

# ON THE EFFECTIVENESS OF COOPERATIVE DIVERSITY IN AD HOC NETWORKS: A MAC LAYER STUDY

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## ABSTRACT

We investigate the effectiveness of cooperative diversity in interference limited ad hoc networks. The underlying cooperative techniques exploit space diversity available through cooperative terminals' relaying signals for one another. We develop and analyze different relay selection policies, channel allocation schemes to provide contention-free transmissions while acquiring capacity benefits from cooperative diversity. Extensive simulation results show that careless/selfish usage of cooperative relays in an interference-limited environment might yield higher connection blocking probabilities. A proper source allocation scheme is essential to reach the balance between cooperative diversity and interference mitigation.

## 1. INTRODUCTION

### 1.1. Motivation

It has been shown that cooperative diversity, in particular, cooperative relay and cooperative MIMO, provide benefits of spatial diversity without need for physical arrays [1, 2, 3]. However, few studies have focus on the impact of cooperative diversity on the network or system level [4, 5], particularly on exploiting cooperative diversity in ad hoc networks. From the system perspective, cooperative diversity techniques differ from direct transmission in how it performs resource allocation. While direct transmission requires a single channel or link between transmitter and receiver, cooperative diversity techniques in general require at least two channels: one for direct transmission, and one for relay. This was considered in a link level study in [1] that showed cooperative diversity results in lower spectral efficiency. In ad hoc networks, careless usage of channel resources can interfere with nearby transmissions, resulting in transmission failures. Therefore, there exists a fundamental tradeoff between cooperative diversity and interference mitigation in ad hoc networks.

### 1.2. Contribution

In this work, we investigate the impact of cooperative diversity on ad hoc networks. This study provides references for the capabilities exhibited by different cooperative strategies from a system perspective. Since we only want to illustrate relevant trends by applying cooperative diversity to ad hoc networks, we use capacity to represent link performance. Analysis on a 3-node network shows that in general, cooperative diversity results in significant improvement in outage capacity by providing diversity to mitigate channel fading. We extend the above result to ad hoc networks by considering three fundamental research issues which we believe are

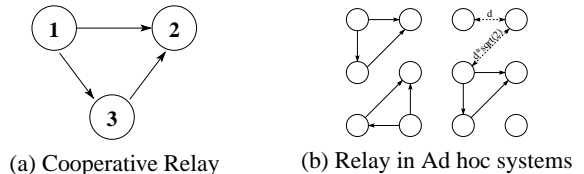


Fig. 1. Cooperative Relays.

necessary to implementing cooperative diversity: choosing the appropriate relay, choosing the appropriate cooperative strategy, and resource allocation. We propose several policies for relay selection and two scheduling strategies for channel allocation. We observe that system-oriented relay selection and collaborative scheduling strategies are essential for interference limited systems.

Throughout the paper, we assume that the network consists of nodes with slow mobility, and that transmission between any two nodes suffers slow frequency non-selective Rayleigh fading and gaussian additive noise. It should be noted that adaptation techniques to handle fast user mobility, coordination protocols for low signaling overhead and complex channel modelings are also important issues related to this work. We plan to consider them in a more detailed study.

## 2. COOPERATIVE DIVERSITY STRATEGIES

In this section, we provide a short description of cooperative diversity strategies proposed in literature. We consider a simple network of 3 nodes (Fig. 1(a)). As we stated, we assume that transmission between any two nodes suffers slow frequency nonselective fading and gaussian additive noise, and use ergodic capacity and outage capacity to evaluate link performance. We consider the case where node 1 communicates to node 2 with or without cooperation from node 2 (*i.e.* the relay node). In cooperative mode, a node 3 located within the transmission range of node 1 receives signals from node 1 during its transmission to 2, and forwards the signals to node 2. We will not include details of each cooperative strategy, since they have been investigated thoroughly in [1].

Let  $P$  denote the transmit power at each node (we assume that each node transmits at constant power),  $h_{ij}$  represents the channel response from node  $j$  to  $i$  at any time  $t$  that captures the effects of path-loss, shadowing and fading, while  $n_i$  represents the receive noise and interference at node  $i$ . We model  $n_i$  as zero-mean, i.i.d. complex random variables with variance  $N_0$ . We define  $\gamma = \frac{P}{N_0}$ . We assume that there are multiple frequency bands available in the system but at any given time, each transmission can only use one frequency band. Let  $W$  denote the bandwidth in frequency associated with each frequency band.

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### Direct Transmission(DT)

Node 1 transmits directly to node 2 without any help from node 3. The resulting throughput measure (bit/sec) in a single snapshot is

$$R_{DT} = W \log(1 + \gamma |h_{21}|^2). \quad (1)$$

### Amplify-and-Forward(AF)

In this case, the relay simply amplifies and forwards the signal to node 2. The whole process (source to destination, source to relay and relay to destination) can happen in a single time slot where node 3 just behaves like a scatterer. In this case, source and relay can use the same channel to transmit to destination. The destination node can utilize a rake receiver to reconstruct the signals [6]. We refer to this as AF-RAKE strategy. Due to the limitations in current radio implementations, however, terminals can not transmit and receive at the same time in the same frequency (*i.e.* full duplex). Many have proposed using a separate frequency (AF-FDD strategy) or a different time slot (AF-TDD strategy) for relay transmission (*i.e.* half duplex). Next, we derive the capacity in a single snapshot for each AF related strategy.

$$R_{AF-TDD} = \frac{W}{2} \log(1 + \gamma |h_{21}|^2 + f(\gamma |h_{31}|^2, \gamma |h_{23}|^2)),$$

$$R_{AF-RAKE} = R_{AF-FDD} = 2R_{AF-TDD} \quad (2)$$

where

$$f(x, y) := \frac{xy}{x + y + 1}. \quad (3)$$

The factor  $\frac{1}{2}$  in AF-TDD is from the fact that the transmissions between 1 to 2 (1 to 3), and 3 to 2, happen sequentially [1]. It should also be noted that AF-FDD strategy requires two channels and assumes that a terminal is capable of transmitting and receiving simultaneously at different frequencies (FDD based half duplex), and receiving simultaneously from multiple frequencies.

### Decode-and-Forward with Repetition Code(DF-RC)

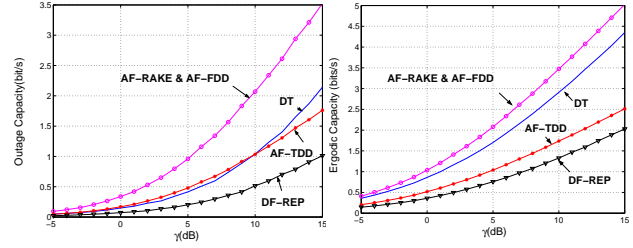
Noise amplification in the relay (in AF strategies) may be avoided if the message is decoded and regenerated by the relay before transmission to the destination. The performance thus depends heavily on the coding schemes utilized when regenerating the signal. In this work we consider repetition-coded decode and forward proposed in [1]. In this case, the direct and relay transmissions happen sequentially in different time slots due to the decoding delay at the relay node. The resulting capacity in a single snapshot is given by

$$R_{DF} = \frac{W}{2} \min\{\log(1 + \gamma |h_{31}|^2), \log(1 + f(\gamma |h_{21}|^2, \gamma |h_{23}|^2))\}. \quad (4)$$

Figure 2 illustrates the ergodic and outage (10%) capacities for different  $\gamma$  values, assuming Rayleigh fading and statistically symmetric system, *i.e.*  $E(|h_{ij}|) = 1$ . We observe that among all the strategies, AF-RAKE and AF-FDD achieve the best performance, especially in outage capacity.

## 3. COOPERATIVE DIVERSITY IN AD HOC NETWORKS

In this section, we investigate the impact of cooperative diversity in ad hoc networks consisting of multiple nodes with multiple transmission requests at any given time (Fig. 1(b)). We also assume that there are a number of independent frequency bands available in the network but each transmission (point to point) can only use one frequency band. Each source node can invoke collaborative neighbors as relays to provide higher throughput or to reduce transmission outage. For simplicity, we assume that each node can only invoke one neighbor as relay.



(a) Outage (10%) Capacity (b) Ergodic Capacity

**Fig. 2.** Capacity performance of different cooperative strategies for  $W = 1$ .

In practice, implementing cooperative diversity will take three stages. First, a source must select a cooperative neighbor within his transmission range as the relay. Second, the relay, possibly with help from the source, determines the cooperative strategy based on environmental information such as channel response and system load. Next, both direct and relay transmissions apply or compete for channel resources. We will now discuss each stage in detail.

### Stage 1: Cooperative Relay Selection

Each source broadcasts its request to detect whether there are neighbors in range. Nodes available as relays can respond with a reply signal containing enough environmental information for the source to determine the quality of the relay. To reduce the number of responses, the source can include certain constraints in the request, such as minimum SINR values (from source to relay, and from relay to destination). Only nodes satisfy these constraints will respond. The source then selects the best candidate from all potential relays based on user policies. Some example policies are listed below:

- **Minimal distance:** Choosing a nearby relay not only reduces transmission uncertainty, but also provides easy synchronization for direct and relay transmissions. We can also easily see from equation 3 that the distances from source to relay and relay to destination contribute equally to overall capacity. This policy is user oriented and does not consider any system level impact by employing cooperative diversity.
- **Minimal load:** Compared to direct transmission, cooperative relay generates additional traffic to relay nodes. To avoid congestion, the source can manage traffic and load balance between relays by switching to the least loaded relay at periodic intervals. In this case, heavily loaded nodes can include a measure of their load in their responses to the source, so the source can enforce load-balancing.
- **Minimal interference:** The source picks the relay that minimizes interference to other transmissions in the local region, generating a balanced utilization of resources. This policy ensures cooperativeness between nodes to reduce contention and likelihood of blocking.
- **Combination:** We can compose the above rules into more complex policies to optimize impact on both users and system resources. For example, one possibility is to choose relays from only those nodes with low load and sufficiently good channel statistics (from source to relay), sorted by their likelihood of interfering with neighbors.

## Stage 2: Cooperative Strategy Selection

The channel condition between the relay and its surrounding nodes has a large impact on the performance of the cooperative strategy. In this work, we assume that all the nodes use the same relay strategy, and compare the impact of relay strategy on system performance.

## Stage 3: Channel Resource Allocation

We consider an ad hoc network with  $N$  pairs of (direct) transmissions competing for  $M$  independent channels. For simplicity, we assume that all the channels have similar characteristics. Let  $\Phi = \{n|0 \leq n < N\}$  denote the set of direct transmissions, and  $\Psi = \{m|0 \leq m < M\}$  denote the set of all channels. Let  $\Phi_r = \{l = \mathfrak{R}(n)|l \neq n; l, n \in \Phi\}$  denote the set of relay transmissions that represents the collection of relays chosen for each direct transmission according to a policy  $\mathfrak{R} : \Phi \Rightarrow \Phi$ . Interference between two conflicting transmissions can be characterized by a constraint set. Let  $C = \{c_{n,k}|c_{n,k} \in \{0, 1\}, n, k \in \Phi \cup \Phi_r\}$  represent the interference constraint, where if  $c_{n,k} = 1$ , transmission  $n$  and  $k$  would cause interference if they used the same channel simultaneously. We define a valid channel assignment  $A = \{a_{n,m}|a_{n,m} \in \{0, 1\}, n \in \{\Phi \cup \Phi_r\}, m \in \Psi\}$  where  $a_{n,m} = 1$  denotes that channel  $m$  is assigned to transmission  $n$ .  $A$  satisfies all the constraints defined by  $C$ , that is,

$$a_{n,m} a_{k,m} c_{n,k} = 0, \forall n, k \in \Phi \cup \Phi_r, k \neq \mathfrak{R}(n), m \in \Psi, \quad (5)$$

Let  $\Lambda_{N,M}$  denote the set of valid spectrum assignments for a given set of  $N$  direct transmissions and  $M$  channels.

In this work, we aim to maximize resource utilization by providing contention-free transmissions. Since each transmission can use at most one channel and all channels are similar, this problem reduces to that of maximizing number of transmissions that are assigned to a valid channel, *i.e.*

$$\max_{A \in \Lambda_{N,M}} \{R_{sys} = \sum_{n \in \Phi} C_n \{(1 - C_{\mathfrak{R}(n)})b(n) + C_{\mathfrak{R}(n)}b^r(n, \mathfrak{R}(n))\}\}; \quad (6)$$

where  $C_n = \sum_{m \in \Psi} a_{n,m} \in \{0, 1\}$  represents the number of channel assigned to transmission  $n$ ,  $b_n$  represents the reward (*i.e.* ergodic or outage capacity) acquired by using direct transmission  $n$ , and  $b^r(n, \mathfrak{R}(n))$  denotes capacity acquired by using both direct transmission  $n$  and relay transmission  $\mathfrak{R}(n)$ . For symmetric networks, it is likely that  $b(n) = B$ ,  $b^r(n, \mathfrak{R}(n)) = \beta \cdot B$ . And  $R_{sys}$  can be computed as

$$R_{sys} = NB(1 - P_b) \cdot (1 + (\beta - 1)P_r), \quad (7)$$

where  $P_b = 1 - \sum_{n \in \Phi} C_n / N$  denotes the blocking probability, where a connection is block if the direction transmission can not be set up, and  $P_r = \sum_{n \in \Phi} C_{\mathfrak{R}(n)} / \sum_{n \in \Phi} C_n$  represents the probability of relay usage. Clearly, the value of  $P_r$  and  $P_b$  depend on the channel allocation strategy, and also the number of channels used by direct and relay transmissions, (*i.e.* AF-RAKE, AF-TDD use one channel while AF-FDD requires 2 channels).

The above channel allocation problem is known to be NP-hard. In this work, we extend the well-known heuristic based graph coloring solution proposed in [7] to assign channels to direct and relay transmissions. The algorithm chooses the transmission with the minimum number of conflicting neighboring transmissions, and assigns the lowest indexed channel to this transmission without violating the constraints. The process repeats until all transmissions are assigned or there are no more channels available

for assignment. Depending on the relative prioritization between direct and relay transmissions, we propose two allocation strategies.

### I. Collaborative Allocation (CA)

This is the scenario where direct transmissions are prioritized over relay transmissions. Channel allocation for direct and relay transmissions are done sequentially. Channels are first assigned to direct transmissions using the above algorithm. Next, only direct transmissions that have been assigned with a channel are allowed to set up relay using the remaining channels. Relay transmissions can not interfere with direct transmissions or other relay transmissions.

### II. Non-Collaborative Allocation (NCA)

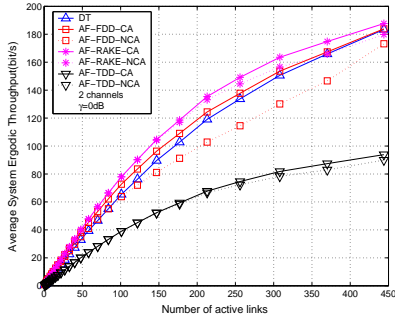
In this case, direct transmissions and relay transmissions are treated equally. That is, each direct transmission and associated relay transmissions are mapped to a transmission set that might require one or two channels depending on the cooperative strategy. Channel allocation is performed in the transmission set level. Therefore, it is possible that a direct transmission cannot be set up due to a conflict with a nearby relay transmission.

## 4. SIMULATION RESULTS

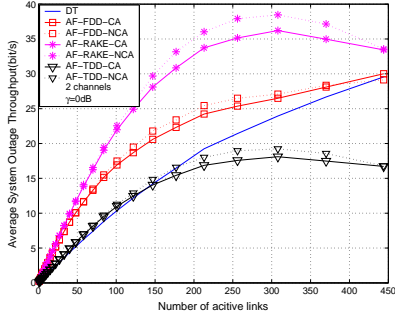
Our simulations are conducted under the assumption of a noiseless, immobile radio network, where nodes are distributed uniformly in a 32 by 32 grid (Fig. 1(b)) with the same power and transmission range. Each node can only transmit to the surrounding 8 nodes. We consider two performance metrics: ergodic capacity oriented and outage capacity oriented system metrics, which correspond to  $R_{sys}$  in (6) by setting  $\{b(n), b^r(n, \mathfrak{R}(n))\}$  to ergodic and outage capacities, respectively. We also examine the probability of cooperative relay usage and blocking probability, *i.e.*  $P_r$  and  $P_b$  defined in 3. We study performance with different numbers of transmission requests and available channels, using both CA and NCA strategies. Relay selection is based on the combination policy described in 3, where each source node chooses from its 8 neighboring nodes that are idle and generate the least interference to other direct transmissions as the relay. The performance depends on the channel statistics. As an illustrated example, we assume that each transmission experience frequency flat, rayleigh fading with  $\gamma = 0dB$ ,  $E(|h_{ij}|) = 1$ . And there are two independent channels available for transmissions, and the associated  $W = 1$ .

Fig. 3 illustrates the ergodic and outage oriented system metric as a function of the number of active links in the system. We observe that similarly to single user case, AF-RAKE strategy achieves the best performance, particularly in terms of outage capacity. Comparing to DT, AF-RAKE provides 10-15% gain in ergodic oriented system metric, and at high as 90% gain in outage oriented system metric, while AF-FDD provides 5% and 40% gain, respectively.

We observe that in general, CA allocation outperforms NCA in terms of ergodic oriented metric, but not in outage oriented metric. These can be explained by examining the statistics in Fig. 5. It can be seen that NCA allocation results in higher blocking probability  $P_b$  due to competitions from neighboring relay transmissions. On the other hand, NCA allocation enables more relay usage  $P_r$ , and enhance individual transmission through cooperative diversity. The balance between these two factors depends on  $\beta$ , the capacity improvement from cooperative diversity. From Fig. 2 we observe that cooperative diversity provides significant improvement ( $\beta = 2$  at  $\gamma = 0dB$ ) in outage capacity but very



(a) Ergodic Capacity



(b) Outage Capacity

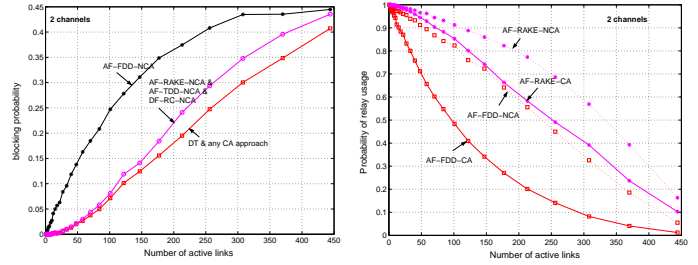
**Fig. 3.** System ergodic capacity and outage capacity as a function of link request for  $\gamma = 0dB$  and two channels.

limited ( $\beta = 1.2$ ) improvement in ergodic capacity. Therefore, NCA outperforms CA in terms of outage oriented metric since  $P_r$  is given much higher weight in  $R_{sys}$ . We also observe that for AF-RAKE, outage oriented metric drops as the number of active links exceeds 300. This is due to the tradeoff between the number of active links  $N$ ,  $P_r$  and  $P_b$ . From Fig. 5 we see that both  $P_r$  and  $(1 - P_b)$  decrease monotonically with  $N$ . This together with a sufficiently large  $\beta$  will result in inverse trend in  $R_{sys}$  as  $N$  increases.

To further illustrate the gain of cooperative diversity, Fig. 5 shows the ratio in terms of system metric defined in (7) of cooperative diversity over direct transmission. In this case, "oneCH" represents cooperative strategies that use one channel for both direct and relay transmissions (*i.e.* AF-RAKE, AF-TDD, DF-RC), and "twoCH" represents those using two channels, (*i.e.* AF-FDD). Using a separate channel for relay in general yields better  $\beta$  but extra interference to neighbors. It can be observed that "oneCH" with  $\beta = 2$  might outperform "twoCH" with  $\beta = 3$ , but "oneCH" with  $\beta = 1.2$  is always inferior. It is thus important to consider the tradeoff between channel usage and capacity gain when choosing the cooperative strategy. Another useful observation is that the cooperative gain in general decreases with the number of active links, (*i.e.* system load).

## 5. CONCLUSION

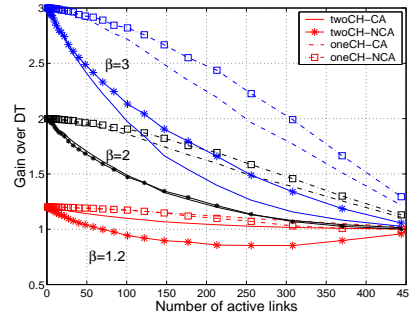
In this work, we examine the performance of cooperative diversity strategies in interference limited ad hoc networks. We conclude that cooperative diversity could result in system performance improvement, but the gain depends heavily on the choice of cooperative strategy and resource allocation strategy. It is clear that careless/selfish usage of cooperative relays in an interference-limited environment will yield higher connection blocking probabilities. However, opportunistic relay usage when neighboring nodes are



(a) Blocking Probability

(b) Probability of relay usage

**Fig. 4.** Cooperation usage and link success statistics for systems with two channels



**Fig. 5.** Cooperative gain in system metric for different  $\beta$  values

idle can lead to higher capacity. Only through a fair and efficient resource allocation scheme, one can reach the equilibrium of these two conflicting approaches.

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