

Intelligent Reflecting Surface-Assisted Wireless Communications with Non-ideal CSI

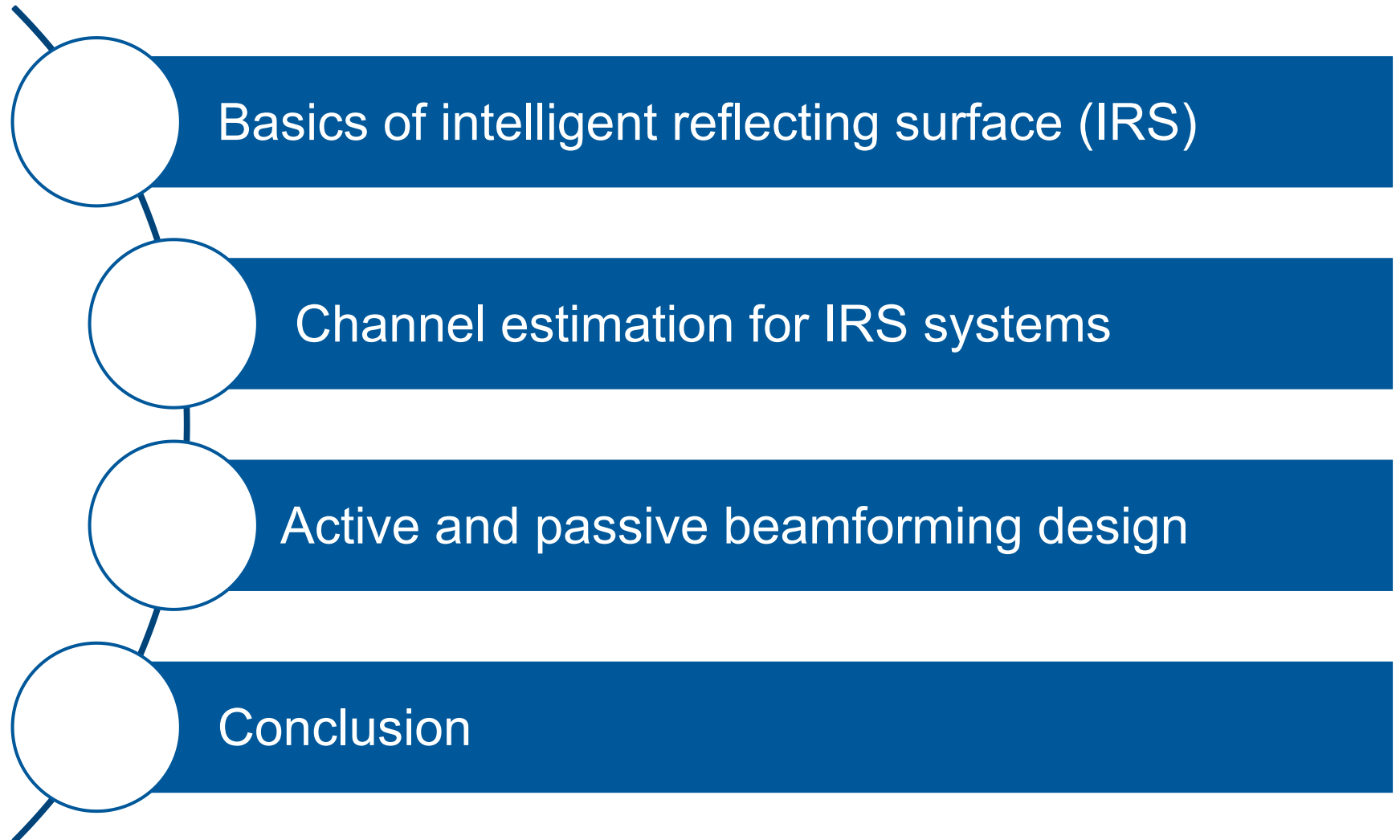
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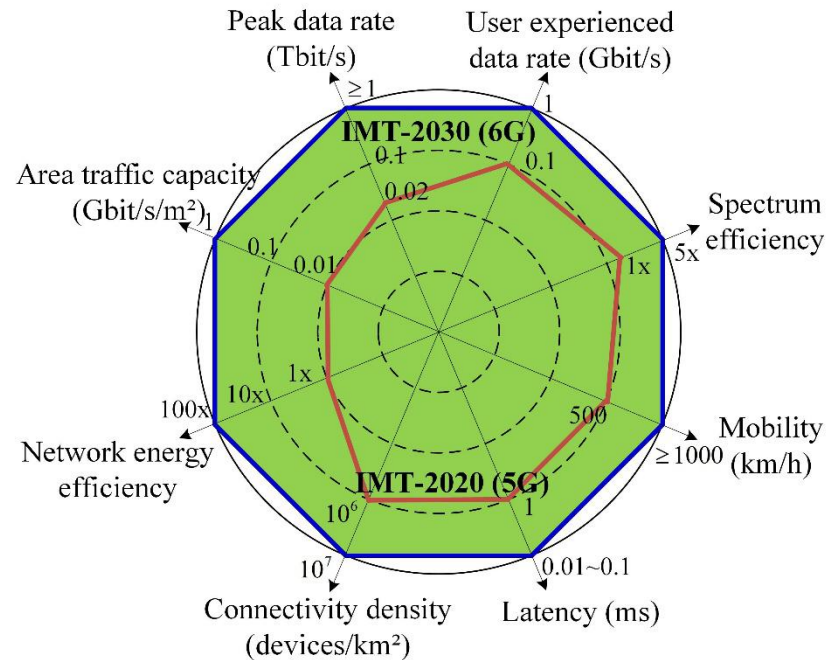
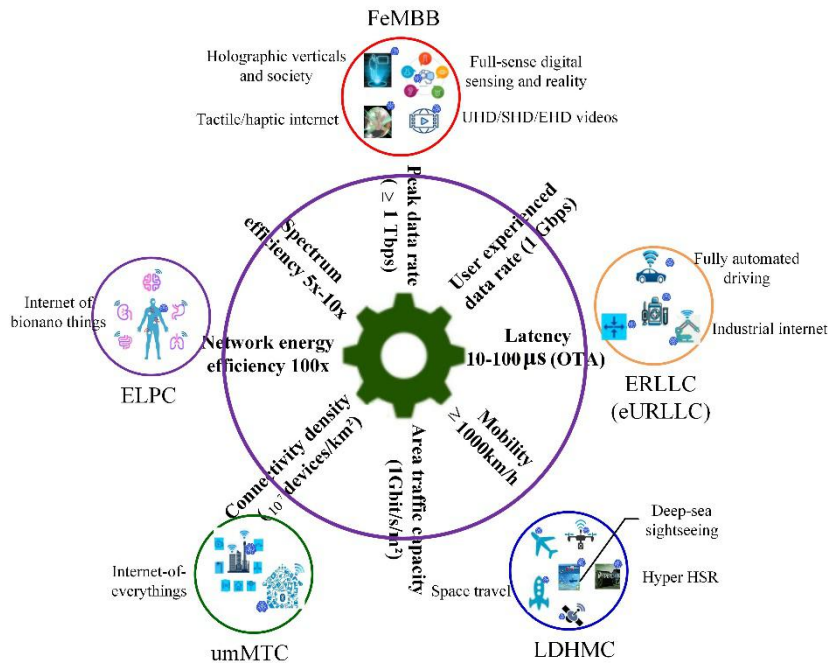
November 8, 2020

Outline



Motivation

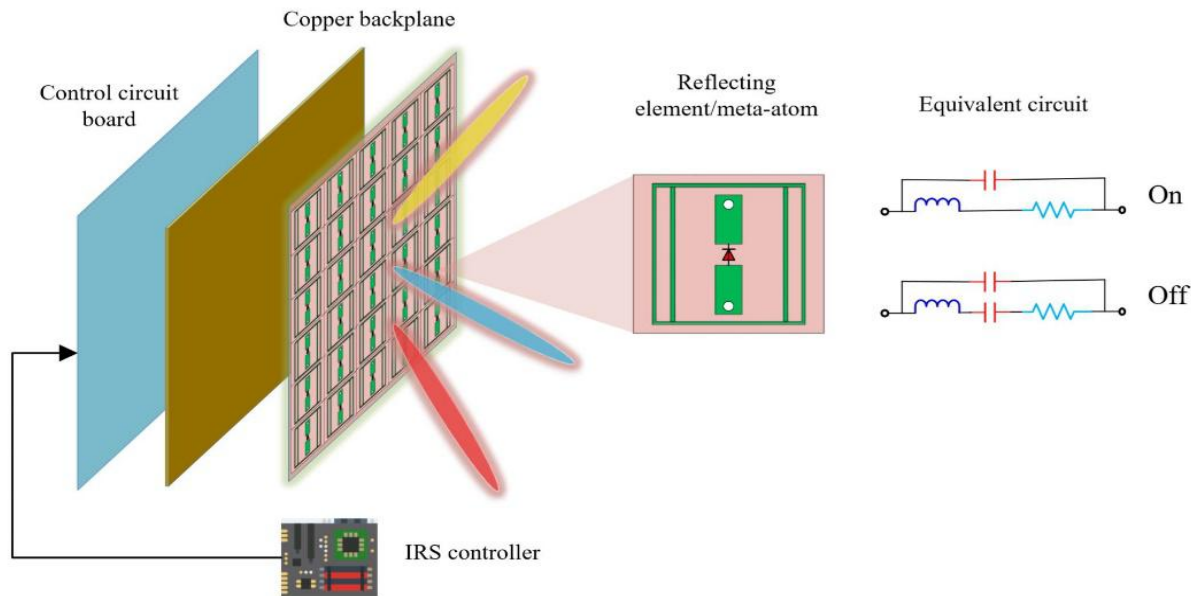
□ B5G/6G Scenario and key performance indicator



High spectral and resource efficiency, **low cost**

Why IRS?

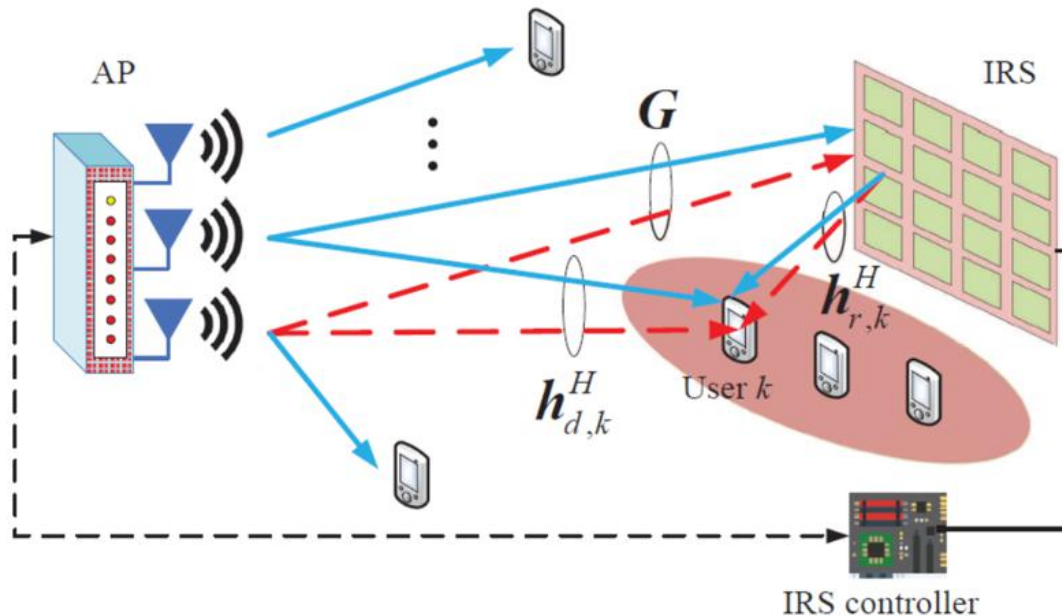
□ Key features (Wu, Com Mag 2020)



- a) Reconfigurable metamaterials with massive low- cost sub-wavelength reflecting meta-atoms
- b) Passive device (low energy consumption, green communication)
- c) Low cost (without mixer, ADC/DAC, PA)
- d) High spectrum efficiency (full- duplex, noiseless reflection)
- e) Full band response (sub-6G, mmWave, THz)
- f) Flexible deployment

Why IRS?

□ How IRS works



- a) Each element induces an **amplitude and/or phase change** to the incident signal independently
- b) Beamforming: Signals are combined **in phase** at the receiver

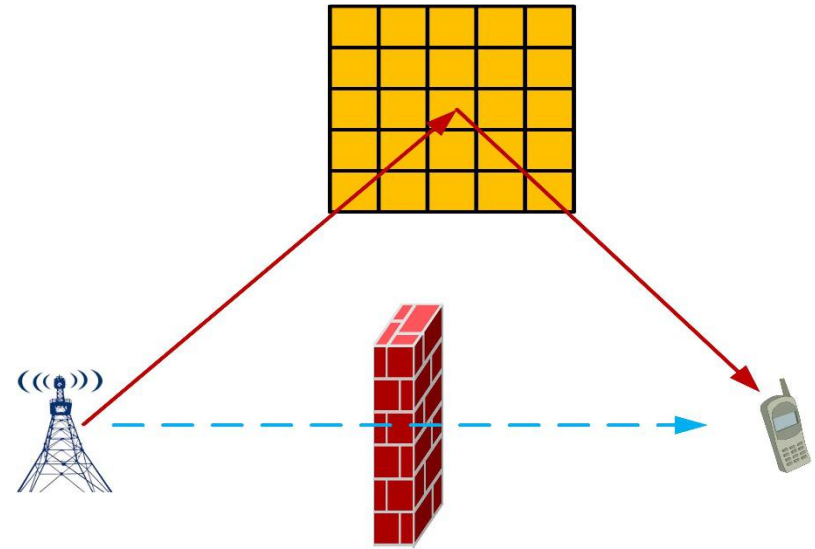
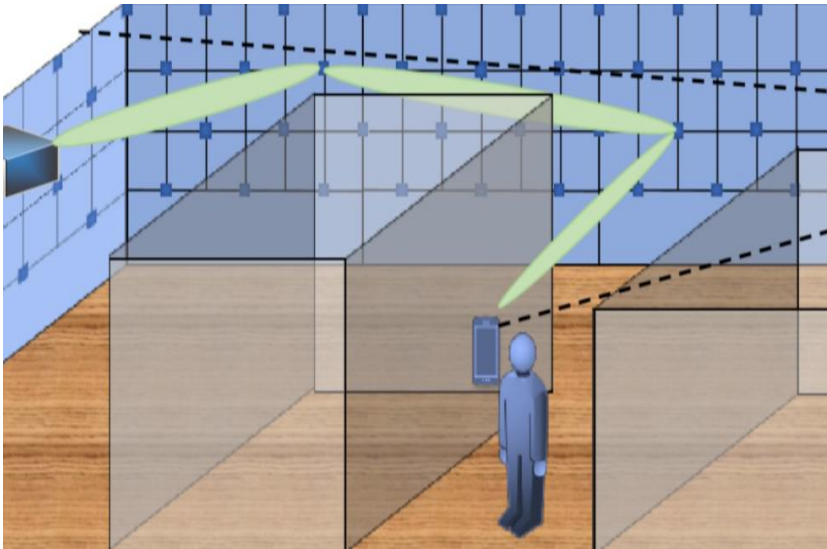
Why IRS?

□ Comparison with multi-antenna relay

	IRS	Relay
Mode	Passive	Active
Mechanism	Reflecting	Transmit and receive
Duplex	Full-duplex	High/full duplex
Deployment	Flexible	Inflexible
Scalability	Easy	Difficult
RF chain	No	Yes
Power consumption	Low	High
Hardware Cost	Low	High

IRS: Applications

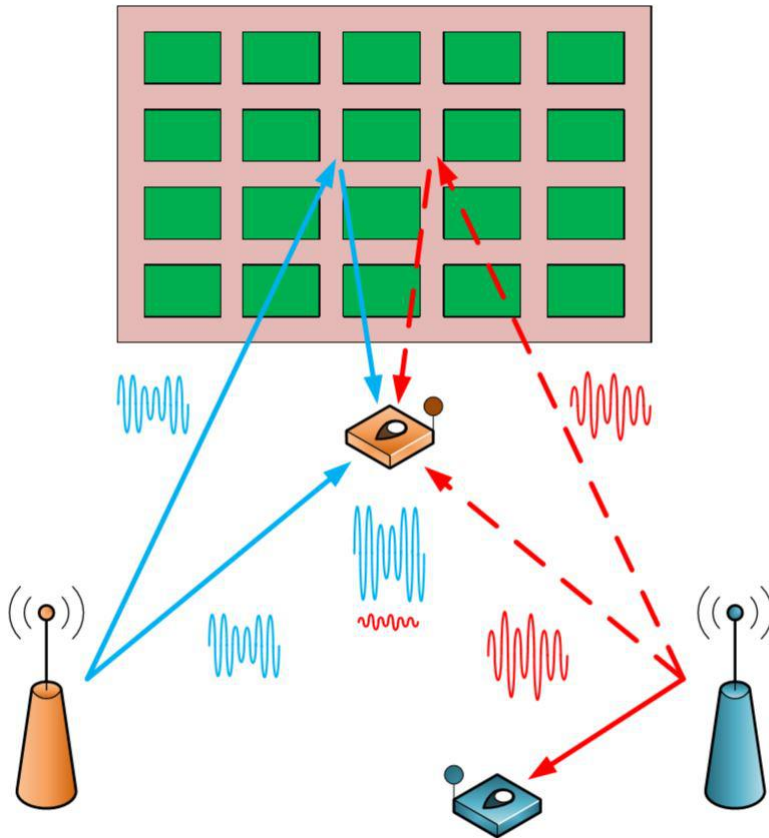
❑ Coverage hole, Non-Line of Sight



- Solve “**dead zone**” problem in **mmWave/THz** indoor coverage
- Create LoS link by smart reflection to bypass obstacle

IRS: Applications

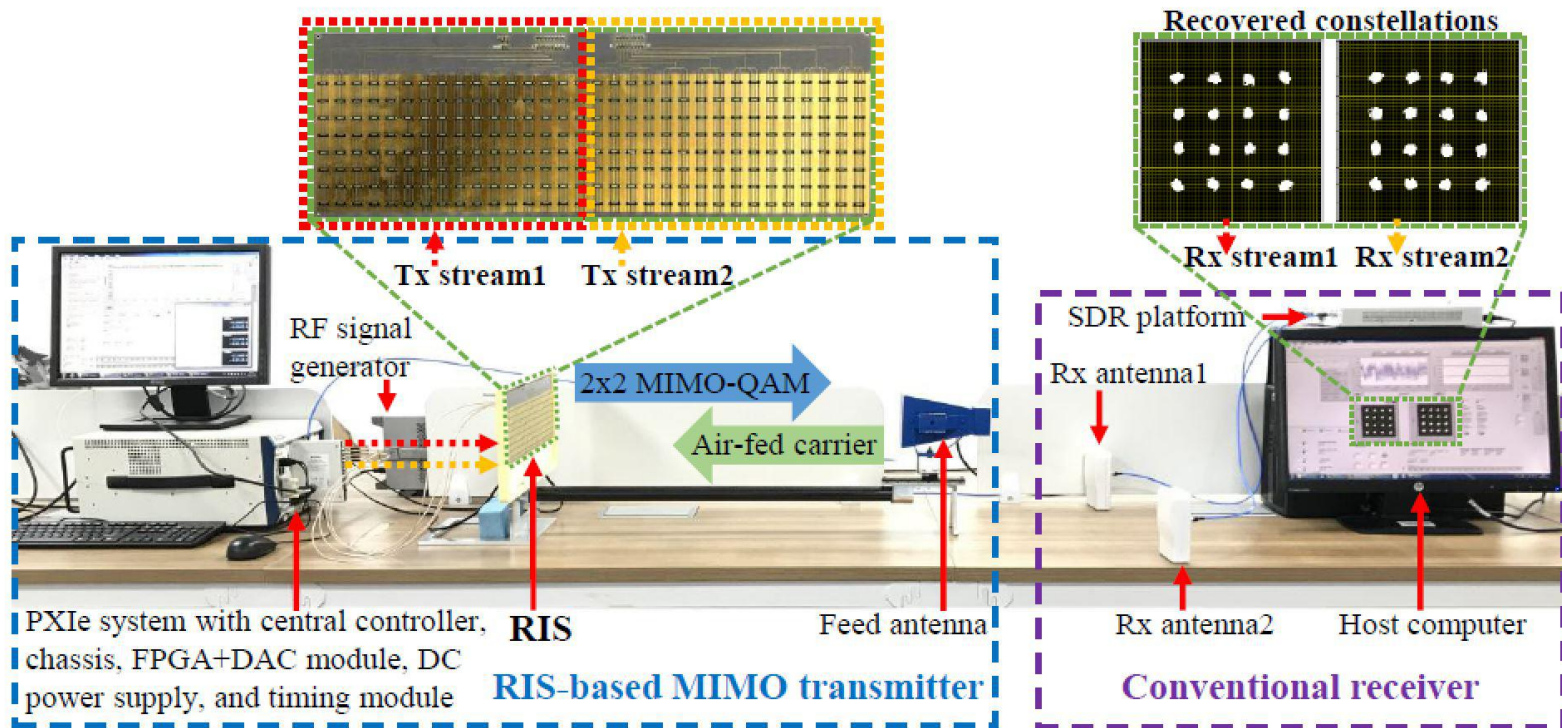
❑ Enhance cell edge performance



- Deploy the IRS at the cell edge to improve the signal power of edge users
- Suppress co-channel interference and create “signal hotspot”

Lab prototyping

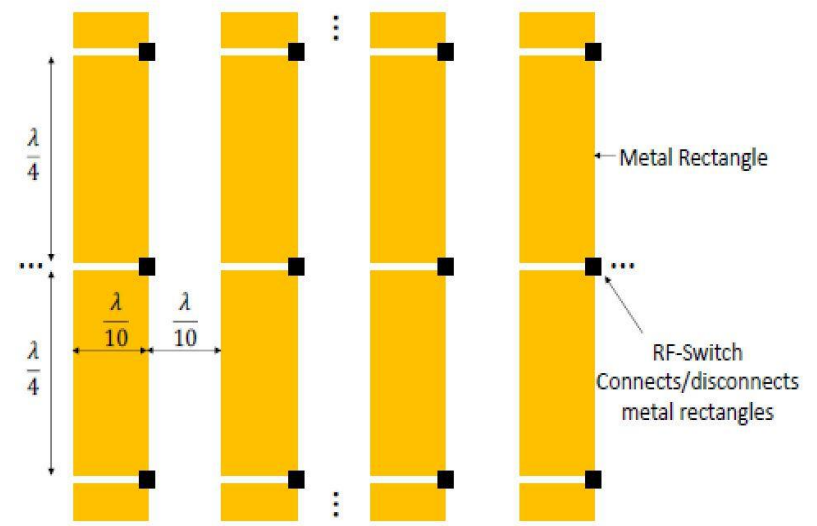
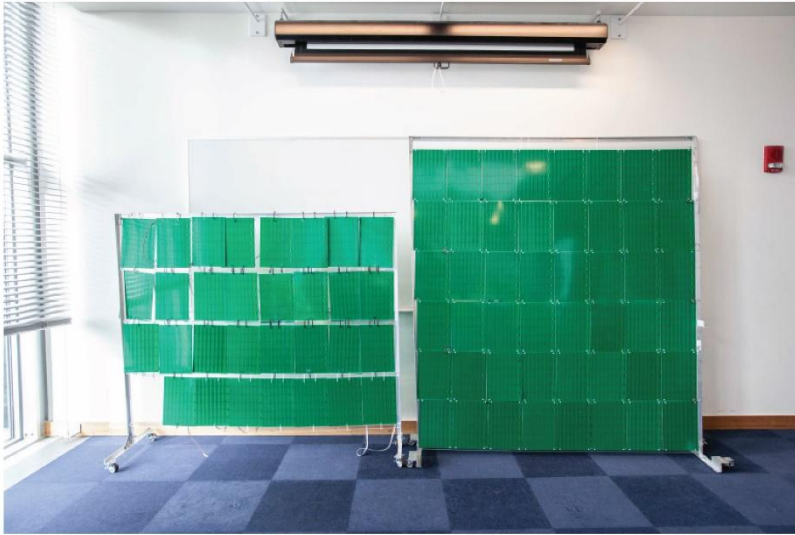
□ Southeast University: 2 by 2 MIMO



W. Tang, et al, "Wireless communications with programmable metasurface: New paradigms, opportunities, and challenges on transceiver design," IEEE Wireless Commun., 2020.

Lab prototyping

□ MIT: RFocus

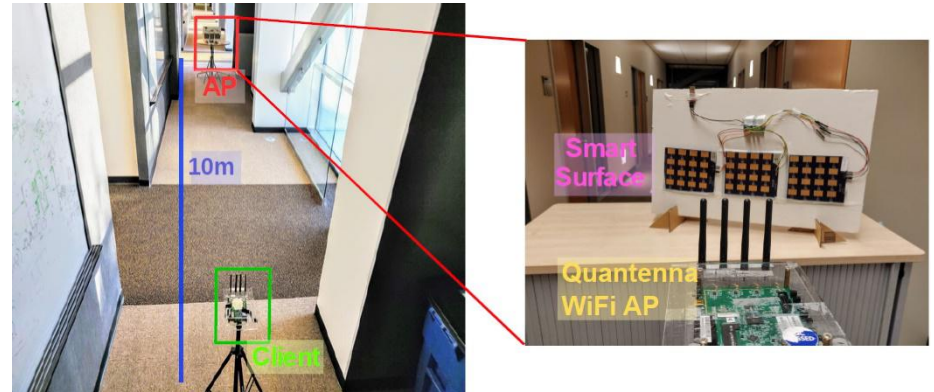
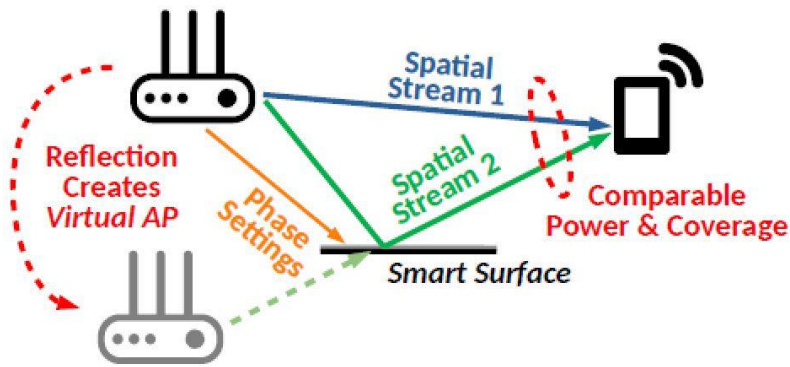


- Simple On-off protocol; 3200 elements, 2X capacity
- Desirable to place the surface close to the end points
- Robust to element failure. With 1/3 failed elements, the performance only drops by 50%
- No mobility support

V. Arun and H. Balakrishnan, "RFOCUS: Beamforming using thousands of passive antennas," Proceedings of the 17th USENIX symposium on Networked Systems Design and Implementation (NSDI' 20), Santa Clara, USA, 2020.

Lab prototyping

□ UCSD: Scatter MIMO



- Use smart reflector as a virtual AP, which has the same transmit power as traditional AP, therefore providing spatial multiplexing and SNR improvement
- 4 X 12 antenna surface; 2 X mean throughput gain, 50% increase in range

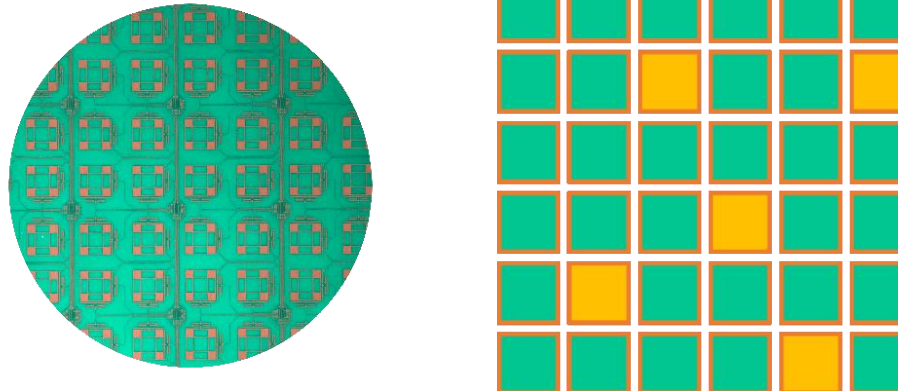
M. Dunna, C. Zhang, D. Sievenpiper, and D. Bharadia, "Scatter MIMO: Enabling virtual MIMO with smart surfaces," *MobiCom' 20*, London, UK, 2020.

Industry initiatives

❑ DoCoMo with Metawave (Automotive Radar and 5G)



❑ Greenwave (4G imaging radar, Electronically steerable antennas)



Channel estimation

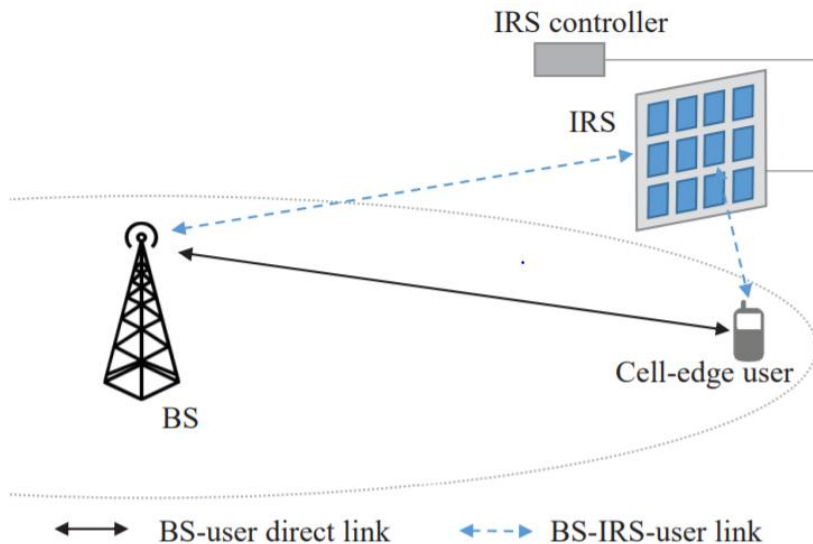
□ Channel estimation

- **AP-user link:** estimated by conventional method and switching off IRS
- **AP-IRS link:** estimated periodically (offline) with static AP and IRS
- **IRS-user link:** vary with user location, need to be estimated in real time

□ Key Challenges

- **Passive architecture:** IRS is generally not equipped with any radio frequency (RF) chains and thus not capable of performing any baseband processing functionality.
- **Large overhead:** the number of reflecting element is very large.

Estimate the cascaded channel



Received signal:

$$y = \mathbf{h}_c^T \text{diag}(\boldsymbol{\theta}) \mathbf{h}_r s + h_d s = \mathbf{g}^T \boldsymbol{\theta} s + h_d s$$

Cascaded Channel:

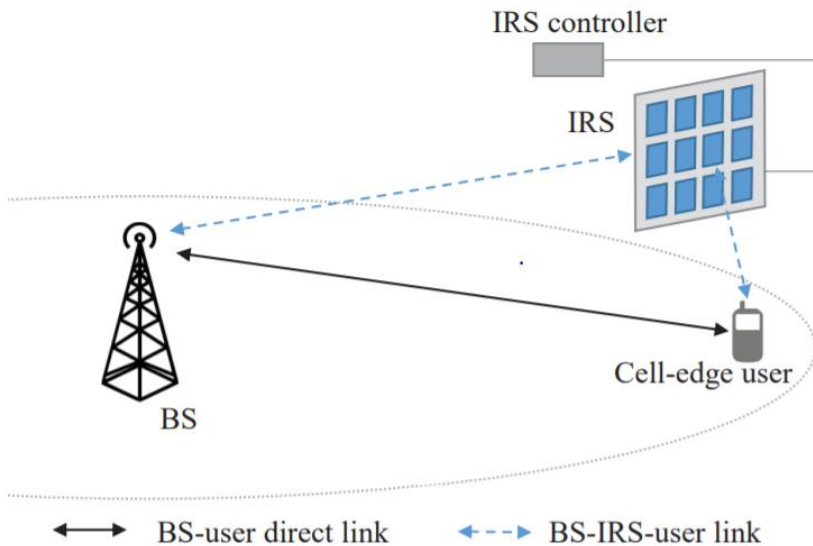
$$\mathbf{g}^T = \mathbf{h}_c^T \text{diag}(\mathbf{h}_r)$$

- **Estimate the direct channel:** Turn off the IRS and estimate the direct channel by uplink training.
- **Estimate the cascaded channel:** The IRS are turned on and the user send pilots to the BS.

Two Steps:

1. Cancel the interference from the direct channel.
2. Estimate the cascaded user-IRS-AP channels at the BS, based on the user pilot signals and time-varying IRS reflection pattern.

Estimate the cascaded channel



Received signal:

$$y = \mathbf{h}_c^T \text{diag}(\boldsymbol{\theta}) \mathbf{h}_r s + h_d s = \mathbf{g}^T \boldsymbol{\theta} s + h_d s$$

Cascaded Channel:

$$\mathbf{g}^T = \mathbf{h}_c^T \text{diag}(\mathbf{h}_r)$$

ON-OFF based strategy

- One active IRS element each time

DFT based strategy

- All the IRS elements are on
- Reflection coefficients determined by the DFT matrix.

Lagrange-based strategy

- A Lagrange-based strategy to minimize the MSE by optimizing the IRS pattern.

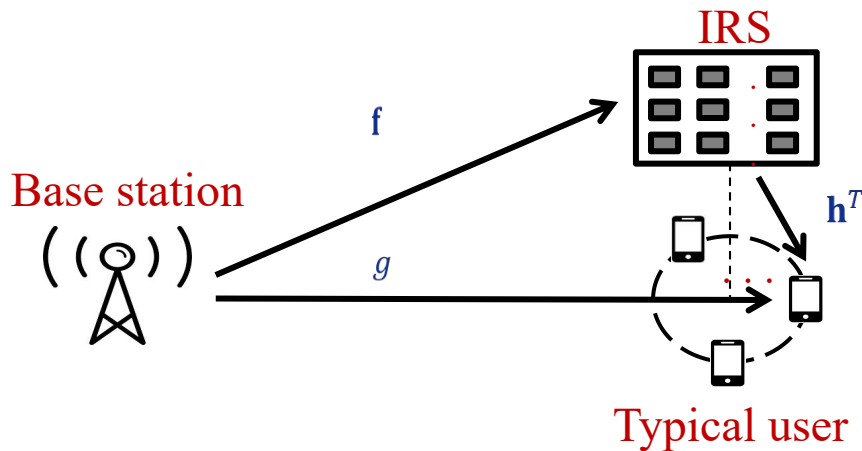
Compressed sensing based strategy

- Formulate the problem as a combined **sparse matrix factorization** and **matrix completion** problem.

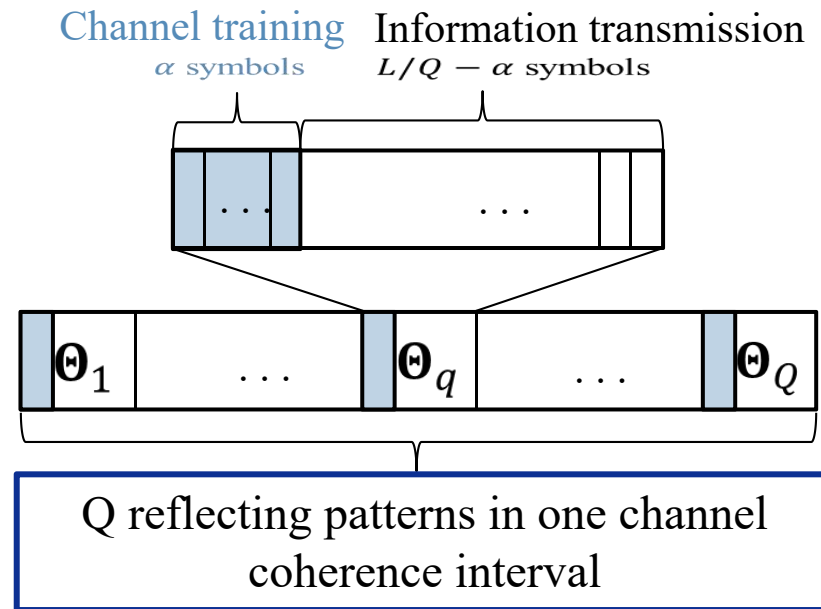
Active and passive beamforming design

- ❑ Random beamforming design
- ❑ Robust beamforming design
- ❑ Statistical CSI based beamforming design
- ❑ Angle-domain beamforming design

IRS-aided multicast systems with random reflecting



Single-antenna BS sends a common message to $K > 1$ single-antenna users.



➤ Transmission protocol:

- ◆ Each channel coherence interval is **equally** divided into Q "reflecting slots", and the IRS reflects with a **random** set of coefficients over each time slot.
- ◆ BS sends α training symbols, all users estimate the effective channel, i.e., $g + \mathbf{h}^T \Theta_q \mathbf{f}$, at each reflecting slot, rather than each cascaded channels via IRS.
- ◆ BS starts to transmit information.

IRS-aided multicast systems with random reflecting

➤ The outage probability for a given rate target τ (in bps/Hz) is defined as

$$P_{\text{out}} = \text{P} \left\{ \left(\frac{1}{Q} - \frac{\alpha}{L} \right) \sum_{q=1}^Q \log_2 \left(1 + \gamma \left| \mathbf{g} + \mathbf{h}^T \mathbf{\Theta}_q \mathbf{f} \right|^2 \right) < \tau \right\}$$

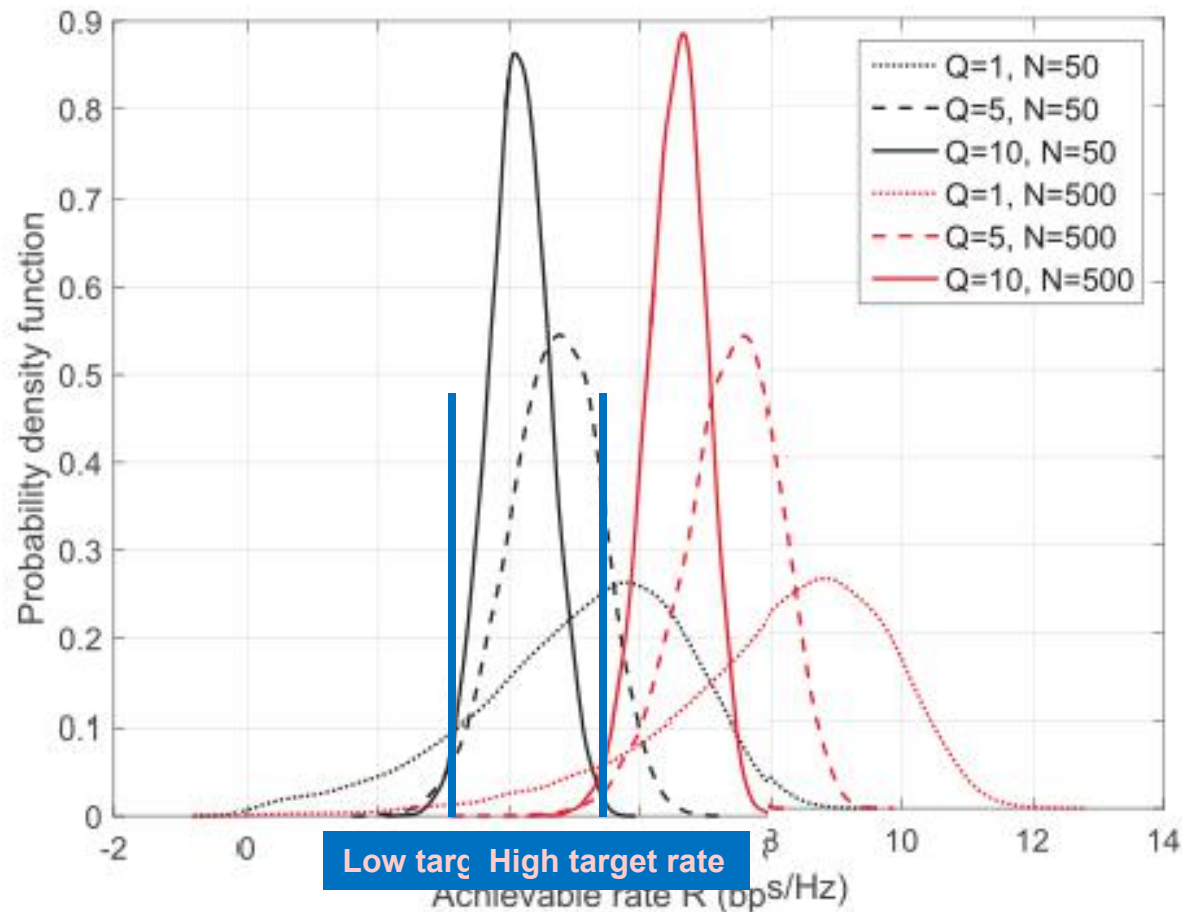
- $\mathbf{\Theta}_q = \text{diag} \{ e^{j\theta_{1,q}}, e^{j\theta_{2,q}}, \dots, e^{j\theta_{N,q}} \}$: phase shift matrix in slot q ;
- \mathbf{f}, \mathbf{g} : Rayleigh fading channels; \mathbf{h} : LoS channels.
- $\gamma = P/N_0$;
- L : Total number of symbols in each coherence interval;
- Considering the high SNR regime, all users can perfectly estimate the equivalent CSI.

❑ Tradeoff in P_{out} :

- ◆ Larger Q would provide more chance to avoid severe outage;
- ◆ On the other hand, more training time, i.e., αQ symbols, is needed.

Optimal Q ?

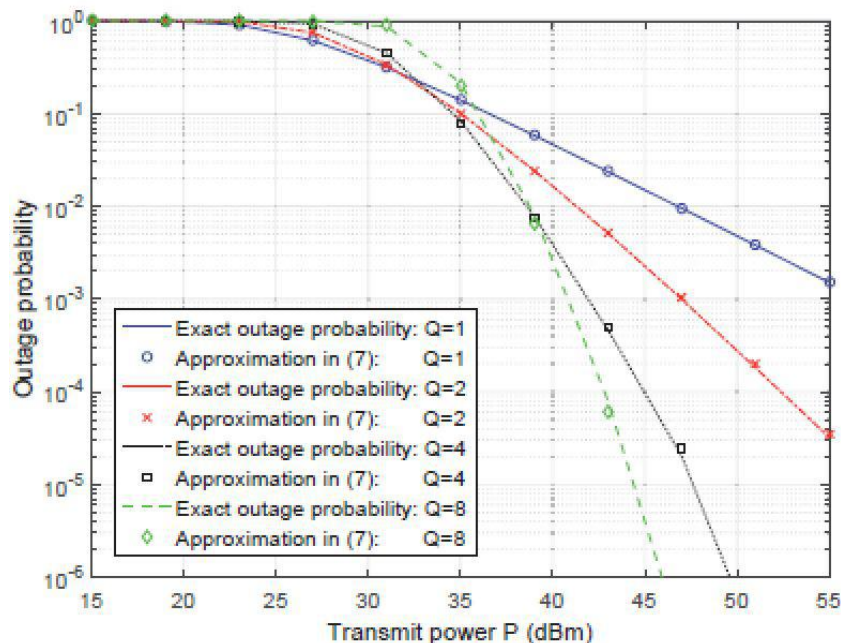
IRS-aided multicast systems with random reflecting



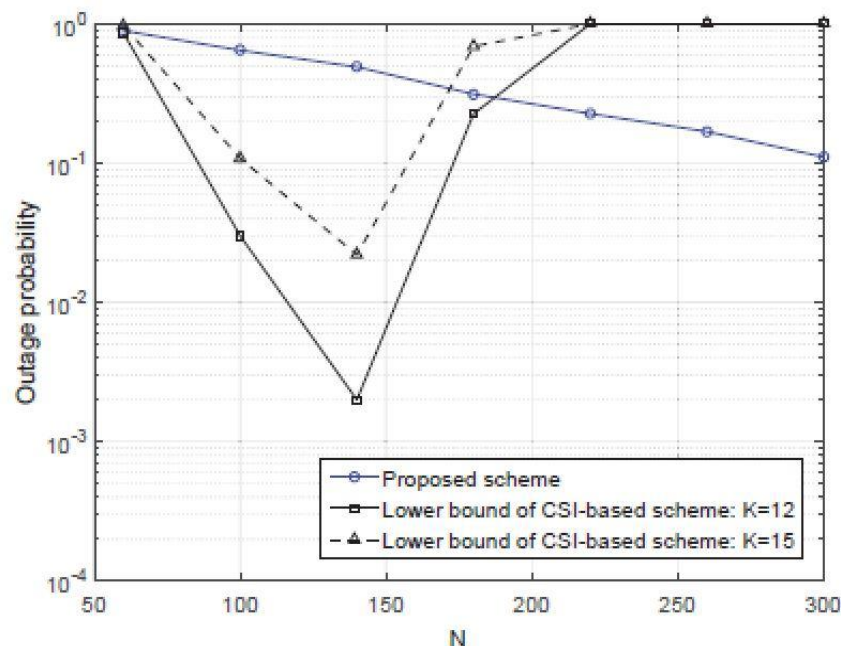
PDF for the achievable rate R .

- As Q increases, the PDF of achievable rate R becomes more **centralized**;
- As N increases, the PDF of R **moves right**.

IRS-aided multicast systems with random reflecting



The achievable diversity order is Q



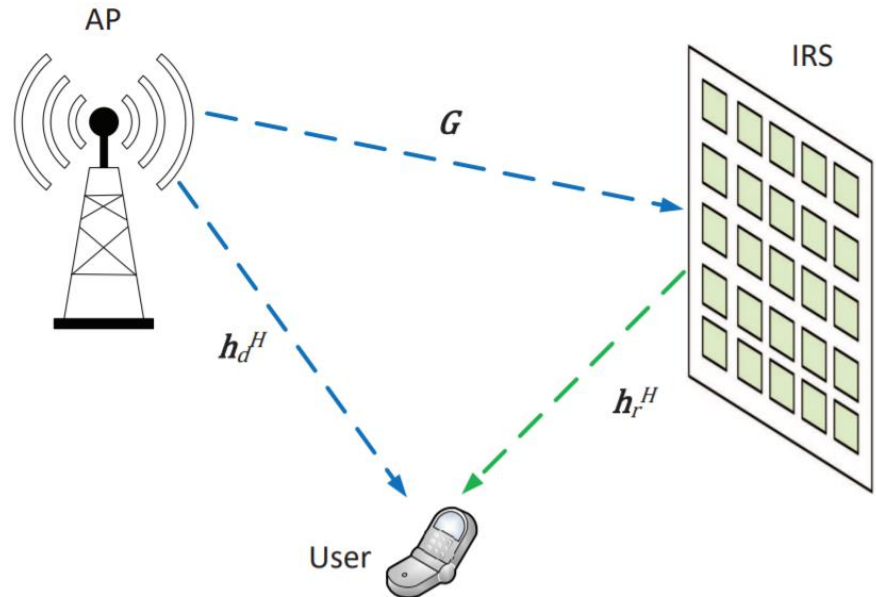
A large N is desirable;
The proposed scheme is insensitive to the change of K

Robust Beamforming

□ True channel model

- AP-IRS channel G
 - $G = \hat{G} + \Delta G$
- AP-user direct link h_d
 - $h_d = \hat{h}_d + \Delta h_d$
- IRS-user channel h_r
 - $h_r = \hat{h}_r + \Delta h_r$

\hat{H} : Estimated CSI
 ΔH : CSI uncertainty



An IRS-assisted downlink MISO system

□ CSI uncertainty model

- ΔH is modeled as random process, e.g., complex Gaussian.

Jiezhi Zhang, Yu Zhang, Caijun Zhong, and Zhaoyang Zhang, “[Robust Design for Intelligent Reflecting Surfaces Assisted MISO Systems](#),” IEEE Communications Letters, 2020.

Robust Beamforming

□ Problem formulation

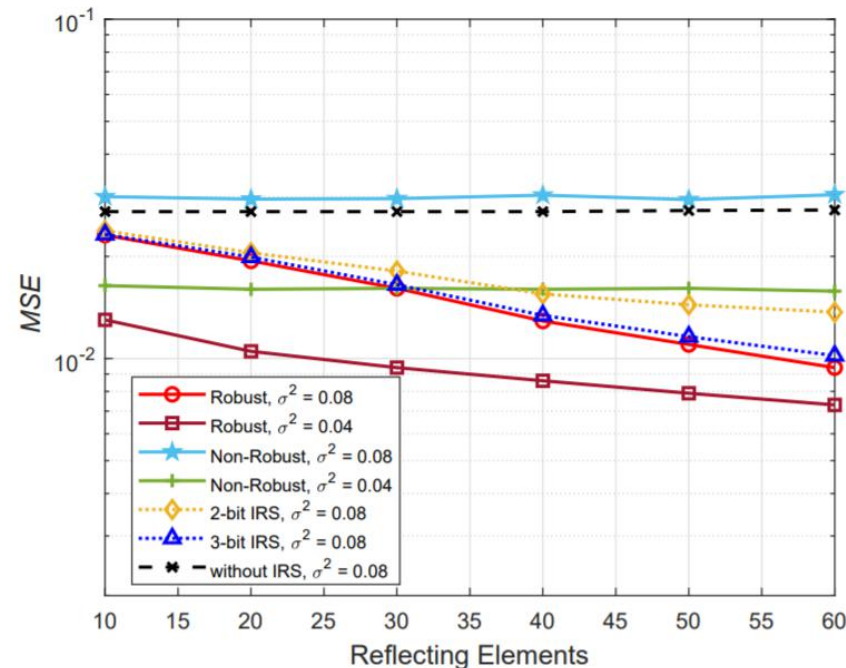
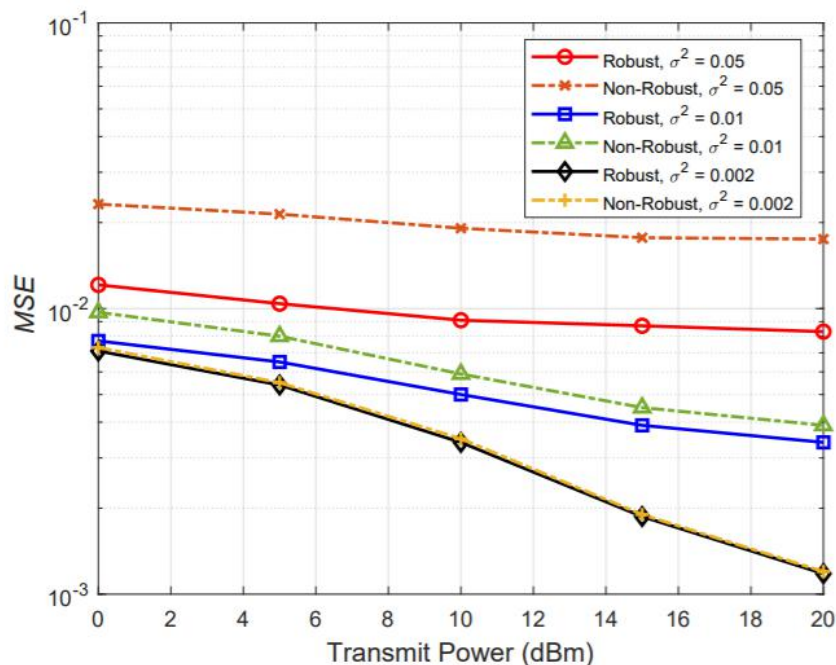
$$\begin{aligned} \min_{\mathbf{w}, c, \Theta} \quad & \mathbb{E}\{|s - c((\mathbf{h}_r^H \Theta \mathbf{G} + \mathbf{h}_d^H) \mathbf{w} s + n_0)|^2\} \\ \text{s.t.} \quad & \begin{cases} \|\mathbf{w}\|^2 \leq P_0, \\ 0 \leq \theta_n < 2\pi, \quad \forall n = 1, \dots, N. \end{cases} \end{aligned}$$

- **Jointly optimize** the transmit precoder \mathbf{w} , IRS phase shifts Θ , and the receive equalizer c .
- Non-convex unimodular constraints at the IRS and coupled optimization variables in the objective.

□ Solution

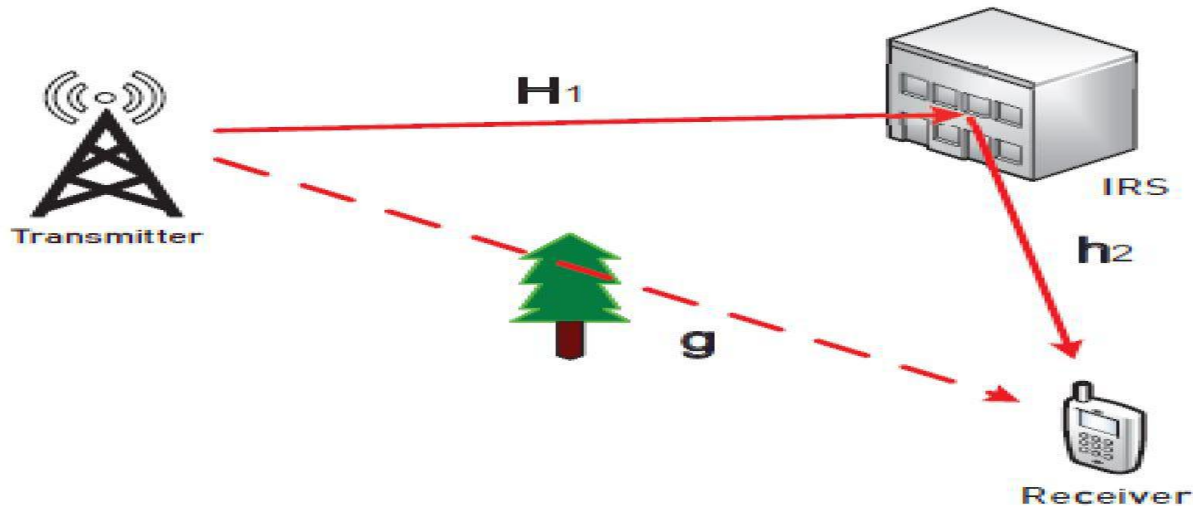
- **Alternating optimization** and **majorization-minimization**
- Closed-form solutions are obtained for the optimization variables during each iteration.

Robust Beamforming



1. The proposed robust design method (solid line) outperforms the conventional non-robust design scheme (Dotted line) in all CSI error configurations
2. The finite phase resolution scheme suffers performance loss compared to IRS with continuous phase shifts; 3-bit phase shifter (the dotted blue line) is sufficient

Statistical CSI: Single user case



- ❑ System model: BS with M antennas, IRS with N reflecting elements, a single antenna user
- ❑ Channel model: \mathbf{H}_1 , \mathbf{h}_2 , \mathbf{g} follow Rician distribution
- ❑ CSI assumptions: Statistical CSI at the BS and IRS

Xiaoling Hu, Junwei Wang, and Caijun Zhong, “Statistical CSI based Design for Intelligent Reflecting Surface Assisted MISO Systems”, Science China: Information Science, 2020.

Statistical CSI: Single user case

□ System model:

$$y = \sqrt{P} \left(\frac{\mathbf{h}_2^T \Phi \mathbf{H}_1}{\sqrt{d_1^{\alpha_1} d_2^{\alpha_2}}} + \frac{\mathbf{g}^T}{\sqrt{d_0^{\alpha_0}}} \right) \mathbf{f} x + n$$

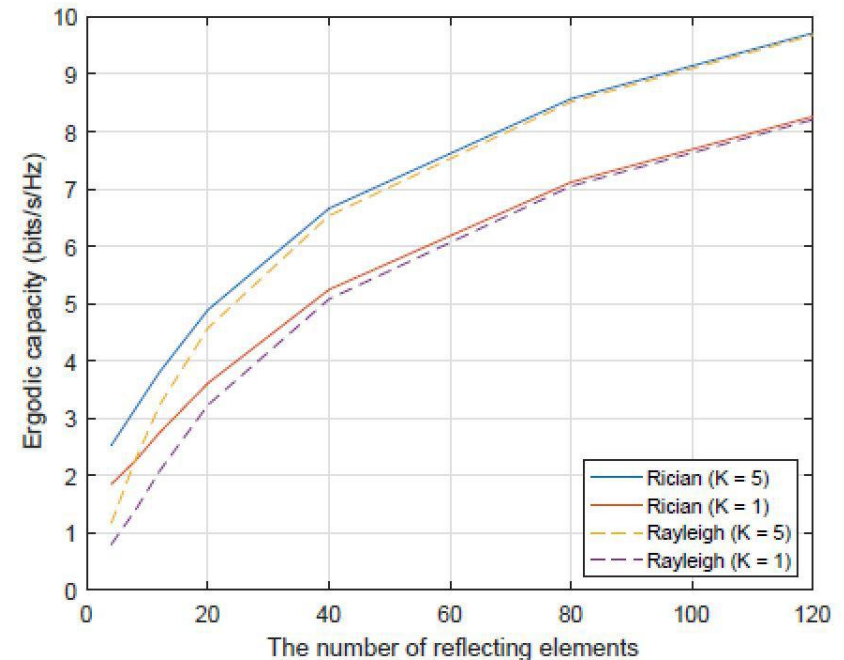
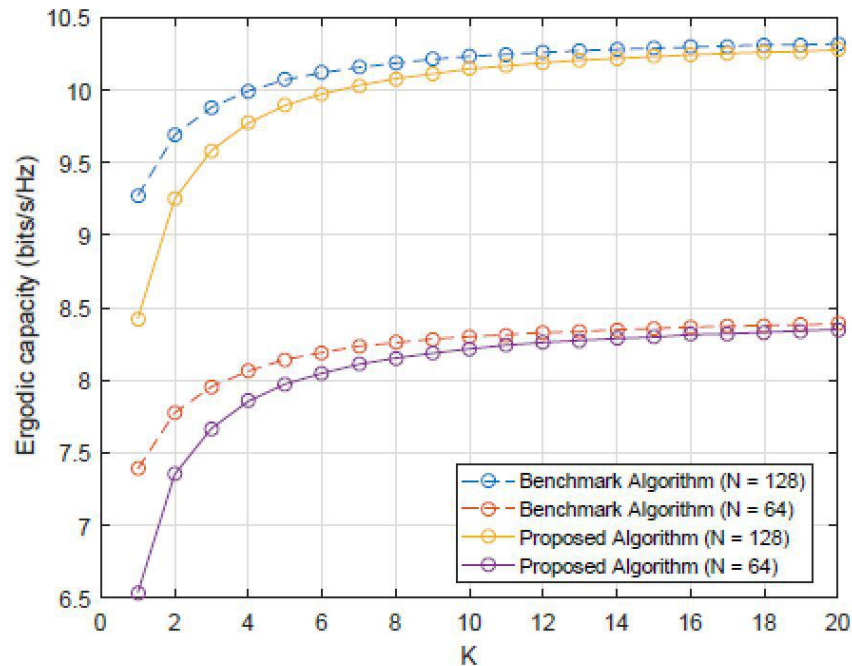
□ Capacity upper bound:

$$C_{\text{up}} = \log_2 \left(1 + \gamma_0 \left(\left| (a_2 a_1 \bar{\mathbf{h}}_2^T \Phi \bar{\mathbf{H}}_1 + \lambda a_0 \bar{\mathbf{g}}^T) \mathbf{f} \right|^2 + b_2^2 a_1^2 \|\bar{\mathbf{H}}_1 \mathbf{f}\|^2 + (a_2^2 + b_2^2) b_1^2 N + \lambda^2 b_0^2 \right) \right)$$

□ Optimization Problem:

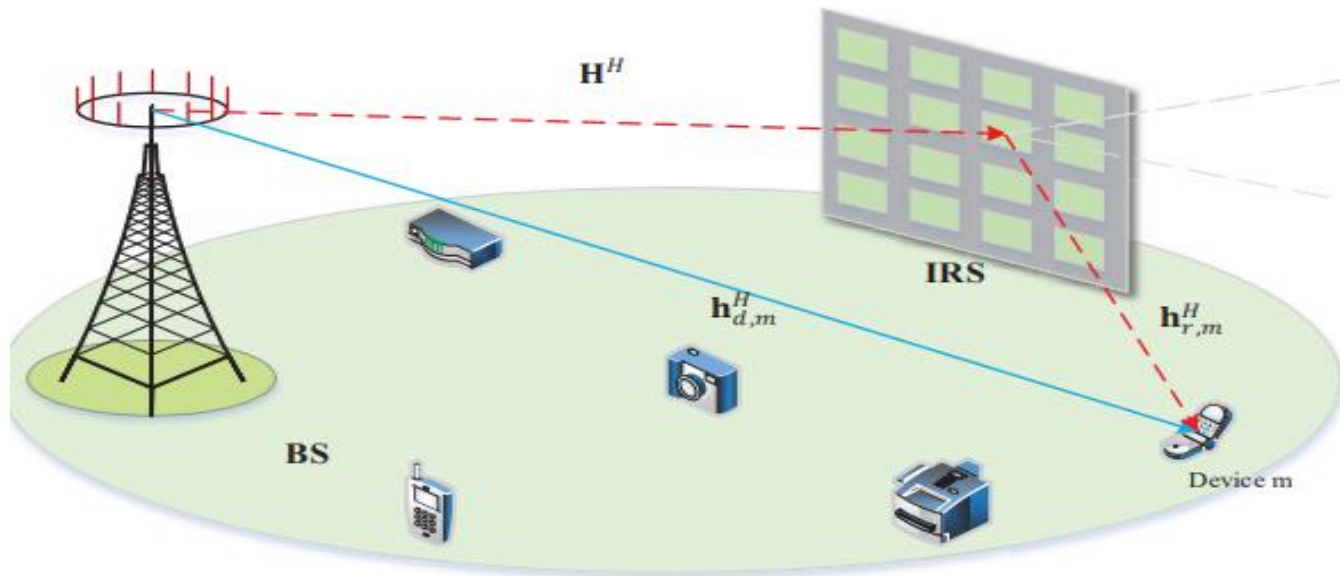
$$\begin{aligned} \max_{\mathbf{f}, \phi} \quad & C_{\text{up}} \\ \text{s.t.} \quad & \|\mathbf{f}\|^2 = 1 \\ & |\phi_i| = 1, i = 1, \dots, N. \end{aligned}$$

Statistical CSI: Single user case



Achieve similar performance as benchmark scheme with full CSI;
Rayleigh and Rician distributions have similar performance

Statistical CSI: Multi-user case



- ❑ System model: BS with M antennas, IRS with N reflecting elements, K single antenna user
- ❑ Effective Channel: $\mathbf{h}_m^H = (\mathbf{H}\mathbf{\Theta}\mathbf{h}_{r,m} + \mathbf{h}_{d,m})^H$, $\mathbf{h}_{r,m}$: LoS channel; $\mathbf{h}_{d,m}$ and \mathbf{H} : Rician fading channel;
- ❑ CSI assumption: Two-time scale CSI at the BS

Statistical CSI: Multi-user case

- ❑ **Channel estimation:** Estimate the effective channel \mathbf{h}_m , the overhead is independent of N
- ❑ **DL precoding:** maximum ratio transmission (MRT)
- ❑ **Performance metric:** weighted sum rate (WSR)

$$\underline{R}(\boldsymbol{\theta}, \mathbf{p}) = \left(1 - \frac{\tau_p}{\tau_{\text{total}}}\right) \sum_{m=1}^M \omega_m \log_2 [1 + \underline{\gamma}_m(\boldsymbol{\theta}, \mathbf{p})]$$

$$\underline{\gamma}_m(\boldsymbol{\theta}, \mathbf{p}) = \frac{A_m}{B_m + C_m + D_m},$$

$$A_m = (\|\mathbf{H}_m \boldsymbol{\psi}(\boldsymbol{\theta})\|_2^2 + K\sigma_1^2)^2 P_m,$$

$$B_m = [(\sigma_1^2 + \sigma^2)\|\mathbf{H}_m \boldsymbol{\psi}(\boldsymbol{\theta})\|_2^2 + K\sigma_1^2\sigma^2] P_m,$$

$$C_m = \sum_{i=1, i \neq m}^M (\sigma^2\|\mathbf{H}_m \boldsymbol{\psi}(\boldsymbol{\theta})\|_2^2 + \sigma_1^2\|\mathbf{H}_i \boldsymbol{\psi}(\boldsymbol{\theta})\|_2^2 + |\boldsymbol{\psi}^H(\boldsymbol{\theta})\mathbf{H}_i^H \mathbf{H}_m \boldsymbol{\psi}(\boldsymbol{\theta})|^2 + K\sigma_1^2\sigma^2) P_i,$$

$$D_m = (\|\mathbf{H}_m \boldsymbol{\psi}(\boldsymbol{\theta})\|_2^2 + K\sigma_1^2)\sigma_U^2.$$

1. $\underline{R}(\boldsymbol{\theta}, \mathbf{p})$ depends on statistic CSI;
2. $\underline{R}(\boldsymbol{\theta}, \mathbf{p})$ is a function of passive beamforming vector $\boldsymbol{\theta}$ and power vector \mathbf{p} .

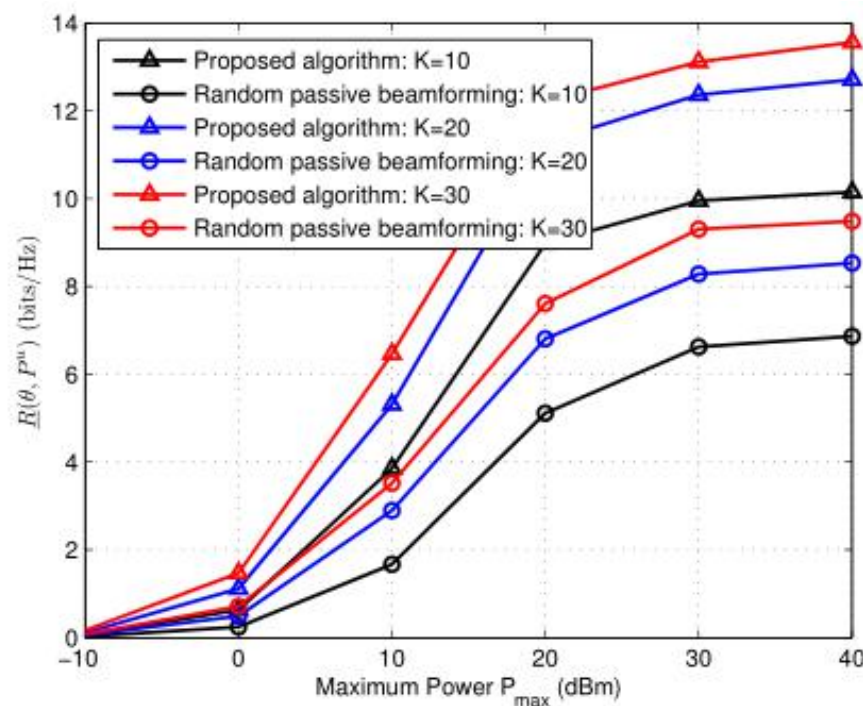
Statistical CSI: Multi-user case

□ Optimization problem:

$$\begin{aligned} \text{(P)} \quad & \max_{\boldsymbol{\theta}, \mathbf{p}} \underline{R}(\boldsymbol{\theta}, \mathbf{p}), \\ \text{s.t.} \quad & |\theta_n| = 1, n = 1, \dots, N, \\ & \sum_{m=1}^M P_m \leq P_{\max}, \\ & P_m \geq 0, m = 1, \dots, M, \end{aligned}$$

□ Solution:

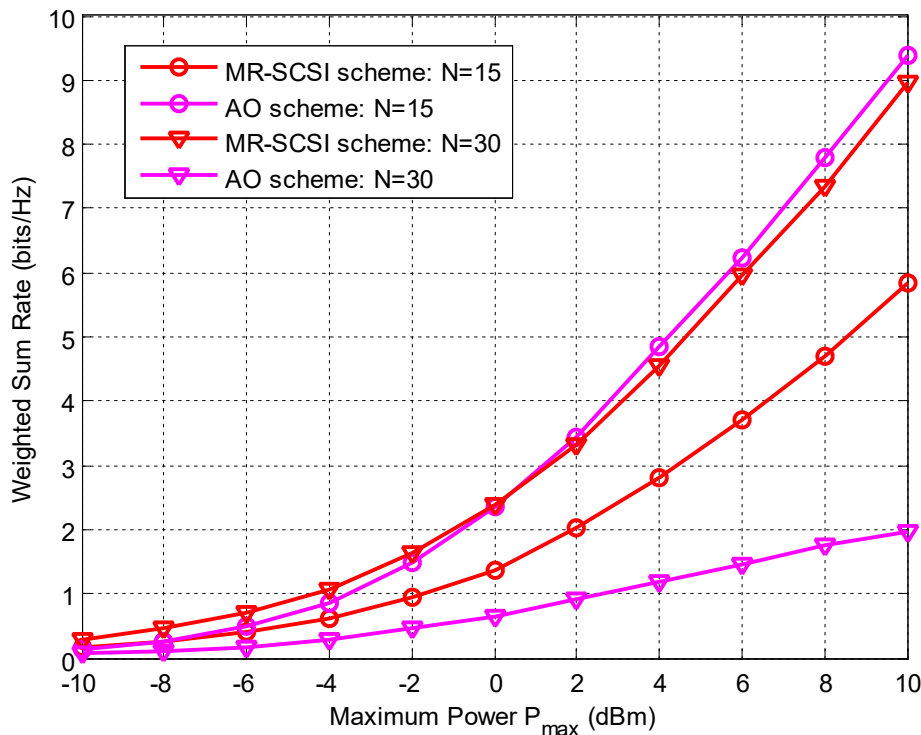
We handle the objective function via **Lagrangian dual transform** and **quadratic transform** to the fractional function, based on the more trackable objective function, we then optimize \mathbf{p} and $\boldsymbol{\theta}$ iteratively.



The proposed algorithm outperforms the random strategy with significant improvement.

Statistical CSI: Multi-user case

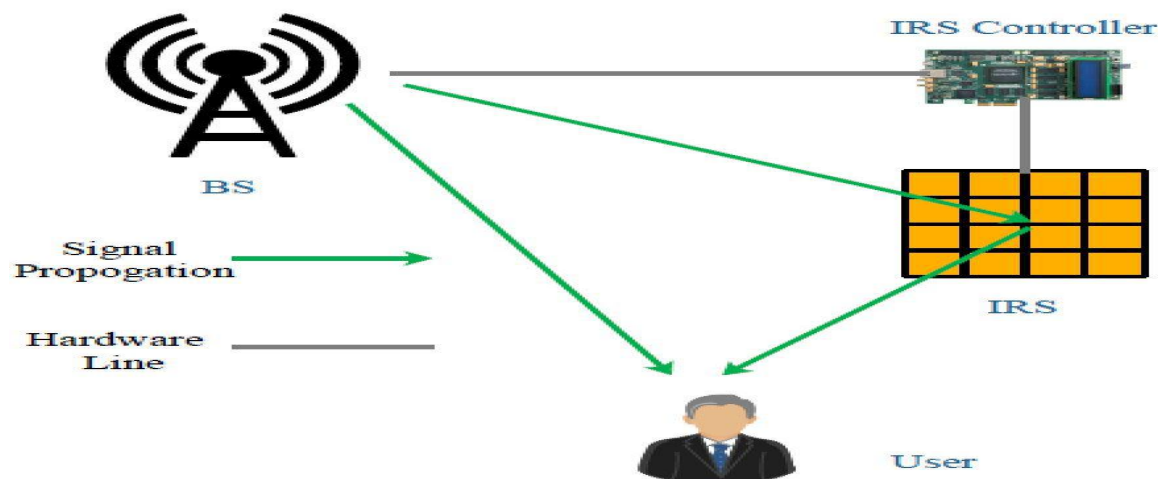
Comparing with the alternating optimization (AO) scheme proposed [HGuo], where the instantaneous CSI of each cascaded link is required, thus the channel estimation overhead scales with N .



The proposed MR-SCSI scheme outperforms the AO algorithm when N is large, indicating that we can achieve **better capacity** with **less** channel estimation overhead and computation complexity.

[HGuo] H. Guo, Y. Liang, J. Chen and E. G. Larsson, "Weighted sum-rate maximization for intelligent reflecting surface enhanced wireless networks," [Online]. Available: <https://arxiv.org/abs/1905.07920>.

Angle-domain beamforming



- ❑ System model: BS with M antennas, IRS with N reflecting elements, a single antenna user
- ❑ Both BS and IRS are equipped with uniform rectangular arrays
- ❑ Rician fading for all three channels

Xiaoling Hu, Caijun. Zhong, and Zhaoyang Zhang “[Angle-Domain Intelligent Reflecting Surface Systems: Design and Analysis](#),” submitted to IEEE Transactions on Communications, 2020.

Angle-domain beamforming

- System model:

$$y_U = (\mathbf{h}_{B2U}^T + \mathbf{h}_{I2U}^T \Theta \mathbf{H}_{B2I}) \mathbf{w} s + n_U$$

Θ : phase shift matrix, \mathbf{w} : transmit beamforming vector

- Channel model:

$$\mathbf{H}_{B2I} = \sqrt{\alpha_{B2I} \frac{v_{B2I}}{v_{B2I} + 1}} \mathbf{b}(\bar{\theta}_{x-B2Ia}, \bar{\theta}_{y-B2Ia}) \mathbf{a}^T(\bar{\theta}_{x-B2I}, \bar{\theta}_{y-B2I}) + \sqrt{\alpha_{B2I} \frac{1}{v_{B2I} + 1}} \tilde{\mathbf{H}}_{B2I}$$

- Two Effective BS-IRS AODs:
$$\bar{\theta}_{x-B2I} = -\frac{2\pi d_{BS}}{\lambda} \cos \theta_{B2I} \cos \phi_{B2I},$$
$$\bar{\theta}_{y-B2I} = -\frac{2\pi d_{BS}}{\lambda} \cos \theta_{B2I} \sin \phi_{B2I},$$

- Two effective BS-IRS AOAs :
$$\bar{\theta}_{x-B2Ia} = \frac{2\pi d_{IRS}}{\lambda} \cos \theta_{B2Ia} \cos \phi_{B2Ia},$$
$$\bar{\theta}_{y-B2Ia} = \frac{2\pi d_{IRS}}{\lambda} \cos \theta_{B2Ia} \sin \phi_{B2Ia},$$

Angle-domain beamforming

□ Estimation of the BS to User channel

$$\mathbf{r} = \mathbf{h}_{\text{B2U}}^* q + \mathbf{n}_{\text{BS}} = \sqrt{\frac{\alpha_{\text{B2U}} v_{\text{B2U}}}{v_{\text{B2U}} + 1}} \mathbf{a}(-\bar{\theta}_{x-\text{B2U}}, -\bar{\theta}_{y-\text{B2U}}) q + \sqrt{\frac{\alpha_{\text{B2U}}}{v_{\text{B2U}} + 1}} \tilde{\mathbf{h}}_{\text{B2U}}^* q + \mathbf{n}_{\text{BS}}$$

□ Solution: Use the observed phase difference of signals received by different antennas to estimate BS-user effective AOA's ($\bar{\theta}_{x-\text{B2U}}$ and $\bar{\theta}_{y-\text{B2U}}$).

The ML estimators for $\bar{\theta}_{x-\text{B2U}}$ and $\bar{\theta}_{y-\text{B2U}}$ are given by

$$\hat{\bar{\theta}}_{x-\text{B2U}} = -\frac{6 \sum_{n=1}^{N/2} (i_{N,n} - i_{N,m_n}) \Delta \bar{\theta}_{n,m_n}}{N(N-1)},$$

$$\hat{\bar{\theta}}_{y-\text{B2U}} = -\frac{6 \sum_{n=1}^{N/2} (j_{N,n} - j_{N,m_n}) \Delta \bar{\theta}_{n,m_n}}{N(N-1)}.$$

$\bar{\theta}_{n,m_n}$: phase differences between antenna n and $m_n = N - n + 1$.

Angle-domain beamforming

□ Optimization Problem

$$\max_{\{\Theta, \mathbf{w}\}} P_r = \mathbf{w}^H \mathbf{T} \mathbf{w},$$

$$\text{s. t.} \quad |\mathbf{w}|^2 \leq P_{BS},$$

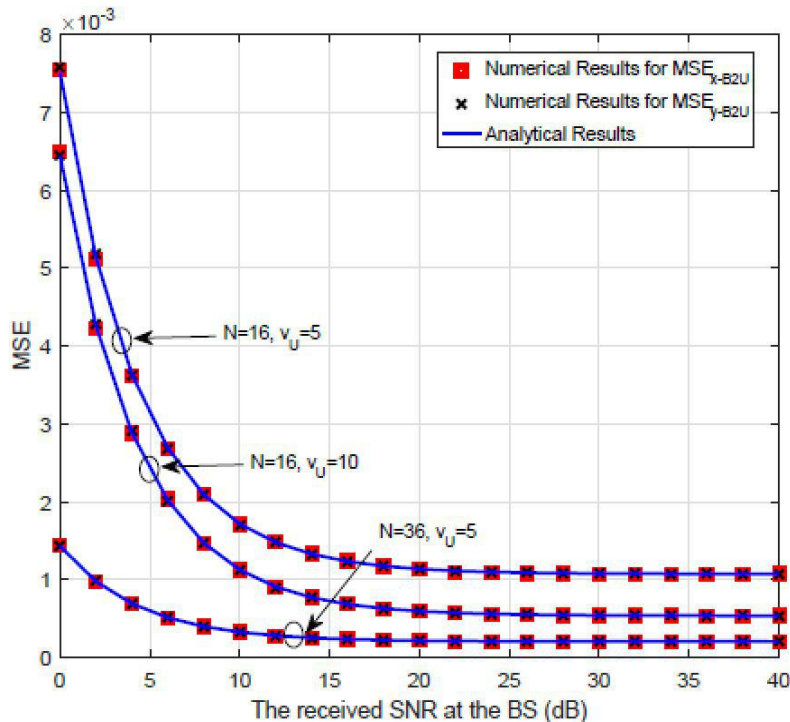
$$|[\Theta]_{ii}| = 1, i = 1, \dots, M,$$

$$\begin{aligned} \mathbf{T} \triangleq & \beta_{B2I2U} (\Theta \bar{\mathbf{H}}_{B2I})^H \mathbf{B} \Theta \bar{\mathbf{H}}_{B2I} + \sqrt{\beta_{B2I2U} \beta_{B2U}} \left((\Theta \bar{\mathbf{H}}_{B2I})^H \mathbf{C} + \mathbf{C}^H \Theta \bar{\mathbf{H}}_{B2I} \right) \\ & + \beta_{B2U} \mathbf{A} + \sigma_{NLOS}^2 \mathbf{I}_N, \end{aligned}$$

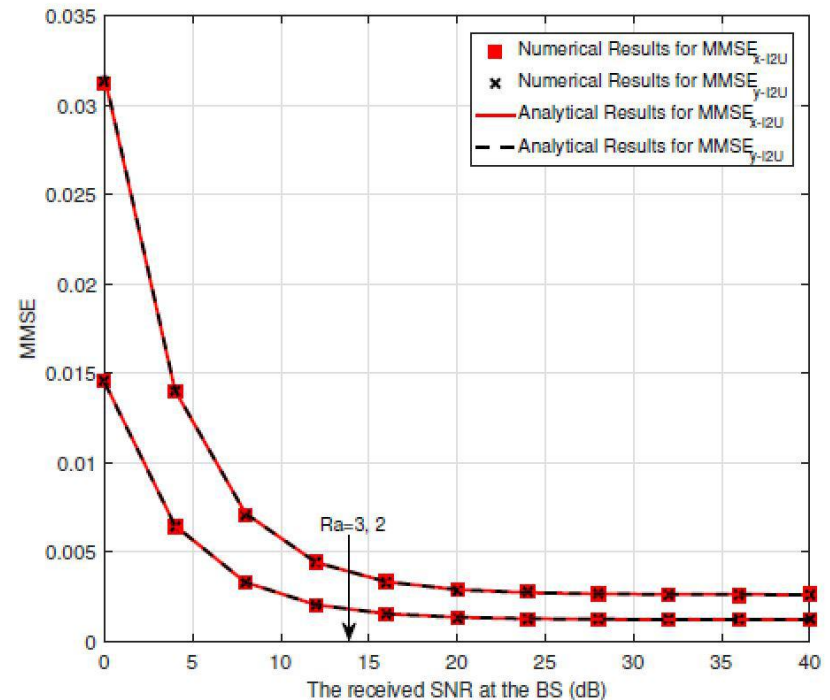
□ Alternating Method:

- Optimize transmit beamforming vector: convex problem
- Optimize the phase shift vector: a gradient method.

Angle-domain beamforming

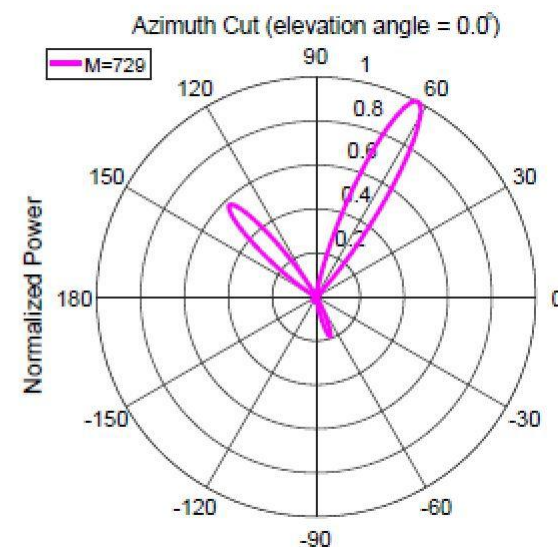
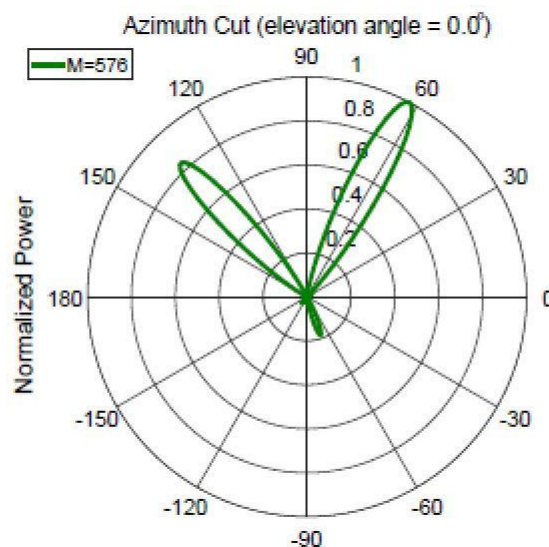
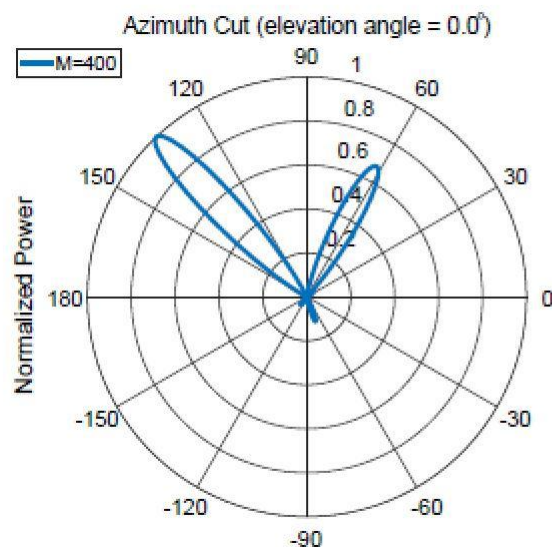


Large antenna number N ;
Strong LoS path; and High
SNR Improve the angle
estimation accuracy



The relative distance to the BS
and IRS has a significant
impact on the estimation
accuracy

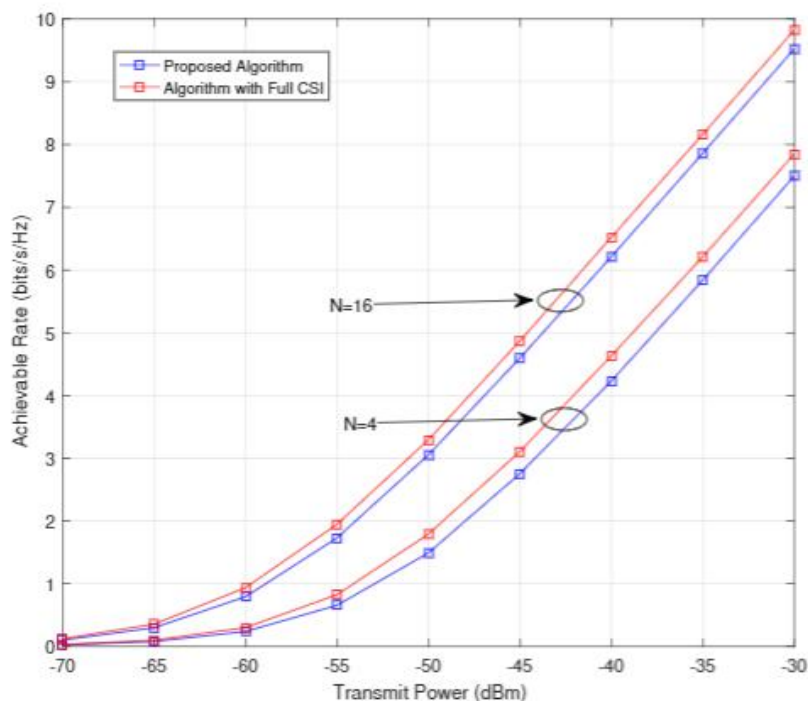
Angle-domain beamforming



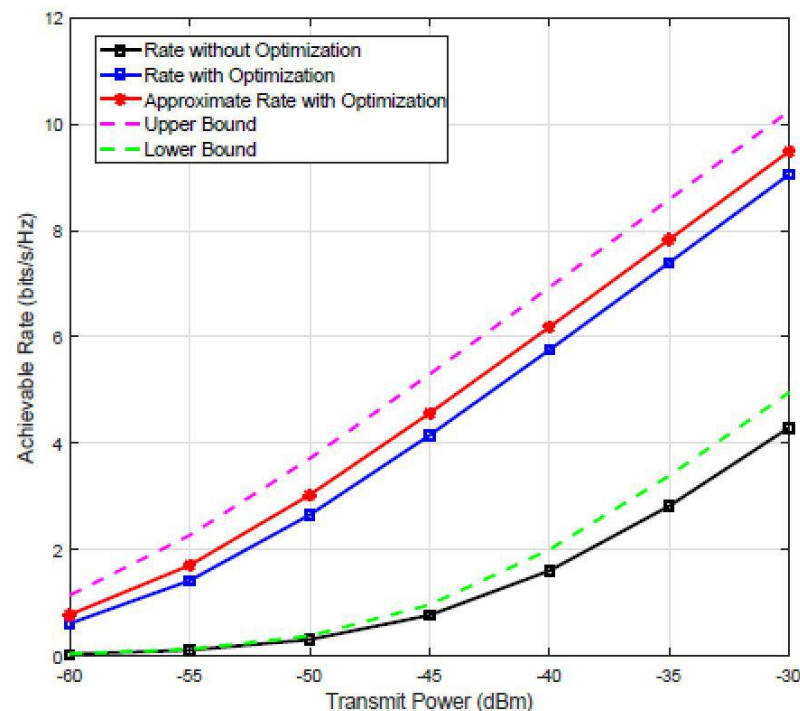
Setup: $N=36$; UE Location (41m , 133° , -16°), IRS Location (42m , 63° , -16°)

As the number of reflecting elements increases, the lobe in the user direction gradually becomes smaller and the main lobe appears in the IRS direction

Angle-domain beamforming



The proposed angle-based algorithm achieves nearly the same performance as the algorithm with full CSI



Lower bound: Without BS-UE Information; Optimization of the phase shift of IRS is essential

Conclusion

□ Conclusions

- IRS is a disruptive technology to realize **intelligent and reconfigurable** propagation environment for future wireless network
- IRS can enhance the system performance by using **low-cost** passive reflecting elements
- A paradigm shift of wireless communication from traditional “active component solely” to the new “active and passive” hybrid network

□ Challenges from the communications perspective

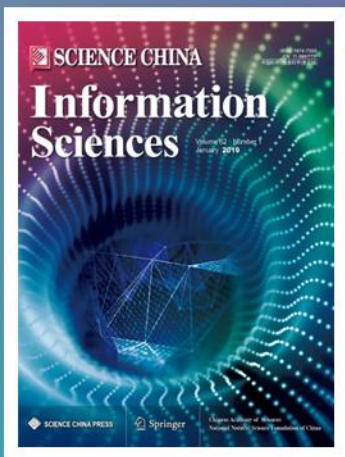
- IRS channel estimation
- IRS reflection optimization

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