

# Power Splitting Versus Time Switching Based Cooperative Relaying Protocols for SWIPT in NOMA Systems

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## Abstract

Non-orthogonal multiple access (NOMA) along with wireless power transfer have recently been adapted to cooperative communications for 5G and beyond wireless networks. This paper investigates NOMA based cooperative relaying wireless-powered networks (CRWPNs) where, decode-and-forward (DF) relaying and successive interference cancellation are both employed at a wireless-powered intermediate node. For simultaneous wireless information and power transfer (SWIPT), power-splitting relaying (PSR) and time switching-based relaying (TSR) protocols are considered in the NOMA based CRWPN. As a result, the combination of cooperative relaying power domain NOMA network and PSR and TSR protocols is proposed in this paper. The outage performance and ergodic rate of both protocols are analysed for evaluation of the impacts of energy harvesting (EH) time, EH efficiency, power splitting ratio, source data rate, and the distance between the nodes. In addition, two delay limited transmission (DLT) and delay tolerant transmission (DTT) modes are considered in this network model to investigate the throughput and ergodic rate of the system according to the source transmission rate. It is shown that the cooperative relaying NOMA (CRNOMA) scheme achieves a lower outage probability when compared to the conventional orthogonal multiple access (OMA) schemes. Additionally, the PSR outperforms the TSR in both low and high signal-to-noise ratio (*SNR*) regions in terms of throughput, ergodic rate and energy efficiency. For instance, the outage probability of CRNOMA for both PSR and TSR in *SNR* range of from -10 dB to +20 dB (i.e. a low *SNR* region) decreases gradually but not linearly. However, in *SNR*

range of from +20 dB to +40 dB (i.e. a high  $SNR$  region), the outage probability of CRNOMA for both PSR and TSR decreases quickly. Furthermore, the energy efficiency is shown to be considerably enhanced with the employment of EH for CRNOMA. Finally, the impacts of the distance between the nodes on the performance and a comparison between two scenarios of having and without having direct links are evaluated.

*Keywords:*

Non-orthogonal multiple access (NOMA), energy harvesting (EH), information processing (IP), radio-frequency (RF), power-splitting relaying (PSR), time switching-based relaying (TSR), decode-and-forward (DF).

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## 1. Introduction

With the rapid development of wireless communication technologies as well as demands of tremendously enhanced mobile communication performance, the technologies being used in 4G have shown their limits, which paves the way for the development of 5G [1]-[4]. These demands include simultaneous data transfer, high speed, massive connectivity, low latency and high spectral efficiency, etc.

As one of techniques evolved in the 5G mobile communication systems, non-orthogonal multiple access (NOMA) has recently been shown to be a promising candidate [5]-[9]. Exploiting different domains, e.g. power and/or code domains, rather than the traditional time and frequency domains, the NOMA technique allows several users to simultaneously utilize, the same frequency resources. An increased system spectral efficiency is therefore expected with the NOMA over the conventional orthogonal multiple access (OMA) [10]. Basically, the NOMA can be divided into three categories, including power-domain NOMA [11], code-domain NOMA [12], and hybrid NOMA [13]-[14]. Specifically, the power-domain NOMA (PD NOMA) is considered in this work for cooperative relaying to enhance the performance of the relay network in terms of outage probability, throughput and ergodic sum rate. In [15], the adaptation of the NOMA was shown to considerably outperform the conventional cooperative relaying techniques. In addition, the PD NOMA is considered in this paper due to the fact that it can eliminate the interference and serve multiple users simultaneously by applying superposition coding and successive interference cancellation (SIC). Moreover, in PD NOMA, the users are allocated different power levels to ensure the user fairness, i.e. the weak user is allocated more power than the strong user [16]-[17], which accordingly results in an enhanced quality of service for the SWIPT system.

In our previous work in [18], a simultaneous wireless information and power transfer (SWIPT) in a CRNOMA system was investigated. In [18], the power-splitting relaying (PSR) and time switching-based relaying (TSR) protocols are employed in the system. The work of [18] focused on the performance in terms of the outage probability, throughput and ergodic rate at low  $SNR$  region.

Dealing with energy issues in wireless networks, energy harvesting (EH) plays a critical role in different wireless network models because of the limited power supply and storage at transceivers, for instance in wireless sensor networks [19]-[22]. Several EH mechanisms were integrated into the devices to prolong the lifetime of energy-constrained wireless networks [23]-[25]. Such EH circuit integration enables the SWIPT to be applied in many areas such as healthcare, disaster, rescue, etc.

SWIPT can also be adapted in relay node based CRNOMA communications by employing either PSR or TSR protocol. In the PSR protocol, the received signal power at the relay node is divided into two parts by splitter. The one is for EH at the relay node and the other is for information processing (IP) to the destination node. In the TSR protocol, the RF received signal at the relay node is first sent to the EH receiver and then to the information receiver by switching. Therefore, a time block for EH and IP for the PSR protocol is normally divided into two time slots including the EH and data transmission during the first time slot and data forwarding in the remaining time slot. Otherwise, a time block for EH and IP for the TSR protocol is normally divided into three time slots including EH in the first time slot, data transmission from the source to the relay in the second time slot and data forwarding from the relay to the destination in the remaining time slot [26].

In [27], two PSR and TSR protocols for DF based relay networks were investigated. Specifically, both the PSR and TSR protocols were considered with and without the direct path. The outage probability expressions were presented. Also, the power splitting and time switching coefficients were optimized to maximize the transmission rate for the PSR and TSR protocols, respectively.

In [26], [28], SWIPT based relaying networks were presented. The expressions of the outage probability and ergodic capacity for amplify-and-forward (AF) and DF relaying protocols were derived. Moreover, these formulas provided practical insights into the impacts of several parameters on the SWIPT. These parameters include EH time, power splitting ratio, source to relay distance as well as EH efficiency. A radio-frequency EH scheme was also considered in [28] for cooperative relaying systems showing that the PSR obtains an enhanced throughput compared to the TSR at high  $SNR$ . In [29], a novel cooperative SWIPT NO-

MA protocol with PSR scheme was proposed. The data rate maximization of the user with poor channel conditions was investigated for multiple-input single-output cases. In [30], a SWIPT based DF relaying network was studied to derive approximate and exact closed-form expressions for outage probability. Furthermore, expressions for throughput in delay limited mode were given. In [31], a SWIPT-CRNOMA system was investigated. A novel PSR protocol for EH relay of this system was proposed and its impact on the outage probability of both users was considered. The outage probability and system throughput were derived for delay-sensitive transmission mode and their analytical expressions were also obtained. The application of SWIPT in CRNOMA was studied in [32] where novel analytical expressions of outage probability were derived both for the weak and strong users.

Taking into account signal processing at relay node, two transmission modes can be carried out, which include delay-limited transmission (DLT) and delay-tolerant transmission (DTT) modes [19]. In the DLT mode, the signal received at the destination node is decoded by block-wise signal decoding mechanism, while the received data blocks in the DTT mode can be stored in its buffer prior to data decoding.

In [33], a cooperative NOMA scheme with DLT and DTT modes employing DF relaying in full-duplex (FD) and HD modes was proposed. The new closed-form expressions for two types of exact and asymptotic outage probabilities as well as delay-limited throughput were derived. The FD CRNOMA obtained a higher EE than the HD CRNOMA in the DLT mode in the low  $SNR$  region. In contrast, the EE for HD CRNOMA was superior to that for FD CRNOMA in the DTT mode in the high  $SNR$  region.

DF is a protocol in which the received signal is decoded and forwarded to the desired destination, while AF is a protocol in which the received signal is first amplified and then forwarded to the destination. According to [34], the simultaneous transmissions from the source and active relay causes the inter-relay interference (IRI) to another receiving relay. In relay-assisted CNOMA network, AF relay protocol is normally employed in the models in which IRI condition is regardless [34]-[36]. It means that the AF relay protocol is usually utilized in multi-relay models or the information communication among relays. For DF relay protocol, it decodes the received data from the source by considering the IRI as noise component or decodes the IRI first by employing successive interference cancellation (SIC) [34]. This implies that the IRI has to be extremely weaker or stronger than the transmitted signal from the source.

In [37], the authors proposed two protocols, namely CNOMA-SWIPT-TS and

CNOMA-SWIPT-PS, based on TS and PS for system model with Nakagami- $m$  fading channel. In the model, the source first sends transmitted signal to user UE1 and relay in phase one, then the relay forwards the signal to the user UE2 in phase two. The ergodic capacity and outage probability for the proposed protocols were evaluated and compared to that for OMA and the PS based protocol, namely EH and spectrum sharing protocol, in [38]. In particular, the sum ergodic capacity of CNOMA-SWIPT-PS was superior to OMA and the protocol in [38]. In [38], the authors proposed a new approach to solve the spectrum and power issues in wireless sensor network based on PSR protocol for Nakagami- $m$  fading channel. This approach was the cooperation of spectrum sharing and RF EH. The outage probability was then evaluated for the primary and secondary systems. In [39], a hybrid SWIPT protocol combined PS and TS based architecture was investigated for CNOMA downlink transmission. The outage probability and channel capacity were derived and evaluated via simulation results. However, in general, energy efficiency issues and the impacts of the related parameters, e.g. the distance between the source and relay node and path loss factor, on the performance at high  $SNR$  region have not yet solved in these papers.

Inspired by the works in [19] and [33], in this paper, the employment of the PSR and TSR protocols for CRNOMA-based CRWPNs in both DLT and DTT modes is investigated. Additionally, it is motivated from our previous studies in [18], the energy efficiency of these two protocols and their impacts on the performance of the system model is continued investigating in this work. Furthermore, we investigate the system model with only one source (S), one relay (R) and one destination (D). Therefore, the DF relay protocol is exploited in this system model based on aforementioned analysis. The main contributions of the work can be summarised as follows:

- *PSR/TSR Protocols in DLT and DTT Modes:* PSR and TSR protocols are sequentially employed for SWIPT in a CRNOMA-based CRWPNs consisting of a source node and two destination nodes among which one plays the role as a relay node to assist the communication between the source and the far-end nodes. Additionally, DF is considered at the relay node over two transmission modes, i.e. DLT and DTT.
- *Performance Analyses:* Closed-form expressions of outage probability, throughput, ergodic rate and EE are derived for the PSR and TSR protocols with DLT and DTT modes in the CRNOMA-based CRWPNs. Next, the performance are analysed to realise the impacts of EH time, EH efficiency, power

splitting ratio, source data rate, and the distance between the nodes. Furthermore, the impacts of these parameters on the outage probability and ergodic rate of two users at high SNR region are also evaluated. The simulation results demonstrate that the performance for CRNOMA outperforms that for OMA. For performance comparison between two protocols, the TSR achieves higher throughput, ergodic rate and EE than the PSR.

- For the first time, the investigation and evaluation of performance metric versus different distances between the source and relay node and comparison between direct and no-direct links with different path losses are performed.
- The PSR/TSR based system model in this work obtains a better outage probability than the work of [30].

The rest of the paper is structured as follows: Section II presents the entire system model of the proposed relay assisted cooperative NOMA and assumptions. Sections III, IV analyse the outage performance, throughput, ergodic rate and EE of the PSR and TSR protocols, respectively. Section V discusses the simulation results. Finally, Section VI concludes this paper and summarizes the key findings.

**Notations:**  $E[\cdot]$  represents expectation operation.  $f_X(Y)(\cdot)$  and  $F_X(Y)(\cdot)$  represent the probability density function (PDF) and the cumulative distribution function (CDF) of a random variable  $X(Y)$ , respectively.  $|h_1|^2$  and  $|h_2|^2$  denote channel gains.  $\beta$ ,  $0 < \beta < 1$ , denotes the power splitting ratio.

## 2. SYSTEM MODEL

Figure 1 presents the system model under investigation. Here, a source node,  $S$ , wants to transfer the information to two users  $R$  and  $D$ . Assume that there is an obstacle between  $S$  and  $D$  as illustrated in Fig. 1,  $S$  sends two signals  $x_1$ ,  $x_2$  to  $R$  in phase 1, and  $R$  is exploited to help  $S$  to forward the decoded signal  $x_2$  to  $D$  in phase 2. In this communication,  $R$  employs DF relaying protocol using the energy harvested from  $S$ . It is assumed that the links between nodes experience Rayleigh fading.  $d_1$  and  $d_2$  are the distances from  $S$  to  $R$  and from  $R$  to  $D$ , respectively.  $h_1$  and  $h_2$  are the complex channel coefficients of  $S \rightarrow R$  and  $R \rightarrow D$  links, respectively. These parameters have  $|h_1|^2$  and  $|h_2|^2$  which are assumed to be exponentially distributed with  $E[|h_1|^2] = \Omega_1^{-1}$  and  $E[|h_2|^2] = \Omega_2^{-1}$ . In which,  $E[\cdot]$  represents expectation operation. Without loss of generality, it is assumed that the fading gains in all related links are the Rayleigh distribution and their probability

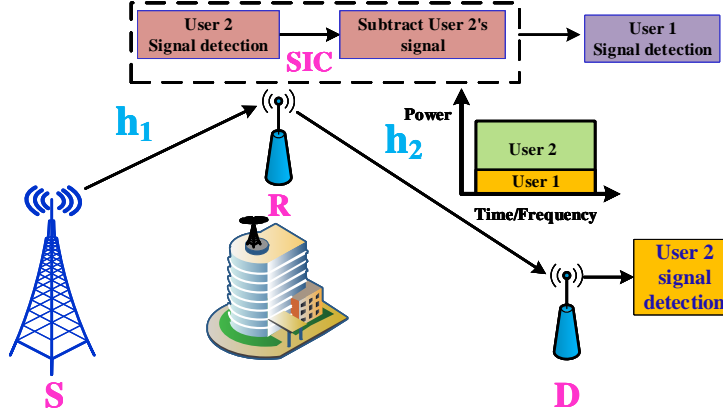


Figure 1: System Model.

density function (PDF) denotes by

$$f_{h_i}(x) = \frac{1}{\Omega_i} \exp\left(-\frac{x}{\Omega_i}\right), \quad i \in \{1, 2\}, \quad (1)$$

where,  $\Omega_i$  represents the average power and the cumulative distribution function (CDF) is determined by:

$$F_{h_i}(x) = 1 - \exp\left(-\frac{x}{\Omega_i}\right), \quad i \in \{1, 2\} \quad (2)$$

Moreover, the  $R$  and  $D$  are affected by Additive White Gaussian Noise (AWGN) appearing at the RF-to-Baseband Conversion Unit (RFBCU) and the receiving antenna with the same variance  $N_0$  [40].

### 2.1. Energy Harvesting and Information Processing at $R$

In this section, two protocols for EH at  $R$ , namely PSR-based  $R$  and TSR-based  $R$ , are sequentially considered. In addition, in the system model,<sup>1</sup>

#### 2.1.1. Energy Harvesting at PSR-based $R$

The communication block diagram with the total block time  $T$  for EH and information processing (IP) in PSR protocol is plotted in Fig. 2. In this protocol,

<sup>1</sup> it is assumed that the energy consumption of data transmission which is generally much higher than that of data processing. Therefore, the amount of energy for data processing is implicitly negligible.

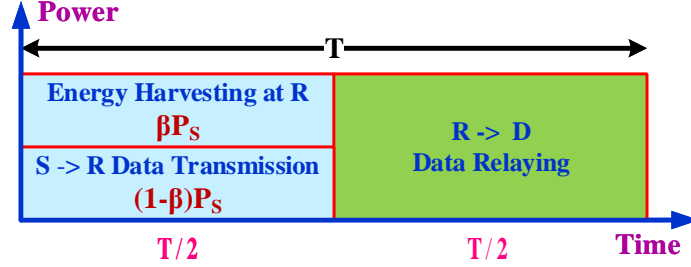


Figure 2: PSR Protocol of Energy harvesting system.

it is assumed that  $S$  transmits information to  $R$  during the first half of  $T$ , the remaining time of  $T/2$  is utilized for transmitting the information from  $R$  to  $D$ . The transmitted signal at  $S$  is combined by two signals  $x_1$  and  $x_2$  employing superposition coding mechanism in NOMA [41].

The source  $S$  simultaneously transmits the superposed coding signal to  $R$ . The expectations of signals  $x_1$  and  $x_2$  are assumed that  $E[x_1^2] = E[x_2^2] = 1$ . Thus, the transmitted signal expression at  $S$  is given by

$$S(t) = \left( \sqrt{a_1 P_S} x_1(t) + \sqrt{a_2 P_S} x_2(t) \right) \quad (3)$$

where  $a_1$  and  $a_2$  denote the power allocation coefficients for data symbol  $x_1$  and  $x_2$ , respectively.  $P_S$  represents the transmission power at  $S$ . The observed signal at  $R$  is given by

$$y_R(t) = h_1 S(t) + n_R(t) = h_1 \left( \sqrt{a_1 P_S} x_1(t) + \sqrt{a_2 P_S} x_2(t) \right) + n_R(t), \quad (4)$$

where  $n_R(t)$  AWGN at  $R$  with zero mean and variance  $N_0$ . Since  $R$  is nearer to  $S$  than  $D$ , the power is allocated for  $R$  less than that for  $D$  to ensure the user fairness. Thus,  $a_2 > a_1 > 0$  satisfies  $a_1 + a_2 = 1$ . Following the power splitting architecture at  $R$  [26, Fig.(3b)], the received power at  $R$  is splitted into two parts as follows: i)  $\sqrt{\beta} y_R$  is exploited to harvest the energy and ii)  $\sqrt{1-\beta} y_R$  is used to process information. Let  $\beta$ ,  $0 < \beta < 1$ , denote the power splitting ratio. The received power at  $R$  to harvest the energy is given as

$$y_{H,R}(t) = \sqrt{\beta} y_R(t) = \sqrt{\beta} h_1 \left( \sqrt{a_1 P_S} x_1(t) + \sqrt{a_2 P_S} x_2(t) \right) + \sqrt{\beta} n_R(t) \quad (5)$$

The harvested energy at  $R$  can be determined by

$$E_H^{PSR} = \beta \eta |h_1|^2 P_S (T/2), \quad (6)$$



where  $0 < \eta < 1$  denotes the EH efficiency at the energy receiver and depends on the rectifier and EH circuitry deployed at  $R$ . For harvested energy at  $R$ , a part is used consuming at  $R$  while the remaining part is used for DF the received signal to  $D$ . The transmission power at  $R$  depends on  $E_H^{PSR}$  and is determined by

$$P_r^{PSR} = \frac{E_H^{PSR}}{(T/2)} = \frac{\beta\eta|h_1|^2 P_S (T/2)}{(T/2)} = \beta\eta|h_1|^2 P_S. \quad (7)$$

### 2.1.2. Information Processing at PSR-based $R$

The received signal at  $R$  to process information is given as

$$\begin{aligned} y_{IPPSR,R}(t) &= \sqrt{1-\beta}y_R(t) \\ &= \sqrt{1-\beta}h_1 (\sqrt{a_1 P_S}x_1(t) + \sqrt{a_2 P_S}x_2(t)) + \sqrt{1-\beta}n_R(t). \end{aligned} \quad (8)$$

The data  $y_{IPPSR,R}(t)$  is converted to a sampled baseband data  $y_{IPPSR,R}(k)$  by the RFBCU at  $R$ . Similar to [26, Eq.(20)],  $y_{IPPSR,R}(k)$  can be expressed as

$$\begin{aligned} y_{IPPSR,R}(k) &= \sqrt{1-\beta}y_R(k) \\ &= \sqrt{1-\beta}h_1 (\sqrt{a_1 P_S}x_1(k) + \sqrt{a_2 P_S}x_2(k)) + \sqrt{1-\beta}n_R(k) + n_R^c(k), \end{aligned} \quad (9)$$

where  $n_R^c(k)$  is AWGN at the RFBCU of  $R$ .

### 2.1.3. Energy Harvesting at TSR-based $R$

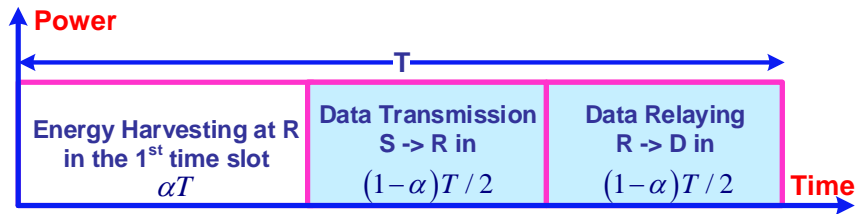


Figure 3: TSR Protocol of Energy harvesting system.

Similar to PSR protocol, the communication block diagram with the total block time  $T$  for EH and IP in TSR protocol is plotted in Fig. 3. The first sub-block of time, i.e.  $\alpha T$ , is for EH, the first half of the remaining block,

i.e.  $(1-\alpha)T/2$ , is for the data transmission from  $S$  to  $R$  and then the remaining  $(1-\alpha)T/2$  is for the data transmission from  $R$  to  $D$ . Let  $\alpha$ ,  $0 < \alpha < 1$ , denote the time allocation ratio.

Based on the time switching architecture for EH and IP at relay [26, Fig.(2b)],  $R$  harvests the energy from the received RF signal during the first sub-block of time  $\alpha T$  as in (1), i.e.

$$E_H^{TSR} = \alpha\eta|h_1|^2P_S T. \quad (10)$$

Then, the normalized transmission power at  $R$  can be obtained from the harvested energy  $E_H^{TSR}$  over the time  $(1-\alpha)T/2$  for forwarding the decoded signal to  $D$  as

$$P_r^{TSR} = \frac{E_H^{TSR}}{(1-\alpha)T/2} = \frac{\alpha\eta|h_1|^2P_S T}{(1-\alpha)T/2} = \frac{2\alpha\eta|h_1|^2P_S}{(1-\alpha)}. \quad (11)$$

According to the NOMA principle,  $R$  is allocated less power than  $D$ . After receiving the combined signal from  $S$ ,  $R$  decodes the signal  $x_2$  and decodes its own signal  $x_1$  by applying SIC [42].

#### 2.1.4. Information Processing at TSR-based $R$

To decode the data of the source  $S$ , the RFBCU at  $R$  converts the received RF data  $y_R(t)$  in Eq. (1) into a sampled baseband data  $y_{IPTSR,R}(k)$  in the first interval time  $(1-\alpha)T/2$ . The sampled signal  $y_{IPTSR,R}(k)$  is explicitly expressed as follows [26, Eq. (3)].

$$y_{IPTSR,R}(k) = h_1 \left( \sqrt{a_1 P_S} x_1(k) + \sqrt{a_2 P_S} x_2(k) \right) + n_R(k) + n_R^c(k). \quad (12)$$

Considering both PSR and TSR protocols, from (9) and (12), the received signal to interference plus noise ratio (SINR) at  $R$  for detecting  $x_2$  of  $D$  can be expressed by

$$\gamma_{2,R} = \frac{\psi_I |h_1|^2 a_2 \rho}{\psi_I |h_1|^2 a_1 \rho + 1}, \quad (13)$$

where  $\rho \triangleq \frac{P_S}{N_0}$  is the transmitting SNR,  $\psi_I$  represents the IP coefficient in the PSR and TSR protocols which is given by

$$\psi_I = \begin{cases} \frac{(1-\beta)}{(2-\beta)}, & \text{for PSR.} \\ \frac{1}{2}, & \text{for TSR.} \end{cases} \quad (14)$$

The received SNR at  $R$  for detecting its own message  $x_1$  after SIC is expressed by

$$\gamma_{1,R} = \psi_I |h_1|^2 a_1 \rho. \quad (15)$$

After decoded at  $R$ , the signal  $x_2$  is forwarded to  $D$ . The received signal at  $D$  can be given by

$$y_D(t) = \sqrt{P_r^X} x_2(t) h_2 + n_D(t), \quad (16)$$

where  $X$  is either PSR or TSR,  $n_D(t)$  denotes AWGN at  $D$  with zero mean and variance  $N_0$ . The signal  $y_D(t)$  is converted to a sampled baseband data  $y_D(k)$  by the RFBCU at  $D$ .

$$y_D(k) = \sqrt{P_r^X} x_2(k) h_2 + n_D(k) + n_D^c(k), \quad (17)$$

where  $n_D^c(k)$  is AWGN at the RFBCU of  $D$ .

By substituting (7) and (9) into (17), the expression becomes

$$y_D(k) = \left( \sqrt{\psi_E P_S} \right) |h_1| h_2 x_2(k) + n_D(k) + n_D^c(k), \quad (18)$$

where  $\psi_E$  denotes the EH coefficient in the PSR and TSR protocols and is given by

$$\psi_E = \begin{cases} \beta \eta, & \text{for PSR.} \\ \frac{2\alpha \eta}{(1-\alpha)}, & \text{for TSR.} \end{cases} \quad (19)$$

The received SNR at  $D$  is thus given by

$$\gamma_{2,D} = \frac{|h_1|^2 |h_2|^2 \psi_E P_S}{2N_0} = \frac{1}{2} |h_1|^2 |h_2|^2 \psi_E \rho. \quad (20)$$

### 3. PERFORMANCE ANALYSIS OF PSR PROTOCOL

#### 3.1. Outage Performance

##### 3.1.1. Outage Probability at $R$

In the CRNOMA scheme,  $R$  is not in outage when it can decode both  $x_1$  and  $x_2$ . Thus, the outage probability at  $R$  can be given by

$$P_{R,PSR} = 1 - \Pr(\gamma_{2,R} > \gamma_{th_2}, \gamma_{1,R} > \gamma_{th_1}), \quad (21)$$

where  $\gamma_{th_1} = 2^{2R_1} - 1$  and  $\gamma_{th_2} = 2^{2R_2} - 1$ . Here,  $R_1$  and  $R_2$  denote the target rates for detecting  $x_1$  and  $x_2$ , respectively. The following finding of the outage probability at  $R$  is given by Theorem 1.

**Theorem 1.** *The outage probability at R of PSR protocol is given by*

$$P_{R,PSR} = 1 - e^{-\frac{\theta_{1,PSR}}{\Omega_1}}, \quad (22)$$

where  $\theta_{1,PSR} = \max(\tau_{1,PSR}, \nu_{1,PSR})$ ,  $\tau_{1,PSR} = \frac{\gamma_{th2}}{\rho \psi_I^{PSR} (a_2 - a_1 \gamma_{th2})}$  and  $\nu_{1,PSR} = \frac{\gamma_{th1}}{a_1 \psi_I^{PSR} \rho}$  with  $a_2 > a_1 \gamma_{th2}$ .

*Proof:*

See Appendix A.

### 3.1.2. Outage Probability at D

Similarly, the outage probability at D occurs when R cannot detect  $x_2$  to forward to D or R can detect  $x_2$  but D cannot recover  $x_2$  and is thus given by

$$P_{D,PSR} = \Pr(\gamma_{2,R} < \gamma_{th2}) + \Pr(\gamma_{2,D} < \gamma_{th2}, \gamma_{2,R} > \gamma_{th2}) \quad (23)$$

**Theorem 2.** *The outage probability at D of PSR protocol can be computed by*

$$P_{D,PSR} = 1 - e^{-\frac{\tau_{1,PSR}}{\Omega_1}} + \int_{\tau_{1,PSR}}^{\infty} \left( 1 - e^{-\frac{-2\gamma_{th2}}{x \psi_E^{PSR} \rho \Omega_2}} \right) \frac{1}{\Omega_1} \exp\left(\frac{-x}{\Omega_1}\right) dx \quad (24)$$

*Proof:*

See Appendix B.

**Corollary 1.** *The outage probability at D at high SNR is determined as follows*

$$\begin{aligned} P_{D,PSR}^{\infty} &= \Pr\left(\frac{a_2}{a_1} < \gamma_{th2}\right) + \Pr\left(|h_2|^2 < \frac{2\gamma_{th2}}{\psi_E^{PSR} \rho |h_1|^2}, \frac{a_2}{a_1} > \gamma_{th2}\right) \\ &= \Pr\left(|h_2|^2 < \frac{2\gamma_{th2}}{\psi_E^{PSR} \rho |h_1|^2}, \frac{a_2}{a_1} > \gamma_{th2}\right) \\ &= \int_0^{\infty} \left[ 1 - \exp\left(\frac{-2\gamma_{th2}}{\psi_E^{PSR} \rho \Omega_2 x}\right) \right] \frac{1}{\Omega_1} \exp\left(\frac{-x}{\Omega_1}\right) dx \\ &= 1 - 2\sqrt{\frac{2\gamma_{th2}}{\psi_E^{PSR} \rho \Omega_1 \Omega_2}} K_1\left(2\sqrt{\frac{2\gamma_{th2}}{\psi_E^{PSR} \rho \Omega_1 \Omega_2}}\right), \end{aligned} \quad (25)$$

where  $K_1(\cdot)$  is the first order modified Bessel function of the second kind [43, Eq.(3.324.1)].

### 3.2. Throughput for Delay-limited Transmission Mode

In DLT mode,  $S$  transmits  $x_1$  and  $x_2$  with constant rates of  $R_1$  and  $R_2$ , respectively. The throughput therefore depends only on the outage probability caused by wireless fading channels, which is computed by

$$\tau_{t,PSR} = (1 - P_{R,PSR}) R_1 + (1 - P_{D,PSR}) R_2, \quad (26)$$

where  $P_{R,PSR}$  and  $P_{D,PSR}$  can be obtained from (22) and (26), respectively.

### 3.3. Ergodic Rate for Delay-tolerant Transmission Mode

In DTT mode, ergodic rate is analysed instead of throughput since the throughput depends on the ergodic capacity, which in turn depends on power splitting factor for the PSR protocol and EH time for the TSR protocol [26]. In the following, the ergodic rates at  $R$  and  $D$  are sequentially evaluated.

#### 3.3.1. Ergodic Rate at $R$

The achievable rate at  $R$  when  $R$  can detect  $x_2$  is given by [33]

$$\begin{aligned} R_{R,PSR} &= E \left[ \frac{1}{2} \log_2 (1 + \gamma_{1,R}) \right] \\ &= \frac{1}{2} \int_0^{\infty} \log_2 (1 + \gamma_{1,R}) f(\gamma_{1,R}) d\gamma_{1,R} \end{aligned} \quad (27)$$

**Theorem 3.** *The ergodic rate at PSR-based  $R$  in DTT mode is determined by*

$$R_{R,PSR} = \frac{-\exp\left(\frac{1}{\psi_I^{PSR} a_1 \rho \Omega_1}\right)}{2 \ln 2} Ei\left(\frac{-1}{\psi_I^{PSR} a_1 \rho \Omega_1}\right), \quad (28)$$

where  $Ei(\cdot)$  denotes the exponential integral function [43, Eq.(3.354.4)].

*Proof:*

See Appendix C.

#### 3.3.2. Ergodic Rate at $D$

The achievable rate at  $D$  for PSR with DTT mode is given by

$$R_{D,PSR} = \frac{1}{2} \log_2 (1 + \min(\gamma_{2,R}, \gamma_{2,D})). \quad (29)$$

**Theorem 4.** *The ergodic rate at D for PSR protocol with DTT mode is given by*

$$R_{D,PSR} = \frac{1}{2\ln 2} \int_0^{\frac{a_2}{a_1}} \left[ \frac{e^{-\frac{x}{\psi_I^{PSR} \rho (a_2 - a_1 x) \Omega_1}}}{1+x} + \frac{\int_0^\infty \frac{x}{\psi_I^{PSR} \rho (a_2 - a_1 x)} \frac{1}{\Omega_1} \left( 1 - e^{-\frac{2x}{y \rho \psi_E^{PSR} \Omega_2}} \right) e^{-\frac{y}{\Omega_1}} dy}{1+x} \right] dx. \quad (30)$$

*Proof:*

*See Appendix D.*

**Remark 1.** *The ergodic rate at high SNR is given by*

$$R_{D,PSR}^\infty = \frac{1}{2\ln 2} \int_0^\infty \frac{1 - F_X(x)}{1+x} dx. \quad (31)$$

*From the analytical result in (27), the asymptotic expression of the ergodic rate at D in case of the high SNR region  $\rho \rightarrow \infty$  is expressed by*

$$R_{D,PSR}^\infty = \frac{1}{2\ln 2} \int_0^{\frac{a_2}{a_1}} \frac{2 \sqrt{\frac{2x}{\psi_E^{PSR} \rho \Omega_1 \Omega_2}} K_1 \left( 2 \sqrt{\frac{2x}{\psi_E^{PSR} \rho \Omega_1 \Omega_2}} \right)}{1+x} dx. \quad (32)$$

*Proof:*

*See Appendix E.*

### 3.3.3. Ergodic rate of the system

In summary, the ergodic rate for PSR in DTT mode is expressed by

$$\tau_{r,PSR} = R_{R,PSR} + R_{D,PSR}, \quad (33)$$

where  $R_{R,PSR}$  and  $R_{D,PSR}$  can be obtained from (33) and (35), respectively.

### 3.4. Energy efficiency

The EE is defined as the ratio of the total achievable data rate and the total power consumption in the entire network, which is given by  $EE \triangleq \frac{\mathfrak{R}}{P_S + P_r}$ , where  $\mathfrak{R}$ , denotes the total throughput from  $S$  to  $R$  and from  $R$  to  $D$  and  $(P_S + P_r)$  denotes the total power consumption including the transmitted power  $P_S$  at  $S$  and the transmitted power  $P_r$  at  $R$ . Following [33, Eqs. (52) and (54)], the EE can be derived. Hence, the EE of user cooperative relaying for NOMA systems can be given by

$$EE_{\phi,PSR} = \frac{2\tau_{\phi,PSR}}{TP_S + TP_r} = \frac{2\tau_{\phi,PSR}}{\rho(1 + \psi_E \Omega_1)}, \quad (34)$$

where  $T = 1$ ,  $\sigma^2 = 1$ ,  $\rho \triangleq \frac{P_S}{\sigma^2}$ ,  $P_r = \beta \eta |h_1|^2 P_S = \psi_E \Omega_1 P_S$  and  $\phi \in (t, r)$  denotes the system energy efficiency in DLT mode and DTT mode, respectively.

## 4. PERFORMANCE ANALYSIS OF TSR PROTOCOL

### 4.1. Outage performance

The outage probabilities at  $R$  and  $D$  are derived as in the following two theorems.

**Theorem 5.** *The outage probability at  $R$  of TSR protocol is given by*

$$P_{R,TSR} = 1 - e^{-\frac{\theta_{1,TSR}}{\Omega_1}}, \quad (35)$$

where  $\theta_{1,TSR} = \max(\tau_{1,TSR}, v_{1,TSR})$ ,  $\tau_{1,TSR} = \frac{\gamma_{th2}}{\rho \psi_I^{TSR} (a_2 - a_1 \gamma_{th2})}$  and  $v_{1,TSR} = \frac{\gamma_{th1}}{a_1 \psi_I^{TSR} \rho}$  with  $a_2 > a_1 \gamma_{th2}$ .

*Proof:*

See Appendix A.

**Theorem 6.** *The outage probability at  $D$  can be given by*

$$P_{D,TSR} = 1 - e^{-\frac{\tau_{1,TSR}}{\Omega_1}} + \int_{\tau_{1,TSR}}^{\infty} \left( 1 - e^{-\frac{-2\gamma_{th2}}{x \psi_E^{TSR} \rho \Omega_2}} \right) \frac{1}{\Omega_1} \exp\left(\frac{-x}{\Omega_1}\right) dx. \quad (36)$$

*Proof:*

See Appendix B.

**Corollary 2.** *The outage probability at D at high SNR can be determined by*

$$\begin{aligned}
P_{D,TSR}^\infty &= \Pr\left(\frac{a_2}{a_1} < \gamma h_2\right) + \Pr\left(|h_2|^2 < \frac{2\gamma h_2}{\psi_E^{TSR}\rho|h_1|^2}, \frac{a_2}{a_1} > \gamma h_2\right) \\
&= \Pr\left(|h_2|^2 < \frac{2\gamma h_2}{\psi_E^{TSR}\rho|h_1|^2}, \frac{a_2}{a_1} > \gamma h_2\right) \\
&= \int_0^\infty \left[1 - \exp\left(\frac{-2\gamma h_2}{\psi_E^{TSR}\rho\Omega_2 x}\right)\right] \frac{1}{\Omega_1} \exp\left(\frac{-x}{\Omega_1}\right) dx \\
&= 1 - 2\sqrt{\frac{2\gamma h_2}{\psi_E^{TSR}\rho\Omega_1\Omega_2}} K_1\left(2\sqrt{\frac{2\gamma h_2}{\psi_E^{TSR}\rho\Omega_1\Omega_2}}\right),
\end{aligned} \tag{37}$$

where  $K_1(\cdot)$  denotes the first order modified Bessel function of the second kind [43, Eq.(3.324.1)].

#### 4.2. Throughput for Delay-limited Transmission Mode

The total system throughput for TSR in DLT mode can be similarly derived as

$$\tau_{t,TSR} = (1 - P_{R,TSR}) R_1 + (1 - P_{D,TSR}) R_2, \tag{38}$$

where  $P_{R,TSR}$  and  $P_{D,TSR}$  can be obtained from (40) and (41), respectively.

#### 4.3. Ergodic Rate for Delay-tolerant Transmission Mode

##### 4.3.1. Ergodic Rate at R

When R can detect signal  $x_2$ , the achievable rate at R can be obtained by [33]

$$R_{R,TSR} = \frac{1}{2} \log_2(1 + \gamma_{1,R}). \tag{39}$$

**Theorem 7.** *The ergodic rate at R for CRNOMA is given by*

$$R_{R,TSR} = \frac{-\exp\left(\frac{1}{\psi_I^{TSR} a_1 \rho \Omega_1}\right)}{2 \ln 2} Ei\left(\frac{-1}{\psi_I^{TSR} a_1 \rho \Omega_1}\right), \tag{40}$$

where  $Ei(\cdot)$  is the exponential integral function [43, Eq.(3.354.4)].

*Proof:*

*See Appendix C.*



#### 4.3.2. Ergodic Rate at D

The achievable rate at D is given by

$$R_{D,TSR} = \frac{1}{2} \log_2 (1 + \min(\gamma_{2,R}, \gamma_{2,D})). \quad (41)$$

**Theorem 8.** *The ergodic rate at D is given by*

$$R_{D,TSR} = \frac{1}{2 \ln 2} \int_0^{\frac{a_2}{a_1}} \left[ \frac{e^{-\frac{x}{\psi_I^{TSR} \rho (a_2 - a_1 x) \Omega_1}}}{1+x} + \frac{\int_0^{\infty} \frac{x}{\psi_I^{TSR} \rho (a_2 - a_1 x)} \frac{1}{\Omega_1} \left( 1 - e^{-\frac{2x}{y \rho \psi_E^{TSR} \Omega_2}} \right) e^{-\frac{y}{\Omega_1}} dy}{1+x} \right] dx \quad (42)$$

*Proof:*

See Appendix D.

**Remark 2.** *The ergodic rate at high SNR is given by*

$$R_{D,TSR}^{\infty} = \frac{1}{2 \ln 2} \int_0^{\infty} \frac{1 - F_X(x)}{1+x} dx. \quad (43)$$

From (48), the asymptotic expression of ergodic rate at D for high SNR region  $\rho \rightarrow \infty$  is given by

$$R_{D,TSR}^{\infty} = \frac{1}{2 \ln 2} \int_0^{\frac{a_2}{a_1}} \frac{2 \sqrt{\frac{2x}{\psi_E^{TSR} \rho \Omega_1 \Omega_2}} K_1 \left( 2 \sqrt{\frac{2x}{\psi_E^{TSR} \rho \Omega_1 \Omega_2}} \right)}{1+x} dx. \quad (44)$$

*Proof:*

See Appendix E.

#### 4.3.3. Ergodic rate of the system

In summary, the ergodic rate for TSR in DTT mode is given by

$$\tau_{r,TSR} = R_{R,TSR} + R_{D,TSR} \quad (45)$$

where  $R_{R,TSR}$  and  $R_{D,TSR}$  can be obtained from (45) and (47), respectively.

#### 4.4. Energy efficiency

Similar to the derivation of the EE for the PSR protocol in CRNOMA system (see Section 3), the EE of the TSR protocol can be determined by

$$EE_{\phi,TSR} = \frac{2\tau_{\phi,TSR}}{\rho(1 + \psi_E\Omega_1)}, \quad (46)$$

where  $\phi \in (t, r)$ , denotes the system energy efficiency in DLT mode and DTT mode, respectively.

### 5. SIMULATION RESULTS

In this section, the Matlab software is utilized to simulate the system model scenarios for verifying provided results and confirming our analytical expressions contained in the preceding sections. Without loss of generality, in our model, the simulation parameters are assumed and chosen as follows: the distance between  $S$  and  $D$  is normalized to unity, i.e.  $\Omega_{SD} = 1, \Omega_{SR} = d^{-m}$  and  $\Omega_{RD} = (1 - d)^{-m}$ , where  $d$  is the normalized distance between the  $S$  and  $R$ , with  $d = 0.3$  and  $m$  is pathloss exponent, with  $m = 2$ . The power allocation coefficients of CRNOMA are set  $a_1 = 0.2$  and  $a_2 = 0.8$  for  $R$  and  $D$ , respectively. The target rates of  $R_1$  and  $R_2$  are 3 and 0.5 bps/Hz, respectively.

In the simulation, the performance of the traditional OMA is used as a counterpart for comparison. Specifically, in the OMA scheme, during the first time slot of the time block,  $S$  sends the information  $x_1$  to user relay  $R$  and then (i.e. the second time slot) sends  $x_2$  to  $R$ . Finally, during the third time slot of the time block,  $R$  decodes and forwards the information  $x_2$  to  $D$ . In addition, [30] is utilized as a benchmark for the comparison of the outage probability. In [30], the source transmits a signal  $x_1$  to relay and destination nodes in the first time slot. At the same time, the relay also performs energy harvesting from the received signal. Then, the source transmits another signal  $x_2$  to the destination node and  $R$  also forward the signal  $x_1$  to this destination node in the second time slot.

The outage performance and ergodic rate of both protocols are first analysed to realize the impacts of energy harvesting time, energy harvesting efficiency, power splitting ratio, source data rate, and the distance between the source and relay nodes.

Specifically, Figs 4(a)-(c) and 5(a)-(c) illustrate the outage probability of two users for the PSR and TSR protocols versus  $SNR$ ,  $\beta$  and  $\alpha$ , respectively. It can be observed that User 2 achieves a lower outage probability than that of User 1 in the

CRNOMA scheme as well as in the OMA scheme. Also, the outage probability of two users in the CRNOMA scheme is shown to be lower than those in the OMA scheme.

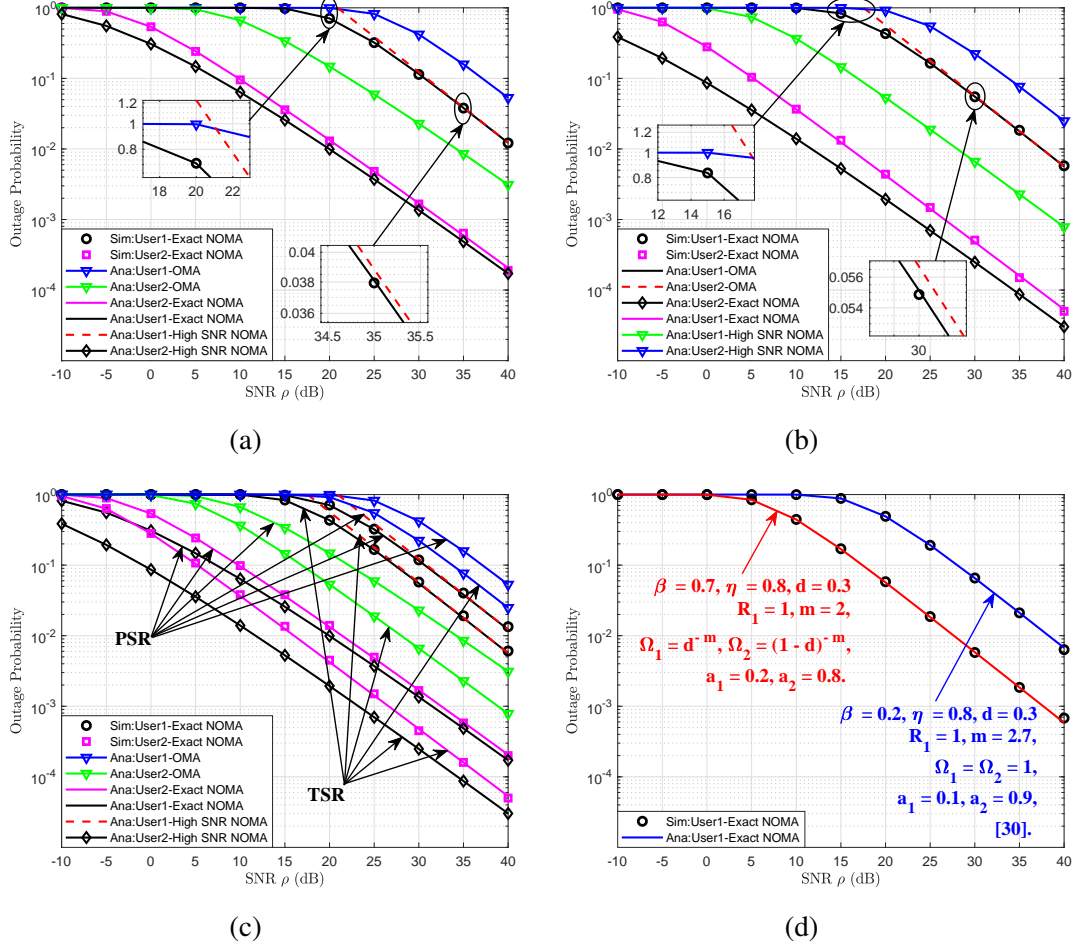


Figure 4: Outage probability versus transmitting SNR for (a) PSR protocol, (b) T-SR protocol, (c) PSR and TSR protocols and d) Comparison of outage probability between this work and [30].

More specifically, in Figs 4(a)-(c) with  $\beta = 0.7$ ,  $\alpha = 0.7$ ,  $\eta = 0.8$ ,  $d = 0.3$ ,  $m = 2$ ,  $a_1 = 0.2$ ,  $a_2 = 0.8$ ,  $a_{1\_OMA} = 0.5$  and  $a_{2\_OMA} = 0.5$ , the outage probabilities of the PSR and TSR protocols are as a function of SNR (dB). From the figures, the probabilities of User1-exact and User1-High of PSR protocol are significantly

higher than that of the TSR protocol. When SNR increases, the probability of PSR and TSR protocols tends to decrease linearly. It means that as the signal is stronger than noise, the successfully sent data will be higher. Furthermore, figure 4(d) describes the comparison in terms of outage probability for User1-exact of CRNOMA scheme between our work and the work of [30]. The figure shows that the protocols for our work obtain a lower outage probability than that for the work of [30]. It can be concluded that the higher the target rate, the higher the dropped data. In general, the protocols in our work are better than that in the work of [30].

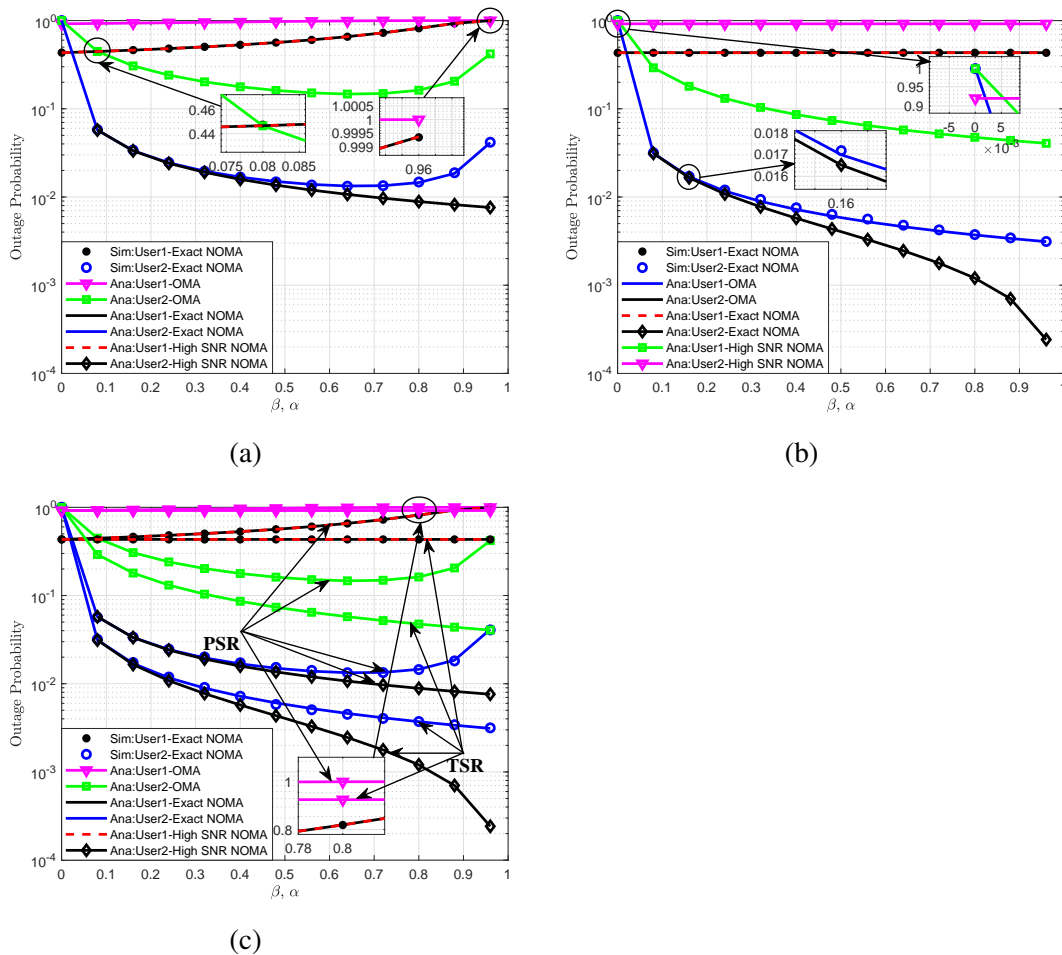


Figure 5: Outage probability versus the transmitting energy harvesting coefficients for (a) PSR protocol, (b) TSR protocol and (c) PSR and TSR protocols.

Figure 5 plots the outage probability of two users for the PSR and TSR protocols versus  $\alpha$  and  $\beta$ . The  $\alpha$  and  $\beta$  values vary from 0 to 1. As shown in the figure, the outage probability of User 2 is lower than that of User 1 for the both PSR and TSR protocols. Also, the outage probability of both users for TSR protocol is lower than the one for PSR protocol. In  $\alpha$  range of from 0 to 0.3, the outage probability of User 2 for both CRNOMA and OMA decreases strongly but the one of User 1 increases insignificantly. Similarly, in  $\alpha$  range of from 0.3 to around 0.7, the outage probability of User 2 decreases gradually while the one of User 1 increases linearly. However, in remaining  $\alpha$  range, the outage probability of User 2 for PSR based CRNOMA and OMA schemes tends to increase while the one for TSR based CRNOMA and OMA schemes still decreases gradually. These can be explained based on (22), (26), (40) and (41). In general, one can see clearly that the outage probability of the system can obtain well as  $\alpha$  and  $\beta$  values are in range of from 0.3 to 0.7.

Figures 6(a)-(c) and 7(a)-(c) describe the throughput and ergodic rate of two users for the PSR and TSR protocols as a function of the  $\beta$  ( $\beta=\alpha$ ), where  $\beta$  on the x-axis is set from 0.001 to 1 with 0.08 step. Specifically, it can be seen in Figs 6(a)-(c) that the throughput of User 1 is much higher than that of User 2 in the CRNOMA scheme. This is due to the fact that  $R$  receives both  $x_1$  and  $x_2$  signals while  $D$  receives only  $x_2$  in the DLT mode. One can observe from the figure that throughput of User 1 for TSR is almost constant while that for PSR decreases significantly when  $\beta$  increases. This demonstrates that the throughput of User 2 for PSR depends on  $\beta$  but that for TSR is not effected by  $\beta$ . It can be explained based on (14). The graphs also show that the TSR protocol achieves a better throughput as compared to the PSR protocol. Moreover, the throughput for the CRNOMA is also better than that of the OMA. The exact theoretical curves of the throughput of two users for the CRNOMA are plotted according to (31), (43), respectively.

Similarly, Figs 7(a)-(c) show that the ergodic rate at User 1 is higher than that at User 2 in the CRNOMA scheme. The ergodic rate at User 1 is the highest in the CRNOMA scheme, while the one at User 2 is the lowest in the OMA scheme. This means that the ergodic rate at  $R$  used to detect  $x_1$  and  $x_2$  in Eqs. (32), (33), (44), (45) is higher than the minimum value of at  $R$  used to detect  $x_2$  and at  $D$  used to detect  $x_2$  in Eqs. (34), (35), (46), (47), respectively. Compared between TSR and PSR protocols, the ergodic rate of both users for TSR is superior to that for PSR. Similar to the throughput, the ergodic rate for TSR is almost constant while that for PSR varies with  $\beta$ . The exact theoretical curves of the ergodic rate of two users for the CRNOMA are described according to equations (32)-(35) and

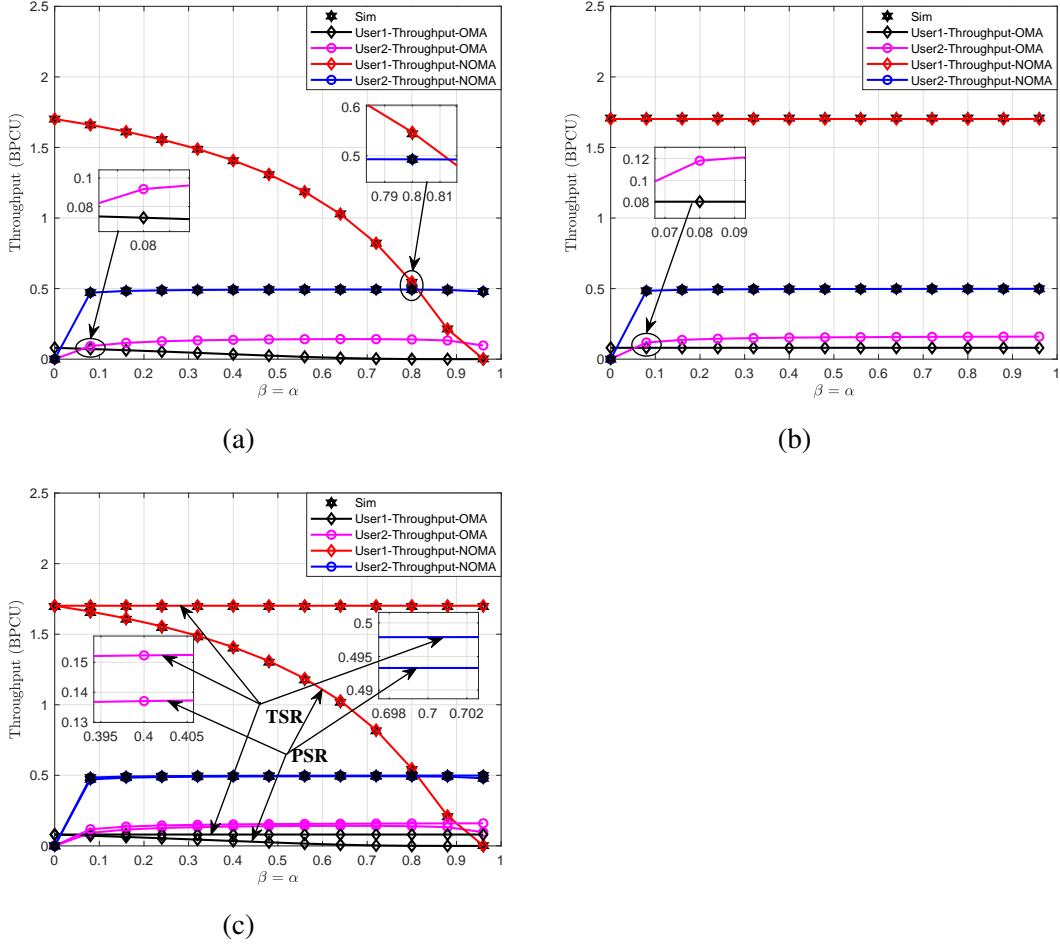


Figure 6: The throughput of two users versus  $\beta = \alpha$  for (a) PSR protocol, (b) TSR protocol and (c) PSR and TSR protocols.

(44)-(47), respectively.

Figures 8(a)-(c) plots the energy efficiency of two users for the PSR and TSR protocols as a function of SNR (dB). It can be seen that the EE performance for the DLT mode is lower than that for the DTT mode. Thus, the NOMA outperforms the EE performance as compared to the conventional OMA in low SNR region ( $< 10(dB)$ ). The reason is that the CRNOMA can achieve a larger throughput and ergodic rate than that of the OMA. The exact theoretical curves of the ergodic rate of two users for the CRNOMA are plotted according to (39) and (51). One

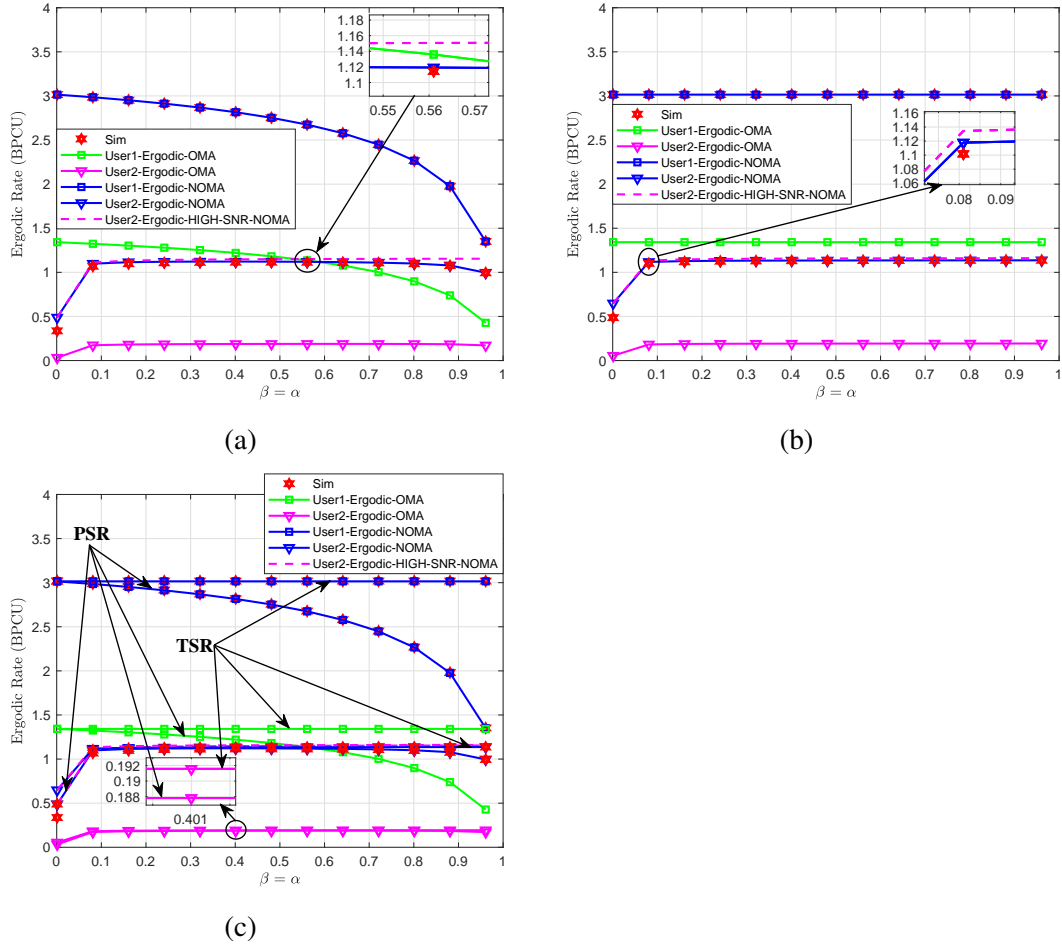


Figure 7: The ergodic rate of two users versus  $\beta = \alpha$  for (a) PSR protocol, (b) TSR protocol and (c) PSR and TSR protocols.

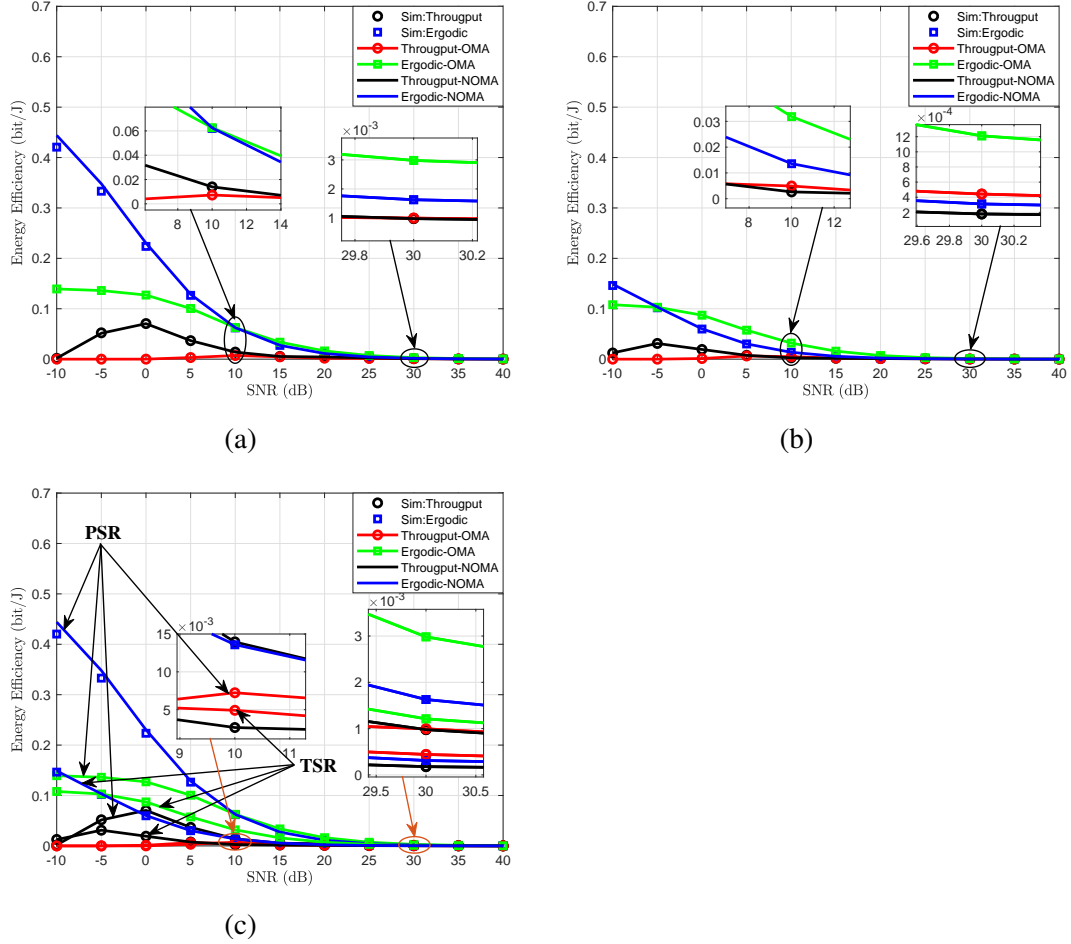


Figure 8: Energy efficiency of two users for (a) PSR protocol, (b) TSR protocol and (c) PSR and TSR protocols.

can observe that there is the occurrence of some inflection points in the figure. It can be explained that when the value of SNR is in lower range, the EE decreases rapidly. Again, the graph of EE varies towards gradually decreasing as SNR values are towards increasing according to (39) and (51). Thus, the existence of the inflection points in the figure is obvious. Moreover, from the figures 8(a)-(c) as well as in (39) and (51), they are shown that the EE versus throughput for DLT mode changes quickly and depends on  $(1/\exp)$  term in (31) and (43) with  $a_1 = 0.2$ ,  $a_2 = 0.8$ . The EE of the OMA system varies according to function  $F(1/\exp)$  with



$a_{1\_OMA} = 0.5$  and  $a_{2\_OMA} = 0.5$ . For explanation about the relationship between the EE and ergodic rate of the system, based on (38) and (43), it is noted that the EE of CRNOMA system decreases more and more according to  $1/(2\ln 2)$  term in (38) and (43) while the EE of OMA system varies slowly according to function  $F(1/(3\ln 2))$ . As a result, some intersection and inflection points exist among the curves in the figures. Additionally, compared to the TSR, the PSR protocol obtains a higher EE.

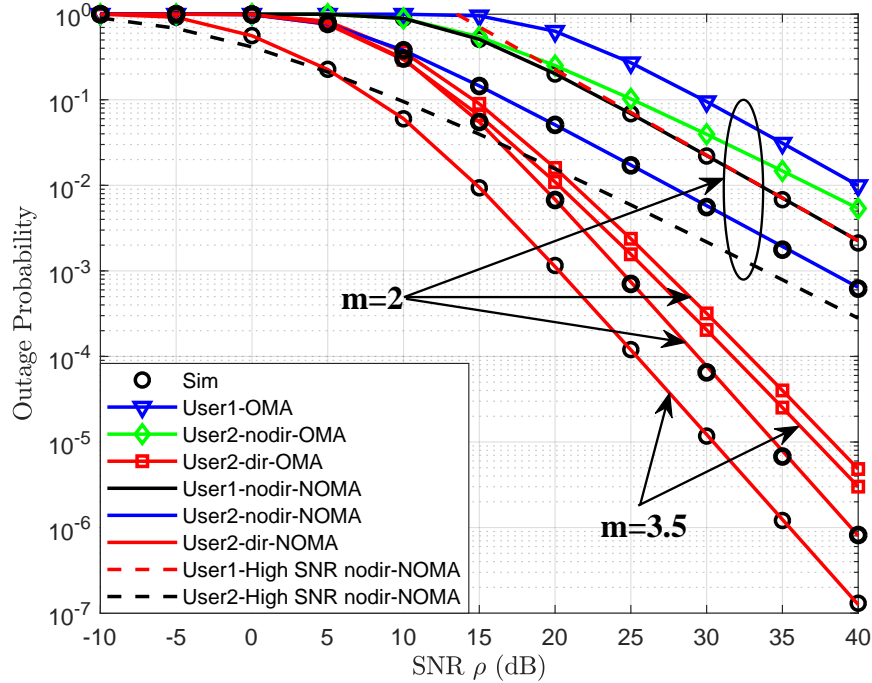


Figure 9: The outage probability versus  $SNR$  and different values of  $m$ .

Figure 9 plots the outage probability transmitting  $SNR$  according to different values of path loss factor  $m$ , i.e.  $m = 2$  and  $m = 3.5$ , in cases of relay and direct links, respectively. One see from figure that the outage probability of User 2 in case of direct link for NOMA is lowest among these curves for both OMA and NOMA as well as direct link and relay link. The outage probability in case of relay communications with no direct link is higher than that of the case with direct link for both NOMA and OMA.

It can be observed from the Fig. 10 that the larger the distance  $d$ , the higher the outage probability of two users with NOMA. This implies that the quality of propagation path of the system is weak more and more. The reason is that the path

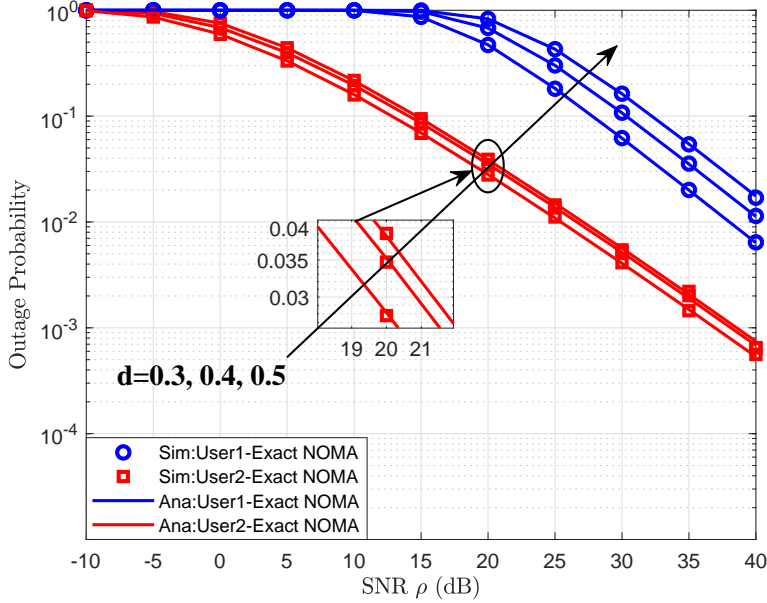


Figure 10: The outage probability versus  $SNR$  and different values of  $d$ .

loss of the users becomes larger.

The exact outage probability curves also match precisely with the Monte Carlo simulation results.

## 6. Conclusion

The DF relay based PSR and TSR protocols with DTT and DLT modes for EH and IP in wireless cooperative relaying networks have been studied in this paper. The close-form expressions of the outage probability, throughput, ergodic rate and EE for two users have derived. Furthermore, the expressions of the achievable throughput, ergodic sum rate and EE for the users of the PSR and TSR protocols for SWIPT have also obtained. Based on our analytic as well as simulation results, it has shown that the CRNOMA outperforms the EE performance as compared to the conventional OMA. Also, the performance for the TSR protocol is superior to that for the PSR protocol in the common  $SNR$  region.

## Conflicts of Interest

Authors declare there is no conflict of interest in this manuscript. This study was self-funded by the authors.

## Appendices

### 6.1. Appendix A - Proofs of Theorem 1 and Theorem 5

From (21), the outage probability at  $R$  can be calculated by

$$\begin{aligned}
 P_{R,X} &= 1 - Pr\left(\frac{\psi_I^X |h_1|^2 a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1} > \gamma_{h_2}, \psi_I^X |h_1|^2 a_1 \rho > \gamma_{h_1}\right) \\
 &= 1 - Pr(|h_1|^2 \geq \theta_{1,X}) \\
 &= 1 - \int_{\theta_{1,X}}^{\infty} f_{|h_1|^2}(x) dx
 \end{aligned} \tag{47}$$

Applying (1), Eq. (47) can be obtained as follows

$$\begin{aligned}
 P_{R,X} &= 1 - \int_{\theta_{1,X}}^{\infty} \frac{1}{\Omega_1} e^{-\frac{x}{\Omega_1}} dx \\
 &= 1 - e^{-\frac{\theta_{1,X}}{\Omega_1}}
 \end{aligned} \tag{48}$$

The proof is completed.

### 6.2. Appendix B - Proofs of Theorem 2 and Theorem 6

From (25), the expression can be obtained as follows

$$\begin{aligned}
 P_{D,X} &= \underbrace{Pr\left(|h_1|^2 < \tau_{1,X}\right)}_{J_2} + \\
 &\quad \underbrace{Pr\left(|h_1|^2 > \tau_{1,X}, |h_2|^2 < \frac{2\gamma_{h_2}}{|h_1|^2 \psi_E^X \rho}\right)}_{J_3}
 \end{aligned} \tag{49}$$

where  $J_2$  can be determined by

$$J_2 = \int_0^{\tau_{1,X}} f_{|h_1|^2}(x) dx = 1 - e^{-\frac{\tau_{1,X}}{\Omega_1}} \tag{50}$$

The calculation process of  $J_3$  is presented as

$$\begin{aligned}
J_3 &= \Pr\left(\frac{1}{2}|h_2|^2|h_1|^2\psi_E\rho < \gamma_{th_2}, \frac{|h_1|^2\psi_I a_2\rho}{\psi_I|h_1|^2 a_1\rho+1} > \gamma_{th_2}\right) \\
&= \begin{cases} \Pr\left(|h_2|^2 < \frac{2\gamma_{th_2}}{|h_1|^2\psi_E\rho}, |h_1|^2 > \frac{\gamma_{th_2}}{\psi_I\rho(a_2-a_1\gamma_{th_2})}\right), a_2 > a_1\gamma_{th_2} \\ 0, a_2 \leq a_1\gamma_{th_2} \end{cases} \\
J_3 &= \frac{\int_{\gamma_{th_2}}^{\infty} \int_0^{\frac{2\gamma_{th_2}}{x\psi_E\rho}} f_{|h_1|^2}(x)f_{|h_2|^2}(y)dx dy}{\psi_I\rho(a_2-a_1\gamma_{th_2})} = \int_{\frac{\gamma_{th_2}}{\tau_1}}^{\infty} \frac{1}{\Omega_1} \left[1 - \exp\left(\frac{-2\gamma_{th_2}}{x\psi_E\rho\Omega_2}\right)\right] \exp\left(\frac{-x}{\Omega_1}\right) dx.
\end{aligned} \tag{51}$$

By substituting (50) and (51) into (49), the theorem is proved.

### 6.3. Appendix C - Proofs of Theorem 3 and Theorem 7

Firstly, the proof of (28) and (40) is presented in this appendix. To obtain this closed-form expression, the ergodic rate at  $R$  for CRNOMA can be written as

$$\begin{aligned}
R_R^X &= \frac{1}{2}\mathbb{E}\left[\log_2\left(1 + \psi_I^X|h_1|^2 a_1\rho\right)\right] \\
&= \frac{1}{2\ln 2} \int_0^{\infty} \frac{1-F_Y(x)}{1+x} dx
\end{aligned} \tag{52}$$

The cumulative distribution function (CDF) of  $Y$  is calculated as follows

$$\begin{aligned}
F_Y(x) &= \Pr\left(|h_1|^2 < \frac{x}{\psi_I^X a_1\rho}\right) \\
&= \int_0^{\frac{x(\rho+1)}{\psi_I^X a_1\rho}} \frac{1}{\Omega_1} e^{-\frac{y}{\Omega_1}} dy \\
&= 1 - e^{-\frac{x}{\psi_I^X a_1\rho\Omega_1}}
\end{aligned} \tag{53}$$

By replacing (53) in (52), the ergodic rate at  $R$  can be derived as

$$R_R^X = \frac{1}{2} \frac{1}{\ln 2} \int_0^{\infty} \frac{1}{1+x} e^{-\frac{x}{\psi_I^X a_1\rho\Omega_1}} dx = \frac{-\exp\left(\frac{1}{\psi_I^X a_1\rho\Omega_1}\right)}{2\ln 2} Ei\left(\frac{-1}{\psi_I^X a_1\rho\Omega_1}\right) \tag{54}$$

The formulas of (28) and (40) can be derived. The proof is completed.

#### 6.4. Appendix D - Proofs of Theorem 4 and Theorem 8

In this appendix, the proof begins by giving the ergodic rate at  $D$  as follows

$$R_D^X = E \left[ \frac{1}{2} \log_2 \left( 1 + \underbrace{\min(\gamma_{2,R}, \gamma_{2,D})}_{J_1} \right) \right]$$

$$J_1 = \min \left( \underbrace{\frac{\psi_I^X |h_1|^2 a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1}, |h_2|^2 |h_1|^2 \psi_E^X \rho}_{Y} \right)$$

The CDF of  $Y$  is calculated as follows by

$$F_Y(x) = \Pr \left( \underbrace{\frac{\psi_I^X |h_1|^2 a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1} < \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho, \frac{\psi_I^X |h_1|^2 a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1} < x}_{I_3} \right) +$$

$$\Pr \left( \underbrace{\frac{\psi_I^X |h_1|^2 a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1} > \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho, \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho < x}_{I_4} \right) \quad (55)$$

$I_3$  and  $I_4$  are given by

$$I_3 = \Pr \left( \frac{2\psi_I^X a_2}{(\psi_I^X |h_1|^2 a_1 \rho + 1)\psi_E^X} < |h_2|^2, |h_1|^2 < \frac{x}{\psi_I^X \rho(a_2 - x a_1)}, \frac{a_2}{a_1} - x > 0 \right)$$

$$= U \left( \frac{a_2}{a_1} - x \right) \times \int_0^{\frac{x}{\psi_I^X \rho(a_2 - a_1 x)}} \frac{2\psi_I^X a_2}{(\psi_I^X y a_1 \rho + 1)\psi_E^X} f_{|h_1|^2}(y) f_{|h_2|^2}(z) dy dz$$

$$= U \left( \frac{a_2}{a_1} - x \right) \frac{\psi_I^X \rho(a_2 - a_1 x)}{\int_0^{\frac{x}{\psi_I^X \rho(a_2 - a_1 x)}} \exp \left( \frac{-2\psi_I^X a_2}{(\psi_I^X y a_1 \rho + 1)\psi_E^X \Omega_2} \right) \frac{1}{\Omega_1} \exp \left( \frac{-y}{\Omega_1} \right) dy}$$

$$= U \left( \frac{a_2}{a_1} - x \right) \int_0^{\frac{x}{\psi_I^X \rho(a_2 - a_1 x)}} \frac{1}{\Omega_1} e^{-\frac{2\psi_I^X a_2}{(\psi_I^X y a_1 \rho + 1)\psi_E^X \Omega_2} - \frac{y}{\Omega_1}} dy \quad (56)$$

$$\begin{aligned}
I_4 &= \Pr \left( \frac{|h_1|^2 \psi_I^X a_2 \rho}{\psi_I^X |h_1|^2 a_1 \rho + 1} > \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho, \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho < x \right) \\
&= \Pr \left( |h_2|^2 < \frac{2\psi_I^X a_2}{(\psi_I^X |h_1|^2 a_1 \rho + 1) \psi_E^X}, |h_2|^2 < \frac{2x}{|h_1|^2 \psi_E^X \rho}, \frac{a_2}{a_1} - x > 0 \right) \\
&= U \left( \frac{a_2}{a_1} - x \right) \Pr \left( |h_2|^2 < \frac{2\psi_I^X a_2}{(\psi_I^X |h_1|^2 a_1 \rho + 1) \psi_E^X}, |h_2|^2 < \frac{2x}{|h_1|^2 \psi_E^X \rho} \right) \\
&= U \left( \frac{a_2}{a_1} - x \right) \times \left[ \underbrace{\Pr \left( |h_1|^2 < \frac{x}{\psi_I^X \rho (a_2 - a_1 x)}, |h_2|^2 < \frac{2\psi_I^X a_2}{(\psi_I^X |h_1|^2 a_1 \rho + 1) \psi_E^X} \right)}_{I_{41}} + \right. \\
&\quad \left. \underbrace{\Pr \left( |h_1|^2 > \frac{x}{\psi_I^X \rho (a_2 - a_1 x)}, |h_2|^2 < \frac{2x}{|h_1|^2 \psi_E^X \rho} \right)}_{I_{42}} \right] \tag{57}
\end{aligned}$$

$I_{41}$  and  $I_{42}$  are calculated as follows

$$\begin{aligned}
I_{41} &= \int_0^\infty \int_0^{\frac{x}{\psi_I^X \rho (a_2 - a_1 x)}} \int_0^{\frac{2\psi_I^X a_2}{(\psi_I^X y a_1 \rho + 1) \psi_E^X}} f_{|h_1|^2}(y) f_{|h_2|^2}(z) dy dz \\
&= \int_0^{\frac{x}{\psi_I^X \rho (a_2 - a_1 x)}} \frac{1}{\Omega_1} \left( 1 - e^{-\frac{2\psi_I^X a_2}{(\psi_I^X y a_1 \rho + 1) \psi_E^X \Omega_2}} \right) e^{-\frac{y}{\Omega_1}} dy \tag{58}
\end{aligned}$$

And

$$\begin{aligned}
I_{42} &= \int_0^\infty \int_{\frac{x}{\psi_I^X \rho (a_2 - a_1 x)}}^{\frac{2x}{y \psi_E^X \rho}} f_{|h_1|^2}(y) f_{|h_2|^2}(z) dy dz \\
&= \int_0^\infty \frac{x}{\psi_I^X \rho (a_2 - a_1 x)} \frac{1}{\Omega_1} \left( 1 - e^{-\frac{2x}{y \rho \psi_E^X \Omega_2} - \frac{y}{\Omega_1}} \right) dy \tag{59}
\end{aligned}$$

where  $U(x)$  is unit step function as

$$U(x) = \begin{cases} 1, & x > 0 \\ 0, & x < 0 \end{cases}$$

From (58) and (59), (57) can be obtained. Substituting (57) and (56) into (55), the CDF of  $Y$  is given by

$$F_Y(x) = U\left(\frac{a_2}{a_1} - x\right) \left[ 1 - e^{-\frac{x}{\psi_I^X \rho (a_2 - a_1 x) \Omega_1}} + \int_{\frac{x}{\psi_I^X \rho (a_2 - a_1 x)}}^{\infty} \frac{1}{\Omega_1} \left( 1 - e^{-\frac{2x}{y \rho \psi_E^X \Omega_2}} \right) e^{-\frac{y}{\Omega_1}} dy \right] \quad (60)$$

By replacing (60) in (29) and (41), the expressions of (30) and (42) can be obtained.

The proof is completed.

### 6.5. Appendix E - Proofs of Remark 1 and Remark 2

The proof begins by giving the ergodic rate at  $D$  for the high region as follows

$$R_{D,X}^{\infty} = E \left[ \frac{1}{2} \log (1 + \min (\gamma_{2,R}, \gamma_{2,D})) \right] = \frac{1}{2 \ln 2} \int_0^{\infty} \frac{1 - F_Y(x)}{1+x} dx \quad (61)$$

$$I_5 = \underbrace{\min \left( \frac{a_2}{a_1}, \frac{1}{2} |h_2|^2 |h_1|^2 \psi_E^X \rho \right)}_Y$$

The CDF of  $Y$  is calculated as follows

$$\begin{aligned}
F_Y(x) &= \Pr\left(\frac{a_2}{a_1} < \frac{1}{2}|h_2|^2|h_1|^2\psi_E^X\rho, \frac{a_2}{a_1} < x\right) + \\
&\quad \Pr\left(\frac{a_2}{a_1} > \frac{1}{2}|h_2|^2|h_1|^2\psi_E^X\rho, \frac{1}{2}|h_2|^2|h_1|^2\psi_E^X\rho < y, \frac{a_2}{a_1} > x\right) \\
&= \Pr\left(\frac{a_2}{a_1} > \frac{1}{2}|h_2|^2|h_1|^2\psi_E^X\rho, \frac{1}{2}|h_2|^2|h_1|^2\psi_E^X\rho < y, \frac{a_2}{a_1} > x\right) \\
&= U\left(\frac{a_2}{a_1} - x\right) \Pr\left(|h_1|^2 < \frac{2x}{\psi_E^X\rho|h_2|^2}, |h_1|^2 < \frac{2a_2}{a_1\psi_E^X\rho|h_2|^2}\right) \\
&= U\left(\frac{a_2}{a_1} - x\right) \Pr\left(\frac{a_2}{a_1} > x, |h_1|^2 < \frac{2x}{\psi_E^X\rho|h_2|^2}\right) + \\
&\quad U\left(\frac{a_2}{a_1} - x\right) \Pr\left(\frac{a_2}{a_1} < x, |h_1|^2 < \frac{2a_2}{a_1\psi_E^X\rho|h_2|^2}\right) \tag{62} \\
&= U\left(\frac{a_2}{a_1} - x\right) \Pr\left(\frac{a_2}{a_1} > x, |h_1|^2 < \frac{2x}{\psi_E^X\rho|h_2|^2}\right) \\
&= U\left(\frac{a_2}{a_1} - x\right) \int_0^\infty \int_0^{\frac{2x}{\psi_E^X\rho y}} f_{|h_2|^2}(y) f_{|h_1|^2}(z) dy dz \\
&= U\left(\frac{a_2}{a_1} - x\right) \int_0^\infty \frac{1}{\Omega_2} \left(1 - e^{-\frac{2x}{\psi_E^X\rho\Omega_1 y}}\right) e^{-\frac{y}{\Omega_2}} dy \\
&= U\left(\frac{a_2}{a_1} - x\right) \left(1 - 2\sqrt{\frac{2x}{\psi_E^X\rho\Omega_1\Omega_2}} K_1\left(2\sqrt{\frac{2x}{\psi_E^X\rho\Omega_1\Omega_2}}\right)\right)
\end{aligned}$$

where  $U(x)$  is unit step function as

$$U(x) = \begin{cases} 1, & x > 0 \\ 0, & x < 0 \end{cases}$$

Substituting (62) into (61), the expression of  $R_{D,X}^\infty$  can be obtained. The proof is completed.



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