

Access Control, code allocation, and adaptive scheduling for UMTS TDD

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Abstract—In the UMTS-TDD (Universal Mobile Telecommunications System - Time Division Duplex), the resource allocation and the Quality Of Service are provided by the RRM (Radio Resource Management). In this paper, methods to provide resources to Real Time (RT) application and Non Real Time application in the downlink are proposed.

The RT applications are usually carried on Dedicated Channel (DCH) but in certain conditions they are allowed to use DSCH (Downlink Shared Channel) and NRT applications are carried only on the DSCH. Several algorithms are compared to specify which resources are allocated to a DCH. All the algorithms check that the power threshold is not reached in any slot. For the NRT applications, an adaptive scheduling developed by Liu is adapted to the system. The algorithm selected packets with respect to the channel state but by a credit system the scheduling is fair. Selected packets are carried by a DSCH. But a DSCH is allowed to be used only if its use does not disturb the transport of the RT applications. The CAC is not applied to the NRT applications.

Keywords—UMTS, TDD, CAC, scheduling, fairness, DCH, DSCH

I. INTRODUCTION

UMTS TDD systems are intended to provide global mobility and wide range of applications with different QoS for multimedia communication. Those applications could be divided in two categories: Real Time (RT) applications, with a guaranteed bit rate and hard requirements on delays (voice, video), and Non Real Time (NRT) applications, with a non guaranteed bit rate, and soft requirements on delays (web browsing, file transfer). The RRM part is in charge of policing the usage of radio resources in order to satisfy the various QoS requirements. Related works [1] [2] [3] propose various Call Admission Control (CAC) strategies to allocate resources (OVSF codes to be used on time slots) but only in the case of RT (Real Time) applications. In this work, a suitable scheme for mixed application (RT and NRT) is proposed. The RT applications are handled by a CAC that allocates radio resources based on a minimum power allocation strategy, in order to keep the Node-B transmitting power as well as the power fluctuation from time slot to time slot at the minimum. The remaining resources are used by the scheduler to run out the backlogged NRT application with respect to QoS constraints and fairness rules.

The novelty of this scheme consists, for the CAC part, in joint minimum-power channel allocation strategy to determine precisely the judicious place to allocate resources for RT and NRT application among slots. For the scheduler, it resides in exploiting two constraints: first take into account the presence of RT applications to determine the available capacity, second take into account the radio link quality in order to reduce the transmission error rate. In the presence of mixed applications, NRT application cannot be scheduled freely in the remaining radio resources because it could break the rules used for CAC. The scheduler has to be aware of the constraints on each time slot in a frame in order to determine the subset of radio resources eligible for soft constrained application. The scheduler has also to

take also into account the radio channel state to avoid transmitting under unfavorable conditions. This feature is called adaptive scheduling. This adaptive method may lead to favor only the flows of terminals that are under favorable radio conditions. To mitigate this effect, a fairness rule is introduced. This rule takes into account the relative priorities of the various flows. As a consequence a joint strategy between the physical layer and the MAC layer to allocate resources for RT and NRT applications may improve significantly the performance. This combined approach holds account of a uniform distribution of the transmitted power in downlink on different slots and adopts a scheduling based on channel state knowledge at the transmitter and applies a fairness rule enforcing the priorities indicated by QoS.

This article is organized as follows: Part II presents the notion of resource and the Transport Channel architecture. Part III describes the RRM CAC minimum power based algorithm that allocates the resource to a user. Part IV covers the adaptive scheduling over wireless channels with a statistical fairness rule. Part V presents the simulation model based on Eurecom UMTS/TDD platform [10]. Part VI presents simulations and results and part VII concludes.

II. ARCHITECTURE

A. Resource

In this document a resource is an orthogonal code at a given slot that carries user data. A resource could be also called a physical channel. At a given TTI (Transmission Time Interval, 10 ms), a resource could be used by only one user.

B. TRCH: Dedicated Channel or Downlink Shared Channel

A service is transported on a Transport Channel (TRCH). Transport channels are the services offered by layer 1 to the higher layers. A transport channel is defined by how and with what characteristics data is transferred over the air interface. TRCH include the Block Size, the type of error-correcting code, the rate of the error-correcting code, the CRC size (Cyclic Redundancy Check, for error detection) and the maximum puncturing rate. Two types of TRCH are usually used for sending data in the downlink: The Dedicated Channel (DCH) and the Downlink Shared Channel (DSCH).

DCH are TRCH that are used to carry user or control information between the Radio Access Network and a User Equipment (UE). A DCH is created at the start of the service. A DCH is mapped onto one or more physical channels. The set of the physical channels allocated to a DCH is indicated in the CCTRCH (coded composite transport channel). The physical channels of a DCH are reserved to this DCH during all the time of the service. RT applications are usually transported on DCH, because they are able to provide a guaranteed rate. The NRT applications are not transported on DCH.

The number of physical channels of a DCH will be computed according to the resource required by the RT service.

DSCH are TRCH time shared by several UE (User Equipment) carrying dedicated control or traffic data. Within a frame, only one UE is allowed to use a DSCH, but the UE can change at every frame. A DSCH is configured during the Base Station initialization. The number of physical channels of a DSCH is variable. The list of the DSCH and the configuration of the DSCH are indicated to each UE at its initialization. In this document, all the DSCH have three physical channels. The UE of a TRCH is indicated in the TFCI field, in the first physical channel of the DSCH. NRT applications are transported on DSCH. If no more resource for DCH is available, RT application could be transported on DSCH.

Figure 1 is an example of the resource repartition among DCH and DSCH. The columns represents the slots, and the rows the orthogonal codes. Nine slots are reserved for the transport of data on downlink (a frame has 15 slots, 3 are used for the signalisation, BCH, FACH and RACH, and three for the data transport in uplink. Those slots are not represented in the figure). The Spreading Factor

OVSF 15	DSCH 21	DSCH 21	DSCH 21	DSCH 22	DSCH 22	DSCH 22	DSCH 23	DSCH 23	DSCH 23
OVSF 14	DSCH 18	DSCH 18	DSCH 18	DSCH 19	DSCH 19	DSCH 19	DSCH 20	DSCH 20	DSCH 20
OVSF 13	DSCH 1	DSCH 3	DSCH 5	DSCH 7	DSCH 9	DSCH 11	DSCH 13	DSCH 15	DSCH 17
OVSF 12	DSCH 1	DSCH 3	DSCH 5	DSCH 7	DSCH 9	DSCH 11	DSCH 13	DSCH 15	DSCH 17
OVSF 11	DSCH 1	DSCH 3	DSCH 5	DSCH 7	DSCH 9	DSCH 11	DSCH 13	DSCH 15	DSCH 17
OVSF 10	DSCH 0	DSCH 2	DSCH 4	DSCH 6	DSCH 8	DSCH 10	DSCH 12	DSCH 14	DSCH 16
OVSF 9	DSCH 0	DSCH 2	DSCH 4	DSCH 6	DSCH 8	DSCH 10	DSCH 12	DSCH 14	DSCH 16
OVSF 8	DSCH 0	DSCH 2	DSCH 4	DSCH 6	DSCH 8	DSCH 10	DSCH 12	DSCH 14	DSCH 16
OVSF 7	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 6	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 5	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 4	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 3	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 2	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 1	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
OVSF 0	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH	DCH
	Slot 0	Slot 1	Slot 2	Slot 3	Slot 4	Slot 5	Slot 6	Slot 7	Slot 8

Fig. 1. Repartition of resource among DCH and DSCH

is set to 16, so 16 OVSF code are available per slot. The first 8 resources of each slot are reserved for the DCH. When a DCH is configured, at the start of an RT application, the resources that it occupies are removed from the list of the free DCH resources. The DSCH are configured at the Base Station initialization. Packets are selected from queues and transported by DSCHs according to the scheduling policy.

III. RRM POWER-BASED STRATEGY FOR CHANNEL ALLOCATION

The resource allocation in downlink has two main parts: first the Access Control and the resource allocation of the RT services, then the scheduling and the transport of the NRT packets. The resource allocation in downlink has two main parts: first the Access Control and the resource allocation of the RT services, then the scheduling and the transport of the NRT packets. The figure 2 shows those steps. First, it is tried to allocate the RT services on DCH. If it is not possible, it is tried to allocate them resources normally reserved to the DSCH. If it is not possible, the RT service is rejected. When all the new RT services are accepted or rejected, NRT packets are transported on DSCH.

A. Access control and Resource allocation for RT services

On the downlink, the transmitted power is a critical resource parameter. Indeed, previous works [5] [6] proposed various RRM CAC policies that accept a user only if the new service requires an additional power such that the Base Station maximum power is not exceeded. In this paper, the CAC is combined to the resource allocation.

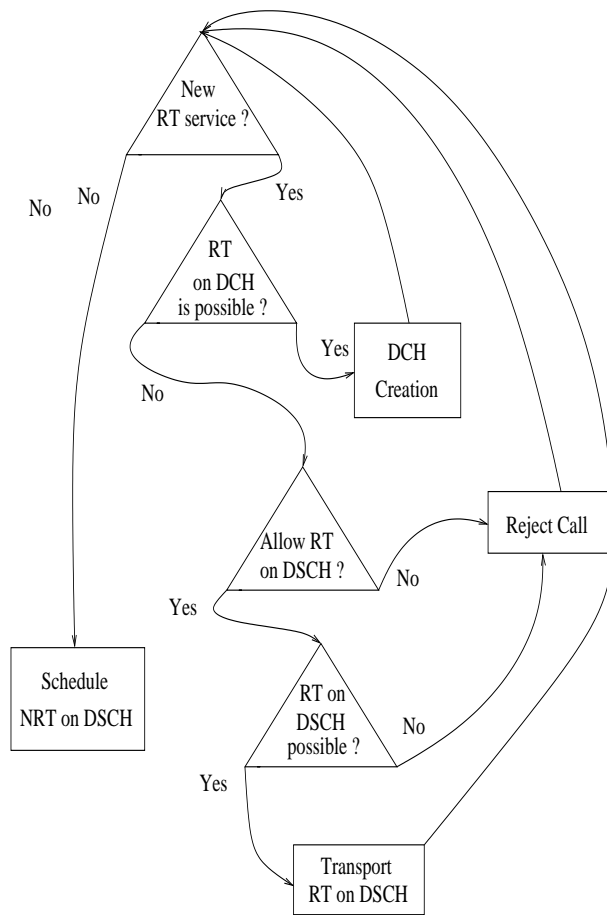


Fig. 2. Steps for resource allocation and scheduling

For the DCH resource allocation, a Power Based algorithm is compared to a Sequential Algorithm. The common first step of those algorithms is to compute the number of required resources for the new service.

Then the algorithms looks in the set of the free resources for the number of required resources. The selected combination must not make the power exceed the threshold in any slot.

Sequential algorithm: This algorithm allocates to a user its required resources, columnwise (figure 3). It starts to take resources in the first slot, and goes to the next slot, only if the use of a new resource makes exceed the power threshold, or if there is not any free resources in this slot.

Power Based algorithm: The sum of the power by slot is computed, and the results are sorted (Figure 4). A resource is taken from the slot that has the lowest power and that has a free resource. Then, the sum of the powers by slot is updated and a new resource is taken until the number of required resources are allocated.

If it is not possible to found enough resource to create the DCH, then it could be possible, under certain conditions, to transport the RT applications on DSCH. The conditions could be to have a reject call rate below a fixed rate or depending on the priority of the new call. The algorithm has the following steps (In the configuration used for this algorithm, a DSCH can transport one and only one transport block):

On the DSCH list:

- If a DSCH is free (a DSCH is free if it is not yet allocated to an RT service), and if its utilization do not make the power of

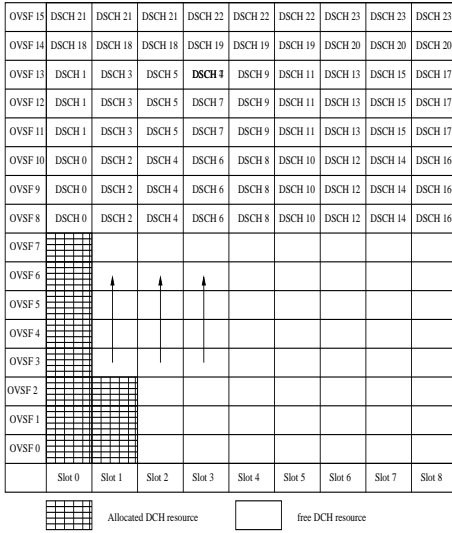


Fig. 3. Sequential algorithm

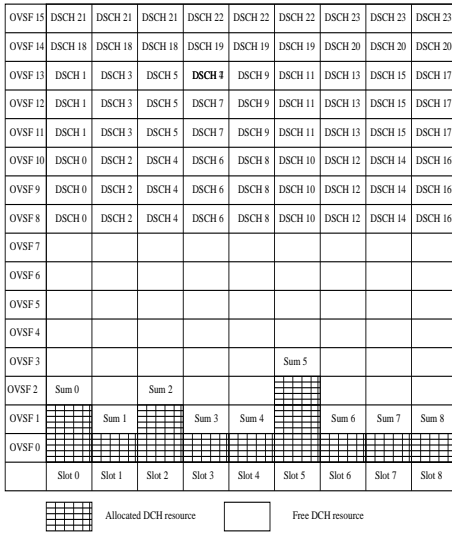


Fig. 4. Power Based algorithm

any of its slots exceed the threshold (a DSCH could be on several slots), then this DSCH is allocated to the new RT service. - It goes on until the number of allocated DSCH is equal to the number of blocks required by this service (calculated from the block size and the guaranteed bit rate) - Temporarily remove the allocated DSCH from the available DSCH list. If no DSCH combination could be found, the call is rejected. Note this method does not allow the same granularity as the DCH allocation. For example, for a service 96 kbit/s, with a block size of 320 bits (data field), a convolutional code 1/2 and a puncturing limit of 0.9, a DCH will use 7 resources, while the uses of 3 DSCH will use 9 resources.

When all the new RT services have been accepted or rejected, the NRT services are transported on DSCH. In the next paragraph, we will examine an adaptive scheduling algorithm, developed by Liu in [9], that we apply to the DSCH of the UMTS-TDD.

IV. ADAPTIVE SCHEDULING OVER WIRELESS CHANNEL

There is no access control for the NRT services. The blocks of a service are put in a queue at the Radio Link Control layer. A scheduler will direct the blocks to the DSCH. At each TTI, before the use of a DSCH by a NRT application, the CAC controls among the slots of this DSCH, if using this DSCH does not make

the power exceed the threshold on the slots. This control takes into account the presence of the RT services. Thus, the NRT traffic does not disturb the RT traffic.

Wireless channels are subject to several propagation effects such as reflections, diffractions and scattering which cause time varying characteristics like bursty channel errors, location dependent errors. Consequently, the scheduler needs to know the channel state in order to optimize service scheduling and to give the transmission right to users with favorable channel conditions. In this scheme, the scheduler infers the channel state from the measurement reports sent by the mobiles, relying on the reciprocity of the channel due to TDD operations.

To allocate the available DSCH, we can adopt different approaches. Many works choose to maximize users rate according to the channel condition in a selfish manner [7]. Unfortunately these approaches could be prejudicial to the users facing unfavorable radio conditions and therefore would never get access to the channel. For this reason, we have to consider some fairness rules to guarantee the access for all users. [9] proposes an interesting approach which combines an adaptive scheduling based on the channel state and one statistical fairness rule to share access to the channel. In our approach, we follow this method to schedule NRT flows and choose to balance the choice of the flow to be served between channel state and fair channel access according to UMTS QoS priorities. The scheduling algorithm selects flows according to the equation developed in [9]:

$$f_{p+1} = \underset{i \in B(p)}{\operatorname{argmin}} \frac{L_i(p) - K_i(p) + U_i(p)}{\phi_i} \quad (1)$$

Where $f_{p+1}(p)$ is the selected flow at time $p+1$, $B(p)$ is the set of backlogged flows at time p , $L_i(p)$ is the Head Of Line (HOL) packet length of flow i , $K_i(p)$ is the flow associated credit updated according to the Credit Based Fair queuing approach [8], ϕ_i is the weight of flow i given by the QoS priorities and $U_i(p)$ is the cost function at time p . In the implementation of this adaptive scheduling algorithm, the cost function U_i and channel state E_i are related by:

$$U_i = -\beta \log(1 - E_i) \quad (2)$$

Transmission to a user is delayed when he is facing unfavorable radio conditions and has a low credit. During the time when transmission is delayed, his credit is increased. When his credit is high, he is served even if the channel conditions are unfavorable.

By varying the β value of the cost function in equation (2), the importance of the channel state in the service selection algorithm will change. Note that, with $\beta = 0$, the scheduling considers only the weight of the services, and not the channel state.

The quality of the fairness could be measured by:

$$\frac{\left(\sum \frac{x_i}{\phi_i}\right)^2}{n * \sum \left(\frac{x_i}{\phi_i}\right)^2} \quad (3)$$

Where ϕ_i is the weight of the user, x_i is the proportion of traffic given to user i , and n is the number of users. When this ratio is close to 1, the scheduling is fair.

When all the users have the same priority, the formula becomes:

$$\frac{\left(\sum x_i\right)^2}{n * \sum x_i^2} \quad (4)$$

That is the Jain's fairness index [11].

V. SIMULATION MODEL

Experiments have been performed on the UMTS Eurecom platform. This platform, which is compliant with the 3GPP specification, offers a Radio Access Network divided into the following layers: RLC (Radio Link Control), MAC (Medium Access Control) and Physical Layer. The RLC receives packets (SDU, Service Data Unit), from the upper layer. It segments them into PDU (Protocol Data Unit) of size 336 bits (320 bits for the data field, and 16 bits for the header). The MAC layer asks for a number of PDU from the RLC according to the results of the scheduling. The physical layer is in charge of error correction and detection. The rate 1/2 convolutional code of is used.

The resources are configured as in figure 1. Half the resources are reserved to the DCH, and there are 24 DSCH of 3 resources each. Those DSCH could carry one PDU (Hence an instantaneous rate of 32 kbit/s). There is no limit to the number of DSCH that a user can listen to in a frame. 10 NRT services are set. To evaluate the quality of the fairness rules, the RLC queues of the NRT services are considered full. The DCH is configured at the initialization of the service, after the authorization of the Access Control. A DCh takes resource with respect to the service requirements among the free resources reserved to the DCH. The rate of each the RT services is 96 kbit/s. In this configuration, the DCH of a RT service uses 7 resources. The arrival law of the RT applications and the duration of the services have a Poisson law of rate respectively $\lambda = 0.066$ and $\mu = 0.0066$ (respective average times of 15 and 150 seconds).

The following channel model (figure 5) is used: a 10 state Markov chain, from the state 0, channel with few error, to state 9, channel of bad quality. The channel state can increase or decrease with increment 1 with a probability of 1/3, and stay at the same state with a probability of 1/3 (It remains in state 0 with a probability of 2/3, and it goes from the state 9 to the state 8 with a probability of 2/3). The state 0 has an Eb/N0 of 3.3 dB, and the state 9 of 1.5 dB. The step between two states is of 0.2 dB.

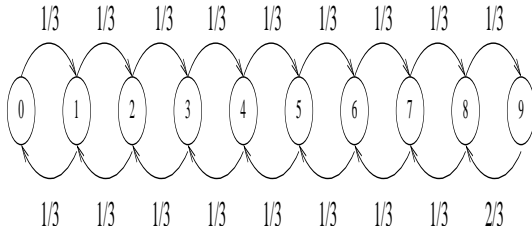


Fig. 5. Modèle du canal

The cost function (2) becomes here:

$$U_i = -\beta \log\left(1 - \frac{1}{S_i}\right) \quad (5)$$

where S_i is the number of the current state. The value of maximum power by slot is normalized to 1.

VI. SIMULATIONS AND RESULTS

A. CAC and DCH allocation

First, the behavior of the DCH allocation algorithm will be studied. Their performance will be compared in terms of power balance, Reject Call Probability (RCP) of the RT traffic, and number of NRT packet transported on the DSCH. In a second step, the trade off (choice of β) is analyzed between the adaptive scheduling and the fairness rule and the effect on the radio channel efficiency is quantified.

Figure 6 shows the average normalized power on each slots with respect to the allocation algorithm. The sequential algorithm has

an unbalanced power repartition. The slots on the lefts, the ones used first, have a higher power average than the one on the right, what are used only if there are a large number of simultaneous RT applications. On the contrary, the power based algorithm has a balanced power.

The CDF confirms the sequential algorithm as an important deviation in its power distribution when the power based as a distribution more centralized on the average. As the probability to have unused slots is of 8%, the CDF of the sequential algorithm is not null in zero.

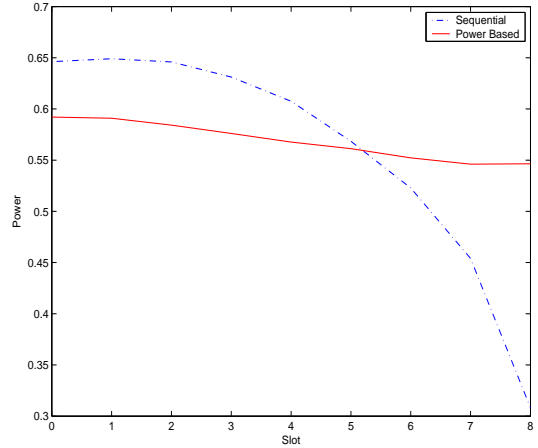


Fig. 6. Average power by slot with respect to the allocation algorithm

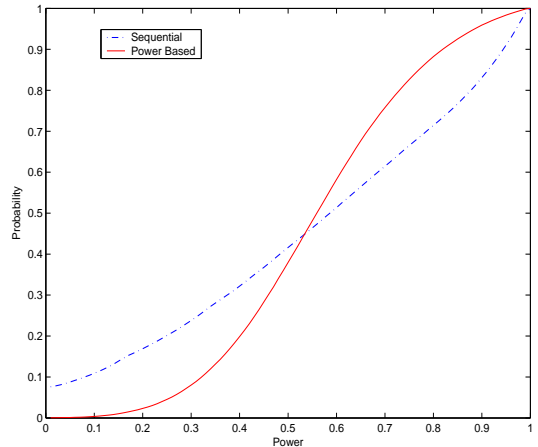


Fig. 7. CDF of the power of the slots

Table 1 shows the effects of the power repartition. The Reject Call Probability (RCP) is calculated by:

$$RCP = \frac{rc}{nc} \quad (6)$$

Where rc is the number of rejected call, and nc is the total number of call. The DSCH load is calculated by:

$$DSCHLoad = \frac{Numblock}{nDSCH * nTTI} \quad (7)$$

Where Numblock is the total number of Transport Block of NRT applications transported, nDSCH is the number of DSCH in the frame configuration, and nTTI is the number of TTI of the experience.

The reject call rate of the power based algorithms is better than the one of the sequential algorithm. It is due to more balanced powers among slots. With the sequential algorithm, slots could

	RCP	DSCH Load
Sequential	$1.37 * 10^{-1}$	0.418
Power Based	$1.31 * 10^{-1}$	0.424

Tab. 1. Effects of the power repartition

use all their resources and still have a total power lower than the maximum allowed total power, while other slots could have reached the thresholds, but with using only few resources. As a consequence the unused resources are not available. This scenario is less likely with the power based algorithm.

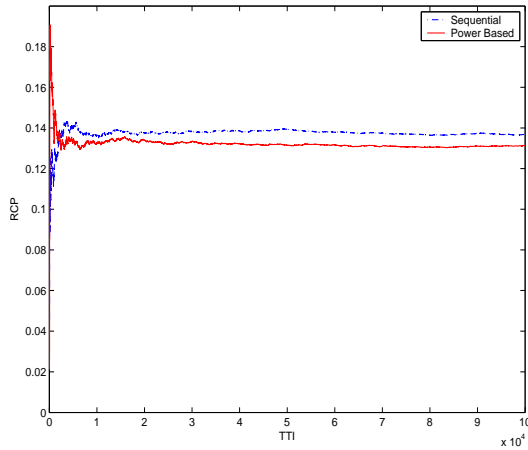


Fig. 8. Rejected Call Probability for RT traffic

Now, the target of having less than 10 % rejected calls for the RT application is given. RT applications are allowed to use the DSCH resources, when the rejected call rate is higher than 0.1. With the arrival and the service law used, the two algorithms achieve this goal (Table 2). But, when the Sequential algorithm is used, the scheduling algorithm allows to use only 38.2% of the DSCH, while it allows to use 39.6% of the DSCH with the Power Based algorithm.

	RCP	DSCH Load
Sequential	10^{-1}	0.382
Power Based	10^{-1}	0.396

Tab. 2. Effects of the power repartition, treshold of rejected call: 3%

If the condition to allow the use of DSCH by the RT applications is to have less than 3% rejected calls for the RT application, the rejected call rate stays above than this level, as shown in table 3. The resources are not sufficient with respect to the arrival and service law. The condition to transport RT application on DSCH must be chosen carefully if the respect of the condition is an important aspect of the required behavior.

	RCP	DSCH Load
Sequential	$6.07 * 10^{-2}$	0.346
Power Based	$5.70 * 10^{-2}$	0.355

Tab. 3. Effects of the power repartition, treshold of rejected call: 3%

B. Scheduling

Now, the behavior of the scheduling is analyzed. 10 NRT services with various radio channel qualities sharing the DSCH resources have been considered. A DSCH is used only if the

additional power induced by the DSCH utilization does not exceed the power threshold limit.

The 10 services are supposed to have different weights. The first 5 have a weight of 0.081, the next 3 have a weight of 0.108, and the last 2 have a weight of 0.135 (the sum of all the weights is 1). But, the scheduling also takes into account the channel state. Thus, a user with a favorable channel will be preferred with respect to a user with an unfavorable one. The objective is to increase the link reliability. By varying the value β of the cost function in equation (2), the importance of the channel state in the service selection algorithm will change. Note that, with $\beta = 0$, the scheduling considers only the weight of the services, and not the channel state. The objective is to assess the performance of the scheduling scheme in terms of BLER while maintaining an acceptable degree of fairness.

Table 4 indicates the average BLER corresponding to PDU Error Rate for a simulation period of 20s for NRT services with respect to β . For all β values, the BLER figures given in table 4 are in line with the recommendation of 3GPP specification [12]. The best value is obtained for $\beta = 100\ 000$.

β	Block Error Rate
0	$7.9 * 10^{-2}$
10 000	$5.8 * 10^{-2}$
100 000	$2.1 * 10^{-2}$

Tab. 4. Block Error Rate

Figures 9-11 show the behavior of the scheduler with respect to β . The solid line shows the evolution of the channel state during the simulation time. The bars indicate the number of PDUs served for a given user with respect to the TTI. In figure 9, for ($\beta = 0$), the scheduling behavior is similar to a weighted round robin: DSCH are regularly allocated to the service. In figure 10, ($\beta = 10\ 000$),

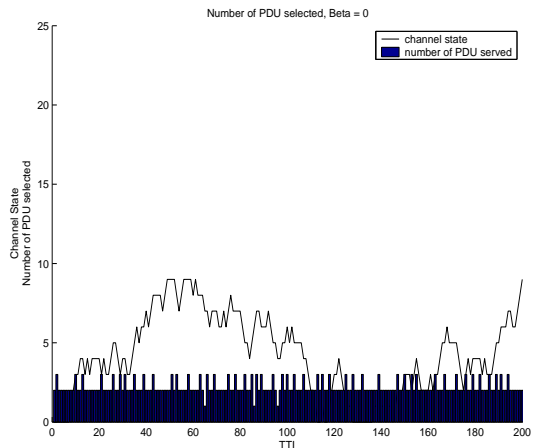


Fig. 9. $\beta = 0$

we observe that the service is irregularly served. When the channel conditions are bad, the service could be not served for a short time. However as soon as the channel conditions become little better, the service is allowed to send packets. When the channel of the user is good for a long time, the behavior becomes close to a weighted round robin. In figure 11, ($\beta = 100\ 000$), the scheduling strongly follows the channel state. There is an important variation in the way a service is treated over time. When the channel conditions are bad, the application is not served for a long time, but when the channel condition becomes better, the service receives a large amount of PDUs (close to the maximum that could be allowed in a frame).

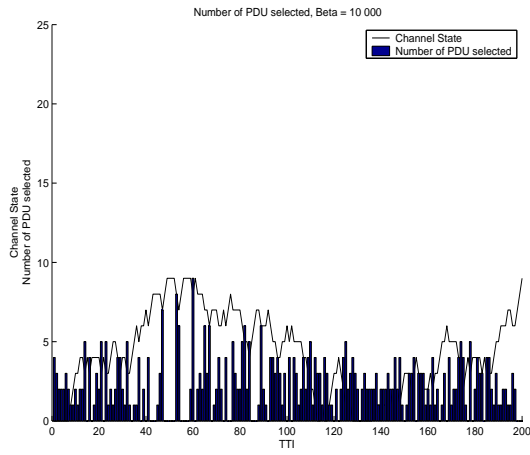


Fig. 10. $\beta = 10\ 000$

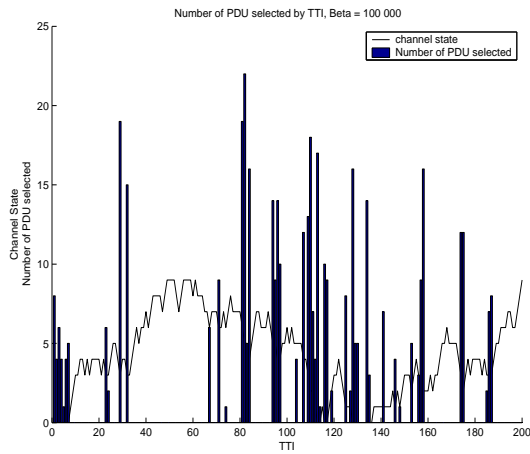


Fig. 11. $\beta = 100\ 000$

Figure 12 shows the quantity of block served of a user among the time. For $\beta = 0$, the curve is rather linear. The two others grow close to this one. The deviation of the curve $\beta = 10^5$ is more important than the one of the curve $\beta = 10^4$.

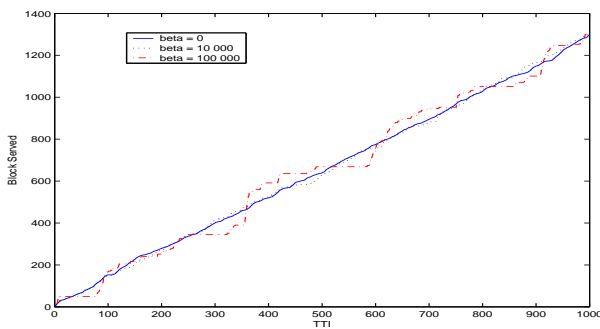


Fig. 12. Deviation of the qty served of a user

Figure 13 shows the amount of blocks served for two users of same weights. The amount is for a range of 20 TTI. For $\beta = 0$, the fairness rule is clearly seen: the two curves stay close. For $\beta = 10\ 000$ and $\beta = 100\ 000$, the transmissions differ, because the users have different channel conditions.

Table 5 indicates the proportion of resources allocated to services. For $\beta = 0$, the proportion of resources is very close to ϕ_i :

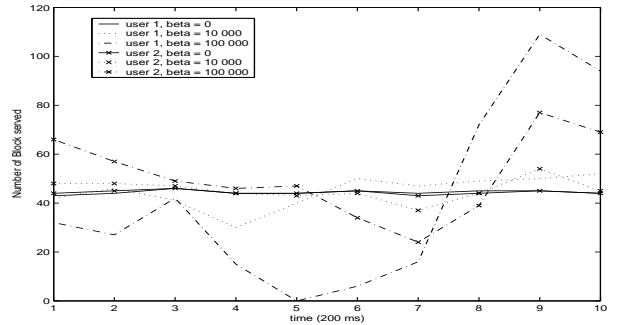


Fig. 13. fairness of the scheduling

The behavior is similar to Weighted Round Robin. The level of fairness is measured using the index (3). The values of the index are 1, 0.9999 and 0.9975 for respectively $\beta = 0$, 10^4 and 10^5 . The index shows the behavior of the scheduling is fair.

Service Id	$\beta = 0$	$\beta = 10\ 000$	$\beta = 100\ 000$
0	0.081	0.082	0.086
1	0.081	0.081	0.087
2	0.081	0.080	0.084
3	0.081	0.081	0.080
4	0.081	0.081	0.078
5	0.108	0.107	0.105
6	0.108	0.108	0.112
7	0.108	0.109	0.109
8	0.135	0.137	0.137
9	0.135	0.134	0.121

Tab. 5. Proportion of resources allocated to service

When the RT applications are allowed to be transported on DSCH, the number of resource available for the NRT applications decreases. But the proportion of resources allocated to the services is similar at table 2. The flexible allocation does not change the scheduling behavior.

VII. CONCLUSIONS

In this paper, we present a joint RRM channel allocation algorithm with an adaptive scheduling. This algorithm provides guaranteed resources for RT applications and fair scheduling and prioritization for NRT applications.

Moreover, comparing the power based algorithm with the sequential algorithm, we can see that the power based algorithm better balances the power over the slots. This better balancing decreases the rejected call rate and increases the available resources for NRT applications. The NRT traffic does not disturb the RT traffic, since the adaptive scheduling and the CAC are joint. The adaptive scheduling has a fair behavior and reduces the BLER.

An algorithm is also provided to allow RT application to use DSCH resources. This flexible allocation allows reducing the rejected call rate. Those results could be improved by an adequate configuration of the DSCH.

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