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**Article:**

Cai, J., Liu, W., Zong, R. et al. (1 more author) (2017) An Expanding and Shift Scheme for Constructing Fourth-Order Difference Co-Arrays. *IEEE Signal Processing Letters*, 24 (4). pp. 480-484. ISSN 1070-9908

<https://doi.org/10.1109/LSP.2017.2664500>

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# An Expanding and Shift Scheme for Constructing Fourth-Order Difference Co-Arrays

Jingjing Cai, Wei Liu, Ru Zong, and Qing Shen

**Abstract**—An expanding and shift (EAS) scheme for efficient fourth-order difference co-array construction is proposed. It consists of two sparse sub-arrays, where one of them is modified and shifted according to the analysis provided. The number of consecutive lags of the proposed structure at the fourth order is consistently larger than two previously proposed methods. Two effective construction examples are provided with the second sparse sub-array chosen to be a two-level nested array, as such a choice can increase the number of consecutive lags further. Simulations are performed to show the improved performance by the proposed method in comparison with existing structures.

**Index Terms**—Sparse arrays, fourth-order difference co-array, second-order difference co-array, cumulant.

## I. INTRODUCTION

Recently, the sparse array concept combined with co-array equivalence has attracted significant interest in the community [1], [2], and two representative examples are the co-prime arrays [3]–[5], and the nested arrays [6], [7]. Sparse arrays can form a larger aperture size given the same number of antennas and more importantly provide much more degrees of freedom (DOFs) than traditional uniform arrays. Many methods have been proposed for underdetermined DOA estimation based on such arrays, such as the spatial smoothing-based subspace methods [8], [9], or compressive sensing (CS)-based methods [4], [10]–[13].

So far the majority of work for virtual array generation is based on the second-order statistics (SOS). However, it is possible to exploit the fourth-order statistics (FOS) to generate even more DOFs, such as the cumulant-based DOA estimation methods studied in [14]–[20] and the method based on quasi-stationary signals [21], [22]. Therefore, how to construct a sparse array with maximum fourth-order virtual array sensors has become a very important problem. In [22], [23], the existing nested arrays and co-prime arrays were extended for effective fourth-order virtual array generation by adding to the structure a third uniform linear array. It was shown that in

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This work was partially supported by the National Natural Science Foundation of China (61405150 and 61628101).

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this way, the number of consecutive virtual sensor lags can be increased significantly.

In this work, by analysing the generated fourth-order difference lags, we can consider them as the sum of two second-order difference lags with the same range. Based on this observation, we propose a new sparse array construction scheme aiming to maximize the consecutive lags in the fourth order virtual co-array.

We start from two separate sparse sub-arrays, and each of them is configured at the second-order difference co-array (SODCA) level, such as the existing co-prime arrays or nested arrays. Then one of them is expanded uniformly by increasing the adjacent physical sensor spacing according to the number of second-order consecutive virtual array sensors of the other sparse sub-array. The last step is shifting the newly expanded array to a new position so that the number of fourth-order consecutive virtual array sensors is further increased and the first sensor of the expanded sub-array coincides with one of the physical sensors of the other sub-array. Due to the coincidence, one of the two physical sensors can be removed without affecting the resultant fourth-order DOFs in the consecutive range. It is also shown that if the second sub-array is a two-level nested array, the fourth-order consecutive virtual sensor range can be further increased. Compared with the fourth-order difference co-arrays (FODCAs) proposed in [22], [23], a higher number of consecutive lags is achieved by the proposed scheme.

This paper is organized as follows. The cumulant-based FODCAs are analyzed in Sec. II, and the proposed construction is introduced in detail in Sec. III. A comparison of the different fourth-order construction schemes is performed in Sec. IV. Simulation results are provided in Sec. V and conclusion drawn in Sec. VI.

## II. CUMULANT-BASED FOURTH-ORDER DIFFERENCE CO-ARRAY

Suppose there are  $K$  far-field independent non-Gaussian narrowband signals  $s_k(t)$  ( $k = 1, \dots, K$ ) impinging on a sparse linear array (SLA) of  $M$  sensors. Denote the unit spacing by  $d$ , which is equal to half wavelength  $\lambda/2$ . Then, positions of the SLA sensors can be expressed as

$$P = \{p_1 \cdot d, p_2 \cdot d, \dots, p_m \cdot d, \dots, p_M \cdot d\}. \quad (1)$$

With the angle of arrival of the  $k$ th source being  $\theta_k$ , the observed signal  $x_m(t)$  at the  $m$ th sensor is given by

$$x_m(t) = \sum_{k=1}^K \exp(-j2\pi p_m d \cos\theta_k / \lambda) s_k(t) + n_m(t), \quad (2)$$

where  $n_m(t)$  is the additive Gaussian noise of the  $m$ th sensor, and it is independent of the signals. Suppose  $1 \leq i, j, u, v \leq M$  and  $\{i, j, u, v\} \in Z$ . The fourth-order cumulant value  $C(i, -j, u, -v)$  of the  $i$ th,  $j$ th,  $u$ th and  $v$ th sensor observed signals can be expressed as [14]

$$\begin{aligned} C(i, -j, u, -v) &= \text{cum}[x_i(t), x_j^*(t), x_u(t), x_v^*(t)] \\ &= \sum_{k=1}^K \exp[-j2\pi(p_i - p_j + p_u - p_v)d\cos\theta_k/\lambda]. \end{aligned} \quad (3)$$

$\text{cum}(x_1(t), x_1^*(t), x_1(t), x_1^*(t))$

where  $(\cdot)^*$  denotes complex conjugate, and  $\text{cum}(\cdot)$  denotes the fourth-order cumulant operation. The fourth-order difference co-array not only has a much larger number of virtual sensors than the physical SLA, but also removes the Gaussian noise components, which will help improving the DOA estimation result further.

The fourth-order difference lag  $(p_i - p_j + p_u - p_v)$  corresponding to the new virtual sensors can be written as

$$p_i - p_j + p_u - p_v = (p_i - p_j) + (p_u - p_v) \quad (4)$$

Clearly, this fourth-order difference lag expression can be seen as two second-order difference lags added together. As a result, we could construct the FODCA by two separate SODCAs with different ranges. Although this will not be optimal, it could provide an effective solution for FODCA construction, as shown later.

### III. PROPOSED EXPANDING AND SHIFT (EAS) SCHEME FOR CONSTRUCTING FODCAs

#### A. The EAS Scheme

We start from two separate sparse sub-arrays which are configured for SODCA generation. They can be different types of sparse arrays and have different number of physical sensors. Assume the first sub-array contains  $M$  physical sensors, while the second one contains  $N$  sensors. Their array position settings are defined as

$$\begin{aligned} P &= \{p_1 \cdot d, p_2 \cdot d, \dots, p_m \cdot d, \dots, p_M \cdot d\} \\ Q &= \{q_1 \cdot d, q_2 \cdot d, \dots, q_n \cdot d, \dots, q_N \cdot d\} \end{aligned} \quad (5)$$

where  $p_m \cdot d$  and  $p_n \cdot d$ ,  $m = 1, 2, \dots, M$ ,  $n = 1, 2, \dots, N$ , are the physical sensor positions of the two sub-arrays. We further assume that the number of consecutive SODCA sensors for the first sub-array  $P$  is  $C_M$ , while it is  $C_N$  for  $Q$ .

Based on the two sparse arrays, we can generate the fourth-order difference lags using the expression  $(p_i - p_j) + (p_u - p_v)$  in (4), where one choice is that the lags  $(p_i - p_j)$  come from the second-order co-array of  $P$ , while  $(p_u - p_v)$  from that of  $Q$ . When adding these two together, the segment of  $C_M$  consecutive virtual sensors from  $P$  are then shifted one by one by the second-order virtual co-array sensors of  $Q$ , and there are at least  $C_N$  copies of the same  $C_M$  consecutive points from  $P$ , which are then added together to form the FODCA. To make sure there are no overlaps or gaps among the  $C_N$  copies of the continuous segment of length  $C_M$  so that the maximum number of consecutive fourth-order virtual sensors are achieved, we can increase the unit spacing of the sub-array

$Q$  to  $C_M \cdot d$ . As a result, the second sparse array is changed to

$$\tilde{Q} = \{q_1, q_2, \dots, q_n, \dots, q_N\} \cdot C_M d, \quad (6)$$

and the number of consecutive fourth-order virtual co-array sensors is  $C_L = C_M C_N$ .

Note that the  $C_L$  consecutive lags in the fourth-order co-array is independent of the relative positions of the two sparse arrays  $P$  and  $\tilde{Q}$ , since any shift will be canceled by the operation of  $(p_i - p_j)$  and  $(p_u - p_v)$ . As a result, we can shift the starting position of the second array  $\tilde{Q}$  by  $\Delta s \cdot d$  so that one of the physical sensors of the second sparse array will be co-located with one of the physical sensors of the first array, i.e.  $q_n C_M = p_m$  for a specific pair of  $(m, n)$ . Then, one of the co-located sensors can be removed and the total number of physical sensors will be  $L = M + N - 1$  with the same number of consecutive fourth-order co-array sensors  $C_L$ . To have a larger aperture, we can choose  $q_1 C_M = p_m$ , i.e. the first sensor of the second array will coincide with one arbitrary sensor of the first array. Without loss of generality, we remove the first sensor of the second array  $\tilde{Q}$ . Then, the pair of sparse sub-arrays becomes

$$\begin{aligned} P &= \{p_1 \cdot d, p_2 \cdot d, \dots, p_m \cdot d, \dots, p_M \cdot d\} \\ \hat{Q} &= \{q_2, \dots, q_n, \dots, q_N\} \cdot C_M d, \end{aligned} \quad (7)$$

Interestingly, as we will show in the next part, this choice of shift will have the advantage of generating additional consecutive lags of  $2(p_m - p_1)$  if the second sparse array is chosen to be a two-level nested array (referred to as EAS-NA in the following). Under this condition, if the first array is further chosen to be either a nested array or a co-prime array, we can have  $q_1 C_M = p_M$ , so that the total number of consecutive fourth-order co-array sensors becomes  $C_L = C_M C_N + 2(p_M - p_1)$  for the EAS-NA scheme. The physical array aperture of the proposed construction scheme is  $(q_N C_M - p_1)d$  for the general case of  $q_1 C_M = p_m$ .

#### B. The EAS-NA Scheme

In this part, we consider the EAS-NA scheme, as it will increase the fourth-order consecutive lags further.

For a nested array, we have the interesting property of  $q_N - q_1 = \frac{C_N - 1}{2}$ , where  $\frac{C_N - 1}{2}$  is the maximum number of positive consecutive second-order lags. For such an EAS-NA construction, the range of the positive consecutive fourth-order lags is from 1 to  $(q_N - q_1)C_M + \frac{C_M - 1}{2}$ , and the last segment of  $C_M$  consecutive fourth-order lags is from  $(q_N - q_1)C_M - \frac{C_M - 1}{2}$  to  $(q_N - q_1)C_M + \frac{C_M - 1}{2}$ , centered at  $(q_N - q_1)C_M$ . With  $q_1 C_M = p_M$  as suggested in the last subsection, this center becomes  $q_N C_M - p_M$ .

Note that the last sensor of  $\tilde{Q}$  is  $q_N C_M$ . When calculating the fourth-order difference lag  $(p_i - p_j) + (p_u - p_v)$ ,  $p_i$  and  $p_j$  can be chosen from the first array  $P$ , while  $p_u = q_N C_M$  and  $p_v = p_1$ . For such a choice,  $(p_i - p_j)$  will generate a segment of consecutive lags from  $-\frac{C_M - 1}{2}$  to  $\frac{C_M - 1}{2}$ , so that  $(p_i - p_j) + (p_u - p_v)$  in total will generate a segment of consecutive lags from  $q_N C_M - p_1 - \frac{C_M - 1}{2}$  to  $q_N C_M - p_1 + \frac{C_M - 1}{2}$ , centered at  $q_N C_M - p_1$ .

Now we have two segments of consecutive lags of length  $C_M$ , one centered at  $q_N C_M - p_M$  and one at  $q_N C_M - p_1$ , where the second one is  $p_M - p_1$  away from the first one. If  $p_M - p_1 \leq (C_M - 1)$ , then the consecutive fourth-order lags will be increased from  $C_M C_N$  to  $C_M C_N + 2(p_M - p_1)$ , where the multiplication by 2 is due to considering both the negative and the positive consecutive lags. Since the condition  $p_M - p_1 \leq (C_M - 1)$  is satisfied for most sparse arrays designed for maximizing the continuous second-order difference co-array lags, such as the co-prime arrays and nested arrays, we can shift the second sparse array so that its first sensor will be co-located with the last sensor of the first array.

### C. Examples of the EAS-NA Scheme

Here, we give two examples for the EAS-NA scheme. One takes two nested arrays as its two sparse sub-arrays, referred to as the EAS-NA-NA array; the other one uses the co-prime array as its first sparse sub-array and the nested array as the second sparse sub-array, referred to as the EAS-NA-CPA array.

First we consider the EAS-NA-NA case. The first nested array contains  $M_1$  and  $M_2$  sensors in its two sub-arrays, separately, and the second nested array contains  $N_1$  and  $N_2$  sensors. The total number of sensors is  $L = M_1 + M_2 + N_1 + N_2 - 1$ . The consecutive second-order co-array sensor number of these two nested arrays is  $C_M = 2M_1 M_2 + 2M_2 - 1$  and  $C_N = 2N_1 N_2 + 2N_2 - 1$ , respectively. The first sensor of the first nested array is 1 and the last sensor is  $p_M = M_1 M_2 + M_2$ . Then, the total number of consecutive fourth-order difference co-array lags is  $C_L = (2M_1 M_2 + 2M_2 - 1)(2N_1 N_2 + 2N_2 - 1) + 2(M_1 M_2 + M_2 - 1)$ .

As an example, for  $M_1 = N_1 = 2$  and  $N_1 = N_2 = 2$ , we have  $C_M = C_N = 11$  and  $C_L = 131$ . The resultant sensor locations are  $P = \{1, 2, 3, 6\} \cdot d$  and  $\hat{Q} = \{17, 28, 61\} \cdot d$ .

Now for the EAS-NA-CPA case, assume the co-prime array contains  $M_1$  and  $M_2$  sensors as its two sub-arrays, separately, and the nested array contains  $N_1$  and  $N_2$  sensors as before. Then, we have  $L = 2M_1 + M_2 + N_1 + N_2 - 2$ ,  $C_M = 2M_1 M_2 + 2M_1 - 1$  and  $C_N = 2N_1 N_2 + 2N_2 - 1$ . The first sensor of the co-prime array is 0 and the last sensor is  $p_M = 2M_1 M_2 - M_2$ . As a result, we can obtain  $C_L = (2M_1 M_2 + 2M_1 - 1)(2N_1 N_2 + 2N_2 - 1) + 2(2M_1 M_2 - M_2)$ .

With  $M_1 = 2, M_2 = 3, N_1 = 2$  and  $N_2 = 2$ . The results are  $C_M = 15$ ,  $C_N = 11$  and  $C_L = 183$ . The set of sensor locations are  $P = \{0, 2, 3, 4, 6, 9\} \cdot d$  and  $\hat{Q} = \{24, 39, 84\} \cdot d$ .

## IV. COMPARISON BETWEEN DIFFERENT CO-ARRAY STRUCTURES

In this section, we give a comparison between our proposed schemes (EAS-NA-CPA and EAS-NA-NA as two specific cases) with two recently proposed ones: one is called SAFO-CPA [22], and the other one is called SAFO-NA [23].

Since given the same number of physical sensors, we can have different sub-array parameters, which then results into different number of consecutive fourth-order lags for the same construction scheme. To have a fair comparison, we choose the parameters giving the maximum number for each scheme. Fig. 1 shows the number of consecutive fourth-order lags  $C_L$  for

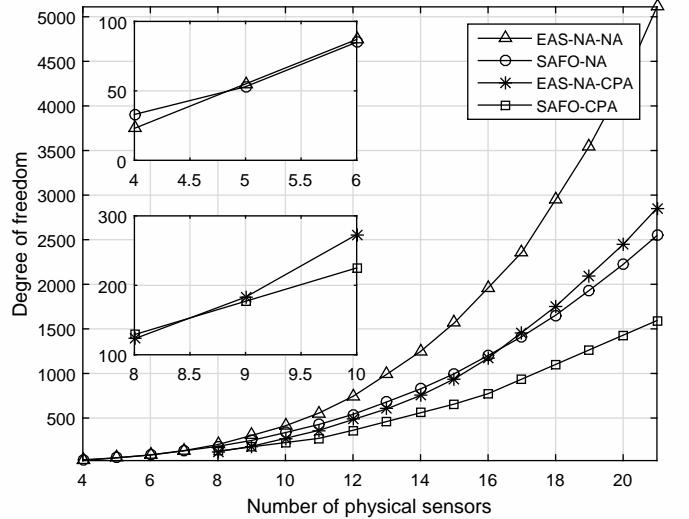


Fig. 1. DOFs of different co-array structures in terms of the number of consecutive FODCA lags.

TABLE I  
PARAMETER SETTING OF THE CORRESPONDING SPARSE ARRAYS.

number of sensors	SAFO-NA ( $M_1, M_2, N$ )	EAS-NA-NA ( $M_1, M_2, N_1, N_2$ )	SAFO-CPA ( $M_1, M_2, N$ )	EAS-NA-CPA ( $M_1, M_2, N_1, N_2$ )
4	(1, 2, 1)	(1, 1, 1, 2)	--	--
5	(1, 2, 2)	(1, 2, 1, 2)	--	--
6	(2, 2, 2)	(2, 2, 1, 2)	--	--
7	(2, 3, 2)	(2, 3, 1, 2)	--	--
8	(2, 3, 3)	(2, 3, 2, 2)	(2, 3, 2)	(2, 3, 1, 2)
9	(3, 3, 3)	(2, 3, 2, 3)	(2, 3, 3)	(2, 3, 2, 2)
10	(3, 4, 3)	(3, 3, 2, 3)	(2, 3, 4)	(2, 3, 2, 3)
11	(3, 4, 4)	(3, 4, 2, 3)	(2, 3, 5)	(2, 3, 3, 3)
12	(4, 4, 4)	(3, 4, 3, 3)	(3, 4, 3)	(2, 3, 3, 4)
13	(4, 5, 4)	(3, 4, 3, 4)	(3, 4, 4)	(2, 3, 4, 4)
14	(4, 5, 5)	(4, 4, 3, 4)	(3, 4, 5)	(2, 3, 4, 5)
15	(5, 5, 5)	(4, 5, 3, 4)	(3, 4, 6)	(3, 4, 3, 4)
16	(5, 6, 5)	(4, 5, 4, 4)	(4, 5, 4)	(3, 4, 4, 4)
17	(5, 6, 6)	(4, 5, 4, 5)	(4, 5, 5)	(3, 4, 4, 5)
18	(6, 6, 6)	(5, 5, 4, 5)	(4, 5, 6)	(3, 4, 5, 5)
19	(6, 7, 6)	(5, 6, 4, 5)	(4, 5, 7)	(3, 4, 5, 6)
20	(6, 7, 7)	(5, 6, 5, 5)	(4, 5, 8)	(3, 4, 6, 6)
21	(7, 7, 7)	(5, 6, 5, 6)	(5, 6, 6)	(3, 4, 6, 7)

the four cases with different number of physical sensors and the corresponding parameter settings are provided in Tab. IV.

We can see from the figure that, for the total number of physical sensors  $L > 4$ , the number of DOFs of EAS-NA-NA is always larger than the SAFO-NA structure, while EAS-NA-CPA outperforms the SAFO-CPA for  $L > 8$ . On the other hand, EAS-NA-CPA and SAFO-NA have a similar result and the  $C_L$  number for the EAS-NA-CPA will exceeds that of SAFO-NA for  $L > 16$ . The performance of EAS-NA-NA is the best of all, which greatly exceeds the other three structures for  $L > 10$ . For example, for  $L = 18$ , the number of consecutive fourth-order lags are 2949, 1751, 1653 and 1101 for EAS-NA-NA, EAS-NA-CPA, SAFO-NA, and SAFO-CPA, respectively.

## V. SIMULATION RESULTS

In this section, simulations are performed to demonstrate the performance of the proposed EAS-NA scheme. The CS-

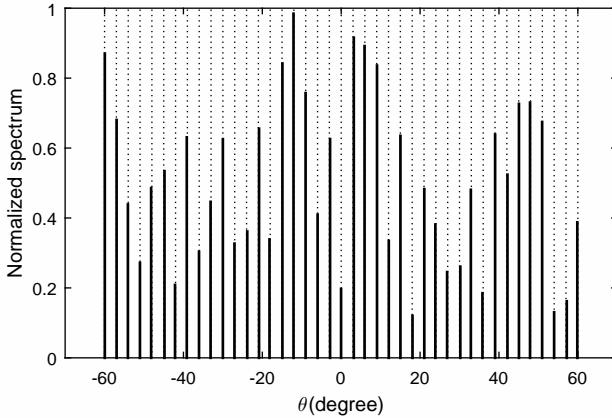


Fig. 2. DOA estimation result for the EAS-NA-NA array.

based DOA estimation algorithm is employed as in [22], [23], where the constrained  $L_1$  norm minimization problem can be solved using cvx, a package for specifying and solving convex problems [24], [25]. In the formulation, the full angle range from  $-90^\circ$  to  $90^\circ$  is discretized with a step size of  $0.05^\circ$ . The sources are generated by fixing the magnitude and frequency of a complex baseband signal and then changing its phase randomly following a uniform distribution on  $[0, 2\pi]$ .

In the first simulation, we consider an EAS-NA-NA array with  $L = 6$  sensors and the parameters are set to be  $M_1 = 1$  and  $M_2 = N_1 = N_2 = 2$ , with  $P = \{1, 2, 4\} \cdot d$  and  $\hat{Q} = \{11, 18, 39\} \cdot d$ .  $K = 41$  narrowband source signals are uniformly distributed between  $-60^\circ$  and  $60^\circ$ . The input SNR is 0dB, and the number of snapshots for calculating the fourth-order cumulant matrix is 20000. The DOA estimation result is shown in Fig. 2. Clearly, all the sources have been distinguished successfully.

Now we compare the performance of two nested array based structures, EAS-NA-NA and SAFO-NA, and the two co-prime array based structures, EAS-NA-CPA and SAFO-CPA, all with  $L = 12$  physical sensors. The parameters for the EAS-NA-NA array are  $M_2 = 4$ ,  $M_1 = N_1 = N_2 = 3$ , for the SAFO-NA array are  $M_1 = M_2 = N = 4$ , for the EAS-NA-CPA array are  $M_1 = 2$ ,  $M_2 = N_1 = 3$  and  $N_2 = 4$ , and finally for the SAFO-CPA array are  $M_1 = N = 3, M_2 = 4$ . By calculation, the physical aperture for EAS-NA-NA is  $371 \cdot d$ ,  $270 \cdot d$  for SAFO-NA,  $241 \cdot d$  for EAS-NA-CPA, and  $181 \cdot d$  for SAFO-CPA. The number of source signals is  $K = 35$  and the number of snapshots for calculating the fourth-order cumulant matrix is 10000. The root-mean-squared error (RMSE) results obtained through 500 Monte Carlo trials are shown in Fig. 3 with a varied input SNR.

Evidently, the higher the input SNR, the higher its estimation accuracy. The performance of the nested array based structures are better than the co-prime array based ones, while the EAS-NA-NA has achieved the best performance for the whole input SNR range, which is due to not only a higher number of DOFs provided by the EAS-NA structure, but also a larger aperture.

Next we fix the input SNR to 0dB, and change the number of snapshots. The RMSE results are shown in Fig.4, where we

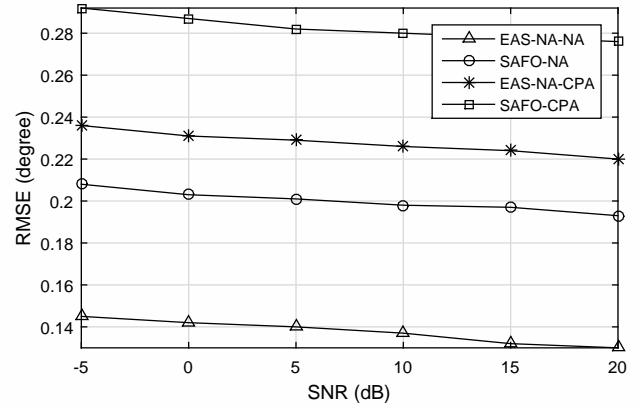


Fig. 3. RMSE results with respect to input SNR.

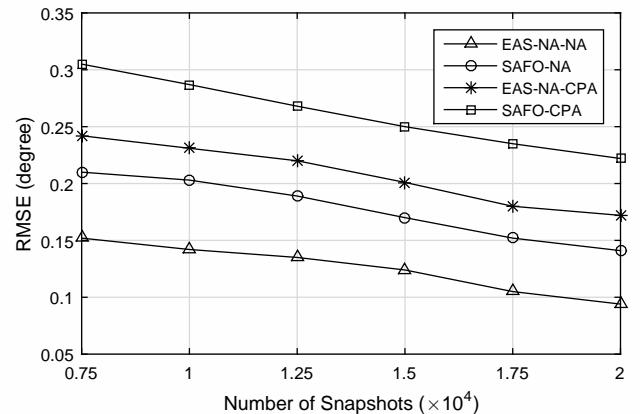


Fig. 4. RMSE results with respect to snapshot number.

can see a similar trend and again the EAS-NA-NA structure has provided the best result for the considered full range of snapshot numbers.

## VI. CONCLUSION

A general sparse array construction scheme called expanding and shift (EAS) has been proposed for maximizing the continuous FODCA lags. It consists of two existing sparse sub-arrays, one with  $M$  physical sensors and  $C_M$  consecutive SODCA lags, while the other one with  $N$  physical sensors and  $C_N$  consecutive SODCA lags. Then, the second sub-array is first expanded by increasing its unit spacing  $C_M$  times and then shifted to a position so that the two sub-arrays share one common physical sensor. As a result, with only  $M + N - 1$  physical sensors,  $C_M C_N$  consecutive FODCA lags can be achieved. It is also shown that when the second sub-array is a two-level nested array, the number of consecutive FODCA lags can be further increased. As demonstrated by simulation results, the proposed EAS scheme has achieved a much better performance than two existing structures due to its higher number of DOFs and larger physical aperture.

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