ENHANCING SPECTRAL EFFICIENCY FOR LTE-ADVANCED AND BEYOND CELLULAR NETWORKS

AN OVERVIEW OF LOAD BALANCING IN HETNETS: OLD MYTHS AND OPEN PROBLEMS

JEFFREY G. ANDREWS, SARABJOT SINGH, QIAOYANG YE, XINGQIN LIN, AND HARPREET S. DHILLON

ABSTRACT

Matching the demand for resources ("load") with the supply of resources ("capacity") is a basic problem occurring across many fields of engineering, logistics, and economics, and has been considered extensively in both the Internet and wireless networks. The ongoing evolution of cellular communication networks into dense, organic, and irregular heterogeneous networks (HetNets) has elevated load awareness to a central problem, and introduces many new subtleties. This article explains how several long-standing assumptions about cellular networks need to be rethought in the context of a load-balanced HetNet: we highlight these as three deeply entrenched myths that we then dispel. We survey and compare the primary technical approaches to HetNet load balancing: (centralized) optimization, game theory, Markov decision processes, and the newly popular cell range expansion (a.k.a. biasing), and draw design lessons for OFDMA-based cellular systems. We also identify several open areas for future exploration.

MYTH ONE: SIGNAL QUALITY IS THE MAIN DRIVER OF USER EXPERIENCE

Mobile networks are becoming increasingly complicated, with heterogeneity in many different design dimensions. For example, a typical smart phone can connect to the Internet via several different radio technologies, including third generation (3G) cellular, such as High Speed Packet Access (HSPA) or Enhanced Voice-Data Only (EVDO), Long Term Evolution (LTE), and several types of WiFi (e.g., 802.11g, n, or ac), with each of these utilizing several non-overlapping frequency bands. Cellular base stations (BSs) are also becoming increasingly diverse, with traditional macrocells often being shrunk to microcells, and further supplemented with picocells, distributed antennas, and femtocells. To the mobile user, who may be within range of many BSs or WiFi access points (APs)¹ over dozens of different frequency bands, all that really matters is whether some of them can jointly deliver the rate and latency the user's applications require. Modeling and optimizing for this seemingly simple objective is in fact very challenging, and changes many entrenched ideas about wireless communication systems. We start with:

Myth 1: The received signal-to-interference-plusnoise ratio (SINR) is the first-order predictor of the user experience, or at least of the link reliability. For example, the bit error rate follows a $Q(\sqrt{SINR})$ relation and data rate tracks Blog(1 + SINR).

This myth is deeply entrenched in the fields of communication and information theory, and indeed, even in the "five bars" display on virtually every mobile phone in existence. It was true conventionally, and still is "instantaneously." For example, the probability of correct detection for a given constellation is monotonically related to the detection-time SINR (i.e., any residual interference not removed by the receiver is treated as noise), as any communication theory text confirms. Outage, possibly resulting from many factors including time varying channels and interfering signals from other users, is also usually thought of in terms of a target SINR, that is, the probability of being below it. Furthermore, information theory tells us that achievable data rate follows $B \log(1 + SNR)$, or $B \log(1 +$ SINR) if the interference is modeled as Gaussian noise, where B is the bandwidth. Thus, increasing the data rate seems to come down to increasing SNR (or SINR) — which yields diminishing returns due to the log — or acquiring more bandwidth.

The critical missing piece is the load on the BS, which provides a view of resource allocation over time. Modern wireless systems dynamically allocate resources on the timescale of a millisecond, so even a 100 ms window (about the minimum perceptual time window of a human) provides considerable averaging. In contrast, classical communication and information theory as in the previous paragraph provide only a "snapshot" of rate and reliability. But the userperceived rate is their instantaneous rate multiplied by the fraction of resources (time/frequency slots) they are allowed to use, which for a typical scheduling regime (e.g., proportional fair or round robin) is about 1/K, where K is the number of other active users on that BS in that band.

Jeffrey G. Andrews, Sarabjot Singh, Qiaoyang Ye, Xingqin Lin, and Harpreet S. Dhillon are with the University of Texas at Austin.

¹ Henceforth, we shall include WiFi APs as a type of BS: one using unlicensed spectrum and a contention-based access protocol, but still in principle able to serve the mobile users in question.

This is pretty intuitive: everyone has experienced large drops in throughput due to congestion at peak times or in crowded events, irrespective of signal quality; for example, "I have five bars, why can't I send this text message?!" The technical challenge is that the load K varies both spatially and temporally, and is thus impossible to determine a priori for a particular BS. It is often hard to even find a good model for the load K: it is clearly related to coverage area, as larger cells will typically have more active users, but also depends on other factors like the user distribution, traffic models, and other extrinsic factors. A main goal of this article is to introduce some recent approaches to load-aware cellular network models, along with an appreciation for the limitations of load-blind models.

MYTH 2: THE "SPECTRUM CRUNCH"

It is a nearly universal article of faith that the amount of electromagnetic spectrum allocated to wireless broadband applications is woefully inadequate. Indeed, in 2012 the President's Council of Advisors on Science and Technology released the report *Realizing the Full Potential of Government-Held Spectrum to Spur Economic Growth* explaining in detail the reasons more broadband spectrum is urgently needed, mirroring many of the observations and recommendations of the FCC's 2010 National Broadband Plan.² This leads us to:

Myth 2: There is a "spectrum crunch," and global spectrum regulators urgently need to release a lot more spectrum for wireless broadband in order to improve the user experience.

This myth can be immediately dispelled with the following observation. Globally, mobile data traffic more than doubled in 2012 for the fifth year in a row, and this trend is universally predicted to continue for at least several more years. We called for a corresponding 1000× increase in cellular capacity back in early 2011 [1], which has subsequently been adopted as the primary objective of the 3G Partnership Project (3GPP) [2] and Qualcomm's "1000× Data Challenge." The amount of useful spectrum available for broadband communication is about 1 GHz (in the United States, about 550 MHz for cellular, 430 MHz for WiFi). However, in the most optimistic scenario, the FCC is considering releasing 500 MHz of new spectrum by 2020, which is not even 2× of what was available as of 2010, and thus yields a shortfall of more than

Although there is renewed interest in dynamic spectrum allocation at the FCC (e.g., through distributed databases and spot pricing), which could significantly increase the utilization of spectrum, history tells us that steps in that direction will be made very cautiously and slowly. Millimeter-wave-based cellular systems, which are the current recipient of considerable enthusiasm, represent bold thinking that could have a significant impact through the release of many gigahertz of spectrum above about 30 GHz. However, the development, standardization, and widespread commercialization of such a technically novel and ambitious solution will take at least eight to ten years. In summary, although

there are good arguments for releasing more spectrum for wireless broadband usage, solving the current capacity crunch by the early 2020s is not one of them.

Rather, what we currently should focus on is the infrastructure shortage, not a spectrum shortage. Nearly everyone agrees that small cells should be added at a rapid pace to ease network congestion, and that this will be the key element to moving towards 1000×. However, the small cells (micro, pico, femto) will be deployed opportunistically, irregularly, and in fixed locations, and have a certain amount of resources they can provide (i.e. spectrum and backhaul). In stark contrast, the devices they serve move around, and sporadically request extensive resources from the network, while at other times are dormant. Small cells in particular may just have a few users in their coverage areas. Thus, the load offered to each small cell varies dramatically over time and space, since unlike macrocells there are not enough users to provide a statistical multiplexing effect via the law of large numbers. Thus, a small cell network will require much more proactive load balancing as compared to a macrocell network in order to make good use of the newly deployed infrastructure. We make this point concrete in Fig. 2.

Of course, despite the above myths, many others in both industry and academia have recognized the importance of including load in the analysis of rate. The unifying point is that the modeling and optimization of load should be elevated to have a similar status as the amount of spectrum or the SINR. However, doing so in a technically rigorous manner is not straightforward.

TECHNICAL APPROACHES TO LOAD BALANCING

Outside of communication systems, load balancing has long been studied as an approach to balance the workload across various servers (in networks) and machines (in manufacturing) in order to optimize quantities like resource utilization, fairness, waiting/processing delays, or throughput. In emerging wireless networks, due to the disparate transmit powers and BS capabilities, even with a fairly uniform user distribution, "natural" user association metrics like SINR or received signal strength indicator (RSSI) can lead to a major load imbalance. As an example, the disparity between a max-SINR, per-tier biased and an optimal (max-sum-log-rate wise) association in a three-tier heterogeneous network (HetNet) is illustrated in Figs. 1a, 1b, and 1c, respectively. As seen in the plot, in Fig. 1a macro BSs serve most of the users even when some small BSs are sitting idle, whereas in Figs. 1b and 1c the load is considerably more balanced. Figures 1b and 1c demonstrate that simple per-tier biasing loses surprisingly little compared to the optimal association if the bias values are chosen carefully.

Fundamentally, rate-optimized communication comes down to a large system-level optimization, where decisions like user scheduling and cell association are coupled due to the load and interference in the network. In general, The modeling and optimization of load should be elevated to have a similar status as the amount of spectrum or the SINR. However, doing so in a technically rigorous manner is not straightforward.

² Although both focus on spectrum policy in the United States, with very few exceptions the U.S. FCC has led major new initiatives regarding global spectrum usage.

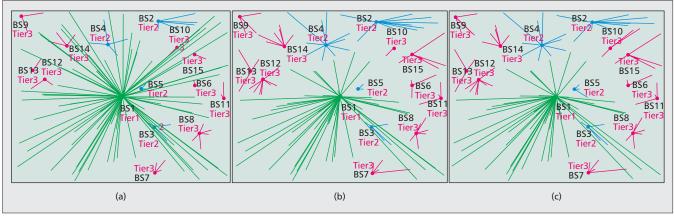


Figure 1. Max-SINR association vs. biased association and max-sum-log-rate association. Lines indicate the user association and highlight the differences in cell association policies: a) max-SINR association; b) biased association; c) max-sum-log-rate association.

finding the truly optimal user-server association is a combinatorial optimization problem, and the complexity grows exponentially with the scale of the network, which is a dead end. We briefly overview a few key technical approaches for load balancing in HetNets.

RELAXED OPTIMIZATION

Since a general utility maximization of (load-weighted) rate, subject to a resource or/and power constraint, results in a coupled relationship between the users' association and scheduling, this approach is NP hard and not computable even for modest-sized cellular networks. Dynamic traffic makes the problem even more challenging, leading to a long-standing problem that has been studied extensively in queueing theory, with only marginal progress made, known as the coupled queues problem.

One way to make the problem convex is by assuming a fully loaded model (i.e., all BSs always transmitting) and allowing users to associate with multiple BSs, which upper bounds the performance vs. a binary association [3]. A basic form is to maximize the utility of load-weighted rate, subject to a resource or/and power constraint, where the binary association indicator is relaxed to a real number between 0 and 1. Following standard optimization tools, that is, dual decomposition, a low-complexity distributed algorithm, which converges to a near-optimal solution, can then be developed. As can be observed in Fig. 2, there is a large $(4.2\times)$ rate gain for cell-edge users (bottom 5 percent) and a 2× rate gain for median users in HetNets, compared to a maximum received power-based association. Figure 2b shows that the gain is unique for HetNets and does not materialize in macrocell networks, at least in an average sense.

MARKOV DECISION PROCESSES

Markov decision processes (MDPs) provide a framework for studying the sequential optimization of discrete time stochastic systems in the presence of uncertainty. The objective is to perform actions in the current state to maximize the future expected reward. In the context of HetNets, MDPs have been used to study hand-off between different radio access technologies

(RATs), for example, cellular to WiFi offloading [4]. Another interesting application in Het-Nets is the association problem; for example, [5] proposes a hybrid scheme where users are assisted in their decisions by broadcasted load information. However, as the size of the network increases, MDPs become harder to solve exactly. The MDPs also have limitations when dealing with continuous state spaces. An additional problem, in particular for complex unstructured scenarios, is how to define adequate states and a reasonable state transition model. Although, in general, it is difficult to define an appropriate state model and solve it exactly for a large Het-Net including different types of BSs as well as WiFi, taking the advantage of partly control from decision makers, MDP provides a possible approach for self-organizing HetNets to combine the benefits of both centralized and distributed design.

GAME THEORY

Game theory, as a discipline, allows analysis of interactive decision making processes, and provides tractable methods for the investigation of very large decentralized optimization problems. For example, a user-centric approach, without requiring any signaling overhead or coordination among different access networks, is analyzed in [6]. Another example is the study of dynamics of network selection in [7], where users in different service areas compete for bandwidth from different wireless networks. Although game theory is a useful tool, especially for applications in selforganizing/dynamic networks, the convergence of the resulting algorithms is, in general, not guaranteed. Even if the algorithms converge, they do not necessarily provide an optimal solution, which along with large overhead may lead to inefficient utilization. Furthermore, since the main focus of game theory is on strategic decision making, there is no closed-form expression to characterize the relationship between a performance metric and the network parameters. Thus, although we are not convinced that game theory is the best analysis or design tool for Het-Net load balancing, it could provide some insight on how uncoordinated user equipment (UE) and BSs should associate.

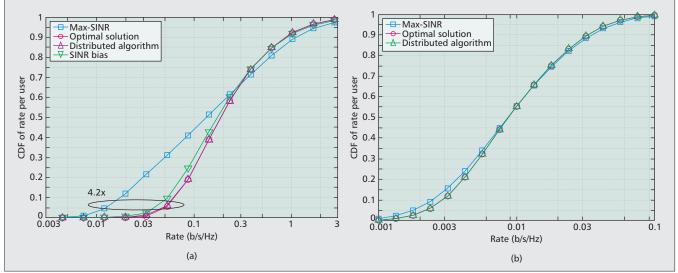


Figure 2. The distribution of rate using different association schemes in HetNets and conventional macroonly networks. Cell range expansion is discussed earlier: a) rate distribution in HetNets; b) rate distribution in macro-only networks.

CELL RANGE EXPANSION

Biased received-power-based user association control is a popular suboptimum technique for proactively offloading users to lessen power BSs and is part of 3GPP standardization efforts [8, 9]. In this technique, users are offloaded to smaller cells using an association bias. Formally, if there are *K* candidate tiers available with which a user may associate, the index of the chosen tier is

$$k^* = \arg\max_{i=1,\dots K} B_i P_{rx,i} \tag{1}$$

where B_i is the bias for tier i and $P_{rx,i}$ is the received power from tier i. By convention, tier 1 is the macrocell tier and has a bias of 1 (0 dB). For example, a small cell bias of 10 dB means a UE device would associate with the small cell until its received power was more than 10 dB less than the macrocell BS. Biasing effectively expands the range/coverage area of small cells, so it is referred to as cell range expansion (CRE).

A natural question concerns the optimality gap between CRE and the more theoretically grounded solutions previously discussed. It is somewhat surprising and reassuring that a simple per-tier biasing nearly achieves the optimal load-aware performance if the bias values are chosen carefully [3] (Fig. 2). However, in general, it is difficult to prescribe the optimal biases leveraging optimization techniques.

STOCHASTIC GEOMETRY

The previous tools and techniques seek to maximize a utility function U for the *current network configuration*, for which we characterized the gain in average performance as

$$\mathbb{E}[\max_{\Omega} U] \tag{2}$$

where Ω is the set of solution space. However, alternatively assuming an underlying distribution for the network configuration, another problem

can be posed instead as in Eq. 3, where the optimization is over the averaged utility:

$$\max_{\Omega} \mathbb{E}[U] \tag{3}$$

The latter formulation falls under the realm of *stochastic optimization* (i.e., the involved variables are random). The solution to Eq. 3 would certainly be suboptimal for Eq. 2 — and we have already observed the gap between an optimized but static CRE and the globally optimal solution in the last section — but has the advantage of offering much lower complexity and overhead (both computational and messaging) than reoptimizing the associations for each network realization.

Stochastic geometry as a branch of applied probability can be used for endowing BS and user locations in the network by a point process. By using the Poisson point process (PPP) to model user and BS locations, in particular, tractable expressions can be obtained for key metrics like SINR and rate [10], which then can be used for optimization. This approach also has the benefit of giving insights on the impact of key systemlevel parameters like transmit powers, densities, and bandwidths of different tiers on the design of load balancing algorithms. As an example of the applicability of this framework, cell range expansion has been analyzed using stochastic geometry in [11] by averaging over all the potential network configurations, revealing the effect of important network parameters in a concise form.

Modeling BSs as random locations in Het-Nets makes the precise association region and load distribution intractable. An analytical approximation for the association area was proposed in [11], which was then used for load distribution (assuming uniform user distribution); consequently, the rate distribution in terms of the per tier bias parameters can be found [11, 12]. The derived rate distribution can then be used to find the optimal biases simply by maximizing the biased rate distribution as a function of the bias value.

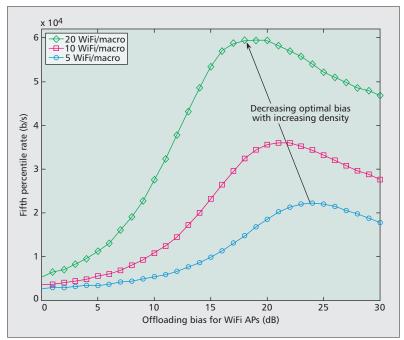


Figure 3. Variation of the fifth percentile rate with offloading bias for different WiFi AP densities (relative to the macrocell density).

SYSTEM DESIGN PRINCIPLES

We now explore several design questions that are introduced with load balancing. How much is to be biased toward the small cells? Can interference management help, how can it be done, and how much is the gain? As small cells will be continually rolled out over time, how (or does) the load balancing change as the small cell density increases? In this section we answer these questions, with the findings summarized in Table 1.

BIAS VALUES

There are two major cases to consider for biasing: co-channel deployments (macro to small cell in the same frequency band) and out-of-band biasing, such as cellular to WiFi. Both proactively push users onto BSs where they have weaker SINR, but there is a key difference. In the cochannel, not only is the received signal power decreased, but the interference is also increased, since it is by definition close to a strong source of interference (stronger than the new BS, or else there would be no need to bias). In contrast, in out-of-band offloading, only the desired signal suffers, but in the new band the strong interference source is typically not present. Thus, optimal biasing is considerably more aggressive (e.g., 20 dB or more) in out-of-band offloading, as shown in Fig. 3. In contrast, co-channel bias values are more like 5-10 dB, depending on the macro-pico transmit power differential.

BLANKING

Following the logic in the previous paragraph, it seems that the optimal biasing values and resulting gains in co-channel deployments can be further increased if this co-channel macrocell interference could be avoided (in time or frequency) or cancelled. One such strategy is timedomain resource partitioning [9, 13], where

macro BSs are periodically muted. This is called almost blank subframes (ABS) in 3GPP LTE. Ideally, the offloaded users can then be scheduled in these blanked time slots, eliminating the co-channel macro tier interference. The operation of ABS in conjunction with range expansion is shown in Fig. 4. Not surprisingly, when such a scheme is adopted, the biasing becomes much more aggressive, nearly in line with the out-ofband bias amounts. We can see in Fig. 5 that the optimal bias rises from about 6 dB up to 20 dB as the amount of blanking is increased, with an optimum around 16 dB for 5 picocells/macrocell. This assumes a scenario where the offloaded users are only served in the blanked time slots. Alternatively, if offloaded users can also be served in "normal" slots when the macros are on, the optimal amount of blanking grows in proportion to the small cell density, as seen in Fig. 6. In either case, for plausible small cell deployments, the optimal amount of blanking is approximately one half. This strikes many as counter-intuitive, but it is true: the macrocells (the apparent network bottleneck) should be shut off about half the time, because they are also the biggest interferers.

BIASING AS SMALL CELL DENSITY INCREASES

As small cells are increasingly a dominant part of the cellular network, say in five years, will such aggressive biasing still be needed? The answer again depends on whether the offloading is cochannel or out-of-band. Increasing the small cell density increases the interference in both cases, but also the likelihood of being able to connect to a nearby small cell. In the out-of-band case, the increasing small cell interference makes connecting to a distant small cell less attractive, since the small cell interference is orthogonal to the macrocell. Hence, in this case the optimal offloading bias decreases as the density increases. However, in the case of co-channel offloading, the small cell density does not affect the optimal offloading bias because the interference they cause affects all users equally [12].

We conclude with our third myth (actually two combined into one), now dispelled by these results.

Myth 3: Adding small cells at random requires sophisticated new interference management approaches so as not to undermine the carefully planned cellular network.

Even randomly deployed BSs at arbitrary transmit power do not decrease SIR assuming a max-SIR association, as shown in [10, 11] and stated in [9]. Since we have shown that it is possible to do better in terms of rate than max-SIR, adding BSs can therefore only increase the rate cumulative distributed function (CDF), even if the SIR is decreased (which it is, by definition, when departing from a max-SIR association). However, there is a grain of truth in this "myth" in the context of biasing, since biasing by definition reduces SINR.

Reality: The benefit of interference management is increased with load balancing since the offloaded users now experience much more interference than before.

Because offloading does, in general, lower the SINR distribution by proactively pushing

	In-band offloading	In-band offloading with blanking	Out-of-band offloading
Optimal small cell bias ¹	5–10 dB	15–20 dB	20-25 dB
Increasing small cell to macrocell ratio	Invariant	Optimal bias decreases, optimal fraction of blanked resources decreases	Optimal bias decreases

¹ The bias value given in this table is for a small cell density five times that of a macrocell and a transmit power difference of about 23 dB, and varies due to other modeling aspects such as propagation.

Table 1. Load balancing rules of thumb.

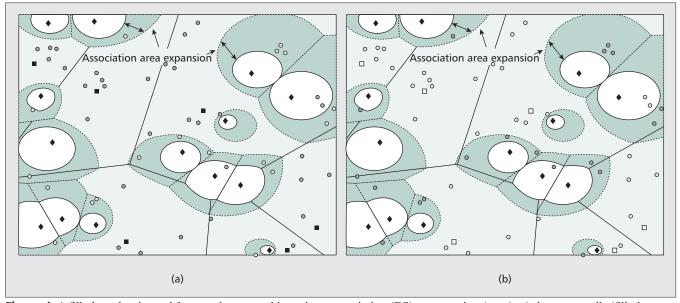


Figure 4. A filled marker is used for a node engaged in active transmission (BS) or reception (user): a) the macrocells (filled squares) serve the macro users, and small cells (filled diamonds) serve the non-range expanded users (filled circles); b) the macrocells (hollow squares) are muted, while the small cells (filled diamonds) serve the range of expanded users (filled circles in the shaded region).

users onto lightly loaded cells, there is the potential for increased gain from interference management and cancellation. We observed one example in the blanking case; others could be conventional interference cancellation, or also from base station cooperation (cooperative multipoint, CoMP). In general, load balancing makes interference suppression techniques more profitable, but considerable gains are possible from load balancing even without any interference suppression, as seen in Fig. 2.

OPEN CHALLENGES

Load balancing for HetNets is far from being fully understood. What is clear is that it offers considerable new flexibility and gain to the system designer, while calling into question a number of commonly used metrics and intuitions developed over many years for more homogeneous cellular networks. We conclude by offering some thoughts on fruitful avenues for future research and exploration.

COMPREHENSIVE CELL RANGE EXPANSION STUDY

Although the initial evidence appears very promising for CRE to be a simple vehicle for realizing load balancing gains, there is still much

work to do. To begin with, the analytical models used thus far often involve simplified assumptions: uniformly distributed UE, omnidirectional single-antenna transmission and reception, fixed transmit power, simple scheduling techniques, and so on. Some of these assumptions help make the analysis tractable, but may not be realistic. It would be useful to explore in depth the sensitivity of biasing and the ensuing gains to all these different aspects: some may be robust, others may not. For example, we saw that above out-of-band biasing should be an order of magnitude more aggressive than co-channel biasing.

In addition, we have been characterizing the network performance in an average sense, which allowed us to characterize per-tier "optimum" biasing. If it turns out that "optimum" biasing is quite sensitive to, say, the spatio-temporal distribution of users, a more sensible approach would be to adopt per-BS bias values, for example, predicated on their current load.

LOAD BALANCING WITH IMPLEMENTATION CONSTRAINTS

Quite a few realistic factors/constraints of Het-Nets have been ignored in existing load balancing studies.

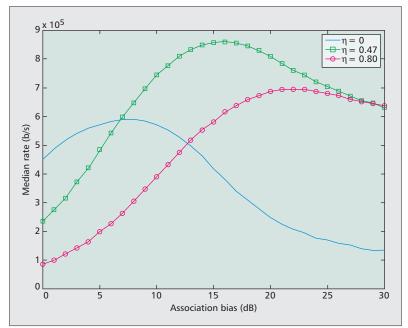


Figure 5. Median user rate vs. bias with blanking (η is fraction of blanked frames). 5 small cells per macro. Note how the optimal bias increases with the amount of blanking.

The Backhaul Bottleneck — Small cells will often be backhaul-constrained; for example, the capacity of a femtocell or WiFi AP is usually limited by the wired backhaul connection. Taking this backhaul constraint into account, the amount of desired data offloading from macrocells may be reduced, particularly once the small cells are loaded beyond a threshold, which could be dependent on the backhaul [12]. A simple first approach would be to integrate the backhaul limitation into the associated bias value.

Mobility — Supporting seamless handovers among various types of cells in a HetNet is essential. In an ideal load balancing setting, a user of moderate or high mobility, on entering a small cell association area, should be offloaded from its original macrocell and back when it is no longer near the small cell. However, it is known that handovers involve relatively complicated procedures as well as costly overhead. In the case of a short sojourn in a small cell, it may be preferable from a system-level view to temporarily tolerate a suboptimal BS association rather than initiate a handover into and out of this cell. A related issue is open vs. closed access small cells.

UE capability — Despite its clear benefits, biasing UEs toward small cells does lower SINR. In LTE-A systems, the link throughput obtained under adaptive modulation and coding (AMC) with a typical codeset is zero when SINR is lower than about -6.5 dB. Thus, there are limits to offloading: a UE device might theoretically get a better rate having a small cell's 10 MHz to itself with an SINR of -15 dB, but this is not viable if the UE device cannot decode the lowest-rate modulation and coding scheme the BS can send. This further motivates interference management/cancellation, but is a further con-

straint to consider when trying to accurately state the load balancing gain.

Asymmetric Downlink and Uflink — In the downlink, due to the large power disparities between BS types in a HetNet, macrocells have much larger coverage areas than small cells. In contrast, UE devices can transmit at the same power level in the uplink regardless of the BS type. In addition, downlink traffic is typically much heavier than uplink traffic. In view of these asymmetries, the optimal downlink association need not be optimal for uplink transmission. Thus, it is necessary to extend existing downlink load balancing work to the corresponding uplink scenarios. Ideally, a joint load balancing study of the downlink and uplink should be performed.

INTERACTION WITH EMERGING TECHNIQUES SUCH AS DEVICE-TO-DEVICE

Since aggressive load balancing is somewhat of a new paradigm for cellular network design, new techniques need to be evaluated in this context. For example, 3GPP has recently initiated a study item on device-to-device (D2D) communication, which allows direct communication between cellular users, and thus can be viewed as an offloading technique. In a D2D-enabled HetNet, there is D2D mode selection (i.e., whether a D2D link should be formed) in addition to user-AP association; this coupling significantly complicates the load balancing problem. How to jointly exploit small cell offloading and D2D offloading remains unknown.

REGULATORY ISSUES AND RECOMMENDATIONS

Considering the significant gains brought by Het-Nets, the regulatory focus should be on making it easier to deploy and use small cell infrastructure. This could include legal means to encourage (or force) municipalities or other landholders to allow picocell deployments with fair compensation; currently, many want macrocell type rental fees for picocells, which harms the business case. FCC actions could include freeing up less coveted spectrum for wireless backhaul, coupling the auction of new spectrum to service providers with commitments to deploy more small cells, and strongly encouraging open access deployment for femtocells and WiFi (opening up WiFi alone would have a massive effect), perhaps through economic incentives. Although all these may sound daunting, when compared with the politics of taking spectrum away from current incumbents in industry, the military, and other government agencies, perhaps such suggestions seem relatively more palatable.

From a technical point of view, as WiFi penetration increases, cellular (LTE-Advanced) and WiFi networks should be able to hand off users seamlessly among them. The provisions in 3GPP such as access network discovery and selection function (ANDSF) [14] for inter-RAT offload and smart AP selection in Hotspot 2.0 [15] are steps in the right direction. However, there is still a lot of room for improvement of the medium access control (MAC) layer efficiency in WiFi. We envision that WiFi will move over time toward a more cellular-like MAC with a backward-compatible orthogonal frequency-divi-

sion muliple access (OFDMA)-based multiple access scheduler.

ACKNOWLEDGMENTS

The authors gratefully acknowledge Nokia Solutions and Networks, Huawei, Intel, and Cisco for their support of this work, and in particular to Amitava Ghosh and his team (NSN) and Mazin Al-Shalash (Huawei) for their technical collaboration and many insights into load balancing. Constantine Caramanis was also instrumental in formulating our initial optimization approach in [3], which started our group's work on load balancing. This work also greatly benefitted from detailed discussions during visits with Qualcomm's HetNet group in San Diego, Samsung's Dallas Technology Lab, and Broadcom's WiFi and LTE groups in Sunnyvale.

REFERENCES

- [1] J. G. Andrews, "Cellular 1000×?," Univ. Notre Dame Wireless Inst. Seminar, May 2011, http://users.ece. utexas.edu/~jandrews/pubs/Andrews_NotreDame_May2 011.pdf.
- [2] Nokia Siemens Networks, "LTE Release 12 and Beyond,"
- white paper, 2012.
 [3] Q. Ye et al., "User Association for Load Balancing in Heterogeneous Cellular Networks," IEEE Trans. Wireless Commun., vol. 12, no. 6, June 2013, pp. 2706-16.
- [4] E. Stevens-Navarro, Y. Lin, and V. Wong, "An MDP-Based Vertical Handoff Decision Algorithm for Heterogeneous Wireless Networks," IEEE Trans. Vehic. Tech.,
- vol. 57, Mar. 2008, pp. 1243–54. [5] S. Elayoubi *et al.*, "A Hybrid Decision Approach for the Association Problem in Heterogeneous Networks," IEEE INFOCOM, Mar. 2010, pp. 1–5.
 [6] E. Aryafar et al., "RAT Selection Games in HetNets,"
- Proc. IEEE INFOCOM, Apr. 2013.

 [7] D. Niyato and E. Hossain, "Dynamics of Network Selection in Heterogeneous Wireless Networks: An Evolutionary Game Approach," *IEEE Trans. Vehic. Tech.*, vol.
- 58, no. 4, May 2009, pp. 2008–17. [8] Nokia Siemens Networks, Nokia, "Aspects of Pico Node Range Extension," 3GPP TSG RAN WG1 Meeting 61, R1-103824, 2010, available: http://goo.gl/XDKXI
- [9] A. Damnjanovic et al., "A Survey on 3GPP Heterogeneous Networks," IEEE Wireless Commun., vol. 18, no. 3, June 2012, pp. 10-21.
- [10] H. S. Dhillon et al., "Modeling and Analysis of k-Tier Downlink Heterogeneous Cellular Networks," IEEE JSAC, vol. 30, no. 3, Apr. 2012, pp. 550–60. [11] S. Singh, H. S. Dhillon, and J. G. Andrews, "Offloading
- in Heterogeneous Networks: Modeling, Analysis, and Design Insights," IEEE Trans. Wireless Commun., vol. 12, no. 5, May 2013, pp. 2484–97. [12] S. Singh and J. G. Andrews, "Joint Resource Partition-
- ing and Offloading in Heterogeneous Cellular Networks," IEEE Trans. Wireless Commun., vol. 13, no. 2, Feb. 2014, pp. 888-901.
- [13] D. Lopez-Perez et al., "Enhanced Intercell Interference Coordination Challenges in Heterogeneous Networks, IEEE Wireless Commun., vol. 18, June 2011, pp. 22-30.
- [14] 3GPP, "Architecture Enhancements for Non-3GPP Accesses," tech. rep. TS 23.402. http://www.3gpp.org/ ftp/Specs/html-info/23402.htm.
- [15] Cisco, "The Future of Hotspots: Making Wi-Fi as Secure and Easy to Use as Cellular," white paper, 2013; http://goo.gl/UGWAF.

BIOGRAPHIES

JEFFREY G. ANDREWS [S'98, M'02, SM'06, F'13] (jandrews@ece.utexas.edu) received his B.S. in engineering from Harvey Mudd College in 1995, and his M.S. and Ph.D. in electrical engineering from Stanford University. He is the Cullen Trust Endowed Professor (#1) of E at the University of Texas at Austin (UT Austin), Editor-in-Chief of IEEE Transactions on Wireless Communications, and Technical Program Co-Chair of IEEE GLOBECOM 2014. He developed code-division multiple access systems at Qualcomm from 1995 to 1997, and has consulted for Verizon, the WiMAX

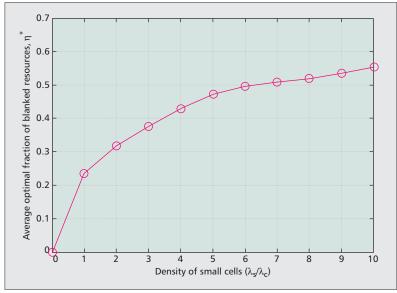


Figure 6. Optimal blanking amount as small cell density increases. For a reasonable range, it appears macrocells should be shut off about half the time.

Forum, Intel, Microsoft, Apple, Samsung, Clearwire, Sprint, and NASA. He is an elected member of the Board of Governors of the IEEE Information Theory Society.

SARABJOT SINGH [S'09] received his B.Tech. degree in electronics and communication engineering from IIT Guwahati, India, in 2010 and his M.S. in electrical engineering from UT Austin in 2013. He was awarded the President of India Gold Medal in 2010 and the IEEE ICC best paper award in 2013. He is currently a Ph.D. candidate at UT Austin, where his research is focused on modeling and analysis of 4G and 5G wireless heterogeneous networks. He has held summer internships at Alcatel-Lucent Bell Labs in Crawford Hill, New Jersey; Intel Corp. in Santa Clara, California; and Qualcomm Inc. in San Diego, California.

QIAOYANG YE [S'12] is a Ph.D. student at UT Austin. She received her B.Eng. degree in information science and communication engineering from Zhejiang University, China, in 2010 and her M.S. in electrical and computer engineering from UT Austin in 2013. Currently, she is working on offloading and self-organizing problems in heterogeneous networks, as well as device-to-device networks, using tools from stochastic geometry, optimization theory, and game theory. She held summer internships at Huawei Technologies, Dallas, Texas.

XINGQIN LIN [S'10] is a Ph.D. candidate at UT Austin. He received his B.Eng. degree in electronic information engineering from Tianjin University, China, in 2009 and his M.Phil. degree in information engineering from the Chinese University of Hong Kong in 2011, respectively. He is currently working on device-to-device communication and small cells. He received the MCD fellowship from UT Austin in 2012 and was an Exemplary Reviewer for IEEE Wireless Communication Letters in 2013. He has held summer internships at Alcatel-Lucent Bell Labs and Nokia Siemens

HARPREET S. DHILLON [S'11, M'13] received his B.Tech. in electronics and communication engineering from IIT Guwahati in 2008, his M.S. in electrical engineering from Virginia Tech in 2010, and his Ph.D. in electrical engineering from UT Austin in 2013. He is currently a postdoctoral research associate in the Communication Sciences Institute (CSI) at the University of Southern California, and joining the Virginia Tech faculty in fall 2014. He has held summer internships at Alcatel-Lucent Bell Labs, Samsung Research America, Qualcomm Inc., and Cercom, and Politecnico di Torino in Italy. He is a recipient of the IEEE ICC 2013 best paper award, UT Austin's WNCG leadership award 2013, UT Austin's MCD fellowship, and the Agilent Engineering and Technology Award 2008.