

ETSI TS 138 304 V15.8.0 (2021-10)



**5G;
NR;
User Equipment (UE)
procedures in idle mode and in RRC Inactive state
(3GPP TS 38.304 version 15.8.0 Release 15)**

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1 Scope

The present document specifies the Access Stratum (AS) part of the UE procedures in RRC_IDLE state (also called Idle mode) and RRC_INACTIVE state. The non-access stratum (NAS) part of Idle mode procedures and processes is specified in TS 23.122 [9].

The present document specifies the model for the functional division between the NAS and AS in a UE.

The present document applies to all UEs that support at least NR Radio Access, including multi-RAT UEs as described in 3GPP specifications, in the following cases:

- When the UE is camped on a NR cell;
- When the UE is searching for a cell to camp on;

NOTE: When the UE is camped on or searching for a cell to camp on belonging to other RATs, the UE behaviour is described in the specifications of the other RATs.

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.
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- [1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".
- [2] 3GPP TS 38.300: "NR Overall Description; Stage 2".
- [3] 3GPP TS 38.331: "NR; Radio Resource Control (RRC) - Protocol Specification".
- [4] 3GPP TS 38.213: "NR; Physical layer procedures for control".
- [5] Void
- [6] 3GPP TS 36.331: "E-UTRA; Radio Resource Control (RRC) - Protocol Specification".
- [7] 3GPP TS 36.304: "E-UTRA; User Equipment (UE) procedures in RRC_IDLE state".
- [8] 3GPP TS 38.133: "NR; Requirements for Support of Radio Resource Management".
- [9] 3GPP TS 23.122: "NAS functions related to Mobile Station (MS) in RRC_IDLE state".
- [10] 3GPP TS 23.501: "System Architecture for the 5G System; Stage 2".
- [11] 3GPP TS 38.215: "NR; Physical layer measurements".
- [12] 3GPP TS 22.261: "Service requirements for the 5G system".
- [13] 3GPP TS 24.890: "5G System – Phase 1; CT WG1 Aspects".
- [14] 3GPP TS 24.501: "Non-Access-Stratum (NAS) protocol for 5G System (5GS); Stage 3".
- [15] 3GPP TS 38.101-1: "NR; User Equipment (UE) radio transmission and reception; Part 1: Range 1 Standalone".

3 Definitions, symbols and abbreviations

3.1 Definitions

For the purposes of the present document, the following terms and definitions apply:

Acceptable Cell: A cell that satisfies certain conditions as specified in 4.5.

Available PLMN(s): One or more PLMN(s) for which the UE has found at least one cell and read its PLMN identity(ies).

Barred Cell: A cell a UE is not allowed to camp on.

Camped on a cell: UE has completed the cell selection/reselection process and has chosen a cell. The UE monitors system information and (in most cases) paging information.

Camped on any cell: UE is in idle mode and has completed the cell selection/reselection process and has chosen a cell irrespective of PLMN identity.

Commercial Mobile Alert System: Public Warning System that delivers *Warning Notifications* provided by *Warning Notification Providers* to CMAS capable UEs.

EHPLMN: Any of the PLMN entries contained in the Equivalent HPLMN list TS 23.122 [9].

Equivalent PLMN list: List of PLMNs considered as equivalent by the UE for cell selection, cell reselection, and handover according to the information provided by the NAS.

Home PLMN: A PLMN where the Mobile Country Code (MCC) and Mobile Network Code (MNC) of the PLMN identity are the same as the MCC and MNC of the IMSI.

Process: A local action in the UE invoked by an RRC procedure or an RRC_IDLE or RRC_INACTIVE state procedure.

Radio Access Technology: Type of technology used for radio access, for instance NR or E-UTRA.

Registration Area: (NAS) registration area is an area in which the UE may roam without a need to perform location registration, which is a NAS procedure.

Registered PLMN: This is the PLMN on which certain Location Registration outcomes have occurred, as specified in TS 23.122 [9].

Reserved Cell: A cell on which camping is not allowed, except for particular UEs, if so indicated in the system information.

Selected PLMN: This is the PLMN that has been selected by the NAS, either manually or automatically.

Serving cell: The cell on which the UE is camped.

Strongest cell: The cell on a particular frequency that is considered strongest according to the layer 1 cell search procedure (TS 38.213 [4], TS 38.215 [11]).

Suitable Cell: This is a cell on which a UE may camp. For NR cell, the criteria are defined in clause 4.5, for E-UTRA cell in TS 36.304 [7].

3.2 Abbreviations

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

AS	Access Stratum
CMAS	Commercial Mobile Alert System
CN	Core Network

DCI	Downlink Control Information
ETWS	Earthquake and Tsunami Warning System
E-UTRA	Evolved UMTS Terrestrial Radio Access
E-UTRAN	Evolved UMTS Terrestrial Radio Access Network
IMSI	International Mobile Subscriber Identity
MCC	Mobile Country Code
MICO	Mobile Initiated Connection Only
NAS	Non-Access Stratum
NR	NR Radio Access
PLMN	Public Land Mobile Network
RAT	Radio Access Technology
RNA	RAN-based Notification Area
RNAU	RAN-based Notification Area Update
RRC	Radio Resource Control
UAC	Unified Access Control
UE	User Equipment
UMTS	Universal Mobile Telecommunications System

4 General description of RRC_IDLE state and RRC_INACTIVE state

4.1 Overview

The RRC_IDLE state and RRC_INACTIVE state tasks can be subdivided into three processes:

- PLMN selection;
- Cell selection and reselection;
- Location registration and RNA update.

PLMN selection, cell reselection procedures, and location registration are common for both RRC_IDLE state and RRC_INACTIVE state. RNA update is only applicable for RRC_INACTIVE state. When UE selects a new PLMN, UE transitions from RRC_INACTIVE to RRC_IDLE, as specified in TS 24.501 [14].

When a UE is switched on, a public land mobile network (PLMN) is selected by NAS. For the selected PLMN, associated RAT(s) may be set, as specified in TS 23.122 [9]. The NAS shall provide a list of equivalent PLMNs, if available, that the AS shall use for cell selection and cell reselection.

With cell selection, the UE searches for a suitable cell of the selected PLMN, chooses that cell to provide available services, and monitors its control channel. This procedure is defined as "camping on the cell".

The UE shall, if necessary, then register its presence, by means of a NAS registration procedure, in the tracking area of the chosen cell. As an outcome of a successful Location Registration, the selected PLMN then becomes the registered PLMN, as specified in TS 23.122 [9].

If the UE finds a more suitable cell, according to the cell reselection criteria, it reselects onto that cell and camps on it. If the new cell does not belong to at least one tracking area to which the UE is registered, location registration is performed. In RRC_INACTIVE state, if the new cell does not belong to the configured RNA, an RNA update procedure is performed.

If necessary, the UE shall search for higher priority PLMNs at regular time intervals as described in TS 23.122 [9] and search for a suitable cell if another PLMN has been selected by NAS.

If the UE loses coverage of the registered PLMN, either a new PLMN is selected automatically (automatic mode), or an indication of available PLMNs is given to the user so that a manual selection can be performed (manual mode).

Registration is not performed by UEs only capable of services that need no registration.

The purpose of camping on a cell in RRC_IDLE state and RRC_INACTIVE state is fourfold:

- a) It enables the UE to receive system information from the PLMN.
- b) When registered and if the UE wishes to establish an RRC connection or resume a suspended RRC connection, it can do this by initially accessing the network on the control channel of the cell on which it is camped.
- c) If the network needs to send a message or deliver data to the registered UE, it knows (in most cases) the set of tracking areas (in RRC_IDLE state) or RNA (in RRC_INACTIVE state) in which the UE is camped. It can then send a "paging" message for the UE on the control channels of all the cells in the corresponding set of areas. The UE will then receive the paging message and can respond.
- d) It enables the UE to receive ETWS and CMAS notifications.

When the UE is in RRC_IDLE state, upper layers may deactivate AS layer when MICO mode is activated as specified in TS 24.501 [14]. When MICO mode is activated, the AS configuration (e.g. priorities provided by dedicated signalling) is kept and all running timers continue to run but the UE need not perform any idle mode tasks. If a timer expires while MICO mode is activated it is up to the UE implementation whether it performs the corresponding action immediately or the latest when MICO mode is deactivated. When MICO mode is deactivated, the UE shall perform all idle mode tasks.

4.2 Functional division between AS and NAS in RRC_IDLE state and RRC_INACTIVE state

Table 4.2-1 presents the functional division between UE non-access stratum (NAS) and UE access stratum (AS) in RRC_IDLE state and RRC_INACTIVE states. The NAS part is specified in TS 23.122 [9] and the AS part in the present document.

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Table 4.2-1: Functional division between AS and NAS in RRC_IDLE state and RRC_INACTIVE state

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RRC_IDLE and RRC_INACTIVE state Process	UE Non-Access Stratum	UE Access Stratum
PLMN Selection	<p>Maintain a list of PLMNs in priority order according to TS 23.122 [9]. Select a PLMN using automatic or manual mode as specified in TS 23.122 [9] and request AS to select a cell belonging to this PLMN. For each PLMN, associated RAT(s) may be set.</p> <p>Evaluate reports of available PLMNs from AS for PLMN selection.</p> <p>Maintain a list of equivalent PLMN identities.</p>	<p>Search for available PLMNs.</p> <p>If associated RAT(s) is (are) set for the PLMN, search in this (these) RAT(s) and other RAT(s) for that PLMN as specified in TS 23.122 [9].</p> <p>Perform measurements to support PLMN selection.</p> <p>Synchronise to a broadcast channel to identify found PLMNs.</p> <p>Report available PLMNs with associated RAT(s) to NAS on request from NAS or autonomously.</p>
Cell Selection	<p>Control cell selection for example by indicating RAT(s) associated with the selected PLMN to be used initially in the search of a cell in the cell selection.</p> <p>Maintain a list of "Forbidden Tracking Areas" and provide the list to AS.</p>	<p>Perform measurements needed to support cell selection.</p> <p>Detect and synchronise to a broadcast channel. Receive and handle broadcast information. Forward NAS system information to NAS.</p> <p>Search for a suitable cell. The cells broadcast one or more 'PLMN identity' in the system information. Respond to NAS whether such cell is found or not.</p> <p>If associated RATs is (are) set for the PLMN, perform the search in this (these) RAT(s) and other RATs for that PLMN as specified in TS 23.122 [9].</p> <p>If a cell is found which satisfies cell selection criteria, camp on that cell.</p>
Cell Reselection	<p>Maintain a list of equivalent PLMN identities and provide the list to AS.</p> <p>Maintain a list of "Forbidden Tracking Areas" and provide the list to AS.</p>	<p>Perform measurements needed to support cell reselection.</p> <p>Detect and synchronise to a broadcast channel. Receive and handle broadcast information. Forward NAS system information to NAS.</p> <p>Change cell if a more suitable cell is found.</p>
Location registration	<p>Register the UE as active after power on.</p> <p>Register the UE's presence in a registration area, for instance regularly or when entering a new tracking area.</p> <p>Deregister UE when shutting down.</p> <p>Maintain a list of "Forbidden Tracking Areas".</p>	<p>Report registration area information to NAS.</p>
RAN Notification Area Update	<p>Not applicable.</p>	<p>Register the UE's presence in a RAN-based notification area (RNA), periodically or when entering a new RNA.</p>

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