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RTP Extensions for Transport-wide Congestion Control  
draft-holmer-rmcat-transport-wide-cc-extensions-01

Abstract

This document proposes an RTP header extension and an RTCP message for use in congestion control algorithms for RTP-based media flows. It adds transport-wide packet sequence numbers and corresponding feedback message so that congestion control can be performed on a transport level at the send-side, while keeping the receiver dumb.

Requirements Language

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

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## 1. Introduction

This document proposes RTP header extension containing a transport-wide packet sequence number and an RTCP feedback message feeding back the arrival times and sequence numbers of the packets received on a connection.

Some of the benefits that these extensions bring are:

- o The congestion control algorithms are easier to maintain and improve as there is less synchronization between sender and receiver versions needed. It should be possible to implement [I-D.ietf-rmcat-gcc], [I-D.ietf-rmcat-nada] and [I-D.ietf-rmcat-scream-cc] with the proposed protocol.

- o More flexibility in what algorithms are used, as long as they are having most of their logic on the send-side. For instance different behavior can be used depending on if the rate produced is application limited or not.

## 2. Transport-wide Sequence Number

### 2.1. Semantics

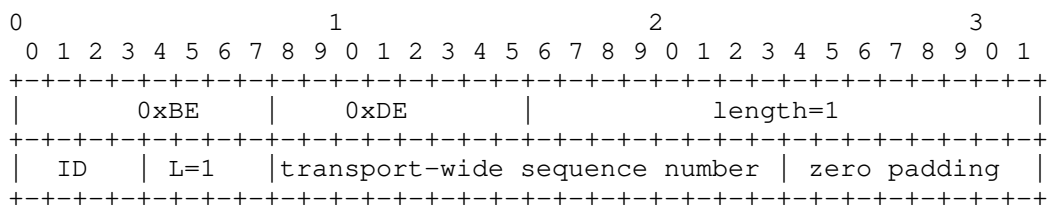
This RTP header extension is added on the transport layer, and uses the same counter for all packets which are sent over the same connection (for instance as defined by bundle).

The benefit with a transport-wide sequence numbers is two-fold:

- o It is a better fit for congestion control as the congestion controller doesn't operate on media streams, but on packet flows.
- o It allows for earlier packet loss detection (and recovery) since a loss in stream A can be detected when a packet from stream B is received, thus we don't have to wait until the next packet of stream A is received.

### 2.2. RTP header extension format

This document describes a message using the application specific payload type. This is suitable for experimentation; upon standardization, a specific type can be assigned for the purpose.



An RTP header extension with a 16 bits sequence number attached to all packets sent. This sequence number is incremented by 1 for each packet being sent over the same socket.

### 2.3. Signaling of use of this extension

When signalled in SDP, the standard mechanism for RTP header extensions [RFC5285] is used:

a=extmap:5 <http://www.ietf.org/id/draft-holmer-rmcat-transport-wide-cc-extensions>

### 3. Transport-wide RTCP Feedback Message

To allow the most freedom possible to the sender, information about each packet delivered is needed. The simplest way of accomplishing that is to have the receiver send back a message containing an arrival timestamp and a packet identifier for each packet received. This way, the receiver is dumb and simply records arrival timestamps (A) of packets. The sender keeps a map of in-flight packets, and upon feedback arrival it looks up the on-wire timestamp (S) of the corresponding packet. From these two timestamps the sender can compute metrics such as:

- o Inter-packet delay variation:  $d(i) = A(i) - S(i) - (A(i-1) - S(i-1))$
- o Estimated queueing delay:  $q(i) = A(i) - S(i) - \min\{j=i-1..i-w\} (A(j) - S(j))$

Since the sender gets feedback about each packet sent, it will be set to better assess the cost of sending bursts of packets compared to aiming at sending at a constant rate decided by the receiver.

Two down-sides with this approach are:

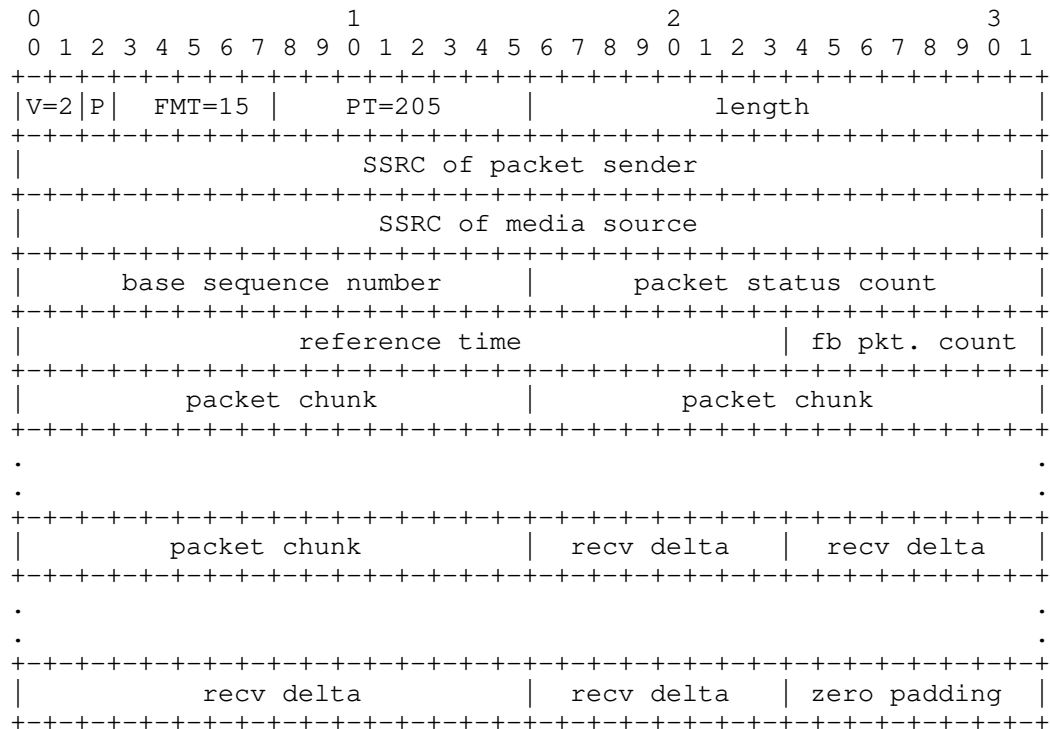
- o It isn't possible to differentiate between lost feedback on the downlink and lost packets on the uplink.
- o Increased feedback rate on the reverse direction.

From a congestion control perspective, lost feedback messages are handled by ignoring packets which would have been reported as lost or received in the lost feedback messages. This behavior is similar to how a lost RTCP receiver report is handled.

It is recommended that a feedback message is sent for every frame received, but in cases of low uplink bandwidth it is acceptable to send them less frequently, e.g., for instance once per RTT, to reduce the overhead.

#### 3.1. Message format

The message is an RTCP message with payload type 206. RFC 3550 [RFC3550] defines the range, RFC 4585 [RFC3550] defines the specific PT value 206 and the FMT value 15.



version (V): 2 bits This field identifies the RTP version. The current version is 2.

padding (P): 1 bit If set, the padding bit indicates that the packet contains additional padding octets at the end that are not part of the control information but are included in the length field.

feedback message type (FMT): 5 bits This field identifies the type of the FB message. It must have the value 15.

payload type (PT): 8 bits This is the RTCP packet type that identifies the packet as being an RTCP FB message. The value must be RTPFB = 205.

SSRC of packet sender: 32 bits The synchronization source identifier for the originator of this packet.

SSRC of media source: 32 bits The synchronization source identifier of the media source that this piece of feedback

information is related to. TODO: This is transport wide, do we just pick any of the media source SSRCS?

base sequence number: 16 bits The transport-wide sequence number of the first packet in this feedback. This number is not necessarily increased for every feedback; in the case of reordering it may be decreased.

packet status count: 16 bits The number of packets this feedback contains status for, starting with the packet identified by the base sequence number.

reference time: 24 bits Signed integer indicating an absolute reference time in some (unknown) time base chosen by the sender of the feedback packets. The value is to be interpreted in multiples of 64ms. The first recv delta in this packet is relative to the reference time. The reference time makes it possible to calculate the delta between feedbacks even if some feedback packets are lost, since it always uses the same time base.

feedback packet count: 8 bits A counter incremented by one for each feedback packet sent. Used to detect feedback packet losses.

packet chunk: 16 bits A list of packet status chunks. These indicate the status of a number of packets starting with the one identified by base sequence number. See below for details.

recv delta: 8 bits For each "packet received" status, in the packet status chunks, a receive delta block will follow. See details below.

### 3.1.1. Packet Status Symbols

The status of a packet is described using a 2-bit symbol:

- 00 Packet not received
- 01 Packet received, small delta
- 10 Packet received, large or negative delta
- 11 [Reserved]

Packets with status "Packet not received" should not necessarily be interpreted as lost. They might just not have arrived yet.

For each packet received with a delta, to the previous received packet, within +/-8191.75ms, a receive delta block is appended to the feedback message.

Note: In the case the base sequence number is decreased, creating a window overlapping the previous feedback messages, the status for any packets previously reported as received must be marked as "Packet not received" and thus no delta included for that symbol.

### 3.1.2. Packet Status Chunks

Packet status is described in chunks, similar to a Loss RLE Report Block. There are two different kinds of chunks:

- o Run length chunk
- o Status vector chunk

All chunk types are 16 bits in length. The first bit of the chunk identifies whether it is an RLE chunk or a vector chunk.

### 3.1.3. Run Length Chunk

A run length chunk starts with 0 bit, followed by a packet status symbol and the run length of that symbol.

```

      0                               1
0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
+---+---+---+---+---+---+---+---+---+
|T| S |           Run Length          |
+---+---+---+---+---+---+---+---+

```

chunk type (T): 1 bit A zero identifies this as a run length chunk.

packet status symbol (S): 2 bits The symbol repeated in this run.  
See above.

run length (L): 13 bits An unsigned integer denoting the run length.

Example 1:

```

      0                               1
0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
+---+---+---+---+---+---+---+---+---+
|0|0 0|0 0 0 0 0 1 1 0 1 1 1 0 1|
+---+---+---+---+---+---+---+---+

```

This is a run of the "packet not received" status of length 221.

Example 2:

```

      0                               1
    0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
  +--+--+--+--+--+--+--+--+--+--+--+
  |0|1 1|0 0 0 0 0 0 0 0 1 1 0 0 0|
  +--+--+--+--+--+--+--+--+--+--+--+

```

This is a run of the "packet received, w/o recv delta" status of length 24.

#### 3.1.4. Status Vector Chunk

A status vector chunk starts with a 1 bit to identify it as a vector chunk, followed by a symbol size bit and then 7 or 14 symbols, depending on the size bit.

```

      0                               1
    0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
  +--+--+--+--+--+--+--+--+--+--+--+
  |T|S|          symbol list          |
  +--+--+--+--+--+--+--+--+--+--+--+

```

chunk type (T): 1 bit A one identifies this as a status vector chunk.

symbol size (S): 1 bit A zero means this vector contains only "packet received" (0) and "packet not received" (1) symbols. This means we can compress each symbol to just one bit, 14 in total. A one means this vector contains the normal 2-bit symbols, 7 in total.

symbol list: 14 bits A list of packet status symbols, 7 or 14 in total.

Example 1:

```

      0                               1
    0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
  +--+--+--+--+--+--+--+--+--+--+--+
  |1|0|0 1 1 1 1 1 0 0 0 1 1 1 0 0|
  +--+--+--+--+--+--+--+--+--+--+--+

```

This chunk contains, in order:

1x "packet not received"

5x "packet received"



3x "packet not received"

3x "packet received"

2x "packet not received"

Example 2:

```

      0                               1
0 1 2 3 4 5 6 7 8 9 0 1 2 3 4 5
+---+---+---+---+---+---+---+---+---+---+
|1|1|0 0 1 1 0 1 0 1 0 1 0 0 0 0|
+---+---+---+---+---+---+---+---+---+---+

```

This chunk contains, in order:

1x "packet not received"

1x "packet received, w/o timestamp"

3x "packet received"

2x "packet not received"

### 3.1.5. Receive Delta

Deltas are represented as multiples of 250us:

- o If the "Packet received, small delta" symbol has been appended to the status list, an 8-bit unsigned receive delta will be appended to rcv delta list, representing a delta in the range [0, 63.75] ms.
- o If the "Packet received, large or negative delta" symbol has been appended to the status list, a 16-bit signed receive delta will be appended to rcv delta list, representing a delta in the range [-8192.0, 8191.75] ms.
- o If the delta exceeds even the larger limits, a new feedback message must be used, where the 24-bit base receive delta can cover very large gaps.

Note that the first receive delta is relative to the reference time indicated by the base receive delta.

TODO: Add examples.

The smaller receive delta upper bound of 63.75 ms means that this is only viable at about  $1000/25.5 \approx 16$  packets per second and above. With a packet size of 1200 bytes/packet that amounts to a bitrate of about 150 kbit/s.

The 0.25 ms resolution means that up to 4000 packets per second can be represented. With a 1200 bytes/packet payload, that amounts to 38.4 Mbit/s payload bandwidth.

#### 4. Overhead discussion

TODO: Examples of overhead in various scenarios.

#### 5. IANA considerations

Upon publication of this document as an RFC (if it is decided to publish it), IANA is requested to register the string "goog-remb" in its registry of "rtcp-fb" values in the SDP attribute registry group.

#### 6. Security Considerations

If the RTCP packet is not protected, it is possible to inject fake RTCP packets that can increase or decrease bandwidth. This is not different from security considerations for any other RTCP message.

#### 7. Acknowledgements

#### 8. References

##### 8.1. Normative References

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- [RFC3550] Schulzrinne, H., Casner, S., Frederick, R., and V. Jacobson, "RTP: A Transport Protocol for Real-Time Applications", STD 64, RFC 3550, July 2003.
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## [I-D.ietf-rmcat-nada]

Zhu, X., Pan, R., Ramalho, M., Cruz, S., Jones, P., Fu, J., D'Aronco, S., and C. Ganzhorn, "NADA: A Unified Congestion Control Scheme for Real-Time Media", draft-ietf-rmcat-nada-01 (work in progress), October 2015.

## [I-D.ietf-rmcat-scream-cc]

Johansson, I. and Z. Sarker, "Self-Clocked Rate Adaptation for Multimedia", draft-ietf-rmcat-scream-cc-01 (work in progress), July 2015.

## Appendix A. Change log

## A.1. First version

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Coupled congestion control for RTP media  
draft-ietf-rmcat-coupled-cc-00

Abstract

When multiple congestion controlled RTP sessions traverse the same network bottleneck, it can be beneficial to combine their controls such that the total on-the-wire behavior is improved. This document describes such a method for flows that have the same sender, in a way that is as flexible and simple as possible while minimizing the amount of changes needed to existing RTP applications. It specifies how to apply the method for the NADA congestion control algorithm.

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## 1. Introduction

When there is enough data to send, a congestion controller must increase its sending rate until the path's capacity has been reached; depending on the controller, sometimes the rate is increased further, until packets are ECN-marked or dropped. This process inevitably creates undesirable queuing delay -- an effect that is amplified when multiple congestion controlled connections traverse the same network bottleneck.

The Congestion Manager (CM) [RFC3124] couples flows by providing a single congestion controller. It is hard to implement because it requires an additional congestion controller and removes all per-connection congestion control functionality, which is quite a significant change to existing RTP based applications. This document presents a method to combine the behavior of congestion control mechanisms that is easier to implement than the Congestion Manager [RFC3124] and also requires less significant changes to existing RTP based applications. It attempts to roughly approximate the CM behavior by sharing information between existing congestion controllers. It is able to honor user-specified priorities, which is required by rtcweb [rtcweb-usecases].

## 2. Definitions

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

### Available Bandwidth:

The available bandwidth is the nominal link capacity minus the amount of traffic that traversed the link during a certain time interval, divided by that time interval.

### Bottleneck:

The first link with the smallest available bandwidth along the path between a sender and receiver.

### Flow:

A flow is the entity that congestion control is operating on. It could, for example, be a transport layer connection, an RTP session, or a subsession that is multiplexed onto a single RTP session together with other subsessions.

Flow Group Identifier (FGI):

A unique identifier for each subset of flows that is limited by a common bottleneck.

Flow State Exchange (FSE):

The entity that maintains information that is exchanged between flows.

Flow Group (FG):

A group of flows having the same FGI.

Shared Bottleneck Detection (SBD):

The entity that determines which flows traverse the same bottleneck in the network, or the process of doing so.

### 3. Limitations

Sender-side only:

Coupled congestion control as described here only operates inside a single host on the sender side. This is because, irrespective of where the major decisions for congestion control are taken, the sender of a flow needs to eventually decide the transmission rate. Additionally, the necessary information about how much data an application can currently send on a flow is often only available at the sender side, making the sender an obvious choice for placement of the elements and mechanisms described here.

Shared bottlenecks do not change quickly:

As per the definition above, a bottleneck depends on cross traffic, and since such traffic can heavily fluctuate, bottlenecks can change at a high frequency (e.g., there can be oscillation between two or more links). This means that, when flows are partially routed along different paths, they may quickly change between sharing and not sharing a bottleneck. For simplicity, here it is assumed that a shared bottleneck is valid for a time interval that is significantly longer than the interval at which congestion controllers operate. Note that, for the only SBD mechanism defined in this document (multiplexing on the same five-tuple), the notion of a shared bottleneck stays correct even in the presence of fast traffic fluctuations: since all flows that are assumed to share a bottleneck are routed in the same way, if the bottleneck changes, it will still be shared.

## 4. Architectural overview

Figure 1 shows the elements of the architecture for coupled congestion control: the Flow State Exchange (FSE), Shared Bottleneck Detection (SBD) and Flows. The FSE is a storage element that can be implemented in two ways: active and passive. In the active version, it initiates communication with flows and SBD. However, in the passive version, it does not actively initiate communication with flows and SBD; its only active role is internal state maintenance (e.g., an implementation could use soft state to remove a flow's data after long periods of inactivity). Every time a flow's congestion control mechanism would normally update its sending rate, the flow instead updates information in the FSE and performs a query on the FSE, leading to a sending rate that can be different from what the congestion controller originally determined. Using information about/from the currently active flows, SBD updates the FSE with the correct Flow State Identifiers (FSIs).

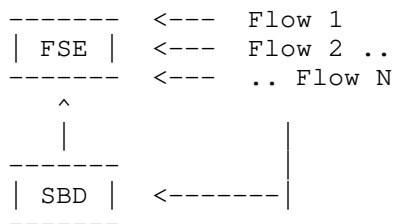


Figure 1: Coupled congestion control architecture

Since everything shown in Figure 1 is assumed to operate on a single host (the sender) only, this document only describes aspects that have an influence on the resulting on-the-wire behavior. It does, for instance, not define how many bits must be used to represent FSIs, or in which way the entities communicate. Implementations can take various forms: for instance, all the elements in the figure could be implemented within a single application, thereby operating on flows generated by that application only. Another alternative could be to implement both the FSE and SBD together in a separate process which different applications communicate with via some form of Inter-Process Communication (IPC). Such an implementation would extend the scope to flows generated by multiple applications. The FSE and SBD could also be included in the Operating System kernel.



## 5. Roles

This section gives an overview of the roles of the elements of coupled congestion control, and provides an example of how coupled congestion control can operate.

### 5.1. SBD

SBD uses knowledge about the flows to determine which flows belong in the same Flow Group (FG), and assigns FGIs accordingly. This knowledge can be derived in three basic ways:

1. From multiplexing: it can be based on the simple assumption that packets sharing the same five-tuple (IP source and destination address, protocol, and transport layer port number pair) and having the same Differentiated Services Code Point (DSCP) in the IP header are typically treated in the same way along the path. The latter method is the only one specified in this document: SBD MAY consider all flows that use the same five-tuple and DSCP to belong to the same FG. This classification applies to certain tunnels, or RTP flows that are multiplexed over one transport (cf. [transport-multiplex]). In one way or another, such multiplexing will probably be recommended for use with rtcweb [rtcweb-rtp-usage].
2. Via configuration: e.g. by assuming that a common wireless uplink is also a shared bottleneck.
3. From measurements: e.g. by considering correlations among measured delay and loss as an indication of a shared bottleneck.

The methods above have some essential trade-offs: e.g., multiplexing is a completely reliable measure, however it is limited in scope to two end points (i.e., it cannot be applied to couple congestion controllers of one sender talking to multiple receivers). A measurement-based SBD mechanism is described in [sbd]. Measurements can never be 100% reliable, in particular because they are based on the past but applying coupled congestion control means to make an assumption about the future; it is therefore recommended to implement cautionary measures, e.g. by disabling coupled congestion control if enabling it causes a significant increase in delay and/or packet loss. Measurements also take time, which entails a certain delay for turning on coupling (refer to [sbd] for details).

### 5.2. FSE

The FSE contains a list of all flows that have registered with it. For each flow, it stores the following:

- o a unique flow number to identify the flow
- o the FGI of the FG that it belongs to (based on the definitions in this document, a flow has only one bottleneck, and can therefore be in only one FG)
- o a priority P, which here is assumed to be represented as a floating point number in the range from 0.1 (unimportant) to 1 (very important). A negative value is used to indicate that a flow has terminated
- o The rate used by the flow in bits per second, FSE\_R.

The FSE can operate on window-based as well as rate-based congestion controllers (TEMPORARY NOTE: and probably -- not yet tested -- combinations thereof, with calculations to convert from one to the other). In case of a window-based controller, FSE\_R is a window, and all the text below should be considered to refer to window, not rates.

In the FSE, each FG contains one static variable S\_CR which is meant to be the sum of the calculated rates of all flows in the same FG (including the flow itself). This value is used to calculate the sending rate.

The information listed here is enough to implement the sample flow algorithm given below. FSE implementations could easily be extended to store, e.g., a flow's current sending rate for statistics gathering or future potential optimizations.

### 5.3. Flows

Flows register themselves with SBD and FSE when they start, deregister from the FSE when they stop, and carry out an UPDATE function call every time their congestion controller calculates a new sending rate. Via UPDATE, they provide the newly calculated rate and optionally (if the algorithm supports it) the desired rate. The desired rate is less than the calculated rate in case of application-limited flows; otherwise, it is the same as the calculated rate.

Below, two example algorithms are described. While other algorithms could be used instead, the same algorithm must be applied to all flows.

#### 5.3.1. Example algorithm 1 - Active FSE

This algorithm was designed to be the simplest possible method to assign rates according to the priorities of flows. Simulations

results in [fse] indicate that it does however not significantly reduce queuing delay and packet loss.

- (1) When a flow  $f$  starts, it registers itself with SBD and the FSE. FSE\_R is initialized with the congestion controller's initial rate. SBD will assign the correct FGI. When a flow is assigned an FGI, it adds its FSE\_R to S\_CR.
- (2) When a flow  $f$  stops, its entry is removed from the list.
- (3) Every time the congestion controller of the flow  $f$  determines a new sending rate CC\_R, the flow calls UPDATE, which carries out the tasks listed below to derive the new sending rates for all the flows in the FG. A flow's UPDATE function uses a local (i.e. per-flow) temporary variable S\_P, which is the sum of all the priorities.
  - (a) It updates S\_CR.

$$S\_CR = S\_CR + CC\_R - FSE\_R(f)$$

- (b) It calculates the sum of all the priorities, S\_P.

```
S_P = 0
for all flows i in FG do
    S_P = S_P + P(i)
end for
```

- (c) It calculates the sending rates for all the flows in an FG and distributes them.

```
for all flows i in FG do
    FSE_R(i) = (P(i)*S_CR)/S_P
    send FSE_R(i) to the flow i
end for
```

#### 5.3.2. Example algorithm 2 - Conservative Active FSE

This algorithm extends algorithm 1 to conservatively emulate the behavior of a single flow by proportionally reducing the aggregate rate on congestion. Simulations results in [fse] indicate that it can significantly reduce queuing delay and packet loss.

- (1) When a flow *f* starts, it registers itself with SBD and the FSE. FSE\_R is initialized with the congestion controller's initial rate. SBD will assign the correct FGI. When a flow is assigned an FGI, it adds its FSE\_R to S\_CR.
- (2) When a flow *f* stops, its entry is removed from the list.
- (3) Every time the congestion controller of the flow *f* determines a new sending rate CC\_R, the flow calls UPDATE, which carries out the tasks listed below to derive the new sending rates for all the flows in the FG. A flow's UPDATE function uses a local (i.e. per-flow) temporary variable S\_P, which is the sum of all the priorities, and a local variable DELTA, which is used to calculate the difference between CC\_R and the previously stored FSE\_R. To prevent flows from either ignoring congestion or overreacting, a timer keeps them from changing their rates immediately after the common rate reduction that follows a congestion event. This timer is set to 2 RTTs of the flow that experienced congestion because it is assumed that a congestion event can persist for up to one RTT of that flow, with another RTT added to compensate for fluctuations in the measured RTT value.

- (a) It updates S\_CR based on DELTA.

```
if Timer has expired or not set then
  DELTA = CC_R - FSE_R(f)
  if DELTA < 0 then // Reduce S_CR proportionally
    S_CR = S_CR * CC_R / FSE_R(f)
    Set Timer for 2 RTTs
  else
    S_CR = S_CR + DELTA
  end if
end if
```

- (b) It calculates the sum of all the priorities, S\_P.

```
S_P = 0
for all flows i in FG do
  S_P = S_P + P(i)
end for
```

- (c) It calculates the sending rates for all the flows in an FG and distributes them.

```
for all flows i in FG do
  FSE_R(i) = (P(i)*S_CR)/S_P
  send FSE_R(i) to the flow i
end for
```

## 6. Application

This section specifies how the FSE can be applied to specific congestion control mechanisms and makes general recommendations that facilitate applying the FSE to future congestion controls.

### 6.1. NADA

Network-Assisted Dynamic Adaption (NADA) [nada] is a congestion control scheme for rtcweb. It calculates a reference rate  $R_n$  upon receiving an acknowledgment, and then, based on the reference rate, it calculates a video target rate  $R_v$  and a sending rate for the flows,  $R_s$ .

When applying the FSE to NADA, the UPDATE function call described in Section 5.3 gives the FSE NADA's reference rate  $R_n$ . The recommended algorithm for NADA is the Active FSE in Section 5.3.1. In step 3 (c), when the FSE\_R(i) is "sent" to the flow i, this means updating  $R_v$  and  $R_s$  of flow i with the value of FSE\_R(i).

NADA simulation results are available from <http://heim.ifi.uio.no/safiquili/coupled-cc/>. The next version of this document will refer to a technical report that will be made available at the same URL.

### 6.2. General recommendations

This section will provides general advice for applying the FSE to congestion control mechanisms. TEMPORARY NOTE: Future versions of this document will contain a longer list.

#### Receiver-side calculations:

When receiver-side calculations make assumptions about the rate of the sender, the calculations need to be synchronized or the receiver needs to be updated accordingly. This applies to TFRC [RFC5348], for example, where simulations showed somewhat less favorable results when using the FSE without a receiver-side change [fse].

## 7. Acknowledgements

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## 8. IANA Considerations

This memo includes no request to IANA.

## 9. Security Considerations

In scenarios where the architecture described in this document is applied across applications, various cheating possibilities arise: e.g., supporting wrong values for the calculated rate, the desired rate, or the priority of a flow. In the worst case, such cheating could either prevent other flows from sending or make them send at a rate that is unreasonably large. The end result would be unfair behavior at the network bottleneck, akin to what could be achieved with any UDP based application. Hence, since this is no worse than UDP in general, there seems to be no significant harm in using this in the absence of UDP rate limiters.

In the case of a single-user system, it should also be in the interest of any application programmer to give the user the best possible experience by using reasonable flow priorities or even letting the user choose them. In a multi-user system, this interest may not be given, and one could imagine the worst case of an "arms race" situation, where applications end up setting their priorities to the maximum value. If all applications do this, the end result is a fair allocation in which the priority mechanism is implicitly eliminated, and no major harm is done.

## 10. References

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## Appendix A. Scheduling

When connections originate from the same host, it would be possible to use only one single sender-side congestion controller which determines the overall allowed sending rate, and then use a local scheduler to assign a proportion of this rate to each RTP session. This way, priorities could also be implemented as a function of the scheduler. The Congestion Manager (CM) [RFC3124] also uses such a scheduling function.

## Appendix B. Example algorithm - Passive FSE

Active algorithms calculate the rates for all the flows in the FG and actively distribute them. In a passive algorithm, UPDATE returns a rate that should be used instead of the rate that the congestion controller has determined. This can make a passive algorithm easier to implement; however, when round-trip times of flows are unequal, shorter-RTT flows will update and react to the overall FSE state more often than longer-RTT flows, which can produce unwanted side effects. This problem is more significant when the congestion control convergence depends on the RTT. While the passive algorithm works better for congestion controls with RTT-independent convergence, it can still produce oscillations on short time scales. The algorithm described below is therefore considered as highly experimental.

This passive version of the FSE stores the following information in addition to the variables described in Section 5.2:

- o The desired rate DR. This can be smaller than the calculated rate if the application feeding into the flow has less data to send than the congestion controller would allow. In case of a bulk transfer, DR must be set to CC\_R received from the flow's congestion module.

The passive version of the FSE contains one static variable per FG called TLO (Total Leftover Rate -- used to let a flow 'take' bandwidth from application-limited or terminated flows) which is initialized to 0. For the passive version, S\_CR is limited to increase or decrease as conservatively as a flow's congestion controller decides in order to prohibit sudden rate jumps.

- (1) When a flow *f* starts, it registers itself with SBD and the FSE. FSE\_R and DR are initialized with the congestion controller's initial rate. SBD will assign the correct FGI. When a flow is assigned an FGI, it adds its FSE\_R to S\_CR.



- (2) When a flow  $f$  stops, it sets its DR to 0 and sets  $P$  to -1.
- (3) Every time the congestion controller of the flow  $f$  determines a new sending rate  $CC\_R$ , assuming the flow's new desired rate  $new\_DR$  to be "infinity" in case of a bulk data transfer with an unknown maximum rate, the flow calls UPDATE, which carries out the tasks listed below to derive the flow's new sending rate, Rate. A flow's UPDATE function uses a few local (i.e. per-flow) temporary variables, which are all initialized to 0: DELTA,  $new\_S\_CR$  and  $S\_P$ .
- (a) For all the flows in its FG (including itself), it calculates the sum of all the calculated rates,  $new\_S\_CR$ . Then it calculates the difference between  $FSE\_R(f)$  and  $CC\_R$ , DELTA.

```
for all flows i in FG do
    new_S_CR = new_S_CR + FSE_R(i)
end for
DELTA = CC_R - FSE_R(f)
```

- (b) It updates  $S\_CR$ ,  $FSE\_R(f)$  and  $DR(f)$ .

```
FSE_R(f) = CC_R
if DELTA > 0 then // the flow's rate has increased
    S_CR = S_CR + DELTA
else if DELTA < 0 then
    S_CR = new_S_CR + DELTA
end if
DR(f) = min(new_DR, FSE_R(f))
```

- (c) It calculates the leftover rate TLO, removes the terminated flows from the FSE and calculates the sum of all the priorities,  $S\_P$ .

```
for all flows i in FG do
    if P(i) < 0 then
        delete flow
    else
        S_P = S_P + P(i)
    end if
end for
if DR(f) < FSE_R(f) then
    TLO = TLO + (P(f)/S_P) * S_CR - DR(f)
end if
```

(d) It calculates the sending rate, Rate.

```
Rate = min(new_DR, (P(f)*S_CR)/S_P + TLO)

if Rate != new_DR and TLO > 0 then
    TLO = 0 // f has 'taken' TLO
end if
```

(e) It updates DR(f) and FSE\_R(f) with Rate.

```
if Rate > DR(f) then
    DR(f) = Rate
end if
FSE_R(f) = Rate
```

The goals of the flow algorithm are to achieve prioritization, improve network utilization in the face of application-limited flows, and impose limits on the increase behavior such that the negative impact of multiple flows trying to increase their rate together is minimized. It does that by assigning a flow a sending rate that may not be what the flow's congestion controller expected. It therefore builds on the assumption that no significant inefficiencies arise from temporary application-limited behavior or from quickly jumping to a rate that is higher than the congestion controller intended. How problematic these issues really are depends on the controllers in use and requires careful per-controller experimentation. The coupled congestion control mechanism described here also does not require all controllers to be equal; effects of heterogeneous controllers, or homogeneous controllers being in different states, are also subject to experimentation.

This algorithm gives all the leftover rate of application-limited flows to the first flow that updates its sending rate, provided that this flow needs it all (otherwise, its own leftover rate can be taken by the next flow that updates its rate). Other policies could be applied, e.g. to divide the leftover rate of a flow equally among all other flows in the FGI.

#### B.1. Example operation (passive)

In order to illustrate the operation of the passive coupled congestion control algorithm, this section presents a toy example of two flows that use it. Let us assume that both flows traverse a common 10 Mbit/s bottleneck and use a simplistic congestion controller that starts out with 1 Mbit/s, increases its rate by 1 Mbit/s in the absence of congestion and decreases it by 2 Mbit/s in

the presence of congestion. For simplicity, flows are assumed to always operate in a round-robin fashion. Rate numbers below without units are assumed to be in Mbit/s. For illustration purposes, the actual sending rate is also shown for every flow in FSE diagrams even though it is not really stored in the FSE.

Flow #1 begins. It is a bulk data transfer and considers itself to have top priority. This is the FSE after the flow algorithm's step 1:

#	FGI	P	FSE_R	DR	Rate
1	1	1	1	1	1

S\_CR = 1, TLO = 0

Its congestion controller gradually increases its rate. Eventually, at some point, the FSE should look like this:

#	FGI	P	FSE_R	DR	Rate
1	1	1	10	10	10

S\_CR = 10, TLO = 0

Now another flow joins. It is also a bulk data transfer, and has a lower priority (0.5):

#	FGI	P	FSE_R	DR	Rate
1	1	1	10	10	10
2	1	0.5	1	1	1

S\_CR = 11, TLO = 0

Now assume that the first flow updates its rate to 8, because the

total sending rate of 11 exceeds the total capacity. Let us take a closer look at what happens in step 3 of the flow algorithm.

```
CC_R = 8. new_DR = infinity.
3 a) new_S_CR = 11; DELTA = 8 - 10 = -2.
3 b) FSE_R(f) = 8. DELTA is negative, hence S_CR = 9;
    DR(f) = 8.
3 c) S_P = 1.5.
3 d) new sending rate = min(infinity, 1/1.5 * 9 + 0) = 6.
3 e) FSE_R(f) = 6.
```

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	6	8	6
2	1	0.5	1	1	1

S\_CR = 9, TLO = 0

The effect is that flow #1 is sending with 6 Mbit/s instead of the 8 Mbit/s that the congestion controller derived. Let us now assume that flow #2 updates its rate. Its congestion controller detects that the network is not fully saturated (the actual total sending rate is 6+1=7) and increases its rate.

```
CC_R=2. new_DR = infinity.
3 a) new_S_CR = 7; DELTA = 2 - 1 = 1.
3 b) FSE_R(f) = 2. DELTA is positive, hence S_CR = 9 + 1 = 10;
    DR(f) = 2.
3 c) S_P = 1.5.
3 d) new sending rate = min(infinity, 0.5/1.5 * 10 + 0) = 3.33.
3 e) DR(f) = FSE_R(f) = 3.33.
```

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	6	8	6
2	1	0.5	3.33	3.33	3.33

S\_CR = 10, TLO = 0

The effect is that flow #2 is now sending with 3.33 Mbit/s, which is close to half of the rate of flow #1 and leads to a total utilization of  $6(\#1) + 3.33(\#2) = 9.33$  Mbit/s. Flow #2's congestion controller has increased its rate faster than the controller actually expected. Now, flow #1 updates its rate. Its congestion controller detects that the network is not fully saturated and increases its rate. Additionally, the application feeding into flow #1 limits the flow's sending rate to at most 2 Mbit/s.

CC\_R=7. new\_DR=2.

3 a) new\_S\_CR = 9.33; DELTA = 1.

3 b) FSE\_R(f) = 7, DELTA is positive, hence S\_CR = 10 + 1 = 11;  
DR = min(2, 7) = 2.

3 c) S\_P = 1.5; DR(f) < FSE\_R(f), hence TLO =  $1/1.5 * 11 - 2 = 5.33$ .

3 d) new sending rate = min(2,  $1/1.5 * 11 + 5.33$ ) = 2.

3 e) FSE\_R(f) = 2.

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	2	2	2
2	1	0.5	3.33	3.33	3.33

S\_CR = 11, TLO = 5.33

Now, the total rate of the two flows is  $2 + 3.33 = 5.33$  Mbit/s, i.e. the network is significantly underutilized due to the limitation of flow #1. Flow #2 updates its rate. Its congestion controller detects that the network is not fully saturated and increases its rate.

CC\_R=4.33. new\_DR = infinity.  
3 a) new\_S\_CR = 5.33; DELTA = 1.  
3 b) FSE\_R(f) = 4.33. DELTA is positive, hence S\_CR = 12;  
DR(f) = 4.33.  
3 c) S\_P = 1.5.  
3 d) new sending rate:  $\min(\text{infinity}, 0.5/1.5 * 12 + 5.33) = 9.33$ .  
3 e) FSE\_R(f) = 9.33, DR(f) = 9.33.

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	2	2	2
2	1	0.5	9.33	9.33	9.33

S\_CR = 12, TLO = 0

Now, the total rate of the two flows is  $2 + 9.33 = 11.33$  Mbit/s.  
Finally, flow #1 terminates. It sets P to -1 and DR to 0. Let us assume that it terminated late enough for flow #2 to still experience the network in a congested state, i.e. flow #2 decreases its rate in the next iteration.

CC\_R = 7.33. new\_DR = infinity.  
3 a) new\_S\_CR = 11.33; DELTA = -2.  
3 b) FSE\_R(f) = 7.33. DELTA is negative, hence S\_CR = 9.33;  
DR(f) = 7.33.  
3 c) Flow 1 has P = -1, hence it is deleted from the FSE.  
S\_P = 0.5.  
3 d) new sending rate:  $\min(\text{infinity}, 0.5/0.5*9.33 + 0) = 9.33$ .  
3 e) FSE\_R(f) = DR(f) = 9.33.

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
2	1	0.5	9.33	9.33	9.33

S\_CR = 9.33, TLO = 0

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RTP Media Congestion Avoidance Techniques (rmcat)  
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Coupled congestion control for RTP media  
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Abstract

When multiple congestion controlled Real-time Transport Protocol (RTP) sessions traverse the same network bottleneck, combining their controls can improve the total on-the-wire behavior in terms of delay, loss and fairness. This document describes such a method for flows that have the same sender, in a way that is as flexible and simple as possible while minimizing the amount of changes needed to existing RTP applications. It specifies how to apply the method for the Network-Assisted Dynamic Adaptation (NADA) congestion control algorithm, and provides suggestions on how to apply it to other congestion control algorithms.

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## 1. Introduction

When there is enough data to send, a congestion controller attempts to increase its sending rate until the path's capacity has been reached. Some controllers detect path capacity by increasing the sending rate further, until packets are ECN-marked [RFC8087] or dropped, and then decreasing the sending rate until that stops happening. This process inevitably creates undesirable queuing delay when multiple congestion-controlled connections traverse the same network bottleneck, and each connection overshoots the path capacity as it determines its sending rate.

The Congestion Manager (CM) [RFC3124] couples flows by providing a single congestion controller. It is hard to implement because it requires an additional congestion controller and removes all per-connection congestion control functionality, which is quite a significant change to existing RTP based applications. This document presents a method to combine the behavior of congestion control mechanisms that is easier to implement than the Congestion Manager [RFC3124] and also requires less significant changes to existing RTP based applications. It attempts to roughly approximate the CM behavior by sharing information between existing congestion controllers. It is able to honor user-specified priorities, which is required by rtcweb [I-D.ietf-rtcweb-overview] [RFC7478].

The described mechanisms are believed safe to use, but are experimental and are presented for wider review and operational evaluation.

## 2. Definitions

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

### Available Bandwidth:

The available bandwidth is the nominal link capacity minus the amount of traffic that traversed the link during a certain time interval, divided by that time interval.

### Bottleneck:

The first link with the smallest available bandwidth along the path between a sender and receiver.

**Flow:**

A flow is the entity that congestion control is operating on. It could, for example, be a transport layer connection, or an RTP stream [RFC7656], whether or not this RTP stream is multiplexed onto an RTP session with other RTP streams.

**Flow Group Identifier (FGI):**

A unique identifier for each subset of flows that is limited by a common bottleneck.

**Flow State Exchange (FSE):**

The entity that maintains information that is exchanged between flows.

**Flow Group (FG):**

A group of flows having the same FGI.

**Shared Bottleneck Detection (SBD):**

The entity that determines which flows traverse the same bottleneck in the network, or the process of doing so.

### 3. Limitations

**Sender-side only:**

Shared bottlenecks can exist when multiple flows originate from the same sender, or when flows from different senders reach the same receiver (see [RFC8382], section 3). Coupled congestion control as described here only supports the former case, not the latter, as it operates inside a single host on the sender side.

**Shared bottlenecks do not change quickly:**

As per the definition above, a bottleneck depends on cross traffic, and since such traffic can heavily fluctuate, bottlenecks can change at a high frequency (e.g., there can be oscillation between two or more links). This means that, when flows are partially routed along different paths, they may quickly change between sharing and not sharing a bottleneck. For simplicity, here it is assumed that a shared bottleneck is valid for a time interval that is significantly longer than the interval at which congestion controllers operate. Note that, for the only SBD mechanism defined in this document (multiplexing on the same five-tuple), the notion of a shared bottleneck stays correct even in the presence of fast traffic fluctuations: since all flows that are assumed to share a bottleneck are routed in the same way, if the bottleneck changes, it will still be shared.

#### 4. Architectural overview

Figure 1 shows the elements of the architecture for coupled congestion control: the Flow State Exchange (FSE), Shared Bottleneck Detection (SBD) and Flows. The FSE is a storage element that can be implemented in two ways: active and passive. In the active version, it initiates communication with flows and SBD. However, in the passive version, it does not actively initiate communication with flows and SBD; its only active role is internal state maintenance (e.g., an implementation could use soft state to remove a flow's data after long periods of inactivity). Every time a flow's congestion control mechanism would normally update its sending rate, the flow instead updates information in the FSE and performs a query on the FSE, leading to a sending rate that can be different from what the congestion controller originally determined. Using information about/from the currently active flows, SBD updates the FSE with the correct Flow Group Identifiers (FGIs).

This document describes both active and passive versions. While the passive algorithm works better for congestion controls with RTT-independent convergence, it can still produce oscillations on short time scales. The passive algorithm, described in Appendix C, is therefore considered as highly experimental and not safe to deploy outside of testbed environments. Figure 2 shows the interaction between flows and the FSE, using the variable names defined in Section 5.2.

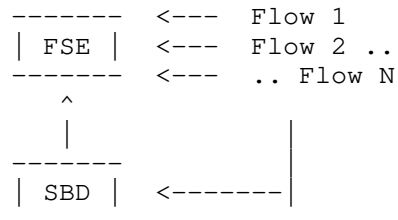


Figure 1: Coupled congestion control architecture

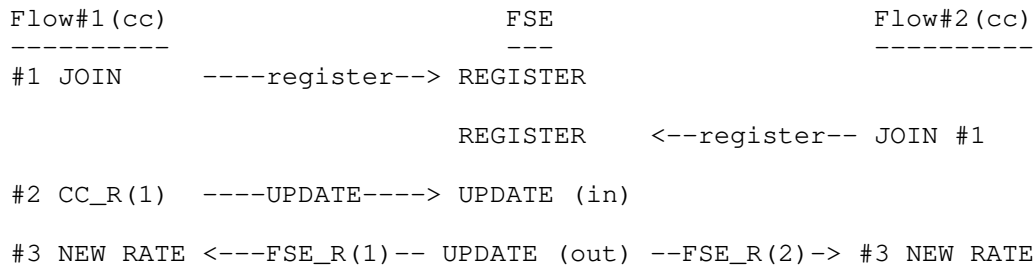


Figure 2: Flow-FSE interaction

Since everything shown in Figure 1 is assumed to operate on a single host (the sender) only, this document only describes aspects that have an influence on the resulting on-the-wire behavior. It does not, for instance, define how many bits must be used to represent FGIs, or in which way the entities communicate.

Implementations can take various forms: for instance, all the elements in the figure could be implemented within a single application, thereby operating on flows generated by that application only. Another alternative could be to implement both the FSE and SBD together in a separate process which different applications communicate with via some form of Inter-Process Communication (IPC). Such an implementation would extend the scope to flows generated by multiple applications. The FSE and SBD could also be included in the Operating System kernel. However, only one type of coupling algorithm should be used for all flows. Combinations of multiple algorithms at different aggregation levels (e.g., the Operating System coupling application aggregates with one algorithm, and applications coupling their flows with another) have not been tested and are therefore not recommended.

## 5. Roles

This section gives an overview of the roles of the elements of coupled congestion control, and provides an example of how coupled congestion control can operate.

### 5.1. SBD

SBD uses knowledge about the flows to determine which flows belong in the same Flow Group (FG), and assigns FGIs accordingly. This knowledge can be derived in three basic ways:

1. From multiplexing: it can be based on the simple assumption that packets sharing the same five-tuple (IP source and destination

address, protocol, and transport layer port number pair) and having the same values for the Differentiated Services Code Point (DSCP) and the ECN field in the IP header are typically treated in the same way along the path. This method is the only one specified in this document: SBD MAY consider all flows that use the same five-tuple, DSCP and ECN field value to belong to the same FG. This classification applies to certain tunnels, or RTP flows that are multiplexed over one transport (cf. [transport-multiplex]). Such multiplexing is also a recommended usage of RTP in rtcweb [rtcweb-rtp-usage].

2. Via configuration: e.g. by assuming that a common wireless uplink is also a shared bottleneck.
3. From measurements: e.g. by considering correlations among measured delay and loss as an indication of a shared bottleneck.

The methods above have some essential trade-offs: e.g., multiplexing is a completely reliable measure, however it is limited in scope to two end points (i.e., it cannot be applied to couple congestion controllers of one sender talking to multiple receivers). A measurement-based SBD mechanism is described in [RFC8382]. Measurements can never be 100% reliable, in particular because they are based on the past but applying coupled congestion control means to make an assumption about the future; it is therefore recommended to implement cautionary measures, e.g. by disabling coupled congestion control if enabling it causes a significant increase in delay and/or packet loss. Measurements also take time, which entails a certain delay for turning on coupling (refer to [RFC8382] for details). Using system configuration to decide about shared bottlenecks can be more efficient (faster to obtain) than using measurements, but it relies on assumptions about the network environment.

## 5.2. FSE

The FSE contains a list of all flows that have registered with it. For each flow, it stores the following:

- o a unique flow number  $f$  to identify the flow.
- o the FGI of the FG that it belongs to (based on the definitions in this document, a flow has only one bottleneck, and can therefore be in only one FG).
- o a priority  $P(f)$ , which is a positive number, greater than zero.
- o The rate used by the flow in bits per second,  $FSE\_R(f)$ .

- o The desired rate  $DR(f)$  of flow  $f$ . This can be smaller than  $FSE\_R(f)$  if the application feeding into the flow has less data to send than  $FSE\_R(f)$  would allow, or if a maximum value is imposed on the rate. In the absence of such limits  $DR(f)$  must be set to the sending rate provided by the congestion control module of flow  $f$ .

Note that the absolute range of priorities does not matter: the algorithm works with a flow's priority portion of the sum of all priority values. For example, if there are two flows, flow 1 with priority 1 and flow 2 with priority 2, the sum of the priorities is 3. Then, flow 1 will be assigned 1/3 of the aggregate sending rate and flow 2 will be assigned 2/3 of the aggregate sending rate. Priorities can be mapped to the "very-low", "low", "medium" or "high" priority levels described in [I-D.ietf-rtcweb-transports] by simply using the values 1, 2, 4 and 8, respectively.

In the FSE, each FG contains one static variable  $S\_CR$  which is the sum of the calculated rates of all flows in the same FG. This value is used to calculate the sending rate.

The information listed here is enough to implement the sample flow algorithm given below. FSE implementations could easily be extended to store, e.g., a flow's current sending rate for statistics gathering or future potential optimizations.

### 5.3. Flows

Flows register themselves with SBD and FSE when they start, deregister from the FSE when they stop, and carry out an UPDATE function call every time their congestion controller calculates a new sending rate. Via UPDATE, they provide the newly calculated rate and optionally (if the algorithm supports it) the desired rate. The desired rate is less than the calculated rate in case of application-limited flows; otherwise, it is the same as the calculated rate.

Below, two example algorithms are described. While other algorithms could be used instead, the same algorithm must be applied to all flows. Names of variables used in the algorithms are explained below.

- o  $CC\_R(f)$  - The rate received from the congestion controller of flow  $f$  when it calls UPDATE.
- o  $FSE\_R(f)$  - The rate calculated by the FSE for flow  $f$ .
- o  $DR(f)$  - The desired rate of flow  $f$ .



- o S\_CR - The sum of the calculated rates of all flows in the same FG; this value is used to calculate the sending rate.
- o FG - A group of flows having the same FGI, and hence sharing the same bottleneck.
- o P(f) - The priority of flow f which is received from the flow's congestion controller; the FSE uses this variable for calculating FSE\_R(f).
- o S\_P - The sum of all the priorities.
- o TLO - The total leftover rate: the sum of rates that could not be assigned to flows that were limited by their desired rate.
- o AR - The aggregate rate that is assigned to flows that are not limited by their desired rate.

#### 5.3.1. Example algorithm 1 - Active FSE

This algorithm was designed to be the simplest possible method to assign rates according to the priorities of flows. Simulations results in [fse] indicate that it does however not significantly reduce queuing delay and packet loss.

- (1) When a flow f starts, it registers itself with SBD and the FSE. FSE\_R(f) is initialized with the congestion controller's initial rate. SBD will assign the correct FGI. When a flow is assigned an FGI, it adds its FSE\_R(f) to S\_CR.
- (2) When a flow f stops or pauses, its entry is removed from the list.
- (3) Every time the congestion controller of the flow f determines a new sending rate CC\_R(f), the flow calls UPDATE, which carries out the tasks listed below to derive the new sending rates for all the flows in the FG. A flow's UPDATE function uses three local (i.e. per-flow) temporary variables: S\_P, TLO and AR.

- (a) It updates S\_CR.

$$S\_CR = S\_CR + CC\_R(f) - FSE\_R(f)$$

- (b) It calculates the sum of all the priorities, S\_P, and initializes FSE\_R.

```

S_P = 0
for all flows i in FG do
    S_P = S_P + P(i)
    FSE_R(i) = 0
end for

```

- (c) It distributes S\_CR among all flows, ensuring that each flow's desired rate is not exceeded.

```

TLO = S_CR
while(TLO-AR>0 and S_P>0)
    AR = 0
    for all flows i in FG do
        if FSE_R[i] < DR[i] then
            if TLO * P[i] / S_P >= DR[i] then
                TLO = TLO - DR[i]
                FSE_R[i] = DR[i]
                S_P = S_P - P[i]
            else
                FSE_R[i] = TLO * P[i] / S_P
                AR = AR + TLO * P[i] / S_P
            end if
        end if
    end for
end while

```

- (d) It distributes FSE\_R to all the flows.

```

for all flows i in FG do
    send FSE_R(i) to the flow i
end for

```

### 5.3.2. Example algorithm 2 - Conservative Active FSE

This algorithm changes algorithm 1 to conservatively emulate the behavior of a single flow by proportionally reducing the aggregate rate on congestion. Simulations results in [fse] indicate that it can significantly reduce queuing delay and packet loss.

Step (a) of the UPDATE function is changed as described below. This also introduces a local variable DELTA, which is used to calculate the difference between CC\_R(f) and the previously stored FSE\_R(f). To prevent flows from either ignoring congestion or overreacting, a timer keeps them from changing their rates immediately after the common rate reduction that follows a congestion event. This timer is set to 2 RTTs of the flow that experienced congestion because it is

assumed that a congestion event can persist for up to one RTT of that flow, with another RTT added to compensate for fluctuations in the measured RTT value.

(a) It updates  $S_{CR}$  based on DELTA.

```
if Timer has expired or was not set then
  DELTA = CC_R(f) - FSE_R(f)
  if DELTA < 0 then // Reduce S_CR proportionally
    S_CR = S_CR * CC_R(f) / FSE_R(f)
    Set Timer for 2 RTTs
  else
    S_CR = S_CR + DELTA
  end if
end if
```

## 6. Application

This section specifies how the FSE can be applied to specific congestion control mechanisms and makes general recommendations that facilitate applying the FSE to future congestion controls.

### 6.1. NADA

Network-Assisted Dynamic Adaption (NADA) [I-D.ietf-rmcat-nada] is a congestion control scheme for rtcweb. It calculates a reference rate  $r_{ref}$  upon receiving an acknowledgment, and then, based on the reference rate, it calculates a video target rate  $r_{vin}$  and a sending rate for the flows,  $r_{send}$ .

When applying the FSE to NADA, the UPDATE function call described in Section 5.3 gives the FSE NADA's reference rate  $r_{ref}$ . The recommended algorithm for NADA is the Active FSE in Section 5.3.1. In step 3 (c), when the  $FSE\_R(i)$  is "sent" to the flow  $i$ , this means updating  $r_{ref}(r_{vin}$  and  $r_{send})$  of flow  $i$  with the value of  $FSE\_R(i)$ .

### 6.2. General recommendations

This section provides general advice for applying the FSE to congestion control mechanisms.

Receiver-side calculations:

When receiver-side calculations make assumptions about the rate of the sender, the calculations need to be synchronized or the receiver needs to be updated accordingly. This applies to TFRC [RFC5348], for example, where simulations showed somewhat less

favorable results when using the FSE without a receiver-side change [fse].

Stateful algorithms:

When a congestion control algorithm is stateful (e.g., TCP, with Slow Start, Congestion Avoidance and Fast Recovery), these states should be carefully considered such that the overall state of the aggregate flow is correct. This may require sharing more information in the UPDATE call.

Rate jumps:

The FSE-based coupling algorithms can let a flow quickly increase its rate to its fair share, e.g. when a new flow joins or after a quiescent period. In case of window-based congestion controls, this may produce a burst which should be mitigated in some way. An example of how this could be done without using a timer is presented in [anrw2016], using TCP as an example.

## 7. Expected feedback from experiments

The algorithm described in this memo has so far been evaluated using simulations covering all the tests for more than one flow from [I-D.ietf-rmcat-eval-test] (see [IETF-93], [IETF-94]). Experiments should confirm these results using at least the NADA congestion control algorithm with real-life code (e.g., browsers communicating over an emulated network covering the conditions in [I-D.ietf-rmcat-eval-test]). The tests with real-life code should be repeated afterwards in real network environments and monitored. Experiments should investigate cases where the media coder's output rate is below the rate that is calculated by the coupling algorithm (FSE\_R(i) in algorithms 1 and 2, section 5.3). Implementers and testers are invited to document their findings in an Internet draft.

## 8. Acknowledgements

This document has benefitted from discussions with and feedback from Andreas Petlund, Anna Brunstrom, Colin Perkins, David Hayes, David Ros (who also gave the FSE its name), Ingemar Johansson, Karen Nielsen, Kristian Hiorth, Mirja Kuehlewind, Martin Stiernerling, Spencer Dawkins, Varun Singh, Xiaoqing Zhu, and Zaheduzzaman Sarker. The authors would like to especially thank Xiaoqing Zhu and Stefan Holmer for helping with NADA and GCC, and Anna Brunstrom as well as Julius Flohr for helping us correct the active algorithm for the case of application-limited flows.

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## 9. IANA Considerations

This memo includes no request to IANA.

## 10. Security Considerations

In scenarios where the architecture described in this document is applied across applications, various cheating possibilities arise: e.g., supporting wrong values for the calculated rate, the desired rate, or the priority of a flow. In the worst case, such cheating could either prevent other flows from sending or make them send at a rate that is unreasonably large. The end result would be unfair behavior at the network bottleneck, akin to what could be achieved with any UDP based application. Hence, since this is no worse than UDP in general, there seems to be no significant harm in using this in the absence of UDP rate limiters.

In the case of a single-user system, it should also be in the interest of any application programmer to give the user the best possible experience by using reasonable flow priorities or even letting the user choose them. In a multi-user system, this interest may not be given, and one could imagine the worst case of an "arms race" situation, where applications end up setting their priorities to the maximum value. If all applications do this, the end result is a fair allocation in which the priority mechanism is implicitly eliminated, and no major harm is done.

Implementers should also be aware of the Security Considerations sections of [RFC3124], [RFC5348], and [RFC7478].

## 11. References

### 11.1. Normative References

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## Appendix A. Application to GCC

Google Congestion Control (GCC) [I-D.ietf-rmcat-gcc] is another congestion control scheme for RTP flows that is under development. GCC is not yet finalised, but at the time of this writing, the rate control of GCC employs two parts: controlling the bandwidth estimate based on delay, and controlling the bandwidth estimate based on loss. Both are designed to estimate the available bandwidth,  $A_{\text{hat}}$ .

When applying the FSE to GCC, the UPDATE function call described in Section 5.3 gives the FSE GCC's estimate of available bandwidth  $A_{\text{hat}}$ . The recommended algorithm for GCC is the Active FSE in Section 5.3.1. In step 3 (c), when the FSE\_R(i) is "sent" to the flow i, this means updating  $A_{\text{hat}}$  of flow i with the value of FSE\_R(i).

## Appendix B. Scheduling

When flows originate from the same host, it would be possible to use only one single sender-side congestion controller which determines the overall allowed sending rate, and then use a local scheduler to assign a proportion of this rate to each RTP session. This way, priorities could also be implemented as a function of the scheduler. The Congestion Manager (CM) [RFC3124] also uses such a scheduling function.

## Appendix C. Example algorithm - Passive FSE

Active algorithms calculate the rates for all the flows in the FG and actively distribute them. In a passive algorithm, UPDATE returns a rate that should be used instead of the rate that the congestion controller has determined. This can make a passive algorithm easier to implement; however, when round-trip times of flows are unequal, shorter-RTT flows may (depending on the congestion control algorithm) update and react to the overall FSE state more often than longer-RTT flows, which can produce unwanted side effects. This problem is more significant when the congestion control convergence depends on the RTT. While the passive algorithm works better for congestion controls with RTT-independent convergence, it can still produce oscillations on short time scales. The algorithm described below is therefore considered as highly experimental and not safe to deploy outside of testbed environments. Results of a simplified passive FSE algorithm with both NADA and GCC can be found in [fse-noms].

In the passive version of the FSE, TLO (the Total Leftover Rate) is a static variable per FG which is initialized to 0. Additionally, S\_CR is limited to increase or decrease as conservatively as a flow's congestion controller decides in order to prohibit sudden rate jumps.



- (1) When a flow  $f$  starts, it registers itself with SBD and the FSE.  $FSE\_R(f)$  and  $DR(f)$  are initialized with the congestion controller's initial rate. SBD will assign the correct FGI. When a flow is assigned an FGI, it adds its  $FSE\_R(f)$  to  $S\_CR$ .
- (2) When a flow  $f$  stops or pauses, it sets its  $DR(f)$  to 0 and sets  $P(f)$  to -1.
- (3) Every time the congestion controller of the flow  $f$  determines a new sending rate  $CC\_R(f)$ , assuming the flow's new desired rate  $new\_DR(f)$  to be "infinity" in case of a bulk data transfer with an unknown maximum rate, the flow calls UPDATE, which carries out the tasks listed below to derive the flow's new sending rate,  $Rate(f)$ . A flow's UPDATE function uses a few local (i.e. per-flow) temporary variables, which are all initialized to 0:  $DELTA$ ,  $new\_S\_CR$  and  $S\_P$ .
  - (a) For all the flows in its FG (including itself), it calculates the sum of all the calculated rates,  $new\_S\_CR$ . Then it calculates  $DELTA$ : the difference between  $FSE\_R(f)$  and  $CC\_R(f)$ .
 

```

          for all flows i in FG do
              new_S_CR = new_S_CR + FSE_R(i)
          end for
          DELTA = CC_R(f) - FSE_R(f)
          
```

- (b) It updates  $S\_CR$ ,  $FSE\_R(f)$  and  $DR(f)$ .
 

```

          FSE_R(f) = CC_R(f)
          if DELTA > 0 then // the flow's rate has increased
              S_CR = S_CR + DELTA
          else if DELTA < 0 then
              S_CR = new_S_CR + DELTA
          end if
          DR(f) = min(new_DR(f), FSE_R(f))
          
```

- (c) It calculates the leftover rate  $TLO$ , removes the terminated flows from the FSE and calculates the sum of all the priorities,  $S\_P$ .

```

for all flows i in FG do
  if P(i)<0 then
    delete flow
  else
    S_P = S_P + P(i)
  end if
end for
if DR(f) < FSE_R(f) then
  TLO = TLO + (P(f)/S_P) * S_CR - DR(f)
end if

```

(d) It calculates the sending rate, Rate(f).

```

Rate(f) = min(new_DR(f), (P(f)*S_CR)/S_P + TLO)

if Rate(f) != new_DR(f) and TLO > 0 then
  TLO = 0 // f has 'taken' TLO
end if

```

(e) It updates DR(f) and FSE\_R(f) with Rate(f).

```

if Rate(f) > DR(f) then
  DR(f) = Rate(f)
end if
FSE_R(f) = Rate(f)

```

The goals of the flow algorithm are to achieve prioritization, improve network utilization in the face of application-limited flows, and impose limits on the increase behavior such that the negative impact of multiple flows trying to increase their rate together is minimized. It does that by assigning a flow a sending rate that may not be what the flow's congestion controller expected. It therefore builds on the assumption that no significant inefficiencies arise from temporary application-limited behavior or from quickly jumping to a rate that is higher than the congestion controller intended. How problematic these issues really are depends on the controllers in use and requires careful per-controller experimentation. The coupled congestion control mechanism described here also does not require all controllers to be equal; effects of heterogeneous controllers, or homogeneous controllers being in different states, are also subject to experimentation.

This algorithm gives all the leftover rate of application-limited flows to the first flow that updates its sending rate, provided that this flow needs it all (otherwise, its own leftover rate can be taken by the next flow that updates its rate). Other policies could be

applied, e.g. to divide the leftover rate of a flow equally among all other flows in the FGI.

#### C.1. Example operation (passive)

In order to illustrate the operation of the passive coupled congestion control algorithm, this section presents a toy example of two flows that use it. Let us assume that both flows traverse a common 10 Mbit/s bottleneck and use a simplistic congestion controller that starts out with 1 Mbit/s, increases its rate by 1 Mbit/s in the absence of congestion and decreases it by 2 Mbit/s in the presence of congestion. For simplicity, flows are assumed to always operate in a round-robin fashion. Rate numbers below without units are assumed to be in Mbit/s. For illustration purposes, the actual sending rate is also shown for every flow in FSE diagrams even though it is not really stored in the FSE.

Flow #1 begins. It is a bulk data transfer and considers itself to have top priority. This is the FSE after the flow algorithm's step 1:

#	FGI	P	FSE_R	DR	Rate
1	1	1	1	1	1

S\_CR = 1, TLO = 0

Its congestion controller gradually increases its rate. Eventually, at some point, the FSE should look like this:

#	FGI	P	FSE_R	DR	Rate
1	1	1	10	10	10

S\_CR = 10, TLO = 0

Now another flow joins. It is also a bulk data transfer, and has a lower priority (0.5):

#	FGI	P	FSE_R	DR	Rate
1	1	1	10	10	10
2	1	0.5	1	1	1

S\_CR = 11, TLO = 0

Now assume that the first flow updates its rate to 8, because the total sending rate of 11 exceeds the total capacity. Let us take a closer look at what happens in step 3 of the flow algorithm.

```
CC_R(1) = 8. new_DR(1) = infinity.
3 a) new_S_CR = 11; DELTA = 8 - 10 = -2.
3 b) FSE_R(1) = 8. DELTA is negative, hence S_CR = 9;
    DR(1) = 8.
3 c) S_P = 1.5.
3 d) new sending rate Rate(1) = min(infinity, 1/1.5 * 9 + 0) = 6.
3 e) FSE_R(1) = 6.
```

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	6	8	6
2	1	0.5	1	1	1

S\_CR = 9, TLO = 0

The effect is that flow #1 is sending with 6 Mbit/s instead of the 8 Mbit/s that the congestion controller derived. Let us now assume that flow #2 updates its rate. Its congestion controller detects that the network is not fully saturated (the actual total sending rate is 6+1=7) and increases its rate.

$CC\_R(2) = 2$ .  $new\_DR(2) = \text{infinity}$ .  
 3 a)  $new\_S\_CR = 7$ ;  $DELTA = 2 - 1 = 1$ .  
 3 b)  $FSE\_R(2) = 2$ .  $DELTA$  is positive, hence  $S\_CR = 9 + 1 = 10$ ;  
 $DR(2) = 2$ .  
 3 c)  $S\_P = 1.5$ .  
 3 d)  $Rate(2) = \min(\text{infinity}, 0.5/1.5 * 10 + 0) = 3.33$ .  
 3 e)  $DR(2) = FSE\_R(2) = 3.33$ .

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	6	8	6
2	1	0.5	3.33	3.33	3.33

$S\_CR = 10$ ,  $TLO = 0$

The effect is that flow #2 is now sending with 3.33 Mbit/s, which is close to half of the rate of flow #1 and leads to a total utilization of  $6(\#1) + 3.33(\#2) = 9.33$  Mbit/s. Flow #2's congestion controller has increased its rate faster than the controller actually expected. Now, flow #1 updates its rate. Its congestion controller detects that the network is not fully saturated and increases its rate. Additionally, the application feeding into flow #1 limits the flow's sending rate to at most 2 Mbit/s.

$CC\_R(1) = 7$ .  $new\_DR(1) = 2$ .  
 3 a)  $new\_S\_CR = 9.33$ ;  $DELTA = 1$ .  
 3 b)  $FSE\_R(1) = 7$ ,  $DELTA$  is positive, hence  $S\_CR = 10 + 1 = 11$ ;  
 $DR(1) = \min(2, 7) = 2$ .  
 3 c)  $S\_P = 1.5$ ;  $DR(1) < FSE\_R(1)$ , hence  $TLO = 1/1.5 * 11 - 2 = 5.33$ .  
 3 d)  $Rate(1) = \min(2, 1/1.5 * 11 + 5.33) = 2$ .  
 3 e)  $FSE\_R(1) = 2$ .

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	2	2	2
2	1	0.5	3.33	3.33	3.33

$S\_CR = 11$ ,  $TLO = 5.33$

Now, the total rate of the two flows is  $2 + 3.33 = 5.33$  Mbit/s, i.e. the network is significantly underutilized due to the limitation of flow #1. Flow #2 updates its rate. Its congestion controller detects that the network is not fully saturated and increases its rate.

$CC\_R(2) = 4.33$ .  $new\_DR(2) = \text{infinity}$ .

3 a)  $new\_S\_CR = 5.33$ ;  $\Delta = 1$ .

3 b)  $FSE\_R(2) = 4.33$ .  $\Delta$  is positive, hence  $S\_CR = 12$ ;  
 $DR(2) = 4.33$ .

3 c)  $S\_P = 1.5$ .

3 d)  $Rate(2) = \min(\text{infinity}, 0.5/1.5 * 12 + 5.33) = 9.33$ .

3 e)  $FSE\_R(2) = 9.33$ ,  $DR(2) = 9.33$ .

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
1	1	1	2	2	2
2	1	0.5	9.33	9.33	9.33

$S\_CR = 12$ ,  $TLO = 0$

Now, the total rate of the two flows is  $2 + 9.33 = 11.33$  Mbit/s. Finally, flow #1 terminates. It sets  $P(1)$  to -1 and  $DR(1)$  to 0. Let us assume that it terminated late enough for flow #2 to still experience the network in a congested state, i.e. flow #2 decreases its rate in the next iteration.

$CC\_R(2) = 7.33$ .  $new\_DR(2) = \text{infinity}$ .  
 3 a)  $new\_S\_CR = 11.33$ ;  $\Delta = -2$ .  
 3 b)  $FSE\_R(2) = 7.33$ .  $\Delta$  is negative, hence  $S\_CR = 9.33$ ;  
 $DR(2) = 7.33$ .  
 3 c) Flow 1 has  $P(1) = -1$ , hence it is deleted from the FSE.  
 $S\_P = 0.5$ .  
 3 d)  $Rate(2) = \min(\text{infinity}, 0.5/0.5 \cdot 9.33 + 0) = 9.33$ .  
 3 e)  $FSE\_R(2) = DR(2) = 9.33$ .

The resulting FSE looks as follows:

#	FGI	P	FSE_R	DR	Rate
2	1	0.5	9.33	9.33	9.33

$S\_CR = 9.33$ ,  $TLO = 0$

#### Appendix D. Change log

##### D.1. draft-welzl-rmcat-coupled-cc

###### D.1.1. Changes from -00 to -01

- o Added change log.
- o Updated the example algorithm and its operation.

###### D.1.2. Changes from -01 to -02

- o Included an active version of the algorithm which is simpler.
- o Replaced "greedy flow" with "bulk data transfer" and "non-greedy" with "application-limited".
- o Updated  $new\_CR$  to  $CC\_R$ , and  $CR$  to  $FSE\_R$  for better understanding.

###### D.1.3. Changes from -02 to -03

- o Included an active conservative version of the algorithm which reduces queue growth and packet loss; added a reference to a technical report that shows these benefits with simulations.
- o Moved the passive variant of the algorithm to appendix.

## D.1.4. Changes from -03 to -04

- o Extended SBD section.
- o Added a note about window-based controllers.

## D.1.5. Changes from -04 to -05

- o Added a section about applying the FSE to specific congestion control algorithms, with a subsection specifying its use with NADA.

## D.2. draft-ietf-rmcat-coupled-cc

## D.2.1. Changes from draft-welzl-rmcat-coupled-cc-05

- o Moved scheduling section to the appendix.

## D.2.2. Changes from -00 to -01

- o Included how to apply the algorithm to GCC.
- o Updated variable names of NADA to be in line with the latest version.
- o Added a reference to [I-D.ietf-rtcweb-transports] to make a connection to the prioritization text there.

## D.2.3. Changes from -01 to -02

- o Minor changes.
- o Moved references of NADA and GCC from informative to normative.
- o Added a reference for the passive variant of the algorithm.

## D.2.4. Changes from -02 to -03

- o Minor changes.
- o Added a section about expected feedback from experiments.

## D.2.5. Changes from -03 to -04

- o Described the names of variables used in the algorithms.
- o Added a diagram to illustrate the interaction between flows and the FSE.



- o Added text on the trade-off of using the configuration based approach.
- o Minor changes to enhance the readability.

D.2.6. Changes from -04 to -05

- o Changed several occurrences of "NADA and GCC" to "NADA", including the abstract.
- o Moved the application to GCC to an appendix, and made the GCC reference informative.
- o Provided a few more general recommendations on applying the coupling algorithm.

D.2.7. Changes from -05 to -06

- o Incorporated comments by Colin Perkins.

D.2.8. Changes from -06 to -07

- o Addressed OPSDIR, SECDIR, GENART, AD and IESG comments.

D.2.9. Changes from -07 to -08

- o Updated the algorithms in section 5 to support application-limited flows. Moved definition of Desired Rate from appendix to section 5. Updated references.

D.2.10. Changes from -08 to -09

- o Minor improvement of the algorithms in section 5.

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Test Cases for Evaluating RMCAT Proposals  
draft-ietf-rmcat-eval-test-02

Abstract

The Real-time Transport Protocol (RTP) is used to transmit media in multimedia telephony applications, these applications are typically required to implement congestion control. The RMCAT working group is currently working on candidate algorithms for such interactive real-time multimedia applications. This document describes the test cases to be used in the performance evaluation of those candidate algorithms.

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## 1. Introduction

This memo describes a set of test cases for evaluating candidate RMCAT congestion control algorithm proposals, it is based on the guidelines enumerated in [I-D.ietf-rmcat-eval-criteria] and the requirements discussed in [I-D.ietf-rmcat-cc-requirements]. The test cases cover basic usage scenarios and are described using a common structure, which allows for additional test cases to be added to those described herein to accommodate other topologies and/or the modeling of different path characteristics. It is the intention of this work to capture the consensus of the RMCAT working group

participants regarding the test cases upon which the performance of the candidate RMCAT proposals should be evaluated.

## 2. Terminology

The terminology defined in RTP [RFC3550], RTP Profile for Audio and Video Conferences with Minimal Control [RFC3551], RTCP Extended Report (XR) [RFC3611], Extended RTP Profile for RTCP-based Feedback (RTP/AVPF) [RFC4585], and Support for Reduced-Size RTCP [RFC5506] apply.

## 3. Structure of Test cases

All test cases in this document follow a basic structure allowing implementers to describe a new test scenario without repeatedly explaining common attributes. The structure includes a general description section that describes the test case and its motivation. Additionally the test case defines a set of attributes that characterize the testbed, i.e., the network path between communicating peers and the diverse traffic sources.

### o Define the test case:

- \* General description: describes the motivation and the goals of the test case.
- \* Expected behavior: describe the desired rate adaptation behaviour.
- \* Define a check-list to evaluate the desired behaviour: this indicates the minimum set of metrics (e.g., link utilization, media sending rate) that a proposed algorithm needs to measure to validate the expected rate adaptation behaviour. It should also indicate the time granularity (e.g., averaged over 10ms, 100ms, or 1s) for measuring certain metrics. Typical measurement interval is 200ms.

- o Define testbed topology: every test case needs to define an evaluation testbed topology. Figure 1 shows such an evaluation topology. In this evaluation topology, S1..Sn are traffic sources. These sources generate media traffic and use either an RMCAT candidate congestion control algorithm or other congestion control algorithm designed for media, such as TFRC. R1..Rn are the corresponding receivers. A test case can have one or more such traffic sources (S) and corresponding receivers (R). The path from the source to destination is denoted as forward and the path from a destination to a source is denoted as backward. The following basic structure of test case has been described from the

perspective of media generating endpoints attached on the left-hand side of Figure 1. In this setup, media flows in forward direction and corresponding feedback/control messages flow in the backward direction. However, it is also possible to set up the test with media flowing in both forward and backward directions. In that case, unless otherwise specified by the test case, it is expected that the backward path does not introduce any congestion related impairments and has enough capacity to accommodate both media and feedback/control messages. It should be noted that depending on the test cases it is possible to have different path characteristics in of the either directions.

o

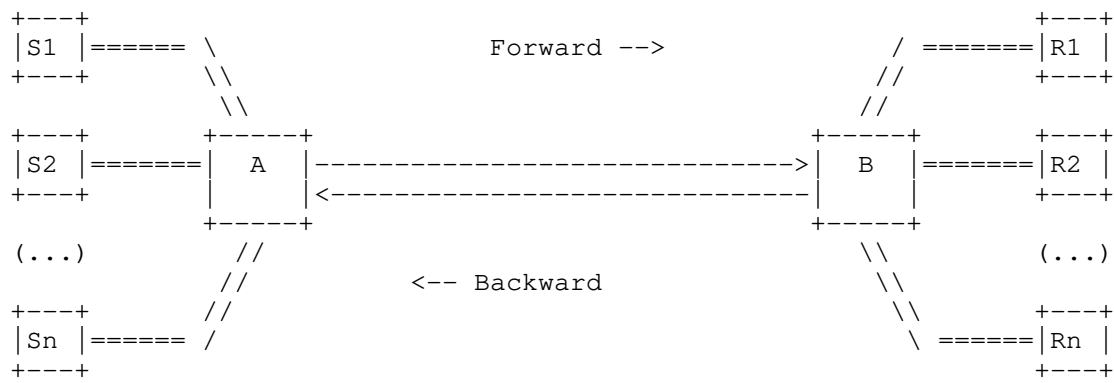


Figure 1: Example of A Testbed Topology

In a laboratory testbed environment there may exist a significant amount of traffic on portions of the network path between the endpoints that is not desired for the purposes of these RMCAT tests. Some of this traffic may be generated by other processes on the endpoints themselves (e.g., discovery protocols) or by other endpoints not presently under test. It is recommended not to route traffic generated by endpoints that are not under test through the test bed. Additionally, it is recommended to route non-RMCAT traffic generated by the endpoints under test around the bottleneck links specified herein.

o Define testbed attributes:

- \* Duration: defines the duration of the test.
- \* Path characteristics: defines the end-to-end transport level path characteristics of the testbed in a particular test case. Two sets of attributes describe the path characteristics, one

for the forward path and the other for the backward path. The path characteristics for a particular path direction is applicable to all the Sources "S" sending traffic on that path. If only one attribute is specified, it is used for both path directions, however, unless specified the reverse path has no capacity restrictions and no path loss.

- + Path direction: forward or backward.
  - + Bottleneck-link capacity: defines minimum capacity of the end-to-end path
  - + Reference bottleneck capacity: defines a reference value for the bottleneck capacity for test cases with time-varying bottleneck capacities. All bottleneck capacities will be specified as a ratio with respect to the reference capacity value.
  - + One-way propagation delay: describes the end-to-end latency along the path when network queues are empty, i.e., the time it takes for a packet to go from the sender to the receiver without encountering any queuing delay.
  - + Maximum end-to-end jitter: defines the maximum jitter that can be observed along the path.
  - + Bottleneck queue type: for example, Droptail, FQ-CoDel, or PIE.
  - + Bottleneck queue size: defines size of queue in terms of queuing time when the queue is full (in milliseconds).
  - + Path loss ratio: characterizes the non-congested, additive, losses to be generated on the end-to-end path. MUST describe the loss pattern or loss model used to generate the losses.
  - + Values for some characteristics are described in [I-D.ietf-rmcat-eval-criteria].
- \* Application-related: defines the traffic source behaviour for implementing the test case
- + Media traffic Source: defines the characteristics of the media sources. When using more than one media source, the different attributes are enumerated separately for each different media source.

- Media type: Video/Voice
- Media flow direction: forward, backward or both.
- Number of media sources: defines the total number of media sources
- Media codec: Constant Bit Rate (CBR) or Variable Bit Rate (VBR)
- Media source behaviour: describes the media encoder behavior. It defines the main parameters that affect the adaptation behaviour. This may include but not limited to:
  - o Adaptability: describes the adaptation options. For example, in the case of video it defines the following ranges of adaptation: bit rate, frame rate, video resolution. Similarly, in the case of voice, it defines the range of bit rate adaptation, the sampling rate variation, and the variation in packetization interval.
  - o Output variation : for a VBR encoder it defines the encoder output variation from the average target rate over a particular measurement interval. For example, on average the encoder output may vary between 5% to 15% above or below the average target bit rate when measured over a 100 ms time window. The time interval over which the variation is specified must be provided.
  - o Responsiveness to a new bit rate request: the lag in time between a new bit rate request and actual rate changes in encoder output. Depending on the encoder, this value may be specified in absolute time (e.g. 10ms to 1000ms) or other appropriate metric (next frame interval time).
- Media content: describes the chosen media sequences; For example, test sequences are available at: [xiph-seq] and [HEVC-seq].
- Media timeline: describes the point when the media source is introduced and removed from the testbed. For example, the media source may start transmitting immediately when the test case begins, or after a few seconds.



- Startup behaviour: the media starts at a defined bit rate, which may be the minimum, maximum bit rate, or a value in between (in Kbps).
- + Competing traffic source: describes the characteristics of the competing traffic source, the different types of competing flows are enumerated in [I-D.ietf-rmcat-eval-criteria].
  - Traffic direction: forward, backward or both.
  - Type of sources: defines the types of competing traffic sources. Types of competing traffic flows are listed in [I-D.ietf-rmcat-eval-criteria]. For example, the number of TCP flows connected to a web browser, the mean size and distribution of the content downloaded.
  - Number of sources: defines the total number of competing sources of each media type.
  - Congestion control: enumerates the congestion control used by each type of competing traffic.
  - Traffic timeline: describes when the competing traffic starts and ends in the test case.
- \* Additional attributes: describes attributes essential for implementing a test case which are not included in the above structure. These attributes MUST be well defined, so that other implementers are able to implement it.

Any attribute can have a set of values (enclosed within "[ ]"). Each member value of such a set MUST be treated as different value for the same attribute. It is desired to run separate tests for each such attribute value.

The test cases described in this document follow the above structure.

#### 4. Recommended Evaluation Settings

This section describes recommended test case settings and could be overwritten by the respective test cases.

##### 4.1. Evaluation metrics

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the following metrics at a fine enough time granularity:

## 1. Flow level:

- A. End-to-end delay for the RMCAT flow.
- B. Variation in sending bit rate and goodput. Mainly observing the frequency and magnitude of oscillations.
- C. Packet losses observed at the receiving endpoint
- D. Feedback message overhead
- E. Convergence time.

## 2. Transport level:

- A. Bandwidth utilization
- B. Queue length (milliseconds at specified path capacity):
  - + average over the length of the session
  - + 5 and 95 percentile
  - + median, maximum, minimum

## 4.2. Path characteristics

Each path between a sender and receiver as described in Figure 1 have the following characteristics unless otherwise specified in the test case.

- o Path direction: forward and backward.
- o Reference bottleneck capacity: 1Mbps.
- o One-Way propagation delay: 50ms. Implementers are encouraged to run the experiment with additional propagation delays mentioned in [I-D.ietf-rmcat-eval-criteria]
- o Maximum end-to-end jitter: 30ms. Jitter models are described in [I-D.ietf-rmcat-eval-criteria]
- o Bottleneck queue type: Drop tail. Implementers are encouraged to run the experiment with other AQM schemes, such as FQ-CoDel and PIE.
- o Bottleneck queue size: 300ms.

- o Path loss ratio: 0%.

Examples of additional network parameters are discussed in [I-D.ietf-rmcat-eval-criteria].

For test cases involving time-varying bottleneck capacity, all capacity values are specified as a ratio with respect to a reference capacity value, so as to allow flexible scaling of capacity values along with media source rate range. There exist two different mechanisms for inducing path capacity variation: a) by explicitly modifying the value of physical link capacity; or b) by introducing background non-adaptive UDP traffic with time-varying traffic rate. Implementers are encouraged run the experiments with both mechanisms for test cases specified in Section 5.1, Section 5.2, and Section 5.3.

#### 4.3. Media source

Unless otherwise specified, each test case will include one or more media sources as described below.

- o Media type: Video

- \* Media codec: VBR

- \* Media source behaviour:

- + Adaptability:

- Bit rate range: 150 Kbps - 1.5 Mbps. In real-life applications the bitrate range can vary a lot depending on the provided service, for example, the maximum bitrate can be up to 4Mbps. However, for running tests to evaluate the congestion control algorithms it is more important to have a look at how they are reacting to certain amount of bandwidth change. Also it is possible that the media traffic generator used in a particular simulator or testbed is not capable of generating higher bitrate. Hence we have selected a suitable bitrate range typical of consumer-grade video conferencing applications in designing the test case. If a different bitrate range is used in the test cases, the end-to-end path capacity values will also need to be scaled accordingly.
      - Frame resolution: 144p - 720p (or 1080p)
      - Frame rate: 10fps - 30fps

- + Variation from target bitrate: +/-5%. Unless otherwise specified in the test case, bitrate variation SHOULD be calculated over one (1) second period of time.
- + Responsiveness to new bit rate request: 100ms
- \* Media content: The media content should represent a typical video conversational scenario with head and shoulder movement. We recommend to use Foreman video sequence.
- \* Media startup behaviour: 150Kbps. It should be noted that applications can use smart ways to select an optimal startup bitrate values for a certain network condition. In such cases the candidate proposals MAY show the effectiveness of such smart approach as an additional information for the evaluation process.
- o Media type: Audio
  - \* Media codec: CBR
  - \* Media bitrate: 20Kbps

## 5. Basic Test Cases

### 5.1. Variable Available Capacity with Single RMCAT flow

In this test case the bottleneck-link capacity between the two endpoints varies over time. This test is designed to measure the responsiveness of the candidate algorithm. This test tries to address the requirements in [I-D.ietf-rmcat-cc-requirements], which requires the algorithm to adapt the flow(s) and provide lower end-to-end latency when there exists:

- o an intermediate bottleneck
- o change in available capacity (e.g., due to interface change, routing change, abrupt arrival/departure of background non-adaptive traffic).
- o maximum Media Bit Rate is Greater than Link Capacity. In this case, the application will attempt to ramp up to its maximum bit rate, since the link capacity is limited to a value lower, the congestion control scheme is expected to stabilize the sending bit rate close to the available bottleneck capacity. This situation can occur when the endpoints are connected via thin long networks even though the advertised capacity of the access network may be higher.

It should be noted that the exact variation in available capacity due to any of the above depends on the under-lying technologies. Hence, we describe a set of known factors, which may be extended to devise a more specific test case targeting certain behaviour in a certain network environment.

**Expected behavior:** the candidate algorithm is expected to detect the path capacity constraint, converges to bottleneck link's capacity and adapt the flow to avoid unwanted oscillation when the sending bit rate is approaching the bottleneck link's capacity. The oscillations occur when the media flow(s) attempts to reach its maximum bit rate, overshoots the usage of the available bottleneck capacity, to rectify it reduces the bit rate and starts to ramp up again.

**Testbed topology:** One media source S1 is connected to corresponding R1. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

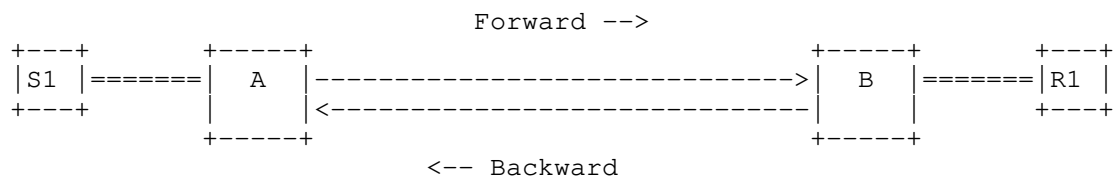


Figure 2: Testbed Topology for Limited Link Capacity

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the metrics described in Section 4.1 at a fine enough time granularity.

**Testbed attributes:**

- o Test duration: 100s
- o Path characteristics: as described in Section 4.2
- o Application-related:
  - \* Media Traffic:
    - + Media type: Video
    - Media direction: forward.
    - Number of media sources: One (1)

- Media timeline:
  - o Start time: 0s.
  - o End time: 99s.
- + Media type: Audio
  - Media direction: forward.
  - Number of media sources: One (1)
  - Media timeline:
    - o Start time: 0s.
    - o End time: 99s.
- \* Competing traffic:
  - + Number of sources : Zero (0)
- o Test Specific Information:
  - \* This test uses the following one way propagation delays of 50 ms and 100 ms.
  - \* This test uses bottleneck path capacity variation as listed in Table 1
  - \* When using background non-adaptive UDP traffic to induce time-varying bottleneck for the RMCAT flow, the physical path capacity is 4Mbps and the UDP traffic source rate changes over time as  $(4-x)$ Mbps, where  $x$  is the bottleneck capacity specified in Table 1

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	1.0
Two	Forward	40s	2.5
Three	Forward	60s	0.6
Four	Forward	80s	1.0

Table 1: Path capacity variation pattern for forward direction

## 5.2. Variable Available Capacity with Multiple RMCAT flows

This test case is similar to Section 5.1. However in addition this test will also consider persistent network load due to competing traffic.

**Expected behavior:** the candidate algorithms is expected to detect the variation in available capacity and adapt the media stream(s) accordingly. The flows stabilize around their maximum bitrate as the as the maximum link capacity is large enough to accommodate the flows. When the available capacity drops, the flow(s) adapts by decreasing its sending bit rate, and when congestion disappears, the flow(s) are again expected to ramp up.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the metrics described in Section 4.1 at a fine enough time granularity:

**Testbed Topology:** Two (2) media sources S1 and S2 are connected to their corresponding destinations R1 and R2. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

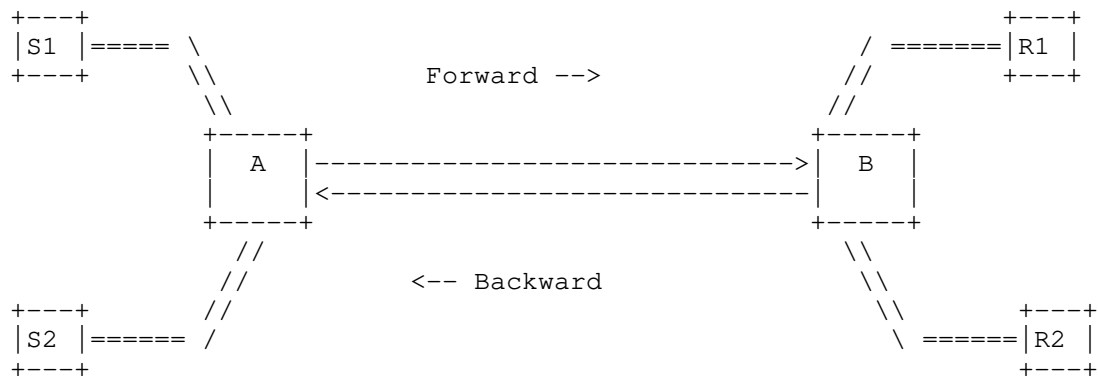


Figure 3: Testbed Topology for Variable Available Capacity

**Testbed attributes:**

Testbed attributes are similar as described in Section 5.1 except the test specific capacity variation setup.

**Test Specific Information:** This test uses path capacity variation as listed in Table 2 with a corresponding end time of 125 seconds. The reference bottleneck capacity is 2Mbps. When using background non-adaptive UDP traffic to induce time-varying bottleneck for RMCAT

flows, the physical path capacity is 4Mbps and the UDP traffic source rate changes over time as  $(4-x)$ Mbps, where  $x$  is the bottleneck capacity specified in Table 2.

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	2.0
Two	Forward	25s	1.0
Three	Forward	50s	1.75
Four	Forward	75s	0.5
Five	Forward	100s	1.0

Table 2: Path capacity variation pattern for forward direction

### 5.3. Congested Feedback Link with Bi-directional RMCAT flows

RMCAT WG has been chartered to define algorithms for RTP hence it is assumed that RTCP, RTP header extension or such would be used by the congestion control algorithm in the backchannel. Due to asymmetric nature of the link between communicating peers it is possible for a participating peer to not receive such feedback information due to an impaired or congested backchannel (even when the forward channel might not be impaired). This test case is designed to observe the candidate congestion control behaviour in such an event.

It is expected that the candidate algorithms is able to cope with the lack of feedback information and adapt to minimize the performance degradation of media flows in the forward channel.

It should be noted that for this test case: logs are compared with the reference case, i.e, when the backward channel has no impairments

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the metrics described in Section 4.1 at a fine-grained time intervals:

Testbed topology: One (1) media source S1 is connected to corresponding R1, but both endpoints are additionally receiving and sending data, respectively. The media traffic (S1->R1) is transported over the forward path and corresponding feedback/control traffic is transported over the backward path. Likewise media traffic (S2->R2) is transported over the backward path and corresponding feedback/control traffic is transported over the forward path.



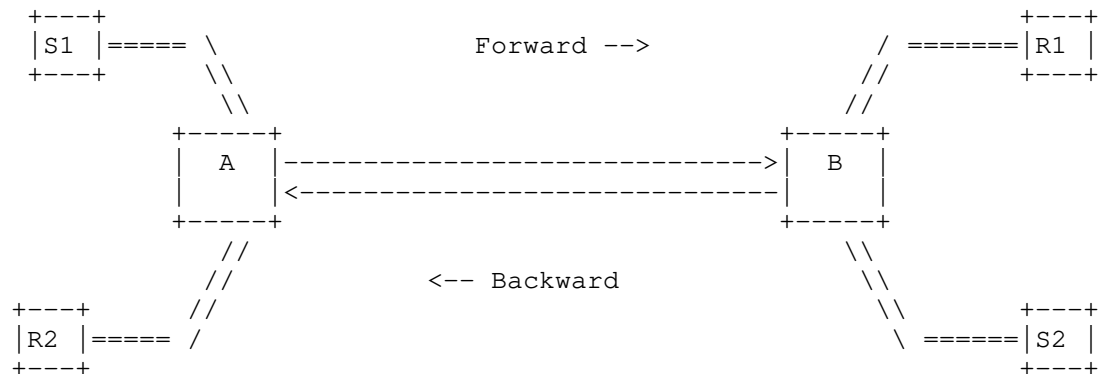


Figure 4: Testbed Topology for Congested Feedback Link

## Testbed attributes:

- o Test duration: 100s
- o Path characteristics:
  - \* Reference bottleneck capacity: 1Mbps.
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward and backward
      - Number of media sources: Two (2)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 99s.
    - + Media type: Audio
      - Media direction: forward and backward
      - Number of media sources: Two (2)
      - Media timeline:

- o Start time: 0s.
- o End time: 99s.
- \* Competing traffic:
  - + Number of sources : Zero (0)
- o Test Specific Information: This test uses path capacity variations to create congested feedback link. Table 3 lists the variation patterns applied to the forward path and Table 4 lists the variation patterns applied to the backward path. When using background non-adaptive UDP traffic to induce time-varying bottleneck for RMCAT flows, the physical path capacity is 4Mbps for both directions and the UDP traffic source rate changes over time as  $(4-x)$ Mbps in each direction, where  $x$  is the bottleneck capacity specified in Table 4.

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	2.0
Two	Forward	20s	1.0
Three	Forward	40s	0.5
Four	Forward	60s	2.0

Table 3: Path capacity variation pattern for forward direction

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Backward	0s	2.0
Two	Backward	35s	0.8
Three	Backward	70s	2.0

Table 4: Path capacity variation pattern for backward direction

#### 5.4. Competing Flows with Same RMCAT Algorithm

In this test case, more than one RMCAT media flow shares the bottleneck link and each of them uses the same congestion control algorithm. This is a typical scenario where a real-time interactive application sends more than one media flows to the same destination and these flows are multiplexed over the same port. In such a

scenario it is likely that the flows will be routed via the same path and need to share the available bandwidth amongst themselves. For the sake of simplicity it is assumed that there are no other non-RMCAT competing traffic sources in the bottleneck link and that there is sufficient capacity to accommodate all the flows individually. While this appears to be a variant of the test case defined in Section 5.2, it focuses on the capacity sharing aspect of the candidate algorithm. The previous test case, on the other hand, measures adaptability, stability, and responsiveness of the candidate algorithm.

**Expected behavior:** It is expected that the competing flows will converge to an optimum bit rate to accommodate all the flows with minimum possible latency and loss. Specifically, the test introduces three media flows at different time instances, when the second flow appears there should still be room to accommodate another flow on the bottleneck link. Lastly, when the third flow appears the bottleneck link should be saturated.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the metrics described in Section 4.1 at a fine enough time granularity:

**Testbed topology:** Three media sources S1, S2, S3 are connected to respective R1, R2, R3. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

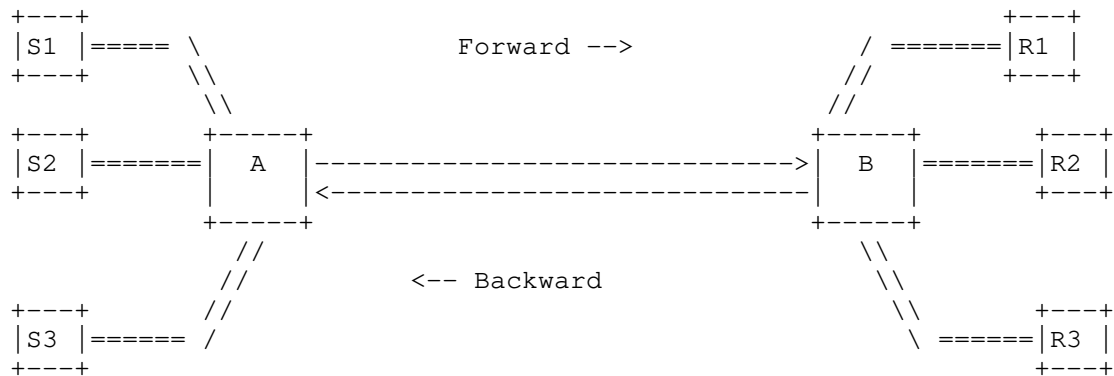


Figure 5: Testbed Topology for Multiple RMCAT Flows

Testbed attributes:

- o Test duration: 120s

- o Path characteristics:
  - \* Reference bottleneck capacity: 3.5Mbps
  - \* Path capacity ratio: 1.0
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward.
      - Number of media sources: Three (3)
      - Media timeline: New media flows are added sequentially, at short time intervals. See test specific setup below.
    - + Media type: Audio
      - Media direction: forward.
      - Number of media sources: Three (3)
      - Media timeline: New media flows are added sequentially, at short time intervals. See test specific setup below.
  - \* Competing traffic:
    - + Number of sources : Zero (0)
- o Test Specific Information: Table 5 defines the media timeline for both media type.

Flow IF	Media type	Start time	End time
1	Video	0s	119s
2	Video	20s	119s
3	Video	40s	119s
4	Audio	0s	119s
5	Audio	20s	119s
6	Audio	40s	119s

Table 5: Media Timeline for Video and Audio media sources

### 5.5. Round Trip Time Fairness

In this test case, multiple RMCAT media flows share the bottleneck link, but the end-to-end path latency for each RMCAT flow is different. For the sake of simplicity it is assumed that there are no other non-RMCAT competing traffic sources in the bottleneck link and that there is sufficient capacity to accommodate all the flows. While this appears to be a variant of test case 5.2, it focuses on the capacity sharing aspect of the candidate algorithm under different RTTs.

It is expected that the competing flows will converge to bit rates to accommodate all the flows with minimum possible latency and loss. Specifically, the test introduces five media flows at the same time instance.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the metrics described in Section 4.1 at a fine enough time granularity:

Testbed Topology: Five (5) media sources S1,S2,...,S5 are connected to their corresponding media sinks R1,R2,...,R5. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path. The topology is the same as in Section 5.4. The end-to-end path delays are: 10ms for S1-R1, 25ms for S2-R2, 50ms for S3-R3, 100ms for S4-R4, and 150ms S5-R5, respectively.

Testbed attributes:

- o Test duration: 300s
- o Path characteristics:
  - \* One-Way propagation delay for each flow: 10ms, 25ms, 50ms, 100ms, 150ms.
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward
      - Number of media sources: Five (5)

- Media timeline: New media flows are added sequentially, at short time intervals. See test specific setup below.
- + Media type: Audio
  - Media direction: forward.
  - Number of media sources: Five (5)
  - Media timeline: New media flows are added sequentially, at short time intervals. See test specific setup below.
- \* Competing traffic:
  - + Number of sources : Zero (0)
- o Test Specific Information: Table 6 defines the media timeline for both media type.

Flow IF	Media type	Start time	End time
1	Video	0s	299s
2	Video	10s	299s
3	Video	20s	299s
4	Video	30s	299s
5	Video	40s	299s
6	Audio	0	299s
7	Audio	10s	299s
8	Audio	20s	299s
9	Audio	30s	299s
10	Audio	40s	299s

Table 6: Media Timeline for Video and Audio media sources

#### 5.6. RMCAT Flow competing with a long TCP Flow

In this test case, one or more RMCAT media flows share the bottleneck link with at least one long lived TCP flows. Long lived TCP flows download data throughout the session and are expected to have infinite amount of data to send and receive. This is a scenario where a multimedia application co-exists with a large file download. The test case measures the adaptivity of the candidate algorithm to competing traffic. It addresses the requirement 3 in [I-D.ietf-rmcat-cc-requirements].

Expected behavior: depending on the convergence observed in test case 5.1 and 5.2, the candidate algorithm may be able to avoid congestion collapse. In the worst case, the media stream will fall to the minimum media bit rate.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the following metrics in addition to the metrics described in Section 4.1 at a fine enough time granularity:

# 1. Flow level:

## A. TCP throughput.

Testbed topology: One (1) media source S1 is connected to corresponding media sink, R1. In addition, there is a long-live TCP flow sharing the same bottleneck link. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path. The TCP traffic goes over the forward path from, S\_tcp with acknowledgement packets flowing along the backward path from, R\_tcp.

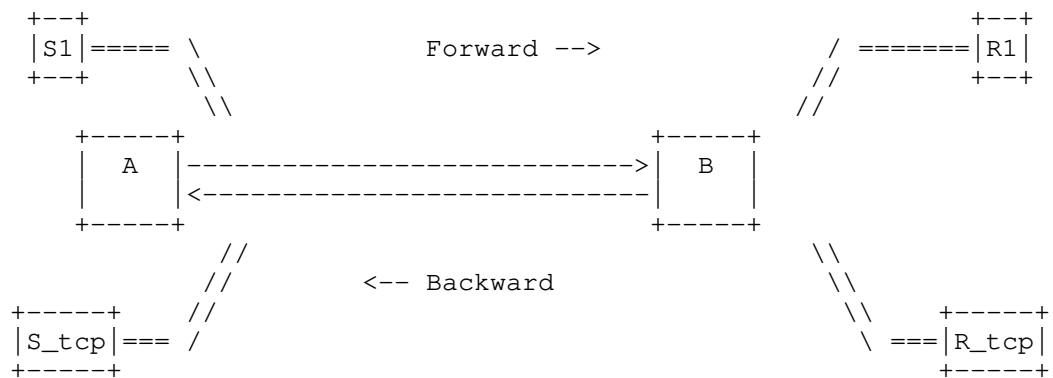


Figure 6: Testbed Topology for TCP vs RMCAT Flows

Testbed attributes:

- o Test duration: 120s
- o Path characteristics:
  - \* Reference bottleneck capacity: 2Mbps
  - \* Path capacity ratio: 1.0

- \* Bottleneck queue size: [300ms, 1000ms]
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward
      - Number of media sources: One (1)
      - Media timeline:
        - o Start time: 5s.
        - o End time: 119s.
    - + Media type: Audio
      - Media direction: forward
      - Number of media sources: One (1)
      - Media timeline:
        - o Start time: 5s.
        - o End time: 119s.
  - \* Additionally, implementers are encouraged to run the experiment with multiple media sources.
  - \* Competing traffic:
    - + Number and Types of sources : one (1), long-lived TCP
    - + Traffic direction : forward
    - + Congestion control: Default TCP congestion control.
    - + Traffic timeline:
      - Start time: 0s.
      - End time: 119s.
- o Test Specific Information: None



### 5.7. RMCAT Flow competing with short TCP Flows

In this test case, one or more RMCAT media flow shares the bottleneck link with multiple short-lived TCP flows. Short-lived TCP flows resemble the on/off pattern observed in the web traffic, wherein clients (browsers) connect to a server and download a resource (typically a web page, few images, text files, etc.) using several TCP connections (up to 4). This scenario shows the performance of the multimedia application when several browser windows are active. The test case measures the adaptivity of the candidate algorithm to competing web traffic, it addresses the requirements 1.E in [I-D.ietf-rmcat-cc-requirements].

Depending on the number of short TCP flows, the cross-traffic either appears as a short burst flow or resembles a long TCP flow. The intention of this test is to observe the impact of short-term burst on the behaviour of the candidate algorithm.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the following metrics in addition to the metrics described in Section 4.1 at a fine enough time granularity:

1. Flow level:

- A. Variation in the sending rate of the TCP flow.
- B. TCP throughput.

Testbed topology: The topology described here is same as the one described in Figure 6.

Testbed attributes:

- o Test duration: 300s
- o Path characteristics:
  - \* Reference bottleneck capacity: 2.0Mbps
  - \* Path capacity ratio: 1.0
- o Application-related:
  - \* Media Source:
    - + Media type: Video

- Media direction: forward
- Number of media sources: two (2)
- Media timeline:
  - o Start time: 5s.
  - o End time: 299s.
- + Media type: Audio
  - Media direction: forward
  - Number of media sources: two (2)
  - Media timeline:
    - o Start time: 5s.
    - o End time: 299s.
- \* Competing traffic:
  - + Number and Types of sources : Ten (10), short-lived TCP flows.
  - + Traffic direction : forward
  - + Congestion algorithm: Default TCP Congestion control.
  - + Traffic timeline: Each short TCP flow is modeled as a sequence of file downloads interleaved with idle periods. See test specific setup. Not all short TCPs start at the same time, 2 start in the ON state while 8 start in an OFF state. The model for the idle times for the OFF state is discussed in the Short-TCP model.
- o Test Specific Information:
  - \* Short-TCP traffic model:
    - + File sizes: uniform distribution between 100KB to 1MB
    - + Idle period: the duration of the OFF state is derived from an exponential distribution with the mean value of 10 seconds.

### 5.8. Media Pause and Resume

In this test case, more than one real-time interactive media flows share the link bandwidth and all flows reach to a steady state by utilizing the link capacity in an optimum way. At these stage one of the media flow is paused for a moment. This event will result in more available bandwidth for the rest of the flows and as they are on a shared link. When the paused media flow will resume it would no longer have the same bandwidth share on the link. It has to make it's way through the other existing flows in the link to achieve a fair share of the link capacity. This test case is important specially for real-time interactive media which consists of more than one media flows and can pause/resume media flow at any point of time during the session. This test case directly addresses the requirement number 5 in [I-D.ietf-rmcat-cc-requirements]. One can think it as a variation of test case defined in Section 5.4. However, it is different as the candidate algorithms can use different strategies to increase its efficiency, for example the fairness, convergence time, reduce oscillation etc, by capitalizing the fact that they have previous information of the link.

To evaluate the performance of the candidate algorithms it is expected to log enough information to visualize the following metrics in addition to the metrics described in Section 4.1 at a fine enough time granularity:

#### 1. Flow level:

- A. Variation in sending bit rate and goodput. Mainly observing the frequency and magnitude of oscillations.

Testbed Topology: Same as test case defined in Section 5.4

Testbed attributes: The general description of the testbed parameters are same as Section 5.4 with changes in the test specific setup as below-

#### o Other test specific setup:

- \* Media flow timeline:
  - + Flow ID: One (1)
  - + Start time: 0s
  - + Flow duration: 119s
  - + Pause time: not required

- + Resume time: not required
- \* Media flow timeline:
  - + Flow ID: Two (2)
  - + Start time: 0s
  - + Flow duration: 119s
  - + Pause time: at 40s
  - + Resume time: at 60s
- \* Media flow timeline:
  - + Flow ID: Three (3)
  - + Start time: 0s
  - + Flow duration: 119s
  - + Pause time: not required
  - + Resume time: not required

## 6. Other potential test cases

It has been noticed that there are other interesting test cases besides the basis test cases listed above. In many aspects, these additional test cases can help to further evaluate the candidate algorithm. They are listed as below.

### 6.1. Explicit Congestion Notification Usage

This test case requires to run all the basic test cases with the availability of Explicit Congestion Notification (ECN) [RFC6679] feature enabled. The goal of this test is to exhibit that the candidate algorithms does not fail when ECN signals are available. With ECN signals enabled the algorithms are expected to perform better than their delay based variants.

### 6.2. Multiple Bottlenecks

In this test case one RMCAT flow, S1->R2 traverse a path with multiple bottlenecks. As illustrated in Figure 7, the first flow (S1->R1) competes with the second RMCAT flow (S2->R2) over the link between A and B which is close to the sender side; again, that flow



- \* Path capacity ratio between B and C: 4.0.
- \* Path capacity ratio between C and D: 0.75.
- \* One-Way propagation delay:
  - 1. Between S1 and R1: 100ms
  - 2. Between S2 and R2: 40ms
  - 3. Between S3 and R3: 40ms
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: Forward
      - Number of media sources: Three (3)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 119s.
    - + Media type: Audio
      - Media direction: Forward
      - Number of media sources: Three (3)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 119s.
  - \* Competing traffic:
    - + Number of sources : Zero (0)

## 7. Wireless Access Links

Additional wireless network (both cellular network and WiFi network) specific test cases are define in [I-D.ietf-rmcat-wireless-tests]

## 8. Security Considerations

Security issues have not been discussed in this memo.

## 9. IANA Considerations

There are no IANA impacts in this memo.

## 10. Acknowledgements

Much of this document is derived from previous work on congestion control at the IETF.

The content and concepts within this document are a product of the discussion carried out in the Design Team.

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Test Cases for Evaluating RMCAT Proposals  
draft-ietf-rmcat-eval-test-10

Abstract

The Real-time Transport Protocol (RTP) is used to transmit media in multimedia telephony applications. These applications are typically required to implement congestion control. This document describes the test cases to be used in the performance evaluation of such congestion control algorithms in a controlled environment.

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## 1. Introduction

This memo describes a set of test cases for evaluating congestion control algorithm proposals in controlled environments for real-time interactive media. It is based on the guidelines enumerated in [I-D.ietf-rmcat-eval-criteria] and the requirements discussed in [I-D.ietf-rmcat-cc-requirements]. The test cases cover basic usage scenarios and are described using a common structure, which allows for additional test cases to be added to those described herein to accommodate other topologies and/or the modelling of different path characteristics. The described test cases in this memo should be

used to evaluate any proposed congestion control algorithm for real-time interactive media.

## 2. Terminology

The terminology defined in RTP [RFC3550], RTP Profile for Audio and Video Conferences with Minimal Control [RFC3551], RTCP Extended Report (XR) [RFC3611], Extended RTP Profile for RTCP-based Feedback (RTP/AVPF) [RFC4585], and Support for Reduced-Size RTCP [RFC5506] apply.

## 3. Structure of Test cases

All the test cases in this document follow a basic structure allowing implementers to describe a new test scenario without repeatedly explaining common attributes. The structure includes a general description section that describes the test case and its motivation. Additionally the test case defines a set of attributes that characterize the testbed, for example, the network path between communicating peers and the diverse traffic sources.

### o Define the test case:

- \* General description: describes the motivation and the goals of the test case.
- \* Expected behavior: describes the desired rate adaptation behavior.
- \* Define a list of metrics to evaluate the desired behavior: this indicates the minimum set of metrics (e.g., link utilization, media sending rate) that a proposed algorithm needs to measure to validate the expected rate adaptation behavior. It should also indicate the time granularity (e.g., averaged over 10ms, 100ms, or 1s) for measuring certain metrics. Typical measurement interval is 200ms.

- o Define testbed topology: every test case needs to define an evaluation testbed topology. Figure 1 shows such an evaluation topology. In this evaluation topology, S1..Sn are traffic sources. These sources generate media traffic and use the congestion control algorithm(s) under investigation. R1..Rn are the corresponding receivers. A test case can have one or more such traffic sources (S) and their corresponding receivers (R). The path from the source to destination is denoted as "forward" and the path from a destination to a source is denoted as "backward". The following basic structure of the test case has been described from the perspective of media generating endpoints

attached on the left-hand side of Figure 1. In this setup, the media flows are transported in forward direction and corresponding feedback/control messages are transported in the backward direction. However, it is also possible to set up the test with media in both forward and backward directions. In that case, unless otherwise specified by the test case, it is expected that the backward path does not introduce any congestion related impairments and has enough capacity to accommodate both media and feedback/control messages. It should be noted that depending on the test cases it is possible to have different path characteristics in either of the directions.

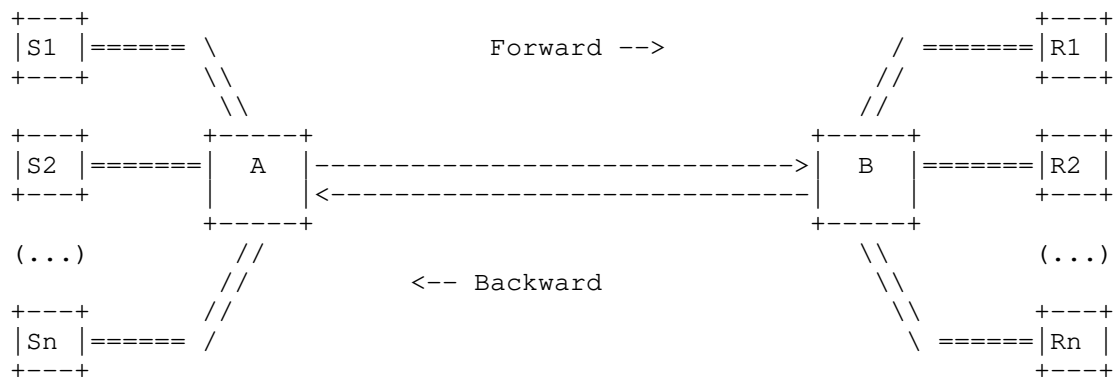


Figure 1: Example of A Testbed Topology

In a testbed environment with real equipments, there may exist a significant amount of unwanted traffic on the portions of the network path between the endpoints. Some of this traffic may be generated by other processes on the endpoints themselves (e.g., discovery protocols) or by other endpoints not presently under test. Such unwanted traffic should be removed or avoided to the greatest extent possible.

o Define testbed attributes:

- \* Duration: defines the duration of the test in seconds.
- \* Path characteristics: defines the end-to-end transport level path characteristics of the testbed for a particular test case. Two sets of attributes describe the path characteristics, one for the forward path and the other for the backward path. The path characteristics for a particular path direction is applicable to all the Sources "S" sending traffic on that path. If only one attribute is specified, it is used for both path

directions, however, unless specified the reverse path has no capacity restrictions and no path loss.

- + Path direction: forward or backward.
- + Minimum bottleneck-link capacity: defines minimum capacity of the end-to-end path
- + Reference bottleneck capacity: defines a reference value for the bottleneck capacity for test cases with time-varying bottleneck capacities. All bottleneck capacities will be specified as a ratio with respect to the reference capacity value.
- + One-way propagation delay: describes the end-to-end latency along the path when network queues are empty, i.e., the time it takes for a packet to go from the sender to the receiver without encountering any queuing delay.
- + Maximum end-to-end jitter: defines the maximum jitter that can be observed along the path.
- + Bottleneck queue type: for example, "tail drop" [RFC7567], Flow Queue -CoDel (FQ-CoDel) [RFC8290], or Proportional Integral controller Enhanced (PIE) [RFC8033].
- + Bottleneck queue size: defines the size of queue in terms of queuing time when the queue is full (in milliseconds).
- + Path loss ratio: characterizes the non-congested, additive, losses to be generated on the end-to-end path. This must describe the loss pattern or loss model used to generate the losses.
- \* Application-related: defines the traffic source behavior for implementing the test case
  - + Media traffic Source: defines the characteristics of the media sources. When using more than one media source, the different attributes are enumerated separately for each different media source.
    - Media type: Video/Voice
    - Media flow direction: forward, backward or both.
    - Number of media sources: defines the total number of media sources

- Media codec: Constant Bit Rate (CBR) or Variable Bit Rate (VBR)
- Media source behavior: describes the media encoder behavior. It defines the main parameters that affect the adaptation behavior. This may include but is not limited to:
  - o Adaptability: describes the adaptation options. For example, in the case of video it defines the following ranges of adaptation: bit rate, frame rate, video resolution. Similarly, in the case of voice, it defines the range of bit rate adaptation, the sampling rate variation, and the variation in packetization interval.
  - o Output variation : for a VBR encoder it defines the encoder output variation from the average target rate over a particular measurement interval. For example, on average the encoder output may vary between 5% to 15% above or below the average target bit rate when measured over a 100 ms time window. The time interval over which the variation is specified must be provided.
  - o Responsiveness to a new bit rate request: the lag in time between a new bit rate request from the congestion control algorithm and actual rate changes in encoder output. Depending on the encoder, this value may be specified in absolute time (e.g. 10ms to 1000ms) or other appropriate metric (e.g. next frame interval time).

More detailed discussions on expected media source behavior, including those from synthetic video traffic sources, is at [I-D.ietf-rmcat-video-traffic-model].

- Media content: describes the chosen video scenario. For example, video test sequences are available at: [xiph-seq] and [HEVC-seq]. Different video scenarios give different distribution of video frames produced by the video encoder. Hence, it is important to specify the media content used in a particular test. If a synthetic video traffic source [I-D.ietf-rmcat-video-traffic-model] is used, then the synthetic video traffic source needs to be configured according to the characteristics of the media content specified.

- Media timeline: describes the point when the media source is introduced and removed from the testbed. For example, the media source may start transmitting immediately when the test case begins, or after a few seconds.
- Startup behavior: the media starts at a defined bit rate, which may be the minimum, maximum bit rate, or a value in between (in Kbps).
- + Competing traffic source: describes the characteristics of the competing traffic source, the different types of competing flows are enumerated in [I-D.ietf-rmcat-eval-criteria].
  - Traffic direction: forward, backward or both.
  - Type of sources: defines the types of competing traffic sources. Types of competing traffic flows are listed in [I-D.ietf-rmcat-eval-criteria]. For example, the number of TCP flows connected to a web browser, the mean size and distribution of the content downloaded.
  - Number of sources: defines the total number of competing sources of each media type per traffic direction.
  - Congestion control: enumerates the congestion control used by each type of competing traffic.
  - Traffic timeline: describes when the competing traffic starts and ends in the test case.
- \* Additional attributes: describes attributes essential for implementing a test case which are not included in the above structure. These attributes must be well defined, so that the other implementers of that particular test case are able to implement it easily.

Any attribute can have a set of values (enclosed within "[ ]"). Each member value of such a set must be treated as different value for the same attribute. It is desired to run separate tests for each such attribute value.

The test cases described in this document follow the above structure.



#### 4. Recommended Evaluation Settings

This section describes recommended test case settings and could be overwritten by the respective test cases.

##### 4.1. Evaluation metrics

To evaluate the performance of the candidate algorithms the implementers must log enough information to visualize the following metrics at a fine enough time granularity:

###### 1. Flow level:

- A. End-to-end delay for the congestion controlled media flow(s). For example - end-to-end delay observed on IP packet level, video frame level.
- B. Variation in sending bit rate and throughput. Mainly observing the frequency and magnitude of oscillations.
- C. Packet losses observed at the receiving endpoint.
- D. Feedback message overhead.
- E. Convergence time - time to reach steady state for the congestion controlled media flow(s). Each occurrence of convergence during the test period need to be presented.

###### 2. Transport level:

- A. Bandwidth utilization.
- B. Queue length (milliseconds at specified path capacity).

##### 4.2. Path characteristics

Each path between a sender and receiver as described in Figure 1 have the following characteristics unless otherwise specified in the test case.

- o Path direction: forward and backward.
- o Reference bottleneck capacity: 1Mbps.
- o One-Way propagation delay: 50ms. Implementers are encouraged to run the experiment with additional propagation delays mentioned in [I-D.ietf-rmcat-eval-criteria]

- o Maximum end-to-end jitter: 30ms. Jitter models are described in [I-D.ietf-rmcat-eval-criteria]
- o Bottleneck queue type: "tail drop". Implementers are encouraged to run the experiment with other AQM schemes, such as FQ-CoDel and PIE.
- o Bottleneck queue size: 300ms.
- o Path loss ratio: 0%.

Examples of additional network parameters are discussed in [I-D.ietf-rmcat-eval-criteria].

For test cases involving time-varying bottleneck capacity, all capacity values are specified as a ratio with respect to a reference capacity value, so as to allow flexible scaling of capacity values along with media source rate range. There exist two different mechanisms for inducing path capacity variation: a) by explicitly modifying the value of physical link capacity; or b) by introducing background non-adaptive UDP traffic with time-varying traffic rate. Implementers are encouraged to run the experiments with both mechanisms for test cases specified in Section 5.1, Section 5.2, and Section 5.3.

#### 4.3. Media source

Unless otherwise specified, each test case will include one or more media sources as described below.

- o Media type: Video
  - \* Media codec: VBR
  - \* Media source behavior:
    - + Adaptability:
      - Bit rate range: 150 Kbps - 1.5 Mbps. In real-life applications the bit rate range can vary a lot depending on the provided service, for example, the maximum bit rate can be up to 4Mbps. However, for running tests to evaluate the congestion control algorithms it is more important to have a look at how they are reacting to certain amount of bandwidth change. Also it is possible that the media traffic generator used in a particular simulator or testbed is not capable of generating higher bit rate. Hence we have selected a suitable bit rate

range typical of consumer-grade video conferencing applications in designing the test case. If a different bit rate range is used in the test cases, then the end-to-end path capacity values will also need to be scaled accordingly.

- Frame resolution: 144p - 720p (or 1080p). This resolution range is selected based on the bit rate range. If a different bit rate range is used in the test cases then the frame resolution range also need to be selected suitably.
- Frame rate: 10fps - 30fps. This frame rate range is selected based on the bit rate range. If a different bit rate range is used in the test cases then the frame rate range also need to be adjusted suitably.
- + Variation from target bit rate: +/-5%. Unless otherwise specified in the test case(s), bit rate variation should be calculated over one (1) second period of time.
- + Responsiveness to new bit rate request: 100ms
- \* Media content: The media content should represent a typical video conversational scenario with head and shoulder movement. We recommend to use Foreman video sequence[xiph-seq].
- \* Media startup behavior: 150Kbps. It should be noted that applications can use smart ways to select an optimal startup bit rate value for a certain network condition. In such cases the candidate proposals may show the effectiveness of such smart approach as an additional information for the evaluation process.
- o Media type: Audio
  - \* Media codec: CBR
  - \* Media bit rate: 20Kbps

## 5. Basic Test Cases

### 5.1. Variable Available Capacity with a Single Flow

In this test case the minimum bottleneck-link capacity between the two endpoints varies over time. This test is designed to measure the responsiveness of the candidate algorithm. This test tries to address the requirements in [I-D.ietf-rmcat-cc-requirements], which

requires the algorithm to adapt the flow(s) and provide lower end-to-end latency when there exists:

- o an intermediate bottleneck
- o change in available capacity (e.g., due to interface change, routing change, abrupt arrival/departure of background non-adaptive traffic).
- o maximum media bit rate is greater than link capacity. In this case, when the application tries to ramp up to its maximum bit rate, since the link capacity is limited to a value lower, the congestion control scheme is expected to stabilize the sending bit rate close to the available bottleneck capacity.

It should be noted that the exact variation in available capacity due to any of the above depends on the underlying technologies. Hence, we describe a set of known factors, which may be extended to devise a more specific test case targeting certain behaviors in a certain network environment.

Expected behavior: the candidate algorithm is expected to detect the path capacity constraint, converge to the bottleneck link's capacity and adapt the flow to avoid unwanted media rate oscillation when the sending bit rate is approaching the bottleneck link's capacity. Such oscillations might occur when the media flow(s) attempts to reach its maximum bit rate but overshoots the usage of the available bottleneck capacity then to rectify, it reduces the bit rate and starts to ramp up again.

Evaluation metrics : as described in Section 4.1.

Testbed topology: One media source S1 is connected to the corresponding R1. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

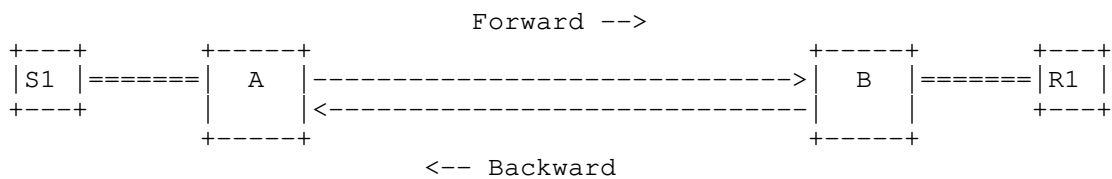


Figure 2: Testbed Topology for Limited Link Capacity

Testbed attributes:

- o Test duration: 100s
- o Path characteristics: as described in Section 4.2
- o Application-related:
  - \* Media Traffic:
    - + Media type: Video
      - Media direction: forward.
      - Number of media sources: one (1)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 99s.
    - + Media type: Audio
      - Media direction: forward.
      - Number of media sources: one (1)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 99s.
  - \* Competing traffic:
    - + Number of sources : zero (0)
- o Test Specific Information:
  - \* One-way propagation delay: [ 50 ms, 100 ms]. on the forward path direction
  - \* This test uses bottleneck path capacity variation as listed in Table 1
  - \* When using background non-adaptive UDP traffic to induce time-varying bottleneck , the physical path capacity remains at 4Mbps and the UDP traffic source rate changes over time as (4 -

$(Y \times r)$ ), where  $r$  is the Reference bottleneck capacity in Mbps and  $Y$  is the path capacity ratio specified in Table 1

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	1.0
Two	Forward	40s	2.5
Three	Forward	60s	0.6
Four	Forward	80s	1.0

Table 1: Path capacity variation pattern for forward direction

## 5.2. Variable Available Capacity with Multiple Flows

This test case is similar to Section 5.1. However in addition this test will also consider persistent network load due to competing traffic.

Expected behavior: the candidate algorithm is expected to detect the variation in available capacity and adapt the media stream(s) accordingly. The flows stabilize around their maximum bit rate as the maximum link capacity is large enough to accommodate the flows. When the available capacity drops, the flows adapt by decreasing their sending bit rate, and when congestion disappears, the flows are again expected to ramp up.

Evaluation metrics : as described in Section 4.1.

Testbed Topology: Two (2) media sources S1 and S2 are connected to their corresponding destinations R1 and R2. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

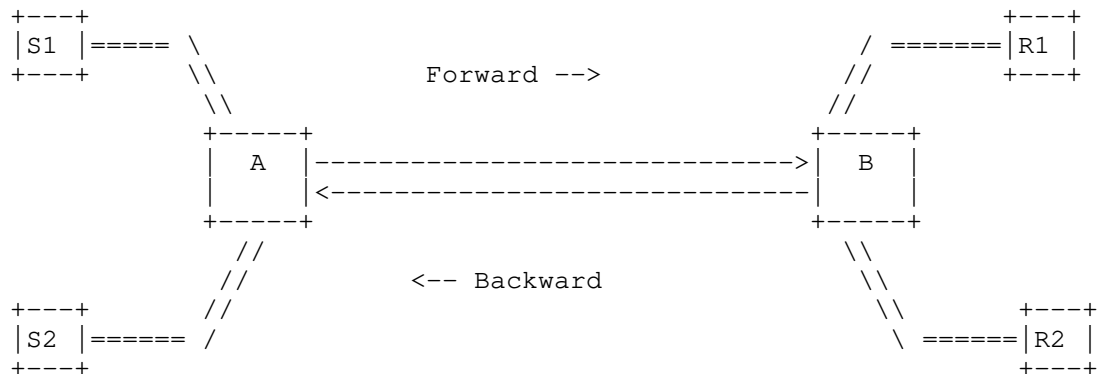


Figure 3: Testbed Topology for Variable Available Capacity

Testbed attributes:

Testbed attributes are similar as described in Section 5.1 except the test specific capacity variation setup.

**Test Specific Information:** This test uses path capacity variation as listed in Table 2 with a corresponding end time of 125 seconds. The reference bottleneck capacity is 2Mbps. When using background non-adaptive UDP traffic to induce time-varying bottleneck for congestion controlled media flows, the physical path capacity is 4Mbps and the UDP traffic source rate changes over time as  $(4 - (Y \times r))$ , where  $r$  is the Reference bottleneck capacity in Mbps and  $Y$  is the path capacity ratio specified in Table 2.

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	2.0
Two	Forward	25s	1.0
Three	Forward	50s	1.75
Four	Forward	75s	0.5
Five	Forward	100s	1.0

Table 2: Path capacity variation pattern for forward direction

### 5.3. Congested Feedback Link with Bi-directional Media Flows

Real-time interactive media uses RTP hence it is assumed that RTCP, RTP header extension or such would be used by the congestion control algorithm in the backchannel. Due to the asymmetric nature of the

link between communicating peers it is possible for a participating peer to not receive such feedback information due to an impaired or congested backchannel (even when the forward channel might not be impaired). This test case is designed to observe the candidate congestion control behavior in such an event.

**Expected behavior:** It is expected that the candidate algorithms are able to cope with the lack of feedback information and adapt to minimize the performance degradation of media flows in the forward channel.

It should be noted that for this test case: logs are compared with the reference case, i.e, when the backward channel has no impairments.

Evaluation metrics : as described in Section 4.1.

**Testbed topology:** One (1) media source S1 is connected to corresponding R1, but both endpoints are additionally receiving and sending data, respectively. The media traffic (S1->R1) is transported over the forward path and corresponding feedback/control traffic is transported over the backward path. Likewise media traffic (S2->R2) is transported over the backward path and corresponding feedback/control traffic is transported over the forward path.

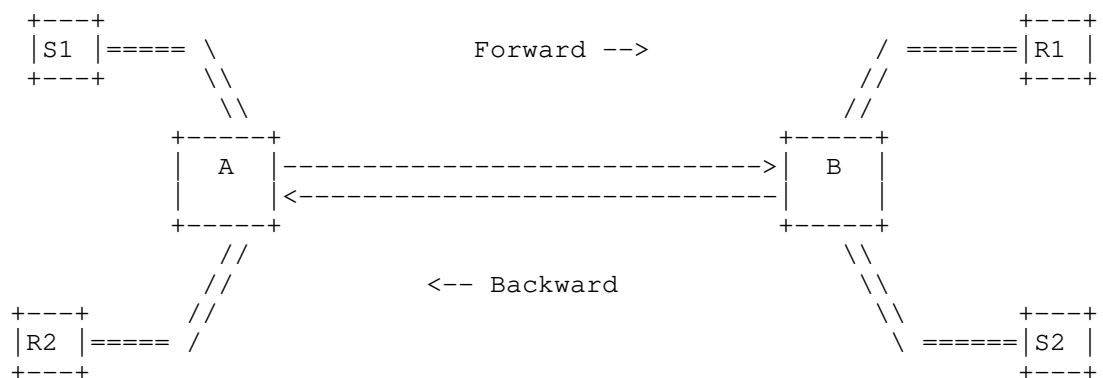


Figure 4: Testbed Topology for Congested Feedback Link

Testbed attributes:

- o Test duration: 100s
- o Path characteristics:



- \* Reference bottleneck capacity: 1Mbps.
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward and backward
      - Number of media sources: two (2)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 99s.
    - + Media type: Audio
      - Media direction: forward and backward
      - Number of media sources: two (2)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 99s.
  - \* Competing traffic:
    - + Number of sources : zero (0)
- o Test Specific Information: this test uses path capacity variations to create congested feedback link. Table 3 lists the variation patterns applied to the forward path and Table 4 lists the variation patterns applied to the backward path. When using background non-adaptive UDP traffic to induce time-varying bottleneck for congestion controlled media flows, the physical path capacity is 4Mbps for both directions and the UDP traffic source rate changes over time as  $(4-x)$ Mbps in each direction, where  $x$  is the bottleneck capacity specified in Table 4.

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Forward	0s	2.0
Two	Forward	20s	1.0
Three	Forward	40s	0.5
Four	Forward	60s	2.0

Table 3: Path capacity variation pattern for forward direction

Variation pattern index	Path direction	Start time	Path capacity ratio
One	Backward	0s	2.0
Two	Backward	35s	0.8
Three	Backward	70s	2.0

Table 4: Path capacity variation pattern for backward direction

#### 5.4. Competing Media Flows with same Congestion Control Algorithm

In this test case, more than one media flow share the bottleneck link and each of them uses the same congestion control algorithm. This is a typical scenario where a real-time interactive application sends more than one media flow to the same destination and these flows are multiplexed over the same port. In such a scenario it is likely that the flows will be routed via the same path and need to share the available bandwidth amongst themselves. For the sake of simplicity it is assumed that there are no other competing traffic sources in the bottleneck link and that there is sufficient capacity to accommodate all the flows individually. While this appears to be a variant of the test case defined in Section 5.2, it focuses on the capacity sharing aspect of the candidate algorithm. The previous test case, on the other hand, measures adaptability, stability, and responsiveness of the candidate algorithm.

**Expected behavior:** It is expected that the competing flows will converge to an optimum bit rate to accommodate all the flows with minimum possible latency and loss. Specifically, the test introduces three media flows at different time instances, when the second flow appears there should still be room to accommodate another flow on the bottleneck link. Lastly, when the third flow appears the bottleneck link should be saturated.

Evaluation metrics : as described in Section 4.1.

Testbed topology: Three media sources S1, S2, S3 are connected to R1, R2, R3 respectively. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

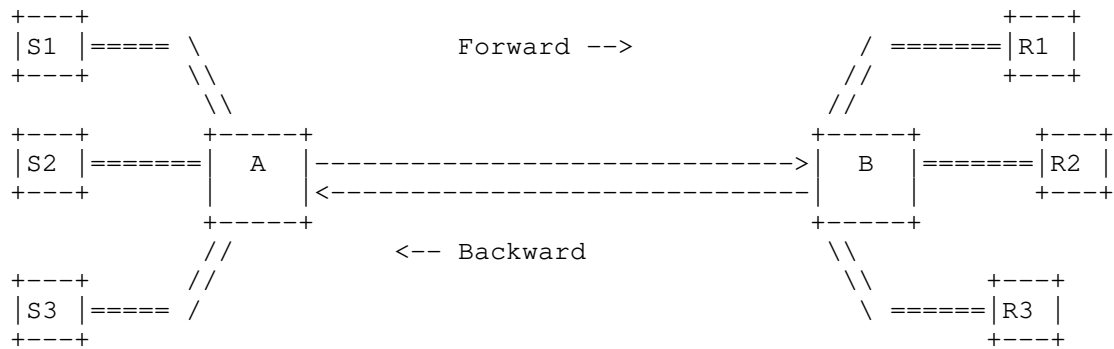


Figure 5: Testbed Topology for Multiple congestion controlled media Flows

Testbed attributes:

- o Test duration: 120s
- o Path characteristics:
  - \* Reference bottleneck capacity: 3.5Mbps
  - \* Path capacity ratio: 1.0
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward.
      - Number of media sources: three (3)
      - Media timeline: new media flows are added sequentially, at short time intervals. See test specific setup below.
    - + Media type: Audio

- Media direction: forward.
- Number of media sources: three (3)
- Media timeline: new media flows are added sequentially, at short time intervals. See test specific setup below.

\* Competing traffic:

+ Number of sources : zero (0)

- o Test Specific Information: Table 5 defines the media timeline for both media type.

Flow ID	Media type	Start time	End time
1	Video	0s	119s
2	Video	20s	119s
3	Video	40s	119s
4	Audio	0s	119s
5	Audio	20s	119s
6	Audio	40s	119s

Table 5: Media Timeline for Video and Audio media sources

#### 5.5. Round Trip Time Fairness

In this test case, multiple media flows share the bottleneck link, but the one-way propagation delay for each flow is different. For the sake of simplicity it is assumed that there are no other competing traffic sources in the bottleneck link and that there is sufficient capacity to accommodate all the flows. While this appears to be a variant of test case 5.2, it focuses on the capacity sharing aspect of the candidate algorithm under different RTTs.

Expected behavior: It is expected that the competing flows will converge to bit rates to accommodate all the flows with minimum possible latency and loss. The effectiveness of the algorithm depends on how fast and fairly the competing flows converge to their steady states irrespective of the RTT observed.

Evaluation metrics : as described in Section 4.1.

Testbed Topology: Five (5) media sources S1,S2,...,S5 are connected to their corresponding media sinks R1,R2,...,R5. The media traffic is transported over the forward path and corresponding feedback/control

traffic is transported over the backward path. The topology is the same as in Section 5.4.

Testbed attributes:

- o Test duration: 300s
- o Path characteristics:
  - \* Reference bottleneck capacity: 4Mbps
  - \* Path capacity ratio: 1.0
  - \* One-Way propagation delay for each flow: 10ms for S1-R1, 25ms for S2-R2, 50ms for S3-R3, 100ms for S4-R4, and 150ms S5-R5.
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward
      - Number of media sources: five (5)
      - Media timeline: new media flows are added sequentially, at short time intervals. See test specific setup below.
    - + Media type: Audio
      - Media direction: forward.
      - Number of media sources: five (5)
      - Media timeline: new media flows are added sequentially, at short time intervals. See test specific setup below.
  - \* Competing traffic:
    - + Number of sources : zero (0)
- o Test Specific Information: Table 6 defines the media timeline for both media type.

Flow IF	Media type	Start time	End time
1	Video	0s	299s
2	Video	10s	299s
3	Video	20s	299s
4	Video	30s	299s
5	Video	40s	299s
6	Audio	0	299s
7	Audio	10s	299s
8	Audio	20s	299s
9	Audio	30s	299s
10	Audio	40s	299s

Table 6: Media Timeline for Video and Audio media sources

#### 5.6. Media Flow Competing with a Long TCP Flow

In this test case, one or more media flows share the bottleneck link with at least one long lived TCP flow. Long lived TCP flows download data throughout the session and are expected to have infinite amount of data to send and receive. This is a scenario where a multimedia application co-exists with a large file download. The test case measures the adaptivity of the candidate algorithm to competing traffic. It addresses the requirement 3 in [I-D.ietf-rmcat-cc-requirements].

Expected behavior: depending on the convergence observed in test case 5.1 and 5.2, the candidate algorithm may be able to avoid congestion collapse. In the worst case, the media stream will fall to the minimum media bit rate.

Evaluation metrics : following metrics in addition to as described in Section 4.1.

##### 1. Flow level:

- A. TCP throughput.
- B. Loss for the TCP flow

Testbed topology: One (1) media source S1 is connected to the corresponding media sink, R1. In addition, there is a long-live TCP flow sharing the same bottleneck link. The media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path. The TCP traffic goes

over the forward path from, S\_tcp with acknowledgment packets go over the backward path from, R\_tcp.

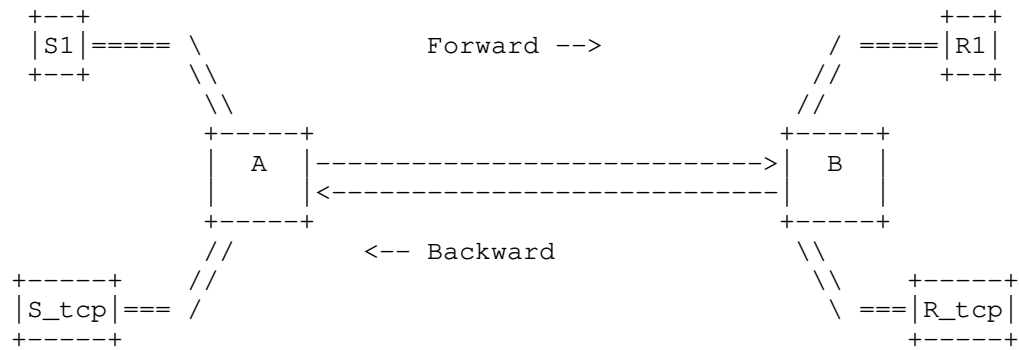


Figure 6: Testbed Topology for TCP vs congestion controlled media Flows

Testbed attributes:

- o Test duration: 120s
- o Path characteristics:
  - \* Reference bottleneck capacity: 2Mbps
  - \* Path capacity ratio: 1.0
  - \* Bottleneck queue size: [300ms, 1000ms]
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: forward
      - Number of media sources: one (1)
      - Media timeline:
        - o Start time: 5s.
        - o End time: 119s.
    - + Media type: Audio

- Media direction: forward
- Number of media sources: one (1)
- Media timeline:
  - o Start time: 5s.
  - o End time: 119s.
- \* Additionally, implementers are encouraged to run the experiment with multiple media sources.
- \* Competing traffic:
  - + Number and Types of sources : one (1) and long-lived TCP
  - + Traffic direction : forward
  - + Congestion control: default TCP congestion control[RFC5681]. Implementers are also encouraged to run the experiment with alternative TCP congestion control algorithm.
  - + Traffic timeline:
    - Start time: 0s.
    - End time: 119s.
- o Test Specific Information: none

#### 5.7. Media Flow Competing with Short TCP Flows

In this test case, one or more congestion controlled media flow shares the bottleneck link with multiple short-lived TCP flows. Short-lived TCP flows resemble the on/off pattern observed in the web traffic, wherein clients (for example, browsers) connect to a server and download a resource (typically a web page, few images, text files, etc.) using several TCP connections. This scenario shows the performance of a multimedia application when several browser windows are active. The test case measures the adaptivity of the candidate algorithm to competing web traffic, it addresses the requirements 1.E in [I-D.ietf-rmcat-cc-requirements].

Depending on the number of short TCP flows, the cross-traffic either appears as a short burst flow or resembles a long TCP flow. The intention of this test is to observe the impact of short-term burst on the behavior of the candidate algorithm.



Expected behavior: The candidate algorithm is expected to avoid flow starvation during the presence of short and bursty competing TCP flows, streaming at least at the minimum media bit rate. After competing TCP flows terminate, the media streams are expected to be robust enough to eventually recover to previous steady state behavior, and at the very least, avoid persistent starvation.

Evaluation metrics : following metrics in addition to as described in Section 4.1.

1. Flow level:

- A. Variation in the sending rate of the TCP flow.
- B. TCP throughput.

Testbed topology: The topology described here is same as the one described in Figure 6.

Testbed attributes:

- o Test duration: 300s
- o Path characteristics:
  - \* Reference bottleneck capacity: 2.0Mbps
  - \* Path capacity ratio: 1.0
- o Application-related:
  - \* Media source:
    - + Media type: Video
      - Media direction: forward
      - Number of media sources: two (2)
      - Media timeline:
        - o Start time: 5s.
        - o End time: 299s.
    - + Media type: Audio
      - Media direction: forward

- Number of media sources: two (2)
- Media timeline:
  - o Start time: 5s.
  - o End time: 299s.
- \* Competing traffic:
  - + Number and Types of sources : ten (10), short-lived TCP flows.
  - + Traffic direction : forward
  - + Congestion algorithm: default TCP Congestion control [RFC5681]. Implementers are also encouraged to run the experiment with alternative TCP congestion control algorithm.
  - + Traffic timeline: each short TCP flow is modeled as a sequence of file downloads interleaved with idle periods. Not all short TCP flows start at the same time, 2 of them start in the ON state while rest of the 8 flows start in an OFF state. For description of short TCP flow model see test specific information below.
- o Test Specific Information:
  - \* Short-TCP traffic model: The short TCP model to be used in this test is described in [I-D.ietf-rmcat-eval-criteria].

#### 5.8. Media Pause and Resume

In this test case, more than one real-time interactive media flows share the link bandwidth and all flows reach to a steady state by utilizing the link capacity in an optimum way. At this stage one of the media flows is paused for a moment. This event will result in more available bandwidth for the rest of the flows as they are on a shared link. When the paused media flow resumes it would no longer have the same bandwidth share on the link. It has to make its way through the other existing flows in the link to achieve a fair share of the link capacity. This test case is important specially for real-time interactive media which consists of more than one media flows and can pause/resume media flows at any point of time during the session. This test case directly addresses the requirement number 5 in [I-D.ietf-rmcat-cc-requirements]. One can think it as a variation of test case defined in Section 5.4. However, it is

different as the candidate algorithms can use different strategies to increase its efficiency, for example in terms of fairness, convergence time, reduce oscillation etc, by capitalizing the fact that they have previous information of the link.

Expected behavior: During the period where the third stream is paused, the two remaining flows are expected to increase their rates and reach the maximum media bit rate. When the third stream resumes, all three flows are expected to converge to the same original fair share of rates prior to the media pause/resume event.

Evaluation metrics : following metrics in addition to as described in Section 4.1.

1. Flow level:

- A. Variation in sending bit rate and throughput. Mainly observing the frequency and magnitude of oscillations.

Testbed Topology: Same as test case defined in Section 5.4

Testbed attributes: The general description of the testbed parameters are same as Section 5.4 with changes in the test specific setup as below-

o Other test specific setup:

- \* Media flow timeline:

- + Flow ID: one (1)
- + Start time: 0s
- + Flow duration: 119s
- + Pause time: not required
- + Resume time: not required

- \* Media flow timeline:

- + Flow ID: two (2)
- + Start time: 0s
- + Flow duration: 119s
- + Pause time: at 40s

- + Resume time: at 60s
- \* Media flow timeline:
  - + Flow ID: three (3)
  - + Start time: 0s
  - + Flow duration: 119s
  - + Pause time: not required
  - + Resume time: not required

## 6. Other potential test cases

It has been noticed that there are other interesting test cases besides the basic test cases listed above. In many aspects, these additional test cases can help further evaluation of the candidate algorithm. They are listed as below.

### 6.1. Media Flows with Priority

In this test case media flows will have different priority levels. This will be an extension of Section 5.4 where the same test will be run with different priority levels imposed on each of the media flows. For example, the first flow (S1) is assigned a priority of 2 whereas the remaining two flows (S2 and S3) are assigned a priority of 1. The candidate algorithm must reflect the relative priorities assigned to each media flow. In this case, the first flow (S1) must arrive at a steady-state rate approximately twice of that of the other two flows (S2 and S3).

The candidate algorithm can use a coupled congestion control mechanism [I-D.ietf-rmcat-coupled-cc] or use a weighted priority scheduler for the bandwidth distribution according to the respective media flow priority or use.

### 6.2. Explicit Congestion Notification Usage

This test case requires to run all the basic test cases with the availability of Explicit Congestion Notification (ECN) [RFC6679] feature enabled. The goal of this test is to exhibit that the candidate algorithms do not fail when ECN signals are available. With ECN signals enabled the algorithms are expected to perform better than their delay-based variants.

### 6.3. Multiple Bottlenecks

In this test case one congestion controlled media flow, S1->R1, traverses a path with multiple bottlenecks. As illustrated in Figure 7, the first flow (S1->R1) competes with the second congestion controlled media flow (S2->R2) over the link between A and B which is close to the sender side; again, that flow (S1->R1) competes with the third congestion controlled media flow (S3->R3) over the link between C and D which is close to the receiver side. The goal of this test is to ensure that the candidate algorithms work properly in the presence of multiple bottleneck links on the end to end path.

Expected behavior: The candidate algorithm is expected to achieve full utilization at both bottleneck links without starving any of the three congestion controlled media flows and ensuring fair share of the available bandwidth at each bottlenecks.

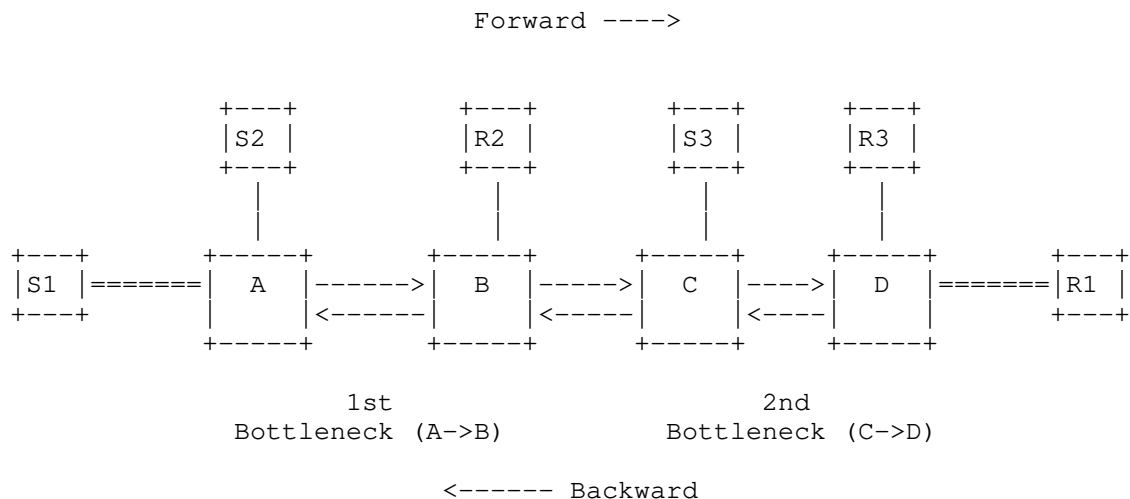


Figure 7: Testbed Topology for Multiple Bottlenecks

Testbed topology: Three media sources S1, S2, and S3 are connected to respective destinations R1, R2, and R3. For all three flows the media traffic is transported over the forward path and corresponding feedback/control traffic is transported over the backward path.

Testbed attributes:

- o Test duration: 300s
- o Path characteristics:
  - \* Reference bottleneck capacity: 2Mbps.
  - \* Path capacity ratio between A and B: 1.0
  - \* Path capacity ratio between B and C: 4.0.
  - \* Path capacity ratio between C and D: 0.75.
  - \* One-Way propagation delay:
    1. Between S1 and R1: 100ms
    2. Between S2 and R2: 40ms
    3. Between S3 and R3: 40ms
- o Application-related:
  - \* Media Source:
    - + Media type: Video
      - Media direction: Forward
      - Number of media sources: Three (3)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 299s.
    - + Media type: Audio
      - Media direction: Forward
      - Number of media sources: Three (3)
      - Media timeline:
        - o Start time: 0s.
        - o End time: 299s.

- \* Competing traffic:

- + Number of sources : Zero (0)

## 7. Wireless Access Links

Additional wireless network (both cellular network and WiFi network) specific test cases are defined in [I-D.ietf-rmcat-wireless-tests].

## 8. Security Considerations

The security considerations in [I-D.ietf-rmcat-eval-criteria] and the relevant congestion control algorithms apply. The principles for congestion control are described in [RFC2914], and in particular any new method must implement safeguards to avoid congestion collapse of the Internet.

The evaluation of the test cases are intended to be run in a controlled lab environment. Hence, the applications, simulators and network nodes ought to be well-behaved and should not impact the desired results. Moreover, proper measures must be taken to avoid leaking non-responsive traffic from unproven congestion avoidance techniques onto the open Internet.

## 9. IANA Considerations

There are no IANA impacts in this memo.

## 10. Acknowledgements

Much of this document is derived from previous work on congestion control at the IETF.

The content and concepts within this document are a product of the discussion carried out in the Design Team.

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A Google Congestion Control Algorithm for Real-Time Communication  
draft-ietf-rmcat-gcc-01

Abstract

This document describes two methods of congestion control when using real-time communications on the World Wide Web (RTCWEB); one delay-based and one loss-based.

It is published as an input document to the RMCAT working group on congestion control for media streams. The mailing list of that working group is [rmcat@ietf.org](mailto:rmcat@ietf.org).

Requirements Language

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

Status of This Memo

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## 1. Introduction

Congestion control is a requirement for all applications sharing the Internet resources [RFC2914].

Congestion control for real-time media is challenging for a number of reasons:

- o The media is usually encoded in forms that cannot be quickly changed to accommodate varying bandwidth, and bandwidth requirements can often be changed only in discrete, rather large steps
- o The participants may have certain specific wishes on how to respond – which may not be reducing the bandwidth required by the flow on which congestion is discovered
- o The encodings are usually sensitive to packet loss, while the real-time requirement precludes the repair of packet loss by retransmission

This memo describes two congestion control algorithms that together are able to provide good performance and reasonable bandwidth sharing with other video flows using the same congestion control and with TCP flows that share the same links.

The signaling used consists of experimental RTP header extensions and RTCP messages RFC 3550 [RFC3550] as defined in [abs-send-time], [I-D.alvestrand-rmcat-remb] and [I-D.holmer-rmcat-transport-wide-cc-extensions].

### 1.1. Mathematical notation conventions

The mathematics of this document have been transcribed from a more formula-friendly format.

The following notational conventions are used:

$\hat{X}$  An estimate of the true value of variable  $X$  – conventionally marked by a circumflex accent on top of the variable name.

$X(i)$  The " $i$ "th value of vector  $X$  – conventionally marked by a subscript  $i$ .

$E\{X\}$  The expected value of the stochastic variable  $X$

## 2. System model

The following elements are in the system:

- o RTP packet - an RTP packet containing media data.
- o Packet group - a set of RTP packets transmitted from the sender uniquely identified by the group departure and group arrival time (absolute send time) [abs-send-time]. These could be video packets, audio packets, or a mix of audio and video packets.
- o Incoming media stream - a stream of frames consisting of RTP packets.
- o RTP sender - sends the RTP stream over the network to the RTP receiver. It generates the RTP timestamp and the abs-send-time header extension
- o RTP receiver - receives the RTP stream, marks the time of arrival.
- o RTCP sender at RTP receiver - sends receiver reports, REMB messages and transport-wide RTCP feedback messages.
- o RTCP receiver at RTP sender - receives receiver reports and REMB messages and transport-wide RTCP feedback messages, reports these to the sender side controller.
- o RTCP receiver at RTP receiver, receives sender reports from the sender.
- o Loss-based controller - takes loss rate measurement, round trip time measurement and REMB messages, and computes a target sending bitrate.
- o Delay-based controller - takes the packet arrival info, either at the RTP receiver, or from the feedback received by the RTP sender, and computes a maximum bitrate which it passes to the loss-based controller.

Together, loss-based controller and delay-based controller implement the congestion control algorithm.

## 3. Feedback and extensions

There are two ways to implement the proposed algorithm. One where both the controllers are running at the send-side, and one where the delay-based controller runs on the receive-side and the loss-based controller runs on the send-side.

The first version can be realized by using a per-packet feedback protocol as described in [I-D.holmer-rmcat-transport-wide-cc-extensions]. Here, the RTP receiver will record the arrival time and the transport-wide sequence number of each received packet, which will be sent back to the sender periodically using the transport-wide feedback message. The RECOMMENDED feedback interval is once per received video frame or at least once every 30 ms if audio-only or multi-stream. If the feedback overhead needs to be limited this interval can be increased to 100 ms.

The sender will map the received {sequence number, arrival time} pairs to the send-time of each packet covered by the feedback report, and feed those timestamps to the delay-based controller. It will also compute a loss ratio based on the sequence numbers in the feedback message.

The second version can be realized by having a delay-based controller at the receive-side, monitoring and processing the arrival time and size of incoming packets. The sender SHOULD use the abs-send-time RTP header extension [abs-send-time] to enable the receiver to compute the inter-group delay variation. The output from the delay-based controller will be a bitrate, which will be sent back to the sender using the REMB feedback message [I-D.alvestrand-rmcat-remb]. The packet loss ratio is sent back via RTCP receiver reports. At the sender the bitrate in the REMB message and the fraction of packets lost are fed into the loss-based controller, which outputs a final target bitrate. It is RECOMMENDED to send the REMB message as soon as congestion is detected, and otherwise at least once every second.

#### 4. Delay-based control

The delay-based control algorithm can be further decomposed into three parts: an arrival-time filter, an over-use detector, and a rate controller.

##### 4.1. Arrival-time model

This section describes an adaptive filter that continuously updates estimates of network parameters based on the timing of the received packets.

We define the inter-arrival time,  $t(i) - t(i-1)$ , as the difference in arrival time of two packets or two groups of packets. Correspondingly, the inter-departure time,  $T(i) - T(i-1)$ , is defined as the difference in departure-time of two packets or two groups of packets. Finally, the inter-group delay variation,  $d(i)$ , is defined as the difference between the inter-arrival time and the inter-

departure time. Or interpreted differently, as the difference between the delay of group  $i$  and group  $i-1$ .

$$d(i) = t(i) - t(i-1) - (T(i) - T(i-1))$$

At the receiving side we are observing groups of incoming packets, where a group of packets is defined as follows:

- o A sequence of packets which are sent within a `burst_time` interval constitute a group. RECOMMENDED value for `burst_time` is 5 ms.
- o In addition, any packet which has an inter-arrival time less than `burst_time` and an inter-group delay variation  $d(i)$  less than 0 is also considered being part of the current group of packets. The reasoning behind including these packets in the group is to better handle delay transients, caused by packets being queued up for reasons unrelated to congestion. As an example this has been observed to happen on many Wi-Fi and wireless networks.

An inter-departure time is computed between consecutive groups as  $T(i) - T(i-1)$ , where  $T(i)$  is the departure timestamp of the last packet in the current packet group being processed. Any packets received out of order are ignored by the arrival-time model.

Each group is assigned a receive time  $t(i)$ , which corresponds to the time at which the last packet of the group was received. A group is delayed relative to its predecessor if  $t(i) - t(i-1) > T(i) - T(i-1)$ , i.e., if the inter-arrival time is larger than the inter-departure time.

We can model the inter-group delay variation as:

$$d(i) = w(i)$$

Here,  $w(i)$  is a sample from a stochastic process  $W$ , which is a function of the link capacity, the current cross traffic, and the current sent bitrate. We model  $W$  as a white Gaussian process. If we are over-using the channel we expect the mean of  $w(i)$  to increase, and if a queue on the network path is being emptied, the mean of  $w(i)$  will decrease; otherwise the mean of  $w(i)$  will be zero.

Breaking out the mean,  $m(i)$ , from  $w(i)$  to make the process zero mean, we get

Equation 1

$$d(i) = m(i) + v(i)$$



The noise term  $v(i)$  represents network jitter and other delay effects not captured by the model.

#### 4.2. Arrival-time filter

The parameter  $d(i)$  is readily available for each group of packets,  $i > 1$ . We want to estimate  $m(i)$  and use this estimate to detect whether or not the bottleneck link is over-used. The parameter can be estimated by any adaptive filter - we are using the Kalman filter.

Let  $m(i)$  be the estimate at time  $i$

We model the state evolution from time  $i$  to time  $i+1$  as

$$m(i+1) = m(i) + u(i)$$

where  $u(i)$  is the state noise that we model as a stationary process with Gaussian statistic with zero mean and variance

$$q(i) = E\{u(i)^2\}$$

$q(i)$  is RECOMMENDED equal to  $10^{-3}$

Given equation 1 we get

$$d(i) = m(i) + v(i)$$

where  $v(i)$  is zero mean white Gaussian measurement noise with variance  $\text{var}_v = E\{v(i)^2\}$

The Kalman filter recursively updates our estimate  $m_{\text{hat}}(i)$  as

$$z(i) = d(i) - m_{\text{hat}}(i-1)$$

$$m_{\text{hat}}(i) = m_{\text{hat}}(i-1) + z(i) * k(i)$$

$$k(i) = \frac{e(i-1) + q(i)}{\text{var}_v_{\text{hat}}(i) + (e(i-1) + q(i))}$$

$$e(i) = (1 - k(i)) * (e(i-1) + q(i))$$

The variance  $\text{var}_v(i) = E\{v(i)^2\}$  is estimated using an exponential averaging filter, modified for variable sampling rate

$$\text{var}_v_{\text{hat}}(i) = \max(\alpha * \text{var}_v_{\text{hat}}(i-1) + (1-\alpha) * z(i)^2, 1)$$

$$\alpha = (1-\chi)^{(30/(1000 * f_{\text{max}}))}$$

where  $f_{\max} = \max \{1/(T(j) - T(j-1))\}$  for  $j$  in  $i-K+1, \dots, i$  is the highest rate at which the last  $K$  packet groups have been received and  $\chi$  is a filter coefficient typically chosen as a number in the interval  $[0.1, 0.001]$ . Since our assumption that  $v(i)$  should be zero mean WGN is less accurate in some cases, we have introduced an additional outlier filter around the updates of  $\text{var\_v\_hat}$ . If  $z(i) > 3\sqrt{\text{var\_v\_hat}}$  the filter is updated with  $3\sqrt{\text{var\_v\_hat}}$  rather than  $z(i)$ . For instance  $v(i)$  will not be white in situations where packets are sent at a higher rate than the channel capacity, in which case they will be queued behind each other.

#### 4.3. Over-use detector

The inter-group delay variation estimate  $m(i)$ , obtained as the output of the arrival-time filter, is compared with a threshold  $\text{del\_var\_th}(i)$ . An estimate above the threshold is considered as an indication of over-use. Such an indication is not enough for the detector to signal over-use to the rate control subsystem. A definitive over-use will be signaled only if over-use has been detected for at least  $\text{overuse\_time\_th}$  milliseconds. However, if  $m(i) < m(i-1)$ , over-use will not be signaled even if all the above conditions are met. Similarly, the opposite state, under-use, is detected when  $m(i) < -\text{del\_var\_th}(i)$ . If neither over-use nor under-use is detected, the detector will be in the normal state.

The threshold  $\text{del\_var\_th}$  has a remarkable impact on the overall dynamics and performance of the algorithm. In particular, it has been shown that using a static threshold  $\text{del\_var\_th}$ , a flow controlled by the proposed algorithm can be starved by a concurrent TCP flow [Pv13]. This starvation can be avoided by increasing the threshold  $\text{del\_var\_th}$  to a sufficiently large value.

The reason is that, by using a larger value of  $\text{del\_var\_th}$ , a larger queuing delay can be tolerated, whereas with a small  $\text{del\_var\_th}$ , the over-use detector quickly reacts to a small increase in the offset estimate  $m(i)$  by generating an over-use signal that reduces the delay-based estimate of the available bandwidth  $A_{\text{hat}}$  (see Section 4.4). Thus, it is necessary to dynamically tune the threshold  $\text{del\_var\_th}$  to get good performance in the most common scenarios, such as when competing with loss-based flows.

For this reason, we propose to vary the threshold  $\text{del\_var\_th}(i)$  according to the following dynamic equation:

$$\text{del\_var\_th}(i) = \text{del\_var\_th}(i-1) + (t(i)-t(i-1)) * K(i) * (|m(i)| - \text{del\_var\_th}(i-1))$$

with  $K(i)=K_d$  if  $|m(i)| < \text{del\_var\_th}(i-1)$  or  $K(i)=K_u$  otherwise. The rationale is to increase  $\text{del\_var\_th}(i)$  when  $m(i)$  is outside of the range  $[-\text{del\_var\_th}(i-1), \text{del\_var\_th}(i-1)]$ , whereas, when the offset estimate  $m(i)$  falls back into the range,  $\text{del\_var\_th}$  is decreased. In this way when  $m(i)$  increases, for instance due to a TCP flow entering the same bottleneck,  $\text{del\_var\_th}(i)$  increases and avoids the uncontrolled generation of over-use signals which may lead to starvation of the flow controlled by the proposed algorithm [Pv13]. Moreover,  $\text{del\_var\_th}(i)$  SHOULD NOT be updated if this condition holds:

$$|m(i)| - \text{del\_var\_th}(i) > 15$$

It is also RECOMMENDED to clamp  $\text{del\_var\_th}(i)$  to the range  $[6, 600]$ , since a too small  $\text{del\_var\_th}(i)$  can cause the detector to become overly sensitive.

On the other hand, when  $m(i)$  falls back into the range  $[-\text{del\_var\_th}(i-1), \text{del\_var\_th}(i-1)]$  the threshold  $\text{del\_var\_th}(i)$  is decreased so that a lower queuing delay can be achieved.

It is RECOMMENDED to choose  $K_u > K_d$  so that the rate at which  $\text{del\_var\_th}$  is increased is higher than the rate at which it is decreased. With this setting it is possible to increase the threshold in the case of a concurrent TCP flow and prevent starvation as well as enforcing intra-protocol fairness. RECOMMENDED values for  $\text{del\_var\_th}(0)$ ,  $\text{overuse\_time\_th}$ ,  $K_u$  and  $K_d$  are respectively 12.5 ms, 10 ms, 0.01 and 0.00018.

#### 4.4. Rate control

The rate control is split in two parts, one controlling the bandwidth estimate based on delay, and one controlling the bandwidth estimate based on loss. Both are designed to increase the estimate of the available bandwidth  $A_{\text{hat}}$  as long as there is no detected congestion and to ensure that we will eventually match the available bandwidth of the channel and detect an over-use.

As soon as over-use has been detected, the available bandwidth estimated by the delay-based controller is decreased. In this way we get a recursive and adaptive estimate of the available bandwidth.

In this document we make the assumption that the rate control subsystem is executed periodically and that this period is constant.

The rate control subsystem has 3 states: Increase, Decrease and Hold. "Increase" is the state when no congestion is detected; "Decrease" is the state where congestion is detected, and "Hold" is a state that

waits until built-up queues have drained before going to "increase" state.

The state transitions (with blank fields meaning "remain in state") are:

Signal \ State	Hold	Increase	Decrease
Over-use	Decrease	Decrease	
Normal	Increase		Hold
Under-use		Hold	Hold

The subsystem starts in the increase state, where it will stay until over-use or under-use has been detected by the detector subsystem. On every update the delay-based estimate of the available bandwidth is increased, either multiplicatively or additively, depending on its current state.

The system does a multiplicative increase if the current bandwidth estimate appears to be far from convergence, while it does an additive increase if it appears to be closer to convergence. We assume that we are close to convergence if the currently incoming bitrate,  $R_{\text{hat}}(i)$ , is close to an average of the incoming bitrates at the time when we previously have been in the Decrease state. "Close" is defined as three standard deviations around this average. It is RECOMMENDED to measure this average and standard deviation with an exponential moving average with the smoothing factor 0.95, as it is expected that this average covers multiple occasions at which we are in the Decrease state. Whenever valid estimates of these statistics are not available, we assume that we have not yet come close to convergence and therefore remain in the multiplicative increase state.

If  $R_{\text{hat}}(i)$  increases above three standard deviations of the average max bitrate, we assume that the current congestion level has changed, at which point we reset the average max bitrate and go back to the multiplicative increase state.

$R_{\text{hat}}(i)$  is the incoming bitrate measured by the delay-based controller over a T seconds window:

$$R_{\text{hat}}(i) = 1/T * \text{sum}(L(j)) \text{ for } j \text{ from } 1 \text{ to } N(i)$$

$N(i)$  is the number of packets received the past  $T$  seconds and  $L(j)$  is the payload size of packet  $j$ . A window between 0.5 and 1 second is RECOMMENDED.

During multiplicative increase, the estimate is increased by at most 8% per second.

```
eta = 1.08^min(time_since_last_update_ms / 1000, 1.0)
A_hat(i) = eta * A_hat(i-1)
```

During the additive increase the estimate is increased with at most half a packet per response\_time interval. The response\_time interval is estimated as the round-trip time plus 100 ms as an estimate of over-use estimator and detector reaction time.

```
response_time_ms = 100 + rtt_ms
alpha = 0.5 * min(time_since_last_update_ms / response_time_ms, 1.0)
A_hat(i) = A_hat(i-1) + max(1000, alpha * expected_packet_size_bits)
```

expected\_packet\_size\_bits is used to get a slightly slower slope for the additive increase at lower bitrates. It can for instance be computed from the current bitrate by assuming a frame rate of 30 frames per second:

```
bits_per_frame = A_hat(i-1) / 30
packets_per_frame = ceil(bits_per_frame / (1200 * 8))
avg_packet_size_bits = bits_per_frame / packets_per_frame
```

Since the system depends on over-using the channel to verify the current available bandwidth estimate, we must make sure that our estimate does not diverge from the rate at which the sender is actually sending. Thus, if the sender is unable to produce a bit stream with the bitrate the congestion controller is asking for, the available bandwidth estimate should stay within a given bound. Therefore we introduce a threshold

```
A_hat(i) < 1.5 * R_hat(i)
```

When an over-use is detected the system transitions to the decrease state, where the delay-based available bandwidth estimate is decreased to a factor times the currently incoming bitrate.

```
A_hat(i) = beta * R_hat(i)
```

beta is typically chosen to be in the interval  $[0.8, 0.95]$ , 0.85 is the RECOMMENDED value.

When the detector signals under-use to the rate control subsystem, we know that queues in the network path are being emptied, indicating that our available bandwidth estimate  $A_{\text{hat}}$  is lower than the actual available bandwidth. Upon that signal the rate control subsystem will enter the hold state, where the receive-side available bandwidth estimate will be held constant while waiting for the queues to stabilize at a lower level – a way of keeping the delay as low as possible. This decrease of delay is wanted, and expected, immediately after the estimate has been reduced due to over-use, but can also happen if the cross traffic over some links is reduced.

It is RECOMMENDED that the routine to update  $A_{\text{hat}}(i)$  is run at least once every `response_time` interval.

#### 4.5. Parameters settings

Parameter	Description	RECOMMENDED Value
<code>burst_time</code>	Time limit in milliseconds between packet bursts which identifies a group	5 ms
<code>q</code> <code>e(0)</code>	State noise covariance matrix Initial value of the system error covariance	$q = 10^{-3}$ $e(0) = 0.1$
<code>chi</code>	Coefficient used for the measured noise variance	[0.1, 0.001]
<code>del_var_th(0)</code>	Initial value for the adaptive threshold	12.5 ms
<code>overuse_time_th</code>	Time required to trigger an overuse signal	10 ms
<code>K_u</code>	Coefficient for the adaptive threshold	0.01
<code>K_d</code>	Coefficient for the adaptive threshold	0.00018
<code>T</code>	Time window for measuring the received bitrate	[0.5, 1] s
<code>beta</code>	Decrease rate factor	0.85

Table 1: RECOMMENDED values for delay based controller

Table 1

## 5. Loss-based control

A second part of the congestion controller bases its decisions on the round-trip time, packet loss and available bandwidth estimates  $A_{\hat{}}$  received from the delay-based controller. The available bandwidth estimates computed by the loss-based controller are denoted with  $As_{\hat{}}$ .

The available bandwidth estimates  $A_{\hat{}}$  produced by the delay-based controller are only reliable when the size of the queues along the path sufficiently large. If the queues are very short, over-use will only be visible through packet losses, which are not used by the delay-based controller.

The loss-based controller SHOULD run every time feedback from the receiver is received.

- o If 2-10% of the packets have been lost since the previous report from the receiver, the sender available bandwidth estimate  $As_{\hat{}}(i)$  will be kept unchanged.
- o If more than 10% of the packets have been lost a new estimate is calculated as  $As_{\hat{}}(i) = As_{\hat{}}(i-1)(1-0.5p)$ , where  $p$  is the loss ratio.
- o As long as less than 2% of the packets have been lost  $As_{\hat{}}(i)$  will be increased as  $As_{\hat{}}(i) = 1.05(As_{\hat{}}(i-1))$

The loss-based estimate  $As_{\hat{}}$  is compared with the delay-based estimate  $A_{\hat{}}$ . The actual sending rate is set as the minimum between  $As_{\hat{}}$  and  $A_{\hat{}}$ .

We motivate the packet loss thresholds by noting that if the transmission channel has a small amount of packet loss due to over-use, that amount will soon increase if the sender does not adjust his bitrate. Therefore we will soon enough reach above the 10% threshold and adjust  $As_{\hat{}}(i)$ . However, if the packet loss ratio does not increase, the losses are probably not related to self-inflicted congestion and therefore we should not react on them.

## 6. Interoperability Considerations

In case a sender implementing these algorithms talks to a receiver which do not implement any of the proposed RTCP messages and RTP header extensions, it is suggested that the sender monitors RTCP receiver reports and uses the fraction of lost packets and the round-trip time as input to the loss-based controller. The delay-based controller should be left disabled.

## 7. Implementation Experience

This algorithm has been implemented in the open-source WebRTC project, has been in use in Chrome since M23, and is being used by Google Hangouts.

Deployment of the algorithm have revealed problems related to, e.g, congested or otherwise problematic WiFi networks, which have led to algorithm improvements. The algorithm has also been tested in a multi-party conference scenario with a conference server which terminates the congestion control between endpoints. This ensures that no assumptions are being made by the congestion control about maximum send and receive bitrates, etc., which typically is out of control for a conference server.

## 8. Further Work

This draft is offered as input to the congestion control discussion.

Work that can be done on this basis includes:

- o Considerations of integrated loss control: How loss and delay control can be better integrated, and the loss control improved.
- o Considerations of locus of control: evaluate the performance of having all congestion control logic at the sender, compared to splitting logic between sender and receiver.
- o Considerations of utilizing ECN as a signal for congestion estimation and link over-use detection.

## 9. IANA Considerations

This document makes no request of IANA.

Note to RFC Editor: this section may be removed on publication as an RFC.

## 10. Security Considerations

An attacker with the ability to insert or remove messages on the connection would have the ability to disrupt rate control. This could make the algorithm to produce either a sending rate under-utilizing the bottleneck link capacity, or a too high sending rate causing network congestion.

In this case, the control information is carried inside RTP, and can be protected against modification or message insertion using SRTP,



just as for the media. Given that timestamps are carried in the RTP header, which is not encrypted, this is not protected against disclosure, but it seems hard to mount an attack based on timing information only.

## 11. Acknowledgements

Thanks to Randell Jesup, Magnus Westerlund, Varun Singh, Tim Panton, Soo-Hyun Choo, Jim Gettys, Ingemar Johansson, Michael Welzl and others for providing valuable feedback on earlier versions of this draft.

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## Appendix A. Change log

## A.1. Version -00 to -01

- o Added change log
- o Added appendix outlining new extensions
- o Added a section on when to send feedback to the end of section 3.3 "Rate control", and defined min/max FB intervals.
- o Added size of over-bandwidth estimate usage to "further work" section.
- o Added startup considerations to "further work" section.
- o Added sender-delay considerations to "further work" section.
- o Filled in acknowledgments section from mailing list discussion.

## A.2. Version -01 to -02

- o Defined the term "frame", incorporating the transmission time offset into its definition, and removed references to "video frame".
- o Referred to "m(i)" from the text to make the derivation clearer.
- o Made it clearer that we modify our estimates of available bandwidth, and not the true available bandwidth.
- o Removed the appendixes outlining new extensions, added pointers to REMB draft and RFC 5450.

## A.3. Version -02 to -03

- o Added a section on how to process multiple streams in a single estimator using RTP timestamps to NTP time conversion.
- o Stated in introduction that the draft is aimed at the RMCAT working group.

## A.4. rtcweb-03 to rmcate-00

Renamed draft to link the draft name to the RMCAT WG.

## A.5. rmcat -00 to -01

Spellcheck. Otherwise no changes, this is a "keepalive" release.

## A.6. rmcat -01 to -02

- o Added Luca De Cicco and Saverio Mascolo as authors.
- o Extended the "Over-use detector" section with new technical details on how to dynamically tune the offset `del_var_th` for improved fairness properties.
- o Added reference to a paper analyzing the behavior of the proposed algorithm.

## A.7. rmcat -02 to -03

- o Swapped receiver-side/sender-side controller with delay-based/loss-based controller as there is no longer a requirement to run the delay-based controller on the receiver-side.
- o Removed the discussion about multiple streams and transmission time offsets.
- o Introduced a new section about "Feedback and extensions".
- o Improvements to the threshold adaptation in the "Over-use detector" section.
- o Swapped the previous MIMD rate control algorithm for a new AIMD rate control algorithm.

## A.8. ietf-rmcat -00 to ietf-rmcat -01

- o Arrival-time filter converted from a two dimensional Kalman filter to a scalar Kalman filter.
- o The use of the TFRC equation was removed from the loss-based controller, as it turned out to have little to no effect in practice.

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A Google Congestion Control Algorithm for Real-Time Communication  
draft-ietf-rmcat-gcc-02

Abstract

This document describes two methods of congestion control when using real-time communications on the World Wide Web (RTCWEB); one delay-based and one loss-based.

It is published as an input document to the RMCAT working group on congestion control for media streams. The mailing list of that working group is [rmcat@ietf.org](mailto:rmcat@ietf.org).

Requirements Language

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

Status of This Memo

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## 1. Introduction

Congestion control is a requirement for all applications sharing the Internet resources [RFC2914].

Congestion control for real-time media is challenging for a number of reasons:

- o The media is usually encoded in forms that cannot be quickly changed to accommodate varying bandwidth, and bandwidth requirements can often be changed only in discrete, rather large steps
- o The participants may have certain specific wishes on how to respond - which may not be reducing the bandwidth required by the flow on which congestion is discovered
- o The encodings are usually sensitive to packet loss, while the real-time requirement precludes the repair of packet loss by retransmission

This memo describes two congestion control algorithms that together are able to provide good performance and reasonable bandwidth sharing with other video flows using the same congestion control and with TCP flows that share the same links.

The signaling used consists of experimental RTP header extensions and RTCP messages RFC 3550 [RFC3550] as defined in [abs-send-time], [I-D.alvestrand-rmcat-remb] and [I-D.holmer-rmcat-transport-wide-cc-extensions].

### 1.1. Mathematical notation conventions

The mathematics of this document have been transcribed from a more formula-friendly format.

The following notational conventions are used:

$\hat{X}$  An estimate of the true value of variable  $X$  - conventionally marked by a circumflex accent on top of the variable name.

$X(i)$  The " $i$ "th value of vector  $X$  - conventionally marked by a subscript  $i$ .

$E\{X\}$  The expected value of the stochastic variable  $X$

## 2. System model

The following elements are in the system:

- o RTP packet - an RTP packet containing media data.
- o Group of packets - a set of RTP packets transmitted from the sender uniquely identified by the group departure and group arrival time (absolute send time) [abs-send-time]. These could be video packets, audio packets, or a mix of audio and video packets.
- o Incoming media stream - a stream of frames consisting of RTP packets.
- o RTP sender - sends the RTP stream over the network to the RTP receiver. It generates the RTP timestamp and the abs-send-time header extension
- o RTP receiver - receives the RTP stream, marks the time of arrival.
- o RTCP sender at RTP receiver - sends receiver reports, REMB messages and transport-wide RTCP feedback messages.
- o RTCP receiver at RTP sender - receives receiver reports and REMB messages and transport-wide RTCP feedback messages, reports these to the sender side controller.
- o RTCP receiver at RTP receiver, receives sender reports from the sender.
- o Loss-based controller - takes loss rate measurement, round trip time measurement and REMB messages, and computes a target sending bitrate.
- o Delay-based controller - takes the packet arrival info, either at the RTP receiver, or from the feedback received by the RTP sender, and computes a maximum bitrate which it passes to the loss-based controller.

Together, loss-based controller and delay-based controller implement the congestion control algorithm.

## 3. Feedback and extensions

There are two ways to implement the proposed algorithm. One where both the controllers are running at the send-side, and one where the delay-based controller runs on the receive-side and the loss-based controller runs on the send-side.



The first version can be realized by using a per-packet feedback protocol as described in [I-D.holmer-rmcat-transport-wide-cc-extensions]. Here, the RTP receiver will record the arrival time and the transport-wide sequence number of each received packet, which will be sent back to the sender periodically using the transport-wide feedback message. The RECOMMENDED feedback interval is once per received video frame or at least once every 30 ms if audio-only or multi-stream. If the feedback overhead needs to be limited this interval can be increased to 100 ms.

The sender will map the received {sequence number, arrival time} pairs to the send-time of each packet covered by the feedback report, and feed those timestamps to the delay-based controller. It will also compute a loss ratio based on the sequence numbers in the feedback message.

The second version can be realized by having a delay-based controller at the receive-side, monitoring and processing the arrival time and size of incoming packets. The sender SHOULD use the abs-send-time RTP header extension [abs-send-time] to enable the receiver to compute the inter-group delay variation. The output from the delay-based controller will be a bitrate, which will be sent back to the sender using the REMB feedback message [I-D.alvestrand-rmcat-remb]. The packet loss ratio is sent back via RTCP receiver reports. At the sender the bitrate in the REMB message and the fraction of packets lost are fed into the loss-based controller, which outputs a final target bitrate. It is RECOMMENDED to send the REMB message as soon as congestion is detected, and otherwise at least once every second.

#### 4. Sending Engine

Pacing is used to actuate the target bitrate computed by the controllers.

When media encoder produces data, this is fed into a Pacer queue. The Pacer sends a group of packets to the network every burst\_time interval. RECOMMENDED value for burst\_time is 5 ms. The size of a group of packets is computed as the product between the target bitrate and the burst\_time.

#### 5. Delay-based control

The delay-based control algorithm can be further decomposed into four parts: a pre-filtering, an arrival-time filter, an over-use detector, and a rate controller.

### 5.1. Arrival-time model

This section describes an adaptive filter that continuously updates estimates of network parameters based on the timing of the received groups of packets.

We define the inter-arrival time,  $t(i) - t(i-1)$ , as the difference in arrival time of two groups of packets. Correspondingly, the inter-departure time,  $T(i) - T(i-1)$ , is defined as the difference in departure-time of two groups of packets. Finally, the inter-group delay variation,  $d(i)$ , is defined as the difference between the inter-arrival time and the inter-departure time. Or interpreted differently, as the difference between the delay of group  $i$  and group  $i-1$ .

$$d(i) = t(i) - t(i-1) - (T(i) - T(i-1))$$

An inter-departure time is computed between consecutive groups as  $T(i) - T(i-1)$ , where  $T(i)$  is the departure timestamp of the last packet in the current packet group being processed. Any packets received out of order are ignored by the arrival-time model.

Each group is assigned a receive time  $t(i)$ , which corresponds to the time at which the last packet of the group was received. A group is delayed relative to its predecessor if  $t(i) - t(i-1) > T(i) - T(i-1)$ , i.e., if the inter-arrival time is larger than the inter-departure time.

We can model the inter-group delay variation as:

$$d(i) = w(i)$$

Here,  $w(i)$  is a sample from a stochastic process  $W$ , which is a function of the link capacity, the current cross traffic, and the current sent bitrate. We model  $W$  as a white Gaussian process. If we are over-using the channel we expect the mean of  $w(i)$  to increase, and if a queue on the network path is being emptied, the mean of  $w(i)$  will decrease; otherwise the mean of  $w(i)$  will be zero.

Breaking out the mean,  $m(i)$ , from  $w(i)$  to make the process zero mean, we get

Equation 1

$$d(i) = m(i) + v(i)$$

The noise term  $v(i)$  represents network jitter and other delay effects not captured by the model.

## 5.2. Pre-filtering

The pre-filtering aims at handling delay transients caused by channel outages. During an outage, packets being queued in network buffers, for reasons unrelated to congestion, are delivered in a burst when the outage ends.

The pre-filtering merges together groups of packets that arrive in a burst. Packets are merged in the same group if one of these two conditions holds:

- o A sequence of packets which are sent within a `burst_time` interval constitute a group.
- o A Packet which has an inter-arrival time less than `burst_time` and an inter-group delay variation  $d(i)$  less than 0 is considered being part of the current group of packets.

## 5.3. Arrival-time filter

The parameter  $d(i)$  is readily available for each group of packets,  $i > 1$ . We want to estimate  $m(i)$  and use this estimate to detect whether or not the bottleneck link is over-used. The parameter can be estimated by any adaptive filter - we are using the Kalman filter.

Let  $m(i)$  be the estimate at time  $i$

We model the state evolution from time  $i$  to time  $i+1$  as

$$m(i+1) = m(i) + u(i)$$

where  $u(i)$  is the state noise that we model as a stationary process with Gaussian statistic with zero mean and variance

$$q(i) = E\{u(i)^2\}$$

$q(i)$  is RECOMMENDED equal to  $10^{-3}$

Given equation 1 we get

$$d(i) = m(i) + v(i)$$

where  $v(i)$  is zero mean white Gaussian measurement noise with variance  $\text{var}_v = E\{v(i)^2\}$

The Kalman filter recursively updates our estimate  $m_{\text{hat}}(i)$  as

$$\begin{aligned}
z(i) &= d(i) - m\_hat(i-1) \\
m\_hat(i) &= m\_hat(i-1) + z(i) * k(i) \\
k(i) &= \frac{e(i-1) + q(i)}{var\_v\_hat(i) + (e(i-1) + q(i))} \\
e(i) &= (1 - k(i)) * (e(i-1) + q(i))
\end{aligned}$$

The variance  $var\_v(i) = E\{v(i)^2\}$  is estimated using an exponential averaging filter, modified for variable sampling rate

$$\begin{aligned}
var\_v\_hat(i) &= \max(\alpha * var\_v\_hat(i-1) + (1-\alpha) * z(i)^2, 1) \\
\alpha &= (1-\chi)^{(30/(1000 * f\_max))}
\end{aligned}$$

where  $f\_max = \max \{1/(T(j) - T(j-1))\}$  for  $j$  in  $i-K+1, \dots, i$  is the highest rate at which the last  $K$  packet groups have been received and  $\chi$  is a filter coefficient typically chosen as a number in the interval  $[0.1, 0.001]$ . Since our assumption that  $v(i)$  should be zero mean WGN is less accurate in some cases, we have introduced an additional outlier filter around the updates of  $var\_v\_hat$ . If  $z(i) > 3*\sqrt{var\_v\_hat}$  the filter is updated with  $3*\sqrt{var\_v\_hat}$  rather than  $z(i)$ . For instance  $v(i)$  will not be white in situations where packets are sent at a higher rate than the channel capacity, in which case they will be queued behind each other.

#### 5.4. Over-use detector

The inter-group delay variation estimate  $m(i)$ , obtained as the output of the arrival-time filter, is compared with a threshold  $del\_var\_th(i)$ . An estimate above the threshold is considered as an indication of over-use. Such an indication is not enough for the detector to signal over-use to the rate control subsystem. A definitive over-use will be signaled only if over-use has been detected for at least `overuse_time_th` milliseconds. However, if  $m(i) < m(i-1)$ , over-use will not be signaled even if all the above conditions are met. Similarly, the opposite state, under-use, is detected when  $m(i) < -del\_var\_th(i)$ . If neither over-use nor under-use is detected, the detector will be in the normal state.

The threshold `del_var_th` has a remarkable impact on the overall dynamics and performance of the algorithm. In particular, it has been shown that using a static threshold `del_var_th`, a flow controlled by the proposed algorithm can be starved by a concurrent TCP flow [Pv13]. This starvation can be avoided by increasing the threshold `del_var_th` to a sufficiently large value.

The reason is that, by using a larger value of `del_var_th`, a larger queuing delay can be tolerated, whereas with a small `del_var_th`, the over-use detector quickly reacts to a small increase in the offset estimate  $m(i)$  by generating an over-use signal that reduces the delay-based estimate of the available bandwidth  $A_{\text{hat}}$  (see Section 4.4). Thus, it is necessary to dynamically tune the threshold `del_var_th` to get good performance in the most common scenarios, such as when competing with loss-based flows.

For this reason, we propose to vary the threshold `del_var_th(i)` according to the following dynamic equation:

$$\text{del\_var\_th}(i) = \text{del\_var\_th}(i-1) + (t(i)-t(i-1)) * K(i) * (|m(i)| - \text{del\_var\_th}(i-1))$$

with  $K(i)=K_d$  if  $|m(i)| < \text{del\_var\_th}(i-1)$  or  $K(i)=K_u$  otherwise. The rationale is to increase `del_var_th(i)` when  $m(i)$  is outside of the range  $[-\text{del\_var\_th}(i-1), \text{del\_var\_th}(i-1)]$ , whereas, when the offset estimate  $m(i)$  falls back into the range, `del_var_th` is decreased. In this way when  $m(i)$  increases, for instance due to a TCP flow entering the same bottleneck, `del_var_th(i)` increases and avoids the uncontrolled generation of over-use signals which may lead to starvation of the flow controlled by the proposed algorithm [Pv13]. Moreover, `del_var_th(i)` SHOULD NOT be updated if this condition holds:

$$|m(i)| - \text{del\_var\_th}(i) > 15$$

It is also RECOMMENDED to clamp `del_var_th(i)` to the range  $[6, 600]$ , since a too small `del_var_th(i)` can cause the detector to become overly sensitive.

On the other hand, when  $m(i)$  falls back into the range  $[-\text{del\_var\_th}(i-1), \text{del\_var\_th}(i-1)]$  the threshold `del_var_th(i)` is decreased so that a lower queuing delay can be achieved.

It is RECOMMENDED to choose  $K_u > K_d$  so that the rate at which `del_var_th` is increased is higher than the rate at which it is decreased. With this setting it is possible to increase the threshold in the case of a concurrent TCP flow and prevent starvation as well as enforcing intra-protocol fairness. RECOMMENDED values for `del_var_th(0)`, `overuse_time_th`,  $K_u$  and  $K_d$  are respectively 12.5 ms, 10 ms, 0.01 and 0.00018.

### 5.5. Rate control

The rate control is split in two parts, one controlling the bandwidth estimate based on delay, and one controlling the bandwidth estimate based on loss. Both are designed to increase the estimate of the available bandwidth  $A_{\hat{}}$  as long as there is no detected congestion and to ensure that we will eventually match the available bandwidth of the channel and detect an over-use.

As soon as over-use has been detected, the available bandwidth estimated by the delay-based controller is decreased. In this way we get a recursive and adaptive estimate of the available bandwidth.

In this document we make the assumption that the rate control subsystem is executed periodically and that this period is constant.

The rate control subsystem has 3 states: Increase, Decrease and Hold. "Increase" is the state when no congestion is detected; "Decrease" is the state where congestion is detected, and "Hold" is a state that waits until built-up queues have drained before going to "increase" state.

The state transitions (with blank fields meaning "remain in state") are:

Signal \ State	Hold	Increase	Decrease
Over-use	Decrease	Decrease	
Normal	Increase		Hold
Under-use		Hold	Hold

The subsystem starts in the increase state, where it will stay until over-use or under-use has been detected by the detector subsystem. On every update the delay-based estimate of the available bandwidth is increased, either multiplicatively or additively, depending on its current state.

The system does a multiplicative increase if the current bandwidth estimate appears to be far from convergence, while it does an additive increase if it appears to be closer to convergence. We assume that we are close to convergence if the currently incoming bitrate,  $R_{\hat{}}(i)$ , is close to an average of the incoming bitrates at

the time when we previously have been in the Decrease state. "Close" is defined as three standard deviations around this average. It is RECOMMENDED to measure this average and standard deviation with an exponential moving average with the smoothing factor 0.95, as it is expected that this average covers multiple occasions at which we are in the Decrease state. Whenever valid estimates of these statistics are not available, we assume that we have not yet come close to convergence and therefore remain in the multiplicative increase state.

If  $R_{\text{hat}}(i)$  increases above three standard deviations of the average max bitrate, we assume that the current congestion level has changed, at which point we reset the average max bitrate and go back to the multiplicative increase state.

$R_{\text{hat}}(i)$  is the incoming bitrate measured by the delay-based controller over a  $T$  seconds window:

$$R_{\text{hat}}(i) = 1/T * \sum(L(j)) \text{ for } j \text{ from } 1 \text{ to } N(i)$$

$N(i)$  is the number of packets received the past  $T$  seconds and  $L(j)$  is the payload size of packet  $j$ . A window between 0.5 and 1 second is RECOMMENDED.

During multiplicative increase, the estimate is increased by at most 8% per second.

$$\begin{aligned} \text{eta} &= 1.08^{\min(\text{time\_since\_last\_update\_ms} / 1000, 1.0)} \\ A_{\text{hat}}(i) &= \text{eta} * A_{\text{hat}}(i-1) \end{aligned}$$

During the additive increase the estimate is increased with at most half a packet per response\_time interval. The response\_time interval is estimated as the round-trip time plus 100 ms as an estimate of over-use estimator and detector reaction time.

$$\begin{aligned} \text{response\_time\_ms} &= 100 + \text{rtt\_ms} \\ \alpha &= 0.5 * \min(\text{time\_since\_last\_update\_ms} / \text{response\_time\_ms}, 1.0) \\ A_{\text{hat}}(i) &= A_{\text{hat}}(i-1) + \max(1000, \alpha * \text{expected\_packet\_size\_bits}) \end{aligned}$$

expected\_packet\_size\_bits is used to get a slightly slower slope for the additive increase at lower bitrates. It can for instance be computed from the current bitrate by assuming a frame rate of 30 frames per second:

$$\begin{aligned} \text{bits\_per\_frame} &= A_{\text{hat}}(i-1) / 30 \\ \text{packets\_per\_frame} &= \text{ceil}(\text{bits\_per\_frame} / (1200 * 8)) \\ \text{avg\_packet\_size\_bits} &= \text{bits\_per\_frame} / \text{packets\_per\_frame} \end{aligned}$$

Since the system depends on over-using the channel to verify the current available bandwidth estimate, we must make sure that our estimate does not diverge from the rate at which the sender is actually sending. Thus, if the sender is unable to produce a bit stream with the bitrate the congestion controller is asking for, the available bandwidth estimate should stay within a given bound. Therefore we introduce a threshold

$$A\_hat(i) < 1.5 * R\_hat(i)$$

When an over-use is detected the system transitions to the decrease state, where the delay-based available bandwidth estimate is decreased to a factor times the currently incoming bitrate.

$$A\_hat(i) = \text{beta} * R\_hat(i)$$

beta is typically chosen to be in the interval [0.8, 0.95], 0.85 is the RECOMMENDED value.

When the detector signals under-use to the rate control subsystem, we know that queues in the network path are being emptied, indicating that our available bandwidth estimate  $A\_hat$  is lower than the actual available bandwidth. Upon that signal the rate control subsystem will enter the hold state, where the receive-side available bandwidth estimate will be held constant while waiting for the queues to stabilize at a lower level - a way of keeping the delay as low as possible. This decrease of delay is wanted, and expected, immediately after the estimate has been reduced due to over-use, but can also happen if the cross traffic over some links is reduced.

It is RECOMMENDED that the routine to update  $A\_hat(i)$  is run at least once every `response_time` interval.

## 5.6. Parameters settings



Parameter	Description	RECOMMENDED Value
burst_time	Time limit in milliseconds between packet bursts which identifies a group	5 ms
q	State noise covariance matrix	$q = 10^{-3}$
e(0)	Initial value of the system error covariance	$e(0) = 0.1$
chi	Coefficient used for the measured noise variance	[0.1, 0.001]
del_var_th(0)	Initial value for the adaptive threshold	12.5 ms
overuse_time_th	Time required to trigger an overuse signal	10 ms
K_u	Coefficient for the adaptive threshold	0.01
K_d	Coefficient for the adaptive threshold	0.00018
T	Time window for measuring the received bitrate	[0.5, 1] s
beta	Decrease rate factor	0.85

Table 1: RECOMMENDED values for delay based controller

Table 1

## 6. Loss-based control

A second part of the congestion controller bases its decisions on the round-trip time, packet loss and available bandwidth estimates  $A_{\text{hat}}$  received from the delay-based controller. The available bandwidth estimates computed by the loss-based controller are denoted with  $As_{\text{hat}}$ .

The available bandwidth estimates  $A_{\text{hat}}$  produced by the delay-based controller are only reliable when the size of the queues along the path sufficiently large. If the queues are very short, over-use will only be visible through packet losses, which are not used by the delay-based controller.

The loss-based controller SHOULD run every time feedback from the receiver is received.

- o If 2-10% of the packets have been lost since the previous report from the receiver, the sender available bandwidth estimate  $As\_hat(i)$  will be kept unchanged.
- o If more than 10% of the packets have been lost a new estimate is calculated as  $As\_hat(i) = As\_hat(i-1)(1-0.5p)$ , where  $p$  is the loss ratio.
- o As long as less than 2% of the packets have been lost  $As\_hat(i)$  will be increased as  $As\_hat(i) = 1.05(As\_hat(i-1))$

The loss-based estimate  $As\_hat$  is compared with the delay-based estimate  $A\_hat$ . The actual sending rate is set as the minimum between  $As\_hat$  and  $A\_hat$ .

We motivate the packet loss thresholds by noting that if the transmission channel has a small amount of packet loss due to over-use, that amount will soon increase if the sender does not adjust his bitrate. Therefore we will soon enough reach above the 10% threshold and adjust  $As\_hat(i)$ . However, if the packet loss ratio does not increase, the losses are probably not related to self-inflicted congestion and therefore we should not react on them.

## 7. Interoperability Considerations

In case a sender implementing these algorithms talks to a receiver which do not implement any of the proposed RTCP messages and RTP header extensions, it is suggested that the sender monitors RTCP receiver reports and uses the fraction of lost packets and the round-trip time as input to the loss-based controller. The delay-based controller should be left disabled.

## 8. Implementation Experience

This algorithm has been implemented in the open-source WebRTC project, has been in use in Chrome since M23, and is being used by Google Hangouts.

Deployment of the algorithm have revealed problems related to, e.g, congested or otherwise problematic WiFi networks, which have led to algorithm improvements. The algorithm has also been tested in a multi-party conference scenario with a conference server which terminates the congestion control between endpoints. This ensures that no assumptions are being made by the congestion control about maximum send and receive bitrates, etc., which typically is out of control for a conference server.

## 9. Further Work

This draft is offered as input to the congestion control discussion.

Work that can be done on this basis includes:

- o Considerations of integrated loss control: How loss and delay control can be better integrated, and the loss control improved.
- o Considerations of locus of control: evaluate the performance of having all congestion control logic at the sender, compared to splitting logic between sender and receiver.
- o Considerations of utilizing ECN as a signal for congestion estimation and link over-use detection.

## 10. IANA Considerations

This document makes no request of IANA.

Note to RFC Editor: this section may be removed on publication as an RFC.

## 11. Security Considerations

An attacker with the ability to insert or remove messages on the connection would have the ability to disrupt rate control. This could make the algorithm to produce either a sending rate under-utilizing the bottleneck link capacity, or a too high sending rate causing network congestion.

In this case, the control information is carried inside RTP, and can be protected against modification or message insertion using SRTP, just as for the media. Given that timestamps are carried in the RTP header, which is not encrypted, this is not protected against disclosure, but it seems hard to mount an attack based on timing information only.

## 12. Acknowledgements

Thanks to Randell Jesup, Magnus Westerlund, Varun Singh, Tim Panton, Soo-Hyun Choo, Jim Gettys, Ingemar Johansson, Michael Welzl and others for providing valuable feedback on earlier versions of this draft.

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## Appendix A. Change log

### A.1. Version -00 to -01

- o Added change log
- o Added appendix outlining new extensions
- o Added a section on when to send feedback to the end of section 3.3 "Rate control", and defined min/max FB intervals.

- o Added size of over-bandwidth estimate usage to "further work" section.
- o Added startup considerations to "further work" section.
- o Added sender-delay considerations to "further work" section.
- o Filled in acknowledgments section from mailing list discussion.

#### A.2. Version -01 to -02

- o Defined the term "frame", incorporating the transmission time offset into its definition, and removed references to "video frame".
- o Referred to "m(i)" from the text to make the derivation clearer.
- o Made it clearer that we modify our estimates of available bandwidth, and not the true available bandwidth.
- o Removed the appendixes outlining new extensions, added pointers to REMB draft and RFC 5450.

#### A.3. Version -02 to -03

- o Added a section on how to process multiple streams in a single estimator using RTP timestamps to NTP time conversion.
- o Stated in introduction that the draft is aimed at the RMCAT working group.

#### A.4. rtcweb-03 to rmcatt-00

Renamed draft to link the draft name to the RMCAT WG.

#### A.5. rmcatt -00 to -01

Spellcheck. Otherwise no changes, this is a "keepalive" release.

#### A.6. rmcatt -01 to -02

- o Added Luca De Cicco and Saverio Mascolo as authors.
- o Extended the "Over-use detector" section with new technical details on how to dynamically tune the offset `del_var_th` for improved fairness properties.

- o Added reference to a paper analyzing the behavior of the proposed algorithm.

A.7. rmcats -02 to -03

- o Swapped receiver-side/sender-side controller with delay-based/loss-based controller as there is no longer a requirement to run the delay-based controller on the receiver-side.
- o Removed the discussion about multiple streams and transmission time offsets.
- o Introduced a new section about "Feedback and extensions".
- o Improvements to the threshold adaptation in the "Over-use detector" section.
- o Swapped the previous MIMD rate control algorithm for a new AIMD rate control algorithm.

A.8. ietf-rmcats -00 to ietf-rmcats -01

- o Arrival-time filter converted from a two dimensional Kalman filter to a scalar Kalman filter.
- o The use of the TFRC equation was removed from the loss-based controller, as it turned out to have little to no effect in practice.

A.9. ietf-rmcats -01 to ietf-rmcats -02

- o Added a section which better describes the pre-filtering algorithm.

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NADA: A Unified Congestion Control Scheme for Real-Time Media  
draft-ietf-rmcat-nada-01

Abstract

This document describes NADA (network-assisted dynamic adaptation), a novel congestion control scheme for interactive real-time media applications, such as video conferencing. In the proposed scheme, the sender regulates its sending rate based on either implicit or explicit congestion signaling, in a unified approach. The scheme can benefit from explicit congestion notification (ECN) markings from network nodes. It also maintains consistent sender behavior in the absence of such markings, by reacting to queuing delays and packet losses instead.

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## 1. Introduction

Interactive real-time media applications introduce a unique set of challenges for congestion control. Unlike TCP, the mechanism used for real-time media needs to adapt quickly to instantaneous bandwidth changes, accommodate fluctuations in the output of video encoder rate control, and cause low queuing delay over the network. An ideal scheme should also make effective use of all types of congestion signals, including packet loss, queuing delay, and explicit congestion notification (ECN) [RFC3168] markings. The requirements for the congestion control algorithm are outlined in [I-D.ietf-rmcat-cc-requirements].

This document describes an experimental congestion control scheme called network-assisted dynamic adaptation (NADA). The NADA design benefits from explicit congestion control signals (e.g., ECN markings) from the network, yet also operates when only implicit congestion indicators (delay and/or loss) are available. In addition, it supports weighted bandwidth sharing among competing video flows. The signaling mechanism consists of standard RTP timestamp [RFC3550] and standard RTCP feedback reports.

## 2. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described [RFC2119].

## 3. System Overview

Figure 1 shows the end-to-end system for real-time media transport that NADA operates in.

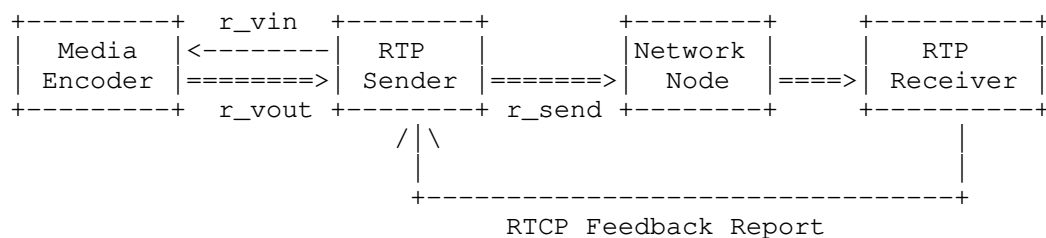


Figure 1: System Overview

- o Media encoder with rate control capabilities. It encodes the source media stream into an RTP stream with target bit rate  $r_{vin}$ . The actual output rate from the encoder  $r_{vout}$  may fluctuate around the target  $r_{vin}$ . In addition, the encoder can only change its bit rate at rather coarse time intervals, e.g., once every 0.5 seconds.
- o RTP sender: responsible for calculating the NADA reference rate based on network congestion indicators (delay, loss, or ECN marking reports from the receiver), for updating the video encoder with a new target rate  $r_{vin}$ , and for regulating the actual sending rate  $r_{send}$  accordingly. The RTP sender also provides an RTP timestamp for each outgoing packet.
- o RTP receiver: responsible for measuring and estimating end-to-end delay based on sender RTP timestamp, packet loss and ECN marking ratios, as well as receiving rate ( $r_{recv}$ ) of the flow. It calculates the aggregated congestion signal ( $x_n$ ) that accounts for queuing delay, ECN marking, and packet losses, and determines the mode for sender rate adaptation ( $rmode$ ) based on whether the flow has encountered any standing non-zero congestion. The receiver sends periodic RTCP reports back to the sender, containing values of  $x_n$ ,  $rmode$ , and  $r_{recv}$ .
- o Network node with several modes of operation. The system can work with the default behavior of a simple drop tail queue. It can also benefit from advanced AQM features such as PIE, FQ-CoDel, RED-based ECN marking, and PCN marking using a token bucket algorithm. Note that network node operation is out of scope for the design of NADA.

#### 4. Core Congestion Control Algorithm

Like TCP-Friendly Rate Control (TFRC) [Floyd-CCR00] [RFC5348], NADA is a rate-based congestion control algorithm. In its simplest form, the sender reacts to the collection of network congestion indicators in the form of an aggregated congestion signal, and operates in one of two modes:

- o Accelerated ramp-up: when the bottleneck is deemed to be underutilized, the rate increases multiplicatively with respect to the rate of previously successful transmissions. The rate increase multiplier ( $\gamma$ ) is calculated based on observed round-trip-time and target feedback interval, so as to limit self-inflicted queuing delay.

- o Gradual rate update: in the presence of non-zero aggregate congestion signal, the sending rate is adjusted in reaction to both its value ( $x_n$ ) and its change in value ( $x_{diff}$ ).

This section introduces the list of mathematical notations and describes the core congestion control algorithm at the sender and receiver, respectively. Additional details on recommended practical implementations are described in Section 5.1 and Section 5.2.

#### 4.1. Mathematical Notations

This section summarizes the list of variables and parameters used in the NADA algorithm.

Notation	Variable Name
$t_{curr}$	Current timestamp
$t_{last}$	Last time sending/receiving a feedback
$\delta$	Observed interval between current and previous feedback reports: $\delta = t_{curr} - t_{last}$
$r_n$	Reference rate based on network congestion
$r_{send}$	Sending rate
$r_{recv}$	Receiving rate
$r_{vin}$	Target rate for video encoder
$r_{vout}$	Output rate from video encoder
$d_{base}$	Estimated baseline delay
$d_{fwd}$	Measured and filtered one-way delay
$d_n$	Estimated queueing delay
$d_{tilde}$	Equivalent delay after non-linear warping
$p_{mark}$	Estimated packet ECN marking ratio
$p_{loss}$	Estimated packet loss ratio
$x_n$	Aggregate congestion signal
$x_{prev}$	Previous value of aggregate congestion signal
$x_{diff}$	Change in aggregate congestion signal w.r.t. its previous value: $x_{diff} = x_n - x_{prev}$
$rmode$	Rate update mode: (0 = accelerated ramp-up; 1 = gradual update)
$\gamma$	Rate increase multiplier in accelerated ramp-up mode
$rtt$	Estimated round-trip-time at sender
$buffer_{len}$	Rate shaping buffer occupancy measured in bytes

Figure 2: List of variables.

Notation	Parameter Name	Default Value
PRIO	Weight of priority of the flow	1.0
RMIN	Minimum rate of application supported by media encoder	150 Kbps
RMAX	Maximum rate of application supported by media encoder	1.5 Mbps
X_REF	Reference congestion level	20ms
KAPPA	Scaling parameter for gradual rate update calculation	0.5
ETA	Scaling parameter for gradual rate update calculation	2.0
TAU	Upper bound of RTT in gradual rate update calculation	500ms
DELTA	Target feedback interval	100ms
LOGWIN	Observation window in time for calculating packet summary statistics at receiver	500ms
QEPS	Threshold for determining queuing delay build up at receiver	10ms
QTH	Delay threshold for non-linear warping	100ms
QMAX	Delay upper bound for non-linear warping	400ms
DLOSS	Delay penalty for loss	1.0s
DMARK	Delay penalty for ECN marking	200ms
GAMMA_MAX	Upper bound on rate increase ratio for accelerated ramp-up	20%
QBOUND	Upper bound on self-inflicted queuing delay during ramp up	50ms
FPS	Frame rate of incoming video	30
BETA_S	Scaling parameter for modulating outgoing sending rate	0.1
BETA_V	Scaling parameter for modulating video encoder target rate	0.1
ALPHA	Smoothing factor in exponential smoothing of packet loss and marking ratios	0.1

Figure 3: List of algorithm parameters.

#### 4.2. Receiver-Side Algorithm

The receiver-side algorithm can be outlined as below:

On initialization:

- set  $d_{base} = +INFINITY$
- set  $p_{loss} = 0$
- set  $p_{mark} = 0$
- set  $r_{recv} = 0$
- set both  $t_{last}$  and  $t_{curr}$  as current time

On receiving a media packet:

- obtain current timestamp  $t_{curr}$
- obtain from packet header sending time stamp  $t_{sent}$
- obtain one-way delay measurement:  $d_{fwd} = t_{curr} - t_{sent}$
- update baseline delay:  $d_{base} = \min(d_{base}, d_{fwd})$
- update queuing delay:  $d_n = d_{fwd} - d_{base}$
- update packet loss ratio estimate  $p_{loss}$
- update packet marking ratio estimate  $p_{mark}$
- update measurement of receiving rate  $r_{recv}$

On time to send a new feedback report ( $t_{curr} - t_{last} > \Delta$ ):

- calculate non-linear warping of delay  $d_{tilde}$  if packet loss exists
- calculate aggregate congestion signal  $x_n$
- determine mode of rate adaptation for sender:  $r_{mode}$
- send RTCP feedback report containing values of:  $r_{mode}$ ,  $x_n$ , and  $r_{recv}$
- update  $t_{last} = t_{curr}$

In order for a delay-based flow to hold its ground when competing against loss-based flows (e.g., loss-based TCP), it is important to distinguish between different levels of observed queuing delay. For instance, a moderate queuing delay value below 100ms is likely self-inflicted or induced by other delay-based flows, whereas a high queuing delay value of several hundreds of milliseconds may indicate the presence of a loss-based flow that does not refrain from increased delay.

When packet losses are observed, the estimated queuing delay follows a non-linear warping inspired by the delay-adaptive congestion window backoff policy in [Budzisz-TON11]:

$$d\_tilde = \begin{cases} d\_n, & \text{if } d\_n < QTH; \\ QTH \frac{(QMAX - d\_n)^4}{(QMAX - QTH)^4}, & \text{if } QTH < d\_n < QMAX \\ 0, & \text{otherwise.} \end{cases} \quad (1)$$

Here, the queuing delay value is unchanged when it is below the first threshold  $QTH$ ; it is scaled down following a non-linear curve when its value falls between  $QTH$  and  $QMAX$ ; above  $QMAX$ , the high queuing delay value no longer counts toward congestion control.

The aggregate congestion signal is:

$$x\_n = d\_tilde + p\_mark * DMARK + p\_loss * DLOSS. \quad (2)$$

Here,  $DMARK$  is prescribed delay penalty associated with ECN markings and  $DLOSS$  is prescribed delay penalty associated with packet losses. The value of  $DLOSS$  and  $DMARK$  does not depend on configurations at the network node, but does assume that ECN markings, when available, occur before losses. Furthermore, the values of  $DLOSS$  and  $DMARK$  need to be set consistently across all NADA flows for them to compete fairly.

In the absence of packet marking and losses, the value of  $x\_n$  reduces to the observed queuing delay  $d\_n$ . In that case the NADA algorithm operates in the regime of delay-based adaptation.

Given observed per-packet delay and loss information, the receiver is also in a good position to determine whether the network is underutilized and recommend the corresponding rate adaptation mode for the sender. The criteria for operating in accelerated ramp-up mode are:

- o No recent packet losses within the observation window  $LOGWIN$ ; and
- o No build-up of queuing delay:  $d\_fwd - d\_base < QEPS$  for all previous delay samples within the observation window  $LOGWIN$ .

Otherwise the algorithm operates in graduate update mode.

#### 4.3. Sender-Side Algorithm

The sender-side algorithm is outlined as follows:

```

on initialization:
  set r_n = RMIN
  set rtt = 0
  set x_prev = 0
  set t_last and t_curr as current time

on receiving feedback report:
  obtain current timestamp: t_curr
  obtain values of rmode, x_n, and r_recv from feedback report
  update estimation of rtt
  measure feedback interval: delta = t_curr - t_last
  if rmode == 0:
    update r_n following accelerated ramp-up rules
  else:
    update r_n following gradual update rules
    clip rate r_n within the range of [RMIN, RMAX]
    x_prev = x_n
    t_last = t_curr

```

In accelerated ramp-up mode, the rate  $r_n$  is updated as follows:

$$\text{gamma} = \min(\text{GAMMA\_MAX}, \frac{\text{QBOUND}}{\text{rtt} + \text{DELTA}}) \quad (3)$$

$$r_n = (1 + \text{gamma}) r_{\text{recv}} \quad (4)$$

The rate increase multiplier  $\text{gamma}$  is calculated as a function of upper bound of self-inflicted queuing delay (QBOUND), round-trip-time (rtt), and target feedback interval DELTA. It has a maximum value of GAMMA\_MAX. The rationale behind (3)-(4) is that the longer it takes for the sender to observe self-inflicted queuing delay build-up, the more conservative the sender should be in increasing its rate, hence the smaller the rate increase multiplier.

In gradual update mode, the rate  $r_n$  is updated as:



$$x\_offset = x\_n - \text{PRIO} * X\_REF * RMAX / r\_n \quad (5)$$

$$x\_diff = x\_n - x\_prev \quad (6)$$

$$r\_n = r\_n - KAPPA * \frac{\text{delta}}{\text{TAU}} * \frac{x\_offset}{\text{TAU}} * r\_n - KAPPA * \text{ETA} * \frac{x\_diff}{\text{TAU}} * r\_n \quad (7)$$

The rate changes in proportion to the previous rate decision. It is affected by two terms: offset of the aggregate congestion signal from its value at equilibrium ( $x\_offset$ ) and its change ( $x\_diff$ ). Calculation of  $x\_offset$  depends on maximum rate of the flow ( $RMAX$ ), its weight of priority ( $PRIO$ ), as well as a reference congestion signal ( $X\_REF$ ). The value of  $X\_REF$  is chosen that the maximum rate of  $RMAX$  can be achieved when the observed congestion signal level is below  $PRIO * X\_REF$ .

At equilibrium, the aggregated congestion signal stabilizes at  $x\_n = PRIO * X\_REF * RMAX / r\_n$ . This ensures that when multiple flows share the same bottleneck and observe a common value of  $x\_n$ , their rates at equilibrium will be proportional to their respective priority levels ( $PRIO$ ) and maximum rate ( $RMAX$ ).

As mentioned in the sender-side algorithm, the final rate is clipped within the dynamic range specified by the application:

$$r\_n = \min(r\_n, RMAX) \quad (8)$$

$$r\_n = \max(r\_n, RMIN) \quad (9)$$

The above operations ignore many practical issues such as clock synchronization between sender and receiver, filtering of noise in delay measurements, and base delay expiration. These will be addressed in later sections describing practical implementation of the NADA algorithm.

## 5. Practical Implementation of NADA

### 5.1. Receiver-Side Operation

The receiver continuously monitors end-to-end per-packet statistics in terms of delay, loss, and/or ECN marking ratios. It then aggregates all forms of congestion indicators into the form of an equivalent delay and periodically reports this back to the sender.

In addition, the receiver tracks the receiving rate of the flow and includes that in the feedback message.

#### 5.1.1. Estimation of one-way delay and queuing delay

The delay estimation process in NADA follows a similar approach as in earlier delay-based congestion control schemes, such as LEDBAT [RFC6817]. NADA estimates the forward delay as having a constant base delay component plus a time varying queuing delay component. The base delay is estimated as the minimum value of one-way delay observed over a relatively long period (e.g., tens of minutes), whereas the individual queuing delay value is taken to be the difference between one-way delay and base delay.

The individual sample values of queuing delay should be further filtered against various non-congestion-induced noise, such as spikes due to processing "hiccup" at the network nodes. Current implementation employs a 15-tab minimum filter over per-packet queuing delay estimates.

#### 5.1.2. Estimation of packet loss/marketing ratio

The receiver detects packet losses via gaps in the RTP sequence numbers of received packets. Packets arriving out-of-order are discarded, and count towards losses. The instantaneous packet loss ratio  $p_{inst}$  is estimated as the ratio between the number of missing packets over the number of total transmitted packets within the recent observation window LOGWIN. The packet loss ratio  $p_{loss}$  is obtained after exponential smoothing:

$$p_{loss} = \text{ALPHA} * p_{inst} + (1 - \text{ALPHA}) * p_{loss}. \quad (10)$$

The filtered result is reported back to the sender as the observed packet loss ratio  $p_{loss}$ .

Estimation of packet marking ratio  $p_{mark}$  follows the same procedure as above. It is assumed that ECN marking information at the IP header can be passed to the transport layer by the receiving endpoint.

#### 5.1.3. Estimation of receiving rate

It is fairly straightforward to estimate the receiving rate  $r_{recv}$ . NADA maintains a recent observation window with time span of LOGWIN, and simply divides the total size of packets arriving during that window over the time span. The receiving rate ( $r_{recv}$ ) is included as part of the feedback report.

## 5.2. Sender-Side Operation

Figure 4 provides a detailed view of the NADA sender. Upon receipt of an RTCP feedback report from the receiver, the NADA sender calculates the reference rate  $r_n$  as specified in Section 4.3. It further adjusts both the target rate for the live video encoder  $r_{vin}$  and the sending rate  $r_{send}$  over the network based on the updated value of  $r_n$  and rate shaping buffer occupancy  $buffer\_len$ .

The NADA sender behavior stays the same in the presence of all types of congestion indicators: delay, loss, and ECN marking. This unified approach allows a graceful transition of the scheme as the network shifts dynamically between light and heavy congestion levels.

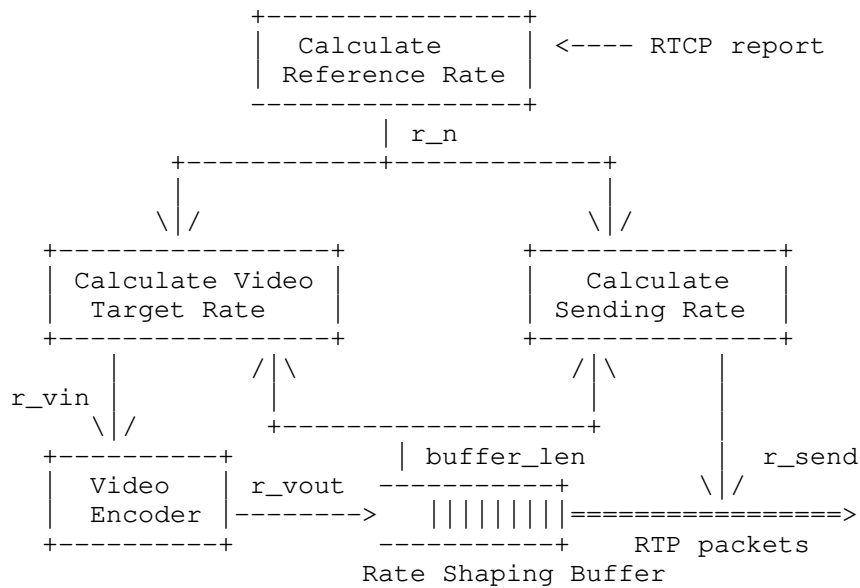


Figure 4: NADA Sender Structure

### 5.2.1. Rate shaping buffer

The operation of the live video encoder is out of the scope of the design for the congestion control scheme in NADA. Instead, its behavior is treated as a black box.

A rate shaping buffer is employed to absorb any instantaneous mismatch between encoder rate output  $r_{vout}$  and regulated sending rate  $r_{send}$ . Its current level of occupancy is measured in bytes and is denoted as  $buffer\_len$ .

A large rate shaping buffer contributes to higher end-to-end delay, which may harm the performance of real-time media communications. Therefore, the sender has a strong incentive to prevent the rate shaping buffer from building up. The mechanisms adopted are:

- o To deplete the rate shaping buffer faster by increasing the sending rate  $r_{\text{send}}$ ; and
- o To limit incoming packets of the rate shaping buffer by reducing the video encoder target rate  $r_{\text{vin}}$ .

#### 5.2.2. Adjusting video target rate and sending rate

The target rate for the live video encoder deviates from the network congestion control rate  $r_n$  based on the level of occupancy in the rate shaping buffer:

$$r_{\text{vin}} = r_n - \text{BETA\_V} * 8 * \text{buffer\_len} * \text{FPS}. \quad (11)$$

The actual sending rate  $r_{\text{send}}$  is regulated in a similar fashion:

$$r_{\text{send}} = r_n + \text{BETA\_S} * 8 * \text{buffer\_len} * \text{FPS}. \quad (12)$$

In (11) and (12), the first term indicates the rate calculated from network congestion feedback alone. The second term indicates the influence of the rate shaping buffer. A large rate shaping buffer nudges the encoder target rate slightly below -- and the sending rate slightly above -- the reference rate  $r_n$ .

Intuitively, the amount of extra rate offset needed to completely drain the rate shaping buffer within the duration of a single video frame is given by  $8 * \text{buffer\_len} * \text{FPS}$ , where FPS stands for the frame rate of the video. The scaling parameters BETA\_V and BETA\_S can be tuned to balance between the competing goals of maintaining a small rate shaping buffer and deviating the system from the reference rate point.

## 6. Discussions and Further Investigations

### 6.1. Choice of delay metrics

The current design works with relative one-way-delay (OWD) as the main indication of congestion. The value of the relative OWD is obtained by maintaining the minimum value of observed OWD over a relatively long time horizon and subtract that out from the observed absolute OWD value. Such an approach cancels out the fixed difference between the sender and receiver clocks. It has been widely adopted by other delay-based congestion control approaches

such as [RFC6817]. As discussed in [RFC6817], the time horizon for tracking the minimum OWD needs to be chosen with care: it must be long enough for an opportunity to observe the minimum OWD with zero queuing delay along the path, and sufficiently short so as to timely reflect "true" changes in minimum OWD introduced by route changes and other rare events.

The potential drawback in relying on relative OWD as the congestion signal is that when multiple flows share the same bottleneck, the flow arriving late at the network experiencing a non-empty queue may mistakenly consider the standing queuing delay as part of the fixed path propagation delay. This will lead to slightly unfair bandwidth sharing among the flows.

Alternatively, one could move the per-packet statistical handling to the sender instead and use relative round-trip-time (RTT) in lieu of relative OWD, assuming that per-packet acknowledgements are available. The main drawback of RTT-based approach is the noise in the measured delay in the reverse direction.

Note that the choice of either delay metric (relative OWD vs. RTT) involves no change in the proposed rate adaptation algorithm. Therefore, comparing the pros and cons regarding which delay metric to adopt can be kept as an orthogonal direction of investigation.

#### 6.2. Method for delay, loss, and marking ratio estimation

Like other delay-based congestion control schemes, performance of NADA depends on the accuracy of its delay measurement and estimation module. Appendix A in [RFC6817] provides an extensive discussion on this aspect.

The current recommended practice of simply applying a 15-tab minimum filter suffices in guarding against processing delay outliers observed in wired connections. For wireless connections with a higher packet delay variation (PDV), more sophisticated techniques on de-noising, outlier rejection, and trend analysis may be needed.

More sophisticated methods in packet loss ratio calculation, such as that adopted by [Floyd-CCR00], will likely be beneficial. These alternatives are currently under investigation.

#### 6.3. Impact of parameter values

In the gradual rate update mode, the parameter TAU indicates the upper bound of round-trip-time (RTT) in feedback control loop. Typically, the observed feedback interval delta is close to the target feedback interval DELTA, and the relative ratio of delta/TAU

versus ETA dictates the relative strength of influence from the aggregate congestion signal offset term ( $x_{\text{offset}}$ ) versus its recent change ( $x_{\text{diff}}$ ), respectively. These two terms are analogous to the integral and proportional terms in a proportional-integral (PI) controller. The recommended choice of  $\text{TAU}=500\text{ms}$ ,  $\text{DELTA}=100\text{ms}$  and  $\text{ETA} = 2.0$  corresponds to a relative ratio of 1:10 between the gains of the integral and proportional terms. Consequently, the rate adaptation is mostly driven by the change in the congestion signal with a long-term shift towards its equilibrium value driven by the offset term. Finally, the scaling parameter  $\text{KAPPA}$  determines the overall speed of the adaptation and needs to strike a balance between responsiveness and stability.

The choice of the target feedback interval  $\text{DELTA}$  needs to strike the right balance between timely feedback and low RTCP feedback message counts. A target feedback interval of  $\text{DELTA}=100\text{ms}$  is recommended, corresponding to a feedback bandwidth of 16Kbps with 200 bytes per feedback message --- less than 0.1% overhead for a 1 Mbps flow. Furthermore, both simulation studies and frequency-domain analysis have established that a feedback interval below 250ms will not break up the feedback control loop of NADA congestion control.

In calculating the non-linear warping of delay in (1), the current design uses fixed values of  $Q_{\text{TH}}$  and  $Q_{\text{MAX}}$ . It is possible to adapt the value of both based on past observations of queuing delay in the presence of packet losses.

In calculating the aggregate congestion signal  $x_n$ , the choice of  $\text{DMARK}$  and  $\text{DLOSS}$  influence the steady-state packet loss/marketing ratio experienced by the flow at a given available bandwidth. Higher values of  $\text{DMARK}$  and  $\text{DLOSS}$  result in lower steady-state loss/marketing ratios, but are more susceptible to the impact of individual packet loss/marketing events. While the value of  $\text{DMARK}$  and  $\text{DLOSS}$  are fixed and predetermined in the current design, a scheme for automatically tuning these values based on desired bandwidth sharing behavior in the presence of other competing loss-based flows (e.g., loss-based TCP) is under investigation.

[Editor's note: Choice of start value: is this in scope of congestion control, or should this be decided by the application?]

#### 6.4. Sender-based vs. receiver-based calculation

In the current design, the aggregated congestion signal  $x_n$  is calculated at the receiver, keeping the sender operation completely independent of the form of actual network congestion indications (delay, loss, or marking). Alternatively, one can move the logics of (1) and (2) to the sender. Such an approach requires slightly higher

overhead in the feedback messages, which should contain individual fields on queuing delay (`d_n`), packet loss ratio (`p_loss`), packet marking ratio (`p_mark`), receiving rate (`r_recv`), and recommended rate adaptation mode (`rmode`).

#### 6.5. Incremental deployment

One nice property of NADA is the consistent video endpoint behavior irrespective of network node variations. This facilitates gradual, incremental adoption of the scheme.

To start off with, the proposed congestion control mechanism can be implemented without any explicit support from the network, and relies solely on observed one-way delay measurements and packet loss ratios as implicit congestion signals.

When ECN is enabled at the network nodes with RED-based marking, the receiver can fold its observations of ECN markings into the calculation of the equivalent delay. The sender can react to these explicit congestion signals without any modification.

Ultimately, networks equipped with proactive marking based on token bucket level metering can reap the additional benefits of zero standing queues and lower end-to-end delay and work seamlessly with existing senders and receivers.

#### 7. Implementation Status

The NADA scheme has been implemented in [ns-2] and [ns-3] simulation platforms. Extensive ns-2 simulation evaluations of an earlier version of the draft are documented in [Zhu-PV13]. Evaluation results of the current draft over several test cases in [I-D.ietf-rmcat-eval-test] have been presented at recent IETF meetings [IETF-90][IETF-91].

The scheme has also been implemented and evaluated in a lab setting as described in [IETF-90]. Preliminary evaluation results of NADA in single-flow and multi-flow scenarios have been presented in [IETF-91].

#### 8. IANA Considerations

This document makes no request of IANA.

## 9. Acknowledgements

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## Appendix A. Network Node Operations

NADA can work with different network queue management schemes and does not assume any specific network node operation. As an example, this appendix describes three variants of queue management behavior at the network node, leading to either implicit or explicit congestion signals.

In all three flavors described below, the network queue operates with the simple first-in-first-out (FIFO) principle. There is no need to maintain per-flow state. The system can scale easily with a large number of video flows and at high link capacity.

### A.1. Default behavior of drop tail queues

In a conventional network with drop tail or RED queues, congestion is inferred from the estimation of end-to-end delay and/or packet loss. Packet drops at the queue are detected at the receiver, and contributes to the calculation of the aggregated congestion signal  $x_n$ . No special action is required at network node.

### A.2. RED-based ECN marking

In this mode, the network node randomly marks the ECN field in the IP packet header following the Random Early Detection (RED) algorithm [RFC2309]. Calculation of the marking probability involves the following steps:

```

on packet arrival:
  update smoothed queue size q_avg as:
    q_avg = w*q + (1-w)*q_avg.

  calculate marking probability p as:

    / 0,                                if q < q_lo;
    |
    |      q_avg - q_lo
    |      -----, if q_lo <= q < q_hi;
    |      q_hi - q_lo
p = <
    |
    \ p = 1,                            if q >= q_hi.

```

Here,  $q_{lo}$  and  $q_{hi}$  corresponds to the low and high thresholds of queue occupancy. The maximum marking probability is  $p_{max}$ .

The ECN markings events will contribute to the calculation of an equivalent delay  $x_n$  at the receiver. No changes are required at the sender.

### A.3. Random Early Marking with Virtual Queues

Advanced network nodes may support random early marking based on a token bucket algorithm originally designed for Pre-Congestion Notification (PCN) [RFC6660]. The early congestion notification (ECN) bit in the IP header of packets are marked randomly. The marking probability is calculated based on a token-bucket algorithm originally designed for the Pre-Congestion Notification (PCN) [RFC6660]. The target link utilization is set as 90%; the marking probability is designed to grow linearly with the token bucket size when it varies between 1/3 and 2/3 of the full token bucket limit.

```

* upon packet arrival, meter packet against token bucket (r,b);
* update token level b_tk;
* calculate the marking probability as:

```

```

    / 0,                                if b-b_tk < b_lo;
    |
    |      b-b_tk-b_lo
    |      -----, if b_lo<= b-b_tk <b_hi;
    |      b_hi-b_lo
p = <
    |
    \ 1,                            if b-b_tk>=b_hi.

```

Here, the token bucket lower and upper limits are denoted by  $b_{lo}$  and  $b_{hi}$ , respectively. The parameter  $b$  indicates the size of the token bucket. The parameter  $r$  is chosen to be below capacity, resulting in slight under-utilization of the link. The maximum marking probability is  $p_{max}$ .

The ECN markings events will contribute to the calculation of an equivalent delay  $x_n$  at the receiver. No changes are required at the sender. The virtual queuing mechanism from the PCN-based marking algorithm will lead to additional benefits such as zero standing queues.

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NADA: A Unified Congestion Control Scheme for Real-Time Media  
draft-ietf-rmcat-nada-13

## Abstract

This document describes NADA (network-assisted dynamic adaptation), a novel congestion control scheme for interactive real-time media applications, such as video conferencing. In the proposed scheme, the sender regulates its sending rate based on either implicit or explicit congestion signaling, in a unified approach. The scheme can benefit from explicit congestion notification (ECN) markings from network nodes. It also maintains consistent sender behavior in the absence of such markings, by reacting to queuing delays and packet losses instead.

## Status of This Memo

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## 1. Introduction

Interactive real-time media applications introduce a unique set of challenges for congestion control. Unlike TCP, the mechanism used for real-time media needs to adapt quickly to instantaneous bandwidth changes, accommodate fluctuations in the output of video encoder rate control, and cause low queuing delay over the network. An ideal scheme should also make effective use of all types of congestion signals, including packet loss, queuing delay, and explicit congestion notification (ECN) [RFC3168] markings. The requirements for the congestion control algorithm are outlined in [I-D.ietf-rmcat-cc-requirements]. It highlights that the desired congestion control scheme should avoid flow starvation and attain a reasonable fair share of bandwidth when competing against other flows, adapt quickly, and operate in a stable manner.

This document describes an experimental congestion control scheme called network-assisted dynamic adaptation (NADA). The design of NADA benefits from explicit congestion control signals (e.g., ECN markings) from the network, yet also operates when only implicit congestion indicators (delay and/or loss) are available. Such a unified sender behavior distinguishes NADA from other congestion control schemes for real-time media. In addition, its core congestion control algorithm is designed to guarantee stability for path round-trip-times (RTTs) below a prescribed bound (e.g., 250ms with default parameter choices). It further supports weighted bandwidth sharing among competing video flows with different priorities. The signaling mechanism consists of standard RTP timestamp [RFC3550] and RTCP feedback reports. The definition of the desired RTCP feedback message is described in detail in [I-D.ietf-avtcore-cc-feedback-message] so as to support the successful operation of several congestion control schemes for real-time interactive media.

## 2. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "NOT RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in BCP 14 [RFC2119] [RFC8174] when, and only when, they appear in all capitals, as shown here.

## 3. System Overview

Figure 1 shows the end-to-end system for real-time media transport that NADA operates in. Note that there also exist network nodes along the reverse (potentially uncongested) path that the RTCP



feedback reports traverse. Those network nodes are not shown in the figure for sake of brevity.

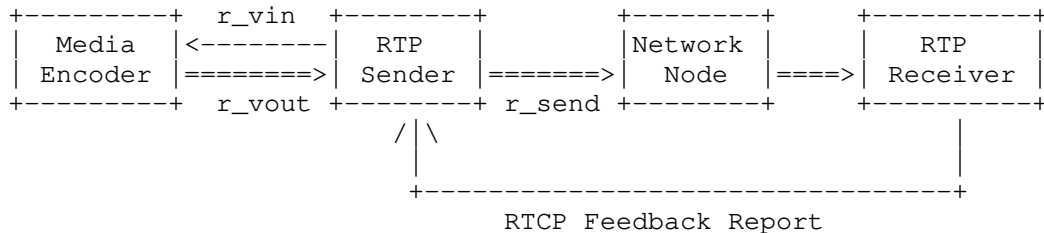


Figure 1: System Overview

- o Media encoder with rate control capabilities. It encodes raw media (audio and video) frames into a compressed bitstream which is later packetized into RTP packets. As discussed in [RFC8593], the actual output rate from the encoder `r_vout` may fluctuate around the target `r_vin`. Furthermore, it is possible that the encoder can only react to bit rate changes at rather coarse time intervals, e.g., once every 0.5 seconds.
- o RTP sender: responsible for calculating the NADA reference rate based on network congestion indicators (delay, loss, or ECN marking reports from the receiver), for updating the video encoder with a new target rate `r_vin`, and for regulating the actual sending rate `r_send` accordingly. The RTP sender also generates a sending timestamp for each outgoing packet.
- o RTP receiver: responsible for measuring and estimating end-to-end delay (based on sender timestamp), packet loss (based on RTP sequence number), ECN marking ratios (based on [RFC6679]), and receiving rate (`r_rcv`) of the flow. It calculates the aggregated congestion signal (`x_curr`) that accounts for queuing delay, ECN markings, and packet losses. The receiver also determines the mode for sender rate adaptation (`rmode`) based on whether the flow has encountered any standing non-zero congestion. The receiver sends periodic RTCP reports back to the sender, containing values of `x_curr`, `rmode`, and `r_rcv`.
- o Network node with several modes of operation. The system can work with the default behavior of a simple drop tail queue. It can also benefit from advanced AQM features such as PIE [RFC8033], FQ-CoDel [RFC8290], ECN marking based on RED [RFC7567], and PCN marking using a token bucket algorithm ([RFC6660]). Note that network node operation is out of control for the design of NADA.

#### 4. Core Congestion Control Algorithm

Like TCP-Friendly Rate Control (TFRC) [Floyd-CCR00] [RFC5348], NADA is a rate-based congestion control algorithm. In its simplest form, the sender reacts to the collection of network congestion indicators in the form of an aggregated congestion signal, and operates in one of two modes:

- o Accelerated ramp-up: when the bottleneck is deemed to be underutilized, the rate increases multiplicatively with respect to the rate of previously successful transmissions. The rate increase multiplier ( $\gamma$ ) is calculated based on observed round-trip-time and target feedback interval, so as to limit self-inflicted queuing delay.
- o Gradual rate update: in the presence of non-zero aggregate congestion signal, the sending rate is adjusted in reaction to both its value ( $x_{curr}$ ) and its change in value ( $x_{diff}$ ).

This section introduces the list of mathematical notations and describes the core congestion control algorithm at the sender and receiver, respectively. Additional details on recommended practical implementations are described in Section 5.1 and Section 5.2.

##### 4.1. Mathematical Notations

This section summarizes the list of variables and parameters used in the NADA algorithm. Figure 3 also includes the default values for choosing the algorithm parameters either to represent a typical setting in practical applications or based on theoretical and simulation studies. See Section 6.3 for some of the discussions on the impact of parameter values. Additional studies in real-world settings suggested in Section 8 could gather further insight on how to choose and adapt these parameter values in practical deployment.

Notation	Variable Name
t_curr	Current timestamp
t_last	Last time sending/receiving a feedback
delta	Observed interval between current and previous feedback reports: $\text{delta} = \text{t\_curr} - \text{t\_last}$
r_ref	Reference rate based on network congestion
r_send	Sending rate
r_recv	Receiving rate
r_vin	Target rate for video encoder
r_vout	Output rate from video encoder
d_base	Estimated baseline delay
d_fwd	Measured and filtered one-way delay
d_queue	Estimated queuing delay
d_tilde	Equivalent delay after non-linear warping
p_mark	Estimated packet ECN marking ratio
p_loss	Estimated packet loss ratio
x_curr	Aggregate congestion signal
x_prev	Previous value of aggregate congestion signal
x_diff	Change in aggregate congestion signal w.r.t. its previous value: $\text{x\_diff} = \text{x\_curr} - \text{x\_prev}$
rmode	Rate update mode: (0 = accelerated ramp-up; 1 = gradual update)
gamma	Rate increase multiplier in accelerated ramp-up mode
loss_int	Measured average loss interval in packet count
loss_exp	Threshold value for setting the last observed packet loss to expiration
rtt	Estimated round-trip-time at sender
buffer_len	Rate shaping buffer occupancy measured in bytes

Figure 2: List of variables.

Notation	Parameter Name	Default Value
PRIO	Weight of priority of the flow	1.0
RMIN	Minimum rate of application supported by media encoder	150Kbps
RMAX	Maximum rate of application supported by media encoder	1.5Mbps
XREF	Reference congestion level	10ms
KAPPA	Scaling parameter for gradual rate update calculation	0.5
ETA	Scaling parameter for gradual rate update calculation	2.0

TAU	Upper bound of RTT in gradual rate update calculation	500ms
DELTA	Target feedback interval	100ms
+.....+		
LOGWIN	Observation window in time for calculating packet summary statistics at receiver	500ms
QEPS	Threshold for determining queuing delay build up at receiver	10ms
DFILT	Bound on filtering delay	120ms
GAMMA_MAX	Upper bound on rate increase ratio for accelerated ramp-up	0.5
QBOUND	Upper bound on self-inflicted queuing delay during ramp up	50ms
+.....+		
MULTILOSS	Multiplier for self-scaling the expiration threshold of the last observed loss (loss_exp) based on measured average loss interval (loss_int)	7.0
QTH	Delay threshold for invoking non-linear warping	50ms
LAMBDA	Scaling parameter in the exponent of non-linear warping	0.5
+.....+		
PLRREF	Reference packet loss ratio	0.01
PMRREF	Reference packet marking ratio	0.01
DLOSS	Reference delay penalty for loss when packet loss ratio is at PLRREF	10ms
DMARK	Reference delay penalty for ECN marking when packet marking is at PMRREF	2ms
+.....+		
FPS	Frame rate of incoming video	30
BETA_S	Scaling parameter for modulating outgoing sending rate	0.1
BETA_V	Scaling parameter for modulating video encoder target rate	0.1
ALPHA	Smoothing factor in exponential smoothing of packet loss and marking ratios	0.1
+-----+		

Figure 3: List of algorithm parameters and their default values.

#### 4.2. Receiver-Side Algorithm

The receiver-side algorithm can be outlined as below:

On initialization:

- set `d_base` = +INFINITY
- set `p_loss` = 0
- set `p_mark` = 0
- set `r_recv` = 0
- set both `t_last` and `t_curr` as current time in milliseconds

On receiving a media packet:

- obtain current timestamp `t_curr` from system clock
- obtain from packet header sending time stamp `t_sent`
- obtain one-way delay measurement: `d_fwd` = `t_curr` - `t_sent`
- update baseline delay: `d_base` = min(`d_base`, `d_fwd`)
- update queuing delay: `d_queue` = `d_fwd` - `d_base`
- update packet loss ratio estimate `p_loss`
- update packet marking ratio estimate `p_mark`
- update measurement of receiving rate `r_recv`

On time to send a new feedback report (`t_curr` - `t_last` > DELTA):

- calculate non-linear warping of delay `d_tilde` if packet loss exists
- calculate current aggregate congestion signal `x_curr`
- determine mode of rate adaptation for sender: `rmode`
- send feedback containing values of: `rmode`, `x_curr`, and `r_recv`
- update `t_last` = `t_curr`

In order for a delay-based flow to hold its ground when competing against loss-based flows (e.g., loss-based TCP), it is important to distinguish between different levels of observed queuing delay. For instance, over wired connections, a moderate queuing delay value on the order of tens of milliseconds is likely self-inflicted or induced by other delay-based flows, whereas a high queuing delay value of several hundreds of milliseconds may indicate the presence of a loss-based flow that does not refrain from increased delay.

If the last observed packet loss is within the expiration window of `loss_exp` (measured in terms of packet counts), the estimated queuing delay follows a non-linear warping:

$$d\_tilde = \begin{cases} d\_queue, & \text{if } d\_queue < QTH; \\ QTH \exp(-LAMBDA \frac{(d\_queue - QTH)}{QTH}), & \text{otherwise.} \end{cases} \quad (1)$$

In (1), the queuing delay value is unchanged when it is below the first threshold  $QTH$ ; otherwise it is scaled down following a non-linear curve. This non-linear warping is inspired by the delay-adaptive congestion window backoff policy in [Budzisz-TON11], so as to "gradually nudge" the controller to operate based on loss-induced congestion signals when competing against loss-based flows. The exact form of the non-linear function has been simplified with respect to [Budzisz-TON11]. The value of the threshold  $QTH$  should be carefully tuned for different operational environments, so as to avoid potential risks of prematurely discounting the congestion signal level. Typically, a higher value of  $QTH$  is required in a noisier environment (e.g., over wireless connections, or where the video stream encounters many time-varying background competing traffic) so as to stay robust against occasional non-congestion-induced delay spikes. Additional insights on how this value can be tuned or auto-tuned should be gathered from carrying out experimental studies in different real-world deployment scenarios.

The value of  $loss\_exp$  is configured to self-scale with the average packet loss interval  $loss\_int$  with a multiplier  $MULTILOSS$ :

$$loss\_exp = MULTILOSS * loss\_int.$$

Estimation of the average loss interval  $loss\_int$ , in turn, follows Section 5.4 of the TCP Friendly Rate Control (TFRC) protocol [RFC5348].

In practice, it is recommended to linearly interpolate between the warped ( $d\_tilde$ ) and non-warped ( $d\_queue$ ) values of the queuing delay during the transitional period lasting for the duration of  $loss\_int$ .

The aggregate congestion signal is:

$$x\_curr = d\_tilde + DMARK * \frac{p\_mark^2}{PMRREF} + DLOSS * \frac{p\_loss^2}{PLRREF}. \quad (2)$$

Here, DMARK is prescribed reference delay penalty associated with ECN markings at the reference marking ratio of PMRREF; DLOSS is prescribed reference delay penalty associated with packet losses at the reference packet loss ratio of PLRREF. The value of DLOSS and DMARK does not depend on configurations at the network node. Since ECN-enabled active queue management schemes typically mark a packet before dropping it, the value of DLOSS SHOULD be higher than that of DMARK. Furthermore, the values of DLOSS and DMARK need to be set consistently across all NADA flows sharing the same bottleneck link, so that they can compete fairly.

In the absence of packet marking and losses, the value of  $x_{curr}$  reduces to the observed queuing delay  $d_{queue}$ . In that case the NADA algorithm operates in the regime of delay-based adaptation.

Given observed per-packet delay and loss information, the receiver is also in a good position to determine whether the network is underutilized and recommend the corresponding rate adaptation mode for the sender. The criteria for operating in accelerated ramp-up mode are:

- o No recent packet losses within the observation window LOGWIN; and
- o No build-up of queuing delay:  $d_{fwd} - d_{base} < QEPS$  for all previous delay samples within the observation window LOGWIN.

Otherwise the algorithm operates in graduate update mode.

#### 4.3. Sender-Side Algorithm

The sender-side algorithm is outlined as follows:

```

on initialization:
    set r_ref = RMIN
    set rtt = 0
    set x_prev = 0
    set t_last and t_curr as current system clock time

on receiving feedback report:
    obtain current timestamp from system clock: t_curr
    obtain values of rmode, x_curr, and r_recv from feedback report
    update estimation of rtt
    measure feedback interval: delta = t_curr - t_last
    if rmode == 0:
        update r_ref following accelerated ramp-up rules
    else:
        update r_ref following gradual update rules

    clip rate r_ref within the range of minimum rate (RMIN)
    and maximum rate (RMAX).
    x_prev = x_curr
    t_last = t_curr

```

In accelerated ramp-up mode, the rate  $r\_ref$  is updated as follows:

$$\gamma = \min(\text{GAMMA\_MAX}, \frac{\text{QBOUND}}{\text{rtt} + \text{DELTA} + \text{DFILT}}) \quad (3)$$

$$r\_ref = \max(r\_ref, (1 + \gamma) r\_recv) \quad (4)$$

The rate increase multiplier  $\gamma$  is calculated as a function of upper bound of self-inflicted queuing delay (QBOUND), round-trip-time (rtt), target feedback interval (DELTA) and bound on filtering delay for calculating  $d\_queue$  (DFILT). It has a maximum value of GAMMA\_MAX. The rationale behind (3)-(4) is that the longer it takes for the sender to observe self-inflicted queuing delay build-up, the more conservative the sender should be in increasing its rate, hence the smaller the rate increase multiplier.

In gradual update mode, the rate  $r\_ref$  is updated as:



$$x\_offset = x\_curr - PRIO * XREF * RMAX / r\_ref \quad (5)$$

$$x\_diff = x\_curr - x\_prev \quad (6)$$

$$r\_ref = r\_ref - KAPPA * \frac{\Delta}{TAU} * \frac{x\_offset}{TAU} * r\_ref - KAPPA * \frac{x\_diff}{TAU} * r\_ref \quad (7)$$

The rate changes in proportion to the previous rate decision. It is affected by two terms: offset of the aggregate congestion signal from its value at equilibrium ( $x\_offset$ ) and its change ( $x\_diff$ ). Calculation of  $x\_offset$  depends on maximum rate of the flow ( $RMAX$ ), its weight of priority ( $PRIO$ ), as well as a reference congestion signal ( $XREF$ ). The value of  $XREF$  is chosen so that the maximum rate of  $RMAX$  can be achieved when the observed congestion signal level is below  $PRIO * XREF$ .

At equilibrium, the aggregated congestion signal stabilizes at  $x\_curr = PRIO * XREF * RMAX / r\_ref$ . This ensures that when multiple flows share the same bottleneck and observe a common value of  $x\_curr$ , their rates at equilibrium will be proportional to their respective priority levels ( $PRIO$ ) and the range between minimum and maximum rate. Values of the minimum rate ( $RMIN$ ) and maximum rate ( $RMAX$ ) will be provided by the media codec, for instance, as outlined by [I-D.ietf-rmcat-cc-codec-interactions]. In the absence of such information, NADA sender will choose a default value of 0 for  $RMIN$ , and 3Mbps for  $RMAX$ .

As mentioned in the sender-side algorithm, the final rate is always clipped within the dynamic range specified by the application:

$$r\_ref = \min(r\_ref, RMAX) \quad (8)$$

$$r\_ref = \max(r\_ref, RMIN) \quad (9)$$

The above operations ignore many practical issues such as clock synchronization between sender and receiver, filtering of noise in delay measurements, and base delay expiration. These will be addressed in Section 5.

## 5. Practical Implementation of NADA

### 5.1. Receiver-Side Operation

The receiver continuously monitors end-to-end per-packet statistics in terms of delay, loss, and/or ECN marking ratios. It then aggregates all forms of congestion indicators into the form of an equivalent delay and periodically reports this back to the sender. In addition, the receiver tracks the receiving rate of the flow and includes that in the feedback message.

#### 5.1.1. Estimation of one-way delay and queuing delay

The delay estimation process in NADA follows a similar approach as in earlier delay-based congestion control schemes, such as LEDBAT [RFC6817]. For experimental implementations, instead of relying on RTP timestamps and the transmission time offset RTP header extension [RFC5450], the NADA sender can generate its own timestamp based on local system clock and embed that information in the transport packet header. The NADA receiver estimates the forward delay as having a constant base delay component plus a time varying queuing delay component. The base delay is estimated as the minimum value of one-way delay observed over a relatively long period (e.g., tens of minutes), whereas the individual queuing delay value is taken to be the difference between one-way delay and base delay. By re-estimating the base delay periodically, one can avoid the potential issue of base delay expiration, whereby an earlier measured base delay value is no longer valid due to underlying route changes or cumulative timing difference introduced by the clock rate skew between sender and receiver. All delay estimations are based on sender timestamps with a recommended granularity of 100 microseconds or finer.

The individual sample values of queuing delay should be further filtered against various non-congestion-induced noise, such as spikes due to processing "hiccup" at the network nodes. Therefore, in addition to calculating the value of queuing delay using  $d_{\text{queue}} = d_{\text{fwd}} - d_{\text{base}}$ , as expressed in Section 5.1, current implementation further employs a minimum filter with a window size of 15 samples over per-packet queuing delay values.

#### 5.1.2. Estimation of packet loss/marketing ratio

The receiver detects packet losses via gaps in the RTP sequence numbers of received packets. For interactive real-time media application with stringent latency constraint (e.g., video conferencing), the receiver avoids the packet re-ordering delay by treating out-of-order packets as losses. The instantaneous packet

loss ratio  $p_{inst}$  is estimated as the ratio between the number of missing packets over the number of total transmitted packets within the recent observation window LOGWIN. The packet loss ratio  $p_{loss}$  is obtained after exponential smoothing:

$$p_{loss} = \text{ALPHA} * p_{inst} + (1 - \text{ALPHA}) * p_{loss}. \quad (10)$$

The filtered result is reported back to the sender as the observed packet loss ratio  $p_{loss}$ .

Estimation of packet marking ratio  $p_{mark}$  follows the same procedure as above. It is assumed that ECN marking information at the IP header can be passed to the receiving endpoint, e.g., by following the mechanism described in [RFC6679].

#### 5.1.3. Estimation of receiving rate

It is fairly straightforward to estimate the receiving rate  $r_{recv}$ . NADA maintains a recent observation window with time span of LOGWIN, and simply divides the total size of packets arriving during that window over the time span. The receiving rate ( $r_{recv}$ ) can be calculated at either the sender side based on the per-packet feedback from the receiver, or included as part of the feedback report.

#### 5.2. Sender-Side Operation

Figure 4 provides a detailed view of the NADA sender. Upon receipt of an RTCP feedback report from the receiver, the NADA sender calculates the reference rate  $r_{ref}$  as specified in Section 4.3. It further adjusts both the target rate for the live video encoder  $r_{vin}$  and the sending rate  $r_{send}$  over the network based on the updated value of  $r_{ref}$  and rate shaping buffer occupancy  $buffer_{len}$ .

The NADA sender behavior stays the same in the presence of all types of congestion indicators: delay, loss, and ECN marking. This unified approach allows a graceful transition of the scheme as the network shifts dynamically between light and heavy congestion levels.

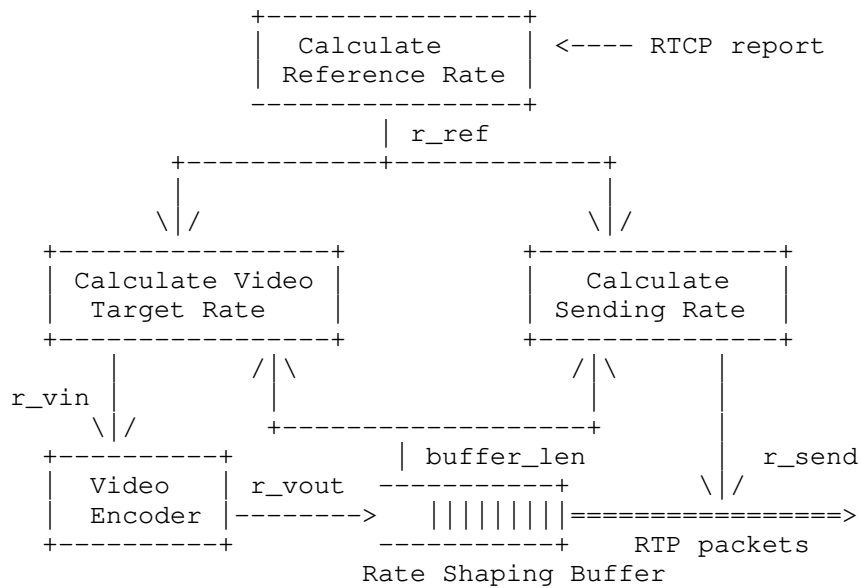


Figure 4: NADA Sender Structure

#### 5.2.1. Rate shaping buffer

The operation of the live video encoder is out of the scope of the design for the congestion control scheme in NADA. Instead, its behavior is treated as a black box.

A rate shaping buffer is employed to absorb any instantaneous mismatch between encoder rate output  $r_{vout}$  and regulated sending rate  $r_{send}$ . Its current level of occupancy is measured in bytes and is denoted as  $buffer\_len$ .

A large rate shaping buffer contributes to higher end-to-end delay, which may harm the performance of real-time media communications. Therefore, the sender has a strong incentive to prevent the rate shaping buffer from building up. The mechanisms adopted are:

- o To deplete the rate shaping buffer faster by increasing the sending rate  $r_{send}$ ; and
- o To limit incoming packets of the rate shaping buffer by reducing the video encoder target rate  $r_{vin}$ .

### 5.2.2. Adjusting video target rate and sending rate

If the level of occupancy in the rate shaping buffer is accessible at the sender, such information can be leveraged to further adjust the target rate of the live video encoder  $r_{vin}$  as well as the actual sending rate  $r_{send}$ . The purpose of such adjustments is to mitigate the additional latencies introduced by the rate shaping buffer. The amount of rate adjustment can be calculated as follows:

$$r_{diff\_v} = \min(0.05 \cdot r_{ref}, BETA\_V \cdot 8 \cdot buffer\_len \cdot FPS). \quad (11)$$

$$r_{diff\_s} = \min(0.05 \cdot r_{ref}, BETA\_S \cdot 8 \cdot buffer\_len \cdot FPS). \quad (12)$$

$$r_{vin} = \max(RMIN, r_{ref} - r_{diff\_v}). \quad (13)$$

$$r_{send} = \min(RMAX, r_{ref} + r_{diff\_s}). \quad (14)$$

In (11) and (12), the amount of adjustment is calculated as proportional to the size of the rate shaping buffer but is bounded by 5% of the reference rate  $r_{ref}$  calculated from network congestion feedback alone. This ensures that the adjustment introduced by the rate shaping buffer will not counteract with the core congestion control process. Equations (13) and (14) indicate the influence of the rate shaping buffer. A large rate shaping buffer nudges the encoder target rate slightly below -- and the sending rate slightly above -- the reference rate  $r_{ref}$ . The final video target rate ( $r_{vin}$ ) and sending rate ( $r_{send}$ ) are further bounded within the original range of  $[RMIN, RMAX]$ .

Intuitively, the amount of extra rate offset needed to completely drain the rate shaping buffer within the duration of a single video frame is given by  $8 \cdot buffer\_len \cdot FPS$ , where FPS stands for the reference frame rate of the video. The scaling parameters  $BETA\_V$  and  $BETA\_S$  can be tuned to balance between the competing goals of maintaining a small rate shaping buffer and deviating from the reference rate point. Empirical observations show that the rate shaping buffer for a responsive live video encoder typically stays empty and only occasionally holds a large frame (e.g., when an intra-frame is produced) in transit. Therefore, the rate adjustment introduced by this mechanism is expected to be minor. For instance, a rate shaping buffer of 2000 Bytes will lead to a rate adjustment of 48Kbps given the recommended scaling parameters of  $BETA\_V = 0.1$  and  $BETA\_S = 0.1$  and reference frame rate of  $FPS = 30$ .

### 5.3. Feedback Message Requirements

The following list of information is required for NADA congestion control to function properly:

- o Recommended rate adaptation mode (rmode): a 1-bit flag indicating whether the sender should operate in accelerated ramp-up mode (rmode=0) or gradual update mode (rmode=1).
- o Aggregated congestion signal (x\_curr): the most recently updated value, calculated by the receiver according to Section 4.2. This information can be expressed with a unit of 100 microsecond (i.e., 1/10 of a millisecond) in 15 bits. This allows a maximum value of x\_curr at approximately 3.27 second.
- o Receiving rate (r\_rcv): the most recently measured receiving rate according to Section 5.1.3. This information is expressed with a unit of bits per second (bps) in 32 bits (unsigned int). This allows a maximum rate of approximately 4.3Gbps, approximately 1000 times of the streaming rate of a typical high-definition (HD) video conferencing session today. This field can be expanded further by a few more bytes, in case an even higher rate need to be specified.

The above list of information can be accommodated by 48 bits, or 6 bytes, in total. They can be either included in the feedback report from the receiver, or, in the case where all receiver-side calculations are moved to the sender, derived from per-packet information from the feedback message as defined in [I-D.ietf-avtcore-cc-feedback-message]. Choice of the feedback message interval DELTA is discussed in Section 6.3. A target feedback interval of DELTA=100ms is recommended.

## 6. Discussions and Further Investigations

This section discussed the various design choices made by NADA, potential alternative variants of its implementation, and guidelines on how the key algorithm parameters can be chosen. Section 8 recommends additional experimental setups to further explore these topics.

### 6.1. Choice of delay metrics

The current design works with relative one-way-delay (OWD) as the main indication of congestion. The value of the relative OWD is obtained by maintaining the minimum value of observed OWD over a relatively long time horizon and subtract that out from the observed absolute OWD value. Such an approach cancels out the fixed difference between the sender and receiver clocks. It has been widely adopted by other delay-based congestion control approaches such as [RFC6817]. As discussed in [RFC6817], the time horizon for tracking the minimum OWD needs to be chosen with care: it must be long enough for an opportunity to observe the minimum OWD with zero

standing queue along the path, and sufficiently short so as to timely reflect "true" changes in minimum OWD introduced by route changes and other rare events and to mitigate the cumulative impact of clock rate skew over time.

The potential drawback in relying on relative OWD as the congestion signal is that when multiple flows share the same bottleneck, the flow arriving late at the network experiencing a non-empty queue may mistakenly consider the standing queuing delay as part of the fixed path propagation delay. This will lead to slightly unfair bandwidth sharing among the flows.

Alternatively, one could move the per-packet statistical handling to the sender instead and use relative round-trip-time (RTT) in lieu of relative OWD, assuming that per-packet acknowledgments are available. The main drawback of RTT-based approach is the noise in the measured delay in the reverse direction.

Note that the choice of either delay metric (relative OWD vs. RTT) involves no change in the proposed rate adaptation algorithm. Therefore, comparing the pros and cons regarding which delay metric to adopt can be kept as an orthogonal direction of investigation.

## 6.2. Method for delay, loss, and marking ratio estimation

Like other delay-based congestion control schemes, performance of NADA depends on the accuracy of its delay measurement and estimation module. Appendix A in [RFC6817] provides an extensive discussion on this aspect.

The current recommended practice of applying minimum filter with a window size of 15 samples suffices in guarding against processing delay outliers observed in wired connections. For wireless connections with a higher packet delay variation (PDV), more sophisticated techniques on de-noising, outlier rejection, and trend analysis may be needed.

More sophisticated methods in packet loss ratio calculation, such as that adopted by [Floyd-CCR00], will likely be beneficial. These alternatives are part of the experiments this document proposes.

## 6.3. Impact of parameter values

In the gradual rate update mode, the parameter TAU indicates the upper bound of round-trip-time (RTT) in feedback control loop. Typically, the observed feedback interval delta is close to the target feedback interval DELTA, and the relative ratio of delta/TAU versus ETA dictates the relative strength of influence from the

aggregate congestion signal offset term ( $x_{\text{offset}}$ ) versus its recent change ( $x_{\text{diff}}$ ), respectively. These two terms are analogous to the integral and proportional terms in a proportional-integral (PI) controller. The recommended choice of  $\text{TAU}=500\text{ms}$ ,  $\text{DELTA}=100\text{ms}$  and  $\text{ETA}=2.0$  corresponds to a relative ratio of 1:10 between the gains of the integral and proportional terms. Consequently, the rate adaptation is mostly driven by the change in the congestion signal with a long-term shift towards its equilibrium value driven by the offset term. Finally, the scaling parameter  $\text{KAPPA}$  determines the overall speed of the adaptation and needs to strike a balance between responsiveness and stability.

The choice of the target feedback interval  $\text{DELTA}$  needs to strike the right balance between timely feedback and low RTCP feedback message counts. A target feedback interval of  $\text{DELTA}=100\text{ms}$  is recommended, corresponding to a feedback bandwidth of 16Kbps with 200 bytes per feedback message --- approximately 1.6% overhead for a 1Mbps flow. Furthermore, both simulation studies and frequency-domain analysis in [IETF-95] have established that a feedback interval below 250ms (i.e., more frequently than 4 feedback messages per second) will not break up the feedback control loop of NADA congestion control.

In calculating the non-linear warping of delay in (1), the current design uses fixed values of  $\text{QTH}$  for determining whether to perform the non-linear warping). Its value should be carefully tuned for different operational environments (e.g., over wired vs. wireless connections), so as to avoid the potential risk of prematurely discounting the congestion signal level. It is possible to adapt its value based on past observed patterns of queuing delay in the presence of packet losses. It needs to be noted that the non-linear warping mechanism may lead to multiple NADA streams stuck in loss-based mode when competing against each other.

In calculating the aggregate congestion signal  $x_{\text{curr}}$ , the choice of  $\text{DMARK}$  and  $\text{DLOSS}$  influence the steady-state packet loss/marketing ratio experienced by the flow at a given available bandwidth. Higher values of  $\text{DMARK}$  and  $\text{DLOSS}$  result in lower steady-state loss/marketing ratios, but are more susceptible to the impact of individual packet loss/marketing events. While the value of  $\text{DMARK}$  and  $\text{DLOSS}$  are fixed and predetermined in the current design, this document also encourages further explorations of a scheme for automatically tuning these values based on desired bandwidth sharing behavior in the presence of other competing loss-based flows (e.g., loss-based TCP).



#### 6.4. Sender-based vs. receiver-based calculation

In the current design, the aggregated congestion signal `x_curr` is calculated at the receiver, keeping the sender operation completely independent of the form of actual network congestion indications (delay, loss, or marking) in use.

Alternatively, one can shift receiver-side calculations to the sender, whereby the receiver simply reports on per-packet information via periodic feedback messages as defined in [I-D.ietf-avtcore-cc-feedback-message]. Such an approach enables interoperability amongst senders operating on different congestion control schemes, but requires slightly higher overhead in the feedback messages. See additional discussions in [I-D.ietf-avtcore-cc-feedback-message] regarding the desired format of the feedback messages and the recommended feedback intervals.

#### 6.5. Incremental deployment

One nice property of NADA is the consistent video endpoint behavior irrespective of network node variations. This facilitates gradual, incremental adoption of the scheme.

Initially, the proposed congestion control mechanism can be implemented without any explicit support from the network, and relies solely on observed relative one-way delay measurements and packet loss ratios as implicit congestion signals.

When ECN is enabled at the network nodes with RED-based marking, the receiver can fold its observations of ECN markings into the calculation of the equivalent delay. The sender can react to these explicit congestion signals without any modification.

Ultimately, networks equipped with proactive marking based on token bucket level metering can reap the additional benefits of zero standing queues and lower end-to-end delay and work seamlessly with existing senders and receivers.

#### 7. Reference Implementations

The NADA scheme has been implemented in both [ns-2] and [ns-3] simulation platforms. The implementation in ns-2 hosts the calculations as described in Section 4.2 at the receiver side, whereas the implementation in ns-3 hosts these receiver-side calculations at the sender for the sake of interoperability. Extensive ns-2 simulation evaluations of an earlier version of the draft are documented in [Zhu-PV13]. An open source implementation of NADA as part of a ns-3 module is available at [ns3-rmcat].

Evaluation results of the current draft based on ns-3 are presented in [IETF-90] and [IETF-91] for wired test cases as documented in [I-D.ietf-rmcat-eval-test]. Evaluation results of NADA over WiFi-based test cases as defined in [I-D.ietf-rmcat-wireless-tests] are presented in [IETF-93]. These simulation-based evaluations have shown that NADA flows can obtain their fair share of bandwidth when competing against each other. They typically adapt fast in reaction to the arrival and departure of other flows, and can sustain a reasonable throughput when competing against loss-based TCP flows.

[IETF-90] describes the implementation and evaluation of NADA in a lab setting. Preliminary evaluation results of NADA in single-flow and multi-flow test scenarios have been presented in [IETF-91].

A reference implementation of NADA has been carried out by modifying the WebRTC module embedded in the Mozilla open source browser. Presentations from [IETF-103] and [IETF-105] document real-world evaluations of the modified browser driven by NADA. The experimental setting involve remote connections with endpoints over either home or enterprise wireless networks. These evaluations validate the effectiveness of NADA flows in recovering quickly from throughput drops caused by intermittent delay spikes over the last-hop wireless connections.

## 8. Suggested Experiments

NADA has been extensively evaluated under various test scenarios, including the collection of test cases specified by [I-D.ietf-rmcat-eval-test] and the subset of WiFi-based test cases in [I-D.ietf-rmcat-wireless-tests]. Additional evaluations have been carried out to characterize how NADA interacts with various active queue management (AQM) schemes such as RED, CoDel, and PIE. Most of these evaluations have been carried out in simulators. A few key test cases have been evaluated in lab environments with implementations embedded in video conferencing clients. It is strongly recommended to carry out implementation and experimentation of NADA in real-world settings. Such exercise will provide insights on how to choose or automatically adapt the values of the key algorithm parameters (see list in Figure 3) as discussed in Section 6.

Additional experiments are suggested for the following scenarios and preferably over real-world networks:

- o Experiments reflecting the setup of a typical WAN connection.
- o Experiments with ECN marking capability turned on at the network for existing test cases.

- o Experiments with multiple NADA streams bearing different user-specified priorities.
- o Experiments with additional access technologies, especially over cellular networks such as 3G/LTE.
- o Experiments with various media source contents, including audio only, audio and video, and application content sharing (e.g., slide shows).

## 9. IANA Considerations

This document makes no request of IANA.

## 10. Security Considerations

The rate adaptation mechanism in NADA relies on feedback from the receiver. As such, it is vulnerable to attacks where feedback messages are hijacked, replaced, or intentionally injected with misleading information resulting in denial of service, similar to those that can affect TCP. It is therefore RECOMMENDED that the RTCP feedback message is at least integrity checked. In addition, [I-D.ietf-avtcore-cc-feedback-message] discusses the potential risk of a receiver providing misleading congestion feedback information and the mechanisms for mitigating such risks.

The modification of sending rate based on send-side rate shaping buffer may lead to temporary excessive congestion over the network in the presence of a unresponsive video encoder. However, this effect can be mitigated by limiting the amount of rate modification introduced by the rate shaping buffer, bounding the size of the rate shaping buffer at the sender, and maintaining a maximum allowed sending rate by NADA.

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## 12. Contributors

The following individuals have contributed to the implementation and evaluation of the proposed scheme, and therefore have helped to validate and substantially improve this specification.

Paul E. Jones <paulej@packetizer.com> of Cisco Systems implemented an early version of the NADA congestion control scheme and helped with its lab-based testbed evaluations.

Jiantao Fu <jianfu@cisco.com> of Cisco Systems helped with the implementation and extensive evaluation of NADA both in Mozilla web browsers and in earlier simulation-based evaluation efforts.

Stefano D'Aronco <stefano.daronco@geod.baug.ethz.ch> of ETH Zurich (previously at Ecole Polytechnique Federale de Lausanne when contributing to this work) helped with implementation and evaluation of an early version of NADA in [ns-3].

Charles Ganzhorn <charles.ganzhorn@gmail.com> contributed to the testbed-based evaluation of NADA during an early stage of its development.

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#### Appendix A. Network Node Operations

NADA can work with different network queue management schemes and does not assume any specific network node operation. As an example, this appendix describes three variants of queue management behavior

at the network node, leading to either implicit or explicit congestion signals. It needs to be acknowledged that NADA has not yet been tested with non-probabilistic ECN marking behaviors.

In all three flavors described below, the network queue operates with the simple first-in-first-out (FIFO) principle. There is no need to maintain per-flow state. The system can scale easily with a large number of video flows and at high link capacity.

#### A.1. Default behavior of drop tail queues

In a conventional network with drop tail or RED queues, congestion is inferred from the estimation of end-to-end delay and/or packet loss. Packet drops at the queue are detected at the receiver, and contributes to the calculation of the aggregated congestion signal  $x_{curr}$ . No special action is required at network node.

#### A.2. RED-based ECN marking

In this mode, the network node randomly marks the ECN field in the IP packet header following the Random Early Detection (RED) algorithm [RFC7567]. Calculation of the marking probability involves the following steps:

on packet arrival:

update smoothed queue size  $q_{avg}$  as:

$$q_{avg} = w \cdot q + (1-w) \cdot q_{avg}.$$

calculate marking probability  $p$  as:

$$p = \begin{cases} 0, & \text{if } q < q_{lo}; \\ p_{max} \cdot \frac{q_{avg} - q_{lo}}{q_{hi} - q_{lo}}, & \text{if } q_{lo} \leq q < q_{hi}; \\ 1, & \text{if } q \geq q_{hi}. \end{cases}$$

Here,  $q_{lo}$  and  $q_{hi}$  corresponds to the low and high thresholds of queue occupancy. The maximum marking probability is  $p_{max}$ .

The ECN markings events will contribute to the calculation of an equivalent delay  $x_{curr}$  at the receiver. No changes are required at the sender.



### A.3. Random Early Marking with Virtual Queues

Advanced network nodes may support random early marking based on a token bucket algorithm originally designed for Pre-Congestion Notification (PCN) [RFC6660]. The early congestion notification (ECN) bit in the IP header of packets are marked randomly. The marking probability is calculated based on a token-bucket algorithm originally designed for the Pre-Congestion Notification (PCN) [RFC6660]. The target link utilization is set as 90%; the marking probability is designed to grow linearly with the token bucket size when it varies between 1/3 and 2/3 of the full token bucket limit.

Calculation of the marking probability involves the following steps:

```

upon packet arrival:
    meter packet against token bucket (r,b);

    update token level b_tk;

    calculate the marking probability as:

        / 0,                                if b-b_tk < b_lo;
        |
        | b-b_tk-b_lo
        | p_max* -----, if b_lo<= b-b_tk <b_hi;
        | b_hi-b_lo
        |
        \ 1,                                if b-b_tk>=b_hi.

```

Here, the token bucket lower and upper limits are denoted by  $b_{lo}$  and  $b_{hi}$ , respectively. The parameter  $b$  indicates the size of the token bucket. The parameter  $r$  is chosen to be below capacity, resulting in slight under-utilization of the link. The maximum marking probability is  $p_{max}$ .

The ECN markings events will contribute to the calculation of an equivalent delay  $x_{curr}$  at the receiver. No changes are required at the sender. The virtual queuing mechanism from the PCN-based marking algorithm will lead to additional benefits such as zero standing queues.

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Shared Bottleneck Detection for Coupled Congestion Control for RTP  
Media.  
draft-ietf-rmcat-sbd-03

Abstract

This document describes a mechanism to detect whether end-to-end data flows share a common bottleneck. It relies on summary statistics that are calculated by a data receiver based on continuous measurements and regularly fed to a grouping algorithm that runs wherever the knowledge is needed. This mechanism complements the coupled congestion control mechanism in draft-welzl-rmcat-coupled-cc.

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## 1. Introduction

In the Internet, it is not normally known if flows (e.g., TCP connections or UDP data streams) traverse the same bottlenecks. Even flows that have the same sender and receiver may take different paths and share a bottleneck or not. Flows that share a bottleneck link usually compete with one another for their share of the capacity. This competition has the potential to increase packet loss and delays. This is especially relevant for interactive applications that communicate simultaneously with multiple peers (such as multi-party video). For RTP media applications such as RTCWEB, [I-D.welzl-rmcat-coupled-cc] describes a scheme that combines the congestion controllers of flows in order to honor their priorities and avoid unnecessary packet loss as well as delay. This mechanism relies on some form of Shared Bottleneck Detection (SBD); here, a measurement-based SBD approach is described.

### 1.1. The signals

The current Internet is unable to explicitly inform endpoints as to which flows share bottlenecks, so endpoints need to infer this from whatever information is available to them. The mechanism described here currently utilises packet loss and packet delay, but is not restricted to these.

#### 1.1.1. Packet Loss

Packet loss is often a relatively rare signal. Therefore, on its own it is of limited use for SBD, however, it is a valuable supplementary measure when it is more prevalent.

#### 1.1.2. Packet Delay

End-to-end delay measurements include noise from every device along the path in addition to the delay perturbation at the bottleneck device. The noise is often significantly increased if the round-trip time is used. The cleanest signal is obtained by using One-Way-Delay (OWD).

Measuring absolute OWD is difficult since it requires both the sender and receiver clocks to be synchronised. However, since the statistics being collected are relative to the mean OWD, a relative OWD measurement is sufficient. Clock skew is not usually significant over the time intervals used by this SBD mechanism (see [RFC6817] A.2 for a discussion on clock skew and OWD measurements). However, in circumstances where it is significant, Section 3.3.2 outlines a way of adjusting the calculations to cater for it.

Each packet arriving at the bottleneck buffer may experience very different queue lengths, and therefore different waiting times. A single OWD sample does not, therefore, characterize the path well. However, multiple OWD measurements do reflect the distribution of delays experienced at the bottleneck.

### 1.1.3. Path Lag

Flows that share a common bottleneck may traverse different paths, and these paths will often have different base delays. This makes it difficult to correlate changes in delay or loss. This technique uses the long term shape of the delay distribution as a base for comparison to counter this.

## 2. Definitions

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [RFC2119].

Acronyms used in this document:

OWD -- One Way Delay  
MAD -- Mean Absolute Deviation  
RTT -- Round Trip Time  
SBD -- Shared Bottleneck Detection

Conventions used in this document:

T -- the base time interval over which measurements are made.  
N -- the number of base time, T, intervals used in some calculations.  
sum\_T(...) -- summation of all the measurements of the variable in parentheses taken over the interval T  
sum(...) -- summation of terms of the variable in parentheses  
sum\_N(...) -- summation of N terms of the variable in parentheses  
sum\_NT(...) -- summation of all measurements taken over the interval N\*T

E\_T(...) -- the expectation or mean of the measurements of the variable in parentheses over T

E\_N(...) -- the expectation or mean of the last N values of the variable in parentheses

E\_M(...) -- the expectation or mean of the last M values of the variable in parentheses, where  $M \leq N$ .

max\_T(...) -- the maximum recorded measurement of the variable in parentheses taken over the interval T

min\_T(...) -- the minimum recorded measurement of the variable in parentheses taken over the interval T

num\_T(...) -- the count of measurements of the variable in parentheses taken in the interval T

num\_VM(...) -- the count of valid values of the variable in parentheses given M records

PB -- a boolean variable indicating the particular flow was identified transiting a bottleneck in the previous interval T (i.e. Previously Bottleneck)

skew\_est -- a measure of skewness in a OWD distribution.

skew\_base\_T -- a variable used as an intermediate step in calculating skew\_est.

var\_est -- a measure of variability in OWD measurements.

var\_base\_T -- a variable used as an intermediate step in calculating var\_est.

freq\_est -- a measure of low frequency oscillation in the OWD measurements.

p\_l, p\_f, p\_mad, c\_s, c\_h, p\_s, p\_d, p\_v -- various thresholds used in the mechanism

M and F -- number of values related to N

.

## 2.1. Parameters and their Effect

- T        T should be long enough so that there are enough packets received during T for a useful estimate of short term mean OWD and variation statistics. Making T too large can limit the efficacy of `freq_est`. It will also increase the response time of the mechanism. Making T too small will make the metrics noisier.
- N & M    N should be large enough to provide a stable estimate of oscillations in OWD. Usually  $M=N$ , though having  $M<N$  may be beneficial in certain circumstances.  $M*T$  needs to be long enough to provide stable estimates of skewness and MAD.
- F        F determines the number of intervals over which statistics are considered to be equally weighted. When  $F=M$  recent and older measurements are considered equal. Making  $F<M$  can increase the responsiveness of the SBD mechanism. If F is too small, statistics will be too noisy.
- c\_s      c\_s is the threshold in `skew_est` used for determining whether a flow is transiting a bottleneck or not. It should be slightly negative so that a very lightly loaded path does not give a false indication. Setting c\_s more negative makes the SBD mechanism less sensitive to transient and slight bottlenecks.
- c\_h      c\_h adds hysteresis to the bottleneck determination. It should be large enough to avoid constant switching in the determination, but low enough to ensure that grouping is not attempted when there is no bottleneck and the delay and loss signals cannot be relied upon.
- p\_v      p\_v determines the sensitivity of `freq_est` to noise. Making it smaller will yield higher but noisier values for `freq_est`. Making it too large will render it ineffective for determining groups.
- p\_\*      Flows are separated when the `skew_est|var_est|freq_est` measure is greater than `p_s|p_f|p_d|p_mad`. Adjusting these is a compromise between false grouping of flows that do not share a bottleneck and false splitting of flows that do. Making them larger can help if the measures are very noisy, but reducing the noise in the statistical measures by adjusting T and N|M may be a better solution.



## 2.2. Recommended Parameter Values

Reference [Hayes-LCN14] uses  $T=350\text{ms}$ ,  $N=50$ ,  $p_l=0.1$ . The other parameters have been tightened to reflect minor enhancements to the algorithm outlined in Section 3.3:  $c_s=-0.01$ ,  $p_f=p_d=0.1$ ,  $p_s=0.15$ ,  $p_{mad}=0.1$ ,  $p_v=0.7$ .  $M=30$ ,  $F=20$ , and  $c_h = 0.3$  are additional parameters defined in the document. These are values that seem to work well over a wide range of practical Internet conditions.

## 3. Mechanism

The mechanism described in this document is based on the observation that the distribution of delay measurements of packets that traverse a common bottleneck have similar shape characteristics. These shape characteristics are described using 3 key summary statistics:

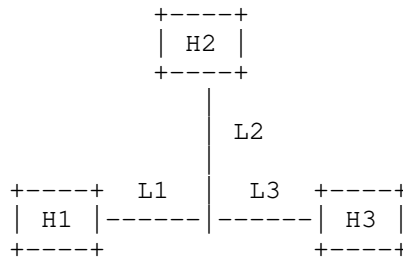
variability (estimate `var_est`, see Section 3.1.3)

skewness (estimate `skew_est`, see Section 3.1.2)

oscillation (estimate `freq_est`, see Section 3.1.4)

with packet loss (estimate `pkt_loss`, see Section 3.1.5) used as a supplementary statistic.

Summary statistics help to address both the noise and the path lag problems by describing the general shape over a relatively long period of time. Each summary statistic portrays a "view" of the bottleneck link characteristics, and when used together, they provide a robust discrimination for grouping flows. They can be signalled from a receiver, which measures the OWD and calculates the summary statistics, to a sender, which is the entity that is transmitting the media stream. An RTP Media device may be both a sender and a receiver. SBD can be performed at either a sender or a receiver or both.



A network with 3 hosts (H1, H2, H3) and 3 links (L1, L2, L3).

Figure 1

In Figure 1, there are two possible cases for shared bottleneck detection: a sender-based and a receiver-based case.

1. Sender-based: consider a situation where host H1 sends media streams to hosts H2 and H3, and L1 is a shared bottleneck. H2 and H3 measure the OWD and calculate summary statistics, which they send to H1 every T. H1, having this knowledge, can determine the shared bottleneck and accordingly control the send rates.
2. Receiver-based: consider that H2 is also sending media to H3, and L3 is a shared bottleneck. If H3 sends summary statistics to H1 and H2, neither H1 nor H2 alone obtain enough knowledge to detect this shared bottleneck; H3 can however determine it by combining the summary statistics related to H1 and H2, respectively. This case is applicable when send rates are controlled by the receiver; then, the signal from H3 to the senders contains the sending rate.

A discussion of the required signalling for the receiver-based case is beyond the scope of this document. For the sender-based case, the messages and their data format will be defined here in future versions of this document.

We envisage the following exchange during initialisation:

- o An initialization message from the sender to the receiver will contain the following information:
  - \* A protocol identifier (SBD=01). This is to future proof the message exchange so that potential advances in SBD technology can be easily deployed. All following initialisation elements relate to the mechanism outlined in this document which will have the identifier SBD=01.

- \* A list of which key metrics should be collected and relayed back to the sender out of a possibly extensible set (`pkt_loss`, `var_est`, `skew_est`, `freq_est`). The grouping algorithm described in this document requires all four of these metrics, and receivers MUST be able to provide them, but future algorithms may be able to exploit other metrics (e.g. metrics based on explicit network signals).
- \* The values of T, N, M, and the necessary resolution and precision of the relayed statistics.
- o A response message from the receiver acknowledges this message with a list of key metrics it supports (subset of the senders list) and is able to relay back to the sender.
- o This initialisation exchange may be repeated to finalize the agreed metrics should not all be supported by all receivers.

### 3.1. Key metrics and their calculation

Measurements are calculated over a base interval, T and summarized over N or M such intervals. All summary statistics can be calculated incrementally.

#### 3.1.1. Mean delay

The mean delay is not a useful signal for comparisons between flows since flows may traverse quite different paths and clocks will not necessarily be synchronized. However, it is a base measure for the 3 summary statistics. The mean delay,  $E\_T(OWD)$ , is the average one way delay measured over T.

To facilitate the other calculations, the last N  $E\_T(OWD)$  values will need to be stored in a cyclic buffer along with the moving average of  $E\_T(OWD)$ :

$$\text{mean\_delay} = E\_M(E\_T(OWD)) = \text{sum\_M}(E\_T(OWD)) / M$$

where  $M \leq N$ . Setting M to be less than N allows the mechanism to be more responsive to changes, but potentially at the expense of a higher error rate (see Section 3.4 for a discussion on improving the responsiveness of the mechanism.)

#### 3.1.2. Skewness Estimate

Skewness is difficult to calculate efficiently and accurately. Ideally it should be calculated over the entire period ( $M * T$ ) from the mean OWD over that period. However this would require storing

every delay measurement over the period. Instead, an estimate is made over  $M * T$  based on a calculation every  $T$  using the previous  $T$ 's calculation of `mean_delay`.

The base for the skewness calculation is estimated using a counter initialised every  $T$ . It increments for one way delay samples (OWD) below the mean and decrements for OWD above the mean. So for each OWD sample:

```
if (OWD < mean_delay) skew_base_T++
```

```
if (OWD > mean_delay) skew_base_T--
```

The `mean_delay` does not include the mean of the current  $T$  interval to enable it to be calculated iteratively.

```
skew_est = sum_MT(skew_base_T) / num_MT(OWD)
```

where `skew_est` is a number between -1 and 1

Note: Care must be taken when implementing the comparisons to ensure that rounding does not bias `skew_est`. It is important that the mean is calculated with a higher precision than the samples.

### 3.1.3. Variability Estimate

Mean Absolute Deviation (MAD) delay is a robust variability measure that copes well with different send rates. It can be implemented in an online manner as follows:

```
var_base_T = sum_T(|OWD - E_T(OWD)|)
```

where

$|x|$  is the absolute value of  $x$

$E_T(OWD)$  is the mean OWD calculated in the previous  $T$

```
var_est = MAD_MT = sum_MT(var_base_T) / num_MT(OWD)
```

For calculation of `freq_est`  $p_v=0.7$

For the grouping threshold  $p_{mad}=0.1$

#### 3.1.4. Oscillation Estimate

An estimate of the low frequency oscillation of the delay signal is calculated by counting and normalising the significant mean,  $E_T(OWD)$ , crossings of  $mean\_delay$ :

$$freq\_est = number\_of\_crossings / N$$

where we define a significant mean crossing as a crossing that extends  $p\_v * var\_est$  from  $mean\_delay$ . In our experiments we have found that  $p\_v = 0.7$  is a good value.

$Freq\_est$  is a number between 0 and 1.  $Freq\_est$  can be approximated incrementally as follows:

With each new calculation of  $E_T(OWD)$  a decision is made as to whether this value of  $E_T(OWD)$  significantly crosses the current long term mean,  $mean\_delay$ , with respect to the previous significant mean crossing.

A cyclic buffer,  $last\_N\_crossings$ , records a 1 if there is a significant mean crossing, otherwise a 0.

The counter,  $number\_of\_crossings$ , is incremented when there is a significant mean crossing and decremented when a non-zero value is removed from the  $last\_N\_crossings$ .

This approximation of  $freq\_est$  was not used in [Hayes-LCN14], which calculated  $freq\_est$  every  $T$  using the current  $E_N(E_T(OWD))$ . Our tests show that this approximation of  $freq\_est$  yields results that are almost identical to when the full calculation is performed every  $T$ .

#### 3.1.5. Packet loss

The proportion of packets lost over the period  $NT$  is used as a supplementary measure:

$$pkt\_loss = sum\_NT(lost\ packets) / sum\_NT(total\ packets)$$

Note: When  $pkt\_loss$  is small it is very variable, however, when  $pkt\_loss$  is high it becomes a stable measure for making grouping decisions.

### 3.2. Flow Grouping

#### 3.2.1. Flow Grouping Algorithm

The following grouping algorithm is RECOMMENDED for SBD in the RMCAT context and is sufficient and efficient for small to moderate numbers of flows. For very large numbers of flows (e.g. hundreds), a more complex clustering algorithm may be substituted.

Since no single metric is precise enough to group flows (due to noise), the algorithm uses multiple metrics. Each metric offers a different "view" of the bottleneck link characteristics, and used together they enable a more precise grouping of flows than would otherwise be possible.

Flows determined to be transiting a bottleneck are successively divided into groups based on `freq_est`, `var_est`, `skew_est` and `pkt_loss`.

The first step is to determine which flows are transiting a bottleneck. This is important, since if a flow is not transiting a bottleneck its delay based metrics will not describe the bottleneck, but the "noise" from the rest of the path. Skewness, with proportion of packet loss as a supplementary measure, is used to do this:

1. Grouping will be performed on flows that are inferred to be traversing a bottleneck by:

$$\text{skew\_est} < c\_s$$
$$|| ( \text{skew\_est} < c\_h \ \& \ PB ) || \text{pkt\_loss} > p\_l$$

The parameter `c_s` controls how sensitive the mechanism is in detecting a bottleneck. `c_s = 0.0` was used in [Hayes-LCN14]. A value of `c_s = 0.05` is a little more sensitive, and `c_s = -0.05` is a little less sensitive. `c_h` controls the hysteresis on flows that were grouped as transiting a bottleneck last time. If the test result is TRUE, `PB=TRUE`, otherwise `PB=FALSE`.

These flows, flows transiting a bottleneck, are then progressively divided into groups based on the `freq_est`, `var_est`, and `skew_est` summary statistics. The process proceeds according to the following steps:

2. Group flows whose difference in sorted `freq_est` is less than a threshold:

$$\text{diff}(\text{freq\_est}) < p\_f$$

3. Group flows whose difference in sorted  $E_M(\text{var\_est})$  (highest to lowest) is less than a threshold:

$$\text{diff}(\text{var\_est}) < (\text{p\_mad} * \text{var\_est})$$

The threshold,  $(\text{p\_mad} * \text{var\_est})$ , is with respect to the highest value in the difference.

4. Group flows whose difference in sorted  $\text{skew\_est}$  is less than a threshold:

$$\text{diff}(\text{skew\_est}) < \text{p\_s}$$

5. When packet loss is high enough to be reliable ( $\text{pkt\_loss} > \text{p\_l}$ ), group flows whose difference is less than a threshold

$$\text{diff}(\text{pkt\_loss}) < (\text{p\_d} * \text{pkt\_loss})$$

The threshold,  $(\text{p\_d} * \text{pkt\_loss})$ , is with respect to the highest value in the difference.

This procedure involves sorting estimates from highest to lowest. It is simple to implement, and efficient for small numbers of flows (up to 10-20).

### 3.2.2. Using the flow group signal

Grouping decisions can be made every  $T$  from the second  $T$ , however they will not attain their full design accuracy until after the  $2*N'$ th  $T$  interval. We recommend that grouping decisions are not made until  $2*M$   $T$  intervals.

Network conditions, and even the congestion controllers, can cause bottlenecks to fluctuate. A coupled congestion controller MAY decide only to couple groups that remain stable, say grouped together 90% of the time, depending on its objectives. Recommendations concerning this are beyond the scope of this draft and will be specific to the coupled congestion controllers objectives.

### 3.3. Removing Noise from the Estimates

The following describe small changes to the calculation of the key metrics that help remove noise from them. Currently these "tweaks" are described separately to keep the main description succinct. In future revisions of the draft these enhancements may replace the original key metric calculations.

### 3.3.1. Oscillation noise

When a path has no bottleneck, `var_est` will be very small and the recorded significant mean crossings will be the result of path noise. Thus up to  $N-1$  meaningless mean crossings can be a source of error at the point a link becomes a bottleneck and flows traversing it begin to be grouped.

To remove this source of noise from `freq_est`:

1. Set the current `var_base_T` = NaN (a value representing an invalid record, i.e. Not a Number) for flows that are deemed to not be transiting a bottleneck by the first `skew_est` based grouping test (see Section 3.2.1).
2. Then `var_est` = `sum_MT(var_base_T != NaN) / num_MT(OWD)`
3. For `freq_est`, only record a significant mean crossing if flow deemed to be transiting a bottleneck.

These three changes can help to remove the non-bottleneck noise from `freq_est`.

### 3.3.2. Clock skew

Generally sender and receiver clock skew will be too small to cause significant errors in the estimators. `Skew_est` is most sensitive to this type of noise. In circumstances where clock skew is high, basing `skew_est` only on the previous  $T$ 's mean provides a noisier but reliable signal.

A better method is to estimate the effect the clock skew is having on the summary statistics, and then adjust statistics accordingly. A simple online method of doing this based on `min_T(OWD)` will be described here in a subsequent version of the draft.

## 3.4. Reducing lag and Improving Responsiveness

Measurement based shared bottleneck detection makes decisions in the present based on what has been measured in the past. This means that there is always a lag in responding to changing conditions. This mechanism is based on summary statistics taken over  $(N*T)$  seconds. This mechanism can be made more responsive to changing conditions by:

1. Reducing  $N$  and/or  $M$  -- but at the expense of having less accurate metrics, and/or



2. Exploiting the fact that more recent measurements are more valuable than older measurements and weighting them accordingly.

Although more recent measurements are more valuable, older measurements are still needed to gain an accurate estimate of the distribution descriptor we are measuring. Unfortunately, the simple exponentially weighted moving average weights drop off too quickly for our requirements and have an infinite tail. A simple linearly declining weighted moving average also does not provide enough weight to the most recent measurements. We propose a piecewise linear distribution of weights, such that the first section (samples 1:F) is flat as in a simple moving average, and the second section (samples F+1:M) is linearly declining weights to the end of the averaging window. We choose integer weights, which allows incremental calculation without introducing rounding errors.

#### 3.4.1. Improving the response of the skewness estimate

The weighted moving average for skew\_est, based on skew\_est in Section 3.1.2, can be calculated as follows:

$$\begin{aligned} \text{skew\_est} = & ((M-F+1) * \text{sum}(\text{skew\_base\_T}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{skew\_base\_T}(F+1:M))) \\ & / ((M-F+1) * \text{sum}(\text{numsampT}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{numsampT}(F+1:M))) \end{aligned}$$

where numsampT is an array of the number of OWD samples in each T (i.e. num\_T(OWD)), and numsampT(1) is the most recent; skew\_base\_T(1) is the most recent calculation of skew\_base\_T; 1:F refers to the integer values 1 through to F, and [(M-F):1] refers to an array of the integer values (M-F) declining through to 1; and ".\*" is the array scalar dot product operator.

To calculate this weighted skew\_est incrementally:

Notation:  $F_$  - flat portion,  $D_$  - declining portion,  $W_$  - weighted component

Initialise:  $\text{sum\_skewbase} = 0$ ,  $F\_skewbase=0$ ,  $W\_D\_skewbase=0$

$\text{skewbase\_hist}$  = buffer length M initialize to 0

$\text{numsampT}$  = buffer length M initialized to 0

Steps per iteration:

1.  $\text{old\_skewbase} = \text{skewbase\_hist}(M)$
2.  $\text{old\_numsampT} = \text{numsampT}(M)$
3.  $\text{cycle}(\text{skewbase\_hist})$
4.  $\text{cycle}(\text{numsampT})$
5.  $\text{numsampT}(1) = \text{num\_T}(\text{OWD})$
6.  $\text{skewbase\_hist}(1) = \text{skew\_base\_T}$
7.  $F\_skewbase = F\_skewbase + \text{skew\_base\_T} - \text{skewbase\_hist}(F+1)$
8.  $W\_D\_skewbase = W\_D\_skewbase + (M-F) * \text{skewbase\_hist}(F+1) - \text{sum\_skewbase}$
9.  $W\_D\_numsamp = W\_D\_numsamp + (M-F) * \text{numsampT}(F+1) - \text{sum\_numsamp} + F\_numsamp$
10.  $F\_numsamp = F\_numsamp + \text{numsampT}(1) - \text{numsampT}(F+1)$
11.  $\text{sum\_skewbase} = \text{sum\_skewbase} + \text{skewbase\_hist}(F+1) - \text{old\_skewbase}$
12.  $\text{sum\_numsamp} = \text{sum\_numsamp} + \text{numsampT}(1) - \text{old\_numsampT}$
13.  $\text{skew\_est} = ((M-F+1) * F\_skewbase + W\_D\_skewbase) / ((M-F+1) * F\_numsamp + W\_D\_numsamp)$

Where  $\text{cycle}(\dots)$  refers to the operation on a cyclic buffer where the start of the buffer is now the next element in the buffer.

### 3.4.2. Improving the response of the variability estimate

Similarly the weighted moving average for `var_est` can be calculated as follows:

$$\begin{aligned} \text{var\_est} = & ((M-F+1) * \text{sum}(\text{var\_base\_T}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{var\_base\_T}(F+1:M))) \\ & / ((M-F+1) * \text{sum}(\text{numsampT}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{numsampT}(F+1:M))) \end{aligned}$$

where `numsampT` is an array of the number of OWD samples in each `T` (i.e. `num_T(OWD)`), and `numsampT(1)` is the most recent; `skew_base_T(1)` is the most recent calculation of `skew_base_T`; `1:F` refers to the integer values 1 through to `F`, and `[(M-F):1]` refers to an array of the integer values `(M-F)` declining through to 1; and `.*` is the array scalar dot product operator. When removing oscillation noise (see Section 3.3.1) this calculation must be adjusted to allow for invalid `var_base_T` records.

`Var_est` can be calculated incrementally in the same way as `skew_est` in Section 3.4.1. However, note that the buffer `numsampT` is used for both calculations so the operations on it should not be repeated.

## 4. Measuring OWD

This section discusses the OWD measurements required for this algorithm to detect shared bottlenecks.

The SBD mechanism described in this draft relies on differences between OWD measurements to avoid the practical problems with measuring absolute OWD (see [Hayes-LCN14] section IIIC). Since all summary statistics are relative to the mean OWD and sender/receiver clock offsets should be approximately constant over the measurement periods, the offset is subtracted out in the calculation.

### 4.1. Time stamp resolution

The SBD mechanism requires timing information precise enough to be able to make comparisons. As a rule of thumb, the time resolution should be less than one hundredth of a typical path's range of delays. In general, the lower the time resolution, the more care that needs to be taken to ensure rounding errors do not bias the skewness calculation.

Typical RTP media flows use sub-millisecond timers, which should be adequate in most situations.

#### 5. Implementation status

The University of Oslo is currently working on an implementation of this in the Chromium browser.

#### 6. Acknowledgements

This work was part-funded by the European Community under its Seventh Framework Programme through the Reducing Internet Transport Latency (RITE) project (ICT-317700). The views expressed are solely those of the authors.

#### 7. IANA Considerations

This memo includes no request to IANA.

#### 8. Security Considerations

The security considerations of RFC 3550 [RFC3550], RFC 4585 [RFC4585], and RFC 5124 [RFC5124] are expected to apply.

Non-authenticated RTCP packets carrying shared bottleneck indications and summary statistics could allow attackers to alter the bottleneck sharing characteristics for private gain or disruption of other parties communication.

#### 9. Change history

Changes made to this document:

WG-02->WG-03 : Correct misspelled author

WG-01->WG-02 : Removed ambiguity associated with the term "congestion". Expanded the description of initialisation messages. Removed PDV metric. Added description of incremental weighted metric calculations for skew\_est. Various clarifications based on implementation work. Fixed typos and tuned parameters.

WG-00->WG-01 : Moved unbiased skew section to replace skew estimate, more robust variability estimator, the term variance replaced with variability, clock drift term corrected to clock skew, revision to

clock skew section with a place holder, description of parameters.

02->WG-00 : Fixed missing 0.5 in 3.3.2 and missing brace in 3.3.3

01->02 : New section describing improvements to the key metric calculations that help to remove noise, bias, and reduce lag. Some revisions to the notation to make it clearer. Some tightening of the thresholds.

00->01 : Revisions to terminology for clarity

## 10. References

### 10.1. Normative References

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Shared Bottleneck Detection for Coupled Congestion Control for RTP  
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## Abstract

This document describes a mechanism to detect whether end-to-end data flows share a common bottleneck. It relies on summary statistics that are calculated based on continuous measurements and used as input to a grouping algorithm that runs wherever the knowledge is needed.

## Status of This Memo

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## 1. Introduction

In the Internet, it is not normally known if flows (e.g., TCP connections or UDP data streams) traverse the same bottlenecks. Even flows that have the same sender and receiver may take different paths and may or may not share a bottleneck. Flows that share a bottleneck link usually compete with one another for their share of the capacity. This competition has the potential to increase packet loss and delays. This is especially relevant for interactive applications that communicate simultaneously with multiple peers (such as multi-party video). For RTP media applications such as RTCWEB, [I-D.ietf-rmcat-coupled-cc] describes a scheme that combines the congestion controllers of flows in order to honor their priorities and avoid unnecessary packet loss as well as delay. This mechanism relies on some form of Shared Bottleneck Detection (SBD); here, a measurement-based SBD approach is described.

### 1.1. The Basic Mechanism

The mechanism groups flows that have similar statistical characteristics together. Section 3.3.1 describes a simple method for achieving this, however, a major part of this draft is concerned with collecting suitable statistics for this purpose.

### 1.2. The Signals

The current Internet is unable to explicitly inform endpoints as to which flows share bottlenecks, so endpoints need to infer this from whatever information is available to them. The mechanism described here currently utilizes packet loss and packet delay, but is not restricted to these. As ECN becomes more prevalent it too will become a valuable base signal.

#### 1.2.1. Packet Loss

Packet loss is often a relatively infrequent indication that a flow traverses a bottleneck. Therefore, on its own it is of limited use for SBD, however, it is a valuable supplementary measure when it is more prevalent (refer to [RFC2680] section 2.5 for measuring packet loss).

### 1.2.2. Packet Delay

End-to-end delay measurements include noise from every device along the path in addition to the delay perturbation at the bottleneck device. The noise is often significantly increased if the round-trip time is used. The cleanest signal is obtained by using One-Way-Delay (OWD) (refer to [RFC7679] section 3 for a definition of OWD).

Measuring absolute OWD is difficult since it requires both the sender and receiver clocks to be synchronized. However, since the statistics being collected are relative to the mean OWD, a relative OWD measurement is sufficient. Clock skew is not usually significant over the time intervals used by this SBD mechanism (see [RFC6817] A.2 for a discussion on clock skew and OWD measurements). However, in circumstances where it is significant, Section 5.2 outlines a way of adjusting the calculations to cater for it.

Each packet arriving at the bottleneck buffer may experience very different queue lengths, and therefore different waiting times. A single OWD sample does not, therefore, characterize the path well. However, multiple OWD measurements do reflect the distribution of delays experienced at the bottleneck.

### 1.2.3. Path Lag

Flows that share a common bottleneck may traverse different paths, and these paths will often have different base delays. This makes it difficult to correlate changes in delay or loss. This technique uses the long term shape of the delay distribution as a base for comparison to counter this.

## 2. Definitions

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "NOT RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in BCP 14 [RFC2119] RFC2119 [RFC2119] RFC8174 [RFC8174] when, and only when, they appear in all capitals, as shown here.

Acronyms used in this document:

OWD -- One Way Delay

MAD -- Mean Absolute Deviation

RTT -- Round Trip Time

SBD -- Shared Bottleneck Detection

## Conventions used in this document:

T	--	the base time interval over which measurements are made
N	--	the number of base time, T, intervals used in some calculations
M	--	the number of base time, T, intervals used in some calculations, where $M \leq N$
sum(...)	--	summation of terms of the variable in parentheses
sum_T(...)	--	summation of all the measurements of the variable in parentheses taken over the interval T
sum_NT(...)	--	summation of all measurements taken over the interval $N \cdot T$
sum_MT(...)	--	summation of all measurements taken over the interval $M \cdot T$
E_T(...)	--	the expectation or mean of the measurements of the variable in parentheses over T
E_N(...)	--	the expectation or mean of the last N values of the variable in parentheses
E_M(...)	--	the expectation or mean of the last M values of the variable in parentheses
num_T(...)	--	the count of measurements of the variable in parentheses taken in the interval T
num_MT(...)	--	the count of measurements of the variable in parentheses taken in the interval NT
PB	--	a boolean variable indicating the particular flow was identified transiting a bottleneck in the previous interval T (i.e. Previously Bottleneck)
skew_est	--	a measure of skewness in a OWD distribution
skew_base_T	--	a variable used as an intermediate step in calculating skew_est
var_est	--	a measure of variability in OWD measurements

var\_base\_T -- a variable used as an intermediate step in calculating var\_est

freq\_est -- a measure of low frequency oscillation in the OWD measurements

pkt\_loss -- a measure of the proportion of packets lost

p\_l, p\_f, p\_mad, c\_s, c\_h, p\_s, p\_d, p\_v -- various thresholds used in the mechanism

M and F -- number of values related to N

## 2.1. Parameters and Their Effect

T        T should be long enough so that there are enough packets received during T for a useful estimate of short term mean OWD and variation statistics. Making T too large can limit the efficacy of freq\_est. It will also increase the response time of the mechanism. Making T too small will make the metrics noisier.

N & M    N should be large enough to provide a stable estimate of oscillations in OWD. Usually M=N, though having M<N may be beneficial in certain circumstances. M\*T needs to be long enough to provide stable estimates of skewness and MAD.

F        F determines the number of intervals over which statistics are considered to be equally weighted. When F=M recent and older measurements are considered equal. Making F<M can increase the responsiveness of the SBD mechanism. If F is too small, statistics will be too noisy.

c\_s      c\_s is the threshold in skew\_est used for determining whether a flow is transiting a bottleneck or not. Lower values of c\_s require bottlenecks to be more congested to be considered for grouping by the mechanism. c\_s should be set within the range of +0.2 to -0.1; low enough so that lightly loaded paths do not give a false indication.

p\_l      p\_l is the threshold in pkt\_loss used for determining whether a flow is transiting a bottleneck or not. When pkt\_loss is high it becomes a better indicator of congestion than skew\_est.

- `c_h` `c_h` adds hysteresis to the bottleneck determination. It should be large enough to avoid constant switching in the determination, but low enough to ensure that grouping is not attempted when there is no bottleneck and the delay and loss signals cannot be relied upon.
- `p_v` `p_v` determines the sensitivity of `freq_est` to noise. Making it smaller will yield higher but noisier values for `freq_est`. Making it too large will render it ineffective for determining groups.
- `p_*` Flows are separated when the `skew_est|var_est|freq_est|pkt_loss` measure is greater than `p_s|p_mad|p_f|p_d`. Adjusting these is a compromise between false grouping of flows that do not share a bottleneck and false splitting of flows that do. Making them larger can help if the measures are very noisy, but reducing the noise in the statistical measures by adjusting `T` and `N|M` may be a better solution.

## 2.2. Recommended Parameter Values

Reference [Hayes-LCN14] uses `T=350ms`, `N=50`, `p_l=0.1`. The other parameters have been tightened to reflect minor enhancements to the algorithm outlined in Section 4: `c_s=0.1`, `p_f=p_d=0.1`, `p_s=0.15`, `p_mad=0.1`, `p_v=0.7`. `M=30`, `F=20`, and `c_h = 0.3` are additional parameters defined in the document. These are values that seem to work well over a wide range of practical Internet conditions.

## 3. Mechanism

The mechanism described in this document is based on the observation that the distribution of delay measurements of packets that traverse a common bottleneck have similar shape characteristics. These shape characteristics are described using 3 key summary statistics:

variability (estimate `var_est`, see Section 3.2.3)

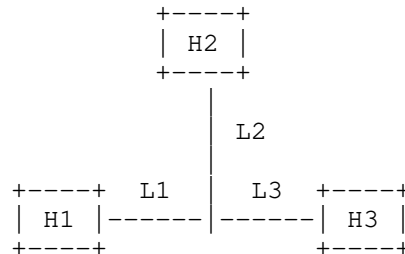
skewness (estimate `skew_est`, see Section 3.2.2)

oscillation (estimate `freq_est`, see Section 3.2.4)

with packet loss (estimate `pkt_loss`, see Section 3.2.5) used as a supplementary statistic.

Summary statistics help to address both the noise and the path lag problems by describing the general shape over a relatively long period of time. Each summary statistic portrays a "view" of the

bottleneck link characteristics, and when used together, they provide a robust discrimination for grouping flows. An RTP Media device may be both a sender and a receiver and SBD can be performed at either a sender or a receiver or both.



A network with 3 hosts (H1, H2, H3) and 3 links (L1, L2, L3).

Figure 1

In Figure 1, there are two possible locations for shared bottleneck detection: sender-side and receiver-side.

1. Sender-side: consider a situation where host H1 sends media streams to hosts H2 and H3, and L1 is a shared bottleneck. H2 and H3 measure the OWD and packet loss and either send back this raw data, or the calculated summary statistics, periodically to H1 every T. H1, having this knowledge, can determine the shared bottleneck and accordingly control the send rates.
2. Receiver-side: consider that H2 is also sending media to H3, and L3 is a shared bottleneck. If H3 sends summary statistics to H1 and H2, neither H1 nor H2 alone obtain enough knowledge to detect this shared bottleneck; H3 can however determine it by combining the summary statistics related to H1 and H2, respectively.

### 3.1. SBD Feedback Requirements

There are three possible scenarios each with different feedback requirements:

1. Both summary statistic calculations and SBD are performed at senders only. When sender-based congestion control is implemented, this method is RECOMMENDED.
2. Summary statistics calculated on the receivers and SBD at the senders.

3. Summary statistic calculations on receivers, and SBD performed at both senders and receivers (beyond the current scope, but allows cooperative detection of bottlenecks).

All three possibilities are discussed for completeness in this document, however, it is expected that feedback will take the form of scenario 1 and operate in conjunction with sender-based congestion control mechanisms.

#### 3.1.1. Feedback When All the Logic is Placed at the Sender

Having the sender calculate the summary statistics and determine the shared bottlenecks based on them has the advantage of placing most of the functionality in one place -- the sender.

For every packet, the sender requires accurate relative OWD measurements of adequate precision, along with an indication of lost packets (or the proportion of packets lost over an interval). An method to provide such measurement data with RTCP is described in [I-D.ietf-avtcore-cc-feedback-message].

Sums, var\_base\_T and skew\_base\_T are calculated incrementally as relative OWD measurements are determined from the feedback messages. When the mechanism has received sufficient measurements to cover the T base time interval for all flows, the summary statistics (see Section 3.2) are calculated for that T interval and flows are grouped (see Section 3.3.1). The exact timing of these calculations will depend on the frequency of the feedback message.

#### 3.1.2. Feedback When the Statistics are Calculated at the Receiver and SBD Performed at the Sender

This scenario minimizes feedback, but requires receivers to send selected summary statistics at an agreed regular interval. We envisage the following exchange of information to initialize the system:

- o An initialization message from the sender to the receiver will contain the following information:
  - \* A list of which key metrics should be collected and relayed back to the sender out of a possibly extensible set (pkt\_loss, var\_est, skew\_est, freq\_est). The grouping algorithm described in this document requires all four of these metrics, and receivers MUST be able to provide them, but future algorithms may be able to exploit other metrics (e.g. metrics based on explicit network signals).



- \* The values of T, N, M, and the necessary resolution and precision of the relayed statistics.
- o A response message from the receiver acknowledges this message with a list of key metrics it supports (subset of the senders list) and is able to relay back to the sender.

This initialization exchange may be repeated to finalize the agreed metrics should not all be supported by all receivers. It is also recommendable to include an identifier for the SBD algorithm version in the initialization message from the sender, so that potential advances in SBD technology can be easily deployed. For reference, the mechanism outlined in this document has the identifier SBD=01.

After initialization the agreed summary statistics are fed back to the sender (nominally every T).

### 3.1.3. Feedback When Bottlenecks can be Determined at Both Senders and Receivers

This type of mechanism is currently beyond the scope of the SBD algorithm described in this document. It is mentioned here to ensure more advanced sender/receiver cooperative shared bottleneck determination mechanisms remain possible in the future.

It is envisaged that such a mechanism would be initialized in a similar manner to that described in Section 3.1.2.

After initialization both summary statistics and shared bottleneck determinations should be exchanged, nominally every T.

## 3.2. Key Metrics and Their Calculation

Measurements are calculated over a base interval, T and summarized over N or M such intervals. All summary statistics can be calculated incrementally.

### 3.2.1. Mean Delay

The mean delay is not a useful signal for comparisons between flows since flows may traverse quite different paths and clocks will not necessarily be synchronized. However, it is a base measure for the 3 summary statistics. The mean delay,  $E_T(OWD)$ , is the average one way delay measured over T.

To facilitate the other calculations, the last  $N$   $E_T(OWD)$  values will need to be stored in a cyclic buffer along with the moving average of  $E_T(OWD)$ :

$$\text{mean\_delay} = E_M(E_T(OWD)) = \text{sum}_M(E_T(OWD)) / M$$

where  $M \leq N$ . Setting  $M$  to be less than  $N$  allows the mechanism to be more responsive to changes, but potentially at the expense of a higher error rate (see Section 4.1 for a discussion on improving the responsiveness of the mechanism.)

### 3.2.2. Skewness Estimate

Skewness is difficult to calculate efficiently and accurately. Ideally it should be calculated over the entire period ( $M * T$ ) from the mean OWD over that period. However this would require storing every delay measurement over the period. Instead, an estimate is made over  $M * T$  based on a calculation every  $T$  using the previous  $T$ 's calculation of  $\text{mean\_delay}$ .

The base for the skewness calculation is estimated using a counter initialized every  $T$ . It increments for one way delay (OWD) samples below the mean and decrements for OWD above the mean. So for each OWD sample:

```
if (OWD < mean_delay) skew_base_T++
```

```
if (OWD > mean_delay) skew_base_T--
```

The  $\text{mean\_delay}$  does not include the mean of the current  $T$  interval to enable it to be calculated iteratively.

$$\text{skew\_est} = \text{sum}_{MT}(\text{skew\_base\_T}) / \text{num}_{MT}(OWD)$$

where  $\text{skew\_est}$  is a number between  $-1$  and  $1$

Note: Care must be taken when implementing the comparisons to ensure that rounding does not bias  $\text{skew\_est}$ . It is important that the mean is calculated with a higher precision than the samples.

### 3.2.3. Variability Estimate

Mean Absolute Deviation (MAD) delay is a robust variability measure that copes well with different send rates. It can be implemented in an online manner as follows:

$$\text{var\_base\_T} = \text{sum\_T}(|\text{OWD} - \text{E\_T}(\text{OWD})|)$$

where

$|x|$  is the absolute value of  $x$

$\text{E\_T}(\text{OWD})$  is the mean OWD calculated in the previous  $T$

$$\text{var\_est} = \text{MAD\_MT} = \text{sum\_MT}(\text{var\_base\_T}) / \text{num\_MT}(\text{OWD})$$

### 3.2.4. Oscillation Estimate

An estimate of the low frequency oscillation of the delay signal is calculated by counting and normalizing the significant mean,  $\text{E\_T}(\text{OWD})$ , crossings of  $\text{mean\_delay}$ :

$$\text{freq\_est} = \text{number\_of\_crossings} / N$$

where we define a significant mean crossing as a crossing that extends  $p\_v * \text{var\_est}$  from  $\text{mean\_delay}$ . In our experiments we have found that  $p\_v = 0.7$  is a good value.

$\text{Freq\_est}$  is a number between 0 and 1.  $\text{Freq\_est}$  can be approximated incrementally as follows:

With each new calculation of  $\text{E\_T}(\text{OWD})$  a decision is made as to whether this value of  $\text{E\_T}(\text{OWD})$  significantly crosses the current long term mean,  $\text{mean\_delay}$ , with respect to the previous significant mean crossing.

A cyclic buffer,  $\text{last\_N\_crossings}$ , records a 1 if there is a significant mean crossing, otherwise a 0.

The counter,  $\text{number\_of\_crossings}$ , is incremented when there is a significant mean crossing and decremented when a non-zero value is removed from the  $\text{last\_N\_crossings}$ .

This approximation of  $\text{freq\_est}$  was not used in [Hayes-LCN14], which calculated  $\text{freq\_est}$  every  $T$  using the current  $\text{E\_N}(\text{E\_T}(\text{OWD}))$ . Our tests show that this approximation of  $\text{freq\_est}$  yields results that are almost identical to when the full calculation is performed every  $T$ .

### 3.2.5. Packet Loss

The proportion of packets lost over the period NT is used as a supplementary measure:

$$\text{pkt\_loss} = \text{sum\_NT}(\text{lost packets}) / \text{sum\_NT}(\text{total packets})$$

Note: When pkt\_loss is small it is very variable, however, when pkt\_loss is high it becomes a stable measure for making grouping decisions.

## 3.3. Flow Grouping

### 3.3.1. Flow Grouping Algorithm

The following grouping algorithm is RECOMMENDED for use of SBD with coupled congestion control for RTP media [I-D.ietf-rmcat-coupled-cc] and is sufficient and efficient for small to moderate numbers of flows. For very large numbers of flows (e.g. hundreds), a more complex clustering algorithm may be substituted.

Since no single metric is precise enough to group flows (due to noise), the algorithm uses multiple metrics. Each metric offers a different "view" of the bottleneck link characteristics, and used together they enable a more precise grouping of flows than would otherwise be possible.

Flows determined to be transiting a bottleneck are successively divided into groups based on freq\_est, var\_est, skew\_est and pkt\_loss.

The first step is to determine which flows are transiting a bottleneck. This is important, since if a flow is not transiting a bottleneck its delay based metrics will not describe the bottleneck, but the "noise" from the rest of the path. Skewness, with proportion of packet loss as a supplementary measure, is used to do this:

1. Grouping will be performed on flows that are inferred to be traversing a bottleneck by:

$$\text{skew\_est} < c\_s$$
$$|| ( \text{skew\_est} < c\_h \ \& \ PB ) \ || \ \text{pkt\_loss} > p\_l$$

The parameter `c_s` controls how sensitive the mechanism is in detecting a bottleneck. `c_s = 0.0` was used in [Hayes-LCN14]. A value of `c_s = 0.1` is a little more sensitive, and `c_s = -0.1` is a little less sensitive. `c_h` controls the hysteresis on flows that were grouped as transiting a bottleneck last time. If the test result is TRUE, `PB=TRUE`, otherwise `PB=FALSE`.

These flows, flows transiting a bottleneck, are then progressively divided into groups based on the `freq_est`, `var_est`, and `skew_est` summary statistics. The process proceeds according to the following steps:

2. Group flows whose difference in sorted `freq_est` is less than a threshold:

$$\text{diff}(\text{freq\_est}) < p\_f$$

3. Subdivide the groups obtained in 2. by grouping flows whose difference in sorted `E_M(var_est)` (highest to lowest) is less than a threshold:

$$\text{diff}(\text{var\_est}) < (p\_mad * \text{var\_est})$$

The threshold,  $(p\_mad * \text{var\_est})$ , is with respect to the highest value in the difference.

4. Subdivide the groups obtained in 3. by grouping flows whose difference in sorted `skew_est` is less than a threshold:

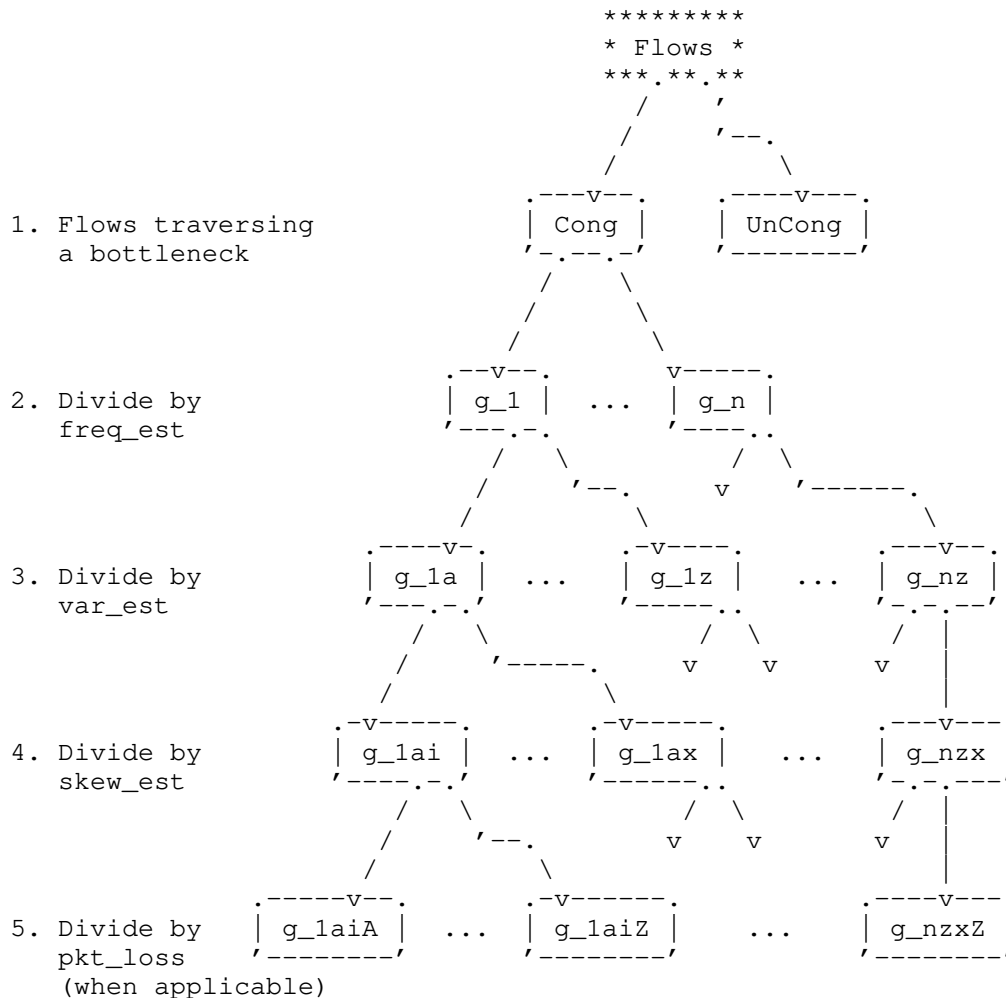
$$\text{diff}(\text{skew\_est}) < p\_s$$

5. When packet loss is high enough to be reliable (`pkt_loss > p_l`), Subdivide the groups obtained in 4. by grouping flows whose difference is less than a threshold

$$\text{diff}(\text{pkt\_loss}) < (p\_d * \text{pkt\_loss})$$

The threshold,  $(p\_d * \text{pkt\_loss})$ , is with respect to the highest value in the difference.

This procedure involves sorting estimates from highest to lowest. It is simple to implement, and efficient for small numbers of flows (up to 10-20). Figure 2 illustrates this algorithm.



Simple grouping algorithm.

Figure 2

### 3.3.2. Using the Flow Group Signal

Grouping decisions can be made every  $T$  from the second  $T$ , however they will not attain their full design accuracy until after the  $2*N'$ th  $T$  interval. We recommend that grouping decisions are not made until  $2*M$   $T$  intervals.

Network conditions, and even the congestion controllers, can cause bottlenecks to fluctuate. A coupled congestion controller MAY decide only to couple groups that remain stable, say grouped together 90% of the time, depending on its objectives. Recommendations concerning this are beyond the scope of this document and will be specific to the coupled congestion controller's objectives.

## 4. Enhancements to the Basic SBD Algorithm

The SBD algorithm as specified in Section 3 was found to work well for a broad variety of conditions. The following enhancements to the basic mechanisms have been found to significantly improve the algorithm's performance under some circumstances and SHOULD be implemented. These "tweaks" are described separately to keep the main description succinct.

### 4.1. Reducing Lag and Improving Responsiveness

This section describes how to improve the responsiveness of the basic algorithm.

Measurement based shared bottleneck detection makes decisions in the present based on what has been measured in the past. This means that there is always a lag in responding to changing conditions. This mechanism is based on summary statistics taken over  $(N*T)$  seconds. This mechanism can be made more responsive to changing conditions by:

1. Reducing  $N$  and/or  $M$  -- but at the expense of having less accurate metrics, and/or
2. Exploiting the fact that more recent measurements are more valuable than older measurements and weighting them accordingly.

Although more recent measurements are more valuable, older measurements are still needed to gain an accurate estimate of the distribution descriptor we are measuring. Unfortunately, the simple exponentially weighted moving average weights drop off too quickly for our requirements and have an infinite tail. A simple linearly declining weighted moving average also does not provide enough weight to the most recent measurements. We propose a piecewise linear distribution of weights, such that the first section (samples 1:F) is

flat as in a simple moving average, and the second section (samples F+1:M) is linearly declining weights to the end of the averaging window. We choose integer weights, which allows incremental calculation without introducing rounding errors.

#### 4.1.1. Improving the Response of the Skewness Estimate

The weighted moving average for skew\_est, based on skew\_est in Section 3.2.2, can be calculated as follows:

$$\begin{aligned} \text{skew\_est} = & ((M-F+1) * \text{sum}(\text{skew\_base\_T}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{skew\_base\_T}(F+1:M))) \\ & / ((M-F+1) * \text{sum}(\text{numsampT}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{numsampT}(F+1:M))) \end{aligned}$$

where numsampT is an array of the number of OWD samples in each T (i.e. num\_T(OWD)), and numsampT(1) is the most recent; skew\_base\_T(1) is the most recent calculation of skew\_base\_T; 1:F refers to the integer values 1 through to F, and [(M-F):1] refers to an array of the integer values (M-F) declining through to 1; and ".\*" is the array scalar dot product operator.



To calculate this weighted skew\_est incrementally:

Notation:  $F_{-}$  - flat portion,  $D_{-}$  - declining portion,  $W_{-}$  - weighted component

Initialize:  $sum\_skewbase = 0$ ,  $F\_skewbase=0$ ,  $W\_D\_skewbase=0$

$skewbase\_hist$  = buffer length M initialize to 0

$numsampT$  = buffer length M initialized to 0

Steps per iteration:

1.  $old\_skewbase = skewbase\_hist(M)$
2.  $old\_numsampT = numsampT(M)$
3.  $cycle(skewbase\_hist)$
4.  $cycle(numsampT)$
5.  $numsampT(1) = num\_T(OWD)$
6.  $skewbase\_hist(1) = skew\_base\_T$
7.  $F\_skewbase = F\_skewbase + skew\_base\_T - skewbase\_hist(F+1)$
8.  $W\_D\_skewbase = W\_D\_skewbase + (M-F)*skewbase\_hist(F+1) - sum\_skewbase$
9.  $W\_D\_numsamp = W\_D\_numsamp + (M-F)*numsampT(F+1) - sum\_numsamp + F\_numsamp$
10.  $F\_numsamp = F\_numsamp + numsampT(1) - numsampT(F+1)$
11.  $sum\_skewbase = sum\_skewbase + skewbase\_hist(F+1) - old\_skewbase$
12.  $sum\_numsamp = sum\_numsamp + numsampT(1) - old\_numsampT$
13.  $skew\_est = ((M-F+1)*F\_skewbase + W\_D\_skewbase) / ((M-F+1)*F\_numsamp+W\_D\_numsamp)$

Where  $cycle(....)$  refers to the operation on a cyclic buffer where the start of the buffer is now the next element in the buffer.

#### 4.1.2. Improving the Response of the Variability Estimate

Similarly the weighted moving average for `var_est` can be calculated as follows:

$$\begin{aligned} \text{var\_est} = & ((M-F+1) * \text{sum}(\text{var\_base\_T}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{var\_base\_T}(F+1:M))) \\ & / ((M-F+1) * \text{sum}(\text{numsampT}(1:F)) \\ & + \text{sum}([(M-F):1] .* \text{numsampT}(F+1:M))) \end{aligned}$$

where `numsampT` is an array of the number of OWD samples in each `T` (i.e. `num_T(OWD)`), and `numsampT(1)` is the most recent; `skew_base_T(1)` is the most recent calculation of `skew_base_T`; `1:F` refers to the integer values 1 through to `F`, and `[(M-F):1]` refers to an array of the integer values `(M-F)` declining through to 1; and `.*` is the array scalar dot product operator. When removing oscillation noise (see Section 4.2) this calculation must be adjusted to allow for invalid `var_base_T` records.

`Var_est` can be calculated incrementally in the same way as `skew_est` in Section 4.1.1. However, note that the buffer `numsampT` is used for both calculations so the operations on it should not be repeated.

#### 4.2. Removing Oscillation Noise

When a path has no bottleneck, `var_est` will be very small and the recorded significant mean crossings will be the result of path noise. Thus up to `N-1` meaningless mean crossings can be a source of error at the point a link becomes a bottleneck and flows traversing it begin to be grouped.

To remove this source of noise from `freq_est`:

1. Set the current `var_base_T` = NaN (a value representing an invalid record, i.e. Not a Number) for flows that are deemed to not be transiting a bottleneck by the first `skew_est` based grouping test (see Section 3.3.1).
2. Then `var_est` = `sum_MT(var_base_T != NaN) / num_MT(OWD)`
3. For `freq_est`, only record a significant mean crossing if flow deemed to be transiting a bottleneck.

These three changes can help to remove the non-bottleneck noise from `freq_est`.

## 5. Measuring OWD

This section discusses the OWD measurements required for this algorithm to detect shared bottlenecks.

The SBD mechanism described in this document relies on differences between OWD measurements to avoid the practical problems with measuring absolute OWD (see [Hayes-LCN14] section IIIC). Since all summary statistics are relative to the mean OWD and sender/receiver clock offsets should be approximately constant over the measurement periods, the offset is subtracted out in the calculation.

### 5.1. Time-stamp Resolution

The SBD mechanism requires timing information precise enough to be able to make comparisons. As a rule of thumb, the time resolution should be less than one hundredth of a typical path's range of delays. In general, the coarser the time resolution, the more care that needs to be taken to ensure rounding errors do not bias the skewness calculation. Frequent timing information in millisecond resolution as described by [I-D.ietf-avtcore-cc-feedback-message] should be sufficient for the sender to calculate relative OWD.

### 5.2. Clock Skew

Generally sender and receiver clock skew will be too small to cause significant errors in the estimators. `Skew_est` and `freq_est` are the most sensitive to this type of noise due to their use of a mean OWD calculated over a longer interval. In circumstances where clock skew is high, basing `skew_est` only on the previous T's mean and ignoring `freq_est` provides a noisier but reliable signal.

A more sophisticated method is to estimate the effect the clock skew is having on the summary statistics, and then adjust statistics accordingly. There are a number of techniques in the literature, including [Zhang-Infocom02].

## 6. Expected Feedback from Experiments

The algorithm described in this memo has so far been evaluated using simulations and small scale experiments. Real network tests using RTP Media Congestion Avoidance Techniques (RMCAT) congestion control algorithms will help confirm the default parameter choice. For example, the time interval T may need to be made longer if the packet

rate is very low. Implementers and testers are invited to document their findings in an Internet draft.

## 7. Acknowledgments

This work was part-funded by the European Community under its Seventh Framework Programme through the Reducing Internet Transport Latency (RITE) project (ICT-317700). The views expressed are solely those of the authors.

## 8. IANA Considerations

This memo includes no request to IANA.

## 9. Security Considerations

The security considerations of RFC 3550 [RFC3550], RFC 4585 [RFC4585], and RFC 5124 [RFC5124] are expected to apply.

Non-authenticated RTCP packets carrying OWD measurements, shared bottleneck indications, and/or summary statistics could allow attackers to alter the bottleneck sharing characteristics for private gain or disruption of other parties' communication. When using SBD for coupled congestion control as described in [I-D.ietf-rmcat-coupled-cc], the security considerations of [I-D.ietf-rmcat-coupled-cc] apply.

## 10. Change history

XX RFC ED - PLEASE REMOVE THIS SECTION XXX

Changes made to this document:

- WG-10->WG-11 : Genart review addressed.
- WG-09->WG-10 : AD review addressed.
- WG-08->WG-09 : Removed definitions that are no longer used. Added pkt\_loss definition. Refined c\_s recommendation.
- WG-07->WG-08 : Updates addressing <https://www.ietf.org/mail-archive/web/rmcat/current/msg01671.html> Mainly clarifications.
- WG-06->WG-07 : Updates addressing [https://mailarchive.ietf.org/arch/msg/rmcat/80B6q4nI7carGcf\\_ddBwx7nKvOw](https://mailarchive.ietf.org/arch/msg/rmcat/80B6q4nI7carGcf_ddBwx7nKvOw). Mainly

clarifications. Figure 2 to supplement grouping algorithm description.

- WG-05->WG-06 : Updates addressing WG reviews  
<https://mailarchive.ietf.org/arch/msg/rmcat/-1JdrTMq1Y5T6ZNlOkrQJQ27TzE> and  
[https://mailarchive.ietf.org/arch/msg/rmcat/eI2Q1f8NL2SxbJgjFLR4\\_rEmJ\\_g](https://mailarchive.ietf.org/arch/msg/rmcat/eI2Q1f8NL2SxbJgjFLR4_rEmJ_g). This has mainly involved minor clarifications, including the moving of 3.4.1 and 3.5 into the new Section 4, and 3.4.1 into Section 5
- WG-04->WG-05 : Fix ToC formatting. Add section on expected feedback from experiments replacing short section on implementation status. Added comment on ECN as a signal. Clarification of lost packet signaling. Change term "draft" to "document" where appropriate. American spelling. Some tightening of the text.
- WG-03->WG-04 : Add M to terminology table, suggest skew\_est based on previous T and no freq\_est in clock skew section, feedback requirements as a separate sub section.
- WG-02->WG-03 : Correct misspelled author
- WG-01->WG-02 : Removed ambiguity associated with the term "congestion". Expanded the description of initialization messages. Removed PDV metric. Added description of incremental weighted metric calculations for skew\_est. Various clarifications based on implementation work. Fixed typos and tuned parameters.
- WG-00->WG-01 : Moved unbiased skew section to replace skew estimate, more robust variability estimator, the term variance replaced with variability, clock drift term corrected to clock skew, revision to clock skew section with a place holder, description of parameters.
- 02->WG-00 : Fixed missing 0.5 in 3.3.2 and missing brace in 3.3.3
- 01->02 : New section describing improvements to the key metric calculations that help to remove noise, bias, and reduce lag. Some revisions to the

notation to make it clearer. Some tightening of the thresholds.

00->01 : Revisions to terminology for clarity

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Self-Clocked Rate Adaptation for Multimedia  
draft-ietf-rmcat-scream-cc-02

Abstract

This memo describes a rate adaptation algorithm for conversational media services such as video. The solution conforms to the packet conservation principle and uses a hybrid loss and delay based congestion control algorithm. The algorithm is evaluated over both simulated Internet bottleneck scenarios as well as in a LTE (Long Term Evolution) system simulator and is shown to achieve both low latency and high video throughput in these scenarios.

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## 1. Introduction

Congestion in the Internet is a reality and applications that are deployed in the Internet must have congestion control schemes in place not only for the robustness of the service that it provides but also to ensure the function of the currently deployed Internet. As the interactive realtime communication imposes a great deal of requirements on the transport, a robust, efficient rate adaptation for all access types is considered as an important part of interactive realtime communications as the transmission channel bandwidth may vary over time. Wireless access such as LTE, which is an integral part of the current Internet, increases the importance of rate adaptation as the channel bandwidth of a default LTE bearer [QoS-3GPP] can change considerably in a very short time frame. Thus a rate adaptation solution for interactive realtime media, such as WebRTC, must be both quick and be able to operate over a large span in available channel bandwidth. This memo describes a solution, named SCReAM, that is based on the self-clocking principle of TCP and uses techniques similar to what is used in a new delay based rate adaptation algorithm, LEDBAT [RFC6817].

### 1.1. Wireless (LTE) access properties

[I-D.ietf-rmcat-wireless-tests] describes the complications that can be observed in wireless environments. Wireless access such as LTE can typically not guarantee a given bandwidth, this is true especially for default bearers. The network throughput may vary considerably for instance in cases where the wireless terminal is moving around.

Unlike wireline bottlenecks with large statistical multiplexing it is not possible to try to maintain a given bitrate when congestion is detected with the hope that other flows will yield, this is because there are generally few other flows competing for the same bottleneck. Each user gets its own variable throughput bottleneck, where the throughput depends on factors like channel quality, network load and historical throughput. The bottom line is, if the throughput drops, the sender has no other option than to reduce the bitrate. In addition, the grace time, i.e. allowed reaction time from the time that the congestion is detected until a reaction in terms of a rate reduction is effected, is generally very short, in the order of one RTT (Round Trip Time).

### 1.2. Why is it a self-clocked algorithm?

Self-clocked congestion control algorithm provides with a benefit over the rate based counterparts in that the former consists of two parts; the congestion window computation that evolves over a longer

timescale (several RTTs) especially when the congestion window evolution is dictated by estimated delay and; the fine grained congestion control given by the self-clocking which operates on a shorter time scale (1 RTT).

A rate based congestion control has only one mechanism to adjust the sending rate and that makes it more problematic to reach the goal of prompt reaction to congestion and also high throughput when channel conditions are good.

## 2. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC2119 [RFC2119]

## 3. Overview of SCReAM Algorithm

The core SCReAM algorithm has similarities to the concepts of self-clocking used in TFWC [TFWC] and follows the packet conservation principle. The packet conservation principle is described as an important key-factor behind the protection of networks from congestion [PACKET\_CONSERVATION].

In case of SCReAM, the receiver of the media sends the highest received sequence number back to the sender, the sender keeps a list of transmitted packets and their respective sizes. This information is then used to determine the amount of bytes can be transmitted at any given time instant. A congestion window puts an upper limit on how many bytes can be in flight, i.e. transmitted but not yet acknowledged. This is how the packet conservation principle is realized. The congestion window is determined in a way similar to LEDBAT [RFC6817].

LEDBAT is a congestion control algorithm that uses send and receive timestamps to estimate the queuing delay along the transmission path. The use of LEDBAT ensures that the e2e latency is kept low. The basic functionality is quite simple, there are however a few steps to take to make the concept work with conversational media. In a few words they are:

- o Congestion window validation techniques. These are similar in action as the method described in [I-D.ietf-tcpm-newcwnd]. The allowed idle period in this draft is shorter than in the reference, this to avoid excessive delays in the cases where e.g. wireless throughput has decreased during a period where the output bitrate has been low. Furthermore, this draft allows for more relaxed rules when the congestion window is allowed to grow, this

is necessary as the variable output bitrate generally means that the congestion window is often under-utilized.

- o Fast increase for quicker bitrate increase. It makes the media bitrate ramp-up within 5 to 10 seconds. The behavior is similar to TCP slowstart. The fast increase is exited when congestion is detected. The fast increase state can be however be resumed if the congestion level is low, this to enable a reasonably quick rate increase in case link throughput increases.
- o A delay trend is computed for earlier detection of incipient congestion and as a result it reduces jitter.
- o Addition of media a rate control function.
- o Use of inflection points to calculate congestion window and media rate to achieve reduced jitter.
- o Adjustment of delay target for better performance when competing with other loss based congestion controlled flows

The above mentioned features will be described in more detail in sections Section 3.1 to Section 3.3.

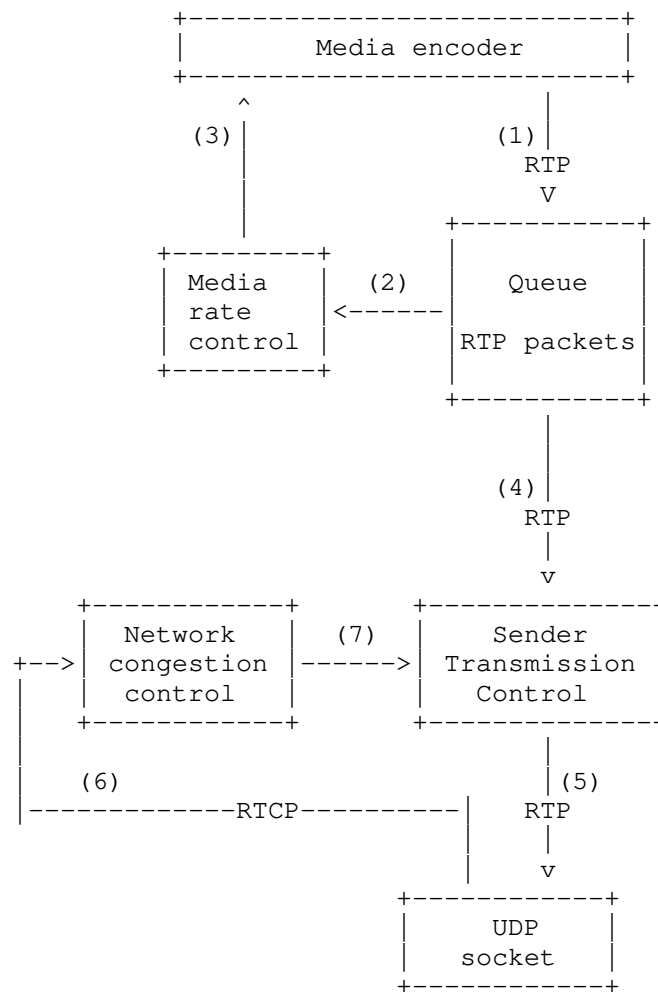


Figure 1: SCReAM sender functional view

The SCReAM algorithm constitutes mainly of three parts: network congestion control, sender transmission control and media rate adaptation. All these three parts reside at the sender side. Figure 1 shows the functional overview of a SCReAM sender. The receiver side algorithm is very simple in comparison as it only generates feedback containing acknowledgements to received RTP packets, loss count and ECN [RFC6679] count.

### 3.1. Network Congestion Control

The congestion control sets an upper limit on how much data can be in the network (bytes in flight); this limit is called CWND (congestion window) and is used in the sender transmission control.

The SCReAM congestion control method, uses LEDBAT [RFC6817] to measure the one-way delay (OWD). The OWD can be expressed as the estimated queuing delay. Similar to LEDBAT, it is not necessary to use synchronized clocks in sender and receiver in order to compute the one way delay. It is however necessary that they use the same clock frequency, or that the clock frequency at the receiver can be inferred reliably by the sender. The SCReAM sender calculates the congestion window based on the feedback from the SCReAM receiver. The congestion window is allowed to increase if the OWD is below a predefined target, otherwise the congestion window decreases. The delay target is typically set to 50-100ms. This ensures that the OWD is kept low on the average. The reaction to loss events leads to an instant reduction of CWND. Note that the source rate limited nature of real time media such as video, typically means that the queuing delay will mostly be below the given delay target, this is contrary to the case where large files are transmitted using LEDBAT congestion control, in which case the queuing delay will stay close to the delay target.

### 3.2. Sender Transmission Control

Sender Transmission Control limits the output of data, given by the relation between the number of bytes in flight and the congestion window. Packet pacing is used to mitigate issues with ACK compression that may cause increased jitter and/or packet loss in the media traffic.

### 3.3. Media Rate Control

The media rate control serves to adjust the media bitrate to ramp up quickly enough to get a fair share of the system resources when link throughput increases.

The reaction to reduced throughput must be prompt in order to avoid getting too much data queued up in the RTP packet queues at the sender. The media bitrate is decreased if the RTP queue size exceeds a threshold.

In cases where the sender frame queues increase rapidly such as the case of a RAT (Radio Access Type) handover it may be necessary to implement additional actions, such as discarding of encoded media frames or frame skipping in order to ensure that the RTP queues are

drained quickly. Frame skipping means that the frame rate is temporarily reduced. Which method to use is a design consideration and outside the scope of this algorithm description.

#### 4. Detailed Description of SCReAM

##### 4.1. SCReAM Sender

This section describes the sender side algorithm in more detail. It is a split between the network congestion control and the media rate adaptation.

A SCReAM sender implements media rate control and a queue for each media type or source, where RTP packets containing encoded media frames are temporarily stored for transmission. Figure 1 shows the details when single media sources (a.k.a streams) are used. However, multiple media sources are also supported in the design, in that case the sender transmission control will include a transmission scheduler. The transmission scheduler can then enforce the priorities for the different streams and act like a coupled congestion controller for multiple flows.

Media frames are encoded and forwarded to the RTP queue (1). The media rate adaptation adapts to the size of the RTP queue (2) and controls the media bitrate (3). The RTP packets are picked from the RTP queue (for multiple flows from each queue based on some defined priority order or simply in a round robin fashion) (4) by the sender transmission controller. The sender transmission controller (in case of multiple flows a transmission scheduler) takes care of the transmission of RTP packets, to be written to the UDP socket (5). In the general case all media must go through the sender transmission controller and is allowed to be transmitted if the number of bytes in flight is less than the congestion window. RTCP packets are received (6) and the information about bytes in flight and congestion window is exchanged between the network congestion control and the sender transmission control (7).

##### 4.1.1. Constants and Parameter values

Constants and state variables are listed in this section.

###### 4.1.1.1. Constants

The recommended values for the constants are deduced from experimental results.

OWD\_TARGET\_LO (0.1s)

Target value for the minimum OWD



OWD\_TARGET\_HI (0.4s)  
Target value for the maximum OWD

OWD\_WEIGHT (0.1)  
Averaging factor for owd\_fraction\_avg

MAX\_BYTES\_IN\_FLIGHT\_HEAD\_ROOM (1.1)  
Headroom for the limitation of CWND

GAIN (1.0)  
Gain factor for congestion window adjustment

BETA\_LOSS (0.6)  
CWND scale factor due to loss event

BETA\_ECN (0.8)  
CWND scale factor due to ECN event

BETA\_R (0.9)  
Target rate scale factor due to loss event

MSS (1000 byte)  
Maximum segment size = Max RTP packet size

BYTES\_IN\_FLIGHT\_SLACK (10%)  
Additional slack to the congestion window

RATE\_ADJUST\_INTERVAL (0.2s)  
Interval between media bitrate adjustments

TARGET\_BITRATE\_MIN  
Min target bitrate [bps]

TARGET\_BITRATE\_MAX  
Max target bitrate [bps]

RAMP\_UP\_SPEED (200kbps/s)  
Maximum allowed rate increase speed

PRE\_CONGESTION\_GUARD (0.0..0.2)  
Guard factor against early congestion onset. A higher value gives less jitter, possibly at the expense of a lower link utilization.

TX\_QUEUE\_SIZE\_FACTOR (0.0..0.2)  
Guard factor against RTP queue buildup

OWD\_TREND\_LO (0.2) Threshold value for owd\_trend

T\_RESUME\_FAST\_INCREASE Time span until fast increase can be resumed,  
given that the owd\_trend is below OWD\_TREND\_LO

#### 4.1.1.2. State variables

owd\_target (OWD\_TARGET\_LO)  
OWD target

owd\_fraction\_avg (0.0)  
EWMA filtered owd\_fraction

owd\_fraction\_hist[20] ({0,...,0})  
Vector of the last 20 owd\_fraction

owd\_trend (0.0)  
OWD trend, indicates incipient congestion

owd\_trend\_mem (0.0)  
Low pass filtered version of owd\_trend

owd\_norm\_hist[100] ({0,...,0})  
Vector of the last 100 owd\_norm

min\_cwnd (2\*MSS)  
Minimum congestion window

in\_fast\_increase (true)  
True if in fast increase state

cwnd (min\_cwnd)  
Congestion window

cwnd\_last\_max (1 byte)  
Congestion window inflection point, i.e. the last known highest  
cwnd. Used to limit cwnd increase close to the last known  
congestion point.

bytes\_newly\_acked (0)  
The number of bytes that was acknowledged with the last received  
acknowledgement i.e. bytes acknowledged since the last CWND update.  
Reset after a CWND update

send\_wnd (0)  
Upper limit of how many bytes that can be transmitted. Updated  
when CWND is updated and when RTP packet is transmitted

target\_bitrate (0 bps)  
Media target bitrate

`target_bitrate_last_max` (1 bps)  
Media target bitrate inflection point i.e. the last known highest `target_bitrate`. Used to limit bitrate increase close to the last known congestion point

`rate_transmit` (0.0 bps)  
Measured transmit bitrate

`rate_ack` (0.0 bps)  
Measured throughput based on received acknowledgements

`rate_rtp` (0.0 bps)  
Measured bitrate from the media encoder

`rate_rtp_median` (0.0 bps)  
Median value of `rate_rtp`, computed over more than 10s

`s_rtt` (0.0s)  
Smoothed RTT [s], computed similar to method depicted in [RFC6298]

`rtp_queue_size` (0 bits)  
Size of RTP packets in queue

`rtp_size` (0 byte)  
Size of the last transmitted RTP packet

#### 4.1.2. Network congestion control

This section explains the network congestion control, it contains two main functions

- o Computation of congestion window at the sender: Gives an upper limit to the number of bytes in flight i.e. how many bytes that have been transmitted but not yet acknowledged.
- o Calculation of send window at the sender: RTP packets are transmitted if allowed by the relation between the number of bytes in flight and the congestion window. This is controlled by the send window.

Unlike TCP, SCReAM is not a byte oriented protocol, rather it is an RTP packet oriented protocol. Thus a list of transmitted RTP packets and their respective transmission times (wall-clock time) is kept for further calculation.

The feedback from the receiver is assumed to consist of the following elements.

- o The highest received RTP sequence number.
- o The wall clock timestamp corresponding to the received RTP packet with the highest sequence number.
- o Accumulated number of lost RTP packets (`n_loss`).
- o Accumulated number of ECN-CE marked packets (`n_ECN`).

When the sender receives RTCP feedback, the OWD is calculated as outlined in [RFC6817] and a number of variables are updated as illustrated by the pseudo code below.

```

update_variables(owd):
    owd_fraction = owd/owd_target
    #calculate moving average
    owd_fraction_avg = (1-OWD_WEIGHT)*owd_fraction_avg+
        OWD_WEIGHT*owd_fraction
    update_owd_fraction_hist(owd_fraction)
    # R is an autocorrelation function of owd_fraction_hist
    # at lag K
    a = R(owd_fraction_hist,1)/R(owd_fraction_hist,0)
    #calculate OWD trend
    owd_trend = a*owd_fraction_avg
    owd_trend_mem = max(0.99*owd_trend_mem, owd_trend)

```

The OWD fraction is sampled every 50ms and the last 20 samples are stored in a vector (`owd_fraction_hist`). This vector is used in the computation of an OWD trend that gives a value between 0.0 and 1.0 depending on the estimated congestion level. The prediction coefficient 'a' has positive values if OWD shows an increasing trend, thus an indication of congestion is obtained before the OWD target is reached. The prediction coefficient is further multiplied with `owd_fraction_avg` to reduce sensitivity to increasing OWD when OWD is very small. The `owd_trend` is utilized in the media rate control to indicate incipient congestion and to determine when to exit from fast increase mode. `owd_trend_mem` is used to enforce a less aggressive rate increase after congestion events. The function `update_owd_fraction_hist(..)` removes the oldest element and adds the latest `owd_fraction` element to the `owd_fraction_hist` vector.

A loss event is detected if the `n_loss` counter in the feedback has increased since the previous received feedback. Once a loss event is detected, the `n_loss` counter is ignored for a full smoothed round trip time, the intention of this is to limit the congestion window decrease to at most once per round trip. The congestion window backoff due to loss events is deliberately a bit less than is the case with e.g TCP NewReno. The reason is that

TCP is generally used to transmit whole files, which can be translated to an infinite source bitrate. SCReAM on the other hand has a source which rate is limited to a value close to the available transmit rate and often below said value, the effect of this is that SCReAM has less opportunity to grab free capacity than a TCP based file transfer. To compensate for this it is necessary to let SCReAM reduce the congestion window slightly less when loss events occur.

An ECN event is detected if the `n_ECN` counter in the feedback report has increased since the previous received feedback. Once an ECN event is detected, the `n_ECN` counter is ignored for a full smoothed round trip time, the intention of this is to limit the congestion window decrease to at most once per round trip. The congestion window backoff due to an ECN event is deliberately smaller than if a loss event occurs. This is inline with the idea outlined in [Khademi\_alternative\_backoff\_ECN] to enable ECN marking thresholds lower than the corresponding packet drop thresholds.

The update of congestion window depends on whether a loss or ECN or neither occurs. The pseudo code below describes actions taken in case of different events.

```
on loss(owd):
    in_fast_increase = false
    cwnd_last_max = cwnd
    cwnd = max(min_cwnd, cwnd*BETA_LOSS)
    adjust_owd_target(owd) #compensating for competing flows
    calculate_send_window(owd, owd_target)

on ECN(owd):
    in_fast_increase = false
    cwnd_last_max = cwnd
    cwnd = max(min_cwnd, cwnd*BETA_ECN)
    adjust_owd_target(owd) #compensating for competing flows
    calculate_send_window(owd, owd_target)

# when no loss or ECN event is detected
on acknowledgement(owd):
    update_bytes_newly_acked()
    update_cwnd(bytes_newly_acked)
    adjust_owd_target(owd) #compensating for competing flows
    calculate_send_window(owd, owd_target)
    check_to_resume_fast_increase()
```

The methods are further described in detail below.

#### 4.1.2.1. Updating bytes\_newly\_acked

The bytes\_newly\_acked is incremented with a value corresponding to how much the highest sequence number has increased since the last feedback. As an example: If the previous acknowledgement indicated the highest sequence number N and the new acknowledgement indicated N+3, then bytes\_newly\_acked is incremented by a value equal to the sum of the sizes of RTP packets with sequence number N+1, N+2 and N+3. Packets that are lost are also included, which means that even though e.g packet N+2 was lost, its size is still included in the update of bytes\_newly\_acked.

#### 4.1.2.2. Updating congestion window

The congestion window update is based on OWD, except for the occurrence of loss or ECN events, which was described earlier. OWD is obtained from the send and received timestamp of the RTP packets. LEDBAT [RFC6817] explains the details of the computation of the OWD. An OWD sample is obtained for each received acknowledgement. No smoothing of the OWD samples occur, however some smoothing occurs anyway as the computation of the CWND is in itself a low pass filter function.

Pseudo code for the update of the congestion window is found below.

```
update_cwnd(bytes_newly_acked):
    # additional scaling factor to slow down closer to target
    # The min scale factor is 0.2 to avoid that the congestion window
    # growth is stalled
    scale = max(0.2,min(1.0,(abs(cwnd-cwnd_last_max)/cwnd_i*4)^2))

    # action depends on whether algorithm is in fast increase
    if (in_fast_increase)
        if(owd_trend >= 0.2)
            in_fast_increase=false
            cwnd_i=cwnd
        else
            cwnd = cwnd + bytes_newly_acked*scale
            return

    # not in fast increase phase
    # off_target calculated as with LEDBAT
    off_target = (owd_target - owd) / owd_target

    gain = GAIN
    # adapt only increase based on scale
    if (off_target > 0)
        gain *= (1 - owd_trend/ 0.2) * scale

    # increase/decrease the congestion window
    # off_target can be positive or negative
    cwnd += gain * off_target * bytes_newly_acked * MSS / cwnd
    # Limit cwnd to the maximum number of bytes in flight
    cwnd = min(cwnd, max_bytes_in_flight*MAX_BYTES_IN_FLIGHT_HEAD_ROOM)
    cwnd = max(cwnd, MIN_CWND)
```

CWND is updated differently depending on whether the congestion control is in fast increase or not. A Boolean variable `in_fast_increase` indicates if the congestion is in fast increase state.

In fast increase state the congestion window is increased with the number of newly acknowledged bytes scaled by a scale factor that depends on the relation between CWND and the last known maximum value of CWND (`cwnd_last_max`). The congestion window growth when `in_fast_increase` is false is dictated by the relation between `owd` and `owd_target`, also here the scale factor scale factor is applied to limit the congestion window growth when `cwnd` gets close to `cwnd_last_max`.

The scale factor as applied above makes the congestion window grow in a similar way as is the case with the Cubic congestion control algorithm.

SCReAM calculates the GAIN in a similar way to what is specified in [RFC6817]. There are however a few differences.

- o [RFC6817] specifies a constant GAIN, this specification however limits the gain when CWND is increased dependent on near congestion state and the relation to the last known max CWND value.
- o [RFC6817] specifies that the CWND increased is limited by an additional function controlled by a constant ALLOWED\_INCREASE. This additional limitation is removed in this specification.

Further the CWND is limited by `max_bytes_in_flight` and `min_cwnd`. The limitation of the congestion window by the maximum number of bytes in flight over the last 5 seconds (`max_bytes_in_flight`) avoids possible over-estimation of the throughput after for example, idle periods. An additional `MAX_BYTES_IN_FLIGHT_HEAD_ROOM` allows for a slack, to allow for a certain amount of media coder output rate variability.

SCReAM uses the terminology "Bytes in flight (`bytes_in_flight`)" which is computed as the sum of the sizes of the RTP packets ranging from the RTP packet most recently transmitted down to but not including the acknowledged packet with the highest sequence number. This can be translated to the difference between the highest transmitted byte sequence number and the highest acknowledged byte sequence number. As an example: If RTP packet with sequence number SN is transmitted and the last acknowledgement indicates SN-5 as the highest received sequence number then bytes in flight is computed as the sum of the size of RTP packets with sequence number SN-4, SN-3, SN-2, SN-1 and SN, it does not matter if for instance packet with sequence number SN-3 was lost, the size of RTP packet with sequence number SN-3 will still be considered in the computation of `bytes_in_flight`.

#### 4.1.2.3. Compensation for competing flows

It is likely that a flow using SCReAM algorithm will have to share congested bottlenecks with other flows that use a more aggressive congestion control algorithm. SCReAM takes care of such situations by adjusting the `owr_target`.



```
adjust_owd_target(owd)
  owd_norm = owd / OWD_TARGET_LO
  update_owd_norm_history(owd_norm)
  # Compute variance
  owd_norm_var = VARIATION(owd_norm_history(100))
  # Compensation for competing traffic
  if (owd_norm_var < 0.16)
    # Compute average
    owd_norm_avg = AVERAGE(owd_norm_history(20))
    # Update target OWD
    owd_target = owd_norm_avg*OWD_TARGET_LO*1.1
    owd_target = min(OWD_TARGET_HI, owd_target)
    owd_target = max(OWD_TARGET_LO, owd_target)
```

The `owd_target` is adjusted according to the `owd_norm_mean_sh` whenever `owd_norm_var` is below a given value. The condition to update `owd_target` is fulfilled if `owd_norm_var < 0.16` (indicating that the standard deviation is less than 0.4).

`owd_norm` is the OWD divided by `OWD_TARGET_LO`. `owd_norm_mean_sh` is the short term (last 20 samples) average of `owd_norm`. `owd_norm_var` is the variance of `owd_norm` over the last 100 samples.

#### 4.1.2.4. Send window calculation

The basic design principle behind packet transmission in SCReAM is to allow transmission only if the number of bytes in flight is less than the congestion window. There are however two reasons why this strict rule will not work optimally:

- o Bitrate variations: The media frame size is always varying to a larger or smaller extent. A strict rule as the one given above will have the effect that the media bitrate will have difficulties to increase as the congestion window puts a too hard restriction on the media frame size variation. This can lead to occasional queuing of RTP packets in the RTP packet queue that will further prevent bitrate increase.
- o Reverse (feedback) path congestion: Especially in transport over buffer-bloated networks, the one way delay in the reverse direction may jump due to congestion. The effect of this is that the acknowledgements are delayed with the result that the self-clocking is temporarily halted, even though the forward path is not congested.

The congestion window is adjusted depending on OWD and its relation to the OWD target. When OWD is greater than OWD target the congestion window enforces a strict rule that helps to prevent

further queue buildup. When OWD is less than or equal to OWD target then an additional slack is added to the congestion window that reduces as congestion increases, `BYTES_IN_FLIGHT_SLACK` is a maximum allowed slack in percent. A large value increases the robustness to bitrate variations in the source and congested feedback channel issues. The possible drawback is increased delay or packet loss when forward path congestion occurs. The adjusted congestion window (`cwnd_s`) is used in the send window calculation.

The send window is given by the relation between the adjusted congestion window and the amount of bytes in flight according to the pseudo code below.

```
calculate_send_window(owd, owd_target)
# compensate for backward congestion and bitrate variations
if (owd <= owd_target)
    x_cwnd=1.0+BYTES_IN_FLIGHT_SLACK*(1.0-owd_trend/0.5)/100.0
    cwnd_s = max(cwnd*x_cwnd, cwnd+MSS)

send_wnd = cwnd_s-bytes_in_flight
```

#### 4.1.2.5. Resuming fast increase

Fast increase can be resumed in order to speed up the bitrate increase in case congestion abates. The condition to resume fast increase (`in_fast_increase = true`) is that `owd_trend` is less than `OWD_TREND_LO` for `T_RESUME_FAST_INCREASE` seconds or more.

#### 4.1.3. Media rate control

The media rate control algorithm is executed at regular intervals `RATE_ADJUSTMENT_INTERVAL`, with the exception of a prompt reaction to loss events. The media rate control operates based on the size of the RTP packet send queue and observed loss events. In addition, `owd_trend` is also considered in the media rate control, this to reduce the amount of induced network jitter.

The role of the media rate control is to strike a reasonable balance between a low amount of queuing in the RTP queue and a sufficient amount of data to send in order to keep the data path busy. A too cautious setting leads to possible under-utilization of network capacity and that the flow is starved out by other, more opportunistic traffic, on the other hand a too aggressive setting leads to extra jitter.

A variable `target_bitrate` is adjusted depending on the congestion state. The target bitrate can vary between a minimum value (`target_bitrate_min`) and a maximum value (`target_bitrate_max`).

For the overall bitrate adjustment, two network throughput estimates are computed :

- o `rate_transmit`: The measured transmit bitrate
- o `rate_ack`: The ACKed bitrate, i.e. the volume of ACKed bits per time unit.

Both estimates are updated every 200ms.

The current throughput, `current_rate`, is computed as the maximum value of `rate_transmit` and `rate_ack`. The rationale behind the use of `rate_ack` in addition to `rate_transmit` is that `rate_transmit` is affected also by the amount of data that is available to transmit, thus a lack of data to transmit can be seen as reduced throughput that may itself cause an unnecessary rate reduction. To overcome this shortcoming; `rate_ack` is used as well. This gives a more stable throughput estimate.

Note that `rate_ack` is updated by `bytes_newly_acked`, which means that even lost packets are regarded as acknowledged.

The rate change behavior depends on whether a loss event has occurred, and if the congestion control is in fast increase or not.

```
# The target_bitrate is updated at a regular interval according
# to RATE_ADJUST_INTERVAL

on loss:
    target_bitrate_last_max = target_bitrate
    target_bitrate = max(BETA_R* target_bitrate, TARGET_BITRATE_MIN)
    exit

if (in_fast_increase = true)
    scl_i = (target_bitrate - target_bitrate_last_max)/
            target_bitrate_last_max
    increment = RAMP_UP_SPEED*RATE_ADJUST_INTERVAL*
                (1.0-min(1.0, owd_trend/0.2))
    # Value 0.2 as the bitrate should be allowed to increase
    # at least slowly --> avoid locking the rate to
    # target_bitrate_last_max
    increment *= max(0.2, min(1.0, (scl_i*4)^2))
    target_bitrate += increment
    target_bitrate *= (1.0- PRE_CONGESTION_GUARD*owd_trend)
else
    pre_congestion = min(1.0, max(0.0, owd_fraction_avg-0.3)/0.7)
    pre_congestion += owd_trend
    target_bitrate=current_rate*(1.0-PRE_CONGESTION_GUARD*
                                pre_congestion)-TX_QUEUE_SIZE_FACTOR *rtp_queue_size
end

rate_rtp_limit = max(br, max(rate_rtp,rtp_rate_median))
rate_rtp_limit *= (2.0-1.0*owd_trend_mem)
target_bitrate = min(target_bitrate, rate_rtp_limit)
target_bitrate = min(TARGET_BITRATE_MAX,
                    max(TARGET_BITRATE_MIN,target_bitrate))
```

In case of a loss event the target\_bitrate is updated and the rate change procedure is exited. Otherwise the rate change procedure continues. An ECN event does not cause any action, the reason to this is that the congestion window is reduced less due to ECN events than loss events, the effect is thus that the expected additional RTP queuing delay due to ECN events is so small that an additional decrease in media rate is not warranted.

When in fast increase state, the bitrate increase is given by the desired ramp-up speed (RAMP\_UP\_SPEED) and is limited by the relation between the current bitrate and the last known max bitrate. Furthermore an increased OWD trend limits the bitrate increase. The setting of RAMP\_UP\_SPEED depends on preferences, a high setting such as 1000kbps/s makes it possible to quickly gain high quality media,

this is however at the expense of a higher risk of jitter, which can manifest itself as e.g. choppy video rendering.

When `in_fast_increase` is false, the bitrate increase is given by the current bitrate and is also controlled by the estimated RTP queue and the OWD trend, thus it is sufficient that an increased congestion level is sensed by the network congestion control to limit the bitrate.

In the fast increase phase an allowed increment is computed based on the congestion level and the relation to `target_bitrate_last_max` and the `target_bitrate` is reduced further if congestion is detected.

If `in_fast_increase` is false then the `target_bitrate_last_max` is updated to the current value of `target_bitrate` if `in_fast_increase` was true the last time the bitrate was updated. Additionally, a pre-congestion indicator is computed and the rate is adjusted accordingly.

In cases where input stimuli to the media encoder is static, for instance in "talking head" scenarios, the target bitrate is not always fully utilized. This may cause undesirable oscillations in the target bitrate in the cases where the link throughput is limited and the media coder input stimuli changes between static and varying. To overcome this issue, the target bitrate is capped to be less than a given multiplier of a median value of the history of media coder output bitrates, `rate_rtp_limit`. A multiplier is applied to `rate_rtp_limit`, depending on congestion history. The `target_bitrate` is then limited by this `rate_rtp_limit`.

Finally the `target_bitrate` is enforced to be within the defined min and max values.

The vary reader may notice the dependency on the OWD in the computation of the target bitrate, this manifests itself in the use of the `owd_trend` and `owd_fraction_avg`. As these parameters are used also in the network congestion control one may suspect that some odd interaction between the media rate control and the network congestion control, this is in fact the case if the parameter `PRE_CONGESTION_GUARD` is set to a high value. The use of `owd_trend` and `owd_fraction_avg` in the media rate control is solely to reduce jitter, the dependency can be removed by setting `PRE_CONGESTION_GUARD=0`, the effect is a somewhat faster rate increase at the expense of more jitter.

#### 4.1.3.1. FEC and packet overhead considerations

The target bitrate given by SCReAM depicts the bitrate including RTP and FEC overhead. Therefore it is necessary that the media encoder takes this overhead into account when the media bitrate is set. It is not strictly necessary to make a 100% perfect compensation for the overhead as the SCReAM algorithm will inherently compensate moderate errors. Under-compensation for the overhead has the effect that the jitter will increase somewhat while overcompensation will have the effect that the bottleneck link becomes under-utilized.

#### 4.2. SCReAM Receiver

The simple task of the SCReAM receiver is to feedback acknowledgements of received packets, total loss count and total ECN count to the SCReAM sender. Upon reception of each RTP packet the receiver will simply maintain enough information to send the aforementioned values to the SCReAM sender via RTCP transport layer feedback message. The frequency of the feedback message depends on the available RTCP bandwidth. The details of this feedback is given in another document.

### 5. Discussion

This section covers a few discussion points

- o RTCP feedback overhead: SCReAM benefits from a relatively frequent feedback. Experiments have shown that a feedback rate roughly equal to the frame rate gives a stable self-clocking and robustness against loss of feedback. With a maximum bitrate of 1500kbps the RTCP feedback overhead is in the range 10-15kbps with reduced size RTCP [RFC5506], including IP and UDP framing, in other words the RTCP overhead is quite modest and should not pose a problem in the general case. Other solutions may be required in highly asymmetrical link capacity cases. Worth notice is that SCReAM can work with as low feedback rates as once every 200ms, this however comes with a higher sensitivity to loss of feedback and also a potential reduction in throughput.
- o AVPF mode: The RTCP feedback is based on AVPF regular mode. The SCReAM feedback is transmitted as reduced size RTCP so save overhead, it is however required to transmit full compound RTCP at regular intervals, this interval can be controlled by trr-int depicted in [RFC4585].
- o Clock drift: SCReAM can suffer from the same issues with clock drift as is the case with LEDBAT [RFC6817]. Section A.2 in said RFC however describes ways to mitigate issues with clock drift.

## 6. Implementation status

[Editor's note: Please remove the whole section before publication, as well reference to RFC 6982]

This section records the status of known implementations of the protocol defined by this specification at the time of posting of this Internet-Draft, and is based on a proposal described in [RFC6982]. The description of implementations in this section is intended to assist the IETF in its decision processes in progressing drafts to RFCs. Please note that the listing of any individual implementation here does not imply endorsement by the IETF. Furthermore, no effort has been spent to verify the information presented here that was supplied by IETF contributors. This is not intended as, and must not be construed to be, a catalog of available implementations or their features. Readers are advised to note that other implementations may exist.

According to [RFC6982], "this will allow reviewers and working groups to assign due consideration to documents that have the benefit of running code, which may serve as evidence of valuable experimentation and feedback that have made the implemented protocols more mature. It is up to the individual working groups to use this information as they see it".

### 6.1. OpenWebRTC

The SCReAM algorithm has been implemented in the OpenWebRTC project [OpenWebRTC], an open source WebRTC implementation from Ericsson Research. This SCReAM implementation is usable with any WebRTC endpoint using OpenWebRTC.

- o Organization : Ericsson Research, Ericsson.
- o Name : OpenWebRTC gst plug-in.
- o Implementation link : The GStreamer plug-in code for SCReAM can be found at github repository [SCReAM-Implementation] and is waiting to be merged with the master branch of OpebWebRTC repository (<https://github.com/EricssonResearch/openwebrtc/pull/413>). However, people are encouraged to have look at it and send feedback. This wiki (<https://github.com/EricssonResearch/openwebrtc/wiki>) contains required information for building and using OpenWebRTC. Note that to get all the SCReAM related code and build them, one has to use the cerbero fork from DanielLindstrm' s repository (<https://github.com/DanielLindstrm/cerbero/tree/scream>) instead of EricssonResearch fork of cerbero.

- o Coverage : The code implements [I-D.ietf-rmcat-scream-cc]. The current implementation has been tuned and tested to adapt a video stream and does not adapt the audio streams.
- o Implementation experience : The implementation of the algorithm in the OpenWebRTC has given great insight into the algorithm itself and its interaction with other involved modules such as encoder, RTP queue etc. In fact it proves the usability of a self-clocked rate adaptation algorithm in the real WebRTC system. The implementation experience has led to various algorithm improvements both in terms of stability and design. For example, improved rate increase behavior and removal of the ACK vector from the feedback message.
- o Contact : irc://chat.freenode.net/openwebrtc

## 6.2. A C++ Implementation of SReAM

- o Organization : Ericsson Research, Ericsson.
- o Name : SReAM.
- o Implementation link : A C++ implementation of SReAM is also available which is aimed for doing quick experiments[[SReAM-Cplusplus\\_Implementation](#)]. This repository also includes a rudimentary implementation of a simulator. This code can be included in other simulators like NS-3.
- o Coverage : The code implements [I-D.ietf-rmcat-scream-cc]
- o Contact : [ingemar.s.johansson@ericsson.com](mailto:ingemar.s.johansson@ericsson.com),  
[zaheduzzaman.sarker@ericsson.com](mailto:zaheduzzaman.sarker@ericsson.com)

## 7. Acknowledgements

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## 8. IANA Considerations

A new RFC4585 transport layer feedback message needs to be standardized.

## 9. Security Considerations

The feedback can be vulnerable to attacks similar to those that can affect TCP. It is therefore recommended that the RTCP feedback is at least integrity protected.

## 10. Change history

A list of changes:

- o WG-01 to WG-02: Complete restructuring of the document. Moved feedback message to a separate draft.
- o WG-00 to WG-01 : Changed the Source code section to Implementation status section.
- o -05 to WG-00 : First version of WG doc, moved additional features section to Appendix. Added description of prioritization in SCReAM. Added description of additional cap on target bitrate
- o -04 to -05 : ACK vector is replaced by a loss counter, PT is removed from feedback, references to source code added
- o -03 to -04 : Extensive changes due to review comments, code somewhat modified, frame skipping made optional
- o -02 to -03 : Added algorithm description with equations, removed pseudo code and simulation results
- o -01 to -02 : Updated GCC simulation results
- o -00 to -01 : Fixed a few bugs in example code

## 11. References

### 11.1. Normative References

- [RFC2119] Bradner, S., "Key words for use in RFCs to Indicate Requirement Levels", BCP 14, RFC 2119, DOI 10.17487/RFC2119, March 1997, <<http://www.rfc-editor.org/info/rfc2119>>.

- [RFC3550] Schulzrinne, H., Casner, S., Frederick, R., and V. Jacobson, "RTP: A Transport Protocol for Real-Time Applications", STD 64, RFC 3550, DOI 10.17487/RFC3550, July 2003, <<http://www.rfc-editor.org/info/rfc3550>>.
- [RFC4585] Ott, J., Wenger, S., Sato, N., Burmeister, C., and J. Rey, "Extended RTP Profile for Real-time Transport Control Protocol (RTCP)-Based Feedback (RTP/AVPF)", RFC 4585, DOI 10.17487/RFC4585, July 2006, <<http://www.rfc-editor.org/info/rfc4585>>.
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## Appendix A. Additional features

This section describes additional features. They are not required for the basic functionality of SCReAM but can improve performance in certain scenarios and topologies.

### A.1. Stream prioritization

The SCReAM algorithm makes a good distinction between network congestion control and the media rate control, an RTP queue queues up RTP packets pending transmission. This is easily extended to many streams, in which case RTP packets from two or more RTP queues are scheduled at the rate permitted by the network congestion control.

The scheduling can be done by means of a few different scheduling regimes. For example the method applied in [I-D.ietf-rmcat-coupled-cc] can be used. The implementation of SCReAM use something that is referred to as credit based scheduling. Credit based scheduling is for instance implemented in IEEE 802.17. The short description is that credit is accumulated by queues as they wait for service and are spent while the queues are being services.

For instance, if one queue is allowed to transmit 1000bytes, then a credit of 1000bytes is allocated to the other unscheduled queues. This principle can be extended to weighted scheduling in which case the credit allocated to unscheduled queues depends on the weight allocation.

### A.2. Computation of autocorrelation function

The autocorrelation function is computed over a vector of values.

Let  $x$  be a vector constituting  $N$  values, the autocorrelation function for a given lag= $k$  for the vector  $x$  is given by .

$$R(x, k) = \sum_{n=1}^{n=N-k} x(n) * x(n+k)$$

Figure 2: Autocorrelation function

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Self-Clocked Rate Adaptation for Multimedia  
draft-ietf-rmcat-scream-cc-13

Abstract

This memo describes a rate adaptation algorithm for conversational media services such as interactive video. The solution conforms to the packet conservation principle and uses a hybrid loss and delay based congestion control algorithm. The algorithm is evaluated over both simulated Internet bottleneck scenarios as well as in a Long Term Evolution (LTE) system simulator and is shown to achieve both low latency and high video throughput in these scenarios.

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## 1. Introduction

Congestion in the Internet occurs when the transmitted bitrate is higher than the available capacity over a given transmission path. Applications that are deployed in the Internet have to employ congestion control, to achieve robust performance and to avoid congestion collapse in the Internet. Interactive realtime communication imposes a lot of requirements on the transport, therefore a robust, efficient rate adaptation for all access types is an important part of interactive realtime communications as the transmission channel bandwidth can vary over time. Wireless access such as LTE, which is an integral part of the current Internet, increases the importance of rate adaptation as the channel bandwidth of a default LTE bearer [QoS-3GPP] can change considerably in a very short time frame. Thus a rate adaptation solution for interactive realtime media, such as WebRTC, should be both quick and be able to operate over a large range in channel capacity. This memo describes SCReAM (Self-Clocked Rate Adaptation for Multimedia), a solution that implements congestion control for RTP streams [RFC3550]. While SCReAM was originally devised for WebRTC (Web Real-Time Communication) [RFC7478], it can also be used for other applications where congestion control of RTP streams is necessary. SCReAM is based on the self-clocking principle of TCP and uses techniques similar to what is used in the LEDBAT based rate adaptation algorithm [RFC6817]. SCReAM is not entirely self-clocked as it augments self-clocking with pacing and a minimum send rate. SCReAM can take advantage of ECN (Explicit Congestion Notification) in cases where ECN is supported by the network and the hosts. ECN is however not required for the basic congestion control functionality in SCReAM.

### 1.1. Wireless (LTE) access properties

[I-D.ietf-rmcat-wireless-tests] describes the complications that can be observed in wireless environments. Wireless access such as LTE can typically not guarantee a given bandwidth, this is true especially for default bearers. The network throughput can vary considerably for instance in cases where the wireless terminal is moving around. Even though LTE can support bitrates well above 100Mbps, there are cases when the available bitrate can be much lower, examples are situations with high network load and poor coverage. An additional complication is that the network throughput can drop for short time intervals at e.g. handover, these short glitches are initially very difficult to distinguish from more permanent reductions in throughput.

Unlike wireline bottlenecks with large statistical multiplexing it is not possible to try to maintain a given bitrate when congestion is



detected with the hope that other flows will yield, this is because there are generally few other flows competing for the same bottleneck. Each user gets its own variable throughput bottleneck, where the throughput depends on factors like channel quality, network load and historical throughput. The bottom line is, if the throughput drops, the sender has no other option than to reduce the bitrate. Once the radio scheduler has reduced the resource allocation for a bearer, an RMCAT flow in that bearer aims to reduce the sending rate quite quickly (within one RTT) in order to avoid excessive queuing delay or packet loss.

### 1.2. Why is it a self-clocked algorithm?

Self-clocked congestion control algorithms provide a benefit over the rate based counterparts in that the former consists of two adaptation mechanisms:

- o A congestion window computation that evolves over a longer timescale (several RTTs) especially when the congestion window evolution is dictated by estimated delay (to minimize vulnerability to e.g. short term delay variations).
- o A fine grained congestion control given by the self-clocking which operates on a shorter time scale (1 RTT). The benefits of self-clocking are also elaborated upon in [TFWC].

A rate based congestion control typically adjusts the rate based on delay and loss. The congestion detection needs to be done with a certain time lag to avoid over-reaction to spurious congestion events such as delay spikes. Despite the fact that there are two or more congestion indications, the outcome is still that there is still only one mechanism to adjust the sending rate. This makes it difficult to reach the goals of high throughput and prompt reaction to congestion.

## 2. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in [RFC2119].

## 3. Overview of SCReAM Algorithm

The core SCReAM algorithm has similarities to the concepts of self-clocking used in TFWC [TFWC] and follows the packet conservation principle. The packet conservation principle is described as an important key-factor behind the protection of networks from congestion [Packet-conservation].

In SCReAM, the receiver of the media echoes a list of received RTP packets and the timestamp of the RTP packet with the highest sequence number back to the sender in feedback packets. The sender keeps a list of transmitted packets, their respective sizes and the time they were transmitted. This information is used to determine the number of bytes that can be transmitted at any given time instant. A congestion window puts an upper limit on how many bytes can be in flight, i.e. transmitted but not yet acknowledged.

The congestion window is determined in a way similar to LEDBAT [RFC6817]. LEDBAT is a congestion control algorithm that uses send and receive timestamps to estimate the queuing delay (from now on denoted *qdelay*) along the transmission path. This information is used to adjust the congestion window. The use of LEDBAT ensures that the end-to-end latency is kept low. [LEDBAT-delay-impact] shows that LEDBAT has certain inherent issues that makes it counteract its purpose to achieve low delay. The general problem described in the paper is that the base delay is offset by LEDBAT's own queue buildup. The big difference with using LEDBAT in the SCReAM context lies in the fact that the source is rate limited and that it is required that the RTP queue is kept short (preferably empty). In addition the output from a video encoder is rarely constant bitrate, static content (talking heads) for instance gives almost zero video bitrate. This gives two useful properties when LEDBAT is used with SCReAM that help to avoid the issues described in [LEDBAT-delay-impact]:

1. There is always a certain probability that SCReAM is short of data to transmit, which means that the network queue will run empty every once in a while.
2. The max video bitrate can be lower than the link capacity. If the max video bitrate is 5Mbps and the capacity is 10Mbps then the network queue will run empty.

It is sufficient that any of the two conditions above is fulfilled to make the base delay update properly. Furthermore [LEDBAT-delay-impact] describes an issue with short lived competing flows, the case in SCReAM is that these short lived flows will cause the self-clocking in SCReAM to slow down with the result that the RTP queue is built up, which will in turn result in a reduced media video bitrate. SCReAM will thus yield more to competing short lived flows than what is the case with traditional use of LEDBAT. The basic functionality in the use of LEDBAT in SCReAM is quite simple, there are however a few steps to take to make the concept work with conversational media:

- o Congestion window validation techniques. These are similar in action as the method described in [RFC7661]. Congestion window

validation ensures that the congestion window is limited by the actual number bytes in flight, this is important especially in the context of rate limited sources such as video. Lack of congestion window validation would lead to a slow reaction to congestion as the congestion window does not properly reflect the congestion state in the network. The allowed idle period in this memo is shorter than in [RFC7661], this to avoid excessive delays in the cases where e.g. wireless throughput has decreased during a period where the output bitrate from the media coder has been low, for instance due to inactivity. Furthermore, this memo allows for more relaxed rules for when the congestion window is allowed to grow, this is necessary as the variable output bitrate generally means that the congestion window is often under-utilized.

- o Fast increase makes the bitrate increase faster when no congestion is detected. It makes the media bitrate ramp-up within 5 to 10 seconds. The behavior is similar to TCP slowstart. The fast increase is exited when congestion is detected. The fast increase state can however resume if the congestion level is low, this enables a reasonably quick rate increase in case link throughput increases.
- o A qdelay trend is computed for earlier detection of incipient congestion and as a result it reduces jitter.
- o Addition of a media rate control function.
- o Use of inflection points in the media rate calculation to achieve reduced jitter.
- o Adjustment of qdelay target for better performance when competing with other loss based congestion controlled flows.

The above mentioned features will be described in more detail in sections Section 3.1 to Section 3.3. The full details are described in Section 4.

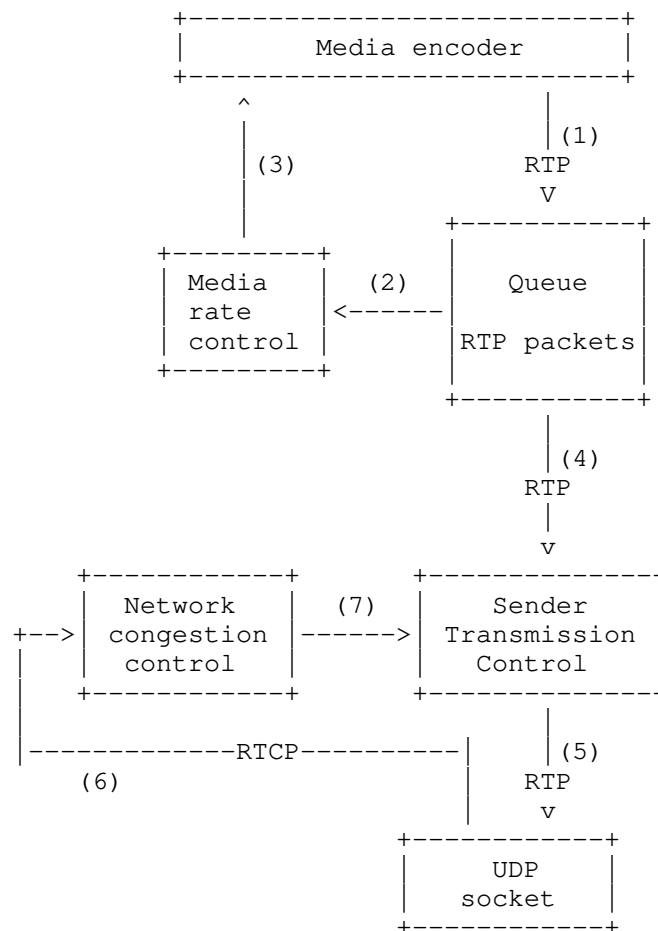


Figure 1: SCReAM sender functional view

The SCReAM algorithm consists of three main parts: network congestion control, sender transmission control and media rate control. All of these three parts reside at the sender side. Figure 1 shows the functional overview of a SCReAM sender. The receiver side algorithm is very simple in comparison as it only generates feedback containing acknowledgements of received RTP packets and an ECN count.

### 3.1. Network Congestion Control

The network congestion control sets an upper limit on how much data can be in the network (bytes in flight); this limit is called CWND (congestion window) and is used in the sender transmission control.

The SCReAM congestion control method, uses techniques similar to LEDBAT [RFC6817] to measure the qdelay. As is the case with LEDBAT, it is not necessary to use synchronized clocks in sender and receiver in order to compute the qdelay. It is however necessary that they use the same clock frequency, or that the clock frequency at the receiver can be inferred reliably by the sender. Failure to meet this requirement leads to malfunction in the SCReAM congestion control algorithm due to incorrect estimation of the network queue delay.

The SCReAM sender calculates the congestion window based on the feedback from the SCReAM receiver. The congestion window is allowed to increase if the qdelay is below a predefined qdelay target, otherwise the congestion window decreases. The qdelay target is typically set to 50-100ms. This ensures that the queuing delay is kept low. The reaction to loss or ECN events leads to an instant reduction of CWND. Note that the source rate limited nature of real time media such as video, typically means that the queuing delay will mostly be below the given delay target, this is contrary to the case where large files are transmitted using LEDBAT congestion control, in which case the queuing delay will stay close to the delay target.

### 3.2. Sender Transmission Control

The sender transmission control limits the output of data, given by the relation between the number of bytes in flight and the congestion window. Packet pacing is used to mitigate issues with ACK compression that MAY cause increased jitter and/or packet loss in the media traffic. Packet pacing limits the packet transmission rate given by the estimated link throughput. Even if the send window allows for the transmission of a number of packets, these packets are not transmitted immediately, but rather they are transmitted in intervals given by the packet size and the estimated link throughput.

### 3.3. Media Rate Control

The media rate control serves to adjust the media bitrate to ramp-up quickly enough to get a fair share of the system resources when link throughput increases.

The reaction to reduced throughput MUST be prompt in order to avoid getting too much data queued in the RTP packet queue(s) in the sender. The media bitrate is decreased if the RTP queue size exceeds a threshold.

In cases where the sender frame queues increase rapidly such as in the case of a RAT (Radio Access Type) handover it MAY be necessary to implement additional actions, such as discarding of encoded media

frames or frame skipping in order to ensure that the RTP queues are drained quickly. Frame skipping results in the frame rate being temporarily reduced. Which method to use is a design choice and outside the scope of this algorithm description.

#### 4. Detailed Description of SCReAM

##### 4.1. SCReAM Sender

This section describes the sender side algorithm in more detail. It is split between the network congestion control, sender transmission control and the media rate control.

A SCReAM sender implements media rate control and an RTP queue for each media type or source, where RTP packets containing encoded media frames are temporarily stored for transmission. Figure 1 shows the details when a single media source (or stream) is used. A transmission scheduler (not shown in the figure) is added to support multiple streams. The transmission scheduler can enforce differing priorities between the streams and act like a coupled congestion controller for multiple flows. Support for multiple streams is implemented in [SCReAM-CPP-implementation].

Media frames are encoded and forwarded to the RTP queue (1) in Figure 1. The media rate adaptation adapts to the size of the RTP queue (2) and provides a target rate for the media encoder (3). The RTP packets are picked from the RTP queue (for multiple flows from each RTP queue based on some defined priority order or simply in a round robin fashion) (4) by the sender transmission controller. The sender transmission controller (in case of multiple flows a transmission scheduler) sends the RTP packets to the UDP socket (5). In the general case all media SHOULD go through the sender transmission controller and is limited so that the number of bytes in flight is less than the congestion window. RTCP packets are received (6) and the information about bytes in flight and congestion window is exchanged between the network congestion control and the sender transmission control (7).

##### 4.1.1. Constants and Parameter values

Constants and state variables are listed in this section. Temporary variables are not listed, instead they are appended with '\_t' in the pseudo code to indicate their local scope.

#### 4.1.1.1. Constants

The RECOMMENDED values, within (), for the constants are deduced from experiments. The units are enclosed in square brackets [ ].

QDELAY\_TARGET\_LO (0.1s)

Target value for the minimum qdelay.

QDELAY\_TARGET\_HI (0.4s)

Target value for the maximum qdelay. This parameter provides an upper limit to how much the target qdelay (qdelay\_target) can be increased in order to cope with competing loss based flows. The target qdelay does not have to be initialized to this high value however as it would increase e2e delay and also make the rate control and congestion control loop sluggish.

QDELAY\_WEIGHT (0.1)

Averaging factor for qdelay\_fraction\_avg.

QDELAY\_TREND\_TH (0.2)

Threshold for the detection of incipient congestion.

MIN\_CWND (3000byte)

Minimum congestion window.

MAX\_BYTES\_IN\_FLIGHT\_HEAD\_ROOM (1.1)

Headroom for the limitation of CWND.

GAIN (1.0)

Gain factor for congestion window adjustment.

BETA\_LOSS (0.8)

CWND scale factor due to loss event.

BETA\_ECN (0.9)

CWND scale factor due to ECN event.

BETA\_R (0.9)

Target rate scale factor due to loss event.

MSS (1000 byte)

Maximum segment size = Max RTP packet size.

RATE\_ADJUST\_INTERVAL (0.2s)

Interval between media bitrate adjustments.

TARGET\_BITRATE\_MIN

Min target bitrate [bps], bps is bits per second.

**TARGET\_BITRATE\_MAX**

Max target bitrate [bps].

**RAMP\_UP\_SPEED (200000bps/s)**

Maximum allowed rate increase speed.

**PRE\_CONGESTION\_GUARD (0.0..1.0)**

Guard factor against early congestion onset. A higher value gives less jitter, possibly at the expense of a lower link utilization. This value MAY be subject to tuning depending on e.g media coder characteristics, experiments with H264 and VP8 indicate that 0.1 is a suitable value. See [SCReAM-CPP-implementation] and [SCReAM-implementation-experience] for evaluation of a real implementation.

**TX\_QUEUE\_SIZE\_FACTOR (0.0..2.0)**

Guard factor against RTP queue buildup. This value MAY be subject to tuning depending on e.g media coder characteristics, experiments with H264 and VP8 indicate that 1.0 is a suitable value. See [SCReAM-CPP-implementation] and [SCReAM-implementation-experience] for evaluation of a real implementation.

**RTP\_QDELAY\_TH (0.02s)** RTP queue delay threshold for a target rate reduction.

**TARGET\_RATE\_SCALE\_RTP\_QDELAY (0.95)** Target rate scale when RTP qdelay threshold exceeds RTP\_QDELAY\_TH.

**QDELAY\_TREND\_LO (0.2)** Threshold value for qdelay\_trend.

**T\_RESUME\_FAST\_INCREASE (5s)** Time span until fast increase can be resumed, given that the qdelay\_trend is below QDELAY\_TREND\_LO.

**RATE\_PACE\_MIN (50000bps)** Minimum pacing rate.

#### 4.1.1.2. State variables

The values within () indicate initial values.

**qdelay\_target (QDELAY\_TARGET\_LO)**

qdelay target, a variable qdelay target is introduced to manage cases where e.g. FTP competes for the bandwidth over the same bottleneck, a fixed qdelay target would otherwise starve the RMCAT flow under such circumstances. The qdelay target is allowed to vary between QDELAY\_TARGET\_LO and QDELAY\_TARGET\_HI.

**qdelay\_fraction\_avg (0.0)**



EWMA (Exponentially Weighted Moving Average) filtered fractional qdelay.

qdelay\_fraction\_hist[20] ({0,...,0})  
Vector of the last 20 fractional qdelay samples.

qdelay\_trend (0.0)  
qdelay trend, indicates incipient congestion.

qdelay\_trend\_mem (0.0)  
Low pass filtered version of qdelay\_trend.

qdelay\_norm\_hist[100] ({0,...,0})  
Vector of the last 100 normalized qdelay samples.

in\_fast\_increase (true)  
True if in fast increase state.

cwnd (MIN\_CWND)  
Congestion window.

bytes\_newly\_acked (0)  
The number of bytes that was acknowledged with the last received acknowledgement i.e. bytes acknowledged since the last CWND update.

max\_bytes\_in\_flight (0)  
The maximum number of bytes in flight over a sliding time window, i.e. transmitted but not yet acknowledged bytes.

send\_wnd (0)  
Upper limit to how many bytes that can currently be transmitted. Updated when cwnd is updated and when RTP packet is transmitted.

target\_bitrate (0 bps)  
Media target bitrate.

target\_bitrate\_last\_max (1 bps)  
Media target bitrate inflection point i.e. the last known highest target\_bitrate. Used to limit bitrate increase speed close to the last known congestion point.

rate\_transmit (0.0 bps)  
Measured transmit bitrate.

rate\_ack (0.0 bps)  
Measured throughput based on received acknowledgements.

rate\_media (0.0 bps)

Measured bitrate from the media encoder.

rate\_media\_median (0.0 bps)

Median value of rate\_media, computed over more than 10s.

s\_rtt (0.0s)

Smoothed RTT [s], computed with a similar method to that described in [RFC6298].

rtp\_queue\_size (0 bits)

Sum of the sizes of RTP packets in queue.

rtp\_size (0 byte)

Size of the last transmitted RTP packet.

loss\_event\_rate (0.0)

The estimated fraction of RTTs with lost packets detected.

#### 4.1.2. Network congestion control

This section explains the network congestion control, it contains two main functions:

- o Computation of congestion window at the sender: Gives an upper limit to the number of bytes in flight.
- o Calculation of send window at the sender: RTP packets are transmitted if allowed by the relation between the number of bytes in flight and the congestion window. This is controlled by the send window.

SCReAM is a window based and byte oriented congestion control protocol, where the number of bytes transmitted is inferred from the size of the transmitted RTP packets. Thus a list of transmitted RTP packets and their respective transmission times (wall-clock time) MUST be kept for further calculation.

The number of bytes in flight (bytes\_in\_flight) is computed as the sum of the sizes of the RTP packets ranging from the RTP packet most recently transmitted down to but not including the acknowledged packet with the highest sequence number. This can be translated to the difference between the highest transmitted byte sequence number and the highest acknowledged byte sequence number. As an example: If RTP packet with sequence number SN is transmitted and the last acknowledgement indicates SN-5 as the highest received sequence number then bytes in flight is computed as the sum of the size of RTP packets with sequence number SN-4, SN-3, SN-2, SN-1 and SN, it does not matter if for instance packet with sequence number SN-3 was lost,

the size of RTP packet with sequence number SN-3 will still be considered in the computation of `bytes_in_flight`.

Furthermore, a variable `bytes_newly_acked` is incremented with a value corresponding to how much the highest sequence number has increased since the last feedback. As an example: If the previous acknowledgement indicated the highest sequence number N and the new acknowledgement indicated N+3, then `bytes_newly_acked` is incremented by a value equal to the sum of the sizes of RTP packets with sequence number N+1, N+2 and N+3. Packets that are lost are also included, which means that even though e.g packet N+2 was lost, its size is still included in the update of `bytes_newly_acked`. The `bytes_newly_acked` variable is reset to zero after a CWND update.

The feedback from the receiver is assumed to consist of the following elements.

- o A list of received RTP packets' sequence numbers.
- o The wall clock timestamp corresponding to the received RTP packet with the highest sequence number.
- o Accumulated number of ECN-CE marked packets (`n_ECN`).

When the sender receives RTCP feedback, the `qdelay` is calculated as outlined in [RFC6817]. A `qdelay` sample is obtained for each received acknowledgement. No smoothing of the `qdelay` samples occur, however some smoothing occurs anyway as the computation of the CWND is a low pass filter function. A number of variables are updated as illustrated by the pseudo code below, temporary variables are appended with `'_t'`. As mentioned in Section 7, calculation of the proper congestion window and media bitrate may benefit from additional optimizations for handling of very high and very low bitrates, and from additional damping to handle periodic packet bursts. Some such optimizations are implemented in [SCReAM-CPP-implementation], but they do not form part of the specification of SCReAM at this time.

```

<CODE BEGINS>
update_variables(qdelay):
    qdelay_fraction_t = qdelay/qdelay_target
    # Calculate moving average
    qdelay_fraction_avg = (1-QDELAY_WEIGHT)*qdelay_fraction_avg+
        QDELAY_WEIGHT*qdelay_fraction_t
    update_qdelay_fraction_hist(qdelay_fraction_t)
    # Compute the average of the values in qdelay_fraction_hist
    avg_t = average(qdelay_fraction_hist)
    # R is an autocorrelation function of qdelay_fraction_hist,
    # with the mean (DC component) removed, at lag K
    # The subtraction of the scalar avg_t from
    # qdelay_fraction_hist is performed element-wise
    a_t = R(qdelay_fraction_hist-avg_t,1)/
        R(qdelay_fraction_hist-avg_t,0)
    # Calculate qdelay trend
    qdelay_trend = min(1.0,max(0.0,a_t*qdelay_fraction_avg))
    # Calculate a 'peak-hold' qdelay_trend, this gives a memory
    # of congestion in the past
    qdelay_trend_mem = max(0.99*qdelay_trend_mem, qdelay_trend)
<CODE ENDS>

```

The qdelay fraction is sampled every 50ms and the last 20 samples are stored in a vector (qdelay\_fraction\_hist). This vector is used in the computation of an qdelay trend that gives a value between 0.0 and 1.0 depending on the estimated congestion level. The prediction coefficient 'a\_t' has positive values if qdelay shows an increasing or decreasing trend, thus an indication of congestion is obtained before the qdelay target is reached. As a side effect, also the case that qdelay decreases is taken as a sign of congestion, experiments have however shown that this is beneficial as varying queue delay up or down is an indication that the transmit rate is very close to the path capacity.

The autocorrelation function 'R' is defined as follows. Let x be a vector constituting N values, the biased autocorrelation function for a given lag=k for the vector x is given by.

$$R(x,k) = \sum_{n=1}^{n=N-k} x(n) * x(n+k)$$

The prediction coefficient is further multiplied with qdelay\_fraction\_avg to reduce sensitivity to increasing qdelay when it is very small. The 50ms sampling is a simplification that could have the effect that the same qdelay is sampled several times, this does however not pose any problem as the vector is only used to determine if the qdelay is increasing or decreasing. The

qdelay\_trend is utilized in the media rate control to indicate incipient congestion and to determine when to exit from fast increase mode. qdelay\_trend\_mem is used to enforce a less aggressive rate increase after congestion events. The function update\_qdelay\_fraction\_hist(..) removes the oldest element and adds the latest qdelay\_fraction element to the qdelay\_fraction\_hist vector.

#### 4.1.2.1. Reaction to packets loss and ECN

A loss event is indicated if one or more RTP packets are declared missing. The loss detection is described in Section 4.1.2.4. Once a loss event is detected, further detected lost RTP packets SHOULD be ignored for a full smoothed round trip time, the intention of this is to limit the congestion window decrease to at most once per round trip.

The congestion window back off due to loss events is deliberately a bit less than is the case with e.g. TCP Reno. The reason is that TCP is generally used to transmit whole files, which can be translated to an infinite source bitrate. SCReAM on the other hand has a source whose rate is limited to a value close to the available transmit rate and often below that value, the effect of this is that SCReAM has less opportunity to grab free capacity than a TCP based file transfer. To compensate for this it is RECOMMENDED to let SCReAM reduce the congestion window less than what is the case with TCP when loss events occur.

An ECN event is detected if the n\_ECN counter in the feedback report has increased since the previous received feedback. Once an ECN event is detected, the n\_ECN counter is ignored for a full smoothed round trip time, the intention of this is to limit the congestion window decrease to at most once per round trip. The congestion window back off due to an ECN event MAY be smaller than if a loss event occurs. This is in line with the idea outlined in [I-D.ietf-tcpm-alternativebackoff-ecn] to enable ECN marking thresholds lower than the corresponding packet drop thresholds.

#### 4.1.2.2. Congestion window update

The update of the congestion window depends on whether loss or ECN-marking or neither occurs. The pseudo code below describes actions taken in case of the different events.

```
<CODE BEGINS>
on congestion event(qdelay):
  # Either loss or ECN mark is detected
  in_fast_increase = false
  if (is loss)
    # Loss is detected
    cwnd = max(MIN_CWND, cwnd*BETA_LOSS)
  else
    # No loss, so it is then an ECN mark
    cwnd = max(MIN_CWND, cwnd*BETA_ECN)
  end
  adjust_qdelay_target(qdelay) #compensating for competing flows
  calculate_send_window(qdelay, qdelay_target)

# When no congestion event
on acknowledgement(qdelay):
  update_bytes_newly_acked()
  update_cwnd(bytes_newly_acked)
  adjust_qdelay_target(qdelay) #compensating for competing flows
  calculate_send_window(qdelay, qdelay_target)
  check_to_resume_fast_increase()
<CODE ENDS>
```

The methods are further described in detail below.

The congestion window update is based on `qdelay`, except for the occurrence of loss events (one or more lost RTP packets in one RTT), or ECN events, which was described earlier.

Pseudo code for the update of the congestion window is found below.

```
<CODE BEGINS>
update_cwnd(bytes_newly_acked):
    # In fast increase ?
    if (in_fast_increase)
        if (qdelay_trend >= QDELAY_TREND_TH)
            # Incipient congestion detected, exit fast increase
            in_fast_increase = false
        else
            # No congestion yet, increase cwnd if it
            # is sufficiently used
            # An additional slack of bytes_newly_acked is
            # added to ensure that CWND growth occurs
            # even when feedback is sparse
            if (bytes_in_flight*1.5+bytes_newly_acked > cwnd)
                cwnd = cwnd+bytes_newly_acked
            end
            return
        end
    end

    # Not in fast increase phase
    # off_target calculated as with LEDBAT
    off_target_t = (qdelay_target - qdelay) / qdelay_target

    gain_t = GAIN
    # Adjust congestion window
    cwnd_delta_t =
        gain_t * off_target_t * bytes_newly_acked * MSS / cwnd
    if (off_target_t > 0 &&
        bytes_in_flight*1.25+bytes_newly_acked <= cwnd)
        # No cwnd increase if window is underutilized
        # An additional slack of bytes_newly_acked is
        # added to ensure that CWND growth occurs
        # even when feedback is sparse
        cwnd_delta_t = 0;
    end

    # Apply delta
    cwnd += cwnd_delta_t
    # limit cwnd to the maximum number of bytes in flight
    cwnd = min(cwnd, max_bytes_in_flight*MAX_BYTES_IN_FLIGHT_HEAD_ROOM)
    cwnd = max(cwnd, MIN_CWND)

<CODE ENDS>

CWND is updated differently depending on whether the congestion
control is in fast increase state or not, as controlled by the
variable in_fast_increase.
```

When in fast increase state, the congestion window is increased with the number of newly acknowledged bytes as long as the window is sufficiently used. Sparse feedback can potentially limit congestion window growth, an additional slack is therefore added, given by the number of newly acknowledged bytes.

The congestion window growth when `in_fast_increase` is false is dictated by the relation between `qdelay` and `qdelay_target`, congestion window growth is limited if the window is not used sufficiently.

SCReAM calculates the GAIN in a similar way to what is specified in [RFC6817]. However, [RFC6817] specifies that the CWND increase is limited by an additional function controlled by a constant `ALLOWED_INCREASE`. This additional limitation is removed in this specification.

Further the CWND is limited by `max_bytes_in_flight` and `MIN_CWND`. The limitation of the congestion window by the maximum number of bytes in flight over the last 5 seconds (`max_bytes_in_flight`) avoids possible over-estimation of the throughput after for example, idle periods. An additional `MAX_BYTES_IN_FLIGHT_HEAD_ROOM` allows for a slack, to allow for a certain amount of media coder output rate variability.

#### 4.1.2.3. Competing flows compensation

It is likely that a flow using SCReAM algorithm will have to share congested bottlenecks with other flows that use a more aggressive congestion control algorithm, examples are large FTP flows using loss based congestion control. The worst condition occurs when the bottleneck queues are of tail-drop type with a large buffer size. SCReAM takes care of such situations by adjusting the `qdelay_target` when loss based flows are detected, as given by the pseudo code below.



```
<CODE BEGINS>
adjust_qdelay_target(qdelay)
  qdelay_norm_t = qdelay / QDELAY_TARGET_LOW
  update_qdelay_norm_history(qdelay_norm_t)
  # Compute variance
  qdelay_norm_var_t = VARIANCE(qdelay_norm_history(200))
  # Compensation for competing traffic
  # Compute average
  qdelay_norm_avg_t = AVERAGE(qdelay_norm_history(50))
  # Compute upper limit to target delay
  new_target_t = qdelay_norm_avg_t + sqrt(qdelay_norm_var_t)
  new_target_t *= QDELAY_TARGET_LO
  if (loss_event_rate > 0.002)
    # Packet losses detected
    qdelay_target = 1.5*new_target_t
  else
    if (qdelay_norm_var_t < 0.2)
      # Reasonably safe to set target qdelay
      qdelay_target = new_target_t
    else
      # Check if target delay can be reduced, this helps to avoid
      # that the target delay is locked to high values for ever
      if (new_target_t < QDELAY_TARGET_LO)
        # Decrease target delay quickly as measured queueing
        # delay is lower than target
        qdelay_target = max(qdelay_target*0.5,new_target_t)
      else
        # Decrease target delay slowly
        qdelay_target *= 0.9
      end
    end
  end
end

# Apply limits
qdelay_target = min(QDELAY_TARGET_HI, qdelay_target)
qdelay_target = max(QDELAY_TARGET_LO, qdelay_target)
<CODE ENDS>
```

Two temporary variables are calculated. `qdelay_norm_avg_t` is the long term average queue delay, `qdelay_norm_var_t` is the long term variance of the queue delay. A high `qdelay_norm_var_t` indicates that the queue delay changes, this can be an indication of reduced bottleneck bandwidth or that a competing flow has just entered. Thus, it indicates that it is not safe to adjust the queue delay target.

A low `qdelay_norm_var_t` indicates that the queue delay is relatively stable, the reason can be that the queue delay is low but it can also be an indication that a competing flow is filling up the bottleneck

to the limit where packet losses may start to occur, in which case the queue delay will stay relatively high for a longer time.

The queue delay target is allowed to be increased if, either the loss event rate is above a given threshold or that `qdelay_norm_var_t` is low. Both these conditions indicate that a competing flow may be present. In all other cases the queue delay target is decreased.

The function that adjusts the `qdelay_target` is simple and has a certain risk to produce both false positive and negatives, The case that self-inflicted congestion by the SCReAM algorithm may be falsely interpreted as the presence of competing loss based FTP flows is a false positive. The opposite case where the algorithm fails to detect the presence of a competing FTP flow is a false negative.

Extensive simulations have shown that the algorithm performs well in LTE test cases and that it also performs well in simple bandwidth limited bottleneck test cases with competing FTP flows. It can however not be completely ruled out that this algorithm can fail. Especially the false positives can be problematic as the end to end delay can increase dramatically if the target queue delay is increased by accident as a result of self-inflicted congestion.

If it is deemed unlikely that competing flows occur over the same bottleneck, the algorithm described in this section MAY be turned off. One such case can be QoS enabled bearers in 3GPP based access such as LTE. However, when sending over the Internet, often the network conditions are not known for sure and it is in general not possible to make safe assumptions on how a network is used and whether or not competing flows share the same bottleneck. Therefore turning this algorithm off must be considered with caution as that can lead to basically zero throughput if competing with other, loss based, traffic.

#### 4.1.2.4. Lost packet detection

Lost packet detection is based on the received sequence number list. A reordering window SHOULD be applied to avoid that packet reordering triggers loss events.

The reordering window is specified as a time unit, similar to the ideas behind RACK (Recent ACKnowledgement) [I-D.ietf-tcpm-rack]. The computation of the reordering window is made possible by means of a lost flag in the list of transmitted RTP packets. This flag is set if the received sequence number list indicates that the given RTP packet is missing. If a later feedback indicates that a previously lost marked packet was indeed received, then the reordering window is updated to reflect the reordering delay. The reordering window is given by the difference in time between the event that the packet was

marked as lost and the event that it was indicated as successfully received.

Loss is detected if a given RTP packet is not acknowledged within a time window (indicated by the reordering window) after an RTP packet with higher sequence number was acknowledged.

#### 4.1.2.5. Send window calculation

The basic design principle behind packet transmission in SCReAM is to allow transmission only if the number of bytes in flight is less than the congestion window. There are however two reasons why this strict rule will not work optimally:

- o Bitrate variations: Media sources such as video encoders generally produce frames whose size always vary to a larger or smaller extent. The RTP queue absorbs the natural variations in frame sizes. The RTP queue should however be as short as possible, to avoid that the end to end delay increases. To achieve that, the media rate control takes the RTP queue size into account when the target bitrate for the media is computed. A strict 'send only when bytes in flight is less than the congestion window' rule can lead to that the RTP queue grows simply because the send window is limited, the effect of which would be that the target bitrate is pushed down. The consequence of this is that the congestion window will not increase, or will increase very slowly, because the congestion window is only allowed to increase when there is a sufficient amount of data in flight. The end effect is then that the media bitrate increases very slowly or not at all.
- o Reverse (feedback) path congestion: Especially in transport over buffer-bloated networks, the one way delay in the reverse direction can jump due to congestion. The effect of this is that the acknowledgements are delayed with the result that the self-clocking is temporarily halted, even though the forward path is not congested.

The send window is adjusted depending on qdelay and its relation to the qdelay target and the relation between the congestion window and the number of bytes in flight. A strict rule is applied when qdelay is higher than qdelay\_target, to avoid further queue buildup in the network. For cases when qdelay is lower than the qdelay\_target, a more relaxed rule is applied. This allows the bitrate to increase quickly when no congestion is detected while still being able to give a stable behavior in congested situations.

The send window is given by the relation between the adjusted congestion window and the amount of bytes in flight according to the pseudo code below.

```
<CODE BEGINS>
calculate_send_window(qdelay, qdelay_target)
  # send window is computed differently depending on congestion level
  if (qdelay <= qdelay_target)
    send_wnd = cwnd+MSS-bytes_in_flight
  else
    send_wnd = cwnd-bytes_in_flight
  end
<CODE ENDS>
```

The send window is updated whenever an RTP packet is transmitted or an RTCP feedback message is received.

#### 4.1.2.6. Packet pacing

Packet pacing is used in order to mitigate coalescing i.e. that packets are transmitted in bursts, with the increased risk of more jitter and potentially increased packet loss. Packet pacing also mitigates possible issues with queue overflow due to key-frame generation in video coders. The time interval between consecutive packet transmissions is enforced to be equal to or higher than `t_pace` where `t_pace` is given by the equations below :

```
<CODE BEGINS>
pace_bitrate = max (RATE_PACE_MIN, cwnd* 8 / s_rtt)
t_pace = rtp_size * 8 / pace_bitrate
<CODE ENDS>
```

`rtp_size` is the size of the last transmitted RTP packet, `s_rtt` is the smoothed round trip time. `RATE_PACE_MIN` is the minimum pacing rate.

#### 4.1.2.7. Resuming fast increase

Fast increase can resume in order to speed up the bitrate increase in case congestion abates. The condition to resume fast increase (`in_fast_increase = true`) is that `qdelay_trend` is less than `QDELAY_TREND_LO` for `T_RESUME_FAST_INCREASE` seconds or more.

#### 4.1.2.8. Stream prioritization

The SCReAM algorithm makes a good distinction between network congestion control and the media rate control. This is easily extended to many streams, in which case RTP packets from two or more RTP queues are scheduled at the rate permitted by the network congestion control.

The scheduling can be done by means of a few different scheduling regimes. For example the method applied in

[I-D.ietf-rmcat-coupled-cc] can be used. The implementation of SCReAM [SCReAM-CPP-implementation] use credit based scheduling. In credit based scheduling, credit is accumulated by queues as they wait for service and are spent while the queues are being serviced. For instance, if one queue is allowed to transmit 1000bytes, then a credit of 1000bytes is allocated to the other unscheduled queues. This principle can be extended to weighted scheduling in which case the credit allocated to unscheduled queues depends on the relative weights. The latter is also implemented in [SCReAM-CPP-implementation].

#### 4.1.3. Media rate control

The media rate control algorithm is executed at regular intervals `RATE_ADJUSTMENT_INTERVAL`, with the exception of a prompt reaction to loss events. The media rate control operates based on the size of the RTP packet send queue and observed loss events. In addition, `qdelay_trend` is also considered in the media rate control to reduce the amount of induced network jitter.

The role of the media rate control is to strike a reasonable balance between a low amount of queuing in the RTP queue(s) and a sufficient amount of data to send in order to keep the data path busy. A too cautious setting leads to possible under-utilization of network capacity leading to that the flow can become starved out by other more opportunistic traffic. On the other hand, a too aggressive setting leads to increased jitter.

The `target_bitrate` is adjusted depending on the congestion state. The target bitrate can vary between a minimum value (`TARGET_BITRATE_MIN`) and a maximum value (`TARGET_BITRATE_MAX`). `TARGET_BITRATE_MIN` SHOULD be chosen to a low enough value to avoid that RTP packets become queued up when the network throughput is reduced. The sender SHOULD also be equipped with a mechanism that discards RTP packets in cases where the network throughput becomes very low and RTP packets are excessively delayed.

For the overall bitrate adjustment, two network throughput estimates are computed :

- o `rate_transmit`: The measured transmit bitrate.
- o `rate_ack`: The ACKed bitrate, i.e. the volume of ACKed bits per second.

Both estimates are updated every 200ms.

The current throughput, `current_rate`, is computed as the maximum value of `rate_transmit` and `rate_ack`. The rationale behind the use of `rate_ack` in addition to `rate_transmit` is that `rate_transmit` is affected also by the amount of data that is available to transmit, thus a lack of data to transmit can be seen as reduced throughput that can itself cause an unnecessary rate reduction. To overcome this shortcoming; `rate_ack` is used as well. This gives a more stable throughput estimate.

The rate change behavior depends on whether a loss or ECN event has occurred and if the congestion control is in fast increase or not.

<CODE BEGINS>

```
# The target_bitrate is updated at a regular interval according
# to RATE_ADJUST_INTERVAL

on loss:
    # Loss event detected
    target_bitrate = max(BETA_R* target_bitrate, TARGET_BITRATE_MIN)
    exit
on ecn_mark:
    # ECN event detected
    target_bitrate = max(BETA_ECN* target_bitrate, TARGET_BITRATE_MIN)
    exit

ramp_up_speed_t = min(RAMP_UP_SPEED, target_bitrate/2.0)
scale_t = (target_bitrate - target_bitrate_last_max)/
    target_bitrate_last_max
scale_t = max(0.2, min(1.0, (scale_t*4)^2))
# min scale_t value 0.2 as the bitrate should be allowed to
# increase at least slowly --> avoid locking the rate to
# target_bitrate_last_max
if (in_fast_increase = true)
    increment_t = ramp_up_speed_t*RATE_ADJUST_INTERVAL
    increment_t *= scale_t
    target_bitrate += increment_t
else
    current_rate_t = max(rate_transmit, rate_ack)
    # Compute a bitrate change
    delta_rate_t = current_rate_t*(1.0-PRE_CONGESTION_GUARD*
        queue_delay_trend)-TX_QUEUE_SIZE_FACTOR *rtp_queue_size
    # Limit a positive increase if close to target_bitrate_last_max
    if (delta_rate_t > 0)
        delta_rate_t *= scale_t
        delta_rate_t =
            min(delta_rate_t, ramp_up_speed_t*RATE_ADJUST_INTERVAL)
    end
    target_bitrate += delta_rate_t
```

```
# Force a slight reduction in bitrate if RTP queue
# builds up
rtp_queue_delay_t = rtp_queue_size/current_rate_t
if (rtp_queue_delay_t > RTP_QDELAY_TH)
    target_bitrate *= TARGET_RATE_SCALE_RTP_QDELAY
end
end

rate_media_limit_t =
    max(current_rate_t, max(rate_media,rtp_rate_median))
rate_media_limit_t *= (2.0-qdelay_trend_mem)
target_bitrate = min(target_bitrate, rate_media_limit_t)
target_bitrate = min(TARGET_BITRATE_MAX,
    max(TARGET_BITRATE_MIN,target_bitrate))
<CODE ENDS>
```

In case of a loss event the target\_bitrate is updated and the rate change procedure is exited. Otherwise the rate change procedure continues. The rationale behind the rate reduction due to loss is that a congestion window reduction will take effect, a rate reduction pro actively avoids RTP packets being queued up when the transmit rate decreases due to the reduced congestion window. A similar rate reduction happens when ECN events are detected.

The rate update frequency is limited by RATE\_ADJUST\_INTERVAL, unless a loss event occurs. The value is based on experimentation with real life limitations in video coders taken into account [SCReAM-CPP-implementation]. A too short interval is shown to make the rate control loop in video coders more unstable, a too long interval makes the overall congestion control sluggish.

When in fast increase state (in\_fast\_increase=true), the bitrate increase is given by the desired ramp-up speed (RAMP\_UP\_SPEED) . The ramp-up speed is limited when the target bitrate is low to avoid rate oscillation at low bottleneck bitrates. The setting of RAMP\_UP\_SPEED depends on preferences, a high setting such as 1000kbps/s makes it possible to quickly get high quality media, this is however at the expense of a increased jitter, which can manifest itself as e.g. choppy video rendering.

When in\_fast\_increase is false, the bitrate increase is given by the current bitrate and is also controlled by the estimated RTP queue and the qdelay trend, thus it is sufficient that an increased congestion level is sensed by the network congestion control to limit the bitrate. The target\_bitrate\_last\_max is updated when congestion is detected.

Finally the `target_bitrate` is enforced to be within the defined min and max values.

The aware reader may notice the dependency on the `qdelay` in the computation of the target bitrate, this manifests itself in the use of the `qdelay_trend`. As these parameters are used also in the network congestion control one may suspect some odd interaction between the media rate control and the network congestion control, this is in fact the case if the parameter `PRE_CONGESTION_GUARD` is set to a high value. The use of `qdelay_trend` in the media rate control is solely to reduce jitter, the dependency can be removed by setting `PRE_CONGESTION_GUARD=0`, the effect is a somewhat faster rate increase after congestion, at the expense of increased jitter in congested situations.

#### 4.2. SCReAM Receiver

The simple task of the SCReAM receiver is to feedback acknowledgements of received packets and total ECN count to the SCReAM sender, in addition, the receive time of the RTP packet with the highest sequence number is echoed back. Upon reception of each RTP packet the receiver MUST maintain enough information to send the aforementioned values to the SCReAM sender via a RTCP transport layer feedback message. The frequency of the feedback message depends on the available RTCP bandwidth. The requirements on the feedback elements and the feedback interval is described.

##### 4.2.1. Requirements on feedback elements

The following feedback elements are REQUIRED for the basic functionality in SCReAM.

- o A list of received RTP packets. This list SHOULD be sufficiently long to cover all received RTP packets. This list can be realized with the Loss RLE report block in [RFC3611].
- o A wall clock timestamp corresponding to the received RTP packet with the highest sequence number is required in order to compute the `qdelay`. This can be realized by means of the Packet Receipt Times Report Block in [RFC3611]. `begin_seq` MUST be set to the highest received (possibly wrapped around) sequence number, `end_seq` MUST be set to `begin_seq+1 % 65536`. The timestamp clock MAY be set according to [RFC3611] i.e. equal to the RTP timestamp clock. Detailed individual packet receive times is not necessary as SCReAM does currently not describe how this can be used.

The basic feedback needed for SCReAM involves the use of the Loss RLE report block and the Packet Receipt Times block defined in Figure 2.



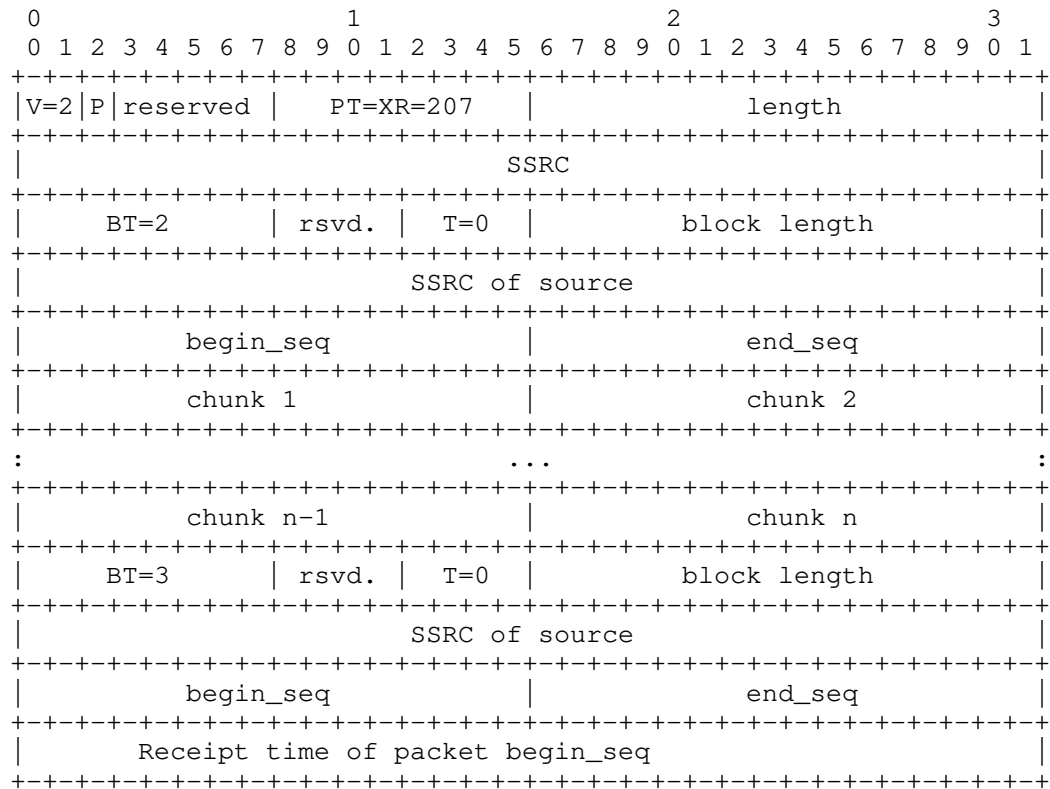


Figure 2: Basic feedback message for SCReAM, based on RFC3611

In a typical use case, no more than four Loss RLE chunks are needed, thus the feedback message will be 44bytes. It is obvious from the figure that there is a lot of redundant information in the feedback message. A more optimized feedback format, including the additional feedback elements listed below, could reduce the feedback message size a bit.

Additional feedback elements that can improve the performance of SCReAM are:

- o Accumulated number of ECN-CE marked packets (n\_ECN). This can for instance be realized with the ECN Feedback Report Format in [RFC6679]. The given feedback report format is actually a slight overkill as SCReAM would do quite well with only a counter that increments by one for each received packet with the ECN-CE code point set. The more bulky format could nevertheless be useful for e.g ECN black-hole detection.

#### 4.2.2. Requirements on feedback intensity

SCReAM benefits from a relatively frequent feedback. It is RECOMMENDED that a SCReAM implementation follows the guidelines below.

The feedback interval depends on the media bitrate. At low bitrates it is sufficient with a feedback interval of 100 to 400ms, while at high bitrates a feedback interval of roughly 20ms is to prefer, at very high bitrates, even shorter feedback intervals MAY be needed in order to keep the self-clocking in SCReAM working well. One piece of evidence of a too sparse feedback is that the SCReAM implementation cannot reach high bitrates, even in uncongested links. A more frequent feedback might solve this issue.

The numbers above can be formulated as feedback interval function that can be useful for the computation of the desired RTCP bandwidth. The following equation expresses the feedback rate:

$$\text{rate\_fb} = \min(50, \max(2.5, \text{rate\_media}/10000))$$

rate\_media is the RTP media bitrate expressed in [bits/s], rate\_fb is the feedback rate expressed in [packets/s]. Converted to feedback interval we get:

$$\text{fb\_int} = 1.0/\min(50, \max(2.5, \text{rate\_media}/10000))$$

The transmission interval is not critical, this means that in the case of multi-stream handling between two hosts, the feedback for two or more SSRs can be bundled to save UDP/IP overhead, the final realized feedback interval SHOULD however not exceed 2\*fb\_int in such cases meaning that a scheduled feedback transmission event should not be delayed more than fb\_int.

SCReAM works with AVPF regular mode, immediate or early mode is not required by SCReAM but can nonetheless be useful for e.g RTCP messages not directly related to SCReAM, such as those specified in [RFC4585]. It is RECOMMENDED to use reduced size RTCP [RFC5506] where regular full compound RTCP transmission is controlled by trr-int as described in [RFC4585].

## 5. Discussion

This section covers a few discussion points

- o Clock drift: SCReAM can suffer from the same issues with clock drift as is the case with LEDBAT [RFC6817]. Section A.2 in [RFC6817] however describes ways to mitigate issues with clock drift.
- o Support for alternate ECN semantics: This specification adopts the proposal in [I-D.ietf-tcpm-alternativebackoff-ecn] to reduce the congestion window less when ECN based congestion events are detected. Future work on Low Loss Low Latency for Scalable throughput (L4S) may lead to updates in a future RFC that describes SCReAM support for L4S.
- o A new RFC4585 transport layer feedback message could to be standardized if the use of the already existing RTCP extensions as described in Section 4.2 is not deemed sufficient.
- o The target bitrate given by SCReAM depicts the bitrate including RTP and FEC overhead. The media encoder SHOULD take this overhead into account when the media bitrate is set. This means that the media coder bitrate SHOULD be computed as

`media_rate = target_bitrate - rtp_plus_fec_overhead_bitrate`

It is not strictly necessary to make a 100% perfect compensation for the overhead as the SCReAM algorithm will inherently compensate for moderate errors. Under-compensation of the overhead has the effect of increasing jitter while overcompensation will have the effect of causing the bottleneck link to become under-utilized.

## 6. Implementation status

[Editor's note: Please remove the whole section before publication, as well reference to RFC 7942]

This section records the status of known implementations of the protocol defined by this specification at the time of posting of this Internet-Draft, and is based on a proposal described in [RFC7942]. The description of implementations in this section is intended to assist the IETF in its decision processes in progressing drafts to RFCs. Please note that the listing of any individual implementation here does not imply endorsement by the IETF. Furthermore, no effort has been spent to verify the information presented here that was supplied by IETF contributors. This is not intended as, and MUST NOT be construed to be, a catalog of available implementations or their features. Readers are advised to note that other implementations MAY exist.

According to [RFC7942], "this will allow reviewers and working groups to assign due consideration to documents that have the benefit of running code, which may serve as evidence of valuable experimentation and feedback that have made the implemented protocols more mature. It is up to the individual working groups to use this information as they see it".

### 6.1. OpenWebRTC

The SCReAM algorithm has been implemented in the OpenWebRTC project [OpenWebRTC], an open source WebRTC implementation from Ericsson Research. This SCReAM implementation is usable with any WebRTC endpoint using OpenWebRTC.

- o Organization : Ericsson Research, Ericsson.
- o Name : OpenWebRTC gst plug-in.
- o Implementation link : The GStreamer plug-in code for SCReAM can be found at github repository [SCReAM-implementation] The wiki (<https://github.com/EricssonResearch/openwebrtc/wiki>) contains required information for building and using OpenWebRTC.
- o Coverage : The code implements the specification in this memo. The current implementation has been tuned and tested to adapt a video stream and does not adapt the audio streams.
- o Implementation experience : The implementation of the algorithm in the OpenWebRTC has given great insight into the algorithm itself and its interaction with other involved modules such as encoder, RTP queue etc. In fact it proves the usability of a self-clocked rate adaptation algorithm in the real WebRTC system. The implementation experience has led to various algorithm improvements both in terms of stability and design. The current implementation use an `n_loss` counter for lost packets indication, this is subject to change in later versions to a list of received RTP packets.
- o Contact : `irc://chat.freenode.net/openwebrtc`

### 6.2. A C++ Implementation of SCReAM

- o Organization : Ericsson Research, Ericsson.
- o Name : SCReAM.
- o Implementation link : A C++ implementation of SCReAM is available at [SCReAM-CPP-implementation]. The code includes full support for

congestion control, rate control and multi stream handling, it can be integrated in web clients given the addition of extra code to implement the RTCP feedback and RTP queue(s). The code also includes a rudimentary implementation of a simulator that allows for some initial experiments. An additional experiment with SCReAM in a remote control arrangement is also documented.

- o Coverage : The code implements the specification in this memo.
- o Contact : `ingemar.s.johansson@ericsson.com`

## 7. Suggested experiments

SCReAM has been evaluated in a number of different ways, most of the evaluation has been in simulator. The OpenWebRTC implementation work involved extensive testing with artificial bottlenecks with varying bandwidths and using two different video coders (OpenH264 and VP9), the experience of this lead to further improvements of the media rate control logic.

Further experiments are preferably done by means of implementation in real clients and web browsers. RECOMMENDED experiments are:

- o Trials with various access technologies: EDGE/3G/4G, WiFi, DSL. Some experiments have already been carried out with LTE access, see e.g. [SCReAM-CPP-implementation] and [SCReAM-implementation-experience]
- o Trials with different kinds of media: Audio, Video, slide show content. Evaluation of multi stream handling in SCReAM.
- o Evaluation of functionality of competing flows compensation mechanism: Evaluate how SCReAM performs with competing TCP like traffic and to what extent the competing flows compensation causes self-inflicted congestion.
- o Determine proper parameters: A set of default parameters are given that makes SCReAM work over a reasonably large operation range, however for instance for very low or very high bitrates it may be necessary to use different values for instance for the RAMP\_UP\_SPEED.
- o Experimentation with further improvements to the congestion window and media bitrate calculation. [SCReAM-CPP-implementation] implements some optimizations, not described in this memo, that improve performance slightly. Further experiments are likely to lead to more optimizations of the algorithm.

## 8. Acknowledgements

We would like to thank the following persons for their comments, questions and support during the work that led to this memo: Markus Andersson, Bo Burman, Tomas Frankkila, Frederic Gabin, Laurits Hamm, Hans Hannu, Nikolas Hermanns, Stefan Haakansson, Erlendur Karlsson, Daniel Lindstroem, Mats Nordberg, Jonathan Samuelsson, Rickard Sjoeborg, Robert Swain, Magnus Westerlund, Stefan Aalund. Many additional thanks to RMCAT chairs Karen E. E. Nielsen and Mirja Kuehlewind for patiently reading, suggesting improvements and also for asking all the difficult but necessary questions. Thanks to Stefan Holmer, Xiaoqing Zhu, Safiqul Islam and David Hayes for the additional review of this document. Thanks to Ralf Globisch for taking time to try out SCReAM in his challenging low bitrate use cases, Robert Hedman for finding a few additional flaws in the running code, and Gustavo Garcia and 'miseri' for code contributions.

## 9. IANA Considerations

There is currently no request to IANA

## 10. Security Considerations

The feedback can be vulnerable to attacks similar to those that can affect TCP. It is therefore RECOMMENDED that the RTCP feedback is at least integrity protected. Furthermore, as SCReAM is self-clocked, a malicious middlebox can drop RTCP feedback packets and thus cause the self-clocking in SCReAM to stall. This attack is however mitigated by the minimum send rate maintained by SCReAM when no feedback is received.

## 11. Change history

A list of changes:

- o WG-12 to WG-13: IESG comments addressed
- o WG-11 to WG-12: Review comments from Joel Halpern and Mirja
- o WG-10 to WG-11: Review comments from Mirja
- o WG-9 to WG-10: Minor edits
- o WG-08 to WG-09: Updated based shepherd review by Martin Stiernerling, Q-bit semantics are removed as this is superfluous for the moment. Pacing and RTCP considerations are moved up from the appendix, FEC discussion moved to discussion section.

- o WG-07 to WG-08: Avoid draft expiry
- o WG-06 to WG-07: Updated based on WGLC review by David Hayes and Safiqul Islam
- o WG-05 to WG-06: Added list of suggested experiments
- o WG-04 to WG-05: Congestion control and rate control simplified somewhat
- o WG-03 to WG-04: Editorial fixes
- o WG-02 to WG-03: Review comments from Stefan Holmer and Xiaoqing Zhu addressed, owd changed to qdelay for clarity. Added appendix section with RTCP feedback requirements, including a suggested basic feedback format based Loss RLE report block and the Packet Receipt Times blocks in [RFC3611]. Loss detection added as a section. Transmission scheduling and packet pacing explained in appendix. Source quench semantics added to appendix.
- o WG-01 to WG-02: Complete restructuring of the document. Moved feedback message to a separate draft.
- o WG-00 to WG-01 : Changed the Source code section to Implementation status section.
- o -05 to WG-00 : First version of WG doc, moved additional features section to Appendix. Added description of prioritization in SCReAM. Added description of additional cap on target bitrate
- o -04 to -05 : ACK vector is replaced by a loss counter, PT is removed from feedback, references to source code added
- o -03 to -04 : Extensive changes due to review comments, code somewhat modified, frame skipping made optional
- o -02 to -03 : Added algorithm description with equations, removed pseudo code and simulation results
- o -01 to -02 : Updated GCC simulation results
- o -00 to -01 : Fixed a few bugs in example code

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Evaluation Test Cases for Interactive Real-Time Media over Wireless  
Networks  
draft-ietf-rmcat-wireless-tests-00

Abstract

It is evident that to ensure seamless and robust user experience across all type of access networks multimedia communication suits should adapt to the changing network conditions. There is an ongoing effort in IETF RMCAT working group to standardize rate adaptive algorithm(s) to be used in the real-time interactive communication. In this document test cases are described to evaluate the performances of the proposed endpoint adaptation solutions in LTE networks and Wi-Fi networks. It is aimed that the proposed solutions should be evaluated using the test cases defined in this document to select most optimal solutions.

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## 1. Introduction

Wireless networks (both cellular and Wi-Fi [IEEE802.11] local area network) are an integral part of the Internet. Mobile devices connected to the wireless networks produces huge amount of media traffic in the Internet. They covers the scenarios of having a video call in the bus to media consumption sitting on a couch in a living room. It is a well known fact that the characteristic and challenges for offering service over wireless network are very different than providing the same over a wired network. Even though RMCAT basic test cases defines number of test cases that covers lots of effects of the impairments visible in the wireless networks but there are characteristics and dynamics those are unique to particular wireless environment. For example, in the LTE the base station maintains queues per radio bearer per user hence it gives different interaction when all traffic from user share the same queue. Again, the user mobility in a cellular network is different than the user mobility in a Wi-Fi network. Thus, It is important to evaluate the performance

of the proposed RMCAT candidates separately in the cellular mobile networks and Wi-Fi local networks (IEEE 802.11xx protocol family ).

RMCAT evaluation criteria [I-D.ietf-rmcat-eval-criteria] document provides the guideline to perform the evaluation on candidate algorithms and recognizes wireless networks to be important access link. However, it does not provides particular test cases to evaluate the performance of the candidate algorithm. In this document we device test cases specifically targeting cellular networks such as LTE networks and Wi-Fi local networks.

## 2. Terminologies

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC2119 [RFC2119]

## 3. Cellular Network Specific Test Cases

A cellular environment is more complicated than a wireline ditto since it seeks to provide services in the context of variable available bandwidth, location dependencies and user mobilities at different speeds. In a cellular network the user may reach the cell edge which may lead to a significant amount of retransmissions to deliver the data from the base station to the destination and vice versa. These network links or radio links will often act as a bottleneck for the rest of the network which will eventually lead to excessive delays or packet drops. An efficient retransmission or link adaptation mechanism can reduce the packet loss probability but there will still be some packet losses and delay variations. Moreover, with increased cell load or handover to a congested cell, congestion in transport network will become even worse. Besides, there are certain characteristics which make the cellular network different and challenging than other types of access network such as Wi-Fi and wired network. In a cellular network -

- o The bottleneck is often a shared link with relatively few users.
  - \* The cost per bit over the shared link varies over time and is different for different users.
  - \* Left over/ unused resource can be grabbed by other greedy users.
- o Queues are always per radio bearer hence each user can have many of such queues.

- o Users can experience both Inter and Intra Radio Access Technology (RAT) handovers ("handover" definition in [HO-def-3GPP] ).
- o Handover between cells, or change of serving cells (see in [HO-LTE-3GPP] and [HO-UMTS-3GPP] ) might cause user plane interruptions which can lead to bursts of packet losses, delay and/or jitter. The exact behavior depends on the type of radio bearer. Typically, the default best effort bearers do not generate packet loss, instead packets are queued up and transmitted once the handover is completed.
- o The network part decides how much the user can transmit.
- o The cellular network has variable link capacity per user
  - \* Can vary as fast as a period of milliseconds.
  - \* Depends on lots of facts (such as distance, speed, interference, different flows).
  - \* Uses complex and smart link adaptation which makes the link behavior ever more dynamic.
  - \* The scheduling priority depends on the estimated throughput.
- o Both Quality of Service (QoS) and non-QoS radio bearers can be used.

Hence, a real-time communication application operating in such a cellular network need to cope with shared bottleneck link and variable link capacity, event likes handover, non-congestion related loss, abrupt change in bandwidth (both short term and long term) due to handover, network load and bad radio coverage. Even though 3GPP define QoS bearers [QoS-3GPP] to ensure high quality user experience, adaptive real-time applications are desired.

Different mobile operators deploy their own cellular network with their own set of network functionalities and policies. Usually, a mobile operator network includes 2G, EDGE, 3G and 4G radio access technologies. Looking at the specifications of such radio technologies it is evident that only 3G and 4G radio technologies can support the high bandwidth requirements from real-time interactive video applications. The future real-time interactive application will impose even greater demand on cellular network performance which makes 4G (and beyond radio technologies) more suitable access technology for such genre of application.

The key factors to define test cases for cellular network are

- o Shared and varying link capacity
- o Mobility
- o Handover

However, for cellular network it is very hard to separate such events from one another as these events are heavily related. Hence instead of devising separate test cases for all those important events we have divided the test case in two categories. It should be noted that in the following test cases the goal is to evaluate the performance of candidate algorithms over radio interface of the cellular network. Hence it is assumed that the radio interface is the bottleneck link between the communicating peers and that the core network does not add any extra congestion in the path. Also the combination of multiple access technologies such as one user has LTE connection and another has Wi-Fi connection is kept out of the scope of this document. However, later those additional scenarios can also be added in this list of test cases. While defining the test cases we assumed a typical real-time telephony scenario over cellular networks where one real-time session consists of one voice stream and one video stream. We recommend that an LTE network simulator is used for the test cases defined in this document, for example-NS-3 LTE simulator [LTE-simulator].

### 3.1. Varying Network Load

The goal of this test is to evaluate the performance of the candidate congestion control algorithm under varying network load. The network load variation is created by adding and removing network users a.k.a. User Equipments (UEs) during the simulation. In this test case, each of the user/UE in the media session is an RMCAT compliant endpoint. The arrival of users follows a Poisson distribution, which is proportional to the length of the call, so that the number of users per cell is kept fairly constant during the evaluation period. At the beginning of the simulation there should be enough amount of time to warm-up the network. This is to avoid running the evaluation in an empty network where network nodes are having empty buffers, low interference at the beginning of the simulation. This network initialization period is therefore excluded from the evaluation period.

This test case also includes user mobility and competing traffic. The competing traffics includes both same kind of flows (with same adaptation algorithms) and different kind of flows (with different service and congestion control). The investigated congestion control algorithms should show maximum possible network utilization and stability in terms of rate variations, lowest possible end to end



frame latency, network latency and Packet Loss Rate (PLR) at different cell load level.

### 3.1.1. Network Connection

Each mobile user is connected to a fixed user. The connection between the mobile user and fixed user consists of a LTE radio access, an Evolved Packet Core (EPC) and an Internet connection. The mobile user is connected to the EPC using LTE radio access technology which is further connected to the Internet. The fixed user is connected to the Internet via wired connection with no bottleneck (practically infinite bandwidth). The Internet and wired connection in this setup does not add any network impairments to the test, it only adds 10ms of one-way transport propagation delay.

The path from the fixed user to mobile user is defines as "Downlink" and the path from mobile user to the fixed user is defined as "Uplink". We assume that only uplink or downlink is congested for the mobile users. Hence, we recommend that the uplink and downlink simulations are run separately.

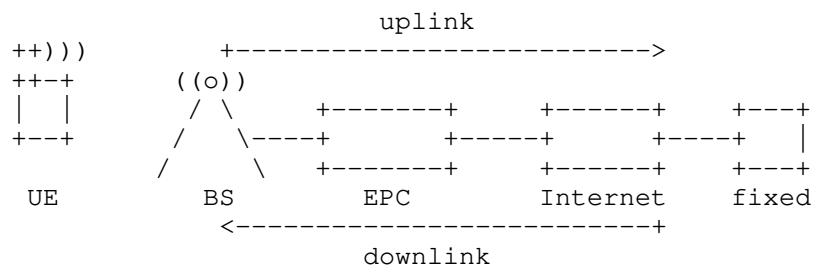


Figure 1: Simulation Topology

### 3.1.2. Simulation Setup

The values enclosed within " [ ] " for the following simulation attributes follow the notion set in [I-D.ietf-rmcat-eval-test]. The desired simulation setup as follows-

#### 1. Radio environment

- A. Deployment and propagation model : 3GPP case 1[Deployment]
- B. Antenna: Multiple-Input and Multiple-Output (MIMO), [2D, 3D]
- C. Mobility: [3km/h, 30km/h]
- D. Transmission bandwidth: 10Mhz

- E. Number of cells: multi cell deployment (3 Cells per Base Station (BS) \* 7 BS) = 21 cells
- F. Cell radius: 166.666 Meters
- G. Scheduler: Proportional fair with no priority
- H. Bearer: Default bearer for all traffic.
- I. Active Queue Management (AQM) settings: AQM [on,off]
- 2. End to end Round Trip Time (RTT): [ 40, 150]
- 3. User arrival model: Poisson arrival model
- 4. User intensity:
  - \* Downlink user intensity: {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0, 7.7, 8.4, 9.1, 9.8, 10.5}
  - \* Uplink user intercity : {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0}
- 5. Simulation duration: 91s
- 6. Evaluation period : 30s-60s
- 7. Media traffic
  - 1. Media type: Video
    - a. Media direction: [Uplink, Downlink]
    - b. Number of Media source per user: One (1)
    - c. Media duration per user: 30s
    - d. Media source: same as define in section 4.3 of [I-D.ietf-rmcat-eval-test]
  - 2. Media Type : Audio
    - a. Media direction: Uplink and Downlink
    - b. Number of Media source per user: One (1)
    - c. Media duration per user: 30s

d. Media codec: Constant BitRate (CBR)

e. Media bitrate : 20 Kbps

f. Adaptation: off

8. Other traffic model:

- \* Downlink simulation: Maximum of 4Mbps/cell (web browsing or FTP traffic)
- \* Unlink simulation: Maximum of 2Mbps/cell (web browsing or FTP traffic)

3.2. Bad Radio Coverage

The goal of this test is to evaluate the performance of candidate congestion control algorithm when users visit part of the network with bad radio coverage. The scenario is created by using larger cell radius than previous test case. In this test case each of the user/UE in the media session is an RMCAT compliant endpoint. The arrival of users follows a Poisson distribution, which is proportional to the length of the call, so that the number of users per cell is kept fairly constant during the evaluation period. At the beginning of the simulation there should be enough amount of time to warm-up the network. This is to avoid running the evaluation in an empty network where network nodes are having empty buffers, low interference at the beginning of the simulation. This network initialization period is therefore excluded from the evaluation period.

This test case also includes user mobility and competing traffic. The competing traffics includes same kind of flows (with same adaptation algorithms) . The investigated congestion control algorithms should show maximum possible network utilization and stability in terms of rate variations, lowest possible end to end frame latency, network latency and Packet Loss Rate (PLR) at different cell load level.

3.2.1. Network connection

Same as defined in Section 3.1.1

3.2.2. Simulation Setup

The desired simulation setup is same as Varying Network Load test case defined in Section 3.1 except following changes-

1. Radio environment : Same as defined in Section 3.1.2 except followings
  - A. Deployment and propagation model : 3GPP case 3[Deployment]
  - B. Cell radius: 577.3333 Meters
  - C. Mobility: 3km/h
2. User intensity = {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0}
3. Media traffic model: Same as defined in Section 3.1.2
4. Other traffic model: None

### 3.3. Desired Evaluation Metrics for cellular test cases

RMCAT evaluation criteria document [I-D.ietf-rmcat-eval-criteria] defines metrics to be used to evaluate candidate algorithms. However, looking at the nature and distinction of cellular networks we recommend at minimum following metrics to be used to evaluate the performance of the candidate algorithms for the test cases defined in this document.

The desired metrics are-

- o Average cell throughput (for all cells), shows cell utilizations.
- o Application sending and receiving bitrate, goodput.
- o Packet Loss Rate (PLR).
- o End to end Media frame delay. For video, this means the delay from capture to display.
- o Transport delay.
- o Algorithm stability in terms of rate variation.

### 4. Wi-Fi Networks Specific Test Cases

TBD

## 5. Conclusion

This document defines two test cases that are considered important for cellular networks. Moreover, this document also provides a framework to define more additional test cases for cellular network.

## 6. Acknowledgements

We would like to thank Tomas Frankkila, Magnus Westerlund, Kristofer Sandlund for their valuable comments while writing this draft.

## 7. IANA Considerations

This memo includes no request to IANA.

## 8. Security Considerations

Security issues have not been discussed in this memo.

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Evaluation Test Cases for Interactive Real-Time Media over Wireless  
Networks  
draft-ietf-rmcat-wireless-tests-11

## Abstract

The Real-time Transport Protocol (RTP) is a common transport choice for interactive multimedia communication applications. The performance of these applications typically depends on a well-functioning congestion control algorithm. To ensure a seamless and robust user experience, a well-designed RTP-based congestion control algorithm should work well across all access network types. This document describes test cases for evaluating performances of candidate congestion control algorithms over cellular and Wi-Fi networks.

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## 1. Introduction

Wireless networks (both cellular and Wi-Fi [IEEE802.11]) are an integral and increasingly more significant part of the Internet. Typical application scenarios for interactive multimedia communication over wireless include from video conferencing calls in a bus or train as well as live media streaming at home. It is well known that the characteristics and technical challenges for supporting multimedia services over wireless are very different from those of providing the same service over a wired network. Although the basic test cases as defined in [I-D.ietf-rmcat-eval-test] have covered many common effects of network impairments for evaluating RTP-based congestion control schemes, they remain to be tested over characteristics and dynamics unique to a given wireless environment. For example, in cellular networks, the base station maintains individual queues per radio bearer per user hence it leads to a different nature of interactions between traffic flows of different users. This contrasts with a typical wired network setting where traffic flows from all users share the same queue at the bottleneck. Furthermore, user mobility patterns in a cellular network differ from those in a Wi-Fi network. Therefore, it is important to evaluate the performance of proposed candidate RTP-based congestion control solutions over cellular mobile networks and over Wi-Fi networks respectively.

The draft [I-D.ietf-rmcat-eval-criteria] provides the guideline for evaluating candidate algorithms and recognizes the importance of testing over wireless access networks. However, it does not describe any specific test cases for performance evaluation of candidate algorithms. This document describes test cases specifically targeting cellular and Wi-Fi networks.

## 2. Cellular Network Specific Test Cases

A cellular environment is more complicated than its wireline counterpart since it seeks to provide services in the context of variable available bandwidth, location dependencies and user mobilities at different speeds. In a cellular network, the user may reach the cell edge which may lead to a significant amount of retransmissions to deliver the data from the base station to the destination and vice versa. These radio links will often act as a bottleneck for the rest of the network and will eventually lead to excessive delays or packet drops. An efficient retransmission or link adaptation mechanism can reduce the packet loss probability but there will remain some packet losses and delay variations. Moreover, with increased cell load or handover to a congested cell, congestion in the transport network will become even worse. Besides, there exist certain characteristics that distinguish the cellular network

from other wireless access networks such as Wi-Fi. In a cellular network --

- o The bottleneck is often a shared link with relatively few users.
  - \* The cost per bit over the shared link varies over time and is different for different users.
  - \* Leftover/unused resources can be consumed by other greedy users.
- o Queues are always per radio bearer hence each user can have many such queues.
- o Users can experience both Inter and Intra Radio Access Technology (RAT) handovers (see [HO-def-3GPP] for the definition of "handover").
- o Handover between cells or change of serving cells (as described in [HO-LTE-3GPP] and [HO-UMTS-3GPP]) might cause user plane interruptions which can lead to bursts of packet losses, delay and/or jitter. The exact behavior depends on the type of radio bearer. Typically, the default best-effort bearers do not generate packet loss, instead, packets are queued up and transmitted once the handover is completed.
- o The network part decides how much the user can transmit.
- o The cellular network has variable link capacity per user.
  - \* It can vary as fast as a period of milliseconds.
  - \* It depends on many factors (such as distance, speed, interference, different flows).
  - \* It uses complex and smart link adaptation which makes the link behavior ever more dynamic.
  - \* The scheduling priority depends on the estimated throughput.
- o Both Quality of Service (QoS) and non-QoS radio bearers can be used.

Hence, a real-time communication application operating over a cellular network needs to cope with a shared bottleneck link and variable link capacity, events like handover, non-congestion related loss, abrupt changes in bandwidth (both short term and long term) due to handover, network load and bad radio coverage. Even though 3GPP

has defined QoS bearers [QoS-3GPP] to ensure high-quality user experience, it is still preferable for real-time applications to behave in an adaptive manner.

Different mobile operators deploy their own cellular networks with their own set of network functionalities and policies. Usually, a mobile operator network includes a range of radio access technologies such as 3G and 4G/LTE. Looking at the specifications of such radio technologies it is evident that only the more recent radio technologies can support the high bandwidth requirements from real-time interactive video applications. The future real-time interactive application will impose even greater demand on cellular network performance which makes 4G (and beyond) radio technologies more suitable for such genre of application.

The key factors in defining test cases for cellular networks are:

- o Shared and varying link capacity
- o Mobility
- o Handover

However, these factors are typically highly correlated in a cellular network. Therefore, instead of devising separate test cases for individual important events, we have divided the test case into two categories. It should be noted that the goal of the following test cases is to evaluate the performance of candidate algorithms over the radio interface of the cellular network. Hence it is assumed that the radio interface is the bottleneck link between the communicating peers and that the core network does not introduce any extra congestion along the path. Consequently, this draft has kept as out of scope the combination of multiple access technologies involving both cellular and Wi-Fi users. In this latter case the shared bottleneck is likely at the wired backhaul link. These test cases further assume a typical real-time telephony scenario where one real-time session consists of one voice stream and one video stream.

Even though it is possible to carry out tests over operational cellular networks (e.g., LTE/5G), and actually such tests are already available today, these tests cannot in general be carried out in a deterministic fashion to ensure repeatability. The main reason is that these networks are controlled by cellular operators and there exist various amounts of competing traffic in the same cell(s). In practice, it is only in underground mines that one can carry out near deterministic testing. Even there, it is not guaranteed either as workers in the mines may carry with them their personal mobile phones. Furthermore, the underground mining setting may not reflect

typical usage patterns in an urban setting. We, therefore, recommend that a cellular network simulator is used for the test cases defined in this document, for example -- the LTE simulator in [NS-3].

## 2.1. Varying Network Load

The goal of this test is to evaluate the performance of the candidate congestion control algorithm under varying network load. The network load variation is created by adding and removing network users a.k.a. User Equipments (UEs) during the simulation. In this test case, each user/UE in the media session is an endpoint following RTP-based congestion control. User arrivals follow a Poisson distribution proportional to the length of the call, to keep the number of users per cell fairly constant during the evaluation period. At the beginning of the simulation, there should be enough time to warm-up the network. This is to avoid running the evaluation in an empty network where network nodes are having empty buffers, low interference at the beginning of the simulation. This network initialization period should be excluded from the evaluation period. Typically, the evaluation period starts 30 seconds after test initialization.

This test case also includes user mobility and some competing traffic. The latter includes both the same types of flows (with same adaptation algorithms) and different types of flows (with different services and congestion control schemes).

### 2.1.1. Network Connection

Each mobile user is connected to a fixed user. The connection between the mobile user and fixed user consists of a cellular radio access, an Evolved Packet Core (EPC) and an Internet connection. The mobile user is connected to the EPC using cellular radio access technology which is further connected to the Internet. At the other end, the fixed user is connected to the Internet via wired connection with sufficiently high bandwidth, for instance, 10 Gbps, so that the system bottleneck is on the cellular radio access interface. The wired connection to in this setup does not introduce any network impairments to the test; it only adds 10 ms of one-way propagation delay.

The path from the fixed user to the mobile users is defined as "Downlink" and the path from the mobile users to the fixed user is defined as "Uplink". We assume that only uplink or downlink is congested for mobile users. Hence, we recommend that the uplink and downlink simulations are run separately.

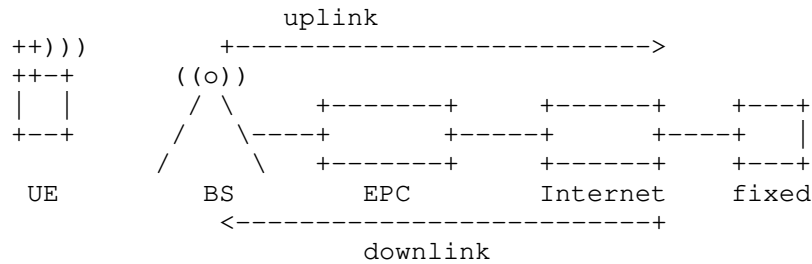


Figure 1: Simulation Topology

### 2.1.2. Simulation Setup

The values enclosed within "[ ]" for the following simulation attributes follow the same notion as in [I-D.ietf-rmcat-eval-test]. The desired simulation setup is as follows --

1. Radio environment:
  - A. Deployment and propagation model: 3GPP case 1 (see [HO-deploy-3GPP])
  - B. Antenna: Multiple-Input and Multiple-Output (MIMO), 2D or 3D antenna pattern.
  - C. Mobility: [3km/h, 30km/h]
  - D. Transmission bandwidth: 10MHz
  - E. Number of cells: multi-cell deployment (3 Cells per Base Station (BS) \* 7 BS) = 21 cells
  - F. Cell radius: 166.666 Meters
  - G. Scheduler: Proportional fair with no priority
  - H. Bearer: Default bearer for all traffic.
  - I. Active Queue Management (AQM) settings: AQM [on,off]
2. End-to-end Round Trip Time (RTT): [40ms, 150ms]
3. User arrival model: Poisson arrival model
4. User intensity:

- \* Downlink user intensity: {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0, 7.7, 8.4, 9.1, 9.8, 10.5}
  - \* Uplink user intensity : {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0}
5. Simulation duration: 91s
  6. Evaluation period: 30s-60s
  7. Media traffic:
    1. Media type: Video
      - a. Media direction: [Uplink, Downlink]
      - b. Number of Media source per user: One (1)
      - c. Media duration per user: 30s
      - d. Media source: same as defined in Section 4.3 of [I-D.ietf-rmcat-eval-test]
    2. Media Type: Audio
      - a. Media direction: Uplink and Downlink
      - b. Number of Media source per user: One (1)
      - c. Media duration per user: 30s
      - d. Media codec: Constant Bit Rate (CBR)
      - e. Media bitrate: 20 Kbps
      - f. Adaptation: off
  8. Other traffic models:
    - \* Downlink simulation: Maximum of 4Mbps/cell (web browsing or FTP traffic following default TCP congestion control [RFC5681])
    - \* Uplink simulation: Maximum of 2Mbps/cell (web browsing or FTP traffic following default TCP congestion control [RFC5681])

### 2.1.3. Expected behavior

The investigated congestion control algorithms should result in maximum possible network utilization and stability in terms of rate variations, lowest possible end to end frame latency, network latency and Packet Loss Rate (PLR) at different cell load levels.

## 2.2. Bad Radio Coverage

The goal of this test is to evaluate the performance of candidate congestion control algorithm when users visit part of the network with bad radio coverage. The scenario is created by using a larger cell radius than that in the previous test case. In this test case, each user/UE in the media session is an endpoint following RTP-based congestion control. User arrivals follow a Poisson distribution proportional to the length of the call, to keep the number of users per cell fairly constant during the evaluation period. At the beginning of the simulation, there should be enough amount of time to warm-up the network. This is to avoid running the evaluation in an empty network where network nodes are having empty buffers, low interference at the beginning of the simulation. This network initialization period should be excluded from the evaluation period. Typically, the evaluation period starts 30 seconds after test initialization.

This test case also includes user mobility and some competing traffic. The latter includes the same kind of flows (with same adaptation algorithms).

### 2.2.1. Network connection

Same as defined in Section 2.1.1

### 2.2.2. Simulation Setup

The desired simulation setup is the same as the Varying Network Load test case defined in Section 2.1 except the following changes:

1. Radio environment: Same as defined in Section 2.1.2 except the following:
  - A. Deployment and propagation model: 3GPP case 3 (see [HO-deploy-3GPP])
  - B. Cell radius: 577.3333 Meters
  - C. Mobility: 3km/h



2. User intensity = {0.7, 1.4, 2.1, 2.8, 3.5, 4.2, 4.9, 5.6, 6.3, 7.0}
3. Media traffic model: Same as defined in Section 2.1.2
4. Other traffic models:
  - \* Downlink simulation: Maximum of 2Mbps/cell (web browsing or FTP traffic following default TCP congestion control [RFC5681])
  - \* Unlink simulation: Maximum of 1Mbps/cell (web browsing or FTP traffic following default TCP congestion control [RFC5681])

#### 2.2.3. Expected behavior

The investigated congestion control algorithms should result in maximum possible network utilization and stability in terms of rate variations, lowest possible end to end frame latency, network latency and Packet Loss Rate (PLR) at different cell load levels.

#### 2.3. Desired Evaluation Metrics for cellular test cases

The evaluation criteria document [I-D.ietf-rmcat-eval-criteria] defines the metrics to be used to evaluate candidate algorithms. Considering the nature and distinction of cellular networks we recommend that at least the following metrics be used to evaluate the performance of the candidate algorithms:

- o Average cell throughput (for all cells), shows cell utilizations.
- o Application sending and receiving bitrate, goodput.
- o Packet Loss Rate (PLR).
- o End-to-end Media frame delay. For video, this means the delay from capture to display.
- o Transport delay.
- o Algorithm stability in terms of rate variation.

#### 3. Wi-Fi Networks Specific Test Cases

Given the prevalence of Internet access links over Wi-Fi, it is important to evaluate candidate RTP-based congestion control solutions over test cases that include Wi-Fi access links. Such

evaluations should highlight the inherently different characteristics of Wi-Fi networks in contrast to their wired counterparts:

- o The wireless radio channel is subject to interference from nearby transmitters, multipath fading, and shadowing. These effects lead to fluctuations in the link throughput and sometimes an error-prone communication environment.
- o Available network bandwidth is not only shared over the air between concurrent users but also between uplink and downlink traffic due to the half-duplex nature of the wireless transmission medium.
- o Packet transmissions over Wi-Fi are susceptible to contentions and collisions over the air. Consequently, traffic load beyond a certain utilization level over a Wi-Fi network can introduce frequent collisions over the air and significant network overhead, as well as packet drops due to buffer overflow at the transmitters. This, in turn, leads to excessive delay, retransmissions, packet losses and lower effective bandwidth for applications. Note further that the collision-induced delay and loss patterns are qualitatively different from those caused by congestion over a wired connection.
- o The IEEE 802.11 standard (i.e., Wi-Fi) supports multi-rate transmission capabilities by dynamically choosing the most appropriate modulation and coding scheme (MCS) for the given received signal strength. A different choice in the MCS Index leads to different physical-layer (PHY-layer) link rates and consequently different application-layer throughput.
- o The presence of legacy devices (e.g., ones operating only in IEEE 802.11b) at a much lower PHY-layer link rate can significantly slow down the rest of a modern Wi-Fi network. As discussed in [Heusse2003], the main reason for such anomaly is that it takes much longer to transmit the same packet over a slower link than over a faster link, thereby consuming a substantial portion of air time.
- o Handover from one Wi-Fi Access Point (AP) to another may lead to excessive packet delays and losses during the process.
- o IEEE 802.11e has introduced the Enhanced Distributed Channel Access (EDCA) mechanism to allow different traffic categories to contend for channel access using different random back-off parameters. This mechanism is a mandatory requirement for the Wi-Fi Multimedia (WMM) certification in Wi-Fi Alliance. It allows for prioritization of real-time application traffic such as voice

and video over non-urgent data transmissions (e.g., file transfer).

In summary, the presence of Wi-Fi access links in different network topologies can exert different impact on the network performance in terms of application-layer effective throughput, packet loss rate, and packet delivery delay. These, in turn, will influence the behavior of end-to-end real-time multimedia congestion control.

Unless otherwise mentioned, the test cases in this section choose the PHY- and MAC-layer parameters based on the IEEE 802.11n Standard. Statistics collected from enterprise Wi-Fi networks show that the two dominant physical modes are 802.11n and 802.11ac, accounting for 41% and 58% of connected devices. As Wi-Fi standards evolve over time -- for instance, with the introduction of the emerging Wi-Fi 6 (based on IEEE 802.11ax) products -- the PHY- and MAC-layer test case specifications need to be updated accordingly to reflect such changes.

Typically, a Wi-Fi access network connects to a wired infrastructure. Either the wired or the Wi-Fi segment of the network can be the bottleneck. The following sections describe basic test cases for both scenarios separately. The same set of performance metrics as in [I-D.ietf-rmcat-eval-test]) should be collected for each test case.

We recommend to carry out the test cases as defined in this document using a simulator, such as [NS-2] or [NS-3]. When feasible, it is encouraged to perform testbed-based evaluations using Wi-Fi access points and endpoints running up-to-date IEEE 802.11 protocols, such as 802.11ac and the emerging Wi-Fi 6, so as to verify the viability of the candidate schemes.

### 3.1. Bottleneck in Wired Network

The test scenarios below are intended to mimic the setup of video conferencing over Wi-Fi connections from the home. Typically, the Wi-Fi home network is not congested and the bottleneck is present over the wired home access link. Although it is expected that test evaluation results from this section are similar to those as in [I-D.ietf-rmcat-eval-test], it is still worthwhile to run through these tests as sanity checks.

#### 3.1.1. Network topology

Figure 2 shows the network topology of Wi-Fi test cases. The test contains multiple mobile nodes (MNs) connected to a common Wi-Fi access point (AP) and their corresponding wired clients on fixed nodes (FNs). Each connection carries either a RTP-based media flow

or a TCP traffic flow. Directions of the flows can be uplink (i.e., from mobile nodes to fixed nodes), downlink (i.e., from fixed nodes to mobile nodes), or bi-directional. The total number of uplink/downlink/bi-directional flows for RTP-based media traffic and TCP traffic are denoted as N and M, respectively.

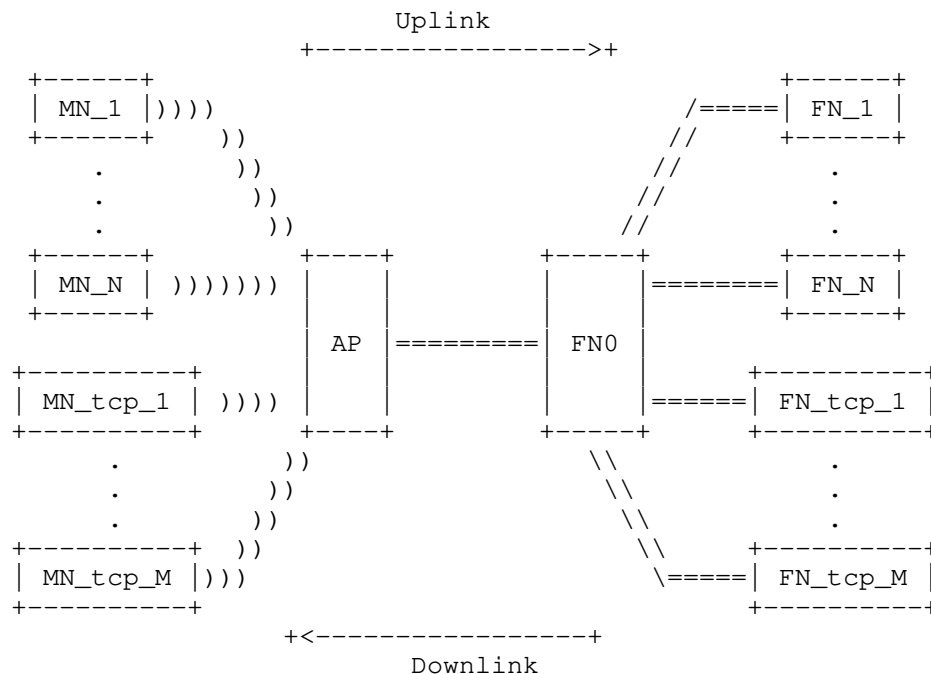


Figure 2: Network topology for Wi-Fi test cases

### 3.1.2. Test/simulation setup

- o Test duration: 120s
- o Wi-Fi network characteristics:
  - \* Radio propagation model: Log-distance path loss propagation model (see [NS3WiFi])
  - \* PHY- and MAC-layer configuration: IEEE 802.11n
  - \* MCS Index at 11: 16-QAM 1/2, Raw Data Rate at 52Mbps
- o Wired path characteristics:

- \* Path capacity: 1Mbps
- \* One-Way propagation delay: 50ms.
- \* Maximum end-to-end jitter: 30ms
- \* Bottleneck queue type: Drop tail.
- \* Bottleneck queue size: 300ms.
- \* Path loss ratio: 0%.
- o Application characteristics:
  - \* Media Traffic:
    - + Media type: Video
    - + Media direction: See Section 3.1.3
    - + Number of media sources (N): See Section 3.1.3
    - + Media timeline:
      - Start time: 0s.
      - End time: 119s.
  - \* Competing traffic:
    - + Type of sources: long-lived TCP or CBR over UDP
    - + Traffic direction: See Section 3.1.3
    - + Number of sources (M): See Section 3.1.3
    - + Congestion control: Default TCP congestion control [RFC5681] or constant-bit-rate (CBR) traffic over UDP.
    - + Traffic timeline: See Section 3.1.3

### 3.1.3. Typical test scenarios

- o Single uplink RTP-based media flow: N=1 with uplink direction and M=0.
- o One pair of bi-directional RTP-based media flows: N=2 (i.e., one uplink flow and one downlink flow); M=0.

- o One pair of bi-directional RTP-based media flows: N=2; one uplink on-off CBR flow over UDP: M=1 (uplink). The CBR flow has ON time at t=0s-60s and OFF time at t=60s-119s.
- o One pair of bi-directional RTP-based media flows: N=2; one uplink off-on CBR flow over UDP: M=1 (uplink). The CBR flow has OFF time at t=0s-60s and ON time at t=60s-119s.
- o One RTP-based media flow competing against one long-live TCP flow in the uplink direction: N=1 (uplink) and M = 1(uplink). The TCP flow has start time at t=0s and end time at t=119s.

#### 3.1.4. Expected behavior

- o Single uplink RTP-based media flow: the candidate algorithm is expected to detect the path capacity constraint, to converge to the bottleneck link capacity, and to adapt the flow to avoid unwanted oscillations when the sending bit rate is approaching the bottleneck link capacity. No excessive oscillations in the media rate should be present.
- o Bi-directional RTP-based media flows: the candidate algorithm is expected to converge to the bottleneck capacity of the wired path in both directions despite the presence of measurement noise over the Wi-Fi connection. In the presence of background TCP or CBR over UDP traffic, the rate of RTP-based media flows should adapt promptly to the arrival and departure of background traffic flows.
- o One RTP-based media flow competing with long-live TCP flow in the uplink direction: the candidate algorithm is expected to avoid congestion collapse and to stabilize at a fair share of the bottleneck link capacity.

#### 3.2. Bottleneck in Wi-Fi Network

The test cases in this section assume that the wired segment along the media path is well-provisioned whereas the bottleneck exists over the Wi-Fi access network. This is to mimic the application scenarios typically encountered by users in an enterprise environment or at a coffee house.

##### 3.2.1. Network topology

Same as defined in Section 3.1.1

### 3.2.2. Test/simulation setup

- o Test duration: 120s
- o Wi-Fi network characteristics:
  - \* Radio propagation model: Log-distance path loss propagation model (see [NS3WiFi])
  - \* PHY- and MAC-layer configuration: IEEE 802.11n
  - \* MCS Index at 11: 16-QAM 1/2, Raw Data Rate at 52Mbps
- o Wired path characteristics:
  - \* Path capacity: 100Mbps.
  - \* One-Way propagation delay: 50ms.
  - \* Maximum end-to-end jitter: 30ms.
  - \* Bottleneck queue type: Drop tail.
  - \* Bottleneck queue size: 300ms.
  - \* Path loss ratio: 0%.
- o Application characteristics:
  - \* Media Traffic:
    - + Media type: Video
    - + Media direction: See Section 3.2.3.
    - + Number of media sources (N): See Section 3.2.3.
    - + Media timeline:
      - Start time: 0s.
      - End time: 119s.
  - \* Competing traffic:
    - + Type of sources: long-lived TCP or CBR over UDP.
    - + Number of sources (M): See Section 3.2.3.

- + Traffic direction: See Section 3.2.3.
- + Congestion control: Default TCP congestion control [RFC5681] or constant-bit-rate (CBR) traffic over UDP.
- + Traffic timeline: See Section 3.2.3.

### 3.2.3. Typical test scenarios

This section describes a few test scenarios that are deemed as important for understanding the behavior of a candidate RTP-based congestion control scheme over a Wi-Fi network.

- a. Multiple RTP-based media flows sharing the wireless downlink:  $N=16$  (all downlink);  $M = 0$ . This test case is for studying the impact of contention on the multiple concurrent media flows. For an 802.11n network, given the MCS Index of 11 and the corresponding link rate of 52Mbps, the total application-layer throughput (assuming reasonable distance, low interference and infrequent contentions caused by competing streams) is around 20Mbps. A total of  $N=16$  RTP-based media flows (with a maximum rate of 1.5Mbps each) are expected to saturate the wireless interface in this experiment. Evaluation of a given candidate scheme should focus on whether the downlink media flows can stabilize at a fair share of the total application-layer throughput.
- b. Multiple RTP-based media flows sharing the wireless uplink:  $N = 16$  (all uplink);  $M = 0$ . When multiple clients attempt to transmit media packets uplink over the Wi-Fi network, they introduce more frequent contentions and potential collisions. Per-flow throughput is expected to be lower than that in the previous downlink-only scenario. Evaluation of a given candidate scheme should focus on whether the uplink flows can stabilize at a fair share of the total application-layer throughput.
- c. Multiple bi-directional RTP-based media flows:  $N = 16$  (8 uplink and 8 downlink);  $M = 0$ . The goal of this test is to evaluate the performance of the candidate scheme in terms of bandwidth fairness between uplink and downlink flows.
- d. Multiple bi-directional RTP-based media flows with on-off CBR traffic over UDP:  $N = 16$  (8 uplink and 8 downlink);  $M = 5$  (uplink). The goal of this test is to evaluate the adaptation behavior of the candidate scheme when its available bandwidth changes due to the departure of background traffic. The background traffic consists of several (e.g.,  $M=5$ ) CBR flows



transported over UDP. These background flows are ON at time  $t=0-60s$  and OFF at time  $t=61-120s$ .

- e. Multiple bi-directional RTP-based media flows with off-on CBR traffic over UDP:  $N = 16$  (8 uplink and 8 downlink);  $M = 5$  (uplink). The goal of this test is to evaluate the adaptation behavior of the candidate scheme when its available bandwidth changes due to the arrival of background traffic. The background traffic consists of several (e.g.,  $M=5$ ) parallel CBR flows transported over UDP. These background flows are OFF at time  $t=0-60s$  and ON at times  $t=61-120s$ .
- f. Multiple bi-directional RTP-based media flows in the presence of background TCP traffic:  $N=16$  (8 uplink and 8 downlink);  $M = 5$  (uplink). The goal of this test is to evaluate how RTP-based media flows compete against TCP over a congested Wi-Fi network for a given candidate scheme. TCP flows have start time at  $t=40s$  and end time at  $t=80s$ .
- g. Varying number of RTP-based media flows: A series of tests can be carried out for the above test cases with different values of  $N$ , e.g.,  $N = [4, 8, 12, 16, 20]$ . The goal of this test is to evaluate how a candidate scheme responds to varying traffic load/demand over a congested Wi-Fi network. The start times of the media flows are randomly distributed within a window of  $t=0-10s$ ; their end times are randomly distributed within a window of  $t=110-120s$ .

#### 3.2.4. Expected behavior

- o Multiple downlink RTP-based media flows: each media flow is expected to get its fair share of the total bottleneck link bandwidth. Overall bandwidth usage should not be significantly lower than that experienced by the same number of concurrent downlink TCP flows. In other words, the behavior of multiple concurrent TCP flows will be used as a performance benchmark for this test scenario. The end-to-end delay and packet loss ratio experienced by each flow should be within an acceptable range for real-time multimedia applications.
- o Multiple uplink RTP-based media flows: overall bandwidth usage by all media flows should not be significantly lower than that experienced by the same number of concurrent uplink TCP flows. In other words, the behavior of multiple concurrent TCP flows will be used as a performance benchmark for this test scenario.
- o Multiple bi-directional RTP-based media flows with dynamic background traffic carrying CBR flows over UDP: the media flows

are expected to adapt in a timely fashion to the changes in available bandwidth introduced by the arrival/departure of background traffic.

- o Multiple bi-directional RTP-based media flows with dynamic background traffic over TCP: during the presence of TCP background flows, the overall bandwidth usage by all media flows should not be significantly lower than those achieved by the same number of bi-directional TCP flows. In other words, the behavior of multiple concurrent TCP flows will be used as a performance benchmark for this test scenario. All downlink media flows are expected to obtain similar bandwidth as each other. The throughput of each media flow is expected to decrease upon the arrival of TCP background traffic and, conversely, increase upon their departure. Both reactions should occur in a timely fashion, for example, within 10s of seconds.
- o Varying number of bi-directional RTP-based media flows: the test results for varying values of N -- while keeping all other parameters constant -- is expected to show steady and stable per-flow throughput for each value of N. The average throughput of all media flows is expected to stay constant around the maximum rate when N is small, then gradually decrease with increasing value of N till it reaches the minimum allowed rate, beyond which the offered load to the Wi-Fi network exceeds its capacity (i.e., with a very large value of N).

### 3.3. Other Potential Test Cases

#### 3.3.1. EDCA/WMM usage

The EDCA/WMM mechanism defines prioritized QoS for four traffic classes (or Access Categories). RTP-based real-time media flows should achieve better performance in terms of lower delay and fewer packet losses with EDCA/WMM enabled when competing against non-interactive background traffic such as file transfers. When most of the traffic over Wi-Fi is dominated by media, however, turning on WMM may degrade performance since all media flows now attempt to access the wireless transmission medium more aggressively, thereby causing more frequent collisions and collision-induced losses. This is a topic worthy of further investigation.

#### 3.3.2. Effect of heterogeneous link rates

As discussed in [Heusse2003], the presence of clients operating over slow PHY-layer link rates (e.g., a legacy 802.11b device) connected to a modern network may adversely impact the overall performance of the network. Additional test cases can be devised to evaluate the

effect of clients with heterogeneous link rates on the performance of the candidate congestion control algorithm. Such test cases, for instance, can specify that the PHY-layer link rates for all clients span over a wide range (e.g., 2Mbps to 54Mbps) for investigating its effect on the congestion control behavior of the real-time interactive applications.

#### 4. IANA Considerations

This memo includes no request to IANA.

#### 5. Security Considerations

The security considerations in [I-D.ietf-rmcat-eval-criteria] and the relevant congestion control algorithms apply. The principles for congestion control are described in [RFC2914], and in particular, any new method must implement safeguards to avoid congestion collapse of the Internet.

Given the difficulty of deterministic wireless testing, it is recommended and expected that the tests described in this document would be done via simulations. However, in the case where these test cases are carried out in a testbed setting, the evaluation should take place in a controlled lab environment. In the testbed, the applications, simulators and network nodes ought to be well-behaved and should not impact the desired results. It is important to take appropriate caution to avoid leaking non-responsive traffic with unproven congestion avoidance behavior onto the open Internet.

#### 6. Contributors

The following individuals contributed to the design, implementation, and verification of the proposed test cases during earlier stages of this work. They have helped to validate and substantially improve this specification.

Ingemar Johansson, <ingemar.s.johansson@ericsson.com> of Ericsson AB contributing to the description and validation of cellular test cases during the earlier stage of this draft.

Wei-Tian Tan, <dtan2@cisco.com>, of Cisco Systems designed and set up a Wi-Fi testbed for evaluating parallel video conferencing streams, based upon which proposed Wi-Fi test cases are described. He also recommended additional test cases to consider, such as the impact of EDCA/WMM usage.

Michael A. Ramalho, <mar42@cornell.edu> of AcousticComms Consulting (previously at Cisco Systems) applied learnings from Cisco's internal

experimentation to the early versions of the draft. He also worked on validating the proposed test cases in a VM-based lab setting.

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Modeling Video Traffic Sources for RMCAT Evaluations  
draft-zhu-rmcat-video-traffic-source-02

Abstract

This document describes two reference video traffic source models for evaluating RMCAT candidate algorithms. The first model statistically characterizes the behavior of a live video encoder in response to changing requests on target video rate. The second model is trace-driven, and emulates the encoder output by scaling the pre-encoded video frame sizes from a widely used video test sequence. Both models are designed to strike a balance between simplicity, repeatability, and authenticity in modeling the interactions between a video traffic source and the congestion control module.

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## 1. Introduction

When evaluating candidate congestion control algorithms designed for real-time interactive media, it is important to account for the characteristics of traffic patterns generated from a live video encoder. Unlike synthetic traffic sources that can conform perfectly to the rate changing requests from the congestion control module, a live video encoder can be sluggish in reacting to such changes. Output rate of a live video encoder also typically deviates from the target rate due to uncertainties in the encoder rate control process. Consequently, end-to-end delay and loss performance of a real-time media flow can be further impacted by rate variations introduced by the live encoder.



On the other hand, evaluation results of a candidate RMCAT algorithm should mostly reflect performance of the congestion control module, and somewhat decouple from peculiarities of any specific video codec. It is also desirable that evaluation tests are repeatable, and be easily duplicated across different candidate algorithms.

One way to strike a balance between the above considerations is to evaluate RMCAT algorithms using a synthetic video traffic source model that captures key characteristics of the behavior of a live video encoder. To this end, this draft presents two reference models. The first is based on statistical modelling; the second is trace-driven. The draft also discusses the pros and cons of each approach, as well as the possibility to combine both.

## 2. Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described RFC2119 [RFC2119].

## 3. Desired Behavior of A Synthetic Video Traffic Model

A live video encoder employs encoder rate control to meet a target rate by varying its encoding parameters, such as quantization step size, frame rate, and picture resolution, based on its estimate of the video content (e.g., motion and scene complexity). In practice, however, several factors prevent the output video rate from perfectly conforming to the input target rate.

Due to uncertainties in the captured video scene, the output rate typically deviates from the specified target. In the presence of a significant change in target rate, it sometimes takes several frames before the encoder output rate converges to the new target. Finally, while most of the frames in a live session are encoded in predictive mode, the encoder can occasionally generate a large intra-coded frame (or a frame partially containing intra-coded blocks) in an attempt to recover from losses, to re-sync with the receiver, or during the transient period of responding to target rate or spatial resolution changes.

Hence, a synthetic video source should have the following capabilities:

- o To change bitrate. This includes ability to change framerate and/or spatial resolution, or to skip frames when required.
- o To fluctuate around the target bitrate specified by the congestion control module.

- o To delay in convergence to the target bitrate.
- o To generate intra-coded or repair frames on demand.

While there exists many different approaches in developing a synthetic video traffic model, it is desirable that the outcome follows a few common characteristics, as outlined below.

- o Low computational complexity: The model should be computationally lightweight, otherwise it defeats the whole purpose of serving as a substitute for a live video encoder.
- o Temporal pattern similarity: The individual traffic trace instances generated by the model should mimic the temporal pattern of those from a real video encoder.
- o Statistical resemblance: The synthetic traffic should match the outcome of the real video encoder in terms of statistical characteristics, such as the mean, variance, peak, and autocorrelation coefficients of the bitrate. It is also important that the statistical resemblance should hold across different time scales, ranging from tens of milliseconds to sub-seconds.
- o Wide range of coverage: The model should be easily configurable to cover a wide range of codec behaviors (e.g., with either fast or slow reaction time in live encoder rate control) and video content variations (e.g, ranging from high-motion to low-motion).

These distinct behavior features can be characterized via simple statistical models, or a trace-driven approach. We present an example of each in Section 5 and Section 6

#### 4. Interactions Between Synthetic Video Traffic Source and Other Components at the Sender

Figure 1 depicts the interactions of the synthetic video encoder with other components at the sender, such as the application, the congestion control module, the media packet transport module, etc. Both reference models, as described later in Section 5 and Section 6, follow the same set of interactions.

The synthetic video encoder takes in raw video frames captured by the camera and then dynamically generates a sequence of encoded video frames with varying size and interval. These encoded frames are processed by other modules in order to transmit the video stream over the network. During the lifetime of a video transmission session, the synthetic video encoder will typically be required to adapt its

encoding bitrate, and sometimes the spatial resolution and frame rate.

In our model, the synthetic video encoder module has group of incoming and outgoing interface calls that allow for interaction with other modules. The following are some of the possible incoming interface calls --- marked as (a) in Figure 1 --- that the synthetic video encoder may accept. The list is not exhaustive and can be complemented by other interface calls if deemed necessary.

- o Target rate  $R_v(t)$ : requested at time  $t$ , typically from the congestion control module. Depending on the congestion control algorithm in use, the update requests can either be periodic (e.g., once per 1 second), or on-demand (e.g., only when a drastic bandwidth change over the network is observed).
- o Target frame rate  $FPS(t)$ : the instantaneous frame rate measured in frames-per-second at time  $t$ . This depends on the native camera capture frame rate as well as the target/preferred frame rate configured by the application or user.
- o Frame resolution  $XY(t)$ : the 2-dimensional vector indicating the preferred frame resolution in pixels at time  $t$ . Several factors govern the resolution requested to the synthetic video encoder over time. Examples of such factors are the capturing resolution of the native camera; or the current target rate  $R_v(t)$ , since very small resolutions do not make sense with very high bitrates, and vice-versa.
- o Instant frame skipping: the request to skip the encoding of one or several captured video frames, for instance when a drastic decrease in available network bandwidth is detected.
- o On-demand generation of intra (I) frame: the request to encode another I frame to avoid further error propagation at the receiver, if severe packet losses are observed. This request typically comes from the error control module.

An example of outgoing interface call --- marked as (b) in Figure 1 --- is the rate range, that is, the dynamic range of the video encoder's output rate for the current video contents:  $[R_{min}, R_{max}]$ . Here,  $R_{min}$  and  $R_{max}$  are meant to capture the dynamic rate range the encoder is capable of outputting. This typically depends on the

video content complexity and/or display type (e.g., higher  $R_{\text{max}}$  for video contents with higher motion complexity, or for displays of higher resolution). Therefore, these values will not change with  $R_v$ , but may change over time if the content is changing.

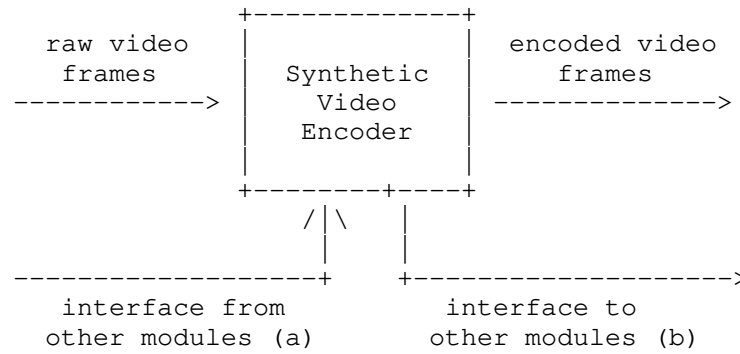


Figure 1: Interaction between synthetic video encoder, congestion control, and packet transport module.

## 5. A Statistical Reference Model

In this section, we describe one simple statistical model of the live video encoder traffic source. Figure 2 summarizes the list of tunable parameters in this statistical model. A more comprehensive survey of popular methods for modelling video traffic source behavior can be found in [Tanwir2013].

Notation	Parameter Name	Example Value
$R_v(t)$	Target rate request at time $t$	1 Mbps
$R_o(t)$	Output rate at time $t$	1.2 Mbps
$\tau_v$	Encoder reaction latency	0.2 s
$K_d$	Burst duration during transient	5 frames
$K_r$	Burst size dur transient	5:1
$R_e(t)$	Error in output rate at time $t$	0.2 Mbps
SIGMA	standard deviation of normally distributed relative rate error	0.1
DELTA	upper and lower bound (+/-) of uniformly distributed relative rate error	0.1
$R_{min}$	minimum rate supported by video encoder or content activity	150 Kbps
$R_{max}$	maximum rate supported by video encoder or content activity	1.5Mbps

Figure 2: List of tunable parameters in a statistical video traffic source model.

#### 5.1. Time-damped response to target rate update

While the congestion control module can update its target rate request  $R_v(t)$  at any time, our model dictates that the encoder will only react to such changes after  $\tau_v$  seconds from a previous rate transition. In other words, when the encoder has reacted to a rate change request at time  $t$ , it will simply ignore all subsequent rate change requests until time  $t+\tau_v$ .

#### 5.2. Temporary burst/oscillation during transient

The output rate  $R_o$  during the period  $[t, t+\tau_v]$  is considered to be in transient. Based on observations from video encoder output data, we model the transient behavior of an encoder upon reacting to a new target rate request in the form of largely varying output sizes. It is assumed that the overall average output rate  $R_o$  during this period matches the target rate  $R_v$ . Consequently, the occasional burst of large frames are followed by smaller-than average encoded frames.

This temporary burst is characterized by two parameters:

- o burst duration  $K_d$ : number frames in the burst event; and

- o burst size  $K_r$ : ratio of a burst frame and average frame size at steady state.

It can be noted that these burst parameters can also be used to mimic the inserion of a large on-demand I frame in the presence of severe packet losses. The values of  $K_d$  and  $K_r$  are fitted to reflect the typical ratio between I and P frames for a given video content.

### 5.3. Output rate fluctuation at steady state

We model output rate  $R_o$  as randomly fluctuating around the target rate  $R_v$  after convergence. There are two variants in modeling the random fluctuation  $R_e = R_o - R_v$ :

- o As normal distribution: with a mean of zero and a standard deviation  $SIGMA$  specified in terms of percentage of the target rate. A typical value of  $SIGMA$  is 10 percent of target rate.
- o As uniform distribution bounded between  $-DELTA$  and  $DELTA$ . A typical value of  $DELTA$  is 10 percent of target rate.

The distribution type (normal or uniform) and model parameters ( $SIGMA$  or  $DELTA$ ) can be learned from data samples gathered from a live encoder output.

### 5.4. Rate range limit imposed by video content

The output rate  $R_o$  is further clipped within the dynamic range  $[R_{min}, R_{max}]$ , which in reality are dictated by scene and motion complexity of the captured video content. In our model, these parameters are specified by the application.

## 6. A Trace-Driven Model

We now present the second approach to model a video traffic source. This approach is based on running an actual live video encoder offline on a set of chosen raw video sequences and using the encoder's output traces for constructing a synthetic live encoder. With this approach, the recorded video traces naturally exhibit temporal fluctuations around a given target rate request  $R_v(t)$  from the congestion control module.

The following list summarizes this approach's main steps:

- 1) Choose one or more representative raw video sequences.

- 2) Using an actual live video encoder, encode the sequences at various bitrates. Keep just the sequences of frame sizes for each bitrate.
- 3) Construct a data structure that contains the output of the previous step. The data structure should allow for easy bitrate lookup.
- 4) Upon a target bitrate request  $R_v(t)$  from the controller, look up the closest bitrates among those previously stored. Use the frame size sequences stored for those bitrates to approximate the frame sizes to output.
- 5) The output of the synthetic encoder contains "encoded" frames with random contents but with realistic sizes.

Section 6.1 explains steps 1), 2), and 3), Section 6.2 elaborates on steps 4) and 5). Finally, Section 6.3 briefly discusses the possibility to extend the model for supporting variable frame rate and/or variable frame resolution.

#### 6.1. Choosing the video sequence and generating the traces

The first step we need to perform is a careful choice of a set of video sequences that are representative of the use cases we want to model. Our use case here is video conferencing, so we must choose a low-motion sequence that resembles a "talking head", for instance a news broadcast or a video capture of an actual conference call.

The length of the chosen video sequence is a tradeoff. If it is too long, it will be difficult to manage the data structures containing the traces we will produce in the next steps. If it is too short, there will be an obvious periodic pattern in the output frame sizes, leading to biased results when evaluating congestion controller performance. In our experience, a one-minute-long sequence is a fair tradeoff.

Once we have chosen the raw video sequence, denoted  $S$ , we use a live encoder, e.g. [H264] or [HEVC] to produce a set of encoded sequences. As discussed in Section 3, a live encoder's output bitrate can be tuned by varying three input parameters, namely, quantization step size, frame rate, and picture resolution. In order to simplify the choice of these parameters for a given target rate, we assume a fixed frame rate (e.g. 25 fps) and a fixed resolution (e.g., 480p). See section 6.3 for a discussion on how to relax these assumptions.

Following these simplifications, we run the chosen encoder by setting a constant target bitrate at the beginning, then letting the encoder vary the quantization step size internally while encoding the input video sequence. Besides, we assume that the first frame is encoded as an I-frame and the rest are P-frames. We further assume that the encoder algorithm does not use knowledge of frames in the future so as to encode a given frame.

We define  $R_{\min}$  and  $R_{\max}$  as the minimum and maximum bitrate at which the synthetic codec is to operate. We divide the bitrate range between  $R_{\min}$  and  $R_{\max}$  in  $n_s + 1$  bitrate steps of length  $l = (R_{\max} - R_{\min}) / n_s$ . We then use the following simple algorithm to encode the raw video sequence.

```
r = R_min
while r <= R_max do
    Traces[r] = encode_sequence(S, r, e)
    r = r + l
```

where function `encode_sequence` takes as parameters, respectively, a raw video sequence, a constant target rate, and an encoder algorithm; it returns a vector with the sizes of frames in the order they were encoded. The output vector is stored in a map structure called `Traces`, whose keys are bitrates and values are frame size vectors.

The choice of a value for  $n_s$  is important, as it determines the number of frame size vectors stored in map `Traces`. The minimum value one can choose for  $n_s$  is 1, and its maximum value depends on the amount of memory available for holding map `Traces`. A reasonable value for  $n_s$  is one that makes the steps' length  $l = 200$  kbps. We will further discuss step length  $l$  in the next section.

## 6.2. Using the traces in the syntethic codec

The main idea behind the trace-based synthetic codec is that it mimics a real live codec's rate adaptation when the congestion controller updates the target rate  $R_v(t)$ . It does so by switching to a different frame size vector stored in the map `Traces` when needed.

### 6.2.1. Main algorithm

We maintain two variables `r_current` and `t_current`:

\* `r_current` points to one of the keys of the map `Traces`. Upon a change in the value of  $R_v(t)$ , typically because the congestion controller detects that the network conditions have changed, `r_current` is updated to the greatest key in `Traces` that is less than



or equal to the new value of  $R_v(t)$ . For the moment, we assume the value of  $R_v(t)$  to be clipped in the range  $[R_{\min}, R_{\max}]$ .

```

r_current = r
such that
  ( r in keys(Traces)  and
    r <= R_v(t)  and
    (not(exists) r' in keys(Traces) such that r < r' <= R_v(t)) )

```

\*  $t_{\text{current}}$  is an index to the frame size vector stored in  $\text{Traces}[r_{\text{current}}]$ . It is updated every time a new frame is due. We assume all vectors stored in  $\text{Traces}$  to have the same size, denoted  $\text{size\_traces}$ . The following equation governs the update of  $t_{\text{current}}$ :

```

if t_current < SkipFrames then
  t_current = t_current + 1
else
  t_current = ((t_current+1-SkipFrames) % (size_traces- SkipFrames))
              + SkipFrames

```

where operator  $\%$  denotes modulo, and  $\text{SkipFrames}$  is a predefined constant that denotes the number of frames to be skipped at the beginning of frame size vectors after  $t_{\text{current}}$  has wrapped around. The point of constant  $\text{SkipFrames}$  is avoiding the effect of periodically sending a (big) I-frame followed by several smaller-than-normal P-frames. We typically set  $\text{SkipFrames}$  to 20, although it could be set to 0 if we are interested in studying the effect of sending I-frames periodically.

We initialize  $r_{\text{current}}$  to  $R_{\min}$ , and  $t_{\text{current}}$  to 0.

When a new frame is due, we need to calculate its size. There are three cases:

- a)  $R_{\min} \leq R_v(t) < R_{\max}$ : In this case we use linear interpolation of the frame sizes appearing in  $\text{Traces}[r_{\text{current}}]$  and  $\text{Traces}[r_{\text{current}} + 1]$ . The interpolation is done as follows:

```

size_lo = Traces[r_current][t_current]
size_hi = Traces[r_current + 1][t_current]
distance_lo = ( R_v(t) - r_current ) / 1
framesize = size_hi * distance_lo + size_lo * (1 - distance_lo)

```

- b)  $R_v(t) < R_{\min}$ : In this case, we scale the trace sequence with the lowest bitrate, in the following way:

```
factor = R_v(t) / R_min
framesize = max(1, factor * Traces[R_min][t_current])
```

- c)  $R_v(t) \geq R_{\max}$ : We also use scaling for this case. We use the trace sequence with the greatest bitrate:

```
factor = R_v(t) / R_max
framesize = factor * Traces[R_max][t_current]
```

In case b), we set the minimum to 1 byte, since the value of factor can be arbitrarily close to 0.

#### 6.2.2. Notes to the main algorithm

\* Reacting to changes in target bitrate. Similarly to the statistical model presented in Section 5, the trace-based synthetic codec has a time bound,  $\tau_v$ , to reacting to target bitrate changes. If the codec has reacted to an update in  $R_v(t)$  at time  $t$ , it will delay any further update to  $R_v(t)$  to time  $t + \tau_v$ . Note that, in any case, the value of  $\tau_v$  cannot be chosen shorter than the time between frames, i.e. the inverse of the frame rate.

\* I-frames on demand. The synthetic codec could be extended to simulate the sending of I-frames on demand, e.g., as a reaction to losses. To implement this extension, the codec's API is augmented with a new function to request a new I-frame. Upon calling such function,  $t_{\text{current}}$  is reset to 0.

\* Variable length  $l$  of steps defined between  $R_{\min}$  and  $R_{\max}$ . In the main algorithm's description, the step length  $l$  is fixed. However, if the range  $[R_{\min}, R_{\max}]$  is very wide, it is also possible to define a set of steps with a non-constant length. The idea behind this modification is that the difference between 400 kbps and 600 kbps as bitrate is much more important than the difference between 4400 kbps and 4600 kbps. For example, one could define steps of length 200 Kbps under 1 Mbps, then length 300 kbps between 1 Mbps and 2 Mbps, 400 kbps between 2 Mbps and 3 Mbps, and so on.

#### 6.3. Varying frame rate and resolution

The trace-based synthetic codec model explained in this section is relatively simple because we have fixed the frame rate and the frame resolution. The model could be extended to have variable frame rate, variable spatial resolution, or both.

When the encoded picture quality at a given bitrate is low, one can potentially decrease the frame rate (if the video sequence is currently in low motion) or the spatial resolution in order to

improve quality-of-experience (QoE) in the overall encoded video. On the other hand, if target bitrate increases to a point where there is no longer a perceptible improvement in the picture quality of individual frames, then one might afford to increase the spatial resolution or the frame rate (useful if the video is currently in high motion).

Many techniques have been proposed to choose over time the best combination of encoder quantization step size, frame rate, and spatial resolution in order to maximize the quality of live video codecs [Ozer2011][Hu2010]. Future work may consider extending the trace-based codec to accommodate variable frame rate and/or resolution.

From the perspective of congestion control, varying the spatial resolution typically requires a new intra-coded frame to be generated, thereby incurring a temporary burst in the output traffic pattern. The impact of frame rate change tends to be more subtle: reducing frame rate from high to low leads to sparsely spaced larger encoded packets instead of many densely spaced smaller packets. Such difference in traffic profiles may still affect the performance of congestion control, especially when outgoing packets are not paced at the transport module. We leave the investigation of varying frame rate to future work.

## 7. Comparing and Combining The Two Models

It is worthwhile noting that the statistical and trace-based models each has its own advantages and drawbacks. Both models are fairly simple to implement. However, it takes significantly more effort to fit the parameters of a statistical model to actual encoder output data whereas trace-based models does not require such fitting. On the other hand, once validated, the statistical model is more flexible in mimicking a wide range of encoder/content behavior by simply varying the corresponding parameters in the model. In contrast, a trace-driven model relies, by definition, on additional data collection efforts for accommodating new codecs or video contents.

In general, trace-based model is more realistic for mimicking ongoing, steady-state behavior of a video traffic source whereas statistical model is more versatile for simulating transient events (e.g., when target rate changes from A to B with temporary bursts during the transition). Therefore, it may be desirable to combine both approaches into a hybrid model, using traces for steady-state and statistical model for transients.

## 8. Implementation Status

The statistical model has been implemented as a traffic generator module within the [ns-2] network simulation platform. The trace-driven model has been implemented as a stand-alone traffic source module which can be easily integrated into the [ns-3] network simulation platform.

Authors of this draft are currently in the process of providing open source access to both implementations.

## 9. IANA Considerations

There are no IANA impacts in this memo.

## 10. References

### 10.1. Normative References

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