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Re:	IEEE 802.16m-08/042, Call for Contributions on Project 802.16m Draft Amendment Content (2008-10-09)	
Abstract	This contribution proposes resource blocks for DL and UL Hybrid ARQ on 16m frame structure	
Purpose	To be discussed and approved by TGM.	
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# Resource Blocks for DL and UL Hybrid ARQ on 16m Frame Structure

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## 1. Introduction

This contribution focuses on defining the resource block for hybrid-ARQ (HARQ) based on the new frame structure in IEEE802.16m SDD [1]. From the basic frame structure defined in 802.16m, there exist two types of subframes: 1) the regular subframes with six OFDM symbols and 2) the irregular subframes with seven OFDM symbols. The co-existence of regular and irregular subframe and the resource unit defined based on such subframe structures make the HARQ allocation more complicate than that in the legacy system which consists of all regular minimum resource units (slots). Furthermore, the reduced transmission time interval (TTI) in IEEE802.16m provides the flexibility to minimize the HARQ process delay and round trip time (RTT) within the new frame structure.

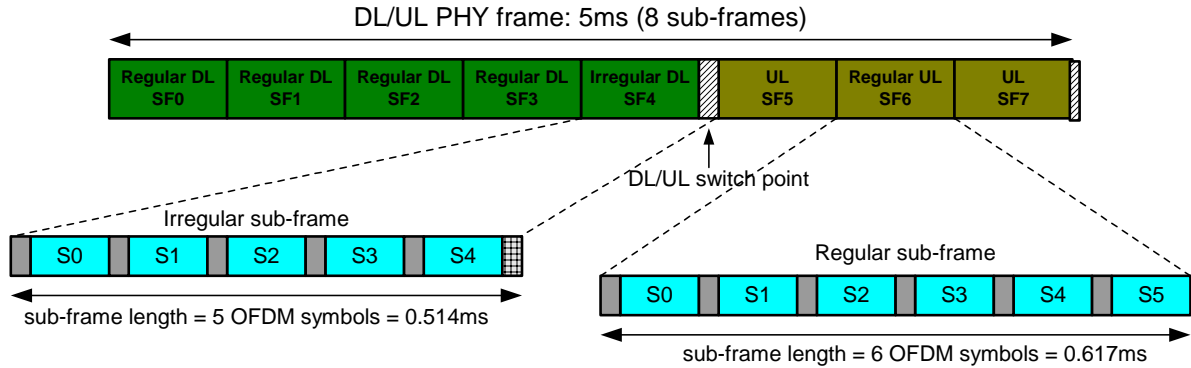
On the other hand, IEEE802.16m [1] has adopted the asynchronous hybrid ARQ for the downlink (DL) transmission. The retransmissions may occur at any time. For asynchronous hybrid ARQ in the DL, IEEE 802.16m uses an adaptive HARQ scheme, in which the resource allocation and transmission format including the modulation and coding rate for the HARQ retransmissions can be different from the initial transmission. For the uplink (UL) transmission, IEEE802.16m has adopted the synchronous hybrid ARQ, so the retransmissions are restricted to occur at known time instants.

Due to the existence of irregular subframes and the physical resource units (PRU) with different sizes, some disadvantages arise for the resource allocation of hybrid ARQ schemes in the DL and UL in TDD such as additional signaling overhead, the allocation mismatch problem for synchronous UL HARQ and requirement of complex Transmission Format Table (including encoding packet size, coding and modulation). Thus the efficient design on the resource block for hybrid ARQ processes is then important. In this proposal, we investigate the frame structures and resource unit definition in IEEE 802.16m SDD [1], and provide a solution on the resource block for the hybrid ARQ for the DL and UL in TDD duplex scheme. We propose the definition of resource block for hybrid ARQ processes in both DL and UL, and introduce additional constraint on some cases of the UL hybrid ARQ as the amendments of IEEE802.16m SDD.

## 2. Overview of Frame Structure in IEEE 802.16m

The IEEE 802.16m basic frame structure is defined as follows [1]. Each 20 ms superframe is divided into four equally-sized 5 ms radio frames. Each 5ms radio frame is further divided into 8 subframes. Based on the bandwidth and the length of cyclic prefix (CP), there are two types of subframes: 1) the type-1 subframe which consists of six OFDMA symbols and 2) the type-2 subframe that consists of seven OFDMA symbols. In both subframe types, some of symbols may be idle symbols.

In this proposal, we focus on TDD duplex scheme. An example frame structure with DL/UL ratio 5:3 in TDD duplex is shown in Fig. 1. The CP size is  $1/8 T_u$ , where  $T_u$  is the OFDM symbol duration. Currently the frame structure in IEEE 802.16m SDD supports two cyclic prefix (CP) sizes, i.e.,  $1/8 T_u$  and  $1/16 T_u$ .



**Figure 1: Regular and irregular subframes in TDD duplex scheme (CP=1/8 Tu)**

For 1/8 Tu CP size, 48 OFDM symbols are formed. Each subframe consists of evenly 6 OFDM symbols. However, due to TDD duplex, TTG and RTG have to be inserted when the transmission switches between DL and UL. We can see from Fig. 1, to satisfy the 5m constraint in one radio frame, the last symbol in the DL portion (the last symbol in the fifth DL subframe) is set to be idle for TTG. Therefore, the effective number of OFDM symbols in that subframe is only 5. In the following text, we also refer the subframe with less effective number of OFDM symbols to as the irregular subframe.

For some other CP size or DL/UL ratio, e.g., 1/16 Tu CP size, we may have subframes with 7 OFDM symbols. Table 1 summarizes the number of OFDM symbols for the DL and UL with different DL/UL ratio (from 1:7 to 7:1 with one subframe increasing step in the DL portion) for both 1/8 Tu and 1/16 CP sizes.

	CP 1/8 Tu		CP 1/16 Tu			
	DL	UL	DL	UL	TTG( $\mu$ s)	RTG( $\mu$ s)
DL:UL=1:7	5(5)	42	5(5)	44(7,7)	134.2857	105.7143
DL:UL=2:6	11(5)	36	12	38(7,7)	71.4286	71.4286
DL:UL=3:5	17(5)	30	18	32(7,7)	105.7143	37.1429
DL:UL=4:4	23(5)	24	24	25(7)	140.0000	100.000
DL:UL=5:3	29(5)	18	31(7)	19(7)	77.1429	65.7143
DL:UL=6:2	35(5)	12	37(7)	13(7)	111.4286	31.4286
DL:UL=7:1	41(5)	6	43(7)	6	145.7143	94.2857

Table 1. Number of OFDM symbols in the DL and UL portions in TDD duplex scheme (for CP=1/8 Tu, TTG and RTG are always 102.8571  $\mu$ s and 62.86  $\mu$ s, respectively, as in [1]).

In Table 1, TTG and RTG for 1/16 Tu CP are calculated based on the alignment with IEEE 802.16e for DL and UL transmissions. The values may be different if other schemes are considered, e.g. [2]. The numbers in the parentheses are the numbers of OFDM symbols in the irregular subframe(s), i.e., (5) represent that there is a subframe with 5 OFDM symbols in this DL or UL portion, and (7,7) represents that there are two subframes with 7 OFDM symbols. We can see for 1/8 Tu CP, there is only one irregular subframe in the DL portion. However, for 1/16 Tu CP, there are irregular subframes in both DL and UL with 5 or 7 OFDM symbols

### 3. Physical Structure in IEEE 802.16m

In IEEE 802.16m SDD [1], the resource block for transmission is defined as resource unit. A physical resource unit (PRU) is the basic physical unit for resource allocation that comprises  $P_{sc}$  consecutive subcarriers by  $N_{sym}$  consecutive OFDMA symbols where  $P_{sc}=18$ , and the value of  $N_{sym}$  depends on the number of OFDM symbols in the subframe. Therefore, the PRU is a rectangular region aligning with the subframe boundary. For different types of subframes with different number of effective OFDM symbols, we have PRU with sizes of  $18*5$ ,  $18*6$ , or  $18*7$  symbols. A logical resource unit (LRU) is the basic logical unit for resource allocations. The size of LRU, including the logical distributed resource unit (LDRU) and the logical localized resource unit (LLRU), is the same as that of the PRU.

Similarly for the UL, a PRU is defined as  $P_{sc}$  subcarriers by  $N_{sym}$  consecutive OFDMA symbols, where  $P_{sc}=18$  and  $N_{sym}$  is the number of OFDMA symbols depending on the subframe type. A logical resource unit (LRU) is the basic logical unit for data transmission in the UL. The size of LRU, including the logical distributed resource unit (LDRU) and the logical localized resource unit (LLRU), is the same as that of the PRU. For LDRU, the minimum unit for forming the LDRU is a tile of a size  $6xN_{sym}$ , where  $N_{sym}$  could be 5, 6 or 7

Unlike the uniform resource unit in legacy system, the PRU with different sizes in IEEE802.16m incurs additional signaling overhead for HARQ burst profiles.

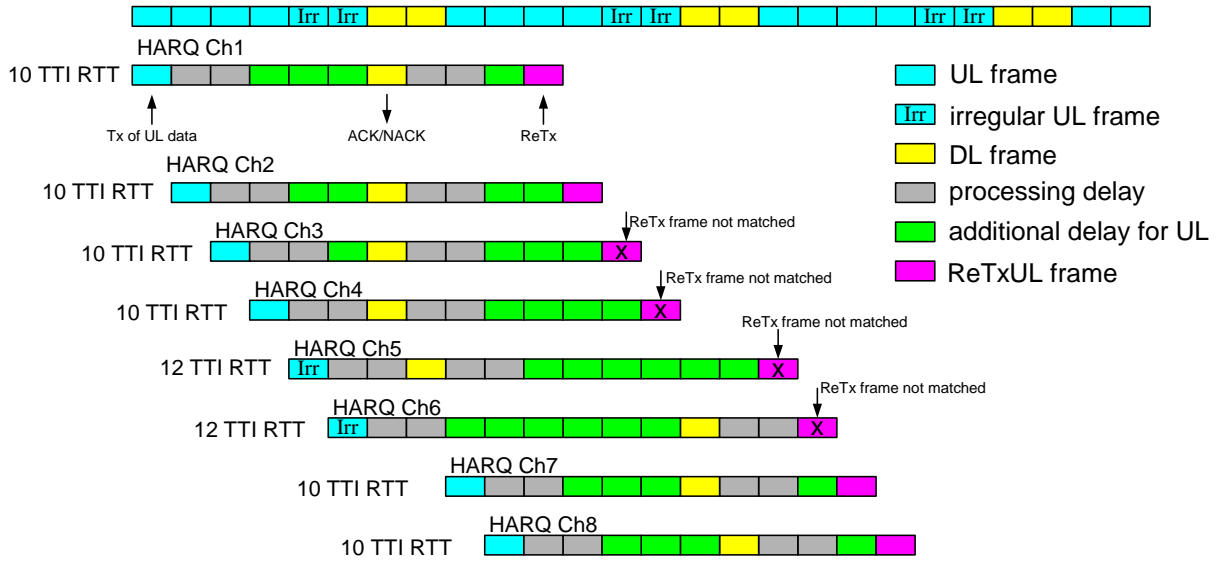
## 4. Resource Block for HARQ

### 4.1 Resource Block for UL HARQ

IEEE802.16m [1] has adopted the synchronous hybrid ARQ for the UL so that the retransmissions are restricted to occur at known time instants. For UL synchronous hybrid ARQ, the resource block can be changed during the retransmission. Therefore, for UL hybrid ARQ, the transmission format for retransmission is exactly the same as the original transmission. Although the resource block can be changed, the size and shape of resource block should not change. Only the allocation of the resource block can be rescheduled. Due to irregular subframe existing in IEEE 802.16m frame structure and definition of  $N_{sym}$ , there can be an allocation mismatch problem for some cases of UL hybrid ARQ.

As shown in Table 1, for  $1/8$   $T_u$  CP size, the subframes in the UL portion for all DL/UL ratios are regular. Therefore, with any definition of LRU aligning with the subframe boundary, the synchronous hybrid ARQ for the UL can be satisfied.

However for  $1/16$   $T_u$  CP size and a certain DL/UL ratio in TDD duplex scheme, there could be a problem for synchronous non-adaptive UL hybrid ARQ if  $N_{sym}$  equals number of OFDM symbols in a subframe. For example, Figure 2 illustrate a dysfunctional timing diagram for non-adaptive synchronous UL HARQ with DL:UL=2:6 for 8 hybrid ARQ processes. From Table 1, we know that there are two irregular subframes with 7 OFDMA symbols each. We assume that the fifth and the sixth subframes are the irregular ones in a 5ms frame. As shown in Fig. 2, the UL subframe 5 is an irregular UL frame. For HARQ process 3, the first transmission is in the UL subframe 3 which is a regular subframe. Based on the non-adaptive synchronous HARQ protocol in [1], it is retransmitted at UL subframe 5. However, since the UL subframe 5 is irregular, the retransmission has to be redefined to another subframe. The UL subframe 5 should be defined for a new HARQ process. Similar mismatching problem exists in HARQ process 4, 5, and 6.



**Figure 2: Mismatch problem in non-adaptive synchronous UL HARQ with irregular UL subframe (DL:UL=2:6)**

Therefore, for non-adaptive synchronous UL HARQ, to solve such mismatching problem, we propose to restrict the UL subframes for UL HARQ usage as follows.

If the irregular subframe has more than 6 OFDM symbols, we treat this irregular subframe as a regular subframe by allocating only the first 6 OFDM symbols for HARQ process with the  $N_{\text{sym}}=6$  in LRU. If the irregular subframe has less than 6 OFDM symbols, we do not allocate HARQ process to this irregular subframe.

Note that for although there is no subframe with 5 or less OFDM symbols in Table 1, it may happen for other CP size, such as long CP frame structure as in [3]. With the fine resource unit definition, the mismatch problems shown in Fig. 2 can be easily solved.

## 4.2 Resource Block for DL HARQ

For DL transmission, we can see from Table 1, for  $1/8 T_u$  CP size, although all the subframes have 6 OFDM symbols each, the last one in the DL portion has one OFDM symbol idle for TTG. Therefore, the effective number of symbol is only 5. Also as shown in Table 1, for  $1/16 T_u$  CP size there are some irregular subframes with 7 OFDM symbols each. Based on the definition of PRU in SDD [1], the size of PRU is  $P_{\text{sc}} \cdot N_{\text{sym}}$ , where  $P_{\text{sc}}=18$ ,  $N_{\text{sym}}=6$  or  $7$ . For the subframe with 5 effective OFDM symbols, we have actually  $N_{\text{sym}}=5$ . Although in the DL, the asynchronous adaptive hybrid ARQ has been adopted in IEEE 802.16m [1] so that resource block and transmission format can be changed to adapt the size of subframe in the retransmission, non-uniform resource unit makes scheduling difficult for the (re)transmissions in IR HARQ.

In DL hybrid ARQ, we propose a HARQ region consisting of many PRUs for multiple HARQ processes, which is similar to IEEE 802.16e format [4]. For each PRU, we occupy the region  $P_{\text{sc}} \cdot N_{\text{sym}}$ , where  $N_{\text{sym}}=6$ . Therefore, for regular subframe, we utilize all resources in each PRU. For irregular subframe with  $N_{\text{sym}}=7$ , we only use 6 of 7 symbols. For  $N_{\text{sym}}=5$  (e.g., type-1 subframe with 1 idle symbol), we do not include it to the HARQ resource region. As shown in Fig. 3, the hybrid ARQ region contains many PRUs which spans to one or more subframes. The hybrid ARQ processes are allocated in the region. The resources are allocated to different hybrid ARQ processes in a sequential order shown in Fig. 3 excluding the subcarriers for the pilots. For  $1/8 T_u$  CP size, excluding the type-1 short subframe for HARQ can avoid additional delay for the DL HARQ. [5]

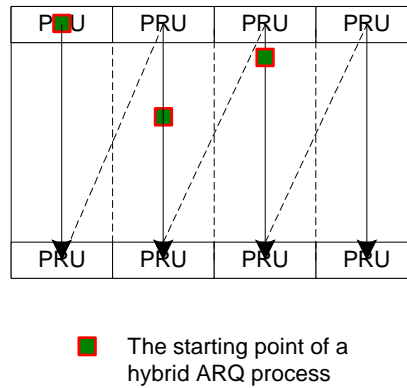


Figure 3: A resource block region for multiple hybrid ARQ processes in the DL.

For DL HARQ, a transmission format can be built based on the encoded packet size and number of allocated PRU, the above proposed scheme substantially facilitate the transmission format design and the determination of modulation order to be used.

Exclude the pilot symbols, total 96 symbols can be allocated in every PRU. The modulation can be decided based on the following equation.

$$MPR = \frac{N_{EP}}{96 \cdot N_{PDU}}$$

where  $N_{EP}$  denotes the encoding packet size,  $N_{PDU}$  denotes number of PDU.

- If  $0 < MPR < 1.5$ , then QPSK is used.
- If  $1.5 \leq MPR < 3.0$ , then 16QAM is used.
- If  $3.0 \leq MPR < 5.4$ , then 64QAM is used.

Similar to Table 505 in [4], a Table can be built to obtain the transmission format and modulation for the DL HARQ. The detailed table can be determined after the channel coding is specified, e.g. lowest code rate and maximum block size.

## 5. Conclusion

We would like to propose the following text proposal **as the amendment of IEEE 802.16m SDD.**

===== *Start of Proposed Text* =====

### 15. Advanced Air Interface

#### 15.3 Physical Layer

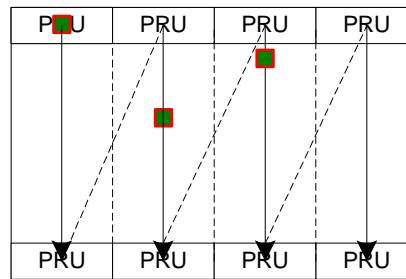
##### 15.3.5 Downlink physical structure

##### 15.3.5.1 Physical and Logical Resource Unit

##### 15.3.5.1.x Physical Resource Unit for HARQ

For hybrid ARQ, a resource block region consists of several PRUs for multiple HARQ processes. As shown in Fig. x, the hybrid ARQ region contains several or more PRUs which spans to one or more subframes. For each PRU,  $Psc \cdot N_{sym}$  is occupied, where  $N_{sym} = 6$ . The resources are allocated to different hybrid ARQ processes

in a sequential order shown in Fig. x excluding the subcarriers for the pilots.



■ The starting point of a hybrid ARQ process

Figure x: A resource block region for multiple hybrid ARQ processes in the DL.

Given the encoding packet size  $N_{EP}$  and number of allocated PDU  $N_{PDU}$ , the MPR (effective number of information bit per subcarrier) is defined by

$$MPR = \frac{N_{EP}}{96 \cdot N_{PDU}}$$

The modulation order can be determined by the following rule

- If  $0 < MPR < 1.5$ , then QPSK is used.
- If  $1.5 \leq MPR < 3.0$ , then 16QAM is used.
- If  $3.0 \leq MPR < 5.4$ , then 64QAM is used.

The detailed table of transmission format and modulation level is FFS after the channel coding is defined, e.g. the lowest code rate and maximum block size.

## 15.3.6 Uplink physical structure

### 15.3.6.1 Physical and Logical Resource Unit

#### 15.3.6.1.x Physical Resource Unit for HARQ

For the UL hybrid ARQ in TDD duplex, the PRU in the subframe with more than 6 OFDM symbols can still be allocated for the retransmissions by allocating only the first 6 OFDM symbols.

===== *End of Proposed Text* =====

## 5. References

- [1] C802.16-08/003r5, "SDD document, The Draft IEEE 802.16m System Description Document".
- [2] C802.16m-08/474r3, "Frame structure with multiple sub-frame sizes".
- [3] C802.16m-08/1130r2 "Long CP frame structure design enabling time-multiplexed unicast and E-MBS".
- [4] IEEE Standard 802.16 Working Group, Part 16: Air Interface for Broadband Wireless Access Systems, P802.16Rev2/D3, Feb. 2008.

[5] C802.16m-08/334r1, “Hybrid ARQ Protocols and Signaling for DL and UL Transmissions”.