





# Cognitive Radio for Efficient Spectrum Use

Jad Nasreddine Institute for Networked Systems RWTH Aachen University

## Starting Points ...



# Need for Intelligent Equipments and Networks



Introduction

# Outline

### General overview

- DSA to spatial spectrum holes
- DSA to spatio-temporal spectrum holes
- Uncertainty in propagation models
- Related standards
- Summary and open problems

"The cognitive radio identifies the point at which wireless PDAs and the related networks are sufficiently computationally intelligent on the subject of radio resources and related computer-tocomputer communications

- To detect <u>user communications needs as a function</u> of use context, and
- To provide radio resources and wireless services most appropriate to those needs"

J. Mitola, Cognitive radio: An integrated agent architecture for software defined radio, Doctor of Technology, Royal Inst. Technol. (KTH), Stockholm, Sweden, 2000.

# **Cognition Cycle**



J. Mitola, "Cognitive Radio for Flexible Mobile Multimedia Communications," IEEE Mobile Multimedia Conference, 1999, doi: 10.1109/MOMUC.1999.819467

### But then ...

"A radio that can change <u>its transmitter parameters</u> based on interaction with its environment in which it operates"

(FCC 2005)

"A radio or system that senses, and is aware of, its operational environment and can dynamically and autonomously <u>adjust its radio</u> <u>operating parameters</u> accordingly"

(ITU Radio Communication Study Group 2004)

"A cognitive radio is a radio frequency transmitter/ receiver that is designed to intelligently <u>detect whether a particular segment of the</u> <u>radio spectrum is currently in use</u>, and to jump into (and out of, as necessary) the temporarily-unused spectrum very rapidly, without interfering with the transmissions of other authorized users"

(IEEE-USA Board of Directors 2003)

### **CR** Classification

- "CR-0: Not a cognitive radio; pre-programmed behavior, possibly SDR
- CR-I: Spectrum agile radio; exploits Dynamic Spectrum Allocation/Access (DSA)
- CR-II: Smart Cognitive Radio, Mitola Radio with Artificial Intelligence/Learning capabilities; requires
  - 1. Goal orientation; aware of environment
  - 2. Aware of the context; aware of user goals
  - 3. Models environment; self-awareness
  - 4. Analyses, optimizes, and plans its operations yet"

J. Mitola, Cognitive Radio Architecture, J. Wiley & Sons, New York, 2006

## **Current Spectrum Allocation**

UNITED STATES FREQUENCY ALLOCATIONS





http://www.ntia.doc.gov/osmhome/allochrt.pdf

#### General Overview

### Example of Current Spectrum Use (USA)



#### http://www.sharedspectrum.com/measurements/#

## In Summary ...

 "Spectrum access and not spectrum scarcity reduces spectrum efficiency (FCC)"

> Future wireless networks « Dynamic Spectrum Management»



FCC, Spectrum Policy Task Force, "Report of the Spectrum Efficiency Working Group," Nov. 15, 2002

## **Possible Evolution**

#### **Coordinated Dynamic Spectrum Access\***

Centralized spectrum management No priorities The term DSA will refer to this approach in the following

#### **Primary and Secondary Networks**

Opportunistic access of secondary Higher priority of primary

#### Fully shared spectrum

Opportunistic access No priorities

\* M. M. Buddhikot, K. Ryan, "Spectrum Management in Coordinated Dynamic Spectrum Access Based Cellular Networks," *IEEE DySpan,* 2005, doi: 10.1109/DYSPAN.2005.1542646

## **Primary Network Categories**

#### Broadcast Networks (First step):

- Example: TV
- Advantage: Low frequency and stable transmission
- Constraint: Receiver detection is difficult
- Cellular Networks:
  - Example: GSM, UMTS, CDMA-2000, LTE, LTE-A
  - Advantage: Uplink and downlink bands are jointly allocated, existence of pilot channel
  - Constraint: Dynamic traffic and frequency use, multiple transmitters, pervasive coverage, power control, different services, mobile transmitters and receivers, etc.
- Detect-and-avoid based networks:
  - Example: WiFi
  - Advantage: Existence of pilot channels
  - Constraint: opportunistic access to spectrum
- Push-to-talk like networks:
  - Always listening to the channel even if there is no transmission

Bruce A. Fette, Ed., Cognitive Radio Technology. Elsevier, 2006

## Setting the Scene



## Information Exchange



## **Spectrum Holes and Primary Protection**

Secondary

users





Each primary receiver is satisfied in at least X% of time

#### In space domain

At least X% of primary users are satisfied at a given period of time

#### In power

Increase transmission power

SINR 4

Interference

#### General Overview

# Cognitive Cycle Becomes DSA Cycle



## **Enabling Technologies**

- Software Defined Radio (SDR)
  - Allows spectrum agility
- Cheap mobiles with high performance
  - Integrated positioning techniques and increasing storage capacity
- Flexible access technologies (OFDMA, TDD, UWB)
  - Allows more flexible spectrum allocation
- Antennas
  - Smart antennas, beamforming
- Self-organized networks
  - Minimization of Drive Tests (MDT), Femtocells

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## Motivations

- VHF/UHF bands between 54 MHz and 862 MHz
  - Low frequencies → low propagation losses
- Frequency reuse
  - Creation of large zones where some channels are not used
- Known position of TV transmitters and constant transmission characteristics
- Good understanding of propagation patterns

## **Creating and Using Spatial Holes**





## **Spectrum Hole Concept**



## **Spectrum Hole Concept**

Allow secondary transmission  $\rightarrow$  Erosion in the SINR (or coverage area)\*



\* Anant Sahai, Kristen Woyach, Kate Harrison, Hari Palaiyanur, and Rahul Tandra, "Towards ``A Theory of Spectrum Zoning''," Allerton, October 2009.

DSA to Spatial Spectrum Holes

### Allowed Transmit Power and No-talk Zone

#### Secondary power $P \rightarrow$ Allowed transmission at distance r higher than $r_{\rm th}$



DSA to Spatial Spectrum Holes

## Allowed Transmit Power and No-talk Zone



## **Spectrum Holes in Practice**



## **Spectrum Holes in Practice**

Primary receiver and secondary transmitter filters are not perfect



#### DSA to Spatial Spectrum Holes

## Example of Channel Availability in Germany



J. van de Beek, J. Riihijärvi, A. Achtzehn, P. Mähönen "UHF white space in Europe — A quantitative study into the potential of the 470–790 MHz band," IEEE DySPAN, 2011, doi: 10.1109/DYSPAN.2011.5936207

# **Monitoring Compliance to Constraints**

No feedback loop reporting TV receiver quality

Implement monitoring nodes			
Secondary network	Third party	Primary network	
Different propagation characteristics for monitoring nodes and TV receivers	n d	Different locations for monitoring nodes and TV receivers	

### **Cooperative monitoring\***

K. Muraoka, H. Sugahara, M. Ariyoshi, "Monitoring-based spectrum management for expanding opportunities of white space utilization," IEEE DySPAN 2011, doi: 10.1109/DYSPAN.2011.5936216



### Approaches



## **Sensing Principles**



# **Sensing-driven Techniques**

Determine if the secondary is outside the non-talk zone based on the received signal		
Energy detection	<ul> <li>Used if there is no information on primary user signal</li> <li>Very simple</li> </ul>	tion
Matched filter detection	<ul> <li>Optimal detector if all information of the primary user signal is known</li> <li>Produces poor performance if primary users information is not known</li> </ul>	ative Detec
Feature detection	<ul> <li>Exploit in the characteristics of primary signals (periodic components)</li> <li>Computationally complex and requires long observation time</li> </ul>	Cooper

### **Database-driven Approach**

#### Some facts

Positions of TV towers are known Transmit power is known Continuous transmission

- Based on primary and secondary traffic distribution
- Distribution of equipments and software

Database architecture

#### Spectrum availability determination

- Offline process
- Based on primary properties
- Requires good propagation models and terrain models
- Periodical or on demand updates



 Requires node localization, propagation models and mobility estimation

Information dissemination

#### DSA to Spatial Spectrum Holes

### Database-driven Example


#### Sensing or No Sensing?

- TV transmission is continuous
- Spectrum holes may seldomly appear or disapear

# Last regulation decision is to use sensing as an optional technique\*

# Sensing can be used as a support for database-driven techniques

#### To enhance propagation models

"Second report and order and memorandum opinion and order," in ET Docket No. 04-186 and ET Docket No. 02-380, FCC 08-260, November 4 2008

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### Main Remaining Challenges

- Propagation models
- Multiple secondary transmitter power
- Multiple secondary access providers
- Applications
  - Can we deploy LTE networks as secondary networks?
- Secondary mobility
- Channel allocation and planning
- Measuring and verifying compliance

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### **Motivations**

Most of the work on dynamic spectrum access focuses on TV white spaces where the primary user is a TV broadcasting network

What about opportunistic access to cellular spectrum?

## **Cellular Primary Spectrum**

The spectrum assigned to cellular networks can be underutilized at some periods of time ...



## Challenges



#### **Main Questions**

- How primary networks can release spectrum blocks and determine constraints on experienced interference?
  - Exploit the flexibility of access technologies to enable secondary activities (Creating artificial spectrum opportunities)
- How the secondary can find, in the fastest way, the best spectrum blocks and respect primary constraints?
  - Use of available information of primary transmitters

# **Creating and Using Spatio-Temporal Holes**





# **Creating Spectrum Holes**

- No loss of coverage → No dead zones
  - Reducing the coverage as in broadcast network <u>is not</u> a solution
  - Adding more base stations solution <u>is costly</u>



#### **Conservative Approach**

- Any approximation in the model should be biased to a more conservative approach with respect to primary protection
  - Secondary node will consider the Worst Case primary terminal Position (WCP) for
    - Primary receiver
    - Secondary transmitter
  - The estimated primary and secondary coverage area by the secondary is the circle that contains the real coverage area

## **General Approach**

Probability of non-satisfaction  $\varepsilon$  should be always lower than threshold  $\varepsilon_{th}$ 



- The primary determines  $\iota_{\max}$  to guarantee  $\varepsilon_p < \varepsilon_{p,th}$
- Secondary transmission should guarantee  $\varepsilon_s < \varepsilon_{s,th}$

#### System Model



#### L<sub>SP</sub> with Known Position of Secondary Transmitter





#### L<sub>SP</sub> with UnKnown Position of Secondary Receiver





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### **Creating and Exploiting Spectrum Holes**



### **Creating and Exploiting Spectrum Holes**



#### Creating and Exploiting Spectrum Holes



#### **Performance Index**



#### **Useful Released Surface (URS)**

• For a given frequency allocation:

$$URS = \sum_{f=1}^{F} W^{(f)} \sum_{c=1}^{C^{(f)}} S_{c}^{(f)} \omega_{c}^{(f)}$$

W(f): the bandwidth of carrier f

C(f): the set of non-contiguous areas where f could be used by another network

 $S_c^{(f)}$ : the surface of contiguous are *c* where *f* could be used by anothen network

 $\omega_c^{(f)}$ : the weight given to this area depending on the expected number of other network' users in this area



J. Nasreddine, J. Pérez-Romero, O. Sallent, R. Agustí, "A Primary Spectrum Management Solution Facilitating Secondary Usage Exploitation," ICT-Mobile Summit, Stokholm-Sweden, 2008

#### **Example: Releasing Channels in OFDMA-based Systems**

T orthogonal frequency channels No dead zones should be allowed in the primary system Same propagation characteristics Same probability of activity for all base stations  $\alpha$ 

Find the number of shared channels and the value of the tolerable interference threshold  $i_{max}$  and released resources corresponding to the non-satisfaction probability  $\varepsilon_{p,th}$ 

J. Nasreddine, A. Achtzehn, J. Riihijärvi, P. Mähönen, "Enabling Secondary Access through Robust Primary User Channel Assignment," IEEE GLOCECOM 2010, doi: 10.1109/GLOCOM.2010.5683150

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#### **Example: Main Idea**

Divide the cells into two zones



- *L*<sub>th</sub> is defined by
  - Zone where users sharing a channel with secondary will have the same SINR as the one at the initial borders without secondary

$$P - L_{\rm th} - 10\log\left(10^{I_{S,\rm th}/10} + 10^{P_N/10} + 10^{\iota_{\rm max}/10}\right) = P - L_{\rm max} - 10\log\left(10^{I_{S,\rm max}/10} + 10^{P_N/10}\right)$$

• Takes into account cell load  $I_{S,th} = I_{S,max} + 10\log(\alpha)$ 

### **Example: Computing Sharing Parameters**

#### • Probability $\varepsilon_p$ is defined as

- The probability of having at least one user from the protected zone associated to a shared channel
- $N_p$  users in the protected zone  $\rightarrow$  constraint on  $\varepsilon_p$  becomes

$$\mathbb{P}\{N_p \leq \tau - 1\} \leq 1 - \varepsilon_s \leq \mathbb{P}\{N_p \leq \tau\} \rightarrow \text{the value of } \tau$$
where
$$\mathbb{P}\{N_p \leq \tau\} = \sum_{i=0}^{\tau} \binom{N}{i} P_{\text{th}}^i (1 - P_{\text{th}})^{N-i}$$

$$= (N - \tau) \binom{N}{\tau} \int_0^{1 - P_{\text{th}}} t^{N - \tau - 1} (1 - t)^{\tau} dt$$

$$P_{\text{th}} \equiv \mathbb{P}\{L > L_{\text{th}}\} = 1 - \int_{-\infty}^{\underline{L}_{\text{th}}} p_L(t) dt$$

$$p_L(t) = \int_{-\infty}^{\infty} p_{L_r}(s) p_{\chi}(s - t) ds \quad \text{(pdf of the total path loss)}$$

#### **Example: Results**

System parameter	value				$\iota_{\max}$		
Bandwidth $W$	10 MHz	α	-130 dBm	-110 dBm	-90 dBm	-70 dBm	-50 dBm
Cell radius $r$	500 m	0.2	(1, 1)	(1, 1)	(4, 1)	(10, 6)	(10, 10)
Path loss threshold $L_{\max}$	128.65 dB	0.4 0.6	(1, 1) (1, 1)	(1, 1) (1, 1)	(6, 1) (9, 2)	(19, 10) (28, 14)	(20, 18) (30, 26)
Transmitted power per channel $P$	29 dBm	0.8	(1, 1) (2, 1)	(2, 1)	(11, 2)	(37, 18)	(40, 34)
Internal interference $I_{S,\max}$	-110 dBm	1	(2, 1)	(2, 1)	(13, 3)	(46, 22)	(50, 42)





# Challenges

Estimation of allowed transmit power



- Multiple primary transmitters with dynamic activity
- Information uncertainty (location, activity patterns, etc.)
- Finding the best channel to transmit taking into account
  - Allowed transmit power in each channel
  - Interference from primary and secondary users in each channel
  - Opportunity duration
    - Renewal theory can be used here
- Rendez-vous problem
  - Opportunity dynamism is very high
- Secondary spectrum sharing problem
  - Multiple secondary transmitter impact on primary network
  - Secondary internal interference problem

#### **Does Sensing Make Sense?**

- Unknown primary transmit power, multiple primary transmitters, short temporal spectrum opportunities ...
  - Traditional energy detection cannot be used
    - Multiple transmitter, unknown transmit power, fast traffic patterns, ...
  - Cooperative sensing, cyclostationary detection and database-driven are also very difficult
    - Time to transfer data can be longer than the temporal spectrum opportunity

#### **Estimation of Allowed Power: Problem Formulation**

- Locations of primary base stations are known
- Primary instantaneous activity patterns are unknown to the secondary nodes
- Frequency allocation to primary cells can be optionally sent to secondary network
  - In this case the algorithm is called ESDA-AT otherwise SDA-AT
- Spectrum hole: frequency band where the secondary allowed transmit power is higher than P<sub>min</sub>



# Secondary receives signals from multiple primary transmitters

#### Find the maximum allowed transmit power satisfying primary constraints

J. Nasreddine, J. Riihijärvi, P. Mähönen, "Location-based Adaptive Detection Threshold for Dynamic Spectrum Access," IEEE DySPAN 2010), doi: 10.1109/DYSPAN.2010.5457863

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#### Main Idea

- Transmit with a power leading to  $Pr_{int} = \mathcal{E}_{s,th}$
- Iterative algorithm
  - For each primary cell, we estimate whether it is active at present time or not
  - Given event *M* that we miss-detect the activity of the given cell, we have for the total interference probability that

$$\Pr\left\{I \geq \iota_{\max} \mid M\right\} \Pr_{m} + \Pr\left\{I \geq \iota_{\max} \mid \overline{M}\right\} (1 - \Pr_{m}) = \mathcal{E}_{s, \text{th}}$$

$$P_{s, 1} > P_{s, 2}$$

#### The method can be also extended to take into account primary activity distribution

#### **Simple Scenario Results**

- Seven hexagonal cells with frequency reuse factor 7
- All cells, except central cell, are transmitting
- In the Ideal algorithm the secondary node knows which are the active primary base stations



In more than 70% of the cases where the secondary node is allowed to transmit The power loss by the ESDA-AT is always lower than 0.5 dB

In the central cell the gain decreases when we move further away from the base station

#### **Sensing and Transmit Periods**

- With what periodicty the secondary should sense?
  - Frequent sensing requires complex hardware
  - Seldom sensing may lead to high temporel miss-detection
- When a spectrum hole is detected, for how long the secondary can transmit?
  - Long periods lead to high temporel miss-detection
  - Short periods reduce secondary performance



\*H. Kim and K. G. Shin, "Efficient discovery of spectrum opportunities with MAC-layer sensing in cognitive radio networks," IEEE Transactions on Mobile Computing, vol. 7, no. 5, pp. 533–545, May 2008, doi: 10.1109/TMC.2007.70751 \*M. Sharma, A. Sahoo, and K. D. Nayak, "Model-based opportunistic channel access in dynamic spectrum access networks," IEEE GLOBECOM 2009, doi: 10.1109/GLOCOM.2009.5425907

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#### Uncertainty

#### Uncertainty in the required information

#### Main problem in DSA and future wireless networks

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#### **Uncertainty Sources in DSA**

Noise level and distribution	<ul> <li>Main problem for TV white space detection based on sensing</li> <li>Determines detector sensitivity through SNR wall or the SNR below which robust detection is impossible for the given detector*</li> <li>Mitigated by sensing techniques and sensitivity enhancement</li> </ul>			
Primary transmitters' characteristics	<ul> <li>Main problem for DSA techniques in cellular networks and database-driven techniques for TV white space</li> <li>Includes uncertainty in location<sup>†</sup>, traffic patterns, transmit power, etc.</li> </ul>			
Propagation models	<ul> <li>Main problem of all DSA techniques</li> <li>Affects the estimation of protection zone in TV white space and the estimation of allowed transmit power</li> <li>Uncertainty in distance-dependent loss<sup>†‡</sup>, shadow and fast fading, shadow correlation<sup>1</sup>, etc.</li> </ul>			
R. Tandra, A. Sahai, "Noise calibration, delay coherence and SNR walls for signal detection," IEEE DySpAN 2008 R. Murty & al. "SenseLess: A Database-Driven White Spaces Network," IEEE DySPAN 2011 C. Phillips, D. Sicker, D. Grupwald, "Bounding the Error of Path Loss Models," IEEE DySPAN 2011				

<sup>a</sup> J. Nasreddine & al., "Transmit Power Control for Secondary Use in Environments with Correlated Shadowing," ICC 2011

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#### System Model



We have: Primary SINR threshold  $\gamma_r$ Estimated path loss  $L_{TS}$  We want to estimate the maximum secondary allowed transmit power  $P_S$ 

#### System Model



 $L_{XY} = F_{XY}(d_{XY}) + \chi_{XY} \text{ (function } F_{XY} \text{ and distribution of } \chi_{XY} \text{ are known)}$  $\operatorname{corr}(\chi_X, \chi_Y) = \frac{E[(X - E(X))(Y - E(Y))]}{\sigma_X \sigma_Y}$ 

 $r_{T}, r_{S} \text{ and } r_{R} \in [-1, 1]$ 

#### The correlation matrix is positive semi-definite

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#### **Uncertainty in Propagation Models**

### **Case with Known Correlation Matrix**



**Uncertainty in Propagation Models** 

### **Case with Unknown Correlation Matrix**

Assume no correlation when computing  $P_S$ 

$$\epsilon = 0.05$$
  
 $\gamma_r = -2.6 \text{ dB}$ 





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### IEEE P1900 (IEEE DySPAN-SC)

- A standard for Dynamic spectrum access networks
  - Address new technologies and techniques being developed for DSA
- Working Groups
  - IEEE1900.1: Definitions and Concepts for Dynamic Spectrum Access
  - IEEE1900.2: Recommended Practice for the Analysis of Inband and Adjacent Band Interference and Coexistence Between Radio Systems
  - IEEE1900.3: Recommended Practice for Conformance Evaluation of Software Defined Radio (SDR) Software Modules(disbanded)
  - IEEE1900.4: Architectural Building Blocks Enabling Network-Device Distributed Decision Making for Optimized Radio Resource Usage in Heterogeneous Wireless Access Networks
  - IEEE1900.5: Policy Language and Policy Architectures for Managing Cognitive Radio for Dynamic Spectrum Access Applications
  - IEEE1900.6: Spectrum Sensing Interfaces and Data Structures for Dynamic Spectrum Access and other Advanced Radio Communication Systems
- New working group1900.7 for white space radio interface

http://grouper.ieee.org/groups/scc41/

### IEEE 802.22

### Specifications

- TV white Space: VHF/UHF bands (54 MHz 862 MHz)
- MAC and PHY for large and sparsely populated areas
- Network with infrastructure for fixed and portable terminals
- Based on sensing and geolocation database
- Beacon system for low-power license-exempt devices

#### Geo-location

- Mandatory by the FCC for white Space (2008)
- GPS-based and triangulation is supported: GPS antenna at each terminal
- Possibility of off-line geo-location processing
- Beacon
  - Signal of 250 mW transmitted by wireless microphone BS
  - Repeated as pseudo-noise sequences and occupying 78kHz

http://www.ieee802.org/22

### More IEEE 802.xx

#### IEEE 802.19

 "Reviews coexistence assurance (CA) documents produced by working groups developing new wireless standards for unlicensed devices"

#### IEEE 802.11af

 "Modifications to both the 802.11 PHY and MAC layers, to meet the legal requirements for channel access and coexistence in the TV White Space"

#### IEEE 802.11y: Co-primary access

- Small non-exclusive fees for Licensees (3650-3700 MHz)
- Spectrum sharing among licensees
- Might be applied to IMT Advanced

http://grouper.ieee.org/groups/802/19/ https://mentor.ieee.org/802.19/documents http://en.wikipedia.org/wiki/IEEE\_802.11y-2008

### **Other Standards**

### IETF PAWS: Protocol to Access White Space Devices

- "Specifying messaging interface between the devices and database"
- Very early stage of development
  - Based on simple https "get" command
- ETSI RRS: Reconfigurable Radio Systems
  - System solutions and architectures related to software defined radio and Cognitive Radio
  - Cognitive radio in white space for public safety
  - Cognitive Pilot Channel (CPC)

http://www.etsi.org/WebSite/technologies/RRS.aspx https://www.ietf.org/mailman/listinfo/paws

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### And Now ...



#### What are the possible roadmaps?

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### Insight to the Future

- Back to the source: Mitola's cognitive radio
  - A cognitive engine that spans over all layers
  - Machine learning techniques where it is possible
  - Cognitive base stations, femtocells and terminals that can learn their environments
- Application for TV white space
  - Distributed solutions for multiple secondary transmitters
- Dynamic propagation models
- Impact of uncertainty → TRUST
- Spatio-temporal spectrum holes!

# ACROPOLIS

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## **Thank You!**



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