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Title	AAS Direct Signaling Methodologies to Support High Capacity MR-BS to RS Links	
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Re:	Call for Technical Proposals regarding IEEE Project P802.16j; See 802.16j-06/034	
Abstract	The MR base station framing structure is described as having two zones, an Access Zone and a Relay Zone. All MR-BS to RS communications takes place in the Relay Zone. This document describes an optional AAS frame structure and access mechanism that can be used within the Relay Zone in order to support high capacity MR base stations.	
Purpose	This document provides a Technical Proposal for an AAS Signaling Methodology for consideration by the 802.16j Multi-hop Relay Task Group	
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AAS Direct Signaling Methodologies to Support High Capacity MR-BS to RS Links

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Abstract

The Multi-hop Relay Base Station (MR-BS) framing structure is described as having two zones, an Access Zone and a Relay Zone. All traffic transported between an MR-BS and RS takes place in the Relay Zone. This document describes an optional AAS frame structure that can be used within the Relay Zone. The AAS “Relay Zone” is similar to the AAS Zone currently supported in 802.16e MS-to-BS links but with important modifications. These modifications add extended AAS training preambles to achieve higher capacity and spectral efficiency for MR-base stations in realistic propagation environments.

Introduction

The term AAS (adaptive antenna system) refers to an 802.16 system adaptively exploiting more than one antenna to improve the coverage and the system capacity¹. Multi-user AAS² refers to the ability to support multiple user links simultaneously on the same sub-channel in the same timeslot through the use of AAS techniques coupled with active interference cancellation. Multi-user AAS is also known as “space division multiple access” or “multi-beam adaptive beamforming and null-steering”.

Multi-user AAS extends cell coverage by improving the system link budget. Link budget gain is realized through the coherent combining of signals received or transmitted from multiple antenna elements, as well as by the increase in diversity provided by a multi-element antenna array. At the same time, multi-user AAS increases base station capacity by enabling the use of higher order modulation and reuse of spectral resources within the same cell.

This document defines an AAS “Relay Zone” frame structure with extended AAS training preambles and associated MAP IEs in order to achieve higher spectral efficiency for MR-base stations in realistic propagation environments. The frame structure and preambles enable the use of multi-user AAS on the MR-BS – RS link. In addition, modifications are proposed to increase capacity on the bandwidth request signaling channel so that bandwidth requests and grant allocations scale linearly with higher capacity.

This proposal is only applicable to the MR-BS to RS link. The proposed AAS processing is not mandatory in the Relay Zone. Just like 802.16e zones, multiple zones can exist in the MR-BS frame including the AAS Relay Zone mode described here.

¹ IEEE Std. 802.16-2004 – Part 3 – Definitions.

² “Multi-user AAS” is also referred to as “multi-user beamforming” in this contribution.

Multi-user AAS is the preferred method for addressing requirement O9 (Multiple Antenna Support) of IEEE 802.16j-06/016r1 (Technical Requirements Guideline for Relay TG).

New Requirements Imposed by MR-BS to Relay Link

The MR architecture is particularly well suited to dense urban-core deployments where the highest user density will prevail. This high density coupled with high user activity will stress the MR base station capacity and its contention-based bandwidth request mechanism.

In addition, the relay architecture imposes new requirements on the capacity of the MR-BS. In cost effective architectures, the MR-BS must have the capacity to concentrate the traffic of multiple Relay Stations (RS) and to directly serve mobile stations (MS) within its own coverage footprint. Relay stations themselves aggregate mobile station traffic either through direct connection to mobile stations or via relay from other RS nodes in the network. Typical RS nodes may range from low capacity devices to moderately-sized base stations. Accordingly, 5 to 50 relay stations maybe serviced by a high capacity MR-BS in typical deployment scenarios.

Capacity & Spectral Efficiency Requirement of the MR-BS

The following example illustrates the capacity and spectral efficiency requirements imposed by the relay architecture. In this example, we assume the two hop architecture, whereby the MR-BS services 18 intermediately-sized RS nodes, as shown in Figure 1. A total of 18 high capacity links must be statistically multiplexed with MS nodes directly connected to the MR-BS.

In this example, the RS to MS cell radius is assumed to be 1 km. As a result, the radius of the MR-BS to RS link is approximately 3 to 3.5 km for exterior RS nodes, while the radius to an interior RS cell is approximately 1.7 km as shown in Figure 1. The MR-BS directly services MS traffic in the center cell. The additional range supported on the MR-BS – RS links is a direct result of two factors:

- Relay Stations are installed in a higher location than a typical MS
- Relay Links to the Base Station achieve higher system gain

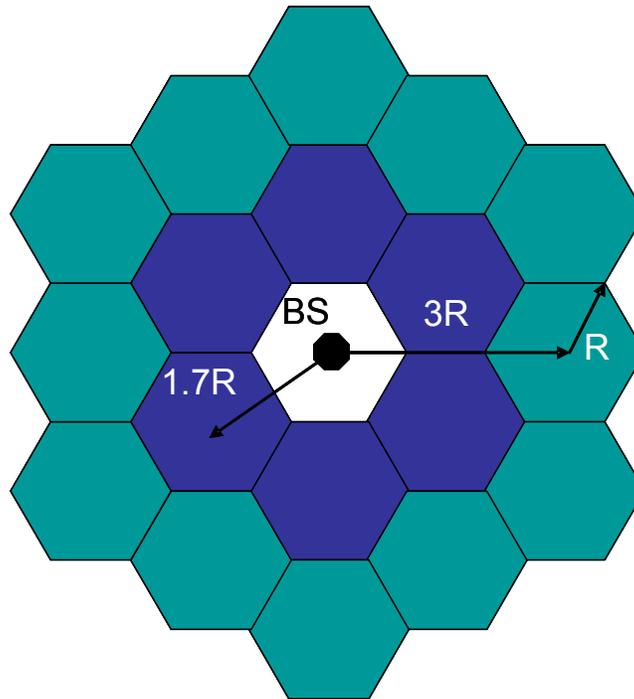


Figure 1. Mobile Multihop Basestation and Relay Station Architecture

In this example, it is assumed that each RS node has a downlink spectral efficiency of 1 bps/Hz and operates in 10 MHz of spectrum. A separate 10 MHz channel is dedicated to the MR-BS to RS link to simplify the following analysis, although other configurations are possible. Table 1 tabulates the required capacity and spectral efficiency of the MR- BS under this set of assumptions. As shown, the required spectral efficiency is 9 bps per Hz using a 50% traffic loading assumption at each RS. Although the peak load factor at any RS may be significantly higher than 50%, the loading factor is averaged over all RS nodes with the MR-BR coverage footprint for this analysis.

Table 1 MR-BS Capacity and Spectral Efficiency Requirements

Parameter	Value	Comments
BS-RS Link Bandwidth (MHz)	10	RF Channel BW
RS-MS Bandwidth (MHz)	10	RF Channel BW
RS Spectral Efficiency (bps/Hz)	1	For the DL, K=1 reuse
RS Peak Capacity (Mbps)	10	At full capacity
Number of RS Cells	12	2 nd Tier of cells
Number of Interior RS Cells	6	1 st Tier of cells
Total RS Cells	18	

Total Peak Capacity (Mbps)	180	Total, at full peak capacity
Average MS Utilization (%)	50	Averaged over cell
Total Average Capacity (Mbps)	90	Total average capacity
BS Spectral Efficiency, bps/Hz	9.0	To service RS nodes only

The MR-BS to RS Propagation Environment

The propagation environment for the MR-BS to RS link will be predominately NLOS in many urban core deployments. But because the RS nodes tend to be elevated above street level and have high transmitter power, the cell radius of the MR-BS to RS link will be 2 to 5 times greater than the cell radius of the RS to MS link under a broad set of conditions. While the maximum cell radius of the RS to MS link may range from 0.5 to 1.0 km, the range of the MR-BS to RS link may range from 3 to 5 km. Accordingly, the multipath delay spread of these links will be higher (typically, 0.2 to 1 microseconds rms). Appropriate propagation models for these links are indicated by SUI 3 and SUI 4 [1]. The SUI 3 and SUI 4 have similar delay spread to the suburban and urban macro-cellular models derived for “beyond” 3GPP as described in [5].

The Erceg B path loss model is appropriate for well-elevated RS nodes, while Erceg A or Walfish-Ikegami may be indicated for RS nodes closer to street level in dense urban cores [2]. Erceg B has less diffraction loss when compared to Erceg A, hence the difference between well-elevated RS and street level RS nodes.

Higher multipath delay spread lowers the coherent bandwidth of the link [3]. This stresses wide bandwidth training strategies used in closed-loop AAS and MIMO feedback schemes as will be demonstrated through simulation below. As an approximation, delay spread will not materially degrade AAS performance provided that the training bandwidth is limited to $1/10^{\text{th}}$ of the channel’s coherence bandwidth.

Proposed Improvements to the AAS Relay Zone

The current IEEE 802.16-2005 standard supports advanced multi-antenna technologies such as MIMO and AAS in order to increase cell capacity and to enhance cell radius. It is generally accepted that a base station can achieve spectral efficiencies of up to 3 bps per Hz in a realistic propagation environment using the advanced antenna methods currently in the standard. However, AAS methods will generally achieve higher spectral efficiency than MIMO methods in the reduced multipath environment that is likely to apply to a large number of BS to RS links. Accordingly, this proposal focuses on improving the spectral efficiency of the AAS Relay Zone via multi-user AAS methods.

The driving requirements for the AAS Relay Zone are:

Spectral efficiencies higher than supported by current AAS or MIMO methods through the support of high performance multi-user beamforming and interference cancellation

Longer uplink preambles to support training of larger BS antenna arrays in realistic propagation environments

A bandwidth request mechanism that can scale with an M-fold increase in the number of users afforded by multi-user beamforming

A mechanism to communicate MAP information to the edge-of-cell RS nodes, which improves upon the current AAS Diversity Zone method

The proposed solution:

Provides an AAS UL preamble that has adequate time-frequency support for adequately training antenna arrays up to 16 antennas.

Increases the spectral efficiency of the MR-BS to 9 bps/Hz via multi-user AAS processing.

Adds a bandwidth request and ranging channel that supports an M-fold increase in processing capacity by separating user requests on different spatial channels where M is proportional to the number of number of antennas.

Reliably communicates MAP information to edge of cell AAS-RS nodes so that frame duration, subframe length, start time, DCD, and UCD information can be received.

A detail discussion of the solutions follows:

UL Link Preamble

This proposal increases the maximum number of AAS training preamble symbols to 8 and provides a maximum of 64 subcarriers per subchannel for training. This is adequate to adapt an array of up to 16 antenna elements with low misadjustment error within one frame. The preamble sequence length is set by a parameter in the AAS_Relay_Zone_UL_IE and is specified over the AMC subchannel permutation using either a 2 x 3 or 1 x 6 bin structure.

Selection of the bin structure and sequence length is dictated by the performance objectives of maximizing the post beamforming SINR while minimizing the preamble overhead.

Performance loss is in part determined by the “difficulty” of the propagation environment and use case. RF channels with high frequency dispersion or high time dispersion are more difficult channels.

As a demonstration of this principle, Figure 2 provides Monte Carlo simulation of the downlink signal-to-interference and noise ratio (SINR) using a 16 element array and 12 RS nodes. All 12 RS nodes communicate simultaneously with the MR-BS on 12 co-channel RF links. In this case, the SUI-3 model channel model is used with the prescribed moderate gain antennas at the

RS.

To adapt each link, each RS uses a unique preamble containing 64 subcarriers to train the array. In the simulation, 1500 data subcarriers are used to determine the post-beamforming SINR. The SINR is used as the measure of performance as the bandwidth of the training is varied in this simulation. Over the Monte Carlo trials, the 90th percentile of the SINR is plotted in Figure 2. The preamble subcarriers were distributed in a contiguous frequency-symbol region according to the bandwidth parameter specified on the x-axis. The subcarriers were distributed across frequency from 10 kHz to 3500 kHz. In the former case, the frequency-symbol region is 1 subcarrier x 64 symbols. In the latter case (mode B), the frequency-symbol region is 64 subcarrier x 1 symbol evenly distributed across 3500 kHz.

Mode C in Figure 2 shows that training over a 1 x 6 AMC bin (100k) produces good results by using 8 preamble symbols (1 pilot + 8 preamble subcarriers x 8 symbol times). By changing the preamble frequency support to the 2 x 3 AMC subchannel (200 kHz), the SINR falls 1.5 dB. However, the training overhead is reduced since only 4 preamble symbol times (16 subcarriers x 4 symbol times) are required. Note that broadband training strategies covering regions greater than 200 kHz results in a substantial loss of SINR, and while apparently attractive from an efficiency standpoint, fail to perform adequately. The worse case is shown in Figure 2, Mode B where the preamble is spread across the entire bandwidth. The SINR loss is 14 dB compared to the better preamble training strategy indicated by Mode C. Clearly, the frequency dispersion of the channel does not permit broadband training. Moreover, relatively narrowband preamble training is preferred, particularly as the delay spread of the channel increases.

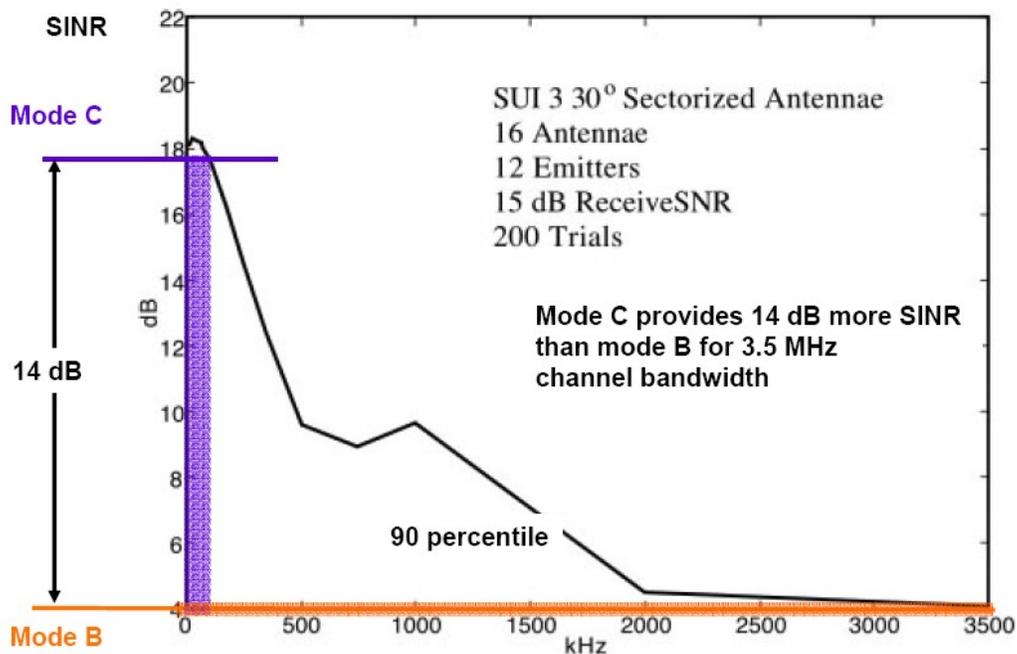


Figure 2. DL Output SINR vs. Preamble Bandwidth

Capacity

The uplink preambles are designed to support multiple co-channel users enabling multi-user beamforming. Construction of the UL preambles are based on Hadamard code words modulating a QPSK constellation. The modulation has favorable cross correlation properties with other Hadamard code words and this ensures accurate vector channel estimation in a multi-user MR-BS scenario. To test the effectiveness of the approach, a simulation of 19 MR-BS and 190 RS nodes was performed using the SUI-3 channel model. The model was extended as reported in [4] to include realistic angle spread and multipath delay using the ray-tracing geometrical elliptical model (GEM). This ensures that each multipath has a unique spatial signature, time delay, and complex reflection coefficient. The model is calibrated to produce the same K-factor and rms delay spread as indicated by the corresponding parameters in the SUI models. The GEM creates Doppler by moving the reflectors, by moving the RS nodes or by moving both each symbol period.

Since each multipath has a unique spatial signature and time delay, the effects of frequency dispersion (related to the coherence bandwidth and delay spread) and time dispersion (related to relative motion and Doppler) are accurately modeled.

Each MR-BS in the simulation uses 16 antennas where 4 antennas are distributed in 4 sectors aligned to the rectangular street grid of an urban core. Each base station connects to 10 co-channel full-bandwidth RS nodes simultaneously in this simulation. The cell-to-cell reuse factor corresponds to $K=1$. The simulation uses 1 x 6 AMC subchannels with 64 preamble training subcarriers. The location of each RS node is randomly selected from a uniform distribution on each Monte Carlo trial and the RS nodes are located 6 meters above street level. An RS location plot of a typical Monte Carlo run is shown in Figure 3 for reference.

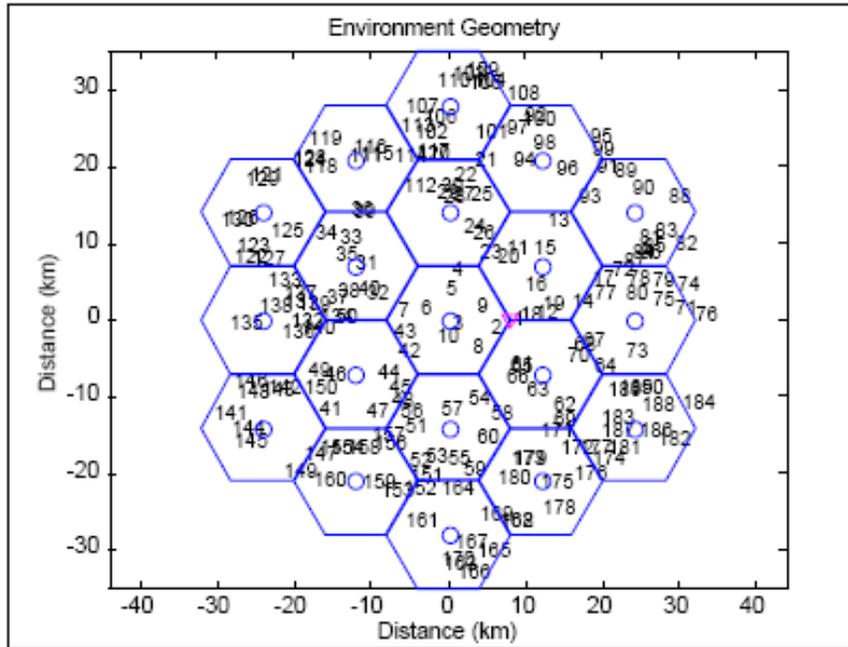


Figure 3. Capacity Test: 19 MR-BS and 190 Co-Channel RS Nodes

Figure 4 shows the cumulative distribution of the output SINR on the uplink for the simulation parameters given above. Note that the multi-user AAS SINR of 17-20 dB supports most CC and CTC 64QAM constellations at the 2/3 and 3/4 code rates. For reference, a second curve is plotted for the same antenna array titled “sectored antennas”. In this case the simulation employed sectored antennas at the base station that pointed at each desired user. The beamforming was based on estimates of the antenna steering vector with power control but without directing nulls at interference. Thus, the antennas are electronically combined, albeit without interference cancellation, to achieve the best SINR.

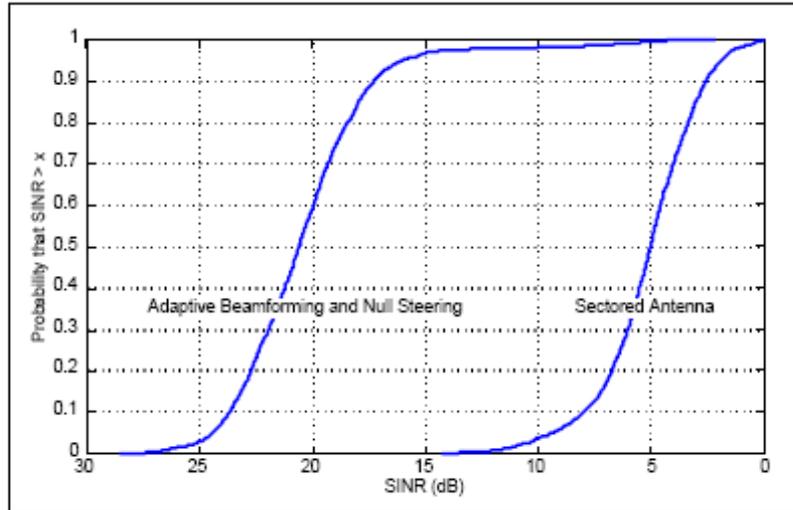


Figure 4. Capacity Test: Output SINR for Multi-user AAS and Sectorized Antennas

Figure 4 shows the quantitative difference between the two approaches and the benefits of multi-user AAS in a fully cellularized MR-BS deployment where the frequency reuse factor is 1/10. The Adaptive Beamforming and Null Steering method achieves an SINR of 17 dB for 95% of the RS link. This SINR supports the CTC 64QAM rate 3/4 modulation providing 4.5 information bits per subcarrier. The Sectorized Antenna with beam-steering achieves 2.5 dB for 95% of the RS links. This supports the CTC QPSK rate 1/2 modulation providing 1 information bit per subcarrier.

Bandwidth Request and Periodic Ranging

Figure 4 indicates that substantial spectral efficiency gains are possible with multi-user AAS processing using the extended Hadamard preambles for training. In this case, ten spatial planes of traffic processing are supported with an SINR supporting 64QAM. However, this capacity can only be realized if traffic can be efficiently multiplexed onto multiple spatial planes via the bandwidth request and scheduling processes. In this case, the contention-based CDMA access mechanism may be overloaded, or conversely, so many CDMA slots are needed for access that the transport efficiency of the zone is severely impaired. The latter case is particularly costly since lost slots must be multiplied by the Co-Channel Reuse Multiple (CCRM) to determine the payload loss in the AAS zone. In this example, the Co-Channel Reuse Multiple is 10-fold.

The solution to this problem is to effectively multiply the BW request/grant throughput, by the co-channel reuse multiple. This proposal achieves this goal by using multi-user AAS processing, frequency repetitions and new preambles in an AAS Relay Zone. A new physical channel called the “AAS Relay Zone Access Channel” is proposed using the AMC subchannel permutation in the AAS Relay Zone. This channel effectively multiplies the number of access opportunities by

the CCRM while using only a small number of AMC slots. In this case, the beamforming processing separates the access operations into multiple spatial planes via MMSE channel estimation techniques. Both spatial degrees of freedom and the frequency repetitions can be used to optimize the solution.

As an added benefit, the AAS Relay Zone Access Channel has extended system gain as a result of beamforming gain, frequency repetitions and reduced interference. In addition, this access channel can be used for ranging tasks including periodic and handover ranging.

Summary of Proposed Solution

The Relay Zone is comprised of one or more zones as specified in the R-MAP. These sub-zones can support relay nodes that implement optional processing such as MIMO and AAS. The scope of this proposal defines the framing structure within one of these sub-zones herein called the AAS Relay Zone. The AAS Relay Zone includes standard allocations for data transport, an allocation for an AAS Relay Zone Access Channel and defines extended preambles for use in this access channel. The proposed changes are signaled in the AAS_Relay_Zone DL_IE and AAS_Relay_Zone_UL_IE. These information elements (IEs) are contained within the DL R-MAP and UL R-MAP as shown in Figure 5.

Proposal

Insert this section in 8.4.4.8.x and renumber figures

MR-BS to RS AAS Relay Zone Frame Structure

For reference, the MR-BS to RS frame construction is illustrated in Figure 5 showing Relay Zone “A” for the downlink and Relay Zone “B” for the uplink. Figure 6 shows an expanded view of these same zones using the proposed AAS Relay Zone frame structure. The AAS zone uses the AMC subchannel permutation and either the 2 bin x 3 symbol or 1 bin x 6 symbol construction. The AAS Relay Zone Access Channel is defined to be 1 or more subchannels starting at subchannel 0 for both the uplink and downlink. Subchannel 0 is paired with subchannel $n-1-k$ where n is the total number of subchannels and k is the number of subchannels designated in the IE. Two repetitions of the AAS preamble and data are used in the subchannel pair to aid robust reception via signal processing methods (i.e. diversity combining).

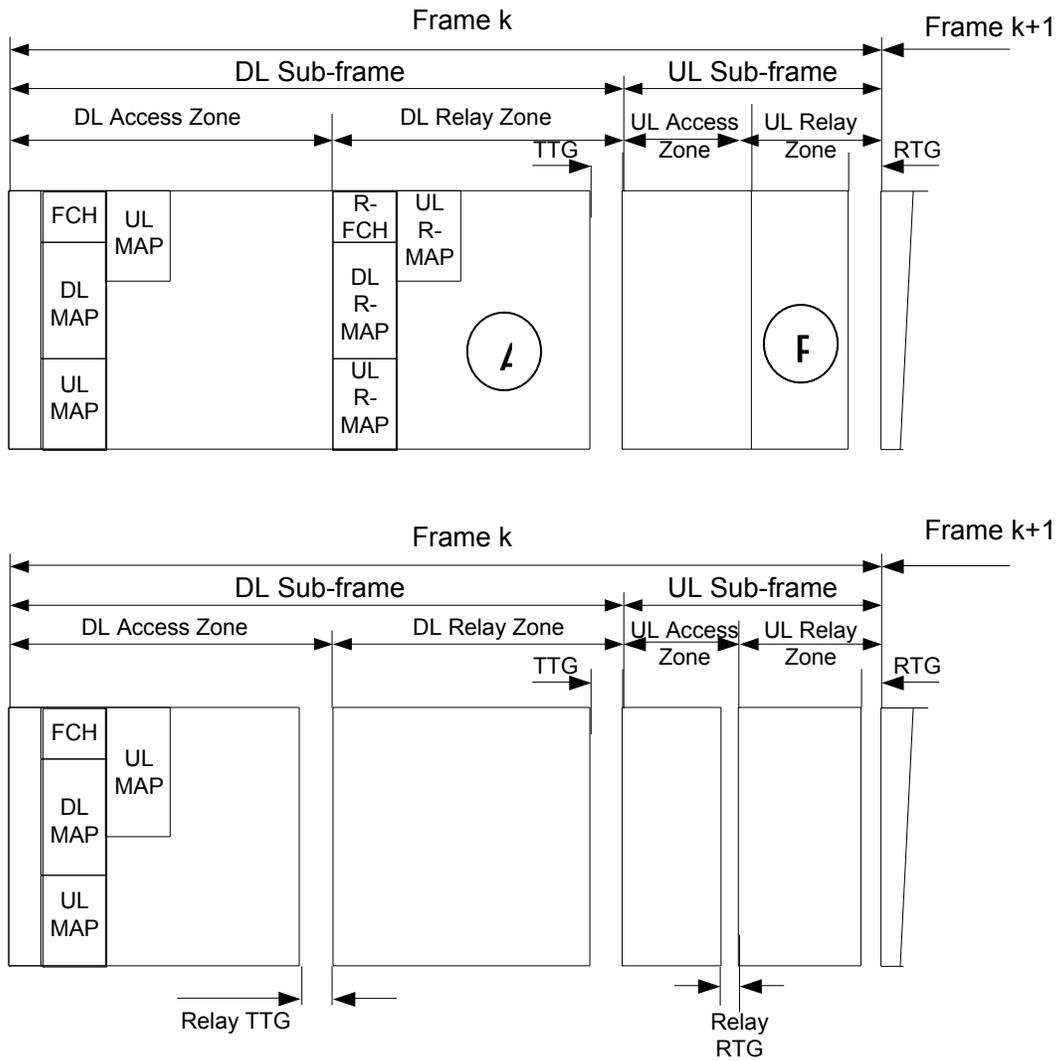


Figure 5. In-Band Access and Relay Zone Frame Construction

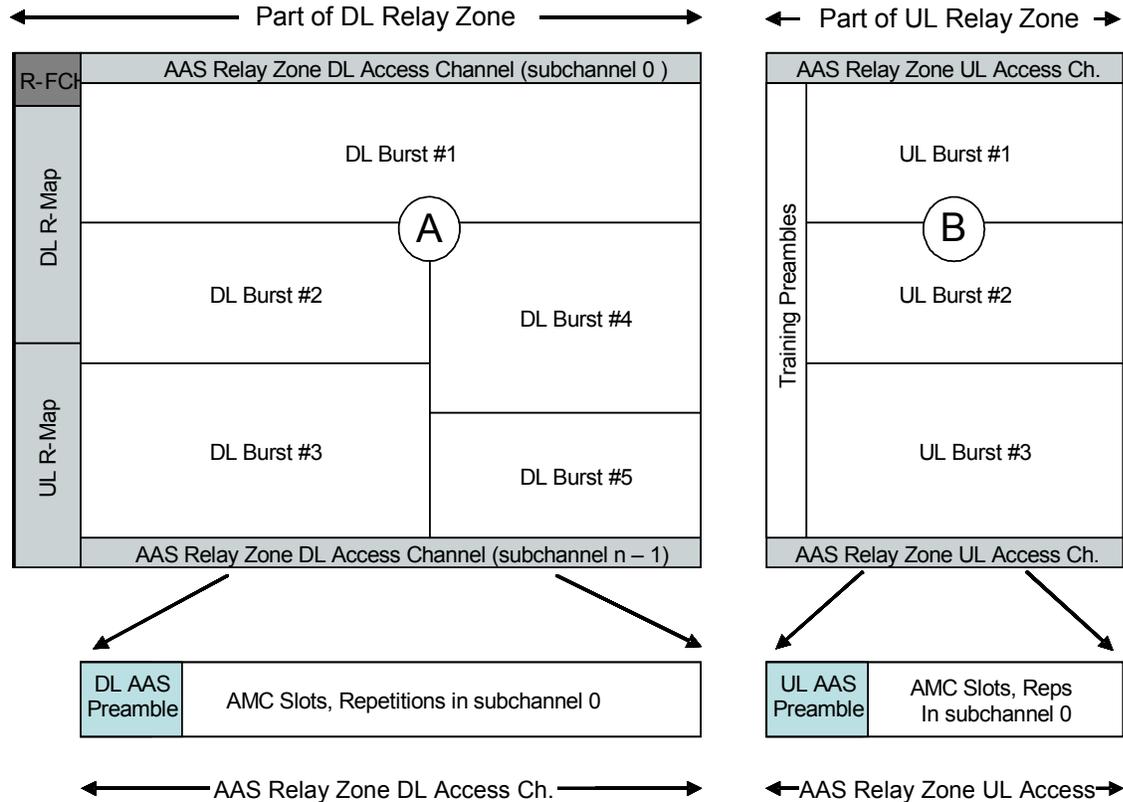


Figure 6. AAS Relay Zone Frame Structure

Figure 6 shows that the AAS Relay Zone Access Channel begins with the AAS DL preamble. Edge-of-cell RS nodes that cannot decode the R-MAP can find the access channel by searching for this preamble.

The AAS network entry utilizing the AAS Relay Zone Access Channel involves the following procedure:

The AAS-RS synchronizes frame timing and frequency to the DL frame-start preamble.

Most AAS-RS receive and decode the broadcast DL-MAP and UL-MAP messages. These broadcast messages define the AAS Relay Zone via informational elements within the MAP.

An AAS-RS at the cell edge that cannot decode the standard broadcast DL-MAP and UL-MAP messages will search for the AAS preamble in the AAS Relay Zone Access Channel. Since the location of the access subchannels are well known in the subchannel domain, only a 1-D search across the symbol time dimension is required. The edge-of-cell AAS-RS then receives the R-MAP, AAS_Relay_Zone DL_IE and

AAS_Relay_Zone_UL_IE in the downlink AAS Relay Zone Access Channel with the benefit of scatter-cast beamforming and selection diversity enabled by the frequency repetitions. The R-MAP starts immediately after the AAS zone start preamble. The MAPs are transmitted using the well-known rate 1/2 QPSK modulation with 2 repetitions.

Most AAS-RS receive broadcast messages such as the DCD and UCD using standard allocations pointed to by R-MAP IEs while edge-of-cell RS nodes receive DCD and UCD messages in the AAS Relay Zone Access Channel via allocations pointed to by IEs contained in the R-MAP repeated in the access channel.

Once the AAS-RS decodes the DCD and UCD, it performs initial ranging in the UL preamble allocation using the initial ranging codewords defined below. The preamble allocation is specified in the AAS_Relay_Zone_UL_IE.

When initial ranging code is successfully detected, the base station is able to compute UL and DL beamforming solutions and thus, is able to send and receive unicast messaging with beamforming gain.

The AAS-RS receives a unicast ranging response message through a private allocation in the AAS Access Zone with the broadcast CID. In addition, it receives a periodic ranging codeword. Subsequent ranging uses the periodic ranging codeword. The ranging protocol proceeds normally as described in Section 6.3.10.3 CDMA-Based Ranging.

Subsequent allocations can be managed with private allocations sent to the RS nodes using multi-user beamforming.

Definition of Uplink Preambles

The uplink training preambles are based upon 64 QPSK subcarriers constructed from Hadamard sequences. The properties of these preambles are as follows:

- Provides a spatial training sequence for up to 16 antennas with the adequate time bandwidth product

- Provides unique RS identification at the base station. The preambles are detected with beamforming gain and interference cancellation

- Provides an initial and periodic ranging capability

- Provides multi-user bandwidth request capability with appropriate messaging.

- 8064 codes are available based on 64 codewords

- High probability of detection, low false alarm rate consistent with modest cross-correlation properties between assigned codes at various code delays

The same codes may be re-used multiple times at the base station if sectors or sub-bands are used

Robust code reuse factor of 4 between base stations.

The base station can separate multiple RS in the Access Zone using different codes

Code construction

Each RS registered to a base is assigned a basic CID and a unique Hadamard access codeword (ACW) for bandwidth requests and for training. The base station binds the access code with the basic CID. Thus, within a given sub-band or sector, each RS has its own unique access and traffic code. There are a maximum of 8064 access codes. The access codes, $a = 2016t + c$, are divided into four equal sets; $0 \leq t \leq 3$, where t is the base reuse “color”. Each set of 2016 codes are divided into two types with each type allocated a certain number of access codes: up to 2000 are assigned to the RS nodes for bandwidth request, periodic ranging and traffic: $0 \leq c \leq 1999$, and there are 16 access codes, c , for RS initial ranging: $2000 \leq c \leq 2015$.

ACW codewords are based on Hadamard basis functions. ACW are described by an access code, a , $0 \leq a \leq 8064$. A ACW codeword, \mathbf{p}_{i_0} modulating the 64 QPSK subcarriers has in-phase and quadrature components taken from the columns of a 64 by 64 Hadamard matrix,

$$\begin{aligned} \mathbf{p}_{i_0} &= \mathbf{A}\mathbf{F}_1\mathbf{h}_{i_1} + j\mathbf{A}\mathbf{F}_1\mathbf{h}_{i_0}, \quad i_1 = i_0 \dots \text{if } 0 \leq a < 4031 \\ \mathbf{p}_{i_2} &= \mathbf{A}\mathbf{F}_2\mathbf{h}_{i_1} + j\mathbf{A}\mathbf{F}_2\mathbf{h}_{i_0}, \quad i_3 = i_2 \dots \text{if } 4032 \leq a < 8063 \end{aligned}$$

F1 is a 64 x 64 toggle matrix derived from the identity matrix with the following diagonal values toggled to -1: 4, 8, 9, 14, 15, 20, 24, 30, 35, 41, 46, 47, 50, 52, 56, 62.

F2 is a 64 x 64 toggle matrix derived from the identity matrix with the following diagonal values toggled to -1: 1, 2, 5, 6, 18, 21, 23, 26, 28, 32, 34, 38, 43, 48, 49, 54, 60.

The first 2-bit symbol of the Hadamard sequence modulates the first subcarrier in the first bin of the subchannel definition. Mapping proceeds in ascending order with all pilot subcarriers in the AMC subchannel skipped.

AAS Relay Zone Access Channel Downlink Preamble

The AAS downlink preamble marks the beginning of the DL AAS Relay Zone Access Channel. Its length is specified in the AAS_Relay_Zone_DL_IE. Construction of the preamble follows 8.4.4.6.4.1

AAS Informational Element Modifications

Add Table xxx in section 8.4.5.4.6 with the following:

Table xxx—AAS_Relay_Zone_UL_IE

Syntax	Size	Notes
AAS_UL_IE() {		
Extended UIUC	4 bits	AAS = 0x02
Length	4 bits	Length = 0x034
Permutation	2 bits	0b00 = PUSC permutation 0b01 = Optional PUSC permutation 0b10 = adjacent-subcarrier permutation 0b11 = <i>Reserved</i>
UL PermBase	7 bits	
OFDMA symbol offset	8 bits	
AAS zone length	8 bits	Number of OFDMA symbols in AAS zone
Uplink_preamble_config	2 bits	0b00 - 0 symbols 0b01 - 1 symbols 0b10 - 2 symbols, 4 symbols if AAS-Access Zone=1 0b11 - 3 symbols, 8 symbols if AAS-Access Zone=1
Preamble type	1 bit	0 – Frequency shifted preamble is used in this UL AAS zone 1 – Time shifted preamble is used in this UL AAS zone 0 = Hadamard preamble, if AAS_Access Zone=1) 1 = Reserved
Number of AAS Relay Zone Access Channel subchannels	1 bit	0 = 1 subchannel pair 1 = 2 subchannel pairs
AAS Relay Zone Type	1 bit	0 = Diversity MAP Relay Zone 1 = AAS Relay Zone
<i>Reserved</i>	2 bits	Shall be set to zero
}		

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