A Radio Resource Management Framework for TVWS Exploitation under an Auction-based Approach

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Abstract—**This paper elaborates on the design, implementation and performance evaluation of a prototype Radio Resource Management (RRM) framework for TV white spaces (TVWS) exploitation, under an auction-based approach. The proposed RRM framework is applied in a centralised Cognitive Radio (CR) network architecture, where exploitation of the available TVWS by Secondary Systems is orchestrated via a Spectrum Broker. Efficient RRM framework performance, as a matter of maximum-possible resources utilization and benefit of Spectrum Broker, is achieved by proposing and evaluating an auction-based algorithm. This auction-based algorithm considers both frequency and time domain during TVWS allocation process which was defined as an optimization problem, where maximum payoff of Spectrum Broker is the optimization goal. Experimental tests that were carried-out under controlled conditions environment, verified the validity of the proposed framework, besides identifying fields for further research.**

Index Terms—**TV White Spaces, Radio Resource Management, Cognitive Radio Networks**

I. INTRODUCTION

Cognitive Radio (CR) technology [1] was introduced in response to wireless networks needs for increased spectrum availability and improved radio-resource utilisation. Towards this direction, CR devices sense the surrounding spectral environment, identify any possible unused/unoccupied frequencies and adapt their transmission/reception parameters (operating spectrum, modulation, transmission power, etc.) for opportunistically accessing them, besides maintaining interference-free operation. Although conceptually quite simple, the introduction of CR networks is not a straightforward process especially in licensed bands, where the existing spectrum management framework (i.e. the Command-and-Control regime) allows only Licensed/Primary systems to operate (e.g. DVB-T, DVB-H, PMSE, etc.), while prohibiting any other secondary/unlicensed transmission. Even though the utilization of advanced signal processing techniques may enable a very efficient spectrum-usage under the existing spectrum management framework of "command-and-control", there is a worldwide recognition that these methods of spectrum management have reached their limit and are no longer optimal. Furthermore, studies [2] have shown that there is a large number of under-utilised licensed spectrum, such as the TV white spaces (TVWS) [3], while in order to break away from the inflexibility and inefficiencies of command and control regime, a new spectrum policy is vital to be adopted that will permit the introduction of CR networks in such spectrum bands.

Amongst the envisaged schemes [4], [5], [6] is the "Real-time Secondary Spectrum Market - RTSSM" policy, enabling Primary users (license holders) to trade spectrum usage rights to Secondary players (license vendees), thereby establishing a secondary market for spectrum leasing and trading. RTSSM policy may be realized in centralised CR architectures, where intermediaries, such as a Spectrum Broker, carry out spectrum trading, which can be based on technical and financial aspects. Spectrum Broker is in charge of allocating spectrum dynamically among competing secondary systems, as a matter of type of services, access characteristics and QoS level requests, besides federating the economics of such transactions. Extensive research work has been contacted based on economic aspects, such as game theory [7], contract theory [8], auctions [9] and commodity pricing [10]. Among the proposed research approaches, auction-based algorithms have been exploited, towards elaborating on spectrum allocation issues [11], because of their fairness, efficiency and valuation independence [12]. A critical factor for auction-based approaches is to guarantee an economic property

namely truthfulness [12], which denotes that bids submitted by the secondary systems requesting access to the available spectrum, reflect their true valuation.

However, a vital issue in such spectrum allocation processes is to achieve the most optimal solution, in terms of increasing Spectrum Broker benefit and provide an efficient spectrum utilisation. In a Broker-based CR architecture, the most optimal allocation can be performed, through collaboration among a radio resource management entity (RRM) [4], [13] as well as a spectrum trading entity. The former is responsible for optimally allocating the available TVWS, as a matter of maximum possible spectrum utilisation and minimum frequency fragmentation by exploiting optimisation methods [14]. On the other hand, spectrum trading entity undertakes/performs the economics of the TVWS transactions, taking into account a "spectrum-unit price" (e.g. cost per MHz).

More specifically, the objective of Spectrum Broker, during spectrum allocation process, is to maximize its revenue/profit, while the buyer desires to maximize the utility of spectrum usage, as well as its satisfaction in terms of QoS performance. However, these objectives generally conflict with each other. Therefore, an optimal and stable solution for wireless resources allocation in terms of pricing would be required, in order both radio spectrum seller and buyer are satisfied, according to their requirements. For this purpose, pricing can be considered as a major issue, closely related to spectrum allocation process that can keep fairness among the secondary systems and offer revenue to the Spectrum Broker. For instance, an integrated pricing, allocating and billing system is proposed in [15] for cognitive radio networks and a joint power/channel allocation scheme used in order to improve the performance of the network, is proposed in [16].

Furthermore, bidders (i.e. secondary systems) submit their bids (e.g. in terms of bidding price and quantity per spectrum unit) to an auctioneer, following a radio spectrum auction process. Auctioneer is then in charge to determine the winning radio spectrum bidder. Then, the spectrum is leased at a price, which will be defined during the auction process. Thereby, secondary systems can express their urgency to obtain access into the radio resources by submitting their bids. Thus the auction process allows secondary systems to actively influence the radio resources, in contrast to the Fixed Price Market, in which systems can only passively access the spectrum according to the first-come-first-served principle [17]. However, the above mentioned and related research approaches have not yet addressed the auction process for TVWS allocation, considering both frequency and time domains.

In this context, this paper proposes a RRM framework that exploits a combinatorial auction process, enabling to lease the unused television spectrum (i.e. TVWS) to mobile operators and wireless network providers (i.e. secondary systems), by respecting a number of technical constrains that guarantee specific QoS requirements (i.e. transmission power limitations, bandwidth usage, interference limitations). To achieve this, a spectrum trading mechanism is proposed, operating in a centralized entity, (i.e. Spectrum Broker) of the entire CR network architecture. This centralized entity enables for optimally allowing secondary systems to exploit TVWS channels that are available in a specific location, based on the results of a combinatorial auction process. Spectrum Broker increases revenue, either by minimizing the spectrum fragmentation, under a fixed-price policy derived from market-driven rules [18], or by maximizing its profit, as well as the spectrum usage efficiency, under an auction-based policy. The auction-based algorithm that is proposed in this paper, considers both frequency and time domains, exploiting the second revenue model (i.e. spectrum auctions), while research work regarding fixed-price model is presented in [4], [5].

Following this introductory section, section 2 discusses the design of an auction-based CR network architecture, operating under the RTSSM regime. Section 3 elaborates on the auction process problem formulation and the performance evaluation of the proposed algorithm, in terms of spectrum broker utility/benefit, while section 4 concludes the paper by identifying fields for future research.

II. AUCTION-BASED CR NETWORK ARCHITECTURE

This section presents a broker-based CR network architecture for the efficient exploitation of TVWS under the RTSSM regime. The overall architecture of this network is depicted in Figure 1, and comprises two core subsystems: a) a Spectrum Broker responsible for coordinating TVWS access and administrating the economics of radio-spectrum exploitation, and b) a number of Secondary Systems (i.e. mobile network operators and wireless network providers), competing/requesting for TVWS utilisation.
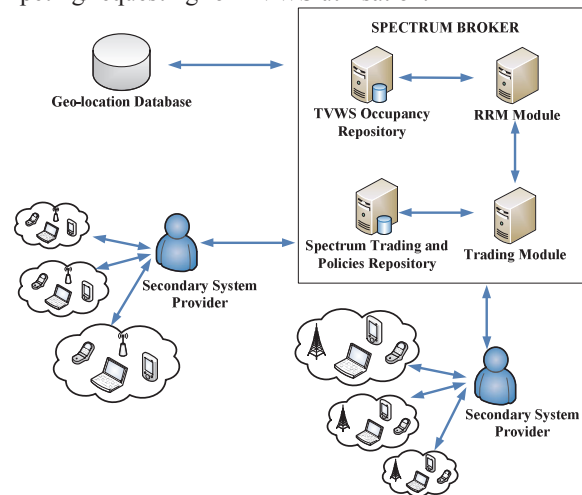

Fig. 1. CR network architecture operating under the RTSSM regime

According to this architecture, Spectrum Broker consists of four sub-entities, a TVWS occupancy repository, a RRM module for TVWS allocation, a spectrum trading repository and a spectrum trading module. The TVWS occupancy repository obtains information from the national database, namely as Geo-location database, which includes data regarding the available TVWS in specific locations and the

maximum allowable transmission power of secondary systems per channel, in order to avoid causing interference to primary systems. The TVWS occupancy repository creates a spectrum-portfolio, including all the above mentioned information that is advertised to bidders. Moreover, the RRM module matches the secondary systems requirements with available resources and thus allocates the TVWS based on QoS requirements. The TVWS allocation mechanism implements an algorithm that uses information from the Geo-location database to determine the TVWS bands and power at which a secondary system should be allowed to operate, in order to avoid spectrum fragmentation, optimise QoS and guarantee fairness in TVWS access. A trading module (see Figure 1) is in charge to determine the revenue of Spectrum Broker that aims to trade/lease radio spectrum with temporary exclusive rights to the most valuable bidder. Furthermore, calculation of price per spectrum unit is obtained by following an Administrative Incentive Pricing (AIP) method [19], considering the following factors: Reference Rate, Bandwidth, Area Sterilized, Sharing, Band Factor, Location Factor. These factors are analysed below and are used in setting the AIP of TVWS reflecting various secondary users' needs.

· Reference Rate (Reference rate of each unit bandwidth: x € per 2 x 1MHz. This spectrum price is determined based on spectrum demand for a specific frequency and geographical location).

· Bandwidth (Directly proportional to the link bandwidth in MHz but with a preset minimal value, e.g. 1kHz or 1MHz).

· Area sterilized (The area within which another service is using the same channel cannot be assigned without harmful interference. Higher availability requires higher radiated power levels, which is an opportunity cost for other users).

· Exclusive/ shared use (Reduction of 50% when channel is shared – this can be reflected in the pricing algorithm).

· Band factor (Band usage - Highly popular, Medium popular and Less popular bands. This factor adjusts the license fees to encourage a general use of higher bands).

· Location factor (Population - High, Medium, and Low population).

· Other Factors (Path length factor, Congestion tolerance, License terms - Long-term lease, a scheduled lease, and a short-term lease or spot markets, Type of Antenna, Priority).

Finally, spectrum trading repository hosts information about the TVWS selling/leasing procedure, as well as the spectrum-unit price to be exploited during the trading phase, creating a price-portfolio.

The Spectrum Broker of the proposed network architecture is in charge of trading the available spectrum to a number of competitive secondary systems or bidders (denoted as I) that participate in the auction process. The total available spectrum, which can be leased by the Spectrum Broker is denoted as BW, comprising 10 TV channels (each one of 8MHz), scattered in the UHF spectrum, according to the spectrum pool depicted in Figure 2. In this case, the commodity of the auction is the spectrum, which consists of four fragments denoted as F, each one having different power requirements and sizes in MHz, denoted as F_i. Based on this spectrum pool, fragments sizes

are $F_1 = 24MHz$, $F_2 = 8MHz$, $F_3 = 24MHz$ and $F_4 = 24MHz$, while the aggregated available spectrum is 80 MHz. It has to be noted here that data of spectrum pool includes results from measurements, obtained in Munich area, Germany, in the framework of FP7-ICT COGEU project [20]. The total spectrum can be leased to I auction participants, such as LTE, WiMax, UMTS, WiFi and Public Safety secondary systems with different bandwidth and transmission power requirements. The final allocation of the fragments depends on the bids of all secondary systems and the profit maximization function of the Spectrum Broker.
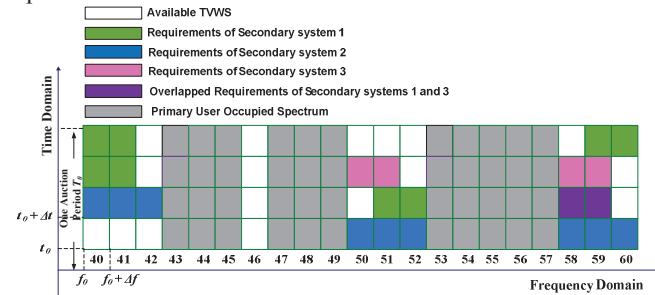

Fig. 2. Time and Frequency domains for TVWS allocation

The Spectrum Broker of this CR network architecture initially advertises data regarding spectrum portions that are available to be leased to secondary systems, as well as relevant maximum allowable transmission power thresholds. This information originated from the Geo-location database, is hosted within the TVWS Occupancy Repository. The Spectrum Broker firstly advertises both spectrum-portfolio and price-portfolio to the secondary systems. Secondary systems are then notified regarding the available radio spectrum units, as well as the call price of them. After this stage, bidders (i.e. secondary systems) send/define their bids for the spectrum portion of interest, as well as the offered price. Spectrum Broker collects all bids and sends them to Radio Resource Management (RRM) module. RRM module analyses and processes bids as a matter of secondary systems technical requirements and the locally available TVWS channel characteristics. For each spectrum portion/fragment, Spectrum Broker creates and maintains a list with bids per time period, namely as auction-portfolio, in order to choose the most valuable bidder for each specific time slot. It has to be noted here that if two secondary systems send bids with the same requirements, factor of time defines the priority of the bid in order to be on higher position in the auction-portfolio. The auction portfolio is also analysed/elaborated by a Trading Module, taking into account a spectrum-unit price or call price (e.g. cost per MHz) that is based on spectrum-auction policies.

Finally, an optimised solution combining the RRM results and the Trading Module output is obtained, enabling Spectrum Broker to sell/assign TVWS frequencies to the corresponding secondary systems under the RTSSM regime/policy. In other words, Spectrum Broker is responsible for obtaining the best-matching solution, through an optimisation-based process, which constitutes a NP-hard problem, thus an approximation algorithm is required in order to solve the auction process.

TVWS channels can be considered for leasing by Spectrum Broker, taking into account both time and frequency domains, as shown in Figure 2. More specifically, Figure 2 depicts the occupied and the available TVWS, as well as requirements of secondary systems for accessing spectrum at specific time durations. S denotes all available TVWS, while Δt and Δf denote time and frequency interval respectively. For each ($\Delta t, \Delta f$) an unused part of spectrum is available for specific time (i.e. slot). According to the proposed auction process (see Table 1) and when CR network architecture operates under the auction-based mode, Spectrum Broker collects bids to lease spectrum to secondary systems and subsequently determines the allocation solution along with the price for each spectrum portion from the price portfolio, in order to maximize its profit. The auction process is repeated, when spectrum portions are still available.

TABLE I.   AUCTION-BASED ALGORITHM PSEUDO-CODE

1: **Inputs:** $TVWS_{pool}$, Location(x,y), $Power_{max}$, $Demand_{SS}$
2: Update TVWS repository from Geo-location database
3: Estimate the spectrum-unit price based on administrative incentive pricing (AIP)
AIP = {Reference Rate, Bandwidth, Area Sterilized, Sharing, Band Factor, Location Factor}
4: Create and advertise price-portfolio
5: Receive secondary systems bids $P_i^{(b)} = \{P_1^{(b)}, \ldots, P_I^{(b)}\}$, where $P_i^{(b)}(x_i, t_i)$
6: **for** all Bids **do**
7:       Sort $P_i^{(b)}(x_i, t_i)$ in descending order based on price and create the auction-portfolio
8: **end for**
9: Calculate the highest valuation S[i,s] for all TVWS slots (i,s) $\ni$ {1, 2,..., m}
10: set $S_{optimal}$ = S[i,s] //Random solution for algorithm initiation
11: **for** slot =1 to m **do** //Iteration process in order to find the best solution
12:       **if** (S[i,s]) $\leq$ (S[i+1, s+1]) // Check if the current solution is better or not to the neighbor solution
13:             **then** save the new allocation solution (S[i+1, s+1]) to the best found
14:       **end if**
15: **end for**
16: **return** Best Solution

Furthermore, Spectrum sellers are denoted as N = {1,2,...,n}, while in the proposed CR network architecture N=1 (i.e. Spectrum Broker, leasing the available TVWS S = {1,2,...,s} to I = {1,2,...,i} secondary systems). Each buyer "i" is able to purchase x_i portions of spectrum for a specific time t_i by reporting a price $P_i^{(b)}(x_i, t_i)$ (i.e. Bid Price of m for specific portion of spectrum in a specific time), while Spectrum Broker leases y_n portions of spectrum for a specific time t_i by reporting a price $P_n^{(s)}(y_n, t_i)$ (i.e. Asking Price of m for specific portion of spectrum in a specific time). Finally, $x_{i,n}$ is the quantity that "i" secondary system purchases from Spectrum Broker. The pair (i,s) in the pseudo-code of Table 1

represents the possible combinations of solutions, regarding the "s" TVWS to the "i" Secondary systems.

Towards maximizing benefit of Spectrum Broker, an optimization problem can be formulated as a linear programming problem as follows:

$$max: \sum_{i=1}^{i} \sum_{n=1}^{n} x_{i,n}\, t_i \left[P_i^{(b)}(x_i, t_i) - P_n^{(s)}(y_n, t_i) \right] \qquad (1)$$

According to the simulation scenario, the auction period is divided into 15-minutes long intervals (i.e. four time-auctions per hour) during the experimental test, as well as the available TVWS channels are 10. Therefore, the number of frequency-time slots for the competitive secondary systems are m=40 and are calculated as m = S * Time-auctions per hour. The experimental results that were obtained after the simulation tests referred to the evaluation of the Spectrum Broker utility for different number of secondary systems. Figure 5 depicts Spectrum Broker utility that is increased when more secondary systems are competing together to opportunistically access TVWS, according to the above mentioned auction process.
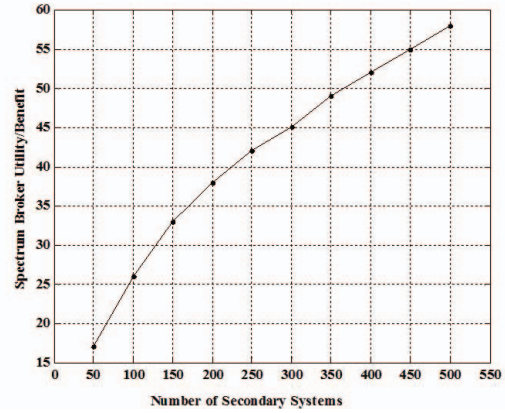

Fig. 3.   Spectrum Broker Utility/Benefit

IV. CONCLUSIONS

This paper discussed a centralised CR network architecture that exploits TVWS under the RTSSM regime and elaborated on the design, implementation and performance evaluation of a prototype auction-based RRM framework. Towards evaluating the performance of the proposed framework, a set of experiments was designed and conducted under controlled conditions, where various secondary systems were requesting access to the available TVWS by sending auction bids. The obtained experimental results verified the validity of the proposed framework as a matter of maximum-possible benefit of the Spectrum Broker. In this respect, fields for future research include qualitative and quantitative comparison between alternative auction-based algorithms, where the TVWS exploitation can be obtained in real time.

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