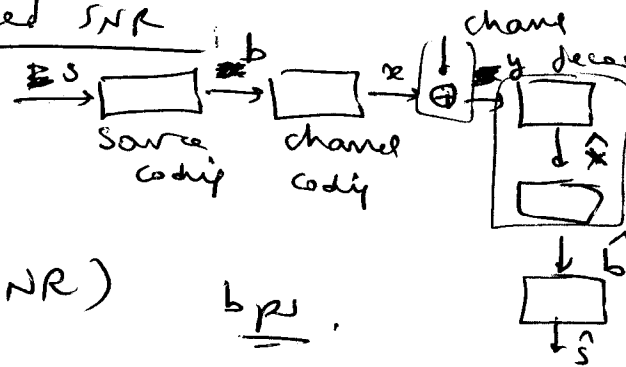


LECTURE #7

- Topics:
- A Review of AWGN channel capacity; (Definitions)
 - B Review of modulation
 - C Capacity of wireless fading & ISI channels
 - D Performance of digital Modulation over wireless fading & ISI channels

①: Channel capacity and normalized SNR

Bandlimited AWGN channel.



$$C_{[b/s]} = W \cdot \log_2 (1 + \text{SNR}) \quad \underline{\text{bps}}$$

- If $R < C_{[b/s]}$, then $\exists$ a channel coding scheme s.t. a data rate of R can be transmitted with arbitrarily low P_e 's.
- If $R > C_{[b/s]}$, no coding scheme exists that can achieve arbitrarily low P_e 's.

Note that: C depends only on W and SNR .

2) does not matter whether the channel is baseband or passband.

Spectral efficiency of a coding scheme

$$\rho = \frac{R}{W} \quad \text{bps/Hz} \quad \left[\frac{\text{bits}}{\text{second} \cdot \frac{1}{\text{second}}} = \underline{\underline{\text{bits}}} \right]$$

Then, Shannon formula

$$\Leftrightarrow \rho < \log_2(1 + \text{SNR}) \quad \text{b/s/Hz}$$

$$\Leftrightarrow \text{SNR} > 2^\rho - 1.$$

(a) Normalized SNR: SNR_{norm} :

$$\text{SNR}_{\text{norm}} \equiv \frac{\text{SNR}}{2^\rho - 1}$$

$$\Leftrightarrow \text{SNR}_{\text{norm}} > 1 \quad (0 \text{ dB})$$

↓
measures how far a given coding scheme
operates ~~away~~ from the Shannon limit
"gap to capacity" (dB)

$$(b) \left[\frac{E_b}{N_0} \right] \equiv \frac{\text{average information energy pr/bit}}{\text{noise spectral density}}$$

$$= \frac{1}{R N_0} = \frac{\text{SNR}}{\rho}$$

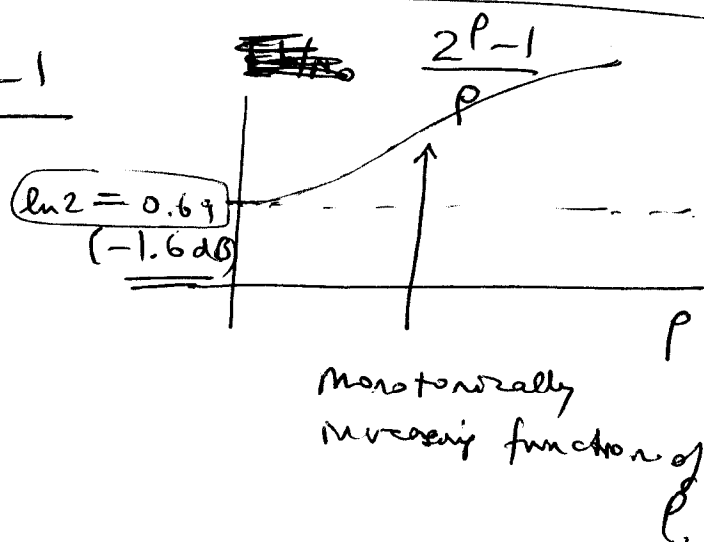
$$\frac{E_b}{N_0} = \frac{\text{SNR}}{\rho}$$

SNR: dimensionless

$$\frac{E_b}{N_0} = \frac{1}{\text{bits}}$$

Shannon formula:

$$\frac{E_b}{N_0} > \frac{2^P - 1}{P}$$



$$P=2: \quad \frac{2^P - 1}{P} = 1.76 \text{ dB}$$

$$\lim_{P \rightarrow 0} \frac{2^P - 1}{P} = 0.69 (= \ln 2) = \underline{\underline{-1.6 \text{ dB}}} \quad \text{'Shannon limit'}$$

• Power-limited vs. Bandwidth limited channels;

no sharp dividing line, but

$P = 2 \text{ b/s/Hz}$ usually taken as boundary
(highest spectral efficiency by binary transmission)

modulation scheme has

Power-limited regime $\equiv \boxed{p < 2}$

4

Behavior:

$$C_{[b/s]} \stackrel{\text{SNR small}}{=} W \log_2 (1 + \text{SNR})$$

$$\approx W \log_2 e \cdot \text{SNR} \quad (\text{by Taylor expansion})$$

(linear in SNR)

$$\Leftrightarrow p < \text{SNR} \log_2 e$$

$$\text{SNR}_{\text{nom}} \approx \frac{\text{SNR}}{p \ln 2} = \left[\frac{E_b}{N_0} \right] \log_2 e.$$

* In power-limited regime, $C_{[b/s]}$ and p (achievable) grow linearly with SNR.

Bandwidth-limited regime:

$$C_{[b/s]} \stackrel{\text{SNR large}}{=} W \log_2 (1 + \text{SNR})$$

$$\approx W \log_2 (\text{SNR})$$

$$p < \log_2 (\text{SNR})$$

$$\text{SNR}_{\text{nom}} = \frac{\text{SNR}}{2p}$$

* $C_{[b/s]}$ and p (achievable) go logarithmically in

SNR. [need 3 dB increase in SNR to get additional 1 b/s/Hz.]

Examples:

1. wired voice channel:

$$W = 3.5 \text{ kHz}$$

$$\text{SNR} = 37 \text{ dB}$$

Shannon formula: $C < \frac{37}{3} = 12.3 \text{ b/s/Hz}$

$$R < 43 \text{ kbps}$$

Increase SNR by 3 dB. $\rightarrow$ (P) goes up to $\boxed{13.3}$
 $\cdot R \uparrow 43 + 3.5 \text{ kbps}$
 $= 46.5 \text{ kbps}$

[use multilevel modulation]

(small increase)

(E/N₀ used)

2. Deep-space comm. link (no bandwidth restriction)
 (power limitation).

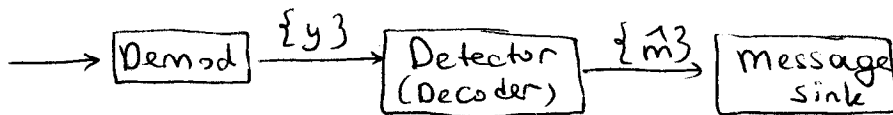
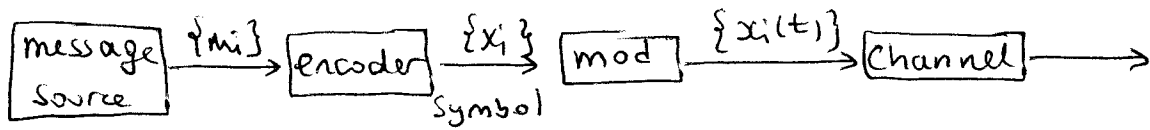
$$R < \frac{P}{N_0} \log_2 e$$

Increase SNR by 3 dB doubles the data rate.

[use binary coding & modulation]

(SNR_{nom} used)

Ch#1 Signals & Detection: Discrete Data Transmission:



$$x(t) \triangleq \sum_{n=1}^N x_n \phi_n(t)$$

modulation by orthonormal basis fns.
modulated waveform

$$\langle \phi_m, \phi_n^* \rangle = \int_{-\infty}^{\infty} \phi_m(t) \phi_n^*(t) dt = \delta_{mn}$$

Signal constellation: Set of M vectors $\{x_i\}$

$\{x_i(t)\}$ is called the signal set

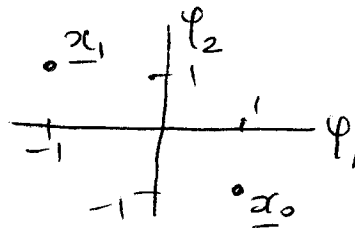
Average energy:

$$E_x \triangleq E[\|x\|^2] = \sum_{i=0}^{M-1} \|x_i\|^2 P_x(i)$$

BPSK basis fns:

$$\phi_1(t) = \sqrt{\frac{2}{T}} \cos\left(\frac{2\pi t}{T} + \frac{\pi}{4}\right)$$

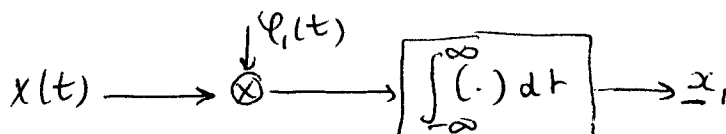
$$\phi_2(t) = \sqrt{\frac{2}{T}} \cos\left(\frac{2\pi t}{T} - \frac{\pi}{4}\right)$$



2B1Q: (d=2)

Invariance of inner product: $\langle \underline{v}, \underline{v} \rangle = \langle v(t), v(t) \rangle$

DEMODULATION: Recovering vectors from modulated waveforms



Recall $x_i(t) = \sum_{n=1}^N x_{in} \psi_n(t)$

$$x_{in}^* = \int_{-\infty}^{\infty} x_i(t) \psi_n^*(t) dt$$

Correlative demodulator.

OR

$$\left. x(t) * \psi_n(T-t) \right|_{t=T} = x_{in}$$

matched filter demodulator.

MAP Detector (p.15)

$\min P_e \Leftrightarrow \max P_{X|Y}(i|\underline{v})$ given a received vector $\underline{y} = \underline{v}$.

MAP Detection Rule:

$$\hat{m} \Rightarrow m_i \text{ if } P_{Y|X}(\underline{v}|i) P_X(i) \geq P_{Y|X}(\underline{v}|j) P_X(j)$$

ML detection rule:

$$\hat{m} \Rightarrow m_i \text{ if } P_{Y|X}(\underline{v}|i) \geq P_{Y|X}(\underline{v}|j)$$

p.22

AWGN Channel (Detection Rules)

MAP: $\|\underline{v} - \underline{x}_i\|^2 \leq \dots$

ML: $\|\underline{v} - \underline{x}_i\|^2 \leq \|\underline{v} - \underline{x}_j\|^2$

Bits per Dimension: # of bits per dimension in a constellation

$$\bar{b} \triangleq \frac{b}{N} = \frac{\log_2(M)}{N}$$

$$\text{\# of bits per Hz} = 2\bar{b}$$

CFM:

$$\mathcal{Z}_x = \frac{\left(\frac{d_{\min}}{2}\right)^2}{\bar{\epsilon}_x}$$

(unitless)

• must use for systems w/ same $\bar{b}$
(N may be different)

Energy per bit: (in a constellation $\{x\}$):

$$\epsilon_b = \frac{\epsilon_x}{b} = \frac{\bar{\epsilon}_x}{\bar{b}}$$

CONSTELLATIONS: p. 41-62

ADDITIVE SELF-CORRELATED NOISE:

I. FILTERED ONE-SHOT AWGN CHANNEL:

$$x(t) \rightarrow [h(t)] \rightarrow \tilde{x}(t) \xrightarrow{\oplus} \tilde{y}(t) \quad \begin{array}{l} \downarrow n_s(t) \\ \text{white GSN noise} \end{array}$$

$$\tilde{x}_1(t) = h(t) * x(t)$$

$$\begin{aligned} &= h(t) * \sum_{n=1}^N x_n \phi_n(t) \\ &= \sum_{n=1}^N x_n \underbrace{[h(t) * \phi_n(t)]}_{\triangleq \phi_n(t)} \end{aligned}$$

$\{\phi_n(t)\}$ are not necessarily orthogonal. For no loss of information (i.e. for channel to convey all M messages) $\{\phi_n(t)\}$ have to be

linearly independent.

Using Gram-Schmidt, generate $\{\psi_n(t)\}$, ^{new} orthonormal basis fns from $\{\phi_n(t)\}$.

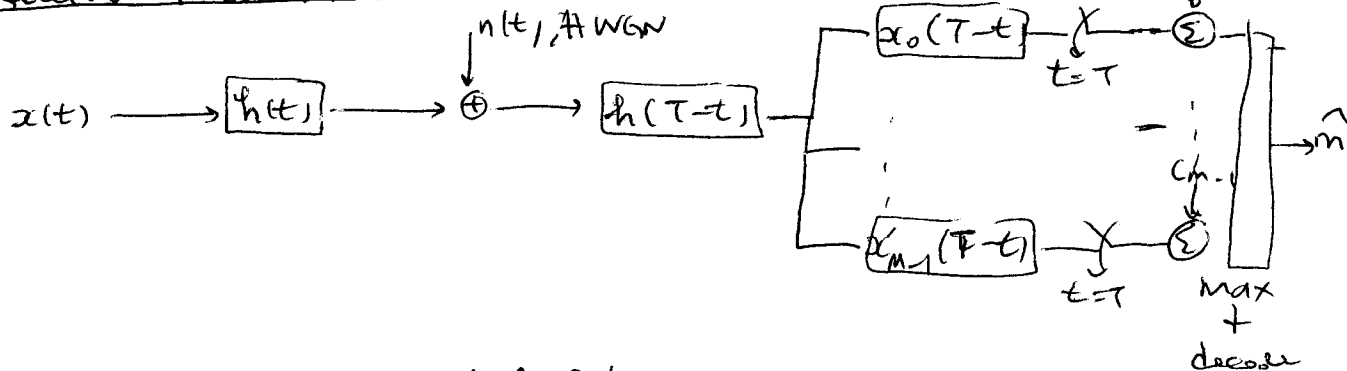
so: $\tilde{x}_{in} = \langle \tilde{x}_i(t), \psi_n(t) \rangle$.

↑
new signal constellation

in new signal constellation

$$\text{Then: } P_e \leq N_e Q\left(\frac{d_{min}}{2\sigma}\right)$$

Receiver + detector:



II. OPTIMUM DETECTION IN ACGN

BOUNDS (on AWGN channel...)

① UNION BOUND :

$$P_e \leq (M-1) \cdot Q\left(\frac{d_{\min}}{2\sigma}\right)$$

② NNUB :

$$N_e \triangleq \sum_{i=0}^{M-1} N_i p_x(i)$$

Average # of nearest neighbors.

N_i = # of constellation points ^{with} which i shares a decision boundary.

$$P_e \leq N_e Q\left(\frac{d_{\min}}{2\sigma}\right)$$

ALTERNATIVE PERFORMANCE MEASURES

① BER :

$$P_b \triangleq \sum_{i=0}^{M-1} \sum_{\substack{j \\ j \neq i}} p_x(i) P\{E_{ij}\} n_b(i,j).$$

For AWGN channel:

use this.

$$P_b \lesssim N_b \cdot Q\left[\frac{d_{\min}}{2\sigma}\right]$$

where $n_b(i) \triangleq \sum_{j=1}^{N_i} n_b(i,j)$

$$N_b \triangleq \sum_{i=0}^{M-1} p_x(i) n_b(i)$$

$n_b(i,j)$ = # of bit errors for the particular choice of encoder when i is detected as j .

② PROB. OF BIT ERROR :

$$\boxed{\bar{P}_b \triangleq \frac{P_b}{b}} \quad 0 \leq \bar{P}_b \leq 1 \quad \text{always}$$

③ Normalized Prob. of ERROR

$$\boxed{\bar{P}_e \triangleq \frac{P_e}{N}}$$

④ Normalized N_e : $\bar{N}_e = \frac{N_e}{N}$.

$$\therefore \boxed{\bar{P}_e \leq \bar{N}_e Q\left(\frac{d_{\min}}{2\sigma}\right)}$$

CONSTELLATIONS AND MODULATION

$$\boxed{\bar{E}_x = \frac{E_x}{N}}$$

• Average power :

$$\boxed{P_x = \frac{E_x}{T}}$$

• Noise energy per dimension

$$\boxed{\bar{\sigma}^2 = \frac{\sum_{i=1}^N \sigma^2}{N} = \sigma^2 = \frac{N_0}{2}}$$

• SNR :

$$\boxed{SNR = \frac{\bar{E}_x}{\sigma^2} \leftarrow \text{per dimension}}$$

$M = \# \text{ of data symbols}$

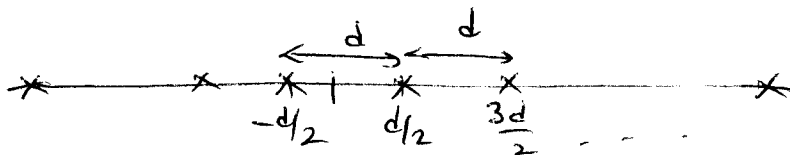
$$b = \log_2(M)$$

$$R = \frac{b}{T}$$

RECTANGULAR CONSTELLATIONS :

I. PAM :

$$d_{\min} = d$$



$$x = f(d, M) \quad \varepsilon_x = \bar{\varepsilon}_x = \frac{d^2}{2M} \left[\frac{M^3}{6} - \frac{M}{6} \right] \quad (\text{as a fn of } (d, M))$$



$$\varepsilon_x = \bar{\varepsilon}_x = \frac{d^2}{12} [M^2 - 1]$$

$$d = f(\varepsilon_x, M) \quad d = \sqrt{\frac{12 \varepsilon_x}{M^2 - 1}}$$

$$b = f(\varepsilon_x, d) \quad \bar{b} = \log_2(M) = \frac{1}{2} \log \left(12 \frac{\bar{\varepsilon}_x}{d^2} + 1 \right)$$

$$d = f(b, \varepsilon_x) \quad d = \sqrt{\frac{12 \varepsilon_x}{4^b - 1}}$$

• Increasing b while keeping $d_{\min}$ constant:

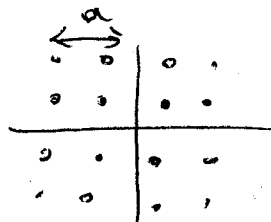
$$\bar{\varepsilon}_x(b+1) = 4 \bar{\varepsilon}_x(b) + \frac{d^2}{4}$$

$$P_e = f(d, \bar{b}) \quad P_e = \bar{P}_e = 2 \left(1 - \frac{1}{2^{\bar{b}}} \right) \cdot Q \left(\frac{d_{\min}}{2\sigma} \right)$$

Exact.
(also NNVB)

$$P_e = f(\text{SNR}, M) \quad P_e = 2 \left(1 - \frac{1}{M} \right) Q \left(\sqrt{\frac{3 \text{SNR}}{M^2 - 1}} \right) = 2 \left(1 - \frac{1}{M} \right) Q \left(\sqrt{\frac{3 \text{SNR}}{2^{2\bar{b}} - 1}} \right)$$

II. QAM



(a) QAM-SQ : b even

$$\varepsilon_x = d^2 \left(\frac{M-1}{6} \right)$$

$$\bar{\varepsilon}_x = \frac{\varepsilon_x}{2} = \frac{d^2}{12} (M-1)$$

$$d_{min} = d$$

$$d_{min} = f(\varepsilon_x, M)$$

$$d = \sqrt{\frac{6 \varepsilon_x}{M-1}} = \sqrt{\frac{12 \bar{\varepsilon}_x}{M-1}}$$

$$d = f(b, \bar{\varepsilon}_x)$$

$$d = \sqrt{\frac{12 \bar{\varepsilon}_x}{4^{\frac{b}{2}} - 1}}$$

- Increasing b while maintaining d :

$$\varepsilon_x(b+1) = 2 \varepsilon_x(b) + \frac{d^2}{6}$$

$$P_e = 4 \left(1 - \frac{1}{\sqrt{M}} \right) Q \left(\frac{d}{2\sigma} \right) - 4 \left(1 - \frac{1}{\sqrt{M}} \right)^2 \left[Q \left(\frac{d}{2\sigma} \right) \right]^2$$

exact

NNUB :

$$P_e < 4 \left(1 - \frac{1}{\sqrt{M}} \right) Q \left(\frac{d}{2\sigma} \right)$$

NNUB

$$\begin{aligned} \bar{P}_e &\leq 2 \left(1 - \frac{1}{2^{\frac{b}{2}}} \right) Q \left(\frac{d}{2\sigma} \right) = 2 \left(1 - \frac{1}{2^{\frac{b}{2}}} \right) Q \left(\sqrt{\frac{3 \text{SNR}}{M-1}} \right) \\ &= 2 \left(1 - \frac{1}{2^{\frac{b}{2}}} \right) Q \left(\sqrt{\frac{3 \text{SNR}}{2^{\frac{b}{2}} - 1}} \right) \end{aligned}$$

~~W~~ CFM for QAM-SQ:

$$\mathcal{L}_x = \frac{3}{M-1} = \frac{3}{4^b-1} = \frac{3}{2^b-1}$$

II. QAM (continued):

(b) QAM-CR : b odd

$$\bar{\epsilon}_x = f(M, d) \quad \boxed{\epsilon_x = \frac{d^2}{6} \left[\frac{31}{32} M - 1 \right]}$$

$$d_{\min} = d.$$

$$d = \sqrt{\frac{6 \bar{\epsilon}_x}{\frac{31}{32} M - 1}} = \sqrt{\frac{12 \bar{\epsilon}_x}{\frac{31}{32} M - 1}}$$

• Inc b while keep d same:

$$\boxed{\epsilon_x(b+1) = 2\epsilon_x(b) + \frac{d^2}{6}}$$

$$P_e = f(d, M)$$

$$\boxed{P_e < 4 \left(1 - \frac{1}{\sqrt{2M}} \right) Q \left(\frac{d_{\min}}{2\sigma} \right)} \quad \text{NNUB}$$

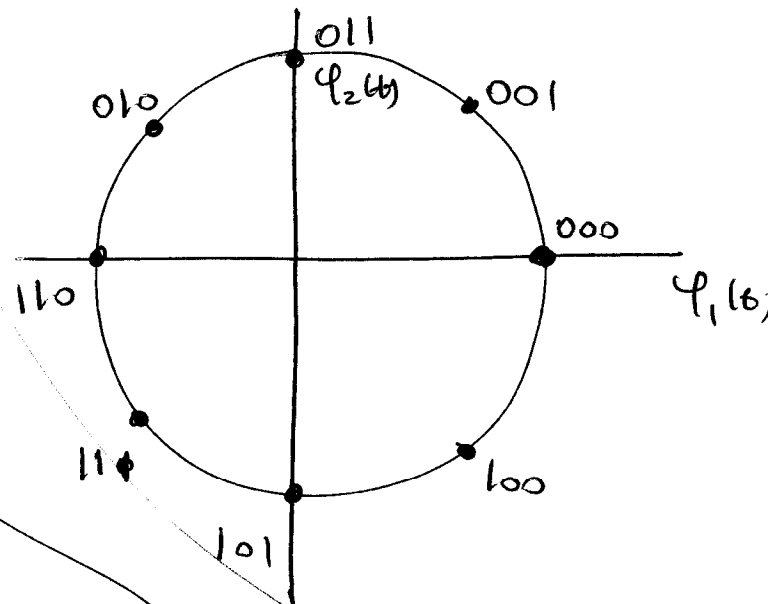
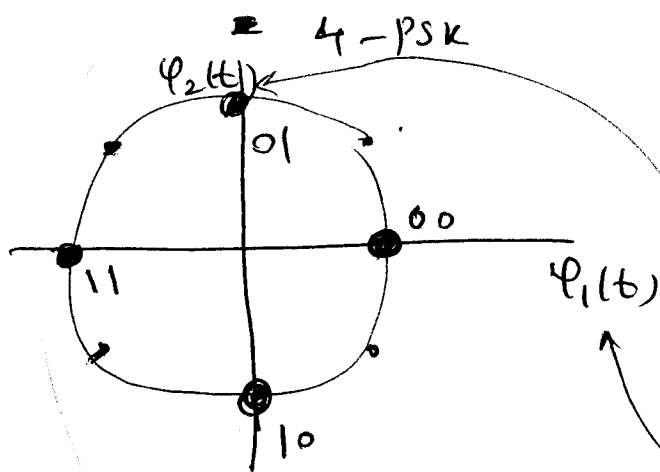
$$P_e = f(\text{SNR}, M)$$

$$\frac{d_{\min}}{2\sigma} = \sqrt{\frac{3 \text{SNR}}{\frac{31}{32} M - 1}}$$

(B1) PHASE SHIFT KEYING.

$$S_m(t) = \operatorname{Re} \{ g(t) e^{j2\pi(m-1)/M} e^{j2\pi f_c t} \} \quad 0 \leq t \leq T_s$$

$$= g(t) \cos \left(2\pi f_c t + \frac{2\pi}{M} (m-1) \right)$$



$$= g(t) \cos \left[\frac{2\pi}{M} (m-1) \right] \cos(2\pi f_c t)$$

$$- g(t) \sin \left[\frac{2\pi}{M} (m-1) \right] \sin(2\pi f_c t)$$

$$E_{sm} = \frac{1}{2} E_s$$

$$d_{min} = \sqrt{E_s \cdot \left(1 - \cos \left(\frac{2\pi}{M} \right) \right)}$$

4/21/99
Thursday

Announcements

HW2 due today

Last time:

- Capacity of flat-fading channels
- " " frequency-fading "

Today:

- Digital modulation
- Performance in AWGN
- " " fading

Linear modulation

PSK

QAM

or

$$s(t) = \operatorname{Re} \{ u(t) e^{j2\pi f_c t} \}$$

$$= \left[\sum_n a_n g(t - T_s) \right] \cos(2\pi f_c t) - \left[\sum_n b_n g(t - T_s) \right] \sin(2\pi f_c t)$$

T_s = symbol time, M bits/symbol

for QPSK
- $T_s/4$
- $T_s/2$

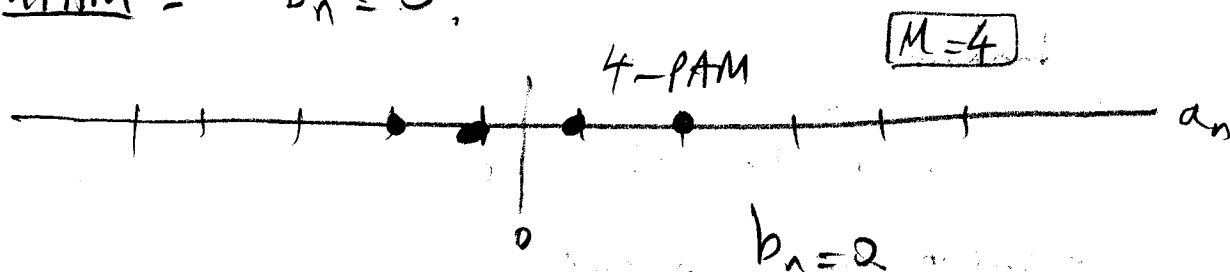
$$T_s = MT_b$$

a_n, b_n - info bits.

$g(t)$ - pulse shape.

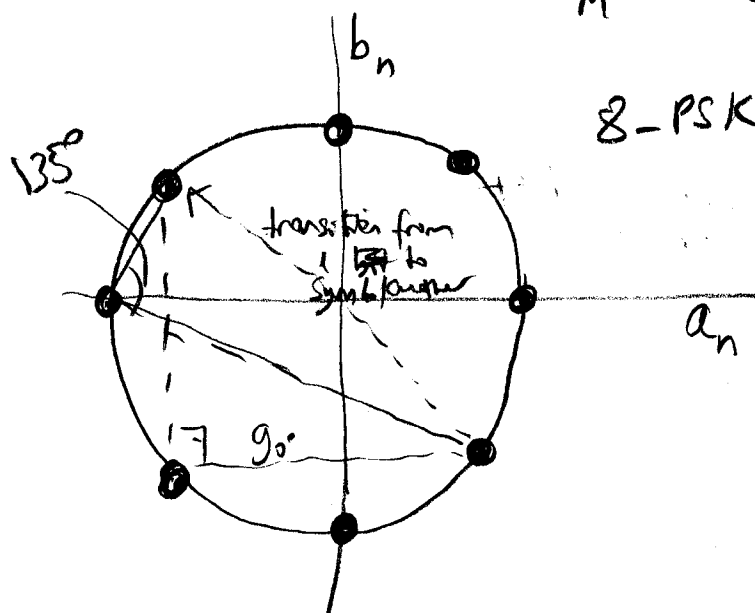
- For each symbol time T_s , map M bits into (a_n, b_n) .

MPAM - $b_n = 0$.



M-PSK: Each symbol is selected from points equally spaced in angle.

M bits/symbol $\Rightarrow \frac{2\pi}{M}$ = angular spacing



$$\begin{bmatrix} \overline{5K} \\ ? \\ 1 \end{bmatrix} \left[\begin{array}{ll} \frac{T_s}{2} & 90^\circ \text{ phase transition} \\ \frac{T_s}{4} & 135^\circ \end{array} \right]$$

Quadrature offset:

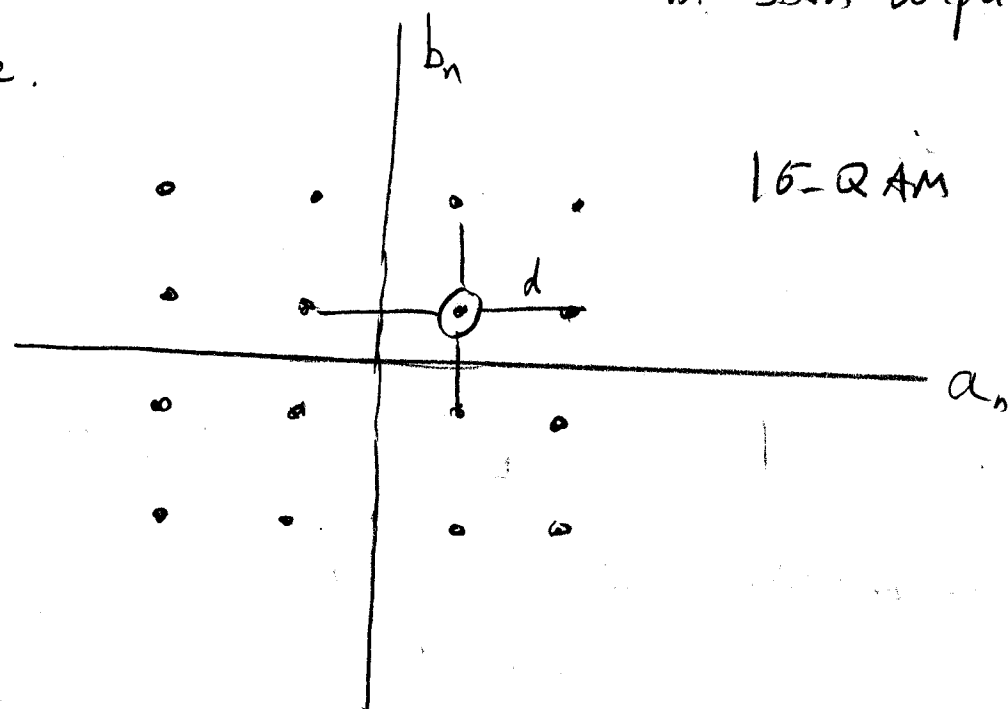
• If the offset is $\frac{T_s}{2}$, then 90° phase transitions, called OMPSK or QPSK

• Offset $\frac{T_s}{4} \rightarrow$ get 135° phase transition called $\frac{\pi}{4}$ -MPSK.

better than $\frac{T_s}{4}$,

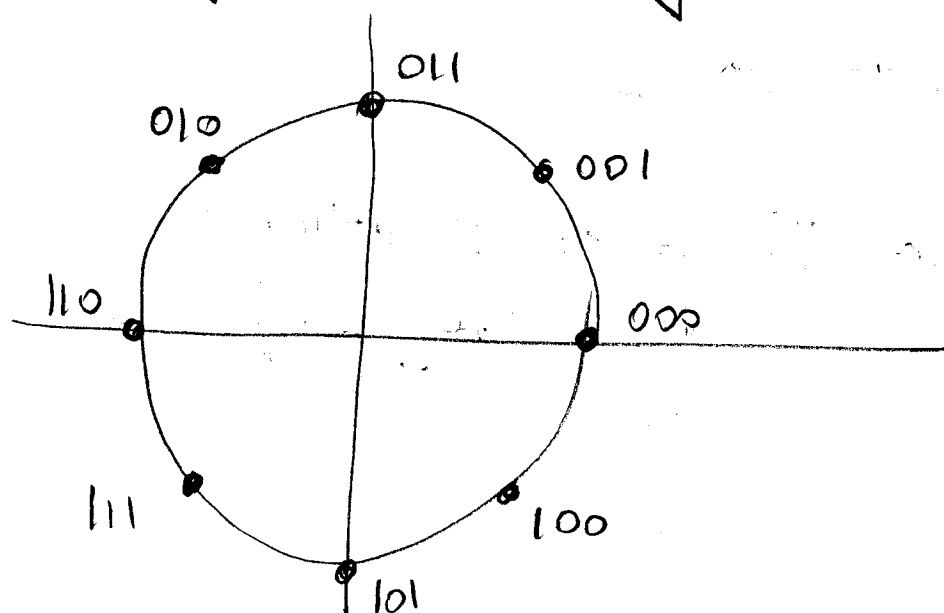
But $\frac{T_s}{4} \rightarrow$ can do differential phase encoding. ($\frac{\pi}{4}$ -DPSK). used in IS-54.

MQAM: Encode information in both amplitude and phase.



Bit Mapping: M bits $\rightarrow$ 1 symbol
(a_n, b_n)

— typically use Gray coding.



! at most 1 bit error if you mistake as neighbor.

- minimizes # of bit errors for adjacent symbol errors.

Distance between points : (a_m, b_m) and (a_n, b_n) .

$$d_{mn} = \sqrt{(a_n - a_m)^2 + (b_n - b_m)^2}$$

d_{mn} is a fn of average energy per symbol E_s .

$P_s = \Pr\{\text{mistaking a symbol for another}\}$
at high SNR's:

$\approx \Pr\{\text{mistaking a symbol for its nearest neighbor}\}$

P_s at high SNRs determined by the # of nearest neighbors and the distance between nearest neighbors; $d_{\min}$,

$$d_{\min} = \min_{n,m} d_{n,m}$$

Pulse shaping:

- control ^{to} BW of transmitted signal.
- controls spectral properties of tx signal.
- may also introduce self-interference (ISI).
(ISI introduced by designer to get smaller BW) This ISI is not channel induced.

- Family of Nyquist pulses: have zero ISI (introduced by designer) if timing is perfect.
 $\Rightarrow g(t) = 0$ at any nT_s for $n \neq 0$.

- Rectangular pulse ✓

- Raised cosine pulse.

parametrized by β .

↓
(spectral eff vs. timing jitter)

See Figure 5.6.

QAM pulse shape, Non-Nyquist

(self-ISI present).

trade-off between spectral properties and

ISI you introduce.

Differential Modulation - used to get around

a coherent phase reference.

Motivation: It's difficult to obtain a

coherent phase reference in a fading

environment.

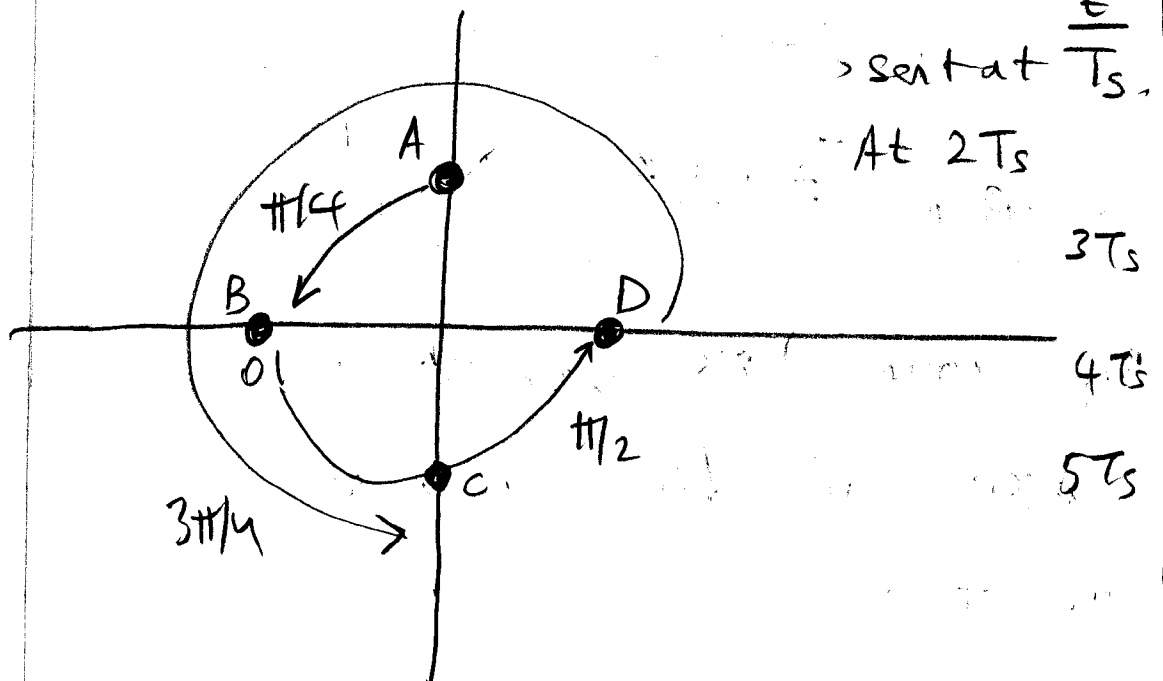
Also, phase drift impacts P_b of linear modulation.

Basic Premise: Use previous symbol as a phase reference for current symbol.

$\Rightarrow$ information bits are encoded as the phase difference between symbols.

Example: 4-DPSK.

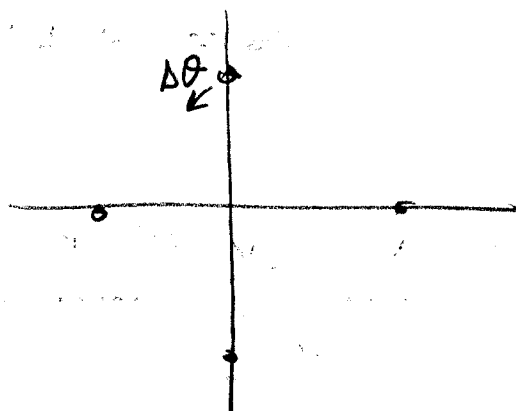
<u>Information bits</u>	<u>$\Delta \phi$</u>
00	0
01	$\pi/4$
10	$\pi/2$
11	$3\pi/4$



<u>Send</u>	<u>info</u>
A	00
B	01
D	10
C	11

- Removes most of impact of phase drift.

Drift: $\Delta\theta$



If $\Delta\theta \ll \frac{2\pi}{M}$ over $[0, T_s]$

we then, never make a symbol error.

difference over only 1 symbol time matters.

Then phase drift won't hurt you.

Power-penalty: Double the power.
(But get receiver simplicity)

• If channel Doppler is high ;
coherence time Δt_c of channel

If $T_s > \Delta t_c \Rightarrow$ channel completely
decorrelated $\Rightarrow$ phase reference

is independent of current symbol phase!

$\Rightarrow$ You will make an error no matter what.

$\Rightarrow$ Irreducible Error Floor at high Dopplers.

II. Nonlinear Modulation:

$$s(t) = \underbrace{A}_{\text{constant envelope}} \cos(2\pi f_c t + 2\pi \alpha_m \Delta f_c t)$$

$\downarrow$
constant envelope.

α_m = varied wrt info. bits

$\alpha_m = \pm 1$ binary FSK.

To maintain continuous phase, use FM

(FSK is a special case of FM)

$$s(t) = A \cos \left[2\pi f_c t + 2\pi K \int_{-\infty}^t m(\tau) d\tau \right]$$

$m(t) = \sum_n a_n g(t - nT_s)$ is a PAM signal

By Carson's Rule,

$$BW_{FM} \approx 2\Delta f_c + 2B_u$$

B_u is BW of $m(t)$

$$= BW \text{ of } g(t).$$

$\therefore$ can use pulse-shaping to control spectrum.

Note that

$$BW_{FM} > B_u = BW \text{ for linear modulation} \\ = BW \text{ of } g(t).$$

Minimum frequency spacing in FSK is

$$\Delta f_c = \frac{1}{2T_b}$$

$\Rightarrow$ MSK $\nearrow$ is FSK with $\frac{1}{2}$ spacing

If $g(t) \rightarrow$ GsM pulses,

then GMSK,

$\downarrow$ constant envelope ($\Rightarrow$ no side lobes)
- not spectrally efficient

Performance in AWGN

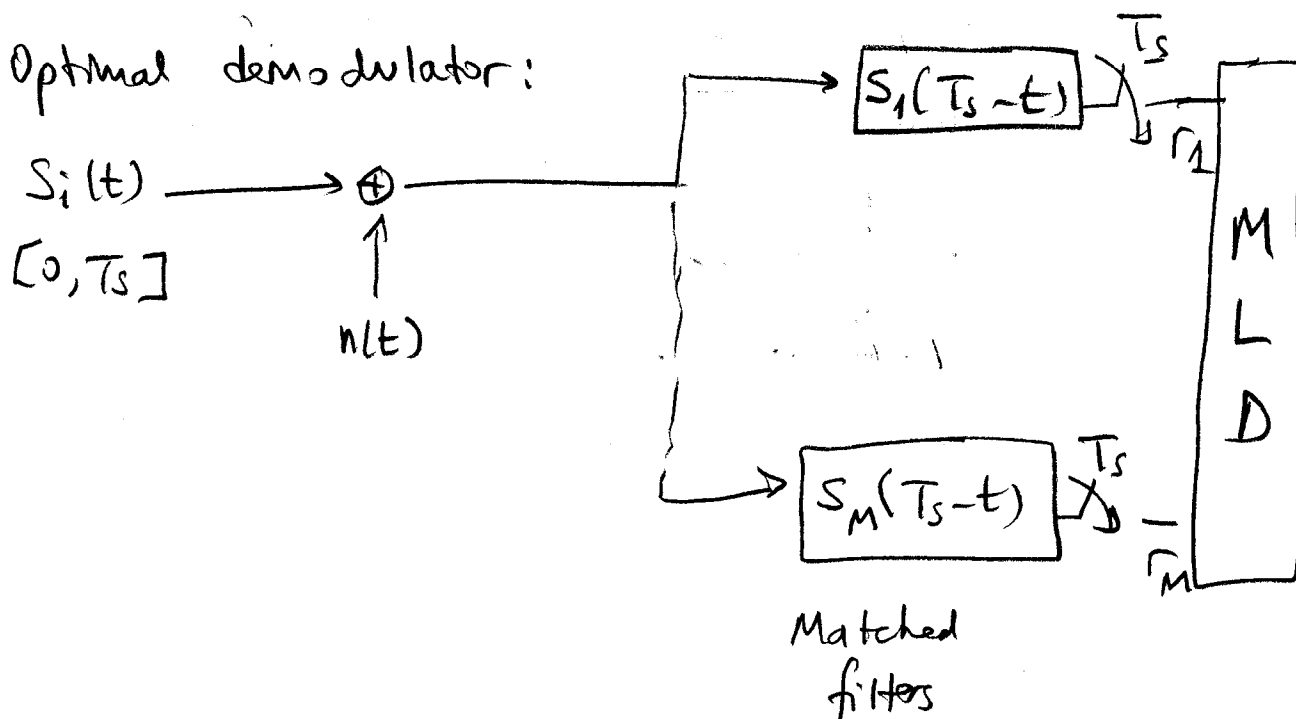
$$\text{SNR}_{\text{received}} = \frac{\text{Signal power}_{\text{received}}}{\text{noise power}} = \frac{P_r}{N_0 \cdot B}$$

$$(P_r = \frac{E_s}{T_s})$$

$$= \frac{E_s}{N_0 \cdot B \cdot T_s} \triangleq \gamma_s$$

$$= \frac{E_b}{N_0 \cdot B \cdot T_b}$$

Optimal demodulator:



$$Pr\{r_i | s_i(t)\} > Pr\{r_j | s_j(t)\} \quad j \neq i$$

MLD

For coherent detection of linear modulation at high SNRs,

$$P_s \approx \alpha \cdot Q\left(\sqrt{\frac{d_{min}}{2N_0}}\right).$$

↓
of nearest neighbors
at distance d_{min} ,

$$P_s \approx \alpha_M Q\left(\sqrt{\beta_M \gamma_s}\right)$$

↓
of nearest
neighbors
for particular
modulation M.

a unified
formula for
different mod.