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| Technical Report |
| 3rd Generation Partnership Project;Technical Specification Group Radio Access Network;Study on Artificial Intelligence (AI)/Machine Learning (ML) for mobility in NR;(Release 19) |
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# Foreword

This Technical Report 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.

In the present document, modal verbs have the following meanings:

**shall** indicates a mandatory requirement to do something

**shall not** indicates an interdiction (prohibition) to do something

The constructions "shall" and "shall not" are confined to the context of normative provisions, and do not appear in Technical Reports.

The constructions "must" and "must not" are not used as substitutes for "shall" and "shall not". Their use is avoided insofar as possible, and they are not used in a normative context except in a direct citation from an external, referenced, non-3GPP document, or so as to maintain continuity of style when extending or modifying the provisions of such a referenced document.

**should** indicates a recommendation to do something

**should not** indicates a recommendation not to do something

**may** indicates permission to do something

**need not** indicates permission not to do something

The construction "may not" is ambiguous and is not used in normative elements. The unambiguous constructions "might not" or "shall not" are used instead, depending upon the meaning intended.

**can** indicates that something is possible

**cannot** indicates that something is impossible

The constructions "can" and "cannot" are not substitutes for "may" and "need not".

**will** indicates that something is certain or expected to happen as a result of action taken by an agency the behaviour of which is outside the scope of the present document

**will not** indicates that something is certain or expected not to happen as a result of action taken by an agency the behaviour of which is outside the scope of the present document

**might** indicates a likelihood that something will happen as a result of action taken by some agency the behaviour of which is outside the scope of the present document

**might not** indicates a likelihood that something will not happen as a result of action taken by some agency the behaviour of which is outside the scope of the present document

In addition:

**is** (or any other verb in the indicative mood) indicates a statement of fact

**is not** (or any other negative verb in the indicative mood) indicates a statement of fact

The constructions "is" and "is not" do not indicate requirements.

# 1 Scope

The present document …

# 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 38.331: "NR; Radio Resource Control (RRC); Protocol specification".

[3] 3GPP TS 38.133: "NR; Requirements for support of radio resource management".

[4] 3GPP TR 38.901: "Study on channel model for frequencies from 0.5 to 100 GHz"

[5] 3GPP TR 38.843: “Study on Artificial Intelligence (AI)/Machine Learning (ML) for NR air interface”

[6] 3GPP TS 38.300: “NR and NG-RAN Overall description; Stage-2”

[7] 3GPP TR 36.839: “Mobility enhancements in heterogeneous networks”

…

[x] <doctype> <#>[ ([up to and including]{yyyy[-mm]|V<a[.b[.c]]>}[onwards])]: "<Title>".

# 3 Definitions of terms, symbols and abbreviations

This clause and its three (sub) clauses are mandatory. The contents shall be shown as "void" if the TS/TR does not define any terms, symbols, or 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].

Definition format (Normal)

**<defined term>:** <definition>.

**example:** text used to clarify abstract rules by applying them literally.

## 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].

Abbreviation format (EW)

<ABBREVIATION> <Expansion>

ETD Time Distance of measurement Events

GC Generalization Case

HOFHandover Failure

MRRS Measurement Reduction Rate in Spatial domain

MRRT Measurement Reduction Rate in Temporal domain

OW Observation Window

PW Prediction Window

RLF RadioLink Failure

SLS System Level Simulation

# 4 AI/ML mobility use cases

## 4.1 General

The use cases in this study focus on RRC\_CONNECTED mode and cover RRM measurement prediction, measurement event prediction and RLF/HOF prediction for PCell change procedure in standalone NR scenario. The study of the use cases is driven mainly by two study goals. The 1st study goal is to reduce measurement efforts in temporal, spatial or frequency domain by using predicted measurements. The 2nd study goal is to improve the handover performance (e.g., Ping-pong HO, HOF/RLF, short time of stay, Handover interruption).

Editor Note 1: This section intends to capture the study goals, and description of use cases.

Editor Note 2: RAN2 may discuss handover performance after evaluation scenario(s) with good measurements prediction accuracy is found.

## 4.2 RRM measurement prediction

3 sub-use cases are considered for cell-level RRM measurement prediction:

Sub-use case 1: L1 beam-level measurement result(s) is predicted based on actual L1 beam-level measurement result(s) and then L3 cell-level measurement result is generated

Sub-use case 2: L3 Cell-level measurement result(s) is predicted based on actual L3 cell-level measurement result(s)

Sub-use case 3: L3 Cell-level measurement result(s) is predicted based on actual L1 beam-level measurement result(s)

3 sub-use cases are considered for beam-level RRM measurement prediction:

Sub-use case 4: L1 filtered beam-level measurement result(s) is predicted based on actual L1 beam-level measurement result(s) and then L3 beam-level measurement result is generated

Sub-use case 5: L3 beam-level measurement result(s) is predicted based on actual L3 beam-level measurement result(s)

Sub-use case 6: L3 beam-level measurement result(s) is predicted based on actual L1 beam-level measurement result(s)

Editor Note 1: L3 filtered beam level prediction sub-use cases are lower priority and should focus on FR2 intra-frequency temporal domain case A

Note: Actual measurement result refers to historical measurement result obtained using the legacy measurement framework

## 4.3 Measurement event prediction

There are two methods to predict measurement event, namely indirect and direct measurement event prediction as illustrated in Figure 4.3-1 and Figure 4.3-2 respectively.



Figure 4.3-1: Indirect measurement event prediction

In indirect measurement event prediction for intra-frequency temporal domain case A, temporal domain case B or spatial domain, measurement result(s) is predicted by a RRM measurement prediction model at first. Afterwards, predicted and optionally actual historical measurement result(s) of the same cell are used to derive whether a measurement event at one future time instance occurs, without further involvement of an AI/ML model.

In indirect measurement event prediction for frequency domain, measurement result(s) is predicted by a RRM measurement prediction model for frequency domain at first. Afterwards, predicted and optionally actual historical measurement result(s) of serving cell are used to derive whether a measurement event at one time instance occurs, without further involvement of an AI/ML model.



Figure 4.3-2: Direct measurement event prediction

As illustrated in Figure 4.3-2, the input of the model with direct prediction is the same as indirect prediction as illustrated in Figure 4.3-1 and additional other input is also allowed for both. Measurement event is predicted directly by an AI/ML model, i.e. the output of the model is the likelihood of an event prediction.

For measurement event prediction based on intra-frequency temporal domain case B, there are 3 filtering options as for the input of RRM sub-use case 2 as following if immediate last measurement result(s) is skipped:

* Filtering option 1: L3 filtering is based on its L1 filtered result and the immediate last skipped measurement result
* Filtering option 2: L3 filtering is based on its L1 filtered result i.e. no L3 filtering
* Filtering option 3: L3 filtering is based on the L1 filtered result and last actual measurement result i.e. the skipped result(s) in between is ignored

For indirect prediction, the skipped result refers to L3 RSRP measurement result predicted previously by the RRM measurement prediction model. For direct prediction, the skipped result refers to skipped L1 filtered measurement result.

Editor Note 1: The measurement event refers to measurement events A1-A5 defined in clause 5.5.4 in 38.331. Measurement event A3 is taken as starting point, other events are FFS.

Editor Note 2: At least indirect measurement event prediction will be studied. And direct measurement event prediction is also allowed..

## 4.4 RLF prediction

The study focuses on RLF detected upon T310 expiry in PCell [2].

RLF can be predicted indirectly or directly based on actual measurement result(s) e.g. L1-SINR of PCell as illustrated in Figure 4.4-1 and Figure 4.4-2 respectively. In indirect RLF prediction, the future L1 SINR results are predicted based on actual historical L1 SINR results of the serving cell. Afterwards, RLF event at future time instance is determined based on predicted and optionally actual L1-SINR results within T310 duration, without further involvement of an AI/ML model. As baseline L1-SINR refers to raw L1-SINR without L1 filtering.



Figure 4.4-1: Indirect RLF prediction

In direct RLF prediction the likelihood of an RLF is predicted based on actual measurements (e.g. L1-SINR of PCell) directly.



Figure 4.4-2: Direct RLF prediction

Editor Note 1: FFS on definition of time instance.

Editor Note 2: HOF prediction is down prioritized.

# 5 Evaluations

## 5.1 Common evaluation methodology, metrics and assumptions

Synthesized datasets based on channel model and deployment [4] are used for evaluation. Field data can be used optionally. In principle once a set of simulation parameters and assumptions are settled, it should also be used for the baseline case (i.e. without AI/ML model), model training (e.g. data set generation), model validation, model test and inference operation [5] etc. Between training and test data set, different random seeds are used at least for channel modelling and UE trajectory. No traffic model is simulated in this study.

Both sliding L1/L3 filtering and non-sliding L1/L3 filtering options can be used for evaluation.



Figure 5.1-1: Sliding L1/L3 filtering



Figure 5.1-2: Non-sliding L1/L3 filtering

In sliding L1/L3 filtering, filtered L1 or L3 measurement result are generated every sample period. In non-sliding L1/L3 filtering, filtered L1 or L3 measurement result are generated every measurement period.

In both L1/L3 filtering options, the filtered L1 measurement result is obtained based on the raw L1 measurement results corresponding to reference point A in Figure 9.2.4-1[6] within one measurement period. The filtered L3 measurement result is obtained as specified in section 5.5.3.2 [2]

In cluster approach, measurement results from more than one cells are used as input to the model. Conversely, in single cell approach, measurement results from single cell are used as input to the model.

When comparisons of AI algorithms against non-AI algorithms is performed, same simulation assumptions are adopted for non-AI algorithms, which could be sample and hold for intra-frequency temporal domain prediction and pathloss offset-based algorithm for frequency domain prediction. Other simple models e.g. ARIMA can be also considered.

Simulation assumptions collected in the table 5.1-1 are for FR1 and FR2:

Table 5.1-1: Simulation assumptions of FR1 and FR2

|  |  |  |
| --- | --- | --- |
| Parameters | Value for FR1 | Value for FR2 |
| Frequency Range | FR1@{4GHz,30KHz} as central frequency for intra-frequency scenarioFR1@{2GHz, 15/30KHz} as another frequency for inter-frequency scenario | FR2 @ 30 GHz; SCS: 120 kHz |
| Deployment | 2-tier model with wrap-around (7 sites, 3 sectors/cells per site) | 2-tier model with wrap-around (7 sites, 3 sectors/cells per site) |
| Channel model | UMa With distance-dependent LoS probability function defined in Table 7.4.2-1 in TR 38.901, fast fading and optional LOSsoft; Inter-frequency correlation model is optional.without UErotation,Oxygen absorption, Time-varying Doppler shift, Explicit ground reflection model and blockage. | UmiWith distance-dependent LoS probability function defined in Table 7.4.2-1 in TR 38.901, fast fading and optional LOSsoft;without UE rotation,Oxygen absorption, Time-varying Doppler shift, Explicit ground reflection model and blockage |
| System BW | 20MHz | 80MHz |
| UE speed | 30,60,90 km/h for study targeting measurement reduction60,90,120 km/h for study targeting HO performance improvement | 30,60,90 km/h for study targeting measurement reduction60,90,120 km/h for study targeting HO performance improvement |
| UE distribution | 100% outdoor | 100% outdoor |
| BS Antenna Configuration | Companies need to report which option(s) are used between- 32 ports: (8,8,2,1,1,2,8), (dH,dV) = (0.5, 0.8)λ- 16 ports: (8,4,2,1,1,2,4), (dH,dV) = (0.5, 0.8)λ1,2 or 4 TX beams are assumed. | Antenna setup and port layouts at gNB: (4, 8, 2, 1, 1, 1, 1), (dV, dH) = (0.5, 0.5) λ8,16 or 32 TX beams are assumed |
| BS Antenna radiation pattern | 3-sector antenna radiation pattern, 8 dBi | TR 38.802 Table A.2.1-6, |
| UE Antenna Configuration | 4RX: (1,2,2,1,1,1,2), (dH,dV) = (0.5, 0.5)λ for (rank 1-4)2RX: (1,1,2,1,1,1,1), (dH,dV) = (0.5, 0.5)λ for (rank 1,2)1RX beam is assumed | Antenna setup and port layouts at UE: (1, 4, 2, 1, 2, 1, 1), 2 panels (left, right)4RX beams are assumed |
| UE Antenna radiation pattern | Omni-direction | TR 38.802 Table A.2.1-8,  |
| BS Tx Power | 44dBm  | 40 dBm (baseline)Other values (e.g., 34 dBm) not precluded |
| Maximum UE Tx Power | 23dBm | 23 dBm |
| BS receiver Noise Figure | 5dB | 7 dB |
| UE receiver Noise Figure | 9dB | 10 dB |
| Inter site distance | 500m | 200 m |
| BS Antenna height | 25m | 10m |
| UE Antenna height | 1.5m | 1.5 m |
| Spatial consistency | companies report one of the spatial consistency procedures: - Procedure A in TR38.901- Procedure B in TR38.901 | companies report one of the spatial consistency procedures: - Procedure A in TR38.901- Procedure B in TR38.901 |
| UE trajectory model | 3 options in 38.843 section 6.3.1 | 3 options in 38.843 section 6.3.1 |
| UE trajectory boundary processing model | Companies report which of the following models they used:wrap-around model, circle-bouncing model,boundary-terminated model | Companies report which of the following models they used:wrap-around model, circle-bouncing model,boundary-terminated model |
| Sampling period | 40ms | 80ms |

Editor Note 1: This section intends to capture evaluation metrics, methodology and simulation assumptions common for all use cases

Editor Note 3: No explicit result calibration (e.g., as in TR 36.839) is expected. Evaluation KPI(s) with detailed evaluation descriptions can be reported for cross-checking purposes.

Editor Note 4: For cluster approach, RAN2 will focus on frequency domain

## 5.2 RRM measurement prediction

### 5.2.1 Evaluation methodology, metrics and assumptions

Measurement prediction accuracy for cell-level RRM measurement prediction is defined as average L3 RSRP difference between predicted L3 filtered cell-level measurement result and ground truth L3 filtered cell-level measurement result of the same cell for all RRM sub-use cases.

Measurement reduction rate for intra-frequency scenario is defined in the temporal domain (called MRRT) by assuming same length of measurement time instances and spatial domain respectively (called MRRS):

MRRT = skipped measurement time instances / total measurement time instances

MRRS = skipped beams to be measured/ total beams to be measured

In intra-frequency temporal domain case A, continuous measurement results in PW are predicted by continuous historical measurement result(s) in OW. Then OW and PW slide forward with either sampling period(s) (with sliding L1/L3 filtering option) or measurement period(s) (with non-sliding L1/L3 filtering option), where measurement result(s) are actually measured before sliding. One example is illustrated in Figure 5.2.1-1:



Figure 5.2.1-1: Example of intra-frequency temporal domain case A

Intra-frequency temporal domain case A prediction is evaluated for the 2nd study goal for both FR1 and FR2 scenario.

In intra-frequency temporal domain case B, measurement results in PW are predicted by historical measurement result(s) in OW. Then OW and PW slide forward with either sampling period(s) (with sliding L1/L3 filtering option) or measurement period(s) (with non-sliding L1/L3 filtering option) and measurement result(s) in previous PW is/are skipped during window sliding. Example 1 and example 2 are illustrated in Figure 5.2.1-2 and Figure 5.2.1-3 respectively, between which example 2 is recommended as baseline for evaluation.

Note: The historical measurement results in OW are at least actual measurement results. And Companies are free to report if they use predicted measurement results in OW as input of AI/ML model.



Figure 5.2.1-2: Example 1 of intra-frequency temporal domain case B



Figure 5.2.1-3: Example 2 of intra-frequency temporal domain case B

Intra-frequency intra-cell temporal domain case B prediction is evaluated for 1st study goal by predicting a sub set of measurement instances in temporal domain of the same cell for both FR1 and FR2 scenario. MRRT(s) should be aligned among companies without defining detail TDM pattern. Both case A and case B are applicable for all RRM sub-use cases and focus on at least pure temporal domain.

Intra-frequency intra-cell spatial domain prediction is evaluated for the 1st study goal by measuring a sub set of configured SSB as input to the model to derive L3 filtered cell-level measurements for every time instance of the same cell. It is only evaluated for FR2 intra-frequency scenario and is applicable for RRM sub-use case 1 and 3. MRRS(s) should be aligned among companies without defining detailed pattern.

For both intra-frequency prediction inter-cell prediction and FR1 to FR1 inter-frequency inter-cell prediction, no measurement is reduced in both temporal and spatial domain for cell to be measured. For FR1 to FR1 inter-frequency inter-cell prediction, focus on the case where cell to be measured and cell to be predicted are located in the same sector of either serving site or same neighbouring site. If inter-frequency correlation model is assumed, section 7.6.5 in [4] is taken as baseline for inter-frequency correlation model. FR1 to FR1 inter-frequency inter-cell prediction is applicable for all RRM sub-use cases.

Intra-frequency inter-cell prediction refers to neighbouring cell prediction based on measurements of either co-located or non-collocated serving cell or neighbouring cell.

The prioritization among evaluation scenarios is captured in table 5.2.1-1

Table 5.2.1-1: Prioritization of evaluation scenarios

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| scenario number | Priority  | Evaluation scenario | Target study goal | Methodology |
| 1 | Low | FR1 to FR1 intra-frequency temporal domain case A | 2nd goal | TBD |
| 2 | High | FR1 to FR1 intra-frequency temporal domain case B | 1st goal | Intra-cell |
| 3 | High | FR1 to FR1 inter-frequency (frequency domain) | 1st goal | Inter-cell  |
| 4 | High | FR2 to FR2 intra-frequency temporal domain case A | 2nd goal | Intra-cell |
| 5 | Low | FR2 to FR2 intra-frequency temporal domain case B | 1st goal | TBD |
| 6 | Middle | FR2 to FR2 intra-frequency spatial domain | 1st goal | Intra-cell |

Following RRC parameters are assumed for RRM measurement prediction:

**Table 5.2.1-2**

|  |  |
| --- | --- |
| **L3 filtering parameter**  | **value** |
| FR1 FilterCoefficient | 4 |
| FR2 FilterCoefficient | 4 |

**Table 5.2.1-3**

|  |  |
| --- | --- |
| **Measurement period** | **value** |
| FR1 to FR1 intra-frequency without gap | 200ms  |
| FR1 to FR1 inter-frequency with gap | 200ms |
| FR2 to FR2 intra-frequency without gap | 400ms  |

**Table 5.2.1-4**

|  |  |
| --- | --- |
| **Consolidation parameter** | **value** |
| nrofSS-BlocksToAverage for FR1 | 1 |
| nrofSS-BlocksToAverage for FR2 | 3 |
| absThreshSS-BlocksConsolidation for FR1 | -110dbm |
| absThreshSS-BlocksConsolidation for FR2 | -110dbm |

For FR1 inter-frequency prediction, Pearson correlation coefficient is used for correlation coefficient calculation.

The generalization performance is evaluated with the following cases:

Baseline: The AI/ML model is trained using the dataset with Configuration #B and tested using the dataset with Configuration #B.

Generalization Case #1 (GC#1): The AI/ML model is trained using the dataset with Configuration #A but tested using the dataset with Configuration #B.

Generalization Case #2 (GC#2): The AI/ML model is trained using mixed datasets ~~with both configurations~~ and tested using the dataset with Configuration #B.

Table 5.2.1-5: Evaluation combinations for FR1 and FR2 generalization study on UE speed

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Training @Dataset: S1  | Training @Dataset: S2 | Training @Dataset: S3 | Inference @Dataset:S1 | Inference @Dataset:S2 | Inference @Dataset:S3 |
| Baseline | Yes  |  |  | Yes  |  |  |
| GC#1 |  | Yes |  | Yes |  |  |
| GC#1 |  |  | Yes | Yes |  |  |
| GC#2 | Yes | Yes | Yes | Yes |  |  |
| Baseline |  | Yes |  |  | Yes |  |
| GC#1 | Yes |  |  |  | Yes |  |
| GC#1 |  |  | Yes |  | Yes |  |
| GC#2 | Yes | Yes | Yes |  | Yes |  |
| Baseline |  |  | Yes |  |  | Yes  |
| GC#1 | Yes |  |  |  |  | Yes |
| GC#1 |  | Yes |  |  |  | Yes |
| GC#2 | Yes | Yes | Yes |  |  | Yes |

For FR1, the UE speed S1, S2 and S3 are 30 km/h, 60km/h and 90km/h. For FR2, the UE speed S1, S2 and S3 are 60 km/h, 90km/h and 120km/h.

Table 5.2.1-6: Evaluation combinations for FR1 , or separately for FR2 generalization study on cell configuration

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Training @Dataset: CC1  | Training @Dataset: CC2 | Inference @Dataset:CC1 | Inference @Dataset:CC2 |
| Baseline | Yes  |  | Yes  |  |
| GC#1 |  | Yes | Yes |  |
| GC#2 | Yes | Yes | Yes |  |
| Baseline |  | Yes |  | Yes |
| GC#1 | Yes |  |  | Yes |
| GC#2 | Yes | Yes |  | Yes |

Table 5.2.1-7: Cell Configuration parameters for FR1, or separately for FR2

|  |  |  |
| --- | --- | --- |
| Parameter | Cell Configuration #1 | Cell Configuration #2 |
| Deployment scenario  | UMi | UMa |
| ISD | 200m | 500m |
| BS antenna height | 10m | 25m |
| BS Tx power | 40dBm | 44dBm |

Editor Note 1: This section intends to capture RRM measurement prediction specific metrics, methodology and assumptions

Editor Note 2: RAN2 will start the evaluation with measurements prediction accuracy and model complexity.

Editor Note 3: The table 5.2.1-1 is captured for study purpose. It may be removed in the final TR.

Editor Note 4: Intra-frequency inter-cell prediction will not be evaluated at least in early stage.

Editor Note 5: Apart from FilterCoefficient, which is for both cell level and beam level RRM measurement prediction sub use cases, the rest parameters are for cell level RRM measurement prediction only so far.

Editor Note 6: Evaluation on GC#1 is lower priority

### 5.2.2 Evaluation results

Some general trends are observed for RRM measurement predictions based on the simulations performed for scenarios 2, 3 and 4 mentioned in Table 5.2.1-1.

For both FR2 intra-frequency temporal domain case A and FR1 intra-frequency temporal domain case B predictions:

The following observations are made:

* Higher UE speed correlates with decreased prediction accuracy.
* Longer PW length correlates with decreased prediction accuracy.
* The gain of cluster approach against single cell approach is not clear.

The following observations are made for generalization over UE speeds:

* Generalization performs well across all UE speeds in general.
* GC#2 case slightly improves the prediction accuracy compared to GC#1 cases.
* GC#2 case offers comparable prediction accuracy as the baseline case for the same data set size.
* For GC#1 case, the closer the UE speed difference is between training data set and inference data set, the closer prediction accuracy to the baseline case is achieved.

For FR2 intra-frequency temporal domain case A the following observations are made:

* Increasing the OW length can improve the prediction accuracy, especially when the OW length is relatively short. However, once the OW length exceeds a certain value, further increase of the OW length does not yield significant benefit.
* A majority of the companies observe that RRM sub-use case 2 demonstrates higher prediction accuracy than RRM sub-use case 1 and RRM sub-use case 3 at least with short PW length.
* AI algorithm can outperform sample and hold in terms of predication accuracy. The gain improves with increment of UE speed and PW length within a certain window length.

For FR1 intra-frequency temporal domain case B the following observations are made:

* Increasing MRRT correlates with decreased prediction accuracy.
* Under the same MRRT setting, different measurement skipping patterns can result in different prediction accuracy
* When PW is short, the performance difference between AI algorithm and sample-and-hold is not significant. However, when PW becomes larger, AI algorithm outperforms sample-and-hold.
* AI algorithm can outperform sample and hold in terms of predication accuracy. The gain improves with increment of UE speed and MRRT.

For FR1 inter-frequency predictions in co-located scenario, the following observations are made:

* The prediction accuracy is comparable between higher-to-lower frequency and lower-to-higher frequency case.
* The UE speed has minor impact on the prediction accuracy.
* The higher the correlation coefficient is between two frequency layers, the higher the prediction accuracy
* The cluster approach can improve the prediction accuracy compared to single cell approach
* AI algorithm with cluster approach shows better performance compared to pathloss offset-based algorithm. But AI algorithm with single cell approach achieves limited gain compared to pathloss offset based algorithm without the help of neighbour cell measurement results.

For generalization over frequency domain prediction, the following observation are made:

* GC#2 case always outperforms GC#1 case, and its prediction accuracy is acceptable and close to the baseline case
* The knowledge about the input & output frequency or even an indication helps improve prediction accuracy of GC#2 case
* GC#1 case without any preprocessing based on the information e.g. path loss difference suffers from significant performance loss.

Note 1: “Higher-to-lower frequency case refers to the scenario where measurements on a lower frequency (2GHz in the simulations) were predicted based on the actual measurement results on a higher frequency (4GHz in the simulations) and vice versa for lower-to-higher frequency case.

## 5.3 Measurement event prediction

### 5.3.1 Evaluation methodology, metrics and assumptions

The performance metric F1 score is defined as following:

F1 score = 2\*Precision\*Recall/(Precision + Recall)

Where:

Precision = n3/(n1+n3)

Recall =n3/(n2+n3)

For indirect prediction, the counter n1, n2 and n3 in the formula are defined as following:

* Counter n3(true event prediction): it increases by 1 when a ground-truth event occurs around a predicted event with ETD, whose range is [0, maximum ETD] or vice versa
* Counter n1(false event detection): it increases by 1 when no ground-truth event occurs around a predicted event with ETD, whose range is [0, maximum ETD]
* Counter n2(missed event detection): it increases by 1 when no event is predicted around a ground-truth event with ETD, whose range is [0, maximum ETD]

The ETD i.e. timing difference between ground-truth event and predicted event is illustrated in Figure 5.3.1-1:



Figure 5.3.1-1: illustration of ETD

As illustrated in Figure 5.3.1-1, only if the ETD between a predicted event and a ground-truth event e.g. ground-truth event 2 is less than or equal to maximum ETD, the ETD can still be tolerated. Otherwise, both false event and missed event are detected.

For direct prediction, the counter n1, n2 and n3 in the formula are defined as following:

* Counter n3 (true event prediction): it increases by 1 when a ground-truth event occurs within the occurrence window of predicted event whose possibility is higher than a predefined threshold
* Counter n1 (false event detection): it increases by 1 when no ground-truth event occurs within the occurrence window of predicted event whose possibility is higher than a predefined threshold
* Counter n2 (missed event detection): it increases by 1 when a ground-truth event occurs, but it doesn’t fall in the occurrence window of any predicted event whose possibility is higher than a predefined threshold

For direct prediction method, a measurement event could be predicted within an occurrence window starting from current time instance i.e. t0 and future time instance t1 with a probability as illustrated in Figure 5.3.1-1.



Figure 5.3.1-2: occurrence window of direct prediction method

For measurement event prediction based on intra-frequency temporal domain case A or case B, the simulation assumptions for intra-frequency temporal domain case A or case B in Table 5.2.1-1, Table 5.2.1-2, Table 5.2.1-3 and Table 5.2.1-4 are reused respectively. On top of that, following additional simulation assumptions are used for measurement event prediction based on intra-frequency temporal domain case A in Table 5.3.1-1 and temporal domain case B in Table 5.3.1-2 respectively:

Table 5.3.1-1: Additional simulation assumptions for measurement event prediction based on intra-frequency temporal domain case A

|  |  |  |
| --- | --- | --- |
| Parameters | baseline value | Note |
| A3 event offset (dB) | 2 | Open for 3dB |
| TTT (ms) | 320 | Open for one shorter value |
| UE speed (km/h) | 90 | Open for 60 and 120km/h |
| OW length (ms, \*) | N/A | Up to implementation |
| PW length (ms,\*\*) | 400 | Open for more values |
| Max ETD (ms, \*) | 80 | Open for more values |

Table 5.3.1-2: Additional simulation assumptions for measurement event prediction based on intra-frequency temporal domain case B

|  |  |  |
| --- | --- | --- |
| Parameters | baseline value | Note |
| A3 event offset (dB) | 2 | Open for 3dB |
| TTT (ms) | 320 | Open for one shorter value |
| UE speed (km/h) | 30 | Open for 60 and 90km/h |
| OW length (ms,\*) | N/A | Up to implementation |
| PW length (ms,\*\*) | 200 (non-sliding)40 (sliding) | Open for more values |
| Max ETD (ms,\*) | 80 | Open for more values |
| MRRT | 50% | Open for more values |

\*: This parameter is only applicable for indirect prediction

\*\*: For direct prediction, PW length means the length of occurrence window. And for FR1 only baseline 200ms is applicable.

Editor Note 1: This section intends to capture measurement event prediction specific metrics, methodology and assumptions

Editor Note 2: Simulations will focus on FR2 intra-frequency temporal domain case A for second study goal. FR1 temporal domain case B is optional to report. Indirect prediction is prioritized over direct prediction.

Editor Note 3: It is up to company’s implementation to model UE behaviour after A3 event is triggered during simulation.

### 5.3.2 Evaluation results

For Indirect measurement event prediction based on intra-frequency temporal domain case A, the following observations are made:

* Most of the simulation results show that the F1 score is very good

For Indirect measurement event prediction based on intra-frequency temporal domain case B, the following observations are made:

* Very good F1 score can be achieved, which depends on filtering approach
* Good F1 score can be achieved with low PW length
* Higher MRRT value correlates with decreased F1 score

Indirect event prediction based on frequency domain prediction will be considered for the specification impact study without explicit simulations

F1 score for direct measurement is very good based on the current simulation results

## 5.4 RLF prediction

### 5.4.1 Evaluation methodology, metrics and assumptions

The metrics defined in section 5.3.1 including F1 score, Precision, Recall and related counter n1,n2 and n3 are reused for RLF prediction also.

Additional simulation assumptions on top of those in table 5.1-1 are listed in table 5.4.1-1:

Table 5.4.1-1

|  |  |
| --- | --- |
| Parameter | Value |
| Qin threshold | -6dB |
| Qout threshold | -8dB |
| Sample rate (TIndication\_interval) | 20ms (FR2)/40ms(FR1)  |
| Qin evaluation period | 100ms |
| Qout evaluation period | 200ms |
| T310 | 1000ms |
| N310 | 1 |
| N311 | 1 |
| Max ETD (ms, \*) | 80ms |
| PW length (ms, note2) | 400(FR1),400(FR2) |
| OW length (ms, \*) | Up to implementation |

\*: This parameter are only applicable for indirect prediction

\*: For direct prediction, PW length means the length of occurrence window, which is illustrated in Figure 5.3.1-2.

To simulate inference across cells, following assumptions are made for inference model:

1. It is assumed that all cells are fully loaded for interference modelling and no resource scheduler is needed
2. Interference in simulation comes from co-site cells and surrounding 6 sites of serving cell, i.e., interference comes from 20 cells as illustrated in Figure 5.4.1-1
3. The beam with highest L1 RSRP of the serving cell is taken as serving beam, which is taken as the serving signal of RLM. And the beam transmission pattern is synchronized across the site/cells i.e., at any given time the transmitted beam index is the same across the site/cells



Figure 5.4.1-1: Interference model

In Figure 5.4.1-1, cells in site1 are surrounded by cells in 2nd tier sites. Cells in the rest sites are surrounded by cells in 2nd tier sites and wrap rounded sites. Taking cells in site 6 example, they are surrounded by site 1,2b,3b,4a,5,7, where site 2b,3b and 4a are wrap rounded sites. The alternative solution is to set up 3 tier sites.

Editor Note 1: This section intends to capture RLF prediction specific metrics, methodology and assumptions

Editor Note 2: FR2 study will be prioritized for RLF prediction.

### 5.4.2 Evaluation results

## 5.5 System level simulation

### 5.5.1 Evaluation methodology, metrics and assumptions

HOF model defined in section 5.2.1.3 of TR36.839 [7] is reused for SLS. The metric for SLS is HOF rate and total number of handover attempts per UE per second, which are defined in section 5.2.1.3 and section 5.4.2 of TR 38.839 [7] respectively. They are cited here:

The handover failure rate is defined as: Handover failure rate = (number of handover failures) / (Total number of handover attempts).

The total number of handover attempts is defined as: Total number of handover attempts = number of handover failures + number of successful handovers.

The total number of successful handovers per UE per second is defined as the total number of successful handovers averaged over the total travel time of all the simulated UEs

SLS is performed based on measurement event prediction defined in section 5.3. The simulation assumptions defined in section 5.3.1 are reused. The inference model defined in section 5.4.1 is reused also.

The handover model is defined to facilitate SLS, where measurement event is predicted based on either intra-frequency temporal domain case A or intra-frequency temporal domain case B. For both cases, network starts with 40ms handover preparation once a predicted measurement event is received. A handover command will be transmitted at least after preparation is completed. After handover command, 40ms execution duration is assumed.

If measurement event is predicted based on intra-frequency temporal domain case A, there are two options w.r.t. how to decide on the time point to transmit handover command:

Option 1: Relying on legacy measurement event

Option 2: Relying on predicted measurement event



Figure 5.5.1-1: Handover model option 1

Option 1 is illustrated in Figure 5.5.1-1. At current time i.e. t0 measurement event e.g. A3 event is predicted at some point of time in future. Network will not transmit handover command until a real measurement event is reported for the same neighbouring cell. In this way, the main benefit of this option is to save handover preparation time.



Figure 5.5.1-2: Handover model option 2

Option 2 is illustrated in Figure 5.5.1-2. At current time i.e. t0 measurement event e.g. A3 event is predicted @ future time t1. Network transmits handover command when entry condition of the predicted measurement event is met based on actual measurement result @ t2 unless t2 is earlier than handover preparation phase. In later case, network transmits handover command immediately after handover preparation phase. In this way, not only handover preparation could be saved but also handover can be executed earlier.

If measurement event is predicted based on intra-frequency temporal domain case B, there is option 3 w.r.t. how to decide on the time point to transmit handover command:

 

Figure 5.5.1-3: Handover model option 3

Option 3 is illustrated in Figure 5.5.1-3. Once a predicted measurement event e.g. A3 event is received network can transmit handover command immediately after handover preparation is completed. UE will report predicted measurement event at the time instance it is to be triggered.

### 5.5.2 Evaluation results

Compared to the legacy handover mechanism:

* AI algorithm following handover model options 1 and 2 performs better in terms of HOF rate.
* AI algorithm following handover model 3 with MRRT=50% has a minor or even no degradation in terms of HOF rate and total number of handover attempts

# 6 Potential specification impact

## 6.1 LCM, protocol and procedure aspects

Editor Note: Discussion on mobility specific LCM, protocol and procedures are captured in this section.

Editor Note: This SID will reuse the common framework of LCM captured in sections 7.2.1 and 7.3.2 of 38.843 and the agreement concluded under WID NR\_AIML\_air-Core in principle. Anything mobility specific will be captured here.

### 6.1.1 Common aspects

Editor Note: Specification impacts common to all use cases are captured here

### 6.1.2 RRM measurement prediction

Editor Note: RRM measurement prediction specific part is captured here

### 6.1.3 Measurement event prediction

Editor Note: The measurement event prediction specific part is captured here

### 6.1.4 RLF/HOF prediction

Editor Note: RLF/HOF prediction specific part is captured here

## 6.2 Interoperability, testability, and RRM requirements

Editor Note: This section intends to capture the spec impact on testability, interoperability, and RRM requirements and performance [RAN4] based on SID.

# 7 Conclusion

Annex <A> (informative):
<Informative annex for a Technical Specification>

Informative annexes may appear in both Technical Specifications and Technical Reports. Use style "Heading 8" for use in TSs.

Informative annexes shall not contain requirements for the implementation of the Technical Specification.

# A.1 Simulation template table

|  |  |  |
| --- | --- | --- |
| Report parameters | **Company A** | **……** |
| Reported simulation assumptions | UE trajectory option (option 1,2,3 in[4]) |  |  |
| UE trajectory boundary processing option (option 1,2,3 in[4]) |  |  |
| UE speed (30,60,90,120 Km/h) |  |  |
| Inter-frequency correlation assumption in general (yes or no)(Note 1) |  |  |
| Inter-frequency shadow fading correction (e.g. full, partial, no)(Note 1) |  |  |
| Whether LOSsoft is modeled or not |  |  |
| spatial consistency option (A or B) |  |  |
| Number of TX beams |  |  |
| Number of RX beams |  |  |
| Measurement reduction rate(50%~80%Note2) |  |  |
| OW(Note3) |  |  |
| PW (Note3) |  |  |
| Any other parameters (Note 4) |  |  |
| Data Size (Number of Samples) | Training/validity |  |  |
| Testing |  |  |
| AI/ML modelinput/output  | Model input (Note 5) |  |  |
| Model output(Note 6) |  |  |
| AI/ML model description | Model type (e.g., LSTM, CNN, transformer …) |  |  |
| Model complexity in a number of parameters(M) |  |  |
| Model complexity in model size (e.g. Mbyte) |  |  |
| Computational complexity [FLOPs] |  |  |
|  Metrics | Average L3 cell-level RSRP difference (dBm) |  |  |
| Other optional KPIs (e.g., L1 beam-level RSRP difference,) |  |  |

Table A.1-1

*Note1: Only applicable for FR1 to FR1 inter-frequency prediction.*

*Note2: Only applicable for intra-frequency prediction, either temporal domain case B or spatial domain. For FR1 to FR1 inter-frequency prediction, it is fixed i.e. no measurement will be performed on the frequency carrier to be predicted*

*Note3: For intra-frequency temporal domain case A,the ratio between OW and PW is at least limited to the value range {5,4,3,2,1,1/2,1/3,1/4,1/5}. And the length of OW and PW should be multiple times of sampling period or measurement period of FR1 or FR2 respectively. For intra-frequency temporal domain case B, the value range of OW is {40ms~2000ms} and the value range of PW is {40ms~800ms}.*

*Note4: This could be any other parameter e.g., BS antenna configuration, UE antenna configuration, BS TX power etc.*

*Note5: Apart from input of RRM sub-use case 1,2,3, other input information e.g. L1 filtering for L1 beam measurement, UE location , information of input cells are captured here too*

*Note6: Apart from output of RRM sub-use case 1,2,3, other output e.g. information of output cells is captured here too*

Annex <B> (informative):
Change history

Use style "Heading 8" in TSs and "Heading 9" in TRs. Do not use "informative" in the title in TRs.

This is the last annex for TS/TSs which details the change history using the following table.
This table is to be used for recording progress during the WG drafting process till TSG approval of this TS/TR.
For TRs under change control, use one line per approved Change Request
Date: use format YYYY-MM
CR: four digits, leading zeros as necessary
Rev: blank, or number (max two digits)
Cat: use one of the letters A, B, C, D, F
Subject/Comment: for TSs under change control, include full text of the subject field of the Change Request cover
New vers: use format [n]n.[n]n.[n]n

|  |
| --- |
| Change history |
| Date | Meeting | TDoc | CR | Rev | Cat | Subject/Comment | New version |
| 2024-06-11 | RAN2#126 | R2-2406096 |  |  |  | Endorsed skeleton | 0.02 |
| 2024-08-21 | RAN2#127 | R2-2406309 |  |  |  | Endorsed text proposal | 0.03 |
| 2024-10-14 | RAN2#127bis | R2-2409011 |  |  |  | Endorsed text proposal | 0.04 |
| 2024-11-18 | RAN2#128 | R2-2410186 |  |  |  | Endorsed text proposal | 0.05 |