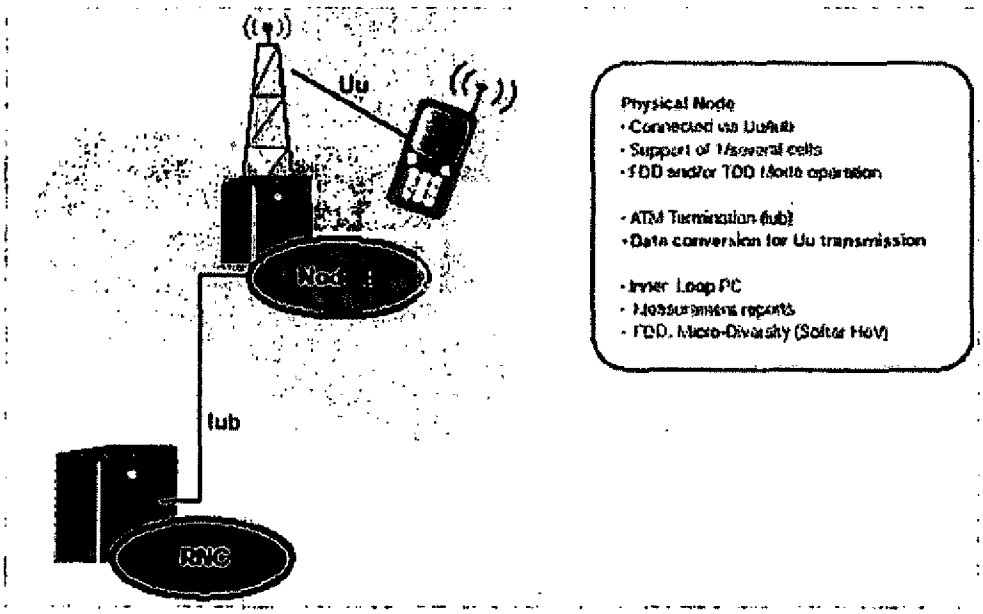


Figure 7. Node B Overview

UMTS UE

The UMTS UE is based on the same principles as the GSM MS—the separation between mobile equipment (ME) and the UMTS subscriber identity module (SIM) card (USIM). Figure 8 shows the user equipment functions. The UE is the counterpart to the various network elements in many functions and procedures.

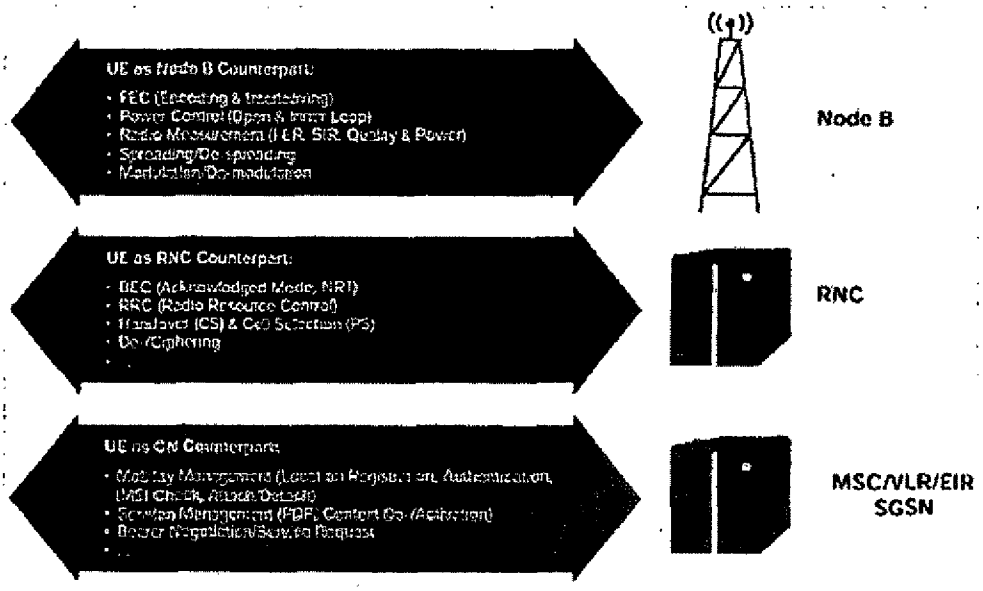


Figure 8. UE Functions

3. UMTS Interfaces >>

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INTERNATIONAL SEARCH REPORT

International application No
PCT/EP2007/064483

A. CLASSIFICATION OF SUBJECT MATTER
INV. H04Q7/32
ADD. H04B7/005

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
H04Q H04B H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)
EPO-Internal, WPI Data

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 1 681 780 A (FUJITSU LTD [JP]) 19 July 2006 (2006-07-19)	1-4, 6-12, 14-17
Y	paragraph [0003] - paragraph [0012] paragraph [0016] - paragraph [0025] paragraphs [0030], [0031] paragraph [0039] - paragraph [0041] paragraph [0047] - paragraph [0060] figures 2-4,6	5,13
Y	US 2006/093026 A1 (MONTOJO JUAN [US] ET AL) 4 May 2006 (2006-05-04) paragraphs [0038], [0042], [0043] paragraph [0047] - paragraph [0049] paragraph [0055] - paragraph [0078] paragraphs [0095], [0096] paragraphs [0099], [0100] figures 2,5,6,8-10	5,13

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Date of the actual completion of the international search	Date of mailing of the international search report
20 May 2008	02/06/2008

Name and mailing address of the ISA/	Authorized officer
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INTERNATIONAL SEARCH REPORT

International application No
PCT/EP2007/064483

C(Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	DE 102 01 270 A1 (SAMSUNG ELECTRONICS CO LTD [KR]) 8 August 2002 (2002-08-08) paragraph [0007] - paragraph [0012] paragraphs [0017], [0019], [0023] paragraphs [0024], [0031] paragraph [0043] - paragraph [0045] paragraph [0053] - paragraph [0057] paragraph [0068] - paragraph [0071] paragraphs [0075], [0076] paragraph [0080] - paragraph [0082] paragraph [0084] - paragraph [0090] figures 1,3-7	1-17
A	EP 1 615 384 A (QUALCOMM INC [US]) 11 January 2006 (2006-01-11) paragraph [0012] - paragraph [0014] paragraph [0065] - paragraph [0089] paragraph [0100] - paragraph [0113] paragraph [0123] - paragraph [0125] paragraphs [0145], [0176], [0253] paragraphs [0308], [0309] paragraph [0316] - paragraph [0320] paragraph [0375] - paragraph [0381] paragraph [0423] - paragraph [0426] paragraph [0458] - paragraph [0464] figures 3A,3B,4	1-17

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INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No
PCT/EP2007/064483

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
EP 1681780 A	19-07-2006	CN 1805307 A	19-07-2006
		JP 2006197318 A	27-07-2006
		US 2006171342 A1	03-08-2006
US 2006093026 A1	04-05-2006	NONE	
DE 10201270 A1	08-08-2002	CN 1376002 A	23-10-2002
		KR 20020061529 A	24-07-2002
		US 2002196766 A1	26-12-2002
EP 1615384 A	11-01-2006	EP 1619817 A2	25-01-2006

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(Not for submission under 37 CFR 1.99)

Application Number	13176298
Filing Date	2011-07-05
First Named Inventor	Paul Howard
Art Unit	2472
Examiner Name	Hassan Kizou
Attorney Docket Number	IPW2-USCN191712

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	Filing Date	2011-07-05
	First Named Inventor	Paul Howard
	Art Unit	2472
	Examiner Name	Hassan Kizou
	Attorney Docket Number	IPW2-USCN191712

	1	3RD GENERATION PARTNERSHIP PROJECT, "Technical Specification Group Radio Access Network; Radio Resource Control (RRC); Protocol Specification (Release 7)," 3GPP TS 25.331 V7.3.0, December 2006.	☐
	2	Non-Final Rejection issued by USPTO, dated May 14, 2009 for 11/646,692.	☐
	3	Final Rejection issued by USPTO, dated November 19, 2009 for 11/646,692.	☐
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Confirmation Number:	4342
Title of Invention:	Feedback Control in an FDD TDD-CDMA System
First Named Inventor/Applicant Name:	Paul Howard
Customer Number:	22242
Filer:	Harry Vartanian
Filer Authorized By:	
Attorney Docket Number:	9010-99460-US
Receipt Date:	20-JUL-2012
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(72) Inventors; and
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(74) Agent: **VIGUET, R., Ross**; Fulbright & Jaworski, L.L.P., 2200 Ross Avenue, Suite 2800, Dallas, TX 75201-2784 (US).

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(54) **Title:** COOPERATIVE MIMO IN MULTICELL WIRELESS NETWORKS

(57) **Abstract:** A method and system for cooperative multiple-input multiple output (MIMO) transmission operations in a multicell wireless network. Under the method, antenna elements from two or more base stations are used to from an augmented MIMO antenna array that is used to transmit and receive MIMO transmissions to and from one or more terminals. The cooperative MIMO transmission scheme supports higher dimension space-time-frequency processing for increased capacity and system performance.

WO 2006/063138 A2

COOPERATIVE MIMO IN MULTICELL WIRELESS NETWORKS

FIELD OF THE INVENTION

[0001] The present invention relates to the field of communications systems; more particularly, the present invention relates to techniques for performing MIMO operations in a multicell wireless network.

COOPERATIVE MIMO IN MULTICELL WIRELESS NETWORKS

BACKGROUND OF THE INVENTION

[0002] With high-speed wireless services increasingly in demand, there is a need for more throughput per bandwidth to accommodate more subscribers with higher data rates while retaining a guaranteed quality of service (QoS). In point-to-point communications, the achievable data rate between a transmitter and a receiver is constrained by the available bandwidth, propagation channel conditions, as well as the noise-plus-interference levels at the receiver. For wireless networks where a base-station communicates with multiple subscribers, the network capacity also depends on the way the spectral resource is partitioned and the channel conditions and noise-plus-interference levels of all subscribers. In current state-of-the-art, multiple-access protocols, *e.g.*, time-division multiple access (TDMA), frequency-division multiple-access (FDMA), code-division multiple-access (CDMA), are used to distribute the available spectrum among subscribers according to subscribers' data rate requirements. Other critical limiting factors, such as the channel fading conditions, interference levels, and QoS requirements, are ignored in general.

[0003] The fundamental phenomenon that makes reliable wireless transmission difficult to achieve is time-varying multipath fading. Increasing the quality or reducing the effective error rate in a multipath fading channel may be extremely difficult. For instance, consider the following comparison between a typical noise source in a non-multipath environment and multipath fading. In environments having additive white Gaussian noise (AWGN), it may require only 1- or 2-db higher signal-to-noise ratio (SNR) using typical modulation and coding schemes to reduce the effective bit error rate (BER) from 10^{-2} to 10^{-3}. Achieving the same reduction in a multipath fading environment, however, may require up to 10 db improvement in SNR. The necessary improvement in SRN may not be achieved by simply providing higher transmit power or additional bandwidth, as this is contrary to the requirements of next generation broadband wireless systems.

[0004] One set of techniques for reducing the effect of multipath fading is to employ a signal diversity scheme, wherein a combined signal is received via independently fading channels. Under a space diversity scheme, multiple antennas are

used to receive and/or send the signal. The antenna spacing must be such that the fading at each antenna is independent (coherence distance). Under a frequency diversity scheme, the signal is transmitted in several frequency bands (coherence BW). Under a time diversity scheme, the signal is transmitted in different time slots (coherence time). Channel coding plus interleaving is used to provide time diversity. Under a polarization diversity scheme, two antennas with different polarization are employed for reception and/or division.

[0005] Spatial diversity is commonly employed in modern wireless communications systems. To achieve spatial diversity, spatial processing with antenna arrays at the receiver and/or transmitter is performed. Among many schemes developed to date, multiple-input multiple-output (MIMO) and beamforming are the two most studied and have been proved to be effective in increase the capacity and performance of a wireless network, (see, *e.g.*, Ayman F. Naguib, Vahid Tarokh, Nambirajan Seshadri, A. Robert Calderbank, "A Space-Time Coding Modem for High-Data-Rate Wireless Communications", IEEE Journal on Selected Areas in Communications, vol. 16, no. 8, October 1998 pp. 1459–1478). In a block time-invariant environment, it can be shown that in a system equipped with Nt transmit antennas and Nr receive antennas, a well designed space-time coded (STC) systems can achieve a maximum diversity of Nr*Nt. Typical examples of STC include space-time trellis codes (STTC) (see, *e.g.*, V. Tarokh, N. Seshadri, and A. R. Calderbank, "Space-time codes for high data rate wireless communication: performance criterion and code construction", IEEE Trans. Inform. Theory, 44:744–765, March 1998) and space-time block codes from orthogonal design (STBC-OD) (see, *e.g.*, V. Tarokh, H. Jafarkhani, and A. R. Calderbank, "Space-time block codes from orthogonal designs", IEEE Trans. Inform. Theory, 45:1456–1467, July 1999.)

[0006] Since the capacity and performance of an MIMO system depends critically on its dimension (*i.e.*, Nt and Nr) and the correlation between antenna elements, larger size and more scattered antenna arrays are desirable. On the other hand, costs and physical constraints prohibit the use of excessive antenna arrays in practice.

SUMMARY OF THE INVENTION

[0007] A method and system is disclosed herein for cooperative multiple-input multiple output (MIMO) transmission operations in a multicell wireless network. Under one embodiment, antenna elements from two or more base stations are used to from an augmented MIMO antenna array that is used to transmit and receive MIMO transmissions to and from one or more terminals.

BRIEF DESCRIPTION OF THE DRAWINGS

[0008] The present invention will be understood more fully from the detailed description given below and from the accompanying drawings of various embodiments of the invention, which, however, should not be taken to limit the invention to the specific embodiments, but are for explanation and understanding only.

[0009] Figure 1 depicts a multicell scenario where antenna elements from multiple base-stations are augmented to form a higher dimension MIMO transceiver array.

[0010] Figure 2 shows a generic channel matrix H used for modeling the capacity of MIMO systems.

[0011] Figure 3 shows the capacity increase of an MIMO system with respect to the number of transmitting antennas.

[0012] Figure 4a shows a cooperative MIMO architecture under which antenna arrays from two base stations are employed in a cooperative MIMO transmission scheme to transmit downlink signals to one terminal.

[0013] Figure 4b shows aspects of the cooperative MIMO architecture of Figure 4a employed for transmitting and processing uplink signals received by the augmented antenna array.

[0014] Figure 5 shows an extension to the cooperative MIMO architecture of Figure 4a, wherein beamforming is used to direct a MIMO transmission toward one terminal while performing spatial nulling towards another terminal.

[0015] Figure 6 shows a cooperative MIMO architecture under which two base-stations performing multiuser MIMO with two terminals simultaneously using joint encoding and decoding.

[0016] Figure 7a shows a block diagram of an MIMO OFDM encoder/transmitter.

[0017] Figure 7b shows the block diagram of an MIMO OFDM encoder/transmitter with beamforming.

[0018] Figure 8 shows a block diagram of an MIMO OFDM receiver/decoder.

[0019] Figure 9 shows a block diagram used to model a space-time coding transmission scheme.

[0020] Figure 10 shows an exemplary PSK-based space-time trellis code (STTC) encoder.

[0021] Figure 11 shows an exemplary QAM-based STTC encoder.

[0022] Figure 12 shows a block diagram used to model a space-time block coding (STBC) transmission scheme.

[0023] Figure 13a shows a block diagram modeling an STTC delay diversity scheme.

[0024] Figure 13b shows a block diagram modeling an STBC delay diversity scheme.

[0025] Figure 14 is a block diagram of an exemplary PSK-based STTC delay diversity encoder.

[0026] Figure 15 is a schematic diagram illustrating a cooperative MIMO architecture under which STC encoding operations are performed at a master encoder.

[0027] Figure 16 is a schematic diagram illustrating a cooperative MIMO architecture under which STC encoding operations are performed on respective instances of replicated data streams at multiple base stations.

DETAILED DESCRIPTION OF THE PRESENT INVENTION

[0028] In accordance with aspects of the present invention, a method and apparatus to augment antenna elements from two or more base-stations/terminals to perform higher dimensional MIMO operations is disclosed. In one implementation, MIMO/joint space-time coding is employed across multiple base stations in a cellular environment, wherein the cooperative transmission of signals is performed at the modulation and coding level. This novel approach introduces additional diversities and capacities to existing network components with minimal additional costs. Because of the increase in the number of transmit antennas, the number of simultaneous users increases, leading to better spectrum efficiency.

[0029] In the following description, numerous details are set forth to provide a more thorough explanation of the present invention. It will be apparent, however, to one skilled in the art, that the present invention may be practiced without these specific details. In other instances, well-known structures and devices are shown in block diagram form, rather than in detail, in order to avoid obscuring the present invention.

[0030] Some portions of the detailed descriptions which follow are presented in terms of algorithms and symbolic representations of operations on data bits within a computer memory. These algorithmic descriptions and representations are the means used by those skilled in the data processing arts to most effectively convey the substance of their work to others skilled in the art. An algorithm is here, and generally, conceived to be a self-consistent sequence of steps leading to a desired result. The steps are those requiring physical manipulations of physical quantities. Usually, though not necessarily, these quantities take the form of electrical or magnetic signals capable of being stored, transferred, combined, compared, and otherwise manipulated. It has proven convenient at times, principally for reasons of common usage, to refer to these signals as bits, values, elements, symbols, characters, terms, numbers, or the like.

[0031] It should be borne in mind, however, that all of these and similar terms are to be associated with the appropriate physical quantities and are merely convenient labels applied to these quantities. Unless specifically stated otherwise as apparent from the following discussion, it is appreciated that throughout the description,

discussions utilizing terms such as "processing" or "computing" or "calculating" or "determining" or "displaying" or the like, refer to the action and processes of a computer system, or similar electronic computing device, that manipulates and transforms data represented as physical (electronic) quantities within the computer system's registers and memories into other data similarly represented as physical quantities within the computer system memories or registers or other such information storage, transmission or display devices.

[0032] The present invention also relates to apparatus for performing the operations herein. This apparatus may be specially constructed for the required purposes, or it may comprise a general-purpose computer selectively activated or reconfigured by a computer program stored in the computer. Such a computer program may be stored in a computer readable storage medium, such as, but is not limited to, any type of disk including floppy disks, optical disks, CD-ROMs, and magnetic-optical disks, read-only memories (ROMs), random access memories (RAMs), EPROMs, EEPROMs, magnetic or optical cards, or any type of media suitable for storing electronic instructions, and each coupled to a computer system bus.

[0033] The algorithms and displays presented herein are not inherently related to any particular computer or other apparatus. Various general-purpose systems may be used with programs in accordance with the teachings herein, or it may prove convenient to construct more specialized apparatus to perform the required method steps. The required structure for a variety of these systems will appear from the description below. In addition, the present invention is not described with reference to any particular programming language. It will be appreciated that a variety of programming languages may be used to implement the teachings of the invention as described herein.

[0034] A machine-readable medium includes any mechanism for storing or transmitting information in a form readable by a machine (*e.g.*, a computer). For example, a machine-readable medium includes read only memory ("ROM"); random access memory ("RAM"); magnetic disk storage media; optical storage media; flash memory devices; electrical, optical, acoustical or other form of propagated signals (*e.g.*, carrier waves, infrared signals, digital signals, *etc.*); *etc.*

OVERVIEW

[0035] Figure 1 depicts three cells 100, 102, and 104 for a typical wireless network with multiple base stations BS1, BS2 and BS3 and terminals A, B, and C. Each of base stations BS1 and BS2 includes a 4-element circular antenna array, while terminal A has two antennas 1 and 2.

[0036] From a theoretical viewpoint, the capacity between a transmitter and a receiver for a MIMO transmission scheme is determined by the vector channel H, which is also referred to as the channel matrix. As illustrated in Figure 2, the channel matrix H includes M rows and N columns, wherein M is the number of receiver antennas (Rx) and N is the number of transmitter antennas (Tx). In the illustrated channel matrix H, each entry α_{ij} is the complex channel gain from the i-th transmit antenna to the j-th receive antenna.

[0037] The channel capacity for a Single-Input Single-Output (SISO) channel is,

$$C = \log_2(1+\rho) \text{ bits/sec/use} \qquad (1),$$

where ρ is the signal to noise ratio. The channel capacity for a MIMO channel is,

$$C = \log_2 \det\left[I + \frac{\rho}{N} HH^* \right] \qquad (2),$$

From above, the outage capacity can be shown to be,

$$C = \frac{1}{2} M \log_2 (1+\sigma\{h\}^2 \rho) \qquad (3),$$

[0038] It is observed that under equation 3, the capacity increases linearly with the number of receive antennas when M is large. The channel capacity limit grows logarithmically when adding an antenna array at the receiver side (Single-Input Multiple-Output – SIMO). Meanwhile, the channel capacity limit grows as much as linearly with $\min(M,N)$, which is the maximum number of spatial eigenmodes, in the case of a MIMO

system. An illustration of a MIMO system capacity as a function of channel matrix dimension is shown in Figure 3.

[0039] Since the system capacity is dictated by the dimension (number of antennas) and the condition (correlation between antenna elements) of the channel, it is desirable to have large size antenna array with more scattered elements. However, there is a point of diminishing return, wherein the costs of adding antenna elements and corresponding processing complexity for a given base station exceeds the benefit of the incremental increase in system capacity. Furthermore, to obtain the added benefit of extra capacity, it may be necessary to add additional antenna elements to many or all base stations within a given wireless network.

[0040] Embodiments of the present invention take advantage of the benefit of having large size antenna arrays with more scattered elements without requiring additional antenna elements to be added to base stations. This is accomplished by augmenting the operations of antenna elements from two or more base stations to form a larger size antenna array. The augmented array performs "cooperative MIMO" transmission operations for one or more terminals. For example, Figure 1 shows an exemplary use of a cooperative MIMO transmission scheme, wherein the antenna elements for base stations BS1 and BS2 are augmented to cooperatively communicate via receive antennas 1 and 2 for terminal A.

[0041] Figure 4a depicts a block diagram of one embodiment of a downlink (from base stations to terminals) cooperative MIMO architecture 400. For illustrative purposes, the architecture shown in Figure 4a include two base stations 402 and 404 and a single terminal 406. It will be understood that an actual implementation of MIMO architecture 400 may include two or more base stations that transmit signals that are received by one or more terminals.

[0042] In the illustrated embodiment of Figure 4a, base station 402 has an antenna array including Nt_1 transmit antennas, while base station 404 has an antenna array including Nt_2 antennas and terminal 406 includes Nr antennas. In view of the foregoing MIMO definitions, the cooperative use of the base station antennas increases the MIMO dimension to $(Nt_1+Nt_2)*Nr$. This increase in dimension is accomplished

without requiring any additional antenna elements at the base stations, as well as the components use to drive the antennas.

[0043] According to aspects of various embodiments of the invention described herein, an information bit sequence corresponding to data to be transmitted to a subscriber (*e.g.*, terminal 406) may be space-time, space-frequency, or space-time-frequency coded, as depicted by a block 408 in Figure 4a. In some embodiments, space-time, space-frequency, or space-time-frequency codes may be augmented to support delay diversity, as described below. After appropriate encoding is performed in block 408, the coded data is then passed to the base stations, whereupon it is transmitted via applicable antenna elements at those base stations. The two or more base stations then perform joint MIMO transmissions (depicted as signals 410 and 412) towards the subscriber (*e.g.*, a user operating terminal 406) in view of applicable MIMO channel configuration parameters. For example, signals 410 and 412 transmitted from base stations 402 and 404 may employ selected antenna elements for each of the base stations based on the coding scheme and/or MIMO scheme that is currently employed for a particular subscriber. In general, cooperative MIMO transmissions can be performed during regular communication, or during handoff, where a subscriber moves across the boundary between cells.

[0044] In one embodiment, space-time coding is employed. For example, incoming information bits are space-time coded (using *e.g.*, space-time block or trellis codes) at block 408, and the encoded data are forwarded to each of base stations 402 and 404. Further details of space-time block encoding and the use of space-time trellis codes are discussed below.

[0045] In one embodiment, the space-time (or space-frequency, or space-time-frequency) coding is performed at a master encoder. In another embodiment, the space-time (or space-frequency, or space-time-frequency) is performed at separate locations (*e.g.*, within the base stations) based on a common (replicated) information bit sequence received at each of the separate locations.

[0046] Figure 4b shows uplink signal processing aspects of cooperative MIMO architecture 400. In this instance, an uplink signal 414 is transmitted from terminal 406 via selected antennas from among transmit antennas 1-Nt. The uplink

signal 414 is received by the respective receive antenna arrays (1-Nr_1, 1-Nr_2) for base stations 402 and 404. (It is noted that the same antennas may be used for both transmit and receive operations for some embodiments, while separate sets of transmit and receive antennas may be employed for other embodiments.) Upon being received at the base stations, initial signal processing is performed on the uplink signals, and the processed signals are forwarded to a block 416 to perform joint MIMO decoding and demodulation, thus extracting the information bits corresponding to the data transmitted by terminal 406. In general, the components for performing the operations of block 416 may be implemented in a master decoder that is centrally located with respect to multiple base stations (*e.g.*, base stations 402 and 404), or may be located at one of the multiple base stations.

[0047] Figure 5 depicts a multi-user cooperative MIMO architecture 500. Under this embodiment, the augmented antenna array (comprising selected transmit antenna elements for base stations 502 and 504) is used to perform MIMO operation towards one or more intended subscribers while limiting the radio signal at the location/direction of un-intended subscribers using a beamforming and nulling scheme. For example, techniques are known for steering transmitted signals toward selected locations, while transmitted signals sent toward other directions are nullified due to signal canceling effects and/or fading effects. Collectively, these selective transmission techniques are referred to as beamforming, and are accomplished by using appropriate antenna elements (an augmented array of antennas hosted by two or more base stations under the embodiments herein) and applicable control of the signals transmitted from those antenna elements (*e.g.*, via weighted inputs derived from feedback returned from a targeted terminal). Under beamforming embodiments of the invention, current techniques employed for antenna arrays located at a single base stations (see, *e.g.*, D. J. Love, R. W. Heath Jr., and T. Strohmer, "Grassmannian Beamforming for Multiple-Input Multiple-Output Wireless Systems," IEEE Transactions on Information Theory, vol. 49, pp. 2735–2747, Oct. 2003) are extended to support beamforming operations via selected antenna elements hosted by multiple base stations. As described below, it may be necessary to employ signal synchronization between multiple base stations to obtain the desired beamforming results.

[0048] In the embodiment of Figure 5, information bits are encoded using one of space- time, space-frequency, or space-time-frequency coding schemes in a block 514. Block 514 is also employed to perform beamforming operations, as describe below in further detail with reference to Figure 7b. The encoded output of block 514 is then provided to each of base stations 502 and 504, which in turn transmit respective signals 516 and 518. As depicted by lobes 520, 522, and 524, the channel characteristics of the combined signals 516 and 518 produce areas of higher gain in certain directions. At the same time, the gain of the combined signals 516 and 518 in other directions, such as depicted by a null direction 526, may be greatly reduced (*e.g.*, to the point at which the signal cannot be decoded) due to spatial nulling. In one embodiment, spatial nulling is performed at the direction of un-intended subscribers.

[0049] For example, under the scenario illustrated in Figure 5, the combined signals 516 and 518 are controlled so as to produce a high gain within lobe 522. As such, terminal 506 receives a good signal at its antenna array, and can decode the combined MIMO signal using appropriate MIMO decoding techniques that are well-known in the wireless communication system arts. Meanwhile, the strength of the combined signal received at a terminal 528 is nulled using spatial nulling. Accordingly, data corresponding to the information bits received at block 514 is transmitted to only terminal 506, and is not received by terminal 528.

[0050] Figure 6 depicts another multi-user cooperative MIMO architecture 600. Instead of forming nulls to un-intended terminals, information from multiple users is jointed encoded, transmitted from multiple base stations via the augmented MIMO antenna array, and then decoded at the receiving terminals. In one embodiment of the invention, the information is decoded at the user ends independently. The signals intended for other users are treated as interference. In another embodiment, the information from all users are decoded jointly. In yet another embodiment, the information received at different user locations are consolidated for joint decoding.

[0051] The embodiment of Figure 6 shows an example of joint decoding. In this instance, information to be sent to terminals 1 (606) and 2 (628) is jointly encoded using one of space-time, space-frequency, or space-time-frequency coding in a block 630. For clarity, the respective information to be sent to terminals 1 and 2 is

depicted as data A and data B. The jointly encoded output of block 630 is provided as inputs to each of base stations 602 and 604. The base stations then transmit the jointly encoded data via selected antennas (corresponding to MIMO channels assigned to terminals 1 and 2) to terminals 606 and 628. Upon receipt of the jointly encoded data, it is decoded via operations performed in a block 632 for each of terminals 606 and 628. Upon being decoded, information intended for each recipient terminal is kept, while other information is discarded. Accordingly, terminal 606 keeps data A and discards data B, while terminal 628 keeps data B and discards data A. In one embodiment, information to keep and discard is identified by packet headers corresponding to packets that are extracted from the decoded data received at a given terminal.

[0052] A block diagram corresponding to one embodiment of an OFDMA (Orthogonal Frequency Division Multiple Access) encoding/transmitter module 700A for a base station having N_t transmit antennas is shown in Figure 7a. Information bits for each of 1-N subcarriers are received at respective space-time coding (STC) blocks 704_{1-N}. The size of the STCs is a function of the number of transmit antennas N_t. In general, the space-time codes may comprise space-time trellis codes (STTC), space-time block codes (STBC), as well as STTC or STBC with delay diversity, details of which are described below. Based on the applicable STC, each of blocks 704_{1-P} outputs a set of code words $c_1[j,k]$ to $c_{Nt}[j,k]$, whereby j represents the sub-channel index and k is the time index. Each of the code words is then forwarded to an appropriate Fast Fourier Transform (FFT) blocks 706_{1-Nt}. The outputs of the FFT blocks 706_{1-Nt} are then fed to parallel to serial (P/S) conversion blocks 708_{1-Nt}, and cyclic prefixes are added via add cyclic prefix (CP) blocks 710_{1-Nt}. The outputs of add CP blocks 710_{1-Nt} are then provided to transmit antennas 1-N_t to be transmitted as downlink signals to various terminals within the base station's coverage area.

[0053] A block diagram corresponding to one embodiment of an OFDMA receiver/decoder module 800 for a terminal having N_r receive antennas is shown in Figure 8. The signal processing at the receive end of a downlink signal is substantially the inverse of the process used for encoding and preparing the signal for transmission. First, the cyclic prefix for each of the signals received at respective receive antennas 1-N_r is removed by a respective remove CP block blocks 810_{1-Nr}. The respective signals are then fed into respective serial-to-parallel (S/P) conversion blocks 808_{1-Nt} to produce

parallel sets of data, which are then provided as inputs to FFT blocks $806_{1\text{-}Nr}$. The outputs of FFT blocks $806_{1\text{-}Nr}$ are then forwarded to appropriate STC decoding blocks $804_{1\text{-}N}$ for decoding. The decoded data is then output at the information bits for subcarriers 1-N.

[0054] A block diagram corresponding to one embodiment of an OFDMA encoding/beamforming/transmitter module 700B that performs beamforming is shown in Figure 7b. As depicted by like-numbered blocks, much of the signal processing performed by the embodiments of Figures 7a and 7b is similar. In addition to these processing operations, OFDMA encoding/beamforming/transmitter module 700B further includes beamforming blocks $705_{1\text{-}N}$. Each of these beamforming blocks applies a weighted value $W_{1\text{-}N}$ to its respective inputs in view of control information provided by a beamforming control block 712, which is generated in response to beamforming feedback data 714. Further differences between the embodiments of Figure 7a and 7b include STC blocks $704A_{1\text{-}N}$, which now employ STCs having a size L, which represents the number of beamforming channels.

SPACE TIME ENCODING

[0055] Space-Time Codes (STC) were first introduced by Tarokh *et al.* from AT&T research labs (V. Tarokh, N. Seshadri, and A. R. Calderbank, Space-time codes for high data rates wireless communications: Performance criterion and code construction," IEEE Trans. Inform. Theory, vol. 44, pp. 744–765, 1998) in 1998 as a novel means of providing transmit diversity for the multiple-antenna fading channel. There are two main types of STCs, namely space-time block codes (STBC) and space-time trellis codes (STTC). Space-time block codes operate on a block of input symbols, producing a matrix output whose columns represent time and rows represent antennas. Space-time block codes do not generally provide coding gain, unless concatenated with an outer code. Their main feature is the provision of full diversity with a very simple decoding scheme. On the other hand, space-time trellis codes operate on one input symbol at a time, producing a sequence of vector symbols whose length represents antennas. Like traditional TCM (trellis coded modulation) for a single-antenna channel, space-time trellis codes provide coding gain. Since they also provide full diversity gain, their key advantage over space-time block codes is the provision of coding gain. Their disadvantage is that they are difficult to design and generally require high complexity encoders and decoders.

[0056] Figure 9 shows a block diagram of as STC MIMO transmission model. Under the model, data from an information source 900 is encoded using a STBC or STTC code by a space-time encoder 902. The encoded data is then transmitted over a MIMO link 904 to a receiver 906. The received signals are then decoded at the receiver to extract the original data.

[0057] An exemplary 8-PSK 8-state space-time trellis code for two antennas is shown in Figure 10, while an exemplary 16-QAM 16-state STTC for two antennas is shown in Figure 11. The encoding for STTCs are similar to TCM, except that at the beginning and the end of each frame, the encoder is required to be in the zero state. At each time t, depending on the state of the encoder and the input bits, a transition branch is selected. If the label of the transition branch is $c_1^t; c_2^t ::: ; c_n^t$, then transmit antenna i is used to send the constellation symbols $c_i^t, i = 1;2;:::;n$ and all these transmissions are in

parallel. In general, an STTC encoder may be implemented via a state machine programmed with states corresponding to the trellis code that is to be implemented.

[0058] Figure 12 shows a block diagram corresponding to an STBC model employing two antennas. As before, data is received from an information source 1200. Space time block encoding is then performed by the operations of space time block code 1202 and constellation maps 1204A and 1204B.

[0059] In further detail, an STBC is defined by p x n transmission matrix G, whose entries are linear combinations of $x_1;::::;x_k$ and their conjugates $x_1^*;::::;x_k^*$; and whose columns are pairwise-orthogonal. In the case when $p = n$ and $\{x_i,\}$ are real, G is a linear processing orthogonal design which satisfies the condition that $G^TG = D$, where D is a diagonal matrix with the $(i; i)$th diagonal element of the form $(l_1^i x_1^2 + l_2^i x_2^2 + ... + l_n^i x_n^2)$ with the coefficients $l_1^i, l_2^i, ... l_n^i \rangle 0$. An example of a 2 x 2 STBC code is shown in Figure 12.

[0060] Another signal diversity scheme is to employ a combination of STC with delay. For example, Figures 13a and 13b respectively show models corresponding to an STTC with delay transmission scheme and an STBC with delay transmission scheme. In Figure 13 a, data from an information source 1300 is received by a code repetition block 1302, which produces a pair of replicated symbol sequences that are generated in view of the data. A first sequence of symbols is forwarded to an STTC encoder 1304A for encoding. Meanwhile, the replicated sequence of symbols is fed into a delay block 1306, which produces a one-symbol delay. The delayed symbol sequence output of delay block 1306 is then forwarded to STTC encoder 1304B for encoding. An exemplary 8-PSK 8-state delay diversity code for two antennas is shown in Figure 14. As illustrated, the symbol sequence for transmission antenna Tx2 is synchronized with the input sequence, while the symbol sequence for transmission antenna Txl is delayed by one symbol.

[0061] Under the signal diversity scheme of Figure 13b, data from information source 1300 is received at best block code selection logic 1308, which outputs replicated block codes to produce two block code sequences. The first block code sequence is forwarded to constellation mapper 1310A for encoding, while the

second block code sequence is delayed by one symbol via a delay block 1312 and then forwarded to constellation mapper 1310B for encoding. The encoded signals are then transmitted via first and second transmit antennas.

[0062] The foregoing STTC and STBC schemes are depicted herein in accordance with conventional usage for clarity. Under such usage, the various encoded signals are transmitted using multiple antennas at the *same* base station. In contrast, embodiments of the invention employ selective antenna elements in antenna arrays from multiple base stations to form an augmented MIMO antenna array.

[0063] In order to implement an STC transmission scheme using multiple base stations, additional control elements may be needed. For example, if the base stations are located at different distances from a master encoder facility, there may need to be some measure to synchronize the antenna outputs in order to obtain appropriate MIMO transmission signals. Likewise, appropriate timing must be maintained when implementing a delay diversity scheme using antenna arrays at base stations at different locations.

[0064] Figure 15 shows a cooperative MIMO architecture 1500 that employs a master encoder 1502. In general, the master encoder 1502 may be located at a separate facility from base stations 402 and 404, or may be co-located with one of the base stations. In respective embodiments, master encoder 1502 performs STC encoding and signal processing operations similar to the operations performed by the OFDMA encoding/transmitter module 700A of Figure 7A (as depicted in Figure 15) or OFDMA encoding/beamforming/transmitter module 700B of Figure 7B. However, the transmission output are not fed directly to the transmission antennas, since the transmission antennas for at least one of the base stations will be located at a separate facility. Rather, master encoder 1502 produces respective sets of antenna drive signals 1504 and 1506 for base stations 402 and 404. Upon receipt of the antenna drive signals, corresponding downlink signals are transmitted by selected antennas hosted by base stations 402 and 404 based on the different MIMO channels supported by the system. Control inputs to master encoder 1502 corresponding to the MIMO channels are provided by a subscriber MIMO channel assignment register 1508.

[0065] If necessary, signal synchronization is performed by one or more sync/delay blocks 1510. For example, in the embodiment of Figure 15, two sync/delay blocks 1510A and 1510B are shown, with each being employed at a respective base station. In other embodiments, some base stations may not require a delay block, particularly if a co-located master encoder is employed. In general, the sync/delay blocks for a system are employed to synchronize the antenna signals or synchronize the delay of antenna signals (when delay diversity is employed).

[0066] Signal synchronization may be performed in any number of ways using principles known in the communication arts. For example, in one embodiment separate timing signals or sequences are provided to each of the base stations in a cooperative MIMO system. The timing signals or sequences contain information from which corresponding antenna drive signals may be synchronized. To perform such synchronization, each sync/delay blocks add an appropriate delay to its antenna signals. Synchronization feedback information may also be employed using well-known techniques.

[0067] Under one embodiment of a variation of architecture 1500, antenna signal processing operations corresponding to the FFT, P/S, and add CP blocks are implemented at the respective base stations. In this instance, STC code sequences are provided to each of the base stations, with further antenna signal processing being performed at the base stations. Under this approach, timing signals or the like may be embedded in the data streams containing the code sequences.

[0068] Another approach for implementing an cooperative MIMO system is depicted by cooperative MIMO architecture 1600 in Figure 16. Under this architecture, replicated instances of input information streams for multiple channel subscribers are generated by a block 1602 and provided to each of the base stations used to form the augmented MIMO antenna array. In this case, the STC encoding and signal processing operations are performed at each base station in a manner similar to that described with respect to the OFDMA encoding/transmitter module 700A of Figure 7 A (as depicted in Figure 16) or OFDMA encoding/beamforming/transmitter module 700B of Figure 7B.

[0069] In one embodiment, subscriber MIMO channel information is embedded in the input data streams received at each base station. Accordingly, there is a

need to determine which antenna elements are used to support each MIMO channel. This information is stored in a subscriber MIMO channel register 1604, and is used to control signal processing in a collaborative manner at the base stations.

[0070] As before, there may be a need to synchronize the antenna signals. For example, if the components used to perform the operations of block 1602 are located at different distances from the base stations, the input streams will be received at different times. In response, the corresponding antenna signals will be generated at different times. To address this situation, one or more sync/delay blocks 1606 may be employed (*e.g.*, as depicted by sync/delay blocks 1606A and 1606B in Figure 16B. In one embodiment, timing signals are encoded in the input data streams using one of many well-known schemes. The timing signals, which may typically comprise timing frames, timing bits, and/or timing sequences, are extracted by 1606A and 1606B. In view of the timing information, a variable delay is applied by sync/delay block for the data streams that are received earlier, such that at the point the data streams are ready received at the STC blocks, they have been resynchronized.

[0071] In general, the processing operations performed by the process blocks depicted herein may be performed using known hardware and/or software techniques. For example, the processing for a given block may be performed by processing logic that may comprise hardware (circuitry, dedicated logic, *etc.*), software (such as is run on a general purpose computer system or a dedicated machine), or a combination of both.

[0072] Whereas many alterations and modifications of the present invention will no doubt become apparent to a person of ordinary skill in the art after having read the foregoing description, it is to be understood that any particular embodiment shown and described by way of illustration is in no way intended to be considered limiting. Therefore, references to details of various embodiments are not intended to limit the scope of the claims which in themselves recite only those features regarded as essential to the invention.

CLAIMS

We claim:

1. A method comprising:

employing antenna elements from a plurality of base stations to support cooperative multiple-input multiple-output (MIMO) transmissions in a wireless network.

2. The method of claim 1, wherein the cooperative MIMO transmissions comprise orthogonal frequency division multiple access (OFDMA) MIMO transmissions.

3. The method of claim 1, further comprising encoding the cooperative MIMO transmissions using space-time coding.

4. The method of claim 3, wherein the space-time coding comprises space-time trellis coding.

5. The method of claim 3, wherein the space-time coding comprises space-time block coding.

6. The method of claim 3, further comprising encoding the cooperative MIMO transmissions using space-time coding with delay diversity.

7. The method of claim 1, further comprising encoding the cooperative MIMO transmissions using space-frequency coding.

8. The method of claim 1, further comprising encoding the cooperative MIMO transmissions using space-time-frequency coding.

9. The method of claim 1, further comprising performing spatial multiplexing on the cooperative MIMO transmissions.

10. The method of claim 1, wherein the cooperative MIMO transmissions include downlink transmissions from the plurality of base stations to terminals and uplink transmissions from the terminals to the plurality of base stations.

11. The method of claim 1, further comprising performing spatial beamforming for selected MIMO transmissions.

12. The method of claim 11, further comprising performing spatial beamforming in combination with one of space-time, space-frequency and space-time-frequency coding of the selected MIMO transmissions.

13. The method of claim 1, further comprising transmitting a cooperative MIMO transmission to at least two terminals simultaneously.

14. The method of claim 13, further comprising performing spatial beamforming on the cooperative MIMO transmissions such that MIMO transmissions are directed toward intended users while spatial nulling is effected toward unintended users.

15. The method of claim 1, further comprising jointly decoding uplink MIMO transmissions received from multiple terminals.

16. The method of claim 1, further comprising jointly decoding downlink MIMO transmissions received at multiple terminals.

17. The method of claim 1, further comprising separately decoding uplink MIMO transmissions received from multiple terminals.

18. The method of claim 1, further comprising jointly encoding downlink MIMO transmissions sent to multiple terminals.

19. The method of claim 18, further comprising:

decoding a jointly encoded downlink MIMO transmission at a terminal; and keeping portions of data sent via jointly encoded downlink MIMO transmission intended for the terminal, while discarding other portions of data that are not intended for the terminal.

20. The method of claim 18, further comprising separately decoding the jointly encoded downlink transmissions at each of the multiple terminals.

21. The method of claim 1, further comprising:

generating antenna drive signals via at a first facility;

sending respective portions of the antenna drive signals to each of the base stations; and

performing cooperative MIMO transmissions by driving selected antenna elements at the base stations with the respective portion of the antenna drive signals sent to those base stations.

22. The method of claim 21, wherein the first facility is co-located with one of the base stations.

23. The method of claim 21, further comprising synchronizing transmission of the respective portions of antenna drive signals sent to the base stations.

24. The method of claim 1, further comprising:

replicating a data stream received from an information source;

forwarding a replication of the data stream to each base station;

performing antenna signal processing operations at each base station on the data stream it receives to generate antenna signals; and

transmitting the antenna signals over selected antenna elements at each of the base station to form a cooperative MIMO transmission.

25. The method of claim 24, further comprising synchronizing performing the antenna signal processing operations at the base stations such that the generated antenna signals are transmitted over the selected antenna elements at different base stations in synchrony.

26. The method of claim 1, further comprising performing cooperative MIMO transmissions to facilitate terminal handoff between wireless network cells or sectors.

27. The method of claim 1, further comprising:

performing MIMO encoding on a data stream to be transmitted over a corresponding cooperative MIMO channel, the MIMO encoding producing respective sets of encoded data sequences on which antenna signal processing is to be performed at respective base stations;

sending each respective set of encoded data sequences to its corresponding base station; and

performing antenna signal processing operations to generate antenna signals at each of the base stations in view of the set of encoded data sequences received by that base station; and

transmitting the antenna signals over corresponding antenna elements at each of the base station to transmit the data stream over the cooperative MIMO channel.

28. The method of claim 27, further comprising synchronizing performing the antenna signal processing operations at the base stations such that the generated antenna signals are transmitted over the selected antenna elements at different base stations in synchrony.

29. A multicell wireless network, comprising:

a plurality of base stations, each associated with a respective cell and having a respective antenna array including at least one antenna element; and

a cooperative multiple-input multiple-output (MIMO) transmission mechanism that employs selected antenna elements from the plurality of base stations to form an augmented antenna array used to support cooperative MIMO transmissions over the wireless network.

30. The multicell wireless network of claim 29, wherein the cooperative MIMO transmissions comprises orthogonal frequency division multiple access (OFDMA) MIMO transmissions.

31. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism encodes the cooperative MIMO transmissions using space-time coding.

32. The multicell wireless network of claim 31, wherein the space-time coding comprises space-time trellis coding.

33. The multicell wireless network of claim 31, wherein the space-time coding comprises space-time block coding.

34. The multicell wireless network of claim 31, wherein the cooperative MIMO transmission mechanism encodes the cooperative MIMO transmissions using space-time coding with delay diversity.

35. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism encodes the cooperative MIMO transmissions using space-frequency coding.

36. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism encodes the cooperative MIMO transmissions using space-time-frequency coding.

37. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism performs spatial multiplexing on the cooperative MIMO transmissions.

38. The multicell wireless network of claim 29, wherein the cooperative MIMO transmissions include downlink transmissions from the plurality of base stations to terminals and uplink transmissions from the terminals to the plurality of base stations.

39. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism performs spatial beamforming for selected MIMO transmissions.

40. The multicell wireless network of claim 39, wherein the cooperative MIMO transmission mechanism performs spatial beamforming in combination with one

of space-time, space-frequency and space-time-frequency coding of the selected MIMO transmissions.

41. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism performs transmitting a cooperative MIMO transmission to at least two terminals simultaneously.

42. The multicell wireless network of claim 41, wherein the cooperative MIMO transmission mechanism further performs spatial beamforming on the cooperative MIMO transmissions such that MIMO transmissions are directed toward intended users while spatial nulling is effected toward unintended users.

43. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism further performs jointly decoding uplink MIMO transmissions received from multiple terminals.

44. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism further performs separately decoding uplink MIMO transmissions received from multiple terminals.

45. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism further performs jointly encoding downlink MIMO transmissions sent to multiple terminals.

46. The multicell wireless network of claim 29, further comprising:

a cooperative MIMO master encoder to:

generate antenna drive signals; and

send respective portions of the antenna drive signals to each of the base stations;

wherein cooperative MIMO transmissions are performed by driving selected antenna elements at the base stations with the respective portion of the antenna drive signals sent to those base stations.

47. The multicell wireless network of claim 46, wherein the cooperative MIMO master encoder is co-located with one of the base stations.

48. The multicell wireless network of claim 46, further comprising a synchronizing mechanism to synchronize transmission of the respective portions of antenna drive signals sent to the base stations.

49. The multicell wireless network of claim 29, further comprising:

a data replicator to:

replicate a data stream received from an information source; and forward a replication of the data stream to each base station; and a set of antenna signal processing components at each base station to perform antenna signal processing operations on the data stream it receives to generate antenna signals, wherein the antenna signals are transmitted over selected antenna elements at each of the base station to form a cooperative MIMO transmission.

50. The multicell wireless network of claim 49, further comprising a synchronizing mechanism to synchronize the antenna signal processing operations at the base stations such that the generated antenna signals are transmitted over the selected antenna elements at different base stations in synchrony.

51. The multicell wireless network of claim 29, further comprising:

a master encoder to:

perform MIMO encoding on a data stream to be transmitted over a corresponding cooperative MIMO channel, the MIMO encoding producing respective sets of encoded data sequences on which antenna signal processing is to be performed at respective base stations;

send each respective set of encoded data sequences to its corresponding base station; and

a set of antenna signal processing components at each base station to perform antenna signal processing operations on the set of encoded data sequences it receives to generate antenna signals,

wherein the antenna signals are transmitted over selected antenna elements at each of the base station to form a cooperative MIMO transmission over the cooperative MIMO channel.

52. The multicell wireless network of claim 51, further comprising a synchronizing mechanism to synchronize the antenna signal processing operations at the base stations such that the generated antenna signals are transmitted over the selected antenna elements at different base stations in synchrony.

53. The multicell wireless network of claim 29, wherein the cooperative MIMO transmission mechanism performs cooperative MIMO transmissions to facilitate terminal handoff between wireless network cells or sectors.

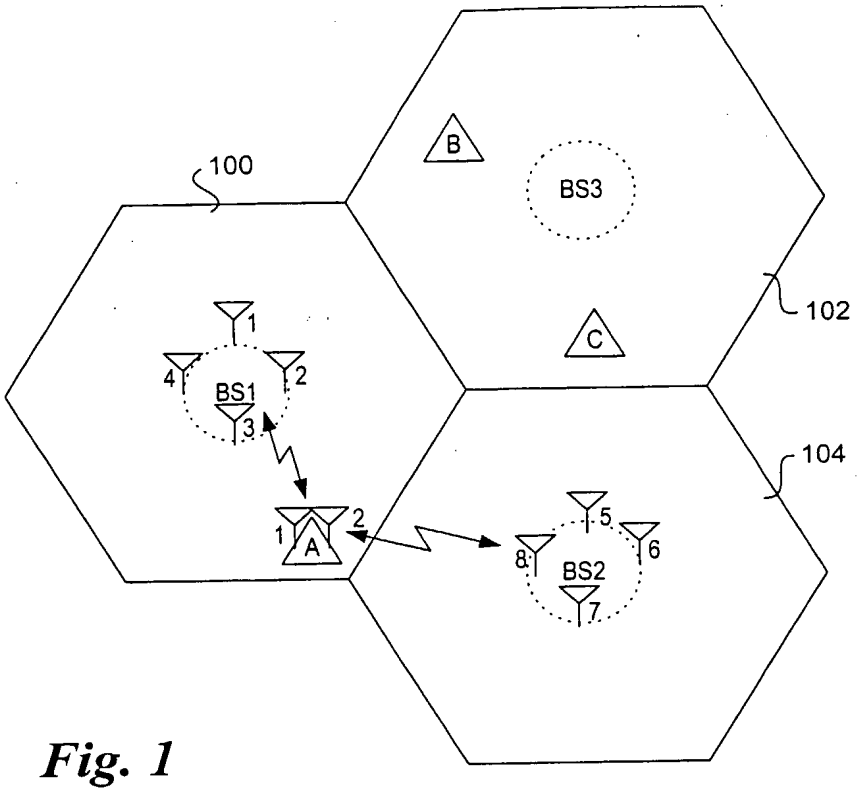

100
B
BS3
102
C
1
4
BS1
2
3
104
1
A
2
5
8
BS2
6
7

Fig. 1

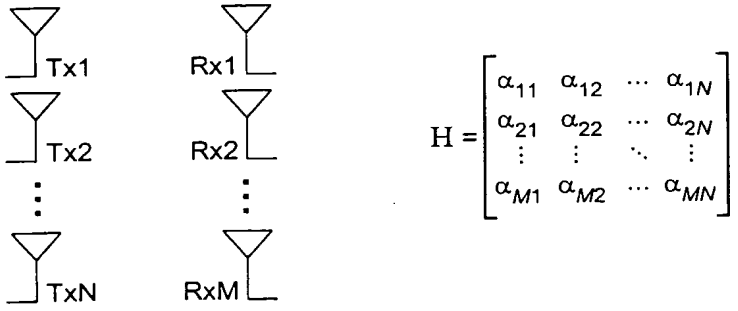

Tx1
Tx2
TxN
Rx1
Rx2
RxM
H = [α11 α12 ⋯ α1N; α21 α22 ⋯ α2N; ⋮ ⋮ ⋱ ⋮; αM1 αM2 ⋯ αMN]

Fig. 2

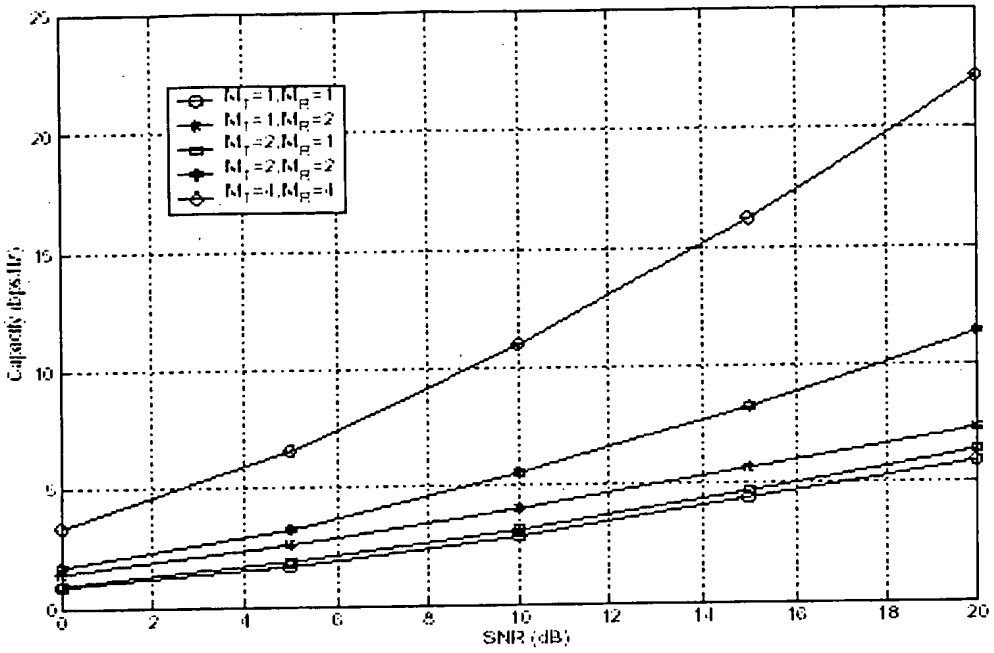

$M_T=1, M_R=1$
$M_T=1, M_R=2$
$M_T=2, M_R=1$
$M_T=2, M_R=2$
$M_T=4, M_R=4$
Capacity (bps/Hz)
SNR (dB)
0
5
10
15
20
25
0
2
4
6
8
10
12
14
16
18
20

Fig. 3

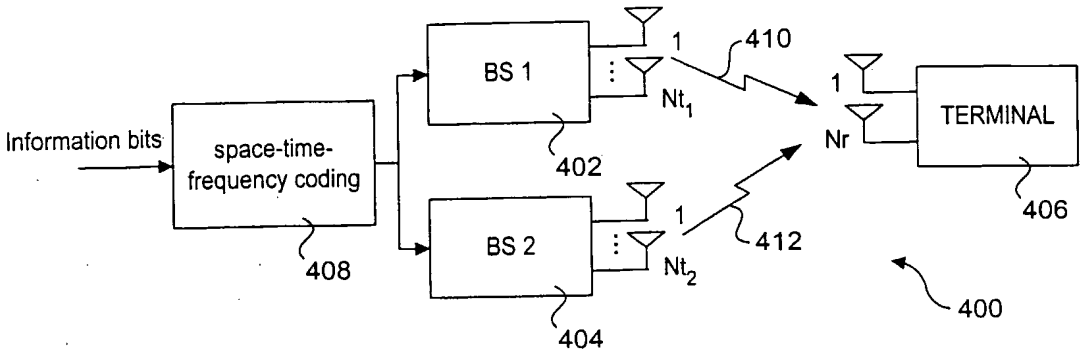

Information bits
space-time-frequency coding
408
BS 1
BS 2
402
404
1
Nt_1
Nt_2
410
412
1
Nr
TERMINAL
406
400

Fig. 4a

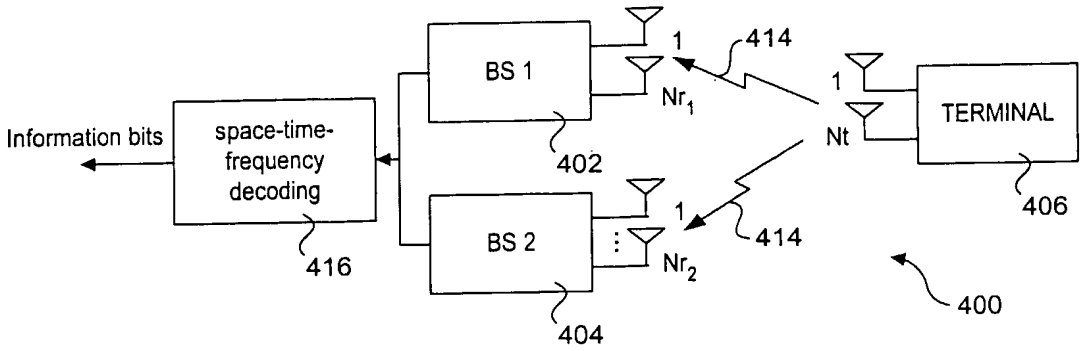

Information bits
space-time-frequency decoding
416
BS 1
BS 2
402
404
1
Nr_1
Nr_2
414
414
1
Nt
TERMINAL
406
400

Fig. 4b

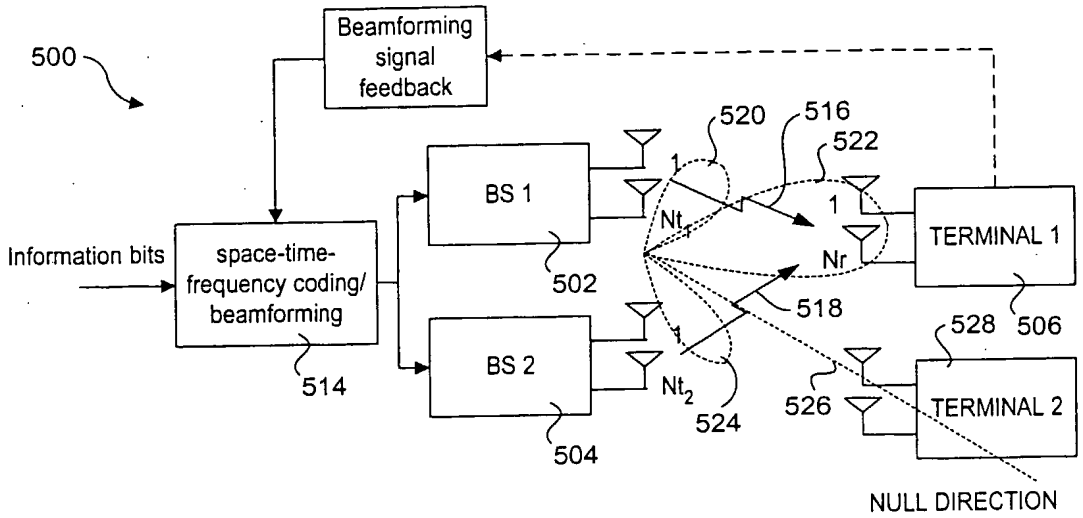

500
Beamforming signal feedback
Information bits
space-time-frequency coding/ beamforming
514
BS 1
502
BS 2
504
1
Nt1
Nt2
520
516
522
518
524
1
Nr
TERMINAL 1
506
528
526
TERMINAL 2
NULL DIRECTION

Fig. 5

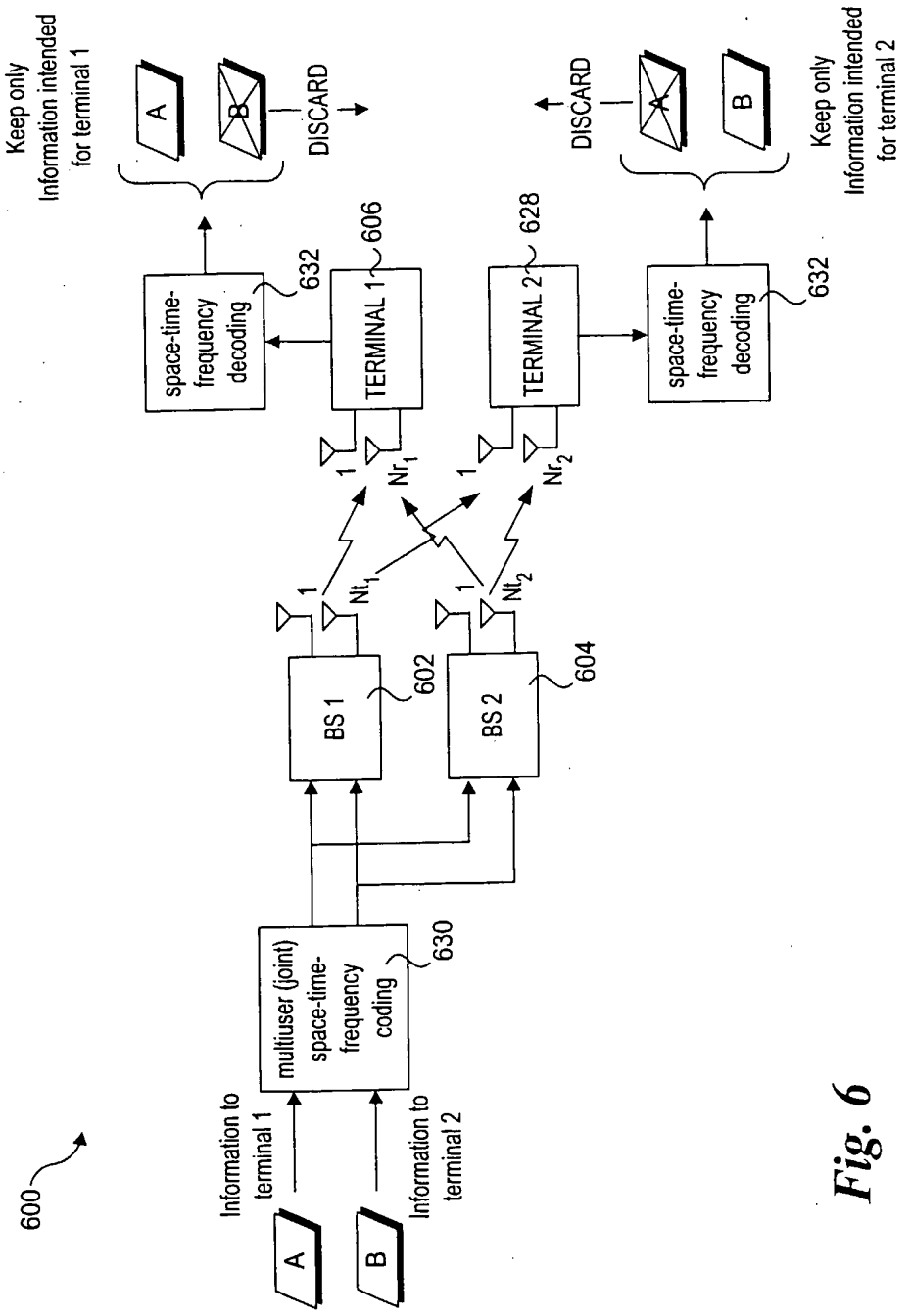

600
Information to terminal 1
Information to terminal 2
A
B
multiuser (joint) space-time-frequency coding
630
BS 1
602
BS 2
604
1
Nt_1
Nt_2
Nr_1
Nr_2
TERMINAL 1
606
TERMINAL 2
628
space-time-frequency decoding
632
DISCARD
Keep only Information intended for terminal 1
Keep only Information intended for terminal 2

Fig. 6

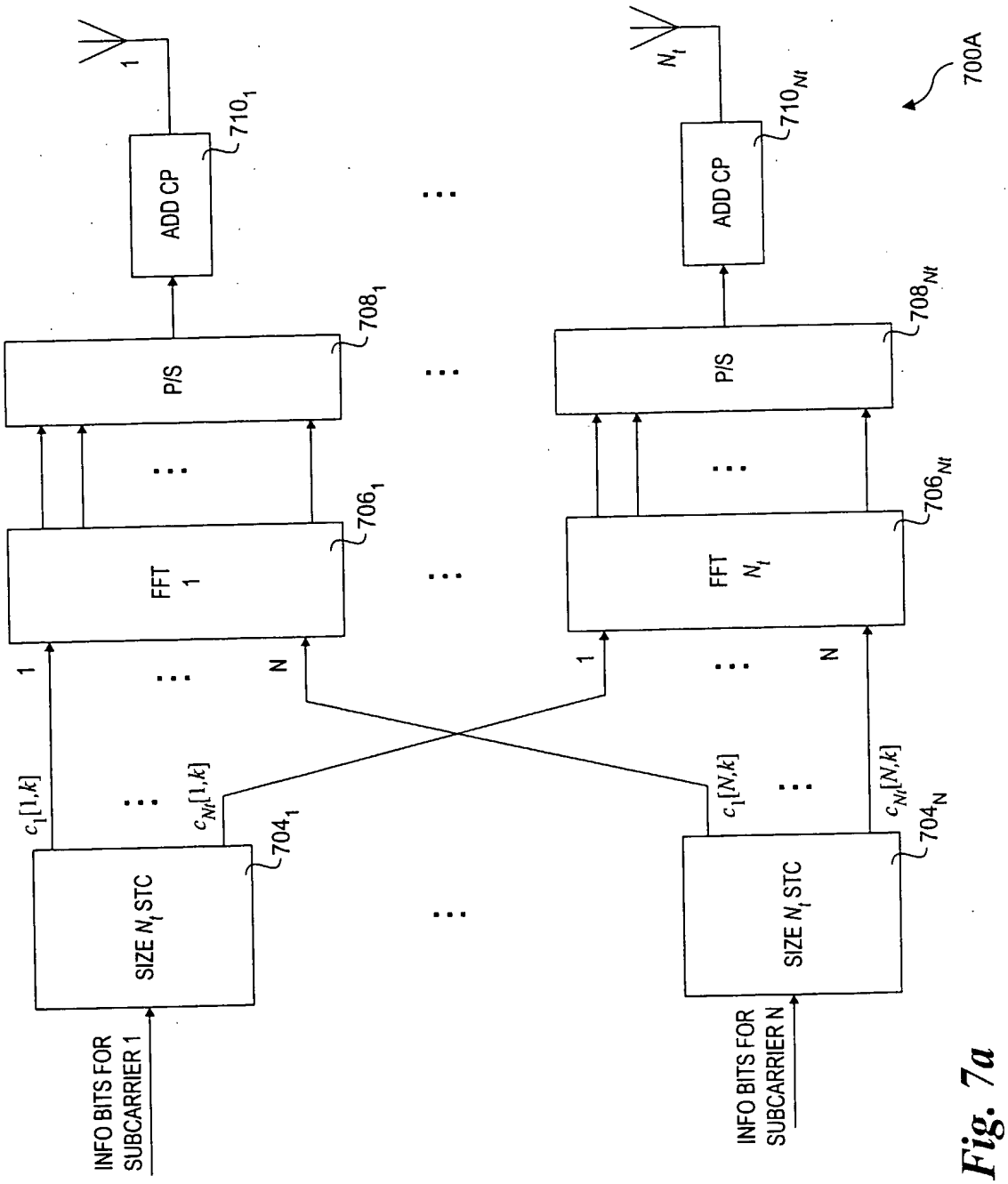

700A
INFO BITS FOR SUBCARRIER 1
INFO BITS FOR SUBCARRIER N
SIZE N_t STC
704_1
704_N
$c_1[1,k]$
$c_{Nt}[1,k]$
$c_1[N,k]$
$c_{Nt}[N,k]$
FFT 1
FFT N_t
706_1
706_{Nt}
P/S
708_1
708_{Nt}
ADD CP
710_1
710_{Nt}
1
N
1
N_t

Fig. 7a

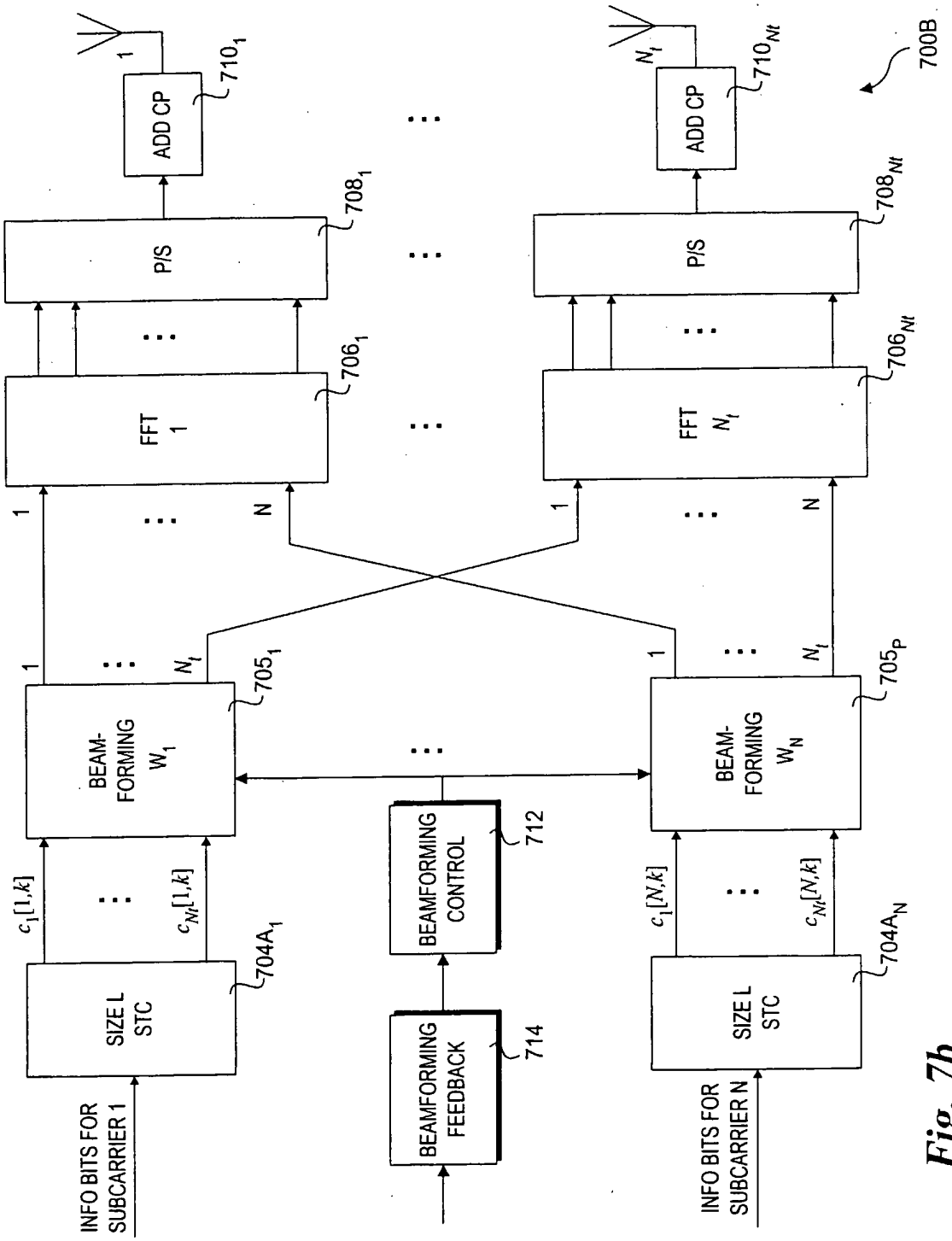

700B
ADD CP
P/S
FFT
BEAM-FORMING
SIZE L STC
BEAMFORMING CONTROL
BEAMFORMING FEEDBACK
INFO BITS FOR SUBCARRIER 1
INFO BITS FOR SUBCARRIER N

Fig. 7b

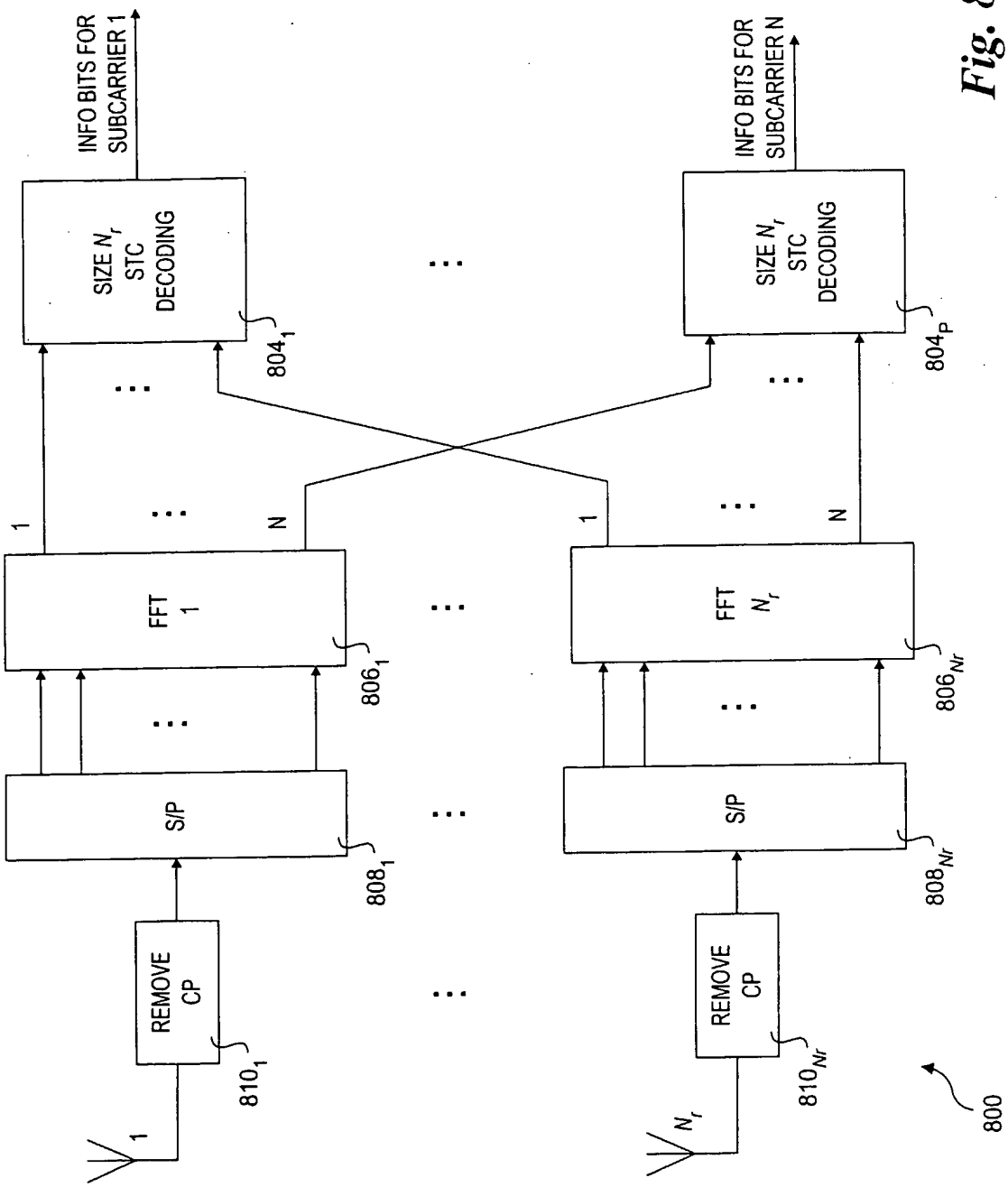

INFO BITS FOR SUBCARRIER 1
INFO BITS FOR SUBCARRIER N
SIZE N_r STC DECODING
804_1
804_P
FFT 1
FFT N_r
806_1
806_{Nr}
S/P
808_1
808_{Nr}
REMOVE CP
810_1
810_{Nr}
1
N
N_r
800

Fig. 8

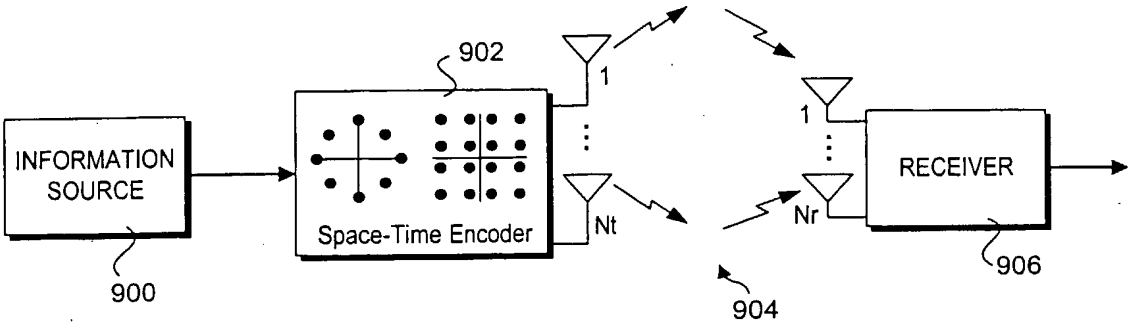

INFORMATION SOURCE
900
902
Space-Time Encoder
1
Nt
1
Nr
RECEIVER
906
904

Fig. 9

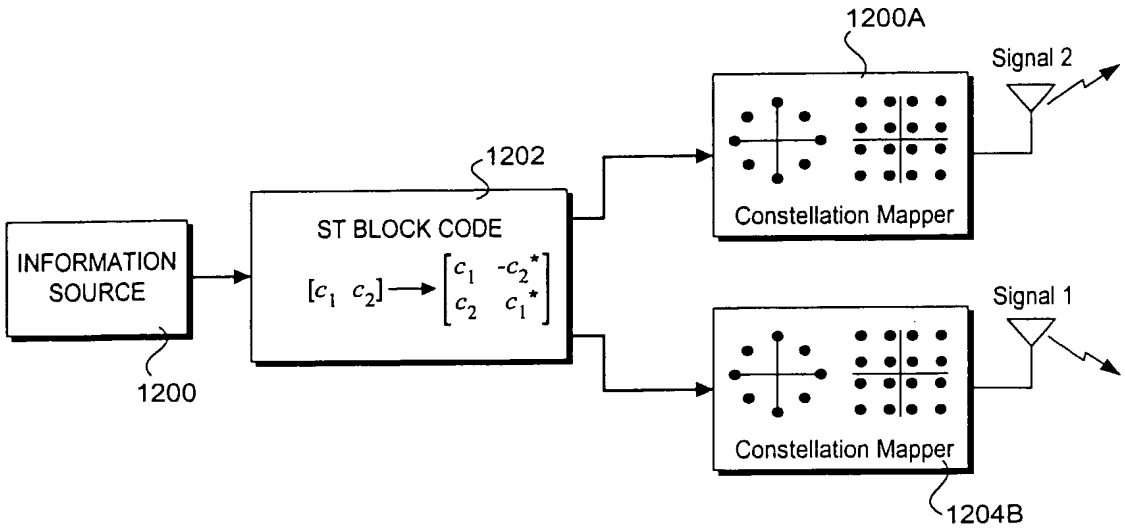

INFORMATION SOURCE
1200
1202
ST BLOCK CODE
$[c_1 \ c_2] \rightarrow \begin{bmatrix} c_1 & -c_2^* \\ c_2 & c_1^* \end{bmatrix}$
1200A
Constellation Mapper
Signal 2
Constellation Mapper
Signal 1
1204B

Fig. 12

Input: 0 1 5 7 6 4
Tx 1: 0 0 5 1 3 6
Tx 2: 0 1 5 7 6 4

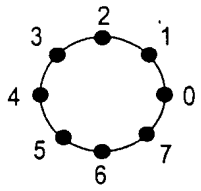
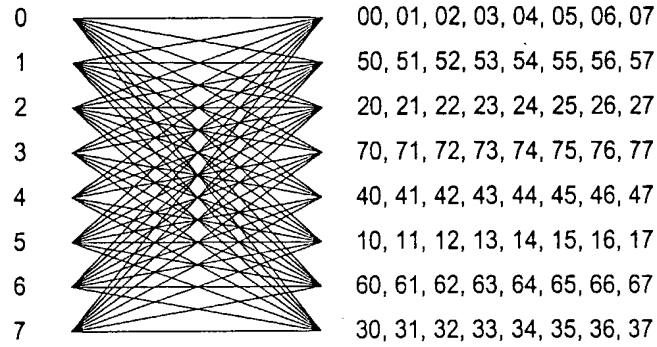


Fig. 10



8-PSK 8-State Space-Time Code with 2 Tx Antennas

Input: 0 1 5 7 6 4
Tx 1: 0 0 1 5 7 6
Tx 2: 0 1 5 7 6 4

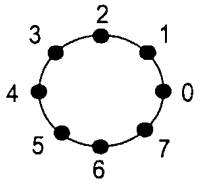
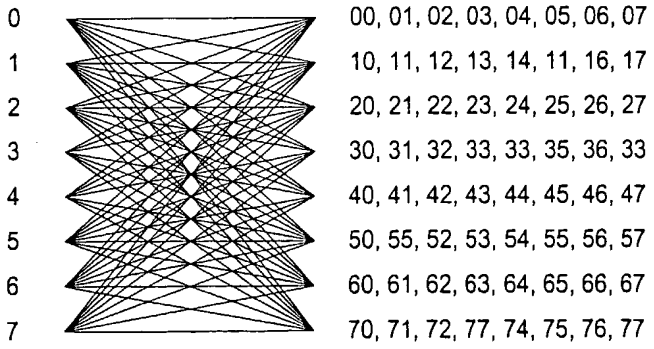


Fig. 14



8-PSK 8-State Delay Diversity Code with 2 Tx Antennas

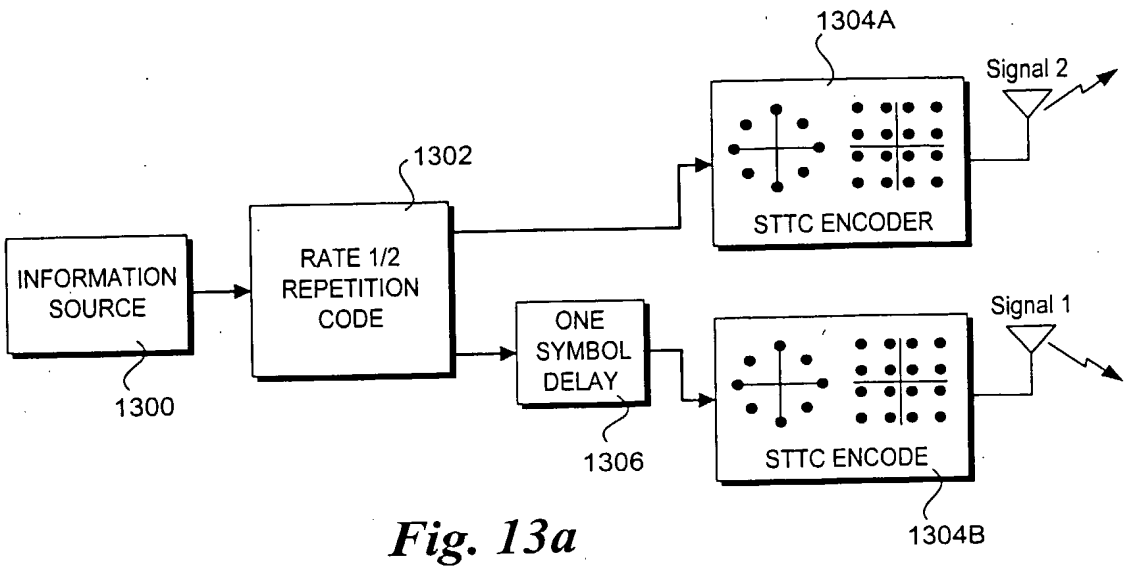


Fig. 13a

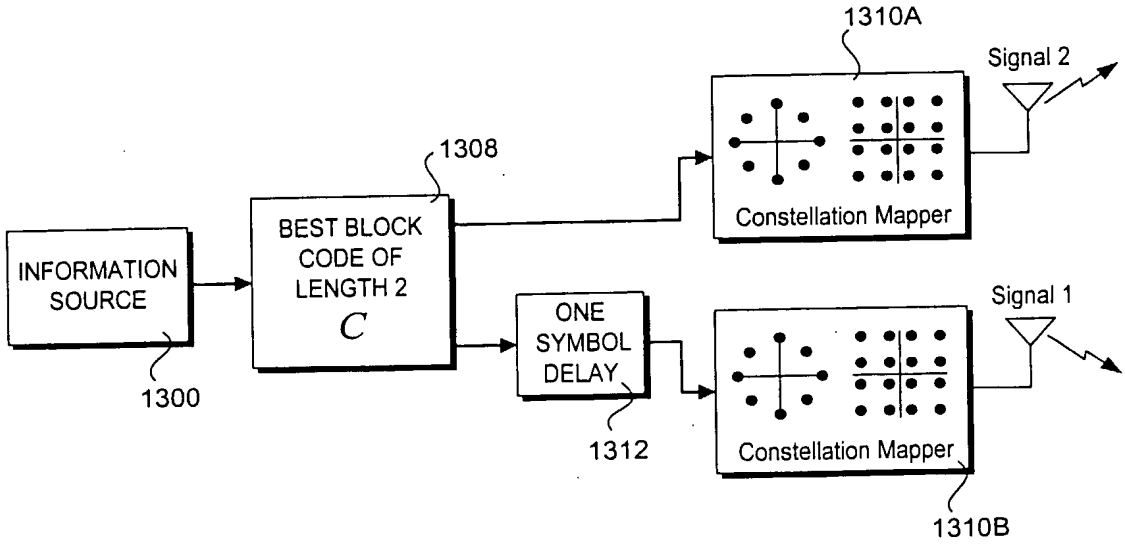
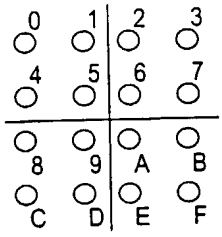
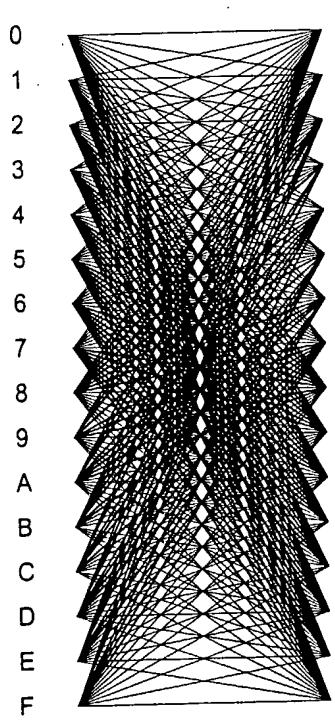


Fig. 13b



Input: 0 1 A C 5 7
Tx 1: 0 0 B A C F
Tx 2: 0 1 A C 5 7



00	01	02	03	04	05	06	07	08	0A	0B	0C	0D	0E	0F
BB	B1	B2	B3	B4	B5	B6	B7	B8	BA	BB	BC	BD	BE	BF
22	21	22	23	24	25	26	27	28	2A	2B	2C	2D	2E	2F
99	91	92	93	94	95	96	97	98	9A	9B	9C	9D	9E	9F
44	41	42	43	44	45	46	47	48	4A	4B	4C	4D	4E	4F
FF	F1	F2	F3	F4	F5	F6	F7	F8	FA	FB	FC	FD	FE	FF
66	61	62	63	64	65	66	67	68	6A	6B	6C	6D	6E	6F
DD	D1	D2	D3	D4	D5	D6	D7	D8	DA	DB	DC	DD	DE	DF
88	81	82	83	84	85	86	87	88	8A	8B	8C	8D	8E	8F
33	31	32	33	34	35	36	37	38	3A	3B	3C	3D	3E	3F
AA	A1	A2	A3	A4	A5	A6	A7	A8	AA	AB	AC	AD	AE	AF
11	11	12	13	14	15	16	17	18	1A	1B	1C	1D	1E	1F
CC	C1	C2	C3	C4	C5	C6	C7	C8	CA	CB	CC	CD	CE	CF
77	71	72	73	74	75	76	77	78	7A	7B	7C	7D	7E	7F
EE	E1	E2	E3	E4	E5	E6	E7	E8	EA	EB	EC	ED	EE	EF
55	51	52	53	54	55	56	57	58	5A	5B	5C	5D	5E	5F

16-QAM 16-State Space-Time Code with 2 Tx Antennas

Fig. 11

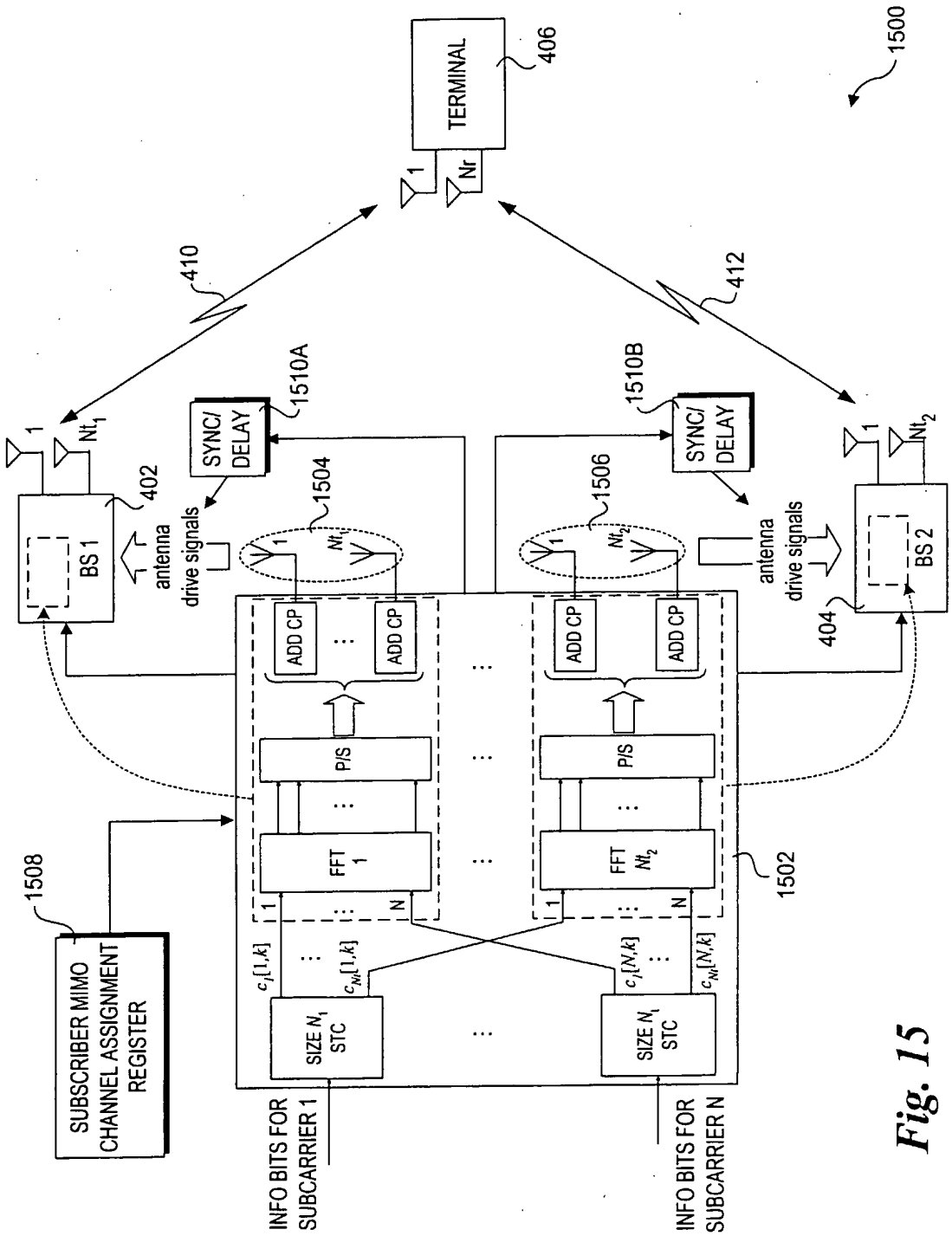

1500
TERMINAL
406
1
Nr
410
412
1510A
1510B
SYNC/ DELAY
SYNC/ DELAY
1
Nt_1
Nt_2
402
404
BS 1
BS 2
antenna drive signals
antenna drive signals
1504
1506
ADD CP
P/S
FFT 1
FFT Nt_2
1502
1508
SUBSCRIBER MIMO CHANNEL ASSIGNMENT REGISTER
SIZE N_1 STC
INFO BITS FOR SUBCARRIER 1
INFO BITS FOR SUBCARRIER N

Fig. 15

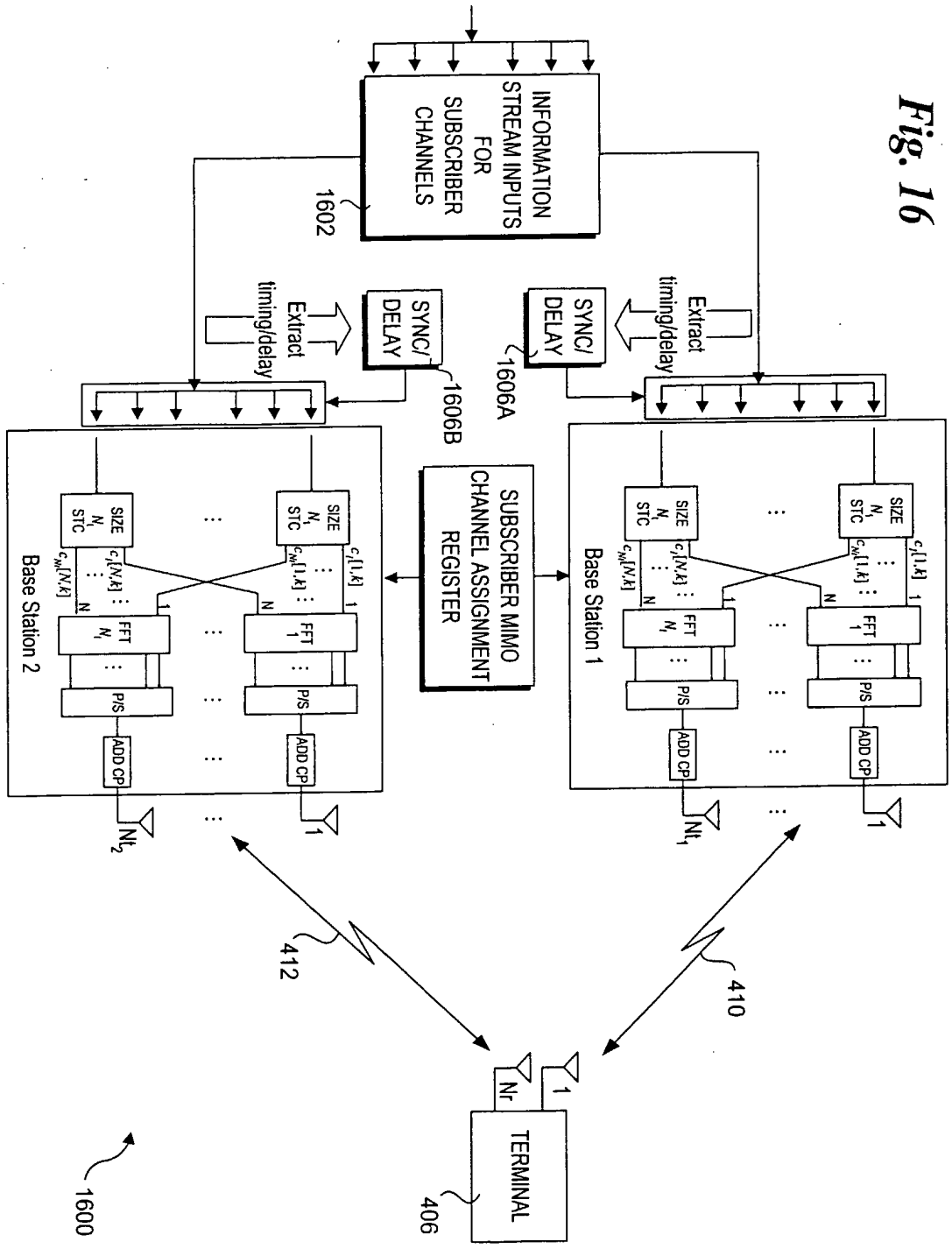

INFORMATION STREAM INPUTS FOR SUBSCRIBER CHANNELS
1602
SYNC/ DELAY
1606A
Extract timing/delay
SYNC/ DELAY
1606B
Extract timing/delay
SUBSCRIBER MIMO CHANNEL ASSIGNMENT REGISTER
Base Station 1
Base Station 2
SIZE
FFT
P/S
ADD CP
412
410
TERMINAL
406
1600

Fig. 16

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	562492007400	2841

20872 7590 05/14/2009

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EXAMINER	
ABELSON, RONALD B	
ART UNIT	**PAPER NUMBER**
2419	

MAIL DATE	DELIVERY MODE
05/14/2009	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/646,692	HOWARD, PAUL	
	Examiner	Art Unit	
	RONALD ABELSON	2419	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *3* MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *27 June 2007 and 27 December 2006*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-24* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-24* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *27 December 2006* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *27 June 2007*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

Claim Rejections - 35 USC § 101

1. 35 U.S.C. 101 reads as follows:

> Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

2. Claim(s) 1-8 are rejected under 35 U.S.C. 101 as not falling within one of the four statutory categories of invention. Supreme Court precedent and recent Federal Circuit decisions indicate that a statutory "process" under 35 U.S.C. 101 must (1) be tied to another statutory category (such as a particular apparatus), or (2) transform underlying subject matter (such as an article or material) to a different state or thing. While the instant claim 1 recites a series of steps or acts to be performed, the claim neither transforms underlying subject matter nor positively ties to another statutory category that accomplishes the claimed method steps, and therefore does not qualify as a statutory process. For example the method for allocating a first time slot, allocating a second time slot, and allocating other timeslots is of sufficient breadth that it would be reasonably interpreted as a series of steps completely performed mentally or without a machine at the terminating node.

The Applicant has provided no explicit and deliberate definitions for the steps of 'allocating' to limit the steps to a machine performing these steps at the terminating node and the claim language itself is sufficiently broad to read on a person at the termination node performing these steps.

Diamond v. Diehr, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 437 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972); *Cochrane v. Deener*, 94 U.S. 780, 787-88 (1876).
[2] *In re Bilski*, 88 USPQ2d 1385 (Fed. Cir. 2008).

Claim Objections

3. Claim 17 is objected to because of the following informalities: Applcant should state in the preamble that the computer-readable medium is embedded on a physical structure, i.e. a processor. Appropriate correction is required.

Claim Rejections - 35 USC § 112

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 6, 14, and 22 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The applicant neither

defines the term 'separated in the code domain' nor provides teaching in order allowing another downlink signal, separated in the code domain from the control signal, to share the second time slot with the control signal.

Claim Rejections - 35 USC § 103

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

7. Claims 1-4, 9-12, and 17-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Souissi (US 2002/0075891) in view of Tarsky (US 6,061,784) and Laroia (US 2007/0173256).

Regarding claims 1, 9, and 17, Souissi teaches allocating a first time slot within a frame for a UE to transmit a beacon 'control' signal, wherein the control signal is separate from data signals within the frame (time slotted full duplex frame

subdivided between a message section and signaling section, [0011]);

allocating timeslots for the base station to operate in a full duplex mode (time slotted full duplex frame subdivided between a message section and signaling section, [0011]).

Souissi is silent on allocating a second time slot within the frame for the base station to transmit a second control signal in response to the original control signal.

Tarsky, like Souissi teaches full duplex. In addition, Tarsky teaches a allocating a second time slot within the frame for the base station to transmit a second control signal in addition to the original control signal (fig. 5, see O.O.B Channels: RM to CEM and CEM to RM, full duplex, control information between CEMs and RMs).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of Souissi by having separate slots within the frame for uplink and downlink control signals, as shown by Tarsky. This modification would benefit the system by allowing control information to be transmitted in a full duplex manner between the UEs and base station.

The combination is silent on the second control signal is

in response to the first control / 'beacon' signal, the second control signal for providing a basis upon which the UE adjusts a transmission parameter.

Laroia teaches the second control signal is in response to the first control / 'beacon' signal, the second control signal for providing a basis upon which the UE adjusts a transmission parameter (BS sector responds to power control signals, a power control signal is transmitted to instruct the WT to increase, decrease transmission power, [0128]).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by having the second control signal is in response to the first control / 'beacon' signal, the second control signal for providing a basis upon which the UE adjusts a transmission parameter, as suggested by Laroia. This modification would benefit the system by performing for transmission power adjustment while using the bandwidth efficiently. Regarding using the bandwidth efficiently, note only one transmission frame is used.

Although Souissi and Tarsky teach full duplex TDD, it would have been obvious at the time of the invention that the system could have also been implemented in full duplex TDD/FDD. An

advantage of TDD/FDD over TDD is multiple users may simultaneously transmit on different frequency ranges without interference.

Regarding claims 2, 10, and 18, the data signals are not allocated to the first time slot. This limitation represents a design choice and is therefore not patentable.

Regarding claims 3, 11, and 19, although Souissi and Tarsky teach full duplex TDD, it would have been obvious at the time of the invention that the system could have also been implemented in full duplex FDD.

Regarding claims 4, 12, and 20, the transmission parameter comprises power (Laroia: BS sector responds to power control signals, a power control signal is transmitted to instruct the WT to increase, decrease transmission power, [0128]).

8. Claims 5, 13, and 21 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Souissi, Tarsky, and Laroia as applied to claim 1, 9, and 17 above, and further in view of Choi (US 2002/0168993).

The combination is silent on the control signal is based upon at least one factor from the group consisting of: path loss computed based upon the received power of the beacon signal; time of arrival of the beacon signal; and channel impulse response in response to the beacon signal.

Choi teaches the control signal / 'TPC' is computed based on path loss of the received signal (estimating path loss to determine TPC, [0008]).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by computing the TPC value based on path loss the received power of the beacon signal, as suggested by Choi. This modification would benefit the system by providing an optimal method for adjusting the transmission power.

9. Claims 7, 15, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Souissi, Tarsky, and Laroia as applied to claim 1, 9, and 17 above, and further in view of Toshimitsu (US 7,215,657).

The combination is silent on allocating a first time slot within a frame for the UE comprises allocating the first time slot within at least some successive frames to different UEs for

transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs.

Toshimitsu teaches allocating the identical time slot within at least some successive frames to different UEs/ 'radio terminals' for transmission (col. 2 lines 15-20).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by allocating a first time slot within a frame for the UE comprises allocating the first time slot within at least some successive frames to different UEs for transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs, as suggested by Toshimitsu. This modification would benefit the system by reducing mutual interference (Toshimitsu: col. 2 lines 15-20).

10. Claims 8, 16, and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Souissi, Tarsky, and

Laroia as applied to claim 1, 9, and 17 above, and further in view of Crocker (US 2004/0203419).

The combination is silent on determining to which UE the first time slot should be allocated based upon at least one factor from the group consisting of: expected volume of data transfer expected; required data transfer rate; frequency of short bursts of data transfer; total number of UEs connected to the network; time since last data transfer; and UE power saving requirements.

Crocker teaches determining to which UE / 'mobile station' a time slot should be assigned based upon the required data transfer rate (BTS will transmit "assignment" message indicating time slot, transmission rate, [0027]).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by determining to which UE the first time slot should be allocated based upon the required data transfer rate, as shown by Crocker. This modification would benefit the system by a ensuring sufficient resources are allocated to high datarate users.

Conclusion

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to RONALD ABELSON whose telephone number is (571)272-3165. The examiner can normally be reached on M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-2988. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Ronald Abelson
Primary Examiner
Art Unit 2419

***

/Ronald Abelson/

Primary Examiner, Art Unit 2419

Notice of References Cited	Application/Control No. 11/646,692	Applicant(s)/Patent Under Reexamination HOWARD, PAUL	
	Examiner RONALD ABELSON	Art Unit 2419	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2002/0075891 A1	06-2002	Souissi, Slim	370/442
*	B	US-6,061,784 A	05-2000	Tarsky et al.	712/225
*	C	US-2007/0173256 A1	07-2007	Laroia et al.	455/436
*	D	US-2002/0168993 A1	11-2002	Choi et al.	455/522
*	E	US-7,215,657 B2	05-2007	Toshimitsu et al.	370/337
*	F	US-2004/0203419 A1	10-2004	Crocker et al.	455/067.11
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	562492007400	2841

20872 7590 11/19/2009

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EXAMINER	
ABELSON, RONALD B	
ART UNIT	**PAPER NUMBER**
2476	
MAIL DATE	**DELIVERY MODE**
11/19/2009	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/646,692	HOWARD, PAUL	
	Examiner	Art Unit	
	RONALD ABELSON	2476	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *3* MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *18 August 2009 and 14 August 2009*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-24* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-24* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *12/27/06* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *14 August 2009*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

Claim Rejections - 35 USC § 112

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

2. Claims 6, 14, and 22 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The term 'first code of a code domain' is neither a term of art nor has the applicant defined the term.

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

4. Claims 1-5, 9-13, and 17-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Souissi (US 2002/0075891) in view of Tarsky (US 6,061,784) and Hakkinen (US 6,567,459).

Regarding claims 1, 9, and 17, Souissi teaches allocating, by a controller, a first time slot within a frame for a UE to transmit a beacon 'control' signal, wherein the control signal is separate from data signals within the frame (time slotted full duplex frame subdivided between a message section and signaling section, [0011]);

allocating, by the controller, timeslots for the base station to operate in a full duplex mode (time slotted full duplex frame subdivided between a message section and signaling section, [0011]).

Souissi is silent on allocating a second time slot within the frame for the base station to transmit a second control signal.

Tarsky, like Souissi teaches full duplex. In addition, Tarsky teaches a allocating a second time slot within the frame for the base station to transmit a second control signal in addition to the original control signal (fig. 5, see O.O.B Channels: RM to CEM and CEM to RM, full duplex, control information between CEMs and RMs).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of Souissi by having

separate slots within the frame for uplink and downlink control signals, as shown by Tarsky. This modification would benefit the system by allowing control information to be transmitted in a full duplex manner between the UEs and base station.

Although the combination teaches a first time slot for an uplink control signal and a second timeslot for a downlink control signal, the combination is silent on the UE transmitting in a first time slot a beacon signal/control signal containing control information including uplink physical channel information; and the controller transmitting in response to the beacon signal, the control signal for providing a basis upon which the UE adjusts a transmission parameter.

Hakkinen teaches the UE / 'mobile station' transmitting a control signal containing information including uplink physical channel information (MS measures received level and quality of downlink signal, on the basis of these measurement results, power control algorithm determines power level, which is sent to mobile station, col. 2 lines 12-22); and the controller transmitting in response to the beacon signal, the control signal for providing a basis upon which the UE adjusts a transmission parameter (sent to MS in a power adjustment command, col. 2 lines 12-22).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by the UE transmitting in a first time slot a beacon signal/control signal containing control information including uplink physical channel information; and the controller transmitting in response to the beacon signal, the control signal for providing a basis upon which the UE adjusts a transmission parameter, as suggested by Hakkinen. This modification would benefit the system by providing a proven, reliable method for power control.

Although Souissi and Tarsky teach full duplex TDD, it would have been obvious at the time of the invention that the system could have also been implemented in full duplex TDD/FDD. An advantage of TDD/FDD over TDD is multiple users may simultaneously transmit on different frequency ranges without interference.

Regarding claims 2, 10, and 18, data signals are not allocated to the first time slot (Souissi: time slotted full duplex frame subdivided between a message section and signaling section, [0011]).

Regarding claims 3, 11, and 19, although Souissi and Tarsky

teach full duplex TDD, it would have been obvious at the time of the invention that the system could have also been implemented in full duplex FDD.

Regarding claims 4, 12, and 20, the transmission parameter comprises power (Hakkinen: sent to MS in a power adjustment command, col. 2 lines 12-22).

Regarding claims 5, 13, and 21, the control signal is based upon at least one factor from the group consisting of: path loss computed based upon the received power of the beacon signal; time of arrival of the beacon signal; and channel impulse response in response to the beacon signal (Hakkinen: MS measures received level 'field strength', col. 2 lines 12-22). The Examiner corresponds the applicant's path loss to the received level of the reference given the path loss represents the transmitted signal strength minus the received signal strength.

5. Claims 7, 15, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Souissi, Tarsky, and Hakkinen as applied to claim 1, 9, and 17 above, and further in view of Toshimitsu (US 7,215,657).

The combination is silent on allocating a first time slot within a frame for the UE comprises allocating the first time slot within at least some successive frames to different UEs for transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs.

Toshimitsu teaches allocating the identical time slot within at least some successive frames to different UEs/ 'radio terminals' for transmission (col. 2 lines 15-20).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by allocating a first time slot within a frame for the UE comprises allocating the first time slot within at least some successive frames to different UEs for transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs, as suggested by Toshimitsu. This modification would benefit the system by reducing mutual interference (Toshimitsu: col. 2 lines 15-20).

6. Claims 8, 16, and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of Souissi, Tarsky, and Hakkinen as applied to claim 1, 9, and 17 above, and further in view of Crocker (US 2004/0203419).

The combination is silent on determining to which UE the first time slot should be allocated based upon at least one factor from the group consisting of: expected volume of data transfer expected; required data transfer rate; frequency of short bursts of data transfer; total number of UEs connected to the network; time since last data transfer; and UE power saving requirements.

Crocker teaches determining to which UE / 'mobile station' a time slot should be assigned based upon the required data transfer rate (BTS will transmit "assignment" message indicating time slot, transmission rate, [0027]).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by determining to which UE the first time slot should be allocated based upon the required data transfer rate, as shown by Crocker. This modification would benefit the system by a ensuring sufficient resources are allocated to high datarate users.

Response to Arguments

7. Applicant's arguments with respect to amended independent claims have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL.** See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event,

however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to RONALD ABELSON whose telephone number is (571)272-3165. The examiner can normally be reached on M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Ronald Abelson
Primary Examiner
Art Unit 2476

***

/Ronald Abelson/

Primary Examiner, Art Unit 2476

Notice of References Cited	Application/Control No. 11/646,692	Applicant(s)/Patent Under Reexamination HOWARD, PAUL	
	Examiner RONALD ABELSON	Art Unit 2476	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-6,567,459 B1	05-2003	Hakkinen et al.	375/132
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

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	P					
	Q					
	R					
	S					
	T					

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9010/96652 (06-0021-JV)	2841

22242 7590 05/28/2010

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SUITE 1600
CHICAGO, IL 60603-3406

EXAMINER	
ABELSON, RONALD B	
ART UNIT	**PAPER NUMBER**
2476	

MAIL DATE	DELIVERY MODE
05/28/2010	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/646,692	HOWARD, PAUL	
	Examiner	Art Unit	
	RONALD ABELSON	2476	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *3* MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *19 May 2010*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-24* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☐ Claim(s) _____ is/are rejected.

7)☒ Claim(s) *6,14 and 22* is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *12/27/06* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

2. Claims 1-4, 9-12, and 17-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lee (US 2002/0061005).

Regarding claims 1, 9, and 17, Lee teaches allocating, by a controller, a first time slot within a frame for a base station to transmit a beacon signal / midamble to the base station, wherein the beacon signal is separate from data signals in the frame, and includes downlink physical channel information (each of the sub-frames has uplink time slots and downlink time slots, data parts, and midamble between data parts, measuring power level depending on midamble signal, [0037]);

allocating, by the controller, a second time slot within the frame that is different to the first time slot for the UE to transmit a control signal in response to the beacon signal, the

control signal for providing a basis upon which the base station adjusts a transmission parameter (creating power control command to be transmitted to Node B over an uplink time slot, [0037]); and

allocating, by the controller, other timeslots for the base station to operate in full duplex frequency division duplex (FDD) mode (FDD, [0048]).

Although the reference teaches the power control in the opposite direction as the instant application, it would have been obvious for one of ordinary skill in the art at the time of the instant application to perform power control in the opposite direction. This modification would benefit the system by permitting the UE to adjust its power to optimally communicate with the base station.

Regarding claims 2, 10, and 18, data signals are not allocated to the first time slot (each of the sub-frames has uplink time slots and downlink time slots, data parts, and midamble between data parts, measuring power level depending on midamble signal, [0037]).

Regarding claims 3, 11, and 19, the first and second time slots operate in full duplex FDD mode (FDD, [0048]).

Regarding claims 4, 12, and 20, the transmission parameter comprises power (creating power control command to be transmitted to Node B over an uplink time slot, [0037]).

3. Claims 5, 13, and 21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lee as applied to claims 1, 9, and 17 above, and further in view of Choi (US 6,978,151).

Lee is silent on the control signal is based upon at least one factor from the group consisting of: path loss computed based upon the received power of the beacon signal; time of arrival of the beacon signal; and channel impulse response in response to the beacon signal.

Choi teaches the control signal is based upon path loss computed based upon the received power (col. 1 lines 54-58).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of Lee by setting the TPC

signal based upon path loss computed based upon the received power of the beacon signal, as suggested by Choi. This modification would benefit the system by providing a proven, reliable method for optimizing the power level of the UE.

4. Claims 7, 15, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over the Lee as applied to claim i, 9, and 17 above, and further in view of Toshimitsu (US 7,215,657).

Lee is silent on allocating a first time slot within a frame for the UE comprises allocating the first time slot within at least some successive frames to different UEs for transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs.

Toshimitsu teaches allocating the identical time slot within at least some successive frames to different UEs/ 'radio terminals' for transmission (col. 2 lines 15-20).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of the combination by allocating a first time slot within a frame for the UE comprises

allocating the first time slot within at least some successive frames to different UEs for transmission of respective different beacon signals, and allocating a second time slot within a frame for the base station comprises allocating the second time slot to the base station for transmission of different control signals within the at least some successive frames to the different UEs, as suggested by Toshimitsu. This modification would benefit the system by reducing mutual interference (Toshimitsu: col. 2 lines 15-20).

5. Claims 8, 16, and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lee as applied to claims 1, 9, and 17 above, and further in view of Crocker (US 2004/0203419).

Lee is silent on determining to which UE the first time slot should be allocated based upon at least one factor from the group consisting of: expected volume of data transfer expected; required data transfer rate; frequency of short bursts of data transfer; total number of UEs connected to the network; time since last data transfer; and UE power saving requirements.

Crocker teaches determining to which UE / 'mobile station' a time slot should be assigned based upon the required data

transfer rate (BTS will transmit "assignment" message indicating time slot, transmission rate, [0027]).

Therefore it would have been obvious to one of ordinary skill in the art, to modify the system of Lee by determining to which UE the first time slot should be allocated based upon the required data transfer rate, as shown by Crocker. This modification would benefit the system by a ensuring sufficient resources are allocated to high datarate users.

Allowable Subject Matter

6. Claims 6, 14, and 22 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Response to Arguments

7. Applicant's arguments with respect to the amended independent claims have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to RONALD ABELSON whose telephone number is (571)272-3165. The examiner can normally be reached on M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Ronald Abelson
Primary Examiner
Art Unit 2476

***

/Ronald Abelson/

Primary Examiner, Art Unit 2476

Notice of References Cited	Application/Control No. 11/646,692	Applicant(s)/Patent Under Reexamination HOWARD, PAUL	
	Examiner RONALD ABELSON	Art Unit 2476	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2002/0061005	05-2002	Lee et al.	370/342
*	B	US-6,978,151	12-2005	Choi et al.	455/522
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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NOTICE OF ALLOWANCE AND FEE(S) DUE

22242 7590 02/02/2011

FITCH EVEN TABIN & FLANNERY
120 SOUTH LASALLE STREET
SUITE 1600
CHICAGO, IL 60603-3406

EXAMINER	
ABELSON, RONALD B	
ART UNIT	PAPER NUMBER
2476	

DATE MAILED: 02/02/2011

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US (06-0021)	2841

TITLE OF INVENTION: FEEDBACK CONTROL IN AN FDD TDD-CDMA SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	05/02/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail **Mail Stop ISSUE FEE**
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
or Fax (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

22242 7590 02/02/2011

FITCH EVEN TABIN & FLANNERY
120 SOUTH LASALLE STREET
SUITE 1600
CHICAGO, IL 60603-3406

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US (06-0021)	2841

TITLE OF INVENTION: FEEDBACK CONTROL IN AN FDD TDD-CDMA SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	05/02/2011

EXAMINER	ART UNIT	CLASS-SUBCLASS
ABELSON, RONALD B	2476	370-376000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

❑ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

❑ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 _____

2 _____

3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ❑ Individual ❑ Corporation or other private group entity ❑ Government

4a. The following fee(s) are submitted:

❑ Issue Fee

❑ Publication Fee (No small entity discount permitted)

❑ Advance Order - # of Copies _____

4b. Payment of Fee(s): **(Please first reapply any previously paid issue fee shown above)**

❑ A check is enclosed.

❑ Payment by credit card. Form PTO-2038 is attached.

❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)

❑ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

❑ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US (06-0021)	2841

22242 7590 02/02/2011

FITCH EVEN TABIN & FLANNERY
120 SOUTH LASALLE STREET
SUITE 1600
CHICAGO, IL 60603-3406

EXAMINER	
ABELSON, RONALD B	
ART UNIT	PAPER NUMBER
2476	

DATE MAILED: 02/02/2011

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 256 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 256 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Notice of Allowability	Application No.	Applicant(s)	
	11/646,692	HOWARD, PAUL	
	Examiner	Art Unit	
	RONALD ABELSON	2476	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *11/29/10*.

2. ☒ The allowed claim(s) is/are *1-5,7-13,15-21,23, and 24; renumbered as 1-21*.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
   a) ☐ All b) ☐ Some* c) ☐ None of the:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
      3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
      1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
   (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
7. ☐ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

/Ronald Abelson/
Primary Examiner, Art Unit 2476

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NOTICE OF ALLOWANCE AND FEE(S) DUE

22242 7590 05/17/2011
FITCH EVEN TABIN & FLANNERY
120 SOUTH LASALLE STREET
SUITE 1600
CHICAGO, IL 60603-3406

EXAMINER
ABELSON, RONALD B

ART UNIT	PAPER NUMBER
2476	

DATE MAILED: 05/17/2011

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US	2841

TITLE OF INVENTION: FEEDBACK CONTROL IN AN FDD TDD-CDMA SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	08/17/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US	2841

TITLE OF INVENTION: FEEDBACK CONTROL IN AN FDD TDD-CDMA SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	08/17/2011

EXAMINER	ART UNIT	CLASS-SUBCLASS
ABELSON, RONALD B	2476	370-337000

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- ❑ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/646,692	12/27/2006	Paul Howard	9147-96652-US	2841

22242 7590 05/17/2011

FITCH EVEN TABIN & FLANNERY
120 SOUTH LASALLE STREET
SUITE 1600
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EXAMINER	
ABELSON, RONALD B	

ART UNIT	PAPER NUMBER
2476	

DATE MAILED: 05/17/2011

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)
(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 256 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 256 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

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Notice of Allowability	Application No.	Applicant(s)	
	11/646,692	HOWARD, PAUL	
	Examiner	Art Unit	
	RONALD ABELSON	2476	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *4/29/11*.

2. ☒ The allowed claim(s) is/are *1-5,7-13,15-21,23, and 24; renumbered as 1-21.* .

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
   a) ☐ All b) ☐ Some* c) ☐ None of the:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
      3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

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4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
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      1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
   (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 4/29/11
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
7. ☐ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

/Ronald Abelson/
Primary Examiner, Art Unit 2476

3GPP TS 25.331 V7.3.0 (2006-12)

Technical Specification

3rd Generation Partnership Project; Technical Specification Group Radio Access Network; Radio Resource Control (RRC); Protocol Specification (Release 7)



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Foreword

This Technical Specification has been produced by the 3rd Generation Partnership Project (3GPP).

The contents of the present document are subject to continuing work within the TSG and may change following formal TSG approval. Should the TSG modify the contents of the present document, it will be re-released by the TSG with an identifying change of release date and an increase in version number as follows:

Version x.y.z

where:

- x the first digit:
  - 1 presented to TSG for information;
  - 2 presented to TSG for approval;
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- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
- z the third digit is incremented when editorial only changes have been incorporated in the document.

1 Scope

The present document specifies the Radio Resource Control protocol for the UE-UTRAN radio interface.

The scope of the present document also includes:

- the information to be transported in a transparent container between source RNC and target RNC in connection with SRNC relocation;
- the information to be transported in a transparent container between a target RNC and another system.

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 TS 25.301: "Radio Interface Protocol Architecture".

[3] 3GPP TS 25.303: "Interlayer Procedures in Connected Mode".

[4] 3GPP TS 25.304: "UE Procedures in Idle Mode and Procedures for Cell Reselection in Connected Mode".

[5] 3GPP TS 24.008: "Mobile radio interface layer 3 specification; Core Network Protocols; Stage 3".

[6] 3GPP TS 25.103: "RF parameters in support of RRM".

[7] 3GPP TS 25.215: "Physical layer – Measurements (FDD)".

[8] 3GPP TS 25.225: "Physical layer – Measurements (TDD)".

[9] 3GPP TS 25.401: "UTRAN overall description".

[10] 3GPP TS 25.402: "Synchronization in UTRAN; Stage 2".

[11] 3GPP TS 23.003: "Numbering, addressing and identification".

[12] ICD-GPS-200: "Navstar GPS Space Segment/Navigation User Interface".

[13] RTCM-SC104: "RTCM Recommended Standards for Differential GNSS Service (v.2.2)".

[14] 3GPP TR 25.921: "Guidelines and principles for protocol description and error handling".

[15] 3GPP TS 25.321: "Medium Access Control (MAC) protocol specification".

[16] 3GPP TS 25.322: "Radio Link Control (RLC) protocol specification".

[17] 3GPP TS 24.007: "Mobile radio interface signalling layer 3; General aspects".

[18] 3GPP TS 25.305: "Stage 2 Functional Specification of UE Positioning in UTRAN".

[19] 3GPP TS 25.133: "Requirements for Support of Radio Resource Management (FDD)".

[20] 3GPP TS 25.123: "Requirements for Support of Radio Resource Management (TDD)".

[21] 3GPP TS 25.101: "UE Radio Transmission and Reception (FDD)".

[22] 3GPP TS 25.102: "UE Radio Transmission and Reception (TDD)".

[23] 3GPP TS 23.060: "General Packet Radio Service (GPRS); Service description; Stage 2".

[24] 3GPP TS 23.032: "Universal Geographical Area Description (GAD)".

[25] 3GPP TS 23.122: "Non-Access-Stratum functions related to Mobile Station (MS) in idle mode".

[26] 3GPP TS 25.211: "Physical channels and mapping of transport channels onto physical channels (FDD)".

[27] 3GPP TS 25.212: "Multiplexing and channel coding (FDD)".

[28] 3GPP TS 25.213: "Spreading and modulation (FDD)".

[29] 3GPP TS 25.214: "Physical layer procedures (FDD)".

[30] 3GPP TS 25.221: "Physical channels and mapping of transport channels onto physical channels (TDD)".

[31] 3GPP TS 25.222: "Multiplexing and channel coding (TDD)".

[32] 3GPP TS 25.223: "Spreading and modulation (TDD)".

[33] 3GPP TS 25.224: "Physical Layer Procedures (TDD)".

[34] 3GPP TS 25.302: "Services provided by the physical layer ".

[35] 3GPP TS 25.306 "UE Radio Access Capabilities".

[36] 3GPP TS 25.323: "Packet Data Convergence Protocol (PDCP) Specification".

[37] 3GPP TS 25.324: "Broadcast/Multicast Control BMC".

[38] 3GPP TR 25.922: "Radio resource management strategies".

[39] 3GPP TR 25.925: "Radio interface for broadcast/multicast services".

[40] 3GPP TS 33.102: "3G Security; Security Architecture".

[41] 3GPP TS 34.108: "Common Test Environments for User Equipment (UE) Conformance Testing".

[42] 3GPP TS 34.123-2: "User Equipment (UE) conformance specification; Part 2: Implementation Conformance Statement (ICS) proforma specification".

[43] 3GPP TS 44.018: "Mobile radio interface layer 3 specification; Radio Resource Control Protocol".

[44] 3GPP TS 44.060: "General Packet Radio Service (GPRS); Mobile Station (MS) - Base Station System (BSS) interface; Radio Link Control/Medium Access Control (RLC/MAC) protocol".

[45] 3GPP TS 45.005: "Radio transmission and reception".

[46] 3GPP TS 45.008: "Radio subsystem link control".

[47] ITU-T Recommendation X.680 (07/2002) "Information Technology - Abstract Syntax Notation One (ASN.1): Specification of basic notation".

[48] ITU-T Recommendation X.681 (07/2002) "Information Technology - Abstract Syntax Notation One (ASN.1): Information object specification".

[49] ITU-T Recommendation X.691 (07/2002) "Information technology - ASN.1 encoding rules: Specification of Packed Encoding Rules (PER)".

[50] 3GPP TS 31.102: "Characteristics of the USIM Application".

[51] 3GPP TS 25.308: "High Speed Downlink Packet Access (HSDPA): Overall Description; Stage 2".

[52] IANA ROHC profile identifier definition (http://www.iana.org/assignments/rohc-pro-ids).

[53] 3GPP TS 44.118: "Mobile radio interface layer 3 specification; Radio Resource Control Protocol, Iu Mode".

[54] 3GPP TS 23.246: "Multimedia Broadcast Multicast Service; Architecture and Functional Description".

[55] 3GPP TS 25.346: " Introduction of the Multimedia Broadcast Multicast Service (MBMS) in the Radio Access Network (Stage-2)".

[56] 3GPP TR 25.992: "Multimedia Broadcast Multicast Service (MBMS); UTRAN/GERAN Requirements".

[57] 3GPP TS 25.413: "UTRAN Iu Interface RANAP Signalling".

[58] 3GPP TS 25.309: "FDD Enhanced Uplink; Overall Description; Stage 2".

3 Definitions and abbreviations

3.1 Definitions

For the purposes of the present document, the terms and definitions given in [1] apply, together as:

Data Description Indicator (DDI): MAC-e header field used to identify the logical channel, MAC-d flow and the size of the MAC-d PDUs concatenated into a MAC-es PDU.

E-DCH active set (FDD only): The set of cells which carry the E-DCH for one UE. Only radio links for which an E-HICH configuration is stored are considered part of the E-DCH active set.

HARQ profile: One HARQ profile consists of a power offset attribute and maximum number of transmissions.

MBMS activated services: the MBMS multicast services the UE has joined as well as the broadcast services the UE is interested in.

MCCH acquisition: the procedure for acquiring all MCCH information relevant for the UE ie. includes reception of the RB information for the UE's MBMS activated services.

MBMS controlling cell: the cell from which the UE receives MCCH.

MBMS notification: a notification provided by UTRAN indicating a change in the provision of one or more MBMS services.

MBMS Selected Services: a subset of the MBMS activated services of the Broadcast type for which the UE applies RRC procedures to inform UTRAN that the service has been selected (by upper layers).

MBMS transmission: a possibly repeated session of an MBMS service. An MBMS transmission is uniquely identified by the combination of the MBMS service identity and the MBMS session identity.

Primary Absolute Grant (FDD only): Absolute Grant received with the primary E-RNTI.

Secondary Absolute Grant (FDD only): Absolute Grant received with the secondary E-RNTI.

Serving E-DCH cell: Cell from which the UE receives Absolute Grants from the Node-B scheduler. A UE has one Serving E-DCH cell.

Serving E-DCH RLS or Serving RLS (FDD only): Set of cells which contains at least the Serving E-DCH cell and from which the UE can receive and combine one Relative Grant. The UE has only one Serving E-DCH RLS.

Non-serving E-DCH RL or Non-serving RL (FDD only): Cell which belongs to the E-DCH active set but does not belong to the Serving E-DCH RLS and from which the UE can receive one Relative Grant. The UE can have zero, one or several Non-serving E-DCH RL(s).

3.2 Abbreviations

For the purposes of the present document, the following abbreviations apply:

ACK	Acknowledgement
AG	Absolute Grant
AICH	Acquisition Indicator CHannel
AM	Acknowledged Mode
AS	Access Stratum
ASC	Access Service Class
ASN.1	Abstract Syntax Notation.1
BCCH	Broadcast Control Channel
BCFE	Broadcast Control Functional Entity
BER	Bit Error Rate
BLER	BLock Error Rate
BSS	Base Station Sub-system
CCCH	Common Control Channel
CCPCH	Common Control Physical CHannel
CH	Conditional on history
CM	Connection Management
CN	Core Network
C-RNTI	Cell RNTI
CTCH	Common Traffic CHannel
CTFC	Calculated Transport Format Combination
CV	Conditional on value
DCA	Dynamic Channel Allocation
DCCH	Dedicated Control Channel
DCFE	Dedicated Control Functional Entity
DCH	Dedicated Channel
DC-SAP	Dedicated Control SAP
DDI	Data Description Indicator
DGPS	Differential Global Positioning System
DL	Downlink
DSCH	Downlink Shared Channel
DTCH	Dedicated Traffic Channel
DTM	Dual Transfer Mode
E-AGCH	E-DCH Absolute Grant Channel
E-DCH	Enhanced uplink DCH
E-DPCCH	E-DCH Dedicated Physical Control Channel (FDD Only)
E-DPDCH	E-DCH Dedicated Physical Data Channel (FDD Only)
E-HICH	E-DCH HARQ Acknowledgement Indicator Channel
E-PUCH	Enhanced Uplink Physical Channel (3.84/7.68 Mcps TDD only)
E-RGCH	E-DCH Relative Grant Channel (FDD only)
E-RNTI	E-DCH RNTI
E-RUCCH	E-DCH Random Access Uplink Control Channel (3.84/7.68 Mcps TDD only)
E-TFCI	E-DCH Transport Format Combination Indicator
E-UCCH	E-DCH Uplink Control Channel (3.84/7.68 Mcps TDD only)
FACH	Forward Access Channel
FDD	Frequency Division Duplex
F-DPCH	Fractional DPCH
GC-SAP	General Control SAP
GERAN	GSM/EDGE Radio Access Network
GRA	GERAN Registration Area
G-RNTI	GERAN Radio Network Temporary Identity
HARQ	Hybrid Automatic Repeat Request
HCS	Hierarchical Cell Structure
HFN	Hyper Frame Number

H-RNTI	HS-DSCH RNTI
HS-DSCH	High Speed Downlink Shared Channel
ID	Identifier
IDNNS	Intra Domain NAS Node Selector
IE	Information element
IETF	Internet Engineering Task Force
IMEI	International Mobile Equipment Identity
IMSI	International Mobile Subscriber Identity
IP	Internet Protocol
ISCP	Interference on Signal Code Power
L1	Layer 1
L2	Layer 2
L3	Layer 3
LAI	Location Area Identity
MAC	Media Access Control
MBMS	Multimedia Broadcast Multicast Service
MCC	Mobile Country Code
MCCH	MBMS point-to-multipoint Control Channel
MD	Mandatory default
MICH	MBMS notification Indicator Channel
MM	Mobility Management
MNC	Mobile Network Code
MP	Mandatory present
MTCH	MBMS point-to-multipoint Traffic Channel
MSCH	MBMS point-to-multipoint Scheduling Channel
NACC	Network Assisted Cell Change
NAS	Non Access Stratum
Nt-SAP	Notification SAP
NW	Network
OP	Optional
PCCH	Paging Control Channel
PCH	Paging Channel
PDCP	Packet Data Convergence Protocol
PDSCH	Physical Downlink Shared Channel
PDU	Protocol Data Unit
PLMN	Public Land Mobile Network
PNFE	Paging and Notification Control Functional Entity
PRACH	Physical Random Access CHannel
PSI	Packet System Information
p-t-m	Point-to-Multipoint
P-TMSI	Packet Temporary Mobile Subscriber Identity
p-t-p	Point-to-Point
PUSCH	Physical Uplink Shared Channel
QoS	Quality of Service
RAB	Radio access bearer
RACH	Random Access CHannel
RAI	Routing Area Identity
RAT	Radio Access Technology
RB	Radio Bearer
RFE	Routing Functional Entity
RG	Relative Grant
RL	Radio Link
RLC	Radio Link Control
RLS	Radio Link Set
RNC	Radio Network Controller
RNTI	Radio Network Temporary Identifier
RRC	Radio Resource Control
RSCP	Received Signal Code Power
RSN	Retransmission Sequence Number
RSSI	Received Signal Strength Indicator
SAP	Service Access Point
SCFE	Shared Control Function Entity

SCTD	Space Code Transmit Diversity
SCTO	Soft Combining Timing Offset (MBMS)
SF	Spreading Factor
SG	Serving grant
SHCCH	Shared Control Channel
SI	System Information
SIR	Signal to Interference Ratio
S-RNTI	SRNC - RNTI
TDD	Time Division Duplex
TF	Transport Format
TFCS	Transport Format Combination Set
TFS	Transport Format Set
TM	Transparent Mode
TME	Transfer Mode Entity
TMSI	Temporary Mobile Subscriber Identity
Tr	Transparent
TSN	Transmission Sequence Number
Tx	Transmission
UE	User Equipment
UL	Uplink
UM	Unacknowledged Mode
URA	UTRAN Registration Area
U-RNTI	UTRAN-RNTI
USCH	Uplink Shared Channel
UTRAN	Universal Terrestrial Radio Access Network

4 General

If not specified differently, descriptions are relevant for both FDD and TDD. Descriptions for TDD only are relevant for both 1.28 Mcps TDD and 3.84 Mcps TDD and 7.68 Mcps TDD if not specified differently.

4.1 Overview of the specification

This specification is organised as follows:

- subclause 4.2 contains the description of the model of the RRC protocol layer;
- clause 5 lists the RRC functions and the services provided to upper layers;
- clause 6 lists the services expected from the lower layers and specifies the radio bearers available for usage by the RRC messages;
- clause 7 specifies the UE states for the Access Stratum, and also specifies the processes running in the UE in the respective states;
- clause 8 specifies RRC procedures, including UE state transitions;
- clause 9 specifies the procedures for the handling of unknown, unforeseen, and erroneous protocol data by the receiving entity;
- clause 10 describes the message in a Tabular format; these messages descriptions are referenced in clause 8;
- clause 11 specifies the encoding of the messages of the RRC protocol. This is based on the Tabular description in clause 10.
- clause 12 specifies the transfer syntax for RRC PDUs derived from the encoding definition;
- clause 13 lists the protocol timers, counters, constants and variables to be used by the UE;
- clause 14 specifies some of the processes applicable in UTRA RRC connected mode e.g. measurement processes, and also the RRC information to be transferred between network nodes. Note that not all the processes

applicable in UTRA RRC connected mode are specified here i.e. some UTRA RRC connected mode processes are described in [4] e.g. cell re-selection;

- Annex A contains recommendations about the network parameters to be stored on the USIM;
- Annex B contains informative Stage 2 description of the RRC protocol states and state transitions.

The following figure summarises the mapping of UE states, including states in GSM, to the appropriate UTRA and GSM specifications that specify the UE behaviour.

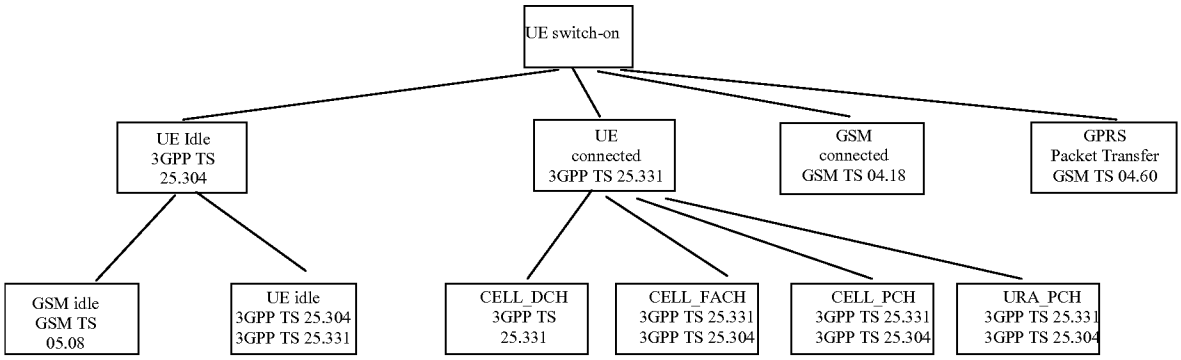


Figure 4.1-1: Mapping of UE state to 3GPP Specifications

4.2 RRC Layer Model

The functional entities of the RRC layer are described below:

- Routing of higher layer messages to different MM/CM entities (UE side) or different core network domains (UTRAN side) is handled by the Routing Function Entity (**RFE**).
- Broadcast functions are handled in the broadcast control function entity (**BCFE**). The BCFE is used to deliver the RRC services, which are required at the GC-SAP. The BCFE can use the lower layer services provided by the Tr-SAP and UM-SAP.
- Paging of UEs that do not have an RRC connection is controlled by the paging and notification control function entity (**PNFE**). The PNFE is used to deliver the RRC services that are required at the Nt-SAP. The PNFE can use the lower layer services provided by the Tr-SAP and UM-SAP.
- The Dedicated Control Function Entity (**DCFE**) handles all functions specific to one UE. The DCFE is used to deliver the RRC services that are required at the DC-SAP and can use lower layer services of UM/AM-SAP and Tr-SAP depending on the message to be sent and on the current UE service state.
- In TDD mode, the DCFE is assisted by the Shared Control Function Entity (SCFE) location in the C-RNC, which controls the allocation of the PDSCH and PUSCH using lower layers services of UM-SAP and Tr-SAP.
- The Transfer Mode Entity (TME) handles the mapping between the different entities inside the RRC layer and the SAPs provided by RLC.

NOTE 1: Logical information exchange is necessary also between the RRC sublayer functional entities. Most of that is implementation dependent and not necessary to present in detail in a specification.

Figure 4.2-1 shows the RRC model for the UE and Figure 4.2-2 and Figure 4.2-3 show the RRC model for the UTRAN.

NOTE 2: The figure shows only the types of SAPs that are used. Multiple instances of Tr-SAP, UM-SAP and AM-SAP are possible. Especially, different functional entities usually use different instances of SAP types.

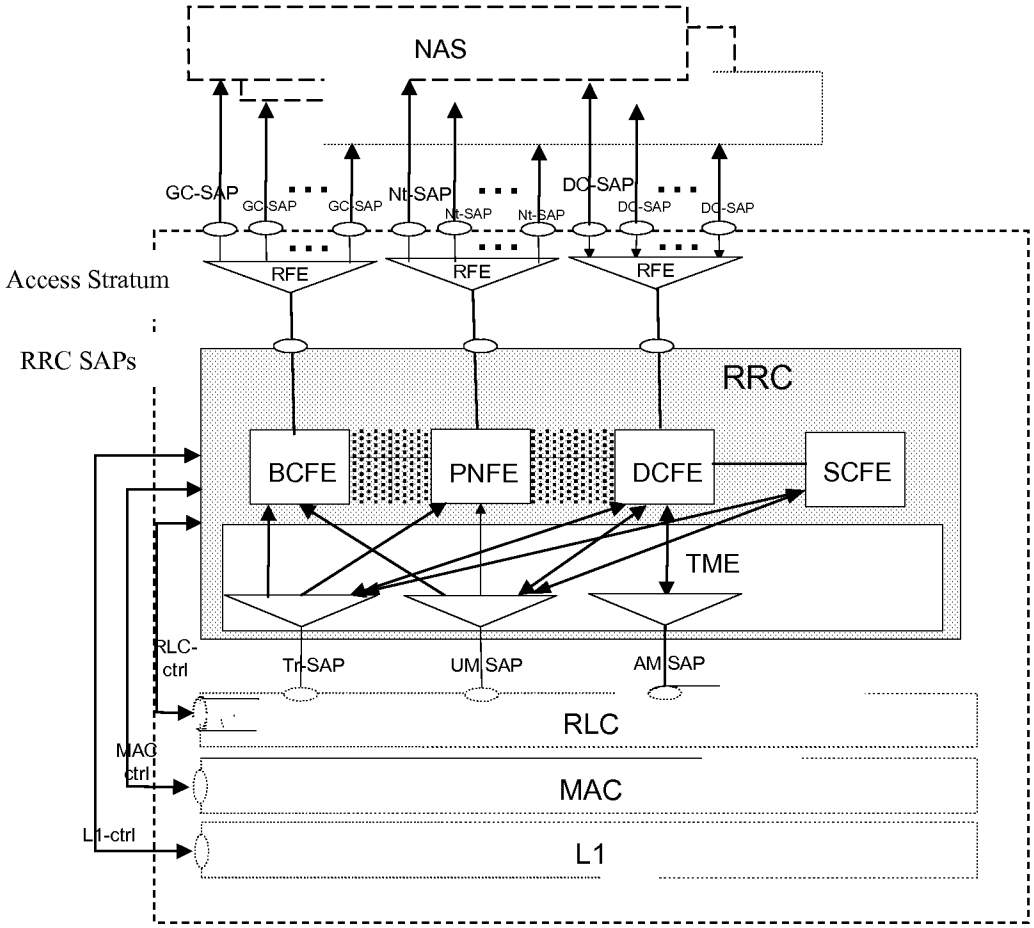


Figure 4.2-1: UE side model of RRC

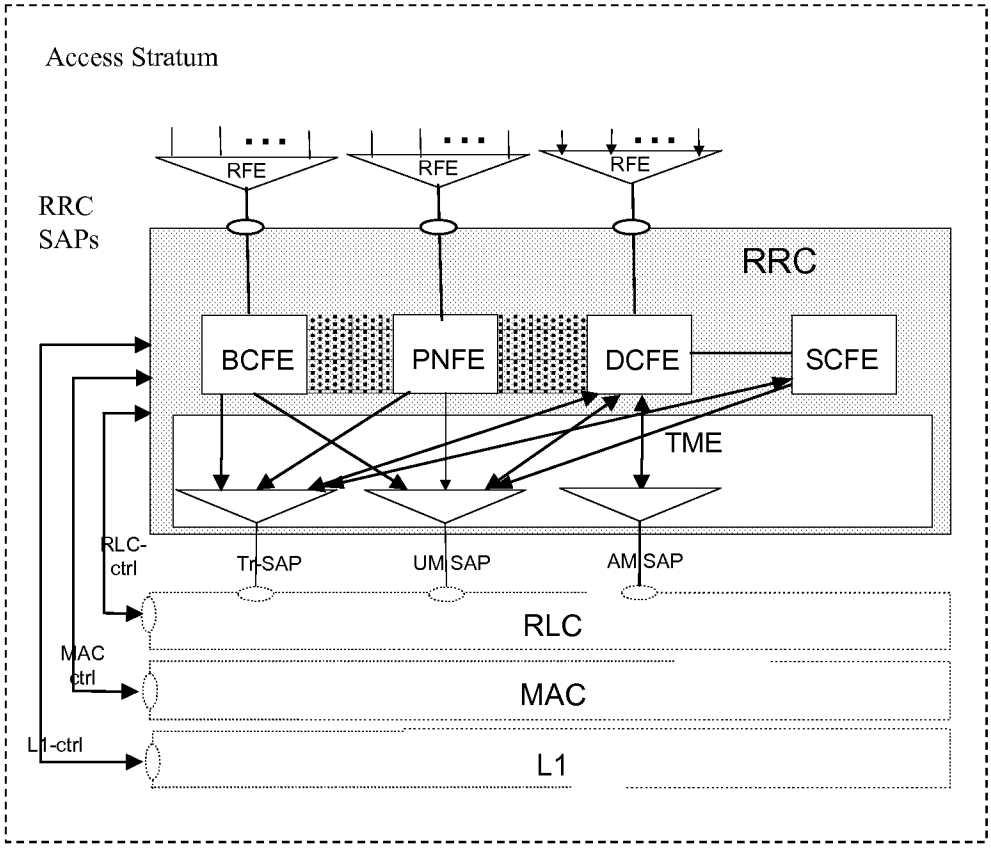


Figure 4.2-2: UTRAN side RRC model (DS-MAP system)

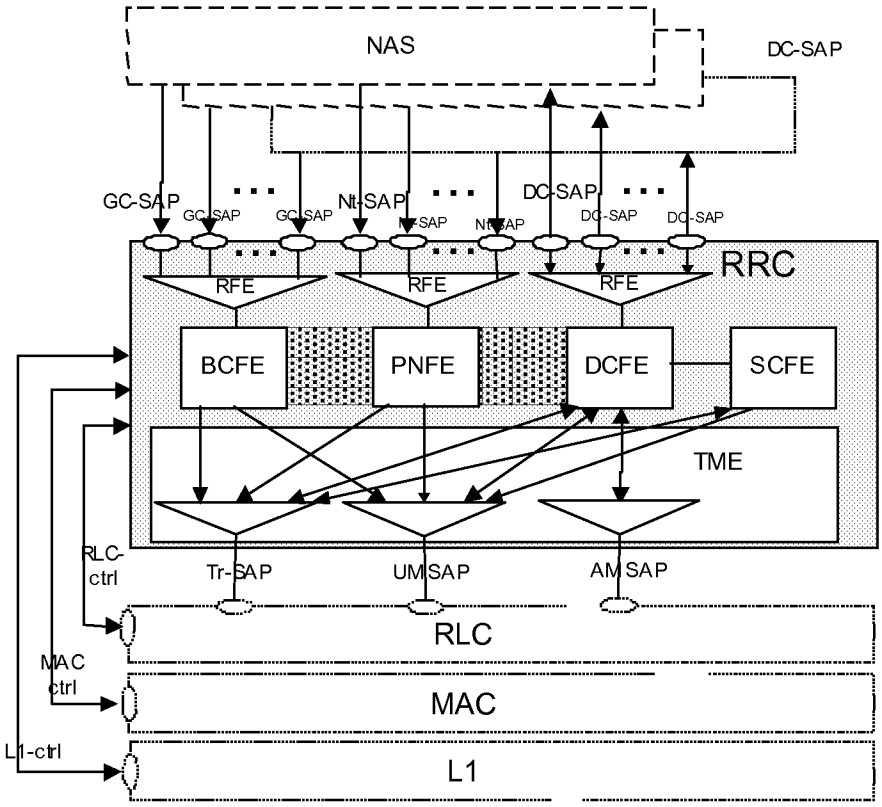


Figure 4.2-3: UTRAN side RRC model (DS-41 System)

4.3 Protocol specification principles

This protocol specification is based on the applicable general guidelines given in [14].

In this specification, a notation of variables is used. The variables are defined in subclause 13.4. Variables are typically used to represent a status or a result of an action, such as reception of an information element in a message, which is used to specify a behaviour somewhere else in the specification, such as when setting the value of an information element in a transmitted message. The variables only serve the purpose of specifying the protocol, and do not therefore impose any particular implementation.

When specifying the UE behaviour at reception of messages, the behaviour that is tied to reception or non-reception of individual information elements, and in some cases combinations of information elements, is specified in one location (subclause 8.6).

5 RRC Functions and Services provided to upper layers

5.1 RRC Functions

The RRC performs the functions listed below. A more detailed description of these functions is provided in [2]:

- Broadcast of information related to the non-access stratum (Core Network);
- Broadcast of information related to the access stratum;
- Establishment, maintenance and release of an RRC connection between the UE and UTRAN;
- Establishment, reconfiguration and release p-t-p of Radio Bearers;
- Establishment, reconfiguration and release of p-t-m Radio Bearers;
- Assignment, reconfiguration and release of radio resources for the RRC connection;
- RRC connection mobility functions;
- Control of requested QoS;
- UE measurement reporting and control of the reporting;
- Outer loop power control;
- Control of ciphering;
- Slow DCA (TDD mode);
- Paging;
- Initial cell selection and cell re-selection;
- Arbitration of radio resources on uplink DCH;
- RRC message integrity protection;
- Timing advance (TDD mode);
- CBS control;
- MBMS control.

5.2 RRC Services provided to upper layers

The RRC offers the following services to upper layers, a description and primitives of these services are provided in [2] and [17].

- General Control;
- Notification;
- Dedicated control.

The RRC layer provides the UE-UTRAN portion of signalling connections to the upper layers to support the exchange of upper layer's information flow. The signalling connection is used between the user equipment and the core network to transfer upper layer information. For each core network domain, at most one signalling connection may exist at the same time. The RRC layer maps the signalling connections for one UE on a single RRC connection. For the upper layer data transfer on signalling connections, the RRC layer supports the discrimination between two different classes, named "High priority" (corresponding to "SAPI 0" for a GSM-MAP based core network) and "Low priority" (corresponding to "SAPI 3" for a GSM-MAP based core network).

5.3 Primitives between RRC and upper layers

The primitives between RRC and the upper layers are described in [17].

6 Services expected from lower layers

6.1 Services expected from Layer 2

The services provided by layer 2 are described in [2], [15] and [16].

6.2 Services expected from Layer 1

The services provided by layer 1 are described in [2].

6.3 Signalling Radio Bearers

The Radio Bearers (RB) available for transmission of RRC messages are defined as "signalling radio bearers" and are specified in the following. The UE and UTRAN shall select the signalling radio bearers for RRC messages using RLC-TM, RLC-UM or RLC-AM on the DCCH and CCCH, according to the following:

- Signalling radio bearer RB0 shall be used for all messages sent on the CCCH (UL: RLC-TM, DL: RLC-UM).
- Signalling radio bearer RB1 shall be used for all messages sent on the DCCH, when using RLC unacknowledged mode (RLC-UM).
- Signalling radio bearer RB2 shall be used for all messages sent on the DCCH, when using RLC acknowledged mode (RLC-AM), except for the RRC messages carrying higher layer (NAS) signalling.
- Signalling radio bearer RB3 and optionally Signalling radio bearer RB4 shall be used for the RRC messages carrying higher layer (NAS) signalling and sent on the DCCH in RLC acknowledged mode (RLC-AM), as specified in subclauses 8.1.8., 8.1.9 and 8.1.10.
- Additionally, RBs whose identities shall be set between 5 and 32 may be used as signalling radio bearer for the RRC messages on the DCCH sent in RLC transparent mode (RLC-TM).
- RRC messages on the SHCCH are mapped either on RACH or on the USCH in the uplink using TM and either on FACH or on the DSCH using RLC-UM. These messages are only specified for TDD mode.

- RRC messages on the MCCH are mapped on FACH using RLC-UM. The transport channel configuration for MCCH is indicated on BCCH. For this signalling radio bearer no identity is applied.
- RRC messages on the MSCH are mapped on FACH using RLC-UM. The transport channel configuration for MSCH is indicated on MCCH. For this signalling radio bearer no identity is applied.

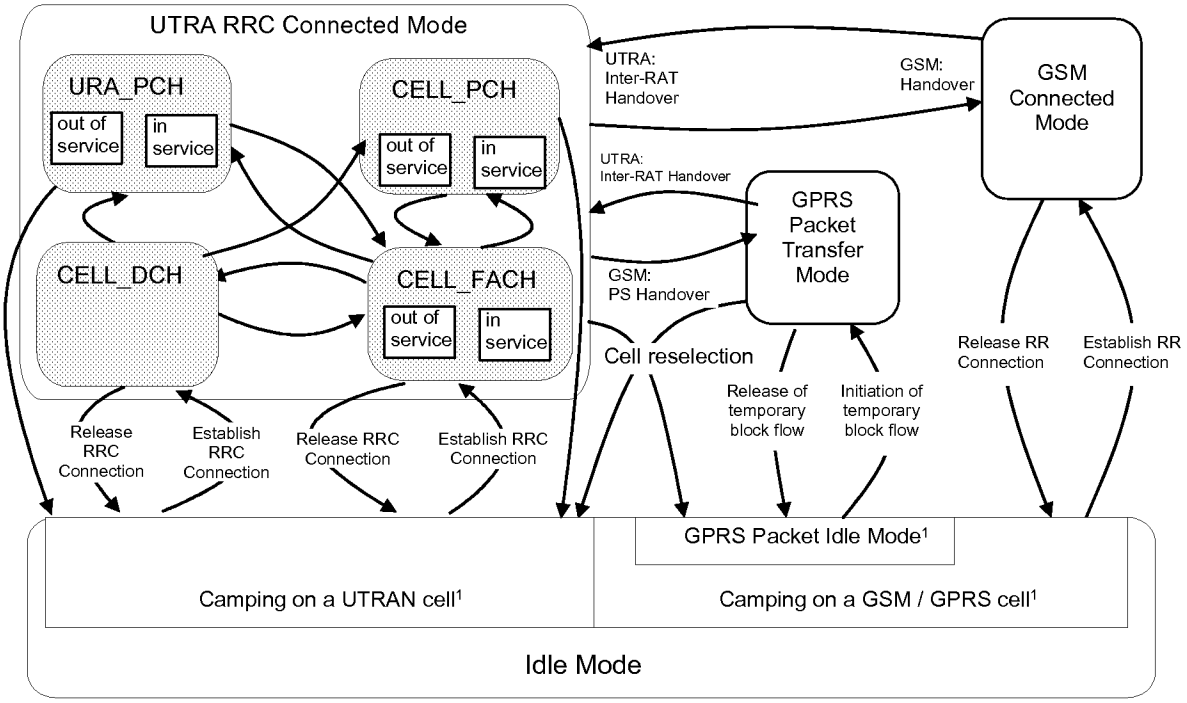
The Radio Bearer configuration for signalling radio bearer RB0, SHCCH, BCCH on FACH, PCCH on PCH and BCCH mapped to BCH are specified in subclauses 13.6, 13.6a, 13.6b and 13.6c.

Ciphering is never applied to signalling radio bearer RB0 or signalling radio bearers using RLC TM.

7 Protocol states

7.1 Overview of RRC States and State Transitions including GSM

Figure 7.1-1 shows the RRC states in UTRA RRC Connected Mode, including transitions between UTRA RRC connected mode and GSM connected mode for CS domain services, and between UTRA RRC connected mode and GSM/GPRS packet modes for PS domain services. It also shows the transitions between Idle Mode and UTRA RRC Connected Mode and furthermore the transitions within UTRA RRC connected mode.



NOTE: 1: The indicated division within Idle Mode is only included for clarification and shall not be interpreted as states.

Figure 7.1-1: RRC States and State Transitions including GSM

The RRC connection is defined as a point-to-point bi-directional connection between RRC peer entities in the UE and the UTRAN characterised by the allocation of a U-RNTI. A UE has either zero or one RRC connection.

If NAS informs AS about a new selected PLMN, registered PLMN or equivalent PLMN list while being in connected mode, the UE shall perform the actions according to subclause 8.5.24.

NOTE: The state transitions are specified in clause 8.

7.2 Processes in UE modes/states

NOTE: This subclause specifies what processes shall be active in the UE in the different RRC modes/states. The related procedures and the conditions on which they are triggered are specified either in clause 8 or elsewhere in the relevant process definition.

7.2.1 UE Idle mode

UE processes that are active in UE Idle mode are specified in [4].

The UE shall perform a periodic search for higher priority PLMNs as specified in [25].

7.2.2 UTRA RRC Connected mode

In this specification unless otherwise mentioned "connected mode" shall refer to "UTRA RRC connected mode".

7.2.2.1 URA_PCH or CELL_PCH state

In the URA_PCH or CELL_PCH state the UE shall perform the following actions:

NOTE: Neither DCCH nor DTCH are available in these states.

1> if the UE is "in service area":

2> maintain up-to-date system information as broadcast by the serving cell as specified in the subclause 8.1.1;

2> perform cell reselection process as specified in [4];

2> perform a periodic search for higher priority PLMNs as specified in [25];

NOTE: If the DRX cycle length is 80ms, then a search for higher priority PLMNs may not identify all the available PLMNs due to the paging occasion on the current serving cell coinciding with the MIB of the cell of interest.

2> monitor the paging occasions and PICH monitoring occasions determined according to subclauses 8.6.3.1a and 8.6.3.2 and receive paging information on the PCH mapped on the S-CCPCH selected by the UE according to the procedure in subclause 8.5.19;

2> act on RRC messages received on PCCH and BCCH;

2> perform measurements process according to measurement control information as specified in subclause 8.4 and in subclause 14.4;

2> maintain up-to-date BMC data if it supports Cell Broadcast Service (CBS) as specified in [37];

2> act on RRC messages received on MCCH if it supports MBMS and has activated an MBMS service as specified in subclause 8.7;

2> run timer T305 for periodical URA update if the UE is in URA_PCH or for periodical cell update if the UE is in CELL_PCH.

1> if the UE is "out of service area":

2> perform cell selection process as specified in [4];

2> run timer T316;

2> run timer T305 or T307;

2> if the cell selection process fails to find a suitable cell after a complete scan of all RATs and all frequency bands supported by the UE, the UE shall after a minimum of TimerOutOfService time (default value 30 s) of being "out of service area":

3> indicate all available PLMNs to NAS to enable the selection of a new PLMN;

3> if an acceptable cell is found then the UE shall camp on that cell to obtain limited service as defined in [4] and, perform actions according to subclause 8.5.24;

3> else if no acceptable cell is found, the UE shall continue looking for an acceptable cell as defined in [4].

7.2.2.2 CELL_FACH state

In the CELL_FACH state the UE shall perform the following actions:

NOTE: DCCH and, if configured, DTCH are available in this state.

1> if the UE is "in service area":

2> maintain up-to-date system information as broadcast by the serving cell as specified in subclause 8.1.1;

2> perform cell reselection process as specified in [4];

2> perform measurements process according to measurement control information as specified in subclause 8.4 and in subclause 14.4;

2> run timer T305 (periodical cell update);

2> select and configure the RB multiplexing options applicable for the transport channels to be used in this RRC state;

2> listen to all FACH transport channels mapped on the S-CCPCH selected by the UE according to the procedure in subclause 8.5.19;

2> act on RRC messages received on BCCH, CCCH and DCCH;

2> act on RRC messages received on MCCH if it supports MBMS and has activated an MBMS service as specified in subclause 8.7;

2> act on RRC messages received on, if available, SHCCH (TDD only).

1> if the UE is "out of service area":

2> perform cell selection process as specified in [4];

2> run timers T305 (periodical cell update), and T317 (cell update when re-entering "in service") or T307 (transition to Idle mode), if started;

2> run timers T314 and/or T315, if started;

2> if the cell selection process fails to find a suitable cell after a complete scan of all RATs and all frequency bands supported by the UE, the UE shall after a minimum of TimerOutOfService time (default value 30 seconds) of being "out of service area":

3> indicate all available PLMNs to NAS to enable the selection of a new PLMN;

3> if an acceptable cell is found then the UE shall camp on that cell to obtain limited service as defined in [4] and perform actions according to subclause 8.5.24;

3> else if no acceptable cell is found, the UE shall continue looking for an acceptable cell as defined in [4].

7.2.2.3 CELL_DCH state

In the CELL_DCH state the UE shall perform the following actions:

NOTE: DCCH and, if configured, DTCH are available in this state.

1> read the system information as specified in subclause 8.1.1 (for UEs in TDD mode);

1> perform measurements process according to measurement control information as specified in subclause 8.4 and in clause 14;

1> select and configure the RB multiplexing options applicable for the transport channels to be used in this RRC state;

1> act on RRC messages received on DCCH;

1> act on RRC messages received on BCCH (applicable only to UEs with certain capabilities and in FDD mode);

1> act on RRC messages received on MCCH if it supports MBMS and has activated an MBMS service as specified in subclause 8.7 (applicable only to UEs supporting MBMS with certain capabilities);

1> act on RRC messages received on BCCH (TDD only) and, if available, SHCCH (TDD only).

NOTE: If any of the above procedures results in different HS-DSCH and E-DCH serving cells, the UE behaviour is unspecified.

8 RRC procedures

The UE shall be able to process several simultaneous RRC procedures. After the reception of a message which invoked a procedure, the UE shall be prepared to receive and act on another message which may invoke a second procedure. Whether this second invocation of a procedure (transaction) is accepted or rejected by the UE is specified in the subclauses of this clause, and in particular in subclause 8.6.3.11 (RRC transaction identifier).

On receiving a message the UE shall:

1> check that the message is addressed to the UE (e.g. by checking the IE "Initial UE identity" or the IE "U-RNTI" for messages on CCCH);

1> discard the messages addressed to other UEs.

and then the UE shall:

1> apply integrity check as appropriate;

1> proceed with error handling as specified in clause 9;

1> act upon the IE "RRC transaction identifier";

1> continue with the procedure as specified in the relevant subclause.

NOTE: Due to an error in the Release '99 ASN.1, a Release '99 UE is unable to determine which UE is addressed by a downlink CCCH message corresponding to a protocol version later than Release '99. As a result, the Release '99 UE will not be able to return a protocol error according to subclause 9.3a. Therefore, the UTRAN should only send a Release '99 message version towards UEs that have indicated conformance to Release '99 in the IE "Access stratum release indicator".

The RRC entity in the UE shall consider PDUs to have been transmitted when they are submitted to the lower layers. If the RRC entity in the UE submits a message for transmission using AM RLC, it shall consider the message successfully transmitted when UTRAN reception of all relevant PDUs is acknowledged by RLC. In the UE, timers are started when the PDUs are sent on the radio interface in the case of the transmission using the CCCH.

8.1 RRC Connection Management Procedures

8.1.1 Broadcast of system information

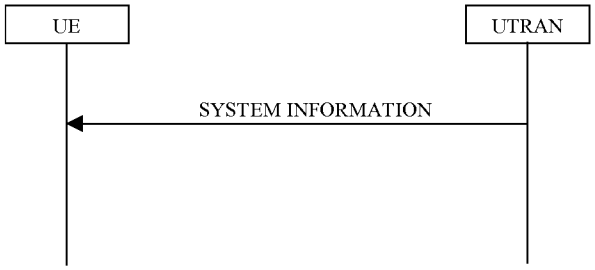


Figure 8.1.1-1: Broadcast of system information

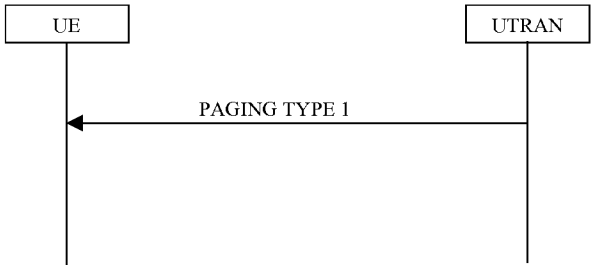


Figure 8.1.1-2: Notification of system information modification for UEs in idle mode, CELL_PCH state and URA_PCH state



Figure 8.1.1-3: Notification of system information modification for UEs in CELL_FACH and CELL_DCH(TDD only) state

8.1.1.1 General

The purpose of this procedure is to broadcast system information from the UTRAN to UEs in a cell.

8.1.1.1.1 System information structure

The system information elements are broadcast in *system information blocks*. A system information block groups together system information elements of the same nature. Different system information blocks may have different characteristics, e.g. regarding their repetition rate and the requirements on UEs to re-read the system information blocks.

The system information is organised as a tree. A *master information block* gives references and scheduling information to a number of system information blocks in a cell. The system information blocks contain the actual system information. The master information block may optionally also contain reference and scheduling information to one or two *scheduling blocks*, which give references and scheduling information for additional system information blocks. Scheduling information for a system information block may only be included in either the master information block or one of the scheduling blocks.

For all system information blocks except System Information Block types 15.2, 15.3 and 16, the content is the same in each occurrence for system information blocks using value tag. System Information Block types 15.2, 15.3 and 16 may occur more than once with different content. In this case scheduling information is provided for each such occurrence of the system information block. System information blocks that do not use value tag may have different content for each occurrence.

8.1.1.1.2 System information blocks

Table 8.1.1 specifies all system information blocks and their characteristics.

The *area scope column* in table 8.1.1 specifies the area where a system information block's value tag is valid. If the area scope is *cell*, the UE shall consider the system information block to be valid only in the cell in which it was read. If system information blocks have been previously stored for this cell, the UE shall check whether the value tag for the system information block in the entered cell is different compared to the stored value tag. If the area scope is *PLMN* or *Equivalent PLMN*, the UE shall check the value tag for the system information block when a new cell is selected. If the value tag for the system information block in the new cell is different compared to the value tag for the system information block stored in the UE, the UE shall re-read the system information block. If the area scope is *PLMN*, the UE shall consider the system information block to be valid only within the PLMN in which it was read. If the area scope is *Equivalent PLMN*, the UE shall consider the system information block to be valid within the PLMN in which it was received and all PLMNs which are indicated by higher layers to be equivalent.

For System information block types 15.2, 15.3 and 16, which may have multiple occurrences, each occurrence has its own independent value tag. The UE- shall re-read a particular occurrence if the value tag of this occurrence has changed compared to that stored in the UE.

The *UE mode/state column when block is valid* in Table 8.1.1 specifies in which UE mode or UE state the IEs in a system information block shall be regarded as valid by the UE. In other words, the indicated system information block becomes invalid upon change to a mode/state that is not included in this column. System Information Block Type 16 remains also valid upon transition to or from GSM/GPRS. In some cases, the states are inserted in brackets to indicate that the validity is dependent on the broadcast of the associated System Information Blocks by the network as explained in the relevant procedure subclause.

The *UE mode/state column when block is read* in Table 8.1.1 specifies in which UE mode or UE state the IEs in a system information block may be read by the UE. The UE shall have the necessary information prior to execution of any procedure requiring information to be obtained from the appropriate system information block. The requirements on the UE in terms of when to read the system information may therefore be derived from the procedure specifications that specify which IEs are required in the different UE modes/states in conjunction with the different performance requirements that are specified.

The UE shall:

1> if System Information Block type 11 is referenced in the master information block or in the scheduling blocks:

2> if System Information Block type 12 is not referenced in the master information block or in the scheduling blocks , or broadcast of System Information Block type 12 is not indicated in System Information Block type 11:

3> have read and acted upon System Information Block type 11 and System Information Block type 11bis, if scheduled on BCH, in a cell when the UE transmits an RRC message on RACH.

2> else:

3> have read and acted upon System Information Block type 11 and System Information Block type 11bis, if scheduled on BCH, in a cell before the UE transmits the RRC CONNECTION REQUEST message.

3> have read and acted upon both System Information Block type 11 and System Information Block type 11bis, if scheduled on BCH, and System Information Block type 12 in a cell when:

4> the UE transmits an RRC message on RACH in RRC connected mode; or

4> the UE receives a message commanding to enter Cell_DCH state.

NOTE 1: There are a number of system information blocks that include the same IEs while the UE mode/state in which the information is valid differs. This approach is intended to allows the use of different IE values in different UE mode/states.

NOTE 2: System Information Block Type 16 is also obtained by a UE while in GSM/GPRS. The details of this are not within the scope of this specification.

The *Scheduling information* column in table 8.1.1 specifies the position and repetition period for the System Information Block.

The *modification of system information* column in table 8.1.1 specifies the update mechanisms applicable for a certain system information block. For system information blocks with a value tag, the UE shall update the information according to subclause 8.1.1.7.1 or 8.1.1.7.2. For system information blocks with an expiration timer, the UE shall, when the timer expires, perform an update of the information according to subclause 8.1.1.7.4.

Table 8.1.1: Specification of system information block characteristics

System information block	Area scope	UE mode/state when block is valid	UE mode/state when block is read	Scheduling information	Modification of system information	Additional comment
Master information block	Cell	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	SIB_POS = 0 SIB_REP = 8 (FDD) SIB_REP = 8, 16, 32 (TDD) SIB_OFF=2	Value tag	
Scheduling block 1	Cell	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Specified by the IE "Scheduling information" in MIB	Value tag	
Scheduling block 2	Cell	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Specified by the IE "Scheduling information" in MIB	Value tag	
System information block type 1	PLMN	Idle mode CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Idle, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 2	Cell	URA_PCH	URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 3	Cell	Idle mode, (CELL_FACH, CELL_PCH, URA_PCH)	Idle mode, (CELL_FACH, CELL_PCH, URA_PCH)	Specified by the IE "Scheduling information"	Value tag	
System information block type 4	Cell	CELL_FACH, CELL_PCH, URA_PCH	CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	If System information block type 4 is not broadcast in a cell, the connected mode UE shall apply information in System information block type 3 in connected mode.
System information block type 5 and 5bis	Cell	Idle mode, (CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only))	Idle mode, (CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only))	Specified by the IE "Scheduling information"	Value tag	System information block type 5bis is sent instead of system information block type 5 in cells that use Band IV or Band IX or Band X.

System information block	Area scope	UE mode/state when block is valid	UE mode/state when block is read	Scheduling information	Modification of system information	Additional comment
System information block type 6	Cell	CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Specified by the IE "Scheduling information"	Value tag	If system information block type 6 is not broadcast in a cell, the connected mode UE shall read System information block type 5 or System information block type 5bis. If some of the optional IEs are not included in System information block type 6, the UE shall read the corresponding IEs in System information block type 5 or System information block type 5bis. In TDD mode system information block 6 shall only be read in CELL_DCH if required for open loop power control as specified in subclause 8.5.7 and/or if shared transport channels are assigned to the UE. If in these cases system information block type 6 is not broadcast the UE shall read system information block type 5.
System information block type 7	Cell	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH (TDD only)	Specified by the IE "Scheduling information"	Expiration timer = MAX(32 , SIB_REP * ExpirationTimeFactor)	In TDD mode system information block type 7 shall only be read in CELL_DCH if shared transport channels are assigned to the UE.
System information block type 11	Cell	Idle mode (CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH)	Idle mode (CELL_FACH, CELL_PCH, URA_PCH)	Specified by the IE "Scheduling information"	Value tag	
System information block type 11bis	Cell	Idle mode (CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH)	Idle mode (CELL_FACH, CELL_PCH, URA_PCH)	Specified by the IE "Scheduling information"	Value tag	

System information block	Area scope	UE mode/state when block is valid	UE mode/state when block is read	Scheduling information	Modification of system information	Additional comment
System information block type 12	Cell	CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Idle mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	If system information block type 12 is not broadcast in a cell, the connected mode UE shall read System information block type 11. If some of the optional IEs are not included in System information block type 12, the UE shall read the corresponding IEs in System information block type 11.
System information block type 13	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 13.1	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 13.2	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 13.3	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 13.4	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 14	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Specified by the IE "Scheduling information"	Expiration timer = MAX(32 , SIB_REP * ExpirationTimeFactor)	This system information block is used in 3.84 Mcps TDD and 7.68 Mcps TDD mode only. System information block type 14 shall only be read in CELL_DCH if required for open loop power control as specified in subclause 8.5.7.
System information block type 15	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 15.1	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 15.2	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	For this system information block there may be multiple occurrences
System information block type 15.3	PLMN	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	For this system information block there may be multiple occurrences

System information block	Area scope	UE mode/state when block is valid	UE mode/state when block is read	Scheduling information	Modification of system information	Additional comment
System information block type 15.4	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 15.5	Cell	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	
System information block type 16	Equivalent PLMN	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Idle Mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	For this system information block there may be multiple occurrences. This system information block is also valid while in GSM/GPRS.
System information block type 17	Cell	CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Specified by the IE "Scheduling information"	Expiration timer = SIB_REP	This system information block is used in TDD mode only. System information block type 17 shall only be read if shared transport channels are assigned to the UE.
System Information Block type 18	Cell	Idle mode, CELL_FACH, CELL_PCH, URA_PCH, CELL_DCH	Idle mode, CELL_FACH, CELL_PCH, URA_PCH	Specified by the IE "Scheduling information"	Value tag	

8.1.1.1.3 Segmentation and concatenation of system information blocks

A generic SYSTEM INFORMATION message is used to convey the system information blocks on the BCCH. A given BCCH may be mapped onto either a BCH or a FACH transport channel according to subclause 8.1.1.1.2. The size of the SYSTEM INFORMATION message shall fit the size of a BCH or a FACH transport block.

The RRC layer in UTRAN performs segmentation and concatenation of encoded system information blocks. If the encoded system information block is larger than the size of a SYSTEM INFORMATION message, it will be segmented and transmitted in several messages. If the encoded system information block is smaller than a SYSTEM INFORMATION message, UTRAN may concatenate several system information blocks, or the first segment or the last segment into the same message as specified in the remainder of this clause.

Four different segment types are defined:

- First segment;
- Subsequent segment;
- Last segment;
- Complete.

Each of the types - *First*, *Subsequent* and *Last segment* - is used to transfer segments of a master information block, scheduling block or a system information block. The segment type, *Complete,* is used to transfer a complete master information block, complete scheduling block or a complete system information block.

Each segment consists of a header and a data field. The data field carries the encoded system information elements. The header contains the following parameters:

- The number of segments in the system information block (SEG_COUNT). This parameter is only included in the header if the segment type is "First segment".
- SIB type. The SIB type uniquely identifies the master information block, scheduling block or a system information block.
- Segment index. This parameter is only included in the header if the segment type is "Subsequent segment" or "Last segment".

UTRAN may combine one or several segments of variable length in the same SYSTEM INFORMATION message. The following combinations are allowed:

1. No segment;
2. First segment;
3. Subsequent segment;
4. Last segment;
5. Last segment + First segment;
6. Last segment + one or several Complete;
7. Last segment + one or several Complete + First segment;
8. One or several Complete;
9. One or several Complete + First segment;
10. One Complete of size 215 to 226;
11. Last segment of size 215 to 222.

The "No segment" combination is used when there is no master information block, scheduling block or system information block scheduled for a specific BCH transport block.

UEs are not required to support the reception of multiple occurrences of the same system information block type within one SYSTEM INFORMATION message.

NOTE: Since the SIB type is the same for each occurrence of the system information block, the UE does not know the order in which the occurrences, scheduled for this SYSTEM INFORMATION message, appear. Therefore, the UE is unable to determine which scheduling information, e.g., value tag relates to which occurrence of the system information block.

8.1.1.1.4 Re-assembly of segments

The RRC layer in the UE shall perform re-assembly of segments. All segments belonging to the same master information block, scheduling block or system information block shall be assembled in ascending order with respect to the segment index. When all segments of the master information block, scheduling block or a system information block have been received, the UE shall perform decoding of the complete master information block, scheduling block or system information block. For System Information Block types 15.2, 15.3 and 16, which may have multiple occurrences, each occurrence shall be re-assembled independently.

The UE shall discard system information blocks of which segments were missing, of which segments were received out of sequence and/or for which duplicate segments were received. The only valid sequence is an ascending one with the sequence starting with the First Segment of the associated System Information Block.

If the UE receives a Subsequent segment or Last segment where the index in IE "Segment index" is equal to or larger than the number of segments stated in IE "SEG_COUNT" in the scheduling information for that scheduling block or system information block:

1> the UE may:

2> read all the segments to create a system information block as defined by the scheduling information read by the UE;

2> store the content of the system information block with a value tag set to the value NULL; and

2> consider the content of the scheduling block or system information block as valid:

3> until it receives the same type of scheduling block or system information block in a position according to its scheduling information; or

3> at most for 6 hours after reception.

1> and the UE shall:

2> re-read scheduling information for that scheduling block or system information block.

If the UE receives a Subsequent segment or Last segment where the index in IE "Segment index" is equal to or larger than the number of segments stated in IE "SEG_COUNT" in the First segment, the UE shall

1> discard all segments for that master information block, scheduling block or system information block; and

1> re-read the scheduling information for that system information block;

1> then re-read all segments for that system information block.

8.1.1.1.5 Scheduling of system information

Scheduling of system information blocks is performed by the RRC layer in UTRAN. If segmentation is used, it should be possible to schedule each segment separately.

To allow the mixing of system information blocks with short repetition period and system information blocks with segmentation over many frames, UTRAN may multiplex segments from different system information blocks. Multiplexing and de-multiplexing is performed by the RRC layer.

The scheduling of each system information block broadcast on a BCH transport channel is defined by the following parameters:

- the number of segments (SEG_COUNT);
- the repetition period (SIB_REP). The same value applies to all segments;
- the position (phase) of the first segment within one cycle of the Cell System Frame Number (SIB_POS(0)). Since system information blocks are repeated with period SIB_REP, the value of SIB_POS(i), i = 0, 1, 2, … SEG_COUNT-1 must be less than SIB_REP for all segments;
- the offset of the subsequent segments in ascending index order (SIB_OFF(i), i = 1, 2, … SEG_COUNT-1) The position of the subsequent segments is calculated using the following: SIB_POS(i) = SIB_POS(i-1) + SIB_OFF(i).

The scheduling is based on the Cell System Frame Number (SFN). The SFN of a frame at which a particular segment, *i*, with i = 0, 1, 2, … SEG_COUNT-1 of a system information block occurs, fulfils the following relation:

$$SFN \bmod SIB\_REP = SIB\_POS(i)$$

In FDD and TDD the scheduling of the master information block is fixed as defined in table 8.1.1. For TDD, UTRAN may apply one of the values allowed for the master information block's repetition period. The value that UTRAN is using in TDD is not signalled; UEs have to determine it by trial and error.

8.1.1.2 Initiation

The system information is continuously broadcast on a regular basis in accordance with the scheduling defined for each system information block.

8.1.1.3 Reception of SYSTEM INFORMATION messages by the UE

The UE shall read SYSTEM INFORMATION messages broadcast on a BCH transport channel in idle mode and in the connected mode in states CELL_FACH, CELL_PCH, URA_PCH and CELL_DCH (TDD only). In addition, UEs in FDD mode which support simultaneous reception of one SCCPCH and one DPCH shall read system information on a FACH transport channel when in CELL_DCH state.

In idle mode and connected mode different combinations of system information blocks are valid. The UE shall acquire the system information blocks that are needed according to table 8.1.1.

The UE may store system information blocks with *cell*, *PLMN* or *Equivalent PLMN* area scope (including their value tag if applicable) for different cells and different PLMNs, to be used if the UE returns to these cells.

The UE shall consider all stored system information blocks as invalid after it has been switched off. Some information obtained from system information may be stored by the UE or in the USIM for use in a stored information cell selection.

When selecting a new cell the UE shall consider all current system information blocks with area scope cell to be invalid. If the UE has stored valid system information blocks for the newly selected cell, the UE may set those as current system information blocks.

After selecting a new cell and this cell broadcasts an IE "PLMN Identity" in the MIB which is different from the IE "PLMN Identity" broadcast in the MIB in the previously selected cell, the UE shall consider all current system information blocks with area scope *PLMN* to be invalid. If the UE has previously stored valid system information blocks for the selected cell of the new PLMN, the UE may set those as current system information blocks.

When NAS informs AS about a new selected PLMN, the UE shall consider all stored system information blocks with area scope *Equivalent PLMN* to be invalid.

8.1.1.4 Void

8.1.1.5 Actions upon reception of the Master Information Block and Scheduling Block(s)

When selecting a new cell, the UE shall read the master information block. The UE may use the pre-defined scheduling information to locate the master information block in the cell.

Upon reception of the master information block, the UE shall:

1> if the IE "Multiple PLMN List" is not present in the Master Information Block:

2> consider the IE "PLMN identity" in the Master Information Block as the PLMN identity of the cell.

1> else:

2> consider the PLMN identities in the IE "Multiple PLMN List" as the PLMN identities of the cell;

2> when reading the "Multiple PLMN List", read all the PLMN identities in the list as follows:

3> if the IE "MIB PLMN Identity" is set to TRUE:

4> read the "PLMN identity" IE in the MIB and consider it as a part of the "Multiple PLMN List".

3> if the IE "MIB PLMN Identity" is set to FALSE:

4> not consider the "PLMN identity" IE in the MIB as a part of the "Multiple PLMN List";

4> not consider the IE "PLMN identity" in the MIB as a PLMN identity of the cell;

4> not forward the PLMN in the IE "PLMN identity" of the MIB to upper layers.

3> if the MCC is not present when reading a IE "PLMN identity with Optional MCC" in the IE "Multiple PLMN List":

4> set the MCC of this PLMN identity equal to the MCC of the closest preceding "PLMN identity with Optional MCC" in the "Multiple PLMN List" that includes an MCC;

4> or, if no such "PLMN identity with Optional MCC" exists, the UE shall set the MCC of this PLMN identity to the MCC of the "PLMN identity" IE in the Master Information Block irrespective of the value of the IE "MIB PLMN Identity".

1> if the UE is operating in "ANSI-41 mode" and the IE "PLMN Type" has the value "ANSI-41" or "GSM-MAP and ANSI-41":

2> store the ANSI-41 Information elements contained in the master information block and perform initial process for ANSI-41.

1> compare the value tag in the master information block with the value tag stored for this cell and this PLMN in the variable VALUE_TAG;

1> if the value tags differ, or if no IEs for the master information block are stored:

2> store the value tag into the variable VALUE_TAG for the master information block;

2> read and store scheduling information included in the master information block.

1> if the value tags are the same the UE may use stored system information blocks and scheduling blocks using value tag that were stored for this cell and this PLMN as valid system information.

For all system information blocks or scheduling blocks that are supported by the UE referenced in the master information block or the scheduling blocks, the UE shall perform the following actions:

1> for all system information blocks with area scope "PLMN" or "Equivalent PLMN" that use value tags:

2> compare the value tag read in scheduling information for that system information block with the value stored within the variable VALUE_TAG for that system information block;

2> if the value tags differ, or if no IEs for the corresponding system information block are stored:

3> store the value tag read in scheduling information for that system information block into the variable VALUE_TAG;

3> read and store the IEs of that system information block.

2> if the value tags are the same the UE may use stored system information blocks using value tag that were stored in this PLMN as valid system information.

1> for all system information blocks or scheduling blocks with area scope cell that use value tags:

2> compare the value tag read in scheduling information for that system information block or scheduling block with the value stored within the variable VALUE_TAG for that system information block or scheduling block;

2> if the value tags differ, or if no IEs for the corresponding system information block or scheduling block are stored:

3> store the value tag read in scheduling information for that system information block or scheduling block into the variable VALUE_TAG;

3> read and store the IEs of that system information block or scheduling block.

2> if the value tags are the same the UE may use stored system information blocks using value tags that were stored for this cell and this PLMN as valid system information.

1> for system information blocks which may have multiple occurrences:

2> compare the value tag and the configuration or multiple occurrence identity for the occurrence of the system information blocks read in scheduling information with the value tag and configuration or multiple occurrence identity stored within the variable VALUE_TAG:

3> if the value tags differ, or if no IEs from the occurrence with that configuration or multiple occurrence identity of the system information block are stored:

4> store the value tag read in scheduling information for that system information block and the occurrence with that configuration or multiple occurrence identity into the variable VALUE_TAG;

4> read and store the IEs of that system information block.

3> if the value tags and the configuration or multiple occurrence identity are identical to those stored, the UE may use stored occurrences of system information blocks that were stored for this cell and this PLMN as valid system information.

For system information blocks, not supported by the UE, but referenced either in the master information block or in the scheduling blocks, the UE may:

1> skip reading this system information block;

1> skip monitoring changes to this system information block.

If the UE:

1> receives a scheduling block at a position different from its position according to the scheduling information for the scheduling block; or

1> receives a scheduling block for which scheduling information has not been received:

the UE may:

1> store the content of the scheduling block with a value tag set to the value NULL; and

1> consider the content of the scheduling block as valid until it receives the same type of scheduling block in a position according to its scheduling information or at most for 6 hours after reception.

If the UE does not find a scheduling block in a position where it should be according to its scheduling information, but a transport block with correct CRC was found at that position, the UE shall:

1> read the scheduling information for this scheduling block.

If the UE does not find the master information block in a position fulfilling:

$$SFN \bmod 32 = 0$$

but a transport block with correct CRC was found at that position), the UE shall:

1> consider the master information block as not found; and

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

NOTE: This permits a different repetition for the MIB in later versions for FDD. In TDD it allows for a variable SIB_REP in this and future releases.

If system information block type 1 is not scheduled on BCH, and system information block type 13 is not scheduled on BCH, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If the UE only supports GSM-MAP but finds a cell that broadcasts System Information Block type 13 but not System Information Block type 1, the UE shall:

1> consider the cell barred.

If:

- system information block type 1 is not scheduled on BCH; and
- the UE is operating in "GSM-MAP mode"; and
- the IE "PLMN type" in the Master Information Block has the value "GSM-MAP" or "GSM-MAP and ANSI-41":

the UE shall:

1> indicate to upper layers that no CN system information is available.

If in idle mode and System Information Block type 3 is not scheduled on BCH, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If in connected mode and System Information Block type 3 is not scheduled on BCH, and System Information Block type 4 is not scheduled on BCH, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If in idle mode and neither System Information Block type 5 nor type 5bis is scheduled on BCH, or System Information Block type 5 or type 5bis is scheduled but IE "AICH info" (FDD) or IE "PICH info" is not present, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If in connected mode and neither System Information Block type 5 nor type 5bis is scheduled on BCH, and System Information Block type 6 is not scheduled on BCH, or any of System Information Block type 5, type 5bis or type 6 is scheduled but IE "AICH info" (FDD) or IE "PICH info" is not present, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If System Information Block type 7 is not scheduled on BCH, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

In 3.84 Mcps TDD and 7.68 Mcps TDD, if System Information Block type 14 is not scheduled on BCH, the UE shall:

1> consider the cell to be barred according to [4]; and

1> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

If System Information Block type 5 and System Information Block type 5bis are both scheduled on BCH:

1> the UE behaviour is unspecified.

8.1.1.6 Actions upon reception of system information blocks

The UE may use the scheduling information included within the master information block and the scheduling blocks to locate each system information block to be acquired.

The UE should only expect one occurrence of the scheduling information for a system information block in the master information block and any of the scheduling blocks except for System Information Block type 16, System Information Block type 15.2 and System Information Block type 15.3, which may have multiple occurrences. However, to enable future introduction of new system information blocks, the UE shall also be able to receive system information blocks other than the ones indicated within the scheduling information. The UE may ignore contents of such system information block.

If the UE:

1> receives a system information block in a position according to the scheduling information for the system information block; and

1> this system information block uses a value tag; or

1> this system information block uses a value tag and configuration or multiple occurrence identity:

the UE shall:

1> store the content of the system information block together with the value of its value tag or the values of configuration and multiple occurrence identity and the associated value tag in the scheduling information for the system information block; and

1> consider the content of the system information block valid until, if used, the value tag in the scheduling information for the system information block is changed or at most for 6 hours after reception.

If the UE:

1> receives a system information block in a position according to the scheduling information for the system information block; and

1> this system information block does not use a value tag according to the system information block type:

the UE shall:

1> store the content of the system information block; and

1> start an expiration timer using a value as defined in Table 8.1.1 for that system information block type; and

1> consider the content of the system information block valid until, the expiration timer expires.

If the UE:

1> receives a system information block at a position different from its position according to the scheduling information for the system information block; or

1> receives a system information block for which scheduling information has not been received; and

1> this system information block uses a value tag:

the UE may:

1> store the content of the system information block with a value tag set to the value NULL; and

1> consider the content of the system information block as valid until it receives the same type of system information block in a position according to its scheduling information or at most for 6 hours after reception.

If the UE:

1> receives a system information block with multiple occurrences at a position different from its position according to the scheduling information for the system information block; or

1> receives a system information block with multiple occurrences for which scheduling information has not been received; and

1> this system information block uses a value tag and configuration or multiple occurrence identity:

the UE shall:

1> ignore this information.

If the UE does not find a system information block in a position where it should be according to its scheduling information, but a transport block with correct CRC was found at that position, the UE shall read the scheduling information for this system information block.

The UE shall act upon all received information elements as specified in subclause 8.6 unless specified otherwise in the following subclauses.

8.1.1.6.1 System Information Block type 1

The UE should store all relevant IEs included in this system information block if the UE is operating in "GSM-MAP mode" and the IE "PLMN type" in the Master Information Block has the value "GSM-MAP" or "GSM-MAP and ANSI-41". The UE shall also:

1> check that the cell, according to information included in IE "CN common GSM-MAP NAS system information", is suitable [4];

1> if in connected mode:

2> not forward the content of the IE "CN common GSM-MAP NAS system information" to upper layers.

1> if in idle mode:

2> forward the content of the IE "CN common GSM-MAP NAS system information" to upper layers.

1> for the IE "CN domain system information list":

2> for each IE "CN domain system information" that is present:

3> check that the cell, according to information included in IE "CN domain specific NAS system information", is suitable [4];

3> if in connected mode:

4> not forward the content of the IE "CN domain specific NAS system information" to upper layers.

3> if in idle mode:

4> forward the content of the IE "CN domain specific NAS system information" and the IE "CN domain identity" to upper layers;

4> use the IE "CN domain specific DRX cycle length coefficient" to calculate frame number for the Paging Occasions as specified in [4];

4> store the value of the IE "CN domain specific DRX cycle length coefficient" for use in connected mode.

2> if an IE "CN domain system information" is not present for a particular CN domain:

3> if in idle mode:

4> indicate to upper layers that no CN system information is available for that CN domain.

1> if the UE has not yet entered UTRA RRC connected mode:

2> store the values of the IE "UE Timers and constants in connected mode" in the variable TIMERS_AND_CONSTANTS.

1> use the values stored in the variable TIMERS_AND_CONSTANTS for the relevant timers and constants.

8.1.1.6.2 System Information Block type 2

If in connected mode the UE should store all relevant IEs included in this system information block. The UE shall:

1> if in state URA_PCH, start to perform URA updates using the information in the IE "URA identity".

If in idle mode, the UE shall not use the values of the IEs in this system information block.

8.1.1.6.3 System Information Block type 3

The UE should store all relevant IEs included in this system information block. The UE shall:

1> if in connected mode, and System Information Block 4 is indicated as used in the cell:

2> read and act on information sent in that block.

With respect to Domain Specific Access Control, the UE shall:

1> if the IE "Multiple PLMN List" is not included in the Master Information Block:

2> apply the domain specific access restrictions as indicated by the IE "Domain Specific Access Restriction Parameters For PLMN Of MIB".

1> else:

2> if the PLMN specified by the IE "PLMN Identity" of the Master Information Block is chosen by the UE:

3> apply the domain specific access restrictions as indicated by the IE "Domain Specific Access Restriction Parameters For PLMN Of MIB".

2> else, if N-th (N=1..5) PLMN in the IE "Multiple PLMNs" contained in the IE "Multiple PLMN List" is chosen by the UE:

3> if the IE "Domain Specific Access Restriction List" of the IE "Domain Specific Access Restriction For Shared Network" is indicated:

4> if the IE "Domain Specific Access Restriction Parameters For OperatorN" is indicated:

5> apply the domain specific access restrictions as indicated by the IE "Domain Specific Access Restriction Parameters For OperatorN".

3> else, if the IE "Domain Specific Access Restriction Parameters For All" of the IE "Domain Specific Access Restriction For Shared Network" is indicated:

4> apply the domain specific access restrictions as indicated by the IE "Domain Specific Access Restriction Parameters For All".

The UE shall apply the following handling with respect to any Access Class Barring information:

1> if in idle mode and any Access Class Barring information is indicated:

2> if no Domain Specific Access Restriction Parameters are included in System Information Block Type 3, the UE shall:

3> act on the IE "Access Class Barred list" when initiating RRC Connection establishment as specified in [4].

2> if the Domain Specific Access Restriction Parameters to be applied are included in System Information Block Type 3 the UE shall:

3> act on the IE "Domain Specific Access Class Barred List" if indicated in the IE "CS Domain Specific Access Restriction" when initiating RRC Connection establishment to send an INITIAL DIRECT TRANSFER message to the CS domain, as specified in [4];

3> act on the IE "Domain Specific Access Class Barred List" if indicated in the IE "PS Domain Specific Access Restriction" when initiating RRC Connection establishment to send an INITIAL DIRECT TRANSFER message to the PS domain, as specified in [4];

3> upon transition to UTRA RRC connected, the UE shall:

4> store that Domain Specific Access Restriction Parameters to the variable "DSAC_PARAM" and maintain the variable until it is cleared, the PLMN chosen by the UE is changed or the RRC connection is released;

4> act on the stored IE "Domain Specific Access Class Barred List" if indicated in the IE "CS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the CS domain, as specified in [4];

4> act on the stored IE "Domain Specific Access Class Barred List" if indicated in the IE "PS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the PS domain, as specified in [4];

1> if in connected mode:

2> if no Access Class Barring information is indicated:

3> if the variable "DSAC_PARAM" is set, the UE shall

4> clear the variable "DSAC_PARAM";

4> act as if no Access Class is barred.

2> else if the Domain Specific Access Restriction Parameters to be applied is not included in System Information Block Type 3:

3> if the variable "DSAC_PARAM" is set, the UE shall:

4> clear the variable "DSAC_PARAM";

4> act as if no Access Class is barred.

2> else if the Domain Specific Access Restriction Parameters to be applied are included in the System Information Block Type 3:

3> if the variable "DSAC_PARAM is not set, the UE shall:

4> store that Domain Specific Access Restriction Parameters to the variable "DSAC_PARAM" and maintain the variable until it is cleared, the PLMN chosen by the UE is changed or the RRC connection is released;

4> act on the stored IE "Domain Specific Access Class Barred List" if indicated in the IE "CS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the CS, as specified in [4];

4> act on the stored IE "Domain Specific Access Class Barred List" if indicated in the IE "PS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the PS domain, as specified in [4].

3> else (the access class barring information is stored) UE shall:

4> update the variable "DSAC_PARAM" with that Domain Specific Access Restriction Parameters;

4> act on the updated IE "Domain Specific Access Class Barred List" if indicated in the IE "CS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the CS domain, as specified in [4];

4> act on the updated IE "Domain Specific Access Class Barred List" if indicated in the IE "PS Domain Specific Access Restriction" when initiating an INITIAL DIRECT TRANSFER message to the PS domain, as specified in [4].

8.1.1.6.4 System Information Block type 4

If in connected mode, the UE should store all relevant IEs included in this system information block. The UE shall:

1> if in connected mode:

2> read and act on information sent in this block;

2> read the System Information Block Type 3 for any Access Class Barring information and act on that information as described in subclause 8.1.1.6.3.

If in idle mode, the UE shall not use the values of the IEs included in this system information block.

8.1.1.6.5 System Information Block type 5 and 5bis

The UE should store all relevant IEs included in this system information block. The UE shall:

1> if the IE "Frequency band indicator" is included and if the frequency band indicated in the IE is not part of the frequency bands supported in the UE radio access capability; or

1> if the IE "Frequency band indicator 2" is included and if the frequency band indicated in the IE is not part of the frequency bands supported in the UE radio access capability; or

1> if the IE "Frequency band indicator" is included and set to "extension indicator", and the UE does not support any of the frequency bands that can be indicated by the IE "Frequency band indicator 2" (i.e., Band VIII or beyond); or

1> if the IE "Frequency band indicator" is not included in System Information Block type 5, the DL frequency is in between 2110MHz-2170MHz, and Band I is not part of the frequency bands supported by the UE in the UE radio access capability, or

1> if the IE "Frequency band indicator" is not included in System Information Block type 5, the DL frequency is in between 1805MHz-1880MHz, and Band III is not part of the frequency bands supported by the UE in the UE radio access capability:

2> consider the cell to be barred according to [4]; and

2> consider the barred cell as using the value "not allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

1> if the cell belongs to any frequency band equal to Band IV or greater and neither the IE "Frequency band indicator" nor the IE "Frequency band indicator 2" are included in System Information Block type 5 or in System Information Block type 5bis:

2> the UE behaviour is not specified.

1> if in connected mode, and System Information Block type 6 is indicated as used in the cell:

2> read and act on information sent in System Information Block type 6.

1> replace the TFS of the RACH with the one stored in the UE if any;

1> let the physical channel(s) of type PRACH given by the IE(s) "PRACH info" be the default in uplink for the PRACH if UE is in CELL_FACH state;

1> start to receive the physical channel of type AICH using the parameters given by the IE "AICH info" (FDD only) when given allocated PRACH is used;

1> if the IE "Additional Dynamic Transport Format Information for CCCH" is included for the selected PRACH:

2> use this transport format for transmission of the CCCH.

1> else:

2> use the first instance of the list of transport formats as in the IE "RACH TFS" for the used RACH received in the IE "PRACH system information list" when using the CCCH.

1> replace the TFS of the FACH/PCH with the one stored in the UE if any;

1> select a Secondary CCPCH as specified in [4] and in subclause 8.5.19, and start to receive the physical channel of type PICH associated with the PCH carried by the selected Secondary CCPCH using the parameters given by the IE "PICH info" if UE is in Idle mode or in CELL_PCH or URA_PCH state;

1> start to monitor its paging occasions on the selected PICH if UE is in Idle mode or in CELL_PCH or URA_PCH state;

1> start to receive the selected physical channel of type Secondary CCPCH using the parameters given by the IE(s) "Secondary CCPCH info" if UE is in CELL_FACH state;

1> in 3.84 Mcps TDD and 7.68 Mcps TDD:

2> use the IE "TDD open loop power control" as defined in subclause 8.5.7 when allocated PRACH is used.

1> in TDD:

2> if the IE "PDSCH system information" and/or the IE "PUSCH system information" is included:

3> store each of the configurations given there with the associated identity given in the IE "PDSCH Identity" and/or "PUSCH Identity" respectively. For every configuration, for which the IE "SFN Time info" is included, the information shall be stored for the duration given there.

If a UE is a 12 kbps class UE according to [35] and the UE has a lower capability than required to support all transport channel configurations mapped on a specific Secondary CCPCH, the UE shall at a certain time instant still be able to decode those transport channels mapped on this Secondary CCPCH that do match the capability supported by the UE. The UE shall use the TFCI bits for that Secondary CCPCH, to distinguish a transport channel configuration that is supported by the UE from a transport channel configuration that is not supported by the UE.

In particular if the UE is a 12 kbps class UE according to [35] and it does not support the processing requirement at a given point in time for a Secondary CCPCH, it shall still be able to decode the same Secondary CCPCH when the processing requirement is consistent with the UE capability. Or if the UE does not support the number of TFs or the coding of a certain transport channel on a Secondary CCPCH, it shall still be able to decode other transport channels mapped on the same Secondary CCPCH that is consistent with what is supported by the UE.

The UE shall:

1> if the IE "Secondary CCPCH system information MBMS" is included:

2> apply the Secondary CCPCH and FACH indicated by the IE "FACH carrying MCCH" for receiving MCCH.

1> otherwise, if the IE "Secondary CCPCH system information" includes the IE "MCCH configuration information":

2> apply the Secondary CCPCH and FACH indicated by the IE “MCCH configuration information” for receiving MCCH.

8.1.1.6.6 System Information Block type 6

If in connected mode, the UE should store all relevant IEs included in this system information block. The UE shall:

1> if the IE "Frequency band indicator" is included:

2> if the frequency band indicated in the IE is not part of the frequency bands supported in the UE radio access capability; or

2> if the IE "Frequency band indicator 2" is included and if the frequency band indicated in the IE is not part of the frequency bands supported in the UE radio access capability; or

2> if the IE "Frequency band indicator" is included and set to "extension indicator", and the UE does not support any of the frequency bands that can be indicated by the IE "Frequency band indicator 2" (i.e., Band VIII or beyond):

3> consider the cell to be barred according to [4]; and

3> consider the barred cell as using the value "not allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

1> replace the TFS of the RACH with the one stored in the UE if any;

1> let the physical channel(s) of type PRACH given by the IE(s) "PRACH info" be the default in uplink if UE is in CELL_FACH state. If the IE "PRACH info" is not included, the UE shall read the corresponding IE(s) in System Information Block type 5 or System Information Block type 5bis and use that information to configure the PRACH;

1> start to receive the physical channel of type AICH using the parameters given by the IE "AICH info" when associated PRACH is used. If the IE "AICH info" is not included, the UE shall read the corresponding IE in System Information Block type 5 or System Information Block type 5bis and use that information (FDD only);

1> if the IE "Additional Dynamic Transport Format Information for CCCH" is included for the selected PRACH:

2> use this transport format for transmission of the CCCH (FDD only).

1> else:

2> use the first instance of the list of transport formats as in the IE "RACH TFS" for the used RACH received in the IE "PRACH system information list" when using the CCCH (FDD only).

1> replace the TFS of the FACH/PCH with the one stored in the UE if any;

1> select a Secondary CCPCH as specified in [4] and in subclause 8.5.19, and start to receive the physical channel of type PICH associated with the PCH carried by the selected Secondary CCPCH using the parameters given by the IE "PICH info" if the UE is in CELL_PCH or URA_PCH state. If the IE "PICH info" is not included, the UE shall read the corresponding IE in System Information Block type 5 or System Information Block type 5bis and use that information;

1> start to monitor its paging occasions on the selected PICH if the UE is in CELL_PCH or URA_PCH state;

1> start to receive the selected physical channel of type Secondary CCPCH using the parameters given by the IE(s) "Secondary CCPCH info" if the UE is in CELL_FACH state. If the IE "Secondary CCPCH info" is not included, the UE shall read the corresponding IE(s) in System Information Block type 5 or System Information Block type 5bis and use that information;

1> in 3.84 Mcps TDD and 7.68 Mcps TDD: use the IE "TDD open loop power control" as defined in subclause 8.5.7;

1> in TDD: if the IE "PDSCH system information" and/or the IE "PUSCH system information" is included, store each of the configurations given there with the associated identity given in the IE "PDSCH Identity" and/or "PUSCH Identity" respectively. For every configuration, for which the IE "SFN Time info" is included, the information shall be stored for the duration given there.

If in idle mode, the UE shall not use the values of the IEs in this system information block.

If a UE is a 12 kbps class UE according to [35] and the UE has a lower capability than required to support all transport channel configurations mapped on a specific Secondary CCPCH, the UE shall at a certain time instant still be able to decode those transport channels mapped on this Secondary CCPCH that do match the capability supported by the UE. The UE shall use the TFCI bits for that Secondary CCPCH, to distinguish a transport channel configuration that is supported by the UE from a transport channel configuration that is not supported by the UE.

In particular if the UE is a 12 kbps class UE according to [35] and it does not support the processing requirement at a given point in time for a Secondary CCPCH, it shall still be able to decode the same Secondary CCPCH when the processing requirement is consistent with the UE capability. Or if the UE does not support the number of TFs or the coding of a certain transport channel on a Secondary CCPCH, it shall still be able to decode other transport channels mapped on the same Secondary CCPCH that is consistent with what is supported by the UE.

8.1.1.6.7 System Information Block type 7

The UE should store all relevant IEs included in this system information block.

8.1.1.6.8 Void

8.1.1.6.9 Void

8.1.1.6.10 Void

8.1.1.6.11 System Information Block type 11

The UE should store all relevant IEs included in this system information block. The UE shall:

1> if in idle mode:

2> clear the variable MEASUREMENT_IDENTITY.

1> if IE "FACH measurement occasion info" is included:

2> act as specified in subclause 8.6.7.

1> else:

2> may perform inter-frequency/inter-RAT measurements or inter-frequency/inter-RAT cell re-selection evaluation, if the UE capabilities permit such measurements while simultaneously receiving the S-CCPCH of the serving cell.

1> clear the variable CELL_INFO_LIST;

1> act upon the received IE "Intra-frequency cell info list"/"Inter-frequency cell info list"/"Inter-RAT cell info list" as described in subclause 8.6.7.3;

1> if the IE "Inter-frequency RACH reporting information" is included in the system information block:

2> read the IE and use that information for the inter-frequency measurements as specified in subclause 8.5.23.

1> if in idle mode; or

1> if in connected mode and if System Information Block type 12 is not broadcast in the cell:

2> if no intra-frequency measurement stored in the variable MEASUREMENT_IDENTITY was set up or modified through a MEASUREMENT CONTROL message:

3> if included, store the IE "Intra-frequency reporting quantity" and the IE "Intra-frequency measurement reporting criteria" or "Periodical reporting criteria" in order to activate reporting when state CELL_DCH is entered in the variable MEASUREMENT_IDENTITY. The IE "Cells for measurement" is absent for this measurement. The IE "Measurement Validity" is absent for this measurement after a state transition to CELL_DCH;

1> if in connected mode and if System Information Block type 12 is not broadcast in the cell:

2> read the IE "Traffic volume measurement information";

2> if no traffic volume measurement with the measurement identity indicated in the IE "Traffic volume measurement system information" was set up or modified through a MEASUREMENT CONTROL message:

3> update the variable MEASUREMENT_IDENTITY with the measurement information received in that IE.

1> if the IE "Cell selection and reselection info" is not included for a new neighbouring cell in the IE "intra-frequency cell info list", the IE "inter-frequency cell info list" or the IE "inter-RAT cell info list" in System Information Block type 11:

2> use the default values specified for the IE "Cell selection and reselection info" for that cell except for the IE "HCS neighbouring cell information".

1> if the IE "Use of HCS" is set to "used", indicating that HCS is used, do the following:

2> if IE "HCS neighbouring cell information" is not included for the first new cell in the IE "Intra-frequency cell info list", the IE "Inter-frequency cell info list" or the IE "Inter-RAT cell info list" in System Information Block type 11:

3> use the default values specified for the IE "HCS neighbouring cell information" for that cell.

2> if IE "HCS neighbouring cell information" is not included for any other new cell in the IE "Intra-frequency cell info list", the IE "Inter-frequency cell info list" or the IE "Inter-RAT cell info list" in System Information Block type 11:

3> for that cell use the same parameter values as used for the preceding cell in the same cell info list in System Information Block type 11.

1> if the value of the IE "Cell selection and reselection quality measure" is different from the value of the IE "Cell selection and reselection quality measure" obtained from System Information Block type 3 or System Information Block type 4:

2> use the value of the IE from this System Information Block and ignore the value obtained from System Information Block type 3 or System Information Block type 4.

1> if in connected mode, and System Information Block type 12 is indicated as used in the cell:

2> read and act on information sent in System Information Block type 12 as indicated in subclause 8.1.1.6.12.

8.1.1.6.11a System Information Block type 11bis

The UE should store all relevant IEs included in this system information block. The UE shall:

1> after reception of SIB 11 act upon the received IEs "Intra-frequency cell info list", "Inter-frequency cell info list" and "Inter-RAT cell info list" as described in subclause 8.6.7.3;

1> if the IE "Cell selection and reselection info" is not included for a new neighbouring cell in the IEs "New Intra-frequency cells", "New Inter-frequency cells" or "New Inter-RAT cells" in System Information Block type 11bis:

2> use the default values specified for the IE "Cell selection and reselection info" for that cell except for the IE "HCS neighbouring cell information".

1> if the IE "Use of HCS" is set to "used", indicating that HCS is used, do the following:

2> if IE "HCS neighbouring cell information" is not included for the first new cell in the IEs "New Intra-frequency cells", "New Inter-frequency cells" or "New Inter-RAT cells" in System Information Block type 11bis:

3> use the default values specified for the IE "HCS neighbouring cell information" for that cell.

2> if IE "HCS neighbouring cell information" is not included for any other new cell in the IEs "New Intra-frequency cells", "New Inter-frequency cells" or "New Inter-RAT cells" in System Information Block type 11bis:

3> for that cell use the same parameter values as used for the preceding cell in the same cell info list in System Information Block type 11bis.

8.1.1.6.12 System Information Block type 12

If in connected mode, the UE should store all relevant IEs included in this system information block. The UE shall:

1> after reception of System Information Block type 11; and

1> after reception of System Information Block type 11bis, if broadcast in the cell:

2> update the variable MEASUREMENT_IDENTITY with the measurement information in the received IEs unless specified otherwise.

1> if IE "FACH measurement occasion info" is included:

2> act as specified in subclause 8.6.7.

1> else:

2> may perform inter-frequency/inter-RAT measurements or inter-frequency/inter-RAT cell re-selection evaluation, if the UE capabilities permit such measurements while simultaneously receiving the S-CCPCH of the serving cell.

1> act upon the received IE "Intra-frequency cell info list"/"Inter-frequency cell info list"/"Inter-RAT cell info list" as described in subclause 8.6.7.3;

1> if any of the IEs "Intra-frequency measurement quantity", "Intra-frequency reporting quantity for RACH reporting", "Maximum number of reported cells on RACH" or "Reporting information for state CELL_DCH" are not included in the system information block:

2> read the corresponding IE(s) in system information block type 11 and use that information for the intra-frequency measurement.

1> if the IE "Inter-frequency RACH reporting information" is included in this system information block or in System Information Block type 11:

2> if the IE is not included in the system information block, read the corresponding IE(s) in System Information Block type 11;

2> use the received information for the inter-frequency measurements as specified in subclause 8.5.23.

1> if included in this system information block or in System Information Block type 11:

2> if no intra-frequency measurement in the variable MEASUREMENT_IDENTITY was set up or modified through a MEASUREMENT CONTROL message:

3> store the IE "Intra-frequency reporting quantity" and the IE "Intra-frequency measurement reporting criteria" or "Periodical reporting criteria" in order to activate reporting when state CELL_DCH is entered in the variable MEASUREMENT_IDENTITY. The IE "Cells for measurement" is absent for this measurement. The IE "Measurement Validity" is absent for this measurement after a state transition to CELL_DCH;

1> if the IE "Traffic volume measurement system information" is not included in this system information block:

2> read the corresponding IE in System Information Block type 11.

1> if the IE "Traffic volume measurement system information" was received either in this system information block or in System Information Block type 11:

2> if no traffic volume measurement with the measurement identity indicated in the IE "Traffic volume measurement system information" was set up or modified through a MEASUREMENT CONTROL message:

3> update the variable MEASUREMENT_IDENTITY with the measurement information received in that IE.

1> if in CELL_FACH state:

2> start or continue the traffic volume measurements stored in the variable MEASUREMENT_IDENTITY that are valid in CELL_FACH state.

1> if the IE "Cell selection and reselection info" is not included for a new neighbouring cell in the IE "Intra-frequency cell info list", the IE "Inter-frequency cell info list" or the IE "Inter-RAT cell info list" in System Information Block type 12:

2> use the default values specified for the IE "Cell selection and reselection info" for that cell except for the IE "HCS neighbouring cell information".

1> if the IE "Use of HCS" is set to "used", indicating that HCS is used, do the following:

2> if IE "HCS neighbouring cell information" is not included for the first new cell in the IE "Intra-frequency cell info list", the IE "Inter-frequency cell info list" or the IE "Inter-RAT cell info list" in System Information Block type 12:

3> use the default values specified for the IE "HCS neighbouring cell information" for that cell.

2> if IE "HCS neighbouring cell information" is not included for any other new cell in the IE "Intra-frequency cell info list", the IE "Inter-frequency cell info list" or the IE "Inter-RAT cell info list" in System Information Block type 12:

3> for that cell use the same parameter values as used for the preceding cell in the same cell info list in System Information Block type 12.

1> if the value of the IE "Cell selection and reselection quality measure" is different from the value of the IE "Cell selection and reselection quality measure" obtained from System Information Block type 3 or System Information Block type 4:

2> use the value of the IE from this System Information Block and ignore the value obtained from System Information Block type 3 or System Information Block type 4.

If in idle mode, the UE shall not use the values of the IEs in this system information block.

8.1.1.6.13 System Information Block type 13

If in idle or connected mode, the UE should store all relevant IEs included in this system information block except for the IEs "CN domain specific DRX cycle length coefficient", "UE timers and constants in idle mode" and "Capability update requirement" which shall be stored only in the idle mode case. The UE shall read System Information Block type 13 and the associated System Information Block types 13.1, 13.2, 13.3 and 13.4 only when the UE is operating in "ANSI-41 mode" and the IE "PLMN type" in the Master Information Block has the value "ANSI-41" or "GSM-MAP and ANSI-41". The UE shall also:

1> forward the content of the IE "CN domain specific NAS system information" to the non-access stratum entity indicated by the IE "CN domain identity";

1> use the IE "CN domain specific DRX cycle length coefficient" to calculate frame number for the Paging Occasions and Page indicator as specified in [4].

Refer to TIA/EIA/IS-2000.5-A for actions on information contained in System Information Block types 13.1, 13.2, 13.3 and 13.4.

8.1.1.6.14 System Information Block type 14

This system information block type is used only in 3.84 Mcps TDD and 7.68 Mcps TDD.

The UE should store all relevant IEs included in this system information block. The UE shall:

1> use the IE "UL Timeslot Interference" to calculate PRACH, DPCH and PUSCH transmit power for TDD uplink open loop power control as defined in subclause 8.5.7.

8.1.1.6.15 System Information Block type 15

If the UE is in idle or connected mode, and supports GPS location services it should store all relevant IEs included in this system information block. The UE shall:

1> if the IE "GPS Data ciphering info" is included:

1> act as specified in the subclause 8.6.7.19.4.- act upon the received IE "Reference position" as specified in subclause 8.6.7.19.3.8;

1> act upon the received IE "GPS reference time" as specified in subclause 8.6.7.19.3.7;

1> if IE "Satellite information" is included:

2> act upon this list of bad satellites as specified in subclause 8.6.7.19.3.6.

NOTE: For efficiency purposes, the UTRAN should broadcast System Information Block type 15 if it is broadcasting System Information Block type 15.2.

8.1.1.6.15.1 System Information Block type 15.1

The UE should store all the relevant IEs included in this system information block in variable UE_POSITIONING_GPS_DATA. The UE shall:

1> act on "DGPS information" in the IE "DGPS Corrections" in a similar manner as specified in [13] except that the scale factors for PRC and RRC are different;

1> act upon the received IE " UE Positioning GPS DGPS corrections" as specified in subclause 8.6.7.19.3.3.

In this version of the specification, the UE shall:

1> ignore the following IEs: "Delta PRC2", "Delta RRC2", "Delta PRC3" and "Delta RRC3".

8.1.1.6.15.2 System Information Block type 15.2

For System Information Block type 15.2 multiple occurrences may be used; one occurrence for one satellite. To identify the different occurrences, the scheduling information for System Information Block type 15.2 includes IE "SIB occurrence identity and value tag". The UE should store all the relevant IEs included in this system information block in variable UE_POSITIONING_GPS_DATA. The UE shall:

1> compare for each occurrence the value tag of the stored occurrence, if any, with the occurrence value tag included in the IE "SIB occurrence identity and value tag" for the occurrence of the System Information Block with the same occurrence identity;

1> in case the UE has no SIB occurrence stored with the same identity or in case the occurrence value tag is different:

2> store the occurrence information together with its identity and value tag for later use.

1> in case an occurrence with the same identity but different value tag was stored:

2> overwrite this one with the new occurrence read via system information for later use.

1> interpret IE "Transmission TOW" as a very coarse estimate of the current time, i.e., the approximate GPS time-of-week when the message is broadcast;

1> interpret IE "SatID" as the satellite ID of the data from which this message was obtained;

1> act upon the received IEs "Sat ID" and "GPS Ephemeris and Clock Corrections Parameter" as specified in subclause 8.6.7.19.3.4.

The IE "Transmission TOW" may be different each time a particular SIB occurrence is transmitted. The UTRAN should not increment the value tag of the SIB occurrence if the IE "Transmission TOW" is the only IE that is changed.

The UE may not need to receive all occurrences before it can use the information from any one occurrence.

8.1.1.6.15.3 System Information Block type 15.3

For System Information Block type 15.3 multiple occurrences may be used; one occurrence for each set of satellite data. To identify the different occurrences, the scheduling information for System Information Block type 15.3 includes IE "SIB occurrence identity and value tag". The UE should store all the relevant IEs included in this system information block in variable UE_POSITIONING_GPS_DATA. The UE shall:

1> compare for each occurrence the value tag of the stored occurrence, if any, with the occurrence value tag included in the IE "SIB occurrence identity and value tag" for the occurrence of the System Information Block with the same occurrence identity;

1> in case the UE has no SIB occurrence stored with the same identity or in case the occurrence value tag is different:

2> store the occurrence information together with its identity and value tag for later use.

1> in case an occurrence with the same identity but different value tag was stored:

2> overwrite this one with the new occurrence read via system information for later use.

1> interpret IE "Transmission TOW" as a very coarse estimate of the current time, i.e., the approximate GPS time-of-week when the message is broadcast;

1> if the IE "GPS Almanac and Satellite Health" is included:

2> interpret IE "SatMask" as the satellites that contain the pages being broadcast in this message;

2> interpret IE "LSB TOW" as the least significant 8 bits of the TOW ([12]);

2> act upon the received IE "GPS Almanac and Satellite Health" as specified in subclause 8.6.7.19.3.2.

1> if the IE "GPS ionospheric model" is included:

2> act upon the received IE "GPS ionospheric model" as specified in subclause 8.6.7.19.3.5.

1> if the IE "GPS UTC model" is included:

2> act upon the received IE "GPS UTC model" as specified in subclause 8.6.7.19.3.9.

The IE "Transmission TOW" may be different each time a particular SIB occurrence is transmitted. The UTRAN should not increment the value tag of the SIB occurrence if the IE "Transmission TOW" is the only IE that is changed. One SIB occurrence value tag is assigned to the table of subclause 10.2.48.8.18.3.

The UE may not need to receive all occurrences before it can use the information for any one occurrence.

8.1.1.6.15.4 System Information Block type 15.4

If the UE is in idle mode or connected mode, the UE shall:

1> if the IE "OTDOA Data ciphering info" is included:

2> act as specified in subclause 8.6.7.19.4.

If the UE is in connected mode, the UE shall:

1> act as specified in subclause 8.6.7.19.2.

8.1.1.6.15.5 System Information Block type 15.5

If the UE is in idle or connected mode, the UE shall:

1> if the UE supports UE-based OTDOA positioning:

2> act as specified in subclause 8.6.7.19.2a.

8.1.1.6.16 System Information Block type 16

For System Information Block type 16 multiple occurrences may be used; one occurrence for each predefined configuration. To identify the different predefined configurations, the scheduling information for System Information Block type 16 includes IE "Predefined configuration identity and value tag".

The UE should store all relevant IEs included in this system information block. The UE shall:

1> compare for each predefined configuration the value tag of the stored predefined configuration with the preconfiguration value tag included in the IE "Predefined configuration identity and value tag" for the occurrence of the System Information Block with the same predefined configuration identity;

1> in case the UE has no predefined configuration stored with the same identity:

2> store the predefined configuration information together with its identity and value tag for later use e.g. during handover to UTRAN.

1> in case a predefined configuration with the same identity but different value tag was stored:

2> overwrite this one with the new configuration read via system information for later use e.g. during handover to UTRAN.

The above handling applies regardless of whether the previously stored predefined configuration information has been obtained via UTRA or via another RAT.

The UE is not required to complete reading of all occurrences of System Information Block type 16 before initiating RRC connection establishment.

The UE is not required to store more than maxPredefConfig preconfigurations even in the case of multiple equivalent PLMNs.

8.1.1.6.17 System Information Block type 17

This system information block type is used only for TDD.

If in connected mode, the UE should store all relevant IEs included in this system information block. The UE shall:

1> if the IE "PDSCH system information" and/or the IE "PUSCH system information" is included, store each of the configurations given there with the associated identity given in the IE "PDSCH Identity" and/or "PUSCH Identity" respectively. This information shall become invalid after the time specified by the repetition period (SIB_REP) for this system information block.

If in idle mode, the UE shall not use the values of the IEs in this system information block.

8.1.1.6.18 System Information Block type 18

If the System Information Block type 18 is present, a UE shall obtain knowledge of the PLMN identity of the neighbour cells to be considered for cell reselection, and shall behave as specified in this subclause and in subclause 8.5.14a.

The UE should store all the relevant IEs included in this system information block.

A UE in idle mode shall act according to the following rules:

1> if System Information Block type 11bis is scheduled on BCH; and the IE "Idle mode PLMN identities for SIB 11bis" is present:

2> any PLMN list of a given type (IEs "PLMNs of intra-frequency cells list", "PLMNs of inter-frequency cells list", "PLMNs of inter-RAT cell lists") included in the IE "Idle mode PLMN identities for SIB 11bis" is paired with the list of cells of the same type derived from System Information Block type 11 and System Information Block type 11bis.

1> else:

2> any PLMN list of a given type (IEs "PLMNs of intra-frequency cells list", "PLMNs of inter-frequency cells list", "PLMNs of inter-RAT cell lists") included in the IE "Idle mode PLMN identities" is paired with the list of cells of the same type derived from System Information Block type 11 and System Information Block type 11bis if scheduled on BCH.

1> the PLMN identity located at a given rank in the PLMN list is that of the cell with the same ranking in the paired list of cells, the cells being considered in the increasing order of their associated identities ("Intra-frequency cell id", "Inter-frequency cell id", "Inter-RAT cell id");

1> if no identity is indicated for the first PLMN in a list, the UE shall assume that the neighbouring cell broadcasts the same PLMN configuration (i.e. IE "PLMN Identity" and IE "Multiple PLMN List") as the current cell;

1> if no identity is indicated for another entry in the list, the UE shall assume that the neighbouring cell broadcasts the same PLMN configuration (i.e. IE "PLMN Identity" and IE "Multiple PLMN List") as the previous cell in the list;

1> if the number of identities in a PLMN list exceeds the number of neighbour cells in the paired list (if any), the extra PLMN identities are considered as unnecessary and ignored;

1> if the number of identities in a PLMN list (if any) is lower than the number of neighbour cells in the paired list, the missing PLMN identities are replaced by the PLMN configuration for the last cell in the list.

A UE in connected mode shall act in the same manner as a UE in idle mode with the following modifications:

1> if System Information Block type 11bis is scheduled on BCH:

2> the PLMN lists to be considered are the ones included, when present, in the IE "Connected mode PLMN identities for SIB 11bis";

2> otherwise, the UE shall use, in place of any missing list, when present, the corresponding one in the IE "Idle mode PLMN identities for SIB11bis";

2> otherwise, the UE shall use, in place of any missing list, when present, the corresponding one in the IE "Connected mode PLMN identities";

2> otherwise, the UE shall use, in place of any missing list, the corresponding one in the IE "Idle mode PLMN identities".

1> else:

2> the PLMN lists to be considered are the ones included, when present, in the IE "Connected mode PLMN identities";

2> otherwise, the UE shall use, in place of any missing list, the corresponding one in the IE "Idle mode PLMN identities".

1> the paired lists of cells are the ones derived from System Information Block type 11, and System Information Block type 11bis if scheduled on BCH, and System Information Block type 12 if present.

8.1.1.7 Modification of system information

For System Information Block type 15.2, 15.3 and 16 that may have multiple occurrences, the UE shall handle each occurrence independently as specified in the previous; that is each occurrence is handled as a separate system information block.

NOTE: It should be noted that for the proper operation of the BCCH Modification Information sent on a PCH, the System Information should not be changed more frequently than can be accommodated by mobile stations operating at the maximum DRX cycle length supported by the UTRAN.

8.1.1.7.1 Modification of system information blocks using a value tag

Upon modifications of system information blocks using value tags, UTRAN should notify the new value tag for the master information block in the IE "BCCH modification info", transmitted in the following way:

1> to reach UEs in idle mode, CELL_PCH state and URA_PCH state, the IE "BCCH modification info" is contained in a PAGING TYPE 1 message transmitted on the PCCH in all paging occasions in the cell;

1> to reach UEs in CELL_FACH state or TDD UEs in CELL_DCH with S-CCPCH assigned, the IE "BCCH modification info" is contained in a SYSTEM INFORMATION CHANGE INDICATION message transmitted on the BCCH mapped on at least one FACH on every Secondary CCPCH in the cell.

Upon reception of a PAGING TYPE 1 message or a SYSTEM INFORMATION CHANGE INDICATION message containing the IE "BCCH modification info" containing the IE "MIB value tag" but not containing the IE "BCCH modification time", the UE shall perform actions as specified in subclause 8.1.1.7.3.

If the IE "BCCH modification time" is included the UE shall perform actions as specified in subclause 8.1.1.7.2.

8.1.1.7.2 Synchronised modification of system information blocks

For modification of some system information elements, e.g. reconfiguration of the channels, it is important for the UE to know exactly when a change occurs. In such cases, the UTRAN should notify the SFN when the change will occur as well as the new value tag for the master information block in the IE "BCCH modification info" transmitted in the following way:

1> To reach UEs in idle mode, CELL_PCH state and URA_PCH state, the IE "BCCH modification info" is contained in a PAGING TYPE 1 message transmitted on the PCCH in all paging occasions in the cell;

1> To reach UEs in CELL_FACH state, the IE "BCCH modification info" is contained in a SYSTEM INFORMATION CHANGE INDICATION message transmitted on the BCCH mapped on at least one FACH on every Secondary CCPCH in the cell.

Upon reception of a PAGING TYPE 1 message or a SYSTEM INFORMATION CHANGE INDICATION message containing the IE "BCCH modification info" containing the IE "MIB value tag" and containing the IE "BCCH modification time", the UE shall:

1> perform the actions as specified in subclause 8.1.1.7.3 at the time, indicated in the IE "BCCH Modification Info".

8.1.1.7.3 Actions upon system information change

The UE shall:

1> compare the value of IE "MIB value tag" in the IE "BCCH modification info" with the value tag stored for the master information block in variable VALUE_TAG.

1> if the value tags differ:

2> read the master information block on BCH;

2> if the value tag of the master information block in the system information is the same as the value in IE "MIB value tag" in "BCCH modification info" but different from the value tag stored in the variable VALUE_TAG:

3> perform actions as specified in subclause 8.1.1.5.

2> if the value tag of the master information block in the system information is the same as the value tag stored in the variable VALUE_TAG:

3> for the next occurrence of the master information block:

4> perform actions as specified in subclause 8.1.1.7.3 again.

2> if the value tag of the master information block in the system information is different from the value tag stored in the variable VALUE_TAG, and is different from the value in IE "MIB value tag" in "BCCH modification info":

3> perform actions as specified in subclause 8.1.1.5;

3> if (VTCI-VTMIB) mod 8 < 4, where VTCI is the value tag in the IE "MIB value tag" in "BCCH modification info" and VTMIB is the value tag of the master information block in the system information:

4> for the next occurrence of the master information block:

5> perform actions as specified in subclause 8.1.1.7.3 again.

8.1.1.7.4 Actions upon expiry of a system information expiry timer

When the expiry timer of a system information block not using a value tag expires

the UE shall:

1> consider the content of the system information block invalid;

1> re-acquire the system information block again before the content can be used;

In FDD for system information blocks other than System Information Block type 7, or in states other than CELL_FACH, or in TDD for system information blocks other than System Information Block type 14, or in states other than CELL_FACH or CELL_DCH the UE may:

1> postpone reading the system information block until the content is needed.

In FDD for System Information Block type 7, while in state CELL_FACH, and in TDD for System Information Block type 14, while in state CELL_FACH or CELL DCH the UE shall always keep an up to date version of the relevant IEs, unless this is not possible because system information can not be received due to bad radio conditions.

8.1.2 Paging

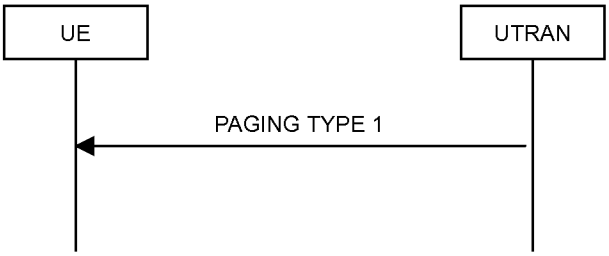


Figure 8.1.2-1: Paging

8.1.2.1 General

This procedure is used to transmit paging information to selected UEs in idle mode, CELL_PCH or URA_PCH state using the paging control channel (PCCH). Upper layers in the network may request paging, to e.g. establish a signalling connection. UTRAN may initiate paging for UEs in CELL_PCH or URA_PCH state to trigger a cell update procedure. In addition, UTRAN may initiate paging for UEs in idle mode, CELL_PCH and URA_PCH state to trigger reading of updated system information. UTRAN may also initiate paging for UEs in CELL_PCH and URA_PCH state to release the RRC connection.

8.1.2.2 Initiation

UTRAN initiates the paging procedure by transmitting a PAGING TYPE 1 message on an appropriate paging occasion on the PCCH.

UTRAN may repeat transmission of a PAGING TYPE 1 message to a UE in several paging occasions to increase the probability of proper reception of a page.

UTRAN may page several UEs in the same paging occasion by including one IE "Paging record" for each UE in the PAGING TYPE 1 message.

For CN originated paging, UTRAN should set the IE "Paging cause" to the cause for paging received from upper layers. If no cause for paging is received from upper layers, UTRAN should set the value "Terminating – cause unknown".

UTRAN may also indicate that system information has been updated, by including the value tag of the master information block in the IE "BCCH modification info" in the PAGING TYPE 1 message. In this case, UTRAN may omit the IEs "Paging record".

8.1.2.3 Reception of a PAGING TYPE 1 message by the UE

A UE in idle mode, CELL_PCH state or URA_PCH state shall receive the paging information for all its monitored paging occasions. For a UE in idle mode, the paging occasions are specified in [4] and depend on the IE "CN domain specific DRX cycle length coefficient", as specified in subclause 8.6.3.1a. For a UE in CELL_PCH state or URA_PCH state, the paging occasions depend also on the IE "UTRAN DRX cycle length coefficient" and the IE "RRC State Indicator", as specified in subclauses 8.6.3.2 and 8.6.3.3 respectively.

When the UE receives a PAGING TYPE 1 message, it shall perform the actions as specified below.

If the UE is in idle mode, for each occurrence of the IE "Paging record" included in the message the UE shall:

1> if the IE "Used paging identity" is a CN identity:

2> compare the IE "UE identity" with all of its allocated CN UE identities:

2> if one match is found:

3> indicate reception of paging; and

3> forward the IE "CN domain identity", the IE "UE identity" and the IE "Paging cause" to the upper layers.

1> otherwise:

2> ignore that paging record.

If the UE is in connected mode, for each occurrence of the IE "Paging record" included in the message the UE shall:

1> if the IE "Used paging identity" is a UTRAN single UE identity and if this U-RNTI is the same as the U-RNTI allocated to the UE stored in the UE variable U_RNTI:

2> if the optional IE "CN originated page to connected mode UE" is included:

3> indicate reception of paging; and

3> forward the IE "CN domain identity", the IE "Paging cause" and the IE "Paging record type identifier" to the upper layers.

2> if the IE "Release indicator" in the IE "RRC connection release information" has the value "Release":

3> release all its radio resources;

3> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to the upper layers;

3> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> clear the variable ESTABLISHED_RABS;

3> pass the value of the IE "Release cause" received in the IE "Release information" to upper layers;

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode;

3> and the procedure ends.

2> otherwise:

3> perform a cell update procedure with cause "paging response" as specified in subclause 8.3.1.2.

2> ignore any other remaining IE "Paging record" that may be present in the message.

1> if the IE "Used paging identity" is a UTRAN group identity and there is a group identity match according to subclause 8.6.3.13:

2> if the IE "Release indicator" in the IE "RRC connection release information" has the value "Release":

3> release all its radio resources;

3> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to the upper layers;

3> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> clear the variable ESTABLISHED_RABS;

3> pass the value of the IE "Release cause" received in the IE “Release information” to upper layers;

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode;

3> and the procedure ends.

2> otherwise:

3> perform a cell update procedure with cause "paging response" as specified in subclause 8.3.1.2.

2> ignore any other remaining IE "Paging record" that may be present in the message.

1> otherwise:

2> ignore that paging record.

If the IE "BCCH modification info" is included, any UE in idle mode, CELL_PCH or URA_PCH state shall perform the actions as specified in subclause 8.1.1 in addition to any actions caused by the IE "Paging record" occurrences in the message as specified above.

8.1.3 RRC connection establishment

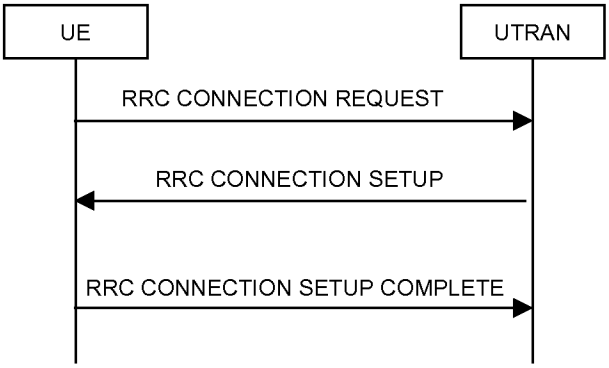


Figure 8.1.3-1: RRC Connection Establishment, network accepts RRC connection

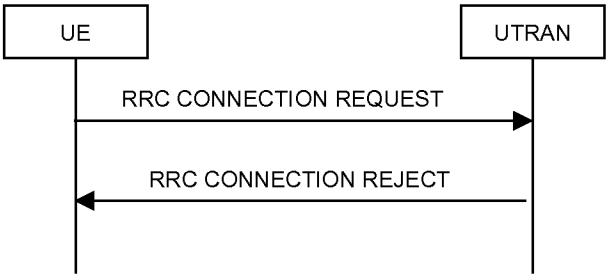


Figure 8.1.3-2: RRC Connection Establishment, network rejects RRC connection

8.1.3.1 General

The purpose of this procedure is to establish an RRC connection.

8.1.3.2 Initiation

The UE shall initiate the procedure when upper layers in the UE requests the establishment of a signalling connection and the UE is in idle mode (no RRC connection exists), as specified in subclause 8.1.8.

Upon initiation of the procedure, the UE shall:

1> set the variable PROTOCOL_ERROR_INDICATOR to FALSE;

1> if the USIM is present:

2> set the value of "THRESHOLD" in the variable "START_THRESHOLD" to the 20 MSBs of the value stored in the USIM [50] for the maximum value of START for each CN Domain.

1> if the SIM is present:

2> set the value of "THRESHOLD" in the variable "START_THRESHOLD" to the default value in [40] for each CN Domain.

1> set the IE "Initial UE identity" in the variable INITIAL_UE_IDENTITY according to subclause 8.5.1;

1> set the contents of the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

1> set CFN in relation to SFN of current cell according to subclause 8.5.15;

1> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

1> submit the RRC CONNECTION REQUEST message for transmission on the uplink CCCH;

1> set counter V300 to 1; and

1> if the variable ESTABLISHMENT_CAUSE is set to "MBMS reception":

2> when the MAC layer indicates success or failure to transmit the message:

3> if the MAC layer indicates failure:

4> enter idle mode;

4> consider the procedure to be unsuccessful;

4> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2;

4> the procedure ends.

3> else:

4> start timer T318;

4> apply value 0 for counter N300 regardless of the value included in IE "UE Timers and Constants in idle mode".

1> otherwise:

2> start timer T300 when the MAC layer indicates success or failure to transmit the message.

1> select a Secondary CCPCH according to [4];

1> start receiving all FACH transport channels mapped on the selected Secondary CCPCH.

8.1.3.3 RRC CONNECTION REQUEST message contents to set

The UE shall, in the transmitted RRC CONNECTION REQUEST message:

1> set the IE "Establishment cause" to the value of the variable ESTABLISHMENT_CAUSE;

1> set the IE "Initial UE identity" to the value of the variable INITIAL_UE_IDENTITY;

1> set the IE "Protocol error indicator" to the value of the variable PROTOCOL_ERROR_INDICATOR; and

1> include the IE "Predefined configuration status information" and set this IE to true if the UE has all pre-configurations stored with the same value tag as broadcast in the cell in which the RRC connection establishment is initiated.

1> if the UE is attempting to establish the signalling connection to PS-domain:

2> include the IE "Domain Indicator" and set it to "PS domain".

1> else if the UE is attempting to establish the signalling connection to CS domain:

2> include the IE "Domain Indicator" and set it to "CS domain".

2> if the value of the variable ESTABLISHMENT_CAUSE is set to "Originating Conversational Call" or "Terminating Conversational Call" or "Emergency Call":

3> set the value of the IE "Call type" to "speech", "video" or "other" according to the call being initiated.

1> if the UE only supports HS-DSCH but not E-DCH:

2> include the IE "UE capability indication" and set it to the "HS-DSCH" value.

1> if the UE supports HS-DSCH and E-DCH:

2> include the IE "UE capability indication" and set it to the "HS-DSCH+E-DCH" value.

1> if, according to [4], the High-mobility state is applicable and it has been detected by the UE:

2> include the IE "UE Mobility State Indicator" and set it to the "High-MobilityDetected" value.

1> if the UE performs connection establishment for MBMS ptp radio bearer request as specified in subclause 8.6.9.6; and

1> if one or more of the MBMS services for which the UE initiates the ptp radio bearer request concerns an MBMS Selected Service:

2> for each MBMS Selected Service that is indicated on MCCH and for which the UE initiates the ptp radio bearer request:

3> include the IE "MBMS Selected Service ID" within the IE "MBMS Selected Services Short" and set it to a value in accordance with subclause 8.6.9.8.

1> otherwise if the UE performs connection establishment for MBMS counting as specified in subclause 8.7.4; and

1> if one or more of the MBMS services for which the UE initiates the counting response concerns an MBMS Selected Service:

2> for each MBMS Selected Service that is indicated on MCCH and for which the UE initiates the counting response:

3> include the IE "MBMS Selected Service ID" within the IE "MBMS Selected Services Short" and set it to a value in accordance with subclause 8.6.9.8.

1> if the UE included one or more "MBMS Selected Service ID" IEs:

2> include the IE "MBMS Modification Period identity" and set it to a value in accordance with subclause 8.5.29.

The UE shall not include the IE "UE Specific Behaviour Information 1 idle".

8.1.3.4 Reception of an RRC CONNECTION REQUEST message by the UTRAN

Upon receiving an RRC CONNECTION REQUEST message, UTRAN should either:

1> accept the request and use a predefined or default radio configuration, in which case it should:

2> include the following information in the RRC CONNECTION SETUP message:

3> the IE "Predefined configuration identity", to indicate which pre-defined configuration of RB and, transport channel parameters shall be used; or

3> the IE "Default configuration mode" and IE "Default configuration identity", to indicate which default configuration of RB and transport channel parameters shall be used;

3> PhyCH information elements.

2> submit the RRC CONNECTION SETUP message to the lower layers for transmission on the downlink CCCH.

NOTE 1: UTRAN should only apply a predefined radio configuration in case it orders the UE to enter CELL_DCH. This is because the predefined configuration information included in System Information Block 16 mandatorily includes information only required in CELL_DCH state.

1> accept the request without using a predefined or default radio configuration, in which case it should:

2> include in the RRC CONNECTION SETUP message the complete set of RB, TrCH and PhyCH information elements to be used;

2> submit the RRC CONNECTION SETUP message to the lower layers for transmission on the downlink CCCH;

NOTE 2: In R'99, the RRC CONNECTION SETUP message always includes the IEs "Added or Reconfigured TrCH information list", both for uplink and downlink transport channels, even if UTRAN orders the UE to move to CELL_FACH and hence need not configure any transport channels. In these cases, UTRAN may include a configuration that adds little to the encoded message size e.g. a DCH with a single zero size transport format. At a later stage, UTRAN may either remove or reconfigure this configuration.

1> submit an RRC CONNECTION REJECT message on the downlink CCCH. In the RRC CONNECTION REJECT message, the UTRAN may direct the UE to another UTRA carrier or to another system. After the RRC CONNECTION REJECT message has been sent, all context information for the UE may be deleted in UTRAN.

8.1.3.5 Cell re-selection, T300 or T318 timeout

1> if the UE has not yet received an RRC CONNECTION SETUP message with the value of the IE "Initial UE identity" equal to the value of the variable INITIAL_UE_IDENTITY; and

1> if cell re-selection or expiry of timer T300 or timer T318 occurs:

the UE shall:

1> check the value of V300; and

2> if V300 is equal to or smaller than N300:

3> if cell re-selection occurred:

4> set CFN in relation to SFN of current cell according to subclause 8.5.15.

3> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

3> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13; and

3> apply the given Access Service Class when accessing the RACH;

3> submit a new RRC CONNECTION REQUEST message to lower layers for transmission on the uplink CCCH;

3> increment counter V300;

3> restart timer T300 when the MAC layer indicates success or failure to transmit the message.

2> if V300 is greater than N300:

3> enter idle mode.

3> consider the procedure to be unsuccessful;

3> Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

3> the procedure ends.

8.1.3.5a Abortion of RRC connection establishment

If the UE has not yet entered UTRA RRC Connected mode and the RRC connection establishment is to be aborted as specified in subclause 8.1.8, the UE shall:

1> consider the procedure to be unsuccessful;

1> perform the actions when entering idle mode as specified in subclause 8.5.2.

The procedure ends.

8.1.3.6 Reception of an RRC CONNECTION SETUP message by the UE

The UE shall compare the value of the IE "Initial UE identity" in the received RRC CONNECTION SETUP message with the value of the variable INITIAL_UE_IDENTITY.

If the values are different, the UE shall:

1> ignore the rest of the message.

If the values are identical, the UE shall:

2> if IE "Specification mode" is set to "Preconfiguration" and IE "Preconfiguration mode" is set to "Predefined configuration":

3> initiate the radio bearer and transport channel configuration in accordance with the predefined parameters identified by the IE "Predefined configuration identity" with the following exception;

4> ignore the IE "RB to setup list" and the IE "Re- establishment timer".

NOTE: IE above IEs are mandatory to include in IE "Predefined RB configuration" that is included in System Information Block 16 but should be ignored since it is not possible to establish a RAB during RRC connection establishment.

3> initiate the physical channels in accordance with the received physical channel information elements;

2> if IE "Specification mode" is set to "Preconfiguration" and IE "Preconfiguration mode" is set to "Default configuration":

3> initiate the radio bearer and transport channel configuration in accordance with the default parameters identified by the IE "Default configuration mode" and IE "Default configuration identity" with the following exception:

4> ignore the radio bearers other than signalling radio bearers.

3> initiate the physical channels in accordance with the received physical channel information elements.

NOTE: IE "Default configuration mode" specifies whether the FDD or TDD version of the default configuration shall be used.

2> if IE "Specification mode" is set to "Complete specification":

3> initiate the radio bearer, transport channel and physical channel configuration in accordance with the received radio bearer, transport channel and physical channel information elements.

1> clear the variable ESTABLISHMENT_CAUSE;

1> stop timer T300 or T318, whichever one is running, and act upon all received information elements as specified in subclause 8.6, unless specified otherwise in the following:

2> if the UE, according to subclause 8.6.3.3, will be in the CELL_FACH state at the conclusion of this procedure:

3> if the IE "Frequency info" is included:

4> select a suitable UTRA cell according to [4] on that frequency.

3> enter UTRA RRC connected mode;

3> select PRACH according to subclause 8.5.17;

3> select Secondary CCPCH according to subclause 8.5.19;

3> ignore the IE "UTRAN DRX cycle length coefficient" and stop using DRX.

1> if the UE, according to subclause 8.6.3.3, will be in the CELL_DCH state at the conclusion of this procedure:

2> perform the physical layer synchronisation procedure A as specified in [29] (FDD only);

2> enter UTRA RRC connected mode.

1> submit an RRC CONNECTION SETUP COMPLETE message to the lower layers on the uplink DCCH after successful state transition per subclause 8.6.3.3, with the contents set as specified below:

2> set the IE "RRC transaction identifier" to:

3> the value of "RRC transaction identifier" in the entry for the RRC CONNECTION SETUP message in the table "Accepted transactions" in the variable TRANSACTIONS; and

3> clear that entry.

2> if the USIM or SIM is present:

3> set the "START" for each CN domain in the IE "START list" in the RRC CONNECTION SETUP COMPLETE message with the corresponding START value that is stored in the USIM [50] if present, or as stored in the UE if the SIM is present; and then

3> set the START value stored in the USIM [50] if present, and as stored in the UE if the SIM is present for any CN domain to the value "THRESHOLD" of the variable START_THRESHOLD.

2> if neither the USIM nor SIM is present:

3> set the "START" for each CN domain in the IE "START list" in the RRC CONNECTION SETUP COMPLETE message to zero;

3> set the value of "THRESHOLD" in the variable "START_THRESHOLD" to the default value [40].

2> retrieve its UTRA UE radio access capability information elements from variable UE_CAPABILITY_REQUESTED; and then

2> include this in IE "UE radio access capability" and IE "UE radio access capability extension", provided this IE is included in variable UE_CAPABILITY_REQUESTED;

2> retrieve its inter-RAT-specific UE radio access capability information elements from variable UE_CAPABILITY_REQUESTED; and then

2> include this in IE "UE system specific capability".

When the RRC CONNECTION SETUP COMPLETE message has been submitted to lower layers for transmission the UE shall:

1> if the UE has entered CELL_FACH state:

2> start timer T305 using its initial value if periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" in the variable TIMERS_AND_CONSTANTS.

1> store the contents of the variable UE_CAPABILITY_REQUESTED in the variable UE_CAPABILITY_TRANSFERRED;

1> initialise variables upon entering UTRA RRC connected mode as specified in subclause 13.4;

1> consider the procedure to be successful;

And the procedure ends.

8.1.3.7 Physical channel failure or cell re-selection

1> If the UE failed to establish, per subclause 8.5.4, the physical channel(s) indicated in the RRC CONNECTION SETUP message; or

1> if the UE performs cell re-selection; or

1> if the UE will be in the CELL_FACH state at the conclusion of this procedure; and

1> if the received RRC CONNECTION SETUP message included the IE "Frequency info" and the UE could not find a suitable UTRA cell on that frequency but it could find a suitable UTRA cell on another frequency; or

1> if the received RRC CONNECTION SETUP message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selected another cell than indicated by this IE; or

1> if the contents of the variable C_RNTI is empty;

1> after having received an RRC CONNECTION SETUP message with the value of the IE "Initial UE identity" equal to the value of the variable INITIAL_UE_IDENTITY; and

1> before the RRC CONNECTION SETUP COMPLETE message is delivered to lower layers for transmission:

the UE shall:

1> clear the entry for the RRC CONNECTION SETUP message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> check the value of V300, and:

2> if V300 is equal to or smaller than N300:

3> set CFN in relation to SFN of current cell according to subclause 8.5.15;

3> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

3> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

3> submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH;

3> increment counter V300; and

3> restart timer T300 when the MAC layer indicates success or failure in transmitting the message.

2> if V300 is greater than N300:

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

3> consider the RRC establishment procedure to be unsuccessful;

3> the procedure ends.

8.1.3.8 Invalid RRC CONNECTION SETUP message, unsupported configuration or invalid configuration

If the UTRAN instructs the UE to use a configuration, which it does not support e.g., the message includes a pre-defined configuration that the UE has not stored and/or if the received message causes the variable UNSUPPORTED_CONFIGURATION or the variable INVALID_CONFIGURATION to be set to TRUE the UE shall perform procedure specific error handling as specified in this subclause.

If the UE receives an RRC CONNECTION SETUP message which contains an IE "Initial UE identity" with a value which is identical to the value of the variable INITIAL_UE_IDENTITY, but the RRC CONNECTION SETUP message

contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> stop timer T300 or T318, whichever one is running; and

1> clear the entry for the RRC CONNECTION SETUP message in the table "Rejected transactions" in the variable TRANSACTIONS and proceed as below.

If the UE receives an RRC CONNECTION SETUP message which contains an IE "Initial UE identity" with a value which is identical to the value of the variable INITIAL_UE_IDENTITY:

1> if the RRC CONNECTION SETUP message contained a configuration the UE does not support; and/or

1> if the variable UNSUPPORTED_CONFIGURATION becomes set to TRUE due to the received RRC CONNECTION SETUP message; and/or

1> if the variable INVALID_CONFIGURATION becomes set to TRUE due to the received RRC CONNECTION SETUP message:

the UE shall:

1> stop timer T300 or T318, whichever one is running; and

1> clear the entry for the RRC CONNECTION SETUP message in the table "Accepted transactions" in the variable TRANSACTIONS and proceed as below.

If V300 is equal to or smaller than N300, the UE shall:

1> set the variable PROTOCOL_ERROR_INDICATOR to TRUE;

1> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

1> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13; and

1> apply the given Access Service Class when accessing the RACH;

1> submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH;

1> increment counter V300; and

1> restart timer T300 when the MAC layer indicates success or failure in transmitting the message.

If V300 is greater than N300, the UE shall:

1> enter idle mode;

1> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

1> consider the RRC establishment procedure to be unsuccessful;

1> the procedure ends.

8.1.3.9 Reception of an RRC CONNECTION REJECT message by the UE

When the UE receives an RRC CONNECTION REJECT message on the downlink CCCH, it shall compare the value of the IE "Initial UE identity" in the received RRC CONNECTION REJECT message with the value of the variable INITIAL_UE_IDENTITY:

If the values are different, the UE shall ignore the rest of the message;

If the values are identical, the UE shall:

1> stop timer T300 or T318, whichever one is running; and

1> clear the entry for the RRC CONNECTION REJECT message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> if the UE has disabled cell reselection to a UTRA carrier due to an earlier RRC CONNECTION REJECT message, the UE shall resume cell reselection to that UTRA carrier;

1> if the IE "wait time" <> '0'; and

1> if the IE "frequency info" is present and:

2> if V300 is equal to or smaller than N300:

3> select a suitable UTRA cell according to [4] on that frequency;

3> after having selected and camped on a suitable cell on the designated UTRA carrier:

4> set CFN in relation to SFN of current cell according to subclause 8.5.15;

4> set the contents of the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

4> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

4> transmit an RRC CONNECTION REQUEST message on the uplink CCCH;

4> reset counter V300;

4> start timer T300 when the MAC layer indicates success or failure in transmitting the message;

4> disable cell reselection to original UTRA carrier until the time stated in the IE "wait time" has elapsed or until the RRC connection establishment procedure ends, whichever occurs first;

3> if no suitable cell on the designated UTRA carrier is found:

4> wait for at least the time stated in the IE "wait time";

4> set CFN in relation to SFN of current cell according to subclause 8.5.15;

4> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

4> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

4> then submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH of the original serving cell;

4> increment counter V300;

4> restart timer T300 when the MAC layer indicates success or failure to transmit the message;

2> if V300 is greater than N300:

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

3> consider the RRC establishment procedure to be unsuccessful;

3> the procedure ends.

1> if the IE "inter-RAT info" is present:

2> if the IE "wait time" = '0':

3> the UE behaviour is not specified.

2> if V300 is equal to or smaller than N300:

3> if the IE "GSM target cell info" is present:

4> attempt to camp on a suitable cell of the list of cells indicated for that RAT;

4> if the UE selects and camps on one of the cells indicated for that RAT:

5> disable cell reselection to the original RAT until the time stated in the IE "wait time" has elapsed.

4> if the UE cannot find any suitable cell from the indicated ones within 10s, the UE is allowed to camp on any suitable cell on that RAT.

3> if the IE "GSM target cell info" is not present:

4> select a suitable cell in the designated RAT;

4> after having selected and camped on a suitable cell on the designated RAT:

5> disable cell reselection to the original RAT until the time stated in the IE "wait time" has elapsed or until the UE successfully establishes a connection on the designated RAT, whichever occurs first.

3> if no suitable cell in the designated RAT is found:

4> wait at least the time stated in the IE "wait time";

4> set CFN in relation to SFN of current cell according to subclause 8.5.15;

4> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.2.

4> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

4> then submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH;

4> increment counter V300;

4> restart timer T300 when the MAC layer indicates success or failure to transmit the message;

2> if V300 is greater than N300:

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

3> consider the RRC establishment procedure to be unsuccessful;

3> the procedure ends.

1> if the IE "wait time" <> '0'; and

1> if neither the IEs "frequency info" nor "inter-RAT info" are present:

2> if V300 is equal to or smaller than N300:

3> wait at least the time stated in the IE "wait time";

3> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.2;

3> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

3> submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH;

3> increment counter V300;

3> restart timer T300 when the MAC layer indicates success or failure to transmit the message;

2> if V300 is greater than N300:

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

3> consider the RRC establishment procedure to be unsuccessful;

3> the procedure ends.

1> if the IE "wait time" = '0':

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

2> consider the RRC establishment procedure to be unsuccessful;

2> the procedure ends.

8.1.3.10 Invalid RRC CONNECTION REJECT message

If the UE receives an RRC CONNECTION REJECT message which contains an IE "Initial UE identity" with a value which is identical to the value of the IE "Initial UE identity" in the most recent RRC CONNECTION REQUEST message sent by the UE; but the RRC CONNECTION REJECT message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

The UE shall:

1> stop timer T300 or T318, whichever one is running; and

1> clear the entry for the RRC CONNECTION REJECT message in the table "Rejected transactions" in the variable TRANSACTIONS;

1> if V300 is equal to or smaller than N300:

2> set the variable PROTOCOL_ERROR_INDICATOR to TRUE;

2> set the IEs in the RRC CONNECTION REQUEST message according to subclause 8.1.3.3;

2> perform the mapping of the Access Class to an Access Service Class as specified in subclause 8.5.13, and apply the given Access Service Class when accessing the RACH;

2> submit a new RRC CONNECTION REQUEST message to the lower layers for transmission on the uplink CCCH;

2> increment counter V300;

2> restart timer T300 when the MAC layer indicates success or failure to transmit the message.

1> if V300 is greater than N300:

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

2> consider the procedure to be successful;

2> the procedure ends.

8.1.4 RRC connection release

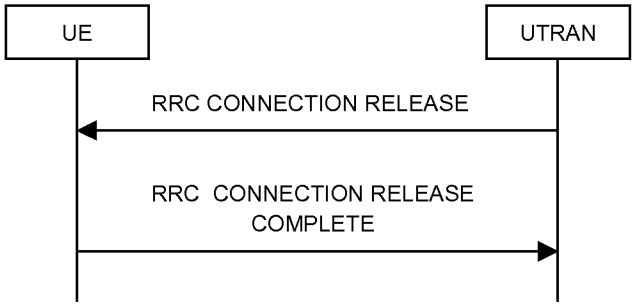


Figure 8.1.4-1: RRC Connection Release procedure on the DCCH



Figure 8.1.4-2: RRC Connection Release procedure on the CCCH

8.1.4.1 General

The purpose of this procedure is to release the RRC connection including all radio bearers and all signalling radio bearers between the UE and the UTRAN. By doing so, all established signalling connections will be released.

8.1.4.2 Initiation

When the UE is in state CELL_DCH or CELL_FACH, the UTRAN may at anytime initiate an RRC connection release by transmitting an RRC CONNECTION RELEASE message using UM RLC.

When UTRAN transmits an RRC CONNECTION RELEASE message the downlink DCCH should be used, if available. If the downlink DCCH is not available in UTRAN and the UE is in CELL_FACH state, the downlink CCCH may be used.

UTRAN may transmit several RRC CONNECTION RELEASE messages to increase the probability of proper reception of the message by the UE. In such a case, the RRC SN for these repeated messages should be the same. The number of repeated messages and the interval between the messages is a network option.

8.1.4.3 Reception of an RRC CONNECTION RELEASE message by the UE

The UE shall receive and act on an RRC CONNECTION RELEASE message in states CELL_DCH and CELL_FACH. Furthermore this procedure can interrupt any ongoing procedures with the UE in the above listed states.

When the UE receives the first RRC CONNECTION RELEASE message; and

1> if the message is received on the CCCH, and IE "U-RNTI" is present and has the same value as the variable U_RNTI; or

1> if the message is received on DCCH:

the UE shall perform the RRC connection release procedure as specified below.

When the UE receives the first RRC CONNECTION RELEASE message; and

1> if the message is received on the CCCH, the IE "UTRAN group identity" is present and there is a group identity match according to subclause 8.6.3.13:

the UE shall perform the RRC connection release procedure as specified below.

The UE shall:

1> in state CELL_DCH:

2> initialise the counter V308 to zero;

2> set the IE "RRC transaction identifier" in the RRC CONNECTION RELEASE COMPLETE message to the value of "RRC transaction identifier" in the entry for the RRC CONNECTION RELEASE message in the table "Accepted transactions" in the variable TRANSACTIONS;

2> submit an RRC CONNECTION RELEASE COMPLETE message to the lower layers for transmission using UM RLC on the DCCH to the UTRAN;

2> if the IE "Rplmn information" is present:

3> the UE may:

4> store the IE on the ME together with the PLMN id for which it applies;

3> the UE may then:

4> utilise this information, typically indicating where a number of BCCH frequency ranges of a RAT may be expected to be found, during subsequent Rplmn selections of the indicated PLMN.

2> if the IE "UE Mobility State Indicator" is present:

3> consider the High-mobility state to have being detected when entering idle mode.

2> start timer T308 when the RRC CONNECTION RELEASE COMPLETE message is sent on the radio interface.

1> in state CELL_FACH:

2> if the RRC CONNECTION RELEASE message was received on the DCCH:

3> set the IE "RRC transaction identifier" in the RRC CONNECTION RELEASE COMPLETE message to the value of "RRC transaction identifier" in the entry for the RRC CONNECTION RELEASE message in the table "Accepted transactions" in the variable TRANSACTIONS;

3> submit an RRC CONNECTION RELEASE COMPLETE message to the lower layers for transmission using AM RLC on the DCCH to the UTRAN.

3> when the successful transmission of the RRC CONNECTION RELEASE COMPLETE message has been confirmed by the lower layers:

4> release all its radio resources; and

4> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers; and

4> clear any entry for the RRC CONNECTION RELEASE message in the tables "Accepted transactions" and "Rejected transactions" in the variable TRANSACTIONS;

4> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

4> clear the variable ESTABLISHED_RABS;

4> pass the value of the IE "Release cause" received in the RRC CONNECTION RELEASE message to upper layers;

4> enter idle mode;

4> perform the actions specified in subclause 8.5.2 when entering idle mode.

3> and the procedure ends.

2> if the RRC CONNECTION RELEASE message was received on the CCCH:

3> release all its radio resources;

3> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to the upper layers;

3> clear any entry for the RRC CONNECTION RELEASE message in the tables "Accepted transactions" and "Rejected transactions" in the variable TRANSACTIONS;

3> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> clear the variable ESTABLISHED_RABS;

3> pass the value of the IE "Release cause" received in the RRC CONNECTION RELEASE message to upper layers;

3> enter idle mode;

3> perform the actions specified in subclause 8.5.2 when entering idle mode;

3> and the procedure ends.

8.1.4.4 Invalid RRC CONNECTION RELEASE message

If the RRC CONNECTION RELEASE message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, and if the "protocol error cause" in PROTOCOL_ERROR_INFORMATION is set to any cause value except "ASN.1 violation or encoding error", the UE shall perform procedure specific error handling as follows:

The UE shall:

1> ignore any IE(s) causing the error but treat the rest of the RRC CONNECTION RELEASE message as normal according to subclause 8.1.4.3, with an addition of the following actions:

2> if the RRC CONNECTION RELEASE message was received on the DCCH:

3> set the IE "RRC transaction identifier" in the RRC CONNECTION RELEASE COMPLETE message to the value of "RRC transaction identifier" in the entry for the RRC CONNECTION RELEASE message in the table "Rejected transactions" in the variable TRANSACTIONS;

3> include the IE "Error indication" in the RRC CONNECTION RELEASE COMPLETE message with:

4> the IE "Failure cause" set to the cause value "Protocol error"; and

4> the IE "Protocol error information" set to the value of the variable PROTOCOL_ERROR_INFORMATION.

8.1.4.5 Cell re-selection or radio link failure

If the UE performs cell re-selection or the radio link failure criteria in subclause 8.5.6 are met at any time during the RRC connection release procedure and the UE has not yet entered idle mode, the UE shall:

1> if cell re-selection occurred (CELL_FACH state):

2> perform a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection".

1> if radio link failure occurred (CELL_DCH state):

2> release all its radio resources;

2> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode;

2> and the procedure ends.

8.1.4.6 Expiry of timer T308, unacknowledged mode transmission

When in state CELL_DCH and the timer T308 expires, the UE shall:

1> increment V308 by one;

1> if V308 is equal to or smaller than N308:

2> prior to retransmitting the RRC CONNECTION RELEASE COMPLETE message:

3> if the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started":

4> include the same IEs as in the last unsuccessful attempt of this message, except for the IE "Integrity check info", which is set as specified in subclause 8.5.10.

3> else:

4> include the same IEs as in the last unsuccessful attempt of this message.

2> set the IE "RRC transaction identifier" in the RRC CONNECTION RELEASE COMPLETE message retransmitted below to the value of "RRC transaction identifier" in the entry for the RRC CONNECTION RELEASE message in the table "Accepted transactions" in the variable TRANSACTIONS;

2> send the RRC CONNECTION RELEASE COMPLETE message on signalling radio bearer RB1;

2> start timer T308 when the RRC CONNECTION RELEASE COMPLETE message is sent on the radio interface.

1> if V308 is greater than N308:

2> release all its radio resources;

2> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear any entry for the RRC CONNECTION RELEASE message in the tables "Accepted transactions" and "Rejected transactions" in the variable TRANSACTIONS;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode;

2> and the procedure ends.

8.1.4.7 Void

8.1.4.8 Reception of an RRC CONNECTION RELEASE COMPLETE message by UTRAN

When UTRAN receives an RRC CONNECTION RELEASE COMPLETE message from the UE, it should:

1> release all UE dedicated resources and the procedure ends on the UTRAN side.

8.1.4.9 Unsuccessful transmission of the RRC CONNECTION RELEASE COMPLETE message, acknowledged mode transmission

When acknowledged mode was used and RLC does not succeed in transmitting the RRC CONNECTION RELEASE COMPLETE message, the UE shall:

1> release all its radio resources;

1> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

1> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

1> clear the variable ESTABLISHED_RABS;

1> enter idle mode;

1> perform the actions specified in subclause 8.5.2 when entering idle mode;

1> and the procedure ends.

8.1.4.10 Detection of loss of dedicated physical channel by UTRAN in CELL_DCH state

If the release is performed from the state CELL_DCH, and UTRAN detects loss of the dedicated physical channel according to subclause 8.5.6, UTRAN may release all UE dedicated resources, even if no RRC CONNECTION RELEASE COMPLETE message has been received.

8.1.4.11 Failure to receive RRC CONNECTION RELEASE COMPLETE message by UTRAN

If UTRAN does not receive any RRC CONNECTION RELEASE COMPLETE message, it should release all UE dedicated resources.

8.1.4a RRC connection release requested by upper layers

8.1.4a.1 General

The purpose of this procedure is to release the RRC connection and bar the current cell or cells. The procedure is requested by upper layers when they determine that the network has failed an authentication check [5].

8.1.4a.2 Initiation

If the upper layers request the release of the RRC connection, the UE shall:

1> release all its radio resources;

1> enter idle mode;

1> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2;

1> if the UE was in CELL_DCH state prior to entering idle mode:

2> consider all cells that were in the active set prior to entering idle mode to be barred according to [4]; and

2> consider the barred cells as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

1> if the UE was in CELL_FACH or CELL_PCH or URA_PCH state prior to entering idle mode:

2> consider the cell on which the UE was camped prior to entering idle mode to be barred according to [4]; and

2> consider the barred cell as using the value "allowed" in the IE "Intra-frequency cell re-selection indicator", and the maximum value in the IE "T_{barred}".

8.1.5 Void

8.1.6 Transmission of UE capability information

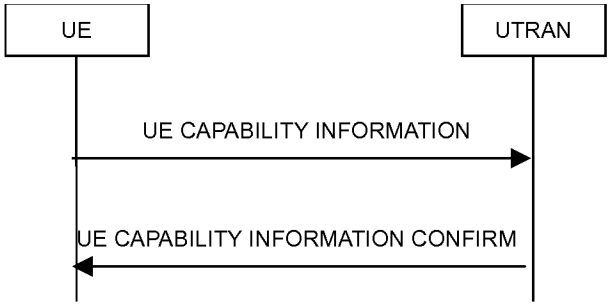


Figure 8.1.6-1: Transmission of UE capability information, normal flow

8.1.6.1 General

The UE capability update procedure is used by the UE to convey UE specific capability information to the UTRAN.

8.1.6.2 Initiation

The UE shall initiate the UE capability update procedure in the following situations:

1> the UE receives a UE CAPABILITY ENQUIRY message from the UTRAN;

1> while in connected mode the UE capabilities change compared to those stored in the variable UE_CAPABILITY_TRANSFERRED.

If the UE CAPABILITY INFORMATION message is sent in response to a UE CAPABILITY ENQUIRY message, the UE shall:

1> include the IE "RRC transaction identifier"; and

1> set it to the value of "RRC transaction identifier" in the entry for the UE CAPABILITY ENQUIRY message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> for the UE capabilities defined prior to REL-6:

2> retrieve its UTRA UE radio access capability information elements from variable UE_CAPABILITY_REQUESTED; and

2> include this in IE "UE radio access capability" and in IE "UE radio access capability extension", provided this IE is included in variable UE_CAPABILITY_REQUESTED;

2> retrieve its inter-RAT-specific UE radio access capability information elements from variable UE_CAPABILITY_REQUESTED; and

2> include this in IE "UE system specific capability".

1> for the UE capabilities defined in REL-6 or later:

2> include the information elements associated with the capabilities included in the variable UE_CAPABILITY_REQUESTED and the variable UE_CAPABILITY_TRANSFERRED.

If the UE CAPABILITY INFORMATION message is sent because one or more of the UE capabilities change compared to those stored in the variable UE_CAPABILITY_TRANSFERRED while in connected state, the UE shall:

1> for the UE capabilities defined prior to REL-6, include the information elements associated with the capabilities that have changed in the UE CAPABILITY INFORMATION message; and

1> for the UE capabilities defined in REL-6 or later, include the information elements associated with the capabilities included in the variable UE_CAPABILITY_TRANSFERRED.

If the UE is in CELL_PCH or URA_PCH state, it shall first perform a cell update procedure using the cause "uplink data transmission", see subclause 8.3.1.

The UE RRC shall submit the UE CAPABILITY INFORMATION message to the lower layers for transmission on the uplink DCCH using AM RLC. When the message has been delivered to lower layers for transmission the UE RRC shall start timer T304 and set counter V304 to 1.

8.1.6.3 Reception of a UE CAPABILITY INFORMATION message by the UTRAN

Upon reception of a UE CAPABILITY INFORMATION message, the UTRAN should transmit a UE CAPABILITY INFORMATION CONFIRM message on the downlink DCCH using UM or AM RLC. After the UE CAPABILITY INFORMATION CONFIRM message has been submitted to the lower layers for transmission, the procedure is complete.

8.1.6.4 Reception of the UE CAPABILITY INFORMATION CONFIRM message by the UE

Upon reception of a UE CAPABILITY INFORMATION CONFIRM message, the UE shall:

1> stop timer T304;

1> if there is an entry for the UE CAPABILITY ENQUIRY message is present in the table "Accepted transactions" in the variable TRANSACTIONS:

2> clear that entry.

1> update its variable UE_CAPABILITY_TRANSFERRED with the UE capabilities it has last transmitted to the UTRAN during the current RRC connection;

1> clear the variable UE_CAPABILITY_REQUESTED;

1> and the procedure ends.

8.1.6.5 Invalid UE CAPABILITY INFORMATION CONFIRM message

If the UE receives a UE CAPABILITY INFORMATION CONFIRM message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> stop timer T304;

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to UE CAPABILITY INFORMATION CONFIRM; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the UE CAPABILITY INFORMATION CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> restart timer T304 and continue with any ongoing procedures or processes as if the invalid UE CAPABILITY INFORMATION CONFIRM message has not been received.

8.1.6.6 T304 timeout

Upon expiry of timer T304, the UE shall check the value of V304 and:

1> if V304 is smaller than or equal to N304:

2> prior to retransmitting the UE CAPABILITY INFORMATION message:

3> if the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started":

4> include the same IEs as in the last unsuccessful attempt of this message, except for the IE "Integrity check info", which is set as specified in subclause 8.5.10.

3> else:

4> include the same IEs as in the last unsuccessful attempt of this message.

2> send the UE CAPABILITY INFORMATION message on signalling radio bearer RB2;

2> restart timer T304;

2> increment counter V304.

1> if V304 is greater than N304:

2> initiate the Cell update procedure as specified in subclause 8.3.1, using the cause "Radio link failure".

8.1.7 UE capability enquiry

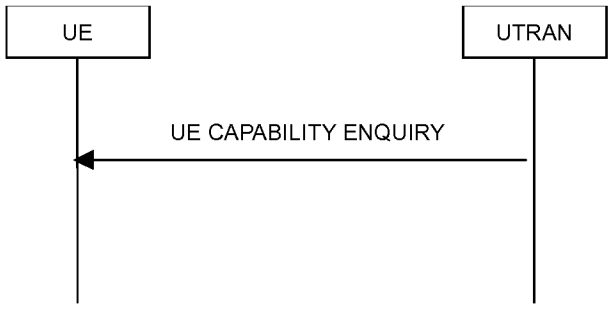


Figure 8.1.7-1: UE capability enquiry procedure, normal flow

8.1.7.1 General

The UE capability enquiry can be used to request the UE to transmit its capability information related to any radio access network that is supported by the UE.

8.1.7.2 Initiation

The UE capability enquiry procedure is initiated by the UTRAN by transmitting a UE CAPABILITY ENQUIRY message on the DCCH using UM or AM RLC.

8.1.7.3 Reception of a UE CAPABILITY ENQUIRY message by the UE

Upon reception of a UE CAPABILITY ENQUIRY message, the UE shall act on the received information elements as specified in subclause 8.6 and initiate the transmission of UE capability information procedure, which is specified in subclause 8.1.6.

8.1.7.4 Invalid UE CAPABILITY ENQUIRY message

If the UE receives a UE CAPABILITY ENQUIRY message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to UE CAPABILITY ENQUIRY; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the UE CAPABILITY ENQUIRY message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with the ongoing processes and procedures as if the invalid UE CAPABILITY ENQUIRY message has not been received.

8.1.8 Initial Direct transfer

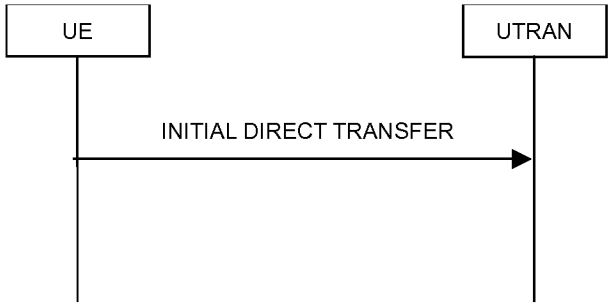


Figure 8.1.8-1: Initial Direct transfer in the uplink, normal flow

8.1.8.1 General

The initial direct transfer procedure is used in the uplink to establish a signalling connection. It is also used to carry an initial upper layer (NAS) message over the radio interface.

8.1.8.2 Initiation of Initial direct transfer procedure in the UE

In the UE, the initial direct transfer procedure shall be initiated, when the upper layers request establishment of a signalling connection. This request also includes a request for the transfer of a NAS message.

Upon initiation of the initial direct transfer procedure the UE shall:

1> set the variable ESTABLISHMENT_CAUSE to the cause for establishment indicated by upper layers.

Upon initiation of the initial direct transfer procedure when the UE is in idle mode, the UE shall:

1> perform an RRC connection establishment procedure, according to subclause 8.1.3;

NOTE: If an RRC connection establishment is ongoing, this procedure continues unchanged, i.e. it is not interrupted.

1> if the RRC connection establishment procedure was not successful:

2> if the establishment cause for the failed RRC connection establishment was set to "MBMS reception" and a different cause value is stored in the variable "ESTABLISHMENT_CAUSE":

3> UE-AS (RRC) initiates a new RRC connection establishment procedure, using the establishment cause as contained in the variable ESTABLISHMENT_CAUSE.

2> otherwise:

3> indicate failure to establish the signalling connection to upper layers and end the procedure.

1> when the RRC connection establishment procedure is completed successfully:

2> continue with the initial direct transfer procedure as below.

Upon initiation of the initial direct transfer procedure when the UE is in CELL_PCH or URA_PCH state, the UE shall:

1> perform a cell update procedure, according to subclause 8.3.1, using the cause "uplink data transmission";

1> when the cell update procedure completed successfully:

2> continue with the initial direct transfer procedure as below.

The UE shall, in the INITIAL DIRECT TRANSFER message:

1> set the IE "NAS message" as received from upper layers; and

1> set the IE "CN domain identity" as indicated by the upper layers; and

1> set the IE "Intra Domain NAS Node Selector" as follows:

2> derive the IE "Intra Domain NAS Node Selector" from TMSI/PMTSI, IMSI, or IMEI; and

2> provide the coding of the IE "Intra Domain NAS Node Selector" according to the following priorities:

1. derive the routing parameter for IDNNS from TMSI (CS domain) or PTMSI (PS domain) whenever a valid TMSI/PTMSI is available;

2. base the routing parameter for IDNNS on IMSI when no valid TMSI/PTMSI is available;

3. base the routing parameter for IDNNS on IMEI only if no (U)SIM is inserted in the UE.

1> if the UE, on the existing RRC connection, has received a dedicated RRC message containing the IE "Primary PLMN Identity" in the IE "CN Information Info":

2> set the IE "PLMN identity" in the INITIAL DIRECT TRANSFER message to the latest PLMN information received via dedicated RRC signalling. If NAS has indicated the PLMN towards which a signalling connection is requested, and this PLMN is not in agreement with the latest PLMN information received via dedicated RRC signalling, then the initial direct transfer procedure shall be aborted, and NAS shall be informed.

1> if the UE, on the existing RRC connection, has not received a dedicated RRC message containing the IE "CN Information Info" , and if the IE "Multiple PLMN List" was broadcast in the cell where the current RRC connection was established:

2> set the IE "PLMN identity" in the INITIAL DIRECT TRANSFER message to the PLMN chosen by higher layers [5, 25] amongst the PLMNs in the IE "Multiple PLMN List" broadcast in the cell where the RRC connection was established.

1> if the IE "Activated service list" within variable MBMS_ACTIVATED_SERVICES includes one or more MBMS services with the IE "Service type" set to "Multicast" and;

1> if the UE is in CELL_FACH state and the IE "CN domain identity" as indicated by the upper layers is set to "CS domain":

2> if the value of the variable ESTABLISHMENT_CAUSE is set to "Originating Conversational Call" or "Terminating Conversational Call" or "Emergency Call":

3> set the value of the IE "Call type" to "speech", "video" or "other" according to the call being initiated.

1> if the IE "CN domain identity" as indicated by the upper layers is set to "CS domain" and;

1> if the variable ESTABLISHED_SIGNALLING_CONNECTIONS does not include the CN domain identity 'PS domain':

2> include the IE "MBMS joined information";

2> include the IE "P-TMSI" within the IE "MBMS joined information" if a valid PTMSI is available.

1> if the variable ESTABLISHMENT_CAUSE_ is initialised:

2> set the IE "Establishment cause" to the value of the variable ESTABLISHMENT_CAUSE;

2> clear the variable ESTABLISHMENT_CAUSE.

1> calculate the START according to subclause 8.5.9 for the CN domain as set in the IE "CN Domain Identity"; and

1> include the calculated START value for that CN domain in the IE "START".

The UE shall:

1> transmit the INITIAL DIRECT TRANSFER message on the uplink DCCH using AM RLC on signalling radio bearer RB3;

1> when the INITIAL DIRECT TRANSFER message has been submitted to lower layers for transmission:

2> confirm the establishment of a signalling connection to upper layers; and

2> add the signalling connection with the identity indicated by the IE "CN domain identity" in the variable ESTABLISHED_SIGNALLING_CONNECTIONS.

1> when the successful delivery of the INITIAL DIRECT TRANSFER message has been confirmed by RLC:

2> the procedure ends.

When not stated otherwise elsewhere, the UE may also initiate the initial direct transfer procedure when another procedure is ongoing, and in that case the state of the latter procedure shall not be affected.

A new signalling connection request may be received from upper layers during transition to idle mode. In those cases, from the time of the indication of release to upper layers until the UE has entered idle mode, any such upper layer request to establish a new signalling connection shall be queued. This request shall be processed after the UE has entered idle mode.

8.1.8.2a RLC re-establishment or inter-RAT change

If a re-establishment of the transmitting side of the RLC entity on signalling radio bearer RB3 occurs before the successful delivery of the INITIAL DIRECT TRANSFER message has been confirmed by RLC, the UE shall:

1> retransmit the INITIAL DIRECT TRANSFER message on the uplink DCCH using AM RLC on signalling radio bearer RB3.

If an Inter-RAT handover from UTRAN procedure occurs before the successful delivery of the INITIAL DIRECT TRANSFER message has been confirmed by RLC, for messages with the IE "CN domain identity" set to "CS domain", the UE shall:

1> retransmit the NAS message as specified in subclause 8.3.7.4.

8.1.8.2ab Inter-RAT handover from UTRAN to GERAN *Iu mode*

If an Inter-RAT handover from UTRAN to GERAN *Iu mode* occurs before the successful delivery of the INITIAL DIRECT TRANSFER message has been confirmed by RLC, for messages for all CN domains, the UE shall:

1> retransmit the NAS message as specified in subclause 8.3.7.4.

8.1.8.2b Abortion of signalling connection establishment

If the UE receives a request from upper layers to release (abort) the signalling connection for the CN domain for which the initial direct transfer procedure is ongoing, the UE shall:

1> if the UE has not yet entered UTRA RRC connected mode:

2> abort the RRC connection establishment procedure as specified in subclause 8.1.3;

the procedure ends.

8.1.8.3 Reception of INITIAL DIRECT TRANSFER message by the UTRAN

On reception of the INITIAL DIRECT TRANSFER message the NAS message should be routed using the IE "CN Domain Identity". UTRAN may also use the IE "Intra Domain NAS Node Selector" and the IE "PLMN identity" for routing among the CN nodes for the addressed CN domain.

If no signalling connection exists towards the chosen node, then a signalling connection is established.

When the UTRAN receives an INITIAL DIRECT TRANSFER message, it shall not affect the state of any other ongoing RRC procedures, when not stated otherwise elsewhere.

The UTRAN should:

1> set the START value for the CN domain indicated in the IE "CN domain identity" to the value of the IE "START".

8.1.9 Downlink Direct transfer



Figure 8.1.9-1: Downlink Direct transfer, normal flow

8.1.9.1 General

The downlink direct transfer procedure is used in the downlink direction to carry upper layer (NAS) messages over the radio interface.

8.1.9.2 Initiation of downlink direct transfer procedure in the UTRAN

In the UTRAN, the direct transfer procedure is initiated when the upper layers request the transfer of a NAS message after the initial signalling connection is established. The UTRAN may also initiate the downlink direct transfer procedure when another RRC procedure is ongoing, and in that case the state of the latter procedure shall not be affected. The UTRAN shall transmit the DOWNLINK DIRECT TRANSFER message on the downlink DCCH using AM RLC on signalling radio bearer RB3 or signalling radio bearer RB4. The UTRAN should:

1> if upper layers indicate "low priority" for this message:

2> select signalling radio bearer RB4, if available. Specifically, for a GSM-MAP based CN, signalling radio bearer RB4 should, if available, be selected when "SAPI 3" is requested;

2> select signalling radio bearer RB3 when signalling radio bearer RB4 is not available.

1> if upper layers indicate "high priority" for this message:

2> select signalling radio bearer RB3. Specifically, for a GSM-MAP based CN, signalling radio bearer RB3 should be selected when "SAPI 0" is requested.

The UTRAN sets the IE "CN Domain Identity" to indicate, which CN domain the NAS message is originated from.

8.1.9.3 Reception of a DOWNLINK DIRECT TRANSFER message by the UE

Upon reception of the DOWNLINK DIRECT TRANSFER message, the UE RRC shall, using the IE "CN Domain Identity", route the contents of the IE "NAS message" and the value of the IE"CN Domain Identity" to upper layers.

The UE shall clear the entry for the DOWNLINK DIRECT TRANSFER message in the table "Accepted transactions" in the variable TRANSACTIONS.

When the UE receives a DOWNLINK DIRECT TRANSFER message, it shall not affect the state of any other ongoing RRC procedures when not stated otherwise elsewhere.

8.1.9.3a No signalling connection exists

If the UE receives a DOWNLINK DIRECT TRANSFER message, and the signalling connection identified with the IE "CN domain identity" does not exist according to the variable ESTABLISHED_SIGNALLING_CONNECTIONS, the UE shall:

1> ignore the content of the DOWNLINK DIRECT TRANSFER message;

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to DOWNLINK DIRECT TRANSFER; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the DOWNLINK DIRECT TRANSFER message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with the IE "Protocol error cause" set to "Message not compatible with receiver state".

When the RRC STATUS message has been submitted to lower layers for transmission, the UE shall:

1> continue with any ongoing processes and procedures as if the DOWNLINK DIRECT TRANSFER message has not been received.

8.1.9.4 Invalid DOWNLINK DIRECT TRANSFER message

If the UE receives a DOWNLINK DIRECT TRANSFER message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to DOWNLINK DIRECT TRANSFER; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the DOWNLINK DIRECT TRANSFER message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

When the RRC STATUS message has been submitted to lower layers for transmission, the UE shall:

1> continue with any ongoing processes and procedures as if the invalid DOWNLINK DIRECT TRANSFER message has not been received.

8.1.10 Uplink Direct transfer



Figure 8.1.10-1: Uplink Direct transfer, normal flow

8.1.10.1 General

The uplink direct transfer procedure is used in the uplink direction to carry all subsequent upper layer (NAS) messages over the radio interface belonging to a signalling connection.

8.1.10.2 Initiation of uplink direct transfer procedure in the UE

In the UE, the uplink direct transfer procedure shall be initiated when the upper layers request a transfer of a NAS message on an existing signalling connection. When not stated otherwise elsewhere, the UE may initiate the uplink direct transfer procedure when another procedure is ongoing, and in that case the state of the latter procedure shall not be affected.

Upon initiation of the uplink direct transfer procedure in CELL_PCH or URA_PCH state, the UE shall:

1> perform a cell update procedure, according to subclause 8.3.1, using the cause "uplink data transmission";

1> when the cell update procedure has been completed successfully:

2> continue with the uplink direct transfer procedure as below.

The UE shall transmit the UPLINK DIRECT TRANSFER message on the uplink DCCH using AM RLC on signalling radio bearer RB3 or signalling radio bearer RB4. The UE shall:

1> if upper layers indicate "low priority" for this message:

2> select signalling radio bearer RB4, if available. Specifically, for a GSM-MAP based CN, signalling radio bearer RB4 shall, if available, be selected when "SAPI 3" is requested;

2> select signalling radio bearer RB3 when signalling radio bearer RB4 is not available;

1> if upper layers indicate "high priority" for this message:

2> select signalling radio bearer RB3. Specifically, for a GSM-MAP based CN, signalling radio bearer RB3 shall be selected when "SAPI 0" is requested.

The UE shall set the IE "NAS message" as received from upper layers and set the IE "CN domain identity" as indicated by the upper layers.

When the successful delivery of the UPLINK DIRECT TRANSFER message has been confirmed by RLC the procedure ends.

8.1.10.2a RLC re-establishment or inter-RAT change

If signalling radio bearer RB n (where n equals to 3 or 4) was used when transmitting the UPLINK DIRECT TRANSFER message and a re-establishment of the transmitting side of the RLC entity on the same signalling radio bearer RB n occurs before the successful delivery of the UPLINK DIRECT TRANSFER message has been confirmed by RLC, the UE shall:

1> retransmit the UPLINK DIRECT TRANSFER message on the uplink DCCH using AM RLC on signalling radio bearer RB n.

If an Inter-RAT handover from UTRAN procedure occurs before the successful delivery of the UPLINK DIRECT TRANSFER message has been confirmed by RLC, for messages with the IE "CN domain identity" set to "CS domain", the UE shall:

1> retransmit the NAS message as specified in subclause 8.3.7.4.

8.1.10.2b Inter-RAT handover from UTRAN to GERAN *Iu mode*

If an Inter-RAT handover from UTRAN to GERAN *Iu mode* occurs before the successful delivery of the UPLINK DIRECT TRANSFER message has been confirmed by RLC, for messages for all CN domains, the UE shall:

1> retransmit the NAS message as specified in subclause 8.3.7.4.

8.1.10.3 Reception of UPLINK DIRECT TRANSFER message by the UTRAN

On reception of the UPLINK DIRECT TRANSFER message the NAS message should be routed using the value indicated in the IE "CN domain identity".

When the UTRAN receives an UPLINK DIRECT TRANSFER message, it shall not affect the state of any other ongoing RRC procedures, when not stated otherwise elsewhere.

8.1.11 UE dedicated paging

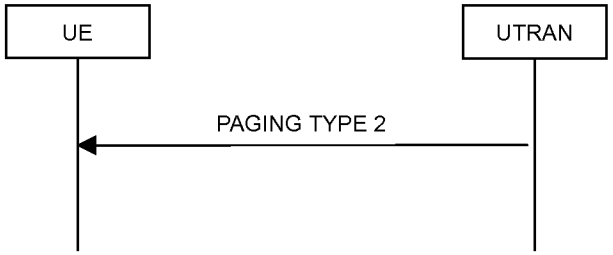


Figure 8.1.11-1: UE dedicated paging

8.1.11.1 General

This procedure is used to transmit dedicated paging information to one UE in connected mode in CELL_DCH or CELL_FACH state. Upper layers in the network may request initiation of paging.

8.1.11.2 Initiation

For a UE in CELL_DCH or CELL_FACH state, UTRAN initiates the procedure by transmitting a PAGING TYPE 2 message on the DCCH using AM RLC. When not stated otherwise elsewhere, the UTRAN may initiate the UE

dedicated paging procedure also when another RRC procedure is ongoing, and in that case the state of the latter procedure shall not be affected.

UTRAN should set the IE "Paging cause" to the cause for paging received from upper layers. If no cause for paging is received from upper layers, UTRAN should set the value "Terminating – cause unknown".

8.1.11.3 Reception of a PAGING TYPE 2 message by the UE

When the UE receives a PAGING TYPE 2 message, it shall not affect the state of any other ongoing RRC procedures, when not stated otherwise elsewhere.

The UE shall:

1> indicate reception of paging; and

1> forward the IE "Paging cause" and the IE "Paging record type identifier" to upper layers.

The UE shall:

1> clear the entry for the PAGING TYPE 2 message in the table "Accepted transactions" in the variable TRANSACTIONS.

8.1.11.4 Invalid PAGING TYPE 2 message

If the UE receives a PAGING TYPE 2 message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to PAGING TYPE 2; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the PAGING TYPE 2 message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid PAGING TYPE 2 message has not been received.

8.1.12 Security mode control

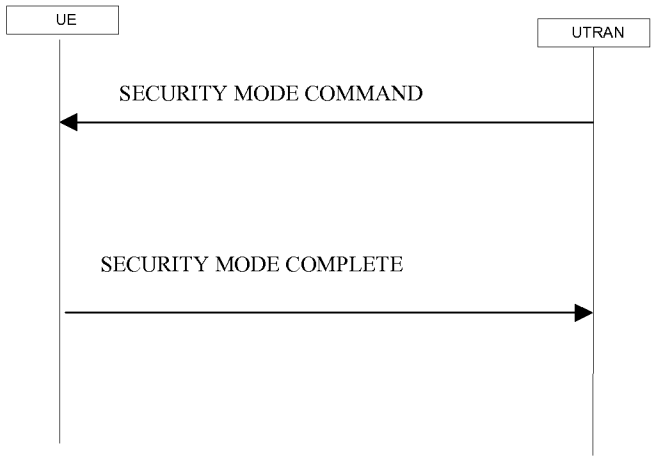


Figure 8.1.12-1: Security mode control procedure

8.1.12.1 General

The purpose of this procedure is to trigger the start of ciphering or to command the restart of the ciphering with a new ciphering configuration, for the radio bearers of one CN domain and for all signalling radio bearers.

It is also used to start integrity protection or to modify the integrity protection configuration for all signalling radio bearers.

8.1.12.2 Initiation

8.1.12.2.1 Ciphering configuration change

To start/restart ciphering, UTRAN sends a SECURITY MODE COMMAND message on the downlink DCCH in AM RLC using the most recent ciphering configuration. If no such ciphering configuration exists then the SECURITY MODE COMMAND is not ciphered. UTRAN should not transmit a SECURITY MODE COMMAND to signal a change in ciphering algorithm.

When configuring ciphering, UTRAN should ensure that the UE needs to store at most two different ciphering configurations (keyset and algorithm) per CN domain, in total over all radio bearers at any given time. For signalling radio bearers the total number of ciphering configurations that need to be stored is at most three. Prior to sending the SECURITY MODE COMMAND, for the CN domain indicated in the IE "CN domain identity" in the SECURITY MODE COMMAND, UTRAN should:

1> suspend all radio bearers using RLC-AM or RLC-UM and all signalling radio bearers using RLC-AM or RLC-UM, except the signalling radio bearer used to send the SECURITY MODE COMMAND message on the downlink DCCH in RLC-AM, and except signalling radio bearer RB0, according to the following:

2> not transmit RLC PDUs with sequence number greater than or equal to the number in IE "Radio bearer downlink ciphering activation time info" on all suspended radio bearers and all suspended signalling radio bearers.

1> set, for the signalling radio bearer used to send the SECURITY MODE COMMAND, the "RLC sequence number" in IE "Radio bearer downlink ciphering activation time info" in the IE "Ciphering mode info", at which time the new ciphering configuration shall be applied;

NOTE: The UTRAN should avoid the situation that the UE is aware of more than one pending downlink ciphering activation times for SRB2. In such a case the UE behaviour is unspecified.

1> if a transparent mode radio bearer for this CN domain exists:

2> include the IE "Ciphering activation time for DPCH" in IE "Ciphering mode info", at which time the new ciphering configuration shall be applied and specify a CFN value for this IE that is a multiple of 8 frames (CFN mod 8 = 0).

NOTE: UTRAN should chose the value for the IE "Ciphering activation time for DPCH" such that the new ciphering configuration will occur after all the pending ciphering activation times have been reached for the transparent mode radio bearers of this CN domain.

1> consider a ciphering activation time in downlink to be pending until the RLC sequence number of the next RLC PDU to be transmitted for the first time is equal to or larger than the selected activation time;

1> set, for each suspended radio bearer and signalling radio bearer that has no pending ciphering activation time set by a previous security mode control procedure, an "RLC sequence number" in IE "Radio bearer downlink ciphering activation time info" in the IE "Ciphering mode info", at which time the new ciphering configuration shall be applied;

1> set, for each suspended radio bearer and signalling radio bearer that has a pending ciphering activation time set by a previous security mode control procedure, the "RLC sequence number" in IE "Radio bearer downlink ciphering activation time info" in the IE "Ciphering mode info" to the value used in the previous security mode control procedure, at which time the latest ciphering configuration shall be applied;

1> if Integrity protection has already been started for the UE:

2> if for the CN domain indicated in the IE "CN domain identity" in the SECURITY MODE COMMAND, a new security key set (new ciphering and integrity protection keys) has been received from upper layers since the transmission of the last SECURITY MODE COMMAND message for that CN domain:

3> include the IE "Integrity protection mode info" in the SECURITY MODE COMMAND.

2> if the IE "CN domain identity" in the SECURITY MODE COMMAND is different from the IE "CN domain identity" that was sent in the previous SECURITY MODE COMMAND message to the UE:

3> include the IE "Integrity protection mode info" in the SECURITY MODE COMMAND.

1> transmit the SECURITY MODE COMMAND message on RB2.

8.1.12.2.2 Integrity protection configuration change

To start or modify integrity protection, UTRAN sends a SECURITY MODE COMMAND message on the downlink DCCH in AM RLC using the new integrity protection configuration. UTRAN should not "modify" integrity protection for a CN domain to which a SECURITY MODE COMMAND configuring integrity protection has been previously sent for an ongoing signalling connection unless the application of new integrity keys needs to be signalled to the UE. UTRAN should not transmit a SECURITY MODE COMMAND to signal a change in integrity protection algorithm.

In case of Inter-RAT handover to UTRAN, after the reception of the HANDOVER TO UTRAN COMPLETE message and a key set is received, UTRAN should transmit a SECURITY MODE COMMAND message containing IE "Integrity protection mode info" in order to initiate integrity protection with the integrity key of the key set used in the other RAT (see subclause 8.3.6.3).

When configuring Integrity protection, UTRAN should:

1> ensure that the UE needs to store at most three different Integrity protection configurations (keysets) at any given time. This includes the total number of Integrity protection configurations for all signalling radio bearers;

1> if Ciphering has already been started for the UE for the CN domain to be set in the IE "CN domain identity" in the SECURITY MODE COMMAND:

2> if for the CN domain indicated in the IE "CN domain identity" in the SECURITY MODE COMMAND, a new security key set (new ciphering and integrity protection keys) has been received from upper layers since the transmission of the last SECURITY MODE COMMAND message for that CN domain:

3> include the IE "Ciphering mode info" in the SECURITY MODE COMMAND.

1> if Ciphering has already been configured for the UE for a CN domain different from the CN domain to be set in the IE "CN domain identity" in the SECURITY MODE COMMAND:

2> include the IE "Ciphering mode info" in the SECURITY MODE COMMAND.

Prior to sending the SECURITY MODE COMMAND, for the CN domain indicated in the IE "CN domain identity" in the SECURITY MODE COMMAND, UTRAN should:

1> if this is the first SECURITY MODE COMMAND sent for this RRC connection:

2> if new keys have been received:

3> initialise the hyper frame numbers as follows:

4> set all bits of the hyper frame numbers of the COUNT-I values for all signalling radio bearers to zero.

2> else (if new keys have not been received):

3> use the value "START" in the most recently received IE "START list" or IE "START" that belongs to the CN domain indicated in the IE "CN domain identity" to initialise all hyper frame numbers of COUNT-I for all the signalling radio bearers by:

4> setting the 20 most significant bits of the hyper frame numbers for all signalling radio bearers to the value "START" in the most recently received IE "START list" or IE "START" for that CN domain;

4> setting the remaining bits of the hyper frame numbers equal to zero.

1> else (this is not the first SECURITY MODE COMMAND sent for this RRC connection):

2> if new keys have been received:

3> initialise the hyper frame number for COUNT-I for RB2 as follows:

4> set all bits of the HFN of the COUNT-I value for RB2 to zero.

2> if new keys have not been received:

3> initialise the hyper frame number for COUNT-I for RB2 as follows:

4> set the 20 most significant bits of the HFN of the downlink and uplink COUNT-I to the value of the most recently received IE "START" or IE "START list" for the CN domain to be set in the IE "CN Domain Identity";

4> set the remaining bits of the HFN of the downlink and uplink COUNT-I to zero.

1> if the IE "Integrity protection mode command" has the value "Start":

2> prohibit the transmission of signalling messages with any RRC SN on all signalling radio bearers, except RB2;

2> set the FRESH value in the IE "Integrity protection initialisation number", included in the IE "Integrity protection mode info".

1> if the IE "Integrity protection mode command" has the value "Modify":

2> for each signalling radio bearer RBn, except RB2:

3> prohibit the transmission of signalling messages with RRC SN greater or equal to the RRC sequence number in entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info", included in the IE "Integrity protection mode info".

2> consider an integrity protection activation time in downlink to be pending until the selected activation time is equal to the next RRC sequence number to be used, which means that the last RRC message using the old integrity protection configuration has been submitted to lower layers;

2> set, for each signalling radio bearer RBn, that has no pending integrity protection activation time set by a previous security mode control procedure, an RRC sequence number in entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info", included in the IE "Integrity protection mode info", at which time the new integrity protection configuration shall be applied;

2> set, for each signalling radio bearer RBn, that has a pending integrity protection activation time set by a previous security mode control procedure, the RRC sequence number in entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info", included in the IE "Integrity protection mode info", to the value used in the previous security mode control procedure, at which time the latest integrity protection configuration shall be applied.

1> transmit the SECURITY MODE COMMAND message on RB2 using the new integrity protection configuration.

NOTE1: In the case of re-initialisation of Integrity Protection at HFN wrap around, the network should take into account the UE actions as described in subclauses 8.5.10.1 and 8.5.10.2.

NOTE2: After the SECURITY MODE COMMAND message is transmitted, the network should ensure that it can revert back to old integrity protection until it receives the SECURITY MODE COMPLETE message, to take into account the UE actions when security mode control procedure is unsuccessful. The network should also be aware that the UE may revert to old configuration when waiting for the acknowledgement from L2 for the SECURITY MODE COMPLETE message, and act accordingly.

NOTE3: In the case of the first SECURITY MODE COMMAND message following an SRNS relocation, the network should set the IE "Downlink integrity protection activation info" for SRB3 and SRB4 to at least "the current downlink RRC sequence number +2". As a consequence, at least the first message sent on SRB3 and SRB4 by the Target RNC will use the old integrity protection configuration.

8.1.12.3 Reception of SECURITY MODE COMMAND message by the UE

Upon reception of the SECURITY MODE COMMAND message, the UE shall:

1> if neither IE "Ciphering mode info" nor IE "Integrity protection mode info" is included in the SECURITY MODE COMMAND:

2> set the variable INVALID_CONFIGURATION to TRUE.

1> if the IE "Security capability" is the same as indicated by variable UE_CAPABILITY_TRANSFERRED, and the IE "GSM security capability" (if included in the SECURITY MODE COMMAND) is the same as indicated by the variable UE_CAPABILITY_TRANSFERRED:

2> set the variable LATEST_CONFIGURED_CN_DOMAIN equal to the IE "CN domain identity";

2> set the IE "Status" in the variable SECURITY_MODIFICATION for the CN domain indicated in the IE "CN domain identity" in the received SECURITY MODE COMMAND to the value "Affected";

2> set the IE "Status" in the variable SECURITY_MODIFICATION for all CN domains other than the CN domain indicated in the IE "CN domain identity" to "Not affected";

2> set the IE "RRC transaction identifier" in the SECURITY MODE COMPLETE message to the value of "RRC transaction identifier" in the entry for the SECURITY MODE COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> if the SECURITY MODE COMMAND message contained the IE "Ciphering mode info":

3> perform the actions as specified in subclause 8.6.3.4.

2> if the SECURITY MODE COMMAND message contained the IE "Integrity protection mode info":

3> perform the actions as specified in subclause 8.6.3.5.

1> prior to sending the SECURITY MODE COMPLETE message:

2> use the old ciphering configuration for this message;

2> if the SECURITY MODE COMMAND message contained the IE "Ciphering mode info":

3> include and set the IE "Radio bearer uplink ciphering activation time info" to the value of the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

3> for each radio bearer and signalling radio bearer that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN:

4> start or continue incrementing the COUNT-C values for all RLC-AM and RLC-UM signalling radio bearers at the ciphering activation time as specified in the procedure;

4> start or continue incrementing the COUNT-C values common for all transparent mode radio bearers for this CN domain at the ciphering activation time as specified in the procedure;

4> continue incrementing the COUNT-C values for all RLC-AM and RLC-UM radio bearers.

3> if no new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN:

4> for ciphering on signalling radio bearers using RLC-AM and RLC-UM in the downlink, at the RLC sequence number indicated in IE "Radio bearer downlink ciphering activation time info" in the IE "Ciphering mode info" included in the SECURITY MODE COMMAND, for each signalling radio bearer:

5> set the 20 most significant bits of the HFN component of the downlink COUNT-C to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

5> set the remaining bits of the hyper frame numbers to zero.

3> if new keys have been received:

4> perform the actions in subclause 8.1.12.3.1.

2> if the SECURITY MODE COMMAND message contained the IE "Integrity protection mode info":

3> include and set the IE "Uplink integrity protection activation info" to the value of the variable INTEGRITY_PROTECTION_ACTIVATION_INFO for each signalling radio bearer;

3> if no new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN, for RB2:

4> in the downlink, for the received SECURITY MODE COMMAND message:

5> set the 20 most significant bits of the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

5> set the remaining bits of the IE "Downlink RRC HFN" to zero.

4> in the uplink, for the transmitted response message, SECURITY MODE COMPLETE:

5> set the 20 most significant bits of the IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

5> set the remaining bits of the IE "Uplink RRC HFN" to zero.

3> if no new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain indicated in the variable LATEST_CONFIGURED_CN_DOMAIN, for each signalling radio bearer other than RB2:

4> if the IE "Integrity protection mode command" has the value "start":

5> in the downlink, for this signalling radio bearer:

6> set the 20 most significant bits of IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to the value START transmitted in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

6> set the remaining bits of the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to zero;

4> else:

5> in the downlink, for the first message for which the RRC sequence number in a received RRC message for this signalling radio bearer is equal to or greater than the activation time as indicated in IE "Downlink integrity protection activation info" as included in the IE "Integrity protection mode info", for this signalling radio bearer:

6> set the 20 most significant bits of the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

6> set the remaining bits of the IE "Downlink RRC HFN" to zero.

3> if new keys have been received:

4> perform the actions in subclause 8.1.12.3.1.

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RB2 from and including the transmitted SECURITY MODE COMPLETE message;

2> transmit the SECURITY MODE COMPLETE message on RB2.

NOTE: After submission of the SECURITY MODE COMPLETE message to the lower layers, the UE should accept messages received in the DL which require the new security configuration to be applied on them. If the received message is successfully integrity checked, the UE should not discard the message due to lack of completion of the security procedure, caused by the successful delivery of the SECURITY MODE COMPLETE not having yet been confirmed by lower layers, unless the security configuration to be applied has been aborted and the message received requires integrity protection [5].

1> when the successful delivery of the SECURITY MODE COMPLETE message has been confirmed by RLC:

2> if the SECURITY MODE COMMAND message contained the IE "Ciphering mode info":

3> if no new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN:

4> for ciphering on signalling radio bearers using RLC-AM and RLC-UM in the uplink, at the RLC sequence number indicated in IE "Radio bearer uplink ciphering activation time info" included in the SECURITY MODE COMPLETE, for each signalling radio bearer:

5> set the 20 most significant bits of the HFN component of the uplink COUNT-C to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

5> set the remaining bits of the hyper frame numbers to zero.

3> if new keys have been received:

4> perform the actions in subclause 8.1.12.3.1.

3> resume data transmission on any suspended radio bearer and signalling radio bearer mapped on RLC-AM or RLC-UM;

3> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

3> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

2> if the SECURITY MODE COMMAND message contained the IE "Integrity protection mode info":

3> if no new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain indicated in the variable LATEST_CONFIGURED_CN_DOMAIN, for each signalling radio bearer other than RB2:

4> if the IE "Integrity protection mode command" has the value "start":

5> in the uplink, for this signalling radio bearer:

6> set the 20 most significant bits of IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to the value START transmitted in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

6> set the remaining bits of the IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to zero.

4> else:

5> in the uplink, for the first transmitted RRC message for this signalling radio bearer with RRC sequence number equal to the activation time as indicated in IE "Uplink integrity protection activation info" included in the transmitted SECURITY MODE COMPLETE, for this signalling radio bearer:

6> set the 20 most significant bits of the IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to the value "START" in the most recently transmitted IE "START list" or IE "START", at the reception of the SECURITY MODE COMMAND, that belongs to the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

6> set the remaining bits of the IE "Uplink RRC HFN" to zero.

3> if new keys have been received:

4> perform the actions in subclause 8.1.12.3.1.

3> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

3> set "Uplink RRC Message sequence number" for signalling radio bearer RB0 in the variable INTEGRITY_PROTECTION_INFO to a value such that next RRC message to be sent on uplink RB0 will use the new integrity protection configuration and the "RRC Message sequence number" in the IE "Integrity check info" in the next RRC message will equal to the activation time for RB0 as indicated in IE "Uplink integrity protection activation info" included in the transmitted SECURITY MODE COMPLETE;

3> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

3> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> clear the variable SECURITY_MODIFICATION;

2> notify upper layers upon change of the security configuration;

2> and the procedure ends.

1> if the IE "Security capability" is not the same as indicated by the variable UE_CAPABILITY_TRANSFERRED, or the IE "GSM security capability" (if included in the SECURITY MODE COMMAND) is not the same as indicated by the variable UE_CAPABILITY_TRANSFERRED, or if the IE "GSM security capability" is not included in the SECURITY MODE COMMAND and is included in the variable UE_CAPABILITY_TRANSFERRED:

2> release all its radio resources;

2> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> clear the variable SECURITY_MODIFICATION;

2> enter idle mode;

2> perform actions when entering idle mode as specified in subclause 8.5.2;

2> and the procedure ends.

8.1.12.3.1 New ciphering and integrity protection keys

NOTE: The actions in this subclause are to be performed only if the new keys were received for an ongoing RRC connection while in UTRA.

If a new security key set (new ciphering and integrity protection keys) has been received from the upper layers [40] for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN, the UE shall:

1> set the START value for the CN domain indicated in the variable LATEST_CONFIGURED_CN_DOMAIN to zero;

1> if the SECURITY MODE COMMAND message contained the IE "Integrity protection mode info":

2> for integrity protection in the downlink on each signalling radio bearer except RB2:

3> if IE "Integrity protection mode command" has the value "start":

4> for the first received message on this signalling radio bearer:

5> start using the new integrity key;

5> for this signalling radio bearer:

6> set the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to zero.

3> else:

4> for the first message for which the RRC sequence number in a received RRC message for this signalling radio bearer is equal to or greater than the activation time as indicated in IE "Downlink integrity protection activation info" as included in the IE "Integrity protection mode info":

5> start using the new integrity key;

5> for this signalling radio bearer:

6> set the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to zero.

2> for integrity protection in the uplink on each signalling radio bearer except RB2:

3> for the first message for which the RRC sequence number in a to be transmitted RRC message for this signalling radio bearer is equal to the activation time as indicated in IE "Uplink integrity protection activation info" included in the transmitted SECURITY MODE COMPLETE message:

4> start using the new integrity key;

4> for this signalling radio bearer:

5> set the IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to zero.

2> for integrity protection in the downlink on signalling radio bearer RB2:

3> at the received SECURITY MODECOMMAND:

4> start using the new integrity key;

4> set the IE "Downlink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the downlink COUNT-I to zero.

2> for integrity protection in the uplink on signalling radio bearer RB2 :

3> at the transmitted SECURITY MODE COMPLETE:

4> start using the new integrity key;

4> set the IE "Uplink RRC HFN" in the variable INTEGRITY_PROTECTION_INFO of the uplink COUNT-I to zero.

1> if the SECURITY MODE COMMAND message contained the IE "Ciphering mode info":

2> for each signalling radio bearer and for each radio bearer for the CN domain indicated in the variable LATEST_CONFIGURED_CN_DOMAIN:

3> if the IE "Status" in the variable CIPHERING_STATUS has the value "Started" for this CN domain, then for ciphering on radio bearers using RLC-TM:

4> at the CFN as indicated in the IE "Ciphering activation time for DPCH" in the IE "Ciphering mode info":

5> start using the new key in uplink and downlink;

5> set the HFN component of the COUNT-C to zero.

3> if the IE "Status" in the variable CIPHERING_STATUS has the value "Started" for this CN domain, then for ciphering on radio bearers and signalling radio bearers using RLC-AM and RLC-UM:

4> in the downlink, at the RLC sequence number indicated in IE "Radio bearer downlink ciphering activation time info" in the IE "Ciphering mode info":

5> start using the new key;

5> set the HFN component of the downlink COUNT-C to zero.

4> in the uplink, at the RLC sequence number indicated in IE "Radio bearer uplink ciphering activation time info":

5> start using the new key;

5> set the HFN component of the uplink COUNT-C to zero.

1> consider the value of the latest transmitted START value to be zero.

8.1.12.4 Void

8.1.12.4a Incompatible simultaneous security reconfiguration

If the variable INCOMPATIBLE_SECURITY_RECONFIGURATION becomes set to TRUE of the received SECURITY MODE COMMAND message, the UE shall:

1> transmit a SECURITY MODE FAILURE message on the uplink DCCH using AM RLC, using the ciphering and integrity protection configurations prior to the reception of this SECURITY MODE COMMAND;

1> set the IE "RRC transaction identifier" in the SECURITY MODE FAILURE message to the value of "RRC transaction identifier" in the entry for the SECURITY MODE COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "incompatible simultaneous reconfiguration";

1> when the response message has been submitted to lower layers for transmission:

2> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to FALSE;

2> continue with any ongoing processes and procedures as if the invalid SECURITY MODE COMMAND message has not been received;

2> only accept a message on SRB 2, with a COUNT-I that:

3> is higher than the COUNT-I used prior to receiving the SECURITY MODE COMMAND message incremented by one; and

3> does not take into account the HFN from the received SECURITY MODE COMMAND message.

2> and the procedure ends.

8.1.12.4b Cell update procedure during security reconfiguration

If:

- a cell update procedure according to subclause 8.3.1 is initiated; and
- the received SECURITY MODE COMMAND message causes either,
  - the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE; and/or
  - the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to be set to TRUE:

the UE shall:

1> abort the ongoing integrity and/or ciphering reconfiguration;

1> resume data transmission on any suspended radio bearer and signalling radio bearer mapped on RLC-AM or RLC-UM;

1> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

1> when the CELL UPDATE message has been submitted to lower layers for transmission:

2> if the SECURITY MODE COMMAND message contained the IE "Ciphering mode info":

3> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

3> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> if the SECURITY MODE COMMAND message contained the IE "Integrity protection mode info":

3> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

3> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> continue with any ongoing processes and procedures as if the SECURITY MODE COMMAND message has not been received;

2> only accept a message on SRB 2, with a COUNT-I that:

3> is higher than the COUNT-I used prior to receiving the SECURITY MODE COMMAND message incremented by one; and

3> does not take into account the HFN from the received SECURITY MODE COMMAND message.

2> if the UE has already submitted the SECURITY MODE COMPLETE message, use a COUNT-I value for transmission of the next message on SRB2 as stated below:

3> take the COUNT-I used prior to the transmission of the SECURITY MODE COMPLETE message;

3> increment that COUNT-I with 2;

3> apply that COUNT-I on the next message to transmit.

2> clear the variable SECURITY_MODIFICATION;

2> the procedure ends.

8.1.12.4c Invalid configuration

If the variable INVALID_CONFIGURATION is set to TRUE due to the received SECURITY MODE COMMAND message, the UE shall:

1> transmit a SECURITY MODE FAILURE message on the DCCH using AM RLC after setting the IEs as specified below:

2> set the IE "RRC transaction identifier" in the SECURITY MODE FAILURE message to the value of "RRC transaction identifier" in the entry for the SECURITY MODE COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to the cause value "invalid configuration".

1> when the response message has been submitted to lower layers for transmission:

2> set the variable INVALID_CONFIGURATION to FALSE;

2> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE;

2> continue with any ongoing processes and procedures as if the invalid SECURITY MODE COMMAND message has not been received;

2> only accept a message on SRB 2, with a COUNT-I that:

3> is higher than the COUNT-I used prior to receiving the SECURITY MODE COMMAND message incremented by one; and

3> does not take into account the HFN from the received SECURITY MODE COMMAND message.

2> and the procedure ends.

8.1.12.5 Reception of SECURITY MODE COMPLETE message by the UTRAN

UTRAN should apply integrity protection on the received SECURITY MODE COMPLETE message and all subsequent messages with the new integrity protection configuration, if changed. When UTRAN has received a SECURITY MODE COMPLETE message and the integrity protection has successfully been applied, UTRAN should:

1> if the IE "Ciphering mode info" was included in the SECURITY MODE COMMAND message:

2> if new keys were received for the CN domain set in the IE "CN Domain Identity" in the SECURITY MODE COMMAND:

3> set, at the downlink and uplink activation time, all the bits of the hyper frame numbers of the downlink and uplink COUNT-C values respectively for all radio bearers for this CN domain and all signalling radio bearers to zero.

2> else (if new keys were not received):

3> use, at the downlink and uplink activation time, the value "START" in the most recently received IE "START list" or IE "START" that belongs to the CN domain as indicated in the IE "CN domain identity" to initialise all hyper frame numbers of the downlink and uplink COUNT-C values respectively for all the signalling radio bearers as follows:

4> set the 20 most significant bits of the hyper frame numbers of the COUNT-C for all signalling radio bearers to the value "START" in the most recently received IE "START list" or IE "START" for that CN domain;

4> set the remaining bits of the hyper frame numbers equal to zero.

1> if the IE "Integrity protection mode info" was included in the SECURITY MODE COMMAND message:

2> if this was not the first SECURITY MODE COMMAND message for this RRC connection:

3> if new keys have been received for the CN domain set in the IE "CN Domain Identity" included in the transmitted SECURITY MODE COMMAND message:

4> initialise, at the downlink and uplink activation time, all hyper frame numbers of the downlink and uplink COUNT-I values respectively for all the signalling radio bearers other than RB2 as follows:

5> set all bits of the hyper frame numbers of the uplink and downlink COUNT-I to zero.

3> if no new keys have been received for the CN domain set in the IE "CN Domain Identity" included in the transmitted SECURITY MODE COMMAND message:

4> use, at the downlink and uplink activation time, the value "START" in the most recently received IE "START list" or IE "START" that belongs to the CN domain as indicated in the IE "CN domain identity" to initialise all hyper frame numbers of the downlink and uplink COUNT-I values respectively for all the signalling radio bearers other than RB2 as follows:

5> set the 20 most significant bits of the hyper frame numbers of the downlink and uplink COUNT-I respectively for all signalling radio bearers to the value "START" in the most recently received IE "START list" or IE "START" for that CN domain;

5> set the remaining bits of the hyper frame numbers equal to zero.

1> send an indication to upper layers that the new security configuration has been activated;

1> resume, in the downlink, all suspended radio bearers and all signalling radio bearers;

1> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

1> if the IE "Integrity protection mode command" included in the SECURITY MODE COMMAND had the value "Start":

2> start applying integrity protection in the downlink for all signalling radio bearers.

1> if the IE "Integrity protection mode command" included in the SECURITY MODE COMMAND had the value "Modify":

2> start applying the new integrity protection configuration in the downlink at the RRC sequence number, for each signalling radio bearers RBn, except for signalling radio bearer RB2, indicated by the entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info";

2> continue applying the new integrity configuration for signalling radio bearer RB2;

2> apply the new integrity protection configuration on the received signalling messages with RRC SN greater than or equal to the number associated with the signalling radio bearer in IE "Uplink integrity protection activation info".

1> apply the old ciphering configuration for the transmission of RLC PDUs with RLC sequence number less than the number indicated in the IE "Radio bearer downlink ciphering activation time info" included in the IE "Ciphering mode info";

1> apply the new ciphering configuration for the transmission of RLC PDUs with RLC sequence number greater than or equal to the number indicated in IE "Radio bearer downlink ciphering activation time info" included in the IE "Ciphering mode info";

1> apply the old integrity protection configuration on the received signalling messages with RRC SN smaller than the number associated with the signalling radio bearer in IE "Uplink integrity protection activation info";

1> for radio bearers using RLC-AM or RLC-UM:

2> use the old ciphering configuration for received RLC PDUs with RLC sequence number less than the RLC sequence number indicated in the IE "Radio bearer uplink ciphering activation time info" sent by the UE;

2> use the new ciphering configuration for received RLC PDUs with RLC sequence number greater than or equal to the RLC sequence number indicated in the IE "Radio bearer uplink ciphering activation time info" sent by the UE;

2> if an RLC reset or re-establishment of the transmitting side of an RLC entity occurs after the SECURITY MODE COMPLETE message has been received by UTRAN before the downlink activation time for the new ciphering configuration has been reached, ignore the activation time and apply the new ciphering configuration in downlink immediately after the RLC reset or RLC re-establishment;

2> if an RLC reset or re-establishment of the receiving side of an RLC entity occurs after the SECURITY MODE COMPLETE message has been received by UTRAN before the uplink activation time for the new ciphering configuration has been reached, ignore the activation time and apply the new ciphering configuration in uplink immediately after the RLC reset or RLC re-establishment.

1> for radio bearers using RLC-TM:

2> use the old ciphering configuration for the received RLC PDUs before the CFN as indicated in the IE "Ciphering activation time for DPCH" in the IE "Ciphering mode info" as included in the SECURITY MODE COMMAND;

2> use the new ciphering configuration for the received RLC PDUs at the CFN as indicated in the IE "Ciphering activation time for DPCH" in the IE "Ciphering mode info" as included in the SECURITY MODE COMMAND.

1> and the procedure ends.

8.1.12.6 Invalid SECURITY MODE COMMAND message

If the SECURITY MODE COMMAND message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> transmit a SECURITY MODE FAILURE message on the uplink DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the SECURITY MODE FAILURE message to the value of "RRC transaction identifier" in the entry for the SECURITY MODE COMMAND message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the response message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid SECURITY MODE COMMAND message has not been received;

2> only accept a message on SRB 2, with a COUNT-I that:

3> is higher than the COUNT-I used prior to receiving the SECURITY MODE COMMAND message incremented by one; and

3> does not take into account the HFN from the received SECURITY MODE COMMAND message.

2> and the procedure ends.

8.1.13 Signalling connection release procedure



Figure 8.1.13-1: Signalling connection release procedure, normal case

8.1.13.1 General

The signalling connection release procedure is used to notify to the UE that one of its ongoing signalling connections has been released. The procedure does not initiate the release of the RRC connection.

8.1.13.2 Initiation of SIGNALLING CONNECTION RELEASE by the UTRAN

To initiate the procedure, the UTRAN transmits a SIGNALLING CONNECTION RELEASE message on DCCH using AM RLC.

8.1.13.3 Reception of SIGNALLING CONNECTION RELEASE by the UE

Upon reception of a SIGNALLING CONNECTION RELEASE message, the UE shall:

1> indicate the release of the signalling connection and pass the value of the IE "CN domain identity" to upper layers;

1> remove the signalling connection with the identity indicated by the IE "CN domain identity" from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

1> clear the entry for the SIGNALLING CONNECTION RELEASE message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> the procedure ends.

8.1.13.4 Invalid SIGNALLING CONNECTION RELEASE message

If the UE receives a SIGNALLING CONNECTION RELEASE message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> include the IE "Identification of received message"; and

2> set the IE "Received message type" to SIGNALLING CONNECTION RELEASE;

2> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the SIGNALLING CONNECTION RELEASE message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry.

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid SIGNALLING CONNECTION RELEASE message has not been received.

8.1.13.5 Invalid configuration

If radio access bearers for the CN domain indicated by the IE "CN domain identity" exist in the variable ESTABLISHED_RABS, the UE shall:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to SIGNALLING CONNECTION RELEASE; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the SIGNALLING CONNECTION RELEASE message in the table "Accepted transactions" in the variable TRANSACTIONS and clear that entry;

1> include the IE "Protocol error information" with contents set to the value "Message not compatible with receiver state";

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid SIGNALLING CONNECTION RELEASE message has not been received.

8.1.14 Signalling connection release indication procedure



Figure 8.1.14-1: Signalling connection release indication procedure, normal case

8.1.14.1 General

The signalling connection release indication procedure is used by the UE to indicate to the UTRAN that one of its signalling connections has been released. The procedure may in turn initiate the RRC connection release procedure.

8.1.14.2 Initiation

The UE shall, on receiving a request to release (abort) the signalling connection from upper layers for a specific CN domain:

1> if a signalling connection in the variable ESTABLISHED_SIGNALLING_CONNECTIONS for the specific CN domain identified with the IE "CN domain identity" exists:

2> initiate the signalling connection release indication procedure.

1> otherwise:

2> abort any ongoing establishment of signalling connection for that specific CN domain as specified in 8.1.3.5a.

Upon initiation of the signalling connection release indication procedure in CELL_PCH or URA_PCH state, the UE shall:

1> perform a cell update procedure, according to subclause 8.3.1, using the cause "uplink data transmission";

1> when the cell update procedure completed successfully:

2> continue with the signalling connection release indication procedure as below.

The UE shall:

1> set the IE "CN Domain Identity" to the value indicated by the upper layers. The value of the IE indicates the CN domain whose associated signalling connection the upper layers are indicating to be released;

1> remove the signalling connection with the identity indicated by upper layers from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

1> transmit a SIGNALLING CONNECTION RELEASE INDICATION message on DCCH using AM RLC.

When the successful delivery of the SIGNALLING CONNECTION RELEASE INDICATION message has been confirmed by RLC the procedure ends.

8.1.14.2a RLC re-establishment or inter-RAT change

If a re-establishment of the transmitting side of the RLC entity on signalling radio bearer RB2 occurs before the successful delivery of the SIGNALLING CONNECTION RELEASE INDICATION message has been confirmed by RLC, the UE shall:

1> retransmit the SIGNALLING CONNECTION RELEASE INDICATION message on the uplink DCCH using AM RLC on signalling radio bearer RB2.

If an Inter-RAT handover from UTRAN procedure occurs before the successful delivery of the SIGNALLING CONNECTION RELEASE INDICATION message has been confirmed by RLC, the UE shall:

1> abort the signalling connection while in the new RAT.

8.1.14.3 Reception of SIGNALLING CONNECTION RELEASE INDICATION by the UTRAN

Upon reception of a SIGNALLING CONNECTION RELEASE INDICATION message, the UTRAN requests the release of the signalling connection from upper layers. Upper layers may then initiate the release of the signalling connection.

8.1.15 Counter check procedure

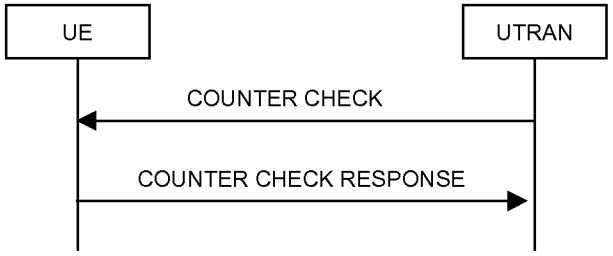


Figure 8.1.15-1: Counter check procedure

8.1.15.1 General

The counter check procedure is used by the UTRAN to perform a local authentication. The purpose of the procedure is to check that the amount of data sent in both directions (uplink and downlink) over the duration of the RRC connection is identical at the UTRAN and at the UE (to detect a possible intruder – a 'man-in-the-middle' – from operating).

This procedure is only applicable to radio bearers, and only to radio bearers using RLC-AM or RLC-UM. It should be noted that this requires that the COUNT-C values for each UL and DL radio bearers using RLC-AM or RLC-UM continue to be incremented even if ciphering is not used. This procedure is not applicable to signalling radio bearers.

8.1.15.2 Initiation

The UTRAN monitors the COUNT-C value associated with each radio bearer using UM or AM RLC. The procedure is triggered whenever any of these values reaches a critical checking value. The granularity of these checking values and the values themselves are defined to the UTRAN by the visited network. The UTRAN initiates the procedure by sending a COUNTER CHECK message on the downlink DCCH.

8.1.15.3 Reception of a COUNTER CHECK message by the UE

When the UE receives a COUNTER CHECK message it shall compare the COUNT-C MSB values received in the IE "RB COUNT-C MSB information" in the COUNTER CHECK message to the COUNT-C MSB values of the corresponding radio bearers.

The UE shall:

1> set the IE "RRC transaction identifier" in the COUNTER CHECK RESPONSE message to the value of "RRC transaction identifier" in the entry for the COUNTER CHECK message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry.

If:

- there is one or more radio bearer(s) using UM or AM RLC mode stored in the variable ESTABLISHED_RABS, which is (are) not included in the IE "RB COUNT-C MSB information"; or
- there is one or more radio bearer(s) included in the IE "RB COUNT-C MSB information", which is (are) not stored in the variable ESTABLISHED_RABS; or
- for any radio bearer (excluding signalling radio bearers) using UM or AM RLC mode stored in the variable ESTABLISHED_RABS and included in the IE "RB COUNT-C MSB information" with COUNT-C MSB values different from the MSB part of the COUNT-C values in the UE:

the UE shall:

1> include these radio bearers in the IE "RB COUNT-C information" in the COUNTER CHECK RESPONSE message. For any RB which is included in the IE "RB COUNT-C MSB information" in the COUNTER CHECK message but not stored in the variable ESTABLISHED_RABS in the UE, the MSB part of COUNT-C values in the COUNTER CHECK RESPONSE message shall be set identical to COUNT-C-MSB values in the COUNTER CHECK message. The LSB part shall be filled with zeroes.

The UE shall:

1> if no COUNT-C exists for a radio bearer for a given direction (uplink or downlink) because:

2> it is a uni-directional radio bearer configured only for the other direction (downlink or uplink respectively); or

2> it has been configured to RLC-TM mode in one direction (uplink or downlink) and RLC-UM in the other (downlink or uplink respectively):

3> set the COUNT-C in the IE "RB COUNT-C information" in the COUNTER CHECK RESPONSE message, to any value.

1> submit a COUNTER CHECK RESPONSE message to lower layers for transmission on the uplink DCCH using AM RLC.

When the COUNTER CHECK RESPONSE message has been submitted to lower layers for transmission the procedure ends.

8.1.15.4 Reception of the COUNTER CHECK RESPONSE message by UTRAN

If the UTRAN receives a COUNTER CHECK RESPONSE message that does not contain any COUNT-C values, the procedure ends.

If the UTRAN receives a COUNTER CHECK RESPONSE message that contains one or several COUNT-C values the UTRAN may release the RRC connection.

8.1.15.5 Cell re-selection

If the UE performs cell re-selection anytime during this procedure it shall, without interrupting the procedure:

1> initiate the cell update procedure according to subclause 8.3.1.

8.1.15.6 Invalid COUNTER CHECK message

If the UE receives a COUNTER CHECK message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to COUNTER CHECK; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the UE COUNTER CHECK message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid COUNTER CHECK message has not been received.

8.1.16 Inter RAT handover information transfer



Figure 8.1.16-1: Inter RAT handover information transfer, normal flow

8.1.16.1 General

The inter RAT handover information transfer procedure is used by the UE to convey RRC information needed for inter RAT handover to UTRAN.

8.1.16.2 Initiation

If:

- a radio access technology other than UTRA, e.g. GSM, using radio access technology-specific procedures, orders the UE to provide the INTER RAT HANDOVER INFO message; or
- a radio access technology other than UTRA, e.g. GSM, using radio access technology-specific procedures, configures the UE to send the INTER RAT HANDOVER INFO message upon system specific conditions not involving an explicit order e.g. early classmark sending upon entering connected mode; or
- while in connected mode using another radio access technology, the inter RAT handover info changes compared to what has previously been sent via the other radio access technology:

the UE shall:

1> initiate the inter RAT handover information transfer procedure.

To determine if the inter RAT handover info has changed compared to what has previously been sent, the UE shall:

1> store the information last sent in the variable INTER_RAT_HANDOVER_INFO_TRANSFERRED;

1> if this variable has not yet been set:

2> not initiate the inter RAT handover information transfer procedure due to change of inter RAT handover info.

NOTE: Currently neither the UE security information nor the predefined configuration status information change while in connected mode using GSM radio access technology.

8.1.16.3 INTER RAT HANDOVER INFO message contents to set

The UE shall:

1> include the IE "UE security information", and the IE "UE security information2" if supported by the UE; and

1> not include the IE "UE Specific Behaviour Information 1 interRAT".

1> in case support for the compressed version of the inter RAT handover info is indicated via the other radio access technology:

2> include of the following IEs the IE that after encoding has the smallest size: IE "Predefined configuration status information compressed" or the IE "Predefined configuration status information";

2> include the IE "UE radio access capability compressed".

1> else:

2> include the IE "Predefined configuration status information";

2> include the IE "UE capability container", containing the IE "UE radio access capability" and the IE "UE radio access capability extension", in accordance with the following:

3> if the UE supports multiple UTRA FDD Frequency Bands; or

3> if the UE supports a single UTRA FDD Frequency Band different from Band I [21]:

4> include the IE "UE radio access capability", excluding IEs "RF capability FDD" and "Measurement capability";

4> include the IE "UE radio access capability extension", including the IEs "RF capability FDD extension" and the "Measurement capability extension" associated with each supported UTRA FDD frequency band indicated in the IE "Frequency band".

3> else:

4> include the IE "UE radio access capability", including the IEs "RF capability FDD" and "Measurement capability" associated with the Band I [21];

4> include the IE "UE radio access capability extension", including the IEs "RF capability FDD extension" and the "Measurement capability extension" associated with each supported UTRA FDD frequency band indicated in the IE "Frequency band".

1> For FDD, include the IE "UE radio access capability comp 2";

1> initiate the transfer of the INTER RAT HANDOVER INFO message via the other radio access technology, using radio access technology-specific procedures;

1> store the following in the variable INTER_RAT_HANDOVER_INFO_TRANSFERRED if they were included in the INTER RAT HANDOVER INFO message:

2> the IE "Predefined configuration status information";

2> the IE "Predefined configuration status information compressed";

2> the IE "UE security information";

2> the IE "UE radio access capability";

2> the IE "UE radio access capability extension"; and

2> the IE "UE radio access capability compressed";

2> if the IE "UE radio access capability compressed" were included in the INTER RAT HANDOVER INFO message:

3> set the IE "Security Capability" to the mandatory R99 algorithms.

1> and the procedure ends.

8.2 Radio Bearer control procedures

8.2.1 Radio bearer establishment

See subclause 8.2.2 Reconfiguration procedures.

8.2.2 Reconfiguration procedures

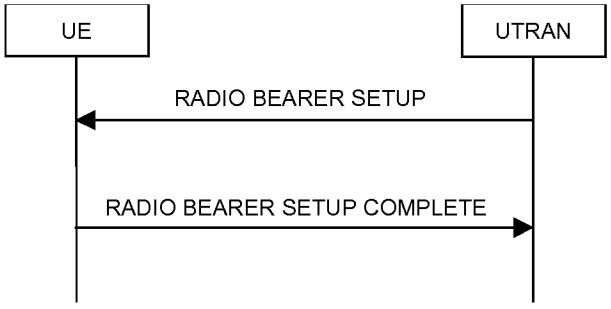


Figure 8.2.2-1: Radio Bearer Establishment, normal case

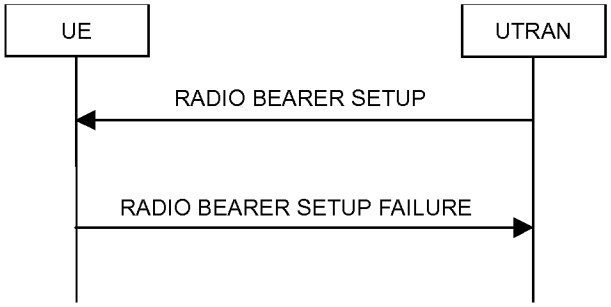


Figure 8.2.2-2: Radio Bearer Establishment, failure case

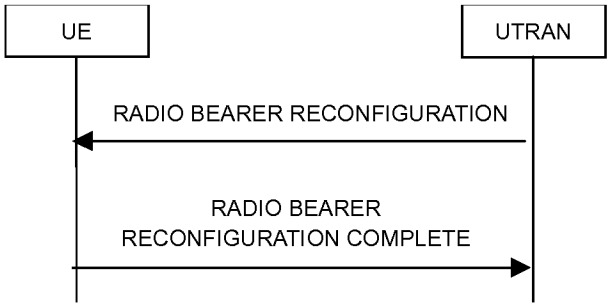


Figure 8.2.2-3: Radio bearer reconfiguration, normal flow

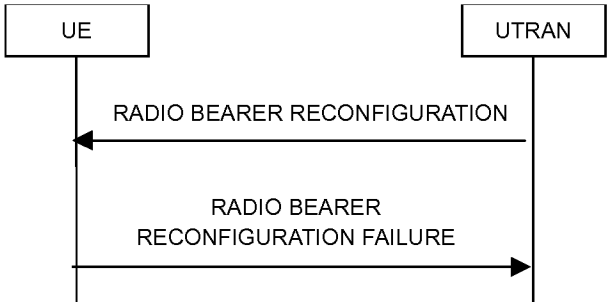


Figure 8.2.2-4: Radio bearer reconfiguration, failure case

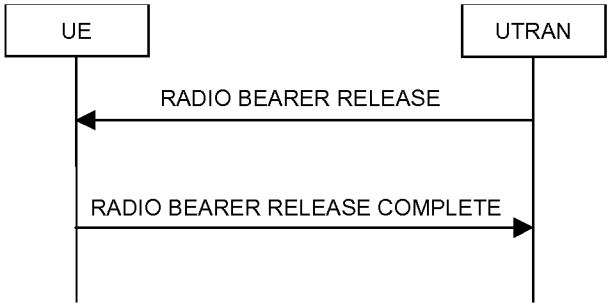


Figure 8.2.2-5: Radio Bearer Release, normal case

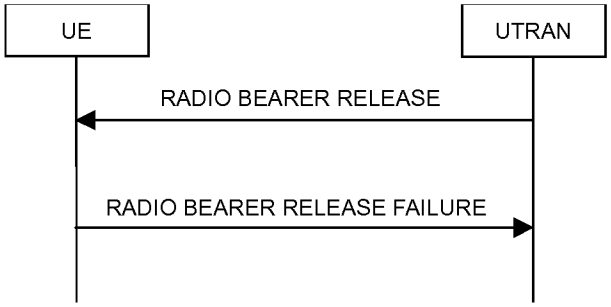


Figure 8.2.2-6: Radio Bearer Release, failure case

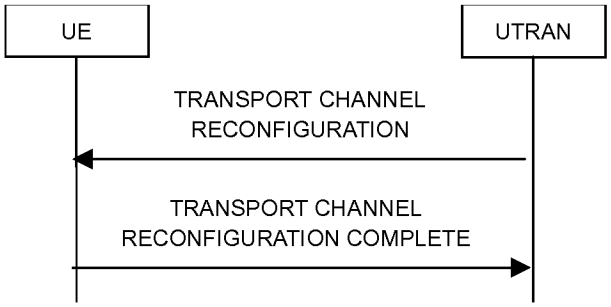


Figure 8.2.2-7: Transport channel reconfiguration, normal flow

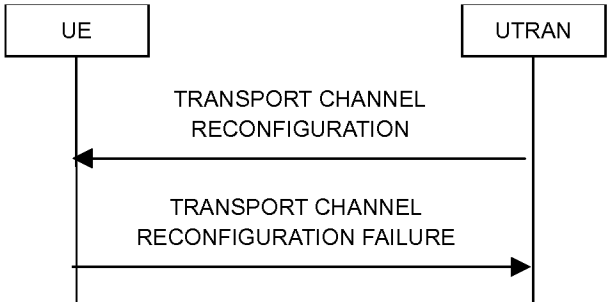


Figure 8.2.2-8: Transport channel reconfiguration, failure case

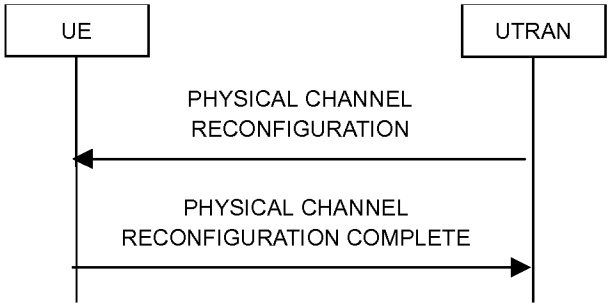


Figure 8.2.2-9: Physical channel reconfiguration, normal flow

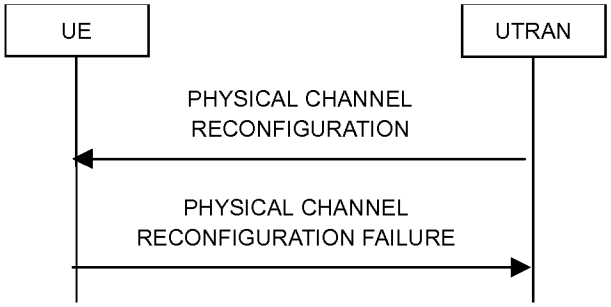


Figure 8.2.2-10: Physical channel reconfiguration, failure case

8.2.2.1 General

Reconfiguration procedures include the following procedures:

- the radio bearer establishment procedure;
- radio bearer reconfiguration procedure;
- the radio bearer release procedure;
- the transport channel reconfiguration procedure; and
- the physical channel reconfiguration procedure.

The radio bearer establishment procedure is used to establish new radio bearer(s).

The radio bearer reconfiguration procedure is used to reconfigure parameters for a radio bearer.

The radio bearer release procedure is used to release radio bearer(s).

The transport channel reconfiguration procedure is used to reconfigure transport channel parameters.

The physical channel reconfiguration procedure is used to establish, reconfigure and release physical channels.

While performing any of the above procedures, these procedures may perform a hard handover (subclause 8.3.5) and/or an HS-DSCH cell change and/or a serving E-DCH cell change. The reconfiguration procedures are also used to change the feedback configuration for HS-DSCH.

8.2.2.2 Initiation

To initiate any one of the reconfiguration procedures, UTRAN should:

1> configure new radio links in any new physical channel configuration;

1> start transmission and reception on the new radio links;

1> for a radio bearer establishment procedure:

2> transmit a RADIO BEARER SETUP message on the downlink DCCH using AM or UM RLC;

2> if signalling radio bearer RB4 is setup with this procedure and signalling radio bearers RB1-RB3 were already established prior to the procedure:

3> if the variable "LATEST_CONFIGURED_CN_DOMAIN" has been initialised:

4> connect any radio bearers setup by the same message as signalling radio bearer RB4 to the CN domain indicated in the variable "LATEST CONFIGURED CN DOMAIN".

1> for a radio bearer reconfiguration procedure:

2> transmit a RADIO BEARER RECONFIGURATION message on the downlink DCCH using AM or UM RLC.

1> for a radio bearer release procedure:

2> transmit a RADIO BEARER RELEASE message on the downlink DCCH using AM or UM RLC.

1> for a transport channel reconfiguration procedure:

2> transmit a TRANSPORT CHANNEL RECONFIGURATION message on the downlink DCCH using AM or UM RLC.

1> for a physical channel reconfiguration procedure:

2> transmit a PHYSICAL CHANNEL RECONFIGURATION message on the downlink DCCH using AM or UM RLC.

1> if the reconfiguration procedure is simultaneous with SRNS relocation procedure:

2> if the transmitted message is a RADIO BEARER RECONFIGURATION:

3> include the IE "New U-RNTI".

2> else:

3> include the IE "Downlink counter synchronisation info".

2> if ciphering and/or integrity protection are activated:

3> include new ciphering and/or integrity protection configuration information to be used after reconfiguration.

2> use the downlink DCCH using AM RLC.

1> if transport channels are added, reconfigured or deleted in uplink and/or downlink:

2> set TFCS according to the new transport channel(s).

1> if transport channels are added or deleted in uplink and/or downlink, and RB Mapping Info applicable to the new configuration has not been previously provided to the UE, the UTRAN should:

2> send the RB Mapping Info for the new configuration.

In the Radio Bearer Reconfiguration procedure UTRAN may indicate that uplink transmission shall be stopped or continued on certain radio bearers. Uplink transmission on a signalling radio bearer used by the RRC signalling (signalling radio bearer RB1 or signalling radio bearer RB2) should not be stopped.

NOTE 1: The Release '99 RADIO BEARER RECONFIGURATION message always includes the IE "RB information to reconfigure", even if UTRAN does not require the reconfiguration of any RB. In these cases, UTRAN may include only the IE "RB identity" within the IE "RB information to reconfigure".

NOTE 2: The Release '99 RADIO BEARER RECONFIGURATION message always includes the IE "Downlink information per radio link list", even if UTRAN does not require the reconfiguration of any RL. In these cases, UTRAN may re-send the currently assigned values for the mandatory IEs included within the IE "Downlink information per radio link list ".

NOTE 3: The Release '99 RADIO BEARER RECONFIGURATION message always includes the IE "Primary CPICH Info" (FDD) or IE "Primary CCPCH Info" (TDD) within IE "Downlink information per radio link list". This implies that in case UTRAN applies the RADIO BEARER RECONFIGURATION message to move the UE to CELL_FACH state, it has to indicate a cell. However, UTRAN may indicate any cell; the UE anyhow performs cell selection and notifies UTRAN if it selects another cell than indicated by UTRAN.

If the IE "Activation Time" is included, UTRAN should set it to a value taking the UE performance requirements into account.

UTRAN should take the UE capabilities into account when setting the new configuration.

If the message is used to initiate a transition from CELL_DCH to CELL_FACH state, the UTRAN may assign a C-RNTI to be used in that cell by the UE.

8.2.2.2a Initiation of handover from GERAN *Iu mode*

To initiate the handover from GERAN *Iu mode,* UTRAN should:

1> provide a RADIO BEARER RECONFIGURATION message to be encapsulated in INTERSYSTEM HANDOVER TO UTRAN COMMAND message, sent on the downlink SRB2 in GERAN *Iu mode*, as specified in [53].

1> in case UTRAN decides to use a predefined or default radio configuration that is stored in the UE, it should include the following information in the RADIO BEARER RECONFIGURATION message:

- PhyCH information elements; and
- either:
  - the IE "Predefined configuration identity", to indicate which pre-defined configuration of RB, transport channel and physical channel parameters shall be used; or
  - the IE "Default configuration mode" and IE "Default configuration identity", to indicate which default configuration of RB, transport channel and physical channel parameters shall be used.

8.2.2.3 Reception of RADIO BEARER SETUP or RADIO BEARER RECONFIGURATION or RADIO BEARER RELEASE or TRANSPORT CHANNEL RECONFIGURATION or PHYSICAL CHANNEL RECONFIGURATION message by the UE

The UE shall:

1> be able to receive any of the following messages:

2> RADIO BEARER SETUP message; or

2> RADIO BEARER RECONFIGURATION message; or

2> RADIO BEARER RELEASE message; or

2> TRANSPORT CHANNEL RECONFIGURATION message; or

2> PHYSICAL CHANNEL RECONFIGURATION message;

1> be able to perform a hard handover and apply physical layer synchronisation procedure A as specified in [29], even if no prior UE measurements have been performed on the target cell and/or frequency.

In case the reconfiguration procedure is used to remove all existing RL(s) in the active set while new RL(s) are established the UE shall:

1> For FDD:

2> if the UE has a pending "TGPS reconfiguration CFN" at the activation time received in the reconfiguration message and the reconfiguration requests a timing re-initialised hard handover (see subclause 8.3.5.1), the UE may:

3> abort the pending CM activation;

3> set the CM_PATTERN_ACTIVATION_ABORTED to TRUE.

2> otherwise:

3> set the CM_PATTERN_ACTIVATION_ABORTED to FALSE.

If the UE receives:

- a RADIO BEARER SETUP message; or
- a RADIO BEARER RECONFIGURATION message; or

- a RADIO BEARER RELEASE message; or
- a TRANSPORT CHANNEL RECONFIGURATION message; or
- a PHYSICAL CHANNEL RECONFIGURATION message:

it shall:

1> set the variable ORDERED_RECONFIGURATION to TRUE;

1> if the UE will enter the CELL_DCH state from any state other than CELL_DCH state at the conclusion of this procedure:

2> perform the physical layer synchronisation procedure A as specified in [29] (FDD only).

1> act upon all received information elements as specified in subclause 8.6, unless specified in the following and perform the actions below.

The UE may:

1> maintain a list of the set of cells to which the UE has Radio Links if the IE "Cell ID" is present.

The UE may first release the physical channel configuration used at reception of the reconfiguration message. The UE shall then:

1> enter a state according to subclause 8.6.3.3.

In case the UE receives a RADIO BEARER RECONFIGURATION message including the IE "RB information to reconfigure" that only includes the IE "RB identity", the UE shall:

1> handle the message as if IE "RB information to reconfigure" was absent.

NOTE: The ASN.1 "r3" version of the RADIO BEARER RECONFIGURATION message always includes the IE "RB information to reconfigure". UTRAN has to include it even if it does not require the reconfiguration of any RB.

In case the UE receives a RADIO BEARER RECONFIGURATION message with the IE "Specification mode" set to "Preconfiguration" while the message is not sent through GERAN *Iu mode,* the UE behaviour is unspecified.

In case the UE receives a RADIO BEARER SETUP message with the IE "Specification mode" set to "Preconfiguration" while the message is sent through GERAN *Iu mode,* the UE behaviour is unspecified.

In case the UE receives a RADIO BEARER SETUP message with the IE "Specification mode" set to "Preconfiguration" while the message is not sent through GERAN *Iu mode,* the UE shall:

1> perform the actions related to the IE "RB information to change list" as specified in subclause 8.6.4.4a;

1> for radio bearers included in the default configuration identified by the IE "Default configuration mode" and the IE "Default configuration identity" which value is not included in an IE "Re-map to default RB" within the IE "RB information to change list":

2> establish the radio bearer and transport channel configuration in accordance with the default parameters identified by the IE "Default configuration mode" and the IE "Default configuration identity";

2> if no physical channel information elements are included in the message:

3> initiate the physical channels in accordance with the default parameters identified by the IE "Default configuration mode".

2> otherwise:

3> initiate the physical channels in accordance with the received physical channel information elements;

1> construct the Transport format combination set, including all possible combinations of the following, in order of increasing CTFC value:

2> the transport format combinations of the transport channels included in the default configuration as specified for the corresponding default configuration; and

2> the transport format combinations of the other remaining transport channels as specified by the transport format combination set used upon receiving the message.

1> apply the signalled gain factor information for the TFC indicated by the IE "Reference TFC" and compute the gain factor for all other TFCs using this reference, in accordance with in [29];

1> act upon all received information elements, including the ones identified by the the IE "Default configuration mode" and IE "Default configuration identity", as specified in subclause 8.6, unless specified in the following and perform the actions below.

NOTE 2: The IE "Default configuration mode" specifies whether the FDD or TDD version of the default configuration shall be used.

If after state transition the UE enters CELL_DCH state, the UE shall, after the state transition:

1> in FDD; or

1> in TDD when "Primary CCPCH Info" is included indicating a new target cell and "New C-RNTI" is not specified:

2> remove any C-RNTI from MAC;

2> clear the variable C_RNTI.

If after state transition the UE leaves CELL_DCH state, the UE shall, after the state transition:

1> if any IEs releated to HS-DSCH are stored in the UE:

2> clear any stored IE "Downlink HS-PDSCH information";

2> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

1> if any IEs related to E-DCH are stored in the UE:

2> clear any stored IE "E-DCH info";

2> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28.

1> if the IE "UE Mobility State Indicator" was present in the reconfiguration message:

2> consider the High-mobility state to have being detected.

If the UE was in CELL_DCH state upon reception of the reconfiguration message and remains in CELL_DCH state, the UE shall:

1> if the IE "Uplink DPCH Info" is absent, not change its current UL Physical channel configuration;

1> in TDD:

2> if "Primary CCPCH Info" is included indicating a new target cell and "New C-RNTI" is not specified:

3> remove any C-RNTI from MAC;

3> clear the variable C_RNTI.

2> if "Primary CCPCH Info" is included indicating a new target cell and "New H-RNTI" is not specified:

3> remove any H-RNTI from MAC;

3> clear the variable H_RNTI;

3> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

1> if "DPCH frame offset" is included for one or more RLs in the active set, and the reconfiguration procedure does not request a timing reinitialized hard handover (see subclause 8.3.5.1):

2> use its value to determine the beginning of the DPCH or F-DPCH frame in accordance with the following:

3> if the received IE "DPCH frame offset" is across the value range border compared to the DPCH or F-DPCH frame offset currently used by the UE:

4> consider it to be a request to adjust the timing with 256 chips across the frame border (e.g. if the UE receives value 0 while the value currently used is 38144 consider this as a request to adjust the timing with +256 chips).

3> if after taking into account value range borders, the received IE "DPCH frame offset" corresponds to a request to adjust the timing with a step exceeding 256 chips:

4> set the variable INVALID_CONFIGURATION to TRUE.

3> and the procedure ends.

2> adjust the radio link timing accordingly.

If after state transition the UE enters CELL_FACH state, the UE shall, after the state transition:

1> if the IE "Frequency info" is included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4] on that frequency;

2> if the UE finds a suitable UTRA cell on that frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> when the cell update procedure completed successfully:

5> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

2> else, if the UE can not find a suitable UTRA cell on that frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> when the cell update procedure completed successfully:

4> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

1> if the IE "Frequency info" is not included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4];

2> if the UE finds a suitable UTRA cell on the current frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> when the cell update procedure completed successfully:

5> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

2> else, if the UE can not find a suitable UTRA cell on the current frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> when the cell update procedure completed successfully:

4> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

1> start timer T305 using its initial value if timer T305 is not running and if periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" in the variable TIMERS_AND_CONSTANTS;

1> select PRACH according to subclause 8.5.17;

1> select Secondary CCPCH according to subclause 8.5.19;

1> use the transport format set given in system information;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> ignore that IE and stop using DRX.

1> if the contents of the variable C_RNTI is empty:

2> perform a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

2> when the cell update procedure completed successfully:

3> if the UE is in CELL_PCH or URA_PCH state:

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission";

4> proceed as below.

If the UE was in CELL_FACH state upon reception of the reconfiguration message and remains in CELL_FACH state, the UE shall:

1> if the IE "Frequency info" is included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4] on that frequency;

2> if the UE finds a suitable UTRA cell on that frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selected another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "cell reselection";

4> when the cell update procedure completed successfully:

5> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

2> else, if the UE can not find a suitable UTRA cell on that frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> when the cell update procedure completed successfully:

4> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

1> if the IE "Frequency info" is not included in the received reconfiguration message:

2> if the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD) is included the UE shall either:

3> ignore the content of the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD) and proceed as below;

2> or:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CPCH info" (for TDD), and it is different from the current cell:

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> when the cell update procedure completed successfully:

5> if the UE is in CELL_PCH or URA_PCH state, initiate a cell update procedure according to subclause 8.3.1 using the cause "Uplink data transmission" and proceed as below.

If after state transition the UE leaves CELL_FACH state, the UE shall:

1> stop timer T305.

If after state transition the UE enters CELL_PCH or URA_PCH state, the UE shall:

1> if the IE "UTRAN DRX cycle length coefficient" is not included in the same message:

2> set the variable INVALID_CONFIGURATION to TRUE.

The UE shall transmit a response message as specified in subclause 8.2.2.4, setting the information elements as specified below. The UE shall:

1> if the received reconfiguration message included the IE "Downlink counter synchronisation info"; or

1> if the received reconfiguration message is a RADIO BEARER RECONFIGURATION and the IE "New U-RNTI" is included:

2> if the variable PDCP_SN_INFO is empty:

3> configure the corresponding RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "stop".

2> else:

3> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "stop";

3> configure the RLC entity for UM and AM radio bearers for which the IE "PDCP SN Info" is not included to "stop".

2> re-establish the RLC entity for RB2;

2> for the downlink and the uplink, apply the ciphering configuration as follows:

3> if the received re-configuation message included the IE "Ciphering Mode Info":

4> use the ciphering configuration in the received message when transmitting the response message.

3> if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because the activation times not having been reached:

4> if the previous SECURITY MODE COMMAND was received due to new keys being received:

5> consider the new ciphering configuration to include the received new keys;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 as indicated in subclause 8.1.12.3.1.

4> else if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because of the corresponding activation times not having been reached and the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

5> consider the new ciphering configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 to the most recently transmitted IE "START list" or IE "START" for the LATEST_CONFIGURED_CN_DOMAIN at the reception of the previous SECURITY MODE COMMAND.

4> apply the new ciphering configuration immediately following RLC re-establishment.

3> else:

4> continue using the current ciphering configuration.

2> set the new uplink and downlink HFN component of COUNT-C of RB2 to MAX(uplink HFN component of COUNT-C of RB2, downlink HFN component of COUNT-C of RB2);

2> increment by one the downlink and uplink values of the HFN of COUNT-C for RB2;

2> calculate the START value according to subclause 8.5.9;

2> include the calculated START values for each CN domain in the IE "START list" in the IE "Uplink counter synchronisation info".

1> if the received reconfiguration message did not include the IE "Downlink counter synchronisation info":

2> if the variable START_VALUE_TO_TRANSMIT is set:

3> include and set the IE "START" to the value of that variable.

2> if the variable START_VALUE_TO_TRANSMIT is not set and the IE "New U-RNTI" is included:

3> calculate the START value according to subclause 8.5.9;

3> include the calculated START values for each CN domain in the IE "START list" in the IE "Uplink counter synchronisation info".

2> if the received reconfiguration message caused a change in the RLC size for any RB using RLC-AM:

3> calculate the START value according to subclause 8.5.9;

3> include the calculated START values for the CN domain associated with the corresponding RB identity in the IE "START list" in the IE "Uplink counter synchronisation info".

1> if the received reconfiguration message contained the IE "Ciphering mode info" or contained the IE "Integrity protection mode info":

2> set the IE "Status" in the variable SECURITY_MODIFICATION for all the CN domains in the variable SECURITY_MODIFICATION to "Affected".

1> if the received reconfiguration message contained the IE "Ciphering mode info":

2> if the reconfiguration message is not used to perform SRNS relocation with change of ciphering algorithm:

3> the UE behaviour is not specified.

2> if the message is used to perform a timing re-initialised hard handover:

3> if IE "Ciphering activation time for DPCH" is included:

4> the UE behaviour is not specified.

2> else:

3> if the reconfiguration message is used to setup radio bearer(s) using RLC-TM; or

3> if radio bearer(s) using RLC-TM already exist:

4> if IE "Ciphering activation time for DPCH" is not included:

5> the UE behaviour is not specified.

1> if the received reconfiguration message contained the IE "Integrity Protection mode info":

2> if the reconfiguration message is not used to perform SRNS relocation or a handover from GERAN *Iu mode*:

3> the UE behaviour is not specified.

1> if the received reconfiguration message did not contain the IE "Ciphering activation time for DPCH" in IE "Ciphering mode info":

2> if prior to this procedure there exist no transparent mode RLC radio bearers:

3> if, at the conclusion of this procedure, the UE will be in CELL_DCH state; and

3> if, at the conclusion of this procedure, at least one transparent mode RLC radio bearer exists:

4> include the IE "COUNT-C activation time" and specify a CFN value for this IE that is a multiple of 8 frames (CFN mod 8 = 0) and lies at least 200 frames ahead of the CFN in which the response message is first transmitted.

NOTE: UTRAN should not include the IE "Ciphering mode info" in any reconfiguration message unless it is also used to perform an SRNS relocation with change of ciphering algorithm.

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> if the variable PDCP_SN_INFO is not empty:

2> include the IE "RB with PDCP information list" and set it to the value of the variable PDCP_SN_INFO.

1> in TDD, if the procedure is used to perform a handover to a cell where timing advance is enabled, and the UE can calculate the timing advance value in the new cell (i.e. in a synchronous TDD network):

2> set the IE "Uplink Timing Advance" according or the IE "Extended UL Timing Advance" to subclause 8.6.6.26.

1> if the IE "Integrity protection mode info" was present in the received reconfiguration message:

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RB2 from and including the transmitted response message.

If after state transition the UE enters URA_PCH state, the UE shall, after the state transition and transmission of the response message:

1> if the IE "Frequency info" is included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4] on that frequency.

2> if the UE can not find a suitable UTRA cell on that frequency but it finds a suitable UTRA cell on another frequency:

3> proceed as below.

1> if the IE "Frequency info" is not included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4].

1> prohibit periodical status transmission in RLC;

1> remove any C-RNTI from MAC;

1> clear the variable C_RNTI;

1> start timer T305 using its initial value if timer T305 is not running and if periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" in the variable TIMERS_AND_CONSTANTS;

1> select Secondary CCPCH according to subclause 8.5.19;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> use the value in the IE "UTRAN DRX Cycle length coefficient" for calculating Paging occasion and PICH Monitoring Occasion as specified in subclause 8.6.3.2.

1> if the criteria for URA update caused by "URA reselection" according to subclause 8.3.1 are fulfilled after cell selection:

2> initiate a URA update procedure according to subclause 8.3.1 using the cause "URA reselection";

2> when the URA update procedure is successfully completed:

3> the procedure ends.

If after state transition the UE enters CELL_PCH state from CELL_DCH state, the UE shall, after the state transition and transmission of the response message:

1> if the IE "Frequency info" is included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4] on that frequency.

2> if the UE finds a suitable UTRA cell on that frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> proceed as below.

2> else, if the UE can not find a suitable UTRA cell on that frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> proceed as below.

1> if the IE "Frequency info" is not included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4].

2> if the UE finds a suitable UTRA cell on the current frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> proceed as below.

2> else, if the UE can not find a suitable UTRA cell on the current frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> proceed as below.

1> prohibit periodical status transmission in RLC;

1> remove any C-RNTI from MAC;

1> clear the variable C_RNTI;

1> start timer T305 using its initial value if timer T305 is not running and if periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" in the variable TIMERS_AND_CONSTANTS;

1> select Secondary CCPCH according to subclause 8.5.19;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> use the value in the IE "UTRAN DRX Cycle length coefficient" for calculating Paging occasion and PICH Monitoring Occasion as specified in subclause 8.6.3.2.

1> the procedure ends.

If after state transition the UE enters CELL_PCH state from CELL_FACH state, the UE shall, after the state transition and transmission of the response message:

1> if the IE "Frequency info" is included in the received reconfiguration message:

2> select a suitable UTRA cell according to [4] on that frequency.

2> if the UE finds a suitable UTRA cell on that frequency:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selected another cell than indicated by this IE or the received reconfiguration message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "cell reselection";

4> proceed as below.

2> else, if the UE can not find a suitable UTRA cell on that frequency but it finds a suitable UTRA cell on another frequency:

3> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

3> proceed as below.

1> if the IE "Frequency info" is not included in the received reconfiguration message:

2> if the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD) is included the UE shall either:

3> ignore the content of the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD) and proceed as below;

2> or:

3> if the received reconfiguration message included the IE "Primary CPICH info" (for FDD) or "Primary CPCH info" (for TDD), and it is different from the current cell:

4> initiate a cell update procedure according to subclause 8.3.1 using the cause "Cell reselection";

4> proceed as below.

1> prohibit periodical status transmission in RLC;

1> remove any C-RNTI from MAC;

1> clear the variable C_RNTI;

1> start timer T305 using its initial value if timer T305 is not running and if periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" in the variable TIMERS_AND_CONSTANTS;

1> select Secondary CCPCH according to subclause 8.5.19;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> use the value in the IE "UTRAN DRX Cycle length coefficient" for calculating Paging occasion and PICH Monitoring Occasion as specified in subclause 8.6.3.2.

1> the procedure ends.

8.2.2.3a Reception of RADIO BEARER RECONFIGURATION message by the UE performing handover from GERAN *Iu mode*

If the UE is performing handover from GERAN *Iu mode*, the UE shall, in addition to the actions in 8.2.2.3:

1> if the IE "Specification mode" is set to "Preconfiguration" and the IE "Preconfiguration mode" is set to "Predefined configuration":

2> initiate the radio bearer and transport channel configuration in accordance with the predefined parameters identified by the IE "Predefined configuration identity";

2> initiate the physical channels in accordance with the predefined parameters identified by the IE "Predefined radio configuration identity" and the received physical channel information elements;

2> store information about the established radio access bearers and radio bearers according to the IE "Predefined configuration identity"; and

1> if the IE "Specification mode" is set to "Preconfiguration" and the IE "Preconfiguration mode" is set to "Default configuration":

2> initiate the radio bearer and transport channel configuration in accordance with the default parameters identified by the IE "Default configuration mode" and the IE "Default configuration identity";

2> initiate the physical channels in accordance with the default parameters identified by the IE "Default configuration mode" and IE "Default configuration identity" and the received physical channel information elements;

NOTE: The IE "Default configuration mode" specifies whether the FDD or TDD version of the default configuration shall be used.

1> if IE "Specification mode" is set to "Complete specification":

2> initiate the radio bearer, transport channel and physical channel configuration in accordance with the received radio bearer, transport channel and physical channel information elements.

1> perform an open loop estimation to determine the UL transmission power according to subclause 8.5.3;

1> set the following variables equal to the corresponding variables in GERAN *Iu mode:*

CIPHERING_STATUS

ESTABLISHED_RABS

ESTABLISHED_SIGNALLING_CONNECTIONS

INTEGRITY_PROTECTION_INFO

INTER_RAT_HANDOVER_INFO_TRANSFERRED

LATEST_CONFIGURED_CN_DOMAIN

START_THRESHOLD

UE_CAPABILITY_TRANSFERRED.

1> set the new uplink and downlink HFN of RB2 to MSB_{20}(MAX(uplink HFN of RB2, downlink HFN of RB2));

NOTE: MSB_{20}() operation provides the HFN mapping from GERAN *Iu mode* to UTRAN. In GERAN *Iu mode* the length of HFN component of the COUNT-C of RB2 is longer than 20 bits.

1> initialise the variable TIMERS_AND_CONSTANTS to the default values and start to use those timer and constants values.

8.2.2.4 Transmission of a response message by the UE, normal case

In case the procedure was triggered by reception of a RADIO BEARER SETUP message, the UE shall:

1> transmit a RADIO BEARER SETUP COMPLETE as response message on the uplink DCCH using AM RLC.

In case the procedure was triggered by reception of a RADIO BEARER RECONFIGURATION message, the UE shall:

1> transmit a RADIO BEARER RECONFIGURATION COMPLETE as response message on the uplink DCCH using AM RLC.

In case the procedure was triggered by reception of a RADIO BEARER RELEASE message, the UE shall:

1> transmit a RADIO BEARER RELEASE COMPLETE as response message on the uplink DCCH using AM RLC.

In case the procedure was triggered by reception of a TRANSPORT CHANNEL RECONFIGURATION message, the UE shall:

1> transmit a TRANSPORT CHANNEL RECONFIGURATION COMPLETE as response message on the uplink DCCH using AM RLC.

In case the procedure was triggered by reception of a PHYSICAL CHANNEL RECONFIGURATION message, the UE shall:

1> transmit a PHYSICAL CHANNEL RECONFIGURATION COMPLETE as response message on the uplink DCCH using AM RLC.

If the new state is CELL_DCH or CELL_FACH, the response message shall be transmitted using the new configuration after the state transition, and the UE shall:

1> if the IE "Downlink counter synchronisation info" was included in the reconfiguration message; or

1> if the received reconfiguration message is a RADIO BEARER RECONFIGURATION and the IE "New U-RNTI" is included:

2> when RLC has confirmed the successful transmission of the response message:

3> if the variable PDCP_SN_INFO is empty:

4> configure the RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "continue".

3> else:

4> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "continue";

4> configure the RLC entity for UM and AM radio bearers for which the IE "PDCP SN Info" is not included to "continue".

3> re-establish all AM and UM RLC entities with RB identities larger than 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the corresponding CN domain;

3> re-establish the RLC entities with RB identities 1, 3 and 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN;

3> set the remaining bits of the HFN component of COUNT-C values of all UM RLC entities to zero;

3> if the IE "PDCP context relocation info" is not present:

4> re-initialise the PDCP header compression entities of each radio bearer in the variable ESTABLISHED_RABS as specified in [36].

3> if the IE "PDCP context relocation info" is present:

4> perform the actions as specified in subclause 8.6.4.13.

1> if the variable PDCP_SN_INFO is empty:

2> if the received reconfiguration message contained the IE "Ciphering mode info":

3> when RLC has confirmed the successful transmission of the response message:

4> notify upper layers upon change of the security configuration;

4> perform the actions below.

2> if the received reconfiguration message did not contain the IE "Ciphering mode info":

3> when RLC has been requested to transmit the response message:

4> perform the actions below.

1> if the variable PDCP_SN_INFO is non-empty:

2> when RLC has confirmed the successful transmission of the response message:

3> for each radio bearer in the variable PDCP_SN_INFO:

4> if the IE "RB started" in the variable ESTABLISHED_RABS is set to "started":

5> configure the RLC entity for that radio bearer to "continue".

3> perform the actions below.

If the new state is CELL_PCH or URA_PCH, the response message shall be transmitted using the old configuration before the state transition, but the new C-RNTI shall be used if the IE "New C-RNTI" was included in the received reconfiguration message, and the UE shall:

1> when RLC has confirmed the successful transmission of the response message:

2> for each radio bearer in the variable PDCP_SN_INFO:

3> if the IE "RB started" in the variable ESTABLISHED_RABS is set to "started":

4> configure the RLC entity for that radio bearer to "continue".

2> enter the new state (CELL_PCH or URA_PCH, respectively);

2> perform the actions below.

The UE shall:

1> set the variable ORDERED_RECONFIGURATION to FALSE;

1> if the received reconfiguration message contained the IE "Ciphering mode info":

2> resume data transmission on any suspended radio bearer and signalling radio bearer mapped on RLC-AM or RLC-UM;

2> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

1> if the received reconfiguration message contained the IE "Integrity protection mode info":

2> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

2> set "Uplink RRC Message sequence number" for signalling radio bearer RB0 in the variable INTEGRITY_PROTECTION_INFO to a value such that next RRC message to be sent on uplink RB0 will use the new integrity protection configuration;

2> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

1> clear the variable PDCP_SN_INFO;

1> clear the variable START_VALUE_TO_TRANSMIT;

1> clear the variable SECURITY_MODIFICATION.

8.2.2.5 Reception of a response message by the UTRAN, normal case

When UTRAN has received

- the RADIO BEARER SETUP COMPLETE message; or
- the RADIO BEARER RECONFIGURATION COMPLETE message; or
- the RADIO BEARER RELEASE COMPLETE message; or
- the TRANSPORT CHANNEL RECONFIGURATION COMPLETE message; or
- the PHYSICAL CHANNEL RECONFIGURATION COMPLETE message.

UTRAN may:

1> delete the old configuration.

If the procedure caused the UE to leave the CELL_FACH state, UTRAN may:

1> delete the C-RNTI of the UE.

If the IE "UL Timing Advance" or the IE "Extended UL Timing Advance" is included in TDD, UTRAN should:

1> evaluate the timing advance value that the UE has to use in the new cell after handover.

If the IE "START" or the IE "START list " is included, UTRAN should:

1> set the START value for each CN domain with the corresponding values as received in this response message;

1> consequently, then use the START values to initialise the hyper frame numbers, in the same way as specified for the UE in subclause 8.2.2.3, for any new radio bearers that are established.

If UTRAN has ordered a ciphering reconfiguration by including the IE "Ciphering mode info", UTRAN should:

1> for radio bearers using RLC-AM or RLC-UM:

2> on the receiving side of an RLC entity apply the new ciphering configuration in uplink immediately;

2> on the transmitting side of an RLC entity apply the new ciphering configuration in downlink immediately.

1> for radio bearers using RLC-TM:

2> begin incrementing the COUNT-C at the CFN only as indicated in:

3> the IE "Ciphering activation time for DPCH" in the IE "Ciphering mode info", if included in the message that triggered the radio bearer control procedure; or

3> the IE "COUNT-C activation time", if included in the response message for this procedure.

1> and the procedure ends on the UTRAN side.

8.2.2.5a Rejection by the UE

If the UTRAN establishes one or more p-t-p radio bearer(s) for the transmission of a session of an MBMS service, identified by the IE "MBMS Session identity", for which upper layers indicate that it has already been received correctly, the UE shall:

1> transmit a failure response as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier";

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS;

2> clear that entry; and

2> set the IE "failure cause" to "MBMS session already received correctly".

1> set the variable UNSUPPORTED_CONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

1> the procedure ends.

If the UTRAN establishes one or more p-t-p radio bearer(s) for the transmission of a session of an MBMS service, which will inhibit reception of one or more MBMS services which according to upper layers are of higher priority, the UE may:

1> transmit a failure response as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier";

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS;

2> clear that entry; and

2> set the IE "failure cause" to "Lower priority MBMS service".

1> set the variable UNSUPPORTED_CONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

1> the procedure ends.

8.2.2.6 Unsupported configuration in the UE

If the UTRAN instructs the UE to use a configuration, which it does not support and/or if the received message causes the variable UNSUPPORTED_CONFIGURATION to be set to TRUE, the UE shall:

1> transmit a failure response as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to "configuration unsupported".

1> set the variable UNSUPPORTED_CONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

The procedure ends.

8.2.2.7 Physical channel failure

If the received message caused the UE to be in CELL_DCH state and the UE according to subclause 8.5.4 failed to establish the dedicated physical channel(s) indicated in the received message or for 3.84 Mcps TDD or 7.68 Mcps TDD failed to establish the physical channel(s) indicated in the received message to which DCCH(s) are mapped the UE shall:

1> For TDD or for FDD if the CM_PATTERN_ACTIVATION_ABORTED flag is not set to TRUE:

2> revert to the configuration prior to the reception of the message (old configuration), including any HS-DSCH and E-DCH configuration if existing;

2> For FDD: if the UE was in Cell DCH state prior to the reconfiguration:

3> perform the physical layer synchronisation procedure A as specified in [29];

3> apply power control preamble according to [26] during the number of frames indicated in the IE "PC preamble" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE; and

3> then not send any data on signalling radio bearers RB0 to RB4 during the number of frames indicated in the IE "SRB delay" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE or while the physical channel is not considered established;.

1> if the old configuration includes dedicated physical channels (CELL_DCH state) and the UE is unable to revert to the old configuration or for FDD if the CM_PATTERN_ACTIVATION_ABORTED flag is set to TRUE:

2> initiate a cell update procedure according to subclause 8.3.1, using the cause "radio link failure";

2> after the cell update procedure has completed successfully:

3> proceed as below.

1> if the old configuration does not include dedicated physical channels (CELL_FACH state):

2> select a suitable UTRA cell according to [4];

2> if the UE selects another cell than the cell the UE camped on upon reception of the reconfiguration message:

3> initiate a cell update procedure according to subclause 8.3.1, using the cause "Cell reselection";

3> after the cell update procedure has completed successfully:

4> proceed as below.

1> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to "physical channel failure".

1> set the variable ORDERED_RECONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

The procedure ends.

8.2.2.8 Cell re-selection

If the UE performs cell re-selection during the reconfiguration procedure, the UE shall:

1> initiate a cell update procedure, as specified in subclause 8.3.1;

1> continue with the reconfiguration procedure.

NOTE: After the completion of the cell update procedure and completion of the reconfiguration procedure within the UE, the UE will move to the RRC state as indicated in the reconfiguration message.

8.2.2.9 Transmission of a response message by the UE, failure case

The UE shall:

1> in case of reception of a RADIO BEARER SETUP message:

2> if the radio bearer establishment procedure affects several radio bearers:

3> (may) include the identities of the radio bearers for which the procedure would have been successful into the RADIO BEARER SETUP FAILURE message.

2> transmit a RADIO BEARER SETUP FAILURE as response message on the DCCH using AM RLC.

1> in case of reception of a RADIO BEARER RECONFIGURATION message:

2> if the radio bearer reconfiguration procedure affects several radio bearers:

3> (may) include the identities of the radio bearers for which the procedure would have been successful into the RADIO BEARER RECONFIGURATION FAILURE message.

2> transmit a RADIO BEARER RECONFIGURATION FAILURE as response message on the DCCH using AM RLC.

1> in case of reception of a RADIO BEARER RECONFIGURATION message encapsulated in INTERSYSTEM HANDOVER TO UTRAN COMMAND message in GERAN *Iu mode*:

2> perform the actions as specified in [53].

1> in case of reception of a RADIO BEARER RELEASE message:

2> if the radio bearer release procedure affects several radio bearers:

3> (may) include the identities of the radio bearers for which the procedure would have been successful into the RADIO BEARER RELEASE FAILURE message.

2> transmit a RADIO BEARER RELEASE FAILURE as response message on the DCCH using AM RLC.

1> in case of reception of a TRANSPORT CHANNEL RECONFIGURATION message:

2> transmit a TRANSPORT CHANNEL RECONFIGURATION FAILURE as response message on the DCCH using AM RLC.

1> in case of reception of a PHYSICAL CHANNEL RECONFIGURATION message:

2> transmit a PHYSICAL CHANNEL RECONFIGURATION FAILURE as response message on the DCCH using AM RLC.

1> when the response message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if no reconfiguration attempt had occurred.

8.2.2.10 Reception of a response message by the UTRAN, failure case

When the UTRAN has received:

- the RADIO BEARER SETUP FAILURE message; or
- the RADIO BEARER RECONFIGURATION FAILURE message; or
- the RADIO BEARER RELEASE FAILURE message; or
- the TRANSPORT CHANNEL RECONFIGURATION FAILURE message; or
- the PHYSICAL CHANNEL RECONFIGURATION FAILURE message:

the UTRAN may restore the old and delete the new configuration. Upper layers should be notified of the failure.

The procedure ends on the UTRAN side.

8.2.2.11 Invalid configuration

If the variable INVALID_CONFIGURATION is set to TRUE the UE shall:

1> keep the configuration existing before the reception of the message;

1> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

3> clear that entry.

2> set the IE "failure cause" to "invalid configuration".

1> set the variable INVALID_CONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

The procedure ends.

8.2.2.12 Incompatible simultaneous reconfiguration

If the table "Rejected transactions" in the variable TRANSACTIONS is set due to the received message and the variable PROTOCOL_ERROR_REJECT is set to FALSE, the UE shall:

1> not apply the configuration contained in the received reconfiguration message;

1> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to "incompatible simultaneous reconfiguration".

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

The procedure ends.

8.2.2.12a Incompatible simultaneous security reconfiguration

If the variable INCOMPATIBLE_SECURITY_RECONFIGURATION is set to TRUE due to the received reconfiguration message, the UE shall:

1> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to the cause value "incompatible simultaneous reconfiguration".

1> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to FALSE;

1> continue with any ongoing processes and procedures as if the reconfiguration message was not received.

The procedure ends.

8.2.2.12b Cell update procedure during security reconfiguration

If:

- a cell update procedure according to subclause 8.3.1 is initiated; and
- the received reconfiguration message causes either:
  - the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE; and/or
  - the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to be set to TRUE:

the UE shall:

1> release all radio resources;

1> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers; and

1> clear any entry for the RRC CONNECTION RELEASE message in the tables "Accepted transactions" and "Rejected transactions" in the variable TRANSACTIONS;

1> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

1> clear the variable ESTABLISHED_RABS;

1> if the received reconfiguration message contained the IE "Ciphering mode info":

2> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable SECURITY_MODIFICATION.

1> if the received reconfiguration message contained the IE "Integrity protection mode info":

2> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

1> enter idle mode;

1> perform the actions specified in subclause 8.5.2 when entering idle mode;

1> and the procedure ends.

NOTE: UTRAN should use RB Control messages to perform an SRNS relocation only in case of state transitions from CELL_DCH to CELL_DCH.

8.2.2.13 Invalid received message

If the received reconfiguration message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to the cause value "protocol error";

2> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

The procedure ends.

8.2.2.14 Radio link failure

If the criteria for radio link failure are met in the old configuration during the reconfiguration procedure as specified in subclause 8.5.6, the UE shall:

1> if UE would have entered CELL_PCH or URA_PCH as a result of this reconfiguration procedure and UE has already submitted a response message to lower layers:

2> act as if the reconfiguration message was not received;

2> initiate a cell update procedure according to subclause 8.3.1, using the cause "radio link failure";

2> the procedure ends.

NOTE: UTRAN should consider the reconfiguration procedure as unsuccessful in this case even if a success response message had been received.

1> if the UE would have remained in CELL_DCH state as a result of this reconfiguration procedure:

2> initiate a cell update procedure according to subclause 8.3.1, using the cause "radio link failure";

2> after the cell update procedure has completed successfully:

3> transmit a failure response message as specified in subclause 8.2.2.9, setting the information elements as specified below:

4> include the IE "RRC transaction identifier"; and

4> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

4> clear that entry;

4> set the IE "failure cause" to "physical channel failure".

3> act as if the reconfiguration message was not received;

3> the procedure ends.

If the criteria for radio link failure are met in the new configuration during the reconfiguration procedure (i.e. while UE is waiting for RLC acknowledgement for a response message.) as specified in subclause 8.5.6, the UE shall:

1> if the received reconfiguration causes either:

- the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE; and/or
- the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to be set to TRUE:

2> perform the actions specified in subclause 8.2.2.12b.

1> else, the UE should:

2> release all its radio resources;

2> indicate the release of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear any entry for the RRC CONNECTION RELEASE message in the tables "Accepted transactions" and "Rejected transactions" in the variable TRANSACTIONS;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode; and

2> the procedure ends.

8.2.3 Radio bearer release

See subclause 8.2.2 (Reconfiguration procedures).

8.2.4 Transport channel reconfiguration

See subclause 8.2.2 (Reconfiguration procedures).

8.2.5 Transport format combination control

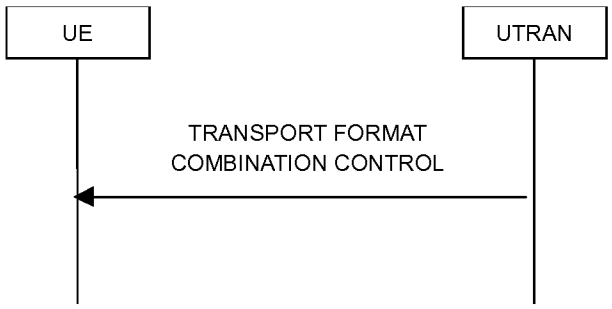


Figure 8.2.5-1: Transport format combination control, normal flow

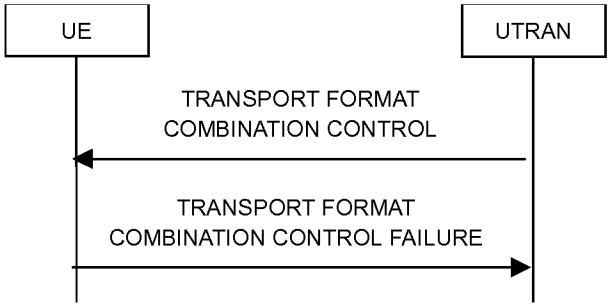


Figure 8.2.5-2: Transport format combination control, failure case

8.2.5.1 General

The transport format combination control procedure is used to control the allowed uplink transport format combinations within the transport format combination set.

8.2.5.2 Initiation

To initiate the transport format combination control procedure, the UTRAN transmits the TRANSPORT FORMAT COMBINATION CONTROL message on the downlink DCCH using AM, UM or TM RLC. When not stated otherwise elsewhere, the UTRAN may initiate the transport format combination control procedure also when another procedure is ongoing, and in that case the state of the latter procedure shall not be affected.

To change the sub-set of allowed transport format combinations, the UTRAN should:

1> set the allowed TFCs in the IE "Transport Format Combination subset" ("TFC subset"). The UTRAN may specify the duration for which a new TFC sub-set applies by using the IE "TFC Control duration" and independently may specify the time at which a new TFC sub-set shall be applied using the IE "Activation time for TFC subset".

To remove completely the previous restrictions of allowed transport format combinations, the UTRAN should:

1> set the IE "full transport format combination set " in the IE "TFC subset".

8.2.5.3 Reception of a TRANSPORT FORMAT COMBINATION CONTROL message by the UE

If the TRANSPORT FORMAT COMBINATION CONTROL message was received on AM RLC or UM RLC, the UE shall:

1> act upon all received information elements as specified in 8.6, unless specified otherwise in the following;

1> perform the actions for the transport format combination subset specified in the IE "DPCH/PUSCH TFCS in uplink" according to subclause 8.6.5.3;

1> if the variable INVALID_CONFIGURATION is set to FALSE:

2> if the IE "TFC Control duration" is included in the message:

3> store the value of the IE "TFC Control duration" in the IE "Duration" in the variable TFC_SUBSET;

3> set the IE "Current TFC subset" (for the CCTrCH indicated by the IE "TFCS Id" in case of TDD) in the variable TFC_SUBSET to the value of the IE "Transport format combination subset";

3> at the CFN indicated by IE "Activation time for TFC subset" apply the transport format combination subset in the IE "Current TFC subset" stored in the variable TFC_SUBSET for the number of (10 ms) frames specified in the IE "Duration";

3> at the end of the time period defined by the IE "Duration"in the variable TFC_SUBSET:

4> if the IE "Current TFC subset" (for the CCTrCH indicated by the IE "TFCS Id" in case of TDD) in the variable TFC_SUBSET has not subsequently been changed by another message:

5> set the value of the IE "Current TFC subset" to the value of the IE "Default TFC subset" in the variable TFC_SUBSET;

5> clear the IE "Duration" in the variable TFC_SUBSET;

5> apply the transport format combination subset in the IE "Current TFC subset" stored in the variable TFC_SUBSET;

2> if the IE "TFC Control duration" is not included in the message:

3> clear the value of the IE "Duration" in the variable TFC_SUBSET;

3> set both the IE "Current TFC subset" and the IE "Default TFC subset" (for the CCTrCH indicated by the IE "TFCS Id" in case of TDD) in the variable TFC_SUBSET to the value of the IE "Transport format combination subset";

3> at the CFN indicated by the IE "Activation time for TFC subset" apply the transport format combination subset in the IE "Current TFC subset" stored in the variable TFC_SUBSET.

If the TRANSPORT FORMAT COMBINATION CONTROL message was received on TM RLC, the UE shall:

1> if the IE "TFC subset identity" identifies one of the TFC subsets stored in the IE "TFC subset list" in the variable TFC_SUBSET:

2> perform the actions as specified in subclause 8.6.5.3;

2> if the variable INVALID_CONFIGURATION is set to FALSE:

3> in the variable TFC_SUBSET, set the IE "Current TFC subset" and the IE "default TFC subset" to the value of the IE "TFC subset" in "TFC subset list" which is identified by the IE "TFC subset identity";

3> clear the IE "Duration" in the variable TFC_SUBSET;

3> apply the transport format combination subset in the IE "Current TFC subset" stored in the variable TFC_SUBSET.

1> if the IE "TFC subset identity" is greater than the maximum number of TFC subsets stored in the IE "TFC subset list" in the variable TFC_SUBSET:

2> set the variable INVALID_CONFIGURATION to TRUE.

NOTE: The UTRAN should only send the TRANSPORT FORMAT COMBINATION CONTROL message on TM RLC in order to control the rate of TM RBs (for example, carrying multi-rate AMR or WB-AMR) otherwise the UE behaviour is not specified.

The UE shall:

1> clear the entry for the TRANSPORT FORMAT COMBINATION CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> and the procedure ends.

8.2.5.4 Invalid configuration

If the variable INVALID_CONFIGURATION is set to TRUE due to the received TRANSPORT FORMAT COMBINATION CONTROL message the UE shall:

1> if the TRANSPORT FORMAT COMBINATION CONTROL message was received on AM RLC:

2> keep the TFC subset existing before the TRANSPORT FORMAT COMBINATION CONTROL message was received;

2> transmit a TRANSPORT FORMAT COMBINATION CONTROL FAILURE message on the DCCH using AM RLC;

2> set the IE "RRC transaction identifier" in the TRANSPORT FORMAT COMBINATION CONTROL FAILURE message to the value of "RRC transaction identifier" in the entry for the TRANSPORT FORMAT COMBINATION CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to "invalid configuration";

2> when the TRANSPORT FORMAT COMBINATION CONTROL FAILURE message has been submitted to lower layers for transmission the procedure ends.

1> if the TRANSPORT FORMAT COMBINATION CONTROL message was received on UM RLC or TM RLC:

2> ignore the TRANSPORT FORMAT COMBINATION CONTROL message;

2> clear the entry for the TRANSPORT FORMAT COMBINATION CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS.

8.2.5.5 Invalid TRANSPORT FORMAT COMBINATION CONTROL message

If the TRANSPORT FORMAT COMBINATION CONTROL message was received on AM RLC or UM RLC and contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit a TRANSPORT FORMAT COMBINATION CONTROL FAILURE message on the uplink DCCH using AM RLC setting the information elements as specified below:

2> set the IE "RRC transaction identifier" in the TRANSPORT FORMAT COMBINATION CONTROL FAILURE message to the value of "RRC transaction identifier" in the entry for the TRANSPORT FORMAT COMBINATION CONTROL message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to the cause value "protocol error";

2> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> when the TRANSPORT FORMAT COMBINATION CONTROL FAILURE message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid TRANSPORT FORMAT COMBINATION CONTROL message has not been received;

2> and the procedure ends.

If the TRANSPORT FORMAT COMBINATION CONTROL message was received on TM RLC and contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> ignore the invalid TRANSPORT FORMAT COMBINATION CONTROL message as if it has not been received;

1> the procedure ends.

8.2.6 Physical channel reconfiguration

See subclause 8.2.2 Reconfiguration procedures.

8.2.7 Physical Shared Channel Allocation [TDD only]



Figure 8.2.7-1: Physical Shared Channel Allocation

8.2.7.1 General

The purpose of this procedure is to allocate radio resources to USCH and/or DSCH transport channels in TDD mode, for use by a UE. This procedure can also be used to indicate to the UE, that a PUSCH allocation is pending, in order to prevent further capacity requests from the UE.

UEs are not required to receive FACH and DSCH simultaneously, i.e. if resources are allocated to DSCH the FACH reception may be suspended.

8.2.7.2 Initiation

To initiate the Physical Shared Channel Allocation procedure, the UTRAN sends the "PHYSICAL SHARED CHANNEL ALLOCATION" message on the downlink SHCCH or on the downlink DCCH using UM RLC. The DSCH-RNTI shall be included for UE identification, if the message is sent on the SHCCH.

8.2.7.3 Reception of a PHYSICAL SHARED CHANNEL ALLOCATION message by the UE

Upon reception of a "PHYSICAL SHARED CHANNEL ALLOCATION" message, if the message is received on the downlink SHCCH the UE shall:

1> check the DSCH-RNTI to see if the UE is addressed by the message;

1> if the UE is addressed by the message, or if the message is received on the downlink DCCH:

2> perform the following actions.

1> otherwise:

2> ignore the message.

1> act upon all received information elements as specified in subclause 8.6, unless specified otherwise in the following:

1> if the IE "ISCP Timeslot list" is included:

2> store the timeslot numbers given there for future Timeslot ISCP measurements and reports in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION.

1> if the IE "PDSCH capacity allocation info" is included:

2> configure the physical resources used for the downlink CCTrCH given by the IE "TFCS ID" according to the following:

3> if the CHOICE "Configuration" has the value "Old configuration":

4> if the UE has stored a PDSCH configuration in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION with the identity given by the IE "PDSCH Identity":

5> configure the physical resources according to that configuration.

4> otherwise:

5> ignore the IE "PDSCH capacity allocation info".

3> if the CHOICE "Configuration" has the value "New configuration":

4> configure the physical resources according to the information given in IE "PDSCH Info". If IE "Common timeslot info" or IE "PDSCH timeslots and codes" IE are not present in IE "PDSCH Info":

5> reuse the configuration stored in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION for this CCTrCH.

4> if the IE "PDSCH Identity" is included:

5> store the new configuration in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION using that identity.

2> start using the new configuration at the CFN specified by the IE "Allocation activation time", and use that for the duration given by the IE "Allocation duration";

2> if the IE "Confirm request" has the value "Confirm PDSCH" and IE "PDSCH Identity" is included in IE "PDSCH capacity allocation info":

3> initiate the PUSCH CAPACITY REQUEST procedure as described in subclause 8.2.8.

1> if the IE "PUSCH capacity allocation info" is included:

2> stop the timer T310, if running;

2> if the CHOICE "PUSCH allocation" has the value "PUSCH allocation pending":

3> start the timer T311.

2> if the CHOICE "PUSCH allocation" has the value "PUSCH allocation assignment":

3> stop the timer T311, if running;

3> configure the physical resources used for the uplink CCTrCH given by the IE "TFCS ID" according to the following:

4> if the CHOICE "Configuration" has the value "Old configuration":

5> if the UE has stored a PUSCH configuration with the identity given by the IE "PUSCH Identity" in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION:

6> configure the physical resources according to that configuration.

5> otherwise:

6> ignore the IE "PUSCH capacity allocation info".

4> if the CHOICE "Configuration" has the value "New configuration", the UE shall:

5> configure the physical resources according to the information given in IE "PUSCH Info". If IE "Common timeslot info" or IE "PUSCH timeslots and codes" is not present in IE "PUSCH Info":

6> reuse the configuration stored in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION for this CCTrCH.

5> if the IE "PUSCH Identity" is included:

6> store the new configuration in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION using that identity.

3> if the IE "PUSCH power control info" is present in this message and includes the parameter "UL target SIR" for 3.84 Mcps TDD or 7.68 Mcps TDD, or the parameters "$PRX_{PUSCHdes}$" and "Beacon PL Est. " and

"TPC Step Size" for 1.28 Mcps TDD, or the parameters are stored in the variable PHYSICAL SHARED CHANNEL CONFIGURATION for this CCTrCH:

4> start using the new configuration at the CFN specified by the IE "Allocation activation time", and use that for the duration given by the IE "Allocation duration".

3> otherwise:

4> ignore the IE "PUSCH capacity allocation info".

3> if the IE "PUSCH power control info" is present in this message and includes the parameter "UL target SIR" for 3.84 Mcps TDD or 7.68 Mcps TDD, or the parameters "$PRX_{PUSCHdes}$" and/or "Beacon PL Est. " and/or "TPC Step Size" for 1.28 Mcps TDD:

4> replace the parameters "UL target SIR" or "$PRX_{PUSCHdes}$" or "TPC Step Size" stored in the variable PHYSICAL SHARED CHANNEL CONFIGURATION for this CCTrCH with the signalled values.

3> if the IE "Traffic volume report request " is included:

4> initiate the PUSCH CAPACITY REQUEST procedure as described in subclause 8.2.8 at the time indicated by the IE "Traffic volume report request".

3> if the IE "Confirm request" has the value "Confirm PUSCH" and IE "PUSCH Identity" is included in IE "PUSCH capacity allocation info":

4> initiate the PUSCH CAPACITY REQUEST procedure as described in subclause 8.2.8.

3> determine the TFCS subset and hence the TFCI values which are possible given the PUSCH allocation for that CCTrCH;

3> configure the MAC-c/sh in the UE with this TFCS restriction if necessary;

3> transmit USCH Transport Block Sets as required, within the TFCS limits given by the PUSCH allocation.

NOTE: If the UE has just entered a new cell and System Information Block Type 6 has not yet been scheduled, PUSCH/PDSCH information should be specified in the allocation message.

The UE shall:

1> clear the entry for the PHYSICAL SHARED CHANNEL ALLOCATION message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> and the procedure ends.

8.2.7.4 Invalid PHYSICAL SHARED CHANNEL ALLOCATION message

If the UE receives a PHYSICAL SHARED CHANNEL ALLOCATION message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> ignore the invalid PHYSICAL SHARED CHANNEL ALLOCATION message;

1> submit the PUSCH CAPACITY REQUEST message for transmission on the uplink SHCCH, setting the information elements in the message as specified in subclause 8.2.8.3;

1> reset counter V310;

1> start timer T310;

1> proceed as described in subclause 8.2.8.

8.2.8 PUSCH capacity request [TDD only]

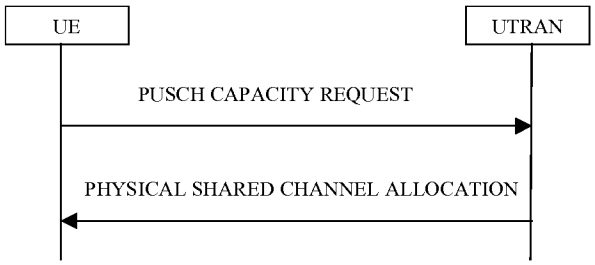


Figure 8.2.8-1: PUSCH Capacity request procedure

8.2.8.1 General

With this procedure, the UE transmits its request for PUSCH resources to the UTRAN. In the normal case, the UTRAN responds with a PHYSICAL SHARED CHANNEL ALLOCATION message, which either allocates the requested PUSCH resources, and/or allocates a PDSCH resource, or may just serve as an acknowledgement, indicating that PUSCH allocation is pending.

This procedure can also be used to acknowledge the reception of a PHYSICAL SHARED CHANNEL ALLOCATION message, or to indicate a protocol error in that message.

With the PUSCH CAPACITY REQUEST message, the UE can request capacity for one or more USCH.

8.2.8.2 Initiation

This procedure is initiated:

1> in the CELL_FACH or CELL_DCH state;

1> and when at least one RB using USCH has been established;

1> and when the UE sees the requirement to request physical resources (PUSCH) for an USCH channel or there is the need to reply to a PHYSICAL SHARED CHANNEL ALLOCATION message as described in clause 8.2.7 (i.e. to confirm the reception of a message, if requested to do so, or to indicate a protocol error).

The procedure can be initiated if:

- Timer T311 is not running.
- The timer T310 (capacity request repetition timer) is not running.

The UE shall:

1> set the IEs in the PUSCH CAPACITY REQUEST message according to subclause 8.2.8.3;

1> if the procedure is triggered to reply to a previous PHYSICAL SHARED CHANNEL ALLOCATION message by the IE "Confirm request" set to "Confirm PUSCH" and the IE "PUSCH capacity allocation info" is not present:

2> transmit the PUSCH CAPACITY REQUEST message on RACH.

1> else:

2> transmit the PUSCH CAPACITY REQUEST message on the uplink SHCCH.

1> set counter V310 to 1;

1> start timer T310.

8.2.8.3 PUSCH CAPACITY REQUEST message contents to set

With one PUSCH CAPACITY REQUEST message, capacity for one or more USCH can be requested. It shall include these information elements:

1> DSCH-RNTI to be used as UE identity if the message is sent on RACH;

1> Traffic volume measured results for each radio bearer satisfying the reporting criteria as specified in the MEASUREMENT CONTROL procedure (if no radio bearer satisfies the reporting criteria, traffic volume measured results shall not be included). These results shall include:

2> Radio Bearer ID of the Radio Bearer being reported;

2> RLC buffer payload for these radio bearers, as specified by the MEASUREMENT CONTROL procedure.

The UE shall:

1> if the initiation of the procedure is triggered by the IE "Traffic volume report request" in a previously received PHYSICAL SHARED CHANNEL ALLOCATION message:

2> report the traffic volume measurement result for the radio bearer mapped on USCH transport channel specified in the received message. These results shall include:

3> Radio Bearer ID of the Radio Bearer being reported;

3> RLC buffer payload for this radio bearer.

1> if the initiation of the procedure is triggered by the IE "Confirm request" set to "Confirm PDSCH" in a previously received PHYSICAL SHARED CHANNEL ALLOCATION message and the IE "PUSCH capacity allocation info" is present in this message:

2> set the CHOICE "Allocation confirmation" to "PDSCH Confirmation" with the value given in the IE "PDSCH Identity" stored in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION.

1> if the initiation of the procedure is triggered by the IE "Confirm request" set to "Confirm PUSCH" in a previously received PHYSICAL SHARED CHANNEL ALLOCATION message:

2> set the CHOICE "Allocation confirmation" to "PUSCH Confirmation" with the value given in the IE "PUSCH Identity" stored in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION.

1> if the variable PROTOCOL_ERROR_REJECT is set to TRUE:

2> include the IE "RRC transaction identifier" in the response message transmitted below; and

2> set it to the value of "RRC transaction identifier" in the entry for the PHYSICAL SHARED CHANNEL ALLOCATION message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "protocol error indicator" to TRUE;

2> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> if the value of the variable PROTOCOL_ERROR_ REJECT is FALSE:

2> set the IE "Protocol error indicator" to FALSE.

As an option, the message may include IE "Timeslot ISCP" and IE "Primary CCPCH RSCP".

The timeslots for which "Timeslot ISCP" may be reported shall have been configured with a previous PHYSICAL SHARED CHANNEL ALLOCATION message and stored in the variable PHYSICAL_SHARED_CHANNEL_CONFIGURATION.

"Primary CCPCH RSCP" is reported when requested with a previous PHYSICAL SHARED CHANNEL ALLOCATION message.

8.2.8.4 Reception of a PUSCH CAPACITY REQUEST message by the UTRAN

Upon receiving a PUSCH CAPACITY REQUEST message with traffic volume measurement included for at least one radio bearer, the UTRAN should initiate the PHYSICAL SHARED CHANNEL ALLOCATION procedure, either for allocating PUSCH or PDSCH resources as required, or just as an acknowledgement, indicating a pending PUSCH allocation, as described in subclause 8.2.7.

8.2.8.5 T310 expiry

Upon expiry of timer T310, the UE shall:

1> if V310 is smaller than N310:

2> transmit a new PUSCH CAPACITY REQUEST message on the Uplink SHCCH;

2> restart timer T310;

2> increment counter V310;

2> set the IEs in the PUSCH CAPACITY REQUEST message as specified in subclause 8.2.8.3.

1> if V310 is greater than or equal to N310:

2> the procedure ends.

8.2.9 Void

8.2.10 Uplink Physical Channel Control [TDD only]



Figure 8.2.10-1: Uplink Physical Channel Control

8.2.10.1 General

The uplink physical channel control procedure is used in TDD to control the uplink outer loop power control and timing advance running in the UE.

8.2.10.2 Initiation

The UTRAN initiates the procedure by transmitting the UPLINK PHYSICAL CHANNEL CONTROL message on the downlink DCCH using AM or UM RLC in order to update parameters for uplink open loop power control in the UE for one CCTrCH or to inform the UE about a new timing advance value to be applied. Especially, uplink interference information measured by the UTRAN can be included for the uplink timeslots used for the CCTrCH.

8.2.10.3 Reception of UPLINK PHYSICAL CHANNEL CONTROL message by the UE

Upon reception of the UPLINK PHYSICAL CHANNEL CONTROL message, the UE shall:

1> act upon all received information elements as specified in subclause 8.6.

In 1.28 Mcps TDD, if the IE "Uplink DPCH Power Control Info" and IE "$PRX_{HS-SICH}$" and IE "TPC step size" are transmitted, this information shall be taken into account by the UE for uplink open loop power control and for uplink closed loop power control as described in subclause 8.6.6.11, and the"$PRX_{HS-SICH}$" shall be taken into account by the UE for open loop power control as described in subclause 8.5.7 and the "TPC step size" for closed loop power control on HS-SICH.

In 3.84 Mcps TDD or 7.68 Mcps TDD, if the IEs "Uplink DPCH Power Control Info", "PRACH Constant Value", "PUSCH Constant Value", "HS-SICH Power Control Info", "Alpha" or IE group "list of UL Timeslot Interference" are transmitted, this information shall be taken into account by the UE for uplink open loop power control as specified in subclause 8.5.7. If the UE is capable of using IPDLs for UE positioning, the IE "IPDL-Alpha" shall be used instead of the IE "Alpha". If the IE "IPDL-Alpha" parameter is not present, the UE shall use IE "Alpha".

If the IE Special Burst Scheduling is transmitted the UE shall:

1> use the new value for the "Special Burst Generation Period".

The UE shall:

1> clear the entry for the UPLINK PHYSICAL CHANNEL CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS;

1> and the procedure ends.

8.2.10.4 Invalid UPLINK PHYSICAL CHANNEL CONTROL message

If the UE receives a UPLINK PHYSICAL CHANNEL CONTROL message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC, setting the information elements as specified below:

2> include the IE "Identification of received message"; and

2> set the IE "Received message type" to UPLINK PHYSICAL CHANNEL CONTROL; and

2> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the UPLINK PHYSICAL CHANNEL CONTROL message in the table "Rejected transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid UPLINK PHYSICAL CHANNEL CONTROL message has not been received.

8.2.11 Physical channel reconfiguration failure

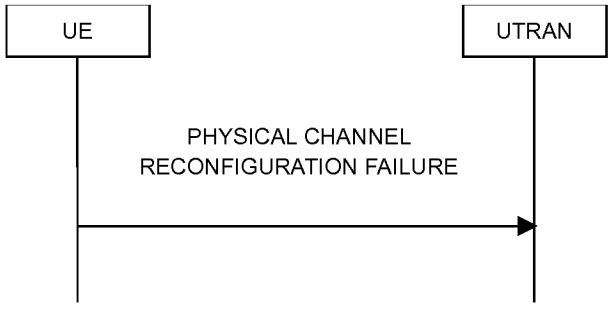


Figure 8.2.11-1: Physical channel reconfiguration failure in case of runtime configuration error

8.2.11.1 General

The physical channel reconfiguration failure procedure is used to indicate to the network a runtime configuration error in the UE.

8.2.11.2 Runtime error due to overlapping compressed mode configurations

When the UE has received from the UTRAN the configurations of several compressed mode transmission gap pattern sequences, and if several of these patterns are to be simultaneously active, the UE shall check to see if these simultaneously active transmission gap pattern sequences create transmission gaps in the same frame. An illegal overlap is created if two or more transmission gap pattern sequences create transmission gaps in the same frame, irrespective of the gaps are created in uplink or downlink.

If the parallel transmission gap pattern sequences create an illegal overlap, the UE shall:

1> delete the overlapping transmission gap pattern sequence configuration stored in the variable TGPS_IDENTITY, which is associated with the highest value of IE "TGPSI";

1> transmit a PHYSICAL CHANNEL RECONFIGURATION FAILURE message on the DCCH using AM RLC, setting the information elements as specified below:

2> not include the IE "RRC transaction identifier";

2> set the cause value in IE "failure cause" to value "compressed mode runtime error".

1> terminate the inter-frequency and/or inter-RAT measurements corresponding to the deleted transmission gap pattern sequence;

1> when the PHYSICAL CHANNEL RECONFIGURATION FAILURE message has been submitted to lower layers for transmission:

2> the procedure ends.

8.2.11.3 Void

8.3 RRC connection mobility procedures

8.3.1 Cell and URA update procedures

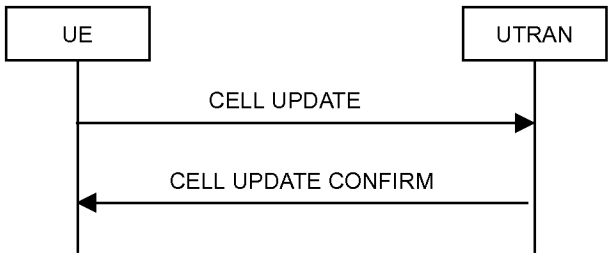


Figure 8.3.1-1: Cell update procedure, basic flow

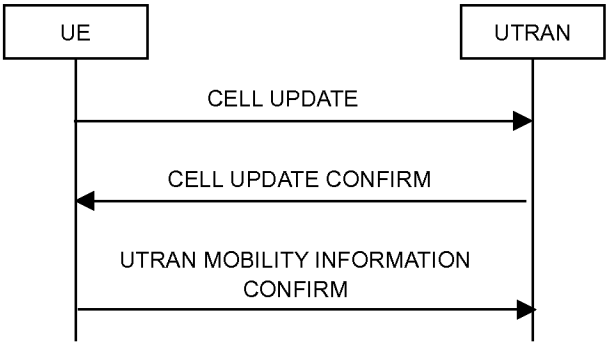


Figure 8.3.1-2: Cell update procedure with update of UTRAN mobility information

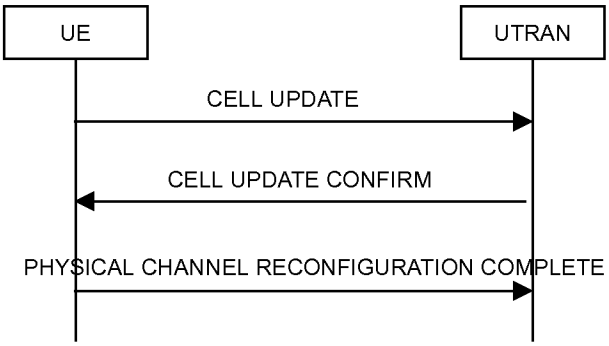


Figure 8.3.1-3: Cell update procedure with physical channel reconfiguration

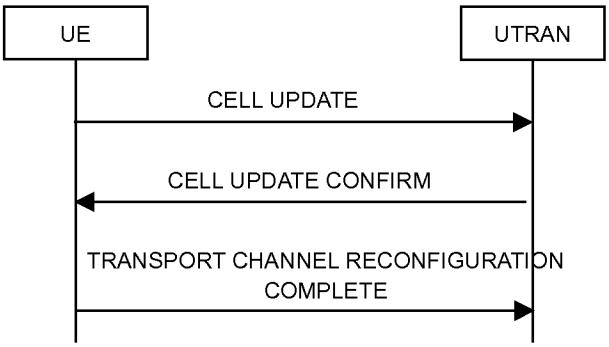


Figure 8.3.1-4: Cell update procedure with transport channel reconfiguration

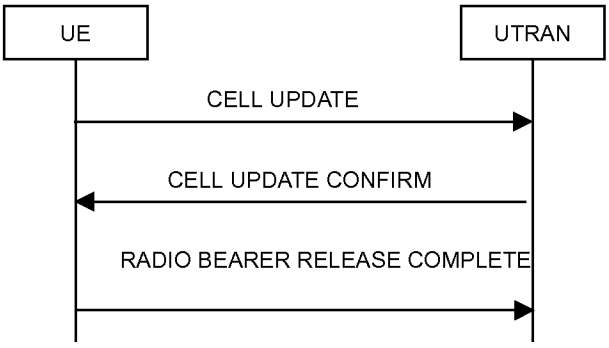


Figure 8.3.1-5: Cell update procedure with radio bearer release

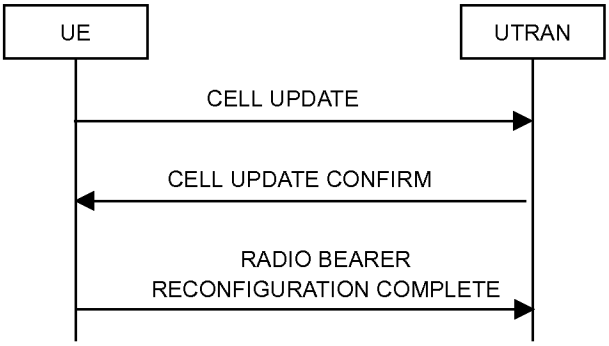


Figure 8.3.1-6: Cell update procedure with radio bearer reconfiguration

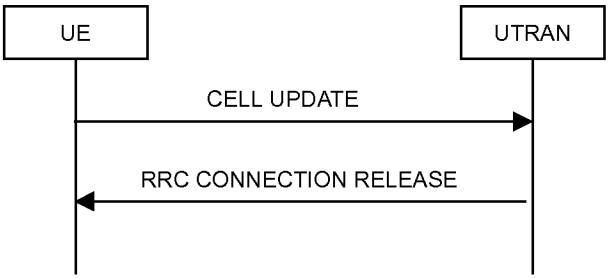


Figure 8.3.1-7: Cell update procedure, failure case

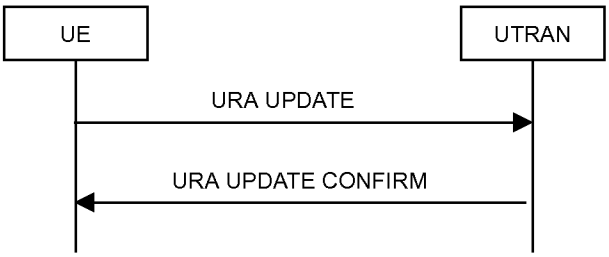


Figure 8.3.1-8: URA update procedure, basic flow

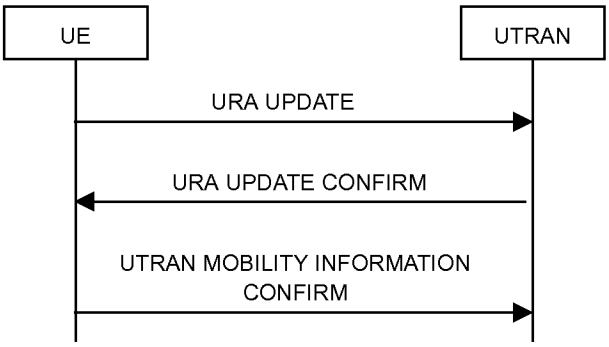


Figure 8.3.1-9: URA update procedure with update of UTRAN mobility information

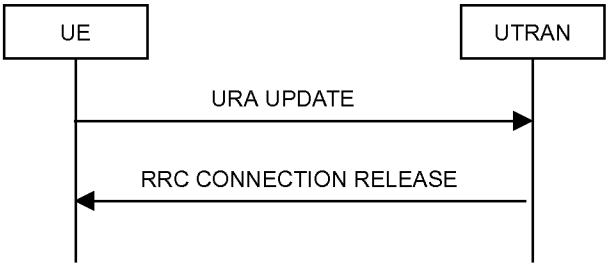


Figure 8.3.1-10: URA update procedure, failure case

8.3.1.1 General

The URA update and cell update procedures serve several main purposes:

- to notify UTRAN after re-entering service area in the URA_PCH or CELL_PCH state;
- to notify UTRAN of an RLC unrecoverable error [16] on an AM RLC entity;
- to be used as a supervision mechanism in the CELL_FACH, CELL_PCH, or URA_PCH state by means of periodical update.

In addition, the URA update procedure also serves the following purpose:

- to retrieve a new URA identity after cell re-selection to a cell not belonging to the current URA assigned to the UE in URA_PCH state.

In addition, the cell update procedure also serves the following purposes:

- to update UTRAN with the current cell the UE is camping on after cell reselection;
- to act on a radio link failure in the CELL_DCH state;
- to act on the transmission failure of the UE CAPABILITY INFORMATION message;
- when triggered in the URA_PCH or CELL_PCH state, to notify UTRAN of a transition to the CELL_FACH state due to the reception of UTRAN originated paging or due to a request to transmit uplink data;
- to count the number of UEs in URA_PCH , CELL_PCH and CELL_FACH that are interested to receive an MBMS transmission;
- when triggered in the URA_PCH , CELL_PCH and CELL_FACH state, to notify UTRAN of the UEs interest to receive an MBMS service;
- to request the MBMS P-T-P RB setup by the UE in CELL_PCH, URA_PCH and CELL_FACH state.

The URA update and cell update procedures may:

1> include an update of mobility related information in the UE;

1> cause a state transition from the CELL_FACH state to the CELL_DCH, CELL_PCH or URA_PCH states or idle mode.

The cell update procedure may also include:

- a re-establish of AM RLC entities;
- a radio bearer release, radio bearer reconfiguration, transport channel reconfiguration or physical channel reconfiguration.

8.3.1.2 Initiation

A UE shall initiate the cell update procedure in the following cases:

1> Uplink data transmission:

2> if the UE is in URA_PCH or CELL_PCH state; and

2> if the UE has uplink RLC data PDU or uplink RLC control PDU on RB1 or upwards to transmit:

3> perform cell update using the cause "uplink data transmission".

1> Paging response:

2> if the criteria for performing cell update with the cause specified above in the current subclause are not met; and

2> if the UE in URA_PCH or CELL_PCH state, receives a PAGING TYPE 1 message fulfilling the conditions for initiating a cell update procedure specified in subclause 8.1.2.3:

3> perform cell update using the cause "paging response".

1> Radio link failure:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met:

3> if the UE is in CELL_DCH state and the criteria for radio link failure are met as specified in subclause 8.5.6; or

3> if the transmission of the UE CAPABILITY INFORMATION message fails as specified in subclause 8.1.6.6:

4> perform cell update using the cause "radio link failure".

1> MBMS ptp RB request:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met; and

2> if the UE is in URA_PCH, Cell_PCH or Cell_FACH state; and

2> if the UE should perform cell update for MBMS ptp radio bearer request as specified in subclause 8.6.9.6:

3> perform cell update using the cause "MBMS ptp RB request".

1> Re-entering service area:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met; and

2> if the UE is in CELL_FACH or CELL_PCH state; and

2> if the UE has been out of service area and re-enters service area before T307 or T317 expires:

3> perform cell update using the cause "re-entering service area".

1> RLC unrecoverable error:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met; and

2> if the UE detects RLC unrecoverable error [16] in an AM RLC entity:

3> perform cell update using the cause "RLC unrecoverable error".

1> Cell reselection:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met:

3> if the UE is in CELL_FACH or CELL_PCH state and the UE performs cell re-selection; or

3> if the UE is in CELL_FACH state and the variable C_RNTI is empty:

4> perform cell update using the cause "cell reselection".

1> Periodical cell update:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met; and

2> if the UE is in CELL_FACH or CELL_PCH state; and

2> if the timer T305 expires; and

2> if the criteria for "in service area" as specified in subclause 8.5.5.2 are fulfilled; and

2> if periodic updating has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity":

3> perform cell update using the cause "periodical cell update".

1> MBMS reception:

2> if none of the criteria for performing cell update with the causes specified above in the current subclause is met; and

2> if the UE is in URA_PCH, Cell_PCH or Cell_FACH state; and

2> if the UE should perform cell update for MBMS counting as specified in subclause 8.7.4:

3> perform cell update using the cause "MBMS reception".

A UE in URA_PCH state shall initiate the URA update procedure in the following cases:

1> URA reselection:

2> if the UE detects that the current URA assigned to the UE, stored in the variable URA_IDENTITY, is not present in the list of URA identities in system information block type 2; or

2> if the list of URA identities in system information block type 2 is empty; or

2> if the system information block type 2 can not be found:

3> perform URA update using the cause "change of URA".

1> Periodic URA update:

2> if the criteria for performing URA update with the causes as specified above in the current subclause are not met; and

2> if the timer T305 expires; and

2> if periodic updating has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity":

3> perform URA update using the cause "periodic URA update".

When initiating the URA update or cell update procedure, the UE shall:

1> stop timer T305;

1> if the UE is in CELL_DCH state:

2> in the variable RB_TIMER_INDICATOR, set the IE "T314 expired" and the IE "T315 expired" to FALSE;

2> if the stored values of the timer T314 and timer T315 are both equal to zero; or

2> if the stored value of the timer T314 is equal to zero and there are no radio bearers associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT315" and signalling connection exists only to the CS domain:

3> release all its radio resources;

3> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

3> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> clear the variable ESTABLISHED_RABS;

3> enter idle mode;

3> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2;

3> and the procedure ends.

2> if the stored value of the timer T314 is equal to zero:

3> release all radio bearers, associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT314";

3> in the variable RB_TIMER_INDICATOR set the IE "T314 expired" to TRUE;

3> if all radio access bearers associated with a CN domain are released:

4> release the signalling connection for that CN domain;

4> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

4> indicate release (abort) of the signalling connection to upper layers;

4> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

2> if the stored value of the timer T315 is equal to zero:

3> release all radio bearers associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT315";

3> in the variable RB_TIMER_INDICATOR set the IE "T315 expired" to TRUE.

3> if all radio access bearers associated with a CN domain are released:

4> release the signalling connection for that CN domain;

4> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

4> indicate release (abort) of the signalling connection to upper layers;

4> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

2> if the stored value of the timer T314 is greater than zero:

3> if there are radio bearers associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT314":

4> start timer T314.

3> if there are no radio bearers associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT314" or "useT315" and the signalling connection exists to the CS domain:

4> start timer T314.

2> if the stored value of the timer T315 is greater than zero:

3> if there are radio bearers associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT315"; or

3> if the signalling connection exists to the PS domain:

4> start timer T315.

2> for the released radio bearer(s):

3> delete the information about the radio bearer from the variable ESTABLISHED_RABS;

3> when all radio bearers belonging to the same radio access bearer have been released:

4> indicate local end release of the radio access bearer to upper layers using the CN domain identity together with the RAB identity stored in the variable ESTABLISHED_RABS;

4> delete all information about the radio access bearer from the variable ESTABLISHED_RABS.

2> move to CELL_FACH state;

2> select a suitable UTRA cell on the current frequency according to [4];

2> select PRACH according to subclause 8.5.17;

2> select Secondary CCPCH according to subclause 8.5.19;

2> use the transport format set given in system information as specified in subclause 8.6.5.1;

2> set the variable ORDERED_RECONFIGURATION to FALSE.

1> set the variables PROTOCOL_ERROR_INDICATOR, FAILURE_INDICATOR, UNSUPPORTED_CONFIGURATION and INVALID_CONFIGURATION to FALSE;

1> set the variable CELL_UPDATE_STARTED to TRUE;

1> if any IEs releated to HS-DSCHare stored in the UE:

2> clear any stored IE "Downlink HS-PDSCH information";

2> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

1> if any IEs related to E-DCHare stored in the UE:

2> clear any stored IE "E-DCH info";

2> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28.

1> if the UE is not already in CELL_FACH state:

2> move to CELL_FACH state;

2> select PRACH according to subclause 8.5.17;

2> select Secondary CCPCH according to subclause 8.5.19;

2> use the transport format set given in system information as specified in subclause 8.6.5.1.

1> if the UE performs cell re-selection:

2> clear the variable C_RNTI; and

2> stop using that C_RNTI just cleared from the variable C_RNTI in MAC.

1> set CFN in relation to SFN of current cell according to subclause 8.5.15;

1> in case of a cell update procedure:

2> set the contents of the CELL UPDATE message according to subclause 8.3.1.3;

2> submit the CELL UPDATE message for transmission on the uplink CCCH.

1> in case of a URA update procedure:

2> set the contents of the URA UPDATE message according to subclause 8.3.1.3;

2> submit the URA UPDATE message for transmission on the uplink CCCH.

1> set counter V302 to 1;

1> start timer T302 when the MAC layer indicates success or failure in transmitting the message.

8.3.1.3 CELL UPDATE / URA UPDATE message contents to set

In case of cell update procedure the UE shall transmit a CELL UPDATE message.

In case of URA update procedure the UE shall transmit a URA UPDATE message.

The UE shall set the IEs in the CELL UPDATE message as follows:

1> set the IE "Cell update cause" corresponding to the cause specified in subclause 8.3.1.2 that is valid when the CELL UPDATE message is submitted to lower layers for transmission;

NOTE: During the time period starting from when a cell update procedure is initiated by the UE until when the procedure ends, additional CELL UPDATE messages may be transmitted by the UE with different causes.

1> if the IE "Cell update cause" is set to "uplink data transmission" and if an event triggered traffic volume measurement has been configured:

2> if the TCTV is larger than the threshold in the IE "Reporting threshold" for a traffic volume measurement stored in the MEASUREMENT_IDENTITY variable and that traffic volume measurement has "measurement identity" equal to 4, "Traffic volume event identity" equal to "4a", "Measurement validity" equal to "all states" or "all states except CELL_DCH":

3> set the IE "Traffic volume indicator" to TRUE.

2> else:

3> set the IE "Traffic volume indicator" to FALSE.

1> set the IE "U-RNTI" to the value of the variable U_RNTI;

1> if the value of the variable PROTOCOL_ERROR_INDICATOR is TRUE:

2> include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> include and set the IE "failure cause" to the cause value "protocol error";

2> set the IE "Protocol error information" set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> if the value of the variable FAILURE_INDICATOR is TRUE:

2> include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the CELL UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS.

2> include and set the IE "failure cause" to the value of the variable FAILURE_CAUSE.

1> for each CN domain for which an entry exists in the variable ESTABLISHED_RABS or which is indicated in the variable LATEST CONFIGURED CN DOMAIN:

2> include the START value calculated according to subclause 8.5.9.

1> if an unrecoverable error [16] in any of the AM RLC entities for the signalling radio bearers RB2, RB3 or RB4 is detected:

2> set the IE "AM_RLC error indication (RB2, RB3 or RB4)" to TRUE;

2> set the variable AM_RLC_ERROR_PENDING_RB234 to TRUE.

1> otherwise:

2> if the value of the variable AM_RLC_ERROR_PENDING_RB234 is TRUE:

3> set the IE "AM_RLC error indication (RB2, RB3 or RB4)" to TRUE.

2> otherwise:

3> set the IE "AM_RLC error indication (RB2, RB3 or RB4)" to FALSE.

1> if an unrecoverable error [16] in any of the AM RLC entities for the RB5 or upward is detected:

2> set the IE "AM_RLC error indication (RB>4)" to TRUE;

2> set the variable AM_RLC_ERROR_PENDING_RB5_AND_UP to TRUE.

1> otherwise:

2> if the value of the variable AM_RLC_ERROR_PENDING_RB5_AND_UP is TRUE:

3> set the IE "AM_RLC error indication (RB>4)" to TRUE.

2> otherwise:

3> set the IE "AM_RLC error indication (RB>4)" to FALSE.

1> set the IE "RB Timer indicator" to the value of the variable RB_TIMER_INDICATOR;

1> if the variable ESTABLISHMENT_CAUSE is initialised:

2> include the IE "Establishment cause" and set it to the value of the variable ESTABLISHMENT_CAUSE;

2> if the value of the variable ESTABLISHMENT_CAUSE is set to "Originating Conversational Call" or "Terminating Conversational Call" or "Emergency Call":

3> set the value of the IE "Call type" to "speech", "video" or "other" according to the call being initiated.

1> if the variable ORDERED_RECONFIGURATION is set to TRUE:

2> include the IE "Reconfiguration Status Indicator" and set it to TRUE.

1> if the IE "Cell update cause" is set to "radio link failure" and the UE has submitted a reconfiguration response message to RLC and the UE has not received the RLC acknowledgement for the response message:

2> include the IE "Reconfiguration Status Indicator" and set it to TRUE.

1> if the UE performs cell update for MBMS ptp radio bearer request as specified in subclause 8.6.9.6; and

1> if one or more of the MBMS services for which the UE initiates the ptp radio bearer request concerns an MBMS Selected Service:

2> for each MBMS Selected Service that is indicated on MCCH and for which the UE initiates ptp radio bearer request:

3> include the IE "MBMS Selected Service ID" within the IE "MBMS Selected Services Short" and set it to a value in accordance with subclause 8.6.9.8.

1> otherwise, if the UE performs cell update for MBMS counting as specified in subclause 8.7.4; and

1> if one or more of the MBMS services for which the UE initiates the counting response concerns an MBMS Selected Service:

2> for each MBMS Selected Service that is indicated on MCCH and for which the UE initiates the counting response:

3> include the IE "MBMS Selected Service ID" within the IE "MBMS Selected Services Short" and set it to a value in accordance with subclause 8.6.9.8.

1> if the UE included one or more "MBMS Selected Service ID" IEs:

2> include the IE "MBMS Modification Period identity" and set it to a value in accordance with subclause 8.5.29.

1> if, according to [4], the High-mobility state is applicable and it has been detected by the UE:

2> include the IE "UE Mobility State Indicator" and set it to the "High-MobilityDetected" value.

The UE shall set the IEs in the URA UPDATE message as follows:

1> set the IE "U-RNTI" to the value of the variable U_RNTI;

1> set the IE "URA update cause" corresponding to which cause as specified in subclause 8.3.1.2 that is valid when the URA UPDATE message is submitted to lower layers for transmission;

NOTE: During the time period starting from when a URA update procedure is initiated by the UE until when the procedure ends, additional URA UPDATE messages may be transmitted by the UE with different causes, depending on which causes are valid for the respective URA UPDATE message.

1> if the value of the variable PROTOCOL_ERROR_INDICATOR is TRUE:

2 > include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> set the IE "Protocol error indicator" to TRUE;

2> include the IE "Protocol error information" set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> if the value of the variable PROTOCOL_ERROR_INDICATOR is FALSE:

2> if the value of the variable INVALID_CONFIGURATION is TRUE:

3> include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the URA UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS;

3> set the IE "Protocol error indicator" to TRUE;

3> include the IE "Protocol error information" set to "Information element value not comprehended".

2> if the value of the variable INVALID_CONFIGURATION is FALSE:

3> set the IE "Protocol error indicator" to FALSE.

8.3.1.4 T305 expiry and the UE detects "out of service area"

When the T305 expires and the UE detects that it is "out of service area" as specified in subclause 8.5.5.1, the UE shall

1> start timer T307;

1> act according to subclause 7.2.2.

8.3.1.4.1 Re-entering "in service area"

If the UE detects "in service area" according to subclause 8.5.5.2 and timer T307 or T317 is running, the UE shall:

1> check the value of V302; and

1> if V302 is equal to or smaller than N302:

2> in case of a cell update procedure:

3> set the contents of the CELL UPDATE message according to subclause 8.3.1.3;

3> submit the CELL UPDATE message for transmission on the uplink CCCH.

2> in case of a URA update procedure:

3> set the contents of the URA UPDATE message according to subclause 8.3.1.3;

3> submit the URA UPDATE message for transmission on the uplink CCCH.

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> in case of a cell update procedure:

3> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> in case of a URA update procedure:

3> clear the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> enter idle mode;

2> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2;

2> and the procedure ends.

8.3.1.4.2 Expiry of timer T307

When the T307 expires, the UE shall:

1> move to idle mode;

1> release all dedicated resources;

1> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

1> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

1> clear the variable ESTABLISHED_RABS;

1> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2;

1> and the procedure ends.

8.3.1.5 Reception of an CELL UPDATE/URA UPDATE message by the UTRAN

When the UTRAN receives a CELL UPDATE/URA UPDATE message, the UTRAN should:

1> in case the procedure was triggered by reception of a CELL UPDATE:

2> if SRNS relocation was performed:

3> transmit a CELL UPDATE CONFIRM message on the downlink DCCH.

2> otherwise:

3> update the START value for each CN domain as maintained in UTRAN (refer to subclause 8.5.9) with "START" in the IE "START list" for the CN domain as indicated by "CN domain identity" in the IE "START list";

3> transmit a CELL UPDATE CONFIRM message on the downlink DCCH or optionally on the CCCH but only if ciphering is not required; and

3> optionally set the IE "RLC re-establish indicator (RB2, RB3 and RB4)" and/or the IE "RLC re-establish indicator (RB5 and upwards)" to TRUE to request a RLC re-establishment in the UE, in which case the corresponding RLC entities should also be re-established in UTRAN; or

1> in case the procedure was triggered by reception of a URA UPDATE:

2> if SRNS relocation was performed:

3> transmit a URA UPDATE CONFIRM message on the downlink DCCH.

2> otherwise:

3> transmit a URA UPDATE CONFIRM message on the downlink CCCH or DCCH.

2> include the IE "URA identity" in the URA UPDATE CONFIRM message in a cell where multiple URA identifiers are broadcast; or

1> initiate an RRC connection release procedure (see subclause 8.1.4) by transmitting an RRC CONNECTION RELEASE message on the downlink CCCH. In particular UTRAN should:

2> if the CELL UPDATE message was sent because of an unrecoverable error in RB2, RB3 or RB4:

3> initiate an RRC connection release procedure (subclause 8.1.4) by transmitting an RRC CONNECTION RELEASE message on the downlink CCCH.

UTRAN may transmit several CELL UPDATE CONFIRM/URA UPDATE CONFIRM messages to increase the probability of proper reception of the message by the UE. In such a case, the RRC SN for these repeated messages should be the same.

8.3.1.6 Reception of the CELL UPDATE CONFIRM/URA UPDATE CONFIRM message by the UE

When the UE receives a CELL UPDATE CONFIRM/URA UPDATE CONFIRM message; and

- if the message is received on the CCCH, and IE "U-RNTI" is present and has the same value as the variable U_RNTI; or
- if the message is received on DCCH:

the UE may:

1> maintain a list of the set of cells to which the UE has Radio Links if the IE "Cell ID" is present.

the UE shall:

1> stop timer T302;

1> in case of a cell update procedure and the CELL UPDATE CONFIRM message:

2> includes "RB information elements"; and/or

2> includes "Transport channel information elements"; and/or

2> includes "Physical channel information elements"; and

2> if the variable ORDERED_RECONFIGURATION is set to FALSE:

3> set the variable ORDERED_RECONFIGURATION to TRUE.

1> act upon all received information elements as specified in subclause 8.6, unless specified otherwise in the following:

2> if the IE "Frequency info" is included in the message:

3> if the IE "RRC State Indicator" is set to the value "CELL_FACH" or "CELL_PCH" or URA_PCH":

4> select a suitable UTRA cell according to [4] on that frequency;

4> if the UE finds a suitable UTRA cell on that frequency:

5> if the received CELL UPDATE CONFIRM message included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects another cell than indicated by this IE or the received CELL UPDATE CONFIRM message did not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD):

6> act as specified in subclause 8.3.1.12.

4> else, if the UE can not find a suitable UTRA cell on the indicated frequency but it finds a suitable UTRA cell on another frequency:

5> act as specified in subclause 8.3.1.12.

3> if the IE "RRC State Indicator" is set to the value "CELL_DCH":

4> act on the IE "Frequency info" as specified in subclause 8.6.6.1.

2> use the transport channel(s) applicable for the physical channel types that is used; and

2> if the IE "TFS" is neither included nor previously stored in the UE for that transport channel(s):

3> use the TFS given in system information.

2> if none of the TFS stored is compatible with the physical channel:

3> delete the stored TFS;

3> use the TFS given in system information.

2> if the IE "RLC re-establish indicator (RB2, RB3 and RB4)" in the CELL UPDATE CONFIRM message is set to TRUE:

3> re-establish the RLC entities for signalling radio bearer RB2, signalling radio bearer RB3 and signalling radio bearer RB4 (if established);

3> if the value of the IE "Status" in the variable CIPHERING_STATUS of the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN is set to "Started":

4> set the HFN component of the respective COUNT-C values for AM RLC entities with RB identity 2,RB identity 3 and RB identity 4 (if established) equal to the START value included in the latest transmitted CELL UPDATE message for the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN.

2> if the IE "RLC re-establish indicator (RB5 and upwards)" in the CELL UPDATE CONFIRM message is set to TRUE:

3> for radio bearers with RB identity 5 and upwards:

4> re-establish the AM RLC entities;

4> if the value of the IE "Status" in the variable CIPHERING_STATUS of the CN domain as indicated in the IE "CN domain identity" in the IE "RAB info" in the variable ESTABLISHED_RABS is set to "Started":

5> set the HFN component of the respective COUNT-C values for AM RLC entities equal to the START value included in this CELL UPDATE message for the CN domain as indicated in the IE "CN domain identity" in the IE "RAB info" in the variable ESTABLISHED_RABS.

NOTE: UE actions, in case IE "Downlink counter synchronisation info" is included and either IE "RLC re-establish indicator (RB2, RB3 and RB4)" or IE "RLC re-establish indicator (RB5 and upwards)" are set to TRUE, are not defined.

1> if the CELL UPDATE CONFIRM / URA UPDATE CONFIRM message contained the IE "Ciphering mode info" or contained the IE "Integrity protection mode info":

2> set the IE "Status" in the variable SECURITY_MODIFICATION for all the CN domains in the variable SECURITY_MODIFICATION to "Affected".

1> if the variable ESTABLISHMENT_CAUSE is set:

2> clear the variable ESTABLISHMENT_CAUSE.

1> enter a state according to subclause 8.6.3.3 applied on the CELL UPDATE CONFIRM / URA UPDATE CONFIRM message.

If the UE after state transition enters CELL_DCH state, it shall:

1> perform the physical layer synchronisation procedure A as specified in [29] (FDD only);

1> not prohibit periodical status transmission in RLC.

If the UE after state transition remains in CELL_FACH state, it shall

1> start the timer T305 using its initial value if timer T305 is not running and periodical cell update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity";

1> select PRACH according to subclause 8.5.17;

1> select Secondary CCPCH according to subclause 8.5.19;

1> not prohibit periodical status transmission in RLC;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> ignore that IE and stop using DRX.

If the UE after state transition enters URA_PCH or CELL_PCH state, it shall:

1> prohibit periodical status transmission in RLC;

1> clear the variable C_RNTI;

1> stop using that C_RNTI just cleared from the variable C_RNTI in MAC;

1> start the timer T305 using its initial value if timer T305 is not running and periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity";

1> select Secondary CCPCH according to subclause 8.5.19;

1> if the IE "UTRAN DRX cycle length coefficient" is included in the same message:

2> use the value in the IE "UTRAN DRX Cycle length coefficient" for calculating Paging Occasion and PICH Monitoring Occasion as specified in subclause 8.6.3.2.

NOTE: In the case of a cell update procedure during an ongoing reconfiguration procedure moving the UE into CELL_PCH/URA_PCH then the value of the IE "UTRAN DRX Cycle length coefficient" sent in the CELL UPDATE CONFIRM message should be the same as the value sent in the reconfiguration message.

1> if the IE "UTRAN DRX cycle length coefficient" is not included in the same message:

2> set the variable INVALID_CONFIGURATION to TRUE.

If the UE after the state transition remains in CELL_FACH state; and

1> the contents of the variable C_RNTI are empty:

it shall check the value of V302; and:

1> if V302 is equal to or smaller than N302:

2> if, caused by the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message:

3> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

3> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> abort the ongoing integrity and/or ciphering reconfiguration;

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

5> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

5> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Integrity protection mode info":

5> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

5> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> in case of a URA update procedure:

3> stop the URA update procedure;

3> clear any entry for the URA UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS; and

3> continue with a cell update procedure.

2> set the contents of the CELL UPDATE message according to subclause 8.3.1.3, except for the IE "Cell update cause" which shall be set to "cell reselection";

2> submit the CELL UPDATE message for transmission on the uplink CCCH;

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> in case of a cell update procedure:

3> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> in case of a URA update procedure:

3> clear the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> enter idle mode;

2> other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> and the procedure ends.

If the UE after the state transition remains in CELL_FACH state; and

- a C-RNTI is stored in the variable C_RNTI;

or

- the UE after the state transition moves to another state than the CELL_FACH state:

the UE shall:

1> in case cell reselection interrupted an ongoing cell update procedure and a CELL UPDATE CONFIRM/URA UPDATE CONFIRM was received with the IE "Downlink counter synchronisation info" present and the response to which was not submitted to the lower layers due to the cell re-selection:

2> include the IE "START list" in the response message transmitted according to subclause 8.3.1.7;

2> if the CELL UPDATE CONFIRM/URA UPDATE CONFIRM, the response to which was not delivered to the lower layers, due to the cell re-selection, included the IE "RB with PDCP information list":

3> include the IE "RB with PDCP information list" in the response message transmitted according to subclause 8.3.1.7.

1> in case of a cell update procedure:

2> set the IE "RRC transaction identifier" in any response message transmitted below to the value of "RRC transaction identifier" in the entry for the CELL UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry.

1> in case of a URA update procedure:

2> set the IE "RRC transaction identifier" in any response message transmitted below to the value of "RRC transaction identifier" in the entry for the URA UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

1> if the variable PDCP_SN_INFO is non-empty:

2> include the IE "RB with PDCP information list" in any response message transmitted below and set it to the value of the variable PDCP_SN_INFO.

1> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message included the IE "Downlink counter synchronisation info":

2> if the variable PDCP_SN_INFO is empty:

3> configure the corresponding RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "stop".

2> else:

3> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "stop";

3> configure the RLC entity for UM and AM radio bearers for which the IE "PDCP SN Info" is not included to "stop".

2> re-establish the RLC entity for RB2;

2> for the downlink and the uplink, apply the ciphering configuration as follows:

3> if the received re-configuation message included the IE "Ciphering Mode Info":

4> use the ciphering configuration in the received message when transmitting the response message.

3> if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because the activation times not having been reached:

4> if the previous SECURITY MODE COMMAND was received due to new keys being received:

5> consider the new ciphering configuration to include the received new keys;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 as indicated in subclause 8.1.12.3.1.

4> else if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because of the corresponding activation times not having been reached and the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

5> consider the new ciphering configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 to the most recently transmitted IE "START list" or IE "START" for the LATEST_CONFIGURED_CN_DOMAIN at the reception of the previous SECURITY MODE COMMAND.

4> apply the new ciphering configuration immediately following RLC re-establishment.

3> else:

4> continue using the current ciphering configuration.

2> set the new uplink and downlink HFN component of the COUNT-C of RB2 to MAX(uplink HFN component of the COUNT-C of RB2, downlink HFN component of the COUNT-C of RB2);

2> increment by one the downlink and uplink values of the HFN component of the COUNT-C for RB2;

2> calculate the START value according to subclause 8.5.9;

2> include the calculated START values for each CN domain in the IE "START list" in the IE "Uplink counter synchronisation info" in any response message transmitted below.

1> transmit a response message as specified in subclause 8.3.1.7;

1> if the IE "Integrity protection mode info" was present in the CELL UPDATE CONFIRM or URA UPDATE CONFIRM message:

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RB2 from and including the transmitted response message.

1> if the variable ORDERED_RECONFIGURATION is set to TRUE caused by the received CELL UPDATE CONFIRM message in case of a cell update procedure:

2> set the variable ORDERED_RECONFIGURATION to FALSE.

1> clear the variable PDCP_SN_INFO;

1> when the response message transmitted per subclause 8.3.1.7 to the UTRAN has been confirmed by RLC:

2> if the CELL UPDATE CONFIRM / URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

3> resume data transmission on any suspended radio bearer and signalling radio bearer mapped on RLC-AM or RLC-UM;

3> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

3> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

2> if the CELL UPDATE CONFIRM / URA UPDATE CONFIRM message contained the IE "Integrity protection mode info":

3> set "Uplink RRC Message sequence number" for signalling radio bearer RB0 in the variable INTEGRITY_PROTECTION_INFO to a value such that next RRC message to be sent on uplink RB0 will use the new integrity protection configuration;

3> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

3> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE.

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

1> in case of a cell update procedure:

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

1> in case of a URA update procedure:

2> clear the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

1> set the variable CELL_UPDATE_STARTED to FALSE;

1> if the variable AM_RLC_ERROR_PENDING_RB234 is set to TRUE:

2> set the variable AM_RLC_ERROR_PENDING_RB234 to FALSE.

1> if the variable AM_RLC_ERROR_PENDING_RB5_AND_UP is set to TRUE:

2> set the variable AM_RLC_ERROR_PENDING_RB5_AND_UP to FALSE.

1> clear the variable SECURITY_MODIFICATION.

1> stop timers T314 and/or T315 if they are running.

The procedure ends.

8.3.1.7 Transmission of a response message to UTRAN

If the CELL UPDATE CONFIRM message:

- includes the IE "RB information to release list":

the UE shall:

1> transmit a RADIO BEARER RELEASE COMPLETE as response message using AM RLC.

If the CELL UPDATE CONFIRM message:

- does not include the IE "RB information to release list"; and
- includes the IE "RB information to reconfigure list"; or
- includes the IE "RB information to be affected list":

the UE shall:

1> transmit a RADIO BEARER RECONFIGURATION COMPLETE as response message using AM RLC.

If the CELL UPDATE CONFIRM message:

- does not include the IE "RB information to release list", nor the IE "RB information to reconfigure list", nor the IE "RB information to be affected list"; and
- includes "Transport channel information elements":

the UE shall:

1> transmit a TRANSPORT CHANNEL RECONFIGURATION COMPLETE as response message using AM RLC.

If the CELL UPDATE CONFIRM message:

- does not include the IE "RB information to release list", nor the IE "RB information to reconfigure list", nor the IE "RB information to be affected list"; and
- does not include "Transport channel information elements"; and
- includes "Physical channel information elements":

the UE shall:

1> transmit a PHYSICAL CHANNEL RECONFIGURATION COMPLETE as response message using AM RLC.

If the CELL UPDATE CONFIRM message:

- does not include the IE "RB information to release list", nor the IE "RB information to reconfigure list", nor the IE "RB information to be affected list"; and
- does not include "Transport channel information elements"; and
- does not include "Physical channel information elements"; and
- includes "CN information elements"; or
- includes the IE "Ciphering mode info"; or
- includes the IE "Integrity protection mode info"; or
- includes the IE "New C-RNTI"; or
- includes the IE "New U-RNTI"; or

- includes the IE "Downlink counter synchronisation info" and the IE "New U-RNTI":

NOTE: In the case of a cell update procedure during an ongoing reconfiguration procedure moving the UE into CELL_PCH/URA_PCH the CELL UPDATE CONFIRM message should include the IE "New C-RNTI".

the UE shall:

1> transmit a UTRAN MOBILITY INFORMATION CONFIRM as response message using AM RLC.

If the CELL UPDATE CONFIRM message:

- does not include "RB information elements"; and
- does not include "Transport channel information elements"; and
- does not include "Physical channel information elements"; and
- does not include "CN information elements"; and
- does not include the IE "Ciphering mode info"; and
- does not include the IE "Integrity protection mode info"; and
- does not include the IE "New C-RNTI"; and
- does not include the IE "New U-RNTI":

the UE shall:

1> transmit no response message.

If the URA UPDATE CONFIRM message:

- includes "CN information elements"; or
- includes the IE "Ciphering mode info"; or
- includes the IE "Integrity protection mode info"; or
- includes any one or both of the IEs "New C-RNTI" and "New U-RNTI"; or
- includes the IE "Downlink counter synchronisation info" and the IE "New U-RNTI":

the UE shall:

1> transmit a UTRAN MOBILITY INFORMATION CONFIRM as response message using AM RLC.

If the URA UPDATE CONFIRM message:

- does not include "CN information elements"; and
- does not include the IE "Ciphering mode info"; and
- does not include the IE "Integrity protection mode info"; and
- does not include the IE "New U-RNTI"; and
- does not include the IE "New C-RNTI":

the UE shall:

1> transmit no response message.

If the new state is CELL_DCH or CELL_FACH, the response message shall be transmitted using the new configuration after the state transition., and the UE shall:

1> if the IE "Downlink counter synchronisation info" was included in the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message:

2> when RLC has confirmed the successful transmission of the response message:

3> if the variable PDCP_SN_INFO is empty:

4> configure the RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "continue".

3> else:

4> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "continue";

4> configure the RLC entity for UM and AM radio bearers for which the IE " PDCP SN Info" is not included to "continue".

3> re-establish all AM and UM RLC entities with RB identities larger than 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the corresponding CN domain;

3> re-establish the RLC entities with RB identities 1, 3 and 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN;

3> set the remaining bits of the HFN component of the COUNT-C values of all UM RLC entities to zero;

3> if the IE "PDCP context relocation info" is not present:

> re-initialise the PDCP header compression entities of each radio bearer in the variable ESTABLISHED_RABS as specified in [36].

3> if the IE "PDCP context relocation info" is present:

4> perform the actions as specified in subclause 8.6.4.13.

1> if the variable PDCP_SN_INFO is empty:

2> if the CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

3> when RLC has confirmed the successful transmission of the response message:

4> continue with the remainder of the procedure.

2> if the CELL UPDATE CONFIRM or URA UPDATE CONFIRM message did not contain the IE "Ciphering mode info":

3> when RLC has been requested to transmit the response message,

4> continue with the remainder of the procedure.

1> if the variable PDCP_SN_INFO is non-empty:

2> when RLC has confirmed the successful transmission of the response message:

3> for each radio bearer in the variable PDCP_SN_INFO:

4> if the IE "RB started" in the variable ESTABLISHED_RABS is set to "started":

5> configure the RLC entity for that radio bearer to "continue".

3> continue with the remainder of the procedure.

If the new state is CELL_PCH or URA_PCH, the response message shall be transmitted in CELL_FACH state, and the UE shall:

1> when RLC has confirmed the successful transmission of the response message:

2> if the IE "Downlink counter synchronisation info" was included in the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message:

3> re-establish all AM and UM RLC entities with RB identities larger than 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the corresponding CN domain;

3> re-establish the RLC entities with RB identities 1, 3 and 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN;

3> set the remaining bits of the HFN component of the COUNT-C values of all UM RLC entities to zero;

3> re-initialise the PDCP header compression entities of each radio bearer in the variable ESTABLISHED_RABS as specified in [36].

2> for each radio bearer in the variable PDCP_SN_INFO:

3> if the IE "RB started" in the variable ESTABLISHED_RABS is set to "started":

4> configure the RLC entity for that radio bearer to "continue".

2> enter the new state (CELL_PCH or URA_PCH, respectively).

1> continue with the remainder of the procedure.

8.3.1.7a Physical channel failure

If the received CELL UPDATE CONFIRM message would cause the UE to transit to CELL_DCH state:

1> if the UE failed to establish the physical channel(s) indicated in the received CELL UPDATE CONFIRM message according to the criteria defined in subclause 8.5.4 are not fulfilled;

1> if the received CELL UPDATE CONFIRM message does not contain dedicated physical channels; or

1> for 3.84 Mcps TDD or 7.68 Mcps TDD, if the received CELL UPDATE CONFIRM does not contain physical channels to which DCCH(s) are mapped:

the UE shall:

1> if, caused by the received CELL UPDATE CONFIRM message

2> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

2> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

3> abort the ongoing integrity and/or ciphering reconfiguration;

3> if the received CELL UPDATE CONFIRM message contained the IE "Ciphering mode info":

4> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

4> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

3> if the received CELL UPDATE CONFIRM message contained the IE "Integrity protection mode info":

4> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

4> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

1> if the variable ORDERED_RECONFIGURATION is set to TRUE caused by the received CELL UPDATE CONFIRM message:

2> set the IE "failure cause" to "physical channel failure";

2> set the variable ORDERED_RECONFIGURATION to FALSE.

1> if V302 is equal to or smaller than N302:

2> select a suitable UTRA cell according to [4];

2> set the contents of the CELL UPDATE message according to subclause 8.3.1.3, except for the IE "Cell update cause" which shall be set to "Radio link failure";

2> submit the CELL UPDATE message for transmission on the uplink CCCH;

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> in case of a cell update procedure:

3> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode.

8.3.1.8 Unsupported configuration by the UE

If the UE does not support the configuration in the CELL UPDATE CONFIRM message and/or the variable UNSUPPORTED_CONFIGURATION is set to TRUE, the UE shall:

1> if V302 is equal to or smaller than N302, the UE shall:

2> if, caused by the received CELL UPDATE CONFIRM message

3> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

3> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> abort the ongoing integrity and/or ciphering reconfiguration;

4> if the received CELL UPDATE CONFIRM message contained the IE "Ciphering mode info":

5> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

5> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

4> if the received CELL UPDATE CONFIRM message contained the IE "Integrity protection mode info":

5> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

5> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> if the variable ORDERED_RECONFIGURATION is set to TRUE due to the received CELL UPDATE CONFIRM message in case of a cell update procedure:

3> set the variable ORDERED_RECONFIGURATION to FALSE.

2> set the variable FAILURE_INDICATOR to TRUE;

2> set the variable FAILURE_CAUSE to "Unsupported configuration";

2> set the content of the CELL UPDATE message according to subclause 8.3.1.3;

2> submit the CELL UPDATE message for transmission on the uplink CCCH;

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302, the UE shall:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS;

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> and the procedure ends.

8.3.1.9 Invalid configuration

If the variable INVALID_CONFIGURATION is set to TRUE, the UE shall:

1> if V302 is equal to or smaller than N302:

2> if, caused by the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message

3> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

3> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> abort the ongoing integrity and/or ciphering reconfiguration;

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

5> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

5> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Integrity protection mode info";

5> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

5> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> if the variable ORDERED_RECONFIGURATION is set to TRUE caused by the received CELL UPDATE CONFIRM message in case of a cell update procedure:

3> set the variable ORDERED_RECONFIGURATION to FALSE.

2> in case of a cell update procedure:

3> set the variable FAILURE_INDICATOR to TRUE;

3> set the variable FAILURE_CAUSE to "Invalid configuration";

3> set the contents of the CELL UPDATE message according to subclause 8.3.1.3;

3> submit the CELL UPDATE message for transmission on the uplink CCCH.

2> in case of a URA update procedure:

3> set the contents of the URA UPDATE message according to subclause 8.3.1.3;

3> submit the URA UPDATE message for transmission on the uplink CCCH.

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS;

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> the procedure ends.

8.3.1.9a Incompatible simultaneous reconfiguration

In case of a cell update procedure and if the received CELL UPDATE CONFIRM message

- includes the IE "RB information to release list", and/or the IE "RB information to reconfigure list", and/or the IE "RB information to be affected list", and/or
- includes "Transport channel information elements"; and/or
- includes "Physical channel information elements"; and

- the variable ORDERED_RECONFIGURATION is set to TRUE because of an ongoing Reconfiguration procedure;

or

If the variable INCOMPATIBLE_SECURITY_RECONFIGURATION is set to TRUE due to the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message:

the UE shall:

1> if V302 is equal to or smaller than N302:

2> if, caused by the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message

3> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

3> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> abort the ongoing integrity and/or ciphering reconfiguration;

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

5> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

5> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

4> if the received CELL UPDATE CONFIRM or URA UPDATE CONFIRM message contained the IE "Integrity protection mode info":

5> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

5> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> if the variable ORDERED_RECONFIGURATION is set to TRUE due to the received CELL UPDATE CONFIRM message in case of a cell update procedure:

3> set the variable ORDERED_RECONFIGURATION to FALSE.

2> set the variable FAILURE_INDICATOR to TRUE;

2> set the variable FAILURE_CAUSE to "Incompatible simultaneous reconfiguration";

2> set the content of the CELL UPDATE message according to subclause 8.3.1.3;

2> submit the CELL UPDATE message for transmission on the uplink CCCH;

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to FALSE;

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS;

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> the procedure ends.

8.3.1.9b Security reconfiguration during Cell update procedure

If:

- the variable CELL_UPDATE_STARTED is set to TRUE; and
- the UE receives a SECURITY MODE COMMAND message:

the UE shall

1> ignore the received SECURITY MODE COMMAND and continue with any ongoing processes and procedures as if the SECURITY MODE COMMAND message has not been received.

8.3.1.10 Confirmation error of URA ID list

If the URA UPDATE CONFIRM message causes a confirmation error of URA identity list as specified in subclause 8.6.2.1 the UE shall:

1> check the value of V302; and

1> if V302 is smaller or equal than N302:

2> if, caused by the received URA UPDATE CONFIRM message

3> the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE; and/or

3> the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> abort the ongoing integrity and/or ciphering reconfiguration;

4> if the received URA UPDATE CONFIRM message contained the IE "Ciphering mode info":

5> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

5> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

4> if the received URA UPDATE CONFIRM message contained the IE "Integrity protection mode info"

5> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

5> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> set the IEs in the URA UPDATE message according to subclause 8.3.1.3;

2> submit the URA UPDATE message for transmission on the uplink CCCH;

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302:

2> release all its radio resources;

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> perform the actions specified in subclause 8.5.2 when entering idle mode from connected mode;

2> the procedure ends.

8.3.1.11 Invalid CELL UPDATE CONFIRM/URA UPDATE CONFIRM message

If the UE receives an CELL UPDATE CONFIRM/URA UPDATE CONFIRM message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows:

1> If V302 is equal to or smaller than N302, the UE shall:

2> set the variable PROTOCOL_ERROR_INDICATOR to TRUE;

2> in case of a cell update procedure:

3> set the contents of the CELL UPDATE message according to subclause 8.3.1.3;

3> submit the CELL UPDATE message for transmission on the uplink CCCH.

2> in case of a URA update procedure:

3> set the contents of the URA UPDATE message according to subclause 8.3.1.3;

3> submit the URA UPDATE message for transmission on the uplink CCCH.

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302, the UE shall:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> in case of a cell update procedure:

3> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> in case of a URA update procedure:

3> clear the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> release all its radio resources;

2> enter idle mode;

2> Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> the procedure ends.

8.3.1.12 T302 expiry or cell reselection

If any or several of the following conditions are true:

- expiry of timer T302;
- reselection to another UTRA cell (including the previously serving cell) before completion of the cell update or URA update procedure;

the UE shall:

1> stop T302 if it is running;

1> if the UE was in CELL_DCH state prior to the initiation of the procedure; and

2> if timers T314 and T315 have elapsed while T302 was running:

3> enter idle mode.

3> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers. Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2.

3> and the procedure ends.

2> if timer T314 has elapsed while T302 was running and,

3> if "T314 expired" in the variable RB_TIMER_INDICATOR is set to FALSE and

3> if T315 is still running:

4> release locally all radio bearers which are associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT314";

4> indicate release of those radio access bearers to upper layers;

4> delete all information about those radio access bearers from the variable ESTABLISHED_RABS;

4> set "T314 expired" in the variable RB_TIMER_INDICATOR to TRUE;

4> if all radio access bearers associated with a CN domain are released:

5> release the signalling connection for that CN domain;

5> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

5> indicate release (abort) of the signalling connection to upper layers;

5> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

2> if timer T315 has elapsed while T302 was running and,

3> if "T315 expired" in the variable RB_TIMER_INDICATOR is set to FALSE and,

3> if T314 is still running:

4> release locally all radio bearers which are associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT315";

4> indicate release of those radio access bearers to upper layers;

4> delete all information about those radio access bearers from the variable ESTABLISHED_RABS;

4> set "T315 expired" in the variable RB_TIMER_INDICATOR to TRUE;

4> if all radio access bearers associated with a CN domain are released:

5> release the signalling connection for that CN domain;

5> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

5> indicate release (abort) of the signalling connection to upper layers;

5> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

2> if timers T314 and T315 are not running:

3> enter idle mode;

3> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers. Other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

3> and the procedure ends.

1> check whether it is still in "in service area" (see subclause 8.5.5.2);

1> if the variable ORDERED_RECONFIGURATION is set to TRUE caused by the received CELL UPDATE CONFIRM message in case of a cell update procedure:

2> set the variable ORDERED_RECONFIGURATION to FALSE.

1> in case of a cell update procedure:

2> clear any entry for the CELL UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS.

1> in case of a URA update procedure:

2> clear any entry for the URA UPDATE CONFIRM message in the table "Accepted transactions" in the variable TRANSACTIONS.

If the UE detects "in service area" if it has not entered idle mode, and:

1> if V302 is equal to or smaller than N302, the UE shall:

2> if the UE performed cell re-selection:

3> delete its C-RNTI.

2> in case of a cell update procedure:

3> set the contents of the CELL UPDATE message according to subclauses 8.3.1.3 and 8.5.10;

3> if a CELL UPDATE CONFIRM message was received and caused the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE and/or the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to be set to TRUE:

4> if the IE "Downlink counter synchronisation info" was included in the received CELL UPDATE CONFIRM message:

5> apply the new security (integrity protection) configuration received in the CELL UPDATE CONFIRM on the CELL UPDATE message.

3> submit the CELL UPDATE message for transmission on the uplink CCCH.

2> in case of a URA update procedure:

3> set the contents of the URA UPDATE message according to subclauses 8.3.1.3 and 8.5.10;

3> if a URA UPDATE CONFIRM message was received and caused the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE and/or the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE:

4> if the IE "Downlink counter synchronisation info" was included in the received URA UPDATE CONFIRM message:

5> apply the new security (integrity protection) configuration received in the URA UPDATE CONFIRM on the URA UPDATE message.

3> submit the URA UPDATE message for transmission on the uplink CCCH.

2> increment counter V302;

2> restart timer T302 when the MAC layer indicates success or failure to transmit the message.

1> if V302 is greater than N302, the UE shall:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> in case of a cell update procedure:

3> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> in case of a URA update procedure:

3> clear the entry for the URA UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS.

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> and the procedure ends.

If the UE detects "out of service area", it shall:

1> act according to subclause 7.2.2.

8.3.1.13 T314 expiry

Upon expiry of timer T314 the UE shall:

1> if timer T302 is running:

2> continue awaiting response message from UTRAN.

1> if timer T302 is not running and timer T315 is running:

2> set IE "T314 expired" in variable RB_TIMER_INDICATOR to TRUE;

2> release locally all radio bearers which are associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "useT314";

2> indicate release of those radio access bearers to upper layers;

2> delete all information about those radio access bearers from the variable ESTABLISHED_RABS;

2> if all radio access bearers associated with a CN domain are released:

3> release the signalling connection for that CN domain;

3> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> indicate release (abort) of the signalling connection to upper layers;

3> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

1> if timers T302 and T315 are not running:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS;

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> and the procedure ends.

8.3.1.14 T315 expiry

Upon expiry of timer T315 the UE shall:

1> if timer T302 is running:

2> continue awaiting response message from UTRAN.

1> if timer T302 is not running and timer T314 is running:

2> set IE "T315 expired" in variable RB_TIMER_INDICATOR to TRUE;

2> release locally all radio bearers which are associated with any radio access bearers for which in the variable ESTABLISHED_RABS the value of the IE "Re-establishment timer" is set to "use T315";

2> indicate release of those radio access bearers to upper layers;

2> delete all information about those radio access bearers from the variable ESTABLISHED_RABS;

2> if all radio access bearers associated with a CN domain are released:

3> release the signalling connection for that CN domain;

3> remove the signalling connection for that CN domain from the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

3> indicate release (abort) of the signalling connection to upper layers;

3> the UE may initiate the signalling connection release indication procedure, as if the upper layers requested the release (abort) of the signalling connection, according to subclause 8.1.14.

1> if timers T302 and T314 are not running:

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> clear the variable PDCP_SN_INFO;

2> clear the entry for the CELL UPDATE CONFIRM message in the table "Rejected transactions" in the variable TRANSACTIONS;

2> release all its radio resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS;

2> set the variable CELL_UPDATE_STARTED to FALSE;

2> enter idle mode;

2> other actions the UE shall perform when entering idle mode from connected mode are specified in subclause 8.5.2;

2> and the procedure ends.

8.3.1.15 Reception of the UTRAN MOBILITY INFORMATION CONFIRM message by the UTRAN

See subclause 8.3.3.4.

8.3.2 URA update

See subclause 8.3.1.

8.3.3 UTRAN mobility information

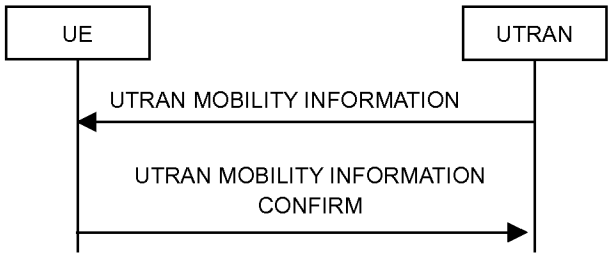


Figure 8.3.3-1: UTRAN mobility information procedure, normal flow

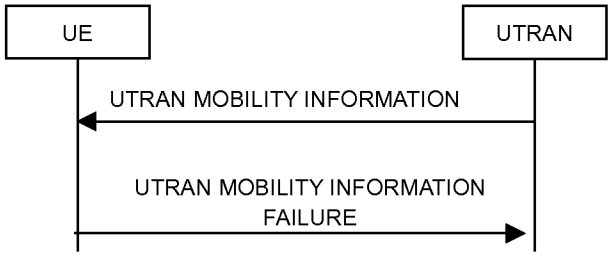


Figure 8.3.3-2: UTRAN mobility information procedure, failure case

8.3.3.1 General

The purpose of this procedure is to allocate any one or a combination of the following to a UE in connected mode:

- a new C-RNTI;
- a new U-RNTI;
- other mobility related information.

8.3.3.2 Initiation

To initiate the procedure UTRAN transmits a UTRAN MOBILITY INFORMATION message to the UE on the downlink DCCH using AM or UM RLC. In case of SRNS relocation, the message is sent using UM RLC only.

8.3.3.3 Reception of UTRAN MOBILITY INFORMATION message by the UE

When the UE receives a UTRAN MOBILITY INFORMATION message, it shall:

1> act on received information elements as specified in subclause 8.6;

1> if the IE "UE Timers and constants in connected mode" is present:

2> store the values of the IE "UE Timers and constants in connected mode" in the variable TIMERS_AND_CONSTANTS, replacing any previously stored value for each timer and constant; and

2> for each updated timer value:

3> start using the new value next time the timer is started;

NOTE: If a new value of timer T305 is included in the IE "UE Timers and constants in connected mode", and the old value of timer T305 is "infinity", the UE will not use the new value of the timer T305 until the next cell reselection.

2> for each updated constant value:

3> start using the new value directly;

1> if the IE "CN domain specific DRX cycle length coefficient" is present:

2> store the value of the IE "CN domain specific DRX cycle length coefficient" for that CN domain, replacing any previously stored value; and

2> use the value to determine the connected mode paging occasions according to [4].

1> set the IE "RRC transaction identifier" in the UTRAN MOBILITY INFORMATION CONFIRM message to the value of "RRC transaction identifier" in the entry for the UTRAN MOBILITY INFORMATION message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> if the UTRAN MOBILITY INFORMATION message contained the IE "Ciphering mode info" or contained the IE "Integrity protection mode info":

2> set the IE "Status" in the variable SECURITY_MODIFICATION for all the CN domains in the variable SECURITY_MODIFICATION to "Affected".

1> if the variable PDCP_SN_INFO is non-empty:

2> include the IE "RB with PDCP information list" in the UTRAN MOBILITY INFORMATION CONFIRM message and set it to the value of the variable PDCP_SN_INFO.

1> if the received UTRAN MOBILITY INFORMATION message included the IE "Downlink counter synchronisation info":

2> if the variable PDCP_SN_INFO is empty:

3> configure the corresponding RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "stop".

2> else:

3> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "stop";

3> configure the RLC entity for UM and AM radio bearers for which the IE "PDCP SN Info" is not included to "stop".

2> re-establish the RLC entity for RB2;

2> for the downlink and the uplink, apply the ciphering configuration as follows:

3> if the received re-configuation message included the IE "Ciphering Mode Info":

4> use the ciphering configuration in the received message when transmitting the response message.

3> if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because the activation times not having been reached:

4> if the previous SECURITY MODE COMMAND was received due to new keys being received:

5> consider the new ciphering configuration to include the received new keys;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 as indicated in subclause 8.1.12.3.1.

4> else if the ciphering configuration for RB2 from a previously received SECURITY MODE COMMAND has not yet been applied because of the corresponding activation times not having been reached and the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

5> consider the new ciphering configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN;

5> initialise the HFN component of the uplink COUNT-C and downlink COUNT-C of SRB2 to the most recently transmitted IE "START list" or IE "START" for the LATEST_CONFIGURED_CN_DOMAIN at the reception of the previous SECURITY MODE COMMAND.

4> apply the new ciphering configuration immediately following RLC re-establishment.

3> else:

4> continue using the current ciphering configuration.

2> set the new uplink and downlink HFN component of COUNT-C of RB2 to MAX(uplink HFN component of COUNT-C of RB2, downlink HFN component of COUNT-C of RB2);

2> increment by one the downlink and uplink values of the HFN component of COUNT-C for RB2;

2> calculate the START value according to subclause 8.5.9;

2> include the calculated START values for each CN domain in the IE "START list" in the IE "Uplink counter synchronisation info" in the UTRAN MOBILITY INFORMATION CONFIRM message.

1> transmit a UTRAN MOBILITY INFORMATION CONFIRM message on the uplink DCCH using AM RLC;

1> if the IE "Integrity protection mode info" was present in the UTRAN MOBILITY INFORMATION message:

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RB2 from and including the transmitted UTRAN MOBILITY INFORMATION CONFIRM message.

1> if the IE "Downlink counter synchronisation info" was included in the received UTRAN MOBILITY INFORMATION message:

2> when RLC has confirmed the successful transmission of the response message:

3> if the variable PDCP_SN_INFO is empty:

4> configure the RLC entity for all AM and UM radio bearers and AM and UM signalling radio bearers except RB2 to "continue".

3> else:

4> configure the RLC entity for signalling radio bearers RB1, RB3 and RB4 to "continue";

4> configure the RLC entity for UM and AM radio bearers for which the IE "PDCP SN Info" is not included to "continue".

3> re-establish all AM and UM RLC entities with RB identities larger than 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the corresponding CN domain;

3> re-establish the RLC entities with RB identities 1, 3 and 4 and set the first 20 bits of all the HFN component of the respective COUNT-C values to the START value included in the response message for the CN domain stored in the variable LATEST_CONFIGURED_CN_DOMAIN;

3> set the remaining bits of the HFN component of the COUNT-C values of all UM RLC entities to zero;

3> if the IE "PDCP context relocation info" is not present:

4> re-initialise the PDCP header compression entities of each radio bearer in the variable ESTABLISHED_RABS as specified in [36].

3> if the IE "PDCP context relocation info" is present:

4> perform the actions as specified in subclause 8.6.4.13.

1> if the variable PDCP_SN_INFO is empty; and

2> if the UTRAN MOBILITY INFORMATION message contained the IE "Ciphering mode info":

3> when RLC has confirmed the successful transmission of the UTRAN MOBILITY INFORMATION CONFIRM message:

4> perform the actions below:

2> if the UTRAN MOBILITY INFORMATION message did not contain the IE "Ciphering mode info":

3> when RLC has been requested to transmit the UTRAN MOBILITY INFORMATION CONFIRM message:

4> perform the actions below.

1> if the variable PDCP_SN_INFO is non-empty:

2> when RLC has confirmed the successful transmission of the UTRAN MOBILITY INFORMATION CONFIRM message:

3> for each radio bearer in the variable PDCP_SN_INFO:

4> if the IE "RB started" in the variable ESTABLISHED_RABS is set to "started":

5> configure the RLC entity for that radio bearer to "continue".

3> clear the variable PDCP_SN_INFO; and

3> perform the actions below.

The UE shall:

1> if the UTRAN MOBILITY INFORMATION message contained the IE "Ciphering mode info":

2> resume data transmission on any suspended radio bearer and signalling radio bearer mapped on RLC-AM or RLC-UM;

2> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to FALSE; and

2> clear the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO.

1> if the UTRAN MOBILITY INFORMATION message contained the IE "Integrity protection mode info":

2> allow the transmission of RRC messages on all signalling radio bearers with any RRC SN;

2> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to FALSE; and

2> clear the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

1> clear the variable SECURITY_MODIFICATION.

The procedure ends.

8.3.3.4 Reception of an UTRAN MOBILITY INFORMATION CONFIRM message by the UTRAN

When the network receives UTRAN MOBILITY INFORMATION CONFIRM message, UTRAN may delete any old U-RNTI. The procedure ends.

8.3.3.5 Cell re-selection

If the UE performs cell re-selection, the UE shall:

1> initiate a cell update procedure according to subclause 8.3.1;

1> if the UTRAN MOBILITY INFORMATION message contains the IE "New C-RNTI"; and

1> if the UE has not yet submitted the UTRAN MOBILITY INFORMATION CONFIRM message to lower layers for transmission; and

1> if the IE "Downlink counter synchronisation info" was not included in the received UTRAN MOBILITY INFORMATION message:

2> transmit a UTRAN MOBILITY INFORMATION FAILURE message on the uplink DCCH using AM RLC;

2> set the IE "RRC transaction identifier" in the UTRAN MOBILITY INFORMATION FAILURE message to the value of "RRC transaction identifier" in the entry for the UTRAN MOBILITY INFORMATION message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry.

2> set the IE "failure cause" to the cause value "cell update occurred";

2> when the UTRAN MOBILITY INFORMATION FAILURE message has been submitted to lower layers for transmission:

3> continue with any ongoing processes and procedures as if the invalid UTRAN MOBILITY INFORMATION message has not been received and the procedure ends.

1> otherwise:

2> if a UTRAN MOBILITY INFORMATION message was received and caused the IE "Reconfiguration" in the variable CIPHERING_STATUS to be set to TRUE and/or the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to be set to TRUE; and

2> if the IE "Downlink counter synchronisation info" was included in the received UTRAN MOBILITY INFORMATION message:

3> apply the new security (integrity protection) configuration received in the UTRAN MOBILITY INFORMATION message on the CELL UPDATE message to be transmitted.

2> continue the procedure normally.

8.3.3.5a Incompatible simultaneous security reconfiguration

If the variable INCOMPATIBLE_SECURITY_RECONFIGURATION becomes set to TRUE of the received UTRAN MOBILITY INFORMATION message, the UE shall:

1> transmit a UTRAN MOBILITY INFORMATION FAILURE message on the uplink DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the UTRAN MOBILITY INFORMATION FAILURE message to the value of "RRC transaction identifier" in the entry for the UTRAN MOBILITY INFORMATION message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "incompatible simultaneous reconfiguration";

1> when the UTRAN MOBILITY INFORMATION FAILURE message has been delivered to lower layers for transmission:

2> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to FALSE;

2> continue with any ongoing processes and procedures as if the UTRAN MOBILITY INFORMATION message has not been received;

2> and the procedure ends.

8.3.3.6 Invalid UTRAN MOBILITY INFORMATION message

If the UTRAN MOBILITY INFORMATION message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit a UTRAN MOBILITY INFORMATION FAILURE message on the uplink DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the UTRAN MOBILITY INFORMATION FAILURE message to the value of "RRC transaction identifier" in the entry for the UTRAN MOBILITY INFORMATION message in the table "Rejected transactions" in the variable TRANSACTIONS, and;

1> clear that entry.

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the UTRAN MOBILITY INFORMATION FAILURE message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid UTRAN MOBILITY INFORMATION message has not been received;

2> and the procedure ends.

8.3.4 Active set update

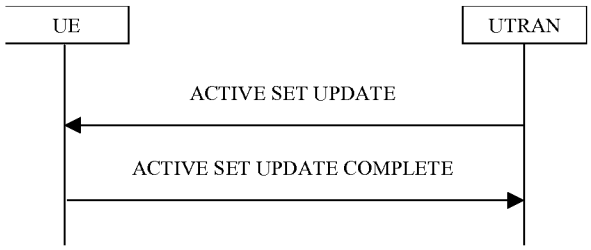


Figure 8.3.4-1: Active Set Update procedure, successful case

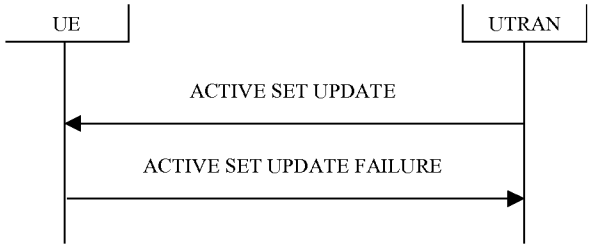


Figure 8.3.4-2: Active Set Update procedure, failure case

8.3.4.1 General

The purpose of the active set update procedure is to update the active set of the connection between the UE and UTRAN. This procedure shall be used in CELL_DCH state. The UE should keep on using the old RLs while configuring the new RLs. Also the UE should keep the transmitter turned on during the procedure. This procedure is only used in FDD mode.

8.3.4.2 Initiation

The procedure is initiated when UTRAN orders a UE in CELL_DCH state, to make the following modifications of the active set of the connection:

a) Radio link addition;

b) Radio link removal;

c) Combined radio link addition and removal;

d) Addition of a radio link to the E-DCH active set;

e) Removal of a radio link from the E-DCH active set.

In case a) and c), UTRAN should:

1> prepare new additional radio link(s) in the UTRAN prior to the command to the UE.

In all cases, UTRAN should:

1> send an ACTIVE SET UPDATE message on downlink DCCH using AM or UM RLC;

1> create active sets that contain at least one common radio link across a DPCH or F-DPCH frame boundary as the result of one or multiple (parallel) active set update procedures.

UTRAN should include the following information:

1> IE "Radio Link Addition Information": Downlink DPCH information and other optional parameters relevant for the radio links to be added along with the IE "Primary CPICH info" used for the reference ID to indicate which radio link to add. This IE is needed in cases a) and c) listed above;

1> IE "Radio Link Removal Information": IE "Primary CPICH info" used for the reference ID to indicate which radio link to remove. This IE is needed in cases b) and c) listed above;

1> IE "E-DCH reconfiguration information": IE "Primary CPICH info" used for the reference ID along with the IE "E-HICH information" to indicate which radio link to add to the E-DCH active set. This IE is needed in case d) above, when the RL added to the E-DCH active set is already in the DCH active set;

1> IE "E-DCH reconfiguration information": IE "Primary CPICH info" used for the reference ID along with the IE "E-HICH release indicator" to indicate which radio link to remove from the E-DCH active set. This IE is needed in case e) above, when the RL removed from the E-DCH active set remains in the DCH active set.

8.3.4.3 Reception of an ACTIVE SET UPDATE message by the UE

Upon reception of an ACTIVE SET UPDATE message the UE shall act upon all received information elements as specified in 8.6, unless specified otherwise in the following.

The UE may:

1> maintain a list of the set of cells to which the UE has Radio Links if the IE "Cell ID" is present.

The UE shall:

1> first add the RLs indicated in the IE "Radio Link Addition Information";

1> remove the RLs indicated in the IE "Radio Link Removal Information". If the UE active set is full or becomes full, an RL, which is included in the IE "Radio Link Removal Information" for removal, shall be removed before adding RL, which is included in the IE "Radio Link Addition Information" for addition;

1> perform the physical layer synchronisation procedure B as specified in [29];

1> if the IE "E-HICH information" is included:

2> store this E-HICH configuration for the concerning radio link.

1> if the IE "E-HICH information" is included:

2> store this E-RGCH configuration for the concerning radio link, if included.

1> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28;

1> if the radio link currently considered to be the serving HS-DSCH radio link is indicated in the IE "Radio Link Removal Information":

2> no longer consider any radio link as the serving HS-DSCH radio link;

2> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

1> if "Serving HS-DSCH cell information" IE is present, act on received information elements as specified in subclause 8.6:

2> if the IEs "Δ_{ACK}", "Δ_{NACK}", and "HARQ_preamble_mode" are present, act on the received information elements;

2> if the new H-RNTI and "Primary CPICH info" are included:

3> consider the cell indicated in Primary CPICH as serving HS-DSCH cell and no longer consider any other radio link as serving HS-DSCH cell.

2> if the IE "MAC-hs reset indicator" is included:

3> reset the MAC-hs entity [15].

2> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

1> if the IE "E-DCH reconfiguration information" is included:

2> if the IE "E-DCH RL Info other cells" is present:

3> if the IE "E-HICH Information" is present:

4> store the E-HICH and E-RGCH information (if present), contained therein, for the indicated radio link.

3> if the IE "E-HICH release indicator" is present:

4> delete the stored E-HICH, E-AGCH and E-RGCH (if any) configurations.

3> if the IE "E-RGCH release indicator" is set present:

4> delete the stored E-RGCH configuration for this RL.

2> if the IE "E-DCH RL Info new serving cell" is present:

3> consider the cell indicated in "Primary CPICH info" as serving E-DCH radio link and no longer consider any other radio link as serving E-DCH radio link;

3> store the E-HICH and E-RGCH information (if present), contained therein, for the new serving E-DCH radio link;

3> if the IE "E-RGCH release indicator" is present:

4> delete the stored E-RGCH configuration for this RL.

3> store the newly received E-AGCH configuration;

3> if the IE "Serving Grant" is included, and if the IE "Serving Grant Value" is not included:

4> the UE behaviour is not specified.

2> if the IEs "E-DPCCH/DPCCH power offset" and/or "Reference E-TFCI PO" and/or "Power offset for scheduling info" are present, act on the received information elements.

2> if the serving E-DCH radio link was another radio link than this radio link prior to reception of the message:

3> if the IE "New Primary E-RNTI" is not included:

4> clear the Primary E-RNTI stored in the variable E_RNTI.

3> if the IE "New Secondary E-RNTI" is not included:

4> clear the Secondary E-RNTI stored in the variable E_RNTI.

1> if the radio link currently considered to be the serving E-DCH radio link is indicated in the IE "Radio Link Removal Information":

2> no longer consider any radio link as the serving E-DCH radio link.

1> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28.

1> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE COMPLETE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> transmit an ACTIVE SET UPDATE COMPLETE message on the uplink DCCH using AM RLC without waiting for the completion of the Physical Layer synchronisation B, as specified in [29];

1> the procedure ends on the UE side.

8.3.4.4 Unsupported configuration in the UE

If UTRAN instructs the UE to use a configuration that it does not support, the UE shall:

1> keep the active set as it was before the ACTIVE SET UPDATE message was received;

1> transmit an ACTIVE SET UPDATE FAILURE message on the DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE FAILURE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to "configuration unsupported";

1> when the ACTIVE SET UPDATE FAILURE message has been submitted to lower layers for transmission:

2> the procedure ends on the UE side.

8.3.4.5 Invalid configuration

If any of the following conditions are valid:

- a radio link indicated by the IE "Downlink DPCH info for each RL" in the IE "Radio link addition information" has a different spreading factor than the spreading factor for the radio links in the active set that will be established at the time indicated by the IE "Activation time"; and/or

- a radio link in the IE "Radio link addition information" is also present in the IE "Radio Link Removal Information"; and/or

- the IE "Radio Link Removal Information" contains all the radio links which are part of or will be part of the active set at the time indicated by the IE "Activation time"; and/or

- the IE "TX Diversity Mode" is not set to "none" and it indicates a diversity mode that is different from the one currently used (<STTD> or <closed loop mode1>) in all or part of the active set; and/or

- a radio link indicated by the IE "Radio Link Removal Information" does not exist in the active set; and/or
- after the removal of all radio links indicated by the IE "Radio Link Removal Information" and the addition of all radio links indicated by the IE "Radio Link Addition Information" the active set would contain more than the maximum allowed number of radio links; and/or
- after the addition of all radio links indicated by the IE "Radio Link Addition Information" the active set would contain radio links indicated by the IE "Downlink DPCH info for each RL" and radio links indicated by the IE "Downlink F-DPCH info for each RL"; and/or
- the variable INVALID_CONFIGURATION is set to TRUE:

the UE shall:

1> keep the active set as it was before the ACTIVE SET UPDATE message was received;

1> transmit an ACTIVE SET UPDATE FAILURE message on the DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE FAILURE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to "Invalid configuration";

1> When the ACTIVE SET UPDATE FAILURE message has been submitted to lower layers for transmission:

2> the procedure ends on the UE side.

If the following condition is valid:

- the active set update procedure results in active sets that do not contain at least one common radio link before and after a DPCH or F-DPCH frame boundary:

the UE behaviour is not specified.

8.3.4.5a Void

8.3.4.5b Incompatible simultaneous reconfiguration

If the variable ORDERED_RECONFIGURATION is set to TRUE, the UE may:

1> if the activation time for the procedure that has set variable ORDERED_RECONFIGURATION and the activation time for the Active Set Update procedure are within a time window of 5 frames:

2> transmit an ACTIVE SET UPDATE FAILURE message on the uplink DCCH using AM RLC;

2> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE FAILURE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "failure cause" to the cause value "incompatible simultaneous reconfiguration";

2> when the ACTIVE SET UPDATE FAILURE message has been delivered to lower layers for transmission:

3> continue with any ongoing processes and procedures as if the ACTIVE SET UPDATE message has not been received.

3> and the procedure ends.

8.3.4.6 Reception of the ACTIVE SET UPDATE COMPLETE message by the UTRAN

When the UTRAN has received the ACTIVE SET UPDATE COMPLETE message,

1> the UTRAN may remove radio link(s) that are indicated to remove to the UE in case b) and c); and

1> the procedure ends on the UTRAN side.

8.3.4.7 Reception of the ACTIVE SET UPDATE FAILURE message by the UTRAN

When the UTRAN has received the ACTIVE SET UPDATE FAILURE message, the UTRAN may delete radio links that were included in the IE "Radio Link Addition Information" for addition. The procedure ends on the UTRAN side.

8.3.4.8 Invalid ACTIVE SET UPDATE message

If the ACTIVE SET UPDATE message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit a ACTIVE SET UPDATE FAILURE message on the uplink DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE FAILURE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> when the ACTIVE SET UPDATE FAILURE message has been delivered to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid ACTIVE SET UPDATE message has not been received;

2> and the procedure ends.

8.3.4.9 Reception of an ACTIVE SET UPDATE message in wrong state

If the UE is in another state than CELL_DCH state upon reception of the ACTIVE SET UPDATE message, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit a ACTIVE SET UPDATE FAILURE message on the uplink DCCH using AM RLC;

1> set the IE "RRC transaction identifier" in the ACTIVE SET UPDATE FAILURE message to the value of "RRC transaction identifier" in the entry for the ACTIVE SET UPDATE message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with the IE "Protocol error cause" set to "Message not compatible with receiver state";

1> when the ACTIVE SET UPDATE FAILURE message has been delivered to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the ACTIVE SET UPDATE message has not been received;

2> and the procedure ends.

8.3.5 Hard handover

When performing hard handover with change of frequency, the UE shall:

1> stop all intra-frequency and inter-frequency measurement reporting on the cells listed in the variable CELL_INFO_LIST. Each stopped measurement is restarted when a MEASUREMENT CONTROL message is received with the corresponding measurement identity.

8.3.5.1 Timing re-initialised hard handover

8.3.5.1.1 General

The purpose of the timing re-initialised hard handover procedure is to remove all the RL(s) in the active set and establish new RL(s) along with a change in the CFN in the UE according to the SFN of the target cell.(see subclause 8.5.15).

For TDD timing re-initialised hard handover is realised via CFN calculation (see subclause 8.5.15.2).

NOTE: For FDD, during the hard-handover procedure, the UE will align the timing of the uplink transmission as specified in [26].

This procedure is initiated when UTRAN does not know the target SFN timing before hard handover.

8.3.5.1.2 Initiation (FDD only)

Timing re-initialised hard handover initiated by the UTRAN is normally performed by using the procedure "Physical channel reconfiguration" (subclause 8.2.6), but may also be performed by using either one of the following procedures:

- "radio bearer establishment" (subclause 8.2.1);
- "Radio bearer reconfiguration" (subclause 8.2.2);
- "Radio bearer release" (subclause 8.2.3); or
- "Transport channel reconfiguration" (subclause 8.2.4).

In this case of a timing re-initialised hard handover, UTRAN should include the IE "Default DPCH Offset Value" and:

1> in FDD mode:

2> set "Default DPCH Offset Value" and "DPCH frame offset" respecting the following relation

$$\text{(Default DPCH Offset Value) mod 38400} = \text{DPCH frame offset}_j$$

3> where *j* indicates the first radio link listed in the message and the IE values used are the Actual Values of the IEs as defined in clause 11.

If the IE "Default DPCH Offset Value" is included, the UE shall:

1> in FDD mode:

2> if the above relation between "Default DPCH Offset Value" and "DPCH frame offset" is not respected:

3> set the variable INVALID_CONFIGURATION to true.

If the IE "Default DPCH Offset Value" is not included, the UE shall:

1> set the variable INVALID_CONFIGURATION to true.

8.3.5.2 Timing-maintained hard handover

8.3.5.2.1 General

The purpose of the Timing-maintained hard handover procedure is to remove all the RL(s) in the active set and establish new RL(s) while maintaining the CFN in the UE.

For TDD timing re-initialised hard handover is realised via CFN calculation (see subclause 8.5.15.2).

NOTE: For FDD, during the hard-handover procedure, the UE will align the timing of the uplink transmission as specified in [26].

This procedure can be initiated only if UTRAN knows the target SFN timing before hard handover. The target SFN timing can be known by UTRAN in the following 2 cases:

- UE reads SFN when measuring "Cell synchronisation information" and sends it to the UTRAN in MEASUREMENT REPORT message.
- UTRAN internally knows the time difference between the cells.

8.3.5.2.2 Initiation (FDD only)

Timing-maintained hard handover initiated by the network is normally performed by using the procedure "Physical channel reconfiguration" (subclause 8.2.6), but may also be performed by using either one of the following procedures:

- "radio bearer establishment" (subclause 8.2.1);
- "Radio bearer reconfiguration" (subclause 8.2.2);
- "Radio bearer release" (subclause 8.2.3); or
- "Transport channel reconfiguration" (subclause 8.2.4).

In this case of a timing maintained hard handover procedure the UTRAN should not include the IE "Default DPCH Offset Value".

If the IE "Default DPCH Offset Value" is included, the UE shall:

1> ignore the IE "Default DPCH Offset Value".

8.3.6 Inter-RAT handover to UTRAN

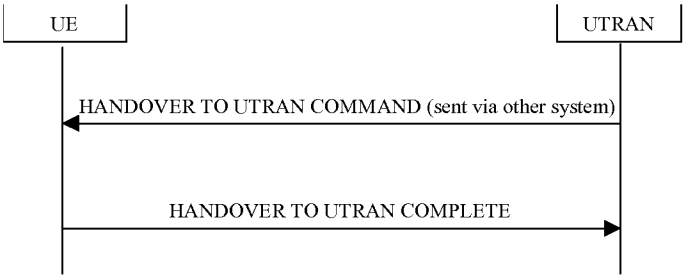


Figure 8.3.6-1: Inter-RAT handover to UTRAN, successful case

8.3.6.1 General

The purpose of the inter-RAT handover procedure is to, under the control of the network, transfer a connection between the UE and another radio access technology (e.g. GSM) to UTRAN.

This procedure may be used to perform CS handover which applies when there is a signalling connection to the CS domain.

When the UE supports Inter Rat PS handover, this procedure may be used to perform PS handover which applies when the there is only a signalling connection to the PS domain.

This procedure may be used to perform simultaneous CS and PS handover (i.e. DTM Handover) which applies when the are signalling connections to both CS and PS domains.

8.3.6.2 Initiation

The procedure is initiated when a radio access technology other than UTRAN, e.g. GSM, using radio access technology-specific procedures, orders the UE to make a handover to UTRAN.

A HANDOVER TO UTRAN COMMAND message is sent to the UE via the radio access technology from which inter-RAT handover is performed.

In case UTRAN decides to uses a predefined or default radio configuration that is stored in the UE, it should include the following information in the HANDOVER TO UTRAN COMMAND message.

- the IE "New U-RNTI" to be assigned;
- the IE "Predefined configuration identity", to indicate which pre-defined configuration of RB, transport channel and physical channel parameters shall be used; or
- the IE "Default configuration mode" and IE "Default configuration identity", to indicate which default configuration of RB, transport channel and physical channel parameters shall be used;
- PhyCH information elements.

NOTE 1: When using a predefined or default configuration during handover to UTRAN, UTRAN can only assign values of IEs "New U-RNTI" and "scrambling code" that are within the special subranges defined exclusively for this procedure. UTRAN may re- assign other values after completion of the handover procedure.

NOTE 2: When using a predefined or default configuration during handover to UTRAN, fewer IEs are signalled; when using this signalling option some parameters e.g. concerning compressed mode, DSCH can not be configured. In this case, the corresponding functionality can not be activated immediately.

NOTE 3: When using a predefined or default configuration, the HANDOVER TO UTRAN COMMAND should not include more than one radio link. If UTRAN includes more than one radio link in the HANDOVER TO UTRAN COMMAND using a predefined or default configuration, the UE behaviour is unspecified.

In case UTRAN does not use a predefined radio configuration that is stored in the UE, it should include the following information in the HANDOVER TO UTRAN COMMAND message.

- the IE "New U-RNTI" to be assigned;
- the complete set of RB, TrCH and PhyCH information elements to be used.

8.3.6.3 Reception of HANDOVER TO UTRAN COMMAND message by the UE

The UE shall be able to receive a HANDOVER TO UTRAN COMMAND message and perform an inter-RAT handover, even if no prior UE measurements have been performed on the target UTRAN cell and/or frequency.

The UE shall act upon all received information elements as specified in subclause 8.6, unless specified otherwise in the following.

The UE may:

1> maintain a list of the set of cells to which the UE has Radio Links if the IE "Cell ID" is present.

The UE shall:

1> store a U-RNTI value (32 bits), which is derived by the IEs "SRNC identity" (12 bits) and "S-RNTI 2" (10 bits) included in IE "U-RNTI-short". In order to produce a full size U-RNTI value, a full size "S-RNTI" (20 bits) shall be derived by padding the IE "S-RNTI 2" with 10 zero bits in the most significant positions; and

1> initialise the variable ESTABLISHED_SIGNALLING_CONNECTIONS with the signalling connections that remains after the handover according to the specifications of the source RAT;

1> initialise the variable UE_CAPABILITIES_TRANSFERRED with the UE capabilities that have been transferred to the network up to the point prior to the handover, if any;

1> initialise the variable TIMERS_AND_CONSTANTS to the default values and start to use those timer and constants values;

1> if IE "Specification mode" is set to "Preconfiguration" and IE "Preconfiguration mode" is set to "Predefined configuration":

2> initiate the radio bearer and transport channel configuration in accordance with the predefined parameters identified by the IE "Predefined configuration identity";

2> initiate the physical channels in accordance with the predefined parameters identified by the IE "Predefined radio configuration identity" and the received physical channel information elements;

2> store information about the established radio access bearers and radio bearers according to the IE "Predefined configuration identity"; and

2> set the IE "RAB Info Post" in the variable ESTABLISHED_RABS and the IE "Re-establishment timer" in the IE "RAB Info" in the variable ESTABLISHED_RABS to "useT314".

1> if IE "Specification mode" is set to "Preconfiguration" and IE "Preconfiguration mode" is set to "Default configuration":

2> initiate the radio bearer and transport channel configuration in accordance with the default parameters identified by the IE "Default configuration mode" and IE "Default configuration identity";

2> initiate the physical channels in accordance with the default parameters identified by the IE "Default configuration mode" and IE "Default configuration identity" and the received physical channel information elements;

NOTE 1: IE "Default configuration mode" specifies whether the FDD or TDD version of the default configuration shall be used.

2> set the IE "RAB Info Post" in the variable ESTABLISHED_RABS and the IE "Re-establishment timer" in the IE "RAB Info" in the variable ESTABLISHED_RABS to "useT314".

1> if IE "Specification mode" is set to "Preconfiguration":

2> use the following values for parameters that are neither signalled within the HANDOVER TO UTRAN COMMAND message nor included within pre-defined or default configuration:

3> 0 dB for the power offset $P_{Pilot\text{-}DPDCH}$ bearer in FDD;

3> calculate the Default DPCH Offset Value using the following formula:

3> in FDD:

Default DPCH Offset Value = (SRNTI 2 mod 600) * 512

3> in TDD:

Default DPCH Offset Value = (SRNTI 2 mod 7)

3> handle the above Default DPCH Offset Value as if an IE with that value was included in the message, as specified in subclause 8.6.6.21.

1> if IE "Specification mode" is set to "Complete specification":

2> initiate the radio bearer, transport channel and physical channel configuration in accordance with the received radio bearer, transport channel and physical channel information elements.

1> perform an open loop estimation to determine the UL transmission power according to subclause 8.5.3;

1> set the IE "START" for each CN domain, in the IE "START list" in the HANDOVER TO UTRAN COMPLETE message equal to the START value for each CN domain stored in the USIM if the USIM is present, or as stored in the UE for each CN domain if the SIM is present;

NOTE 2: Keys received while in another RAT are not regarded as "new" (i.e.do not trigger the actions in subclause 8.1.12.3.1) in a subsequent security mode control procedure in UTRAN, irrespective of whether the keys are already being used in the other RAT or not. If the UE has received new keys in the other RAT before handover, then the START values in the USIM (sent in the HANDOVER TO UTRAN COMPLETE message and in the INTER_RAT_HANDOVER_INFO sent to the BSS while in the other RAT) will not reflect the receipt of these new keys
If ciphering has been activated in the other RAT, then during the first security mode control procedure following the Inter-RAT handover to UTRAN procedure, UE activates integrity protection using the integrity key of the same key set as used in the other RAT. The term "used key set" denotes the key set that was stored on USIM/SIM at the last successfully completed RRC Security Mode Control (UTRAN), RR Cipher Mode Control procedure or GMM Authentication and Ciphering procedure (GERAN) after entering connected mode in UTRAN or GERAN.
If ciphering has not been activated in the other RAT, then. at a subsequent security mode control procedure in UTRAN, UE activates ciphering and/or integrity protection using the key set stored in the USIM/SIM.

1> set the value of "THRESHOLD" in the variable "START_THRESHOLD" to the 20 MSBs of the value stored in the USIM [50] for the maximum value of START for each CN Domain, or to the default value in [40] if the SIM is present;

1> if ciphering has been activated in the radio access technology from which inter- RAT handover is performed:

2> for the CN domain included in the IE "CN domain identity" which is included in the IE "RAB info" of the IE "RAB information to setup", or the CS domain when these IEs are either not present or indicate different CN domains:

3> set the variable LATEST_CONFIGURED_CN_DOMAIN to the value indicated in the IE "CN domain identity", or to the CS domain when this IE is either not present or different instances indicate different CN domains;

3> set the 20 MSB of the HFN component of the COUNT-C variable for all radio bearers using RLC-TM and all signalling radio bearers to the "START" value included in the IE "UE security information" in the variable "INTER_RAT_HANDOVER_INFO_TRANSFERRED";

3> set the remaining LSBs of the HFN component of COUNT-C for all radio bearers using RLC-TM and all signalling radio bearers to zero;

3> not increment the HFN component of COUNT-C for radio bearers using RLC-TM, i.e. keep the HFN value fixed without incrementing every CFN cycle;

3> set the CFN component of the COUNT-C variable to the value of the CFN as calculated in subclause 8.5.15;

3> set the IE "Status" in the variable CIPHERING_STATUS to "Started";

3> apply the algorithm according to IE "Ciphering Algorithm" with the ciphering key of the key set used in the other RAT prior to handover and apply ciphering immediately upon reception of the HANDOVER TO UTRAN COMMAND.

NOTE 3: The term "used key set" denotes the key set that was stored on USIM/SIM at the last successfully completed RRC Security Mode Control (UTRAN) or RR Cipher Mode Control procedures (GERAN) after entering connected mode in UTRAN or GERAN.
If ciphering has been activated in the radio access technology from which inter RAT handover is performed, UTRAN should not include the IE "Ciphering mode info" in the SECURITY MODE COMMAND message that starts Integrity protection.

NOTE 4: DTM Handover is not possible if the IE "specification mode" is set to "Preconfiguration" due to the existence of a single IE "RAB Info".

1> if ciphering has not been activated in the radio access technology from which inter-RAT handover is performed:

2> for the CN domain(s) included in the IE "CN domain identity" which is included in the IE "RAB info" of the IE "RAB information to setup", or the CS domain when these IEs are not present:

3> set the IE "Status" in the variable CIPHERING_STATUS to "Not Started".

If the UE succeeds in establishing the connection to UTRAN, it shall:

1> if "RAB Info" list contained only one CN domain identity in IE "CN domain identity":

2> if CN domain is set to CS domain only indicate to upper layers that no CN system information is available for any domain other than the CS domain;

2> if CN domain is set to PS domain only indicate to upper layers that no CN system information is available for any domain other than the PS domain.

NOTE 5: After the handover has been completed, the UTRAN should provide the UE with the CN system information of the CN domain to which the UE has no signalling connection as soon as possible, in order not to delay access to that CN domain.

1> if the USIM or SIM is present:

2> set the START value stored in the USIM [50] if present, and as stored in the UE if the SIM is present for any CN domain to the value "THRESHOLD" of the variable START_THRESHOLD.

1> if the IE "Status" in the variable CIPHERING_STATUS of a CN domain is set to "Started" and transparent mode radio bearers have been established by this procedure for that CN domain:

2> include the IE "COUNT-C activation time" in the response message and specify a CFN value for this IE other than the default, "Now", that is a multiple of 8 frames (CFN mod 8 =0) and lies at least 200 frames ahead of the CFN in which the response message is first transmitted;

2> at the CFN value as indicated in the response message in the IE "COUNT-C activation time" for radio bearers using RLC-TM:

3> set the 20 MSB of the HFN component of the COUNT-C variable common for all transparent mode radio bearers of this CN domain to the START value as indicated in the IE "START list" of the response message for the relevant CN domain; and

3> set the remaining LSBs of the HFN component of COUNT-C to zero;

3> increment the HFN component of the COUNT-C variable by one even if the "COUNT-C activation time" is equal to zero;

3> set the CFN component of the COUNT-C to the value of the IE "COUNT-C activation time" of the response message. The HFN component and the CFN component completely initialise the COUNT-C variable;

3> step the COUNT-C variable, as normal, at each CFN value. The HFN component is no longer fixed in value but incremented at each CFN cycle.

1> if the IE "Status" in the variable CIPHERING_STATUS of a CN domain is set to "Not Started" and transparent mode radio bearers have been established by this procedure for that CN domain:

2> initialise the 20 MSB of the HFN component of COUNT-C common for all transparent mode radio bearers of this CN domain with the START value as indicated in the IE "START list" of the response message for the relevant CN domain;

2> set the remaining LSBs of the HFN component of COUNT-C to zero;

2> do not increment the COUNT-C value common for all transparent mode radio bearers for this CN domain.

1> transmit a HANDOVER TO UTRAN COMPLETE message on the uplink DCCH, using, if ciphering has been started, the new ciphering configuration;

1> when the HANDOVER TO UTRAN COMPLETE message has been submitted to lower layers for transmission:

2> enter UTRA RRC connected mode in state CELL_DCH;

2> initialise variables upon entering UTRA RRC connected mode as specified in subclause 13.4;

2> update the variable UE_CAPABILITY_TRANSFERRED with the UE capabilities stored in the variable INTER_RAT_HANDOVER_INFO_TRANSFERRED;

2> for all radio bearers using RLC-AM or RLC-UM:

3> set the 20 MSB of the HFN component of the uplink and downlink COUNT-C variable to the START value indicated in the IE "START list" of the response message for the relevant CN domain; and

3> set the remaining LSBs of the HFN component of COUNT-C to zero;

3> increment the HFN component of the COUNT-C variable by one;

3> start incrementing the COUNT-C values.

1> and the procedure ends.

8.3.6.4 Invalid Handover to UTRAN command message

If the UE receives a HANDOVER TO UTRAN COMMAND message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling according to the source radio access technology. The UE shall:

1> if allowed by the source RAT:

2> transmit an RRC FAILURE INFO message to the source radio access technology; and

2> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> Other details may be provided in the specifications related to the source radio access technology.

NOTE: The other RAT may include the above diagnostics information in a subsequent handover request towards the same RNC.

8.3.6.4a Unsupported configuration in HANDOVER TO UTRAN COMMAND message

If the UE does not support the configuration included in the HANDOVER TO UTRAN COMMAND message, e.g., the message includes a pre-defined configuration that the UE has not stored, the UE shall:

1> continue the connection using the other radio access technology; and

1> indicate the failure to the other radio access technology.

8.3.6.5 UE fails to perform handover

If the UE does not succeed in establishing the connection to UTRAN, it shall:

1> terminate the procedure including release of the associated resources;

1> resume the connection used before the handover; and

1> indicate the failure to the other radio access technology.

Upon receiving an indication about the failure from the other radio access technology, UTRAN should release the associated resources and the context information concerning this UE.

8.3.6.6 Reception of message HANDOVER TO UTRAN COMPLETE by the UTRAN

Upon receiving a HANDOVER TO UTRAN COMPLETE message, UTRAN should consider the inter-RAT handover procedure as having been completed successfully and indicate this to the Core Network.

8.3.7 Inter-RAT handover from UTRAN



Figure 8.3.7-1: Inter-RAT handover from UTRAN, successful case

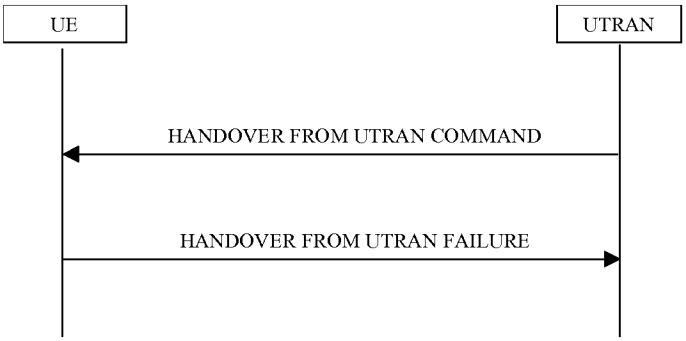


Figure 8.3.7-2: Inter-RAT handover from UTRAN, failure case

8.3.7.1 General

The purpose of the inter-RAT handover procedure is to, under the control of the network, transfer a connection between the UE and UTRAN to another radio access technology (e.g. GSM). This procedure may be used in CELL_DCH state.

This procedure may be used to perform CS handover which applies when the variable ESTABLISHED_SIGNALLING_CONNECTIONS includes at least the CN domain identity "CS Domain".

When the UE supports Inter Rat PS handover, this procedure may be used to perform PS handover which applies when the variable ESTABLISHED_SIGNALLING_CONNECTIONS includes at least the CN domain identity "PS Domain".

This procedure may be used to perform simultaneous CS and PS handover which applies when the variable ESTABLISHED_SIGNALLING_CONNECTIONS includes CN domain identities for both "CS Domain" and "PS Domain".

8.3.7.2 Initiation

The procedure is initiated when UTRAN orders a UE in CELL_DCH state, to make a handover to a radio access technology other than UTRAN, e.g. GSM.

To initiate the procedure, UTRAN sends a HANDOVER FROM UTRAN COMMAND message.

8.3.7.3 Reception of a HANDOVER FROM UTRAN COMMAND message by the UE

The UE shall be able to receive a HANDOVER FROM UTRAN COMMAND message and perform an inter-RAT handover, even if no prior UE measurements have been performed on the target cell.

The UE shall:

1> For FDD:

2> if the UE has a pending "TGPS reconfiguration CFN" at the activation time received in the HANDOVER FROM UTRAN COMMAND the UE may:

3> abort the pending CM activation;

3> set the CM_PATTERN_ACTIVATION_ABORTED to TRUE.

2> otherwise:

3> set the CM_PATTERN_ACTIVATION_ABORTED to FALSE.

1> establish the connection to the target radio access technology, by using the contents of the IE "Inter-RAT message". This IE contains a message specified in another standard, as indicated by the IE "System type", and carries information about the candidate/ target cell identifier(s) and radio parameters relevant for the target radio access technology. The correspondence between the value of the IE "System type", the standard to apply and the message contained within IE "Inter RAT message" is shown in the following:

Value of the IE "System type"	Standard to apply	Inter RAT Message
GSM	GSM TS 04.18, version 8.5.0 or later, or 3GPP TS 44.018 3GPP TS 44.060, version 6.13.0 or later 3GPP TS 44.018, version 7.6.0 or later and 3GPP TS 44.060, version 7.6.0 or later	HANDOVER COMMAND PS HANDOVER COMMAND DTM HANDOVER COMMAND
GERAN Iu	3GPP TS 44.118	RADIO BEARER RECONFIGURATION
cdma2000	TIA/EIA/IS-2000 or later, TIA/EIA/IS-833 or later, TIA/EIQ/IS-834 or later	

1> if the IE "System type" has the value "GSM" or "GERAN Iu":

2> if the IE "Frequency band" has the value "GSM /DCS 1800 band used":

3> set the BAND_INDICATOR [45] to "ARFCN indicates 1800 band".

2> if the IE "Frequency band" has the value " GSM /PCS 1900 band used":

3> set the BAND_INDICATOR [45] to "ARFCN indicates 1900 band".

1> apply the "Inter RAT Message" according to the "standard to apply" in the table above.

1> if the IE "RAB information List" is included in the HANDOVER FROM UTRAN COMMAND message:

2> if the IE "RAB information List" includes one IE "RAB Info" with the IE "CN domain Identity" set to "CS domain":

3> connect upper layer entities corresponding to the indicated CS domain RAB to the radio resources indicated in the inter-RAT message.

2> if the IE "RAB information List" includes one IE "RAB Info" with the IE "CN domain Identity" set to "PS domain":

3> connect upper layer entities corresponding to the indicated PS domain RAB to the radio resources indicated in the inter-RAT message.

3> if the "System type" is "GSM":

4> use the contents of the IE "GERAN system information" as the system information to begin access on the target GERAN cell.

NOTE1: In this version of the specification the maximum number of CS domain RABs which may be included in the IE "RAB information List" is limited to 1.

NOTE2: In handover to GERAN *Iu mode*, the RAB information is included in the RADIO BEARER RECONFIGURATION message specified in [53].

NOTE3: Requirements concerning the establishment of the radio connection towards the other radio access technology and the signalling procedure are outside the scope of this specification.

NOTE4: The UE may ignore the IE "NAS synchronisation indicator" if included in the HANDOVER FROM UTRAN COMMAND message;

NOTE5: The UE behaviour is undefined if the IE "Re-establishment timer" in the IE "RAB info" indicates a timer different from the timer currently configured for this RAB.

NOTE6: The IE "GERAN System Information" is constructed in the same way as in 2G to 2G PS Handover in [44].

8.3.7.4 Successful completion of the inter-RAT handover

Upon successfully completing the handover, UTRAN should:

1> release the radio connection; and

1> remove all context information for the concerned UE.

Upon successfully completing the handover, the UE shall:

1> if inter-RAT handover to GERAN *Iu mode* is performed:

2> perform the actions on reception of the RADIO BEARER RECONFIGURATION message as specified in [53].

1> if inter-RAT handover to GERAN *Iu mode* is performed and if there are any NAS messages for which the successful delivery of the INITIAL DIRECT TRANSFER message or UPLINK DIRECT TRANSFER message on signalling radio bearer RB3 or signalling radio bearer RB4 has not yet been confirmed by RLC; or

1> if inter-RAT handover to other RAT than GERAN *Iu mode* is performed and if there are any NAS messages with the IE "CN domain identity" set to "CS domain" for which the successful delivery of the INITIAL DIRECT TRANSFER message or UPLINK DIRECT TRANSFER message on signalling radio bearer RB3 or signalling radio bearer RB4 that have not yet been confirmed by RLC:

2> retransmit those NAS messages to the network on the newly established radio connection to the target radio access technology.

1> clear or set variables upon leaving UTRA RRC connected mode as specified in subclause 13.4.

NOTE: The release of the UMTS radio resources is initiated from the target RAT.

8.3.7.5 UE fails to complete requested handover

If the UE does not succeed in establishing the connection to the target radio access technology, it shall:

1> revert back to the UTRA configuration;

1> For FDD:

2> if the CM_PATTERN_ACTIVATION_ABORTED flag is not set to TRUE:

3> establish the UTRA physical channel(s) (including HS-DSCH and E-DCH related channels) used at the time for reception of HANDOVER FROM UTRAN COMMAND;

3> perform the physical layer synchronisation procedure A as specified in [29] (FDD only);

3> apply power control preamble according to [26] during the number of frames indicated in the IE "PC preamble" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE; and

3> then not send any data on signalling radio bearers RB0 to RB4 during the number of frames indicated in the IE "SRB delay" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE or while the physical channel is not considered established.

1> if the UE does not succeed to establish the UTRA physical channel(s) or for FDD if the CM_PATTERN_ACTIVATION_ABORTED flag is set to TRUE:

2> perform a cell update procedure according to subclause 8.3.1 with cause "Radio link failure";

2> when the cell update procedure has completed successfully:

3> proceed as below.

1> transmit the HANDOVER FROM UTRAN FAILURE message setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the HANDOVER FROM UTRAN COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "Inter-RAT handover failure" to "physical channel failure".

1> When the HANDOVER FROM UTRAN FAILURE message has been submitted to lower layer for transmission:

2> the procedure ends.

8.3.7.6 Invalid HANDOVER FROM UTRAN COMMAND message

If the IE "Inter-RAT message" received within the HANDOVER FROM UTRAN COMMAND message does not include a valid inter RAT handover message in accordance with the protocol specifications for the target RAT, the UE shall perform procedure specific error handling as follows. The UE shall:

1> set the IE "failure cause" to the cause value "Inter-RAT protocol error";

1> include the IE "Inter-RAT message" in accordance with the specifications applicable to the other RAT;

1> transmit a HANDOVER FROM UTRAN FAILURE message on the uplink DCCH using AM RLC;

1> when the transmission of the HANDOVER FROM UTRAN FAILURE message has been confirmed by RLC:

2> continue with any ongoing processes and procedures as if the invalid HANDOVER FROM UTRAN COMMAND message has not been received;

2> and the procedure ends.

If the HANDOVER FROM UTRAN COMMAND message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> set the IE "RRC transaction identifier" in the HANDOVER FROM UTRAN FAILURE message to the value of "RRC transaction identifier" in the entry for the HANDOVER FROM UTRAN COMMAND message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> transmit a HANDOVER FROM UTRAN FAILURE message on the uplink DCCH using AM RLC;

1> when the HANDOVER FROM UTRAN FAILURE message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid HANDOVER FROM UTRAN COMMAND message has not been received;

2> and the procedure ends.

8.3.7.7 Reception of an HANDOVER FROM UTRAN FAILURE message by UTRAN

Upon receiving an HANDOVER FROM UTRAN FAILURE message, UTRAN may initiate the release the resources in the target radio access technology.

8.3.7.8 Unsupported configuration in HANDOVER FROM UTRAN COMMAND message

If:

- the UTRAN instructs the UE to perform a non-supported handover scenario; or
- the UTRAN instructs the UE to use a non-supported configuration; or
- the UE does not support PS Handover to GERAN, and the inter-RAT handover to other RAT than GERAN *Iu mode* is performed and the IE "RAB information List" is included in the HANDOVER FROM UTRAN COMMAND message and this IE does not include any IE "RAB Info" with the IE "CN domain Identity" set to "CS domain"; or
- the HANDOVER FROM UTRAN COMMAND message includes the IE "RAB information List" and includes at least one IE "RAB Info" with the IE "CN domain Identity" set to "PS domain", and the IE "GERAN System Information" is not present:

the UE shall:

1> transmit a HANDOVER FROM UTRAN FAILURE message, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the HANDOVER FROM UTRAN COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "Inter-RAT handover failure" to "configuration unacceptable";

2> when the HANDOVER FROM UTRAN FAILURE message has been submitted to lower layers for transmission:

3> resume normal operation as if the invalid HANDOVER FROM UTRAN COMMAND message has not been received;

3> and the procedure ends.

8.3.7.8a Reception of HANDOVER FROM UTRAN COMMAND message by UE in CELL_FACH

If the UE receives HANDOVER FROM UTRAN COMMAND while in CELL_FACH, the UE shall:

1> transmit a HANDOVER FROM UTRAN FAILURE message, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the HANDOVER FROM UTRAN COMMAND message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "Inter-RAT handover failure" to "protocol error", include IE "Protocol error information"; and

2> set the value of IE "Protocol error cause" to "Message not compatible with receiver state";

2> when the HANDOVER FROM UTRAN FAILURE message has been submitted to lower layers for transmission:

3> resume normal operation as if the invalid HANDOVER FROM UTRAN COMMAND message has not been received;

3> and the procedure ends.

8.3.8 Inter-RAT cell reselection to UTRAN

8.3.8.1 General

The purpose of the inter-RAT cell reselection procedure to UTRAN is to transfer, under the control of the UE and to some extent the source radio access technology, a connection between the UE and another radio access technology (e.g. GSM/GPRS, but not UTRAN) to UTRAN.

8.3.8.2 Initiation

When the UE makes an inter-RAT cell reselection to UTRAN according to the criteria specified in [4], it shall initiate this procedure. The inter-RAT cell reselection made by the UE may use system information broadcast from the source radio access technology or UE dedicated information.

If the NAS procedures associated with inter-system change specified in [5] require the establishment of an RRC connection, the UE shall:

1> set the variable ESTABLISHMENT_CAUSE to "Inter-RAT cell reselection";

NOTE: This value of ESTABLISHMENT_CAUSE has priority over the cause requested by upper layers.

1> initiate an RRC connection establishment procedure as specified in subclause 8.1.3;

1> after initiating an RRC connection establishment:

2> release all resources specific to the other radio access technology.

If the NAS procedures associated with inter-system change specified in [5] do not require the establishment of an RRC connection, the UE shall:

1> enter idle mode in the target cell without accessing the cell; and

1> release all resources specific to the other radio access technology.

8.3.8.2a Initiation of inter-RAT cell reselection from GERAN *Iu mode*

When the UE performs an inter-RAT cell reselection from GERAN *Iu mode* Cell_Shared state, the UE shall:

1> initiate the cell update procedure as specified for the cell reselection case in CELL_FACH and CELL_PCH states, using the cause "cell reselection"and setting the G-RNTI in the IE "U-RNTI".

When the UE performs an inter-RAT cell reselection from GERAN *Iu mode* GRA_PCH state, the UE shall:

1> compare the GRA identity which the MS had been assigned to in GERAN against the URA identities which are broadcast in the UTRAN cell.

1> If the assigned GRA identity is not present in the list of URA identities that are broadcast in the UTRAN cell:

2> initiate the URA update procedure as specified for the URA reselection case in URA_PCH state, using the cause "change of URA" and setting the G-RNTI in the IE "U-RNTI".

The UE shall:

1> set the following variables equal to the corresponding variables in GERAN *Iu mode:*

CIPHERING_STATUS

ESTABLISHED_RABS

ESTABLISHED_SIGNALLING_CONNECTIONS

INTEGRITY_PROTECTION_INFO

INTER_RAT_HANDOVER_INFO_TRANSFERRED

LATEST_CONFIGURED_CN_DOMAIN

START_THRESHOLD

UE_CAPABILITY_TRANSFERRED.

1> set the new uplink and downlink HFN of RB2 to MSB_{20}(MAX(uplink HFN of RB2, downlink HFN of RB2)).

NOTE: MSB_{20}() operation provides the HFN mapping from GERAN *Iu mode* to UTRAN. In GERAN *Iu mode* the length of HFN component of the COUNT-C of RB2 is longer than 20 bits.

1> initialise the variable TIMERS_AND_CONSTANTS to the default values and start to use those timer and constants values.

8.3.8.3 UE fails to complete an inter-RAT cell reselection

If the inter-RAT cell reselection fails before the UE has initiated the RRC connection establishment the UE may return back to the other radio access technology.

If the RRC connection establishment fails, the UE shall enter idle mode.

8.3.8.3a UE fails to complete an inter-RAT cell reselection from GERAN *Iu mode*

When the UE performs an inter-RAT cell reselection from GERAN *Iu mode* to UTRAN, and the cell reselection fails:

1> the UE may return back to the GERAN *Iu mode* state from which it initiated the inter-RAT cell reselection.

8.3.9 Inter-RAT cell reselection from UTRAN

8.3.9.1 General

The purpose of the inter-RAT cell reselection procedure from UTRAN is to transfer, under the control of the UE and to some extent the UTRAN, a connection between the UE and UTRAN to another radio access technology (e.g. GSM/GPRS).

8.3.9.2 Initiation

This procedure is applicable in states CELL_FACH, CELL_PCH or URA_PCH.

When the UE based on received system information makes a cell reselection to a radio access technology other than UTRAN, e.g. GSM/GPRS, according to the criteria specified in [4], the UE shall:

1> If the NAS procedures associated with inter-system change specified in [5] require the establishment of a connection:

2> initiate the establishment of a connection to the target radio access technology according to its specifications.

8.3.9.2a Initiation of inter-RAT cell reselection to GERAN *Iu mode*

When the UE in CELL_PCH or CELL_FACH state performs an inter-RAT cell reselection to GERAN *Iu mode*, according to the criteria specified in [4], the UE shall:

1> initiate the cell update procedure according to 3GPP TS 44.118 [53], setting the U-RNTI in the IE "G-RNTI".

When the UE in URA_PCH state performs an inter-RAT cell reselection to GERAN *Iu mode*, according to the criteria specified in [4], the UE shall:

1> compare the URA identity which the UE had been assigned to in UTRAN against the GRA identities which are broadcast in the GERAN cell;

1> If the assigned URA identity is not present in the list of GRA identities that are broadcast in the GERAN cell:

2> initiate the GRA update procedure as specified in 3GPP TS 44.118 [53], setting the U-RNTI in the IE "G-RNTI".

8.3.9.3 Successful cell reselection

When the UE has succeeded in reselecting a cell in the target radio access technology, the UE shall:

1> release all UTRAN specific resources.

UTRAN should:

1> release all UE dedicated resources upon indication that the UE has completed a connection establishment to the other radio access technology.

8.3.9.4 UE fails to complete an inter-RAT cell reselection

If the inter-RAT cell reselection fails, the UE shall:

1> resume the connection to UTRAN using the resources used before initiating the inter-RAT cell reselection procedure.

8.3.10 Inter-RAT cell change order to UTRAN

8.3.10.1 General

The purpose of the inter-RAT cell change order to UTRAN procedure is to transfer, under the control of the source radio access technology, a connection between the UE and another radio access technology (e.g. GSM/GPRS) to UTRAN.

8.3.10.2 Initiation

The procedure is initiated when a radio access technology other than UTRAN, e.g. GSM/GPRS, using procedures specific for that RAT, orders the UE to change to a UTRAN cell.

NOTE: Within the message used to order the UE to change to a UTRAN cell, the source RAT should specify the identity of the target UTRAN cell as specified in the specifications for that RAT.

The UE shall:

1> set the variable ESTABLISHMENT_CAUSE to "Inter-RAT cell change order";

NOTE: This value of ESTABLISHMENT_CAUSE has priority over the cause requested by upper layers.

1> initiate an RRC connection establishment procedure as specified in subclause 8.1.3.

8.3.10.3 UE fails to complete an inter-RAT cell change order

If the inter-RAT cell reselection fails the UE shall return to the other radio access technology and proceed as specified in the appropriate specifications for that RAT.

NOTE 3: The cell change was network ordered. Therefore, failure to change to the target cell should not cause the UE to move to UE- controlled cell selection.

8.3.11 Inter-RAT cell change order from UTRAN

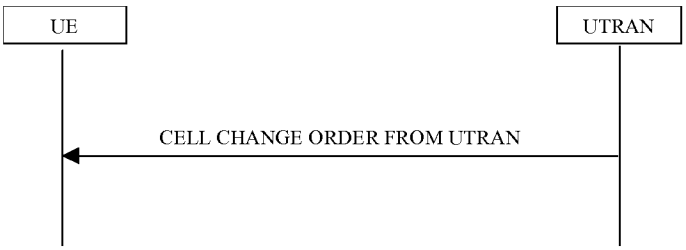


Figure 8.3.11-1: Inter–RAT cell change order from UTRAN

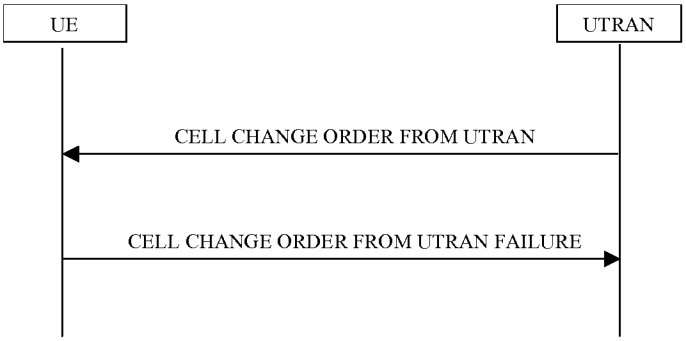


Figure 8.3.11-2: Inter-RAT cell change order from UTRAN, failure case

8.3.11.1 General

The purpose of the inter-RAT cell change order procedure is to transfer, under the control of the network, a connection between the UE and UTRAN to another radio access technology (e.g. GSM). This procedure may be used in CELL_DCH and CELL_FACH state. This procedure may be used when no RABs are established or when the established RABs are only from PS domain. This procedure may not be used when there is no PS signalling connection.

8.3.11.2 Initiation

The procedure is initiated when UTRAN orders a UE in CELL_DCH or CELL_FACH state, to make a cell change to a radio access technology other than UTRAN, e.g. GSM.

To initiate the procedure, UTRAN sends a CELL CHANGE ORDER FROM UTRAN message.

8.3.11.3 Reception of an CELL CHANGE ORDER FROM UTRAN message by the UE

The UE shall be able to receive a CELL CHANGE ORDER FROM UTRAN message and perform a cell change order to another RAT, even if no prior UE measurements have been performed on the target cell.

If the variable ESTABLISHED_SIGNALLING_CONNECTIONS does not include the CN domain identity "PS domain", or if the variable ESTABLISHED_SIGNALLING_CONNECTIONS includes the CN domain identity "CS domain":

1> the UE shall act as if the message was never received.

The UE shall:

1> For FDD:

2> if the UE has a pending "TGPS reconfiguration CFN" at the activation time received in the CELL CHANGE ORDER FROM UTRAN message the UE may:

3> abort the pending CM activation;

3> set the CM_PATTERN_ACTIVATION_ABORTED to TRUE.

2> otherwise:

3> set the CM_PATTERN_ACTIVATION_ABORTED to FALSE.

1> start timer T309; and

1> establish the connection to the other radio access technology, as specified within IE "Target cell description". This IE specifies the target cell identity, in accordance with the specifications for that other RAT. In case the target cell is a GSM/ GPRS cell, IE "Target cell description" may also include IE "NC mode", which specifies the cell selection mode to be applied in the target cell; and

1> if IE "NC mode" is not included in the CELL CHANGE ORDER FROM UTRAN:

2> retrieve it from the target cell as specified in [43];

2> act upon IE "NC mode" as specified in [43].

1> if the IE "RAB Information List" is included in the CELL CHANGE ORDER FROM UTRAN message:

2> ignore the contents of the IE "RAB Information List".

NOTE: Requirements concerning the establishment of the radio connection towards the other radio access technology and the signalling procedure are outside the scope of this specification. In case of GSM/GPRS proceed according to the procedure Network control cell reselection procedure as specified in [44].

1> if the UE supports UTRAN to GERAN Network Assisted Cell Change, the IE "Geran System Information" is present and the UE is in CELL_DCH state:

2> if according to [44] the IE "GERAN System Information" includes a correct and consistent set of SI or PSI messages:

3> use this information as the system information to begin access on the target GERAN cell.

2> otherwise:

3> ignore the IE "GERAN System Information" and continue the Cell Change Order procedure.

NOTE: The IE "GERAN System Information" is constructed in the same way as in 2G to 2G NACC, i.e. the PSI messages are encoded as such, whereas the SI messages exclude 2 octets of headers, see [44].

8.3.11.4 Successful completion of the cell change order

The UE regards the procedure as completed when it has received a successful response from the target RAT, e.g. in case of GSM when it received the response to a (PACKET) CHANNEL REQUEST in the new cell.

Upon successful completion of the cell change order, the UE shall:

1> stop timer T309;

1> clear or set variables upon leaving UTRA RRC connected mode as specified in subclause 13.4.

Upon indication of the UE having successfully completed the cell change order, UTRAN should:

1> release the radio connection; and

1> remove all context information for the concerned UE.

NOTE: The release of the UMTS radio resources is initiated from another RAT.

8.3.11.5 Expiry of timer T309 or UE fails to complete requested cell change order

If:

- timer T309 expires prior to the successful establishment of a connection to the target RAT; or
- if the establishment of the connection to the other RAT failed due to other reasons e.g. (random) access failure, rejection due to lack of resources:

the UE shall:

1> if it received the CELL CHANGE ORDER FROM UTRAN message in state CELL_DCH:

2> For TDD or for FDD if the CM_PATTERN_ACTIVATION_ABORTED flag is not set to TRUE:

3> revert back to the UTRA configuration;

3> establish the UTRA physical channel(s) (including HS-DSCH and E-DCH related channels) used at the time for reception of CELL CHANGE ORDER FROM UTRAN.

2> For FDD:

3> perform the physical layer synchronisation procedure A as specified in [29];

3> apply power control preamble according to [26] during the number of frames indicated in the IE "PC preamble" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE; and

3> then not send any data on signalling radio bearers RB0 to RB4 during the number of frames indicated in the IE "SRB delay" in the variable LATEST_CONFIGURED_SRB_DELAY_AND_PC_PREAMBLE or while the physical channel is not considered established;

3> if the CM_PATTERN_ACTIVATION_ABORTED flag is set to TRUE or if the UE does not succeed in establishing the UTRA physical channel(s):

4> perform a cell update procedure according to subclause 8.3.1 with cause "Radio link failure";

4> when the cell update procedure has completed successfully:

5> proceed as below.

3> transmit the CELL CHANGE ORDER FROM UTRAN FAILURE message setting the information elements as specified below:

4> include the IE "RRC transaction identifier"; and

4> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

4> clear that entry;

4> set the IE "Inter-RAT change failure" to "physical channel failure".

3> When the CELL CHANGE ORDER FROM UTRAN FAILURE message has been submitted to lower layer for transmission, the procedure ends.

1> if the UE receives the CELL CHANGE ORDER FROM UTRAN message in CELL_FACH state:

2> revert to the cell it was camped on at the reception of the CELL CHANGE ORDER FROM UTRAN message;

2> if the UE is unable to return to this cell:

3> select a suitable UTRA cell according to [4];

3> initiate the cell update procedure according to subclause 8.3.1 using the cause "cell re-selection";

3> when the cell update procedure completed successfully:

4> proceed as below.

2> transmit the CELL CHANGE ORDER FROM UTRAN FAILURE message setting the information elements as specified below:

3> include the IE "RRC transaction identifier"; and

3> set it to the value of "RRC transaction identifier" in the entry for the CELL CHANGE ORDER FROM UTRAN message in the table "Accepted transactions" in the variable TRANSACTIONS; and

3> clear that entry;

3> set the IE "Inter-RAT change failure" to "physical channel failure".

2> When the CELL CHANGE ORDER FROM UTRAN FAILURE message has been submitted to lower layer for transmission:

3> the procedure ends.

8.3.11.6 Unsupported configuration in CELL CHANGE ORDER FROM UTRAN message

If the UTRAN instructs the UE to perform a non-supported cell change order scenario or to use a non-supported configuration, the UE shall:

1> transmit a CELL CHANGE ORDER FROM UTRAN FAILURE message, setting the information elements as specified below:

2> include the IE "RRC transaction identifier"; and

2> set it to the value of "RRC transaction identifier" in the entry for the received message in the table "Accepted transactions" in the variable TRANSACTIONS; and

2> clear that entry;

2> set the IE "Inter-RAT change failure" to "configuration unacceptable";

2> when the CELL CHANGE ORDER FROM UTRAN FAILURE message has been submitted to lower layers for transmission:

3> resume normal operation as if the CELL CHANGE ORDER FROM UTRAN message has not been received;

3> and the procedure ends.

8.3.11.7 Invalid CELL CHANGE ORDER FROM UTRAN message

If the CELL CHANGE ORDER FROM UTRAN message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> set the IE "RRC transaction identifier" in the CELL CHANGE ORDER FROM UTRAN FAILURE message to the value of "RRC transaction identifier" in the entry for the CELL CHANGE ORDER FROM UTRAN message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> set the IE "Inter-RAT change failure" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> transmit a CELL CHANGE ORDER FROM UTRAN FAILURE message on the uplink DCCH using AM RLC;

1> when the CELL CHANGE ORDER FROM UTRAN FAILURE message has been submitted to lower layers for transmission:

2> resume normal operation as if the invalid CELL CHANGE ORDER FROM UTRAN message has not been received;

2> and the procedure ends.

8.4 Measurement procedures

8.4.0 Measurement related definitions

UTRAN may control a measurement in the UE either by broadcast of SYSTEM INFORMATION and/or by transmitting a MEASUREMENT CONTROL message.

The following information is used to control the UE measurements and the measurement results reporting:

1. **Measurement identity**: A reference number that should be used by the UTRAN when setting up, modifying or releasing the measurement and by the UE in the measurement report.
2. **Measurement command**: One out of three different measurement commands.
   - Setup: Setup a new measurement.
   - Modify: Modify a previously defined measurement, e.g. to change the reporting criteria.
   - Release: Stop a measurement and clear all information in the UE that are related to that measurement.
3. **Measurement type**: One of the types listed below describing what the UE shall measure.

Presence or absence of the following control information depends on the measurement type

4. **Measurement objects:** The objects on which the UE shall measure measurement quantities, and corresponding object information.
5. **Measurement quantity:** The quantity the UE shall measure on the measurement object. This also includes the filtering of the measurements.
6. **Reporting quantities:** The quantities the UE shall include in the report in addition to the quantities that are mandatory to report for the specific event.
7. **Measurement reporting criteria**: The triggering of the measurement report, e.g. periodical or event-triggered reporting.
8. **Measurement Validity**: Defines in which UE states the measurement is valid.
9. **Measurement reporting mode**: This specifies whether the UE shall transmit the measurement report using AM or UM RLC.
10. **Additional measurement identities**: A list of references to other measurements. When this measurement triggers a measurement report, the UE shall also include the reporting quantities for the measurements referenced by the additional measurement identities.

All these measurement parameters depend on the measurement type and are described in more detail in clause 14.

The different types of measurements are:

- **Intra-frequency measurements**: measurements on downlink physical channels at the same frequency as the active set. A measurement object corresponds to one cell. Detailed description is found in subclause 14.1.
- **Inter-frequency measurements**: measurements on downlink physical channels at frequencies that differ from the frequency of the active set and on downlink physical channels in the active set. A measurement object corresponds to one cell. Detailed description is found in subclause 14.2.

- **Inter-RAT measurements**: measurements on downlink physical channels belonging to another radio access technology than UTRAN, e.g. GSM. A measurement object corresponds to one cell. Detailed description is found in subclause 14.3.

- **Traffic volume measurements**: measurements on uplink traffic volume. A measurement object corresponds to one cell. Detailed description is found in subclause 14.4.

- **Quality measurements**: Measurements of downlink quality parameters, e.g. downlink transport block error rate. A measurement object corresponds to one transport channel in case of BLER. A measurement object corresponds to one timeslot in case of SIR (TDD only). Detailed description is found in subclause 14.5.

- **UE-internal measurements**: Measurements of UE transmission power and UE received signal level. Detailed description is found in subclause 14.6.

- **UE positioning measurements:** Measurements of UE position. Detailed description is found in subclause 14.7.

The UE shall support a number of measurements running in parallel as specified in [19] and [20]. The UE shall also support that each measurement is controlled and reported independently of every other measurement.

Cells that the UE is monitoring are grouped in the UE into three mutually exclusive categories:

1. Cells, which belong to the **active set.** User information is sent from all these cells. In FDD, the cells in the active set are involved in soft handover. In TDD the active set always comprises one cell only. The UE shall only consider active set cells included in the variable CELL_INFO_LIST for measurement; i.e. active set cells not included in the CELL_INFO_LIST shall not be considered in any event evaluation and measurement reporting.

2. Cells, which are not included in the active set, but are included in the CELL_INFO_LIST belong to the **monitored set.**

3. Cells detected by the UE, which are neither in the CELL_INFO_LIST nor in the active set belong to the **detected set.** Reporting of measurements of the detected set is only applicable to intra-frequency measurements made by UEs in CELL_DCH state.

If the IE "Cells for measurement" has been included in a MEASUREMENT CONTROL message, only monitored set cells explicitly indicated for a given intra-frequency (resp. inter-frequency, interRAT) measurement by the IE "Cells for measurement" shall be considered for measurement. If the IE "Cells for measurement" has not been included in a MEASUREMENT CONTROL message, all of the intra-frequency (resp. inter-frequency, inter RAT) cells stored in the variable CELL_INFO_LIST shall be considered for measurement. The IE "Cells for measurement" is not applicable to active set cells e.g. when the triggering condition refers to active set cells, the UE shall consider all active set cells in the CELL_INFO_LIST for measurement irrespective if these cells are explicitly indicated by the IE "Cells for measurement".

8.4.1 Measurement control

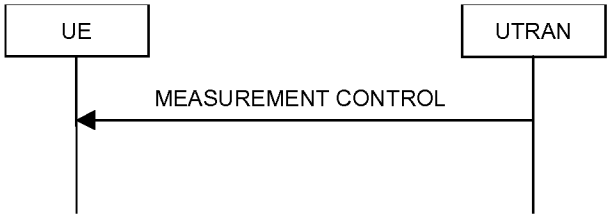


Figure 8.4.1-1: Measurement Control, normal case

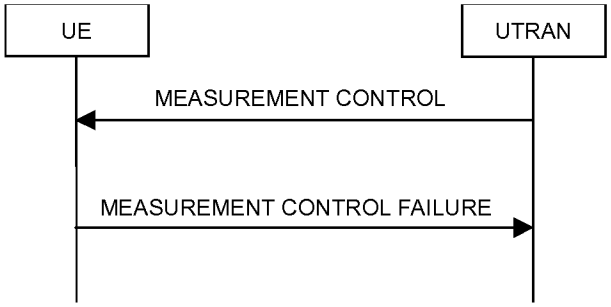


Figure 8.4.1-2: Measurement Control, failure case

8.4.1.1 General

The purpose of the measurement control procedure is to setup, modify or release a measurement in the UE.

In subclause 8.4.1 and its subclauses references to System Information Block type 11 mean the merge of System Information Block Type 11 and System Information Block type 11bis, if scheduled on BCH.

8.4.1.2 Initiation

The UTRAN may request a measurement by the UE to be setup, modified or released with a MEASUREMENT CONTROL message, which is transmitted on the downlink DCCH using AM RLC.

The UTRAN should take the UE capabilities into account when a measurement is requested from the UE.

When a new measurement is created, UTRAN should set the IE "Measurement identity" to a value, which is not used for other measurements. UTRAN may use several "Measurement identity" for the same "Measurement type". In case of setting several "Measurement identity" within a same "Measurement type", the measurement object or the list of measurement objects can be set differently for each measurement with different "Measurement identity ".

When a current measurement is modified or released, UTRAN should set the IE "Measurement identity" to the value, which is used for the measurement being modified or released. In case of modifying IEs within a "Measurement identity", it is not needed for UTRAN to indicate the IEs other than modified IEs, and the UE continues to use the current values of the IEs that are not modified. UTRAN should not use "modify" to change the type of measurement stored in the variable MEASUREMENT_IDENTITY for a given measurement identity.

8.4.1.3 Reception of MEASUREMENT CONTROL by the UE

Upon reception of a MEASUREMENT CONTROL message the UE shall perform actions specified in subclause 8.6 unless otherwise specified below.

The UE shall:

1> read the IE "Measurement command";

1> if the IE "Measurement command" has the value "setup":

2> store this measurement in the variable MEASUREMENT_IDENTITY according to the IE "measurement identity", first releasing any previously stored measurement with that identity if that exists;

2> if the measurement type is quality, UE internal, intra-frequency, inter-frequency or inter-RAT:

3> if the UE is in CELL_FACH state:

4> the UE behaviour is not specified.

2> for measurement types "inter-RAT measurement" or "inter-frequency measurement" that require measurements on a frequency other than the actually used frequency:

3> if, according to its measurement capabilities, the UE requires compressed mode to perform that measurement type and after reception of this message a compressed mode pattern sequence with an

appropriate measurement purpose is active according to the IE "Current TGPS Status Flag" in UE variable TGPS_IDENTITY; or

3> if, according to its measurement capabilities, the UE does not require compressed mode to perform the measurements on at least one supported band of that measurement type:

4> if the measurement is valid in the current RRC state of the UE:

5> begin measurements according to the stored control information for this measurement identity.

NOTE: The UE is not required to perform measurements on cells for which it needs compressed mode but a suitable compressed mode pattern is not activated.

2> for measurement type "inter-frequency measurement" that requires measurements only on the same frequency as the actually used frequency:

3> if the measurement is valid in the current RRC state of the UE:

4> begin measurements according to the stored control information for this measurement identity.

2> for measurement type "UE positioning measurement":

3> if the UE is in CELL_FACH state:

4> if IE "Positioning Method" is set to "OTDOA":

5> if IE "Method Type" is set to "UE assisted":

6> if IE "UE positioning OTDOA assistance data for UE assisted" is not included:

7> if System Information Block type 15.4 is broadcast:

8> read System Information Block type 15.4.

7> act as specified in subclause 8.6.7.19.2.

5> if IE "Method Type" is set to "UE based":

6> if IE "UE positioning OTDOA assistance data for UE based" is not included:

7> if System Information Block type 15.5 is broadcast:

8> read System Information Block type 15.5.

7> act as specified in subclause 8.6.7.19.2a.

2> for any other measurement type:

3> if the measurement is valid in the current RRC state of the UE:

4> begin measurements according to the stored control information for this measurement identity.

1> if the IE "Measurement command" has the value "modify":

2> for all IEs present in the MEASUREMENT CONTROL message:

3> if a measurement was stored in the variable MEASUREMENT_IDENTITY associated to the identity by the IE "measurement identity":

4> if the measurement type is quality, UE internal, intra-frequency, inter-frequency or inter-RAT:

5> if the UE is in CELL_FACH state:

6> the UE behaviour is not specified.

4> if measurement type is set to "intra-frequency measurement", for any of the optional IEs "Intra-frequency measurement objects list", "Intra-frequency measurement quantity", "Intra-frequency reporting quantity", "Measurement Validity", "report criteria" and "parameters required for each

event" (given "report criteria" is set to "intra-frequency measurement reporting criteria") that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "inter-frequency measurement", for any of the optional IEs "Inter-frequency measurement quantity", "Inter-frequency reporting quantity", "Measurement Validity", "Inter-frequency set update" and "parameters required for each event" (given "report criteria" is set to either "inter-frequency measurement reporting criteria" or "intra-frequency measurement reporting criteria") that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "inter-RAT measurement", for any of the optional IEs "Inter-RAT measurement objects list", "Inter-RAT measurement quantity", and "Inter-RAT reporting quantity" that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "UE positioning measurement" and the IE "UE positioning OTDOA assistance data" is present, for any of the optional IEs "UE positioning OTDOA neighbour cell info for UE-assisted", "UE positioning OTDOA reference cell info for UE-assisted", "UE positioning OTDOA reference cell info for UE-based", "UE positioning OTDOA neighbour cell info for UE-based" and "UE positioning" that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "UE positioning measurement" and the IE "UE positioning GPS assistance data" is present, for any of the optional IEs "UE positioning GPS reference time", "UE positioning GPS reference UE position", "UE positioning GPS DGPS corrections", "UE positioning GPS ionospheric model", "UE positioning GPS UTC model", "UE positioning GPS acquisition assistance", "UE positioning GPS real-time integrity" that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "traffic volume measurement", for any of the optional IEs "Traffic volume measurement Object", "Traffic volume measurement quantity", "Traffic volume reporting quantity", and"Measurement Validity" that are present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "quality measurement", for the optional IE "Quality reporting quantity" if it is present in the MEASUREMENT CONTROL message:

4> if measurement type is set to "UE internal measurement", for any of the optional IEs "UE internal measurement quantity", and "UE internal reporting quantity" that are present in the MEASUREMENT CONTROL message:

5> replace all instances of the IEs listed above (and all their children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IEs received in the MEASUREMENT CONTROL message;

5> leave all other stored information elements unchanged in the variable MEASUREMENT_IDENTITY.

3> otherwise:

4> set the variable CONFIGURATION_INCOMPLETE to TRUE.

2> if measurement type is set to "inter-frequency measurement":

3> if "report criteria" is set to "intra-frequency measurement reporting criteria" and "reporting criteria" in "inter-frequency measurement quantity" is set to "intra-frequency reporting criteria":

4> leave the currently stored "inter-frequency measurement reporting criteria" within "report criteria" and "inter-frequency reporting criteria" within "inter-frequency measurement quantity" unchanged, and continue to act on the information stored in these variables.

NOTE: If the UTRAN wants to modify the inter-frequency cell info list for an inter-frequency measurement configured with event based reporting without repeating any IEs related to the configured events, one possibility is to set the IE "report criteria" to "intra-frequency measurement reporting criteria", not include the IE "parameters required for each event", and set the IE "reporting criteria" in the IE "inter-frequency measurement quantity" to "intra-frequency reporting criteria".

2> for measurement types "inter-frequency measurement" that require measurements on a frequency other than the actually used frequency, or that require measurements on another RAT:

3> if, according to its measurement capabilities, the UE requires compressed mode to perform that measurement type and after reception of this message a compressed mode pattern sequence with an appropriate measurement purpose is active according to the IE "Current TGPS Status Flag" in UE variable TGPS_IDENTITY; or

3> if, according to its measurement capabilities, the UE does not require compressed mode, on at least one supported band of that measurement type, to perform the measurements:

4> resume the measurements according to the new stored measurement control information.

2> for measurement type "inter-frequency measurement" that requires measurements only on the same frequency as the actually used frequency:

3> if the measurement is valid in the current RRC state of the UE:

4> resume measurements according to the new stored control information for this measurement identity.

2> for any other measurement type:

3> resume the measurements according to the new stored measurement control information.

2> for measurement type "inter-RAT measurement":

3> if "report criteria" is set to "inter-RAT measurement reporting criteria":

4> if the value of "report criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is not "inter-RAT measurement reporting criteria"; or

4> if the value of "report criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is "inter-RAT measurement reporting criteria" and if the IE "Parameters required for each event" is present:

5> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "reporting criteria" received in the MEASUREMENT CONTROL message.

3> if "report criteria" is not set to "inter-RAT measurement reporting criteria":

4> replace the IE "reporting criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "reporting criteria" received in the MEASUREMENT CONTROL message.

2> for measurement type "UE positioning measurement":

3> if "reporting criteria" is set to "UE positioning reporting criteria":

4> if the value of "reporting criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is not "UE positioning reporting criteria", or;

4> if the value of "reporting criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is "UE positioning reporting criteria" and if the IE "Parameters required for each event" is present:

5> replace the IE "reporting criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message.

3> if "reporting criteria" is not set to "UE positioning reporting criteria":

4> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message.

2> for measurement type "traffic volume measurement":

3> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message.

2> for measurement type "quality measurement":

3> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message;

3> if "report criteria" is set to "quality measurement reporting criteria":

4> if the value of "BLER reporting" in any instance of the IE "Quality reporting quantity" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message is set to TRUE:

5> the UE behaviour is unspecified.

2> for measurement type "UE internal measurement":

3> if "report criteria" is set to "UE internal measurement reporting criteria":

4> if the value of "report criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is not "UE internal measurement reporting criteria"; or

4> if the value of "report criteria" stored in the variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" is "UE internal measurement reporting criteria" and if the IE "Parameters sent for each UE internal measurement event" is present:

5> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message.

3> if "report criteria" is not set to "UE internal measurement reporting criteria":

4> replace the IE "report criteria" (and all its children) stored in variable MEASUREMENT_IDENTITY associated to the identity indicated by the IE "measurement identity" with the IE "report criteria" received in the MEASUREMENT CONTROL message.

1> if the IE "measurement command" has the value "release":

2> terminate the measurement associated with the identity given in the IE "measurement identity";

2> clear all stored measurement control information related associated to this measurement identity in variable MEASUREMENT_IDENTITY.

1> if the IE "DPCH Compressed Mode Status Info" is present:

2> if, as the result of this message, UE will have more than one transmission gap pattern sequence with the same measurement purpose active (according to IEs "TGMP" and "Current TGPS Status Flag" in variable TGPS_IDENTITY):

3> set the variable CONFIGURATION_INCOMPLETE to TRUE.

2> if there is any pending "TGPS reconfiguration CFN" or any pending "TGCFN":

3> the UE behaviour is unspecified.

2> if there is a pending "activation time" for a reconfiguration procedure that included the IE "DPCH Compressed mode info":

3> the UE behaviour is unspecified.

2> if pattern sequence corresponding to IE "TGPSI" is already active (according to "Current TGPS Status Flag") in the variable TGPS_IDENTITY):

3> if the "TGPS Status Flag" in this message is set to "deactivate" for the corresponding pattern sequence:

4> deactivate this pattern sequence at the beginning of the frame indicated by IE "TGPS reconfiguration CFN" received in the message;

4> set the "Current TGPS Status Flag" for this pattern sequence in the variable TGPS_IDENTITY to "inactive" at the frame indicated by IE "TGPS reconfiguration CFN" received in the message.

3> if the "TGPS Status Flag" in this message is set to "activate" for the corresponding pattern sequence:

4> deactivate this pattern sequence at the beginning of the frame indicated by IE "TGPS reconfiguration CFN" received in the message.

NOTE1: The temporary deactivation of pattern sequences for which the status flag is set to "activate" can be used by the network to align the timing of already active patterns with newly activated patterns.

NOTE2: The deactivation of pattern sequences only occurs as a result of RRC messages received by the UE, i.e. the UE does not set the "Current TGPS Status Flag" to "inactive" after the final gap of a finite length pattern sequence.

2> after the time indicated by IE "TGPS reconfiguration CFN" has elapsed:

3> activate the pattern sequence corresponding to each IE "TGPSI" for which the "TGPS status flag" in this message is set to "activate" at the time indicated by IE "TGCFN"; and

3> set the corresponding "Current TGPS status flag" for this pattern sequence in the variable TGPS_IDENTITY to "active"; and

3> begin the inter-frequency and/or inter-RAT measurements corresponding to the pattern sequence measurement purpose of each activated pattern sequence;

3> if the values of IE "TGPS reconfiguration CFN" and IE "TGCFN" are equal:

4> start the concerned pattern sequence immediately at that CFN.

2> not alter pattern sequences stored in variable TGPS_IDENTITY, if the pattern sequence is not identitifed in IE "TGPSI" in the received message.

1> if the UE in CELL_FACH state receives a MEASUREMENT CONTROL message, which indicates the same measurement identity as that stored in the variable MEASUREMENT_IDENTITY:

2> update the stored information with the traffic volume measurement control information in variable MEASUREMENT_IDENTITY; and

2> refrain from updating the traffic volume measurement control information associated with this measurement identity in the variable MEASUREMENT_IDENTITY with the information received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11) until this measurement is explicitly released with another MEASUREMENT CONTROL message.

1> if the IE "Read SFN indicator" included in the IE "Cell info" of an inter-frequency cell is set to TRUE and the variable UE_CAPABILITY_TRANSFERRED has the DL "Measurement capability" for "FDD measurements" set to TRUE (the UE requires DL compressed mode in order to perform measurements on FDD):

2> set the variable CONFIGURATION_INCOMPLETE to TRUE.

1> clear the entry for the MEASUREMENT CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS.

The UE may:

1> if the IE "Measurement command" has the value "setup":

2> for measurement type "UE positioning measurement":

3> if the UE is CELL_FACH state:

4> if IE "Positioning Method" is set to "GPS":

5> if IE "UE positioning GPS assistance data" is not included and variable UE_POSITIONING_GPS_DATA is empty:

6> if System Information Block types 15, 15.1, 15.2 and 15.3 are broadcast:

7> read System Information Block types 15, 15.1, 15.2 and 15.3.

6> act as specified in subclause 8.6.7.19.3.

1> and the procedure ends.

8.4.1.4 Unsupported measurement in the UE

If UTRAN instructs the UE to perform a measurement that is not supported by the UE, or would cause the maximum number of reporting criteria supported by the UE [19] to be exceeded, the UE shall:

1> retain the measurement configuration that was valid before the MEASUREMENT CONTROL message was received;

1> set the IE "RRC transaction identifier" in the MEASUREMENT CONTROL FAILURE message to the value of "RRC transaction identifier" in the entry for the MEASUREMENT CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS; and

1> clear that entry.

1> set the cause value in IE "failure cause" to "unsupported measurement";

1> submit the MEASUREMENT CONTROL FAILURE message to lower layers for transmission on the DCCH using AM RLC;

1> continue with any ongoing processes and procedures as if the invalid MEASUREMENT CONTROL message has not been received;

1> and the procedure ends.

8.4.1.4a Configuration Incomplete

If the variable CONFIGURATION_INCOMPLETE is set to TRUE, the UE shall:

1> retain the measurement configuration that was valid before the MEASUREMENT CONTROL message was received;

1> set the IE "RRC transaction identifier" in the MEASUREMENT CONTROL FAILURE message to the value of "RRC transaction identifier" in the entry for the MEASUREMENT CONTROL message in the table "Accepted transactions" in the variable TRANSACTIONS and clear that entry;

1> clear the variable CONFIGURATION_INCOMPLETE;

1> set the cause value in IE "failure cause" to "Configuration incomplete";

1> submit the MEASUREMENT CONTROL FAILURE message to lower layers for transmission on the DCCH using AM RLC;

1> continue with any ongoing processes and procedures as if the invalid MEASUREMENT CONTROL message has not been received;

1> and the procedure ends.

8.4.1.5 Invalid MEASUREMENT CONTROL message

If the MEASUREMENT CONTROL message contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> set the IE "RRC transaction identifier" in the MEASUREMENT CONTROL FAILURE message to the value of "RRC transaction identifier" in the entry for the MEASUREMENT CONTROL message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry.

1> set the IE "failure cause" to the cause value "protocol error";

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION;

1> submit the MEASUREMENT CONTROL FAILURE message to lower layers for transmission on the DCCH using AM RLC;

1> continue with any ongoing processes and procedures as if the invalid MEASUREMENT CONTROL message has not been received;

1> and the procedure ends.

8.4.1.6 Measurements after transition from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state

The UE shall apply the following rules for different measurement types after transiting from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state:

8.4.1.6.1 Intra-frequency measurement

Upon transition from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state, the UE shall:

1> stop intra-frequency type measurement reporting;

1> if the transition is due to a reconfiguration message which included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects a cell other than that indicated by this IE on the current frequency (in case the IE "Frequency info" is not received) or other than that indicated by this IE on the frequency indicated by the IE "Frequency info" (when the IE "Frequency info" is included); or

1> if the transition is due to a reconfiguration message which does not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD); or

1> if the transition is not due to a reconfiguration message:

2> delete the measurements of type intra-frequency associated with the variable MEASUREMENT_IDENTITY.

1> begin monitoring cells listed in the IE "intra-frequency cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11).

8.4.1.6.2 Inter-frequency measurement

Upon transition from CELL_DCH to CELL_FACH/ CELL_PCH/URA_PCH state, the UE shall:

1> stop the inter-frequency type measurement reporting assigned in a MEASUREMENT CONTROL message;

1> if the transition is due to a reconfiguration message which included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects a cell other than that indicated by this IE on the current frequency (in case the IE "Frequency info" is not received) or other than that indicated by this IE on the frequency indicated by the IE "Frequency info" (when the IE "Frequency info" is included); or

1> if the transition is due to a reconfiguration message which does not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD); or

1> if the transition is not due to a reconfiguration message:

2> delete the measurements of type inter-frequency associated with the variable MEASUREMENT_IDENTITY and delete the corresponding compressed mode pattern stored in the variable TGPS_IDENTITY.

1> for remaining compressed mode patterns, set the IE "TGPS Status Flag" to "deactivate" and the IE "Current TGPS Status Flag" to "inactive" in the variable TGPS_IDENTITY.

1> begin monitoring cells listed in the IE "inter-frequency cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11);

1> in CELL_FACH state:

2> perform measurements on other frequencies according to the IE "FACH measurement occasion info".

8.4.1.6.3 Inter-RAT measurement

Upon transition from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state, the UE shall:

1> stop the inter-RAT type measurement reporting assigned in a MEASUREMENT CONTROL message;

1> delete the measurements of type inter-RAT associated with the variable MEASUREMENT_IDENTITY and delete the corresponding compressed mode pattern stored in the variable TGPS_IDENTITY;

1> begin monitoring cells listed in the IE "inter-RAT cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11);

1> in CELL_FACH state:

2> perform measurements on other systems according to the IE "FACH measurement occasion info".

8.4.1.6.4 Quality measurement

Upon transition from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state, the UE shall:

1> stop quality type measurement reporting;

1> delete all measurement control information of measurement type "quality" stored in the variable MEASUREMENT_IDENTITY.

8.4.1.6.5 UE internal measurement

Upon transition from CELL_DCH to CELL_FACH/CELL_PCH/URA_PCH state, the UE shall:

1> stop UE internal measurement type measurement reporting;

1> delete all measurement control information of measurement type "UE internal" stored in the variable MEASUREMENT_IDENTITY.

8.4.1.6.6 Traffic volume measurement

Upon transition from CELL_DCH to CELL_FACH or CELL_PCH or URA_PCH state, the UE shall:

1> retrieve each set of measurement control information of measurement type "traffic volume" stored in the variable MEASUREMENT_IDENTITY; and

2> if the optional IE "measurement validity" for this measurement has not been included:

3> delete the measurement associated with the variable MEASUREMENT_IDENTITY.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "CELL_DCH":

3> stop measurement reporting;

3> store the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_DCH state.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states" or "all states except CELL_DCH", and if the state transition is from CELL_DCH to CELL_PCH or URA_PCH state:

3> stop measurement reporting;

3> store the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_FACH state.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states", and if the state transition is from CELL_DCH to CELL_FACH state:

3> continue measurement reporting.

2> if the IE "measurement validity" has been included and the IE "UE state" has been assigned to value "all states except CELL_DCH", and if the state transition is from CELL_DCH to CELL_FACH state:

3> resume this measurement and associated reporting.

1> if no traffic volume type measurement has been assigned to the UE with a MEASUREMENT CONTROL message that is valid in CELL_FACH or CELL_PCH or URA_PCH states (stored in the variable MEASUREMENT_IDENTITY), which has the same identity as the one indicated in the IE "Traffic volume measurement system information":

2> store the measurement control information from the IE "Traffic volume measurement system information" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11) in the variable MEASUREMENT_IDENTITY;

2> perform traffic volume measurement reporting according to the assigned information, when in CELL_FACH state.

8.4.1.6.7 UE positioning measurement

Upon transition from CELL_DCH to CELL_FACH and upon transition from CELL_DCH to CELL_PCH or URA_PCH for UE assisted GPS measurements, the UE shall:

1> retrieve each set of measurement control information of measurement type "UE positioning" stored in the variable MEASUREMENT_IDENTITY; and

2> if the optional IE "measurement validity" for this measurement has not been included:

3> delete the measurement associated with the variable MEASUREMENT_IDENTITY.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "CELL_DCH":

3> stop measurement reporting;

3> store the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_DCH state.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states":

3> upon transition from CELL_DCH to CELL_PCH or URA_PCH:

4> if the choice in the IE "Reporting Criteria" included the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "UE positioning reporting criteria" and the value of the IE "Measurement interval" included in this IE is less than 64 seconds:

5>use a value of 64 seconds for the measurement interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

4> if the choice in the IE "Reporting Criteria" included the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "Periodical Reporting Criteria" and the value of the IE "Reporting interval" included in this IE is less than 64 seconds:

5> use a value of 64 seconds for the reporting interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

3> continue measurement reporting according to its UE positioning measurement reporting capability.

2> if the IE "measurement validity" has been included and the IE "UE state" has been assigned to value "all states except CELL_DCH":

3> upon transition from CELL_DCH to CELL_PCH or URA_PCH:

4> if the choice in the IE "Reporting Criteria" included the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "UE positioning reporting criteria" and the value of the IE "Measurement interval " included in this IE is less than 64 seconds:

5> use a value of 64 seconds for the measurement interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

4> if the choice in the IE "Reporting Criteria" included the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "Periodical Reporting Criteria" and the value of the IE "Reporting interval" included in this IE is less than 64 seconds:

5> use a value of 64 seconds for the reporting interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

3> resume this measurement and associated reporting according to its UE Positioning measurement reporting capability.

1> if the transition is due to a reconfiguration message which included the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD), and the UE selects a cell other than that indicated by this IE; or

1> if the transition is due to a reconfiguration message which does not include the IE "Primary CPICH info" (for FDD) or "Primary CCPCH info" (for TDD); or

1> if the transition is due to a reconfiguration message which included the IE "Frequency info", and the UE selects a cell on another frequency than that indicated by this IE; or

1> if the transition is due to a reconfiguration message which does not include the IE "Frequency info", and the UE can not find a cell on the current frequency, but it selects a cell on another frequency; or

1> if the transition is not due to a reconfiguration message:

2> delete the assistance data included in the variable UE_POSITIONING_OTDOA_DATA_UE_BASED and UE_POSITIONING_OTDOA_DATA_UE_ASSISTED.

1> if the IE "Positioning Methods" stored in the variable MEASUREMENT_IDENTITY is set to "OTDOA" or "OTDOA or GPS":

2> if the IE "Method type" stored in the variable MEASUREMENT_IDENTITY is set to "UE-based" or "UE assisted preferred but UE-based allowed" or "UE-based preferred but UE-assisted allowed":

3> begin monitoring assistance data received in System Information Block type 15.4 and System Information Block type 15.5 according to subclause 8.1.1.6.15.

2> if the IE "Method type" stored in the variable MEASUREMENT_IDENTITY is set to "UE-assisted":

3> begin monitoring assistance data received in System Information Block type 15.4 according to subclause 8.1.1.6.15.

1> if the UE is in CELL_FACH state:

2> if the IE "UE positioning OTDOA neighbour cell list for UE assisted" stored in the variable UE_POSITIONING_OTDOA_DATA_UE_ASSISTED or UE_POSITIONING_OTDOA_DATA_UE_BASED contains neighbour cells on other frequencies than the current frequency:

3> perform measurements on other frequencies according to the IE "FACH measurement occasion info".

The UE may:

1> if the IE "Positioning Methods" stored in the variable MEASUREMENT_IDENTITY is set to "GPS" or "OTDOA or GPS":

2> begin monitoring assistance data received in System Information Block type 15 and/or System Information Block type 15.1 and/or System Information Block type 15.2 and/or System Information Block type 15.3 according to subclause 8.1.1.6.15.

NOTE: In the case that the measurement or reporting intervals are modified to 64 seconds during a transition to CELL_PCH/URA_PCH as described above, the UE retains the previously used values of "Measurement interval" and "Reporting interval" for use after transition out of CELL_PCH/URA_PCH.

8.4.1.6a Actions in CELL_FACH/CELL_PCH/URA/PCH state upon cell re-selection

Upon cell reselection while in CELL_FACH/CELL_PCH/URA/PCH state and the cell reselection has occurred after the measurement control information was stored, the UE shall:

1> delete all measurements of type intra-frequency, inter-frequency, and inter-RAT associated with the variable MEASUREMENT_IDENTITY;

1> delete all compressed mode patterns associated with inter-frequency and inter-RAT measurements stored in the variable TGPS_IDENTITY;

1> delete the traffic volume measurements that have not been set up or modified through a MEASUREMENT CONTROL message.

8.4.1.7 Measurements after transition from CELL_FACH to CELL_DCH state

The UE shall apply the following rules for different measurement types after transiting from CELL_FACH to CELL_DCH state:

8.4.1.7.1 Intra-frequency measurement

Upon transition from CELL_FACH to CELL_DCH state:

1> if intra-frequency measurements applicable to CELL_DCH state are stored in the variable MEASUREMENT_IDENTITY:

2> if the cell in which the UE transited from CELL_FACH state is included in the active set for the CELL_DCH state, the UE shall:

3> resume the measurement reporting.

2> otherwise, the UE shall:

3> not resume the measurement reporting. The measurement shall be restarted when a MEASUREMENT CONTROL message is received with the corresponding measurement identity.

8.4.1.7.2 Inter-frequency measurement

Upon transition from CELL_FACH to CELL_DCH state:

1> if inter-frequency measurements applicable to CELL_DCH state are stored in the variable MEASUREMENT_IDENTITY:

2> if the cell in which the UE transited from CELL_FACH state is included in the active set for the CELL_DCH state, the UE shall:

3> resume the measurement reporting.

2> otherwise, the UE shall:

3> not resume the measurement reporting. The measurement shall be restarted when a MEASUREMENT CONTROL message is received with the corresponding measurement identity.

8.4.1.7.3 Inter-RAT measurement

Upon transition from CELL_FACH to CELL_DCH state, the UE shall:

1> stop monitoring the list of cells assigned in the IE "inter-RAT cell info list" in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11).

8.4.1.7.4 Traffic volume measurement

Upon transition from CELL_FACH to CELL_DCH state, the UE shall:

1> retrieve each set of measurement control information of measurement type "traffic volume" stored in the variable MEASUREMENT_IDENTITY;

2> if the optional IE "measurement validity" for this measurement has not been included:

3> delete the measurement associated with the variable MEASUREMENT_IDENTITY.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states except CELL_DCH":

3> stop measurement reporting; and

3> save the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_FACH/CELL_PCH/URA_PCH state.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states":

3> continue measurement reporting.

2> if the IE "measurement validity" has been included and the IE "UE state" has been assigned to value "CELL_DCH":

3> resume this measurement and associated reporting.

1> if no traffic volume type measurement has been assigned to the UE with a MEASUREMENT CONTROL message that is valid in CELL_DCH and has the same identity as the one indicated in the IE "Traffic volume measurement system information":

2> store the measurement control information from the IE "Traffic volume measurement system information" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11) in the variable MEASUREMENT_IDENTITY;

2> begin traffic volume measurement reporting according to the assigned information.

8.4.1.7.5 UE positioning measurement

Upon transition from CELL_FACH to CELL_DCH state, the UE shall:

1> retrieve each set of measurement control information of measurement type "UE positioning" stored in the variable MEASUREMENT_IDENTITY; and

2> if the optional IE "Measurement validity" for this measurement has not been included:

3> delete the measurement associated with the variable MEASUREMENT_IDENTITY.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states except CELL_DCH":

3> stop measurement reporting; and

3> save the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_FACH/CELL_PCH/URA_PCH state.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states":

3> continue measurement reporting.

2> if the IE "measurement validity" has been included and the IE "UE state" has been assigned to value "CELL_DCH":

3> resume this measurement and associated reporting.

1> stop monitoring assistance data received in System Information Block type 15 or System Information Block type 15.1 or System Information Block type 15.2 or System Information Block type 15.3 or System Information Block type 15.4 or System Information Block 15.5.

8.4.1.8 Measurements after transition from idle mode to CELL_DCH state

The UE shall obey the following rules for different measurement types after transiting from idle mode to CELL_DCH state:

8.4.1.8.1 Intra-frequency measurement

Upon transition from idle mode to CELL_DCH state:

1> if intra-frequency measurements applicable to CELL_DCH state are stored in the variable MEASUREMENT_IDENTITY:

2> if the cell in which the UE transited from idle mode is included in the active set for the CELL_DCH state, the UE shall:

3> begin measurement reporting.

2> otherwise, the UE shall:

3> not begin the measurement reporting. The measurement shall be restarted when a MEASUREMENT CONTROL message is received with the corresponding measurement identity.

8.4.1.8.2 Inter-frequency measurement

Upon transition from idle mode to CELL_DCH state, the UE shall:

1> stop monitoring the list of cells assigned in the IE "inter-frequency cell info list" in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11).

8.4.1.8.3 Inter-RAT measurement

Upon transition from idle mode to CELL_DCH state, the UE shall:

1> stop monitoring the list of cells assigned in the IE "inter-RAT cell info list" in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11).

8.4.1.8.4 Traffic volume measurement

Upon transition from idle mode to CELL_DCH state, the UE shall:

1> begin a traffic volume type measurement, assigned in System Information Block type 11 (or System Information Block type 12, according to subclause 8.1.1.6.11).

8.4.1.8.5 UE positioning measurement

Upon transition from idle mode to CELL_DCH state, the UE shall:

1> stop monitoring assistance data received in System Information Block type 15 or System Information Block type 15.1 or System Information Block type 15.2 or System Information Block type 15.3 or System Information Block type 15.4 or System Information Block type 15.5.

8.4.1.9 Measurements after transition from idle mode to CELL_FACH state

The UE shall obey the follow rules for different measurement types after transiting from idle mode to CELL_FACH state:

8.4.1.9.1 Intra-frequency measurement

Upon transition from idle mode to CELL_FACH state, the UE shall:

1> begin or continue monitoring cells listed in the IE "intra-frequency cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11).

8.4.1.9.2 Inter-frequency measurement

Upon transition from idle mode to CELL_FACH state, the UE shall:

1> begin or continue monitoring cells listed in the IE "inter-frequency cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11);

1> perform measurements on other frequencies according to the IE "FACH measurement occasion info".

8.4.1.9.3 Inter-RAT measurement

Upon transition from idle mode to CELL_FACH state, the UE shall:

1> begin or continue monitoring cells listed in the IE "inter-RAT cell info list" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11);

1> perform measurements on other systems according to the IE "FACH measurement occasion info".

8.4.1.9.4 Traffic volume measurement

Upon transition from idle mode to CELL_FACH state, the UE shall:

1> store the measurement control information from the IE "Traffic volume measurement system information" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11) in the variable MEASUREMENT_IDENTITY;

1> begin traffic volume measurement reporting according to the assigned information.

8.4.1.9.5 UE positioning measurement

Upon transition from idle mode to CELL_FACH state, the UE may:

1> begin or continue monitoring assistance data received in System Information Block type 15 or System Information Block type 15.1 or System Information Block type 15.2 or System Information Block type 15.3 or System Information Block type 15.4 or System Information Block type 15.5 according to subclause 8.1.1.6.15;

1> if the IE "UE positioning OTDOA neighbour cell list for UE assisted" stored in the variable UE_POSITIONING_OTDOA_DATA_UE_ASSISTED; or

1> if the IE "UE positioning OTDOA neighbour cell list for UE based" stored in the variable UE_POSITIONING_OTDOA_DATA_UE_BASED contains neighbour cells on other frequencies than the current frequency:

2> perform measurements on other frequencies according to the IE "FACH measurement occasion info".

8.4.1.9a Measurements after transition from connected mode to idle mode

Upon transition from connected mode to idle mode the UE shall:

1> stop measurement reporting for all measurements stored in the variable MEASUREMENT_IDENTITY;

1> clear the variable MEASUREMENT_IDENTITY;

1> apply the following rules for different measurement types.

8.4.1.9a.1 Intra-frequency measurement

Upon transition from connected mode to idle mode, the UE shall:

1> stop monitoring intra-frequency cells listed in the IE "intra-frequency cell info list" received in System Information Block type 12 (if System Information Block type 12 is transmitted in the cell, according to subclause 8.1.1.6.11);

1> begin monitoring intra-frequency cells listed in the IE "intra-frequency cell info list" received in System Information Block type 11.

8.4.1.9a.2 Inter-frequency measurement

Upon transition from connected mode to idle mode, the UE shall:

1> stop monitoring inter-frequency cells listed in the IE "inter-frequency cell info list" received in System Information Block type 12 (if System Information Block type 12 is transmitted in the cell, according to subclause 8.1.1.6.11);

1> begin monitoring inter-frequency cells listed in the IE "inter-frequency cell info list" received in System Information Block type 11.

8.4.1.9a.3 Inter-RAT measurement

Upon transition from connected mode to idle mode, the UE shall:

1> stop monitoring inter-RAT cells listed in the IE "inter-RAT cell info list" received in System Information Block type 12 (if System Information Block type 12 is transmitted in the cell, according to 8.1.1.6.11);

1> begin monitoring inter-RAT cells listed in the IE "inter-RAT cell info list" received in System Information Block type 11.

8.4.1.9a.4 UE positioning measurement

Upon transition from connected mode to idle mode, the UE may:

1> begin or continue monitoring assistance data received in System Information Block type 15 or System Information Block type 15.1 or System Information Block type 15.2 or System Information Block type 15.3 or System Information Block type 15.4 or System Information Block type 15.5.

8.4.1.9b Measurements after transition from CELL_FACH to CELL_PCH/URA_PCH

8.4.1.9b.1 Traffic volume measurement

Upon transition from CELL_FACH to CELL_PCH or URA_PCH, the UE shall:

1> stop any ongoing traffic volume measurement, and associated traffic volume measurement reporting.

1> store the measurement associated with the variable MEASUREMENT_IDENTITY to be used after the next transition to CELL_FACH state;

1> if no traffic volume type measurement has been assigned to the UE with a MEASUREMENT CONTROL message that is valid in CELL_FACH or CELL_PCH or URA_PCH states (stored in the variable

MEASUREMENT_IDENTITY), which has the same identity as the one indicated in the IE "Traffic volume measurement system information":

2> store the measurement control information from the IE "Traffic volume measurement system information" received in System Information Block type 12 (or System Information Block type 11, according to subclause 8.1.1.6.11) in the variable MEASUREMENT_IDENTITY.

8.4.1.9b.2 UE positioning measurement

Upon transition from CELL_FACH to CELL_PCH or URA_PCH, the UE shall:

1> retrieve each set of measurement control information of measurement type "UE positioning" stored in the variable MEASUREMENT_IDENTITY; and

2> if the optional IE "measurement validity" for this measurement has not been included:

3> delete the measurement associated with the variable MEASUREMENT_IDENTITY.

2> if the IE "measurement validity" for the measurement has been included, and the IE "UE state" has been assigned to value "all states" or "all states except CELL_DCH":

3> if the choice in the IE "Reporting Criteria" included in the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "UE positioning reporting criteria" and the value of the IE "Measurement interval" included in this IE is less than 64 seconds:

4> use a value of 64 seconds for the measurement interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

3> if the choice in the IE "Reporting Criteria" included in the IE "UE Positioning measurement" stored in the variable MEASUREMENT_IDENTITY is set to "Periodical Reporting Criteria" and the value of the IE "Reporting interval" included in this IE is less than 64 seconds:

4> use a value of 64 seconds for the reporting interval associated with this measurement while the UE remains in CELL_PCH/URA_PCH.

NOTE: In the case that the measurement or reporting intervals are modified to 64 seconds as described above, the UE retains the previously used values of "Measurement interval" and "Reporting interval" for use after transition out of CELL_PCH/URA_PCH.

8.4.1.9c Measurements after transition from CELL_PCH/URA_PCH to CELL_FACH

8.4.1.9c.1 Traffic volume measurement

Upon transition from CELL_PCH or URA_PCH to CELL_FACH, the UE shall resume any traffic volume measurement stored in the variable MEASUREMENT_IDENTITY with measurement validity "all states" or "all states except CELL_DCH", and start the associated traffic volume measurement reporting.

8.4.1.9c.2 UE positioning measurement

Upon transition from CELL_PCH or URA_PCH to CELL_FACH, the UE shall continue any UE positioning measurement stored in the variable MEASUREMENT_IDENTITY with measurement validity "all states" or "all states except CELL_DCH", and continue the associated UE positioning measurement reporting.

NOTE: The UE's values of "Measurement interval" in the IE "UE positioning reporting criteria" and "Reporting interval" in the IE "Periodical Reporting Criteria" after this state transition revert to the values stored during the transition to CELL_PCH/URA_PCH (i.e., the 64-second interval specified in subclause 8.4.1.9b.2 is not retained).

8.4.1.10 Changes in measurement objects

8.4.1.10.1 Traffic volume measurement

When performing traffic volume event evaluation or reporting related to a certain transport channel, the UE shall consider all RBs which are mapped to the concerning transport channel e.g. if an additional RB is established on a transport channel used for event triggering or reporting, the new RB shall be taken into account.

NOTE: In this subclause, an "existing" uplink transport channel refers to a configured uplink transport channel applicable in the current RRC state.

The UE shall:

1> if the IE "Traffic volume measurement object" is included for this measurement:

2> while a transport channel that is referenced in the IE "Traffic volume measurement object" does not exist:

3> not perform any reporting related to this transport channel.

1> else:

2> report on all existing uplink transport channels; e.g. if an additional transport channel is established while the measurement is ongoing, this new transport channel shall be taken into account in the traffic volume measurement reporting.

For every traffic volume event, the UE shall:

1> if the IE "Uplink transport channel type" is not included in the IE "Traffic volume measurement reporting criteria", or the "Uplink transport channel type" has the value "DCH" or "USCH" and the IE "UL transport channel id" is not included in the IE "Traffic volume measurement reporting criteria":

2> if the IE "Traffic volume measurement object" is not included:

3> take all existing UL transport channels into account for event triggering; e.g. if an additional transport channel is established while the measurement is ongoing, this new transport channel shall be taken into account in the traffic volume event triggering.

2> else:

3> while a transport channel that is referenced in the IE "Traffic Volume Measurement object" does not exist:

4> not take this transport channel identity into account in the traffic volume measurement triggering.

1> else:

2> while a transport channel that is referenced in the IE "Traffic Volume Measurement Reporting Criteria" does not exist:

3> not take this transport channel identity into account in the traffic volume event triggering.

8.4.1.10.2 Quality measurement

While a transport channel that is explicitly referenced with a transport channel identity in the IE "Quality Reporting Quantity" does not exist, the UE shall:

1> not perform any reporting related to this transport channel identity.

If the IE "Quality Reporting Quantity" does not contain any explicit transport channel identities, the UE shall:

1> report the quality of all existing downlink dedicated transport channels;

1> if an additional transport channel is established while the measurement is ongoing:

2> take into account this new transport channel in the quality measurement reporting.

While a transport channel that is explicitly referenced with a transport channel id in the IE "Quality Measurement Reporting Criteria" does not exist, the UE shall:

1> not take this transport channel identity into account in the quality measurement event triggering.

8.4.1.10.3 Intra-frequency, Inter-frequency and Inter-RAT measurements

For measurements which include the IE "Cells for measurement" the UE shall:

1> while an IE "Intra-frequency cell id" or IE "Inter-frequency cell id" or IE "Inter-RAT cell id" in the IE "Cells for measurement" points to a position in the variable CELL_INFO_LIST which is marked as "vacant":

2> not take this position into account for event triggering and reporting.

8.4.2 Measurement report



Figure 8.4.2-1: Measurement report, normal case

8.4.2.1 General

The purpose of the measurement reporting procedure is to transfer measurement results from the UE to UTRAN.

8.4.2.2 Initiation

In CELL_DCH state, the UE shall:

1> transmit a MEASUREMENT REPORT message on the uplink DCCH when the reporting criteria stored in variable MEASUREMENT_IDENTITY are met for any ongoing measurements that are being performed in the UE.

In CELL_FACH state, the UE shall:

1> transmit a MEASUREMENT REPORT message on the uplink DCCH when the reporting criteria stored in variable MEASUREMENT_IDENTITY are met for any ongoing traffic volume measurement or UE positioning measurement that is being performed in the UE.

In TDD, if the Radio Bearer associated with the MEASUREMENT_IDENTITY fulfilling the reporting criteria for an ongoing traffic volume measurement is mapped on transport channel of type USCH, the UE shall:

1> initiate the "PUSCH CAPACITY REQUEST" procedure instead of transmitting a MEASUREMENT REPORT (TDD Only).

In CELL_PCH or URA_PCH state, the UE shall:

1> first perform the cell update procedure according to subclause 8.3.1, using the cause "uplink data transmission", in order to transit to CELL_FACH state; and then

1> transmit a MEASUREMENT REPORT message on the uplink DCCH when the reporting criteria stored in variable MEASUREMENT_IDENTITY are fulfilled for any ongoing UE positioning measurement which is being performed in the UE.

The reporting criteria are fulfilled if either:

- a periodic MEASUREMENT REPORT message shall be sent according to the IE "Periodical Reporting Criteria"; or

- an event in stored IE "Measurement reporting criteria" was triggered. Events and triggering of reports for different measurement types are described in detail in clause 14.

For the measurement, which triggered the MEASUREMENT REPORT message, the UE shall:

1> set the IE "measurement identity" to the measurement identity, which is associated with that measurement in variable MEASUREMENT_IDENTITY;

1> set the IE "measured results" to include measurements according to the IE "reporting quantity" of that measurement stored in variable MEASUREMENT_IDENTITY; and

2> if all the reporting quantities are set to "false":

3> not set the IE "measured results".

1> set the IE "Measured results" in the IE "Additional measured results" according to the IE "reporting quantity" for all measurements associated with the measurement identities included in the "Additional measurements list" stored in variable MEASUREMENT_IDENTITY of the measurement that triggered the measurement report; and

2> if one or more additional measured results are to be included:

3> include only the available additional measured results, and sort them in ascending order according to their IE "measurement identity" in the MEASUREMENT REPORT message.

1> if the MEASUREMENT REPORT message was triggered by an event (i.e. not a periodical report):

2> set the IE "Event results" according to the event that triggered the report.

1> if the IE Inter-RAT measured results list or the IE Inter-RAT measurement event results is included in the measurement report:

2> if the indication status of the IE "Inter-RAT cell info indication" in the variable CELL_INFO_LIST is marked "present" , include the stored value of the IE "Inter-RAT cell info indication" in the MEASUREMENT REPORT message.

The UE shall:

1> transmit the MEASUREMENT REPORT message on the uplink DCCH using either AM or UM RLC according to the stored IE "measurement reporting mode" associated with the measurement identity that triggered the report.

When the MEASUREMENT REPORT message has been submitted to lower layers for transmission:

1> the procedure ends.

8.4.3 Assistance Data Delivery



Figure 8.4.3-1 Assistance Data Delivery

8.4.3.1 General

The purpose of the assistance data delivery procedure is to transfer UE positioning related assistance data from the UTRAN to the UE.

8.4.3.2 Initiation

When requested by the Core Network, the UTRAN may deliver UE positioning related assistance data with a ASSISTANCE DATA DELIVERY message, which is transmitted on the downlink DCCH using AM RLC

8.4.3.3 Reception of ASSISTANCE DATA DELIVERY message by the UE

Upon reception of a ASSISTANCE DATA DELIVERY message the UE shall:

1> if IE "UE positioning OTDOA assistance data for UE-based" is included:

2> act as specified in subclause 8.6.7.19.2a.

1> if IE "UE positioning GPS assistance data" is included:

2> act as specified in subclause 8.6.7.19.3.

8.4.3.4 Invalid ASSISTANCE DATA DELIVERY message

If the UE receives a ASSISTANCE DATA DELIVERY message, which contains a protocol error causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE according to clause 9, the UE shall perform procedure specific error handling as follows. The UE shall:

1> transmit an RRC STATUS message on the uplink DCCH using AM RLC;

1> include the IE "Identification of received message"; and

1> set the IE "Received message type" to ASSISTANCE DATA DELIVERY; and

1> set the IE "RRC transaction identifier" to the value of "RRC transaction identifier" in the entry for the ASSISTANCE DATA DELIVERY message in the table "Rejected transactions" in the variable TRANSACTIONS; and

1> clear that entry;

1> include the IE "Protocol error information" with contents set to the value of the variable PROTOCOL_ERROR_INFORMATION.

1> when the RRC STATUS message has been submitted to lower layers for transmission:

2> continue with any ongoing processes and procedures as if the invalid ASSISTANCE DATA DELIVERY message has not been received.

8.5 General procedures

8.5.1 Selection of initial UE identity

The purpose of the IE "Initial UE identity" is to provide a unique UE identification at the establishment of an RRC connection. The type of identity shall be selected by the UE according to the following.

If the UE is operating in "GSM-MAP mode", the UE shall choose "UE id type" in the IE "Initial UE identity" with the following priority:

1. TMSI (GSM-MAP): The TMSI (GSM-MAP) shall be chosen if available. The IE "LAI" in the IE "Initial UE identity" shall also be present when TMSI (GSM-MAP) is used, for making it unique.
2. P-TMSI (GSM-MAP): The P-TMSI (GSM-MAP) shall be chosen if available and no TMSI (GSM-MAP) is available. The IE "RAI" in the IE "Initial UE identity" shall in this case also be present when P-TMSI (GSM-MAP) is used, for making it unique.
3. IMSI (GSM-MAP): The IMSI (GSM-MAP) shall be chosen if available and no TMSI (GSM-MAP) or P-TMSI is available.

4. IMEI: The IMEI shall be chosen when none of the above three conditions are fulfilled.

When being used, the IEs "TMSI (GSM-MAP)," "P-TMSI (GSM-MAP)", "IMSI (GSM-MAP)", "LAI" and "RAI" shall be set equal to the values of the corresponding identities stored in the USIM or SIM.

If the UE is operating in "ANSI-41 mode", the UE shall choose "UE id type" in the IE "Initial UE identity" according to the procedure specified in the 3GPP2 document "3GPP2 C.P0004-A".

8.5.2 Actions when entering idle mode from connected mode

When entering idle mode from connected mode, the UE shall:

1> clear or set variables upon leaving UTRA RRC connected mode as specified in subclause 13.4;

1> if the RRC CONNECTION RELEASE message was received and the IE "Redirection info" was present therein:

2> attempt to camp on a suitable cell on the indicated UTRA carrier included in the RRC CONNECTION RELEASE message;

2> attempt to camp on a suitable cell of the list of cells for the indicated RAT included in the RRC CONNECTION RELEASE message. If no cells were indicated for that RAT or no suitable cell of the indicated cells for that RAT is found within 10s, attempt to camp on any suitable cell of that RAT; or

2> if no suitable cell is found on the indicated UTRA carrier or RAT camp on any suitable cell.

1> attempt to select a suitable cell to camp on.

When leaving connected mode according to [4], the UE shall:

1> perform cell selection.

While camping on a cell, the UE shall:

1> acquire system information according to the system information procedure in subclause 8.1;

1> perform measurements according to the measurement control procedure specified in subclause 8.4; and

1> if the UE is registered:

2> be prepared to receive paging messages according to the paging procedure in subclause 8.2.

If the UE is operating in "GSM-MAP mode", the UE shall:

1> delete any NAS system information received in connected mode;

1> acquire the NAS system information in system information block type 1; and

1> proceed according to subclause 8.6.1.2.

When entering idle mode, the UE shall:

1> if the USIM is present, for each CN domain:

2> if a new security key set was received for this CN domain but was not used either for integrity protection or ciphering during this RRC connection:

3> set the START value for this domain to zero; and

3> store this START value for this domain in the USIM.

2> else:

3> if the current "START" value, according to subclause 8.5.9 for a CN domain, is greater than or equal to the value "THRESHOLD" of the variable START_THRESHOLD:

4> delete the ciphering and integrity keys that are stored in the USIM for that CN domain;

4> inform the deletion of these keys to upper layers.

3> else:

4> store the current "START" value for this CN domain on the USIM.

NOTE: Prior to storing the "START" value, the UE should calculate this "START" value according to subclause 8.5.9.

1> else:

2> if the SIM is present, for each CN domain:

3> if a new security key set was received for this CN domain but was not used either for integrity protection or ciphering during this RRC connection:

4> set the START value for this domain to zero; and

4> store this START value for this domain in the UE

3> else:

4> if the current "START" value, according to subclause 8.5.9 for this CN domain, is greater than or equal to the value "THRESHOLD" of the variable START_THRESHOLD:

5> delete the Kc key for this CN domain;

5> delete the ciphering and integrity keys that are stored in the UE for that CN domain;

5> set the "START" values for this CN domain to zero and store it the UE;

5> inform the deletion of the key to upper layers.

4> else:

5> store the current "START" value for this CN domain in the UE.

NOTE: Prior to storing the "START" value, the UE should calculate this "START" value according to subclause 8.5.9.

8.5.3 Open loop power control upon establishment of DPCCH

This procedure is used in FDD mode only.

When establishing the first DPCCH the UE shall start the UL inner loop power control at a power level according to:

1> DPCCH_Initial_power = DPCCH_Power_offset – CPICH_RSCP

Where

DPCCH_Power_offset shall have the value of IE "DPCCH Power offset" in IE "Uplink DPCH power control info"

The value for the CPICH_RSCP shall be measured by the UE.

8.5.4 Physical channel establishment criteria

When a physical dedicated channel establishment is initiated by the UE, the UE shall start a timer T312 and wait for layer 1 to indicate N312 "in sync" indications. On receiving N312 "in sync" indications, the physical channel is considered established and the timer T312 is stopped and reset.

If the timer T312 expires before the physical channel is established, the UE shall consider this as a "physical channel failure".

NOTE: The criteria defined in this subclause only apply in case the UE performs synchronisation procedure A (FDD only).

8.5.5 Actions in "out of service area" and "in service area"

This subclause specifies the general actions the UE shall perform when it detects "out of service" or "in service" area. The specific UE behaviour when it detects "out of service" or "in service area" and periodical update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity" is specified in subclause 8.3.1.

8.5.5.1 Detection of "out of service" area

The UE shall detect "out of service" area as defined in [19].

8.5.5.1.1 Actions following detection of "out of service" area in URA_PCH or CELL_PCH state

If the UE detects the "out of service area" and the UE is in URA_PCH or CELL_PCH state it shall perform the following actions:

1> start timer T316;

1> perform processes described in subclause 7.2.2.

8.5.5.1.2 Actions following detection of "out of service" area in CELL_FACH state

If the UE detects the "out of service area" and the UE is in CELL_FACH state it shall perform the following actions. The UE shall:

1> start timer T317 if not already running;

1> perform processes described in subclause 7.2.2.

8.5.5.1.3 Actions following detection of "out of service" area on transition from CELL_DCH to URA_PCH or CELL_PCH

If the UE detects the "out of service area" on transition from CELL_DCH to URA_PCH or CELL_PCH, it shall perform the following actions:

1> start timer T316;

1> start the timer T305 using its initial value if timer T305 is not running and periodical cell update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity";

1> perform processes described in subclause 7.2.2.

8.5.5.1.4 Actions following detection of "out of service" area on transition from CELL_DCH to CELL_FACH

If the UE detects the "out of service area" on transition from CELL_DCH to CELL_FACH, it shall perform the following actions:

1> if the transition is triggered by a reconfiguration procedure:

2> start timer T317;

2> start the timer T305 using its initial value if timer T305 is not running and periodical cell update has been configured by T305 in the IE "UE Timers and constants in connected mode" set to any other value than "infinity";

2> perform processes described in subclause 7.2.2.

1> otherwise:

2> perform processes described in subclause 7.2.2.

8.5.5.2 Detection of "in service" area

When a suitable cell is found based on the description in [4], the UE considers it as having detected "in service area".

8.5.5.2.1 Actions following Re-entry into "in service area" in URA_PCH or CELL_PCH state

If the UE re-enters "in service area" before T316 expiry the UE shall perform the following actions. The UE shall:

1> stop T316;

1> if T307 is active:

2> stop T307.

1> if the UE is in CELL_PCH state and the UE is camped on a cell different from the one where service was lost:

2> initiate the cell update procedure using the cause "cell-reselection" as specified in subclause 8.3.1.

1> perform processes described in subclause 7.2.2.

8.5.5.2.2 Actions following re-entry into "in service area" in CELL_FACH state

If the UE detects "in service area" before T317 expiry the UE shall perform the following actions. If no cell update procedure or URA update procedure is ongoing, the UE shall:

1> stop T317;

1> if T307 is active:

2> stop T307.

1> initiate the cell update procedure using as cause "Re-entering service area" as specified in subclause 8.3.1;

1> perform processes described in subclause 7.2.2.

If a cell update procedure or URA update procedure is ongoing, the UE shall:

1> stop T317;

1> perform the actions as specified in 8.3.1.

8.5.5.3 T316 expiry

On T316 expiry the UE shall perform the following actions. The UE shall:

1> if "out of service area" is detected:

2> start timer T317;

2> move to CELL_FACH state;

2> perform processes described in subclause 7.2.2.

1> if "in service area" is detected:

2> initiate the cell update procedure using as cause "Re-entering service area" as specified in subclause 8.3.1;

2> perform processes described in subclause 7.2.2.

8.5.5.4 T317 expiry

T317 shall never expire, i.e. all its values shall be assumed to be "infinity".

If T317 is running:

1> the UE behaviour shall be as specified in subclause 7.2.2.2.

8.5.6 Radio link failure criteria and actions upon radio link failure

In CELL_DCH State, after receiving N313 consecutive "out of sync" indications from layer 1 for the established DPCCH or F-DPCH physical channel in FDD, and the physical channels associated with mapped DCCHs in TDD, the UE shall:

1> start timer T313;

1> upon receiving N315 successive "in sync" indications from layer 1 and upon change of UE state:

2> stop and reset timer T313.

1> if T313 expires:

2> consider it as a "Radio link failure".

Periods in time where neither "in sync" nor "out of sync" is reported by layer 1 do not affect the evaluation of the number of consecutive (resp. successive) "in sync" or "out of sync" indications.

When a radio link failure occurs, the UE shall:

1> clear the dedicated physical channel configuration;

1> perform actions as specified for the ongoing procedure;

1> if no procedure is ongoing or no actions are specified for the ongoing procedure:

2> perform a cell update procedure according to subclause 8.3.1 using the cause "radio link failure".

8.5.7 Open loop power control

For FDD and prior to PRACH transmission the UE shall:

1> acquire valid versions of the necessary System Information IEs as follows:

2> if the UE has stored valid versions of the IEs "Primary CPICH Tx power" and "Constant value":

3> use the stored content of the IEs.

2> otherwise:

3> read and store the IE "Primary CPICH Tx power" and "Constant value" in System Information Block type 6 (or System Information Block type 5 or System Information Block type 5bis, if System Information Block type 6 is not being broadcast).

2> if the UE has a valid version of the IE "UL interference" stored:

3> use the stored content of the IE "UL interference".

2> otherwise:

3> read and store the IE "UL interference" in System Information Block type 7;

3> if the UE fails to read the IE "UL interference" in System Information Block type 7 due to bad radio conditions, the UE shall use the last stored IE "UL interference".

1> measure the value for the CPICH_RSCP;

1> calculate the power for the first preamble as:

Preamble_Initial_Power = Primary CPICH TX power – CPICH_RSCP + UL interference + Constant Value

Where,

Primary CPICH TX power shall have the value of IE "Primary CPICH Tx power",

UL interference shall have the value of IE "UL interference"; and

Constant Value shall have the value of IE "Constant value".

1> as long as the physical layer is configured for PRACH transmission:

2> continuously recalculate the Preamble_Initial_Power when any of the broadcast parameters used in the above formula changes; and

2> resubmit to the physical layer the new calculated Preamble_Initial_Power.

For 3.84 Mcps TDD or 7.68 Mcps TDD the UE shall:

1> if in the IE "Uplink DPCH Power Control info" the "CHOICE UL OL PC info" has the value "Broadcast UL OL PC info":

2> prior to DPCH transmission the UE shall:

3> acquire valid versions of the necessary System Information IEs as follows:

4> if the UE has stored valid versions of the IEs "Primary CCPCH Tx power" and "DPCH Constant value":

5> use the stored content of the IEs.

4> otherwise:

5> read and store the IE "Primary CCPCH Tx power" and "DPCH Constant value" in System Information Block type 6 (or System Information Block type 5, if System Information Block type 6 is not being broadcast).

3> if the UE has a valid version of the IE "UL interference" for each active UL timeslot stored:

4> use the stored content of the IE "UL interference" for each active UL timeslot.

3> otherwise:

4> read and store the IE "UL Timeslot Interference" for each active UL timeslot in System Information Block type 14;

4> if the UE fails to read the IE "UL Timeslot Interference" for each active UL time slot in System Information Block type 14 due to bad radio conditions, the UE shall use the last stored IE "UL Timeslot interference" for each active UL timeslot.

1> otherwise:

2> acquire Reference Power, Constant Values and I_{BTS} for all active UL timeslots from the IE "Uplink DPCH Power Control info".

1> for PUSCH, PRACH and HS-SICH power control:

2> prior to PUSCH or PRACH transmission the UE shall:

3> acquire valid versions of the necessary System Information IEs as follows:

4> if the UE has stored valid versions of the IEs "Primary CCPCH Tx power" and "PUSCH Constant value" for PUSCH transmissions or "PRACH Constant value" for PRACH transmissions:

5> use the stored content of the IEs.

4> otherwise:

5> read and store the IE "Primary CCPCH Tx power" and "PUSCH Constant value" for PUSCH transmissions or "PRACH Constant value" for PRACH transmissions in System Information

Block type 6 (or System Information Block type 5, if System Information Block type 6 is not being broadcast).

3> if the UE has a valid version of the IE "UL interference" for each active UL timeslot stored:

4> use the stored content of the IE "UL interference" for each active UL timeslot.

3> otherwise:

4> read and store the IE "UL Timeslot Interference" for each active UL timeslot in System Information Block type 14;

4> if the UE fails to read the IE "UL Timeslot Interference" for each active UL time slot in System Information Block type 14 due to bad radio conditions, the UE shall use the last stored IE "UL Timeslot interference" for each active UL timeslot.

calculate the UL transmit power according to the following formula for the PRACH continuously while the physical channel is active:

$$P_{PRACH} = L_{PCCPCH} + I_{BTS} + \text{PRACH Constant value},$$

2> 3dB shall be added to RACH Constant Value in the above equation for the case where RACH Spreading Factor = 8;

2> for 7.68 Mcps TDD, 3dB shall be added to RACH Constant Value in the above equation for the case where RACH Spreading Factor = 16.

1> calculate the UL transmit power according to the following formula for the DPCH continuously while the physical channel is active:

$$P_{DPCH} = \alpha L_{PCCPCH} + (1-\alpha)L_0 + I_{BTS} + SIR_{TARGET} + \text{DPCH Constant value}$$

1> calculate the UL transmit power according to the following formula for the PUSCH continuously while the physical channel is active:

$$P_{PUSCH} = \alpha L_{PCCPCH} + (1-\alpha)L_0 + I_{BTS} + SIR_{TARGET} + \text{PUSCH Constant value}$$

1> calculate the initial UL transmit power for HS-SICH according to the following formula:

$$P_{HS\text{-}SICH} = \alpha L_{PCCPCH} + (1-\alpha)L_0 + I_{BTS} + SIR_{TARGET} + \text{HS-SICH Constant value}$$

Where, for all the above equations for 3.84 Mcps TDD or 7.68 Mcps TDD the following apply:

- P_{PRACH}, P_{DPCH}, P_{PUSCH} and $P_{HS\text{-}SICH}$: Transmitter power level in dBm;
- Pathloss values:
  - L_{PCCPCH}: Measurement representing path loss in dB based on beacon channels (the reference transmit power is signalled as the value of the IE "Primary CCPCH Tx Power" on BCH in System Information Block type 6 (or System Information Block type 5, according to subclause 8.1.1.6.5), or individually signalled in the IE" Uplink DPCH Power Control info").
  - L_0: Long term average of path loss in dB;
  - If the midamble is used in the evaluation of L_{PCCPCH} and L_0, and the Tx diversity scheme used for the P-CCPCH involves the transmission of different midambles from the diversity antennas, the received power of the different midambles from the different antennas shall be combined prior to evaluation of the variables.
- I_{BTS}: Interference signal power level at cell's receiver in dBm. I_{BTS} shall have the value of the IE "UL Timeslot Interference" (IE "UL Timeslot Interference" is broadcast on BCH in System Information Block type 14 or individually signalled to each UE in the IE "Uplink DPCH Power Control info" for each active uplink timeslot).
- α: α is a weighting parameter, which represents the quality of path loss measurements. α may be a function of the time delay between the uplink time slot and the most recent down link PCCPCH time slot. α is

calculated at the UE. α shall be smaller or equal to the value of the IE "Alpha". If the IE "Alpha" is not explicitly signalled to the UE α shall be set to 1. If UE is capable of estimating its position by using the OTDOA IPDL method, the UE shall use the IPDL-α parameter.

- SIR_{TARGET}: Target SNR in dB. This value is individually signalled to UEs in IE "UL target SIR" in IE "Uplink DPCH Power Control Info" or in IE "PUSCH Power Control Info" or in IE "HS-SICH Power Control Info".
- PRACH Constant value: PRACH Constant value shall have the value of the IE "PRACH Constant value".
- DPCH Constant value: DPCH Constant value shall have the value of the IE "DPCH Constant value".
- PUSCH Constant value: PUSCH Constant value shall have the value of the IE "PUSCH Constant value".
- HS-SICH Constant value: HS-SICH Constant value shall have the value of the IE "HS-SICH Constant value".
- Values received by dedicated signalling shall take precedence over broadcast values.
- If IPDLs are applied, the UE may increase UL Tx power by the value given in the IE "Max power increase". This power increase is only allowed in the slots between an idle slot and the next beacon slot.

For 1.28 Mcps TDD the UE shall:

1> acquire valid versions of the necessary System Information IEs as follows:

2> if the UE has stored a valid version of the IE "Primary CCPCH Tx Power":

3> use the stored content of the IE.

2> otherwise:

3> read and store the IE "Primary CCPCH Tx Power" from System Information Block type 6 (or System Information Block type 5, if System Information Block type 6 is not being broadcast).

1> calculate the UL transmit power according to the following formula for each UpPCH code transmission:

$$P_{UpPCH} = L_{PCCPCH} + PRX_{UpPCHdes} + (i-1)* Pwr_{ramp}$$

NOTE: When i equals 1, the initial signature power "Signature_Initial_Power" defined in [33] corresponds to P_{UpPCH} with i set to 1.

1> calculate the UL transmit power according to the following formula for each PRACH transmission:

$$P_{PRACH} = L_{PCCPCH} + PRX_{PRACHdes} + (i_{UpPCH}-1) * Pwr_{ramp}$$

1> calculate the initial UL transmit power according to the following formula for the PUSCH. Once the UE receives TPC bits relating to the PUSCH then it transitions to closed loop power control. If successive PUSCH resource allocations are contiguous then no return is made to open loop power control at the beginning of the succeeding resource allocation.

$$P_{USCH} = PRX_{PUSCHdes} + L_{PCCPCH}$$

1> calculate the initial UL transmit power for HS-SICH according to the following formula:

$$P_{HS\text{-}SICH} = PRX_{HS\text{-}SICH} + L_{PCCPCH}$$

1> calculate the initial UL transmit power according to the following formula for the DPCH. Once the UE receives TPC bits relating to the uplink DPCH then it transitions to closed loop power control.

$$P_{DPCH} = PRX_{DPCHdes} + L_{PCCPCH}$$

Where:

- P_{UpPCH}, P_{PRACH}, P_{DPCH}, $P_{HS\text{-}SICH}$ & P_{USCH}: Transmitter power level in dBm.

- L_{PCCPCH}: Measurement representing path loss in dB (reference transmit power "Primary CCPCH Tx Power" is broadcast on BCH in System Information Block type 5 and System Information Block type 6, or individually signalled to each UE in the IE" Uplink DPCH Power Control info").
- i is the number of transmission attempts on UpPCH, i=1…Max SYNC_UL Transmissions.
- i_{UpPCH} is the final value of i.
- $PRX_{PRACHdes}$: Desired PRACH RX power at the cell's receiver in dBm signalled to the UE by the network in the FPACH response to the UE's successful SYNC_UL transmission.
- $PRX_{UpPCHdes}$: Desired UpPCH RX power at the cell's receiver in dBm. The value is broadcast in "$PRX_{UpPCHdes}$" in IE "SYNC_UL info" on BCH and shall be read on System Information Block type 5 and System Information Block type 6. It can also be signalled directly to the UE in IE "Uplink Timing Advance Control" contained in a protocol message triggering a hard handover or a transition from cell FACH to cell DCH state.
- $PRX_{PUSCHdes}$: Desired PUSCH RX power at the cell's receiver in dBm signalled to the UE in IE "PUSCH Power Control Info".
- $PRX_{DPCHdes}$: Desired DPCH RX power at the cell's receiver in dBm signalled to the UE in IE "Uplink DPCH Info" and IE "Uplink DPCH Power Control Info".
- Pwr_{ramp}: The UE shall increase its transmission power by the value of the IE "Power Ramp step" by every UpPCH transmission. Its value is signalled in the IE "SYNC UL info" in System Information Block type 5 and System Information Block type 6 or is signalled to the UE in the IE "Uplink Timing Advance Control" contained in a protocol message triggering a hard handover or a transition from cell FACH state to cell DCH state.
- $PRX_{HS\text{-}SICH}$: Desired HS-SICH RX power at the cell's receiver in dBm signalled to the UE in IE "Downlink HS-PDSCH Information".
- Ack-Nack Power Offset: Difference in the desired RX power between HS-SICH transmissions conveying an acknowledgement and transmissions conveying a negative acknowledgement signalled to the UE in IE "HS-SCCH Info".

8.5.8 Maintenance of Hyper Frame Numbers

The MSBs of both the ciphering sequence numbers (COUNT-C) and integrity sequence numbers (COUNT-I), for the ciphering and integrity protection algorithms, respectively [40], are called the Hyper Frame Numbers (HFN).

For integrity protection, the UE shall:

1> maintain COUNT-I as specified in subclause 8.5.10.

The following hyper frame numbers types are defined:

MAC-d HFN:
24 MSB of COUNT-C for data sent over RLC TM

RLC UM HFN:
25 MSB of COUNT-C for data sent over RLC UM

RLC AM HFN:
20 MSB of COUNT-C for data sent over RLC AM

RRC HFN:
28 MSB of COUNT-I

For non-transparent mode RLC signalling radio bearers and radio bearers, the UE shall:

1> maintain one uplink and one downlink COUNT-C per signalling radio bearer and per radio bearer and one uplink and one downlink COUNT-I per signalling radio bearer;

1> increment the RLC UM HFN and RLC AM HFN in uplink and downlink by one each time the RLC sequence number wraps around in uplink and downlink respectively;

1> if the activation time for a new ciphering configuration set by an RRC procedure is equal to zero:

2> apply the configured RLC UM HFN or RLC AM HFN at this activation time, i.e. the configured HFN is not incremented.

NOTE: On the receiver side it may happen that the RLC PDU with sequence number equal to the activation time is lost and the first received PDU after the activation time implies a wrap around of the sequence number compared to the activation time. In this case the configured HFN is incremented by one. This action is taken only when the activation time is set to a RLC PDU sequence number value other than zero.

For all transparent mode RLC signalling radio bearers and radio bearers of each CN domain, the UE shall:

1> maintain one COUNT-C, common for all radio bearers in uplink and downlink;

1> increment the MAC-d HFN by one each time the CFN wraps around;

1> if the activation time for a new ciphering configuration set by an RRC procedure is equal to zero:

2> apply the configured MAC-d HFN at this activation time, i.e. the configured HFN is not incremented.

1> maintain one uplink and one downlink COUNT-I per signalling radio bearer.

NOTE: In this release of the specification there is only an uplink transparent mode COUNT-I, which is used for signalling radio bearer RB0.

COUNT-C and COUNT-I are defined in [40], with the following supplement for COUNT-C: for transparent mode RLC radio bearers with a transmission time interval of x radio frames (x = 2, 4, 8), the MAC PDU is carried by L1 in x consecutive radio frames due to radio frame segmentation. In this case, the CFN of the first radio frame in the TTI shall be used as the CFN component of COUNT-C for ciphering of all data in the TTI [15].

8.5.9 START value calculation

In connected mode, if a security mode command procedure has been successfully completed for a CN domain during the current RRC connection, the START value for that CN domain is calculated as:

Let $START_X$ = the START value for CN domain 'X' prior to the calculation below:

$START_X' = MSB_{20}$ (MAX {COUNT-C, COUNT-I | radio bearers and signalling radio bearers using the most recently configured CK_X and IK_X}) + 2.

- if $START_X'$= the maximum value = 1048575 then $START_X = START_X'$;
- if the current $START_X < START_X'$ then $START_X = START_X'$, otherwise $START_X$ is unchanged.

NOTE: Here, "most recently configured" means that if there is more than one key in use for a CN domain, due to non-expiry of the ciphering and/or integrity protection activation time for any signalling radio bearers and/or radio bearers, do not include the COUNT-I/COUNT-C for these signalling radio bearers and/or radio bearers in the calculation of the $START_X'$.

COUNT-C corresponding to non-ciphered radio bearers (i.e. RBs with ciphering status set to "not started") shall not be included in the calculation of the $START_X'$. If a radio bearer is released and the radio bearer was ciphered, the values of the COUNT-C at the time the radio bearer is released shall be taken into account in the calculation of the $START_X'$.

If a security mode command procedure has not been successfully completed for a CN domain during the current RRC connection, the UE shall use the latest transmitted START value for this CN domain.

8.5.10 Integrity protection

If the "Status" in the variable INTEGRITY_ PROTECTION_INFO has the value "Started" then the UE shall:

1> perform integrity protection (and integrity checking) on all RRC messages, with the following exceptions:

HANDOVER TO UTRAN COMPLETE

PAGING TYPE 1

PUSCH CAPACITY REQUEST

PHYSICAL SHARED CHANNEL ALLOCATION

RRC CONNECTION REQUEST

RRC CONNECTION SETUP

RRC CONNECTION SETUP COMPLETE

RRC CONNECTION REJECT

RRC CONNECTION RELEASE (CCCH only)

SYSTEM INFORMATION

SYSTEM INFORMATION CHANGE INDICATION

TRANSPORT FORMAT COMBINATION CONTROL (TM DCCH only)

If the "Status" in the variable INTEGRITY_ PROTECTION_INFO has the value "Not started" then integrity protection (and integrity checking) shall not be performed on any RRC message.

For each signalling radio bearer, the UE shall use two RRC hyper frame numbers:

- "Uplink RRC HFN";
- "Downlink RRC HFN".

and two message sequence numbers:

- "Uplink RRC Message sequence number";
- "Downlink RRC Message sequence number".

The above information is stored in the variable INTEGRITY_PROTECTION_INFO per signalling radio bearer (RB0-RB4).

Upon the first activation of integrity protection for an RRC connection, UE and UTRAN initialise the "Uplink RRC Message sequence number" and "Downlink RRC Message sequence number" for all signalling radio bearers as specified in subclauses 8.6.3.5 and 8.5.10.1.

The RRC message sequence number (RRC SN) is incremented for every integrity protected RRC message.

If the IE "Integrity Protection Mode Info" is present in a received message, the UE shall:

1> perform the actions in subclause 8.6.3.5 before proceeding with the integrity check of the received message.

8.5.10.1 Integrity protection in downlink

If the UE receives an RRC message on signalling radio bearer with RB identity n, the "Status" in the variable INTEGRITY_ PROTECTION_INFO has the value "Started" and the IE 'Integrity check info' is present the UE shall:

1> check the value of the IE "RRC message sequence number" included in the IE "Integrity check info";

2> if the "Downlink RRC Message sequence number" is not present in the variable INTEGRITY_PROTECTION_INFO:

3> initialise the "Downlink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO with the value of the IE "RRC message sequence number" included in the IE "Integrity check info" of the received message.

2> if the "Downlink RRC Message sequence number" is present in the variable INTEGRITY_PROTECTION_INFO:

3> if the RRC message sequence number is lower than the "Downlink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO:

4> increment "Downlink RRC HFN" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO with one.

NOTE: The actions above imply that also for the case the "Downlink RRC HFN" is re-initialised by a security mode control procedure, this "Downlink RRC HFN" value is incremented by one before it is applied for the integrity protection of any received message if the conditions above are fulfilled.

3> if the RRC message sequence number is equal to the "Downlink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO:

4> discard the message.

1> calculate an expected message authentication code in accordance with subclause 8.5.10.3;

1> compare the expected message authentication code with the value of the received IE "message authentication code" contained in the IE "Integrity check info";

2> if the expected message authentication code and the received message authentication code are the same, the integrity check is successful:

3> update the "Downlink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO with the value of the IE "RRC message sequence number" included in the IE "Integrity check info" of the received RRC message.

2> if the calculated expected message authentication code and the received message authentication code differ:

3> act as if the message was not received.

If the UE receives an RRC message on signalling radio bearer with identity 0, 1, or 2, the "Status" in the variable INTEGRITY_ PROTECTION_INFO has the value "Started" and the IE 'Integrity check info' is not present the UE shall:

1> discard the message.

If the UE receives an RRC message on signalling radio bearer with identity 3 or 4, the "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started" and the IE 'Integrity check info' is not present:

1> if a security mode command procedure has not been successfully completed during the current RRC connection for the CN domain indicated by IE "CN Domain Identity" in the received message:

2> the UE shall forward the message to upper layer.

1> else:

2> the UE shall discard the message.

UTRAN may transmit several copies of the same message in the downlink to increase the probability of proper reception of the message by the UE. In such a case, the RRC SN for these repeated messages should be the same.

8.5.10.2 Integrity protection in uplink

Prior to sending an RRC message using the signalling radio bearer with radio bearer identity n, and the "Status" in the variable INTEGRITY_ PROTECTION_INFO has the value "Started" the UE shall:

1> increment "Uplink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO with 1, even if the message is a retransmission of a previously transmitted message.

1> if the "Uplink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO equals zero:

2> increment "Uplink RRC HFN" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO by one.

NOTE 1: The actions above imply that also for the case the "Uplink RRC HFN" is re-initialised by a security mode control procedure, this "Uplink RRC HFN" is incremented before it is applied in the integrity protection of any transmitted message if the conditions above are fulfilled.

NOTE 2: For SRB0, this is also valid in case the Message Sequence Number has been increased by N302 +2 resulting in an MSN which equals 0 (i.e.: SRB0 UL activation time equals 0). Then the uplink RRC HFN is incremented by 1 after it is re-initialized and before it is applied in the integrity protection of any transmitted message.

1> calculate the message authentication code in accordance with subclause 8.5.10.3;

1> replace the "Message authentication code" in the IE "Integrity check info" in the message with the calculated message authentication code;

1> replace the "RRC Message sequence number" in the IE "Integrity check info" in the message with contents set to the new value of the "Uplink RRC Message sequence number" for signalling radio bearer RBn in the variable INTEGRITY_PROTECTION_INFO.

In the response message for the procedure ordering the security reconfiguration, the UE indicates the activation time, for each signalling radio bearer. When the new integrity configuration is to be applied in uplink, UTRAN should start to apply the new integrity protection configuration according to the activation time for each signalling radio bearer (except for the signalling radio bearer which is used to send the message that is reconfiguring the security configuration where the new configuration is to be applied starting from and including reception of the response message).

8.5.10.3 Calculation of message authentication code

The UE shall calculate the message authentication code in accordance with [40]. The input parameter MESSAGE [40] for the integrity algorithm shall be constructed by:

1> setting the "Message authentication code" in the IE "Integrity check info" in the message to the value of the IE "RB identity" for the signalling radio bearer;

1> setting the "RRC Message sequence number" in the IE "Integrity check info" in the message to zero;

1> encoding the message;

1> appending RRC padding (if any) as a bit string to the encoded bit string as the least significant bits.

For usage on an RRC message transmitted or received on the radio bearer with identity n, the UE shall:

1> construct the input parameter COUNT-I [40] by appending the following IEs from the IE "Signalling radio bearer specific integrity protection information" for radio bearer n in the variable INTEGRITY_PROTECTION_INFO:

2> for uplink:

3> "Uplink RRC HFN", as the MSB, and "Uplink RRC Message sequence number", as LSB.

2> for downlink:

3> "Downlink RRC HFN", as the MSB, and the IE "RRC message sequence number" included in the IE "Integrity check info", as LSB.

8.5.11 FACH measurement occasion calculation

When in CELL_FACH state and when the variable C_RNTI is non-empty the UE in FDD mode shall perform measurements as specified in subclauses 8.4.1.6 and 8.4.1.9 during the frame(s) with the SFN value fulfilling the following equation:

$$SFN \text{ div } N = C\_RNTI \bmod M\_REP + n * M\_REP$$

where

- N is the TTI (in number of 10ms frames) of the FACH having the largest TTI on the SCCPCH selected by the UE according to the procedure in subclause 8.5.19. FACHs that only carry MBMS logical channels (MTCH, MSCH, or MCCH) are excluded from measurement occasion calculations.
- C_RNTI is the C-RNTI value of the UE stored in the variable C_RNTI
- M_REP is the Measurement Occasion cycle length. According to the equation above, a FACH Measurement Occasion of N frames will be repeated every N * M_REP frame, and M_REP = 2^k.

  where,

  - k is the FACH Measurement occasion cycle length coefficient.
    The value of the FACH Measurement occasion cycle length coefficient is read in system information in "System Information Block type 11" or "System Information Block type 12" in the IE "FACH measurement occasion info".
- n = 0,1,2… as long as SFN is below its maximum value

The UE is allowed to measure on other occasions in case the UE moves "out of service" area or in case it can simultaneously perform the ordered measurements.

A UE in TDD mode shall use the frame(s) with the SFN value fulfilling the above equation for neighbour cells measurements.

NOTE: For FDD, in order to meet the MBMS demodulation performance requirements [21], a UE receiving MBMS PTM may not be able use the entire measurement occasion.

8.5.12 Establishment of Access Service Classes

The PRACH resources (i.e. access slots and preamble signatures for FDD), timeslot (with specific frame allocation and channelisation code for 3.84 Mcps TDD and 7.68 Mcps TDD, and SYNC_UL codes (with specific frame allocation) for 1.28 Mcps TDD) may be divided between different Access Service Classes in order to provide different priorities of RACH usage. It is possible for more than one ASC or for all ASCs to be assigned to the same access slot/signature space in FDD or frame allocation/channelisation codes in 3.84 Mcps TDD or 7.68 Mcps TDD, or frame allocation/SYNC_UL codes in 1.28 Mcps TDD.

Access Service Classes shall be numbered in the range $0 \le i \le \text{NumASC} \le 7$ (i.e. the maximum number of ASCs is 8). An ASC is defined by an identifier, *i*, that defines a certain partition of the PRACH resources (SYNC_UL resources in 1.28 Mcps TDD) and an associated persistence value P_i. A set of ASC parameters consists of "NumASC+1" such parameters (i, P_i), $i = 0, \ldots, \text{NumASC}$.

PRACH partitions shall be established using the information element "PRACH partitioning". The persistence values P_i to be associated with each ASC shall be derived from the dynamic persistence level $N = 1,\ldots, 8$ which is broadcast in System Information Block 7, and the persistence scaling factors s_i, broadcast in System Information Block Type 5 or System Information Block type 5bis and possibly also in System Information Block Type 6, as follows:

$P(N) = 2^{-(N-1)}$

ASC # *i*	**0**	**1**	**2**	**3**	**4**	**5**	**6**	**7**
P_i	1	P(N)	s_2 P(N)	s_3 P(N)	s_4 P(N)	s_5 P(N)	s_6P(N)	s_7 P(N)

In addition, MBMS specific persistence values may be provided within the MBMS MODIFIED SERVICES INFORMATION message. The UE behaviour upon receiving upon receiving an MBMS dynamic persistence value is specified in subclause 8.6.9.1a.

Scaling factors s_i are provided optionally for $i = 2,\ldots,$ NumASC, where NumASC+1 is the number of ASCs as defined by PRACH partitioning. If no scaling factors are broadcast, default value 1 shall be used if NumASC ≥ 2.

If $k \ge 1$ scaling factors are broadcast and NumASC ≥ k+2 then the last scaling factor s_{k+1} shall be used as default for the ASCs where $i > k+1$.

The set of ASC parameters is provided to MAC with the CMAC-Config-REQ primitive (see [15]), the PRACH partitioning is provided to PHY using the CPHY-RL-Setup-REQ primitive (see [34]).

The ASC enumeration shall be such that it corresponds to the order of priority (ASC 0 = highest priority, ASC 7 = lowest priority). ASC 0 shall be used in case of Emergency Call or for reasons with equivalent priority.

ASCs are numbered according to the order in which the IEs "ASC Setting" appear in the IE "PRACH partitioning", where the first IE "ASC Setting" describes ASC 0, the second IE "ASC Setting" describes ASC 1, etc.

At radio bearer setup/reconfiguration each involved logical channel is assigned a MAC Logical channel Priority (MLP) in the range 1,…,8. When the MAC sublayer is configured for RACH transmission in the UE, these MLP levels shall be employed for ASC selection on MAC.

8.5.13 Mapping of Access Classes to Access Service Classes

Access Classes shall only be applied at initial access, i.e. when sending an RRC CONNECTION REQUEST message. A mapping between Access Class (AC) and Access Service Class (ASC) shall be indicated by the information element "AC-to-ASC mapping" in System Information Block type 5 or System Information Block type 5bis. The correspondence between AC and ASC shall be indicated as follows.

AC	0 - 9	10	11	12	13	14	15
ASC	1st IE	2nd IE	3rd IE	4th IE	5th IE	6th IE	7th IE

In the table, "n^{th} IE" designates an ASC number *i* in the range 0 - 7 to AC. If the ASC indicated by the "n^{th} IE" is undefined, the UE behaviour is unspecified.

For the random access, the parameters implied by the respective ASC shall be employed. In case the UE is member of several ACs it shall select the ASC for the highest AC number. In connected mode, AC shall not be applied.

8.5.14 PLMN Type Selection

Depending on UE configuration, the UE is operating in "ANSI-41 mode" or "GSM-MAP mode".

8.5.14a Neighbour cells list narrowing for cell reselection

While a UE is camping on a suitable cell, a UE having performed the PLMN identification of the neighbour cells as specified in subclause 8.1.1.6.18 shall narrow the cell list to be used for cell reselection ([4]) to those neighbour cells for which:

The PLMN identity is part of the PLMNs that can make a cell suitable as defined in [4].

8.5.15 CFN calculation

The DOFF used in the formulas in this clause concerns the value of IE "Default DPCH Offset Value" received in the message that instructs the UE to enter CELL_DCH state or to perform timing re-initialised hard handover.

Subclause 8.5.15.5 is used in FDD to initialise the CFN for MTCH and/or MSCH if the IE "MBMS Soft Combining Timing Offset" is included for an S-CCPCH in MBMS CURRENT CELL P-T-M RB INFORMATION or MBMS NEIGHBOURING CELL P-T-M RB INFORMATION, and if only MTCH and/or MSCH are on the S-CCPCH. Otherwise, subclauses 8.5.15.1 through 8.5.15.4 are used to intialise the CFN.

8.5.15.1 Initialisation for CELL_DCH state after state transition

When the UE receives any of the messages causing the UE to perform a state transition to CELL_DCH, the UE shall set the CFN in relation to the SFN of the first radio link listed in the IE "Downlink information per radio link list" included in that message according to the following formula:

- for FDD:

$$CFN = (SFN - (DOFF \text{ div } 38400)) \bmod 256$$

where the formula gives the CFN of the downlink DPCH or F-DPCH frame which starts at the same time as or which starts during the PCCPCH frame with the given SFN. DOFF is determined according to subclause 8.6.6.14.

- for TDD:

$$CFN = (SFN - DOFF) \bmod 256.$$

8.5.15.2 Initialisation in CELL_DCH state at hard handover

When the UE is in CELL_DCH state and receives any of the messages causing the UE to perform a hard handover, the UE shall check the IE "Timing indication" in that message and:

1> if IE "Timing indication" has the value "initialise" (i.e. timing re-initialised hard handover):

2> read SFN on target cell identified by the first radio link listed in the IE "Downlink information per radio link list" included in that message;

2> set the CFN according to the following formula:

3> for FDD:

$$CFN = (SFN - (DOFF \text{ div } 38400)) \bmod 256$$

where the formula gives the CFN of the downlink DPCH or F-DPCH frame which starts at the same time as or which starts during the PCCPCH frame with the given SFN.

3> for TDD:

$$CFN = (SFN - DOFF) \bmod 256.$$

1> if IE "Timing indication" has the value "maintain" (i.e. timing-maintained hard handover), the UE shall keep CFN with no change due to the hard handover, and only increase CFN (mod 256) by 1 every frame.

8.5.15.3 Initialisation for CELL_FACH

Unless the conditions of subclause 8.15.5.5 are met, when the UE performs cell selection, re-selection or changes to CELL_FACH state the UE shall set CFN for all common or shared channels according to:

$$CFN = SFN \bmod 256$$

where the formula gives the CFN of the downlink common or shared channel frame which starts at the same time as or which starts during the PCCPCH frame with the given SFN.

After the initialisation, the CFN in the UE is increased (mod 256) by 1 every frame.

8.5.15.4 Initialisation after intersystem handover to UTRAN

Upon inter RAT handover to UTRAN the UE shall, regardless of the value received within IE "Timing indication" (if received):

1> read SFN on target cell and set the CFN according to the following formula:

2> for FDD:

$$CFN = (SFN - (DOFF \text{ div } 38400)) \bmod 256$$

where the formula gives the CFN of the downlink DPCH frame which starts at the same time as or which starts during the PCCPCH frame with the given SFN.

2> for TDD:

$$CFN = (SFN - DOFF) \bmod 256.$$

8.5.15.5 Initialisation for MTCH and/or MSCH carried on S-CCPCH that may be soft combined

For FDD, if the IE "MBMS Soft Combining Timing Offset" is included for an S-CCPCH in MBMS CURRENT CELL P-T-M RB INFORMATION or MBMS NEIGHBOURING CELL P-T-M RB INFORMATION, and if only MTCH and/or MSCH are on the S-CCPCH, the UE shall set CFN for the S-CCPCH according to:

$$CFN = (SFN - (SCTO \text{ div } 10ms)) \bmod 256$$

where the formula gives the CFN of the downlink S-CCPCH frame which starts at the same time as or which starts during the PCCPCH frame with the given SFN.

the SCTO used in the formula is the IE "MBMS Soft Combining Timing Offset".

After the initialisation, the CFN in the UE is increased (mod 256) by 1 every frame.

8.5.16 Configuration of CTCH occasions

The CTCH, carrying CBS data is mapped onto only one S-CCPCH. If more than one CTCH is defined, the first CTCH that is configured in the list of S-CCPCHs is the one that is used for CBS data. If the UE is in connected mode it shall ignore any CTCH configuration contained in System Information Block type 6 and use the CTCH configuration contained in System Information Block 5.

The CTCH occasions are identified by the first radio frame of the TTI that can contain CTCH data. The CTCH occasions are fixed on the system frame number cycle 0 .. 4095 (i.e. no modulo calculation) and thus repeated cyclically.

The CTCH occasions are determined by a set of parameters.

M_{TTI}: number of radio frames within the TTI of the FACH used for CTCH

N: period of CTCH allocation on S-CCPCH, integer number of radio frames,
$M_{TTI} \le N \le 256$, where N is a multiple of M_{TTI} (see [27] and [31]).

MaxSFN: maximum system frame number = 4095 (see [10]).

K: CBS frame offset, integer number of radio frames $0 \le K \le N-1$ where K is a multiple of M_{TTI} .

The CTCH occasions are calculated as follows:

$$SFN = (K + m\ N),\ m = 0, 1, ..., M, \text{ with M chosen that } K+MN \le MaxSFN.$$

The parameters N and K are broadcast as system information.

If the IE "Period of BMC scheduling messages (P)" is included in System Information Block type 5 or System Information Block type 5bis then BMC Schedule Messages are transmitted periodically every P CTCH occasions. One BMC Schedule Message may be segmented across more than one CTCH occasion. The CTCH occasions that contain the start of the BMC Schedule Messages are calculated as follows:

$$SFN = (K + m\ P\ N), \text{ where m is an integer and } 0 \le SFN \le MaxSFN$$

If the IE "Period of BMC scheduling messages (P)" is not included in system information block type 5 then BMC Schedule Messages could be transmitted in any CTCH occasion.

8.5.17 PRACH selection

For this version of the specification, when a UE selects a cell, the uplink frequency to be used for the initial PRACH transmission shall have a default duplex frequency spacing offset from the downlink frequency that the cell was selected on. The default duplex frequency separation to be used by the UE is specified in [21] for each frequency band (for FDD only).

NOTE: The PRACH selection scheme assumes that all PRACHs configured in System Information Block type 5, System Information Block type 5bis and System Information Block type 6 support all (implicitly or explicitly) configurable RLC sizes of the cell, i.e. at least the transport formats corresponding to a single transport block of each applicable RLC size of the cell must be defined for each PRACH.

The UE shall select a "PRACH system information" according to the following rule. The UE shall:

1> select a "PRACH system information" from the ones indicated in the IE "PRACH system information list" in System Information Block type 5 or in System Information Block type 5bis (applicable in Idle Mode and Connected Mode) or System Information Block type 6 (applicable in Connected Mode only), as follows:

2> if in connected mode and System Information Block type 6 is defined and includes PRACH info:

3> compile a list of candidate PRACHs that consists of the PRACH system information listed in System Information Block 6, in the order of appearance as in System Information Block 6.

2>otherwise:

3> compile a list of candidate PRACHs that consists of the PRACH system information listed in System Information Block 5 or in System Information Block 5bis, in the order of appearance as in System Information Block 5 or in System Information Block 5bis, respectively.

2> in FDD:

3> perform RACH TTI selection as specified in subclause 8.5.18.1.

2> in 1.28 Mcps TDD:

3> perform RACH TTI selection according to subclause 8.5.18.2.

2> remove from the list of candidate PRACHs those PRACHs that have a TTI length different from the selected value;

2> select a PRACH randomly from the list of candidate PRACHs as follows:

"Index of selected PRACH" = floor (rand * K)

where K is equal to the number of candidate PRACH system informations, "rand" is a random number uniformly distributed in the range $0 \leq rand < 1$ and "floor" refers to rounding down to nearest integer. The candidate PRACH system informations shall be indexed from 0 to K-1. The random number generator is left to implementation. The scheme shall be implemented such that one of the available PRACH system informations is randomly selected with uniform probability. At start-up of the random number generator in the UE the seed shall be dependent on the IMSI of the UE or time, thereby avoiding that all UEs select the same RACH;

2> use the TFCS of the selected PRACH when performing TFC selection (see [15]);

2> reselect the PRACH system information when a new cell is selected. RACH reselection may also be performed after each transmission of a Transport Block Set on RACH.

1> for emergency call, the UE is allowed to select any of the available PRACH system informations.

After selecting a PRACH system information, the RRC in the UE shall configure the MAC and the physical layer for the RACH access according to the parameters included in the selected "PRACH system information" IE.

8.5.18 Selection of RACH TTI

8.5.18.1 FDD

In FDD mode, a RACH may employ either 10 or 20 ms TTI. The supported TTI is indicated as a semi-static parameter of the RACH Transport Format in system information. The UE shall select an appropriate TTI length from the RACHs included in the list of candidate PRACH(s) according to the following rule.

The UE shall:

1> if only RACHs with one particular TTI length are included in the list of candidate PRACH(s):

2> select this TTI length and proceed as specified in subclause 8.5.17.

1> if both PRACHs with 10ms and 20ms TTI lengths are included in the list of candidate PRACH(s):

2> perform TTI selection as follows:

3> when the UE calculates the initial preamble transmit power ("Preamble_Initial_Power") as specified in subclause 8.5.7:

4> select a TF to be employed for calculation of a transmit power margin as follows:

5> from the TFs supported by all candidate PRACHs keep those which correspond to a single transport block of all configured RLC sizes (i.e., in idle mode, the RLC size applicable for RB0, in connected mode, the RLC sizes configured with explicit "RB mapping info"). If more than a single TF remain applicable, the UE may select any of these. Preferably the UE should select the TF which is intended to be used at the next transmission or, if such information is not available, the TF corresponding to the largest configured RLC size.

4> calculate a transmit power margin,

$$\text{Margin} = \{\min(\text{Maximum allowed UL tx power}, P\_MAX) - \max(\text{Preamble\_Initial\_Power}, \text{Preamble\_Initial\_Power} + \Delta Pp\text{-}m + 10*\log_{10}(1 + (\beta_d/\beta_c)^2)\}$$

where "Maximum allowed UL tx power" is the maximum allowed uplink transmit power indicated in system information (in dBm), and P_MAX is the maximum RF output power of the UE (dBm). The margin shall be calculated for the gain factors β_d and β_c of the TF selected in the step above, using 10ms TTI length.

NOTE 1: the expression Preamble_Initial_Power + $\Delta Pp\text{-}m + 10*\log_{10}(1 + (\beta_d/\beta_c)^2)$ represents the total RACH message power if the message would be sent after the initial preamble.

NOTE 2: For all PRACHs with the same TTI the UTRAN should set each of the IEs "Primary CPICH TX power", "Constant value" to the same value, and within these PRACH configurations, the UTRAN should, for all TFs including a single TB, set each of the IEs "Gain Factor β_c", "Gain Factor β_d" and "Power offset P $_{p\text{-}m}$" to the same value. If these guidelines are not followed, the UE behaviour is unspecified.

3> if the resulting "Margin" value is less than 6 dB:

4> select RACH with 20 ms TTI, and proceed as specified in subclause 8.5.17.

3> otherwise, if the last L1 message transmission on PRACH failed (see [15]):

4> the UE may select RACH with 20ms TTI length and proceed as specified in subclause 8.5.17.

3> otherwise:

4> select RACH with 10ms TTI length and proceed as specified in subclause 8.5.17.

8.5.18.2 1.28 Mcps TDD

In 1.28 Mcps TDD, a RACH may be assigned a 5, 10 or 20 ms TTI. If, in one cell, more than one RACH is defined a UE shall select the RACH that is to be used for each transmission according to the following rule:

1> if only RACHs with one particular TTI length are assigned a transport format that is suitable for the transmission of the transport block set:

2> select this RACH's TTI length.

1> if more than one RACHs are assigned a transport format that is suitable for the transmission of the transport block set:

2> select the longest of the TTI lengths of these RACHs.

8.5.19 Secondary CCPCH selection

In UTRAN Connected mode, the UE shall select the Secondary CCPCH according to the following rules:

1> in Cell_DCH state:

2> select Secondary CCPCH according to subclause 8.6.6.4.

1> in Cell_FACH state:

2> if System Information Block type 6 is defined and includes one or more SCCPCH that carry a FACH, compile a list of candidate SCCPCH that consists of these SCCPCH, in the order of appearance in System Information Block type 6.

NOTE 1: An SCCPCH carries a FACH if the size of the "FACH/PCH information" list within the IE "Secondary CCPCH system information" exceeds 1 or if the size of this list equals 1 while IE "Secondary CCPCH system information" does not contain an IE "PICH info".

2> otherwise:

3> compile a list of candidate SCCPCH that consists of the SCCPCH(s) included in System Information Block type 5 or System Information Block type 5bis that carry a FACH, in the order of appearance in System Information Block type 5 or System Information Block type 5bis.

2> select an SCCPCH from the list of candidate SCCPCHs based on U-RNTI as follows:

"Index of selected SCCPCH" = U-RNTI mod K,

where K is equal to the number of candidate SCCPCHs.

1> in Cell_PCH and URA_PCH states:

2> if System Information Block type 6 is defined and includes one or more SCCPCH that carry a PCH, compile a list of candidate SCCPCH that consists of these SCCPCH, in the order of appearance in System Information Block type 6

NOTE 2: An SCCPCH carries a PCH if the IE "Secondary CCPCH system information" contains IE "PICH info"

2> otherwise compile a list of candidate SCCPCH that consists of the SCCPCH(s) included in System Information Block type 5 or System Information Block type 5bis that that carry a PCH , in the order of appearance in System Information Block type 5 or System Information Block type 5bis;

2> select an SCCPCH from the list of candidate SCCPCHs based on U-RNTI as follows:

"Index of selected SCCPCH" = U-RNTI mod K,

where K is equal to the number of candidate SCCPCHs.

The UE shall set the CFN in relation to the SFN of the current cell according to subclause 8.5.15.

The UE shall decode all transport formats on all FACHs multiplexed on the selected S-CCPCH according to its UE capability, as defined in subclauses 8.1.1.6.5 and 8.1.1.6.6, to find blocks adressed to the UE.

8.5.19a Secondary CCPCH and FACH selection for MCCH reception

The UE shall select the Secondary CCPCH for acquiring MCCH information according to the following rules:

1> if System Information Block type 5 or System Information Block type 5bis is defined and includes an S-CCPCH within the IE "Secondary CCPCH system information" including a FACH for which the IE "MCCH configuration information" is included:

2> select that S-CCPCH and FACH for receiving MCCH.

1> otherwise if System Information Block type 5 or System Information Block type 5bis is defined and includes an SCCPCH within the IE "Secondary CCPCH system information MBMS" for which the IE "FACH carrying MCCH" is included:

2> select that S-CCPCH and FACH for receiving MCCH.

8.5.20 Unsupported configuration

The UE should set the variable UNSUPPORTED_CONFIGURATION to TRUE if the received message is not according to the UE capabilities.

8.5.21 Actions related to Radio Bearer mapping

When the UE receives the IE "RB mapping info" and/or the IE "Transport format set", when transport channels, MAC-d flows or E-DCH MAC-d flows are added or deleted, when the UE performs a cell reselection or a state transition, or when the UE releases a RB, the UE shall for each of the configured Radio Bearers:

1> upon moving to CELL_FACH state from CELL_DCH state to initiate a cell update procedure and upon subsequent cell reselections until the first successfully completed cell update procedure, only perform the actions defined in the remainder of this subclause after reception of the CELL UPDATE CONFIRM message;

1> for FDD, select the multiplexing option according to the following:

2> if the UE is in CELL_FACH state:

3> if the RB has a multiplexing option with transport channel type "FACH" for the DL and transport channel type "RACH" for the UL:

4> select this multiplexing option.

2> if the UE is in CELL_DCH state:

3> if the RB has a multiplexing option with transport channel type "DCH + HS-DSCH" for the DL, and both the corresponding DCH transport channel and MAC-d flow are configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH + HS-DSCH" for the DL, and both the corresponding DCH transport channel and MAC-d flow are configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH + DSCH" for the DL:

4> the UE behaviour is unspecified; else

3> if the RB has a multiplexing option with transport channel type "HS-DSCH" for the DL, and the corresponding MAC-d flow is configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "HS-DSCH" for the DL, and the corresponding MAC-d flow is configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DSCH" for the DL:

4> the UE behaviour is unspecified; else

3> if the RB has a multiplexing option with transport channel type "DSCH" for the DL, and the corresponding DSCH transport channel is configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH" for the DL, and the corresponding DCH transport channel is configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH" for the DL, and the corresponding DCH transport channel is configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option.

1> for TDD, select the multiplexing option according to the following:

2> if the UE is in CELL_FACH state:

3> if the RB has the multiplexing options with the transport channel types "FACH" and "DSCH" for the DL, and the corresponding FACH and DSCH transport channels are configured, and with the transport channel types "RACH" and "USCH" for the UL, and the corresponding RACH and USCH transport channels are configured:

4> if both PUSCH and PDSCH are allocated:

5> select the multiplexing option "DSCH" for DL and "USCH" for UL; else

4> if only PUSCH is allocated:

5> select the multiplexing option "FACH" for DL and "USCH" for UL; else

4> if only PDSCH is allocated:

5> select the multiplexing option "DSCH" for DL and "RACH" for UL; else

4> if neither PUSCH nor PDSCH is allocated:

5> select the multiplexing option "FACH" for DL and "RACH" for UL.

3> if the RB has a single multiplexing option with the transport channel type "FACH" for the DL and the transport channel type "RACH" for the UL:

4> select this multiplexing option; else

3> if the RB has a single multiplexing option with the transport channel type "DSCH" for the DL, and the corresponding DSCH tranfsport channel is configured, and with the transport channel type "USCH" for the UL, and the corresponding USCH transport channel is configured:

4> select this multiplexing option; else

2> if the UE is in CELL_DCH state:

3> if the RB has a multiplexing option with transport channel type "DCH + HS-DSCH" for the DL, and both the corresponding DCH transport channel and MAC-d flow are configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH + HS-DSCH" for the DL, and both the corresponding DCH transport channel and MAC-d flow are configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH + DSCH" for the DL, and both the corresponding DCH and DSCH transport channels are configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "HS-DSCH" for the DL, and the corresponding MAC-d flow is configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "HS-DSCH" for the DL, and the corresponding MAC-d flow is configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH" for the DL, and the corresponding DCH transport channel is configured, and with transport channel type "E-DCH" for the UL, and the corresponding E-DCH MAC-d flow is configured:

4> select this multiplexing option; else

3> if the RB has a multiplexing option with transport channel type "DCH" for the DL, and the corresponding DCH transport channel is configured, and with transport channel type "DCH" for the UL, and the corresponding DCH transport channel is configured:

4> select this multiplexing option; else

3> if theRB has a multiplexing option with transport channel type "DSCH" for the DL, and the corresponding DSCH transport channel is configured, and with transport channel "USCH" for the UL, and the corresponding USCH transport channel is configured:

4> select this multiplexing option.

1> configure the MAC with the appropriate transport format set (with computed transport block sizes) for the transport channel used by that RB;

1> in case the selected multiplexing option is a multiplexing option on E-DCH:

2> the set of RLC sizes that apply to the logical channel used by that RB consists of all RLC PDU sizes listed in the IE "RLC PDU size list" in the RB mapping info for E-DCH.

1> else:

2> determine the sets of RLC sizes that apply to the logical channels used by that RB, based on the IEs "RLC size list" and/or the IEs "Logical Channel List" included in the applicable "Transport format set" (either the ones received in the same message or the ones stored if none were received);

1> in case the selected multiplexing option is a multiplexing option on RACH:

2> ignore the RLC size indexes that do not correspond to any RLC size within the Transport Format Set stored for RACH.

2> if there is no remaining RLC size index corresponding to an RLC size within the Transport Format Set stored for RACH:

3> set the variable INVALID_CONFIGURATION to TRUE.

1> if RACH is the transport channel to be used on the uplink, if that RB has a multiplexing option on RACH and if it is using AM:

2> apply the largest size amongst the ones derived according to the previous bullet for the RLC size (or RLC sizes in case the RB is realised using two logical channels) for the corresponding RLC entity.

NOTE: The IE "RB mapping info" is only included in the IE "Predefined RB configurations" in system information when used for Inter-RAT handover to UTRAN and there is no AM RLC size change involved in this case.

1> if that RB is using AM and the RLC size applicable to the uplink logical channel transporting data PDUs is different from the one derived from the previously stored configuration; and

1> none of the following conditions is met:

- the RLC size change is caused by a CELL UPDATE CONFIRM and the CELL UPDATE CONFIRM message includes the IE "Downlink counter synchronisation info".
- the RLC size change is caused by a reconfiguration message, and a cell update procedure occurs during the reconfiguration procedure and the CELL UPDATE CONFIRM message includes the IE "Downlink counter synchronisation info".
- the RLC size change is caused by a reconfiguration message, and a cell update procedure occurs during this reconfiguration procedure and the CELL UPDATE CONFIRM message includes the IE "RLC re-establish indicator" being set to TRUE for the corresponding radio bearer.

2> if the RLC size change is caused by a reconfiguration message or a CELL UPDATE CONFIRM; and

2> the IE "one sided RLC re-establishment" is included in that message and is set to TRUE:

3> re-establish the transmitting side of the corresponding RLC entity.

2> else:

3> re-establish the corresponding RLC entity.

2> configure the corresponding RLC entity with the new uplink RLC size;

2> for each AM RLC radio bearer in the CN domain as indicated in the IE "CN domain identity" in the IE "RAB info" in the variable ESTABLISHED_RABS whose RLC size is changed; and

2> for each AM RLC signalling radio bearer in the CN domain as indicated in the IE "CN domain identity" in the variable LATEST_CONFIGURED_CN_DOMAIN whose RLC size is changed:

3> if the IE "Status" in the variable CIPHERING_STATUS of this CN domain is set to "Started":

4> if the information causing the RLC re-establishment was included in system information:

5> set the HFN values for the corresponding RLC entity equal to the value of the IE "START" for this CN domain that will be included in the CELL UPDATE message following cell reselection.

NOTE: Since the UE cannot predict the START value at the time of the next CELL UPDATE transmission in the future, UTRAN should desist from changing the RLC size for a signalling radio bearer within a cell. Other than this case the change in RLC size for a signalling radio bearer is known to the UE when reading system information following cell reselection.

4> if the RLC re-establishment is caused by a CELL UPDATE CONFIRM:

5> if the whole RLC entity was re-established:

6> set the HFN values for the corresponding RLC entity in uplink and downlink equal to the value of the IE "START" included in the latest transmitted CELL UPDATE message for this CN domain.

5> if only the transmitting side of the RLC entity was re-established:

6> set the HFN value for the corresponding RLC entity in the uplink equal to the value of the IE "START" included in the latest transmitted CELL UPDATE message for this CN domain.

4> if the RLC re-establishment is caused by a reconfiguration message:

5> if the whole RLC entity was re-established:

6> set the HFN values for the corresponding RLC entity in uplink and downlink equal to the value of the IE "START" that will be included in the reconfiguration complete message for this CN domain.

5> if only the transmitting side of the RLC entity was re-established:

6> set the HFN value for the corresponding RLC entity in the direction uplink equal to the value of the IE "START" that will be included in the reconfiguration complete message for this CN domain.

NOTE1: If the UTRAN modifies the RLC size for RB2 on any reconfiguration message or Cell Update Confirm message, the UE behaviour is unspecified in this version of the specification.

NOTE2: The UE cannot rely on the configured Transport Formats to determine the RLC sizes to be used in downlink for a particular logical channel. This size can be signalled explicitly in the RLC Info IE.

1> if that RB is using UM:

2> indicate the largest RLC size applicable for uplink to the corresponding RLC entity.

1> configure MAC multiplexing according to the selected multiplexing option (MAC multiplexing shall only be configured for a logical channel if the transport channel it is mapped on according to the selected multiplexing option is the same as the transport channel another logical channel is mapped on according to the multiplexing option selected for it);

1> configure the MAC with the logical channel priorities according to selected multiplexing option;

1> configure the MAC with the set of applicable RLC Sizes for each of the logical channels used for that RB;

1> if there is no multiplexing option applicable for the transport channels and MAC-d flows to be used:

2> set the variable INVALID_CONFIGURATION to TRUE.

1> if there is more than one multiplexing option applicable for the transport channels or MAC-d flows to be used:

2> set the variable INVALID_CONFIGURATION to TRUE.

If upon cell re-selection or upon moving to CELL_FACH state from CELL_DCH state to initiate cell update procedure the UE sets variable INVALID_CONFIGURATION to TRUE as a result of the actions defined in this subclause, the UE should:

1> move to idle mode;

1> release (locally) the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and the established radio access bearers (as stored in the variable ESTABLISHED_RABS) and indicate this to upper layers;

1> perform other actions when entering idle mode from connected mode as specified in subclause 8.5.2.

8.5.22 Actions when entering another RAT from connected mode

NOTE: This section does not apply when entering GERAN Iu mode from UTRAN connected mode.

When entering another RAT from connected mode (due to Inter-RAT handover from UTRAN, Inter-RAT cell change order from UTRAN or Inter-RAT cell reselection from UTRAN), after successful completion of the procedure causing the transition to the other RAT, the UE shall:

1> if the USIM is present, for each CN domain:

2> if a new security key set was received for this CN domain but was not used either for integrity protection or ciphering during this RRC connection:

3> set the START value for this domain to zero and;

3> store this START value for this domain in the USIM;

2> else:

3> store the current START value for every CN domain in the USIM [50].

NOTE: Prior to storing the START value, the UE should calculate this START value according to subclause 8.5.9.

1> if the SIM is present, for each CN domain:

2> if a new security key was received for this CN domain but was not used either for integrity protection or ciphering during this RRC connection:

3> set the START value for this domain to zero and;

3> store this START value for this domain in the UE.

2> else:

3> store the current START value for this CN domain in the UE.

NOTE: Prior to storing the START value, the UE should calculate this START value according to subclause 8.5.9.

8.5.23 Measured results on RACH

When transmitting an uplink RRC message, the UE shall:

1> if the uplink RRC message is an RRC CONNECTION REQUEST message:

2> if the IE "Intra-frequency reporting quantity for RACH reporting" and the IE "Maximum number of reported cells on RACH" are included in System Information Block type 11:

3> include a measurement report in the IE "Measured results on RACH", as specified in the IE "Intra-frequency reporting quantity for RACH reporting" and the IE "Maximum number of reported cells on RACH" in System Information Block type 11.

2> if the IE "Inter-frequency RACH reporting information" is included in System Information Block type 11:

3> if, at the time the message is to be sent, valid measurements are available; and

3> there is one or more cells for which the quantity, indicated by the IE "Reporting quantity" in the IE "Inter-frequency RACH reporting information", exceeds the threshold specified by the IE "Inter-frequency RACH reporting threshold":

4> include a measurement report in the IE "Measured results on RACH";

4> include the cells for which the quantity, indicated by the IE "Reporting quantity" in the IE "Inter-frequency RACH reporting information", exceeds the threshold specified by the IE "Inter-frequency RACH reporting threshold";

4> set the IE "Inter-frequency cell indication- SIB11" to the following value: Value_Tag MOD 2, with Value_Tag corresponding to the value tag of System Information Block Type 11;

4> set the IE "Inter-frequency cell indication- SIB12" to any value.

1> for any other uplink RRC message which optionally includes the IE "Measured results on RACH":

2> if the IE "Intra-frequency reporting quantity for RACH reporting" and the IE "Maximum number of reported cells on RACH" are included in System Information Block type 12 (or "System Information Block Type 11", if these IEs are not included in the broadcast "System Information Block Type 12" or "System Information Block Type 12" is not being broadcast).

3> include a measurement report in the IE "Measured results on RACH", as specified in the IE "Intra-frequency reporting quantity for RACH reporting" and the IE "Maximum number of reported cells on RACH" in System Information Block type 12 (or "System Information Block Type 11" if these IEs are not included in the broadcast "System Information Block Type 12" or "System Information Block Type 12" is not being broadcast).

2> if the IE "Inter-frequency RACH reporting information" is included in "System Information Block type 12" (or "System Information Block Type 11" if this IE is not included in the "System Information Block Type 12" or if "System Information Block Type 12" is not being broadcast):

3> if, at the time the message is to be sent, valid measurements are available; and

3> there is one or more cells for which the quantity, indicated by the IE "Reporting quantity" in the IE "Inter-frequency RACH reporting information", exceeds the threshold specified by the IE "Inter-frequency RACH reporting threshold":

4> include a measurement report in the IE "Measured results on RACH";

4> include the cells for which the quantity, indicated by the IE "Reporting quantity" in the IE "Inter-frequency RACH reporting information", exceeds the threshold specified by the IE "Inter-frequency RACH reporting threshold";

4> set the IE "Inter-frequency cell indication- SIB11" to the following value: Value_Tag MOD 2, with Value_Tag corresponding to the value tag of System Information Block Type 11;

4> if "System Information Block Type 12" is being broadcast:

5> set the IE "Inter-frequency cell indication- SIB12" to the following value: Value_Tag MOD 2, with Value_Tag corresponding to the value tag of System Information Block Type 12.

4> else:

5> set the IE "Inter-frequency cell indication- SIB12" to any value.

1> include in the IE "Measured results on RACH" all requested reporting quantities for cells for which measurements are reported.

NOTE: The UE only includes measurement results for neighbour cells for which valid measurements are available at the time the message is sent. At cell access following selection or reselection to a cell, the UE may not have had sufficient time to obtain valid measurement results for neighbour cells.

1> for messages transmitted on CCCH, take care that the maximum allowed message size is not exceeded when forming the IE "Measured results on RACH", i.e. limit the number of included neighbour cells or if required omit the IE "Measured results on RACH" altogether. When limiting the number of included neighbouring cells, the number of inter-frequency cells should be limited first i.e. inter-frequency cells should be omitted before limiting the number of intra- frequency cells.

If the IE "Measured results on RACH" is present in the message, the UTRAN should extract the contents to be used for radio resource control.

8.5.24 Change of PLMN while in RRC connected mode

If the UE camps on an acceptable cell to obtain limited service while in RRC connected mode the UE shall:

1> keep the RRC connection and its behaviour, while camping on an acceptable cell as if in Idle mode in that PLMN;

1> if the UE re-enters "in service area" in a suitable cell, or cannot maintain limited service (i.e. cannot find any acceptable cell of any PLMN), the UE shall resume its RRC Connected mode behaviour as if it had not camped on any cell whilst being in "out of service area".

The UE shall:

1> if the NAS indicates the selection of a new PLMN resulting from manual- or automatic mode PLMN selection [25] while the UE is in RRC connected mode; or

1> if the UE attempts transmission on an acceptable cell while the UE is in RRC connected mode (i.e. to initiate emergency call), the UE shall:

2> move to idle mode;

2> release all dedicated resources;

2> indicate release (abort) of the established signalling connections (as stored in the variable ESTABLISHED_SIGNALLING_CONNECTIONS) and established radio access bearers (as stored in the variable ESTABLISHED_RABS) to upper layers;

2> clear the variable ESTABLISHED_SIGNALLING_CONNECTIONS;

2> clear the variable ESTABLISHED_RABS; and

2> perform actions specified in subclause 8.5.2 when entering idle mode from connected mode.

NOTE: NAS can inform AS about a new selected PLMN as a result of a PLMN selection (manual- or automatic mode PLMN selection (see [25])), or as a result of network signalling (after inter-RAT handover or inter-PLMN SRNS relocation). Only in the first case (manual- or automatic mode PLMN selection), this will result in an immediate RRC connection release.

8.5.25 Actions related to HS_DSCH_RECEPTION variable

The variable HS_DSCH_RECEPTION shall be set to "TRUE" only when all the following conditions are met:

1> for FDD and 1.28 Mcps TDD:

2> the UE is in CELL_DCH state.

1> for 3.84 Mcps TDD or 7.68 Mcps TDD:

2> a dedicated physical channel is allocated to the UE in the uplink.

1> the variable H_RNTI is set;

1> the UE has a stored IE "HS-SCCH info";

1> the UE has a stored IE "HARQ info";

1> for FDD:

2> one of the radio links in the active set is configured as the serving HS-DSCH radio link;

2> the UE has stored the following IEs:

- IE "Measurement Feedback Info";
- IE "Uplink DPCH Power Control Info" including stored Δ_{ACK}, Δ_{NACK} and Ack-NACK Repetition factor.

1> for 3.84 Mcps TDD or 7.68 Mcps TDD, the UE has stored the IE "HS-PDSCH Timeslot Configuration" and either of the following conditions are met:

2> a dedicated physical channel is allocated to the UE in the downlink;

2> the UE has stored $D_{hs\text{-}sync}$.

1> for 1.28 Mcps TDD, the UE has stored the IE "HS-PDSCH Midamble Configuration" and either of the following conditions are met:

2> a dedicated physical channel is allocated to the UE in the downlink;

2> the UE has stored "PLCCH Info".

1> there is at least one RB mapped to HS-DSCH;

1> at least for one of the RB's mapped to HS-DSCH, there is at least one MAC-hs queue (including the IE "MAC-d PDU size Info") configured for the concerning MAC-d flow;

NOTE 1: To enable or disable HS-DSCH reception, the UTRAN has the possibility to add/remove the concerning HS-DSCH related RB mapping options, add/remove the concerning MAC-d flows or, for FDD, add/remove the serving HS-DSCH radio link or, for TDD add/remove H-RNTI upon hard handover.

NOTE 2: If HS_DSCH_RECEPTION is set to "TRUE" and a reconfiguration, an inter-RAT handover from UTRAN, or a cell change order procedure is initiated, the UE checks the conditions only when the reconfiguration, inter-RAT handover from UTRAN, or cell change order procedure is successfully completed. Doing so ensures that, in case of failure in the reconfiguration, inter-RAT handover from UTRAN, or cell change order procedure, the UE can return to the old configuration as if the message was not received, e.g. without performing a MAC-HS reset.

If any of the above conditions is not met and the variable HS_DSCH_RECEPTION is set to TRUE, the UE shall:

1> set the variable HS_DSCH_RECEPTION to FALSE;

1> stop any HS_SCCH reception procedures;

1> stop any HS-DSCH reception procedures;

1> clear the variable H_RNTI and remove any stored H-RNTI;

1> reset the MAC-hs entity [15];

1> release all HARQ resources;

1> no long consider any radio link to be the HS-DSCH serving radio link;

1> for 3.84 Mcps TDD or 7.68 Mcps TDD, if no downlink DPCH is assigned the UE shall clear the uplink DPCH configuration and initiate the Cell Update procedure according to subclause 8.3.1, cause "radio link failure".

NOTE 3: If configured for HS-DSCH and not explicitly indicated as being cleared, the UE will have still stored the IEs "HARQ info", "Added or Reconfigured MAC-d flow", "RB mapping Info" and "Downlink HS-PDSCH information".

Whenever the variable HS_DSCH_RECEPTION is set to TRUE, the UE shall:

1> perform HS_SCCH reception procedures according to the stored HS-SCCH configuration as stated in:

2> subclause 8.6.6.33 for the IE "HS-SCCH Info".

1> perform HS-DSCH reception procedures according to the stored HS-PDSCH configuration as stated in:

2> subclause 8.6.3.1b for the IE "H-RNTI";

2> subclause 8.6.5.6b for the IE "HARQ info";

2> subclause 8.6.6.34 for the IE "Measurement Feedback Info".

Whenever the variable HS_DSCH_RECEPTION is set to FALSE, the UE shall:

1> not perform HS_SCCH reception procedures;

1> not perform HS-DSCH reception procedures.

8.5.26 Service prioritisation

If the UE detects an MBMS service reception inability as specified in subclause 8.5.30, the UE may:

1> request upper layers to prioritise the services and to initiate release of non- prioritised services that may cause interruption in the reception of the prioritised services;

1> if reception of the prioritised MBMS service is inhibited by one or more MBMS service(s) provided via a p-t-p radio bearer:

2> request UTRAN to terminate these MBMS service(s) using the MBMS MODIFICATION REQUEST message as specified in subclause 8.7.6.

NOTE: The termination of MBMS services is performed by RRC procedures, while clearing of non- MBMS services is performed by upper layers.

8.5.27 MBMS frequency selection

The UE shall perform the MBMS frequency layer selection procedure upon receiving the IE "MBMS Preferred frequency information", when specified explicitly e.g. as in subclause 8.6.9.2, or when the preferred MBMS service changes.

The UE shall:

1> if there exist two or more preferred frequencies for services included in variable MBMS_ACTIVATED_SERVICES:

2> request from upper layers the priorities of the different MBMS services included in variable MBMS_ACTIVATED_SERVICES for which a preferred frequency has been received.

1> if the UE is in idle mode:

2> if a preferred frequency layer applies for a service included in variable MBMS_ACTIVATED_SERVICES:

3> select the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists as the preferred frequency.

1> if the UE is in CELL_FACH, CELL_PCH or URA_PCH state; and

1> if there exists one or more preferred frequencies for services included in variable MBMS_ACTIVATED_SERVICES and the variable MBMS_PL_SERVICE_RESTRICTION_INFO_DEDICATED is set to FALSE:

2> if the IE "RAB information" in the variable ESTABLISHED_RABS is not empty:

3> if the current frequency is the frequency corresponding with the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists:

4> select the current frequency as the preferred frequency.

3> else:

4> if there exists one or more preferred frequencies for services included in variable MBMS_ACTIVATED_SERVICES for which the IE "MBMS PL Service Restriction Information" has not been received in the MBMS GENERAL INFORMATION message:

5> select the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists for which the IE "MBMS PL Service Restriction Information" has not been received in the MBMS GENERAL INFORMATION message as the preferred frequency.

2> else:

3> select the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists as the preferred frequency.

1> if the UE is in CELL_DCH:

2> if there exists one or more preferred frequencies for services included in variable MBMS_ACTIVATED_SERVICES and the variable MBMS_PL_SERVICE_RESTRICTION_INFO_DEDICATED is set to FALSE:

3> if the current frequency does not correspond to the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists:

4> select as preferred frequency the preferred frequency indicated for the MBMS service(s) prioritised most by upper layers for which a preferred frequency exists for which the IE "MBMS PL Service Restriction Information" is not included in the MBMS GENERAL INFORMATION message;

4> if a preferred frequency has been selected and the current frequency is different from the selected frequency:

5> request UTRAN to be moved to the preferred frequency by means of the MBMS MODIFICATION REQUEST message as specified in subclause 8.7.6;

5> upon receiving a request to move to the requested preferred frequency, store the frequency information of the frequency on which the UE was operating prior to the hard-handover to the preferred frequency in the variable MBMS_PREV_FREQUENCY_INFORMATION.

1> if a preferred frequency has been selected:

2> if the UE is not in CELL_DCH state:

3> apply the cell-reselection procedure as described in [4], using the received "MBMS Preferred frequency information" applicable to the selected frequency;

4> if HCS is not used, and the IE "Qoffmbms" is not present for the MBMS preferred frequency:

5> consider the cells on the MBMS preferred frequency having a Qoffmbms equal to "infinity".

4> if HCS is used, and the IE "HCS_OFFmbms" is not present for the MBMS preferred frequency:

5> consider the cells on the MBMS preferred frequency having the highest HCS priority level.

3> if the UE re-selects to a cell on the indicated preferred frequency:

4> if the UE is in CELL_FACH, CELL_PCH or URA_PCH:

5> act according to subclause 8.3.1.2.

4> store the frequency information of the frequency on which the UE was operating prior to cell-reselection to the preferred frequency in the variable MBMS_PREV_FREQUENCY_INFORMATION.

4> apply the MCCH acquisition procedure, as specified in subclause 8.7.2.

1> else:

2> if the UE is not in CELL_DCH state:

3> stop applying any "MBMS Preferred frequency information".

8.5.28 Actions related to E_DCH_TRANSMISSION variable

The variable E_DCH_TRANSMISSION shall be set to "TRUE" only when all the following conditions are met:

1> the UE is in CELL_DCH state;

1> the variable E_RNTI includes either the Primary E-RNTI or the Secondary E-RNTI or both the Primary and the Secondary E-RNTI;

1> For FDD:

2> the UE has stored the following IEs:

- IE "E-DCH Transmission Time Interval";
- IE "HARQ info for E-DCH";
- IE "E-DCH info", including the IE "E-DPCCH info" and the IE "E-DPDCH info".
- one of the radio links in the active set is configured as the serving E-DCH radio link, and for this radio link the UTRAN has configured the IE "E-HICH configuration" and the IE "E-AGCH info".

1> For 3.84/7.68 Mcps TDD:

2> the UE has stored the following IEs:

- IE "HARQ info for E-DCH";

- IE "E-DCH information", including the IE "E-RUCCH info" and the IE "E-PUCH info";
- IE "E-HICH info";
- IE "E-AGCH info".

1> there is at least one logical channel mapped to E-DCH for which:

2> the corresponding E-DCH MAC-d flow is configured, i.e. the IEs "E-DCH MAC-d flow power offset" and "E-DCH MAC-d flow maximum number of retransmissions", and the transmission grant type are configured.

If any of the above conditions is not met and the variable E_DCH_TRANSMISSION is set to TRUE, the UE shall:

1> set the variable E_DCH_TRANSMISSION to FALSE;

1> stop any E-AGCH and E-HICH reception procedures;

1> For FDD:

2> stop any E-RGCH reception procedures.

1> For FDD:

2> stop any E-DPCCH and E-DPDCH transmission procedures.

1> For 3.84/7.68 Mcps TDD:

2> stop any E-RUCCH and E-PUCH transmission procedures.

1> clear the variable E_RNTI;

1> act as if the IE "MAC-es/e reset indicator" was received and set to TRUE;

1> release all E-DCH HARQ resources;

1> no longer consider any radio link to be the serving E-DCH radio link.

Whenever the variable E_DCH_TRANSMISSION is set to TRUE, the UE shall:

1>For FDD:

2> perform E_AGCH reception procedures according to the stored E_AGCH configuration as stated in:

3> subclause 8.6.3.14 for the IE "New Primary E-RNTI" and the IE "New Secondary E-RNTI".

2> perform E-HICH reception procedures for all radio links in the E-DCH active set;

2> perform E-RGCH reception procedures for all radio links in the active set for which an E-RGCH configuration has been provided;

2> perform E-DPCCH transmission procedures according to the stored E-DPCCH configuration as stated in:

3> subclause 8.6.6.37 for the IE "E-DPCCH Info".

2> perform E-DPDCH transmission procedures according to the stored E-DPDCH configuration as stated in:

3> subclause 8.6.5.16 for the IE "E-DCH Transmission Time Interval";

3> subclause 8.6.5.17 for the IE "HARQ info for E-DCH";

3> subclause 8.6.6.37 for the IE "E-DPDCH Info".

2> inclusion of MAC-d PDU's in a MAC-e PDU for logical channels belonging to a MAC-d flow for which the IE "Non-scheduled transmission grant info" is configured shall:

3> obey the scheduling and size restrictions as specified for that MAC-d flow (see subclause 8.6.5.18).

2> inclusion of MAC-d PDU's in a MAC-e PDU for logical channels belonging to a MAC-d flow for which the IE "Scheduled transmission grant info" is configured shall:

3> be performed in accordance with the received scheduling grant on E-AGCH/E-RGCH (see [15]); and

3> obey the scheduling restrictions as specified for scheduled transmissions (see subclause 8.6.6.37).

1>For TDD:

2>perform E-AGCH reception procedures according to the stored E_AGCH configureation as stated in:

3> subclause 8.6.3.14 for the IE "New E-RNTI".

2> Perform E-HICH reception;

2> Perform E-RUCCH transmission procedures according to the stored E-RUCCH configuration as stated in:

3> subclause 8.6.6.37 for the IE "E-RUCCH Info".

2> Perform E-PUCH transmission procedures according to the stored E-PUCH configuration as stated in:

3> subclause 8.6.6.37 for the IE "E-PUCH Info".

2> inclusion of MAC-d PDU's in a MAC-e PDU for logical channels belonging to a MAC-d flow for which the IE "Non-scheduled transmission grant info" is configured shall:

3> obey the scheduling and size restrictions as specified for that MAC-d flow (see subclause 8.6.5.18).

2> inclusion of MAC-d PDU's in a MAC-e PDU for logical channels belonging to a MAC-d flow for which the IE "Scheduled transmission grant info" is configured shall:

3> be performed in accordance with the received scheduling grant on E-AGCH (see [15]); and

3> obey the scheduling restrictions as specified for scheduled transmissions (see subclause 8.6.6.37).

Whenever the variable E_DCH_TRANSMISSION is set to FALSE, the UE shall:

1> not perform E-AGCH, E-HICH and/or E-RGCH reception procedures;

1> not perform E-DPCCH, E-DPDCH, E-RUCCH and/or E-PUCH transmission procedures.

8.5.29 MBMS modification period identity calculation

The UE shall calculate the identity of a Modification period as follows:

MP identity= (SFNMP div MPlen) mod 2

With SFN_{MP} being the SFN corresponding with the frame in which the concerned Modification Period starts

MP_{len} being the length of the Modification Period, that is indicated by the IE "Modification period coefficient" that is included in System Information Block type 5 and 5bis.

8.5.30 Detecting MBMS service reception inability

The UE may detect that it becomes incapable of receiving all services it is interested in at any time due to implementation specific constraints as well as upon state transitions, service / session start, service / session stop, service reconfiguration e.g. transfer mode change and preferred frequency layer changes or whenever there are changes concerning the subset of services that it has selected to receive.

When evaluating its MBMS service reception abilities, the UE shall:

1> consider that MBMS services, for which a preferred frequency layer is specified, are available only on the concerned frequency;

1> consider that MBMS services, for which no preferred frequency layer is specified are available on all frequencies;

1> consider non- MBMS services to be available on all frequencies unless specified otherwise in the following;

1> if the variable MBMS_PL_SERVICE_RESTRICTION_INFO_DEDICATED is set to TRUE:

2> consider the established non-MBMS services not to be available on any MBMS preferred frequency.

1> if the IE "MBMS PL Service Restriction Information" is included in the MBMS GENERAL INFORMATION message for the MBMS preferred frequency the UE is considering to select to:

2> consider non-MBMS services not to be available on the concerned MBMS preferred frequency.

If the UE is unable to receive the MBMS and the non-MBMS services it is interested in, the UE shall:

1> detect an MBMS service reception inability.

8.6 Generic actions on receipt and absence of an information element

8.6.1 CN information elements

8.6.1.1 Void

8.6.1.2 CN information info

If the IE "CN information info" is present in a message, the UE shall:

1> if the IE "Primary PLMN Identity" is present:

2> forward the content of the IE "Primary PLMN identity" to upper layers.

1> else:

2> if the IE "PLMN Identity" is present:

3> forward the content of the IE "PLMN identity" to upper layers.

1> if present, forward the content of the IE "CN common GSM-MAP NAS system information" to upper layers;

1> if the IE "CN domain related information" is present:

2> forward each occurrence of the IE "CN domain specific GSM-MAP NAS system info" together with the IE "CN domain identity" to upper layers.

2> if an IE "CN domain specific GSM-MAP NAS system info" is not present for a particular CN domain:

3> indicate to upper layers that no CN system information is available for that CN domain.

NOTE: If UTRAN at SRNS relocation includes and sets the IE "Primary PLMN identity" to the PLMN identity signalled in RANAP RELOCATION REQUEST [57], the UTRAN should also set the IE "PLMN identity" to the PLMN identity in the IE "PLMN Identity" of the Master Information Block transmitted in the cell(s) used by the UE after completed SRNS relocation.

8.6.1.3 Signalling connection release indication

If the IE "Signalling Connection release indication" is present in a message, the UE shall:

1> if all radio access bearers for the CN domain identified with the value of the IE "Signalling Connection release indication" would have been released in the variable ESTABLISHED_RABS after processing of the received message:

2> indicate release of the signalling connection identified with the value of the IE "Signalling Connection release indication" to the upper layers;

2> remove the signalling connection identified with the value of the IE "Signalling Connection release indication" from the variable ESTABLISHED_SIGNALLING_CONNECTIONS.

1> if radio access bearers for the CN domain identified with the value of the IE "Signalling Connection release indication" would remain in the variable ESTABLISHED_RABS after processing of the received message:

2> set the variable INVALID_CONFIGURATION to TRUE.

8.6.2 UTRAN mobility information elements

8.6.2.1 URA identity

The UE shall:

1> if the IE "URA identity" is included in a received message:

2> if the IE "RRC State Indicator" is included and set to "URA_PCH":

3> store this URA identity in the variable URA_IDENTITY;

3> after sending a possible message to UTRAN and entering URA_PCH state as specified elsewhere, read system information block type 2 in the selected cell;

3> if the stored URA identity in the variable URA_IDENTITY is not included in the list of URA identities in System Information Block type 2 in the selected cell, the list of URA identities in system information block type 2 is empty or if the system information block type 2 can not be found, a confirmation error of URA identity list has occurred:

4> if no URA update procedure is ongoing:

5> initiate a URA update procedure after entering URA_PCH state; see subclause 8.3.1.2.

4> if a URA update procedure is ongoing:

5> take actions as specified in subclause 8.3.1.10.

1> if the IE "URA identity" is not included in a received message:

2> if the IE "RRC State Indicator" is included and set to " URA_PCH":

3> after sending a possible message to UTRAN and entering URA_PCH state as specified elsewhere, read System Information Block type 2 in the selected cell;

3> if System Information Block type 2 in the selected cell contains a single URA identity:

4> store this URA identity in the variable URA_IDENTITY.

3> if System Information Block type 2 of the selected cell contains more than one URA identity, the list of URA identities in system information block type 2 is empty or if the system information block type 2 can not be found, a confirmation error of URA identity list has occurred:

4> if no URA update procedure is ongoing:

5> initiate a URA update procedure after entering URA_PCH state, see subclause 8.3.1.2.

4> if a URA update procedure is ongoing:

5> take actions as specified in subclause 8.3.1.10.

8.6.2.2 Mapping info

If the IE "Mapping info" is received, the UE shall in this version of the specification:

1> ignore the contents of this IE.

8.6.3 UE information elements

8.6.3.1 Activation time

If the UE receives a message in which presence is needed for the IE "Activation time", and the value is other than the default value "Now", the UE shall:

1> let the "reference CCTrCH" be defined as the CCTrCh that includes any transport channel or is associated with any physical channel which is being added, re-configured or removed, or, in the case of HS-DSCH, the CCTrCh including the associated DCH;

1> if the frame boundary immediately before the frame with the CFN (Connection Frame Number) value indicated by the IE "Activation Time" is at the TTI boundary common to all the transport channels that are multiplexed onto the reference CCTrCh:

2> select that frame boundary as the activation time T.

1> else:

2> select the next TTI boundary, which is common to all the transport channels that are multiplexed onto the reference CCTrCh, after the frame with the CFN (Connection Frame Number) value indicated by the IE "Activation Time", as the activation time T.

1> if the IE "Delay restriction flag" is received and activation time T is more than 128 frames from the CFN at which the message was received:

2> choose an activation time T as soon as possible after reception of the message, respecting the performance requirements in subclause 13.5, which is common to all the transport channels that are multiplexed onto the reference CCTrCh.

NOTE: If the UE receives a message containing the IE "Delay restriction flag" and that message causes a transport channel or physical channel reconfiguration of the reference CCTrCH then the UE behaviour is not specified.

1> at the activation time T:

2> for a physical channel reconfiguration other than an HS-DSCH related reconfiguration, caused by the received message:

3> release the physical channel configuration, which was present before T;

3> initiate the establishment of the physical channel configuration as specified for the physical channel information elements in the received message as specified elsewhere.

2> for an HS-DSCH related reconfiguration in FDD or 1.28 Mcps TDD caused by the received message:

3> select the HS-SCCH subframe boundary immediately before the first HS-SCCH subframe, which entirely falls within the 10 ms frame following T;

3> start using, at that HS-SCCH subframe boundary, the new HS-DSCH configuration in the received message, replacing any old HS-DSCH configuration.

2> for an HS-DSCH related reconfiguration in 3.84 Mcps TDD or 7.68 Mcps TDD caused by the received message:

3> start using, at activation time T, the new HS-DSCH configuration in the received message, replacing any old HS-DSCH configuration.

2> for actions, other than a physical channel reconfiguration, caused by the received message:

3> perform the actions for the information elements in the received message as specified elsewhere.

NOTE: In FDD an "HS-DSCH related reconfiguration" includes, in particular, reconfigurations that need to be time-aligned with the 2ms subframe of the HS-SCCH, HS-PDSCH and/or HS-DPCCH. For example, start and stop of HS-SCCH reception and serving HS-DSCH cell change.

If the UE receives a message in which presence is needed for the IE "Activation time", and the value is the default value "Now", the UE shall:

1> choose an activation time T as soon as possible after the reception of the message, respecting the performance requirements in subclause 13.5;

1> at the activation time T:

2> perform the actions for the information elements in the received message as specified elsewhere.

NOTE: In FDD, if the UE was in idle mode or CELL_FACH state upon reception of the message, regardless of the state the UE enters after reception of the message, and the value of the IE "Activation time" in the received message is different from "Now", the UE behaviour is unspecified. In TDD, if the UE was in idle mode or CELL_FACH state upon reception of the message, the value of the IE "Activation time" in the received message is relative to the CFN associated with the cell from which the message was received.

8.6.3.1a CN domain specific DRX cycle length coefficient

The UE updates CN domain specific DRX cycle length coefficient as specified in [4]. The UE shall use it to calculate the CN domain specific DRX cycle length, according to the following:

1> set k to the value of the IE "CN domain specific DRX cycle length coefficient".

1> store the result of MAX(2^k, PBP), where PBP is the Paging Block Periodicity, as the CN domain specific DRX cycle length for the CN domain indicated by the IE "CN domain identity". For FDD PBP=1.

The UE shall determine its idle mode paging occasions and PICH monitoring occasions for that CN domain, according to [4], based on the stored CN domain specific DRX cycle length, when using DRX in idle mode.

8.6.3.1b H-RNTI

If the IE "New H-RNTI" is included and the UE will be in CELL_DCH state after completion of this procedure, the UE shall:

1> store the value in the variable H_RNTI;

1> determine the value for the HS_DSCH_RECEPTION variable and take the corresponding actions as described in subclause 8.5.25.

If the message that triggers the HS_DSCH_RECEPTION variable to change value from FALSE to TRUE does not contain the IE "New H-RNTI":

1> the UE behaviour is not defined.

When the variable HS_DSCH_RECEPTION is set to TRUE the UE shall:

1> use the value of the variable H_RNTI as UE identity in the HS-SCCH reception procedure in the physical layer.

8.6.3.2 UTRAN DRX Cycle length coefficient

If the IE "UTRAN DRX cycle length coefficient" is present, the UE shall use it to calculate the UTRAN DRX cycle length, according to the following:

1> set k to the value of the IE "UTRAN DRX cycle length coefficient";

1> store the result of MAX(2^k,PBP), where PBP is the Paging Block Periodicity, as the DRX cycle length.

The UE shall determine its connected mode paging occasions and PICH monitoring occasions in the same way as for idle mode, according to [4].

The DRX cycle length to use in connected mode is defined in [4].

8.6.3.3 Generic state transition rules depending on received information elements

The IE "RRC State Indicator" indicates the state the UE shall enter. The UE shall enter the state indicated by the IE "RRC State Indicator" even if the received message includes other IEs relevant only for states other than indicated by the IE "RRC State Indicator". E.g. if the RRC state indicator is set to CELL_FACH while other IEs provide information about a configuration including dedicated channels, the UE shall enter CELL_FACH state. If however the UE has no information about the configuration corresponding to the state indicated by the IE "RRC State Indicator", it shall consider the requested configuration as invalid.

The UE shall, if the IE "RRC State Indicator" in the received message has the value:

1> "CELL_FACH":

2> enter CELL_FACH state as dictated by the procedure governing the message received.

1> "CELL_DCH":

2> if neither DPCH is assigned in the message nor is the UE in CELL_DCH:

3> set the variable INVALID_CONFIGURATION to TRUE.

2> else:

3> enter CELL_DCH state as dictated by the procedure governing the message received.

1> "CELL_PCH":

2> if the received message is RRC CONNECTION SETUP and IE "RRC State Indicator" is set to CELL_PCH:

3> set the variable INVALID_CONFIGURATION to TRUE.

2> else:

3> enter CELL_PCH state as dictated by the procedure governing the message received.

1> "URA_PCH":

2> if the received message is RRC CONNECTION SETUP and IE "RRC State Indicator" is set to URA_PCH:

3> set the variable INVALID_CONFIGURATION to TRUE.

2> else:

3> enter URA_PCH state as dictated by the procedure governing the message received.

8.6.3.4 Ciphering mode info

The IE "Ciphering mode info" defines the new ciphering configuration. At any given time, the UE needs to store at most two different ciphering configurations (keyset and algorithm) per CN domain at any given time in total for all radio bearers and three configurations in total for all signalling radio bearers.

If the IE "Ciphering mode info" is present and if the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to TRUE, the UE shall:

1> ignore this second attempt to change the ciphering configuration; and

1> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to TRUE.

If the IE "Ciphering mode info" is present and if the IE "Reconfiguration" in the variable CIPHERING_STATUS is set to FALSE, the UE shall:

1> if none of the IE "Status" in the variable CIPHERING STATUS has the value "Started", and this IE "Ciphering mode info" was included in a message that is not the message SECURITY MODE COMMAND; or

1> if the IE "Ciphering Mode Info" was received in the message SECURITY MODE COMMAND and there does not exist exactly one ciphering activation time in the IE "Radio bearer downlink ciphering activation time info" for each established RLC-AM and RLC-UM radio bearers included in the IE "RB information" in the IE

"ESTABLISHED_RABS" for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN; or

1> if the IE "Ciphering Mode Info" was received in the message SECURITY MODE COMMAND and the IE "Ciphering activation time for DPCH" is not included in the message, and there exist radio bearers using RLC-TM according to the IE "RB information" in the IE "ESTABLISHED_RABS" for the CN domain as indicated in the variable LATEST_CONFIGURED_CN_DOMAIN; or

1> if the IE "Ciphering Mode Info" was received in the message SECURITY MODE COMMAND and there does not exist exactly one ciphering activation time in the IE "Radio bearer downlink ciphering activation time info" for each established signalling radio bearer included in the IE "Signalling radio bearer information" in the IE "ESTABLISHED_RABS":

2> ignore this attempt to change the ciphering configuration;

2> set the variable INVALID_CONFIGURATION to TRUE;

2> perform the actions as specified in subclause 8.1.12.4c.

1> set the IE "Reconfiguration" in the variable CIPHERING_STATUS to TRUE;

1> set the IE "Status" in the variable CIPHERING_STATUS of the CN domains for which the IE "Status" of the variable SECURITY_MODIFICATION is set to "Affected" to "Started";

1> apply the new ciphering configuration in the lower layers for all RBs that belong to a CN domain for which the IE "Status" of the variable SECURITY_MODIFICATION is set to "Affected" and all signalling radio bearers:

2> using the ciphering algorithm (UEA [40]) indicated by the IE "Ciphering algorithm" as part of the new ciphering configuration;

2> for each radio bearer that belongs to a CN domain for which the IE "Status" of the variable SECURITY_MODIFICATION is set to "Affected" and all signalling radio bearers:

3> using the value of the IE "RB identity" in the variable ESTABLISHED_RABS minus one as the value of BEARER [40] in the ciphering algorithm.

1> for the downlink and the uplink, apply the new ciphering configuration as follows:

2> if the ciphering configuration for a AM or UM radio bearer or signalling radio bearer from a previously received SECURITY MODE COMMAND has not yet been applied because of the corresponding activation times not having been reached and the current received message includes the IE "DL Counter Synch Info" or the current received message is a RADIO BEARER RECONFIGURATION message and includes the IE "New U-RNTI":

3> if the previous SECURITY MODE COMMAND was received due to new keys being received:

4> consider the new ciphering configuration to include the received new keys.

3> else if the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

4> consider the new ciphering configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN.

3> apply the new ciphering configuration in uplink and downlink immediately following RLC re-establishment.

2> if the IE "Ciphering activation time for DPCH" is present in the IE "Ciphering mode info" and the UE was in CELL_DCH state prior to this procedure:

3> for radio bearers using RLC-TM:

4> apply the old ciphering configuration for CFN less than the number indicated in the IE "Ciphering activation time for DPCH";

4> apply the new ciphering configuration for CFN greater than or equal to the number indicated in IE "Ciphering activation time for DPCH".

2> if the IE "Radio bearer downlink ciphering activation time info" is present:

3> apply the following procedure for each radio bearer and signalling radio bearers using RLC-AM or RLC-UM indicated by the IE "RB identity":

4> suspend uplink transmission on the radio bearer or the signalling radio bearer (except for the SRB where the response message is transmitted) according to the following:

5> do not transmit RLC PDUs with sequence number greater than or equal to the uplink activation time, where the uplink activation time is selected according to the rules below.

4> select an "RLC sequence number" at which (activation) time the new ciphering configuration shall be applied in uplink for that radio bearer according to the following:

5> consider a ciphering activation time in uplink to be pending until the RLC sequence number of the next RLC PDU to be transmitted for the first time is equal to or larger than the selected activation time;

5> for each radio bearer and signalling radio bearer that has no pending ciphering activation time in uplink as set by a previous procedure changing the security configuration:

6> set a suitable value that would ensure a minimised delay in the change to the latest ciphering configuration.

5> for each radio bearer and signalling radio bearer that has a pending ciphering activation time in uplink as set by a previous procedure changing the security configuration:

6> for radio bearers and signalling radio bearers except SRB2:

7> set the same value as the pending ciphering activation time.

6> for signalling radio bearer SRB2:

7> set a suitable value that would ensure a minimised delay in the change to the latest ciphering configuration.

4> store the selected "RLC sequence number" for that radio bearer in the entry for the radio bearer in the variable RB_UPLINK_CIPHERING_ACTIVATION_TIME_INFO;

4> switch to the new ciphering configuration according to the following:

5> use the old ciphering configuration for the transmitted and received RLC PDUs with RLC sequence numbers smaller than the corresponding RLC sequence numbers indicated in the IE "Radio bearer uplink ciphering activation time info" sent to UTRAN and in the received IE "Radio bearer downlink ciphering activation time info" received from UTRAN, respectively;

5> use the new ciphering configuration for the transmitted and received RLC PDUs with RLC sequence numbers greater than or equal to the corresponding RLC sequence numbers indicated in the IE "Radio bearer uplink ciphering activation time info" sent to UTRAN and in the received IE "Radio bearer downlink ciphering activation time info" received from UTRAN, respectively;

5> for a radio bearer using RLC-AM, when the RLC sequence number indicated in the IE "Radio bearer downlink ciphering activation time info" falls below the RLC receiving window and the RLC sequence number indicated in the IE "Radio bearer uplink ciphering activation time info" falls below the RLC transmission window, the UE may release the old ciphering configuration for that radio bearer;

5> if an RLC reset or re-establishment of the transmitting side of an RLC entity occurs before the activation time for the new ciphering configuration has been reached in uplink, ignore the activation time and apply the new ciphering configuration in uplink immediately after the RLC reset or RLC re-establishment;

5> if an RLC reset or re-establishment of the receiving side of an RLC entity occurs before the activation time for the new ciphering configuration has been reached in downlink, ignore the activation time and apply the new ciphering configuration in downlink immediately after the RLC reset or RLC re-establishment.

2> if the current received message includes the IE "Downlink counter synchronisation info" or the current received message is a RADIO BEARER RECONFIGURATION message and includes the IE "New U-RNTI":

3> apply the new ciphering configuration in uplink and downlink immediately following RLC re-establishment.

If the IE "Radio bearer downlink ciphering activation time info" was received in another message than SECURITY MODE COMMAND:

1> the UE behaviour is unspecified.

If the IE "Ciphering mode info" is not present, the UE shall:

1> for the downlink and the uplink, apply the ciphering configuration as follows:

2> if the ciphering configuration for a AM or UM radio bearer or signalling radio bearer from a previously received SECURITY MODE COMMAND has not yet been applied because of the corresponding activation times not having been reached and the current received message includes the IE "Downlink counter synchronisation info" or the current received message is a RADIO BEARER RECONFIGURATION message and includes the IE "New U-RNTI":

3> if the previous SECURITY MODE COMMAND was received due to new keys being received:

4> consider the ciphering configuration to include the received new keys.

3> else if the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

4> consider the ciphering configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN.

3> apply the ciphering configuration in uplink and downlink immediately following RLC re-establishment.

2> else:

3> not change the ciphering configuration.

8.6.3.5 Integrity protection mode info

The IE "Integrity protection mode info" defines the new integrity protection configuration. At any given time, the UE needs to store at most three different integrity protection configurations (keysets) in total for all signalling radio bearers for all CN domains.

If the IE "Integrity protection mode info" is present and if the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to TRUE, the UE shall:

1> ignore this second attempt to change the integrity protection configuration; and

1> set the variable INCOMPATIBLE_SECURITY_RECONFIGURATION to TRUE.

If the IE "Integrity protection mode command" has the value "Start", the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Not started" and the IE "Integrity protection mode info" was not included in the message SECURITY MODE COMMAND; or

If the IE "Integrity protection mode command" has the value "Start", the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Not started", the IE "Integrity protection mode info" was included in the message SECURITY MODE COMMAND and the IE "Integrity protection algorithm" is not included; or

If the IE "Integrity protection mode command" has the value "Modify" and the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Not Started"; or

If the IE "Integrity protection mode command" has the value "Start", the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started" and the IE "Integrity protection mode command info" was included in the message SECURITY MODE COMMAND; or

If the IE "Integrity protection mode command" has the value "Modify" and there does not exist exactly one integrity protection activation time in the IE "Downlink integrity protection activation info" for each established signalling radio bearer included in the IE "Signalling radio bearer information" in the IE "ESTABLISHED_RABS"; or

If the IE "Integrity protection mode command" has the value "Modify", the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started" and the IE "Integrity protection mode info" was not included in the message SECURITY MODE COMMAND:

the UE shall:

1> ignore this attempt to change the integrity protection configuration; and

1> set the variable INVALID_CONFIGURATION to TRUE.

If the IE "Integrity protection mode info" is not present, the UE shall:

1> not change the integrity protection configuration.

If the IE "Integrity protection mode info" is present and if the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO is set to FALSE, the UE shall:

1> set the IE "Reconfiguration" in the variable INTEGRITY_PROTECTION_INFO to TRUE;

1> perform the actions in accordance with subclauses 8.6.3.5.1, 8.6.3.5.2 and 8.6.3.5.3.

8.6.3.5.1 Initialisation of Integrity Protection

The UE shall:

1> if the IE "Integrity protection mode command" has the value "start" and the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Not started", and this IE was included in the message SECURITY MODE COMMAND:

2> initialise the information for all signalling radio bearers in the variable INTEGRITY_PROTECTION_INFO according to the following:

3> set the IE "Uplink RRC Message sequence number" in the variable INTEGRITY_PROTECTION_INFO to zero;

3> do not set the IE "Downlink RRC Message sequence number" in the variable INTEGRITY_PROTECTION_INFO;

3> set the variable INTEGRITY_PROTECTION_ACTIVATION_INFO to zero for each signalling radio bearer in the IE "ESTABLISHED_RABS".

NOTE: The IEs "Integrity protection activation info" and "RRC Message sequence number"included in the IE "Integrity Check Info" in the transmitted message do not have identical values, but integrity protection is applied from the first transmitted message.

2> set the IE "Status" in the variable INTEGRITY_PROTECTION_INFO to the value "Started";

2> perform integrity protection on the received message, applying the new integrity protection configuration, as described in subclause 8.5.10.1 by:

3> using the algorithm (UIA [40]) indicated by the IE "Integrity protection algorithm" contained in the IE "Integrity protection mode info";

3> using the IE "Integrity protection initialisation number", contained in the IE "Integrity protection mode info" as the value of FRESH [40].

2> start applying the new integrity protection configuration in the downlink for each signalling radio bearer in the IE "ESTABLISHED_RABS" except RB2 at the next received RRC message;

2> start applying the new integrity protection configuration in the downlink for signalling radio bearer RB2 from and including the received SECURITY MODE COMMAND message;

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RB2 from and including the transmitted SECURITY MODE COMPLETE message;

2> start applying the new integrity protection configuration in the uplink for signalling radio bearers other than RB2 at the uplink activation time included in the IE "Uplink integrity protection activation info".

NOTE: After Inter-RAT handover to UTRAN, and ciphering was activated in the other RAT, then during the first security mode control procedure following the handover, UE activates integrity protection using the integrity key of the same key set as used in the other RAT (see.subclause 8.3.6.3).

8.6.3.5.2 Integrity Protection Re-configuration for SRNS Relocation and handover from GERAN Iu mode

The UE shall:

1> if IE "Integrity protection mode command" has the value "start" and the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started" and this IE was not included SECURITY MODE COMMAND:

NOTE: This case is used in SRNS relocation and in handover from GERAN *Iu mode*.

2> perform integrity protection on the received message, applying the new integrity protection configuration, as described in subclause 8.5.10.1 by:

3> using the algorithm (UIA [40]) indicated by the IE "Integrity protection algorithm" contained in the IE "Integrity protection mode info";

NOTE: If the algorithm indicated by the IE "Integrity protection algorithm" is different from the one currently used by the UE, the UE shall perform the change of the integrity protection algorithm.

3> using the IE "Integrity protection initialisation number", contained in the IE "Integrity protection mode info" as the value of FRESH [40].

2> let RBm be the signalling radio bearer where the reconfiguration message was received and let RBn be the signalling radio bearer where the response message is transmitted;

2> prohibit transmission of RRC messages on all signalling radio bearers in the IE "ESTABLISHED_RABS" except on RB0 and the radio bearer where the response message is transmitted;

2> for the downlink, for each signalling radio bearer, if for the signalling radio bearer, a security configuration triggered by a previous SECURITY MODE COMMAND has not yet been applied, due to the activation time for the signalling radio bearer not having been reached:

3> set "Down link RRC Message sequence number" for this signalling radio bearer in the variable INTEGRITY_PROTECTION_INFO to (activation time -1), where the activation time is the corresponding activation time for this signalling radio bearer;

3> if the previous SECURITY MODE COMMAND was received due to new keys being received:

4> consider the new integrity protection configuration to include the received new keys.

3> else if the previous SECURITY MODE COMMAND caused a change in LATEST_CONFIGURED_CN_DOMAIN:

4> consider the new Integrity Protection configuration to include the keys associated with the LATEST_CONFIGURED_CN_DOMAIN associated with the previously received SECURITY MODE COMMAND.

2> start applying the new integrity protection configuration in the downlink for each signalling radio bearer in the IE "ESTABLISHED_RABS" except RBm at the next received RRC message for the corresponding signalling radio bearer;

2> start applying the new integrity protection configuration in the downlink for signalling radio bearer RBm from and including the received configuration message;

2> start applying the new integrity protection configuration in the uplink for signalling radio bearer RBn from and including the transmitted response message;

2> start applying the new integrity protection configuration in the uplink for signalling radio bearers other than RBn from the first message onwards.

8.6.3.5.3 Integrity Protection modification in case of new keys or initialisation of signalling connection

The UE shall:

1> if the IE "Integrity protection mode command" has the value "modify" and the IE "Status" in the variable INTEGRITY_PROTECTION_INFO has the value "Started" and this IE was included in SECURITY MODE COMMAND:

2> store the (oldest currently used) integrity protection configuration until activation times have elapsed for the new integrity protection configuration to be applied on all signalling radio bearers;

2> start applying the new integrity protection configuration in the downlink for each signalling radio bearer n, at the first received message with RRC Sequence number greater than or equal to the RRC sequence number indicated by the entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info", included in the IE "Integrity protection mode info";

2> perform integrity protection on the received message, applying the new integrity protection configuration, as described in subclause 8.5.10.1;

3> if present, use the algorithm indicated by the IE "Integrity protection algorithm" (UIA [40]);

2> set the content of the variable INTEGRITY_PROTECTION_ACTIVATION_INFO according to the following:

3> for each established signalling radio bearer, stored in the variable ESTABLISHED_RABS:

4> select a value of the RRC sequence number at which (activation) time the new integrity protection configuration shall be applied in uplink for that signalling radio bearer according to the following:

5> for each signalling radio bearer except RB0:

6> set the activation time for the new integrity protection configuration to the next RRC SN.

4> for signalling radio bearer RB0:

5> set the value of the included RRC sequence number to greater than or equal to the current value of the RRC sequence number for signalling radio bearer RB0 in the variable INTEGRITY_PROTECTION_INFO, plus the value of the constant N302 plus two.

4> prohibit the transmission of RRC messages on all signalling radio bearers, except for RB2, with RRC SN greater than or equal to the value in the "RRC message sequence number list" for the signalling radio bearer in the IE "Uplink integrity protection activation info" of the variable INTEGRITY_PROTECTION_ACTIVATION_INFO.

2> start applying the new integrity protection configuration in the uplink at the RRC sequence number, for each RBn, except for signalling radio bearer RB2, indicated by the entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Uplink integrity protection activation info", included in the variable INTEGRITY_PROTECTION_ACTIVATION_INFO;

2> start applying the new integrity protection configuration in the uplink at the RRC sequence number for signalling radio bearer RB2, as specified for the procedure initiating the integrity protection reconfiguration;

2> start applying the new integrity protection configuration in the downlink at the RRC sequence number, for each RBn, except for signalling radio bearer RB2, indicated by the entry for signalling radio bearer n in the "RRC message sequence number list" in the IE "Downlink integrity protection activation info";

NOTE: For signalling radio bearers that have a pending activation time as set for integrity protection by a previous procedure changing the integrity protection configuration, UTRAN should set this value in IE "Downlink integrity protection activation info".

2> start applying the new integrity protection configuration in the downlink at the RRC sequence number for signalling radio bearer RB2, as specified for the procedure initiating the integrity protection reconfiguration.

8.6.3.6 Void

8.6.3.7 Void

8.6.3.8 Integrity check info

If the IE "Integrity check info" is present the UE shall:

1> act as described in subclause 8.5.10.1.

8.6.3.9 New C-RNTI

If the IE "New C-RNTI" is included, the UE shall:

1> store the value in the variable C_RNTI, replacing any old stored value;

1> use that C-RNTI when using common transport channels of type RACH and FACH in the current cell.

8.6.3.9a New DSCH-RNTI

In TDD if the IE "New DSCH-RNTI" is included, the UE shall:

1> if the UE will be in CELL_DCH or CELL_FACH at the end of the procedure where the received message included this IE:

2> if the UE supports DSCH or USCH as indicated in the IE "Physical Channel Capability" included in the IE "UE Radio Access Capability":

3> store the value in the variable DSCH_RNTI, replacing any old stored value;

3> use that DSCH-RNTI when using SHCCH signalling in the current cell.

8.6.3.10 New U-RNTI

If the IE "New U-RNTI" is included in a received message, the UE shall:

1> store the value in the variable U_RNTI, replacing any old stored value.

8.6.3.11 RRC transaction identifier

The IE "RRC transaction identifier" may be used, together with the message type, for identification of an invocation of a downlink procedure (transaction). The UE behaviour for accepting or rejecting transactions based on the message type and the IE "RRC transaction identifier" is specified below.

If the IE "RRC transaction identifier" is included in a received message, the UE shall perform the actions below. The UE shall:

If the received message is any of the messages:

- RADIO BEARER SETUP; or

- RADIO BEARER RECONFIGURATION; or
- RADIO BEARER RELEASE; or
- TRANSPORT CHANNEL RECONFIGURATION; or
- PHYSICAL CHANNEL RECONFIGURATION:

the UE shall:

1> if the variable ORDERED_RECONFIGURATION is set to FALSE; and

1> if the variable CELL_UPDATE_STARTED is set to FALSE; and

1> if the received message does not contain a protocol error according to clause 9 and the variable PROTOCOL_ERROR_REJECT is set to FALSE; and

1> if the table "Accepted transactions" in the variable TRANSACTIONS does not contain an entry with an IE "Message Type" set to ACTIVE SET UPDATE:

2> accept the transaction; and

2> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Accepted transactions" in the variable TRANSACTIONS.

1> else:

2> if the variable ORDERED_RECONFIGURATION is set to TRUE; or

2> if the variable CELL_UPDATE_STARTED is set to TRUE; or

2> if the table "Accepted transactions" in the variable TRANSACTIONS contains an entry with an IE "Message Type" set to ACTIVE SET UPDATE; or

2> if the received message contains a protocol error according to clause 9 causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE:

3> if the IE "RRC transaction identifier" of the received message is identical to the "RRC transaction identifier" stored for the same "Message Type" as the received message in the table "Accepted transactions" in the variable TRANSACTIONS:

4> ignore the transaction; and

4> continue with any ongoing processes and procedures as the message was not received;

4> and end the procedure.

3> else:

4> reject the transaction; and

4> if the IE "Message Type" of the received message is not present in the table "Rejected transactions" in the variable TRANSACTIONS:

5> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

Else:

If the received message is any of the messages:

- RRC CONNECTION SETUP; or
- CELL UPDATE CONFIRM; or
- URA UPDATE CONFIRM; or
- UE CAPABILITY ENQUIRY:

the UE shall:

1> if the IE "Message Type" of the received message is not present in the table "Accepted transactions" in the variable TRANSACTIONS:

2> if the received message does not contain a protocol error according to clause 9 and the variable PROTOCOL_ERROR_REJECT is set to FALSE:

3> accept the transaction; and

3> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Accepted transactions" in the variable TRANSACTIONS.

2> else:

2> if the received message contains a protocol error according to clause 9 causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE:

3> reject the transaction; and

3> if the IE "Message Type" of the received message is not present in the table "Rejected transactions" in the variable TRANSACTIONS:

4> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

1> else:

1> if the IE "Message Type" of the received message is present in the table "Accepted transactions" in the variable TRANSACTIONS:

2> if the IE "RRC transaction identifier" of the received message is identical to the "RRC transaction identifier" stored for the "Message Type" in the table "Accepted transactions" in the variable TRANSACTIONS:

3> ignore the transaction; and

3> continue with any ongoing processes and procedures as the message was not received; and

3> end the procedure.

2> else:

2> if the IE "RRC transaction identifier" of the received message is different from the "RRC transaction identifier" stored for the "Message Type" in the table "Accepted transactions" in the variable TRANSACTIONS:

3> if the received message does not contain a protocol error according to clause 9 and the variable PROTOCOL_ERROR_REJECT is set to FALSE:

4> ignore the once accepted transaction and instead accept the new transaction; and

4> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Accepted transactions" in the variable TRANSACTIONS, replacing the previous entry.

NOTE 1: The UE is expected to process the first RRC CONNECTION SETUP/CELL UPDATE CONFIRM/URA UPDATE COMFIRM message that it receives after transmitting an RRC CONNECTION REQUEST/CELL_UPDATE/URA_UPDATE message. If the UE receives further RRC CONNECTION SETUP/CELL UPDATE CONFIRM/URA UPDATE COMFIRM messages without having transmitted another RRC CONNECTION REQUEST/CELL_UPDATE/URA_UPDATE message, the UE is not required to process these messages.

NOTE 2: If the previously accepted transaction was a CELL UPDATE CONFIRM/URA UPDATE CONFIRM that included the IE "Dowlink counter synchronisation info", rather than ignore the first accepted transaction the UE may continue with the first transaction in the case where a cell re-selection interrupted the on-going procedure causing a cell update procedure to be triggered. In this case the response message acts as an explicit acknowledgement of both the CELL UPDATE CONFIRM/URA UPDATE CONFIRM message signalling an SRNS relocation and the subsequent CELL UPDATE CONFIRM/URA UPDATE CONFIRM.

3> else:

3> if the received message contains a protocol error according to clause 9 causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE:

4> reject the transaction; and

4> if the IE "Message Type" of the received message is not present in the table "Rejected transactions" in the variable TRANSACTIONS:

5> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

Else:

If the received message is any of the messages:

- HANDOVER FROM UTRAN COMMAND; or
- CELL CHANGE ORDER FROM UTRAN:

the UE shall:

1> if the variable ORDERED_RECONFIGURATION is set to TRUE;

2> reject the transaction; and

2> if the IE "Message Type" of the received message is not present in the table "Rejected transactions" in the variable TRANSACTIONS:

3> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

Else:

If the received message is any other message, the UE shall:

1> if the IE "Message Type" of the received message is not present in the table "Accepted transactions" in the variable TRANSACTIONS:

2> if the received message does not contain a protocol error according to clause 9 and the variable PROTOCOL_ERROR_REJECT is set to FALSE:

3> accept the transaction; and

3> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Accepted transactions" in the variable TRANSACTIONS.

2> else:

2> if the received message contains a protocol error according to clause 9 causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE:

3> reject the transaction; and

3> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

1> else:

1> if the IE "Message Type" of the received message is present in the table "Accepted transactions" in the variable TRANSACTIONS:

2> if the IE "RRC transaction identifier" of the received message is identical to the "RRC transaction identifier" stored in any entry for the "Message Type" in the table "Accepted transactions" in the variable TRANSACTIONS:

3> ignore the transaction; and

3> continue with any ongoing processes and procedures as the message was not received; and

3> end the procedure.

2> else:

2> if the IE "RRC transaction identifier" of the received message is different from the "RRC transaction identifier" stored in all entries for the "Message Type" in the table "Accepted transactions" in the variable TRANSACTIONS:

3> if the received message does not contain a protocol error according to clause 9 and the variable PROTOCOL_ERROR_REJECT is set to FALSE:

4> accept the additional transaction; and

4> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Accepted transactions" in the variable TRANSACTIONS, in addition to the already existing entries.

3> else:

3> if the received message contains a protocol error according to clause 9 causing the variable PROTOCOL_ERROR_REJECT to be set to TRUE:

4> reject the transaction; and

4> store the IE "Message type" and the IE "RRC transaction identifier" of the received message in the table "Rejected transactions" in the variable TRANSACTIONS.

8.6.3.12 Capability Update Requirement

If the IE "Capability Update Requirement" is included the UE shall:

1> if the IE "UE radio access FDD capability update requirement" has the value TRUE:

2> if the UE supports FDD mode:

3> store its UTRA FDD capabilities and its UTRA capabilities common to FDD and TDD in the IE "UE radio access capability" and the IE "UE radio access capability extension" in variable UE_CAPABILITY_REQUESTED as specified below:

4> if the UE supports any radio access capability included in IE "UE radio access capability extension" that is not included in IE "UE radio access capability":

NOTE: This is valid e.g. for UE that supports multiple UTRA FDD Bands and UE that supports a single UTRA FDD Band different from Band I [21].

5> store the IE "UE radio access capability", excluding IEs "RF capability FDD" and "Measurement capability";

5> store the IE "UE radio access capability extension", including the IEs "RF capability FDD extension" and the "Measurement capability extension" associated with each supported UTRA FDD frequency band indicated in the IE "Frequency band".

4> else:

5> store the IE "UE radio access capability", including the IEs "RF capability FDD" and "Measurement capability" associated with the Band I [21].

1> if the IE "UE radio access 3.84 Mcps TDD capability update requirement" has the value TRUE:

2> if the UE supports 3.84 Mcps TDD mode:

3> store its UTRAN-specific 3.84 Mcps TDD capabilities and its UTRAN–specific capabilities common to FDD and TDD in the variable UE_CAPABILITY_REQUESTED.

1> if the IE "UE radio access 7.68 Mcps TDD capability update requirement" has the value TRUE:

2> if the UE supports 7.68 Mcps TDD mode:

3> store its UTRAN-specific 7.68 Mcps TDD capabilities and its UTRAN–specific capabilities common to FDD and TDD in the variable UE_CAPABILITY_REQUESTED.

1> if the IE "UE radio access 1.28 Mcps TDD capability update requirement" has the value TRUE:

2> if the UE supports 1.28 Mcps TDD mode:

3> store its UTRAN-specific 1.28 Mcps TDD capabilities and its UTRAN–specific capabilities common to FDD and TDD in the variable UE_CAPABILITY_REQUESTED.

1> if the IE "System specific capability update requirement list" is present:

2> for each of the RAT requested in the IE "UE system specific capability"

3> if the UE supports the listed RAT:

4> include its inter-RAT radio access capabilities for the listed RAT in the IE "UE system specific capability" from the variable UE_CAPABILITY_REQUESTED.

4> if the listed RAT is GSM and PS Handover to GPRS is supported:

5> include the IE "MS Radio Access Capability" in the variable UE_CAPABILITY_REQUESTED;

If the IE " Capability update requirement " is not present, the UE shall:

1> assume the default values as specified in subclause 10.3.3.2 and act in accordance with the above.

8.6.3.13 Group release information

The UE shall apply the following procedure to compare the IE "U-RNTI group" with the U-RNTI allocated to the UE stored in the variable U_RNTI.

If the IE "group discriminator" is equal to "All":

1> consider this as a group identity match.

If the IE "group discriminator" is equal to "U-RNTI mask":

1> let N be the value of the IE "U-RNTI bit mask index";

1> if N is equal to b20, b21, … or b31:

2> compare pairs of bits, starting from bit b31 downto, and including, bit N of the "SRNC identity" of the IE "U-RNTI" with the corresponding bits stored in the variable U_RNTI;

2> if all pairs of bits are equal:

3> consider this as a group identity match.

1> if N is equal to b1, b2, … or b19:

2> compare pairs of bits, starting from bit b31 downto, and including, bit b20 of the "SRNC identity" in the IE "U-RNTI" with the corresponding bits of the "SRNC identity" stored in the variable U_RNTI;

2> if all pairs of bits are equal:

3> then compare pairs of bits, starting from bit b19 downto, and including, bit N of the "S-RNTI" in the IE "U-RNTI" with the corresponding bits of the "S-RNTI" stored in the variable U_RNTI;

3> if all pairs of bits are equal:

4> consider this as a group identity match.

8.6.3.14 New E-RNTI

1> for FDD:

2> if the IE "New Primary E-RNTI" and/or the IE "New Secondary E-RNTI" are/is included and the UE will be in CELL_DCH state after completion of this procedure, the UE shall:

3> store the new value(s) in the variable E_RNTI;

3> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28.

1> for 3.84/7.68 Mcps TDD:

2> if the IE "New E-RNTI" is included and the UE will be in CELL_DCH state after completion of this procedure, the UE shall:

3> store the new value in the variable E_RNTI;

3> determine the value for the E_DCH_TRANSMISSION variable and take the corresponding actions as described in subclause 8.5.28.

If, after the completion of this procedure, the variable E_DCH_TRANSMISSION is set to FALSE, the UE shall:

1> clear the variable E-RNTI.

When the variable E_DCH_TRANSMISSION is set to TRUE the UE shall:

1> for FDD:

2> use the value of the Primary E-RNTI and/or Secondary E-RNTI stored in the variable E_RNTI as UE identities in the E-AGCH reception procedure in the physical layer.

1> for 3.84/7.68 Mcps TDD:

2> use the value of New E-RNTI stored in the variable E_RNTI as the UE identity in the E-AGCH reception procedure in the physical layer.

8.6.4 Radio bearer information elements

8.6.4.1 Signalling RB information to setup list

If the IE "Signalling RB information to setup list" is included the UE shall:

1> use the same START value to initialise the COUNT-C and COUNT-I variables for all the signalling radio bearers in the list;

1> if the IE "Signalling RB information to setup list" was included in the RADIO BEARER SETUP message:

2> if the variable LATEST_CONFIGURED_CN_DOMAIN has been initialised:

3> calculate the START value only once during this procedure according to subclause 8.5.9 for the CN domain indicated in the variable LATEST_CONFIGURED_CN_DOMAIN;

3> store the calculated START value in the variable START_VALUE_TO_TRANSMIT.

1> for each occurrence of the IE "Signalling RB information to setup":

2> use the value of the IE "RB identity" as the identity of the signalling radio bearer to setup;

2> if the signalling radio bearer identified with the IE "RB identity" does not exist in the variable ESTABLISHED_RABS:

3> create a new entry for the signalling radio bearer in the variable ESTABLISHED_RABS.

2> if the IE "Signalling RB information to setup list" was received in a message other than HANDOVER TO UTRAN COMMAND; and

2> if the variable LATEST_CONFIGURED_CN_DOMAIN has been initialised and the value "STATUS" of the variable CIPHERING_STATUS of the CN domain stored in this variable is "Started":

3> if the IE "Uplink RLC mode" or the IE "Downlink RLC mode" either in the IE "RLC info" or referenced by the RB identity in the IE "Same as RB" is set to "AM RLC" or "UM RLC":

4> initialise the 20 MSB of the hyper frame number component of COUNT-C for this signalling radio bearer with the START value in the variable START_VALUE_TO_TRANSMIT;

4> set the remaining LSB of the hyper frame number component of COUNT-C for this signalling radio bearer to zero;

4> start to perform ciphering on this signalling radio bearer, using the value of the IE "RB identity" minus one as the value of BEARER in the ciphering algorithm.

2> if the IE "Signalling RB information to setup list" was received in a message other than HANDOVER TO UTRAN COMMAND; and

2> if the variable LATEST_CONFIGURED_CN_DOMAIN has been initialised and the value "Status" of the variable "INTEGRITY_PROTECTION_INFO" of the CN domain stored in this variable is "Started":

3> initialise the 20 MSB of the hyper frame number component of COUNT-I for this signalling radio bearer with the START value in the variable START_VALUE_TO_TRANSMIT;

3> set the remaining LSB of the hyper frame number component of COUNT-I for this signalling radio bearer to zero;

3> for this signalling radio bearer, set the IE "Uplink RRC Message sequence number" in the variable INTEGRITY_PROTECTION_INFO to zero;

3> start performing integrity protection according to subclauses 8.5.10.1 and 8.5.10.2.

2> perform the actions for the IE "RLC info" as specified in subclause 8.6.4.9, applied for that signalling radio bearer;

2> perform the actions for the IE "RB mapping info" as specified in subclause 8.6.4.8, applied for that signalling radio bearer.

1> apply a default value of the IE "RB identity" equal to 1 for the first IE "Signalling RB information to setup"; and

1> increase the default value by 1 for each occurrence.

NOTE: The UTRAN should only use the default value of the IE "RB identity" within the RRC Connection Setup and Handover to UTRAN Command messages. If the default value of the IE "RB identity" is used in any other message then the UE behaviour is not specified.

8.6.4.2 RAB information for setup

If the IE "RAB information for setup" is included, the procedure is used to establish radio bearers belonging to a radio access bearer, and the UE shall:

1> if the radio access bearer identified with the IE "RAB info" does not exist in the variable ESTABLISHED_RABS:

2> create a new entry for the radio access bearer in the variable ESTABLISHED_RABS;

2> store the content of the IE "RAB info" in the entry for the radio access bearer in the variable ESTABLISHED_RABS;

2> indicate the establishment of each radio access bearer to the upper layer entity using the IE "CN domain identity", forwarding the content of the IE "RAB identity";

2> if prior to this procedure there exists no transparent mode radio bearer for the CN domain included in the IE "CN domain identity" and at least one transparent mode radio bearer is included in the IE "RB information to setup"; or

2> if at least one RLC-AM or RLC-UM radio bearer is included in the IE "RB information to setup":

3> calculate the START value only once during this procedure (the same START value shall be used on all new radio bearers created for this radio access bearer) according to subclause 8.5.9 for the CN domain as indicated in the IE "CN domain identity" in the IE "RAB info" part of the IE "RAB information to setup";

3> store the calculated START value in the variable START_VALUE_TO_TRANSMIT.

1> for each radio bearer in the IE "RB information to setup":

2> if the radio bearer identified with the IE "RB identity" does not exist in the variable ESTABLISHED_RABS:

3> perform the actions specified in subclause 8.6.4.3;

3> store information about the new radio bearer in the entry for the radio access bearer identified by "RAB info" in the variable ESTABLISHED_RABS;

3> create a new RAB subflow for the radio access bearer;

3> number the RAB subflow in ascending order, assigning the smallest number to the RAB subflow corresponding to the first radio bearer in the list;

3> if the IE "CN domain identity" in the IE "RAB info" is set to "PS domain" and the number of RAB subflows for the radio access bearer is greater than 1:

4> set the variable INVALID_CONFIGURATION to TRUE.

2> if the radio bearer identified with the IE "RB identity" already exists in the variable ESTABLISHED_RABS:

3> set the variable INVALID_CONFIGURATION to TRUE.

8.6.4.2a RAB information to reconfigure

If the IE "RAB information to reconfigure" is included then the UE shall:

1> if the entry for the radio access bearer identified by the IE "CN domain identity" together with the IE "RAB Identity" in the variable ESTABLISHED_RABS already exists:

2> perform the action for the IE "NAS Synchronization Indicator", according to subclause 8.6.4.12.

1> else:

2> set the variable INVALID_CONFIGURATION to TRUE.

8.6.4.3 RB information to setup

If the IE "RB information to setup" is included, the UE shall apply the following actions on the radio bearer identified with the value of the IE "RB identity". The UE shall:

1> use the same START value to initialise the hyper frame number components of COUNT-C variables for all the new radio bearers to setup;