### OTFS: A New Modulation Scheme for 5G and Beyond

NCC'2020 Tutorial IIT Kharagpur

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Special thanks to

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21 February 2020



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# Outline I

#### Some background

- Digh-mobility requirement in 5G
- OTFS modulation

#### Performance of OTFS

- Diversity in OTFS
- MIMO-OTFS
- Space-time coded OTFS
- PAPR of OTFS
- Channel estimation in OTFS
- Multiuser OTFS (OTFS-MA)
- Effect of phase noise on OTFS



## Some background

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• Carrier frequency (Hertz; Hz)

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- Bandwidth, W (Hz)

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- Probability of bit error
- Multipath fading

$$\underbrace{s(t)}_{y(t)} \underbrace{y(t)}_{y(t)} = s(t) + n(t)$$

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$$s(t) \xrightarrow{y(t) = s(t) + n(t)}$$

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Channel	Error Probability $(P_e)$	Capacity ( <i>C</i> ), bps
AWGN	${\sf P}_e \propto e^{-{\it SNR}}$	$C = W \log(1 + SNR)$

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 $\bullet$  Prob. of error falls exponentially with SNR  $\stackrel{\cdots}{\smile}$ 

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- Capacity grows with SNR (but only logarithmically with SNR)

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• Fading channel characterization

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- Fading channel characterization
  - Variation in frequency-domain
    - Max. Delay spread ( $au_{max}$ )
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  - Variation in time-domain
    - Max. Doppler spread ( $\nu_{max}$ )
    - Coherence time (*T<sub>coh</sub>*)

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Image: A math a math

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• Frequency-flat fading: Coherence BW > Signaling BW ( $W_{coh} > W$ )

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- $W_{coh} \propto \tau_{max}^{-1}$
- Frequency-flat fading: Coherence  $BW > Signaling BW (W_{coh} > W)$
- Frequency-selective fading: Coherence BW < Signaling BW ( $W_{coh} < W$ )

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Frequency-flat fading.

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- Doppler spread:  $\nu_2 \nu_1$

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  - Max. Doppler spread  $(\nu_{max})$  and coherence time  $(T_{coh})$



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• Slow fading: Coherence time > signaling interval (T<sub>coh</sub> > T<sub>s</sub>)

- Variation in time-domain
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- Slow fading: Coherence time > signaling interval  $(T_{coh} > T_s)$
- Fast fading: Coherence time < signaling interval (T<sub>coh</sub> < T<sub>s</sub>)



• e.g., mobile radio channel

Channel	Error Probability $(P_e)$	Capacity ( <i>C</i> ), bps
Fading	$P_e \propto SNR^{-1}$	$C = W \log(1 + SNR)$

• Prob. of error falls only linearly with SNR

Image: A math a math

#### Prob. of bit error performance



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• e.g., mobile radio channel

Channel	Error Probability $(P_e)$	Capacity (C), bps
ISI	$P_e \propto SNR^{-L}$	$C = W \log(1 + SNR)$

- Causes inter-symbol interference (ISI)
- If rx. signal is properly processed (equalization)
  - ullet prob. of error falls with Lth power of SNR (multipath diversity)  $\sim$

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• Orthogonal Frequency Division Multiplexing (overcomes ISI issue)

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  - Converts frequency-selective channel to multiple (M) frequency-flat channels

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• Tx: 
$$x(n) = \frac{1}{\sqrt{M}} \sum_{k=0}^{M-1} X(k) e^{\frac{i2\pi kn}{M}}, n = 0, 1, \cdots, M-1$$

- Orthogonal Frequency Division Multiplexing (overcomes ISI issue)
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$$\begin{array}{c|c} X[k] \\ \hline \\ IFFT \\ \hline \\ & ISI \text{ channel} \\ \hline \\ & y[n] \\ \hline \\ & FFT \\ \hline \\ & Y[k] \\ \hline \\ & \end{array}$$

• Tx: 
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- Orthogonal Frequency Division Multiplexing (overcomes ISI issue)
  - Converts frequency-selective channel to multiple (M) frequency-flat channels



• Multiplexes M information symbols  $X(k), k = 0, \dots, M-1$  on M subcarriers

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• Renders the ISI channel to a multiplicative channel, Y(k) = H(k)X(k) + N(k)



• e.g., mobile radio channel

Channel	Error Probability $(P_e)$	Capacity ( <i>C</i> ), bps
SIMO	$P_e \propto SNR^{-n_r}$	$C = W \log(1 + SNR)$

• Prob. of error falls with  $n_r$ th power of SNR (receive diversity)  $\ddot{\sim}$ 

Image: A math a math

## MIMO channel



• e.g., mobile radio channel y = Hx + n

Channel	Error Probability $(P_e)$	Capacity (C), bps
MIMO	$P_e \propto SNR^{-n_t n_r}$	$C = \min(n_t, n_r) W \log(1 + SNR)$

- Prob. of error falls with  $n_t n_r$ th power of SNR (tx & rx diversity)  $\sim$
- Capacity grows linearly with  $n_t, n_r$   $\smile$
- Large  $n_t$ ,  $n_r \implies$  large capacity/diversity gains (massive MIMO in 5G)
- MIMO signal detection problem:  $\hat{\mathbf{x}} = \underset{\mathbf{x} \in \mathbb{A}^{nt}}{\arg \max ||\mathbf{y} \mathbf{H}\mathbf{x}||^2}$

#### Prob. of bit error performance



MIMO

• spectrally efficient, reliable, power efficient

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#### Multiuser communication



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Generation	Frequency band	PHY features	Data rate	Spectral Eff. (bps/Hz)
1G	850 MHz	FDMA, FM	N/A	N/A
2G	900 MHz,	TDMA/CDMA,		
	1.8 GHz	GMSK/QPSK,	10 Kbps	< 1
		FEC, PC		
3G	1.8-2.5 GHz	CDMA, QAM	1-40 Mbps	1-8
4G	2-8 GHz	OFDMA, SC-FDMA	100-600	15
		QAM, MIMO-OFDM	Mbps	
	1-6 GHz	massive MIMO		
5G	mm wave (26-28 GHz)	beamforming	multi-Gbps	several tens
	< 1 GHz (massive loT)	D2D, Full duplex, NOMA		
	visible light?	LDPC and Polar codes		
		OFDM & variants		
		(adapted to extremes?)		

• Waveform design is the major change between the generations

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### High-mobility requirement in 5G

Image: A math a math

#### 5G vision

#### • Enhanced mobile broadband (eMBB) [2020-2021] (user focus)

- High data rates (multi-gigabits per sec)
- High spectral efficiency (tens of bps/Hz)
- High capacity (10 Tbps per Km<sup>2</sup>)
- High user mobility?

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Massive machine type communications (mMTC) [2021-2022] (device focus)

- Massive Internet of Things
- High density (1 million nodes per Km<sup>2</sup>)
- Ultra-low energy (10 years+ battery life)
- Deep coverage (reach challenging locations)

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- Ultra-low energy (10 years+ battery life)
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• Ultra-reliable and low-latency communications (uRLLC) [2024-2025]

- Mission-critical services
- Ultra-low latency (< 1 msec end-to-end latency)
- Ultra-high reliability (< 1 out of 100 million packets lost)
- Strong security (health/financial/government)

# High-mobility support

- Mobility support requirement
  - relative speed between the user and the network edge at which consistent user experience must be ensured
- ullet Enhanced mobility support ( $\sim$  5-fold) compared to that in 4G
- Mobility on demand
  - ranging from very high mobility users (e.g., users in bullet trains, airplanes) to low mobility/stationary devices (e.g., smart meters)

Scenario	User experienced data rate	E2E latency	Mobility
Mobile BB in vehicles	DL: 50 Mbps	10 msec	on demand
(cars, trains)	UL: 25 Mbps		up to 500 km/h
Airplane connectivity	DL: 15 Mbps	10 msec	on demand
	UL: 7.5 Mbps		up to 1000 km/h

Scenario Connection density		Traffic density
Mobile BB in vehicles	2000/km <sup>2</sup>	DL: 100 Gbps/km <sup>2</sup>
(cars, trains)	500 active users/train, 4 trains	(25 Gbps/train, 50 Mbps/car)
	or 1 active user/car, 2000 cars	UL: 50 Gbps/km <sup>2</sup>
		(12.5 Gbps/train, 25 Mbps/car)
Airplane connectivity	80/plane	DL: 1.2 Gbps/plane
	60 airplanes/18000 km <sup>2</sup>	600 Mbps/plane

(\*) "5G White Paper," ver 1.0, NGMN Alliance, Feb. 2015.

## High-Doppler wireless channels



- High Dopplers due to
  - High mobility (e.g., bullet trains)

Carrier frequency	UE speed	Doppler shift
4 GHz	27 kmph	100 Hz
	100 kmph	370.3 Hz
	500 kmph	1.851 KHz

• High carrier frequencies (e.g., mmWave, 28 GHz)

Carrier frequency	UE speed	Doppler shift
28 GHz	27 kmph	700 Hz
	54 kmph	1.4 KHz

# OFDM (Modulation in 4G)

#### • OFDM

- Information is signaled in the frequency domain
- 1-D transform in frequency domain (IFFT/FFT)
- Orthogonality among the subcarriers is the key



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# Effect of high Doppler in OFDM

- In presence of high Doppler, subcarriers lose orthogonality
- This results in inter-carrier interference (ICI)



- Causes severe degradation in bit error performance for high Dopplers (error floors)
- Channel estimation and equalization in high Doppler channels is difficult

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OTFS: A New Modulation Scheme for 5G and Beyond

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• Bin both frequency and time axes (motivation: overcome the ICI effect)

Image: A math a math

- Bin both frequency and time axes (motivation: overcome the ICI effect)
- *M* frequency bins and *N* time bins



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• Perform 2-D transform in the TF plane

• Tx: 
$$x(t) = \sum_{n=0}^{N-1} \sum_{m=0}^{M-1} X[n,m]g_t(t-nT)e^{j2\pi m\Delta f(t-nT)}$$

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- Y[n, m] = H[n, m]X[n, m] + v[n, m]
- Do not perform that well in high Dopplers

### **OTFS** modulation

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# Orthogonal Time Frequency Space (OTFS) modulation\*

- A promising modulation scheme for doubly-selective channels
- Information is signaled in Delay-Doppler (DD) domain rather than in Time-Frequency (TF) domain



(\*) R. Hadani, S. Rakib, M. Tsatsanis, A. Monk, A. J. Goldsmith, A. F. Molisch, and R. Calderbank, "Orthogonal time frequency space modulation," in *Proc. IEEE WCNC*, San Francisco, CA, USA, March 2017.



# Why OTFS?

#### • OTFS Vs OFDM: A performance comparison



Figure : BER comparison of OTFS and OFDM systems with MMSE detection for  $f_c = 4$  GHz,  $\Delta f = 15$  KHz, M = 12, N = 7, P = 5,  $\nu_{max} = 1.85$  KHz, BPSK.

## Key features of OTFS



- Channel response in DD domain is invariant (for a larger observation time than in TF representation) and compact
- Each symbol experiences nearly constant channel gain
- Converts the multiplicative action of channel into a 2D convolution interaction with transmitted symbols

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## Channel representation in DD domain

- Different representations can be used to model LTV multipath channel
  - in time (t), frequency (f), delay (au), and Doppler (u) variables
- Impulse response of a time-varying channel can be expressed as a function of
  - time-frequency H(t, f)
  - time-delay  $g(t, \tau)$
  - delay-Doppler h( au, 
    u)

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  - delay-Doppler h( au,
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• In time-frequency H(t, f) and time-delay  $h(t, \tau)$  representations

• channel coefficients vary with time at a rate that depends on mobility and carrier frequency

# Time-frequency and delay-Doppler responses

#### • DD domain impulse response $h(\tau, \nu)$ is more compact

- channel taps in DD representation correspond to a cluster of reflectors with specific delay and Doppler values
- the delay and Doppler values depend on reflectors' relative distance and relative velocity, respectively, with the transmitter and receiver
- relative velocity and distance remain roughly constant for at least a few msecs
- Hence channel in DD domain appears time invariant for a longer duration
- DD representation results in a sparse representation



Channel in time-frequency H(t, f) and delay-Doppler  $h(\tau, \nu)$  domains

### An example: Urban multi-lane scenario



time  $t = t_0$ 





time  $t = t_0 + \Delta$ 



Example of a wireless channel in an urban multi-lane scenario illustrating the sparsity and slow variability of the channel in the DD representation.

$$y(t) = \int_{\nu} \int_{\tau} h(\tau, \nu) x(t-\tau) e^{j2\pi\nu(t-\tau)} d\tau d\nu + v(t), \quad h(\tau, \nu) = \sum_{i=1}^{P} h_i \delta(\tau - \tau_i) \delta(\nu - \nu_i), P = 4$$

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### Signal representation in delay-Doppler domain

- A signal can be represented as a function of time, or as a function of frequency, or as a quasi-periodic function of delay and Doppler
- These 3 representations are interchangeable by means of canonical transforms



$$Z_f(\phi) = \int_0^{\tau_r} e^{-j2\pi\tau f} \phi(\tau, f) \mathrm{d}\tau$$

• Using Zak transforms  $Z_t(\phi)$  and  $Z_f(\phi)$ , symbols in DD domain can be converted into time and frequency domains

## OTFS block diagram

- $\bullet~{\sf Two-step}$  transform: DD domain  $\rightarrow~{\sf TF}$  domain  $\rightarrow~{\sf time}$  domain
- Implemented using simple pre- and post-processing (ISFFT & SFFT) over any multicarrier modulation scheme such as OFDM.



Figure : OTFS block diagram

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### Signaling in delay-Doppler domain

 The information symbols in DD domain x[k, I]s are mapped to TF symbols X[n, m] using ISFFT as

$$X[n, m] = \frac{1}{\sqrt{MN}} \sum_{k=0}^{N-1} \sum_{l=0}^{M-1} x[k, l] e^{j2\pi \left(\frac{nk}{N} - \frac{ml}{M}\right)}$$

- TF plane is sampled at intervals T and  $\Delta f$ , to obtain a 2D grid  $\Lambda = \{(nT, m\Delta f), n = 0, \cdots, N-1, m = 0, \cdots, M-1\}$
- Delay-Doppler grid  $\Gamma$ , reciprocal to  $\Lambda$  $\Gamma = \{ (\frac{k}{NT}, \frac{l}{M\Delta t}), k = 0, \cdots, N-1, l = 0, \cdots, M-1 \}$



## Signaling in delay-Doppler domain

• A 2D ISFFT translates every point on the DD plane into a corresponding basis function that covers the entire TF plane (2D orthogonal complex exponentials)



• OTFS basis functions (waveforms) have strong resilience to delay-Doppler shifts imparted by the channel (2D localized pulses in the DD domain)

#### • M = N = 32, $\Delta f = 15$ KHz



Figure : OTFS basis functions in delay-Doppler domain, time-frequency domain, and time domain for Doppler index k = 0 and delay index l = 0.

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#### • M = N = 32, $\Delta f = 15$ KHz



Figure : OTFS basis functions in delay-Doppler domain, time-frequency domain, and time domain for Doppler index k = 2 and delay index l = 0.

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#### • M = N = 32, $\Delta f = 15$ KHz



Figure : OTFS basis functions in delay-Doppler domain, time-frequency domain, and time domain for Doppler index k = 2 and delay index l = 2.

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Figure : OTFS basis functions in time domain for (k, l) = (0, 0), (k, l) = (0, 15), and (k, l) = (2, 0).

• as Doppler index (k) changes, frequency of pulse train changes (as in FDM)

• as delay index (1) changes, position of pulses gets shifted in time (as in TDM)

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## Time-frequency domain (inner block)

• Modulator: Heisenberg transform

$$x(t) = \sum_{n=0}^{N-1} \sum_{m=0}^{M-1} X[n,m]g_{tx}(t-nT)e^{j2\pi m\Delta f(t-nT)}$$

• Channel:  $h(\tau, \nu)$ 

$$y(t) = \int_{\nu} \int_{\tau} h(\tau, \nu) x(t-\tau) e^{j2\pi\nu(t-\tau)} d\tau d\nu + v(t)$$

• Demodulator: Wigner Transform

$$Y(t,f) = A_{g_{rx},y}(t,f) = \int g_{rx}^*(t'-t)y(t')e^{-j2\pi\nu(t'-t)}dt'$$
$$Y[n,m] = A_{g_{rx},y}(t,f)|_{t=nT,f=m\Delta f}$$

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### Back to delay-Doppler domain

• If  $h(\tau, \nu)$  is bounded by  $(\tau_{\max}, \nu_{\max})$  s.t  $\nu_{\max} < \Delta f < 1/\tau_{\max}$ , and  $g_{tx}(t)$  and  $g_{rx}(t)$  satisfy the bi-orthogonality robustness condition<sup>1</sup>, then<sup>1</sup>

$$\begin{split} Y[n,m] &= H[n,m]X[n,m] + V[n,m], \\ H[n,m] &= \int_{\tau} \int_{\nu} h(\tau,\nu) e^{j2\pi\nu nT} e^{-j2\pi(\nu+m\Delta f)\tau} \mathrm{d}\nu \mathrm{d}\tau \end{split}$$

 SFFT is then applied to Y[n, m] to convert it back to delay-Doppler domain to obtain y[k, l] as

$$y[k, l] = \frac{1}{\sqrt{MN}} \sum_{n=0}^{N-1} \sum_{m=0}^{M-1} Y[n, m] e^{-j2\pi \left(\frac{nk}{N} - \frac{ml}{M}\right)}$$

<sup>&</sup>lt;sup>1</sup> P. Raviteja, K. T. Phan, and E. Viterbo, "Interference cancellation and iterative detection for orthogonal time frequency space modulation," *IEEE Trans. Wireless Commun.*, vol. 17, no. 10, pp. 6501-6515, Oct. 2018.

### Input-output relation

• For a channel with P paths in the delay-Doppler domain

$$h(\tau,\nu) = \sum_{i=1}^{P} h_i \delta(\tau-\tau_i) \delta(\nu-\nu_i)$$

• Received signal in delay-Doppler domain:  $\tau_i \triangleq \frac{\alpha_i}{M\Delta f}$  and  $\nu_i \triangleq \frac{\beta_i}{NT}$  $y[k, l] = \sum_{i=1}^{P} h_i e^{-j2\pi\nu_i \tau_i} x[(k - \beta_i)_N, (l - \alpha_i)_M] + v[k, l]$  (2D Circular Convolution)



• Vectorized formulation: Input-output relation can be vectorized as

$$\mathbf{y} = \mathbf{H}\mathbf{x} + \mathbf{v},$$

where  $\mathbf{x}, \mathbf{y}, \mathbf{v} \in \mathbb{C}^{MN imes 1}$ ,  $\mathbf{H} \in \mathbb{C}^{MN imes MN}$ ,  $x_{k+NI} = x[k, I]$ 

• H is a block circulant matrix with circulant blocks, with each row having P non-zero elements

### **Performance of OTFS**

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#### • Simulation parameters I

Parameter	Value
Carrier frequency (GHz)	4
Subcarrier spacing (kHz)	15
Frame size ( <i>M</i> , <i>N</i> )	(12,7)
Number of paths (P)	5
Delay profile	Exponential power-delay profile
Maximum speed (km/h)	500
Modulation scheme	BPSK

• Smallest resource block used in LTE: M = 12, N = 7

Image: A mathematical states and a mathem

# OTFS performance



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#### • Simulation parameters II: IEEE 802.11p (WAVE)

Parameter	Value
Carrier frequency (GHz)	5.9
Subcarrier spacing (MHz)	0.156
Frame size ( <i>M</i> , <i>N</i> )	(64, 12)
Number of paths (P)	8
Delay profile	Exponential power-delay profile
Maximum speed (km/h)	220
Modulation scheme	BPSK

Image: A math a math

# OTFS performance



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#### Choice of M & N

- *M* decides the delay resolution and  $u_{\max} < \frac{W}{M} = \Delta f < 1/ au_{\max}$
- N decides Doppler resolution and latency  $(T_I = NT)$
- Example: For  $\tau_{\max} = 1~\mu$ s,  $\nu_{\max} = 5~{
  m kHz}$ ,  $W = 10~{
  m MHz}$ , and  $T_I = 1~{
  m ms}$ ,
  - $\nu_{\max} < \Delta f < 1/\tau_{\max} \implies 5 \; \mathrm{KHz} < \Delta f < 1 \; \mathrm{MHz}$
  - $\Delta f$  can be chosen to be 20 kHz ( $\implies M = \frac{10 \times 10^6}{20 \times 10^3} = 500$ )
  - $T_1 = NT = MNT_s = \frac{MN}{W} = \frac{MN}{M\Delta f} = \frac{N}{\Delta f}$  $\implies N = T_1 \Delta f = 1 \times 10^{-3} \times 20 \times 10^3 = 20$
  - (*M*, *N*) can be chosen as (500,20)

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## **Diversity in OTFS**

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### Diversity performance of OTFS

- There are only P non-zero elements in each row and column of the equivalent channel matrix (H)
- Input-output relation can be rewritten in an alternate form as

$$\mathbf{y}^{\mathsf{T}} = \mathbf{h}' \mathbf{X} + \mathbf{v}^{\mathsf{T}},$$

where  $\mathbf{h}'$  is a  $1 \times P$  vector whose *i*th entry is given by  $h'_i = h_i e^{-j2\pi\nu_i\tau_i}$ , and  $\mathbf{X}_{P \times MN}$  is the symbol matrix whose *i*th column (i = k + NI,  $i = 0, 1, \dots, MN - 1$ ) is given by

$$\mathbf{X}[\mathbf{i}] = \begin{bmatrix} X(k-\beta_1)_N + N(l-\alpha_1)_M \\ X(k-\beta_2)_N + N(l-\alpha_2)_M \\ \vdots \\ X(k-\beta_P)_N + N(l-\alpha_P)_M \end{bmatrix}$$

<sup>(\*)</sup> G. D. Surabhi, R. M. Augustine, and A. Chockalingam, "On the diversity of uncoded OTFS modulation in doubly-dispersive channels," *IEEE Trans. Wireless Commun.*, vol. 18, no. 6, pp. 3049-3063, Jun. 2019.

### Diversity performance of OTFS

• Pairwise error probability (PEP) between X<sub>i</sub> and X<sub>j</sub>

$$P(\mathbf{X}_i \to \mathbf{X}_j | \mathbf{h}', \mathbf{X}_i) = Q\left(\sqrt{\frac{\|\mathbf{h}'(\mathbf{X}_i - \mathbf{X}_j)\|^2}{2N_0}}\right)$$

• PEP averaged over the channel statistics can be upper bounded as

$$P(\mathbf{X}_i \to \mathbf{X}_j) \leq \frac{1}{\gamma^r \prod_{l=1}^r \frac{\lambda_l^2}{4P}}$$

where  $\lambda_i$  is the *l*th non-zero singular value of the difference matrix  $\Delta_{ij} = (\mathbf{X}_i - \mathbf{X}_j)$ , *r* is the rank of  $\Delta_{ij}$ , and  $\gamma$  is the SNR • Diversity order

$$\rho_{\text{siso-otfs}} = \min_{i,j \ i \neq j} \ \text{rank}(\mathbf{\Delta}_{ij})$$

which is one

### Lower bound on BER

• BER can be bounded as

$$\mathsf{BER} \geq \frac{1}{2^{MN}} \sum_{k=1}^{\kappa} P(\mathbf{X}_i \to \mathbf{X}_j),$$

where  $\kappa$  denotes the number of  $\mathbf{\Delta}_{ij}$ s having rank one

Assuming BPSK symbols,

$$P(\mathbf{X}_i o \mathbf{X}_j) = \mathbb{E}\left[Q\left(\sqrt{2\gamma PMN}|\tilde{h}_1|^2
ight)
ight]$$

• At high SNRs,

$$\mathsf{BER} \ge \frac{\kappa}{2^{MN}} \frac{1}{4\gamma MN}$$

• As the values M and N increase, the  $2^{MN}$  term can dominate the ratio  $\frac{\kappa}{2MN}$ 

• BER can decrease with a higher slope for higher frame sizes before meeting the diversity one lower bound

<sup>1</sup>When P = MN,  $\kappa = 8 \forall MN$ 

# Diversity results

#### Simulation parameters:

Parameter	Value
Carrier frequency (GHz)	4
Subcarrier spacing (kHz)	3.75
Number of paths (P)	4
Delay-Doppler profile $( au_i,  u_i)$	$(0, 0), (0, \frac{1}{NT}), (\frac{1}{M\Delta f}, 0), (\frac{1}{M\Delta f}, \frac{1}{NT})$
Modulation scheme	BPSK



Figure : BER performance of OTFS for i) M = 2, N = 2, ii) M = 4, N = 2, iii) M = 4, N = 4.

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## Effect of frame size

- Note that the  $\frac{\kappa}{2^{MN}}$  values for the considered systems are  $\frac{8}{16}$ ,  $\frac{8}{256}$ , and  $\frac{8}{65536}$ , respectively.
- Though the asymptotic diversity order is one, increasing the frame size can lead to higher slopes (> 1) for BER curves in the finite SNR regime.

#### Choice of *M* & *N*

- *M* decides the delay resolution and  $u_{\max} < \frac{B}{M} = \Delta f < 1/\tau_{\max}$ .
- N decides Doppler resolution and latency  $(T_I = NT)$ .
  - Example: For  $au_{\max} = 1~\mu$ s,  $u_{\max} = 5~\text{kHz}$ , B = 10~MHz, and  $T_l = 1~\text{ms}$ ,
    - $u_{\max} < \Delta f < 1/ au_{\max} \implies$  5 KHz  $< \Delta f < 1$  MHz
    - $\Delta f$  can be chosen to be 20 kHz (  $\implies M = \frac{10 \times 10^6}{20 \times 10^3} = 500$ )

• 
$$T_I = NT = \frac{N}{\Delta f}; \implies N = T_I \Delta f = 1 \times 10^{-3} \times 20 \times 10^3 = 20$$

• (*M*, *N*) can be chosen as (500,20)

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#### Let

$$\mathbf{\Phi} = \mathsf{diag} \left\{ \phi_0^{(0)}, \cdots, \phi_{N-1}^{(0)}, \phi_0^{(1)}, \cdots, \phi_{N-1}^{(1)}, \cdots, \phi_{N-1}^{(M-1)} \right\}$$

be the phase rotation matrix and

$$\mathbf{x}' = \mathbf{\Phi} \mathbf{x}$$

be the phase rotated OTFS transmit vector.

• OTFS with the above phase rotation achieves the full diversity of P when  $\phi_q^{(l)} = e^{ja_q^{(l)}}$ ,  $q = 0, \dots, N-1$ ,  $l = 0, \dots, M-1$  are transcendental numbers with  $a_q^{(l)}$  real, distinct, and algebraic.

#### Full diversity using phase rotation



Figure : BER performance of OTFS without and with phase rotation for *i*) M = N = 2, *ii*) M = 4, N = 2, and *iii*) M = N = 4, and BPSK.

Figure : BER performance of OTFS without and with phase rotation, M = N = 2, and 8-QAM.

 ${}^{1}\Phi = \text{diag}\{1, e^{j}\frac{1}{MN}\cdots e^{j}\frac{MN-1}{MN}\}$ 

## **MIMO-OTFS**

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 $\mathbf{y}_{\text{MIMO}} = \mathbf{H}_{\text{MIMO}} \mathbf{x}_{\text{MIMO}} + \mathbf{v}_{\text{MIMO}}$ 

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<sup>(\*)</sup> M. K. Ramachandran and A. Chockalingam, "MIMO-OTFS in high-Doppler fading channels: Signal detection and channel estimation," *Proc. IEEE GLOBECOM* 2018, Abu Dhabi, UAE, Dec. 2018.

# MIMO-OTFS performance

#### • Delay and Doppler models

Path index ( <i>i</i> )	1	2	3	4	5
Delay ( $ au_i, \mu$ s)	2.1	4.2	6.3	8.4	10.4
Doppler ( $\nu_i$ ,Hz)	0	470	940	1410	1880

#### • Simulation parameters

Parameter	Value	
Carrier frequency (GHz)	4	
Subcarrier spacing (kHz)	15	
Frame size ( <i>M</i> , <i>N</i> )	(32, 32)	
Modulation scheme	BPSK	
MIMO configuration	$1 \times 1$ , $1 \times 2$ , $1 \times 3$ ,	
	2×2, 3×3, 2×3	
Maximum speed (kmph)	507.6	

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# MIMO-OTFS performance



Figure : BER performance comparison between MIMO-OTFS and MIMO-OFDM

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• Each row of  $\mathbf{H}_{\text{MIMO}}$  has only  $n_t P$  non-zero elements and each column has only  $n_r P$  non-zero elements. The MIMO-OTFS system model can be written as

$$\begin{bmatrix} \mathbf{y}_1^T \\ \mathbf{y}_2^T \\ \vdots \\ \mathbf{y}_{n_t}^T \end{bmatrix} = \begin{bmatrix} \mathbf{h}_{11}' & \mathbf{h}_{12}' \cdots \mathbf{h}_{1n_t}' \\ \mathbf{h}_{21}' & \mathbf{h}_{22}' \cdots \mathbf{h}_{2n_t}' \\ \vdots \\ \mathbf{h}_{n_t1}' & \mathbf{h}_{n_t2}' \cdots \mathbf{h}_{n_tn_t}' \end{bmatrix} \begin{bmatrix} \mathbf{X}_1 \\ \mathbf{X}_2 \\ \vdots \\ \mathbf{X}_{n_t} \end{bmatrix} + \begin{bmatrix} \mathbf{v}_1^T \\ \mathbf{v}_2^T \\ \vdots \\ \mathbf{v}_{n_t}^T \end{bmatrix},$$

• Diversity order achieved by MIMO-OTFS can be derived as

$$\rho_{\text{mimo-otfs}} = n_r \cdot \min_{\substack{i,j \ i \neq j, k}} \operatorname{rank}(\mathbf{\Delta}_{k,ij}) = n_r$$

• If  $MN \times 1$  OTFS transmit vector from each antenna is multiplied by the phase rotation matrix  $\mathbf{\Phi}$ , then diversity order achieved by phase rotated MIMO-OTFS system is equal to  $Pn_r$ 

# Diversity results in MIMO-OTFS



Figure : BER performance of  $1 \times 1$ SISO-OTFS and  $2 \times 2$  MIMO-OTFS systems. Figure : BER performance of  $1 \times 2$  OTFS system with *i*) M = N = 2 and *ii*) M = 4, N = 2.

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#### Full diversity using phase rotation in MIMO-OTFS



Figure : BER performance of 2  $\times$  2 MIMO-OTFS system without and with phase rotation, M = N = 2.

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## Space-time coded OTFS

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# Space-time coded OTFS

- Use of space-time coding in OTFS
- structure of Alamouti code generalized to matrices



Figure : STC-OTFS scheme.

• Consider the alternate form of input-output relation for SISO-OTFS

$$\mathbf{y}^{\mathsf{T}} = \mathbf{h}' \mathbf{X} + \mathbf{v}^{\mathsf{T}},$$

where **X** is an  $MN \times MN$  symbol matrix.

# Encoding

- Consider a space-time code (rate-1) using the Alamouti code structure (generalized to matrices)
- quasi-static DD channel over T'(=2) frames

$$\tilde{\mathbf{X}}_{n_t M N \times T' M N} = \tilde{\mathbf{X}}_{2M N \times 2M N} = \begin{bmatrix} \mathbf{X}_1 & -\mathbf{X}_2^H \\ \mathbf{X}_2 & \mathbf{X}_1^H \end{bmatrix}$$

• Corresponding OTFS transmit vectors,  $k \in \{1,2\}$ 

$$\mathbf{X}_k \iff \mathbf{x}_k, \ \mathbf{X}_k^H \iff (\mathbf{\hat{x}}_k)^* = (\mathbf{P}\mathbf{x}_k)^*.$$

where

 $\mathbf{P}=\mathbf{P}'_M\otimes\mathbf{P}'_N$ 

$$\mathbf{P}'_{M} = \begin{bmatrix} 1 & 0 & \cdots & 0 & 0 \\ 0 & 0 & \cdots & 0 & 1 \\ 0 & 0 & \cdots & 1 & 0 \\ \vdots & & & \\ 0 & 1 & \cdots & 0 & 0 \end{bmatrix}_{M \times M} \mathbf{P}'_{N} = \begin{bmatrix} 1 & 0 & \cdots & 0 & 0 \\ 0 & 0 & \cdots & 1 & 0 \\ 0 & 0 & \cdots & 1 & 0 \\ \vdots & & & \\ 0 & 1 & \cdots & 0 & 0 \end{bmatrix}_{N \times N}$$

• Transmitted OTFS vectors in the second frame duration are not just the conjugated vectors, but are conjugated and permuted vectors of those transmitted in the first frame duration.

• Received vectors in the first and second frame duration are

$$\begin{split} \textbf{y}_1 &= \textbf{H}_1 \textbf{x}_1 + \textbf{H}_2 \textbf{x}_2 + \textbf{v}_1 \\ \textbf{y}_2 &= -\textbf{H}_1 ( \textbf{\hat{x}}_2 )^* + \textbf{H}_2 ( \textbf{\hat{x}}_1 )^* + \textbf{v}_2 \end{split}$$

• Permutation (P) and conjugation are applied on  $y_2$ .

$$\underbrace{\begin{bmatrix} \mathbf{y}_1 \\ (\mathbf{\hat{y}}_2)^* \end{bmatrix}}_{\triangleq \ \mathbf{\bar{y}}} = \underbrace{\begin{bmatrix} \mathbf{H}_1 & \mathbf{H}_2 \\ \mathbf{H}_2^H & -\mathbf{H}_1^H \end{bmatrix}}_{\triangleq \ \mathbf{\bar{H}}} \begin{bmatrix} \mathbf{x}_1 \\ \mathbf{x}_2 \end{bmatrix} + \begin{bmatrix} \mathbf{v}_1 \\ (\mathbf{\hat{v}}_2)^* \end{bmatrix}$$

• Since two block columns of  $\overline{H}$  are orthogonal, the decoding problem for  $x_1$  and  $x_2$  can be decomposed into two separate orthogonal problems.

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# Diversity

• Let  $\tilde{\boldsymbol{\Delta}}_{ij} \triangleq \tilde{\boldsymbol{X}}_i - \tilde{\boldsymbol{X}}_j$  be the difference matrix

$$\rho_{\text{STC-OTFS}} = \min\{\min_{i,j \ i \neq j} \operatorname{rank}(\tilde{\mathbf{\Delta}}_{ij}), 2P\}.$$

•  $rank( ilde{oldsymbol{\Delta}}_{ij})$  can be simplified as

$$\mathsf{rank}(\tilde{\mathbf{\Delta}}_{ij}^{H}\tilde{\mathbf{\Delta}}_{ij}) = 2 \times \mathsf{rank}(\mathbf{\Delta}_{1,ij}^{H}\mathbf{\Delta}_{1,ij} + \mathbf{\Delta}_{2,ij}^{H}\mathbf{\Delta}_{2,ij}).$$

whose min rank is two.

- STC-OTFS for  $2 \times n_r$  can achieve an asymptotic diversity order of  $2n_r$ .
- With phase rotation applied to each of  $n_t$  transmit antennas during every frame duration can yield a full delay Doppler space diversity of  $2Pn_r$ .

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# BER performance of STC-OTFS



Figure : BER performance of *i*)  $1 \times 1$ OTFS, *ii*)  $2 \times 1$  STC-OTFS, and *iii*)  $2 \times 2$ STC-OTFS for M = N = 2.



Figure : BER performance of *i*)  $1 \times 1$ OTFS, *ii*)  $2 \times 1$  STC-OTFS, and *iii*)  $2 \times 2$ STC-OTFS for M = 4, N = 2.

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#### Phase rotation in STC-OTFS



Figure : BER performance of  $2 \times 1$  STC-OTFS with and without phase rotation for *i*) P = 2 and *ii*) P = 4.

STC-OTFS with phase rotation achieves full spatial and delay-Doppler diversity even for small frame sizes.

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## PAPR of OTFS

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• High PAPR is one of the key detrimental aspects in OFDM systems

• Max. PAPR in OFDM increases with *M*, no. of subcarriers due to *M*-point IDFT operation at transmitter

PAPR of OTFS waveform is of interest

• In OTFS, max. PAPR grows linearly with N (and not with M)

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<sup>(\*)</sup> G. D. Surabhi, R. M. Augustine and A. Chockalingam, "Peak-to-average power ratio of OTFS modulation," *IEEE Commun. Letters*, vol. 23, no. 6, pp. 999-1002, Jun. 2019.

<sup>(\*\*)</sup> S. Tiwari and S. S. Das, "Circularly pulse shaped orthogonal time frequency space modulation," arXiv:1910.10457v1 [cs.IT] 23 Oct 2019.

• Time domain OTFS signal is given by

$$s(t) = \sum_{n=0}^{N-1} \sum_{m=0}^{M-1} X[n,m]g_{tx}(t-nT)e^{j2\pi m\Delta f(t-nT)}$$

• Discrete time representation (by Nyquist sampling,  $t = (r + qM)T_s$ ):

$$s(r+qM) = M \sum_{n=0}^{N-1} \tilde{x}_r[n]g_{tx}([r+qM-nM]_{MN})$$

where  $\tilde{x}_r[n] = \sum_{k=0}^{N-1} x[k,r] e^{\frac{j2\pi nk}{N}}$  (nth IDFT),  $r = 0, \cdots, M-1$  and  $q = 0, \cdots, N-1$ 

#### Upper bound on PAPR

$$\mathsf{PAPR} = \frac{\max_{r,q} \{|s(r+qM)|^2\}}{P_{\mathsf{avg}}},$$

where

$$P_{\text{avg}} = \frac{M^2 N \sigma_a^2}{MN} \sum_{n=0}^{N-1} \sum_{r=0}^{M-1} \sum_{q=0}^{N-1} |g_{tx}([r+qM-nM]_{MN})|^2$$

$$\max_{r,q} |s(r+qM)|^2 \le M^2 N^2 \max_{k,l} |x[k,l]|^2 \max_{r,q} \sum_{n=0}^{N-1} |g_{tx}([r+qM-nM]_{MN})|^2$$

For rectangular pulse,  $PAPR_{max} = \frac{N \max_{c \in \mathbb{A}} |c|^2}{\sigma_a^2}$   $PAPR_{max} \text{ grows linearly with } N \text{ and not with } M.$ 

- Time domain samples of the OTFS transmit signal with rectangular pulse are the *N*-point IDFT values of the DD symbols along Doppler domain.
- If *N* is large, then by CLT, the transmitted samples can be approximated to have complex Gaussian distribution with zero mean.
- CCDF of PAPR can be derived as

$$P\left(\mathsf{PAPR}>\gamma_{\mathsf{0}}
ight)pprox 1-\left(1-e^{-\gamma_{\mathsf{0}}}
ight)^{MN}$$

# PAPR performance of OTFS



Figure : Analytical and simulated CCDF of PAPR in OTFS.

Figure : Effect of M and N on the CCDF of PAPR in OTFS.

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# PAPR of OTFS, OFDM and GFDM





Figure : CCDF of the PAPR of OTFS for different pulse shapes.

Figure : Comparison of CCDF of the PAPR of OTFS with those of OFDM and GFDM with 16-QAM.

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OTFS can have better PAPR compared to OFDM and GFDM when N < M.

#### **Channel estimation in OTFS**

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### Channel estimation in the delay-Doppler domain

- Each tx and rx antenna pair sees a different channel having a finite support in the delay-Doppler domain
- The support is determined by the delay and Doppler spread of the channel
- Input-output relation for pth tx and qth rx antenna pair can be written as

$$\hat{x}_{q}[k, l] = \sum_{m=0}^{M-1} \sum_{n=0}^{N-1} x_{p}[n, m] \frac{1}{MN} h_{w_{qp}} \left( \frac{k-n}{NT}, \frac{l-m}{M\Delta f} \right) + v_{q}[k, l]$$

• Transmit pilot from *p*th antenna

$$x_p[n, m] = 1$$
 if  $(n, m) = (n_p, m_p)$   
= 0  $\forall$   $(n, m) \neq (n_p, m_p)$ 

• Received signal at the qth rx antenna will be

$$\hat{x}_{q}[k, l] = \frac{1}{MN} h_{w_{qp}} \left( \frac{k - n_{p}}{NT}, \frac{l - m_{p}}{M\Delta f} \right) + v_{q}[k, l]$$

•  $\frac{1}{MN}h_{w_{qp}}\left(\frac{k}{NT},\frac{l}{M\Delta f}\right)$  and thus  $\hat{\mathbf{H}}_{qp}$  can be estimated, since  $n_p$  and  $m_p$  are known at the receiver a priori



Figure : Illustration of pilots and channel response in delay-Doppler domain in a  $2{\times}1$  MIMO-OTFS system

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# MIMO-OTFS performance with the estimated channel



Figure : Frobenius norm of the difference matrix  $\mathbf{H}_{\text{MIMO}} - \hat{\mathbf{H}}_{\text{MIMO}}$  as a function of pilot SNR in a 2×2 MIMO-OTFS system



Figure : BER performance of 2×2 MIMO-OTFS system using the estimated channel

Image: A math a math

# Multiuser OTFS (OTFS-MA)

Image: A math a math



 (\*) G. D. Surabhi, R. M. Augustine, and A. Chockalingam, "Multiple access in the delay-Doppler domain using OTFS modulation," *ITA'2019*, San Diego, Feb. 2019. Online: arXiv:1902.03415 [sc.IT] 9 Feb 2019.
 (\*\*) V. Khammammetti and S. K. Mohammed, "OTFS based multiple-access in high Doppler and delay spread wireless channels," *IEEE Wireless Commun. Lett.*, doi: 10.1109/LWC.2018.2878740.
 (\*\*\*) R. M. Augustine and A. Chockalingam, "Interleaved time-frequency multiple access using OTFS modulation." *IEEE VT C2019-Fall*. Honolulu, Sep. 2019.

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## OTFS-MA in the delay-Doppler domain



 $\label{eq:Figure:OTFS-MA} \ensuremath{\mathsf{Figure:OTFS-MA}} \ensuremath{\mathsf{ontheuplink}} \ensuremath{\mathsf{vortFS-MA}} \ensuremath{\mathsf{ontheuplink}} \ensuremath{\mathsf{vortFS-MA}} \ensuremath{\mathsf{ontheuplink}} \ensuremath{\mathsf{vortFS-MA}} \ensu$ 

- Bins in the delay-Doppler grid Γ serve as the delay-Doppler resource blocks (DDRBs)
- Different DDRBs are allocated to different users for multiple access
- Denoting the OTFS symbol vector transmitted by *u*th user by  $\mathbf{x}_u \in \mathbb{C}^{MN \times 1}$

$$\mathbf{y} = \sum_{u=0}^{K_u-1} \mathbf{H}_u \mathbf{x}_u + \mathbf{v}$$



Scheme 1- Multiplexing along delay axis

Figure : DDRB allocation in an  $N \times M$  delay-Doppler grid in Scheme 1.

Scheme 2- Multiplexing along Doppler axis



Figure : DDRB allocation in an  $N \times M$  delay-Doppler grid in Scheme 2.

Image: A math a math

The 2D circular convolution operation with channel results in each user's symbols to experience MUI, requiring the BS to jointly decode the symbols.

## DDRB allocation schemes

#### Scheme 3 - MUI-free allocation



Figure : DDRB allocation in an  $N \times M$  delay-Doppler grid in Scheme 3 .

- $MN/K_u$  symbols from a given user are placed at equal intervals in the delay as well as Doppler domains  $(g_1 \text{ and } g_2 \text{ respectively where } K_u = g_1g_2)$ .
- $X_u[n, m]$  can be restricted to a region  $\left[\frac{NT}{g_2}(u)_{g_2}, \frac{NT}{g_2}((u)_{g_2} + 1)\right]$  in time and  $\left[\frac{M}{g_1}\lfloor u/g_2\rfloor\Delta f, \frac{M}{g_1}(\lfloor u/g_2\rfloor + 1)\Delta f\right]$  in frequency.
- Reduced detection complexity.

<sup>1</sup>V. Khammammetti, S. K. Mohammed, "OTFS based multiple-access in high Doppler and delay spread wireless channels," *IEEE Wireless Commun. Lett.* vol. 8, pp. 528-531 Apr. 2019.

# OTFS-MA performance



Figure : BER performance of uplink OTFS-MA with different DDRB allocation schemes with M = N = 4,  $K_u = 2, 4$ , and ML detection <sup>1</sup>.



Figure : BER performance of uplink OTFS-MA with DDRB allocation Schemes 1 and 3 with  $K_u = 4, 8$  users, M = 64, N = 16, and MP detection<sup>2</sup>

<sup>1</sup>4 tap channel,  $\tau_{u,i} = \{0, 16.6, 33.3, 50\}\mu$ s,  $\nu_{max} = 1$  KHz  $\forall u$ <sup>2</sup>10 tap channel,  $\tau_{u,i} = \{0, 1.04, 2.08, 3.12, 4.16, 5.2, 6.25, 7.29, 8.33, 9.37\}\mu$ s,  $\nu_{max} = 1$  KHz  $\forall u$ .

# OTFS-MA Vs SC-FDMA and OFDMA





Figure : BER performance comparison between OTFS-MA, OFDMA, and SC-FDMA with ML detection.

Figure : BER performance comparison between OTFS-MA, OFDMA, and SC-FDMA with MP detection.

• OTFS-MA achieves better performance compared to OFDMA and SC-FDMA on the uplink.

#### **OTFS** with phase noise

A D > A B > A B
# OTFS with phase noise

Phase noise spectrum



Figure : PSD of oscillator phase noise for various carrier frequencies (4 GHz, 28 GHz, 60 GHz).

$$L(f_m) = \frac{B_{\text{PLL}}^2 L_0}{B_{\text{PLL}}^2 + f_m^2} + L_{\text{floor}}$$

(\*) G. D. Surabhi, M. K. Ramachandran, and A. Chockalingam, "OTFS modulation with phase noise in mmWave communications," *Proc. IEEE VTC* 2019-Spring, Kuala Lumpur Apr. 2019.

### PLL bandwidth and variance of phase noise



Figure : Variance of the oscillator phase noise as a function of *n* where  $B_{PLL} = n\Delta f$ .

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Parameter	Value
Carrier frequency (GHz)	28
Bandwidth (MHz)	10
Subcarrier spacing, $\Delta f$ (kHz)	78.125
Frame size ( <i>M</i> , <i>N</i> )	(128,64)
Modulation	BPSK
No. of taps, P	5
Delay profile ( $\mu$ s)	0.3, 1, 1.7, 2.4, 3.1
Doppler profile (Hz)	0, -400, 400, -1220, 1220

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# BER performance



Figure : BER performance comparison between OTFS and OFDM systems with phase noise and Doppler shifts.

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#### OTFS modulation

- an emerging and promising modulation scheme for high-Doppler fading channels
- multiplexing in the delay-Doppler domain
- impressive performance (superior performance compared to OFDM)
- implementation using pre- and post-processing blocks to OFDM
- simple channel estimation in the delay-Doppler domain
- can serve in interesting use cases (high-speed trains, autonomous vehicles, drones, mmWave communications)
- Promising modulation scheme for 5G and beyond

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#### Thank you

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