# Time-critical Underwater Sensor Diffusion with No Proactive Exchanges and Negligible Reactive Floods

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Abstract—In this paper we study multi-hop ad hoc routing in a scalable Underwater Sensor Network (UWSN), which is a novel network paradigm for ad hoc investigation of the world below the water surface. Unlike existing Underwater Acoustic Networks (UAN), the new UWSN paradigm dispatches large number (in the thousands) of unmanned low-cost sensor nodes to locally monitor and report otherwise not easily accessible underwater events in a time-critical manner. Due to the large propagation latency and very low bandwidth of the acoustic channel, a new protocol stack and corresponding models are required as conventional approaches fail. In particular, we show that neither proactive routing message exchange nor reactive/on-demand flooding is adequate in the challenging new underwater environment. Unlike the terrestrial scenarios, on-demand flooding cannot be both reliable and efficient due to widespread collisions caused by the large propagation delay. On the other hand, as in terrestrial scenarios, proactive routing is more expensive and less efficient than on-demand routing in typical underwater environments. We propose a "conservative" communications architecture that minimizes the number of all packet transmissions to avoid possible acoustic collisions. This is implemented in the nonintrusive Under-Water Diffusion (UWD), which is a multi-hop ad hoc routing and in-network processing protocol with no proactive routing message exchange and negligible amount of on-demand floods. To achieve its design goal, UWD does not rely on GPS or power hungry motors to control currents. Instead, UWD is designed in a minimalist's framework, which assumes homogeneous GPS-free nodes and random node mobility. Our simulation study verifies the effectiveness and efficiency of our design.

## I. INTRODUCTION

The still largely unexplored vastness of the ocean, covering about two-third of the surface of earth, has fascinated humans for as long as we have records for. For the past several centuries, the ocean has played an increasingly important role in transportation and military activities. In emergent event investigations, for example, for marine incidents (cargo ship sinking involved with chemical pollution and oil spill), military demands (submarine tracking) and underwater research (exploration of underwater volcano eruption), the state-of-theart in communication technology has significantly surpassed the state-of-the-art of physical investigation in regard to effectiveness and efficiency. This calls for the need of building a large-scale short-term and distributed data acquisition network for time-critical aquatic applications.

We envision that a large-scale underwater sensor network (UWSN) is the answer to support these time-critical aquatic

applications. A large amount of underwater sensor nodes can be air-dropped to the venue immediately after the incident. An area of hundreds of square nautical miles may need thousands of sensor units. At real time, each ad hoc sensor unit monitors local underwater activities and reports sensed data via multihop acoustic routes to a distant command center (i.e., the network sink). Clearly, the advantages of the new UWSN paradigm are: (1) Localized and coordinated sensing is far more precise than the current *remote* telemetry technology, e.g., those relying on long-range directional frequency and ranging (DIFAR) sonobuoys. (2) Scalability of UWSN ensures that a large area can be covered for time-critical applications. (3) Underwater hazardous environment is expected to have negligible impact on human operators when unmanned electronic platforms are used below the water surface. (4) The *time-critical* sensor deployment is *low-cost*. A low-cost underwater sensor unit is un-powered and flows by the water current to sense and harvest data in an ad hoc manner.

The new UWSN paradigm, however, poses formidable new challenges compared to the existing wireless radio sensor networks. In contrast to wired networks, wireless radio networks operate in a resource constrained environment. Based upon technology for dense wave division multiplexing (DWDM), a single optical bundle can carry 12,800 GHz of optical signal. However, even the richest frequency band owner in the United States, namely DoD (Department of Defense), only owns approximately 300MHz of the total 3GHz of useable radio spectrum. Of the 300MHz owned by the military, individual systems are allocated in small blocks, e.g. 10MHz, 1MHz, or less. Consequently, protocols for wireless radio sensor networking must be far more efficient than protocols for wired networks. The wireless radio networks demand several orders of magnitude improvement in protocol efficiency compared to their wired counterparts.

Nevertheless, if we extend our vision to the underwater world, then wireless radio networks become the one with relatively much richer resource to expend. As high-frequency signals are quickly absorbed in water, underwater networking must rely on low-frequency acoustic communication, with the frequency upper bound reported as 1MHz at 60-meter range [11]. This implies that the entire acoustic band is less than several MHz and typical allocation is measured in KHz for individual systems. This drastic reduction in communication resource makes underwater networking an extremely challenging topic. The underwater wireless acoustic networks demand several orders of magnitude improvement in protocol efficiency compared to their wireless radio counterparts.

Therefore, in order to realize the demanding UWSN paradigm, new models and protocols are required in most layers. One area which will definitely require revisiting (with respect to prior work in wireless radio networks) is *multi-hop packet delivery* in a wireless acoustic network *with random node mobility* and *without GPS support*. This will be the main focus of our paper. Below, we give a revisit of on-demand flooding and proactive routing message exchange in GPS-free multihop ad hoc networks.

First, position is important in underwater sensor nets. So far, to our best knowledge, a scalable and low-cost positioning system like GPS is not yet available underwater. One must rely on multi-hop GPS-free localization schemes [5] to let the sensor nodes know their positions. Second, either flooding or network-wide packet exchange is needed in multi-hop ad hoc networking. Excluding geo-routing, multihop routing protocols fall into two categories: proactive routing and reactive routing (aka., on demand routing) [4]. In proactive ad hoc routing protocols like OLSR, TBRPF and DSDV, mobile nodes in all network areas constantly exchange routing messages which typically include connection status to other nodes (e.g., link state or distance vector), so that every node maintains sufficient and fresh network topological information to allow them to find any intended recipients at any time. On the other hand, on demand routing has become a major trend in dynamic ad hoc networks. AODV [19] and DSR [9] are common examples. Unlike their proactive counterparts, on demand routing operation is triggered by the communication demand at sources. Typically, an on demand routing protocol has two components: route discovery and route maintenance. In route discovery phase, the source seeks to establish a route towards the destination by *flooding* a route request (RREO) message, then waits for the route reply (RREP) which establishes the on-demand route. In the route maintenance phase, nodes on the route monitor the status of the forwarding path, and report to the source about route errors. Optimizations could lead to local repairs of broken links.

Finally, flooding and network-wise packet transmission are required in data-centric protocols like Directed Diffusion [8]. The network command center (i.e., sink) periodically issues "interests" that are disseminated towards qualified sensor nodes in designated areas. This requires network-wide or at best scope constrained flooding. In addition, if sensor nodes are mobile (e.g., atmospheric sensors carried by weather balloons), both on-demand flooding and proactive routing incur extra overhead to address dynamic network topology changes.

In this paper, we study the impact of the acoustic environment on conventional ad hoc and sensor protocols described above. We show that such protocols are no longer effective and efficient under water. The following observations are critical for realistic-underwater sensor network design:

1) *Ineffectiveness and inefficiency of flooding*. Deployment redundancy is an innate characteristic of ad hoc network-

ing to avoid network partitioning. Flooding a message in such a redundant ad hoc network is normally considered as a reliable operation that reaches every ad hoc node. Unfortunately, by analytic and simulation study we show that this is no longer true in underwater sensor networks. In contrast, each network flood cannot be both effective (i.e., delivered to nearly all ad hoc nodes) and efficient (i.e., with low latency and transmission cost). Since flooding is needed in GPS-free on-demand ad hoc routing, this dilemma poses great challenge to multi-hop packet delivery service in a dynamic underwater sensor network.

2) Ineffectiveness and inefficiency of proactive routing message exchange. In many situations [4][16][19] ondemand routing protocols have been demonstrated to perform better with significantly lower overheads than proactive routing protocols. In this paper we also show that underwater proactive routing fails due to heavy packet collision loss. Unlike radio networks, since the collision loss is mainly caused by signal propagation delay in acoustic networks, reducing packet size does not necessarily reduce the chance of collision to gain better protocol performance. Therefore, proactively exchanging long or short routing messages under the water inevitably generates acoustic traffic that disrupts any routing protocol's performance.

To answer the new challenge, we propose to minimize the number of all packet transmissions to avoid possible acoustic collisions. This includes prohibiting proactive routing message exchange and minimize the total number of on-demand flooding trials. These requirements are implemented in Under-Water Diffusion (UWD) described in Section III, which is a multihop ad hoc routing and in-network processing protocol with *no* proactive routing message exchange and *negligible* amount of on-demand flooding trials. Our analytic study defines and proves the "negligibility" constraint, and our simulation study verifies the effectiveness and efficiency of our design.

The paper is organized as follows. Section II presents the problem statement. It explains why on-demand flooding and proactive routing fail or have to be inefficient in underwater networks. In Section III we present the design details of UWD. The simulation study shown in Section IV verifies the effectiveness and efficiency of UWD. Section V describes related work. Finally Section VI concludes the paper.

## **II. PROBLEM STATEMENT**

In this section, we first describe the design assumptions and the typical data-centric packet delivery service in GPSfree terrestrial sensor network, using directed diffusion as the example. Then we show the reason why the existing approaches fail in GPS-free underwater sensor networks.

## A. Design assumptions

**Underwater acoustic (UW-A) channel** Communications in the UnderWater Acoustic (UW-A) channel are with two innate characteristics: *narrow & low bandwidth* and *very large propagation latency*.

The available bandwidth of the UW-A channel is limited and strongly depends on both range and frequency. UW-A channel's acoustic band is limited due to absorption and most acoustic systems operate below 30kHz [11]. This fact has two significant impacts on underwater communication. First, the entire width of underwater acoustic frequency band is very narrow, so far the highest value reported is around 1MHz spectrum at the range of 60m radius [10]. The entire width of useful acoustic bands is only a small fraction of useful RF bandwidth. Therefore, compared to radio networks, where narrow-band interference can be ameliorated by spread spectrum technology etc., underwater communications do not have an analogous answer. Second, as surveyed in [11], research system or commercial system have highly variable link capacity and the attainable  $range \times rate$  product can hardly exceed 40km-kbps. Long-range acoustic signal that operates over several tens of kilometers may have a capacity of only several tens of bits per second, while a short-range system operating over several tens of meters may have several tens of kilobits per second. Compared to radio or wired links, in both cases bit rates are significantly lower.

The signal propagation speed in the UW-A channel is only  $1.5 \times 10^3$  m/sec, which is five orders of magnitude lower than radio propagation speed  $3 \times 10^8$  m/sec in the air. The incurred huge latency exceeds the counterpart values in satellite radio communications. For example, the signal propagation latency between an underwater transmitter and a receiver that are 2 kilometers apart is comparable to the one between the earth and the moon in radio transmission. This huge propagation delay has great impact on network protocol design. As the huge end-to-end round trip time (RTT) becomes the performance bottleneck, many common network protocols do not work as expected if they are directly ported from radio networks.

**Network assumption** Each UWSN node should be a lowcost embedded system equipped with necessary sensing devices. Due to water current and other underwater activities, underwater sensor nodes, except those nodes closely mounted on the sea floor, are with random mobility at a low or medium speed. From empirical observations, underwater objects may move at the speed of 2–3 knots (or 1.0–1.5 m/s) in a typical ocean current condition.

An UWSN has at least one command center (sink) which disseminates commands to the network and meanwhile collects sensing data from the network. Except this imperative centralized control, the other components of the UWSN are tetherless and self-organizing.

We assume that network is dense enough such that there is no partition in the network and there is sufficient redundancy of paths between the sources and sink. This implies that in a network locality there are usually some redundant network members.

At physical layer, currently we assume omni-directional acoustic transmission and reception. Directional transmission and reception will be addressed in future work. We assume that majority of underwater nodes are connected with tetherless acoustic links, rather than wired links. In terms of both deployment and maintenance, it is relatively hard to deploy and maintain multiple underwater nodes intertwined by wires.

## B. Flooding Dilemma below the water surface

To show the problem of flooding, we must at first make some assumptions on the MAC layer design. First, it is expected that multiple acoustic transmitters will employ FDMA (using orthogonal frequencies), CDMA (using orthogonal Walsh codes) and/or MIMO (using orthogonal space-time coding) to share the same medium with "no collisions" during the same time period. We assume that underwater sensor nodes will have these capabilities in the foreseeable future. Yet, an increasing number of multiple transmissions during the same time period will eventually exhaust the channel's degrees of freedom. When FDMA/CDMA/MIMO finally reaches its optimality bound, a contention avoidance method must be used at the MAC layer to meet the demand.

On top of FDMA/CDMA/MIMO, it is possible to implement time division multiple access (TDMA) or random access protocols (e.g, CSMA, ALOHA and slotted ALOHA) as the contention avoidance method. However, carrier sensing is not effective in the UW-A channel due to long propagation delay, and thus CSMA may not be viable. The lack of CSMA increases the vulnerable interval in under water acoustic MAC by orders of magnitude with respect to radio based MAC protocols. The usual remedy to overcome this problem is TDMA type transmission (like in satellite channels). However, time synchronization is not possible in processing deprived UW nodes. Thus, transmissions must be randomly scheduled over very large intervals to achieve reasonable chance of success over a multi hop path, which in turn leads to very low throughput. Therefore, in this paper we choose "pure ALOHA" as the contention avoidance method in our analytic and simulation study.

Suppose an ALOHA node B starts transmission before the last bit from a node A arrives at B, collision occurs and both transmissions are dropped in the colliding area. The time of collision occurrence ( $T_c$ ) must be

$$T_c = T_x + T_p$$

where  $T_x$  and  $T_p$  are transmission time and one-hop propagation latency, respectively. Two transmissions will not collide if their starting moments are separated for more than  $T_c$  long. In radio networks,  $T_p$  can be ignored within short distance, so  $T_c = T_x$ . But in underwater networks, we will show that the term  $T_p$  is now a decisive factor.

For the ease of analysis, let's study ALOHA in the unitdisk transmission model. Acoustic transmissions within the one-hop disk of radius R are received by the recipients, or the packet is dropped. Let v = 1500m/s denote the propagation speed of underwater acoustic signals.

$$T_c = T_x + \frac{R}{v}$$

As surveyed in [11], the underwater  $T_x$  depends on the communication range and usually is presented as the bound of range-rate product (i.e., 40 km-kbps according to [11]). Let



Fig. 1. Distribution of contention avoidance time with  $\alpha = 0.5$ 

Fig. 2. Per-node success probability  $P_{succ}$  for a flood (transmission range R=100m)

Fig. 3. Per-node success probability  $P_{succ}$  for a flood (transmission range R=1000m)

 $\ell_b$  denote the size of a packet, and then  $T_x \approx \frac{R \cdot \ell_b}{40 km \cdot kbps}$ . Then we have

$$T_c \approx R \cdot \left(\frac{\ell_b}{40km \cdot kbps} + \frac{1}{1500m/s}\right) \tag{1}$$

In IP networks, a TCP/UDP packet is less than  $\approx 1500$  bytes long, then the transmission time is at most  $\frac{\ell_b = 1500 \cdot 8 \cdot bit}{40 km \cdot kbit/s} = 3 \cdot 10^{-4} s/m$ . This maximal value is significantly smaller than the counterpart propagation latency  $1/(1500m/s) = 6.67 \cdot 10^{-4} s/m$ .

## In a nutshell, $T_p$ dominates $T_x$ below the water surface.

Let's assume that, in order to avoid collision, each node must wait at least  $T_b$  time to transmit next packet. Clearly,  $T_b$  must be greater than  $T_c$  to make the collision avoidance strategy work. Let m denote the value  $\frac{T_b}{T_c}$ , which is similar to the back-off window size in some collision avoidance MAC protocols. We want to see how the value of m affects the probability of a successful packet transmission with no collision.

This problem can be mapped into the *classic occupancy* problem [17]. Given that there are n balls (i.e., contending transmissions) and m bins (i.e., collision avoidance window size), we can derive  $P_c$ , the probability of at least one coincidence (i.e., two balls collide into the same bin):

$$P_c(m,n) = 1 - \frac{m^{(n)}}{m^n}$$

where for positive integers m, n with  $m \ge n$ , the number  $m^{(n)}$  is defined as  $m^{(n)} = m(m-1)(m-2)\cdots(m-n+1)$ .

When n is less than  $\sqrt{m}$ , and m is sufficiently large,

$$P_{c}(m,n) \simeq 1 - e^{-\frac{n^{2}}{2m}}$$

Thus the probability of a transmission with no collision:

$$P_0 = 1 - P_c \simeq e^{-\frac{n^2}{2m}}$$

In practice,  $P_0$  must be larger than certain value  $P_0 \ge \alpha$ , e.g.,  $\alpha = 0.5$  to ensure that packets are more likely to be received without collision rather than dropped in the contended channel. The referential  $\alpha$  is the value used in radio networks (where  $T_x$  dominates  $T_p$ ), and

$$m \ge \frac{n^2}{-2\ln\alpha}.$$

Let  $\Delta d$  denote the average node density in the network (i.e., an average node has  $\Delta d - 1$  neighbors within its one-hop communication range).  $\Delta d = n$  is the number of contending transmissions in our analysis. The required collision avoidance time

$$T_b = m \cdot T_c \ge \frac{\Delta d^2}{-2\ln \alpha} \cdot ((3 + 6.67)R \cdot 10^{-4})$$
 (2)

Figure 1 shows the distribution of the number of slots according to Equation (2). Clearly, for any constant  $\alpha$ , the appropriate collision avoidance time increases rapidly as the communication range R or average density  $\Delta d$  grows.

Now let's study how network floods are affected. Network floods in ad hoc networks are implemented by un-ACKed wireless broadcasts. Such a broadcast transmission is lost due to collision with no link layer automatic re-transmission (ARQ) support. Unfortunately, the chance of collision is nonnegligible unless we use a huge collision avoidance window size m. Let's analyze how the settings of parameter m and  $\Delta d$  affect the quality of flooding.

During a network flood, the maximal number of flooded packet received on an average node is the number of its neighbors  $\Delta d-1$ . The flooded packet fails to reach the average node if all these packets are lost due to collision. Thus with per-node failure probability  $P_{fail}$ , the flooded packet fails to reach an average node.  $P_{fail}$  is computed on the failure probability of all  $\Delta d - 1$  transmissions:

$$P_{fail} = (1 - P_0)^{\Delta d - 1} = \left(1 - e^{-\frac{\Delta d^2 \cdot T_c}{2T_b}}\right)^{\Delta d - 1}$$
$$= \left(1 - e^{-\frac{\Delta d^2 \cdot (9.67R \cdot 10^{-4})}{2T_b}}\right)^{\Delta d - 1}$$

As a result, with per-node success probability  $P_{succ} = 1 - P_{fail}$ , the flooded packet can reach an average node.

Figure 2 shows how  $P_{succ}$  is affected by the collision avoidance time  $T_b$  and one-hop transmission range R. Figure 3 shows that the collision avoidance time  $T_b$  increases a scale (10 times) if the transmission range R increases a scale. In particular, given a reasonable node density range [5..20] and reasonable transmission range [200..1000]m, the collision avoidance time  $T_b$  must be several seconds to guarantee a successful flood. Both figures show that a flooding process is inefficient in latency, thus the entire flooding process is very slow. If the sensor nodes are moving in a scalable network (which implies more hop counts), then the overall flooding delay increases proportionally to the slow  $T_b$  and the network diameter. This implies more stale routing status and more route outages. On the other hand, if we want to limit the collision avoidance time  $T_b$  to implement a faster flood, then the success probability  $P_{succ}$  is exponentially reduced towards zero when the node density or transmission radius increases linearly.

In our analysis, the failure probability is computed in every one-hop neighborhood. Thus it doesn't matter whether the flood is a network-wise flood or a limited-range controlled flood (e.g., using a Time-To-Live field to limit the hop count). A flood fails with non-negligible probability in the intended neighborhoods. In a nutshell, *a flood in UWSN cannot be both efficient and reliable*. Therefore, if flood is ever used in an UWSN protocol, the network incurs major overhead to make each flood work and thus achieves very poor efficiency.

## III. DESIGN

In this section we propose Under-Water Diffusion (UWD), a multi-hop ad hoc routing and in-network processing protocol with *no* proactive routing message exchange and *negligible* amount of on-demand floods. It is designed in a minimalist's framework, which assumes *homogeneous GPS-free nodes* and *random node mobility* (since even powered mobile nodes have to forcefully follow the unpredictable ocean current in typical scenarios).

## A. Design Principles

The UWD protocol design is non-intrusive. It is guided by the following design principles.

No proactive routing message exchange. In the UW-A channel, the cost of proactive packet exchange could be more expensive than flooding. In radio networks, channel contention can be ameoliorated by using small-size packets (to reduce packet transmission delay  $T_x$ ). Unfortunately, reducing transmission delay  $T_x$  is less useful below the water surface because propagation latency  $T_p$  is now the dominant factor that affects the channel condition (ref. Section II). The total number of transmissions is a more important metric now.

Proactive routing incurs network-wise transmissions per proactive interval  $T_d$ . Clearly, proactive routing incurs various amount of transmissions if  $T_d$  varies. However, in a mobile underwater network like UWSN, a larger  $T_d$  means more stale routing state, while a smaller  $T_d$  means more severe channel contention. In contrast, in UWD multi-hop acoustic paths are created on demand when a set of sensor nodes detect an event. It is a purely on-demand design with no proactive routing message exchange.

Reduce the number of packet transmissions to minimum to avoid acoustic collision. To further reduce the number of transmissions, UWD leverages existing in-network processing supports which aggregate homogeneous sensing reports originated from the same set of sources. This mitigates channel contention, especially in stationary scenarios. Nevertheless, the combination of on-demand design and in-network processing is not enough. To reduce the number of on-demand floods and to cope with random node mobility, we use *communityto-community forwarding* [14], a dynamic unicast-based path management technique, to avoid packet floods (except one or two expensive but indispensable bootstrapping floods). In all cases, UWD seeks to avoid acoustic transmissions unless they are indispensable.

## B. Design details

UWD has 6 packet types: INTEREST, SINKDISCOVERY, UNICASTREPLY, PROBE, TAKEOVERHAPPENS and EVENT-REPORT. Only the first two are flooding packets transmitted by MAC broadcast. The others are unicast packets with ACKs similar to 802.11. They are used in the following scenarios.

**Initial floods.** Initial floods are expensive and needed only at the beginning phase of UWD. Initially a sink (command center) floods an INTEREST message to the network. An INTEREST message contains monitoring information such as a monitored area, types of events, a report interval and expiration time. For example, given a task of monitoring a whale underwater, an example INTEREST command [8]is : type(whale), interval(5s), duration(15s), rect(0,0,100,100) and expire(17:00 July 6, 2005).

After INTEREST dissemination, there are two possible scenarios depending on whether a sensor node can detect an event within a time threshold T (roughly the estimated time for a node to roam out of a one-hop neighborhood). If the interested event is detected within T, a source node can send data to the sink via the shortest latency path. We name this one the *Immediate Report Protocol* (IRP).

On the other hand, if the interested event happens after time > T, routing entries are already stale. The node must again issue a SINKDISCOVERY message (similar to RREQmessage in an on-demand routing protocol) to find the optimal route towards the sink. The sink node will respond with a UNICASTREPLY toward the source. As the reporting happens in a delayed fashion, we name this one the *Delayed Report Protocol* (DRP).

UWD only has two types of flooding messages: INTEREST and SINKDISCOVERY. In either IRP or DRP, an INTEREST is only sent once (as described below, changes made to the same interest are piggybacked into UNICASTREPLY message from the sink to the source). In DRP, a source proactively sends a SINKDISCOVERY message when it detects an event. Then the sink reactively sends back a UNICASTREPLY. The efficiency of the proposed UWD protocol rests on the fact that UWD limits the use of flooding unless it is necessary (the initial setup). This is achieved by virtue of the community-tocommunity forwarding approach.

**Community-to-community forwarding.** This forwarding approach exploits two innate characteristics of wireless sensor networks: (1) redundancy of deployment and (2) omnidirectional signal propagation in wireless channels. Figure 6 shows the simplest example of a forwarding community between a source A and its sink C that is two-hop away. In a 3-D UWSN, the community area is defined by the intersection



Fig. 5. Under-Water Diffusion: Delayed Report Protocol (DRP)



nation

Fig. 6. A single forwarding community: any node in the shaded region can forward a nacket between A and C



Fig. 7. Chain of forwarding communities

of three transmission balls of A, B and C. Those nodes who physically present in the community area are *community members* that can forward a packet between A and C. As depicted in Figure 7, this approach can be extended to a chain of forwarding communities along a multi-hop path.

Community configuration and re-configuration. Communities are formed during the first UNICASTREPLY between a source and a sink. In practice, UNICASTREPLY packets are added with a 16-bit hop\_count field. The field is reset to 0 at its originator, and is increased by 1 at each stop. Simply by passive and local monitoring, the community members set their community flags upon hearing three consecutive UNICASTREPLY packets of the same interest.

To cope with node mobility, we use proactive probing unicasts to reconfigure the dynamic communities. The source is responsible to send out a PROBE unicast every  $T_{probe}$ interval. This is because the source knows whether there are further EVENTREPORTS. The sink responds with a UNICAST-REPLY. The following example shows that PROBE and its UNICASTREPLY can be delivered between the source and its sink if the probing interval  $T_{probe}$  is sufficiently small.

Example 1: Suppose the source uses a controlled PROBE flood (not network-wise flood, also in this example, not unicast) to notify the sink. In such a controlled PROBE flood, only current community members of the interest forward the PROBE packet. This way, the flooding overhead on all other non-community members is saved. Since the needed community flags have been set previously in the initial community configuration or the previous probing rounds, the controlled PROBE flood is approximately equal to a network-wise flood if  $T_{probe}$  is sufficiently small.  $\Box$ 

Instead of using the controlled flooding described in the example, in the real design PROBE is unicast. From the community protection described below, this protected unicast effectively replaces the controlled flooding design.

If the current forwarder fails to forward a PROBE or UNICASTREPLY packet within  $T_p$  time, then the current community members seek to take over the current forwarder. Here "take-over" means that a community member competes to forward the PROBE or UNICASTREPLY, with the sender's MAC address set to the community member's and receiver's MAC address unchanged. In other words, it tries to become the current forwarder. Since there are possibly multiple takeover contenders, a collision avoidance process is needed to decrease possible take-over collisions. The take-over trials use a collision avoidance time window at a proper level that is calculated according to the deployment settings (several seconds in Figure 2 and tens of seconds in Figure 3). This way, even though a take-over trial takes relatively long time (compared to radio networks), the trial succeeds with high probability. Once a unicast trial is ACKed by the next stop, all other competing trials stops after the competing senders hear the ACK. Then the unicast take-over trial successfully replaces the original forwarding.

The probing interval  $T_{probe}$  is adapted with respect to network dynamics. Whenever a take-over action succeeds, the



(a) Multiple sources detect the same (b) SINKDISCOVERY aggregation event

## Fig. 8. In-network processing

taking-over node sends a short TAKEOVERHAPPENS report to the source. The source decreases its  $T_{probe}$  by a larger value (e.g., 100ms) upon receiving every such take-over report, and increases  $T_{probe}$  by a smaller value (e.g., 10ms) if no take-over report is received within the most recent second. As frequent take-over actions indicate more network dynamics, the simple heuristic scheme seeks to maintain fresher communities by launching more probing requests. Meanwhile it also seeks to decrease probing overhead when the communities en route are relatively stable. As a result, even if the number of SINKDISCOVERY floods per interest is not ideal in the real world (1 in the ideal IRP or 2 in the ideal DRP), this heuristic community-based scheme significantly reduces the flooding frequency.

**In-network processing.** When a SINKDISCOVERY, PROBE or EVENTREPORT is forwarded towards the sink, it is often the case that other sensor nodes nearby the Center of Stimulus (CoS) of the event also detect the same interested event and try to send the same message to the sink. In UWD, multiple SINKDISCOVERY or EVENTREPORT of the same interest are aggregated together if their timestamps are within a time threshold t (which is proportional to the motion speed of the interested target). The aggregator node remembers the merged incoming links in its soft state. Then the later UNICASTREPLY from the sink on the reverse direction will be replicated to the previously merged links by the aggregator.

In addition, any PROBE message is aggregated into ongoing EVENTREPORT, and any TAKEOVERHAPPENS report is aggregated into ongoing UNICASTREPLY whenever possible.

## C. Negligible on-demand flooding in UWD

In this section we prove that UWD only has negligible amount of on-demand floods.

**Net-centric "negligibility"** The concept of "negligible", which is *sub-polynomial with respect to a pre-defined system parameter* n, is widely used in modern complexity theory to quantify the *asymptotic* trend of a function.

Definition 1: (Negligible): A function  $\mu : \mathbb{N} \to \mathbb{R}$  is *negligible* if for every positive integer c, and all sufficiently large n's (i.e., there exists  $N_c$ , for all  $n > N_c$ ),

$$\mu(n) < \frac{1}{n^c}. \quad \Box$$

Intuitively, a negligible quantity is smaller than 1 over any polynomial when the input parameter n is sufficiently large. For example, when n increases polynomially (e.g., linearly), a quantity exponentially decreasing toward 0 is negligible. In this paper, we adopt a net-centric notion of "negligibility", that

is, the system parameter n is the number of network nodes (i.e., network scale).

**Underlying network model** Some stochastic mobility models are able to achieve a uniform spatial distribution [1] (if they directly choose a destination direction rather than a destination point and allow a bound back or wrap-around behavior at the border of the system area). However, the others, such as random way point (RWP) model [2] [3], are not. This means that the probability distribution function (PDF) of a mobile node's presence at each possible location is *location dependent* (*non-uniform*) rather than *uniform* in typical scenarios.

For a network deployed in a bounded system area, let the random variable  $\Omega = (X, Y)$  denote the Cartesian location of a mobile node in the network area at an arbitrary time instant t. Then we treat  $\rho_1$  as a mobile node's arrival rate of each standing "position". Hence the random presence of mobile nodes is modeled by a *spatial Poisson point process* [6]. If there are N nodes in the network and each of them roams independently and identically distributed (i.i.d.), then  $\rho_N = N \cdot \rho_1$ . Let x denote the random variable of number of mobile nodes in an area. The probability that there are exactly k nodes in a specific area  $\mathcal{A}$  following a *uniform* PDF is

$$\Pr[x=k] = \frac{(\rho_N \mathcal{A})^k}{k!} \cdot e^{-\rho_N \mathcal{A}}.$$

The probability that there are exactly k nodes in a specific area A following a *non-uniform* PDF is

$$\Pr[x=k] = \iint_{\mathcal{A}'} \left( \frac{\rho_N^k}{k!} \cdot e^{-\rho_N} \right) \, d\mathcal{A}$$

where  $\rho_N = N \cdot \rho_1$  is computable in simulators like NS2 and QualNet given a specific location  $\mathcal{A}'$ , the distribution PDF  $\rho_1$  and the finite element analysis [24].

**Minimize the number of on-demand floods** By simple geometric calculation, we can see that the geometric size of an average community is:

$$\mathcal{A}_{avg} \approx \left(\frac{\pi}{3} - \frac{\sqrt{3}}{2}\right) R^2.$$

Therefore, the probability that an average community area  $\mathcal{A}_{avg}$  has exactly k nodes is

$$\Pr[x=k] = \iint_{\mathcal{A}_{avg}} \left( \frac{\rho_N^k}{k!} \cdot e^{-\rho_N} \right) \, d\mathcal{A}$$

In UWD, the failure probability of PROBE or UNICAST-REPLY packet forwarding at each hop is

$$P_{failhop} = \mathbf{Pr}[x=0] = \iint_{\mathcal{A}_{avg}} e^{-\rho_N} d\mathcal{A}.$$

The failure probability of route maintenance, that is, the failure probability of a probing source fails to receive the comingback UNICASTREPLY is  $P_{failprobe} = 1 - (1 - P_{failhop})^{2d}$  where d is at most the constant network diameter.

Let's prove that  $P_{failprobe} = 1 - (1 - P_{failhop})^{2d}$  is also negligible. Given  $P_{failhop}$  is negligible, which is less than any given  $\frac{1}{n(x)}$  when p(x) is a positive polynomial. Now we repeat polynomial times (here is a constant 2d) of this operation, then the probability of failure is given by

$$1 - (1 - P_{failhop})^{p(x)}$$

For any given polynomial q(x), by assumption, there is a sufficient large integer  $N_c > 0$ , such that  $P_{failhop} < \frac{1}{p(x)q(x)}$ as long as  $x > N_c$ . Then we have

$$(1 - P_{failhop})^{p(x)} > \left(1 - \frac{1}{p(x)q(x)}\right)^{p(x)} > e^{-\frac{1}{q(x)}}$$

since  $(1 - \frac{1}{y})^y > e^{-1}$  when y > 0. According to Lagrange mean value theorem, for some  $\xi$ such that  $0 \le \xi \le z$ , there must be  $e^{-z} - 1 = -z(e^{-\xi}) \ge -z$ . We have

$$(1 - P_{failhop})^{p(x)} > e^{-\frac{1}{q(x)}} > 1 - \frac{1}{q(x)}$$

Therefore.

$$P_{failprobe} = 1 - (1 - P_{failhop})^{p(x)} < \frac{1}{q(x)}$$

for any polynomial q(x) when x is sufficiently large.

In summary, only with the negligible probability  $P_{failprobe}$ , an expensive network SINKDISCOVERY flood is invoked in UWD to ensure mobile ad hoc routing.

## **IV. SIMULATION STUDY**

In this section, we perform a simulation study to validate our protocols. First we describe details of "underwater" simulation environments. After explaining metrics of interest, we evaluate how UnderWater Diffusion performs compared to Directed Diffusion.

### A. Simulation Environment

The underwater acoustic channel is significantly different from wireless radio channel and thus in this subsection we describe how we enhanced ns-2 simulator [18] to support underwater simulations. To this end, we modified both physical and MAC layers of the wireless network simulation stack of ns-2. In addition, we discuss a mobility model for an UWSN.

In the physical layer we modified the signal propagation model in terms of propagation speed and transmission loss. First, the speed of sound in underwater is a function of temperature and pressure as presented in [12]. For routine estimations of a shallow UWSN, however, a speed of sound of 1500 m/s is adequate. Therefore, we simply changed SPEED\_OF\_LIGHT to 1500m/s. Second, the intensity of the acoustic wave signal is reduced with increasing range for the following reasons: spreading and absorption [12]. As the intensity at range R is given by the power P per unit area, the acoustic intensity is reduced in proportion to the square of the range (spherical spreading). In addition, reflections from the sea floor/surface spreading reduces the intensity (cylindrical spreading). Thus, transmission loss (TL) between spherical and cylindrical spreading can be denoted in decibel form as  $10 \log R$ . Another source of transmission loss is absorption. When operating frequencies are below 500 KHz, as most commercial acoustic modems do, this happens mainly due to ionic relaxation of  $MqSO_4$ . However, compared to spreading, the impact of *absorption* is so small that in this paper, we only simulate spreading effects.

For the MAC layer we used the simple MAC defined in ns-2. Since large propagation delay of acoustic waves makes carrier sensing ineffective, we removed the carrier sensing part of the simple MAC, and non-slotted ALOHA with fixed collision avoidance time was used. Collision avoidance time is predefined based on network density and in our simulations, we used 1 second. The data rate is set to 17.8kbps which is the payload data rate of an off-the-shelf acoustic modem (LinkQuest UWM2000 [15]) and transmission radius was set to 100m.

Besides physical and MAC layers, we need to consider "mobility" of sensor nodes to simulate realistic movement patterns of sensor nodes in underwater. In the oceanographic literature, trajectory of an ocean drifter, e.g. a sensor node is often modeled as movement in response to current and turbulence [7]. Given limited time and space scale, which is the case for our simulations, turbulence is the dominant force and in fact, turbulent diffusion is often modeled with random walk. Ocean models are developed to capture ocean currents in "oceanic" scale in mathematical models. Also in such models, sub unit (where the unit is usually  $1km^2$ ) motion is often regarded as turbulent diffusion, thus modeled as random walk [13]. Therefore, we used a random walk mobility model in our simulations with speed of 1.5 m/s.

#### B. Methodology

We compare our protocol with Directed Diffusion using the following metrics: average event delivery delay, distinct-event delivery ratio and average overhead. Average delay measures the average event latency that is the time between sending an event at a source and receiving the event at a sink. This metric is used to measure how timely the report is to (assuming that the report is time sensitive). Distinct-event delivery ratio is the ratio of the total number of events received by the sink to the number of events sent by the source(s). This metric shows how the proposed protocol reacts to the node mobility. Average overhead measures the average number of packets sent per node. Since a major source of overhead is flooding, this metric is used to show how our protocol limits the use of flooding compared to Directed Diffusion.

To evaluate such metrics, we set protocols as follows. In the case of Directed Diffusion, interests and exploratory messages were periodically sent to handle mobility. We used two periods for both interests and exploratory events. Note that exploratory events are used for setting up a new path (through positive reinforcement) and interests are used for creating forward gradients to the sink. This allows us to see the impact of the interest period (IP) and the exploratory event period (EP). In the simulation, the IP was either 15s or 45s and the EP was either 15s or 45s.<sup>1</sup> Because an exploratory event uses paths created by interests, we used only combinations of (IP-15s, EP-15s) and (IP-45s, EP-45s) which we call Diff-15 and

<sup>1</sup>We can further shorten the period, but we should note that such frequent use of flooding in underwater could make the whole network collapse.



*Diff-45* respectively. We used the window for the negative reinforcement to be 5 seconds. In the case of UnderWater Diffusion, an INTEREST message was broadcast once at the very beginning. For the period of a PROBE message, we used the same period as Directed Diffusion for the fair comparison and thus we used 15s and 45s intervals which we call *UWD-15* and *UWD-45* respectively.

To study the performance as a function of network size, we generated various sizes of sensor fields. To this end, for each experiment we use four different sizes of sensor fields ranging from 50 to 250 nodes in increments of 50 nodes. As a default, we deployed 50 nodes in a field of a  $500m \times 500m$  square area. For other sizes of fields, we kept the same network density and scaled the size of a sensor field. For instance, in the case of the network size of 200 nodes, we scaled the field to  $1000m \times 1000m$  square area. Event sources were located in a  $100m \times 100m$  square area of the top left corner of the network and a sink is randomly selected from the network. Sources generated an event every 5 seconds and the size of a message was 128B. We ran simulations for 200 seconds and each metric was measured by averaging 30 runs.

## C. Evaluation

The average delay for an event is shown in Fig. 9(a). The graph shows that the average delay increases in both protocols as we enlarge the network size, which is done by keeping the same network density and scaling the size of a field. Thus, due to large propagation delay and low data rate, the longer the average distance between a source and a sink, the longer the average delay. It is interesting to note that since a packet could be forwarded with help of communities, Directed Diffusion exhibits shorter average delay than UWD. For each takeover, a community member must wait  $2 \cdot T_p = 0.134s$  and thus the more the takeovers, the longer the average delay. In reality, for a given packet, the number of experienced takeovers is usually small and thus this will not harm the overall performance of our protocol. If an application is delay sensitive, we can use the following heuristics. While a packet is forwarded toward the sink, each forwarding node can check a maximum allowable jitter. If the current delay value is higher than the maximum allowable jitter, a forwarding node simply discards the message. In our study, after removing outliers, we are able to achieve roughly the same average delay as Directed Diffusion, but this, in fact, decreases the average delivery ratio; however, the impact is less than 10% of the original delivery ratio.

Fig. 9(b) shows the average delivery ratio as a function of network size. Unlike a GSN where an event delivery ratio is close to one, mobility in a UWSN incurs packet losses, thus making the ratio less than one. While the delivery ratio of UWD with 15s probing interval is above 90%, that of Directed Diffusion is less than 30%. In most cases, community-based forwarding takes care of node mobility, but there could be the cases that before a route management packet reconfigures a path, the path could be broken. If that happens, we must broadcast SINKDISCOVERY again. In our simulation, route management is carried out every 15s (UWD-15) or 45s (UWD-45) and UNICASTREPLY timeout value is 5s (<total 20s or 50s). In addition, we need to flood SINKDISCOVERY and must receive UNICASTREPLY again (<total 10s). This roughly takes a total of 30s or 60s, and thus we are losing up to 6 (UWD-15) or 12 (UWD-45) packets. With 15s period of route management, we can achieve above 90%, but if we set the period as 10s, then we achieve nearly 100% (it is not shown in the simulation results). As shown in the figure, in contrast, if we set the period as 45s period, then the event delivery ratio is decreased to around 60%.

Finally, Fig. 9(c) shows per node overhead as a function of network size. Unlike Directed Diffusion where its heavy use of flooding to handle mobility incurs considerable per node overhead, UWD reduces such overhead with help of a community based forwarding mechanism. For instance, Diff-15 incurs almost 4 times larger overhead than UWD-15. In the case of Directed Diffusion, we can roughly estimate the number of floods due to its periodical flooding. During 200 seconds of simulation time, roughly Diff-15 and Diff-45 use flooding 26 (Interest  $\times$  13, Exploratory  $\times$  13) and 8 (Interest  $\times$  4, Exploratory $\times$ 4) times respectively. In contrast, UnderWater Diffusion utilizes unicast probing (UNICASTPROBE), thus minimizing the number of flooding. In our simulations, the average number of floods was less than 4 even in the case of UWD-45. Note that in UWD extra packets are sent only when a packet is forwarded with help of community members, and extra floods happen only when a source node fails to receive the UNICASTPROBE packet. Therefore, we conclude that the shorter the route management period, the better the relative effectiveness of our protocol.

In summary, our simulation results confirm that reducing the

number of floods is a key design choice in designing underwater sensor network protocols. We show that in underwater, Directed Diffusion which manages mobility using periodical flooding, is less efficient because of its heavy use of flooding. Our proposed protocol, on the other hand, by limiting flooding, we can increase overall delivery ratio and reduce per node overhead.

#### V. COMPARISON TO RELATED WORK

In Underwater Acoustic Networks small-scale (UAN) [22][20][23], the first attempt to realize a underwater acoustic sensor network is made. In [22], each node maintains a neighbor table and feed the table to a centralized sink (master node), who then build a routing tree. In a sensor network with random node mobility, this design has to use a proactive neighbor detection protocol to constantly take fast snapshots of the mobile network topology. However, as we have analyzed in Section III, a proactive neighbor detection design can be more expensive than flooding. Now that the propagation delay  $T_p$  is the dominant factor in channel condition evaluation, reducing the transmission delay  $T_x$  for those short neighbor detection messages does not have a great impact on improving the channel condition. Besides, the neighbor detection messages are transmitted in MAC broadcast, but not in MAC unicast because of the unpredictable mobile neighborhood. Like flooding messages, the MAC broadcast packet is dropped and the detection fails with high probability.

Xie et al. [23] tried to improve some of the problems of the aforementioned work [22]. Instead of using the proactive neighbor detection on every nodes, the sink (master node) takes the responsibility to periodically send out topology discovery messages to acquire the current network topology. Such topology discovery messages are *de facto* flooding route discovery messages, which cannot be both reliable and efficient according to our analysis. In [23] no mechanism is devised to reduce the number of floods.

Salva-Garu et al. [21] proposed a decentralized multiple access scheme based on clustering for an autonomous network of UUVs (Underwater Unmanned Vehicles). TDMA is used for intra-cluster communication and CDMA for inter-cluster communication. Nodes in the network know their positions (from cables). Based on the critical geo-information, clusters are formed and maintained, then TDMA slots are allocated and CDMA codes are distributed. However, TDMA is more suitable to stationary, tethered or GPS-equipped networks rather than to mobile, tetherless and GPS-free networks. A pre-requisite of using TDMA in a mobile tetherless neighborhood is to employ a proactive neighbor detection protocol to maintain up-to-date one-hop neighborhood knowledge. UWD avoids the neighbor detection protocols. Besides, UWD can coexist with CDMA designs (or MIMO designs in the foreseeable future). CDMA's code orthogonality allows multiple competing nodes access the medium during the same period. If the UW-A channel allows more CDMA transmissions, UWD simply allows the transmitter to send out the message. Otherwise, as the code orthogonality is quickly exhausted in the heavily-contended narrow-band UW-A channel, CSMA or other random access protocols can be used as the last resort to implement collision avoidance. In particular, in UWD we rely on unicast transmissions, which are known to be collision resistant (by adding RTS-CTS support) and collision recoverable (by MAC ACK and ARQ). This collision avoidance and collision recovery supports are complementary to CDMA's channel orthogonality supports.

#### VI. SUMMARY

We have proposed a new Under-Water Sensor Network (UWSN) architecture. Unlike the existing Underwater Acoustic Networks (UAN), this new architecture uses large number of unmanned low-cost sensor nodes to locally monitor and report non-accessible underwater events in a time-critical manner. However, due to the large propagation latency and low bandwidth of the challenging Under-Water Acoustic (UW-A) channel, new models and protocols are needed at most protocol stack layers.

In this paper we study multi-hop packet delivery, an essential network component including mobile ad hoc routing and data centric in-networking services. We show that flooding cannot be both reliable and efficient. Because current GPSfree routing and diffusion schemes rely on (network-wise or controlled) floods, a direct application of these schemes fails with high probability.

We propose Under-Water Diffusion (UWD) to answer the challenge. UWD takes a minimalist's view. It assumes homogeneous GPS-free nodes (i.e., without the help of heterogeneous backbone nodes with abundant resource), random node mobility and no proactive design. This is completely different from terrestrial sensor networks, where each of these non-minimalist features can be used to gain performance. In UWD, we seek to answer the multi-hop routing challenge without breaking the constraints. We use community-based forwarding and unicast PROBE flows to cope with node mobility and to reduce the number of floods per interest to one or two expensive initial floods. We rely on MAC-unicast transmissions on the optimal paths rather than MAC-broadcast transmissions in flooded areas. We avoid the use of proactive exchange. This way, UWD is able to minimize the number of floods and the number of various other packet transmissions to avoid looming acoustic collisions. Our experimental results justify the effectiveness and efficiency of our design.

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