

Multipoint Communication: A Survey of Protocols, Functions, and Mechanisms

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Abstract—Group communication supports information transfer between a set of participants. It is becoming more and more relevant in distributed environments. For distributed or replicated data, it provides efficient communication without overloading the network. For some types of multimedia applications, it is the only way to control data transmission to group members. This paper surveys protocol functions and mechanisms for data transmission within a group, from multicast routing problems up to end-to-end multipoint transmission control. We provide a bibliography which is organized by topic. This paper is intended to introduce this special issue with the necessary background on recent and ongoing research.

Index Terms—Asynchronous transfer mode, end-to-end control, group communication, Internet, multicast, multipoint, routing.

I. INTRODUCTION

ONE of the most pressing needs for enhanced communication protocols comes from multipoint (or group) applications. These involve more than two users (these users define a “group”) that wish to exchange information; in contrast, point-to-point applications involve only two users. Such applications cover a very wide spectrum, including software distribution, replicated database update, command and control systems, audio/video conferencing, distributed games, and distributed interactive simulation (DIS).

Until recently, communication systems built around the OSI reference model or the Internet architecture were designed to support point-to-point services. Point-to-point communication often depends on implicit knowledge that is no longer valid for group communication. A point-to-point session is made of two participants, one of which is typically a client (or the active initiator or master participant), the other of which is a server (or passive or slave participant). Connection establishment/teardown, flow control, and error recovery can be driven from one end (typically the active/sender end). In a multipoint session, any participant can decide whether and when it wishes to join or leave the session. The join and leave operations have to be simple, with no side effect on the other participants, if they are to scale seamlessly from small to very large group membership. The session parameter negotiation, which is common in point-to-point protocols, is not always acceptable in group communication. A multipoint session has to be receiver controlled in order to allow dynamic join and leave. Window-based flow control, for example, is not usable in the context of group communication. In general, we find that

a shift from sender initiation to a model of “receiver-makes-good” is needed for many protocol functions, only some of which we have mentioned so far.

Existing protocols (e.g., Internet protocol (IP), CLNP, UDP, and CLTS) are sufficient for the applications which can be satisfied by a connectionless (nonreliable) multicast communication support. New generation applications such as multimedia conferences, shared workspace, distributed games, and distributed simulation introduce new requirements in data transmission; this means that existing protocols and communication systems are not well suited. Group communication introduces two new aspects in transmission control:

- control of time dependencies (transmission delay, ordering, synchronization);
- definition of session control parameters per participant.

The problems are consequently to provide:

- the set of services that application programmers have become used to for point-to-point applications but now for multipoint communication and
- new services, both for new multipoint applications and to support new multipoint applications.

The proliferation of multimedia applications associated with new high-speed networks, often based on ATM technology, is driving this need for reliable group communication mechanisms and protocols. In the Internet Protocol Suite, TCP is a point-to-point protocol; however, more recently, we have seen some modifications to the Internet protocol (and to implementations of UDP) to support group communication (see Section II). Consequently, group applications generally use nonreliable UDP multicast transmission over the multicast backbone (MBone) (examples of public domain applications using such multicast support are given Section IV).

In this paper, we have decided not to follow the classic layered architecture to describe group communication related problems. Instead, we have chosen to organize the paper following the natural modularization of mechanisms and functionalities discussed. Thus, node-level mechanisms will be discussed in Section II, as “hop-by-hop” mechanisms, where we include addressing, group management, routing, and traffic control; end-to-end problems are discussed in Section III, where mechanisms for reliability, receiver-based transmission control and quality of service (QoS), large groups, and scalability are discussed. Section IV is specific to application-related problems including multimedia applications, security, ordering, and synchronization. For each topic discussed in the paper, we describe the state of the art and we present the areas of current active research.

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A bibliography is provided with each section. Each bibliography is organized in two parts: referenced papers and other readings, which is a selection of the most interesting papers among those we have reviewed.¹ Our objective is not to provide an exhaustive list of references (which is available through our web page: <http://www.inria.fr/rodeo/group.communication/>), but rather to provide the reader with a filtered bibliography of the most relevant work in this very prolific area of research.

We have also tried to avoid the classic section on terminology. Instead, we use simple vocabulary that is more intuitive. For example, “multicast” will be used to characterize the routing tree, whereas “multipoint communication” will be used to describe any type of communication within a group (it is equivalent to “group communication”).² Any ambiguities will be clarified on-the-fly.

II. HOP-BY-HOP

In this section, we discuss all the aspects of group communication that are processed at the node level. This covers routing-related tasks including group addressing, group management, and traffic control. First of all, the style of group communication required must be defined.

A. Group Addressing and Membership Management

A group is a set of entities. We have identified two group levels: the *social group* and the *network group*. Multipoint sessions are organized for social groups. The network group is an abstraction that has been defined to coordinate participation in the social group. All notions of group address, group identifier, group properties, and group management are mechanisms to control participation in a social group.³ Such group addresses are, of course, logical: unlike addresses used for unicast delivery which contain locality, and possibly end system identifier information, multicast addresses effectively act as an index to another table somewhere (potentially distributed or partitioned throughout routers, or even implicit in other routing information).

Group management procedures are used to advertise groups to potential members, to broadcast routing information to all multicast capable nodes, and to control various properties of the group.

¹We have omitted almost all the references to Internet and ATM forum drafts because they are transient documents. Important documents that have not yet been published will be referenced.

²In circuit-based networks, we refer to point-to-point calls, point-to-multipoint calls, multipoint-to-point calls, and multipoint-to-multipoint calls. In datagram networks, there is no long-term association between source and destination, and so the models are reduced to unicast (or as we call it, “any-to-one”) and multicast (or “any-to-some”). This characterization naturally extends to the service known as “anycast,” which is one-to-any.

³Some researchers identify two other types of groups, namely “process groups” and “host groups.” We regard these as implementation-specific—a member of a social group may use multiple hosts or multiple processes; multiple members of a social group may use a single host or even a single process. A member of a host group may be a member of multiple network groups, or vice versa; in other words, there is a many-to-many relationship between social group and process group, and between host group and network group.

1) *Internet Group Addressing and Management*: The most widely used group addressing and management today is the Internet one. The Class D portion of the IP address space is reserved for multicast groups delivery. The semantics of this addressing scheme [3] are such that senders to a group do not need to be in the group or to know the group members. There is no hierarchy in the Internet group structure. An Internet group address is chosen by some group initiator. On a LAN, it is directly mapped to a group medium access control (MAC) address [4] to avoid costly table lookup. The group management protocol associated to the Internet is called IGMP (Internet group management protocol) [2]. It is used to report host group memberships to neighboring multicast routers.

Internet multicast also makes heavy use of the capability to scope the lifetime of a packet by setting a time-to-live (TTL) field which limits how far (how many hops) a packet can traverse on the way to a destination. When the destination is a group, this scoping mechanism allows the application to determine how near or far the set of actual receivers are to a sender.

IGMP has gone through various stages of evolution. Initially, the protocol entailed host members simply joining groups by advertising their membership on the local subnetwork (to the nearest router and other members) and leaving is achieved by timing out entries for hosts that did not persist sending such messages. In fact, the router needs only to know if there is *any* group member in the subnetwork in order to forward the datagrams sent to the group. More recent versions of IGMP were designed to provide some enhancements. IGMP v2 adds a “low-latency leave” to IGMP. This allows a more prompt pruning of a group after all members in the subnetwork leave. IGMP v3 adds selective source reception in order to avoid forwarding traffic from all sources to members of a group. The information on desired sources is used by the multicast routing protocol in order to reduce the amount of bandwidth for a multicast tree by source pruning.⁴

2) *Virtual Circuit Switched Network Group Management*: Circuit networks may also support group addressing. Typically, a group of end points is named at circuit setup time. It may only be possible to do this once and for all; alternatively, it may be possible to signal the addition of new receivers or senders to a multipoint circuit. Most virtual circuit networks allow a master (perhaps a single source) to add recipients, one at a time [1]. More recently, “leaf initiated join” has been proposed, where receivers, through some directory, discover the existence of a multipoint circuit, and the “conversation identifier” of the circuit, and signal their wish to be added to the circuit. Currently, no virtual circuit networks support signaling for multipoint.

A key problem with virtual circuit network signaling for multicast support is that of state. For a sender to add receivers one at a time takes $O(n)$ signaling steps and may require the mapping from the group to all the receivers’ addresses

⁴However, this results in group asymmetry which jeopardizes the stability of the RTP v2 reporting algorithm [5]. Receivers need to estimate the number of the sources sending to the group in order to adjust their transmission control parameters. This is discussed further under congestion control for group communication.

to be held at one point. This is in contrast to the datagram multicast model, where the mapping between group address and recipient location is totally distributed, and $O(1)$.

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B. Routing

Designing multicast routing algorithms is a complex problem. Group membership can change, and network topology can also evolve (links and nodes can fail). The technical challenges of multicast routing are the following.

- Minimize the network load. Within the problem of optimizing the network resources, there are two subproblems which are to avoid loops and to avoid traffic concentration on a link or a subnetwork.
- Provide basic support for reliable transmission. Ideally, route changes should have no side effects on the way data is delivered to group members that remain in the group. Link failure should not increase transmission delay or decrease resource availability. Time constraints are very important in multicast sessions as data may have to be delivered to the application in a synchronized fashion.⁵ Too high a rate of change of routes could degrade higher level reliability.
- The routing algorithm should be able to design optimal routes taking into consideration different cost functions, including available resource, bandwidth, number of links (graph optimization), node connectivity, price to be paid, and end-to-end delay. If designing an optimal route is a complex problem, *to maintain route optimality after changes in the group and network may be much more complex*. The problem is consequently to find a good

⁵We will see later that ordering in group communication is especially complex: for example, ordered delivery of a sequence of messages from a given source to each and every receiver may be required; or delivery of messages sent by all sources may need to be globally ordered; or else messages may only need to be delivered in a casually ordered fashion.

compromise between the efficiency of the route and the dynamic of the group.

- Minimizing state stored in routers for some types of multicast is an important goal, as otherwise, delivery to a large group is not realistic.

We start this section with the theoretical framework for multicast tree construction, and then we describe existing protocols. Most of these protocols are used in the Internet, but we will also show solutions proposed in the ATM environment and for mobile communication.

There are a few basic algorithms for multicast routing that have been identified today. The simplest algorithm is flooding. It is used for broadcasting packets, but it can result in very low efficiency in terms of link utilization. The spanning tree algorithm [18] is a refinement of simple flooding to provide broadcast packets in a set of interconnected LAN's in a more efficient manner. As these two techniques are dedicated to broadcasting, we will not detail them here. We will focus on algorithms and protocols that really design a multicast tree, applicable to an arbitrary network topology.

1) *Theoretical Basis*: All services for multiple destinations require some distribution tree rather than a path through the network graph. The simplest tree is a broadcast one that reaches all destinations. In a heterogeneous network, the effect of flooding can be catastrophic. An ideal efficient routing algorithm will design a tree that spans the group members only, with the following characteristics.

- Evolve with group membership. The routing algorithm has to distinguish group members to specifically reach them, and only them.
- Minimize state information to be kept in nodes.
- Optimize the route considering cost functions.
- Avoid traffic concentration on a subset of the links and nodes.

There are three basic algorithms to construct multicast trees. They can be characterized as centralized or distributed and are designed to support a dense or sparse distribution of membership among the potential receiver set.

a) *Source-based routing*: The source-based routing algorithm [also known as reverse path forwarding (RPF)] is due to Dalal and Metcalfe [10]. It has seen widespread use through IP multicast [2], [22]. The RPF algorithm computes an implicit spanning tree per source which is minimal in terms of transit delay.⁶ It is optimized for dense receiver distribution and can be implemented in a distributed fashion with local recovery.

There cannot be loops with RPF (there can be duplicate routes, but no loops). The tree designed is a directed graph. The main advantage of the RPF algorithm is that it does not require any resources in addition to the classic unicast routing tables. As soon as you know how to compute the route toward the source, then you can safely process multicast packets received from this source; however, this does not really take into consideration actual group membership. The pruning variant was proposed to solve this problem [22]. The idea is to

⁶The reverse path is minimal in terms of hop count if the reverse path is calculated on a unicast metric of hop counts. Note also that RPF routing may fail badly if the underlying unicast routing is asymmetric.

complete the basic RPF by recording the “group membership” and only forward a packet if there is a group member down the tree. The pruning variant is controlled by a timer. Periodically, the state for a group at a router is cleared, and all the prune messages kept in the nodes are discarded; when a new data message is forwarded, it is flooded, which serves to trigger the emission of new prune messages and the construction of a new “pruned” multicast tree. A more natural name for this improved RPF algorithm might be “flood and prune.” The main problem is that the pruning variant requires one piece of state information per source and per group to be kept in each node. This is quite acceptable when the number of groups and the number of sources per group is low. If the number of sources and/or groups grows too large, memory could be saturated in the routers. This point also applies to the flooding step of the algorithm. References [21] and [26] propose an alternate approach to a source-based algorithm to make it more efficient in the context of WAN’s.

b) Steiner trees: The Steiner algorithm is a monolithic algorithm that designs a tree that spans the group of members with the minimal cost, according to a distance defined on the network edges (it globally optimizes the network resources). It is aimed at a centralized calculation (but heuristics can be distributed). It is very popular because of its mathematical complexity. However, to our knowledge, it has never been implemented, only simulated; the reasons are as follows.

- The Steiner problem is NP-complete. In other words, finding the minimum Steiner tree in a graph has an exponential cost for a result which is not necessarily optimal. It has been shown that the minimum cost of a Steiner tree algorithm is $O(n \log n)$, where n is the number of nodes in the network and with all distances equal to one on the links [15].
- The tree designed is undirected. That means it can be applied to group communication only if all the links in the network are symmetric.
- It is a monolithic algorithm. It has to be run each time there is a change in the group membership or in the network topology. The inefficiency of a Steiner tree increases dramatically each time the group changes or the network changes [12].

There are numerous heuristics that have been proposed to construct Steiner trees [9], [17], [19], [20], [25]. The one that is still considered the most optimal is the one described in [16]. Among more recent research works, we note the following.

- Reference [12] shows that the most complex heuristic is not the best, and in most of the cases, a suboptimal tree can keep its properties after modification. The naive heuristic consists of designing a suboptimal tree which is resilient to change. Member and node movement are achieved by joining or leaving the resilient tree.
- In the degree constrained problem [8], the design of the multicast tree is constrained by the multicast capabilities of nodes. This type of problem becomes important in ATM environments where the connectivity of switches is an important issue in the efficiency of the network technology. The degree constrained problem is then to

find a minimum Steiner tree constrained by the multicast capability of nodes, which is also the number of interfaces on which a message can be duplicated. Simulations made by [8] show that a fanout of two per node (or three interfaces) is enough to find acceptable solutions. Reference [8] converges with [12] in the sense that they both confirm that the naive heuristic works quite well and produces trees that are more stable when networks and groups are dynamic.

c) Center-based trees: “Center-based trees” is the most recent routing approach. We can distinguish this from the Steiner problem by observing that this family of algorithms is aimed at multiple sender/multiple recipient, as opposed to single sender/(effectively) fixed recipient scenario that the previous section addressed. We will illustrate this solution with the core-based tree (CBT) algorithm [6]. This is a totally receiver based approach that limits the diffusion of packets naturally to group members. It is suitable for sparsely distributed receivers and does incur extra delay over the RPF tree approach. There are three steps in this algorithm.

- Choose a fixed node that will be the center of the group. Multiple cores can be used if higher fault tolerance and/or better delay characteristics are required.
- Then potential group members send a join message to the center. The role of each intermediate node is to mark the interface on which a multicast packet is received and to forward it to the center.
- Multicast packets from nonmember senders are forwarded toward the tree center until they reach a node that already belongs to the tree.

Designing a center-based tree is like designing a spanning tree per group. It has the advantage over RPF of only requiring a state information item per group instead of a pair of information items per group and source. The centered approach does, however, suffer from traffic concentration, as the traffic from all sources of a given group will converge to the center.

The principal advantage of CBT is to limit the expansion of multicast transmission to the set of receivers and only to the set of receivers through the center. Choosing a center is an NP-complete problem. Locating optimally the tree center requires the complete knowledge of the network topology and of the group membership. There are various heuristics to locate the tree center [24]. Solutions to this problem are proposed by Ballardie [7].

d) Synthesis: Designing an efficient multicast route requires the knowledge of numerous parameters that are not easy to quantify, such as the topology of the network, the dynamics of the group, the location of the group members, and other routing algorithms already used in the network. A multipoint session initiator should be able to choose its algorithm and to fix the parameters of the selected algorithm [14], [24].

Another problem of multicast route design is the dynamic behavior of the group [13]. Existing solutions to group dynamics have been proved inefficient by [12] and [23]. An efficient algorithm should be incremental (like CBT) instead of monolithic (like Steiner). It should also have the following characteristics.

- It should be transparent to the members that remain in the group.
- It should maintain the properties of the original route.
- It should not perturb ongoing data transfers.
- It must be receiver driven.

It might seem unrealistic to ask a routing algorithm to behave that way. But the advent of ATM-based network with guarantee of QoS and resource reservation make it indispensable. It will be impossible to make any guarantee if the routing algorithm is not capable of maintaining a multicast route with chosen properties.

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2) Multicast Routing Protocols:

a) Internet: The first, and still predominant, multicast routing protocol used in the Internet is based on the model established by Deering in his Ph.D. thesis [3]. Before the IP multicast extensions, the Internet could be considered as a set of interconnected subnetworks with local multicast support. These subnetworks are either multicast capable LAN's or point-to-point links, or switched networks. The IP multicast service model allowed them to provide Internet multicast support. This service model is based on an underlying unreliable *datagram* service. In the Internet service model, datagrams are delivered with "best effort" reliability to the group members. The forwarding of multicast datagrams between "islands" of multicast capable subnetworks is handled by "multicast routers" through tunnels.⁷ Datagram delivery is done according to the truncated broadcast model: packets are forwarded on all nonleaf "child" subnetworks in the tree and on all leaf "child" subnetworks where there are group members.⁸

This multicast overlay on the Internet is called the Mbone. It is an "experimental" virtual network operating since 1992, which is becoming part of the operational infrastructure of the Internet at the time of writing. In July 1995, there were more than 2500 connected networks, 12 000 routine users, and 500 Kb/s available bandwidth (bandwidth "reservation" is done by manual scheduling of usage of applications by the community of users). The Mbone is based on UDP for end-to-end transmission control, IGMP for group management, DVMRP for routing.

Distance-vector multicast routing protocol (DVMRP) [27] is an extension of RIP. Multicast routers exchange reverse path distances in order to build the (source-based) delivery tree for each group. Once the delivery tree is built, RPF is used to decide whether a packet should be forwarded or not to a router, i.e., the datagram is forwarded if the receiving interface is on the shortest path to the source. Superfluous datagram copies are avoided by looking "one step further," i.e., by looking to

⁷Tunnels are implemented by encapsulating IP packets destined for a multicast address within an IP packet with the unicast address of the next multicast capable router along the path. Once, they were implemented using loose source routing, but this resulted in poor implementations in many routers and introduced high cost packet processing or low priority forwarding compared with other router tasks such as route update handling. Tunnels are not needed if all Internet routers are not capable.

⁸We use the term leaf and child in the usual sense, where the root of a tree is the parent, the leafs are the ultimate descendants, and so forth.

see if the router is the next hop on its child's attached router shortest path to the source.⁹ The "scope" of multicast delivery is limited by forwarding the datagrams if their TTL is higher than a given threshold defined at the tunnel set up. This forwarding technique was enhanced by the support of on-demand "pruning" of tree branches not leading to group members.

Hierarchical DVMRP: The rapid growth of the Mbone necessitated the revision of the DVMRP in order to introduce hierarchy. In [21], the authors propose organizing the Mbone in "regions" having address-independent identifiers. A two-level hierarchy proposed: intraregion multicast where routers may run any protocol and interregion multicast where boundary routers run DVMRP. Packets are tagged with region identifiers, and boundary routers exchange routing information using region identifiers. The encapsulation header is stripped off in final destination region, and local multicast routing is applied.

This technique would allow for incremental deployment of the hierarchical multicast routing.¹⁰ This has not seen deployment, as work on successor protocols to DVMRP has taken priority.

MOSPF: The protocols described above are mainly based on the extension of a distance vector routing protocol. MOSPF (multicast open shortest path first) [29] is a multicast routing protocol based on OSPF V2, which takes advantage of the link state data base. This allows routers to build efficient "source-based trees" or a "shortest-path tree" without even flooding the first datagram of a group transmission. In addition, routers may use the TTL to immediately discard multicast datagrams that will never reach the receiver(s). Link efficiency is therefore higher than with DVMRP. MOSPF requires heavy computation for each source-group combination. MOSPF implementations carry out the computation on demand, i.e., only when the first packet from a source S to a group G is received. There are, however, some concerns that while this solution works well for light load: it becomes expensive in terms of CPU load when a large number of sources (start to) send to large numbers of groups.

PIM: The previous protocols are not suitable for use over the global Internet; they scale too poorly. In order to extend multicast support to wide area groups which may be either dense or sparse, to compliment DVMRP and CBT, the IETF Inter Domain Multicast Routing working group defined protocol independent multicast (PIM) [28]. PIM has two operating modes: sparse (SM) and dense (DM).

- A group is said to be dense if group membership is plentiful within a region of an internet. PIM-DM implements RPF and prunes. Dense-mode PIM is essentially the same as DVMRP, except that the unicast routes are imported from existing unicast tables, rather than incorporating a unicast routing algorithm in the specification and implementation directly. This is why it is termed "protocol independent."

⁹A shared-access link between two routers might have replicated packets delivered on to it without the extra rules that the router with shortest path to source, or lowest address will win, and the other router desist from forwarding.

¹⁰This encapsulation is merely another manifestation of the "tunneling" technique used to build the Mbone.

- A group is said to be sparse if group membership is spread out thinly across regions of an internet. In PIM sparse mode, explicit join messages are sent to rendezvous points (RP's) to meet new sources. It is based on the shared tree algorithm. These trees do not optimize the delay with respect to sources. However, it has been proven in [30] that the maximum delay is bounded by two times the shortest path delay if the center location is optimal. The highest IP addressed router is chosen as designated router (DR) on a multi-access network. The receiver's DR's send join messages to the RP. The sender's DR sends register messages to the RP which sends a join to sources. Data packets will follow the established RP-rooted shared tree. However, the receiver (or router nearest the receiver) may decide to switch to the source's shortest path tree. Even in this case, the source continues to send its data to the RP for other possible receivers. The possibility to switch from an RP-rooted shared tree to a source-based tree is the main difference between PIM-SM and the core-based tree algorithm. However, several open issues still need to be addressed, including the interoperation DM/SM, the RP selection, the criteria for switching between a shared tree and a shortest path tree, the interaction with policy-based and QOS routing, and the interaction with receiver-initiated reservation (such as RSVP). These issues are discussed in detail in [11].

Routing protocols can be characterized by the state required at nodes in their distribution trees. In CBT and sparse-mode PIM, typically, we keep state per group. In dense mode distribution trees, nodes must keep per source, per group information.

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b) *Mobile hosts*: Activities related to multicast and mobile networking are in the early stages of development [31], [33], [34]. Mobile IP using PIM and RSVP is currently being researched. Two algorithms are used in mobile IP. When a mobile unit wants to send a packet, it uses a classic RPF-based approach from the mobile support router it is connected to. When a mobile unit has to receive a multicast packet, this packet is sent to the wired address of the mobile unit and then forwarded from this address to the mobile unit using a special tunnel.¹¹

There are two reasons to this approach. First, in the classic IP environment, it is expected that all the nodes connected to the same subnetwork, or LAN, are physically connected, or that if one of them receives a packet, all the nodes of the subnetwork will see this packet. This is not the case for mobile units that can move from one network to another. Second is the problem of correspondence between the address and identifier in the Internet environment. For mobile purpose, the name must be different from the address and independent from the wired location (such an address could be easily and unambiguously designed using a latitude/longitude-based location). Other problems, which are typical to reliable multicast in mobile environments, have been identified by Acharya [31], [32].

- When the source is a mobile host, then a copy of the packet may not reach all group members if using source-based routing.
- A mobile host may experience significant delays when it enters a new cell. It is easier if there is already a group member attached to that cell, but if it is not the case, the delay may be high and have side effects on the transmission reliability. There also could be a time lag before connection to a new cell.
- TTL can limit reachability of cells. A mobile host can be in a situation where it was connected to a cell and while moving, it loses the connectivity because the next cell cannot be reached.

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¹¹Deering notes the possible synergy between multicast and mobility: multicast provides for a "level of indirection" through the use of logical addresses, and group membership is dynamic; a mobile host appears very much like a multicast group of one single member, joining and leaving at different sites. However, the IP mobile approaches to date are not based on this type of mechanism at all, as we can see.

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c) *ATM architectures*: The notion of point-to-multipoint virtual circuits (VC's) was introduced in the user network interface (UNI) [1] for audio conference purposes. A point-to-multipoint VC is a very narrow approach that does not provide an efficient solution to the requirements of most group applications in terms of flexibility and scalability. In the current standards for ATM, the multicast group address abstraction does not exist. The sender should be aware of all the members of the multicast group. Only the VC root node may add or remove leaf nodes. There is no receiver controlled group membership in UNI 3.1 [1]. Multicast is supported through point-to-multipoint VC's. Multicast-capable ATM interfaces are grouped into clusters. A cluster is a set of ATM interfaces able and willing to achieve AAL level multicasting. The introduction of this hierarchy divides the problem of multicast support in two parts: how to achieve intracluster and intercluster multicasting. Two models were proposed for intracluster multicast in the baseline text for the ATM Forum MPOA (multi protocol over ATM) sub-working group [38].

- In the multicast VC mesh, a point-to-multipoint VC originates from each sender to all members of the multicast group. If a member joins or leaves the group, the VC needs to be updated. In addition, the ATM interface must terminate one VC for each active source in the cluster.
- In the multicast server (MCS) model, a server is chosen within each cluster. Each source establishes a point-to-point VC to the multicast server. The MCS establishes a point-to-multipoint VC to the desired destinations. During the data transmission phase, the MCS reassembles messages arriving on all incoming VC's and queues them for transmission on the VC. The side effect is that some interfaces will receive "reflected" messages: sources that are also group members will get copies of their own cells as the multicast server sends the same information to all group members; the message has a source identifier inserted in the AAL frame so that the source has the choice to drop the reflected cell(s).

Both VC meshes and multicast servers have advantages and drawbacks. If we focus on throughput, the VC mesh solution might be preferable, as it lacks the traffic concentration point introduced by the MCS. Data transmission delays are likely to be lower in the VC mesh approach, as the message reassembly at the MCS is avoided. However, the MCS approach is more adapted to dynamic sets of receivers because it has a more efficient group membership control. Concerning resource

consumption, the MCS server is also better: only two VC's are needed per ATM interface compared to one VC termination per source in the VC mesh solution. Both VC meshes and MC's use source based distribution trees.

A third model for multicast ATM called SMART has been devised by le Boudec [37]. It entails the use of a multipoint-to-multipoint ATM VC. This introduces the problem for protocols that use messages larger than a single ATM cell size, that a receiver may have to resequence interleaved cells from different sources. One solution for this is to use an ATM adaptation layer that includes a source multiplexing identifier such as AAL 3/4's MID. This introduces a significant packet header overhead, and in any case, AAL5 has largely been accepted as the appropriate framing protocol for data protocols such as IP and CLNP. In contrast, SMART uses a shared tree approach together with an access protocol based on the use of special RM cells to determine which source may send when. For sessions with large numbers of active sources and/or relatively small ADU's, multiple multipoint VC's can be used (the tradeoff being somewhere between those of the MARS and MCS service approaches).

Another important issue which is not resolved today is the group membership notification. A group membership notification mechanism should allow the multicast router or center to receive join requests from group members, to maintain the mapping between the layer 3 group address and group members ATM address list, and to provide sufficient information for senders to set up their VC.

MARS: One of the interesting problems is how to map a high-level group address to a point-to-multipoint VC. A solution based on an extension of the ATM ARP server [39] is proposed. A so-called multicast address resolution server (MARS) keeps extended tables of mapping between layer 3 group address and a list of ATM interfaces representing group members. A single MARS supports one cluster. A point-to-multipoint VC is maintained between the MARS and all ATM hosts desiring multicast support, in order to provide asynchronous group membership changes notification. Two MARS classes are defined: Class I allowing VC meshes to support layer 3 multicast traffic, and Class II allowing both VC meshes and MCS to be assigned for use on a per-group basis; this choice is at configuration time, and transparent to the MARS client.

LAN emulation: The ATM Forum LAN Emulation (LANE) subworking group issued a document describing the specification of LAN emulation over ATM [35]. In this document, the components of an emulated LAN are described. An LE client (LEC) is an entity that performs data forwarding, address resolution, and other control functions in order to provide an IEEE 802.3 or IEEE 802.5 service interface to higher layers. An LE server (LES) provides the facility for registering and resolving the MAC addresses and/or route descriptors to ATM addresses. All broadcast, multicast, and unknown traffic to and from an LE client passes through a single entity called the broadcast and unknown server (BUS). Therefore, both the LES and BUS have multicast VC's with all registered LEC's. This solution suffers like the MCS-based approach from the single congestion point.

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C. Traffic Control

Group communication is by definition more greedy in bandwidth than point-to-point communication.¹² The design of a multicast congestion control algorithm is then an important and useful task. There are two potential approaches for congestion control: within the network (we might call this hop-by-hop-by hop, since it involves distribution trees rather than simple paths as the unicast case would), and end-to-end.

As multicast routing has only recently been deployed in the Internet, and multicast switched circuits are rarely implemented in ATM or ISDN networks today, it is too early for us to see congestion control schemes for multicast traffic within the network, although some early research has been done in this area. A key unsolved problem for congestion control schemes that operate within the network for multicast traffic is how to retain the capability for heterogeneity. Other problems include: defining fairness and relative fairness between unicast and multicast traffic; timescales for congestion control; scaling of control traffic and techniques.

However, end-to-end congestion control is a mature topic. For example, since 1988, the TCP scheme and approach has been studied in its original and many modified forms in many papers. The same approach can be deployed in a limited fashion for group communication. In [42], an algorithm for multicast congestion control is proposed. Some design issues are discussed by the authors. First, a scalable feedback mechanism should be designed. Congestion detection should be performed by the receivers and not by the sources. Implosion is avoided by combining probabilistic query/reply schemes, random delay responses, and expanding scope search. The goal of this scalable feedback mechanism is to keep the number of control packets a fixed proportion of data packets. Second,

¹²Of course, a set of users who wish to communicate may be less greedy if they use multicast than if they use multiple unicast communication facilities.

the feedback signal should be adapted to the payload type in order to optimize the “utility” of the delivered information. Third, the question of who to satisfy should be resolved. If the source throughput is adapted to the slowest destination, fast destination may be unhappy. Otherwise, if some slow destinations are “discarded,” the links to these destinations may be overloaded. A possible solution for this problem is to use hierarchical coding (e.g., for video) and send only the most important information toward congested destination, and all information to the uncongested destinations.

A more general solution was proposed in [5]. In this model, all sites quasi-periodically multicast session packets containing their identity, reception reports, packet loss, interarrival delay variation, and synchronization information. All other receivers hear the reports. Adaptive senders use this feedback information. The detailed description of this mechanism is in the RTP protocol specification [5]. RTP is a deliberately incomplete protocol framework following the application layer framing (ALF [40]) concept. It is malleable to provide information required by a particular application. This technique is also used to construct the scalable reliable multicast protocol described in the next section. It is based on the observation that if the unit of recovery is the same as the unit of application semantics, functions from different protocol layers may be combined into single passes over the data. End-to-end feedback signals for congestion control have limited effectiveness. The two approaches above constrain the feedback control traffic to a fixed percentage of the overall data transfer traffic; as the number of recipients grows, they sample the various distribution trees bottleneck links with higher probability, but less frequently. This means that they provide increasingly less timely information about short term conditions on links.

Receiver-driven layered multicast (RLM [41]) uses a different approach to this to provide a more rapid reaction to network conditions. Here, it assumed that the data stream can be divided into multiple layers of differing quality, and that receivers can subscribe to different distribution groups for the different layers. On detecting loss (through gaps in the send sequence number space), receivers dynamically adjust the number of groups they are subscribed to, using the typical “exponential backoff, linear increase” control algorithm typical of all the end-to-end schemes above and TCP.

Finally, a feedback scheme proposed for multipoint traffic in ATM networks involves a mixture of end-to-end and network-based congestion control—in the ATM ABR service, RM cells convey explicit rate feedback information to sources; on a multipoint call, these feedback messages are accumulated, and the worst case rate is the one returned to the source.

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III. END-TO-END

End-to-end related tasks are those that are processed at end systems only (i.e., ignored by switching and routing nodes). This is usually the case for ordering, synchronization, and reliability. We have decided not to address ordering and synchronization in this section because some researchers propose providing these functions at the application level. However, more advanced topics such as QoS and scalability will be discussed in this section.

A. Reliability Versus Unreliability

Point-to-point transport protocols generally use positive acknowledgments (ACK’s) sent by the destination to the source in order to guarantee reliability. Extending this approach to multicast transmission means that the message is (re-)sent until ACK’s from “all destinations” are received. This approach does not scale well because each destination has to send an ACK for each received packet (or group of packets). This may lead to network congestion at the source level and/or a source overload due to the synchronization of ACK emission. Using a negative acknowledgment mechanism (NACK) with a semantic of a retransmission request is better suited for multicast transmission. This mechanism shifts the error control load from the source to the destination. A station transmits packets without waiting for ACK’s. Error detection is performed by destinations using the packet’s sequence numbers. The philosophy is to avoid sending state messages (e.g., ACK’s) when everything is normal, so as to improve the protocol efficiency [i.e., the ratio of the number of “useful” data packets emitted over the total number of transmitted packets (including the retransmissions)].

Many reliable transport protocols have been developed. Most of these protocols satisfy the properties of: 1) atomicity: either all or none of the destinations receive and validate a multicast message and 2) termination: the result of the message multicast is known in finite time. We will now describe some classical mechanisms proposed by multicast protocols to guarantee a reliable transmission.

1) *A Reliable Broadcast Protocol*: Chang and Maxemchuk proposed a virtual token ring-based protocol in [43]. This reliable broadcast protocol combines the ACK and NACK-based approaches. All messages are stamped with a pair (host number, local sequence number), then broadcast. They are handled by a primary receiver, the token site, which serializes the messages from all the senders. When a message is received at the token site, a time-stamp is added, and an ACK is broadcast to the group in order to inform the sender that the token site has received the packet. The token rotates in order to balance the ACK load. The new token site is required to have all time-stamped messages before accepting the token. This also solves an important problem concerning

the reliability: after N rotations, messages with time-stamp at least N smaller than the current time-stamp have been received by all destinations. The local buffer containing a copy of these messages may then be freed. If a message or an ACK is lost, a unicast NACK is sent to the presumed token site. The message is then retransmitted in a unicast fashion. The transport layer at each destination delivers the messages to the application according to the ACK's time-stamp. This delivery (or commit) may be delayed until the token rotates K times. This ensures K -resilient fault tolerance: up to K sites may crash without violating the atomicity property for the remaining sites. As the delivery to the application may be delayed if no new messages are transmitted, the token site sends a Null ACK if no messages are received for a period of time. This token site change reduces the "commit" delay but increases the number of messages transmitted on the network. Note that broadcasting the message to the token site, passing the token, and sending a NACK are point-to-point reliable operations. If a site does not receive response to a reliable operation, a recovery protocol is run and a new token list is constructed.

2) *XTP*: *XTP* provides a statistical reliable multicast data transfer [44], [46]. In Version 3.6, a specific algorithm, the bucket algorithm, is proposed to provide reliable multicast for a destination group. According to this algorithm, the retransmission strategy is based on buckets that collect acknowledgments. Senders regularly receive a status request from destinations. A bucket contains the information relative to an epoch (e.g., between two request for status emitted by the sender). The "oldest" bucket reflects the "best" view of the group status. However, there is no constraint on receiving all the messages from all the sources before delivering the information from the oldest bucket to the application. The content is in fact delivered when all buckets are full, and this bucket is used as the "newest" bucket. This allows a sender to "discard" slow receivers without degrading the performance of other "active" participants. The number of buckets defines a tradeoff between response time and reliability.

Heuristics were defined in order to enhance the performance of transmission control. "Slotting" is needed to force receivers to spread their reports in order to avoid an implosion of reports in case a problem (e.g., a packet loss) occurs. Receivers also apply "damping," i.e., they avoid sending their report if it is useless (e.g., a packet loss already declared by another receiver). Note that packets and reports are all sent in multicast to the group address. *XTP* v4.0 [46] proposes to use "cloning" in order to allow concentration (or many-to-one communication). N-by-M communication is supported using cloning and transport bridging.

3) *SRM*: A scalable reliable multicast framework (*SRM*) is proposed in [45]. This protocol (designed to work over IP-Multicast), which is based on NACK's, guarantees reliable delivery of packets with no control on packet sequence (application level mechanisms may be added to enforce a particular order). The most important issue is therefore the performance of the transmission control. The authors propose to use the slotting and damping techniques originally proposed by *XTP*. In order to reduce the response time, each host estimates the delay from every other sender. Closer hosts will choose

a smaller randomization interval than distant hosts for both NACK and retransmission timers. A CSMA-like algorithm is used to avoid NACK and retransmission implosion. This architecture was tested in a well known Mbone application, white board (wb).

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B. Receiver-Based Transmission Control and QoS

The problem of QoS is not yet completely solved even for unicast communication. Multicast applications may provide the motivation and the opportunity to resolve this for a broader environment. QoS is a typical example of a function where a unicast solution can be totally nonadaptive. Such QoS models cannot usually be applied to group communication. Each participant has its own constraints that are not necessarily acceptable to the other participants: group communication whose characteristics were based on consensus is not credible. There are three types of QoS that could be used in group communication.

- QoS is defined by the sender (no negotiation). If a potential member cannot accept this QoS, it cannot join the group.
- QoS is negotiated over the group members to be the minimum of each member's QoS.
- The senders send with the higher QoS and each receiver controls its own QoS. In that case, support from the network is usually required.

In case of receiver-controlled QoS, the following facilities should be provided by the network.

- Filtering at the node level would simplify route management, and allow bandwidth reservation.
- Use hierarchical encoding at the source in order to allow each receiver to adapt the accepted information to its own capacity.
- Forget QoS negotiation on a point-to-point basis.

Resource reservation is complex to set up in a multipoint environment. QoS constrained multicast route design is an NP-complete problem. So what will be the efficiency of the routing algorithm if available resources have to be considered. Moreover, in the same session, the resource requirement may not be the same for all the participants.

Adaptability and reservation have to coexist in a multimedia communication system (it has been proved that use of pure adaptation creates instability in the network). However, because of the nature of group communication, adaptability is highly desirable to tailor communication to the receiver requirements. The guarantee of minimum bandwidth on multicast route is not a problem that can be solved simply [47].

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C. Large Groups and Scalability

DIS [48] and distributed games may be one of the most stressful applications requiring scalable multicast communication support for large groups: simulation networks with up to 100 000 dynamic entities are being developed. The multicast requirements of these applications are for a large number of participants, and for a high number of group changes per second. A log-based receiver-reliable protocol for large groups is proposed in [49] to satisfy interactive applications with the above described characteristics.

Join and leave efficiency is one of the key problems in large groups. For a fast moving viewer (e.g., virtual plane pilot) it may be possible to ameliorate the rate of change of group membership by reducing the accuracy of view (and even creating new groups to which only a subset of updates for object location information is sent, in a similar fashion to that used for layered video and quality adjustment). Nevertheless, the quantity and rate of change of group membership information for such systems is very large—it has led to proposals for hierarchical group addressing (and routing) schemes in an attempt to reduce the amount of state stored per group or per source per group, but as yet, this is still research.

The DIS solution to large groups and scalability is not necessarily the optimal way to proceed, but it provides a very elegant architecture. Essentially, objects in the DIS are in an hierarchy of groups, and updates on their location are multicast. Participants in the distributed simulation use the world view to decide which objects are visible or not, and so long as their world view is not changing too quickly, they join (and leave) groups appropriately, so that they receive information concerning the relevant (visible) objects.

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IV. APPLICATIONS

In this section, we analyze problems that are directly related to the application. Before describing some group applications that have been experimented with within the Internet, we will first discuss the problems of ordering and synchronization which are inherent to most multimedia and time-constrained applications. This section will end with a short discussion of security in group applications.

A. Ordering and Synchronization

Packets may arrive out of sequence at their destination due to packet losses or changing datagram routing. For many distributed applications, an ordered reception of packets is required, because any misordering may give a different view of the state of the group. Packets reordering is then necessary. Current solutions to solve this problem use either local or global sequence numbers and are based on a central sequencer or use token techniques [50], [52]. The packet order may be causal or total. With causal ordering, packets are delivered in accordance with the "happens before" relationship among the sending events defined in [54]. An event e_1 is said to "happen before" event e_2 if e_1 and e_2 occur in the same process and e_1 "occurs" before e_2 , or if e_1 is the sending of a message and e_2 is the reception of the same message. A message a is said to causally precede a message b ($a \rightarrow b$) if the sending of a happens before the sending of b . This causal order is not total: two messages (a and c) may be concurrent: i.e., both $a \rightarrow c$ and $c \rightarrow a$ are false. Total ordering means that the receivers will see all data units from all senders in the same order (even "concurrent" data units).

A protocol that ensures, in addition to reliability, a total ordering of the delivered messages is called an atomic protocol. Such a protocol may be used for reliable validation, atomic operations, group membership, etc., while a causal protocol (ensuring causal and not total ordering) may be used for ensuring consistency in updates to replicated data.

Birman proposed a distributed solution based on a two-phase protocol in [50]. Each site maintains a pending queue, and when a new message is received it is sorted in the queue and marked as undeliverable. A proposed time-stamp is then sent back to the initiator, which collects the time-stamps and sends back the largest one. All sites assign this final time-stamp to the message and mark it as deliverable. The queue is then reordered in order of increasing time-stamps, and deliverable messages at the head of the queue are passed to the application. CBCAST [51] implements causal ordering only. This reduces the latency problems of total ordering protocols, while still providing useful service for some distributed applications.

Causal ordering was first implemented in an inefficient version described as follows. When a message m is sent from process P to Q , a (so-called piggyback) copy of all undelivered messages preceding m is also sent. Messages may be delivered as soon as they are received. In fact, when m arrives, copies of messages preceding m arrive with m or have arrived earlier. The (numerous) duplicates are discarded. Some optimizations were then proposed in order to increase the protocol efficiency. The first optimization is to not piggyback messages to a site if they have already been sent to that site or after an ACK is received. Another optimization consists of piggybacking only on messages going directly to the destination sites, other sites are sent a descriptor [55].

Transport level ordered and reliable multicast systems are the subject of controversy. In fact, guaranteeing order properties implies the system provides for atomic message delivery. This is implemented by having each station buffer each message it receives until it is stable, i.e., received by all other members of the group. However, most of the systems providing causally and totally ordered communication do not provide durable atomic message delivery: action changes do not survive failures. This is due to the transport-application levels boundary. A host may crash before messages received by the transport layer are delivered to the application. Cheriton and Skeen [53] presented several limitations of these systems: the main idea is that ordering is an application problem, which is easier to control at the application level. Therefore, a transport level reordering does not simplify the application design. In addition, with transport protocol level ordering it is not possible to handle higher-level error conditions. Another drawback of transport level ordering is the increase of the response time due to data delivery delay. In addition, some applications do not require packet reordering at the transport level. Out of sequence packets can be processed by the application. In fact, several applications may be designed to allow this out of sequence packets processing according to the "application level framing" concept, resulting in enhanced performance on heterogeneous networks.

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B. Multimedia Application Software on the Internet

In this section, we briefly describe some multicast applications and discuss their requirements from the multicast viewpoint. The main design principle, common to all these applications, is that end-to-end control is provided at the application level according to ALF [40], and not at a general purpose multicast transport protocol.

1) *Audio and Video Conferencing*: Many audio and video conferencing application have been developed since 1992, among them vic [60], vat [62], nv [59], ivs [42], rat [61], and freephone [56]. These applications do not require any reliability or transport level ordering: audio packets are re-ordered in the application play-out buffer. An application-level congestion control is generally implemented (as described in Section IV-D). Layered coding schemes are proposed to provide receiver-controlled quality. On the other hand, the intensive use of these application on the Mbone showed the need for sparse-mode multicast routing.

2) *Shared Workspace*: Wb [63] is the most well-known shared workspace application on the Mbone. The communication system supporting wb provides reliable but not ordered multicast: messages are delivered as soon as they are received and application-level recovery is performed if an out-of-order packet is received. Any participant having a copy of a requested data may retransmit it, according to the SRM model described above. A simplified version of NTP is used to estimate the distance to the other sites. Nt [58], a shared text editor, is another example of shared workspace application.

3) *Session Directory*: (sd) is not a group application by itself, but it provides the possibility to perform multicast address allocation. Numbers are chosen randomly. If the number of already allocated addresses is lower than the square root of address space size, then the probability of collision is very small. For IPv4, about 228 multicast addresses are available, therefore, the limit is 16 K. More room may be made either by taking the scope of the address into account or by expanding the address space for regions with already allocated addresses. This requires that the end of session be indicated explicitly.

4) *Web Browser*: Web Browsers are not multipoint applications. But multicasting could be seen as a way to optimize data distribution for a Web server. This direction is being investigated by [57].

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C. Security

As stated in the introduction, traditional point-to-point communication is largely asymmetric. However, from the point of view of security, its requirements are also symmetric in that secret key cryptography is an appropriate building block for authentication and privacy services.

However, group communication introduces some different problems [64], and places different emphasis on some areas.

- An efficient key distribution scheme is needed for multiple recipients—this tends (as with electronic mail) to mean that asymmetric key systems such as public key cryptography are more useful, especially for large groups [65].
- The very fact that a group wishes to communicate rather than two single entities means that there are more opportunities for traffic analyzes, denial of service, and covert signaling type attacks. This is not a feature of multipoint, or multicast, though: it is inherent to the users' requirement (whether the user uses multiple unicast calls or a multicast session, the application inherently will generate traffic patterns that have more points of attack, analysis, or denial).
- Multicast routing schemes may mean that it is more complex to determine which links are in use (or control

this) than it is for the equivalent set of point-to-point communication. This further exacerbates the last point.

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V. CONCLUSION

Multipoint communication is a rich area of work, past, current, and future. In this paper, we have surveyed the whole range of communication functions and services and presented the state of the art. It is clear that multipoint communication is an extremely valuable service for many new applications, but that a number of outstanding problems exist that require future research.

- The "receiver makes good" approach to reliability, congestion control, resource reservation, and so on, has proved extremely powerful. This architecture has not reached the level of maturity that sender-based schemes have for point-to-point applications and protocols.
- Many new applications and environments can tolerate loss, delay, and out-of-sequence delivery, and group communication protocols should exploit this to the advantage (typically for performance gains). This needs further work.
- The Mbone has demonstrated that large group communication is possible, but it is not clear how well this will scale to very large groups, or numbers of groups, for example, replacing cable TV distribution with millions of receivers, or for new applications like multiplayer games and simulations with thousands of groups changing very rapidly.
- Very fast group dynamics may place a stress on current membership and routing and addressing protocols. The DIS application, with thousands of group members change per second, may cause the same problems for current multicast schemes as high signaling rates would to a current telephone exchange. Group aggregation schemes may be needed.
- Congestion control for group communication clearly needs further research, both for network switch/router-based techniques and for end-to-end schemes. One area of promise is that of active networking, which, combined with distributed merge/branch points, multiple multicast

group usage, and distributed intelligent filtering offers further scaling and flexibility.

- Fairness for multipoint traffic, whether on its own or combined with unicast traffic, seems to be a relatively under-researched area.
- Billing is also a real problem that will be more complex to solve for multipoint than for point-to-point.

Group communication seems to have reopened the door to designing a set of protocols from the ground up, and the requirement for redesigning them from the services down. This represents an exciting challenge in communications research today.

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