

Introduction to LTE



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Audio/Video recordings of this class lecture are available at:

<http://www.cse.wustl.edu/~jain/cse574-14/>



- ❑ 4G Definition
- ❑ LTE: Key Features
- ❑ OFDMA and SC-FDMA
- ❑ Resource Allocation
- ❑ Evolved Packet Core (EPC)
- ❑ LTE Frame Structure

What is 4G?

- ❑ International Mobile Telecommunication (IMT) Advanced
- ❑ Requirements in ITU M.2134-2008
- ❑ IP based packet switch network
- ❑ 1.0 Gbps peak rate for fixed services with 100 MHz
- ❑ 100 Mbps for mobile services. High mobility to 500 km/hr
- ❑ Seamless connectivity and global roaming with smooth handovers
- ❑ High-Quality Multimedia

Feature	Cell	Cell Edge	Peak
DL Spectral Efficiency (bps/Hz)	2.2	0.06	15
UL Spectral Efficiency (bps/Hz)	1.4	0.03	6.75
DL data rate w 40 MHz (Mbps)	88	2.4	600
UL data rate w 40 MHz (Mbps)	56	1.2	270

Ref: <http://en.wikipedia.org/wiki/IMT-Advanced>

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4G Technologies

- ❑ ITU Approved two technologies as 4G (Oct 2010)
 - LTE-Advanced
 - WiMAX Release 2 (IEEE 802.16m-2011)
- ❑ LTE and WiMAX are near-4G (3.9G) and not 4G

LTE: Key Features

1. Long Term Evolution. 3GPP Release 8, 2009.
2. Initially developed as 3.9G (Pre-4G) cellular technology
Now sold as 4G.
3. **Many different bands:** 700/1500/1700/**2100**/2600 MHz
4. **Flexible Bandwidth:** 1.4/3/5/10/15/20 MHz
5. Frequency Division Duplexing (FDD) and
Time Division Duplexing (TDD)
⇒ Both paired and unpaired spectrum
6. 4x4 MIMO, Multi-user collaborative MIMO
7. Beamforming in the downlink

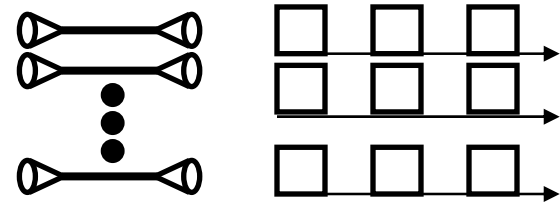
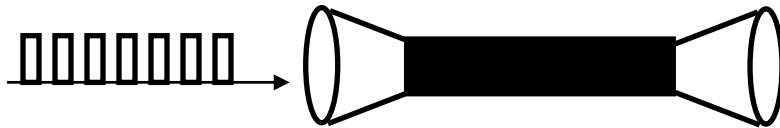
Ref: A. Ghosh, J. Zhang, J. G. Andrews, R. Muhamed, "Fundamentals of LTE," Prentice Hall, 2010, ISBN: 0137033117, 464 pp.
Safari book.

LTE: Key Features (Cont)

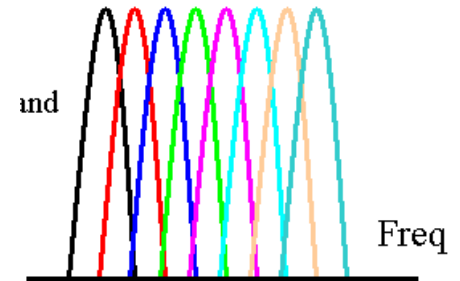
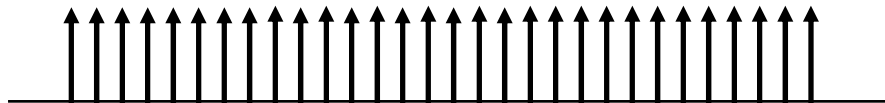
8. Data Rate: 326 Mbps/down 86 Mbps up (4x4 MIMO 20 MHz)
9. Modulation: OFDM with QPSK, 16 QAM, 64 QAM
10. **OFDMA** downlink,
Single Carrier Frequency Division Multiple Access (**SC-FDMA**) uplink
11. **Hybrid ARQ** Transmission
12. Short **Frame Sizes** of 10ms and 1ms \Rightarrow faster feedback and better efficiency at high speed
13. **Persistent scheduling** to reduce control channel overhead for low bit rate voice transmission.
14. **IP based** flat network architecture

OFDM

- ❑ Orthogonal Frequency Division Multiplexing
- ❑ Ten 100 kHz channels are better than one 1 MHz Channel
⇒ Multi-carrier modulation

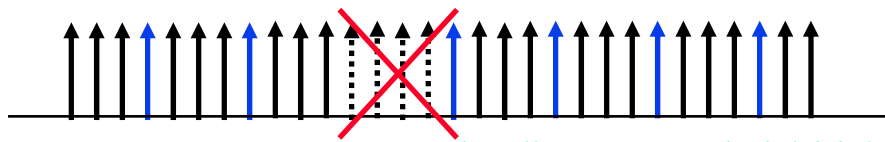


- ❑ Frequency band is divided into 256 or more sub-bands.
Orthogonal ⇒ Peak of one at null of others
- ❑ Each carrier is modulated with a BPSK, QPSK, 16-QAM, 64-QAM etc depending on the noise (Frequency selective fading)
- ❑ Used in 802.11a/g, 802.16,
Digital Video Broadcast handheld (DVB-H)
- ❑ Easy to implement using FFT/IFFT



OFDM Advantages

1. Larger symbol sizes
⇒ **Reduced inter-symbol interference** due to multipath
⇒ Insensitivity to multipath ⇒ Allows better MIMO
2. **Low computational complexity**: Easily implemented with fast Fourier transforms (FFT) and Inverse FFT.
3. **Graceful performance degradation** under excessive delay spreads. Possible to fall back to lower coding schemes
⇒ Ideal for adaptive modulation and coding
4. **Frequency diversity**: Data is spread across subcarriers
⇒ robust against burst errors
5. Robust against **narrowband** interference

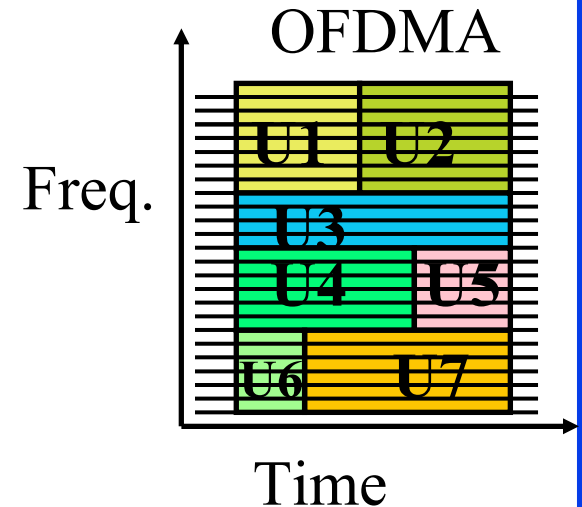
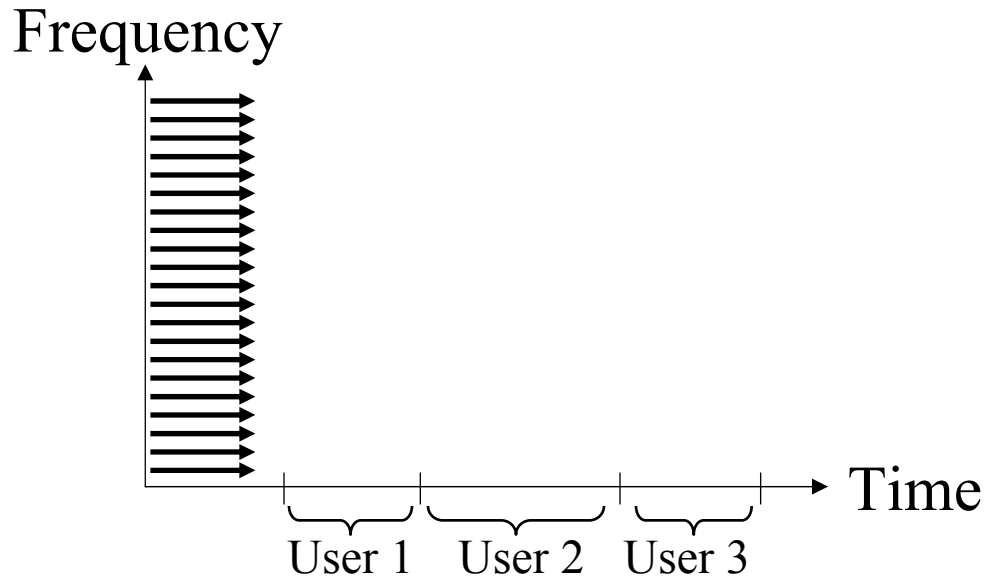


OFDM Advantages (Cont)

6. Allows **pilot** subcarriers for channel estimation
 7. Efficient multiple access: OFDMA can be used for resource allocation
 8. Efficient Broadcast: Multiple base stations can synchronize to combine their transmitted signals enabling higher broadcast data rates
- ❑ Disadvantage: High Peak-to-Average Ratio (PAPR)
⇒ Expensive amplifiers

OFDMA

- ❑ Orthogonal Frequency Division Multiple Access
- ❑ Each user has a subset of subcarriers for a few slots
- ❑ OFDM systems use TDMA
- ❑ OFDMA allows Time+Freq DMA \Rightarrow 2D Scheduling



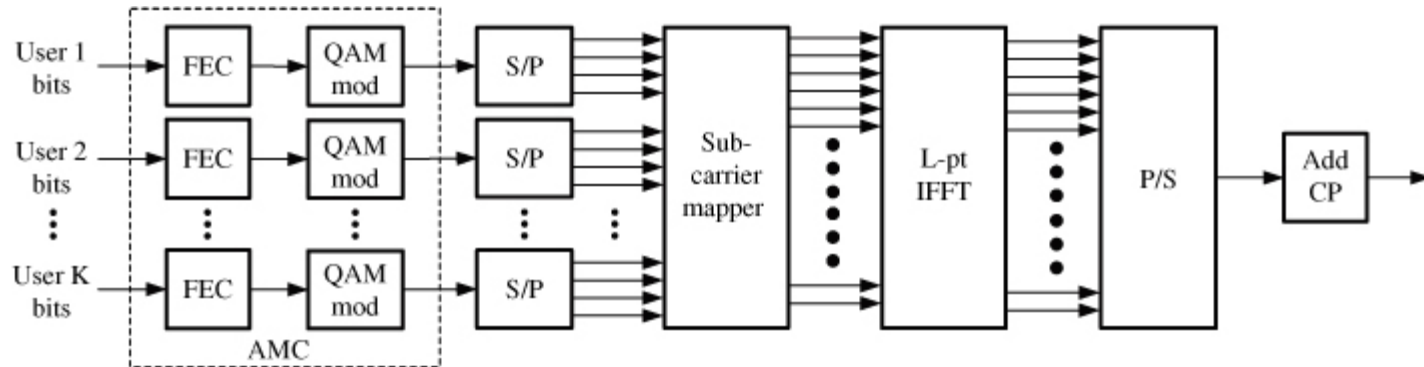
CDMA vs. OFDMA

- LTE uses OFDMA in the downlink

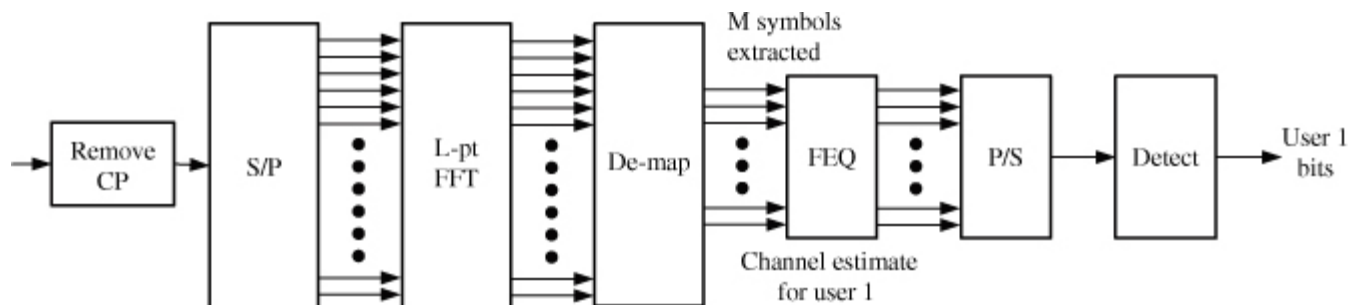
Feature	CDMA	OFDMA
Frequency Selective	No	Yes
Symbol period	Short	Long
Equalization	Easy up to 5 MHz	Easy for any bandwidth
Resistance to Multipath	Difficult above 5 MHz	Easy with proper cyclic prefix
MIMO	Difficult	Easy
Frequency Distortion	Averaged	Inter-carrier interference
User Multiplexing	Orthogonal codes	Frequency and Time

OFDMA Downlink

- Transmitter at Base Station: IFFT converts frequency to time



- Receiver at User Terminal: FFT converts time to frequency



Ref: A. Ghosh, J. Zhang, J. G. Andrews, R. Muhamed, "Fundamentals of LTE," Prentice Hall, 2010, ISBN: 0137033117, 464 pp. Safari book.

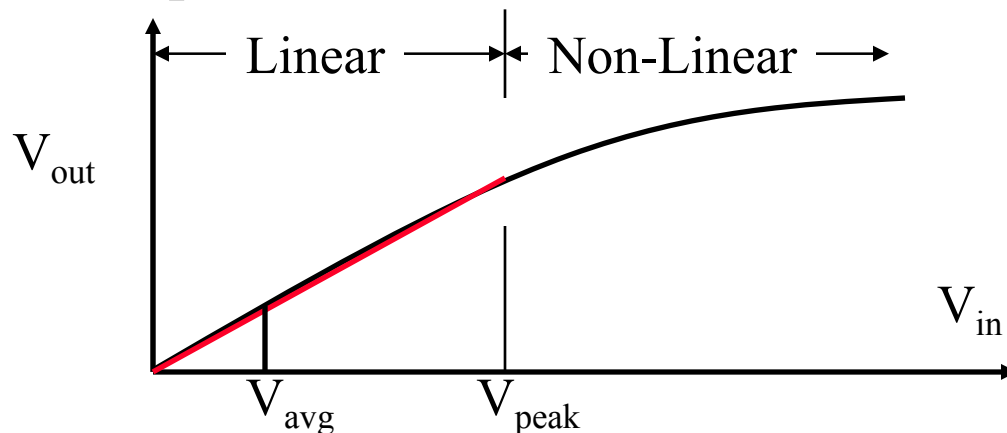
Peak-to-Average Power Ratio (PAPR)

□ OFDM

- ⇒ Each carrier modulated according to specific channel condition
- ⇒ High variation of power levels
- ⇒ Higher Peak-to-Average Power Ratio (PAPR)
- ⇒ Higher cost of amplifiers

□ Amplifiers are linear only over a restricted region

- ⇒ Costly amplifier or reduce average signal power significantly
- ⇒ Can afford such amplifiers in Base stations but not in mobiles



SC-FDMA

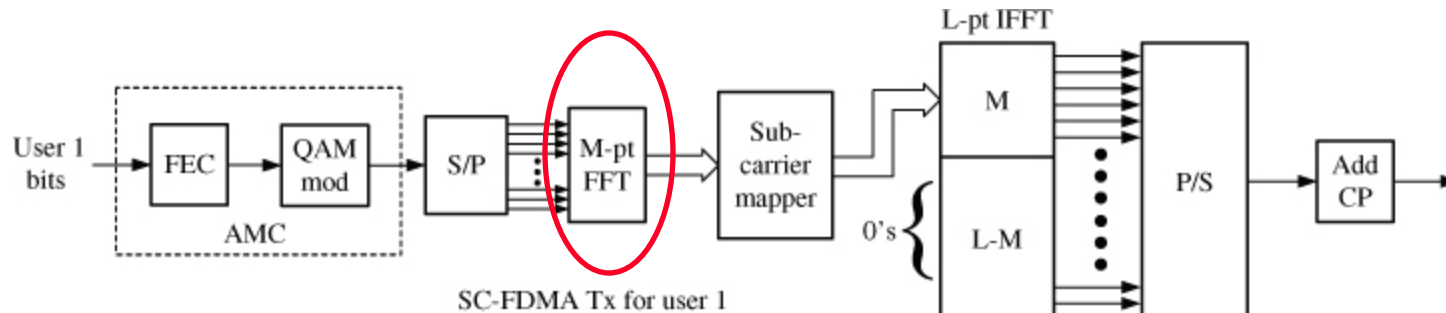
- ❑ Single-Carrier Frequency Division Multiple Access
- ❑ Each user gets a contiguous part of the channel



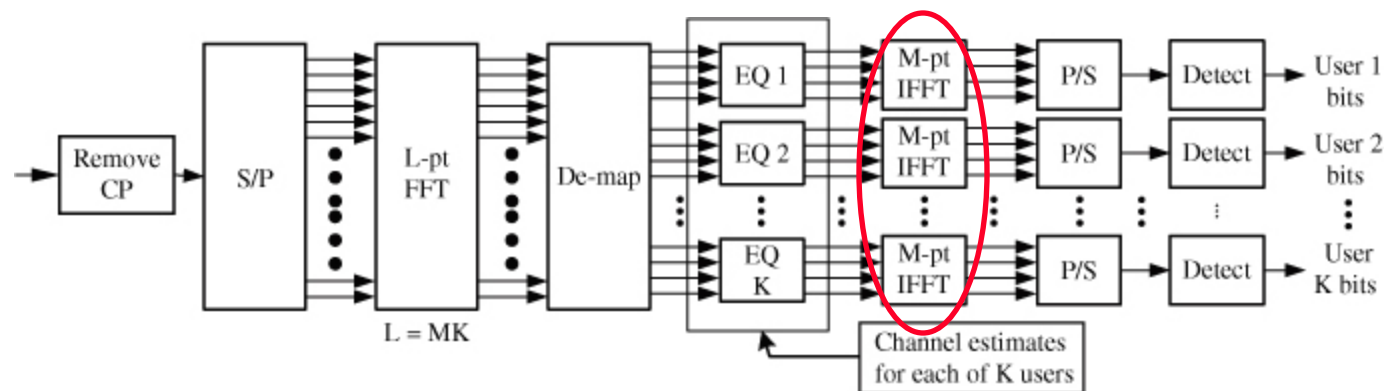
- ❑ Uses single carrier modulation and adds a cyclic prefix
- ❑ Single carrier \Rightarrow Not much variation in amplitude
 \Rightarrow Lower PAPR
- ❑ Better for uplink because slight mis-synchronization among users does not affect the decoding significantly
- ❑ With OFDMA each user's subcarriers are spread all over the band and may affect other users subcarriers all over the band

SC-FDMA

- ❑ In practice, SC-FDMA is implemented as if the user is allocated a contiguous subset of subcarriers
- ❑ Transmitter at the User Terminal:



- ❑ Receiver at the Base Station:



- ❑ SC-FDMA = Discrete Fourier Transform Pre-coded OFDMA

Ref: A. Ghosh, J. Zhang, J. G. Andrews, R. Muhamed, "Fundamentals of LTE," Prentice Hall, 2010, ISBN: 0137033117, 464 pp.

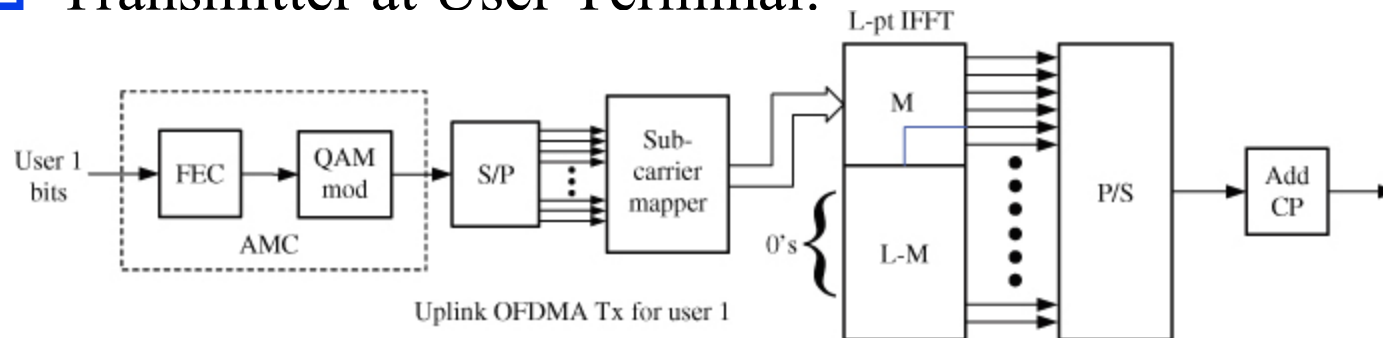
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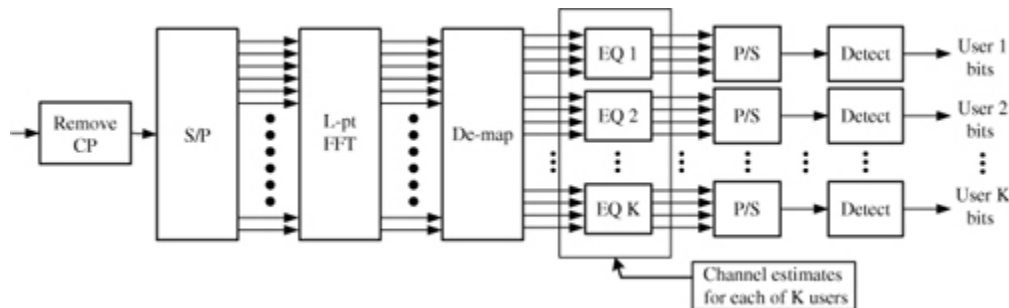
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OFDMA Uplink

- ❑ LTE does not use OFDMA in uplink
WiMAX uses OFDMA in uplink
- ❑ Transmitter at User Terminal:



- ❑ Receiver at the Base Station:



Ref: A. Ghosh, J. Zhang, J. G. Andrews, R. Muhamed, "Fundamentals of LTE," Prentice Hall, 2010, ISBN: 0137033117, 464 pp.

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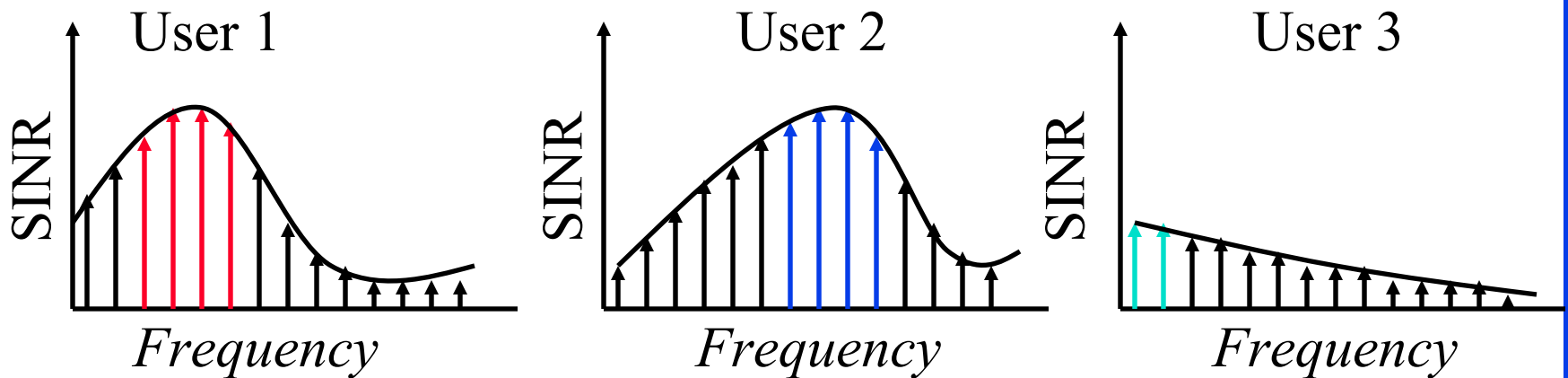
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Channel Dependent Scheduling

- ❑ Schedule users at their best frequencies and times
⇒ Optimize overall throughput
- ❑ Focus transmission power in the user's best channel portion
- ❑ Adaptive modulation and coding of each individual subcarrier depending upon the signal-to-interference and noise ratio (SINR) of that subcarrier
- ❑ By randomly distributing subcarriers over the entire band, the signal can be robust against frequency selective fading

Multi-User Diversity

- ❑ Each user has a different signal to interference and noise ratio (**SINR**)
- ❑ Give each user their best frequency subcarriers to maximize their efficiency
- ❑ Select users that have high SINR to maximize total system efficiency
- ❑ Interesting scheduling with fairness and efficiency trade-offs



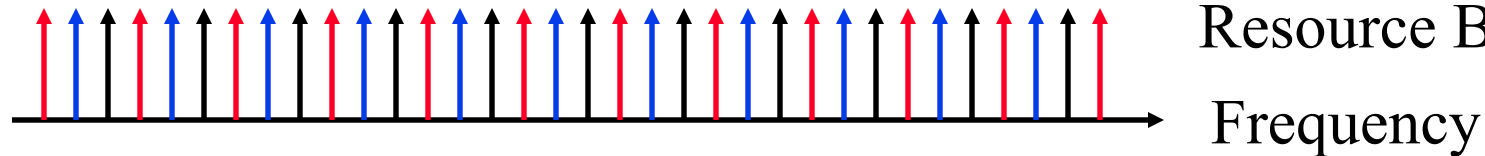
Resource Allocation (Cont)

□ Distributed Subcarrier Allocation:

Resource Block 1

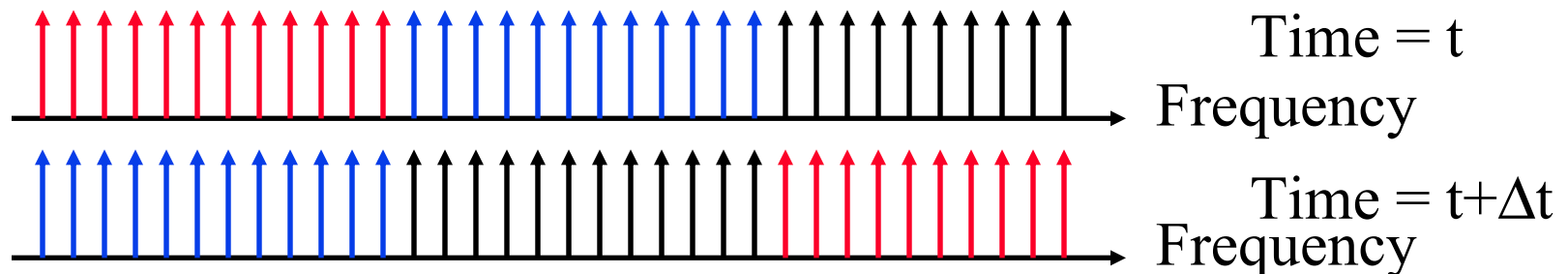
Resource Block 2

Resource Block 3



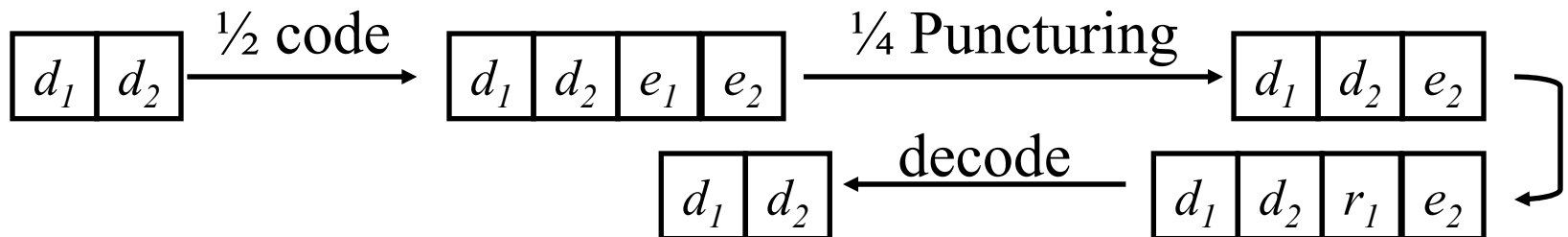
□ Contiguous (Adjacent) Hopping Subcarrier Allocation:

Uplink



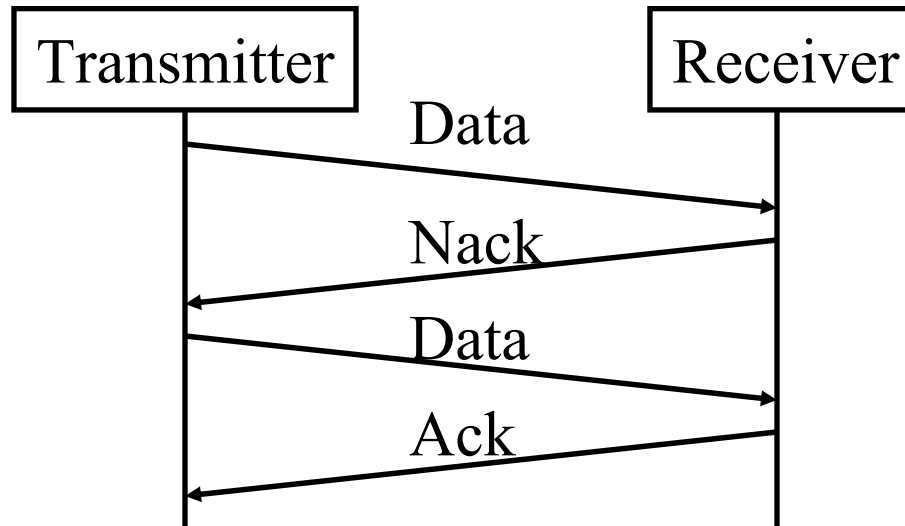
Puncturing

- ❑ Use large number of error correcting code (ECC) bits but send only some of them
- ❑ Example: 1/2 code = 1 ECC bit/Original bit
- ❑ Or 4 bits for each 2-bit symbol
- ❑ 1/4 puncturing \Rightarrow Drop every 4th bit
 \Rightarrow send 3 bits for each 2-bit symbol = 2/3 code
- ❑ Receiver puts random bits in the punctured positions and decodes \Rightarrow high probability of correct decoding particularly if the SINR is high
- ❑ 1/2 code with 1/4th puncture is not as good as 2/3 code in general but puncturing helps in some situations, such as, H-ARQ



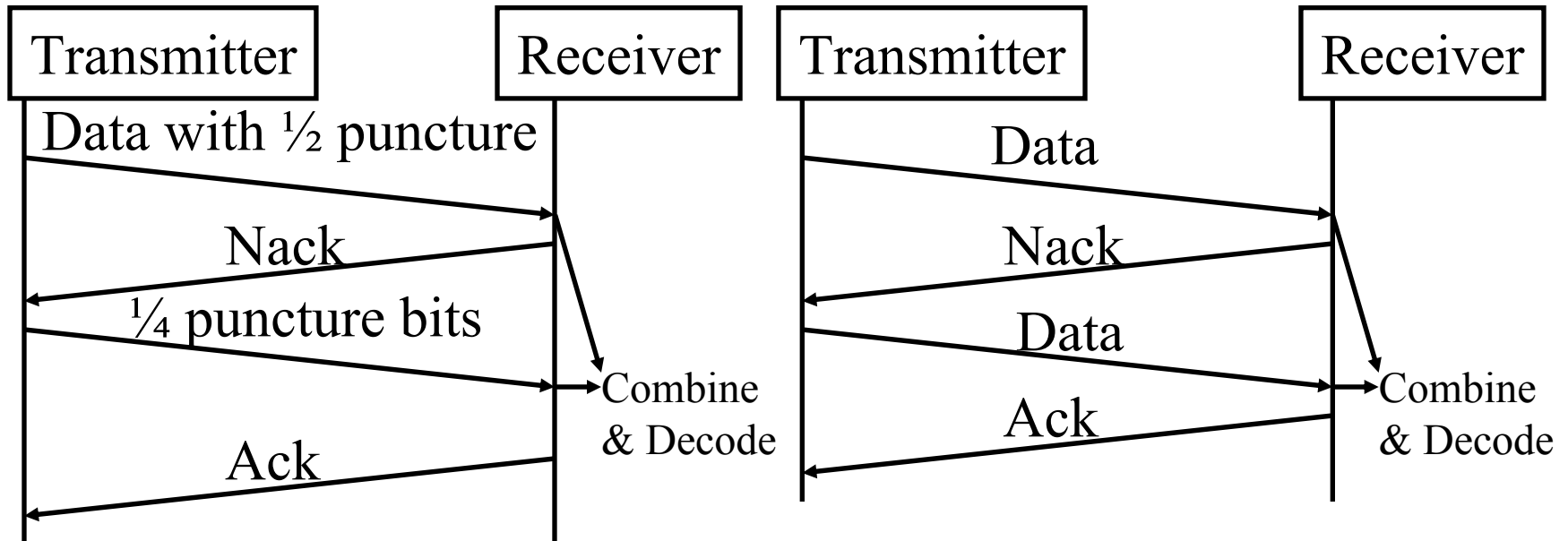
ARQ

- ❑ Automatic Repeat reQuest (ARQ)
- ❑ Retransmit a packet if it is received in error
- ❑ Previous (bad) bits are discarded.



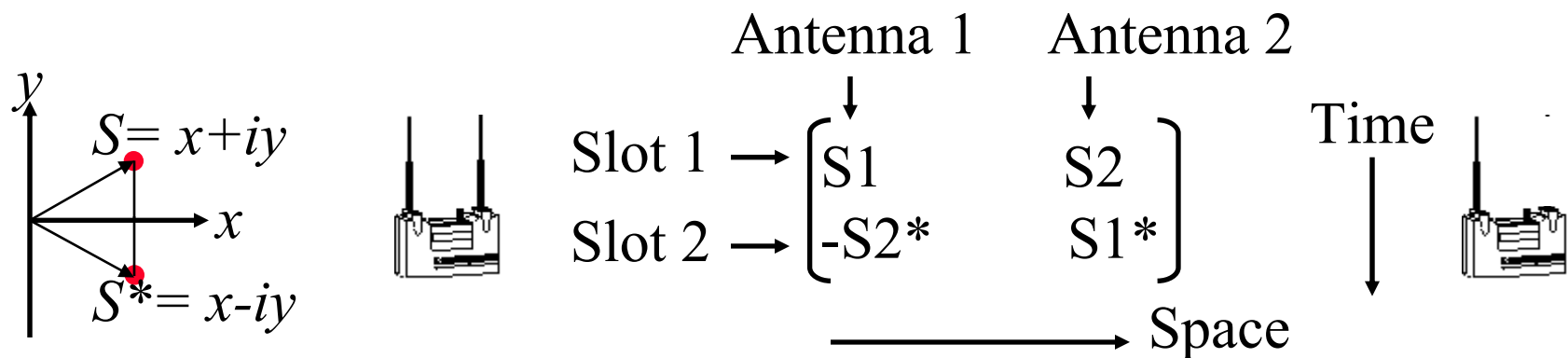
Hybrid ARQ

- ❑ PHY and MAC layers work together \Rightarrow Hybrid
- ❑ PHY layer sends some bits first (uses puncturing)
 - Sends additional bits only if necessary.
 - Additional bits are sent until the decoding is successful. (**Incremental Redundancy** or **Type II H-ARQ**)
 - Another alternative is to combine the good bits of multiple transmissions (**Chase Combining** or **Type I H-ARQ**)



Space Time Block Codes (STBC)

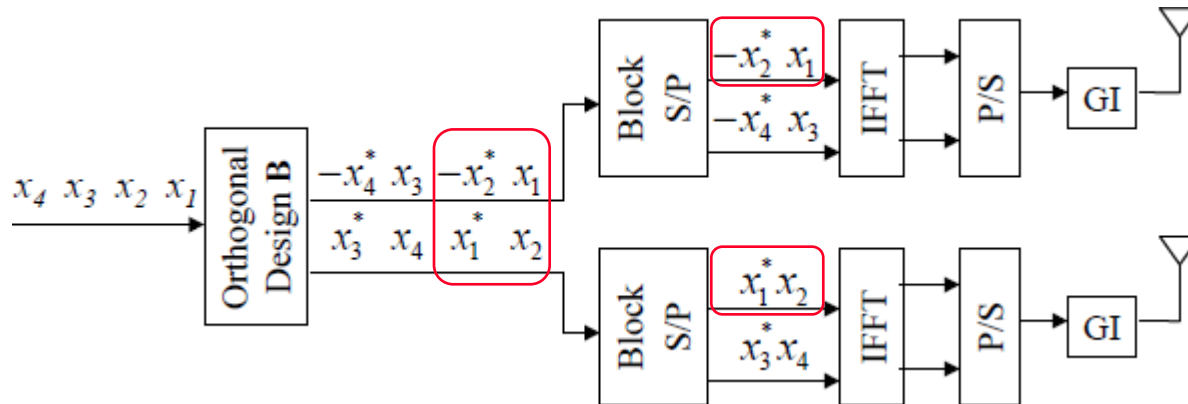
- ❑ Invented 1998 by Vahid Tarokh.
- ❑ Transmit multiple redundant copies from multiple antennas
- ❑ Precisely coordinate distribution of symbols in space and time.
- ❑ Receiver combines multiple copies of the received signals optimally to overcome multipath.
- ❑ Example: Two antennas: Two symbols in two slots \Rightarrow Rate 1



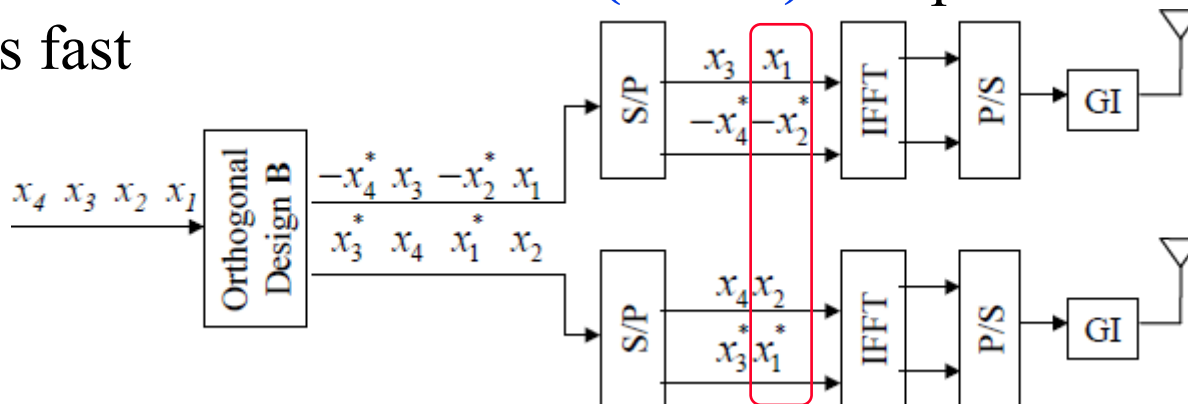
$S1^*$ is complex conjugate of $S1 \Rightarrow$ columns are orthogonal

Space-Frequency Block Codes

- STBC on OFDM (Multi-carrier): Two alternatives
- STBC on each subcarrier:**



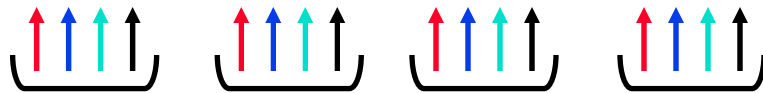
- STBC on across subcarriers (SFBC):** Helps if channel changes fast



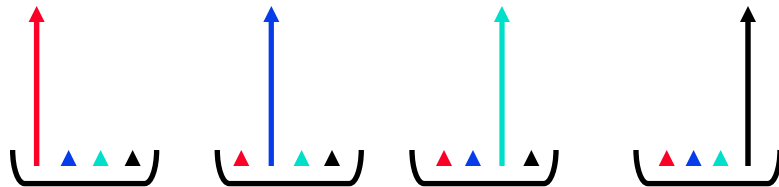
Ref: G. Bauch, "Space-Time Block Codes Versus Space-Frequency Block Codes," IEEE VTC, Apr 2003,
<http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.2.1724&rep=rep1&type=pdf>

Frequency-Shift Transmit Diversity

- Use fewer subcarriers in each slot and use higher power on those subcarriers
- 4 subcarriers with equal power in all time slots:



- FSTD:

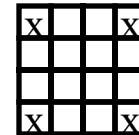
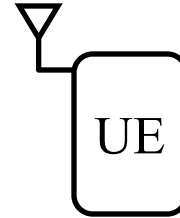
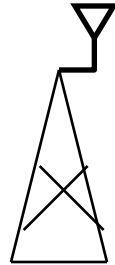


Multi-antenna Techniques

- ❑ **Transmit diversity:** Send multiple copies using space-frequency block coding (SFBC) plus Frequency-Shift Transmit Diversity (FSTD) using 4 antenna
- ❑ **Beamforming:** Focus in the direction of the receiver
- ❑ **Spatial Multiplexing:** 4×4 MIMO
- ❑ **Multi-User MIMO** for uplink

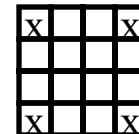
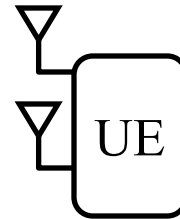
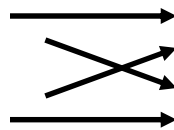
MIMO

□ SISO



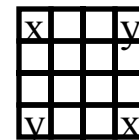
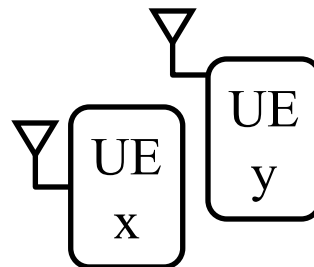
x =Pilot

□ Single User MIMO



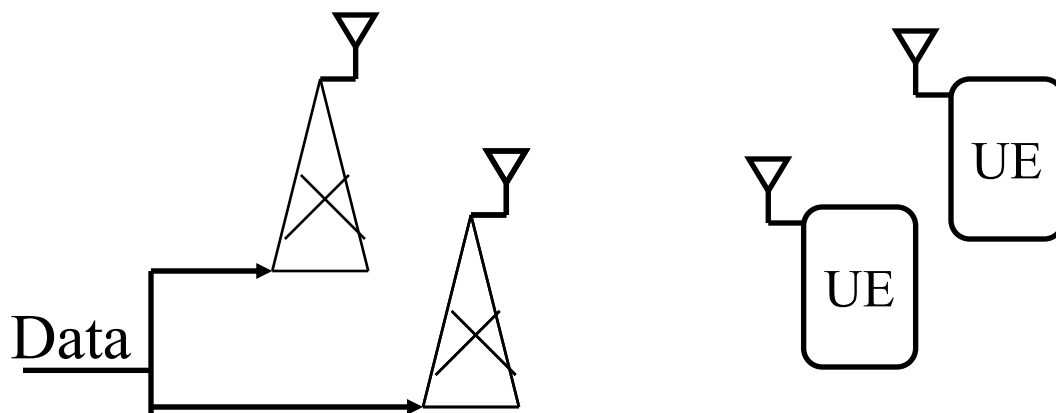
Pilots are used for channel estimation

□ Multi-User MIMO



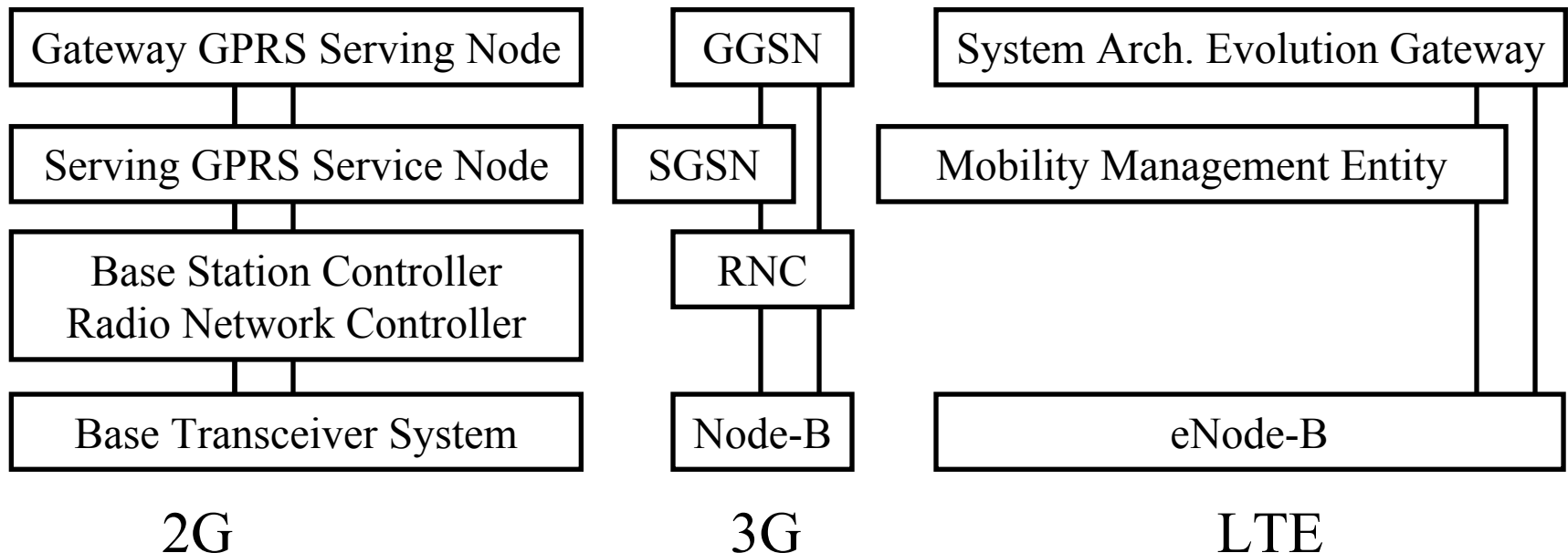
MIMO (Cont)

- ❑ **Cooperative MIMO:** Multiple towers coordinate the transmission of the data. A.k.a. networked MIMO



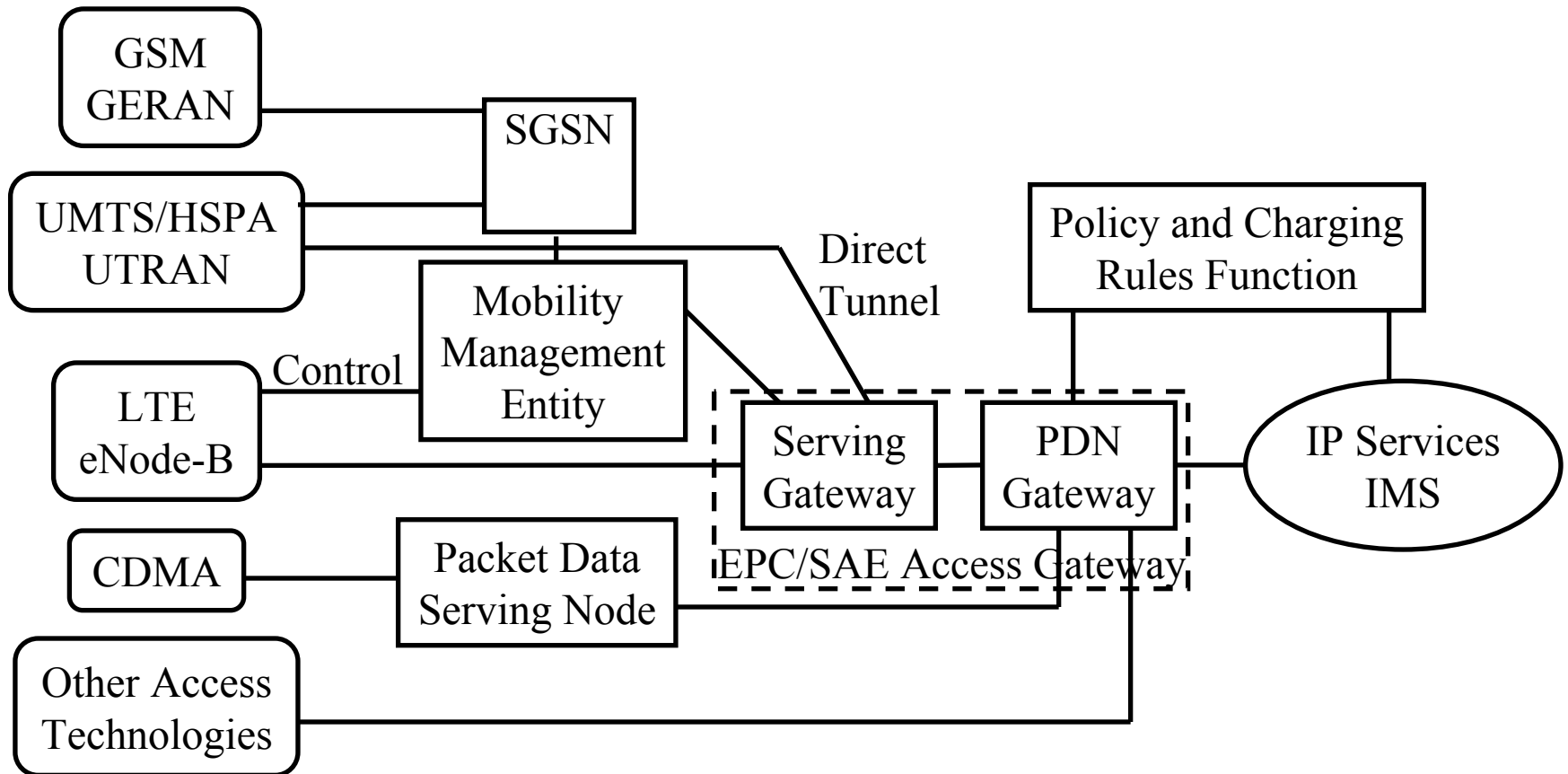
IP-Based Flat Network Architecture

- ❑ Flat \Rightarrow Less hierarchical and fewer nodes
- ❑ All services (Voice/multimedia) over IP
- ❑ For backward compatibility some non-IP protocols and services are still used in LTE network



Evolved Packet Core (EPC)

- Evolved Packet Core: IP based flat network



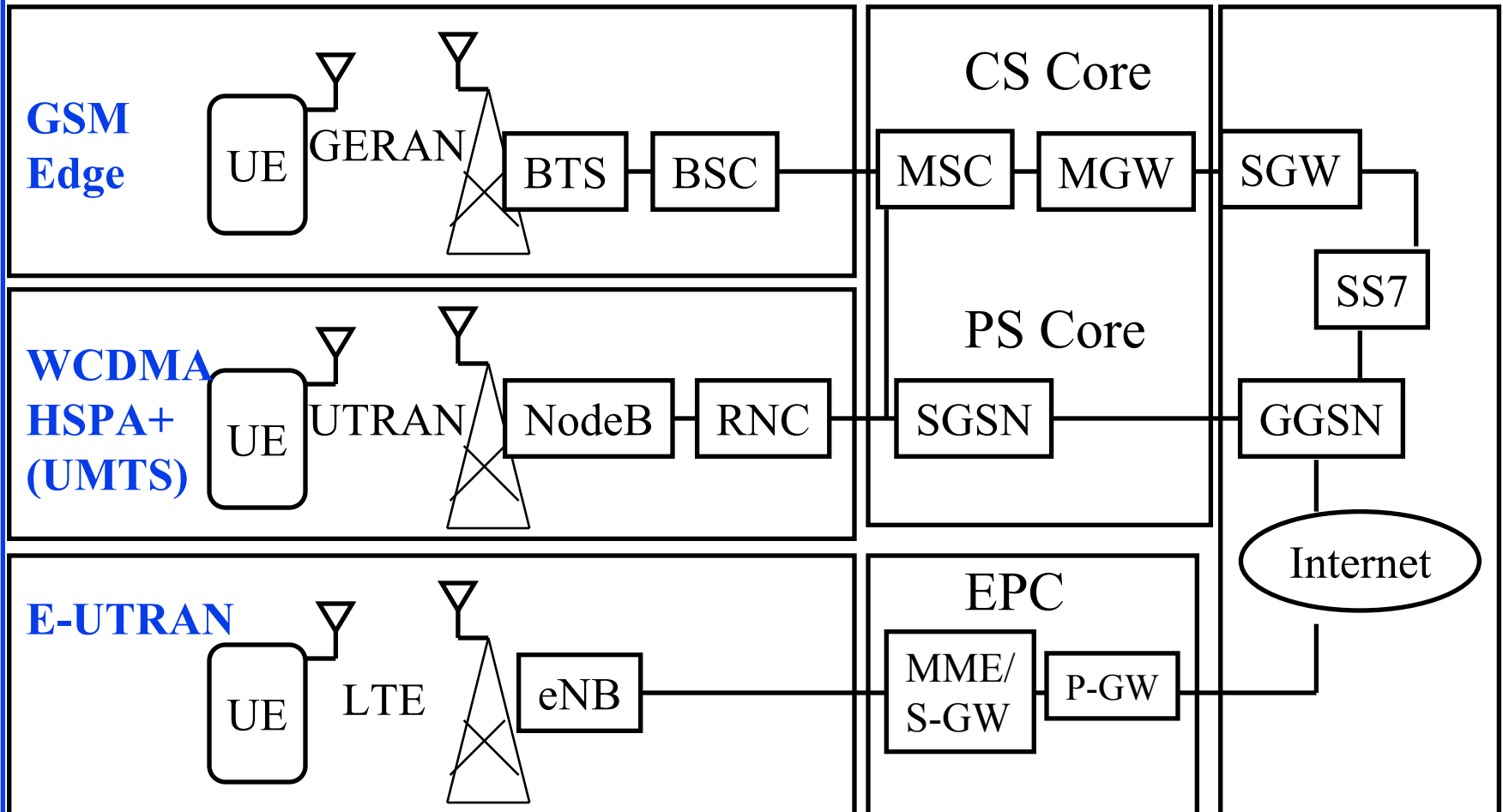
EPC (Cont)

- ❑ Supports new LTE and legacy 2G (GERAN) and 3G (UTRAN) networks
- ❑ Four new elements:
 1. **Serving Gateway**: Demarcation point between RAN and Core. Serves as mobility anchor when terminals move
 2. **Packet Data network Gateway (PGW)**: Termination of EPC towards Internet or IMS network. IP services, address allocation, deep packet inspection, policy enforcement
 3. **Mobility Management Entity (MME)**: Location tracking, paging, roaming, and handovers. All control plane functions related to subscriber and session management.
 4. **Policy and Charging Rules Function (PCRF)**: Manages QoS

Evolved Packet System (EPS)

Radio Access Network

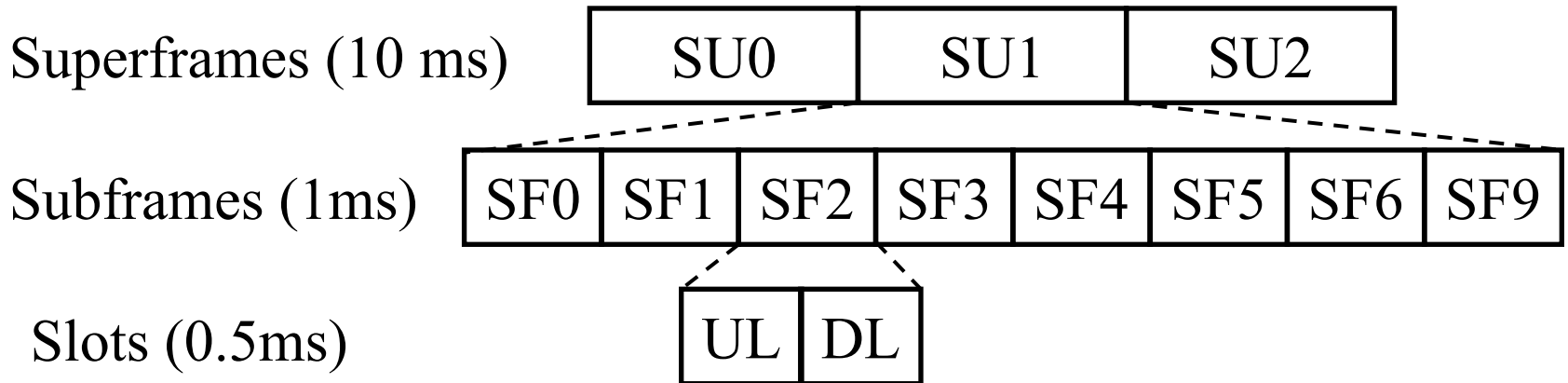
Serving Network Core Network



Evolved Packet System (Cont)

- ❑ CS = Circuit Switched
- ❑ EPC = Evolved Packet Core
- ❑ EPS = Evolved Packet System
- ❑ GERAN = GSM Enhanced Radio Access Network
- ❑ GGSN = Gateway GPRS Support Node
- ❑ LTE = Long Term Evolution
- ❑ MME = Mobility Management Utility
- ❑ MSC = Mobile Switching Center
- ❑ P-GW = Packet Gateway
- ❑ PS = Packet Switched
- ❑ RNC = Radio Network Control
- ❑ S-GW = Serving Gateway
- ❑ SGSN = Service GPRS Support Node
- ❑ SS7 = System 7
- ❑ eNB = Evolved NodeB

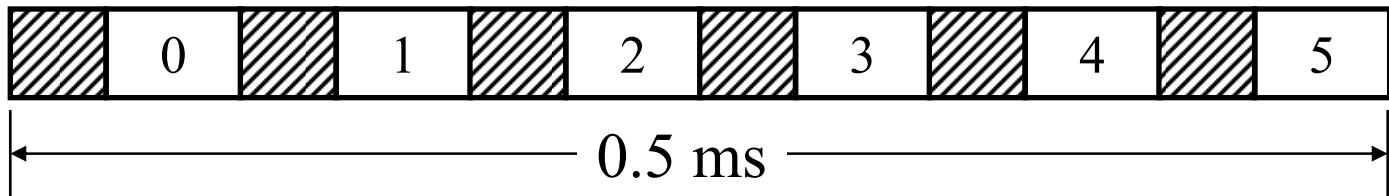
LTE Frame Structure



- ❑ Normal Cyclic Prefix: 5.2 us for 1st symbol, 4.7 us for others



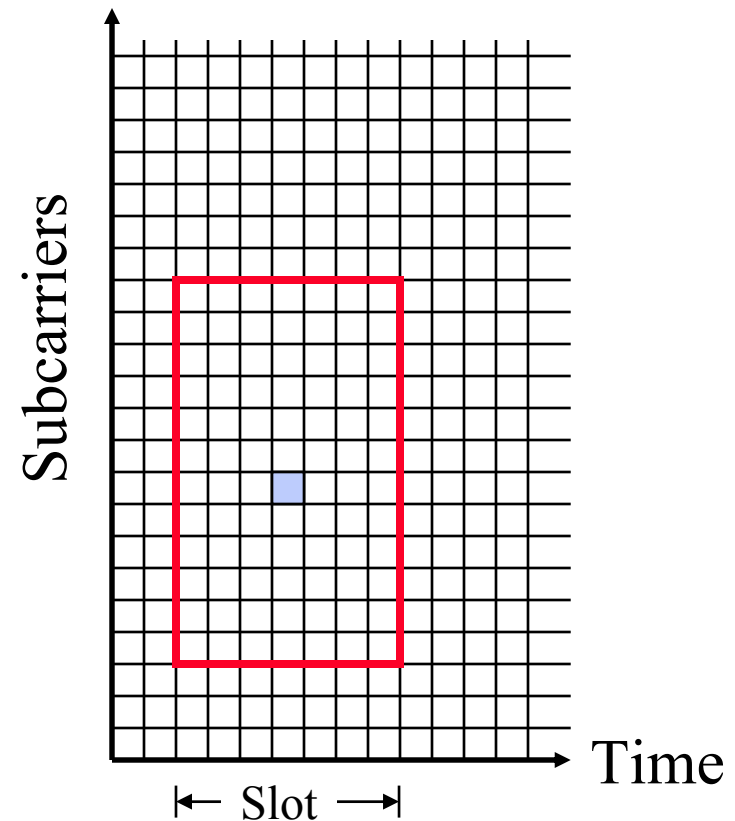
- ❑ Extended Cyclic Prefix: for larger networks. 16.7 us



Ref: Rhode and Schwarz, "UMTS Long Term Evolution (LTE) Technology Introduction,"
http://www2.rohde-schwarz.com/file/1MA111_2E.pdf

Resource Allocation

- ❑ Time slot = 7 OFDM symbols
= 0.5 ms
- ❑ Resource Block = 12
subcarriers over 1 time slot
- ❑ Subframe = 2 time slots = 1 ms



Resource Allocation (Cont)

- Inter-carrier spacing = 15 kHz (Normal),
7.5 kHz (Multi-cell MBMS)

Cyclic Prefix	Subcarrier Spacing	Subcarriers /RB	Symbols /RB	Cyclic Prefix Time
Normal	15 kHz	12	7	5.2us for 1st symb 4.7 us for others
Extended	15 kHz	12	6	16.7 us
Extended	7.5 kHz	24	3	33.3 us

- Frame structure type II is for TDD systems compatible with Chinese TD-SCDMA systems. Not discussed here.

Ref: Rhode and Schwarz, "UMTS Long Term Evolution (LTE) Technology Introduction,"
http://www2.rohde-schwarz.com/file/1MA111_2E.pdf

Control Channels

- ❑ **Downlink Control Information (DCI):** Carries downlink schedule, uplink schedule, power control, supported MIMO, etc. 10 Different DCI items.
- ❑ DCI is carried on **Physical Downlink Control Channel (PDCCH)**. Uses the first few symbols in each subframe
- ❑ **Physical Control Format Indicator Channel (PCFICH):** First OFDM symbol of each subframe. Contains Control Format Indicator (CFI) which indicates the number of symbols for PDCCH.
- ❑ Data channels are called **transport channels**

Broadcast/Multicast Channels

□ Broadcast Channels:

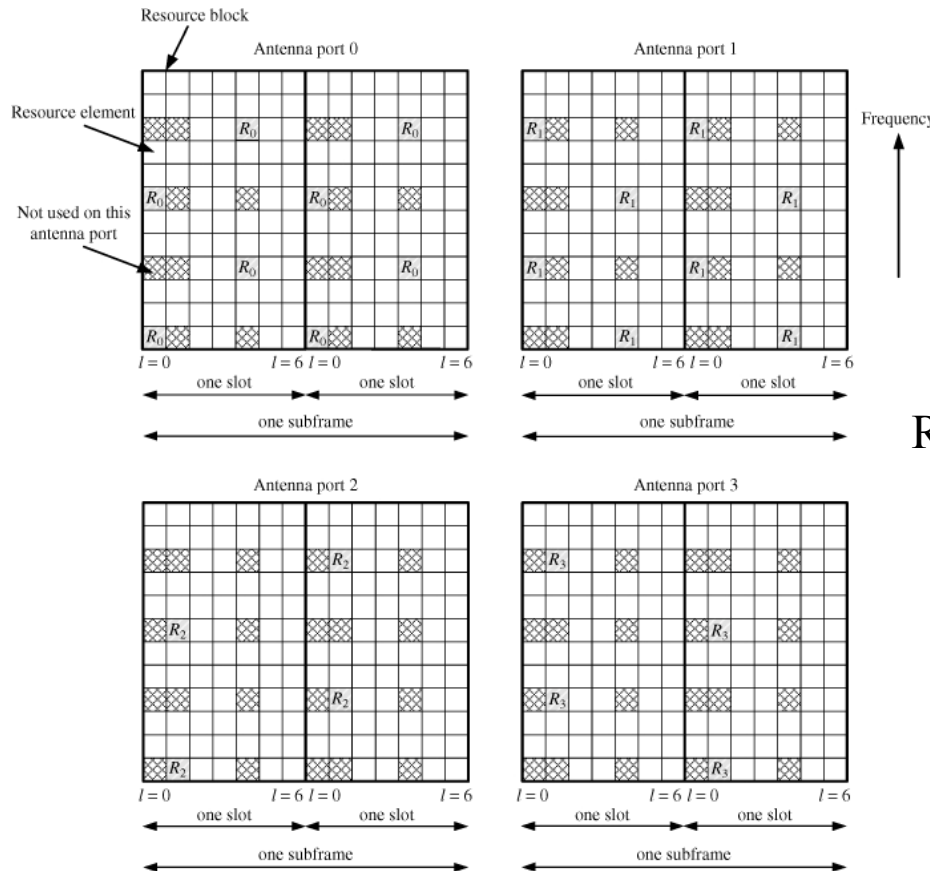
- Contains all the information needed for users to join the system, e.g., bandwidth, antenna configuration, Pilot signal power, etc.
- There is **no H-ARQ** on broadcast.
- QPSK modulation

□ Multicast Channels:

- Mobile TV
- Multi-cell transmission from multiple base stations
- Uses **extended** Cyclic Prefix

Reference/Pilot Signals

- Known symbols are inserted at predetermined pilot locations



$R_i = \text{Pilot from } i^{\text{th}} \text{ antenna}$

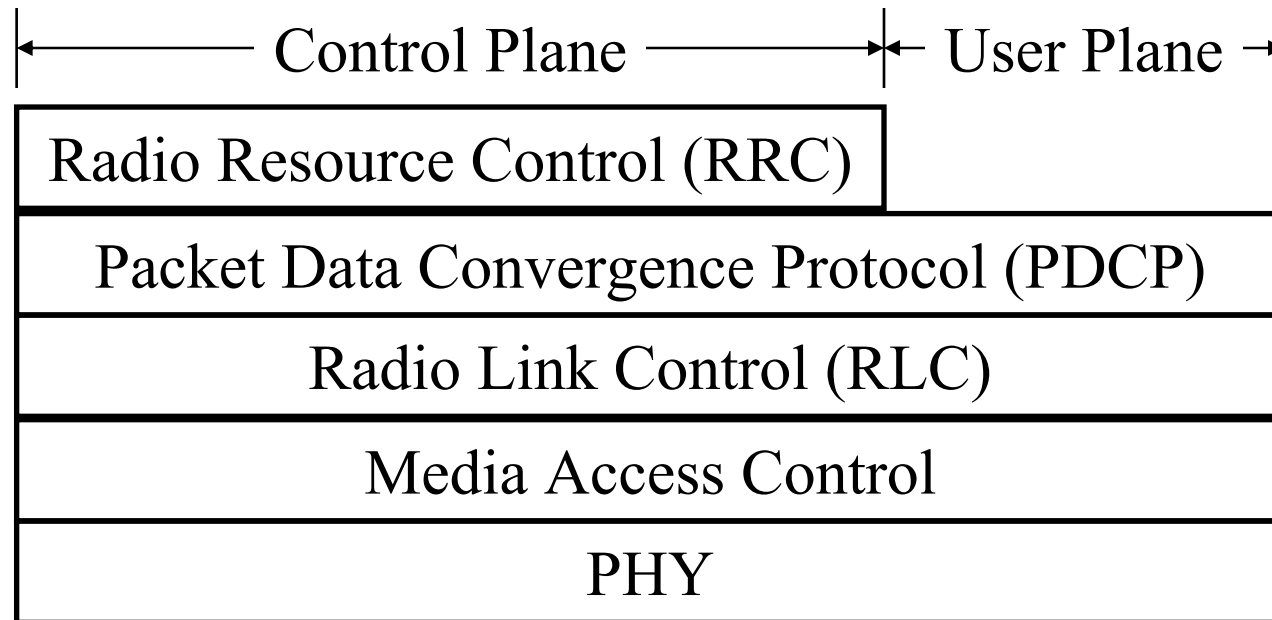
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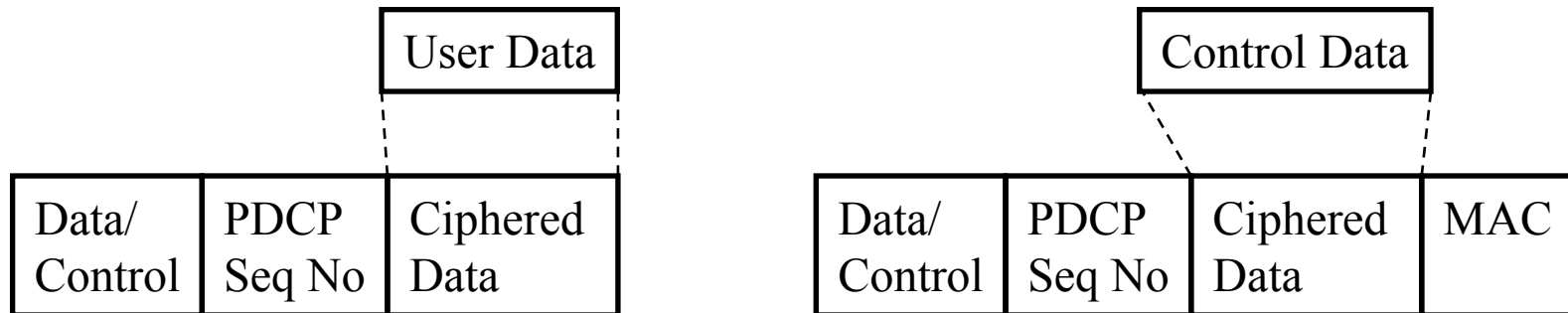
LTE Protocol Stack



- ❑ **Radio Resource Control (RRC):** Control plane functions of Paging, Connection, Disconnection, Mobility Management, QoS Management

Packet Data Convergence Protocol (PDCP)

1. **Header compression** using IETF Robust Header Compression (ROHC)
2. **Integrity** Protection of control plane data using Message Authentication Code (MAC)
3. **Ciphering** (Encryption)
4. **In-sequence delivery** and duplicated elimination

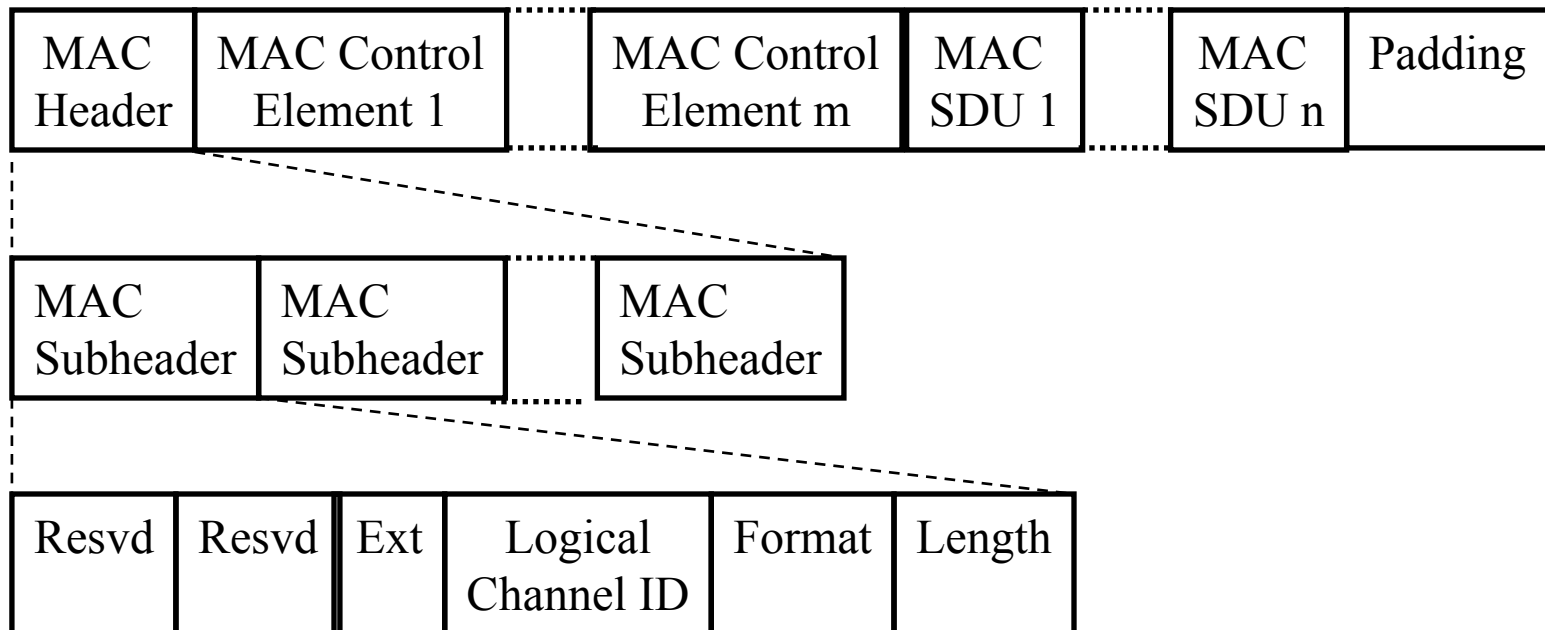


RLC (Cont)

- ❑ **Data/Control Flag:** This PDU is data or control PDU.
- ❑ **Re-Segmentation Flag:** Full or segmented PDU
- ❑ **Polling Bit:** Whether transmitter requests a status report
- ❑ **Framing Info:** SDU is segmented at the beginning and/or at the end of the data field
- ❑ **Extension Bit:** Whether Data field follows or a set of Extension field and Length Indicator fields follow
- ❑ **Sequence Number:** of the PDU
- ❑ **Last Segment Flag:** This is the last segment
- ❑ **Segment Offset:** Position of the segment in the PDU
- ❑ **Extension Bit 1:** Whether a set of NACK_SN, E, and E2 follows
- ❑ **Extension Bit 2:** Whether a set of SOstart and SOend follows
- ❑ **Negative Ack Seq No:** Sequence number of the lost PDU
- ❑ **SO Start and SO End:** Beginning and end offset of lost segment

Media Access Control (MAC)

1. Multiplexing of various control and transport channels
2. Transmission scheduling
3. H-ARQ



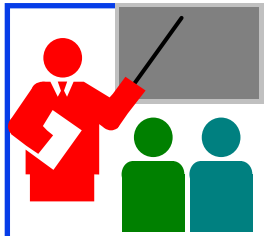
MAC (Cont)

- ❑ **Extension Flag:** More subheaders follow
- ❑ **Logical Channel ID:** Channel of the corresponding SDU
- ❑ **Format:** Indicates the size of the length field
0 \Rightarrow Less than 128 byte SDU
- ❑ **Length:** Length of the SDU

WiMAX vs. LTE



- ❑ Similar with very minor differences
- ❑ Net Head vs. Bell Head
- ❑ Enterprise Networking vs. Carrier Networking
- ❑ Academic vs. Telecom
- ❑ Intel/Google vs. Ericsson/QUALCOMM
- ❑ Both use OFDMA.
Both are incompatible with 2G and 3G (CDMA) radios.
- ❑ Quad-band \Rightarrow Penta-band



Summary

1. 4G IMT-Advanced requires **1 Gbps** with 100 MHz for fixed services and 100 Mbps for mobile services. WiMAX and LTE are pre-4G technologies. Their next generations will be 4G.
2. WiMAX and LTE have numerous **common features**: Many bands, flexible bandwidth, FDD/TDD. MIMO/Beamforming H-ARQ, IP-Based, OFDMA. The key differentiator is SC-FDMA for uplink in LTE to reduce PAPR.
3. **Puncturing** allows some ECC bits to be not transmitting. This is used in **H-ARQ** to send extra bits only if necessary.
4. STBC requires transmitting redundant symbols from multiple antenna. **SFBC** require that these redundant symbols be sent on different subcarriers.
5. LTE protocol stack consists of **RRC**, **PDCP** for header compression and encryption, **RLC** for segmentation and reassembly, and **MAC** for transmission scheduling.

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Acronyms

- ❑ 3GPP 3rd Generation Partnership Project
- ❑ ARQ Automatic Repeat Request
- ❑ BPSK Binary Phase Shift Keying
- ❑ BS Base Station
- ❑ BSC Base Station Controller
- ❑ BTS Base Transceiver Station
- ❑ CDMA Code Division Multiple Access
- ❑ CFI Control Format Indicator
- ❑ CS Circuit Switched
- ❑ DCI Downlink Control Information
- ❑ DL Downlink
- ❑ DVB-H Digital Video Broadcast handheld
- ❑ ECC Error Correcting Code
- ❑ eNB Enhanced Node B
- ❑ eNode-B Enhanced Node B
- ❑ EPC Evolved Packet Core

Acronyms (Cont)

- ❑ EPS Evolved Packet System
- ❑ FDD Frequency Division Duplexing
- ❑ FDMA Frequency Division Multiple Access
- ❑ FFT Fast Fourier Transform
- ❑ FSTD Frequency-Shift Transmit Diversity
- ❑ GERAN GSM/EDGE Radio Access Network
- ❑ GGSN Gateway GPRS Support
- ❑ GPRS General Packet Radio Service
- ❑ GSM Global System for Mobile Communications
- ❑ GW Gateway
- ❑ HSPA High-Speed Packet Access
- ❑ ID Identifier
- ❑ IEEE Institution of Electrical and Electronic Engineers
- ❑ IETF Internet Engineering Task Force
- ❑ IMS Internet Multimedia System
- ❑ IMT-Advanced International Mobile Telecommunications Advanced

Acronyms (Cont)

- ❑ IP Internet Protocol
- ❑ ITU International Telecommunications Union
- ❑ kHz Kilo Hertz
- ❑ LTE Long Term Evolution
- ❑ MAC Message Authentication Code
- ❑ MAC Media Access Control
- ❑ MBMS Multicast-Broadcast Mobile Services
- ❑ MGW Media Gateway
- ❑ MHz Mega Hertz
- ❑ MIMO Multiple Input Multiple Output
- ❑ MME Mobility Management Entity
- ❑ MSC Mobile Switching Center
- ❑ NACK Negative Acknowledgement
- ❑ OFDM Orthogonal Frequency Division Modulation
- ❑ OFDMA Orthogonal Frequency Division Multiple Access
- ❑ PAPR Peak-to-Average Power Ratio

Acronyms (Cont)

- ❑ PCRF Policy and Charging Rules Function
- ❑ PDCCH Packet Downlink Control Channel
- ❑ PDCP Packet Data Convergence Protocol
- ❑ PDFICH Physical Control Format Indicator Channel
- ❑ PDN Packet Data Network
- ❑ PDU Protocol Data Unit
- ❑ PGW Packet Data network Gateway
- ❑ PHY Physical Layer
- ❑ PS Packet Switched
- ❑ QAM Quadrature Amplitude Modulation
- ❑ QoS Quality of Service
- ❑ QPSK Quadrature Phase Shift Keying
- ❑ RAN Radio Access Network
- ❑ RLC Radio Link Control
- ❑ RNC Radio Network Control
- ❑ ROHC Robust Header Compression

Acronyms (Cont)

- ❑ RRC Radio Resource Control
- ❑ SAE Service Access Gateway
- ❑ SC-FDMA Single Carrier Frequency Division Multiple Access
- ❑ SC Single Carrier
- ❑ SDU Service Data Unit
- ❑ SFBC Space Frequency Block Code
- ❑ SGSN Service GPRS Support
- ❑ SGW Serving Gateway
- ❑ SINR Signal to Interference and Noise Ratio
- ❑ SISO Single Input Single Output
- ❑ SN Sequence Number
- ❑ SNR Signal-to-noise ratio
- ❑ SO Segment Offset
- ❑ SOstart Beginning of Segment
- ❑ STBC Space Time Block Code
- ❑ TD-SCDMA Time Division Synchronous Code Division Multiple Access

Acronyms (Cont)

- ❑ TDD Time Division Duplexing
- ❑ TDMA Time Division Multiple Access
- ❑ UE User Element
- ❑ UL Uplink
- ❑ UMTS Universal Mobile Telecommunications System
- ❑ UTRA UMTS Terrestrial Radio Access
- ❑ UTRAN UMTS Terrestrial Radio Access Network
- ❑ VTC Vehicular Technology Conference
- ❑ WCDMA Wideband Code Division Multiple Access
- ❑ WiMAX Worldwide Interoperability for Microwave Access