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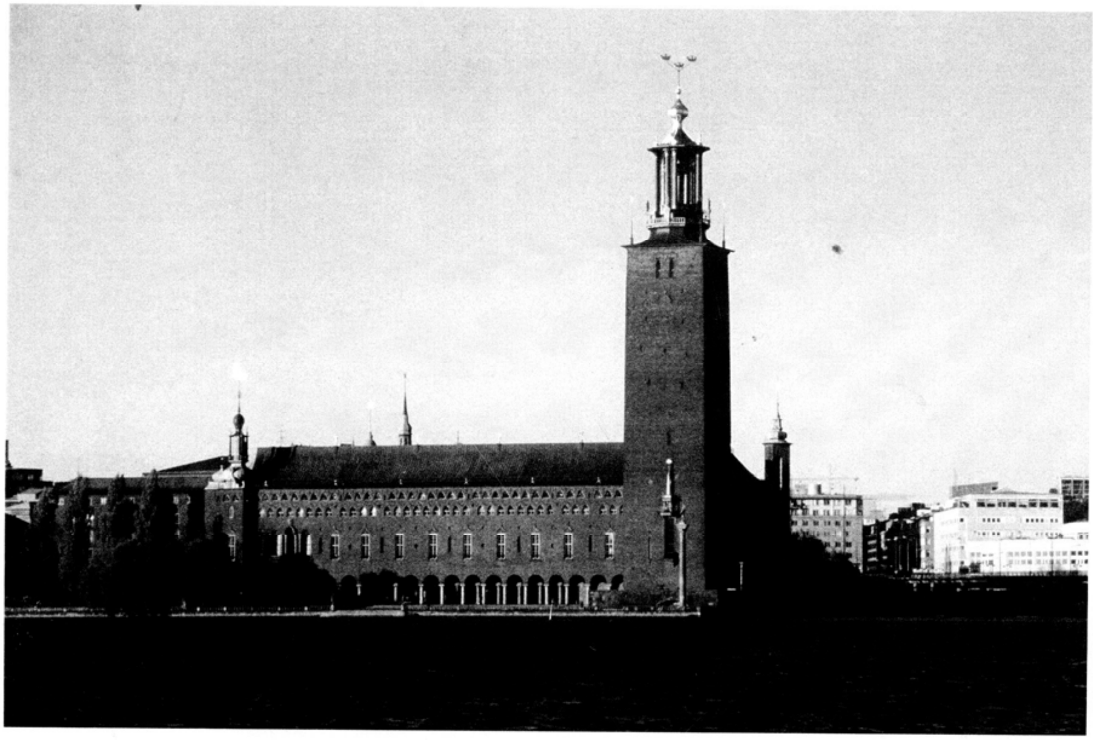
Proceedings Volume 1 of 5

30 May—1 June 2005 Stockholm, Sweden



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IEEE Catalog Number (Softbound): 05CH37631
IEEE Catalog Number (CD-ROM): 05CH37631C
ISSN: 1550-2252
ISBN Softbound: 0-7803-8887-9
ISBN CD-ROM: 0-7803-8888-7

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Volume I

Antennas and Propagation

Channel Sounding, Evaluation, and Simulation

2-D DOA Estimation with Propagator Method for Correlated Sources Under Unknown Symmetric Toeplitz Noise 1
Nizar Tayem and Hyuck M. Kwon

L-Shape 2-Dimensional Arrival Angle Estimation with Propagator Method 6
Nizar Tayem and Hyuck M. Kwon

Joint Maximum Likelihood Estimation of Specular Paths and Distributed Diffuse Scattering 11
Andreas Richter and Reiner S. Thomä

A Novel MUSIC Algorithm for Direction-of-Arrival Estimation without the Estimate of Covariance Matrix and Its Eigendecomposition 16
Lei Huang, Shunjun Wu and Linrang Zhang

High Resolution Estimation of Directions of Arrival 20
Günes Z. Karabulut, Tolga Kurt and Abbas Yongacoglu

Nominal Direction and Direction Spread Estimation for Slightly Distributed Scatterers Using the SAGE Algorithm 25
Xuefeng Yin and Bernard H. Fleury

Channel Models

A Multi-Wall Path Loss Model for Indoor UWB Propagation 30
Annalisa Durantini and Dajana Cassioli

Assessment of a New Indoor Propagation Prediction Method Based on a Multi-Resolution Algorithm 35
Katia Runser and Jean-Marie Gorce

A Generic Narrowband Model for Radiowave Propagation Through Vegetation 39
Jürgen Richter, Rafael F. S. Caldeirinha, Miqdad O. Al-Nuaimi, Andy Seville, Neil C. Rogers and Nick Savage

A Simple Efficient Method for Generating Independent Nakagami-m Fading Samples 44
Lingzhi Cao and Norman C. Beaulieu

A Framework for Analysis of Antenna Effects in UWB Communications 48
Alain Sibille

Empirical Comparison of MIMO Antenna Configurations 53
Pasi Suvikunnas, Jari Salo, Jarmo Kivinen and Pertti Vainikainen

Statistical Channel Models 1

A Modified S-V Clustering Channel Model for the UWB Indoor Residential Environment 58
Chia-Chin Chong, Youngeil Kim and Seong-Soo Lee

A Statistical Mobile-to-Mobile Rician Fading Channel Model 63
Li-Chun Wang and Yun-Huai Cheng

Statistical Analysis of Measured Radio Channels for Future Generation Mobile Communication Systems 68
Mathias Riback, Henrik Asplund, Jonas Medbo and Jan-Erik Berg

Comparison of Empirical Propagation Path Loss Models for Fixed Wireless Access Systems 73
V. S. Abhayawardhana, I. J. Wassell, D. Crosby, M. P. Sellars and M. G. Brown

Statistical Modelling of a Radio Propagation Channel in an Underground Mine at 2.4 and 5.8 GHz 78
Mathieu Boutin, Sofiène Affes, Charles Despins and Tayeb Denidni

Small-Scale Fading Prediction Using an Artificial Neural Network 82
Erik Östlin, Hans-Jürgen Zepernick and Hajime Suzuki

Statistical Channel Models 2

Distribution of the Amplitude of a Sum of Singly and Doubly Scattered Fading Radio Signal 87
Jari Salo, Jussi Salmi and Pertti Vainikainen

Indoor/Outdoor Location of Cellular Handsets Based on Received Signal Strength 92
Jian Zhu and Gregory D. Durgin

Propagation Characteristics of IEEE 802.15.4 Radio Signal and Their Application for Location Estimation 97
Shinsuke Hara, Dapeng Zhao, Kentaro Yanagihara, Jumpei Taketsugu, Kiyoshi Fukui, Shigeru Fukunaga and Ken-ichi Kitayama

Modelling of Propagation Environments Inside a Scattered Field Chamber 102
Magnus Otterskog

Time Variability of the Foliated Fixed Wireless Access Channel at 3.5 GHz 106
D. Crosby, V. S. Abhayawardhana, I. J. Wassell, M. G. Brown and M. P. Sellars

Calibration of an Indoor Radio Propagation Prediction Model at 2.4 GHz by Measurements of the IEEE 802.11b Preamble 111
Jaouhar Jemai, Radoslaw Piesiewicz and Thomas Kürner

MIMO Channel Models 1

Capacity of Diagonally Correlated MIMO Channels 116
Hüseyin Özcelik and Claude Oestges

Macrocellular Directional Channel Modeling at 1.9 GHz: Cluster Parameterization and Validation 121
Claude Oestges, Danielle Vanhoenacker-Janvier and Bruno Clerckx

MIMO Channel Capacity Modeling Using Markov Models 126
S. Vaihunthan, S. Haykin and M. Sellathurai

Space-Time Correlation for Narrow- and Wideband MIMO Fading Signals in Macro- and Microcells 131
Po-Ying Chen and Hsueh-Jyh Li

Correlation Matrix Distance, a Meaningful Measure for Evaluation of Non-Stationary MIMO Channels 136
Markus Herdin, Nicolai Czink, Hüseyin Özcelik and Ernst Bonek

Effect of Random Walk Phase Noise on MIMO Measurements 141
Peter Almers, Shurjeel Wyne, Fredrik Tufvesson and Andreas F. Molisch

MIMO Channel Models 2

Statistical Evaluation of Outdoor-to-Indoor Office MIMO Measurements at 5.2 GHz 146
Shurjeel Wyne, Andreas F. Molisch, Peter Almers, Gunnar Eriksson, Johan Karedal and Fredrik Tufvesson

Diversity and Correlation in Rayleigh Fading MIMO Channels 151
Michel T. Ivrlac and Josef A. Nossek

What Makes a Good MIMO Channel Model? 156
Hüseyin Özcelik, Nicolai Czink and Ernst Bonek

Spatial and Polarization Characterization of MIMO Channels in Rural Environment 161
Dmitry Chizhik, Jonathan Ling, Dragan Samardzija and Reinaldo A. Valenzuela

Capacity Analysis for Compact MIMO Systems 165
B. K. Lau, S. M. S. Ow, G. Kristensson and A. F. Molisch

MIMO Channel Measurements for Personal Area Networks 171
Anders J. Johansson, Johan Karedal, Fredrik Tufvesson and Andreas F. Molisch

Smart Antennas and MIMO Systems 1

Performance of Different Interpolation Strategies for an OFDM/MMSE Smart Antenna System in an Indoor WLAN . 177
Karim M. Nasr, Fumie Costen and Stephen K. Barton

Reverse Link Capacity of CDMA Systems with Imperfect Beamforming Using Different Types of Antenna Arrays ... 182
Jin Yu and Yu-Dong Yao

Compact Feedback for MIMO-OFDM Systems over Frequency Selective Channels 187
Qinghua Li and Xintian Eddie Lin

Lattice Array Receiver and Sender for Spatially OrthoNormal MIMO Communication 192
Peter Larsson

Spatio-Diversity Estimate of a System-Dependent Wideband Directional Channel 197
Yifan Chen and Vimal K. Dubey

Random Beamforming in MIMO Systems Exploiting Efficient Multiuser Diversity 202
Eun Yong Kim and Joohwan Chun

Smart Antennas and MIMO Systems 2

Antenna Selection for MIMO Systems Based on an Accurate Approximation of QAM Error Probability 206
Fatma Kharrat-Kammoun, Sandrine Fontenelle, Stéphanie Rouquette and Joseph J. Boutros

QoS-Based User Scheduling for Multiuser MIMO Systems 211
Marios Kountouris, Ashish Pandharipande, Hojin Kim and David Gesbert

Random Unitary Beamforming with Partial Feedback for Multi-Antenna Downlink Transmission Using Multiuser Diversity 216
Haibo Wang, Alex B. Gershman and Thia Kirubarajan

Channel Estimation in MIMO OFDM Systems with Sparse Pilot Tones 221
Sugbong Kang and James S. Lehnert

A Dual Band Back Coupled Meanderline Antenna for Wireless LAN Applications 226
A. Khaleghi, A. Azoulay and J. C. Bolomey

System Comparison of Smart and Dumb Antennas 230
Mats Bengtsson, Patrick Svedman, Xi Zhang and Per Zetterberg

Antennas and Propagation Posters

Mobile Antenna System for Ku-Band Satellite Internet Service 234
Seong Ho Son, Ung Hee Park, Soon Ik Jeon and Chang Joo Kim

Evaluation of the Bluetooth Link and Antennas Performance for Indoor Office Environments by Measurement Trials and FEMLAB Simulations 238
Abbas Mohammed and Tommy Hult

Continuous State HMM Modeling of Flat Fading Channels 243
William Turin and Rittwik Jana

Field Measurement Based Performance Analysis of Digital Audio Broadcasting (DAB) Reception in Mobile Channels 247
M. Velez, D. de la Vega, P. Angueira, D. Guerra, G. Prieto and A Arrinda

Analysis and Measurements for Indoor Polarization MIMO in 5.25 GHz Band 252
Jyri Hämäläinen, Risto Wichman, Jukka-Pekka Nuutinen, Juha Ylitalo and Tommi Jämsä

Evaluation of Diversity Antenna Characteristics in Narrow Band Fading Channel Using Random Phase Generation Process 257
A. Khaleghi, A. Azoulay and J. C. Bolomey

Transmission Technology

CDMA Systems 1

On the Impact of Imperfect Multipath Detection on the Performance of CDMA Systems with Space-Time Spreading. 262
Mohamed Abou-Khousa, Ali Ghrayeb and Mohamed El-Tarhuni

Digital Image Signal Rejection in WCDMA Receivers Based on Adaptive Interference Cancellation 267
Mikko Valkama, Lauri Anttila and Markku Renfors

An Iterative Frequency-Domain Decision-Feedback Receiver for MC-CDMA Schemes 271
Rui Dinis, Paulo Silva and Antonio Gusmão

A 2D Space-Frequency Receiver with Reduced-Rank Multistage Wiener Filters for MC-CDMA Systems 276
Yung-Fang Chen and Chung-Hung Wang

Combined Spatial Multiplexing and Diversity Techniques for Coded MC-CDMA Systems with Suboptimal MMSE-Based Receivers 280
Mikko Vehkaperä, Djordje Tujkovic, Zexian Li and Markku Juntti

Reduced Complexity Joint Detection Generalized RAKE Receiver for WCDMA MIMO Systems 285
Stephen J. Grant and Karl J. Molnar

CDMA Systems 2

Maximizing Throughput Using HSDPA with MIMO in UMTS Macro-Cell Environment 290
P. Vieira, M. P. Queluz and A. Rodrigues

Joint Optimization of Radio Parameters in HSDPA 295
B. Zerlin, M. Ivrlac, W. Utschick, J. Nossek, I. Viering and A. Klein

Adaptive Multistage Detection for DS-CDMA Systems in Multipath Fading Channels 300
Min Li and Walaa Hamouda

MAI-Minimized Signature Waveforms for MC-DS-CDMA Systems 305
S. Sureshkumar, E. Shwedyk and Ha H. Nguyen

Coded CDMA in Cooperative Channels 310
Ebrahim Karami, Mohsen Shiva and Mohammad Abtahi

3G

Power Control and Utility Optimization in Wireless Communication Systems 314
Dimitrie C. Popescu and Anthony T. Chronopoulos

Resource Allocation in HSDPA Using Best-Users Selection Under Code Constraints 319
Ghassane Aniba and Sonia Aïssa

Efficient and Fair Scheduling for Best-Effort Downlink Packet Data 324
Dong In Kim

Cost Analysis of Smart Antenna Systems Deployment 329
Andres Alayon Glazunov, Peter Karlsson and Rickard Ljung

HSDPA Link Adaptation Based on Novel Quality Model 334
Wang Hai, Wan Lei and Liao Min

Utilizing Code Orthogonality Information for Interference Suppression in UTRA Downlink 339
Mythri Hunukumbure, Mark Beach and Julian Webber

On Closed Loop Transmit Diversity for HSDPA - Using an Orthogonality Matrix for System Level Evaluations 344
Markus Ringström, David Astély and Bo Göransson

Closed Loop Transmit Diversity in WCDMA HS-DSCH 349
Afif Osseiran and Andrew Logothetis

Other-Cell Interference in the Downlink of Multi-Service UMTS 354
S.-E. Elayoubi, B. Elsaghir and T. Chahed

Steered Optimization Strategy for Automatic Cell Planning of UMTS Networks 359
Sana Ben Jamaa, Zwi Altman, Jean-Marc Picard and Arturo Ortega

(Re)Active Load Control Based on Radio Link Quality for the UMTS/WCDMA Forward Link 363
Emanuel B. Rodrigues, Francisco R. P. Cavalcanti, Carlos H. M. de Lima and Vicente A. de Sousa Jr.

On the Enhancement of Monte Carlo 3G Network Modelling Tools for QoS Prediction 368
Benoît Fourestié and Sylvain Renou

CDMA

Noncoherent Digital Delay-Lock Loops for Direct-Sequence Spread-Spectrum Signals Over Weibull Fading Channels 372
Tsan-Ming Wu and Chung-Hua Chuang

Performance Benefits of Fractional Sampling in the Initial Code Synchronization for the Wireless Access of 3G Mobile Communications 377
Francesco Benedetto, Marco Carli, Gaetano Giunta and Alessandro Neri

SINR for DS-CDMA with Random Spreading 382
Ping-Hung Chiang, Ding-Bing Lin and Hsueh-Jyh Li

Performance Evaluation of Interleaved MC-CDMA Systems with Correlated Nakagami-m Fading Channels 387
Zexian Li and Matti Latva-aho

UCHT Complex Sequences for Downlink Multi-Carrier DS-CDMA Systems 392
Zhenghui Gu, Shoulie Xie and Susanto Rahardja

Generalized Decorrelating Discrete-Time RAKE Receiver 396
Tunçer Baykas, Mohamed Siala and Abbas Yongacoglu

Optimal Number of Rake Combiners for Multiple Codes Assignment with Fast Handoff in UMTS Mobile Networks . 401
Ben-Jye Chang

STBC Site Diversity for Multicarrier CDMA in Linear Cell System 406
Takeo Fujii, Yukihiro Kamiya and Yasuo Suzuki

Distributions of Orthogonality Factor and Multipath Gain of the UMTS Downlink Obtained by Measurement Based Simulations 411
Heinz Droste and Jürgen Beyer

W-CDMA Uplink Soft Handover Gain Measurements 416
Mario Da Silva and Yann Farmine

Location Dependent CDMA Orthogonality in System Level Simulations 419
S. Burger, H. Buddendick, G. Wölfle and P. Wertz

Total Weighted Square Correlation of Multipath Multibase Synchronous DS-CDMA Systems 424
Paul Cotae, Zorica Pantic-Tanner and Matt Aguirre

Channel Estimation and Equalization 1

Estimation of the Channel Impulse Response Length and the Noise Variance for OFDM Systems 429
Van Duc Nguyen, Hans-Peter Kuchenbecker and Matthias Pätzold

Joint ML Channel Estimation and Data Detection for STBC via Novel Sphere Decoding Algorithms 434
Weiyu Xu, Youzheng Wang, Zucheng Zhou and Jing Wang

A Faster ML Sphere Decoder with Competing Branches 438
Anxin Li, Weiyu Xu, Youzheng Wang, Zucheng Zhou and Jing Wang

Impact of Imperfect Channel Estimation on OFDM/TDM Performance 442
Shinsuke Takaoka, Haris Gacanin and Fumiyuki Adachi

Pilot-Assisted Channel Estimation Based on MMSE Criterion for DS-CDMA with Frequency-Domain Equalization.. 447
Kazuaki Takeda and Fumiyuki Adachi

Multi-Antenna Pre-Equalization for Single-Carrier/TDD System 452
Fumiyuki Adachi, Kazuaki Takeda and Hiromichi Tomeba

Channel Estimation and Equalization 2

UMTS FDD Frequency Domain Equalization Based on Slot Segmentation 457
Yushan Li, Steve McLaughlin and David G. M. Cruickshank

Reduced Search Space Scheme for Detection of Spatial Division Multiplexing 462
Heejung Yu, Taehyun Jeon and Sok-Kyu Lee

Joint Channel Estimation and Phase Noise Suppression for OFDM Systems 467
Jong-Ho Lee, Jun-Seok Yang, Seong-Cheol Kim and Yong-Wan Park

Iterative Channel Estimation for MC-CDMA 471
Stephan Sand, Ronald Raulefs and Gunther Auer

Iterative B-Spline Channel Estimation for Space-Time Block Coded Systems in Fast Flat Fading Channels 476
Huiheng Mai, Yuriy V. Zakharov and Alister G. Burr

Performance Evaluation of Frequency Domain Equalization and Channel Estimation for Direct Sequence - Ultra Wideband (DS-UWB) System 481
Hiroyuki Sato and Tomoaki Ohtsuki

Channel Estimation and Equalization 3

On Low Complexity ML Detection Algorithm in MIMO System 486
Hongwei Zhang, Haibin Zhang, Hanwen Luo and Wentao Song

MMSE Channel Estimation Using Two-Dimensional Filtering in Rapid Time-Variant Environments 490
Gabriele Donà and Witold A. Krzymien

Sparse Channel Estimation for OFDM Transmission Based on Representative Subspace Fitting 495
Chun-Jung Wu and David W. Lin

Joint Channel and Carrier Offset Estimation in an Asynchronous CDMA System 500
Hongyi Fu and Samir Attallah

Outage-Based LDPC Code Design for SC/MMSE Turbo-Equalization 505
Rainer Wohlgenannt, Kimmo Kansanen, Djordje Tujkovic and Tad Matsumoto

DFT-Based PSA Channel Estimation Using Linear Prediction for OFDM Systems with Virtual Carriers 510
Jeong-Wook Seo, Jung-Wook Wee, Yong-Suk Park, Jong-Ho Paik and Won-Gi Jeon

Channel Estimation and Equalization 4

Blind Iterative Channel Estimation and LDPC Decoding for OFDM Systems 514
Mi-Kyung Oh, Yeong-Hyeon Kwon, Jung-Hyun Park and Dong-Jo Park

Iterative Channel Equalization, Channel Decoding and Source Decoding 518
Jin Wang, Lie-Liang Yang and Lajos Hanzo

Approximate Best Linear Unbiased Channel Estimation for Frequency Selective Channels with Long Delay Spreads: Robustness to Timing and Carrier Offsets 523
Serdar Özen, S. M. Nerayanuru, Christopher Pladdy and Mark J. Fimoff

Generic Reduced-Complexity MMSE Channel Estimation for OFDM and MC-CDMA 528
J. Akhtman and L. Hanzo

Iterative MLD Equalizer Preceded by MIMO-FDE for Wideband Spatial Multiplexing Systems 533
Yasunori Nouda, Toshiaki Koike and Susumu Yoshida

Single Sideband QPSK with Turbo Equalization for Mobile Communications 538
Boonsarn Pitakdumrongkija, Hiroshi Suzuki, Satoshi Suyama and Kazuhiko Fukawa

Channel Estimation and Equalization 5

Wideband Channel Estimation and Prediction in Single-Carrier Wireless Systems 543
Wei Liu, Lie-Liang Yang and Lajos Hanzo

A Pilot-Assisted Equalisation Scheme for the UMTS-TDD Downlink with Partial Loading 548
Mahmoud Hadef and Stephan Weiss

Adaptive Channel SVD Estimation for MIMO-OFDM Systems 552
H. Zamiri-Jafarian and G. Gulak

A Velocity-Adaptive Channel Estimation Scheme Using the Simple Zero-Forcing Technique in the Frequency Domain 557
Takki Yu, Goohyun Park, Daesik Hong and Changeon Kang

Blind Identification and Equalization of LDPC-Encoded MIMO Systems 562
Ansgar Scherb, Volker Kühn and Karl-Dirk Kammeyer

Novel SMC Techniques for Blind Equalization of Flat-Fading MIMO Channels 567
Manuel A. Vázquez, Joaquín Míguez and Mónica F. Bugallo

Coding and Modulation 1

Performance Analysis of a Trellis Coded Beamforming Scheme for MIMO Fading Channels 572
L. Chu and J. Yuan

Performance Analysis of M-ary PSK Adaptive Modulation System Over Rayleigh-Lognormal Fading Channel 576
Hsin-Piao Lin, Ming-Chien Tseng and Ding-Bing Lin

Multi-Dimensional MPSK for Iterative Demapping Over AWGN and Rayleigh Fading Channels 581
Xin Qi, Ming Zhao, Shidong Zhou and Jing Wang

A New Labeling Search Method for Bit-Interleaved Coded Modulation with Iterative Decoding 587
Qi Cheng, Xibin Xu, Shidong Zhou and Limin Xiao

High Girth LDPC Codes Construction Based on Combinatorial Design 591
Fan Zhang, Ying Xu, Xuehong Mao and Wuyang Zhou

A Novel TCM-Based Hybrid ARQ for Efficient Bandwidth Utilization 595
Qian Huang, Sammy Chan, Li Ping, King-Tim Ko and Moshe Zukerman

Coding and Modulation 2

Performance of Finite-Depth Interleaved Convolutional Codes in a Rayleigh Fading Channel with Noisy Channel Estimates........ 600
Jittra Jootar, James R. Zeidler and John G. Proakis

Low Complexity Stopping Criterion for LDPC Code Decoders 606
Frank Kienle and Norbert Wehn

Throughput of Turbo Coded Hybrid ARQ Using Single-Carrier MIMO Multiplexing 610
Akinori Nakajima, Deepshikha Garg and Fumiyuki Adachi

Parallel Iterative Decoding for Orthogonal Convolutional Codes 615
Yu-Cheng He, David Haccoun and Christian Cardinal

Flexible Channel Feedback Quantization in Multiple Antenna Systems........ 620
Bartosz Mielczarek and Witold Krzymien

Joint Source-Channel Decoding of Correlated Sources Over ISI Channels 625
Javier Del Ser, Pedro Crespo and Arrate Muñoz

Coding and Modulation 3

Generalized PSK for Improved Iterative Decoding and Demodulation of Coded DPSK Systems 630
Frieder Sanzi and Marc C. Necker

Lowering Error Floors of Irregular LDPC Code on Fast Fading Environment with and without Perfect CSI........ 634
Satoshi Gounai and Tomoaki Ohtsuki

Multirate Diagonal-Space-Time-Interleaved Coded Modulation for Non-Ergodic Block Fading Channels........ 639
Mathini Sellathurai

Delta Modulation for Channel Feedback in Transmit Diversity Systems 644
Havish Koorapaty, Leonid Krasny and R. Ramésh

Adaptive Coding for OFDM Based Systems Using Generalized Concatenated Codes........ 649
Omar Al-Askary, Lazaros Sidiropoulos, Lukas Kunz, Christos Vouzas and Chafic Nassif

Code Optimization with Serially Concatenated Trellis Coded Modulation on a Fading Channel........ 654
Asgeir Nysæter

Coding and Modulation 4

Coded Spreading with m-Sequences 659
Ozgur Ekici

On the Threshold of Right Regular LDPC Codes for the Erasure Channel........ 664
Enrico Paolini and Marco Chiani

Hierarchical Subgroup Power and Modulation Coding Adaptation: A New Frequency-Space Link Adaptation Scheme in MIMO-OFDM Eigenmode Adaptive Transmission System........ 668
Le Hai Doan, SeeHo Ting, Kei Sakaguchi and Kiyomichi Araki

Improved Decoding with the Bi-Directional SOVA for Turbo Codes 673
Yu-Chuan Chang and Jenn-Kaie Lain

A Linear Criterion to Optimize Irregular LDPC Codes for OFDM Communications 678
Valérian Mannoni, Guillaume Gelle and David Declercq

Bit-to-Symbol Mapping in LDPC Coded Modulation....683
Yuan Li, Chin Keong Ho, Yan Wu and Sumei Sun

Decoding 1

The Box-Minus Operator and its Application to Low-Complexity Belief Propagation Decoding....687
Thorsten Clevorn and Peter Vary

Slab-Sphere Decoding: Efficient Maximum-Likelihood Detection for Asymmetric MIMO Antenna Systems....692
Kai-Kit Wong, Arogyaswami Paulraj and Ross D. Murch

List Slab-Sphere Decoding: Efficient High-Performance Decoding for Asymmetric MIMO Antenna Systems....697
Kai-Kit Wong, Arogyaswami Paulraj and Ross D. Murch

Reduced Memory Turbo MAP Decoding Algorithm for Non-Binary Orthogonal Signaling....702
Dae-Son Kim, Young-Joon Kim and Hong-Yeop Song

A New LDPC Decoding Algorithm Aided by Segmented CRCs for Erasure Channels....705
Yeong-Hyeon Kwon, Mi-Kyung Oh and Dong-Jo Park

Reliability Ratio Based Weighted Bit-Flipping Decoding for LDPC Codes....709
Feng Guo and Lajos Hanzo

Volume II

Decoding 2

Low Complexity Decoding of BICM STBC....715
Enis Akay and Ender Ayanoglu

Analysis of a Sub-Block Recovery Scheme for Decoding a Concatenated Error Control Code....719
Chunlong Bai, Witold A. Krzymien, Ivan J. Fair and Bartosz Mielczarek

Soft Decision Metrics for Turbo-Coded FH M-FSK Ad Hoc Packet Radio Networks....724
B. M. Peric, M. R. Souryal, E. G. Larsson and B. R. Vojcic

Fast Finger Selection for GRAKE....728
Ali S. Khayrallah and Douglas A. Cairns

Multi-Dimensional Mapping for Bit-Interleaved Coded Modulation....733
Frederik Simoens, Henk Wymeersch and Marc Moeneclaey

On the Joint Detection SAIC Algorithm in Asynchronous GSM Network....738
Zhigang Tian, Wenbin Guo and Dacheng Yang

Equalisation and Estimation

Joint LMMSE Equalizer for HSDPA in Full-Rate Space Time Transmit Diversity Schemes....743
Domenico Giustiniano, Stefano Mangione, Giovanni Garbo and Giuseppe Avellone

Frequency-Domain Pre-Equalization Transmit Diversity for DS-CDMA Mobile Radio....748
Hiromichi Tomeba, Kazuaki Takeda and Fumiyuki Adachi

Performance Enhancement of F-PDCH Using Oversampling Diversity MMSE Receive Equalizer....753
Chanho Yoon and Joonhyuk Kang

Control Channel Assisted Chip Equalization for CDMA Downlink Adaptive Modulation and Coding System....758
Arik Gubeskys and Amir Chass

Sparse MAP Equalizers for Turbo Equalizations....762
J. Park and S. B. Gelfand

An LDPC-Coded OFDM Receiver with Pre-FFT Iterative Equalizer for ISI Channels 767
Makoto Yoshida and Tomohiko Taniguchi

Angle Estimation via a Computationally Efficient SSF Method 773
Lei Huang, Shunjun Wu and Linrang Zhang

Improved Multiuser Blind CCD-Based Vector Channel Estimation in Colored Noise 778
Benoît Pelletier, Wei Kang and Benoît Champagne

Pilot-Assisted Channel Estimation for Frequency-Domain Equalization of DSSS Signals 783
Koichi Ishihara, Kazuaki Takeda and Fumiyuki Adachi

SAGE Based Channel Estimation and Delay Tracking Scheme in OFDM Systems 788
Shengli Zhang and Jinkang Zhu

Indicators for PER Prediction in Wireless Systems: A Comparative Study 792
Meritxell Lamarca and Francesc Rey

Clipping Ratio Estimation for OFDM Receivers 797
Chun-Tao Lin and Wen-Rong Wu

Interference Cancellation 1

Evaluation of Single Antenna Interference Cancellation in Asynchronous GSM Network 801
Zhigang Tian, Wenbin Guo and Dacheng Yang

Convergence Analysis of Weight-Controlled Nonlinear Soft Interference Cancellation Methods for DS-CDMA Systems 806
A. S. Madhukumar, Kai Yang and A. B. Premkumar

Iterative Turbo Multipath Interference Cancellation for WCDMA Systems with Non-Uniform Modulations 811
Nuno Souto, João Carlos Silva, Rui Dinis and Francisco Cercas

Linear Interference Canceller Utilizing Systolic Array for DS-CDMA Mobile Communications 816
Thet Htun Khine, Kazuhiko Fukawa and Hiroshi Suzuki

A Single Antenna Interference Cancellation Algorithm for GSM 821
Raimund Meyer, Wolfgang H. Gerstacker, Robert Schober and Johannes B. Huber

A Simple Transmitter Precoding Technique for MAI/ISI Rejection in the Forward Link of a Wireless TDD/DS-CDMA System 826
J. M. Luna-Rivera and D. U. Campos-Delgado

Interference Cancellation 2

Linear Interference Suppression in MIMO Communication for WCDMA Downlink 831
Jari Ylioinas, Kari Hooli, Kai Kiiskilä and Markku Juntti

Interference Resistant Receivers for WCDMA MIMO Downlink 836
Kai Kiiskilä, Kari Hooli, Jari Ylioinas and Markku Juntti

Successive Interference Cancellation for STBC-OFDM Systems in a Fast Fading Channel 841
Jung-Wook Wee, Jeong-Wook Seo, Kyung-Taek Lee, Youn-Sung Lee and Won-Gi Jeon

MMSE Transmit Optimization with Interference Pre-Compensation 845
Martin Schubert and Shuying Shi

Low Complex Interference Cancellation via Modified Suboptimum Search Algorithm and Reduced Rank Linear Detection for Mobile Uplink 850
M. Mozaffaripour and R. Tafazolli

Antenna Selection for BER Performance Improvement in Multi-Antenna Systems with MMSE-SIC Detection 855
Nikola Vucic and Martin Schubert

MIMO Systems 1

A Robust Adaptive MIMO Eigenmode Transmission System with ZF Beamspace Interference Canceller 859
Ting See Ho, Kei Sakaguchi and Kiyomichi Araki

Codeword Scrambling for Multi-Stream Transmission in MIMO Channel 864
Byoung-Hoon Kim

Performance of MIMO Systems with Combined Polarization Multiplexing and Transmit Diversity 869
Yu Deng, Alister Burr and George White

Performance of MIMO-FQPSK Receiver with MLSE 874
Sangheon Kim, Sunghun Jung, Sangwoo Lee and Chungyong Lee

Turbo-MIMO Transceiver for Frequency-Selective Wireless Channels 878
T. Ratnarajah and M. Sellathurai

A Simplified Iterative Processing of Soft MIMO Detector and Turbo Decoder in a Spatially Multiplexed System 882
Kenji Sumii, Toshihiko Nishimura, Takeo Ohgane and Yasutaka Ogawa

MIMO Systems 2

A Novel Nonlinear Precoding Algorithm for the Downlink of Multiple Antenna Multi-User Systems 887
Jia Liu and Witold A. Krzymien

Integrated Transceiver Arrays for Multiple Antenna Systems 892
Lunal Khuon, Everest W. Huang, Charles G. Sodini and Gregory W. Wornell

Novel Transmit Diversity Techniques for Broadcast Services in Cellular Networks 896
Hyunseok Oh, Sungsoo Kim, Sang-Hyo Kim and Min-Goo Kim

Asterism Decoding for Turbo Coded MIMO Systems 901
Phillip Conder and Tadeusz A. Wysocki

Optimization of Coded MIMO-Transmission with Antenna Selection 905
Biljana Badic, Paul Fuxjäger and Hans Weinrichter

Approximate Closed-Form Expression for the Ergodic Capacity of MISO and SIMO Systems 910
J. Pérez, J. Ibáñez, L. Vielva and I. Santamaría

MIMO Systems 3

Filtered Gradient Algorithm for Closed Loop MIMO Systems 914
Eduardo Zacarías B., Risto Wichman and Stefan Werner

An Orthogonal Multi-Beam Based MIMO Scheme for Multi-User Wireless Systems 919
Dong-chan Oh and Yong-Hwan Lee

Exploiting Dimensions of the MIMO Wireless Channel: Multidimensional Link Adaptation 924
W. C. Freitas Jr., F. R. P. Cavalcanti, A. L. F. de Almeida and R. R. Lopes

Performance and Complexity Analysis of Suboptimal MIMO Detectors 929
Berna Özbek and Didier Le Ruyet

Antenna-by-Antenna and Joint-over-Antenna MIMO Signal Detection Techniques for Turbo-Coded SC/MMSE Frequency Domain Equalization 934
Juha Karjalainen, Kimmo Kansanen, Nenad Veselinovic and Tad Matsumoto

A Signaling Scheme and Estimation Algorithm for Characterizing Frequency Selective MIMO Channels 939
David W. Browne, Weijun Zhu and Michael P. Fitz

Modeling and Optimization for Transmitters and Receivers

Transmission Power Optimization of Convolutional Coded VBLAST System 945
Wu Yin, Charalampos C. Tsimenidis and Bayan S. Sharif

High-Efficiency Doherty Linear Amplifier with Backoff Control for Mobile Communications 949
Fumitaka Iizuka, Tsuyoshi Ogino, Hiroshi Suzuki and Kazuhiko Fukawa

Increasing the Power Efficiency of an IEEE802.11a Power Amplifier 954
K. C. Chen, K. A. Morris and M. A. Beach

Nonlinear Amplification of Clipped-Filtered Multicarrier Signals 958
H.-L. Määttänen, N. Y. Ermolova and S.-G. Häggman

Behavioral Level Modeling of Power Amplifiers with Varying Antenna Load 963
Troels S. Nielsen, Shadi Tawfik, Torben Larsen and Saska Lindfors

Real-Time Simulation of Impairments in the Analog Parts of the Transmitter-Receiver 968
Markku Kiviranta, Aarne Mämmelä, Yan Zhang, Ilkka Moilanen, Sandrine Boumard, Timo Sarkkinen and Tommi Jämsä

Multi-User Detection 1

An Improved Successive Interference Cancellation Multiuser Detector for Narrowband Signals 973
S. Ben Slimane, Siddharth S. Naik and Arash T. Toyserkani

Optimal Transmitter and Jamming Strategies in Gaussian MIMO Channels 978
Eduard A. Jorswieck, Holger Boche and Martin Weckerle

Genetic Algorithm Based Frequency Domain Multiuser Detection for MC-CDMA Systems 983
Zexian Li, Markku J. Juntti and Matti Latva-aho

Polynomial Expansion Based Fast Iterative Multiuser Detection Algorithm for Synchronous DS-CDMA Systems 988
Jinfan Zhang, Yongle Wu, Jing Gu, Shidong Zhou and Jing Wang

A Unifying Approach to Multiuser Receiver Design Under QoS Constraints 992
Holger Boche, Martin Schubert and Slawomir Stanczak

Kalman-Based Blind Multiuser Detection with Multiple Receiver Antennas for the Uplink of Asynchronous DS-CDMA Systems 997
F. P. Wathan, R. Hoshyar and R. Tafazolli

OFDM 3

A Blind Uplink OFDM Synchronization Algorithm Based on Cyclostationarity 1002
Meng Hua and Jinkang Zhu

Series Expression of BER Performance for DQPSK/OFDM Signals Employing Selection Combining Diversity Reception Over Nonlinear Fading Channels 1007
Fumiaki Maehara

Statistical Pre-Filtering for MIMO-OFDM Systems 1012
Wing Seng Leon and Ying-Chang Liang

Joint Tomlinson-Harashima Precoding with Diversity Techniques for Multiuser MIMO Systems 1017
Dafei Wang, Eduard A. Jorswieck, Aydin Sezgin and Elena Costa

Secure Communications Using OFDM with Chaotic Modulation in the Subcarriers 1022
David Luengo and Ignacio Santamaría

Maximizing the Spectral Efficiency of OFDMA System Over Fast Fading Channels 1027
Seho Kim and Hyung-Myung Kim

OFDM 4

MIMO Preamble Design with a Subset of Subcarriers in OFDM-Based WLAN 1032
Ting-Jung Liang and Gerhard Fettweis

The Impact of OFDM Interference on TH-PPM/BPAM Transmission Systems 1037
Andrea Giorgetti and Davide Dardari

System Design and Implementation of Multiple-Symbol Encapsulated OFDM 1043
Xianbin Wang, Yiyan Wu and Jean-Yves Chouinard

A Simple Scheme to Rectify Erroneous Symbol Timing in OFDM Systems 1048
Chih-Peng Li and Ming-Li Wang

Exploiting Channel Statistics to Improve the Average Sum Rate in OFDMA Systems 1053
Eunchul Yoon, Djordje Tujkovic and Arogyaswami Paulraj

Design of Unequal Error Protection for MIMO-OFDM Systems 1058
Yujin Noh, Heunchul Lee and Inkyu Lee

OFDM 5

Estimation and Compensation of I/Q Imbalance in OFDM Systems 1063
Kuang-Yu Sung and Chi-chao Chao

Two Space-Frequency Coded OFDM Schemes for Large Diversity 1068
Ruey-Yi Wei, Yu-Lung Wu and Yeong-Luh Ueng

Suppression of Non-Reciprocal Interference in Adaptive MIMO-OFDM Cellular Systems 1072
Antti Tölli, Marian Codreanu and Markku Juntti

Frequency Synchronisation in OFDM - A Bayesian Analysis 1077
Erik Björnemo

Signal Detection for Space-Frequency OFDM Systems with Quasi-Orthogonal Space-Time Block Codes 1082
L.-Y. Song and Alister G. Burr

OFDM Systems with Trellis Coded Sequential Modulation 1086
Masaaki Harada

Performance Analysis and Evaluation of Communication Systems

A Simple Form for the Two-Dimensional Q-Function Suitable for Performance Evaluation of Communication Systems 1091
Shahram Yousefi and Billy Holmes

Large Sensor System Performance of Decentralized Detection in Noisy, Bandlimited Channels 1096
Sudharman K. Jayaweera

Experimental Performance Evaluation of Multiuser Zero Forcing Relaying in Indoor Scenarios 1101
Stefan Berger and Armin Wittneben

Performance Analysis of DSTTD Based on Diversity-Multiplexing Trade-Off 1106
Kyungchul Kwak, Jihyung Kim, Byungjoon Park and Daesik Hong

FPGA Implementation of 1Gbps Real-Time 4 × 4 MIMO-MLD 1110
Toshiaki Koike, Yukinaga Seki, Hidekazu Murata, Susumu Yoshida and Kiyomichi Araki

From Theory to Practice: MIMO Real-Time Experiments of Adaptive Bit-Loading with Linear and Non-Linear Transmission and Detection Schemes 1115
T. Haustein, A. Forck, H. Gäbler and S. Schiffermüller

Scheduling

Downlink Multiuser Scheduling Algorithms with HSDPA Closed-Loop Feedback Information.................................1120
Graciela Corral-Briones, Alexis A. Dowhuszko, Jyri Hämäläinen and Risto Wichman

Energy Allocation for Multicarrier Systems with Mixed QoS Classes 1125
Michael A. Enright and C.-C. Jay Kuo

A New Multiuser Diversity Scheme Exploiting Detection Order for AM-OSIC System 1130
Jaesang Ham, Kyeongyeon Kim, Seijoon Shim, Chungyong Lee and Jaehak Chung

An Eigen-Based MIMO Multiuser Scheduler Robust to Spatial Channel Correlation..1134
Hakju Lee, Myeongcheol Shin and Chungyong Lee

Opportunistic User Scheduling and Antenna Selection in the Downlink of Multiuser MISO Systems 1138
Inaki Berenguer, Ian J. Wassell and Xiaodong Wang

Analysis of Digital Modulation with Unequal Power Allocation...1143
Thomas Brüggen and Peter Vary

Signal Processing

On the Capacity of Multicarrier Transmission Over Nonlinear Channels...1148
Peter Zillmann and Gerhard P. Fettweis

Minimax Mean-Square-Error Transmit Wiener Filter..1153
Raphael Hunger, Michael Joham and Wolfgang Utschick

A Novel Adaptive Algorithm for Generalized Synchronization...1158
Mónica F. Bugallo and Joaquín Míguez

A Computationally Efficient Method for Robust Minimum Variance Beamforming 1162
Jisung Oh, Seung-Jean Kim and Kan-Lin Hsiung

Error Analysis of DOA Estimation for Short Code CDMA Systems with a Beamforming Approach 1166
Chiao-Yao Chuang, Xiaoli Yu and C.-C. Jay Kuo

Blind Symbol Rate Detection for Low-Complexity Multi-Rate Receivers 1171
Henk Wymeersch and Marc Moeneclaey

Space Time Coding/Equalization 1

Performance Analysis of Space-Time Trellis Coded OFDM System 1176
Yi Hong, Jinho Choi and Jinhong Yuan

Combined Space Time Trellis Codes and Beamforming on Fast Fading Channels 1181
Yonghui Li and Branka Vucetic

Concatenation of Space-Time Block Codes and Turbo Product Codes Over Rayleigh Flat Fading Channels 1186
Guangxi Zhu, Yejun He, Gan Liu, Bijun Zhang and Feng Wang

Application of Space-Time Codes to OFDM UWB Systems with Under-Sampled Receivers.....................................1191
Wan-Ting Chan, Wei-De Wu, Chung-Hsuan Wang, Mao-Ching Chiu and Chi-chao Chao

A Novel Low Complexity Space-Time Receiver for MIMO Systems Based on Beamforming and Partial SIC 1196
Mauro Borgo, Matteo Butussi, Giambattista Carnevale and Maurizio Zorzi

Space-Time Multilevel Codes 1201
Philippa A. Martin, David M. Rankin and Desmond P. Taylor

Space Time Coding/Equalization 2

Non-Coherent Demodulation for Orthogonal Space-Time Coded CPM 1206
Tarkesh Pande, Heon Huh and James V. Krogmeier

Full-Rate, Full-Diversity Adaptive Space Time Block Coding for Transmission Over Rayleigh Fading Channels 1210
S. X. Ng, B. L. Yeap and L. Hanzo

Frequency-Domain Space-Time Precoders for Severe Time-Dispersive Channel Employing Single-Carrier Modulations 1215
Reza Kalbasi, Rui Dinis, David D. Falconer and Amir H. Banihashemi

Space-Time Equalisation Assisted Minimum Bit-Error Ratio Multiuser Detection for SDMA Systems 1220
S. Chen, X. C. Yang and L. Hanzo

A Flexible Space-Time Coding System with Unequal Error Protection 1225
Heunchul Lee, Byeongsi Lee, Inkyu Lee and Carl-Erik W. Sundberg

Mapping Optimization for Space-Time Block Coded OFDM Systems with Iterative Decoding 1230
Jinsoo Choi, Wookbong Lee and Inkyu Lee

Transmission Technologies 1

MIMO Decorrelating Discrete-Time RAKE Receiver 1235
Tunçer Baykas, Mohamed Siala and Abbas Yongacoglu

VISA MIMO OFDM Transmit Scheme for Wireless Communications 1240
Wladimir Bocquet, Yunjian Jia, Shinsuke Hara and Michiharu Nakamura

A New Modulation Scheme for DRM 1245
Shuzheng Xu, Huazhong Yang, Hui Zhang and Hui Wang

Frequency Domain-DFE Coupled with Common Phase Error Tracking Loop in OFDM Systems 1248
Ji-Heon Kim and Whan-Woo Kim

Subspace Method for Blind CFO Estimation for OFDM Systems with Constant Modulus Constellations 1253
Timo Roman and Visa Koivunen

Timing Synchronization Using Phase Difference Between Subcarriers for OFDMA Uplink Systems Over Frequency Selective Fading Channels 1258
Sungeun Lee, Hwasun Yoo, Myonghee Park, Byungjoon Park and Daesik Hong

A Joint Blind Timing and Frequency Offset Estimator for OFDM Systems Over Doubly Selective Fading Channels. 1263
Ronghong Mo, Yong Huat Chew, Tjeng Thiang Tjhung and Chi Chung Ko

A Design for OFDMA Receiver 1268
Jianhua Zhang, Xueqi He, Jie Bai and Ping Zhang

Rapid Cell Search in OFDM-Based Cellular Systems 1273
Jin-Woo Lee and Yong-Hwan Lee

Noise Plus Interference Power Estimation in Adaptive OFDM Systems 1278
Tevfik Yücek and Hüseyin Arslan

A Lower Bound for Optimum Frame Synchronization on AWGN Channels 1283
Marco Chiani and Maria G. Martini

Double-Threshold Based Narrowband Signal Extraction 1288
J. Vartiainen, J. J. Lehtomäki and H. Saarnisaari

Transmission Technologies 2

Diversity Analysis of Single and Multiple Beamforming 1293
Ersin Sengul, Enis Akay and Ender Ayanoglu

Diversity Order Optimization of Multiuser Multicarrier Wireless Systems in Nakagami Fading Channel 1297
Chin Choy Chai, Rendy Chin Huat Ho and Yong Huat Chew

Exploiting Multiuser Diversity Using Multiple Feedback Thresholds 1302
Vegard Hasse, Mohamed-Slim Alouini, David Gesbert and Geir E. Oien

Analysis of MAC Protocols for Underwater Acoustic Data Networks 1307
Hayat Doukkali and Loutfi Nuaymi

Design of Energy-Efficient Wireless Sensor Networks with Censoring, On-Off, and Censoring and On-Off Sensors Based on Mutual Information 1312
Kohei Yamasaki and Tomoaki Ohtsuki

An Energy-Efficiency and Collision-Free MAC Protocol for Wireless Sensor Networks 1317
Ana Liu, Hongyi Yu and Lin Li

Group Optimal Space-Time MUD with Beamforming 1323
Benoît Pelletier and Benoît Champagne

5GHz RLAN Interference on Active Meteorological Radars 1328
André L. Brandão, John Sydor, Wayne Brett, John Scott, Paul Joe and Derek Hung

Measured Throughput and SNR of IEEE 802.11g in a Small Enterprise Environment 1333
Mohamed Boulmalf, Hesham El-Sayed and Abdelaziz Soufyane

Throughput Evaluation and Enhancement in 802.11 WLANs with Access Point 1338
Osama Abu-Sharkh and Ahmed H. Tewfik

Jitter Analysis of the IEEE 802.11 DCF Access Mode 1342
Dimitrios J. Vergados, Dimitrios D. Vergados and Aggeliki Sgora

Combined Effects of RF Impairments in the Future IEEE 802.11n WLAN Systems 1346
Sanghyun Woo, Dongjun Lee, Kiho Kim, Yungsik Hur, Chang-Ho Lee and Joy Laskar

Ultra Wide Band 1

Low Complexity Synchronization for UWB Noncoherent Receivers 1350
Cecilia Carbonelli and Umberto Mengali

Distributed Diversity in Ultrawide Bandwidth Wireless Sensor Networks 1355
Tony Q. S. Quek, Moe Z. Win and Marco Chiani

Generalized Selection Combining with Log-Likelihood Ratio Threshold Test per Path for Rake Reception in Ultra-Wideband Communications 1360
Xiaoli Chu and Ross D. Murch

Performance of UWB-IR with Polarity Randomization and Interleaved Coding-Modulation on Multipath Fading Channels 1365
Michal M. Pietrzyk and Jos H. Weber

On the Use of Simulation-DFT Based Analysis for Spectral Estimation of PPM TH-IR UWB Signals 1370
S. Villarreal-Reyes, R. M. Edwards and J. C. Vardaxoglou

Oversampled Weighted Autocorrelation Receivers for Transmitted-Reference UWB Systems 1375
J. Romme and K. Witrisal

Ultra Wide Band 2

Frequency Domain Multiuser Detection for Impulse Radio Systems 1381
Andrea M. Tonello and Roberto Rinaldo

Optimization of Energy Detector Receivers for UWB Systems 1386
Mustafa E. Sahin, Ismail Güvenç and Hüseyin Arslan

Power Spectral Density Characteristics of MCSK Based Impulse Radio in UWB Communications 1391
Serhat Erküçük and Dong In Kim

Analysis of Average Signal-to-Interference-Noise Ratio for Indoor UWB Rake Receiving System 1396
Tao Jia and Dong In Kim

Novel Modulation Schemes for UWB-PPM Systems 1401
Hassan Khani and Paeiz Azmi

OFDM Versus Time-Hopping in Multiuser Ultra Wideband Communication Systems 1406
Dimitrie C. Popescu, Prasad Yaddanapudi and Ramakoteswara Kondadasu

Volume III

Wireless Access

3G Evolution

WCDMA Enhanced Uplink - Principles and Basic Operation 1411
Stefan Parkvall, Janne Peisa, Johan Torsner, Mats Sågfors and Peter Malm

Reverse Traffic Channel MAC Design of cdma2000 1xEV-DO Revision A System 1416
C. Lott, N. Bhushan, D. Ghosh, R. Attar, J. Au and M. Fan

CDMA2000 1xEV-DV Reverse Link Performance in the Presence of Voice Users 1422
Tao Wu, Patrick Hosein, Young C. Yoon, Rath Vannithamby, Shiauhe Tsai and Anthony C. K. Soong

System Performance of WCDMA Enhanced Uplink 1427
Ke Wang Helmersson, Eva Englund, Maria Edvardsson, Christer Edholm, Stefan Parkvall, Maria Samuelsson, Y.-P. Eric Wang and Jung-Fu Cheng

End-to-End Performance of WCDMA Enhanced Uplink 1432
Janne Peisa, Hannes Ekström, Hans Hannu and Stefan Parkvall

WCDMA Enhanced Uplink - Test Bed and Measurements 1437
Magnus Sundelin, Christophe Milard, Markus Ringström, John Skördeman, Erik Sparrman, Tomas Sundin, Tobias Tynderfeldt and Hans Schmekel

Wireless Access

Adaptive Reverse Link Rate Control Scheme for cdma2000 1xEV-DO Systems 1441
HyeJeong Lee, Woon-Young Yeo and Dong-Ho Cho

Performance Evaluation of RLP Over Correlated Fading Channels 1446
Hanane Fathi, Shyam Chakraborty and Ramjee Prasad

Speculative Resource Allocation for Packet-Switched Wireless Networks 1451
Magnus Lindström, Leonardo Badia, Jens Zander and Michele Zorzi

Urgency and Efficiency Based Wireless Downlink Packet Scheduling Algorithm in OFDMA System 1456
Seungwan Ryu, Byunghan Ryu, Hyunhwa Seo and Mooyong Shin

Investigation of Frequency-Domain Link Adaptation for a 5-MHz OFDMA/HSDPA System 1463
A. Pokhariyal, T. E. Kolding, F. Frederiksen, P. Olives V., T. B. Sørensen and P. E. Mogensen

Simultaneous Use in Mobile Communications ... 1468
Lúcio Ferreira, António Serrador and Luís M. Correia

Ad Hoc Networks 3

Angular MAC Protocol with Location Based Scheduling for Wireless Ad Hoc Networks ... 1473
Erdem Ulukan and Özgür Gürbüz

Capacity Analysis for Noncooperative Interference Environments ... 1479
Fredrik Berggren

A Simple Distributed Method for Relay Selection in Cooperative Diversity Wireless Networks, Based on Reciprocity and Channel Measurements ... 1484
Aggelos Bletsas, Andrew Lippman and David P. Reed

Link-Failure Probabilities for Practical Cooperative Relay Networks ... 1489
J. Luo, R. S. Blum, L. J. Cimini, L. J. Greenstein and A. M. Haimovich

Downlink Node Cooperation with Node Selection Diversity ... 1494
Jeongkeun Lee, Sungjin Kim, Hari Suman, Taekyoung Kwon, Yanghee Choi, Jaewook Shin and Aesoon Park

Distributed-Queue Access for Wireless Ad Hoc Networks ... 1499
V. Baiamonte, C. Casetti and C.-F. Chiasserini

Ad Hoc Networks 4

Fairness-Enhanced Multiple Control Channels MAC for Ad Hoc Networks ... 1504
Hend Koubaa

A Theoretical Analysis of Multiuser Zero Forcing Relaying with Noisy Channel State Information ... 1509
Armin Wittneben

A Self-Balanced Receiver-Oriented MAC Protocol for Multiple Channels Multihop Ad-Hoc Networks ... 1514
Hicham Anouar and Christian Bonnet

Diversity Gain Using a Repeater in a Wireless Personal Area Network ... 1519
G. V. V. Sharma and S. H. Srinivasan

An Adaptive Interleaving Access Scheme (IAS) for IEEE 802.15.4 WPANs ... 1523
Shiann-Tsong Sheu, Yun-Yen Shih and Lu-Wei Chen

OOPC: An Adaptive Power Control Scheme for Packet Radio Networks ... 1528
Mubashir Syed and Yu-Dong Yao

Coding and Equalization

Block Product Code Design with the Aid of Union Bounds ... 1533
Yufei Blankenship, Brian Classon and Vip Desai

Decoding Algorithm of Block and Product Codes with Channel State Information ... 1538
Changlong Xu, Yong Liang Guan and Kian Chong Chew

Asymptotic Performance Analysis of LDPC Codes with Channel Estimation Error ... 1543
Hamid Saeedi, Amir H. Banihashemi and Qi Hong

On LDPC Decoding for Frequency Hopping OFDMA Cellular Systems in the Downlink ... 1548
Yun Hee Kim, Kwang Soon Kim and Sang Hyeon Lee

Radial Basis Function Aided Space-Time Equalization in Dispersive Fading Uplink Environments ... 1552
A. Wolfgang, S. Chen and L. Hanzo

Asymptotic Performance of BI-GDFE for Large Isometric and Random Precoded Systems 1557
Ying-Chang Liang

Coding

On the Performance of Space-Time Turbo Codes 1562
Mathini Sellathurai

Adaptive Multilevel Coding in OFDM Systems 1566
Peter Trifonov, Elena Costa and Egon Schulz

Construction of LDPC Codes Based on Narrow-Sense-Primitive BCH Codes 1571
Yu Yi, Liu Shaobo and Huang Dawei

Throughput Comparison of MC-CDMA and DS-CDMA with Frequency-Domain Equalization and Adaptive Modulation and Coding 1575
Deepshikha Garg, Akinori Nakajima and Fumiyuki Adachi

Performance Analysis of H.264/AVC Video Transmission with Unequal Error Protected Turbo Codes 1580
Pronsak Raibroycharoen, M. Mahdi Ghandi, Edwin V. Jones and Mohammad Ghanbari

SC-MMSE MIMO Turbo Receiver with Multidimensional Parity Check SISO Decoder 1585
Adrian Boukalov

Low-Density Parity-Check (LDPC) Coded Ultra High-Data-Rate OFDM System in Frequency-Selective Fading...... 1590
Ming Lei and Hiroshi Harada

Semi-Blind Combined Detection and Turbo Decoding for Unknown Block Fading Channels 1595
Richard Demo Souza and Javier Garcia-Frias

Turbo-Detected Unequal Protection MPEG-4 Audio Transceiver Using Convolutional Codes, Trellis Coded Modulation and Space-Time Trellis Coding 1600
N. S. Othman, S. X. Ng and L. Hanzo

A Novel Stopping Criterion for Turbo Decoding 1605
E. I. Kalantzis, P. I. Dallas and Bayan S. Sharif

On TPC Decoding During Soft Handover in WCDMA 1609
Bengt Lindoff and Bo Bernhardsson

Assessment of Low-Rate Turbo Encoding to Extend Coverage in WCDMA/HSDPA Systems 1614
I. Perez, T. E. Kolding, F. Frederiksen, T. B. Sørensen and B. Hu

MIMO and Space Time

Asymptotic Optimality of Beamforming in Multi-User MIMO-MAC with No or Partial CSI at the Transmitters 1619
Alkan Soysal and Sennur Ulukus

QRD Based Tree Search Data Detection for MIMO Communication Systems 1624
W. H. Chin

Adaptive Cross-Layer Resource Allocation for Downlink Multi-User MIMO Wireless System 1628
Cheng Wang and Ross D. Murch

Performance of MIMO MRC in Correlated Rayleigh Fading Environments 1633
Alberto Zanella, Marco Chiani and Moe Z. Win

Trading-Off Transmission Rate with Transmit Diversity in Differential Detection 1638
Jaehak Chung, Seung Hoon Nam, Young-Ho Jung and Vahid Tarokh

Metric-Segmented Low-Complexity ML Detection for Spectrum-Efficient Multiple-Antenna Systems 1642
Toshiaki Koike, Daisuke Nishikawa and Susumu Yoshida

Space-Time Turbo Code Using Quantized Feedback with Two Transmit Antennas 1647
Chi Hoon Yoo and Jae Hong Lee

On the Construction of Capacity Achieving Full Diversity Space-Time Block Codes 1652
C. Pietsch and J. Lindner

Iterative Semi-Blind Equalization of Space Time Block Coded Systems 1659
W. H. Chin, Z. Ding and D. B. Ward

Interference Reduction in Time Duplex Systems by Space-Time Beamformers 1663
Guillaume Andrieux, Jean-François Diouris and Yide Wang

A Hybrid Antennae Selection and STBC Scheme for Multipath Fading Channels 1668
Sangarapillai Lambotharan and Yuhui Luo

A Variable Rate LDPC Coded V-BLAST System Using the MMSE QR-Decomposition 1672
Namshik Kim, Hyounkuk Kim and Hyuncheol Park

MIMO Wireless Access

A New Approach to Iterative Decoding on Coded MIMO Channels 1676
Yi Hong and Jinho Choi

Iterative-MAP Adaptive Detection via the EM Algorithm for LDPC-Coded MIMO-OFDM Mobile Communications in Fast Fading Channels 1681
Tsuyoshi Kashima, Kazuhiko Fukawa and Hiroshi Suzuki

Advanced Spectral Processing Based MIMO Receiver Algorithms Not Requiring a Cyclic Prefix Case Study: UMTS-HSDPA and HSUPA Multi-Code Reception 1686
E. de Marinis, O. Gasparini and M. J. Hart

Modeling and Analysis of a 40 GHz MIMO System for Fixed Wireless Access 1691
Frode Bøhagen, Pål Orten and Geir E. Oien

System-Level Performance Gains of Selective Per-Antenna-Rate-Control (S-PARC) 1696
Stephen J. Grant, Karl J. Molnar and Leonid Krasny

Measurement Based Performance Evaluation of MIMO-OFDM with Turbo-Equalization 1701
Christian Schneider, Marcus Grossmann and Reiner S. Thoma

Multi-Carrier CDMA

Error Probabilities for Radio Transmissions of MC-CDMA Based W-LANs 1706
Georgios Orfanos, Joerg Habetha and Willi Butsch

A Non-Linear Precoding Technique for Downlink MC-CDMA 1711
Ivan Cosovic, Stephan Sand and Ronald Raulefs

MMSE Pre-Filtering Techniques for TDD MC-CDMA Downlink Transmissions 1716
Luca Sanguinetti, Michele Morelli and Ivan Cosovic

On the Peak-to-Average Power Ratio of Pre-Equalized Multi-Carrier Code-Division Multiple-Access Transmissions 1721
Ivan Cosovic and Luca Sanguinetti

Multi-Carrier DS-CDMA Systems with Recursive Quaternary Quasi-Orthogonal Sequences 1726
Shoulie Xie, Zhenghui Gu and Susanto Rahardja

Performance Comparison of OFDM-FH and MC-CDM in Single- and Multi-Cell Environments 1730
Shigehiko Tsumura, Rihito Mino, Shinsuke Hara and Yoshitaka Hara

Multi-User Detection 2

The Performance of Indoor DS-CDMA Systems with Multistage Parallel Interference Cancellation 1735
Adrian V. Pais, Kevin W. Sowerby and Michael J. Neve

A Chip Correlation MMSE Receiver with Multipath Interference Correlative Timing for DS-CDMA Systems 1740
Tsuyoshi Hasegawa and Masahiko Shimizu

Multiuser Detection of Short-Code CDMA with Antenna Diversity 1745
Vishakan Ponnampalam and Peter B. Darwood

Generalised Multiuser Detection in TD-CDMA 1748
Alan E. Jones and Shin Horng Wong

A Simplified Transceiver Structure for Cyclic Extended CDMA System with Frequency Domain Equalization 1753
Xiaoming Peng, Francois Chin, T. T. Tjhung and A. S. Madhukumar

Interference Cancellation and 4-Branch Antenna Diversity for WCDMA Uplink Packet Access 1758
Claudio Rosa, Troels B. Sørensen, Jeroen Wigard and Preben E. Mogensen

OFDM 1

Novel OFDM Transmission Scheme to Overcome ISI Caused by Multipath Delay Longer than Cyclic Prefix 1763
Chiwoo Lim, Youngbin Chang, Jaeweon Cho, Panyuh Joo and Hyeonwoo Lee

Blind Estimation of Frequency Offset and Time Delay in Uplink OFDMA 1768
Meng Hua and Jinkang Zhu

A Spectrally Efficient Method for Subcarrier and Bit Allocation in OFDMA 1773
Miguel Aceña and Stephan Pfletschinger

Synchronization Algorithms for Multiuser Filtered Multitone (FMT) Systems 1778
Andrea M. Tonello and Francesco Pecile

Effect of Peak Power Suppression and Adaptive Predistortion on Power Amplification of an OFCDM Signal 1783
Naoki Aizawa, Osamu Muta, Yoshihiko Akaiwa and Mamoru Sawahashi

Transmitter Precoding for ICI Reduction in OFDM Systems 1788
Yu Fu, Witold A. Krzymien and Chintha Tellambura

OFDM 2

Random FH-OFDMA System Based on Statistical Multiplexing 1793
Bang Chul Jung and Dan Keun Sung

A Utility-Approached Radio Resource Allocation Algorithm for Downlink in OFDMA Cellular Systems 1798
Luke T. H. Lee, Chung-Ju Chang, Yih-Shen Chen and Scott Shen

On Performance of SCH-OFDMA-CDM in Frequency Selective Indoor Environment 1803
Suvra Sekhar Das, Muhammad Imadur Rahman, Frank H. P. Fitzek and Ramjee Prasad

An Investigation of Dynamic Sub-Carrier Allocation in OFDMA Systems 1808
Y. Peng, A. Doufexi, S. Armour and J. McGeehan

Decreasing Transmit Power by Adaptive Loading for Ultra High-Data-Rate OFDM System 1812
Ming Lei and Hiroshi Harada

Adaptive OFDMA Subcarrier Assignment for QoS Guaranteed Services 1817
Guoxin Xu, Yang Ji, Jianhua Zhang and Ping Zhang

Radio Resource Management 1

3G Network QoS Estimation in a Multi Service Context 1821
Mathieu Demars, Benoît Fourestié, Julien Mourlon, Jean-Marc Picard and Sylvain Renou

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Ching-Yu Liao, Fei Yu, Victor C. M. Leung and Chung-Ju Chang

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Leonardo Badia, Carlo Bellettini and Michele Zorzi

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Carlos H. M. de Lima, Francisco R. P. Cavalcanti, Emanuel B. Rodrigues and Vicente A. de Sousa Jr.

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Haibo Wang, Devendra Prasad, Xin Zhou, Jimena Martinez Llorente, François Delawarde, Gwénaël Coget, Patrick Eggers and Hans Peter Schwefel

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Jun-Seong Park, Lei Huang and C.-C. Jay Kuo

Radio Resource Management 2

Interference-Based Dynamic Pricing and Radio Resource Management for WCDMA Networks 1850
Siew-Lee Hew and Langford B. White

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Kimmo Valkealahti and David Soldani

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J. Sánchez-González, J. Pérez-Romero, O. Sallent and R. Agustí

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Hervé Dubreil, Zwi Altman, Vincent Diascorn, Jean-Marc Picard and Maurice Clerc

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Emanuel B. Rodrigues, Carlos H. M. de Lima, Vicente A. de Sousa Jr. and Francisco R. P. Cavalcanti

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Iana Siomina and Di Yuan

Scheduling/Multi-User Systems 1

Efficient Algorithm for Proportional Fairness Scheduling in Multicast OFDM Systems 1880
Changho Suh, Seunghoon Park and Youngkwon Cho

Low-Complexity Multiuser Bit-Loading Algorithm for the Downlink of Wireless Local Area Networks 1885
Khalid El Baamrani, Abdellah Ait Ouahman, Victor P. Gil Jiménez, Ana Garcia Armada and Said Allaki

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Deze Zhao, Mohammed Elmusrati and Riku Jäntti

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Ming Gong, Ling Qiu and Jinkang Zhu

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Fredrik Florén, Moe Z. Win, Ove Edfors and Bengt-Arne Molin

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Christian Wengerter, Jan Ohlhorst, and Alexander Golitschek Edler von Elbwart

Scheduling/Multi-User Systems 2

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Carlo F. Binder, Riccardo Veronesi and Velio Tralli

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Steven Walsh, Emi Garcia and Sakir Sezer

Exploiting Multiuser Diversity Through Uplink Scheduling 1918
Matilde Sánchez-Fernández, M. Luz Pablo-González and Angel Lozano

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T. Heikkinen, T. Karageorgos and A. Hottinen

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Kae Won Choi, Wha Sook Jeon and Dong Geun Jeong

A Power Efficient Embedded Modulation Scheme for Addressing Multiple Users in the Downlink 1930
Gerard J. M. Janssen

System Performance 1

System Aspects of WCDMA Uplink Parallel Interference Cancellation 1935
Fredrik Gunnarsson and Bo Hagerman

Comparison of Models for WCDMA Downlink Capacity Assessment Based on a MORANS Reference Scenario 1940
Andreas Eisenblätter, Hans-Florian Geerdes, Antonella Munna and Roberto Verdone

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Dirk Staehle

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Jung-Fu Cheng and Y.-P. Eric Wang

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David T. Chen, Ivan N. Vukovic, Paul Odlyzko and Igor Filipovich

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Ulrich Türke and Michael Koonert

System Performance 2

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Jee-young Song, Hyun-ho Choi, Hyu-dae Kim, Sang-wook Kwon, Dong-Ho Cho, Hong-sung Chang, Geunwhi Lim and Jun-hyung Kim

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Josefina Castañeda-Camacho and Domingo Lara-Rodríguez

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José Ernesto Rojas-Lima, Jaime Pedro Abarca-Reyna and Domingo Lara-Rodríguez

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D. Dres, D. Vouyioukas and P. Constantinou

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Henri Puska, Harri Saarnisaari and Jari Iinatti

UWB Wireless Access

A Medium Access Control Protocol For Ultra-Wideband Wireless Ad Hoc Networks.. 1993
Peng-Yong Kong and Mangalam R. Shajan

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Zhenyu Zhang, Fanxin Zeng and Lijia Ge

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Zhenyu Zhang, Fanxin Zeng and Lijia Ge

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S. Niranjayan, A. Nallanathan and B. Kannan

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Eduardo Cano and Sean McGrath

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Marco Villanti, Matteo Sabattini, Gian Mario Maggio and Laurence B. Milstein

WLAN 1

Management of Services Differentiation and Guarantee in IEEE 802.11e Wireless LANs.. 2023
Jianhua He, Dritan Kaleshi, Alistair Munro, Michael Barton, Zuoyin Tang and Zongkai Yang

Fast Handover Scheme for Real-Time Downlink Services in IEEE 802.16e BWA System... 2028
Sik Choi, Gyung-Ho Hwang, Taesoo Kwon, Ae-Ri Lim and Dong-Ho Cho

Fair Relaying and Cooperation in Multi-Rate 802.11 Networks 2033
C. Casetti, C.-F. Chiasserini and L. Previtera

A New Beacon Management Method in Case of Congestion in Wireless LANs... 2037
Jung-Ryun Lee, Sang-wook Kwon and Dong-Ho Cho

Power Saving Efficiency of a Novel Packet Aggregation Scheme for High-Throughput WLAN Stations at Different Data Rates.. 2041
Begonya Otal and Jörg Habetha

Performance Improvement of 802.11 Wireless Access Network with TCP ACK Agent and Auto-Zoom Backoff Algorithm 2046
Qixiang Pang, Soung C. Liew and Victor C. M. Leung

WLAN 2

A Cross-Layer Saturation Goodput Analysis for IEEE 802.11a Networks... 2051
Roger Pierre Fabris Hoefel

Joint Fragment Size, Transmission Rate, and Request-to-Send/Clear-to-Send Threshold Optimization for IEEE 802.11b Distributed Coordination Function.. 2056
Alexandre V. Garmonov, Andrew Y. Savinkov, Stanislav A. Filin, Vladimir B. Manelis, Sergey N. Moiseev, Mikhail S. Kondakov, Seok Ho Cheon, Do Hyon Yim, Ki Tae Han and Yun Sang Park

Performance Analysis of IEEE802.16 Based Cellular MAN with OFDM-256 in Mobile Scenarios............................ 2061
C. F. Ball, E. Humburg, K. Ivanov and F. Treml

P-DCF: Enhanced Backoff Scheme for the IEEE 802.11 DCF 2067
Nakjung Choi, Yongho Seok, Yanghee Choi, Sungmann Kim and Hanwook Jung

Scheduling and Admission Control for 802.11e Hybrid Coordinator 2071
Boris Makarevitch

MAC Sleep Mode Control Considering Downlink Traffic Pattern and Mobility 2076
Neung-Hyung Lee and Saewoong Bahk

WLAN 3

A Dynamic and Adaptive Bandwidth Management Scheme for QoS Support in Wireless Multimedia Networks 2081
Hai-Bo Guo and Geng-Sheng Kuo

Dynamic Interference and Timeout-Based CAC Scheme for Multimedia Cellular Networks 2086
Tarek Bejaoui, Véronique Vèque and Sami Tabbane

Periodicity in TCP Session Arrivals in Broadband Fixed Wireless Access Networks 2092
Amit Sinha, Kenneth Mitchell and Deep Medhi

Performance Enhancement of IEEE 802.11e EDCA by Contention Adaption 2096
Yi-Wen Lan, Jui-Hung Yeh, Jyh-Cheng Chen and Zi-Tsan Chou

An Adaptive "Sleep" Algorithm for Efficient Power Management in WLANs 2101
Mahasweta Sarkar and Rene L. Cruz

Load Balancing for QoS Optimisation in Wireless LANs Utilising Advanced Cell Breathing Techniques 2105
Olivia Brickley, Susan Rea and Dirk Pesch

Mobile Networks

Volume IV

Traffic Models

Performance of Traffic and Mobility Models for Location Area Code Planning 2111
Thomas Kürner and Andreas Hecker

Capacity Estimation for Growth Planning of Cellular Networks in the Presence of Temporal and Spatial Traffic Fluctuations 2116
G. Hampel, M. J. Flanagan, L. M. Drabeck, J. Srinivasan, P. A. Polakos and G. Rittenhouse

User Mobility Model Based on Street Pattern 2123
G. S. Paschos, E. Vagenas and S. A. Kotsopoulos

Traffic Distribution Schemes for Multi-Homed Mobile Hotspots 2127
Albert Yuen Tai Chung and Mahbub Hassan

Estimating Heavy-Tails in Long-Range Dependent Wireless Traffic 2132
Ian W. C. Lee and Abraham O. Fapojuwo

Experimental Study on Traffic Model of Wireless Internet Services in CDMA Network 2137
Liang Peng, Tang Cailin, Ma Jie, Chang Yongyu and Yang Dacheng

Network Management

Interconnection Between Mobile Providers and the SLA-Pricing Policies 2142
Dimitrios D. Vergados and Christos Gizelis

Modeling and Performance Evaluation of Dynamic Abis for E-GPRS 2147
Nicolas Dailly, Philippe Martins and Philippe Godlewski

Resource Delegation and Rewards to Stimulate Forwarding in Multihop Cellular Networks 2152
Magnus Lindström and Pietro Lungaro

The Effect of Selfish Behavior in Mobile Networks Using CSMA/CA 2157
Olav Queseth

Dynamic Control and Optimization of Buffer Size in Wireless Networks 2162
Michael M. Markou and Christos G. Panayiotou

Determining Traffic and Control Channels for a Packet Based Cellular System Having Time-Varying Traffic 2167
Abhishek Srivastava, Shekhar Srivastava and Ken Mitchell

Call Control

Call Admission Control Scheme with GoS Guarantee for Wireless IP-Based Networks 2172
Nutsupang Pitakapan and Watit Benjapolakul

Uplink Interference-Based Call Admission Control for W-CDMA Mobile Communication Systems 2176
Daniel Catrein, Anke Feiten and Rudolf Mathar

Tier-Based Analytical Model for Adaptive Call Admission Control Scheme in a UMTS-WCDMA System 2181
Kamala Subramaniam and Arne A. Nilsson

Introducing 3G Like Conversational Services in GERAN Packet Data Networks 2186
C. F. Ball, C. Masseroni and R. Trivisonno

Connectivity Investigation of Mobile Relays for Next Generation Wireless Systems 2192
Byron Alex Bakaimis and Thierry Lestable

Towards Reliable Peer-to-Peer Data Sharing Over Mobile Ad Hoc Networks 2196
Mee Young Sung, Jong Hyuk Lee and Yun Je Heo

Handover

Handover Management Based on the Number of Retries for VoIP on WLANs 2201
Shigeru Kashihara and Yuji Oie

Hybrid Handover in Multihop Radio Access Networks 2207
Mona Ghassemian, Vasilis Friderikos and Hamid Aghvami

An Analysis of Novel Packet Duplicated Handoff Using Both Buffer Size and Advertisement Period Based on Mobile Velocity for Wireless Mobile Network 2212
Bongkarn Homnan, Kittisak Lumdee, Weerachai Chaokamnerd and Chaiyaporn Khemapatapan

Challenges of Seamless Handover for Merging Wired and Wireless Infrastructures 2216
Soohong Park, Yonghoon Lee and Pyungsoo Kim

Access Selection in WCDMA and WLAN Multi-Access Networks 2220
Oya Yilmaz, Anders Furuskär, Jonas Pettersson and Arne Simonsson

TAKEOVER: A New Vertical Handover Concept for Next-Generation Heterogeneous Networks 2225
Hyun-ho Choi and Dong-Ho Cho

TCP and All-IP

Dynamic Hierarchical Mobile MPLS for Next Generation All-IP Wireless Networks 2230
Hairong Zhou, Chihsiang Yeh and Hussein T. Mouftah

Measurements of TCP Performance Over UMTS Networks in Near-Ideal Conditions 2235
Martin Kohlwes, Janne Riihijärvi and Petri Mähönen

Transport Channel Switching for Interactive TCP/IP Traffic in WCDMA 2240
Mårten Ericson, Stefan Wänstedt, Jonas Pettersson and Claes Tidestav

Performance Enhancement Techniques for TCP Over Wireless Links 2245
E. Yanmaz, S.-C. Wei and O. K. Tonguz

A Cross-Layer Mechanism for TCP Connection Over Wireless Uplink in Cellular Networks 2250
Yifan Yu and Changchuan Yin

Cross Layer Design for Mobile IP Handoff 2255
Fang Zhu and Janise McNair

WCDMA Networks

Comparison of UWB and WCDMA Positioning Accuracies 2260
Jean-Philippe Montillet, Giuseppe Thadeu Freitas de Abreu, Harri Saarnisaari and Ian Oppermann

Downlink Fluid Model of CDMA Networks 2264
Jean-Marc Kelif and Eitan Alman

Genetic Approach to QoS Optimization for WCDMA Mobile Networks 2269
David Soldani and Kimmo Valkealahti

On the Impact of Traffic Characteristics on Radio Resource Fluctuation in Multi-Service Cellular CDMA Networks 2274
Keivan Navaie, Ahmad R. Sharafat and Yiqiang Q. Zhao

Genetically Enhanced Performance of a UTRA-Like Time-Division Duplex CDMA Network 2279
Song Ni and Lajos Hanzo

Seamless Multimedia QoS Across UMTS and WLANs 2284
Apostolis Salkintzis, Dimitris Skyrianoglou and Nikos Passas

Vehicular Networks

Knowledge-Based Opportunistic Forwarding in Vehicular Wireless Ad Hoc Networks 2289
Jason LeBrun, Chen-Nee Chuah, Dipak Ghosal and Michael Zhang

Mobility Management for Vehicular Ad Hoc Networks 2294
Marc Bechler and Lars Wolf

Power-Rate Adaptation in High-Mobility Distributed Ad-Hoc Wireless Networks 2299
Marco Ruffini and Hans-J. Reumerman

Peer-to-Peer Network and User Information Discovery and Sharing for Mobile Users and Devices 2304
Tao Zhang, Eric Van den Berg and Sunil Madhani

Impact of User Mobility on the Broadcast Service Efficiency of the ADHOC MAC Protocol 2310
Flaminio Borgonovo, Luca Campelli, Matteo Cesana and Luigi Fratta

A Position-Based Routing Protocol for Metropolitan Bus Networks 2315
Tonghong Li, Sukanta Kumar Hazra and Winston K. G. Seah

Speech and Related Applications

AMR-Wideband: Enjoying Superior Voice Quality at Full Coverage and Competitive Capacity in GERAN Networks 2320
R. Müllner, C. F. Ball, K. Ivanov, D. Hartmann and H. Winkler

Adaptive Thresholds for AMR Codec Mode Selection 2325
Tomas Lundberg, Peter de Bruin, Stefan Bruhn, Stefan Håkansson and Stephen Craig

Error Tolerant MAC Extension for Speech Communications Over 802.11 WLANs 2330
Antonio Servetti and Juan Carlos De Martin

Performance of VoIP on HSDPA 2335
Bang Wang, Klaus I. Pedersen, Troels E. Kolding and Preben E. Mogensen

Supporting Multimedia Traffic in 802.11e WLANs 2340
C. Casetti, C.-F. Chiasserini, L. Merello and G. Olmo

SIP Paging of Wireless LAN Hosts for VoIP 2345
Behcet Sarikaya and Timucin Ozugur

Link Level Issues 1

Reliable Multicast Services Using CDMA Codes in IEEE 802.16 OFDMA System 2349
Howon Lee and Dong-Ho Cho

Delay-Differentiated Scheduling in a Wireless Network 2354
T. Heikkinen, L. Yao, T. Karageorgos and A. Hottinen

Performance Analysis of a Type II Hybrid ARQ Protocol Based on RCPC Codes for the IEEE802.11a Random Access MAC Protocol 2359
Boris Bellalta i Jiménez and Alexandre Graell i Amat

An Efficient Rate Switching Scheme for IEEE 802.11 Wireless LANs 2364
Young-Jae Kim and Young-Joo Suh

Fair Finite-State Uplink Transmission Rate Allocation for Cellular Systems 2369
Vesa Hasu and Heikki Koivo

Comparison of Space-Time Cooperative Diversity Relaying Techniques 2374
Allan Jardine, Steve McLaughlin and John Thompson

Link Level Issues 2

Using Dedicated In-Building Systems to Improve HSDPA Indoor Coverage and Capacity 2379
Kimmo Hiltunen, Birgitta Olin and Magnus Lundevall

Optimizing HSDPA Performance in the UMTS Network Planning Process 2384
Jens Voigt, Jürgen Deissner, Johannes Hübner, Dietrich Hunold and Stefan Möbius

Optimised Iub Flow Control for UMTS HSDPA 2389
Peter J. Legg

On the Use of Packet-Level FEC and Data Carousels for the Delivery of Broadcast/Multicast Services to Mobile Terminals 2394
M. Chipeta, M. Karaliopoulos, B. G. Evans and R. Tafazolli

A Cooperative Multihop Radio Resource Allocation in Next Generation Networks 2400
Isameldin M. Suliman, Ian Oppermann, Timo Bräysy, Igor Konnov and Erkki Laitinen

Uplink Performance Analysis in Group Cell Systems 2405
Ying Wang, Xiaodong Shen and Ping Zhang

Ad Hoc Networks 1

Push-to-Talk Applications in Mobile Ad Hoc Networks 2410
Andreas Hafslund, Toan Tuan Hoang and Øivind Kure

Enhanced ICMP Traceback with Cumulative Path 2415
Vrizlynn L. L. Thing, Henry C. J. Lee, Morris Sloman and Jianying Zhou

GeoLANMAR: Geo Assisted Landmark Routing for Scalable, Group Motion Wireless Ad Hoc Networks 2420
B. Zhou, F. De Rango, M. Gerla and S. Marano

Robust Mobile Location Estimation Based on Signal Attenuation for Cellular Communication Systems 2425
Ding-Bing Lin, Rong-Terng Juang and Hsin-Piao Lin

Group Location Update Scheme and Performance Analysis for Location Management in Mobile Network 2429
Furong Wang, Lai Tu, Fan Zhang and Zailu Huang

MIMO Communications in Ad Hoc Networks 2434
Biao Chen and Michael J. Gans

Ad Hoc Networks 2

Mobile IPv6 Ad Hoc Gateway with Handover Optimization 2439
Stefan Aust, Carmelita Görg and Cornel Pampu

Performance Analysis of Ad-Hoc Networks Partitioning on TCP 2444
Qianwen Lin, Kwang-Mien Chan, Kean-Soon Tan and Boon-Sain Yeo

Energy Efficient AODV Routing in CDMA Ad Hoc Networks Using Beamforming 2449
Nie Nie and Cristina Comaniciu

Adaptive Spreading/Coding Gains for Energy Efficient Routing in Wireless Ad Hoc Networks 2454
Hasan Mahmood and Cristina Comaniciu

Power-Efficiencies of Multi-Hop Paths for Routing in Wireless Networks 2459
Anand Muthukrishnan and Biplab Sikdar

Impact of Power Saving MAC Scheme on Ad Hoc Network Routing Protocol 2463
Yuefeng Zhou, Yow-Yiong Edwin Tan, David I. Laurenson and Stephen McLaughlin

Ad Hoc Networks QoS

Throughput-Fairness Trade-Off in Probabilistic Medium Access Control for Wireless Ad Hoc Networks 2468
Marcin Wiczanowski, Slawomir Stanczak and Youye Chen

A Max-Min Strategy for QoS Improvement in MIMO Ad-Hoc Networks 2473
Seung Jun Baek, Gibeom Kim and Scott M. Nettles

Providing Quality of Service for Critical Nodes in Ad-Hoc Networks 2478
Christian Bravo, Sonia Aïssa and André Girard

QoS Provisioning Using BER-Based Routing in Ad Hoc Wireless Networks 2483
N. Wisitpongphan, G. Ferrari, S. Panichpapiboon, J. S. Parikh and O. K. Tonguz

End-to-End QoS Routing in Physically Hierarchical Wireless Ad-Hoc Networks 2488
Kang-Yong Lee, Jin-Bum Hwang and Jeong-dong Ryoo

Evaluation of the BRuIT Protocol 2493
Claude Chaudet and Isabelle Guérin Lassous

Ad Hoc Network Routing

A Scalable Routing Protocol for Ad Hoc Networks 2498
Huaizhi Li and Mukesh Singhal

Unidirectional Ad Hoc Routing with Efficient Route Reconstruction Using Relay Control of Route Requests 2504
Hiroaki Morino, Takumi Miyoshi and Masakatsu Ogawa

Cooperative Routing Strategies in Ad Hoc Networks 2509
Xie Fang, Tian Hui, Ping Zhang and Ning Yang

A Look-Ahead Unicast Routing Algorithm in MANETs 2513
Yang Qin

A Multicast Routing Algorithm Using Movement Prediction for Mobile Ad Hoc Networks 2518
Huei-Wen Ferng, Hsing-Yu Chen, Jeng-Ji Huang and Wen-Yan Kao

A Novel Routing Paradigm for Mobile Ad Hoc Networks: Multihop Hello Guided Routing (MHGR) 2523
Kenichi Mase, Shingo Kameyama, Sota Yoshida, Masato Goto and Takashi Hasegawa

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Sensor Networks

Improving Routing in Sensor Networks with Heterogeneous Sensor Nodes 2528
Xiaojiang Du and Fengjing Lin

Swarm Intelligence Based Surveillance Protocol in Sensor Network with Mobile Supervisors 2533
H. Yang, F. Ye and B. Sikdar

Directed Diffusion Light: Low Overhead Data Dissemination in Wireless Sensor Networks 2538
Alessia Marcucci, Michele Nati, Chiara Petrioli and Andrea Vitaletti

Low-Energy Localized Clustering: An Adaptive Cluster Radius Configuration Scheme for Topology Control in Wireless Sensor Networks 2546
Joongheon Kim, Sunhyoung Kim, Dongshin Kim, Wonjun Lee and Eunkyo Kim

Multihop Localization with Density and Path Length Awareness in Non-Uniform Wireless Sensor Networks 2551
Sau Yee Wong, Joo Ghee Lim, S. V. Rao and Winston K. G. Seah

Novel Decision-Fusion Algorithms for Target Tracking Using Ad Hoc Networks 2556
Nicolás Fariña, Joaquín Míguez and Mónica F. Bugallo

Mobile Networks Posters

CF-MAC and H-MAC Protocols for Energy Saving in Wireless Ad Hoc Networks 2560
G. Boggia, P. Camarda, O. Fiume and L. A. Grieco

Performance Analysis of Temporally Ordered Routing Algorithm Based on IEEE 802.11a 2565
Erik Weiss, Guido R. Hiertz and Bangnan Xu

The EUREKA GANDALF Project: Monitoring and Self-Tuning Techniques for Heterogeneous Radio Access Networks 2570
P. Stuckmann, Z. Altman, H. Dubreil, A. Ortega, R. Barco, M. Toril, M. Fernandez, M. Barry, S. McGrath, Geoff Blyth, Puneet Saidha and Lars Moltsen Nielsen

Flow-Based Fast Handover Performance Analysis in Mobile IPv6 for Linux Environment 2575
Jani Puttonen, Henri Suutarinen, Timo Ylönen, Ari Viinikainen, Miska Sulander and Timo Hämäläinen

Fast Route Recovery Methods for Cellular IP Access Network 2580
Jaeki Lee, Yongi Kim and Hwang Soo Lee

Performance Evaluation of Directional MAC Protocol for Inter-Vehicle Communication 2585
Mohan Sadashivaiah, Ranga Makanaboyina, Bipin George and Ramya Raghavendra

Stealth Optimized Fisheye State Routing in Mobile Ad-Hoc Networks Using Directional Antennas 2590
António Grilo, Mário Macedo, Pedro Sebastião and Mário Nunes

GREEN: A Grid-Based Energy Efficient Probabilistic Routing in Wireless Sensor Networks 2597
Yu Ge, Qinhe Yin, Seng Kee Tan, Qi Yao, Boon Sain Yeo and Winston K. G. Seah

Energy and Delay Analysis of Wireless Networks with ARQ 2601
Shih Yu Chang, Achilleas Anastasopoulos and Wayne E. Stark

An Analysis of Connectivity in a MANET of Autonomous Cooperative Mobile Agents Under the Rayleigh Fading Channel 2606
Choong Hock Mar and Winston K. G. Seah

Fuzzy Logic Routing with Load-Balancing Using a Realistic Mobility Model 2611
Susan Rea and Dirk Pesch

An FDD and TDD Coexistence Scheme for Imbalanced Traffic Compensation 2616
Kuninori Osaki, Daisuke Minamihira, Hiroshi Furukawa and Yoshihiko Akaiwa

Satellite Networks

Satellite Physical Layer Issues

One-Step Code-Phase Tracking Method for Long-Code Navigation Systems 2620
Eugenio Delfino, Marius Sirbu and Visa Koivunen

CN_0 Estimation and Near-Far Mitigation for GNSS Indoor Receivers 2624
Gustavo López-Risueño and Gonzalo Seco-Granados

Carrier to Noise Power Estimation for Enhanced Sensitivity Galileo/GPS Receivers 2629
Andreas Schmid and André Neubauer

High Altitude Platform's Instability Effect on Co-Channel Interference Levels when Sharing the V Band with Terrestrial Services 2634
Vasilis Milas, Maria Koletta, Demosthenes Vouyioukas, Demetris Dres and Philip Constantinou

Cell Radius & Guard Band Requirements by Mutual Interference Investigation Between Satellite Digital Multimedia Broadcasting Systems Using Gap-Filler 2638
In Suk Cha, Sung Ho Park and KyungHi Chang

The Effect of Correlated Shadowing on Power Control Error in Satellite CDMA Systems 2643
Ozgur Ekici and Abbas Yongacoglu

Satellite System Aspects and Protocols

Hybrid Location Estimation and Tracking System for Mobile Devices 2648
Chao-Lin Chen and Kai-Ten Feng

Buffer Control Strategies for the Transmission of TCP Flows Over Geostationary Satellite Links Using Proxy-Based Architectures 2653
Nicola Baldo, Andrea Odorizzi and Michele Rossi

Performance Evaluation of Scalable TCP and HighSpeed TCP Over Geostationary Satellite Links 2658
Giovanni Giambene and Daniele Miorandi

Performance Evaluation of Conference Creation Signalling Over Satellite UMTS 2663
Victor Y. H. Kueh, Ning Wang and Barry Evans

SatNEx: A Network of Excellence Providing Training in Satellite Communications 2668
Ray E. Sheriff, Y. Fun Hu, Pauline M. L. Chan, Michel Bousquet, Giovanni E. Corazza, Anton Donner, Alessandro Vanelli-Coralli and Markus Werner

High Altitude Platforms (HAPs) W-CDMA System Over Cities 2673
Bazil Taha-Ahmed, Miguel Calvo-Ramón and Leandro de Haro-Ariet

---

Satellite Technologies

MPEG-4 Video Transmission Using Unequal Error Protection for Mobile Satellite Communications 2678
Huan-Bang Li and Shinichi Taira

Data-Aided Frequency Synchronization Under Interference Limited Conditions 2683
Joel Grotz, Bjorn Ottersten and Jens Krause

A Comparison of the Statistical Properties of the Land Mobile Satellite Channel at Ku, Ka and EHF Bands 2687
S. Scalise, M. A. Vázquez Castro, A. Jahn and H. Ernst

Satellite Networks Posters

ALOHA Versus Single Code Spread ALOHA for Satellite Systems 2692
D. Belay Zeleke and M. A. Vázquez Castro

Modulation Identification and Carrier Recovery System for Adaptive Modulation in Satellite Communications 2697
Kenta Umebayashi, Robert H. Morelos-Zaragoza and Ryuji Kohno

A Multilayered Architecture Supporting QoS for Multimedia Traffic Connections 2702
Pasquale Pace, Gianluca Aloi and Salvatore Marano

Determination of the Coordination Area for Mobile Earth Stations Operating with Geostationary Space Stations in the Frequency Bands Shared with the Terrestrial Services.: 2707
Maria Koletta, Vasilis Milas and Philip Constantinou

Analysis of Satellite WCDMA Systems Applying Space-Time Codes with Imperfect Channel Estimation 2711
Byoung-Gi Kim, Sooyoung Kim and Do-Seob Ahn

Suboptimum Centralized Power Control for Aerial Platform Cellular Radio System 2716
Anggoro K. Widiawan and Rahim Tafazolli

Volume V

Mobile Applications

Mobile Applications 1

QoS-Based Optimal Buffering for Short Message Transfer in GPRS/UMTS Networks 2721
Jun Zheng and Emma Regentova

A Parallelized File-Transfer-Protocol for On-Board IP Networks 2726
Shaleeza Sohail, Salil S. Kanhere, Sanjay Jha, Adeel Baig and Muhammad Ali Malik

Energy-Efficient Caching Strategy Using Probability-Based Data Request for Mobile Environments 2731
Soo-Yong Jeon, Sun-Ho Lee and Dong-Ho Cho

Dependable Group-Oriented Mobile Transactions 2736
Upkar Varshney

Performance Evaluation of the Downlink CDMA Cellular System Supporting Integrated Voice/Data Traffic 2741
Jaime Pedro Abarca-Reyna and Domingo Lara-Rodríguez

An Adaptive History-Based and Topology-Independent Resource Reservation Scheme for Future Wireless Mobile Multimedia Networks 2746
Hai-Bo Guo and Geng-Sheng Kuo

Mobile Applications 2

Performance Analysis of Distributed Speech Recognition Over 802.11 Wireless Networks on the TIMIT Database ..2751
P. Demichelis, A. Rinotti and J. C. De Martin

A Framework for SIP-Based Wireless Medical Applications 2755
Abderrahmane Lakas and Khaled Shuaib

A Software Video Stabilization System for Automotive Oriented Applications...2760
A. Broggi, P. Grisleri, T. Graf and M. Meinecke

Mobile Information Systems Providing Estimated Time of Arrival for Public Transport Users.................................... 2765
Omer Rashid, Paul Coulton, Reuben Edwards, Andrew Fisher and Robert Thompson

End-to-End Application Performance Impact on Scheduler in CDMA-1XRTT Wireless System 2770
Bong Ho Kim, Insup Lee and Kelvin Chu

Drop Call Probability in Established Cellular Networks: From Data Analysis to Modelling 2775
G. Boggia, P. Camarda, A. D'Alconzo, A. De Biasi and M. Siviero

Context-Aware Services and Architectures

New Authentication Method for Mobile Centric Communications.. 2780
Hongyuan Chen and T. V. L. N Sivakumar

Enhancing Applicability of Context-Aware Systems Using Agent-Based Hybrid Inference Approach........................ 2785
Mohamed Khedr

Inter-Working and Integration of Messaging Services in a Heterogeneous Wireless Environment.............................. 2790
Shiao-Li Tsao, Jin Chang Chou and YuChing Hsu

Search Engine for Phonebook-Based Smart Phone Networks... 2795
Balázs Bakos, Lóránt Farkas and Jukka K. Nurminen

An Adaptive In-Vehicle Multimedia Recommender for Group Users 2800
Zhiwen Yu, Xingshe Zhou and Daqing Zhang

Decentralized Ubiquitous Networking Server for Context-Aware Seamless Services.. 2805
Masugi Inoue, Mikio Hasegawa and Hiroyuki Morikawa

Location and Tracking

Performance Evaluation of the Hierarchical Mobile IPv6 Approach in a WLAN Hotspot Scenario 2810
Norbert Jordan, Alexander Poropatich and Joachim Fabini

A New Position Location System Using ATSC TxID Signals... 2815
Xianbin Wang, Yiyan Wu and Jean-Yves Chouinard

Fast Hierarchical Searching Algorithm for Real Time Location Tracking with Maximum Likelihood Estimation....... 2820
Kumiko Matsumoto and Takeshi Hattori

A Novel Target Movement Model and Energy Efficient Target Tracking in Sensor Networks 2825
Wai-Leong Yeow, Chen-Khong Tham and Wai-Choong Wong

A Location Algorithm Based on Radio Propagation Modeling for Indoor Wireless Local Area Networks................... 2830
Chin-Liang Wang, Yih-Shyh Chiou and Sheng-Cheng Yeh

An Area Localization Scheme for Large Wireless Sensor Networks 2835
Qi Yao, Seng-Kee Tan, Yu Ge, Boon-Sain Yeo and Qinghe Yin

Mobile Applications Posters

An Optimized Adaptive Broadcast Scheme for Inter-Vehicle Communication... 2840
Hamada ALshaer and Eric Horlait

Rescuing Mobile Agent Data in Case of Blocking Attacks... 2845
Min-Hua Shao and Jianying Zhou

Lightweight Target Tracking Protocol Using Ad-Hoc Sensor Network.. 2850
Hua Yang and Biplab Sikdar

IGMP Proxy for Multicast Services in Wireless Mobile Networks.. 2855
Sun-Mi Jun, Chunglae Cho and Nam-Hoon Park

Supporting Context-Aware Mobile Service Adaptation with Scalable Context Discovery Platform 2859
Daqing Zhang, Chung-Yau Chin and Mohan Gurusamy

MAC-Level Partial Checksum for H.264 Video Transmission Over 802.11 Ad Hoc Wireless Networks 2864
E. Masala, M. Bottero and J. C. De Martin

Efficient Block Size Based Polling Scheme for IEEE 802.11e Wireless LANs 2869
Il-Gu Lee, Jung-Bo Son, Sung-Rok Yoon and Sin-Chong Park

Harnessing Location-Context for Content-Based Services in Vehicular Systems 2874
Vasudha Ramnath, Joo-Hwee Lim, Jean-Pierre Chevallet and Daqing Zhang

Internet Traffic Analysis and Optimization Over a Precommercial Live UMTS Network 2879
C. Gomez, M. Catalan, D. Viamonte, J. Paradells and A. Calveras

Measured Performance of Real Time Traffic Over IEEE 802.11b/g Infrastructured Networks 2885
Alessandro Bazzi, Marco Diolaiti and Gianni Pasolini

Performance of Speech Services in WCDMA Using Fixed-Beams and Transmit Diversity Systems 2890
Andrew Logothetis and Afif Osseiran

Digital Marketplace Security Requirements 2895
Alisdair McDiarmid and James Irvine

Transportation

Vehicular Communications

A Dynamic Real-Time Fleet Management System for Incident Handling in City Logistics 2900
Vasileios Zeimpekis, George M. Giaglis and Ioannis Minis

VGrid: Vehicular AdHoc Networking and Computing Grid for Intelligent Traffic Control 2905
Joey Anda, Jason LeBrun, Dipak Ghosal, Chen-Nee Chuah and Michael Zhang

A Rule Based Data Monitoring Middleware for Mobile Applications 2910
Guido Gehlen and Georgios Mavromatis

An Intelligent Sensor for ETC Ad Hoc Networks 2915
Tomoyuki Nagase, Takashi Araki, Shigeyuki Kitamura, Makoto Araki and Hisao Ono

A Radio Over Fiber Network Architecture for Road Vehicle Communication Systems 2920
Hong Bong Kim, Marc Emmelmann, Berthold Rathke and Adam Wolisz

IEEE 802.11 Performances for Inter-Vehicle Communication Networks 2925
Yacine Khaled, Bertrand Ducourthial and Mohamed Shawky

Vehicular Electronics

Novel Drive for Use in Electrical Vehicles 2930
Nejila Parspour

Optimization of a 42V/14V dc-dc Converter for Vehicular Electrical Network 2934
C. Larouci

Observation of Real Driving Behavior in Car-Following: Preliminary Results 2939
Taehyung Kim and David J. Lovell

System Architectures for Beyond 3G

Architecture and General Concepts

A Framework for Future Radio Access 2944
Erik Dahlman, Pål Frenger, Jiann-Ching Guey, Göran Klang, Reiner Ludwig, Michael Meyer, Niclas Wiberg and Kambiz Zangi

Deployment Strategies of Access Points for Outdoor Wireless Local Area Networks 2949
Jane-Hwa Huang, Li-Chun Wang and Chung-Ju Chang

Context Middleware for Adaptive Services in Heterogeneous Wireless Networks: Concepts, Approach and Work-in-Progress in the ACAS Project 2954
Carl-Gustaf Jansson, Martin Jonsson, Theo Kanter, Fredrik Kilander, Gerald Maguire and Li Wei

A Concept for Public Access to Privately Operated Cooperating Local Access Points 2959
Miguel Berg and Jan Markendahl

On Evaluating Beyond 3G Radio Access Networks: Architectures, Approaches and Tools 2964
J. Pérez-Romero, O. Sallent and R. Agustí

Ambient Networks: A Framework for Future Wireless Internetworking 2969
Norbert Niebert, Mikael Prytz, Andreas Schieder, Nick Papadoglou, Lars Eggert, Frank Pittmann and Christian Prehofer

Network and Deployment Issues

Making Migration Easy: A Key Requirement for Systems Beyond 3G 2974
Anne-Louise Burness, Philip Eardley, Nadeem Akhtar, María Ángeles Callejo and Jorge Andrés Colás

Affordable Infrastructure for Deploying WiMAX Systems: Mesh v. Non Mesh 2979
Vinoth Gunasekaran and Fotios C. Harmantzis

Shared Networks: More than Making Wireless Communication Affordable 2984
Gregory Smith and Claes Beckman

Cost Efficient Capacity Expansion Strategies Using Multi-Access Networks 2989
Klas Johansson and Anders Furuskär

Improving Fast Handovers for Mobile IPv6: Optimal Crossover Discovery Using Geopaging Routing Tables 2994
Rafael Vidal Ferré and Josep Paradells Aspas

Network Selection for One-to-Many Services in 3G-Broadcasting Cooperative Networks 2999
Luan Huang, Kar Ann Chew and Rahim Tafazolli

System Performance and Coding

Building a Secure and Extensible Protocol for Wired and Wireless Environments 3004
Ibrahim Hajjeh, Mohamad Badra and Ahmed Serhrouchni

Capacity Analysis of UWB Systems with Transmitter Power Constraints 3009
Romeo Giuliano and Franco Mazzenga

A Maximum-Likelihood Based Feedback Carrier Synchronizer for Turbo-Coded Systems 3014
Nele Noels, Heidi Steendam, Marc Moeneclaey and Herwig Bruneel

Bottom-Up Approach to Cross-Layer Design for Video Transmission Over Wireless Channels 3019
Lai-U Choi, Michel T. Ivrlac, Eckehard Steinbach and Josef A. Nossek

Precoding of Orthogonal Space-Time Block Codes Over Correlated Ricean MIMO Channels 3024
Are Hjørungnes and David Gesbert

A New Approach to Iterative Receiver Design Using Multi-Path Codes with Applications to Layered Space-Time Coded Systems 3029
Joseph Chueh, Yonghui Li and Branka Vucetic

CDMA Systems

Block-Iterative GDFE (BI-GDFE) for CP-CDMA and MC-CDMA 3033
Ying-Chang Liang

Aggressive Modulation/Coding Scheme Selection for Maximizing System Throughput in a Multi-Carrier System 3038
Anup Talukdar, Philippe Sartori, Mark Cudak, Brian Classon and Yufei Blankenship

Performance Evaluation of Carrier Interferometry Implementations of MC-CDMA Over a Wideband Channel Suffering Phase Noise 3043
N. Taylor, M. A. Cooper, S. M. D. Armour and J. P. McGeehan

Intercell Interference Investigation of MC-CDMA 3048
Franziskus Bauer, Erwin Hemming, Wolfgang Wilhelm and Mohsen Darianian

Advantages of Superimposed Packets Allocation for OFDM-CDM 3053
Alexander Arkhipov, Ronald Raulefs and Michael Schnell

On the Uplink Performance of Asynchronous LAS-CDMA 3058
H. Wei and L. Hanzo

OFDMA Systems

Low-Overhead Resource Allocation with Load Balancing in Multi-Cell OFDMA Systems 3063
Hojoong Kwon, Won-Ick Lee and Byeong Gi Lee

A Novel SNR Estimation Algorithm for OFDM 3068
Huilin Xu, Guo Wei and Jinkang Zhu

Modeling of OFDM-Based Systems with Frequency Offsets and Frequency Selective Fading Channels 3072
Wei Zhang and Jürgen Lindner

On the Capacity Comparison of Multi-User Access Techniques for Fourth Generation Cellular TDD OFDM-Based Systems 3077
P. Bisaglia, F. Boccardi, V. D'Amico, M. Moretti, B. Scanavino and D. Veronesi

Capacity Analysis Considering Channel Resource Overhead for Mobile Internet Access (WiBro) 3082
Rami Lee, Joungcheol Kim, Jaehwang Yu, Joosik Lee and Dongwoo Kim

On Subcarrier Allocation for Soft Hand-Over in OFDMA-Based Cellular Systems 3087
Jungwoo Lee, Chanhong Kim and Jaehyeong Kim

Multi-Hop Systems

Performance Evaluation of Route Coding Scheme in Wireless Multi-Hop Networks 3092
Hiraku Okada, Tadahiro Wada, Kouji Ohuchi, Masato Saito, Takaya Yamazato and Masaaki Katayama

A Novel Multi-Hop ARQ Concept 3097
Henning Wiemann, Michael Meyer, Reiner Ludwig and Chang Pae O

Interference-Aware IEEE 802.16 WiMax Mesh Networks 3102
Hung-Yu Wei, Samrat Ganguly, Rauf Izmailov and Zygmunt J. Haas

Effect of Intercell Interference on the SNIR of a Multihop Cellular Network 3107
Mark DeFaria and Elvino S. Sousa

Dynamic Frequency Hopping in Cellular Fixed Relay Networks 3112
Omer Mubarek, Halim Yanikomeroglu and Shalini Periyalwar

Quasi-Dedicated Access Scheme for Uplink Realtime Services in Future Wireless Communication Systems 3117
Taesoo Kwon and Dong-Ho Cho

MIMO Systems and Channel Characteristics

Optimal Processing of an Impulse Radio Signal Subjected to Narrow Band Interference 3122
Reza Pasand, Saeed Khalesehosseini and John Nielsen

A Robust Method for Estimating Multipath Channel Parameters in the Uplink of a DS-CDMA System 3127
Vassilis Kekatos, Athanasios A. Rontogiannis and Kostas Berberidis

An Interim Channel Model for Beyond-3G Systems: Extending the 3GPP Spatial Channel Model (SCM) 3132
Daniel S. Baum, Jan Hansen, Giovanni Del Galdo, Marko Milojevic, Jari Salo and Pekka Kyösti

A MIMO RAKE Receiver with Enhanced Interference Cancellation 3137
V. Jungnickel, H. Chen and V. Pohl

Performance of Multiple-Input Multiple-Output Wireless Communications Systems Using Distributed Antennas 3142
Xiao-Cong Chen, Wei Fang and Lie-Liang Yang

On the Estimation of the Degrees of Freedom of In-Door UWB Channel 3147
Rachid Saadane, Driss Aboutajdine, Aawatif Menouni Hayar and Raymond Knopp

Beyond 3G Posters

Space-Time Weighted Nonbinary Repeat-Accumulate Codes in Frequency-Selective MIMO Channels 3152
Kai Yen, Nenad Veselinovic and Tadashi Matsumoto

Recovering the Clipped OFDM Signal Based on the Conic Function 3157
Linjun Wu, Shihua Zhu and Xingle Feng

Group Ordered Iterative Soft Interference Cancellation for GSTBC SFH/MC DS-CDMA System 3161
Lingyun Cai, Haibin Zhang, Youyun Xu, Hanwen Luo and Wentao Song

An Infrastructure Cost Evaluation of Single- and Multi-Access Networks with Heterogeneous Traffic Density 3166
Anders Furuskär, Magnus Almgren and Klas Johansson

A New Technique for Improving Channel Estimation in Clipped OFDM System 3171
Yue Xiao, Shaoqian Li, Xia Lei and Youxi Tang

Impact of Partial Equalization on the Downlink Performance of Multi-Carrier CDMA Systems 3174
F. Zabini, A. Conti, B. M. Masini and O. Andrisano

Cost Analysis Issues in a Wireless Multihop Architecture with Fixed Relays 3178
Bogdan Timus

Cost-Based Resource Management in Hybrid Cellular-Broadcasting Systems 3183
Aurelian Bria

Adaptive MIMO Transmission Scheme: Exploiting the Spatial Selectivity of Wireless Channels 3188
Antonio Forenza, Ashish Pandharipande, Hojin Kim and Robert W. Heath Jr.

Capacity Analyses for a Generalized Distributed Antenna Architecture for Beyond 3G Systems 3193
Xiaofeng Tao, Chao Tang, Zuojun Dai, Xiaodong Xu, Baoling Liu and Ping Zhang

Advanced Planning Strategies for Wireless Networks in a B3G Reconfigurable Radio Context 3197
P. Demestichas, K. Tsagkaris, G. Dimitrakopoulos, A. Saatsakis, G. Vivier and J. Luo

One-Way Relay for Wireless Multihop Networks Associated with the Intermittent Periodic Transmit and the Spiral Mesh Routing 3202
Yukinori Higa and Hiroshi Furukawa

Author Index Volume I .... *follows page 714*
Volume II .... *follows page 1410*
Volume III .... *follows page 2110*
Volume IV .... *follows page 2720*
Volume V .... *follows page 3206*

Compact Feedback for MIMO-OFDM Systems over Frequency Selective Channels

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Abstract—**Transmit beamforming can improve the performance of multiple-input multiple-output (MIMO) antenna system. However, the feedback overhead of beamforming matrixes may significantly reduce the FDD system throughput. Efficient feedback techniques were reported in [2]-[10] recently. However, the complexities of them can be prohibitively high for systems with large numbers of transmit antennas (M_t) and spatial streams (M_s) since numerous large matrix codebooks of Grassman manifold packing G(M_t, M_s) [12] are required. In [14], it is shown that the beamforming matrix can be parameterized by independent unit vectors. This implies that quantizing the matrix jointly is equivalent to quantizing the vectors separately. First, we show that the distributions of the unit vectors are isotropic on unit spheres. Secondly, a low-complexity, scalable quantization scheme is derived. The key innovation lies in the quantization of the large dimension unit vectors. Each large dimension unit vector is partitioned into smaller dimension vectors and quantized by small size codebooks designed for low dimension unit vectors, and the partition itself is quantized by a 3-bit codebook. Finally, an interpolation scheme is proposed for beamforming matrixes downsampled in frequency domain, which significantly reduces overhead for MIMO-OFDM systems. The missing beamforming vectors are interpolated along the geodesic connecting two fed back vectors on a unit sphere. Simulations demonstrate that the overhead in 802.16d/e draft can be reduced by a factor of three using the proposed scheme.**

Keywords-MIMO;feedback;SVD;beamforming;interpolation

I. INTRODUCTION

The performance of MIMO systems can be improved by exploiting channel state information (CSI) at transmitter especially when the number of transmit antennas is greater than that of spatial streams. Transmit beamforming, adaptive bit loading, and antenna subset selection are common utilizations of the CSI. This paper focuses on the feedback for the optimal transmit beamforming, i.e. the SVD algorithm [1]. Since the CSI at transmitter may require feedback from the receiver, system throughput can be significantly reduced for time varying channels. Efficient feedback schemes were recently proposed in both academia and IEEE standard groups [2]-[10]. In [7] and [8], a quantization method of 2×2 beamforming matrix is proposed, which parameterizes the matrix by two angles and uniformly quantizes them. In [2] and [3], $M_t \times M_s$ beamforming matrix is quantized by a matrix codebook using various precoding criteria, where M_t and M_s are the numbers of transmit antennas and spatial streams respectively. The matrix codebook is optimized through Grassmannian subspace packing. The schemes in [2]-[10] except [4] require dedicated matrix codebooks for each $M_t \times M_s$ configuration and this may not be desired for large MIMO systems with many options of M_t and M_s. In [4], a general parameterization of any unitary beamforming matrix is derived, where the extracted parameters are independent angles and are obtained through a sequence of Givens rotations. The original matrix quantization of large size can be converted into the quantization of the parameters of small sizes.

For MIMO-OFDM system, two feedback techniques are reported in [9] and [5] respectively, which exploits the coherence between adjacent tones. Frequency domain downsampling and interpolation of the beamforming matrixes are proposed in [9]. Instead of downsampling, the difference between two beamforming matrixes on adjacent tones is quantized in [5] using a parametric codebook proposed in [6].

Following [14], we derive compact feedback schemes for MIMO-OFDM systems. First, we recursively parameterize and quantize the beamforming matrix column by column. The output parameters of each column are a unit vector, whose size reduces by one after each iteration. Secondly, we show that the distributions of the unit vectors are isotropic on unit spheres of various dimensions. Thirdly, since the direct quantization of the unit vectors of large dimensions requires large codebooks and thus incurs memory and computational complexities, a low-complexity quantization scheme is derived. Each large dimension unit vector is partitioned into smaller dimension vectors and quantized by small codebooks designed for smaller dimension unit vectors, and the partition itself is indexed by a 3-bit codebook with little performance degradation. Finally, an interpolation scheme is proposed for beamforming matrixes downsampled in frequency domain. The missing beamforming vectors are interpolated along the geodesic connecting two fed back vectors on a unit sphere. Simulations verify that the overhead in 802.16d/e draft can be reduced by a factor of three.

0-7803-8887-9/05/$20.00 (c)2005 IEEE

II. SYSTEM OVERVIEW

We consider a MIMO-OFDM system with M_t transmit and M_r receive antennas sending M_s spatial streams on N_f subcarriers. The MIMO channel with uncorrelated antennas for the f-th subcarrier is modeled by a matrix $\mathbf{H} \in \mathrm{C}^{M_r \times M_t}$ [1], whose entry $\mathbf{H}_{i,j} \sim \mathrm{CN}(0,1)$ [2] for all i and j. The index of subcarrier is omitted in expression in section II and III for simplicity. The received signal vector for the f-th subcarrier is

$$\mathbf{r} = \mathbf{H}\hat{\mathbf{V}}\mathbf{d} + \mathbf{n}, \qquad (1)$$

where $\mathbf{d}$ is a vector containing M_s data symbols one for each spatial stream; $\mathbf{n} \sim \mathrm{CN}(\mathbf{0}, \sigma^2\mathbf{I})$ is the complex i.i.d. AWGN vector; $\hat{\mathbf{V}}$ is a M_t by M_s beamforming matrix. The transmit beamforming algorithm at the transmitter is the SVD algorithm [1]. The beamforming are conducted as follows. The transmitter first sounds the channel and the receiver computes singular value decomposition of the channel matrix $\mathbf{H}$ as $\mathbf{H} = \mathbf{U}\,\mathbf{\Sigma}\,\mathbf{V}^H$. The first M_s columns of the unitary matrix $\mathbf{V}$ are quantized and the quantization indexes are fed back to the transmitter. Finally, the transmitter reconstructs the beamforming matrix $\mathbf{V}$ from the feedback indexes and performs transmit beamforming.

A recursive quantization and its corresponding reconstruction of the beamforming matrix $\mathbf{V}$ are illustrated in **Figure** 1 and **Figure** 2, where $M_s = 3$ and $M_t = 4$.

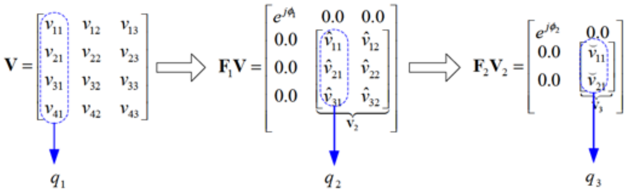

Figure 1. Recursive quantization of beamforming matrix.

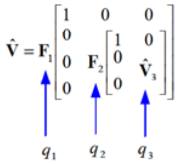

Figure 2. Recursive reconstruction of the beamforming matrix in Figure 1.

In **Figure 1**, the first column of $\mathbf{V}$, $\mathbf{v}_1$, is quantized by a vector codebook and the quantization index q_1 is fed back to the transmitter. A Householder reflection matrix is computed using the quantized vector, $\hat{\mathbf{v}}_1$, as

$$\mathbf{F}_1 = \mathbf{I} - \frac{2}{\|\mathbf{w}_1\|^2}\mathbf{w}_1\mathbf{w}_1^H, \qquad (2)$$

where $\mathbf{w}_1 = \hat{\mathbf{v}}_1 e^{-j\varphi_1} - \mathbf{e}_1, \varphi_1 = \arg(\hat{\mathbf{v}}_1(1))$ and $\mathbf{e}_1 = [1,0,\ldots,0]^T$. Householder transformation on $\mathbf{V}$, i.e. $\mathbf{F}_1\mathbf{V}$, sets all the entries in the first column except the first to zero. Since $\mathbf{F}_1\mathbf{V}$ is unitary, the transformation also sets all entries in the first row to zero except the first. Due to quantization errors, these entries will not be exactly zero. The quantization and transformation comprise the first iteration. After the first iteration, the size of $\mathbf{V}$ reduces by one row and one column, and we repeat the iteration on the remaining matrix $\mathbf{V}_2$ that is obtained by striking out the first column and row of $\mathbf{F}_1\mathbf{V}$. The reconstruction of $\mathbf{V}$ at the transmitter using the fed back indexes q_i is shown in **Figure 2**. The reconstructed matrix $\hat{\mathbf{V}}$ can differ from $\hat{\mathbf{V}}$ by a global phase ϕ_i on each column. The quantization and feedback of these phases are not needed for narrow band systems, while they usually benefit interpolation of $\hat{\mathbf{V}}$ in frequency domain for MIMO-OFDM. An interpolation scheme that doesn't require these phases is depicted in section IV.

The original beamforming matrix $\mathbf{V}$ and the remaining matrixes $\mathbf{V}_i$ in iterations are isotropically distributed in the Stiefel Manifold V_{M_t-k,M_s-k} respectively, where k is the iteration steps. [14]. Using further results from [13], [2] and [4], we can show (see appendix I)

1) *The vectors for quantization, i.e. the first columns of* $\mathbf{V}$ *and* $\mathbf{V}_i$ *are isotropically distributed on the complex unit spheres.*

2) *The vector for quantization and its corresponding remaining matrix are independently distributed.*

3) *When channel correlation only exists in the receiver end, the above conclusion also apply.*

Instead of designing matrix codebooks, these imply that we can design codebooks for unit vectors with dimensions $2,\cdots,M_t$, whose codewords are uniformly distributed on unit spheres of dimensions $2,\cdots,M_t$. Furthermore, the sizes of the vector codebooks can be optimized jointly using criteria in [4]. These codebooks are sufficient to quantize beamforming matrix with up to M_t transmit antennas and various numbers of spatial streams. The substitution of matrix quantization with vector quantization reduces the complexities significantly; however, the quantization complexity of unit vectors of very large dimensions is still prohibitive. A low complexity scheme is proposed next.

III. QUANTIZATION OF LARGE DIMENSION UNIT VECTOR

Each large dimension unit vector is partitioned into two lower dimension vectors and quantized by small codebooks designed for low dimension unit vectors, and the partition itself is indexed by a small codebook, where two or three bits suffice. Any unit vector $\mathbf{u}$ can be written as

---

[1] $\mathbf{H} \in \mathrm{C}^{M \times N}$ denotes that $\mathbf{H}$ is an M by N complex matrix.

[2] $\mathbf{H}_{i,j} \sim \mathrm{CN}(0,1)$ denotes that entry on i-th row and j-th column of matrix $\mathbf{H}$ is a complex Gaussian random variable with zero mean and unit variance.

$$\mathbf{u}=\left[\underbrace{u_1 \quad \cdots \quad u_{m_1}}_{\cos\theta\mathbf{u}_1} \quad \underbrace{u_{m_1+1} \quad \cdots \quad u_m}_{\sin\theta\mathbf{u}_2}\right]^T, \tag{3}$$

where $0 \le \theta \le \pi/2$ and $\|\mathbf{u}_1\| = \|\mathbf{u}_2\| = 1$. It can be shown that unit vectors $\mathbf{u}_1$ and $\mathbf{u}_2$ are isotropically distributed on complex unit spheres of dimensions m_1 and $m - m_1$ respectively if $\mathbf{u}$ is isotropically distributed. Therefore, $\mathbf{u}_1$ and $\mathbf{u}_2$ can be quantized using isotropic vector codebooks initially designed for small antenna arrays. Denote the quantized unit vectors of $\mathbf{u}_1$ and $\mathbf{u}_2$ as $\hat{\mathbf{u}}_1$ and $\hat{\mathbf{u}}_2$. The global phase difference between $\mathbf{u}_i$ and $\hat{\mathbf{u}}_i$, for $i = 1,2$, is computed as

$$\varphi_i = \mathrm{phase}\left(\hat{\mathbf{u}}_i^H \mathbf{u}_i\right). \tag{4}$$

Define $\varphi = \varphi_2 - \varphi_1$. We design a 3-bit codebook for each pair of (m, m_1), which jointly quantizes (θ, φ). The analytical distribution of (θ, φ) is derived (see appendix II)

$$\rho_{m,m_1}(\theta) = \frac{2(\cos\theta)^{2m_1-1}(\sin\theta)^{2m-2m_1-1}}{\Gamma(m-m_1)\Gamma(m_1)/\Gamma(m)}$$

The θ and φ are independent and φ is uniform in $[0, 2\pi)$. Below we show the distribution for m=5, m_1=2.

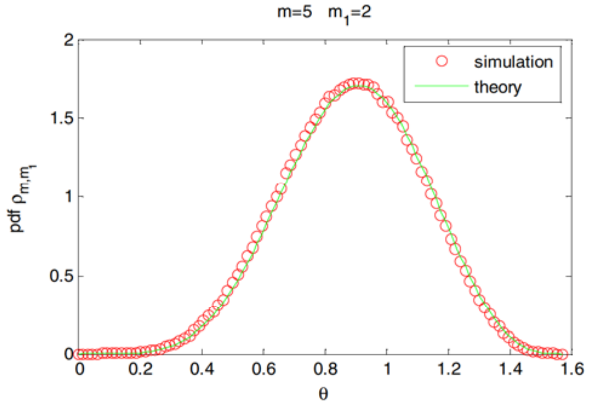

Figure 3 PDF of the θ distribution.

From the distribution, we find the optimal 3 bit codebook for the partition of a m vector into m_1 and $m - m_1$ sub-vectors, where (m, m_1) are (8,4), (7,3), (6,3) and (5,2). The reconstruction of $\mathbf{u}$ at the transmitter is

$$\hat{\mathbf{u}} = \begin{bmatrix} \cos\hat{\theta}\ \hat{\mathbf{u}}_1 \\ e^{j\hat{\varphi}} \sin\hat{\theta}\ \hat{\mathbf{u}}_2 \end{bmatrix}, \tag{5}$$

where the variable with hat notation is the quantized version of the original without hat.

For very large dimension, the partition can be carried out recursively. For example, a 12 dimension vector codebook can be constructed by 4 dimension vector codebook and (12,4) and (8,4) partition indexes.

IV. INTERPOLATION OF BEAMFORMING MATRIXES

The beamforming matrixes for adjacent OFDM subcarriers are usually correlated, the receiver can feed back every N_d subcarriers in order to reduce overhead, where $N_d > 1$. Since the global phases ϕ_is in **Figure 1** are not fed back, this creates a phase ambiguity during the interpolation at the transmitter. An example for a real 2×2 channel is illustrated in **Figure 4**, where $\mathbf{v}_1(f)$ and $\tilde{\mathbf{v}}_1(f)$, $f = 1,2,3$, are the correct and reconstructed beamforming vectors for the first eigenmode on subcarriers 1,2,3 respectively. We assume feedbacks are only conducted on subcarriers 1 and 3, i.e. $N_d = 2$, and interpolation is required for subcarrier 2. Because of the phase ambiguity $\tilde{\mathbf{v}}_1(3)$ is 180^o from $\mathbf{v}_1(3)$ and this won't affect the beamforming performance on subcarrier 3. However, the interpolated $\tilde{\mathbf{v}}_1(2)$ is 90^o from $\mathbf{v}_1(2)$ and it then directs little energy into the first eigenmode.

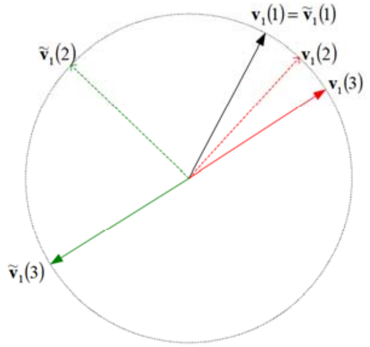

Figure 4. Illustration of interpolation error.

To remove the phase ambiguity, we use the reconstructed vector for the previous feedback subcarrier as reference to correct the global phase of the reconstructed vector of the current subcarrier as follows.

$$\hat{\mathbf{v}}_i(f) = \hat{\mathbf{v}}_i(f)\,\frac{\hat{\mathbf{v}}_i^H(f)\hat{\mathbf{v}}_i(f-2)}{\left\|\hat{\mathbf{v}}_i^H(f)\hat{\mathbf{v}}_i(f-2)\right\|} \tag{6}$$

where $\hat{\mathbf{v}}_i(f)$ can be either the *i*-th column of the beamforming matrix $\mathbf{V}$ or the reconstructed unit vector used in the Householder reconstruction in **Figure 2**. The phase corrected vectors of two adjacent feedback subcarriers are then interpolated along the geodesic connecting them on the unit sphere.

V. SIMULATIONS

We verify the proposed schemes by simulations using IEEE 802.16d modulations and ITU-R pedestrian channel model B. The packet size is 288 bytes, which is defined as a short test packet length in 802.16d standard. The OFDM subcarrier spacing is 11 kHz and bandwidth is 2.5 MHz. Packet error rate (PER) vs. signal to noise ratio (SNR) curves are plotted.

The performances of 4×2 with 2 spatial streams are shown in **Figure 5**. "16d draft" is the feedback scheme defined in 802.16d draft standard, which takes 40 bit per subcarrier. Its performance is within 0.2 dB to that with perfect channel information at the transmitter. "Grass-MSE" is the scheme in [2] with MSE criterion and a codebook downloaded from http://dynamo.ecn.purdue.edu/~djlove/grass.html, which takes 7 bits per subcarrier and within 0.9 dB to the ideal. "House" is for the proposed recursive scheme, where a 4 bit and 3 bit codebooks for 4 and 3 dimensions are used. "Grass-MSE" is better than the proposed scheme by 0.2 dB at cost of high complexities: "Grass-MSE" performs 2^7=128 searches to quantize the 4x2 beam forming matrix. "House" only searches 2^4+2^3=24 times. The performance loss is because "Grass-MSE" employs a better quantization criterion. This is verified by "House-MSE", which employs the same codebooks as "House" and the same MSE matrix selection criterion as "Grass-MSE". "House-MSE" outperforms "Grass-MSE" by 0.1 dB. The efficiency of the proposed interpolation scheme is verified by "House 13/9 b/t" and "House 13 b/t". The first one feeds back 13 bit per matrix and one matrix every 9 subcarrier, while the second one feeds back one matrix every subcarrier. There is almost no performance loss due to the downsampling, and both performances are very close to "16d draft", whose overhead is greater by more than 3 times than no downsampling and 28 times than downsampling. All the closed-loop 4×2 systems outperform 2×2 open loop system by more than 4 dB at PER 10%. This is supporting evidence for having more transmit antennae than the number of spatial streams.

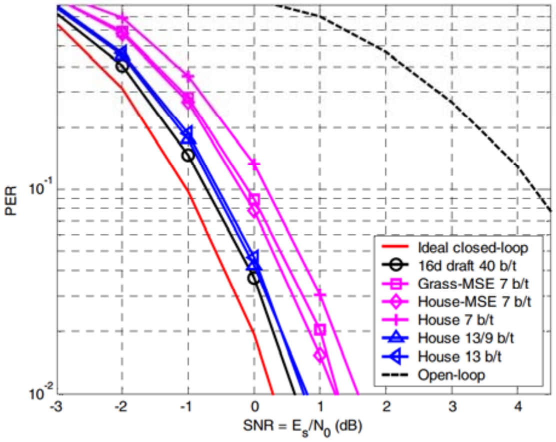

Figure 5. PER vs. SNR for 4×2 MIMO-OFDM with 2 spatial streams, BPSK, code rate ½.

The performances of 8×4 with 4 spatial streams are shown in **Figure 6**. For this configuration, the quantization complexity is prohibitive for schemes using matrix codebooks. We employ the partition technique in section III to reduce the quantization complexity of 8-, 7-, 6-, and 5-unit vectors. We start with a 7,6,5 bits codebook for 4-,3-,2-unit vector respectively. Larger dimension vector codebook construction parameters are listed in **Table 1**: For example, 8 dimension unit vector codebook is constructed by joining two 4 dimension vector codebooks of 7 bits each. The partition (8,4) is indexed by 3 bit. The total size of the 8 dimension vector codebook comes up to 7+7+3=17 bits.

m			codebook size	partition codebook	total
8	$m-m_1$	4	7	3	17
	m_1	4	7		
7	$m-m_1$	4	7	3	16
	m_1	3	6		
6	$m-m_1$	3	6	3	15
	m_1	3	6		
5	$m-m_1$	3	6	3	14
	m_1	2	5		
8x4 matrix codebook					62

Table 1 parameters of 8x4 matrix codebook

We then use the technique outline in session II to construct 62 bit 8x4 matrix codebook from 8-, 7-, 6- and 5-d unit vector codebook. The efficiency of the interpolation scheme is again verified by two "House" curves, whose performances are slightly better than that of "16d draft" and within 0.3 dB of the ideal. The overhead reduction is 23 and 2.6 times with and without downsampling respectively. All the closed-loop 8×4 systems outperform open loop 4×4 system by more than 10 dB at PER 10%. Quantization complexity of this 62 bit codebook is very low, only

$$2^7+2^7+2^7+2^6+2^6+2^6+2^6+2^5+4\times 2^3=704$$

searches are needed. This highlights the most valuable aspect of the systematic construction of large size codebooks. The memory space to store codebooks is also minimized.

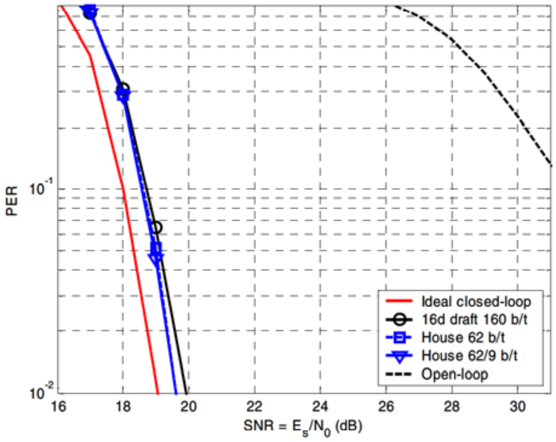

Figure 6. PER vs. SNR for 8×4 MIMO-OFDM with 4 spatial streams, 64 QAM, code rate ¾.

VI. CONCLUSIONS

We proposed a low-complexity, scalable approach for the quantization of beamforming matrix with flexible numbers of transmit antennas and spatial streams. Since the codeword searching is based on vector instead of matrix, the computational complexity of the proposed scheme is much lower than most of those schemes reported in literature. Furthermore, a low complexity method for the quantization of large vector is derived, which partitions a large vector into two small sub-vectors and quantizes them separately. Finally, a downsampling and interpolation scheme is also proposed for MIMO-OFDM systems, and no global phase is needed to be fed back. The feedback overhead is reduced with almost no performance degradation by exploiting the coherence between OFDM subcarriers.

ACKNOWLEDGMENT

The authors would like to thank Ada Y. Poon and Minnie Ho for helpful suggestions and discussions.

APPENDIX I

The probability density of a matrix $\mathbf{H} \in \mathsf{C}^{M_r \times M_t}$, whose entry $\mathbf{H}_{i,j} \sim \mathsf{CN}(0,1)$ for all i and j, is

$$\exp(-\|H\|_F) \bigwedge_{i=1}^{M_r} \bigwedge_{j=1}^{M_t} dH_{i,j}$$

Where $\| \ \|_F$ denotes the Frobenius norm. Now let's consider HQ, where Q is an arbitrary $n \times n$ unitary matrix. The probability density of HQ is preserved since

$$\|HQ\|_F = \|H\|_F \text{ and } \bigwedge_{i=1}^{M_r} \bigwedge_{j=1}^{M_t} d(HQ)_{i,j} = \bigwedge_{i=1}^{M_r} \bigwedge_{j=1}^{M_t} d(H)_{i,j} .$$

Therefore, the SVD of $H = U\Sigma V^H$ and $HQ = U\Sigma(QV)^H$ shows that the probability density of V and QV are equal. So we demonstrate that the probability density is uniform. By applying Householder reflection (unitary matrix) recursively, we can show the uniformity of V_i as well.

With channel correlation at the receiver end only, we can write the channel matrix as $\sqrt{R}H$ [15]. The above proof applies too.

APPENDIX II

We start with the real m dimension volume integral

$$A = \int dx_1 dx_2 \ldots dx_m = \int f_m x^{m-1} dx \qquad \text{(A1)}$$

Where $f_m = 2\pi^{m/2} / \Gamma(m/2)$ and Γ is gamma function. We partition the m dimensional space into m_1 and $m-m_1$ dimensions, then

$$A = \int dy_1 \ldots dy_{m_1} \int dw_1 \ldots dw_{m-m_1}$$

$$= f_{m_1} f_{m-m_1} \int y^{m_1-1} w^{m-m_1-1} dy dw$$

If we rewrite $y = x\cos\theta$, $w = x\sin\theta$, and use $dydw = xdxd\theta$, we arrive at the following

$$A = f_{m_1} f_{m-m_1} \int x^{m-1} dx \int (\cos\theta)^{m_1-1} (\sin\theta)^{m-m_1-1} d\theta \quad \text{(A2)}$$

Combined with equation A1, we get the density distribution of the θ

$$\rho^r{}_{m,m_1}(\theta) = \frac{2\Gamma(m/2)(\cos\theta)^{m_1-1}(\sin\theta)^{m-m_1-1}}{\Gamma((m-m_1)/2)\Gamma(m_1/2)} \qquad \text{(A3)}$$

In m dimension complex space, we have

$$\int dz_1 dz_2 \ldots dz_m = \int f(2m) z^{2m-1} dz$$

And by the same argument, we obtain the density distribution of the θ

$$\rho^c{}_{m,m_1}(\theta) = \frac{2\Gamma(m)(\cos\theta)^{2m_1-1}(\sin\theta)^{2m-2m_1-1}}{\Gamma(m-m_1)\Gamma(m_1)} \qquad \text{(A4)}$$

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