

# Addressing the CQI feedback delay in 5G/6G networks via machine learning and evolutionary computing

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**Abstract:** 5G networks apply adaptive modulation and coding according to the channel condition reported by the user in order to keep the mobile communication quality. However, the delay incurred by the feedback may make the channel quality indicator (CQI) obsolete. This paper addresses this issue by proposing two approaches, one based on machine learning and another on evolutionary computing, which considers the user context and signal-to-interference-plus-noise ratio (SINR) besides the delay length to estimate the updated SINR to be mapped into a CQI value. Our proposals are designed to run at the user equipment (UE) side, neither requiring any change in the signalling between the base station (gNB) and UE nor overloading the gNB. They are evaluated in terms of mean squared error by adopting 5G network simulation data and the results show their high accuracy and feasibility to be employed in 5G/6G systems.

**Key words:** channel quality indicator (CQI) feedback delay; 5G/6G networks; machine learning; evolutionary computing

## 1 Introduction

The fifth and sixth generations of mobile networks (5G/6G) are designed to support applications that demand different levels of latency, connection density, reliability, and throughput<sup>[1]</sup>. However, the unpredictability and dynamism of the wireless environment (e.g., user mobility and signal reflection) make the process of holding the mobile communication quality challenging. In this respect, 5G networks apply adaptive modulation and coding (AMC) to dynamically select the downlink modulation order and coding rate, targeting high throughput and spectral efficiency but keeping the block error rate (BLER) under control<sup>[2]</sup>. The AMC is based on the channel quality indicator (CQI), a 4-bit value<sup>[3]</sup> reported by the user equipment (UE) that aims at expressing the current channel condition. By using this feedback, the 5G base station

(gNB) allocates the resources and defines the modulation and coding schemes to be used by the UE.

Having a CQI value that faithfully reflects the channel quality is paramount important for 5G communications since that an inaccurate CQI may result in imbalanced resource distribution and unsuitable modulation and coding scheme (MCS), degrading the UE communication<sup>[4]</sup>. An overestimated (underestimated) CQI leads to selection of a higher (lower) order MCS by the gNB, which may cause higher BLERs and excessive retransmissions (reduction in data rate and spectral efficiency).

Besides the way how the channel quality is estimated (e.g., via measurement of the signal-to-interference-plus-noise ratio (SINR) of a reference signal sent by gNB<sup>[5]</sup>), the delay incurred by the CQI feedback may also make the CQI inaccurate since that variations in the channel quality may take place between the transmission and reception of the CQI, especially in scenarios with high mobility users.

This paper extends our previous one<sup>[6]</sup> by designing two approaches to address the CQI feedback delay, one based on machine learning and another on evolutionary computing. Different from solutions presented in the

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literature, which only adopt a single input (SINR, signal-to-noise ratio (SNR), or CQI) to predict its future value, our proposals consider the UE context (expressed in term of velocity, direction, and position) and delay length besides the SINR to estimate the updated SINR to be mapped into a CQI value. They act as regressive models and functions that map five input variables into an output (updated SINR), whereas the previous schemes are basically time-series forecasters that get data samples equally spaced in time. In addition, our solutions are designed to run at the UE side, neither requiring any change in the signalling between gNB and UE nor overcharging the base station. The proposed approaches are evaluated in terms of mean squared error (*MSE*), by using 5G network simulation data, and the results show their high accuracy and feasibility to be adopted in 5G/6G networks.

This paper is organized as follows. Section 2 presents works that deal with the CQI feedback process. Section 3 describes the proposed solutions for the CQI feedback delay problem, which are evaluated in Section 4. Section 5 concludes this paper and outlines future directions.

## 2 Related work

The CQI is an important indicator used by the 5G base station to define the MCS and the amount of radio resources to be considered in the downlink. In this aspect, it is imperative that its value expresses the current channel quality, but there are three important issues that emerge in the feedback process and make it challenging, which are: (1) the CQI accuracy, i.e., how the channel quality is gotten and translated into a channel quality indicator; (2) the obsolete CQI value, which may be a consequence of changes in the wireless environment during the reporting time (feedback delay); (3) the CQI feedback overhead, an excessive signalling in the uplink, caused by too frequent reports (e.g., in scenarios with high user density).

Different studies have proposed solutions for these issues, such as in Ref. [7], which addressed the obsolete CQI problem by using linear extrapolation to predict the signal-to-noise ratio (SNR) based on

previous values. This is a low complexity scheme that fails when employed in scenario with moderate or high speed users. By addressing the same issue, Ref. [8] used a long short term memory (LSTM) neural network to predict the CQI and considered online retraining to keep the high accuracy of the schemes even in dynamic scenarios. Similar to Ref. [7], Ref. [8] was a single input type forecaster, but presented two differences: it predicted the CQI and ran at the base station.

The CQI accuracy issue was addressed in Ref. [4, 5, 9]. Reference [5] proposed a scheme that considers the SNR and the maximum multipath delay spread of instantaneous channel state to precisely compute the channel quality indicator under fading channels. Reference [4] adopted three machine learning (ML) techniques (stochastic gradient descent, multilayer perceptron (MLP), and support vector machine) to predict the SNR in environments with different user speeds and channel models besides considering the SNR and CQI as inputs. Reference [9] in turn designed a CQI mapping scheme that balances the energy efficiency (EE) and spectral efficiency (SE) while keeping the block error rate under control. By employing this proposal, the operators may set their priorities via weight adjustments for SE and EE. In addition to the tackled problem, Refs. [4, 9] differ from our work as they are developed to run on the base station and do not adopt the user equipment speed as an input to define the SNR or CQI.

The CQI feedback overhead was addressed via spatial correlation of wireless channels in Refs. [10, 11], where the authors used Gaussian process regression (GPR) to estimate the CQI for some users based on the selected ones. To improve the scheme performance, Ref. [10] adjusted the model by considering the user density and prediction accuracy. Different from our approaches, Refs. [10, 11] are limited to scenarios with static users and strongly dependent on the user density, not working well in low user density cases. In Ref. [2], the subband level and aperiodic feedback were used to reduce the CQI feedback overhead. The authors proposed a GPR-based scheme to estimate the CQI and thus compensate for the feedback reduction, evaluating

it in scenario with moving users, but without considering the user speed as an input to the scheme.

The authors in Ref. [12] proposed a strategy for multicast unmanned aerial vehicle (UAV) systems in which the base station determines the modulation and coding schemes for UAVs in the same group based on their CQI feedbacks. Although the proposal is focused on UAVs, it does not consider their high mobility, which may impact on their positions and, consequently, lead to an obsolete CQI to be used in the MCS selection, making the scheme unsuitable for UAV systems. In Ref. [13], the feedback overhead was addressed by estimating the channel quality indicator of some users via CQI values reported by others. To do so, the authors used two neural networks (NNs) running on the base station, one for selecting the users and subbands to be used in the CQI estimation and another for estimating the CQI.

Table 1 points out the main characteristics of the previous works and compares them to the proposed one, clarifying their differences.

### 3 Proposed approaches

The channel quality indicator is a key-element used by the user to report the channel condition to the base station in 5G networks. The medium access layer scheduler adopts the CQI to allocate resources, determines the modulation and coding schemes along with the transport block size to be employed in the downlink and, consequently, defines the amount of data that will be transmitted at each time slot<sup>[8]</sup>. In this regard, having a CQI that faithfully denotes the channel quality when the base station makes decisions is fundamental. Notwithstanding, the delay incurred by the CQI transmission may make its value obsolete.

To tackle this issue, we develop two approaches, one based on machine learning and another on evolutionary computing. Both consider the user context expressed in terms of position, velocity, and movement direction, the SINR measured at instant  $t$  and also the delay length ( $\tau$ ) to estimate the SINR at the moment  $t+\tau$  (updated), which is then mapped into a CQI value. There are different alternatives for the SINR-CQI mapping (e.g., via mapping table received from the

base station or using schemes such as Refs. [4, 13, 15]) and our approaches support these different ways, not demanding any change in the gNB or signalling protocol, besides being planned to run on the user equipment. Figure 1 illustrates the approaches, which are described in Sections 3.1 and 3.2.

The current SINR is measured regarding the reference signal sent by the base station. The UE context in turn may be obtained via global positioning system since it is commonly embedded in the current mobile devices and, thus, it could be a natural solution. However, there are other alternatives to get the UE context such as databases of geo-tagged Wifi hotspots, sensor-based technologies (e.g., cameras), Wifi signal based localization, indoor positioning services (IPs), as well as their combinations<sup>[16]</sup>. These systems differ from each other in terms of position accuracy, adopted environment (outdoor and indoor), orientation mode (UE-based or network/server-based), measurement time, energy consumption, and privacy level, which need to be considered in the selection of the most suitable one based on constraints such as accuracy threshold, energy budget, and desired privacy level. For instance, considering the energy consumption and privacy, the GPS consumes more energy than Wifi or cell network based solutions<sup>[17]</sup>, but as it runs the localization directly on the UE with no location-sensitive information received or sent from/to the base station or external server, such as in IPS, it may offer better level of privacy to the user.

#### 3.1 Machine learning based approach

For SINR estimation (see Fig. 1), we analyze two types of feedforward artificial neural networks (ANNs): multilayer perceptron (MLP) and radial basis function (RBF), which are widely used for regression and classification problems and able to build non-linear mappings. We conducted several tests with different ANN configurations by varying the key-parameters of each network type and evaluated them in order to define the best one by considering the ANN complexity in addition to the Formulas (1) and (2), which intend to point out the ANN that is able to learn the data characteristics used in the training stage and

**Table 1 Approaches for CQI feedback related problems.**

| Reference | Proposal  | CQI problem       | Technique   | Goal   | Side | Input  | Output              |
|-----------|---|-------------------|---|--|------|--|---------------------|
| [2]       | A packet loss and CQI prediction approach   | Feedback overhead | Gaussian process regression                                   | To minimize the packet loss and limit the CQI signalling overhead      | BS   | CQI and packet loss  | CQI and packet loss |
| [4]       | An ML-based approach to predict SNR   | Innaccuracy       | Machine learning (SVR, MLP, SGD)                              | To provide a more accurate channel quality estimation                  | BS   | CQI and SNR  | SNR                 |
| [5]       | A multipath delay spread-aware CQI scheme for LTE system                                      | Innaccuracy       | Empirical SNR/delay - CQI mapping based on simulation data    | To achieve more precise CQIs under fading channels                     | UE   | SNR and multipath delay spread                                       | CQI                 |
| [7]       | A linear extrapolation-based scheme to predict SNR and map it into a CQI value                | Feedback delay    | Linear extrapolation  | To improve the network throughput                                      | UE   | SNR  | SNR and derived CQI |
| [8]       | An LSTM-based CQI prediction method and an online training module in ns-3                     | Feedback delay    | LSTM artificial neural network                                | To improve the CQI prediction accuracy                                 | BS   | CQI  | CQI                 |
| [9]       | A CQI mapping algorithm that considers the spectral efficiency and energy efficiency tradeoff | Estimation        | The VIKOR ranking method and weighted sum                     | To balance EE and SE in the MCS selection                              | BS   | CQI and weights for EE, SE, and coding rate                          | CQI                 |
| [10]      | An SNR prediction scheme based on the SNR reported by spatially correlated UEs.               | Feedback overhead | Gaussian process regression                                   | To reduce the CQI feedback overhead and improve the prediction quality | BS   | SNR and spatial correlation of users                                 | SNR and CQI         |
| [11]      | An SIR prediction scheme that uses SIR from spatial correlated users                          | Feedback overhead | Gaussian process regression                                   | To reduce the CQI signaling overhead                                   | BS   | SIR and spatial correlation from a set of users                      | SIR                 |
| [12]      | A CQI feedback scheme for UAV multicast system  | Feedback overhead | Minimum function and fixed channel for CQI feedback per group | To reduce the signalling overhead and increase the spectral efficiency | BS   | CQI  | CQI                 |
| [13]      | A CQI report scheme for URLLC   | Estimation        | The worst-case estimation                                     | To accurately estimate and report the the worst-case SINR conditions   | UE   | SIRN   | CQI                 |
| [14]      | An ANN-based selector and a dense ANN-based for users/subbands selection and CQI estimation   | Feedback overhead | Artificial neural networks                                    | To reduce the CQI feedback signalling overhead                         | BS   | CQI of selected subbands/ users                                      | CQI                 |
| This work | ML and EC-based approaches with multiple inputs for CQI feedback delay                        | Feedback delay    | MLP and RBF artificial neural networks and genetic algorithms | To accurately estimate the SINR considering the CQI feedback delay     | UE   | UE velocity, movement direction and position, delay length, and SINR | SINR                |

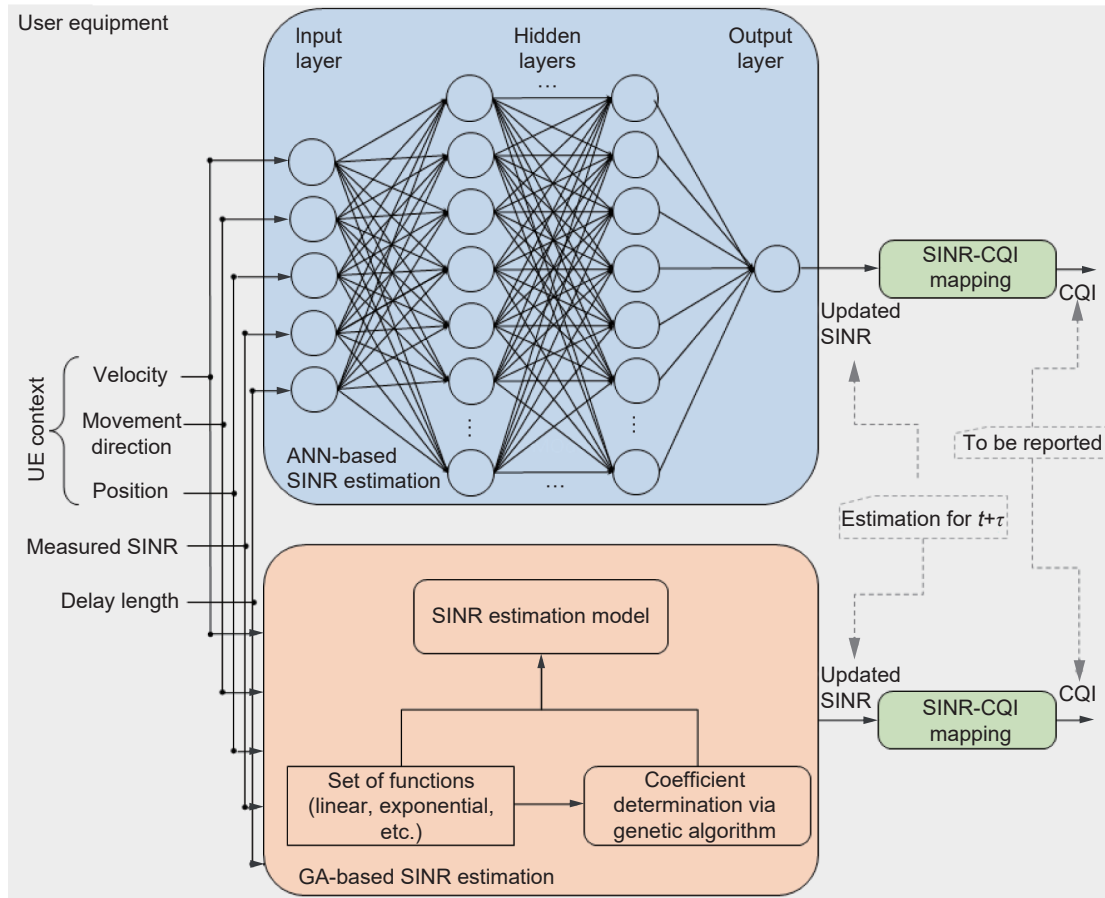


Fig. 1 Proposed schemes.

generalize them when fed with new data.

$$(MSE_{train} \text{ and } MSE_{valid}) \leq MSE_{ref} \quad (1)$$

$$\text{Minimize } |MSE_{train} - MSE_{valid}| \quad (2)$$

where the  $MSE_{ref}$  denotes the desired mean squared error ( $MSE$ ), which was considered as 0.01 in this paper;  $MSE_{train}$  and  $MSE_{valid}$  mean the  $MSE$  got by the ANN in the training and validation phases, respectively.

### 3.1.1 MLP topology

The multi-layer perceptrons (MLPs) are neural networks with one or more hidden layers that adopt non-linear function neurons<sup>[18]</sup>. They have been widely used in diverse problems in 5G networks such as channel estimation in massive MIMO systems<sup>[19]</sup>, throughput prediction<sup>[20]</sup> as well as in CQI-related issues<sup>[4, 6]</sup>.

In order to define the most suitable MLP topology for dealing with the CQI feedback delay, we analyzed different MLP ANNs, by testing parameters such as the

number of hidden layers (NHL), neurons in the hidden layer (NHLN) and their activation functions (AFHL) as well as the learning rate (LR). The sigmoid (Eq. (3)) and hyperbolic tangent (Eq. (4)) functions were the options for NHLN. In all cases, the input layer was set with five neurons, which are associated to the input variables, and the output layer was defined with one linear activation function (OLAF) based neuron, which denotes the SINR at the moment  $t + \tau$ . Moreover, the MLP ANNs were trained by using the backpropagation learning algorithm<sup>[18]</sup>. Table 2 presents the parameters and tested values.

Table 2 Tested MLP ANN hyper-parameters and values.

| Hyper-parameter                                   | Value                 |
|---|-----------------------|
| Number of hidden layers (NHL)                     | 1; 2; 3               |
| Number of hidden layer neurons (NHLN)             | 5; 10; 15; 20; 25; 30 |
| Activation function of hidden layer neuron (AFHL) | Tansig; Logsig        |
| Learning rate (LR)                                | 0.01; 0.045; 0.1      |

$$\text{Logsig}(x) = \frac{1}{1 + e^{-x}} \quad (3)$$

$$\text{Tansig}(x) = \frac{2}{1 + e^{-2x}} - 1 \quad (4)$$

The number of neurons in the hidden layer impacts on the neural network performance. Adopting so few hidden neurons would result in a neural network without the capacity to learn the data structure. In contrast, too many hidden neurons would severely increase the neural network complexity and its learning time, without improving the performance significantly<sup>[18]</sup>. Similarly, the ANN's efficiency and complexity are also impacted by the number of hidden layers, where conditions of overfitting or underfitting may emerge as a consequence of adopting too many or few hidden layers in the ANN, not following the problem complexity, and, thus, causing generalization loss over new data or inefficient results<sup>[21]</sup>. On these points, we tested six and three values for NHLN and NHL, respectively, which are listed in Table 2.

Figure 2 presents the average results for all 144 MLP configurations, computed by considering 30 executions. Almost all configurations met Formula (1). The configuration #48, which comprises  $NHL = 1$ ,  $NHLN = 35$  neurons, sigmoid AFHL, and  $LR = 0.2$ , obtained the lowest  $MSE_{train}$  (0.003217), but its  $MSE_{valid} = 0.005$  made its error difference (0.001782) bigger than the configuration #38, which got 0.0004008, 0.004127, and 0.004528 for error difference,  $MSE_{train}$ , and  $MSE_{valid}$ , respectively.

The configuration #91 got the best performance with

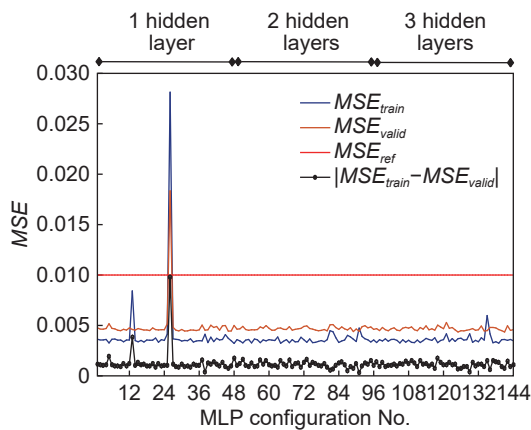


Fig. 2 MSE values got by the MLP under different configurations.

regard to Formula (2), error difference equals to 0.0003183, but being more complex (double hidden layer with 30 neurons) and achieving an  $MSE_{train}$  slight higher than the configuration #38. With this in mind, we adopted the configuration #38 in our MLP-based scheme, which is summarized in Table 3. The data used in this evaluation are described in Section 4.

### 3.1.2 RBF topology

The RBF ANNs are composed of input, hidden, and output layers. The first connects the neural networks to the environment. Each neuron in the hidden layer represents a center (cluster) for the input space and adopts a radial basis activation function, such as the Gaussian one, in which its output is given by the euclidean distance between the center and the input data. Each activation function requires two parameters: center and width. The outputs of the hidden layer are combined linearly by the second layer neurons<sup>[22]</sup>.

Similarly to the MLPs, we also analyzed different RBF configurations, varying two important parameters, the spread factor (SF) and the maximum number of neurons in the hidden layer in order to define the proper configuration for the CQI feedback delay problem. The spread factor controls the width of the activation function, i.e., the response area in the input space associated to each hidden layer neuron. Table 4 summarizes the values tested.

Figure 3 presents the average MSE obtained by the RBF configurations in the training stage, considering 30 executions. All configurations achieved  $MSE_{train}$

Table 3 Selected MLP configuration.

| Parameter                                   | Value             |
|---|-------------------|
| Number of input layer neurons ( $NILN$ )    | 5                 |
| Number of hidden layers ( $NHL$ )           | 1                 |
| Number of hidden layer neurons ( $NHLN$ )   | 25                |
| Activation function of hidden layer neurons | Sigmoid (Eq. (3)) |
| Number of output layer neurons ( $NOLN$ )   | 1                 |
| Activation function of output layer neuron  | Linear            |
| Learning rate ( $LR$ )                      | 0.1               |

Table 4 RBF hyper-parameters and values.

| Hyper-parameter                           | Value                                     |
|---|---|
| Spread factor ( $SF$ )                    | 0.1; 0.5; 0.7; 0.8; 0.9; 1; 1.5; 2; 5; 10 |
| Maximum number of hidden neurons ( $MN$ ) | 200; 500; 700; 800; 1000                  |



and  $\beta$  is a value uniformly distributed in a given interval.

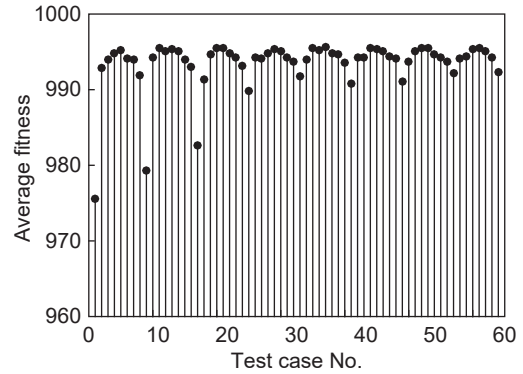
Since that the frequency of crossover and mutation operations has great impact on the GA performance, multiple tests have been conducted to define their occurrence probabilities ( $p_c$  and  $p_m$ , respectively) in our GA-based scheme. In this way, 64 test cases obtained by the combination of values for the crossover and mutation probabilities (see Table 5) were analyzed and we selected the values that provided the highest average fitness for the last generation's population after 5 simulation instances to set our GA. Figure 5 presents the results, in which the test case 37 displayed the best performance for the GA, having crossover and mutation probabilities equal to 0.5 and 0.3, respectively. In addition to these parameters, the population size and number of generations were defined as being equal to 100 and 200, respectively.

**3.2.3 GA flow execution**

The execution flow of our GA-based scheme is shown in Fig. 6. Given an SINR model with coefficients to be determined, the initial population is randomly

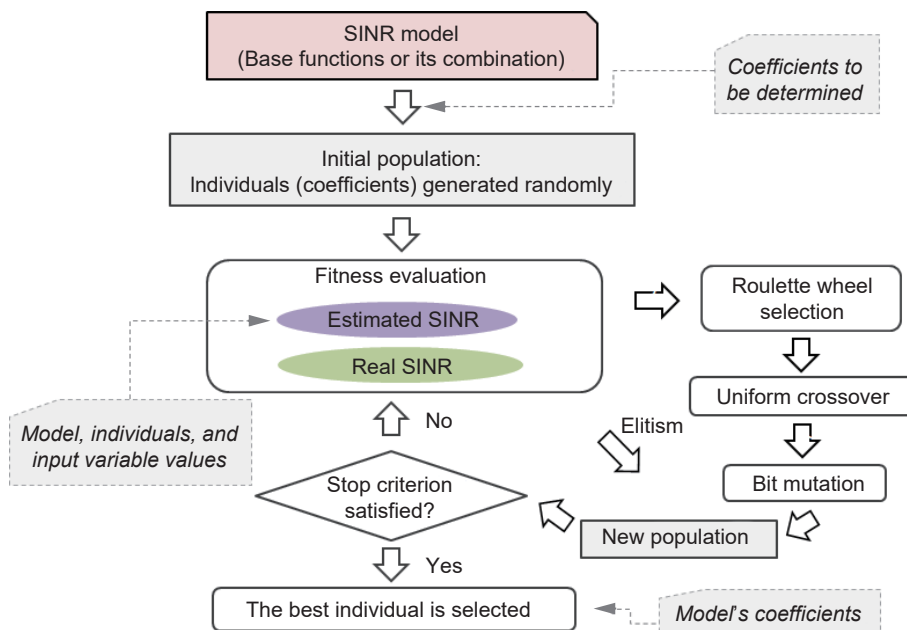
**Table 5** Tested crossover and mutation probabilities.

| Parameter | Value                              |
|-----------|------------------------------------|
| $p_c$     | 0.1/0.2/0.3/0.4/0.5/0.6/0.7/0.8    |
| $p_m$     | 0.01/0.03/0.05/0.1/0.3/0.5/0.6/0.7 |



**Fig. 5** Average fitness of the GA with linear model under different  $p_c$  and  $p_m$  values (test cases).

generated so as to provide candidate solutions (coefficient values). After that, the individuals are evaluated via fitness function (see Eq. (6)) that is based on the *MSE*. Thereupon, the individuals are submitted for selection, together with the crossover and mutation operators, and moreover, an elitist strategy is employed to ensure the best fitness individuals will not be lost during the selection process. Finally, a new generation of candidates will be created and the stop criterion, which is determined by the number of generations ( $G$ ), is evaluated. If it is not satisfied, the process repeats from the fitness evaluation stage. Otherwise, the best individual is chosen as the final solution. This represents the coefficients to be adopted in the SINR model.



**Fig. 6** GA execution flow.



### 4 Result

This section presents the results got by our approaches. First, they are analyzed in terms of *MSE* obtained in the training and validation stages. After that, a comparison between the SINR real (target) and that one defined by each proposed approach is conducted. The evaluation used data generated by the 5G/mmwave ns-3 simulation framework<sup>[24]</sup>, considering a 5G network where the UE speed, movement direction, and position were varied during the simulations in order to produce different CQI and SINR values. 2633 samples were collected, being 70% and 30% used for training and validation, respectively.

Figure 7 compares the approaches in terms of *MSE* achieved in the validation and training stages. We noted that the GA-based scheme presents the best performance in both phases, achieving *MSE* values equal to 0.003 915 and 0.004 109, respectively. Besides that, GA also achieved a similar performance in both stages, which denotes it was able to properly define the linear model coefficients by using the training data, but not being addicted to them.

The MLP-based scheme also got a great performance, with  $MSE_{train}$  and  $MSE_{valid}$  assuming 0.004 127 and 0.004 528, respectively, denoting that the MLP-based scheme not only learned the data characteristics in the training phase, but also provided a great generalization capacity when faced the validation data. This close performance in both stages achieved by these two approaches was not followed by the RBF-based one in the same order ( $10^{-4}$ ). Although it had gotten the lowest  $MSE_{train}$ , i.e., 0.002 627, its  $MSE_{valid}$

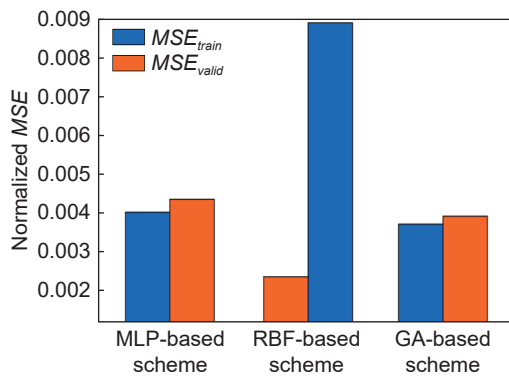


Fig. 7 *MSE* values achieved by the approaches.

assumed a value equals to 0.008 878, denoting a difference between them in the scale of  $10^{-3}$  and showing a slightly performance reduction in its generalization capacity.

Figures 8–10 compare the real SINR value (desired) to that one estimated by the schemes. In general, for all schemes, the curves presented similar behaviors with

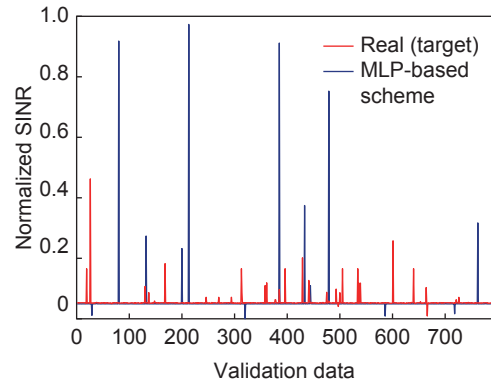


Fig. 8 SINR estimated by the MLP-based scheme and the real value.

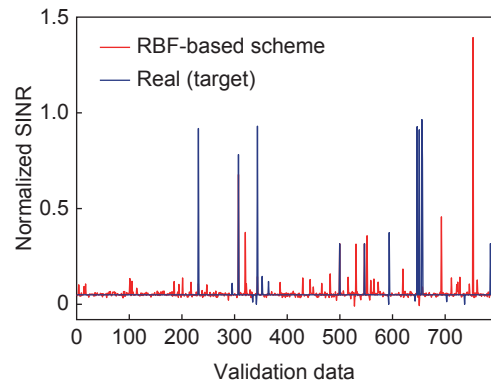


Fig. 9 SINR estimated by the RBF-based scheme and the real value.

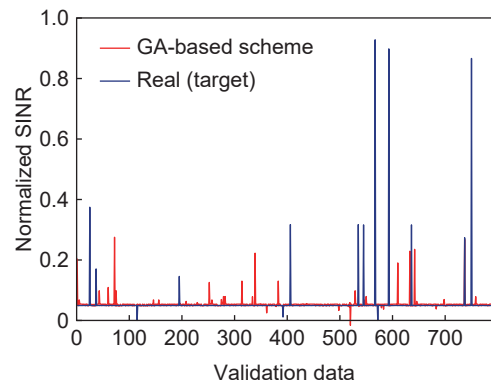


Fig. 10 SINR estimated by the GA-based scheme and the real value.

some points of mismatches between real and estimated values, but without causing high *MSEs* (as shown in Fig. 7). The results show that our proposed approaches are feasible to overcome the CQI feedback delay, either the machine learning based schemes or the evolutionary computing one.

Since our proposal is designed to be hosted at the UE, which has limited energy and processing capacities, it is worth mentioning that the main processing load (the neural network training or execution of genetic algorithms to determine the model coefficients) may be handled out of the UE, in a cloud or MEC (multi-access edge computing) server, for example. Once the model has already been defined (trained neural network or GA-based one), it may be embedded into device via sums and products. In this way, the processing load to compute the updated SINR is greatly reduced, being now predominant that one related to the UE context acquisition, in which different solutions may be adopted, as discussed in Section 3.

In addition, although the mapping of updated SINR into CQI value is not the focus of this paper, we point that different aspects may be considered in this process, such as spectral efficiency (SE) and BLER<sup>[15]</sup>, SE and energy efficiency tradeoff<sup>[9]</sup>, or application requirements<sup>[13]</sup>. Furthermore, when the SINR-CQI translation is based on intervals, the distance between the real and the value computed via proposed approaches may not cause a CQI error.

## 5 Conclusion

This paper proposed two approaches to deal with the CQI feedback delay, one based on machine learning and another on evolutionary computing. We took into account the user context, measured SINR, and delay length to faithfully estimate the SINR and conducted extensive tests to define the best configuration for each proposed scheme. All approaches presented high accuracy values, which indicate they are able to estimate the channel quality and thus assist the correct MCS selected by the base station. Although not discussed, our approaches support online re-training<sup>[8]</sup> in response to the wireless environment changes. Future works include embedding the proposed schemes in a simulator or testbed and combining them with

different CQI mapping mechanisms in 5G networks with heterogeneous services. In addition, comparing our approaches to those ones presented in the literature regarding aspects such as complexity and performance (e.g., CQI accuracy, energy consumption, spectral efficiency, and BER) under different mobility scenarios is a work to be conducted.

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