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Re:	Evaluation Methodology for P802.16m-Advanced Air Interface	
Abstract	This document is the approved baseline 802.16m Evaluation Methodology. As directed by TGm, this document is a revision to IEEE 802.16m-08/004r3 according to the comment resolution conducted by TGm in Session #58.	
Purpose	Revised evaluation methodology for the P802.16m draft.	
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## 1 Abbreviations and Acronyms

2

3GPP	3G Partnership Project
3GPP2	3G Partnership Project 2
AAS	Adaptive Antenna System also Advanced Antenna System
ACK	Acknowledge
AES	Advanced Encryption Standard
AG	Absolute Grant
AMC	Adaptive Modulation and Coding
A-MIMO	Adaptive Multiple Input Multiple Output (Antenna)
AMS	Adaptive MIMO Switching
AoA	Angle of Arrival
AoD	Angle of Departure
ARQ	Automatic Repeat reQuest
ART	Above Rooftop
AS	Azimuth Spread
ASA	Azimuth Spread Arrival
ASD	Azimuth Spread Departure
ASN	Access Service Network
ASP	Application Service Provider
BE	Best Effort
BRT	Below Rooftop
CC	Chase Combining (also Convolutional Code)
CCI	Co-Channel Interference
CCM	Counter with Cipher-block chaining Message authentication code
CDF	Cumulative Distribution Function
CDL	Clustered Delay Line
CINR	Carrier to Interference + Noise Ratio
CMAC	block Cipher-based Message Authentication Code
CP	Cyclic Prefix
CQI	Channel Quality Indicator
CSN	Connectivity Service Network
CSTD	Cyclic Shift Transmit Diversity
CTC	Convolutional Turbo Code
DL	Downlink
DOCSIS	Data Over Cable Service Interface Specification
DSL	Digital Subscriber Line
DVB	Digital Video Broadcast
EAP	Extensible Authentication Protocol
EESM	Exponential Effective SIR Mapping
EIRP	Effective Isotropic Radiated Power
ErtVR	Extended Real-Time Variable Rate

EVM	Error Vector Magnitude
FBSS	Fast Base Station Switch
FCH	Frame Control Header
FDD	Frequency Division Duplex
FD-FDD	Full Duplex - Frequency Division Duplex
FFT	Fast Fourier Transform
FTP	File Transfer Protocol
FUSC	Fully Used Sub-Channel
HARQ	Hybrid Automatic Repeat reQuest
HD-FDD	Half Duplex – Frequency Division Duplex
HHO	Hard Handover
HMAC	keyed Hash Message Authentication Code
HO	Handover
HTTP	Hyper Text Transfer Protocol
IE	Information Element
IEFT	Internet Engineering Task Force
IFFT	Inverse Fast Fourier Transform
IR	Incremental Redundancy
ISI	Inter-Symbol Interference
LDPC	Low-Density-Parity-Check
LOS	Line of Sight
MAC	Media Access Control
MAI	Multiple Access Interference
MAN	Metropolitan Area Network
MAP	Media Access Protocol
MBS	Multicast and Broadcast Service
MCS	Modulation and Coding Scheme
MDHO	Macro Diversity Hand Over
MIMO	Multiple Input Multiple Output (Antenna)
MMS	Multimedia Message Service
MPC	Multipath Component
MPLS	Multi-Protocol Label Switching
MS	Mobile Station
MSO	Multi-Services Operator
NACK	Not Acknowledge
NAP	Network Access Provider
NLOS	Non Line-of-Sight
NRM	Network Reference Model
nrtPS	Non-Real-Time Polling Service
NSP	Network Service Provider
OFDM	Orthogonal Frequency Division Multiplex
OFDMA	Orthogonal Frequency Division Multiple Access

PER	Packet Error Rate
PF	Proportional Fair (Scheduler)
PKM	Public Key Management
PUSC	Partially Used Sub-Channel
QAM	Quadrature Amplitude Modulation
QPSK	Quadrature Phase Shift Keying
RG	Relative Grant
RMS	Root Mean Square
RR	Round Robin (Scheduler)
RRI	Reverse Rate Indicator
RS	Relay Station
RTG	Receive/transmit Transition Gap
rtPS	Real-Time Polling Service
RUIM	Removable User Identify Module
SCM	Spatial Channel Model
SDMA	Space (or Spatial) Division Multiple Access
SF	Spreading Factor
SFN	Single Frequency Network
SGSN	Serving GPRS Support Node
SHO	Soft Handover
SIM	Subscriber Identify Module
SINR	Signal to Interference + Noise Ratio
SISO	Single Input Single Output (Antenna)
SLA	Service Level Agreement
SM	Spatial Multiplexing
SMS	Short Message Service
SNR	Signal to Noise Ratio
S-OFDMA	Scalable Orthogonal Frequency Division Multiple Access
SS	Subscriber Station
STC	Space Time Coding
TDD	Time Division Duplex
TDL	Tapped Delay Line
TEK	Traffic Encryption Key
TTG	Transmit/receive Transition Gap
TTI	Transmission Time Interval
TU	Typical Urban (as in channel model)
UE	User Equipment
UGS	Unsolicited Grant Service
UL	Uplink
UMTS	Universal Mobile Telephone System
VoIP	Voice over Internet Protocol
VPN	Virtual Private Network

VSF	Variable Spreading Factor
WiFi	Wireless Fidelity
WAP	Wireless Application Protocol
WiBro	Wireless Broadband (Service)
WiMAX	Worldwide Interoperability for Microwave Access

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- 5

**1 Editor's Notes**

2 This document is the approved baseline 802.16m Evaluation Methodology. It is a  
3 revision to IEEE 802.16m-08/004r3 based on change requests approved by TGm in  
4 Session #58, November 2008.

5  
6 IEEE 802.16m-08/004 was developed from IEEE 802.16m-07/037r2 through comment  
7 resolution in Session #53. IEEE 802.16m-08/004r1, IEEE 802.16m-08/004r2, 802.16m-  
8 08/004r3 are revisions based on approved change requests in Session #54, Session  
9 #55 and Session #57 respectively.

10  
11 IEEE 802.16m-07/037r2 was developed from C802.16m-07/080r3 by the evaluation  
12 methodology ad-hoc groups in TGm through harmonization of contributions and  
13 resolution of comments in TGm sessions #48, #49, #50, #51 and #52.

14  
15

## 1. Introduction

A great deal can be learned about an air interface by analyzing its fundamental performance in a link-level setting which consists of one base station and one mobile terminal. This link-level analysis can provide information on the system's fundamental performance metrics. The actual performance, in real-world settings, where multiple base stations are deployed in a service area and operating in the presence of a large number of active mobile users, can only be evaluated through system-level analysis. The extension of the link-level analysis methods to a system-level analysis may start with adding multiple users in a single-cell setting. This technique is generally straightforward and provides a mechanism for initial understanding of the multiple-access characteristics of the system.

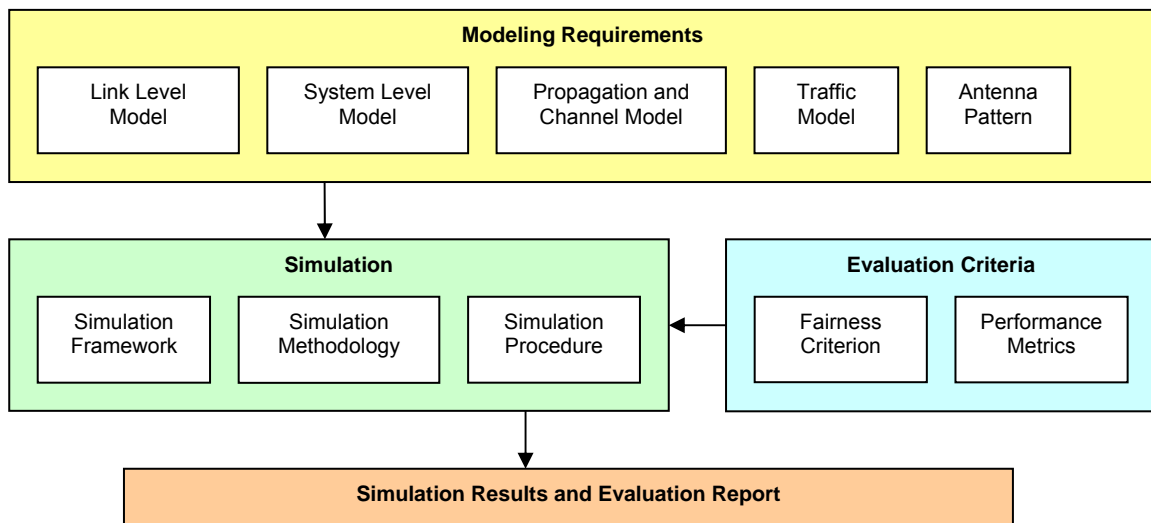


Figure 1 : Simulation components

Since system level results vary considerably with different propagation and interference environments, as well as with the number and distribution of users within the cells, it is important that the assumptions and parameters used in the analysis be reported carefully lest the quoted network-level performance be misleading.

The objective of this evaluation methodology is to define link-level and system-level simulation models and associated parameters that shall be used in the evaluation and comparison of technology proposals for IEEE 802.16m. Proponents of any technology proposal using this methodology shall follow the evaluation methods defined in this document and report the results using the metrics defined in this document. The methods provided in this evaluation methodology document may be extended or enhanced in order to align with IMT.EVAL[84] or to further evaluate specific proposals not covered by this document.

1 Evaluation of system performance of a mobile broadband wireless access technology  
 2 requires system simulation that accurately captures the dynamics of a multipath fading  
 3 environment and the architecture of the air-interface. The main simulation components  
 4 are illustrated in Figure 1.

## 5 2. System Simulation Requirements

### 6 2.1. Antenna Characteristics

7 This section specifies the antenna characteristics, e.g. antenna pattern, orientation, etc.  
 8 for antennas at the BS and the MS.

#### 9 2.1.1. BS Antenna

##### 10 2.1.1.1. BS Antenna Pattern

11



12  
 13  
 14  
 15 **Figure 2: Antenna pattern for 3-sector cells**

15 The antenna pattern used for each BS sector is specified as

16

$$A(\theta) = -\min \left[ 12 \left( \frac{\theta}{\theta_{3\text{dB}}} \right)^2, A_m \right] \quad (1)$$

17 where  $A(\theta)$  is the antenna gain in dBi in the direction  $\theta$ ,  $-180^\circ \leq \theta \leq 180^\circ$ , and  $\min [.]$   
 18 denotes the minimum function,  $\theta_{3\text{dB}}$  is the 3 dB beamwidth (corresponding to

1  $\theta_{3dB} = 70^\circ$ ), and  $A_m = 20$  dB is the maximum attenuation. Figure 2 shows the BS  
 2 antenna pattern for 3 sector cells to be used in system level simulations.  
 3

4 A similar pattern will be used for elevation in simulations that need it. In this case the  
 5 antenna pattern will be given by:

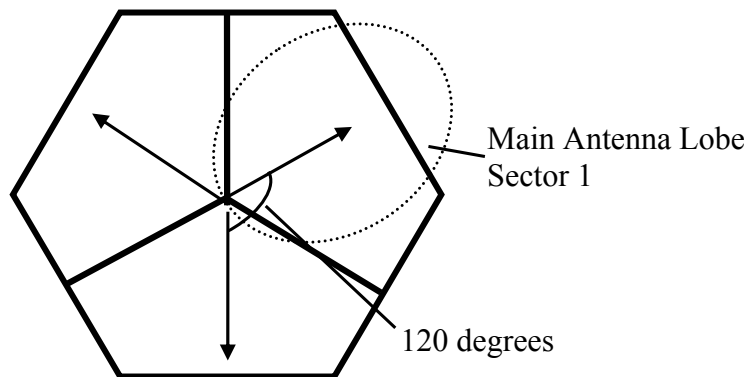
$$6 \quad A_e(\phi) = -\min \left[ 12 \left( \frac{\phi}{\phi_{3dB}} \right)^2, A_m \right] \quad (2)$$

7 where  $A_e(\phi)$  is the antenna gain in dBi in the elevation direction  $\phi$ ,  $-90^\circ \leq \phi \leq 90^\circ$ .  $\phi_{3dB}$   
 8 is the elevation 3 dB value, and it may be assumed to be  $15^\circ$ , unless stated otherwise.  
 9

10 The combined antenna pattern at angles off the cardinal axes is computed as  
 11  $A(\theta) + A_e(\phi)$ .

### 12 2.1.1.2. BS Antenna Orientation

13 The antenna bearing is defined as the angle between the main antenna lobe center and  
 14 a line directed due east given in degrees. The bearing angle increases in a clockwise  
 15 direction. Figure 3 shows the hexagonal cell and its three sectors with the antenna  
 16 bearing orientation proposed for the simulations. The center directions of the main  
 17 antenna lobe in each sector point to the corresponding side of the hexagon.



18  
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 Figure 3 : Antenna bearing orientation diagram.

21 A uniform linear antenna array is assumed at the BS with an inter-element spacing of 4  
 22 wavelengths. For cross-polarized antennas, an antenna array with an inter-element  
 23 spacing of 4 wavelengths is assumed with two co-located dual polarized elements and  
 24 XPD as defined in the CDL tables of Section 3.2.5.

### 25 2.1.2. MS Antenna

26 The MS antenna is assumed to be omni directional.  
 27

1 A uniform linear antenna array is assumed at the MS with an inter-element spacing of  
 2 1/2 wavelength. For cross-polarized antennas, an antenna array with an inter-element  
 3 spacing of 1/2 wavelength is assumed with two co-located dual polarized elements and  
 4 XPD as defined in the CDL tables of Section 3.2.5.

## 5 2.2. Simulation Assumptions

6 The purpose of this section is to outline simulation assumptions that proponents will  
 7 need to provide in order to facilitate independent assessment of their proposals. The  
 8 current tables for downlink and uplink simulation assumptions are templates that may  
 9 be extended for a complete description of simulation assumptions. Baseline simulation  
 10 assumptions are specified for calibration of system-level performance of the reference  
 11 system as defined by the 802.16m system requirement document. Additional or  
 12 different simulation assumptions may be used in the evaluation of an 802.16m system  
 13 proposal. These assumptions may also be used sometimes in reference system  
 14 simulations, especially for ensuring a fair comparison with the proposal. In this case,  
 15 sufficient details of the additional/different assumptions need to be provided by  
 16 proponents to allow independent verification.  
 17

Topic	Description	Baseline Simulation Assumptions	Proposal Specific Assumptions (To be provided by Proponent)
Basic modulation	Modulation schemes for data and control	QPSK, 16QAM, 64QAM	
Duplexing scheme	TDD, HD-FDD or FD-FDD	TDD	
Subchannelization	Subcarrier permutation	PUSC	
Resource Allocation Granularity	Smallest unit of resource allocation	PUSC: Non-STC: 1 slot, STC: 2 slots (1 slot = 1 subchannel x 2 OFDMA symbols)	
Downlink Pilot Structure	Pilot structure, density etc.	Specific to PUSC subchannelization scheme	
Multi-antenna Transmission Format	Multi-antenna configuration and transmission scheme	MIMO 2x2 (Adaptive MIMO Switching Matrix A & Matrix B) Beamforming (2x2)	
Receiver Structure	MMSE/ML/MRC/ Interference Cancellation	MMSE (Matrix B data zone) MRC (MAP, Matrix A data zone)	
Data Channel Coding	Channel coding schemes	Convolutional Turbo Coding (CTC)	



Control Channel Coding	Channel coding schemes and block sizes	Convolutional Turbo Coding (CTC), Convolutional Coding (CC) for FCH only	
Scheduling	Demonstrate performance / fairness criteria in accordance to traffic mix	Proportional fairness for full buffer data only *, 10 active users per sector, fixed control overhead of 6 symbols, 22 symbols for data, 5 partitions of 66 slots each, latency timescale 1.5s	
Link Adaptation	Modulation and Coding Schemes (MCS), CQI feedback delay / error	QPSK(1/2) with repetition 1/2/4/6, QPSK(3/4), 16QAM(1/2), 16QAM(3/4), 64QAM(1/2), 64QAM(2/3), 64QAM(3/4) 64QAM(5/6), CQI feedback delay of 3 frames, error free CQI feedback **	
Link to System Mapping	EESM/MI	MI (RBIR) ***	
HARQ	Chase combining/ incremental redundancy, synchronous/asynchronous, adaptive/non-adaptive ACK/NACK delay, Maximum number of retransmissions, retransmission delay	Chase combining asynchronous, non-adaptive, 1 frame ACK/NACK delay, ACK/NACK error, maximum 4 HARQ retransmissions, minimum retransmission delay 2 frames****	
Power Control	Subcarrier power allocation	Equal power per subcarrier	
Interference Model	Co-channel interference model, fading model for interferers, number of major interferers, threshold, receiver interference awareness	Average interference on used tones in PHY abstraction (Refer to Section 4.4.8)	
Frequency Reuse	Frequency reuse pattern	3 Sectors with frequency reuse of 1 *****	
Control Signaling	Message/signaling format, overheads	Compressed MAP with sub-maps	

**Table 1: System-level simulation assumptions for the downlink**

\* Details of PF scheduler implementation are given in Appendix F.

\*\* Refer to Section 5.2

\*\*\* EESM may be used for liaison with NGMN after beta values are calibrated.

\*\*\*\* HARQ retransmission shall occur no earlier than the third frame after the previous transmission.

\*\*\*\*\* All technical proposals shall use frequency reuse factor of 1. A coverage vs. capacity trade-off, as defined in Section 13.2.3.7 shall be shown for all 802.16m technical proposals evaluating other reuse schemes (e.g., frequency reuse of 3).

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Topic	Description	Baseline Simulation Assumptions	Proposal Specific Assumptions (To be filled by Proponent)
Basic Modulation	Modulation schemes for data and control	QPSK, 16QAM	
Duplexing Scheme	TDD, HD-FDD or FD-FDD	TDD	
Subchannelization	Subcarrier permutation	PUSC	
Resource Allocation Granularity	Smallest unit of resource allocation	PUSC: 1 slot, (1 slot = 1 subchannel x 3 OFDMA symbols)	
Uplink Pilot Structure	Pilot structure, density etc.	Specific to PUSC subchannelization scheme	
Multi-antenna Transmission Format	Multi-antenna configuration and transmission scheme	Collaborative SM for two MS with single antenna	
Receiver Structure	MMSE/ML Interference cancellation	MMSE	
Data Channel Coding	Channel coding schemes	Convolutional Turbo Coding (CTC)	
Control Channel Coding	Channel coding schemes	CDMA Codes (PUSC 2 symbols) for initial ranging and handover, CDMA Codes (PUSC 1 symbol) for periodic ranging and bandwidth request, CQICH (6 bits)	
Scheduling	Demonstrate performance / fairness criteria in accordance to traffic mix	Proportional fairness for full buffer data only *, 10 active users per sector, fixed control overhead of 3 symbols, 15 symbols for data, 5 partitions of 35 slots each, latency timescale 1.5s	
Link Adaptation	Modulation and Coding Schemes (MCS)	QPSK(1/2) with repetition 1/2/4/6, QPSK(3/4), 16QAM(1/2), 16QAM(3/4)	
Link to System Mapping	EESM/MI	MI(RBIR) **	

HARQ	Chase combining/ incremental redundancy, synchronous asynchronous, adaptive/non-adaptive ACK/NACK delay, maximum number of retransmissions, retransmission delay	Chase combining asynchronous, non-adaptive, ACK/NACK delay N/A, ACK/NACK error, maximum 4 HARQ retransmissions, minimum retransmission delay 2 frames***	
Power Control	Open loop / closed loop		
Interference Model	Co-channel interference model, fading model for interferers, number of major interferers, threshold, receiver interference awareness	Average interference on used tones in PHY abstraction (Refer to Section 4.4.8)	
Frequency Reuse	Frequency reuse pattern	3 Sectors with frequency reuse of 1 ****	
Control Signaling	Message/signaling format, overheads	Initial ranging, periodic ranging, handover ranging, bandwidth request, fast feedback/CQI channel, sounding	

**Table 2: System-level simulation assumptions for the uplink**

\* Details of PF scheduler implementation are given in Appendix F.

\*\* EESM may be used for liaison with NGMN after beta values are calibrated.

\*\*\* HARQ retransmission shall occur no earlier than the third frame after the previous transmission.

\*\*\*\* All technical proposals shall use frequency reuse factor of 1. A coverage vs. capacity trade-off, as defined in Section 13.2.3.7 shall be shown for all 802.16m technical proposals evaluating other reuse schemes (e.g., frequency reuse of 3).

### 2.3. Test Scenarios

The following table summarizes the test environments and associated assumptions and parameters that are required for system level simulations. SRD Requirements must be met for TDD and FDD. Proponents are required to present performance results for the baseline configuration as defined in Table 3.

Case 1: Baseline Configuration, uncorrelated antennas at both BS and MS

Case 2: Baseline Configuration, uncorrelated antennas at MS, correlated antennas at BS (Section 3.2.9)

Test scenarios for evaluation of IMT-Advanced candidate radio interface technologies are defined in [84].

Scenario/ Parameters	Baseline Configuration (Calibration & SRD) TDD and FDD	NGMN Configuration TDD and FDD	Urban Macrocell TDD and FDD
Requirement	Mandatory	Optional *	Optional
Site-to-Site Distance	1.5 km	0.5 km	1 km
Carrier Frequency	2.5 GHz	2.5 GHz	2.5 GHz
Operating Bandwidth	10 MHz for TDD / 10 MHz per UL and DL for FDD	10 MHz for TDD / 10 MHz per UL and DL for FDD	10 MHz for TDD / 10 MHz per UL and DL for FDD
BS Height	32 m	32 m	32 m
BS Tx Power per sector	46 dBm	46 dBm	46 dBm
MS Tx Power	23 dBm	23 dBm	23 dBm
MS Height	1.5 m	1.5 m	1.5 m
Penetration Loss	10 dB	20 dB	10 dB
Path Loss Model	Loss (dB) = $130.19+37.6\log_{10}(R)$ (R in km) **	Loss (dB) = $130.19+37.6\log_{10}(R)$ (R in km) **	Refer to Section 3.2.3.1
Lognormal Shadowing Std. Dev.	8 dB	8 dB	8 dB
Correlation Distance for Shadowing	50m	50m	50m
Mobility	0-120 km/hr	0-120 km/hr	0-120 km/hr
Channel Mix	ITU Ped B 3 km/hr – 60% ITU Veh A 30 km/hr – 30% ITU Veh A 120 km/hr – 10% (Refer to Section 3.2.9 ***)	Low Mobility: 3km/hr UL: Typical Urban, DL: SCM-C Mixed Mobility: ITU Ped B 3 km/hr – 60% ITU Veh A 30 km/hr – 30% ITU Veh A 120 km/hr – 10% (Refer to Section 3.2.9 ***)	3 km/hr – 60% 30 km/hr – 30% 120 km/hr – 10%
Spatial Channel Model	ITU with spatial correlation (Refer to Section 3.2.9 ***)	Low Mobility: 3km/hr SCM, Mixed Mobility: ITU with spatial correlation (Refer to Section 3.2.9 ***)	Urban Macrocell CDL (Refer to Table 9 in Section 3.2.5.1) with spatial correlation (Appendix A)
Error Vector Magnitude (EVM)	30 dB	N/A	30 dB

Table 3: Test scenarios

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2 \* Used for liaison with NGMN

3 \*\* Refer to Section 3.2.3.8

4 \*\*\* Wideband extension to the ITU Power Delay Profiles in Table 23 must be used.

## 5 2.4. Reference System Calibration

6 The purpose of this section is to provide guidelines for simulation parameters that  
7 proponents will need to use in order to evaluate performance gains of their proposals  
8 relative to the reference system as defined in the 802.16m requirements document. The  
9 purpose of calibration is to ensure that, under a set of common assumptions and  
10 models, the simulator platforms that will be used by various proponents can produce  
11 results that are similar.

### 12 2.4.1. Base Station Model

13

Parameter	Description	Value
$P_{BS}$	MAX transmit power per sector/carrier	46 dBm @ 10 MHz bandwidth
$H_{BS}$	Base station height	32m
$G_{BS}$	Gain (boresight)	17 dBi
$S$	Number of sectors	3
$\theta_{BS}$	3-dB beamwidth	$S = 3 : \theta_{BS} = 70^{\circ}$
$G_{FB}$	Front-to-back power ratio	20 dB
$M_{TX}$	Number of transmit antennas	2
$M_{RX}$	Number of receive antennas	2
$d_{BS}$	BS antenna spacing	$4\lambda$
$NF_{BS}$	Noise figure	5 dB
$HW_{BS}^*$	Cable loss	2 dB

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16  
17 **Table 4: BS equipment model**

\* Implementation loss must be justified and accounted for separately.

### 2.4.2. Mobile Station Model

Parameter	Description	Value
$P_{SS}$	RMS transmit power/per SS	23 dBm
$H_{SS}$	Subscriber station height	1.5 m
$G_{SS}$	Gain (boresight)	0 dBi
$\{\theta_{SS}\}, G(\{\theta_{SS}\})$	Gain as a function of Angle-of-arrival	Omni
$N_{TX}$	Number of transmit antennas	1
$N_{RX}$	Number of receive antennas	2
$d_{SS}$	SS antenna spacing	$\lambda / 2$
$NF_{SS}$	Noise figure	7 dB
$HW_{SS}^*$	Cable Loss	0 dB

Table 5: MS equipment model

\* Implementation loss must be justified and accounted for separately.

### 2.4.3. OFDMA Parameters

Parameter	Description	Value : 802.16e Reference System	Value: 802.16m
$f_c$	Carrier frequency	2.5 GHz	
$BW$	Total bandwidth	10 MHz	
$N_{FFT}$	Number of points in full FFT	1024	
$F_S$	Sampling frequency	11.2 MHz	
$\Delta_f$	Subcarrier spacing	10.9375 kHz	
$T_o = 1/\Delta_f$	OFDMA symbol duration without cyclic prefix	91.43 us	

$CP$	Cyclic prefix length (fraction of $T_o$ )	1/8	
$T_s$	OFDMA symbol duration with cyclic prefix	102.86 us for CP=1/8	
$T_F$	Frame length	5 ms	
$N_F$	Number of OFDMA symbols in frame	47	
$R_{DL-UL}$	Ratio of DL to UL (TDD mode)	Full buffer data only: 29 symbols: 18 symbols VoIP only: DL to UL ratio suitably chosen to support bidirectional VoIP	
$T_{duplex}$	Duplex time	TTG: 296 PS for 10 MHz RTG: 168 PS for 10 MHz PS = $4 / F_S$	
$DL_{Perm}$	DL permutation type	PUSC	
$UL_{Perm}$	UL permutation type	PUSC	

1  
2 **Table 6: OFDMA air interface parameters**

3 **3. Channel Models**

4 **3.1. Introduction**

5 Channel models suitable for evaluation of 802.16m system proposals are described in  
6 this section, wherein the model considers parameters specific to 802.16m including  
7 bandwidths, operating frequencies, cell scenario (environment, cell radius, etc), and  
8 multi-antenna configurations. Both system level and link level models are described in  
9 detail with a purpose of fulfilling the needs to conduct effective link- and system-level  
10 simulations that can generate trustworthy and verifiable results to assess performance  
11 related to the 802.16m system requirements.

12 Section 3.1.1, Section 3.1.2, Section 3.1.3 and Section 3.1.4 are informative only. The  
13 detailed specifications of system and link level models are in section 3.2. Section 3.2.9  
14 describes the channel model to be used for calibration and baseline simulations as  
15 defined in the test scenarios in Table 3.

16 Channel models for evaluation of IMT-Advanced candidate radio interface technologies  
17 are defined in [84]. Mandatory channel model parameters for evaluation of radio  
18 interface technologies for the scenarios Indoor Hotspot, Urban Micro-cell, Urban Macro-  
19 cell, and Rural Macro-cell are contained in the Primary Module of IMT-Advanced  
20 channel model [84].

### 1 3.1.1. General Considerations (Informative)

2 The channel models defined in this document are to provide sufficient details for the  
3 purpose of evaluating the system proposals to 802.16m. Since 802.16m is also  
4 targeting IMT-Advanced, the system requirements, deployment scenario, and  
5 operational bandwidth and frequency of a future IMT-advanced system should also be  
6 considered.

7 In the ITU-R recommendation ITU-R M.1645 the framework for systems beyond IMT-  
8 2000 (IMT-Advanced) envisions data rates of up to 1Gbps for nomadic/local area  
9 wireless access, and up to 100 Mbps for mobile access. As a reference, the European  
10 WINNER project has devised a method for determining spectrum requirements for IMT-  
11 Advanced, and their conclusions are given in [1]. In that report it is stated that in order to  
12 achieve the above performance targets of IMT-Advanced, sufficiently wide bandwidth  
13 and possibly multiple such wideband RF channels may be needed. Candidate bands for  
14 IMT-Advanced are to be considered in 2007 at the WRC-07 conference. When  
15 considering candidate bands, the WINNER report further suggests that the utilization of  
16 bands above 3 GHz may be necessary, but these bands could present significant  
17 technical challenges if used for wide area mobile access, due to the increase in path  
18 loss with frequency.

19 The terrain environment in which 802.16m systems may be deployed (i.e., outdoor,  
20 indoor, macro-, micro-, and pico-cell, etc.) dictates the channel modeling, affecting not  
21 only parameters but also the model itself. Therefore, channel modeling needs to  
22 consider various radio environments and propagation scenarios in which 802.16m  
23 system may be deployed.

### 24 3.1.2. Overview of Channel Modeling Methodology (Informative)

25 The channel behavior is described by its long-term and short-term fading characteristics  
26 where the former often depends on the geometrical location of a user in a wireless  
27 network and the latter defines the time-variant spatial channels.

28 In general, there are two ways of modeling a channel: *deterministic* and *stochastic* [2].  
29 The deterministic category encompasses all models that describe the propagation  
30 channel for a specific transmitter location, receiver location, and environment.  
31 Deterministic channel models are site-specific, as they clearly depend on the location of  
32 transmitter, receiver, and the properties of the environment. They are therefore most  
33 suitable for network planning and deployment.

34 In many cases, it is not possible or desirable to model the propagation channel in a  
35 specific environment. Especially for system testing and evaluation, it is more  
36 appropriate to consider channels that reflect “typical”, “best case”, and “worst case”  
37 propagation scenarios. A stochastic channel model thus prescribes *statistics* of the  
38 channel impulse responses (or their equivalents), and during the actual simulation,  
39 impulse responses are generated as *realizations* according to those statistics.

40 For a simulation-based study, stochastic channel modeling is more suitable. Almost all  
41 the existing channels models are stochastic ones, such as the SUI model proposed for  
42 IEEE 802.16d [3], the ITU model for IMT-2000 [4], the 3GPP SCM model [5][6][7] and



1 SCME (Spatial Channel Model Extensions) model [8], the COST 259 model [9][10][11],  
2 the COST 273 model[12], and the WINNER model[13].

3 Essential to the evaluation of multiple-antenna techniques, which are envisioned to be a  
4 key enabling technology for 802.16m and IMT-Advanced, is the modeling of MIMO  
5 channels that can be represented as double-directional channels [15] or as vector (or  
6 matrix) channels[14]. The former representation is more related to the physical  
7 propagation effects, while the latter is more on the “mathematical” effect of the channel  
8 on the system [16]. The double-directional model is a physical model in which the  
9 channel is constructed from summing over multiple waves or rays. Thus it can also be  
10 referred to as a “ray-based model”. The vector or matrix channel is a mathematical or  
11 analytical model in which the space-time channel as seen by the receiver is constructed  
12 mathematically, assuming certain system and antenna parameters. In this approach,  
13 the channel coefficients are correlated random process in both space and time, where  
14 the correlation is defined mathematically.

15 A realization of a *double-directional channel* is characterized by its double-directional  
16 impulse response. It consists of  $N$  propagation waves between the transmitter and the  
17 receiver sites. Each wave is delayed in accordance to its excess-delay  $\tau_\ell$ , weighted  
18 with the proper complex amplitude  $a_\ell e^{j\phi_\ell}$ . Note that the amplitude is a two-by-two  
19 matrix, since it describes the vertical and horizontal polarizations and the cross-  
20 polarization; neglecting a third possible polarization direction is admissible in macro-  
21 and microcells. Finally, the waves are characterized by their Angle of Departure (AoD)  
22  $\Omega_{T,\ell}$  and Angle of Arrival (AoA)  $\Omega_{R,\ell}$ .<sup>\*</sup> The channel impulse response matrix  $\underline{h}$ ,  
23 describing horizontal and vertical polarization is then

$$24 \quad \underline{h}(t, \tau, \Omega_T, \Omega_R) = \sum_{\ell=1}^N \underline{h}_\ell(t, \tau, \Omega_T, \Omega_R) = \sum_{\ell=1}^N \underline{a}_\ell e^{j\phi_\ell} \delta(\tau - \tau_\ell) \delta(\Omega - \Omega_{T,\ell}) \delta(\Psi - \Omega_{R,\ell}) \quad (3)$$

25 The number of waves  $N$  can become very large if all possible paths are taken into  
26 account; in the limit, the sum has to be replaced by an integral. For practical purposes,  
27 waves that are significantly weaker than the considered noise level can be neglected.  
28 Furthermore, waves with similar AoDs, AoAs, and delays can also be merged into  
29 “effective” paths, known also as taps.

30 In general, all multipath parameters in the channel impulse response,  $\tau_\ell, \Omega_{R,\ell}, \Omega_{T,\ell}, \underline{a}_\ell$ ,  
31 and  $e^{j\phi_\ell}$  will depend on the absolute time  $t$ ; also the set of waves or multipath  
32 components (MPCs) contributing to the propagation will vary,  $N \rightarrow N(t)$ . The variations  
33 with time can occur both because of movements of scatterers, and movement of the  
34 mobile station or MS (the BS is assumed fixed).

35 A mathematical wideband *matrix* channel response describes the channel from a  
36 transmit to a receive antenna array. It is characterized by a matrix  $\underline{H}$  whose elements

---

<sup>\*</sup>We stress that the (double-directional) channel is reciprocal. While the directions of multipath components at the base station and at the mobile station are different, the directions at one link end for the transmit case and the receive case must be identical. When we talk in the following about AoAs and AoDs, we refer to the directions at two different link ends.

1  $H_{ij}$  are the (non-directional) impulse responses from the  $j$ -th transmit to the  $i$ -th  
 2 receive antenna element. They can be computed for any antenna constellation as

$$3 \quad H_{i,j} = h(\tau, \vec{x}_{R,i}, \vec{x}_{T,j}) = \sum_{\ell=1}^N \vec{g}_R(\Omega_R) \cdot \underline{h}(\tau_\ell, \Omega_{R,\ell}, \Omega_{T,\ell}) \cdot \vec{g}_T(\Omega_T) \cdot e^{j\langle \vec{k}(\varphi_{R,\ell}) \vec{x}_{R,i} \rangle} e^{j\langle \vec{k}(\varphi_{T,\ell}) \vec{x}_{T,j} \rangle}, \quad (4)$$

4 where  $\vec{x}_R$  and  $\vec{x}_T$  are the vectors of the chosen element-position measured from an  
 5 arbitrary but fixed reference points  $\vec{x}_{R,0}$  and  $\vec{x}_{T,0}$  (e.g., the centers of the arrays) and  $\vec{k}$   
 6 is the wave vector so that

$$7 \quad \langle \vec{k}(\Omega) \cdot \vec{x} \rangle = \frac{2\pi}{\lambda} (x \cos \vartheta \cos \varphi + y \cos \vartheta \sin \varphi + z \sin \vartheta). \quad (5)$$

8 where  $\vartheta$  and  $\varphi$  denote elevation and azimuth, respectively. The functions  $\vec{g}_R(\Omega_R)$  and  
 9  $\vec{g}_T(\Omega_T)$  are the antenna patterns at transmitter and receiver, respectively, where the  
 10 two entries of the vector  $\vec{g}$  describe the antenna pattern for horizontal and vertical  
 11 polarization.

### 12 3.1.3. Calibration Model (Informative)

13 A link level channel model is used mainly for calibrating point-to-point MIMO link  
 14 performance at various SINR points of interest, with extensions to multiple links in the  
 15 case of interference. Note that any particular link level channel does not contain the  
 16 information of large-scale fading or how often a particular kind of link condition occurs in  
 17 a wireless system.

18 A link level channel can be naturally developed as a typical representation of a  
 19 propagation scenario under a particular system setting (e.g., a macrocell outdoor  
 20 system with a representative BS and MS antenna configuration). A link-level channel  
 21 modeling methodology should be consistent with the system level modeling  
 22 methodology.

23 Conventional Tapped Delay Line (TDL) models, such as the three-tap ones used for the  
 24 IEEE 802.16d SUI TDL [3] and the six-tap ITU models for IMT-2000 [4], need to be  
 25 extended to include the spatial channel modeling to capture the relationship among all  
 26 the channels between multiple transmit and receive antennas. For example, SCME  
 27 models [8] define TDLs where each tap consists of multiple rays in the space that can  
 28 be further grouped into 3 or 4 mid-taps. WINNER II clustered delay line (CDL) models  
 29 [13] for systems beyond-3G also defined delay line model with additional angular  
 30 information specified for each tap.

31 A few important observations need to be considered:

- 32
- 33 1. The six-tap ITU models were developed for 5 MHz bandwidth channels, and as  
 34 the bandwidth increases, the resolution in the delay domain increases so that  
 35 more taps are required for higher bandwidth channel models. Each resolvable  
 36 tap consists of a number of multipath components so that the tap fades as the  
 37 mobile moves. As bandwidth increases there will be fewer multipath components  
 38 per resolvable tap so that the fading characteristics of the taps are likely to  
 39 change. The tap fading is likely to become more Ricean in nature (i.e., increasing

1 K-factor with bandwidth) and the Doppler spectrum will not have the classic  
2 “bathtub” shape. This also means that the coherence times or distances for the  
3 tap fading will most likely be longer for higher bandwidths. The above  
4 observation suggests that measurement data under bandwidths up to 100MHz  
5 needs to be collected and analyzed to obtain the appropriate channel statistics  
6 which may vary according to transmission bandwidth.  
7

- 8 2. The model should be flexible to incorporate various antenna effects such as the  
9 potential antenna gain imbalance, antenna coupling, and polarization. Ideally the  
10 model would include both azimuth and elevation angle (i.e., antenna tilt).

#### 11 **3.1.4. System Level Channel Modeling Considerations (Informative)**

12 System level simulation is a tool widely used to understand and assess the overall  
13 system performance. In system-level modeling, all possible link conditions are modeled  
14 along with their occurrence probability. System models include additionally the large-  
15 scale location-dependent propagation parameters such as path loss and shadowing, as  
16 well as the relationship among multiple point-to-point links.

17 Channel models that allow effective and efficient system level simulations are of  
18 particular interest in the evaluation methodology discussion. In a typical system level  
19 simulation, the geometry of a wireless deployment is first defined (e.g., typically a  
20 cellular topology is assumed), based on which the long-term fading behaviors and large-  
21 scale parameters are derived. After that, the short-term time-variant spatial fading  
22 channels are generated.

23 As mentioned previously, there are in general two types of methodologies to generate  
24 short-term fading channels. The first is a physical model in which the channel is  
25 constructed from summing over multiple rays that are parameterized according to the  
26 geometrics. The physical modeling is independent of the antenna configuration, which  
27 means that the actual mathematical channel perceived by a receiver will need to further  
28 incorporate the antenna configuration, traveling speed, velocity, and so on.

29 As an example of a physical model, the 3GPP SCM model [5] has been widely used in  
30 system simulation. It models the physical propagation environment using paths and  
31 sub-paths with randomly specified angles, delays, phases, and powers. The MIMO  
32 channel coefficients for simulation are derived after defining the antenna configuration  
33 and array orientation at both MS and BS. Time-variation is realized after defining MS  
34 travel direction and speed. Other ray-based channel models for system level simulation  
35 include, but not limited to, SCME [8] and WINNER channel model [13]. The ray-based  
36 physical models are powerful as they are independent from any particular assumption of  
37 antenna configurations.

38 The other modeling methodology is mathematical or analytical modeling in which the  
39 space-time channel as seen by the receiver is constructed mathematically, assuming  
40 certain system and antenna parameters. In this method, the channel coefficients are  
41 correlated random process in both space and time, where the correlation is defined  
42 mathematically.

1 Mathematical modeling tries to analytically model the statistical behavior of a channel,  
2 represented by probability distributions and power profiles of delays and angles. On the  
3 other hand, in a ray-based modeling, the statistical behavior is satisfied through the  
4 summation of multiple rays with random parameters. The two approaches can be  
5 viewed as two different simulation implementations, especially if they are based on the  
6 same probability distributions and power profiles. The system performance results are  
7 expected to be very close with both models.

8 Both approaches could be considered for system simulation purpose. A few important  
9 considerations for system simulations are:

- 10  
11 • *Simulation run-time.* A system level simulation typically involves the generation of  
12 spatial channels from a MS position to multiple base stations (e.g., 19 cells or 57  
13 sectors in a three-sector cellular network). Multi-user scheduling is also  
14 commonly simulated, in which the channel conditions of multiple MSs (e.g., 10,  
15 20, or more) are required in the scheduler to determine how to distribute  
16 resources among them. Therefore, it is important if a model can result in the  
17 reduction of run-time without sacrificing the truthfulness to reality.
- 18  
19 • *Consistency with link-level models.* Link level models should reflect particular  
20 (e.g., typical) link conditions experienced in various propagation scenarios. A link  
21 level study relies on the system level model to understand the likelihood of the  
22 particular link condition, while system level study sometimes relies on the link-  
23 level study results in order to model the actual link performance.
- 24  
25 • *Comparison of results and statistical convergence.* A channel model should  
26 facilitate comparison of system study results from independent sources. A  
27 channel model should ensure the statistical behavior of a channel to converge  
28 quickly without having to run a larger number of realizations (run-time concern).  
29 As an example, if a model defines some second order statistics as random  
30 variables themselves (e.g., angular spread, delay spread, etc.), the simulation  
31 may require more realizations and thus longer time to get convergence.

### 32 **3.2. System Level Channel Model**

33 This section focuses on the system-level simulation procedure and parameters for  
34 modeling the long- and short-term behavior of spatial channels between a MS and one  
35 or more BSs. The procedure and all the required parameters for the purposes of  
36 simulation will be described in sufficient detail.

37 For assumptions and parameters related to test scenarios, as required in system level  
38 simulation, refer to Section 2 of this evaluation methodology document. The deployment  
39 parameters include, among others, cell radius and topology, BS transmission power, BS  
40 antenna pattern, orientation, height, gain, and front-to-back ratio, MS transmission  
41 power, MS antenna pattern, height, and gain.

42 Once the deployment parameters are specified, a system level simulation typically  
43 involves the random drop of users in a radio environment of interest. The set of users

1 comprises of a specified mix of different speeds and channel scenarios. Then, the long-  
2 term parameters of the link between a set of BS and a MS, such as path loss and  
3 shadowing factor, are generated. The short-term time-varying spatial fading channel  
4 coefficients are generated in the final step. Typically, multiple links between an MS and  
5 multiple BSs are needed, among which there are multiple desired links (at least one)  
6 and multiple interference links. The shadowing factor of these links can be correlated.  
7 Following the introduction of the general approach to spatial channel modeling, the  
8 remaining subsections will define the channel modeling procedure and parameters, as  
9 well as channel scenarios and speed mix recommended for system simulation.

### 10 3.2.1. Spatial Channel Modeling

11 The general modeling approach is based on the geometry of a network layout. The  
12 large-scale parameters such as path loss and shadowing factor are generated  
13 according to the geometric positions of the BS and MS. Then the statistical channel  
14 behavior is defined by some distribution functions of delay and angle and also by the  
15 power delay and angular profiles. Typically, an exponential power delay profile and  
16 Laplacian power angular profile are assumed with the function completely defined once  
17 the RMS delay spread and angular spread (both Angle of Departure (AoD) and Angle of  
18 Arrival (AoA)) are specified. The RMS delay and angular spread parameters can be  
19 random variables themselves, with a mean and deviation as in SCM. The RMS delay  
20 and angular spread can be mutually correlated, together with other large-scale  
21 parameters such as shadowing factors.

22 According to the exact profile and distribution functions defined by the particular RMS  
23 delay and angular spread values, a finite number of channels taps are generated  
24 randomly with a per-tap delay, mean power, mean AoA and AoD, and RMS angular  
25 spread. They are defined in a way such that the overall power profile and distribution  
26 function are satisfied. Each tap is the contribution of a number of rays (plane waves)  
27 arriving at the same time (or roughly the same time), with each ray having its own  
28 amplitude, AoA, and AoD.

29 The number of taps and their delay and angles may be randomly defined, but a  
30 reduced-complexity model can specify the delays, mean powers, and angles of the  
31 channel taps in a pre-determined manner when typical values are often chosen. Similar  
32 to the well-known TDL version of the WSSUS (Wide-Sense Stationary Uncorrelated  
33 Scattering) model, where the power delay profile is fixed, a "spatial" TDL reduced-  
34 complexity model additionally defines the spatial information such as per-tap mean AoA,  
35 AoD, and per-tap angular spread (thus the power angular profile). Spatial TDL models  
36 are also referred to as Cluster Delay Line or CDL models as each tap is modeled as the  
37 effect of a cluster of rays arriving at about the same time. Each tap suffers from fading in  
38 space and over time. The spatial fading process will satisfy a pre-determined power  
39 angular profile. Due to the simplicity of reduced complexity modeling, it is recommended  
40 for system level simulation.

41 The actual realization of a time-varying spatial channel can be performed in two ways:

- 42 • Ray-based: The channel coefficient between each transmit and receive antenna  
43 pair is the summation of all rays at each tap and at each time instant, according

1 to the antenna configuration, gain pattern, and the amplitude, AoA, AoD of each  
 2 ray. The temporal channel variation depends on the traveling speed and  
 3 direction relative to the AoA/AoD of each ray.

- 4 • Correlation based: The antenna correlation for each tap is computed first  
 5 according to the per-tap mean AoA/AoD, per-tap power angular profile, and  
 6 antenna configuration parameters (e.g., spacing, polarization, etc.). The per-tap  
 7 Doppler spectrum depends on the traveling speed and direction relative to the  
 8 mean per-tap AoA/AoD, as well as the per-tap power angular profile. The MIMO  
 9 channel coefficients at each tap can then be generated mathematically by  
 10 transforming typically the i.i.d. Gaussian random variables according to the  
 11 antenna correlation and the temporal correlation (correspondingly the particular  
 12 Doppler spectrum). The approach of pre-calculating and storing all the  
 13 correlations and time-varying fading processes may also be used in system  
 14 simulation.

15 Correlation based method should be used as the mandatory baseline channel  
 16 modeling approach.

### 17 3.2.2. Radio Environment and Propagation Scenarios

18 The terrain or radio environment, such as indoor, urban, or suburban, dictates the radio  
 19 propagation behavior. Even in similar terrain environments, there may be different  
 20 propagation behavior or scenarios.

21 For the simulation of IEEE 802.16m systems, the following test scenarios are defined:

- 22 1. **Urban Macrocell (Optional)**: In a typical urban Macrocell, a mobile station is  
 23 located outdoors at street level with a fixed base station clearly above  
 24 surrounding building heights. As for propagation conditions, non- or obstructed  
 25 line-of-sight is a common case, since street level is often reached by a single  
 26 diffraction over the rooftop. The building blocks can form either a regular  
 27 Manhattan type of grid, or have more irregular locations. Typical building heights  
 28 in urban environments are over four floors. Buildings height and density in typical  
 29 urban macrocell are mostly homogenous. As a variant, the *optional bad urban*  
 30 **macrocell** describes cities with buildings with distinctly inhomogeneous building  
 31 heights or densities. The inhomogeneities in city structures can be the result of,  
 32 for example, large water areas separating the built-up areas, or the high-rise  
 33 skyscrapers in an otherwise typical urban environment. Increased delay and  
 34 angular dispersion can also be caused by mountains surrounding the city. The  
 35 base station is typically located above the average rooftop level, but within its  
 36 coverage range there can also be several high-rise buildings exceeding the base  
 37 station height. From the modeling point of view this differs from typical urban  
 38 macrocell by an additional far scatterer cluster.
- 39 2. **Suburban Macrocell (Optional)**: In suburban macrocells, base stations are  
 40 located well above the rooftops to allow wide area coverage, and mobile stations  
 41 are outdoors at street level. Buildings are typically low residential detached  
 42 houses with one or two floors, or blocks of flats with a few floors. Occasional  
 43 open areas such as parks or playgrounds between the houses make the

1 environment rather open. Streets do not form urban-like regular strict grid  
2 structure. Vegetation is modest.

- 3 3. **Urban Microcell (Optional)**: In the urban microcell scenario, the heights of both  
4 the antenna at the BS and that at the MS are assumed to be well below the tops  
5 of surrounding buildings. Both antennas are assumed to be outdoors in an area  
6 where streets are laid out in a Manhattan-like grid. The streets in the coverage  
7 area are classified as “the main street”, where there is LOS from all locations to  
8 the BS, with the possible exception of cases in which LOS is temporarily blocked  
9 by traffic (e.g. trucks and busses) on the street. Streets that intersect the main  
10 street are referred to as perpendicular streets, and those that run parallel to it are  
11 referred to as parallel streets. This scenario is defined for both LOS and NLOS  
12 cases. Cell shapes are defined by the surrounding buildings, and energy reaches  
13 NLOS streets as a result of propagation around corners, through buildings, and  
14 between them. The *optional Bad Urban Microcell* scenarios are identical in  
15 layout to Urban Microcell scenarios. However, propagation characteristics are  
16 such that multipath energy from distant objects can be received at some  
17 locations. This energy can be clustered or distinct, has significant power (up to  
18 within a few dB of the earliest received energy), and exhibits long excess delays.  
19 Such situations typically occur when there are clear radio paths across open  
20 areas, such as large squares, parks or bodies of water.
- 21 4. **Indoor Small Office (Optional)**: This scenario investigates isolated cells for  
22 home or small office coverage. In a typical small office environment, there are  
23 multiple floors and multiple rooms or areas.
- 24 5. **Outdoor to Indoor (Optional)**: This scenario is the combination of an outdoor  
25 and an indoor scenario such as **urban microcell** and **indoor small office**. In this  
26 particular combination, the MS antenna height is assumed to be at 1 – 2 m (plus  
27 the floor height), and the BS antenna height below roof-top, at 5 - 15 m  
28 depending on the height of surrounding buildings (typically over four floors high).
- 29 6. **Indoor Hotspot (Optional)**: This scenario concentrates on the propagation  
30 conditions in a hotspot in the urban scenario with much higher traffic as in  
31 conference halls, shopping malls and teaching halls. The indoor hotspot scenario  
32 is also different from the indoor office scenario due to building structures.
- 33 7. **Open Rural Macrocell (Optional)**: In rural open area, there is low building  
34 density; the height of the BS antenna is much higher than the average building  
35 height. Depending on terrain, morphology and vegetation, LOS conditions might  
36 exist in most of the coverage area.

### 37 3.2.3. Path Loss

38 The path loss model depends on the propagation scenario. For example, in a macrocell  
39 environment, the COST-231 modified Hata model [18] is well known and widely used for  
40 systems with a carrier frequency less than or equal to 2.5 GHz. The Erceg-Greenstein  
41 model [3] was proposed in IEEE 802.16a for carrier frequencies up to 3.5 GHz.  
42 Extensions to these path loss models to carrier frequencies above 3.5 GHz are also  
43 proposed in the WINNER model [13].

1 For the evaluation of IEEE 802.16m systems, the following path loss models are  
2 specified:

### 3 3.2.3.1. Urban Macrocell (Optional)

4 With default BS and MS heights of 32m and 1.5m respectively, and as derived in  
5 Appendix H, the modified COST 231 Hata path loss model for the urban macrocell at  
6 carrier frequency  $f$  [GHz] ( $2 < f < 6$ ) is given by  
7

$$8 \quad PL_{urban\_macro} [dB] = 35.2 + 35 \log_{10}(d) + 26 \log_{10}(f/2) \quad (6)$$

9 where  $d$  in meters is the distance from the transmitter to the receiver.

### 10 3.2.3.2. Suburban Macrocell (Optional)

11 With default BS and MS heights of 32m and 1.5m respectively, and as shown in  
12 Appendix H, the modified COST 231 Hata path loss model for the suburban microcell at  
13 carrier frequency  $f$  [GHz] ( $2 < f < 6$ ) is given by  
14

$$14 \quad PL_{suburban\_macro} [dB] = PL_{urban\_macro} - 2[1.5528 + \log_{10}(f)]^2 - 5.4 \quad (7)$$

### 15 3.2.3.3. Urban Microcell (Optional)

#### 16 LOS case:

17 With default BS and MS heights of 12.5m and 1.5m respectively, and as shown in  
18 Appendix H the path loss model for the urban microcell with LOS [20] at carrier  
19 frequency  $f$  [GHz] is given by  
20

$$20 \quad PL_{urban\_micro\_LOS} [dB] = 32.4418 + 20 \log_{10}(f) + 20 \log_{10}(d) + 0.0174d + 20 \log_{10}(\max(0.013d/f, 1)) \quad (8)$$

21 where  $d$  in meters is the distance from the transmitter to the receiver.  
22

#### 23 NLOS Case:

24 With default BS and MS heights of 12.5m and 1.5m respectively, and as shown in  
25 Appendix H, the path loss model for the urban microcell with NLOS [20] at carrier  
26 frequency  $f$  in GHz is given by  
27

$$27 \quad PL_{urban\_micro\_NLOS} [dB] = \min(PL_{over\_the\_rooftop}, PL_{Berg}) \quad (9)$$

28 Where

$$29 \quad PL_{over\_the\_rooftop} = 24 + 45 \log_{10}(r_{Eu} + 20) \quad (10)$$

$$31 \quad PL_{Berg} = 32.4418 + 20 \log_{10}(f) + 20 \log_{10}(d_n) + 20 \log_{10}(\max(R/r_{bp}, 1)) + 20 \log_{10}(R) + 0.0174R \quad (11)$$

$$32 \quad r_{bp} = \min\{76.67f, r_0\},$$

33 and  
34

35  $R = \sum_{j=1}^n r_{j-1}$  is the distance along streets between transmitter and receiver.

36 The distance  $r_j$  is the length of the street between nodes  $j$  and  $j+1$  (there are  $n+1$  nodes  
37 in total) and  $r_{Eu}$  is the Euclidean distance in meters from the transmitter to the receiver.

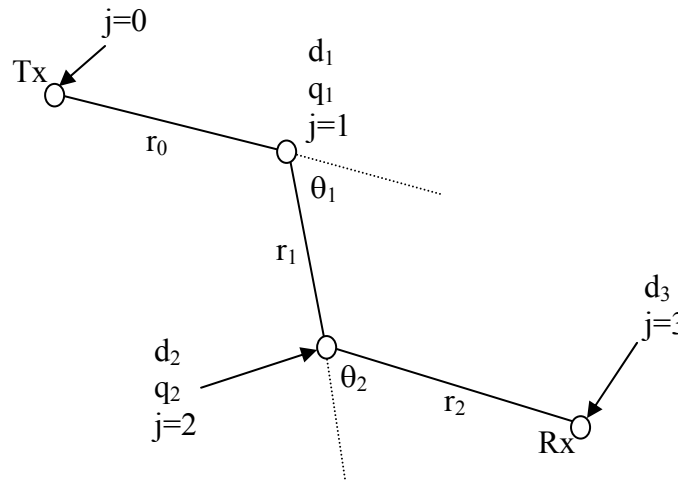


1 The distance  $d_n$  is the illusory distance and it is defined by the recursive expression:

$$\begin{aligned}
 k_j &= k_{j-1} + d_j q_{j-1} \\
 d_j &= k_j r_{j-1} + d_{j-1}
 \end{aligned}
 \tag{12}$$

3 with  $k_0 = 1$ ,  $d_0 = 0$  and  $q_j(\theta_j) = \left(\frac{|\theta_j|}{90}\right)^{1.5}$

4 where  $\theta_j$  is the angle between streets at junction  $j$ .



5  
6 **Figure 4: Geometry of street sections used for microcellular NLOS path loss model**

8 Since the path loss defined above requires additional street layout information in  
9 addition to just the BS-MS distance as typically specified in system simulation, in order  
10 to make it possible to derive the path loss based on the BS-MS distance, the following  
11 assumption on street layout should be used:

- 12 • Street intersection angle: 90 degree
- 13 • Segment length: 50m
- 14 • Number of street segments:  $\text{round}[d/[(\text{SQRT}(2)*\text{segment\_length})]]$ , where  $d$  is  
15 the distance between transmitter and receiver

17 For propagation scenarios that describe both LOS and NLOS situations, simulations  
18 should use a random mix of LOS and NLOS scenarios with the probability of selecting a  
19 LOS scenario given in Table 7.

Propagation Scenario	Probability of LOS as a function of distance $d$ (m)
Urban Microcell	$P_{LOS} = 1 \quad d \leq 15m$
	$1 - \left(1 - (1.56 - 0.48 \log_{10}(d))^3\right)^{1/3} \quad d > 15m$
Indoor Hotspot	$P_{LOS} = 1 \quad d \leq 10m$
	$e^{[-(d-10)/45]} \quad d > 10m$
Rural	$P_{LOS} = e^{(-d/1000)}$

21 **Table 7: LOS probabilities for mixed LOS/NLOS scenario**

### 1 3.2.3.4. Indoor Small Office (Optional)

2 The WINNER model [13] defines the following model for NLOS case under the condition  
3 of  $3 \text{ m} < d < 100 \text{ m}$ ,  $h_{\text{BS}} = h_{\text{MS}} = 1 \sim 2.5 \text{ m}$ ,

4 NLOS (Room to Corridor):

$$5 \quad PL(\text{dB}) = 43.8 + 36.8 \log_{10}(d[\text{m}]) + 20 \log_{10}(f[\text{GHz}]/5.0) \quad (13)$$

7 NLOS (through-wall):

$$8 \quad PL(\text{dB}) = 46.4 + 20 \log_{10}(d[\text{m}]) + 5n_w + 20 \log_{10}(f[\text{GHz}]/5.0) \quad (\text{Light Wall}) \quad (14)$$

$$10 \quad PL(\text{dB}) = 46.4 + 20 \log_{10}(d[\text{m}]) + 12n_w + 20 \log_{10}(f[\text{GHz}]/5.0) \quad (\text{Heavy Wall}) \quad (15)$$

11 where  $n_w$  is the number of walls between BS and MS. It is assumed that there is one  
12 light wall every 3m and one heavy wall every 30 m. †

### 13 3.2.3.5. Indoor Hot Spot (Optional)

14 LOS case ( $20 \text{ m} < d < 60 \text{ m}$ ,  $h_{\text{BS}} = h_{\text{MS}} = 1 \sim 2.5 \text{ m}$ )

$$15 \quad PL(\text{dB}) = 49.3 + 11.8 \log_{10}(d[\text{m}]) + 20 \log_{10}(f[\text{GHz}]/5.0) \quad (16)$$

19 NLOS case ( $20 \text{ m} < d < 80 \text{ m}$ ,  $h_{\text{BS}} = h_{\text{MS}} = 1 \sim 2.5 \text{ m}$ )

$$20 \quad PL(\text{dB}) = 25.5 + 43.3 \log_{10}(d[\text{m}]) + 20 \log_{10}(f[\text{GHz}]/5.0) \quad (17)$$

22 The probability of selecting a LOS scenario is given in Table 7†

### 23 3.2.3.6. Outdoor to Indoor (Optional)

24 The WINNER model [13] defines the following path loss model for the NLOS case.

$$25 \quad PL(\text{dB}) = PL_b + PL_{\text{tw}} + PL_{\text{in}} \quad (18)$$

26 Where  $PL_b = PL_{\text{B1}}(d_{\text{out}} + d_{\text{in}})$ ,  $PL_{\text{tw}} = 14 + 15(1 - \cos(\theta))^2$ ,  $PL_{\text{in}} = 0.5 d_{\text{in}}$   
27  $3 \text{ m} < d_{\text{out}} + d_{\text{in}} < 1000 \text{ m}$ ,  $h_{\text{BS}} = 12.5 \text{ m}$ ,  $h_{\text{MS}} = 3n_{\text{F1}} + 1.5 \text{ m}$ ,  $n_{\text{F1}} = 2$ .

29  $PL_{\text{B1}}$  is path-loss of urban-micro cell (a function with the input distance of  $d_{\text{out}} + d_{\text{in}}$ ),  $d_{\text{out}}$   
30 is the distance between the outside terminal and closest point of the wall to the inside  
31 terminal,  $d_{\text{in}}$  is the distance from wall to the inside terminal,  $\theta$  is the angle between the  
32 outdoor path and the normal of the wall.  $n_{\text{F1}}$  is the number of the floor (the ground floor is  
33 assigned the number 1).

35 For simulation purposes, the default value of  $\theta = 45$  degree can be used. Additionally,  
36 the path loss of the outdoor portion follows the NLOS case. †  
37

---

† The models (including the parameters in respective CDL models defined later) are currently aligned with IMT.EVAL, but will be adjusted if needed in order to fully align with the final model adopted in IMT.EVAL once available. All parameter values need to be defined for simulation.

### 3.2.3.7. Open Rural Macrocell (Optional)

According to the recent experimental result of the WINNER model [13], the path loss is

LOS:

$$PL(dB) = 44.2 + 21.5 \log_{10}(d[m]) + 20 * \log_{10}(f[GHz]/5.0) \quad 20m < d < d_{BP} \quad (19)$$

$$PL(dB) = 10.5 + 40.0 \log_{10}(d[m]) - 18.5 \log_{10}(h_{BS}[m]) - 18.5 \log_{10}(h_{ms}[m]) + 1.5 \log_{10}(f[GHz]/5.0) \quad d > d_{BP} \quad (20)$$

NLOS:

$$PL(dB) = 55.4 + 25.1 * \log_{10}(d[m]) + 21.3 * \log_{10}(f[GHz]/5.0) - 0.13(h_{BS}[m] - 25) \log_{10}(\frac{d}{d_0}) - 0.9(h_{ms}[m] - 1.5) \quad (21)$$

Where  $d$  = distance

$$d_{BP} = 4 \cdot h_{ms} \cdot h_{BS} \cdot f / c$$

$h_{BS}$  = the height of the base station

$h_{ms}$  = the height of the mobile station

$f$  = the centre-frequency (GHz)

$c$  = the velocity of light in vacuum (m/s)

$\sigma$  = standard deviation

$d_0$  = 100 meter (the reference distance)

The probability of selecting a LOS scenario is given in Table 7.†

### 3.2.3.8. Path Loss Model for Baseline Test Scenario (Mandatory)

This model [4] is applicable for the test scenarios in urban and suburban areas outside the high rise core where the buildings are of nearly uniform height.

$$PL(dB) = 40(1 - 4 \times 10^{-3} h_{BS}) \log_{10}(R) - 18 \log_{10}(h_{BS}) + 21 \log_{10}(f) + 80 \quad (22)$$

Where  $R$  in kilometers is the distance from the transmitter to the receiver,  $f$  is the carrier frequency in MHz and  $h_{BS}$  is the base station antenna height above rooftop.

If the base station antenna height is fixed at 15 meters above the average rooftop and a carrier frequency of 2 GHz, the path loss formula reduces to

$$PL(dB) = 128.1 + 37.6 \log_{10}(R) \quad (23)$$

Applying a frequency correction factor  $21 \log_{10}(2.5/2)$  for operation at 2.5 GHz, the path loss can be calculated as

$$PL(dB) = 130.19 + 37.6 \log_{10}(R) \quad (24)$$

### 1 3.2.4. Shadowing Factor

2 The shadowing factor (SF) has a log-normal distribution and a standard deviation  
3 defined in the following table based on the WINNER parameters [13], for different  
4 scenarios. ‡  
5

Propagation Scenario	Standard Deviation of Shadow Fading
Urban macrocell	8 dB
Suburban macrocell	8 dB
Urban microcell	NLOS: 4 dB, LOS 3 dB
Indoor Small Office	NLOS (Room to Corridor) 4 dB, NLOS (through-wall) 6 dB (light wall), 8 dB (heavy-wall)
Indoor Hot Spot	LOS 1.5 dB, NLOS 1.1 dB
Outdoor to indoor	7 dB
Open Rural Macrocell	NLOS: 8 dB, LOS: 6 dB

6  
7  
8 **Table 8: Standard deviation of shadow fading distribution**

9 The site-to-site shadowing correlation is 0.5. The SF of closely positioned MSs is  
10 typically observed similar or correlated. Therefore, the SF can be obtained via  
11 interpolation in the following way.

12 For each base station, a uniformly spaced grid is generated using the pre-defined de-  
13 correlation distance as shown in Figure 5. Each node  $S_{n,l}$  on the grid represents the  
14 shadowing factor corresponding to base station  $l$  at the geographic location  $n$  with  $(x, y)$   
15 coordinate. All nodes  $\{S_{n,0}, \dots, S_{n,L}\}$ , where  $L$  represents the set of base stations in the  
16 simulation, correspond to a single geographical location  $n$  in a simulated system. The  
17 distance between closest nodes,  $D_{cor}$ , in the grid is the pre-defined de-correlation  
18 distance (e.g. 50 meters).

19 For a mobile location, either from a random drop or a result of mobility, the shadowing  
20 factor from the mobile to a base station  $l$  should be calculated by interpolating the  
21 shadowing factors of the closest four nodes,  $S_{0,l}, S_{3,l}$  for the corresponding base station  $l$   
22 in Figure 5. Specifically, the shadowing factor  $g_{k,l}$  at a location corresponding to base  
23 station  $l$  is determined by

$$24 \quad SF(g_{k,l}) = \left( \sqrt{1 - \frac{x_{pos}}{D_{cor}}} \right) \left[ S_{0,l} \sqrt{\frac{y_{pos}}{D_{cor}}} + S_{3,l} \left( \sqrt{1 - \frac{y_{pos}}{D_{cor}}} \right) \right] + \left[ S_{1,l} \sqrt{\frac{y_{pos}}{D_{cor}}} + S_{2,l} \left( \sqrt{1 - \frac{y_{pos}}{D_{cor}}} \right) \right] \sqrt{\frac{x_{pos}}{D_{cor}}} \quad (25)$$

25 Note that the linear interpolation above guarantees smooth change of shadowing  
26 factors around the nodes on the grid, and moving from one square to another square.  
27 Additionally, the linear interpolation above guarantees the same standard deviation of  
28 shadowing factors at all points in the simulated system.

‡ The values chosen for the shadowing factor are currently aligned with IMT.EVAL, but they will be adjusted if needed to completely align with the final model adopted in IMT.EVAL.

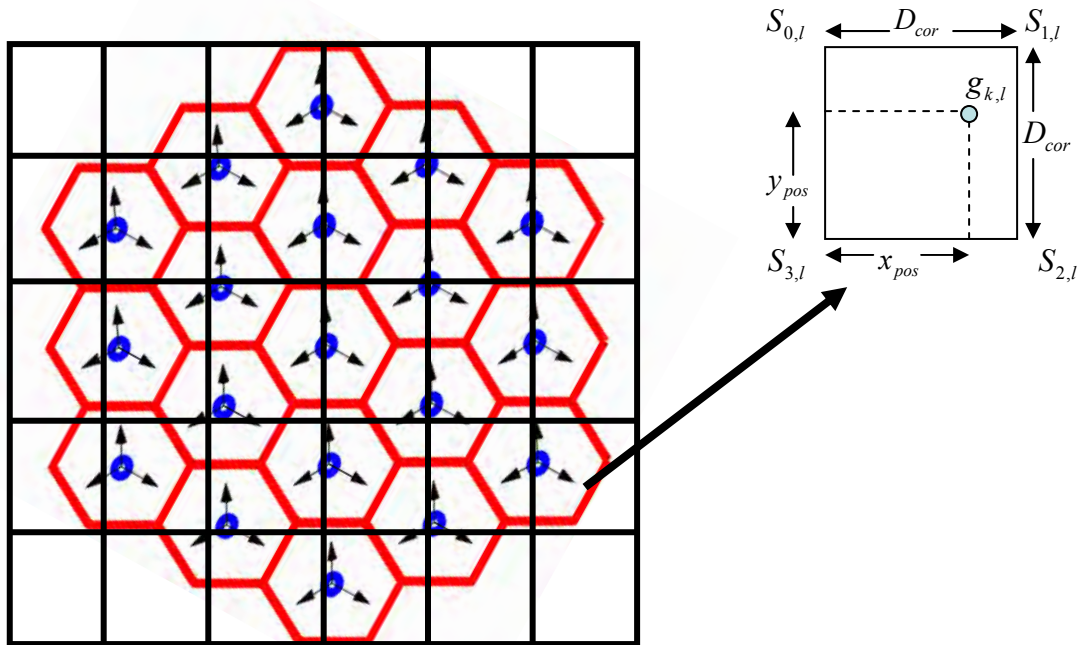


Figure 5: Shadowing factor grid example showing interpolation

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15

The shadow fading  $SB_{n,lB}$  at the nodes is modeled as a Gaussian distributed random variable with zero mean and standard deviation  $\sigma$  as defined in Table 8. The shadow fading component is expressed as the weighted sum of a common component,  $Z_n$ , to all cell sites, and an independent component,  $Z_l$ , from each cell site. In other words,  $Z_n$  is generated based on local shadowing point at the node coordinates (e.g. related to a mobile station location), and  $Z_l$  is generated based on local shadowing point for a given base station. The shadow fading value between node  $n$  and base station  $l$  is  $SB_{n,lB} = aZ_n + bZ_l$ . Typical values for  $a$  and  $b$  are  $a^2 = b^2 = 1/2$ . That is, the correlation is 0.5 between sectors from different cells and 1.0 between sectors of the same cell. Once the shadow fading values at the grid nodes have been determined according to the preceding procedure, the interpolation of equation (25) can be carried out according to each mobile location or along the mobile trajectory for handoff simulations during one drop.

### 16 3.2.5. Cluster-Delay-Line Models

17 The CDL models as referred in the WINNER report define tap delayed line models for  
18 the power delay profile with additional spatial information such as per-tap mean AoA,  
19 AoD, and per-tap angular spread (thus the power angular profile). The CDL models can  
20 be deemed as a spatial extension of the TDL model with the number of taps (clusters),  
21 their delays and powers, the mean AoA and AoD of each cluster, and the arrival and  
22 departure angular spread (AS). So they offer well-defined radio channels with fixed  
23 parameters to obtain comparable simulation results with relatively non-complicated  
24 channel models. Note that the word “cluster” is used in “clustered delay lines” in a way

1 that deviates from its commonly accepted definition in the scientific literature. Clusters  
2 are either defined as (i) groups of multipath components (MPCs) whose large-scale  
3 characteristics change in a similar way (e.g., as the MS moves over large distances, the  
4 relative AoAs, AoDs, and delays of the MPCs within one cluster do not change, or (ii) as  
5 groups of MPCs with similar delays, AoAs, and AoDs. For the latter definition, it is  
6 important to notice the difference between clusters and multipath groups. i.e., a number  
7 of MPCs that are indistinguishable to a RX because of limited resolution are different  
8 from a cluster. A cluster consists usually of several multipath groups with similar delays  
9 and angles, and is surrounded (in the delay-angle plane) by areas of no "significant  
10 "power. For a receiver with very low angular/delay resolution, it might happen that each  
11 cluster contains only a single multipath group, or even that a multipath group contains  
12 several clusters. Consequently, the MPCs belonging to a cluster do not change, even  
13 as the resolution of the measurement device becomes finer and finer; while the MPCs  
14 belonging to a multipath group change as the resolution becomes finer.

15 As discussed in Section 3.1, the use of fixed values for delay and mean AoA/AoD  
16 makes the CDL model a simplification, as it does not account for the (experimentally  
17 observed) random variations of delay spread, angular spread, etc. This might have  
18 significant consequences for the absolute and even relative performance of various  
19 systems. While the model is suitable for the purposes of standardization, it is not  
20 recommended for scholarly investigations.

21 For each propagation scenario, the corresponding CDL model is given in one of the  
22 following subsections. It includes power delay profile and the corresponding per-tap  
23 power angular profile. Note that the AoA and AoD values given in the following tables  
24 are the mean AoA/AoD of each cluster (i.e., tap or path). The mean power of each tap  
25 and its delay is also given. The ray power is 1/20 of the mean tap power (i.e., -13 dB).

26  
27 In a CDL model, each tap may be simulated via generating 20 equal-power rays with  
28 fixed offset angles, as suggested in WINNER. The offset angles are the same as those  
29 defined in SCM and they are specified in a way such that by adjusting the interval  
30 between these equal-power rays a Laplacian power angular profile can be  
31 approximated. Note that the offset angles are the deviation from the mean AoA/AoD  
32 (Refer to Table 64 in Appendix A for the offset). In the case when a ray of dominant  
33 power exists, the cluster has 20+1 rays. This dominant ray has a zero angle offset. The  
34 departure and arrival rays are coupled randomly.

35 CDL models also allow for the generation of spatial correlation mathematically, which  
36 can be used directly to generate the matrix channel coefficients. The spatial correlation  
37 for each tap can be derived from the mean AoA/AoD and the Laplacian power angular  
38 profile with the specified angular spread. Per-tap correlation can also be derived  
39 numerically based on the 20 equal-power rays used to approximate the Laplacian  
40 power angular profile.

1 Most of the taps have a single delay. In case a tap has three delays values, these  
 2 correspond to sub-clusters as defined in the table below<sup>§</sup>:

Sub-cluster #	Mapping to Rays	Fractional Power	Delay Offset (ns)
1	1,2,3,4,5,6,7,8,19,20	10/20	0
2	9,10,11,12,17,18	6/20	5
3	13,14,15,16	4/20	10

4  
5  
6 **Table 9: Sub-cluster model used for some taps in spatial TDL or CDL model**

7 The sub-cluster can be easily simulated with a ray-based model. But when a spatial  
 8 correlation is computed in the correlation-based implementation, the three sub-taps  
 9 should be approximated to have the same correlation.  $AS_{BS} AS_{MS}$

10  
11 The cross polarization ratio  $XPR_V$  is the power ratio of vertical-to-vertical polarized  
 12 component to vertical-to-horizontal polarized component,  $XPR_H$  is the power ratio of  
 13 horizontal-to-horizontal polarized component to horizontal-to-vertical polarized  
 14 component. It is assumed that  $XPR_V = XPR_H = XPR$  and the cross polarization ratios  
 15 are assumed the same for all clusters (i.e., taps). A reference cross polarized antenna  
 16 configuration is also defined in order to derive spatial correlation, in which case the BS  
 17 antenna element is assumed to be 45-deg cross-polarized and the MS antenna element  
 18 is 90-deg cross-polarized, as assumed in Appendix B.

### 19 3.2.5.1. Urban Macrocell (Optional)

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]
1	0			-6.4			11	61	-19.5
2	60			-3.4			-8	44	-16.4
3	75			-2.0			-6	-34	-15.0
4	145	150	155	-3.0	-5.2	-7.0	0	0	-13.0
5	150			-1.9			6	33	-14.9
6	190			-3.4			8	-44	-16.4
7	220	225	230	-3.4	-5.6	-7.4	-12	-67	-13.4
8	335			-4.6			-9	52	-17.7
9	370			-7.8			-12	-67	-20.8
10	430			-7.8			-12	-67	-20.8
11	510			-9.3			13	-73	-22.3
12	685			-12.0			15	-83	-25.0
13	725			-8.5			-12	-70	-21.5

Cluster  $AS_{BS} = 2^\circ$

Cluster  $AS_{MS} = 15^\circ$

<sup>§</sup> It must be noted that the power delay profiles provided for different test scenarios may not represent channels that are normalized in terms of power.

14	735	-13.2	-15	87	-26.2
15	800	-11.2	-14	80	-24.2
16	960	-20.8	19	109	-33.8
17	1020	-14.5	-16	91	-27.5
18	1100	-11.7	15	-82	-24.7
19	1210	-17.2	18	99	-30.2
20	1845	-16.7	17	98	-29.7

Table 10: Urban macrocell CDL (XPR = 5 dB)

1  
2

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]
1	0	-4.7	-10	61	-17.7
2	0   5   10	-3   -5.2   -7	0	0	-13
3	10	-7.2	12	-75	-20.2
4	10	-6.3	-11	-70	-19.3
5	30   35   40	-4.8   -7   -8.8	-12	76	-14.8
6	50	-3.7	-9	53	-16.7
7	80	-7.4	-12	76	-20.4
8	110	-7.2	12	-75	-20.2
9	155	-9.6	14	-87	-22.7
10	165	-5.2	-10	64	-18.3
11	165	-6.3	11	70	-19.3
12	250	-8.9	14	83	-21.9
13	280	-8.5	13	-81	-21.5
14	440	-8.4	13	-81	-21.4
15	490	-8.5	-13	81	-21.5
16	525	-5	10	62	-18
17	665	-10.9	15	92	-23.9
18	685	-10.9	15	92	-24
19	4800	-9.7	-135	25	-22.7
20	7100	-13	80	40	-26

Table 11: Bad urban macrocell CDL (XPR = 5 dB)

3

3.2.5.2. Suburban Macrocell (Optional)

4  
5

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]
1	0   5   10	-3.0   -5.2   -7.0	0	0	-13.0
2	25	-7.5	13	-71	-20.5
3	35	-10.5	-15	-84	-23.5
4	35	-3.2	-8	46	-16.2
5	45   50   55	-6.1   -8.3   -10.1	12	-66	-16.1



6	65	-14.0	-17	-97	-27.0		
7	65	-6.4	12	-66	-19.4		
8	75	-3.1	-8	-46	-16.1		
9	145	-4.6	-10	-56	-17.6		
10	160	-8.0	-13	73	-21.0		
11	195	-7.2	12	70	-20.2		
12	200	-3.1	8	-46	-16.1		
13	205	-9.5	14	-80	-22.5		
14	770	-22.4	22	123	-35.4		

Table 12: Suburban macrocell CDL (XPR = 5.5 dB)

1  
2  
3  
4  
5

**3.2.5.3. Urban Microcell (Optional)**

In the LOS model Ricean K-factor is 3.3 dB, which corresponds to 20m distance between Tx and Rx.

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]		Cluster ASD = 3°	Cluster AS <sub>MS</sub> = 18°
1	0			0.0			0	0	-0.31*	-24.7**		
2	30	35	40	-10.5	-12.7	-14.5	5	45	-20.5			
3	55			-14.8			8	63	-27.8			
4	60	65	70	-13.6	-15.8	-17.6	8	-69	-23.6			
5	105			-13.9			7	61	-26.9			
6	115			-17.8			8	-69	-30.8			
7	250			-19.6			-9	-73	-32.6			
8	460			-31.4			11	92	-44.4			

Table 13: Urban microcell CDL (LOS) (XPR = 9.5 dB)

\* Power of dominant ray,  
\*\* Power of each other ray

6  
7  
8  
9

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]		Cluster AS <sub>BS</sub> = 10°	Cluster AS <sub>MS</sub> = 22°
1	0			-1.0			8	-20	-14.0			
2	90	95	100	-3.0	-5.2	-7.0	0	0	-13.0			
3	100	105	110	-3.9	-6.1	-7.9	-24	57	-13.9			
4	115			-8.1			-24	-55	-21.1			
5	230			-8.6			-24	57	-21.6			
6	240			-11.7			29	67	-24.7			
7	245			-12.0			29	-68	-25.0			
8	285			-12.9			30	70	-25.9			
9	390			-19.6			-37	-86	-32.6			
10	430			-23.9			41	-95	-36.9			
11	460			-22.1			-39	-92	-35.1			
12	505			-25.6			-42	-99	-38.6			
13	515			-23.3			-40	94	-36.4			
14	595			-32.2			47	111	-45.2			
15	600			-31.7			47	110	-44.7			
16	615			-29.9			46	-107	-42.9			

Table 14: Urban microcell CDL (NLOS) (XPR = 7.5 dB)

10  
11

### 1 Bad Urban Microcell (Optional)

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]
1	0	5	10	-3.0	-5.2	-7.0	0	0	-13.0
2	25	30	35	-3.4	-5.6	-7.3	-14	31	-13.4
3	25			-1.7			-13	30	-14.7
4	35			-1.9			-14	31	-14.9
5	45			-2.2			15	-34	-15.2
6	70			-5.0			22	51	-18.0
7	70			-3.6			19	44	-16.6
8	90			-3.8			-19	-45	-16.8
9	155			-6.4			-25	-58	-19.4
10	170			-2.7			-17	-38	-15.7
11	180			-7.5			-27	-63	-20.5
12	395			-16.5			-41	93	-29.5
13	1600			-5.7			-110	15	-18.7
14	2800			-7.7			75	-25	-20.7

Cluster AS<sub>BS</sub> = 3°Cluster AS<sub>MS</sub> = 5°

Table 15: Bad urban microcell CDL (NLOS) (XPR = 7.5 dB)

### 4 3.2.5.4. Indoor Small Office (Optional)

5 Only NLOS condition is given below.

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]
1	0	5	10	-3.0	-5.2	-7.0	0	0	-13.0
2	5			-4.0			59	-55	-17.0
3	20			-4.7			-64	-59	-17.7
4	25			-9.0			89	-82	-22.0
5	30			-8.0			83	-77	-21.0
6	30	35	40	-4.0	-6.2	-8.0	-67	62	-14.0
7	35			-1.1			32	29	-14.2
8	45			-5.2			-67	62	-18.2
9	55			-9.5			-91	-84	-22.5
10	65			-7.9			-83	77	-20.9
11	75			-6.8			-77	-71	-19.8
12	90			-14.8			-113	105	-27.8
13	110			-12.8			-106	98	-25.8
14	140			-14.1			111	-103	-27.2
15	210			-26.7			-152	141	-39.7
16	250			-32.5			-168	-156	-45.5

Cluster AS<sub>BS</sub> = 5°Cluster AS<sub>MS</sub> = 5°

Table 16: Indoor small office (NLOS) (XPR = 10 dB)

### 9 3.2.5.5. Indoor Hotspot (Optional)

10 The CDL parameters of LOS and NLOS condition are given below. In the LOS model  
11 Ricean K factor are 15.3 dB and 10.4 dB, respectively for the first and second clusters.

12

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]	
1	0	0	0	0	-0.1*	-28.4**
2	5	-3.4	7	-2	-3.7*	-27.1**
3	10	-9.2	0	-12	-22.2	
4	20	-18.9	7	13	-31.9	
5	30	-17.1	11	16	-30.1	
6	40	-16.3	-7	-34	-29.3	
7	50	-13.7	-60	-12	-26.7	
8	60	-16.3	-43	-17	-29.3	
9	70	-16.8	11	-59	-29.8	
10	80	-17.9	8	-78	-30.9	
11	90	-15.9	14	-65	-28.9	
12	100	-17.4	-1	-56	-30.4	
13	110	-25.8	-11	-57	-38.8	
14	120	-31.0	-129	-22	-44.0	
15	130	-33.4	-123	-12	-46.4	

Cluster AS<sub>BS</sub> = 5°

Cluster AS<sub>MS</sub> = 8°

**Table 17: Indoor hotspot CDL (LOS) (XPR = 11dB)**

\* Power of dominant ray,  
 \*\* Power of each other ray

1  
2  
3  
4  
5  
6  
7

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]	
1	0	-6.9	2	2	-19.9	
2	5	0	-2	9	-13.0	
3	10	-0.7	-7	14	-13.7	
4	15	-1.0	-3	-7	-14.0	
5	20	-1.4	-1	-6	-14.4	
6	25	-3.8	-5	-18	-16.8	
7	30	-2.6	0	-3	-15.6	
8	35	-0.2	-6	-3	-13.2	
9	45	-3.6	-9	14	-16.6	
10	55	-5.7	1	44	-18.7	
11	65	-11.6	4	13	-24.6	
12	75	-8.9	-5	65	-21.9	
13	95	-7.3	-11	46	-20.3	
14	115	-11.2	-4	35	-24.2	
15	135	-13.5	-3	48	-26.5	
16	155	-13.4	-7	41	-26.4	
17	175	-12.2	8	7	-25.2	

Cluster AS<sub>BS</sub> = 5°

Cluster AS<sub>MS</sub> = 11°

18	195	-14.7	4	69	-27.7
19	215	-15.8	-11	133	-28.8

Table 18: Indoor hotspot CDL (NLOS) (XPR = 11dB)

3.2.5.6. Outdoor to Indoor (Optional)

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]
1	0	-7.7	29	102	-20.8
2	10 15 20	-3.0 -5.2 -7.0	0	0	-13.0
3	20	-3.7	20	70	-16.7
4	35	-3.0	-18	-64	-16.0
5	35	-3.0	18	-63	-16.0
6	50	-3.7	20	70	-16.7
7	55 60 65	-5.4 -7.6 -9.4	29	100	-15.4
8	140	-5.3	24	84	-18.3
9	175	-7.6	29	100	-20.6
10	190	-4.3	-21	76	-17.3
11	220	-12.0	36	-126	-25.0
12	585	-20.0	46	163	-33.0

Cluster AS<sub>BS</sub> = 5°  
Cluster AS<sub>MS</sub> = 8°

Table 19: Outdoor to indoor CDL (NLOS) (XPR = 8 dB)

3.2.5.7. Rural Macrocell (Optional)

The CDL parameters of LOS and NLOS condition are given below. In the LOS model Ricean K-factor is 13.7 dB.

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	Ray power [dB]
1	0	0.0	0	0	-0.02* -35.9**
2	40	-22.3	-95	189	-35.3
3	40	-25.6	102	203	-38.6
4	40 45 50	-23.1 -25.3 -27.1	-90	-179	-33.1
5	40 45 50	-23.7 -25.9 -27.7	104	-208	-33.7
6	60	-27.4	-105	210	-40.4
7	115	-27.0	104	-208	-40.0
8	135	-25.2	-101	-201	-38.2
9	175	-30.1	110	-219	-43.1
10	195	-32.5	114	228	-45.5
11	215	-31.7	-113	-225	-44.7
12	235	-33.9	-117	-233	-46.9
13	235	-31.0	-112	223	-44.0

Cluster AS<sub>BS</sub> = 2°  
Cluster AS<sub>MS</sub> = 3°

Table 20: Rural macrocell CDL (LOS) (XPR = 7dB)

\* Power of dominant ray,  
\*\* Power of each other ray

1

Cluster #	Delay [ns]			Power [dB]			AoD [°]	AoA [°]	Ray power [dB]	Cluster AS <sub>BS</sub> = 2°	Cluster AS <sub>MS</sub> = 3°
1	0	5	10	-3.0	-5.2	-7.0	0	0	-13.0		
2	0			-1.8			-8	28	-14.8		
3	5			-3.3			-10	38	-16.3		
4	10	15	20	-4.8	-7.0	-8.8	15	-55	-14.8		
5	20			-5.3			13	48	-18.3		
6	25			-7.1			15	-55	-20.1		
7	55			-9.0			-17	62	-22.0		
8	100			-4.2			-12	42	-17.2		
9	170			-12.4			20	-73	-25.4		
10	420			-26.5			29	107	-39.5		

2  
3

Table 21: Rural macrocell CDL (NLOS) (XPR = 7dB)

4 **3.2.6. Channel Type and Velocity Mix**

5 In system level simulations, users may be associated with a set of different channel  
6 types and velocities. In such cases, a mix of user speeds and channel types is  
7 evaluated.

8

9 The channel types and mobility mixes corresponding to the required test scenarios are  
10 defined in Table 3.

11 **3.2.7. Doppler Spectrum for Stationary Users**

12 If the TX and the RX are stationary, and the channel at time  $t$  is to be computed, then  
13 each cluster is made of a number of coherent (fixed) rays  $N_c$  and a number of scattered  
14 (variable) rays  $N_s$  ( $N_c + N_s =$  total number of rays per clusters).

15 The variable rays are ascribed a bell-shaped Doppler spectrum as described in [3]:

$$16 \quad S(f) = \begin{cases} 1 - 1.72f_0^2 + 0.785f_0^4 & |f_0| \leq 1 \\ 0 & |f_0| > 1 \end{cases} \quad \text{where } f_0 = \frac{f}{f_m} \quad (26)$$

17

18 where  $f_m$  is the maximum Doppler rate (suggested value: 2 Hz in [3]). The fixed rays  
19 within a cluster share the same amplitude and phase, and their Doppler spectrum is a  
20 Dirac impulse at  $f = 0$  Hz.

21

22 An alternative is to simply model the Doppler spectrum as a Jakes spectrum with 2 Hz  
23 Doppler frequency.

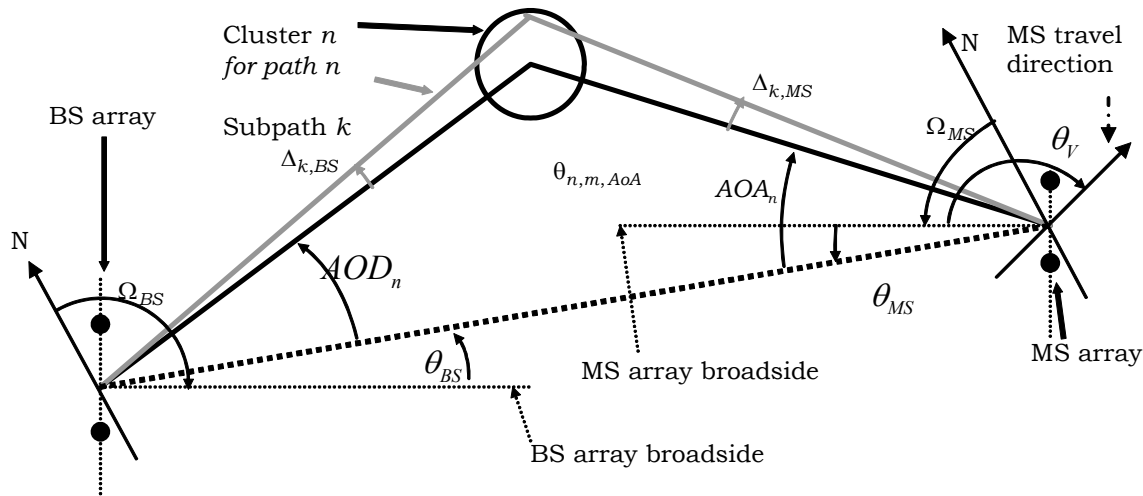
24 **3.2.8. Generation of Spatial Channels**

25 The following procedure describes the simulation procedure based on the spatial TDL  
26 or CDL models. In the correlation based implementation, the spatial and temporal

1 correlation need to be derived first before generating the channel coefficients. In the  
 2 ray-based approach, the time-variant matrix channels are constructed from all the rays.  
 3

4 **Step 1:** Choose a propagation scenario (e.g. Urban Macro, Suburban Macro etc.). After  
 5 dropping a user, determine the various distance and orientation parameters.  
 6

7 The placement of the MS with respect to each BS is to be determined according to the  
 8 cell layout. From this placement, the distance between the MS and the BS ( $d$ ) and the  
 9 LOS directions with respect to the BS and MS ( $\theta_{BS}$  and  $\theta_{MS}$  respectively) can be  
 10 determined. Note that  $\theta_{BS}$  and  $\theta_{MS}$  are defined relative to the broadside directions. The  
 11 MS antenna array orientations ( $\Omega_{MS}$ ), are i.i.d., drawn from a uniform 0 to 360 degree  
 12 distribution.



13  
 14  
 15 **Figure 6: The MIMO channel model angle parameters**  
 16  
 17

18 **Step 2:** Calculate the bulk path loss associated with the BS to MS distance.  
 19

20 **Step 3:** Determine the Shadowing Factor (SF).  
 21

22 The SF is randomly generated from a log-normal distribution with a pre-specified  
 23 standard deviation. Generate the SF according to Section 3.2.4  
 24

25 **If a ray-based implementation is being used, skip steps 4, 6 and 7.**  
 26

27 **Step 4:** Calculate the per-tap spatial correlation matrix based on per-tap  $AS_{BS, path}$  at the  
 28 BS and the per-tap  $AS_{MS, path}$  at the MS, both of which are specified in the reduced  
 29 complexity models specified in 3.2.5. The spatial correlation also depends on the  
 30 BS/MS antenna configurations (a random broadside direction, number and spacing  
 31 of antennas, polarization, etc.)  
 32

33 Once the per-tap AS, mean AoA, and mean AoD are defined, the theoretical spatial  
 34 correlation at both BS and MS can be derived, assuming Laplacian power angular

1 distribution. Assuming omni directional antennas at the BS and MS the antenna spatial  
 2 correlations, the antenna spatial correlations between the p-th and q-th antenna at the  
 3 BS and MS respectively, are

$$\begin{aligned}
 4 \quad r_{n,BS}(p, q) &= \int_{-\infty}^{\infty} f(\alpha) \exp\left\{j \frac{2\pi d_{BS}}{\lambda} (p-q) \sin(AOD_n + \alpha)\right\} d\alpha \\
 r_{n,MS}(p, q) &= \int_{-\infty}^{\infty} f(\beta) \exp\left\{j \frac{2\pi d_{MS}}{\lambda} (p-q) \sin(AOA_n + \beta)\right\} d\beta
 \end{aligned} \tag{27}$$

5 where  $d_{BS}$  ( $d_{MS}$ ) is the antenna spacing at BS (MS) and  $\lambda$  is the wavelength.  $\alpha$  is the  
 6 angular offset around the mean AoD at BS, and  $\beta$  is the angular offset around the  
 7 mean AoA at MS. The PDF of angular offsets is

$$\begin{aligned}
 9 \quad f(\alpha) &= \frac{1}{\sqrt{2} AS_{BS,Path}} \exp\left\{-\frac{\sqrt{2}|\alpha|}{AS_{BS,Path}}\right\} \\
 f(\beta) &= \frac{1}{\sqrt{2} AS_{MS,Path}} \exp\left\{-\frac{\sqrt{2}|\beta|}{AS_{MS,Path}}\right\}
 \end{aligned} \tag{28}$$

10 Note that  $AS_{BS, path}$  and  $AS_{MS, path}$  are specified in the reduced complexity models  
 11 specified in 3.2.5. The above integration can be computed with two approaches (other  
 12 alternatives may also exist). Refer to Appendix A for details. In summary, the first  
 13 approach is to approximate the Laplacian PDF with 20 rays, after which the integration  
 14 is reduced to a summation. The second approach is to compute the integration using a  
 15 numerical method. The second approach is to compute the integration using the exact  
 16 expression given in the Appendix A. Either using 20-ray approximation or exact  
 17 expression, it is possible to quantize the AoA or AoD and then pre-compute the spatial  
 18 correlation for each quantized AoA and AoD values. Using pre-stored correlation  
 19 matrices may reduce the simulation run-time.

20 Denoting the spatial correlation matrix at BS and MS as  $\mathbf{R}_{BS,n}$  and  $\mathbf{R}_{MS,n}$ , the per-tap  
 21 spatial correlation is determined as

$$22 \quad \mathbf{R}_n = \mathbf{R}_{BS,n} \otimes \mathbf{R}_{MS,n} \text{ (Kronecker product)} \tag{29}$$

23 In the case that the antenna elements are cross-polarization antennas, we denote the  
 24 number of receive antennas by N and the number of transmit antennas by M. If cross-  
 25 polarized antennas are present at the receiver, it is assumed that the N/2 receive  
 26 antennas have the same polarization, while the remaining N/2 receive antennas have  
 27 the orthogonal polarization. Likewise, if cross-polarized antennas are present at the  
 28 transmitter, it is assumed that M/2 transmit antennas have the same polarization, while  
 29 the remaining M/2 transmit antennas have orthogonal polarization. It is further assumed  
 30 that the antenna arrays are composed of pairs of co-located antennas with orthogonal  
 31 polarization. With these assumptions, the per-tap channel correlation is determined as

$$32 \quad \mathbf{R}_n = \mathbf{R}_{BS,n} \otimes \mathbf{\Gamma} \otimes \mathbf{R}_{MS,n} \tag{30}$$

33  
34  
35  
36

1 Where  $R_{MS,n}$  is a  $N \times N$  matrix if all the receive antennas have the same polarization, or a  
 2  $(N/2) \times (N/2)$  matrix if the receive antennas are cross-polarized. Likewise,  $R_{BS,n}$  is a  $M \times M$   
 3 matrix if all the transmit antennas have the same polarization, or a  $(M/2) \times (M/2)$  matrix if  
 4 the transmit antennas are cross-polarized.  $\Gamma$  is a cross-polarization matrix based on the  
 5 cross polarization defined in the CDL models.  $\Gamma$  is a  $2 \times 2$  matrix if cross-polarized  
 6 antennas are used at the transmitter or at the receiver. It is a  $4 \times 4$  matrix if cross-  
 7 polarized antennas are used at both the transmitter and the receiver. An example of  
 8 how to derive  $\Gamma$  is given in Appendix B based on the assumption of a default antenna  
 9 configuration with cross-polarized antennas at both the transmitter and the receiver.  $\Gamma$  is  
 10 just a scalar equal to one if all antennas have the same polarization.

11  
 12 **Step 5:** Determine the antenna gains of the BS and MS paths as a function of their  
 13 respective AoDs and AoAs. Calculate the per-tap average power with BS/MS  
 14 antenna gain as

$$15 \quad P_n^* = P_n \bullet G_{BS}(AOD_n + \theta_{BS}) \bullet G_{MS}(AOA_n + \theta_{MS}) \quad (31)$$

16  
 17 **Step 6:** Determine Doppler spectrum using *Jakes spectrum*. It is recognized that the  
 18 use of a Jakes spectrum is self-inconsistent when a non-uniform power angular  
 19 spectrum occurs at the mobile station. However, it is used in simulations to trade off  
 20 between simulation complexity and model accuracy. Generating the time-varying  
 21 fading process from a Doppler spectrum based on the traveling direction and mean  
 22 AoA can be computationally expensive. The impact on the overall system level  
 23 performance with this more accurate method may be small. This method will  
 24 facilitate easy generation of such a time-varying process (e.g. offline generation).

25  
 26 **Step 7:** Generate time-variant MIMO channels with above-defined per-tap spatial  
 27 correlations.

28  
 29 For each tap, generate  $N \times M$  i.i.d. channels first that satisfies the specified Doppler  
 30 spectrum  $H_{iid}$  (each tap is a  $N \times M$  matrix) where  $N$  is the number of receive antennas  
 31 and  $M$  is the number of transmit antennas.

32  
 33 To generate temporally correlated Gaussian process that satisfies a specific Doppler  
 34 spectrum, one implementation method is to use the summation of equal-power  
 35 sinusoids where their frequencies are calculated numerically using either Method of  
 36 Exact Doppler Spread (MEDS) or  $L_2$ -Norm Method (LNPM) [23]. Pre-computing the  
 37 sinusoid frequencies for a set of quantized angle  $\mathcal{G}_n$  can be considered as a means to  
 38 reduce simulation run time, comparing with computing the sinusoid frequencies on the  
 39 fly. As an example, a non-Jakes Doppler spectrum can be simulated using the  
 40 summation of 10 equal-power sinusoids with random phases, but their frequencies are  
 41 defined as

$$42 \quad f_{n,i} = f_{\max} \cos(\phi_{n,i}) \quad (32)$$

43 where

$$44 \quad \phi_{n,i} = \mathcal{G}_n + AS_{MS,Path} * [-1.8157, -1.0775, -0.6456, -0.3392, -0.1015, 0.1015, 0.3392, 0.6456, 1.0775, 1.8157]$$



1 It is also possible to use more than 10 sinusoids where the angle spacing between  
 2 equal power sub-rays is chosen to make sure that area under the Laplacian PDF (i.e.,  
 3 separated by the sub-rays) equal to  $1/(N+1)$  where  $N$  is the number of sub-rays, i.e., for  
 4 the positive side

$$5 \quad \frac{1}{2} \left[ \exp \left\{ -\frac{\sqrt{2}|\alpha_1|}{AS} \right\} - \exp \left\{ -\frac{\sqrt{2}|\alpha_2|}{AS} \right\} \right] = \frac{1}{N+1} \quad (33)$$

6  
 7 where  $\alpha_1$  and  $\alpha_2$  are two adjacent angles with an increasing order and for the first angle  
 8 on the positive side assuming an even  $N$  is

$$9 \quad \frac{1}{2} \left[ 1 - \exp \left\{ -\frac{\sqrt{2}|\alpha_1|}{AS} \right\} \right] = \frac{0.5}{N+1} \quad (34)$$

10 For  $N=10$  and  $AS=1$ , the angles are  $[\pm 1.2054 \quad \pm 0.7153 \quad \pm 0.4286 \quad \pm 0.2252 \quad \pm 0.0674]$ .  
 11 Note that due to finite quantization, the standard deviation of all the ten angles is not "1"  
 12 any more, it is  $C=0.6639$  instead. So scaling of  $1/C$  must be used to compensate for the  
 13 finite quantization.

14  
 15 Compute the correlated channel at each tap as

$$16 \quad \mathbf{H}_n = \text{unvec} \left\{ R_n^{1/2} \text{vec}(H_{iid}) \right\} \quad (35)$$

17  
 18 where  $\text{vec}(H)$  denotes the column-wise stacking of matrix  $H$  and  $\text{unvec}$  is the reverse  
 19 operation.  $R_n^{1/2}$  denotes the square-root of matrix  $R_n$ .

20  
 21 **Step 8 (Ray-based method only, Skip for correlation-based implementation):**  
 22 *Generate time-variant MIMO channels.*

23  
 24 For an  $N$  element linear BS array and a  $M$  element linear MS array, the channel  
 25 coefficients for one of  $L$  multipath components are given by a  $N \times M$  matrix of complex  
 26 amplitudes. We denote the channel matrix for the  $n$ th multipath component ( $n = 1, \dots, L$ )  
 27 as  $\mathbf{H}_n(t)$ . The  $(u,s)$ th component ( $s = 1, \dots, N$ ,  $u = 1, \dots, M$ ) of  $\mathbf{H}_n(t)$  is given in the  
 28 following, assuming polarized arrays (If polarization is not considered, the  $2 \times 2$   
 29 polarization matrix can be replaced by scalar  $\exp(j\Phi_{n,m})$  and only vertically polarized field  
 30 patterns applied)

$$31 \quad h_{u,s,n}(t) = \sqrt{\frac{P_n \sigma_{SF}}{M}} \sum_{m=1}^M \left( \begin{array}{c} \left[ \begin{array}{c} \chi_{BS}^{(v)}(\theta_{n,m,AoD}) \\ \chi_{BS}^{(h)}(\theta_{n,m,AoD}) \end{array} \right]^T \left[ \begin{array}{cc} \exp(j\Phi_{n,m}^{(v,v)}) & \sqrt{r_{n1}} \exp(j\Phi_{n,m}^{(v,h)}) \\ \sqrt{r_{n2}} \exp(j\Phi_{n,m}^{(h,v)}) & \exp(j\Phi_{n,m}^{(h,h)}) \end{array} \right] \left[ \begin{array}{c} \chi_{MS}^{(v)}(\theta_{n,m,AoA}) \\ \chi_{MS}^{(h)}(\theta_{n,m,AoA}) \end{array} \right] \times \\ \exp(jkd_s \sin(\theta_{n,m,AoD})) \times \exp(jkd_u \sin(\theta_{n,m,AoA})) \times \exp(jk \|\mathbf{v}\| \cos(\theta_{n,m,AoA} - \theta_v) t) \end{array} \right) \quad (36)$$

32  
 33 where

34  $P_n$  is the power of the  $n$ th path

1	$\sigma_{SF}$	is the lognormal shadow factor
2	$M$	is the number of subpaths per-path.
3	$\theta_{n,m,AoD}$	is equal to $(AoD_n + \alpha + \theta_{BS})$ , where $\alpha$ is the angular offset around the
4		mean $AoD_n$ at BS (Refer to angular offsets in Appendix A).
5	$\theta_{n,m,AoA}$	is equal to $(AoA_n + \beta + \theta_{MS})$ , where $\beta$ is the angular offset around the mean
6		$AoA_n$ at MS (Refer to angular offsets in Appendix A).
7	$j$	is the square root of -1.
8	$k$	is the wave number $2\pi/\lambda$ where $\lambda$ is the carrier wavelength in meters.
9	$d_s$	is the distance in meters from BS antenna element $s$ from the reference ( $s$
10		$= 1$ ) antenna. For the reference antenna $s = 1$ , $d_1=0$ .
11	$d_u$	is the distance in meters from MS antenna element $u$ from the reference ( $u$
12		$= 1$ ) antenna. For the reference antenna $u = 1$ , $d_1=0$ .
13	$\Phi_{n,m}$	is the phase of the $m$ th subpath of the $n$ th path.
14	$\ \mathbf{v}\ $	is the magnitude of the MS velocity vector.
15	$\theta_v$	is the angle of the MS velocity vector with respect to the MS broadside.
16	$\chi_{BS}^{(v)}(\theta_{n,m,AoD})$	is the BS antenna complex response for the V-pol component.
17	$\chi_{BS}^{(h)}(\theta_{n,m,AoD})$	is the BS antenna complex response for the H-pol component.
18	$\chi_{MS}^{(v)}(\theta_{n,m,AoA})$	is the MS antenna complex response for the V-pol component.
19	$\chi_{MS}^{(h)}(\theta_{n,m,AoA})$	is the MS antenna complex response for the H-pol component.
20	$r_{n1}$	is the random variable representing the power ratio of waves of the $n$ th
21		path leaving the BS in the vertical direction and arriving at the MS in the
22		horizontal direction (v-h) to those leaving in the vertical direction and
23		arriving in the vertical direction (v-v).
24	$r_{n2}$	is the random variable representing the power ratio of waves of the $n$ th
25		path leaving the BS in the horizontal direction and arriving at the MS in the
26		vertical direction (h-v) to those leaving in the vertical direction and arriving
27		in the vertical direction (v-v).
28	$\Phi_{n,m}^{(x,y)}$	phase offset of the $m$ th subpath of the $n$ th path between the $x$ component
29		(either the horizontal $h$ or vertical $v$ ) of the BS element and the $y$
30		component (either the horizontal $h$ or vertical $v$ ) of the MS element.]
31		
32		

33 **Step 9:** *If a non-zero K-factor is to be enforced (i.e.,  $K \neq 0$ ), adjust the LOS path power.*  
 34 Refer to Appendix C for details.

35  
 36 **Step 10:** *Introduce receive antenna gain imbalance or coupling, if needed.*  
 37 Refer to Appendix D for details.

### 38 3.2.9. Channel Model for Baseline Test Scenario (Mandatory)

39 In section 2.3, a baseline test scenario with a 2x2 antenna configuration is defined for  
 40 calibrating system level simulators. A similar test scenario is also defined for liaising  
 41 with NGMN.

1 A simplified correlation-based approach is used to implement the channel model for  
 2 these test scenarios by determining a spatial correlation matrix for each user and  
 3 applying the same correlation matrix for all the taps of the ITU TDL model [4].

4 Two types of spatial correlation are defined, assuming the Jakes Doppler spectrum for  
 5 both cases:

6 **Case 1:** Uncorrelated antennas at both BS and MS

7 **Case 2:** Uncorrelated antennas at MS, correlated antennas at BS with the  
 8 correlation (identical for all taps) derived as in Appendix-A according to the following  
 9 assumptions:

- 10 a. Mean AoD determined according to the MS-BS LOS direction, relative to  
 11 the BS antenna array bore sight.
- 12 b. Uniform linear antenna array at the BS with any number of elements and  
 13 an inter-element spacing of 4 wavelengths for baseline 2x2 antenna  
 14 configuration (refer to Table 1 and Table 2).
- 15 c. Laplacian angular power profile at the BS with an angular spread of 3  
 16 degrees for baseline test scenario corresponding to 1.5 km site-to-site  
 17 distance, and 15 degrees for the NGMN configuration with 0.5 km site-to-  
 18 site distance (15 degrees is the same as the mean angular spread  
 19 specified in 3GPP/3GPP2 SCM urban macrocell environment).

21 The two test scenarios and the methodology described in this section are also suitable  
 22 to optionally simulate larger antenna configurations with any number of antennas at the  
 23 BS and MS, different antenna spacing and angular spreads.

25 The default ITU channel models are described by their power delay profiles as they  
 26 appear in Table 22.

Path Index	Pedestrian B		Vehicular A	
	Power (dB)	Delay (ns)	Power (dB)	Delay (ns)
1	-3.9179	0	-3.1426	0
2	-4.8175	200	-4.1420	310
3	-8.8174	800	-12.1396	710
4	-11.9179	1200	-13.1426	1090
5	-11.7198	2300	-18.1531	1730
6	-27.6955	3700	-23.0980	2510

28  
 29  
 30 **Table 22: ITU power delay profiles**

31 The modified power delay profiles [72] for the ITU channel models are specified in Table  
 32 23. Baseline channel models for a 10MHz system bandwidth as defined in Table 3 shall  
 33 use these profiles. Table 23 provides the delays relative to the first path in nanoseconds  
 34 and the relative power of each path compared to the strongest (similar to the default ITU  
 35 models). The modified ITU Pedestrian B and Vehicular A channel models use 24 paths.  
 36  
 37  
 38  
 39

Path Index	Modified Pedestrian B		Modified Vehicular A	
	Power (dB)	Delay (ns)	Power (dB)	Delay (ns)
1	-1.175	0	-3.1031	0
2	0	40	-0.4166	50
3	-0.1729	70	0	90
4	-0.2113	120	-1.0065	130
5	-0.2661	210	-1.4083	270
6	-0.3963	250	-1.4436	300
7	-4.32	290	-1.5443	390
8	-1.1608	350	-4.0437	420
9	-10.4232	780	-16.6369	670
10	-5.7198	830	-14.3955	750
11	-3.4798	880	-4.9259	770
12	-4.1745	920	-16.516	800
13	-10.1101	1200	-9.2222	1040
14	-5.646	1250	-11.9058	1060
15	-10.0817	1310	-10.1378	1070
16	-9.4109	1350	-14.1861	1190
17	-13.9434	2290	-16.9901	1670
18	-9.1845	2350	-13.2515	1710
19	-5.5766	2380	-14.8881	1820
20	-7.6455	2400	-30.348	1840
21	-38.1923	3700	-19.5257	2480
22	-22.3097	3730	-19.0286	2500
23	-26.0472	3760	-38.1504	2540
24	-21.6155	3870	-20.7436	2620

Table 23: Modified ITU profiles for wideband systems

### 3.3. Link Level Channel Model

The link level channel model should be the same as the CDL channel model described in Section 3.2.

For various propagation scenarios, the corresponding CDL model can be directly used for link simulation, assuming the AoA and AoD are relative to the broadside direction of the receiver array, instead of assuming random orientation of the array in system simulations.

In the case of correlation-based implementation, the spatial correlation can be easily derived once the AoA/AoD is well defined based on either 20-ray approximation or numerical integration. The antenna configuration is assumed to either be a linear array, or a polarized antenna with XPD values defined in the CDL models. The antenna spacing in the linear array shall be of 4 wavelengths at the base station as specified in Section 3.2.9 for the mandatory test scenarios in Case 2 with correlated antennas, or it may be chosen as 0.5, 4 or 10 wavelengths for optional scenarios. The Doppler spectrum depends on traveling direction relative to the AoA. Instead of setting a random traveling direction which can vary from simulation to simulation, a worst case Jakes spectrum should be used.

## 1 4. Link-to-System Mapping

### 2 4.1. Background of PHY Abstraction

3 The objective of the physical layer (PHY) abstraction is to accurately predict link layer  
4 performance in a computationally simple way. The requirement for an abstraction stems  
5 from the fact that simulating the physical layer links between multiples BSs and MSs in  
6 a network/system simulator can be computationally prohibitive. The abstraction should  
7 be accurate, computationally simple, relatively independent of channel models, and  
8 extensible to interference models and multi-antenna processing.

9  
10 In the past, system level simulations characterized the average system performance,  
11 which was useful in providing guidelines for system layout, frequency planning etc. For  
12 such simulations, the average performance of a system was quantified by using the  
13 topology and macro channel characteristics to compute a geometric (or average) SINR  
14 distribution across the cell. Each subscriber's geometric SINR was then mapped to the  
15 highest modulation and coding scheme (MCS), which could be supported based on link  
16 level SINR tables that capture fast fading statistics. The link level SINR-PER look-up  
17 tables served as the PHY abstraction for predicting average link layer performance.  
18 Examples of this static methodology may be found in [26], [27].

19  
20 Current cellular systems designs are based on exploiting instantaneous channel  
21 conditions for performance enhancement. Channel dependent scheduling and adaptive  
22 coding and modulation are examples of channel-adaptive schemes employed to  
23 improve system performance. Therefore, current system level evaluation  
24 methodologies are based on explicitly modeling the dynamic system behavior by  
25 including fast fading models within the system level simulation. Here the system level  
26 simulation must support a PHY abstraction capability to accurately predict the  
27 instantaneous performance of the PHY link layer.

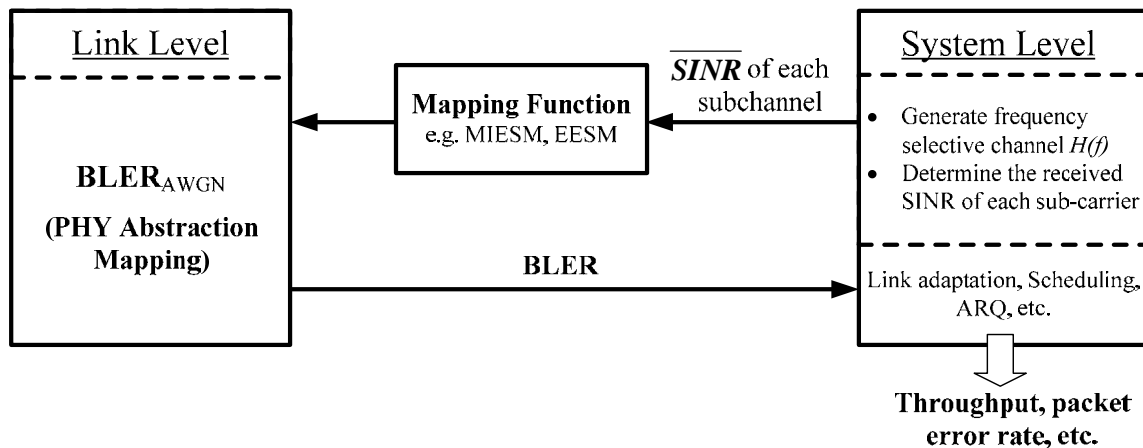
### 28 4.2. Dynamic PHY Abstraction Methodology

29 In system level simulations, an encoder packet may be transmitted over a time-  
30 frequency selective channel. For example, OFDM systems may experience frequency  
31 selective fading, and hence the channel gain of each sub-carrier may not be equal. In  
32 OFDM, the coded block is transmitted over several sub-carriers and the post-processing  
33 SINR values of the pre-decoded streams are thus non-uniform. Additionally, the channel  
34 gains of sub-carriers can be time selective, i.e. change in time due to the fading process  
35 and possible delays involved in H-ARQ re-transmissions. The result on a transmission  
36 of a large encoder packet is encoded symbols of unequal SINR ratios at the input of the  
37 decoder due to the selective channel response over the encoder packet transmission.

38  
39 PHY abstraction methodology for predicting instantaneous link performance for OFDM  
40 systems has been an active area of research and has received considerable attention in  
41 the literature [28]-[37]. The role of a PHY abstraction method is to predict the coded  
42 block error rate (BLER) for a given received channel realization across the OFDM sub-  
43 carriers used to transmit the coded FEC block. In order to predict the coded  
44 performance, the post-processing SINR values at the input to the FEC decoder are

1 considered as input to the PHY abstraction mapping. As the link level curves are  
 2 generated assuming a frequency flat channel response at given SINR, an effective  
 3 SINR,  $SINR_{eff}$  is required to accurately map the system level SINR onto the link level  
 4 curves to determine the resulting BLER. This mapping is termed *effective SINR*  
 5 *mapping (ESM)*. The ESM PHY abstraction is thus defined as compressing the vector of  
 6 received SINR values to a single effective SINR value, which can then be further  
 7 mapped to a BLER number as shown in Figure 7.

8  
 9 Several ESM approaches to predict the instantaneous link performance have been  
 10 proposed in the literature. Examples include mean instantaneous capacity [28]-[30],  
 11 exponential-effective SINR Mapping (EESM, [31], [33]-[35]) and Mutual Information  
 12 Effective SINR Mapping (MIESM, [36], [37]). Within the class of MIESM there are two  
 13 variants, one is based on the mutual information per received symbol normalized to  
 14 yield the bit mutual information and the other directly computes the bit mutual  
 15 information. Each of these PHY abstractions uses a different function to map the vector  
 16 of SINR values to a single number. Given the instantaneous EESM SINR, mean  
 17 capacity or mutual information effective SINR, the BLER for each MCS is calculated  
 18 using a suitable mapping function.



20  
 21 **Figure 7: PHY link-to-system mapping procedure**

22  
 23 Before diving into the details of the various PHY abstraction methods, the following  
 24 notation is defined and used for the rest of the section:

25  
 26 **Notation:**

27  $N$  : Number of sub-carriers used, i.e. the size of the FFT

28  $n$  : is the index of a given sub-carrier,  $n = 1, 2, \dots, N$

29  $N_T$  : number of transmit antennas in a MIMO set-up,

30  $N_R$  : number of receive antennas in a MIMO set-up,

31  $M$  : size of the modulation constellation,

32  $m = \log_2 M$  is the number of bits per transmitted modulation symbol,

33  $J$  : number of blocks in a packet,

34  $\mathbf{H}$  : MIMO channel matrix with dimensions  $N_R \times N_T$ ,

1  $\mathbf{H}^H$ : denotes the conjugate transpose operation on the matrix  $\mathbf{H}$ ,  
 2  $N(\mu, \sigma^2)$ : denotes the Gaussian probability density function (pdf) with mean  $\mu$  and  
 3 variance  $\sigma^2$ .

4  
 5 For all the ESM methods, the following system mode for describing the MIMO  
 6 relationship,

$$7 \quad \mathbf{Y} = \mathbf{H}\mathbf{X} + \mathbf{U} \quad (37)$$

8  
 9 where  $\mathbf{Y}$  is the received signal vector from the  $N_R$  antennas,  $\mathbf{X}$  is the transmitted  
 10 symbol stream which is a vector of dimensions  $N_T \times 1$  ( $\mathbf{X}$  is just a scalar in the case of  
 11 SISO/SIMO), and  $\mathbf{U}$  is the noise vector of dimensions  $N_R \times 1$ , modelled as zero-mean  
 12 complex Gaussian.

13  
 14 In general, the ESM PHY abstraction methods can be described as follows,

$$15 \quad SINR_{eff} = \Phi^{-1} \left\{ \frac{1}{N} \sum_{n=1}^N \Phi(SINR_n) \right\} \quad (38)$$

16  
 17 where  $SINR_{eff}$  is the effective SINR,  $SINR_n$  is the SINR in the  $n^{th}$  sub-carrier (or sub-  
 18 carrier),  $N$  is the number of symbols in a coded block, or the number of sub-carriers  
 19 used in an OFDM system and  $\Phi(\bullet)$  is an invertible function.

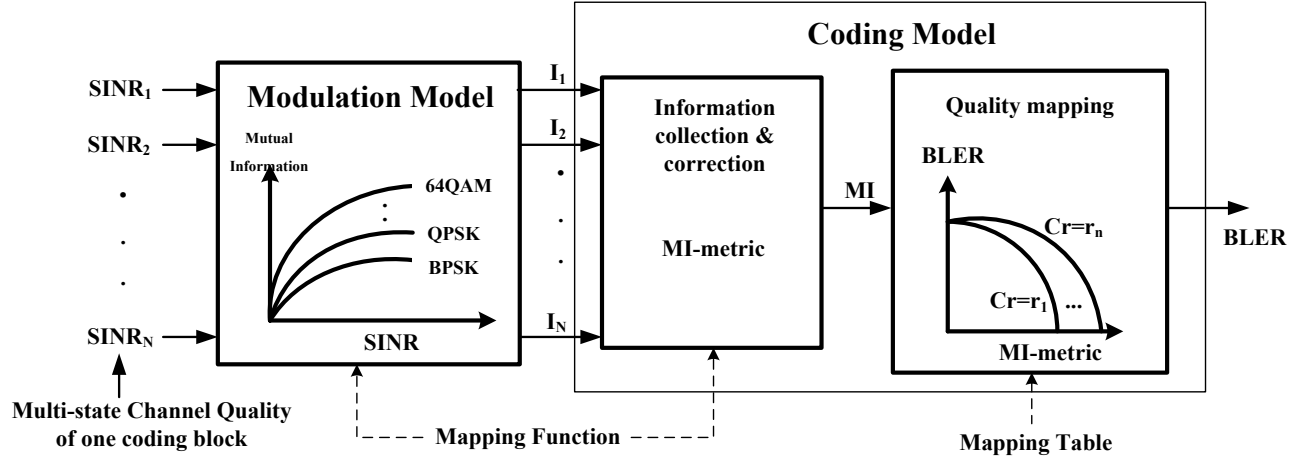
20  
 21 In the case of the mutual information based ESM the function  $\Phi(\bullet)$  is derived from the  
 22 constrained capacity; while in the case of EESM, the function  $\Phi(\bullet)$  is derived from the  
 23 Chernoff bound on the probability of error. In the next three sections, we describe in  
 24 detail these ESM methods.

### 25 **4.3. Mutual Information Based Effective SINR Mapping**

26 The accuracy of a mutual information-based metric depends on the equivalent channel  
 27 over which this metric is defined. Capacity is the mutual information based on a  
 28 Gaussian channel with Gaussian inputs. Modulation constrained capacity is the mutual  
 29 information of a “symbol channel” (i.e. constrained by the input symbols from a complex  
 30 set).

31  
 32 The computation of the mutual information per coded bit can be derived from the  
 33 received symbol-level mutual information; this approach is termed received bit mutual  
 34 information rate (RBIR). An alternative is a method that directly arrives at the bit-level  
 35 mutual information; this method called mean mutual information per bit (MMIB).  
 36

1 A block diagram for the MIESM approaches is shown in Figure 8. Given a set of  $N$   
 2 received encoder symbol SINRs from the system level simulation, denoted as  $SINR_1$ ,  
 3  $SINR_2$ ,  $SINR_3$ , ...,  $SINR_N$ , a mutual information metric is computed. Based on the  
 4 computed MI-metric an equivalent SINR is obtained and used to look-up the BLER.  
 5



6  
7  
8  
9  
Figure 8: Computational procedure for MIESM method.

#### 10 4.3.1. Received Bit Mutual Information Rate (RBIR) ESM (Mandatory)

11 In this section the RBIR ESM PHY abstraction method is described for SISO/SIMO as  
 12 well as for MIMO under various receiver configurations \*\*.

##### 13 4.3.1.1. RBIR Mapping for a SISO/SIMO System

14 For a SISO/SIMO system the symbol mutual information (SI) is given by

$$15 \quad SI(SINR_n, m(n)) = \log_2 M - \frac{1}{M} \sum_{m=1}^M E_U \left\{ \log_2 \left( 1 + \sum_{k=1, k \neq m}^M \exp \left[ -\frac{|X_k - X_m + U|^2 - |U|^2}{(1/SINR_n)} \right] \right) \right\} \quad (39)$$

16 where  $\underline{U}$  is zero mean complex Gaussian with variance  $1/(2SINR_n)$  per component,  
 17  $SINR_n$  is the post-equalizer SINR at the  $n$ -th symbol or sub-carrier and  $m(n)$  is the  
 18 number of bits at the  $n$ -th symbol (or sub-carrier).

19 Assuming  $N$  sub-carriers are used to transmit a coded block, the normalized mutual  
 20 information per received bit (RBIR) is given by  
 21

$$22 \quad RBIR = \frac{\sum_{n=1}^N SI(SINR_n, m(n))}{\sum_{n=1}^N m(n)} \quad (40)$$

\*\* Details of the mathematical derivations are found in [77].



1 The symbol mutual information curves  $SI(SINR, m)$  are generated once in the system  
 2 simulator for each modulation order, and the RBIR values are stored as shown in Table  
 3 24 in 0.5dB SINR increments ranging from -20dB to 27dB.

4  
 5 We note that even though we refer to the coded block being carried over a set of sub-  
 6 carriers, in general, the coded block may be carried over multiple dimensions, including  
 7 the spatial dimensions available with MIMO. Also, note that in the above, the mutual  
 8 information may be computed even with non-uniform modulation across the coded  
 9 block. RBIR provides a direct relationship to the BLER that is dependent only on the  
 10 AWGN link performance curves for a given code rate and is independent of the  
 11 modulation scheme. This feature is useful in computing the PHY abstraction for cases  
 12 where the coded block comprises of mixed modulation symbols.

	QPSK	16QAM	64QAM
SINR Span (dB)	[-20:0.5:27]	[-20:0.5:27]	[-20:0.5:27]
RBIR Value	[0.0072 0.0080 0.0090	[0.0036 0.0040 0.0045	[0.0024 0.0027 0.0030
	0.0101 0.0114 0.0127	0.0050 0.0057 0.0063	0.0034 0.0038 0.0043
	0.0143 0.0159 0.0179	0.0071 0.0080 0.0089	0.0047 0.0054 0.0060
	0.0200 0.0225 0.0251	0.0100 0.0112 0.0126	0.0067 0.0075 0.0084
	0.0282 0.0315 0.0352	0.0141 0.0158 0.0176	0.0094 0.0106 0.0117
	0.0394 0.0442 0.0493	0.0197 0.0221 0.0247	0.0132 0.0147 0.0165
	0.0551 0.0616 0.0688	0.0276 0.0308 0.0344	0.0184 0.0207 0.0229
	0.0767 0.0855 0.0953	0.0384 0.0428 0.0476	0.0257 0.0285 0.0319
	0.1061 0.1180 0.1311	0.0531 0.0590 0.0656	0.0354 0.0396 0.0437
	0.1456 0.1615 0.1788	0.0728 0.0808 0.0895	0.0488 0.0539 0.0599
	0.1978 0.2184 0.2407	0.0990 0.1094 0.1206	0.0660 0.0732 0.0805
	0.2650 0.2910 0.3190	0.1329 0.1461 0.1603	0.0890 0.0974 0.1073
	0.3489 0.3806 0.4141	0.1756 0.1920 0.2094	0.1172 0.1285 0.1398
	0.4493 0.4859 0.5239	0.2279 0.2474 0.2680	0.1525 0.1653 0.1795
	0.5628 0.6024 0.6422	0.2896 0.3122 0.3357	0.1937 0.2092 0.2247
	0.6817 0.7207 0.7584	0.3600 0.3852 0.4112	0.2415 0.2583 0.2763
	0.7944 0.8281 0.8592	0.4379 0.4653 0.4933	0.2942 0.3132 0.3321
	0.8872 0.9119 0.9331	0.5219 0.5509 0.5804	0.3519 0.3718 0.3924
	0.9507 0.9649 0.9760	0.6103 0.6403 0.6709	0.4131 0.4345 0.4558
	0.9842 0.9901 0.9942	0.7014 0.7317 0.7617	0.4778 0.4997 0.5223
0.9968 0.9983 0.9992	0.7910 0.8193 0.8463	0.5448 0.5677 0.5907	
0.9997 0.9999 1.0000	0.8716 0.8949 0.9158	0.6141 0.6374 0.6611	
1.0000 1.0000 1.0000	0.9343 0.9501 0.9633	0.6848 0.7087 0.7325	
1.0000 1.0000 1.0000	0.9739 0.9821 0.9883	0.7564 0.7802 0.8036	
1.0000 1.0000 1.0000	0.9927 0.9957 0.9976	0.8269 0.8489 0.8708	
1.0000 1.0000 1.0000	0.9988 0.9994 0.9997	0.8904 0.9100 0.9262	
1.0000 1.0000 1.0000	0.9999 1.0000 1.0000	0.9425 0.9547 0.9668	
1.0000 1.0000 1.0000	1.0000 1.0000 1.0000	0.9732 0.9796 0.9840	
1.0000 1.0000 1.0000	1.0000 1.0000 1.0000	0.9883 0.9910 0.9937	
1.0000 1.0000 1.0000	1.0000 1.0000 1.0000	0.9954 0.9971 0.9983	
1.0000 1.0000 1.0000	1.0000 1.0000 1.0000	0.9995 0.9998 1.0000	
1.0000 1.0000]	1.0000 1.0000]	1.0000 1.0000]	

Table 24: SINR to RBIR mapping

14  
 15  
 16 In order to derive the mapping between RBIR and BLER, the following steps may be  
 17 considered:

- 1 1. Calculate the effective SINR (SINReff) based on RBIR and Table 24.
- 2 2. Reference the AWGN link performance curves to obtain the mapping between
- 3 SINR and BLER.
- 4 3. Use the SINReff obtained in Step 1 and the mapping obtained in Step 2 to derive
- 5 the mapping between SINReff and BLER.
- 6

#### 7 4.3.1.2. RBIR Mapping for a Linear MIMO Receiver

8 With linear equalizers such as zero-forcing (ZF) and minimum mean-squared error  
 9 (MMSE), each one of the  $N_T$  MIMO streams is treated as an equivalent SISO channel  
 10 with SINRs given by the post combining SINRs of the linear receiver. The same  
 11 procedure is applied to the case of MIMO Matrix A.

#### 12 4.3.1.3. RBIR Mapping for the Maximum-Likelihood (ML) MIMO Receiver

13 The SI in equation (40) can now be rewritten as

$$14 \quad SI = \frac{1}{M} \sum_{i=1}^M \int_{-\infty}^{\infty} p(LLR_i) \log_2 \frac{M}{1 + e^{-LLR_i}} dLLR_i \quad (41)$$

15 where  $p(LLR_i)$  is the conditional pdf of the symbol-level log-likelihood ratio (LLR) of the  
 16  $i$ -th constellation point. The conditional pdf of symbol LLR for an ML receiver can be  
 17 approximated as Gaussian. Note that RBIR PHY abstraction is based on the fixed  
 18 relationship between the LLR distribution and BLER. Hence, a representative LLR  
 19 distribution among  $M$  distributions is considered. Further, using the numerical  
 20 integration method of [73], the mutual information per symbol in Equation (41) can be  
 21 approximated [80] as

$$SI \approx \log_2(M) - \frac{1}{\log_e(2)} \cdot J$$

$$\text{where } J = \left( \frac{J_A + J_B}{2} \right) + \left( \frac{J_A - J_B}{2} \right) \text{sign}(T - J_B) \quad T \approx 0.65,$$

$$J_A = \sqrt{VAR} \left\{ \frac{-\eta}{2} \cdot \text{Erfc} \left( \frac{\eta}{\sqrt{2}} \right) + \frac{1}{\sqrt{2\pi}} \cdot e^{\left( \frac{-\eta^2}{2} \right)} \right\},$$

$$22 \quad \text{the coefficient of variation, } \eta = \frac{AVE}{\sqrt{VAR}}, \quad (42)$$

$$J_B = \frac{2}{3} f(AVE) + \frac{1}{6} f(AVE + \sqrt{3VAR}) + \frac{1}{6} f(AVE - \sqrt{3VAR}),$$

$$f(x) = \log_e(1 + e^{-x}),$$

$$\text{sign}(x) = \begin{cases} +1, & x \geq 0 \\ -1, & x < 0 \end{cases}$$

23

1 From Equation (42), it can be seen that only the mean and variance of the LLR are  
 2 needed to calculate the RBIR metric.

3  
 4 In this section both Vertical and Horizontal encoding are considered. As shown in Table  
 5 25 the mean, AVE and the variance, VAR, are computed as a function of an  
 6 intermediate variable,  $\gamma_{dB}$ , defined as

$$7 \quad \gamma_{dB} = 10 \log_{10} \left( \frac{d^2 |H_k|^2}{\sigma^2} \right),$$

8  
 9 where  $d$  is the minimum distance in the QAM constellation

$$10 \quad d = \begin{cases} \sqrt{2}, & \text{for QPSK} \\ 2/\sqrt{10}, & \text{for 16QAM} \\ 2/\sqrt{42}, & \text{for 64QAM} \end{cases}$$

11  
 12  $H_k$  is the  $k$ -th column vector of the channel matrix  $\mathbf{H} = [H_1 \ H_2]$ , and  $\sigma^2$  is the variance  
 13 of noise plus interference (assuming the interference is also spatially white). In Table 25  
 14  $\gamma_{dB}$  is quantized to 0.5dB increments ranging from -20dB to 30dB.

15  
 16 A detailed derivation of the AVE and VAR as shown in Table 25 is given in Appendix P.  
 17 A block size of 6 subchannels x 4 OFDMA symbols and the PUSC permutation are  
 18 used.  
 19

$\gamma_{dB}$ (dB)	[-20:0.5:30]				
AVE	-0.4016	-0.4123	-0.4233	-0.4344	-0.4457
	-0.4571	-0.4687	-0.4804	-0.4922	-0.5041
	-0.5160	-0.5279	-0.5397	-0.5515	-0.5631
	-0.5745	-0.5856	-0.5962	-0.6065	-0.6161
	-0.6249	-0.6329	-0.6399	-0.6456	-0.6499
	-0.6524	-0.6530	-0.6513	-0.6470	-0.6396
	-0.6287	-0.6139	-0.5944	-0.5697	-0.5391
	-0.5018	-0.4567	-0.4031	-0.3396	-0.2650
	-0.1780	-0.0770	0.0398	0.1743	0.3286
	0.5051	0.7063	0.9352	1.1949	1.4889
	1.8211	2.1959	2.6179	3.0926	3.6259
	4.2245	4.896	5.6491	6.4933	7.4396
	8.5006	9.6904	11.0251	12.5229	14.2045
	16.0930	18.2146	20.5989	23.2784	26.2897
	29.6733	33.4750	37.7458	42.5431	47.9314
	53.9830	60.7788	68.4100	76.9786	86.5992
	97.4004	109.5263	123.1389	138.4197	155.5725
	174.8260	196.4366	220.6922	247.9159	278.4700
	312.7611	351.2455	394.4351	442.9043	497.2976
	558.3381	626.8372	703.7054	789.9640	886.7593
	995.3772]				
VAR	0.2952	0.3003	0.3055	0.3108	0.3162
	0.3218	0.3276	0.3336	0.3400	0.3468

0.3541	0.3620	0.3705	0.3800	0.3904
0.4021	0.4152	0.4301	0.4471	0.4673
0.4887	0.5143	0.5438	0.5779	0.6175
0.6633	0.7164	0.7779	0.8491	0.9316
1.0270	1.1373	1.2645	1.4112	1.5801
1.7741	1.9967	2.2516	2.5430	2.8755
3.2542	3.6849	4.1737	4.7277	5.3548
6.0636	6.8644	7.7680	8.7895	9.9429
11.2474	12.7253	14.4033	16.3140	18.4964
20.9982	23.8761	27.1982	31.0450	35.5109
40.7058	46.7560	53.8056	62.0176	71.5751
82.6815	95.5627	110.4754	127.720	147.6512
170.6826	197.2945	228.0421	263.5665	304.6084
352.0229	406.7979	470.0740	543.1686	627.6030
725.1343	837.7913	967.9172	1118.2180	1291.8186
1492.3277	1723.9127	1991.3863	2300.3061	2657.0904
3069.1507	3545.0462	4094.6610	4729.4092	5462.4720
6309.0710	7286.7839	8415.9098	9719.8896	11225.7930
12964.8798];				

**Table 25: Mean and variance for symbol level LLR**

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16

For MIMO systems, the average, AVE and the variance, VAR are scaled as follows for both horizontal and vertical coding:

$$\begin{aligned}
 AVE_{Stream} &= a \times AVE, & VAR_{Stream} &= VAR & \text{for QPSK, 16QAM} \\
 AVE_{Stream} &= a \times AVE, & VAR_{Stream} &= 2 \times VAR & \text{for 64QAM}
 \end{aligned}
 \tag{43}$$

As seen from Table 26, the parameter  $a$  is referenced based on the channel condition number,  $k$  obtained through the Eigen value decomposition of the channel as

$$\begin{aligned}
 H^H H &= V \begin{bmatrix} \lambda_{\max} & 0 \\ 0 & \lambda_{\min} \end{bmatrix} V^H \Rightarrow k = \frac{\lambda_{\max}}{\lambda_{\min}} \\
 \lambda_{\min} dB &= 10 \log_{10}(\lambda_{\min} / \sigma^2)
 \end{aligned}
 \tag{44}$$

The parameter  $a$  in Equation (43) is optimized to minimize the difference between effective SINR and AWGN SINR for every definite BLER. The parameter 'a' has been found to be independent of power delay profiles and MIMO channel models. The search procedure used to obtain the parameter  $a$  is described in Appendix P. A block size of 6 subchannels x 4 OFDMA symbols and the PUSC permutation are used in the parameter search.

		QPSK 1/2	QPSK 3/4	16QAM 1/2	16QAM 3/4	64QAM 1/2	64QAM 2/3	64QAM 3/4	64QAM 5/6
$k < 10$ $\lambda_{\min} dB \leq -10$	1 <sup>st</sup> Stream	3.7500	2.7000	5.0000	3.4000	5.0000	5.0000	0.1000	2.1000
	2 <sup>nd</sup> Stream	5.0000	1.9000	5.0000	2.3000	5.0000	5.0000	0.1000	3.0000
$k < 10$ $-10 < \lambda_{\min} dB \leq 8$	1 <sup>st</sup> Stream	3.0000	4.9000	0.4000	1.8000	2.1000	2.1000	2.7000	0.9000
	2 <sup>nd</sup> Stream	2.9000	4.9000	0.1000	1.5111	3.8556	2.5000	2.5000	1.3000

	Stream								
$k < 10$ $\lambda_{\min} dB > 8$	1 <sup>st</sup> Stream	1.5000	1.0000	1.3200	2.1000	0.4300	1.1111	1.5000	5.0000
	2 <sup>nd</sup> Stream	1.5000	1.0000	2.0000	3.1000	0.4300	1.1000	1.6000	4.8000
$10 \leq k < 100$ $\lambda_{\min} dB \leq -10$	1 <sup>st</sup> Stream	2.8500	1.7000	1.0000	0.6778	5.0000	4.1000	3.5000	3.3000
	2 <sup>nd</sup> Stream	2.4000	1.7556	1.0000	0.8111	5.0000	2.7000	4.5000	3.4000
$10 \leq k < 100$ $-10 < \lambda_{\min} dB \leq 8$	1 <sup>st</sup> Stream	0.1500	0.8000	0.1000	1.0556	0.1000	1.1000	1.3000	1.5000
	2 <sup>nd</sup> Stream	0.4500	0.8000	0.0444	0.9889	0.1000	1.1889	1.2000	1.6000
$10 \leq k < 100$ $\lambda_{\min} dB > 8$	1 <sup>st</sup> Stream	1.5000	1.0000	1.1000	2.7000	2.1000	1.4000	1.3000	1.9000
	2 <sup>nd</sup> Stream	1.5000	1.0000	2.0000	1.4000	1.0889	1.3778	1.9000	1.4000
$k \geq 100$ $\lambda_{\min} dB \leq -10$	1 <sup>st</sup> Stream	0.7500	0.8667	0.3556	0.3889	0.5000	0.5222	0.6000	0.3000
	2 <sup>nd</sup> Stream	0.7500	0.8444	0.2778	0.2667	0.7000	0.3000	0.4000	0.5000
$k \geq 100$ $-10 < \lambda_{\min} dB \leq 8$	1 <sup>st</sup> Stream	0.1500	0.1000	0.9000	1.0444	0.6889	1.0333	1.0000	1.1000
	2 <sup>nd</sup> Stream	0.1500	0.1000	1.0000	1.5000	0.7444	1.1111	1.1000	1.0000
$k \geq 100$ $\lambda_{\min} dB > 8$	1 <sup>st</sup> Stream	1.5000	1.0000	1.0000	5.0000	5.0000	3.5667	1.2000	1.2000
	2 <sup>nd</sup> Stream	1.5000	1.0000	1.0000	5.0000	5.0000	4.1222	0.1000	2.0000

Table 26: Values for parameter  $a$ Horizontal Encoding:

For a 2x2 system using MIMO Matrix B and horizontal encoding, the conditional PDF of symbol LLR output is approximated as Gaussian for each of the two streams and is given by

$$\begin{aligned} p(LLR_1) &= N(AVE_{Stream1}, VAR_{Stream1}) \\ p(LLR_2) &= N(AVE_{Stream2}, VAR_{Stream2}) \end{aligned} \quad (45)$$

where  $AVE_{Stream1}$ ,  $AVE_{Stream2}$ ,  $VAR_{Stream1}$  and  $VAR_{Stream2}$  are obtained as shown in Equation (43). The symbol mutual information is then computed based on the approximation in equation (42) and substituted in equation (40) to compute the RBIR metric.

Vertical Encoding:

For a 2x2 system using MIMO Matrix B and vertical encoding, the distribution of the LLR from an ML receiver can be approximated as a Gaussian mixture. Thus, the PDF of LLR can be expressed as a weighted sum given by

$$p(LLR_{MIMO}) = p_1 \cdot N(AVE_{stream1}, VAR_{stream1}) + p_2 \cdot N(AVE_{stream2}, VAR_{stream2}) \quad (46)$$

1 where the parameters  $p_1$  and  $p_2$  are given in Table 27. Thus, SI is also a weighted sum  
 2 of two SI values given by

$$3 \quad SI = p_1 \cdot SI_{stream1} + p_2 \cdot SI_{stream2} \quad (47)$$

4 Note that  $SI_{stream1}$  and  $SI_{stream2}$  are computed based on Equation (42) and finally the SI of  
 5 Equation (47) is substituted in Equation (40) to compute the RBIR metric.  
 6

		QPSK 1/2	QPSK 3/4	16QAM 1/2	16QAM 3/4	64QAM 1/2	64QAM 2/3	64QAM 3/4	64QAM 5/6
$k < 10$ $\lambda_{min} dB \leq -10$	$p_1$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
	$p_2$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
$k < 10$ $-10 < \lambda_{min} dB \leq 8$	$p_1$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
	$p_2$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
$k < 10$ $\lambda_{min} dB > 8$	$p_1$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
	$p_2$	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000
$10 \leq k < 100$ $\lambda_{min} dB \leq -10$	$p_1$	0.5088	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.4966
	$p_2$	0.4812	0.5000	0.5000	0.5000	0.5000	0.5000	0.5000	0.5034
$10 \leq k < 100$ $-10 < \lambda_{min} dB \leq 8$	$p_1$	0.5094	0.5000	0.4688	0.4900	0.5200	0.4688	0.5000	0.5000
	$p_2$	0.4906	0.5000	0.5312	0.5100	0.4800	0.5312	0.5000	0.5000
$10 \leq k < 100$ $\lambda_{min} dB > 8$	$p_1$	0.5218	0.5184	0.5625	0.5000	0.5000	0.5156	0.5000	0.5000
	$p_2$	0.4782	0.4816	0.4375	0.5000	0.5000	0.4844	0.5000	0.5000
$k \geq 100$ $\lambda_{min} dB \leq -10$	$p_1$	0.5000	0.5000	0.5538	0.5200	0.5000	0.5000	0.5222	0.5128
	$p_2$	0.5000	0.5000	0.4462	0.4800	0.5000	0.5000	0.4778	0.4872
$k \geq 100$ $-10 < \lambda_{min} dB \leq 8$	$p_1$	0.5000	0.5000	0.5469	0.5000	0.5178	0.5469	0.5000	0.5000
	$p_2$	0.5000	0.5000	0.4531	0.5000	0.4822	0.4531	0.5000	0.5000
$k \geq 100$ $\lambda_{min} dB > 8$	$p_1$	0.4922	0.5000	0.5312	0.5000	0.5000	0.5312	0.5000	0.5178
	$p_2$	0.5078	0.5000	0.4688	0.5000	0.5000	0.4688	0.5000	0.4822

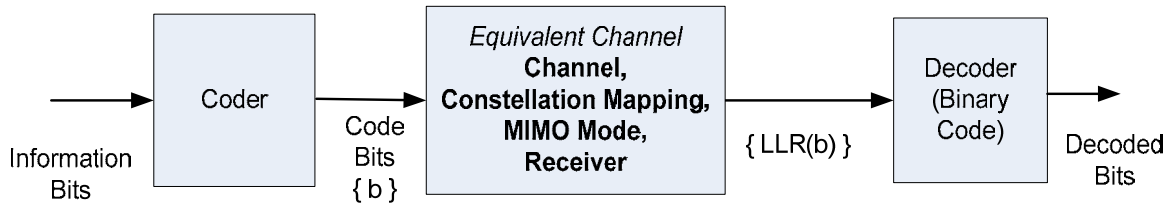
7 **Table 27: Values of  $p_1$  and  $p_2$  for SM with Vertical Encoding**

8  
 9 The parameters  $p_1$  and  $p_2$  in Table 27 have been optimized to minimize the difference  
 10 between effective SINR and AWGN SINR for every definite BLER. The procedure used  
 11 to obtain the parameters  $p_1$  and  $p_2$  is described in Appendix P. A block size of 6  
 12 subchannels x 4 OFDMA symbols and the PUSC permutation are used in the  
 13 parameter search.  
 14

### 15 **4.3.2. Mean Mutual Information per Bit (MMIB) ESM**

16 It is possible to obtain the mutual information per bit metric from the symbol channel by  
 17 simply normalizing this constrained capacity (i.e. by dividing by the modulation order) as  
 18 done in the RBIR method. Note, however that the symbol channel does not account for  
 19 the constellation mapping, i.e. the mapping of bits to symbols in the constellation, thus it  
 20 is invariable to different bit-to-symbol mappings. An alternative method is to define the  
 21 mutual information on the bit channel itself, which we will refer to as the mutual  
 22 information per coded Bit or MIB (or MMIB when a mean of multiple MIBs is involved). It  
 23 is however possible that for certain constellation mappings (say Gray encoding) MMIB  
 24 and RBIR functions may be similar.  
 25

1 More generally, given that our goal is to abstract the performance of the underlying  
 2 binary code, the closest approximation to the actual decoder performance is obtained  
 3 by defining an information channel at the coder-decoder level, i.e. defining the mutual  
 4 information between bit input (into the QAM mapping) and LLR output (out of the LLR  
 5 computing engine at the receiver), as shown in Figure 9. The concept of “bit channel”  
 6 encompasses SIMO/MIMO channels and receivers. It is demonstrated that this  
 7 definition will greatly simplify the PHY abstraction by moving away from an empirically  
 8 adjusted model and introducing instead MIB functions of equivalent bit channels<sup>††</sup>.  
 9



10 **Figure 9: Bit Interleaved coded modulation system**

11  
 12  
 13 In the bit channel of Figure 9, the task now is to define functions that capture the mutual  
 14 information per bit. The following sections further develop an efficient approach for MIB  
 15 computation by approximating the LLR PDF with a mixture of Gaussian PDFs. We will  
 16 begin with the development of explicit functions for MIBs in SISO and later extend it to  
 17 MIMO.  
 18

19 The concept of deriving mutual information between coded bits and their LLR values  
 20 was also well known from work in MIESM for BPSK [41]. For BPSK, however, bit-level  
 21 capacity is the same as symbol-level capacity.

#### 22 **4.3.2.1. MIB Mapping for SISO Systems**

23 The mutual information (MI) of the coded bit is dependent on the actual constellation  
 24 mapping. The MI of each bit-channel is obtained and averaged across the bits in a QAM  
 25 symbol. After encoding (e.g. Turbo or CTC), a binary coded bit stream  $c_k$  is generated  
 26 before QAM mapping. The QAM modulation can be represented as a labeling map  
 27  $\mu: A \rightarrow X$ , where  $A$  is the set of  $m$ -tuples,  $m \in \{2, 4, 6\}$  to represent QPSK, 16 and 64-  
 28 QAM, of binary bits and  $X$  is the constellation. Given the observation  $y_n$  corresponding  
 29 to the  $n^{\text{th}}$  QAM symbol in a codeword, the demodulator computes the log-likelihood  
 30 ratio (LLR)  $LLR(b_{i,n})$  of the  $i^{\text{th}}$  bit comprising the symbol via the following expression  
 31 (where the symbol index  $n$  is dropped for convenience)

$$32 \quad LLR(b_i) = \ln \left( \frac{P(y | b_i = 1)}{P(y | b_i = 0)} \right) \quad (48)$$

33 When the coded block sizes are very large in a bit-interleaved coded modulation  
 34 system, the bit interleaver effectively breaks up the memory of the modulator, and the

<sup>††</sup> Additional details are found in [78].

1 system can be represented as a set of parallel independent bit-channels [39].  
2 Conceptually, the entire encoding process can be represented as shown in Figure 9.

3 Due to the asymmetry of the modulation map, each bit location in the modulated symbol  
4 experiences a different 'equivalent' bit-channel. In the above model, each coded bit is  
5 randomly mapped (with probability  $1/m$ ) to one of the  $m$  bit-channels. The mutual  
6 information of the equivalent channel can be expressed as:

$$7 \quad I(b, LLR) = \frac{1}{m} \sum_{i=1}^m I(b_i, LLR(b_i)) \quad (49)$$

8 where  $I(b_i, LLR(b_i))$  is the mutual information between input bit and output LLR for  $i^{th}$  bit  
9 in the modulation map. As can be seen, the bit LLR reflects the demodulation process  
10 to compute LLR, which was not reflected in the symbol-level MI and the RBIR defined  
11 above. This is the main difference between the bit- and symbol-level MI definitions.

12  
13 More generally, however, the mean mutual information – computed by considering the  
14 observations over  $N$  symbols (or channel uses) – over the codeword may be computed  
15 as

$$16 \quad M_I = \frac{1}{mN} \sum_{n=1}^N \sum_{i=1}^m I(b_i^{(n)}, LLR(b_i^{(n)})) \quad (50)$$

17 The mutual information function  $I(b_i^{(n)}, LLR(b_i^{(n)}))$  is, of course, a function of the QAM  
18 symbol SINR, and so the mean mutual information  $M_I$  (MMIB) may be alternatively  
19 written as

$$20 \quad M_I = \frac{1}{mN} \sum_{n=1}^N \sum_{i=1}^m I_{m, b_i^{(n)}}(SINR_n) = \frac{1}{N} \sum_{n=1}^N I_m(SINR_n) \quad (51)$$

21 The mean mutual information is dependent on the SINR on each modulation symbol  
22 (index  $n$ ) and the code bit index  $i$  (or  $i$ -th bit channel), and varies with the constellation  
23 order  $m$ . Accordingly, the relationship  $I_{m, b_i^{(n)}}(SINR)$  is required for each modulation type  
24 and component bit index in order to construct  $I_m(SINR)$ .<sup>‡‡</sup>

25  
26 For BPSK/QPSK, a closed form expression is given in [39]-[40], which is a non-linear  
27 function that can be approximated in polynomial form. For the particular case of  
28 BPSK/QPSK, the function would be the same as that obtained by defining the mutual  
29 information of a symbol channel (symbol channel is just a bit channel for BPSK).

30  
31 For BPSK, conditional LLR PDF is Gaussian and the MIB can be expressed as

---

<sup>‡</sup> Note that in the 802.16e specification, bit indexing typically proceeds from 0.



$$J(x) \approx \begin{cases} a_1x^3 + b_1x^2 + c_1x, & \text{if } x \leq 1.6363 \\ 1 - \exp(a_2x^3 + b_2x^2 + c_2x + d_2) & \text{if } 1.6363 \leq x \leq \infty \end{cases} \quad (52)$$

where  $a_1 = -0.04210661$ ,  $b_1 = 0.209252$  and  $c_1 = -0.00640081$  for the first approximation, and where  $a_2 = 0.00181492$ ,  $b_2 = -0.142675$ ,  $c_2 = -0.0822054$  and  $d_2 = 0.0549608$  for the second approximation.

The inverse function needed for the effective SINR computation is given by

$$J^{-1}(y) \approx \begin{cases} a_3y^2 + b_3y + c_3\sqrt{y}, & \text{if } 0 \leq y \leq 0.3646 \\ a_4 \log_e [b_4(y-1)] + c_4y & \text{if } 0.3646 < y \leq 1 \end{cases} \quad (53)$$

where  $a_3 = 1.09542$ ,  $b_3 = 0.214217$ ,  $c_3 = 2.33727$ ,  $a_4 = -0.706692$ ,  $b_4 = -0.386013$ ,  $c_4 = 1.75017$ .

It can be shown that the LLR PDFs for any other modulation can be approximated as a mixture of Gaussian distributions that are non-overlapping at high SINR. It then follows that the corresponding MIB can be expressed as a sum of  $J(\bullet)$  functions, i.e.

$$I_m(x) = \sum_{k=1}^K a_k J(c_k x) \quad \text{and} \quad \sum_{k=1}^K a_k = 1$$

We will use this parameterized function for expressing all non-linear MIB functions. The corresponding parameters themselves would be a function of the modulation.

The optimized functions for QPSK, 16-QAM and 64-QAM are given in Table 28.

MIB Function	Numerical Approximation
$I_2(\gamma)$ (QPSK)	$J(2\sqrt{\gamma})$ ( <i>Exact</i> )
$I_4(\gamma)$ (16-QAM)	$\frac{1}{2}J(0.8\sqrt{\gamma}) + \frac{1}{4}J(2.17\sqrt{\gamma}) + \frac{1}{4}J(0.965\sqrt{\gamma})$
$I_6(\gamma)$ (64-QAM)	$\frac{1}{3}J(1.47\sqrt{\gamma}) + \frac{1}{3}J(0.529\sqrt{\gamma}) + \frac{1}{3}J(0.366\sqrt{\gamma})$

Table 28: Numerical approximations for MIB mappings

Once the MMIB is computed using equation (52) and Table 28 over a set of sub-carriers corresponding to coded symbols, a direct MMIB to BLER relationship can be used to obtain block error rate, without necessarily defining an effective SINR.

Lookup tables for the AWGN reference curves for different MCS levels can be used in order to map the MMIB to BLER. Another alternative is to approximate the reference curve with a parametric function. For example, we consider a Gaussian cumulative

1 model with 3 parameters which provides a close fit to the AWGN performance curve,  
2 parameterized as

$$3 \quad y = \frac{a}{2} \left[ 1 - \operatorname{erf} \left( \frac{x-b}{\sqrt{2}c} \right) \right], \quad c \neq 0 \quad (54)$$

4 where  $a$  is the “transition height” of the error rate curve,  $b$  is the “transition center” and  
5  $c$  is related to the “transition width” (transition width =  $1.349c$ ) of the Gaussian  
6 cumulative distribution. The parameter  $a$  can be set to 1, and the mapping requires only  
7 two parameters, which are given for each MCS index in the table below. The accuracy  
8 of the curve fit with this model is verified with MCS modes supported in 802.16e as  
9 shown in Figure 10. This parameterization of AWGN reference considerably simplifies  
10 the storage and simulation requirements.

11  
12 So, for each MCS the BLER is obtained as

$$13 \quad BLER_{MCS} = \frac{1}{2} \left[ 1 - \operatorname{erf} \left( \frac{x-b_{MCS}}{\sqrt{2}c_{MCS}} \right) \right], \quad c \neq 0 \quad (55)$$

14  
15 Figure 10 is a plot of the MMIB versus BLER for parameters based on the 802.16e  
16 system using 6 different MCSs with rates 1/2 and 3/4 on an AWGN channel. It can be  
17 seen from Figure 10 that, to a first-order approximation, the mapping from MMIB to  
18 BLER can be assumed independent of the QAM modulation type. However, since code  
19 performance is strongly dependent on code sizes and code rates,  $BLER_{MCS}$  will not be  
20 independent of these parameters. Further, we can achieve an additional simplification.

21  
22 With the above result, we can achieve the following simplification: We generalize the  
23 AWGN reference curves to be a function of the block size and coding rate (BCR) only,  
24 thus

$$25 \quad BLER_{BCR} = \frac{1}{2} \left[ 1 - \operatorname{erf} \left( \frac{x-b_{BCR}}{\sqrt{2}c_{BCR}} \right) \right], \quad c \neq 0 \quad (56)$$

26 With this simplification, only two parameters need to be stored for each supported BCR.

27  
28 Note: The choice of this particular MMIB to BLER mapping is due to the underlying  
29 physical interpretation. The parameter  $b$  is closely related to the binary code rate and  
30 will be equal to the code rate for an ideally designed code. Similarly, parameter  $c$   
31 represented the rate of fall of the curve and is also related to the block size.

32  
33 Table 29 shows the parameters based on the performance in a static AWGN channel.  
34

BCR Index	Code Rate	Information Word Length	Code Word Length (bits)	$b_{BCR}$	$c_{BCR}$
-----------	-----------	-------------------------	-------------------------	-----------	-----------

		(bits)			
1	1/2	432	864	0.5512	0.0307
2	1/2	480	960	0.5512	0.0307
3	3/4	432	576	0.7863	0.03375
4	2/3	384	576	0.7082	0.0300
5	5/6	480	576	0.8565	0.02622

Table 29: Parameters for Gaussian cumulative approximation

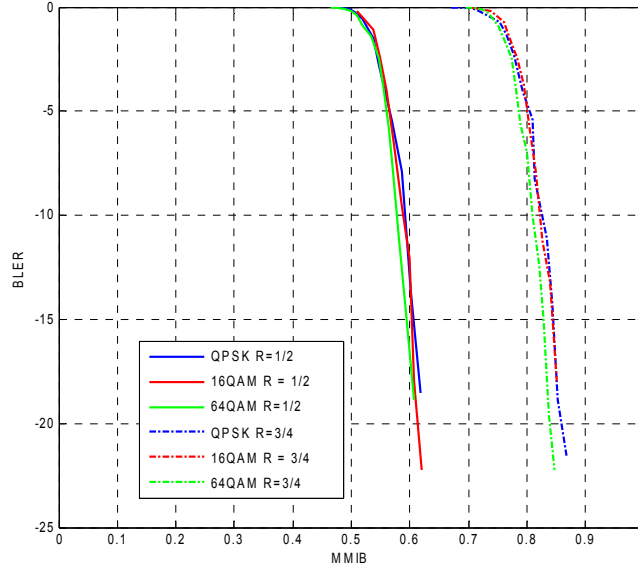


Figure 10: BLER (log<sub>10</sub> scale) mappings for MMIB from AWGN performance results

#### 4.3.2.2. MIMO Receiver Abstraction

With linear receivers like MMSE, each one of the  $N_T$  MIMO streams is treated as an equivalent SISO channel with SINRs given by post combining SINRs of the linear receiver. For vertically encoded SM, the MIB can be obtained as

$$M_I = \frac{1}{NN_T} \sum_{n=1}^N \sum_{k=1}^{N_T} I_m(\gamma_{nk})$$

and (57)

$$BLER = B_{BCR}(M_I)$$

where  $\gamma_{nk}$  is the post combining SINR of the  $k$ -th layer on the  $n$ -th sub-carrier,  $N_T$  is the number of transmit antennas,  $N$  is the total number of coded sub-carriers, and the mapping functions  $I_m(\cdot)$  and  $B_{BCR}(\cdot)$  are defined in sections on SISO for each BCR. Note that the block size should correspond to the total codeword size of the  $N_T$  streams.

### 1 4.3.2.3. MIMO ML Receiver Abstraction

2 MMIB can be evaluated for an ML receiver. In this section, we summarize the ML  
3 receiver abstraction to optimally compute MIB with the ML receiver using mixture  
4 Gaussian models for LLR PDFs.

5  
6 With vertical encoding, a codeword is transmitted on both the streams. In this case, for  
7 the purpose of code performance prediction, a single MIB metric is sufficient, which is  
8 the average MIB of the two streams. This section describes the computation of this  
9 metric for each modulation.

10

11 1) Obtain the Eigen value decomposition of the equivalent channel matrix

$$12 \quad H^H H = V D V^H \quad (58)$$

13 such that  $D$  is a diagonal matrix given by

$$14 \quad D = \begin{pmatrix} \lambda_{\max} & 0 \\ 0 & \lambda_{\min} \end{pmatrix} \quad (59)$$

15 where

$$16 \quad \begin{aligned} \lambda_{\min} &= \text{Minimum Eigen Value} \\ \lambda_{\max} &= \text{Maximum Eigen Value} \end{aligned} \quad (60)$$

17 2) From the decomposition obtain the 3<sup>rd</sup> parameter

$$18 \quad \begin{aligned} p_a &= \text{Eigen mode subspace power distribution} = \min\{p, 1-p\} \\ \text{where } |V| \cdot |V| &= \begin{pmatrix} p & 1-p \\ 1-p & p \end{pmatrix}, \quad 0 \leq p \leq 1 \end{aligned} \quad (61)$$

19 where  $|V|$  denotes the matrix after taking element-wise absolute values, and  $\cdot$   
20 represents the operation of element-wise multiplication.

21

22 3) Obtain the following array of conditional means sorted in ascending order

$$23 \quad \begin{aligned} \gamma &= \text{sort}_{asc} \{ \lambda_{\max} p_a + \lambda_{\min} (1-p_a), \lambda_{\min} p_a + \lambda_{\max} (1-p_a), \\ &\quad \lambda_{\max} (1-2\sqrt{p_a(1-p_a)}) + \lambda_{\min} (1+2\sqrt{p_a(1-p_a)}) \} \end{aligned} \quad (62)$$

24 4)

25 i) For QPSK, the MMIB of the MIMO symbol is

$$26 \quad I_2^{(2 \times 2)}(\lambda_{\min}, \lambda_{\max}, P_a) = \frac{1}{2} J(a\sqrt{\gamma(1)}) + \frac{1}{2} J(b\sqrt{\gamma(2)}), \quad a = 0.85, b = 1.19 \quad (63)$$

27 where  $I_m^{(2 \times 2)}(\cdot)$  is the 2x2 SM MI function for modulation level  $m$ .

1 ii) For 16QAM and 64QAM, the 2x2 SM MI mapping is modeled as

$$2 \quad I_m^{(2 \times 2)}(\lambda_{\min}, \lambda_{\max}, p_a) = \frac{1}{3} \left[ J(a_m \sqrt{\gamma(1)}) + J(b_m \sqrt{\gamma(2)}) + J(c_m \sqrt{\gamma(3)}) \right] \quad (64)$$

3 where  $a_m$ ,  $b_m$  and  $c_m$  are the parameters which are listed in Table 30 and Table 31 for  
4 each SINR and condition number ( $\kappa = \lambda_{\max} / \lambda_{\min}$ ) partition.

5

16 QAM	$1 < \kappa \leq 10$	$10 < \kappa \leq 100$	$\kappa > 100$
$-10dB < \lambda_{\min, dB} < 8dB$	$a = 0.48, b = 0.27$ $c = 0.69$	$a = 0.40, b = 0.21$ $c = 0.56$	$a = 0.32, b = 0.13$ $c = 0.37$
$\lambda_{\min, dB} > 8dB$	$a = 0.35, b = 0.43$ $c = 0.59$	$a = 0.37, b = 0.33$ $c = 100$	$a = 0.42, b = 0.11$ $c = 100$

6 **Table 30: Numerical approximation for 16QAM 2x2 SM**

7

64 QAM	$1 < \kappa \leq 10$	$10 < \kappa \leq 100$	$\kappa > 100$
$-10dB < \lambda_{\min, dB} < 8dB$	$a = 0.23, b = 0.16$ $c = 0.59$	$a = 0.12, b = 0.12$ $c = 0.38$	$a = 0.08, b = 0.07$ $c = 0.17$
$\lambda_{\min} > 8dB$	$a = 0.20, b = 0.21$ $c = 0.62$	$a = 0.22, b = 0.13$ $c = 100$	$a = 0.24, b = 0.08$ $c = 100$

8 **Table 31: Numerical approximation for 64 QAM 2x2 SM**

9

10 where  $\lambda_{\min, dB} = 10 \log_{10}(\lambda_{\min})$ .

11

12 The MMIB of the channel realization is given by

$$13 \quad M_I^{(2 \times 2)} = \frac{1}{N} \sum_{i=1}^N I_m^{(2 \times 2)}(\lambda_{\min}(\mathbf{H}_i), \lambda_{\max}(\mathbf{H}_i), p_a(\mathbf{H}_i)) \quad (65)$$

14 where  $\mathbf{H}_i$  is the  $N_R \times 2$  channel matrix on the  $i$ -th sub-carrier.

15 The MMIB to BLER mapping is similar to that of SISO as in section 4.3.2.1. The code  
16 size should correspond to the total codeword size on the two streams.

### 17 4.3.3. Exponential ESM (EESM)

18 The EESM abstraction method is given by

$$19 \quad SINR_{eff} = -\beta \ln \left( \frac{1}{N} \sum_{n=1}^N \exp \left( -\frac{SINR_n}{\beta} \right) \right) \quad (66)$$

20 where  $\beta$  is a value for optimization/adjustment that depends on the MCS and the  
21 encoding block length. A table of these  $\beta$  values shall be provided once the numerology  
22 has been decided.

#### 1 4.4. Per-tone SINR Computation

2 All PHY abstraction metrics are computed as a function of post-processing per-tone  
3 SINR values across the coded block at the input to the decoder. The post-processing  
4 per-tone SINR is therefore dependent on the transmitter/receiver algorithm used to  
5 modulate/demodulate the symbols.

##### 6 4.4.1. Per-tone Post Processing SINR for SISO

7 As an illustration of how the post-processing per-tone SINR values can be computed,  
8 we first consider the simple case of a single-input-single output (SISO) system with a  
9 matched filter receiver. Without loss of generality, let the target user/sector be denoted  
10 by the index 0. The received signal at the  $n$ -th sub-carrier for the target user is  
11 calculated as:

$$12 \quad Y^{(0)}(n) = \sqrt{P_{tx}^{(0)} P_{loss}^{(0)}} H^{(0)}(n) X^{(0)}(n) + \sum_{j=1}^{N_I} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} H^{(j)}(n) X^{(j)}(n) + U^{(0)}(n) \quad (67)$$

13 where

14  $N_I$  is the number of interferers,

15  $P_{tx}^{(j)}$  is the total transmit power from  $j$ -th BS (per sector) or MS,

16  $P_{loss}^{(j)}$  is the distance dependent path loss including shadowing and antenna gain/loss and  
17 cable losses from the  $j$ -th sector or MS,  $P_{loss}^{(j)}$  (is a linear term) that is smaller or equal  
18 to unity,

19  $H^{(j)}(n)$  is the channel gain for the desired MS for the  $n$ -th sub-carrier and  $j$ -th  
20 user/sector,

21  $X^{(j)}(n)$  is the transmitted symbols by the  $j$ -th user/sector on the  $n$ -th sub-carrier,

22  $U^{(0)}(n)$  is the receiver thermal noise, modeled as AWGN noise with zero mean and  
23 variance  $\sigma^2$ .

24  
25 Using a matched filter receiver, given by  $H^{(0)}(n)^* Y^{(0)}(n)$ , the post-processing SINR  
26 may be expressed as

$$27 \quad SINR^{(0)}(n) = \frac{P_{tx}^{(0)} P_{loss}^{(0)} |H^{(0)}(n)|^2}{\sigma^2 + \sum_{j=1}^{N_I} P_{tx}^{(j)} P_{loss}^{(j)} |H^{(j)}(n)|^2} \quad (68)$$

##### 28 4.4.2. Per-tone Post Processing SINR for SIMO with MRC

29 In order to obtain the per tone post processing SINR for the SIMO with MRC, we  
30 consider a 1 transmit and  $N_R$  receive antennas system. The received signal at the  $n$ -th  
31 sub-carrier in the  $r$ -th receive antenna is expressed as

$$1 \quad Y_r^{(0)}(n) = \sqrt{P_{tx}^{(0)} P_{loss}^{(0)}} H_r^{(0)}(n) X^{(0)}(n) + \sum_{j=1}^{N_I} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} H_r^{(j)}(n) X^{(j)}(n) + U_r^{(0)}(n) \quad (69)$$

2 After MRC process, the post-processing SINR of the desired user for the  $n$ -th sub-  
3 carrier is given as

$$4 \quad SINR^{(0)}(n) = \frac{P_{tx}^{(0)} P_{loss}^{(0)} \left( \sum_{r=0}^{N_R-1} |H_r^{(0)}(n)|^2 \right)^2}{\left( \sum_{r=0}^{N_R-1} |H_r^{(0)}(n)|^2 \right) \sigma^2 + \sum_{j=1}^{N_I} P_{tx}^{(j)} P_{loss}^{(j)} \left| \sum_{r=0}^{N_R-1} H_r^{(0)}(n)^* H_r^{(j)}(n) \right|^2} \quad (70)$$

### 5 4.4.3. Per-tone Post Processing SINR for MIMO STBC with MRC

6 In order to obtain the per tone post processing SINR for the MIMO STBC (matrix A), we  
7 consider a 2 transmit and  $N_R$  receive antennas system. The interferers are divided into  
8 the set with STBC and the set with non-STBC because interference statistics are  
9 different from each other. The received signal at the  $n$ -th sub-carrier in the 1<sup>st</sup> and the  
10 2<sup>nd</sup> STBC symbol interval are expressed as

$$11 \quad Y_r^{(0)}(n,0) = \sum_{j \in STBCset} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} \left( H_{0,r}^{(j)}(n) X_0^{(j)}(n,0) - H_{1,r}^{(j)}(n) X_0^{(j)}(n,1)^* \right) +$$

$$\sum_{j \notin STBCset} \sum_{t=0}^{N_t^{(j)}-1} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} H_{t,r}^{(j)}(n) X_t^{(j)}(n,0) + U_r^{(0)}(n,0),$$

$$12 \quad Y_r^{(0)}(n,1) = \sum_{j \in STBCset} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} \left( H_{0,r}^{(j)}(n) X_0^{(j)}(n,1) + H_{1,r}^{(j)}(n) X_0^{(j)}(n,0)^* \right) +$$

$$\sum_{j \notin STBCset} \sum_{t=0}^{N_t^{(j)}-1} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} H_{t,r}^{(j)}(n) X_t^{(j)}(n,1) + U_r^{(0)}(n,1), \quad (71)$$

12 where

13  $STBCset$ , is a set for transmit with MIMO STBC. The index 0 is for the desired user and  
14 others are for interferers that transmit with MIMO STBC, and includes the interferers  
15 who transmit with MIMO STBC,

16  $r$  is the received antenna index,

17  $t$  is the transmit antenna index,

18  $N_t^{(j)}$  is the number of transmitting antennas for the  $j$ -th interferer with non-STBC  
19 transmission,

20  $Y_r^{(0)}(n,i)$  is the received signal in the  $i$ -th STBC symbol interval for the target user,  
21  $i = 0,1$ ,

22  $X_t^{(j)}(n,i)$  is the transmitted symbol in the  $i$ -th STBC symbol interval,  $i = 0,1$ ,

- 1 In the case of non-STBC, if we define transmitted symbol vector  
 2  $X^{(j)}(n) \triangleq [X^{(j)}(n,0)^T, X^{(j)}(n,1)^T]^T$  (where  $X^{(j)}(n,i) \triangleq [X_0^{(j)}(n,i), \dots, X_{N_T^{(j)}-1}^{(j)}(n,i)]^T$ ), covariance  
 3 of vectors  $X^{(j)}(n)$  are  $\sigma_j^2 I_{2N_T^{(j)} \times 2N_T^{(j)}}$   $j \notin STBCset$   
 4 In the case of STBC,  $X_0^{(j)}(n,0) = X_1^{(j)}(n,1)^*$ ,  $X_1^{(j)}(n,0) = -X_0^{(j)}(n,1)^*$  and the covariance of  
 5 symbol vector  $X^{(j)}(n,0)$  is  $\sigma_j^2 I_{2 \times 2}$   $j \in STBCset$ ,  
 6  $H_{t,r}^{(j)}(n)$  is the channel gain between the  $t$ -th transmit and the  $r$ -th receive antenna, and  
 7 is assumed to be static for two STBC symbols,  
 8  $U_r^{(0)}(n,i)$  is the receiver thermal noise in the  $i$ -th STBC symbol interval,  $i = 0,1$ , and  
 9 modeled as AWGN noise with zero mean and variance  $\sigma^2$ .

10

11 The 1<sup>st</sup> and the 2<sup>nd</sup> STBC symbols are obtained through the following processes as

12

$$\begin{aligned} \hat{X}^{(0)}(n,0) &= \sum_{r=0}^{N_R-1} \left( H_{0,r}^{(0)*}(n) Y_r^{(0)}(n,0) + H_{1,r}^{(0)}(n) Y_r^{(0)}(n,1)^* \right) \\ \hat{X}^{(0)}(n,1) &= \sum_{r=0}^{N_R-1} \left( H_{1,r}^{(0)}(n)^* Y_r^{(0)}(n,0) - H_{0,r}^{(0)}(n) Y_r^{(0)}(n,1)^* \right) \end{aligned} \quad (72)$$

13

14 After decoding process of STBC, the post-processing SINR of the desired user for the  
 15  $n$ -th sub-carrier SINR is given as

16

$$SINR^{(0)}(n) = \frac{P_S}{P_N + P_{I\_NonSTBC} + P_{I\_STBC}} \quad (73)$$

17 where

$$P_S = P_{tx}^{(0)} P_{loss}^{(0)} \sigma_0^2 \left( \sum_{t=0}^1 \sum_{r=0}^{N_R-1} |H_{t,r}^{(0)}(n)|^2 \right),$$

18

$$P_N = \left( \sum_{t=0}^1 \sum_{r=0}^{N_R-1} |H_{t,r}^{(0)}(n)|^2 \right) \sigma^2,$$

19

$$P_{I\_NonSTBC} = \sum_{\substack{j \neq 0, \\ j \in STBCset}} P_{tx}^{(j)} P_{loss}^{(j)} \sigma_j^2 \left( \sum_{t=0}^{N_T^{(j)}-1} \left| \sum_{r=0}^{N_R-1} H_{0,r}^{(0)}(n)^* H_{t,r}^{(j)}(n) \right|^2 + \sum_{t=0}^{N_T^{(j)}-1} \left| \sum_{r=0}^{N_R-1} H_{1,r}^{(0)}(n) H_{t,r}^{(j)}(n)^* \right|^2 \right), \text{ and}$$

20

$$P_{I\_STBC} = \sum_{\substack{j \neq 0, \\ j \in STBCset}} P_{tx}^{(j)} P_{loss}^{(j)} \sigma_j^2 \left( \left| \sum_{r=0}^{N_R-1} H_{0,r}^{(0)}(n)^* H_{0,r}^{(j)}(n) + H_{1,r}^{(0)}(n) H_{1,r}^{(j)}(n)^* \right|^2 + \left| \sum_{r=0}^{N_R-1} H_{1,r}^{(0)}(n) H_{0,r}^{(j)}(n)^* - H_{0,r}^{(0)}(n)^* H_{1,r}^{(j)}(n) \right|^2 \right).$$



#### 1 4.4.4. Per-Tone Post Processing SINR Calculation for Spatial Multiplexing

2 A linear minimum mean square error (MMSE) receiver will be used as baseline receiver  
3 for the matrix B in the system level simulation methodology.

4  
5 To illustrate the per-tone post processing SINR calculation for a MIMO system based on  
6 a linear MMSE receiver, we assume an  $N_T$  transmit and  $N_R$  receive antennas. Since  
7 these calculations are illustrative, for the sake of simplicity, we assume that  $N_T$  spatial  
8 streams are transmitted and  $N_R \geq N_T$ . We also assume that interferers and the desired  
9 signal use the same MIMO scheme for transmission. The simplified signal model is  
10 described as follows:

$$11 \quad \underline{Y}^{(0)}(n) = \sqrt{P_{tx}^{(0)} P_{loss}^{(0)}} \underline{H}^{(0)}(n) \underline{X}^{(0)}(n) + \sum_{j=1}^{N_I} \sqrt{P_{tx}^{(j)} P_{loss}^{(j)}} \underline{H}^{(j)}(n) \underline{X}^{(j)}(n) + \underline{U}^{(0)} \quad (74)$$

12 where

13  $\underline{Y}^{(0)}(n)$  is a  $N_R \times 1$  dimensional received signal vector at the desired MS for the  $n$ -th  
14 sub-carrier,

15  $\underline{H}^{(j)}(n)$  is the  $N_R \times N_T$  channel gain matrix between the desired user and the interfering  
16 BS for the  $n$ -th sub-carrier,

17  $\underline{X}^{(0)}(n)$  and  $\underline{X}^{(j)}(n)$  are the data modulation vectors ( $N_T \times 1$ ) of the desired MS and the  
18  $j$ -th interfering MS, with covariances  $\sigma_0^2 \underline{I}$  and  $\sigma_j^2 \underline{I}$   $j=1,2,\dots,N_I$ , respectively, and

19  $\underline{U}^{(0)}$  is modeled as zero mean AWGN noise vector with covariance  $\sigma^2 \underline{I}$ ,  $\underline{I}$  is the  
20  $N_R \times N_R$  identity matrix.

21  
22 A linear MMSE receiver is used to demodulate the transmitted signal vector, thus

$$23 \quad \underline{X}^{(0)}(n) = \underline{W}^*(n) \underline{Y}^{(0)}(n) \quad (75)$$

24 Here, the MMSE weights  $\underline{W}(n)$  ( $N_R \times N_T$  matrix) are specified as

$$25 \quad \underline{W}(n) = \left( \sigma_0^2 P_{tx}^{(0)} P_{loss}^{(0)} \underline{H}^{(0)}(n) \underline{H}^{(0)*}(n) + \tilde{\sigma}^2 \right)^{-1} \sigma_0^2 \sqrt{P_{tx}^{(0)} P_{loss}^{(0)}} \underline{H}^{(0)}(n) \quad (76)$$

26 where  $(.)^*$  is the Hermitian operator and  $\tilde{\sigma}^2 = \sigma^2 \underline{I} + \sum_{j=1}^{N_I} \sigma_j^2 P_{tx}^{(j)} P_{loss}^{(j)} \underline{H}^{(j)}(n) \underline{H}^{(j)*}(n)$

27  
28 The post-processing SINR can be computed by defining the following two expressions:

29  $D(n) = \text{diag} \left[ \underline{W}^*(n) \sqrt{P_{tx}^{(0)} P_{loss}^{(0)}} \underline{H}^{(0)}(n) \right]$  which denotes the desired signal component

1 and  $I_{self}(n) = W^*(n)\sqrt{P_{tx}^{(0)}P_{loss}^{(0)}}\underline{H}^{(0)}(n) - D(n)$  which is the self interference between  
 2 MIMO streams.

3  
 4 The post-processing SINR of the desired MS for  $n$ -th sub-carrier and the  $k$ -th MIMO  
 5 stream is thus given as:

$$6 \quad SINR_k^{(0)}(n) = \frac{diag[\sigma_0^2 D(n) D^*(n)]_{kk}}{diag\left[\sigma^2 W^*(n)W(n) + \sigma_0^2 I_{self} I_{self}^* + \sum_{j=1}^{N_j} P_{tx}^{(j)} P_{loss}^{(j)} \sigma_j^2 W^*(n) \underline{H}^{(j)}(n) \underline{H}^{(j)*}(n) W(n)\right]_{kk}} \quad (77)$$

#### 7 4.4.5. Interference Aware PHY Abstraction

8 Proponents should provide justification of assumptions related to knowledge of  
 9 interference statistics used in system level simulations.

#### 10 4.4.6. Practical Transmitter/Receiver Impairments

11 The evaluation methodology should account for practical transmitter and receiver  
 12 impairments and implementation losses.

#### 13 4.4.7. Channel Estimation Errors

14 The evaluation methodology should account for losses resulting from channel  
 15 estimation errors. Proponents should provide the description of the assumed channel  
 16 estimation scheme as well as link level simulation results justifying the loss model by  
 17 comparing performance with known channel versus performance with estimated  
 18 channel.

19  
 20 An example of how to model to channel estimation error is described in the following  
 21 steps<sup>§§</sup>:

22  
 23 **Step 1:** The channel estimation MSE is modeled as

$$24 \quad MSE = aE_s + (1/B)b\sigma^2 \quad (78)$$

25 where  $a, b$  are parameters that represent asymptotic interpolation error and noise gain  
 26 respectively.  $B$  represents the power boosting of pilot over data.  $E_s$  and  $\sigma^2$  are the  
 27 average total signal power and average interference plus noise power.

28  
 29 **Step 2:** Obtain Post Processing SNRs for a given transmission mode and receiver type  
 30 as follows

#### 31 4.4.7.1. SISO Channel Estimation Error Modeling

32 The per subcarrier SNR is modeled as

---

<sup>§§</sup> Details of the mathematical derivations leading up to channel estimation modeling are shown in [79].

$$SNR_i = \frac{|H_i|^2}{aE_s + [1 + (1/B)b]\sigma^2} \quad (79)$$

where  $H_i$  is the channel on subcarrier  $i$ .  $E_s$  and  $\sigma^2$  are the average total signal power and average interference plus noise power.

#### 4.4.7.2. SIMO Channel Estimation Error Modeling

For the single stream 1x2 SIMO case, the received data signal is given by

$$\begin{aligned} \begin{bmatrix} y_1 \\ y_2 \end{bmatrix} &= \begin{bmatrix} h_{11} \\ h_{21} \end{bmatrix} s_1 + \begin{bmatrix} I_1 \\ I_2 \end{bmatrix} + \begin{bmatrix} w_1 \\ w_2 \end{bmatrix} \\ &= \begin{bmatrix} h_{11} \\ h_{21} \end{bmatrix} s_1 + \begin{bmatrix} n_1 \\ n_2 \end{bmatrix} \end{aligned} \quad (80)$$

where  $I_i, w_i$  are the interference and noise components on the  $i$ -th receive antenna and  $n_i = I_i + w_i$  is the total interference plus noise. Here,  $E[|h_{ij}|^2] = E_s$ , the signal power, and  $E[|s_1|^2] = 1$  to retain normalization of the total transmit power at 1. With channel estimation, it can be modified as

$$\begin{aligned} \begin{bmatrix} y_1 \\ y_2 \end{bmatrix} &= \begin{bmatrix} \hat{h}_{11} \\ \hat{h}_{21} \end{bmatrix} s_1 + \begin{bmatrix} e_{11} \\ e_{21} \end{bmatrix} s_1 + \begin{bmatrix} n_1 \\ n_2 \end{bmatrix} \\ &= \begin{bmatrix} \hat{h}_{11} \\ \hat{h}_{21} \end{bmatrix} s_1 + \begin{bmatrix} e_{11}s_1 + n_1 \\ e_{21}s_1 + n_2 \end{bmatrix} \\ &= \begin{bmatrix} \hat{h}_{11} \\ \hat{h}_{21} \end{bmatrix} s_1 + \begin{bmatrix} n_1^{ce} \\ n_2^{ce} \end{bmatrix} \\ &\triangleq \begin{bmatrix} h_{11} \\ h_{21} \end{bmatrix} s_1 + \begin{bmatrix} n_1^{ce} \\ n_2^{ce} \end{bmatrix} \end{aligned} \quad (81)$$

We then have

$$\sigma_{ce,i}^2 = E[|n_i^{ce}|^2] = MSE_{1,i} + \sigma_i^2 \quad (82)$$

where  $\sigma_i^2$  is the total interference plus noise power on receive antenna  $i$ , and  $\sigma_{ce,i}^2$  is now the effective combined noise variance to be used in the MRC combining equations after appropriate scaling.  $MSE_{n_i, n_r}$  is the MSE on transmit antenna  $N_T$  and receive antenna  $N_R$ .

### 1 4.4.7.3. 2x2 MIMO Channel Estimation Error Modeling

2 Here we provide modified signal expressions with channel estimation. They can be  
 3 adapted to general  $N_R \times N_T$  MIMO configuration. The received signal on data sub-  
 4 carriers is given by

$$\begin{aligned}
 \begin{bmatrix} y_1 \\ y_2 \end{bmatrix} &= \begin{bmatrix} h_{11} & h_{12} \\ h_{21} & h_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} I_1 \\ I_2 \end{bmatrix} + \begin{bmatrix} w_1 \\ w_2 \end{bmatrix} \\
 &= \begin{bmatrix} \hat{h}_{11} & \hat{h}_{12} \\ \hat{h}_{21} & \hat{h}_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} n_1 \\ n_2 \end{bmatrix}
 \end{aligned} \tag{83}$$

6 where  $E[|h_{ij}|^2] = E_s$ . Further  $E[|s_1|^2] = E[|s_2|^2] = 1/2$  to normalize the total transmit power  
 7 (i.e. the sum of the transmit power over both antennas) to 1. Note that this does provide  
 8 an implicit pilot boosting, since pilots are transmitted in SISO mode on each antenna,  
 9 but this factor is recognized in the derivation which follows. With channel estimation, the  
 10 above expression can be modified to

$$\begin{aligned}
 \begin{bmatrix} y_1 \\ y_2 \end{bmatrix} &= \begin{bmatrix} \hat{h}_{11} & \hat{h}_{12} \\ \hat{h}_{21} & \hat{h}_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} e_{11} & e_{12} \\ e_{21} & e_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} n_1 \\ n_2 \end{bmatrix} \\
 &= \begin{bmatrix} \hat{h}_{11} & \hat{h}_{12} \\ \hat{h}_{21} & \hat{h}_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} e_{11}s_1 + e_{12}s_2 + n_1 \\ e_{21}s_1 + e_{22}s_2 + n_2 \end{bmatrix} \\
 &= \begin{bmatrix} \hat{h}_{11} & \hat{h}_{12} \\ \hat{h}_{21} & \hat{h}_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} n_1^{ce} \\ n_2^{ce} \end{bmatrix} \\
 &\triangleq \begin{bmatrix} h_{11} & h_{12} \\ h_{21} & h_{22} \end{bmatrix} \begin{bmatrix} s_1 \\ s_2 \end{bmatrix} + \begin{bmatrix} n_1^{ce} \\ n_2^{ce} \end{bmatrix}
 \end{aligned} \tag{84}$$

12 which separates the known component of signal and the error due to channel  
 13 estimation. Further, the last expression neglects the minor degradation in received  
 14 signal component, since the loss of performance can primarily be attributed to the  
 15 increase in effective noise variance. We have

$$\sigma_{ce,i}^2 = E[|n_i^{ce}|^2] = \frac{1}{2}MSE_{1,i} + \frac{1}{2}MSE_{2,i} + \sigma_i^2 \tag{85}$$

17  $\sigma_i^2$  is the total interference plus noise power on receive antenna  $i$ . MSE could  
 18 potentially be different on the different transmit antennas with time processing or if  
 19 different pilot patterns are used, but typically can be assumed to be the same. Further,  
 20 the above equation assumes transmit power is split equally among transmit streams.  
 21 More generally it is

$$\sigma_{ce,i}^2 = E[|n_i^{ce}|^2] = E[|s_1|^2] \times MSE_{1,i} + E[|s_2|^2] \times MSE_{2,i} + \sigma_i^2 \tag{86}$$

1  
2 With the above modified signal model, the approach is then similar to that with ideal  
3 channel estimation. The post processing SNRs are computed starting from this model  
4 and then input to link abstraction methods.  
5

Filter Design Set	Permutation/ MIMO Mode/ Pilot Pattern	Channel	Model Parameters		
			SNR Range [-3 5] dB	SNR Range [5 20] dB	SNR Range [20 30] dB
1	PUSC	ITU Ped-B 3km/hr	[0.027,0.1]	[8.7e-4,0.19]	[7.5e-5,0.26]
2	PUSC	ITU Veh-A 30km/hr	[0.019,0.1]	[1.6e-3,0.17]	[1.5e-4,0.30]
3	PUSC	ITU Veh-A 120km/hr	[0.03,0.1]	[2.1e-3,0.23]	[1.7e-4,0.38]
4	PUSC-STC Zone	ITU Ped-B 3km/hr	[0.05, 0.16]	[1.9e-3,0.34]	[1.7e-4 0.47]
5	PUSC-STC Zone	ITU Veh-A 30km/hr	[0..039, 0.158]	[3e-3, 0.29]	[0.45e-3,0.52]
6	PUSC-STC Zone	ITU Veh-A 120km/hr	[0.54 0.157]	[5e-3,0.38]	[0.66e-3,0.71]

6 **Table 32: Modes and parameters for channel estimation model\***

7  
8 *\*MMSE over a grid of 1 cluster x 4 symbols is assumed*  
9

10 When system level results are provided in a contribution with channel estimation  
11 schemes turned on, it would be sufficient to provide the parameters as shown in Table  
12 32. Different filter designs could correspond to different permutation modes like PUSC,  
13 AMC, different pilot patterns like common pilots or dedicated pilots, SNRs, Doppler,  
14 channels etc. The parameterization can be implementation dependent and is  
15 recommended to be provided with the simulation results when channel estimation is  
16 used. Though they are specific to individual implementations, they have enough  
17 information to harmonize or calibrate results.  
18

19 The parameters can be derived for each filter design set (i.e., a fixed channel estimation  
20 filters) by  
21

- 22 1. Running the channel estimator at a set of SNRs.
- 23 2. Storing the MSE of channel estimation at each of these SNRs.
- 24 3. Performing a simple linear least squares curve fit to this data.  
25

26 The parameters can be obtained from link simulations with channel estimation.

#### 27 **4.4.8. Interference Unaware Modeling**

28 In the previous sections we assumed that the receiver has knowledge of interference  
29 power per sub-carrier when computing the post-processing SINR. In practice, the per-  
30 sub-carrier interference power is unknown at the decoder. Therefore, the per-sub-carrier  
31 SINR is modified by averaging the interference power across the set of sub-carriers  
32 used.  
33

1 As seen from Figure 11, the interference plus noise in the post processing SINR  
 2 equation are averaged over all the occupied sub-carriers. Thus, the per-tone signal-to-  
 3 average interference plus noise (SAINR) is calculated and used as input to the PHY  
 4 abstraction. This method of accounting for the effect of practical interference knowledge  
 5 applies to all transmitter/receiver configurations.  
 6  
 7  
 8

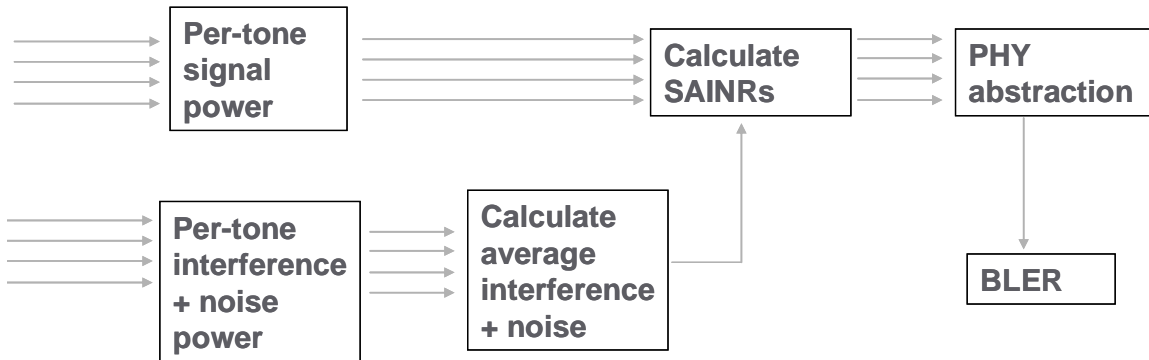


Figure 11: PHY abstraction simulation procedure for average interference knowledge

#### 4.4.9. Error Vector Magnitude

23 The model of the received signal in Equation (69) ignored the non-idealities of the  
 24 transmitted waveform. Appendix J includes a discussion on the typical effects of peak-  
 25 to-average power reduction (PAPR) methods and their impact on the transmitted  
 26 waveform quality, captured in terms of a quantity termed error vector magnitude (EVM).  
 27 Thus, in the case of evaluating PAPR ratio reduction methods, the EVM component  
 28 should be included in the per-tone SINR computation. The transmitted waveform is thus  
 29 composed of the desired signal plus an error signal whose power is proportional to the  
 30 transmitted signal power. Thus, an EVM term should be added by including an  
 31 additional interferer using the same channel matrix as the target user and transmit  
 32 power lower by EVM than the user's transmit power, i.e.  $10^{-EVM/10} P_{tx}^{(0)}$ .

33  
 34 Taking into account the effect of EVM, the per-tone SINR for the SISO case as an  
 35 example becomes

$$36 \quad SINR^0(n) = \frac{\sigma_0^2 P_{tx}^{(0)} P_{loss}^{(0)} |H^{(0)}(n)|^2}{\sigma^2 + \sum_{j=1}^{N_i} \sigma_j^2 P_{tx}^{(j)} P_{loss}^{(j)} |H^{(j)}(n)|^2 + 10^{-EVM/10} \cdot \sigma_0^2 \cdot P_{tx}^{(0)} P_{loss}^{(0)} |H^{(0)}(n)|^2} \quad (87)$$

37 where the EVM value is defined in Table 3.

#### 1 4.5. Deriving Packet Error Rate from Block Error Rate

2 A packet comprises several FEC blocks. The packet error rate (PER) is the probability  
 3 that an error occurs in at least one of FEC blocks comprising the packet. The PHY  
 4 abstraction predicts the link performance, in terms of BLER, for a coded FEC block.  
 5 Here we need to extrapolate the PER given the predicted BLER. If a packet is  
 6 comprised of  $J$  blocks and the predicted BLERs are given by  $BLER_1, BLER_2, \dots, BLER_J$ ,  
 7 then assuming that the block errors events are independent, the PER is given as

$$8 \quad PER = 1 - \prod_{j=1}^J (1 - BLER_j) \quad (88)$$

#### 9 4.6. PHY Abstraction for H-ARQ

10 PHY abstraction of H-ARQ depends on the H-ARQ method. Similar to the non-HARQ  
 11 PHY abstraction, proponents should provide the additional parameters required for the  
 12 H-ARQ coding and retransmission schemes. This section summarizes the methods that  
 13 are generally applicable to all PHY abstraction approaches with H-ARQ. Specifically,  
 14 the approaches are similar for all bit-based mutual information-based abstraction  
 15 techniques (MMIB, RBIR). For convenience, we will just refer to these metrics as MI in  
 16 this section.

##### 17 4.6.1. Baseline Modeling for HARQ

18 The following abstraction is proposed as baseline:

- 19 • For Chase combining (CC): The SINR values of the corresponding sub-carriers  
 20 are summed across retransmissions, and these combined SINR values will be  
 21 fed into the PHY abstraction.
- 22 • For Incremental redundancy (IR): The transmission and retransmissions are  
 23 regarded as a single codeword, and all the SINR values are fed into the PHY  
 24 abstraction. In practice, some partial repetition occurs, when part of the coded  
 25 information is repeated in subsequent retransmissions.  
 26

27 For methods combining CC and IR the second approach is preferred but should be  
 28 justified by link level simulations.

##### 29 4.6.2. Chase Combining

30 The post-processing SINR in this case can be obtained as the sum of the SINRs from  
 31 the first transmission and subsequent retransmissions, and thus the post-combining  
 32 mutual information metric is given by

$$33 \quad M_I = \frac{1}{N} \sum_{n=1}^N I_m \left( \sum_{j=1}^q \gamma_{nj} \right) \quad (89)$$

34 where  $q$  is the number of transmissions,  $I_m(\cdot)$  is the MI function for modulation order ' $m$ '  
 35 and  $\gamma_{nj}$  is the  $n$ -th symbol SINR during  $j$ -th retransmission. The mutual information  
 36 metric can then be input to the AWGN reference channel characterized by the ' $b$ ' and ' $c$ '  
 37 parameters (as used in section [78]).

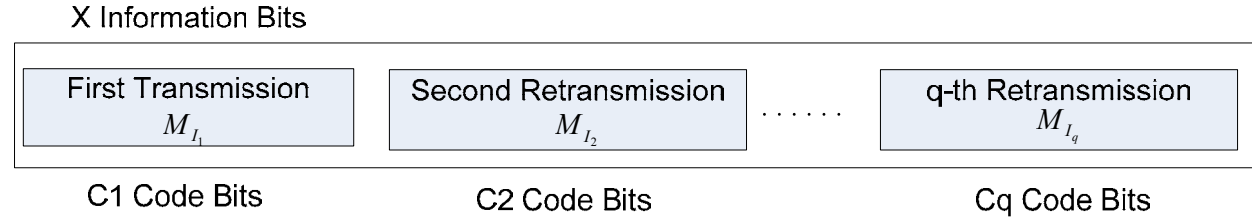
1  
2 Similarly, the effective SINR for EESM in the case of Chase combining is given by

$$3 \quad \gamma_{eff} = -\beta \ln \left( \frac{1}{N} \sum_{n=1}^N \exp \left( -\frac{\sum_{j=1}^q \gamma_{nj}}{\beta} \right) \right) \quad (90)$$

4 where  $\gamma_{eff}$  is the effective SINR after  $q$  transmissions that is input to the AWGN  
5 reference to compute the BLER.

### 6 4.6.3. Incremental Redundancy (IR)

7 With no repetition of coded bits, the performance of the decoder at each stage is that  
8 corresponding to a binary code with the modified equivalent code rate and code size as  
9 illustrated in Figure 12 for MI based approaches.  
10



11  
12 **Figure 12: MI-based parameter update after transmission**

13  
14 The required input parameters for AWGN mapping function are given below

$$15 \quad R_{eff} = \frac{X}{\sum_{i=1}^q C_i}$$

$$L_{eff} = \sum_{i=1}^q C_i \quad (91)$$

$$M_{I_{IR,q}} = \frac{\sum_{i=1}^q C_i M_{I_i}}{\sum_{i=1}^q C_i}$$

16 where  $R_{eff}$ ,  $L_{eff}$  and  $M_{I_{IR,q}}$  are the effective code rate, block size and mutual information  
17 after  $q$  retransmissions, respectively.

18  
19 In practice, due to finite granularity in IR implementation, partial repetition of coded bits  
20 is possible. Depending on the rate matching algorithm used, every H-ARQ transmission  
21 could have a set of new parity bits and other bits that are repeated. Accumulating the  
22 mutual information is appropriate as long as new parity bits are transmitted in every  
23 symbol. Otherwise, the receiver combines the demodulation symbols or, more typically,  
24 the LLRs. In this section, we consider a rate-matching approach that does pure IR  
25 transmissions and involves coded bit repetitions once all the coded bits from a base  
26 code rate are exhausted.



1 To handle this general case, we consider a retransmission including a set of  $N_{NR}$  new  
 2 coded bits and a set of  $N_R$  coded bits repeated from pervious transmissions. Further,  
 3 we assume that there are  $N_{pre}$  coded bits that are not re-transmitted in this re-  
 4 transmission. The averaged mutual information per bit from previous transmissions is  
 5  $M_{I_{old}}$ . The averaged mutual information per bit in this re-transmissions is  $\bar{I}_b$ .

6  
 7 We can then compute an updated mutual information metric after this retransmission as  
 8 follows

$$9 \quad M_{I_{new}} = \frac{N_{pre} \cdot M_{I_{old}} + N_{NR} \cdot \bar{I}_b + N_R \cdot f_1\left(f_1^{-1}(M_{I_{old}}) + f_1^{-1}(\bar{I}_b)\right)}{N_{pre} + N_{NR} + N_R} \quad (92)$$

10  
 11 where  $f_1(\cdot)$  is a mapping from bit SINR to MI. If the modulation is constant across  
 12 retransmissions,  $f_1(\cdot)$  should be the MI function corresponding to that modulation.  
 13 Otherwise, it is recommended to use the MI function corresponding QPSK. When the  
 14 number of retransmissions is greater than one, Equation (92) is used recursively.  
 15

16 The BLER can be obtained by looking up the AWGN MI to BLER relationship  
 17 corresponding to the modified effective code rate and code size, which are given by

$$18 \quad R_{eff} = \frac{X}{N_{Pre} + N_{NR} + N_R} \quad (93)$$

$$L_{eff} = N_{Pre} + N_{NR} + N_R$$

19 A code rate-code size parameterized relationship for  $b$  and  $c$  parameters in the AWGN  
 20 reference (Refer to Section 4.3.2), is recommended to cover the new and many  
 21 possible BCR combinations with IR. Such a relationship can be obtained by expressing  
 22 the  $b$  and  $c$  parameters as simple 2-dimensional parameterized functions of block size  
 23 and code rate as follows, which could further reduce storage requirements and  
 24 streamline simulation methodology,

$$25 \quad \begin{aligned} b &= f(R, L) = R + f'(R, L) \\ c &= g(R, L) \end{aligned} \quad (94)$$

26  
 27 where  $R$  is the code rate (e.g. 1/2) and  $L$  is the block size (e.g. 500 bits).  
 28

29 For EESM, if the modulation does not change in retransmission, the effective SINR for  
 30  $k$ -th transmission can be calculated as follows:

$$SINR_{eff}^1 = -\beta \ln \left( \frac{1}{|U_1|} \sum_{n \in U_1} \exp \left( -\frac{SINR_{n,1}}{\beta} \right) \right)$$

1 and (95)

$$SINR_{eff}^k = -\beta \ln \left( \frac{1}{|U_k|} \left( \sum_{n \in U_{k-1}} \exp \left( -\frac{1}{\beta} (SINR_{eff}^{k-1} + I_{n,k} SINR_{n,k}) \right) + \sum_{n \in V_k, n \notin U_{k-1}} \exp \left( -\frac{SINR_{n,k}}{\beta} \right) \right) \right)$$

2 where  $SINR_{eff}^k$  is  $k$ -th transmission's effective SINR,  $SINR_{n,k}$  is  $k$ -th transmission's post  
 3 processed SINR for bit index  $n$ ,  $V_k$  is the set of indices where a coded bit was  
 4 transmitted on  $k$ -th transmission,  $I_{i,k}$  is an indicator function for codeword bit index  $i$  for  
 5 the set  $V_k$ , ( $I_{i,k} = 0$  for  $i \notin V_k$ , and  $I_{i,k} = 1$  for  $i \in V_k$ ), and  $U_k$  is the unique bit indices  
 6 transmitted up to transmission  $k$ ,  $U_k = \bigcup_{j=1}^k V_j$ . The choice of  $\beta$ 's is TBD.

#### 7 **4.7. PHY Abstraction for Repetition Coding**

8 The SINR values of the sub-carriers are summed across repetition number, and these  
 9 combined SINR values will be fed into the PHY abstraction.

### 10 **5. Link Adaptation**

11  
 12 Link adaptation can enhance system performance by optimizing resource allocation in  
 13 varying channel conditions. System level simulations should include adaptation of the  
 14 modulation and coding schemes, according to link conditions.

15  
 16 The purpose of this section is to provide guidelines for link adaptation in system  
 17 evaluations. The use of link adaptation is left to the proponent as it may not pertain to all  
 18 system configurations. The link adaptation algorithms implemented in system level  
 19 simulations are left to Individual proponents for each proposal. Proponents should  
 20 specify link adaptation algorithms including power, MIMO rank, and MCS adaptation per  
 21 resource block.

#### 22 **5.1. Adaptive Modulation and Coding**

23 The evaluation methodology assumes that adaptive modulation and coding with various  
 24 modulation schemes and channel coding rates is applied to packet data transmissions.  
 25 In the case of MIMO, different modulation schemes and coding rates may be applied to  
 26 different streams.

##### 27 **5.1.1. Link Adaptation with HARQ**

28 The link adaptation algorithm should be optimized to maximize the performance at the  
 29 end of the HARQ process (e.g. maximize the average throughput under constraint on  
 30 the delay and PER, or maximize number of users per service).

## 1 **5.2. Channel Quality Feedback**

2 A Channel Quality Indicator (CQI) channel is utilized to provide channel-state  
3 information from the user terminals to the base station scheduler. Relevant channel-  
4 state information can be fed back. For example, Physical CINR, effective CINR, MIMO  
5 mode selection and frequency selective sub-channel selection may be included in CQI  
6 feedback. Some implementations may use other methods, such as channel sounding,  
7 to provide accurate channel measurements. CQI feedback granularity and its impact  
8 may also be considered. Proponents should describe the CQI feedback type and  
9 assumptions of how the information is obtained.

### 10 **5.2.1. Channel Quality Feedback Delay and Availability**

11 Channel quality feedback delay accounts for the latency associated with the  
12 measurement of channel at the receiver, the decoding of the feedback channel, and the  
13 lead-time between the scheduling decision and actual transmission. The delay in  
14 reception of the channel quality feedback shall be modeled to accurately predict system  
15 performance.

16  
17 Channel quality feedback may not be available every frame due to system constraints  
18 such as limited feedback overhead or intermittent bursts. The availability of the channel  
19 quality feedback shall be modeled in the system simulations.

20  
21 The proponents should indicate the assumptions of channel quality feedback delay and  
22 availability for system proposals.

### 23 **5.2.2. Channel Quality Feedback Error**

24 System simulation performance should include channel quality feedback error by  
25 modeling appropriate consequences, such as misinterpretation of feedback or erasure.

26  
27 The proposals shall describe if CQI estimation errors are taken into account and how  
28 those errors are modeled.

## 29 **6. HARQ**

30 The Hybrid ARQ (HARQ) protocol should be implemented in system simulations.  
31 Multiple parallel HARQ streams may be present in each frame, and each stream may  
32 be associated with a different packet transmission, where a HARQ stream is an encoder  
33 packet transaction pending, i.e., a HARQ packet has been transmitted but has not been  
34 acknowledged. Different MIMO configurations may also have an impact on the HARQ  
35 implementation.

36  
37 Each HARQ transmission results in one of the following outcomes: successful decoding  
38 of the packet, unsuccessful decoding of the packet transmission requiring further re-  
39 transmission, or unsuccessful decoding of the packet transmission after maximum  
40 number of re-transmissions resulting in packet error. The effective SINR for packet  
41 transmissions after one or more HARQ transmissions used in system simulations is  
42 determined according to the PHY abstraction in Section 4.7.

43

1 When HARQ is enabled, retransmissions are modeled based on the HARQ option  
2 chosen. For example, HARQ can be configured as synchronous/asynchronous with  
3 adaptive/non-adaptive modulation and coding schemes for Chase combining or  
4 incremental redundancy operation. Synchronous HARQ may include synchronous  
5 HARQ acknowledgement and/or synchronous HARQ retransmissions. Synchronous  
6 HARQ acknowledgement means that the HARQ transmitter side expects the HARQ  
7 acknowledgments at a known delay after the HARQ transmission. Synchronous HARQ  
8 retransmission means that the HARQ receiver side expects the HARQ retransmissions  
9 at known times. In the case of asynchronous HARQ, the acknowledgement and/or  
10 retransmission may not occur at known times. Adaptive H-ARQ, in which the  
11 parameters of the retransmission (e.g. power, MCS) are changed according to channel  
12 conditions reported by the MS may be considered. In the case of non-adaptive HARQ,  
13 the parameters of the retransmission are not changed according to channel conditions.  
14

15 The HARQ model and type shall be specified with chosen parameters, such as  
16 maximum number of retransmissions, minimum retransmission delay, incremental  
17 redundancy, Chase combining, etc. HARQ overhead (associated control) should be  
18 accounted for in the system simulations on both the uplink and downlink

### 19 **6.1. HARQ Acknowledgement**

20 The HARQ acknowledgment is used to indicate whether or not a packet transmission  
21 was successfully received.  
22

23 Modeling of HARQ requires waiting for HARQ acknowledgment after each transmission,  
24 prior to proceeding to the next HARQ transmission. The HARQ acknowledgment delay  
25 should include the processing time which includes, decoding of the traffic packet, CRC  
26 check, and preparation of acknowledgment transmissions. The amount of delay is  
27 determined by the system proposal.  
28

29 Misinterpretation, missed detection, or false detection of the HARQ acknowledgment  
30 message results in transmission (frame or encoder packet) error or duplicate  
31 transmission. Proponents of each system proposal shall justify the system performance  
32 in the presence of error of the HARQ acknowledgment.

### 33 **7. Scheduling**

34 The scheduler allocates system resources for different packet transmissions according  
35 to a set of scheduling metrics, which can be different for different traffic types. The same  
36 scheduling algorithm shall be used for all simulation runs. System performance  
37 evaluation and comparison require that fairness be preserved or at least known in order  
38 to promote comparisons. On the other hand it is clear that various scheduling  
39 approaches will have different performance and overhead impacts and will need to be  
40 aligned. The owner(s) of any proposal to be standardized should also describe the  
41 scheduling algorithm used for performance evaluation, along with assumptions on  
42 feedback. The scheduling will be done with consideration of the reported metric where  
43 the reported metric may include CQI and other information. The scheduler shall

1 calculate the available resources after accounting for all control channel overhead and  
2 protocol overhead.

### 3 **7.1. DL Scheduler**

4 For the baseline simulation, a generic proportionally fair scheduler shall be used for the  
5 full-buffer traffic model. The generic proportionally fair scheduler is defined in Appendix  
6 F.

7  
8 In the general deployment case, the MAC scheduler should be capable of handling a  
9 traffic mix of different QoS service classes that are enabled by the air interface. The  
10 proponent may present additional results with a more sophisticated scheduler other  
11 than proportionally fair scheduler and shall describe the scheduler algorithm in detail.

### 12 **7.2. UL Scheduler**

13 The UL scheduler is very similar to DL Scheduler. The UL scheduler maintains the  
14 request-grant status of various uplink service flows. Bandwidth requests arriving from  
15 various uplink service flows at the BS will be granted in a similar fashion as the downlink  
16 traffic.

## 17 **8. Handover**

18 The system simulation defined elsewhere in the document deals with throughput,  
19 spectral efficiency, and latency. User experience in a mobile broadband wireless system  
20 is also influenced by the performance of handover. This section focuses on the methods  
21 to study the performance of handover which affects the end-users experience.  
22 Proponents of system proposals specifically relating to handover should provide  
23 performance evaluations according to this section.

24 For parameters such as cell size, DL&UL transmit powers, number of users in a cell,  
25 traffic models, and channel models; the simulation follows the simulation methodology  
26 defined elsewhere in the document. In this document, only intra-radio access  
27 technology handover is considered; inter-radio access technology handover is not  
28 considered.

29  
30 The handover procedure consists of cell reselection via scanning, handover decision  
31 and initiation, and network entry including synchronization and ranging with a target BS.

32  
33 Latency is a key metric to evaluate and compare various handover schemes as it has  
34 direct impact on application performance perceived by a user. Total handover latency is  
35 decomposed into several latency elements. Further, data loss rate and unsuccessful  
36 handover rate are important metrics.

### 38 **8.1. System Simulation with Mobility**

39 Two possible simulation models for mobility related performance are given in this  
40 section. The first is a reduced complexity model that considers a single MS moving  
41 along one of three trajectories with all other users at fixed locations, and a second

1 simulation model that considers all mobiles in the system moving along random  
2 trajectories.  
3

#### 4 **8.1.1. Single Moving MS Model**

5 For simplicity, one moving MS and multiple fixed MSs can be modeled as a baseline for  
6 the mobility simulations. The mobility related performance metrics shall be computed  
7 only for this moving terminal. The mobility mix for MSs is specified in the test scenarios  
8 of Section 2.3. The speed of the single moving MS is selected from the speed(s)  
9 specified in the mobility mix of the test scenario.

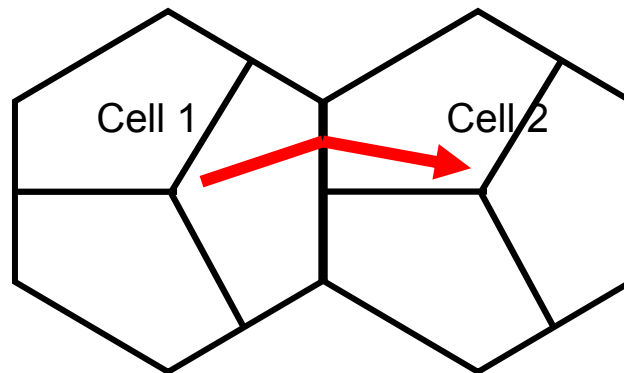
10  
11 The trajectory of the moving MS can be chosen from the trajectories given in following  
12 section.  
13

#### 14 **8.1.1.1. Trajectories**

15 The movement of the single moving MS is constrained to one of the trajectories defined  
16 in this section. More detailed and realistic mobility models may be considered.  
17

#### 18 **8.1.1.1.1. Trajectory 1**

19 In this trajectory, the MS moves from Cell 1 to Cell 2 along the arrow shown in Figure  
20 13. The trajectory starts from the center of Cell 1 to the center of Cell 2 while passing  
21 through the midpoint of the sector boundaries as shown in Figure 13. The purpose of  
22 this trajectory is to evaluate handover performance in a scenario where the signal  
23 strength from the serving sector continuously decreases whereas the signal strength  
24 from the target sector continuously increases.

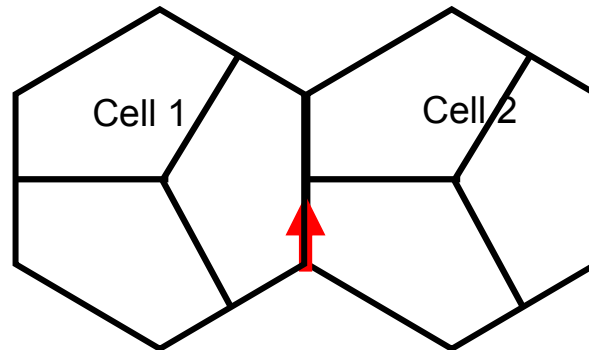


25  
26 **Figure 13: Trajectory 1**

#### 27 **8.1.1.1.2. Trajectory 2**

28 In this trajectory, the single moving MS moves from Cell 1 to Cell 2 along the arrow  
29 shown in Figure 14. The MS moves along the sector boundary between Cell 1 and Cell  
30 2 until the midpoint of the cell boundary between Cell 1 and Cell 2. The purpose of this

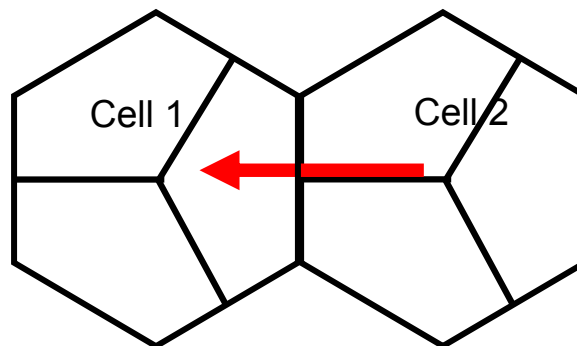
- 1 trajectory is to evaluate handover performance when the MS moves along the boundary  
 2 of two adjacent sectors.



3  
 4 **Figure 14: Trajectory 2**

5 **8.1.1.1.3. Trajectory 3**

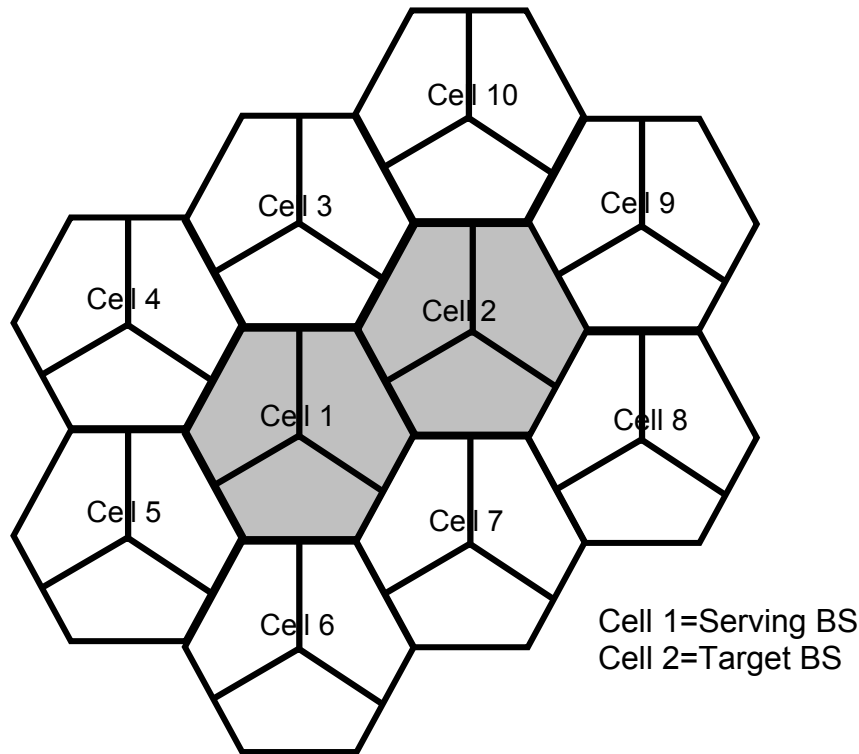
- 6 In this trajectory, the single moving MS moves from Cell 2 to Cell 1 along the arrow  
 7 shown in Figure 15. The MS starts from the center of Cell 2, moves along the boundary  
 8 of two adjacent sectors of Cell 2 and towards the center of the Cell 1. The purpose of  
 9 this trajectory is to evaluate a handover performance in the scenario where the MS  
 10 traverses multiple sector boundaries.



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 42 **Figure 15: Trajectory 3**

### 1 8.1.1.2. 10 Cell Topology

2 As a reduced complexity option, a 10 cell topology may be used for handover evaluation  
 3 with a single moving MS. In the 10 cell topology, both serving and target cells should  
 4 have one tier of neighboring cells as interferers shown in Figure 16.  
 5



6  
7  
8 **Figure 16: 10 Cell topology**

### 9 8.1.1.3. Handover Evaluation Procedure

- 10 1. The system may be modeled using the 10 cell topology as illustrated in Figure 16  
 11 for the evaluation of handover performance. Each cell has three sectors and  
 12 frequency reuse is modeled by planning frequency allocations in different sectors  
 13 in the network.
- 14 2. N MSs are dropped independently with uniform distribution across the cell area.  
 15 Different load levels in the network are simulated by changing the number of MSs  
 16 and the traffic generated.
- 17 3. Path loss, shadow fading and fast fading models for each MS should be  
 18 consistent with the models defined in Section 3. Fading signal and fading  
 19 interference are computed from each mobile station into each sector and from  
 20 each sector to each mobile for each simulation interval.  
 21  
 22  
 23  
 24



- 1 4. In the single MS model, the trajectories defined in Section 8.1.1.1 should be used  
2 to model the movement of a single MS associated with the center cell. The  
3 locations of all other MSs are assumed to be fixed and the serving sector for the  
4 fixed MSs does not change for the duration of the drop.  
5
- 6 5. Path loss, shadow fading and fast fading are updated based on location and  
7 velocity of a moving MS. As the MS moves along the specified trajectory, the  
8 target sector is chosen according to the metric used to perform handover.  
9
- 10 6. Traffic generated by the MSs should be according to the mixes specified in Table  
11 43 in Section 10.7. The moving MS may be assigned one of the traffic types in  
12 the chosen traffic mix to analyze the effect of handover on the performance of the  
13 assigned traffic application. Traffic from the fixed MSs constitutes background  
14 load. Start times for each traffic type for each user should be randomized as  
15 specified in the traffic model being simulated.  
16
- 17 7. Statistics related to handover metrics are collected for the moving MS only.  
18
- 19 8. Packets are not blocked when they arrive into the system (i.e. queue depths are  
20 infinite). Packets are scheduled with a packet scheduler using the required  
21 fairness metric. Channel quality feedback delay, PDU errors are modeled and  
22 packets are retransmitted as necessary. The HARQ process is modeled by  
23 explicitly rescheduling a packet as part of the current packet call after a specified  
24 HARQ feedback delay period.  
25
- 26 9. Sequences of simulation are run, each with a different random seed. For a given  
27 drop the simulation is run for this duration, and then the process is repeated with  
28 the MSs dropped at new random locations. A sufficient number of drops are  
29 simulated to ensure convergence in the system performance metrics.

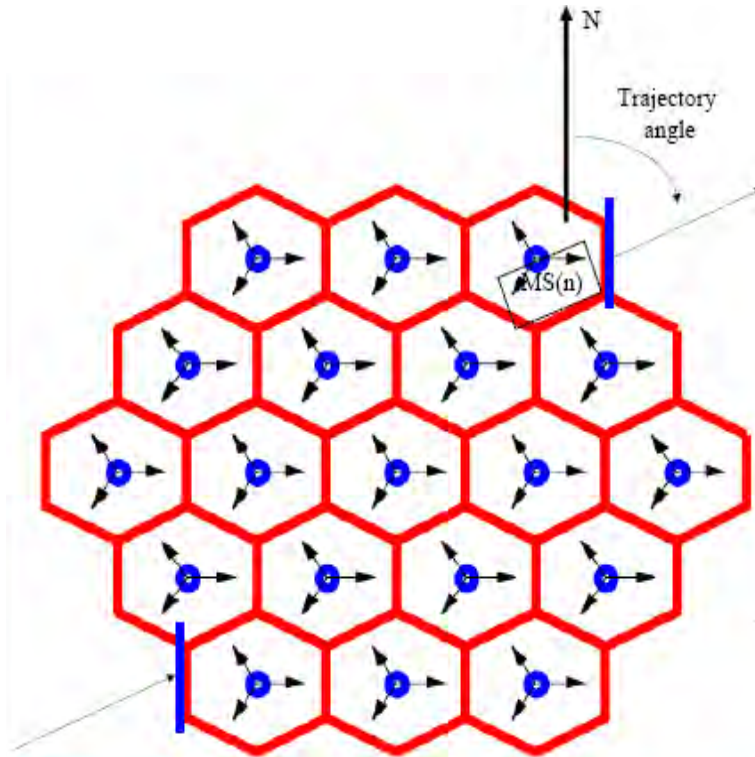
### 30 **8.1.2. Multiple Moving MS Model**

31 In this model, multiple moving MSs are uniformly placed over the simulation  
32 environment and given a random trajectory and speed. The parameters selected remain  
33 in effect until a drop is completed.

#### 34 **8.1.2.1. Trajectories**

35 Each MS is assigned an angle of trajectory at the beginning of a call. The assigned  
36 angle is picked from a uniform distribution across the range of 0-359 degrees in one  
37 degree increments. The angle of zero degrees points directly North in the simulation  
38 environment. Movement of the MS is established by selecting a random speed for the  
39 users according to profiles in Section 2.3 such that the population of MS users meets  
40 the desired percentages. The MS remains at the selected random speed and direction  
41 for the duration of the simulation drop. When a MS crosses a wrap around boundary  
42 point within the simulation space, the MS will wrap around to the associated segment

1 identified within Appendix G, continuing to keep the same speed and trajectory. Figure  
 2 17 depicts an example of the movement process for a 19-cell system.  
 3



4  
 5  
 6  
 7  
 8 **Figure 17: 19 cell abbreviated example of MS movement in a wrap around topology \***

\* Blue lines denote paired wrap around boundary segments

### 9 **8.1.2.2. 19 Cell Topology**

10 The 19 cell topology with wrap around can be used for handover evaluation with  
 11 multiple moving MSs. The details of this topology can be found in Appendix G.

### 12 **8.1.2.3. Handover Evaluation Procedure**

13 For the 19 cell topology with wrap around defined for the multiple moving MS model, the  
 14 simulation procedure outlined in Section 11 should be followed. In step 7 of this  
 15 procedure, for the purposes of simulating handover performance, it may additionally be  
 16 assumed that an MS is initially connected to a specific serving sector(s). As the MS  
 17 moves along the trajectory described in Section 8.1.2.1, the target sector or diversity set  
 18 is chosen according to the metric used to perform handover.

### 19 **8.2. Handover Performance Metrics**

20 The following parameters should be collected in order to evaluate the performance of  
 21 different handover schemes. These statistics defined in this section should be collected

1 in relation to the occurrence of handovers. A CDF of each metric may be generated to  
 2 evaluate a probability that the corresponding metric exceeds a certain value.

3  
 4 For a simulation run, we assume:

- 5
- 6 • The total number of successful handovers occurred during the simulation time =  
 7  $N_{HO\_success}$
- 8 • The total number of failed handover during the simulation time =  $N_{HO\_fail}$
- 9 • The total number of handover attempts during the simulation time =  $N_{attempt}$ ,  
 10 where  $N_{attempt} = N_{HO\_success} + N_{HO\_fail}$

### 11 8.2.1. Radio Layer Latency

12 This value measures the delay between the time instance  $T_{1,i}$  that an MS transmits a  
 13 serving BS its commitment to HO (for a hard handover (HHO), this is the time that the  
 14 MS disconnects from the serving BS) and the time instance  $T_{2,i}$  that the MS successfully  
 15 achieves PHY layer synchronization at the target BS (i.e., frequency and DL timing  
 16 synchronization) due to handover occurrence  $i$ . The exact thresholds for successful  
 17 PHY synchronization are for further study. For this metric, the average radio latency will  
 18 be measured as

$$19 \quad \text{Average Radio Layer Latency} = \frac{\sum_{i=1}^{N_{HO\_success}} (T_{2,i} - T_{1,i})}{N_{HO\_success}} \quad (96)$$

### 20 8.2.2. Network Entry and Connection Setup Time

21 This value represents the delay between an MS's radio layer synchronization at  $T_{2,i}$ , and  
 22 the start of transmission of first data packet from the target BS at  $T_{3,i}$  due to handover  
 23 occurrence  $i$ . In the case of the reference system, this consists of ranging, UL resource  
 24 request processes (contention or non-contention based), negotiation of capabilities,  
 25 registration, DL packet coordination and a path switching time. The transmission error  
 26 rate of MAC messages associated with network entry can be modeled dynamically or  
 27 with a fixed value (e.g., 1%). A path switching time, as a simulation input parameter,  
 28 may vary depending on network architecture.

$$29 \quad \text{Average Network Entry and Connection Setup Time} = \frac{\sum_{i=1}^{N_{HO\_success}} (T_{3,i} - T_{2,i})}{N_{HO\_success}} \quad (97)$$

### 30 8.2.3. Handover Interruption Time

31 Handover interruption time represents the time duration that an MS cannot receive  
 32 service from any BS during a handover. It is defined as the time interval from when the  
 33 MS disconnects from the serving BS to the start of transmission of first data packet from  
 34 the target BS.

#### 1 8.2.4. Data Loss

2 This value represents the number of lost bits during the handover processes. This  
 3 document uses DL data loss to evaluate the data loss performance of the air link.  $D_{RX,i}$   
 4 and  $D_{TX,i}$  denotes the number of received bits by the MS and the number of total bits  
 5 transmitted by the serving and the target BSs during the MS performs handover  
 6 occurrence  $i$ , respectively. Traffic profiles used for the simulation experiments to  
 7 compare different handover schemes need to be identical.

$$8 \quad \text{Data Loss} = \frac{\sum_{i=1}^{N_{HO\_success}} (D_{TX,i} - D_{RX,i})}{N_{HO\_success}} \quad (98)$$

#### 10 8.2.5. Handover Failure Rate

11 This value represents the ratio of failed handover to total handover attempts. Handover  
 12 failure occurs if handover is executed while the reception conditions are inadequate on  
 13 either the DL or the UL such that the mobile would have to go to a network entry state.

$$15 \quad \text{Handover Failure Rate} = \frac{N_{HO\_fail}}{N_{attempt}} \quad (99)$$

### 16 9. Power Management (Informative)

17 The implementation of an idle state is proposed to be used in the IEEE 802.16m  
 18 broadband wireless system to conserve battery power of mobile devices when a call  
 19 session is not active. A mobile device returns to active state whenever required, e.g.,  
 20 when there is incoming data for the said device. IDLE to ACTIVE\_STATE transition  
 21 latency is a key metric to evaluate and compare various proposals related to IDLE to  
 22 ACTIVE\_STATE transition schemes as this latency has direct impact on application  
 23 performance experienced by a user.

24  
 25 The IDLE to ACTIVE\_STATE transition latency requirement is specified in the IEEE  
 26 802.16m Requirements document. According to this document, the IDLE to  
 27 ACTIVE\_STATE transition latency is defined as the time it takes for a device to go from  
 28 an idle state (fully authenticated/registered and monitoring the control channel) to when  
 29 it begins exchanging data with the network on a traffic channel.

30  
 31 IDLE to ACTIVE\_STATE transition latency has several components as formulated in  
 32 Section 9.1. Section 9.2 provides a simulation procedure to evaluate IDLE to  
 33 ACTIVE\_STATE transition latency. Proponents of system proposals specifically relating  
 34 to IDLE to ACTIVE\_STATE transition should evaluate performance according to this  
 35 section.

#### 36 9.1. Formulation for IDLE to ACTIVE\_STATE Transition Latency

37 The IDLE to ACTIVE\_STATE transition may be initiated either by the device or by the  
 38 network. The first case is referred to as device-initiated IDLE to ACTIVE\_STATE

1 transition and the second case is referred to as network-initiated IDLE to  
 2 ACTIVE\_STATE transition. The components of the IDLE to ACTIVE\_STATE transition  
 3 latency are described in the following sub-sections.

#### 4 **9.1.1. Device-initiated IDLE to ACTIVE\_STATE Transition**

5 The steps involved during device-initiated IDLE to ACTIVE\_STATE transition are as  
 6 follows:

- 7 1. Ranging
- 8 2. Network re-entry

9 During the ranging process the device adjusts its transmission parameters. During the  
 10 network re-entry [61] service flows, CIDs, and other connection related states are  
 11 established for the said device. The successful completion of the network re-entry  
 12 process can be indicated by using appropriate network re-entry success message or  
 13 other signaling mechanisms.

#### 14 **9.1.2. Network-initiated IDLE to ACTIVE\_STATE Transition**

15 The steps involved during network-initiated IDLE to ACTIVE\_STATE transition are as  
 16 follows:

- 17 1. Transmission of paging indication
- 18 2. Ranging
- 19 3. Network re-entry

20 During the transmission of the paging indication, the BSs in the paging area of the said  
 21 idle mode device transmit a paging indication message containing the identification  
 22 information of the said idle mode device. This step is completed when the said idle  
 23 mode device successfully receives the paging indication. The measurement of IDLE to  
 24 ACTIVE\_STATE transition latency starts from the time when the said device receives  
 25 paging indication through a paging message (i.e., not including the paging period). The  
 26 ranging and network re-entry procedures are as defined in Section 9.1.1.

#### 27 **9.1.3. IDLE to ACTIVE\_STATE Transition Latency**

28 The IDLE to ACTIVE\_STATE transition latency,  $\tau_d$  is defined as follows.

$$29 \quad \tau_d = T_r + T_e \quad (100)$$

30 where  $T_r$  and  $T_e$  are the times required to execute ranging and network re-entry,  
 31 respectively.

#### 32 **9.2. Procedure for Evaluation of IDLE to ACTIVE\_STATE Transition Latency**

- 33 1. An idle mode device that is synchronized to the downlink channel, fully registered  
 34 and authenticated with the network is considered as the candidate device to  
 35 receive the paging indication using a paging message. In addition, it is  
 36 considered that the said candidate device in idle mode is residing in the same  
 37 paging group (PG) and IP subnet after entering into idle operation. This  
 38 eliminates the need for evaluating the effect of backbone messages on the IDLE  
 39 to ACTIVE\_STATE transition latency.

40

1 The IDLE to ACTIVE\_STATE transition latency shall be evaluated for device-  
2 initiated IDLE to ACTIVE\_STATE transition as well as network-initiated IDLE to  
3 ACTIVE\_STATE transition.

- 4
- 5 2. The system is modeled using the cell topology as defined in Section 8.1.1.2 and  
6 each cell has three sectors. Frequency reuse is modeled by planning frequency  
7 allocations in different sectors in the network.
- 8
- 9 3. N MSs are dropped independently with uniform distribution across the cell area.  
10 Different load levels in the network are simulated by changing the number of MSs  
11 and the traffic generated.
- 12
- 13 4. Path loss, shadow fading and fast fading models for each MS should be  
14 consistent with the models defined in Section 3. Fading signal and fading  
15 interference are computed from each mobile station into each sector and from  
16 each sector to each mobile for each simulation interval.
- 17
- 18 5. It is considered that the device performing IDLE to ACTIVE\_STATE transition is  
19 stationary and may be located anywhere in the center cell with uniform  
20 probability. The IDLE to ACTIVE\_STATE transition is triggered by the MAC layer  
21 of the device in case of device-initiated IDLE to ACTIVE\_STATE transition. In the  
22 case of network-initiated IDLE to ACTIVE\_STATE transition, the IDLE to  
23 ACTIVE\_STATE transition is triggered by the MAC layer of the BSs in the paging  
24 group of the device.
- 25
- 26 6. Traffic generated by the MSs in the fixed locations should be according to the  
27 mixes specified in Table 43 in Section 10.7 and this traffic constitutes  
28 background load.
- 29
- 30 7. Statistics of IDLE to ACTIVE\_STATE transition latency are measured at different  
31 locations of the center cell. A weighted sum of these measurements is used to  
32 determine the mean value of the IDLE to ACTIVE\_STATE transition latency.
- 33
- 34 8. Packets are not blocked when they arrive into the system (i.e. queue depths are  
35 infinite). Packets are scheduled with a packet scheduler using the required  
36 fairness metric.
- 37

38 Sequences of simulation are run, each with a different random seed. A sufficient  
39 number of runs are simulated to ensure convergence in the performance metrics.

## 40 **10. Traffic Models**

41 This section describes traffic models in detail. A major objective of system simulations is  
42 to provide an operator with a view of the maximum number of active users that can be  
43 supported for a given service under a specified configuration at a given coverage level.  
44

1 **Modeling of User Arrival Process:** Typically all users are not active at a given time  
 2 and even the active users might not register for the same service. In order to avoid  
 3 different user registration and demand models, the objective of the proposed simulation  
 4 model is restricted to evaluate the performance with the users that are maintaining a  
 5 session with transmission activity. This model can be used to determine the number of  
 6 such registered users that can be supported. This document does not address the  
 7 arrival process of such registered users, i.e. it does not address the statistics of  
 8 subscribers that register and become active.

9  
 10 The traffic generated by a service should be accurately modeled in order to evaluate the  
 11 performance of a system. This may be a time consuming exercise. Traffic modeling can  
 12 be simplified, as explained below, by not modeling the user arrival process and  
 13 assuming full queue traffic which is considered as the baseline. Modeling non-full-queue  
 14 traffic is also discussed in the subsections that follow.

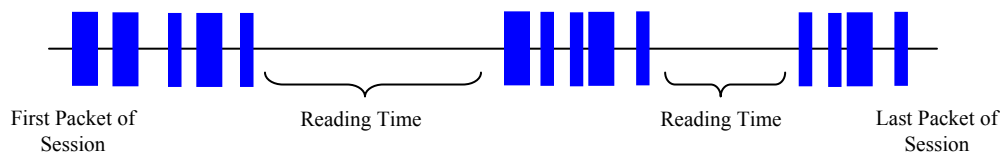
15  
 16 **Full Queue Model:** In the full queue user traffic model, all the users in the system  
 17 always have data to send or receive. In other words, there is always a constant amount  
 18 of data that needs to be transferred, in contrast to bursts of data that follow an arrival  
 19 process. This model allows the assessment of the spectral efficiency of the system  
 20 independent of actual user traffic distribution type. A user is in outage if residual PER  
 21 after HARQ retransmissions exceeds 1%.

22  
 23 In the following sections, we will concentrate on traffic generation only for the non-full  
 24 queue case. In addition, the interaction of the generated traffic with the higher layer  
 25 protocol stack such as TCP is not fully included here. Instead, we will provide  
 26 references to documents which provide the detailed TCP transport layer implementation  
 27 and its interaction with the various traffic models.

28  
 29 The models described in this section shall be used for evaluating 802.16m proposals.  
 30 Optionally, for liaison with NGMN, statistical traffic models and associated parameters  
 31 defined in [63] or its latest revision may be used for system performance evaluation.

### 32 10.1. Web Browsing (HTTP) Traffic Model

33 HTTP traffic characteristics are governed by the structure of the web pages on the  
 34 World Wide Web (WWW), and the nature of human interaction. The nature of human  
 35 interaction with the WWW causes the HTTP traffic to have a bursty profile, where the  
 36 HTTP traffic is characterized by ON/OFF periods as shown in Figure 18.



38  
 39 **Figure 18: HTTP traffic pattern**

1 The ON periods represent the sequence of packets in which the web page is being  
 2 transferred from source to destination; while the OFF periods represent the time the  
 3 user spends reading the webpage before transitioning to another page. This time is also  
 4 known as Reading Time [43][44].  
 5

6 The amount of information passed from the source to destination during the ON period  
 7 is governed by the web page structure. A webpage is usually composed of a main  
 8 object and several embedded objects. The size of the main object, in addition to the  
 9 number and size of the embedded objects define the amount of traffic passed from  
 10 source to destination.  
 11

12 In summary, the HTTP traffic model is defined by the following parameters:

13  $S_M$ : Size of main object in page

14  $N_d$ : Number of embedded objects in a page

15  $S_E$ : Size of an embedded object in page

16  $D_{pc}$ : Reading time

17  $T_p$ : Parsing time for the main page  
 18

19 In addition to the model parameters, HTTP traffic behavior is also dependent on the  
 20 HTTP version used. Currently HTTP 1.0 and HTTP 1.1 are widely used by servers and  
 21 browsers [45]-[48]. In HTTP 1.0, also known as burst mode transfer, a distinct TCP  
 22 connection is used for each object in the page, thereby facilitating simultaneous transfer  
 23 of objects. The maximum number of simultaneous TCP connections is configurable,  
 24 with most browsers using a maximum of 4 simultaneous TCP connections. In HTTP/1.1,  
 25 also known as persistent mode transfer, all objects are transferred serially over a single  
 26 persistent TCP connection. Table 33 provides the model parameters for HTTP traffic.  
 27  
 28

Component	Distribution	Parameters	PDF
Main object size ( $S_M$ )	Truncated Lognormal	Mean = 10710 bytes SD = 25032 bytes Min = 100 bytes Max = 2 Mbytes (before truncation)	$f_x = \frac{1}{\sqrt{2\pi\sigma x}} \exp\left[-\frac{(\ln x - \mu)^2}{2\sigma^2}\right], x \geq 0$ $\sigma = 1.37, \mu = 8.37$ if $x > \max$ or $x < \min$ , discard and generate a new value for $x$
Embedded object size ( $S_E$ )	Truncated Lognormal	Mean = 7758 bytes SD = 126168 bytes Min = 50 bytes Max = 2 Mbytes (before truncation)	$f_x = \frac{1}{\sqrt{2\pi\sigma x}} \exp\left[-\frac{(\ln x - \mu)^2}{2\sigma^2}\right], x \geq 0$ $\sigma = 2.36, \mu = 6.17$ if $x > \max$ or $x < \min$ , discard and generate a new value for $x$



Number of embedded objects per page (Nd)	Truncated Pareto	Mean = 5.64 Max. = 53 (before truncation)	$f_x = \frac{\alpha k^\alpha}{x^{\alpha+1}}, k \leq x < m$ $f_x = \binom{\alpha}{k} \frac{1}{m^\alpha}, x = m$ $\alpha = 1.1, k = 2, m = 55$ <p>Subtract k from the generated random value to obtain Nd</p> <p>if <math>x &gt; \max</math>, discard and regenerate a new value for x</p>
Reading time (Dpc)	Exponential	Mean = 30 sec	$f_x = \lambda e^{-\lambda x}, x \geq 0$ $\lambda = 0.033$
Parsing time (Tp)	Exponential	Mean = 0.13 sec	$f_x = \lambda e^{-\lambda x}, x \geq 0$ $\lambda = 7.69$

**Table 33: HTTP traffic parameters**

To request an HTTP session, the client sends an HTTP request packet, which has a constant size of 350 bytes. From the statistics presented in the literature, a 50%-50% distribution of HTTP versions between HTTP 1.0 and HTTP 1.1 has been found to closely approximate web browsing traffic in the internet [49].

Further studies also showed that the maximum transmit unit (MTU) sizes most common to in the internet are 576 bytes and 1500 bytes (including the TCP header) with a distribution of 24% and 76% respectively. Thus, the web traffic generation process can be described as in Figure 19.

A user is defined in outage for HTTP service if the average packet call throughput is less than the minimum average throughput requirement of 128 kbps. The system outage requirement is such that no more than 2% of users can be in outage. The air link PER of MAC SDUs for HTTP traffic should be not be greater than 1%.

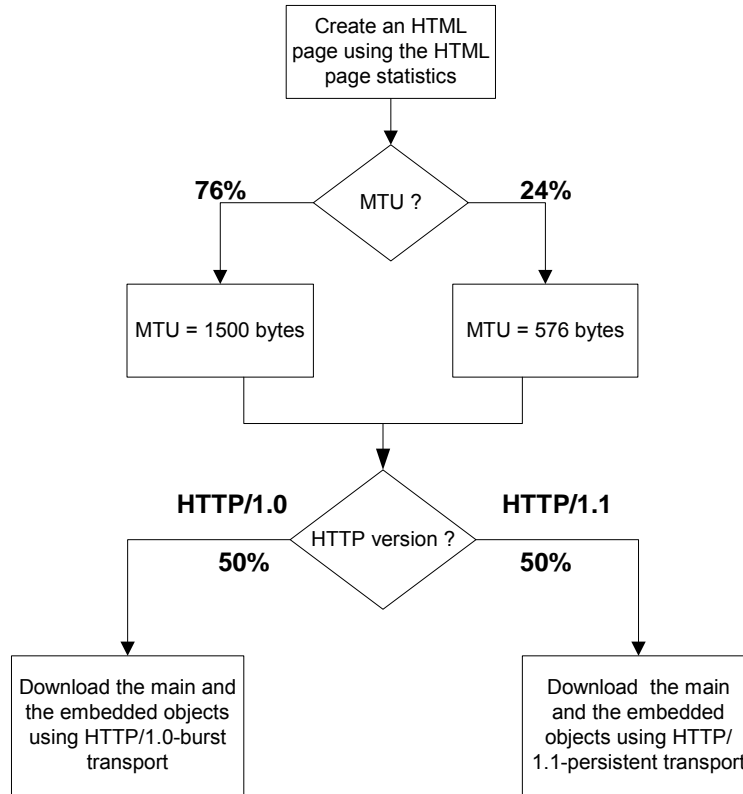


Figure 19: HTTP traffic profiles

1  
2  
3

#### 4 10.1.1. HTTP and TCP Interactions for DL HTTP Traffic

5 Two versions of the HTTP protocol, HTTP/1.0 and HTTP/1.1, are widely used by  
6 servers and browsers. Users shall specify 50% HTTP/1.0 and 50% HTTP/1.1 for HTTP  
7 traffic. For people who have to model the actual interaction between HTTP traffic and  
8 the underlying TCP connection, refer to 4.1.3.2, 4.2.4.3 of [50] for details.

#### 9 10.1.2. HTTP and TCP Interactions for UL HTTP Traffic

10 HTTP/1.1 is used for UL HTTP traffic. For details regarding the modeling of the  
11 interaction between HTTP traffic and the underlying TCP connection, refer to 4.2.4.1,  
12 4.2.4.2 of [50].

#### 13 10.2. File Transfer Protocol Model

14 File transfer traffic is characterized by a session consisting of a sequence of file  
15 transfers, separated reading times. Reading time is defined as the time between end of  
16 transfer of the first file and the transfer request for the next file. The packet call size is  
17 therefore equivalent to the file size and the packet call inter-arrival time is the reading  
18 time. A typical FTP session is shown in Figure 20.

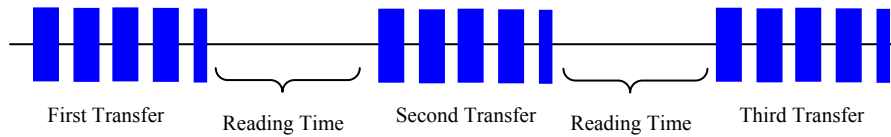


Figure 20: FTP traffic patterns

Table 34 provides the model parameters for FTP traffic that includes file downloads as well as uploads [51]-[52]. In the case of file uploads, the arrival of new users is Poisson distributed and each user transfers a single file before leaving the network.

The FTP traffic generation process is described in Figure 21. Based on the results on packet size distribution, 76% of the files are transferred using an MTU size of 1500 bytes and 24% of the files are transferred using an MTU size of 576 bytes. Note that these two packet sizes also include a 40 byte IP packet header and this header overhead for the appropriate number of packets must be added to the file sizes calculated from the statistical distributions in Table 34 or each file transfer a new TCP connection is used whose initial congestion window size is 1 segment.

A user is defined in outage for FTP service if the average packet call throughput is less than the minimum average throughput requirement of 128 kbps. The system outage requirement is such that no more than 2% of users can be in outage. The air link PER of MAC SDUs for FTP traffic should be not be greater than 1%.

Component	Distribution	Parameters	PDF
File size (S)	Truncated Lognormal	Mean = 2 Mbytes SD = 0.722 Mbytes Max = 5 Mbytes	$f_x = \frac{1}{\sqrt{2\pi\alpha}} \exp\left[-\frac{(\ln x - \mu)^2}{2\sigma^2}\right], x \geq 0$ $\sigma = 0.35, \mu = 14.45$ if $x > \text{max}$ or $x < \text{min}$ , discard and generate a new value for $x$
Reading time ( $D_{pc}$ )	Exponential	Mean = 180 sec.	$f_x = \lambda e^{-\lambda x}, x \geq 0$ $\lambda = 0.006$

Table 34: FTP traffic parameters

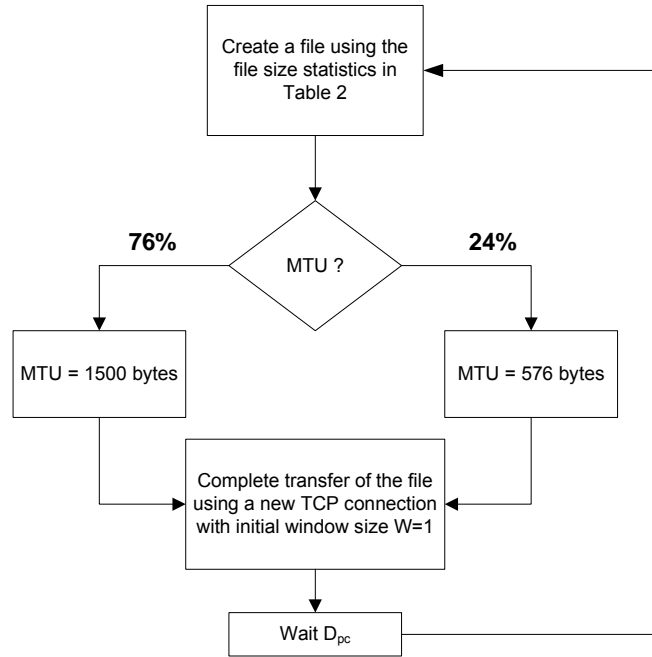


Figure 21: FTP traffic profiles

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4 **10.3. Speech Source Model (VoIP)**

5 VoIP refers to real-time delivery of voice packet across networks using the Internet  
6 protocols. A VoIP session is defined as the entire user call time and VoIP session  
7 occurs during the whole simulation period.

8

9 There are a variety of encoding schemes for voice (i.e., G.711, G.722, G.722.1,  
10 G.723.1, G.728, G.729, and AMR) that result in different bandwidth requirements.  
11 Including the protocol overhead, it is very common for a VoIP call to require between 5  
12 Kbps and 64 Kbps of bi-directional bandwidth.

13 **10.3.1. Basic Voice Model**

14 A typical phone conversation is marked by periods of active talking / talk spurts (ON  
15 periods) interleaved by silence / listening periods (or OFF periods) as shown in Figure  
16 22.

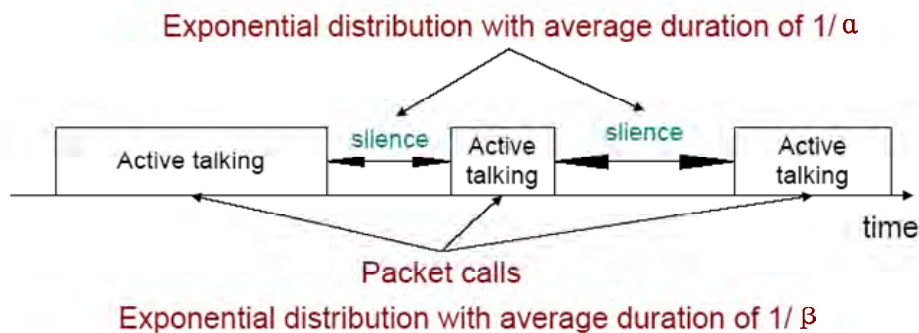
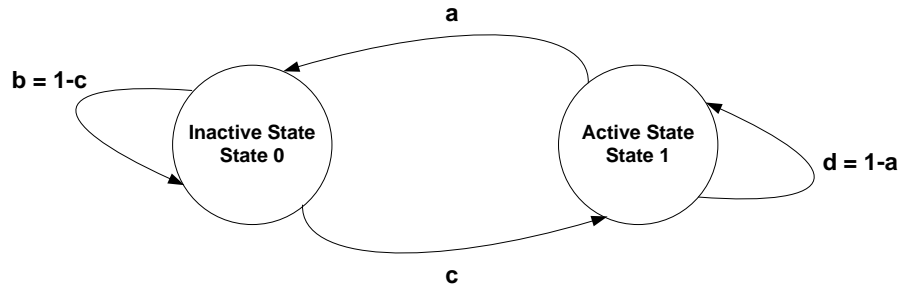


Figure 22: Typical phone conversation profile

17  
18

1  
2 Consider the simple 2-state voice activity Markov model shown in Figure 23 [54].



3  
4 **Figure 23: 2-state voice activity Markov model**

5  
6 In the model, the conditional probability of transitioning from state 1 (the active speech  
7 state) to state 0 (the inactive or silent state) while in state 1 is equal to a, while the  
8 conditional probability of transitioning from state 0 to state 1 while in state 0 is c. The  
9 model is assumed to be updated at the speech encoder frame rate  $R=1/T$ , where T is  
10 the encoder frame duration (typically, 20 ms). Packets are generated at time intervals  
11  $iT + \tau$ , where  $\tau$  is the network packet arrival delay jitter, and i is the encoder frame index.  
12 During the active state, packets of fixed sizes are generated at these time intervals,  
13 while the model is updated at regular frame intervals. The size of packet and the rate at  
14 which the packets are sent depends on the corresponding voice codecs and  
15 compression schemes. Table 35 provides information on some common vocoders.  
16

Vocoder	EVRC	AMR	GSM 6.10	G.711	G.723.1		G.729A
Source Bit rate [Kb/s]	0.8/2/4/8.55	4.75-12.2	13	64	5.3	6.3	8
Frame duration [ms]	20	20	20	10	30	30	10
Information bits per frame	16/40/80/171	95-244	260	640	159	189	80

17  
18 **Table 35: Information on various vocoders**

19  
20 Among the various vocoders in Table 35 , a simplified AMR (Adaptive Multi-Rate) audio  
21 data compression model can be used to simplify the VoIP modeling process. AMR is  
22 optimized for speech coding and was adopted as the standard speech codec by 3GPP  
23 and widely used in GSM. The original AMR codec uses link adaptation to select from  
24 one of eight different bit rates based on link conditions. If the radio condition is bad,  
25 source coding is reduced (less bits to represent speech) and channel coding (stronger  
26 FEC) is increased. This improves the quality and robustness of the network condition  
27 while sacrificing some voice clarity. In the simplified version in this document, link  
28 adaptation has been disabled and the full rate of 12.2 kbps is used in the active state.  
29 This model captures the worst case scenario.

30  
31 Table 36 shows the VoIP packet size calculation for simplified AMR operation with or  
32 without header compression when using IPv4 or IPv6. In the table, the MAC CRC of 4

1 bytes for ARQ is not included and only CRC for HARQ is included because the ARQ  
2 process can be assumed to be disabled for VoIP services.

3  
4 To calculate the total packet size, MAC headers and CRC need to be accounted for  
5 (example: there are 6 bytes of MAC header and 2 bytes of HARQ CRC in IEEE 802.16e  
6 reference system). Without header compression, an AMR payload of 33 bytes is  
7 generated in the active state every  $20 + \tau$  ms and an AMR payload of 7 bytes is  
8 generated in the inactive state every  $160 + \tau$  ms. Assuming IPv4 and uncompressed  
9 headers, the resulting VoIP packet size is 81 bytes in the active mode and 55 bytes in  
10 the inactive mode.

11  
12 The voice capacity assumes a 12.2. kbps codec with a 50% activity factor such that the  
13 percentage of users in outage is less than 2% where a user is defined to have  
14 experienced voice outage if more than 2% of the VoIP packets are dropped, erased or  
15 not delivered successfully to the user within the delay bound of 50 ms.

16  
17 The packet delay is defined based on the 98th percentile of the CDF of all individual  
18 users' 98th percentiles of packet delay (i.e., the 98th percentile of the packet delay CDF  
19 first determined for each user and then the 98th percentile of the CDF that describes the  
20 98th percentiles of the individual user delay is obtained).

21

Description	AMR without Header Compression IPv4/IPv6	AMR with Header Compression IPv4/IPv6	G.729 without Header Compression IPv4/IPv6	G.729 with Header Compression IPv4/IPv6
Voice Payload (20 ms aggregation interval)	7 bytes for inactive 33 bytes for active	7 bytes for inactive 33 bytes for active	0 bytes for inactive 20 bytes for active	0 bytes for inactive 20 bytes for active
Protocol Headers (including UDP checksum)	40 bytes / 60 bytes	3 bytes / 5 bytes	40 bytes / 60 bytes	3 bytes / 5 bytes
RTP	12 bytes		12 bytes	
UDP	8 bytes		8 bytes	
IPv4 / IPv6	20 bytes / 40 bytes		20 bytes / 40 bytes	
802.16e Generic MAC Header	6 bytes	6 bytes	6 bytes	6 bytes
802.16e CRC for HARQ	2 bytes	2 bytes	2 bytes	2 bytes

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Total VoIP packet size	55 bytes/ 75 bytes for inactive 81 bytes / 101 bytes for active	18 bytes/ 20 bytes for inactive 44 bytes / 46 bytes for active	0 bytes for inactive 68 bytes/ 88 bytes for active	0 bytes for inactive 31 bytes/ 33 bytes for active
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**Table 36: VoIP packet calculation for AMR and G.729**

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Bidirectional VoIP capacity is measured in Active Users/MHz/Sector. The total number of active users on the DL and UL is divided by total bandwidth occupied by the system accounting for frequency reuse. For an FDD configuration, the bandwidth is calculated as the sum of the uplink and downlink channel bandwidths. For a TDD configuration, the bandwidth is simply the channel bandwidth.

**10.3.2. VoIP Traffic Model Parameters**

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During each call (each session), a VoIP user will be in the Active or Inactive state. The duration of each state is exponentially distributed. In the Active/Inactive state, packets of fixed sizes will be generated at intervals of  $iT + \tau$  seconds, where  $T$  is the VoIP frame interval of 20 ms,  $\tau$  is the DL network delay jitter and  $i$  is the VoIP frame index. For the UL,  $\tau$  is equal to 0. As the range of the delay jitter is limited to 120 ms, the model may be implemented by generating packets at times  $iT + \tau'$  seconds, where  $\tau' = \tau + 80$  ms and is always positive. The air interface delay is the time elapsed from the packet arrival time ( $iT + \tau'$ ) to successful reception and decoding of the packet. Table 37 specifies the distributions and parameters associated with the VoIP traffic model.

22

Component	Distribution	Parameters	PDF
Active/Inactive state duration	Exponential	Mean = 1.25 second	$f_x = \lambda e^{-\lambda x}, x \geq 0$ $\lambda = 1 / \text{Mean}$
Probability of state transition	N/A	0.016	N/A
Packet arrival delay jitter (Downlink only)	Laplacian	$\beta = 5.11ms$	$f_x = \frac{1}{2\beta} e^{-\frac{ x }{\beta}}$ , $-80ms \leq \tau \leq 80ms$

**Table 37: VoIP traffic model parameters specification**

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Link adaptation of AMR codec is disabled in order to evaluate performance under worst case, and to simplify the voice traffic model.

During the inactive state, we have chosen to generate comfort noise with smaller packet sizes at regular intervals instead of no packet transmission. This simplified model does not include a feature called hangover, which generates additional seven frames at the same rate as speech to ensure the correct estimation of comfort noise parameters at

1 the receiver side even if there is a silence period at the end of a talk spurt (ON state),  
 2 and after the hangover period, a SID\_FIRST frame is sent. The voice traffic model  
 3 specifies only one rate during the ON state (talk spurt) of the AMR codec (12.2 kbps)  
 4 and another rate for the comfort noise (SID\_UPDATE) during the OFF state of the AMR  
 5 codec. SID\_UPDATE frames are generated every 8th frame during the silence period.  
 6

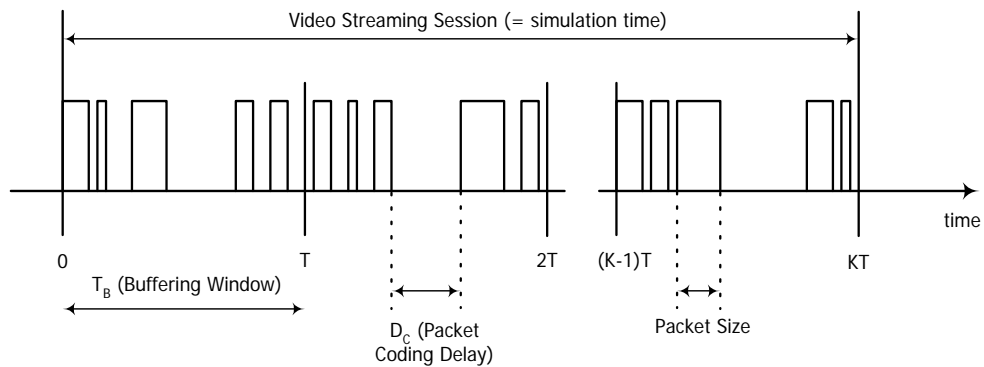
7 Table 38 provides the relevant parameters of the VoIP traffic that shall be assumed in  
 8 the simulations. The details of the corresponding traffic model are described below:  
 9

Parameter	Characterization
Codec	RTP AMR 12.2, Source rate 12.2 kbps
Encoder frame length	20 ms
Voice activity factor (VAF)	50%
Payload	Active: 33 bytes (Octet alignment mode)Inactive: 7 bytes SID packet every 160 ms during silence
Protocol Overhead with compressed header	RTP/UDP/IP (including UDP check sum): 3 bytes 802.16 Generic MAC Header: 6 bytes CRC for HARQ: 2 bytes
Total voice payload on air interface	Active: 44 bytes Inactive: 18 bytes

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11  
12 **Table 38: Detailed description of the VoIP traffic model for IPv4**

13 **10.4. Near Real Time Video Streaming Model**

14 This section describes a model for streaming video traffic for DL direction. Figure 24  
 15 illustrates the steady state of video streaming traffic from the network as observed by  
 16 the base station. Call setup latency and overhead are not considered in this model.



17  
18 **Figure 24: Video streaming traffic model**



Each frame of video data arrives at a regular interval  $T$ . Each frame can be treated as a packet call and there will be zero OFF duration within a session. Within each frame (packet call), packets (or datagrams) arrive randomly and the packet sizes are random as well.

To counter the jittering effect caused by the random packet arrival rate within a frame at the MS, the MS uses a de-jitter buffer window to guarantee a continuous display of video streaming data. The de-jitter buffer window for video streaming service is 5 seconds. At the beginning of the simulation, the MS de-jitter buffer shall be full with video data. During simulation, data is leaked out of this buffer at the source video data rate and filled as DL traffic reaches the MS from the BS. As a performance criterion, the simulation shall record the length of time, if any, during which the de-jitter buffer runs dry.

The packet sizes and packet inter-arrival rate can be found in when using a source rate of 64 kbps. Table 39 lists the parameters for the video streaming model.

Component	Distribution	Parameters	PDF
Inter-arrival time between the beginning of each frame	Deterministic	100 ms (Based on 10 frames per second)	
Number of packets (slices) in a frame	Deterministic	8 packets per frame	
Packet (slice) size	Truncated Pareto	Mean =100 bytes, Max = 250 bytes (before truncation)	$f_x = \frac{\alpha k^\alpha}{x^{\alpha+1}}, k \leq x < m$ $f_x = \left(\frac{k}{m}\right)^\alpha, x = m$ $\alpha = 1.2, k = 40\text{bytes}, m = 250\text{bytes}$ <p>if <math>x &gt; \text{max}</math>, discard and regenerate a new value for <math>x</math></p>
Inter-arrival time between packets (slices) in a frame	Truncated Pareto	Mean=6 ms, Max=12.5 ms (before truncation)	$f_x = \frac{\alpha k^\alpha}{x^{\alpha+1}}, k \leq x < m$ $f_x = \left(\frac{k}{m}\right)^\alpha, x = m$ $\alpha = 1.2, k = 2.5\text{ms}, m = 12.5\text{ms}$

			if $x > \max$ , discard and regenerate a new value for $x$
--	--	--	--

**Table 39: Near real time video streaming traffic model parameters**

It must be noted that additional network protocol overhead, such as IP, TCP/UDP headers should be added to each packet (slice) generated by the video streaming model described in Table 39.

A user is defined in outage for streaming video service if the 98th percentile video frame delay is larger than 5 seconds. The system outage requirement is such that no more than 2% of users can be in outage.

Parameter	Value
Service	Video Telephony
Video Codec	MPEG-4
Protocols	UDP
Scene Length (sec)	Session duration
Direction	Bi-direction (DL and UL)
Frames/sec	25 frames/sec
GOP	N=12, M=3
Display size	176x144
Color depth (bit)	8
Video Quality	Medium
Mean BW	110 kbps
I frame size (byte)	Weibull( $\alpha = 5.15$ , $\beta = 863$ ), shift=3949, $\mu = 4742$ , $\sigma = 178$ , min=4034, max=5184
P frame size (byte)	Lognormal( $\mu = 259$ , $\sigma = 134$ ), min=100, max=1663
B frame size (byte)	Lognormal( $\mu = 147$ , $\sigma = 74$ ), min=35, max=882

**Table 40: Video telephony traffic model**

## 10.5. Video Telephony Model

Based on the compression efficiency and market acceptance as described in the section 10.4, MPEG 4 has been selected for the video codec. The estimated values for the parameters to model a video stream vary from one trace to another. For parameters

1 associated with the statistical distributions, the estimates depend strongly on the  
2 dimensions of the captured frames. For the video telephony traffic model, medium  
3 quality of an Office Cam trace is used and the trace library is available at [58]. For the  
4 traffic model, two different qualities for the video have been considered; high and  
5 medium quality. For the medium quality encoding the quantization parameters for all  
6 three frame types were fixed at 10, and for the high quality encoding the quantization  
7 parameters for all three frame types were fixed at 4 [59].

8  
9 The scene length for the video telephony is assumed to be the entire application  
10 session since the background or the main subject may not be so dynamic.

## 11 **10.6. Gaming Traffic Model**

12 Gaming is a rapidly growing application embedded into communication devices, and  
13 thus wireless gaming needs to be considered. Games in different genre, such as First  
14 Person Shooter (FPS), Role Play Game (RPG), etc., show dramatic different traffic  
15 behaviors. FPS model is recommended to represent the gaming traffic model in this  
16 document because it posts additional requirements to the system performance, such as  
17 real time delay with irregular traffic arrivals.

18  
19 FPS is a genre of video games. It is a good representation of the modern Massively  
20 Multiplayer Online (MMO) game. Due to the nature of the FPS game, it has stringent  
21 network delay requirement. For the FPS game, if the client to server to client round trip  
22 delay (i.e., ping time, or end to end delay) is below 150 ms, the delay is considered  
23 excellent. When the delay is between 150 ms to 200 ms, the delay is noticeable  
24 especially to the experienced player. It is considered good or playable. When ping time  
25 is beyond 200 ms, the delay becomes intolerable.

26  
27 This end to end delay budget can be broken down into internet delay, server processing  
28 delay, cellular network delay, air interface delay, and client processing delay, etc. Let  
29 the IP packet delay be the time that the IP packet entering the MAC SDU buffer to the  
30 time that the IP packet is received by the receiver and reassembled into IP packet. The  
31 IP packet delay is typically budgeted as 50 ms to meet the 200 ms end to end delay. A  
32 gamer is considered in outage if 10% of its packet delay is either lost or delayed beyond  
33 the budget, i.e., 50 ms. The system outage requirement is such that no more than 2% of  
34 users can be in outage.

35  
36 The FPS traffic can be modeled by the Largest Extreme Value distribution. The starting  
37 time of a network gaming mobile is uniformly distributed between 0 and 40 ms to  
38 simulate the random timing relationship between client traffic packet arrival and reverse  
39 link frame boundary. The parameters of initial packet arrival time, the packet inter  
40 arrival time, and the packet sizes are illustrated in Table 41.

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44

Component	Distribution		Parameters		PDF
	DL	UL	DL	UL	
Initial packet arrival	Uniform	Uniform	a = 0, b = 40 ms	a=0, b=40 ms	$f(x) = \frac{1}{b-a} \quad a \leq x \leq b$
Packet arrival time	Extreme	Extreme	a = 50 ms, b = 4.5 ms	a = 40 ms, b = 6 ms	$f(x) = \frac{1}{b} e^{-\frac{x-a}{b}} e^{-e^{-\frac{x-a}{b}}}, b > 0$ $[X = [a - b \ln(-\ln Y)]]$ $Y \in U(0,1)$
Packet size	Extreme	Extreme	a = 330 bytes, b = 82 bytes	a = 45 bytes, b = 5.7 bytes	$f(x) = \frac{1}{b} e^{-\frac{x-a}{b}} e^{-e^{-\frac{x-a}{b}}}, b > 0$ $X = [a - b \ln(-\ln Y)] + 2^*$ , $Y \in U(0,1)$

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**Table 41: FPS internet gaming traffic model**

\* A compressed UDP header of 2 bytes has been accounted for in the packet size.

### 10.7. Email Traffic Model

Email is an important application that constitutes a high percentage of internet traffic. Email application traffic is included in the UMTS Forum 3G traffic models and ITU R M.2072 [65], [66].

Interactions between email servers and clients are governed by email protocols. The three most common email protocols are POP, IMAP and MAPI. Most email software operates under one of these (and many products support more than one) protocols. The Post Office Protocol (currently in version 3, hence POP3) allows email client software to retrieve email from a remote server. The Internet Message Access Protocol (now in version 4 or IMAP4) allows a local email client to access email messages that reside on a remote server. The Messaging Application Programming Interface (MAPI) is a proprietary email protocol of Microsoft that can be used by Outlook to communicate with Microsoft Exchange Server. It provides somewhat similar but more functionality than an IMAP protocol.

The email traffic model in this section considers both POP3 and MAPI since these protocols generate different traffic patterns. To model POP3, an FTP model can be used, and an email transaction with MAPI protocol can be modeled with multiple MAPI segment transactions in series. Each MAPI fragment is transmitted using the TCP protocol and segmented into smaller segments again based on the TCP configuration. A maximum MAPI fragment size of 16896 bytes has been found so far, and this information is indicated in the first packet of a MAPI fragment. Outlook finishes all the TCP ACK packet transmission for the current MAPI segment and the Exchange server

1 waits for the MAPI fragment completion indication packet before sending the next one.  
 2 The last packet in the MAPI fragment sets the "PUSH" bit in the TCP packet to transmit  
 3 all of the packets in the TCP buffer to the application layer at the receiver side [67].  
 4

5 Email traffic can be characterized by ON/OFF states. During the ON-state an email  
 6 could be transmitted or received, and during the OFF-state a client is writing or reading  
 7 an email. Figure 25 depicts a simplified email traffic pattern.  
 8

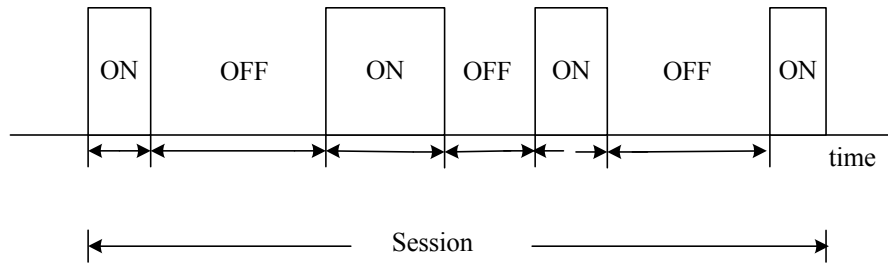


Figure 25: Email traffic model

9 The parameters for the email traffic model are summarized in Table 42 [67]- [69], [70],  
 10 [71].  
 11  
 12  
 13  
 14

Parameter	Distribution	Parameters	PDF
E-Mail Protocol	N/A	POP3, MAPI	N/A
E-Mail Average Header Size (Bytes)	Deterministic	1 K	N/A
Number of email receive	Lognormal	Mean = 30 Standard Deviation = 17	$f_x = \frac{1}{x\sigma\sqrt{2\pi}} \exp\left[-\frac{(\ln(x)-\mu)^2}{2\sigma^2}\right]$ $x \geq 0$ $\sigma = 3.262, \mu = 0.5277$
Number of email send	Lognormal	Mean = 14 Standard Deviation = 12	$f_x = \frac{1}{x\sigma\sqrt{2\pi}} \exp\left[-\frac{(\ln(x)-\mu)^2}{2\sigma^2}\right]$ $x \geq 0$ $\sigma = 2.364, \mu = 0.742$
Email reading time (sec)	Pareto	$\alpha = 1.1, k = 2, m = 65,$ mean = 60, maximum = 63	$f_x = \frac{\alpha k^\alpha}{x^{\alpha+1}}, k \leq x < m$ $f_x = \left(\frac{k}{m}\right)^\alpha, x = m$
Email writing time (sec)	Pareto	$\alpha = 1.1, k = 2, m = 125,$ mean = 120, maximum = 123	$f_x = \frac{\alpha k^\alpha}{x^{\alpha+1}}, k \leq x < m$ $f_x = \left(\frac{k}{m}\right)^\alpha, x = m$
Size of email receive/send without attachment	Cauchy	median $\mu = 22.7$ Kbytes, 90%-tile = 80Kbytes	$f_x = \frac{A}{\pi((x-\mu)^2 + 1)}, A$ is selected to satisfy 90%-tile

(Kbytes)			value
Size of email receive/send with attachment (Kbytes)	Cauchy	median $\mu = 227$ Kbytes , 90%-tile = 800 Kbytes	$f_x = \frac{A}{\pi((x-\mu)^2 + 1)}$ , A is selected to satisfy 90%-tile value
Ratio of email with attachment	Deterministic	Without attachment: 80% With attachment: 20%	N/A

Table 42: Email traffic parameters

### 10.8. Traffic Mixes

A mobile broadband wireless system is expected to support a mix of simultaneous traffic types. There can be different types of usage scenarios (multi-service v. single-type), different types of devices (notebook PCs, vs. PDAs or smart phones), different usage levels (intense vs. light) and different delay/latency requirements (real-time vs. best-effort).

The previous sections are primarily concerned with the traffic models for each of the potential traffic types. As discussed in the previous section, these models are based on statistical analysis of measured traffic that yielded some invariant patterns that are not very dependant on the specific system. It is more difficult to describe a similar invariant mix of traffic types since these tend to depend more heavily on the type of system and the actual deployment mix of user device types.

In the context of system performance evaluation, the specific traffic-mix chosen should emphasize different aspects of the system performance, e.g. sustained throughput for file downloads v. faster response times for interactive applications.

Table 43 contains traffic mixes that should be used in system evaluations. For system level simulation purposes, "traffic mix" refers to the percentage of users in the system generating a particular type of traffic. In this context, each user is assumed to be generating only one type of traffic, recognizing that in an actual network a single user's terminal could support multiple applications and generate several types of traffic simultaneously.

Mandatory traffic mixes (full buffer data only and VoIP only) shall be required for the evaluation of performance metrics as defined in the 802.16m requirements. For proposals that target improvements in performance metrics related to optional traffic mixes, the proponents should provide simulation results based on the corresponding traffic mixes. The NGMN traffic mix as specified in [63] or a later revision may be used for liaison with NGMN. The following table specifies mandatory and optional traffic mixes required for 802.16m system performance evaluation:

	VoIP	FTP	HTTP	NRTV	Gaming	VT	Full Buffer	Email	Mandatory/Optional
<b>VoIP only</b>	100% * (#users = $N_v^*$ )	0%	0%	0%	0%	0%	0%	0%	Mandatory

<b>Full Buffer Data only</b>	0%	0%	0%	0%	0%	0%	100%, 10 users per sector	0%	Mandatory
<b>NGMN Traffic Mix</b>	30%	10%	20%	20%	20%	0%	0%	0%	Optional
<b>FTP only</b>	0%	100%	0%	0%	0%	0%	0%	0%	Optional
<b>HTTP only</b>	0%	0%	100%	0%	0%	0%	0%	0%	Optional
<b>NRTV only</b>	0%	0%	0%	100%	0%	0%	0%	0%	Optional
<b>Gaming only</b>	0%	0%	0%	0%	100%	0%	0%	0%	Optional
<b>VT only</b>	0%	0%	0%	0%	0%	100%	0%	0%	Optional
<b>Email only</b>	0%	0%	0%	0%	0%	0%	0%	100%	Optional
<b>VoIP &amp; Full Buffer Mix 1</b>	0.5 of $N_v$	0%	0%	0%	0%	0%	10 users per sector	0%	Optional
<b>VoIP &amp; Full Buffer Mix 2</b>	0.75 of $N_v$	0%	0%	0%	0%	0%	10 users per sector	0%	Optional

**Table 43: Traffic mixes**

\*  $N_v$  is the system voice capacity that satisfies outage criteria at system and user level

## 11. Simulation Procedure and Flow

A nineteen cell network topology with wrap-around (as shown in Appendix G) shall be used as the baseline network topology for all system-level simulations.

1. The system is modeled as a network of 7 clusters. Each cluster has 19 hexagonal cells with six cells in the first tier and twelve cells in the second tier surrounding the central cell of each cluster. Each cell has three sectors. Frequency reuse is modeled by planning frequency allocations in different sectors in the network.
2. MSs are dropped independently with uniform distribution throughout the system. Each mobile corresponds to an active user session that runs for the duration of the drop.
3. Mobiles are randomly assigned channel models. Depending on the simulation, these may be in support of a desired channel model mix, or separate statistical realizations of a single type of channel model.
4. MSs are dropped according to the specified traffic mix.
5. For sectors belonging to the center cluster, sector assignment to an MS is based on the received power at an MS from all potential serving sectors. The sector with best path to MS, taking into account slow fading characteristics (path loss, shadowing, and antenna gains) is chosen as the serving sector.

- 1 6. Mobile stations are randomly dropped over the 57 sectors such that each sector  
2 has the required numbers of users. Although users may be in regions supporting  
3 handover each user is assigned to only one sector for counting purposes. All  
4 sectors of the system shall continue accepting users until the desired fixed  
5 number of users per sector is achieved everywhere. Users dropped within 35  
6 meters of a sector antenna shall be redropped. MS locations for six wrapping  
7 clusters are the same as the center cluster.  
8
- 9 7. For simulations that do not involve handover performance evaluation, the  
10 location of each MS remains unchanged during a drop, and the speed of an MS  
11 is only used to determine the Doppler effect of fast fading. Additionally, the MS is  
12 assumed to remain attached to the same BS for the duration of the drop.  
13
- 14 8. Fading signal and fading interference are computed from each mobile station into  
15 each sector and from each sector to each mobile for each simulation interval.  
16
- 17 9. Packets are not blocked when they arrive into the system (i.e. queue depths are  
18 infinite).Users with a required traffic class shall be modeled according to the  
19 traffic models defined in this document. Start times for each traffic type for each  
20 user should be randomized as specified in the traffic model being simulated.  
21
- 22 10. Packets are scheduled with a packet scheduler using the required fairness  
23 metric. Channel quality feedback delay, PDU errors are modeled and packets are  
24 retransmitted as necessary. The HARQ process is modeled by explicitly  
25 rescheduling a packet as part of the current packet call after a specified HARQ  
26 feedback delay period.  
27
- 28 11. Simulation time is chosen to ensure convergence in user performance metrics.  
29 For a given drop the simulation is run for this duration, and then the process is  
30 repeated with the MSs dropped at new random locations. A sufficient number of  
31 drops are simulated to ensure convergence in the system performance metrics.  
32
- 33 12. Performance statistics are collected for MSs in all cells according to the output  
34 matrix requirements.  
35
- 36 13. All 57 sectors in the system shall be dynamically simulated.  
37

## 38 12. Interference Modeling

39 The reuse of frequencies through planned allocation enables a cellular system to  
40 increase capacity with a limited number of channels. The interference model due to  
41 frequency reuse should accurately represent the time-frequency selective nature of  
42 OFDMA interference. The channel matrices for the desired and interfering signals shall  
43 be generated according to the models in Section 3 which account for the pathloss, BS  
44 antenna gain, shadowing, and fast fading variations. For simplicity, the same fast  
45 fading channel model but a different realization shall be assigned to each link between



1 an MS & all BSs in the network. This time-frequency modeling can create significant  
 2 computational complexity in network simulations. To reduce complexity, pathloss and  
 3 shadowing are calculated to determine the  $I_{strong}$  strongest interferers. The strongest  
 4 interferers are modeled as spatially correlated processes and their channel matrices  
 5 include pathloss, BS antenna gain, shadowing and fast fading components. The  
 6 remaining  $I_{weak}$  interferers are modeled as spatially white spectrally flat processes. It has  
 7 been shown that this modeling procedure results in negligible loss in performance.

8 The procedure for downlink simulations is summarized below:

- 9 1. Determine the pathloss, BS antenna gain, and shadowing from all interfering  
 10 sectors to MS.
- 11 2. Rank the interfering sectors in order of received power (based on pathloss, BS  
 12 antenna gain, and shadowing).
- 13 3. Model the channels of the strongest ( $I_{strong}$ ) interferers as described in Section 3.  
 14 The channel matrices of the strongest interfering sectors account for the  
 15 pathloss, BS antenna gain, shadowing, and fast fading variations. For downlink  
 16 baseline simulations with Matrix A and Matrix B, the value of  $I_{strong}$  shall be set to  
 17 8.
- 18 4. Model the remaining sectors as spatially white Gaussian noise processes whose  
 19 variances are based on a spectrally flat Rayleigh fading process. The power of  
 20 the Rayleigh fading process includes the effects of pathloss, BS antenna gain,  
 21 and shadowing. The fading processes for all links between MS and BS are  
 22 assumed to be independent, and the Doppler rate is determined by the speed of  
 23 the mobile. At any instant in time, the total received interference power is the  
 24 summation of the receive power from of all weak interferers. Hence, the  
 25 interference power is varying in time during a simulation drop.

## 26 13. Performance Metrics

### 27 13.1. Introduction

28 Performance metrics may be classified as single-user performance metrics or multi-user  
 29 performance metrics.

#### 30 13.1.1. Single User Performance Metrics

##### 31 13.1.1.1. Link Budget and Coverage Range (Noise Limited) - Single-Cell 32 Consideration

33 **Link budget** evaluation is a well known method for initial system planning that needs to  
 34 be carried out for BS to MS links. Although a link budget can be calculated separately  
 35 for each link, it is the combination of the links that determines the performance of the  
 36 system as a whole. The parameters to be used needs to be agreed upon after  
 37 obtaining consensus. Using the margins in the link budget, the expected signal to noise  
 38

Item	Downlink	Uplink
<b>System Configuration</b>		
Carrier frequency/Total channel bandwidth	GHz/MHz	GHz/MHz
BS/MS heights	M	m
Test environment	Indoor, outdoor vehicular, etc.	Indoor, outdoor vehicular, etc.
Channel type	Control channel/ Traffic channel	Control channel/ Traffic channel
Area coverage	%	%
Test service	Data (rate)/ VoIP (rate)	Data (rate)/ VoIP (rate)
Chosen modulation and coding scheme (explicitly state the use of repetition coding)	-	-
Total channel bandwidth	MHz	MHz
Multipath channel class (characterization of both temporal and spatial properties, e.g., ITU VehA with fixed spatial correlation)	-	-
Mobile speed	km/h	km/h
<b>Transmitter</b>		
(a) Number of transmit antennas	-	-
(b) Maximum transmitter power per antenna	dBm	dBm
(c) Transmit backoff	dB	dB
(d) <b>Transmit power per antenna = (b) - (c)</b>	dBm	dBm
(d1) <b>Total transmit power per sector = function (a) &amp; (d)</b>	dBm	dBm
(e) Transmitter antenna gain	dBi	dBi
(e1) Transmitter array gain (depends on transmitter array configurations and technologies such as adaptive beam forming, CDD (Cyclic delay diversity), etc.)	dB	dB
(e2) Control channel power boosting gain	dB	dB
(e3) Data carrier power loss due to pilot/control boosting	dB	dB
(f) Cable, connector, combiner, body losses (enumerate sources)	dB	dB
(g) <b>Transmitter control EIRP = (d1) + (e) + (e1) + (e2) - (f)</b> <b>Data EIRP = (d1) + (e) + (e1) - (e3) - (f)</b>	dBm	dBm
<b>Receiver</b>		
(h) Number of receive antennas	-	-

(i)	Receiver antenna gain	dBi	dBi
(j)	Cable, connector, body losses	dB	dB
(k)	Receiver noise figure	dB	dB
(l)	Thermal noise density	-174 dBm/Hz	-174 dBm/Hz
(m)	Receiver interference density	dBm/Hz	dBm/Hz
(n)	<b>Total noise plus interference density</b> <b>= <math>10 \log ( 10^{((l)/10)} + 10^{((m)/10)} )</math></b>	dBm/Hz	dBm/Hz
(o)	Occupied channel bandwidth (for meeting the requirements of the test service)	Hz	Hz
(p)	<b>Effective noise power = (n) + (k) + <math>10 \log((o))</math></b>	dBm	dBm
(q)	Required SNR (AWGN 1-branch sensitivity)	dB	dB
(r)	Receiver implementation margin	dB	dB
(r1)	Fast fading margin (include scheduler gain)	dB	dB
(r2)	HARQ gain	dB	dB
(r3)	Handover gain	dB	dB
(r4)	BS/MS diversity gain	dB	dB
(s)	<b>Receiver sensitivity = (p) +(q) + (j) + (r) + (r1) - (r2) - (r3) - (r4)</b>	dBm	dBm
(t)	<b>Hardware link budget = (g) + (i) - (s)</b>	dB	dB
<b>Calculation of Available Pathloss</b>			
(u)	Lognormal shadow fading std deviation	dB	dB
(v)	Shadow fading margin (function of the area coverage and (u))	dB	dB
(w)	Penetration margin	dB	dB
(w1)	Other gains	dB	dB
(x)	<b>Available path loss = (t) – (v) – (w) + (w1)</b>	dB	dB
<b>Range/coverage Efficiency Calculation</b>			
(y)	Maximum range (according to the selected carrier frequency, BS/MS antenna heights, and test environment – Refer to System Configuration section of the link budget)	M	m
(z)	Coverage Efficiency ( $\pi (v)^2$ )	sq m/site	sq m/site

Table 44: Link budget template

1  
2  
3  
4  
5  
6  
7

ratio can be evaluated at given distances. Using these results, the noise limited range can be evaluated for the system.

The link budget template, as shown in Table 44, is adopted from ITU-R recommendation M.1225 [4] with additional entries and some modifications to reflect

1 different system operation and characteristics that may be exploited or considered in  
2 802.16m but are not accounted for in the M.1225 document [4]. It must be noted that  
3 the link budget should be evaluated separately for control and data channels.

4 **Coverage range** is defined as the maximum radial distance to meet a certain  
5 percentage of area coverage (x%) with a signal to noise ratio above a certain threshold  
6 (target SINR) over y% of time, assuming no interference signals are present. It is  
7 proposed that x be 99 and y be 95.

#### 8 **13.1.1.2. SINR Coverage – Interference Limited Multi-cell Consideration**

9 The SINR coverage is defined as the percentage area of a cell where the average SINR  
10 experienced by a stationary user is larger than a certain threshold (target SINR).

#### 11 **13.1.1.3. Data Rate Coverage – Interference Limited Multi-cell** 12 **Consideration**

13 The percentage area for which a user is able to transmit/receive successfully at a  
14 specified mean data rate using single-user analysis mentioned above. No delay  
15 requirement is considered here.

#### 16 **13.1.2. Multi-User Performance Metrics**

17 Although a user may be covered for a certain percentage area (e.g. 99%) for a given  
18 service, when multiple users are in a sector/BS, the resources (time, frequency, power)  
19 are to be shared among the users. It can be expected that a user's average data rate  
20 may be reduced by a factor of N when there are N active users (assuming resources  
21 are equally shared and no multi-user diversity gain), compared to a single user rate.

22 For example, assume that there is a system, where a shared channel with a peak rate  
23 of 2 Mbps can serve 99% of the area. Consider the scenario where a particular user  
24 wants to obtain a video streaming service at 2 Mbps. This user may be able to obtain  
25 the service if no other user gets any service during the whole video session (which may  
26 extend for more than an hour). Therefore, in this example although 99% area is covered  
27 for the video service, this service is not a viable service for the operator and the  
28 evaluation of coverage needs to be coupled with the evaluation of capacity in order to  
29 reflect viable service solutions. Coverage performance assessment must be coupled  
30 with capacity (# of MSs), to obtain a viable metric.

31 The users having poor channel quality may be provided more resources so that they  
32 would get equal service from the cellular operator. This could adversely impact the total  
33 cell throughput. Thus, there is a trade-off between coverage and capacity. Any  
34 measure of capacity should be provided with the associated coverage. .

35 Since an operator should be able to provide the service to multiple users at the same  
36 time, an increase in the area coverage itself does not give an operator the ability to offer  
37 a given service. Therefore, the number of users that can be supported under a given  
38 coverage captures actual coverage performance for a given service from a viability point  
39 of view.

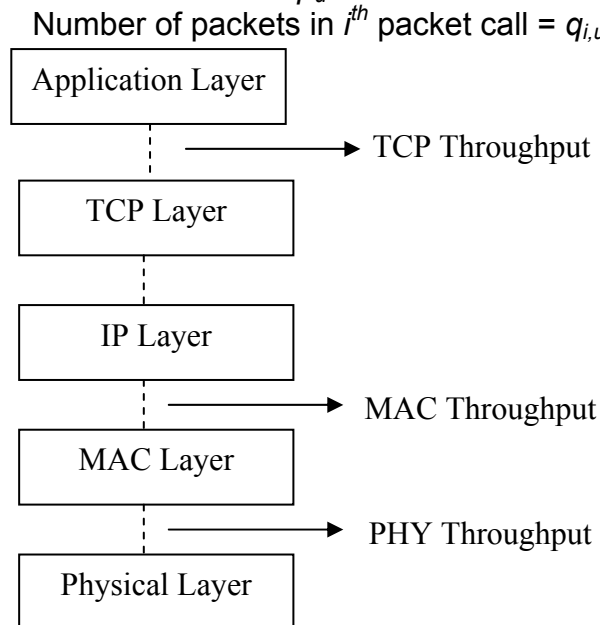
1 The suggested performance metric is the number of admissible users (capacity),  
 2 parameterized by the service ( $R_{min}$ ), and the coverage (allowable outage probability).

### 3 13.2. Definitions of Performance Metrics

4 It is assumed that simulation statistics are collected from sectors belonging to the test  
 5 cell(s) of the 19-cell deployment scenario. Collected statistics will be traffic-type (thus  
 6 traffic mix) dependent.

7  
 8 In this section, we provide a definition for various metrics collected in simulation runs.  
 9 For a simulation run, we assume:

- 10  
 11 1] Simulation time per drop =  $T_{sim}$   
 12 2] Number of simulation drops =  $D$   
 13 3] Total number of users in sector(s) of interest =  $N_{sub}$   
 14 4] Number of packet calls for user  $u = p_u$   
 15 Number of packets in  $i^{th}$  packet call =  $q_{i,u}$



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**Figure 26: Throughput metrics measurement points**

#### 35 13.2.1. Throughput Performance Metrics

36 For evaluating downlink (uplink) throughput, only packets on the downlink (uplink) are  
 37 considered in the calculations. Downlink and uplink throughputs are denoted by upper  
 38 case DL and UL respectively (example:  $R_u^{DL}, R_u^{UL}$ ). The current metrics are given per a  
 39 single simulation drop.

40  
 41 The throughput metrics below shall be measured at the following layers:

- 42  
 43  
 44
- PHY Layer
  - MAC Layer
  - TCP Layer

1  
2 The throughput for those layers is measured at the points identified in  
3 Figure 26, where throughput refers to the payload throughput without overhead.

#### 4 **13.2.1.1. Average Data Throughput for User $u$**

5 The data throughput of a user is defined as the ratio of the number of information bits  
6 that the user successfully received divided by the amount of the total simulation time. If  
7 user  $u$  has  $p_u^{DL(UL)}$  downlink (uplink) packet calls, with  $q_{i,u}^{DL(UL)}$  packets for the  $i^{\text{th}}$  downlink  
8 (uplink) packet call, and  $b_{j,i,u}$  bits for the  $j^{\text{th}}$  packet; then the average user throughput for  
9 user  $u$  is

$$10 \quad R_u^{DL(UL)} = \frac{\sum_{i=1}^{p_u^{DL(UL)}} \sum_{j=1}^{q_{i,u}^{DL(UL)}} b_{j,i,u}}{T_{Sim}} \quad (101)$$

#### 11 **13.2.1.2. Average Per-User Data Throughput**

12 The average per-user data throughput is defined as the sum of the average data  
13 throughput of each user in the system as defined in Section 13.2.1.1, divided by the  
14 total number of users in the system.

#### 15 **13.2.1.3. Sector Data Throughput**

16 Assuming  $N_{sub}$  users in sector of interest, and  $u^{\text{th}}$  user where  $u \in N_{sub}$  has  
17 throughput  $R_u^{DL(UL)}$ , then DL or UL sector data throughput is :

$$19 \quad R_{sec}^{DL(UL)} = \sum_{u=1}^{N_{sub}} R_u^{DL(UL)} \quad (102)$$

#### 20 **13.2.1.4. Average Packet Call Throughput for User $u$**

21 Packet call throughput is the total bits per packet call divided by total packet call  
22 duration. If user  $u$  has  $p_u^{DL(UL)}$  downlink (uplink) packet calls, with  $q_{i,u}^{DL(UL)}$  packets for the  
23  $i^{\text{th}}$  downlink (uplink) packet call, and  $b_{j,i,u}$  bits for the  $j^{\text{th}}$  packet; then the average packet  
24 call throughput is

$$25 \quad R_u^{pc,DL(UL)} = \frac{1}{p_u^{DL(UL)}} \left( \sum_{i=1}^{p_u^{DL(UL)}} \frac{\sum_{j=1}^{q_{i,u}^{DL(UL)}} b_{j,i,u}}{(T_{i,u}^{end,DL(UL)} - T_{i,u}^{start,DL(UL)})} \right) \quad (103)$$

26 where  $T_{i,u}^{start,DL(UL)}$  defines the time instant at which the transmission of first packet of the  
27  $i^{\text{th}}$  downlink (uplink) packet call for user  $u$  starts and  $T_{i,u}^{end,DL(UL)}$  defines the time

1 instant at which the last packet of the  $i^{\text{th}}$  downlink (uplink) packet call for user  $u$  is  
2 received.

### 3 **13.2.1.5. Average Per-User Packet Call Throughput**

4 The average per-user packet call throughput is defined as the sum of the average  
5 packet call throughput of each user in the system as defined in Section 13.2.1.4, divided  
6 by the total number of users in the system.

### 7 **13.2.1.6. The Histogram of Users' Average Packet Call Throughput**

8 The histogram will display the distribution of the downlink (uplink) average packet call  
9 throughput observed at the MS (BS) for the subscribed users.

### 10 **13.2.1.7. Throughput Outage**

11 Throughput outage ( $O_{\text{thpt}}(R_{\text{min}})$ ) is defined as the percentage of users with data rate  $R_u^{\text{DL}}$ ,  
12 less than a predefined minimum rate  $R_{\text{min}}$ .

### 13 **13.2.1.8. Cell Edge User Throughput**

14 The cell edge user throughput is defined as the 5th percentile point of the CDF of users'  
15 average packet call throughput.

## 16 **13.2.2. Performance Metrics for Delay Sensitive Applications**

17 For evaluating downlink (uplink) delay, only packets on the downlink (uplink) are  
18 considered in the calculations. Downlink and uplink delays are denoted by upper case  
19 DL and UL respectively (example:  $D_u^{\text{DL}}, D_u^{\text{UL}}$ ).

### 20 **13.2.2.1. Packet Delay**

21 Assuming the  $j^{\text{th}}$  packet of the  $i^{\text{th}}$  packet call destined for user  $u$  arrives at the BS (SS) at  
22 time  $T_{j,i,u}^{\text{arr,DL(UL)}}$  and is delivered to the MS (BS) MAC-SAP at time  $T_{j,i,u}^{\text{dep,DL(UL)}}$ , the packet  
23 delay is defined as  
24

$$25 \text{Delay}_{j,i,u}^{\text{DL(UL)}} = T_{j,i,u}^{\text{dep,DL(UL)}} - T_{j,i,u}^{\text{arr,DL(UL)}} \quad (104)$$

26 Packets that are dropped or erased may or may not be included in the analysis of  
27 packet delays depending on the traffic model specifications. For example, in modeling  
28 traffic from delay sensitive applications, packets may be dropped if packet  
29 transmissions are not completed within a specified delay bound. The impact of such  
30 dropped packets can be captured in the packet loss rate.

### 31 **13.2.2.2. The CDF of Packet Delay per User**

32 CDF of the packet delay per user provides a basis in which maximum latency, x%-tile,  
33 average latency as well as jitter can be derived.

### 1 13.2.2.3. X%-tile Packet delay per User

2 The x%-tile packet delay is simply the packet delay value for which x% of packets have  
3 delay below this value.

### 4 13.2.2.4. The CDF of X%-tile Packet Delays

5 The CDF of x%-tiles of packet latencies is used in determining the y%-tile latency of the  
6 x%-tile per user packet delays.

### 7 13.2.2.5. The Y%-tile of X%-tile Packet Delays

8 The y%-tile is the latency number in which y% of per user x%-tile packet latencies are  
9 below this number. This latency number can be used as a measure of latency  
10 performance for delay sensitive traffic. A possible criteria for VoIP, for example, is that  
11 the 98<sup>th</sup> %-tile of the 98%-tile of packet latencies per user is 50ms.

### 12 13.2.2.6. User Average Packet Delay

13 The average packet delay is defined as the average interval between packets originated  
14 at the source station (either MS or BS) and received at the destination station (either BS  
15 or MS) in a system for a given packet call duration. The average packet delay for user  
16  $u$ ,  $D_u^{avg,DL(UL)}$  is given by:

$$17 \quad D_u^{avg,DL(UL)} = \frac{\sum_{i=1}^{P_u} \sum_{j=1}^{q_{i,u}} (T_{j,i,u}^{dep,DL(UL)} - T_{j,i,u}^{arr,DL(UL)})}{\sum_{i=1}^{P_u} q_{i,u}} \quad (105)$$

### 18 13.2.2.7. CDF of Users' Average Packet Delay

19 The CDF will reflect the cumulative distribution of the average packet delay observed by  
20 all users.

### 21 13.2.2.8. Packet Loss Ratio

22 The packet loss ratio per user is defined as

$$23 \quad Packet\ Loss\ Ratio = 1 - \frac{Total\ Number\ of\ Successfully\ Delivered\ Packets}{Total\ Number\ of\ Packets} \quad (106)$$

24 where the total number of packets includes packets that were transmitted over the air  
25 interface and packets that were dropped prior to transmission.

## 26 13.2.3. System Level Metrics for Unicast Transmission

### 27 13.2.3.1. System Data Throughput

28 The data throughput of a BS is defined as the number of information bits per second  
29 that a site can successfully deliver or receive via the air interface using the scheduling  
30 algorithms.



### 1 13.2.3.2. Spectral Efficiency

2 Both physical layer spectral efficiency and MAC layer spectral efficiency should be  
 3 evaluated. Physical layer spectral efficiency should represent the system throughput  
 4 measured at the interface from the physical layer to the MAC layer, thus including  
 5 physical layer overhead but excluding MAC and upper layer protocols overhead. MAC  
 6 layer spectral efficiency should represent the system throughput measured at the  
 7 interface from the MAC layer to the upper layers, thus including both physical layer and  
 8 MAC protocol overhead. Typical Layer 1 and Layer 2 overheads are described in  
 9 Appendix I.

10  
 11 The MAC efficiency of the system should be evaluated by dividing the MAC layer  
 12 spectral efficiency by the physical layer spectral efficiency.

13  
 14 The average cell/sector spectral efficiency is defined as

$$15 \quad r = \frac{R}{BW_{eff}} \quad (107)$$

16 Where  $R$  is the aggregate cell/sector throughput,  $BW_{eff}$  is the effective channel  
 17 bandwidth. The effective channel bandwidth is defined as

$$18 \quad BW_{eff} = BW \times TR \quad (108)$$

19 where  $BW$  is the used channel bandwidth, and  $TR$  is time ratio of the link. For example,  
 20 for FDD system  $TR$  is 1, and for TDD system with DL:UL=2:1,  $TR$  is 2/3 for DL and 1/3  
 21 for UL, respectively.

### 22 13.2.3.3. CDF of SINR

23 For uplink simulations, this is defined as the cumulative distribution function (CDF) for  
 24 the signal to interference and noise ratio (SINR) observed by the BS for each MS on the  
 25 uplink. For downlink simulations, this is defined as the CDF for the SINR observed by  
 26 each MS on the downlink. This metric allows for a comparison between different reuse  
 27 scenarios, network loading conditions, smart antenna algorithms, resource allocation  
 28 and power control schemes, etc.

### 29 13.2.3.4. Histogram of MCS

30 This histogram will display the distribution of MCS for all subscribed users.

### 31 13.2.3.5. Application Capacity

32 Application capacity ( $C_{app}$ ) is defined as the maximum number of application users that  
 33 the system can support without exceeding the maximum allowed outage probability.

### 1 **13.2.3.6. System Outage**

2 System outage is defined as when the number of users experiencing outage exceeds  
3 2% of the total number of users. The user outage criterion is defined based on the  
4 application of interest in Section 10.

### 5 **13.2.3.7. Coverage and Capacity Trade-off Plot**

6 In order to evaluate the coverage and capacity trade-off, system level simulation shall  
7 provide a plot of the x% coverage data rate versus sector throughput. The default value  
8 of x is 95%.

### 9 **13.2.4. System Level Metrics for Multicast Broadcast Service**

10 In order to evaluate the performance of multicast broadcast services, two cases should  
11 be considered. The first case consists of all 57 sectors transmitting the same MBS  
12 service. In the second case, which is used to evaluate the performance at the MBS  
13 zone edge, only the centre cell and the first tier of cells are transmitting the same MBS  
14 service. The remaining cells are either transmitting unicast data or a different MBS  
15 service. In both cases, the self interference due to effective channel delay exceeding  
16 cyclic prefix should be modeled. Both cases should be evaluated with the performance  
17 metrics given in the following subsections.

#### 18 **13.2.4.1. Maximum MBS Data Rate**

19 The maximum MBS data rate is defined as the maximum data rate for 95% coverage  
20 with a target packet error rate of 1%.

#### 21 **13.2.4.2. Coverage versus Data Rate Trade-off**

22 The coverage versus data rate trade-off can be evaluated through a plot of the coverage  
23 percentage versus the data rate for a target packet error rate of 1%.

#### 24 **13.2.4.3. Impact of Multicast/Broadcast Resource Size on Unicast 25 Throughput**

26 As the MBS resource size increases, the impact on unicast throughput should be  
27 provided. Given the total resource budget, the impact of multicast/broadcast resource  
28 size on unicast throughput can be evaluated through a plot of the unicast throughput  
29 versus the multicast/broadcast throughput for 95% coverage with a target PER of 1%.

### 30 **13.3. Fairness Criteria**

31 It may be an objective to have uniform service coverage resulting in a fair service  
32 offering for best effort traffic. A measure of fairness under the best effort assumption is  
33 important in assessing how well the system solutions perform.  
34

35 The fairness is evaluated by determining the normalized cumulative distribution function  
36 (CDF) of the per user throughput. The CDF is to be tested against a predetermined  
37 fairness criterion under several specified traffic conditions. The same scheduling  
38 algorithm shall be used for all simulation runs. That is, the scheduling algorithm is not  
39 to be optimized for runs with different traffic mixes. The owner(s) of any proposal  
40 should also describe the scheduling algorithm used for simulation.

1  
2 Let  $T_{\text{put}}[k]$  be the throughput for user  $k$ . For a packet call, let  $T_{\text{put}}[k]$  be defined as the  
3 average packet call throughput for user  $k$  as defined in Section 13.2.1.4. The  
4 normalized throughput with respect to the average user throughput for user  $k$ ,  $\tilde{T}_{\text{put}}[k]$  is  
5 given by

$$6 \quad \tilde{T}_{\text{put}}[k] = \frac{T_{\text{put}}[k]}{\text{avg}_i T_{\text{put}}[i]} \quad (109)$$

### 7 13.3.1. Moderately Fair Solution

8 The CDF of the normalized throughputs with respect to the average user throughput for  
9 all users is determined. This CDF shall lie to the right of the curve given by the three  
10 points in Table 45.  
11

Normalized Throughput w.r.t average user throughput	CDF
0.1	0.1
0.2	0.2
0.5	0.5

12  
13 Table 45: Moderately fair criterion CDF

### 14 13.3.2. Short Term Fairness Indication

15 During the simulation, the following short-term fairness indicator should be computed  
16 and recorded every  $\tau$  ms ( $\tau$  is suggested to be 20 or 40):

$$17 \quad F(t) = \frac{\left| \sum_{i \in A} \hat{T}_i(t) \right|^2}{|A| \sum_{i \in A} \hat{T}_i^2(t)} \quad (110)$$

18 where  $\hat{T}_i(t)$  is the amount of service received by the  $i$ th user in time interval  $[t, t + \tau)$ ,  $A$  is  
19 the set of users with nonzero buffers in  $[t, t + \tau)$ , and  $|A|$  is the cardinality of  $A$ . The  
20 minimum of  $F(t)$  during the simulation time, defined as  $F_{\min} = \min_{t \in \{0, \tau, 2\tau, 3\tau, \dots, T_{\text{sim}}\}} F(t)$ , can serve  
21 as an indication of how much fairness is maintained all the time. It must be noted that  
22 the fairness indicator is valid only if all users have equal service requirements.

## 23 14. Relay Evaluation Methodology

24 This section captures the required changes and extensions to the methodology  
25 described earlier in this document to evaluate and compare relay proposals. It is

1 assumed that the recommendations made in the other sections of this document apply  
2 to the evaluation of relay except in those cases where it is explicitly stated in this  
3 section.

#### 4 **14.1. Test Scenarios**

5 Three basic scenarios with Relay Stations (RS) are defined for the purpose of system  
6 level simulations:

- 7 • Above Rooftop (ART) RS scenario
  - 8 ○ Two relays per sector
- 9 • Below Rooftop (BRT) RS scenario
  - 10 ○ Six relays per sector (1.5 km BS site-to-site distance)
  - 11 ○ TBD relays per sector (3.0 km BS site-to-site distance)
- 12 • Manhattan deployment scenario (Optional)

13  
14 Proponents can define additional test scenarios in order to highlight specific  
15 performance gains, such as capacity, coverage, throughput, in specific deployment  
16 scenarios as long as the scenario is described in sufficient detail to allow simulations to  
17 be recreated by others. Detailed descriptions of these scenarios are given in Sections  
18 14.1.1, 14.1.2 and 14.1.3.

19  
20 In the ART and BRT scenarios, cells are partitioned into three sectors, as is specified in  
21 Section 2. Many of the parameters and procedures previously specified in this  
22 document are used. In this section we specify the modifications and additions to these  
23 procedures required to support relay simulation studies.

##### 24 **14.1.1. Above Rooftop RS Scenario**

25 The ART RS scenario as shown in Figure 27 assumes that the BS and RS are located  
26 above rooftop (ART) while the MSs are located below rooftop (BRT).

27  
28 The basic system level parameters describing characteristics (equipment models) of the  
29 BS, RS and MS are provided in Section 0. The channel models for system level  
30 simulations of all possible links (BS-RS, BS-MS, RS-MS and RS-RS) are defined in  
31 Section 14.3 of this document. Note that the parameters proposed in Section 0 and  
32 14.3 do not depend on the number of RSs per sector. Meanwhile, it is obvious that  
33 simulation results may significantly depend on the positions of RSs inside the cell. The  
34 default positions of the RSs inside the cell and their antenna configurations have to be  
35 specified for calibration of simulation results. Section 14.1.1.1 provides nominal  
36 positions for RSs which are suggested to be used for system level simulation.

37

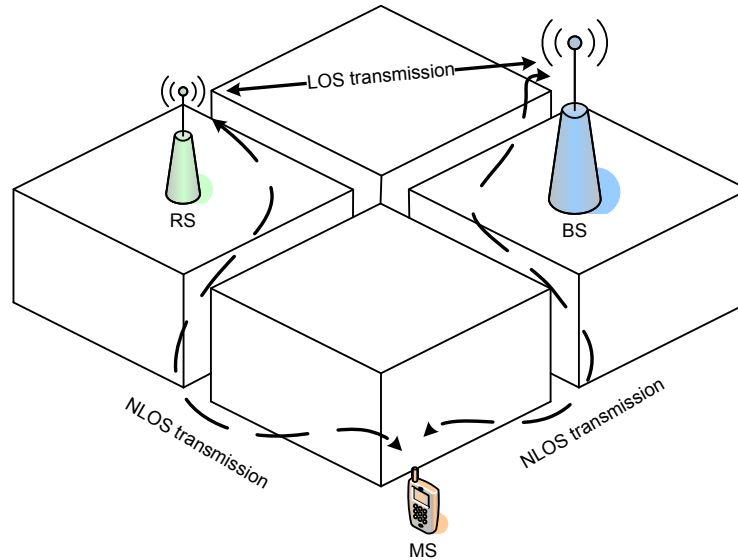


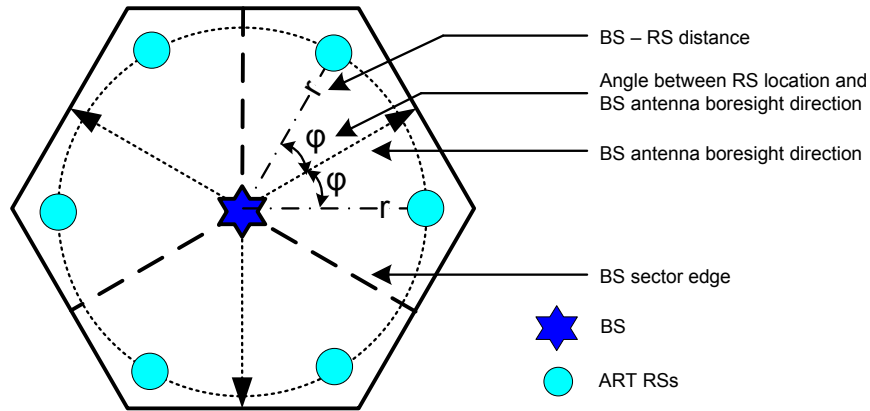
Figure 27: Above Rooftop RS Scenario

1  
2  
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4  
5 In both ART RS scenarios a directional narrow-beam donor antenna is used at the RSs  
6 for the BS-RS link. These antennas are pointed directly to the BS. For RS-MS  
7 communication the RS uses omni-directional antennas. For more details on BS and RS  
8 antenna parameters refer to Section 14.2.

9  
10 In ART scenarios, the relay link is modeled as a static link. See Section 14.5 for the  
11 modeling procedure for static links.

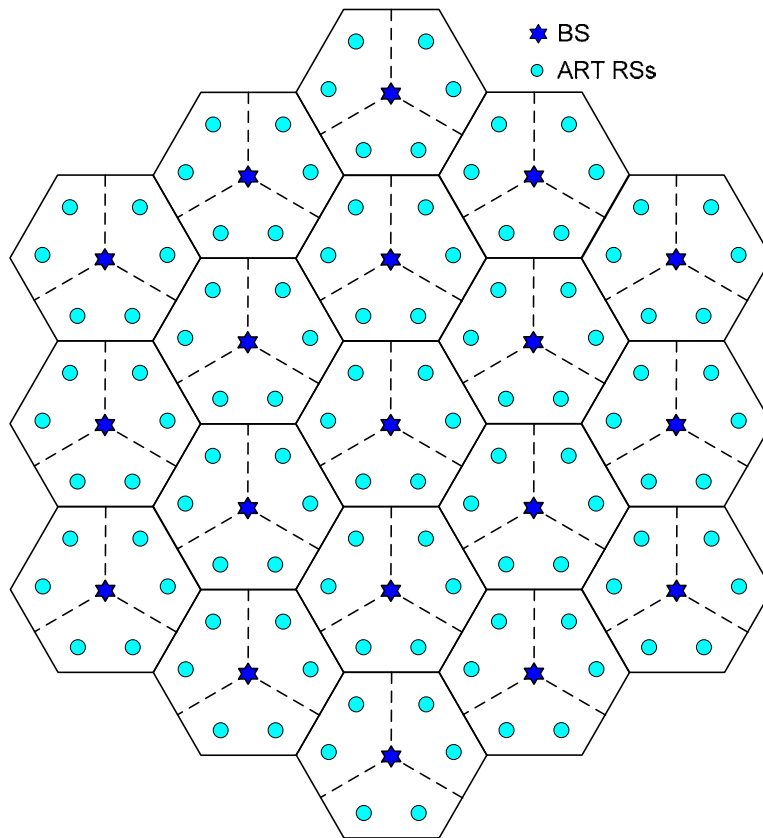
#### 12 14.1.1.1. Two Relays per Sector Scenario

13 In this scenario two RSs are deployed in each sector. The positions of the relays are  
14 determined by the BS-RS distance  $r$  and the angle  $\varphi$  between the boresight direction of  
15 the BS sector antenna and the LOS to the RS (refer to Figure 28). By default the  
16 distance  $r$  is equal to  $3/8$  of the site-to-site distance and the angle  $\varphi$  is  $260^\circ$ . A value of  
17  $300^\circ$  may optionally be used. Note that specified recommended values of  $r$  and  $\varphi$  are  
18 currently aligned for DL spatial multiplexing of relay links assuming that the BS is  
19 equipped with 2 or 4 antenna elements and antenna spacing of 4 wavelengths. The  
20 optional parameters are aligned with the case when no beamforming and spatial  
21 multiplexing techniques are applied. The defined values for  $r$  and  $\varphi$  are not obligatory  
22 and may be changed for other simulation scenarios, but in this case their values must  
23 be specified by the proponents. The particular choice may be justified by specific BS  
24 antenna system parameters (i.e., antenna spacing and number of antenna elements)  
25 and used signal processing techniques. For instance, the angles may be selected to  
26 reduce the amount of interference from neighboring cells or to increase the performance  
27 of spatially multiplexed relay links for a given BS antenna configuration.  
28



**Figure 28: Cell structure for two ART RSs per sector**

Figure 29 illustrates the deployment scenario with two ART RSs per sector for the RS placement angle of  $26^\circ$  in a 19 cell topology.



**Figure 29: ART Deployment scenario with two RS & default RS placement angle ( $26^\circ$ )**

**14.1.2. Below Rooftop RS Scenario**

In this scenario the BS is located above rooftop (ART) while the RS and MS are located below rooftop (BRT), see Figure 30.

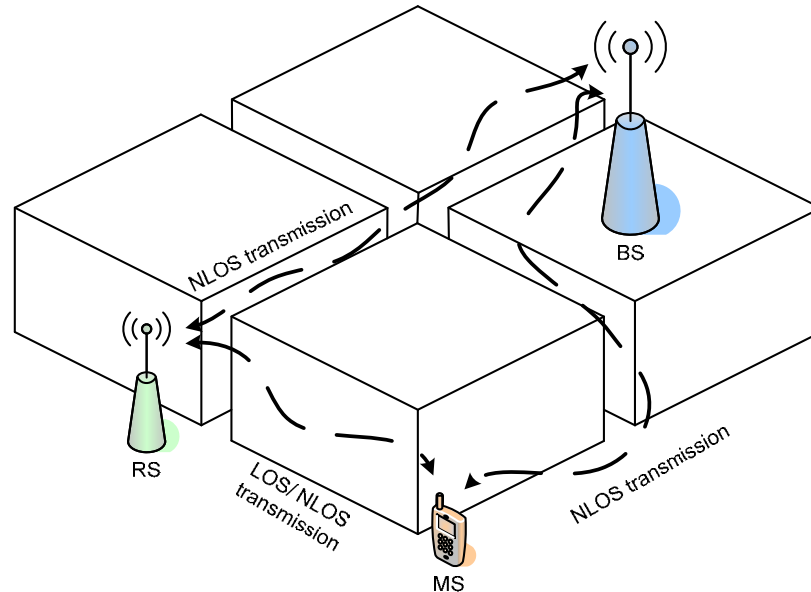


Figure 30: BRT RS Scenario

1  
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5 In the BRT scenario, the number of RSs deployed in each sector is increased to six.  
6 The reason for increasing the number of RSs is the more severe propagation  
7 characteristics of the BS-RS links and the reduced coverage area of the BRT RS in  
8 comparison to the ART RS scenarios of Section 14.1.1. The other difference from the  
9 ART scenario is in the type of the RS antenna configuration used for the BS-RS link.  
10 Since the BRT RSs are deployed below the rooftop, the probability of having LOS  
11 between the BS and RS is reduced. For this reason the BRT RS scenario assumes  
12 omni-directional antennas for both relay (BS-RS) and access links (RS-MS). The RS  
13 antenna array broadside is assumed to be aligned with the LOS direction to the BS. The  
14 basic RS parameters for the BRT RS scenario are provided in Section 14.2.

15  
16 Figure 31 shows the deployment of BRT RSs with six relays per sector for a 19 cell  
17 topology. The deployment resembles the hexagonal RS grid with smaller cell sizes  
18 (mini-cells) overlaid by the hexagonal BS grid. As it can be seen from Figure 31, one  
19 of the RSs in each BS sector is geographically located in the neighboring cell.

20  
21 Note that hexagonal BRT RSs deployment is not obligatory and may be changed for  
22 other simulation scenarios, but in this case location of BRT RSs must be specified by  
23 the proponents. The particular choice may be justified by specific BS antenna system  
24 parameters (i.e., antenna spacing and number of antenna elements) and used signal  
25 processing techniques. For instance, the angles may be selected to reduce the amount  
26 of interference from neighboring cells or to increase the performance of spatially  
27 multiplexed relay links for a given BS antenna configuration.  
28

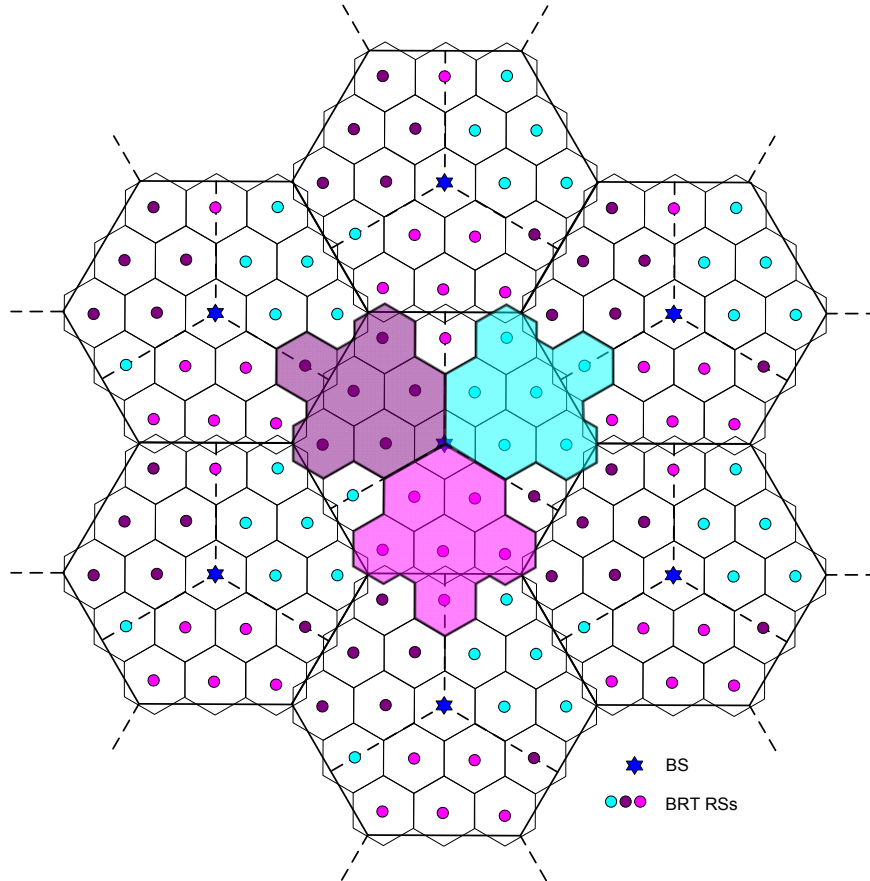


Figure 31: BRT RS Deployment Scenario

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In BRT scenarios, the relay link is modeled as a dynamic link. See Section 14.5 for the modeling procedure for dynamic links.

**14.1.3. Manhattan deployment scenario**

In this scenario the BS/RS/MS are located below rooftop (see Figure 32).

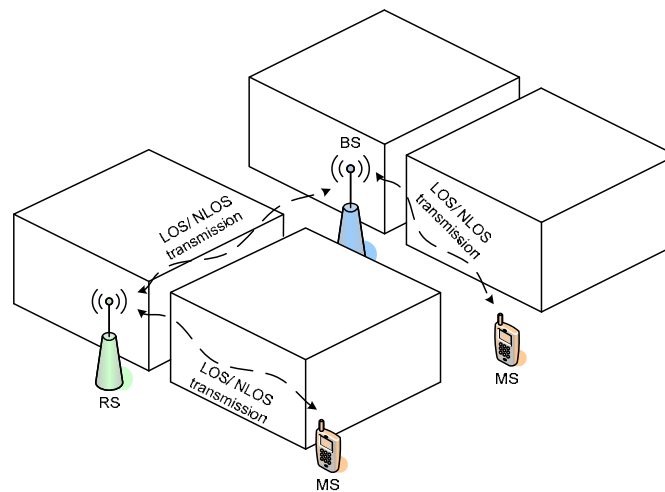


Figure 32: Manhattan deployment scenario propagation conditions

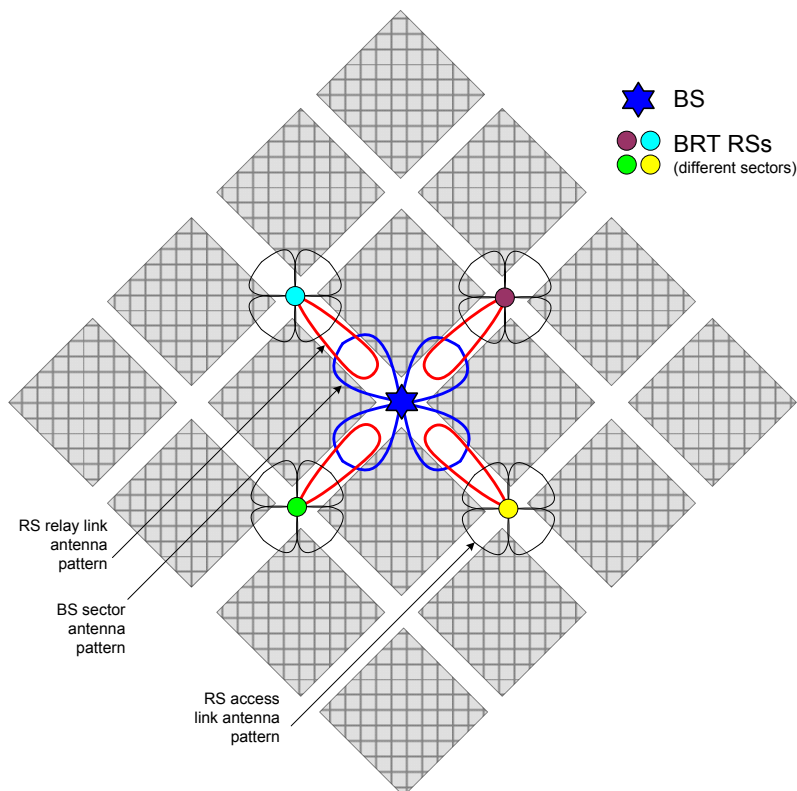
9  
10



1  
2 Manhattan grid network deployment complements the hexagonal deployments modeled  
3 by the ART and BRT test scenarios. The deployment is adapted to the square street  
4 raster. In this scenario employing BRT RSs provides additional coverage in the streets  
5 that are out of the BS coverage area. This scenario assumes a specific BS equipment  
6 model whose parameters are aligned with the specific signal propagation environment  
7 which exists in a Manhattan grid deployment. The BS is placed BRT in a street  
8 intersection and has 4 sectors with directional antennas towards the streets, creating  
9 four main axes. The RSs are equipped with directional antennas pointing to the  
10 direction of the relay link source (the BS for the first tier RSs) and are placed on the  
11 main axes. They also have small directional antennas for the access links, such to  
12 illuminate the streets perpendicular to the main axes.  
13

14 Different variants of the deployment of the BSs and the RSs can be used for evaluation  
15 of Manhattan grid network deployment. Figure 33, Figure 34 and Figure 35 show some  
16 realistic scenarios.

17 Figure 33 shows single cell of the Manhattan deployment scenario with one relay per  
18 BS sector.  
19



20  
21 **Figure 33: Manhattan deployment scenario with 1 BRT RS per sector**  
22

23 Figure 34 shows single cell of the Manhattan deployment scenario with two relays per  
24 BS sector.  
25

1

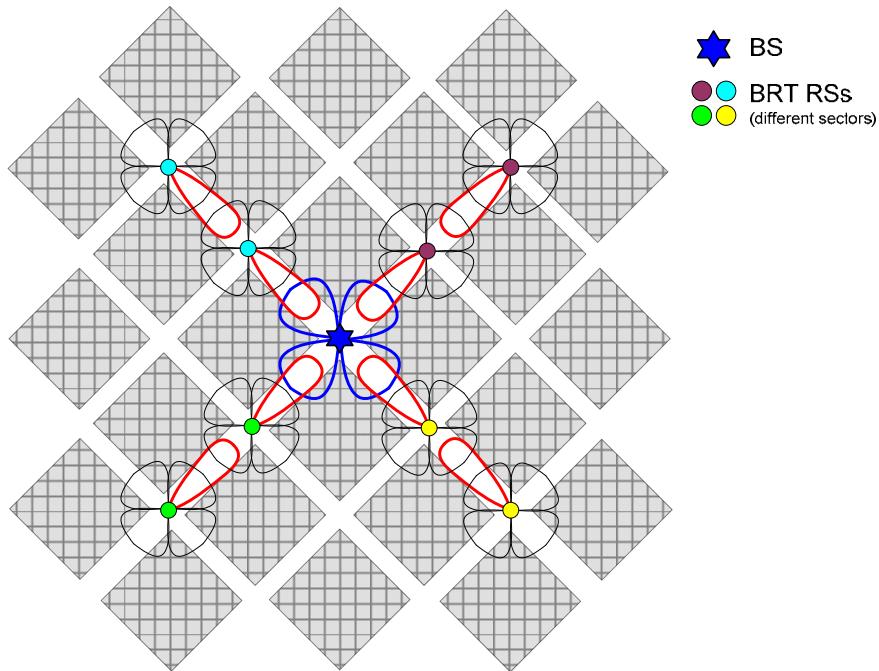


Figure 34: Manhattan deployment scenario with 2 BRT RSs per sector

2  
3  
4  
5  
6  
7

Figure 35 shows single cell of the Manhattan deployment scenario with three relays per BS sector.

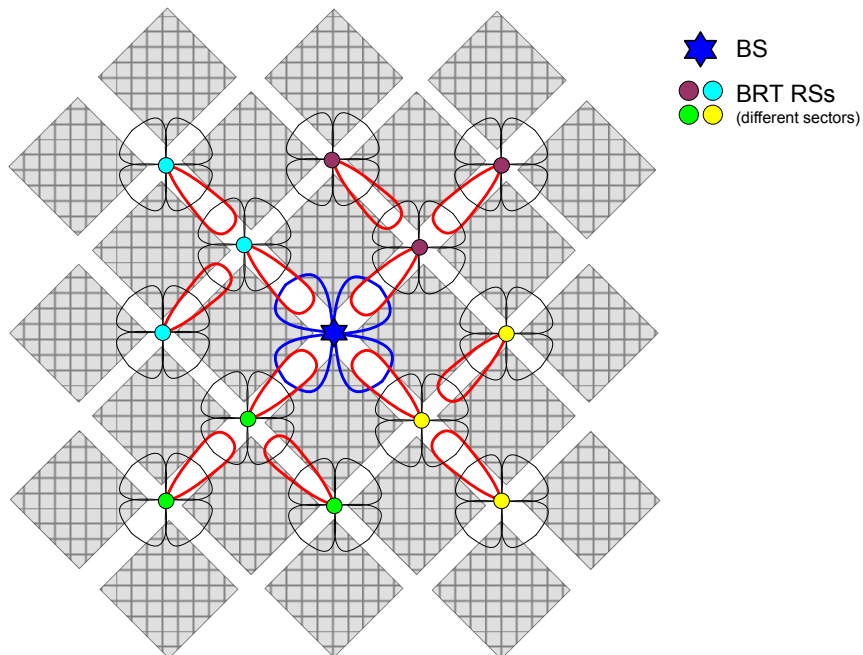


Figure 35: Manhattan deployment scenario with 3 BRT RSs per sector

8  
9  
10  
11  
12

More detailed parameters of the Manhattan grid deployment, such as typical network sizes, multi-cell structure and others are FFS.

## 1 14.2. Basic Parameters

Scenario/ parameters	ART RS scenario	BRT RS scenario	Manhattan deployment scenario
Carrier Frequency	Refer to Baseline configuration (Table 3)		
Operating Bandwidth	Refer to Baseline configuration (Table 3)		
Frequency Reuse	1x3x1 (required)*		
Number of RS per sector	2**	6 (1.5 km site-to-site distance) 6-12 (3.0 km site-to-site distance)	1,2,3
BS Site-to-site distance	1.5km (mandatory) 3.0km (optional)	1.5 km (mandatory) 3.0 km (optional)	TBD
RS placement distance (r)	2 RSs per sector – 3/8 of site-to-site distance	6 RSs per sector – symmetrical positioning (hexagonal)	TBD
RS placement angle ( $\varphi$ )	2 RSs per sector - 26° (Default); 30° (Optional)	6 RSs per sector – symmetrical positioning (hexagonal)	TBD
MS mobility	Refer to Baseline configuration (Table 3)		

2 **Table 46: Test Scenarios**

3 \* In a frequency reuse pattern of  $N \times S \times K$ , the network is divided into clusters of  $N$  cells (each cell in the cluster has a  
4 different frequency allocations),  $S$  sectors per cell, and  $K$  different frequency allocations per cell.

5 \*\*Two RSs per sector are recommend here because the other parameters(e.g. RS placement distance, RS placement  
6 angle) are dependant on the number of RS.

Parameter	Value	
	ART RS and BRT RS scenario	Manhattan deployment scenario (optional)
BS Tx Power per sector	Refer to Table 4	46 dBm (Refer to Table 4)
		36 dBm (optional)
Base station antenna height	Refer to Table 4	12.5m
Number of transmit antennas per sector	2 (Mandatory) 4 (Optional)	
Number of receive antennas per sector	2 (Mandatory) 4 (Optional)	
Number of sectors	Refer to Table 4	4 (oriented along the streets)
Antenna gain (boresight)	Refer to Table 4	TBD
Antenna 3-dB beamwidth	Refer to Table 4	TBD
Antenna front-to-back power ratio	30 dB (Mandatory) 20 dB (Optional) (Refer to Table 4 )	TBD
Antenna spacing	4 $\lambda$ (Mandatory) (Refer to Table 4) 0.5 $\lambda$ (Optional)	
Noise figure	Refer to Table 4	
Cable loss	Refer to Table 4	

**Table 47: BS Equipment Model**

1

Parameter	Value		
	ART RS scenario	BRT RS scenario	Manhattan deployment scenario (optional)
	Relay Link		
RS Tx Power	36 dBm per antenna	27 dBm per antenna	36 dBm per antenna (Mandatory) 27 dBm per antenna (Optional)
Relay station antenna height	32 m	10m	10 m
Number of transmit antennas	1	2	1
Number of receive antennas	1	2	1
Antenna type	Directional	Omni in horizontal plane	Directional
Antenna gain (boresight)	20 dBi	7 dBi	20 dBi
Antenna 3-dB beamwidth	20 <sup>0</sup>	N/A	20 <sup>0</sup>
Antenna front-to-back power ratio	23 dB	N/A	23 dB
Antenna spacing	N/A	2 $\lambda$	N/A
Antenna orientation	Antenna array broadside pointed to BS direction	Antenna array broadside pointed to BS direction	Antenna array broadside pointed to the link's source direction (BS or another RS)
Noise figure	5 dB		
Cable loss	2 dB		
Access Link			
RS Tx Power	36 dBm per antenna	27 dBm per antenna	36 dBm per antenna (Mandatory) 27 dBm per antenna (Optional)
Relay station antenna height	32m	10m	10 m
Number of transmit antennas	2 baseline/ 4 optional		TBD
Number of receive antennas	2 baseline/ 4 optional		TBD
Number of sectors	1		4 oriented along the streets (or less)
Antenna type	Omni in horizontal plane		Directional
Antenna gain (boresight)	7 dBi		TBD
Antenna 3-dB beamwidth	N/A	N/A	TBD
Antenna front-to-back power ratio	N/A	N/A	TBD

Antenna spacing	$4\lambda$	$2\lambda$	TBD
Antenna orientation	Antenna array broadside pointed to BS direction	Antenna array broadside pointed to BS direction	TBD
Noise figure	5 dB		
Cable loss	2 dB		

**Table 48: RS Equipment Model**

Refer to Table 5 for MS equipment model.

### 14.3. Channel Models

This section describes the channel models used to model propagation conditions between BS, RS, and MS for two the different RS deployment scenarios – ART RS and BRT RS.

The same channel models are used to model both inter-cell and intra-cell propagation conditions.

#### 14.3.1. Pathloss Models

The following notation is used in this section:  $h_{BS}$  is the BS antenna height,  $h_{RS}$  is the RS antenna height and  $h_{MS}$  is the MS antenna height.

##### 14.3.1.1. ART RS Scenario

Pathloss models for the ART RS scenario are defined in Table 49.

Link	Pathloss model
BS-MS and RS-MS	Baseline test scenario (Mandatory) (Refer to Section 3.2.3.8)
	Urban Macrocell test scenario (Optional) (Refer to Section 3.2.3.1).
	Suburban Macrocell test scenario (Optional) (Refer to Section 3.2.3.2)
BS-RS and RS-RS	802.16j EVM Type D (Mandatory) [83]

**Table 49: Pathloss models for the ART Relay Scenario**

##### 14.3.1.1.1. BS-MS and RS-MS links

The BS-MS and RS-MS links for the ART RS scenario are typical ART to BRT links. The mandatory pathloss models for the baseline and the optional Urban Macrocell and Suburban Macrocell test scenarios are described in Section 3.2.3 and used for BS-MS and RS-MS link simulations without any modifications.

##### 14.3.1.1.2. BS-RS and RS-RS links

BS-RS and RS-RS links are assumed to be LOS ART to ART links and propagation conditions will significantly differ from the BS-MS and RS-MS links. Since there are no

1 suitable channel model scenarios defined in Section 3, the pathloss models described in  
2 the 802.16j EVM [81] is used.

3

#### 4 **IEEE 802.16j EVM Type D pathloss model**

5 This model [81] is a modified IEEE 802.16 pathloss model. It is equal to the free space  
6 pathloss up to a breakpoint distance, which is determined by the transmission frequency  
7 and the RS antenna height. Beyond the breakpoint, the pathloss exponent increases.  
8 This increase is to account for the fact that LOS probability will decrease with distance  
9 from the BS. This factor is also important for multi-cell simulations for interference  
10 calculations. The pathloss is defined by:

11

12

13

14

$$PL[dB] = \begin{cases} 20 \log_{10} \left( \frac{4\pi d[m]}{\lambda[m]} \right) & \text{for } d \leq d_0' \\ A + 10\gamma \log_{10} \left( \frac{d[m]}{d_0[m]} \right) + \Delta PL_f + \Delta PL_h & \text{for } d > d_0' \end{cases}$$

15

16 where  $A = 20 \log_{10}(4\pi d_0'[m]/\lambda)$ ;  $d_0 = 100 \text{ m}$ ; breakpoint distance  $d_0' = d_0[m]10^{\frac{\Delta PL_f + \Delta PL_h}{10\gamma}}$ ;

17  $\gamma = a - bh_{BS}[m] + \frac{c}{h_{BS}[m]}$  with parameters  $a = 3.6$ ;  $b = 0.005$ ;  $c = 20$ ;

18  $\Delta PL_f = 6 \log_{10} \left( \frac{f_c [MHz]}{2000} \right)$ ;

19  $\Delta PL_h = \begin{cases} -10 \log_{10}(h_{RS}[m]/3) & \text{for } h_{RS} \leq 3 \text{ m} \\ -20 \log_{10}(h_{RS}[m]/3) & \text{for } h_{RS} > 3 \text{ m} \end{cases}$

20 This model applicability range is from 100 m to 8 km.

21

#### 22 **14.3.1.2. BRT RS Scenario**

23 The pathloss models for the BRT RS scenario are defined in Table 50.

Link	Pathloss model
BS-MS	Baseline test scenario pathloss model (Mandatory) (Refer to Section 3.2.3.8)
	Urban Macrocell test scenario pathloss model (Optional) (Refer to Section 3.2.3.1)
	Suburban Macrocell test scenario (Optional) pathloss model (Refer to Section 3.2.3.2)
BS-RS	Modified Baseline test scenario pathloss model (Mandatory) [83]
	Modified Urban Macrocell test scenario pathloss model (Optional) [83]
	Modified Suburban Macrocell test scenario pathloss model (Optional) [83]
RS-MS	Urban Microcell propagation: Urban Microcell COST-Walfish-Ikegami pathloss model (Mandatory) [5][18] Urban Microcell test scenario pathloss model (Optional) (Refer to Section 3.2.3.3)
	Outdoor to Indoor propagation: Outdoor to Indoor test scenario pathloss model (Optional) (Refer to Section 3.2.3.6)
RS-RS	Urban Microcell COST -Walfish-Ikegami pathloss model [5][18] Urban Microcell test scenario pathloss model (Optional) (Refer to Section 3.2.3.3)

**Table 50: Path loss models for BRT RS Scenario**

1  
2  
3  
4  
5  
6  
7  
8

#### 14.3.1.2.1. BS-MS link

The BS-MS link in the BRT RS scenario is a typical ART to BRT link. The mandatory pathloss models for the baseline and optional Urban Macrocell and Suburban Macrocell test scenarios are described in Section 3.2.3 and used for the BS-MS link simulations without any modifications.

#### 14.3.1.2.2. BS-RS link

The BS-RS link in the BRT RS scenario is an ART to BRT link. The pathloss models for the mandatory Baseline and optional Urban Macrocell and Suburban Macrocell test scenarios (Section 3.2.3) are almost suitable for BS-RS link simulations, but it is obvious that the propagation conditions for the BS-RS link should be less severe than the ones for the BS-MS links. The following approach for the pathloss propagation calculation is proposed. First, the pathloss is calculated for the BS-RS link using one of the specified models using the assumption that  $h_{RS} = h_{MS}$ . Second, the pathloss is adjusted based on the  $h_{RS}$  value according to the formula

$$PL[dB] = PL(h_{RS} = h_{MS}) - Height\_gain = PL(h_{RS} = h_{MS}) - 0.7h_{RS}[m]$$

An example of such an adjustment is defined in the WINNER B5d channel model [83]. The WINNER B5d channel model is defined for the NLOS stationary feeder and above

21  
22



1 rooftop to street-level propagation. This model is almost identical to the WINNER C2  
 2 Urban Macrocell NLOS model. The only difference is that in the B5d model a small  
 3 adjustment to the pathloss model is made considering that the RS is located higher than  
 4 the MS:

$$5 \quad PL_{B5d}[dB] = PL_{C2NLOS} - Height\_gain = PL_{C2NLOS} - 0.7h_{RS}[m]$$

#### 6 **14.3.1.2.3. RS-MS link**

7 Two propagation sub-scenarios for RS-MS links are considered – the Urban Microcell  
 8 propagation scenario, where MSs are located outdoors, and the Outdoor to Indoor  
 9 propagation scenario, where MSs are located inside the buildings.

10  
 11 In the case when MSs are located outdoors, the RS-MS link propagation conditions in  
 12 the BRT RS scenario may be described by a typical Urban Microcell propagation  
 13 scenario with both RS and MS antennas located BRT [82]. In the RS-MS link, both LOS  
 14 and NLOS propagation conditions may occur and LOS/NLOS transition conditions need  
 15 to be introduced for this link.

16  
 17 Two Urban Microcell pathloss models for the RS-MS link are defined for the RS-MS link.

18  
 19 The first is the pathloss model for the Urban Microcell test scenario described in Section  
 20 3.2.3.3. This model is quite complicated, topology dependent, and designed for fixed  
 21 values of antenna heights. Therefore, it is reasonable to use a simplified model with  
 22 generalized topology impact on the performance and more suitable for implementation  
 23 is SLS tools.

24  
 25 The second model is the COST-Walfish-Ikegami pathloss model [5], [83]. It is  
 26 recommended to be used for RS-MS link simulations as the mandatory model.

#### 27 28 • **802.16m EMD Urban Microcell pathloss model (Optional)**

29 For a detailed description of this model, see Section 3.2.3.3. The main disadvantage of  
 30 this model is that it is intended for simulations specifically for Manhattan-grid topologies.  
 31 This model was designed for fixed values of  $h_{RS} = 12.5m$  and  $h_{MS} = 1.5m$  and the final  
 32 pathloss equation does not consider changing those values. Because of these  
 33 restrictions, this model cannot be used for different values of antenna heights. The LOS  
 34 model might be applied for frequencies from ultra-high-frequency to microwave bands  
 35 and distances up to 5 km [18]. No model assumptions for the NLOS case are provided  
 36 in section 3.2.3.3.

#### 37 38 • **Walfish-Ikegami pathloss model (Mandatory)**

39 The proposed pathloss model is based on the COST-Walfish-Ikegami LOS and NLOS  
 40 models [5][18] which are defined for cases of TX antennas located ART and BRT. The  
 41 following set of Walfish-Ikegami model parameters is proposed to be used: Building  
 42 height 15m, building to building distance 50m, street width 25m, orientation 30° for all  
 43 paths, and selection of metropolitan center. This model is designed for the following

1 assumptions: Carrier frequency is 800 – 2000 MHz, hBS/RS is 4 – 50 m, hMS is 1 – 3  
 2 m and distance between nodes is 0.02 – 5 km. For a more detailed description of the  
 3 COST-Walfish-Ikegami pathloss model the reader is referred to [18].

4 Both LOS and NLOS propagation transmissions might occur in the RS-MS link.  
 5 Therefore, the LOS probability needs to be defined. We set the LOS probability  
 6 according to the 3GPP SCM Urban Microcell model [5] where the probability of LOS is  
 7 defined to be unity at zero distance, and decreases linearly until a cutoff point at  
 8  $d=300\text{m}$ , where the LOS probability is zero:

$$P(\text{LOS}) = \begin{cases} (300 - d)/300, & 0 < d \leq 300 \text{ m} \\ 0, & d > 300 \text{ m} \end{cases}$$

9

10  
 11 In the case when MSs are located indoors the optional Outdoor to Indoor test scenario  
 12 pathloss model (Section 3.2.3.6) can be used for RS-MS links by the proponents that  
 13 want to simulate this scenario. Also the same pathloss model shall be used for BS-MS  
 14 interference calculation.

#### 15 **14.3.1.2.4. RS-RS link**

16 The RS-RS link is a BRT to BRT link with both antennas located at the same level  
 17 above ground, which is supposed to be high enough relative to the MS location. In the  
 18 RS-RS link, both LOS and NLOS propagation conditions might occur and LOS/NLOS  
 19 transition conditions need to be introduced for this link.

20 Although it is obvious that the RS-RS link propagation conditions can be less severe  
 21 than in the RS-MS links (depending on the RS-to-RS distance as well as obstructions),  
 22 current investigations have not discovered any proper models for describing the RS-RS  
 23 link propagation conditions in the Urban Microcell environment.

24 The Urban Microcell pathloss model based on the COST-Walfish-Ikegami LOS and  
 25 NLOS models [5][18] is proposed to be temporarily used. This model is valid for receiver  
 26 station height less than 3 m but it is currently used assuming 10 m receiver height.

27 Both LOS and NLOS propagation transmissions might occur over the RS-RS link.  
 28 Therefore, the LOS probability needs to be defined. The LOS probability model is  
 29 proposed to be similar to the RS-MS link with cutoff point at  $d = 700\text{m}$  due to the  
 30 increased RS height relative to the MS location.

31 The optional Urban Microcell test scenario pathloss model (Section 3.2.3.3) can also be  
 32 used as described in the Section 14.3.1.2.3.

#### 33 **14.3.1.2.5. Comparison of Pathloss Models**

34 The pathloss for default antenna heights,  $f_c = 2.5\text{GHz}$ , and the BS-MS Baseline,  
 35 modified Baseline, RS-MS with COST Walfish-Ikegami Urban Microcell LOS and NLOS,  
 36 and RS-RS LOS WINNER B5b models is shown in Figure 36. Free space pathloss is  
 37 also shown in Figure 36 for reference.

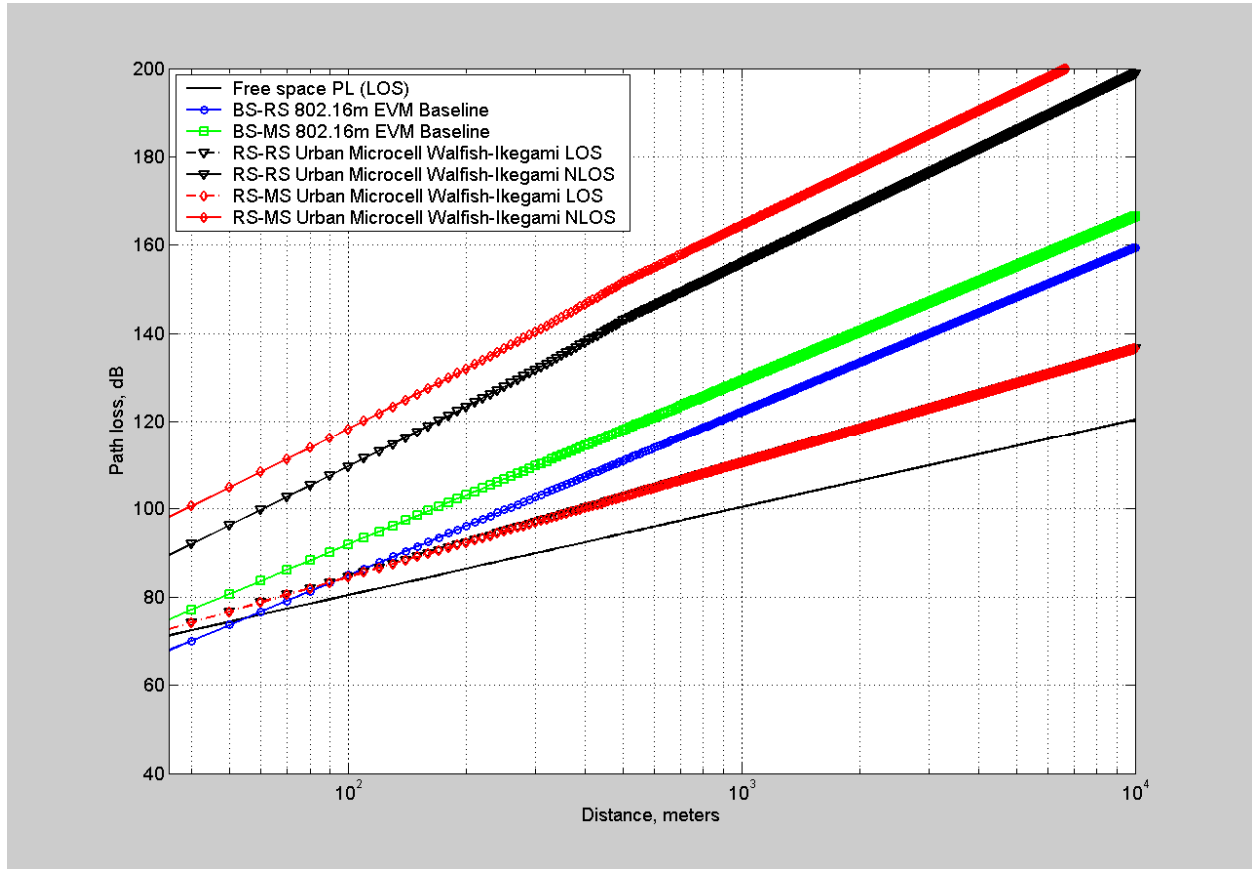


Figure 36: BRT RS Pathloss Models

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3  
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7

**14.3.1.3. Manhattan deployment scenario (optional)**

The pathloss models for the Manhattan deployment scenario are defined in Table 51.

Link	Pathloss model
BS-MS and RS-MS	Urban Microcell propagation: Urban Microcell test scenario pathloss model (Mandatory) (Refer to Section 3.2.3.3 ) WINNER B1 Urban Microcell pathloss model (Optional) [82]
	Outdoor to Indoor propagation: Outdoor to Indoor test scenario pathloss model (Optional) (Refer to Section 3.2.3.6).
BS-RS and RS-RS	Urban Microcell test scenario pathloss model (Mandatory) (Refer to Section 3.2.3.3) WINNER B1 Urban Microcell pathloss model (Optional) [82]

Table 51: Pathloss models for the Manhattan deployment scenario

8  
9

### 1 14.3.1.3.1. BS-MS and RS-MS links

2 Two propagation sub-scenarios for BS-MS and RS-MS links are considered – the Urban  
3 Microcell propagation scenario where MSs are located outdoors, and the Outdoor to  
4 Indoor propagation scenario where MSs are located inside buildings.

5 In the case when MSs are located outdoors, the BS-MS and RS-MS link propagation  
6 conditions in the BRT RS scenario may be described by a typical Urban Microcell  
7 propagation scenario with both BS/RS and MS antennas located BRT [82]. The Urban  
8 Microcell test scenario pathloss model is described in Section 3.2.3.3 and is based on  
9 the assumption of the Manhattan grid topology can be used for simulations of these  
10 links as the mandatory model. Optionally, WINNER B1 Urban Microcell pathloss model  
11 [82] can be used.

12 In the case when MSs are located indoors the optional Outdoor to Indoor test scenario  
13 pathloss model (Section 3.2.3.6) can be used for BS-MS and RS-MS links simulations.

### 14 14.3.1.3.2. BS-RS and RS-RS links

15 The BS-RS and RS-RS links are BRT to BRT links with both antennas located at almost  
16 the same level above ground, which is supposed to be high enough relative to the MS  
17 location.

18 Although it is obvious that the BS-RS and RS-RS links propagation conditions can be  
19 less severe than in the BS-MS and RS-MS links, current investigations have not  
20 discovered proper models for describing this type of propagation conditions in the Urban  
21 Microcell environment. The most part of the models assume that the second station is  
22 located at the typical MS height of 1.5 m.

23 The Urban Microcell test scenario pathloss model (Section 3.2.3.3) can be used for BS-  
24 RS and RS-RS links simulations as the mandatory. Optionally, WINNER B1 Urban  
25 Microcell pathloss model [82] can be used. Modifications of these models are FFS.

## 26 14.3.2. Spatial channel models

### 27 14.3.2.1. ART RS scenario

28 The spatial channel models for the ART RS scenario are defined in Table 52.  
29

Link	Spatial channel model
BS-MS and RS-MS	Baseline test scenario (Mandatory)
	Urban Macrocell test scenario (Optional)
	Suburban Macrocell test scenario (Optional)
BS-RS and RS-RS	WINNER B5a [82][83]

30 **Table 52: Spatial channel models for the ART RS scenario**

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3  
4  
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9  
10**14.3.2.1.1. BS-MS and RS-MS links**

The mandatory baseline and optional Urban Macrocell and Suburban Macrocell test scenario spatial channel models described in Section 3 are used for BS-MS and RS-MS link simulations without any modifications.

**14.3.2.1.2. BS-RS and RS-RS links**

The WINNER B5a clustered delay-line (CDL) model is used as the spatial channel model for BS-RS and RS-RS links. Table 53 and Table 54 provide a short summary of the parameters associated with this channel model.

Parameter	Value
Power-delay profile	Exponential (non-direct paths).
Delay-spread	40 ns
K-factor	10 dB
XPR	30 dB
Doppler	A peak centered around zero Hz with most energy within 0.1 Hz.
Angle-spread of non-direct components	Gaussian distributed clusters with 0.5 degrees intra angle spread. Composite angle-spread 2 degrees. Same in both Ends.

Table 53: WINNER B5a CDL channel model parameters

11  
12  
13

Cluster #	Delay [ns]	Power [dB]	AoD [°]	AoA [°]	K-factor [dB]	Cluster ASBS= 0.5	Cluster ASRS= 0.5
1	0	-0.39	0.0	0.0	21.8		
2	10	-20.6	0.9	0.2	- Inf		
3	20	-26.8	0.3	1.5			
4	50	-24.2	-0.3	2.0			
5	90	-15.3	3.9	0.0			
6	95	-20.5	-0.8	3.6			
7	100	-28.0	4.2	-0.7			
8	180	-18.8	-1.0	4.0			
9	205	-21.6	5.5	-2.0			
10	260	-19.9	7.6	-4.1			

Table 54: WINNER B5a CDL channel model for clusters

14  
15

### 1 14.3.2.2. BRT RS scenario

2 The spatial channel models for the BRT RS scenario are defined in Table 55.

3

Link	Spatial channel model
BS-MS and BS-RS	Baseline test scenario model (Mandatory) (Refer to Section 3.2.9)
	Urban Macrocell test scenario model (Optional) (Refer to Section 3.2.5.1)
	Suburban Macrocell test scenario model (Optional) (Refer to Section 3.2.5.2)
RS-MS	Urban Microcell test scenario model (Mandatory) (Refer to Section 3.2.5.3)
	Outdoor to Indoor test scenario model (Optional) (Refer to Section 3.2.5.6)
RS-RS	Modified Urban Microcell test scenario model

4

Table 55: Spatial Channel Models for the BRT RS Scenario

5

#### 6 14.3.2.2.1. BS-MS and RS-MS links

7 In this scenario, the propagation conditions of the BS-MS and BS-RS links are assumed  
8 to be the same. The mandatory baseline and optional Urban Macrocell and Suburban  
9 Macrocell test scenario spatial channel models described in Section 3 are used for BS-  
10 MS and BS-RS link simulations without any modifications.

#### 11 14.3.2.2.2. RS-MS links

12 The mandatory Urban Microcell and the optional Outdoor to Indoor spatial channel  
13 models described in Section 3 can be used for RS-MS link simulations without any  
14 modifications.

#### 15 14.3.2.2.3. RS-RS links

16 The modified Urban Microcell spatial channel model (Section 3.2.5.3) is used in this  
17 case. The model parameters are modified in order to ensure symmetry in characteristics  
18 of received and transmitted signals: (1) modified per-tap mean angles of arrival are set  
19 equal to per-tap mean angles of departure of the initial model; (2) the modified arrival  
20 angular spread is set be equal to the departure angular spread of the initial model.

#### 21 14.3.2.3. Manhattan deployment scenario (optional)

22 The spatial channel models for the Manhattan deployment scenario are defined in Table  
23 56.

24

Link	Spatial channel model
BS-MS and RS-MS	Urban Microcell test scenario model (Mandatory) (Refer to Section 3.2.5.3)
	Outdoor to Indoor test scenario model (Optional) (Refer to Section 3.2.5.6)
BS-RS and RS-RS	Modified Urban Microcell test scenario model

25

Table 56: Spatial channel models for the Manhattan deployment scenario

#### 1 **14.3.2.3.1. BS-MS and RS-MS links**

2 The mandatory Urban Microcell and the optional Outdoor to Indoor spatial channel  
3 models described in Section 3 can be used for BS-MS and RS-MS links simulations  
4 without any modifications.

#### 5 **14.3.2.3.2. BS-RS and RS-RS links**

6 The modified Urban Microcell spatial channel model (Section 3.2.5.3) can be used for  
7 simulations of these links. The model parameters are modified in order to ensure  
8 symmetry in characteristics of received and transmitted signals: 1) modified per-tap  
9 mean angles of arrival are set equal to per-tap mean angles of departure of the initial  
10 model; 2) the modified arrival angular spread is set be equal to the departure angular  
11 spread of the initial model.

#### 12 **14.3.3. Shadowing models**

13 The shadowing factor (SF) has a log-normal distribution with a standard deviation that is  
14 different for different scenarios as shown in Table 57. The values specified in Table 54  
15 have been derived based on the baseline model in this document, 802.16j EVM [81],  
16 SCM, and WINNER models.

17 In the ART RS scenario for BS-MS and RS-MS links, the shadowing standard deviation  
18 is 8 dB according to Section 3.2.4. For BS-RS and RS-RS links, the shadowing  
19 standard deviation is 3.4 dB according to the 802.16j EVM Type D [81] and WINNER  
20 B5a channel models [82].

21 In the BRT RS scenario for the BS-MS link the shadowing standard deviation is 8 dB  
22 according to Section 3.2.4. For the BS-RS link “pre-planned” RS placement by  
23 operators is assumed so the shadowing standard deviation is set to 6 dB and the mean  
24 value of the shadowing factor is set to 2 dB providing a positive shift in log-normal  
25 curve. This ensures better propagation conditions than for typical BS-MS links in which  
26 MSs are assumed to be randomly located. For the RS-MS (in the Urban Microcell  
27 scenario) and RS-RS links, the shadowing standard deviation is 4 dB for NLOS and 3  
28 dB for LOS propagation according to Section 3.2.4 and the WINNER Urban Microcell  
29 channel models [82]. For the Outdoor-to-Indoor test scenario RS-MS link shadowing  
30 standard deviation is 7 dB according to Section 3.2.4.

31 In the Manhattan deployment scenario for the BS-MS, RS-MS links with Urban Microcell  
32 propagation conditions and BS-RS, RS-RS links, the shadowing standard deviation is 4  
33 dB for NLOS and 3 dB for LOS propagation according to Section 3.2.4.and the  
34 WINNER models [82]. For the BS-MS and RS-MS links with Outdoor-to-Indoor  
35 propagation conditions shadowing standard deviation is 7 dB according to Section  
36 3.2.4.

37

	BS-RS	BS-MS	RS-RS	RS-MS
ART RS	3.4 dB	8 dB	3.4 dB	8 dB
BRT RS	6 dB and 2 dB mean value positive shift	8 dB	NLOS: 4 dB LOS: 3 dB	Urban Microcell propagation: NLOS: 4 dB LOS: 3 dB
				Outdoor to Indoor propagation (Optional): 7 dB
Manhattan deployment scenario (optional)	NLOS: 4 dB LOS: 3 dB	Urban Microcell propagation: NLOS: 4 dB LOS: 3 dB	NLOS: 4 dB LOS: 3 dB	Urban Microcell propagation: NLOS: 4 dB LOS: 3 dB
		Outdoor to Indoor propagation (Optional): 7 dB		Outdoor to Indoor propagation (Optional): 7 dB

**Table 57: Shadowing standard deviation**

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2

3 The correlation model for shadow fading is the same as the one described in this  
4 document, but the correlation distance for shadowing is corrected according to Table  
5 58. The parameters in Table 58 have been derived based on the baseline model in this  
6 document, 802.16j EVM [81], SCM, and WINNER models.

7 In the ART RS scenario for BS-MS and RS-MS links, the shadowing correlation  
8 distance is chosen to be 50 m according to Section 3.2.4. For the BS-RS and RS-RS  
9 links, the shadowing correlation distance is chosen to be 100 m according to typical  
10 values of the LOS channel correlation distance.

11 In the BRT RS scenario for the BS-MS and BS-RS links, the shadowing correlation  
12 distance is chosen to be 50 m according to Section 3.2.4. For the RS-RS and RS-MS  
13 links, the shadowing correlation distance is chosen to be 12 m for NLOS and 14 m for  
14 LOS conditions according to typical values of correlation distance given in WINNER [82]  
15 for Urban Microcell scenarios. For the RS-MS links in Outdoor to Indoor propagation  
16 conditions the shadowing correlation distance is chosen to be 7 m according to  
17 WINNER [82].

18 In the Manhattan deployment scenario, for the BS-RS, RS-RS links and BS-MS, RS-MS  
19 links with Urban Microcell propagation conditions, the shadowing correlation distance is  
20 chosen to be 12 m for NLOS and 14 m for LOS conditions according to typical values of  
21 correlation distance given in WINNER [82]. For the BS-MS, RS-MS links with Outdoor to  
22 Indoor propagation conditions the shadowing correlation distance is chosen to be 7 m  
23 according to WINNER [82].



1

	BS-RS	BS-MS	RS-RS	RS-MS
ART RS	100 m	50 m	40 m	50 m
BRT RS	50 m	50 m	NLOS: 12 m LOS: 14 m	Urban Microcell propagation NLOS: 12 m LOS: 14 m
				Outdoor to Indoor propagation (Optional): 7 m
Manhattan deployment scenario (optional)	NLOS: 12 m LOS: 14 m	Urban Microcell propagation: NLOS: 12 m LOS: 14 m	NLOS: 12 m LOS: 14 m	Urban Microcell propagation: NLOS: 12 m LOS: 14 m
		Outdoor to Indoor propagation (Optional): 7 m		Outdoor to Indoor propagation (Optional): 7 m

**Table 58: Correlation distance for shadowing**

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3

4 The shadow fading cross correlation properties for all types of links are summarized in  
5 Table 59 for the ART RS scenario. Table 60 describes the cross correlation values for  
6 the BRT RS scenario. Table 61 describes the cross correlation values for the Manhattan  
7 deployment scenario.

8

Link 1	Link 2	Correlation between Links 1 and 2
BS→MS <sub>(i)</sub>	BS→MS <sub>(j)</sub>	Derived from distance between MSs (correlation distance - 50 m)
MS→BS <sub>(i)</sub>	MS→BS <sub>(j)</sub>	0.5
BS→RS <sub>(i)</sub>	BS→RS <sub>(j)</sub>	0 (due to large distance between different RSs)
RS→BS <sub>(i)</sub>	RS→BS <sub>(j)</sub>	0 (due to large distance between different BSs)
RS→MS <sub>(i)</sub>	RS→MS <sub>(j)</sub>	Derived from distance between MSs (correlation distance – 50 m)
MS→RS <sub>(i)</sub>	MS→RS <sub>(j)</sub>	0.5 (similar to BS-MS links)
MS→BS <sub>(i)</sub>	MS→RS <sub>(j)</sub>	0.5 (similar to BS-MS links)
RS→RS <sub>(i)</sub>	RS→RS <sub>(j)</sub>	0 (because distance between RSs is much larger than correlation distance equal to 40 m)

**Table 59: Shadow fading correlation in ART RS scenario**

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Link 1	Link 2	Correlation between Links 1 and 2
BS→MS(i)	BS→MS(j)	Derived from distance between MSs (correlation distance – 50 m)
MS→BS(i)	MS→BS(j)	0.5
BS→RS(i)	BS→RS(j)	0 (because distance between RSs is much larger than correlation distance equal to 50m)
RS→BS(i)	RS→BS(j)	0.5 (similar to BS-MS links)
RS→MS(i)	RS→MS(j)	Derived from distance between MSs (correlation distance – LOS 14 m, NLOS- 12 m for Urban Microcell propagation scenario, and 7 m for Outdoor to Indoor propagation scenario)
MS→RS(i)	MS→RS(j)	0 (due to large distance between different BRT RSs and independency of different MS-RS links)
MS→BS(i)	MS→RS(j)	0 (due to large distance between different BRT RSs and BSs and independency of MS-RS and MS-BS links)
RS→RS(i)	RS→RS(j)	0 (because distance between RSs is much larger than correlation distance equal to 12 – 14 m)

**Table 60: Shadow Fading Correlation in BRT RS Scenario**

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2  
3  
4

Link 1	Link 2	Correlation between Links 1 and 2
BS→MS(i)	BS→MS(j)	Derived from distance between MSs (correlation distance – LOS 14 m, NLOS- 12 m for Urban Microcell scenario, and 7 m for Outdoor to Indoor scenario)
MS→BS(i)	MS→BS(j)	0 (due to large distance between different BRT BSs and independency of different MS-BS links)
BS→RS(i)	BS→RS(j)	0 (because distance between BSs and RSs is much larger than correlation distance equal to 12 – 14 m)
RS→BS(i)	RS→BS(j)	0 (because distance between BSs and RSs is much larger than correlation distance equal to 12 – 14 m)
RS→MS(i)	RS→MS(j)	Derived from distance between MSs (correlation distance – LOS 14 m, NLOS- 12 m for Urban Microcell scenario, and 7 m for Outdoor to Indoor scenario)
MS→RS(i)	MS→RS(j)	0 (due to large distance between different BRT RSs and independency of different MS-RS links)
MS→BS(i)	MS→RS(j)	0 (due to large distance between different BRT RSs and BSs and independency of MS-RS and MS-BS links)
RS→RS(i)	RS→RS(j)	0 (because distance between RSs is much larger than correlation distance equal to 12 – 14 m)

**Table 61: Shadow fading correlation in the Manhattan deployment scenario**

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6  
7

1  
2

14.3.4. Summary

BS-RS link	ART RS scenario	BRT RS scenario	Manhattan deployment scenario
Penetration Loss	0dB	0 dB	0 dB
Pathloss Model	IEEE 802.16j EVM Type D pathloss model (Mandatory)	Modified Baseline Model (Mandatory) Modified Urban and Suburban Macrocell (Optional)	Urban Microcell pathloss model (Mandatory) (To be further modified) WINNER B1 Urban Microcell pathloss model (Optional) (To be further modified)
Lognormal Shadowing Standard Deviation	3.4dB	6 dB and 2 dB mean value positive shift	NLOS: 4dB LOS: 3dB
Correlation Distance for Shadowing	100m	50m	NLOS: 12m LOS: 14m
Channel Mix	Single static channel	Single static channel	Single static channel
Spatial Channel Model	WINNER B5a	Baseline Model (Mandatory) Urban and Suburban Macrocell (Optional)	Modified Urban Microcell
<b>RS-RS link</b>			
Penetration Loss	0dB	0 dB	0 dB
Pathloss Model	IEEE 802.16j EVM Type D pathloss model (Mandatory)	Walfish-Ikegami LOS and NLOS pathloss models (Mandatory) (To be further modified) Urban Microcell (Optional) (To be further modified)	Urban Microcell pathloss model (Mandatory) (To be further modified) WINNER B1 Urban Microcell pathloss model (Optional) (To be further modified)
Lognormal Shadowing Standard Deviation	3.4dB	NLOS: 4dB LOS: 3dB	NLOS: 4dB LOS: 3dB
De-correlation Distance for Shadowing	40m	NLOS: 12m LOS: 14m	NLOS: 12m LOS: 14m

Channel Mix	Single static channel	Single static channel	Single static channel
Spatial Channel Model	WINNER B5a	Modified Urban Microcell	Modified Urban Microcell
<b>RS-MS link</b>			
Penetration Loss	10dB	Urban Microcell propagation: LOS: 0 dB NLOS: 10 dB Outdoor to Indoor propagation: 0 dB	Urban Microcell propagation: LOS: 0 dB NLOS: 10 dB Outdoor to Indoor propagation: 0 dB
Pathloss Model	Baseline Model (Mandatory) Urban and Suburban Macrocell (Optional)	COST Walfish-Ikegami LOS and NLOS pathloss models (Mandatory) Urban Microcell (Optional) Outdoor to Indoor (Optional)	Urban Microcell pathloss model (Mandatory)  WINNER B1 Urban Microcell pathloss model (Optional)  Outdoor to Indoor pathloss model (Optional)
Lognormal Shadowing Standard Deviation	8dB	Urban Microcell propagation: NLOS: 4dB LOS: 3dB Outdoor to Indoor propagation: 7 dB	Urban Microcell propagation: NLOS: 4dB LOS: 3dB Outdoor to Indoor propagation: 7 dB
Correlation Distance for Shadowing	50m 50% BSs, RSs correlation	Urban Microcell propagation: NLOS: 12m LOS: 14m Outdoor to Indoor propagation: 7 m	Urban Microcell propagation: NLOS: 12m LOS: 14m Outdoor to Indoor propagation: 7 m
Channel Mix	ITU Pedestrian B and Vehicular A channel models ITU PB 3kmph - 60%	Urban Microcell propagation: 3kmph – 60% 60kmph – 30%	Urban Microcell propagation: 3kmph – 60% 60kmph – 30%

	ITU VA 30kmph - 30% ITU VA 120kmph – 10%	120kmph – 10% Outdoor to Indoor propagation: TBD	120kmph – 10% Outdoor to Indoor propagation: TBD
Spatial Channel Model	Baseline model (Mandatory) 802.16m EMD Urban and Suburban Macrocell (Optional)	Urban Microcell (Mandatory) Outdoor to Indoor (Optional)	Urban Microcell (Mandatory) Outdoor to Indoor (Optional)
<b>BS-MS link</b>			
Penetration Loss	10dB	10dB	Urban Microcell propagation: LOS: 0 dB NLOS: 10 dB Outdoor to Indoor propagation: 0 dB
Pathloss Model	Baseline model (Mandatory) Urban and Suburban Macrocell (Optional)	Baseline model (Mandatory) Urban and Suburban Macrocell (Optional)	Urban Microcell pathloss model (Mandatory) WINNER B1 Urban Microcell pathloss model (Optional) Outdoor to Indoor pathloss model (Optional)
Lognormal Shadowing Standard Deviation	8dB	8dB	Urban Microcell propagation: NLOS: 4dB LOS: 3dB Outdoor to Indoor propagation: 7 dB
Correlation Distance for Shadowing	50m 50% BSs correlation	50m 50% BSs correlation	Urban Microcell propagation: NLOS: 12m LOS: 14m Outdoor to Indoor propagation: 7 m

Channel Mix	802.16m ITU Pedestrian B and Vehicular A channel models ITU PB 3kmph - 60% ITU VA 30kmph - 30% ITU VA 120kmph – 10%	802.16m ITU Pedestrian B and Vehicular A channel models ITU PB 3kmph - 60% ITU VA 30kmph - 30% ITU VA 120kmph – 10%	Urban Microcell propagation: 3kmph – 60% 60kmph – 30% 120kmph – 10% Outdoor to Indoor propagation: TBD
Spatial Channel Model	Baseline model (Mandatory) Urban and Suburban Macrocell (Optional)	Baseline model (Mandatory) Urban and Suburban Macrocell (Optional)	Urban Microcell (Mandatory) Outdoor to Indoor (Optional)
Error Vector Magnitude (EVM)	Ideal	Ideal	Ideal

1 **Table 62: Summary of pathloss and channel models**

2 **14.4. Relaying Model**

3 A default relaying model is specified to provide a common starting point for relay  
4 simulations. This model is intended to emulate the simplest form of multihop relay and  
5 should be sufficient to allow the evaluation and comparison of most relay techniques.  
6 The default model may be changed by proponents of relay techniques as long as the  
7 changes are described in sufficient detail that allows other participants to implement the  
8 modifications in order to verify and compare results.

9 The default relaying model is defined as follows:

- 10
- 11 • RSs follow a decode, store, encode, forward model. It is assumed that data  
12 transmitted on a relay link is decoded and potentially stored until a later frame. It  
is then encoded and transmitted on the next hop.
  - 13 • For simulations in which MSs are static (do not move), MS associations are static  
14 for the duration of a trial. An MS is assigned to associate with one or more of the  
15 BS and RSs in a sector and this association is not changed during a trail.
  - 16 • Access link transmissions from/to the BS and RSs within a sector can occur  
17 simultaneously (in time/frequency) or within time/frequency partitions dedicated  
18 to individual stations (BS and RSs). The scheduler decides for specific  
19 transmissions what occurs in parallel and what occurs sequentially in the case of  
20 centralized scheduling. In the case of distributed scheduling the scheduler RS  
21 may use different zones to avoid such interference for specific set of mobiles  
22 which needs to be specified with the simulation results.

- Transmissions from/to MSs which are associated with an RS are performed hop-by-hop. It is assumed that a relay link / access link transmission is received with some probability of error and potentially retransmitted. After successful reception the data is scheduled on the next hop.

#### 14.5. Simulation Procedure and Flow

The simulation procedure of the 16m system with relays is based on the simulation procedure described in Section 11. In this section we highlight the areas in which this procedure is amended to support relay.

- Deployment
  - RSs are placed within each sector in accordance with the selected deployment scenario (refer to Section 14.1).
  - MSs are dropped according to the specification in Section 11.
  - Pathloss, shadow fading, and antenna patterns are calculated for all possible links between MSs, RSs, and BSs.
- MS Association
  - MSs are associated with BSs and RSs as described in Section 14.6.
- Scheduling
  - The generic proportional fair scheduler specified in appendix F, is used for allocation of the resources.
  - The access link is simulated explicitly for all test scenarios.
  - The resources used for relay link transmissions are determined as part of the scheduling of each RS access link transmission. The relay link resources that can be used within each frame are limited by the size of the zone in which relay transmissions are performed. If the relay zone resources are used up, no additional RS access link transmissions can be scheduled in that frame. Proponents should specify the average relay link spectral efficiency that was assumed for a given simulation.
    - For test scenarios in which a static relay link is assumed, the average relay link spectral efficiency shall be used to calculate the relay link resources for all transmissions.
    - For test scenarios in which a dynamic relay link is assumed the spectral efficiency of the relay link is calculated explicitly for each transmission by determining the appropriate MCS and corresponding packet error rate. This spectral efficiency is used to calculate the amount of allocated for relay link resources for the given transmission. The relay link spectral efficiency is calculated to take into account the PER of the relay link:

$$SE = SE_{MCS}(1 - PER)$$

where  $SE_{MCS}$  is the spectral efficiency of the selected modulation coding scheme and PER the packet error rate.

For evaluation of HARQ protocols the HARQ process is simulated

1 explicitly on each hop. The procedure as well as details of the  
2 HARQ simulation model (queuing, buffer size, etc) need to be  
3 specified by proponent in sufficient detail in order to allow other  
4 members to recreate the simulation in order to verify the results.

#### 5 **14.6. MS Association**

6 MS association is the procedure of selecting the BS or RS with which each MS within  
7 the desired sectors will associate. A default procedure is specified here. Other MS  
8 association procedures may be used to investigate advanced relay modes for which the  
9 default procedure is not appropriate. Proponents must describe the MS association  
10 procedure that was used in their simulation.

11  
12 The default MS association procedure uses a one or two step association process. In  
13 the first step, SNR is used to determine an initial association. SNR is estimated between  
14 each MS and each of the BS sectors and RSs. Each MS is associated with the BS or  
15 RS to which it has highest SNR. The second step is optional. In the second step  
16 effective capacity is calculated between each MS and the BS and RSs within the sector  
17 to which the MS was assigned. The effective capacity calculation may take into account  
18 SINR at the MS, relay link overhead and the possibility of resource reuse by BS and  
19 RSs. The MS is assigned to the BS or RS with which it has the highest value of effective  
20 capacity. MS Association and the details of the procedure need to be described by the  
21 proponent in sufficient detail in order to allow other members to duplicate the simulation  
22 in order to verify the results.

#### 23 **14.7. Scheduling**

24 The generic proportional fair scheduler specified Appendix F is used for allocation of the  
25 resources. The number of active users and partitions is adjusted to better model the  
26 interactions between the BS and RSs. Distributed and centralized scheduling models  
27 are defined.

##### 28 **14.7.1. Frame partitioning**

29 The number of partitions and active users should be increased for the case of relay  
30 (above the 5 partitions and 10 users used for the baseline case). The number of  
31 partitions and users may depend on the number of relays used within a sector.  
32 Proponents should specify the number of partitions and active users along with the  
33 partition size and downlink control overhead that is assumed in the simulation.

34  
35 In order to make comparison of results easier, the following numbers of partitions and  
36 users are suggested for the following number of RSs per sector. Proponents are  
37 encouraged to use these values, but proponents may choose to use different numbers.

- 38 • 2 RSs per sector: 10 partitions and 20 active users.
- 39 • More than 2 RSs per sector: 20 partitions and 40 active users.

40



### 1 **14.7.2. Distributed scheduling**

2 When distributed scheduling is used, the DL or UL access zones are partitioned into  
3 sub-zones which are assigned to the BS and RSs. Sub-zones may overlap, allowing  
4 simultaneous transmissions to/from BS and the RSs using the same resources.  
5

6 MSs associated with the BS are scheduled by the BS within the sub-zone assigned to  
7 the BS transmissions. MSs associated with each RS are scheduled by each RS within  
8 the sub-zone assigned to that RS. Scheduling of the subscribers associated with the BS  
9 and each of the RSs is performed independently by independent scheduler instances.  
10

11 The size of the sub-zones should remain constant for the duration each simulation run.  
12 Proponents should specify the size of the sub-zones and the amount of overlap  
13 between sub-zones assigned to the BS and RSs.

### 14 **14.7.3. Centralized scheduling**

15 When centralized scheduling is used, the resources in the entire DL and UL access  
16 zones of the BS and RSs within the sector are scheduled by the BS scheduler. The BS  
17 scheduling algorithm allocates resources on a per-frame basis to the MSs taken from  
18 the common pool in each sector. It is assumed that the scheduling algorithm realized at  
19 the BS has access to channel state information (CSI) for each MS. The CSI should be  
20 delayed by a few frames to indicate the frame exchange delay. Proponents should  
21 specify the delay that was used in their simulation. Extra scheduling margin should be  
22 used to accommodate the CQI delay. A value of 2dB should be used for simulations of  
23 2 hop topologies. For topologies with 3 or more hops, proponents should specify the  
24 margin (in dB) which was used in their simulations.

### 25 **14.7.4. Relay HARQ**

26 HARQ transmissions are scheduled in the same way as usual packet transmissions.  
27 The route for the HARQ retransmissions is determined by the scheduler (either  
28 distributed or centralized).  
29

30 For distributed scheduling, delays for HARQ retransmissions and acknowledgements  
31 for relay HARQ should be the same as delays for retransmissions for conventional  
32 HARQ schemes.  
33

34 For centralized scheduling, delays should be increased in accordance to the number of  
35 hops between the BS and MS, since decision about HARQ retransmission is performed  
36 at the BS side.

### 37 **14.8. Performance metrics**

38 Most of the performance metrics proposed in Section 13 can be applied to the relay  
39 case without any additions, since they are derived from the user data throughput  
40 (Section 13.2.1.1). The users are scheduled on a per-frame basis; the resources of  
41 each frame are distributed between access (BS-MS, RS-MS) and relay (BS-RS) links.  
42 The relay link overhead is automatically taken into account in a user data throughput  
43 metric since part of frame resources are given to a BS-RS link by the scheduler.

1 Therefore, definition of the basic performance metrics, such as user throughput and  
2 sector throughput are the same as in Section 13.

### 3 **14.8.1. System performance metrics**

#### 4 **14.8.1.1. Spectral efficiency and aggregate sector throughput**

5 Spectral efficiency metrics and cell/sector throughput metrics should be considered in  
6 the sense of aggregate sector throughput going through the BS (including useful traffic  
7 from all RSs in the sector).

#### 8 **14.8.1.2. Combined coverage and capacity index**

9 The Combined Coverage and Capacity index ( $cc$ ) is the number of simultaneous users  
10 per sector that can be supported achieving a target information throughput  $R_{min}$  with  
11 specified coverage reliability ( $x\%$ , 95% by default). The definition of this metric is based  
12 on the “Combined Coverage and Capacity Index Metric, Method One” as specified in  
13 section 4.2.2. of the IEEE 802.16j EVM [81].  
14

15 The metric is calculated individually within each zone of the frame structure and the  
16 individual values are summed as shown in the formula below. Assume that  $N$  MSs are  
17 dropped uniformly in the service area. For the MSs assigned to each zone, the  
18 simulator calculates the achievable data rate  $r_i$ , based on the assigned MCS and  
19 available time-frequency resources within the zone. All MSs are sorted in descending  
20 order and only the top  $x\%$  of the MSs are considered for further calculations. If  $k$  is the  
21 number of MSs that were selected for consideration, then Combined Coverage and  
22 Capacity index is:

$$23 \quad cc = \sum_{zones} \frac{1}{k \sum_{i=1}^k \frac{R_{min}}{r_i}}$$

24 If  $\min(r_i) < R_{min}$ , then  $cc = 0$  and service with  $R_{min}$  throughput cannot be provided with the  
25 required coverage, regardless the number of users.  
26

27 For large  $N$ , coverage and capacity index  $cc$  approaches the expected value of the  
28 number of users that can be supported by the system for service requiring  $R_{min}$   
29 throughput with the given  $x\%$  coverage.

### 30 **14.8.2. Relay specific performance metrics**

31 The described relay evaluation methodology requires introducing several associated  
32 performance metrics in addition those defined for non-relay case.

#### 33 **14.8.2.1. Relay link overhead percentage**

34 The Relay overhead is defined as the average number of additional slots required to  
35 transmit data from BS to RS for further distribution to MS associated with the RS  
36 relative to the total number of slots in a frame. Since the overhead is defined with  
37 respect to the time and frequency slots (not the amount of data), it reflects the efficiency

1 of BS to RS links and takes into account possible spatial multiplexing of BS to different  
2 RS stations that may be exploited.

### 3 **14.8.2.2. Relay link average SE**

4 This metric characterizes the BS-RS link quality in terms of spectral efficiency. This is  
5 an important characteristic of the relay system and should be used for relay link  
6 overhead calculation, along with Relay link PER. Relay link average SE is measured in  
7 the same way as access link average SE as described in Section 13.

### 8 **14.8.2.3. Relay link PER**

9 Packet error rate for the BS-RS and RS-RS links defined as the ratio of the successfully  
10 received relay link packets to the total number of transmitted relay links packets. Relay  
11 link PER is measured in the same way as access link PER, as described in Section 13.

## 12 **15. Template for Reporting Results**

13 Relevant system performance metrics for partial and complete technical proposals  
14 should be generated and included in the evaluation report as specified in the following  
15 table. For relative performance metrics, results for the reference system should be  
16 included. Models and assumptions should be aligned with those listed in this document.  
17 Additional assumptions and deviations from required assumptions should be specified.

18  
19 System Level results such as the cdf of normalized throughput and Link Level results  
20 that are required for performance evaluation should be shown in separate figures.  
21

Performance Metric	Value : 802.16m	Value : 802.16e Reference System
Peak Data Rate DL / UL (bps/Hz)		
Maximum Data Latency DL / UL (ms)		
State Transition Latency (ms)		
Maximum Intra-frequency handover interruption time (ms)		
Maximum Inter-frequency handover interruption time (ms)		
Average User Throughput * DL / UL (bps/Hz)		
Cell Edge User Throughput * DL / UL (bps/Hz)		
Sector Throughput * DL / UL (bps/Hz)		

VoIP Capacity ** DL / UL (Active Users/MHz/sector)		
MBS Spectral Efficiency *** 0.5 km site-to-site distance (bps/Hz)		
MBS Spectral Efficiency 1.5 km site-to-site distance (bps/Hz)		
Estimated Layer 1 Overhead DL / UL (%)		
Estimated Layer 2 Overhead DL / UL (%)		

**Table 63: Evaluation report**

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\* Applies to full buffer data traffic for all active users

\*\* Applies to VoIP traffic for all active users

\*\*\* All configuration baseline parameters defined in Section 2 apply to site-to-site distance of 0.5 km

## Appendix A: Spatial Correlation Calculation

In order to compute the spatial correlation, two methods can be considered here:

*Method-1: Using 20 subpaths to approximate the Laplacian PDF*

For each path, generate 20 subpaths with some angular offsets from the per-path AoD<sub>n</sub> and AoA<sub>n</sub>. The angular offsets of the k-th (k=1..20) subpath are determined by (the offsets are the same for all paths)

$$\begin{aligned}\psi_{k,BS} &= \Delta_k * AS_{BS,Path} \\ \psi_{k,MS} &= \Delta_k * AS_{MS,Path}\end{aligned}$$

where the values of  $\Delta_k$  are given below.

Sub-path number k	$\Delta_k$
1,2	$\pm 0.0447$
3,4	$\pm 0.1413$
5,6	$\pm 0.2492$
7,8	$\pm 0.3715$
9,10	$\pm 0.5129$
11,12	$\pm 0.6797$
13,14	$\pm 0.8844$
15,16	$\pm 1.1481$
17,18	$\pm 1.5195$
19,20	$\pm 2.1551$

**Table 64: Value of  $\Delta_k$**

Derive the antenna spatial correlation at the BS and MS between the p-th and q-th antenna as:

$$\begin{aligned}r_{n,BS}(p,q) &= \frac{1}{20} \sum_{k=1}^{20} \exp \left\{ j \frac{2\pi d_{BS}}{\lambda} (p-q) \sin(AOD_n + \psi_{k,BS} + \theta_{BS}) \right\} \\ r_{n,MS}(p,q) &= \frac{1}{20} \sum_{k=1}^{20} \exp \left\{ j \frac{2\pi d_{MS}}{\lambda} (p-q) \sin(AOA_n + \psi_{k,MS} + \theta_{MS}) \right\}\end{aligned}$$

where  $d_{BS}$  ( $d_{MS}$ ) is the antenna spacing at BS (MS) and  $\lambda$  is the wavelength.

*Method-2: Pre-compute the correlation values with quantized AoA, AoD*

Pre-calculate the BS spatial correlation matrices for a set of

$AOD \in \{-90^\circ, -80^\circ, \dots, 0^\circ, \dots, 80^\circ, 90^\circ\}$  and the MS spatial correlation matrices for a set of

$AOA \in \{-90^\circ, -80^\circ, \dots, 0^\circ, \dots, 80^\circ, 90^\circ\}$

$$R_{BS}(m, p, q) = \int_{-\infty}^{\infty} f(\alpha) \exp\left\{j \frac{2\pi d_{BS}}{\lambda} (p-q) \sin(AOD[m] + \alpha + \theta_{BS})\right\} d\alpha$$

$$R_{MS}(m, p, q) = \int_{-\infty}^{\infty} f(\beta) \exp\left\{j \frac{2\pi d_{MS}}{\lambda} (p-q) \sin(AOA[m] + \beta + \theta_{MS})\right\} d\beta$$

where  $m$  is the quantization step index,  $\alpha$ ,  $\beta$  are the angular offset at BS and MS, respectively with Laplacian PDF as defined in 3.2.8.

Assuming omni directional antennas and the incoming rays within  $\pm\Delta$  of the mean angle of arrival or departure (i.e. the Laplacian PAS is defined over  $[\phi_0 - \Delta, \phi_0 + \Delta]$ ) an exact expression to calculate the spatial correlation coefficient is given by [1]

$$\Re[R_{BS}(m, p, q)] = J_0(D(p-q)) + 2 \sum_{r=1}^{\infty} \frac{J_{2r}(D(p-q)) (\cos(2r\phi_0))}{\left(\frac{\sqrt{2}}{\sigma_\phi}\right)^2 + (2r)^2} \left\{ \frac{\sqrt{2}}{\sigma_\phi^2} + \exp\left(-\frac{\Delta\sqrt{2}}{\sigma_\phi^2}\right) \left[ 2r \sin(2r\Delta) - \frac{\sqrt{2}}{\sigma_\phi^2} \cos(2r\Delta) \right] \right\}$$

$$\Im[R_{BS}(m, p, q)] = 2 \sum_{r=0}^{\infty} \frac{J_{2r+1}(D(p-q)) \sin((2r+1)\phi_0)}{\left(\frac{\sqrt{2}}{\sigma_\phi}\right)^2 + (2r+1)^2} \left\{ \frac{\sqrt{2}}{\sigma_\phi^2} - \exp\left(-\frac{\Delta\sqrt{2}}{\sigma_\phi^2}\right) \left[ (2r+1) \sin((2r+1)\Delta) + \frac{\sqrt{2}}{\sigma_\phi^2} \cos((2r+1)\Delta) \right] \right\}$$

Where  $D = \frac{2\pi d_{BS}}{\lambda}$ ,  $\sigma_\phi = AS_{BS,Path}$ ,  $J_x(\cdot)$  is the  $x$ -th order Bessel function of the first

kind and  $\phi_0$  is the AOD. Similarly the expressions for the  $R_{MS}(m, p, q)$  can be written

with  $D = \frac{2\pi d_{MS}}{\lambda}$ , and  $\sigma_\phi = AS_{MS,Path}$ . The infinite sums are truncated at

$$\frac{(r+1)\text{-th term}}{\text{Sum of first } r \text{ terms}} = 0.1\%.$$

For each path, determine the index  $m_{BS}$  corresponding to  $AoD_n$ ,

$$m_{BS} = \left\lfloor \frac{AoD_n}{10} \right\rfloor$$

and the index  $m_{MS}$  corresponding to  $AoA_n$

$$m_{MS} = \left\lfloor \frac{AoA_n}{10} \right\rfloor$$

The spatial correlation matrix for this path is then

$$\begin{aligned} r_{n,BS}(p, q) &= R_{BS}(m_{BS}, p, q) \\ r_{n,MS}(p, q) &= R_{MS}(m_{MS}, p, q) \end{aligned}$$

## Appendix B: Polarized Antenna

Correlation between polarized antennas results from the cross polarization power ratio (XPR). The polarization matrix is given by:

$$\mathbf{S} = \begin{bmatrix} S_{vv} & S_{vh} \\ S_{hv} & S_{hh} \end{bmatrix},$$

where  $v$  denotes vertical and  $h$  horizontal polarization, the first index denoting the polarization at BS and the second the polarization at MS. The example below assumes -8 dB per-tap power ratio between vertical-to-horizontal and vertical-to-vertical polarisations (also  $P_{hv}/P_{hh} = -8\text{dB}$ ). But the actual XPR value for each scenario should follow the specification in respective CDL model. The -8dB value was adopted from reference [24]. The following derivation of antenna correlation due to polarization with -8dB XPR can also be found in [24]. This results in the following mean power per polarization component

$$p_{vv} = E\{|s_{vv}|^2\} = 0 \text{ dB} = 1$$

$$p_{vh} = E\{|s_{vh}|^2\} = -8 \text{ dB} = 0.1585$$

$$p_{hv} = E\{|s_{hv}|^2\} = -8 \text{ dB} = 0.1585$$

$$p_{hh} = E\{|s_{hh}|^2\} = 0 \text{ dB} = 1$$

If the MS polarizations are assumed to be vertical and horizontal, but the BS polarizations are slant  $+45^\circ$  and  $-45^\circ$ . The MS and BS polarization matrices  $\mathbf{P}_{MS}$  and  $\mathbf{P}_{BS}$  respectively are rotation matrices, which map vertical and horizontal polarizations to MS and BS antenna polarizations.

$$\mathbf{P}_{MS} = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}$$

$$\mathbf{P}_{BS} = \frac{1}{\sqrt{2}} \begin{bmatrix} 1 & 1 \\ 1 & -1 \end{bmatrix}$$

The total channel is the matrix product of the BS polarization, the channel polarization, and the MS polarization:

$$\mathbf{Q} = \mathbf{P}_{BS} \mathbf{S} \mathbf{P}_{MS} = \frac{1}{\sqrt{2}} \begin{bmatrix} S_{vv} + S_{hv} & S_{vh} + S_{hh} \\ S_{vv} - S_{hv} & S_{vh} - S_{hh} \end{bmatrix}$$

The covariance matrix of the channel is

$$\begin{aligned} \Gamma &= E\{vec(\mathbf{Q}) \cdot vec(\mathbf{Q})^H\} \\ &= E\left\{\frac{1}{2} \begin{bmatrix} (s_{vv} + s_{hv})(s_{vv} + s_{hv})^* & (s_{vv} + s_{hv})(s_{vv} - s_{hv})^* & (s_{vv} + s_{hv})(s_{vh} + s_{hh})^* & (s_{vv} + s_{hv})(s_{vh} - s_{hh})^* \\ (s_{vv} - s_{hv})(s_{vv} + s_{hv})^* & (s_{vv} - s_{hv})(s_{vv} - s_{hv})^* & (s_{vv} - s_{hv})(s_{vh} + s_{hh})^* & (s_{vv} - s_{hv})(s_{vh} - s_{hh})^* \\ (s_{vh} + s_{hh})(s_{vv} + s_{hv})^* & (s_{vh} + s_{hh})(s_{vv} - s_{hv})^* & (s_{vh} + s_{hh})(s_{vh} + s_{hh})^* & (s_{vh} + s_{hh})(s_{vh} - s_{hh})^* \\ (s_{vh} - s_{hh})(s_{vv} + s_{hv})^* & (s_{vh} - s_{hh})(s_{vv} - s_{hv})^* & (s_{vh} - s_{hh})(s_{vh} + s_{hh})^* & (s_{vh} - s_{hh})(s_{vh} - s_{hh})^* \end{bmatrix}\right\} \\ &= \frac{1}{2} \begin{bmatrix} p_{vv} + p_{hv} & p_{vv} - p_{hv} & 0 & 0 \\ p_{vv} - p_{hv} & p_{vv} + p_{hv} & 0 & 0 \\ 0 & 0 & p_{vh} + p_{hh} & p_{vh} - p_{hh} \\ 0 & 0 & p_{vh} - p_{hh} & p_{vh} + p_{hh} \end{bmatrix} \end{aligned}$$

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2

3 Here the property of uncorrelated fading between different elements in  $\mathbf{S}$  (i.e.4  $E\{s_{ij}s_{kl}^*\} = 0, \quad i \neq k, j \neq l$ ) has been used to simplify the expressions. Plugging the

5 numerical example of -8dB XPD, we have

$$\Gamma = \frac{1}{2} \begin{bmatrix} 1+0.1585 & 1-0.1585 & 0 & 0 \\ 1-0.1585 & 1+0.1585 & 0 & 0 \\ 0 & 0 & 0.1585+1 & 0.1585-1 \\ 0 & 0 & 0.1585-1 & 0.1585+1 \end{bmatrix} = \begin{bmatrix} 0.5793 & 0.4208 & 0 & 0 \\ 0.4208 & 0.5793 & 0 & 0 \\ 0 & 0 & 0.5793 & -0.4208 \\ 0 & 0 & -0.4208 & 0.5793 \end{bmatrix}$$

7 When all of the diagonal elements are equal, the covariance matrix can be further

8 normalised to correlation matrix:

9

$$\Gamma = \begin{bmatrix} 1 & \gamma & 0 & 0 \\ \gamma & 1 & 0 & 0 \\ 0 & 0 & 1 & -\gamma \\ 0 & 0 & -\gamma & 1 \end{bmatrix}$$

10 The value of  $\gamma$  depends only on XPR and it is obtained from the previous matrix after  
 11 the normalization of the diagonal values to "1". With different orientations of MS and BS  
 12 antenna polarizations, also the covariance matrix structure will be different.

13

14



### Appendix C: LOS Option with a K-factor

A single-tap MIMO channel can be added to the TDL channels in this case and then modify the time-domain channels as:

$$\mathbf{H}_n = \begin{cases} \sqrt{\frac{1}{K+1}} \mathbf{H}_n + \sqrt{\frac{K}{K+1}} \mathbf{H}^{LOS} & n = 1 (\text{first tap}) \\ \sqrt{\frac{1}{K+1}} \mathbf{H}_n & n \neq 1 \end{cases}$$

where the K-factor is in decimal and the LOS component is defined as, between p-th BS antenna and q-th MS antenna

$$\mathbf{H}^{LOS}(p, q) = \exp\left(j \frac{2\pi d_{BS}(p-1)}{\lambda} \sin(\theta_{BS})\right) \times \exp\left(j \frac{2\pi d_{MS}(q-1)}{\lambda} \sin(\theta_{MS})\right)$$

where  $d_{BS}$  and  $d_{MS}$  are antenna spacing at the BS and MS, respectively, assuming uniform linear array in this case.

## Appendix D: Antenna Gain Imbalance and Coupling

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Overall receive correlation matrix is

$$\mathbf{H}'_n = \begin{bmatrix} \sqrt{\frac{1}{c+1}} & \sqrt{\frac{c}{c+1}} \\ \sqrt{\frac{c}{c+1}} & \sqrt{\frac{1}{c+1}} \end{bmatrix} \begin{bmatrix} 1 & 0 \\ 0 & \sqrt{a} \end{bmatrix} \mathbf{H}_n$$

where antenna-1 to antenna-2 coupling coefficient (leakage of ant-1 signal to ant-2) is “c” (linear) and the antenna-1 and antenna gain ratio is “a” (linear).

## Appendix E: WINNER Primary Model Description

This appendix describes the primary model from which the CDL models were derived. The primary model is an accurate representation of the true MIMO radio channel. The CDL modes are a simplification of the primary model in order to save simulation time. The use of the primary model is optional but encouraged for further simulation.

The primary model is a double-directional model. Geometric based modeling of the radio channel enables separation of propagation parameters and antennas.

The channel parameters for individual snapshots are determined stochastically, based on statistical distributions extracted from channel measurement. Antenna geometries and field patterns can be defined properly by the user of the model. Channel realizations are generated with geometrical principle by summing contributions of rays (plane waves) with specific small scale parameters like delay, power, angle-of-arrival (AoA) and angle-of-departure (AoD). Superposition results to correlation between antenna elements and temporal fading with geometry dependent Doppler spectrum.

A number of rays constitute a cluster. In the terminology of this document we equate the cluster with a propagation path diffused in space, either or both in delay and angle domains. For a discussion of the word cluster, refer to Section 3.2.5.

The WINNER generic model is a system level model, which can describe an infinite number of propagation environment realizations. The generic model can describe single or multiple radio links for all the defined scenarios and arbitrary antenna configurations. This is done by applying different parameter sets to a single common mathematical framework. The generic model is a stochastic model with two (or three) levels of randomness. The first level, known as large scale (LS), parameters like Shadow fading, delay and angular spreads are drawn randomly from tabulated distribution functions. LS parameters have cross-correlation between different parameters and auto-correlation between different transceiver locations. Next, the small scale parameters like delays, powers and directions arrival and departure are drawn randomly according to tabulated distribution functions and the random LS parameters (second moments). At this stage the geometric setup is fixed and the only free variables are the random initial phases of the scatterers. By picking (randomly) different initial phases, an infinite number of different realizations of the model can be generated. When the initial phases are also fixed, there is no further randomness.

Channel segment (drop) represents period of quasi-stationarity in which probability distributions of low-level parameters are not changed. During this period all large-scale control parameters, as well as velocity and direction-of-travel for mobile station (MS), are held constant. Motion within a segment is only virtual and causes fast fading and the Doppler effect by superposition of rotating phasors, rays. To be physically feasible, the channel segment must be relatively confined in distance. The size depends on the environment, but it can be at maximum few meters. Although the large scale

- 1 parameters can be correlated between the channel segments, the radio channel is
- 2 discontinuous from segment to segment.
  
- 3 A detailed description of the WINNER model is given in [13]. An implementation of the
- 4 primary model is available in [25].

## Appendix F: Generic Proportionally Fair Scheduler for OFDMA

The proportionally fair scheduler (PFS), in its simplest form, computes a metric for all active users at for a given scheduling interval. The user with the highest metric is allocated the resource available in the given interval, the metrics for all users are updated before the next scheduling interval, and the process repeats. To adapt this simple algorithm for OFDMA systems, the definition of scheduling interval and scheduling resource must be extended to apply to a two-dimensional OFDMA frame resource. Furthermore, this PFS applies only to baseline full buffer traffic simulations and zones which use a distributed subcarrier permutation such as PUSC.

For OFDMA systems, the scheduling interval is typically a frame, and multiple users may be allocated in the same frame. Therefore, in the simplest extension to OFDMA systems, two modifications must be made to the PFS: (i) Frames must be equi-partitioned into regular, fixed scheduling resources that must be scheduled sequentially until all available resources are assigned. (ii) The metric must be updated after scheduling each partition. Note that the number of resources eventually allocated to a user depends on the metric update process, and does not preclude a single user from getting multiple or all the resources in a frame. For system simulations with an assumption of fixed overhead allowing for up to  $N_{partition}$  resource partitions, each partition assignment should be considered as a separate packet transmission.

To promote fair comparison, each proponent should evaluate system performance with full-buffer traffic using this generic PFS. If this scheduler is not used, the proponent must justify the use of an alternate scheduler, and describe the algorithm in detail. The number of partitions,  $N_{partition}$ , the time constant of the filter used in the metric computation, and number of active users are all simulation parameters that must be specified by the proponent.

For informative purposes, the metric for a simple proportionally fair scheduler, in which a single user is scheduled in a given scheduling interval, is described in the remainder of this appendix.

At any scheduling instant  $t$ , the scheduling metric  $M_i(t)$  for subscriber  $i$  used by the proportional fair scheduler is given by

$$M_i(t) = \frac{T\_inst_i(t)}{[T\_average_i(t)]^\alpha}$$

where  $T\_inst_i(t)$  is the data rate that can be supported at scheduling instant  $t$  for subscriber  $i$ ,  $T\_inst_i(t)$  is a function of the CQI feedback, and consequently of the modulation and coding scheme that can meet the PER requirement.  $T\_average_i(t)$  is throughput smoothed by a low-pass filter at the scheduling instant  $t$  for user  $i$ .  $\alpha$  is a

1 fairness exponent factor with default value 1. For the scheduled subscriber,  
 2  $T\_average_i(t)$  is computed as

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$$T\_average_i(t) = \frac{1}{N_{PF}} * T\_inst_i(t) + (1 - \frac{1}{N_{PF}}) * T\_average_i(t-1)$$

7 and for unscheduled subscriber,

8

9

10

$$T\_average_i(t) = (1 - \frac{1}{N_{PF}}) * T\_average_i(t-1)$$

11 The latency scale of the PF scheduler,  $N_{PF}$ , is given by

12

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$$N_{PF} = T_{PF} N_{Partitions} / T_{Frame}$$

15 where  $T_{PF}$  represents the latency time scale in units of seconds and  $T_{Frame}$  is the frame  
 16 duration of the system.

17

18 In some implementations, the scheduler may give priority to HARQ retransmissions.

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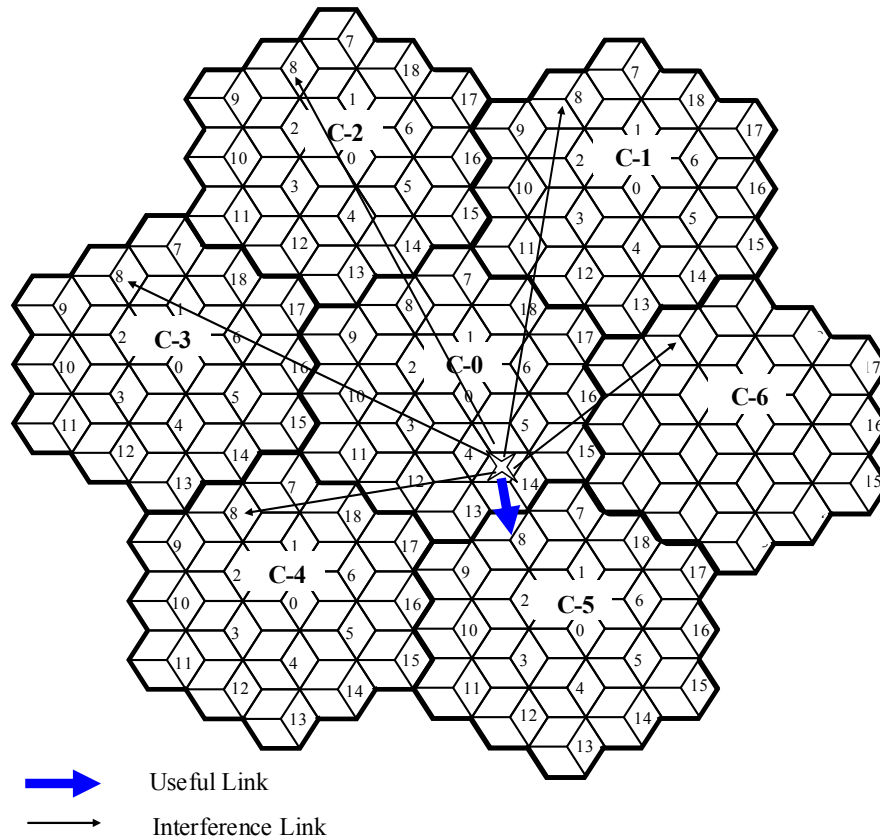


Figure 37: Multi-cell layout and wrap around example

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#### 4 G-2. Obtaining virtual MS locations

5 The number of MSs is predetermined for each sector, where each MS location is  
 6 uniformly distributed. The MS assignment is only done for the cluster-0 from where the  
 7 decided MSs are replicated in the other six clusters. The purpose to employ this wrap-  
 8 around technique, as will be discussed in later section, is to easily model the  
 9 interferences from other cells.

#### 10 G-3. Determination of serving cell/sector for each MS in a wrap-around multi-cell 11 network

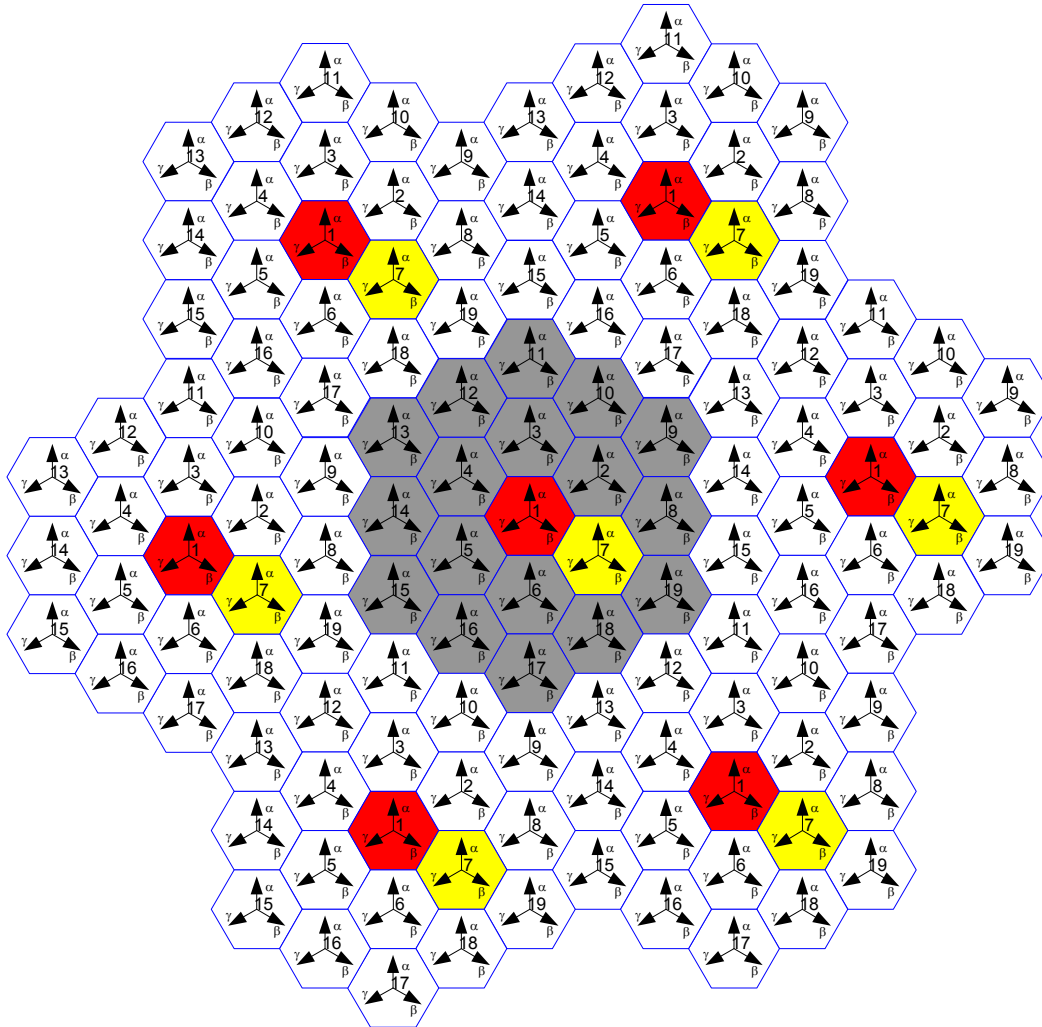
12 The determination of serving cell for each MS is carried out by two steps due to the  
 13 wrap-around cell layout. The first step is to determine the 19 shortest distance cells for  
 14 each MS from all seven logical cells clusters, and the second step is to determine the  
 15 serving cell/sector among the nearest 19 cells for each MS based on the strongest link  
 16 according to the path-loss and shadowing.

17  
 18 To determine the shortest distance cell for each MS, the distances between the target  
 19 MS and all logical cell clusters should be evaluated and the 19 cells with a shortest  
 20 distance in all 7 cell clusters should be selected. Figure 37 illustrates an example for  
 21 determination of the shortest distance cell for the link between MS and cell-8. It can be



1 seen that the cell-8 located in cluster-5 generates the shortest distance link between MS  
 2 and cell-8.

3  
 4 To determine the serving cell for each MS, we need to determine 19 links, whereby we  
 5 may additionally determine the path-loss, shadowing and transmit/receive antenna gain  
 6 in consideration of antenna pattern corresponding to the nearest 19 cells/sectors. The  
 7 serving cell for each MS should offer a strongest link with a strongest received long-  
 8 term power. It should be noted that the shadowing experienced on the link between MS  
 9 and cells located in different clusters is the same.



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**Figure 38: Antenna orientations for a sectorized system in wrap around simulation \***

\* The arrows in the figure show the directions that the antennas are pointing

## Appendix H: Path Loss Calculations

The modified COST231 Hata model define the following pathloss

$$PL[dB] = (44.9 - 6.55 \log_{10}(h_{bs})) \log_{10}\left(\frac{d}{1000}\right) + 45.5 + (35.46 - 1.1h_{ms}) \log_{10}(f) - 13.82 \log_{10}(h_{bs}) + 0.7h_{ms} + C$$

where 'd' is expressed in meters and that 'f' is expressed in MHz. The constant C = 3 dB for urban macro.

Assuming MS height of 1.5m and at f=2GHz carrier frequency, the model becomes

$$PL = (44.9 - 6.55 \log_{10}(h_{BS})) \log_{10}(d) + 26.46 + 5.83 \log_{10}(h_{BS})$$

In addition, a frequency scaling factor of  $26 \log_{10}(f_c)$  is used to account for the path loss change according to the carrier frequency. The frequency correction factor was taken from some work done by Jakes and Reudink [17] where they used measurement data taken in New Jersey at frequencies of 450MHz, 900MHz, 3.7GHz, and 11.2GHz. They showed a frequency dependence for path loss of  $f^{2.6}$ , which is larger than the frequency correction being employed by the WINNER models ( $f^2$ ). Note that the original Hata model has a frequency dependence of  $(26.16 - 1.1h_{ms} + 1.56) \log(f)$  (=26.07 when  $h_{ms}=1.5m$ ), which is very close to the dependence found by Jakes and Reudink. So the proposed path loss model becomes

$$PL = (44.9 - 6.55 \log_{10}(h_{BS})) \log_{10}(d) + 26.46 + 5.83 \log_{10}(h_{BS}) + 26 \log_{10}(f[GHz]/2)$$

$$\text{with } 50m < d < 5km \quad h_{BS} > 30m \quad f = 2...6GHz$$

With both a default BS and MS heights 32m and 1.5 respectively, the model reduces to

$$PL = 35.2 + 35 \log_{10}(d) + 26 \log_{10}(f[GHz]/2)$$

For the COST 231 Hata suburban path loss model the path loss equation is identical to that of the urban macro model in (ref) except for a C=0dB correction factor instead of 3dB. However, this offset itself is somewhat contradictory with the suburban offset used in the original Hata model derived for 150-1500MHz. The original Hata offset for suburban areas was [19]. The offset between urban and suburban path loss models applies to 2.5 GHz only.

$$PL_{Suburban} = PL_{Urban} - 2 \left[ \log \left( \frac{f(MHz)}{28} \right) \right]^2 - 5.4$$

Since the original Hata offset matches well with the experiments reported in the Erceg model [3], it is adopted here. Again, a frequency scaling factor of  $26 \log_{10}(f_c)$  is used to account for the path loss change according to the carrier frequency.

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The recommended urban microcellular LOS path loss model is the following [20]:

$$\frac{P_r(r)}{P_t} = -20 \log \left( \frac{e^{sr} 4\pi r D(r)}{\lambda} \right)$$

where,

$P_t$  = Transmit Power

$P_r(r)$  = Received power

$r$  = Distance between Tx and Rx antennas

$e^{sr}$  = Visibility factor ( $s = 0.002$ )

$\lambda$  = Wavelength

$$D(r) = \begin{cases} 1 & \text{if } r \leq r_{bp} \\ \frac{r}{r_{bp}} & \text{if } r > r_{bp} \end{cases}$$

$$r_{bp} = \frac{4(h_t - h_0)(h_r - h_0)}{\lambda} = \text{breakpoint distance}$$

$h_t$  = Height of transmit antenna above the road

$h_r$  = Height of transmit antenna above the road

$h_0$  = Effective road height = 1.0m

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This is effectively a two ray model, which has an effective road height to account for the effect of traffic on the ground reflected ray. It also includes a visibility factor, which adds additional path loss at longer ranges as visibility in the street becomes more obscured. The model has been validated by measurements at several frequencies in Japan [20].

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The WINNER path loss model for this case assumes that the dominant propagation path is around the streets, and therefore only has a 'round-the-streets' component. However, in practice there is also an over-the-rooftop component, as given in the ETSI model for UMTS in [21]. The ETSI model combines a round-the-streets model (Berg model) with an over-the-rooftop model, taking the minimum of these two models at any given mobile location. The ETSI model was modified to include the advanced LOS model [20].

## 1           **Appendix I: Modeling Control Overhead and Signalling (Informative)**

### 2   **I-1. Overhead Channels**

#### 3   **I-1.1. Dynamic Simulation of the Downlink Overhead Channels**

4  
5   Dynamic simulation of the overhead channels is essential to capture the dynamic nature  
6   of these channels. The simulations should be done as follows:

7  
8   The performance of the overhead channels shall be included in the system level  
9   simulation results unless the overhead channel is taken into account as part of fixed  
10   overhead e.g., if an overhead channel is time division multiplexed, and takes all the  
11   bandwidth, the percentage of time used translates into the same percentage decrease  
12   in throughput.

13  
14   There are two possible types of overhead channels depending on the proposal: static  
15   and dynamic. A static overhead channel requires fixed base station power and  
16   bandwidth. A dynamic overhead channel requires dynamic base station power and (or)  
17   bandwidth.

18  
19   Layer 1 (L1) and Layer 2 (L2) overhead should be accounted for in time and frequency  
20   for the purpose of calculation of system performance metrics such as spectral  
21   efficiency, user throughput, etc. Examples of L1 overhead include synchronization,  
22   guard and DC subcarriers, guard/switching time (in TDD systems), pilots and cyclic  
23   prefix. Examples of L2 overheads include common control channels, HARQ ACK/NACK  
24   signaling, channel feedback, random access, packet headers and CRC. It must be  
25   noted that in computing the overheads, the fraction of the available physical resources  
26   used to model control overhead in L1 and L2 should be accounted for in a non-  
27   overlapping way. Power allocation/boosting should also be accounted for in modeling  
28   resource allocation for control channels.

29  
30   The demodulation performance (i.e., frame error rate) of the downlink control channel  
31   could be assessed using the link abstraction method used to model traffic channels,  
32   with proper modifications, if necessary, to reflect any difference in the transmission or  
33   coding format of the control channel.

34  
35   The system level simulations need not directly include the coding and decoding of  
36   overhead channels. The link level performance should be evaluated off-line by using  
37   separate link-level simulations. The link level performance is characterized by curves of  
38   detection, miss, false alarm, and error probability (as appropriate).

39  
40   For static overhead channels, the system simulation should compute the received SINR  
41   and predict the demodulation performance.

42  
43   For dynamic modeling of overhead channels with open-loop control (if used), the  
44   simulations should take into account the required downlink power or bandwidth for

1 transmission of the overhead channels. During the reception of overhead information,  
2 the system simulation should compute the received SINR.

3  
4 Once the received SINR is obtained and the frame error rate is predicted, then the  
5 impact of the detection, miss, false alarm, error probability should be appropriately  
6 taken into account in system-level simulation.

7  
8 All overhead channels should be modeled or accounted for. If a proposal adds  
9 messages to an existing channel (for example sending control on a data channel), the  
10 proponent shall justify that this can be done without creating undue loading on this  
11 channel. The system level and link level simulation required for this modified overhead  
12 channel as a result of the new messages shall be performed.

### 13 I-1.2. Uplink Modeling in Downlink System Simulation

14 The proponents shall model feedback errors (e.g. power control, acknowledgements,  
15 rate indication, etc.) and measurements (e.g. C/I measurement). In addition to supplying  
16 the feedback error rate average and distribution, the measurement error model and  
17 selected parameters, the estimated power level required for the physical reverse link  
18 channels shall be supplied.

### 19 I-1.3. Signaling Errors

20 Signaling errors shall be modeled and specified as in the following table.  
21

Signaling Channel	Errors	Impact
ACK/NACK channel (if proposed)	Misinterpretation, missed detection, or false detection of the ACK/NACK message	Transmission (frame or encoder packet) error or duplicate transmission
Explicit Rate Indication (if proposed) / mode selection	Misinterpretation of rate / mode selection	One or more Transmission errors due to decoding at a different rate (modulation and coding scheme) or selection of a different mode
User identification channel (if proposed)	A user tries to decode a transmission destined for another user; a user misses transmission destined to it.	One or more Transmission errors due to HARQ/IR combining of wrong transmissions
Rate or C/I feedback channel(if proposed)	Misinterpretation of rate or C/I	Potential transmission errors
Transmit sector indication, transfer of HARQ states etc.(if proposed)	Misinterpretation of selected sector; misinterpretation of frames to be retransmitted.	Transmission errors

22  
23  
24  
25  
26  
Table 65: Signaling errors

Proponents shall quantify and justify the signaling errors and their impacts in the evaluation report.

## Appendix J: Transmit Power and EVM

Different modulation methods may have different PAPR and spectral characteristics, affecting the maximum transmit output power. Table 3 specifies the baseline output power and EVM values for the BS and MS, which are applicable for OFDM transmission. This section may be used for evaluating the proposed techniques affecting maximum output power such as PAPR and spectral characteristics

In the case that a proposed modulation method yields different PAPR and/or different spectral characteristics which affect the maximum output power, these numbers shall be calibrated accordingly. Table 66 contains the reference parameters required for calibration.

Parameter	Value	Notes
PA model	RAPP-2 ( $s=2$ )	AM/AM compression model. See below.
Spectral masks	FCC	Refer to Appendix M
EVM (error vector magnitude)	To be specified in the proposal	May be chosen to optimize performance per MCS
Over sampling	$\geq 4$	
RBW (resolution bandwidth)	1% of signal bandwidth (100Khz for 10Mhz BW)	For emission measurement. Refer to Appendix M
Reference OFDM transmission	Full bandwidth UL/DL PUSC	

Table 66: Reference parameters for transmit power calibration

Equation (111) defines the RAPP model.  $x(t)$ ,  $y(t)$  are the complex baseband representations of the PA input and output respectively, and the parameter  $s$  controls the smoothness of the curve. A value of  $s=2$  will be used by default. It is also recommended to supply results for  $s=30$  to represent a linearized PA.  $C$  is the saturation amplitude of the PA.

$$y(t) = \frac{x(t)}{\left(1 + \left|\frac{x(t)}{C}\right|^{2s}\right)^{1/2s}} \quad (111)$$

The proponents should provide simulation results where the modulated signal is passed through a PA compression model and the spectral masks and EVM are computed. The maximum transmit power is the maximum power which meets the spectral masks and the required EVM. The maximum transmit power of flat, full bandwidth modulated OFDM reference signal shall be compared with the maximum effective transmit power of the proposed modulation (with the same PA and mask parameters), and the

1 difference (power gain or loss) will be added to the BS/MS transmit power as defined in  
2 Table 3. The saturation power  $C$  shall be set so that the maximum power that the  
3 reference OFDM system can transmit is according to the power defined in Table 3. The  
4 EVM may be chosen per MCS/mode and results in potentially different maximum  
5 transmit power per MCS. The EVM required for the reference OFDM system is as  
6 defined in Table 3. Effective transmit power and EVM are defined below.  
7

8 EVM is defined as the ratio between the effective transmit power and the power of the  
9 error vector, both described below. Error vector power is measured over all  
10 subchannels, including unmodulated sub-channels. Sub-carriers which do not carry  
11 information for any user (guard, DC sub-carriers, and reserved sub-carriers for PAPR  
12 reduction) are not included (neither for the error calculation nor for the power  
13 calculation). The error signal may be computed using pilot based equalization (as  
14 described in [67] 802.16e-2005, subclause 8.4.12.3), or by comparing the transmitted  
15 signal with an undistorted (but possibly filtered) signal. In the second case since the  
16 distortion error is correlated with the signal, a suitable gain should be applied to  
17 undistorted signal such that the error signal becomes uncorrelated with the undistorted  
18 signal (and the error vector could be abstracted as additive uncorrelated noise).  
19

20 The effective transmit power is defined as the power of the distorted signal which is  
21 correlated to the ideal signal (so that the power does not include either the error vector  
22 or any extra energy for PAPR reduction).  
23

24 The error vector power and effective transmit power are accumulated in linear domain  
25 and their ratio is converted to dB. The EVM is accumulated over a single transmission  
26 time interval. In case the EVM varies between different cases in the same transmission  
27 mode (e.g. between different sub-channels), the 10% percentile shall be used.  
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## Appendix K: TCP Modeling (Informative)

The widespread use of TCP as a transport protocol in the internet requires an accurate model of TCP behavior to better characterize traffic flow. The major behaviors that need to be accounted for in the TCP model are the session establishment and release and TCP slow start.

### K-1. TCP Session Establishment and Release

TCP uses a 3-way handshake to establish and release a TCP session. The sequences of establishing and releasing a TCP session on the downlink and the uplink are shown in Figure 39 and Figure 40 respectively.

A TCP session is established by the transmitter sending a 40 byte SYNC control segment to the remote server. In response, the server sends a 40 byte SYNC/ACK control segment. The final acknowledgement is sent by the transmitter by setting the ACK flag in the first TCP segment of the TCP session, which is then started in slow start mode [60].

The TCP session is released by the transmitter setting the FIN flag in the last TCP segment. In response, the receiver sends by a FIN/ACK control segment. The session is concluded by the transmitter sending a final ACK message [60].

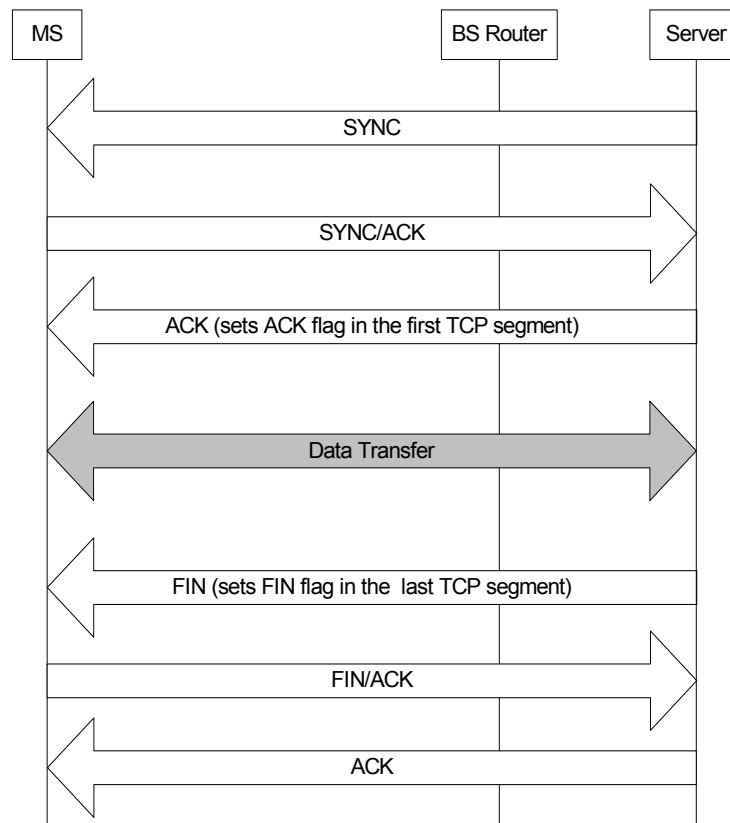
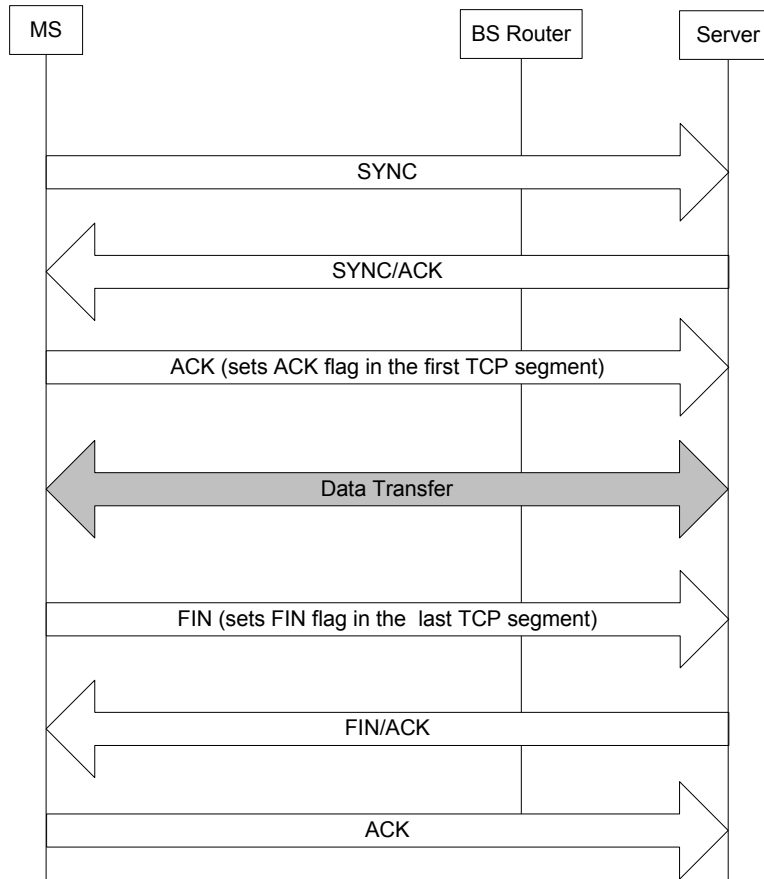


Figure 39: TCP connection establishment and release on the downlink





1  
2

Figure 40: TCP connection establishment and release on the uplink

### 3 K-2. TCP Slow Start Modeling

4 TCP slow start is part of the congestion control mechanism implemented in the TCP  
5 protocol. Congestion control is implemented using a window flow control mechanism,  
6 which tracks the maximum amount of unacknowledged or outstanding data at the  
7 transmitter.

8  
9 The amount of outstanding data that can be sent without receiving an acknowledgement  
10 (ACK) is determined by the minimum of the congestion window size and the receiver  
11 window size. After the TCP session is established, the transfer of data starts in slow-  
12 start mode with an initial congestion window size of 1 segment. The congestion window  
13 size is subsequently increased by one with each arriving ACK for a successfully  
14 received packet. This increase occurs regardless of whether the packet is correctly  
15 received or not, and regardless of whether the packet is out of order or not. This results  
16 in an exponential growth of the congestion window.

17  
18 Figure 41 explains the packet transmission sequence in a TCP session. The round trip  
19 time (RTT) for the TCP slow start model consists of:

20  
21 
$$RTT = \tau_1 + \tau_2$$

1 where:

2

3  $\tau_1$ : Time taken by an ACK packet to travel from the client (server) to Base Station +  
4 Time taken by an ACK packet to travel from Base Station to server (client) + Time taken  
5 by TCP segment to travel from server (client) to Base Station.

6

7  $\tau_2$ : Time taken by ACK segment to travel from Base Station to Client (server).

8

9  $\tau_1$  is assumed to be a random variable of exponential distribution, while  $\tau_2$  is  
10 determined by the air link throughput. This model only accounts for the slow start  
11 process, while congestion control and avoidance have not been modeled. Additionally,  
12 the receiver window size is assumed to be large, and thus not a limiting factor.

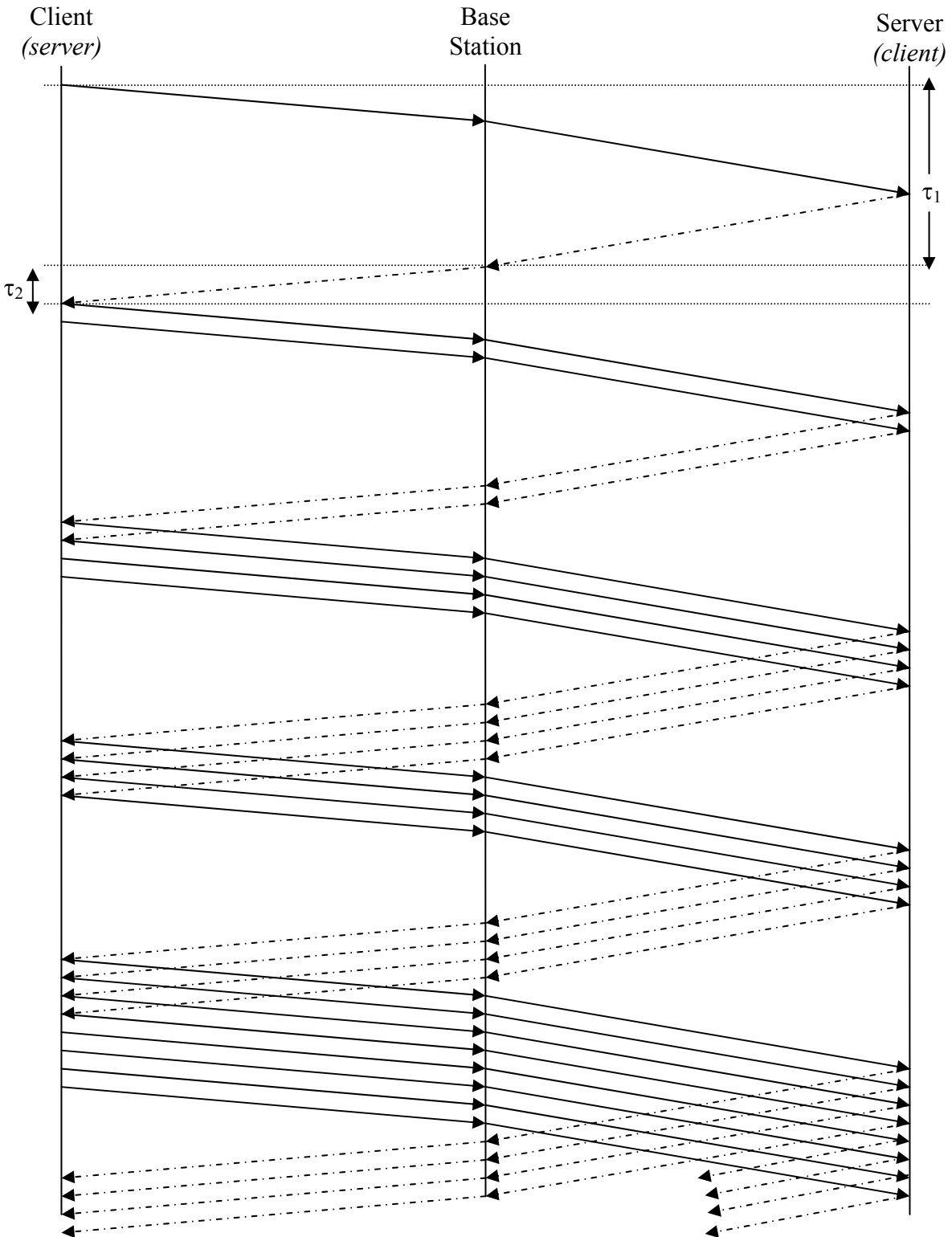


Figure 41: TCP slow start process

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## Appendix L: Trace Based Model for Streaming Video (Informative)

There is no silver bullet on the synthetic traffic generation for streaming video. Multiple analytical algorithms are proposed but no single reference algorithm is ideal for the task. Generally, long range dependency is recognized for the probability distributions of frame sizes. By using self-similar traffic generator, some of the characteristics of the streaming video traffic can be reproduced. However, the synthetic video traces generated by the analytical model are so different from the reference traces that it is difficult to convince people that synthetic traces have captured the core characteristics of the streaming video traffic.

Since streaming video traces are easy to obtain and they are easy to use in the simulation environment, a trace based streaming video traffic model is recommended. In this model, a set of 12 MPEG4 traces are selected from the ASU video library. They are representative of the typical mix supported in the network. Among the 12 traces, 6 of them are from the major movie genre, such as drama, action, SciFi, and cartoon; 2 of them are from major sport events; 1 is from MTV, 2 are from talk show with and without commercial, and 1 is from TV sitcom. For a simulation run, each user with video traffic is randomly assigned one video trace out of the 12 available traces. The first packet in the trace is not limited to the start of the trace but is picked at random. Starting from this packet, the trace should continue to evolve sequentially to the end and then wrap around from the beginning back to this starting point. The key characters of these streaming video traces are listed in Table 67.

**MPEG4 Video Library\***

	Name	Hurst Parameter	Mean Bit Rate (Kbps)	Quantization (I-P-B)	CBR/VBR
<b>Movie</b>					
1	Citizen Kane	0.84	52	30-30-30	VBR
2	Citizen Kane		128		CBR
3	Die Hard	0.72	70	30-30-30	VBR
4	Jurassic Park	0.61	78.5	24-24-24	VBR
5	Star War IV	0.78	65	24-24-24	VBR
6	Aladdin	0.86	91	30-30-30	VBR
<b>Sports</b>					
7	Football With Commercials	0.74	267.5	24-24-24	VBR
8	Baseball With Commercials	0.58	74.2	30-30-30	VBR
<b>MTV</b>					
9	MTV	0.85	212.4	24-24-24	VBR
<b>Talk Show</b>					
10	Tonight Show With Commercials (Jay Leno)	0.8	482	24-24-24	VBR
11	Tonight Show Without Commercials (Jay Leno)	0.93	55	24-24-24	VBR
<b>Sitcom</b>					
12	Friends vol4	0.77	53	24-24-24	VBR

\* From ASU video library. URL: <http://trace.eas.asu.edu/>

**Table 67: MPEG4 video library**

- 1
- 2 A user is defined in outage for streaming video service if the 98th percentile video frame
- 3 delay is larger than 5 seconds. The system outage requirement is such that no more
- 4 than 2% of users can be in outage.

### Appendix M: FCC Spectral Mask (Informative)

The following table specifies FCC spectral mask regulations for mobile stations taken from [62].

Frequency band	Maximum signal power	RBW
First 1 MHz from channel edge	-13 dBm/RBW,	1% of signal BW, for example 100 KHz for 10 MHz signal
1 MHz to 5.5 MHz from channel edge	-13 dBm/RBW	1 MHz
5.5 MHz or more from edge	-25 dBm/RBW	1 MHz

**Table 68: FCC spectral mask**

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1 **Appendix N: Per-tone Post Processing SINR for MISO and MIMO with CDD**  
 2 **(Informative)**

3  
 4 Cyclic delay diversity (CDD) is a technique that transforms spatial diversity into  
 5 frequency diversity. The new effective CDD or composite channel frequency response  
 6 that incorporates the physical channel gains  $H_m^{(0)}(n)$  and the artificially induced frequency  
 7 selectivity associated with a CDD cyclic shifts  $e^{-j2\pi\delta_m/N}$  is given by

$$8 \quad \tilde{H}^{(0)}(n) = \frac{1}{\sqrt{N_T}} \sum_{m=0}^{N_T-1} H_m^{(0)}(n) e^{-j2\pi\delta_m/N}$$

9 where  $\delta_m = m$ ,  $m = 0, 1, 2, \dots, N_T - 1$  is the delay applied to the  $m$ -th antenna, with  $\delta_0 = 0$  is  
 10 assumed to be the reference antenna in a CDD implementation.

11  
 12 For MISO (multi-input, single-output) and MIMO proposals with CDD implementations  
 13 the effective CDD or composite channel gains should be used for per tone SINR  
 14 computations. For example, the  $n$ -th tone post processing SINR for a MISO system with  
 15 a CDD implementation may be defined as

$$16 \quad SINR^{(0)}(n) = \frac{P_{tx}^{(0)} P_{loss}^{(0)} |\tilde{H}^{(0)}(n)|^2}{\sigma^2 + \sum_{j=1}^{N_T} P_{tx}^{(j)} P_{loss}^{(j)} |H^{(j)}(n)|^2}.$$

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**Appendix O: Updated HTTP Traffic Model (Informative)**

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Recent measurement and analysis for web page structures can be found in [75]. These measurements have been performed using a recent online-traffic analysis provided by market research firm ComScore Media Metrix, which examined the number of visitors among the top 50 Web sites on January 2007 [76]. The paper [75], includes web page sizes and compositions of the 50 top web sites after analyzing 25000 measurements, and each web site has been visited 500 times for three weeks from April 7 to April 23 in 2007. Web site visits are about one minute apart, and visits to the same website are about an hour apart. Table 69 provides the updated model parameters for HTTP traffic for downlink and uplink connections based on the measurements in [76] and the model in [48],[49].

Component	Distribution	Parameters		PDF
		Downlink	Uplink	
Main object size (SM)	Truncated Lognormal	Mean = 52390bytes SD= 49591bytes Min = 1290bytes Max = 0.25Mbytes $\sigma = 0.8, \mu = 10.55$	Mean = 9055 bytes SD = 13265 bytes Min = 100 bytes Max = 100 Kbytes $\sigma = 1.37, \mu = 8.35$	$f_x = \frac{1}{\sqrt{2\pi}\sigma x} \exp\left[-\frac{(\ln x - \mu)^2}{2\sigma^2}\right], x \geq 0$  if $x > \max$ or $x < \min$ , discard and generate a new value for x
Embedded object size (SE)	Truncated Lognormal	Mean = 8551bytes SD = 59232bytes Min = 5bytes Max = 6Mbytes $\sigma = 1.97, \mu = 7.1$	Mean = 5958 bytes SD = 11376 bytes Min = 50 bytes Max = 100 Kbytes $\sigma = 1.69, \mu = 7.53$	$f_x = \frac{1}{\sqrt{2\pi}\sigma x} \exp\left[-\frac{(\ln x - \mu)^2}{2\sigma^2}\right], x \geq 0$  if $x > \max$ or $x < \min$ , discard and generate a new value for x
Number of embedded objects per page (Nd)	Truncated Pareto	Mean = 51.1 Max. = 165 $\alpha = 1.1, k = 2, m = 55$	Mean = 4.229 Max. = 53 $\alpha = 1.1, k = 2, m = 55$	$f_x = \frac{\alpha k}{x^{\alpha+1}}, k \leq x < m$  $f_x = \binom{\alpha}{m-k}, x = m$  Subtract k from the generated random value to obtain Nd  if $x > \max$ , discard and regenerate a new value for x



Reading time (Dpc)	Exponential	Mean = 30 sec	Mean = 30 sec $\lambda = 0.033$	$f_x = \lambda e^{-\lambda x}, x \geq 0$
Parsing time (Tp)	Exponential	Mean = 0.13 sec	Mean = 0.13 sec $\lambda = 7.69$	$f_x = \lambda e^{-\lambda x}, x \geq 0$

1

Table 69: HTTP parameters for updated model.

## Appendix P: Derivations and Details for RBIR Metric (Informative)

### P-1. Derivation of the AVE and VAR for RBIR

Given the channel matrix  $H = [H_1 \ H_2] = \begin{bmatrix} h_{11} & h_{12} \\ h_{21} & h_{22} \end{bmatrix}$  and SNR for each sub-carrier, the LLR distribution parameter pair (AVE, VAR) can be obtained for MIMO SM 2x2 as specified below.

The mean of the LLR for the 1<sup>st</sup> stream is

$$AVE_1 = \frac{d^2(|h_{11}|^2 + |h_{21}|^2)}{\sigma^2} - E\{K_1\}$$

where 'd' indicates the minimum distance in QAM constellation, for example, QPSK:  $d = \sqrt{2}$  ; 16QAM:  $d = 2/\sqrt{10}$  ; 64QAM:  $d = 2/\sqrt{42}$  and the mean  $E\{K_1\}$  is defined by

$$E\{K_1\} = \int_{-\infty}^{\infty} \frac{1}{\sqrt{2\pi} \frac{d|H_1|}{\sigma}} e^{\frac{-x^2}{2d^2 \frac{|H_1|^2}{\sigma^2}}} \log_e \left( 2e^{-x} + e^{\frac{-d^2|H_1|^2}{\sigma^2}} e^{-2x} \right) dx$$

where  $H_1$  is the first column vector.

The variance of the LLR for the 1<sup>st</sup> stream can be written as

$$VAR_1 = E\{K_1^2\} - E^2[K_1]$$

where

$$E\{K_1^2\} = \int_{-\infty}^{\infty} \frac{1}{\sqrt{2\pi} \frac{d|H_1|}{\sigma}} e^{\frac{-x^2}{2d^2 \frac{|H_1|^2}{\sigma^2}}} \left[ \log_e \left( 2e^{-x} + e^{\frac{-d^2|H_1|^2}{\sigma^2}} e^{-2x} \right) \right]^2 dx .$$

From the above formulae the numerical integral results for (AVE, VAR) are shown in Table 25.

### P-2. Search for the Optimal 'a' Value

The procedure used to obtain the parameter  $a$  [77] can be described as follows:

Step 1: From the AWGN SINR-to-BLER curve, calculate  $SINR_{AWGN}(BLER)$  from the measured BLER.

Step 2: For a particular value of  $a$ , calculate the RBIR metric for a given channel matrix 'H' and SINR and then compute the effective  $SINR_{eff}$  value from the SINR to RBIR mapping in Table 25.

1 Step 3: Repeat the process over different values of  $a$  and choose the value of 'a' which  
 2 results in the smallest gap over all values of BLER between the interpolated  
 3 SNR (step 1) and effective SNR (step 2).

$$4 \quad a = \min_a |SNR_{AWGN}(BLER) - SINR_{eff}(BLER)|^2$$

5  $\forall BLER$  and  $\forall H$  which corresponding to a particular range of  $k$  and  $\lambda_{min} dB$ .

### 6 **P-3. Search for the Optimal Values of $p_1$ and $p_2$**

7 The procedure used to obtain the parameter  $p_1$  and  $p_2$  [77] can be described as follows:

8

9 Step 1: From the AWGN SINR-to-BLER curve, calculate the  $SINR_{AWGN}(BLER)$  from the  
 10 measured BLER.

11 Step 2: Calculate the corresponding RBIR metric over the two streams for a given  
 12 channel matrix 'H', SINR and parameter 'a' determined from Table 26.

13 Step 3: Calculate the average RBIR metric as a weighted sum of ' $p_1$ ' and ' $p_2$ ' and then  
 14 calculate the effective  $SINR_{eff}$  value using the averaged RBIR from the SINR to  
 15 RBIR mapping in Table 24.

16 Step 4: Find the parameters  $p_1$  and  $p_2$  which result in the smallest gap over all values of  
 17 BLER between the interpolated SINR (step 1) and effective SNR (step 3).

$$18 \quad p = \min_{(p_1, p_2)} |SINR_{AWGN}(BLER) - SINR_{eff}(BLER)|^2$$

19  $\forall BLER$  and  $\forall H$  which belongs to a particular range of  $k$  and  $\lambda_{min} dB$ .

20

21 Note that the search for parameters  $p_1$  and  $p_2$  can be simplified by setting  $p_1 + p_2 = 1$ .