

# Source Tracking with Multiple-Forgetting-Factor RLS Using a Vector-Hydrophone Away From or Near a Reflecting Boundary

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**Abstract**—A vector-hydrophone (a.k.a. acoustic vector-sensor) is composed of two or three spatially collocated but orthogonally oriented velocity-hydrophones, possibly plus a collocated pressure-hydrophone. A vector-hydrophone may form azimuth-elevation spatial beams that are invariant with respect to the sources' frequencies, bandwidths and radial locations (i.e., in near field as opposed to the far field). This paper adopts a multiple-forgetting-factor recursive-least-squares (RLS) adaptive algorithm to a single vector-hydrophone for source tracking, without needing any prior knowledge of the source power and/or the noise powers.

## I. INTRODUCTION

A velocity-hydrophone measures one Cartesian component of the three-dimensional particle-velocity vector of the incident wavefield. Velocity-hydrophone technology has existed for decades in the field of underwater acoustics [1] and is the subject of renewed interest [7]. A four-component vector-hydrophone has two or three orthogonally oriented velocity-hydrophones and possibly a pressure hydrophone, all collocated in a point-like geometry. Vector-hydrophones are commercially available as the "Uniaxial P-U Probe" from Acoustech<sup>1</sup> [23]. Vector-hydrophones have undergone sea trials [2],[3],[4],[5],[13],[19]. When a four-element vector-hydrophone (located at the coordinates' origin) is placed near a reflecting boundary plane of infinite size and situated at  $z = -D$ , its  $4 \times 1$  array manifold equals [18]:

$$\mathbf{a}(\theta, \varphi) \stackrel{\text{def}}{=} \begin{Bmatrix} 1 + R(\theta)e^{-j4\pi\frac{D}{\lambda}\sin\theta} \\ -2R(\theta)e^{-j4\pi\frac{D}{\lambda}\sin\theta} \\ 0 \\ 0 \\ w(\theta) \\ 0 \end{Bmatrix} \begin{bmatrix} u(\theta, \varphi) \\ v(\theta, \varphi) \\ w(\theta) \\ 1 \end{bmatrix} \quad (1)$$

where  $0 \leq \theta_k < \pi/2$  symbolizes the elevation angle measured from the vertical  $x$ - $y$  plane<sup>2</sup>,  $0 \leq \varphi_k < 2\pi$  denotes the azimuth angle measured from the positive  $x$ -axis,  $u(\theta, \varphi) = \cos\theta \cos\varphi$  refers to the diction-cosine along the  $x$ -axis,  $v(\theta, \varphi) = \cos\theta \sin\varphi$  refers to the diction-cosine along the  $y$ -axis,  $w(\theta) = \sin\theta$  refers to

the diction-cosine along the  $z$ -axis, and  $\lambda$  symbolizes the source's wavelength. Three special cases exist:

- 1) No reflecting boundary exists near the vector-hydrophone:  $R(\theta) = 0$  [6]. Thus, (1) degenerates to: [6],[23]

$$\mathbf{a}(\theta, \varphi) \stackrel{\text{def}}{=} \begin{bmatrix} \mathbf{d} \\ 1 \end{bmatrix} \stackrel{\text{def}}{=} \begin{bmatrix} \cos\theta \cos\varphi \\ \cos\theta \sin\varphi \\ \sin\theta \\ 1 \end{bmatrix} \quad (2)$$

A four-component vector-hydrophone would thus measure all three Cartesian components of the acoustic velocity vector-field plus the overall pressure scalar-field. Direction finding [16] [21] and source tracking [20] using a single vector-hydrophone would require no a priori information of the signals' bandwidth and spectra, because the array manifold is entirely independent of signal frequency due to the spatial co-location of its constituent sensors. The complicating effects of a near-field wave-front's curvature is also avoided because of the spatial co-location of the vector-hydrophone's constituent sensors.

- 2) For a rigid reflecting boundary (such as a ship hull at high frequency),  $R(\theta) \approx 1, \forall\theta$  [18].
- 3) For a pressure-releasing reflecting boundary (such as the sea-air interface or the ship hull at low frequency),  $R(\theta) \approx -1, \forall\theta$  [18].

An array of *multiple* vector-hydrophones are used with maximum-likelihood estimation in [8], with ESPRIT in [10], [11], [16], [17], with MUSIC in [17], [26] and with Root-MUSIC in [15], with least-squares based algorithms in [24], with beamspace direction-finding in [12],[25].

Whereas [20] applies Kalman filtering to a three-component vector-hydrophone (without the pressure hydrophone), this present work will instead propose an adaptive RLS tracking algorithm using multiple forgetting factors [9].

## II. RLS TRACKING OF A SINGLE SOURCE USING A VECTOR-HYDROPHONE

### A. A Mathematical Statement of the Tracking Problem

The statistical data model is as follows: A real-valued signal, of frequency  $f$  and power  $\sigma_s^2$ , impinges upon a vector-hydrophone<sup>3</sup>

<sup>3</sup>When there is a boundary, the  $z$ -axis velocity-hydrophone is not needed. For the no-boundary case, the pressure-hydrophone is not needed.

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<sup>1</sup><http://www.acoustechcorporation.com>

<sup>2</sup> $|\theta_k| \leq \pi/2$  if  $R(\theta) = 0$ .

located at  $(0, 0, 0)$ . After carrier-frequency down-conversion, the vector-hydrophone's collected data equal:

$$\mathbf{z}(t) = \mathbf{a}(\theta(t), \varphi(t))s(t) + \mathbf{n}(t) \quad (3)$$

where  $\mathbf{a}(\cdot, \cdot)$  is as defined in (1) or (2), except now with a time-varying  $(\theta(t), \varphi(t))$ . The  $4 \times 1$  noise vector  $\mathbf{n}(t) = [n_{v_x}(t), n_{v_y}(t), n_{v_z}(t), n_p(t)]^T$  is complex-valued, statistically uncorrelated across its components and over  $t$ , with mean  $[0, 0, 0, 0]^T$  and covariance matrices:

$$\begin{aligned} E[\mathbf{n}(t)\mathbf{n}^H(s)] &= \delta(t-s)\text{diag}\{\sigma_v^2, \sigma_v^2, \sigma_v^2, \sigma_p^2\} \\ E[\mathbf{n}(t)\mathbf{n}^T(s)] &= \text{diag}\{0, 0, 0, 0\}, \quad \forall t, s \end{aligned}$$

where the superscript  $T$  denotes transposition, the superscript  $H$  denotes the Hermitian operation,  $\text{diag}\{\cdot\}$  symbolizes a diagonal matrix having as its diagonal elements that which are inside  $\{\cdot\}$ . With  $T$  denoting the time-sampling period and given  $\mathbf{Z} = \{\mathbf{z}(nT), n = 0, 1, 2, \dots\}$ , the present problem is to adaptively estimate  $(\theta(nT), \varphi(nT))$  over  $n$ .

### B. Single-Forgetting-Factor Tracking

The recursive least-squares (RLS) algorithm is adopted here for uni-vector-hydrophone tracking as follows: [6]

$$\mathbf{p}(nT) = \frac{\text{Re} \left\{ \begin{bmatrix} [\mathbf{z}(nT)]_1 \\ [\mathbf{z}(nT)]_2 \end{bmatrix} \right\}}{\text{Re} \{[\mathbf{z}(nT)]_4\}} \quad (4)$$

$$\hat{\mathbf{d}}_N = \begin{bmatrix} \hat{u}_N \\ \hat{v}_N \end{bmatrix} = \frac{\sum_{n=0}^N \lambda^{-n} \mathbf{p}(nT)}{\sum_{n=0}^N \lambda^{-n}} \quad (5)$$

The above leads to the recursive relation [14]:

$$\hat{\mathbf{d}}(nT) = \lambda \hat{\mathbf{d}}(nT - T) + (1 - \lambda)\mathbf{p}(nT) \quad (6)$$

for  $n = 1, 2, \dots, N$ . Hence,

$$\hat{\theta}_N = \arccos \left( \sqrt{\hat{u}_N^2 + \hat{v}_N^2} \right) \quad (7)$$

$$\hat{\varphi}_N = \angle(\hat{u}_N + j\hat{v}_N) \quad (8)$$

In the above,  $\lambda < 1$  represents a ‘‘forgetting factor’’, the superscript  $*$  denotes complex conjugation, and  $[\mathbf{v}]_i$  denotes the  $i$ th element in the vector  $\mathbf{v}$ . The denominator in (4) corrects for the signal steering-vector's time-varying dependence on  $\theta$  of (1) and for the signal amplitude  $s(t)$  in (3). For the no-boundary special case, where  $R(\theta) = 0$ , substitute (4) through (5) by the following three steps:

$$\mathbf{p}(nT) = \frac{\text{Re} \left\{ \begin{bmatrix} [\mathbf{z}(nT)]_1 \\ [\mathbf{z}(nT)]_2 \\ [\mathbf{z}(nT)]_3 \end{bmatrix} \right\}}{\left\| \text{Re} \left\{ \begin{bmatrix} [\mathbf{z}(nT)]_1 \\ [\mathbf{z}(nT)]_2 \\ [\mathbf{z}(nT)]_3 \end{bmatrix} \right\} \right\|} \quad (9)$$

$$\bar{\mathbf{d}}_N = \left( \sum_{n=0}^N \lambda^{-n} \right)^{-1} \sum_{n=0}^N \lambda^{-n} \mathbf{p}(nT) \quad (10)$$

$$\hat{\mathbf{d}}_N = \begin{bmatrix} \hat{u}_N \\ \hat{v}_N \\ \hat{w}_N \end{bmatrix} = \frac{\bar{\mathbf{d}}_N}{\|\bar{\mathbf{d}}_N\|} \quad (11)$$

The above leads to the recursive relation [14]:

$$\hat{\mathbf{d}}(nT) = \frac{\lambda \hat{\mathbf{d}}(nT - T) + (1 - \lambda)\mathbf{p}(nT)}{\|\lambda \hat{\mathbf{d}}(nT - T) + (1 - \lambda)\mathbf{p}(nT)\|} \quad (12)$$

for  $n = 1, 2, \dots, N$ . The denominator in (9) corrects for the signal amplitude  $s(t)$  in (3) and implicitly performs noise cancellation. An appropriate pre-set value of  $\lambda$  is critical to this single-forgetting-factor RLS tracking algorithm. However,  $\lambda$  depends, in a complicated way, on the variance  $\sigma_w^2$  of the incident source's spatial motion and on the signal-to-noise ratios  $\frac{\sigma_s^2}{\sigma_v^2}$  and  $\frac{\sigma_s^2}{\sigma_p^2}$ , which are all typically a priori unknown. In the absence of such prior information, multiple-forgetting-factor tracking [9] may be used, as it requires no pre-set value for  $\lambda$  but can self-tune  $\lambda$ .<sup>4</sup>

### C. Multiple-Forgetting-Factor Adaptation

This approach<sup>5</sup> uses  $M$  different forgetting factors  $\{\lambda_1, \dots, \lambda_M\}$  (ordered in decreasing magnitude) in parallel on the same data  $\{\mathbf{p}(nT), n = 1, 2, 3 \dots N\}$ , producing the  $M$  estimates  $\{\hat{\mathbf{d}}^{(m)}(nT), m = 1, \dots, M\}$  of the vector  $\mathbf{a}(nT)$ .  $\lambda_1$  would produce a stable but slowly converging estimate, whereas  $\lambda_M$  would yield a responsive but erratic estimate. These  $M$  estimates are here adaptively weighted to fit the source's time-varying movement. A weighted average of  $\{\hat{\mathbf{d}}^{(m)}(nT), m = 1, \dots, M$  and  $n = 1, \dots, N\}$  produces a combined estimate,

$$\hat{\mathbf{d}}(nT) = \sum_{m=1}^M \beta^{(m)}(n) \hat{\mathbf{d}}^{(m)}(nT) \quad (13)$$

where  $\sum_{m=1}^M \beta^{(m)}(n) = 1$ ;  $0 \leq \beta^{(m)}(n) \leq 1, \forall m, n$ ; and

$$\hat{\mathbf{d}}^{(m)}(nT) = \frac{\lambda_m \hat{\mathbf{d}}(nT - T) + (1 - \lambda_m)\mathbf{p}(nT)}{\|\lambda_m \hat{\mathbf{d}}(nT - T) + (1 - \lambda_m)\mathbf{p}(nT)\|} \quad (14)$$

for the near-boundary case of (1), and

$$\hat{\mathbf{d}}^{(m)}(nT) = \lambda_m \hat{\mathbf{d}}(nT - T) + (1 - \lambda_m)\mathbf{p}(nT) \quad (15)$$

for the no-boundary case of (2). Moreover,

$$x^{(m)}(n) = \|\mathbf{p}(nT) - \hat{\mathbf{d}}^{(m)}(nT - T)\| \quad (16)$$

$$\beta^{(m)}(n) = \frac{\beta^{(m)}(n-W) \prod_{l=n-W+1}^n p(x^{(m)}(l)|m)}{\sum_{j=1}^M \beta^{(j)}(n-W) \prod_{l=n-W+1}^n p(x^{(m)}(l)|j)} \quad (17)$$

$$\beta^{(m)}(n - W) = \frac{1}{M} \quad (18)$$

$$p(x^{(m)}(n)|m) = \frac{1}{\sqrt{2\pi}\hat{\sigma}(n)} \exp \left\{ -\frac{x^{(m)}(n)}{2\hat{\sigma}^2(n)} \right\} \quad (19)$$

$$\hat{\sigma}^2(n) = \sum_{m=1}^M \beta^{(m)}(n) \left( \hat{\sigma}^{(m)}(n) \right)^2 \quad (20)$$

$$\begin{aligned} \left( \hat{\sigma}^{(m)}(n) \right)^2 &= \lambda_m \left( \hat{\sigma}^{(m)}(n - 1) \right)^2 \\ &\quad + (1 - \lambda_m) x^{(m)}(n) . \end{aligned} \quad (21)$$

<sup>4</sup>‘‘Multiple-forgetting-factor tracking’’ is algorithmically simpler than ‘‘adaptive-forgetting-factor adaptation’’.

<sup>5</sup>This subsection parallels the adoption in [14] of the multiple-forgetting-factor method of [9].

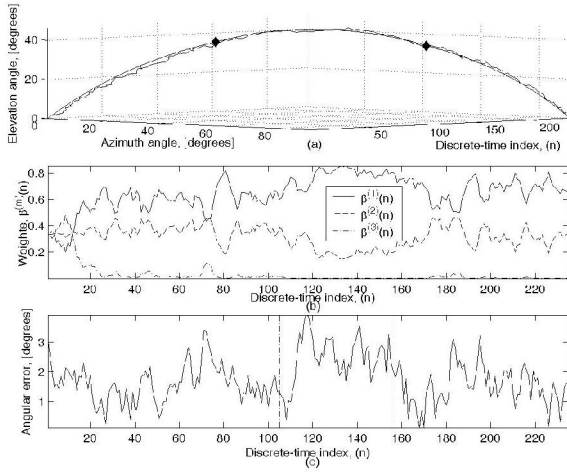


Fig. 1. MFF-RLS tracking of an incident source at “piece-wise constant” angular speed  $\gamma(n)$ , using a three-element vector-hydrophone (no pressure-hydrophone) placed away from any reflecting boundary.

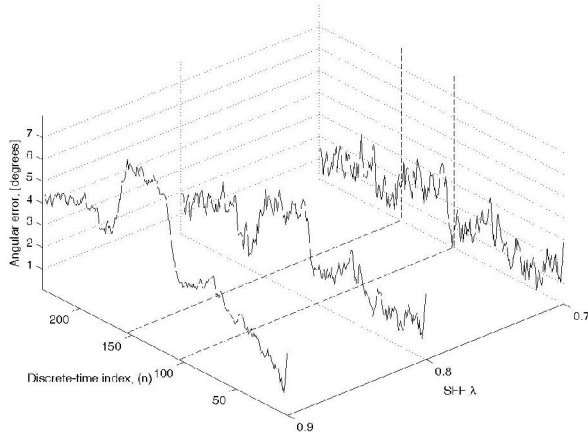


Fig. 2. The angular error  $\psi(n)$  for SFF-RLS tracking (at various forgetting-factor values  $\lambda$ ) of an incident source at “piece-wise constant” angular speed  $\gamma(n)$ , using a three-element vector-hydrophone (no pressure-hydrophone) placed away from any reflecting boundary.

In (17),  $W$  denotes the integer part of the median of  $\left\{ \frac{1}{1-\lambda_m}, m = 1, \dots, M \right\}$ .

### III. SIMULATIONS

Monte Carlo simulations verify the efficacy of the proposed multiple-forgetting-factor (MFF) RLS algorithm using a single vector-hydrophone located at the coordinates’ origin, with no prior knowledge of the source’s spatial motion or the signal-to-noise ratios  $\frac{\sigma_s^2}{\sigma_v^2}$  and  $\frac{\sigma_s^2}{\sigma_p^2}$ . The unit-power incident source moves along a circular arc with an angular speed of

$$\gamma(n) = \begin{cases} 0.005, & n \in [0, 209] \\ 0.025, & n \in [210, 251] \\ 0.01, & n \in [252, 357] \end{cases} \quad (22)$$

radians per discrete-time sample. At discrete-time  $nT$ , the source’s Cartesian location is  $\left[ \frac{1}{\sqrt{2}} + \frac{1}{\sqrt{2}} \cos(\gamma(n)), \frac{1}{\sqrt{2}} - \frac{1}{\sqrt{2}} \cos(\gamma(n)), \sin(\gamma(n)) \right]^T$ . Fig. 1-(a)’s solid curve plots the above source movement  $(\theta_n, \varphi_n)$  over the discrete time  $nT$ . The solid curve’s two diamond icons mark the  $n$ -boundaries where  $\gamma(n)$  of (22) changes value according to (22).

Fig. 1-(a)’s zigzag curve plots a no-boundary case’s tracking estimates  $(\hat{\theta}_N, \hat{\varphi}_N)$ , obtained from the MFF-RLS algorithm at  $M = 3, \lambda_1 = 0.7, \lambda_2 = 0.8, \lambda_3 = 0.9, \{\beta^{(m)}(n) = \frac{1}{3}, \forall m \text{ and } n = 2 - W, \dots, 0\}$ . Fig. 1-(b) shows how the three forgetting-factors  $\lambda_1, \lambda_2, \lambda_3$  are relatively weighted as  $\gamma(n)$  changes over discrete-time  $n$ . Fig. 1-(c) plots the corresponding angular error, defined here as the angle between the incident source’s true Cartesian coordinates and the algorithm’s estimated coordinates:  $\psi(n) = \cos^{-1} \left( \frac{(\mathbf{a}(nT))^H \hat{\mathbf{d}}(nT)}{\|\mathbf{a}(nT)\| \|\hat{\mathbf{d}}(nT)\|} \right)$ . These subfigures in Fig. 1 show the 3FF-RLS algorithm to closely track the source’s azimuth and elevation angles.

To illustrate the MFF-RLS tracking algorithm’s superiority over the SFF-RLS algorithm, Fig. 2 and Table III show how the SFF-RLS’ tracking error critically depends on the pre-set  $\lambda$ , which equals 0.7, 0.8, or 0.9 in Fig. 2, with all other simulation settings identical to those of Fig. 1. Fig. 2 is the counterpart of Fig. 1-(c). Table III compares the tracking angular error of 3FF-RLS versus various  $\lambda$ -settings in SFF-RLS. While SFF-RLS at  $\lambda = 0.8$  gives a time-averaged angular error 2% under 3FF-RLS’s, SFF-RLS at  $\lambda = 0.7$  and  $\lambda = 0.7$  would give a time-averaged angular error respectively at 13% and 16% over 3FF-RLS’s. As  $\sigma_s, \sigma_v, \sigma_p$ , are typically unknown in practical applications, SFF-RLS could be pre-set at a suboptimal  $\lambda$  value to give significantly higher tracking errors than would MFF-RLS.

Fig. 3 is the counterpart of Fig. 1, now for the near-boundary case at  $R(\theta) = 1, D = \frac{\lambda}{2}$ , and ,

$$\gamma(nT) = \begin{cases} 0.01, & n \in [0, 104] \\ 0.021, & n \in [105, 155] \\ 0.013, & n \in [156, 236] \end{cases} \quad (23)$$

Fig. 3 verifies the efficacy of the tracking equations (4) to (8). Referring to Table III’s bottom half, 3FF-RLS costs a 1% degradation in the time-averaged angular error (relative to the SFF-RLS pre-set at  $\lambda = 0.8$ ); however, 3FF-RLS could potentially reduce the time-averaged angular error by up to 12% (relative to the SFF-RLS pre-set at  $\lambda = 0.9$ ).

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TABLE I

3FF-RLS VERSUS SFF-RLS IN TERMS OF  $\bar{\psi}$ , THE ALGEBRAIC AVERAGE OF  $\{\psi(n), \forall n\}$

	Algorithm	$\lambda_1$	$\lambda_2$	$\lambda_3$	$\bar{\psi}$
no-boundary	MFF	0.7	0.8	0.9	3.0122
no-boundary	SFF	0.7	-	-	3.4173
no-boundary	SFF	0.8	-	-	2.9522
no-boundary	SFF	0.9	-	-	3.5091
near-boundary	MFF	0.7	0.8	0.9	3.0121
near-boundary	SFF	0.7	-	-	3.3155
near-boundary	SFF	0.8	-	-	3.0444
near-boundary	SFF	0.9	-	-	3.3882

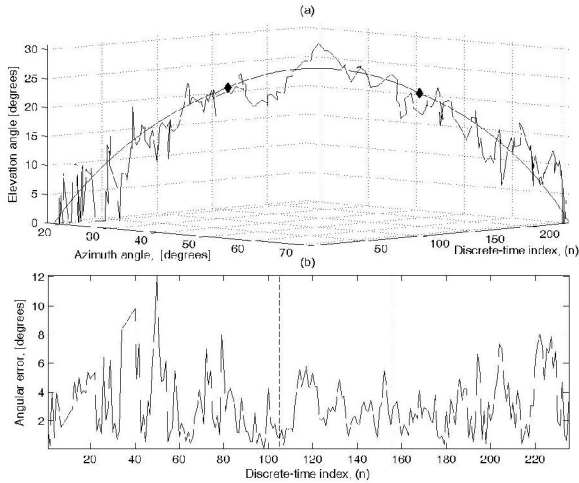


Fig. 3. MFF-RLS tracking of an incident source at "piece-wise constant" angular speed  $\gamma(n)$ , using a three-element vector-hydrophone (no  $z$ -axis velocity-hydrophone) placed half-wavelength from a rigid reflecting boundary.

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