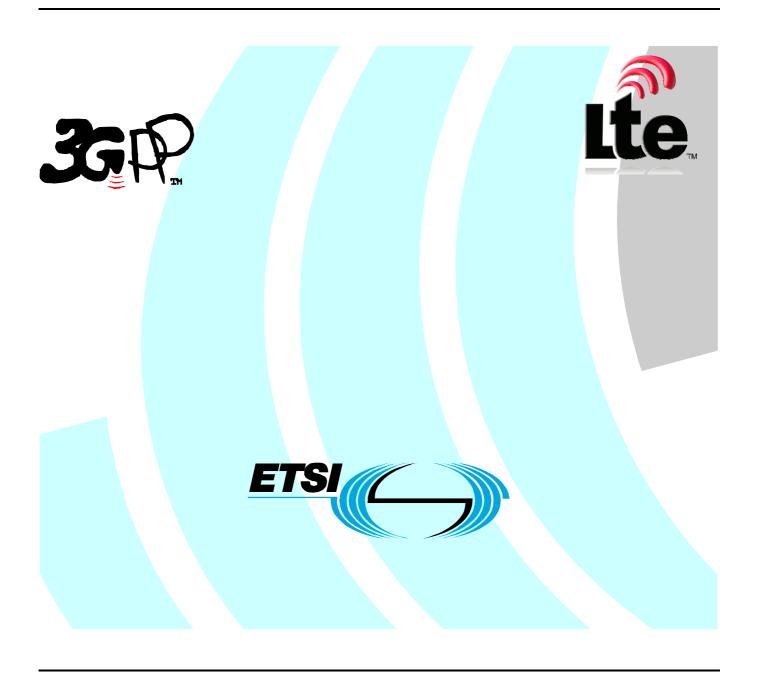
## ETSI TS 136 314 V8.1.0 (2009-04)

Technical Specification

LTE; Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Layer 2 - Measurements (3GPP TS 36.314 version 8.1.0 Release 8)



Reference
RTS/TSGR-0236314v810

Keywords
LTE

#### **ETSI**

650 Route des Lucioles F-06921 Sophia Antipolis Cedex - FRANCE

Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

Siret N° 348 623 562 00017 - NAF 742 C Association à but non lucratif enregistrée à la Sous-Préfecture de Grasse (06) N° 7803/88

#### Important notice

Individual copies of the present document can be downloaded from: <u>http://www.etsi.org</u>

The present document may be made available in more than one electronic version or in print. In any case of existing or perceived difference in contents between such versions, the reference version is the Portable Document Format (PDF). In case of dispute, the reference shall be the printing on ETSI printers of the PDF version kept on a specific network drive within ETSI Secretariat.

Users of the present document should be aware that the document may be subject to revision or change of status.

Information on the current status of this and other ETSI documents is available at

<a href="http://portal.etsi.org/tb/status/status.asp">http://portal.etsi.org/tb/status/status.asp</a></a>

#### Copyright Notification

No part may be reproduced except as authorized by written permission. The copyright and the foregoing restriction extend to reproduction in all media.

© European Telecommunications Standards Institute 2009. All rights reserved.

**DECT**<sup>TM</sup>, **PLUGTESTS**<sup>TM</sup>, **UMTS**<sup>TM</sup>, **TIPHON**<sup>TM</sup>, the TIPHON logo and the ETSI logo are Trade Marks of ETSI registered for the benefit of its Members.

**3GPP**<sup>™</sup> is a Trade Mark of ETSI registered for the benefit of its Members and of the 3GPP Organizational Partners. **LTE**<sup>™</sup> is a Trade Mark of ETSI currently being registered

for the benefit of its Members and of the 3GPP Organizational Partners. **GSM**® and the GSM logo are Trade Marks registered and owned by the GSM Association.

## Intellectual Property Rights

IPRs essential or potentially essential to the present document may have been declared to ETSI. The information pertaining to these essential IPRs, if any, is publicly available for **ETSI members and non-members**, and can be found in ETSI SR 000 314: "Intellectual Property Rights (IPRs); Essential, or potentially Essential, IPRs notified to ETSI in respect of ETSI standards", which is available from the ETSI Secretariat. Latest updates are available on the ETSI Web server (http://webapp.etsi.org/IPR/home.asp).

Pursuant to the ETSI IPR Policy, no investigation, including IPR searches, has been carried out by ETSI. No guarantee can be given as to the existence of other IPRs not referenced in ETSI SR 000 314 (or the updates on the ETSI Web server) which are, or may be, or may become, essential to the present document.

#### **Foreword**

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

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 <a href="http://webapp.etsi.org/key/queryform.asp">http://webapp.etsi.org/key/queryform.asp</a>.

## Contents

Intelle	lectual Property Rights	2
Forew	word	2
Forew	word	4
1	Scope	5
2	References	5
3	Definitions, symbols and abbreviations	5
3.1	Definitions	
3.2	Symbols	
3.3	Abbreviations	
4	Layer 2 measurements	6
4.1	E-UTRAN measurements	
4.1.1	PRB usage	
4.1.1.1	.1 Total PRB usage	6
4.1.1.2	· · · · · · · · · · · · · · · · · · ·	
4.1.1.3		
4.1.1.4	4 DL PRB usage for Common Control Channels	9
4.1.1.5	5 UL PRB usage for Common Control Channels	10
4.1.2	Received Random Access Preambles	
4.1.3	Number of active UEs	10
4.1.3.1		11
4.1.3.2		
4.1.4		
4.1.4.1		
4.1.5		
4.1.5.1		
4.1.5.2	T C	
4.1.5.3	Packet Loss Rate in the UL per QCI	16
Anne	ex A (informative): Change history	17
Histo	ory	18

## Foreword

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

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

Version x.y.z

#### where:

- x the first digit:
  - 1 presented to TSG for information;
  - 2 presented to TSG for approval;
  - 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 contains the description and definition of the measurements performed by E-UTRAN that are transferred over the standardised interfaces in order to support E-UTRA radio link operations, radio resource management (RRM), network operations and maintenance (OAM), and self-organising networks (SON).

## 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.
- [1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".
- [2] 3GPP TS 36.321: "Evolved Universal Terrestrial Radio Access (E-UTRA) Medium Access Control (MAC) protocol specification ".
- [3] 3GPP TS 36.322: "Evolved Universal Terrestrial Radio Access (E-UTRA) Radio Link Control (RLC) protocol specification".
- [4] 3GPP TS 36.323: "Evolved Universal Terrestrial Radio Access (E-UTRA); Packet Data Convergence Protocol (PDCP) specification".

## 3 Definitions, symbols and abbreviations

## 3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [1].

## 3.2 Symbols

For the purposes of the present document, symbols apply locally in the subclause where they are defined.

## 3.3 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].

BCCH	Broadcast Control Channel
DRB	Data Radio bearer
DCCH	Dedicated Control Channel
DTCH	Dediicated Traffic Channel
HARQ	Hybrid Acknowledge Request
PCCH	Paging Control Channel
PRB	Physical Resource Block

QCI	Quality of service Class Identifier.
SRB	Signalling Radio Bearer.
TTI	Time Transmission Interval

## 4 Layer 2 measurements

## 4.1 E-UTRAN measurements

## 4.1.1 PRB usage

The objective of the PRB usage measurements is to measure usage of time and frequency resources. A use case is cell load balancing, where PRB usage is used for information signalled across the X2 interface. Another use-case is OAM performance observability.

#### 4.1.1.1 Total PRB usage

Definition	Total PRB usage. The measurement is done - DL - UL  Detailed Definitions: $M(T) = \left\lfloor \frac{M1(T)}{P(T)} * \right\rfloor$	
	M(T)	Total PRB usage. Percentage of PRBs used, averaged during time period $T$ . Value range: 0-100%
	M1(T)	A count of full physical resource blocks.  For the DL, all PRBs used for transmission shall be included.  For the UL, all PRBs allocated for transmission shall be included.
	P(T)	Total number of PRBs available during time period $T$ .
	T	The time period during which the measurement is performed.

## 4.1.1.2 PRB usage per traffic class

Definition	applicable to Dedicated Point between MAC an  - DL DTCH, for each  - UL DTCH, for each  Detailed Definitions:	
	M1(qci,T) $T$	Absolute PRB usage per traffic class. A count of full or partial physical resource blocks.  The time period during which the measurement is performed (in TTIs)
	t	A transport block in time period $T$ that contain DTCH data. Initial transmissions and HARQ retransmissions shall be counted.
	N(t)	The number of physical resource blocks used for transmission of transport block $\boldsymbol{t}$ .
	B(t,qci)	The total number of DTCH bits for DTCHs with QCI = $qci$ , carried in transport block $t$
	B(t)	The total number of DTCH and DCCH bits carried in transport block $\boldsymbol{t}$ .
	X(t)	If concatenation is taken into account: $X(t)=1$ always. If concatenation is not taken into account: $X(t)=1$ if transport block $t$ carries data corresponding to only one QCI and: $X(t)=0$ otherwise. It is up to implementation if to take concatenation into account or not.
	$M(qci) = \left\lfloor \frac{M1(qci)}{P(T)} \right\rfloor$	$\left[\frac{T}{T}\right] * 100$ , where
	M(qci)	PRB usage per traffic class. Percentage of PRBs used for a certain qci, averaged during time period $\it{T}$ . Value range: 0-100%
	P(T)	Total number of PRBs available during time period $\it T$ .

## 4.1.1.3 PRB usage for SRB

Definition	and Common Control Chabetween MAC and L1. The DL DCCH and CCCH UL DCCH and CCCH Detailed Definitions:	
	M1(srb,T) T	Absolute PRB usage per SRBs. A count of full or partial physical resource blocks.  The time period during which the measurement is performed (in TTIs)  A transport block in time period $T$ that contain DCCH data.
	N(t)	Initial transmissions and HARQ retransmissions shall be counted.  The number of physical resource blocks used for transmission of transport block $t$ .
	B(t, srb)	The total number of DCCH and CCCH bits carried in transport block $t$
	B(t)	The total number of DTCH, DCCH and CCCH bits carried in transport block $\it t$ .
	X(t)	If concatenation is taken into account: $X(t)=1$ always. If concatenation is not taken into account: $X(t)=1$ if transport block $t$ carries data corresponding to only DCCH and: $X(t)=0$ otherwise. It is up to implementation if to take concatenation into account or not.
	$M(srb) = \left\lfloor \frac{M1(srb, T)}{P(T)} \right\rfloor$	$\left[\frac{r}{r}\right]*100$ , where
	M(srb) $P(T)$	PRB usage per SRB. Percentage of PRBs used for SRBs, averaged during time period $T$ . Value range: 0-100% Total number of PRBs available during time period $T$ .

## 4.1.1.4 DL PRB usage for Common Control Channels

Definition	Control Channel (BC	ommon Control Channels. This measurement is applicable to Broadcast CH) and Paging Control Channel (PCCH). The reference point is the between MAC and L1.
	Detailed Definitions:	
	$M1(T) = \sum_{\forall t1} N1(t)$	$(1) + \sum_{orall t \geq 1} N2(t2)$ , where
	M1(T)	Absolute DL PRB usage for Common Control Channels. An integer count of physical resource blocks
	T	The time period during which the measurement is performed.
	<i>t</i> 1	A transport block in time period $T$ that contain BCCH data. Initial transmissions and repetitions shall be counted.
	<i>t</i> 2	A transport block in time period $T$ that contain PCCH data. Initial transmissions and repetitions shall be counted.
	N1(t1)	The number of physical resource blocks used for transmission of transport block $t$ 1.
	N2(t2)	The number of physical resource blocks used for transmission of transport block $t2$ .
	$M = \left\lfloor \frac{M1(T)}{P(T)} * 10 \right\rfloor$	$\left[00\right]$ , where
	M	DL PRB usage for Common Control Channels. Percentage of PRBs used for Common Control Channels, averaged during time period $T$ . Value range: 0-100%.
	P(T)	Total number of PRBs available during time period $\it T$ .

#### 4.1.1.5 UL PRB usage for Common Control Channels

Protocol Layer: L2 or L3

Definition	UL PRB usage for Common Control Channels. This measurement is applicable to Random Access Channel (RACH) and Physical Uplink Control Channel (PUCCH).	
	Detailed Definitions:	
	$M1(T) = N_{RACH} (T)$	$)+N_{\mathit{PUCCH}}\left( T ight)$ , where
	M1(T)	Absolute UL PRB usage for Common Control Channels. An integer count of physical resource blocks.
	T	The time period during which the measurement is performed.
	$N_{RACH}(T)$	The number of physical resource blocks allocated for RACH during time period $\boldsymbol{T}$ .
	$N_{PUCCH}(T)$	The number of physical resource blocks allocated for PUCCH during time period $\boldsymbol{T}$ .
	$M = \left\lfloor \frac{M1(T)}{P(T)} * 100 \right\rfloor$	) , where
	M	UL PRB usage for Common Control Channels. Percentage of PRBs used for Common Control Channels, averaged during time period $T$ . Value range: 0-100% .
	P(T)	Total number of PRBs available during time period $T$ .

#### 4.1.2 Received Random Access Preambles

A use case for this measurement is RACH configuration optimization, where Received Random Access Preambles is signaled across an OAM interface.

Protocol Layer: MAC

Definition	Received Random Access Preambles. This measurement is applicable to PRACH. The reference point is the Service Access Point between MAC and L1. The measured quantity is the
	number of received Random Access preambles during a time period over all PRACHs configured
	in a cell. The measurement is done separately for:
	- Dedicated preambles
	- Randomly selected preambles in the low range
	- Randomly selected preambles in the high range.
	The unit of the measured value is [/s].

#### 4.1.3 Number of active UEs

The objective of the measurement is to measure number of active UEs per QCI for OAM performance observability. It is intended to be part of a calculation to determine the bitrate UEs achieve when they are active, i.e. when applications are transmitting and receiving data.

## 4.1.3.1 Number of Active UEs in the DL per QCI

Protocol Layer: MAC, RLC, PDCP

Definition	Number of Active UEs in the DL per QCI. This measurement refers to UEs for which there is buffered data for the DL for DRBs. The measurement is done separately per QCI.		
	Detailed Definition:		
$M(T,qci,p) = \left[\frac{\sum\limits_{\forall i} N(i,qci)}{I(T,p)}\right]$ , where		$\left[ \frac{N(i,qci)}{T(T,p)} \right]$ , where	
	M(T,qci,p)	Number of Active UEs in the DL per QCI, averaged during time period $T$ . Unit: Integer.	
		Number of UEs for which there is buffered data for the DL in MAC, RLC or PDCP protocol layers for a Data Radio Bearer of traffic class with QCI = $qci$ at sampling occasion $i$ .	
	N(i,qci)	In RLC and PDCP layers, buffered data corresponds to data available for transmission according to the definitions in TS 36.322 and TS 36.323.	
		Buffered data includes data for which HARQ transmission has not yet terminated.	
	i	Sampling occasion during time period $T$ . A sampling occasion shall occur once every $p$ seconds.	
	p	Sampling period length. Unit: second. The sampling period shall be at most 0.1 s.	
	I(T,p)	Total number of sampling occasions during time period $\ensuremath{T}$ .	
	T	Time Period during which the measurement is performed, Unit: second.	

## 4.1.3.2 Number of Active UEs in the UL per QCI

Protocol Layer: MAC

Definition	Number of Active UEs in the UL per QCI. This measurement refers to UEs for whithere is buffered data for the UL for DRBs. The measurement is done separately pQCI.	
	Detailed Definition:	
	$M(T,qci,p) = \left[\frac{\sum_{\forall i} N}{I(i)}\right]$	$\left[ rac{V(i,qci)}{T,p)}  ight]$ where
	M(T,qci,p)	Number of Active UEs in the UL per QCI, averaged during time period $\it{T}$ . Unit: Integer.
		Number of UEs for which there is buffered data for the UL in MAC, RLC or PDCP protocol layers for a Data Radio Bearer of traffic class with QCI = $qci$ at sampling occasion. $i$
	N(i,qci)	This is a Node B estimation that is expected to be based on Buffer Status Reporting, provided semi- persistent grants and progress of ongoing HARQ transmissions (by including buffered data for which HARQ transmission has not yet terminated in buffered data).
		In addition, the eNB can use the analysis of received data in the estimation. In such case, when QCI cannot be determined at the time of the sampling occasion, eNB can determine QCI after successful reception of data.
	i	Sampling occasion during time period $T$ . A sampling occasion shall occur once every $p$ seconds.
	p	Sampling period length. Unit: second. The sampling period shall be at most 0.1 s.
	I(T,p)	Total number of sampling occasions during time period $\ensuremath{T}$ .
	T	Time Period during which the measurement is performed, Unit: second.

NOTE: For this measurement, the expected accuracy is dependent on application scenario, cell load UE configuration and how DRBs are distributed over logical channel groups.

## 4.1.4 Packet Delay

## 4.1.4.1 Packet Delay in the DL per QCI

The objective of this measurement is to measure L2 Packet Delay for OAM performance observability.

Protocol Layer: MAC, RLC, PDCP

Definition	For arrival of packets the reference point is Note Detailed Definition:	per QCI. This measurement refers to packet delay for DRBs. he reference point is PDCP upper SAP. For successful reception MAC lower SAP. The measurement is done separately per QCI. $\frac{riv(i) - tAck(i)}{I(T)}$ , where
	M(T,qci)	Packet Delay in the DL per QCI, averaged during time period ${\it T}$ . Unit: Integer ms.
	tArriv(i)	The point in time when PDCP SDU $i$ arrives.
	tAck(i)	The point in time when HARQ acknowledgement for the last piece of PDCP SDU $i$ has been received.
	i	A PDCP SDU that arrives at the PDCP upper SAP during time period $T$ . PDCP SDU for which HARQ acknowledgement is not received for all parts shall not be included in the calculation.
	I(T)	Total number of PDCP SDUs $i$ .
	T	Time Period during which the measurement is performed

#### 4.1.5 Data Loss

#### 4.1.5.1 Packet Discard Rate in the DL per QCI

The objective of this measurement is to measure packets that are dropped due to congestion, traffic management etc, for OAM performance observability.

Protocol Layer: MAC, RLC, PDCP

Definition	One packet correspond: The measurement is do Detailed Definition:	the DL per QCI. This measurement refers to discard for DRBs. is to one PDCP SDU. The reference point is PDCP upper SAP, one separately per QCI. $\frac{T,qci)*1000000}{N(T,qci)} \label{eq:continuous}$ ,where
	M(T,qci)	Packet Discard Rate in the DL per QCI, averaged during time period $T$ . Unit: number of discarded packets per received packets * $10^6$ , Integer.
	Ddisc(T,qci)	Number of DL packets, for which no part has been transmitted over the air, of a data radio bearer with $QCI = qci$ , that are discarded during time period $T$ in the PDCP, RLC or MAC layers due to reasons other than hand-over.
	N(T,qci)	Number of DL packets of bearer with QCI = $qci$ that has entered PDCP upper SAP during time period $T$ (NOTE).
	T	Time Period during which the measurement is performed, Unit: minutes, where the lowest value is 5 minutes (NOTE).

NOTE: Packet loss is expected to be small or very small The statistical accuracy of an individual discard rate measurement result is dependent on how many packets has been received, and thus the time for the measurement.

#### 4.1.5.2 Packet Uu Loss Rate in the DL per QCI

The objective of this measurement is to measure packets that are lost at Uu transmission, for OAM performance observability.

Protocol Layer: MAC, RLC, PDCP

Definition	Packet Uu Loss Rate in the DL per QCI. This measurement refers to packet loss for DRBs. One packet corresponds to one PDCP SDU. The measurement is done separately per QCI.			
	Detailed Definition:			
	$M(T,qci) = \left\lfloor \frac{Dloss(T)}{N(T,qci)} \right\rfloor$	$\left[ \frac{T,qci}{T,qci} \right]^* + \frac{1000000}{Dloss(T,qci)} $ , where		
	M(T,qci)	Packet Uu Loss Rate in the DL per QCI. Unit: number of lost packets per transmitted packets * 10 <sup>6</sup> , Integer.		
	Dloss(T,qci)	Number of DL packets, of a data radio bearer with QCI = $qci$ , for which at least a part has been transmitted over the air but not positively acknowledged, and it was decided during time period $T$ that no more transmission attempts will be done. If transmission of a packet might continue in another cell, it shall not be included in this count.		
	N(T,qci)	Number of DL packets, of a data radio bearer with QCI = $qci$ , which has been transmitted over the air and positively acknowledged during time period $T$ .		
	T	Time Period during which the measurement is performed, Unit: minutes, where the lowest value is 5 minutes (NOTE).		

NOTE: Packet loss is expected to be upper bounded by the PELR of the QCI which takes values between 10<sup>-6</sup> and 10<sup>-2</sup>. The statistical accuracy of an individual packet loss rate measurement result is dependent on how many packets have been received, and thus the time for the measurement.

#### 4.1.5.3 Packet Loss Rate in the UL per QCI

The objective of this measurement is to measure packets that are lost in the UL, for OAM performance observability.

Protocol Layer: PDCP

Definition	Packet Loss Rate in the UL per QCI. This measurement refers to packet loss for DRBs One packet corresponds to one PDCP SDU. Reference point is the PDCP upper SAP. The measurement is done separately per QCI.			
	Detailed Definition:			
	$M(T,qci) = \left\lfloor \frac{Dloss(T,qci)}{N} \right\rfloor$	$\left[\frac{qci}{T(T,qci)}\right]$ , where		
	M(T,qci)	Packet Loss Rate in the UL per QCI. Unit: number of lost packets per transmitted packets * 10 <sup>6</sup> , Integer.		
	Dloss(T,qci)	Number of missing UL PDCP sequence numbers, representing packets that are not delivered to higher layers, of a data radio bearer with QCI = $qci$ during		
	Bioss(1, qei)	time period $T$ . If transmission of a packet might continue in another cell, it shall not be included in this count.		
	N(T,qci)	Total number of UL PDCP sequence numbers (also including missing sequence numbers) of a bearer with QCI = $qci$ , starting from the sequence number of the first packet delivered by PDCP upper SAP to higher layers until the sequence number of the last packet during time period $T$ .		
	T	Time Period during which the measurement is performed, Unit: minutes, where the lowest value is 5 minutes (NOTE).		

NOTE: Packet loss is expected to be upper bounded by the PELR of the QCI which takes values between 10<sup>-6</sup> and 10<sup>-2</sup>. The statistical accuracy of an individual packet loss rate measurement result is dependent on how many packets have been received, and thus the time for the measurement.

# Annex A (informative): Change history

Change history							
Date	TSG#	TSG Doc.	CR	Rev	Subject/Comment	Old	New
2008-12	RP-42	RP-081034	-	-	v1.0.0 was approved as v8.0.0 and put under CR control	1.0.0	8.0.0
2009-01					Keywords added, white space trimmed, file properties set	8.0.0	8.0.1
2009-03	RP-43	RP-090127	0001	-	Packet Loss Rate Measurements	8.0.1	8.1.0
	RP-43	RP-090127	0002	1	36.314 Rapporteur Updates	8.0.1	8.1.0
	RP-43	RP-090127	0003	1	Correction to the definition of the Number of active UEs per QCI	8.0.1	8.1.0
	RP-43	RP-090127	0004	-	Correction to the sampling of number of active Ues	8.0.1	8.1.0
	RP-43	RP-090127	0005	-	Inclusion of SRB0 for PRB usage for SRB	8.0.1	8.1.0
	RP-43	RP-090127	0007	-	Total PRB Usage Detail Definition	8.0.1	8.1.0

## History

Document history			
V8.0.1	January 2009	Publication	
V8.1.0	April 2009	Publication	