Potholes Ahead: Impact of Transient Link Blockage on Beam Steering in Practical mm-Wave Systems

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Abstract—The practical realization of beam steering mechanisms in millimeter wave communications has a large impact on performance. The key challenge is to find a pragmatic trade-off between throughput performance and the overhead of periodic beam sweeping required to improve link quality in case of transient link blockage. This is particularly critical in commercial off-the-shelf devices, which require simple yet efficient solutions.

In this paper, we analyze the operation of such a commercial device to understand the impact of link blockage in practice. We measure TCP throughput for different traffic loads while blocking the link at regular intervals. We derive a Markov model based on our practical insights to compute throughput for the case of transient blockage. We use this model to evaluate the impact of blockage on link performance and to predict achievable throughput. We show that choosing lower traffic loads can help mitigate the impact of transient blockage, enabling stable, high throughput links.

I. INTRODUCTION

Distinguishing link degradation due to mobility from that due to blockage in millimeter wave (mm-Wave) networks is challenging. Existing consumer-grade transceivers operating in this band often cannot tell both apart. Due to the high path loss at mm-Wave frequencies, transceivers use beamforming to overcome attenuation [1], [2]. Both the transmitter and the receiver must steer their beams towards each other to achieve a high Signal-to-Noise Ratio (SNR). If one of them moves, they must adjust their beams accordingly. However, in case of transient link blockage due to, e.g., a person crossing the link, both transceivers should maintain their original beam steering. If a device classifies such blockage as mobility, adjusting the beam while the link is blocked may lead to a misalignment.

Figure 1 shows an example of the impact of transient blockage on the Transmission Control Protocol (TCP) throughput for a commercial off-the-shelf (COTS) 60 GHz device. While related work also studies the impact of blockage on 60 GHz communications [3], [4], it does not consider the beam steering misalignment that may occur as a result. In Figure 1, we observe that after the first blockage at second 25, the throughput stabilizes at more than 200 mbps less than that prior to the blockage, even though the link is unobstructed. In other words, our COTS device has interpreted the first blockage as mobility, thus trying to adapt its beam steering. While the new steering allows for communication, the SNR is lower, resulting in lower TCP throughput. At second 50 in Figure 1, a second blockage causes another beam realignment, which in this case fortunately results in the original beam steering and allows TCP to achieve again roughly 700 mbps. Figure 1 shows that the impact of transient blockage can be highly detrimental to throughput if the transceiver classifies blockage as mobility, causing a throughput "pothole" while the link is misaligned. First, the link operates significantly below its potential. Second, the throughput exhibits high fluctuations. Regarding the latter, we find that throughput can stabilize at a number of different levels after a blockage. This is critical for traffic which requires stable, high throughput links, such as uncompressed video.

Related work proposes a number of beam steering solutions that partially solve the above problem. The 802.11ad standard suggests beam tracking to address mobility. That is, devices continuously track SNR variations and adapt their beam steering accordingly. This avoids costly beam sweeping, i.e., exhaustively probing all directional beam patterns of a transmitter to find the receiver after the transmitter and/or the receiver move. Still, beam tracking itself cannot distinguish mobility from blockage, resulting in the behavior in Figure 1. Similarly, other approaches that aim at reducing the complexity of beam sweeping [5] cannot distinguish them either. In contrast, Blind Beam Steering (BBS) [6] estimates the direction in which the receiver is located. Essentially, the transmitter uses an antenna array operating at 2.4 GHz to estimate the angle-of-arrival, and then uses this information to perform beam steering at 60 GHz. Hence, transceivers can distinguish mobility from blockage. However, BBS considers a 2.4 GHz antenna array with at least four antennas, which at a minimum antenna separation of

Fig. 1. Throughput “pothole” during subsequent transient blockage events.
As a result of the above challenge, COTS devices typically implement simple heuristics that result in the fluctuating behavior shown in Figure 1. In this paper, we analyze such throughput fluctuations and show their relation to frame-level aggregation [11]. Specifically, our contributions are as follows:

- We measure TCP throughput, Modulation and Coding Scheme (MCS) adaptation, frame-level aggregation, and beam steering for a COTS device to understand the impact of transient link blockage in practice.

- We derive an analytical Markov chain model for transient link blockage based on our practical insights. We use it to analyze the trade-off between throughput and the overhead caused by periodic beam sweeps.

- We show that frame aggregation can compensate for MCS drops due to steering misalignments, thus reducing throughput fluctuations by up to 41% while maintaining high throughput on COTS 60 GHz devices.

The remainder of this paper is structured as follows. In Section II we analyze the practical observations that allow us to understand the impact of transient blockages. After that, Section III presents our Markov chain model, and Section IV discusses the results that we obtain both from the model and from a COTS device. Finally, Section V concludes the paper.

II. Practical Observations

In this section, we use a 60 GHz COTS device to understand the impact of transient link blockage. To this end, we set up a 60 GHz link and walk through it at indoor pace.

A. Experiment setup

COTS networking devices that operate at mm-Wave frequencies are not yet widely available. However, some notebook manufacturers have implemented the WiGig [12] standard—which is very similar to 802.11ad—to design wireless docking stations. Basically, docking station and notebook establish a 60 GHz link to replace the physical connection between both devices. We use such a setup for our practical experiments, namely, a Dell D5000 docking station and a Dell Latitude E7440 notebook. More details about these devices can be found in [13]. We place the devices on two tables and separate them about two meters. We use iperf to transmit data on the 60 GHz link connecting both devices. To control the traffic load, we adjust the TCP window size (WS). For each experiment, we record the signal level, the MCS, the TCP throughput, and the frame aggregation size. To record the signal level, we overhear the communication using a SiversIMA converter connected to a Universal Software Radio Peripheral (USRP) X310. We use it to obtain energy level traces that allow us to infer the beam alignment and the frame aggregation size.

B. Effects at the application layer

Figure 2 shows the application layer TCP throughput for both a high and a low link load. In this case, we measure the throughput every 500 ms, and induce transient link blockages roughly every 20 to 30 seconds. Each time we cross the link, we observe a significant throughput drop. Moreover, for increasing link loads our measurements show that the throughput drops at each blockage become larger and the number of suboptimal levels increases. As sketched in Section I, the highest level corresponds to the best beam alignment for a certain load. The other levels correspond to suboptimal beam alignments resulting in a range of MCS levels. While Figure 2 clearly shows that transient link blockages have a larger impact at higher traffic loads, the underlying reason is not evident.

C. Analysis at the lower layers

To understand the reason for the behavior in Figure 2, we measure lower layer metrics during a transient link blockage. Figure 3 and Figure 4 show these metrics for the case of low (WS 10 kB) and high (WS 100 kB) link load, respectively.

1) Low link load: At low load, the link achieves a rate of roughly 400 Mbps before the blockage, as shown in Figure 3(c). As soon as we walk across the link, the signal level shown in Figure 3(a) drops significantly. However, after the blockage, it only rises again to about half of the amplitude. This indicates that the docking station has switched to a different sector due to the blockage. Since the docking station is steering in a different direction while the transmit power remains unchanged, we observe a different signal level at the SiversIMA converter. In other words, the signal level drop in Figure 3(a) has triggered a sector level sweep which has led to a suboptimal sector since the person was still crossing the link when it took place. As a result, the SNR at the receiver dropped and thus the link switched to a significantly lower MCS, as shown in Figure 3(b). Still, while the physical layer rate has
nearly halved, the iperf throughput in Figure 3 (c) stabilizes at only 14.5% less throughput than prior to the blockage.

Figure 3 (d) explains this somewhat surprising behavior. Before the blockage occurs, the duration of more than 60% of all data frames is less than 5 µs. However, after the blockage most frames are longer than 10 µs. That is, frame aggregation increases. The Dell D5000 is known to aggregate all packets in the transmit queue whenever it gets access to the channel [13]. Due to the drop in MCS after blockage, the transmission time increases. During the transmission, packets continue arriving at the queue at the same pace. Hence, the average queue length after the blockage is larger than before the blockage, resulting in larger aggregated frames. This means that sector mismatches due to transient link blockages have a small impact on application layer throughput for low link loads because the frame aggregation in 802.11ad compensates for it.

2) High link load: For high link load, in Figure 4 (a) we observe again a sector mismatch after the blockage. As expected, also the MCS in Figure 4 (b) drops. Still, in Figure 4 (c) we observe that the impact on application layer throughput is much larger than for the low link load case—the throughput drops by roughly 30%. The underlying reason is that, at high link load, the docking station is already using a high level of drops by roughly 30%. The underlying reason is that, at high link load, the docking station is already using a high level of drops by roughly 30%. This suggests that increasing the traffic load beyond a certain level might not pay off for a given frequency of transient link blockages.

III. SYSTEM MODEL

From Section II we conclude that transient blockage may cause sector misalignment which in turn affects MCS and ultimately frame aggregation. Moreover, we show that aggregation can mitigate blockage at moderate link loads. In the following, we derive a Markov model based on these insights.

A. Model overview

Due to suboptimal sector alignments, a link may be in \( N + 1 \) different states: \( N \) states due to all feasible combinations of transmit and receive sectors, and one state when the link is blocked. Figure 5 shows an example of such a Markov model for a link with \( N = 3 \) throughput levels, that is, one high level L\(_H\), and two suboptimal levels SL\(_1\) and SL\(_2\). The blockage state is named B. Whenever a transient link blockage occurs, the model transitions to blockage state B. From there, it moves to one of the \( N \) states until the link is blocked again. If the state is one of the suboptimal ones, the model directly transitions to L\(_H\) whenever the device performs a periodic sector level sweep. We choose a time-slot size of one millisecond for our Markov model since this matches the timescale at which sector level sweeps are expected to occur. However, it is straightforward to adjust the model parameters for other time-slot sizes.

We model the occurrence of transient link blockage as a Gaussian distribution \( \mathcal{N}(\mu, \sigma^2) \). The probability \( p_S \) of staying in state L\(_H\) for one time-slot is directly related to \( \mu \). To derive it, we first formulate the probability \( P(k) \) of staying \( k > 1 \) time-slots at that state as in Equation 1. Then, we compute the average time \( T \) that we stay at the state as in Equation 2.
sector level sweep is $S - t_b$. Hence, the probability of another blockage $C$ occurring prior to the next sector level sweep for time $t_b$ is as in Equation 3, where erf is the error function.

$$P(C, t = t_b) = \int_0^{S-t_b} \frac{1}{\sigma \sqrt{2\pi}} e^{-\frac{(t-t_b^2)}{2\sigma^2}} \, dt$$

$$= \frac{1}{2} \left( \text{erf} \left( \frac{\mu}{\sqrt{2\sigma}} \right) - \text{erf} \left( \frac{\mu - S + t_b}{\sqrt{2\sigma}} \right) \right) \quad (3)$$

Next, we obtain the probability in Equation 3 for any value of $t_b \in \{0, S\}$. Using the definition of conditional probability, we obtain $P(C, t_b) = P(C, t = t_b) P(t_b)$, where $P(t)$ is evenly distributed because sector level sweeps occur at fixed intervals. Hence, $p_C$ is the marginal probability of $P(C, t_b)$ for all values of $t_b$. Based on this, we compute $p_C$ as in Equation 4.

$$p_C = \int_0^S P(C, t_b) \, dt_b = \int_0^S P(C, t = t_b) \cdot P(t_b) \, dt_b$$

$$= \frac{1}{2} \left( \text{erf} \left( \frac{\mu}{\sqrt{2\sigma}} \right) - \text{erf} \left( \frac{\mu - S + t_b}{\sqrt{2\sigma}} \right) \right) \cdot \frac{1}{S} \, dt_b$$

$$= \left( \frac{S - \mu}{2S} \right) \text{erf} \left( \frac{\mu}{\sqrt{2\sigma}} \right) - \text{erf} \left( \frac{\mu - S + t_b}{\sqrt{2\sigma}} \right) - \sqrt{\frac{2}{\pi}} \frac{\sigma}{S} \left( e^{-\frac{\mu^2}{2\sigma^2}} - e^{-\frac{(\mu-S)^2}{2\sigma^2}} \right) \quad (4)$$

### C. Throughput

Next, we derive the throughput for each of the $N+1$ states of our Markov model. We consider a 60 GHz transmitter that operates as observed in Section II. That is, the transmitter has a queue of size $q$. Each time it gets access to the channel, the device aggregates up to $a_{\text{max}}$ data from the queue and transmits it. While it is transmitting, more packets arrive at the queue. Hence, the size of the aggregated frames directly depends on the transmission time $t_{\text{TX}}$ and the channel access time $t_{\text{acc}}$. The latter includes the Carrier Sense Multiple Access with Collision Avoidance (CSMA/CA) overhead as in 802.11ad. Further, control messages increase each BI by a factor $f$.

The application generates a link load $l$. The maximum link load that the device supports occurs when it aggregates $a_{\text{max}}$ data in each transmission. We compute $l$ for a certain aggregation factor $a_{\text{factor}} \in \{0, 1\}$ such that the device aggregates $a_{\text{max}}$ for $a_{\text{factor}} = 1$. In this case, blockage has a significant impact since the device cannot aggregate more to mitigate the impact of lower MCS values (c.f. Section II). Based on $l$, we compute the queue level $q_L$ for each of the $N$ states. Each state is related to a certain MCS. For transmission $i$, the queue level is the transmission time $t_{\text{TX}}$ of the previous transmission multiplied by the link load $l$, as shown in Equation 5.

$$q_{L,i} = t_{\text{TX},i} \cdot l = \left( \frac{q_{L,i-1}}{MCS} + t_{\text{acc}} \right) \cdot f \cdot l \quad (5)$$

While $l \leq \text{MCS}$, the above equation converges to a stable queue level $q_L$ for $i \to \infty$. Based on this, we derive the throughput THP for each state. If the queue level is less than or equal to $a_{\text{max}}$, the throughput is directly the link load $l$, as shown in Equation 6. However, if $q_L > a_{\text{max}}$, the application
is generating more data than the link can transmit. Eventually, the queue level reaches its maximum length \( q \). In this case, we limit the amount of data in each transmission to \( a_{\text{max}} \).

\[
\text{THP}_N = \frac{q_L}{t_{\text{TX}}} = \begin{cases} 
\frac{t_{\text{TX}} \cdot l}{t_{\text{TX}}} & \text{if } q_L \leq a_{\text{max}} \\
\frac{a_{\text{max}}}{(\nu \text{MCS} + t_{\text{acc}}) f} & \text{if } q_L > a_{\text{max}} 
\end{cases}
\]

Finally, we compute the throughput in state B. To this end, we define the blockage duration \( t_B \) as the time during which the blockage affects the throughput of the link. In general, \( t_B \) is the sum of (a) the time \( t \) that the link is physically blocked and (b) the time to transmit the data that accumulates at the application while the link is blocked. The latter includes the new data \( d_{\text{new}} \) that arrives while serving the accumulated data. Further, the accumulated data is limited to the queue size \( q \). If the new state to which the Markov model transitions after a blockage already operates at the maximum aggregation size, (b) is infinite since the link cannot transmit more data. In that case, the duration of the blockage effect is just (a) and the related throughput is zero. Otherwise, we observe a higher throughput while (b) is ongoing. In this case, we compute the throughput in state B as in Equation 7. Since the duration of (b) depends on the MCS of the state to which the Markov model transitions after the blockage, we compute \( t_B \) as the average of all \( t_{Bj} \) values for \( j \in [1, N] \) weighted with the probabilities \( p_j \in \{p_{\text{H}}, p_{\text{SL}}\} \) of transitioning to each of the states.

\[
\text{THP}_B = \sum_{j} p_j \frac{\min(t \cdot l, q) + d_{\text{new}}}{t_{Bj}}
\]

### IV. Evaluation

Using our Markov model in Section III, we study the impact of transient link blockage both in theory and based on practical traces from our 60 GHz wireless docking station.

#### A. Analytical evaluation

For our analytical evaluation, we set the parameters of our model as in Table I. We consider a 60 GHz link with \( N = 3 \) states. Whenever a blockage occurs, the probability of transitioning to each of the states is the same. We evaluate the impact of four parameters, namely, the Sector Sweep Interval (SSI), \( \mu \), \( a_{\text{factor}} \), and \( v \). Parameter \( v \) is the speed at which a person causing the blockage walks across the link. We use it to compute \( t \), i.e., the amount of time that the link is physically blocked. To this end, we assume a beamwidth of \( \alpha \) and that the person crosses the link at a distance \( d \) of the transmitter.

#### 1) Link load: Figure 6 depicts our results for increasing link loads and average blockage intervals \( \mu \). As a starting point, we set the SSI to infinity, that is, the device only switches to a different sector when a blockage occurs. While the average throughput increases with the link load, the improvement becomes very small as the load approaches one. As discussed in Section II, this occurs because aggregation cannot mitigate the impact of lower MCS values. Further, Figure 6 also shows that the throughput fluctuation increases significantly with the link load. For instance, while increasing the link load from 0.4 to 0.6 improves throughput by just 8% for \( \mu = 20 \), it worsens throughput fluctuations by 25%. Hence, increasing the link load would hardly pay off in this case. For comparison, we include the result for an SSI of 100 ms. As expected, the average throughput is much higher since the link quickly switches back to the best sector after a blockage. Also, the variance decreases much faster with \( \mu \) because the transmitter is using the same sector most of the time.

#### 2) Sector Sweep Interval: In our second analysis, we study the impact of the SSI. Figure 7 depicts a trade-off regarding how often a device performs sector level sweeps. If the SSI is very short, the resulting overhead limits the throughput significantly. Conversely, if it is too long, the blockages also reduce the average throughput. We achieve the best performance when the SSI matches the average blockage interval \( \mu \). Hence, a meaningful strategy for 60 GHz devices would be to estimate how often significant SNR drops occur in a given scenario, and set the SSI to that value. Regarding throughput fluctuations, very short SSI values are best since this ensures that the link is most of the time in the best state. As the SSI increases, the variance becomes larger because the link is more often in suboptimal states. Beyond SSI = \( \mu \), the variance increases again for large \( \mu \) since link state changes are mostly due to blockages. While sector sweeps ensure that the link recovers to the best state, blockages may lead to suboptimal states.

#### 3) Speed: Next, we study how the speed of the person causing the blockage affects throughput. In Figure 8, we observe that the higher the speed, the higher the throughput is. This is expected, since the person blocks the link for a shorter amount of time \( t \). Regarding variance, fluctuations generally decrease with speed because the system stays less time in state B, which often only achieves very low or even zero throughput. Initially, the opposite occurs for low values of \( v \). In this case, the system is most of the time in state B since blockages last long. Hence, increasing the time that the link operates in any of the other \( N \) states also increases fluctuations.

**TABLE I. Evaluation Parameters (Defaults Underlined)***

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Value</th>
<th>Parameter</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>( t_{\text{PRS}} )</td>
<td>1.3( \mu s )</td>
<td>( \alpha )</td>
<td>20°</td>
</tr>
<tr>
<td>( t_{\text{ACK}} )</td>
<td>3( \mu s )</td>
<td>( d )</td>
<td>1.5</td>
</tr>
<tr>
<td>( t_{\text{SLOT}} )</td>
<td>6( \mu s )</td>
<td>( \nu )</td>
<td>([0.1 m/s, 4 m/s]) Default: 1( m/s )</td>
</tr>
<tr>
<td>( \text{CW}_{\text{min}} )</td>
<td>5( \mu s )</td>
<td>( \text{MCS} )</td>
<td>3.85Gbps, 1.925Gbps, 1.155Gbps</td>
</tr>
<tr>
<td>( t_{\text{sweep}} )</td>
<td>15</td>
<td>( P_0 )</td>
<td>1/3</td>
</tr>
<tr>
<td>( \text{SSI} )</td>
<td>4( \mu s )</td>
<td>( P_{\text{SL1}, \text{SL2}} )</td>
<td>1/3, 1/3</td>
</tr>
<tr>
<td>( \mu )</td>
<td>([2, 20] )</td>
<td>( a_{\text{factor}} )</td>
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</tr>
<tr>
<td>( \sigma )</td>
<td>0.1( s )</td>
<td>( a_{\text{max}} )</td>
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</tr>
</tbody>
</table>

![Fig. 6. Throughput and throughput fluctuation for different link traffic loads.](image-url)
moderate loads allow frame aggregation to compensate for low MCSs due to suboptimal sectors. In particular, we show that choosing a suitable link load can reduce throughput variance by 41% compared to a higher load with the same throughput.

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