
Theory and Application of Broadband Frequency Invariant Beamforming

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Declaration

The contents of this thesis are the result of original research and have not been submitted for a higher degree to any other university or institution.

Much of the work presented in this thesis has been published or will be submitted for publication as journal or conference papers. Following is a list of these papers. In some cases the conference papers contain material overlapping with the journal papers.

Journal Papers

- D.B. Ward, R.A. Kennedy and R.C. Williamson, “Theory and design of broadband sensor arrays with frequency invariant far-field beam patterns”, *J. Acoustical Society of America*, vol. 97, no. 2, pp. 1023-1034, Feb. 1995.
- D.B. Ward, R.A. Kennedy, and R.C. Williamson, “FIR filter design for frequency invariant beamformers”, *IEEE Signal Processing Letters*, vol. 3, no. 3, pp. 69-71, Mar. 1996.
- D.B. Ward, Z. Ding, and R.A. Kennedy, “Direction of arrival estimation for wide-band signals using frequency invariant beamspace processing”, *IEEE Trans. Signal Processing*, (to be submitted).
- R.A. Kennedy, T. Abhayapala, and D.B. Ward, “Broadband nearfield beamforming using a radial beampattern transformation”, *IEEE Trans. Signal Processing*, (to be submitted).
- P.J. Kootsookos, D.B. Ward and R.C. Williamson, “Imposing pattern nulls in broadband array responses”, *J. Acoustical Society of America*, (to be submitted).

Conference Papers

- D.B. Ward, R.A. Kennedy and R.C. Williamson, “Design of frequency-invariant broadband far-field sensor arrays”, in *1994 IEEE Antennas and Propagation Society Int. Symp. Digest*, vol. 2, pp. 1274-1277, Seattle, USA, June 1994.
- D.B. Ward, R.A. Kennedy, and R.C. Williamson, “Broadband beamforming with a single set of filter coefficients”, in *Proc. 1995 IEEE Singapore Int. Conf. on Signal Processing, Circuits and Systems*, pp. 88-93, Singapore, July 1995.
- D.B. Ward, Z. Ding, and R.A. Kennedy, “Broadband direction of arrival estimation using frequency-invariant beam-space processing”, in *Proc. IEEE Int. Conf. on Acoust., Speech, and Signal Processing, (ICASSP’96)*, pp. 2892-2895, Atlanta, USA, May 1996.
- R.A. Kennedy, T. Abhayapala, D.B. Ward, and R.C. Williamson, “Near-field broadband frequency invariant beamforming”, in *Proc. IEEE Int. Conf. on Acoust., Speech, and Signal Processing, (ICASSP’96)*, pp. 905-908, Atlanta, USA, May 1996.
- P.J. Kootsookos, D.B. Ward, and R.C. Williamson, “Frequency invariant beamforming with exact null design”, in *Proc. IEEE Workshop on Statistical Signal and Array Processing, (SSAP’96)*, pp. 105–108, Corfu, Greece, June 1996.

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Abstract

In many engineering applications, including radar, sonar, communications and seismology, the direction of impinging signal wavefronts can be used to discriminate between competing sources. Often these source signals cover a wide bandwidth and conventional narrowband beamforming techniques are ineffective, since spatial resolution varies significantly across the band. In this thesis we consider the problem of beamforming for broadband signals, primarily when the spatial response remains constant as a function of frequency. This is called a *frequency invariant beamformer* (FIB).

Rather than applying the numerical technique of multi-parameter optimisation to solve for the beamformer parameters, we attempt to address the fundamental nature of the FIB problem. The general philosophy is to use a theoretical continuous sensor to derive relationships between a desired FI beampattern and the required signal processing structure. Beamforming using an array of discrete sensors can then be formulated as an approximation problem. This approach reveals a natural structure to the FIB which is otherwise buried in a numerical optimisation procedure.

Measured results from a microphone array are presented to verify that the simple FIB structure can be successfully implemented. We then consider imposing broadband pattern nulls in the FI beampattern, and show that (i) it is possible to impose an exact null which is present over all frequencies, and (ii) it is possible to calculate *a priori* how many constraints are required to achieve a null of a given depth in a FIB. We also show that the FIB can be applied to the problem of broadband direction of arrival (DOA) estimation and provides computational advantages over other broadband DOA estimators.

Through the theoretical continuous sensor approach, we show that the FIB theory can be generalised to the problem of designing a *general broadband beamformer* (GBB) which realizes a broadband angle-versus-frequency beampattern specification. Coupled with a technique for radial beampattern transformation, the GBB can be applied to a wide class of problems covering both *nearfield* beamforming (in which the shape of the impinging wavefront must be considered) and *farfield* beamforming (which is simplified by the assumption of planar wavefronts) for a broadband beampattern specified over both angle and frequency.

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Contents

1	Introduction	1
1.1	Background Beamforming Theory	4
1.1.1	Beamformer Classification	4
1.1.2	Narrowband Beamforming	5
1.1.3	Broadband Beamforming	14
1.2	Contributions of Thesis	19
2	Theory of Frequency Invariant Beamforming	23
2.1	Introduction	23
2.2	Linear Frequency Invariant Sensor	26
2.3	General Frequency Invariant Sensor	29
2.4	Frequency Invariant Array Geometries	33
2.4.1	Approximation to a Continuous Sensor	33
2.4.2	Spatial Weighting Terms	34
2.4.3	Sensor Locations	38
2.4.4	Double Sided Linear Array	40
2.4.5	Two Dimensional Array	41
2.5	Controlled Frequency Variant Beamforming	43
2.5.1	Properties	44
2.5.2	Sensor Locations	45

2.6	Design Simulations	46
2.6.1	FIB Example	46
2.6.2	CFVB Example	50
2.7	Conclusions	50
3	Discrete-Time Implementation of a Frequency Invariant Beamformer	52
3.1	Introduction	52
3.2	Design of Primary Filters	53
3.2.1	Multiple Sampling Rate Method	54
3.2.2	Single Sampling Rate Method	56
3.2.3	Comparison of Methods	60
3.2.4	Reference Filter Coefficients	62
3.3	Design of Secondary Filter	68
3.4	Beam Steering	69
3.5	Design Simulations	71
3.6	Microphone Array Test Results	74
3.6.1	Beamformer Design	74
3.6.2	Experimental Results	75
3.7	Conclusions	77
4	Frequency Invariant Beamforming with Broadband Pattern Nulls	83
4.1	Introduction	83
4.2	Problem Statement	84
4.3	Problem Formulation	85
4.3.1	Cost Functionals	86
4.3.2	Constraints	88
4.4	Time Domain Nulling	91

4.4.1	Exact Broadband Nulling	92
4.4.2	Producing an Exact Null in a Quiescent Pattern	95
4.4.3	Design Example	96
4.4.4	Sensor Position Errors	96
4.5	Frequency Domain Nulling	99
4.5.1	Multiple Zeros in Null Direction Frequency Response	100
4.5.2	FIB with Multiple Frequency Nulls	102
4.5.3	Design Example	103
4.6	Conclusions	103
5	Nearfield Broadband Frequency Invariant Beamforming	106
5.1	Introduction	106
5.2	Nearfield Compensation	108
5.3	Radial Beampattern Transformation	109
5.3.1	Solution to the Spherical Wave Equation	109
5.3.2	Transformation to the Farfield	117
5.3.3	Linear Array	117
5.3.4	Parseval Relation	118
5.3.5	Radial Transformation Example	120
5.4	General Broadband Beamforming	122
5.4.1	Application to Nearfield Beamforming	125
5.4.2	Relationship to Frequency Invariant Beamforming	125
5.4.3	Relationship to Narrowband Beamforming	126
5.5	Nearfield Frequency Invariant Beamforming	126
5.5.1	Design Example	127
5.6	Conclusions	128

6	Broadband DOA Estimation using Frequency Invariant Beamforming	130
6.1	Introduction	130
6.2	Problem Statement	131
6.3	Background	132
6.3.1	MUSIC	132
6.3.2	Beamspace MUSIC	135
6.3.3	Coherent Signal Subspace Method	137
6.3.4	Beamspace Coherent Signal Subspace Processing	139
6.4	Proposed Broadband DOA Estimator	141
6.4.1	Practical Considerations	145
6.4.2	Summary of Proposed Method	146
6.5	Simulations	147
6.5.1	Design of FIBS processor	147
6.5.2	Asymptotic Bias	148
6.5.3	Mean and Variance of Estimates	150
6.5.4	Resolution Threshold	151
6.6	Conclusions	151
7	Conclusions and Future Research	153
7.1	Conclusions	153
7.2	Future Research Directions	156
	Appendix A – Microphone Array Testing System	159
A.1	Introduction	159
A.2	Hardware	160
A.2.1	Microphone Pre-amplification/Anti-aliasing Board	160
A.2.2	National Instruments AT-MIO-16F-5 Multifunction I/O Board	166

A.2.3	Ariel DSP-96 Floating-Point Processor Board	168
A.3	Software	168
A.3.1	Overview of Beamforming Software	168
A.3.2	Details of Beamforming Software	169
A.4	Conclusions and Possible Extensions	172
A.5	System Function Calls	173
A.5.1	NIDAQ Function Calls	173
A.5.2	DSP Function Calls	175
A.6	MPAB Test Results	176
A.6.1	Input High-pass Filter	176
A.6.2	Anti-aliasing Filter	176
A.6.3	Reconstruction Filter	177
A.7	Source Code	177
A.7.1	adda8.h	182
A.7.2	ad.c	184
A.7.3	da.c	188
A.7.4	pc8.c	191
A.7.5	dp.asm	200
A.7.6	GAL Source Code	204

Bibliography

205

Glossary of Definitions

Notation

\mathbb{C}	complex plain
\mathbb{R}	real numbers
\mathbb{R}^+	non-zero real numbers
\mathbb{Z}	integers
\mathbb{N}	natural numbers
a^*	complex conjugate of scalar a
\mathbf{a}^T	transpose of matrix or vector \mathbf{a}
\mathbf{a}^H	conjugate transpose of matrix or vector \mathbf{a}
\mathbf{A}^\dagger	matrix pseudo-inverse: $\mathbf{A}^\dagger \triangleq [\mathbf{A}^H \mathbf{A}]^{-1} \mathbf{A}^H$
\otimes	Kronecker product: $\mathbf{a} \otimes \mathbf{b} \triangleq [a_1 \mathbf{b} \cdots a_N \mathbf{b}]$, where N is length of \mathbf{a}
\star	convolution: if $z[k] = x[k] \star y[k]$, then $z[k] \triangleq \sum_{l=0}^k x[k-l]y[l]$
$\delta[\cdot]$	Kronecker delta: $\delta[k] \triangleq 1, k = 0$, and $\delta[k] \triangleq 0, k \neq 0$
$E\{\cdot\}$	expectation operator
$\mathcal{F}\{\cdot\}$	Fourier transform operator
$\text{Re}\{\cdot\}$	real part
$\text{Im}\{\cdot\}$	imaginary part

Abbreviations

CFVB	Controlled Frequency Variant Beamformer
CSS	Coherent Signal Subspace
DOA	Direction of Arrival
FI	Frequency Invariant
FIB	Frequency Invariant Beamformer
GBB	General Broadband Beamformer
LCMV	Linear Constrained Minimum Variance