Simulation Techniques for 5G Transmission

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1. Introduction to 5G

 Wireless communication has experienced a rapid growth and evolution since 1980s (1G, ...4G, or now 5G).



Evolution:



- What is 5G?
 - 5G is the fifth generation technology, and it has many advanced features potential enough to change our life dramatically.
- Targets:



https://5g-ppp.eu/#

- Features:
 - High increased peak bit rate
 - Larger data volume per unit area
 - High capacity
 - Lower battery consumption
 - Better connectivity irrespective of the geographic region
 - Larger number of supporting devices
 - Lower cost of infrastructural development
 - Higher reliability of the communications
- How to increase the capacity by 1000 times?

- Better spectral efficiency (4):
 - Spectral efficiency: 30 bps/Hz \rightarrow ?
 - Key enabling technology, MIMO, ...
- Larger spectrum (5):
 - Carrier bandwidth Increase: 100MHz →500MHz/1GHz
 - Spectrum availability?
 - Higher band: millimeter wave (mmWave)
 - Spectrum sharing
 - Unlicensed bands
- More cells, network densification (50):
 - Greatly reduce the coverage of a cell, i.e., dramatically increase the cell number
 - Key enabling technology, ultra-dense small cells

- Technology challenges:
 - Authorized shared access
 - Unlicensed bands
 - mmWave
 - Massive MIMO
 - Phase antenna array
 - Beam-forming and beam-tracking
 - Small cell
 - Interference management
 - Full duplex radios
 - SDN and NFV

— ...

- ITU has defined three usage scenarios in 5G
 - Enhanced mobile broadband
 - Massive machine type communications
 - Ultra-reliable and low latency communications
- Key features:



Three scenarios:



3GPP RAN workshop on 5G (9/18/2015):



2. Introduction to OFDM

- OFDM can be defined with the framework of frequencydivision-multiplexing (FDM).
- FDM : Split a high-rate data-stream into a number of lower rate streams transmitted simultaneously over a number of carriers.



- Since the symbol duration increases for low rate carriers, the channel dispersion is decreased.
- Drawback: Guard bands make this approach inefficient.

Remedy: use overlapping sub-channels.



 It is possible to arrange carriers such that there is no interference between them. To do that the carriers must be mathematically orthogonal.



- A necessary and sufficient condition for this requirement is that all carriers must has a same period.
- Time domain waveform:



$$\int_{-\infty}^{\infty} \varphi_n(t) \varphi_1^{*}(t) dt = \begin{cases} 1, & n = I \\ 0, & n \neq I \end{cases}$$

• Consider the sampled $\Phi(t)$.

$$\Phi_{k}(n) = e^{jk\Omega_{0}n}, \qquad \Omega_{0} = \frac{2\pi}{N}, \quad k = 0, 1, \dots, N-1$$
$$\frac{1}{N} \sum_{n=0}^{N-1} e^{j(k-m)\Omega_{0}n} = \begin{cases} 1, & k = m\\ 0, & k \neq m \end{cases}$$

The complex exponential exhibit an impulse in the DFT domain.



 Thus, we can conduct processing in the frequency domain using DFTs. The main idea is to use conduct modulation in the frequency domain.



 In other words, we define QAM symbols in the frequency domain

- To eliminate ISI completely, a guard time is introduced for each OFDM symbol. Since the guard time has no signal, the problem of intercarrier interference (ICI) arises.
- ISI and guard interval:



* Continuous transmission



ICI:



- The selected delayed version in the OFDM symbol is not a sinusoidal signal anymore.
- To solve the problem, cyclic prefix is added in the guard period.

• Cyclic prefix:



 Since the CP is added, the channel output will be a circular convolution of the channel response and the transmit signal. We then have

$$y^m(n) = x^m(n) \otimes h(n) \Rightarrow \tilde{x}^m(e^{j\omega_k}) = \frac{\tilde{y}^m(e^{j\omega_k})}{\tilde{h}(e^{j\omega_k})}$$
 * In the DFT domain

- Thus, data in each channel can be recovered using a single-tap frequency domain equalizer.
- The system using this modulation technique is called orthogonal frequency division multiplexing (OFDM).

Frequency domain response:



- Characteristics of OFDM systems:
 - High spectrum efficiency
 - Simple equalization
 - Simple multiple access
 - Sensitive to carrier frequency offset
 - High peak to average power ratio

• OFDM systems:



Specifications of LTE:

Channel Bandwidth (MHz)	1.25	2.5	5	10	15	20
Frame Duration (ms)	10					
Subframe Duration (ms)	1					
Sub-carrier Spacing (kHz)	15					
Sampling Frequency (MHz)	1.92	3.84	7.68	15.36	23.04	30.72
FFT Size	128	256	512	1024	1536	2048
Occupied Sub-carriers (inc. DC sub-carrier)	76	151	301	601	901	1201
Guard Sub-carriers	52	105	211	423	635	847
Number of Resource Blocks	6	12	25	50	75	100
Occupied Channel Bandwidth (MHz)	1.140	2.265	4.515	9.015	13.515	18.015
DL Bandwidth Efficiency	77.1%	90%	90%	90%	90%	90%
OFDM Symbols/Subframe	7/6 (short/long CP)					
CP Length (Short CP) (µs)	5.2 (first symbol) / 4.69 (six following symbols)					
CP Length (Long CP) (μ s)	16.67					

- Let the bandwidth for an OFDM system be f_s, the DFT size be N, and the CP size be μN where 0<μ<1.
- Let the sampling frequency of an OFDM be f_s. Then, the period will be T=1/f_s. Then, the subcarrier spacing (f_{ss}) will be 1/NT =f_b/N.
- Let the number of subcarriers for data transmission be M. (M≤N). The occupied bandwidth (f_b) is then Mf_s/N.
- The data rate (r) will be QM/(1+µ)NT=Qf_sM/(1+µ)N where Q is the number of bits each QAM transmit.
- LTE system:
 - f_s =30.72MHz, N=2048, M=1200, μ =1/8.
 - f_{ss} =30.72MHz/2048=15KHz, f_{b} =1200x15KHz =18MHz (20MHz).
 - For QPSK, r=2x30.72MHzx1200/(1.125x2048)=32Mbps

- Packet format (IEEE802.11a/g):
 - Packet-based OFDM system
 - Client and access point (AP)
 - Data rate: 54Mbps
 - Bandwidth: 20MHz
 - CSMA/CA multiple access
 - FFT size: 64, CP: 16
- Packet format (IEEE802.11a/g):

Short preamble (10) Long preamble (2)	Signal field	Payload
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- Receiver:
 - Inner receiver: synchronization/channel estimation
 - Outer receiver: decoding
- Functions performed by preambles:
 - 1. Start-of-packet (SOP) detection short preamble
 - 2. Automatic gain control (AGC) short preamble
 - 3. Coarse frequency offset estimation- short preamble
 - 4. Coarse timing offset estimation short/long preamble
 - 5. Fine timing offset estimation long preamble
 - 6. Fine frequency offset estimation long preamble
 - 7. Channel estimation long preamble
- Function performed by pilots
 - Phase offset, residual CFO, and residual SFO.

- Packet detection:
 - The simplest method is (r_n: received signal, m_n: power estimate)

$$m_n = \sum_{k=0}^{L-1} r_{n-k} r_{n-k}^* = \sum_{k=0}^{L-1} |r_{n-k}|^2$$

- The drawback of this approach is determination of threshold will be difficult (dependent on the channel).
- After packet detection, the symbol timing refines the estimate to sample level precision.

$$\hat{n}_{s} = \operatorname{argmax} \left| \sum_{k=0}^{L-1} r_{n+k} t_{k}^{*} \right|^{2}$$
$$t_{k} : \text{ reference}$$

- Packet detection a better approach
 - Let $r_n = s_n + v_n$. Calculate autocorrelation of the received signal

$$c(n) = \sum_{k=0}^{L-1} r_{n+k} r_{n+k+D}^*$$

- Normalize with the signal power:

L : length of the sliding window, D : period of preamble

$$p(n) = \sum_{k=0}^{L-1} r_{n+k+D} r_{n+k+D}^* = \sum_{k=0}^{L-1} |r_{n+k+D}|^2$$

– Decision statistic:

$$m(n) = \frac{|c(n)|^2}{p^2(n)} \sum_{H_0}^{H_1} \eta$$

- If m(n) exceeds a threshold, a packet is claimed detected.

- Carrier frequency offset (CFO) estimation:
 - Assume that there are two consecutive repeated symbols (periodic).
 - The output signal from a channel is still periodic if its input signal is periodic.
- Transmit/receive signal:

$$y_{n} = s_{n}e^{j2\pi f_{tx}nT_{s}}$$

$$r_{n} = s_{n}e^{j2\pi f_{tx}nT_{s}}e^{-j2\pi f_{rx}nT_{s}} = s_{n}e^{j2\pi (f_{tx} - f_{rx})nT_{s}} = s_{n}e^{j2\pi f_{\Delta}nT_{s}}$$

• CFO estimation:

$$z = \sum_{n=0}^{L-1} r_n r_{n+D}^* = \sum_{n=0}^{L-1} s_n s_{n+D}^* e^{j2\pi f_{\Delta} nT_s} e^{-j2\pi f_{\Delta} (n+D)T_s} = e^{-j2\pi f_{\Delta} DT_s} \sum_{n=0}^{L-1} |s_n|^2$$
$$\hat{f}_{\Delta} = -\frac{1}{2\pi DT_s} \angle (z)$$
* Unambiguous range:
$$\left[-\frac{1}{2DT_s}, \frac{1}{2DT_s}\right]$$

- Symbol timing detection:
 - CFO has been compensated:

$$\hat{n}_{s} = \operatorname{argmax} \left| \sum_{k=0}^{L-1} r_{n+k} t_{k}^{*} \right|^{2}$$

 t_k : reference

- The reference signal can be part of the short preamble, combination of the short/long preamble, or part of the long preamble.
- Moreover, if the reference signal is composed of long preamble, we can set the long preamble as a complex Gaussian random sequence to see different result.
- This is essentially a matching operation. If periodic signal is used, periodic peaks will be observed.
- Partial matching can be conducted if CFO is not well compensated.

Channel estimation:

 $\tilde{y}(k) = \tilde{h}(k) \times \tilde{x}(k)$

Channel estimate:

$$\hat{h}_i(k) = \frac{\tilde{y}_i(k)}{\tilde{x}_i(k)}$$
$$\hat{h}(k) = \frac{\hat{h}_1(k) + \hat{h}_2(k)}{2}$$

* The received signal of the *k*th subcarrier

- * Estimated channel response of the *k*th subcarrier (*i*th preamble)
- * Estimated channel response of the *k*th subcarrier

 To obtain better result, channel estimation methods discussed in the previous section can be used. Packet detection: a hypothesis testing problem:

$$m(n) = \frac{|c(n)|^2}{p^2(n)} \sum_{\substack{d \in H_0 \\ H_0}}^{H_1} H_0 : r_n = v_n + v_n \sim CN(0, 2\sigma_v^2)$$

- For H₀: $c(n) = \sum_{k=0}^{L-1} v_{n+k} v_{n+k+D}^*, \quad p(n) = \sum_{k=0}^{L-1} |v_{n+k+D}|^2$ $f_c(x) \sim CN(0, 4L\sigma_v^4), \quad f_n(x) \sim \chi_{2L}^2(2L\sigma_v^2, 4L\sigma_v^4)$
- Let $x_i \sim N(\mu_i, \sigma^2)$. Then, $y = x_1^2 + x_2^2 + ... + x_N^2$ has a Chi-square distribution with degree of freedom *N*.

 $\mu_i = 0, \text{ for all } i's \implies \text{central } \chi^2 : E\{y\} = N\sigma^2, \ Var\{y\} = 2N\sigma^4$ $\mu_i \neq 0, \text{ for some } i's \implies \text{noncentral } \chi^2 : E\{y\} = N\sigma^2 + s^2, \ Var\{y\} = 2N\sigma^4 + 4\sigma^2 s^2$ where $s^2 = \sum_{i=1}^N \mu_i^2$

- Chi-square distribution:
 - It approaches Gaussian when degree-of-freedom is large.



• Then, $f_p(x)$ can also be approximated by a Gaussian.

$$\begin{split} f_{|c|^2}(x) &\sim \chi_2^2(\mu_{c2}, \sigma_{c2}^2) = \chi_2^2(4L\sigma_v^4, 16L^2\sigma_v^8) & \stackrel{*f_c(x) \sim CN(0, 2L\sigma_v^4)}{f_p(x) \sim \chi_{2L}^2(2L\sigma_v^2, 4L\sigma_v^4)} \\ f_{|p|^2}(x) &\sim \chi_2^2(\mu_{p2}, \sigma_{p2}^2) = \chi_2^2(4L\sigma_v^4 + (2L\sigma_v^2)^2, 2(4L\sigma_v^4)^2 + 4 \times 4L\sigma_v^4(2L\sigma_v^2)^2) \end{split}$$

 Let x and y denotes two random variables and y is zero mean. Let μ_y be a constant. If μ_y>>σ_y, then

$$\frac{x}{\mu_y + y} = \frac{1}{\mu_y} \frac{x}{1 + y / \mu_y} \approx \frac{1}{\mu_y} x \left(1 - \frac{y}{\mu_y} \right) = \frac{x}{\mu_y} - \frac{xy}{\mu_y^2} \approx \frac{x}{\mu_y}$$

• So,
$$m(n) = \frac{|c(n)|^2}{p^2(n)} \approx \frac{|c(n)|^2}{\mu_{p2}}, \quad \mu_{p2} = 4L\sigma_v^4 + (2L\sigma_v^2)^2 \approx 4L^2\sigma_v^4$$

 $f_m(x) \sim \chi_1^2(L^{-1},L^{-2}) \sim L\exp(-Lx)$

Recall the hypothesis testing problem:

$$m(n) = \frac{|c(n)|^2}{p^2(n)} \sum_{\substack{d \in H_0}}^{H_1} \eta \qquad H_0: r_n = v_n \\ H_1: r_n = s_n + v_n$$

• Consider H₁. Define a new variable as: $q(n) = \sqrt{m(n)} = \frac{|c(n)|}{p(n)}$. When the preamble is perfected matched, we have following result:

$$c(n) = \sum_{n} |s(n)|^{2} + \text{zero-mean r.v.}, \quad p(n) = \sum_{n} |s(n)|^{2} + \sum_{n} |v(n)|^{2} + \text{zero-mean r.v.}$$
Approximated by central Chi-square
Central Chi-square

 When the mean of a Chi-square PDF is large, it can be approximated by a Gaussian.

$$q(n) = \sqrt{m(n)} = \frac{|c(n)|}{p(n)}$$
, $c(n) \sim N(\mu_c, \sigma_c^2)$, $p(n) \sim N(\mu_p, \sigma_p^2)$

• Recall that $r_n = s_n + v_n$ and let

$$E\{\operatorname{Re}(s_{n})^{2}\} = E\{\operatorname{Im}(s_{n})^{2}\} = \sigma_{s}^{2}, \quad E\{\operatorname{Re}(v_{n})^{2}\} = E\{\operatorname{Im}(v_{n})^{2}\} = \sigma_{v}^{2}$$

In general, CFO exists. Then,

$$\begin{aligned} r_{n} &= s_{n}e^{j2\pi\frac{\varepsilon}{N}n} + v_{n}, \quad r_{n+D} = s_{n+D}e^{j2\pi\frac{\varepsilon}{N}(n+D)} + v_{n+D} \\ r_{n}r_{n+D}^{*} &= (s_{n}e^{j2\pi\frac{\varepsilon}{N}n} + v_{n})(s_{n+D}^{*}e^{-j2\pi\frac{\varepsilon}{N}(n+D)} + v_{n+D}^{*}) \\ &= (s_{n}s_{n+D}^{*})e^{j\varphi} + (s_{n}v_{n+D}^{*})e^{j2\pi\frac{\varepsilon}{N}n} + (s_{n+D}^{*}v_{n})e^{-j2\pi\frac{\varepsilon}{N}(n+D)} + v_{n}^{*}v_{n+D} \\ (r_{n}r_{n+D}^{*})e^{-j\varphi} &= (s_{n}s_{n+D}^{*}) + (s_{n}v_{n+D}^{*})e^{j2\pi\frac{\varepsilon}{N}(n+D)} + (s_{n+D}^{*}v_{n})e^{-j2\pi\frac{\varepsilon}{N}n} + v_{n}^{*}v_{n+D}e^{-j\varphi} \\ &= \underbrace{s_{n}s_{n+D}^{*}}_{>0} + \operatorname{Re}\left\{\underbrace{(s_{n}v_{n+D}^{*})e^{j2\pi\frac{\varepsilon}{N}(n+D)}}_{(a)} + \underbrace{(s_{n+D}^{*}v_{n})e^{-j2\pi\frac{\varepsilon}{N}n}}_{(b)} + \underbrace{v_{n}^{*}v_{n+D}e^{-j\varphi}}_{(b)}\right\} \\ &+ j\times\operatorname{Im}\left\{(s_{n}v_{n+D}^{*})e^{j2\pi\frac{\varepsilon}{N}(n+D)} + (s_{n+D}^{*}v_{n})e^{-j2\pi\frac{\varepsilon}{N}n} + v_{n}^{*}v_{n+D}e^{-j\varphi}\right\}\end{aligned}$$

• Let
$$n = n_{opt}$$
 and $c(n) = \sum_{k=0}^{L-1} r_{n+k} r_{n+k+D}^*$

$$c(n)e^{-j\varphi} = \sum_{k=0}^{L-1} s_n s_{n+D}^* + \operatorname{Re}\left\{(a) + (b) + (c)\right\} + j \times \operatorname{Im}\left\{(a) + (b) + (c)\right\}$$



If SNR is high or L is large enough, we can have

$$|c(n)e^{-j\varphi}| \approx \sum_{m=0}^{L-1} |s_n s_{n+D}^*| = \sum_{m=0}^{L-1} |s_n|^2, \quad E\{|c(n)|\} = L(2\sigma_s^2)$$

 Note that the variance of |c(n)e^{-jφ}| is dominated by that of Re{(a)+(b)+(c)}.

$$(a) = (s_n v_{n+D}^*) e^{j2\pi \frac{\varepsilon}{N}(n+D)}, (b) = (s_{n+D}^* v_n) e^{-j2\pi \frac{\varepsilon}{N}n}, (c) = v_n^* v_{n+D} e^{-j\varphi}$$
$$\operatorname{Re}\{(a) + (b) + (c)\} = \frac{\{(a) + (b) + (c)\} + \{(a) + (b) + (c)\}^*}{2}$$

Note that (a), (b), and (c) are all zero mean.

$$(a) = (s_n v_{n+D}^*) e^{j2\pi \frac{\varepsilon}{N}(n+D)}, (b) = (s_{n+D}^* v_n) e^{-j2\pi \frac{\varepsilon}{N}n}, (c) = v_n^* v_{n+D} e^{-j\varphi}$$
$$E \left\{ \operatorname{Re}\left\{ (a) + (b) + (c) \right\} \right\}^2 = \frac{1}{4} \left\{ \left\{ (a) + (b) + (c) \right\} + \left\{ (a) + (b) + (c) \right\}^* \right\}^2$$

All cross terms will be zero and we have

$$E\left\{\left\{(a) + (b) + (c)\right\} + \left\{(a) + (b) + (c)\right\}^{*}\right\}^{2}$$

= $E\left\{\left\{(a) + (b) + (c)\right\}^{2} + 2\left\{(a) + (b) + (c)\right\}\left\{(a) + (b) + (c)\right\}^{*} + \left\{(a) + (b) + (c)\right\}^{*2}\right\}$
= $2\left(4\sigma_{s}^{2}\sigma_{v}^{2} + 4\sigma_{s}^{2}\sigma_{v}^{2} + 4\sigma_{v}^{4}\right)$

• Thus,
$$|c(n)| = |c(n)e^{j\phi}| \sim N(L(2\sigma_s^2), L(2\sigma_s^2 + \sigma_v^2)(2\sigma_v^2))$$

• For p(n):

$$p(n) = \sum_{k=0}^{L-1} |r_{n+k}|^2 = \sum_{k=0}^{L-1} |s_{n+k} + v_{n+k}|^2$$
* Expand and calculate

Thus,

$$E \quad p(n) = 2L(\sigma_s^2 + \sigma_v^2)$$

Var
$$p(n) = 4L(2\sigma_s^2\sigma_v^2 + \sigma_v^4)$$

• Then,

$$q(n) = \frac{|c(n)|}{p(n)}, \quad \begin{cases} \mu_c = L(2\sigma_s^2) \\ \sigma_c^2 = L(2\sigma_s^2 + \sigma_v^2)(2\sigma_v^2) \\ \mu_p = 2L(\sigma_s^2 + \sigma_v^2) \\ \sigma_p^2 = 4L(2\sigma_s^2\sigma_v^2 + \sigma_v^4) \end{cases}$$

Consider the following approximation:

$$\frac{\mu_x + x}{\mu_y + y} = \frac{\mu_x}{\mu_y} \frac{1 + x / \mu_x}{1 + y / \mu_y} \approx \frac{\mu_x}{\mu_y} \left(1 + \frac{x}{\mu_x} \right) \left(1 - \frac{y}{\mu_y} \right) \approx \frac{\mu_x}{\mu_y} \left(1 + \frac{x}{\mu_x} - \frac{y}{\mu_y} \right)$$

• Let
$$\tilde{c} = |c(n)| - \mu_c, \quad \tilde{p} = p(n) - \mu_p$$

• Then,

$$q(n) = \mu_q \left(1 + \frac{\tilde{c}}{\mu_c} \right) \left(1 - \frac{\tilde{p}}{\mu_p} \right) \approx \mu_q \left(1 + \frac{\tilde{c}}{\mu_c} - \frac{\tilde{p}}{\mu_p} \right), \quad \mu_q = \frac{\mu_c}{\mu_p}$$

$$E(q(n)) = \mu_q = \frac{\mu_c}{\mu_p}$$

$$Var(q(n)) = E\left\{ (q(n) - \mu_q)^2 \right\} = \mu_q^2 E\left\{ \left(\frac{\tilde{c}}{\mu_c} - \frac{\tilde{p}}{\mu_p}\right)^2 \right\}$$
$$= \mu_q^2 \left(E\left\{ \left(\frac{\tilde{c}}{\mu_c}\right)^2 \right\} + E\left\{ \left(\frac{\tilde{p}}{\mu_p}\right)^2 \right\} - 2E\left\{ \left(\frac{\tilde{c}}{\mu_c}\right) \left(\frac{\tilde{p}}{\mu_p}\right) \right\} \right)$$
$$= \mu_q^2 \left(\frac{\sigma_c^2}{\mu_c^2} + \frac{\sigma_p^2}{\mu_p^2} - 2E\left\{ \left(\frac{\tilde{c}}{\mu_c}\right) \left(\frac{\tilde{p}}{\mu_p}\right) \right\} \right)$$

Recall that:

$$|c(n)| \approx \sum_{k=0}^{L-1} [s_{n+k} s_{n+k+D}^{*}] + \sum_{k=0}^{L-1} \operatorname{Re} \left\{ s_{n+k} v_{n+k+D}^{*} + s_{n+k+D}^{*} v_{n+k} + v_{n+k} v_{n+k+D}^{*} \right\}$$

$$= \mu_{c} \left(1 + \frac{1}{\mu_{c}} \sum_{k=0}^{L-1} \operatorname{Re} \left\{ s_{n+k} v_{n+k+D}^{*} + s_{n+k+D}^{*} v_{n+k} + v_{n+k} v_{n+k+D}^{*} \right\} \right)$$

$$p(n) = \sum_{k=0}^{L-1} |s_{n+k}|^{2} + |v_{n+k}|^{2} + \sum_{k=0}^{L-1} s_{n+k} v_{n+k}^{*} + s_{n+k}^{*} v_{n+k}$$

$$= \mu_{p} \left(1 + \frac{1}{\mu_{p}} \sum_{k=0}^{L-1} s_{n+k} v_{n+k}^{*} + s_{n+k}^{*} v_{n+k} \right)$$

• Then,

$$\frac{A}{\mu_c} \sim N\left(0, \frac{\sigma_c^2}{\mu_c^2}\right), \quad \frac{B}{\mu_p} \sim N\left(0, \frac{\sigma_p^2}{\mu_p^2}\right)$$
$$E\left\{\left(\frac{A}{\mu_c}\right)\left(\frac{B}{\mu_p}\right)\right\} = \frac{1}{2\mu_c\mu_p}\sum_{k=0}^{L-1} 2\left(2\sigma_s^2 2\sigma_v^2\right) = \frac{4L(\sigma_s^2 \sigma_v^2)}{\mu_c\mu_p}$$

* Expand and note $s_{n+k} = s_{n+k+D}$.

Finally, we have

$$Var(q(n)) = \mu_q^2 \left(\frac{\sigma_c^2}{\mu_c^2} + \frac{\sigma_p^2}{\mu_p^2} - 2Cov \left(\frac{A}{\mu_c}, \frac{B}{\mu_p} \right) \right) = \mu_q^2 \left(\frac{\sigma_c^2}{\mu_c^2} + \frac{\sigma_p^2}{\mu_p^2} - \frac{8L(\sigma_s^2 \sigma_v^2)}{\mu_c \mu_p} \right)$$

Then, q(n) can also be approximated by a Gaussian PDF.

$$E\{q(n)\} = \frac{\mu_c}{\mu_p} = \frac{L(2\sigma_s^2)}{L(2\sigma_s^2 + 2\sigma_v^2)} = \mu_q \qquad \text{* n=n_{opt}: perfectly matched}$$
$$Var\{q(n)\} = \mu_q^2 \left(\frac{\sigma_c^2}{\mu_c^2} + \frac{\sigma_p^2}{\mu_p^2} - \frac{8L(\sigma_s^2\sigma_v^2)}{\mu_c\mu_p}\right) = \mu_q^2 \left(\frac{4\sigma_s^2\sigma_v^2 + 6\sigma_v^4 + 8\frac{\sigma_v^6}{\sigma_s^2} + 2\frac{\sigma_v^8}{\sigma_s^4}}{L(2\sigma_s^2 + 2\sigma_v^2)^2}\right) = \sigma_q^2$$

- Note that m(n) =q²(n), and we can approximate m(n) with a non-central Chi-square distribution.
- Finally, we have

$$E\{m(n)\} = \sigma_q^2 + \mu_q^2 \approx \mu_q^2 = \mu_m$$
$$Var\{m(n)\} = 2\sigma_q^4 + 4\sigma_q^2\mu_q^2 \approx 4\sigma_q^2\mu_q^2 = \sigma_m^2$$

• Examples (PDF of $m(n_{opt})$ for H_0 and H_1):



• For H_0 , the PDF of m(n) is

$$p_m(x) = L e^{-Lx}, x \ge 0$$

Thus, we can calculate the probability of false alarm as:

$$p(m(n) \ge \eta \mid H_0) = \int_{\eta}^{\infty} Le^{-Lx} dx = e^{-L\eta}$$

- For H₁, the PDF of m(n) is $p_m(x) = \frac{1}{\sqrt{2\pi}\sigma_m} e^{-\frac{(x-\mu_m)^2}{2\sigma_m^2}}$
- We can calculate the probability of detection as:

$$p(m(n) \ge \eta \mid H_1) = \int_{\eta}^{\infty} \frac{1}{\sqrt{2\pi\sigma_m}} e^{-\frac{(x-\mu_m)^2}{2\sigma_m^2}} dx = Q(\frac{\eta-\mu_m}{\sigma_m})$$

- Define SNR as $SNR = \frac{\sigma_s^2}{\sigma_v^2}$.
- We can rewrite μ_m and σ_m^2 as:

$$\mu_{m} = \frac{\text{SNR}^{2}}{(1 + \text{SNR})^{2}} + \frac{(1 + \text{SNR})^{3} + \text{SNR}^{2}(2 + \text{SNR})}{2 \times L(1 + \text{SNR})^{4}} \approx \frac{\text{SNR}^{2}}{(1 + \text{SNR})^{2}}$$
$$\sigma_{m}^{2} = \frac{2 \times \text{SNR}^{2} \left[(1 + \text{SNR})^{3} + \text{SNR}(1 + \text{SNR}^{2}) \right]}{L(1 + \text{SNR})^{6}}$$

- Carrier frequency offset (CFO) estimation:
 - Assume that there are two consecutive repeated symbols (periodic).
 - The output signal from a channel is still periodic if its input signal is periodic.
- Transmit/receive signal:

$$y_{n} = s_{n}e^{j2\pi f_{tx}nT_{s}}$$

$$r_{n} = s_{n}e^{j2\pi f_{tx}nT_{s}}e^{-j2\pi f_{rx}nT_{s}} = s_{n}e^{j2\pi (f_{tx}-f_{rx})nT_{s}} = s_{n}e^{j2\pi f_{\Delta}nT_{s}}$$

CFO estimation:

$$z = \sum_{n=0}^{L-1} r_n r_{n+D}^* = \sum_{n=0}^{L-1} s_n s_{n+D}^* e^{j2\pi f_\Delta n T_s} e^{-j2\pi f_\Delta (n+D)T_s} = e^{-j2\pi f_\Delta D T_s} \sum_{n=0}^{L-1} |s_n|^2$$
$$\hat{f}_\Delta = -\frac{1}{2\pi D T_s} \angle (z)$$

In OFDM (N: DFT size):

$$\angle z = 2\pi f_{\Delta} D T_s = 2\pi \frac{f_{\Delta}}{f_s} D = 2\pi \frac{K + \varepsilon}{D} D, \quad K : \text{intger}, \ 0 < \varepsilon < 1$$

* K/D is called integer CFO while ε /D is fractional

- Note that the definition of integer CFO varies with D. If using CP for CFO estimation, D=N and integer CFO corresponds to K/N.
- Fractional CFO is usually estimated first.

$$z = \sum_{n=0}^{L-1} r_n r_{n+D}^* = e^{-j2\pi D \frac{\varepsilon}{N}} \sum_{n=0}^{L-1} |s_n|^2 \Longrightarrow \frac{\hat{\varepsilon}}{N} = -\frac{1}{2\pi D} \angle (z)$$

 Once fractional CFO is estimated and compensated, the integer CFO can be estimated by matching known pilots in frequency domain. From the previous result, we have



The phase estimate is perturbed mainly by the Im{(a)+
 (b)+(c)} term. If φ=0 and SNR is high, then

$$\hat{\phi} = \tan^{-1} \left(\frac{\operatorname{Im}(r_n r_{n+D}^*)}{\operatorname{Re}(r_n r_{n+D}^*)} \right) \approx \phi + \frac{\operatorname{Im} (a) + (b) + (c)}{|s_n|^2}$$

- Thus, we have $*c(n) = \sum_{k=0}^{L-1} r_{n+k} r_{n+k+D}^*$ $|c(n_{opt})| \sim N(L(2\sigma_s^2), L(2\sigma_s^2 + \sigma_v^2)(2\sigma_v^2)),$ $* \operatorname{Var}[\operatorname{Im}(a) + (b) + (c)] = \operatorname{Var}[\operatorname{Re}(a) + (b) + (c)]$ $E\{\hat{\phi}\} = \phi$ $\operatorname{Var}\{\hat{\phi}\} = \frac{L(2\sigma_s^2 + \sigma_v^2)(2\sigma_v^2)}{(L(2\sigma^2))^2} = \frac{\sigma_v^2(2\sigma_s^2 + \sigma_v^2)}{2L\sigma^4} \approx \frac{\sigma_v^2}{L\sigma^2} = \frac{1}{L \times \operatorname{SNR}}$
 - Note that the result also holds for $\phi \neq 0$.
- For two long preambles: $r_n = s_n + v_n$,

$$\tilde{s}_{1,k} = \sum_{n=0}^{N-1} s_n e^{-j\frac{2\pi k}{N}n}, \quad \tilde{s}_{2,k} = \sum_{n=N}^{2N-1} s_n e^{-j\frac{2\pi k}{N}n} = \sum_{n=0}^{N-1} s_{n+N} e^{-j\frac{2\pi k}{N}(n+N)} = \sum_{n=0}^{N-1} s_n e^{-j\frac{2\pi k}{N}n} = \sum_{n=0}^{N-1} s_n e^{-j\frac{2\pi k}{N$$

If CFO presents, then

$$s_{n+N} = s_n e^{j2\pi\varepsilon} \Longrightarrow \tilde{s}_{2,k} = \tilde{s}_{1,k} e^{-j2\pi\varepsilon}$$

This is to say that CFO can be estimated in frequency domain.

$$y_{1,k} = r_{1,k} + v_{1,k}$$

 $y_{2,k} = \tilde{r}_{1,k}e^{j2\pi\varepsilon} + \tilde{v}_{2,k}$

• With maximum likelihood estimate, CFO can be estimated by: $\int_{1}^{K-1} Im[y_{2,k} y_{1,k}^*]$

$$\hat{c} = \frac{1}{2\pi} \tan^{-1} \left(\frac{\sum_{k=0}^{K-1} \min[y_{2,k} \, y_{1,k}]}{\sum_{k=0}^{K-1} \operatorname{Re}[y_{2k} \, y_{1k}^*]} \right)$$

It has been shown in [3] that

$$Var\{\hat{\phi}\} \le \frac{1}{K \times \mathbf{SNR}}$$

Symbol timing (CFO has been compensated):

 \hat{n}_{s}

= argmax
$$\left|\sum_{k=0}^{L-1} r_{n+k} t_k^*\right| = t_k$$
: reference

- Similar to that in packet detection, we can formulate two hypotheses.
- H₀ (partially matched):



H₁(completely matched):



 First, we let the reference signal be the long preamble which is deterministic.

• Let
$$z(n) = \sum_{k=0}^{L-1} r(n-k)t^*(L-k)$$

 For H₀, r(.) and t(.) are partially matched and z(n) can be written as

$$z(n) = \underbrace{\left(\sum_{k=m}^{L-1} s(n-k)t^{*}(L-k) + \sum_{k=0}^{m-1} s(n-k)t^{*}(L-k)\right)}_{Signal} + \underbrace{\sum_{k=0}^{L-1} v(n-k)t^{*}(L-k)}_{Noise}$$

- L is the length of the long training sequence.
- The first half of the signal part is s(n-k)=p(L-k+m) where p(.) is the short training sequence with length L.
- The second half of the signal is s(n-k)=t(m-k)
- m is the length of the input signal that matches the referene signal.

Mean and variance of z(n):

$$E\{z(n)\} = \sum_{k=m}^{L-1} p(L-k+m)t^{*}(L-k) + \sum_{k=0}^{m-1} t(m-k)t^{*}(L-k) = \sum_{k=0}^{m-1} t(m-k)t^{*}(L-k) = \mu_{z}(n)$$

$$Var(z_{o}) = E\{|z_{o} - \mu_{z}|^{2}\} = E\{\left|\sum_{k=0}^{L-1} v(n-k)t^{*}(L-k)\right|^{2}\} = \sum_{k=1}^{L} 2\sigma_{v}^{2} |t(L-k)|^{2} = 2L\sigma_{v}^{2}\sigma_{t}^{2} = \sigma_{z}^{2}$$

* var $(p_n) = \sigma_s^2$

 $\operatorname{var}(t_n) = \sigma_t^2$

- By the CLT, $z(n) \sim CN(\mu_z, \sigma_z^2)$.
- Then, |z(n)|² can be approximated by a non-central Chisquare distribution as:

$$\left|\sum_{k=0}^{L-1} r(n-k)t^{*}(L-k)\right|^{2} \sim \chi_{2}^{2}(\mu_{z2},\sigma_{z2}^{2})$$
$$\mu_{z2} = 2 \times (\frac{1}{2}\sigma_{z}^{2}) + |\mu_{z}(n)|^{2}$$
$$\sigma_{z2}^{2} = 2 \times 2 \times (\frac{1}{2}\sigma_{z}^{2})^{2} + 4 \times |\mu_{z}(n)|^{2} (\frac{1}{2}\sigma_{z}^{2})^{2}$$

 For H₁, r(.) and t(.) are completely matched and z(n) can be written as:

$$z(n) = \sum_{k=0}^{L-1} r(L-k)t^*(L-k) = \sum_{k=0}^{L-1} (t(L-k) + v(L-k)) \times t^*(L-k)$$
$$= \sum_{k=0}^{L-1} t(L-k)t^*(L-k) + v(L-k)t^*(L-k)$$

Mean and variance of z(n) can be derived as:

$$E\{z(n)\} = E\{\sum_{k=0}^{L-1} (t(L-k)t^{*}(L-k) + v(L-k)t^{*}(L-k))\} = \sum_{k=0}^{L-1} |t(L-k)|^{2} = L\sigma_{t}^{2} = \mu_{z}$$

$$Var\{z(n)\} = E\{\left|\sum_{k=0}^{L-1} (t(L-k)t^{*}(L-k) + v(L-k)t^{*}(L-k)) - \mu_{z}\right|^{2}\}$$

$$= \sum_{k=0}^{L-1} E\{\left|v(L-k)t^{*}(L-k)\right|^{2}\} = \sum_{k=0}^{L-1} 2\sigma_{v}^{2} |t(L-k)|^{2} = 2L\sigma_{t}^{2}\sigma_{v}^{2} = \sigma_{z}^{2}$$

 By the CLT, the distribution of z(n) can be approximated as a complex Gaussian random variable:

$$z(n) \sim CN(\mu_z, \sigma_z^2).$$

 Again, |z(n)|² can be approximated by a non-central Chisquare distribution as:

$$|z(n)|^{2} = \left|\sum_{k=0}^{L-1} r(n-k)t^{*}(L-k)\right|^{2} \sim \chi_{2}^{2}(\mu_{z2},\sigma_{z2}^{-2})$$
$$\mu_{z2} = 2 \times (\frac{1}{2}\sigma_{z}^{-2}) + \mu_{z}^{2},$$
$$\sigma_{z2}^{-2} = 2 \times 2 \times (\frac{1}{2}\sigma_{z}^{-2})^{2} + 4 \times \mu_{z}^{2}(\frac{1}{2}\sigma_{z}^{-2})$$

Simulation result (SNR=10dB):



- Before complete matching, the mean fluctuates.
- When complete matching, the mean spikes.
- The variance remains the same for all cases.

• The reference signal can be treated as a complex Gaussian random process also $(t(n) \sim CN(0, \sigma_t^2))$.



• For H_1 :

$$E\{z(n)\} = \sum_{k=0}^{L-1} t(L-k)t^{*}(L-k) = L\sigma_{t}^{2}$$

$$Var(z) = Var\{\sum_{k=0}^{L-1} t(L-k)t^{*}(L-k) + \sum_{k=0}^{L-1} v(n-k)t^{*}(L-k)\} = L\sigma_{t}^{2} + L\sigma_{v}^{2}\sigma_{t}^{2}$$

Simulation result (SNR=10dB):



- Before complete matching, the mean is zero.
- When complete matching, the mean spikes.
- The variance is the same for all cases.

 By the CLT, the distribution of z can be approximated as a complex Gaussian random variable.

 $z \sim CN(\mu_z, \sigma_z^2)$

 Then, |z(n)| can be approximated as non-central Chisquare distribution with DoF two.

$$|z(n)|^{2} = \left|\sum_{k=0}^{L-1} r(n-k)t^{*}(L-k)\right|^{2} \sim \chi_{2}^{2}(\mu_{z2},\sigma_{z2}^{-2})$$
$$\mu_{z2} = 2 \times (\frac{1}{2}\sigma_{z}^{-2}) + \mu_{z}^{2}, \ \sigma_{z2}^{-2} = 2 \times 2 \times (\frac{1}{2}\sigma_{z}^{-2})^{2} + 4 \times \mu_{z}^{2}(\frac{1}{2}\sigma_{z}^{-2})$$

Channel estimation:

 $\tilde{y}(k) = \tilde{h}(k) \times \tilde{x}(k)$

Channel estimate:

$$\hat{h}_i(k) = \frac{\tilde{y}_i(k)}{\tilde{x}_i(k)}$$
$$\hat{h}(k) = \frac{\hat{h}_1(k) + \hat{h}_2(k)}{2}$$

* The received signal of the *k*th subcarrier

- * Estimated channel response of the *k*th subcarrier (*i*th preamble)
- * Estimated channel response of the *k*th subcarrier
- In many OFDM systems, channel response needed to be interpolated.
- In 802.11a/g, no interpolation is needed, giving the simple method reasonably good performance.

Using the vector representation (OFDM symbol), we have

 $\mathbf{y} = \mathbf{H}\mathbf{x} + \mathbf{v}$

 $\mathbf{h} = [\underline{h(1), h(2), \dots, h(K), 0, \dots, 0}], \quad \mathbf{H}: \text{ circult matrix by } \mathbf{h}$ • Let

 $\tilde{\mathbf{y}} = \mathbf{F}\mathbf{y}, \quad \tilde{\mathbf{x}} = \mathbf{F}\mathbf{x}, \quad \mathbf{v} = \mathbf{F}\mathbf{v}, \quad \tilde{\mathbf{h}} = \mathbf{F}\mathbf{h}, \quad \mathbf{F} : \mathbf{D}\mathbf{F}\mathbf{T} \text{ matrix}$

• Then, $\mathbf{F} \mathbf{y} = \mathbf{F} \mathbf{H} \mathbf{F}^* \mathbf{F} \mathbf{x} + \mathbf{F} \mathbf{v} \Longrightarrow \tilde{\mathbf{y}} = \tilde{\mathbf{H}} \tilde{\mathbf{x}} + \tilde{\mathbf{v}}$

 $\tilde{\mathbf{H}}$: diag ($\tilde{\mathbf{h}}$), $\tilde{\mathbf{h}} = \mathbf{F}\mathbf{h}$

* \overline{h}_k : estimate of \tilde{h}_k

And (for a long preamble),

$$\tilde{y}_k = \tilde{h}_k \tilde{x}_k + \tilde{v}_k \Rightarrow \bar{h}_k = \frac{\tilde{y}_k}{\tilde{x}_k} = \tilde{h}_k + \frac{\tilde{v}_k}{\tilde{x}_k} = \tilde{h}_k + \tilde{\delta}_k$$

• For data detection (data symbol): $* \overline{x}_{k}$: estimate of \tilde{x}_{k}

$$\begin{split} \tilde{y}_k &= \tilde{h}_k \tilde{x}_k + \tilde{v}_k \Rightarrow \overline{x}_k = \frac{\tilde{y}_k}{\overline{h}_k} = \frac{\tilde{h}_k \tilde{x}_k}{\overline{h}_k} + \frac{\tilde{v}_k}{\overline{h}_k} = \frac{\tilde{h}_k \tilde{x}_k}{\tilde{h}_k} + \frac{\tilde{v}_k}{\tilde{h}_k} + \frac{\tilde{v}_k}{\tilde{h}_k} + \tilde{\delta}_k \end{split}$$

$$\overline{x}_k &= \frac{1}{\tilde{h}_k} \left(\frac{\tilde{h}_k \tilde{x}_k}{1 + \tilde{\delta}_k / \tilde{h}_k} + \frac{\tilde{v}_k}{1 + \tilde{\delta}_k / \tilde{h}_k} \right)$$

Assuming that the error is small, then we can have

$$\begin{split} \overline{x}_{k} &= \frac{1}{\tilde{h}_{k}} \left(\frac{\tilde{h}_{k} \tilde{x}_{k}}{1 + \tilde{\delta}_{k} / \tilde{h}_{k}} + \frac{\tilde{v}_{k}}{1 + \tilde{\delta}_{k} / \tilde{h}_{k}} \right) \approx \frac{1}{\tilde{h}_{k}} \left(\left[1 - \frac{\tilde{\delta}_{k}}{\tilde{h}_{k}} \right] \tilde{h}_{k} \tilde{x}_{k} + \left[1 - \frac{\tilde{\delta}_{k}}{\tilde{h}_{k}} \right] \tilde{v}_{k} \right) \\ &= \tilde{x}_{k} + \frac{\tilde{v}_{k}}{\tilde{h}_{k}} - \frac{\tilde{\delta}_{k}}{\tilde{h}_{k}} \tilde{x}_{k} - \frac{\tilde{\delta}_{k}}{\tilde{h}_{k}^{2}} \tilde{v}_{k}}{\frac{Extra noise}{1 - \frac{\tilde{\delta}_{k}}{\tilde{h}_{k}}} } \end{split}$$

 Let the preamble be QPSK modulated (and normalized) and the channel gain be one. In addition, the channel is estimated with two long preambles. Then,

$$\sigma_{ex}^{2} = \sigma_{\tilde{\delta}}^{2} \sigma_{\tilde{x}}^{2} + \sigma_{\tilde{\delta}}^{2} \sigma_{\tilde{v}}^{2} = \frac{1}{2} \sigma_{\tilde{v}}^{2} + \frac{1}{2} \sigma_{\tilde{v}}^{2} \sigma_{\tilde{v}}^{2}$$

• The MSE in data detection becomes $\sigma_v^2 + \sigma_{ex}^2$. And, the SNR becomes

$$-10\log_{10}\left(\sigma_{v}^{2}+\sigma_{ex}^{2}\right) = -10\log_{10}\sigma_{v}^{2}\left(1+\frac{\sigma_{ex}^{2}}{\sigma_{v}^{2}}\right) = -10\log_{10}\sigma_{v}^{2}-10\log_{10}\left(1+\frac{\sigma_{ex}^{2}}{\sigma_{v}^{2}}\right)$$

- Due to the channel estimation, the SNR is then degraded by $10\log_{10}\left(1+\frac{\sigma_{ex}^2}{\sigma_v^2}\right)$.
- Note that noise in channel estimate and data detection is different (preamble and data symbol).

Data detection:

$$\hat{x}(k) = \frac{\tilde{y}(k)}{\overline{h}(k)}$$
 * Estimated data in the *k*th subcarrier

- The final channel estimate is the average of the two estimates with two long preambles.
- With the degraded SNR, we can then calculate the probability of QAM symbol error.
- Note that the effect of residual CFO and SFO will be accumulated. Without proper tracking, the error rate will be increased for later OFDM symbols.

- Performance evaluation of synchronization:
 - Set a window size (W_p) for packet detection.
 - If the packet is detected within W_p , the detection is successful (right timing plus/minus $W_p/2$).
 - Probabilities of detection, missing, and false alarm can then be calculated.
 - If packet detection is successful, CFO estimation, symbol timing, and channel estimation can then be conducted (searching window for symbol timing: W_s).
 - MSEs can then be calculated to evaluate the performance of CFO estimation/symbol timing.
- The size of W_s is a tradeoff between the performance and the computational complexity.
- All the derived theoretical values can be compared with the simulated, verifying the correctness of simulations.

- Practice 1:
 - Build an OFDM system with LTE specifications including

* Note: SNR in time domain is different from that seen in each subcarrier

- Transmitter
- AWGN channel, and
- Receiver (perfect synchronization).
- Plot SER vs. SNR.
- Assume QPSK symbols
- FFT size=2048 (number of used subcarriers=1200)

- Practice 2:
 - Redo the practice with a multipath channel.

Result:

