TSG-RAN meeting #14 RP-010800
December 11-14, Kyoto, Japan

Status Report for WI to TSG

Work Item Name: Beamforming Enhancements

SOURCE: Rapporteur **TSG: RAN** **WG: 1**

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Ref. to WI sheet: RAN_work_items.doc

Progress Report since the last TSG (for all involved WGs):

RAN WG1:

RAN WG1 leads this WI. The WI was established in TSG-RAN #13, after which a draft TR was prepared and approved in RAN WG1#22. The name of the WI was changed to "Beamforming Enhancements". It was agreed that a major part of the WI is to facilitate the new measurements needed for support of beamforming. Performance requirements for beamforming related measurements will also be specified. Furthermore, in addition to specifying the measurements itself some signalling support over the Iub has to be defined.

One document on beamforming measurements [2] was discussed in the meeting. It was used as baseline text during TR drafting. It was agreed to present TR 25.887 in TSG-RAN #14 meeting as v1.0.0. The TR will be communicated to other RAN WGs.

RAN WG2:
The WI has not been treated yet.
RAN WG3:
The WI has not been treated yet.
RAN WG4:
WG4 has discussed on this topic since RAN#13 meeting, and several documents were presented for proposing performance requirements for radio links and the support of active set size in references [3]…[8]. CRs for performance requirements to TS 25.101 and TS 25.133 for Rel-5 have been agreed for approval in RAN#14.
For the case of TX-diversity schemes together with beamforming no contributions have been presented.

List of Completed elements (for complex work items):

List of open issues:
Definition on best received beam measurement.
Requirements on the accuracy of measurements.

Estimates of the level of completion (when possible):
30%

WI completion date review resulting from the discussion at the working group:
03/2002 (TSG-RAN#15)

References to WG's internal documentation and/or TRs:

[1] R1-01-1342, "TR on beamforming enhancements", Rapporteur
[2] R1-01-1180, "UTRAN Measurement for RRM support of beamforming", Nokia

[3] R4-011389, “RAN4 CRs for Beamforming”, Ericsson
[4] R4-011390, Active set size limitation for dedicated pilot, Ericsson
[5] R4-011391, Performance requirement for dedicated pilot, Ericsson
[6] R4-011592, Link-level simulation results for dedicated pilot test – 384 Kb/s, Motorola
[7] R4-011616, Performance requirement for dedicated pilot, Ericsson.
[8] R4-011619, Active set size limitation for dedicated pilot, Ericsson.

3G TR 25.887 V1.0.0 (2001-12)

Technical Report

3rd Generation Partnership Project; Technical Specification Group Radio Access Network; Beamforming Enhancements (Release 5)

Beamforming Enhancements

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Contents

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.

Introduction

At RAN#13 plenary meeting, a work item on Beamforming was approved. Beamforming with dedicated pilot symbols or with S-CPICH has potential to improve system capacity. Also UTRAN RRM could be improved by defining support for measurements that take into account the possible use of beamforming with S-CPICH or with dedicated pilots only.

1 Scope

The scope of this TR is to define potential measurements for UTRA FDD and their performance requirements for efficient support of RRM in case beamforming is used in UTRAN.

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.

[1] TS25.133 : Requirements for support of radio resource management (FDD)

[2] TS 25.211 : Physical channels and mapping of transport channels onto physical channels (FDD)

[3] TS 25.213 : Spreading and modulation (FDD)

[4] TS 25.214 : FDD : Physical layer procedures

[5] TS 25.302 : Services provided by the Physical Layer

[6] TS 25.331 : Radio Resource Control (RRC) Protocol Specification

[7] TS 25.423 : UTRAN Iur Interface RNSAP Signalling

[8] TS 25.433 : UTRAN Iub Interface NBAP Signalling

[9] TS 25.435 : UTRAN interface User Plane Protocol for Common Transport channel Data Streams

3. Definitions, symbols and abbreviations

3.1 Definitions

Beamforming antennas: an array of antennas used to form one or several beams within a cell with controlled beam directions.

Flexible beamforming: beamforming antennas where the uplink and downlink beams are formed by the application of weight vectors to the received and transmitted signals to control the relative phase between the signals applied at the antenna elements. The weight vectors, and hence beam directions, are flexible.

Beamforming with grid of fixed beams: beamforming antennas where the uplink and downlink beams are formed in such a way that the beam directions are fixed.

3.2 Symbols

3.3 Abbreviations

For the purposes of the present document, the following abbreviations apply:

RNC	Radio Network Controller
SCPICH	Secondary Common Pilot Channel
UTRAN	Universal terrestrial radio access network

4. Applicability of performance requirements and measurements.

The performance requirements and measurements outlined in this TR require the presence of beamforming antennas, as defined above, and therefore shall only apply where such beamforming antennas are present. This is because the application of the performance requirements and measurements to Node B's which do not otherwise support beamforming antennas would add cost and complexity to these Node Bs.

5. Performance requirements for beamforming related measurements

[Requirements on the accuracy of the measurements for RRM support of beamforming are to be defined in this section.]

This section could be renamed to something like "Requirements on measurements for support of RRM for beamforming" and moved after the measurement section.

6. Measurements for RRM support of beamforming

The following UTRAN measurements are proposed to be extended/added to provide support for RRM in case beamforming is used:

- Received total wide band power: The measurement is reported per beam.
- Transmitted carrier power: The measurement is reported per beam.

7. Overview of the changes required in the specification

5.1 RAN WG1

TS25.215 sections on received total wide band power and transmitted carrier power are updated to include description on beamforming antennas.

5.2.1 Received total wide band power

Definition	The received wide band power, including noise generated in the receiver, within the bandwidth defined by the pulse shaping filter. In case of receiver diversity the reported value shall be linear average of the power in the diversity branches. The reference point for the Received total wide band power measurement shall be the output of the pulse shaping filter in the receiver. In case of beamforming antennas the total received wideband power shall be measured for each beam.

5.2.4 Transmitted carrier power

Definition	Transmitted carrier power, is the ratio between the total transmitted power and the maximum transmission power. Total transmission power is the mean power [W] on one carrier from one UTRAN access point. Maximum transmission power is the mean power [W] on one carrier from one UTRAN access point when transmitting at the configured maximum power for the cell. Measurement shall be possible on any carrier transmitted from the UTRAN access point. The reference point for the transmitted carrier power measurement shall be the Tx antenna connector. In case of Tx diversity the transmitted carrier power for each branch shall be measured and the maximum of the two values shall be reported to higher layers, i.e. only one value will be reported to higher layers. In case of beamforming antennas the transmitted carrier power for each beam shall be measured and reported to higher layers.

5.2 RAN WG3

The measurements specified to support beamforming require some signalling support over the Iub in order to be useful. The node B beamforming capability is required to be known by the RNC. The possible modes are ("none", "flexible beam", "grid of fixed beams"). A capability of "none" means that beamforming antennas, as defined above, are not provided. This does not exclude the application of other non-standardised (uplink) schemes using antenna arrays which do not require support in the specifications. The following messages are suggested:

- Beamforming mode to apply: "none", "flexible beam", or "grid of fixed beams".
- The average wideband power measurements (uplink and downlik) should be reported from the Node-B to the RNC over the Iub interface. Thus, a measurement message should be send for each beam index (1,2,…,*N*) in addition to the sector wideband measurement. The reporting of these measurements could be on request or periodic, as specified for the sector wideband measurements. If the beamforming mode is "none", then only sector wideband measurements are reported.

- If the beamforming mode is “flexible beam” or “grid of fixed beams”, information should be added to the "Node-B configuration message", so that the RNC obtain information on the number of beams (*N*), in which the Node-B conducts wideband power measurements for RRM purposes. Also, the RNC should know the corresponding azimuthal steering directions of the *N* beams. This information is required so the RNC know the coupling/overlap between the different beams.

- The beam specific Node-B measurements are intended for RRM purposes such as admission control (AC), packet scheduling (PS), etc. During a random access procedure, if the beamforming mode is “flexible beam” or “grid of fixed beams”, the RNC should therefore also know in which beam direction the new UE is located. This information is required in order to be able to make a decision on whether the UE can get a call accepted. The "beam direction" of the new UE is equivalent to the beam index of the uplink beam where the highest power level is received from that particular UE (measured from the pilot symbols).

- In order to be able to design flexible and intelligent PS algorithms, if the beamforming mode is “flexible beam” or “grid of fixed beams”, the RNC need to know the beam index number for each UE connected to the Node-B. This information can be obtained in the Node-B by measuring the average uplink power of the pilot symbols from each UE in all *N* beams. The beam index for each UE corresponds to the beam with max power level. The length of the averaging window for these power measurements should be specified by the RNC.

For scenarios where the Node-B uses beamforming mode “grid –of fixed beams” or “flexible beam” with one SCPICH assigned per beam, there are additional considerations. For this particular case, a UE transition from one beam to another require higher layer signalling, since the UE needs to get informed that it should use another SCPICH. To be able to handle this the following signalling between Node-B and RNC is needed for the case where beamforming is applied with a SCPICH per beam:

- For each UE, the Node-B should measure the uplink received power of the of the pilot symbols in all the beams where a SCPICH is assigned. These measurements should be locally averaged in the Node-B before they are reported to the RNC. The length of the power averaging window is selected by the RNC. In order to reduce the Iub signalling load, we could chose to only report the strongest measurements to the RNC.

- Based on these measurements, the RNC determines whether a beam handover is needed or not. Hence, the beam handover algorithm can be implemented in coherence with the conventional sector handover algorithms.

5.3 RAN WG4

Annex A (informative): Node B implementation aspects

Flexible beamforming generally requires a calibrated array in both uplink and downlink. In the uplink this means that the relative phase between the signals is controlled (to within some margin of error), from the antenna elements until the beams are formed by the application of the weight vector and summation. This may require special measures in the antenna network, feeder system and within the Node B itself (filters, mixers, LNAamplifiers etc.), depending where and how the application of the weight vector and summation is performed. In the uplink these measures would not be required in the absence of beamforming antennas, even in the case of alternative proprietary solutions for weighting and combining signals from an antenna array.

Similarly, flexible beamforming on the downlink requires that the relative phase between the signals is controlled (to within some margin of error), from the point where the signal to be transmitted in a beam is split in to one path per antenna (prior to application of the weight vector), until the antenna elements. This may require special measures in the antenna network, feeder system and within the Node B itself (filters, mixers, power amplifiers etc.) depending where and how the application of the weight vector is applied.

For cases where the beams are generated externally to the Node B, the above mentioned requirements do not apply.

Annex B:
Change history

Change history							
Date	**TSG #**	**TSG Doc.**	**CR**	**Rev**	**Subject/Comment**	**Old**	**New**
23.11	RAN1#22	R1-01-1342			Approved in RAN WG1 to be provided for TSG-RAN for information	0.0.1	1.0.0

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