

# Orthogonal Phase Coded Waveforms for MIMO Radars

M. Harika Rao  
Department of ECE  
GITAM Institute of Technology  
GITAM University

G.V.K.Sharma  
Department of ECE  
GITAM Institute of Technology  
GITAM University

K. Raja Rajeswari  
Department of ECE  
AU College of Engineering  
Andhra University

## 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 introduces complex multiplications in the digital 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).

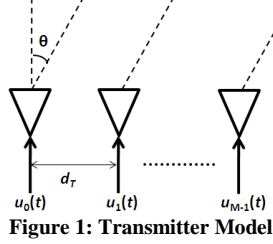


Figure 1: Transmitter Model

Let  $d_T$  represent the spacing between consecutive transmitters. Let  $\theta$  be the target angle with respect to the broadside direction and  $\lambda$  is the carrier wavelength of the transmitted waveforms. Let  $\{u_m(t)\}$ ,  $m \in \{0, 1, \dots, M-1\}$  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

$$r_{m,m'} = \int_0^{T_0} u_m(t) u_{m'}^*(t) dt \quad (1)$$

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  $m^{\text{th}}$  transmitter can be represented as

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

where

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

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

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  $\{e^{j\frac{2\pi}{K}0}, e^{j\frac{2\pi}{K}1}, \dots, e^{j\frac{2\pi}{K}(K-1)}\}$ .  $T_p = Q\Delta t$  is the duration of each pulse and  $\Delta t$  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  $\mathbf{C}$  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  $q^{\text{th}}$  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  $\Delta t$ . For each of the transmitter waveforms  $u_m(t)$  to be orthogonal (at zero Doppler and zero delay mismatch) i.e.,

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

we require

$$\mathbf{C}\mathbf{C}^T = \mathbf{I}_{M \times M} \quad (6)$$

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

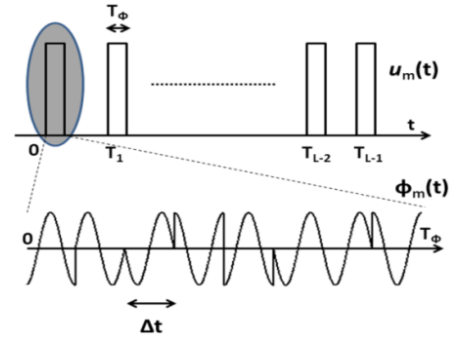


Figure 2: Structure of Phase-Coded Pulse waveforms

### 2.2 Correlation Metrics

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

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

where  $(\cdot)^*$  denotes complex conjugate of the argument  $(\cdot)$ . The aperiodic autocorrelation  $C_m(l)$  of  $\{c_{m,q}, 1 \leq q \leq Q\}$  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  $\mathbf{C}$

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

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  $j^{\text{th}}$  subpulse, subject to minimization of the following criteria (in addition to satisfying the requirements (5) and (6)).

a) maximum AC peak sidelobe level

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

b) maximum CC peak sidelobe level

$$\sum_{m=1}^{M-1} \sum_{n=1}^{p+1} \max_l |C_{mn}(l)| \quad (9)$$

### 2.4 Transmit Beampattern

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

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

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

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

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

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

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

$$P(f) = \mathbf{E}[\mathbf{a}^H(f)\mathbf{u}(t)\mathbf{u}^H(t)\mathbf{a}(f)] = \mathbf{a}^H(f)\mathbf{R}\mathbf{a}(f) \\ = \sum_{m=0}^{M-1} \sum_{n=0}^{M-1} r_{m,n} e^{j2\pi f(m-n)} \quad (13)$$

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  $\theta_0$  denoting the steered direction. Then,  $\mathbf{R} = \mathbf{a}(f_0)\mathbf{a}^H(f_0)$  assuming unit power signal  $u(t)$  and

$$P(f) = \mathbf{a}^H(f)\mathbf{a}(f_0)\mathbf{a}^H(f_0)\mathbf{a}(f) = |\mathbf{a}^H(f)\mathbf{a}(f_0)|^2 \quad (14)$$

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

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

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 m-sequence 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  $Z_2$ ). It is easily shown that these polynomials are also irreducible over  $Z_4$ . 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  $\leq 10$  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

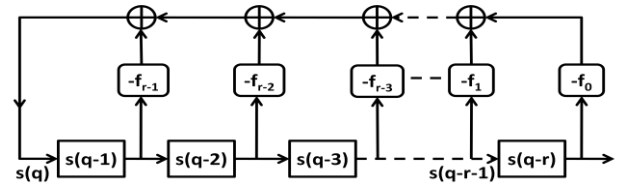
Given a primitive polynomial

$$f(x) = f_0 + f_1x + f_0x^2 + \dots + f_{r-1}x^{r-1} + x^r \quad (16)$$

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

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

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  $f(x) = f_0 + f_1x + f_0x^2 + \dots + f_{r-1}x^{r-1} + x^r$ . All addition, multiplication and negation operations follow modulo-4 arithmetic**

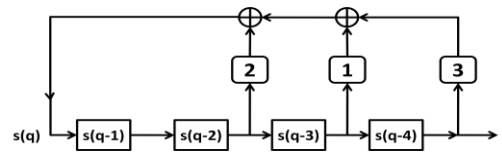
### 3.2 Example

Consider the degree  $r = 4$  polynomial  $f(x) = x^4 + 2x^2 + 3x + 1$ , primitive as a  $Z_4$  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  $-f_0 = 3, -f_1 = 1, \text{ and } -f_2 = 2$ . 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 ( $2^4+1$ ) and signal length 15 ( $2^4-1$ ).

$S_{M \times Q} =$	111123231001022
	111301033023020
	112101302120213
	112210021133012
	113123013203000
	113232132212203
	121231223220133
	121300302233332
	122213330303320
	123300120031310
	131303211003200
	132103120100033
	133230310232023
	222202022002000
	22231101011203
	23311032322300
	333103011021020

Polyphase sequences  $\mathbf{C}$  can now be obtained from the above sequences  $\mathbf{S}$  by mapping the elements in  $Z_4$  to  $\{e^{j0}, e^{j\pi/2}, e^{j\pi}, e^{j3\pi/2}\}$ .

#### 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 zero-delay crosscorrelation of any two distinct sequences in this set is -1. If a 1 is prepended 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.

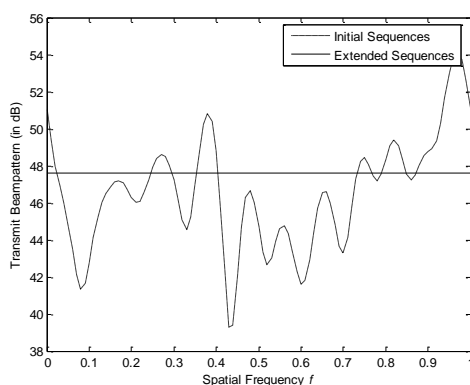


Figure 5: Transmit Beampattern

#### 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

- [1] Haimovich, A. M., Blum, R.S., Cimini, L. J., MIMO Radar with Widely Separated Antennas, IEEE Signal Processing Magazine, vol.25, Issue 1, pp.116-129, Sept. 2008.
- [2] Jian Li and P. Stoica, MIMO Radar with Colocated Antennas IEEE Signal Processing Magazine, vol.24, no.5, pp.106-114, Sept. 2007.
- [3] Hai Deng, Polyphase code design for orthogonal netted radar systems, IEEE Transactions on Signal Processing, Vol-52, No-11, November 2004.
- [4] Bo Liu, Zishu He, Jiankui Zeng, Benyong Liu, Polyphase Orthogonal Code Design for MIMO Radar Systems, Proc. 2006 CIE Int. Conf. Radar, Oct. 2006.
- [5] Hao He, Petre Stoica, Jian Li, Designing Unimodular Sequence Sets With Good Correlations for MIMO Radar, IEEE Transactions on Signal Processing, Vol-57, No-11, November 2009.
- [6] H. A. Khan and D. J. Edwards, Doppler problems in orthogonal MIMO radars, Proc. IEEE, Int. Radar Conf., April 2006, pp. 24–27.
- [7] S.P. Singh, S.A Muzeer, K. Subba Rao, Eight -phase Sequence Sets Design for Radar, WSEAS Trans. Sig. Proc, Mar. 2009.
- [8] D. Fuhrmann, G. San Antonio, Transmit beamforming for MIMO radar systems using signal cross-correlation, IEEE Trans. Aerospace Electron. Syst. 44(1) pp:171–186, Jan. 2008.
- [9] Sharma, G. V. K., and K. Raja Rajeswari. "Four-phase orthogonal code design for MIMO radar systems." Communications (NCC), 2012 National Conference on. IEEE, 2012.
- [10] Branislav M. Popovic, Naoki Suehiro, Pingzhi Z. Fan, Orthogonal Sets of Quadriphase Sequences With Good Correlation Properties, IEEE Transactions on Information Theory, Vol 48, No. 4, April 2002.
- [11] S.Boztas, R.Hammons and P.V.Kumar, 4-Phase sequences with near optimal correlation properties, IEEE Transactions on Information Theory IT-38 No-3, May 1992. 1101-1113.

