

# Adaptive and Predictive Downlink Resource Management in Next Generation CDMA Networks

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**Abstract**—Guard channels have been proposed to minimize handoff call dropping when mobile hosts move from one cell to another. CDMA systems are power- and interference-limited. Therefore, guard capacity in CDMA networks is soft, that is, a given capacity corresponds to variable number of connections. Thus, it is essential to adjust the guard capacity in response to changes in traffic conditions and user mobility. We propose two schemes for managing downlink CDMA radio resources: Guard Capacity Adaptation Based on Dropping (GAD), and Guard Capacity Adaptation Based on Prediction and Dropping (GAPD). In both schemes, the guard capacity of a cell is dynamically adjusted so as to maintain the handoff dropping rate at a target level. In the second scheme, there is an additional, frequent adjustment component where guard capacity is adjusted based on soft handoff prediction. We show through extensive simulations that GAD and GAPD control the handoff dropping rate effectively under varying traffic conditions and system parameters. We also find that GAPD is more robust than GAD to temporal traffic variations and changes in control parameters.

## I. INTRODUCTION

The recent trend in personal communication industry is to provide end users with ubiquitous access to the Internet. Mobility and handoff, however, place stringent requirements on network resources. Whenever a mobile host (MH) in an active session moves from one cell to another, network resources need to be allocated at the new base station (BS). New and handoff session requests will compete for connection resources. QoS degradation or forced termination may occur when there is insufficient resources to accommodate the handoff. The trend in cellular networks of reducing the cell size to increase system capacity results in more frequent handoffs, thus making connection-level QoS even more important.

It is widely accepted in the literature that forced termination of an ongoing call (call dropping) is more annoying than the blocking of a new call. Prioritizing handoff calls [1][2] has been considered to reduce handoff failures. Among various handoff prioritization schemes, channel reservation scheme has been a preferred choice because it can reduce handoff failures with minimum overhead. With this scheme, a portion of the link capacity is reserved for handoffs. Under resource constraints, the blocking probability of handoff calls can be kept lower than that of new calls. However, the research literature on channel reservation schemes have focused mainly on time- and frequency-division multiple-access systems. To minimize

the call dropping rate, in a frequency-division multiple access (FDMA)/time-division multiple access (TDMA) system where capacity has a hard limit due to the frequency/time allocation, *hard guard channels* such as time-slots and/or frequency channels can be reserved for handoff calls.

There are three important differences in adapting guard channels for reducing handoff dropping in a CDMA system as compared to a FDMA/TDMA system. First, the capacity of the CDMA system is interference or power limited and hence *soft*. In other words, the capacity of a CDMA system is not fixed and is dependent on a number of factors including the location of the mobile users, their speed, their environment path loss characteristics etc. Thus, there are no fixed resources that can be reserved in order to guarantee, for example, a specific limit on handoff dropping probability. Second, due to the dependence on a variety of factors mentioned earlier, the capacity of a CDMA system is also highly variable. Thus, *any solution for improving handoff dropping in CDMA systems must be highly adaptive and cannot rely on assumptions of traffic or mobility patterns*. Third, CDMA systems are not symmetric and different factors affect uplink and downlink resources. This is due to the *soft-handoff* feature of CDMA where a mobile node's transmission in the uplink (also called reverse link, where the information is transmitted from the mobile to the base station) is automatically received by multiple base stations without using any additional radio resources. Thus, soft-handoff in the reverse link, rather than incurring a cost, actually results in a considerable gain in performance<sup>1</sup>. However, in the downlink direction (also called the forward link, where the information is transmitted from the base stations to the mobiles), establishing soft handoff is costly as secondary base stations must now also transmit the same signal as the primary base station. The power required by the handoff connection is no longer available for allocation to other users of the secondary base stations. Thus, it is necessary in CDMA systems to perform admission control separately in the uplink and downlink directions.

To summarize, in CDMA systems, there are no fixed resources that can be used as guard channels. Instead, a

<sup>1</sup>Mobile nodes transmit at a minimum power to reach a set of base stations, reducing interference and increasing capacity.

certain amount of *soft guard capacity* has to be reserved. Also, given the asymmetry in CDMA uplink and downlink, call admission control has to be performed differently in the two directions. Furthermore, this reserved capacity has to be constantly adapted to variations due to changing traffic patterns, mobility, environment characteristics etc.

Most previous studies on call admission control in CDMA systems have concentrated on capacity management [3][4][5]. None of these studies considered user mobility. Su *et al.* [6] and Ma *et al.* [7] consider mobility through a soft handoff process in which fixed amount of soft channels are reserved as guard capacity to reduce soft handoff failures. Fixed capacity reservation is effective only under ideal stationary traffic conditions and cannot effectively handle a variety of traffic characteristics and users' mobility. Some researchers [8][9][10] have proposed dynamic guard bandwidth schemes for reverse link transmission. As mentioned earlier, admission control is essential for the handoff calls in the forward direction.

In order to give priority to the handoff calls, some power can be reserved for handoff calls in advance. In CDMA systems, the transmission power required for a connection is frequently adapted using open-loop and closed-loop [11] power control so that the signal received by a mobile can meet the target signal-to-noise ratio. It is therefore difficult to predict the power required for a handoff call in advance. The adjustment of power allocations for ongoing sessions will also lead to the variations of available capacity of a cell. In addition, CDMA allows the transmission of both voice and different bit rate data. The dynamics in the power requirement for each mobile and the variety of resource requirements of different applications add more complexity to the radio resource management. Until recently, most research about CAC schemes in CDMA networks have been on the reverse link on the basis of interference levels. Park *et al.* [12] studied a CAC scheme on the CDMA forward link, taking into account both the number of codes<sup>2</sup> and interference level. The proposed scheme gives priority to handoff call by reserving fixed amount of codes and interference margin. Little work has been done in the literature to adaptively control the reserved downlink resources so that the transmission quality of a CDMA call during handoff is guaranteed, taking into account the traffic and power dynamics.

In this paper, we present two novel schemes for effectively managing the downlink CDMA radio resources. The two schemes are: Guard Capacity Adaptation Based on Dropping (GAD), and Guard Capacity Adaptation Based on Prediction and Dropping (GAPD). In both schemes, the guard capacity of a cell is dynamically adjusted so as to satisfy a predetermined bound on the handoff dropping probability without overpenalizing new arrivals. The novelties shared by both the proposed mechanisms are as follows:

- There are no assumptions on traffic and mobility patterns. The proposed schemes can handle the power allocation dynamics of CDMA connections, the changing traffic

<sup>2</sup>In a CDMA cellular networks, a set of orthogonal codes are assigned to users to spread information bits to the transmission bandwidth.

patterns, the diversified resource requirements and traffic loads, and users' mobility.

- Both schemes apply to the mixture of voice and high-speed circuit data applications.

In GAPD scheme, in addition to the relatively slow adjustment of the guard capacity based on the handoff dropping probability in the cell, there is also a frequent adjustment component based on predictions of handoffs from neighboring cells. The intention is to be able to better handle system dynamics and traffic conditions and to be more robust to the choice of system parameters. The novelties of the GAPD scheme are:

- Handoff direction and attempt are predicted in concert with the pilot-strength power measurement for soft handoff detection.
- Aggregation technique is used so that only the total guard capacity predicted needs to be sent to a neighboring cell at the end of each prediction window.
- The use of dual control and aggregation effectively handles the inaccuracy in handoff predictions.

This paper is organized as follows. In Section II, we review related work. In Section III, we establish admission criteria and define the associated reserve (guard) capacities in the downlink direction. In Section IV and Section V, we describe the GAD scheme and the GAPD scheme respectively. In Section VI, we present our simulation model and in Section VII, we present extensive results evaluating the performance of the GAD and GAPD schemes. Finally, in Section VIII, we present our conclusions.

## II. RELATED WORK

A number of attempts have been made to dynamically control the guard channels. The proposed schemes typically take into consideration the active calls in the cell where a new call arrives, as well as its neighboring cells to which the call is likely to be handed off. One of the challenges for dynamic guard bandwidth management is to predict where the subscribers will move to. Predictions in the literature are generally based on mobility models or GPS monitoring of the mobile locations. Tracking the speed and moving direction of the mobiles is generally costly and not accurate.

Priscoli and Sestini [8] proposed an adaptive scheme to find an optimum balance between the call blocking and dropping probabilities. The proposed algorithm only relies on the parameters of a single cell, such as the  $E_b/I_o$ <sup>3</sup> received by the BS, the number of call drops and call blocks, and the duration of link unavailability at the BS. The authors did not consider neighboring cell load and mobility patterns. While the scheme proposed by Chang *et al.* [9] controlled the reserved capacity according to variations in the soft handoff attempt rate, the capacity adaptation scheme was not presented. Also, bandwidth reservation based on individual soft handoff attempt would lead to significant signaling overhead between cells.

<sup>3</sup>The parameter  $E_b/I_o$  represents the ratio of signal bit energy to total interference and thermal noise power spectral density.

Both these schemes were designed to optimize the linear combination of the dropping and blocking probabilities, but not for satisfying the hard constraints on the call dropping probability often required by applications with tight quality requirements.

The distributed call admission (DCA) scheme by Naghshineh and Schwartz [13] targets to keep the connection handoff dropping probability below a specified limit. The admission control algorithm calculates the maximum number of calls that can be admitted to a given cell without violating the QoS of the existing calls in this cell as well as calls in adjacent cells. However, imprecise control decisions can be made due to a number of simplifying approximations in the control algorithms of DCA. The limited results of the original paper [13] and results rebuilt by authors from [10] show that the scheme cannot always guarantee the target call dropping probability.

Instead of controlling the guard bandwidth, the scheme proposed by Wu *et al.* [10] controls the fraction of new calls to be admitted. The information on channel occupancies and new call arrival rates are exchanged periodically up to the third nearest neighboring cells. The major computational complexity of the control algorithm is to obtain the acceptance ratio by solving a nonlinear equation for the average dropping probability on-line. Numerical method was used to obtain coarse-grain solutions.

The shadow cluster mechanism by Levine *et al.* [14] estimates future resource requirements by implementing a *tentative shadow cluster* around an active mobile for every new and handoff call. Simulations show that this mechanism is able to reduce the percentage of dropped calls in a controlled fashion. However, the scheme requires the precise knowledge of each user's mobility. Therefore, it is most suitable for a strong directional environment such as the highway. Moreover, the proposed scheme could be computationally too expensive to be practical.

Choi *et al.* [15] designed handoff estimation functions to predict a mobile's next cell and estimate its sojourn time probabilistically based on its previously-resided cell and the observed history of handoffs in each cell. The authors assumed that the handoff behavior of a mobile will be probabilistically similar to the mobiles which came from the same previous cell and are now residing in the current cell. The guard bandwidth is adapted based on the estimation of directions and handoff times of on-going connections in adjacent cells. Each adjacent cell needs to track the active connections. For each new call admission, the scheme requires the checking of the conditions of some potentially overloaded neighboring cells.

Some of the above work deals with channel allocations, or assumes that the connection consume known amounts of resources. Our approach differs significantly since we deal with CDMA downlink resource management, in which capacity is soft (power-constrained). Also, unlike the above work (including CDMA-compatible schemes), we propose schemes in which no assumptions are made about the traffic characteristics and mobility patterns. Accordingly, our schemes are simple to

implement, and robust to inaccurate estimations of mobility and to variations of traffic patterns, mobility, cell dimensions, and control parameters.

### III. FORWARD LINK ADMISSION CONTROL AND POWER ALLOCATION

Before describing our resource management algorithms, we first discuss the concepts of power allocation, guard capacity and admission control in CDMA systems. CDMA systems are interference limited and rely on the *processing gain* (the ratio of transmission bandwidth to the information rate) to be able to operate at a low signal-to-interference ratio (SIR). In each channel, the power transmitted by the base station is controlled to keep the SIR at a receiver at a target value. When the maximum limit of the base station output power is reached, the SIR can no longer be maintained at the target level, and calls serviced by the base station are blocked or dropped. As a result, call admission is closely tied to power control. The capacity of the base station is thus not just determined by the information rates, but is dependent on the power available and its distribution across the mobiles. A common approach to admission control in the downlink direction is to admit new calls as long as the output power at the base station is below a certain threshold [3] [16]. A similar power threshold-based admission control policy is used in this paper.

#### A. Admission Control

The total power available at a base station is distributed among overhead channels (pilot, paging, and sync channels) and traffic channels. The constraint of the total available traffic power on the power allocation to the downlink traffic channels can be expressed as follows. Assume that a cell  $k$  has  $M_k$  users. With the total traffic power normalized to 1, let the fraction of traffic power (averaged over the time variations because of fast fading) allocated to a user  $i$  be denoted as  $w_{ki}$ , and the channel activity factor for the user be denoted as  $v_i$ . Then, we have the constraint

$$\sum_{i=1}^{M_k} v_i \omega_{ki} \leq 1. \quad (1)$$

A certain fraction of the traffic power can be reserved in order to minimize dropping of handoff calls: we refer to this as the *guard capacity*. We can now express the admission control decisions for new and handoff calls as follows. Let the total traffic power be normalized to 1, and let the currently allocated power, and the guard capacity be represented respectively as  $\Omega_k$  and  $\Omega_k^g$ . Also, we denote the initial power requirement for a new call as  $\omega_{\text{new}}$ , the initial power requirement of a handoff call as  $\omega_{\text{hf}}$ , and the activity factors for new and handoff connections as  $v_{\text{new}}$  and  $v_{\text{hf}}$  respectively. Then, the admission control criteria are:

- Admit a new connection at cell  $k$  iff

$$\Omega_k + v_{\text{new}} \omega_{\text{new}} \leq 1 - \Omega_k^g. \quad (2)$$

- Admit a handoff connection at cell  $k$  iff

$$\Omega_k + v_{\text{hf}} \omega_{\text{hf}} \leq 1. \quad (3)$$

Since the base station controls the transmitted power in closed-loop to maintain a targeted SIR, it does not have a-priori knowledge of the power required by a new or handoff call. To estimate the initial power of a mobile  $\omega_{\text{new}}$ , the average of the powers transmitted for existing connections can be used. To facilitate the maximal ratio combining [11] of signals at the mobile, the base stations in an active set will all allocate the same power fraction to the mobile. So the initial power allocation for a handoff call of a mobile  $\omega_{\text{hf}}$  will be equal to the power allocation at its serving base station<sup>4</sup>.

### B. Theoretical Power Allocation

After a new or handoff call is admitted, with an initial power allocated as above, the allocated power is adjusted by the base-station in closed-loop to maintain a targeted SIR. However, it is possible to theoretically calculate the power allocation required for a certain SIR [11]. We use this calculation to obtain the power allocation in our simulations.

Assume a user  $i$  receives signal power from base station  $k$  and interference power from the remaining  $J-1$  base stations. Suppose that the total power received by user  $i$  from the  $j^{\text{th}}$  base station is  $S_{ji}$ . We also assume that a fraction  $\phi_k^t$  of the total power from a base station  $k$  is devoted to the traffic channels and a fraction  $\omega_{ki}$  of the total traffic power is allocated to a mobile  $i$ . Then the ratio of signal bit energy  $E_b$  to the total interference and thermal noise power spectral density  $I_t$  of a user  $i$  can be expressed as:

$$\left(\frac{E_b}{I_t}\right)_i = \frac{\omega_{ki}\phi_k^t S_{ki}/R_i}{(h_{ki}S_{ki} + \sum_{j=1, j \neq k}^J S_{ji} + N_0 B_w)/B_w}, \quad (4)$$

where  $R_i$  is the bit rate of user  $i$ ,  $B_w$  is the spreading bandwidth, and  $h_{ki}$  is the self-interference coefficient that models the effect of transmitter and receiver non-linearities that limit the maximum signal to noise ratio. Hence, with a target  $\left(\frac{E_b}{I_t}\right)_i$  for a user  $i$ , we can get the relative allocation of power for user  $i$  as:

$$\omega_{ki} = \frac{\left(\frac{E_b}{I_t}\right)_i}{\phi_k^t G_i} \left(h_{ki} + \sum_{j=1, j \neq k}^J S_{ji}/S_{ki} + N_0 B_w/S_{ki}\right), \quad (5)$$

where  $G_i = B_w/R_i$  is the processing gain of user  $i$ .

Equation (6) applies to the case when the mobile receives signal from only a single base station. When the mobile is in soft handoff with a set of base stations  $\mathcal{B}$ , then the received  $E_b/I_t$  for maximal ratio combining is given by [11]

$$\left(\frac{E_b}{I_t}\right)_i = \sum_{k \in \mathcal{B}} \frac{\omega_i \phi_k^t S_{ki}/R_i}{(h_{ki}S_{ki} + \sum_{j=1, j \neq k}^J S_{ji} + N_0 B_w)/B_w}, \quad (6)$$

where  $\omega_i$  is now the common power fraction transmitted to the mobile by the different base stations in the active set. The required power fraction  $\omega_i$  can be obtained by inverting the above equation as in (7).

<sup>4</sup>During soft handoff, one of the base stations in the active set is selected as serving base station to be in charge of call-related management functions. A serving base station is normally the one that provides the strongest signal to the mobile or the one that has been serving the mobile for the longest time.

## IV. GUARD CAPACITY ADAPTATION BASED ON DROPPING (GAD)

The guard capacity in a cell is intended to maintain the handoff dropping rate at a sufficiently low level. On the other hand, if the handoff dropping rate is consistently equal to zero, this may indicate that the guard capacity is too large, at the cost of an unnecessarily high new call blocking rate. Clearly, an optimal amount of guard capacity would allow the most efficient use of the air interface capacity. However, a-priori or fixed optimization of the guard capacity over some known parameters is not feasible in a practical implementation. This is because the traffic pattern in a cell is not known in advance, and varies over the lifetime of the cellular network. Also, as discussed in Section III, the transmission power required for a CDMA connection is frequently adjusted to maintain the signal-to-interference ratio.

The basic objective of both our resource management schemes is to dynamically adapt the guard capacity for the efficient use of the traffic capacity of a cell. In this section, we discuss the GAD scheme. In this scheme, the handoff arrival and dropping rates are monitored by a cell. The handoff dropping rate is maintained at a target level by adjusting the guard capacity, based on a constrained integral control law [17]. With the measured handoff dropping rate of a cell  $k$  represented as  $B_{k,hf}$  and the target dropping rate as  $B_{k,hf}^*$ , the guard capacity  $\Omega_k^g$  for a period  $n$  is calculated as:

$$\Omega_k^g[n] = \min\{[\Omega_k^g[n-1] + \sigma_k(B_{k,hf} - B_{k,hf}^*)/B_{k,hf}^*]^+, \Omega_k^{g,\max}\}. \quad (7)$$

where the parameter  $\sigma_k$  controls the adaptation speed of the guard capacity, and  $\Omega_k^{g,\max}$  is the maximum guard capacity allowed for cell  $k$ . Note that  $[x]^+$  requires  $x$  to be not less than 0.

In an integral controller such as ours, a higher  $\sigma_k$  leads to a faster response, but also leads to larger oscillations and possible instabilities. Also, if  $|\sigma_k(B_{k,hf} - B_{k,hf}^*)/B_{k,hf}^*|$  is too large,  $\Omega_k^g$  may be absorbed into an extreme state. Therefore, the value of  $\sigma_k$  should be constrained<sup>5</sup>.

## V. GUARD CAPACITY ADAPTATION BASED ON PREDICTION AND DROPPING (GAPD)

The basic concept of the GAPD scheme is to anticipate the soft handoffs to a cell before they occur, in addition to monitoring the handoff dropping rate in the cell, as in Section IV. The guard capacity is adjusted based on both the predicted handoffs as well as the handoff dropping rate. One of the challenges in this approach is the prediction of soft handoff calls to a cell, and signaling of the anticipated handoffs to that cell. This is discussed in Section V-A. The adjustment of the guard capacity is then discussed in Section V-B.

<sup>5</sup>With the range constraints, care must be taken that  $\Omega_k^g$  does not get absorbed into the extreme states. Assume that  $\epsilon$  is the largest error that occurs once the system is in closed-loop operation. The parameter  $\Omega_k^{g,\max}$  can be prevented from being absorbed into an extreme state if  $\sigma_k < \frac{\Omega_k^{g,\max} B_{k,hf}^*}{\epsilon}$ .

### A. Soft Handoff Prediction

We begin with a brief explanation of how a soft handoff is initiated in CDMA systems. During inter-cell handoff, a mobile sends and receives information from both new and old base stations. The pilots of the cells involved in the soft handoff are categorized into an *active set*. A mobile periodically measures the pilot signal strength received from neighboring cells. If the mobile finds a neighboring BS with a pilot signal strength  $E_c/I_t$  higher than a predetermined threshold  $T_{\text{ADD}}$ , the mobile transfers the BS associated with the pilot into the *candidate set* and sends a Pilot Strength Measurement Message to the serving base station, which will send a handoff request to the target base station. If the BS can be added into the active set, the serving base station sends a Handover Direction Message to the mobile. If the pilot signal from either the old BS or the new BS drops below threshold  $T_{\text{DROP}}$  for an amount of time  $T_{\text{TDROP}}$ , the corresponding link is released.

Since the measured pilot signal strength is used to initiate soft handoff, we propose using the pilot signal strength to predict soft handoff. We define a new parameter, a soft handoff *prediction threshold*  $T_{\text{PREDICT}}$  that is set lower than  $T_{\text{ADD}}$ . When a mobile detects that the pilot signal strength from a neighboring cell exceeds  $T_{\text{PREDICT}}$ , the mobile predicts the neighboring cell as a handoff target. The mobile signals its serving base station indicating that it is approaching the predicted cell, and the serving base station identifies the mobile as candidate for handoff to the neighboring cell in the impending future and signals to the cell to reserve guard capacity. On the other hand, if a mobile detects that the pilot strength from the cell originally predicted as a handoff target drops below  $T_{\text{DROP}}$  for a time period  $T_{\text{TDROP}}$  before its reaching  $T_{\text{ADD}}$ , it signals the serving base station to cancel the handoff prediction. Again, the serving base station identifies the mobile accordingly.

If the pilot strength from a cell predicted as handoff target reaches  $T_{\text{ADD}}$  and the cell can admit the mobile, the predicted cell is added into the mobile's active set and the mobile initiates soft handoff. Irrespective of whether the mobile is admitted into the target cell, the corresponding guard capacity is no longer needed, and the target base station reduces the guard capacity accordingly.

1) *Prediction Aggregation and Signaling*: If the serving base station needs to inform a neighboring base station about each handoff prediction, signaling overhead may become excessive. Therefore, we define a *prediction window* with length  $W_p$ , over which predictions are aggregated. For a target cell  $k$ , at time intervals  $W_p$ , a serving cell  $j$  calculates a net predicted required power  $\Omega_{jk}^p$ , which is given by the difference between the total estimated power requirement corresponding to handoff predictions (pilot strength is higher than  $T_{\text{PREDICT}}$ ), and the total estimated power requirement corresponding to withdrawn predictions (pilot strength drops below  $T_{\text{DROP}}$  before reaching  $T_{\text{ADD}}$ ) during the time interval  $W_p$ . Therefore,

$$\Omega_{jk}^p = \sum_{i \in C_{jk}^p} \omega_i - \sum_{i' \in C_{jk}^q} \omega_{i'}. \quad (8)$$

In Equation 8,  $\omega_i$  is the power of the active session  $i$  at the time of prediction,  $\omega_{i'}$  is the power of the active session  $i'$  at the time the prediction was withdrawn,  $C_{jk}^p$  is the set of indices of the active sessions predicted to handoff to cell  $k$ , and  $C_{jk}^q$  is the set of indices of the active sessions with withdrawn handoff predictions to cell  $k$ . If  $\Omega_{jk}^p$  is non-zero, the serving base station sends a guard capacity update message containing  $\Omega_{jk}^p$  to the target base station  $k$  at the end of the prediction window. In Section V-B, we will describe the algorithms according to which the guard capacity is actually adapted, based on the net estimated power requirement  $\Omega_{jk}^p$ , initiated handoffs to the target base station, and the handoff dropping rate.

2) *Prediction Parameters*: We now discuss the trade-offs involved in selecting values for the various prediction parameters. First, the length of the prediction window,  $W_p$ , trades off the signaling overhead with the granularity of guard capacity adaptation.

For each handoff prediction, we define a *prediction interval*, as the time interval between the measured pilot signal strength from a neighboring cell reaching  $T_{\text{PREDICT}}$  (when handoff is anticipated) and its reaching  $T_{\text{ADD}}$  (when handoff can be performed). When a predicted target cell receives a handoff prediction, it may not have sufficient spare capacity (that is not currently consumed by active mobiles or already booked as guard capacity) to set the required guard capacity. The longer the prediction interval, the more likely it is that the predicted target handoff cell can set aside guard capacity corresponding to the predicted handoff, as other mobiles release capacity, or consume less capacity than predicted.

The length of the prediction interval is dependent on the prediction threshold  $T_{\text{PREDICT}}$  relative to  $T_{\text{ADD}}$ , and the mobile's speed and moving direction. Reducing  $T_{\text{PREDICT}}$  increases the prediction interval, but setting  $T_{\text{PREDICT}}$  too low will cause more incorrectly predicted handoffs, and may in turn result in excessive guard capacity and a higher new call blocking rate. Ideally, since the prediction interval depends on the mobile's speed and direction, each mobile should have its own handoff prediction threshold  $T_{\text{PREDICT}}$ . However, the mobility characteristics of a mobile are generally not known a priori.

The guard capacity set aside in a cell is generally shared by all the mobiles that handoff to this cell. Therefore, the resource needed by a fast moving mobile with a short prediction interval can be borrowed from slower moving mobiles with earlier handoff predictions. We will see in our performance studies that due to this guard capacity sharing, the sensitivity of the performance to the prediction threshold is reduced.

In IS-95A, the handoff thresholds  $T_{\text{ADD}}$  and  $T_{\text{DROP}}$  are set as constants. However, some locations in the cell only receive weak pilots (requiring a lower threshold) and other locations receive a few strong and dominant pilots (requiring higher handoff thresholds). As a result, IS-95B proposes dynamic thresholds. We take this into account by setting the thresholds  $T_{\text{PREDICT}}$  relative to  $T_{\text{ADD}}$ , instead of as absolute values.

## B. Guard Capacity Adaptation Based on Prediction and Dropping

Having established the handoff prediction strategy, we now consider the actual adaptation of the guard capacity. This adaptation is carried out at two different time scales: a rapid adaptation in response to handoff predictions, and a longer-term adaptation based on the handoff dropping probability of the cell.

1) *Adaptation upon Prediction - Fast Control:* At the end of a prediction window, if the total predicted power for a neighboring cell is not zero, the serving base station sends an estimated aggregate power requirement to the neighboring target base station. However, several problems may arise if this power is added to the guard capacity directly. Since the transmission power in a channel is adjusted frequently to maintain the signal quality at the mobile, the power requirement of a mobile at the time of handoff can be different (lower or higher) from the estimated power at the time of handoff prediction. Also, some mobiles that were originally predicted to handoff into a cell may end their calls or change direction before they arrive at the cell, resulting in higher than necessary guard capacity setting, and possibly a higher new call blocking probability  $B_n$ . Finally, if a cell always sets aside sufficient capacity for every anticipated handoff, the handoff failure probability  $B_{h,f}$  is theoretically zero. In practice, the handoff failure probability is only required to be below a desired value, say, 1%.

In order to track the power requirement dynamics and compensate for the prediction errors, and hence maintain the correct trade-off between high capacity utilization (low  $B_n$ ) and low handoff failure probability, we introduce a *scaling factor* for the predicted power requirement. A cell  $k$  adapts its guard capacity by scaling the predicted power by a factor  $\alpha_k$ . Each cell has its own prediction scaling factor, which is adjusted at the end of every prediction window based on the moving average handoff dropping probability of the cell, using an integral control law. The scaling factor  $\alpha_k$  for a cell  $k$  during the  $m^{\text{th}}$  prediction window is given by:

$$\alpha_k[m] = \min\{\max\{\alpha_k^{\min}, \alpha_k[m-1] + \sigma_k^\alpha (B_{k,h,f} - B_{k,h,f}^*)/B_{k,h,f}^*\}, \alpha_k^{\max}\} \quad (9)$$

where parameter  $\sigma_k^\alpha$  controls the adjustment speed of  $\alpha_k$ , and  $\alpha_k^{\min}$  and  $\alpha_k^{\max}$  are the minimum and maximum values of  $\alpha_k$ .

2) *Adapting Minimum Guard Capacity - Slow Control:* As mentioned in Section V-A.2, even if a handoff can be correctly predicted, if the target cell is highly loaded, the target cell may not be able to release the required amount of guard capacity by the time of the handoff. One solution is to make the prediction interval variable (by making  $T_{\text{PREDICT}}$  variable), and adjust the prediction interval based on the handoff dropping probability. When the handoff dropping probability increases, the prediction interval could be increased in response, thus allowing the target cell more time to use freed-up resources to increase the guard capacity. However, periodically conveying the new prediction threshold to each mobile would increase the signaling overhead in the air interface. In addition, the

prediction interval cannot be controlled by prediction threshold alone, but also depends on each mobile's speed and moving direction.

We consider an alternative solution. The problem arises because the target cell allows the guard capacity to fall too low, in response to dynamics in the handoff predictions and actual handoff attempts. Accordingly, we introduce a certain amount of minimum guard capacity  $\Omega_k^{\text{g,min}}$ , which remains practically constant on the time-scale of the handoff prediction process, independent of handoff predictions and attempt rate.

However, to make it easier to estimate the right amount of minimum guard capacity, we make the minimum guard capacity dependent on the handoff dropping rate over a longer time-scale. We use a similar control scheme to that used for adapting the guard capacity in the GAD scheme (equation 7). However, we use a longer control window  $LW_p$ , with the control loop driven by mismatch between the *long-term* measured handoff dropping probability  $B_{k,h,f}^l$  and the target value  $B_{k,h,f}^*$ .

3) *Guard Capacity Adaptation:* We now summarize the overall guard capacity adaptation under GAPD. The guard capacity adaptation of a cell is driven by several inputs: predicted soft handoffs, the soft handoff attempt rate, and the short-term and long-term mismatch between the measured and target handoff blocking rates. Consider a cell  $k$ . At the end of the  $m^{\text{th}}$  prediction window, the cell adjusts its guard capacity based on handoff predictions, by an amount  $\alpha_k[m]\Omega_k^p$ . Here  $\Omega_k^p$  is the total estimated power requirement predicted by all its neighboring cells during that prediction window, that is,

$$\Omega_k^p = \sum_{j \in N_k} \Omega_{jk}^p, \quad (10)$$

where  $N_k$  is the set of indices of cell  $k$ 's neighbors with mobiles predicted to handoff to cell  $k$ .

At the same time, cell  $k$  also reduces the guard capacity by an amount  $\alpha_k[m-1]\Omega_k^f$ , corresponding to attempted handoffs to the cell. Here  $\Omega_k^f$  is the total power requirement of all attempted handoffs to the cell in that prediction window,

$$\Omega_k^f = \sum_{i \in C_k^f} \omega_{i,h,f}, \quad (11)$$

where  $\omega_{i,h,f}$  is the power of the session  $i$  at handoff time, and  $C_k^f$  is the set of indices of active sessions that attempt handoff to cell  $k$ . Note that no matter whether a handoff is admitted or rejected by the cell, the guard capacity reserved for the session is no longer needed after the handoff is performed.

Therefore, the guard capacity for cell  $k$  during the  $m^{\text{th}}$  handoff prediction period can be written as:

$$\Omega_k^g[m] = \Omega_k^g[m-1] + \alpha_k[m]\Omega_k^p - \alpha_k[m-1]\Omega_k^f, \quad \text{and} \quad \Omega_k^{\text{g,min}} \leq \Omega_k^g[m] \leq \Omega_k^{\text{g,max}}. \quad (12)$$

We should note that the guard capacity adaptation in a cell occurs fairly independently of other cells. Although the prediction threshold and add and drop thresholds are assumed to be the same across all cells, the predicted power scaling

factor  $\alpha_k$ , and the minimum guard capacity  $\Omega_k^{\text{g,min}}$  are adjusted independently in each cell  $k$ , based on the short-term and long-term variations of handoff dropping probability in the cell. The length of the prediction window  $W_p$  and the long control window  $LW_p$  can also be different in each cell, and the requests for guard capacity from neighboring cells need not be synchronized with each other.

## VI. SIMULATION MODEL

We consider path loss and shadowing in our path model. Since only signal strength measurements and transmit power values averaged over time scales corresponding to the fast fading are considered for handoff decisions and admission control, we do not include fast fading in our simulations. The path loss is modeled using the COST231-Hata model proposed by Mogensen [18]. The signal from the base station to the user is assumed to decay at the rate of  $3.5^{\text{th}}$  power of the distance. The slow shadow fading is modeled by independent log-normal variables. To account for the spatial correlation of the shadows, we assume the model proposed by Gudmundson [19], where log-normal shadowing is modeled as a Gaussian white noise process that is filtered by a first-order low-pass filter. Assume a base station has power  $P$ , the shadowing effect at location  $l$  is expressed in decibel and represented as  $\Psi_{l(\text{dB})}$ , the interference power received from an interfering base station  $j$  by a user  $i$  at location  $l$  can be expressed as

$$S_{ji} = \frac{P * c}{d_{ji}^{3.5}} 10^{\frac{\Psi_j}{10}}. \quad (13)$$

To simulate a very large PCS network, the authors in [20] advocate a wrap-around topology. This approach eliminates the boundary effects in an un-wrapped topology. Thus, we simulate our PCS network using a wrapped mesh topology with 25 cells. Each cell is surrounded by two rings of base stations so that a significant fraction of interference is captured. We make the following assumptions in our simulations:

- A1. The movement of the mobile users is based on a two-dimensional random walk model, that is, the mobiles can travel in any direction in a plane with an equal probability. The speed of a mobile is chosen randomly below  $SP^{\text{max}}$ . The default  $SP^{\text{max}}$  is set to 100 km/hour, unless otherwise specified. Initial mobiles are generated randomly and uniformly across the cells, and can appear anywhere with an equal probability. After a mobile is initiated (i.e., a mobile subscribes to the system), its location is tracked even when it is inactive.
- A2. The default diameter of a cell is 2 km, and all the base stations are assumed to use the same transmission power of 15 W. For each base station, 20 % of the power is assigned to pilot channel, 70 % of the power is assigned to traffic channel [21], and the remaining power is assigned to other control channels. For an active session, closed-loop power control is simulated to maintain the minimum bit energy to noise density ratio  $E_b/I_0$  at some pre-determined target level, 5 dB for voice and 1 dB for data. The spread bandwidth  $B_w$

is 3.84 MHz, and the thermal noise  $N_o B_w$  is set to  $-105$  dBm, derived from [21]. The self-interference factor  $h_{ki}$  in Equation 5 is set to 0.01, reflecting the transmitter and receiver non-linearities.

- A3. Connection requests are generated according to a Poisson distribution at a rate that varies with the required simulation load and the number of subscribers. Each connection's lifetime is exponentially-distributed with mean interval of one minute. Unless otherwise specified, 70 % of the total traffic is voice, with activity factor 0.5 and rate chosen randomly from the rate set of 10.2 kb/s, 6.7 kb/s, 5.9 kb/s and 4.95 kb/s. The remaining 30 % of the traffic is data, with activity factor 1 and rate chosen randomly from the rate set of 14.4 kb/s, 28.8 kb/s, 57.6 kb/s, 64 kb/s, 128 kb/s, and 384 kb/s [22].
- A4. The handoff parameters are set as:  $T_{\text{ADD}} = -13$  dB,  $T_{\text{DROP}} = -15$  dB,  $T_{\text{TDRAP}} = 2$  s, derived from [21]. The default prediction threshold  $T_{\text{TPREDICT}}$  is set to  $0.85 T_{\text{ADD}}$ .
- A5. The target handoff dropping probability is set to 0.01 [23], the adaptation step for the predicted power scaling factor  $\alpha$  is set as 0.08, and the range of  $\alpha$  is constrained to  $[0.05, 1]$ . The prediction window  $W_p$  is set as one second for all the cells. The adaptation steps for guard capacity of GAD and minimum guard capacity of GAPD are set to the same value of 0.00025, the long-term control interval  $LW_p$  for adjusting minimum guard capacity in GAPD and interval for adapting guard capacity of GAD are both set as 20 seconds. The guard capacity as a fraction of total traffic power is constrained to be below 0.30.

## VII. PERFORMANCE EVALUATION

In this section, we present a detailed performance evaluation of three schemes: 1) fixed guard capacity (FG), 2) guard capacity adaptation based on handoff dropping probability (GAD), and 3) guard capacity adaptation based on prediction and handoff dropping probability (GAPD). The central problem considered in this paper is to set aside the right amount of guard capacity so as to obtain a good trade-off between call quality (low handoff dropping probability) and availability (low call blocking probability and high cell power utilization). Accordingly, we use the following performance metrics:

- *New Call blocking probability* - the number of new calls blocked as a fraction of the number of new arrivals received.
- *Handoff dropping probability* - the number of handoff calls blocked as a fraction of handoff calls received.
- *Average cell power utilization* - the power consumed by the active sessions as a fraction of the total traffic power available.
- *Average cell guard power fraction* - the average fraction of traffic power set aside as guard capacity.

In the next section, we compare the performance of the three schemes under default parameter settings. We then examine the impact of voice ratio (varying the voice-data traffic mix) and user mobility speed on the performance of these schemes.

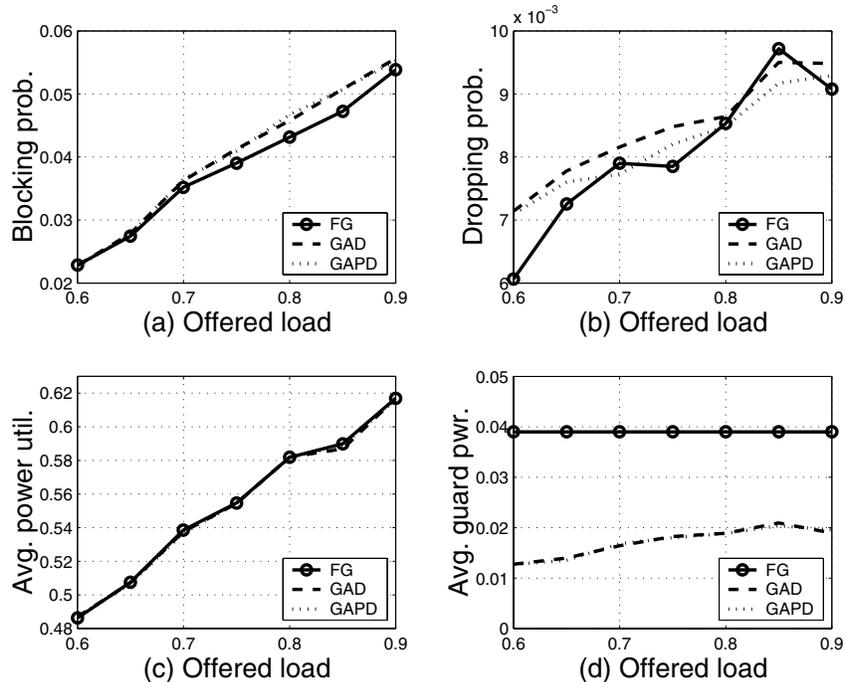


Fig. 1. Performance metrics of capacity management for FG, GAD and GAPD: (a) new call blocking probability; (b) handoff call dropping probability; (c) average cell power utilization; (d) average cell guard capacity.

Finally, we examine the the robustness of the GAD and the GAPD schemes to changes in the various control parameters. Impact of other parameters such as cell size and base station power on the performance of the GAD and GAPD schemes can be found in [24].

#### A. Comparison

We first compare the basic performance of three schemes, FG, GAD, and GAPD. Clearly, the performance of the FG scheme depends on the amount of fixed guard capacity: the optimal guard capacity depends on the size and power of the cell, and the traffic pattern (voice/data ratio, mobility, etc.). Under the default conditions, the optimal guard capacity is about 0.039; we used this value in the simulations of FG. The performance of the FG scheme is then similar to that of the GAD and GAPD schemes, in terms of blocking probability (except at high loads), handoff dropping probability, and cell power utilization (Figs. 1 (a), (b) and (c) respectively). All three guard capacity schemes are able to maintain the handoff dropping probability at or below the target level, which is achieved at the cost of a smaller increase of new call blocking probability. However, since FG only works optimally for one particular traffic/mobility/load configuration, its performance under different conditions is generally much worse than that of GAD and GAPD as will be seen in later sections.

Fig. 1 (a) shows that GAD and GAPD have slightly higher new call blocking probabilities as compared to FG at high load. This is because GAD and GAPD rely on an iterative process (guard capacity adjustment based on handoff predictions and/or dropping probability in previous period), and are inherently more conservative in reserving guard capacity

during instantaneous high handoff loads. Fig. 1 (d) shows that GAD and GAPD have much smaller average guard capacities than FG; this is because both schemes reduce their guard capacity during periods of low handoff load, although they have comparable or slightly higher guard capacities during periods of high handoff load.

The instantaneous handoff dropping probabilities and guard capacities are shown in Figs. 2 (a) and (b), which are based on a snapshot of a single cell between 10000 seconds and 15000 seconds. Prior to and during bursts of high handoff load (indicated by peaks in the dropping probability traces), GAPD is seen to adapt the guard capacity more actively than GAD (because of handoff prediction), and achieves lower dropping probability during these bursts.

#### B. Effect of Voice Ratio and User Mobility

We study the impact of traffic patterns by varying the ratio of voice traffic to data traffic, and by varying the maximum mobile speed  $SP^{\max}$ . Other parameter values are at default levels; in particular, the offered load is 0.85.

Voice connections generally have lower data rates and a smaller range of data rates than data traffic, and voice traffic is less bursty than data traffic. If the total offered load is the same, a larger fraction of voice traffic allows for better multiplexing and hence more efficient resource usage. Therefore, for all three schemes, both the new call blocking probability and handoff dropping probability decrease as the voice ratio increases.

Fig. 3 (b) shows that when the voice ratio decreases (making the overall traffic burstier), the GAD and GAPD scheme are generally able to keep the handoff dropping probability

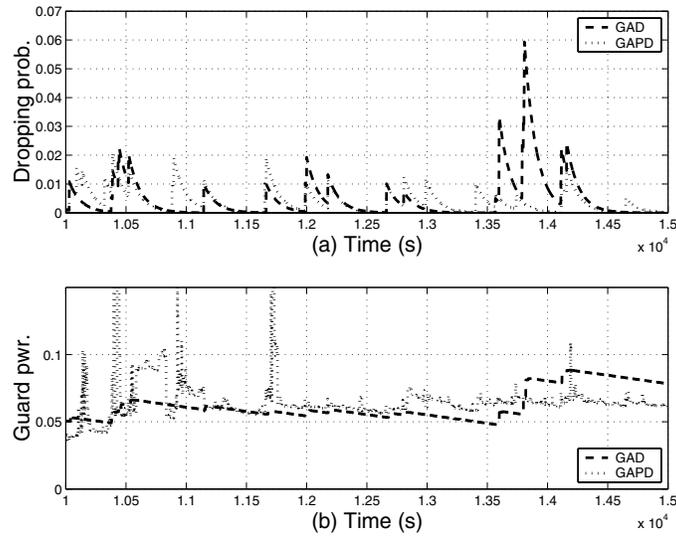


Fig. 2. Time variation of handoff dropping probability and guard power for GAD and GAPD at offered load 0.85.

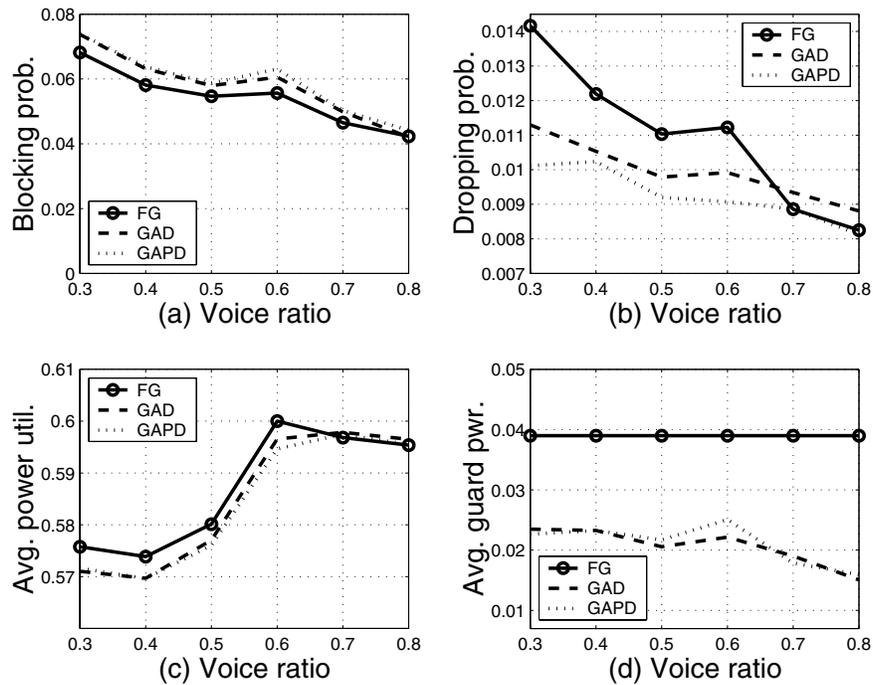


Fig. 3. Performance with the variation of voice traffic ratio: (a) new call blocking probability; (b) handoff call dropping probability; (c) average cell power utilization; (d) average cell guard capacity.

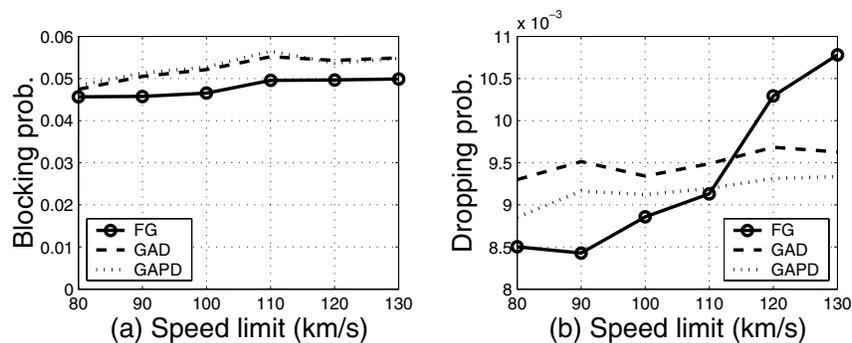


Fig. 4. Probability of new call blocking and handoff call dropping with variation of the allowable mobile speed limit  $SP^{\max}$ .

below the target level (0.01), by reserving more guard capacity (Fig. 3 (d)). The FG scheme, on the other hand, cannot keep the dropping probability within the target level at small voice ratios. The significant handoff performance improvement of GAD and GAPD come at the cost of a slightly lower cell power utilization due to the higher guard capacity, and correspondingly slightly higher new call blocking probability (Fig. 3 (c),(a)).

The dropping probability under GAD is always somewhat higher than that under GAPD, with the largest difference between the two schemes (11.3%) occurring at the smallest voice ratio of 0.3. Since both schemes reserve approximately the same average guard capacity even at small voice ratios (Fig. 3 (d)), the advantage under GAPD under the most dynamic conditions evidently comes from the fast handoff prediction based adaptation.

In our simulations, the speeds of the mobiles are randomly generated between zero and a maximum speed  $SP^{\max}$ . Increasing  $SP^{\max}$  increases user mobility, and therefore increases the frequency of handoffs. With a fixed guard capacity, the increased frequency of handoffs with speed limit results in the handoff dropping probability being 8% higher than the target probability at the highest speed  $SP^{\max}$  (Fig. 4 (b)), while GAD and GAPD maintain the dropping probability at less than the target (0.01) at all speed limits. Note that the advantage under GAD and GAPD would be even greater at higher offered load.

### C. Effect of Control Parameters

In this section, we study the effect of various control parameters on the performance of GAD and GAPD. The parameters we consider are: the target handoff dropping probability  $B_{hf}^*$ ; the size of the prediction threshold,  $T_{\text{PREDICT}}$ , and prediction window,  $W_p$ , in GAPD; and the length of the long-term adaptation period  $LW_p$ . We vary one parameter at a time, while keeping the other parameters at default values. The offered load is fixed at 0.85.

1) *Target handoff Dropping Probability:* We vary the target handoff dropping probability in this simulation. Fig. 5 shows that both GAPD and GAD are able to keep the dropping probability at or below the target for target values higher than 0.008, with GAPD having somewhat lower dropping and new call blocking rates. For target dropping probabilities less than 0.008, GAD with the default control parameters can no longer keep the dropping rate within the target, while GAPD is able to do so, at the cost of slightly higher new call blocking probability.

2) *Prediction Threshold  $T_{\text{PREDICT}}$  in GAPD:* In this section, we look at the effect of the  $T_{\text{PREDICT}}$  threshold in GAPD, which defines the power threshold at which a handoff is predicted. By default,  $T_{\text{PREDICT}}$  is set as  $0.85T_{\text{ADD}}$ . We show simulation results for three different values of  $T_{\text{PREDICT}}$  (as a fraction of  $T_{\text{ADD}}$ ): 0.75, 0.85, and 0.95.

Setting a lower prediction threshold results in earlier handoff predictions. This allows the target cell more time to accumulate guard capacity, and results in a lower dropping rate, as seen in Fig. 6 (b). On the other hand, a lower prediction threshold causes guard capacity to be held longer. It also causes

more withdrawn predictions, which again result in unnecessary guard capacity as well as more signaling overhead. This would tend to increase the new call blocking probability; however, the longer term adjustment of minimum guard capacity in GAPD prevents excessive guard capacity from being held too long. This is seen in Fig. 6 (c): as the prediction threshold is reduced, the minimum guard capacity at a given load decreases, countering the increase of prediction-based guard capacity. This prevents the new call blocking probability from increasing significantly as the prediction threshold is reduced (Fig. 6 (a)), and makes the GAPD scheme robust to the setting of the prediction threshold.

3) *Prediction Window Length  $W_p$  in GAPD:* The prediction length controls the interval at which a cell sends aggregated handoff power predictions to a neighboring cell. A larger  $W_p$  means longer delays between making handoff predictions and signaling them, which reduces the time for the target cell to accumulate guard capacity. This would tend to increase handoff dropping probability. However, Fig. 7 shows that handoff dropping probability and new call blocking probability remain well-controlled over the entire range of  $W_p$  settings. This is likely due to several reasons. While handoff predictions are delayed longer with larger  $W_p$ , withdrawn predictions are also delayed longer, so that the corresponding excess guard capacity is held longer. Also, the scaling factor  $\alpha$ , which controls the fraction of the predicted handoff power actually added to (or subtracted from) the guard capacity, is adjusted in response to handoff dropping probability. As shown in Fig. 8 (a),  $\alpha$  indeed increases with the increase in  $W_p$ , causing guard power reservation to change more sharply in response to predictions. Fig. 8 (b) shows that the minimum guard capacity decreases at the same time, reflecting the more abrupt prediction-based adaptation of guard capacity.

4) *Long-term Control Period  $LW_p$ :* The  $LW_p$  parameter sets the interval at which the guard capacity is adjusted in GAD, and the minimum guard capacity is adjusted in GAPD, in order to maintain the handoff dropping probability at its target value. Fig. 9 shows that the dropping probability of GAD increases much more sharply than that of GAPD with the increase of the control period, and exceeds the target when the control period is larger than 30 seconds. The additional (prediction-based) adaptation mechanism in GAPD enables it to keep the dropping rate below the target for much larger values of the control period, up to 70 seconds, at the cost of only slightly higher new call blocking probability. At a control period of 70 seconds, the dropping probability of GAPD is about 20 % lower than that of GAD, while the new call blocking is only 6.6% higher.

## VIII. SUMMARY

We have presented two schemes (GAD and GAPD) for managing downlink CDMA radio resources that maintain ongoing call quality by minimizing call-dropping during handoffs, without over-penalizing new arrivals. In both schemes, the guard capacity of a cell is dynamically adjusted so as to maintain the handoff dropping rate at or below a target level. In

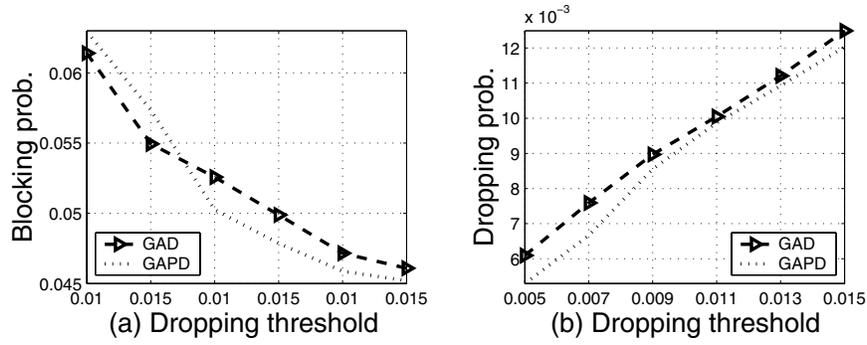


Fig. 5. Probability of new call blocking and handoff call dropping with the variation of handoff dropping threshold  $B_{hf}^*$ .

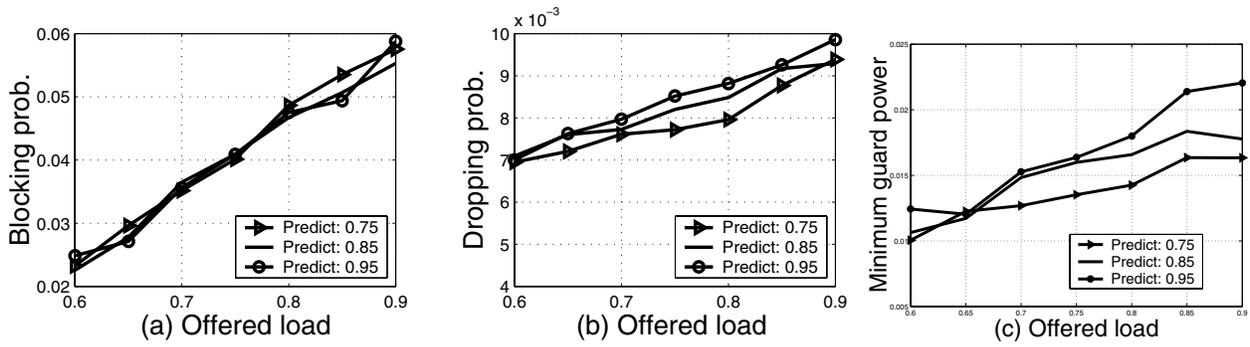


Fig. 6. Probability of new call blocking and handoff call dropping, as well as minimum guard capacity variation at different prediction thresholds

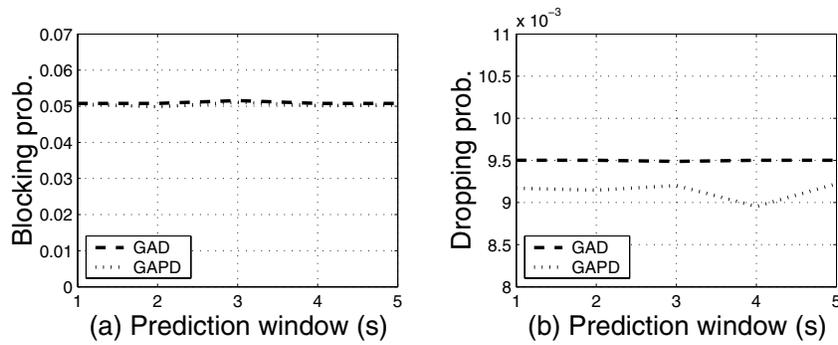


Fig. 7. Probability of new call blocking and handoff call dropping with the variation of prediction window  $W_p$ .

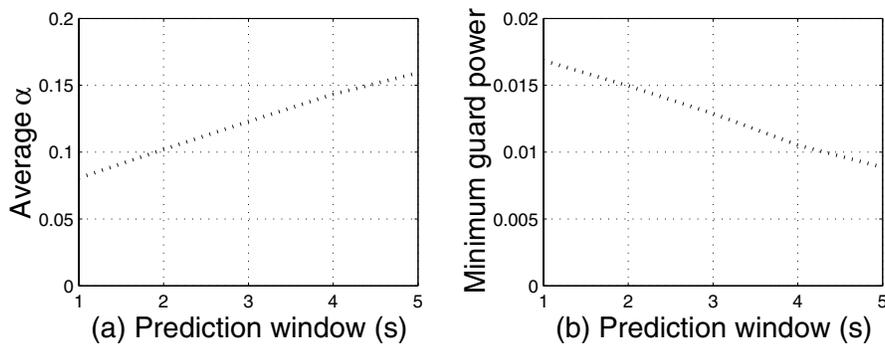


Fig. 8. Average prediction scaling factor  $\alpha$  and minimum guard power fraction with the variation of prediction window  $W_p$ .

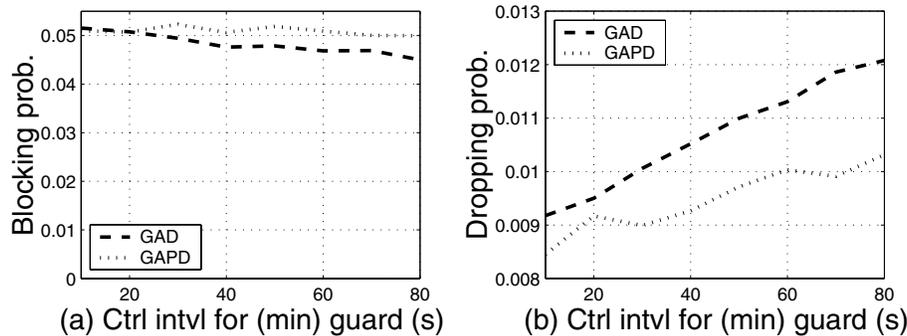


Fig. 9. Probability of new call blocking and handoff call dropping with the variation of long-term control period  $LW_p$ .

the GAPD scheme, there is an additional, frequent adjustment of the guard capacity based on a novel soft handoff prediction mechanism, which aggregates prediction decisions and acts in concert with the pilot power-based handoff detection mechanism to reduce signaling overhead. The emphasis of this work has been to develop simple and robust mechanisms that do not assume knowledge of traffic and mobility patterns, and can work over a wide range of system and control parameters.

In our simulations, we study the performance of the GAD and GAPD schemes, and also a scheme with fixed guard capacity (FG), in which the amount of guard capacity can be tuned offline with optimal parameters for a given set of system parameters and traffic conditions. The performance of FG is comparable with the performance of the GAD and GAPD schemes under the default conditions. However, FG has significantly higher handoff dropping probability (up to 23%) than GAD and GAPD as we vary the ratio of voice and data traffic, and user mobility. GAD and GAPD are both able to maintain the handoff dropping rate below the target value over a wide range of traffic, system and control parameters, with only small effects on the blocking rate of new calls. However GAPD performs significantly better than GAD under certain conditions, because its predictive control allows it to respond more quickly, and its dual control can compensate for prediction errors more effectively. GAPD is better able to control the handoff dropping rate under dynamic traffic conditions traffic), (e.g., due to bursty data traffic), and is also more robust to a wide range of control parameter values.

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