

# PERFORMANCE OF 4-STATE MDPSK TRELLIS CODES IN SHADOWED FADING MOBILE COMMUNICATION CHANNELS

Eman Fahmi, Shawki Shaaban and Hassan Kheirallah

Department of Electrical Engineering, Faculty of Engineering,  
Alexandria University, Alexandria, Egypt.

## ABSTRACT

The performance of convolutionally 4-state MDPSK Trellis-Coded Modulation (TCM) codes using a combination of one-bit and two-bit differential detectors and a Viterbi decoder for digital speech transmission over fading channels is determined. In this paper, we present four 4-state MDPSK TCM schemes, the first is a 4-state 4-DPSK trellis code, the second and the third are 4-state 8-DPSK trellis codes with and without parallel paths respectively and the fourth is a 4-state 8-DPSK trellis code without parallel paths and whose code has maximum product of the squared branch distances along the shortest error event path. Digital computer simulation is used to compare the performance of the considered TCM schemes in Rayleigh fading and in different degree of shadowed Rician fading channels. The simulation results show the superiority of the 4-state 8-DPSK trellis code with maximum product of the squared branch distances and without parallel paths for bit error probabilities of  $10^{-3}$  or less.

## 1. INTRODUCTION

Trellis-Coded Modulation (TCM) can be viewed as a combined coding and modulation technique for digital transmission over band-limited channels [1]. The modulation is embedded into the encoding process and is designed in conjunction with a rate  $n/n+1$  convolutional code. Signal waveforms representing information sequences are designed to have large distance in Euclidean signal space.

TCM schemes are originally developed for additive white Gaussian noise AWGN channels [2]. TCM techniques allow the achievement of significant coding gains over conventional uncoded multilevel modulation without compromising bandwidth efficiency [3-4].

The common use of TCM techniques is in order to permit satisfactory operation at lower signal-to-noise ratios.

The performance of 4-state QPSK scheme in Rician fading channel was investigated in [5], while that of the  $\pi/4$ -DQPSK in Rayleigh fading and Gaussian noise was illustrated in [6]. The convolutionally interleaved PSK and DPSK trellis codes have been proposed in [7], for shadowed, fast fading mobile satellite channels.

The mobile radio channel is characterized by multiple signal paths between the transmitter and receiver due

to reflections from buildings, terrain, and other scattering structures. This causes signal fading [8]. The rate at which the signal envelope fades is directly proportional to the speed of the mobile receiver. Analytically, this observation manifests itself as a Doppler frequency shift associated with each component. In this case, the channel is modeled as Rayleigh [9]. Alternatively, the channel is modeled as Rician, when a line-of-sight (LOS) component,  $z_c$  of unity power,  $z_c^2/2 = 1$ , is added to the Rayleigh fading. Shadowed Rician fading model is obtained when the (LOS) component,  $z_k$  is subjected to a lognormal transformation. This transformation represents the effect of foliage attenuation or blockage, also referred to as shadowing [10].

In the following analysis, it is assumed that the receiver performs differential detection and the effect of the fading on the phase of the received signal is fully compensated.

A combination of one-bit and two-bit differential detectors is used at the receiving end to improve the performance of differentially detected TCM.

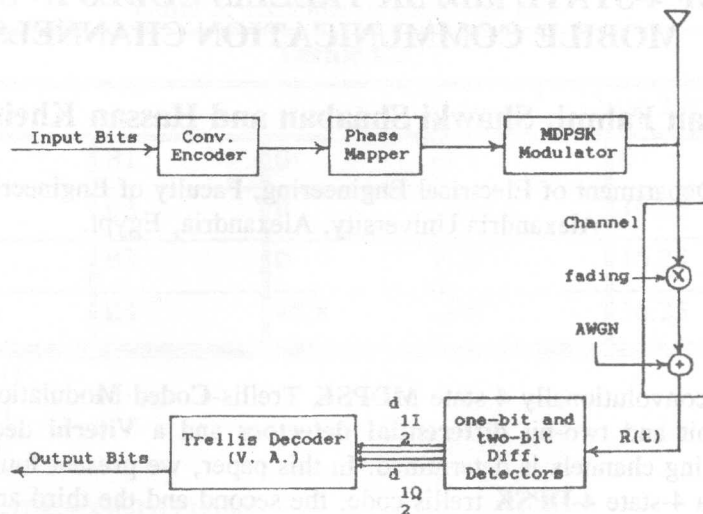


Figure 1. A block diagram of TCM schemes over fading channels.

2. SYSTEM MODEL AND CODE DESIGN:

Figure (1) represents a block diagram of a TCM scheme over mobile fading channels. The input bits are encoded by a convolutional encoder. The transmitter consists of a convolutional encoder, a phase mapper and a MDPSK modulator. In the communication channel, the transmitted signal is faded and corrupted by an AWGN. At the receiver the in-phase and quadrature components of the received signal are demodulated, quantized for soft decision. Using these quantized components, the Viterbi decoder detects the transmitted sequence based on maximum likelihood estimation.

The appropriate criterion for designing good TCM schemes is to maximize the minimum Euclidean distance between any two distinct information sequences of the coded signals.

The phase mapper converts the code binary sequence into M-ary PSK symbols as follows

$$C_k = e^{j\Delta\theta_k} \quad (1)$$

The symbols  $C_k$  are differentially encoded and then modulated. The transmitted signal is given by

$$s_o(t) = \cos(\omega_c t + \theta_k) \quad kT < t \leq (k+1)T \quad (2)$$

where  $\theta_k = \Delta\theta_k \oplus \theta_{k-1} \quad \text{mod } 2\pi$ .

The phase difference  $\Delta\theta_k$  for 4-state 4DPSK can expressed as

$$\Delta\theta_k = \theta_k - \theta_{k-1} = m(k) \pi/2,$$

where  $m(k) = 0, 1, 2, \text{ or } 3$ .

The relevant distances between signals are

$\Delta_1 = \sqrt{2}$ ,  $\Delta_2 = 2$  and  $\Delta_3 = \sqrt{2}$ . The angle no.  $0 \equiv 0^\circ$ ,  $1 \equiv 90^\circ$ ,  $2 \equiv 180^\circ$ ,  $3 \equiv 270^\circ$ . Figure (2) shows the state transition diagram for coded 4PSK modulation with four trellis states.

The 4-state 8PSK schemes employ redundant nonbinary modulation in combination with a finite-state encoder which governs the selection of modulated signals to generate coded signal sequences [11].

The phase difference for 4-state 8DPSK can expressed as

$$\Delta\theta_k = \theta_k - \theta_{k-1} = B(k) \pi/8,$$

where  $B(k) = 1, 3, 5, 7, 9, 11, 13, \text{ or } 15$ .

The relevant distances between signals are  $\Delta_1 = 0$ , the

$\Delta_2 = \sqrt{2}$ ,  $\Delta_3 = 1.848$  and  $\Delta_4 = 2$ . The angle no.  $0 \equiv 15\pi/8$ ,  $1 \equiv \pi/8$ ,  $2 \equiv 3\pi/8, \dots$  The state transition diagram is shown in Figure (2) it contains parallel paths, which imply that single sig

error events can occur. This limits the achievable shortest error event length to one. The trellis branches are labeled with redundant nonbinary modulation signals which have a good Euclidean distance.

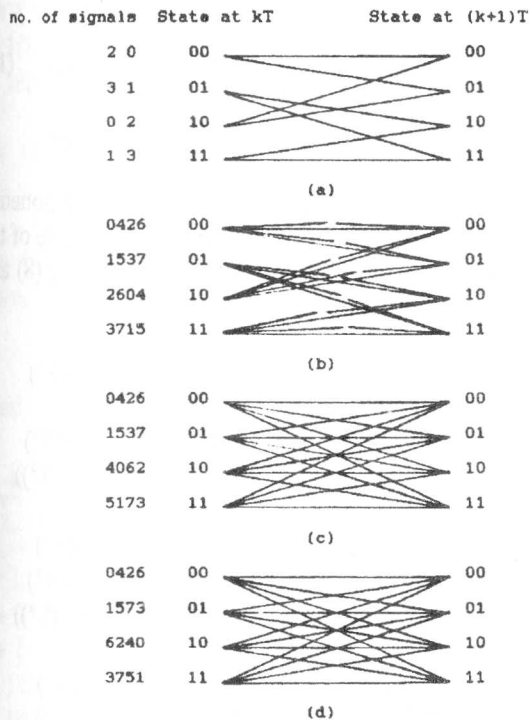


Fig. 2. State transition diagrams.  
 (a) Ungerboeck's 4-state 4PSK trellis diagram.  
 (b) Ungerboeck's 4-state 8PSK trellis diagram.  
 (c) The trellis diagram of a 4-state 8PSK trellis code without parallel paths.  
 (d) The trellis diagram of 4-state 8PSK trellis code without parallel paths for mobile fading channels.

Figure 2. State transition diagrams.

To increase the shortest error event length, parallel paths must be avoided. The trellis diagram of the 4-state 8PSK trellis code without parallel paths is shown in Figure (2-c).

As it is seen, this diagram is fully connected and provides the shortest error event paths of length two.

To design good TCM codes over the fading channels, the shortest error event length, as well as the product of the squared branch distances along that path, should be maximized, as shown in Figure (2-d).

The code of Figure (2-c) has been designed to increase the shortest error event path length. However, its product of the squared branch distances along this

path has not been optimized. In this work, we shall introduce another 4-state trellis codes based on maximizing the product of the squared branch distances. Using set partitioning [1], the signal set of the 8PSK can be partitioned into two subsets  $C_0 = (0, 2, 4, 6)$  and  $C_1 = (1, 3, 5, 7)$  with intraset distances  $\Delta_2$  and  $\Delta_4$ . The "state difference" can be defined as the number of bits in which two states differ. Branches diverging from each state are associated with signals from subsets  $C_0$  or  $C_1$  such that the distance between a pair of branches diverging from one state to two consecutive states with "state differences" two or one, is  $\Delta_2$  or  $\Delta_4$ , respectively. The signals with distances  $\Delta_3$  are associated with branches remerging to a state from two consecutive states with "state difference" of two. The pair of paths remerging to a state from two states with "state difference" of one may be associated with signals with distances  $\Delta_1$  or  $\Delta_3$ . The trellis diagram of the generated code is shown in Figure (2-d).

### 3. RECEIVER PERFORMANCE ANALYSIS AND SIMULATION RESULTS

The received signal is faded and corrupted by an AWGN. To represent the fading model in mathematical terms, that will be used in the computer simulation, computation of normally distributed (Gaussian) random variates is needed [12]. See Appendix A.

The received phasor may be expressed in Rayleigh fading as

$$R_k = [v_k + ju_k] \exp(j\theta_k) + N_k, \quad (5)$$

and in shadowed Rician fading as

$$R_k = [z_k + v_k + ju_k] \exp(j\theta_k) + N_k. \quad (6)$$

where

- $N_k$  is the additive white Gaussian noise (AWGN) with zero mean, and variance  $N_0$ ,
- $\theta_k$  is the transmitted phase angle,
- $v_k$  and  $u_k$  are the Rayleigh multipath components, they are independent and Gaussian [13], with zero mean and variance  $b_0$ , and
- $z_k$  is the lognormal, LOS component of the fading process, with mean  $\mu_0$  and variance  $d_0$ .

The received signal is differentially demodulated. The detection process is performed to estimate the transmitted signal from the faded received symbol. Bit errors are then counted to obtain an estimate of the bit error rate performance for a given value of  $E_b/N_0$ .

The received signal at the sample  $t = kT$  can be expressed in Rayleigh fading as

$$R(kT) = v(kT) \cos(\omega_c kT + \theta_k) - u(kT) \sin(\omega_c kT + \theta_k) + n_o(kT), \quad (7)$$

and in shadowed Rician fading as

$$R(kT) = z(kT) \cos(\omega_c kT + \theta_k) + v(kT) \cos(\omega_c kT + \theta_k) - u(kT) \sin(\omega_c kT + \theta_k) + n_o(kT), \quad (8)$$

where

$$n_o(kT) = n_c(kT) \cos(\omega_c kT) - n_s(kT) \sin(\omega_c kT) \quad (9)$$

Delaying the signal of eq. (7) by a  $T$  second and shifting the carrier by  $\pm \pi/4$  yields

$$R(kT-T)_{\pm 45^\circ} = v(kT-T) \{ \cos(\omega_c(kT-T) + \theta(kT-T) \pm 45^\circ) \} - u(kT-T) \{ \sin(\omega_c(kT-T) + \theta(kT-T) \pm 45^\circ) \} + n_o(kT-T)_{\pm 45^\circ}. \quad (10)$$

Similarly, for eq. (8)

$$R(kT-T)_{\pm 45^\circ} = z(kT-T) \{ \cos(\omega_c(kT-T) + \theta(kT-T) \pm 45^\circ) \} + v(kT-T) \{ \cos(\omega_c(kT-T) + \theta(kT-T) \pm 45^\circ) \} - u(kT-T) \{ \sin(\omega_c(kT-T) + \theta(kT-T) \pm 45^\circ) \} + n_o(kT-T)_{\pm 45^\circ}, \quad (11)$$

where

$$n_o(kT-T)_{\pm 45^\circ} = n_c(kT-T) \{ \cos(\omega_c(kT-T) \pm 45^\circ) \} - n_s(kT-T) \{ \sin(\omega_c(kT-T) \pm 45^\circ) \}. \quad (12)$$

The outputs from the differential detectors are given by

$$d_{1I}(kT) = LP \{ R(kT) R(kT-T) \}_{+45^\circ}$$

$$d_{1Q}(kT) = LP \{ R(kT) R(kT-T) \}_{-45^\circ}$$

$$d_{2I}(kT) = LP \{ R(kT) R(kT-2T) \}_{+45^\circ}$$

$$d_{2Q}(kT) = LP \{ R(kT) R(kT-2T) \}_{-45^\circ}$$

where  $LP$  denotes taking the lowpass component. Taking the carrier frequency as integer multiple of bit rate, and after some manipulation, using eq. (8) and eq. (11), we get

$$d_{1I}(kT) = \frac{1}{2} z_k z_{k-1} \cos(\theta_k - \theta_{k-1} \mp 45^\circ) + \frac{1}{2} z_k v_{k-1} \cos(\theta_k - \theta_{k-1} \mp 45^\circ) - \frac{1}{2} z_k u_{k-1} \sin(-(\theta_k - \theta_{k-1} \mp 45^\circ)) + \frac{1}{2} v_k z_{k-1} \cos(\theta_k - \theta_{k-1} \mp 45^\circ) + \frac{1}{2} v_k v_{k-1} \cos(\theta_k - \theta_{k-1} \mp 45^\circ) - \frac{1}{2} v_k u_{k-1} \sin(-(\theta_k - \theta_{k-1} \mp 45^\circ)) - \frac{1}{2} u_k z_{k-1} \sin(\theta_k - \theta_{k-1} \mp 45^\circ) - \frac{1}{2} u_k v_{k-1} \sin(\theta_k - \theta_{k-1} \mp 45^\circ) + \frac{1}{2} u_k u_{k-1} \cos(\theta_k - \theta_{k-1} \mp 45^\circ) + \sum_{L=1}^4 \{ n_L(kT) n'_L(kT-T) \}_{\pm 45^\circ}, \quad (14a)$$

$$d_{2I}(kT) = \frac{1}{2} z_k z_{k-2} \cos(\theta_k - \theta_{k-2} \mp 45^\circ) + \frac{1}{2} z_k v_{k-2} \cos(\theta_k - \theta_{k-2} \mp 45^\circ) - \frac{1}{2} z_k u_{k-2} \sin(-(\theta_k - \theta_{k-2} \mp 45^\circ)) + \frac{1}{2} v_k z_{k-2} \cos(\theta_k - \theta_{k-2} \mp 45^\circ) + \frac{1}{2} v_k v_{k-2} \cos(\theta_k - \theta_{k-2} \mp 45^\circ) - \frac{1}{2} v_k u_{k-2} \sin(-(\theta_k - \theta_{k-2} \mp 45^\circ)) - \frac{1}{2} u_k z_{k-2} \sin(\theta_k - \theta_{k-2} \mp 45^\circ) - \frac{1}{2} u_k v_{k-2} \sin(\theta_k - \theta_{k-2} \mp 45^\circ) + \frac{1}{2} u_k u_{k-2} \cos(\theta_k - \theta_{k-2} \mp 45^\circ) + \sum_{L=1}^4 \{ n_L(kT) n'_L(kT-2T) \}_{\pm 45^\circ}, \quad (14b)$$

where

$$\sum_{L=1}^4 \{n_L(kT) n'_L(kT-2T)\}_{\pm 45^\circ} = [1/2 z_k \cos(\pm 45^\circ - \theta_k) + 1/2 v_k \cos(\pm 45^\circ - \theta_k) + 1/2 u_k \sin(\pm 45^\circ - \theta_k) + 1/2 n_{ck} \cos(\pm 45^\circ) + 1/2 n_{sk} \sin(\pm 45^\circ)] n_{c \ k-1} + [-1/2 z_k \sin(\pm 45^\circ - \theta_k) - 1/2 v_k \sin(\pm 45^\circ - \theta_k) + 1/2 u_k \cos(\pm 45^\circ - \theta_k) - 1/2 n_{ck} \sin(\pm 45^\circ) + 1/2 n_{sk} \cos(\pm 45^\circ)] n_{s \ k-1} + 1/2 n_{c \ k} [z_{k-1} \cos(-\theta_{k-1} - (\pm 45^\circ)) + v_{k-1} \cos(-\theta_{k-1} - (\pm 45^\circ)) + u_{k-1} \sin(-\theta_{k-1} - (\pm 45^\circ))] + 1/2 n_{s \ k} [z_{k-1} \sin(-\theta_{k-1} - (\pm 45^\circ)) + v_{k-1} \sin(-\theta_{k-1} - (\pm 45^\circ)) + u_{k-1} \cos(-\theta_{k-1} - (\pm 45^\circ))] \quad (15)$$

and

$$\sum_{L=1}^4 \{n_L(kT) n'_L(kT-2T)\}_{\pm 45^\circ} = [1/2 z_k \cos(\pm 45^\circ - \theta_k) + 1/2 v_k \cos(\pm 45^\circ - \theta_k) + 1/2 u_k \sin(\pm 45^\circ - \theta_k) + 1/2 n_{ck} \cos(\pm 45^\circ) + 1/2 n_{sk} \sin(\pm 45^\circ)] n_{c \ k-2} + [-1/2 z_k \sin(\pm 45^\circ - \theta_k) - 1/2 v_k \sin(\pm 45^\circ - \theta_k) + 1/2 u_k \cos(\pm 45^\circ - \theta_k) - 1/2 n_{ck} \sin(\pm 45^\circ) + 1/2 n_{sk} \cos(\pm 45^\circ)] n_{s \ k-2} + 1/2 n_{c \ k} [z_{k-2} \cos(-\theta_{k-2} - (\pm 45^\circ)) + v_{k-2} \cos(-\theta_{k-2} - (\pm 45^\circ)) + u_{k-2} \sin(-\theta_{k-2} - (\pm 45^\circ))] + 1/2 n_{s \ k} [z_{k-2} \sin(-\theta_{k-2} - (\pm 45^\circ)) + v_{k-2} \sin(-\theta_{k-2} - (\pm 45^\circ)) + u_{k-2} \cos(-\theta_{k-2} - (\pm 45^\circ))] \quad (16)$$

Similarly, using eq. (7) and eq. (10), we can get  $d_{1I}(kT)$ ,  $d_{1Q}(kT)$ ,  $d_{2I}(kT)$  and  $d_{2Q}(kT)$  in Rayleigh fading channel, or from eq.'s (14-(a,b,c,d)) by putting  $z_k, z_{k-1} = 0$ .

Knowing the quantities  $d_{1I}(kT)$ ,  $d_{1Q}(kT)$ ,  $d_{2I}(kT)$  and  $d_{2Q}(kT)$ , the four state Viterbi decoder finds the trellis path of maximum likelihood by estimating  $\mathbf{m}(k)$  or  $\mathbf{B}(k)$  i.e.  $\Delta\theta_k$ .

## CONCLUSIONS

Figures (3) to (6) illustrate the average bit error probability of the 4-state **4DPSK** scheme and three different 4-state **8DPSK** schemes in **Rayleigh** fading channel and in different **shadowed Rician** fading channels respectively. The normalized fading bandwidth  $f_D T$  is chosen 0.3.

As observed, for error probabilities of  $10^{-3}$ , or less, the 4-state **8DPSK** code with **Maximum** product of the squared branch distances and without parallel paths of Figure (2-d) i.e. 4-S **8DPSK** (2), has better performance than the other schemes.

In light shadowing the coding gain of the 4-state **8DPSK** (2) for bit error probabilities in the area of  $10^{-3}$ , which is important in digital speech transmission, is about 0.4 and 1 dB with respect to the codes shown in Figure (2-b) and (2-c) respectively. For the lower bit error probabilities, both 4-state **8DPSK** (2) and 4-state **8DPSK** (1) codes illustrated in Figure (2-d) and (2-c) respectively, have significantly more coding gain than the 4-state **-Ungerboeck 8DPSK** code of Figure (2-b). However, the performance of the 4-state **8DPSK** (2) code is 2 dB superior to the 4-state **8DPSK** (1) at high SNR's

## APPENDIX A

The normal random variate is generated from a nonlinear transformation of a uniform distribution, and is given by [12]

$$x_{G_k} = 4.91 ((y_k)^{0.14} - (1-y_k)^{0.14}) \quad (17)$$

where

$y_k$  is a random variate, uniformly distributed between 0 and 1.

$x_{G_k}$  is a Gaussian variate with zero mean and unity variance.

To convert this variate to actual mean and variance, the following transformation is required.

$$x_k = \sqrt{d} x_{G_k} + \mu \quad (18)$$

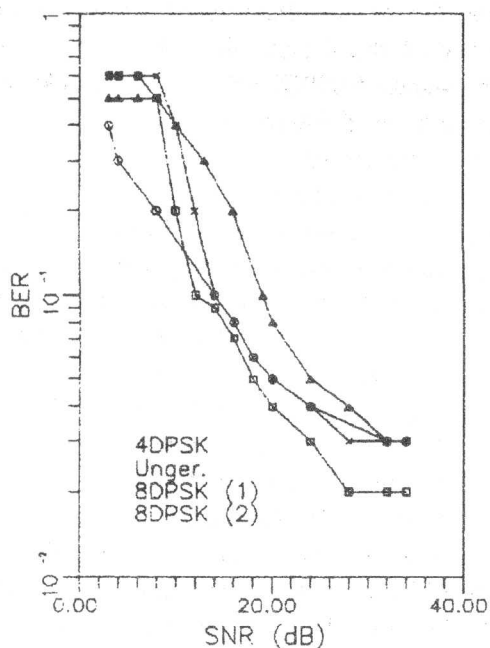


Figure 3. Comparison of the performance of 4-state 4DPSK TCM scheme with three different 4-state 8DPSK TCM schemes in Rayleigh fading channel.

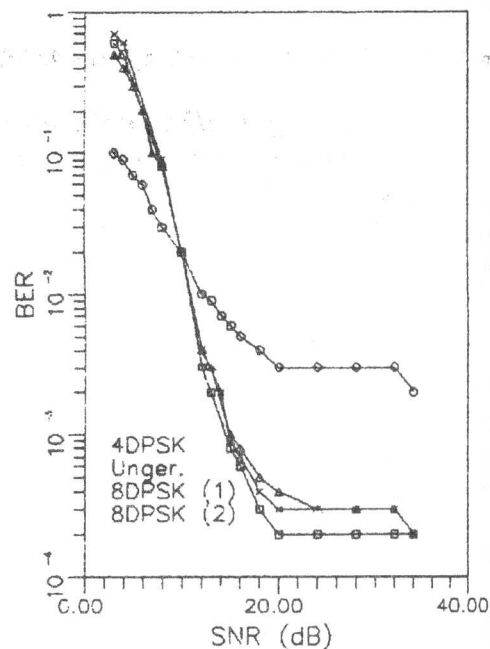


Figure 5. Comparison of the performance of 4-state 4DPSK TCM scheme with three different 4-state 8DPSK TCM schemes in average shadowing Rician fading channel.

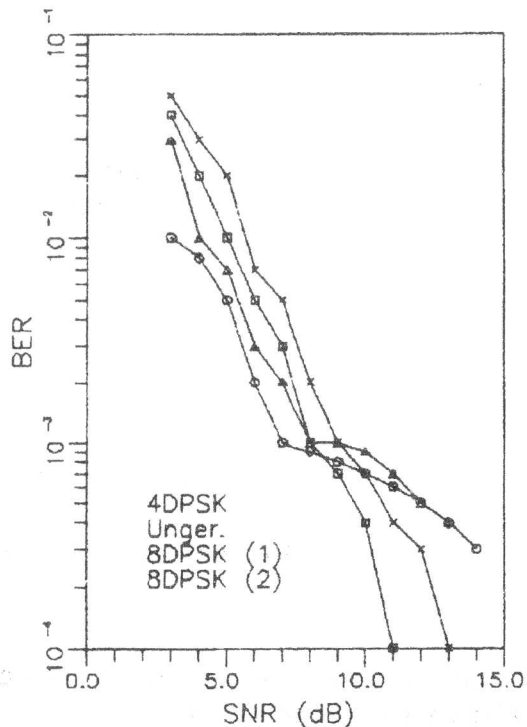


Figure 4. Comparison of the performance of 4-state 4DPSK TCM scheme with three different 4-state 8DPSK TCM schemes in light shadowing Rician fading channel.

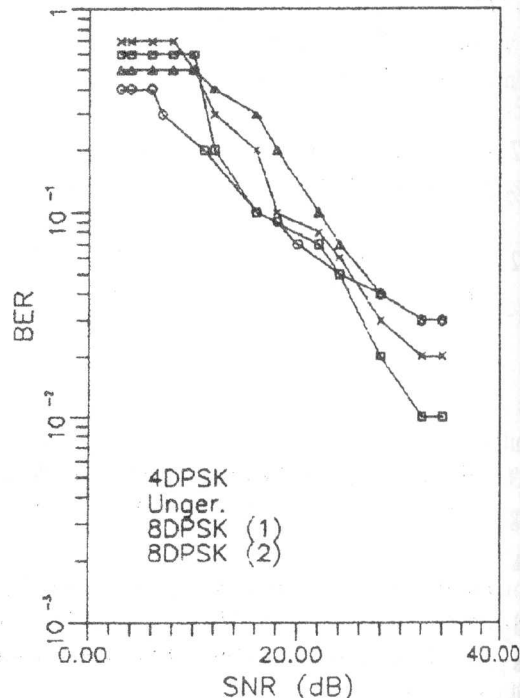


Figure 6. Comparison of the performance of 4-state 4DPSK TCM scheme with three different 4-state 8DPSK TCM schemes in heavy shadowing Rician fading channel.

where  $\mu$  and  $d$  are the mean and variance, respectively. In the digital computer simulation program the fading model is multiplied by the generated symbols and zero mean, white Gaussian noise is then added to the faded signals. To simulate the channel, several sets of tones were generated: two sets of zero mean and variance  $N_0$  for the additive white Gaussian noise components,  $n_{ck}$  and  $n_{sk}$ ; two sets of zero mean and variance  $b_0$  for the two independent Rayleigh multipath components  $v_k$  and  $u_k$ ,

where

$$v_k = A_k \cos(2\pi (f_D + (\Delta f)_k) kT),$$

$$u_k = A_k \sin(2\pi (f_D + (\Delta f)_k) kT), \quad (19)$$

and  $b_0 = \sum_{k=1}^K A_k^2 / K$ ,  $K$  is the number of sinusoids.

A lognormal line-of-sight (LOS) component,  $z_k$  is added to the Rayleigh fading for shadowed Rician fading model, then, we generate one tone of mean  $\mu_0$  and variance  $d_0$ .

$$z_k = \exp(x_k)$$

$$= \exp(\sqrt{d_0} x_{G_k} + \mu_0), \quad (20)$$

$x_{G_k}$  is the Gaussian variate of eq. (17).

The parameters  $b_0$ ,  $\mu_0$ , and  $d_0$  determine the degree of shadowing. Channel model parameters used in the simulation are given in Table I.

Table I. Channel model parameters.

	Light shadowing	Average shadowing	Heavy shadowing
$d_0$	0.01323	0.02592	0.64964
$\mu_0$	0.115	-0.115	-3.91
$b_0$	0.158	0.126	0.0631

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