

White Paper

# Long Term Evolution Protocol Overview

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## Overview

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Long term evolution (LTE) is the next step forward in cellular 3G services. LTE technology is based on a 3GPP standard that provides for a downlink speed of up to 150 megabits per second (Mbps) and an uplink speed of up to 50 Mbps. Fixed wireless and wired standards are already approaching or achieving 100 Mbps or faster, and LTE is a way for cellular communications to operate at that high data rate.

This paper provides an introduction to how the LTE protocol stack operates. Because the final 3GPP specification will cover tens of thousands of pages, this paper touches only on the highest levels of protocol operation. The paper discusses the history and application requirements that determine the functions and priorities of LTE, examines the protocol stack in terms of the time domain and in terms of information moving through the stack, and finally discusses more specialized aspects of the standard such as scheduling and quality of service, management and control functions, handovers and power save operation.

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# 1 Introduction

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Long Term Evolution (LTE) is important because it will bring up to a 50x performance improvement and much better spectral efficiency to cellular networks. LTE is different from other technologies that call themselves 4G because it is completely integrated into the existing cellular infrastructure for 2G and 3G. This allows seamless handoff and complete connectivity between previous standards and LTE. LTE is in trials now and should see commercial deployment by 2010.

This paper provides an overview of the MAC for 3GPP™ Long Term Evolution (LTE) also referred to as E-UTRAN, with a focus on the handset or User Equipment (UE). The protocol stack functions consist of the Medium Access Control (MAC), Radio Link Control (RLC), Packet Data Convergence Protocol (PDCP), and Radio Resource Control (RRC).

LTE is the latest generation of the 3GPP standards. The LTE standard specifies an IP-only network supporting data rates up to 150 Mbps. These high data rates will enable new applications and services such as voice over IP, streaming multimedia, videoconferencing or even a high-speed cellular modem.

## 1.1 Protocol Design

The LTE standard grew out of the Global System for Mobile Communications (GSM) and Universal Mobile Telecommunications System (UMTS) standards, commonly called 3G. Voice communication was primary application, with data added recently. Mobility and seamless handoff were requirements from the start, as was a requirement for central management of all nodes.

LTE speeds will be equivalent to what today's user might see at home on a fast cable modem. The LTE standard is designed to enable 150 Mbps downlink and 50 Mbps uplink over a wide area. While 150 Mbps is LTE's theoretical top uplink speed, each user's bandwidth will depend on how carriers deploy their network and available bandwidth. Supporting high rates while minimizing power is a key design challenge.

The LTE physical layer is unique because it has asymmetrical modulation and data rates for uplink and downlink. The standard is designed for full-duplex operation, with simultaneous transmission and reception. The radio is optimized for performance on the downlink, because the transmitter at the base station has plenty of power. On the uplink, the radio is optimized more for power consumption than efficiency, because while processing power has increased, mobile device battery power has stayed essentially constant.

## 1.2 History and Scope of 3GPP Standards

The standardization process for LTE comes out of the Third Generation Partnership Project (3GPP), which was developed out of GSM cellular standards. Work on LTE has been going on since 2004, building on the GSM/UMTS family of standards that dates from 1990. Stage 2 of the standard, the functional descriptions, was completed in 2007. The standards bodies are currently finalizing Stage 3, which is the detailed specifications. Stage 3 is expected to be completed by the end of 2008.

The LTE standard was designed as a completely new standard, with new numbering and new documents—it does not build on the previous series of UMTS standards. Earlier elements were only brought in if there was a compelling reason for them to exist in the new standard. There is no requirement for backward compatibility or error interoperability, for example, because LTE will operate in different spectrum using a different physical layer and different coding. However, the architecture may often appear similar because the standards were created by similar standards bodies.

The entire LTE system is specified by a large number of 3GPP working groups which oversee everything from the air interface to the protocol stack and the infrastructure network. This paper focuses on protocols specified by RAN2, a 3GPP Radio Area Network working group<sup>1</sup>. LTE is a departure from historical cellular and telecom operations, which were circuit switched. LTE is the first GSM/3GPP standard that is fully IP and packet-based. Much of the complexity of UMTS that deals with circuit switching is not carried into LTE; this has allowed some simplifications and optimizations of

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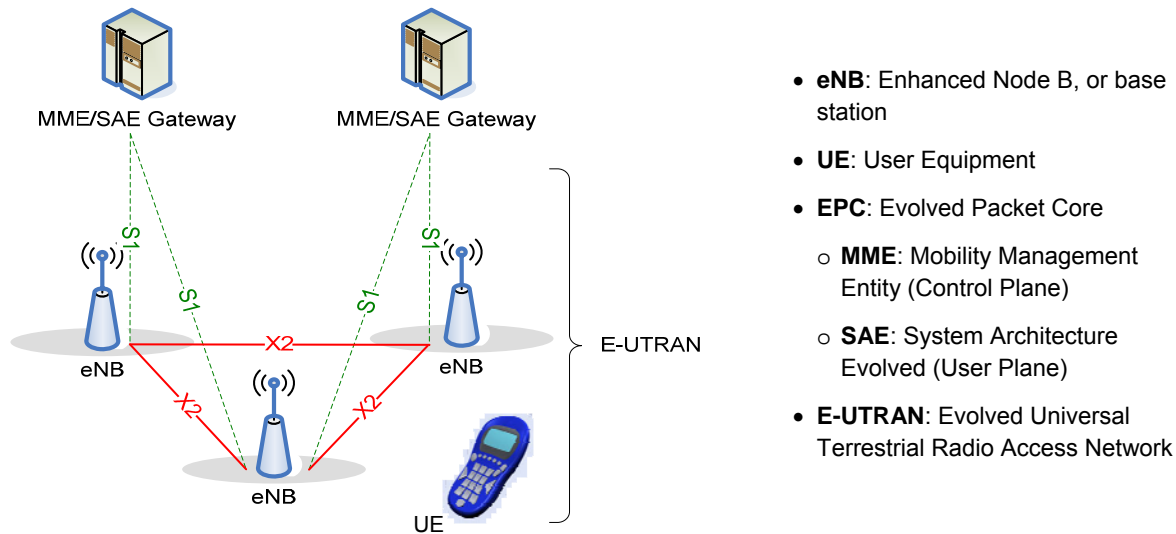
<sup>1</sup> For more information about RAN2, visit the 3GPP RAN2 web pages at <http://www.3gpp.org/tb/ran/RAN2/RAN2.htm>.

the architecture. LTE provides a packet switched model at the SAP, but retains a circuit switched model at the PHY. The physical layer itself maintains the continuous connection model, especially on the downlink, where there is continuous transmission.

## 2 LTE Architecture

Figure 2.1 provides a high-level view of LTE architecture. This is a snapshot of the part that most closely interacts with the UE, or mobile device. The entire architecture is much more complex; a complete diagram would show the entire Internet and other aspects of network connectivity supporting handoffs among 3G, 2G, WiMAX, and other standards. This particular device shows the eNodeB, which is another name for the base station, and the interfaces between the eNodeB and UEs. The E-UTRAN is the entire network, which is the “official” standards name for LTE.

**Figure 2.1. LTE Architecture Overview**



### 2.1 How the MAC Sees the PHY

The LTE PHY is typically full duplex. LTE is designed primarily for full duplex operation in paired spectrum. To contrast, WiMAX operates in half duplex in unpaired spectrum, where information is transmitted in one direction at a time. LTE can support TDD operation in unpaired spectrum; however, it is not a primary focus of the design. The PHY operates continuously for downlink with interspersed sync, providing multiple channels simultaneously with varying modulation.

The downlink channel operates as a continuous stream. Unlike IEEE® 802 family standards, there is no relation between the air interface—transmitted frames on the air—and the actual service data unit (SDU) packets that are coming from the top of the protocol stack. LTE uses the concept of a resource block, which is a block of 12 subcarriers in one slot. A transport block is a group of resource blocks with a common modulation/coding. The physical interface is a transport block, which corresponds to the data carried in a period of time of the allocation for the particular UE. Each radio subframe is 1 millisecond (ms) long; each frame is 10 milliseconds. Multiple UEs can be serviced on the downlink at any particular time in one transport block. The MAC controls what to send in a given time.

The LTE standard specifies these physical channels:

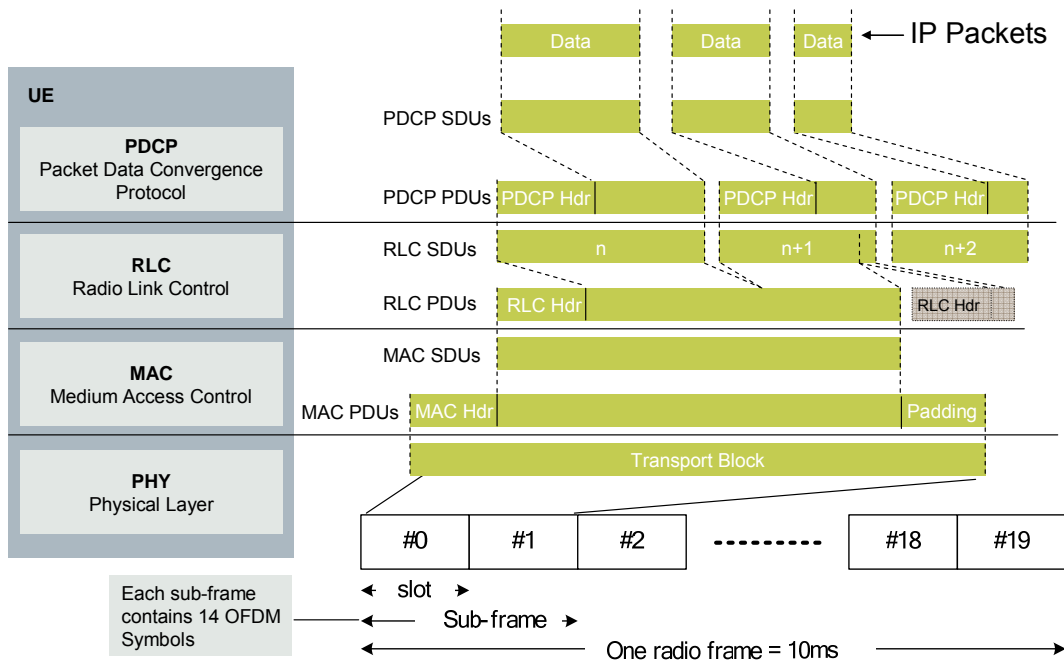
- Physical broadcast channel (PBCH)
  - The coded BCH transport block is mapped to four subframes within a 40 ms interval
  - 40 ms timing is blindly detected, i.e. there is no explicit signaling indicating 40 ms timing
  - Each subframe is assumed to be self-decodable, i.e. the BCH can be decoded from a single reception, assuming sufficiently good channel conditions

- Physical control format indicator channel (PCFICH)
  - Informs the UE about the number of OFDM symbols used for the PDCCHs
  - Transmitted in every subframe
- Physical downlink control channel (PDCCH)
  - Informs the UE about the resource allocation of PCH and DL-SCH, and Hybrid ARQ information related to DL-SCH
  - Carries the uplink scheduling grant
- Physical Hybrid ARQ Indicator Channel (PHICH): Carries Hybrid ARQ ACK/NAKs in response to uplink transmissions.
- Physical downlink shared channel (PDSCH): Carries the DL-SCH and PCH
- Physical multicast channel (PMCH): Carries the MCH
- Physical uplink control channel (PUCCH)
  - Carries Hybrid ARQ ACK/NAKs in response to downlink transmission
  - Carries Scheduling Request (SR)
  - Carries CQI reports
- Physical uplink shared channel (PUSCH): Carries the UL-SCH
- Physical random access channel (PRACH): Carries the random access preamble

## 2.2 Frames and Packet Timelines: LTE Downlink

Figure 2.2 shows a time domain view. At the bottom are radio frames. A full frame is 10 ms but we normally think in terms of the 1-ms subframe, which is the entity that contains the transport block. Within the transport block is the MAC header and any extra space (padding). Within that there is the RLC header, then within the RLC header there can be a number of PDCPs. There is a somewhat arbitrary relationship between the IP packets coming in, which form the SDUs, and how the RLC PDUs are formed. Therefore you can make the maximum effective use of radio resources in a fixed period of time.

**Figure 2.2. Time domain view of the LTE downlink**



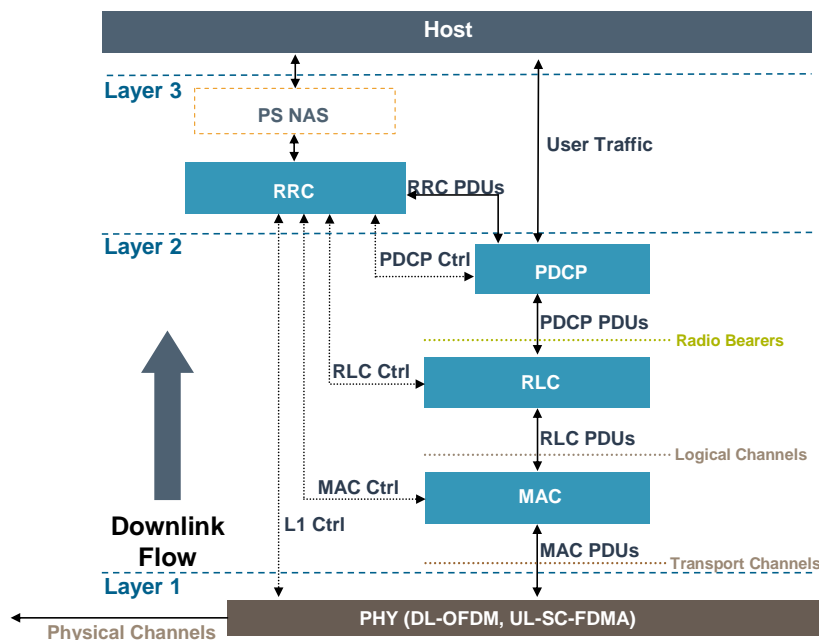
## 3 Life of an LTE Packet

This section traces the flow of a packet through the sub-layers of the LTE stack. The downlink direction (from network to terminal) is covered first. An uplink packet is then described, highlighting any differences.

### 3.1 Life of an LTE Packet: Downlink

Stacks are always shown graphically with the higher layers on the top, so the downlink flow progresses upward through the stack in Figure 3.1. Start by delivering a transport block from the physical layer to the MAC – that contains the information that was decoded off the air in the previous radio subframe. There can be an arbitrary relationship between what's in the transport block and the actual packets that are being delivered to higher layers.

Figure 3.1. Life of an LTE Packet: Downlink



The transport block, delivered from the PHY to the MAC, contains data from the previous radio subframe. It may contain multiple or partial packets, depending on scheduling and modulation.

#### 3.1.1 MAC Layer

The MAC, represented in the MAC block in Figure 3.1, is responsible for managing the hybrid ARQ function, which is a transport-block level automatic retry. It also performs the transport as a logical mapping—a function that breaks down different logical channels out of the transport block for the higher layers. Format selection and measurements provide information about the network that is needed for managing the entire network to the radio resource control.

#### 3.1.2 Hybrid ARQ

The Hybrid Automatic Repeat-reQuest (HARQ) process, done in combination between the MAC and the PHY, retransmits transport blocks (TBs) for error recovery. The PHY performs the retention and re-combination (incremental redundancy) and the MAC performs the management and signaling.

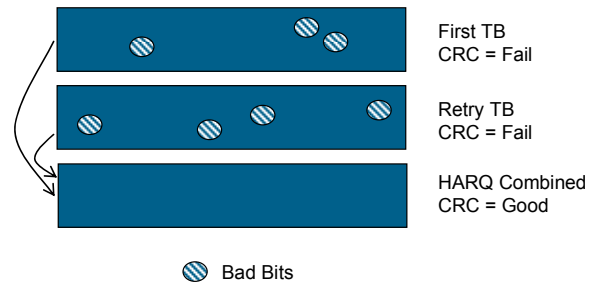
The MAC indicates a NACK when there's a transport block CRC failure; the PHY usually indicates that failure. Retransmission is done by the eNodeB or the sender on the downlink using a different type of coding. The coding is sent and maintained in buffers in the eNodeB. Eventually, after one or two attempts, there will be enough data to reconstruct the signal. In HARQ operation, the retransmission does not have to be fully correct. It has to be correct enough that it can be combined mathematically with the previous transport block in order to produce a good transport

block. This is the most efficient way of providing this ARQ function. It does operate at the transport block level, there is another ARQ process mechanism operating at the RLC.

These are the basic steps of the HARQ process:

- MAC sends “NACK” message when TB fails CRC
- Transport blocks with errors are retained
- PHY retransmits with different puncturing code
- Retransmission combined with saved transport block(s)
- When correct transport block is decoded, MAC signals “ACK”
- Multiple HARQ processes can run in parallel to retry several outstanding TBs

**Figure 3.2. Simplified HARQ operation**



### 3.1.3 MAC Channels

Logical channels exist at the top of the MAC. They represent data transfer services offered by the MAC and are defined by what type of information they carry. Types of logical channels include control channels (for control plane data) and traffic channels (for user plane data).

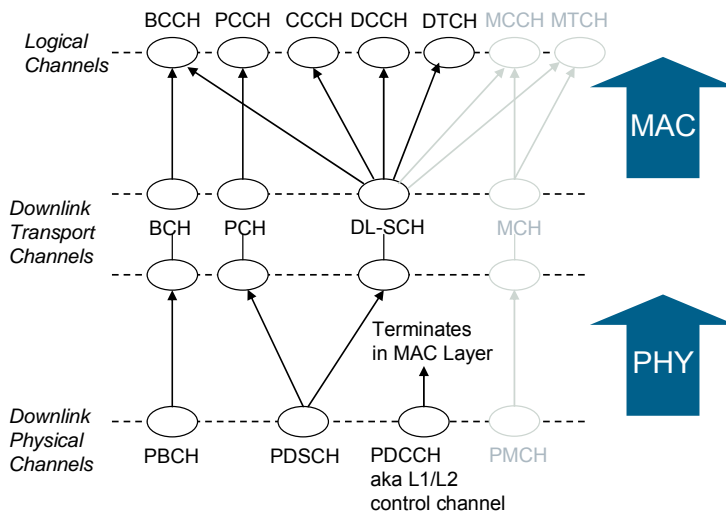
Transport channels are in the transport blocks at the bottom of the MAC. They represent data transfer services offered by the PHY and are defined by how the information is carried, different physical layer modulations and the way they are encoded.

### 3.1.4 MAC Downlink Mapping

When a valid transport block is available from the HARQ process, the transport channels are mapped to logical channels. Figure 3.3 shows the physical layer control channel at the bottom of the picture; working up, it terminates in the MAC layer. It is used for scheduling, signaling and other low-level functions. The downlink shared channel contains both a transport channel for paging and for downlink. The physical broadcast channel goes all the way through for broadcast.

Multicast channels are grayed out in Figure 3.3 because they are not being specified in Release 8 of the LTE standard. These channels will be re-addressed in Release 9.

**Figure 3.3. MAC Downlink Mapping**



#### • Logical Channels

- PCCH: Paging Control Channel
- BCCH: Broadcast Control Channel
- CCCH: Common Control Channel
- DCCH: Dedicated Control Channel
- DTCH: Dedicated Traffic Channel
- MCCH: Multicast Control Channel
- MTCH: Multicast Traffic Channel

#### • Transport Channels

- PCH: Paging Channel
- BCH: Broadcast Channel
- DL-SCH: Downlink Shared Channel
- MCH: Multicast Channel

Transport channels use different modulations and coding. Paging and broadcast channels must be received everywhere in the cell, so they must use robust modulation. The DL-SCH can be optimized by the UE.

Figure 3.3 illustrates the following logical channels:

- Dedicated Traffic Channel (DTCH): A point-to-point channel, dedicated to one UE, for the transfer of user information. A DTCH can exist in both uplink and downlink.
- Broadcast Control Channel (BCCH): A downlink channel for broadcasting system control information.
- Paging Control Channel (PCCH): A downlink channel that transfers paging information. This channel is used when the network does not know the location cell of the UE.
- Common Control Channel (CCCH): Uplink channel for transmitting control information between UEs and network. This channel is used by the UEs having no RRC connection with the network.
- Dedicated Control Channel (DCCH): A point-to-point bi-directional channel that transmits dedicated control information between a UE and the network. Used by UEs that have an RRC connection.

### 3.1.5 MAC Format Selection and Measurements

The format selection process prepares the physical layer to be ready for the coding and modulation of the next transport block. On downlink, the MAC in the UE interprets the transport format. The eNodeB includes information in each transport block that specifies the format using a Modulation Coding Scheme (MCS) for the next transport block; this can change dynamically. The MAC configures the PHY for the next TB.

The MAC coordinates measurements from the local PHY to the RRC regarding local status and conditions, and the RRC reports back to the eNodeB using control messages. From the eNodeB to the RRC, the RRC controls local PHY modulation and configuration settings.

MAC measurements support downlink scheduling. Rates and radio conditions at the UE are used by the eNodeB. Buffer status reports and other types of signaling are carried back to the higher layers through RRC messaging. If the rate is high, fewer time slots are needed to send data. Both uplink and downlink are fully scheduled by the eNodeB.

### 3.1.6 RLC Layer

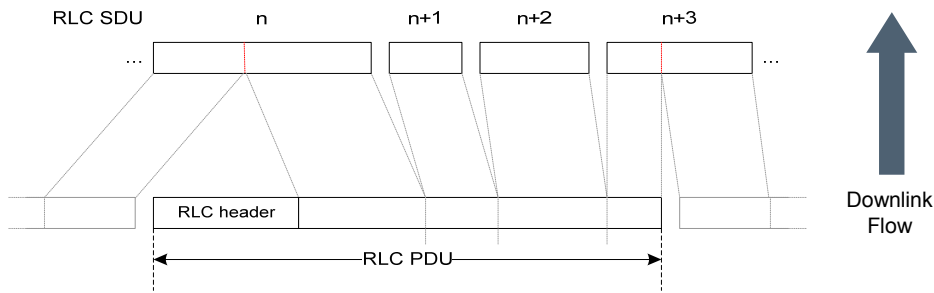
The RLC layer is illustrated by the RLC block in Figure 3.1 on page 4. It performs segmentation and reassembly and operates in three modes: transparent mode (TM), acknowledged mode (AM) and unacknowledged mode (UM). These are used by different radio bearers for different purposes. The RLC provides in-sequence delivery and duplicate detection.

#### 3.1.6.1 RLC Segmentation

The segmentation process involves unpacking an RLC PDU into RLC SDUs, or portions of SDUs. The RLC PDU size is based on transport block size. RLC PDU size is not fixed because it depends on the conditions of channels which the eNodeB assigns to every UE on the downlink. Transport block size can vary based on bandwidth requirements, distance, power levels or modulation scheme. The process also depends on the size of the packets, e.g. large packets for video or small packets for voice over IP. If an RLC SDU is large, or the available radio data rate is low (resulting in small transport blocks), the RLC SDU may be split among several RLC PDUs. If the RLC SDU is small, or the available radio data rate is high, several RLC SDUs may be packed into a single PDU. In many cases, both splitting and packing may be present. This is illustrated in Figure 3.4.



**Figure 3.4. RLC Segmentation**



### 3.1.6.2 RLC In-order Delivery

The RLC ensures in-order delivery of SDUs. Out-of-order packets can be delivered during handover. The PDU sequence number carried by the RLC header is independent of the SDU sequence number (i.e. PDCP sequence number). An RLC SDU is built from (one or more) RLC PDUs for downlink. Packet order is corrected in the RLC using sequence numbers in the RLC header.

### 3.1.6.3 RLC Modes

As mentioned above, the RLC operates in three modes. Transparent mode is used only for control plane signaling for a few RLC messages during the initial connection. There is effectively no header; it simply passes the message through. Unacknowledged and acknowledged modes use the RLC header and indicate whether or not the ARQ mechanism is involved.

ARQ applies to an RLC SDU, while HARQ applies to a transport block. These interactions may contain a partial SDU, one SDU, or multiple SDUs. ARQ can be used for TCP/IP or critical information; it also might use unacknowledged mode for voice over IP or when there's no time for a retry because of latency requirements; in voice over IP, for example, a packet that does not arrive the first time is useless, and the higher layers make up for the difference. ARQ, unlike the HARQ, applies to the SDU at the top of the RLC. If the HARQ transmitter detects a failed delivery of a TB—for example, maximum retransmission limit is reached—the relevant transmitting ARQ entities are notified and potential retransmissions and re-segmentation can be initiated at the RLC layer for any number of affected PDUs.

## 3.1.7 PDCP Layer

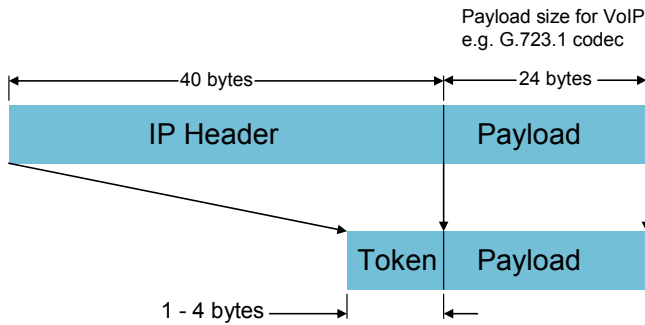
The Packet Data Convergence Protocol (PDCP) layer is illustrated by the PDCP block in Figure 3.1 on page 4. In earlier versions of GSM and 3GPP standards, the PDCP was only used for the packet data bearers, and the circuit-switched bearers connected directly from the host to the RLC layer. Because LTE is all-packet, this is now a place for higher-layer functions that sit above the packing and unpacking that goes on in the RLC.

PDCP functions in the user plane include decryption, ROHC header decompression, sequence numbering and duplicate removal. PDCP functions in the control plane include decryption, integrity protection, sequence numbering and duplicate removal. There is one PDCP instance per radio bearer. The radio bearer is similar to a logical channel for user control data.

### 3.1.7.1 PDCP Header Compression

Header compression is important because VoIP is a critical application for LTE. Because there is no more circuit switching in LTE, all voice signals must be carried over IP and there is a need for efficiency. Various standards are being specified for use in profiles for robust header compression (ROHC), which provides a tremendous savings in the amount of header that would otherwise have to go over the air. These protocols are designed to work with the packet loss that is typical in wireless networks with higher error rates and longer round trip time. ROHC is defined in IETF RFC 3095, RFC4815, and RFC 3843.

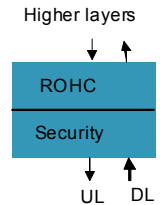
**Figure 3.5. PDCP Header Compression**



### 3.1.7.2 Ciphering and Integrity Protection

Ciphering, both encryption and decryption, also occurs in the PDCP. Security has to occur below the ROHC because the ROHC can only operate on unencrypted packets. It cannot understand an encrypted header. Ciphering protects user plane data, radio resource control (RRC) data and non access stratum (NAS) data. Processing order in the PDCP is as follows: For the downlink, decryption occurs first, then ROHC decompression. For the uplink, ROHC compression occurs first, then encryption.

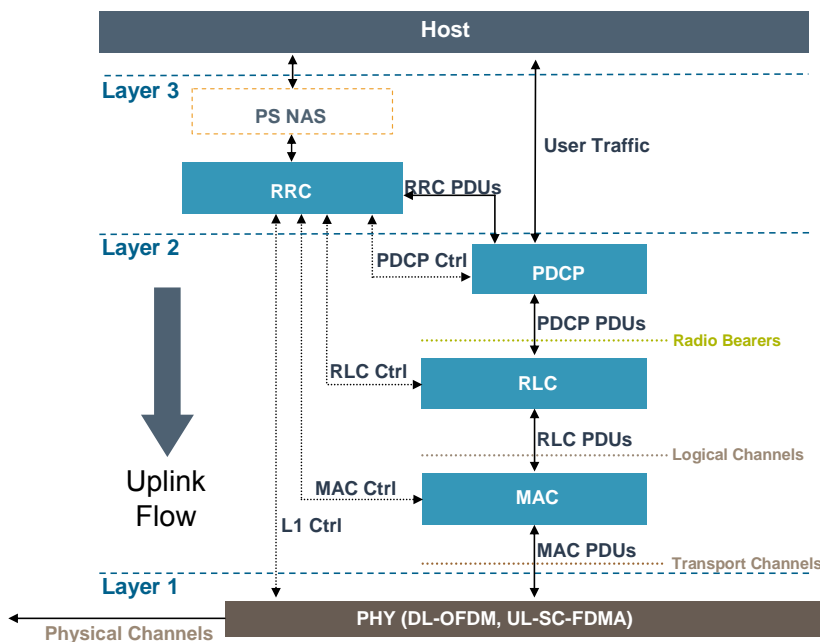
Details of LTE security architecture are still being defined. The 3GPP System Architecture Working Group 3 (SA3) is responsible for security and has decided to use either Advanced Encryption Standard (AES) or SNOW 3G algorithms. Specific modes for AES are still being determined; AES is a block cipher and has to use specific operational modes to operate in a streaming mode.



## 3.2 Life of an LTE Packet: Uplink

LTE processes on the uplink side are often similar to processes on the downlink side. Key differences are that the peak data rate is half that of downlink; access is granted by the eNodeB; there are changes in logical channels and transport channels; and random access is used for initial transmissions. The PHY uses SC-FDMA for the uplink because it has a lower peak-average ratio, which allows a more power-efficient transmitter in the UE.

**Figure 3.6. Life of an LTE Packet: Uplink**



### 3.2.1 PDCP Layer

PDCP functions are symmetrical for the uplink and the downlink. The PDCP block in Figure 3.6 illustrates the process. The functions are the same for the header compression and encryption, but they occur in reverse order. Uplink processing includes header compression and encryption.

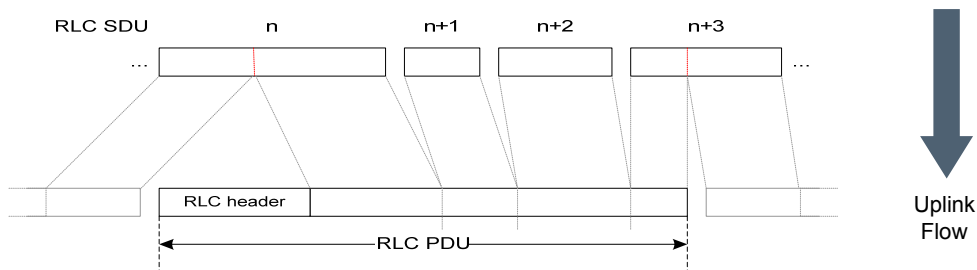
### 3.2.2 RLC Layer

The RLC functions, shown in the RLC block in Figure 3.6, are also symmetrical for the uplink and the downlink. Instead of removing the headers, now headers are applied. There is still a need to support transparent mode, unacknowledged mode and acknowledged mode. The uplink process concatenates rather than segments the SDUs into transport blocks. Segmentation is only done when it is needed to fit SDUs into a transport block.

#### 3.2.2.1 Concatenation

Concatenation is the process of packing an RLC SDU into a size appropriate for transport blocks. The RLC PDU size is chosen based on the transport block size for the radio bearer. If the RLC SDU is large, or the available radio data rate is low, the RLC SDU may be split into several RLC PDUs. If the RLC SDU is small, or the available radio data rate is high, several RLC SDUs may be packed into a single PDU. In many cases both splitting and packing occur. This is shown in Figure 3.7.

**Figure 3.7. RLC Concatenation in the Uplink**



### 3.2.3 MAC Layer

MAC functions in the uplink, illustrated in the MAC block in Figure 3.6, are significantly different in the uplink and downlink. Uplink functions include random access channel, scheduling, building headers and transport format selection.

#### 3.2.3.1 Transport Format Selection

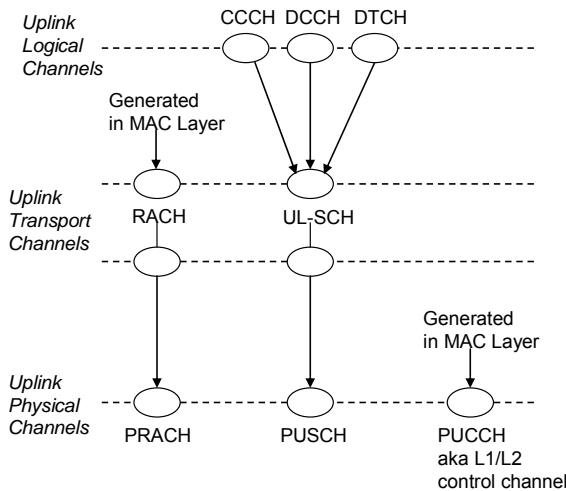
The MAC determines the transport format—how to use it, how to pack the information in, and what modulation and coding are available and configure the PHY appropriately to be ready to transmit. The Uplink Shared Channel (UL-SCH) is the primary transport channel. Format variables are modulation and coding, which determine data rate. The MAC determines the capacity of a transport block based on the transport format.

#### 3.2.3.2 MAC Uplink Channel Mapping

The Common Control Channel (CCCH), Dedicated Control Channel (DCCH) and Dedicated Traffic Channel (DTCH) are all mapped to the UL-SCH.

All MAC transmissions on the UL-SCH must be scheduled by the Random Access Channel (RACH) procedure. When the UE is not connected, no transmit slots are ever scheduled. The RACH provides a means for disconnected devices to transmit. Transmitting on the UL-SCH requires a resource allocation from the eNodeB, and time alignment to be current. Otherwise the RACH procedure is required.

**Figure 3.8. MAC Uplink Channel Mapping**



**3.2.3.3 Random Access Procedure**

The RACH procedure is used in four cases:

- Initial access from disconnected state (RRC\_IDLE) or radio failure
- Handover requiring random access procedure
- DL or UL data arrival during RRC\_CONNECTED after UL PHY has lost synchronization (possibly due to power save operation)
- UL data arrival when are no dedicated scheduling request (PUCCH) channels available

Timing is critical because the UE can move different distances from the base station, and LTE requires microsecond-level precision; the speed-of-light propagation delay alone can cause enough change to cause a collision or a timing problem if it is not maintained.

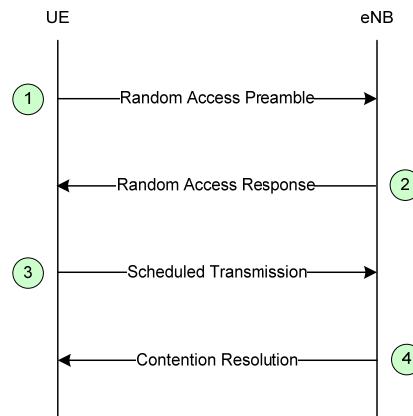
There are two forms of the RACH procedure: Contention-based, which can apply to all four events above, and non-contention based, which applies to only handover and DL data arrival. The difference is whether or not there is a possibility for failure using an overlapping RACH preamble.

**3.2.3.4 Contention-based Random Access**

Figure 3.9 illustrates the four steps of the contention-based RACH procedure.

1. Random access preamble: sent on a special set of physical layer resources, which are a group of subcarriers allocated for this purpose
  - Uses Zadoff-Chu sequence, a CDMA-like coding, to allow simultaneous transmissions to be decoded
  - 6-bit random ID
2. Random access response
  - Sent on Physical Downlink Control Channel (PDCCH)
  - Sent within a time window of a few TTI
  - For initial access, conveys at least RA-preamble identifier, timing alignment information, initial UL grant, and assignment of temporary C-RNTI

**Figure 3.9 Contention-based Procedure**

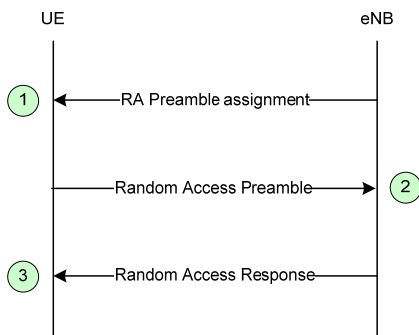


- One or more UEs may be addressed in one response
- 3. Scheduled transmission
  - Uses HARQ and RLC transparent mode on UL-SCH
  - Conveys UE identifier
- 4. Contention resolution: The eNodeB uses this optional step to end the RACH procedure

### 3.2.3.5 Non-Contention Based Random Access

In the non-contention based random access procedure, there is no chance of a preamble collision because the code is pre-assigned by the eNodeB. Figure 3.10 illustrates the three steps in this procedure.

**Figure 3.10. Non-Contention Based Procedure**

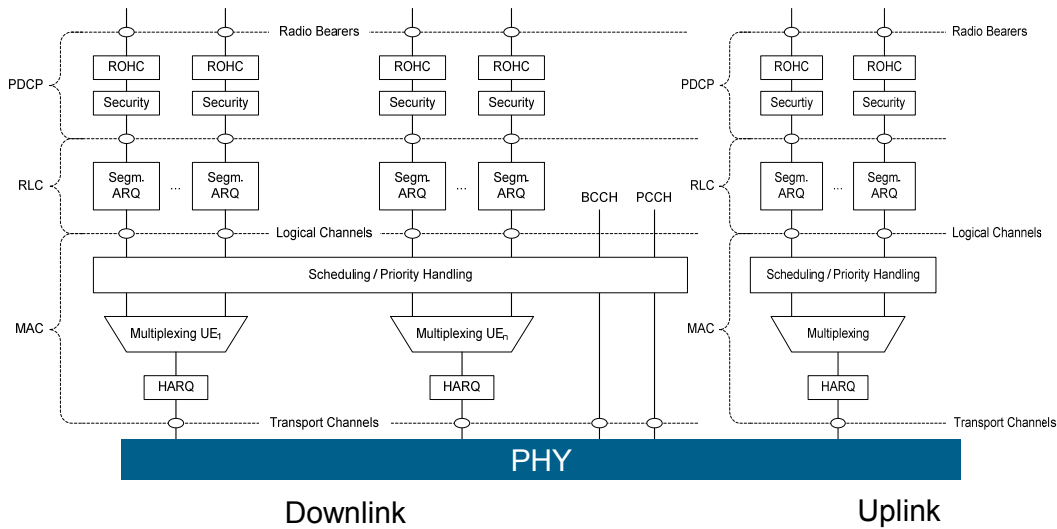


1. Random access preamble assignment: the eNodeB assigns the 6 bit preamble code
2. Random access preamble: the UE transmits the assigned preamble
3. Random access response
  - Same as for contention based RA
  - Sent on PDCCH (Physical Downlink Control Channel)
  - Sent within a time window of a few TTI
  - Conveys at least the timing alignment information and initial UI grant for handover, and the timing alignment information for DL data arrival. In addition, RA-preamble identifier if addressed to RA-RNTI on L1/L2 control channel.
  - One or more UEs may be addressed in one response

### 3.3 Life of a Packet: Conclusion

Figure 3.11 shows a different view of the LTE protocol stack. This view shows multiple instances of the RLC and PDCP, which are usually different radio bearers. The radio bearers are characterized by parameters describing the type of information and QoS transported over the radio interface. One of these groupings might be for voice over IP, another for a video stream, another for best-effort file transfer or some background processing or another for the control plane. Scheduling is global, because it controls the relative priority of the radio bearers and logical channels.

**Figure 3.11. LTE Protocol Stack**



## 4 LTE Protocol Operation

This section moves away from the flow of packets and examines the LTE protocol on a system level.

### 4.1 Scheduling

The eNodeB allocates physical layer resources for the uplink and downlink shared channels (UL-SCH and DL-SCH). Resources are composed of Physical Resource Blocks (PRB) and Modulation Coding Scheme (MCS). The MCS determines the bit rate, and thus the capacity, of PRBs. Allocations may be valid for one or more TTIs; each TTI interval is one subframe (1 ms).

Semi-persistent scheduling reduces control channel signaling. If every allocation was individually signaled, the overhead would be unacceptable. In an application such as voice over IP, for example, a downlink frame occurs every 10 to 20 milliseconds. If each downlink frame were signaled individually, it would cause a lot of traffic on the control channel and the control channel would need a lot more bandwidth than necessary. Semi-persistent scheduling lets you set up an ongoing allocation that persists until it is changed. Semi-persistent schedules can be configured for both uplink and downlink.

#### 4.1.1 Downlink Scheduling

The PDCCH carries the Cell Radio Network Temporary Identifier (C-RNTI), which is the dynamic UE identifier. The C-RNTI indicates that an upcoming downlink resource has been demultiplexed by the MAC and passed on to higher layers and is now scheduled for this UE. Semi-persistent scheduling periodicity is configured by RRC. Whether scheduling is dynamic or semi-persistent is indicated by using different scrambling codes for the C-RNTI on PDCCH. The PDCCH is a very low-bandwidth channel; it does not carry a lot of information compared to the downlink shared channel.

**Figure 4.1. Dynamic Scheduling**

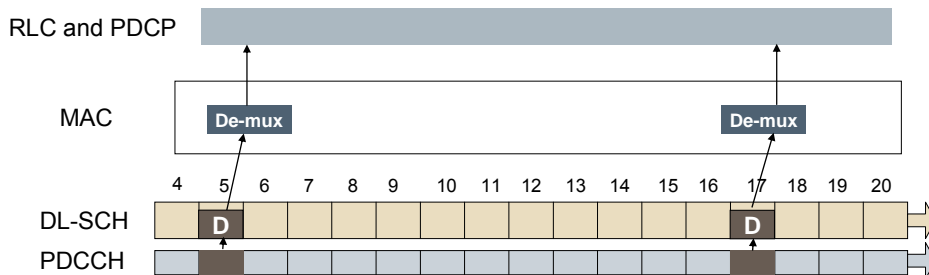
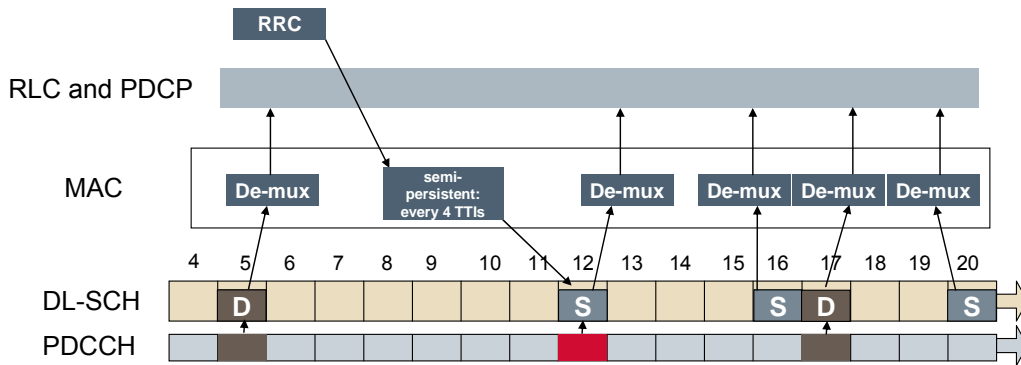


Figure 4.2 adds semipersistent scheduling information to the information presented in Figure 4.1. Here, the RRC configures some of the semipersistent scheduling. This illustration shows a four-TTI example. The first time it actually occurs there is signaling on the PDCCH. After that, every four TTIs there is a transmission which occurs without any signaling on the control channel. You can still use dynamic scheduling at the same time for other purposes if necessary; this carries on until changed by another indication on the control channel.

**Figure 4.2. Semipersistent and Dynamic Scheduling**



**4.1.2 Downlink Scheduling with HARQ**

Figure 4.3 continues to build on Figure 4.2. Again, the C-RNTI is found on the PDCCH, indicating that an upcoming downlink resource is scheduled for this UE.

**Figure 4.3. Downlink Scheduling with HARQ**

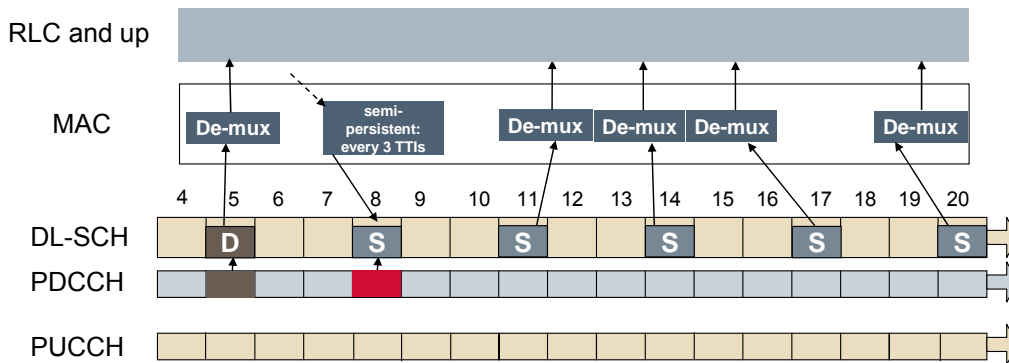
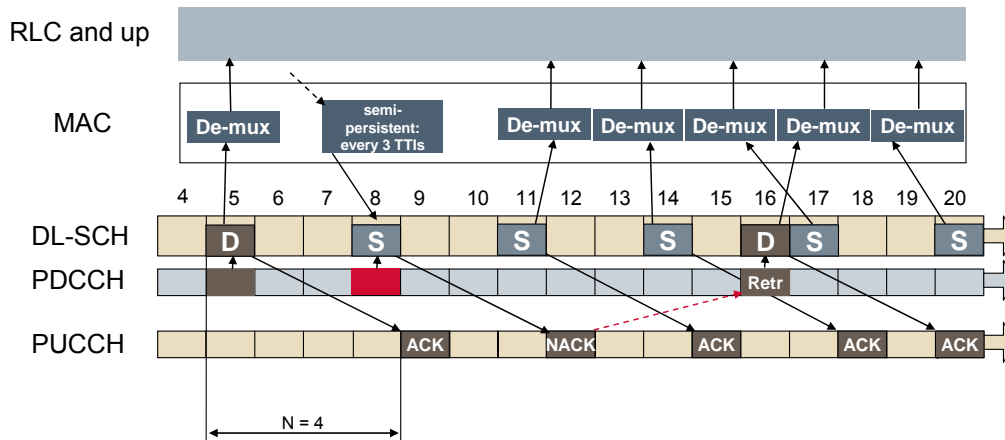


Figure 4.4 adds an illustration of the ACK/NACK process to Figure 4.3. HARQ generates an ACK or NACK, which is sent on L1/L2 control channel (PUCCH) on subframe n+4, for each downlink transport block. Here there is a negative acknowledgement, so a subframe needs to be retransmitted using HARQ. The retransmission is signaled dynamically and downlinked, then it is decoded and sent up to higher layers. Finally the subframe has to be acknowledged again. The process can become fairly complicated when both acknowledgements and semipersistent scheduling are involved.

**Figure 4.4. ACK/NACK Process in Downlink Scheduling**



**4.1.3 Uplink Scheduling with HARQ**

As with the downlink, uplink scheduling information is found on the PDCCH. The C-RNTI indicates that an upcoming uplink resource is scheduled for this UE in 4 TTI. The 4 TTI delay between when uplink slot availability is present when it actually has to be sent gives the UE time to dequeue, determine the proper priority and determine the best way to pack that transport block with information based on the QoS requirements of the scheduler that it's running locally. Figure 4.5 illustrates this process.

**Figure 4.5. Uplink Scheduling with HARQ**

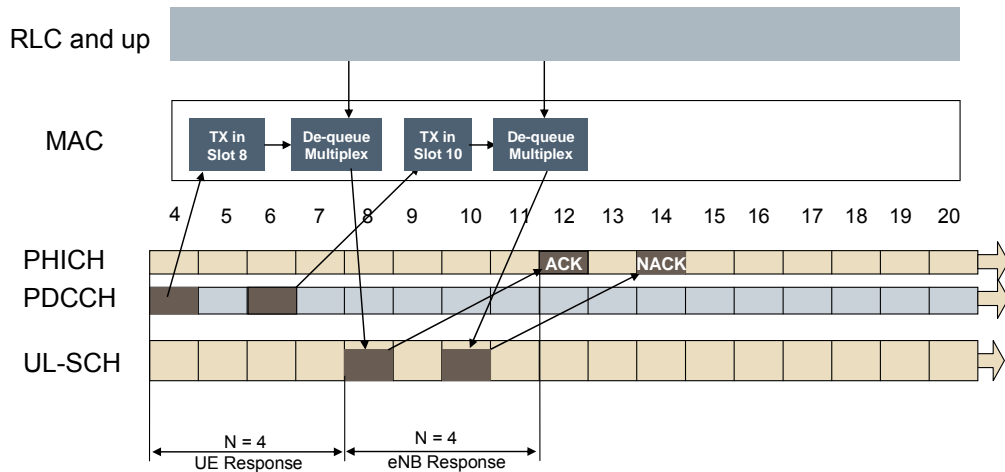
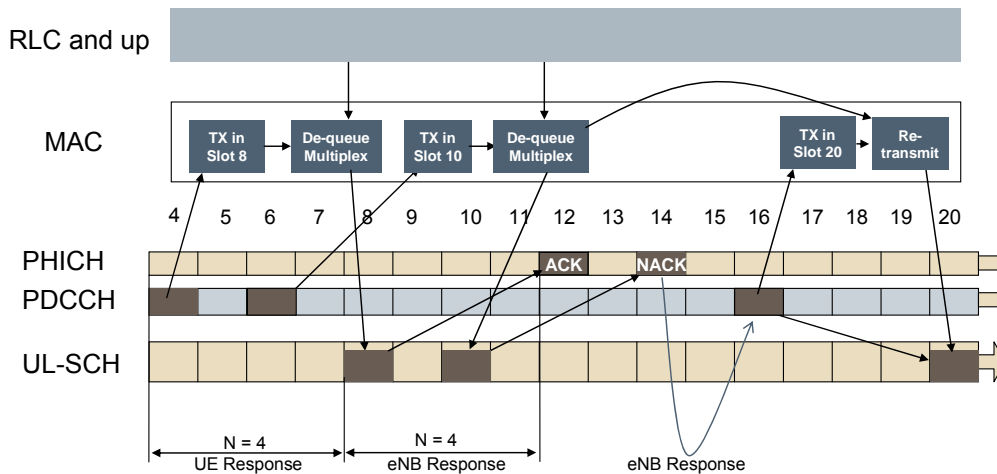


Figure 4.6 builds on Figure 4.5 to show the ACK/NACK process. The Physical HARQ Indicator Channel (PHICH) is a special channel for providing feedback from the eNodeB back to the UE on the HARQ process for the uplink. It carries ACK/NACK messages for uplink data transport blocks. HARQ is synchronous, with a fixed time of 4 TTI from uplink to ACK/NACK on the downlink from the eNodeB. The eNodeB responds back with an opportunity to retransmit which is then scheduled and retransmitted. Although this illustration does not show the positive acknowledgement after that, it would occur.



**Figure 4.6. ACK/NACK Process in Uplink Scheduling**



## 4.2 QoS Architecture

LTE architecture supports “hard QoS,” with end-to-end quality of service and guaranteed bit rate (GBR) for radio bearers. Just as Ethernet and the internet have different types of QoS, for example, various levels of QoS can be applied to LTE traffic for different applications. Because the LTE MAC is fully scheduled, QoS is a natural fit.

Evolved Packet System (EPS) bearers provide one-to-one correspondence with RLC radio bearers and provide support for Traffic Flow Templates (TFT). There are four types of EPS bearers:

- GBR Bearer – resources permanently allocated by admission control
- Non-GBR Bearer – no admission control
- Dedicated Bearer – associated with specific TFT (GBR or non-GBR)
- Default Bearer – Non GBR, “catch-all” for unassigned traffic

## 4.3 Management and Control Functions

UE management and control is handled in the Radio Resource Control (RRC). Functions handled by the RRC include the following:

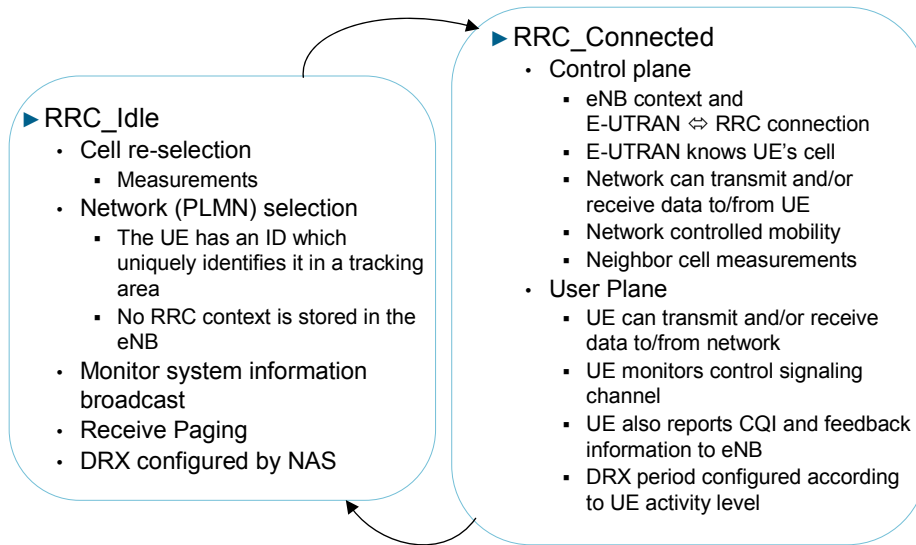
- Processing of broadcast system information, which provides information that allows a device to decide if it wants to connect to the network or not from the access stratum (AS) and non access stratum (NAS)
  - The access stratum is the functional grouping consisting of the parts in the infrastructure and the UE, and the protocols between these parts, specific to the access technique (i.e. the way the specific physical media between the UE and the infrastructure is used to carry information). The access stratum provides services related to the transmission of data over the radio interface and the management of the radio interface to the other parts of UMTS
- Paging, which indicates to a device in idle mode that it might have an incoming call
- RRC connection management between the UE and the eNodeB
- Integrity protection and ciphering of RRC messages (RRC uses different keys than the user plane)
- Radio Bearer control (logical channels at the top of the PDCP)
- Mobility functions (handover during active calls, and cell reselection when idle)
- UE measurement reporting and control of signal quality, both for the current base station and other base stations that the UE can hear
- QoS management maintains the uplink scheduling to maintain QoS requirements for different active radio bearers

There are two RRC states:

- RRC\_Idle – the radio is not active, but an ID is assigned and tracked by the network
- RRC\_Connected – active radio operation with context in the eNodeB base station

Figure 4.7 shows a state diagram of functions in the two RRC states. Connected mode measures, transmits and receives data. The idle state handles cell reselection, network selection, receiving and paging. In discontinuous reception (DRX), low power mode is configured in both active mode and idle mode. This is a much longer time period in idle mode; active mode is much shorter, based on activity level.

**Figure 4.7. RRC States**



## 4.4 Handover and Roaming

Handover is an important function that maintains seamless connectivity when transitioning from one base station to another. There are two types of handover: intra-RAT, which is within one radio access technology (i.e. LTE-to-LTE from one eNodeB to another), and inter-RAT between radio access technologies. Inter-RAT could be between LTE and GSM or 3G WCDMA, 3GPP2, WiMAX or even wireless LAN. These non-LTE handovers are being defined for the LTE standard. These involve higher layers and often different radio modems, but call continuity is guaranteed with up to 100 milliseconds of disruption when a call is transferred using techniques such as mobile IP or operations in software layers above the modem stack.

Handover occurs in the active state; it is controlled by the network (the eNodeB). The network uses measurements from the UE and its own knowledge of the network topology to determine when to handover a UE, and to which eNodeB. Cell re-selection occurs in the idle state; it is controlled by the UE.

### 4.4.1 Handover Measurement

In a single-radio architecture, it is challenging to monitor other networks while the receiver is active, because they are on different frequencies. The radio can only receive on one channel at a time. The radio needs to listen to other frequencies to determine if a better base station (eNodeB) is available.

In the active state, the eNB provides measurement gaps in the scheduling of the UE where no downlink or uplink scheduling occurs. Ultimately the network makes the decision, but the gap provides the UE sufficient time to change frequency, make a measurement, and switch back to the active channel. This can normally occur in a few TTIs. This has to be coordinated with the DRX, which also causes the system to shut off the radio for periods of time to save power.

#### 4.4.2 Handover: Neighbor Lists

The LTE network provides the UE with neighbor lists. Based on the network knowledge configuration, the eNodeB provides the UE with neighboring eNB's identifiers and their frequency. During measurement gaps or idle periods, the UE measures the signal quality of the neighbors it can receive. The UE reports results back to the eNodeB and the network decides the best handover (if any), based on signal quality, network utilization, etc.

### 4.5 Power Save Operation

In wireless data communication, the receiver uses significant power for the RF transceiver, fast A/D converters, wideband signal processing, etc. As LTE increases data rates by a factor of 50 over 3G, wireless device batteries are still the same size, so substantial improvements in power use are necessary to operate at these very high rates and wide bandwidths. Some of that savings comes from hardware, some from system architecture and some from the protocol.

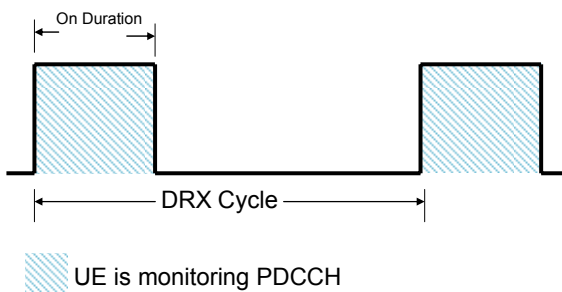
Wireless standards employ power save mechanisms. The objective is to turn off the radio for the most time possible while staying connected to the network. The radio modem can be turned off “most” of the time while the mobile device stays connected to the network with reduced throughput. The receiver is turned on at specific times for updates. Devices can quickly transition to full power mode for full performance.

#### 4.5.1 DRX and DTX

LTE power save protocols include Discontinuous Reception (DRX) and Discontinuous Transmission (DTX). Both involve reducing transceiver duty cycle while in active operation. DRX also applies to the RRC\_Idle state with a longer cycle time than active mode. However, DRX and DTX do not operate without a cost: the UE's data throughput capacity is reduced in proportion to power savings.

The RRC sets a cycle where the UE is operational for a certain period of time when all the scheduling and paging information is transmitted. The eNodeB knows that the UE is completely turned off and is not able to receive anything. Except when in DRX, the UE radio must be active to monitor PDCCH (to identify DL data). During DRX, the UE radio can be turned off. This is illustrated in Figure 4.8.

**Figure 4.8. DRX Cycle**

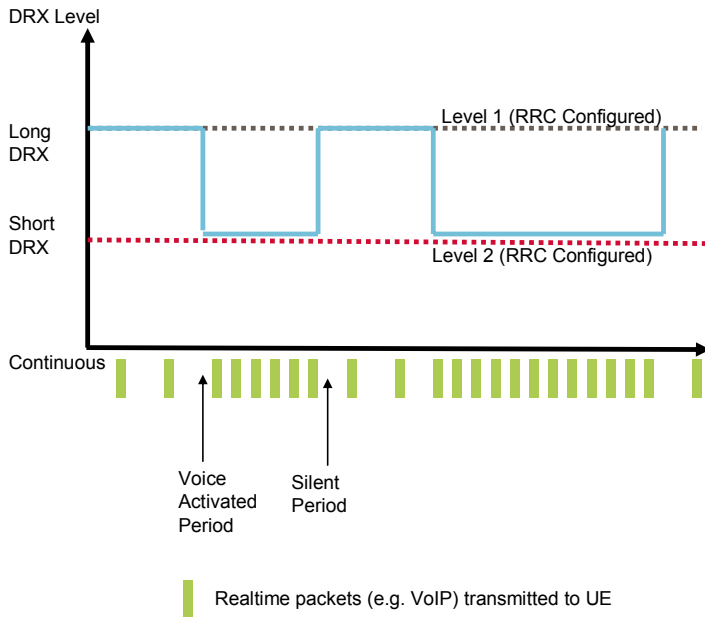


#### 4.5.2 Long and Short DRX

In active mode, there is dynamic transition between long DRX and short DRX. Long DRX has a longer “off” duration. Durations for long and short DRX are configured by the RRC. The transition is determined by the eNodeB (MAC commands) or by the UE based on an activity timer.

Figure 4.9 shows the DRX cycle operation during a voice over IP example. A lower duty cycle could be used during a pause in speaking during a voice over IP call; packets are coming at a lower rate, so the UE can be off for a longer period of time. When speaking resumes, this results in lower latency. Packets are coming more often, so the DRX interval is reduced during this period.

**Figure 4.9. Long and Short DRX**



## 5 Conclusion

The principal of LTE is that the LTE network, like all cellular systems, is designed to operate in scarce and valuable licensed spectrum. This means that it is highly optimized and a lot of complexity is necessary for the highest possible efficiency. When the standards body has to choose between efficiency and simplicity, they always choose efficiency to make the best use of this spectrum.

LTE uses all the time on the downlink for conveying data; the downlink PHY is fully scheduled so there are no gaps due to arbitration or contention except for the initial access on the random access procedure. The downlink carries multiple logical channels over one link, so a lot of information is multiplexed together in one transport block, as opposed to other networks where any given packet is only carrying one type of information at a given time, such as in a control plane or a user plane.

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