

Impact of Acknowledgments on Application Performance in 4G LTE Networks

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Abstract Fourth generation (4G) Long Term Evolution (LTE) is a new mobile phone network standard designed to provide both the capacity and Quality of Service (QoS) needed to support multimedia applications. Recent research in LTE has explored modifications to QoS setups, creating MAC layer schedulers and modifying the current QoS architecture. However, what has not been fully explored are the effects of LTE retransmission choices and capabilities on applications and quality of experience. This work examines the impact of LTE wireless acknowledgment modes and timer settings on Voice over IP (VoIP), file transfer and video streaming applications. Issues explored include interaction between application performance, network transport protocols, LTE acknowledgment mode, and wireless conditions. Network Simulator 3 (NS-3) simulations show that LTE retransmissions improve FTP throughput. With delay sensitive applications, such as VoIP and video, the benefits of LTE retransmissions are dependent on the loss rate and specific LTE settings. LTE providers should configure their networks to use retransmission policies appropriate for the type of application traffic.

Keywords LTE · Retransmission · RLC · MAC · t-Reordering · t-StatusProhibit

1 Introduction

The increase in mobile technology capabilities has turned mobile traffic's penetration into Internet traffic penetration. In 2013, Cisco reported that the Internet added over 500 million mobile devices with 77% of

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this growth due to smartphones [9]. Global mobile data traffic grew 81% and mobile video traffic accounted for 53% of all mobile data traffic. Fourth generation (4G) connections generated 14.5 times more traffic on average than non-4G connections. While 4G provided only 2.9% of all mobile connections in 2013, it generates 30% of the mobile traffic and is predicted to handle half of all mobile traffic by 2018.

A common networking dilemma is managing throughput while minimizing response time. This is especially challenging for wireless networks where communicating nodes are often mobile, resulting in adaptive wireless capacities due to signal quality fluctuations caused by interference from obstructions and radio wave emitting sources. Wireless networks address the variability in signal quality with multiple channels, encoding redundancy and retransmissions.

The choice of retransmission strategy can have a large impact on end user applications. 4G Long Term Evolution (LTE) provides retransmissions at two different network layers with several parameters that control retransmission strategies. These parameter settings vary the impact of LTE retransmission schemes on the quality of experience for the wireless end users' applications. Selecting the best parameter settings is complicated because applications such as email or file transfer need error-free transmissions while applications such as Voice over IP (VoIP) require minimal network delay and can accept occasional loss. Additionally, LTE timers interact with these parameters to determine when wireless data is lost and to trigger retransmissions. However, to the best of our knowledge there has been no systematic exploration of the effects of 4G LTE retransmissions and timer settings on application performance.

Previous research into LTE retransmissions focused on one of two retransmission techniques at the Medium Access Control (MAC) and Radio Link Control (RLC) layers in LTE but not both. Kawser et al. [15] looked at how using the maximum number of MAC layer retransmissions does not always improve the total amount of data lost. Makidis [16] simulated RLC retransmissions with Web and FTP traffic. While this work demonstrates the impact of using retransmissions it does not consider any of the adjustable parameters with the RLC layer. Other research into LTE retransmissions like Asheralieva et al. [6] looked at VoIP simulations in LTE with and without MAC layer retransmissions. However, this work did not investigate the impact of the RLC layer retransmissions.

Our paper examines the effects of 4G LTE configurations on the retransmission of last hop data for delay sensitive applications (e.g., VoIP and MPEG video) and throughput sensitive applications (e.g., file transfer). We enhanced the NS-3 simulator to support the use of negative acknowledgments (NACKs) in 4G LTE acknowledged mode (AM), one component of the LTE specification not implemented in this simulator. Detailed simulations with varied wireless loss rates demonstrate the sensitivity of application performance to LTE timer settings and guide recommendations for when LTE should use acknowledged mode versus unacknowledged mode for delay sensitive and throughput sensitive applications.

The rest of this paper is organized as follows: Section 2 provides 4G LTE background; Section 3 details other research into LTE retransmissions; Section 4 describes our extensions to the LTE specification in NS-3 and our LTE experiments; Section 5 analyzes the results; and Section 6 summarizes our conclusions and possible future work.

2 Background

Figure 1 shows the two main components in an LTE network. The Evolved Packet Core (EPC) connects a wireless access point or eNodeB to an IP network and the Evolved Universal Mobile Telecommunications System Terrestrial Radio Access (E-UTRA) connects the eNodeB to phones, tablets and computers (User Equipment or UEs). The E-UTRA interface includes two LTE link layers between the physical and IP layer – the Media Access Control (MAC) and Radio Link Control (RLC) layers. Sitting above the physical layer,

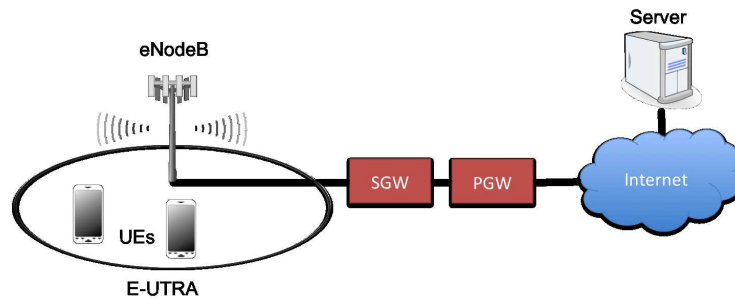


Fig. 1: Evolved Packet Core

the MAC layer handles scheduling, notification of transmission opportunities and retransmissions. Located above the MAC layer, the RLC handles out of order arrival, error correction and, optionally, retransmission of data not recovered by the MAC layer.

2.1 Physical Resource Blocks

The physical layer handles transmitting data over radio waves between the eNodeB and the UE. LTE transmits data in physical resource blocks (PRBs). One PRB takes up a 0.5 ms unit of time, called a slot, and 15 kHz of radio bandwidth. The more contiguous radio frequencies a LTE network has the more data can be sent in parallel. The smallest physical resource LTE can send is a transport block that occupies a 1 ms transmission time interval (TTI) (2 slots). The number of PRBs used is determined by the scheduler based on availability in the network. The maximum number of PRBs in a transport block is 100.

2.2 Channel Quality

Similar to other wireless standards, LTE monitors the quality of the wireless signal and adjusts the encoding rate of transmissions for better performance. A UE regularly checks the received signal quality and reports a channel quality indicator (CQI) value. The CQI is a number from one to fifteen that represents the encoding scheme and code rate to use during transmissions. A value of one indicates a poor signal quality while a value of fifteen indicates the best possible signal. Table 1 lists the exact modulation method and coding rate for each CQI value. The code rate indicates how many bits transmitted out of every 1024 bits contain user data. The efficiency column indicates the spectral efficiency of the radio resources or the amount of user data that is transmitted in bits/s/Hz. While the UE requests a specific CQI from the eNodeB, there is no guarantee that the eNodeB will use this modulation and encoding scheme. The CQI represents the data encoding scheme and code rate to use such that the block error rate (BLER) of received data is at most 10% [10]. BLER is a major metric in determining exactly how LTE sends data.

2.3 Hybrid Automatic Repeat Request (HARQ)

The LTE transport block is the data packet sent across the wireless link. The MAC layer handles retransmission of transport blocks with Hybrid Automatic Repeat Request (HARQ). When a transport block arrives,

Table 1: CQI values [3].

CQI index	Modulation	Code Rate x 1024 bits	Efficiency bits/s/Hz
0	out of range		
1	QPSK	78	0.1523
2	QPSK	120	0.2344
3	QPSK	193	0.3770
4	QPSK	308	0.6016
5	QPSK	449	0.8770
6	QPSK	602	1.1758
7	16QAM	378	1.4766
8	16QAM	490	1.9141
9	16QAM	616	2.4063
10	64QAM	466	2.7305
11	64QAM	567	3.3223
12	64QAM	666	3.9023
13	64QAM	772	4.5234
14	64QAM	873	5.1152
15	64QAM	948	5.5547

the MAC layer uses forward error correction (FEC) and parity bits to check for errors [2]. If no errors are detected, the MAC layer receiver sends an ACK to the MAC sender and passes the data up to the higher layers. If errors are detected, the MAC layer receiver sends a NACK and keeps the transport block to possibly combine it with other retransmitted copies of the damaged data to recreate the original data through a soft combination process [2]. For downlink transmissions (from the eNodeB to the UE), HARQ sends up to three retransmissions [5]. If any MAC layer packets arrive without error or if the MAC layer soft combines any set of them to produce a valid packet, HARQ sends the packet up to the RLC layer. If, after three retransmissions, HARQ cannot reproduce the transport block through soft combining, the block is treated as lost.

The HARQ acknowledgment approach is a stop-and-wait protocol. New data is only sent once a transport block is acknowledged or the maximum number of retransmissions is reached. To improve transmission efficiency, the MAC layer maintains multiple HARQ processes. These processes transmit and wait for acknowledgments one after another to use all the transmission opportunities. The number of HARQ processes depends on the duplexing scheme, with eight HARQ processes used with Frequency Division Duplexing (FDD) and the number of processes for Time Division Duplexing (TDD) depending on the specific downlink/uplink configuration.

When using eight HARQ processes, a transmission from one process arrives at the receiving node during a slot. The receiver takes up to four milliseconds to determine if the data arrived successfully or not. The receiver can then send an ACK or NACK back to the sender. The sender waits another four milliseconds before either resending the previous data or sending new data. This makes a round trip time of eight milliseconds when using frequency division duplexing (FDD) [10]. Since the downlink has a maximum of three retransmissions and the round trip time for the MAC layer using FDD is eight milliseconds, then the longest interval a transport block can take is 28 milliseconds before the MAC layer gives up on the transmission.

2.4 RLC Acknowledged/Unacknowledged Mode

The RLC layer provides segmentation and reassembly between the original data frames and those encoded in the transport blocks [1]. The RLC retransmission scheme employs two transmission modes – acknowledged mode (AM) and unacknowledged mode (UM). Both RLC modes wait for a set interval of time based on a timer to correct out of order data (due to MAC layer HARQ retransmissions). UM only waits for reordering before sending current data to higher layers whereas AM sends ACKs and NACKs for data not recovered by the MAC layer.

To support these transmission modes, the RLC layer uses timers and state variables. Both modes use the t -Reordering timer to control the RLC wait interval on out of order MAC data before either: 1) considering the data lost and handing off to the next network layer (in UM mode), or 2) updating which RLC layer packets to ACK or NACK (in AM mode). This timer gives the MAC's HARQ process a chance to recover the lost data. If t -Reordering is set too low, data the MAC layer could still recover may be discarded as lost (UM) or NACKed prematurely for retransmission (AM). If t -Reordering is set too high, received data may be held unnecessarily long before requesting a retransmission (AM) or delivering it to upper layers (UM).

AM has an additional t -StatusProhibit timer that controls transmission of STATUS messages. STATUS is an RLC control message that preempts user data messages. An AM STATUS message sends ACKs and NACKs between the eNodeB and the UE. STATUS messages are either polled by the sender or triggered on the receiver during certain events. AM mode sets t -StatusProhibit after sending a STATUS message to prevent sending another STATUS message until the timer expires. When t -StatusProhibit is set too low, many duplicate STATUS messages may congest the transmission medium, but if t -StatusProhibit is set too high, the RLC sender may continue transmitting new data when old data needs to be retransmitted.

2.5 LTE Quality of Service (QoS)

One of the main goals for 4G network technologies is to provide QoS support to handle demand for multimedia applications. The LTE specification defines some goals and capabilities to provide QoS and leaves other components up to implementers.

LTE uses bearers, which are a set of network configuration settings that uniquely identify groups of packet flows to receive the same QoS treatment [11]. There is a high level end-to-end bearer that logically connects the UE to the entity with which they are interacting. In reality, this bearer is made up of multiple components that need to deal with the specific protocols and physical layer capabilities that make up the LTE network. For instance, the bearer that connects the UE to the eNodeB is called a radio bearer as it deals with the physical radio interface. In LTE, QoS features can be applied from the UE connected to the radio interface to the packet gateway. Subsequently, the data is transmitted over the open Internet where the LTE network can no longer manage QoS.

LTE maps traffic to bearers using packet filters known as Traffic Flow Templates (TFT). A TFT filters packets based on protocol, IP address range, port numbers and uplink/downlink direction. All packet flows mapped to a particular bearer receive the same packet-forwarding treatment including scheduling, queue management and other QoS techniques [11]. There is one bearer per QoS class. While a UE has multiple bearers, each is classified as Guaranteed Bit Rate (GBR) or non-GBR. As their names suggest, GBR bearers support a minimal bit rate for all of its packet flows while non-GBR bearers make no such promise.

Bearers are also classified based on their creation scheme. A bearer can be either a default bearer or a dedicated bearer [11]. The default bearer is created when the UE first connects to the LTE network. This default bearer is also a non-GBR bearer as it must exist regardless of the current network conditions. A

dedicated bearer is any other bearer created to satisfy a particular QoS requirement. The TFT of the default bearer allows all traffic, while each dedicated bearer gets a specific TFT to separate its traffic from other flows.

3 Related Work

As cellular networks and mobile devices have become more common, so too has research into these areas. This section covers research in LTE, broadly categorized into four areas: application use (Section 3.1), measurement studies (Section 3.2), retransmission use (Section 3.3) and VoIP and FTP studies (Section 3.4).

3.1 Applications in Cellular Networks

Xu et al. [21] examined the types of applications used by phones across the US by a tier-1 cellular network provider. They collected data from all links within the network from the radio access (cell phone towers) to the Internet over a one week period in August 2010. The authors found that 20% of mobile applications dealt with content local to the users such as local news and radio stations. Many applications had identifiable usage patterns, such as news applications in the morning and games when traveling. Personalized Internet radio was responsible for the most data use, more than 3 TB of data over the week. This demonstrates that streaming audio is a popular application for mobile devices.

Böhmer et al. [8] studied the applications users ran on their mobile phones including how and where the users employed these applications. The authors created an Android application that collected data on when applications were installed, opened, closed, and updated. The authors collected data for 4125 users from August 2010 to January 2011. They found that users spent an average of about 59 minutes per day on their mobile devices. Mobile application were also most likely used for communication through phone calls, emails, texts and other communication applications. This research concludes that people regularly use mobile phones for communication type applications (i.e., delay sensitive applications).

3.2 LTE Measurements

Huang et al. [14] examined data collected from an LTE network in a U.S. city in October 2012. The authors characterized the network protocols, network characteristics and types of applications used in the data set. They found that TCP made up about 95% of traffic flows and 97% of bytes transmitted. UDP accounted for the majority of the remaining flows and bytes used. Downlink data sent from the tower to the phone generated the majority of the data in the network. Of the top 5% of flows (by payload size), about 75% were related to video or audio applications. The authors also found that about 38% of TCP flows did not have any TCP layer retransmissions. Unfortunately, the authors did not have access to RLC or other LTE settings.

3.3 Retransmissions

Kawser et al. [15] investigated saving radio resources by limiting the maximum number of Hybrid Automatic Repeat Request (HARQ) retransmissions. Their reasoning was that for nodes experiencing poor radio conditions, issuing three retransmissions would not provide a successful transmission or soft combination sufficient

to recover the lost data. The authors used an LTE link layer simulator to examine the difference in the bit error rate of the wireless transmission with poor signal strength. Their results show only a small performance improvement when using the full three retransmissions. The authors suggest that for poor radio conditions, HARQ should only send one or two retransmissions. This study does not include retransmissions from the RLC layer and does not consider the impact of RLC retransmissions on application performance.

Makidis [16] implemented and evaluated the 4G Radio Link Control (RLC) layer acknowledged mode (AM). He implemented RLC in ns-2 and tested it with TCP based applications including Web browsing over HTTP and FTP traffic. The simulations show that RLC AM works well with applications that experience contention. Comparing RLC AM with two other selective repeat protocols, he shows that adaptive selective repeat is the most effective when maximizing TCP throughput. The throughput for Web browsing traffic in RLC AM is significantly lower than both the selective repeat variants. RLC AM performs better when dealing with large FTP file transfers. While this work examines RLC AM, the author did not investigate its interaction with the other LTE layers. This is problematic as the loss rate applied to these simulations does not account for MAC layer HARQ retransmissions. Moreover, the author did not implement RLC UM or run any tests with this option.

3.4 VoIP and FTP in LTE

Asheralieva et al. [6] simulated running VoIP applications over LTE. The authors focused on two packet scheduling mechanisms and whether or not to use HARQ. Their simulations took into account scheduling along with the physical and MAC layers. The authors find that HARQ can improve QoS for VoIP services, but they did not include the RLC layer that handles the reordering of packets during loss nor did they consider if the RLC layer was enforcing retransmission of lost packets.

Masum et al. [17] examined the end-to-end delay of VoIP applications in LTE networks. The authors used the OPNET simulator and created representative networks to examine a baseline VoIP network, a congested VoIP network and a congested VoIP and FTP network. In these scenarios, they modified UE speed, packet loss and the available bandwidth. They discovered that when there is no mobility, the end-to-end delay is slightly higher for networks congested with only VoIP traffic. In the other scenarios, the end-to-end delay was better when nodes were mobile. In congested VoIP networks the speed of the mobile UE had little impact on packet loss. For networks with mixed VoIP-FTP traffic, stationary nodes saw little packet loss while mobile nodes experienced more loss. However, their work does not consider the RLC layer settings and there is no information on the performance in the MAC or RLC layers.

4 Approach

Our research uses the NS-3 simulator¹ to examine the impact of adjusting RLC parameters on the performance of applications running over 4G LTE networks. Specifically, this paper considers three mobile applications with distinct QoS criteria and network characteristics: Voice over IP (VoIP), file transfer (FTP) and video streaming. VoIP applications send a small volume of data at a relatively low transmission rate, and need a low packet delay and packet loss rate. In contrast, typically high volume FTP applications require zero loss while tolerating short-term delays as long as the overall file transfer throughput is high. Video streaming requirements depend on the use of the video – a video stream of a television show or movie often

¹ <http://www.nsnam.org/>

uses TCP to ensure all of the data arrives and is relatively insensitive to delay, while a video conference often uses UDP to support interactive conversations and requires a low delay.

4.1 Simulator Additions

The LTE module² for NS-3 version 3.16 did not support using NACKs in Acknowledged Mode (AM). After several months of discussing this issue at the NS-3 user forum,³ we developed NACK support for the NS-3 simulator.

The initial contribution was a change to the creation of the RLC STATUS Packet Data Unit (PDU) to enable it to serialize and de-serialize NACK sequence numbers (SNs). The ACK SN field in the RLC STATUS PDU represents the highest SN that can be ACKed followed by SNs for each of the NACKed PDUs. Originally, the LTE simulator did not support the use of the NACK SN. Instead the simulator always sent back one NACK in the status message with a value of 1024. Our contribution to the code allowed a set of SNs to be added to the status PDU that would be listed as NACKed.

For the code that adds the NACK sequence numbers, when the RLC AM code constructs a STATUS PDU it iterates over its receive window to find missing PDUs and adds them to a list for the STATUS PDU. Adding these numbers to the PDU involved creating serialization code in which to embed the sequence numbers, and creating corresponding de-serialization code to extract the numbers later. The ACK SN field holds the highest sequence number that can be ACKed at the time of the STATUS message. The RLC AM state variable, called $VR(MS)$, stores this value.

Along with the ACK SN, the STATUS message contains a NACK SN for each PDU missing up to the ACKed SN or as many that can fit into a maximum-sized transport block (taking into account the other required STATUS PDU fields).

Once the code to add a list of NACK sequence numbers worked correctly, our next set of additions to the simulator involved determining which sequence numbers needed to be ACKed or NACKed for a STATUS PDU. The receiving side of the RLC AM layer has five state variables: $VR(R)$, $VR(MR)$, $VR(X)$, $VR(MS)$ and $VR(H)$. These variables hold the sequence numbers for the lower bound of the window, upper bound of the window, sequence number after the PDU triggering the reordering timer, ACK sequence number and the largest sequence number seen so far, respectively.

Initially the developers thought that the only sequence numbers that could be NACKed were those higher than the sequence number ACKed. The reason for this arose from a difference in understanding the RLC specification [1] concerning incrementing the variable $VR(MS)$. Specifically section 5.1.3.2.3 of [1] states:

“When a RLC data PDU with $SN = x$ is placed in the reception buffer, the receiving side of an AM RLC entity shall: if all byte segments of the AMD PDU with $SN = VR(MS)$ are received: update $VR(MS)$ to the SN of the first AMD PDU with $SN > \text{current } VR(MS)$ for which not all byte segments have been received;” [1]

This statement indicates that $VR(MS)$ grows up to the first missing PDU and therefore only sequence numbers larger than the ACK can be used for NACK. The reason for this disconnect is due in part to the writing in the specification document. Section 5.1.3.2.3 gives the impression that $VR(MS)$ cannot allow sequence numbers smaller than ACK to be used for a NACK. However, section 5.1.3.2.4 of [1] indicates that when the t-reordering timer expires, $VR(MS)$ is incremented to the SN of the first PDU with a sequence

² <http://networks.cttc.es/mobile-networks/software-tools/lena/>

³ <https://groups.google.com/forum/#!topic/ns-3-users/CEfmMX3IRBw>

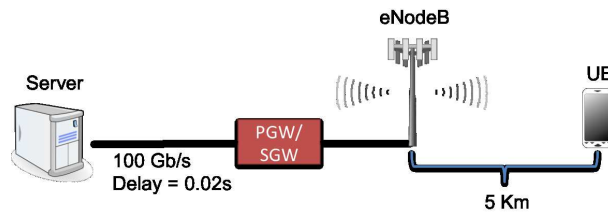


Fig. 2: 4G LTE simulation network

number $\geq VR(X)$ for which not all byte segments have been received. In general, the specification has several unclear cases where it indicates a variable behaves a particular way, and then another section sometimes pages away would add a caveat for when the behavior deviates. In this case, after discussing this issue with the developers, they updated the code to account for incrementing $VR(MS)$ when t -Reordering expires. Additionally, we added code to enable the transmitting node to use NACKs to trigger resending missing data and we modified the mechanism that updated the state variables.

4.2 Simulation Setup

This paper uses the network topology in Figure 2 for all the simulations discussed. This configuration ensures the 4G LTE wireless link from the access point (eNodeB) to the user equipment (UE) is the bottleneck by having the connection from the server to the packet gateway (PGW) be a high-capacity wired connection. Table 2 itemizes the Internet and LTE settings for our NS-3 simulations. See Section 2 for details on some of the indicated LTE parameters. Some of the default LTE parameters that we did not adjust include the EARFCN values (which defines the LTE channel carrier number for downlink and uplink), poll PDU, poll Bytes and t -PollRetransmit (which impacts the sender’s frequency for requesting RLC STATUS messages).

NS-3 has a built-in trace-driven fading model which takes as input a file containing a matrix of time, a section of the radio spectrum, and the signal-to-noise ratio (SINR). The model applies the trace SINR at the specified time and section of the radio spectrum by adjusting the base SINR of any data transmitted at a given time and location. We use an analytic model to induce wireless traffic loss into the LTE simulations by having either the fading trace make no adjustments or by having the SINR set low enough that any data sent at that time and position is lost.

A two-state Gilbert-Elliot [12] model, depicted in Figure 3, induces the simulated packet loss. The “good” state ($X=0$) has a low packet loss rate while the “bad” state ($X=1$) has a high packet loss rate, with transition probabilities ($p01$ and $p02$) between the states. We set the probabilities based on the model used by Gordo and Daniel [13], who also simulated LTE. The good state has a probability of 0 for loss while the bad state has a probability of 1 for loss. The overall amount of loss is determined by the time interval that the model remains in the bad state.

In the following simulations the smallest time interval considered is the 1 ms transmission time interval (TTI). During any TTI in the simulation the SINR may be low enough that no data is successfully received. This represents a “loss”. The total amount of loss applied to a simulation’s radio environment indicates the number of TTIs where the SINR is low enough that any data sent is lost divided by the total number of TTIs in the simulation. Note that the simulation may or may not have data to send over the wireless link

Table 2: NS-3 Settings

Internet	
Capacity PGW-server	100 Gb/s
Latency PGW-server	20 ms
MTU	1500 bytes
LTE	
Distance eNodeB to UE	5 Km
EARFCN UL	100
EARFCN DL	18,100
# PRBs	100
eNodeB Transmit Power	20 dBm
UE Transmit Power	10 dBm
CQI	8 (no loss)
RLC AM Buffer Size	Unlimited
RLC UM Buffer Size	1 Mbytes
RLC AM max retransmit threshold	5
poll PDU	1
poll Bytes	50 bytes
t-PollRetransmit	100 ms
t-Reordering (default)	40 ms
t-StatusProhibit (default)	20 ms

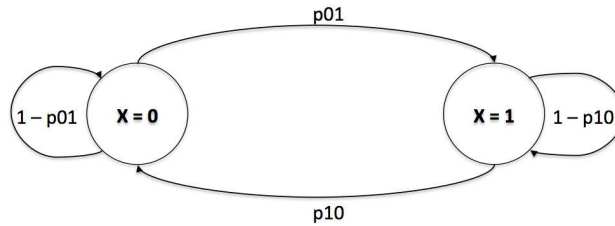


Fig. 3: Gilbert-Elliot model (based on [13])

when the SINR is low enough to induce a loss. We chose the block error rate target of 10% in controlling the total number of TTI losses.

The only remaining variable is the number and length of loss bursts. In this case, a loss burst is any number of consecutive TTIs where any data sent is lost. The length of the burst events results in a packet-level loss if it is longer than the number of MAC layer HARQ retransmissions. During our simulations, we vary the number and length of bursts to test different retransmission scenarios.

We introduce the following variables:

- a - The total number of TTIs.
- d - The total number of lost TTIs.
- o_k - The number of burst losses of length k .

With these variables, we calculate the probability of moving from the good to the bad state using Equation 1 and the probability of staying in the bad state using Equation 2 [13].

$$p_{01} = \frac{\sum_{k=1}^{\infty} o_k}{a} \quad (1)$$

Table 3: Example MPEG frame trace

Frame Number	Frame Type	Time (ms)	Length (bytes)
1	I	0	7559
2	P	120	3442
3	B	40	1865
4	B	80	2021
5	P	240	2282
6	B	160	1532
7	B	200	1853
8	P	360	2216
9	B	280	1515
10	B	320	1664
...

$$1 - p_{10} = \frac{\sum_{k=1}^{\infty} (k-1) \times o_k}{d-1} \quad (2)$$

With the chosen transition state variables, the Gilbert model generates the fading trace file for NS-3 to simulate bursty LTE traffic behavior.

4.3 Modeling Applications

While varying RLC parameters and timer settings, this investigation focuses on VoIP, FTP and MPEG video over UDP performance. During a series of NS-3 LTE simulations, we adjust the wireless loss rate, the use of RLC AM and UM and the settings of the timers *t-Reordering* and *t-StatusProhibit*. The suggested settings from the LTE specification [4] guide our timer setting choices.

The simulated UDP VoIP application sends constant bitrate traffic at 64 Kb/s to align with the G.711 encoding standard [19]. We compute the mean opinion score (MOS) [7], a scale from 1 (bad) to 5 (good) to measure the effects of delay and packet loss on the QoS of VoIP conversations. While the overall MOS average over time may be high, users react negatively when a VoIP conversation experience a low MOS at some point during the conversation. Hence, we compute the MOS over each average talkspurt⁴ interval and use the lowest MOS score as the VoIP QoS performance metric. The average talkspurt interval is 4.14 seconds based on a Bell Labs measurement study [18].

The simulated FTP application transmits as much data as possible using TCP New Reno (the default congestion control algorithm in NS-3) and we use throughput as FTP's performance metric.

The simulated video takes its input from a trace file that defines an MPEG 4 video stream with Intra-coded frames (I), Predicted-coded frames (P) and Bi-directional coded frames (B). The trace file lists four columns for a row number, frame type, time to send the packet and size of the packet in bytes, shown by example in Table 3.

The video application reads the trace file and sends UDP packets for the video frames at the specified time intervals. The trace file used in the simulations, obtained from the Technische Universität Berlin,⁵ is for a soccer match and has an average bit rate of about 1.05 Mb/s. This application breaks video frames larger than 1460 bytes into multiple IP packets prior to transmission. We examine packet loss, frame arrivals

⁴ A talkspurt is the amount of time a person speaks continuously before pausing.

⁵ <http://www-tkn.ee.tu-berlin.de/research/trace/trace.html>

and delay and use the time to transmit a frame (frame delay) and the rate of frame playout (frame rate) as video performance metrics.

5 Results

This section analyzes the results of LTE measurements and three sets of NS-3 LTE simulation experiments:

- We analyze channel quality indicator (CQI) mobile measurements to determine an appropriate CQI setting for the subsequent simulations (Section 5.1).
- Employing uniform wireless loss, the first experiment set compares the performance of RLC using acknowledged mode (AM) against RLC with unacknowledged mode (UM) for VoIP, FTP and MPEG video applications (Section 5.2).
- Modeling bursty wireless loss, the second experiment set varies the t-Reordering and t-StatusProhibit timers to assess their impact on the behavior of wireless VoIP, FTP and MPEG video applications (Section 5.3).
- The third experiment set fixes the timers for VoIP, FTP and MPEG video and varies the wireless loss rate to measure the impact of using RLC AM and UM for these three applications (Section 5.4).

5.1 CQI Measurements

In order to determine an appropriate CQI value for the simulations, we measured CQI values for a 4G LTE network in New England over a range of physical locations.

We built an Android application (app) for mobile phones that automatically records the CQI value every two minutes. Our measurement study consisted of running the app on a Samsung Galaxy Nexus phone with the Android API 4.2.2 for one week, covering areas from Bristol, Middlesex, Norfolk, Plymouth and Worcester counties throughout a normal work week. Figure 4 shows the area of the measurement in Massachusetts with data collection points indicated by yellow pins. With the customized app running over the depicted region, we collected 5070 CQI data points.

Figure 5 divides the measurements broadly into two categories with the top graph (Figure 5a) containing data where the phone was mobile on urban, suburban and intra-city roads and the bottom graph (Figure 5b) including data from several particular cities where the phone was stationary or moved at walking speeds for long periods of time. The road speeds for the urban and suburban road measurements varied between 0 to 40 mph, while the intra-city road speeds were 40-65 mph. In both graphs, the horizontal axis is the CQI and the vertical axis is the cumulative distribution of CQI values.

Figure 5a indicates that in both suburban and urban areas the mobile phone mostly recorded a CQI value of eight with the former having more CQI values lower than eight and the latter having more CQI values higher than eight and about 35% being at the maximum CQI of 15. While traveling on roads between cities, there was a greater range in CQI values requested.

Figure 5b demonstrates that in all three cities the phone mostly requested a value of eight as well, with the CQI distributions roughly the best for larger cities (Worcester) than the smaller towns of New Bedford and Concord (the smallest). Based on these graphs, as indicated in Table 2, the simulations used a fixed CQI value of eight.

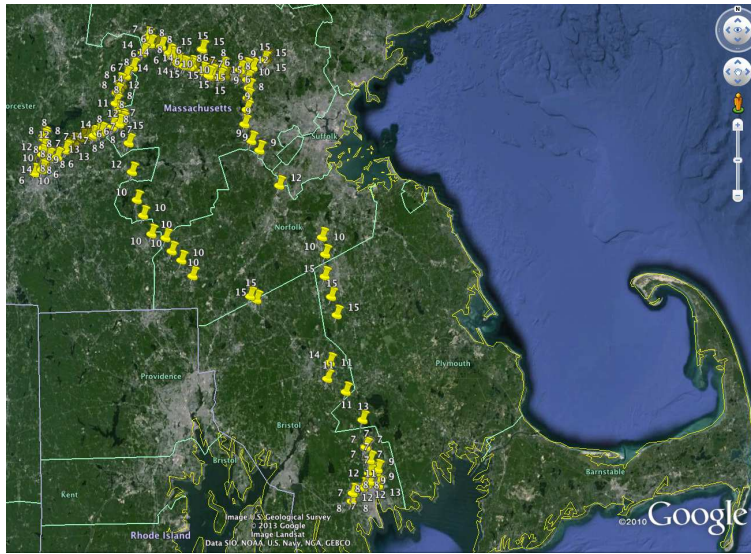


Fig. 4: Map of CQI measurement area

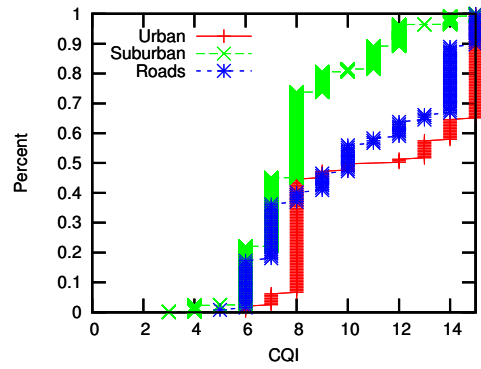
5.2 RLC AM and UM

The first set of NS-3 experiments analyzes the impact of RLC using AM versus RLC using UM on VoIP, FTP and MPEG video. The wireless loss rate for these tests is set to a uniform 25%.

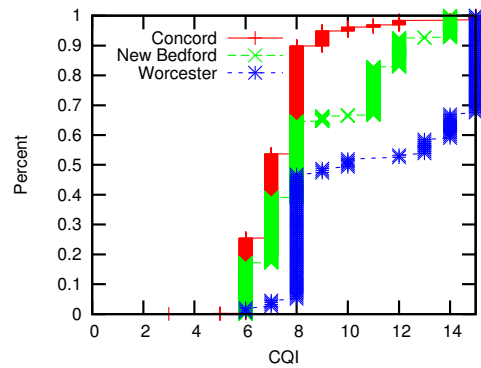
Figure 6a graphs the VoIP results using AM and Figure 6b provides VoIP results for UM. The x-axis is the time (in seconds) when the UE receives each VoIP packet. The y-axis is the recorded packet delay in milliseconds. The delays for AM and UM are quite similar since VoIP puts such a small capacity demand on LTE. With uniform random loss, many loss events occur during intervals when the VoIP application is not transmitting. Additionally, the low VoIP bitrate means RLC AM retransmissions have little impact on UDP packet delay when compared to UM delay results.

Figure 6c graphs throughput for FTP using AM and Figure 6d provides FTP throughput using UM where the x-axis is time and the y-axis is throughput in Mb/s. The graphs indicate that LTE using AM yields higher FTP throughputs compared to LTE using UM. By recovering lost encapsulated TCP packets via AM retransmissions, the RLC layer reduces the number of TCP packets lost. With UM, the TCP server encounters more packet loss which reduces its sending rate either through fast retransmit or when returning to slow start.

Figure 6e and Figure 6f provide results from a simulated UDP video application in terms of MPEG frame delays for AM and UM respectively. With time on the x-axis, the y-axis is MPEG frame delay – namely, the delay for an MPEG frame from the first UDP packet of the frame sent until the last packet of the frame is received. The upward spikes in delay when using AM are due to the RLC layer retransmissions recovering lost frames. UM maintains a lower frame delay, under 100 ms for all frames, than AM which has some delays over 250 ms. While AM has the higher delay, UM lost 703 out of the 18,738 frames transmitted. These frames are considered lost if either at least one UDP packet from the frame is missing or if a frame is dependent on



(a) CQIs for urban, suburban and traveling roads



(b) CQIs for particular cities and towns

Fig. 5: CDFs of CQI measurements

a missing frame. For instance, if a B frame is lost then only that frame is lost. If however, an I or P frame is lost then all frames that depend on them are also lost.

The results in this Section 5.2 suggest little difference between using AM and UM in LTE for VoIP, and that FTP prefers AM Mode and MPEG video can expect higher frame delays when using AM compared to UM. However, these results depend upon the specific settings of timers t -Reordering and t -StatusProhibit, which we explore in the next section.

5.3 Adjusting RLC Timers

The second set of NS-3 experiments investigates the performance of RLC using AM versus RLC using UM on VoIP for different values of the t -Reordering timer. These simulations use the Gilbert-Elliot model described in Section 4 with the average loss rate set to 10%, as this is the LTE upper bound used to adjust modulation and encoding schemes [10]. The simulated UDP end-to-end packet delay includes both the delay on the core network to reach the 4G network and the time to traverse the LTE network itself. To provide for more realistic core network delays, we add reported averages from two of Verizon's core networks (77 milliseconds

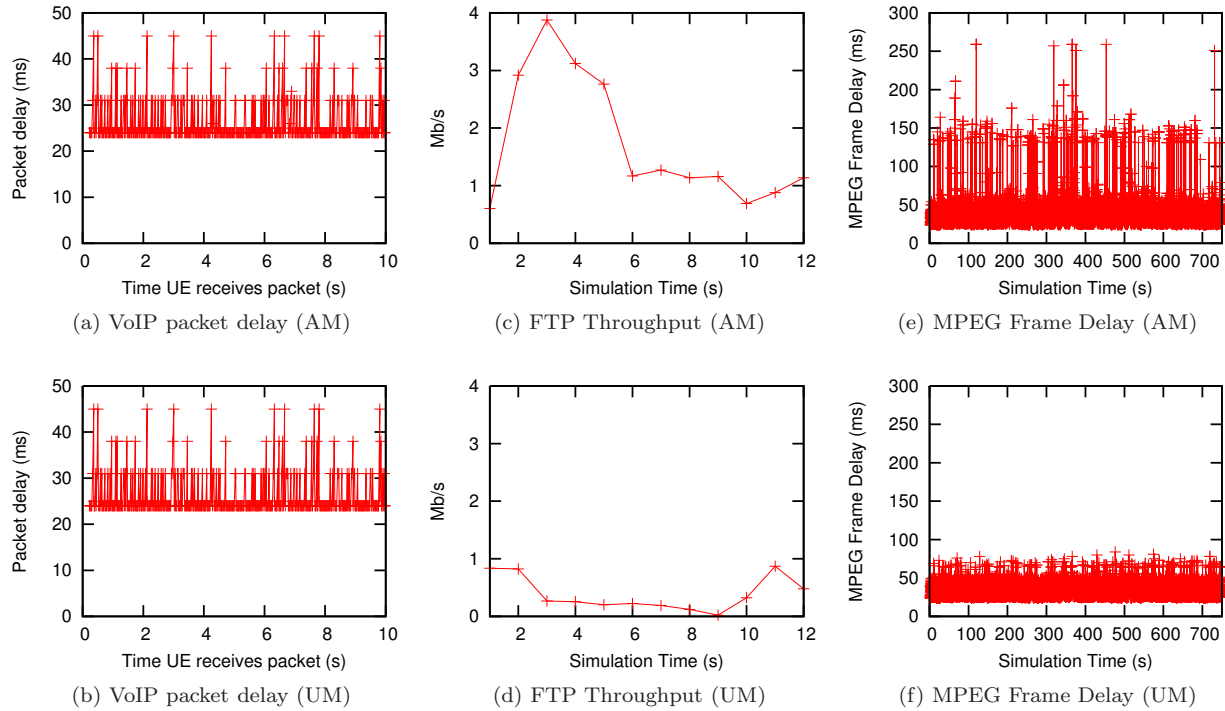


Fig. 6: VoIP packet delay, FTP throughput and MPEG frame delay with uniform 25% packet loss rate

(ms) for its trans-Atlantic line and 110 ms for its trans-Pacific link [20]) to the LTE delays recorded in the experiments. Initially, t -StatusProhibit is fixed at its default value of 20 ms.

The VoIP results shown in Figure 7a for AM and Figure 7b for UM indicate the t -Reordering timer settings in milliseconds on the x-axis with VoIP packet delay on the y-axis. The two trendlines represent delays for an Atlantic core network and a Pacific core network, respectively. From the graphs, regardless of RLC mode, as t -Reordering increases, the average UDP VoIP packet delay increases. However, AM retransmissions cause extra wireless delays which yield slightly higher UDP packet delays in Figure 7a than the UM delays seen in Figure 7b. For both AM and UM, the lowest MOS scores are all around 4.5 which corresponds to good user call quality. Hence, the strategy of setting t -Reordering to its lowest value seems attractive for providing optimal VoIP QoS. However, setting the timer too low stifles potential MAC layer recoveries. To avoid unnecessary lost MAC packets in UM and extra retransmissions in AM, t -Reordering must be set high enough to permit the MAC layer recovery process to complete (i.e., approximately 28 ms (see Section 2.3)). The closest recommended timer setting higher than this interval is 30 ms [4].

The FTP results shown in Figure 7c for AM and Figure 7d for UM have t -Reordering timer setting in milliseconds on the x-axis with FTP throughput in Mb/s on the y-axis. Each data point is the average throughput shown with the standard deviation as an error bar. The error bar shows the maximum and minimum throughput recorded over the entire simulation run. The average throughputs vary considerably with t -Reordering, but the high standard deviations suggest few general trends. Generally, FTP throughput over AM is higher than FTP throughput over UM for all t -Reordering settings.

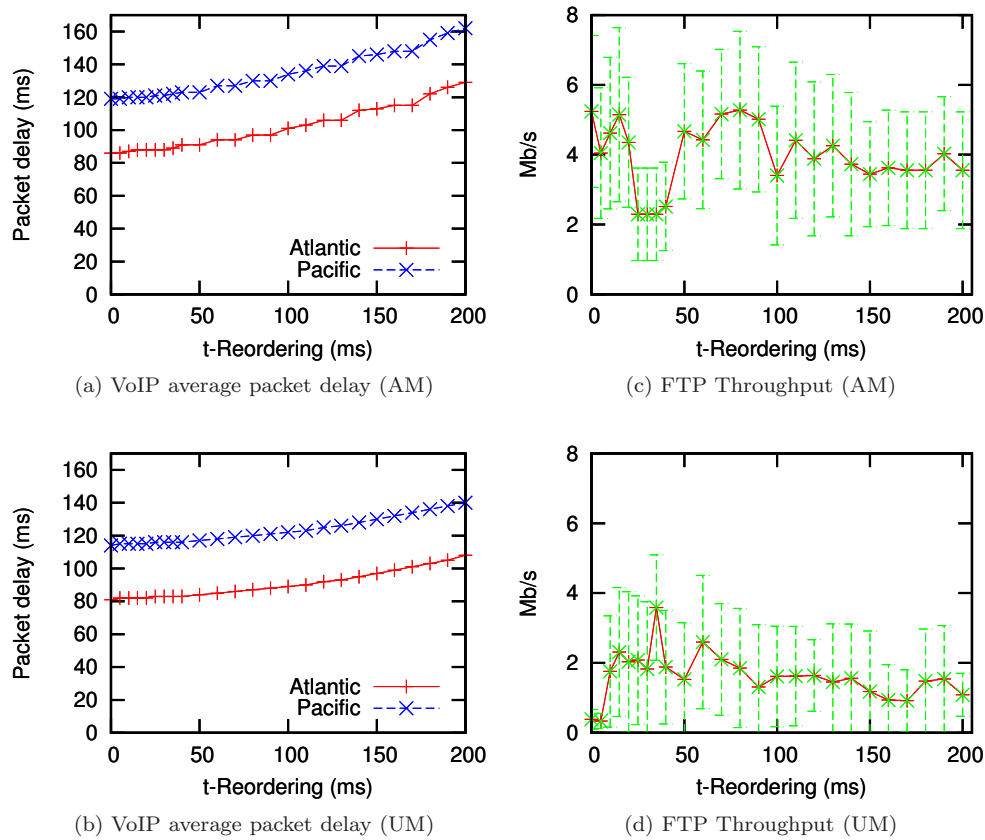


Fig. 7: Adjusting t-Reordering for VoIP and FTP

Figures 8a and 8c provide MPEG video performance for AM while Figures 8b and 8d show MPEG behavior for UM. The x-axes for all these graphs are the t-Reordering timer settings in milliseconds. For the graphs on the left, the y-axes are the MPEG frame delays in milliseconds, and for the graphs on the right the y-axes are the MPEG frame rates in f/s. All data points are average values, shown with standard deviation error bars. From the graphs, the average frame delay is similar for both AM and UM, with AM having a slightly higher standard deviation due to some retransmissions. The average frame rates are 25 f/s for AM for all values of t-Reordering, but only 24 f/s for UM for t-Reordering values above 30 ms and only 20 f/s for t-Reordering values below 30 ms. This performance dip is because the timers are set too low to recover any lost frames even with HARQ retransmissions.

While UM has a lower standard deviation for average frame delay, it does have more lost frames. Table 4 shows the percent of lost frames for each of the t-Reordering settings. As for the VoIP and FTP applications, if t-Reordering is set low (less than 30 ms) the MAC layer cannot recover as much data. With MPEG, the video frame dependencies result in about 19% of the video frames being lost when t-Reordering is 0 ms. When t-Reordering is set to 30 ms or higher, the MAC layer has a chance to recover the lost data, resulting

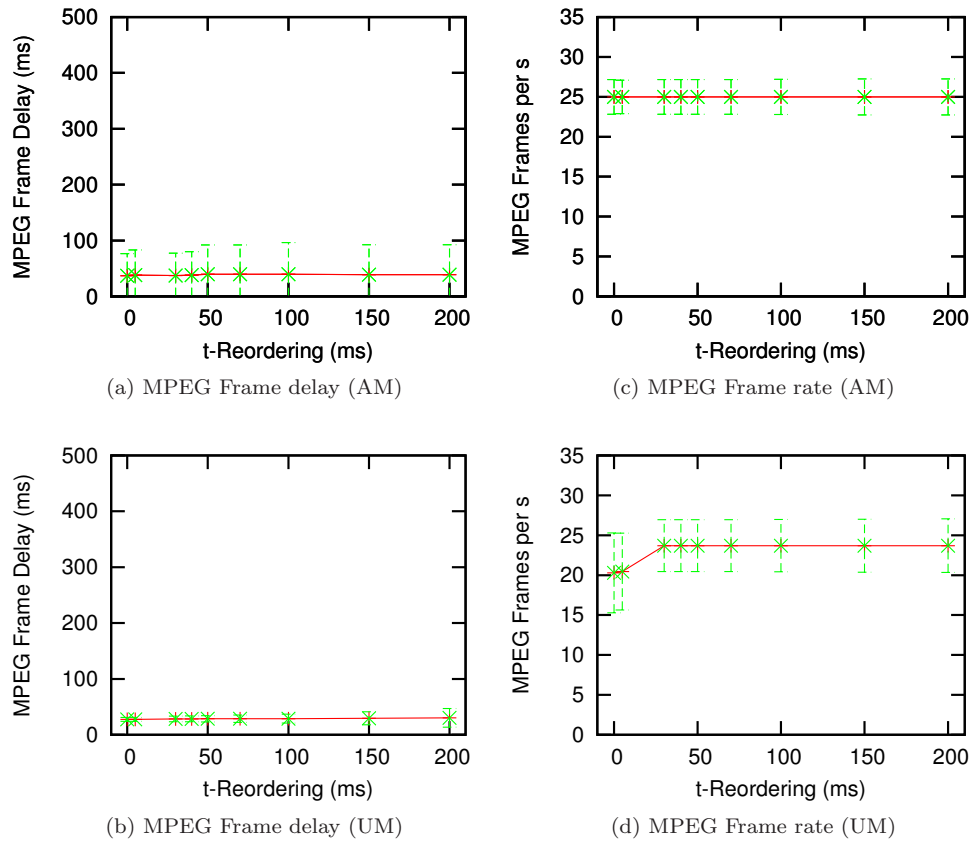


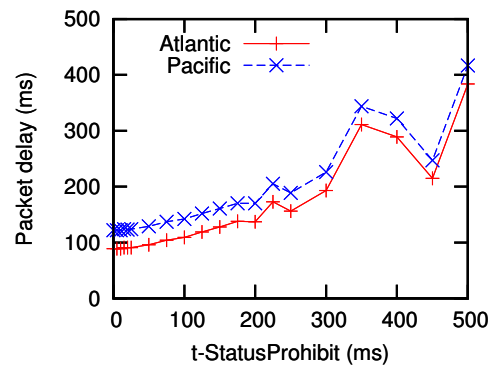
Fig. 8: Adjusting t-Reordering for MPEG

Table 4: MPEG frames lost with UM

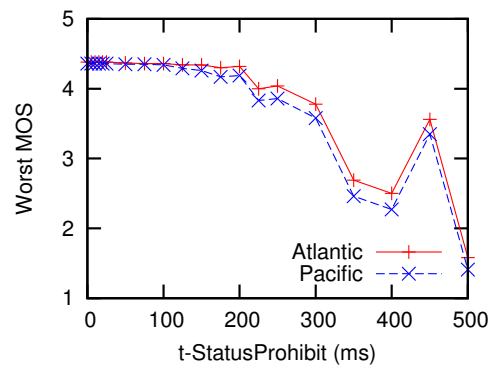
t-Reordering (ms)	Frame loss (%)
0	18.6
5	18.0
30	5.0
40	5.0
50	5.0
70	5.0
100	5.0
150	5.0
200	5.0

in about a 5% frame loss rate. Since the setting of t-Reordering has little impact on delay, and a setting of 30 ms or higher improves the percent of lost packets for UM, values above 30 ms are highly recommended.

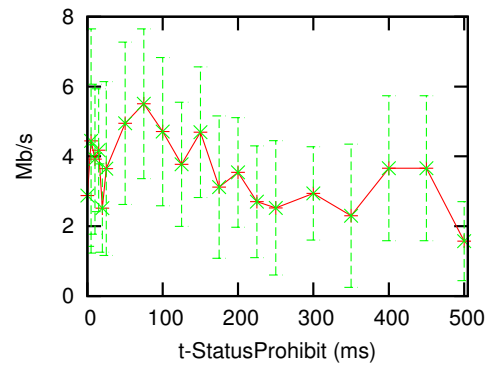
For the MPEG simulations there is no one value for t-Reordering that produces the best performance in both AM and UM. The best results for AM come with the timer set from 50 to 90 ms, while the best UM settings range from 15 to 60 ms.



(a) VoIP average packet delay (AM)



(b) VoIP worst MOS (AM)



(c) FTP Throughput (AM)

Fig. 9: Adjusting t-StatusProhibit for VoIP and FTP

The next series of experiments fix t -Reordering at 40 ms (the NS-3 default) and vary the t -StatusProhibit timer. As described in Section 2, the t -StatusProhibit timer only applies to AM where it controls STATUS messages containing ACKs and NACKs.

Figures 9a and 9b include VoIP performance results with the x-axis for both graphs indicating t -StatusProhibit settings in milliseconds. Since STATUS messages controlled by this timer only exist in RLC AM there are no UM tests to report unlike the tests where t -Reordering is tested. In Figure 9a, the y-axis is the VoIP packet delay in milliseconds, and in Figure 9b, the y-axis is the lowest talkspurt MOS. Both graphs have trendlines indicating experiments with added Atlantic and Pacific delays. The two graphs demonstrate that t -StatusProhibit has a greater impact on VoIP QoS than t -Reordering. Generally, lowering t -StatusProhibit reduces the VoIP packet delay and increases the MOS. The exception being cases such as the t -StatusProhibit setting of 450 ms where the anomalous MOS improvement is likely due to interaction between the two timers. Specifically, when RLC enables t -StatusProhibit, the node cannot send STATUS messages, but it does update the set of packets to retransmit after t -Reordering expires. If t -StatusProhibit starts and then t -Reordering expires, any new packets that need to be NACKed have to wait until t -StatusProhibit expires. For example, if t -StatusProhibit is 400 ms and t -Reordering expires slightly later, almost 400 ms must pass before the NACK STATUS message is sent. However, if t -StatusProhibit is set to 450 ms, t -Reordering may expire when t -StatusProhibit is not running and a STATUS message can be sent earlier.

While lower t -StatusProhibit timers yield better VoIP performance for AM, the lower timer settings also increase STATUS message frequency. Since STATUS messages preempt user data, they reduce the user's uplink throughput. While measuring uplink performance traffic is outside the scope of this investigation, our recommendation is to use 50 ms for t -StatusProhibit when sending VoIP traffic.

The FTP results shown in Figure 9c have the t -StatusProhibit setting in milliseconds on the x-axis and FTP throughput in Mb/s on the y-axis. Each data point is the average FTP throughput at that t -Reordering setting with a standard deviation error bar. From the graph, as for VoIP, setting t -StatusProhibit too high has a negative impact on TCP throughput. The best FTP throughputs are when t -StatusProhibit is set to 75 ms.

Figures 10a and 10b graph MPEG (AM) results for a variety of t -StatusProhibit settings in milliseconds on the x-axis. The y-axis in Figure 10a is the MPEG frame delay in milliseconds while it is the MPEG frame rate in f/s in Figure 10b. Each data point is the average at that t -StatusProhibit setting with a standard deviation error bar.

Based on Figure 10a, unlike the previous experiments with t -Reordering, the t -StatusProhibit setting affects the frame delay. The higher settings of the timer produce both a higher average delay and a higher standard deviation. In Figure 10b, the frame rate remains at 25 f/s for all the settings. However, there is no one setting for the timer that is clearly better than the others. Setting the timer too low can cause multiple STATUS messages that preempt sending user data, while setting the timer too high can delay feedback of lost data to the sender. To balance these concerns, we set t -StatusProhibit to 75 ms for subsequent experiments.

5.4 Fixed Timers and Varied Wireless Loss

This section presents VoIP, FTP and MPEG experiments that use timer settings based on the previous sections' results while utilizing the bursty loss model described in Section 4 to study LTE wireless application performance over varying loss rates for both AM and UM.

The VoIP experiments fix t -Reordering and t -StatusProhibit to 30 ms and 50 ms, respectively, while varying the wireless loss rates from 5% to 35% in five percent increments. Figures 11a and 11b display

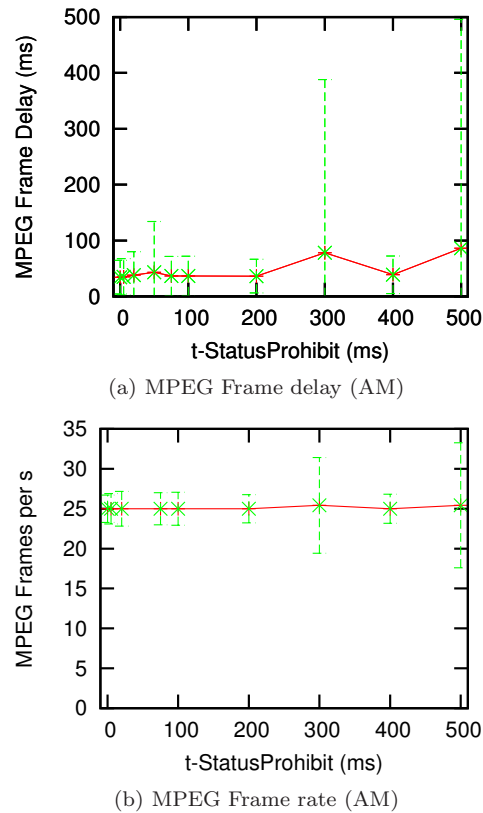


Fig. 10: Adjusting t-StatusProhibit for MPEG

results for an Atlantic VoIP session and a Pacific VoIP session, respectively. For both graphs, the x-axes are the overall percent wireless loss and the y-axes are the lowest talkspurt MOS values. There are two trendlines for each graph, one for AM and one for UM. With these fixed timers, VoIP quality is slightly better using AM compared to UM for up to 20% loss. However, the differences are negligible as call quality at or near MOS 4 is considered good. For loss rates of 25% and higher, VoIP quality is much better with UM. At these higher loss rates, the negative effect due to delays caused by the many AM VoIP retransmissions significantly outweighs the negative effect on MOS caused by more lost UDP packets when using UM.

The FTP experiments fix t-Reordering and t-StatusProhibit to 50 ms and 70 ms, respectively, while varying the wireless loss rates from 5% to 50% in five percent increments.

Figures 11c and 11d graph the results. The top graph provides FTP throughput in Mb/s for loss rates from 5% to 25% and the bottom graph displays FTP throughput in Mb/s for loss rates from 40% to 50%. There are two trendlines for each graph, one for AM and one for UM. Since the models driving these simulations require two distinct input sets from the equations that generate the fading trace files, we present these results separately.

At average loss rates of 5%, FTP has higher throughput over AM than over UM since MAC layer retransmissions can recover much of the lost data without RLC AM retransmissions. Below an average loss

Table 5: MPEG frames lost with UM

Wireless Loss (%)	MPEG Frames Loss (%)
5	5.6
10	5.0
15	13.3
20	24.0
25	31.9

rate of 10%, there is a crossover point where FTP over AM sends more retransmission to make up for lost data, resulting in lower performance. However, there is a second crossover point above the 10% average loss rate, where FTP over AM consistently has higher throughput than does FTP over UM until average loss rates of about 50% where neither mode deals with the losses well and FTP throughput is extremely low.

The MPEG experiments fix t-Reordering and t-StatusProhibit to 30 ms and 75 ms, respectively while varying the wireless loss rates from 5% to 50% in five percent increments.

Figures 12a and 12b depict the LTE simulated results for MPEG video frame delays and Figure 12c and 12d provide MPEG video frame rate results. The top graph in each pair of figures covers loss rates from 5% to 15% and the bottom graph in each pair of figures includes loss rates from 20% to 25%. Again, these results are shown in separate graphs since two distinct input sets are required for the equations that generate the fading trace files. For all graphs, the x-axes are the overall percent loss. In Figures 12a and 12b the y-axes are the MPEG frame delays in milliseconds while the y-axes are the MPEG frame rates in f/s for Figures 12c and 12d. Each graph has two trendlines, one for AM and one for UM.

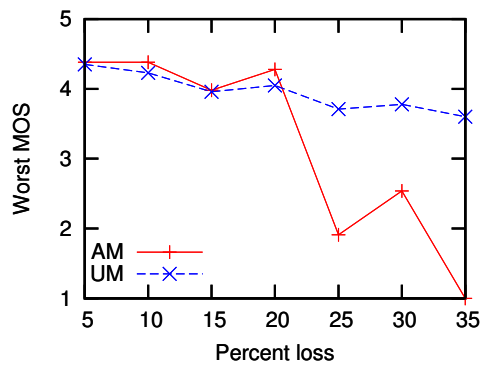
When the loss rate is 10% or less, there is little difference in MPEG performance over AM or UM. As the loss rates increase, the delays on arriving frames increase for MPEG video over AM, while MPEG video over UM has a near constant delay. Conversely, frame rate drops for MPEG video over UM as the loss rate increases. The RLC layer retransmissions increase the delay for the frames but without these retransmissions the packets are lost, decreasing frame rates.

Table 5 lists the percentage of MPEG frames lost when sending MPEG video over UM. An MPEG frame is considered lost if at least one of the UDP packets that make up the frame is lost, or if the frame is dependent on a frame that was lost. From the table, when the loss rate reaches 20%, nearly a quarter of all MPEG frames are lost, whereas MPEG video over AM loses no frames, but has an average frame delay over 100 ms. Whether the delay is more significant than the loss depends upon the application requirements, with interactive MPEG video sessions (e.g., a video conference) being more sensitive to delays than non-interactive sessions (e.g., video on demand).

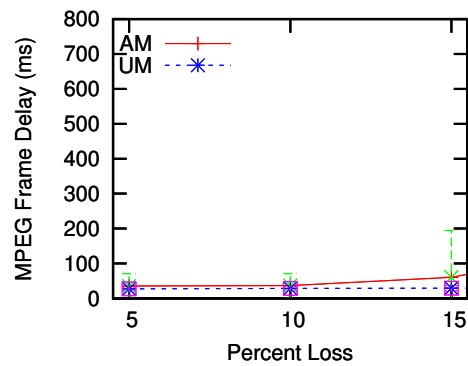
6 Conclusion

The growth and deployment of wireless 4G technologies heightens the need to better understand 4G Long Term Evolution (LTE) and its influence on the variety of application types that use this technology. In particular, users run applications with a range of QoS requirements, from delay sensitive (e.g., Voice over IP), to throughput intensive (e.g., file transfer) to relatively constant bitrates (e.g., video streaming). LTE has several transmission mechanisms and timers to support the variety of end-user applications, but there has yet to be a systematic exploration of the effects of LTE retransmissions and timer settings on application performance.

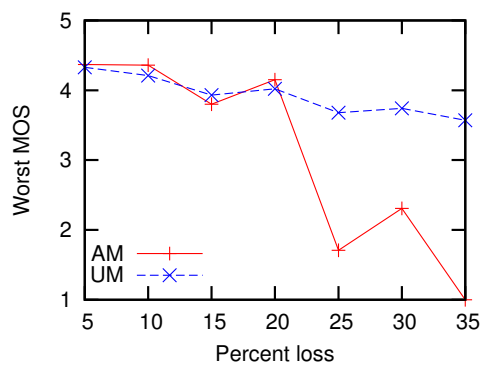
This study examines the impact of 4G LTE timers t-Reordering and t-StatusProhibit and the choice of Radio Link Control (RLC) Acknowledged Mode (AM) versus RLC Unacknowledged Mode (UM) on VoIP,



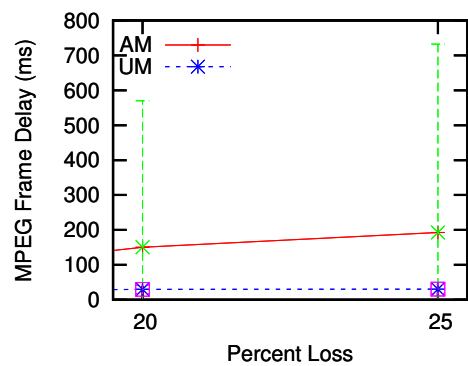
(a) VoIP Worst Talkspurt MOS (Atlantic)



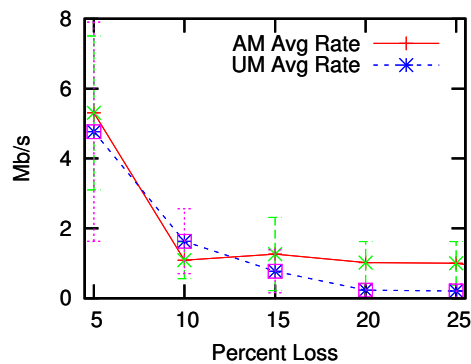
(a) MPEG frame delay (low loss)



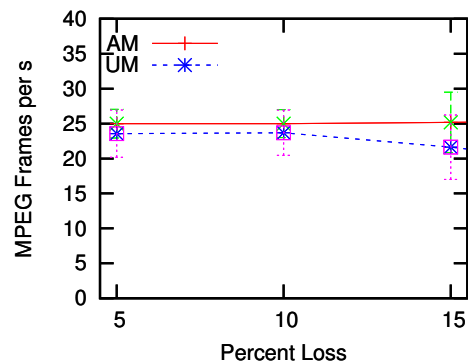
(b) VoIP Worst Talkspurt MOS (Pacific)



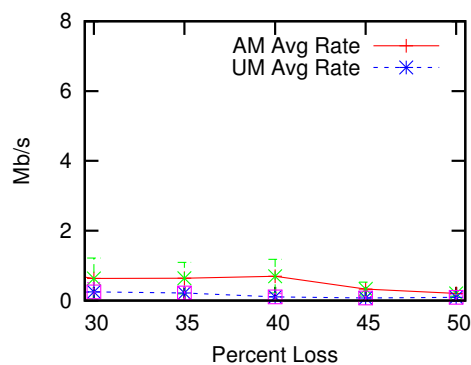
(b) MPEG frame delay (high loss)



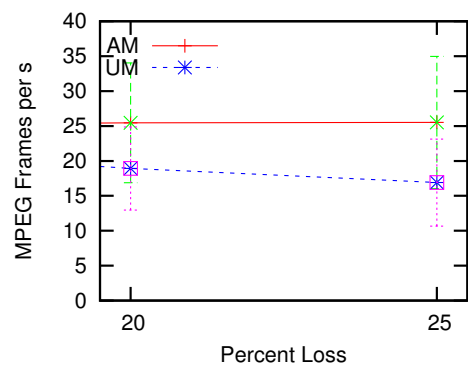
(c) FTP Throughput (low loss)



(c) MPEG frame rate (low loss)



(d) FTP Throughput (high loss)



(d) MPEG frame rate (high loss)

Fig. 11: Fixed t-Reordering and t-StatusProhibit with different loss rates for VoIP and FTP

Fig. 12: Fixed t-Reordering and t-StatusProhibit with different loss rates for MPEG

file transfer and video streaming applications running over 4G LTE cellular networks. This investigation enhanced support to the NS-3 simulator for both AM and UM and focused on carefully designed NS-3 simulation experiments to understand the impact of a range of loss and timer settings on application performance. These experiments yield practical guidelines for LTE timer settings while producing a detailed comparison of the impact of using AM versus UM to improve application quality of experience.

Our simulation results indicate that for UDP VoIP, setting t -Reordering and t -StatusProhibit to 30 ms and 50 ms, respectively, and using AM improves call quality with up to a 20% packet loss rate on the wireless link, compared with UM. For FTP file transfers, t -Reordering and t -StatusProhibit set to 50 ms and 75 ms, respectively, demonstrate that AM provides higher TCP throughputs than does UM. For MPEG video, setting t -Reordering and t -StatusProhibit to 30 ms and 75 ms, respectively, and using UM maintains a lower average frame delay and lower frame loss compared with AM. However, while UM maintains a lower average delay, the resulting lost frames mean that UM has a lower average frame rate.

In general, delay sensitive applications such as VoIP experience better quality when run over RLC UM while throughput sensitive applications such as FTP perform better with the extra retransmissions of AM. Applications such as MPEG video over UDP need to consider the trade off of frame delay and frame loss in choosing AM versus UM.

The t -Reordering timer is best set at a level sufficiently high to permit the MAC layer to effectively recover LTE transport blocks, while the t -StatusProhibit timer is best set low to not adversely delay RLC ACKs and NACKs, but not so low that the network spends an inordinate number of transmissions opportunities sending higher priority AM STATUS messages.

Potential future work on understanding the 4G LTE technology include investigating other RLC retransmission settings and considering other application types running in mobile 4G environments. Conducting a more in-depth empirical study into channel quality indicator (CQI) variability would enable researchers to determine the effectiveness of CQI relative to wireless loss and possibly lead to further study of the RLC timer settings. Moreover, LTE can use different RLC settings for different radio bearers, and LTE traffic flow templates can be used to filter traffic onto multiple radio bearers. Future work could expand evaluation of different applications, e.g., network games, varying RLC layer settings and adding more features to the NS-3 LTE simulator to further the applicability of the simulator.

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