Table of contents

Acronyms **v**

Notation **xi**

1 Introduction **1**
1.1 Background . . . 2
1.1.1 Why 5G? . . . 2
1.1.2 3GPP Releases . . . 8
1.1.3 Multi-antenna transmission in 3GPP . . . 9
1.1.4 Channel models for simulations . . . 12
1.2 State of the art analysis . . . 13
1.2.1 Millimeter Wave communications . . . 13
1.2.2 Beamforming . . . 18
1.2.3 Beam tracking solutions . . . 24
1.3 Problem formulation and Thesis scope . . . 31
1.4 Thesis outline . . . 33
1.5 Publications . . . 34

2 3GPP NR Release 15 **37**
2.1 Physical layer aspects . . . 37
2.1.1 Flexible radio frame structure . . . 38
2.1.2 Synchronisation and initial access in NR . . . 41
2.1.3 Channel State Information in NR . . . 44
2.1.4 Downlink signals and overhead . . . 46
2.2 Higher layer aspects . . . 49
2.2.1 Beam management . . . 49
2.2.2 Beam measurement and reporting . . . 52
2.2.3 UE positioning . . . 56
2.3 Conclusions . . . 57

3 System Modelling **59**
3.1 Network architecture 60
3.2 Channel models for mmWave 63
3.2.1 3GPP channel model for frequencies over 6 GHz 63
3.2.2 Ray-tracing tool in Unity 66
3.3 Codebook-based beamforming 69
3.4 Conclusions 71

4 Simulation Framework and Visualisation **75**
4.1 End-to-end network simulation with ns-3 76
4.1.1 The mmWave module 76
4.2 Extension of the mmWave module 77
4.2.1 Flexible radio frame 77
4.2.2 Beam management 78
4.3 Beam management framework validation 85
4.3.1 Circular walk 86
4.3.2 Linear walk 90
4.4 Visualisation 93
4.5 Conclusions 94

5 Beam Tracking Techniques **97**
5.1 Simulation setup 98
5.1.1 Simulated scenario 98
5.1.2 Tracking performance indicators 103
5.1.3 Baseline case definition 107
5.2 Tracking with SSB 107
5.2.1 General considerations 108
5.2.2 Urban macro scenario 108
5.2.3 Urban micro scenario 117
5.3 Tracking with SSB and CSI-RS 127
5.3.1 Beam tracking strategies 128
5.3.2 Urban macro scenario 131
5.3.3 Urban micro scenario 142
5.4 Rotation 152
5.5 Conclusions 158

6 Contextual Beam Tracking Techniques **163**
6.1 Inverse fingerprinting for beam tracking 164
6.1.1 Implementation aspects 164
6.1.2 Results 169
6.1.3 Conclusions on fingerprinting 180

6.2 Beam tracking with machine learning 183
6.2.1 Data preprocessing 183
6.2.2 Multi-Layer Perceptron (MLP) 185
6.2.3 An MLP model for beam tracking 189
6.2.4 Conclusions on machine learning 191

7 Conclusions and Future Research **193**
7.1 Concluding remarks 193
7.2 Future research directions 196

Appendices **199**

References **199**