– Extended Abstract – On EIRP Control in Downlink Precoding for Massive MIMO Arrays

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Abstract

The usual performance comparisons of wireless systems are based on a constrained sum-power at the transmitter. However, many wireless systems are actually constrained in their equivalent isotropic radiated power (EIRP). So far, research effort in the area of beamforming under constrained EIRP seems to be done solely for single-user systems. As an original contribution, this contribution develops a theoretical description of an EIRP-limited multi-user system with joint consideration of the EIRP and the capacity. Accordingly, the EIRP is interpreted as a function of the precoding instead of a static measure of the antenna. Down-scaling of any coventional linear precoding solution is proposed as a simple strategy to comply with the EIRP limit. Numerical results are provided in the context of massive MIMO with simple linear precoding techniques.

I. Introduction

The received signal power to noise power ratio (SNR) is a crucial parameter with respect to the capacity of wireless communication systems. Therefore, it is necessary and suitable to compare different systems in terms of some sort of power constraint to prevent a capacity increasement by simple up-scaling of the transmit power. The most common approach is the assumption of a constrained sum-power at the transmitter side of the system. However, in the beginning of the successful multiple-input multiple-output (MIMO) era an equivalent isotropic radiated power (EIRP) constraint has been investigated. The radiation characteristic has been taken into account in terms of the array factor. In [1] and [2] the EIRP constraint is mentioned to be a regulatory condition for WLAN-type systems. Again, in [3] the EIRP is studied as one possible constraint in the context of WLAN. Surprisingly, since then joint precoding and power control has rarely been taken into account in research papers on WLAN systems, although these radio systems are restricted with respect to their EIRP.

With the upcoming interest in ultra-wideband (UWB) systems, EIRP constraints were reconsidered for example in [4]–[8]. UWB systems have been standardized by the FCC, ETSI and several other institutions for license-free communication purposes [9], [10]. In order to limit interference, a regulation of the EIRP is particularly important for UWB systems, because they operate in the same frequency bands as primary, licensed systems.

The publications mentioned so far considering EIRP-limited beamforming assume only one user and a single data stream to be transmitted. However, with the target of an ultra-high speed link to a single user it is crucial to split the signal into multiple streams to relax the requirements for the decoding in the receiver, which becomes a bottleneck in such systems [11]. Most other research in the area of beamforming and/or precoding does not even mention the EIRP or deals with the EIRP as a static property of the system. To our best knowledge multi-layer beamforming with explicit consideration of the variable EIRP has not been investigated in the research literature so far. This contribution introduces a joint consideration of the capacity of a multi-layer beamforming system together with an EIRP limitation. Therefore, a theoretic problem formulation is derived to give insight to the radiation characteristics of precoded systems. In this context the resulting EIRP is a function of the precoding and not a static measure of the antenna configuration and the power. The performance gain of the consideration of the variable EIRP compared to a static EIRP is investigated in terms of numerical simulations.

The employment of so-called multi-mode antennas as anticipated in [12] will be included in the investigations of this contribution. The multi-mode antenna approach aims at very compact multiple-element antennas. The design process makes use of the theory of characteristic modes that enables multiple—theoretically orthogonal—radiation patterns on single physical elements as shown in [13]. Just the same as for spatially separated, discrete single antenna elements, multiple multi-mode antennas can be used to form an array as introduced in [14], where a 484 port array has been realized with 11×11 physical elements. Note that the utilization of multi-mode antennas results in a generalization of the considerations rather than being a special case.

Section II introduces the system model under consideration and gives insight to the configuration and flexibility of the system design. In Section III the problem formulation is derived and solved by a simple down-scaling scheme. In Section IV precoding methods for massive MIMO systems are investigated in the context of a constrained EIRP.

II. System Model

Most physical wireless channels exhibit multipath propagation, which leads to dispersion and frequency-selectivity. By means of an orthogonalization in frequency like OFDM, the system equation of each orthogonal sub-channel can be written in multiplicative vector-matrix form as

$$\boldsymbol{y} = \boldsymbol{H}\boldsymbol{x} + \boldsymbol{n}. \tag{1}$$

The received vector $\boldsymbol{y}$ for one time instant and sub-channel (time index and frequency index are omitted for simplicity) is given by the multiplication of the transmit vector $\boldsymbol{x}$ with the channel matrix $\boldsymbol{H}$ and the additive noise vector $\boldsymbol{n}$. The transmit vector $\boldsymbol{x}$ is constructed by the precoding matrix $\boldsymbol{W}$ and the symbol vector $\boldsymbol{s}$ as

$$\boldsymbol{x} = \boldsymbol{W}\boldsymbol{s}. \tag{2}$$

The vector $\boldsymbol{s}$ has the dimension $N_\mathrm{S} \times 1$, with N_S being the number of streams (or layers) in the precoder. The channel matrix is assumed to be known at the transmitter side from uplink pilots and successive channel estimation. This method is commonly assumed in time-division duplex systems like massive MIMO with reciprocal uplink and downlink channel matrices [15]–[17]. The elements of $\boldsymbol{n}$ are chosen from a circular symmetric complex zero-mean Gaussian distribution. The normalization of the precoding matrix is such that

$$\mathrm{tr}\left(\boldsymbol{W}^\mathrm{H}\boldsymbol{W}\right) \leq 1, \tag{3}$$

which preserves the overall power of the symbol vector $\boldsymbol{s}$.

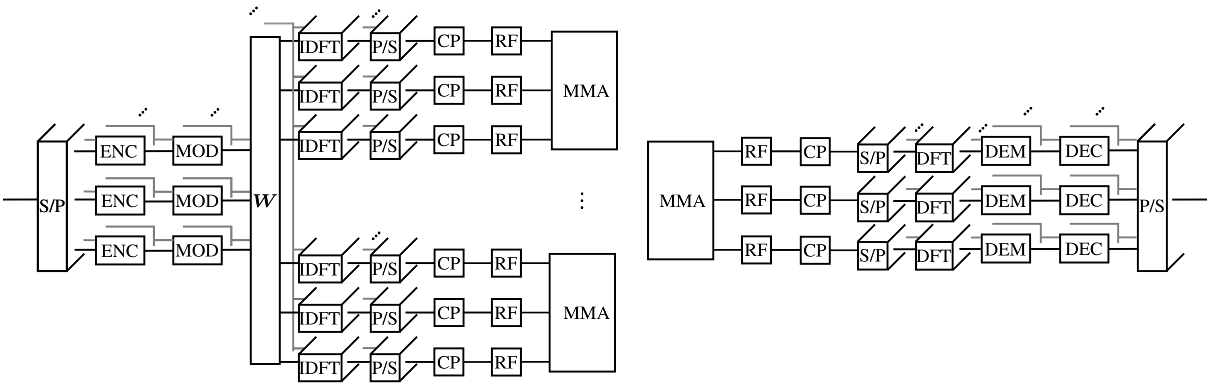


Figure 1. Block diagram of the downlink employing three streams that are encoded and modulated independently. An OFDM-like structure is used to create flat-fading channels, where each channel is beamformed separately, i.e. each frequency sub-channel has one matrix $\boldsymbol{W}$. Additional frequency bins are indicated in gray.

The system setup is sketched in Fig. 1. The system offers flexibility in terms of trade-offs between multiplexing and diversity. The extreme cases are (i) full multiplexing, where the number of streams N_{S} is equal to the number of effective receive ports $N_{\mathrm{R,eff}}$ and (ii) full diversity, where just one stream is used. In the case of full multiplexing the matrix $\boldsymbol{W}$ acts as a precoder, for the case with one input stream it breaks down to a beamforming vector. The receiver has to be configured by control bits in the MAC layer to adapt the coding rates and modulation formats. If any diversity is used, the parallel to serial conversion in the receiver unit needs a scheme to combine the diversely transceived streams. Similarly, a control unit in the transmitter takes care of channel estimation from pilots, calculation of EIRP-limited precoding, adaptive modulation formats and coding rates and the loading of bits onto the adaptive number of streams. The control unit has to consider quality of service (QoS) requirements and data rate demand to adapt the parameters of the system blocks. In the context of ultra-high data rates in the region of 100 Gbps [11], the case of full multiplexing is the suitable scenario. Therefore, in this contribution we will neglect the case of diversity and narrow the scope to full multiplexing.

III. Problem Formulation

In multi-user systems the optimization criterion is usually the maximization of the signal-to-interference-plus-noise ratio (SINR). In the scenario proposed in [11], [12], the multiplexed data streams are actually used by one mobile terminal. Therefore all SINRs have to be maximized simultaneously, which is novel compared to previous EIRP-limited beamforming considerations. In a different view, the overall capacity including a specific precoding solution,

$$C(\boldsymbol{W}) = \log_2 \left[\det\left(\boldsymbol{I}_{N_{\mathrm{R}}} + \mathrm{SNR}_0\, \boldsymbol{H}\boldsymbol{W}\boldsymbol{W}^{\mathrm{H}}\boldsymbol{H}^{\mathrm{H}}\right)\right], \tag{4}$$

has to be maximized. The capacity is given as a function of the precoding matrix and the channel matrix, which is assumed to be perfectly known at the transmitter side. The nominal signal-to-noise ratio SNR_0 is defined as the maximal SNR that can be transmitted and is therefore given by the ratio of the EIRP limit EIRP_0 and the noise spectral density. This SNR is reached for isotropic radiation, where the EIRP constraint is fulfilled by equality in each direction.

In contrast to former publications elaborating on the topic of joint precoding and power control for EIRP-limited MIMO systems, in this contribution the three dimensional space is considered rather than a plane. Additionally, non-isotropic antenna characteristics generalize the formulations from earlier publications, which is necessary for the usage of physically realizable antennas. We include the characteristics $F^{n_\mathrm{T}}(\theta,\phi)$ of each antenna element n_T for both polarization directions. In the information theory community it is commonly assumed that all antenna elements are positioned in a (typically linear) array and have an identical characteristic, which simply leads to a multiplication of the element characteristic with the array factor. Please note that for multi-mode antennas this simplification is not possible, because for each port the antenna characteristic is different.

The EIRP is a measure for the maximum directivity of the antenna plus array factor (AAF):

$$\mathrm{EIRP} = \frac{4\pi}{2Z_{\mathrm{F0}}} \max_{\theta,\phi} \left\{ |AAF(\theta,\phi,\boldsymbol{W})|^2 \right\}, \tag{5}$$

where Z_{F0} is the free space impedance, which is approximated by $Z_{\mathrm{F0}} = 120\pi$. The absolute squared AAF is given by

$$\begin{aligned} &|AAF(\theta,\phi,\boldsymbol{W})|^2 = \\ &\quad \left| \sum_{n_\mathrm{T}} \sum_{n_\mathrm{R}} \boldsymbol{W}_{[n_\mathrm{T},n_\mathrm{R}]} \cdot F_{\vartheta}^{n_\mathrm{T}}(\theta,\phi) \cdot \mathrm{e}^{\mathrm{j}2\pi \boldsymbol{k}(\theta,\phi)\cdot \boldsymbol{r}(n_\mathrm{T})} \right|^2 + \\ &\quad \left| \sum_{n_\mathrm{T}} \sum_{n_\mathrm{R}} \boldsymbol{W}_{[n_\mathrm{T},n_\mathrm{R}]} \cdot F_{\varphi}^{n_\mathrm{T}}(\theta,\phi) \cdot \mathrm{e}^{\mathrm{j}2\pi \boldsymbol{k}(\theta,\phi)\cdot \boldsymbol{r}(n_\mathrm{T})} \right|^2, \end{aligned} \tag{6}$$

where ϑ and φ are horizontal and vertical polarization, respectively. It is obvious that the EIRP is a function of the current precoding and is not a static measure. The max-operator in (5) acts on the whole sphere, so any incident angle represented by the wave vector $\boldsymbol{k}(\theta,\phi)$ is considered. The sub-scripted brackets $(\cdot)_{[n,m]}$ denote the element in the nth row and the mth column of a matrix. In this general form arbitrary antenna positions can be specified via the positioning vectors $\boldsymbol{r}(n_\mathrm{T})$ for each element.

The constraint on the EIRP at the transmitter can be written as

$$\frac{4\pi}{2Z_{\mathrm{F0}}} \cdot \max_{\theta,\phi} \left\{ |AAF(\theta,\phi,\boldsymbol{W})|^2 \right\} \leq \mathrm{EIRP}_0 \tag{7}$$

and the problem formulation for the maximization of the sum capacity given the constrained EIRP yields a conventional minimization problem with one inequality constraint:

$$\begin{aligned} &\underset{\boldsymbol{W}\in\mathbb{C}^{N_\mathrm{T}\times N_\mathrm{R}}}{\text{minimize}} \quad -\log_2 \left[\det\left(\boldsymbol{I}_{N_\mathrm{R}} + \mathrm{SNR}_0\, \boldsymbol{H}\boldsymbol{W}\boldsymbol{W}^{\mathrm{H}}\boldsymbol{H}^{\mathrm{H}} \right) \right] \\ &\text{subject to} \quad \mathrm{EIRP}_0 - \frac{4\pi}{2Z_{\mathrm{F0}}} \max_{\theta,\phi} \left\{ |AAF(\theta,\phi,\boldsymbol{W})|^2 \right\} \geq 0. \end{aligned} \tag{8}$$

The transmit power P_S is obtained by an integration over the whole sphere of the absolute squared AAF. The fraction $g = \mathrm{EIRP}/P_\mathrm{S}$ is the antenna gain, when using the specified precoding matrix. In a practical system, the simplest approach to comply with the EIRP limit is scaling down any precoding matrix $\boldsymbol{W}'$ by the square root of the gain factor, i.e.

$$\boldsymbol{W} = \frac{\boldsymbol{W}'}{\sqrt{g}}. \tag{9}$$

Therefore, the investigation in this contribution compares the capacities of the downlink for the case where the gain g_{var} for a specific precoding is used and the case where a static theoretical gain g_{stat} of the antenna is used.

For the case of the static gain, it will be assumed that an equal allocation of the streams onto the antenna ports yields the maximum possible gain.

IV. Numerical Results for Matched Filter Precoding

Massive MIMO research prefers linear precoding techniques like matched filter (MF) precoding, because their performance gets close to optimal precoding under certain propagation conditions [16]. Therefore, this section investigates the capacity for MF precoding under a constrained EIRP. Formally, MF precoding corresponds to

$$\boldsymbol{W}'_{\mathrm{MF}} = \frac{\boldsymbol{H}^{\mathrm{H}}}{\sqrt{\operatorname{tr}\left(\boldsymbol{H}\boldsymbol{H}^{\mathrm{H}}\right)}}, \tag{10}$$

where the denominator serves to normalize the precoding matrix according to (3) with equality. As a channel model, the geometric, ray-based WINNER II channel model has been used [18]. It computes the effective channel coefficients between antenna pairs by a summation over clustered rays. The statistic distributions of the rays' angles, delays and powers are derived from excessive measurement campaigns. Despite the fact that the specified bandwidth of the chosen model slightly higher than the anticipated band considered in [11], it is assumed that the results will qualitatively hold.

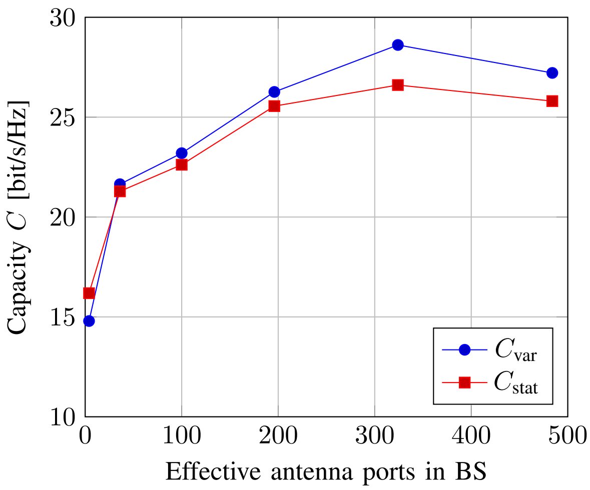
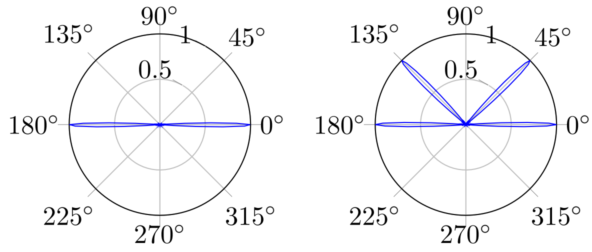


Figure 2. Ergodic capacity of channel realizations over number of effective base station ports for multi-mode system with $N_{\mathrm{R,eff}} = 4$. The SNR_0 is 30 dB.

Figure 2 shows the capacity for EIRP limited beamforming for a system with one mobile terminal. The terminal is equipped with a single multi-mode antenna with $N_{\mathrm{R,eff}} = 4$ ports and the base station (BS) is equipped a variable number of multi-mode antennas in a two-dimensional square array. The precoding matrix is scaled down according to (9) with g_{stat} to yield the capacity C_{stat} and with g_{var} to yield the capacity C_{var}, respectively.

For an increasing number of effective antenna ports in the BS the variable down-scaling scheme outperforms the static scheme. In fact the performance gap increases with an increasing number of ports. Besides the relative performance gap, the capacities reach a maximum for $N_{\mathrm{T,eff}} = 324$ and decrease for a larger array. This effect is due to the inability of the matched filter precoding to use the spatial channel effectively. As an illustrative, purely academic example, in Fig. 3 one can see the radiated pattern for a BS with $N_{\mathrm{T,eff}} = 24$ antenna ports, while a MS with three ports is considered. The channel model is a reduced complexity, ray-based channel with



(a) MF (b) Phased Array

Figure 3. Radiated antenna plus array pattern for under EIRP constraint, given a two-ray channel model and a BS with $N_{\text{T,eff}} = 24$ ports for a linear antenna array with omni-directional antennas. Case (a) refers to the MF solution ($\boldsymbol{W}_{\text{MF}}$) and case (b) refers to phased array beamforming, when the two rays are perfectly known and each ray is used by one stream (i. e. each stream forms one lobe). The capacities at 30 dB is given by $C_{\text{MF}} = 19.07$ bps/Hz and $C_{\text{phasedarray}} = 20.97$ bps/Hz.

two rays with equal power going out of the BS in the directions $\Phi_1 = 0°$ and $\Phi_2 = 45°$. Intuitively, one would expect lobes in the ray directions with equal power, because of the equal powers of the rays. In this example, however, in Fig. 3(a) the MF solution creates only one of the lobes. In other words, for the given example the MF beamforming technique tries to focus all available power in one direction. Under a constrained sum-power this might lead to the same performance as forming a beam in the direction of the other ray, or to distribute the available power among both ray directions. For EIRP-constrained systems, however, a single narrow lobe turns out to be sub-optimal, because *each* lobe has to fulfill the constraint. An additional lobe in the other ray direction will therefore increase the sum-power budget of the transmitter, but does not alter the fact that the other lobe still complies with the EIRP limit. At the same time the instantaneous sum-capacity increases because of the additional lobe and the system benefits from the transmission of a second stream over the other lobe. In Fig. 3(b) classical phased array beamforming has been applied, where a fixed phase difference between the signals of the elements leads to a specific main radiation direction at a given frequency.

Acknowledgement

This work is supported by the Deutsche Forschungsgemeinschaft (DFG) within the priority program SPP 1655 under grant HO 2226/14-1.

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