Table of Contents

Foreword xvii
Alain BRAVO

Acknowledgments xix

Introduction xxi

PART 1. COGNITIVE RADIO 1

Chapter 1. Introduction to Cognitive Radio 3
Jacques PALICOT, Christophe MOY and Mérouane DEBBAH

1.1. Joseph Mitola's cognitive radio 3
1.1.1. Definitions 4
1.1.2. Joseph Mitola's vision of cognitive cycle 5
1.2. Positioning 7
1.2.1. Convergence between networks 7
1.2.2. Generalized mobility without service interruption 8
1.2.3. Distribution of intelligence 9
1.3. Spectrum management 9
1.3.1. Current situation 9
1.3.2. Spectrum sharing 10
1.3.2.1. Horizontal and vertical sharing 11
1.3.2.2. Spectrum pooling 11
1.3.2.3. Spectrum underlay technique 13
1.3.2.4. Spectrum overlay technique 16
1.4. A broader vision of CR 17
1.4.1. Taking into account the global environment 18
1.4.2. The sensorial radio bubble for CR 19
1.5. Difficulties of the cognitive cycle 21

Chapter 2. Cognitive Terminals Toward Cognitive Networks 23
Romain COUILLET and Mérouane DEBBAH

2.1. Introduction 23
2.2. Intelligent terminal 25
2.2.1. Description 26
2.2.2. Advantages 30
2.2.3. Limitations 31
2.3. Intelligent networks 32
2.3.1. Description 32
2.3.2. Advantages 34
2.3.3. Limitations 35
2.4. Toward a compromise 35
2.4.1. Impact of the number of users 38
2.4.2. Impact of spectral dimension 39
2.5. Conclusion 40

Chapter 3. Cognitive Radio Sensors 43
Renaud SÉGUIER, Jacques PALICOT, Christophe MOY,
Romain COUILLET and Mérouane DEBBAH

3.1. Lower layer sensors 43
3.1.1. Hole detection sensor 43
3.1.1.1. Matched filtering 46
3.1.1.2. Detection 47
3.1.1.3. Energy detection 47
3.1.1.4. Collaborative detection 48
3.1.2. Other sensors 53
3.1.2.1. Recognition of channel bandwidth 53
3.1.2.2. Single- and multicarrier detection 55
3.1.2.3. Detection of spread spectrum type 56
3.1.2.4. Other sensors of the lower layer 56
3.2. Intermediate layer sensors 57
3.2.1. Introduction 57
3.2.2. Cognitive pilot channel 58
3.2.3. Localization-based identification 59
3.2.3.1. Geographical location-based systems synthesis 59
3.2.3.2. Rights of database use and update 61
3.2.4. Blind standard recognition sensor 62
3.2.4.1. General description 62
3.2.4.2. Sage 1: band adaptation 63
3.2.4.3. Stage 2: analysis with lower layer sensors 63
3.2.4.4. Stage 3: fusion 64

3.2.5. Comparison of abovementioned three sensors for standard recognition . . . 64
3.3. Higher layer sensors . . . 64
3.3.1. Introduction . . . 64
3.3.2. Potential sensors . . . 65
3.3.3. Video sensor and compression . . . 69
3.3.3.1. Active appearance models . . . 71
3.3.3.2. A real scenario . . . 72
3.3.3.3. Different stages . . . 74
3.4. Conclusion . . . 75

Chapter 4. Decision Making and Learning . . . 77
Romain COUILLET, Mérouane DEBBAH, Hamidou TEMBINE, Wassim JOUINI and Christophe MOY

4.1. Introduction . . . 77
4.2. CR equipment: decision and/or learning . . . 78
4.2.1. Cognitive agent . . . 78
4.2.2. Conflicting objectives . . . 79
4.2.3. A modeling part in all approaches . . . 79
4.2.4. Decision making and learning: network equipment . . . 80
4.3. Decision design space . . . 81
4.3.1. Decision constraints . . . 81
4.3.1.1. Environmental constraints . . . 81
4.3.1.2. User constraints . . . 81
4.3.1.3. Equipment capacity constraints . . . 82
4.3.2. Cognitive radio design space . . . 82
4.4. Decision making and learning from the equipment's perspective . . . 82
4.4.1. *A priori* uncertainty measurements . . . 82
4.4.2. Bayesian techniques . . . 84
4.4.3. Reinforcement techniques: general case . . . 86
4.4.3.1. Bellman's equation . . . 87
4.4.3.2. Bellman's equation to reinforcement techniques . . . 88
4.4.3.3. Value update . . . 89
4.4.3.4. Iteration algorithm for policies . . . 90
4.4.3.5. Q-learning . . . 90
4.4.4. Reinforcement techniques: slot machine problem . . . 91
4.4.4.1. An introductory example: analogy with a slot machine . . . 91
4.4.4.2. Mathematical formalism and fundamental results . . . 92
4.4.4.3. Upper confidence bound (UCB) algorithms . . . 92
4.4.4.4. UCB_1 algorithm . . . 93
4.4.4.5. UCB_V algorithm . . . 94
4.4.4.6. Application example: opportunistic spectrum access . . . 94

4.4.5. Artificial intelligence 95
4.5. Decision making and learning from network perspective: game theory 96
4.5.1. Active or passive decision 96
4.5.2. Techniques based on game theory 97
4.5.2.1. Cournot's competition and best response 98
4.5.2.2. Fictitious play 98
4.5.2.3. Reinforcement strategy 99
4.5.2.4. Boltzmann–Gibbs and coupled learning 100
4.5.2.5. Imitation 100
4.5.2.6. Learning in stochastic games 101
4.6. Brief state of the art: classification of methods for dynamic configuration adaptation 101
4.6.1. The expert approach 101
4.6.2. Exploration-based decision making: genetic algorithms 102
4.6.3. Learning approaches: joint exploration and exploitation 103
4.7. Conclusion 104

Chapter 5. Cognitive Cycle Management 107
Christophe MOY and Jacques PALICOT

5.1. Introduction 107
5.2. Cognitive radio equipment 109
5.2.1. Composition of cognitive radio equipment 109
5.2.2. A design proposal for CR equipment: HDCRAM 110
5.2.3. HDCRAM and cognitive cycle 114
5.2.4. HDCRAM levels 116
5.2.4.1. Level L3 116
5.2.4.2. Level L2 117
5.2.4.3. Level L1 118
5.2.5. Deployment on a hardware platform 118
5.2.6. Examples of intelligent decisions 119
5.3. High-level design approach 122
5.3.1. Unified modeling language (UML) design approach 122
5.3.2. Metamodeling 123
5.3.3. An executable metamodel 124
5.3.4. Simulator of cognitive radio architecture 124
5.4. HDCRAM's interfaces (APIs) 127
5.4.1. Organization of classes of HDCRAM's metamodel 127
5.4.1.1. Parent classes 128
5.4.1.2. Child classes 128
5.4.2. ReM APIs 129
5.4.3. CRM's APIs 131
5.4.4. Operators' APIs 134

5.4.5. Example of deployment scenario in CR equipment 135
5.5. Conclusion 139

PART 2. SOFTWARE RADIO AS SUPPORT TECHNOLOGY 141

Chapter 6. Introduction to Software Radio 143
Jacques PALICOT and Christophe MOY

6.1. Introduction 143
6.2. Generalities 145
6.2.1. Definitions 147
6.2.1.1. Ideal software radio 147
6.2.1.2. Software-defined radio 147
6.2.1.3. Other interesting classifications 148
6.2.2. Interests and aftermath for telecom players 148
6.2.2.1. Designer of terminals and access points 148
6.2.2.2. Operator and service provider 149
6.2.2.3. End user 150
6.3. Major organizations of software radio 150
6.3.1. Forums 150
6.3.1.1. SDR Forum/Wireless Innovation Forum 151
6.3.1.2. OMG 151
6.3.2. Standardization organizations 152
6.3.3. Regulators 152
6.3.4. Some commercial and academic projects 152
6.3.5. Military projects 153
6.4. Hardware architectures 153
6.4.1. Software-defined radio (ideal) 153
6.4.2. Software-defined radio 154
6.4.2.1. Direct conversion 155
6.4.2.2. SR with low IF 155
6.4.2.3. Undersampling 157
6.4.2.4. Other architectures 157
6.5. Conclusion 159

Chapter 7. Transmitter/Receiver Analog Front End 161
Renaud LOISON, Raphaël GILLARD, Yves LOUËT and Gilles TOURNEUR

7.1. Introduction 161
7.2. Antennas 161
7.2.1. Introduction 161
7.2.2. For base stations 162
7.2.2.1. Constraints on spatial discrimination 162
7.2.2.2. Constraints on the spectral discrimination 164
7.2.2.3. Sample topologies and concepts 165

7.2.3. For mobile terminals 167
7.2.3.1. Constraints 167
7.2.3.2. Sample topologies and concepts 170
7.3. Nonlinear amplification 172
7.3.1. Introduction 172
7.3.2. Characteristics of a power amplifier 172
7.3.2.1. AM/AM and AM/PM characteristics 173
7.3.2.2. The efficiency 174
7.3.2.3. Input and output back-offs 174
7.3.2.4. Memory effect 175
7.3.3. Merit criteria of a power amplifier 175
7.3.3.1. Intermodulation 176
7.3.3.2. The C/I ratio 178
7.3.3.3. Interception point 178
7.3.3.4. Noise power ratio (NPR) 178
7.3.3.5. Adjacent channel power ratio (ACPR) 180
7.3.3.6. Error vector magnitude (EVM) 180
7.3.4. Modeling of a memoryless power amplifier 181
7.3.4.1. Input–output relationship of an amplifier 181
7.3.4.2. The polynomial model 182
7.3.4.3. The Saleh model 182
7.3.4.4. The Rapp model 182
7.3.5. Modeling of a power amplifier with memory 183
7.3.5.1. The Saleh model 183
7.3.5.2. The Volterra model 184
7.3.5.3. The Wiener–Hammerstein model 184
7.3.5.4. The polynomial model with memory 185
7.4. Converters 185
7.4.1. Introduction 185
7.4.1.1. Requirements for the software radio 186
7.4.2. Characteristics of the converters 187
7.4.2.1. Quantization noise 187
7.4.2.2. Thermal noise 189
7.4.2.3. Sampling phase noise 190
7.4.2.4. Measuring spectral purity: the spurious free dynamic range (SFDR) 192
7.4.2.5. SFDR improvement by adding noise: the dither 193
7.4.2.6. Switched capacitor converters: the KT/C noise 194
7.4.2.7. Signal dynamics 194
7.4.2.8. Blockers 194
7.4.2.9. Linearity constraints 195
7.4.2.10. Jammers 195
7.4.2.11. Bandwidth and slew rate 195

7.4.2.12. Consumption constraints: the figure of merit (FOM) . . 195
7.4.2.13. Constraints on digital ports 196
7.4.3. Digital to analog conversion architectures 196
7.4.3.1. Current source of DAC architectures 196
7.4.3.2. Switched capacitor DAC architecture 197
7.4.3.3. Evolution of the DAC 198
7.4.4. Analog to digital conversion architecture 198
7.4.4.1. Flash structure 199
7.4.4.2. Folding ADC 199
7.4.4.3. Pipeline structure 200
7.4.4.4. Successive approximation architecture 201
7.4.4.5. Sigma-delta architecture 201
7.4.4.6. Evolution of the ADC analog-to-digital converters 204
7.4.5. Summarizing the converters 204
7.5. Conclusion 205

Chapter 8. Transmitter/Receiver Digital Front End 207
Jacques PALICOT, Daniel LE GUENNEC and Christophe MOY

8.1. Theoretical principles 208
8.1.1. The universal transmitter/receiver 208
8.2. DFE functions 210
8.2.1. *I*/*Q* transposition in digital domain 210
8.2.2. Sample rate conversion 212
8.2.2.1. Frequency conversion by decimation filter 213
8.2.3. Channelization 223
8.2.4. DFE from a practical point of view 224
8.2.4.1. Low-pass filtering 225
8.2.4.2. Cheapest solution in terms of computational cost 226
8.2.5. Multichannel DFE 227
8.3. Synchronization 229
8.3.1. Introduction 229
8.3.2. Symbol timing recovery 229
8.3.2.1. Timing phase recovery 230
8.3.2.2. Phase error detector 230
8.3.2.3. Phase-locked loop (PLL) 230
8.3.3. Carrier phase recovery 230
8.3.3.1. DA estimation 232
8.3.3.2. NDA estimation 233
8.3.3.3. Phase recovery 233
8.3.3.4. Direct structures: DA and NDA estimator 233
8.3.3.5. Loop structures 234
8.3.3.6. Phase error detector 234
8.3.3.7. The loop filter 236

8.3.4. Synchronization in the software radio context 237
8.3.4.1. Analysis of the dynamic behavior of the loop with constellation change 239
8.3.4.2. Reliability and detection of constellation 241
8.4. The CORDIC algorithm 243
8.4.1. Principle of the CORDIC algorithm 243
8.4.2. Operation of the CORDIC operator 245
8.4.2.1. Vector mode 245
8.4.2.2. Rotation mode 245
8.5. Conclusion 246

Chapter 9. Processing of Nonlinearities 249
Yves LOUËT and Jacques PALICOT

9.1. Introduction 249
9.2. Crest factor of the signals to be amplified 250
9.2.1. Characteristic parameters of the crest factor 250
9.2.1.1. Crest factor definition 250
9.2.1.2. Definition of continuous and finite PR: $PR_{c,f}$ 250
9.2.1.3. Definition of discrete and finite PR: $PR_{d,f}$ 251
9.2.2. Relationship with the literature notations 251
9.2.2.1. PAPR case 251
9.2.2.2. Relationship between $PAPR$ and $PMEPR$ 251
9.2.3. Distribution function of PR 252
9.3. Variation of crest factor in different contexts 252
9.3.1. Single-carrier signals' context 252
9.3.1.1. Influence of Nyquist filter 252
9.3.1.2. Influence of square-root Nyquist filter 253
9.3.2. Multicarrier signals' context 255
9.3.3. Software radio signals' context 256
9.3.4. Context of cognitive radio 260
9.3.4.1. Introduction 260
9.3.4.2. Variations in crest factor on spectrum access by using carrier-by-carrier vision 262
9.3.4.3. Influence of spectrum access on PAPR in the CR context 263
9.4. Methods for reducing nonlinearities 264
9.4.1. Introduction 264
9.4.2. PAPR reduction methods 266
9.4.2.1. Methods with modifications of the receiver 266
9.4.2.2. Methods without modifying the receiver 267
9.4.2.3. Synthesis of the PAPR reduction methods 267
9.4.3. Methods working on the linearity of the amplifier 268

9.4.3.1. Methods to change the function of amplification 268
9.4.3.2. Methods without changing the amplification function . . 268
9.5. Conclusion 269

Chapter 10. Methodology and Tools 271
Pierre LERAY, Christophe MOY and Sufi Tabassum GUL

10.1. Introduction 271
10.2. Methods to identify common operations 273
10.2.1. Parametrization approaches 273
10.2.2. Pragmatic approach of parametrization to design multistandard SR 274
10.2.2.1. Common functions 274
10.2.2.2. Common operators 274
10.2.3. Theoretical approach to design multistandard SR by common operators 276
10.3. Methods and design tools 280
10.3.1. Co-design methods 280
10.3.1.1. Simulink® based approach 280
10.3.1.2. An example: SynDEx 281
10.3.1.3. GNU radio 287
10.3.2. MDA approaches 288
10.3.2.1. Introduction 288
10.3.2.2. MOPCOM methodology 289
10.3.2.3. GASPARD model 295
10.4. Conclusion 297

Chapter 11. Implementation Platforms 299
Amor NAFKHA, Pierre LERAY and Christophe MOY

11.1. Introduction 299
11.2. Software radio platform 299
11.3. Hardware architectures 300
11.3.1. Dedicated circuits 300
11.3.2. Processors 301
11.3.2.1. CISC architecture 302
11.3.2.2. RISC architecture 302
11.3.2.3. Superscalar architecture 303
11.3.2.4. VLIW architecture 303
11.3.2.5. Vector architecture 304
11.3.3. Reconfigurable architecture 304
11.3.3.1. Fine-grain architecture 305
11.3.3.2. Coarse-grain architecture 307
11.4. Characterization of the implementation platform 309
11.4.1. Flexibility/reconfiguration 309

11.4.2. Performances 311
11.4.3. Power consumption 312
11.5. Qualitative assessment 312
11.6. Architectures of software layers 313
11.6.1. The SCA software architecture 314
11.6.2. Intermediate software layer: ALOE 314
11.6.3. Software architecture for reconfiguration management: HDReM 315
11.7. Some platform examples 317
11.7.1. The USRP platform 317
11.7.2. OpenAirInterface 318
11.7.3. Kansas University Agile Radio 319
11.7.4. Berkeley Cognitive Radio Platform 320
11.8. Conclusion 320

Chapter 12. General Conclusion and Perspectives 323

12.1. General conclusion 323
12.2. Perspectives 323
12.2.1. CR and sustainable development 323
12.2.1.1. A spontaneous communication protocol 324
12.2.2. Toward a collective intelligence 324
12.2.3. Toward a fully cognitive radio 324

Appendix A. To Learn More 327

A.1. The special issues of journals 327
A.1.1. SR domain in general 327
A.1.2. CR domain 328
A.2. Specialized conferences 330
A.3. Some reference books 330
A.3.1. SR domain in general 330
A.3.2. CR domain in general 331

Appendix B. SR and CR Projects 333

B.1. European projects 333
B.2. French projects 336

Appendix C. International Activity in Standardization and Forums . . . 339

C.1. The IEEE 802.22 Standard 339
C.2. SCC41 standardization (Standards Coordinating Committee 41, dynamic spectrum access networks) 339

C.3. P1900.1 standardization (Working group on terminology and concepts for next-generation radio systems and spectrum management) 340
C.4. P1900.2 standardization (Working group on recommended practice for interference coexistence and analysis) 340
C.5. P1900.3 standardization (Working group on recommended practice for conformance evaluation of Software Defined Radio software modules) 340
C.6. P1900.4 standardization (Working group on architectural building blocks enabling network – device distributed decision making for optimized radio resource usage in heterogeneous wireless access networks) 340
C.7. P1900.5 standardization (Working group on policy language and policy architectures for managing cognitive radio for dynamic spectrum access applications) 341
C.8. P1900.6 standardization (Working group on spectrum sensing interfaces and data structures for dynamic spectrum access and other advanced radio communications systems) 341
C.9. ITU-R standards (Question ITU-R 241-1/5: cognitive radio systems in mobile service) 341
C.10. ETSI technical committee on reconfigurable radio systems (TC-RRS) standardization 342
C.11. Forum: Wireless Innovation Forum (former by SDR forum) . . 342
C.12. Forum: Wireless World Research Forum 343

Appendix D. Research at European and International Levels 345

D.1. Research centers 345

Acronyms and Abbreviations 347

Bibliography 355

List of Authors 373

Index 375