IMPLEMENTATION AND PERFORMANCE ANALYSIS OF LONG TERM EVOLUTION USING SOFTWARE DEFINED RADIO

Kedar Bhusal
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IMPLEMENTATION AND PERFORMANCE ANALYSIS OF LONG TERM EVOLUTION

USING SOFTWARE DEFINED RADIO

by

KEDAR BHUSAL

A thesis submitted in partial fulfillment of the requirements for the degree of Master of Science in Electrical Engineering
Department of Electrical Engineering

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The University of Texas at Tyler
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List of Terms

1G  First Generation.
2G  Second Generation.
3G  Third Generation.
3GPP Third Generation Partnership Project.
4G  Fourth Generation.

ADC  Analog To Digital Converter.
AFRL  Air Force Rome Labs.
AMPS  Advanced Mobile Phone Systems.
BER  Bit Error Rate.
BPSK  Binary Phase Shift Keying.

C-CDF Complementary Cumulative Distribution Function.
CDF  Cumulative Distribution Function.
CDMA  Code Division Multiple Access.
COTS  Commercial Off-The-Shelf.
CP  Cyclic Prefix.
CRC  Cyclic Redundancy Check.
DAC  Digital To Analog Converter.
DARPA  Defense Advanced Research Projects Agency.
DFDMA Distributed Frequency Division Multiple Access.
DFT Discrete Fourier Transform.
DMR Digital Modular Radio.
DSP Digital Signal Processing.
EDGE Enhanced Data GSM Environment.
EPS Evolved Packet System.
EV-DO Evolution Data Optimized.
FDD Frequency Division Duplex.
FDMA Frequency Division Multiple Access.
FFT Fast Fourier Transform.
FM Frequency Modulation.
G Generation.
GPRS General Packet Radio Service.
GRC GNU Radio Companion.
GSM Global System Mobile.
GUI Graphical User Interface.
HR Hardware Radio.
HRPD High Rate Packet Data.
HSCSD High Speed Circuit Switched Data.
HSPA High-Speed Packet Access.
ICI Inter Channel Interference.
IDFT  Inverse Discrete Fourier Transform.
IEEE  Institute Of Electrical And Electronics Engineers.
IFDMA  Interleaved Frequency Division Multiple Access.
IFFT  Inverse Fast Fourier Transform.
IMT  International Mobile Telecommunications.
IS  Interim Standard.
ISI  Inter Symbol Interference.
ISR  Ideal Software Radio.
ITU  International Telecommunication Union.
LB  Long Block.
LFDMA  Localized Frequency Division Multiple Access.
LTE  Long Term Evolution.
NMT  Nordic Mobile Telephone System.
NTT  Nippon Telephone And Telegraph Company.
OFDM  Orthogonal Frequency Division Multiplexing.
OFDMA  Orthogonal Frequency Division Multiple Access.
OOT  Out Of Tree.
P/S  Parallel To Serial.
PAPR  Peak To Average Power Ratio.
PDC  Pacific Digital Cellular.
PSK  Phase Shift Keying.
QA Codes  Quality Assurance Codes.
QAM  Quadrature Amplitude Modulation.
QPSK  Quadrature Phase Shift Keying.

R8  Release 8.

R&D  Research And Development.

RB  Resource Blocks.

RE  Resource Elements.

RF  Radio Frequency.

RTT  Radio Transmission Technology.

S/P  Serial To Parallel.

SAE  System Architecture Evolution.

SB  Short Block.

SC-FDE  Single Carrier-Frequency Domain Equalizer.

SC-FDM  Single Carrier - Frequency Division Multiplexing.

SC-FDMA  Single Carrier - Frequency Division Multiple Access.

SCR  Software Controlled Radio.

SDR  Software Defined Radio.


SNR  Signal To Noise Ratio.

SWIG  Simplified Wrapper And Interface Generator.

TD-SCDMA  Time Division Synchronous Code Division Multiple Access.

TDD  Time Division Duplex.

TDMA  Time Division Multiple Access.

UE  User Equipment.

UMTS  Universal Mobile Telecommunication System.
**USR** Ultimate Software Radio.

**WCDMA** Wideband Code Division Multiple Access.

**WIMAX** Worldwide Interoperability For Microwave Access.
Abstract

Implementation and Performance Analysis of Long Term Evolution using Software Defined Radio

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July 2017

The overwhelming changes in the field of communication brought about need for high data rates, which led to the development of a system known as Long Term Evolution (LTE). LTE made good use of Orthogonal Frequency Division Multiplexing Access (OFDMA) in its downlink and Single Carrier Frequency Division Multiplexing Access (SCFDMA) in its uplink transmission because of their robust performance. These multiple access techniques are the major focus of study in this thesis, with their implementation in the LTE system.

GNU Radio is a software Defined Radio (SDR) platform. It comprises of C++ signal processing libraries. For user simplicity, it has graphical user interface (GUI) known as GNU Radio Companion (GRC), to build a signal processing flow graph. GRC translates any specific task flow graph to a python program which calls in-built C++ signal processing blocks. By leveraging this feature and existing modules in GRC, OFDMA and SCFDMA is implemented. In this study we made use of existing OFDMA flow graph of GNU Radio to study the behavior of downlink and general performing SCFDMA system was implemented with some modifications of the existing GNU Radio blocks.

With the GNU Radio implementation, we tested the working mechanism of both the systems. OFDMA is used in downlink for achieving high spectral efficiency and
SCFDMA was introduced in uplink due to its low PAPR feature. These multiple access schemes have to meet the requirement of high throughput with low BER and PAPR, low delays and low complexity. In this thesis we are focused on evaluating these multiple access techniques in terms of BER and PAPR with modulation techniques like QPSK, 16-QAM and 64-QAM. Performance analysis part is performed in MATLAB.
Chapter One

Introduction

1.1 Introduction

Wireless communication has always been a topic of extensive research. This research has helped the field to grow exponentially in both applications and societal benefits. Due to better technologies it has also become affordable and reliable.

Wireless communication began when Marconi demonstrated the ability of radio to continuously communicate with sailing ships in 1897. Subsequently wireless communication has been rapidly adopted throughout the world. In 1946, the first American public mobile telephone service was introduced with high power transmitters and large towers covering a distance of 50km. Since then, mobile telephone service has seen enhancements in hardware and software and these have led to the development of modern telephony systems like 3G, UMTS and ultimately 4G/LTE [1].

1.2 Wireless communication fundamentals

Figure 1.1: Block Diagram of Communication System

Figure 1.1 shows a block diagram of communication system. Wireless communication provides a medium to transmit message from one place to another. The user in the source, sends the message from transmitter through the channel, to the receiver for the destination user. A channel can be defined as the path in which signal is transmitted from one place to another. In traditional wired communication systems, a channel is a guided medium or wire whereas in a wireless communication system
Figure 1.2: Multipath in wireless communication

A channel is unguided and uses electromagnetic waves to transmit messages. The performance of wireless communication depends on the channel. The effects of a channel and its realization is described in [2–5]. Unlike guided mediums, there are certain disturbances in wireless communication which make the problem challenging and interesting.

The path between the transmitter and receiver may vary in short span of time. It can change from direct line of sight to one that takes several different paths caused by obstruction such as buildings, trees or mountains. These disturbances are generally reflection, diffraction and scattering. Reflection of a signal occurs when the signal wave strikes a solid surface with size much longer than its wavelength, for example a solid wall. Diffraction occurs when the signal strikes on the edges and corners of a solid surfaces, like corners or edges of wall. When a signal travels through a channel containing objects whose dimension is smaller than its wavelength, the wave is scattered and the process is termed scattering. Reflection, diffraction and scattering result in multipath propagation as in Figure 1.2 which is further responsible for interference and fading. To be effective, wireless communication systems must be designed to overcome to both interference and fading.

1.2.1 Interference

One of the major wireless communication problems is interference, which is broadly defined as an unwanted modification of the signal as it traverses the path from the
base station to the user equipment (path referred to as the downlink channel) or from the user equipment to the base station (path referred to as the uplink channel). A major form of interference results from electromagnetic field scattering, reflection and refractions from building and other surrounding objects. This is known as multipath interference and it manifests itself as Inter Symbol Interference at the receiver. When the signal travels from multiple path, one of the signal at line of sight is received first and then other signals from reflected path with certain delays. These reflected signal affects the subsequent signal. This unwanted phenomena in wireless communication system is defined as Inter Symbol Interference.

1.2.2 Fading

Fading is a phenomenon in which a wireless channel experiences variation of channel strength over time and frequency. To understand the relation between channel and multipath fading, we need to understand few more concepts. When the User Equipment (UE) is moving there will be change in frequency, known as Doppler shift (or Doppler spread). In a multipath channel, the received signal is superposition of all the signal waves; direct from line of sight and other reflected waves. When the phase difference between received signals is an integer multiple of $2\pi$, signal adds constructively and if the phase difference is an odd integer multiple of $\pi$, signal add destructively degrading the quality [2].

It is also important to understand measures of signals coherence. Considering the time domain, the length of time that a channel’s impulse response is assumed to be constant is termed coherence time. It can also be defined as the time in which the channel interference changes from constructive to destructive or vice versa. Considering the frequency domain, the bandwidth in which a channel’s impulse response is assumed to be constant is defined as coherence bandwidth. Considering the spatial domain, the distance between the transmitter and receiver in which the channel remains same is known as coherence distance. At receiver there is certain delay in receiving these signals. The difference between the time delays along two signal path is called delay spread which is the reciprocal of coherence bandwidth.

A wireless communication channel’s coherence time classifies the channel as either fast or slow fading. If the coherence time is much shorter than the delay requirement, the channel is called a fast fading channel and if the coherence time is longer than the delay requirement, the channel is called a slow fading channel.

A wireless communication channel’s coherence bandwidth classifies the channel as either flat fading or frequency selective fading. The channel is said to be flat fading,
if the bandwidth of input signal is much smaller than the coherence bandwidth of the channel. A channel is said to be frequency selective fading, if input signal bandwidth is much larger than the coherence bandwidth.

1.3 Evolution of Wireless Communication

The cellular wireless generation (G) is a term used to keep track of the development of transmission technology that incorporates all the changes in its nature of service, non-backward compatibility and introduction of newer frequency bands. Its evolution is commonly referred to as 1G, 2G, 3G and 4G, with each generation spanning roughly a decade. Each generation had different features, addressing different issues, following different evolutionary paths to achieve the unified goal of achieving high efficiency and performance [1].

1.3.1 First Generation (1G)

The first generation (1G) used analog communication techniques (analog FM or FDMA/FDD) typically for speech services. In 1979, Nippon Telephone and Telegraph Company (NTT) implemented world’s first the cellular system in Japan that used 600 FM duplex channels (23kHz for each one-way link) in the 800MHz band. In 1981, the Nordic mobile telephone system (NMT 450) introduced the cellular mobile services in Europe for 450MHz band and used 25kHz channels. In 1983, AMPS became the first cellular telephone system to start services in the US with 666 duplex channels with 40MHz of spectrum in the 800MHz band. These systems were highly inefficient in terms of frequency spectrum usage as the individual cells were large and provided low capacity and the mobile devices were large and expensive.

1.3.2 Second Generation (2G)

Introduced in the early 1990s, the second generation standards used digital modulation formats and TDMA/FDD and CDMA/FDD multiple access techniques. The most popular standards include:

(i) Global System mobile (GSM) - Used TDMA standard; supported 8-time slotted users for each 200kHz radio channel; popular in Europe, Asia, Australia, South America and some parts of US.
(ii) Interim Standard 136 (IS-136) - Used TDMA standard; supported 3 time slotted users for each 30kHz radio channel; popular in North America, south America and Australia.

(iii) Pacific Digital Cellular(PDC)- A Japanese TDMA standard; similar to IS-136.

(iv) Interim Standard 95 Code Division Multiple Access (IS-95 or cdmaOne)-Used CDMA standard; supported up to 64 users that are orthogonally coded and simultaneously transmitted on each 1.25MHz channel; popular in North America, Korea, Japan, China, South America and Australia.

While 2G offered higher spectrum-efficiency, better data services and advanced roaming as compared to the 1G, it still could not support substantial data transmission and speed. As a result, 2.5G devices were built by introducing the core network’s packet switched domain and by modifying the air interface so that it could handle both data and voice [6]. These provided upgrade options for each of the 2G standards: 3 for GSM (HSCSD, GPRS and EDGE) two of which also supported IS-136 and PDC (GPRS and EDGE) and 1 for IS-95(IS-95B).

1.3.3 Third Generation (3G)

In 3G systems, the air interface included extra optimization that were targeted at data applications, which increased the average rate at which user could upload or download information. The popular 3G technologies can be listed as:

(i) Universal Mobile Telecommunication System (UMTS): Most popular 3G system is the UTMS, that was developed originally from GSM by completely changing the technology used on the air interface while keeping the core network almost unchanged and which went on to use the technology of high-speed packet access (HSPA) for enhanced data application. The UTMS air-interface had two implementations: Wideband code division multiple access (WCDMA) And Time Division synchronous code division multiple access (TD-SCDMA). WCDMA segregates the transmissions from base station and mobiles by means of frequency division duplex, while TD-SCDMA uses time division duplex. WCDMA uses a wide bandwidth of 5MHz and TD-SCDMA uses 1.6MHz only.

(ii) CDMA2000 1x radio transmission technology (1xRTT): CDMA2000 (1xRTT) was developed from IS-95 originally that was further upgraded to cdma2000 high-rate packet data(HRPD) or evolution data optimized(EV-DO), that used similar techniques as HSPA.
Worldwide Interoperability for Microwave Access (WiMAX): WiMAX was developed by IEEE under IEEE standard 802.16 and different from other 3G systems. In 2004, Third Generation Partnership Project (3GPP) began to study into long term evolution of UMTS by modifying its architecture that resulted in the LTE systems.

1.3.4 Fourth Generation (4G)

The International Telecommunication Union (ITU) published a set of requirements for 4G under the name of International Mobile Telecommunications (IMT)-Advanced that specifies that the peak data rate of compatible system should be at least 600Mbps on the downlink and 270Mbps on the uplink, in the bandwidth of 40MHz. Two systems met these requirements namely: LTE-Advanced and WiMAX 2.0. Although, LTE and WiMAX 1.0 were both much advanced than other 3G systems, these were considered as 3.9G due to the ITU guidelines. However, ITU later started accepting these as a part of the 4G systems.

1.4 Motivation

In mobile communication, LTE is the latest technology to provide connectivity and advanced services [7]. LTE achieves higher peak data rates up to 50 Mbps in uplink and 100 Mbps in downlink with scalable bandwidth and better spectral efficiency. All of this is achieved with using OFDMA for the downlink and SCFDMA for the uplink.

Another important development in the field of communication is Software Defined Radio (SDR). As a result of rapid adoption and growth, operators upgrade their hardware with every generation of wireless communication. In many cases, these upgrades require complete modification of the existing devices. This is costly and constraints researchers, service providers and end-users. To address this limitation, the concept of Software Defined Radio [8] was introduced, which reduces the need of hardware replacement for each upgrade, which made it more affordable. Merely changing the source is sufficient for and upgrade. As a result, SDR seems to have a promising future in the field of wireless communication.

SDR has gained popularity in recent years and has been used as very efficient and cost-effective means of studying several wireless technologies. It has allowed researchers to implement wireless systems with greater flexibility and freedom [9]. By combining LTE and SDR technologies, we can analyze the performance of both
OFDMA and SCFDMA in terms of the key metrics PAPR and BER. PAPR is defined as the ratio of peak signal power to the average signal power and BER is used to assess the quality of the received signal.

The study of PAPR is important as it has an impact on the overall power efficiency of the system. It is also required to design RF transmitter power as power amplifier at transmitter should be operated within the range of linearity to ensure the removal/reduction of quantization noise.

BER, a measure of the quality of the received signal, is expressed in terms of Signal to Noise Ratio (SNR) which is the ratio of signal power to the noise power in the frequency range of operation. Generally, higher SNR values result in lower BER and the system performance is said to be better. Therefore, study of BER is used in wireless communication system to determine the likelihood of receiving correct data.

SDR provides us with the toolkit to analyze these data over various constraints; it lets us manipulate various parameters to study the behavior of any system. SDR will be handy even as we move to 5G.

1.5 Organization of Thesis

This thesis use GNU Radio to study performance of a simulated LTE system. Chapter 2 provides background on the LTE (Long Term Evolution) system of wireless communication. In Chapter 3, we introduce software defined radio (SDR), outline its benefits and cover some modern implementations. In Chapter 4, we discuss one implementation of software defined radio: GNU Radio, which is the major platform for this research. In Chapter 5, we implement an LTE uplink and downlink system and measure the performance of a data transmission system. The performance metrics are probability of error at a given bit rate (BER) and the Signal-to-Noise Ratio (SNR). Despite all of its advantages, OFDMA it is said to have high PAPR which is overcome by SCFDMA. Accordingly, we investigate the BER performance of OFDMA and SCFDMA systems as well we will compare the PAPR between these two systems used in LTE. Finally, in Chapter 6, we conclude and present ideas for future work.
Chapter Two

Long Term Evolution (LTE)

2.1 Overview

Officially known as evolved packed system (EPS), LTE is a colloquial term used for the system with two parts namely: system architecture evolution (SAE) and long term evolution (LTE). SAE covered the core network whereas the LTE covered the radio access network, air interface and mobile [2]. The Third Generation Partnership Project (3GPP) produced specifications for LTE and is also responsible for management of its successive versions and releases, as shown in Figure 2.1, which ensured system compatibility and added functionality.

The 3GPP requirements LTE, dealing with air interface, specifies that it has to deliver peak data rates of 100Mbps and 50Mbps respectively in downlink and uplink. Also, it has to deal with the latency, for voice related applications. The time taken for data to reach user equipment from fixed transmitter should be less than 5ms, provided that the air interface is not congested. Mobile phones can operate either in active mode or stand by mode and the switching time from standby state to active state after user intervention should be less than 100ms. In addition to LTE, 3GPP specifies SAE as a IP-based architecture which is required to support IP version 4, IP version 6 or dual stack IPV4/IPV6. The main component of SAE is Evolved Packet Core (EPC). EPC provide users always on connectivity by setting up a basic IP connection as long as it is on in the network. EPC is responsible for controlling the data rate, error rate and the data stream delays. Also, it is responsible for handover between LTE and earlier 2G and 3G technologies.

LTE has demonstrated its importance as a versatile technology that meets the requirement set by 3GPP. LTE can be deployed in flexible carrier bandwidths from 1.4MHz up to 20MHz. LTE also support different modes of operation, Time Division Duplex (TDD) or Frequency Division Duplex (FDD). LTE has been able to provide
better, faster service to users whereas flexibility and efficiency of LTE has established itself as a choice to network operators.

2.2 LTE Downlink

LTE or the E-UTRAN (Evolved Universal Terrestrial Access Network), introduced in 3GPP R8, is the access part of EPS. The main advantage of an LTE network is high spectral efficiency, high peak data rates, short round trip time as well as flexibility in frequency and bandwidth. LTE downlink is based on OFDMA (Orthogonal Frequency Division Multiple Access). OFDMA in combination with higher order modulation (up to 64QAM), large bandwidths (up to 20MHz) and spatial multiplexing in the downlink (up to 4x4) is able to achieve high data rates. The highest theoretical peak data rate on the transport channel is 75 Mbps in the uplink, and in the downlink, using spatial multiplexing, the rate can be as high as 300 Mbps. For the uplink SCFDMA (Single Carrier Frequency Division Multiple Access) also known as DFT (Discrete Fourier Transform) spread OFDMA is used [10]. SCFDMA has inherited most of the OFDMA features and additionally overcomes the major drawback of OFDMA to obtain a low PAPR. SCFDMA is preferred in uplink due to low PAPR which secures low power consumption in the user devices.

LTE transmission on downlink is based on OFDM as it can transmit data with large number of parallel, narrowband subcarriers along with the property of being resilient to the slowly fading channel. The transmitted symbols are based on time-
Table 2.1: LTE Downlink Configuration

<table>
<thead>
<tr>
<th>Transmission Bandwidth (MHz)</th>
<th>1.25</th>
<th>2.5</th>
<th>5</th>
<th>10</th>
<th>15</th>
<th>20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slot duration ms</td>
<td>0.5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-Carrier spacing (kHz)</td>
<td>15</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of RBs</td>
<td>6</td>
<td>12</td>
<td>25</td>
<td>50</td>
<td>75</td>
<td>100</td>
</tr>
<tr>
<td>FFT Size</td>
<td>128</td>
<td>256</td>
<td>512</td>
<td>1024</td>
<td>1536</td>
<td>2048</td>
</tr>
<tr>
<td>Number of occupied subcarriers</td>
<td>72</td>
<td>180</td>
<td>300</td>
<td>600</td>
<td>900</td>
<td>1200</td>
</tr>
</tbody>
</table>

Figure 2.2: LTE downlink physical resource based on OFDM [11]

frequency grid. Resource Element (RE) is one modulation symbol on one subcarrier, which are combined to Resource Blocks (RBs) that are composed of twelve consecutive subcarriers and six or seven OFDM symbols as illustrated in Figure 2.2. The number of OFDM symbols depends on the length of Cyclic Prefix (CP) i.e. normal or extended. The LTE downlink configuration based on bandwidth and RBs are shown in Table 2.1.

Figure 2.3 shows an LTE transmission frame. The duration of each frame is 10ms that is composed of ten sub-frames. These sub-frames include two slots with each of six or seven OFDM symbols depending on the length of cyclic prefix (normal or extended). If we assume normal CP mode, then each slot will have seven OFDM symbols and each sub-frame will have 14 OFDM symbols which sums up to 140 OFDM symbols in a frame. The total number of subcarriers is dependent on the
available bandwidth as listed in Table 2.1 which was taken from [12]. As explained, all the LTE downlink systems are based on OFDM, we will further explain OFDM transmission and reception.

2.3 Orthogonal Frequency Division Multiplexing (OFDM)

OFDM is a multicarrier modulation technique commonly used in communication systems that require high data rates. This is due to its robustness in multipath propagation. OFDM is a parallel transmission scheme, where a high-rate serial data stream is split into a set of low-rate sub streams, each of which are modulated on a separate subcarrier. The bandwidth of the sub-carriers becomes small compared with the coherence bandwidth of the channel; that is, the individual sub-carriers experience flat fading, which allows for simple equalization. This implies that the symbol period of the sub streams is long when compared to the delay spread of the radio channel. By selecting a set of carrier frequencies that are orthogonal, high spectral efficiency is obtained because the spectra of the sub-carriers overlap, while mutual influence among the sub-carriers can be avoided by introducing a guard period known by cyclic prefix [13]. Figure 2.4 shows the block diagram of OFDMA. In OFDM transmission first a sequence of QAM or PSK symbols with a symbol time are converted from serial to parallel. Each of N symbols from serial to parallel conversion is carried out by different sub-carrier. Let \( X_i[k] \) denote the \( i^{th} \) transmitted symbol at \( k^{th} \) subcarrier where \( i \in \mathbb{Z}^+ \) and \( k \in \{0, 1, 2, \ldots, N-1\} \). As the symbols are converted from serial
to parallel the transmission time for $N$ symbols is extended such that $T_{\text{sym}} = NT_s$, where $T_{\text{sym}}$ is the length of a single OFDM symbol. Let $\psi_{i,k}(t)$ denote the $i^{th}$ OFDM signal at the $k^{th}$ subcarrier, then,

\[
\psi_{i,k}(t) = \begin{cases} 
    e^{j2\pi f_k(t - iT_{\text{sym}})} & 0 < t \leq T_{\text{sym}} \\
    0 & \text{elsewhere}
\end{cases} \quad (2.1)
\]

The passband and baseband OFDM signal in continuous time domain can be expressed as

\[
x_1(t) = \text{Re} \left\{ \frac{1}{T_{\text{sym}}} \sum_{i=0}^{\infty} \sum_{k=0}^{N-1} X_i[k] \psi_{i,k}(t) \right\} \quad (2.2)
\]

and

\[
x_1(t) = \sum_{i=0}^{\infty} \sum_{k=0}^{N-1} X_i[k] e^{j2\pi f_k(t - T_{\text{sym}})} \quad (2.3)
\]

When the continuous time based OFDM signal in equation (2.3) is sampled at $t = iT_{\text{sym}} + nT_s$ with $f_k = \frac{k}{T_{\text{sym}}}$, the results will be

\[
x_1[n] = \sum_{k=0}^{N-1} X_i[k] e^{j2\pi kn/N} \quad (2.4)
\]

for $n \in \{0, 1, \ldots, N - 1\}$.

Now, consider the received baseband OFDM symbol as,

\[
y_i(t) = \sum_{k=0}^{N-1} X_i[k] e^{j2\pi f_k(t - iT_{\text{sym}})} , iT_{\text{sym}} < t \leq iT_{\text{sym}} + nT_s \quad (2.5)
\]

Two signals are defined to be orthogonal if the integral of their product over their fundamental period is zero [14]. Using this feature of OFDM symbol $X_i[k]$ can be
reconstructed as follows:

\[ Y_i[k] = \frac{1}{T_{sym}} \int_{-\infty}^{\infty} y_i(t)e^{-j2\pi kf_k(t-iT_{sym})} \, dt \]

\[ = \frac{1}{T_{sym}} \int_{-\infty}^{\infty} \left\{ \sum_{m=0}^{N-1} X_i[m]e^{j2\pi f_m(t-iT_{sym})} \right\} e^{-j2\pi kf_k(t-iT_{sym})} \, dt \]

\[ = \sum_{m=0}^{N-1} X_i[m] \left\{ \frac{1}{T_{sym}} \int_{0}^{T_{sym}} e^{j2\pi (f_m-f_k)(t-iT_{sym})} \right\} = X_i[k] \]

In the above realization, the effects of channel and noise are not considered. Let \( \{y_i[n]\}_{n=0}^{N-1} \) be the sample values of the received OFDM \( y_i(t) \) at \( t = iT_{sym} + nT_s \). Then, following the steps as in (2.6),

\[ Y_i[k] = \sum_{n=0}^{N-1} y_i[n]e^{-j2\pi kn/N} \]

\[ = \sum_{n=0}^{N-1} \left\{ \frac{1}{N} \sum_{m=0}^{N-1} X_i[m]e^{j2\pi mn/N} \right\} e^{-j2\pi kn/N} \]

\[ = \frac{1}{N} \sum_{n=0}^{N-1} \sum_{m=0}^{N-1} X_i[m]e^{j2\pi (m-k)n/N} = X_i[k] \]

Equation (2.4) is the N-point inverse Discrete Fourier Transform (IDFT) and (2.7) gives the Discrete Fourier Transform (DFT). The DFT correlates each input signal with the set of orthogonal sinusoids. If the input signal has some energy at a certain frequency \( k \), it will be reflected at the correlation of the input signal and this frequency, that is, in the value of spectrum for frequency. It means that the DFT converts the time domain representation of the signal to the frequency domain. Whereas, the IDFT converts signal spectrum, that is, frequency domain signal representation to the time domain [15].

Thus, the OFDM system can be explained as such: modulated signal is passed to serial-to-parallel converter which is input (frequency domain) for the IFFT block that converts it to time domain blocks of symbols \( X[n] \). These symbols are transmitted over the channel. At receiver the time domain symbol is passed through the FFT block which transforms to frequency domain and \( Y[k] \) is obtained after parallel-serial processing. If the channel is noiseless the \( Y[k] \) coincides with \( X[k] \). Figure 2.5 shows the OFDM system. But in wireless communication the presence of multipath channel introduces ISI and ICI. When the received OFDM symbol is distorted by the previously transmitted symbol, then the interference is known as ISI. Another interference ICI occurs in such a way that the sub carrier may lose their orthogonality.
To overcome this problem, a guard interval of length $T_g > T_c$ is added at the beginning of each symbol where $T > T_c$ is the channel time. The guard period (Cyclic Prefix) is generated by duplicating the last $T_g$ length of the symbol as shown in figure Figure 2.6.

### 2.4 LTE Uplink

In LTE uplink, transmission power consumption in UE terminals is a major concern. Despite all the benefits of OFDM, the high PAPR limits its use in uplink transmission. SC-FDM, a modified version of OFDM is introduced in uplink. It has similar throughput performance and complexity as in OFDM along with an advantage of low PAPR [16]. Similar to downlink, uplink transmissions are segmented into frames. Each frame consists of two sub frames which is further divided into two slots of 0.5ms length. These slot contains 7 SCFDM symbols with normal CP. The generic frame structure for SC-FDMA is shown in Figure 2.7 and the generic slot structure with normal cyclic prefix is shown in Figure 2.8 [17]. The LTE uplink configuration is shown in Table 2.2.
Figure 2.7: Uplink (SCFDMA) frame structure

Figure 2.8: SCFDMA slot structure

Table 2.2: LTE Uplink Parameters for SC-FDMA Transmission

<table>
<thead>
<tr>
<th>Transmission Bandwidth (MHz)</th>
<th>Slot duration (ms)</th>
<th>CP duration (ms/no. of subcarriers)</th>
<th>Long Block (LB) size</th>
<th>Short Block (SB) size</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.25</td>
<td>3.65/7 or 7.81/15</td>
<td>ms</td>
<td>ms</td>
</tr>
<tr>
<td></td>
<td>2.5</td>
<td>3.65/7 or 7.81/15</td>
<td>Occupied Subcarriers</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>3.65/7 or 7.81/15</td>
<td>FFT</td>
<td></td>
</tr>
<tr>
<td></td>
<td>10</td>
<td>3.65/7 or 7.81/15</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>15</td>
<td>3.65/7 or 7.81/15</td>
<td>75 150 300 600 900 1200</td>
<td></td>
</tr>
<tr>
<td></td>
<td>20</td>
<td>3.65/7 or 7.81/15</td>
<td>128 256 512 1024 1536 2048</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>66.67</td>
<td>33.33</td>
</tr>
</tbody>
</table>

FFT 64 128 256 512 1024
2.5 Single Carrier Frequency Division Multiplexing Access

SCFDMA is a multiple access technique that is built over OFDM modulation with addition of a new DFT block before subcarrier mapping. A typical OFDM system uses a large number of subcarriers contributing to a high PAPR, a major factor that led to the development of SCFDMA, in which the overall transmit signal is a single signal, which results in a low PAPR. SCFDMA is an extension of Single Carrier, Frequency Domain Equalizer (SC-FDE) system that provides low PAPR due to single carrier modulation at the transmitter, robustness to spectral null, lower sensitivity to carrier frequency offset, and lower complexity at the transmitter which benefit the mobile terminal in cellular uplink communications [18].

In SCFDMA, as in the block diagram shown in Figure 2.9, time domain data symbols are transformed to frequency domain by DFT before going through OFDMA modulation [18]. So, the only difference of SCFDMA from OFDM is the DFT block because of which it is also known as DFT-OFDM. The transmitter of SCFDMA modulated symbols are grouped into blocks each containing \( N \) symbols. These symbols are transformed into frequency domain by performing \( N \)-point DFT. Each of the outputs obtained from \( N \)-point DFT are mapped to one of the \( M(M > N) \) orthogonal sub carriers. \( M \)-point IDFT is performed to convert to a time domain signal. Let \( Q \) be the maximum number of users that can transmit without any co-channel interference then the output block size is given by \( M = QN \). The transmitted then adds CP to prevent the signal from interference.

At the receiver side, the reverse operations is performed. First, CP is removed and the signal is transformed into frequency domain by performing \( M \)-point DFT. After subcarrier de-mapping the equalized symbols are transformed back into the time domain with \( N \)-point IDFT after which decoding and detection occurs to get the transmitted signal.
In SCFDMA the transmission of subcarriers can be carried out in two ways; localized subcarrier mapping (referred to as Localized (L) - FDMA) and distributed subcarrier mapping (referred to as Distributed (D) - FDMA). In the LFDMA mode, the consecutive subcarriers are occupied by the DFT outputs of the input data and in DFDMA mode, DFT outputs are distributed in subcarriers over the entire bandwidth with zeroes assigned to the unused subcarriers. Interleaved FDMA (IFDMA) is a special case of SCFDMA in DFDMA mode where the subcarriers are at equidistant and without using DFT and IDFT, the transmitter can modulate the signal strictly in the time domain, which makes it very efficient [19]. Figure 2.10 shows an SCFDMA transmitter with localized and distribute subcarrier mapping and Figure 2.11 shows the concept of subcarrier mapping in the frequency domain with an example of 3 users, 12 subcarriers, and 4 subcarriers per user.
Figure 2.11: Subcarrier allocation methods for multiple users (3 users, 12 subcarriers, and 4 subcarriers per user)
Chapter Three

Software Defined Radio Background

3.1 Introduction

The term “Software Radio” was first coined by E-systems (now Raytheon) in a company newsletter in 1984. Then in 1991, DARPA’S SPEAKEasy became the first military program that required its physical layer components to be implemented in software. However, it was in 1992 that the very first paper on Software Radio was published at IEEE National Telesystems Conference by Joseph Mitola. His paper “Software Radio: Survey, Critical Analysis and Future Directions”, was so well received that he is often referred to as the Godfather of Software Radio and is credited to have coined the term “Software radio” despite the term being used by E-systems previously for a prototype of a receiver [20].

Wireless innovation forum defined SDR as “Radio in which some or all, of the physical layer functions are software defined” [21]. In brief ITU has defined SDR as “A radio transmitter and/or receiver employing a technology that allows the RF operating parameters including, but not limited to, frequency range, modulation type, or output power to be set or altered by software, excluding changes to operating parameters which occur during the normal pre-installed and predetermined operation of a radio according to a system specification or standard” [22].

The SDR Forum, currently known by Wireless Innovation Forum, a non-profit corporation that has been set up for development, deployment and use of open architectures for advanced wireless systems, have also developed a 5 tier definition of SDR [23] which are summarized in Table 3.1 below.

3.2 Evolution of SDR

SDR as we know today is convergence of various contemporary technologies that were developed independently adding up to become one of the most remarkable break-
### Table 3.1: SDR Forum tier definitions

<table>
<thead>
<tr>
<th>Tier</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Hardware Radio (HR)</td>
<td>Baseline radio with fixed functionality</td>
</tr>
<tr>
<td>1</td>
<td>Software-controlled radio (SCR)</td>
<td>The radio’s signal path is implemented using application-specific hardware, i.e., the signal path is essentially fixed. A software interface may allow certain parameters, e.g., transmit power, frequency, etc., to be changed in software.</td>
</tr>
<tr>
<td>2</td>
<td>Software defined radio (SDR)</td>
<td>Much of the waveform, e.g., frequency, modulation/demodulation, security, etc., is performed in software. Thus, the signal path can, with reason, be reconfigured in software without requiring any hardware modifications. For the foreseeable future, the frequency bands supported may be constrained by the RF front-end.</td>
</tr>
<tr>
<td>3</td>
<td>Ideal software radio (ISR)</td>
<td>Compared to a 'standard' SDR, an ISR implements much more of the signal path in the digital domain. Ultimately, programmability extends to the entire system with analogue/digital conversion only at the antenna, speaker and microphones.</td>
</tr>
<tr>
<td>4</td>
<td>Ultimate software radio (USR)</td>
<td>The USR represents the 'blue-sky' vision of SDR. It accepts fully programmable traffic and control information, supports operation over a broad range of frequencies and can switch from one air-interface/application to another in milliseconds.</td>
</tr>
</tbody>
</table>

Throughs in the history of radio communication. The first major contribution was marked by development of Digital Signal Processing (DSP) techniques that basically helped conversion of analog signal processes to digital processes. Newer techniques were being developed within the DSP industry as well as separately by developers who were developing software tools to provide modeling of the complex algorithms. The Semiconductor industry also kept pace with these developments and provided with matched computational performance for radio modulation and demodulation to use digital signal processes. These developments caused exploration of various machine learning techniques to help improve machine behavior, which were all somehow helpful in evolution of the present day SDR. Furthermore, computer networking
techniques were being developed commercially which soon evolved to wireless networking. Hence, we arrived to the era of SDR, which served as platform for first adaptive radios then cognitive radios, all using digital signal processors and general purpose processors built in silicon [24].

SDR software defines the properties of carrier frequency, signal bandwidth, modulation, network access, cryptography, forward error correction coding and source coding of voice, video or data. It is highly versatile and cost effective general purpose device since the same radio tuner and processors can be used to implement many waveforms at many frequencies and can be easily upgraded with new software for new waveforms and new applications. However, in 1987, what is believed to be the first SDR device was built when Air Force Rome Labs (AFRL) funded the integrated communications, navigation, and identification architecture (ICNIA), a programmable modem, which was a single box that housed a collection of single purpose radios. Then in 1990 AFRL and Defense Advanced Research Projects Agency (DARPA) collectively funded the SPEAKeasy I and SPEAKeasy II programs were the next major events in the history of SDR.

SPEAKeasy I was heavily built radio that included a software programmable cryptography chip called Cypress, with software cryptography developed by Motorola. SPEAKeasy I demonstrated that a completely software programmable radio was in fact possible and made way for SPEAKeasy II. SPEAKeasy II was portable sized and gained popularity as the first SDR to include programmable voice coder, vocoder. It
was capable of handling different kinds of waveforms due to sufficient analog and DSP resources and was constructed using standardized commercial off-the-shelf (COTS) components which made it popular in defense equipment. SPEAKeasy II was so popular in the defense sector that it was used to create the US Navy’s digital modular radio (DMR). DMR was a four channel full duplex SDR which could be remotely controlled over Ethernet using Simple Network Management Protocol (SNMP). Both the SPEAKeasy II and DMR had their importance to demonstrate that it was possible to disintegrate the dependency of software on hardware components and vice versa and could be developed independently. The modern SDR comprises of very advance features capable of doing a great deal of computation. The SDR forum played a very critical role in overall development of the field. SDR forum was founded in 1996 by Wayne Bosner of AFRL to standardize SDR hardware and software for industries. It was also important in standardizing porting software across various hardware platforms, defining interfaces for multiple hardware vendors and facilitate integration of software components from multiple vendors.

3.3 Features of SDR

The ongoing research and developments on SDR has proved it to be largely useful. It seems to be widely applicable in various fields of communication because of its features. Some of the generalized features are listed below.

3.3.1 Flexibility

With increased performance in PCs several tasks could be performed simultaneously. This contributed in the progress of the SDR, making it more flexible, as all the parameters of the system are configured on software unlike the traditional hardware methods. It makes easier to use the similar hardware for different purpose by just changing the guiding software.

3.3.2 Reliability

All the operations are done in software. Once compiled, there are little chance of breakdown of software when compared to traditional hardware which makes the system reliable. In case of error, it can simply be fixed with the modification of inherent software.
3.3.3 Consistency and Stability of Parameters

Hardware and its performance are susceptible to the constraints such as weather condition and aging whereas SDR seems to be consistent, stable and unaffected to these constraints.

3.3.4 Upgradability

Upgrades are always possible with the changes or updates being in the software only, which is cheaper and less time consuming than the hardware upgrades.

3.3.5 Reusability

Reusability is inherent feature of SDRs. The software programs are highly compatible in similar hardware to perform similar operations, saving time and money.

3.3.6 Re-Configurability

The scope of tasks to be performed by SDR might differ with requirement of the users which might change at any time. This can be achieved by simple modification in software only which makes the system re-configurable.

3.3.7 Enhanced Functionality

With the control of software, it is much easier to provide an easy Graphical User Interface (GUI) to control and verify the performance of a system. For one, SDR platforms provide the functionality to incorporate newly introduced complex modulation modes, making way for future technologies to use it, when needed, for various aspects of design and development. All these features can be achieved using a general purpose computer which is cheaper and provides all the functionality required.

3.3.8 Lower Cost

Change of hardware components become unnecessary since all the changes are being carried out on software. The upgrades might also be less costly and latest technologies could be employed in low budget projects as well.
3.4 Uses/Benefits of SDR

Traditional hardware based radio with low flexibility and higher cost can be easily replaced with flexible, efficient and inexpensive SDR providing multiband, multimode, multicarrier and variable bandwidth characteristics. SDR provides the software control of variety of modulation making it usable on varieties of application. Its benefits can be classified for the following:

3.4.1 For Manufacturers

For manufacturers, research and development takes considerable time and effort. With reduced hardware, they can devote most of their resources to software development which is reusable and reconfigurable as required. This saves a lot of time and resources and can be done in a stepwise process by fixing bugs and proceeding to new steps. Once developed it is much easier to do a mass production. Even more, SDR helps them in providing after sales support as it can be done remotely thus reducing the time and maintenance cost.

3.4.2 For Network Operators/Radio Service Provider

The main advantage of SDR for operators is that, they can roll out their services within short period of time with reduced cost in logistics and implementation. Also, the radio parameters are software configurable which helps in rapid development and upgrades that are mainly advantageous over the costly base stations.

3.4.3 For User/Subscriber

End users can have two-way communication with whom they want and in any communication systems. Also, they can have the possibility to change the carrier and take advantage of worldwide mobility. Even the end user terminals can be reconfigured according to the needs. However, the usage can best also be summarized with the Figure 3.2 below.
Figure 3.2: Multidimensional Aspects of Software Defined Radio
Chapter Four

GNU Radio

4.1 Introduction

GNU Radio is an evolving open source development toolkit and is used for signal processing. It is a powerful SDR platform with many signal processing and general purpose blocks used in radio systems. Filters, decoders, modulators, encoders are some commonly used blocks in GNU. The GNU Radio applications use both the Python and C++, where each serve different purposes. GNU Radio applications are primarily written using the Python whereas C++ is used to create the complex signal processing blocks. The connection between these two different programming language is made possible with the use of SWIG (Simplified Wrapper and Interface Generator), an open source software which generates a 'glue code' that enables calling C++ functions from a Python programming language. Figure 4.1 gives a clear picture of organization of data flow on GNU Radio.

GNU Radio is based on flow graphs and blocks concept. Blocks are basic operation units that process continuous data streams and each block has a number of input and output ports. There are different types of blocks already available and a new block can also be created if required. The flow graphs are the composed of different blocks through which the data flows. It means different blocks are arranged and connected like a path of signal flow. These flow graphs can be written in either C++ or Python. Each of these flow graphs require one source and sink for successful execution.

4.2 GNU Radio Companion

GNU Radio Companion (GRC) is a GUI tool for creating signal flow graphs and generating flow-graph source code [25]. GRC makes it easier to use GNU Radio features with reduced programming but the degrees of freedom is certainly compromised when compared to programming. On the other hand, it provides some variable blocks that
can be used to pass variable values and also import some Python functions. GRC is bundled with GNU Radio source and uses Cheetah templates to generate the Python source code for the flow graph. It can generate source code for WX GUI, Qt and non-GUI flow graphs as well as hierarchical blocks. It can also extract documentation for gnu radio blocks from Doxygen-related XML files and also provides the definition for the blocks present on GNU Radio. GRC can create hierarchical blocks out of built-in blocks and even lets us perform actions like enable, disable, cut, paste etc. GRC comes to be handier as it can show the errors on the flow graphs before execution.

Figure 4.2 is the picture of the working area of the GNU Radio Companion. The big central area is for creating the flow graph and is known as workspace. On the side there are list of blocks, a library, that can be used to create a flow graph. On the top it has toolbar to perform the desired actions and in the bottom pane is the terminal, that shows the related messages that could be the output or any errors/warnings.

### 4.3 Components of GNU Radio Companion

Below are the components of GRC (GNU Radio Companion):

1. Flow Graph: GRC comprises of a scrollable window for creating an interconnection of signal processing blocks known as flow graph.

2. Signal Blocks: These are the signal processing blocks in the flow graph. They
appear as rectangular blocks in the GRC with individual labels (comprising of name and list of parameters) and can be a filter, an adder, a source or a sink.

3. Parameters: Parameters are the input to the function performed by the signal blocks. Displayed below the label, a parameter can be a sampling rate, gain or a flag.

4. Sockets: Each signal block has certain inputs and outputs associated with it that are known as sockets. They appear as small rectangle attached to the signal block and has a label that indicates its function.

5. Connections: An input socket and an output socket are joined using connections that are represented by a simple line between the sockets in the GRC. A connection needs to be made within same data types.

6. Variables: It is simply a value or a number that can be accessed by all the elements of the flow graph. These could be used to define the value of certain parameter or could be used as a range of values to be dynamically changed to observe certain characteristics while the flow graph is running.
Chapter Five

System Implementation and Performance Analysis

Previous chapters described the theory of LTE uplink and downlink and described GNU Radio as well. This chapter will be focused on the implementation in GNU Radio. Also, we compare performance between OFDMA and SCFDMA using measures BER and PAPR.

5.1 Implementation of OFDM

Figure 5.1 shows the flow graph of OFDMA implemented on GNU Radio. Various blocks are used to perform transmission and reception. All the blocks used in the flow graph are described in this chapter. File Source block reads raw data values in binary format from the specified file. File saved with randomly generated sequence of 0s and 1s using random source generator provided in GNU Radio is used as input to this source. There are several virtual sinks used to connect the flow graphs virtually. These blocks are handy to make the flow graph tidy. All other major blocks are explained as follows:

1. Stream to Tagged Stream: This built-in block of GNU Radio converts regular stream into a tagged stream. It adds length tags in regular intervals of stream.

2. Stream CRC32: The tagged stream of signal is passed to this block which generates and adds 4-byte Cyclic Redundancy Check (CRC) to the end of the data packets.

3. Protocol Formatter: This block is used to generate a packet header. The packet header contains packet length (12 bits), packet ID (12 bits) and 8 bit CRC at the end. Bits 0-11 gives the packet length, bits 12-23 indicates the header number and bits 24-31 is an 8-bit CRC.
4. Repack Bits: As the name suggests, this block repacks $k$ bit from input stream into $l$ bits of output stream where $k$ and $l$ can have values within [1,8]. In this thesis, the header bits are mapped using BPSK and payload bit are mapped using QPSK. So, this block converts every 1 bit into an integer from 0 to 1 is BPSK and every 2 bits into an integer from 0 to 3 in QPSK used for header and payload respectively.

5. Chunks to Symbol: This block maps a stream of unpacked symbols indexes to stream of float or complex points. For the header bits, the integer from 0 to 1 are mapped to BPSK symbol and for the payload bits, the integer from 0 to 3 are mapped to QPSK symbols.

6. Tagged Stream Mux: This built-in block is used to merge two inputs namely header bits and payload bits. Basically this block takes N streams of input with certain packet length tags and outputs a signal with new tag which is sum of all individual tags (of input stream).

7. OFDM Carrier Allocator: This block is used to create a frequency domain OFDM symbols which is input to the IFFT. This block also adds pilot symbols to each subcarrier. Also, two synchronization words for timing synchronization and frequency offset estimation are added in this block.

8. FFT: With this block FFT operation is performed to change the symbols from time domain to frequency domain and vice versa. If reverse FFT (IFFT) is performed, then the frequency domain signal is transformed to time domain and if forward FFT is performed then the time domain symbols are transformed into frequency domain symbols.

9. OFDM Cyclic Prefixer: This block adds CP to the symbol. The length of CP is defined as quarter of FFT length (which is equal to the number of subcarriers).

10. Schmidl&Cox OFDM Synchronization: This is built in block in GNU Radio based on theory defined in [26] used for signal synchronization and frequency correction. In order to detect the start symbol of a packet transmitted, this block relies on the frame equalizer which calculates the timing metric, determines the start of the packet and informs next block with a trigger.

11. Header/Payload Demux: This block plays major role in receiver end of OFDM system. It plays vital role in detecting header stream and payload stream.
Based on the trigger from Schmidl&Cox OFDM Synch block it will first detect the outer header format. Then it will use the parsed outer header information to detect the payload data.

12. OFDM Channel Estimation: This block is used to estimate frequency offset and channel taps. The output of this block is a data symbol without synchronization words which are send to other blocks by tags.

13. OFDM Frame Equalizer: This block performs equalization on a tagged OFDM frame. One connected in the flow of header stream equalizes the outer header stream and passes symbols to serializer while the other one connected to the payload stream flow graph does the task of separating the packet corresponding to the respective subcarriers. After this block, OFDM symbols are equalized and frequency corrected.

14. OFDM Serializer: This block is used to convert parallel stream of data to serial.

15. Packet Header Parser: This block can be compared as inverse to the packet header generator block. The output of this block is not the stream of data but is a smart pointer dictionary used to figure out the index of subcarriers with the same packet ID.

### 5.2 Implementation of SCFDMA

Figure 5.2 shows SCFDMA implementation in GNU Radio. As SCFDMA is modified from OFDMA, only few other blocks are added to complete the implementation. There is additional FFT and IFFT block (as described in theory with FFT size $N < M$). SCFDMA Carrier Allocator block is a block that performs similar task as in OFDMA but it does not add pilot symbols, pilot carriers and synchronization words. Basically, it is used to map serial data to parallel. The block SCFDMA Interleaver plays a vital role in distributing the data symbol to larger set of subcarrier which is based on distributed mapping. Another additional block is SCFDMA frame equalizer block used for frame equalization and symbol decision block is used to convert complex signal to binary to prepare it for constellation mapping.

### 5.3 Performance Simulation

Theoretically, OFDMA and SCFDMA are quite effective in supporting the LTE requirements. However, to verify the robustness of these systems perform different
Figure 5.1: OFDMA Implementation In GNU Radio
Figure 5.2: SCFDMA Implementation in GNU Radio
tests using GNU Radio and to support the results we performed those simulations in MATLAB as well.

5.3.1 Performance in Different Channel Models

In simple terms, wireless channels can be defined as a path through which wireless signal travels from transmitter to the receiver by means of electromagnetic radiation. It is simply taken as the medium to transport, however, it is necessary to know the complexity comprised in the channel to successfully decode the information at the receiver. As channels are not solid medium, there are lots of obstructions basically known by multipath effect, shadowing effect and time varying characteristics. To distinguish the fading characteristics of the channel, particularly two distinct scenarios are taken in to consideration. The slow fading channel in which the channel stays the same (random value) over the entire time-scale of communication and the fast fading channel, where the channel varies significantly over the time scale of communication [2]. It is a general practice in wireless communication to perform the performance measure in these fading channel comparing with the non-faded Additive White Gaussian Noise (AWGN) channel. To demonstrate the multipath fading, Rayleigh and Rician distribution can be considered to model a channel. GNU Radio consists of Rayleigh and Rician fading model blocks based on Random Walk Process [27], as informed in documentation tab of the block.

1. **AWGN Channel**: AWGN is the most common channel model used in wireless communication. In an AWGN channel, the signal is degraded by white noise $\eta$ which has a constant spectral density and a Gaussian distribution of amplitude. The Gaussian distribution has a probability density function (pdf) given by [28]

\[
P(r) = \frac{1}{\sqrt{2\pi\sigma^2}} exp \left( -\frac{r^2}{2\sigma^2} \right)
\]

(5.1)

where $\sigma^2$ is is the variance of Gaussian Random Process.

In AWGN, the signal at the receiver is the total of transmit signal and noise, where the noise is statistically independent of the signal.

2. **Rayleigh Channel**: It is commonly used to describe the statistical time varying nature of the received envelope of a flat fading signal, or the envelope of an individual multipath component [1]. This channel model represents the signal transmission in environment with no line of sight (LOS) between transmitter
and receiver, that is common in heavily-built urban environment. The pdf for Rayleigh channel is given by

$$P(r) = \frac{r}{\sigma^2} \exp \left(-\frac{r^2}{2\sigma^2}\right)$$  \hspace{1cm} (5.2)

where $0 \leq r \leq \infty$ is envelope amplitude of received signal.

3. **Rician Channel**: If there is a presence of strong dominant signal component, like LOS, then the channel model is described as Rician Channel. It is similar to Rayleigh channel except the LOS path of signal. The Rician distribution is given by [2]

$$P(r) = \frac{r}{\sigma^2} \exp \left(-\frac{r^2 + A^2}{2\sigma^2}\right) I_0 \left(\frac{Ar}{\sigma^2}\right)$$  \hspace{1cm} (5.3)

Where $A$ denotes peak amplitude of dominant signal and $A, r \geq 0$. The Rician distribution commonly described by Rician Factor, $K$ is given by

$$K = \frac{A^2}{2\sigma^2}$$  \hspace{1cm} (5.4)

$$K(dB) = 10 \log_{10} \left(\frac{A^2}{2\sigma^2}\right)$$  \hspace{1cm} (5.5)

Figure 5.3 shows the power spectral density (PSD) plot of OFDMA in AWGN channel. PSD is the frequency response of a periodic or random signal and tells us where the average power is distributed as a function of frequency [29]. Figure 5.3 (a) is the signal received at receiver when the noise is 0dB and Figure 5.3 (b) is when the noise is 10dB. From these two figures we observe that as the noise amplitude increases, there is degradation in received spectrum amplitude. It means that, as the signal transmits from transmitter to receiver, it degrades with the increase in separation distance between them. As shown in Figure 5.4 SCFDMA performs similarly to OFDMA.

Figure 5.5 and Figure 5.6 shows the performance of OFDMA and SCFDMA respectively in Rayleigh fading distribution with normalized Doppler of 0.1 and 1. Several test between 0.1 and 1 were performed for each system. It is clear that in both the techniques, OFDMA and SCFDMA, the amplitude of the signal at receiver remained same. Figure 5.7 and Figure 5.8, represents OFDMA and SCFDMA signal that are passed through Rician Channel with Rician Factor ($k$) having values 0 and 5 and normalized maximum doppler of 0.1 and 1 in both the cases. It is seen that they have similar performance in any scenarios. This demonstrates the robustness of OFDMA and SCFDMA in the fading channel.
5.3.2 Peak to Average Power Ratio

The PAPR occurs when in a multicarrier system the different sub-carriers are out of phase with each other. At each instant they are different with respect to each other at different phase values. When all the points achieve the maximum value simultaneously; this will cause the output envelope to suddenly shoot up which causes a ‘peak’ in the output envelope. Thus the ratio of peak signal power over the average signal power is defined as PAPR [30]. Mathematically it is expressed as

$$PAPR = \frac{\max |x(t)|^2}{E[|x(t)|^2]}$$  \hspace{1cm} (5.6)

where $|x(t)|$ is the magnitude of $x(t)$ and $E[.]$ denotes the expectation operator. The cumulative distribution function (CDF) of the PAPR is one of the most frequently used performance measures for PAPR reduction techniques. The complementary
CDF (CCDF) is commonly used instead of the CDF itself. The CCDF of the PAPR denotes the probability that the PAPR of a data block exceeds a given threshold [31]. The CDF of the amplitude of the signal is given by,

\[
F(z) = 1 - e^{-z}
\]  \hspace{1cm} (5.7)

The CCDF measures the probability of signal PAPR exceeding certain threshold. Thus the CCDF of the PAPR of a data block is given by [31],

\[
P(PAPR > z) = 1 - P(PAPR \leq z) = 1 - F(z)^N = 1 - (1 - e^{-z})^N
\]  \hspace{1cm} (5.8)
5.3.3 Effect of PAPR

The major effect of PAPR is reduction of overall power efficiency of the system. The RF power amplifiers at the Transmitter should be operated specifically within a large range of linearity, since the signal in the non-linear region suffers major distortion leading to intermodulation amongst the subcarriers and out of band radiation. This, however cannot be sustainable for wireless communication as it reduces the power efficiency of the overall system. Additionally, the ADCs or DACs also need to be operated in a wide working range in order to ensure elimination or reduction of any quantization noise, which again increases the complexity of the system which is highly undesirable. Despite the fact that a lot of techniques were proposed over the years for reduction of PAPR in OFDMA, none were successful in providing any significant results.
5.3.4 Comparison of PAPR between OFDMA and SCFDMA

From Figure 5.9 and Figure 5.10, we can observe that the peak power of an OFDMA system is much greater than the average power of the system, whereas the maximum peak power of SCFDMA system is within a close range of the average power. This proves that the SCFDMA system has less PAPR than OFDMA system. To clarify this, we have simulated the system in MATLAB with following parameters shown in Table 5.1.

Simulation is performed with various types of modulation techniques along with different number of subcarriers. In every simulation results it is clearly visible that the PAPR of SCFDMA is better than the PAPR of OFDMA.
Figure 5.9: Scope Plot of transmitted OFDMA Signal

Figure 5.10: Scope Plot of transmitted SCFDMA Signal

Table 5.1: Parameters used during simulation for PAPR Comparison

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of total Subcarrier (M)</td>
<td>256/512</td>
</tr>
<tr>
<td>Data Block Size (N)</td>
<td>64</td>
</tr>
<tr>
<td>System Bandwidth</td>
<td>5MHz</td>
</tr>
<tr>
<td>Oversampling Factor</td>
<td>4</td>
</tr>
<tr>
<td>Number of Iterations</td>
<td>1000</td>
</tr>
<tr>
<td>Modulation Format</td>
<td>QPSK 16 QAM</td>
</tr>
<tr>
<td></td>
<td>64 QAM</td>
</tr>
</tbody>
</table>
Figure 5.11: Comparison between CCDF of PAPR for OFDMA & SCFDMA with QPSK Modulation (M = 256, N = 64).

Figure 5.12: Comparison between CCDF of PAPR for OFDMA & SCFDMA with 16QAM Modulation (M = 256, N = 64).
Figure 5.13: Comparison between CCDF of PAPR for OFDMA & SCFDMA with 64QAM Modulation (M = 256, N = 64).

Figure 5.14: Comparison between CCDF of PAPR for OFDMA & SCFDMA with QPSK Modulation (M = 512, N = 64).
Figure 5.15: Comparison between CCDF of PAPR for OFDMA & SCFDMA with 16QAM Modulation (M = 512, N = 64).

Figure 5.16: Comparison between CCDF of PAPR for OFDMA & SCFDMA with 64QAM Modulation (M = 512, N = 64).
5.3.5 BER Analysis between OFDMA and SCFDMA

Bit Error Rate (BER) is a performance parameter used to assess data quality of a transmitted signal in wireless communication system. It is responsible for assessing the performance of an overall system and is inclusive of transmitter, receiver and the medium of transmission and when in operation. BER can be defined as rate at which error occurs in a transmission system; which is simply a measure of received bits that may have suffered deterioration/degradation mainly due noise and changes in propagation path. Mathematically

\[ BER = \frac{\text{Bits in Error}}{\text{Total Bits Received}} \quad (5.9) \]

With the context of BER, Signal to Noise Ratio (SNR) is also considered. SNR is the ratio of signal power to the noise power in the frequency range of the operation. Noise power is due to unwanted signals present in the environment. BER is inversely related to SNR. Thus a system with high Signal to Noise ratio (SNR) will have a very low BER and vice versa. SNR is commonly used to evaluate the quality of a communication link and is expressed as

\[ SNR = 10 \log_{10} \frac{\text{Signal Power}}{\text{Noise Power}} \quad (5.10) \]

BER is often expressed in terms of \( \frac{E_b}{N_0} \), Energy per bit to Noise power spectral density ratio, also known as SNR per bit which is used to compare BER of digital system without taking bandwidth into consideration. \( E_b \) represents the energy in one bit and \( N_0 \) refers to the noise power spectral density (or noise power in 1Hz bandwidth). Like BER it is dimensionless.

Figure 5.17 shows the BER performance of OFDMA, LFDMA and IFDMA and as expected, in AWGN channel without multipath fading all of them exhibit the same characteristics. Figure 5.18 and Figure 5.19 compares BER performance between OFDMA, IFDMA and LFDMA with QPSK modulation in Pedestrian A channel and Vehicular A channel with the parameters provided in Table 5.2 and Table 5.3 respectively.

From both figures, we can see that the IFDMA has a better performance compared to LFDMA and OFDMA. In Pedestrian A channel all 3 techniques seem to be performing with same characteristics however with the increase in SNR, IFDMA and LFDMA seems to perform better than OFDMA. In Vehicular A channel OFDM has better performance than SCFDMA techniques initially, however with higher SNR IFDMA shows the better performance. So, in terms of BER, it can be considered
Table 5.2: Pedestrian test environment tapped-delay-line parameters

<table>
<thead>
<tr>
<th>Tap</th>
<th>Channel A</th>
<th>Doppler Spectrum</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Relative Delay (ms)</td>
<td>Average Power (dB)</td>
</tr>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>110</td>
<td>-9.7</td>
</tr>
<tr>
<td>3</td>
<td>190</td>
<td>-19.2</td>
</tr>
<tr>
<td>4</td>
<td>410</td>
<td>-22.8</td>
</tr>
</tbody>
</table>

Table 5.3: Vehicular test environment tapped-delay-line parameters

<table>
<thead>
<tr>
<th>Tap</th>
<th>Channel A</th>
<th>Doppler Spectrum</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Relative Delay (ms)</td>
<td>Average Power (dB)</td>
</tr>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>310</td>
<td>-1.0</td>
</tr>
<tr>
<td>3</td>
<td>710</td>
<td>-9.0</td>
</tr>
<tr>
<td>4</td>
<td>1090</td>
<td>-10.0</td>
</tr>
<tr>
<td>5</td>
<td>1730</td>
<td>-15.0</td>
</tr>
<tr>
<td>6</td>
<td>2510</td>
<td>-20.0</td>
</tr>
</tbody>
</table>

that, in most of the scenarios, IFDMA has better performance over OFDMA and LFDMA.
Figure 5.17: BER comparison between OFDMA, IFDMA and LFDMA with QPSK modulation in AWGN Channel

Figure 5.18: BER comparison between OFDMA, IFDMA and LFDMA with QPSK modulation in Pedestrian A Channel
Figure 5.19: BER comparison between OFDMA, IFDMA and LFDMA with QPSK modulation in Vehicular A Channel
Chapter Six

Conclusion and Future work

In this thesis, GNU radio was implemented to see the working mechanism of an LTE system. GNU Radio system and their built in blocks were very useful to implement OFDMA in downlink and SC-FDMA in the uplink. We used GNU Radio to observe transmission and reception of randomly generated data on downlink and uplink, which proved that the system can be used as a real world implementation platform along with some SDR hardware like USRP [32]. The major advantage of GNU Radio is the use of powerful digital signal processing methods, complex control routines and others to obtain advanced radio systems. But there are limited resources to learn the implementation techniques and requires a lot of learning and programming to seek the full advantage of GNU Radio. Despite the challenges, use of GNU Radio and its community is increasing and being an open source software, it is likely that there will be a lot of contribution to the system by different enthusiasts and researchers in the future.

OFDMA provides a high data rate with high levels of spectral efficiency mitigating the effect of ISI and ICI with the use of CP. Despite this, it can be seen that it suffers from high PAPR problem which is a crucial element in the uplink channel. To overcome this, SC-FDMA was introduced in the uplink design. As seen from the Figure 5.9 and Figure 5.10, the output of OFDM transmitted signal has a peak nearby 1.7 and average values below 0.5 whereas in SC-FDMA transmitted signal its always within the same range, which illustrates the PAPR range in OFDMA and SC-FDMA. To visualize even more, we compared PAPR between OFDMA and SC-FDMA with different modulation scheme and with different number of subcarriers to see the effect on systems implemented using the MATLAB. It is verified that the OFDMA system is more susceptible to PAPR problem.

As there is a heavy burden to programming in the system to make it perfect, we tried to simulate and compare BER performance of OFDMA and SC-FDMA in a
MATLAB environment. It is seen that the performance of OFMDA along with SC-FDMA types (IFDMA and LFDMA), they have the similar range of performance in terms of BER. So, it is clear that the LTE system has made good use of both the system in its uplink and downlink to provide user with uninterrupted services with higher data rates.

The system is implemented in GRC and is working well, next is to use it along with SDR to transmit and receive data. With this, various link level data can be evaluated which helps to learn the effect for multipath fading in real world environment. Furthermore, enhancement can be made on the system to make it better by upgrading the equalizer block to support soft decision instead of hard decision which will help to better visualize constellation plots at the receiver and add some blocks with adaptive feature that can calculate the delay parameter in the system to implement bit error testing.
Bibliography


[19] D. N. Kokane, “Multiple access technology in LTE.”


Appendix A: GNU Radio Companion Code Example

A.1 Example Hello World Program on GNU Radio Companion

The Hello world program form GNU Radio is a dial tone generator and a FM receiver. Figure A.1 shows the flow graph of dial tone generator on GRC and Listing A.1 shows the respective Python code generated by GRC after successful execution. The flow graph contains two signal source, one noise source, an adder connected to audio sink for output. It also has variable blocks used to define the sampling rate and two WX GUI slider blocks.

Here two signal source produces a sound (cosine waveform) with frequency of 350Hz and 440Hz respectively which is then added with Gaussian noise produced by the noise source. The resulting signal from the adder is passed in the audio sink to play the dial tone from the speakers.

The variable blocks are used to define the value at one point that can be accessed by all the elements of the flow graph there after. And the sliders are used to test the output at different values. These blocks are created to make GRC more flexible.

Figure A.1: Dial tone generator implementation on GRC
#!/usr/bin/env python2
# -*- coding: utf-8 -*-

# GNU Radio Python Flow Graph
# Title: Dial Tone Generator
# Generated: Thu Jan  6 00:08:16 2017

if __name__ == '__main__':
    import ctypes
    import sys
    if sys.platform.startswith('linux'):
        try:
            x11 = ctypes.cdll.LoadLibrary('libX11.so')
            x11.XInitThreads()
        except:
            print "Warning: failed to XInitThreads()"

from gnuradio import analog
from gnuradio import audio
from gnuradio import blocks
from gnuradio import eng_notation
from gnuradio import gr
from gnuradio.eng_option import eng_option
from gnuradio.filter import firdes
from gnuradio.wxgui import forms
from grc_gnuradio import wxgui as grc_wxgui
from optparse import OptionParser
import wx

class dial_tone(grc_wxgui.top_block_gui):
    def __init__(self):
        grc_wxgui.top_block_gui.__init__(self, title="Dial Tone Generator")
        _icon_path = "/usr/share/icons/hicolor/32x32/apps/gnuradio-grc.png"
        self.SetIcon(wx.Icon(_icon_path, wx.BITMAP_TYPE_ANY))

        # Variables
self.samp_rate = samp_rate = 32000
self.noise = noise = 0.005
self.ampl = ampl = 0.4

# Blocks
_noise_sizer = wx.BoxSizer(wx.VERTICAL)
self._noise_text_box = forms.text_box(
    parent=self.GetWin(),
    sizer=_noise_sizer,
    value=self.noise,
    callback=self.set_noise,
    label='Noise',
    converter=forms.float_converter(),
    proportion=0,
)
self._noise_slider = forms.slider(
    parent=self.GetWin(),
    sizer=_noise_sizer,
    value=self.noise,
    callback=self.set_noise,
    minimum=0,
    maximum=0.2,
    num_steps=100,
    style=wx.SL_HORIZONTAL,
    cast=float,
    proportion=1,
)
self.GridAdd(_noise_sizer, 1, 0, 1, 2)

_ampl_sizer = wx.BoxSizer(wx.VERTICAL)
self._ampl_text_box = forms.text_box(
    parent=self.GetWin(),
    sizer=_ampl_sizer,
    value=self.ampl,
    callback=self.set_ampl,
    label='Volume',
    converter=forms.float_converter(),
    proportion=0,
)
self._ampl_slider = forms.slider(
    parent=self.GetWin(),
    sizer=_ampl_sizer,
    value=self.ampl,
value = self.ampl,
callback = self.set_ampl,
minimum = 0,
maximum = .5,
num_steps = 100,
style = wx.SL_HORIZONTAL,
cast = float,
proportion = 1,
)

self.GridAdd(_ampl_sizer, 0, 0, 1, 2)
self.blocks_add_xx_0 = blocks.add_vff(1)
self.audio_sink_0 = audio_sink(samp_rate, '', True)
self.analog_sig_source_x_1 = analog.sig_source_f(samp_rate,
analog.GR_COS_WAVE, 440, 1, 0)
self.analog_sig_source_x_0 = analog.sig_source_f(samp_rate,
analog.GR_COS_WAVE, 350, ampl, 0)
self.analog_noise_source_x_0 = analog.noise_source_f(analog.
GR_GAUSSIAN, noise, 42)

# Connections
self.connect((self.analog_noise_source_x_0, 0), (self.
blocks_add_xx_0, 2))
self.connect((self.analog_sig_source_x_0, 0), (self.
blocks_add_xx_0, 0))
self.connect((self.analog_sig_source_x_1, 0), (self.
blocks_add_xx_0, 1))
self.connect((self.blocks_add_xx_0, 0), (self.audio_sink_0,
0))

def get_samp_rate(self):
    return self.samp_rate

def set_samp_rate(self, samp_rate):
    self.samp_rate = samp_rate
    self.analog_sig_source_x_1.set_sampling_freq(self.samp_rate)
    self.analog_sig_source_x_0.set_sampling_freq(self.samp_rate)

def get_noise(self):
    return self.noise

def set_noise(self, noise):
def get_ampl(self):
    return self.ampl

def set_ampl(self, ampl):
    self.ampl = ampl
    self._ampl_slider.set_value(self.ampl)
    self._ampl_text_box.set_value(self.ampl)
    self.analog_sig_source_x_0.set_amplitude(self.ampl)

def main(top_block_cls=dial_tone, options=None):
    tb = top_block_cls()
    tb.Start(True)
    tb.Wait()

if __name__ == '__main__':
    main()
required to create a new block. We will change the directory to gr-myModule and call following code.

$ gr_modtool add -t general square_ff The code tells to add a type general block with a name square_ff. As the block operates on float input and output _ff is added at the name to provide meaning of the name. Next, the terminal will ask for the block arguments, type of programming language to use (either Python or C++) and whether we want to add the test QA codes for Python and C++. Once it is completed, the time is to modify the signal processing blocks in the file square_ff_impl.cc and square_ff_impl.h located under lib folder. Also, myModule_square_ff.xml file in grc folder needs to be modified to make it available in GRC. For this example, there is no need to change the header file square_ff_impl.hh. The modified file square_ff_impl.cc is shown in Appendix B.

The modifications are made in the hints provided by the gr_modtool. Hints are shown with a symbol . The main operation is performed within the for loop present in where *in pointer multiply with itself to produce an output, pointed by the *out pointer. To make the module ready for GRC, modifications made in the myModule_square_ff.xml file is shown below.

```xml
<?xml version="1.0"?>
<block>
  <name>square_ff</name>
  <key>myModule_square_ff</key>
  <category>[myModule]</category>
  <import>import myModule</import>
  <make>myModule.square_ff()</make>

  <sink>
    <name>in</name>
    <type>float</type>
  </sink>

  <source>
    <name>out</name>
    <type>float</type>
  </source>
</block>
```

After the programming stuffs, new module can be added to GRC with following
commands.

```bash
mkdir build  # We’re currently in the module’s top directory
cd build/
cmake ../  # Tell CMake that all its config files are one dir up
make
sudo make install
sudo ldconfig
```

It will create the build folder and compile the blocks within that folder. If there is any error in C++ file, then it will be displayed at this time. If QA is setup at the time of instantiating a new block, we can test and make necessary correction until there is no errors before running the command `sudo make install`. Our new block is successfully added in GRC and a flow graph and obtained output is shown in Figure A.2 and Figure A.3 respectively.

![Flow Graph](image)

Figure A.2: Demonstration of new block in GRC
Figure A.3: Result obtained by new block (square of triangular wave)
Appendix B: GNU Radio sample C++ program

/* -*- c++ -*- */
/*
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 *
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 * the Free Software Foundation, Inc., 51 Franklin Street,
 * Boston, MA 02110-1301, USA.
 */

#ifdef HAVE_CONFIG_H
#include "config.h"
#endif

#include <gnuradio/io_signature.h>
#include "square_ff_impl.h"

namespace gr {
    namespace myModule {

    square_ff::sptr
    square_ff::make()
    {
        return gnuradio::get_initial_sptr
            (new square_ff_impl());
    }

    /*
* The private constructor
*/
square_ff_impl::square_ff_impl()
    : gr::block("square_ff",
        gr::io_signature::make(1, 1, sizeof(float)), // input
        signature (no.of inputs)
        gr::io_signature::make(1, 1, sizeof(float))) // output
    signature (no.of outputs)
{
}

/*
* Our virtual destructor.
*/
square_ff_impl::~square_ff_impl()
{
}

void
square_ff_impl::forecast (int noutput_items, gr_vector_int &
    ninput_items_required)
{
    ninput_items_required[0] = noutput_items;
}

int
square_ff_impl::general_work (int noutput_items, 
    gr_vector_int &ninput_items, 
    gr_vector_const_void_star &input_items, 
    gr_vector_void_star &output_items)
{
    const float *in = (const float *) input_items[0];
    float *out = (float *) output_items[0];

    // Do <+signal processing*> 
    for (int i = 0; i<noutput_items; i++){
        out[i] = in[i] * in[i];
    }

    // Tell runtime system how many input items we consumed on 
    // each input stream.
    consume_each (noutput_items);

    // Tell runtime system how many output items we produced.
return noutput_items;
}

} /* namespace myModule */
} /* namespace gr */