## ETSI TS 138 314 V16.1.0 (2020-11)



5G; NR;

Layer 2 measurements (3GPP TS 38.314 version 16.1.0 Release 16)



# Reference RTS/TSGR-0238314vg10 Keywords 5G

#### **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

The present document can be downloaded from: <u>http://www.etsi.org/standards-search</u>

The present document may be made available in electronic versions and/or in print. The content of any electronic and/or print versions of the present document shall not be modified without the prior written authorization of ETSI. In case of any existing or perceived difference in contents between such versions and/or in print, the prevailing version of an ETSI deliverable is the one made publicly available in PDF format at <a href="https://www.etsi.org/deliver">www.etsi.org/deliver</a>.

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="https://portal.etsi.org/TB/ETSIDeliverableStatus.aspx">https://portal.etsi.org/TB/ETSIDeliverableStatus.aspx</a>

If you find errors in the present document, please send your comment to one of the following services: https://portal.etsi.org/People/CommiteeSupportStaff.aspx

#### **Copyright Notification**

No part may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm except as authorized by written permission of ETSI.

The content of the PDF version shall not be modified without the written authorization of ETSI.

The copyright and the foregoing restriction extend to reproduction in all media.

© ETSI 2020. All rights reserved.

**DECT™**, **PLUGTESTS™**, **UMTS™** and the ETSI logo are trademarks of ETSI registered for the benefit of its Members. **3GPP™** and **LTE™** are trademarks of ETSI registered for the benefit of its Members and of the 3GPP Organizational Partners.

**oneM2M™** logo is a trademark of ETSI registered for the benefit of its Members and of the oneM2M Partners.

GSM® and the GSM logo are trademarks registered and owned by the GSM Association.

## Intellectual Property Rights

#### **Essential patents**

IPRs essential or potentially essential to normative deliverables 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 (https://ipr.etsi.org/).

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.

#### **Trademarks**

The present document may include trademarks and/or tradenames which are asserted and/or registered by their owners. ETSI claims no ownership of these except for any which are indicated as being the property of ETSI, and conveys no right to use or reproduce any trademark and/or tradename. Mention of those trademarks in the present document does not constitute an endorsement by ETSI of products, services or organizations associated with those trademarks.

## **Legal Notice**

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. These shall be interpreted as being references to the corresponding ETSI deliverables.

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

## Modal verbs terminology

In the present document "shall", "shall not", "should", "should not", "may", "need not", "will", "will not", "can" and "cannot" are to be interpreted as described in clause 3.2 of the <u>ETSI Drafting Rules</u> (Verbal forms for the expression of provisions).

"must" and "must not" are NOT allowed in ETSI deliverables except when used in direct citation.

## Contents

Intelle	tellectual Property Rights		
Legal	Notice	2	
Modal	l verbs terminology	2	
Forew	ord	4	
1	Scope	5	
2	References	5	
3	Definitions of terms, symbols and abbreviations	5	
3.1	Terms	5	
3.2	Abbreviations		
4	Layer 2 measurements	5	
4.1	General		
4.2	NR measurements performed by the gNB		
4.2.1	Measurements valid for all gNB deployment scenarios.		
4.2.1.1			
4.2.1.1			
4.2.1.1	<u>.</u>		
4.2.1.1	<u>*</u>		
4.2.1.2	·		
4.2.1.2			
4.2.1.2			
4.2.1.2			
4.2.1.3			
4.2.1.3			
4.2.1.3	T T		
4.2.1.3	r r		
4.2.1.3			
4.2.1.3			
4.2.1.3	1		
4.2.1.3	1		
4.2.1.3	1 1		
4.2.1.3			
4.2.1.4	Number of stored inactive UE contexts	14	
4.2.1.4			
4.2.1.4			
4.2.1.4	Max number of stored inactive UE contexts	15	
4.2.1.5	Packet Loss Rate	15	
4.2.1.5	Packet Uu Loss Rate in the DL per DRB per UE	15	
4.2.1.6	Other measurements defined in TS 28.552	16	
4.3	NR measurements performed by the UE	16	
4.3.1	Packet delay		
4.3.1.1			
Annex	x A (informative): Change history	18	
Histor	ry	19	

## Foreword

This Technical Specification has been produced by the 3rd 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 network or the UE that are transferred over the standardised interfaces in order to support NR radio link operations, radio resource management (RRM), network operations and maintenance (OAM), minimization of drive tests (MDT) and self-organising networks (SON).

Only the differences relative to TS 28.552 v16.2.0 [2] are specified in this specification.

## 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 28.552: "5G performance measurements".
- [3] 3GPP TS 38.331: "Radio Resource Control (RRC) protocol specification".
- [4] 3GPP TS 23.501: "System Architecture for the 5G System; Stage 2".

## 3 Definitions of terms, symbols and abbreviations

#### 3.1 Terms

For the purposes of the present document, the terms 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 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].

## 4 Layer 2 measurements

#### 4.1 General

All the per DRB per cell measurements and per DRB per UE measurements can be aggregated into per QoS level per cell and per PLMN ID per cell by network implementation. All the performance measurements for gNB defined in TS 28.552 [2] 5.1 can be calculated into per PLMN ID level by network implementation. Per QoS level refers to per mapped 5QI for NR SA or per QCI for EN-DC.

### 4.2 NR measurements performed by the gNB

#### 4.2.1 Measurements valid for all gNB deployment scenarios

#### 4.2.1.1 Received Random Access Preambles

#### 4.2.1.1.1 Received Random Access Preambles per cell

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

Protocol Layer: MAC

Table 4.2.1.1.1-1: Definition for Received Random Access Preambles per cell

Definition	Received Random Access Preambles per cell. 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].

#### 4.2.1.1.2 Received Random Access Preambles per SSB

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

Protocol Layer: MAC

Table 4.2.1.1.2-1: Definition for Received Random Access Preambles per SSB

Definition	Received Random Access Preambles per SSB. 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 the SSB of the 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].

#### 4.2.1.2 Packet delay

#### 4.2.1.2.1 General

Packet delay includes RAN part of delay and CN part of delay.

The RAN part of DL packet delay measurement comprises:

- D1 (DL delay in over-the-air interface), referring to Average delay DL air-interface in TS 28.552 [2] 5.1.1.1.1.
- D2 (DL delay on gNB-DU), referring to Average delay in RLC sublayer of gNB-DU in TS 28.552 [2] 5.1.3.3.3.
- D3 (DL delay on F1-U), referring to Average delay on F1-U in TS 28.552 [2] 5.1.3.3.2.
- D4 (DL delay in CU-UP), referring to Average delay DL in CU-UP in TS 28.552 [2] 5.1.3.3.1.

The DL packet delay measurements, i.e. D1 (the DL delay in over-the-air interface), D2 (the DL delay in gNB-DU), D3 (the DL delay on F1-U) and D4 (the DL delay in CU-UP), should be measured per DRB per UE.

The RAN part (including UE) of UL packet delay measurement comprises:

- D1 (UL PDCP packet average delay, as defined in clause 4.3.1.1).
- D2.1 (average over-the-air interface packet delay, as defined in 4.2.1.2.2).
- D2.2 (average RLC packet delay, as defined in 4.2.1.2.3).
- D2.3 (average delay UL on F1-U, it is measured using the same metric as the average delay DL on F1-U defined in TS 28.552 [2] clause 5.1.3.3.2).
- D2.4 (average PDCP re-ordering delay, as defined in 4.2.1.2.4).

The UL packet delay measurements, i.e. D1(UL PDCP packet average delay), D2.1(average over-the-air interface packet delay), D2.2(average RLC packet delay), D2.3(average delay UL on F1-U) and D2.4(average PDCP re-ordering delay), should be measured per DRB per UE. The unit of D1, D2.1, D2.2, D2.3 and D2.4 is 0.1ms.

For non CU-DU split case, RAN part of packet delay excludes the delay at FI-U interface, i.e. D2.3 and D3.

For the QoS monitoring in TS 23.501 [4], RAN informs the RAN part of UL packet delay measurement, or the RAN part of DL packet delay measurement, or both to the CN.

#### 4.2.1.2.2 Average over-the-air interface packet delay in the UL per DRB per UE

The objective of this measurement is to measure air interface UL packet delay for OAM performance observability or for QoS verification of MDT or for the QoS monitoring as defined in TS 23.501 [4].

Protocol Layer: MAC

Table 4.2.1.2.2-1: Definition for Average over-the-air packet delay in the UL per DRB per UE

Definition	Average over-the-air packet delay in the UL per DRB per UE. This measurement is applicable for EN-DC and SA. This measurement refers to packet delay for DRBs. This measurement provides the average (arithmetic mean) time it takes to successfully receive a transport block from the time of UL transmission indicated in scheduling grant.
	Detailed Definition: $M(T, drbid) = \left  \frac{\sum_{\forall i} tSucc(i, drbid) - tSched(i, drbid)}{I(T)} \right , \text{where}$
	lexplanations can be found in the table 4.2.1.2.2-2 below.

Table 4.2.1.2.2-2: Parameter description for Average over-the-air packet delay in the UL per DRB per UE

M(T, drbid)	Over-the-air packet delay in the UL per DRB per UE,
M(1, urbtu)	averaged during time period T. Unit: 0.1 ms.
+Cahad(i duhid)	The point in time when the UL MAC SDU i is scheduled as
tSched(i, drbid)	per the scheduling grant provided.
+Conga(i dashid)	The point in time when the MAC SDU i was received
tSucc(i, dr bid)	successfully by the network.
i	A MAC SDU that arrives at the MAC during time period <i>T</i> .
I(T)	Total number of MAC SDUs i.
T	Time Period during which the measurement is performed
drbid	The identity of the measured DRB.

#### 4.2.1.2.3 Average RLC packet delay in the UL per DRB per UE

The objective of this measurement is to measure RLC delay in the UL for OAM performance observability or for QoS verification of MDT or for the QoS monitoring as defined in TS 23.501 [4].

Protocol Layer: RLC

Table 4.2.1.2.3-1: Definition for Average RLC packet delay in the UL per DRB per UE

Definition	Average RLC delay in the UL per DRB per UE. This measurement is applicable for EN-DC and
	SA. This measurement refers to packet delay for DRBs. For CU-DU split scenario or DC
	scenario, this measurement refers to the RLC delay on each DU or RAN node. This
	measurement provides the average (arithmetic mean) time it takes from the RLC PDU including
	the first part of an RLC SDU is received to the RLC SDU is sent to PDCP or CU for split gNB.
	Detailed Definition:
	$M(T, drbid) = \left[ \frac{\sum_{\forall i} tSent(i, drbid) - tReceiv(i, drbid)}{I(T)} \right],$ where
	explanations can be found in the table 4.2.1.2.3-2 below.

Table 4.2.1.2.3-2: Parameter description for Average RLC packet delay in the UL per DRB per UE

M(T, drbid)	RLC delay in the UL per DRB per UE, averaged during time period <i>T</i> . Unit: 0.1 ms.
tReceiv(i, drbid)	The point in time when the RLC PDU including the first part of the RLC SDU i is received.
tSent(i, drbid)	The point in time when the RLC SDU i is sent to PDCP or CU for split gNB.
i	A RLC SDU that is received by the RLC during time period <i>T</i> .
I(T)	Total number of RLC SDUs i.
T	Time Period during which the measurement is performed
drbid	The identity of the measured DRB.

#### 4.2.1.2.4 Average PDCP re-ordering delay in the UL per DRB per UE

The objective of this measurement is to measure PDCP re-ordering delay in the UL for OAM performance observability or for QoS verification of MDT or for the QoS monitoring as defined in TS 23.501 [4].

Protocol Layer: PDCP

Table 4.2.1.2.4-1: Definition for Average PDCP re-ordering delay in the UL per DRB per UE

Definition	Average PDCP re-ordering delay in the UL per DRB per UE. This measurement is applicable for EN-DC and SA. This measurement refers to packet delay for DRBs. This measurement provides
	the average (arithmetic mean) time it takes from the point a PDCP PDU is received to the PDCP SDU is sent to upper SAP.
	Detailed Definition:
	$M(T, drbid) = \left  \frac{\sum_{\forall i} tSent(i, drbid) - tReceiv(i, drbid)}{\sum_{\forall i} tSent(i, drbid)} \right $ , where
	explanations can be found in the table 4.1.1.2.4-2 below.

Table 4.2.1.2.4-2: Parameter description for Average PDCP re-ordering delay in the UL per DRB per UE

M(T, drbid)	PDCP re-ordering delay in the UL per DRB per UE, averaged during time period <i>T</i> . Unit: 0.1 ms.
tReceiv(i, drbid)	The point in time when the PDCP PDU including the PDCP SDU i is received.
tSent(i, drbid)	The point in time when the PDCP SDU i is sent to upper SAP.
i	A PDCP SDU that is received by the PDCP during time period $T$ .
I(T)	Total number of PDCP SDUs <i>i</i> .
T	Time Period during which the measurement is performed
drbid	The identity of the measured DRB.

#### 4.2.1.3 Number of active UEs in RRC\_CONNECTED

#### 4.2.1.3.1 General

The objective of the measurement is to measure number of active UEs per QoS level 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. The measurements are applicable for both non-split gNB and split gNB deployment scenario.

#### 4.2.1.3.2 Mean number of Active UEs in the DL per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.2-1: Definition for Mean number of Active UEs in the DL per DRB per cell

Definition	Mean number of Active UEs in the DL per DRB per cell. The DRBs are mapped with the same
	5QI for NR SA or mapped with the same QCI for EN-DC. This measurement refers to UEs for
	which there is data available for transmission for the DL for DRBs.
	Detailed Definition:
	$\left \frac{\sum_{i}N(i,drbid)}{N(i,drbid)}*10\right $
	$M(T, drbid, p) = \frac{1 - I(T, p)}{10}$ , where
	explanations can be found in the table 4.2.1.3.2-2 below.

Table 4.2.1.3.2-2: Parameter description for Mean number of Active UEs in the DL per DRB per cell

M(T, drbid, p)	Mean number of Active UEs in the DL per DRB, averaged during time period <i>T</i> . Unit: 0.1.
N(i, drbid)	Number of UEs for which there is data available for transmission for the DL in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasioni.  Data available for transmission 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.
р	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 $T$ .
T	Time Period during which the measurement is performed, Unit: second.
drbid	The DRBs mapped with the same 5QI for NR SA or mapped with the same QCI for EN-DC.

#### 4.2.1.3.3 Max number of Active UEs in the DL per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.3-1: Definition for Max number of Active UEs in the DL per DRB per cell

Definition	Maximum number of Active UEs in the DL per DRB per cell. The DRBs are mapped with the
	same 5QI for NR SA or mapped with the same QCI for EN-DC. This measurement refers to UEs
	for which there is data available for transmission for the DL for DRBs.
	Detailed Definition:
	$M(T, drbid, p) = \max_{T} (N(i, drbid)),$ where
	explanations can be found in the table 4.2.1.3.3-2 below.

Table 4.2.1.3.3-2: Parameter description for Max number of Active UEs in the DL per DRB per cell

M(T, drbid, p)	Maximum number of Active UEs in the DL per DRB per cell, averaged during time period <i>T</i> . Unit: Integer.
N(i, drbid)	Number of UEs for which there is data available for transmission for the DL in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasion <i>i</i> . Data available for transmission 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.
T	Time Period during which the measurement is performed, Unit: second.
drbid	The DRBs mapped with the same 5QI for NR SA or mapped with the same QCI for EN-DC.

#### 4.2.1.3.4 Mean number of Active UEs in the UL per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.4-1: Definition for Mean number of Active UEs in the UL per DRB per cell

Definition	Mean number of Active UEs in the UL per DRB per cell. The DRBs are mapped with the same
	5QI for NR SA or mapped with the same QCI for EN-DC. This measurement refers to UEs for
	which there is data available for transmission for the UL for DRBs.
	Detailed Definition:
	$\frac{\sum_{\forall i} N(i,drbid)}{N(i,drbid)} * 10$
	$M(T, drbid, p) = \frac{1}{10} \frac{I(T, p)}{10}$ , where
	explanations can be found in the table 4.2.1.3.4-2 below.

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.

Table 4.2.1.3.4-2: Parameter description for Mean number of Active UEs in the UL per DRB per cell

M(T, drbid, p)	Mean number of Active UEs in the UL per DRB per cell,
	averaged during time period T. Unit: 0.1.
N(i, drbid)	Number of UEs for which there is data available for transmission for the UL in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasion <i>i</i> This is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation. In such case, when DRB cannot be determined at the time of the sampling occasion, gNB can determine DRB 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 <i>T</i> .
T	Time Period during which the measurement is performed,
	Unit: second.
drbid	The DRBs mapped with the same 5QI for NR SA or mapped
	with the same QCI for EN-DC.

#### 4.2.1.3.5 Max number of Active UEs in the UL per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.5-1: Definition for Max number of Active UEs in the UL per DRB per cell

Definition	Maximum number of Active UEs in the UL per DRB per cell. The DRBs are mapped with the
	same 5QI for NR SA or mapped with the same QCI for EN-DC. This measurement refers to UEs
	for which there is data available for transmission for the UL for DRBs.
	Detailed Definition:
	$M(T, drbid, p) = \max_{T} (N(i, drbid)),$ where
	explanations can be found in the table 4.2.1.3.5-2 below.

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.

Table 4.2.1.3.5-2: Parameter description for Max number of Active UEs in the UL per DRB per cell

M(T, drbid, p)	Maximum number of Active UEs in the UL per DRB per cell, averaged during time period <i>T</i> . Unit: Integer.
N(i, drbid)	Number of UEs for which there is data available for transmission for the UL in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasion <i>i</i> This is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation. In such case, when DRB cannot be determined at the time of the sampling occasion, gNB can determine DRB 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.
T	Time Period during which the measurement is performed, Unit: second.
drbid	The DRBs mapped with the same 5QI for NR SA or mapped with the same QCI for EN-DC.

#### 4.2.1.3.6 Mean number of Active UEs per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.6-1: Definition for Mean number of Active UEs per cell

Definition	Mean number of Active UEs per cell. This measurement refers to UEs for which there is data available for transmission for the UL for DRBs, or there is data available for transmission for the
	DL for DRBs, or both.
	Detailed Definition:
	$M(T,p)=rac{\left   rac{\sum_{ij}N(i)}{I(T,p)}*10  ight  }{10},$ where
	explanations can be found in the table 4.2.1.3.6-2 below.

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.

Table 4.2.1.3.6-2: Parameter description for Mean number of Active UEs per cell

M(T,p)	Mean number of Active UEs, averaged during time period $T$ . Unit: 0.1.
N(i)	Number of UEs for which there is data available for transmission for the UL or for the DL or for both in MAC or RLC protocol layers at sampling occasion <i>i</i> For UL, this is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation.
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 $T$ .
T	Time Period during which the measurement is performed, Unit: second.

#### 4.2.1.3.7 Max number of Active UEs per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.7-1: Definition for Max number of Active UEs per cell

Definition	Maximum number of Active UEs per cell. This measurement refers to UEs for which there is data
	available for transmission for the UL for DRBs, or there is data available for transmission for the
	DL for DRBs, or both.
	Detailed Definition:
	$M(T,p) = \max_{T} (N(i)),$ where
	explanations can be found in the table 4.2.1.3.7-2 below.

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.

Table 4.2.1.3.7-2: Parameter description for Max number of Active UEs per cell

M(T,p)	Maximum number of Active UEs, averaged during time period <i>T</i> . Unit: Integer.
N(i)	Number of UEs for which there is data available for transmission for the UL or for the DL or for both in MAC or RLC protocol layers at sampling occasion <i>i</i> For UL, this is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation.
i	Sampling occasion during time period $T$ . A sampling occasion shall occur once every $p$ seconds.
р	Sampling period length. Unit: second. The sampling period shall be at most 0.1 s.
T	Time Period during which the measurement is performed, Unit: second.

#### 4.2.1.3.8 Mean number of Active UEs per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.8-1: Definition for Mean number of Active UEs per DRB per cell

Definition	Mean number of Active UEs per DRB per cell. The DRBs are mapped with the same 5Ql for NR
	SA or mapped with the same QCI for EN-DC. This measurement refers to UEs for which there is
	data available for transmission for the UL for DRBs, or there is data available for transmission for
	the DL for DRBs, or both.
	Detailed Definition:
	$M(T, drbid, p) = \frac{\left \frac{\sum_{\forall i} N(i, drbid)}{I(T, p)} * 10\right }{10}$ , where
	explanations can be found in the table 4.2.1.3.8-2 below.

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.

Table 4.2.1.3.8-2: Parameter description for Mean number of Active UEs per DRB per cell

M(T, drbid, p)	Number of Active UEs per DRB, averaged during time period <i>T</i> . Unit: 0.1.
N(i, drbid)	Number of UEs for which there is data available for transmission for the UL or for the DL or for both in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasion <i>i</i> For UL, this is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation. In such case, when DRB cannot be determined at the time of the sampling occasion, gNB can determine DRB after successful reception of data.
i	Sampling occasion during time period <i>T</i> . A sampling occasion shall occur once every <i>p</i> 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 $T$ .
T	Time Period during which the measurement is performed, Unit: second.
drbid	The DRBs mapped with the same 5QI for NR SA or mapped with the same QCI for EN-DC.

#### 4.2.1.3.9 Max number of Active UEs per DRB per cell

Protocol Layer: MAC, RLC

Table 4.2.1.3.9-1: Definition for Max number of Active UEs per DRB per cell

Definition	Maximum number of Active UEs per DRB per cell. The DRBs are mapped with the same 5Ql for
	NR SA or mapped with the same QCI for EN-DC. This measurement refers to UEs for which
	there is data available for transmission for the UL for DRBs, or there is data available for
	transmission for the DL for DRBs, or both.
	Detailed Definition:
	$M(T, drbid, p) = \max_{x} (N(i, drbid)),$ where
	explanations can be found in the table 4.2.1.3.9-1 below.

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.

Table 4.2.1.3.9-2: Parameter description for Max number of Active UEs per DRB per cell

M(T, drbid, p)	Maximum number of Active UEs per DRB per cell, averaged during time period <i>T</i> . Unit: Integer.					
N(i, drbid)	Number of UEs for which there is data available for transmission for the UL or for the DL or for both in MAC or RLC protocol layers for a Data Radio Bearer of traffic class at sampling occasion <i>i</i> For UL, this is a gNB estimation that is expected to be based on Buffer Status Reporting, provided semi-persistent grants and progress of ongoing HARQ transmissions (by including data for which HARQ transmission has not yet terminated). In addition, the gNB can use the analysis of received data in the estimation. In such case, when DRB cannot be determined at the time of the sampling occasion, gNB can determine DRB after successful reception of data.					
i	Sampling occasion during time period <i>T</i> . A sampling occasion shall occur once every <i>p</i> seconds.					
p	Sampling period length. Unit: second. The sampling period shall be at most 0.1 s.					
T	Time Period during which the measurement is performed, Unit: second.					
drbid	The DRBs mapped with the same 5QI for NR SA or mapped with the same QCI for EN-DC.					

#### 4.2.1.4 Number of stored inactive UE contexts

#### 4.2.1.4.1 General

The objective of the measurement is to measure number of stored inactive UE contexts for OAM performance observability. It is intended to be part of indication about the memory consumption in a RAN node.

The measurement is obtained by sampling at a pre-defined interval, the number of inactive UE contexts for each NR gNB and then taking the arithmetic mean or maximum value over pre-defined time duration.

#### 4.2.1.4.2 Mean number of stored inactive UE contexts

Protocol Layer: RRC

Table 4.2.1.4.2-1: Definition for Mean number of stored inactive UE contexts

Definition	Mean number of stored inactive UE contexts.
	Detailed Definition: $M(T,p) = \left  \frac{\sum_{\forall i} N(i)}{I(T,p)} \right , \text{where}$ explanations can be found in the table 4.2.1.4.2-2 below.

Table 4.2.1.4.2-2: Parameter description for Mean number of stored inactive UE contexts

M(T,p)	Mean number of stored Inactive UE contexts, averaged during time period <i>T</i> . Unit: Integer.			
N(i)	Number of inactive UE contexts stored in the gNB at			
11(1)	sampling occasion i.			
į	Sampling occasion during time periodT. A sampling			
ι	occasion shall occur once every p seconds.			
	Sampling period length. Unit: second. The sampling period			
p	shall be at most 0.1 s.			
I(T,p)	Total number of sampling occasions during time period $T$ .			
T	Time Period during which the measurement is performed,			
1	Unit: second.			

#### 4.2.1.4.3 Max number of stored inactive UE contexts

Protocol Layer: RRC

Table 4.2.1.4.3-1: Definition for Max number of stored inactive UE contexts

Definition	Maximum number of stored inactive UE contexts.
	Detailed Definition: $M(T,p) = \max_{T} (N(i)), \text{where}$
	explanations can be found in the table 4.2.1.4.3-2 below.

Table 4.2.1.4.3-2: Parameter description for Max number of stored inactive UE contexts

M(T,p)	Maximum number of stored Inactive UE contexts sampled during time period <i>T</i> . Unit: Integer.
N(i)	Number of inactive UE contexts stored in the gNB at sampling occasion <i>i</i> .
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.
T	Time Period during which the measurement is performed, Unit: second.

#### 4.2.1.5 Packet Loss Rate

#### 4.2.1.5.1 Packet Uu Loss Rate in the DL per DRB per UE

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

Protocol Layer: RLC

Table 4.2.1.5.1-1: Definition for Packet Uu Loss Rate in the DL per DRB per UE

Definition	Uu Packet Loss Rate in the DL per DRB per UE. One packet corresponds to one RLC SDU. The measurement is done separately per DRB.					
	Detailed Definition:					
	$M(T, drbid) = \left\lfloor \frac{Dloss(T, drbid)*1000000}{N(T, drbid)+Dloss(T, drbid)} \right vert$ , where					
	explanations can be found in the table 4.2.1.5.1-2 below.					

NOTE 1: Packet loss is expected to be upper bounded by the PER (packet error rate, as defined in TS 23.501 [4]) of the DRB 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.

NOTE 2: The granularity for Packet loss rate measurement is per DRB per UE, as defined in TS 28.552 [2].

Table 4.2.1.5.1-2: Parameter description for Packet Uu Loss Rate in the DL per DRB per UE

M(T, drbid)	Packet Loss Rate in the DL per DRB per UE. Unit: number of lost packets per transmitted packets * 10 <sup>6</sup> , Integer.				
Dloss(T, drbid)	Number of DL packets, of a data radio bearer with DRB Identity = $drbid$ , 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, drbid)	Number of DL packets, of a data radio bearer with DRB Identity = $drbid$ , 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.				
drbid	The identity of the measured DRB.				

#### 4.2.1.6 Other measurements defined in TS 28.552

The granularity for PDCP SDU Data Volume measurement defined in TS 28.552 [2] is per DRB per UE.

The granularity for Average UE throughout measurement defined in TS 28.552 [2] is per UE and per DRB per UE.

PRB usage measurements are defined in TS 28.552 [2], i.e. DL/UL Total PRB Usage, Distribution of DL/UL Total PRB Usage. M(T), M1(T), P(T) are measured per cell. P(T) is the total available PRBs for this cell. M1(T) is the PRBs used for traffic transmission in this cell. Counting unit for PRB usage measurement is 1 Resource Block x 1 symbol. (1 Resource Block = 12 sub-carrier)

## 4.3 NR measurements performed by the UE

#### 4.3.1 Packet delay

#### 4.3.1.1 UL PDCP Packet Average Delay per DRB per UE

The objective of this measurement performed by UE is to measure Packet Delay in Layer PDCP for QoS verification of MDT or for the QoS monitoring as defined in TS 23.501 [4].

Protocol Layer: PDCP

Table 4.3.1.1-1: Definition for UL PDCP Packet Average Delay per DRB per UE

Definition	PDCP Packet Delay in the UL per DRB. This measurement refers to PDCP queuing delay for DRBs in the UE, which captures the delay from packet arrival at PDCP upper SAP until the UL
	grant to transmit the packet is available, which has included the delay the UE gets resources granted (from sending SR/RACH to get the first grant). The measurement is done separately per
	DRB.
	Detailed Definition:
	$M(T, drbid) = \left\lfloor \frac{\sum_{\forall i} tDeliv(i, drbid) - tArrival(i, drbid)}{I(T)} \right vert$ , where
	explanations can be found in the table 4.3.1.1-2 below.

NOTE: UE measures UL PDCP queueing delay at DRB level. It is up to gNB to convert DRB level delay to QoS level delay with the assumption that all QoS flows mapped to the same DRB get the same QoS treatment, and it is up to gNB to calculate QoS level delay if multiple DRBs mapped with the same QoS.

Table 4.3.1.1-2: Parameter description for UL PDCP Packet Average Delay per DRB per UE

i	A PDCP SDU that is received by the PDCP during time period <i>T</i> .			
i	A PDCP SDU that is received by the PDCP during time			
t Deliv (i)	The point in time when the UL grant to transmit the PDCP SDU i is available.			
tArrival(i)	The point in time when the PDCP SDU i arrivals at PDCP upper SAP.			
M(T, dr bid)	PDCP average delay in the UL per DRB, averaged during time period <i>T</i> . Unit: 0.1 ms. PDCP average delay in the UL per DRB is 1s if the actual value is larger than 1s.			

# Annex A (informative): Change history

	Change history						
Date	Meeting	TDoc	CR	Rev	Cat	Subject/Comment	New version
2019-08	RAN2#107	R2-1909426	-	-	-	Draft skeleton	0.0.1
2019-10	RAN2#107bis	R2-1912957	-	-	-	Agreements from RAN2#107 on: - including the general reference to SA2 spec	0.0.2
2019-11	RAN2#108	R2-1915203	-	-	_	Capture agreements from RAN2#107bis on received random access preambles, UL over-the-air transmission delay and number of UEs.	0.0.3
2020-02	RAN2#109e	R2-2000908	-	-	_	Capture agreements from RAN2#108 on received random access preamble per SSB, delay measurements, packet loss rate.	0.0.4
2020-03	RAN2#109e	R2-2002000	-	-	-	Capture agreements from RAN2#109-e.	0.0.5
2020-04	RAN2#109bis- e	R2-2003487	-	-	-	Re-submission after RANP#87-e.	0.1.0
2020-05	RAN2#109bis- e	R2-2003874	-	-	-	Capture agreements from RAN2#109bis-e	0.2.0
2020-05	RAN2#110-e	R2-2005434	-	-	-	Update after email discussion [Post109bis-e][910][MDTSON] CR to 38.314	0.3.0
2020-06	RAN2#110-e	R2-2006195	-	-	-	Capture agreements from RAN2#110-e, including changes to 4.1.1.	0.4.0
2020-06	RAN2#110-e	RP-200785				Submitted to RAN#88-e for approval	1.0.0
2020-07	RAN#88					Approved and upgraded to Release 16	16.0.0
2020-09	RP-89	RP-201931	0003	-	F	Correction for L2M to capture agreements from [AT111-e][802] offline discussion	16.1.0

## History

	Document history				
V16.0.0	July 2020	Publication			
V16.1.0	November 2020	Publication			