Orthogonal Phase Coded Waveforms for MIMO Radars

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ABSTRACT

Modern radar systems employ multiple transmit antennas on transmit and multiple receive antennas on receive to improve many aspects of the system performance including improved target detection performance, improved angle estimation accuracy, decreased minimum detectable velocity. However these advantages are obtained only when orthogonal probing waveforms are emitted from each of the transmit antenna elements. These waveforms further need to have good autocorrelation and crosscorrelation properties for good range resolution and multiple target return separability. Many previous works presented noise-like pseudo random phase coded waveforms with good correlation properties. However these waveforms suffered from limited family size, zero-lag non-orthogonality and hence non uniform distribution of transmit power in space. This paper presents the design of phase coded pulse waveforms with good correlation properties, zero-lag orthogonality property, delay and add property that support Doppler compensation, large family size, simpler generation, constant modulus etc.

Keywords

Multiple Input Multiple Output Radar, four phase waveforms, orthogonal transmit waveforms, uniform transmit beampattern

1. INTRODUCTION

Radar systems transmit electromagnetic energy into free space and use the reflected energy to detect and locate desired targets of interest. Modern radar systems employ antenna array based transmit system and antenna array based receive system to improve many aspects of system performance. Multiple transmit antenna elements allow directive radiation of transmit power and multiple receive antenna elements allow directive reception of reflected echoes. The use of array based antenna systems allows angular parameters of the target to be determined accurately. Conventional phased array radars transmit fully coherent waveforms (possibly scaled by a complex constant) from their M different transmit antenna elements forming a strong transmit beam in the desired direction. Beamforming is performed only by the receive array (containing N antenna elements) to estimate the angular parameters of the target. Thus the transmit degrees of freedom are limited to one and receive degrees of freedom are N. However multiple input multiple output (MIMO) radars transmit diverse waveforms from their different transmit antenna elements and use joint processing of the received signals from the different receive array elements. While phased array radars employ only spatial diversity, MIMO radars employ both spatial and waveform diversity to improve many aspects of system performance. MIMO radars can employ widely spaced antennas [1] or collocated antennas [2]. While the former configuration offers improved spatial diversity to improve target detection capabilities the latter configuration improves the spatial resolution, parameter

identifiability and interference rejection capability. However the above advantages are achieved only with orthogonal waveforms with good autocorrelation and crosscorrelation properties at all time lags.

Deng [3], Liu [4] have initially proposed polyphase sets based on genetic algorithm and simulated annealing respectively. However the size of the sequence sets is small and do not satisfy the orthogonality requirement. They also suffer from Doppler degradation. Hao and Stoica [5] have proposed unimodular sequence sets based on cyclic algorithm having continuous phases over the range $[0,2\pi]$. This makes generation of signals at the transmitter and design of matched filters at the receiver difficult. Hammad [6] addressed the Doppler problems of Deng sequences but still the size of the sequence family is limited. Singh [7] proposed a simulated annealing algorithm combined with hamming scan algorithm for designing eight phase sequence sets. However the size the sequence sets is small and using eight phase sequence sets complex multiplications in the digital introduces implementation of matched filters at the receiver. It is also commented in [3] that using polyphase sequences with number of phases K > 4 does not yield a significant improvement.

MIMO radars allow phase shifts to be obtained for each transmit-receive antenna pair thereby increasing the degrees of freedom to MN. However these phase shifts could be obtained only by transmitting noncoherent probing signals from each transmit antenna. These probing signals should have zero-lag orthogonality property (for uniform illumination of space), good autocorrelation properties (for high range resolution), good crosscorrelation (for multiple target return separability and low interference at matched filter), constant modulus (for high transmit power efficiency), large sequence length (for high transmit energy), large family size (for immunity from jamming attacks), simpler generation and high degree of randomness. This paper presents the design of four phase pulse coded waveforms with large family size, simpler generation and good aperiodic correlation properties. The correlation properties of these sequences for MIMO radar systems have been studied in [9]. The scope of this paper is to present the construction and code optimization of these sequences for achieving zero-lag orthogonality property required for uniform illumination of transmit power in space. Section 2 presents the MIMO radar signal model and structure of phase coded pulse waveforms. Section 3 presents the construction of four phase pulse coded waveforms with good aperiodic correlation properties. Section 4 presents the code optimization procedure for achieving orthogonal pulse coded waveforms and also the numerical results. Section 5 concludes the paper.

2. MIMO RADAR SIGNAL MODEL

Consider a monostatic MIMO radar that contains M transmitters with the antenna elements configured as uniform linear arrays. We assume a point target and also that the target and transmitters lie in the same 2-D plane (see Fig. 1).



Let d_T represent the spacing between consecutive transmitters. Let θ be the target angle with respect to the broadside direction and λ is the carrier wavelength of the transmitted waveforms. Let $\{u_m(t)\}, m \in \{0, 1, ..., M - 1\}$ represent the *M* transmitter waveforms. All the transmit antennas transmit waveforms simultaneously in time. We further assume that the transmitter waveforms are narrowband and the baseband signal waveforms are not modified because of Doppler effect [16]. The correlation between two transmit waveforms $u_m(t)$ and $u_m(t)$ at zero time-lag is defined as

$$r_{m,m'} = \int_{0}^{T_0} u_m(t) u_{m'}^*(t) dt \tag{1}$$

and $\mathbf{R} = [r_{m,m'}]_{M \times M}$ represents the zero-lag correlation matrix of the *M* transmit waveforms.

2.1 Phase Coded Pulse Waveforms

The phase coded pulse waveform emitted by the m^{th} transmitter can be represented as

$$u_m(t) = \sum_{l=0}^{L-1} \phi_m(t - T_l),$$
 (2)

where

$$\phi_m(t) = \frac{1}{\sqrt{T_p}} \sum_{q=0}^{Q-1} c_{m,q} \operatorname{s}\left(\frac{t-q\Delta t}{\Delta t}\right)$$
(3)

$$s(t) = \begin{cases} 1 & \text{if } 0 < t < 1\\ 0 & \text{otherwise} \end{cases}$$
(4)

Here L represents the number of pulses emitted by each transmitter. Here, $c_{m,q}$ is the $(m,q)^{\text{th}}$ element of the code matrix $[\mathbf{C}]_{M \times Q}$ and it can assume a value from the set $\left\{e^{j\frac{2\pi}{K}0}, e^{j\frac{2\pi}{K}1}, \dots, e^{j\frac{2\pi}{K}(K-1)}\right\}. T_p = Q\Delta t \text{ is the duration of each}$ pulse and Δt is the duration of each subpulse. K is the phase number and represents the number of phases allowed by each polyphase waveform. Each row of the code matrix C represents the phase code associated with each transmitted waveform. Each column of the code matrix corresponds to the phase code transmitted by each of the M transmitters during the q^{th} subpulse. As shown in Fig. 2, each transmitter waveform $u_m(t)$ consists of a stream of L identical pulses $\phi_m(t)$. Each pulse in turn contains Q phase coded subpulses each having width Δt . For each of the transmitter waveforms $u_m(t)$ to be orthogonal (at zero Doppler and zero delay mismatch) i.e.,

$$\int_{-\infty}^{\infty} u_m(t) u_{m'}^*(t) dt = 0, \quad \forall m \neq m'$$
(5)

we require

$$\mathbf{C}\mathbf{C}^T = \mathbf{I}_{M \times M} \tag{6}$$

Orthogonal waveforms result in uniform illumination in all directions. For fixed Δt , these waveforms can be completely described by the code matrix $\mathbf{C} = [c_{m,q}]_{M \times Q}$ and the pulse spacings $(T_0, T_1, \dots, T_{L-1})$.



Figure 2: Structure of Phase-Coded Pulse waveforms

2.2 Correlation Metrics

The aperiodic cross-correlation $C_{m,n}(l)$ at a discrete shift l between the m^{th} phase code sequence $\{c_{m,q}, 1 \leq q \leq Q\}$ and the n^{th} phase code sequence $\{c_{n,q}, 1 \leq q \leq Q\}$ is defined as

$$C_{mn}(l) = \begin{cases} \frac{1}{Q} \sum_{l=0}^{Q-1-l} c_{m,l} c_{n,(l+l)}^* & 0 \le l \le (Q-1) \\ \frac{1}{Q} \sum_{l=0}^{Q-1+l} c_{m,l-l} c_{n,i}^* & (1-Q) \le l \le 0 \\ 0 & |l| \ge 0 \end{cases}$$
(7)

where ()* denotes complex conjugate of the argument (). The aperiodic autocorrelation $C_m(l)$ of $\{c_{m,q}, 1 \le q \le Q\}$ at shift *l* is the aperiodic cross-correlation of $\{c_{m,q}\}$ with itself $C_m(l)$.

2.3 Problem Formulation

The goal of orthogonal polyphase signal design problem is to design the $M \times Q$ polyphase code set matrix **C**

$$\mathbf{C}(M,Q,K) = \begin{bmatrix} c_{11} & c_{12} & \dots & c_{1Q} \\ c_{21} & c_{22} & \dots & c_{2Q} \\ \vdots & \ddots & \vdots \\ c_{M1} & c_{M2} & \dots & c_{MQ} \end{bmatrix}$$

where each row represents an individual polyphase sequence used to transmit the phase coded pulse waveform $\phi_m(t)$. Each column *j* represents the complex symbol transmitted in the *j*th subpulse, subject to minimization of the following criteria (in addition to satisfying the requirements (5) and (6)).

a) maximum AC peak sidelobe level

$$\sum_{m=1}^{m} \max_{l \neq 0} |C_{mm}(l)| \tag{8}$$

b) maximum CC peak sidelobe level M-1 p+1max

$$\sum_{m=1}^{m} \sum_{l=1}^{m} \frac{max}{l} |C_{mn}(l)|$$
(9)

2.4 Transmit Beampattern

The baseband signal at the target location can be described by the expression

$$\sum_{m=0}^{M-1} e^{-j2\pi fm} u_m(t) \triangleq \mathbf{a}^H(f) \mathbf{u}(t)$$
(10)

where $f = d_T \sin(\theta) / \lambda$ is the spatial frequency of the target,

$$\mathbf{u}(t) = [u_0(t) \, u_1(t) \, u_2(t) \dots \, u_{M-1}(t)]^T$$
(11)

is the vector of M transmit waveforms and $\mathbf{a}(f)$ is the array steering vector given by

$$\mathbf{a}(f) = [e^{j2\pi f.0} \quad e^{2\pi f.1} \quad \dots \quad e^{j2\pi f(M-1)}]^T$$
(12)

With typical transmitter spacing of $d_T = \lambda/2$, the spatial frequency f is in $[-\frac{1}{2}, \frac{1}{2}]$. The spatial distribution of power of the transmit signals is called the *transmit beampattern* and is given by [8],

$$P(f) = \mathbf{E}[\mathbf{a}^{H}(f)\mathbf{u}(t)\mathbf{u}^{H}(t)\mathbf{a}(f)] = \mathbf{a}^{H}(f)\mathbf{R}\mathbf{a}(f)$$

= $\sum_{m=0}^{M-1}\sum_{m'=0}^{M-1} r_{m,m'}e^{j2\pi f(m-m')}$ (13)

Consider P(f) for a phased array radar case. The $M \times 1$ transmit signal vector $\mathbf{u}(t)$ is given by $\mathbf{u}(t) = \mathbf{a}(f_0)u(t)$ where $f_0 = d_T \sin(\theta_0)/\lambda$ with θ_0 denoting the steered direction. Then, $\mathbf{R} = \mathbf{a}(f_0)\mathbf{a}^H(f_0)$ assuming unit power signal u(t) and

$$P(f) = \mathbf{a}^{H}(f)\mathbf{a}(f_{0})\mathbf{a}^{H}(f_{0})\mathbf{a}^{H}(f) = \left|\mathbf{a}^{H}(f)\mathbf{a}(f_{0})\right|^{2}$$
(14)

Note that the transmit gain attains maximum value in the direction θ_0 and is decreased at $\theta \neq \theta_0$. Now, consider P(f) with orthogonal signals. Then, **R** = **I**, and

$$P(f) = \mathbf{a}^{H}(f)\mathbf{a}(f) = M \tag{15}$$

This implies that the beampattern is omnidirectional. Thus, the traditional beamforming results in a focused beampattern while the beampattern of MIMO with orthogonal signals is uniform in all directions.

3. FOUR PHASE CODE GENERATION

Sequences with good autocorrelation properties can be generated by using pseudo noise generators called maximal length sequences. When it is desired to generate a binary msequence of period $2^r - 1$, one looks up a table of binary irreducible polynomials of degree r and then selects from amongst the table, an irreducible polynomial that is also primitive. The procedure for generation of four-phase sequences is very similar. Given that it is desired to generate the family with size $M = 2^r + 1$ of four phase sequences of period $Q = 2^r - 1$, one proceeds as follows. First, identify polynomials with coefficients in $Z_4 \in \{0, 1, 2, 3\}$ that are irreducible as binary polynomials when their coefficients are reduced modulo 2 (i.e. irreducible over Z₂). It is easily shown that these polynomials are also irreducible over Z₄. Next, from amongst these pick a primitive polynomial f(x); An irreducible polynomial of degree r is said to be primitive if the smallest exponent Q for which the polynomial f(x)divides $x^Q - 1$ is $Q = 2^r - 1$. Complete listings of all primitive polynomials having degree ≤ 10 are listed in [11]. Table-I below provides partial listing of primitive polynomials given in [11] for reference. Note: For degree 3, the entry 1213 represents the polynomial $x^3 + 2x^2 + x + 3$.

Table 1: Partial Listing of Characteristic Polynomials for Linear Recurrence

Degree	3	1213, 1323
Degree	4	10231, 13201
Degree	5	100323, 113013, 113123, 121003, 123133
Degree	6	1002031, 1110231, 1211031, 1301121
Degree	7	10020013, 10030203, 10201003
Degree	8	100103121, 100301231, 102231321
Degree	9	1000030203, 1001011333, 1001233203

3.1 Signal Generation

Given a primitive polynomial

$$f(x) = f_0 + f_1 x + f_0 x^2 + \dots + f_{r-1} x^{r-1} + x^r \quad (16)$$

with coefficients $f_i \in Z_4$, the m^{th} sequence $\{s_m(q), 1 \le q \le Q\}$ $1 \le m \le M$ in the family *A* can be generated from the linear recursion associated with f(x) given by

$$s_m(q) = -f_{r-1}s_m(q-1) - f_{r-2}s_m(q-2) + \cdots$$
(17)
- f_0s_m(q-r)

over Z_4 . By initializing the linear recursion with different initial states and evaluating the linear recursion we get $M = 2^r - 1$ cyclically distinct sequences in family A each of length $Q = 2^r - 1$. The linear recurrence described above can be efficiently implemented using the shift register configuration shown in Fig. 3.



Figure 3: Shift Register implementation of family A as generated by characteristic polynomial $f(x) = f_0 + f_1 x + f_0 x^2 + \dots + f_{r-1} x^{r-1} + x^r$. All addition, multiplication and negation operations follow modulo-4 arithmetic

3.2 Example

Consider the degree r = 4 polynomial $f(x) = x^4 + 2x^2 + 3x + 1$, primitive as a Z₄ polynomial. By reducing the coefficients modulo 2, one obtains the binary primitive polynomial $x^4 + x + 1$. We notice that $f_0 = 1, f_1 = 3, f_2 = 2$ and $f_3 = 0$. This implies $-f_0 = 3, -f_1 = 1$, and $-f_2 = 2$. The linear recurrence given by f(x) is defined as

$$s_m(q) = -f_3 * s_m(q-1) + -f_2 * s_m(q-2) + -f_1 * s_m(q-3) - f_0 * s_m(q-4)$$

 $s_m(q) = 2 * s_m(q-2) + s_m(q-3) + 3 * s_m(q-4)$ This linear recurrence can be implemented using the shift register configuration shown in Fig. 4. Cyclically distinct members of the family can be found by loading the shift register with 4-tuples not previously seen during the generation of prior sequences



Figure 4: Shift Register implementation of family A as generated by characteristic polynomial $f(x) = x^4 + 2x^2 + 3x + 1$

The above recurrence yields the family of Z_4 sequences of size 17 (2⁴+1) and signal length 15 (2⁴-1).

	111123231001022 111301033023020 112101302120213
	112210021133012 113123013203000
	113232132212203 121231223220133
$S_{M \times 0} =$	121300302233332 122213330303320
· ·	123300120031310 131303211003200
	132103120100033 133230310232023
	222202022002000 222311101011203
	233110323322300
	-333103011021020 ¹ 17 ×15

Polyphase sequences **C** can now be obtained from the above sequences **S** by mapping the elements in Z_4 to $\{e^{j0}, e^{j\pi}/2, e^{j\pi}, e^{j^{3\pi}/2}\}$.

4. CODE OPTIMIZATION AND NUMERICAL RESULTS

The four phase codes discussed in the preceding section are shown [9] to have good aperiodic autocorrelation and aperiodic crosscorrelation properties. However the sequences are do not satisfy the orthogonality property. This results in non-uniform illumination of power in space. The property of orthogonality between the every pair of sequences is one of the key requirements of MIMO radars.

Popovic and Suehiro [10] showed that there exist a "circular phase shift" for each of these sequences that result in zerodelay crosscorrelation of any two distinct sequences in this set is -1. If a 1 is preprended to each sequence in this set, then the zero-delay crosscorrelation of any pair of distinct sequences in this set will be zero. The zero-delay autocorrelation of each of these sequences is however Q + 1 (where Q is the initial sequence length). The generated four phase sequences are circular shifted to obtain a zero-delay correlation of -1 with all the other sequences in the matrix. The example of the shifted versions of the input sequences generated has been shown in the second column of Table-2. These shifted sequences are prepended with a 0 in order to obtain the zero-lag correlation matrix as zero. So the zero-lag correlation matrix will have the diagonal elements to be equal to the number of elements in each sequence and the other elements in the matrix to be zeros. This is illustrated in the zero-lag correlation matrix column as shown in Table-2. Therefore the correlation between any two sequences in the matrix is now zero. Hence the property of orthogonality has been achieved along with the good autocorrelation and crosscorrelation properties. The transmit beampattern (5) of MIMO radar transmit array with M=16 elements (waveforms) as a function of spatial direction (frequency f) of initial sequences and code optimized orthogonal sequences is displayed in Fig. 5. We see that the transmit beampattern of waveforms using initial sequences generated using (17) is nonuniform whereas the code optimized sequences have a uniform beampattern which is desirable in MIMO radar systems.



Figure 5: Transmit Beampattern

5. CONCLUSIONS

This paper presents the construction of four phase pulse coded waveforms for MIMO radar applications. The advantages of the proposed method includes large family size, constant modulus, near optimal auto and cross correlation properties, pair wise orthogonality of sequences for uniform transmit beampattern etc.

This work can be further extended to identify eight phase sequence sets based on ML sequence generators and finite field theory. Since MIMO radars suffer from directive gain loss each waveform emitted by each transmit antenna need to have long pulse width to maximize the transmit energy and further the received SNR. Sequences of any required length can be generated by selecting the primitive polynomial of appropriate order.

6. REFERENCES

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Table 2: a) Four Phase Sequences generated using the linear recursion of (6) b) Circular Shifted Sequences of (a) for optimalzero-delay crosscorrelation c) Orthogonal Sequences with a zero-delay cross correlation of 0 between any pair of distinctsequences d) Zero-Delay cross correlation matrix of each pair of sequences

Sequences Sequences M=8, Q=7 M=8, Q=7 M=8, Q=8 R=I _{8X8} 1110302 1110302 01110302 8000000 1121223 3112122 03112122 0800000 132100 1132100 01132100 0080000 133033 3312300 03312300 0080000 1330120 1310120 01310120 00000800 2333010 3330102 033320 00000080 3130320 3130320 03130320 00000000 111123231001022 111123231001022 011103023023020 01500000000000000 11121033023020 111123231001022 011112013021202 0015000000000000000 1112101302120213 131121013021202 0113121013021202 001500000000000000 1121200213 13132013203000 01311221002 00015000000000000 112123013203000 113123013203000 0113123013203000 00015000000000000 112123023203000 11312301320320 0013112212220 00015000000000000000 1123013203000 113123013203000 01311221232
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3130320 3130320 03130320 00000008 M=16, Q=15 M=16, Q=15 M=15, Q=16 R=I _{15X15} 111123231001022 111123231001022 0111123231001022 15000000000000000000000000000000000000
M=16, Q=15 M=16, Q=15 M=15, Q=16 R=I _{15X15} 111123231001022 111123231001022 0111123231001022 150000000000000000 111301033023020 111301033023020 01111301033023020 01500000000000000 112101302120213 131121013021202 0131121013021202 0015000000000000 112210021133012 113301211221002 0113301211221002 000150000000000 11323013203000 113123013203000 0113123013203000 000015000000000 113232132212203 311323213221220 0311323213221220 0000015000000000 121231223220133 133121231223220 0133121231223220 0000001500000000 121300302233322 333321231223222 0333321231223222 00000001500000000 12221330030320 13330033201222 013330033201222 00000001500000000
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123300120031310 313101233001200 0313101233001200 000000015000000
131303211003200 131303211003200 0131303211003200 0000000000
132103120100033 33132101200 033132103120100 0000000000
132203107230032 3132303120100 031323031072200 0000000000015000
22231101011203 3111010120322 03155250102522 000000000001500
22211020222200 22110202222 031101011203222 0000000000
255110525522500 551105255225002 0551105255225002 0000000000
555105011021020 555105011021020 0555105011021020 0000000000
M=31, Q=31 M=31, Q=31 M=31, Q=32 R=I _{31X31}
1111120330320122021210133013000 1111120330320122021210133013000 01111120330320122021210133013000 310000000000
1111322312122322003032131211002 1111322312122322003032131211002 01111322312122322003032131211002 03100000000000000000000000000000000000
111211200133300312300102021012 1333300312300102021012111211200 01333300312300102021012111211200 00310000000000
111225101021002105251505102015 151112251010210002105251505102 0151112251010210002105251505102 000510000000000
111310011230212220330111033020 11131001123021222030111033020 01131001123021222030111033020 0000000000
1113302130100322221212113231022 1113302130100322221212113231022 01113302130100322221212113231022 00000031000000000000000000000000000000
1121203022210101310332221331122 1121203022210101310332221010131033222 112120302221010131033222 112120302221010131033222 01331122112120302221010131033222 01331122112120302221010131033222 0000000010000000000
1121322031131203101223022012123 3113120310122302201212311213220 03113120310122302201212311213220 0000000000
112221320023210113211203311102 1322320023210113211220 0311102113232320023210113211220 0000000000
1123302213113203323003000032103 1311320332300300003210311233022 01311320332300300003210311233022 000000000000000000000000000000000000
1131322110100120203010313213200 1131322110100120203010313213200 1131322110100120203010313213200 01131322110100120203010313213200 01131322110100120203010313213200 0000000000
1133100510520520005012555051222 113510051052005010513215222 01155100510520520000010515215222 0010000000000
12131012031232213032200230 1133322130202300230 1333221302023012131013020 0313322130230023012131013020 0000000000
1213303320233133203121021202232 3313320312102120223212133033202 03313320312102120223212133033202 000000000000000000000000000000000000
122132322122001012313233002333 333122132322122001012313233002 03333122132322122001012313233002 0000000000
1222232323312130223331102310300 3331102310300 232232323110231030012222323231102310300122223232311023103001200000000
12221303000313130231232030020 313130231230300201232113033000 0313120230300201232113033000 0000000000
1233101100013131021321201002032 1313102132120100203212331011000 01313102132120100203212331011000 0000000000
1313300110322300221030333213002 1313300110322300203210333213002 01313300110322300203210333213002
$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$
133132013032210220323213323120 13313201303221022032321323120 0133132013032210220323213323120 0000000000
1333102330102302003230113013202 1333102330102302003230113013202 01333102330102302003230113013202 0000000000
2311130211030210200121033103120 3111302110302102001210331031202 03111302110302102001210331031202 0000000000
2322201010333011020333130033210 2322201010333011020 23222201010333011020 2331300332102322201010333011020 2331300332102322201010333011020 20000000000
235325200511110015210050202505 511110015210050202505255255200 05111100152100502023052553253200 0000000000000000000

Note: Polyphase sequences C can now be obtained from the above sequences S by mapping the elements in \mathbb{Z}_4 to $\{e^{j0}, e^{j\pi/2}, e^{j\pi/2}\}$