**3GPP TSG-RAN WG4 Meeting #95-e R4-2008600**

**Electronic Meeting, 25 May – 5 June, 2020**

**Source: ZTE**

**Title: TP for IAB RLM**

**Agenda item: 6.5.3.4**

**Document for: Approval**

# Introduction

In last meeting RAN4 94-e-bis, the RRM requirements about IAB RLM have been discussed among companies with some conclusions. As presented in our parallel paper [1], we suggest that RLM requirement for IAB MTs could largely reuse the existing requirements for R15 UEs as specified in TS 38.133 [2] with some relaxations on certain aspects. We present the text proposal to the IAB spec 38.174 in this paper.

# References

[1] R4-2006016, on RLM requirements for IAB MT

[2] TS 38.133

# Text proposal

Text proposal to TS 38.174

<START OF TP>

12.3.1 Radio Link Monitoring

12.3.1.1 Introduction

The requirements in clause 12.3.1 apply for radio link monitoring on:

- PCell in SA NR and NR-DC operation mode,

- PSCell in NR-DC and EN-DC operation mode.

The IAB-MT shall monitor the downlink radio link quality based on the reference signal configured as RLM-RS resource(s) in order to detect the downlink radio link quality of the PCell and PSCell as specified in TS 38.213 [TBD]. The configured RLM-RS resources can be all SSBs, or all CSI-RSs, or a mix of SSBs and CSI-RSs. IAB-MT is not required to perform RLM outside the active DL BWP.

On each RLM-RS resource, the IAB-MT shall estimate the downlink radio link quality and compare it to the thresholds Qout and Qin for the purpose of monitoring downlink radio link quality of the cell.

The threshold Qout is defined as the level at which the downlink radio link cannot be reliably received and shall correspond to the out-of-sync block error rate (BLERout) as defined in Table 12.3.1.1-1. For SSB based radio link monitoring, Qout\_SSB is derived based on the hypothetical PDCCH transmission parameters listed in Table 12.3.1.2.1-1. For CSI-RS based radio link monitoring, Qout\_CSI-RS is derived based on the hypothetical PDCCH transmission parameters listed in Table 12.3.1.3.1-1.

The threshold Qin is defined as the level at which the downlink radio link quality can be received with significantly higher reliability than at Qout and shall correspond to the in-sync block error rate (BLERin) as defined in Table 12.3.1.1-1. For SSB based radio link monitoring, Qin\_SSB is derived based on the hypothetical PDCCH transmission parameters listed in Table 12.3.1.2.1-2. For CSI-RS based radio link monitoring, Qin\_CSI-RS is derived based on the hypothetical PDCCH transmission parameters listed in Table 12.3.1.3.1-2.

The out-of-sync block error rate (BLERout) and in-sync block error rate (BLERin) are determined from the network configuration via parameter *rlmInSyncOutOfSyncThreshold* signalled by higher layers. When IAB-MT is not configured with *rlmInSyncOutOfSyncThreshold* from the network, IAB-MT determines out-of-sync and in-sync block error rates from Configuration #0 in Table 12.3.1.1-1 by default. All requirements in clause 12.3.1 are applicable for BLER Configuration #0 in Table 12.3.1.1-1.

**Table 12.3.1.1-1: Out-of-sync and in-sync block error rates**

|  |  |  |
| --- | --- | --- |
| **Configuration** | **BLERout** | **BLERin** |
| 0 | 10% | 2% |

IAB-MT shall be able to monitor up to NRLM RLM-RS resources of the same or different types in each corresponding carrier frequency range, depending on a maximum number  of candidate SSBs per half frame according to TS 38.213 [TBD], where NRLM is specified in Table 12.3.1.1-2, and meet the requirements as specified in clause 12.3.1. IAB-MT is not required to meet the requirements in clause 12.3.1 if RLM-RS is not configured and no TCI state for PDCCH is activated.

**Table 12.3.1.1-2: Maximum number of RLM-RS resources NRLM**

|  |  |  |
| --- | --- | --- |
| **Carrier frequency range of PCell/PSCell**  |  | **Maximum number of RLM-RS resources, NRLM**  |
| FR1, ≤ 3 GHzNote  | 4 | 2 |
| FR1, > 3 GHzNote  | 8 | 4 |
| FR2 | 64 | 8 |
| NOTE: For unpaired spectrum operation with Case C - 30 kHz SCS, 3GHz is replaced by 2.4GHz, as specified in clause 4.1 in TS 38.213 [TBD]. |

12.3.1.2 Requirements for SSB based radio link monitoring

12.3.1.2.1 Introduction

The requirements in this clause apply for each SSB based RLM-RS resource configured for PCell or PSCell, provided that the SSB configured for RLM is actually transmitted within IAB-MT active DL BWP during the entire evaluation period specified in clause 12.3.1.2.2.

**Table 12.3.1.2.1-1: PDCCH transmission parameters for out-of-sync evaluation**

|  |  |
| --- | --- |
| **Attribute** | **Value for BLER Configuration #0** |
| DCI format | 1-0 |
| Number of control OFDM symbols | 2 |
| Aggregation level (CCE) | 8 |
| Ratio of hypothetical PDCCH RE energy to average SSS RE energy | 4dB |
| Ratio of hypothetical PDCCH DMRS energy to average SSS RE energy | 4dB |
| Bandwidth (PRBs) | 24 |
| Sub-carrier spacing (kHz) | SCS of the active DL BWP |
| DMRS precoder granularity | REG bundle size |
| REG bundle size | 6 |
| CP length | Normal |
| Mapping from REG to CCE | Distributed |

**Table 12.3.1.2.1-2: PDCCH transmission parameters for in-sync evaluation**

|  |  |
| --- | --- |
| **Attribute** | **Value for BLER Configuration #0** |
| DCI payload size | 1-0 |
| Number of control OFDM symbols | 2 |
| Aggregation level (CCE) | 4 |
| Ratio of hypothetical PDCCH RE energy to average SSS RE energy | 0dB |
| Ratio of hypothetical PDCCH DMRS energy to average SSS RE energy | 0dB |
| Bandwidth (PRBs) | 24 |
| Sub-carrier spacing (kHz) | SCS of the active DL BWP |
| DMRS precoder granularity | REG bundle size |
| REG bundle size | 6 |
| CP length | Normal |
| Mapping from REG to CCE | Distributed |

12.3.1.2.2 Minimum requirement

IAB-MT shall be able to evaluate whether the downlink radio link quality on the configured RLM-RS resource estimated over the last TEvaluate\_out\_SSB [ms] period becomes worse than the threshold Qout\_SSB within TEvaluate\_out\_SSB [ms] evaluation period.

IAB-MT shall be able to evaluate whether the downlink radio link quality on the configured RLM-RS resource estimated over the last TEvaluate\_in\_SSB [ms] period becomes better than the threshold Qin\_SSB within TEvaluate\_in\_SSB [ms] evaluation period.

TEvaluate\_out\_SSB and TEvaluate\_in\_SSB are defined in Table 12.3.1.2.2-1 for FR1 with scaling factor K1.

TEvaluate\_out\_SSB and TEvaluate\_in\_SSB are defined in Table 12.3.1.2.2-2 for FR2 with scaling factor N=8 and K2.

*Editor’s note: K1 and K2 will eventually be replaced by their values once RAN4 finalizes these.*

For FR1,

- $P=\frac{1}{1-\frac{T\_{SSB}}{MRGP}}$, when in the monitored cell there are measurement gaps configured for intra-frequency, inter-frequency or inter-RAT measurements, and these measurement gaps are overlapping with some but not all occasions of the SSB; and

- P = 1 when in the monitored cell there are no measurement gaps overlapping with any occasion of the SSB.

For FR2,

- $P=\frac{1}{1-\frac{T\_{SSB}}{T\_{SMTCperiod}}}$, when RLM-RS resource is not overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TSSB < TSMTCperiod).

- P is Psharing factor, when the RLM-RS resource is not overlapped with measurement gap and RLM-RS resource is fully overlapped with SMTC period (TSSB = TSMTCperiod).

- $P=\frac{1}{1-\frac{T\_{SSB}}{MRGP} - \frac{T\_{SSB}}{T\_{SMTCperiod}}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TSSB < TSMTCperiod) and SMTC occasion is not overlapped with measurement gap and

- TSMTCperiod ≠ MGRP or

- TSMTCperiod = MGRP and TSSB < 0.5\*TSMTCperiod

- $P=\frac{P\_{sharing factor}}{1-\frac{T\_{SSB}}{MRGP}}$, when the RLM-RS is partially overlapped with measurement gap and the RLM-RS is partially overlapped with SMTC occasion (TSSB < TSMTCperiod) and SMTC occasion is not overlapped with measurement gap and TSMTCperiod = MGRP and TSSB = 0.5 × TSMTCperiod

- $P=\frac{1}{1-\frac{T\_{SSB}}{Min(MRGP, T\_{SMTCperiod})}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TSSB < TSMTCperiod) and SMTC occasion is partially or fully overlapped with measurement gap

- $P=\frac{P\_{sharing factor}}{1-\frac{T\_{SSB}}{MRGP}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is fully overlapped with SMTC occasion (TSSB = TSMTCperiod) and SMTC occasion is partially overlapped with measurement gap (TSMTCperiod < MGRP)

* Psharing factor = 1
* if all of the reference signals configured for RLM outside measurement gap are not fully overlapped by intra-frequency SMTC occasions, or
* if all of the reference signal configured for RLM outside measurement gap and fully-overlapped by intra-frequency SMTC occasions are not overlapped by with the SSB symbols indicated by *SSB-ToMeasure* and 1 symbol before each consecutive SSB symbols indicated by *SSB-ToMeasure* and 1 symbol after each consecutive SSB symbols indicated by *SSB-ToMeasure*, given that *SSB-ToMeasure* is configured;
* Psharing factor = 3, otherwise.

If the high layer in TS 38.331 [TBD] signaling of *smtc2*is present, TSMTCperiod follows *smtc2*; Otherwise TSMTCperiod follows *smtc1.*

Longer evaluation period would be expected if the combination of RLM-RS resource, SMTC occasion and measurement gap configurations does not meet previous conditions.

**Table 12.3.1.2.2-1: Evaluation period TEvaluate\_out\_SSB and TEvaluate\_in\_SSB for FR1**

|  |  |  |
| --- | --- | --- |
| **Configuration** | **TEvaluate\_out\_SSB (ms)**  | **TEvaluate\_in\_SSB (ms)**  |
| no DRX | Max(200 × K1, Ceil(10 × P × K1) × TSSB) | Max(100 × K1, Ceil(5 × P × K1) × TSSB) |
| NOTE: TSSB is the periodicity of the SSB configured for RLM. |

**Table 12.3.1.2.2-2: Evaluation period TEvaluate\_out\_SSB and TEvaluate\_in\_SSB for FR2**

|  |  |  |
| --- | --- | --- |
| **Configuration** | **TEvaluate\_out\_SSB (ms)**  | **TEvaluate\_in\_SSB (ms)**  |
| no DRX | Max(200 × K2, Ceil(10 × P × N × K2) × TSSB) | Max(100 × K2, Ceil(5 × P × N × K2) × TSSB) |
| NOTE: TSSB is the periodicity of the SSB configured for RLM. |

12.3.1.2.3 Measurement restrictions for SSB based RLM

The UE requirements in sub-clause 8.1.2.3 [6] apply for IAB-MT.

12.3.1.3 Requirements for CSI-RS based radio link monitoring

12.3.1.3.1 Introduction

The requirements in this clause apply for each CSI-RS based RLM-RS resource configured for PCell or PSCell, provided that the CSI-RS configured for RLM is actually transmitted within IAB-MT active DL BWP during the entire evaluation period specified in clause 12.3.1.3.2. IAB-MT is not expected to perform radio link monitoring measurements on the CSI-RS configured as RLM-RS if the CSI-RS is not in the active TCI state of any CORESET configured in the IAB-MT active BWP.

**Table 12.3.1.3.1-1: PDCCH transmission parameters for out-of-sync evaluation**

|  |  |
| --- | --- |
| **Attribute** | **Value for BLER Configuration #0** |
| DCI format | 1-0 |
| Number of control OFDM symbols | 2 |
| Aggregation level (CCE) | 8 |
| Ratio of hypothetical PDCCH RE energy to average CSI-RS RE energy | 4dB |
| Ratio of hypothetical PDCCH DMRS energy to average CSI-RS RE energy | 4dB |
| Bandwidth (PRBs) | 48 |
| Sub-carrier spacing (kHz) | SCS of the active DL BWP |
| DMRS precoder granularity | REG bundle size |
| REG bundle size | 6 |
| CP length | Normal |
| Mapping from REG to CCE | Distributed |

**Table 12.3.1.3.1-2: PDCCH transmission parameters for in-sync evaluation**

|  |  |
| --- | --- |
| **Attribute** | **Value for BLER Configuration #0** |
| DCI payload size | 1-0 |
| Number of control OFDM symbols | 2 |
| Aggregation level (CCE) | 4 |
| Ratio of hypothetical PDCCH RE energy to average CSI-RS RE energy | 0dB |
| Ratio of hypothetical PDCCH DMRS energy to average CSI-RS RE energy | 0dB |
| Bandwidth (PRBs) | 48 |
| Sub-carrier spacing (kHz) | SCS of the active DL BWP |
| DMRS precoder granularity | REG bundle size |
| REG bundle size | 6 |
| CP length | Normal |
| Mapping from REG to CCE | Distributed |

12.3.1.3.2 Minimum requirement

IAB-MT shall be able to evaluate whether the downlink radio link quality on the configured RLM-RS resource estimated over the last TEvaluate\_out\_CSI-RS [ms] period becomes worse than the threshold Qout\_CSI-RS within TEvaluate\_out\_CSI-RS [ms] evaluation period.

IAB-MT shall be able to evaluate whether the downlink radio link quality on the configured RLM-RS resource estimated over the last TEvaluate\_in\_CSI-RS [ms] period becomes better than the threshold Qin\_CSI-RS within TEvaluate\_in\_CSI-RS [ms] evaluation period.

- TEvaluate\_out\_CSI-RS and TEvaluate\_in\_CSI-RS are defined in Table 12.3.1.3.2-1 for FR1 with scaling factor K1.

- TEvaluate\_out\_CSI-RS and TEvaluate\_in\_CSI-RS are defined in Table 12.3.1.3.2-2 for FR2 with scaling factor K2.

*Editor’s note: K1 and K2 will eventually be replaced by their values once RAN4 finalizes these.*

The requirements of TEvaluate\_out\_CSI-RS and TEvaluate\_in\_CSI-RS apply provided that the CSI-RS for RLM is not in a resource set configured with repetition ON. The requirements do not apply when the CSI-RS resource in the active TCI state of CORESET is the same CSI-RS resource for RLM and the TCI state information of the CSI-RS resource is not given, wherein the TCI state information means QCL Type-D to SSB for L1-RSRP or CSI-RS with repetition ON.

For FR1,

- $P=\frac{1}{1-\frac{T\_{CSI-RS}}{MRGP}}$, when in the monitored cell there are measurement gaps configured for intra-frequency, inter-frequency or inter-RAT measurements, and these measurement gaps are overlapping with some but not all occasions of the CSI-RS; and

- P=1 when in the monitored cell there are no measurement gaps overlapping with any occasion of the CSI-RS.

For FR2,

- P=1, when the RLM-RS resource is not overlapped with measurement gap and also not overlapped with SMTC occasion.

- $P=\frac{1}{1-\frac{T\_{CSI-RS}}{MRGP}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is not overlapped with SMTC occasion (TCSI-RS < MGRP)

- $P=\frac{1}{1-\frac{T\_{CSI-RS}}{T\_{SMTCperiod}}}$, when the RLM-RS resource is not overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TCSI-RS < TSMTCperiod).

- P = 3, when the RLM-RS resource is not overlapped with measurement gap and RLM-RS resource is fully overlapped with SMTC occasion (TCSI-RS = TSMTCperiod).

- $P=\frac{1}{1-\frac{T\_{CSI-RS}}{MRGP} - \frac{T\_{CSI-RS}}{T\_{SMTCperiod}}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TCSI-RS < TSMTCperiod) and SMTC occasion is not overlapped with measurement gap and

- TSMTCperiod ≠ MGRP or

- TSMTCperiod = MGRP and TCSI-RS < 0.5 × TSMTCperiod

- $P=\frac{3}{1-\frac{T\_{CSI-RS}}{MRGP}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TCSI-RS < TSMTCperiod) and SMTC occasion is not overlapped with measurement gap and TSMTCperiod = MGRP and TCSI-RS = 0.5 × TSMTCperiod

- $P=\frac{1}{1-\frac{T\_{CSI-RS}}{Min(MRGP, T\_{SMTCperiod})}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is partially overlapped with SMTC occasion (TCSI-RS < TSMTCperiod) and SMTC occasion is partially or fully overlapped with measurement gap

- $P=\frac{3}{1-\frac{T\_{CSI-RS}}{MRGP}}$, when the RLM-RS resource is partially overlapped with measurement gap and the RLM-RS resource is fully overlapped with SMTC occasion (TCSI-RS = TSMTCperiod) and SMTC occasion is partially overlapped with measurement gap (TSMTCperiod < MGRP)

If the high layer in TS 38.331 [TBD] signaling of *smtc2*is present, TSMTCperiod follows *smtc2*; Otherwise TSMTCperiod follows *smtc1.*

Note: The overlap between CSI-RS for RLM and SMTC means that CSI-RS based RLM is within the SMTC window duration.

Longer evaluation period would be expected if the combination of RLM-RS resource, SMTC occasion and measurement gap configurations does not meet previous conditions.

The values of Mout and Min used in Table 12.3.1.3.2-1 and Table 12.3.1.3.2-2 are defined as:

- Mout = 20 and Min = 10, if the CSI-RS resource configured for RLM is transmitted with higher layer CSI-RS parameter *density* [TBD, clause 7.4.1] set to 3 and over the bandwidth ≥ 24 PRBs.

**Table 12.3.1.3.2-1: Evaluation period TEvaluate\_out\_CSI-RS and TEvaluate\_in\_CSI-RS for FR1**

|  |  |  |
| --- | --- | --- |
| **Configuration** | **TEvaluate\_out\_CSI-RS (ms)**  | **TEvaluate\_in\_CSI-RS (ms)**  |
| no DRX | Max(200 × K1, Ceil(Mout×P × K1)×TCSI-RS) | Max(100 × K1, Ceil(Min×P × K1) × TCSI-RS) |
| NOTE: TCSI-RS is the periodicity of the CSI-RS resource configured for RLM. The requirements in this table apply for TCSI-RS equal to 5 ms, 10ms, 20 ms or 40 ms. |

**Table 12.3.1.3.2-2: Evaluation period TEvaluate\_out\_CSI-RS and TEvaluate\_in\_CSI-RS for FR2**

|  |  |  |
| --- | --- | --- |
| **Configuration** | **TEvaluate\_out\_CSI-RS (ms)**  | **TEvaluate\_in\_CSI-RS (ms)**  |
| no DRX | Max(200 × K2, Ceil(Mout×P × K2)×TCSI-RS) | Max(100 × K2, Ceil(Min×P × K2) × TCSI-RS) |
| NOTE: TCSI-RS is the periodicity of the CSI-RS resource configured for RLM. The requirements in this table apply for TCSI-RS equal to 5 ms, 10 ms, 20 ms or 40 ms. |

12.3.1.3.3 Measurement restrictions for CSI-RS based RLM

The UE requirements in sub-clause 8.1.3.3 [6] apply for IAB-MT.

12.3.1.4 Minimum requirement for IAB-MT turning off the transmitter

The UE requirements in sub-clause 8.1.5 [6] apply for IAB-MT.

12.3.1.5 Minimum requirement for L1 indication

When the downlink radio link quality on all the configured RLM-RS resources is worse than Qout, layer 1 of the IAB-MT shall send an out-of-sync indication for the cell to the higher layers. A layer 3 filter shall be applied to the out-of-sync indications as specified in TS 38.331 [TBD].

When the downlink radio link quality on at least one of the configured RLM-RS resources is better than Qin, layer 1 of the IAB-MT shall send an in-sync indication for the cell to the higher layers. A layer 3 filter shall be applied to the in-sync indications as specified in TS 38.331 [TBD].

The out-of-sync and in-sync evaluations for the configured RLM-RS resources shall be performed as specified in clause 5 in TS 38.213 [TBD]. Two successive indications from layer 1 shall be separated by at least TIndication\_interval.

TIndication\_interval is max(10ms, TRLM-RS,M), where TRLM,M is the shortest periodicity of all configured RLM-RS resources for the monitored cell, which corresponds to TSSB specified in clause 12.3.1.2 if the RLM-RS resource is SSB, or TCSI-RS specified in clause 12.3.1.3 if the RLM-RS resource is CSI-RS.

12.3.1.6 Scheduling availability of IAB-MT during radio link monitoring

The UE requirements in sub-clause 8.1.7 [6] apply for IAB-MT.

<END OF TP>