; it is dropped by others. A UE which detects RA success and already has a C-RNTI, resumes using its C-RNTI.

When CA is configured, the first three steps of the contention based random access procedures occur on the PCell while contention resolution (step 4) can be cross-scheduled by the PCell.

When DC is configured, the first three steps of the contention based random access procedures occur on the PCell in MCG and PSCell in SCG. When CA is configured in SCG, the first three steps of the contention based random access procedures occur on the PSCell while contention resolution (step 4) can be cross-scheduled by the PSCell.

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# 11 Scheduling and Rate Control

## 11.0 General

In order to utilise the SCH resources efficiently, a scheduling function is used in MAC. In this clause, an overview of the scheduler is given in terms of scheduler operation, signalling of scheduler decisions, and measurements to support scheduler operation.

For NB-IoT, the Basic Scheduler Operation in 11.1, the uplink buffer status reports part in 11.3 and the DL channel quality reporting in 11.7 are applicable, the UE-AMBR part in 11.4 is applicable only for UE which is enabled to use S1-U data transfer or User Plane CIoT EPS optimization or for UE which is enabled to use NG-U data transfer or User Plane CIoT 5GS Optimisation, and all other subclauses of clause 11 are not applicable.

## 11.1 Basic Scheduler Operation

MAC in eNB includes dynamic resource schedulers that allocate physical layer resources for the DL-SCH, UL-SCH and SL-SCH transport channels. Different schedulers operate for the DL-SCH, UL-SCH and SL-SCH.

The scheduler should take account of the traffic volume and the QoS requirements of each UE and associated radio bearers, when sharing resources between UEs. Only "per UE" grants are used to grant the right to transmit on the UL-SCH and SL-SCH (i.e. there are no "per UE per RB" grants).

Schedulers may assign resources taking account the radio conditions at the UE identified through measurements made at the eNB and/or reported by the UE.

Radio resource allocations can be valid for one or multiple TTIs.

Resource assignment consists of physical resource blocks (PRB) and MCS. Allocations for time periods longer than one TTI might also require additional information (allocation time, allocation repetition factor…).

When CA is configured, a UE may be scheduled over multiple serving cells simultaneously but at most one random access procedure shall be ongoing at any time. Cross-carrier scheduling with the Carrier Indicator Field (CIF) allows the PDCCH of a serving cell to schedule resources on another serving cell but with the following restrictions:

- Cross-carrier scheduling does not apply to PCell i.e. PCell is always scheduled via its PDCCH;

- When the PDCCH of an SCell is configured except for an LAA SCell, cross-carrier scheduling for uplink transmission and downlink transmission does not apply to this SCell i.e. it is always scheduled for uplink transmission and downlink transmission via its PDCCH;

- When the PDCCH of an LAA SCell is configured:

- If cross-carrier scheduling applies only to uplink transmission, it is scheduled for downlink transmission via its PDCCH and for uplink transmission via the PDCCH of one other serving cell;

- If self-scheduling applies to both uplink transmission and downlink transmission, it is always scheduled for uplink transmission and downlink transmission via its PDCCH.

- When the PDCCH of an SCell is not configured, cross-carrier scheduling for uplink transmission and downlink transmission applies and this SCell is always scheduled for uplink transmission and downlink transmission via the PDCCH of one other serving cell.

A linking between UL and DL allows identifying the serving cell for which the DL assignment or UL grant applies when the CIF is not present:

- DL assignment received on PCell corresponds to downlink transmission on PCell;

- For DC, DL assignment received on PSCell corresponds to downlink transmission on PSCell;

- UL grant received on PCell corresponds to uplink transmission on PCell, except for the UL grant in Random Access Response from PCell in response to a random access preamble on SCell of MCG for which case the UL grant is for the SCell where the preamble is sent;

- For DC, UL grant received on PSCell corresponds to uplink transmission on PSCell, except for the UL grant in Random Access Response from PSCell in response to a random access preamble on SCell of SCG for which case the UL grant is for the SCell where the preamble is sent.

- DL assignment received on SCell*n* corresponds to downlink transmission on SCell*n*;

- UL grant received on SCell*n* corresponds to uplink transmission on SCell*n*. If SCell*n* is not configured for uplink usage by the UE, the grant is ignored by the UE.

When DC is configured, cross-carrier scheduling can only be used across serving cells within the same CG. Within a CG, neither PCell of MCG nor PSCell of SCG can be cross-carrier scheduled.

When SPT is configured, cross-carrier scheduling can be used, but is limited to serving cells within the same PUCCH group. In this case, both the scheduling cell and the scheduled cell shall be configured with SPT.

For BL UEs or UEs in enhanced coverage, when multi-TB scheduling is configured, a single MPDCCH can indicate scheduling of multiple downlink transmissions, where each transmission corresponds to one HARQ process

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## 11.x Downlink channel quality reporting

For BL UEs or UEs in enhanced coverage, DL channel quality report in RRC\_IDLE is defined by the following characteristics:

- The reporting is configured by eNB via system information;

For BL UEs or UEs in enhanced coverage, DL channel quality report in RRC\_CONNECTED is defined by the following characteristics:

- The reporting is triggered by eNB via Downlink Channel Quality Report Command MAC control element for UEs supporting DL channel quality report in RRC\_CONNECTED.

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## 15.3 MBMS Transmission

### 15.3.1 General

Transmission of a MBMS in E-UTRAN uses either MBSFN transmission or SC-PTM transmission. The MCE makes the decision on whether to use SC-PTM or MBSFN for each MBMS session.

### 15.3.2 Single-cell transmission

Single-cell transmission of MBMS is characterized by:

- MBMS is transmitted in the coverage of a single cell;

- One SC-MCCH and one or more SC-MTCH(s) are mapped on DL-SCH;

- Scheduling is done by the eNB;

- SC-MCCH and SC-MTCH transmissions are each indicated by a logical channel specific RNTI on PDCCH (there is a one-to-one mapping between TMGI and G-RNTI used for the reception of the DL-SCH to which a SC-MTCH is mapped);

- A single transmission is used for DL-SCH (i.e. neither blind HARQ repetitions nor RLC quick repeat) on which SC-MCCH or SC-MTCH is mapped;

- SC-MCCH and SC-MTCH use the RLC-UM mode.

For each SC-MTCH, the following scheduling information is provided on SC-MCCH:

- **SC-MTCH scheduling cycle**;

- **SC-MTCH on-duration**: duration in downlink subframes that the UE waits for, after waking up from DRX, to receive PDCCHs. If the UE successfully decodes a PDCCH indicating the DL-SCH to which this SC-MTCH is mapped, the UE stays awake and starts the inactivity timer;

- **SC-MTCH inactivity-timer**: duration in downlink subframes that the UE waits to successfully decode a PDCCH, from the last successful decoding of a PDCCH indicating the DL-SCH to which this SC-MTCH is mapped, failing which it re-enters DRX. The UE shall restart the inactivity timer following a single successful decoding of a PDCCH.

NOTE 1: The SC-PTM reception opportunities are independent of the unicast DRX scheme.

NOTE 2: The SC-MTCH inactivity-timer may be set to 0.

NOTE 3: Although the above parameters are per SC-MTCH (i.e. per MBMS service), the network may configure the same scheduling pattern for multiple SC-MTCHs (i.e. multiple MBMS services).

NOTE 4: For NB-IoT UEs, the definition of the above parameters does not apply.

NOTE 5: For BL UEs and UEs in enhanced coverage, the definition of the above parameters does not apply.

For BL UEs and UEs in enhanced coverage [or NB-IoT UEs], when multi-TB scheduling is configured, a single MPDCCH[/NPDCCH] can indicate scheduling of multiple downlink transmissions.

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## 16.1.x Resource reservation for co-existence with NR

For BL UEs or UEs in enhanced coverage, E-UTRAN may reserve resources in uplink and downlink to avoid resource overlap with NR when it is deployed within an NR carrier. The resource reservation signalled to the UE is cell specific and is for use in unicast transmission.

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## 23.7b Support of UEs in Enhanced Coverage

A UE in enhanced coverage is a UE that requires the use of enhanced coverage functionality to access the cell. In this release of the specification two enhanced coverage modes (mode A, mode B) are supported. The support of enhanced coverage mode A is mandatory for a BL UE. The maximum PDSCH/PUSCH bandwidth in connected mode for unicast transmission depends on the UE category and enhanced coverage mode as summarized in table 23.7a-1.

A UE may access a cell using enhanced coverage functionality only if the MIB of the cell indicates that scheduling information for SIB1 specific for BL UEs is scheduled. System information procedures for UEs in enhanced coverage are identical to the system information procedures for bandwidth reduced low complexity UEs. A UE capable of enhanced coverage acquires, if needed, and uses legacy system information when in normal coverage if it is not a BL UE. A UE capable of enhanced coverage acquires, if needed, and uses system information specific for UEs in enhanced coverage. A UE in enhanced coverage is not required to detect SIB change when in RRC\_CONNECTED.

A set of PRACH resources (e.g. time, frequency, preamble); each associated with a coverage enhancement level, is provided in SIB. Number of PRACH repetitions and number of maximum preamble transmission attempts per coverage enhancement level are provided in SIB. UEs in same enhanced coverage level use random access resources associated with the same enhanced coverage level. Time/frequency resources and repetition factor for random access response messages for UEs in enhanced coverage are derived from the used PRACH resources.

A UE in enhanced coverage is paged using the same mechanism for paging BL UEs. The starting subframe of a paging occasion and the repetition pattern (in both time and frequency domain for downlink common control signaling) of that paging occasion are determined irrespective of the UEs enhanced coverage level.

The paging request from the MME or the AMF for a UE supporting enhanced coverage functionality may contain enhanced coverage level related information and corresponding cell ID. If neither the UE Radio Capability for Paging IE nor the Assistance Data for Paging IE is included in the paging request from the MME or the AMF, the (ng-)eNB may need to page the UE in both PDCCH and MPDCCH.

A UE in RRC\_IDLE does not inform the network when it changes the enhanced coverage level.

A UE in enhanced coverage camps on a suitable cell where S criterion for UEs in enhanced coverage is fullfilled.The UE shall re-select to inter-frequency cells in which it is able to operate in normal coverage over cells in which it has to be in enhanced coverage.

Connected mode mobility mechanisms such as measurement reporting, network controlled handover etc., are supported for UEs in enhanced coverage. At handover from a source cell in normal or enhanced coverage mode to a target cell in enhanced coverage mode, the network may provide SIB1-BR to the UE in the handover command. No additional mechanisms are introduced to support the use of enhanced coverage functionality to access an E-UTRA cell during inter-RAT handovers.

Reconfiguration of a UE in connected mode from normal to enhanced coverage mode (and vice versa) is supported by a means of intra-cell handover or RRC configuration without handover.

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# 24 Support for 5GC

## 24.1 General

The E-UTRA connected to 5GC is supported as part of NG-RAN. The E-UTRA can be connected to both EPC and 5GC.

The overall architecture of E-UTRA connected to 5GC as part of NG-RAN is described in TS 38.300 [79], where the term "ng-eNB" is used for E-UTRA connected to 5GC. However, in this specification the term "eNB" is used for both cases unless there is a specific need to disambiguate between eNB and ng-eNB.

E-UTRA connected to 5GC supports the following functions:

- 5G NAS message transport (see clause 7.3);

- 5G security framework (see TS 38.300 [79]), except that data integrity protection is not supported;

- Access Control (see TS 38.300 [79]);

- Flow-based QoS (see TS 38.300 [79]);

- Network slicing (see TS 38.300 [79]);

- SDAP (see TS 37.324 [80]);

- NR PDCP (see TS 38.323 [81]);

- Support of UEs in RRC\_INACTIVE state.

- CIoT 5GS Optimisations for BL UEs, UEs in enhanced coverage [and NB-IoT UEs] (see clause 7.3a).

- MO-EDT for BL UEs or UEs in enhanced coverage [and NB-IoT UEs] (see clause 7.3b).

- Transmission using PUR for BL UEs or UEs in enhanced coverage [and NB-IoT UEs] (see clause 7.3y).

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## 24.4 CN Selection

For a cell that provides E-UTRA connectivity to both 5GC and EPC within a PLMN, the UE upper layer performs CN selection between EPC and 5GC. The UE AS layer indicates available CN type(s) to upper layers for CN type selection[ and in addition for NB-IoT, the supported CIoT features]. The UE NAS layer indicates selected CN type (if available) with selected PLMN during PLMN selection procedure, as defined in TS 36.304 [11].

## 24.5 Mobility

Intra-EUTRA inter-system Handover (i.e., handover between E-UTRA connected to 5GC and E-UTRA connected to EPC) is described in clause 10.2.2c and in TS 23.502 [83].

The inter-RAT intra-5GC Handover (i.e., handover between E-UTRA connected to 5GC and NR connected to 5GC) is described in clause 9.3.1.2 of TS 38.300 [79].

Inter-RAT handover to/from GERAN/UTRAN/CDMA2000 and cell change order to GERAN with NACC are not supported, and CS fallback described in clause 10.2.5 is not applied except for the functionality of release with redirection to GERAN/UTRAN.

The following mobility procedures are supported:

- RRC Connection Release with Redirection to GERAN/UTRAN/CDMA2000/EUTRAN;

- Cell Change Order to GERAN without NACC.

When the UE is connected to E-UTRA/5GC, inter system fallback towards E-UTRAN is performed when 5GC does not support some services, see TS 23.501 [82]. Depending on factors such as CN interface availability, network configuration and radio conditions, the fallback procedure results in either RRC CONNECTED state mobility (handover procedure) or RRC IDLE state mobility (redirection), see TS 23.501 [82] and TS 36.331 [16].

In the N2 signalling procedure, the AMF based on support for emergency services, voice service, any other services or for load balancing etc, may indicate the target CN type as EPC or 5GC to the ng-eNB node. When the target CN type is received by ng-eNB, the target CN type is also conveyed to the UE in RRC Connection Release message.

The mobility in RRC\_INACTIVE is described in clause 10.1.9.

For E-UTRA connected to 5GC, in RRC\_IDLE the UE monitors the PCCH for CN-initiated paging information, in RRC\_INACTIVE the UE monitors the PCCH for RAN-initiated and CN-initiated paging information. The RAN-initiated and CN-initiated paging occasions overlap and the same paging mechanism is used for both. Except for BL UEs, UEs in enhanced coverage[ and NB-IoT UEs], the extended DRX (eDRX) is not used for E-UTRA connected to 5GC. For BL UEs and UEs in enhanced coverage in RRC\_INACTIVE, extended DRX cycles up to 10.24 s without PTW are supported. The paging optimisation in clause 23.13 is also applicable, where AMF shall be considered instead of MME and ng-eNB shall be considered instead of eNB.

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| End of the change |