SNR ESTIMATION USING EXTENDED KALMAN FILTER TECHNIQUE FOR ORTHOGONAL FREQUENCY DIVISION MULTIPLEXING (OFDM) SYSTEM

SYLVIA ONG AI LING

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Faculty of Electrical and Electronic Engineering Universiti Tun Hussein Onn Malaysia

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ABSTRACT

Signal to Noise Ratio (SNR) estimation of a received signal is an important and essential information for Orthogonal Frequency Division Multiplexing (OFDM) system. This is because in OFDM system, robustness in frequency selective channels can be achieved using adaptable transmission parameters. Therefore, to reckon these parameters, knowledge of SNR estimates obtained by channel state information is required for optimal performance. The performance of SNR estimation algorithm is contingent on channel estimates obtained through channel estimation schemes. In this project, two estimators which are Least Square (LS) and Minimum Mean Square Error (MMSE) estimators are simulated and analyzed. From the result obtained, LS shows better performance than MMSE in terms of Symbol Error Rate (SER) and Mean Square Error (MSE) via computer simulation. With different number of sub carriers implemented for the system model, 16, 32, 64, the result apparently shows that the SER curve of the estimator with the highest number of sub carriers, 64 is significantly lower compare with the other estimators with sub carriers of 16 and 32. Therefore, a system model which contribute to 64 sub carriers are implemented. However, in case of wireless channels, they possess non linearity where the LS and MMSE, linear estimators yield inefficient results. Therefore, to improve the SNR estimation, an efficient non linear Extended Kalman Filter (EKF) estimation, is implemented into the OFDM system. The EKF estimator outperforms the LS and MMSE estimators in terms of SER and MSE for AWGN channel. The beauty of the estimation is that it can estimate the past, present and future.



ABSTRAK

Anggaran nisbah isyarat kepada hingar (SNR) yang diterima adalah maklumat yang penting dan berguna untuk sistem Pemultipleksan Pembahagian Frekuensi ortogon (OFDM). Ini adalah kerana dalam sistem OFDM, keteguhan dalam saluran memilih frekuensi boleh dicapai dengan menggunakan parameter penghantaran yang sesuai. Oleh itu, untuk mendapatkan maklumat parameter ini, pengetahuan tentang penganggaran SNR diperolehi melalui saluran maklumat yang diperlukan untuk prestasi optimum. Prestasi algoritma anggaran SNR adalah bergantung kepada anggaran saluran yang diperolehi melalui skim anggaran saluran. Dua teknik anggaran yang telah dikaji oleh penyelidik lain telah dianalisis, Least Square (LS) dan Minimum Mean Square Error (MMSE). Daripada keputusan kajian ini, LS menunjukkan prestasi yang lebih baik daripada MMSE dari segi Symbol Error Rate (SER) dan Mean Square Error (MSE) melalui simulasi komputer. Melalui jumlah pembawa sub yang berbeza bagi model sistem, 16, 32, 64, hasilnya jelas menunjukkan bahawa keluk SER penganggar dengan bilangan pembawa sub tertinggi, 64 adalah jauh lebih rendah berbanding dengan penganggar lain dengan pembawa sub 16 dan 32. Oleh itu, satu model sistem yang menyumbang kepada 64 pembawa sub dikaji. Walau bagaimanapun, bagi kes saluran tanpa wayar, yang bukan linear, LS dan MMSE, penganggar linear menghasilkan keputusan yang tidak cekap. Bagi meningkatkan anggaran SNR dengan tepat, Extended Kalman Filter (EKF), dilaksanakan dalam sistem OFDM. Melalui simulasi, kaedah EKF melebihi prestasi LS dan MMSE dari segi SER dan MSE untuk saluran Additive White Gaussian Noise (AWGN). Kelebihan anggaran adalah bahawa ia boleh menganggarkan element lepas, semasa dan depan.



CONTENTS

TITLE	i
DECLARATION	ii
ACKNOWLEDGEMENT	v
ABSTRACT	vi
CONTENTS	viii
LIST OF TABLE	X
LIST OF FIGURES	xi
LIST OF ABBREVIATIONS	xiii

CHAPTER 1 INTRODUCTION

1.1	Introd	1			
1.2	Proble	Problem of Statement			
1.3	Projec	Project Objectives			
DERP1.4	Scope	s	3		
1.5	Outlin	e	4		
CHAPTER 2 SNR	ESTIM	ATION : A REVIEW			
2.1	Introd	uction	6		
	2.1.1	System Model	6		
2.2	SNR e	estimation algorithms	8		
	2.2.1	Minimum Mean Square Error (MMSE)			
		Estimation	13		
	2.2.2	Least Square (LS) Estimation	14		
	2.2.3	Kalman Filter Estimation	15		
CHAPTER 3 AN O	VERV	IEW OF OFDM			
3.1	Introd	uction	17		
3.2	Overv	iew of OFDM	17		

	3.2.1	Basic Principles of OFDM System	19
	3.2.2	Serial to Parallel Conversion	21
	3.2.3	Modulation	21
	3.2.4	IFFT Operation	21
	3.2.5	Cyclic Prefix Insertion	22
	3.2.6	Parallel to Serial Conversion	23
3.3	OFD	M System Sub-Carrier Signal	23
3.4	OFD	M Advantages and Disadvantages	25
CHAPTER 4 MET	HODO	LOGY : MODEL SIMULATION	
4.1	Introd	luction	27
4.2	Simul	ink Implementation	27
4.3	Projec	ct Model Simulation	29
	4.3.1	Random Data Source	30
	4.3.2	Forward Error Correction	31
		4.3.2.1 Reed Solomon (RS) Encoder	31
		4.3.2.2 Convolution Encoder / Viterbi	
		Decoder	32
		4.3.2.3 Interleaver / Deinterleaver	34
		4.3.2.4 Modulation / Demodulation	35
	4.3.3	OFDM Transmitter	35
	4.3.4	OFDM Receiver	37
	4.3.5	SNR Estimation using Extended	
		Kalman Filter (EKF) Estimation	38
CHAPTER 5 RESU	JLTS A	ND DISCUSSION	
5.1	Introd	luction	44
5.2	Perfor	rmance Results and Analysis	44
	5.2.1	OFDM System Simulation	44
	5.2.2	SNR Estimation Simulation	47
	5.2.3	EKF Elements	55
CHAPTER 6 SUM	MARY		
6.1	Introd	luction	59
6.2	Concl	usion	59
6.3	Future	e Works	60
REFERENCES			61

LIST OF TABLES

1.1	Parameter of OFDM systems	4
2.1	Comparison of previous works by other researchers.	11
2.2	Discrete Kalman filter time and measurement update	
	equations.	15
4.1	Simulink toolbox parameters	28

viii

LIST OF FIGURES

2.1	OFDM frame structure	6
2.2	Estimation methods	8
2.3	Gaussian Channels	12
2.4	The Kalman filter cycle	15
3.1	The frequency division for OFDM systems	18
3.2	OFDM system	19
3.3	Illustration of the Cyclic Prefix insertion in an OFDM	
	Symbol	22
3.4	OFDM system sub-carrier signal	23
3.5	OFDM symbol structure	24
4.1	Project Implementation	28
4.2	Project Model	29
4.3	Bernoulli Binary Generator	30
4.4	Reed-Solomon Encoder	31
4.5	(a) Convolutional Encoder (b) Viterbi Decoder	32
4.6	Convolutional Encoder	33
4.7	Interleaver	34
4.8	OFDM Transmitter	36
4.9	OFDM Receiver	37
4.10	Proposed SNR estimation using EFK	38
4.11	Data flow in EKF	41
4.12	SNR estimation	42
5.1	Transmitted and Received QPSK Signal	
	Constellation Mapper through AWGN channel	46
5.2	Spectrum plot of signal	47

5.3	Comparison between MMSE and LS estimator	
	in terms of MSE	47
5.4	Comparison between MMSE and LS estimator	
	in terms of SER	49
5.5	SERs performance of the LS and MMSE estimators	
	with different number of sub carriers	50
5.6	Comparison of MMS/LS/EKF estimators in terms	
	of SER	52
5.7	Comparison of MMS/LS/EKF estimators in terms	
	of MSE in AWGN channel	52
5.8	Comparison between estimated versus actual	
	SNR with proposed method	53
5.9	Comparison of MMS/LS/EKF estimators in terms	
	of MSE in Rayleigh	54
5.10	Comparison of state with a priori, a posterior	
	elements and exact values.	55
5.11	Comparison between the actual a priori and a	
	posteriori error	56
5.12	Comparison between a priori and a posterior	
	Covariance	56
5.13	Kalman gain	57

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LIST OF ABBREVIATIONS

- ADSL Asynchronous Digital Subscriber Line
- AWGN Additive White Gaussian Noise
- BPSK Binary Phase Shift Keying
- CP Cyclic Prefix
- CTC Convolutional Turbo Coding
- DA Data Aided
- DAB Digital Audio Broadcasting
- DC Direct Current
- DFT Discrete Fourier Transform
- DSP Digital Signal Processor/Processing
- DVB-T Terrestrial Video Broadcasting
- EKF Extended Kalman Filtering
- FDM Frequency Division Multiplexing
- FEC Forward Error Correction
- FFT Fast Fourier Transform
- HDSL High bit-rate Digital Subscriber Line Systems
- IFFT Inverse Fast Fourier Transform
- ICI Inter Carrier Interference
- ISI Inter Symbol Interference
- KF Kalman Filter
- LS Least Square
- M₂ M₄ Second- and Fourth- Order Moments
- MIMO Multiple Input Multiple Output
- ML Maximum Likelihood
- MSE Mean Square Error
- MMSE Minimum Mean Square Error

NDA	Non Data Aided
NMSE	Normalised Mean Square Error
NLOS	Non Line-Of-Sight
OFDM	Orthogonal Frequency Division Multiplexing
PAPR	Peak-to-Average Power Ratio
PRBS	Pseudorandom Binary Sequence
PSK	Pulse Shift Keying
QPSK	Quardrature Pulse Shift Keying
QAM	Quardrature Amplitude Modulation
RS	Reed Solomon
SER	Symbol Error Rate
SFN	Single Frequency Network
SNR	Signal to Noise Ratio
SSME	Split Symbol Moments Estimator
SVR	Signal to Variance Ratio
VLSI	Very Large Scale Integrated Circuits
WiMAX	Worldwide Interoperability for Microwave Access



CHAPTER 1

INTRODUCTION

1.1 Introduction



Orthogonal Frequency Division Multiplexing (OFDM) have been invented for more than 40 years ago and is implemented in wide variety of applications in digital transmission system. OFDM has proven to be useful in frequency-selective channels to achieve high data rates and has been abundantly proposed for high-data rate transmission system. In the past, OFDM applications have been scarce because of the complexity involved in practical implementation. Recent advances in technology such as Very Large Scale Integrated Circuits (VLSI) and Digital Signal Processors (DSPs) have enabled the cost-effective and practical implementation of the Discrete Fourier Transform (DFT) / Inverse Fast Fourier Transform (IFFT) via the Fast Fourier Transform (FFT) / Inverse Fast Fourier Transform (IFFT) operation on a single chip for Digital Audio Broadcasting standard (DAB) and TerrestrialVideo Broadcasting (DVB-T) systems. OFDM is also employed for fixed wireline applications such as Asynchronous Digital Subscriber Line (ADSL) and High bitrate Digital Subscriber Line Systems (HDSL). Standard IEEE 802.11a/g, wireless broadband access standards IEEE 802.16a (WiMAX), and the core technique for fourth-generation (4G) wireless mobile communications were also incorporate OFDM.

OFDM is a multicarrier modulation scheme with excellent robustness in multi-path environments by dividing the high-data rate channel over multiple and very narrow parallel channels, where each is modulated on a different subcarriers. The data rate in the individual carriers are reduced significantly, while still maintaining overall throughput. To ensure that sub-carriers do not interfere with each other in frequency domain, subchannels orthogonalization is performed using the fast Fourier transform (FFT). Hence the inter symbol interference (ISI) due to multipath delay spread is reduced. Pilot symbols are used to estimate the complex gains of the parallel subchannels. Moreover, cyclic prefix added at the transmitter helps to reduce the receiver complexity for FFT processing. This mechanism facilitates the design of single frequency networks (SFNs). However, reliable communication in wireless system, becomes a difficult task as the transmitted data is not only corrupted by Additive White Gaussian Noise (AWGN), but also suffers from ISI as well as interference or colored noise from other users. Color of the noise is caused by its uneven spectral variation. Accurate Signal to Noise Ratio (SNR) estimation at receiver is important to modify the transmission parameter for channel quality control.

SNR can be used to characterize the link quality. It is an important factor in a receiver performance on how well the recovering of the information-carrying signal from its corrupted version and hence how reliably information can be communicated. SNR can be defined in its simplest form as ratio of signal power to noise power. Generally, there are two categories of knowledge-based SNR estimators, Data-aided (DA) and Non Data-Aided (NDA). DA estimators are based on the knowledge of the transmitted data, in which the bandwidth efficiency is reduced, while NDA estimates SNR from an unknown information.



1.2 Problem of Statement

Modern wireless communication systems has come a long way since 1897. It has the ability transfer of information between two or more points without the need of a fixed cable connection. Wireless communication systems is used to meets many needs, from the traditional voice application to multimedia, pushing the needs for higher data rate and faster transmission speed. As the demand of data rate and transmission speed increases in recent years, the noise and ISI also increases due to multipath fadings.

Multipath signals due to different delays is caused by reflections of the signal and different propagation paths between the transmitters and receivers. These reflected components add up either constructively or destructively at the receiver, and the resulting effect is known as frequency selective fading. During the propagation of the signal through the channel, the signal also suffers rapid fluctuation in amplitude and phase. It is very important to combat the effects of the fadings because the amount of fading is directly related to the throughput of the system. A multicarrier modulation, OFDM is a popular and powerful method to combat the frequency selective channels. A fixed-mode transceivers cannot perform effectively over a dispersive channel, as severe SNR fluctuations occurs. It is this drawback that been a motivating factor for research on adaptive transceivers. Adaptation in conjunction with OFDM, is a powerful method to mitigate the frequency selective fading and utilize the maximum available capacity of the time varying channel. The performance of adaptive OFDM systems depends on the effectiveness of techniques used in channel quality estimation, particularly SNR estimation. In order to achieve improvement by exploiting frequency selective channels in designing OFDM system, accurate and exact SNR estimation is requisite. There are many other applications that can exploit SNR information, such like channel estimation through interpolation and optimal soft information generation for high performance decoding algorithms.

1.3 **Project Objectives**



The objectives of the project is to:

- (i) Analyse different kinds of SNR estimation and their performance in OFDM systems.
- (ii) Develop the SNR estimation for OFDM receiver systems using Matlab / Simulink environment.
- (iii)Evaluate the performance of the developed SNR estimation in terms of Symbol Error Rate (SER) and Mean Square Error (MSE).

1.4 Scopes

In this section, SNR estimation in OFDM system is proposed. The proposed system is to be simulated in Matlab / Simulink environment. Parameters of the simulated system [1] is proposed as follows:

Parameter	Values	
Channel Bandwidth (MHz)	5	
Sampling Frequency (f _p , MHz)	5.6	
IFFT Size	512	
Number of sub carriers	128	
Number of sub bands	32	
Number of sub carriers per sub band	16	
Frame size	6	
SNR	1-35dB	
Modulation schemes	MQAM	
Carrier Frequency (GHz)	2	
Subcarrier Frequency Spacing (kHz)	10.94	
Useful Symbol Time (T _b = 1/f, μs)	91.4	
Guard Time Duration (T _g = T _b /8, μs)	11.4	
OFDM Symbol duration $(T_s = T_b + T_g, \mu s)$	102.9	
Number of OFDM Symbols (5 ms Frame)	48	
1.5 Outline		

Table 1.1 Parameter of OFDM systems

1.5 Outline

This thesis comprises of six chapters.

Chapter 1:

This chapter introduces the project overview, which consists of OFDM and SNR estimation introduction, problem of statement, objectives, scope and outline.

Chapter 2:

This chapter presents a detailed description of OFDM systems, which consists of the building blocks, operation, and signal processing.

Chapter 3:

This chapter outlines a brief overview of works done by previous researchers which describes the enabling techniques that facilitate efficient SNR estimation. This chapter also discuss in details on the consideration of wireless channel models, with white and Gaussian distributed interfering noise, AWGN and fadings.

Chapter 4:

This chapter presents the MATLAB/SIMULINK project model simulation discussion. This chapter will also give a brief explanation and description for each model block.

Chapter 5:

In this chapter, the simulation results on the model performance are illustrated. This is followed with the simulation result analysis in terms of SER and MSE. AMINAH

Chapter 6:

PERPUSTAKAAN This chapter presents the conclusions and topics for further research, of this work.

CHAPTER 2

SNR ESTIMATION : A REVIEW

2.1 Introduction

This chapter discuss related research work focusing on SNR estimation algorithms TUN AMINAH and channel estimation schemes done by other researchers.

2.1.1 System Model



SNR estimation in OFDM systems which utilize LS estimation schemes is proposed. Figure 2.1 shows frame structure where data symbols preceded by set of preambles containing known information for channel estimation and synchronization purposes.



Figure 2.1 OFDM frame structure

Assume N preambles, each preamble composed of *n* modulated subcarriers. C(i,j) represent complex data symbol on j^{th} subcarrier in i^{th} preamble. According to OFDM standards as preambles consist of QPSK modulated subcarriers, assume unit magnitude modulated subcarrier $|C(i,j)|^2 = 1$. Perfect synchronization is assumed in frequency domain and the received signal is given as

$$Y(t,f) = \sqrt{SC(t,f)H(t,f)} + \sqrt{W}\eta(t,f)$$
(2.1)

where S, W are transmitted signal and noise powers respectively, $\eta(i,j)$ is sampled complex zero mean AWGN and H(i,j) is channel frequency response expressed as

$$H(t,j) = \sum_{l=0}^{L-1} h(\tau_l + tT_s) e^{-j 2\pi \frac{\pi T_l}{T_s}}$$
(2.2)

where L denote the length of Channel Impulse Response (CIR), $h(\tau_1 + iT_s)$ signify channel path gain with delay τ_1 in l^{th} path of i^{th} OFDM preamble of duration T_s . Consider channel to be constant for whole frame assuming that SNR estimation algorithms are implemented for adaptive transmissions. CIR paths are opted to be

integer multiples of system sampling rate where $h(l) = h(l\frac{T_s}{N}) = h(\tau_l)$. The estimates of average SNR and SNR per subcarrier are valid for all data carrying OFDM symbols.

As shown in [2], the average SNR is given as

$$\rho_{\mathbf{i}}av = (E\{\mathbf{1}/N \sum_{i} (j=0)^{\mathsf{T}}(n-1) \cong \mathbb{E}[\sqrt{SC(j)H(j)}]^{1}2)/(E\{\mathbf{1}/N \sum_{i} (j=0)^{\mathsf{T}}(n-1)) \otimes \mathbb{E}[\sqrt{SC(j)}H(j)]^{1}2)/(E[\mathbf{1}/N \sum_{i} (j=0)^{\mathsf{T}}(n-1)) \otimes \mathbb{E}[\sqrt{SC(j$$

The SNR on the j^{th} subcarrier is expressed as

$$\rho(j) = (E_{\{| \forall S C(j)H(j)|^{1}2\}}) (E_{\{| \forall W \eta(j)|^{1}2\}}) = \rho_{\downarrow}av [|H(j)|^{1}2]$$
(2.4)



2.2 SNR estimation algorithms

SNR has long been used as the standard measure of analog signals quality in noisy environments. There are various types of SNR estimation methods developed for OFDM systems usage as shown in Figure 2.2.



Figure 2.2 Estimation methods

Pauluzzi D.R. [3] present five different SNR estimation techniques for Pulse Shift Keying (PSK) modulation in an AWGN channel. The algorithms are called SSME (Split Symbol Moments Estimator), which is valid for Binary Pulse Shift Keying (BPSK) modulation only, ML (Maximum Likelihood), SNV (Signal to Noise Variance), M₂M₄ (Second- and Fourth-Order Moments) and SVR (Signal to Variance Ratio). ML estimator is implemented as NDA and DA estimators where DA achieves better results at low SNR values. SNV estimator is a special case of ML estimator which is based on first and second order moments of the sampled output. Second-and-Fourth-Order Moments (M₂M₄) estimator shows similar performance as ML estimator at high SNR values. SVR estimator performs similar to ML at low SNR values. The performance of the SNR estimator only applies if the transmitter knows the channel estimates. [3] Pauluzzi D.R. also assumes that in the *jth* symbol period, the *ith* pilot subcarrier is modulated with a complex value a(i,j). The same pilot signal is assumed to be sent on the same pilot subcarrier in different OFDM symbol periods, which means a(i,j) = a(i,l) for any i,j and l. Then the complex baseband system model for the *ith* pilot subcarrier can be formulated as

$$y(t,f) = \sqrt{Sh}(t,f)a(t,f) + \sqrt{Nn}(t,f)$$
(2.5)

where n(i,j) is complex, zero-mean AWGN and h(i,j) is the complex channel factor. It is assumed that the variance of h(i,j), n(i,j) and a(i,j) are assumed to be normalized to unity. S is a signal power scale factor, and N is a noise power scale factor. OFDM converts a multipath channel into a set of parallel time-variant linear channels.



The M₂M₄ algorithm and Bourmard's Algorithm [4] does not require the channel estimates in order to estimate the SNR estimation at the back-end of receiver. SNR estimation algorithm for 2X2 Multiple Input Multiple Output (MIMO)-OFDM systems in [5] requires 30 preambles at each transmitting antenna for noise estimates. The performance of the algorithm deteriorates with faster channel fading as Doppler frequency increases. This algorithm is based on the assumption that the channel varies slowly in time as well as frequency. Two consecutive time-domain channel estimates for any antenna pair are considered identical. In addition the channel degradation for adjacent OFDM subcarriers is considered the same. In this technique, SNR estimation is obtained from noise variance and Least Square (LS) channel estimates. Many of these estimators estimates at the back-end of the received. Only a few SNR estimations at front-end of the receiver are proposed. Rana Shahid Manzoor and et. [6] proposed noise power and SNR estimation autocorrelation-based using only one OFDM preamble at front-end of the receiver and data-aided linear prediction based SNR estimation for

AWGN channel. It is proven that the NMSE performs better result with 1 OFDM preamble compared to 30 and 50 OFDM preambles by Boumard, S. [4] and Reddy, S. [7]. It is observed that front-end estimation of SNR is performing excellently and providing reliable estimation by Rana Shahid Manzoor and et. [6].

Many of these estimators are based on the knowledge of pilot sequence, Data-Aided (DA) estimation. DA based approaches are widely implemented to estimate the channel characteristics and to correct the corrupted channel due to multipath fading. The SNR estimation technique presented by Xiadong, X. [8], data-aided estimator is based on tracking the delay-subspace using the estimated channel correlation matrix. This method required M pilot subcarriers to be inserted into every OFDM symbol. The channel frequency response for each pilot was found when the received pilot was divided with the original. The correlation matrix R were computed through eigenvalue decomposition and L, number of paths, was estimated by the Minimum Descriptive Length technique in [9]. The estimated eigenvalues and number of paths was then used to compute the SNR. It was shown by simulation results, that this estimator is able to estimate the true SNR accurately after an observation interval of about 20 OFDM symbols for various fading channels. However, in practical wireless system, the assumption that M > L made by M. Wax [9] may not apply.



DA SNR estimators using training sequence limits system through-out. In order to overcome DA method limitation, NDA SNR estimator is proposed in [2] where the technique is targeted towards applications such as cognitive radio. This is because the terminals need to sense the link quality with all the surrounding networks in order to find the most suitable link for communication. This method does not require the receiver to know the pilots' locations. Instead the cyclostationarity induced by the cyclic-prefix is used to determine the SNR. They often suffer from high computation complexity and low convergence speed since they often need a large amount of receiving data to obtain some statistical information which is the cyclostationarity induced by the cyclic prefix. Blind channel estimation methods are not suitable for applications with fast varying fading channels. Table 2.1 shows the summary of the previous works by other researchers.

No.	Author &	Techniques	Remarks
	Year		
1.	Pauluzzi D.R & Norman C.B. (2005)	-SSME, ML, SNV, M ₂ M ₄ & SVR	 ✓ ML (DA achieves better results at low SNR values) ✓ SNV is a special case of ML based on 1st and 2nd order of sampled output. ✓ M₂M₄ = ML at high SNR values. ✓ SVR = ML at low SNR values
2.	Reddy, S. & Arslan H. (2003)	50 OFDM preamble	
3.	Boumard, S. (2003)	Noise variance & LS channel estimates, 30 OFDM preamble	 ✓ The performance deteriorates with faster channel fading. ✓ Assumption : Channel varies slowly in time & frequency
4.	Rana Shahid Manzoor, Wabo Majavu, Varun Joeti, Nidal Kamel & Muhammad Asif (2007)	Autocorrelation- based estimation 1 OFDM preamble	✓ NMSE performs better result with 1 OFDM preamble compared to more OFDM preambles.
5.	Xiadong X., Ya Jing & Xiaohu Y.	DA estimator based on tracking the delay-subspace using the estimated channel correlation matrix	 ✓ Estimated eigenvalues & number of paths, L was used to compute SNR. ✓ Able to estimate the true SNR accurately after an observation interval of about 20 OFDM symbols.
6.	M. Wax & T. Kailath	Minimum Descriptive Length	 Assumption that pilot subcarriers, M > number of path, L is impractical in wireless system.
7.	Socheleau, F., Abdeldjalil Aissa-El-Bey & Houcke, S.	Cyclostationarity induced by CP	 ✓ Do not rely on any knowledge of the modulation symbols. ✓ Do not waste bandwidth ✓ Suffer from high computation complexity ✓ Need large amount of receiving data to obtain statistical information.

Table 2.1	Comparison	of previou	is works by	other researchers.
	±	-		

2.2.1 Minimum Mean Square Error (MMSE) Estimation

The MMSE estimator describes the approach which minimizes the MSE and has high complexity. With a set of N independent Gaussian channels as shown in Figure 2.3, the system can be written in

$$y_k = h_k x_k + n_k, \quad k=0,...,N-1$$
 (2.6)

where h_k is the complex channel attenuation.



Figure 2.3 Gaussian channels

(2.6) can be rewritten in matrix notation

where X is a matrix with the elements of x on its diagonal and

$$F = \begin{bmatrix} W_N^{Q_0} & \dots & W_N^{Q(N-1)} \\ W_N^{Q_N-1} & \dots & W_N^{Q_N-1} & \dots & M_N^{Q_N-1} \end{bmatrix}$$
(2.8)

is the DFT-matrix with

$$W_N^{nk} = \frac{1}{\sqrt{N}} e^{-j2\pi \frac{nR}{N}}$$
(2.9)

If the channel vector g is Gaussian and uncorrelated with the channel noise n, the MMSE estimate of g becomes [10]

$$\hat{g}_{MMSE} = R_{gy} R_{yy}^{-1} y \qquad (2.10)$$

where

$$R_{gy} = E\{gy^H\} = R_{gg}F^HX^H$$
(2.11)

is the cross covariance matrix between g and y, R_{gg} is the auto-covariance matrix of g and

$$R_{yy} = E\{yy^H\} = XFR_{gg}F^HX^H + \sigma_n^s I_N$$
(2.12)

is the auto-covariance matrix of y, σ_n^2 denotes the noise variance $E\{|n_k|^2\}$. Since the columns in F are orthonormal, frequency-domain MMSE, \hat{h}_{MMSE} can be generated by \hat{g}_{MMSE} .

$$\hat{\mathbf{h}}_{MMSE} = \hat{F}_{g_{MMSE}} = FQ_{MMSE}F^{H}X^{H}y$$
(2.13)

where

$$Q_{MMSE} = R_{gg} \left[\left(F^{H} X^{H} X F \right)^{-1} \sigma_{n}^{2} + R_{gg} \right]^{-1} \left(F^{H} X^{H} X F \right)^{-1}$$
(2.14)

2.2.2 Least Square (LS) Estimation

Least Square (LS) method is about estimating parameters by minimizing the squared discrepancies between observed data and their expected values. LS estimation method attains low computational complexity, and it is easy to implement because it does not require optimization procedures in its computation. The method is used to solve imprecisely defined system [11]. The LS estimate of the attenuations h, given the received data Y and the transmitted symbol X is [12].

$$\wedge \\ h_{ls} = X^{-1}Y = \left[\frac{y_0}{x_0} \frac{y_1}{x_1} \dots \frac{y_{N-1}}{x_{N-1}}\right]^T$$
(2.15)

This is reduced from

$$\hat{h}_{is} = F Q_{LS} F^H X^H y \tag{2.16}$$



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