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Reconfigurable Intelligent Surface Assisted Localization over Near-Field Beam Squint Effect

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1. Introduction

1.1 Near-Field Beam Squint Effect



Fig. 1. This figure plots the normalized array gain in the physical space [Cui'21].

□XL-MIMO

◆The antenna aperture becomes larger. □mmWave/THz

The carrier frequency and bandwidth become larger.

The large antenna aperture and carrier frequency result in the **large Rayleigh distance** [Cui'21].

The large bandwidth result in the **beam squint** effect [Liao'21].

[Liao'21] A. Liao, Z. Gao, D. Wang, H. Wang, H. Yin, D. W. K. Ng, and M.-S. Alouini, "Terahertz Ultra-Massive MIMO-Based Aeronautical Communications in Space-Air-Ground Integrated Networks," IEEE J. Sel. Areas Commun., vol. 39, no. 6, pp. 1741–1767, Jun. 2021. [Cui'21] M. Cui, L. Dai, R. Schober, and L. Hanzo, "Near-Field Wideband Beamforming for Extremely Large Antenna Arrays," arXiv preprint arXiv: 2109.10054, 2021.

1. Introduction

1.2 General Localization Methods



[Peral-Rosado'18] J. A. del Peral-Rosado, R. Raulefs, J. A. López-Salcedo and G. Seco-Granados, "Survey of Cellular Mobile Radio Localization Methods: From 1G to 5G," in IEEE Communications Surveys & Tutorials, vol. 20, no. 2, pp. 1124-1148, Secondquarter 2018.

1. Introduction

1.3 RIS-assisted Localization



Fig. 3. RIS-assisted localization scenario.

[Wu'20] Q. Wu and R. Zhang, "Towards Smart and Reconfigurable Environment: Intelligent Reflecting Surface Aided Wireless Network," IEEE Commun. Mag., vol. 58, no. 1, pp. 106–112, Jan. 2020.

Reconfigurable Intelligent Surface Assisted Localization over Near-Field Beam Squint Effect

additional ToA and

degree of freedom.

scalable cost and low

energy consumption

AoA observation

deployed with

[Wu'20].



2. System Model

The received pilot without the assistance of the RIS in the *m*-th subcarrier and *p*-th time slot is denoted by $\mathbf{y}_{p,m}^{\text{NRIS}} \in \mathbb{C}^{N_{\text{RF}} \times 1}$, whose expression is

$$\mathbf{y}_{p,m}^{\text{NRIS}} = \mathbf{A}_{p}^{\text{NRIS}} \mathbf{h}_{:,m}^{\text{BU}} x_{p,m} + \mathbf{n}_{p,m}^{\text{NRIS}}$$
(1)

where $x_{p,m}$, $\mathbf{h}_{:,m}^{\text{BU}} \in \mathbb{C}^{N \times 1}$, and $\mathbf{A}_{p}^{\text{NRIS}} \in \mathbb{C}^{N_{\text{RF}} \times N}$ denote the pilot transmitted by the UE, the near-field channel between the BS and the UE, and the phase shift network (PSN) of the BS, respectively.

□ Furthermore, the received pilot with the assistance of the RIS in the *m*-th subcarrier and *p*-th time slot is denoted by $\mathbf{y}_{p,m}^{\text{RIS}} \in \mathbb{C}^{N_{\text{RF}} \times 1}$, whose expression is

$$\mathbf{y}_{p,m}^{\text{RIS}} = \mathbf{A}_{p}^{\text{RIS}} \mathbf{H}_{:,:,m}^{\text{BR}} \boldsymbol{\Phi}_{p}^{\text{RIS}} \mathbf{h}_{:,m}^{\text{RU}} \boldsymbol{x}_{p,m} + \mathbf{A}_{p}^{\text{RIS}} \mathbf{h}_{:,m}^{\text{BU}} \boldsymbol{x}_{p,m} + \mathbf{n}_{p,m}^{\text{RIS}}$$
(2)

2. System Model

■ We assume $x_{p,m} = 1$, and stack the received P^{NRIS} pilots without the assistance of RIS as follows,

$$\mathbf{Y}_{:,m}^{\text{NRIS}} = \left[\left(\mathbf{y}_{1,m}^{\text{NRIS}} \right)^T, \cdots, \left(\mathbf{y}_{P^{\text{NRIS}},m}^{\text{NRIS}} \right)^T \right]^T$$
(3)

$$\overline{\mathbf{A}}^{\text{NRIS}} = [(\mathbf{A}_{1}^{\text{NRIS}})^{T}, \cdots, (\mathbf{A}_{p^{\text{NRIS}}}^{\text{NRIS}})^{T}]^{T}$$
(4)

$$\mathbf{N}_{:,m}^{\text{NRIS}} = \left[(\mathbf{n}_{1,m}^{\text{NRIS}})^T, \cdots, (\mathbf{n}_{p^{\text{NRIS}},m}^{\text{NRIS}})^T \right]^T$$
(5)

Therefore, we can obtain

$$\mathbf{Y}_{:,m}^{\text{NRIS}} = \bar{\mathbf{A}}^{\text{NRIS}} \mathbf{h}_{:,m}^{\text{BU}} + \mathbf{N}_{:,m}^{\text{NRIS}}$$
(6)

□ Similarly, we have

$$\mathbf{Y}_{:,m}^{\text{RIS}} = \bar{\mathbf{A}}_{:,m}^{\text{RIS}} \mathbf{h}_{:,m}^{\text{RU}} + \bar{\mathbf{A}}_{:,m}^{\text{RIS}} \mathbf{h}_{:,m}^{\text{BU}} + \mathbf{N}_{:,m}^{\text{RIS}}$$
(7)

where

$$\overline{\mathbf{A}}_{::,m}^{\mathrm{RIS}} = [(\mathbf{A}_{1}^{\mathrm{RIS}}\mathbf{H}_{:,m}^{\mathrm{BR}}\boldsymbol{\Phi}_{1}^{\mathrm{RIS}})^{T}, \cdots, (\mathbf{A}_{p^{\mathrm{RIS}}}^{\mathrm{RIS}}\mathbf{H}_{:,m}^{\mathrm{BR}}\boldsymbol{\Phi}_{p^{\mathrm{RIS}}}^{\mathrm{RIS}})^{T}]^{T}$$
(8)



Fig. 4. The model of a RIS-assisted localization system

□ the **near-field channel** can be modeled as follows[Cui'22]

$$\mathbf{h}_{:,m}^{\mathrm{BU}} = \sum_{l=0}^{L} \alpha_{l,m}^{\mathrm{BU}} e^{-jk_{m}r_{l}^{\mathrm{BU}}} \mathbf{b}_{m,l}^{\mathrm{BU}}(f_{m}, \theta_{l}^{\mathrm{BU}}, r_{l}^{\mathrm{BU}})$$
(9)

□ The **near-field steering vector** can be acquired as

$$\mathbf{b}_{m,l}^{\mathrm{BU}}(f_m, \theta_l^{\mathrm{BU}}, r_l^{\mathrm{BU}}) = \frac{1}{\sqrt{N}} \left[e^{-jk_m(r_{l,0}^{\mathrm{BU}} - r_l^{\mathrm{BU}})}, \cdots, e^{-jk_m(r_{l,N-1}^{\mathrm{BU}} - r_l^{\mathrm{BU}})} \right]^T$$
(10)

[Cui'22] M. Cui and L. Dai, "Channel Estimation for Extremely Large-Scale MIMO: Far-Field or Near-Field?" IEEE Trans. Commun., vol. 70, no. 4, pp. 2663–2677, Apr. 2022.



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Proposed RIS-assisted localization solution

3.1 Correlation of dictionary under the Near-Field Beam Squint Effect

3.2 RISAL algorithm



Conclusions



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3.1 <u>Correlation of dictionary</u> under the Near-Field Beam Squint Effect



frequencies and different distances.



(b) correlation of the near-field steering vectors at different frequencies and different AoAs.

Fig. 5. The near-field beam squint effect can be observed by the correlation of the steering vectors.



3.2 RIS-assisted localization (RISAL) algorithm Obtain the coarse UE location using TDoA

 \square We utilize the \mathbf{Y}^{NRIS} and \mathbf{Y}^{RIS} to do spectral decomposition as

$$(\mathbf{Y}^{\text{NRIS}})^{H} \mathbf{Y}^{\text{NRIS}} = \mathbf{E}^{\text{NRIS}} \Lambda^{\text{NRIS}} (\mathbf{E}^{\text{NRIS}})^{\text{H}}$$
(11a)

$$(\mathbf{Y}^{\text{RIS}})^{H} \mathbf{Y}^{\text{RIS}} = \mathbf{E}^{\text{RIS}} \Lambda^{\text{RIS}} (\mathbf{E}^{\text{RIS}})^{\text{H}}$$
(11b)

□ And we treat the eigenvectors corresponding to all but the largest eigenvalues as the noise subspaces as

$$\overline{\mathbf{E}}^{\text{NRIS}} = \mathbf{E}_{:,2:\text{end}}^{\text{NRIS}}$$
(12a)

$$\overline{\mathbf{E}}^{\text{RIS}} = \mathbf{E}^{\text{RIS}}_{:,2:\text{end}}$$
(12b)

 \Box τ_{est}^{NRIS} , the delay from the UE to the BS directly, and τ_{est}^{RIS} , the delay from the UE to the BS via the RIS, can be calculated as

$$\mathbf{r}_{\text{est}}^{\text{NRIS}} = \arg \max_{\tau} \left(\frac{1}{\mathbf{a}(\tau) \cdot \overline{\mathbf{E}}^{\text{NRIS}} \cdot (\mathbf{a}(\tau) \cdot \overline{\mathbf{E}}^{\text{NRIS}})^{H}} \right)$$
(13a)

$$\tau_{\text{est}}^{\text{RIS}} = \arg \max_{\tau} \left(\frac{1}{\mathbf{a}(\tau) \cdot \overline{\mathbf{E}}^{\text{RIS}} \cdot (\mathbf{a}(\tau) \cdot \overline{\mathbf{E}}^{\text{RIS}})^{H}} \right)$$
(13b)

where $\mathbf{f} \in \mathbb{C}^{1 \times M}$ is the frequency vector in M subcarriers and $\mathbf{a}(\tau) = e^{j\tau \mathbf{f}} \in \mathbb{C}^{1 \times M}$.

3.2 RIS-assisted localization (RISAL) algorithm Obtain the coarse UE location using TDoA

■ We obtain the **time difference** between the UE arriving at the BS and the UE arriving at the RIS as

$$\tau_{\rm TDoA} = \tau_{\rm est}^{\rm NRIS} - (\tau_{\rm est}^{\rm RIS} - \frac{r_{\rm B2R}}{c})$$
(14)

□ Then we can acquire the standard equation of the **hyperbola** to lock the UE on it

$$\frac{x^2}{a_{\rm h}^2} - \frac{y^2}{b_{\rm h}^2} = 1$$
(15)

where $a_{\rm h} = \frac{\tau_{\rm TDoA} \cdot c}{2}$ and $b_{\rm h} = c_{\rm h}^2 - a_{\rm h}^2 = (\frac{r_{\rm B2R}}{2})^2 - a_{\rm h}^2$.

□ Next we can obtain the **coarse AoA** from the UE to the BS by the correlation as

$$\theta_{\mathrm{UE}}^{\mathrm{co}} = \arg \max_{\theta} \sum_{m=1}^{M} (\bar{\mathbf{A}}^{\mathrm{NRIS}} \mathbf{W}_{:,:,m}^{\mathrm{h}}(\theta))^{H} \mathbf{Y}_{:,m}^{\mathrm{NRIS}}$$
(16)

□ By combining θ_{UE}^{co} with the position of the BS, denoted as (x_{BS}, y_{BS}) , the location of the UE can be calculated as the intersection of the line and the hyperbola

$$x_{\rm UE}^{\rm co} = \frac{\sqrt{4k^4 a^4 x_{\rm BS}^2 + 4a^2 (b^2 - a^2 k^2)(k^2 x_{\rm BS}^2 + b^2)}}{2(b^2 - a^2 k^2)} + \frac{-2a^2 k^2 x_{\rm BS}}{2(b^2 - a^2 k^2)}$$

$$y_{\rm UE}^{\rm co} = k(x_{\rm UE}^{\rm co} - x_{\rm BS})$$
(17)

- **3.2 RIS-assisted localization (RISAL) algorithm Refine the UE location: the problem of conventional loss function**
- □ The **conventional** loss function[2][16]



Fig. 7. The view of the absolute value of the loss function when signal to noise ratio (SNR) is 0dB. (a) The loss function is the conventional one. (b) The loss function is the proposed one.

Proposed loss function

$$v^{\text{NRIS}} = \sum_{m=1}^{M} \left\| \overline{\mathbf{Y}}_{:,m}^{\text{NRIS}} - \overline{\mathbf{A}}^{\text{NRIS}} \overline{\mathbf{h}}_{:,m}^{\text{BU}} \right\|_{\text{F}}^{2} = \left\| \overline{\mathbf{Y}}^{\text{NRIS}} - \overline{\mathbf{A}}^{\text{NRIS}} \overline{\mathbf{h}}^{\text{BU}} \right\|_{\text{F}}^{2}$$
(19)

3.2 RIS-assisted localization (RISAL) algorithm

Refine the UE location: how to acquire the proposed loss function

 \Box Let the PSN of the first RF-chain in one of all time slots, namely $\overline{A}_{1,:}^{\text{NRIS}}$, to be

$$\underbrace{\underbrace{0 \cdots 0}_{\frac{N-1}{2}} 1 \underbrace{0 \cdots 0}_{\frac{N-1}{2}}, \text{ if } N \text{ is odd}}_{\frac{N-1}{2}}$$

$$\underbrace{\underbrace{0 \cdots 0}_{\frac{N-2}{2}} 1 1 \underbrace{0 \cdots 0}_{\frac{N-2}{2}}, \text{ if } N \text{ is even}}_{\frac{N-2}{2}}$$

□ The **imaginary LoS channel** can be expressed as

$$\overline{\mathbf{h}}_{:,m}^{\mathrm{BU}} = \hat{\alpha}_{0,m}^{\mathrm{BU}} \mathbf{b}_{m,0}^{\mathrm{BU}}(f_m, \hat{\theta}_0^{\mathrm{BU}}, \hat{r}_0^{\mathrm{BU}})$$
(21)

where $\hat{\alpha}_{0,m}^{BU}$, \hat{r}_{0}^{BU} and $\hat{\theta}_{0}^{BU}$ denotes the estimated channel gain, the estimated distance, and the estimated AoA, respectively.

□ The **imaginary received signal** can be calculated as

$$\begin{cases} \overline{\mathbf{Y}}_{i,m}^{\text{NRIS}} = \mathbf{Y}_{i,m}^{\text{NRIS}}, \text{ for } i = 1 \\ \overline{\mathbf{Y}}_{i,m}^{\text{NRIS}} = \mathbf{S}_{i,m} \frac{\sqrt{\sum_{m=1}^{M} |\mathbf{Y}_{i,m}^{\text{NRIS}}|^2}}{\sqrt{\sum_{m=1}^{M} |\mathbf{S}_{i,m}|^2}}, \text{ for } i = 2, \cdots, N_{\text{RF}} P^{\text{NRIS}} \end{cases}$$
(22)

where
$$\mathbf{S}_{i,m} = \mathbf{Y}_{i,m}^{\text{NRIS}} / \mathbf{Y}_{1,m}^{\text{NRIS}}$$
.

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 $\ln (9$

(20)

3.2 RIS-assisted localization (RISAL) algorithm Refine the UE location: the polar-domain gradient descent algorithm

□ Get the **proposed loss function** from the imaginary received signal and the imaginary LoS channel as follows

$$v^{\text{NRIS}} = \sum_{m=1}^{M} \left\| \overline{\mathbf{Y}}_{:,m}^{\text{NRIS}} - \overline{\mathbf{A}}^{\text{NRIS}} \overline{\mathbf{h}}_{:,m}^{\text{BU}} \right\|_{\text{F}}^{2} = \left\| \overline{\mathbf{Y}}^{\text{NRIS}} - \overline{\mathbf{A}}^{\text{NRIS}} \overline{\mathbf{h}}^{\text{BU}} \right\|_{\text{F}}^{2}$$
(23)

The gradient of v^{NRIS} with respect to $\hat{\theta}_0^{\text{BU}}$ is

$$\frac{\partial v^{\text{NRIS}}}{\partial \hat{\theta}_0^{\text{BU}}} = -2 \cdot \text{Re}\{\text{tr}[(\bar{\mathbf{A}}^{\text{NRIS}} \frac{\partial \bar{\mathbf{h}}^{\text{BU}}}{\partial \hat{\theta}_0^{\text{BU}}})^H \bar{\mathbf{Y}}^{\text{NRIS}}]\} + 2 \cdot \text{Re}\{(\bar{\mathbf{A}}^{\text{NRIS}} \bar{\mathbf{h}}^{\text{BU}})^H \bar{\mathbf{A}}^{\text{NRIS}} \frac{\partial \bar{\mathbf{h}}^{\text{BU}}}{\partial \hat{\theta}_0^{\text{BU}}}\}$$
(24)

- $\square \text{ Besides, the gradient of the } n\text{-th element of } \overline{\mathbf{h}}_{:,m}^{\text{BU}} \text{ with respect to } \hat{\theta}_{0}^{\text{BU}} \text{ is derived as} \\ \frac{\partial \overline{\mathbf{h}}_{:,m}^{\text{BU}}}{\partial \hat{\theta}_{0}^{\text{BU}}} \bigg|_{n} = \beta \cdot \frac{\hat{r}_{0}^{\text{BU}} \delta_{n} d}{\sqrt{(\hat{r}_{0}^{\text{BU}})^{2} + \delta^{2} d^{2} 2\hat{r}_{0}^{\text{BU}} \hat{\theta}_{0}^{\text{BU}} \delta_{d}}}$ (25)
- $\square \hat{\theta}_0^{\text{BU}} \text{ is optimized by gradient descent and the derivation in the process of gradient descent is based on the above two equations.}$

By the way, the step size is updated using Armijo-Goldstein rule.

The overall steps of polar-domain gradient descent algorithm are summarized in step 7-14 in Algorithm 1: RISAL.



4. Simulation Results

□ Simulation parameters

TABLE I. Simulation parameters

Var.	Description	Value
Ν	No. of BS antenna	256
N _{RIS}	No. of RIS elements	256
N _{RF}	No. of RF-chain	4
$P^{\text{NRIS}}/P^{\text{RIS}}$	No. of time slots	8/16
f_c	Carrier frequency	0.1THz
В	Bandwidth	10GHz
М	No. of subcarriers	2048

□ Root mean square error (RMSE) is the accuracy evaluation

$$\mathbf{RMSE}_{\mathcal{G}} = \sqrt{\frac{\sum_{n=1}^{N_{\mathrm{it}}} (\hat{\mathcal{G}}_n - \mathcal{G}_{\mathrm{real}})^2}{N_{\mathrm{it}}}}, \mathbf{RMSE}_r = \sqrt{\frac{\sum_{n=1}^{N_{\mathrm{it}}} (\hat{r}_n - r_{\mathrm{real}})^2}{N_{\mathrm{it}}}}$$
(26)

4. Simulation Results



Fig. 8. RMSE performance of ϑ and r versus the transmit power under the **near-field beam squint effect**.



Fig. 9. RMSE performance of ϑ and r versus the transmit power in the **far-field** conditions with the beam squint effect.



5. Conclusions

Contribution

Numerical results verified that the RISAL algorithm can achieve 10⁻⁴ rad of the AoA accuracy and centimeter-level of the distance accuracy, which outperformed the MUSIC algorithm and the ESPRIT algorithm, under the near-field beam squint effect.

Limitation

□ The **on-grid** method is used to estimate the TDoA in this paper, which limits the accuracy of the **distance estimation**.

Future Direction

The high-precision localization can be utilized in other important applications, such as assistance to communications, combination with channel estimation, etc.



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Thanks!