

Beam Space Signal Processing for Directional Transmission Phased Arrays

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Contents

Abstract	v
Declaration	vii
Acknowledgements	ix
Publication	xi
List of Figures	xiii
List of Tables	xvii
List of Symbols	xix
Functions and Operators	xix
Variables	xx
Glossary	xxix
1 Introduction	1
1.1 Motivation	3
1.1.1 Formulation of BS Processing for Directional Transmission Case	3
1.1.2 Properties of Directional Transmission BS Processing	3
1.1.3 Spatial Signal Processing of Coherent Signals in BS	4
1.2 Thesis Outline and Main Contributions	4
1.2.1 Chapter Summaries	5
2 Array Signal Processing Background	9
2.1 Introduction to Phased Arrays	9
2.2 Model of Independent Signals Mixed with White Noise in ES	11
2.3 Array Processing: ES	12
2.3.1 Conventional Beamforming	13
2.3.2 Optimum Beamforming	14
2.3.3 Subspace Algorithms	15
2.4 Summary	16
3 Standard Beam Space Processing	17
3.1 Introduction to BS Processing	17
3.2 Standard BS Processing	19
3.2.1 Standard BS Signal Model	19
3.2.2 Conventional BS Beamforming	20
3.2.3 Optimum BS Beamforming	20
3.2.4 BS Subspace Method	21
3.3 Examples of Standard BS Processing	23

Contents

3.4	BS Processing with Different Number of Beams	25
3.4.1	BS Beamformer in a Full Angular Sector	26
3.4.2	BS Beamformer in a Subsector	28
3.5	BS Processing in the Region outside the Sector of Interest	30
3.5.1	BS Model with an Out of Sector Interference	30
3.5.2	Optimum BS Beamformer Output in the Presence of an Out of Sector Interference	31
3.5.2.1	Optimum BS Beamformer Output at the DOA of an In Sector Signal	31
3.5.2.2	Optimum BS Beamformer Output at the DOA of an Out of Sector Interference	33
3.5.2.3	Examples of Optimum BS Beamforming Output in the Region outside the Sector of Interest	34
3.6	Summary	36
4	Directional Transmission Beam Space Processing	37
4.1	Formulation of Directional Transmission BS Processing	39
4.1.1	Directional Transmission Model	39
4.1.2	Application of Standard BS Processing to Directionally Transmitted BS Data	42
4.1.3	Formulation of Directional Transmission BS Processing	46
4.2	Performance Evaluation of Directional Transmission Optimum BS Beamformer	49
4.2.1	Theoretical Analysis	50
4.2.2	Numerical Analysis	52
4.2.3	Results on Simulated data	53
4.3	Summary	54
5	Properties of Directional Transmission Beam Space Processing	55
5.1	Directional Transmission BS Processing for the Region outside of the Sector of Interest	56
5.1.1	Directional Transmission BS Model with an Out of Sector Interference	56
5.1.2	Optimum BS Beamformer Output at the DOA of a Scatterer outside the Sector	57
5.1.3	Using MUSIC to Estimate the DOA of an Interference	59
5.2	Mitigation of the High Response outside the Sector of Interest	60
5.2.1	High Response Mitigation Using Virtual Beams	60
5.2.2	High Response Mitigation by Scaling Optimum BS Beamformer Output	63
5.3	Directional Transmission BS Processing for the Region inside the Sector of Interest	66
5.3.1	Output at DOAs of Scatterers inside the Sector of Interest	66
5.3.2	Spurious Spectral Peak inside the Sector of Interest	67
5.3.2.1	Analysis of Spurious Spectral Peak	67
5.3.2.2	Spurious Spectral Peak Mitigation by Projection	72
5.4	BS Processing with Array Errors	74

5.4.1	Model of Directional Transmission BS with Errors	75
5.4.2	Introduction to Robust Beamforming	76
5.4.3	Robust BS Beamforming	77
5.4.4	Examples of Robust BS Beamforming	78
5.5	Cramér–Rao Bounds for DOA Estimation	81
5.5.1	CRBs for DOA Estimation in Omni-directional ES and BS Cases	81
5.5.2	CRB for DOA Estimation in Directional Transmission BS Case	82
5.6	Optimum BS Beamforming with a Moving Scatterer	85
5.7	Summary	87
6	Beam Space Processing for Coherent Signals	89
6.1	Impact of Signal Correlation on the Performance of BS Processing	90
6.1.1	Model of Correlated Signals	90
6.1.2	Conventional BS Beamformer Output with Correlated Signals	92
6.1.3	Optimum BS Beamformer Output with Correlated Signals	94
6.1.3.1	Optimum BS Beamformer Output Power at DOAs of Correlated Signals in Omni-directional Transmission Case	94
6.1.3.2	Optimum BS Beamformer Output Power at DOAs of Correlated Signals in Directional Transmission Case	95
6.1.4	Eigen-decomposition of a BS Covariance Matrix for the Case of a Group of Coherent Signals	98
6.2	Direction-of-Arrival Estimation for Coherent Signals	99
6.2.1	Spatial Smoothing	100
6.2.2	DOA Estimation for Coherent Signals in Omni-directional Transmission BS Case	102
6.2.2.1	Relationship between Omni-directional Transmission BS and ES Noise Subspaces	104
6.2.2.2	Reconstruction of ES Coherent Signal Subspace from BS Covariance Matrix	104
6.2.2.3	An Example of Applying Spatial Smoothing and MUSIC to Estimated ES Covariance Matrix	109
6.2.2.4	DOA Estimation of a Mixture of Uncorrelated and Coherent Signals	110
6.2.2.5	The Number of Coherent Signals	113
6.2.3	DOA Estimation for Coherent Signals in Directional Transmission BS Case	114
6.2.3.1	Spatial Decorrelation of Directional Transmission Coherent Signals in ES	114
6.2.3.2	Feasibility of Reconstructing ES Signal Subspace for Directional Transmission BS Case	116
6.2.3.3	DOA Estimation for Coherent Signals in Directional Transmission BS Case Using a newly Derived Matrix	117
6.2.3.4	Estimating \mathbf{Q}_s from Directional Transmission BS Data	118

Contents

6.2.3.5 Results of Estimating DOAs of Coherent Signals Using $\tilde{\mathbf{Q}}_s$	120
6.2.4 Other Potential Approaches for Estimating DOAs of Coherent Signals in BS	122
6.3 Optimum BS Beamformer for Coherent Signals with a Priori Knowledge of DOAs	122
6.4 Summary	124
7 Application of Beam Space Processing to Real Experimental Data	125
7.1 Description of PTWR and DSTG STF BS Experimental Data	126
7.1.1 Details of Phase Tilt Weather Radar	126
7.1.2 Description of DSTG Experimental Data	127
7.2 Results of BS Processing for PTWR Experimental Data	128
7.2.1 Apply Directional Transmission Optimum BS Beamforming to PTWR Experimental Data	128
7.2.2 Apply Robust BS Beamforming to PTWR Experimental Data	129
7.2.3 Apply DOA Estimation Algorithm for Coherent Signals in Directional Transmission BS to PTWR Experimental Data	133
7.3 Summary	136
8 Conclusion	137
8.1 Chapter Summaries	138
8.2 Future Work	140
Appendix A Linear Transformation between Subspaces of Omni-directional Transmission ES and BS	143
A.1. Independent Signals Case	143
A.2. Coherent Signals Case	144
Appendix B Details of Perturbations in the Robust BS Beamforming Example	147
Appendix C Cramér–Rao Bounds for DOA Estimation in ES and BS	151
C.1. Cramér–Rao Bounds for DOA Estimation in ES Case	151
C.2. Cramér–Rao Bounds for DOA Estimation in Omni-directional Transmission BS Case	153
C.3. Cramér–Rao Bounds for DOA Estimation in Directional Transmission BS Case	155
Appendix D Applying Optimum Beam Space Beamformer to Correlated Signals	157
Appendix E DOA estimation for Several Groups of Coherent Signals	163
Appendix F Averaging over Reconstructed Directional Transmission ES Covariance Matrices	165
Bibliography	169

Abstract

Beam space (BS) processing is a spatial signal processing technique using beam output data. For example, the BS beamformer applies weights to a set of beam outputs, which are then summed to form a new output. In this way, advanced optimum spatial signal processing algorithms can be applied when the element outputs are not accessible. However, existing BS processing algorithms are based on a model that assumes a passive receiving system or for active systems that the transmission is omni-directional and can be ignored. When the transmission is directional as is typical for phased arrays that electronically scan over a given sector, such methods are mismatched and result in significant performance degradation.

The first part of this thesis presents a new formulation of BS processing for the scenario where relatively narrow beams are directionally transmitted and received and then scanned over a given sector of interest. New formulae are developed for this case and the performance of the new formulae is analysed.

The second part of this thesis is focused on the properties of directional transmission BS processing. When beams are formed in a sector of interest, problems related to the region outside the sector of interest are investigated, including analysing the output in the direction-of-arrival (DOA) of an interference lying outside the sector of interest, removing the high response in the region outside the sector of interest and mitigating a spurious output peak caused by the interference. Additionally, phased array errors cause the array response to be different from that being assumed and can seriously degrade the performance of the BS beamformer, a robust BS beamformer is developed to improve the tolerance to errors. Cramér–Rao Bounds (CRB) for DOA estimation for the directional transmission BS are derived and compared with the omni-directional element space (ES) and BS cases. The performance of the optimum BS beamformer for a non-stationary scatterer is evaluated.

The third part of this thesis deals with BS processing for coherent signals. The commonly used subarray algorithms for removing coherence in the ES processing cannot be applied to the BS problem directly. A method of reconstructing the ES signal subspace is developed for the omni-directional transmission BS case, and then existing methods, such as MUSIC, in ES processing can be applied. For the directional transmission BS case, a method is proposed to reconstruct a matrix which is a summation of weighted self-outer products of ES signal steering vectors, and this matrix allows the DOAs of coherent signals to be estimated regardless of coherence.

Finally, the developed algorithms are investigated by carrying out spatial processing on real experimental data containing stationary targets.

Declaration

I certify that this work contains no material which has been accepted for the award of any other degree or diploma in my name, in any university or other tertiary institution and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made in the text. In addition, I certify that no part of this work will, in the future, be used in a submission in my name, for any other degree or diploma in any university or other tertiary institution without the prior approval of the University of Adelaide and where applicable, any partner institution responsible for the joint-award of this degree.

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Signed

Date

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List of Figures

Figure 1-1: Two types of transmissions in phased array applications.	2
Figure 2-1: A diagram of beamforming for a signal incident on a uniform linear array.	13
Figure 3-1: A diagram of BS beamformer	17
Figure 3-2: Theoretical output power values of conventional and optimum beamformers for both ES and BS versus azimuthal angle.	23
Figure 3-3: Theoretical output values of MUSIC algorithm for both ES and BS versus azimuthal angle.	23
Figure 3-4: Simulated output power values of conventional and MVDR beamformers for both ES and BS versus azimuthal angle.	24
Figure 3-5: Simulated output values of MUSIC algorithm for both ES and BS versus azimuthal angle.	25
Figure 3-6: Theoretical output power values of conventional and optimum beamformers for both ES and BS versus azimuthal angle.	27
Figure 3-7: Simulated output power values of conventional and optimum beamformers for both ES and BS versus azimuthal angle.	27
Figure 3-8: Averaged differences between output power values of BS and ES MVDR beamformers versus d/λ .	28
Figure 3-9: Theoretical output power values of conventional, optimum ES and subsector BS beamformers versus azimuthal angle.	29
Figure 3-10: A zoomed in view of the theoretical output power of conventional, ES MVDR and subsector BS MVDR beamformers in the sector of interest.	29
Figure 3-11: An example of values of $H(\theta_s)H(25^\circ)$ and $B_H(\theta_s, 25^\circ)$.	32
Figure 3-12: An example of value of $K/H(\theta_s)$.	32
Figure 3-13: An example of values of $H(17.9^\circ)H(\theta_I)$ and $B_H(17.9^\circ, \theta_I)$.	33
Figure 3-14: An example of subsector BS MVDR output power values with an interference at -5° with 10 dB INR.	34
Figure 3-15: An example of subsector BS MVDR output power value versus azimuthal angle with an interference at -10° with 10 dB INR.	35
Figure 3-16: An example of simulated subsector BS MVDR output power values simulated with an interference at -10° with 10 dB INR.	35
Figure 3-17: An example of subsector BS MVDR output with an interference at -15° with 3 dB INR.	36
Figure 4-1: A diagram of a narrow beamwidth directional Tx/Rx beam scanning over a sector of interest.	37
Figure 4-2: Plane wave propagation by using a directional Tx/Rx phased array.	39
Figure 4-3: An example of applying the standard BS MVDR formula to the directional transmission model (single scatterer) and comparing with the normalised ES conventional and MVDR beamformers.	44
Figure 4-4: Beamformer output power versus SNR, when standard MVDR BS formula is applied to a directional transmission BS model containing only one signal.	45
Figure 4-5: Beamformer output power value versus DOA of the in sector signal, when standard MVDR BS formula is applied to a directional transmission BS model containing only one signal.	45
Figure 4-6: An example of applying the standard optimum BS formula to a directional transmission model (two targets) and comparing with the ES conventional and MVDR beamformers.	46
Figure 4-7: An example of values of $k_y(\theta)$ and $ B(\theta, 8^\circ) $.	50
Figure 4-8: An example of applying the directional transmission optimum BS, conventional and optimum ES beamformers to the directional transmission model of two independent signals.	52
Figure 4-9: An example of applying the directional transmission BS MVDR formula to simulated directional transmission BS covariance matrix and comparing with the ES conventional and MVDR beamformers.	53
Figure 5-1: An example of inner product values of $k_y(\theta)K_y$ and $ B(\theta, 8^\circ) ^2$.	58

List of Figures

Figure 5-2: An example of subsector optimum BS beamformer output, where interference power is contaminated by the high response outside of the sector of interest.	58
Figure 5-3: An example of applying BS MUSIC algorithm to a scenario with two independent signals and an interference with 10 dB INR at -5°.	60
Figure 5-4: An example of using virtual beams to remove the optimum BS beamformer high response outside the sector of interest, with an interference whose INR = 10 dB, DOA at -5°.	62
Figure 5-5: An example of using virtual beams to remove the optimum BS beamformer high response outside the sector of interest, an interference with 40 dB INR, DOA at -5°.	62
Figure 5-6: Averaged optimum BS beamformer output power values outside the sector of interest versus the number of virtual beams.	63
Figure 5-7: An example of using scaling algorithm to remove the optimum BS beamformer high response outside the sector of interest.	64
Figure 5-8: Optimum BS beamformer output with scaling algorithm at the DOA of the interference versus different INR value.	65
Figure 5-9: An example of applying the directional transmission BS MVDR formula to a model containing a strong interference as 40 dB INR near the sector edge.	67
Figure 5-10: Eigen-spectrum of a BS covariance matrix for a single interference with 40 dB INR near the sector edge.	68
Figure 5-11: An example of applying the directional transmission BS MVDR formula to a model with an interference with 20 dB INR near the sector edge.	68
Figure 5-12: The beam pattern at the angle where a spurious peak appears.	69
Figure 5-13: An example of inner product values of $k_y(\theta)$ and $ B(\theta, 20^\circ) $.	69
Figure 5-14: The value of the spurious peak inside the sector of interest at 17° versus INR at 20°.	70
Figure 5-15: An example of applying the directional transmission BS MVDR formula to a model with two independent signals and a strong interference near the sector edge.	71
Figure 5-16: An example of BS MUSIC output contains a spurious peak.	71
Figure 5-17: An example of using orthogonal projection to mitigate the spurious peak inside the sector of interest caused by an interference.	72
Figure 5-18: The beam pattern of optimum BS beamformer after oblique projection at the angle of the spurious peak.	74
Figure 5-19: An example of using oblique projection to mitigate the spurious peak caused by the interference.	74
Figure 5-20: An example of applying robust BS beamforming to a scenario of the directional transmission BS model containing perturbations.	79
Figure 5-21: An example of applying robust BS beamforming to a simulated data using a directional transmission BS model containing perturbations.	80
Figure 5-22: An example of statistics of robust BS beamformer outputs with 512 independent realisations of simulated data based on a directional Tx BS model containing perturbations.	80
Figure 5-23: The CRBs for DOA estimation in the omni-directional transmission ES, BS and directional transmission BS cases versus the number of snapshots. The number of beams is 8.	83
Figure 5-24: The CRBs for DOA estimation in the omni-directional transmission ES, BS and directional transmission BS cases versus the number of snapshots. The number of beams is 20.	84
Figure 5-25: The CRBs for DOA estimation in the omni-directional transmission ES, BS and directional transmission BS versus the number of beams, where the number of snapshots is 1000.	84
Figure 5-26: The output power values of the directional transmission BS MVDR beamformer for a stationary scatterer and a non-stationary scatterer with different moving speeds.	87
Figure 6-1: An example of values of $H(\theta)$ and $ \beta(\theta, 8^\circ) $.	93
Figure 6-2: An example of outputs of the directional transmission conventional and optimum BS beamformers for a model of two coherent signals.	96
Figure 6-3: Directional transmission optimum BS beamformer output power value at the DOA of the signal ($\theta_{s1} = 8^\circ$) versus different SNR.	96

List of Figures

Figure 6-4: Directional transmission optimum BS beamformer output power value at the DOA of the signal ($\theta_{s1} = 8^\circ$) versus the SNR of the other signal whose DOA is 15° and $\rho_{12} = j$.	97
Figure 6-5: Directional transmission optimum BS beamformer output power value at the DOA of the signal ($\theta_{s1} = 8^\circ$) versus correlation coefficient $\rho_{12} = \gamma j$, $0.1 \leq \gamma \leq 1$.	97
Figure 6-6: The forward/backward spatial smoothing scheme.	102
Figure 6-7: The value of $\frac{\ \mathbf{h}_s\ ^2}{\ \mathbf{v}_s\ ^2}$ versus the number of beams in a sector of interest.	106
Figure 6-8: The absolute value of the correlation coefficient between $\tilde{\mathbf{v}}_s$ and \mathbf{v}_s versus number of beams in the sector of interest.	108
Figure 6-9: An example of applying spatial smoothing and MUSIC algorithms to a reconstructed ES covariance matrix of a model containing two coherent signals.	109
Figure 6-10: A simulation example of applying spatial smoothing and MUSIC algorithms to the reconstructed ES covariance matrix containing two coherent signals.	110
Figure 6-11: The flow diagram for estimating DOAs of a mixture of coherent and uncorrelated signals.	111
Figure 6-12: An example of eigenvalues of BS covariance matrix mixed with two coherent signals and two uncorrelated signals.	112
Figure 6-13: An example of BS conventional beamforming and MUSIC outputs for two coherent signals and two uncorrelated signals.	112
Figure 6-14: An example of DOA estimation for a mixture of uncorrelated and coherent signals.	113
Figure 6-15: An example of applying MUSIC algorithm to the average over the ES covariance matrices for different directionally transmitted beams.	115
Figure 6-16: An example of applying MUSIC algorithm to estimated \mathbf{Q}_s .	120
Figure 6-17: A simulation example of applying MUSIC algorithms to $\tilde{\mathbf{Q}}_s$.	121
Figure 6-18: An example of BS conventional and LCVM beamformer outputs versus azimuthal angle with prior information about DOAs.	123
Figure 7-1: Photos of the Phase Tilt Weather Radar	126
Figure 7-2: DSTG BS data H pol return power at different range and azimuthal angle	127
Figure 7-3: Results of applying the directional transmission BS MVDR formula to experimental BS data in the range bin 294 and comparing with the conventional and standard MVDR BS beamformers.	129
Figure 7-4: Results of applying the robust BS beamformer to experimental BS data in the range bin 294 and comparing with directional transmission conventional and optimum BS beamformers.	130
Figure 7-5: Results of applying the robust BS beamforming method to experimental BS data in the range bin 264 and comparing with the conventional and optimum BS beamformers.	131
Figure 7-6: Results of applying the robust BS beamformer to the DSTG experimental data in the range bin 44.	131
Figure 7-7: Results of applying robust BS beamformer to the DSTG experimental data at a range bin 44, with a large value of ϵ .	132
Figure 7-8: Eigenvalues of the BS covariance matrix estimated using the BS data in the range bin 44 of the fifth scan of the DSTG STF experimental data.	134
Figure 7-9: DOA estimation of returns in the range bin 44 of the fifth scan of the DSTG STF experimental data.	134
Figure 7-10: DOA estimation of returns in the range bin 52 of the fifth scan of the DSTG STF experimental data.	135
Figure B-1: Amplitudes of element gain errors.	147
Figure B-2: Phases of element gain errors.	147
Figure B-3: Element location errors.	148
Figure B-4: Tx/Rx beam steering centre angle errors.	150
Figure E-1: An example of BS processing for two groups of coherent signals.	164
Figure F-1: An example of applying MUSIC algorithm to a matrix averaging over reconstructed directional transmission ES covariance matrices.	166

List of Figures

List of Tables

Table B-1: Details of a phased array element errors.....	154
Table B-2: Details of a phased array beam steering centre errors	156

List of Symbols

Functions and Operators

$(\cdot)^*$	complex conjugate
$(\cdot)^H$	Hermitian transpose
$(\cdot)^T$	transpose
$(\cdot)^+$	Moore-Penrose pseudoinverse
$\lfloor \cdot \rfloor$	integer part of the expression
\circ	Hadamard product
\otimes	Kronecker product
$\frac{d\boldsymbol{v}(\boldsymbol{\theta})}{d\boldsymbol{\theta}}$	the first order derivative of $\boldsymbol{v}(\boldsymbol{\theta})$ respect to $\boldsymbol{\theta}$
$\frac{\partial \boldsymbol{v}(\boldsymbol{\theta}_{sl})}{\partial \boldsymbol{\theta}_{sl}}$	the first order partial derivative of $\boldsymbol{v}(\boldsymbol{\theta}_{sl})$ regards to $\boldsymbol{\theta}_{sl}$
$\det(\cdot)$	determinant of a matrix
$E\{\cdot\}$	expectation or ensemble averaging
$\exp(\cdot)$	exponential function
$\ln(\cdot)$	natural logarithm, logarithm to the base e
$\text{rank}(\cdot)$	rank of a matrix
$Re[\cdot]$	real part of a complex expression
$\text{span}\{\cdot\}$	form a space spanned by vectors
$\text{tr}[\cdot]$	trace of a matrix
$\text{unif}(\cdot)$	uniform distribution
$\text{vec}[\cdot]$	stack the columns of a matrix on top of each other

Variables

α	Hermitian product of $\mathbf{w}(\theta_{s1})$ and $\mathbf{h}(\theta_{s2})$
$\beta(\theta_{s1}, \theta_{s2})$	Hermitian product of $\mathbf{h}(\theta_{s1})$ and $\mathbf{h}(\theta_{s2})$
$\beta_d(\theta_{s1}, \theta_{s2})$	Hermitian product of $\mathbf{v}_y(\theta_{s1})$ and $\mathbf{v}_y(\theta_{s2})$
γ	amplitude of correlation coefficient between two signals
δ_k	position error at the k -th element
ϵ	Maximum squared Euclidean distance from the assumed steering vector in an uncertainty set
θ	azimuthal angle
$\Delta\theta$	azimuthal angle difference of a non-stationary scatter between two adjacent pulses
Θ_s	DOAs of source signals
$\hat{\Theta}_s$	estimated DOAs of signals
Θ_B	azimuthal angles of transmit beam centres
Θ_{sc}	DOAs of coherent signals
Θ_{su}	DOAs of uncorrelated signals
λ	wavelength of transmit signal
λ_i	the i -th eigenvalue of ES covariance matrix
λ_{yi}	the i -th eigenvalue of BS covariance matrix
Λ	A diagonal matrix with eigenvalue of ES covariance matrix on the diagonal
Λ_y	A diagonal matrix with eigenvalue of BS covariance matrix on the diagonal
μ	Langrange multiplier
μ_k	complex gain error on the k -th element
ρ_{ij}	correlation coefficient between two signals $s_i(t)$ and $s_j(t)$

List of Symbols

ρ'_l	weighted correlation coefficient in (6-26)
σ_I^2	power of interference
σ_n^2	power of noise
σ_s^2	combined power of a group of coherent signals
σ_{si}^2	power of the i -th signal
Σ	Singular values
φ	a vector, whose l -th element is $\pi \sin \theta_{sl}$
$e^{j\varphi}$	random phase shift
ϕ_m	difference between the actual and assumed MRA of the m -th beam
$\omega(\theta)$	constrained optimisation function for MVDR
$B(\theta_1, \theta_2)$	Hermitian product of directional transmission BS steering vectors $\mathbf{v}_y(\theta_1)$ and $\mathbf{v}_y(\theta_2)$
$B_H(\theta_1, \theta_2)$	squared Hermitian product of $\mathbf{h}(\theta_1)$ and $\mathbf{h}(\theta_2)$
$bp(\theta', \theta)$	beam pattern at θ' when the MRA is at a look angle θ
$bp_l(\theta_m)$	beam pattern of the m -th transmitted beam at the DOA of the l -th signal
BW	beam width
c	number of constraints for LCMV
C	matrix of c LCMV constraints
$\mathcal{C}_e(\theta_s)$	covariance matrix of estimation errors
$\mathcal{C}_{CR}(\theta_s)$	ES CRB for estimating θ_s
$\mathcal{C}_{CR-h}(\theta_s)$	omni-directional transmission BS CRB for estimating θ_s
$\mathcal{C}_{CR-vy}(\theta_s)$	directional transmission BS CRB for estimating θ_s
d	separation space between receivers
\mathbf{d}_l	the l -th column of \mathbf{D} , the first order partial derivative of ES steering vector, $\mathbf{v}(\theta_{sl})$, regards to θ_{sl}
\mathbf{D}	the first order derivative of V_s

List of Symbols

\mathbf{D}_H	the first order derivative of \mathbf{H}
$\mathbf{D}_{V_y}(\theta_s)$	the first order derivative of $\mathbf{V}_y(\theta_s)$
\mathbf{e}	a vector contains errors occur at different elements
\mathbf{E}_{IS}	oblique projection matrix
\mathbf{E}_n	noise subspace
\mathbf{E}_s	signal subspace
\mathcal{F}	Fisher's information matrix
\mathbf{g}	vector of constraint values
$G(\theta)$	gain of conventional BS beamformer at θ
$\mathbf{h}(\theta)$	omni-directional transmission beam space steering vector at θ
$\mathbf{h}'(\theta)$	SFS BS steering vector
$\dot{\mathbf{h}}(\theta_{sl})$	the l -th column of \mathbf{D}_H
$\mathbf{h}(\theta_{su})$	the uncorrelated signal vectors
\mathbf{h}_s	omni-directional transmission generalised coherent BS steering vector
\mathbf{h}_{sc}	omni-directional transmission generalised coherent BS steering vector(s)
\mathbf{H}	A matrix whose columns are the omni-directional BS steering vectors of signals
$H(\theta)$	squared Euclidean norm of BS steering vector $\mathbf{h}(\theta)$
H_c	the approximated constant value of $H(\theta)$
$H_y(\theta_s)$	squared Hermitian product of $\mathbf{h}(\theta_s)$ and $\mathbf{v}_y(\theta_s)$
\mathbf{i}	interference(s)
\mathbf{I}	identity matrix
$\Delta \mathbf{I}$	diagonal loading in a manner of identity matrix
\mathbf{J}	exchange matrix
$k_y(\theta)$	squared Euclidean norm of BS steering vector $\mathbf{v}_y(\theta)$

List of Symbols

K	number of receivers
K_y	an approximated constant value of $k_y(\theta)$ in the sector of interest
L	number of signals
$L(\theta_s)$	likelihood function
Lc	number of groups of coherent signals
\mathbf{m}_s	mean of signal component in receiver outputs
M	number of beams
n	receiver noise
N	number of pulses (samples), number of averaging in spatial smoothing
N_e	number of extra virtual beams
$p_{x \theta_s}$	probability density for a single snapshot vector
$p_{CB-ES}(\theta)$	output power of conventional ES beamformer at θ
$p_{MUSIC-BS}(\theta)$	BS MUSIC output at θ
$p_{MUSIC-ES}(\theta)$	ES MUSIC output at θ
$p_{MUSIC-Q_s}(\theta)$	MUSIC output at θ using singular vectors of \mathbf{Q}_s
$p_{MVDR-BS}(\theta)$	output power of optimum BS beamformer at θ
$p_{MVDR-ES}(\theta)$	output power of optimum ES beamformer at θ
$\mathbf{P}_{\mathbf{V}_I}^\perp$	orthogonal projection to \mathbf{V}_I
$\mathbf{q}_1(\theta_m)$	the principal eigenvector of $\mathbf{R}_x(\theta_m)$
\mathbf{q}_{1s}	the principal eigenvector the stacked ES covariance matrix
\mathbf{q}_i	eigenvector associated with the i -th eigenvalue of ES covariance matrix
\mathbf{q}_{yi}	eigenvector associated with the i -th eigenvalue of BS covariance matrix
\mathbf{q}_{yc1}	the principal eigenvector of BS coherent signal covariance matrix
\mathbf{Q}_s	summation of weighted self-outer products of ES signal steering vectors

List of Symbols

$\tilde{\mathbf{Q}}_s$	estimated \mathbf{Q}_s
\mathbf{Q}_y	unitary matrix contains eigenvectors of BS covariance matrix
r_b	ratio between the target's location change and beam width
\mathbf{R}_{FB}	forward/backward spatially smoothed covariance matrix
$\tilde{\mathbf{R}}_n$	reconstructed ES noise covariance matrix
\mathbf{R}_s	source signal covariance matrix
$\hat{\mathbf{R}}_s$	estimate of the source covariance matrix
$\mathbf{R}'_s(\theta_m)$	source signal covariance matrix weighted by the beam patterns of the m -th transmission beam
\mathbf{R}_{sc}	coherent source signal covariance matrix
\mathbf{R}_{su}	uncorrelated source signal covariance matrix
\mathbf{R}_{SS}	forward spatially smoothed covariance matrix
\mathbf{R}_u^f	full rank $L \times L$ matrix generated by spatial smoothing
\mathbf{R}_x	ES covariance matrix
$\mathbf{R}_x(\theta_m)$	ES covariance matrix at the m -th directionally transmitted beam
$\mathbf{R}_x^{(i)}$	ES covariance matrix of the i -th subarray
$\tilde{\mathbf{R}}_x$	reconstructed ES covariance matrix using matrix inverse
$\tilde{\mathbf{R}}'_x$	reconstructed ES covariance matrix from the BS principal eigenvector
$\bar{\mathbf{R}}_x$	average over ES covariance matrices at different directional transmit beams
$\mathbf{R}_{xb}^{(i)}$	covariance matrix of the i -th backward subarray
$\tilde{\mathbf{R}}_{xc}$	reconstructed ES coherent signal covariance matrix from the BS principal eigenvector
\mathbf{R}_{xs}	stacked ES covariance matrix
\mathbf{R}_y	BS covariance matrix
$\mathbf{R}_{y(1)}$	BS covariance matrix for a single signal

List of Symbols

$\mathbf{R}_{y(1,2)}$	BS covariance matrix for two signals
$\mathbf{R}_{y(2)}$	BS covariance matrix when only the second signal is incident
\mathbf{R}_{y_1}	BS covariance matrix for a non-stationary scatterer only
\mathbf{R}_{y_2}	BS covariance matrix for a stationary scatterer only
$\mathbf{R}_{y\text{-aug}}$	BS covariance matrix with virtual beams
$\mathbf{R}_{y(\bar{l})}$	BS covariance matrix without the returns from the \bar{l} -th scatterer
\mathbf{R}_{yI}	Beam space covariance for a model with interference(s)
$\mathbf{R}_{y(I)}$	BS covariance matrix for a single interference only
$\mathbf{R}_y^{\perp I}$	interference orthogonal projected covariance matrix
\mathbf{R}_{yn}	directional transmission BS noise covariance matrix
\mathbf{R}_{y-ob}	BS covariance matrix after oblique projection
\mathbf{R}_{ysfs}	SFS BS covariance matrix
\mathbf{s}	source signals
$s_{cl}(t)$	part of a mixed signal and is correlated to the transmitted signal
$s_{ul}(t)$	part of a mixed signal and is uncorrelated to the transmitted signal
$s_T(\theta_m, \theta_{sl})$	signal transmitted to θ_{sl} through the sidelobe leakage of a beam whose MRA is at θ_m
$\mathbf{s}_{TR}(\theta_m, \theta_{sl})$	array outputs due to a reflected signal at θ_{sl} , which is transmitted through a sidelobe leakage of a beam whose MRA is at θ_m
t	time moment
\mathbf{U}	linear transformation between stacked ES and BS covariance matrices
\mathbf{U}_{sv}	matrix contains the left singular vectors
$\mathbf{v}(\theta)$	ES ULA steering vector at angle of θ
$\hat{\mathbf{v}}(\theta_{sl})$	ES steering vector at θ_{sl} but with errors
$\mathbf{v}_p(\theta)$	stacked ES steering vector

List of Symbols

\boldsymbol{v}_s	generalised coherent steering vector in ES
$\tilde{\boldsymbol{v}}_s$	reconstructed generalised coherent steering vector in ES
$\tilde{\boldsymbol{v}}_{ss}$	reconstructed stacked generalised coherent steering vector in ES
$\boldsymbol{v}_x(\theta_{si}, \theta_m)$	ES steering vector at θ_{si} when a signal is directionally transmitted by a beam whose MRA is at θ_m
$\boldsymbol{v}_y(\theta)$	directional transmission BS steering vector at θ
$\tilde{\boldsymbol{v}}_y(\theta_{sl})$	directional transmission BS steering vector at directional θ_{sl} but with errors
$\boldsymbol{v}_{y-aug}(\theta)$	directional transmission BS steering vector with virtual beams
\boldsymbol{v}_{ys}	generalised coherent signal steering vector in directional transmission BS
\boldsymbol{V}	matrix containing the ES steering vectors at directions of formed beams
\boldsymbol{V}'	SFS BS transformation matrix
$\boldsymbol{V}_B(\Theta_B)$	same as \boldsymbol{V} , formed beams centres are at Θ_B
\boldsymbol{V}_I	matrix contains the BS steering vector(s) for interference(s)
$\boldsymbol{V}_s(\theta_s)$	matrix contains the ES steering vectors at DOAs
\boldsymbol{V}_{sv}	matrix contains the right singular vectors
$\hat{\boldsymbol{V}}_s(\theta_s)$	matrix contains the ES steering vectors at DOAs but with errors
$\boldsymbol{V}_s^{(N)}(\theta_s)$	matrix containing all the source signal steering vectors in a subarray with N elements
$\boldsymbol{V}_{\tilde{s}}$	subspace to keep in the oblique projection
$\boldsymbol{V}_x(\theta_s, \theta_m)$	matrix contains steering vectors of DOAs with a directional transmission beam whose centre is at θ_m
$\boldsymbol{V}_y(\theta_s)$	matrix contains directional transmission BS steering vectors at different DOAs
$\boldsymbol{w}(\theta)$	beamformer weight vector at θ
$\boldsymbol{w}_{MVDR-BS}(\theta)$	optimum BS beamformer weights vector at θ
$\boldsymbol{w}_{MVDR-ES}(\theta)$	optimum ES beamformer weights vector at θ

List of Symbols

$\boldsymbol{x}(t)$	element output vector at t
x_k	element output at the k -th element
$\boldsymbol{x}^{(i)}$	element output vector of the i -th subarray
$\boldsymbol{x}_b^{(i)}$	element output vector of the i -th backward subarray
\boldsymbol{x}_s	stacked element outputs over different transmit beam
\boldsymbol{y}	output vector of M conventional beams
$y(\theta)$	beamformer output in the direction at θ

Glossary

AIC	Akaike Information Criterion
BS	Beam Space
CRB	Cramér–Rao Bound
CRLB	Cramér–Rao Lower Bound
DOA	Direction-of-Arrival
DSTG	Defence Science and Technology Group
ES	Element Space
FBSS	Forward/Backward Spatial Smoothing
INR	Interference to Noise Ratio
IQ	In-phase and Quadrature
LCMV	Linear Constrained Minimum Variance
MDL	Minimum Description Length
MIMO	Multiple-Input and Multiple-Output
ML	Maximum Likelihood
MRA	Maximum Response Axis
MVDR	Minimum Variance Distortionless Response
PRF	Pulse Repetition Frequency
PTWR	Phase Tilt Weather Radar
RCS	Radar Cross Section
SFS	Sector Focused Stability
SNR	Signal to Noise Ratio

Glossary

STF	System Test Facility
SVD	Singular Value Decomposition
Tx/Rx	Transmit/Receive
ULA	Uniform Linear Array
UCA	Uniform Circular Array