

REPORT DOCUMENTATION PAGE

Form Approved
OMB No. 0704-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Washington Headquarters Service, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington, DC 20503.

PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.

1. REPORT DATE (DD-MM-YYYY) 31-12-2010		2. REPORT TYPE Performance/Technical Report (Annual)		3. DATES COVERED (From - To) Jan. 01, 2010 - Dec. 31, 2010	
4. TITLE AND SUBTITLE Enhanced Multistatic Active Sonar via Innovative Signal Processing				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER N00014-09-1-0211	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S) Jian Li				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) University of Florida Office of Engineering Research 343 Weil Hall, P.O.Box 116550 Gainesville, FL 32611				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) Office of Naval Research 875 North Randolph Street Arlington, VA 22203-1995				10. SPONSOR/MONITOR'S ACRONYM(S) ONR	
				11. SPONSORING/MONITORING AGENCY REPORT NUMBER	
12. DISTRIBUTION AVAILABILITY STATEMENT Approved for Public Release; Distribution is Unlimited.					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT Our goal is to address fundamental signal processing research issues for enhanced multistatic active sonar systems. To effectively mitigate the reverberation problems encountered in shallow water, both probing waveform synthesis and receive filter design need to be optimized. In this report, CAN (cyclic algorithm-new) is employed to synthesize probing sequences with good aperiodic auto-correlation properties. The performance of the CAN sequences will be compared with those of pseudo random noise and random phase sequences. Two adaptive receiver designs, namely the iterative adaptive approach (IAA) and the sparse learning via iterative minimization (SLIM) method, will also be considered. IAA and SLIM will be compared with the conventional matched filter method. In addition, a fast implementation of the SLIM algorithm is presented by taking advantage of the conjugate gradient method and the fast Fourier transform.					
15. SUBJECT TERMS Active sonar, the cyclic algorithm-new algorithm, iterative adaptive approach, sparse learning via iterative minimization					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT UU	18. NUMBER OF PAGES 10	19a. NAME OF RESPONSIBLE PERSON Jian Li
a. REPORT U	b. ABSTRACT U	c. THIS PAGE U			19b. TELEPHONE NUMBER (include area code) (352) 392-2642

Enhanced Multistatic Active Sonar via Innovative Signal Processing

Jian Li

Department of Electrical and Computer Engineering, P.O. Box 116130
University of Florida, Gainesville, FL 32611
phone: (352) 392-2642 fax: (352) 392-0044 email: li@dsp.ufl.edu

Award Number: N00014-09-1-0211
<http://www.sal.ufl.edu>

LONG-TERM GOALS

Our goal is to address fundamental signal processing research issues for enhanced multistatic active sonar systems. To effectively mitigate the reverberation problems encountered in shallow water, both probing waveform synthesis and receive filter design need to be optimized.

OBJECTIVES

Our objectives are 1) to optimally synthesize broadband Doppler-sensitive probing waveforms under practical (e.g., constant modulus and total energy) constraints, and 2) to devise robust and computationally efficient receive filters including data-independent mismatched filters as well as data-dependent sparse signal representation algorithms for superior range-Doppler (or angle-range-Doppler) imaging. Our goal is to significantly reduce the shallow water reverberation effects on the detection of both high- and low-Doppler targets. The interplay between the probing waveform synthesis and receive filter design on the performance of the multistatic active sonar systems will be investigated as well.

APPROACH

For Doppler-sensitive probing waveform synthesis, we consider optimizing the integrated sidelobe level (ISL) metric. Lower ISL means lower sidelobe levels after range compression, which in turn means lower interferences among scatterers located at different range bins. Due to hardware constraints (such as the limitations of the power amplifier) in practice, components of the transmitted waveform are commonly restricted to being constant modulus. Our goal is to minimize the ISL metric over the set of unimodular (i.e., unit modulus) sequences. Note that the minimization of the ISL metric is equivalent to the maximization of the well-known merit factor (MF) discussed in the literature.

The probing waveforms we synthesize can never be perfect, as dictated by fundamental performance bounds and principles. In general, the ambiguity functions can never be made like a perfect thumb-tack. Fortunately, novel receiver design techniques can serve to improve the overall performance of the active sonar system and can be used to compensate for the deficiencies in waveform synthesis. For receive filter design, we consider matched, mismatched, and adaptive filters to form range-Doppler or angle-range-Doppler images. The adaptive filters, in particular, will be developed to significantly

reduce the mutual interferences of scatterers in different range and Doppler bins and to improve the Doppler resolution.

The key individuals participating in this work include the PI, Jian Li, and her Ph.D. students, Hao He and William Roberts, at the University of Florida, as well as Professor Petre Stoica at the Uppsala University in Sweden. Mr. He is funded as a Research Associate (RA) by this ONR grant. Dr. Roberts is funded by a SMART fellowship and has received his Ph.D. degree in May 2010. Professor Stoica is funded by several funding agencies in Sweden and Europe. This team of researchers exchanges ideas and collaborates on joint journal and conference papers.

WORK COMPLETED

At the probing signal generation and transmission phase, we have focused on using cyclic algorithm-new (CAN) to synthesize probing sequences with good aperiodic autocorrelation and unimodular properties for the active sonar applications. CAN is based on the fast Fourier transform (FFT) and is applied for the minimization of the integrated sidelobe level (ISL) metric, which is of particular interest in active sonar systems. We compared the properties of the CAN sequences with those of two other popular sequences, namely the pseudo random noise (PRN) sequences and random phase (RP) sequences. Due to the optimization employed in the design of the CAN sequence, the sidelobes on the zero-Doppler line are significantly suppressed by the CAN sequence.

At the signal processing stage at the receiver, we have considered novel receiver design techniques to improve the overall performance of the active sonar system and to compensate for the deficiencies in waveform synthesis. We have developed two adaptive receiver designs, namely the iterative adaptive approach (IAA) and the sparse learning via iterative minimization (SLIM) method. Both approaches can work with even a single snapshot and the array can be arbitrary. Both approaches outperform the classical data-independent matched filter methods significantly. Moreover, as a Bayesian signal recovery approach, the SLIM algorithm gives the *a posteriori* distribution of the target amplitudes. This information could be used for enhanced target detection and automatic target recognition.

We have also investigated the computational issues of SLIM and introduced a fast implementation of the algorithm. In the active sonar problem, the steering matrix, which consists of the time-delayed and Doppler-scaled sequences, has a rich structure. We exploited the structure in the steering matrix, and make the matrix-vector multiplication computationally efficient by using the fast Fourier transform (FFT). Moreover, we apply the conjugate gradient (CG) method to transform the inversion of a matrix into a series of matrix-vector multiplications.

RESULTS

To demonstrate the effectiveness of using CAN for probing waveform design, the sequences generated by CAN were compared with PRN and RP sequences for active sonar applications. The RP sequences are unimodular with phased randomly distributed in $[0, 2\pi)$, while the PRN sequences are Gaussian random processes and are not restricted to be unimodular. The auto-correlation functions of a PRN sequence, an RP sequence and a CAN sequence (initialized by the PR sequence) are shown in Figures 1(a), 1(b), and 1(c), respectively. All the sequences are of length 400. The RP and CAN sequences are unimodular with amplitude 1. The PRN sequence is not unimodular and is normalized such that it has the same energy as the RP and CAN sequences. The ISL of the CAN sequence is 15.33 dB, while those of the PRN and RP sequences are 26.93 dB and 27.15 dB, respectively. In addition to the lower

ISL, the peak sidelobe level (PSL) of the CAN sequence is -32.45 dB, while those of the PRN and RP sequences are -19.67 dB and -21.27 dB, respectively.

In Figures 2 (a)-(c), we show the ambiguity functions for the PRN, RP and CAN sequences, respectively. As can be seen from the images, the sidelobes of the PRN and RP sequences are of comparable level, which results in similar performance of the two sequences. For the CAN sequence, the sidelobes on the zero-Doppler line are significantly suppressed, due to the optimization employed in the design of the CAN sequence. However, the sidelobes of the CAN sequence in other parts of the ambiguity function are similar to those of the PRN and RP sequences. Therefore, sonar systems transmitting the CAN sequence and using the matched filter at the receiver will have a higher potential of detecting weak targets that might be missed by other systems transmitting PRN or RP sequences only when the targets occupy the same Doppler bin. Consider the example shown in Figure 3, where two targets separated in range by 95 m are to be detected by sonar systems transmitting PRN, RP and CAN sequences. The amplitude of the strong target is 1, while that of the weak one is 0.1. As can be seen from the figure, for both PRN and RP sequences, the weak target is missed due to the interferences from the strong target. However, the system transmitting a CAN sequence clearly indicates the presence of both targets and gives accurate estimates of the target echo levels. Figure 4 shows the 1-D cut of Figure 3 corresponding to the zero-Doppler line. As is clearly shown in the figure, the sidelobes of PRN and RP are so high that the weak target is buried by the leakage from the strong one. For the CAN sequence, the sidelobes are low enough for the weak target (which shares the same Doppler as the strong target) to be detected.

We have tested the effectiveness of using CAN waveform as probing pulses in active sonar applications. We use the sonar simulation toolset (SST) to simulate the active sonar system and the practical oceanic environment in which the system works (by collaborating with Dr. Michael S. Datum of the Applied Physical Sciences Corp.). The simulation geometry is shown in Figure 5, where the receiver is 2 km away from the transmitter, which sends out a CAN sequence into the region of interest. A target, located on the perpendicular bisector of the segment connecting the transmitter and the receiver, is 6 km away from the receiver and moves at a radial velocity of 2 knots. In the simulation, the length of the CAN sequence is 400. The bandwidth of the transmitted sequence is 200 Hz, and the carrier frequency is 900 Hz. The sampling rate at the transmitter is 8000 Hz and the transmitted sequences are of duration 2 seconds. At the receiver end, independent ambient noise and a Gaussian reverberation, here dominated by bottom scatterers, are considered. The sea bottom depth is 200 m and the level of the reverberation drops off with the distance from the transmitter and receiver. The received sequences were of duration 12 seconds and sampled at the same sampling rate of 8000 Hz. The length of the received sequence is $M = 2400$. The beamformed output was processed using MF, IAA and the fast implementation of SLIM (fast-SLIM). The considered Doppler range covered a radial velocity from -4 knots to 4 knots, with positive values denoting an approaching target. The Doppler step is 0.2 knots, and the number of Doppler bins is 40.

Figures 6(a), 6(b), and 6(c) show the range-Doppler images of the simulated SST data formed with MF, IAA, and fast-SLIM. The images produced by the matched filter show the presence of a large number of high sidelobes, in both dimensions of range and Doppler. This is because the matched filter response to a transmitted sequence is characterized by the ambiguity function, the volume underneath the square of which is a constant for different sequences with the same energy. However, despite the high sidelobes of the matched filter images and hence despite a potentially high false alarm, the presence of the target is clearly indicated, with correct location and velocity estimates. Comparing the images generated using the adaptive receiver designs with that of the matched filter, it is clear that both

IAA and SLIM have superior performance over the matched filter. It is evidenced by Figure 6(b) that the sidelobes are significantly suppressed in the IAA image, giving much cleaner image than the matched filter. In the image given by fast-SLIM, all pixels are estimated as zeros except the target, thus the results are sparse representations of the region of interest. With the fast implementations, the computing time for fast-SLIM reduces to about 75 seconds while that for the original SLIM is about two hours. Another benefit of SLIM is that it provides us with the *a posteriori* PDF of the estimates, which can be utilized for the investigation of the statistical properties of the estimates, as well as for the automatic target recognition.

We have also considered a more challenging three-target example. The three targets are closely spaced with each other. One target is 6 km away from the receiver and moves at a radial velocity of 0.38 knots. The other two targets are 5.9 km away from the receiver and move at a radial velocity of 0 knots and 0.38 knots, respectively. The range-Doppler images formed using MF, IAA, and fast-SLIM are shown in Figures 7(a), 7(b), and 7(c), respectively. Both IAA and fast-SLIM significantly outperforms the matched filter. The sidelobes are significantly suppressed in the IAA and fast-SLIM images. In the image given by fast-SLIM, all three targets are represented sparsely. Moreover, fast-SLIM has a higher resolution than IAA.

IMPACT/APPLICATIONS

The littoral submarines are small, quiet, and non-nuclear, making active sonar an essential technology needed for their detection. Enhancing the multistatic active sonar network's capability through innovative waveform synthesis and receive filter design is critical to improving the Navy's ability to conduct anti-submarine warfare.

The novel unimodular probing waveform we synthesize is hard to guess by the foe since the phase of each sample of the probing sequence is anywhere between 0 and 2π . This facilitates covert sensing. Moreover, the Doppler sensitive nature of the probing waveform we synthesize obviates the need to transmit two separate sequences, with one to achieve good range resolution and another to yield good Doppler resolution. Using our Doppler sensitive probing waveforms, we can achieve both good range resolution and good Doppler resolution simultaneously.

By using data-adaptive receive filters to process the received signals, the sidelobe problems of Doppler sensitive probing waveforms can be mitigated. Indeed, the range-Doppler images formed by using the adaptive receivers we devise possess low sidelobe level and high resolution properties.

By using the SST data sets to demonstrate the effectiveness of our probing waveform synthesis and receive filter design techniques, we have convincingly demonstrated their potentials for anti-submarine warfare applications. In-water experimentations are needed to further demonstrate the utility of the techniques.

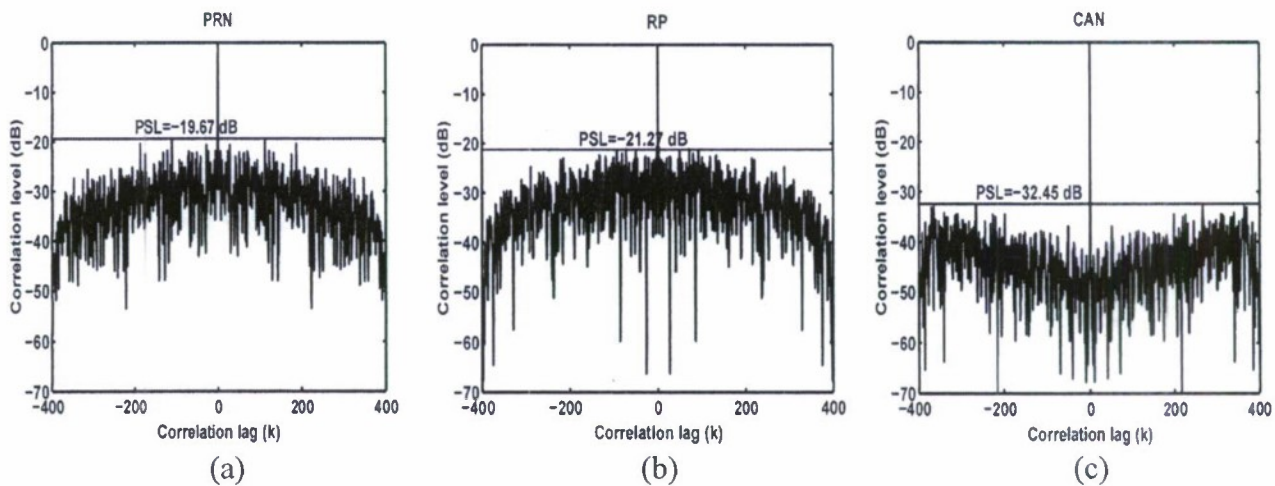


Figure 1. Auto-correlation functions of (a) a PRN sequence, (b) an RP sequence, and (c) a CAN sequence. All sequences are of length 400 and have equal energy.

[graph: The integrated sidelobe level (ISL) and the peak sidelobe level (PSL) of the CAN sequence are over 10 dB less than those of PRN and RP sequences.]

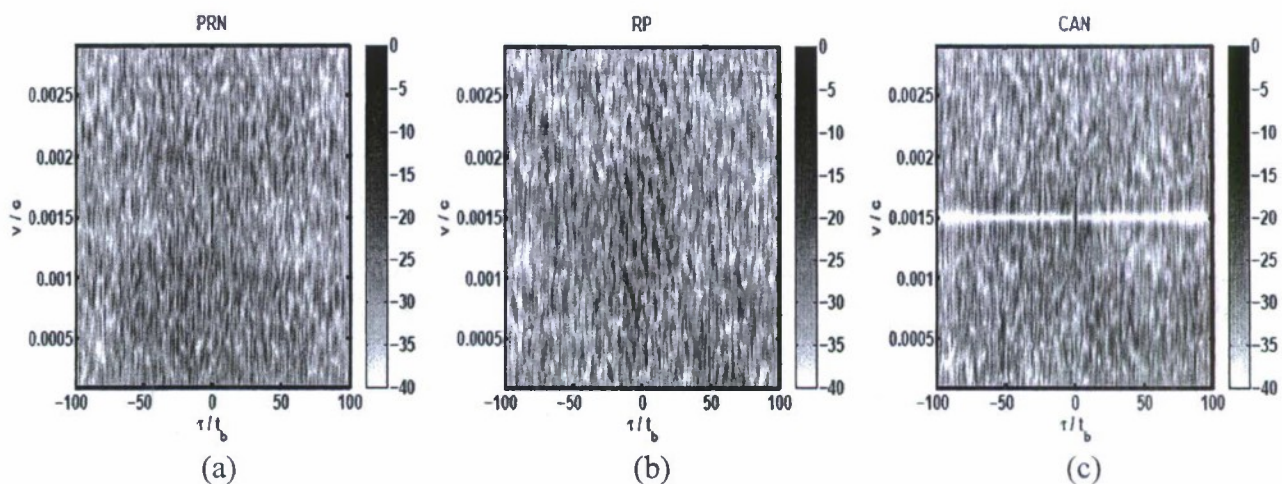


Figure 2. Ambiguity functions of (a) a PRN sequence, (b) an RP sequence, and (c) a CAN sequence.

[graph: For the CAN sequence, the sidelobes on the zero-Doppler line are significantly suppressed, due to the optimization employed in the design of the CAN sequence.]

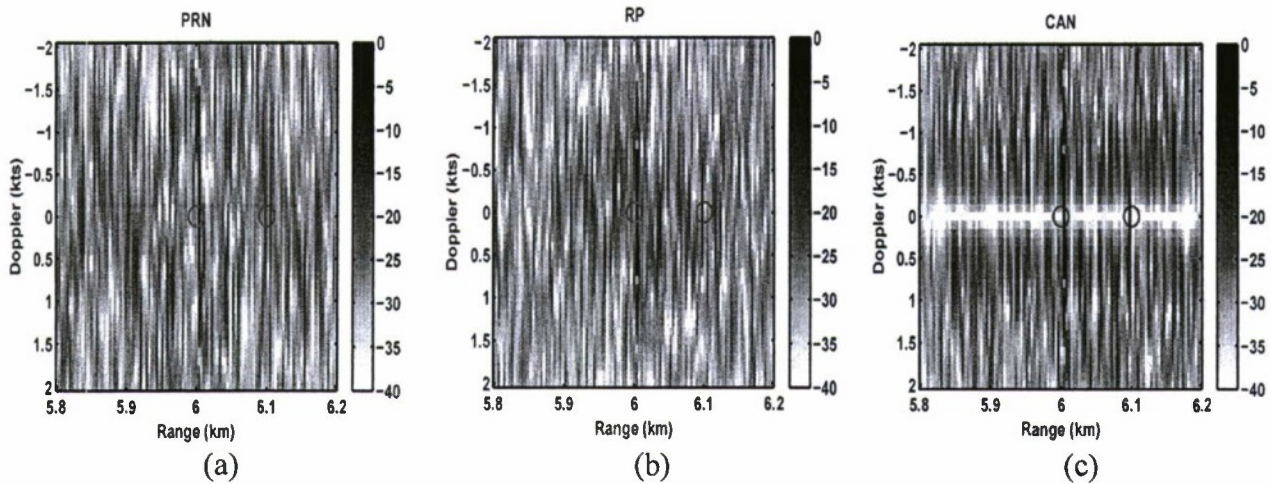


Figure 3. Target detection and range-Doppler imaging via matched filtering at the receiver while transmitting (a) a PRN sequence, (b) an RP sequence, and (c) a CAN sequence. Circles indicate the true target range and Doppler location.

[graph: The system transmitting a CAN sequence clearly indicates the presence of both targets and gives accurate estimates of the target echo levels.]

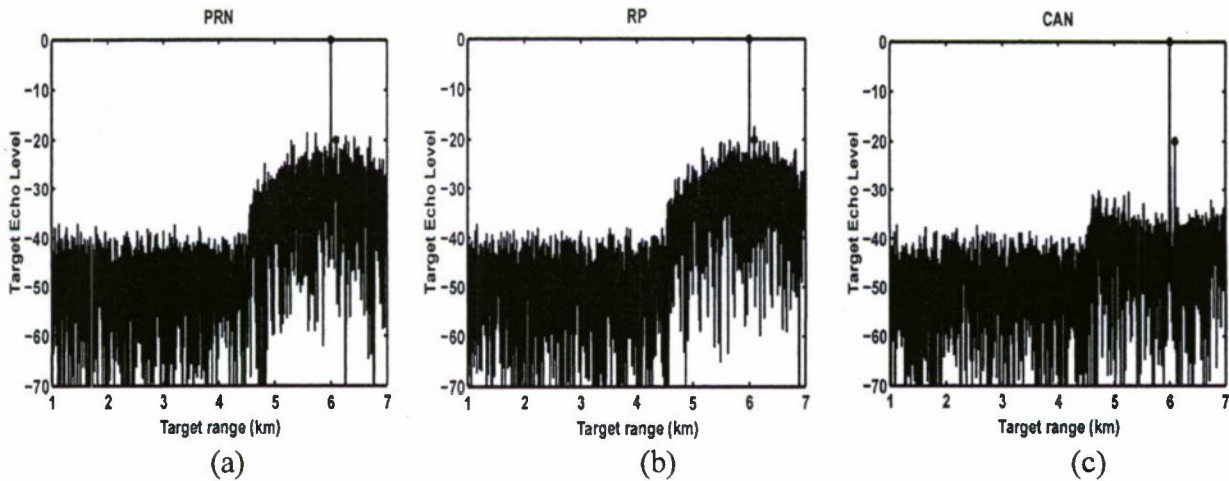


Figure 4. Target echo level versus range obtained using (a) a PRN sequence, (b) an RP sequence, and (c) a CAN sequence. Bullets indicate the true target echo level and location.

[graph: The sidelobes of PRN and RP are so high that the weak target is buried by the leakage from the strong one. However, the sidelobes for the CAN sequence are low enough for the weak target to be detected.]

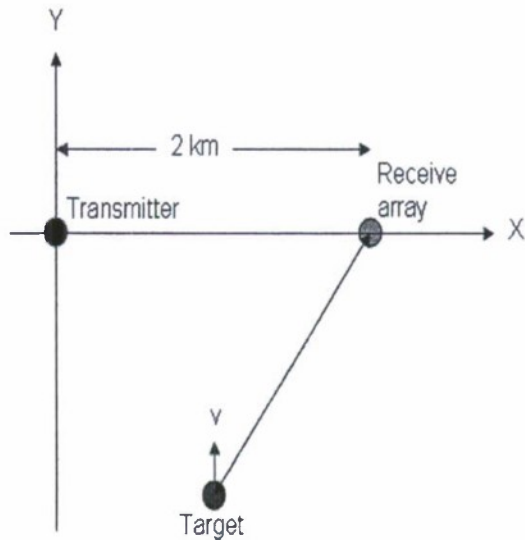


Figure 5. The simulation geometry.

[graph: The receiver is 2 km away from the transmitter, which sends out a CAN sequence into the region of interest. A target, located on the perpendicular bisector of the segment connecting the transmitter and the receiver, is 6 km away from the receiver and moves at a radial velocity of 2 knots.]

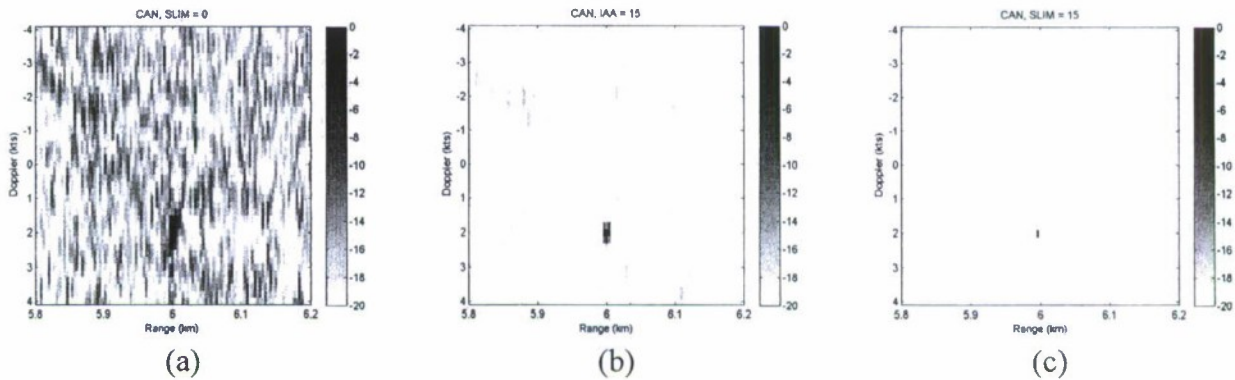


Figure 6. Range-Doppler images of SST data formed with (a) MF, (b) IAA, and (c) fast-SLIM. A target is 6 km away from the receiver and moves at a radial velocity of 2 knots.

[graph: Both IAA and fast-SLIM have superior performance over the matched filter. The sidelobes are significantly suppressed in the IAA image, giving much cleaner image than the matched filter. In the image given by fast-SLIM, all pixels are estimated as zeros except for the target, thus the results are sparse representations of the region of interest.]

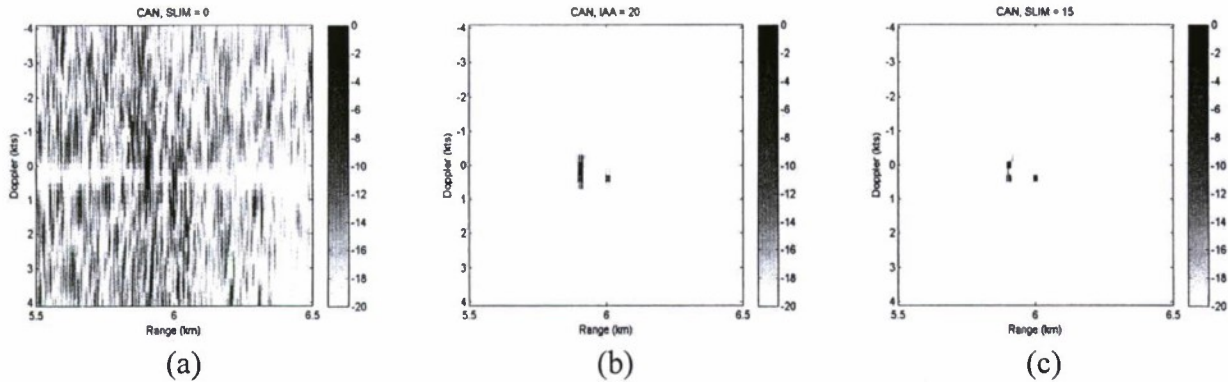


Figure 7. Range-Doppler images of SST data formed with (a) MF, (b) IAA, and (c) fast-SLIM. There are three targets. One target is 6 km away from the receiver and moves at a radial velocity of 0.38 knots. The other two targets are 5.9 km away from the receiver and move at a radial velocity of 0 knots and 0.38 knots, respectively.

[graph: Both IAA and fast-SLIM significantly outperform the matched filter. The sidelobes are significantly suppressed in the IAA and fast-SLIM images. In the image given by fast-SLIM, all three targets are represented sparsely. Fast-SLIM provides higher resolution than IAA.]

TRANSITIONS

We have provided several CAN sequences to Dr. Michael S. Datum of the Applied Physical Sciences Corporation. He has used some of the sequences as active sonar probing sequences and generated simulated datasets for ASW scenarios using the sonar simulation toolset (SST). The simulated datasets will be shared with us for further analysis. We plan to use the SST simulated datasets to evaluate the performance of our receive filter designs. We plan to publish joint papers based on our discoveries. This has been a fruitful collaboration.

We have also recently sent our probing waveform synthesis papers to Dr. James Alsup (alsup@cox.net) and our IAA papers to Dr. Roy Streit (streit@metsci.com).

RELATED PROJECTS

NONE.

PUBLICATIONS

Z. Chen, J. Li, X. Tan, H. He, B. Guo, P. Stoica and M. Datum, "On Probing Waveforms and Adaptive Receivers for Active Sonar," *Journal of Oceanic Engineering*, submitted.

H. He, P. Stoica and J. Li, "Wideband MIMO Systems: Signal Design for Transmit Beampattern Synthesis", *IEEE Transactions on Signal Processing*, submitted.

W. Roberts, H. He, J. Li and P. Stoica, "Probing Waveform Synthesis and Receiver Filter Design," *IEEE Signal Processing Magazine*, vol. 27, no. 4, pp. 99-112, July 2010. [published, refereed].

X. Tan and J. Li, "Computationally Efficient Sparse Bayesian Learning via Belief Propagation," *IEEE Transactions on Signal Processing*, vol. 58, no. 4, pp. 2010-2021, April, 2010. [published, refereed].

H. He, P. Stoica and J. Li, "On aperiodic-correlation bounds," *IEEE Signal Processing Letters*, vol. 17, no. 3, pp. 253-256, March 2010. [published, refereed].

P. Stoica, H. He, and J. Li, "Sequence sets with optimal integrated periodic correlation level," *IEEE Signal Processing Letters*, vol. 17, no. 1, pp. 63-66, January 2010. [published, refereed].

H. He, P. Stoica, and J. Li, "Designing unimodular sequence sets with good correlations -- Including an application to MIMO radar," *IEEE Transactions on Signal Processing*, vol. 57, no. 11, pp. 4391-4405, November 2009. [published, refereed].

P. Stoica, H. He, and J. Li, "On designing sequences with impulse-like periodic correlation," *IEEE Signal Processing Letters*, vol. 16, no. 8, pp. 703-706, August 2009. [published, refereed].

P. Stoica, H. He, and J. Li, "New algorithms for designing unimodular sequences with good correlation properties," *IEEE Transactions on Signal Processing*, vol. 57, no. 4, pp. 1415-1425, April 2009. [published, refereed].

H. He, P. Stoica, and J. Li, "Waveform design with stopband and correlation constraints for cognitive radar," *The 2nd International Workshop on Cognitive Information Processing* (invited), Elba Island, Italy, June 2010. [published].

W. Roberts, H. He, X. Tan, M. Xue, D. Vu, J. Li, and P. Stoica, "Probing Waveform Synthesis and Receive Filter Design for Active Sensing Systems," *2009 SPIE Defense, Security, and Sensing Conference* (invited), Orlando, Florida, April 13-17, 2009. [published].

H. He, D. Vu, P. Stoica, and J. Li, "Construction of unimodular sequence sets for periodic correlations," *The 2009 Asilomar Conference on Signals, Systems and Computers* (invited), Pacific Grove, CA, USA, November 1-4, 2009. [published].

X. Tan and J. Li, "Computationally Efficient Sparse Bayesian Learning via Belief Propagation," *The 2009 Asilomar Conference on Signals, Systems and Computers*, Pacific Grove, CA, USA, November 1-4, 2009. [published, refereed].

HONORS/AWARDS/PRIZES

The following paper received the **Top 10 Best Student Paper Award**

H. He, P. Stoica, and J. Li, "Waveform design with stopband and correlation constraints for cognitive radar," *The 2nd International Workshop on Cognitive Information Processing*, Elba Island, Italy, June 2010.

The following paper received the **Lockheed-Martin Best Student Paper Award**:

W. Roberts, H. He, X. Tan, M. Xue, D. Vu, J. Li, and P. Stoica, "Probing Waveform Synthesis and Receive Filter Design for Active Sensing Systems," *2009 SPIE Defense, Security, and Sensing Conference* (invited), Orlando, Florida, April 13-17, 2009.