

Master's Thesis Defense



Illumination Optimized Transmit Signals for Space-Time Multi-Aperture Radar

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Committee

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OUTLINE



Introduction

- What are we doing?
- Why are we doing it ?
- What has been done before ?
- How is our work different ?

Execution + Results

- How do we do it?
- Is it good?
- If yes, how much is it better than the work done previously?

□ More Observations

- How close do we reach to the goal we started with initially?
- Is there anything more to it?

Conclusions and Future work

- What did we learn?
- What more can be done?











• Project supported by AFRL

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WHY IS IT IMPORTANT?



- Objective of any radar SAR, GMTI or AMTI: Accurate detection and estimation of Targets
 - Place energy on the regions it is interested in (targets)
 - Not waste any energy on regions it is not interested in (clutter)
 (Maximizes SINR)
 - Also distribute the energy equally on all targets
 - Make returns from all targets as dissimilar or uncorrelated as possible Optimization

(Maximizes estimation

Illumination

Optimization

- Ways to control the radar performance:
 - Add more transmitters/receivers
 - Modify the antenna array
 - Change the radar transmit signal





PRIOR WORK

OPTIMAL TRANSMIT SIGNAL CONSTRUCTION

Optimal transmit signals/codes for illumination optimization

- Time-frequency codes
- Optimized for a single target
- Compromise between SINR and quality of radar waveform
- Pseudo space-time codes \rightarrow Phased arrays, essentially plain spatial codes
- Nothing on the True Space-Time Transmitter

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- We need radar models to:
 - Simulate the space-time radar and the propagation from the transmitter to the targets
 - Model complex targets geometries consisting of any combination of point, distributed, stationary, moving, airborne and surface targets
 - Represent the radar transmit signal as a complex superposition of orthonormal basis functions
- A transmission, target and propagation model and a transmit signal model were coded and implemented in MATLAB.

TRANSMISSION, TARGET AND PROPAGATION MODEL

Space-Time Transmitter

- The radar transmit signal is modeled as a superposition of $\longrightarrow s(\overline{z}) = \sum_{n=1}^{N} s_n \phi_n(\overline{z})$ N basis functions ϕ_n
- The basis functions ϕ are functions of 3-D space, time and frequency collectively spanning the entire timewidth, bandwidth and the spatial extent of the of the radar array
- The vector **s** containing the complex weights s_n for each of the basis functions then represents the transmit signal $\longrightarrow \mathbf{s} = [s_1 \ s_2 \ s_3 \ \cdots \ s_N]^T$ completely.

 $\rightarrow \overline{z} = [x y z t w]^T$

TRANSMISSION TARGET AND PROPAGATION MODEL

Targets

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- The joint target scattering response can also be modeled as a combination of N_t orthonormal basis functions ψ_t
- The basis functions Ψ are functions of 3-D space and radial velocity
- The vector γ of complex scattering coefficients γ_t then defines the set of illuminated targets completely

 $\rightarrow \overline{y} = \begin{bmatrix} x \ y \ z \ v_r \end{bmatrix}^T$

 $\longrightarrow \mathbf{\gamma} = \left[\gamma_1 \gamma_2 \gamma_3 \cdots \gamma_{N_t} \right]^T$

TRANSMISSION, TARGET AND PROPAGATION MODEL

• Space-Time Receiver

- The received signal can be also be represented as a weighted superposition of *M* orthonormal space-time $\rightarrow r(\bar{x}) = \sum_{m=1}^{M} r_m \varphi_m(\bar{x})$ basis functions φ_m
- The basis functions φ are again functions of 3-D space, $\rightarrow \bar{x} = [x \ y \ z \ t \ w]^T$ slow time and fast frequency.

- The vector **r** of complex weights r_m completely defines the \rightarrow **r** = $\begin{bmatrix} r_1 & r_2 & r_3 & \cdots & r_M \end{bmatrix}^T$ received space-time signal.

TRANSMISSION TARGET AND PROPAGATION MODEL

Propagation

 The transmitted, target and receive functions are related by the following convolution integral through the dyadic Green's propagation functions

$$r(\bar{x}) = \int \vec{H}(\bar{x}; \bar{y}) \cdot \gamma(\bar{y}) \cdot \int \vec{G}(\bar{y}; \bar{z}) \cdot s(\bar{z}) d\bar{z} d\bar{y}$$

Also since,

$$r_m = \int r(\bar{x}) \, \varphi_m(\bar{x}) \, d\bar{x}$$

- We can simplify as follows

$$r_{m} = \int \varphi_{m}(\bar{x}) \int \ddot{H}(\bar{x};\bar{y}).\gamma(\bar{y}).\int \ddot{G}(\bar{y};\bar{z}).s(\bar{z})d\bar{z}d\bar{y}d\bar{x}$$

$$r_{m} = \sum_{t=1}^{N_{t}} \gamma_{t} \sum_{n=1}^{N} s_{n} \int \varphi_{m}(\bar{x}) \int \ddot{H}(\bar{x};\bar{y}).\psi_{t}(\bar{y}).\int \ddot{G}(\bar{y};\bar{z}).\phi_{n}(\bar{z})d\bar{z}d\bar{y}d\bar{x}$$

$$r_{m} = \sum_{t=1}^{N_{t}} \gamma_{t} \sum_{n=1}^{N} s_{n} H_{mn}^{t}$$

$$where, H_{mn}^{t} = \int \varphi_{m}(\bar{x}) \int \ddot{H}(\bar{x};\bar{y}).\psi_{t}(\bar{y}).\int \ddot{G}(\bar{y};\bar{z}).\phi_{n}(\bar{z})d\bar{z}d\bar{y}d\bar{x}$$

$$15$$

TRANSMISSION TARGET AND PROPAGATION MODEL

$$\mathbf{r} = \sum_{t=1}^{N_t} \gamma_t \mathbf{H}_t \mathbf{s} + \mathbf{n}$$

 \mathbf{s} o is the transmit signal vector completely representing the transmitted signal

- $\mathbf{r} \rightarrow \,$ is the received signal vector completely representing the received signal
- $\gamma_t \rightarrow$ is the scattering coefficient for each target
- $n \rightarrow$ measurement noise vector
- $H_t \rightarrow$ is a 2-D matrix relating the *N* transmitted samples to the *M* received samples for the *t*th target – analogous to the convolution function of a two port network

- For the illumination optimization problem we just need to model the propagation from the transmitter to the targets
- The propagation matrix for each target H_t is modified accordingly
- The normalized response at the target due to a transmit signal **s** is given by

$$\rho_t = \mathbf{H}_t \mathbf{s}$$

• The set of N_t propagation matrices \mathbf{H}_t , and normalized responses \mathbf{p}_t are critical parameters for all our algorithms and optimization procedures.

TRANSMIT SIGNAL MODEL

- Required for expanding the transmit signal as a weighted superposition of spacetime orthonormal basis functions
- A time-frequency basis function consist of a train of *U* wideband pulses the same pulse train is present at each antenna resulting in a space-time basis function
- The pulse trains at the same antenna have different delays and/or different phase weightings - ... the basis functions form an orthonormal set
- The different delays and phase weightings characterize the different fast and slow time basis functions available
- Each basis function has wide timewidth and bandwidth, and would make an adequate radar signal in itself
- Choice and number of time-frequency basis functions are important

TRANSMIT SIGNAL MODEL

Inputs to the model

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- **f**_c = carrier frequency (Hz)
- B = transmit signal bandwidth (Hz)
- **f**_o = pulse repetition frequency PRF (Hz)
- **U** = integer number of pulses transmitted as part of the transmit signal
- Q = odd number of 'fast-time' basis functions
- P = odd number of 'slow-time' basis functions
- $g_s(t) = a$ 'mother function' used to generate new slow-time basis functions
- $G_f(w) = a$ 'mother function' used to generate new fast-time basis functions
- $\{ \tau_q \} = Q$ time delay values used to generate all the fast-time basis functions
- $\{w_p\} = P$ frequency shift values used to generate all the slow-time basis functions
- 1/f_o = T_o = pulse repetition interval PRI (sec)
- UT_o = T = transmit signal timewidth (sec)
- $w_o = 2\pi f_o =$ angular pulse repetition frequency (radians/sec)
- $w_c = 2\pi f_c$ = angular carrier frequency (radians/sec)

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TRANSMIT SIGNAL MODEL

- Any real valued temporal signal can be expressed as $v_s(t) = \operatorname{Re}\{S(t)e^{-jw_c t}\}$
- *S(t)* can be written as a weighted superposition of *PQ* complex basis functions

$$S_{p}(w) = \int_{-\infty}^{+\infty} s_{p}(t) e^{-jwt} dt$$
 and $G_{s}(w) = S_{0}(w)$ $Q \tau_{q} \le T_{0}$ $P w_{p} \le w_{0}$

• Sampled Windowed Fourier Transform of S (t) $S(t) = \sum_{p} \sum_{q} S_{pq} e^{j\omega_{r}t} g_{s}(t) \sum_{u} f_{q}(t-uT_{o}) e^{j\omega_{c}uT_{o}}$

$$s(uT_{o},\omega) = \sum_{p} g_{s}(uT_{o})e^{ju\omega_{p}T_{o}} \sum_{q} S_{pq}G_{f}(\omega)e^{-j\omega uT_{o}}e^{-j(\omega-\omega_{c})\tau_{q}}$$

$$s_{uv} = \sum_{p} g_{s}(uT_{o})e^{ju\omega_{p}T_{o}} \sum_{q} S_{pq}G_{f}(\frac{v\omega_{o}}{2})e^{-j(\frac{v\omega_{o}}{2}-\omega_{c})\tau_{q}}$$
Defining $\psi_{uv}^{pq} = g_{s}(uT_{o})e^{ju\omega_{p}T_{o}}G_{f}(\frac{v\omega_{o}}{2})e^{-j(\frac{v\omega_{o}}{2}-\omega_{c})\tau_{q}}$ we get $s_{uv} = \sum_{p} \sum_{q} \psi_{uv}^{pq}S_{pq}$ or, $\mathbf{s}^{t} = \mathbf{\psi}\mathbf{S}^{t}$

RADAR GEOMETRY

SPACE-TIME ILLUMINATION OPTIMZATION – THE PROCESS

- If all scatterers are classified into two sets:
 - Targets: Scatterers we wish to illuminate or estimate
 - Clutter: Scatterers we do not wish to illuminate
- Then the perfect transmit code would:
 - Illuminate all targets
 - Not illuminate any clutter objects
 - Distribute energy equally amongst all targets
 - Make responses from all targets mutually orthogonal

Unfortunately such a perfect transmit code does not exist!!

SPACE-TIME ILLUMINATION OPTIMZATION – OPTIMIZATION CRITERIA

Illumination

Optimization

- Instead we define a number of optimization criteria and try to satisfy them to the greatest possible extent
- If not perfect, then at least an optimal code
- Example of optimization criteria can be:
 - Maximize the total energy on all targets
 - Minimize the total energy on all clutter objects
 - Maximize the ratio of total signal (target) to clutter energy SCR
 - Maximize the SCR for the target receiving the minimum SCR
 - Minimize the maximum correlation between any two targets

BASIC OPTIMIZATION CRITERIA MAXIMUM TARGET ENERGY

 Total Energy on all target objects is given as

$$E_{targets} = \sum_{\substack{i \in \\ targets}} \rho_i' \rho_i = \mathbf{S'AS}$$

where $\mathbf{A} = \sum_{\substack{i \in \\ targets}} \mathbf{H}_i' \mathbf{H}_i$

• This energy is maximized when the eigen vector associated with the largest eigen value of the non-negative definite matrix **A** is selected as the transmit code **S**

$$\mathbf{A} = \sum_{n} \lambda_n^a \, \hat{e}_n^a \, \hat{e}_n^{a'}$$

. S =
$$\hat{e}_n^a$$
 associated with $(\lambda_n^a)_{\text{max}}$

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BASIC OPTIMIZATION CRITERIA MINIMUM CLUTTER ENERGY

 Total Energy on all clutter objects is given as

$$E_{clutter} = \sum_{\substack{j \in \\ clutter}} \rho_j' \rho_j = \mathbf{S'BS}$$

where
$$\mathbf{B} = \sum_{\substack{i \in \\ clutter}} \mathbf{H}'_{j} \mathbf{H}_{j}$$

• This energy is minimized when the eigen vector associated with the smallest eigen value of the non-negative definite matrix **B** is selected as the transmit code **S**

$$\mathbf{B} = \sum_{n} \lambda_n^b \, \hat{e}_n^b \, \hat{e}_n^{b'}$$

 \therefore **S** = \hat{e}_n^b associated with $(\lambda_n^b)_{\min}$

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BASIC OPTIMIZATION CRITERIA MAXIMUM SCR

• The ratio of the signal to clutter energy is given as

$$SCR = \frac{E_{targets}}{E_{clutter}} = \frac{S'AS}{S'BS} = \left[\frac{\tilde{S}'C\tilde{S}}{\tilde{S}'\tilde{S}}\right]$$

where $C = (B^{-1/2})' A (B^{-1/2})$ and $\tilde{S} = B^{1/2} S$

 The SCR is maximized when the eigen vector associated with the largest eigen value of the non-negative definite matrix C is selected, and the transmit code S is determined from it

$$\mathbf{C} = \sum_{n} \lambda_n^c \, \hat{e}_n^c \, \hat{e}_n^{c'}$$

$$\therefore \quad \tilde{\mathbf{S}} \quad \hat{e}_n^c \text{ associated with } (\lambda_n^c)_{\max}$$

and $S = B^{-1/2}\tilde{S}$

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THE ORPHAN PROBLEM

NEED FOR AN ADVANCED CRITERIA MAXI-MIN OR MINI-MAX

• We can define the alternate **maxi-min** or the **mini-max** criteria as:

The code which minimizes the largest energy received by any clutter object

The code which **maximizes** the SCR for the target with the **worst SCR**

THE MAXI-MIN PROCEDURE

- Finding the best maxi-min solution is difficult, finding the worst maxi-min is easy
- Project out enough of these worst dimensions from the finite dimensional transmit signal space \rightarrow Converge to a good solution
- The SCR received by each target is defined by it's individual **C**, matrix:

$$SCR_i = \frac{E_a^i}{E_b} = \frac{\mathbf{S'A}_i\mathbf{S}}{\mathbf{S'BS}} = \frac{\mathbf{\tilde{S}'C}_i\mathbf{\tilde{S}}}{\mathbf{\tilde{S}'\tilde{S}}}$$

- The smallest eigen value of a \mathbf{C}_i matrix - λ_i^{min} provides the worst SCR that the *i*th target can receive, and the corresponding eigen vector \tilde{e}^{min} is the worst SCR solution for that particular target.
- Overall worst solution is then simply the $\tilde{\rho}^{min}$ associated with the smallest of all individual minimum eigen values: $\lambda_{\text{smallest}}^{\min} \rightarrow \text{lower bound on } SCR_{\min}$
- The lower bound on SCR_{min} is raised by restricting our solutions to an orthogonal • subspace: \mathbf{P}_{\perp}

$$\mathbf{C}_{i}(l) = \mathbf{I} - \tilde{\hat{e}}^{\min} \, \tilde{\hat{e}}^{\min'} \qquad \mathbf{C}_{i}(l+1) = \mathbf{P}_{\perp}'(l) \, \mathbf{C}_{i}(l) \, \mathbf{P}_{\perp}(l)$$

THE MAXI-MIN PROCEDURE

- Again look for the worst solution in the new subspace and project orthogonal to it
- All projections are orthogonal to each other → the lower bound on SCR_{min} monotonically increases
- We continue with this process till we are left with a single dimension a vector
- This vector forms our optimal maxi-min transmit solution **S**
- The process is mathematically defensible hence called the True Maxi-min

HEURISTIC MAXI-MIN

 Upper bound on SCR_{min} is given by the smallest of all maximum eigen values for individual C_i matrices:

$$\lambda_{\text{smallest}}^{max} = \min\left\{\lambda_1^{max}, \lambda_2^{max}, \lambda_3^{max}, \cdots, \lambda_{N_t}^{max}\right\} \ge SCR_{\min}$$

- The upper bound also comes down with every projection
- An alternative approach can be to try and keep the upper bound on SCR_{min} as high as possible:
 - Find the weakest target 't', or the one with the smallest maximum eigen value $\lambda_{\text{smallest}}^{max}$
 - Find the worst solution for this target $\tilde{\hat{e}}_t^{min}$ i.e. the vector corresponding to the smallest eigen value of it's **C** matrix
 - Use this vector to form the projection matrix and repeat all steps as before
- This approach is called the *HEURISTIC MAXI-MIN* as it is not guaranteed to improve or preserve any bound, but is often seen to perform well in fact most often even better than the earlier mathematically defensible *TRUE MAXI-MIN*

UPPER/LOWER BOUND CONVERGENCE

- The TRUE algorithms just aim to increase the lower bound on SCR_{min} after each step
- However for most case, the upper bound turns out to be the more critical of the two bounds
- Thus the *HEURISTIC* algorithms are usually seen to be more effective than the *TRUE* algorithms

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 Standard code performance is fairly insensitive to the increase in the number of time-frequency basis functions → spatial beamforming

 Maxi-min performance depends greatly on the number of basis functions → true space-time solutions

Heuristic SCR Convergence

Note: 1 basis function case essentially implies a spatial code

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FORM OF THE TRANSMIT SIGNAL

- Recall our initial goal To come up with optimal and true space-time codes, i.e. *different time-frequency signals propagate* on *different transmitters*
- How close do we reach to this goal ?
- Results show that for the basic codes the temporal signals on the different elements are perfectly correlated – i.e. pure spatial beamforming
- While for the maxi-mins the individual signals are typically only partially correlated – true space-time operation

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FORM OF THE TRANSMIT SIGNAL

- Nothing in the algorithm tells it what solutions to converge to
- The structure that exists can be used for synthesizing both spatial and space-time solutions
- It just converges to the optimal solution for the particular case

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Any other means to synthesize identical illumination patterns (except by transmitting dissimilar transmit signals on different antennas) is not possible

Heuristic SCR Convergence

Heuristic SCR Convergence

FORM OF THE INCIDENT SIGNAL ON TARGETS

- More interesting than the form of transmit signal is the form of incident signals on the targets
- Resulting signal at any target is due to the coherent summation of all the individual temporal signals of different transmitters
- Separable or spatial codes
 - Individual temporal signals identical
 - Resulting time-frequency spectra also identical at the different target locations
- Non-separable or space-time codes
 - Coherent summation of *dissimilar* temporal signals of different antennas
 - Time-frequency spectra completely different at different target locations
- Potential for target resolution

Magnitude Response due to Maximum SCR (Spatial Code)

Magnitude Response due to Heuristic SCR Convergence (True Space-Time Code)

FORM OF THE SIGNAL INCIDENT ON TARGETS – ANOTHER PROSPECT

 Owing to the dissimilar magnitude responses, the cross-correlation between even those targets can be reduced that are non-resolvable in delay and doppler.

• Or the main lobe of the timefrequency ambiguity function can be narrowed

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Maximum Energy (Spatial Code)

Heuristic SCR Convergence (Space-Time Code)

Correlation coefficient between response of Target 1 and other Targets

- **True Space Time Codes** the illumination pattern can change from pulse to pulse or frequency to frequency or even sample to sample, giving it additional versatility
- **Spatial Codes** all antennas propagate the same temporal signal, and thus their coherent summation results in a constant illumination pattern with respect to time and frequency on the ground

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