Universal Mobile Telecommunications System (UMTS); Physical layer - general description
(3GPP TS 25.201 version 9.0.0 Release 9)
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Foreword

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The present document may refer to technical specifications or reports using their 3GPP identities, UMTS identities or GSM identities. These should be interpreted as being references to the corresponding ETSI deliverables.

The cross reference between GSM, UMTS, 3GPP and ETSI identities can be found under http://webapp.etsi.org/key/queryform.asp.
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Foreword

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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;
    3  or greater indicates TSG approved document under change control.

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 describes a general description of the physical layer of the UTRA radio interface. The present document also describes the document structure of the 3GPP physical layer specifications, i.e. TS 25.200 series. The TS 25.200 series specifies the Uu point for the 3G mobile system, and defines the minimum level of specifications required for basic connections in terms of mutual connectivity and compatibility.

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 TS 25.211: "Physical channels and mapping of transport channels onto physical channels (FDD)".
[2] 3GPP TS 25.212: "Multiplexing and channel coding (FDD)".
[3] 3GPP TS 25.213: "Spreading and modulation (FDD)".
[6] 3GPP TS 25.221: "Physical channels and mapping of transport channels onto physical channels (TDD)".
[7] 3GPP TS 25.222: "Multiplexing and channel coding (TDD)".
[8] 3GPP TS 25.223: "Spreading and modulation (TDD)".
[9] 3GPP TS 25.224: "Physical layer procedures (TDD)".
[10] 3GPP TS 25.225: "Physical layer – Measurements (TDD)".
[12] 3GPP TR 25.944: "Channel coding and multiplexing examples”.
[14] 3GPP TS 25.302: "Services provided by the physical layer”.
[16] 3GPP TS 25.102: "UE Radio transmission and reception (TDD)”.
[17] 3GPP TS 25.104: "BTS Radio transmission and reception (FDD)”.
[18] 3GPP TS 25.105: "BTS Radio transmission and reception (TDD)”.
3 Abbreviations

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

- **16QAM**: 16 Quadrature Amplitude Modulation
- **64QAM**: 64 Quadrature Amplitude Modulation
- **ARQ**: Automatic Repeat Request
- **BER**: Bit Error Rate
- **CCTrCH**: Coded Composite Transport Channel
- **DCA**: Dynamic channel allocation
- **DCH**: Dedicated Channel
- **DS-CDMA**: Direct-Sequence Code Division Multiple Access
- **DSCH**: Downlink Shared Channel
- **DwPCH**: Downlink Pilot Channel
- **DwPTS**: Downlink Pilot Time Slot
- **E-DCH**: Enhanced Dedicated Channel
- **E-HICH**: E-DCH Hybrid ARQ Indicator Channel
- **E-RGCH**: E-DCH Relative Grant Channel
- **FDD**: Frequency Division Duplex
- **FEC**: Forward Error Correction
- **FER**: Frame Error Rate
- **GSM**: Global System for Mobile Communication
- **HS-DSCH**: High Speed Downlink Shared channel
- **HS-SCCH**: HS-DSCH Shared Control Channel
- **L1**: Layer 1 (physical layer)
- **L2**: Layer 2 (data link layer)
- **L3**: Layer 3 (network layer)
- **LAC**: Link Access Control
- **MAC**: Medium Access Control
- **MBSFN**: MBMS over a Single Frequency Network
- **Mcps**: Mega Chip Per Second
- **MIMO**: Multiple Input Multiple Output
- **QPSK**: Quaternary Phase Shift Keying
- **RACH**: Random Access Channel
- **RF**: Radio Frequency
- **RLC**: Radio Link Control
- **RRC**: Radio Resource Control
- **SAP**: Service Access Point
- **SCH**: Synchronisation Channel
- **SIR**: Signal-to-Interference Ratio
- **TDD**: Time Division Duplex
- **TDMA**: Time Division Multiple Access
- **TFCI**: Transport-Format Combination Indicator
- **UE**: User Equipment
- **UMTS**: Universal Mobile Telecommunications System
- **UpPTS**: Uplink Pilot Time Slot
- **UpPCH**: Uplink Pilot Channel
- **UTRA**: UMTS Terrestrial Radio Access
- **UTRAN**: UMTS Terrestrial Radio Access Network
- **WCDMA**: Wide-band Code Division Multiple Access
4 General description of Layer 1

4.1 Relation to other layers

4.1.1 General Protocol Architecture

Radio interface which is prescribed by this specification means the Uu point between User Equipment (UE) and network. The radio interface is composed of Layers 1, 2 and 3. Layer 1 is based on WCDMA/TD-SCDMA technology and the TS 25.200 series describes the Layer-1 specification. Layers 2 and 3 of the radio interface are described in the TS 25.300 series.

Figure 1: Radio interface protocol architecture around the physical layer

Figure 1 shows the UTRA radio interface protocol architecture around the physical layer (Layer 1). The physical layer interfaces the Medium Access Control (MAC) sub-layer of Layer 2 and the Radio Resource Control (RRC) Layer of Layer 3. The circles between different layer/sub-layers indicate Service Access Points (SAPs). The physical layer offers different Transport channels to MAC. A transport channel is characterized by how the information is transferred over the radio interface. MAC offers different Logical channels to the Radio Link Control (RLC) sub-layer of Layer 2. A logical channel is characterized by the type of information transferred. Physical channels are defined in the physical layer. There are two duplex modes: Frequency Division Duplex (FDD) and Time Division Duplex (TDD). In the FDD mode a physical channel is characterized by the code, frequency and in the uplink the relative phase (I/Q); in addition E-HICH and E-RGCH are also defined by a specific orthogonal signature sequence. In the TDD mode the physical channels are also characterized by the timeslot and additionally, the E-HICH is further defined by a specific orthogonal signature sequence. For 1.28Mcps TDD, the E-HICH can be also further defined by a group of orthogonal signature sequences. The physical layer is controlled by RRC.

4.1.2 Service provided to higher layers

The physical layer offers data transport services to higher layers. The access to these services is through the use of transport channels via the MAC sub-layer. The physical layer is expected to perform the following functions in order to provide the data transport service. See also TS 25.302:

- Macrodiversity distribution/combining and soft handover execution.
- Error detection on transport channels and indication to higher layers.
- FEC encoding/decoding of transport channels.
- Multiplexing of transport channels and demultiplexing of coded composite transport channels (CCTrCHs).
- Rate matching of coded transport channels to physical channels.
- Mapping of coded composite transport channels on physical channels.
- Power weighting and combining of physical channels.
4.2 General description of Layer 1

4.2.1 Multiple Access

The access scheme is Direct-Sequence Code Division Multiple Access (DS-CDMA) with information either spread over approximately 5 MHz (FDD and 3.84 Mcps TDD) bandwidth, thus also often denoted as Wideband CDMA (WCDMA) due that nature, 10MHz (7.68 Mcps TDD) bandwidth, or 1.6MHz (1.28Mcps TDD), thus also often denoted as Narrowband CDMA. UTRA has two modes, FDD (Frequency Division Duplex) & TDD (Time Division Duplex), for operating with paired and unpaired bands respectively. The possibility to operate in either FDD or TDD mode allows for efficient utilisation of the available spectrum according to the frequency allocation in different regions. FDD and TDD modes are defined as follows:

FDD: A duplex method whereby uplink and downlink transmissions use two separated radio frequencies. In the FDD, each uplink and downlink uses the different frequency band. A pair of frequency bands which have specified separation shall be assigned for the system.

TDD: A duplex method whereby uplink and downlink transmissions are carried over same radio frequency by using synchronised time intervals. In the TDD, time slots in a physical channel are divided into transmission and reception part. Information on uplink and downlink are transmitted reciprocally.

UTRA TDD has three options, the 3.84Mcps option and the 1.28Mcps option, the 7.68Mcps TDD option. UTRA TDD there is TDMA component in the multiple access in addition to DS-CDMA. Thus the multiple access has been also often denoted as TDMA/CDMA due to the added TDMA nature.

A 10 ms radio frame is divided into 15 slots (2560 chip/slot at the chip rate 3.84 Mcps). A physical channel is therefore defined as a code (or number of codes) and additionally in TDD mode the sequence of time slots completes the definition of a physical channel. In FDD, for HS-DSCH, E-DCH and associated signalling channels, 2ms sub-frames consisting of 3 slots are defined.

The information rate of the channel varies with the symbol rate being derived from the 3.84 Mcps chip rate and the spreading factor. Spreading factors are from 256 to 2 with FDD uplink, from 512 to 4 with FDD downlink, and from 16 to 1 for TDD uplink and downlink. Thus the respective modulation symbol rates vary from 1920 k symbols/s to 15 k symbols/s (7.5 k symbols/s) for FDD uplink (downlink), and for TDD the momentary modulation symbol rates shall vary from 3.84 M symbols/s to 240 k symbols/s.

For the 7.68Mcps TDD option, a 10 ms radio frame is divided into 15 slots (5120 chip/slot). A physical channel is therefore defined as a code (or number of codes) and the sequence of time slots.
The information rate of the channel varies with the symbol rate being derived from the 7.68 Mcps chip rate and the spreading factor. Spreading factors are from 32 to 1 for both uplink and downlink. Thus the respective modulation symbol rates vary from 7.68 M symbols/s to 240 k symbols/s.

For 1.28Mcps TDD option, a 10 ms radio frame is divided into two 5ms sub-frames. In each sub-frame, there are 7 normal time slots and 3 special time slots. Note that in case of entire carrier dedicated to MBSFN there are 7 normal MBSFN Traffic time slots and 1 short MBSFN Special time slot in each sub-frame. A basic physical channel is therefore characterised by the frequency, code and time slot.

The information rate of the channel varies with the symbol rate being derived from the 1.28 Mcps chip rate and the spreading factor. Spreading factors is from 16 to 1 for both uplink and downlink. Thus the respective modulation symbol rates shall vary from 80.0K symbols/s to 1.28M symbols/s.

### 4.2.2 Channel coding and interleaving

For the channel coding in UTRA two options are supported for FDD and three options are supported for TDD:

- Convolutional coding.
- Turbo coding.
- No coding (only TDD).

Channel coding selection is indicated by higher layers. In order to randomise transmission errors, bit interleaving is performed further.

### 4.2.3 Modulation and spreading

The UTRA modulation scheme is QPSK (8PSK is also used for 1.28Mcps TDD option). For HS-DSCH transmission, 16QAM and 64QAM can also be used, and for FDD HS-DSCH transmission, 64QAM can also be used. 16QAM is further supported for E-DCH transmission and for MBSFN\(^1\) FACH transmissions. Pulse shaping is specified in the TS 25.100 series.

With CDMA nature the spreading (& scrambling) process is closely associated with modulation. In UTRA different families of spreading codes are used to spread the signal:

- For separating channels from same source, channelisation codes derived with the code tree structure as given in TS 25.213 and 25.223 are used.
- For separating different cells the following solutions are supported.
  - FDD mode: Gold codes with 10 ms period (38400 chips at 3.84 Mcps) used, with the actual code itself length 2\(^{16}\) 1 chips, as defined in TS 25.213.
  - TDD mode: for the 3.84Mcps and 1.28Mcps TDD options, scrambling codes with the length 16 are used as defined in TS 25.223; for the 7.68Mcps TDD option, scrambling codes with length 32 are used.
- For separating different UEs the following code families are defined.
  - FDD mode: Gold codes with 10 ms period, or alternatively S(2) codes 256 chip period.
  - TDD mode: for the 3.84Mcps and 1.28Mcps TDD options, codes with period of 16 chips and midamble sequences of different length depending on the environment; for the 7.68Mcps TDD option, codes with period of 32 chips and midamble sequences of different length depending on the environment.

### 4.2.4 Physical layer procedures

There are several physical layer procedures involved with UTRA operation. Such procedures covered by physical layer description are:

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\(^1\) MBSFN transmission is characterised by a group of synchronised base stations transmitting the same wave form by using a common scrambling code.
1) The power control, inner loop for FDD mode, and for the 3.84Mcps TDD and 7.68Mcps TDD options open loop in uplink and inner loop in downlink, for 1.28Mcps TDD option, open loop in uplink and inner loop in both uplink and downlink.

2) Cell search operation.

3) Uplink synchronization control with open and closed loop.

4) Random access

5) Procedures related to HS-DSCH transmission, including HS-SCCH less operation and MIMO transmission.

6) Procedures related to E-DCH transmission.

7) Procedures related to discontinuous transmission and reception.

4.2.5 Physical layer measurements

Radio characteristics including FER, SIR, Interference power, etc., are measured and reported to higher layers and network. Such measurements are:

1) Handover measurements for handover within UTRA. Specific features being determined in addition to the relative strength of the cell, for the FDD mode the timing relation between for cells for support of asynchronous soft handover.

2) The measurement procedures for preparation for handover to GSM900/GSM1800.

3) The measurement procedures for UE before random access process.

4) The measurement procedures for Dynamic Channel Allocation (DCA) of TDD mode.

5) UTRAN measurements.

4.2.6 Relationship of the physical layer functions

The functionality of the layer 1 is split over several specifications each for FDD and TDD. The following figures, although not categorical, show as an introduction the relationship of layer 1 functions by specification in terms of users plane information flow.

![Figure 2 - FDD layer 1 functions relationships by specification](image-url)
5 Document structure of physical layer specification

5.1 Overview

The physical layer specification consists of a general document (TS 25.201), five FDD mode documents (TS 25.211 through 25.215), five TDD mode documents (TS 25.221 through 25.225). In addition, there are two technical reports (TR 25.833 and 25.944).

5.2 TS 25.201: Physical layer – General description

The scope is to describe:
- the contents of the Layer 1 documents (TS 25.200 series);
- where to find information;
- a general description of Layer 1.

5.3 TS 25.211: Physical channels and mapping of transport channels onto physical channels (FDD)

The scope is to establish the characteristics of the Layer-1 transport channels and physical channels in the FDD mode, and to specify:
- the different transport channels that exist;
- which physical channels exist;
- what is the structure of each physical channel, slot format etc.;
- relative timing between different physical channels in the same link, and relative timing between uplink and downlink;
- mapping of transport channels onto the physical channels.

5.4 TS 25.212: Multiplexing and channel coding (FDD)

The scope is to describe multiplexing, channel coding and interleaving in the FDD mode, and to specify:
5.5 **TS 25.213: Spreading and modulation (FDD)**

The scope is to establish the characteristics of the spreading and modulation in the FDD mode, and to specify:

- the spreading (channelisation plus scrambling);
- generation of channelisation and scrambling codes;
- generation of RACH preamble codes;
- generation of SCH synchronisation codes;
- modulation.

RF channel arrangements and Pulse shaping are specified in TS 25.101 for UE and in TS 25.104 for Node-B.

5.6 **TS 25.214: Physical layer procedures (FDD)**

The scope is to establish the characteristics of the physical layer procedures in the FDD mode, and to specify:

- cell search procedures;
- power control procedures;
- random access procedure.

5.7 **TS 25.215: Physical layer – Measurements (FDD)**

The scope is to establish the characteristics of the physical layer measurements in the FDD mode, and to specify:

- the measurements that Layer 1 is to perform;
- reporting of measurements to higher layers and network;
- handover measurements, idle-mode measurements etc.

5.8 **TS 25.221: Physical channels and mapping of transport channels onto physical channels (TDD)**

The scope is to establish the characteristics of the Layer-1 transport channels and physical channels in the TDD mode, and to specify:

- transport channels;
- physical channels, structure and contents;
- mapping of transport channels onto the physical channels.
5.9 TS 25.222: Multiplexing and channel coding (TDD)

The scope is to describe multiplexing, channel coding and interleaving in the TDD mode, and to specify:
- channel coding and multiplexing of transport channels into CCTrCHs;
- channel coding alternatives;
- coding for Layer 1 control information, such as TFCI;
- interleaving;
- rate matching;
- physical channel segmentation and mapping.

5.10 TS 25.223: Spreading and modulation (TDD)

The scope is to establish the characteristics of the spreading and modulation in the TDD mode, and to specify:
- data modulation;
- spreading;
- generation of synchronisation codes.

RF channel arrangements and Pulse shaping are specified in TS 25.102 for UE and in TS 25.105 for Node-B.

5.11 TS 25.224: Physical layer procedures (TDD)

The scope is to establish the characteristics of the physical layer procedures in the TDD mode, and to specify:
- cell synchronisation;
- timing advance;
- power control procedures;
- idle mode tasks.

5.12 TS 25.225: Physical layer – Measurements (TDD)

The scope is to establish the characteristics of the physical layer measurements in the TDD mode, and to specify:
- the measurements that Layer 1 is to perform;
- reporting of measurements to higher layers and network;
- handover measurements, idle-mode measurements etc.

5.13 TR 25.833: Physical layer items not for inclusion in Release '99

The scope is to collect materials on UTRA physical layer items not included in the Release '99 specification documents, such as DSCH control channel, FAUSCH, Hybrid ARQ, 4-state SCCC turbo coding and ODMA.

5.14 TR 25.944: Channel coding and multiplexing examples

The scope is to describe examples of channel coding and multiplexing for transport channels of various types and cases.
## Annex A (informative):
Preferred mathematical notations

The following table contains the preferred mathematical notations used in L1 documentation.

<table>
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<tr>
<th>Item</th>
<th>Notation</th>
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<tr>
<td>multiply product</td>
<td>cross sign, e.g. ( a \times b )</td>
</tr>
<tr>
<td>matrix product</td>
<td>dot sign, e.g. ( a \cdot b )</td>
</tr>
<tr>
<td>scalar product (product of a matrix by a scalar)</td>
<td>dot sign, scalar should precede matrix e.g. ((1 + j) \cdot \begin{bmatrix} u \ v \end{bmatrix})</td>
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<tr>
<td>matrix dimensioning</td>
<td>number of rows ( \times ) number of column, e.g.: ( R \times C )</td>
</tr>
<tr>
<td>Kronecker product</td>
<td>( a \otimes b )</td>
</tr>
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<td>bracketing of sets (all elements of same type, not ordered elements)</td>
<td>curly brackets ( { }, ) e.g. ( { a_1, a_2, \ldots, a_p }, ) or ( { a_i }_{i \in {1,2,\ldots,p}} )</td>
</tr>
<tr>
<td>bracketing of lists (all elements not necessary of same type, ordered elements)</td>
<td>round brackets ( () ), e.g. (( A, u, x ))</td>
</tr>
<tr>
<td>bracketing of sequences (all elements of same type, ordered elements)</td>
<td>angle brackets, e.g. ( &lt;a_1, a_2, \ldots, a_p&gt; ) or ( { a_i }_{i \in {1,2,\ldots,p}} )</td>
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<tr>
<td>bracketing of function argument</td>
<td>round brackets, e.g. ( f(x) )</td>
</tr>
<tr>
<td>bracketing of array index</td>
<td>square brackets, e.g. ( a[x] )</td>
</tr>
<tr>
<td>bracketing of matrix or vector</td>
<td>square brackets ( [ ] ), e.g. ( \begin{bmatrix} x \ y \end{bmatrix}, \begin{bmatrix} x &amp; y \end{bmatrix}, ) or ( \begin{bmatrix} 1 &amp; 1 \ 1 &amp; -1 \end{bmatrix} )</td>
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<tr>
<td>Separation of indexes</td>
<td>use a comma : e.g. ( N_{ij} )</td>
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<td>use of italic for symbols</td>
<td>a symbol should be either in italic or in normal font, but mixing up should be avoided.</td>
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<tr>
<td>bracketing of arithmetic expression to force precedence of operations</td>
<td>round brackets : e.g. ( (a + b) \times c )</td>
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<td>necessity of bracketing arithmetic expressions</td>
<td>When only + and ( \times ) bracketing is not necessary. When the mod operator is used explicit bracketing of mod operands and possibly result should be done.</td>
</tr>
<tr>
<td>number type</td>
<td>in a context of non negative integer numbers, some notes should stress when a number is signed, or possibly fractional.</td>
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<td>binary xor and and</td>
<td>respectively use + or ( .) If no &quot;mod 2&quot; is explicitly in the expression some text should stress that the operation is modulo 2.</td>
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<td>matrix or vector transpose</td>
<td>( v^T )</td>
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<tr>
<td>1( \times )1 matrices</td>
<td>implicitly cast to its unique element.</td>
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<td>vector dot product</td>
<td>( u^T \cdot v ) for column vectors, and ( u \cdot v^T ) for line vectors</td>
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<td>( v^* )</td>
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<td>matrix or vector Hermitian transpose</td>
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<td>real part and imaginary part of complex numbers.</td>
<td>( \text{Re}(x) ) and ( \text{Im}(x) )</td>
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## Annex B (informative):
Change history

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