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A Brief Review of Compressive Sensing Applied to Radar

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Abstract: *In this paper we give a brief review of compressive sensing (CS) applied to radar. Though CS theory has been introduced only a few years ago (in 2006, see e. g. [1]), it today manifests as a kind of revolution in signal processing and sensor systems. We will discuss some properties of CS radar and present a few examples. It is also a concern of the author to point to some limitations and shortcomings if CS is 'blindly' applied with great enthusiasm to any radar problem. The time has come to deliberate when CS will be an advantage and when 'oldfashioned' methods should better be applied.*

1. Introduction

Today sensor-systems like radar are based on digital signal processing to a growing degree. The analogue-to-digital converter moves up more and more to the analogue frontend. The sampling rate in general still is based on the sampling theorems developed in the 1920th and 1930th by Harry Nyquist, Vladimir Aleksandrovich Kotelnikow, and other 'patriarchs' of sampling theory. For modern broadband systems the adherence to Nyquist sampling leads to a tremendous flood of data, and a large number of single elements for a receiving array. Many attempts have been undertaken to reduce this data flood as predecessors of compressive sensing (CS). Nevertheless, for the first time the latter has presented a round theory for sub-Nyquist sampling.

2. Basic ideas of compressive sensing

In the 21th century a new type of sampling theorems has been developed, summarized under the term 'compressed sensing'. The class of admitted signals is restricted to *sparse* or *compressible* signals. In the scope of our paper the word 'signal' often will be replaced by *scene*, i.e. that what we want to observe, image or reconstruct. Experience shows that most scenes in our environment are more or less compressible or even sparse. It is evident that in everyday life compression techniques often come across, for photos, videos or music showing the compressibility of real life signals. The same is true for many radar applications.

The new theory of CS is well founded on a solid mathematical basis. It joins the description of sparse or compressible scenes with sparse sensing techniques, contributes algorithms for reconstruction and presents mighty, well proven theorems. It provides a new glance at the world of signal processing and sensor techniques. The number of papers on CS (and CS applied to

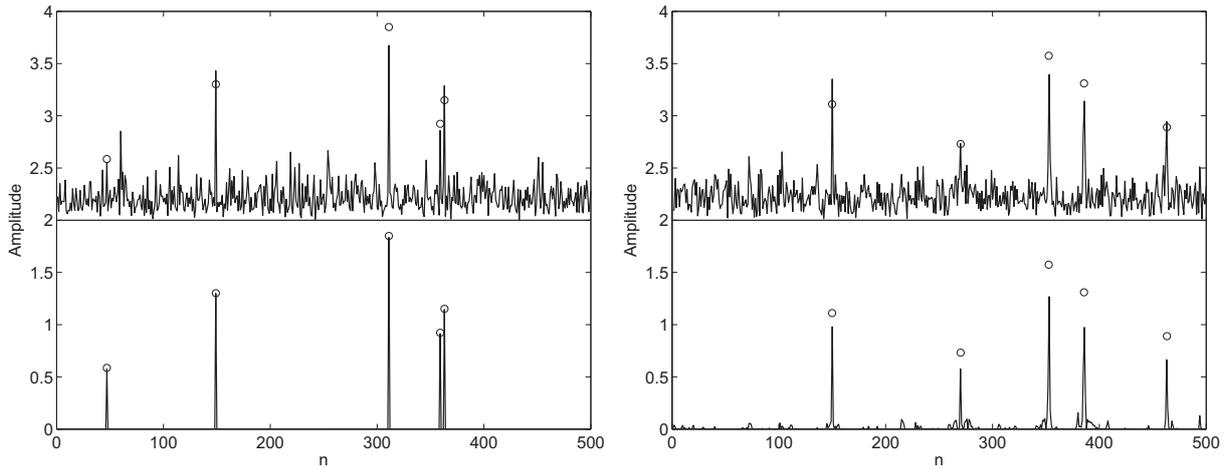


Figure 1: *Left: Example for reconstructions of a simulated scene with scatterers at the grid points. Top left: reconstruction with matched filter. Bottom left: reconstruction with ℓ_1 -minimization. The markers indicate the true values. $N = 500$, $M = 100$, $S = 5$, noise = -30dB, partial Fourier matrix. Right: Example for reconstruction of a simulated scene with points between the grids. The positions are uniformly randomly chosen. Top right: reconstruction with matched filter. Bottom right: reconstruction with ℓ_1 -minimization. The markers indicate the true values. The parameters are the same as before.*

radar) is exploding nearly exponentially. But still there are only a few papers dealing with real world radar data.

Compressive sensing techniques generally deal incomplete linear equation systems of the type

$$\mathbf{y} = \mathbf{A}\mathbf{x} \quad (1)$$

where the N -dimensional coefficient vector \mathbf{x} describes the *scene*, the M -dimensional vector \mathbf{y} collects the *measurements* obtained by a linear sensor and \mathbf{A} is an $M \times N$ matrix - the *sensing matrix* - characterizing how the coefficient vector is mapped to the measurements. The vectors and matrices may be real or complex valued. Compressive sensing assumes that $M < N$, hindering that Eq. 1 can simply be inverted to reconstruct \mathbf{x} from the measurements. A vector \mathbf{x} is called *S-sparse* if at most S of its coefficients are unequal to zero, and *compressible* if $\|\mathbf{x} - \mathbf{x}(S)\|$ decreases quickly to zero with growing S , when $\mathbf{x}(S)$ denotes the best S -sparse approximation of \mathbf{x} .

There is a variety of algorithms aiming to reconstruct \mathbf{x} from the deterministic measurements $\mathbf{y} = \mathbf{A}\mathbf{x}$ or the noisy measurements $\mathbf{y} = \mathbf{A}\mathbf{x} + \mathbf{n}$ under the assumption that \mathbf{x} is sparse. Well known are the *Basis Pursuit*, minimizing the ℓ_1 -norm $\|\mathbf{x}\|_1$ subject to $\mathbf{y} = \mathbf{A}\mathbf{x}$, the *Basis Pursuit Denoising* [2] minimizing $\|\mathbf{x}\|_1$ subject to $\|\mathbf{y} - \mathbf{A}\mathbf{x}\|_2 \leq \sigma$, or equivalently: $\|\mathbf{x}\|_1 + \lambda\|\mathbf{y} - \mathbf{A}\mathbf{x}\|_2$, the *Orthogonal Matching Pursuit* (OMP)[3] and the *Compressive Sampling Matched Pursuit* (CoSaMP) [4]. For the mode of operation of these algorithms, the reader is referred to literature.

It has been shown that under certain conditions on the sensing matrix exact (for the noise-free case) or robust (for the noisy case) reconstruction is guaranteed, if the number M of measurements is larger or equal to an expression depending on N , S and a quantity describing a specific



property of the sensing matrix. One of these measures is the *Restricted Isometry Constant* given by the minimum number δ with $(1 - \delta)\|\mathbf{x}\|_2^2 \leq \|\mathbf{A}\mathbf{x}\|_2^2 \leq (1 + \delta)\|\mathbf{x}\|_2^2$ for all S -sparse vectors \mathbf{x} , assuring that measurements $\mathbf{A}\mathbf{x}$ and $\mathbf{A}\mathbf{x}'$ are different, if only the S -sparse vectors \mathbf{x} and \mathbf{x}' are sufficiently separated. Since this *Restricted Isometry Property* (RIP) is difficult to proof for a concrete matrix, a theory has been developed regarding classes of statistical sensing matrices, showing that e.g. RIP is fulfilled with a probability close to 1. For instance it was shown that for Gaussian or Rademacher random matrices will have the (S, δ) -RIP with high probability, if $M = \mathcal{O}\left(\frac{S \log \frac{N}{S}}{\delta^2}\right)$. For one type of statistical sensing matrices generated by selecting M rows of the complete $N \times N$ Fourier matrix by random, some examples are presented in this paper.

3. Radar applications of CS

There are many papers about application of CS to various radar tasks. The most elementary task is *pulse compression*, treated in a large number of papers, where sparse sampling can be applied in the fast time domain as well as in the frequency domain. An efficient method is to transmit a set of frequencies instantaneously [5, 6]. The optimization of the waveforms for CS is regarded e.g. in [7, 8], orthogonal frequency division multiplexing (OFDM) waveforms in [9]. *Aerospace multi-channel MTI* is an interesting situation where the space of scene points is extended by the dimension 'radial velocity'. The clutter returns gather at the subspace $v = 0$ while moving targets are represented by sparse points in the volume [10].

A great attention has been directed to *multiple-input/multiple-output (MIMO)* radar systems [11, 12]. This situation well fitted to CS reconstruction, since the signals are related to all Tx/Rx pairs which in general lead to a non-uniform thinned sampling in range and angles. *Passive coherent location (PCL)* is a special case of a MIMO radar where the waveforms and the positions of the transmitters cannot be influenced by the user [13],[14].

The application of CS to *Synthetic Aperture Radar (SAR)* [15, 16] may be problematic, first because of the possibly not given sparsity of the reflectivity, and secondly because of the tremendous numerical effort needed if larger images shall be processed. On the other hand, CS applied to *SAR tomography* is really a great example for a reasonable CS use [17, 18, 19]. While the SAR images for different paths of an earth observation satellite are conventionally generated in range and azimuth, the reflectivity in the third dimension - here: the elevation angle - is reconstructed via CS. Since normally in one range-azimuth pixel only one elevation angle is occupied by scatterers, in the case of layover also reflections from two or more elevation angles can be present. The scene is naturally sparse in the third dimension. The application of CS to *ISAR imaging* [20, 21] is promising, especially since the number of pixels can be limited and the objects often show sparse reflections.

Many attempts have also been undertaken to process *ultra-wide-band (UWB) radar* data by CS algorithms, often in the application to *through-the-wall radar* [22, 23, 22] and *ground penetrating radar* [24, 25, 26]. The latter is particularly interesting because of the unknown permittivity CS has been applied [27].



Definitely radar engineers are interested not only in the probability of a perfect reconstruction, but also in the probability distribution of the reconstructed values, optimum test statistics to be applied to them and the probabilities of false alarm and detection. Many of these questions are answered in [28, 29, 30].

4. Radar scenes, sparsity and measurements

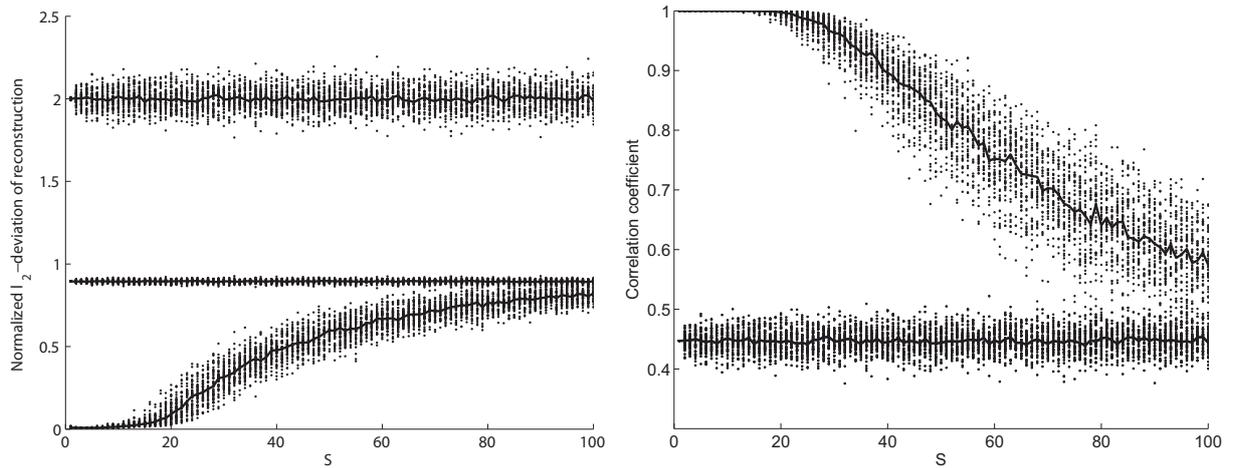


Figure 2: *Left: Reconstruction quality of three methods as functions of the sparsity S , measured as the quotient between the ℓ_2 -norm of the deviation between scene and reconstructed scene and the ℓ_2 -norm of the scene. The points are single simulation results and the lines connect the medians for the respective simulations. The lowest curve relates to the noisy basis pursuit, the middle curve to the energy-minimization and the upper curve to matched filtering. $N = 500$, $M = 100$, noise = -30dB, partial Fourier matrix. Right: Reconstruction quality measured as the correlation coefficient between the scene and the reconstructed scene. The upper curve relates to the noisy basis pursuit, the lower curve to matched filter reconstruction, which produces in this case the same values as the energy-minimization.*

To explore a scene with a radar sensor, in general we want to get information about the reflectivity $\rho(\omega)$ over a set $\omega \in \Omega$ of scene points which may be geometrical positions or also points in a higher dimensional space including velocities, polarizations and so on. To get the information, radar parameters ξ (frequencies, antenna positions, platform position, ...) are varied and measurements are taken for each used ξ [5]. To process the data, a signal model $s(\xi; \omega)$ is needed describing the expected signal for a scatterer with normalized reflectivity at ω if the radar parameter ξ is used. To apply CS we need to discretize the scene points $\omega_1, \dots, \omega_N$ as well as the measuring parameters ξ_1, \dots, ξ_M leading to an N -dimensional reflectivity vector $\boldsymbol{\rho} = (\rho(\omega_1), \dots, \rho(\omega_N))^t$, a measurement vector $\mathbf{y} = (y(\xi_1), \dots, y(\xi_M))^t$ and an $M \times N$ model signal matrix \mathbf{S} , $S_{mn} = s(\xi_m; \omega_n)$.

If the radar sensor and the reflection mechanisms can be assumed to be linear, the mapping between the reflectivity and the noise-less measurements are given by $\mathbf{y} = \mathbf{S}\boldsymbol{\rho}$ and the noisy measurements by $\mathbf{y} = \mathbf{S}\boldsymbol{\rho} + \mathbf{n}$ where \mathbf{n} is a realization of the random vector \mathbf{N} . The reflectivity

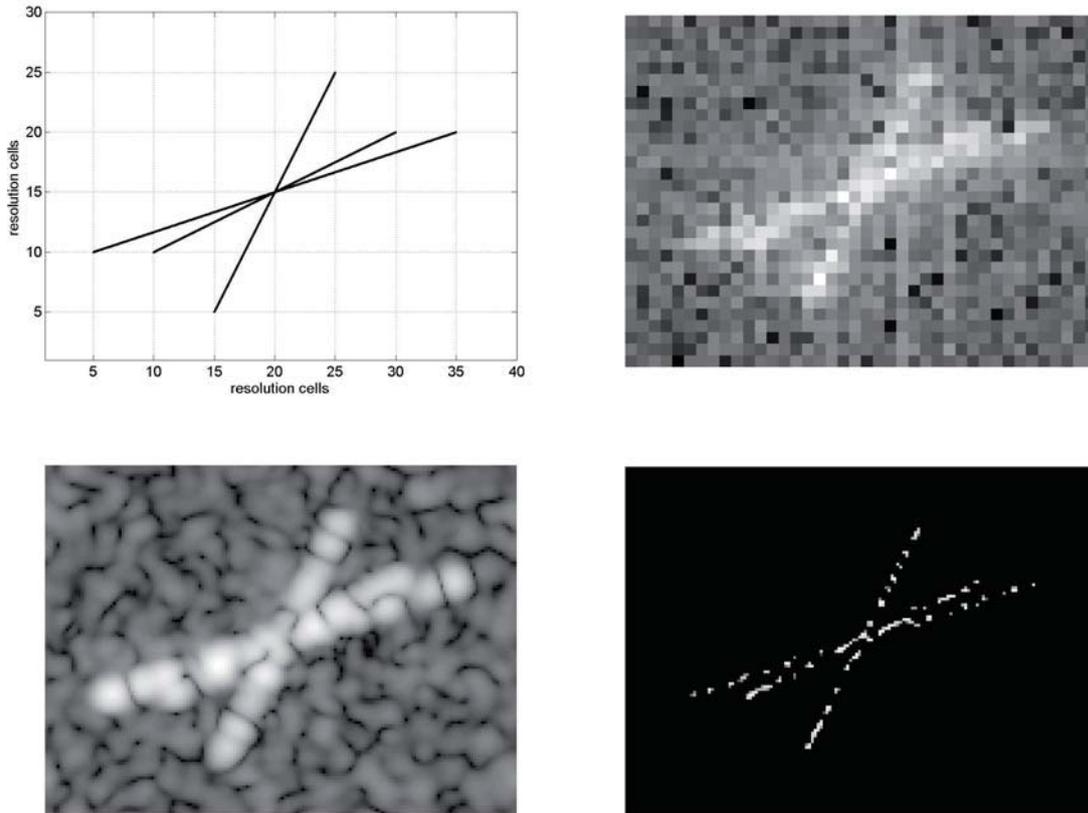


Figure 3: Simulation of the imaging of three cutting lines. Left top: the original scene, scaled in resolution cells. Right top: FFT image without window, not oversampled. Left bottom: Hamming-windowed FFT with an oversampling factor of 4 in both directions. Right bottom: CS reconstruction with the same zoom factor. Resolution cells x -direction = 30, Resolution cells y -direction = 40, zoom = 4×4 , $N = 19200$, $M = 1200$, signal-to-noise ratio of the strongest scatterer: 33 dB. Dynamic of the images: 30 dB.

ρ may be expressed by a complete system of basis vectors $\mathbf{b}_1, \dots, \mathbf{b}_N$ by $\rho = \sum_{n=1}^N x_n \mathbf{b}_n$, or in matrix notation $\rho = \mathbf{B}\mathbf{x}$ where \mathbf{B} is the matrix composed of the column vectors \mathbf{b}_n . Henceforth, the scene is called *S-sparse* if a *representation basis* \mathbf{B} can be found for which the coefficient vector \mathbf{x} is *S-sparse*.

Now the measuring equation can be written as $\mathbf{y} = \mathbf{S}\rho = \mathbf{S}\mathbf{B}\mathbf{x} = \mathbf{A}\mathbf{x}$ with $\mathbf{A} = \mathbf{S}\mathbf{B}$ and we are back at the original sparse reconstruction problem. In most of the cases, we are looking for 'spiky' reflectivities, i.e. ρ itself is sparse, the identity representation basis $\mathbf{B} = \mathbf{I}$ can be used, and \mathbf{x} is identical to ρ .

The collection of the column vectors of \mathbf{A} is called *dictionary*, since to each of the possible positions in the vector \mathbf{x} there corresponds a description, namely the corresponding column vector of \mathbf{A} . A dictionary can be extended by adding scene points related to different properties, for instance reflectivity characteristics of the scatterers, building a broader base for classification.



4.1. Example: range profile reconstruction

As a leading example we regard a radar illuminating an object with harmonic waves with wave numbers $k = 2\pi/\lambda$ where λ is the wave length. A scatterer at range r with normalized reflectivity will lead to the receive signal in baseband $s(k; r) = \exp\{-j2kr\}$. Obviously, in this case the scene points ω can be identified with the range values r and the measuring parameters ξ with the wave number k . Introducing a grid of range values r_1, \dots, r_N and a set of wavenumbers k_1, \dots, k_N , the model signal matrix results in $\mathbf{S} = (s(k_m; r_n))_{m=1\dots M, n=1\dots N}$. If a range grid $r_n = r_0 + n\Delta r$ and a wavenumber grid $k_m = k_0 + m\Delta k$ are used and if $\Delta k = 2\pi/(N\Delta r)$ is chosen to fulfill the Nyquist condition, after compensation of the start range r_0 and the start wave number k_0 we get for $M = N$ the complete discrete Fourier matrix $\mathbf{S} = (\exp\{-j2\pi mn/N\})_{m=1\dots N, n=1\dots N}$.

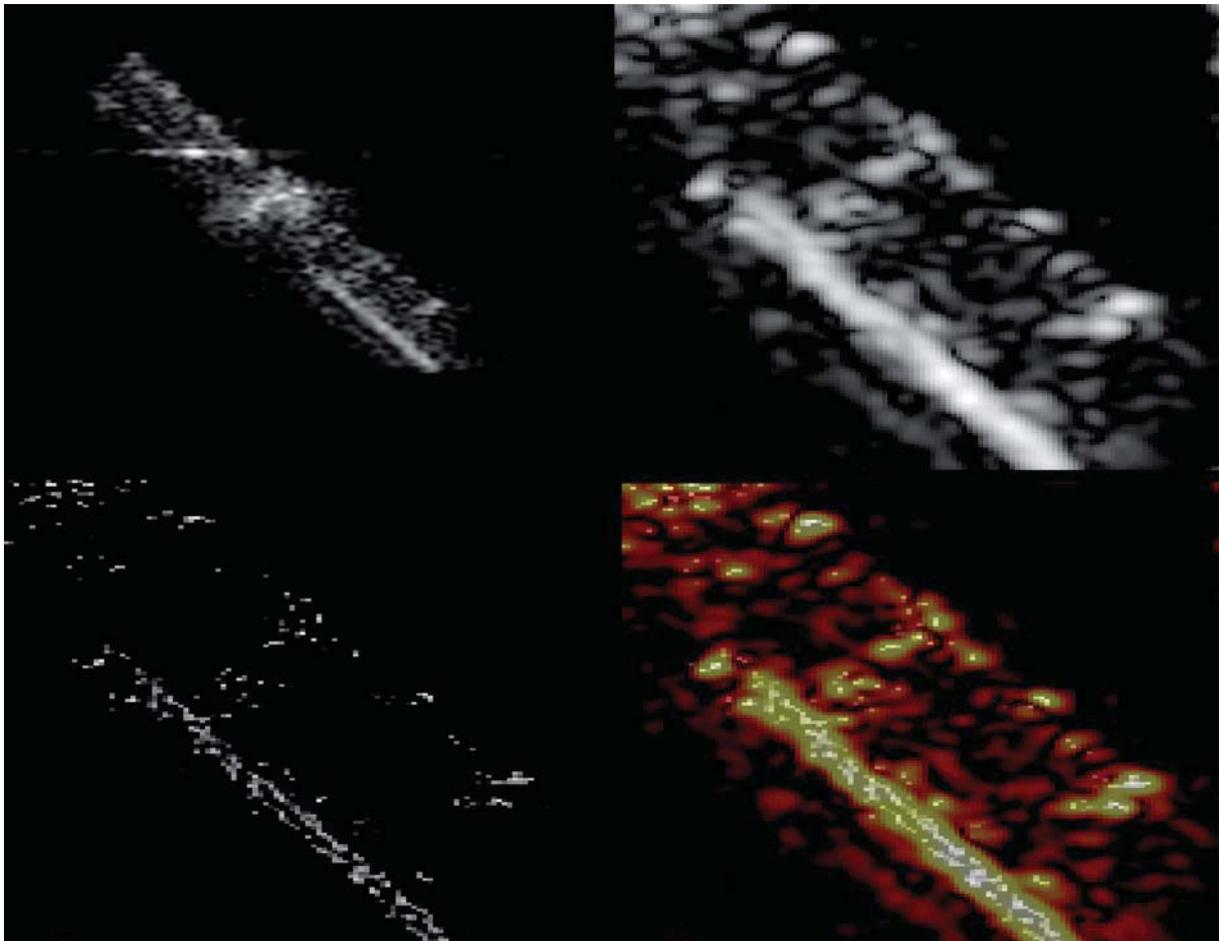


Figure 4: ISAR images of a satellite observed with the Fraunhofer-radar 'TIRA'. Left top: ISAR image of the whole satellite. Right top: Hamming-windowed FFT image of a detail with an oversampling factor of 2.8 in both directions. Left bottom: CS-image with the same oversampling factor. Right bottom: Overlay of Hamming- and CS-image. $N = 18055$, $M = 2296$

Fig. 1 shows the result of CS-reconstruction if only a random selection of M wave-numbers out of N is used. The result is really striking and inspiring! The spiky reflectivity distribution is

nearly perfectly reconstructed though noise was added. A first general question is arising: How robust are the algorithms against deviations from the model $\mathbf{y} = \mathbf{A}\mathbf{x}$? There are two sources of error: The first is additive noise which effectively can be taken into account by using the basis pursuit denoising. The second is a deviation of the signals from the signal model underlying the assumed matrix \mathbf{A} . These are due to imperfect calibration, but also to a deviation of the real position (here: the real range) from the specified grid. The latter situation is simulated (see Fig. 1 right) for ranges randomly chosen in the range interval. Obviously, the result is still considerable though a kind of sidelobes appear. There exist methods to perform a fine estimation of the positions and to reconfigure the grid with nearly optimum reconstruction results.

4.2. Is CS better than conventional methods like matched filtering?

If $\mathbf{y} = \mathbf{x}\mathbf{a} + \mathbf{n}$ where \mathbf{n} is a realization of a random vector \mathbf{N} with expectation $\mathbf{0}$ and covariance matrix $\sigma^2\mathbf{I}_M$, the maximum signal-to-noise ratio of a linear estimator of x is achieved by the *matched filter* $\hat{x}_{mf} = \frac{\mathbf{a}^H\mathbf{y}}{\|\mathbf{a}\|_2^2}$. This is also the best unbiased estimator of x , if \mathbf{N} is Gaussian distributed. But this is only valid if only one coefficient is present! For our model $\mathbf{y} = \mathbf{A}\mathbf{x} + \mathbf{n}$ the matched filter can also be applied: $\hat{\mathbf{x}}_{mf} = \mathbf{A}^H\mathbf{y}$; Here the columns of \mathbf{A} are normalized to ℓ_2 unit vectors, i.e. $\text{diag}(\mathbf{A}^H\mathbf{A}) = \mathbf{I}_N$ without loss of generality. We remark that this technique is applied in various fields of radar signal processing, as pulse compression, beam forming, SAR image generation, ... Is it still optimum, if $N > 1$? First, it is no longer unbiased for any vector \mathbf{x} with at least two elements unequal to zero, since $E[\hat{\mathbf{x}}_{mf}] = \mathbf{A}^H\mathbf{A}\mathbf{x}$ and $\mathbf{A}^H\mathbf{A}$ cannot be the unit matrix for $N > M$. For randomly chosen Fourier vectors the expectation of the ℓ_2 -norm of the bias $\|E[\hat{\mathbf{x}}_{mf}] - \mathbf{x}\|_2^2$ is calculated to $\frac{N-M}{M}\|\mathbf{x}\|_2^2$ independent on the the structure of \mathbf{x} .

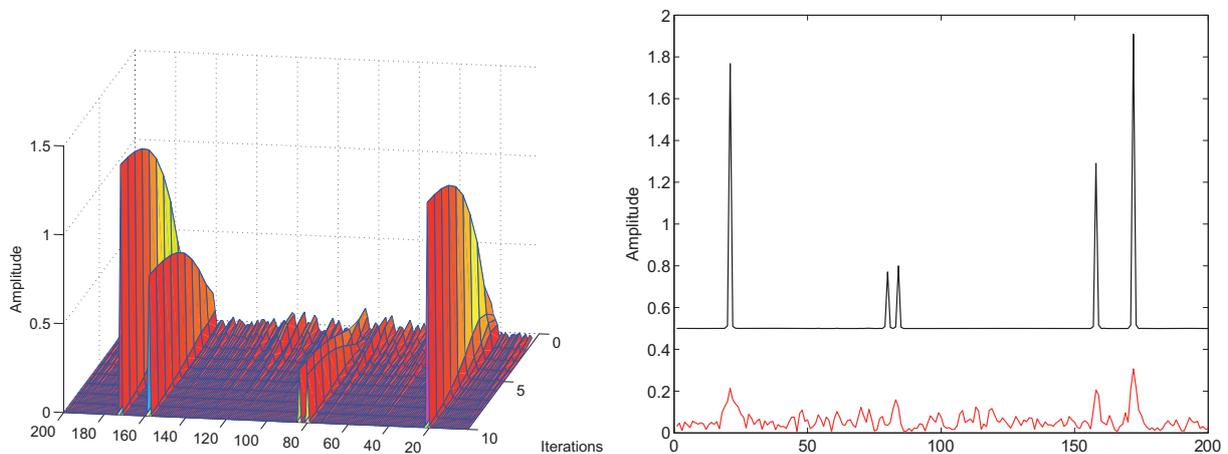


Figure 5: Range profile reconstruction for a spiky scene corrupted by a quadratic phase error. $N = 200$, $M = 50$, $S = 5$. Left: The history of reconstruction over 10 iterations. Right: start and final estimation of the amplitude. The latter was upshifted by 0.5 to improve the clarity.

A better estimation quality in this sense is got by the classical estimator $\hat{\mathbf{x}}_{em} = \mathbf{A}^\dagger\mathbf{y}$ where $\mathbf{A}^\dagger = \mathbf{A}^H(\mathbf{A}\mathbf{A}^H)^{-1}$ is the pseudo-inverse of \mathbf{A} . This estimator is the solution of the minimization of $\|\mathbf{x}\|_2^2$ subject to $\mathbf{y} = \mathbf{A}\mathbf{x}$ analogue to the ℓ_1 -minimization. Its expectation is equal to $\mathbf{P}_{\mathbf{A}\mathbf{X}}$

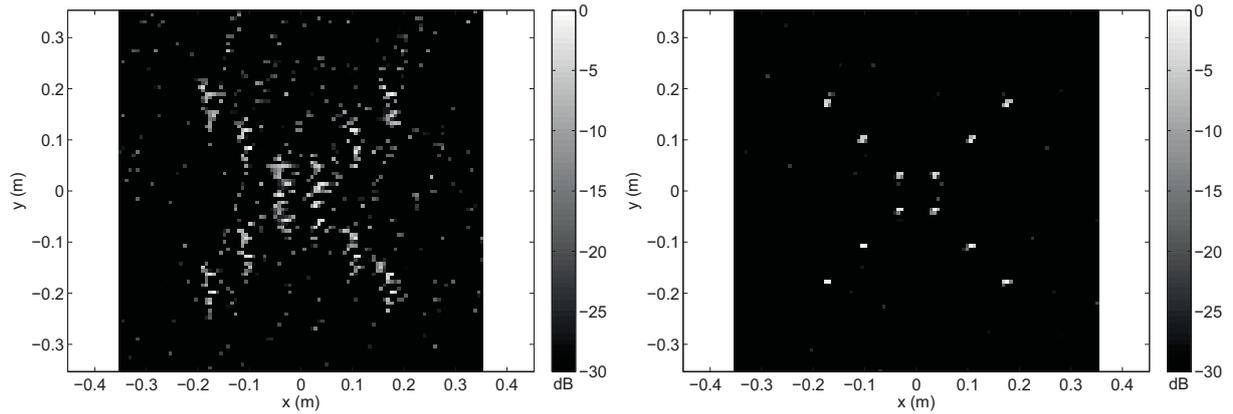


Figure 6: *Left: CS image of a simulated object with phase errors. Right: After phase correction using sparse representation and phase gradient estimation*

where $\mathbf{P}_A = \mathbf{A}^H (\mathbf{A}\mathbf{A}^H)^{-1} \mathbf{A}$ is the projector on the M -dimensional subspace spanned by the rows of \mathbf{A} . The expectation of the norm-squared bias $\mathbf{x}^H (\mathbf{I} - \mathbf{P}_A) \mathbf{x}$ is equal to $\frac{N-M}{N} \|\mathbf{x}\|_2^2$ for the partial Fourier case.

In Fig. 2 left the MMS deviation of the estimated from the true \mathbf{x} as obtained by a simulation series is plotted against the sparsity degree. We recognize that for the matched filter and energy minimization estimators the errors are independent on S and close to the expected values $\sqrt{\frac{N-M}{M}} (= 2)$ and $\sqrt{\frac{N-M}{N}} (= 0.89)$, respectively. These large errors are no wonder since without further assumptions about \mathbf{x} a good estimate based on the underdetermined equation system is impossible! However, we daily apply this method, also with $N > M$, e.g. for Fourier analysis or SAR imaging with a grid finer than the resolution cells, or for beamforming with a thinned array, and so on.

Much more convincing is the result for CS reconstruction! The error is nearly zero as long as S is small enough, in the example around $S = 10$, but also for larger S the advantage with respect to the two classical methods is still large. Similar conclusions can be gained by looking at the correlation coefficient between scene and reconstructed scene, see Fig. 2 right.

The answer to the question 'Is CS better than conventional algorithms?' in this light should be answered with 'Yes, it is!'. At least if the a priori assumption of the scene-sparsity is fulfilled.

5. Can CS produce super-resolution?

If the grid carrying the scene has a spacing smaller than the Rayleigh resolution cell, there is hope arising that CS reconstruction could show *super-resolution* properties [31, 32]. The number of measurements M may be chosen according to the Nyquist sampling, while the number N of grid points is increased by a certain zoom-factor. On the other hand, the incoherency of the sensing matrix is reduced since the model signals for scene points separated less than a resolution cell become more and more correlated.

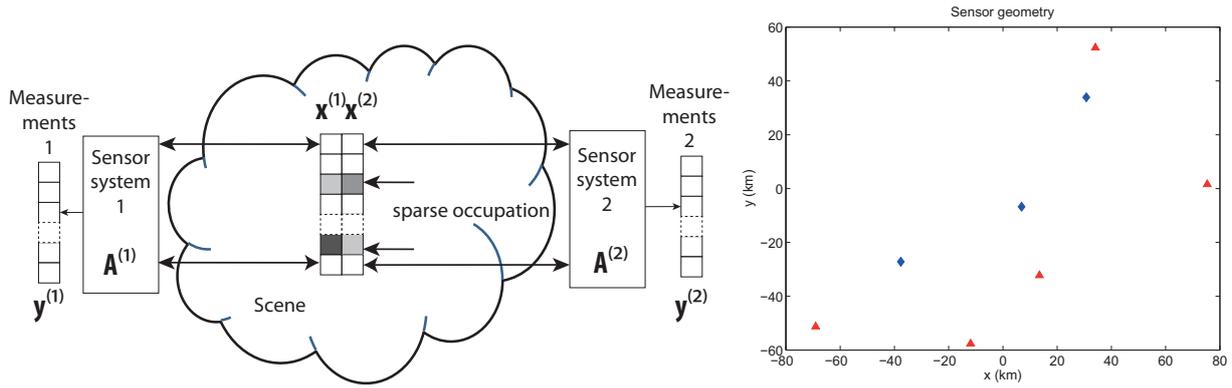


Figure 7: Left: Illustration of sensing a block sparse scene with mutually non-coherent sensors. Right: Sensor geometry used for simulation. Blue: Positions of transmitters, red: triangular receiver arrays. The positions of the transmitters are that of a real ensemble of DAB transmitters in Italy whereas the places of the receivers are the result of a coverage optimization performed in the EU project 'ARGUS 3D'. Each of the five receiver arrays consists of three antennas located at the corners of an equilateral triangle with side lengths equal to the wavelength. So the complete number of sensors in the defined sense is $L = 3 \times 5 = 15$.

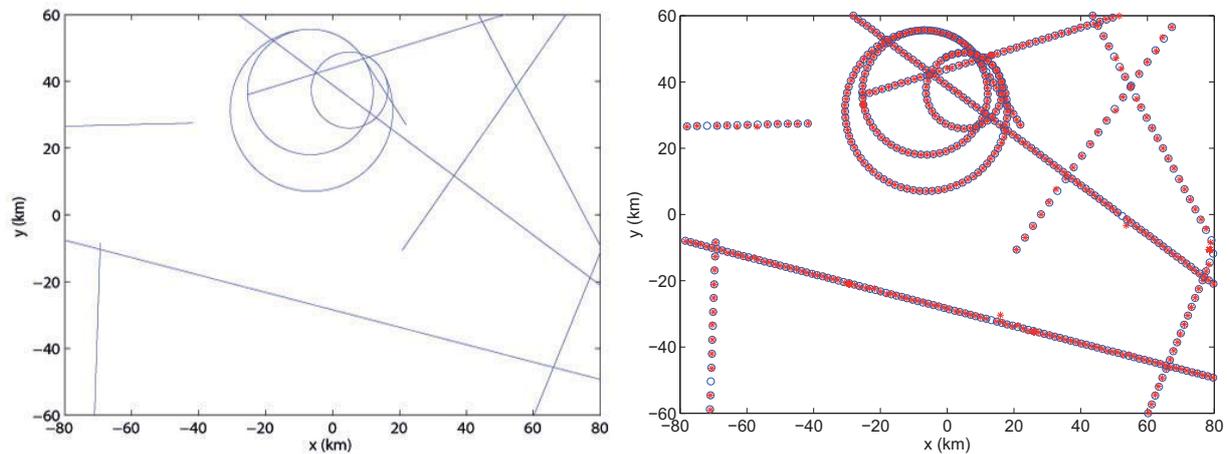


Figure 8: Left: Simulated flight paths of a number of aircrafts with velocities between 100 and 500 m/s with straight and curved trajectory segments. Observation time: 400 seconds at a temporal spacing of 2 seconds. A simulated receiver noise of -10 dB relative to the signal power after range compression was added to the measurements. Right: Estimated flight paths using BOMP in combination with iterative fine estimation of positions. For each time frame the block sparse reconstruction is obtained for $N = 17214$ image points and totally $\sum_{l=1}^L M^{(l)} = 4230$ measurements.

Fig. 3 shows the two-dimensional reconstruction of three lines cutting across with a zoom-factor 4 for both dimensions. The lines were assumed to be 'raw', i.e. with random phase along them. Still the basic pursuit denoising algorithm works exhibiting a much sharper image than the classical Hamming-windowed FFT. In fact, the CS-result shows super-resolution properties. Where the lines approach more than about a half of the resolution cell, their images mostly are melting to only one line. The CS image shows another interesting effect which can be detected also for imaging with real data: Instead of reproducing a solid line, we observe something



like a dotted line. We can explain this effect by the goal of CS to reduce the number of non-zero scattering points as much as possible while the measurements still have to be close to the assumed values $\mathbf{A}\hat{\mathbf{x}}$. A densely dotted line can explain the measurements nearly as well as a solid line, the remaining error vanishes in the noise floor.

How does this approach work for real-world data? Fig. 4 shows ISAR imaging of a satellite. The data were obtained with the Fraunhofer space observation radar 'TIRA'. The CS-image of a detail of this satellite looks a little bit curious, since it consists only of points. It cannot be said that it looks 'better' than the conventional image processed with Hamming-windowing. Nevertheless, there appear two lines on the structure at left bottom which cannot be recognized in the classical image. We may call this 'super-resolution'. Perhaps it is the best to put the classical and the CS image together to get maximum information about the object.

6. Parametric models and autofocus

Sometimes the model used for CS is dependent on an unknown parameter vector ϑ , for instance in ISAR imaging when motion parameters are not known perfectly. This can be described either by a signal model depending on this parameter: $\mathbf{A}(\vartheta)\mathbf{x} = \mathbf{y} + \mathbf{n}$, \mathbf{x} S -sparse, or by a parameter-dependent *compensation matrix* $\Phi(\vartheta)$ which is applied to the measurements: $\Phi(\vartheta)\mathbf{y} = \mathbf{A}\mathbf{x}$. In the latter approach $\Phi(\vartheta)$ describes e.g. the compensation of phases induced by remaining motion errors. In both cases we would for instance like to minimize a linear combination between the ℓ_2 -error and the ℓ_1 -norm of $\|\mathbf{x}\|$ over \mathbf{x} and ϑ , i.e. $\|\mathbf{A}(\vartheta)\mathbf{x} - \mathbf{y}\|_2^2 + \lambda\|\mathbf{x}\|_1 = \text{Min!}$, or $\|\mathbf{A}\mathbf{x} - \Phi(\vartheta)\mathbf{y}\|_2^2 + \lambda\|\mathbf{x}\|_1 = \text{Min!}$, respectively. We have developed an iterative procedure for the latter problem improving the estimate of ϑ in each step (by a second order Taylor approximation) and subsequently calculating new weight vectors for the enhancement of sparsity. A similar algorithm was proposed in [33].

The capability of our algorithm to estimate subsequently the unknown parameters driving the sparsity is illustrated in Fig. 5. A measurement with a thinned number of frequencies of a scene sparse in range was simulated imposing a quadratic phase error. The task of the autofocus algorithm is to remove the error phases by applying a chirp correction with subsequently adjusted slope. After a few iterations the recovery of the spiky scene is nearly perfect.

Another type of autofocus for two-dimensional object imaging based on sparse reconstruction and estimation of phase gradients is dealt in [34]. A simulation result is shown in Fig. 6.

7. Block sparsity: CS application to PCL

A passive coherent location (PCL) network is in many aspects different from classical radar sensors. The goal is to efficiently use the illumination from emitters of opportunity for the purpose of airspace surveillance by receiving the reflected waves by one or more passive units which may be dislocated [35]. This constellation is an involved version of multi-input multi-output (MIMO) radar with given, non-optimum positions of transmitters, a priori unknown



transmitted waveforms and distributed frequency bands. Each individual Tx-Rx pair measures primarily the bistatic distance to an object determining its position only partially, i.e. unknown remains the exact place on the surface of the bistatic ellipsoid. Secondly, the measurement of the Doppler frequency gives the sum of the radial velocities to Tx and Rx which does not restrict the possible positions on the ellipsoid directly [36].

For larger bistatic angles or different frequencies the individual Tx-Rx pairs of a PCL network cannot be assumed to work coherently. Consequently, the complex amplitudes related to the same target will be uncorrelated. This is exactly the situation of "block sparsity" [37], i.e. nearly all target positions on a search grid are empty with amplitudes equal to zero, whereas at the sparse points of present targets the amplitudes related to the different sensors are different and mostly non-zero. For this case CS theory offers strong tools for scene reconstruction.

Let us regard a general system of L linear sensors. Relating to PCL, the expression "sensor" stands for a transmitter (of opportunity) plus a 'co-located' array of receiving antennas, i.e. the complete aperture of the receiving array is small enough to guarantee phase coherency among the co-located receiving antennas. A PCL network is composed of a number of such elementary sensors. As a generalization of the scene as we have used before, now to each point $\omega_n \in \Omega$ there belongs an L -tuple of reflectivities $(\rho_n^{(1)}, \dots, \rho_n^{(L)})$ describing the amplitudes of a scatterer seen by the different sensors. As before, by choice of a representation basis \mathbf{B} the reflectivities are transformed to coefficients $(x_n^{(1)}, \dots, x_n^{(L)})$, see Fig. 7 left. By collecting all coefficients to an $N \times L$ matrix \mathbf{X} the scene now is characterized by

$$\mathbf{X} = \begin{pmatrix} x_1^{(1)} & \dots & x_1^{(L)} \\ \dots & \dots & \dots \\ x_N^{(1)} & \dots & x_N^{(L)} \end{pmatrix}. \quad (2)$$

While the n -th row vector $\mathbf{x}[n]$ of this matrix describes the amplitudes at the scene point ω_n seen by the L sensors, the l -th column vector $\mathbf{x}^{(l)}$ reflects the amplitudes of all scene points as seen by sensor number l . Let $\boldsymbol{\xi}(\mathbf{X}) := (\ell_2(\mathbf{x}[1]), \dots, \ell_2(\mathbf{x}[N]))^t$ be the vector of the Euclidean norms of the rows of \mathbf{X} , i. e. the square roots of the accumulated energies related to each scene point. A scene is called *block-sparse of order S* if the number of coefficients of $\boldsymbol{\xi}(\mathbf{X})$ larger than zero is equal or smaller than S . In our situation of airspace surveillance this means that not more than S airplanes are visible by at least one of the sensors.

Each of the L sensors performs measurements which are linear superpositions of the measurements at each scene point: $\mathbf{y}^{(l)} = \mathbf{A}^{(l)}\mathbf{x}^{(l)} + \mathbf{n}^{(l)}$. $\mathbf{A}^{(l)}$ is the sensing matrix related to the l -th sensor with dimension $M^{(l)} \times N$, if $M^{(l)}$ is the number of measurements of this sensor. $\mathbf{n}^{(l)}$ denotes the noise vector for sensor (l). The n -th column of $\mathbf{A}^{(l)}$ can be regarded as a *signal model* for the measurements performed by the sensor (l) if a normalized amplitude $x_n^{(l)} = 1$ is present at scene point ω_n and all the other amplitudes are zero. Clearly, the complete ensemble of $M = \sum_{l=1}^L M^{(l)}$ measurements could be summarized in a single system of linear equations, but it is numerically better to handle the L equation systems separately.



In the literature there are presented a few algorithms for the reconstruction of the scene under the condition of this signal model and the assumption of block-sparsity. Examples are the *mixed ℓ_1/ℓ_2 optimization* minimizing $\|\xi(\mathbf{X})\|_1$ under the constraints $\mathbf{y}^{(l)} = \mathbf{A}^{(l)}\mathbf{x}^{(l)}$ or the *Block Orthogonal Matching Pursuit* (BOMP) [37] as generalization of the OMP.

We have tested block-sparse recovery with a simulation series of a number of airplanes flying through the scene. Fig. 8 shows the simulated flight pathes and the results of sparse reconstruction using the BOMP algorithm with an additional component estimating the fine positions of the targets between the grid points. Both BOMP and position refinement aim to minimize the remaining energy sum over all sensors which cannot be explained by the actual assumed target positions.

8. Conclusions and outlook

We have presented various applications of CS to radar tasks. Many of them are very promising, open a new view to radar sensing and show new possibilities. Especially for spatial sparse sampling the benefits of CS are apparent, since each new proper, i.e. non-synthetic, spatial sample means an antenna, a T/R-module etc. and drives the costs of the system. Nevertheless, it's time to review the CS-techniques and to judge objectively the profit against classical methods. As a rule, sparse sampling should not reduce the accumulated signal-to-noise ratio (SNR), it should be the rule not to simply throw away samples which were gathered before, since this would reduce the potential accumulated SNR. It cannot be the aim, first to build up a system with given SNR specifications producing a certain data rate, and then to use only a part of the data to reduce the data rate again. There are other methods to produce a lower amount of data from the beginning without losing SNR, e.g. the technique of illumination with a set of distinct frequencies simultaneously. Random choice of sampling times, frequencies or particularly aperture positions often can be carried out only once, namely during system design. For the rest of the system life time this choice has to be accepted.

In the very recent years, new ideas have come up, for instance algorithms driving down the rank of matrices analogue to the sparsity of vectors, adaptive dictionaries obtained by learning systems, or the handling of large sensor networks, which again could revolutionize the sensing techniques. So we expect that in a few years a new review of CS applied to radar would exhibit extremely interesting new techniques.

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From Research to Application: How Phased Array Radars Conquered the Real World

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***Abstract:** This paper describes the historical development and status of active phased array radar technology and how they are used in today's systems – with special emphasis on cost aspects, market prices and funding. The hardware related price drivers are mostly understood and currently optimized e.g. by introduction of new semiconductors and light-weight materials. This is not valid for new algorithms, resource management and signal processing, where research is not that advanced. The authors also discuss cost issues, which are in comparison with technology an equal decisive driver for introducing such radars. Given examples and prices focus on European radars primarily.*

1. Introduction: A Brief History of Phased Array Radars

Many modern radars apply active or passive phased array antenna technology. They root back more than 80 years, when it was introduced to communication systems (1). The application to radars dates back more than 70 years in MAMMUT early warning radar (1941), built by GEMA in Germany (2) and could be considered as the world's first (passive) phased array radar. This VHF radar covered an antenna area of 500 square meters!

After WWII the phased array radar technology has been developed extensively in various countries at different speed, but the U.S. and Russia put the highest R&D effort into this, especially focused on radars for homeland defence and airborne radars.

Starting in the 1970s, the passive phased array antenna radars started to take off using a single transmitter. Telefunken's TRMS radar has been the first German passive phased array radar designed in the seventies and ordered by the German army in the early eighties.

(3) From the nineties, radars with active electronically scanning phased array antennas (AESA) came up and systems were built, which used up to 100.000 solid state transmit-receive modules (e.g. US-GBR/Thaad program (4) or the 4-face APAR radar for German / Dutch frigates (3)). This technology makes the radars more capable for missile defence and guidance. Also the reliability went up, pushing their mean time between critical failures (MTBCF) from a couple of hundred hours well into 4-digit numbers. Furthermore, compared to passive phased arrays, AESA radars do not suffer from microwave losses in both the frontend's microwave paths.

Although AESA antennas become also more bulky, more expensive and need more prime power, their advantages increasingly overcompensate the disadvantages. Nevertheless, passive phased arrays or even reflector antennas are still used in many applications onboard ships, aircraft and on land and will eventually survive in niche market (see also chapter 2).

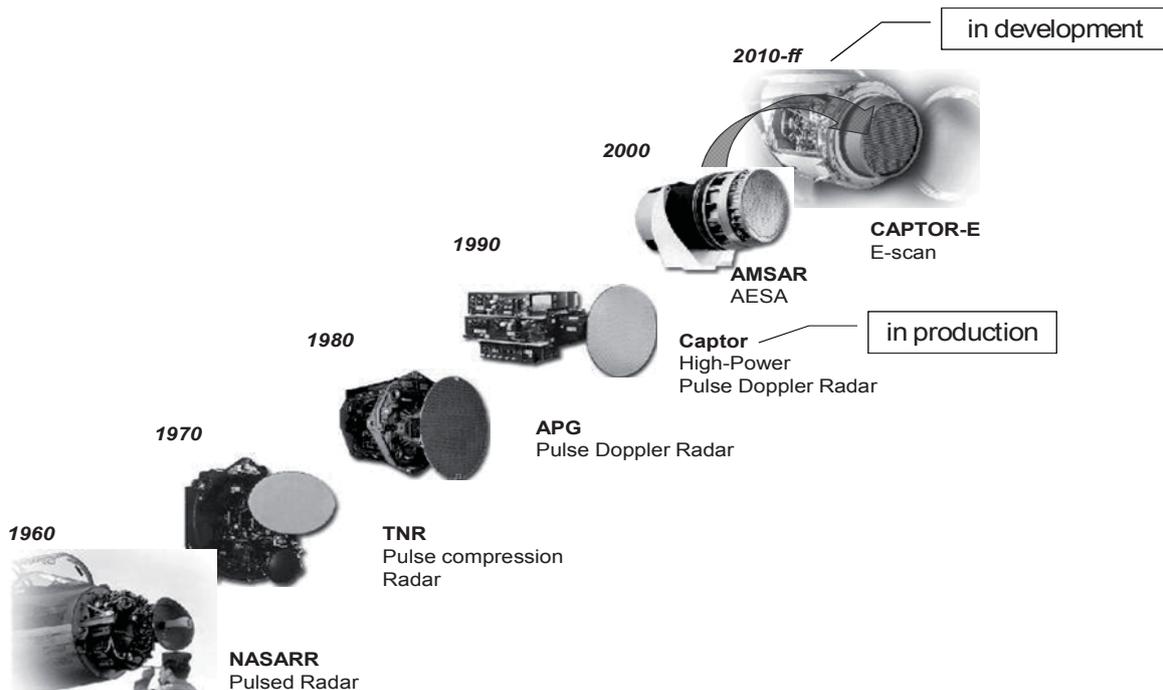


Figure 1: German fighter radars from M-SCAN to E-SCAN (courtesy of EADS Deutschland GmbH)

2. Radar Application Trends

Increasingly, phased array radars will conquer or already have conquered many areas of radar applications. It already applies to long range air defence radars, airborne multimode radars and missile tracking radars. Even high performance security radars already use phased array radar technology (see Figure 2).

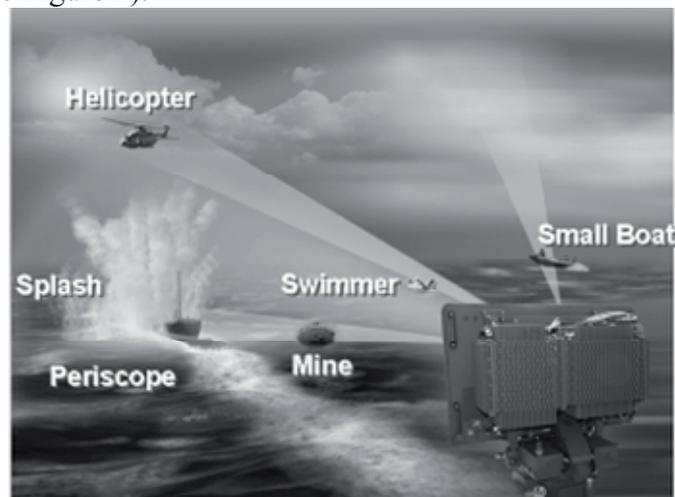


Figure 2: AESA supports multi-mode operation of coastal surveillance radars including and beyond vessel traffic services (Spexer 2000C™, courtesy of EADS Deutschland GmbH)

However, VTS (vessel traffic services) radars, ATC (air traffic control) radars and monopulse target trackers seem quite robust against this development as these applications do not need simultaneous radar modes and other AESA features. Today, we find many AESA radar applications in X-Band (8-12GHz), e.g. fighter radars, security radars, air defence radars. Therefore, these applications enjoy the highest AESA performance growth.

**Table 1: radar application with respect to antenna technology trends**

Radar application	Today's antenna technology	Tomorrow's antenna technology	Constraints
Air Traffic Control	M-SCAN	M-SCAN	Certification, Reliability
Vessel Traffic Services	M-SCAN	M-SCAN; E-SCAN, if security application required in parallel	Price
Navigation radars	M-SCAN	M-SCAN	Price
Automotive radars	E-SCAN	E-SCAN	Price, size, robustness
Security radars	M-SCAN, E-SCAN	E-SCAN	Price, multi-mode, weight and energy
Air Defence radars	M-SCAN	E-SCAN	Detection sensitivity, simultaneous modes
Missile Defence radars	E-SCAN	E-SCAN	Discrimination, tracking capabilities
Fighter radars	M-SCAN, E-SCAN	E-SCAN	Multi-role, MTBF, simultaneous and non-radar modes
Airborne and space surveillance radars	M-SCAN, E-SCAN	E-SCAN	Surveillance time of a given area, simultaneous modes
Naval radars	M-SCAN E-SCAN	E-SCAN; M-SCAN with E-SCAN capabilities	M-SCAN with E-SCAN capability
Tracking radars	M-SCAN	M-SCAN; E-SCAN	Tracking speed, size

3. Radar Market and R&D Investments (Cassidian market intelligence)

Global Market:

According to Cassidian's internal market sources there is a global 11bn€ military radar market; including another 2 Bn€ for ATC, civil aircraft and security applications, we see the total market around 13bn€ enjoying a 5% annual growth rate. Among these, the military airborne and space market consume some 50% of these budgets. Note that automotive and road traffic applications are not considered here.

Research and Development Investments (military, space and security):

As the operational tasks for radars become more diversified (e.g. global ballistic missile proliferation or increasing security concerns), also the global radar R&D funding keeps a very high 3bn€ baseline, thereof 500M€ pure research. Typically, the research circles go between 3 and 20 years. Development cycles for new radars are typically between 3 years and 8 years after the research phase until fielding the first series product. Variants go between 18 months and 3 years. This is quite long compared to development cycles for civil communication electronics, e.g. mobile phones. Nevertheless, the radar R&D investment is quite high related to revenues. Research on phased array radars will continue to be a strong investment at



academia as well as in industrial or governmental labs. Therefore, radar research and development will continue for some decades to come.

Table 2: military, space and security radar investments and market size

Radar investments and life cycles (2012 status)	Research programs	Development programs	Production programs	Market growth rate
Annual global investment	500 M€	3 Bn€	10 Bn€	3-5%
Life cycles per program	3-20 years	3-8 years	5-15 years	n.a.

Today's antenna technology trends include light-weight and broadband technology and new semiconductor materials. They are more than matched by data and signal processing techniques, e.g high-resolution modes, radar resource management, net-centric or multi-mode operations, and higher sophisticated or simultaneous waveforms.

4. Radar Prices

Prices of Transmit-Receive Modules (TRM)

As the number and price of TRMs and the surrounding antenna modules significantly drive the prices for conventional AESA radars, these modules define the affordability to military and security forces. Therefore, some applications cannot afford TRM based AESA radars, but use other architectures, e.g. distributed receive and transmit modules.

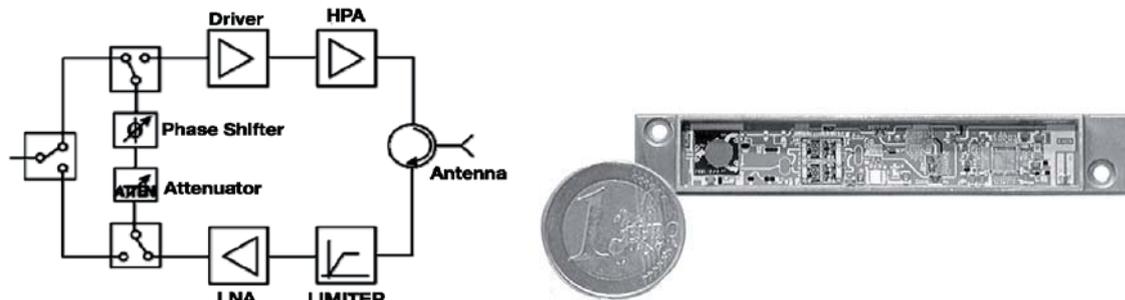


Figure 3: Typical Transmit Receive module block diagram of chipset and real Cassidian TRM (5)

Nevertheless, conventional TRMs are the substantial part of today's highest performance AESA radars. Consequently, the TRM prices are under pressure, which attracts many research and development activities. E.g., the US research authority DARPA consistently asks for a 100 US\$ TRM, but prices of reliable TRMs are still in excess of 500€. As the microwave monolithic integrated circuits (MMIC) chipset contribute some 40-60% of the total cost of a TRM, many R&D activities focus on these semiconductors, targeting both GaN and SiC for military application (see Figure 4).

Table 3: numbers of TRMs and prices of AESAs for different radar types

Radar type	Typical # of TRM	Price range / €
Airborne fighter radar	1500	500 - 1500
Space radar	500	5000 - 10000
Ballistic missile defence radar	10000	500 - 1500
Security radar	50	500 - 1500
Naval and ground air defence radar	1000	1000 - 2000



Not only MMIC chipsets are optimized but also surrounding infrastructures and control devices. E.g. GaN devices are more robust against power reflections and heat and use higher voltages. Therefore, limiters can be simplified and power cable losses are reduced leading to lower overall system cost.

Space radars are even much more expensive also due to space qualification and preselection of their TR-modules, which cost up to 5 times more than usual TR-modules depending strongly on module yield and applied space qualification procedure.

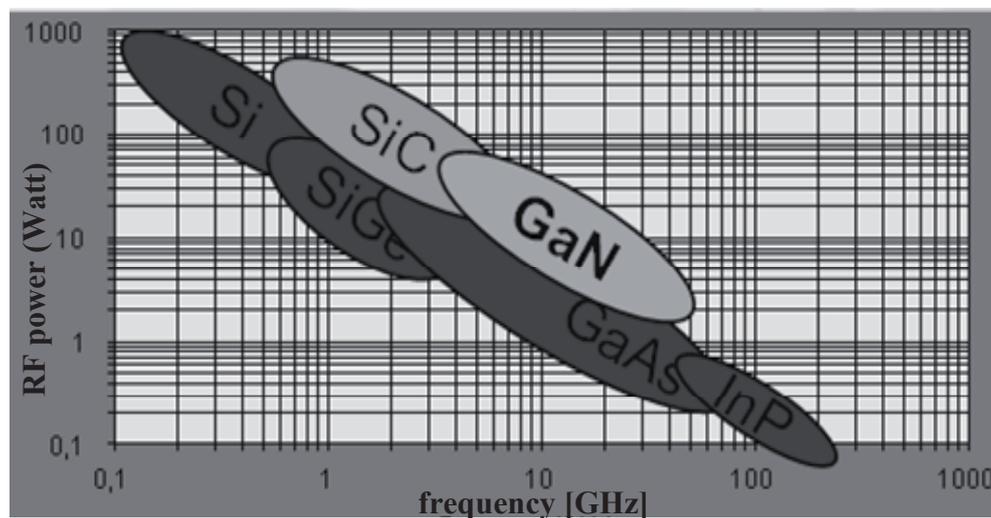


Figure 4: Semiconductor material options (5)

Backend Price Developments (signal and data processing):

As signal processing power becomes considerable cheaper, it is anticipated to have constant backend prices in order to compensate for more powerful software if e.g. simultaneous modes and higher data rates are required. However, the one time development cost for the software becomes a decisive funding factor as the software cost counts for up to 50% of the radar non-recurring cost. The upward potential of active phased array radars are strongly driven by advanced waveforms, radar resource management and powerful signal processing techniques, which are less understood than hardware technologies. Therefore, the wording Software defined radar will become increasingly true – also from a cost point of view.

Total Radar System Price:

Also radar prices strongly vary among different applications. As the development cost has strong influence on lower number military radars, it shows reduced effects on larger volume markets, e.g. automotive sensors, where much higher numbers are sold. For the same reason, the comparably high number of airborne radars show many functions and capabilities at a reasonable price level. Nevertheless, the military phased array radars won't become cheaper over years, but more powerful due to AESA and follow-on technologies.

Table 4: selected radar prices of high-performance radars (partially, R&D cost not considered)

Radar type	Air / missile defense and AEW radar	Naval multi-mode radar	Airborne fighter rad.	Airborne and space surveillance radar	ATC radars
Average price	8-100M€	2-20M€	2-8M€	0.5-8M€	2-5M€



Table 5: selected radar prices of radars <1M€

Radar type	Security radars	VTS radars	Navigation radars	Automotive radars (OEM)
Average price	100-700k€	100-300k€	1-30k€	0.2-2k€

5. Outlook

Phased array radars made a real breakthrough some 40 years and continue to push away other types of radars. However, many non-AESA legacy systems are still in use with solid performance giving AESA radars a good perspective for long-term growth. The future will see even more array antenna technologies. One of them is the concept of multi-functional arrays combining radar, data links and electronic warfare modes. This application typically require GaN modules due to its broadband and robustness requirements. Another development is the MIMO radar (6), which commands multiple different transmitted waveforms instead of single transmitted waveforms. Although research is ongoing for both frontend and backend technologies, the radar research and development investements will increasingly become more software loaded than in the past. As the funds are limited from academia, industry and government, both performance requirements and radar selling cost will be an equal decisive factor for developing new radar technologies.

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