

Contents

1	Introduction	1
1.1	Introduction to Cognitive Radio Network (CRN)	2
1.1.1	Cognitive Radio Paradigm	3
1.1.2	CR Network Architecture	4
1.1.3	Cognitive Radio Network Functionalities	5
1.2	Motivation of the Research	5
1.3	Research Objective	7
1.4	Dissertation Contributions	8
1.4.1	A Constraint based Cooperative Spectrum Sensing Technique	9
1.4.2	A Threshold Adaptive Cooperative Spectrum Sensing Tech- nique	9
1.4.3	A Power Allocation Technique for Underlay Communication	10
1.4.4	A Distributed Power Allocation Technique for Multiuser Un- derlay Communication	11
1.4.5	A Channel Usage Model for MAC Layer Sensing	11
1.5	Dissertation Organization	12
2	Literature Survey	15
2.1	Introduction	15
2.2	Spectrum Sensing	16
2.2.1	Matched Filter Detection	17
2.2.2	Cyclostationary Feature Detection	18

2.2.3	Likelihood Ratio Test (LRT)	18
2.2.4	Energy Detection	18
2.3	Limitations of Local Spectrum Sensing	19
2.4	Cooperative Spectrum Sensing (CSS)	20
2.4.1	Classification of Cooperative Sensing	20
2.4.2	Components of Cooperative Spectrum Sensing	21
2.4.3	Cooperation Framework	22
2.4.3.1	Parallel Fusion (PF) Model	22
2.4.3.2	Game Theoretic Model	22
2.4.4	Cooperative System Issues	24
2.5	Power Allocation in CRN	25
2.5.1	Classification of Power Allocation Infrastructure	25
2.5.2	Water Filling Concept	25
2.5.3	Power Allocation for Underlay Mode CRN	26
2.6	MAC Layer Sensing	27
2.6.1	Difference between Physical Layer Sensing and MAC Layer Sensing	28
2.6.2	MAC Layer Sensing Techniques	28
2.7	Conclusion	29
3	A Constraint based Cooperative Spectrum Sensing Technique	31
3.1	Introduction	31
3.2	Problem Statement	33
3.2.1	Assumptions	33
3.2.2	Notations and Symbols Used	33
3.3	System Model	35
3.4	Game Theoretic Formulation of the Proposed CSS	37

3.4.1	CSS using Game Theory	37
3.4.2	The Proposed Coalitional Game Model	37
3.4.2.1	Design of Utility Function	38
3.4.3	Optimization of Cost Parameters	38
3.4.3.1	Optimization of Cooperation Overhead due to Re- porting Time	38
3.4.3.2	Optimization of Cooperation Overhead due to Re- porting Energy	40
3.4.4	The Distributed CSS Algorithm	41
3.4.5	Stability of Coalition	43
3.5	Simulation Results and Observations	44
3.6	Conclusion	50
4	A Threshold Adaptive Cooperative Spectrum Sensing Technique	51
4.1	Introduction	51
4.2	Problem Statement	53
4.2.1	Assumptions	53
4.2.2	Notations and Symbols Used	54
4.3	System Model	56
4.4	Game Theoretic Formulation of the Proposed CSS	58
4.4.1	CSS using Game Theory	58
4.4.2	The Proposed Coalitional Game Model	58
4.4.2.1	Design of Utility Function	59
4.4.2.2	Selection of Coalition Head	60
4.4.3	Optimization of Cost Parameters	60
4.4.3.1	Optimization of Probability of Error during Re- porting	60
4.4.3.2	Optimization of Energy Consumption during Re- porting	61

4.4.4	The Threshold Adaptive CSS Game	61
4.4.5	The Distributed Threshold Adaptive CSS Algorithm	63
4.4.5.1	Maximum Coalition Size	65
4.4.6	Stability of Coalition	66
4.5	Simulation Results and Observations	66
4.6	Conclusion	74
5	A Power Allocation Technique for Underlay Communication	75
5.1	Introduction	75
5.2	Problem Statement	77
5.2.1	Assumptions	77
5.2.2	Notations and Symbols Used	78
5.3	System Model	79
5.3.1	Objective Function	79
5.4	The Proposed Power Allocation Technique	80
5.4.1	Observations	82
5.4.2	Negative Power Adjustment	84
5.4.3	The Underlay Power Allocation (UPA) Algorithm	85
5.5	Simulation Results and Observations	87
5.6	Conclusion	91
6	A Distributed Power Allocation Technique for Multiuser Underlay Communication	93
6.1	Introduction	93
6.2	Problem Statement	95
6.2.1	Assumptions	95
6.2.2	Notations and Symbols Used	96
6.3	System Model	97

6.3.1	The Objective	99
6.3.2	Distributed approach for Determination of Channel Gain Matrix	100
6.3.2.1	The Protocol Overview	100
6.4	The Proposed Power Allocation Technique	103
6.4.1	The Game Theoretic Formulation of the Proposed Power Allocation Problem	103
6.4.2	Objective Function	104
6.4.3	Characterization of Nash Equilibrium (NE)	104
6.4.3.1	Existence of Nash Equilibrium (NE) in the Proposed Game	104
6.4.3.2	Best Response Power Strategy as Single Player Power Allocation	105
6.4.3.3	The Equilibrium Set for Nash Equilibrium (NE)	106
6.4.3.4	The Potential Game Formulation	107
6.4.3.5	Objective Function Based on Proposed Potential Game	109
6.4.4	The Distributed Power Allocation (DPA) Algorithm	110
6.4.4.1	Convergence Property of DPA algorithm	110
6.5	Simulation Results and Observations	112
6.6	Conclusion	114
7	A Channel Usage Model for MAC Layer Sensing	117
7.1	Introduction	117
7.2	Problem Statement	119
7.2.1	Assumptions	119
7.2.2	Notations and Symbols Used	120
7.3	System Model	121
7.3.1	Network Topology	121

7.3.2	Spectrum Sharing for Underlay Communication	122
7.4	The Proposed Model	123
7.4.1	Recording the Channel Dynamics	123
7.4.2	The Proposed Channel Model	124
7.4.3	The Hidden Markov Chain	128
7.4.4	Availability Metric (AM)	130
7.4.5	The Channel Selection Scheme	130
7.5	The Distributed MAC protocol for Data Dissemination (DMDD) . .	131
7.5.1	Exchange of Control Packets	132
7.5.2	Channel Ranking Strategy in DMDD	132
7.5.3	The Proposed MAC Protocol (DMDD)	133
7.5.3.1	Neighbour Discovery	134
7.5.3.2	Construction of Distributed Data Dissemination Schedule	134
7.5.3.3	Traffic Generation and Dissemination	134
7.6	Simulation Results and Observations	135
7.6.1	Simulation study for proposed HMM Model	136
7.6.2	Simulation study for proposed DMDD Protocol	139
7.7	Conclusion	142
8	Conclusion and Future Direction	145
8.1	Research Contributions	145
8.2	Conclusion	146
8.3	Future Direction	147
	Bibliography	157
	Publications based on the Thesis Works	159

List of Figures

1-1	Spectrum utilization measurements [1]	2
1-2	Cognitive Cycle [2]	3
1-3	Opportunistic Usage of Spectrum Holes [2]	3
1-4	Cognitive Radio Network Architecture [2]	4
1-5	Relation of chapters demonstrating the contributions	13
2-1	Classification of CSS: (a) centralized, (b) distributed (c) relay-assisted [3].	20
2-2	The Parallel Fusion Cooperation Model [3].	23
2-3	The Coalitional Game based Cooperation Model.	23
2-4	The graphical representation of constraint water-filing [4]	26
3-1	Time Slot Structure	35
3-2	Coalition formation by SUs	36
3-3	Average Probability of False Alarm vs. Number of SUs (Non-Cooperative)	45
3-4	Average Probability of False Alarm vs. Number of SUs (Proposed Cooperative Model)	46
3-5	Throughput vs. SUs with $\hat{P}_d = 0.9$	46
3-6	Throughput vs. SUs with $\hat{P}_d = 0.9$ (With random SNR for both the techniques	47
3-7	Target Probability of False Alarm vs. Optimal Coalition Size	47
3-8	Throughput vs. Number of SUs (Impact of reporting time)	48

List of Figures

3-9	Energy Spent (during reporting) vs. Distance (between transmitter and coalition head)	48
3-10	Coalition Head Selection (Avg. distances of the SUs vs. Distance of individual SU w.r.t. PU)	49
3-11	Reporting Energy vs. Coalition Head Selection	50
4-1	Network Architecture	56
4-2	Distributed coalition formation by SUs	59
4-3	Threshold vs. Probability of False Alarm (with a coalition size of 20)	68
4-4	Threshold vs. Probability of Miss Detection (with a coalition size of 20)	69
4-5	Utility achieved in terms of Probability of Detection against sensing threshold	70
4-6	Number of SUs vs. Probability of False Alarm	71
4-7	Number of SUs vs. Probability of Miss Detection	71
4-8	Maximum tolerable probability of false alarm (α) vs. Optimal Coalition Size	72
4-9	Distance vs. Reporting Energy	72
4-10	Distance of SUs w.r.t. the PU vs. Avg. distances of SUs	73
4-11	Reporting Energy vs. Coalition Head Selection	73
4-12	Probability of Error vs. Coalition head	74
5-1	System Model for OFDM based CRN	80
5-2	Spectral Efficiency compared to Classic WF for number of sub-channels, $N = 48$	88
5-3	Running Time vs. Number of Sub-channels	89
5-4	Spectral Efficiency while p_{int} is within p_{max}	89
5-5	Spectral Efficiency while p_{int} is greater than p_{max}	90
6-1	System Model for Multiuser OFDM based CRN	98
6-2	The Multiuser OFDM Model	98

List of Figures

6-3	The overview of MAC level protocol to Determine \mathbf{G}	101
6-4	Convergence behavior of the Potential function vs. Actual total network rate	113
6-5	Average Total Network Capacity Rate	114
7-1	Network Topology	122
7-2	Spectrum Sharing between PU and SU	123
7-3	The licensed channel observation sequence	124
7-4	The HMM representing licensed channel observation sequence . . .	125
7-5	Illustration of sensing a channel	128
7-6	Channel Sequence (CS) Collection using <i>s-mac</i> [5] protocol in <i>ns2</i> [6]	136
7-7	Log-likelihood trend in training process for <i>ch1</i>	138
7-8	Log-likelihood trend in training process for <i>ch2</i>	138
7-9	log-likelihood(ℓ) for test sequences for channels <i>ch1</i> and <i>ch2</i>	139
7-10	AM for channels <i>ch1</i> and <i>ch2</i> with different IPC conditions, showing the different AM values for different channel sequences	140
7-11	Increase in percentage of messages received by SUs in DMDD with increase in number of available channels.	141
7-12	Percentage of messages received by SUs in DMDD under different PU Activity	142
7-13	Percentage of packet dropped by SUs in DMDD	143

List of Tables

3.1	Notations and symbols used	33
3.2	Values of different parameters used in simulation	45
4.1	Notations and symbols used	54
4.2	Values of different parameters used in simulation	67
5.1	Notations and symbols used	78
5.2	Values of different parameters used in simulation	87
6.1	Notations and symbols used	96
6.2	Values of different parameters used in simulation	112
7.1	Notations and symbols used	120
7.2	Values of different transmission parameters used in simulation for SUs	137
7.3	Values of different parameters for HMM	137
7.4	Values of parameters used in simulation for the proposed DMDD protocol with necessary HMM parameters	141
7.5	Availability Metric (AM) Values	141

List of Algorithms

1	Coalition head selection for a coalition S of size K	41
2	Distributed CSS (DCSS)	42
3	Distributed TACSS	64
4	Negative Power Adjustment	85
5	Underlay Power Allocation Algorithm (UPA)	86
6	Protocol for determination of channel gain matrix \mathbf{G}	102
7	Distributed Power Allocation (DPA) Algorithm	111
8	Hidden Markov Chain Algorithm	129
9	Channel Selection Algorithm	131
10	Selection of Forwarding Node for next hop level dissemination	135
11	Dissemination by forwarding node to next level hop	135

Glossary of Terms

AIP	Average Interference Power
AM	Availability Metric
AWGN	Additive White Gaussian Noise
CCC	Common Control Channel
CR	Cognitive Radio
CRCN	Cognitive Radio Cognitive Network
CRN	Cognitive Radio Network
CS	Channel Sequence
CSCG	Circular Symmetric Complex Gaussian
CSI	Channel State Information
CSS	Cooperative Spectrum Sensing
CTS	Clear To Send
DCSS	Distributed Cooperative Spectrum Sensing
DMDD	Distributed Medium access control protocol for Data Dissemination
DSA	Dynamic Spectrum Access
DPA	Distributed Power Allocation
ED	Energy Detection
EM	Expectation Maximization
FC	Fusion Center
FCC	Federal Communications Commission
FIFO	First In First Out
GHz	Giga Hertz
GPS	Global Positioning System
GSM	Global System for Mobile communications
HMM	Hidden Markov Model
i.i.d.	Independent and identically distributed
IPC	Interference Power Constraint
ISM	Industry Science and Medical
IWF	Iterative Water Filling
KKT	Karush-Kuhn-Tucker
LRT	Likelihood Ratio Test
MAC	Medium Access Control
NE	Nash Equilibrium
NP	Neyman-Pearson
ns2	network simulator 2
OFDM	Orthogonal Frequency Division Multiplexing

OFDMA	Orthogonal Frequency Division Multiple Access
PDF	Probability Density Function
PF	Parallel Fusion
PIP	Peak Interference Power
PR	Primary Radio
PRx	Primary Receiver
PTx	Primary Transmitter
PU	Primary User
ROC	Receiver Operating Characteristic
RSS	Received Signal Strength
RTS	Request To Send
SDR	Software Defined Radio
SIFS	Short Inter Frame Spacing
SINR	Signal-to-Interference-Noise-Ratio
s-mac	Sensor-Medium Access Control
SN	Secondary Network
SNR	Signal-to-Noise-Ratio
SRx	Secondary Receiver
STx	Secondary Transmitter
SU	Secondary User
SYNC	Synchronize
TACSS	Threshold Adaptive Cooperative Spectrum Sensing
UCRN	Underlay Cognitive Radio Network
UPA	Underlay Power Allocation
UTC	Universal Coordinated Time
WF	Water Filling

Symbols and Notations

P_d	Probabilities of detection
P_f	Probability of false alarm
P_m	Probability of miss detection
$x(t)$	Received signal at a SU
$s(t)$	Transmitted PU signal
$h(t)$	Amplitude gain of the sensed channel
$n(t)$	Additive white Gaussian noise (AWGN) with mean zero
H_0	Hypothesis of absence
H_1	Hypothesis of presence
Y	Decision statistic in Energy Detection (ED)
λ	Decision threshold in Energy Detection (ED)
T_S	Sensing duration/period
T_R	Total reporting time for all the SUs in a coalition to the head
$T_{r,i}$	Time required to report local sensing information to the coalition head for a SU i
T_C	Total time taken by the coalition head to compute and transmit the final results to every SU in a coalition
T_T	Time duration available for data transmission in a time slot T
E	Energy consumed by a SU in time slot T
E_S	Energy consumed during sensing by a SU
E_R	Energy consumed for reporting the local sensing information to coalition head by a SU
E_{RC}	Energy consumed for receiving the final sensing result from the coalition head
E_T	Energy consumed for data transmission
e_s	Sensing energy per bit
e_l	Energy consumed by the reception circuitry per bit
e_d	Energy dissipated per bit per $metre^2$
e_t	Energy spent by transmission circuitry per bit
$P_{f,i}$	Probability of false alarm of a SU i
$P_{d,i}$	Probability of detection of a SU i
$P_{m,i}$	Probability of miss detection of SU i
$P_{f,S}$	Probability of false alarm of a coalition S
$P_{f,td,S}$	The target probability of false alarm for a coalition S
\hat{P}_d	Target probability of detection of a SU i

$P_{f,avg}$	Average probability of false alarm of all the SUs in the network
λ_i	Energy Detection (ED) threshold for a SU i
γ_i	Received SNR from the PU to i^{th} SU
P_i	PU signal power received at i^{th} SU
u	Time bandwidth product
$Q(\cdot)$	Complementary distribution function of the standard Gaussian
P_{PU}	PU signal power
κ	Path-loss constant
d_i	Distance of i^{th} SU from the PU
R_i	Average throughput of i^{th} SU
P_{H_0}	Probability of PU being absent
r_i	Transmission rate of i^{th} SU
S_{op}	Optimal size of a coalition S
$d_{avg,i}$	Average distance between i^{th} SU and all other SUs in a coalition
$d_{avg,min}$	Minimum average distance between each SU and all other SUs in a coalition S
V_{avg}	Vector consisting of average distances between SUs and all other SUs in a coalition S
SNR	Signal to noise ratio
$\Gamma(\cdot, \cdot)$	Incomplete Gamma function
$\Gamma(\cdot)$	Gamma function
$\gamma_{i,PU}$	Average SNR of the received signal at i^{th} SU from the PU
$h_{PU,i}$	Path loss between PU and SU i
P_{PU}	PU signal power
σ^2	Gaussian noise variance
μ	Path loss exponent
$d_{PU,i}$	Distance between i^{th} SU receiver and the PU
$P_{e,i,l}$	Probability of error of i^{th} SU to the coalition head l
$\gamma_{i,l}$	Average SNR at the coalition head l from i^{th} SU
$h_{i,l}$	Path loss between i^{th} SU and coalition head l
$d_{i,l}$	Distance between i^{th} SU receiver and the coalition head l
$Q_{m,S}$	Probability of miss detection of a coalition S
$Q_{f,S}$	Probability of false alarm of a coalition S
$V_{i,D}$	Distance vector
$d_{i,j}$	Distance between i^{th} SU and j^{th} SU
$V_{D,avg}$	Global average distance vector
$d_{avg,min}$	Minimum average distance between each SU and all other SUs in a coalition
$E_{T,i}$	Energy consumed for reporting the local sensing result by i^{th} SU to the coalition head
α	Maximum tolerable probability of false alarm
$\hat{P}_{d,i}$	Probability of detection of i^{th} SU with adaptive sensing threshold λ_i

$\hat{P}_{f,i}$	Probability of false alarm of i^{th} SU with adaptive sensing threshold λ_i
$\hat{P}_{m,i}$	Probability of miss detection of i^{th} SU with adaptive sensing threshold λ_i
$\hat{P}_{e,i,l}$	Probability of error of i^{th} SU to the coalition head l while adaptive sensing threshold is considered
$\hat{Q}_{m,S}$	Probability of miss detection of a coalition S while adaptive sensing threshold of SUs is considered
$\hat{Q}_{f,S}$	Probability of false alarm of a coalition S while adaptive sensing threshold of SUs is considered
$P_{f,min}$	Minimum probability of false alarm
$P_{e,min}$	Minimum probability reporting error
S_{max}	Maximum number of SUs in a coalition S
\mathbb{D}	Defection function
PTx	PU transmitter
PRx	PU receiver
STx	SU transmitter
SRx	SU receiver
g_p	Channel State Information (CSI) in terms of channel gain between PTx and PRx
g_1	CSI vector between SU transmitter (STx) and PU receiver (PRx)
g_{1n}	Channel gain from STx and PRx in sub-channel n
g_2	CSI vector between SU transmitter (STx) and SU receiver (SRx)
g_{2n}	Channel gain from STx and SRx in sub-channel n
p_{max}	The maximum total transmit power at STx
\mathbf{P}	Power allocation vector of the SU transmitter
p_n	SU transmitter power in sub-channel n
N_0	AWGN noise present in the channel
I_{max}	Average Interference Power (AIP) threshold of Primary receiver
p_{int}	The allowable maximum transmission power at STx constrained by AIP threshold
\mathbf{G}	The channel gain matrix representing CSI, whose (m, n) entry represents the channel gain of the link for SU m using channel n
$p_{m,n}$	SU m 's transmit power in sub-channel n
$g_{m,n}$	Represents the channel gain of the link for SU m using sub-channel n
$\gamma_{m,n}$	Signal-to-Interference-plus-Noise-Ratio (SINR) of signal from SU m using sub-channel n
$p_{k,n}$	PU k 's transmit power in sub-channel n
$g_{k,n}$	Represents the channel gain of the link for PU k using sub-channel n
p_m^{max}	The allowable maximum transmission power of SU m
p_m^{tmax}	The allowable total transmission power of SU m

R_m	The transmission rate of SU m calculated using Shannon's Law
\mathbf{P}_m	Power allocation vector of the SU m
\mathbf{P}	Outcome power allocation vector of the all the SUs using all the channels
\mathcal{G}	Represents the non-cooperative strategic Game
\mathcal{M}	Set of players in the game \mathcal{G}
\mathcal{S}_m	Game playing strategy of player m
\mathcal{U}_m	Utility function of player m
μ_m	Lagrange multiplier for player m . The inverse of μ_m represents the water level
O_t	Represents the observation symbol seen by a SU at any given observation instance t
I_t	The total interference power in terms of IPC received by any PRx at any given instance t
Z_k	The interference power threshold that is tolerable by a PRx
T	Represents the number of observation slots to be used by SUs
O	Represents the observation sequence
O_{next}	Represents the observation sequence in next period
S_1	Represents the OFF state (i.e. PU is OFF in the channel) of HMM
S_2	Represents the ON state (i.e. PU is ON in the channel) of HMM
S_3	Represents the ON_OFF state (i.e. PU is on in the channel, but usable by SU) of HMM
H	Represents the HMM for a licensed channel
\mathfrak{N}	Total number of states in HMM
M	Total number of distinct observation symbols of HMM
A	The state transition probability matrix of HMM
B	The observation symbol probability distribution matrix of HMM
π	The initial state probability distribution vector of HMM
T_{OFF}^c	Random variable representing distribution of S_1 for channel C
T_{ON}^c	Random variable representing distribution of S_2 for channel C
$T_{ON_OFF}^c$	Random variable representing distribution of S_3 for channel C
I	Random variable representing IPC for channel C
AM_C	Availability metric (AM) for a channel C
U_{seq}	Average separation between two 0s in a observation sequence string
L_{seq}	Length of observation sequence string
S_{seq}^0	Number of symbol 0 in an observation sequence string
ℓ	log-likelihood of observation sequence
\mathcal{S}	Represents sender node which disseminate a message

$\mathcal{N}(\mathcal{S})$	Set of the neighbours of node \mathcal{S}
$\mathcal{W}(u)$	Size of the neighbour of node u
\mathcal{S}_f	Represents forwarding node (responsible for next hop level dissemination)
\mathcal{P}_{list}	Preferable list of \mathcal{S}_f nodes (i.e. forwarding nodes)
\mathcal{R}_x	Set of nodes that receives a message from node \mathcal{S}
$\mathcal{C}(u)$	Best selected channel for dissemination by node u
\mathcal{K}	1 st element of \mathcal{P}_{list}

