MIMO-OFDM for LTE, WIFI and WIMAX Coherent versus Non-Coherent and Cooperative Turbo-Transceivers

by

L. Hanzo, J. Akhtman, M. Jiang, L. Wang

UNIVERSITY OF SOUTHAMPTON

We dedicate this monograph to the numerous contributors of this field, many of whom are listed in the Author Index

The MIMO capacity theoretically increases linearly with the number of transmit antennas, provided that the number of receive antennas is equal to the number of transmit antennas. With the further proviso that the total transmit power is increased proportionately to the number of transmit antennas, a linear capacity increase is achieved upon increasing the transmit power. However, under realistic conditions the theoretical MIMO-OFDM performance erodes and hence to circumvent this degradation, our monograph is dedicated to the design of practical coherent, non-coherent and cooperative MIMO-OFDM turbo-transceivers...

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About the Authors



Lajos Hanzo (http://www-mobile.ecs.soton.ac.uk) FREng, FIEEE, FIET, DSc received his degree in electronics in 1976 and his doctorate in 1983. During his career he has held various research and academic posts in Hungary, Germany and the UK. Since 1986 he has been with the School of Electronics and Computer Science, University of Southampton, UK, where he holds the chair in telecommunications. He has co-authored 19 books on mobile radio communications totalling in excess of 10 000, published 844 research entries at IEEE Xplore, acted as TPC Chair of IEEE conferences, presented keynote lectures and been awarded a number of distinctions. Currently he is directing an academic research team, working on a range of research projects in the field of wireless multimedia communications sponsored by industry, the Engineering and Physical

Sciences Research Council (EPSRC) UK, the European IST Programme and the Mobile Virtual Centre of Excellence (VCE), UK. He is an enthusiastic supporter of industrial and academic liaison and he offers a range of industrial courses. He is also an IEEE Distinguished Lecturer as well as a Governor of both the IEEE ComSoc and the VTS. He is the acting Editor-in-Chief of the IEEE Press. For further information on research in progress and associated publications please refer to http://www-mobile.ecs.soton.ac.uk



Dr Yosef (Jos) Akhtman received a B.Sc. degree in Physics and Mathematics from the Hebrew University of Jerusalem, Israel in June 2000 and the Ph.D. degree in Electronics Engineering from the University of Southampton in July 2007. He was awarded a full Ph.D. studentship in the University of Southampton as well as an Outstanding Contribution Award for his work as part of the Core 3 research programme of the Mobile Virtual Centre of Excellence in Mobile Communications (MobileVCE). He has also received a BAE Prize for Innovation in Autonomy for his contribution to the Southampton Autonomous Underwater Vehicle (SotonAUV) project. Between January 2007 and Dec. 2009 he conducted research as a senior research fellow in the 5* School Computer Science at Southampton University.

of Electronics and Computer Science at Southampton University.



Dr. Ming Jiang (S'04-M'09) received B.Eng. and M.Eng. degrees in Electronics Engineering in 1999 and 2002 from South China University of Technology (SCUT), China, and Ph.D. degree in Telecommunications in 2006 from University of Southampton, UK, respectively. From 2002 to 2005, he was involved in the Core 3 research project of Mobile Virtual Centre of Excellence (VCE), UK on air-interface algorithms for MIMO OFDM systems. Since April 2006, Dr. Jiang has been with Advanced Technology, Standards and Regulation (ATSR) of Samsung Electronics Research Institute (SERI), UK, working on the European FP6 WINNER project as well as internal projects on advanced wireless communication systems. His research interests fall in the general area of wireless communications, including multi-user detection, channel estimation, space-time

processing, heuristic and adaptive optimization, frequency-hopping, MIMO OFDM and OFDMA systems, etc. Dr. Jiang has co-authored one IEEE Press book chapter, 6 IEE/IEEE journal papers, and 8 IEE/IEEE conference papers. Recently he returned to his native country China and had been working for Nortel.

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researcher.

Li Wang received his BEng degree with distinction in information engineering from Chengdu University of Technology (CDUT), Chengdu, P. R. China, in 2005 and his MSc degree (with distinction) in radio frequency communication systems from University of Southampton, Southampton, UK, in 2006. Between October 2006 and January 2010 he was a PhD student in the Communication Group, School of Electronics and Computer Science, University of Southampton, UK, and participated in the Delivery Efficiency Core Research Program of the Virtual Centre of Excellence in Mobile and Personal Communications (Mobile VCE). His research interests include space-time coding, channel coding, multi-user detection for future wireless networks. Upon the completion of his PhD in January 2010 he joined the Communications Group as a postdoctoral

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¹For detailed contents and sample chapters please refer to http://www-mobile.ecs.soton.ac.uk

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Lajos Hanzo, Jos Akhtman, Ming Jiang and Li Wang School of Electronics and Computer Science University of Southampton, UK

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Preface

The rationale and structure of this volume is centred around the following 'story-line'. The conception of *parallel transmission of data* over dispersive channels dates back to the seminal paper of Doelz *et al.* published in 1957, leading to the OFDM philosophy, which has found its way into virtually all recent wireless systems, such as the WiFi, WiMax, LTE and DVB as well as DAB broadcast standards. Although *MIMO techniques* are significantly 'younger' than OFDM, they *also reached a state of maturity* and hence the family of recent wireless standards includes the optional employment of MIMO techniques, which motivates the joint study of OFDM and MIMO techniques in this volume.

The research of MIMO arrangements was motivated by the observation that the MIMO capacity increases linearly with the number of transmit antennas, provided that the number of receive antennas is equal to the number of transmit antennas. With the further proviso that the total transmit power is increased proportionately to the number of transmit antennas, a linear capacity increase is achieved upon increasing the transmit power. This is beneficial, since according to the classic Shannon-Hartley law the achievable channel capacity increases only logarithmically with the transmit power. Hence MIMO-OFDM may be considered a 'green' transceiver solution.

Therefore this volume sets out to explore the recent research advances in MIMO-OFDM techniques as well as their limitations. The basic types of multiple antenna-aided OFDM systems are classified and their benefits are characterised. Spatial Division Multiple Access (SDMA), Spatial Division Multiplexing (SDM) and space-time coding MIMOs are addressed. We also argue that *under realistic propagation conditions*, when for example the signals associated with the MIMO elements become correlated owing to shadow fading, *the predicted performance gains may substantially erode*. Furthermore, owing to the limited dimensions of shirt-pocket-sized handsets, the employment of multiple antenna elements at the mobile station is impractical.

Hence in practical terms only the family of distributed MIMO elements, which relies on the cooperation of potentially single-element mobile stations is capable of eliminating the correlation of the signals impinging on the MIMO elements, as it will be discussed in the book. The topic of *cooperative wireless communications* cast in the context of distributed MIMOs has recently attracted substantial research interests, but nonetheless, it *has numerous open problems, before all the idealized simplifying assumptions currently invoked in the literatue are eliminated*.

On a more technical note, we aim for achieving a near-capacity MIMO-OFDM performance, which requires sophisticated designs, as detailed below:

- A high throughput may be achieved with the aid of a high number of MIMO elements, but this is attained at a *potentially high complexity, which exponentially increases as a function of both the number of MIMO elements as well as that of the number of bits per symbol*, when using a full-search based Maximum Likelihood (ML) multi-stream/multi-user detector.
- In order to approach the above-mentioned near-capacity performance, whilst circumventing the problem of an exponentially increasing complexity, we design radical multi-stream/multi-user detectors, which 'capture' the ML solution with a high probability at a fraction of the ML-complexity.
- This ambitious design goal is achieved with the aid of sophisticated *soft-decision-based Genetic Algorithm* (GA) *assisted MUDs or new sphere detectors, which are capable of operating in the high-importance rank-deficient scenarios,* when the number of transmit antennas may be as high as twice the number of receiver antennas.
- The achievable gain of space-time codes is further improved with the aid of *sphere-packing modulation, which allows us to design the space-time symbols of multiple transmit antennas jointly*, whilst previous designs made no effort to do so. Naturally, this joint design no longer facilitates low-complexity single-stream detection, but our sphere-decoders allow us to circumvent this increased detection complexity.
- Sophisticated *joint coding and modulation schemes* are used, which accommodate the parity bits of the channel codec without bandwidth extension, simply by extending the modulation alphabet.

- Estimating the MIMO channel for a high number of transmit and receive antennas becomes extremely challenging, since we have to estimate $N_t \cdot N_r$ channels, although in reality we are only interested in the data symbols, but not the channel. *This problem becomes even more grave in the context of the above-mentioned rank-deficient scenarios, since we have to estimate more channels, than the number of received streams.* Finally, the pilot overhead imposed by estimating $N_t \cdot N_r$ channels might become prohibitive, which erodes the attainable throughput gains.
- In order to tackle the above-mentioned challenging channel estimation problem, we designed *new iterative joint channel estimation and data detection techniques*. More explicitly, provided that a powerful MIMO MUD, such as the above-mentioned GA-aided or sphere-decoding based MUD is available for delivering a sufficiently reliable first data estimate, the power of decision-directed channel estimation may be invoked, which exploits that after a first tentative data decision in the absence of decision errors the receiver effectively knows the transmitted signal and hence may now exploit the presence of 100% pilot information for generating a more accurate channel estimate. Again, this design philosophy is detailed in the book in great depth in the context of joint iterative channel estimation and data detection.
- Although the number of studies/papers on cooperative communications increased exponentially over the past few years, most *investigations stipulate the simplifying assumption of having access to perfect channel informa-tion* despite the fact that as detailed under the previous bullet-point, this is an extremely challenging task even for co-located MIMO elements.
- Hence it is necessary to design new non-coherently detected cooperative systems, which can dispense with the requirement of channel estimation, despite the typical 3 dB performance loss of differential detection. It is demonstrated in the book that *the low-complexity non-coherent detector's potential performance penalty can in fact be recovered with the aid of jointly detecting a number of consecutive symbols with the aid of the so-called multiple-symbol differential detector*, although this is achieved at the cost of an increased complexity.
- *Hence the proposed sphere-detector may be invoked again, but now as a reduced-complexity multiple-symbol differential detector.*
- The above-mentioned cooperative systems require *specifically designed resource allocation*, including the choice of the relaying protocols, the selection of the cooperating partners and the power-control techniques.
- It is demonstrated that when the available relaying partners are roaming close to the source, decode-and-forward (DF) is the best cooperating protocol, which avoids potential error-precipitation. By contrast, in case the cooperating partners roam closer to the destination, then the amplify-and-forward (AF) protocol is preferred for the same reasons. *These complementary features suggest the emergence of a hybrid DF/AF protocol*, which is controlled with the aid of our novel resource-allocation techniques.
- The book is concluded by outlining a variety of promising future research directions.

Our intention with the book is:

- 1. First, to pay tribute to all researchers, colleagues and valued friends, who contributed to the field. Hence this book is dedicated to them, since without their quest for better MIMO-OFDM solutions this monograph could not have been conceived. They are too numerous to name here, hence they appear in the author index of the book. Our hope is that the conception of this monograph on the topic will provide an adequate portrayal of the community's research and will further fuel this innovation process.
- 2. We expect to stimulate further research by exposing open research problems and by collating a range of practical problems and design issues for the practitioners. The coherent further efforts of the wireless research community is expected to lead to the solution of the range of outstanding problems, ultimately providing us with flexible coherent- and non-coherent detection aided as well as cooperative MIMO-OFDM wireless transceivers exhibiting a performance close to information theoretical limits.

List of Symbols

$(\cdot)[n,k]$	The indices indicating the k^{th} subcarrier of the n^{th} OFDM symbol
$(\cdot)^T$	The transposition operation
(\cdot) H	Hermitian transpose
$(\cdot)^{*}$	Complex conjugate
3	The imaginary component of a complex number
R	The real component of a complex number
$\mathcal{T}\{.\}$	Imaginary part of a complex value
\mathcal{I}	Mutual information sort
π	The ratio of the circumference of a circle to the diameter
$\mathcal{R}\left\{\cdot\right\}$	Real part of a complex value
$exp(\cdot)$	The exponential operation
5.P()	
$\mathbf{A}^{(l)}$	The remaining user set for the l^{th} iteration of the subcarrier-to-user assignment process
A^{T}	Matrix/vector transpose
A^{H}	Matrix/vector hermitian adjoint, <i>i.e.</i> complex conjugate transpose
A^*	Matrix/vector/scalar complex conjugate
A^{-1}	Matrix inverse
A^+	Moore-Penrose pseudoinverse
tr(A)	Trace of matrix, <i>i.e.</i> the sum of its diagonal elements
α _p	The user load of an L-user and P-receiver conventional SDMA system
P	
B _T	The overall system throughput in bits per OFDM symbol
$(i_{ce}, i_{det}, i_{dec})$	Number of (channel estimation, detection, decoding) iterations
E_b	Energy per transmitted bit
E_s	Energy per transmitted M-QAM symbol
L_f	Number of data-frames per transmission burst
Ň _d	Number of data SDM-OFDM symbols per data-frame
N_p	Number of pilot SDM-OFDM symbols in burst preamble
T	OFDM symbol duration
T_s	OFDM FFT frame duration
f _D	Maximum Doppler frequency
Κ	Number of OFDM subcarriers
В	Signal bandwidth
β	RLS CIR tap prediction filter forgetting factor
\mathcal{C}	Uncostrained capacity
$f_{\rm c}$	Carrier frequency
η	PASTD aided CIR tap tracking filter forgetting factor
γ	OHRSA search resolution parameter
mt	Number of receive antennas
n _r	Number of transmit antennas
ν_{τ}	OFDM-symbol-normalized PDP tap drift rate
ρ	OHRSA search radius factor parameter

$ au_{ m rms}$	RMS delay spread
ε	Pilot overhead
ζ	MIMO-CTF RLS tracking filter forgetting factor
b_{l,m_B}	The $(m_B)^{th}$ bit of the l^{th} user's transmitted symbol
r	Size of the transmitted bit-wise signal vector t
$\hat{b}_{s}^{(l)}[n,k]$	The l^{th} user's detected soft bit
$\mathbf{\hat{b}}_{s}^{(l)}$	The detected soft bit block of the l^{th} user
$\mathbf{b}^{(l)}$	The information bit block of the l^{th} user
$\mathbf{b}_{s}^{(l)}$	The coded bit block of the l^{th} user
С	The complex space
$\mathbb{C}^{(x \times y)}$	The $(x \times y)$ -dimensional complex space
$\mathbf{CC}(n,k,K)$	Convolutional codes with the number of input bits k , the number of coded bits n and
	the constraint length K
Ι	Identity matrix
${\cal H}$	Hadamard matrix
\mathcal{L}	Log Likelihood Ratio value
\mathcal{M}	Set of <i>M</i> -PSK/ <i>M</i> -QAM constellation phasors
$c_{g_l}(t)$	The DSS signature sequence assigned to the l^{th} user and associated with the g^{th} DSS
	group
$\bar{\mathbf{c}}_{Gq}$	The $(1 \times L_q)$ -dimensional DSS code vector
$\mathbf{\check{c}}_{Gq}$	The $(G_q \times 1)$ -dimensional DSS code vector
cg	The spreading code sequence associated with the g^{th} DSS group
c	The user signature vector
$\mathbf{c}^{(l)}$	the l^{th} user's code sequence
\mathbf{c}_{g_1}	The DSS code vector for the l^{th} user in the g^{th} DSS group
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š	A priori signal vector estimate
ŝ	A posteriori signal vector estimate
Ŷ	Unconstrained a posteriori signal vector estimate
Н	Subcarrier-related MIMO CTF matrix
d	Transmitted bit-wise signal
S	Transmitted subcarrier-related SDM signal
t	Transmitted subcarrier-related bit-wise SDM signal
у	Received subcarrier-related SDM signal
W ~	Gaussian noise sample vector
s	Solt-information aided signal vector estimate
$\Delta_{p,(y,x)}^{(r)}[n,k]$	The random step size for the $(p, l)^{th}$ channel gene during step mutation associated with the x^{th} individual of the u^{th} generation
	the x mervicual of the y generation
ϵ	The pilot overhead
E_	The OEDM symbol normalized Dopplar frequency
	Covariance of two random variables
$Var\{\cdot\}$	Variance of a random variable
τα [] Ε {·}	Expectation of a random variable
$Ei\{\cdot\}$	Exponential integral
$JacLog(\cdot)$	Jacobian logorithm
κ	Channel estimation efficiency criteria
$\ \cdot\ _2$	Second order norm
$P\left\{\cdot\right\}$	Probability density function
$rms{\cdot}$	Root mean square value
f'_d	Normalized Doppler frequency
f_c	Carrier frequency
f_d	Maximum Doppler frequency
f_q	Carrier frequency associated with the q^{th} sub-band

$f_{(y,x)}$	The fitness value associated with the x^{th} individual of the y^{th} generation
$G \\ G_q \\ \Gamma_\tau(t)$	The number of DSS user groups in a DSS/SSCH system The total number of different DSS codes used by the users activating the q^{th} subcarrier The rectangular pulse within the duration of $[0, \tau)$
$ \begin{array}{c} H_p^{(l)} \\ H_{p,q}^{(l)} \end{array} $	The FD-CHTF associated with the l^{th} user and the p^{th} receiver antenna element The FD-CHTF associated with the specific link between the l^{th} user and the p^{th} receiver at the a^{th} subcarrier
$H_p^{(l)}[n,k]$	The true FD-CHTF associated with the channel link between the l^{th} user and the p^{th} receiver
$\hat{H}_{p}^{(l)}[n,k]$	The improved <i>a postepriori</i> FD-CHTF estimate associated with the channel link be- tween the l^{th} user and the p^{th} receiver The FD-CHTE matrix
$\mathbf{H}^{(l)}$	The FD-CHTF vector associated with the l^{th} user
$\mathbf{H}_{g,q}^{(l)}$	The $(P \times 1)$ -dimensional FD-CHTF vector associated with the transmission paths be- tween the l^{th} user's transmitter antenna and each element of the <i>P</i> -element receiver antenna array, corresponding to the g^{th} DSS group at the q^{th} subcarrier
\mathbf{H}_{p} $\mathbf{H}_{g,q}$	The p^{th} row of the FD-CHTF matrix H The $(P \times l_g)$ -dimensional FD-CHTF matrix associated with the g^{th} DSS group at the a^{th} subcarrier
$\mathbf{H}_{p,g,q}$	The p^{th} row of the FD-CHTF matrix $\mathbf{H}_{g,q}$ associated with the g^{th} DSS group at the q^{th} subcarrier
$\mathbf{H}_p[n,k]$	The initial FD-CHTF estimate matrix associated with all the channel links between each user and the p^{th} receiver
$\mathbf{\bar{H}}_{p,q}$	The L_q users' $(L_q \times L_q)$ -dimensional diagonal FD-CHTF matrix associated with the q^{th} subcarrier at the p^{th} receiver
$\mathbf{\bar{H}}_{p}[n,k]$	The diagonal FD-CHTF matrix associated with all the channel links between each user and the p^{th} receiver
$\mathbf{\tilde{H}}_{(y,x)}[n,k]$	The trial FD-CHTF matrix of the GA-JCEMUD The FD-CHTF chromosome of the GA-JCEMUD individual associated with the x^{th} individual of the y^{th} generation
$\tilde{H}_{p,(y,x)}^{(l)}[n,k]$	The $(p, l)^{th}$ channel gene of the GA-JCEMUD FD-CHTF chromosome associated with the x^{th} individual of the y^{th} generation
$\tilde{H}_p^{(l)}[0,k]$	The initial FD-CHTF estimate associated with the channel link between the l^{th} user and the p^{th} receiver at the k^{th} subcarrier in the first OFDM symbol duration
$\tilde{h}_p^{(l)}[n,k]$	The initial estimate of the CIR-related taps associated with the channel link between the l^{th} user and the p^{th} receiver
Ι	Identity matrix
<i>K</i> ₀	The range of CIR-related taps to be retained
$L L_{q} L_{l,m_{B}} \Lambda_{q}^{(l)}(t) l_{g} \lambda_{max}$	Number of simultaneous mobile users supported in a SDMA system The number of users that activate the q^{th} subcarrier The LLR associated with the $(m_B)^{th}$ bit position of the l^{th} user's transmitted symbol The subcarrier activation function The number of users in the g^{th} DSS group The maximum mutation step size of the step mutation
$M_{ extbf{wht}} \ \mathcal{M}^L_{l,m_B,b}$	The WHT block size The set consisting of 2^{mL} number of $(L \times 1)$ -dimensional trial vectors The specific subset associated with the l^{th} user, which is constituted by those specific trial vectors, whose l^{th} element's $(m_B)^{th}$ bit has a value of b

\mathcal{M}_{c}	The set containing the 2^m number of legitimate complex constellation points associated
Шр	The bit position of a constellation symbol
MSE	The average FD-CHTF estimation MSE
$\overline{\text{MSE}}[n]$	The average FD-CHTF estimation MSE associated with the n^{th} OFDM symbol
N_T	The total number of OFDM symbols transmitted
$n_p(t)$	The AWGN at the p^{th} receiver
n _{p,q}	The noise signal associated with the q^m subcarrier at the p^m receiver The $(C \to \chi^{-1})$ dimensional effective noise vector essection with the s^{th} subcarrier of
п _{р,q}	The $(G_q \times 1)$ -dimensional effective noise vector associated with the q subcarrier at the n^{th} receiver
n	Noise signal vector
$\omega_{_{ii}}$	The cross-correlation coefficient of the i^{th} DSS group's and the j^{th} DSS group's signa-
.,	ture sequence
$\Omega(\cdot)$	The GA's joint objective function for all antennas
$\Omega_{g,q}(\cdot)$	The GA's joint objective function for all antennas associated with the g^{tn} DSS group at the q^{th} subcarrier
$\Omega_{p,g,q}(\cdot)$	The GA's objective function associated with the g^{th} DSS group of the p^{th} antenna at the a^{th} subcarrier
$\Omega_p(\cdot)$	The GA's objective function associated with the p^{th} antenna
$\Omega_{y,T}$	The maximum GA objective score generated by evaluating the T individuals in the mating pool
Р	Number of receiver antenna elements employed by the BS in SDMA systems
P_T	Transmitted signal power
$\tilde{p}_{mt}^{(ij)}$	The normalized mutation-induced transition probability
$p_{mt}^{(ij)}$	The 1D transition probability of mutating from a 1D symbol s_{Ri} to another 1D symbol
(;;;)	s _{Rj}
$p_{mt}^{(n)}$	The original legitimate constellation symbol's probability of remaining unchanged
$p_{mt}^{(lf)}$	The mutation-induced transition probability, which quantifies the probability of the i^{th}
n	The mutation probability which denotes the probability of how likely it is that a gene
Pm	will mutate
$\Phi(\cdot)$	The cost function of the OHRSA MUD
$\Phi_i(\cdot)$	The cumulative sub-cost function of the OHRSA MUD at the i^{th} recursive step
$\varphi^{(l)}$	The l^{th} user's phase angle introduced by carrier modulation
$\phi(\cdot)$	The sub-cost function of the OHRSA MUD
Q(x)	The Q-function
\mathbf{Q}_L	The L-order full permutation set
Q_c	The number of available subcarriers in conventional or SSCH systems
Q_f	The number of available sub-bands in SFH systems
Q_g	The subcarrier vector generated for the k^{th} subcarrier group
$\mathfrak{q}^{(l)}$	The USSCH pattern set of the l^{th} user
R	Code rate
R _n Ē	The $(P \times P)$ -dimensional covariance matrix
\mathbf{K}_{Gq}	The $(G_q \times L_q)$ -dimensional cross-correlation matrix of the L_q users' DSS code sequences
$r_p(t)$	The received signal at the p^{th} receiver
r _{p,q}	The discrete signal received at the q^{th} subcarrier of the p^{th} receiver during an OFDM
x (1)	symbol duration The deepend eigend of the a^{th} DSS error at the a^{th} reading the second eigend of the a^{th} DSS error at the a^{th} reading the second eigendest of the second eigendest
$x_{p,g}(t)$	The despread signal of the g^{m} DSS group at the p^{m} receiver

$\hat{s}_i^{(l)}$	The <i>i</i> th constellation point of \mathcal{M}_c as well as a possible gene symbol for the <i>l</i> th user
$s_{g_l,q}^{\prime(l)}(t)$	The transmitted signal at the q^{th} subcarrier associated with the l^{th} user in the g^{th} DSS
$c^{(l)}$	group
$s^{(l)}$	The information signal of the t^{th} subcarries are sized with the t^{th} uses in the t^{th} DSS.
$s_{g_l,q}(t)$	The information signal at the q^{m} subcarrier associated with the t^{m} user in the g^{m} DSS group
S _{Ri}	The i^{th} 1D constellation symbol in the context of real axis
$\bar{\mathbf{s}}_q$	The L_q users' $(L_q \times 1)$ -dimensional information signal vector
š	The candidate trial vector
$\mathbf{\check{s}}_i$	The sub-vector of $\mathbf{\check{s}}$ at the i^{th} OHRSA recursive step
$\mathbf{\hat{s}}^{(l)}$	The <i>l</i> th user's estimated information symbol block of the FFT length
$\mathbf{\hat{S}}_{\mathbf{W}}^{(l)}$	The estimated <i>lth</i> user's WHT-despreading signal block
$\hat{\mathbf{s}}_{\mathbf{w},0}^{(r)}$	The estimated <i>l^{trt}</i> user's WHT-despread signal block
S _{GA}	The estimated transmitted symbol vector detected by the GA MUD The GA based estimated $(1, \times, 1)$ dimensional signal vector associated with the a^{th}
$\mathbf{S}_{\mathbf{GA}_{g,q}}$	The GA-based estimated $(l_g \times 1)$ -dimensional signal vector associated with the g
Ŝmmse .	The MMSE-based estimated $(l_{\alpha} \times 1)$ -dimensional signal vector associated with the
- MINISEg,q	g^{th} DSS group at the q^{th} subcarrier
$\tilde{\mathbf{s}}[n,k]$	The trial data vector of the GA-JCEMUD
$\mathbf{\tilde{s}}_{(y,x)}$	The x^{th} individual of the y^{th} generation
$\mathbf{\tilde{s}}_{(y,x)}[n,k]$	The symbol chromosome of the GA-JCEMUD individual associated with the x^{th} indi-
_	vidual of the y^{in} generation
s s ^(l)	The l^{th} user's information symbol block of the EET length
s ^(l)	The t^{th} user's WHT spread signal block
$\mathbf{S}_{\mathbf{W}}$	The t^{th} user's WIIT encoding signal block
S _{w,0}	The l^{-1} user's wH1-spreading signal block The $(l \times 1)$ -dimensional trial symbol vector for the GA's objective function associated
38	with the σ^{th} DSS group
$\tilde{s}^{(l)}(n,k)$	The l^{th} symbol gene of the GA-ICEMUD symbol chromosome associated with the x^{th}
y(y,x) [(y,x)	individual of the y^{th} generation
σ_l^2	Signal variance associated with the l^{th} user
σ_n^2	Noise variance
Т.	The EU dwall time
\mathbf{T}_{h} $\mathbf{TC}(n,k,K)$	Turbo convolutional codes with the number of input bits k, the number of coded bits n
	and the constraint length K
T_r	The reuse time interval of hopping patterns
T_c	The DSS chip duration
U	The K-order WHT matrix
\mathcal{U}_{whT_K} $\mathcal{U}_{\sigma_1}[\mathcal{C}]$	The c^{th} element of the g^{th} row in the $(G \times G)$ -dimensional WHT matrix, which is
811 3	associated with the l^{th} user
V	The upper-triangular matrix having positive real-valued elements on the main diagonal
V	CM code memory
W	System bandwidth
W_{sc}	Subcarrier bandwidth
W _{MMSE}	The MMSE-based weight matrix
vv _{MMSEg,q}	The MINSE-based $(P \times l_g)$ -dimensional weight matrix associated with the g^{in} DSS
	group at the q ^m subcarrier
X	GA population size
x_p	The received signal at the p^{th} receiver at a subcarrier

$\mathbf{\bar{x}}_{p,q}$	The despread signal associated with the q^{th} subcarrier at the p^{th} receiver
x	Received signal vector
\mathbf{x}_p	The received symbol block of the FFT length at the p^{th} receiver
$\mathbf{x}_{g,q}$	The $(P \times 1)$ -dimensional despread signal vector associated with the g^{th} DSS group at the q^{th} subcarrier
Ŷ	Number of GA generations