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MIMO for Green Communication Systems

By

Author: Biying Pan
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Abbreviations

The abbreviations used in the report are shown below.

MIMO	Multiple-input-multiple-output
SISO	Single-input-single-out
ZF	Zero-forcing
MRT	Maximum ratio transmission
MMSE	Minimum mean square error
4G	The fourth generation
SNR	Signal-to-noise ratio
MU-MIMO	Mutliuser multiple-input-multiple-output

Table of Contents

Introduction

Along with the development of time and the progress of technology and science, the way people communicate and their lifestyle has changed significantly. Nowadays, people get used to carry a phone or a laptop so that it is convenient for them to communicate with other and view the latest news at any time. In addition, people are more like to have entertainment through various wireless networks, such as computer games, Youtube, watching TV, video streaming. All of these need to be done via Internet. It is clearly to seen that such an approach has become an indispensable part in our daily life. Although the era of information has already come, the demand of wireless communication has continuous growing up. Recently, it has become heated an issue to attract much public attention.

In fact, MIMO technology, which stands for Multiple-input-multiple-output, has been applied in practical systems such as Wi-Fi, 4G, and WiMax systems. [12] The advantages and disadvantages of MIMO technology is shown in Table 1. MIMO technology is a viable solution for addressing the issues in communication traffic and provides highly reliable communication services. [2] MIMO systems can be simply explained that it utilizes multiple antennas at both transmission side and receiving side in order to transfer a large amount of data simultaneously. That is to say, this technology is capable of increasing the data rate by transmitting several independent information streams in parallel and this is also known as spatial multiplexing. It is also able to reduce the transmission energy to a certain extend with comparing the system of single-input-single-out (SISO). Moreover, there is an increases in reliability through the diversity principle. Nevertheless, it leads to a significant problem at the same time, energy consumption. As more antennas are activated to transmit data, the energy consumption on the device circuitries of these operating antennas also proportionally increasing. However, the channel capacity, which is defined as the upper bound of the information that is able to be transferred through a communication channel, does not increase in the same trend due to Shannon's theorem. This means that the channel capacity increases rapidly until it reaches to a point, and then it raises in a very slow rate in the high signal-to-noise ratio regimes. That is to say, energy efficiency of MIMO systems do not always continuous increasing, it comes down after reaching the peak. If the number of activated antennas at both transmission side and receiving side are free to be increased, the energy consumption and energy efficiency would become a remarkable concerned. As a result, green communication for MIMO systems has been proposed and drawn much attention in industry recently.

Advantages	**Disadvantages**
Enhance reliability	Energy power consumption
Increase transmission rate	Hardware complexity

Table 1 Pros and cons of MIMO technology.

This project aims to design a resource allocation algorithm which maximizes the energy efficiency of MIMO systems in downlink by taking into account the circuit power consumption of each antenna. [1] In particular, the excepted outcomes of the project, from the economic point of view, is useful for consumers to lower costs associated with energy consumption and it helps organizations to maintain profitability. Besides, it is also capable of lowering the power consumption of information transmission for maintaining system sustainability. The system performance gain does not come for free, and every extra antenna costs extra circuit power consumption in the RF chain. Accordingly, a trade-off between energy efficiency and channel capacity is investigated in this report. [1]

There are two types of systems to be considered in the report, which are point-to-point MIMO systems and multiuser MISO systems. Point-to-point MIMO systems multiple-antenna transmitter communicates with a multiple-antenna receiver over a wireless communication channel. [8] As the multiple antennas offer extra spatial degrees of freedom for an efficient resource allocation, it is expected the use of multiple antennas can reduce the transmit power consumptions. [2] On the other hand, multiuser MISO system is defined as a base station equipped with multiple antennas serving multiple users simultaneously. In both cases, the energy efficiency can be maximized through three resource allocation pre-coding scheme, such as maximum ratio transmission (MRT), zero-forcing (ZF), and minimum mean square error (MMSE). [7] In this project, we aim to design a computational efficient algorithm which determines how many antennas should be activated and which pre-coding scheme should be used in order to achieve the highest energy efficiency. [4] This report is divided into four sections. In Section 2 of the report, we analyze both system models, the problem formulation of both systems is studied in Section 3. In addition, the method of solution will be proposed in Section 4, the final simulation result will be discussed in Section 4, and the tasks I will do in the future will be written in Section 5.

System Model

MIMO point-to-point Systems

Figure 1 shows a block diagram of MIMO point to point system. It has only one transmitter and receiver, the number of antennas at transmitter side, N_T, and the number of antennas at receiving side, N_R. [9] In this case, the number of antennas at both transmitter and receiver are the same, which can be defined as $N_T = N_R$. The system block diagram is shown in Figure 1.

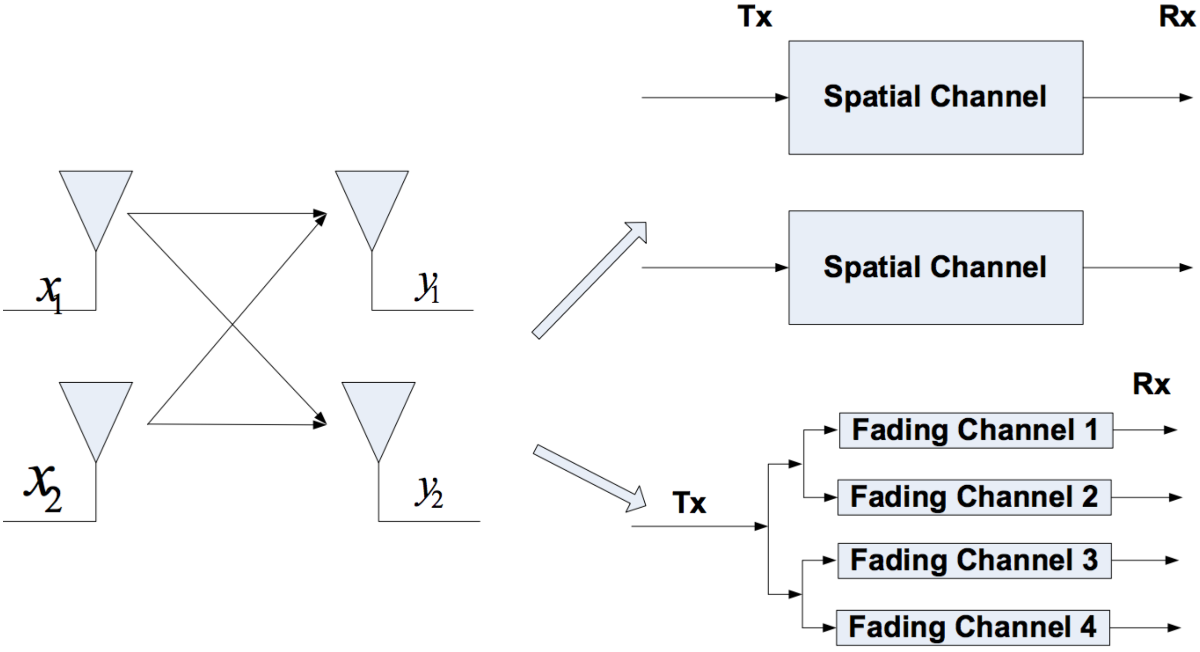

Figure 1 The MIMO point-to-point system block diagram.

We assume that a message is sent from the transmitter, then it passes through the communication channel and finally it arrives at the receiver. In particular, we model the communication channel as a time-varying fading channel between each transmitter and each receiver.

Moreover, the signal received at the receiver is impaired by thermal noise and the noise is independent of the transmitted signal. Therefore, the channel system model can be defined as, [13]

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

where $\vec{y}$ is received signal, $\vec{y}\ \epsilon\ \mathbb{C}^{N_T}$, $\vec{x}$ is transmitted signal, $\vec{n}$ is the independent noise for each channel. Here, we model the noise as additive white Gaussian noise. A random channel matrix is **H** , **H** $\epsilon\ \mathbb{C}^{N_T \times N_R}$, it indicates the fading channel coefficients between the transmitter and the receiver.

In this case, assuming channel capacity achieving code is applied for error correction, the channel capacity can be defined as, [8]

$$C = \ log_2(I_{N_R} + P\ \boldsymbol{H}^H \boldsymbol{H}) \tag{2}$$

where I_{N_R} is a $N_R * N_R$ identity matrix, P is transmission power and is **H** the channel matrix.

System Power Consumption and Energy Efficiency Model

Total energy consumption on MIMO consists of two parts, transmission power and circuit energy consumption.

Now, we define the circuit energy consumption as follow, [1]

$$P_C = P_{syn} + P_{filter} + \ P_{signal} + N_T P_{antennas} \tag{3}$$

In simple term, the circuit energy consumption is the sum of synthesizer power, P_{syn}, filter power, P_{filter}, signal processing power, P_{signal} , and the antennas operating power at the transmitter side, $N_T P_{antennas}$.

Thus, energy efficiency can be represented as, [1]

$$EE = \frac{C}{P + P_c} \tag{4}$$

Preliminary Simulation for a Point-to-point System

Figure 2 shows the energy efficiency for a given circuit power. The optimal performance of energy efficiency is neither at the beginning nor at the end. In other words, there is a non-trivial trade-off between the energy efficiency and transmit power. For the considered simulation scenario, the optimal SNR is somewhere in between 5 dB and 10 dB where the SNR is proportion to transmission power.

Firstly, comparing the performance for different number of antennas with the same circuit power. The red curve demonstrates the number of antennas at both transmitters and receivers is 8 and the blue curve shows the number of antennas at both transmitters and receivers is 4. [3] In both scenarios, circuit power power consumption is set as 1 watt. It obviously shows from the figure that higher number of antennas has higher energy efficiency as its channel capacity is larger. Red curve reaches to the maximum energy efficiency when SNR is at around 8 dB and blue curve reaches to the peak when SNR is at approximately 6 dB. This shows higher number of antennas also requires more transmission energy to reach its maximum energy efficiency. The purple curve shows the number of antennas at both transmitter and receiver is 8 and its circuit power is 2 watts. Its energy efficiency is lower than the blue curve's. Thus, it states that higher circuit power has smaller energy efficiency even if it has larger amount of antennas, circuit power is a determining factor for energy efficiency.

Secondly, the performance for the same number of antennas with different circuit power can be analysed by comparing the blue curve and the yellow curve. Yellow curve shows the number of antennas at both sides is 4 and its circuit power is 2 watts. The higher energy efficiency can be seen is the blue curve, which means that higher circuit power has lower energy efficiency when the number of antennas remains the same. Yellow curve reached to the maximum energy efficiency when SNR is at around 8 dB. This shows that higher circuit power requires more transmission energy to reach its best performance, and finally the energy efficiency of both curve meets at the end, it shows that energy efficiency decrease rapidly for higher circuit power.

Finally, comparing the slope for different circuit power consumptions. Red and blue curves show the circuit power for 1 watt and purple and yellow curve show the energy performance at 2 watts. It represents that higher circuit power has higher slope as the figure shows energy efficiency decreases rapidly after reaching its peak.

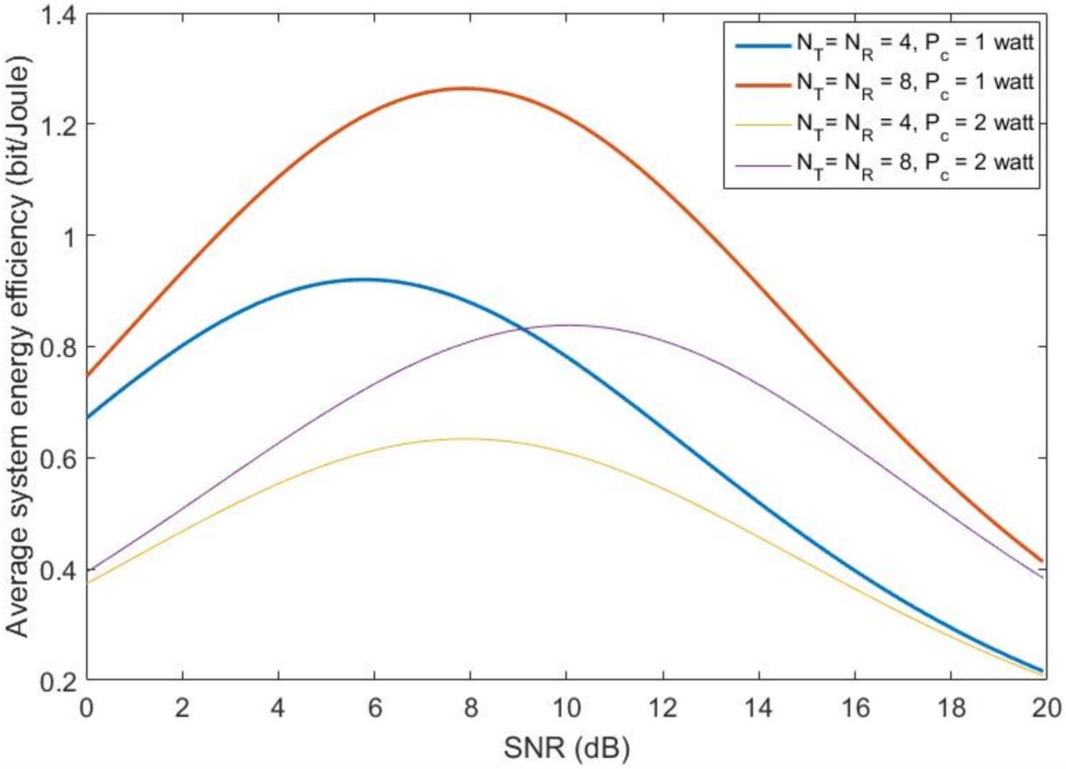

Figure 2 Preliminary Simulation for a Point-to-point System.

A Multiuser MIMO Systems

Figure 3 shows the block diagram of a multiuser system. It has one base station and multiple users.

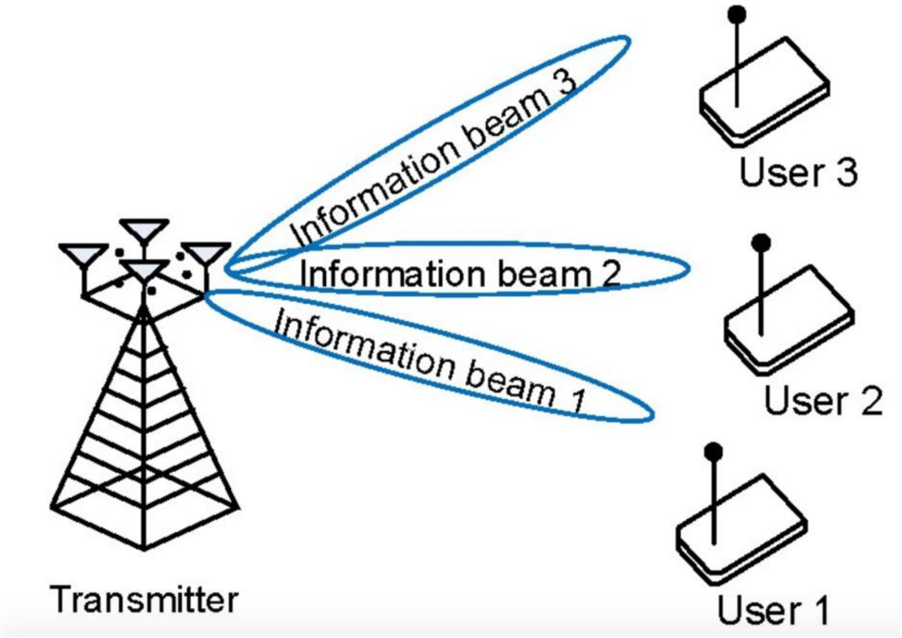

Figure 3 Multiuser MIMO system block diagram.

Maximum ratio transmission aims to maximize the signal strength without considering the interference between each channel.

The optimal MRT matrix is represented as, [10]

$$\vec{w}_k = \frac{\vec{\boldsymbol{h}}_{\boldsymbol{k}}}{\|\vec{h}_k\|} \tag{5}$$

Thus, the signal is represented at the receiving side, [14]

$$\bar{y} = \omega_1{}^* y_1 + \ \omega_2{}^* y_2 + \cdots + \omega_k{}^* y_k \tag{6}$$

$$\bar{y} = \ \boldsymbol{W}^H \ \bar{y} = \ \boldsymbol{W}^H (\boldsymbol{H} x + \bar{n}) \tag{7}$$

$$\bar{y} = \ \boldsymbol{W}^H \ \boldsymbol{H} x + \ \boldsymbol{W}^H \ \bar{n} \tag{8}$$

Zero forcing aims to eliminate multi-users' interference. However, it causes noise enhancement at the same time. This can occur when the channel is very week. Such an approach is only applied when the number of antennas in transmitter is higher or equal to the number of the antennas at receiving side, as this scheme needs to deal with matrix inversion. The zero forcing optimal matrix is written as, [11]

$$\boldsymbol{W} = \boldsymbol{H}(\boldsymbol{H}^{*}\boldsymbol{H})^{-1} \tag{9}$$

Minimum mean squared error pre-coding scheme is very similar to zero forcing. It eliminates the interference between multiusers and the only difference is that the noise term is taken into account.

Minimum mean squared error optimal matrix is denoted as, [8]

$$\boldsymbol{W} = \boldsymbol{H}(\boldsymbol{H}^{*}\boldsymbol{H} + \frac{K}{P_u} I_k)^{-1} \tag{10}$$

where P_u represents average power.

The downlink signal-to-interference-noise ratio for k-th user can be denoted as, [7]

$$SINR_k{}^{\mathcal{U}} = \frac{\left|\overrightarrow{h_k}^{H}\ \overrightarrow{w_k}^{\mathcal{U}}\right|^2}{\sum_{j\neq k}^{k}\left|\overrightarrow{h_k}^{H}\ \overrightarrow{w_k}^{\mathcal{U}}\right|^2 + \sigma^2} \tag{11}$$

Where $\mathcal{U} = \{MRC, ZF, MMSE\}$, σ^2 is the noise variance.

In the following, we provide a table for the comparison of three pre-coding schemes. [37]-[45]

Pre-coding Scheme	Advantages	Disadvantages
MRT	Increase desired signal strength	Ignore the interference between each channel
ZF	Eliminate multi-users' interference	Computation of Matrix inversion is required
MMSE	Eliminate multi-users' interference and noise is taken into account	The noise characteristic needs to be known

Table 2 The comparison of three pre-coding scheme

From the equations of ZF and MMSE, it is expected that both schemes achieve the same performance in the high transmit power regimes as the noise terms in the MMSE equation becomes less dominate.

Thus, the downlink total spectral efficiency for multiple users can be written as, [12]

$$R^{\mathcal{U}} = \sum_{k=1}^{k} \mathcal{E}\{log_2(1 + SINR^{\mathcal{U}})\} \tag{12}$$

Thus, the energy efficiency can be obtained as, [1]

$$EE = \frac{R}{\sum_{k=1}^{K} \|\overrightarrow{w_k}\|^2 + P_C} \tag{13}$$

Preliminary Simulation for a multiuser MIMO System

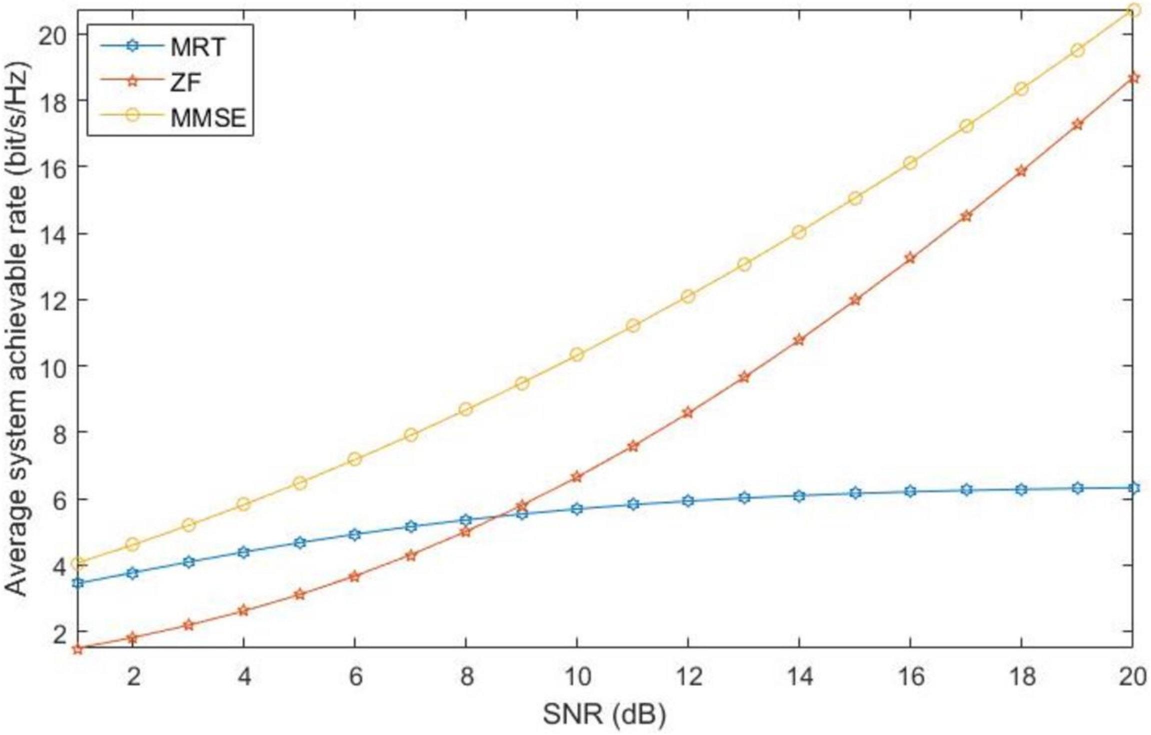

Figure 4 Achievable rate of the considered multiuser MIMO system for three pre-coding scheme.

Figure 4 shows the achievable rate of the considered multiuser MIMO system for three pre-coding schemes against SNR when the constant circuit power is set at 5 watts and there are 5 antennas equipped at transmitter. There are 5 single-antenna users. The blue curve displays the achievable rate for MRT pre-coding scheme, the red curve shows the average system achievable rate for ZF pre-coding scheme, and the yellow curve represents the MMSE pre-coding scheme. It can be easily seen in the graph that MRT has a better performance than ZF at a low SNR. However, ZF has better result in terms of average system achievable rate compared to MRT. This is because the interference becomes more serve when the transmit power is high. In particular, the aim of ZF is to eliminate the interference between users. However, the MRT pre-coding scheme only focuses on the power strength of the desired signal at the receiver and it does not consider interference. [16] Thus, the interference of MRT pre-coding increases rapidly at higher SNR and it degrades the potential performance gain brought by the multiple antennas to the average system achievable rate. In addition, it can be seen from Figure 4 that MMSE always has the best performance in terms of average system achievable rate. Besides, the ZF pre-coding scheme has a similar trend as MMSE pre-coding scheme, especially in the high transmit power regime. Furthermore, both pre-coding schemes overlap at a high SNR and this is because the noise term in the MMSE. The noise term approaches to be negligible when SNR is very large.

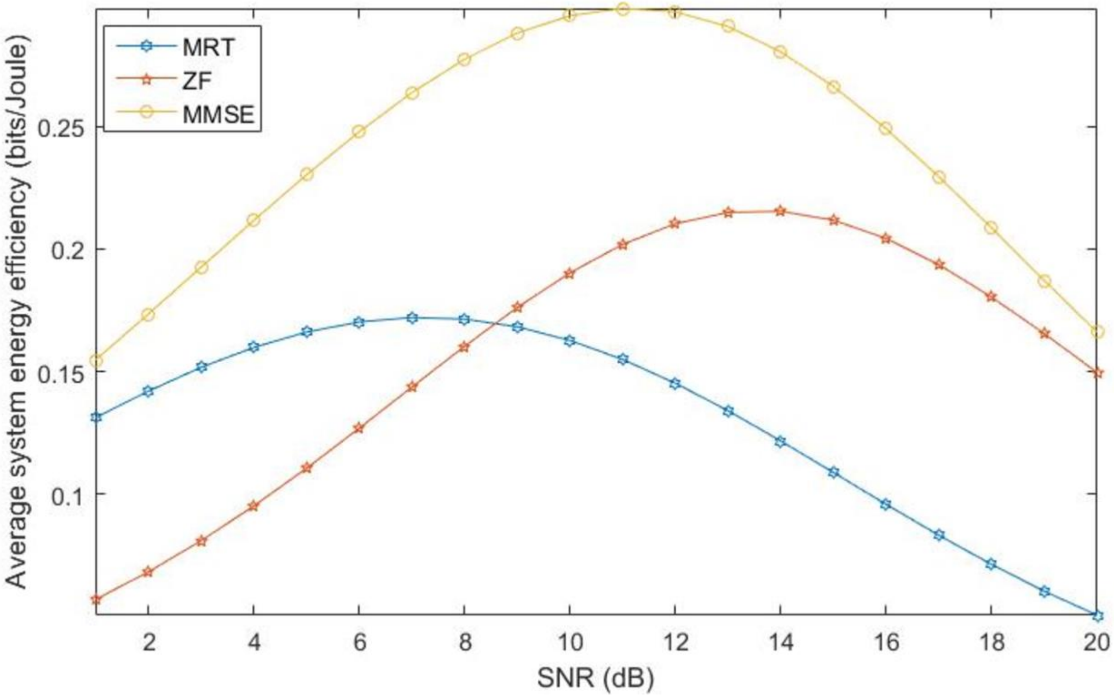

Figure 5 Average system energy efficiency for three different pre-coding schemes against SNR.

Figure 5 shows that the average system energy efficiency for three different pre-coding schemes against SNR when the circuit power is set at 5 watts and there are 5 antennas equipped at transmitter. There are 5 single-antenna users. The yellow curve demonstrates the system energy efficiency of MMSE pre-coding scheme, the red curve represents the energy efficiency for ZF pre-coding scheme and the blue curve shows the energy efficiency for MRT pre-coding scheme. It can be clearly seen from the graph that it has similar trends as Figure 5. MMSE pre-coding scheme always has the best energy efficiency and ZF pre-coding scheme has the worst performance in energy efficiency at lower SNR. Moreover, MRT pre-coding scheme has the worst energy efficiency when the SNR is larger than around 9 dB. MRT pre-coding scheme firstly reaches the maximal point at around 7 dB and then its energy efficiency drops. MMSE pre-coding scheme secondly reaches its highest energy efficiency after that it drops down. Finally, MRT pre-coding scheme approach to zero at around 20 dB. Accordingly, the energy efficiency of these three pre-coding schemes approach to zero at high transmit power regimes. In the low SNR regime, the degrees of freedom cannot be fully exploited to strike a balance between desired signal strength and interference management. [11]

Problem Formulation

$$max_{\boldsymbol{W}} \frac{log_2\left(det\left(I_{N_R} + \boldsymbol{HWH^H}\right)\right)}{Tr(\boldsymbol{W}) + P_c} \qquad (14)$$

$$s.t.\ \ C1: Tr(\boldsymbol{W}) \leq P_{max},$$

$$C2: log_2(det(I_{N_R} + \boldsymbol{HWH^H}))\ \geq\ R_{min},$$

$$C3:\ \boldsymbol{W} \geq 0.$$

The aim is to maximize the energy efficiency of a MIMO system, where $\boldsymbol{W}$ is the optimal matrix of pre-coding scheme which is ensured to be positive in constraint C3 and **H** is the channel matrix. Constrain C1 defines the maximum transmission power. C2 is the equation of channel capacity which restricts a minimal required data rate. As the number of antennas increases, it can be seen from equation (14) that both channel capacity and circuit power consumption also increases proportionally. Thus, energy efficiency depends on the increasing rates of these two terms, and the then problem becomes on whether the gain of channel capacity outweigh its circuit power.

$$max_{w_k} \frac{\sum_{k=1}^{K} log_2(\ 1 + SINR_k)}{\sum_{k=1}^{K} \|\overrightarrow{w_k}\|^2 + P_C} \qquad (15)$$

$$s.t. C1 : \sum_{k=1}^{K} \|\overrightarrow{w_k}\|^2\ \leq\ P_{max},$$

$$C2: \frac{\left|\overrightarrow{h_k}^H\ \overrightarrow{w_k}\right|^2}{\sum_{j\neq k}^{k}\left|\overrightarrow{h_k}^H\ \overrightarrow{w_k}\right|^2 + \sigma^2}\ \geq\ \Gamma_{req}, \forall k.$$

The aim of the design is to maximize the energy efficiency of a multiuser MISO system with respect to the beamforming vector, $\overrightarrow{\boldsymbol{w}_k}$. C1 is a constraint for the maximum value of the transmission power P_{max}. Constraint C2 imposes a minimum required SINR for each user. As the number of antennas increases, it is expected that the channel capacity increases very slowly. However, the circuit power increases proportionally as the antennas operating power is taken into account. In fact, an increase in the number of antennas could possibly lead to a decreasing energy efficiency. Therefore, there is a non-trivial tradeoff between the system energy efficiency and the number of activated antennas.

It can be seen from both problem formulations that the objective functions are in fractional form. In fact, the considered optimization problems belong to the class of combinatorial optimization problems. [17]-[20] It can be seen that these two controlled parameters consist the pre-coding scheme term, **W**, and this term is calculated from the channel matrix, **H**. Moreover, the channel matrix is defined as the combination of antennas at both transmitter and receiver. In general, in other to find the globally optimal solution, brute force approach is needed which is computational prohibitive even for a small size of system.

Method of solution

The objective function which are shown in (13) and (14) are in fraction form. In fact, the optimization problems belong to the class of non-convex function. Dinkelbach method is the most efficient way to solve a non-convex optimization problem. [17]-[26] Firstly, we need to find the maximum energy efficiency of the MIMO system, q^*, which can be rewritten as,

$$q^* = max_W \frac{log_2(det(I_{N_R} + HWH^H))}{Tr(W) + P_c * nt} \qquad (16)$$

Please refer to [17] – [20], we need to update the energy efficiency of the system until it finds the maximum energy efficiency. Therefore, the maximum energy efficiency is reached when equation (17) is satisfied.

$$log_2(det(I_{N_R} + HWH^H)) - q^* * (Tr(W) + P_c * nt) = 0 \quad (17)$$

Thus, the algorithm for Dinkelbach method can be shown figure 6.

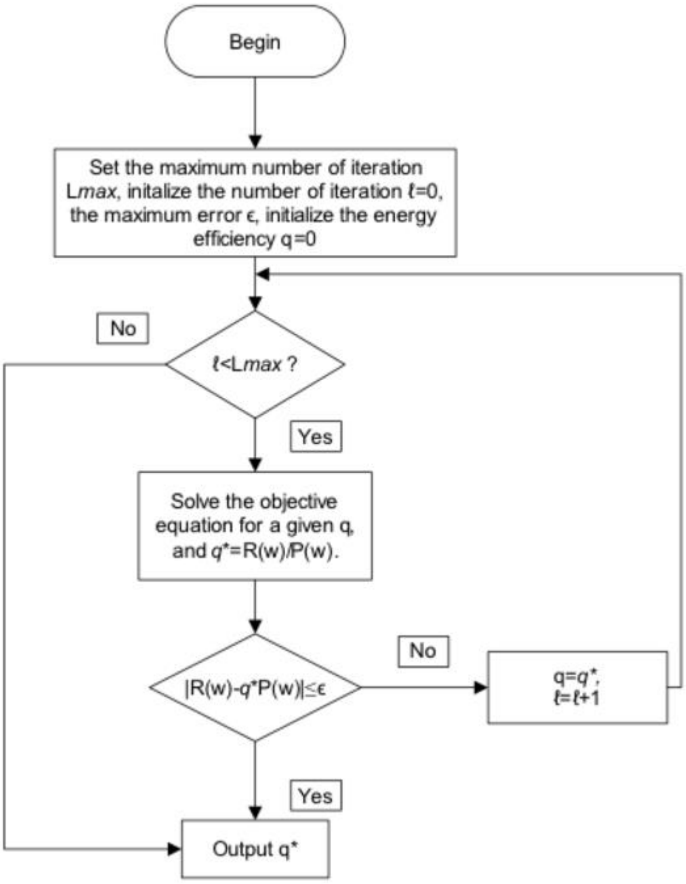

Figure 6 Dinkelbach method

Simulation results

Multiuser MIMO system

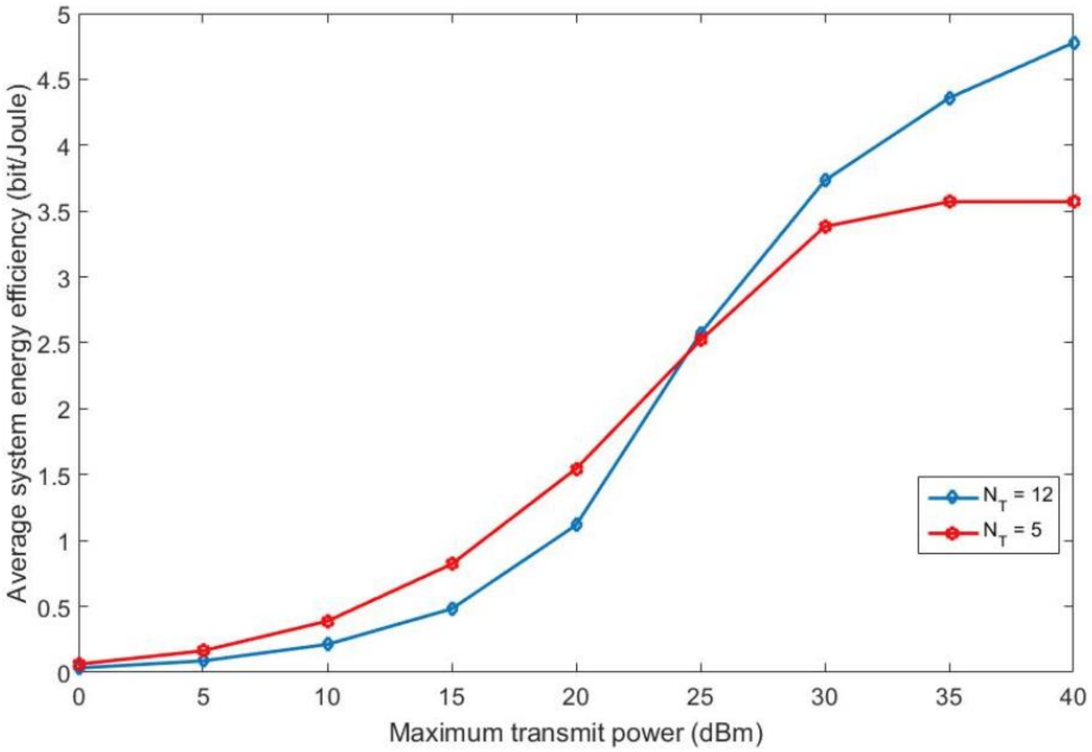

Figure 7 Average system energy efficiency for a given number of antennas

Figure 7 shows average system energy efficiency for a given number of antennas when circuit power consumption is 1 W. As we can see from the graph, the blue curve represents the the average system energy efficiency when the number of antennas at the transmission side is 12, and the red line shows the average system energy efficeincy when the transmitting antennas is 5. According to the figure, we can see both system energy efficiencies increase when transmit power raises. At a low signal-to-noise ratio regime, average system energy efficiency is higher for a smaller number of antennas at the transtmission side. Those two curves have a intersection at around 25 dBm, and this is a breakeven point. Therefore, the average system energy efficiency of the higher number of of its objective equation. There are two signficiant factors in the average system energy efficiency, they are the number of antennas and the transmit power. As we can see from the graph that the better performance gain of energy efficiency can be reached by increasing the transmit power at low SNR region. However, the figure shows that the system has better energy efficiency by increasing the number of antennas in high SNR region.

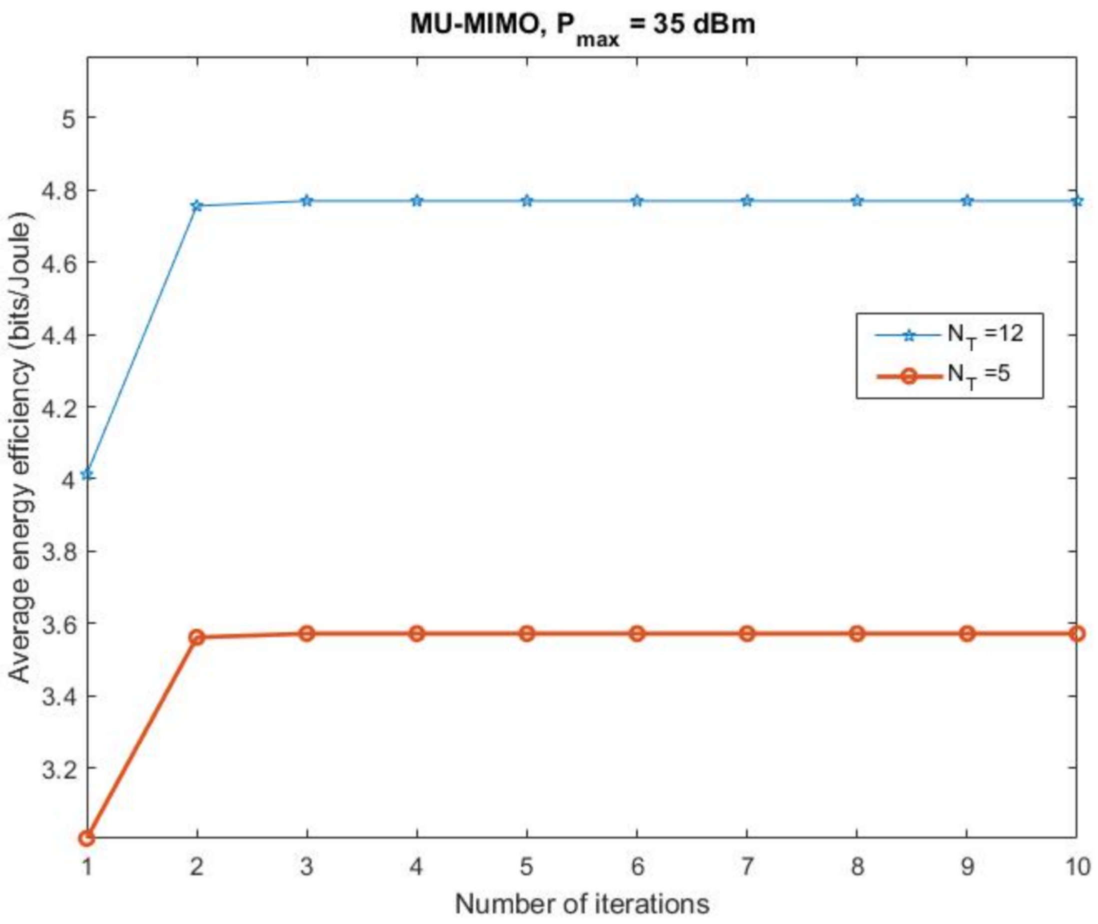

Figure 8 The number of iteration against average energy efficiency for a given number of antennas

Figure 8 shows the number of iteration against average energy efficiency for a given number of antennas at the transmission side and receiver side. The blue line represents the energy efficiency when the number of antennas is 12 and the red curve shows the average system energy efficiency for the number of antennas is 5. As we can see from the graph that it is monotonically increasing and converges to the optimal solution with 10 iterations on average, and which means that the number of antennas does not affect the algorithm. Moreover, the non-trivial tradeoff between the number of antennas and the average system energy efficiency when the power consumption of each antennas is taken into account. Hence, the circuit power consumption outweights the performance gain brought by the extra antennas.

Point-to-point MIMO system

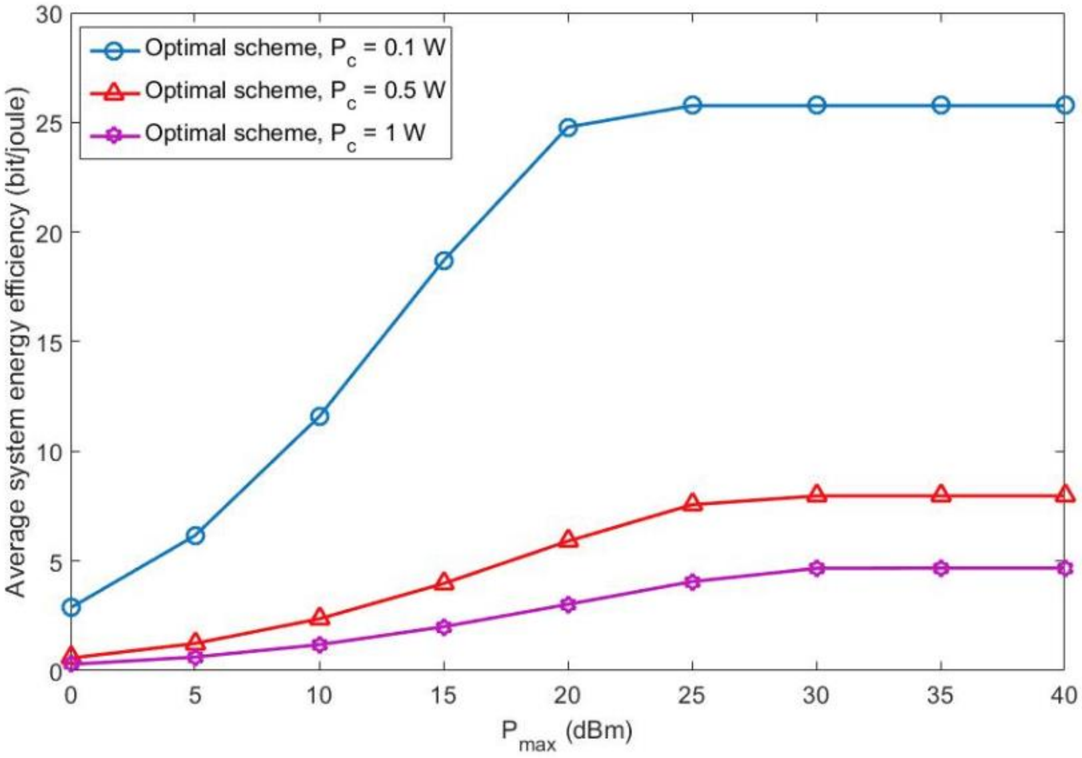

Figure 9 The average system energy efficiency for a given circuit power consumption

Figure 9 shows the average system energy efficiency for a given circuit power consumption. As we can see from the graph, the blue curve represents the system energy efficiency for circuit power consumption is 0.1 W, the red line shows the system energy efficiency when circuit power consumption is 0.5 W and purple curve demonstrates energy efficiency for circuit power is 1 W. We can see from the graph that average system energy efficiency is inversely proportional to the circuit power consumption. The lower circuit power consumption has steeper slope and higher energy efficiency due to its objective function eq.14. If the channel capacity and transmit power consumption are the same, the system has higher energy efficiency when it has a lower total energy consumption. As a result, circuit power consumption determines the cost of energy efficiency. The system energy efficency remains a constant after it reaches the maximum energy efficiency. In additon, we can see from the figure that the maximum energy efficency requires more transmit power when the circuit power consumption of the antennas increases.

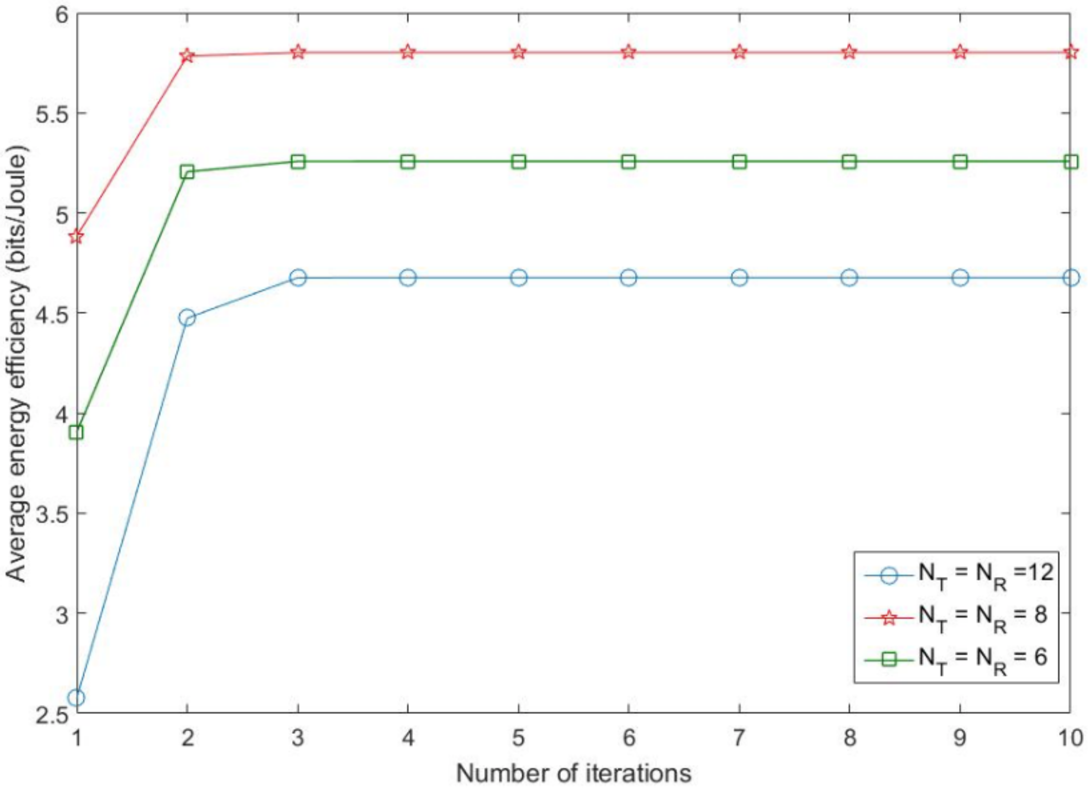

Figure 10 The number of iterations of Dinkelbach algorithm against the average energy efficiency

Figure 10 shows the number of iterations of Dinkelbach algorithm against the average energy efficiency for a given number of antennas at transmission and receiving sides. The blue curve, red curve and green curve show the average energy efficiency for the number of antennas at both sides are 12, 8 and 6 respectively. We can see from the graph that energy efficiency is monotonically increasing and converges to the optimal solution within 10 iterations on average. The non-trivial tradeoff between the number of antennas and the system energy efficiency when the power consumption of each antennas is taken into account.

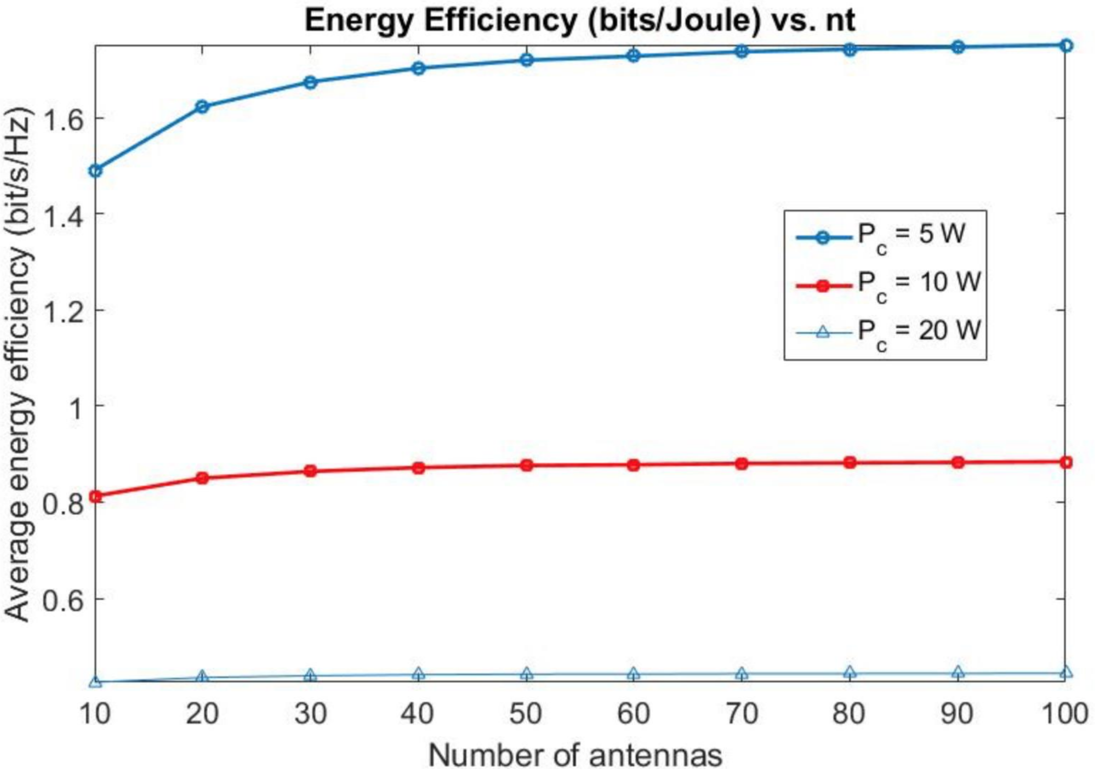

Figure 11 The number of antennas against average energy efficiency for a given circuit power consumption

In figure 11, it shows the number of antennas against average energy efficiency for a given circuit power consumption. The dark blue, red, and light blue lines demonstrates the number of antennas against average system energy efficiency for the circuit power consumption of 5W, 10W, and 20W respectively. In this figure, we set the transmit power as 1W. The performance gain due to multiple antennas is saturated. In fact, both the system capacity and power consumption scales with the number of antennas linearly for large numbers of antennas. Hence, the performance gain in energy efficiency is neutralized by the power consumption for equipping more antennas.

Future work

Finding the tradeoff between the number of active antennas and the average system energy efficiency is a complicated topic. In fact, finding the optimal number of activated antennas requiring an exhaustive search. It requires an exponential computational complexity. Therefore, I will continuous working on the design of computational complexity on determining the number of activated antennas to achieve the system maximum energy efficiency. Besides, we can extend our current study to the case of imperfect channel state information. Furthermore, we can also introduce the concepts of scheduling to further improve the energy efficiency. Then, I will also work on massive MIMO system, low computational complexity algorithm.[30]-[35]

Conclusion

In a nutshell, we formulate the resource allocation design for energy-efficient point-to-point MIMO systems and multiuser MIMO systems as two non-convex optimization problems, respectively. We solve these two non-convex functions by applying Dinklbach method. In particular, an iterative optimal resource allocation algorithm was propsoed to maximize the system energy efficiency. Based on the optimal system performance, we analyze the non-trivial tradeoff between average system energy efficiency and the number of antennas.

From our simulation results, we have some important observation on the energy efficiency of point-to-point MIMO systems, the maximum energy efficency requires more transmit power when the circuit power consumption of the antennas increases. For the proposed algorithm, it can be observed that the average system energy efficiency is monotonically increasing and converges to the optimal solution within 10 iterations on average. In addition, the performance gain in energy efficiency is neutralized by the power consumption for equipping more antennas.

For multiuser MIMO systems, the number of antennas and the transmit power are two signficiant factors in the average system energy efficiency. The tranmist power in a dominating factor at a low SNR regime, and the number of antennas is more important in a high SNR region. I will continuous working on massive MIMO, low computational complexity algorithm, and imperfect channel state information.

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