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Angle Estimation for Terahertz Ultra-Massive MIMO- Based Space-to-Air Communications

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**1****Introduction****2****THZ UM-MIMO Channel Model****3****Proposed Angle Estimation Solution****4****Simulation Results**



- Terahertz (THz) communication
 - Tens of GHz ultra-broad band
 - Tbps ultra-high peak data rate
- Ultra-Massive (UM)-MIMO
 - Tens of thousands of antennas
- THz UM-MIMO technique
 - Reliable CSI acquisition
- THz UM-MIMO based satellite communication systems
 - Ultra-large array aperture
 - Ultra-broad band
 - Ultra-high velocity
- THz UM-MIMO based space-to-air channel
 - Delay squint effect
 - Beam squint effect
 - Doppler squint effect
- Triple delay-beam-Doppler squint effects
- Angle estimation for space-to-air LoS links
 - Low earth orbit (LEO) satellite serves multiple UAVs
 - Dual delay-beam squint effects (Doppler compensation)



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Simulation Results



- L UAVs communicate with a LEO satellite

- UAV antenna array

- Analog beamforming

- $N_U = N_U^h N_U^v$

- Satellite antenna array

- Sub-connected PSN

- $N_S = N_S^h N_S^v$

- $N_S^h = \tilde{I}_S^h M_S^h$

- $N_S^v = \tilde{I}_S^v M_S^v$

- $M_S = M_S^h M_S^v$

- $L = \tilde{I}_S^h \tilde{I}_S^v$ RF chains at satellite

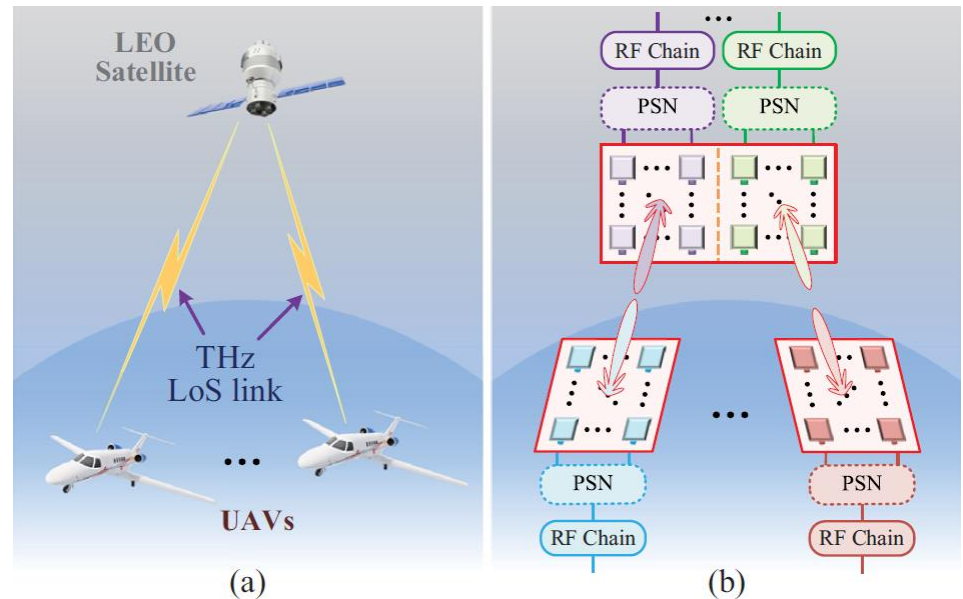


Fig. 1. (a) Typical space-to-air communication scenario; and (b) structure diagram of antenna arrays at transceiver.



- DL *spatial-delay* channel matrix (channel reciprocity in TDD)

$$[\bar{\mathbf{H}}_{\text{DL},l}^{(t)}(\tau)]_{n_U, n_S} = \sqrt{G_l} \alpha_l e^{j2\pi\psi_l t} \delta\left(\tau - \tau_l - \underbrace{(\tau_l^{[n_U]} + \tau_l^{[n_S]})}_{\text{Delay squint}}\right), \quad (1)$$

- DL *spatial-frequency* channel matrix

$$\mathbf{H}_{\text{DL},l}^{[m]}[k] = \sqrt{G_l} \alpha_l e^{j2\pi\psi_l(m-1)T_{\text{sym}}} e^{-j2\pi\left(\frac{k-1}{K} - \frac{1}{2}\right) f_s \tau_l} \mathbf{A}_{\text{DL},l}[k], \quad (2)$$

- Duration time of OFDM symbol T_{sym} , system bandwidth f_s
- DL array response matrix

$$\mathbf{A}_{\text{DL},l}[k] = \underbrace{(\mathbf{a}_U(\mu_l^U, \nu_l^U) \mathbf{a}_S^H(\mu_l^S, \nu_l^S))}_{\mathbf{A}_{\text{DL},l}} \circ \underbrace{(\bar{\mathbf{a}}_U(\mu_l^U, \nu_l^U, k) \bar{\mathbf{a}}_S^H(\mu_l^S, \nu_l^S, k))}_{\bar{\mathbf{A}}_{\text{DL},l}[k] \text{ (Beam squint component)}}, \quad (3)$$

- Define virtual angles $\mu_l^U = \pi \sin(\theta_l^U) \cos(\varphi_l^U)$, $\nu_l^U = \pi \sin(\varphi_l^U)$
- General array response vector $\mathbf{a}_U(\mu_l^U, \nu_l^U) = \mathbf{a}_v(\nu_l^U, N_U^v) \otimes \mathbf{a}_h(\mu_l^U, N_U^h)$
- Frequency-dependent array response *squint* vector

$$\bar{\mathbf{a}}_U(\mu_l^U, \nu_l^U, k) = \bar{\mathbf{a}}_v(\nu_l^U, N_U^v, k) \otimes \bar{\mathbf{a}}_h(\mu_l^U, N_U^h, k)$$



- Horizontal/vertical steering (squint) vectors

$$\mathbf{a}_h(\mu_l^U, N_U^h) = \left[1 \ e^{j\mu_l^U} \ \dots \ e^{j(N_U^h-1)\mu_l^U} \right]^T,$$

$$\mathbf{a}_v(\nu_l^U, N_U^v) = \left[1 \ e^{j\nu_l^U} \ \dots \ e^{j(N_U^v-1)\nu_l^U} \right]^T,$$

$$\bar{\mathbf{a}}_h(\mu_l^U, N_U^h, k) = \left[1 \ e^{j\left(\frac{k-1}{K}-\frac{1}{2}\right)\frac{f_s}{f_z}\mu_l^U} \ \dots \ e^{j\left(\frac{k-1}{K}-\frac{1}{2}\right)\frac{f_s}{f_z}(N_U^h-1)\mu_l^U} \right]^T,$$

$$\bar{\mathbf{a}}_v(\nu_l^U, N_U^v, k) = \left[1 \ e^{j\left(\frac{k-1}{K}-\frac{1}{2}\right)\frac{f_s}{f_z}\nu_l^U} \ \dots \ e^{j\left(\frac{k-1}{K}-\frac{1}{2}\right)\frac{f_s}{f_z}(N_U^v-1)\nu_l^U} \right]^T.$$

- UL *spatial-frequency* channel matrix

$$\mathbf{H}_{UL,l}^{[n]}[k] = \sqrt{G_l}\alpha_l e^{j2\pi\psi_l(n-1)T_{\text{sym}}} \mathbf{A}_{UL,l}[k]. \quad (4)$$



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Simulation Results



- Establish reliable THz communication link
 - Attenuate the impact of delay-beam squint effects
- Common treatment
 - Tunable true-time delay unit (TTDU)
 - High hardware complexity and cost
- Grouping TTDU (GTTDU) based transceiver
 - GTTDU module
 - Reconfigurable RF selection network (PSN and ASN)

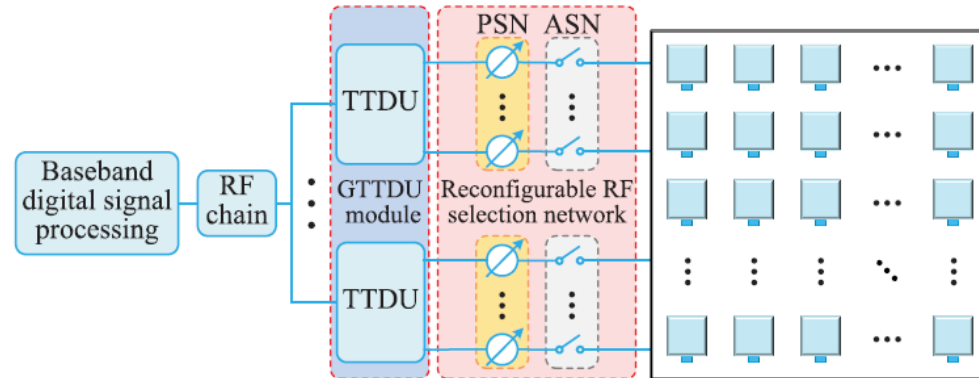


Fig. 2. GTTDU module based transceiver structure corresponding to one RF



- Prior information acquired from positioning systems

- $\{\tilde{\mu}_l^U\}_{l=1}^L$, $\{\tilde{\nu}_l^U\}_{l=1}^L$, $\{\tilde{\mu}_l^S\}_{l=1}^L$, and $\{\tilde{\nu}_l^S\}_{l=1}^L$

- *Lemma 1*: (consider ideal TTDU module)

- The compensated DL spatial-frequency channel matrix

$$\widetilde{\mathbf{H}}_{\text{DL},l}^{[m]}[k] = \sqrt{G_l \alpha_l} e^{j2\pi \psi_l (m-1) T_{\text{sym}}} e^{-j2\pi \left(\frac{k-1}{K} - \frac{1}{2} \right) f_s \tau_l} \widetilde{\mathbf{A}}_{\text{DL},l}[k], \quad (5)$$

$$\widetilde{\mathbf{A}}_{\text{DL},l}[k] = \mathbf{A}_{\text{DL},l}[k] \circ \underbrace{(\bar{\mathbf{a}}_U(\tilde{\mu}_l^U, \tilde{\nu}_l^U, k) \bar{\mathbf{a}}_S^H(\tilde{\mu}_l^S, \tilde{\nu}_l^S, k))^*}_{\widetilde{\mathbf{A}}_{\text{DL},l}[k]}. \quad (6)$$

$$\mathbf{A}_{\text{DL},l}[k] = \underbrace{(\mathbf{a}_U(\mu_l^U, \nu_l^U) \mathbf{a}_S^H(\mu_l^S, \nu_l^S))}_{\mathbf{A}_{\text{DL},l}} \circ \underbrace{(\bar{\mathbf{a}}_U(\mu_l^U, \nu_l^U, k) \bar{\mathbf{a}}_S^H(\mu_l^S, \nu_l^S, k))}_{\widetilde{\mathbf{A}}_{\text{DL},l}[k] \text{ (Beam squint component)}}, \quad (3)$$

- Ideal TTDU module provides a performance upper-bound

- Practical DL/UL channel matrices compensated by the GTTDU module can be derived from (5) and (6)



- OFDMA
 - K subcarriers can be equally assigned to L UAVs
- Frame structure
 - Fine azimuth/elevation angles at UAVs in DL
 - Fine azimuth/elevation angles at satellite in UL
 - Accumulate multiple OFDM symbols
 - Doppler compensation

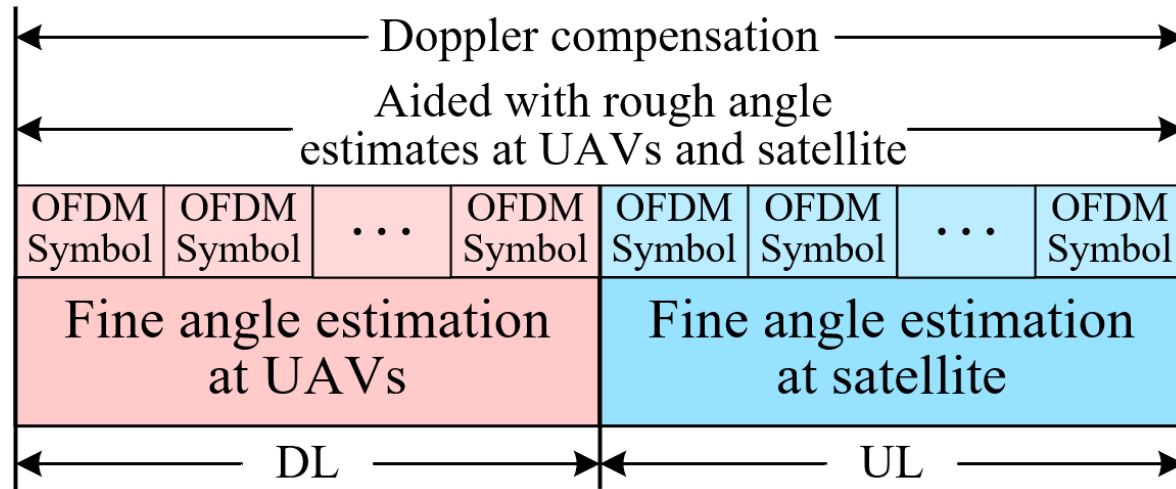


Fig. 3. Frame structure of the proposed angle estimation solution

3 Subarray selection scheme



- Remark
 - For different selected subarrays, received signals differ by one envisaged phase
 - These regular phase differences construct array response vector of low-dimensional fully-digital array
- UPA of size $5 \times 5 \rightarrow 4$ subarrays of size 4×4 in 4 successive OFDM symbols \rightarrow equivalent fully-digital array with size of 2×2 with critical d

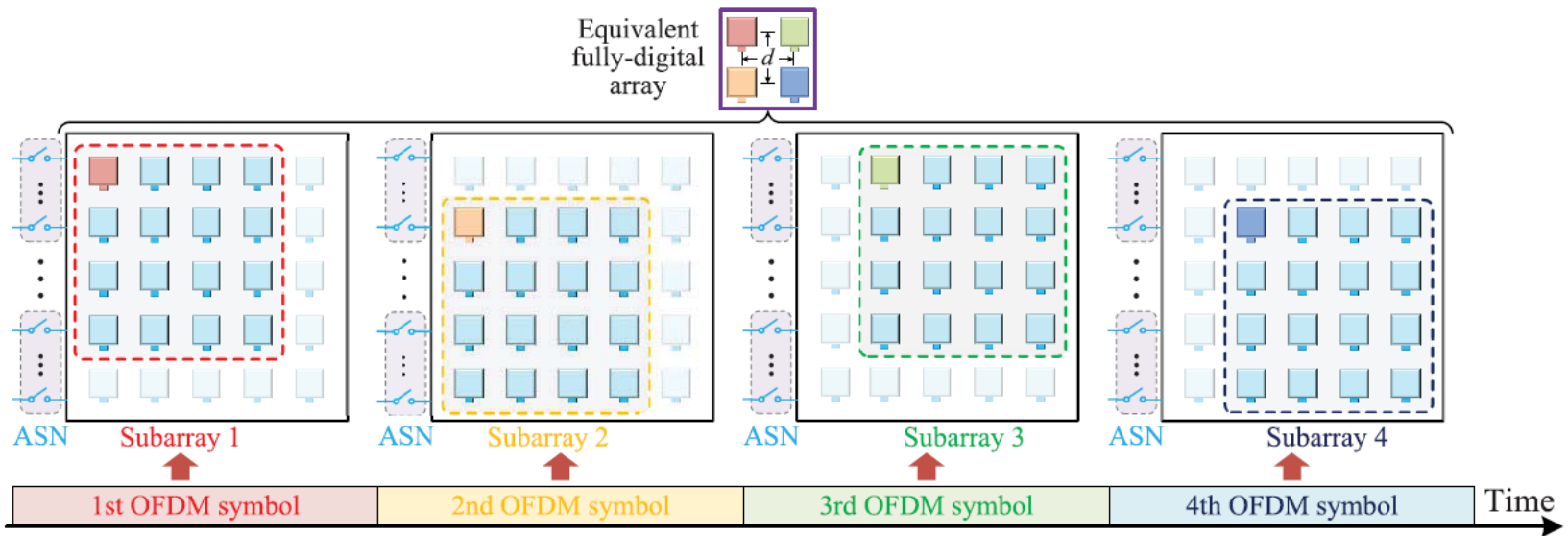


Fig. 4. Schematic diagram of subarray selection scheme



- Design analog precoding and combining vectors
 - $I_U = I_U^h I_U^v$ OFDM symbols (I_U selected subarray pattern)
 - Initialize $\mathbf{p}_{\text{RF},l} = \mathbf{0}_{N_S}$, and then let $[\mathbf{p}_{\text{RF},l}]_{\mathcal{I}_{S,l}} = \frac{1}{\sqrt{M_S}} [\mathbf{a}_S(\tilde{\mu}_l^S, \tilde{\nu}_l^S)]_{\mathcal{I}_{S,l}}$
 - Initialize $\mathbf{q}_{\text{RF},l}^{[m]} = \mathbf{0}_{N_U}$, and then let $[\mathbf{q}_{\text{RF},l}^{[m]}]_{\mathcal{I}_U^{[m]}} = \frac{1}{\sqrt{M_U}} [\mathbf{a}_U(\tilde{\mu}_l^U, \tilde{\nu}_l^U)]_{\mathcal{I}_U^{[1]}}$, $1 \leq m \leq I_U$
- UL received signal formulation
 - Collect K_l subcarriers of I_U OFDM symbols

$$\mathbf{Y}_{\text{DL},l} = \sqrt{P_l G_l \alpha_l} \left(\mathbf{Q}_{\text{RF},l}^H \mathbf{A}_{\text{DL},l} \mathbf{p}_{\text{RF},l} \mathbf{s}_{\text{DL},l}^T \right) \circ \tilde{\mathbf{Y}}_{\text{DL},l} + \mathbf{N}_{\text{DL},l}, \quad (7)$$

$$\mathbf{Q}_{\text{RF},l} = [\mathbf{q}_{\text{RF},l}^{[1]} \cdots \mathbf{q}_{\text{RF},l}^{[I_U]}]$$

Residual beam squint matrix
 - Compared with $(\mathbf{q}_{\text{RF},l}^{[1]})^H \mathbf{a}_U(\mu_l^U, \nu_l^U)$, $(\mathbf{q}_{\text{RF},l}^{[m]})^H \mathbf{a}_U(\mu_l^U, \nu_l^U)$ is multiplied by an extra phase shift $e^{j((i_U^h - 1)\mu_l^U + (i_U^v - 1)\nu_l^U)}$ for $m = (i_U^v - 1)I_U^h + i_U^h$
 - Effective array response vector of fully-digital array with size $I_U^h \times I_U^v$

$$\bar{\mathbf{a}}_U(\mu_l^U, \nu_l^U) = \mathbf{a}_v(\nu_l^U, I_U^v) \otimes \mathbf{a}_h(\mu_l^U, I_U^h) \in \mathbb{C}^{I_U}$$
 - (7) can be rewritten as $\mathbf{Y}_{\text{DL},l} = \gamma_{\text{DL},l} (\bar{\mathbf{a}}_U(\mu_l^U, \nu_l^U) \mathbf{s}_{\text{DL},l}^T) \circ \tilde{\mathbf{Y}}_{\text{DL},l} + \mathbf{N}_{\text{DL},l}, \quad (8)$


Algorithm 1: Prior-Aided Iterative Angle Estimation

Input: Rough virtual angles $\{\tilde{\mu}_l^U, \tilde{\nu}_l^U, \tilde{\mu}_l^S, \tilde{\nu}_l^S\}_{l=1}^L$, received signal $\mathbf{Y}_{\text{DL},l}$, and maximum iterations $i_{\text{U}}^{\text{max}}$

Output: Estimated azimuth/elevation angles $\{\hat{\theta}_l^U, \hat{\varphi}_l^U\}$ and virtual angles $\{\hat{\mu}_l^U, \hat{\nu}_l^U\}$ for $1 \leq l \leq L$

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1 for  $i_{\text{U}} = 1, \dots, i_{\text{U}}^{\text{max}}$  do
2   if  $i_{\text{U}} = 1$  then
3     Apply TDU-ESPRIT algorithm to  $\mathbf{Y}_{\text{DL},l}$ ;
4     Obtain angle estimates of first iteration as
        $\{\hat{\theta}_l^{(i_{\text{U}})}, \hat{\varphi}_l^{(i_{\text{U}})}\}$  and  $\{\hat{\mu}_l^{(i_{\text{U}})}, \hat{\nu}_l^{(i_{\text{U}})}\}$ ;
5   else
6     Design compensation matrix  $\tilde{\mathbf{Y}}_{\text{DL},l}^{(i_{\text{U}}-1)}$ , whose  $k_l$ th
       column  $\tilde{\mathbf{y}}_{\text{DL},l}^{(i_{\text{U}}-1)}[k_l]$  is shown in (10);
7     Obtain compensated matrix
        $\mathbf{Y}_{\text{DL},l}^{(i_{\text{U}})} = \left(\tilde{\mathbf{Y}}_{\text{DL},l}^{(i_{\text{U}}-1)}\right)^* \circ \mathbf{Y}_{\text{DL},l}$  in (11);
8     Apply TDU-ESPRIT algorithm to  $\mathbf{Y}_{\text{DL},l}^{(i_{\text{U}})}$ ;
9     Obtain angle estimates of  $i_{\text{U}}$ th iteration as
        $\{\hat{\theta}_l^{(i_{\text{U}})}, \hat{\varphi}_l^{(i_{\text{U}})}\}$  and  $\{\hat{\mu}_l^{(i_{\text{U}})}, \hat{\nu}_l^{(i_{\text{U}})}\}$ ;
10  end
11 end
12 Return:  $\hat{\theta}_l^U = \hat{\theta}_l^{(i_{\text{U}}^{\text{max}})}, \hat{\varphi}_l^U = \hat{\varphi}_l^{(i_{\text{U}}^{\text{max}})}, \hat{\mu}_l^U = \hat{\mu}_l^{(i_{\text{U}}^{\text{max}})}$ , and
        $\hat{\nu}_l^U = \hat{\nu}_l^{(i_{\text{U}}^{\text{max}})}$  for  $1 \leq l \leq L$ 

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$$\mathbf{Y}_{\text{DL},l} = \gamma_{\text{DL},l} \left(\bar{\mathbf{a}}_{\text{U}}(\mu_l^U, \nu_l^U) \mathbf{s}_{\text{DL},l}^T \right) \circ \tilde{\mathbf{Y}}_{\text{DL},l} + \mathbf{N}_{\text{DL},l}, \quad (8)$$

$$\tilde{\mathbf{Y}}_{\text{DL},l}^{(i_{\text{U}}-1)} = \left[\tilde{\mathbf{y}}_{\text{DL},l}^{(i_{\text{U}}-1)}[\{\mathcal{K}_l\}_1] \cdots \tilde{\mathbf{y}}_{\text{DL},l}^{(i_{\text{U}}-1)}[\{\mathcal{K}_l\}_{K_l}] \right]$$

$$\tilde{\mathbf{y}}_{\text{DL},l}^{(i_{\text{U}}-1)}[k_l] = \left(\bar{\mathbf{a}}_{\text{v}}(\tilde{\nu}_l^U, I_{\text{U}}^{\text{v}}, k_l) \otimes \bar{\mathbf{a}}_{\text{h}}(\tilde{\mu}_l^U, I_{\text{U}}^{\text{h}}, k_l) \right)^* \circ \left(\bar{\mathbf{a}}_{\text{v}}(\tilde{\nu}_l^{(i_{\text{U}}-1)}, I_{\text{U}}^{\text{v}}, k_l) \otimes \bar{\mathbf{a}}_{\text{h}}(\tilde{\mu}_l^{(i_{\text{U}}-1)}, I_{\text{U}}^{\text{h}}, k_l) \right). \quad (10)$$

$$\mathbf{Y}_{\text{DL},l}^{(i_{\text{U}})} = \gamma_{\text{DL},l} \left(\bar{\mathbf{a}}_{\text{U}}(\mu_l^U, \nu_l^U) \mathbf{s}_{\text{DL},l}^T \right) \circ \left(\tilde{\mathbf{Y}}_{\text{DL},l} \circ \left(\tilde{\mathbf{Y}}_{\text{DL},l}^{(i_{\text{U}}-1)} \right)^* \right) + \mathbf{N}_{\text{DL},l}. \quad (11)$$



- Design analog precoding and combining vectors
 - $I_S = I_S^h I_S^v$ OFDM symbols
 - Utilize the estimated $\{\hat{\mu}_l^U, \hat{\nu}_l^U\}_{l=1}^L$ to design $f_{\text{RF},l} = \mathbf{a}_U(\hat{\mu}_l^U, \hat{\nu}_l^U)$
 - Initialize $w_{\text{RF},l}^{[n]} = \mathbf{0}_{N_S}$, and then let $[w_{\text{RF},l}^{[n]}]_{\mathcal{I}_{S,l}^{[n]}} = \frac{1}{\sqrt{M_S}} [\mathbf{a}_S(\tilde{\mu}_l^S, \tilde{\nu}_l^S)]_{\mathcal{I}_{S,l}^{[1]}}$
- Obtain the UL received signal $Y_{\text{UL},l}$
- Utilize the proposed **Algorithm 1**
 - Replace the input parameters
 - Obtain $\hat{\theta}_l^S = \hat{\theta}_l^{(i_S^{\max})}$, $\hat{\varphi}_l^S = \hat{\varphi}_l^{(i_S^{\max})}$, $\hat{\mu}_l^S = \hat{\mu}_l^{(i_S^{\max})}$, and $\hat{\nu}_l^S = \hat{\nu}_l^{(i_S^{\max})}$ for $1 \leq l \leq L$.



- Total computational complexity is $\mathcal{O}(i_U^{\max} LI_U K_l + i_S^{\max} LI_S K_l)$
- Computational complexity of the proposed angle estimation solution is in polynomial time
 - Effective low-dimensional signals at the receiver are utilized to estimate angles

**1****Introduction****2****THZ UM-MIMO Channel Model****3****Proposed Angle Estimation Solution****4****Simulation Results**



- LEO satellite serves $L = 2$ UAVs
- Vertical distance between satellite and UAVs is 200 kilometer
- Relative radial velocity 200 m/s

TABLE I. Simulation Parameter Settings

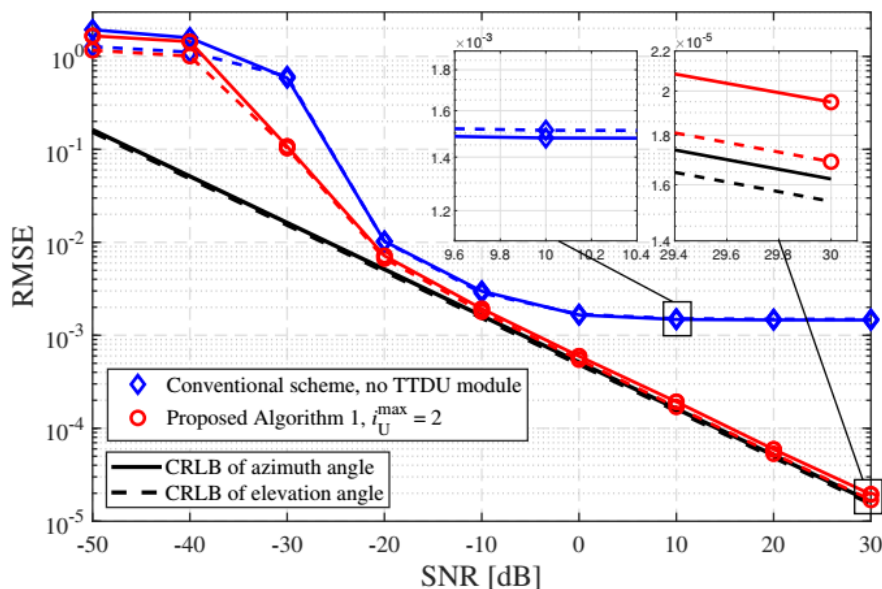
Parameter	Value
f_z (f_s)	0.1 THz (1 GHz)
$N_U^h, N_U^v, M_S^h, M_S^v$	200
\tilde{I}_S^h (\tilde{I}_S^v)	1 (2)
$I_U^h, I_U^v, I_S^h, I_S^v$	5
$\tilde{M}_U^h, \tilde{M}_U^v, \tilde{M}_S^h, \tilde{M}_S^v$	5
K (cyclic prefix N_{cp})	2048 (128)
$\{\theta_l^U, \varphi_l^U, \theta_l^S, \varphi_l^S\}_{l=1}^L$	$-60^\circ - 60^\circ$
$\{\tau_l\}_{l=1}^L$ ($\{\alpha_l\}_{l=1}^L$)	$\mathcal{U}[0, N_{cp}T_s]$ ($\mathcal{CN}(0, 1)$)
Maximum offset of rough angle estimates	$\pm 5^\circ$



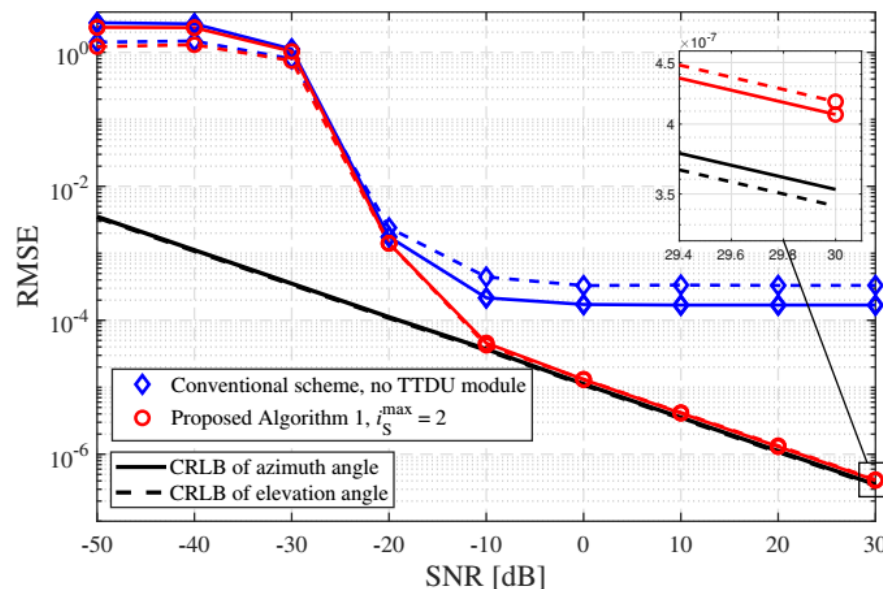
- Root mean square error (RMSE) metric

$$\text{RMSE}_{\mathbf{x}} = \sqrt{\mathbb{E} \left(\frac{1}{L} \|\mathbf{x} - \hat{\mathbf{x}}\|_2^2 \right)} \text{ with } [\mathbf{x}]_l \text{ being } \theta_l^U, \varphi_l^U, \theta_l^S, \text{ or } \varphi_l^S$$

- CRLBs serve as the *lower bounds* of angle estimation
- $i_U^{\max} = 2$ and $i_S^{\max} = 2$ iterations



(a) azimuth/elevation angle at UAV



(b) azimuth/elevation angle at satellite

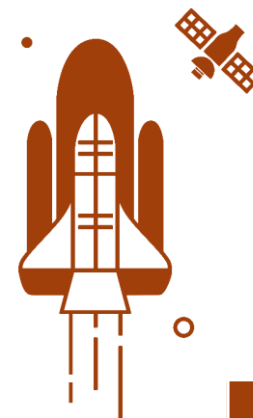
Fig. 5. RMSE comparison of azimuth/elevation angles $\{\theta_l^U, \varphi_l^U, \theta_l^S, \varphi_l^S\}_{l=1}^L$ at the UAVs and satellite.

Thanks for your listening!



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