

# Wideband Full-Duplex Phased Array with Joint Transmit and Receive Beamforming: Optimization and Rate Gains

**Tingjun Chen**, Mahmood Baraani Dastjerdi, Harish Krishnaswamy, and Gil Zussman

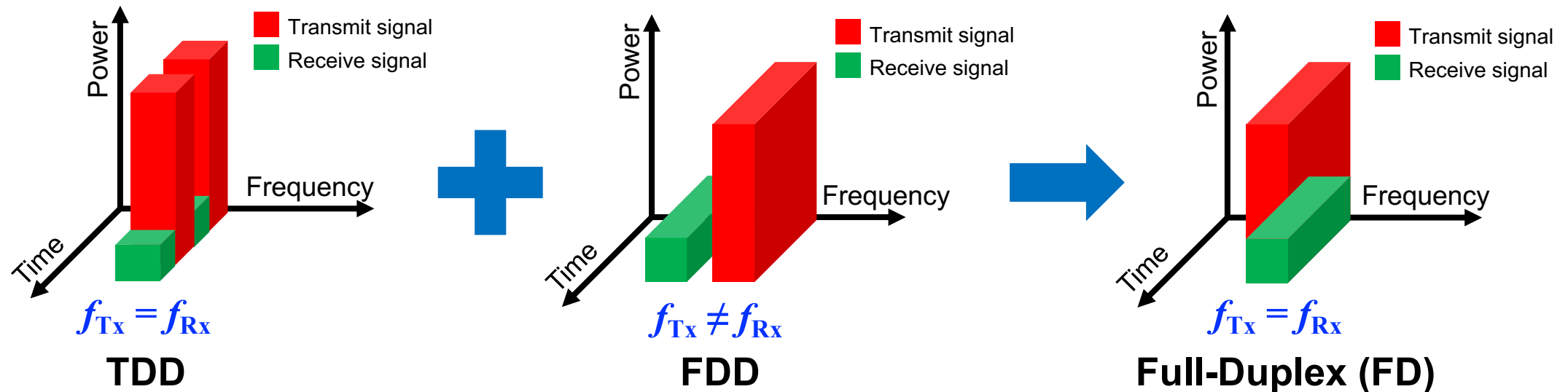
Electrical Engineering, Columbia University

ACM MobiHoc 2019

July 4, 2019

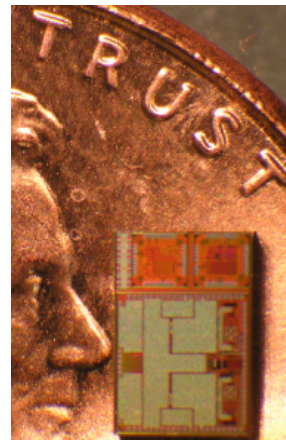
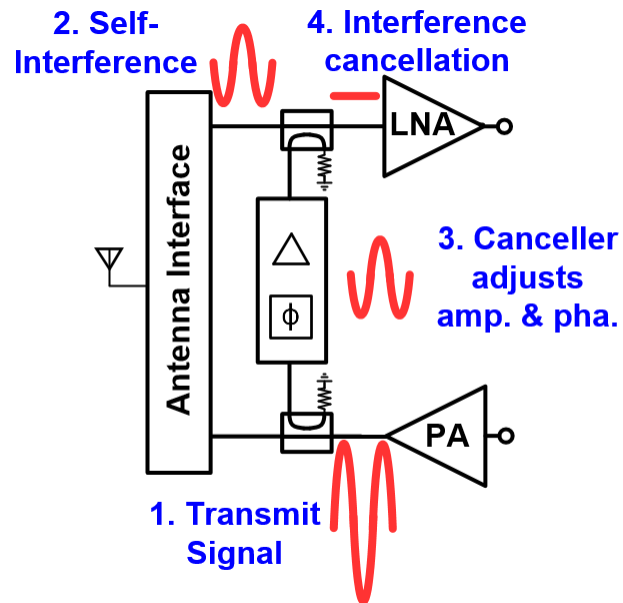
# Full-Duplex Wireless

- Legacy half-duplex wireless systems separate **transmission** and **reception** in either:
  - Time: Time Division Duplex (TDD)
  - Frequency: Frequency Division Duplex (FDD)
- (In-band) Full-duplex wireless: simultaneous **transmission** and **reception** on the **same frequency channel**

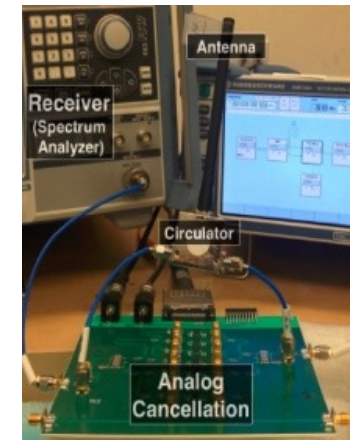
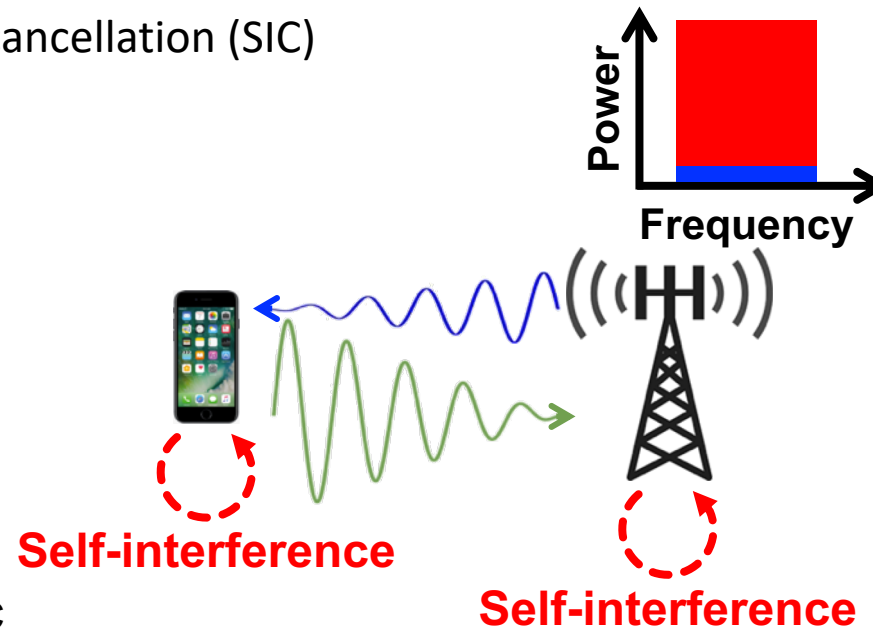


# Full-Duplex Wireless

- Benefits of full-duplex wireless:
  - Increased system throughput and reduced latency
  - More flexible use of the wireless spectrum and energy efficiency
- Viability is limited by self-interference (SI)
  - Transmitted signal is **billions** of times ( **$10^9$  or 90dB**) stronger than the desired received signal
  - Require extremely powerful self-interference cancellation (SIC)



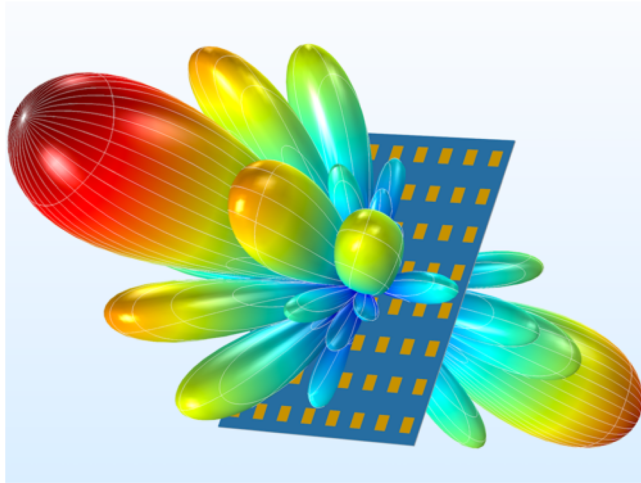
Full-duplex radios implemented in RFIC (Columbia)



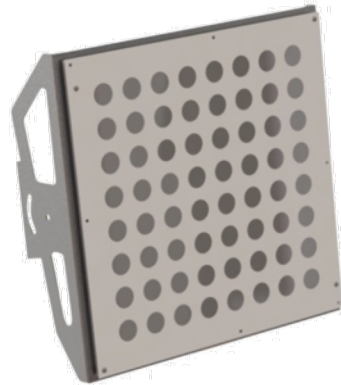
Full-duplex radios using off-the-shelf components (e.g., Stanford)

# Phased Array and Beamforming (BF)

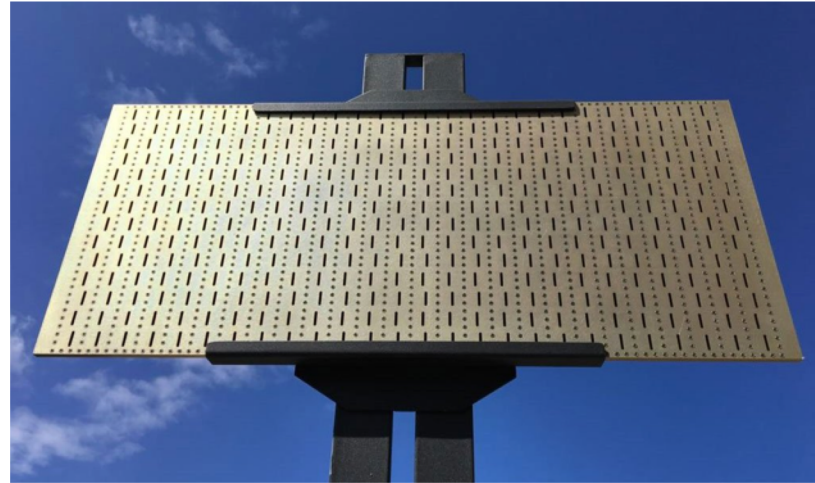
- An antenna phased array applies BF to achieve **directional** signal transmission (Tx) or reception (Rx)
  - Benefits: Increased Tx/Rx signal power and enhanced link distance
  - Analog BF (vs. digital BF): cost-effective, reduced system complexity and power consumption



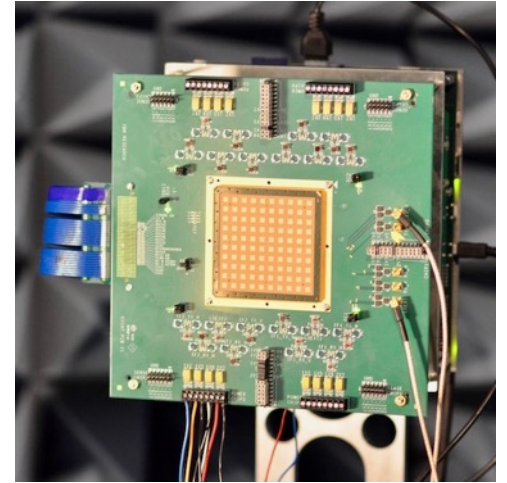
3D analog BF



5 GHz (C-band)



11 GHz (X-band)

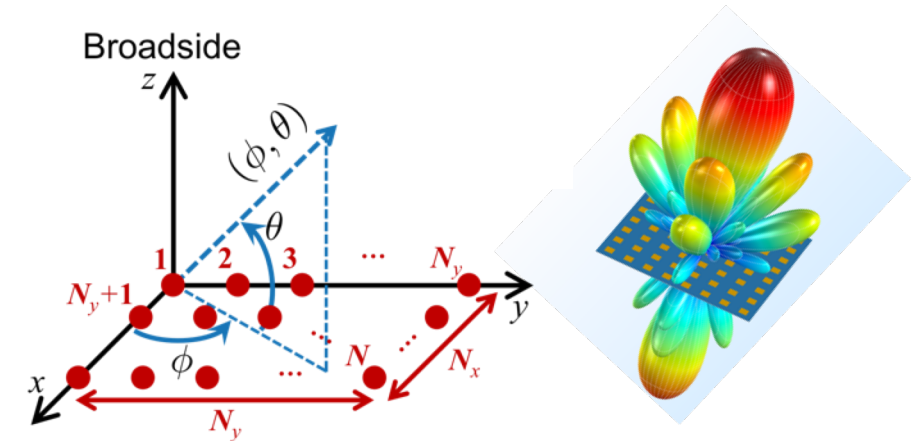


28 GHz (mmWave)

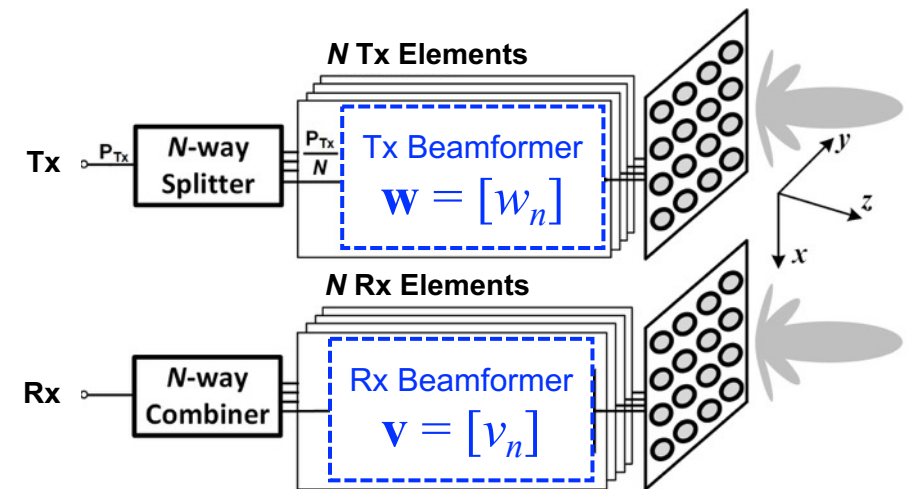


# Preliminaries: An $N$ -element (Half-Duplex) Phased Array

- Steering vector:  $\mathbf{s}(\phi, \theta) = [s_n(\phi, \theta)]$ 
  - Set of phase delays experienced by a plane wave as it departs/reaches the array
  - Depends on array's physical property (size, geometry, etc.)



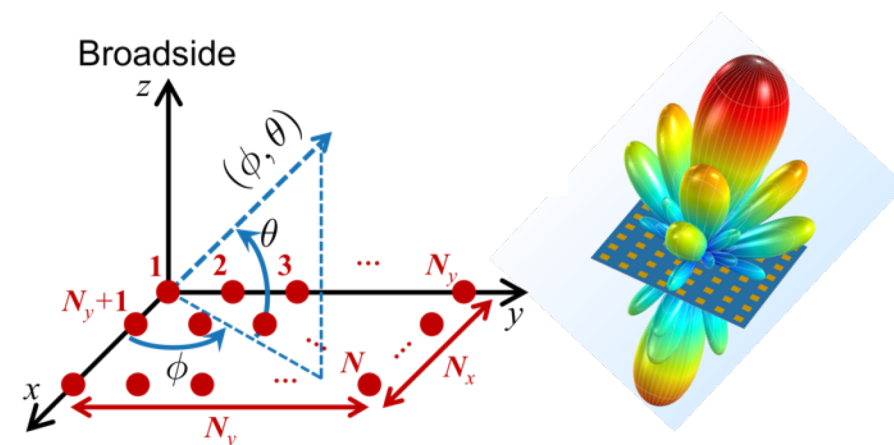
An example  $N$ -element rectangular antenna array in a spherical coordinate system



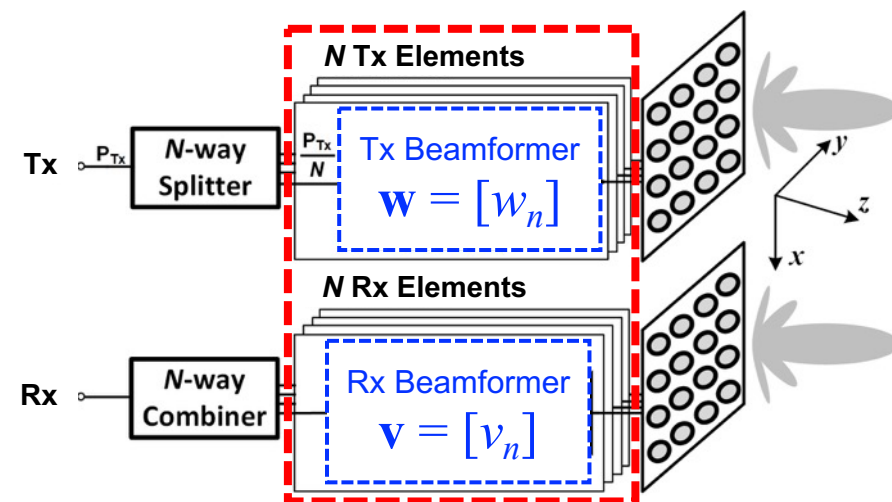
Block diagram of an  $N$ -element Tx (top) or Rx (bottom) phased array in the half-duplex (HD) setting

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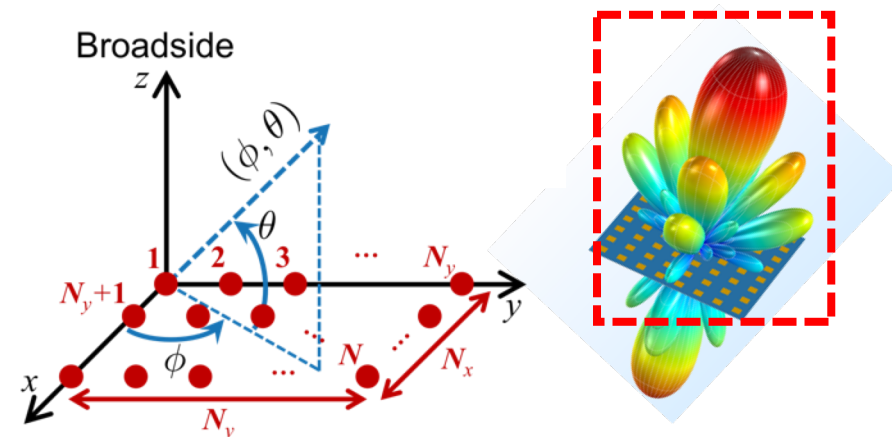
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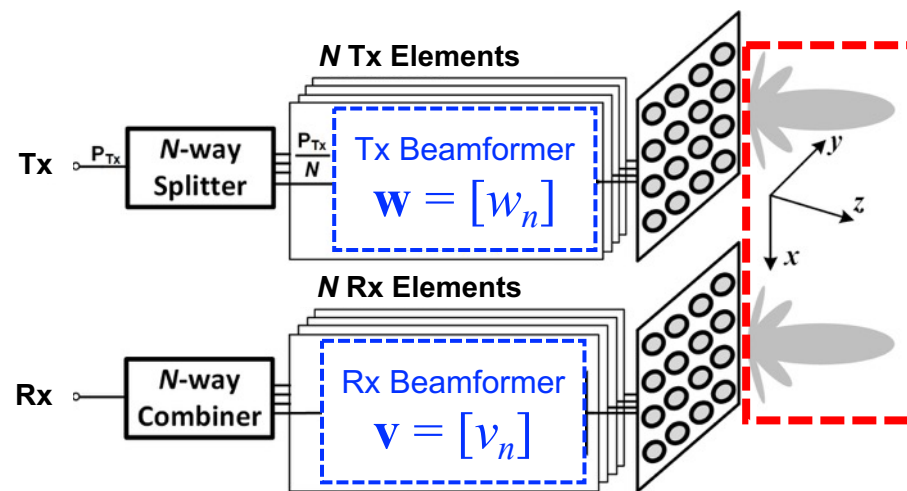
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- Far-field BF gain:  $G(\phi, \theta) = |\mathbf{s}^T(\phi, \theta) \cdot \mathbf{w}|^2 / N$ 
  - Combined effects of all weighted antenna elements



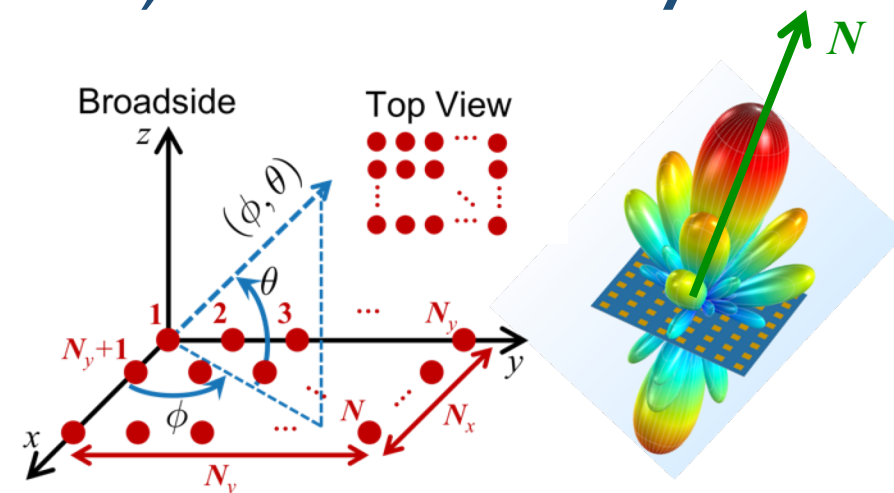
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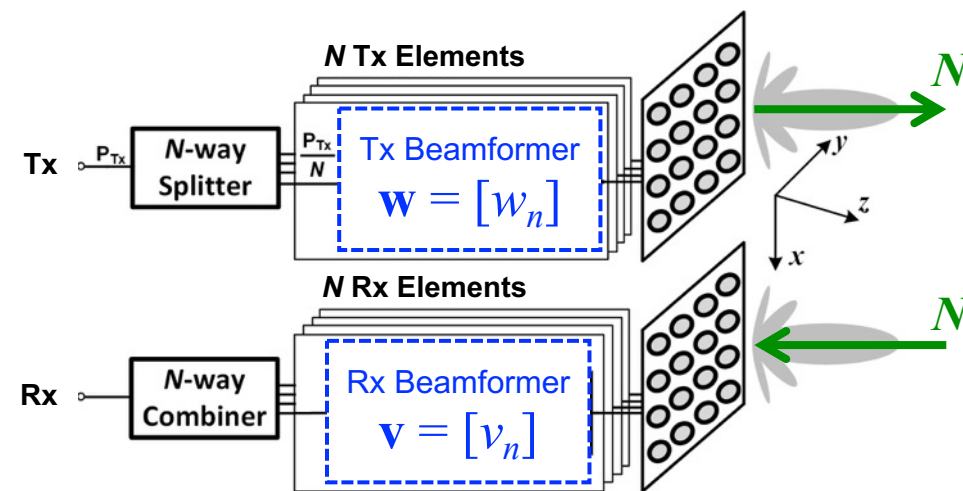
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    - Combined effects of all weighted antenna elements
- In the desired/main beam-pointing direction  $(\phi_{\text{main}}, \theta_{\text{main}})$ , **conventional** half-duplex (HD) BF can achieve a maximum BF gain of  $N$  with  $\mathbf{w}_{\text{conv}} = \mathbf{s}^*(\phi_{\text{main}}, \theta_{\text{main}})$  (i.e., conjugate BF)



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# Full-Duplex Phased Array with Beamforming?

- Enabling techniques for 5G and future wireless networks

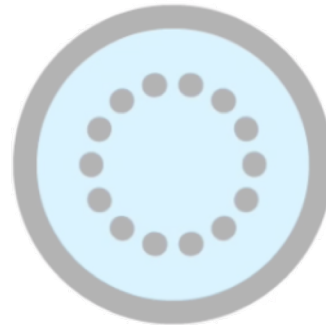
Figure source: A. Nordrum and K. Clark, "Everything you need to know about 5G," *IEEE Spectrum*, vol. 27, 2017.



**Millimeter  
Waves**



**Small Cell**



**Massive  
MIMO**



**Beamforming**



**Full Duplex**



**Question:** Can we simultaneously enable full-duplex communications with beamforming?

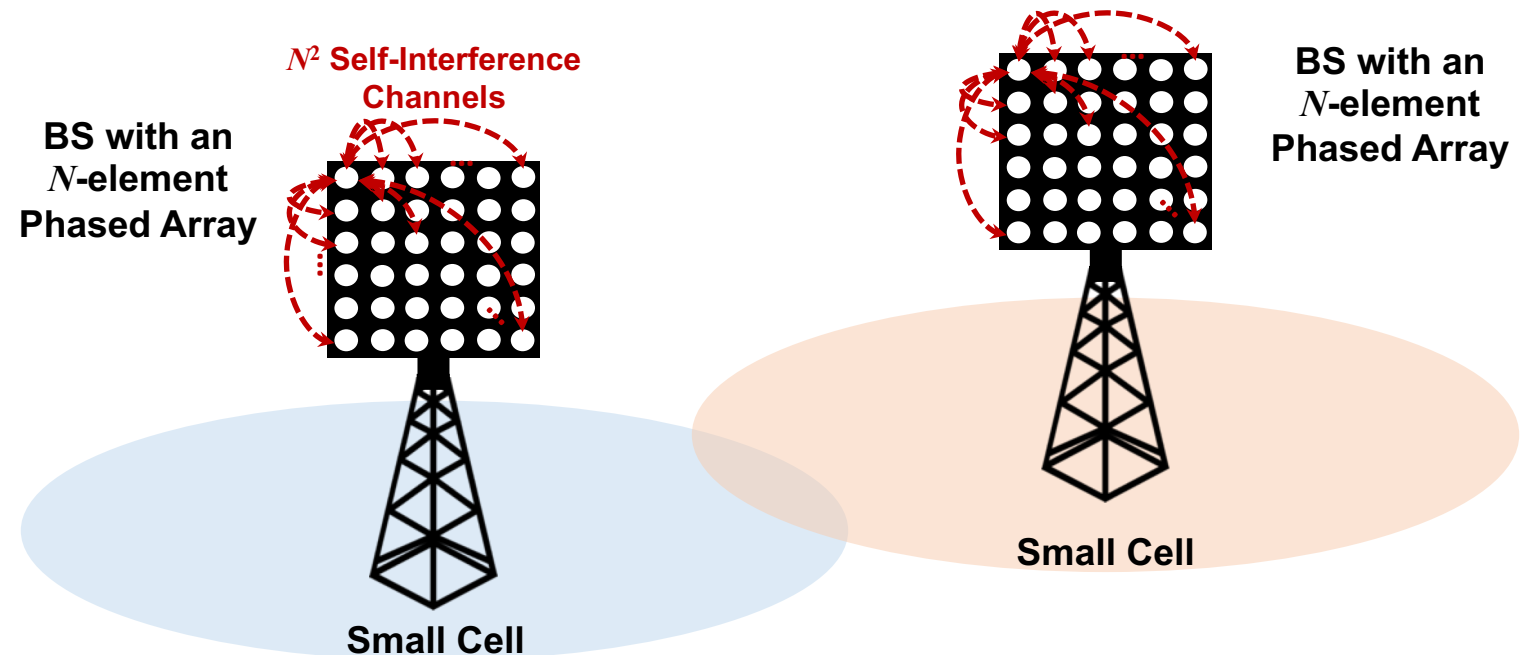
# Related Work

- Full-duplex SISO and MIMO radio/system design
  - Laboratory bench-top design: [Choi et al. 2010], [Duarte & Sabharwal, 2010], [Aryafar et al. 2012], [Bharadia et al. 2013/2014], [Kim et al. 2013/2015], [Korpi et al. 2016], [Sayed et al. 2017]
  - Integrated circuits (small form-factor) design: [Zhou et al. 2014/2015], [Debaillie et al. 2015], [Yang et al. 2015], [Reiskarimian et al. 2016/2017], [Zhang et al. 2017/2018], [Chen et al. 2019]
- Throughput gains and scheduling in full-duplex networks
  - [Xie & Zhang, 2014], [Nguyen et al. 2014], [Korpi et al. 2015], [Marasevic et al. 2017/2018], [Chen et al. 2018]
- (Large-scale) full-duplex multi-antenna systems
  - Full-duplex MU-MIMO downlink with digital TxBF [Everett et al. 2016]
  - Full-duplex phased array with (narrowband) analog TxBF [Aryafar & Haddad, 2018]
- **Simultaneous TxBF and RxBF** for full-duplex phased arrays was not considered
  - Efficient algorithm design and bandwidth consideration
- **Rate gains** introduced by these systems in different network scenarios were not evaluated



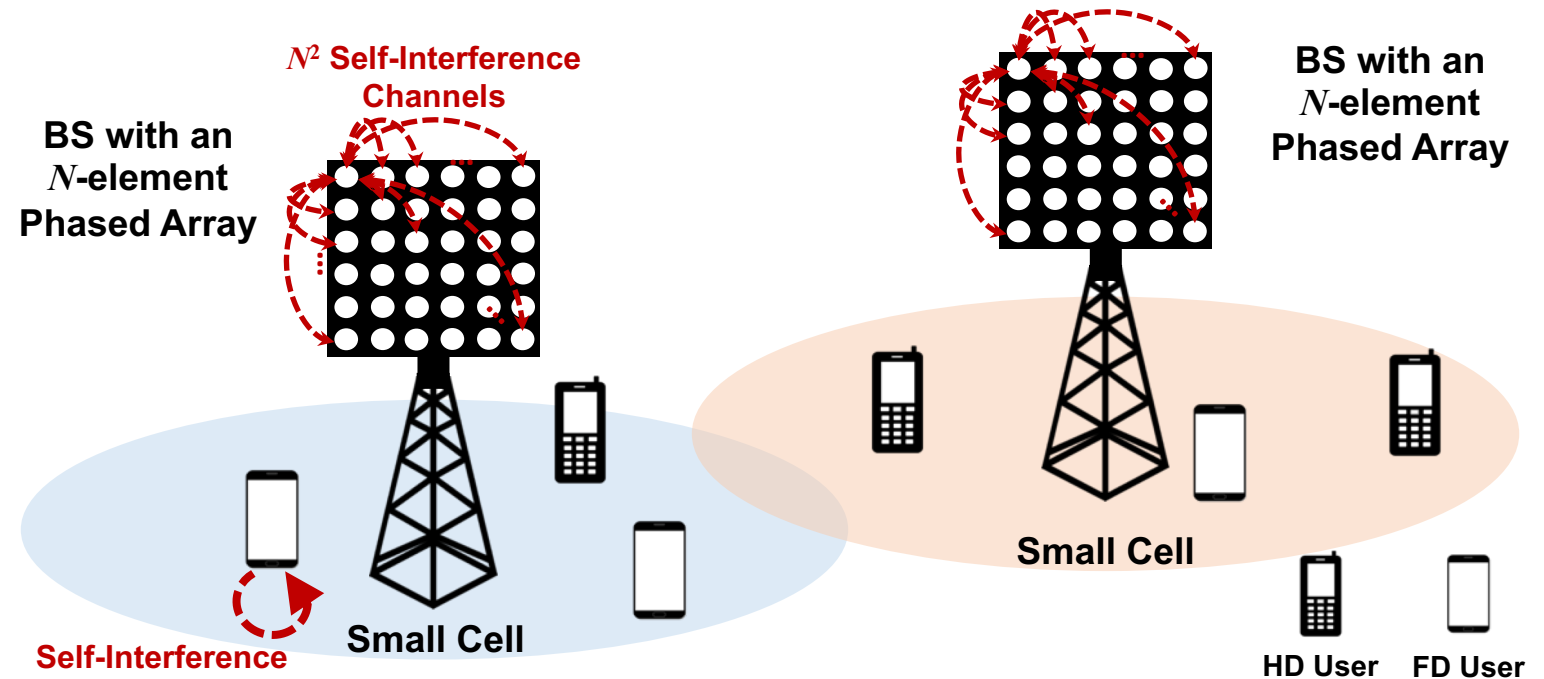
# Network Scenarios and Objective

- A **base station (BS)** with an  $N$ -element (large-scale) phased array
- When the BS operates in FD mode:
  - $N^2$  self-interference (SI) channels: scalability, hardware complexity, power consumption
  - Conventional HD BF can potentially increase the self-interference power by  $N^2$  compared to SISO case
- **Question:** How can the BS FD phased array achieve wideband RF self-interference cancellation?



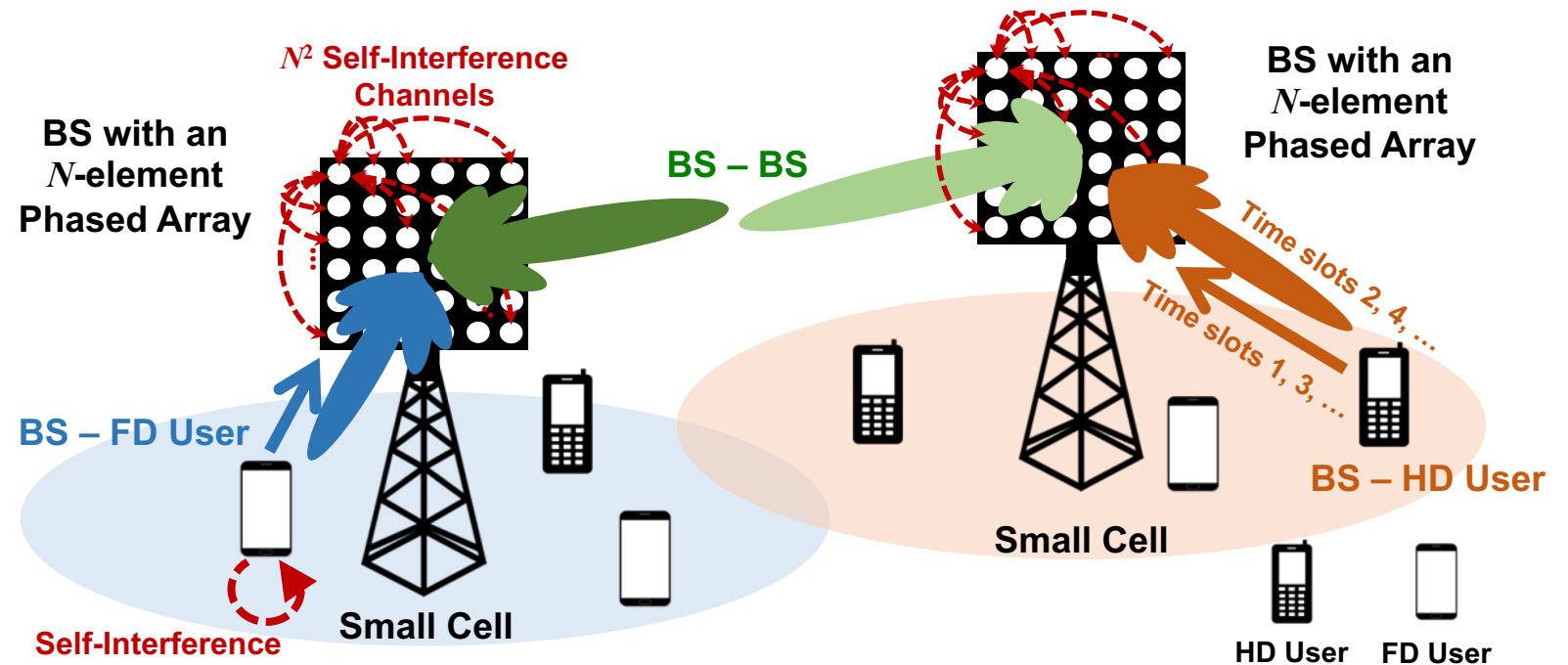
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- **Question:** How can the BS FD phased array achieve wideband RF self-interference cancellation?
- A single-antenna **user** is HD- or FD-capable [Zhou et al. 2017] [Chen et al. 2019]



# Network Scenarios and Objective

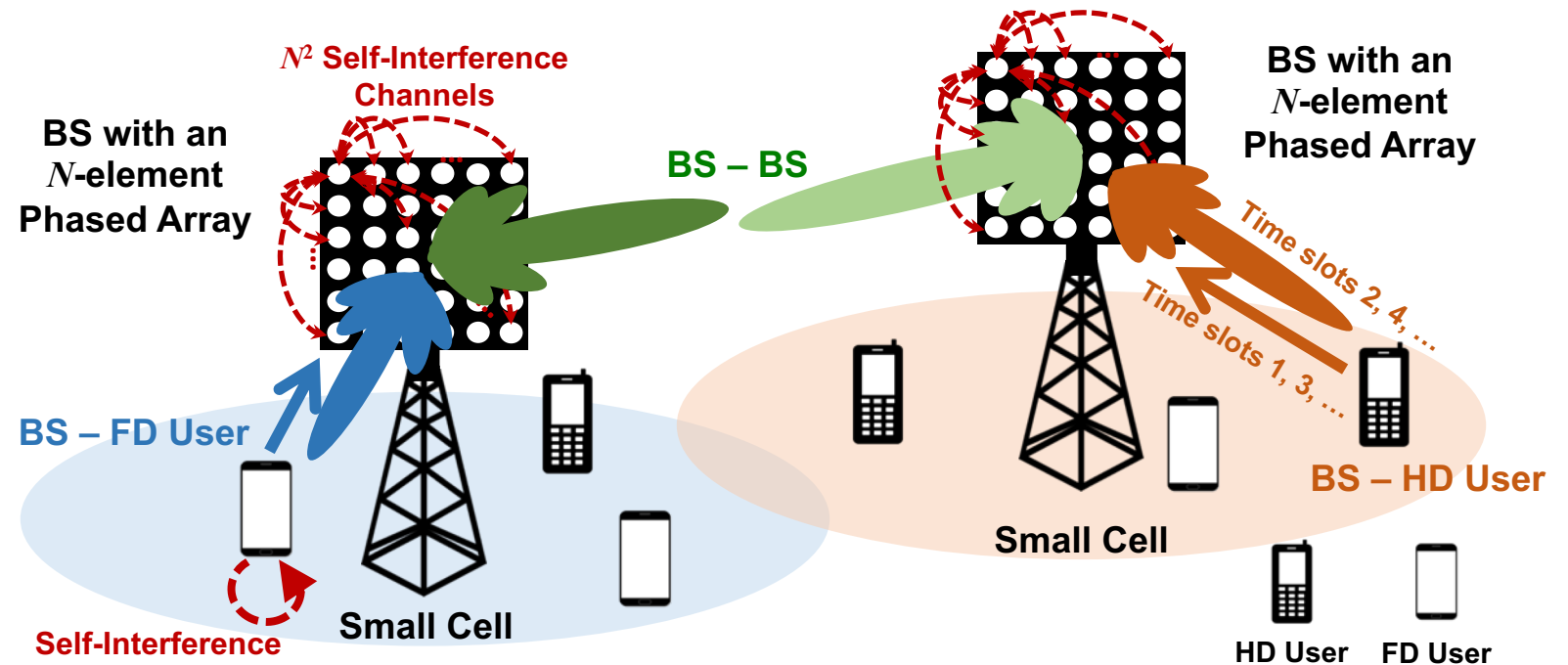
- (1) Case **BS – User**: uplink-downlink transmissions in **HD** or **FD** mode
- (2) Case **BS – BS**: bi-directional transmissions in **HD** or **FD** mode



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- (1) Case **BS – User**: uplink-downlink transmissions in **HD** or **FD** mode
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- **Goal**: Achieve (i) wideband RF self-interference cancellation at the BS, (ii) improved FD rate gains
- **Solution**: Manipulate Tx and Rx analog BF weights (a.k.a., analog beamformers), i.e., *repurposing beamforming degrees of freedom in the spatial domain*

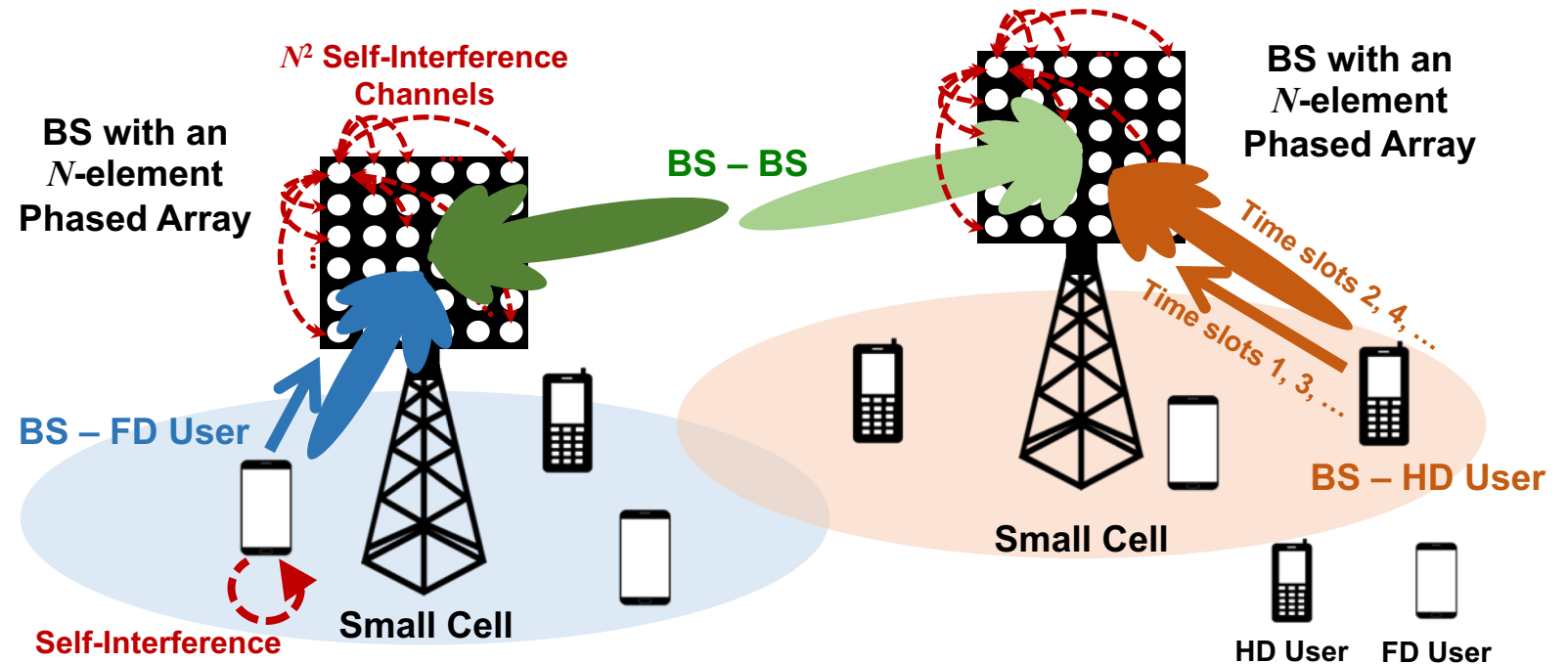


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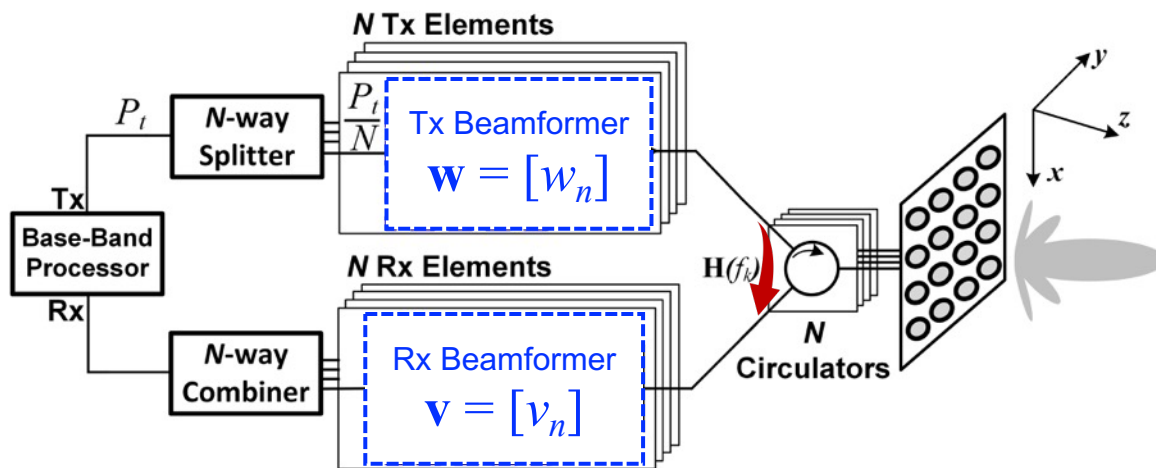
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- Benefits:
  - **No** special canceller hardware
  - **Reduced** system complexity, power consumption, and ADC dynamic range at Rx
  - **Wideband** nature
  - **Scalable** to large arrays



# Model: An $N$ -element Full-Duplex Phased Array

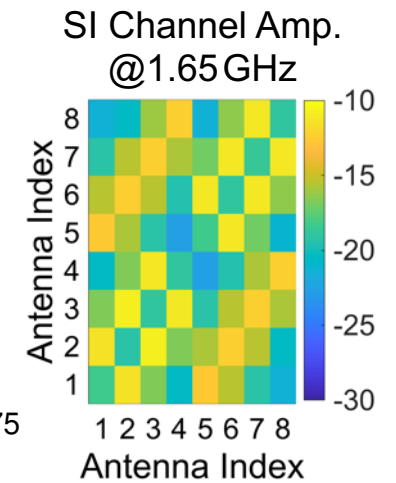
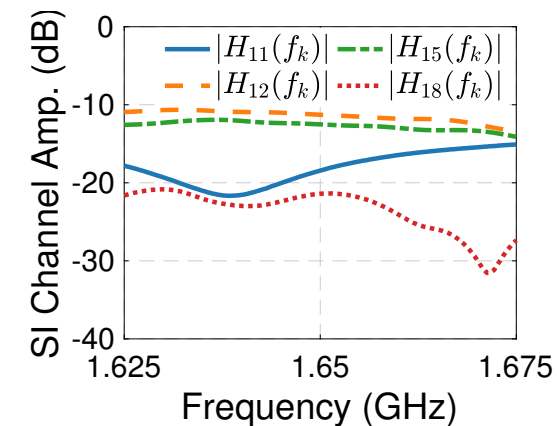
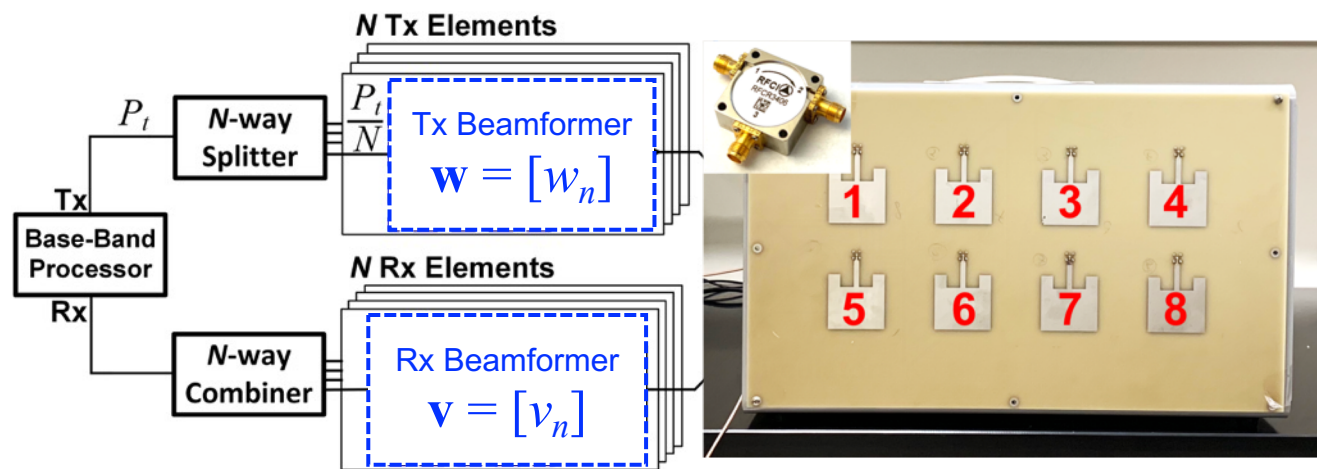
- Each antenna is shared between a pair of Tx and Rx elements via a circulator **(including circulators)**
- Self-interference (SI) channel matrix** in the  $k^{\text{th}}$  channel/sub-carrier:  $\mathbf{H}(f_k) = [H_{mn}(f_k)]$ ,  $k = 1, \dots, K$ 
  - In realistic environments,  $\mathbf{H}(f_k)$ ,  $\forall k$ , is **frequency-selective**, and is **neither symmetric nor Hermitian**





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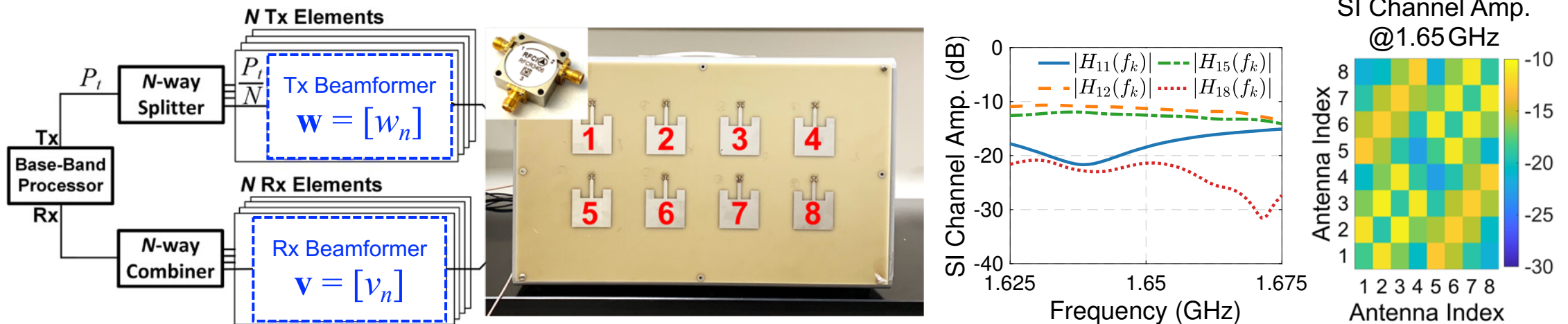
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- Self-interference-to-noise ratio (XINR)** at the FD BS ( $b$ ):

$$\gamma_{bb}(f_k) = \underbrace{P_t/N \cdot |\mathbf{v}^T \mathbf{H}(f_k) \mathbf{w}|^2}_{\text{Residual SI power after TxBF \& RxBF}} \cdot \underbrace{(\text{SIC}_{\text{dig}})^{-1}}_{\text{Digital SIC}} / \underbrace{P_{\text{nf}}}_{\text{Array noise floor}}, \forall k$$

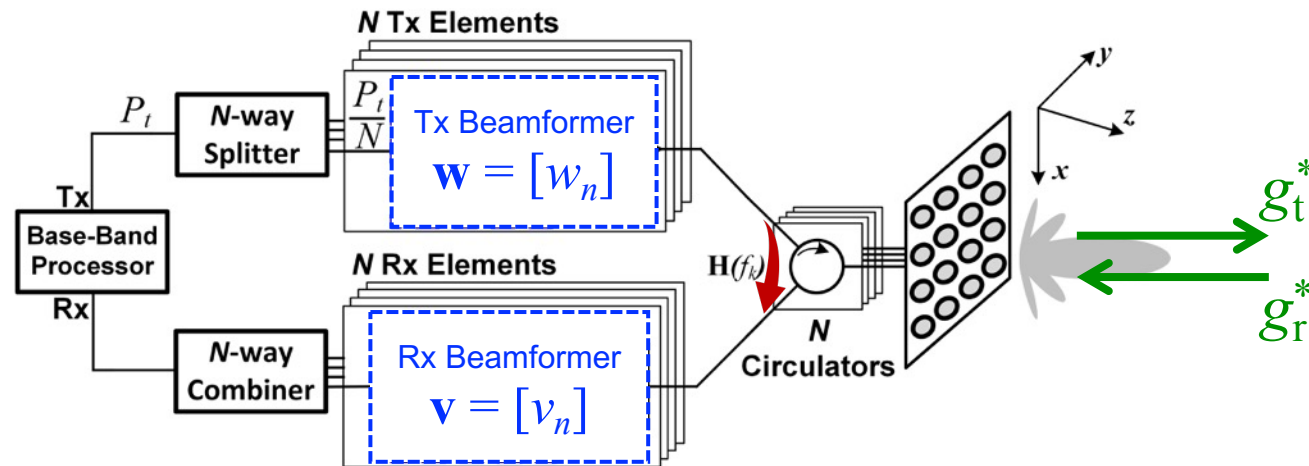
Residual SI power after TxBF & RxBF    Digital SIC    Array noise floor

- XINR at the (single-antenna) FD user ( $u$ ):  $\gamma_{uu}(f_k) \leq 1$  [Zhou et al. 2017] [Chen et al. 2019]



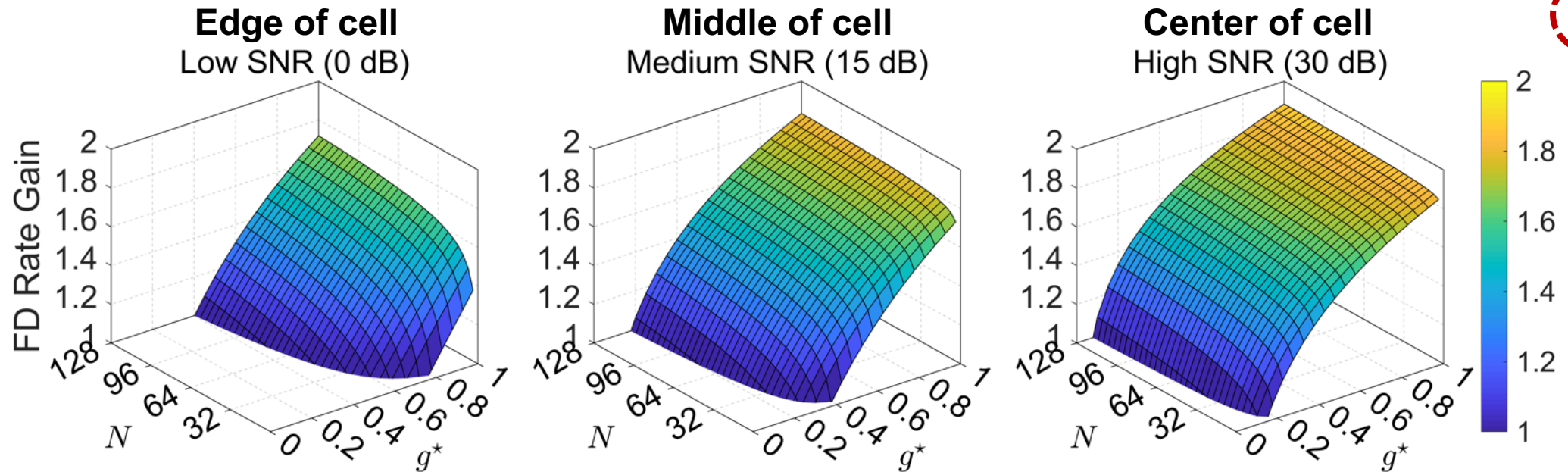
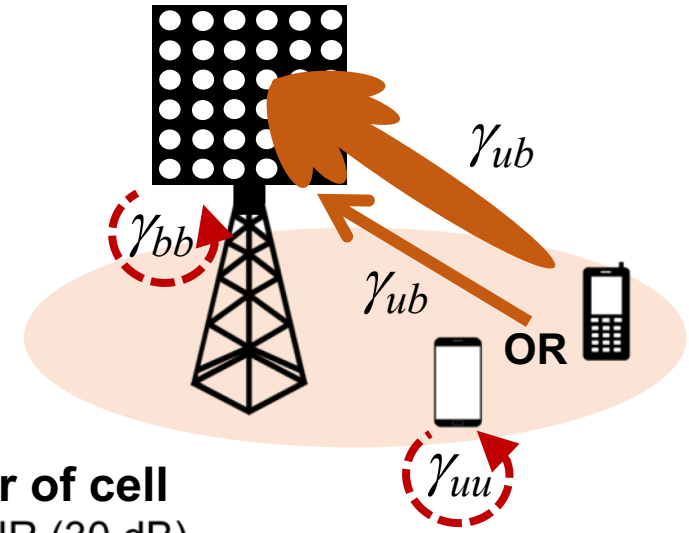
# Full-Duplex Beamforming (FD BF) Gains

- **DEFINITION (OPTIMAL FD TxBF AND RxBF GAINS):** For a FD phased array with  $\mathbf{H}(f_k)$  and  $P_t$ , the optimal FD TxBF and RxBF gains,  $g_t^*$  and  $g_r^*$ , are the maximum TxBF and RxBF gains that can be achieved with  $\gamma_{bb}(f_k) \leq 1, \forall k$ .
- **DEFINITION (TxBF AND RxBF GAIN LOSSES):** The TxBF gain loss is the ratio between the maximum HD TxBF gain and the optimal FD TxBF gain, i.e.,  $N / g_t^*$ . Similarly, the RxBF gain loss is  $N / g_r^*$ .
  - E.g., 3 dB TxBF gain loss  $\rightarrow g_t^* = N/2$



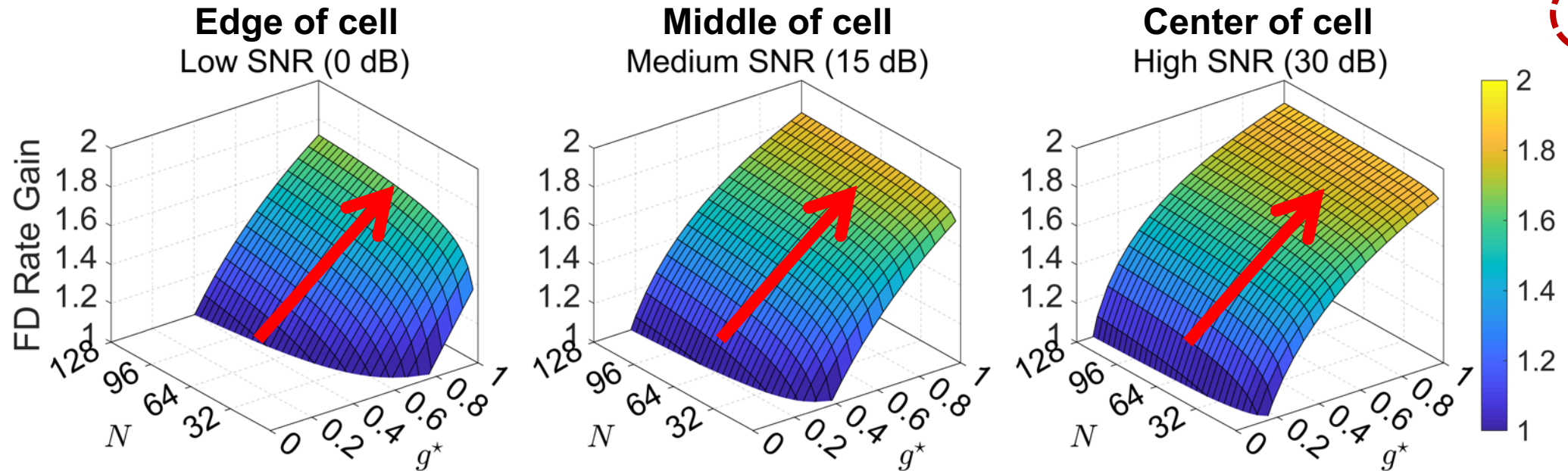
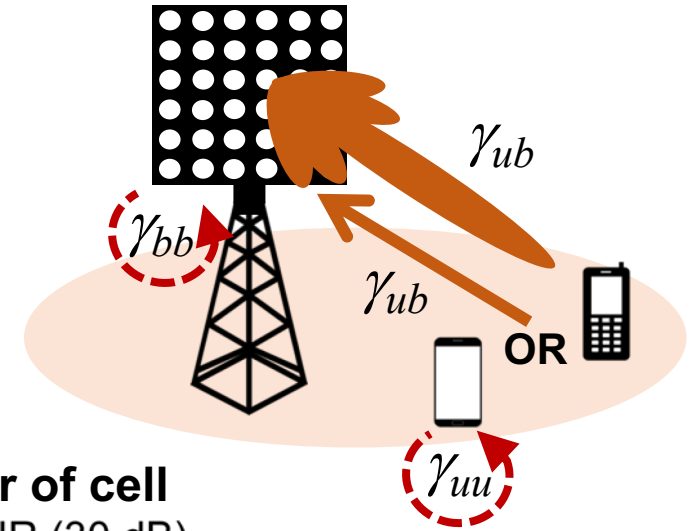
# Motivating Examples

- BS – User case with  $g_t^* = g_r^* = g^*$
- Uplink and downlink sum rate computed using Shannon capacity formula



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- BS – User case with  $g_t^* = g_r^* = g^*$
- Uplink and downlink sum rate computed using Shannon capacity formula
- FD rate gain increases w.r.t.  $N$  and the optimal FD BF gain  $g^*$



For a given phased array, maximizing the FD rate gain is equivalent to maximizing the FD TxBF and RxBF gains. Therefore, the goal is to maximize  $g^*$  subject to that XINR  $\gamma_{bb}(f_k) \leq 1, \forall k$



# Problem Formulation

- **OBJECTIVE:** Maximize FD TxBF and RxBF gains
- **CONSTRAINTS:** (i) Normalized Tx and Rx beamformers, (ii) wideband RF self-interference cancellation

$$(\mathbf{OPT-TxRx}) \ g^* = \max_{\mathbf{w}, \mathbf{v}}: \{ g \}$$

$$\text{s.t.: } G(\phi_t, \theta_t) = g, \ G(\phi_r, \theta_r) = g, \quad (\text{TxBF/RxBF gain in the main Tx/Rx beam-pointing direction})$$

$$|w_n| \leq 1, \ |v_n| \leq 1, \ \forall n, \quad (\text{normalized TxBF and RxBF weights})$$

$$\gamma_{bb}(f_k) = P_t/N \cdot |\mathbf{v}^T \mathbf{H}(f_k) \mathbf{w}|^2 / SIC_{\text{dig}} \leq P_{\text{nf}}, \ \forall k. \quad (\text{XINR} \leq 1 \text{ across wideband})$$

- Essentially, the Tx and Rx beamformers,  $\mathbf{w}$  and  $\mathbf{v}$ , are **repurposed** such that the phased array self-interference signal is canceled to below the noise floor with minimal TxBF and RxBF gain losses



# Problem Formulation

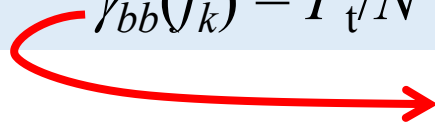
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$$|\mathbf{v}^T \mathbf{H}(f_k) \mathbf{w}|^2 \leq \beta, \forall k$$

**Non-convex**

- Essentially, the Tx and Rx beamformers,  $\mathbf{w}$  and  $\mathbf{v}$ , are **repurposed** such that the phased array self-interference signal is canceled to below the noise floor with minimal TxBF and RxBF gain losses

# An Iterative Algorithm

- **Key Observation**: with a fixed Rx beamformer,  $\mathbf{v}$

$$\left| \mathbf{v}^T \mathbf{H}(f_k) \mathbf{w} \right|^2 = (\mathbf{v}^T \mathbf{H}(f_k) \mathbf{w})^\dagger \cdot (\mathbf{v}^T \mathbf{H}(f_k) \mathbf{w}) = \mathbf{w}^\dagger \cdot \underbrace{\left( \mathbf{H}^\dagger(f_k) \mathbf{v}^* \mathbf{v}^T \mathbf{H}(f_k) \right)}_{\substack{:= \mathbf{H}_v(f_k) \\ \text{[}\cdot\text{]}^\dagger: \text{Hermitian operator}}} \cdot \mathbf{w}$$

***Hermitian and Positive Semidefinite***

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$[\cdot]^\dagger$ : Hermitian operator

**Hermitian and Positive Semidefinite**

- Decompose (**OPT-TxRx**) into two **convex** sub-problems that can be solved **iteratively**
  - In the  $(\kappa + 1)^{\text{th}}$  iteration, (**ITER-Tx/Rx**) simultaneously maximize and balances TxBF and RxBF gains
  - Step size  $\{\alpha_k\}$ : convergence speed vs. balance between TxBF and RxBF gains

**(ITER-Tx)**

$$g_t^{(\kappa+1)} = \max_{\mathbf{w}}: \{ g_t - \alpha_{\kappa+1} \cdot (g_t - g_r^{(\kappa)})^2 \}$$

$$\text{s.t.: } G(\phi_t, \theta_t) = g_t, |w_n| \leq 1, \forall n,$$

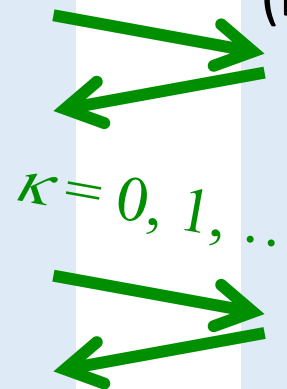
$$\mathbf{w}^\dagger \cdot \mathbf{H}_{v(\kappa)}(f_k) \cdot \mathbf{w} \leq \beta, \forall k.$$

**(ITER-Rx)**

$$g_r^{(\kappa+1)} = \max_{\mathbf{v}}: \{ g_r - \alpha_{\kappa+1} \cdot (g_r - g_t^{(\kappa+1)})^2 \}$$

$$\text{s.t.: } G(\phi_r, \theta_r) = g_r, |v_n| \leq 1, \forall n,$$

$$\mathbf{v}^\dagger \cdot \mathbf{H}_{w(\kappa)}(f_k) \cdot \mathbf{v} \leq \beta, \forall k.$$



# Main Results: Performance Analysis

- **MONOTONICITY OF TXBF AND RXBF GAINS:** With given initial Tx and Rx beamformers,  $\mathbf{w}^{(0)}$  and  $\mathbf{v}^{(0)}$ , and step size,  $\{\alpha_k\}$ , under the iterative algorithm, it holds that:

$$g_t^{(k+1)} \geq g_t^{(k)}, g_r^{(k+1)} \geq g_r^{(k)}, \forall k.$$

(ITER-TX)

$$g_t^{(k+1)} = \max_{\mathbf{w}}: \{ g_t - \alpha_{k+1} \cdot (g_t - g_r^{(k)})^2 \}$$

$$\text{s.t.: } G(\phi_t, \theta_t) = g_t, |w_n| \leq 1, \forall n,$$

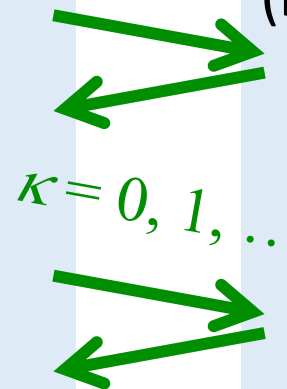
$$\mathbf{w}^\dagger \cdot \mathbf{H}_{\mathbf{v}^{(k)}}(f_k) \cdot \mathbf{w} \leq \beta, \forall k.$$

(ITER-RX)

$$g_r^{(k+1)} = \max_{\mathbf{v}}: \{ g_r - \alpha_{k+1} \cdot (g_r - g_t^{(k+1)})^2 \}$$

$$\text{s.t.: } G(\phi_r, \theta_r) = g_r, |v_n| \leq 1, \forall n,$$

$$\mathbf{v}^\dagger \cdot \mathbf{H}_{\mathbf{w}^{(k)}}(f_k) \cdot \mathbf{v} \leq \beta, \forall k.$$



# Main Results: Performance Analysis

- **MONOTONICITY OF TXBF AND RXBF GAINS**: With given initial Tx and Rx beamformers,  $\mathbf{w}^{(0)}$  and  $\mathbf{v}^{(0)}$ , and step size,  $\{\alpha_k\}$ , under the iterative algorithm, it holds that:

$$g_t^{(k+1)} \geq g_t^{(k)}, g_r^{(k+1)} \geq g_r^{(k)}, \forall k.$$

- **TERMINATION CONDITION**:  $\max \{g_t^{(k+1)} - g_t^{(k)}, g_r^{(k+1)} - g_r^{(k)}\} \leq \delta$

- **CONVERGENCE SPEED**: The iterative algorithm will terminate in at most  $N/\delta$  iterations since  $g_t, g_r \leq N$

(ITER-TX)

$$g_t^{(k+1)} = \max_{\mathbf{w}}: \{ g_t - \alpha_{k+1} \cdot (g_t - g_r^{(k)})^2 \}$$

$$\text{s.t.: } G(\phi_t, \theta_t) = g_t, |w_n| \leq 1, \forall n,$$

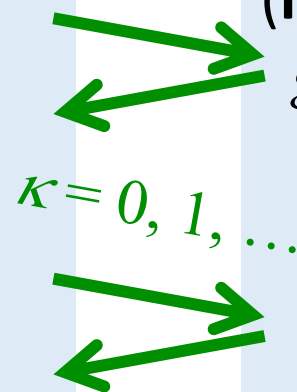
$$\mathbf{w}^\dagger \cdot \mathbf{H}_{\mathbf{v}^{(k)}}(f_k) \cdot \mathbf{w} \leq \beta, \forall k.$$

(ITER-RX)

$$g_r^{(k+1)} = \max_{\mathbf{v}}: \{ g_r - \alpha_{k+1} \cdot (g_r - g_t^{(k+1)})^2 \}$$

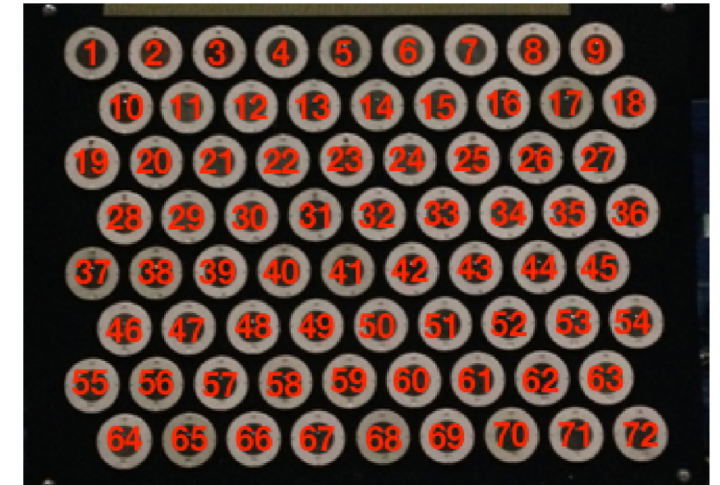
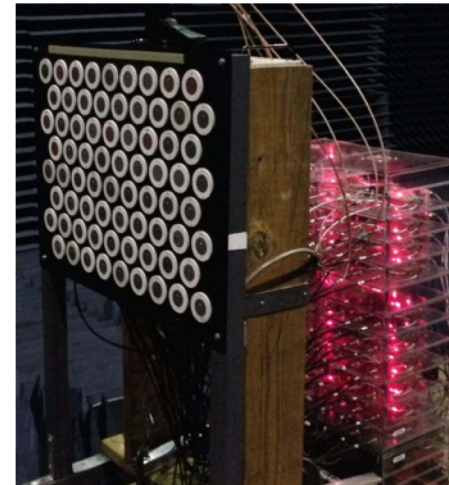
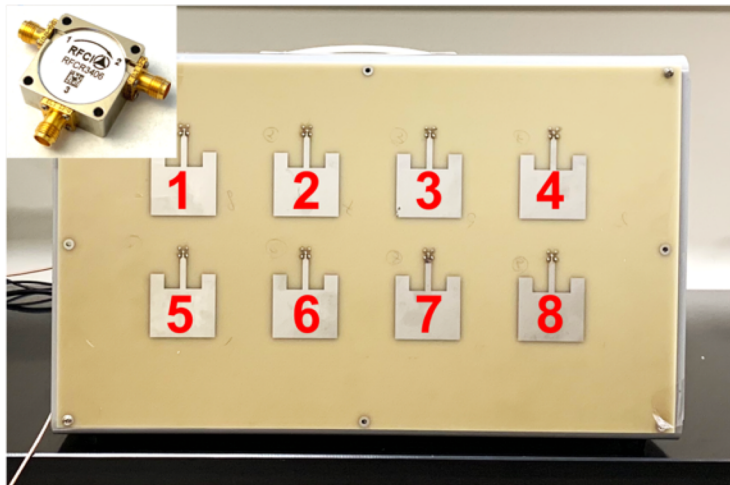
$$\text{s.t.: } G(\phi_r, \theta_r) = g_r, |v_n| \leq 1, \forall n,$$

$$\mathbf{v}^\dagger \cdot \mathbf{H}_{\mathbf{w}^{(k)}}(f_k) \cdot \mathbf{v} \leq \beta, \forall k.$$



# Evaluation – Measurements and Traces

- A custom-designed 1.65 GHz 8-element rectangular array with circulators
  - $N = 8$ ,  $B = \{10, 20, \dots, 50\}$  MHz
  - Varying signal bandwidth,  $B$
- The Rice Argos 2.4 GHz 72-element hexagonal array
  - Integrate circulators into the FD SI channel measurement dataset [Everett et al. 2016]
  - $B = 20$  MHz,  $N = \{9, 18, \dots, 72\}$
  - Varying  $N$  and antenna array geometries



The self-interference channel matrix,  $\mathbf{H}(f_k)$ ,  $\forall k$ , is ***neither symmetric nor Hermitian***



# Evaluation – Setup and Benchmarks

- Tx power: up to +30 dBm, digital SIC: 40 dB, Rx element noise floor: −90 dBm, step size:  $\alpha_k = 1/\kappa^2$
- Considered schemes:
  - 1) Conventional HD BF (**Conv**): conjugate BF
  - 2) Optimal joint FD BF (**Opt**): solving (**OPT-TxRx**) using a non-linear solver
  - 3) Iterative FD BF (**Iter**): iteratively solving (**ITER-Tx**) and (**ITER-Rx**) using CVX ( $\delta = 0.01$ )

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- (**Iter**) vs. (**Opt**): Runtime improvements and achieved FD rate gains
  - (**OPT-TxRx**): non-convex
  - (**ITER-Tx**) and (**ITER-Rx**): convex, converges in <10 iterations

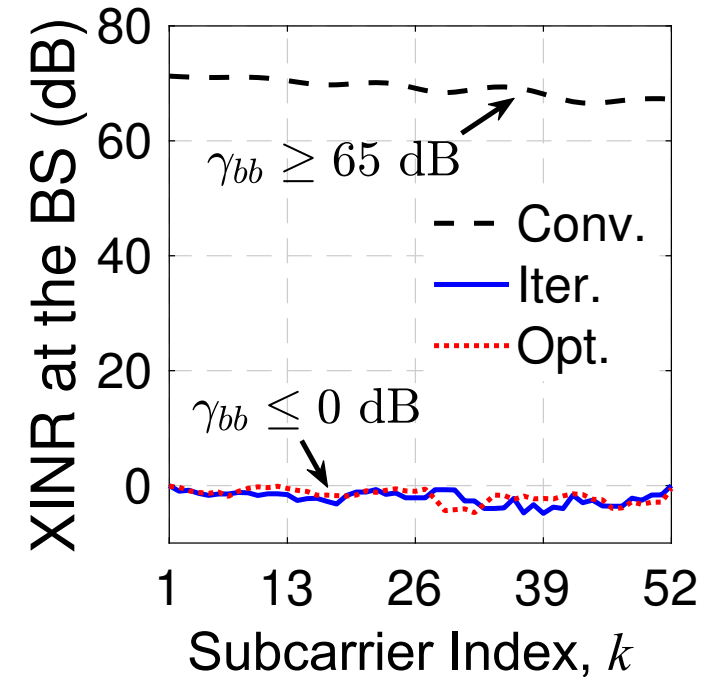
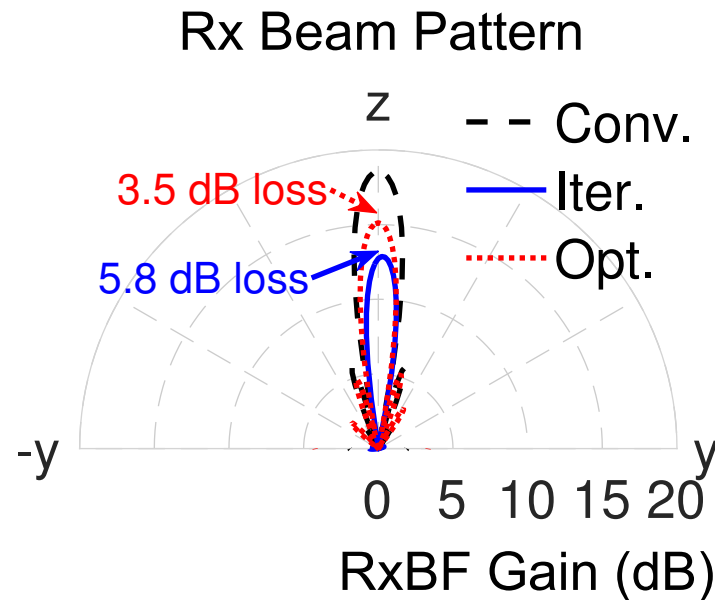
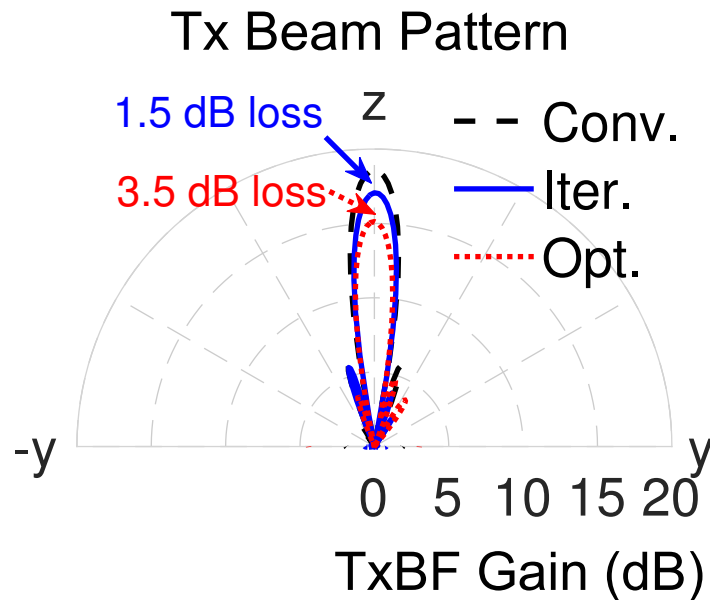
$N$	9	18	27	36	45	54	63	72
Runtime Improvements	0.99x	1.72x	2.41x	2.12x	2.70x	3.18x	5.51x	6.00x

$N$	9	18	27	36	45	54	63	72
Ratio b/w achieved FD Rate Gains	0.93	0.97	0.98	0.99	>0.99	>0.99	>0.99	>0.99

# Evaluation – RF Self-Interference Cancellation

Conjugate HD BF Gain:  $10 \log_{10}(72) = 18.6 \text{ dB}$

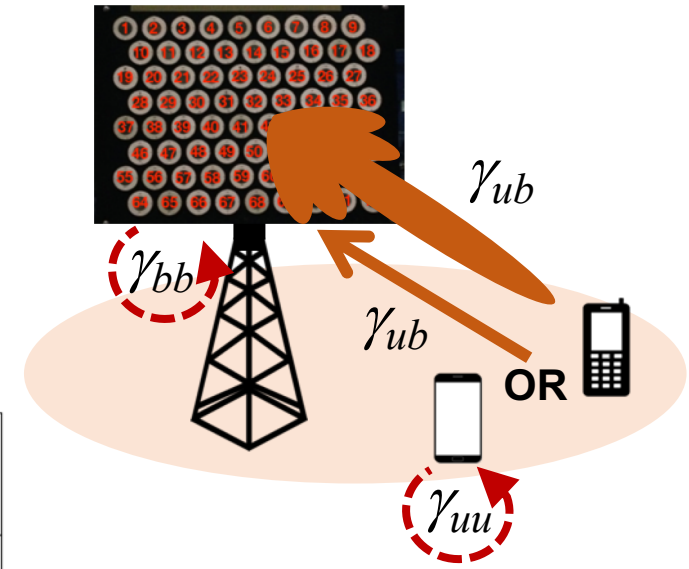
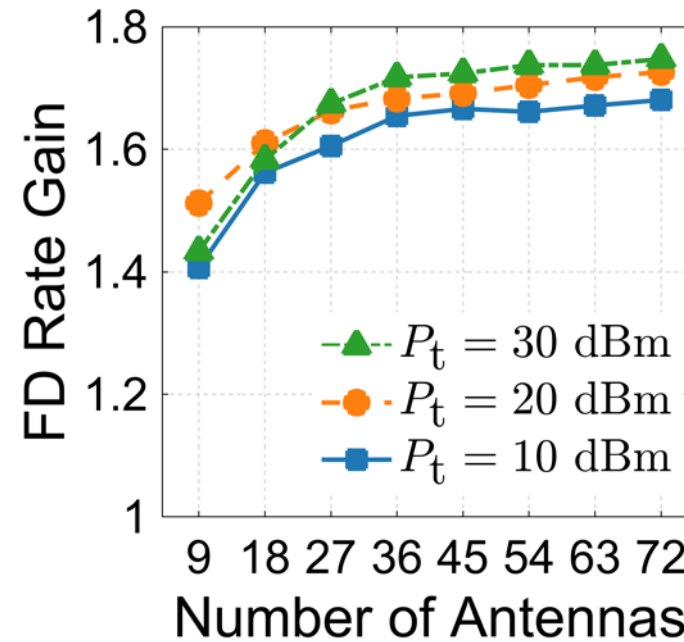
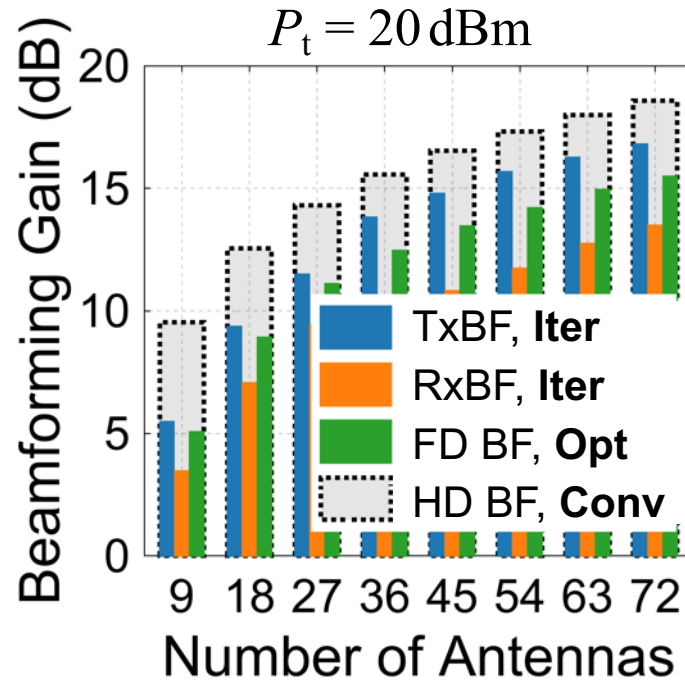
- Tx and Rx beam patterns and beamforming gains with  $N = 72$ ,  $P_t = 30 \text{ dBm}$ ,  $B = 20 \text{ MHz}$



- TxBF/RxBF gain loss of **1.5/5.8 dB** → **over 65 dB** RF self-interference cancellation across **20 MHz** bandwidth
- This translates to an FD rate gain of **1.69/1.75/1.79 x** at **0/15/30 dB** link SNR

# Evaluation – Effects of $N$ and $P_t$

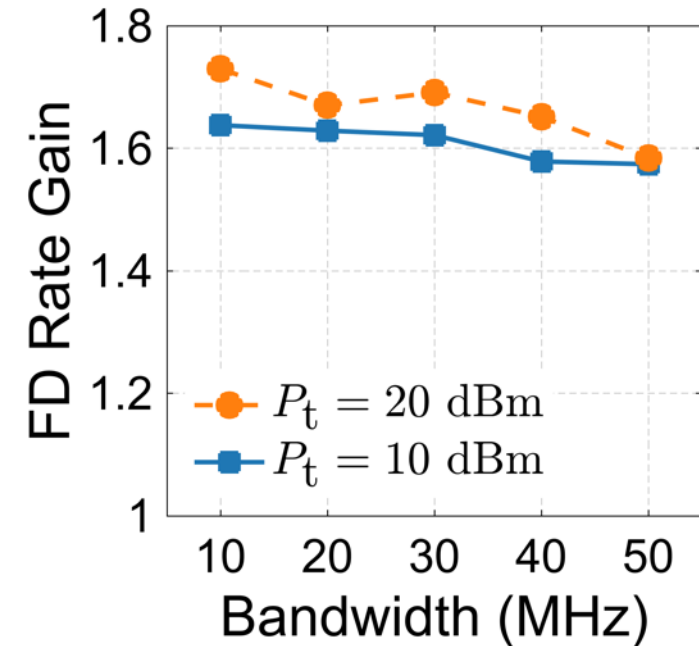
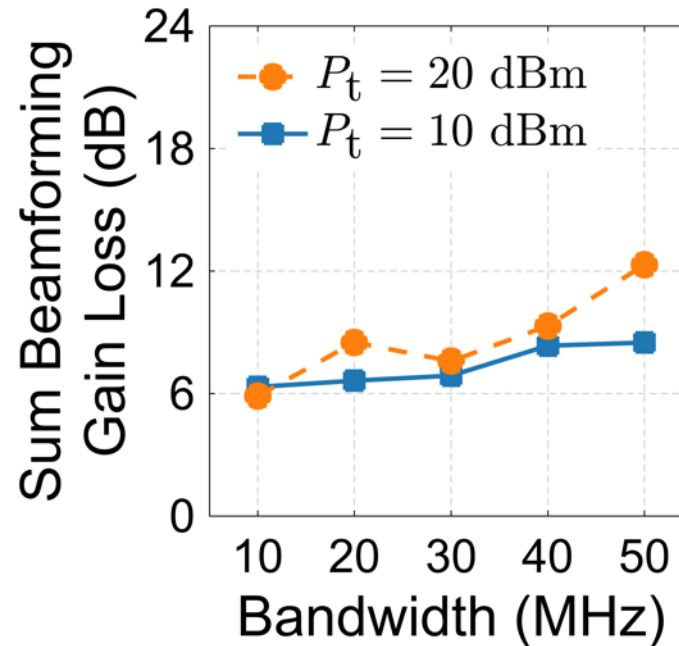
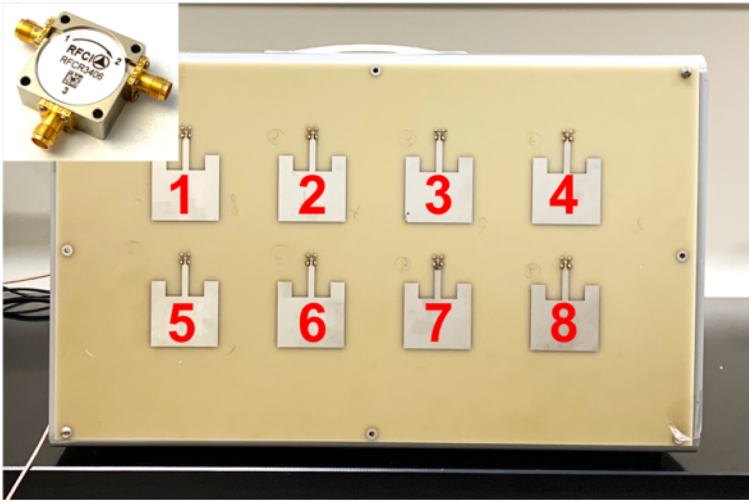
- $N = \{9, 18, \dots, 72\}$  with  $B = 20$  MHz



- Larger values of  $N \rightarrow$  smaller FD TxBF and RxBF losses (*more BF degrees of freedom can be repurposed*)
- Larger values of  $N$  and higher Tx power  $P_t \rightarrow$  higher FD rate gains

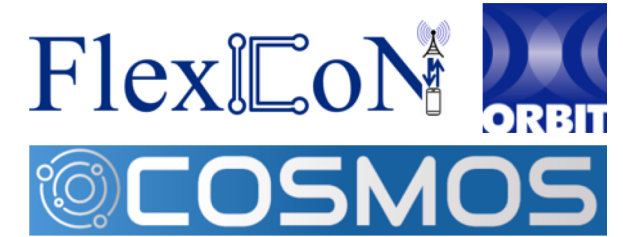
# Evaluation – Effects of Bandwidth, $B$

- $N = 8, B = \{10, 20, \dots, 50\}$  MHz



- Sum TxBF and RxBF gain loss of **12.3 dB** at  $P_t = 20$  dBm and with  $B = 50$  MHz
- Correspond to FD rate gains of at least **1.57x**

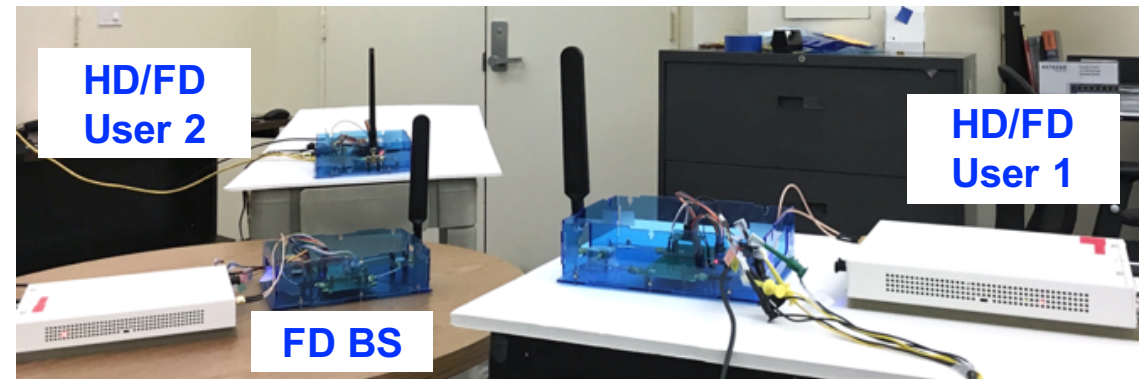
# The Columbia FlexICoN Project



- **Full-Duplex** Wireless: From **I**ntegrated **C**ircuits to **N**etworks (FlexICoN)
  - Focus on IC-based implementations of single- and multi-antenna full-duplex radios
  - Full-duplex radio/system development, algorithm design, and experimental evaluation
  - Integration of full-duplex capability in the open-access ORBIT and city-scale PAWR COSMOS testbeds



**A programmable Gen-1 full-duplex node installed in ORBIT**



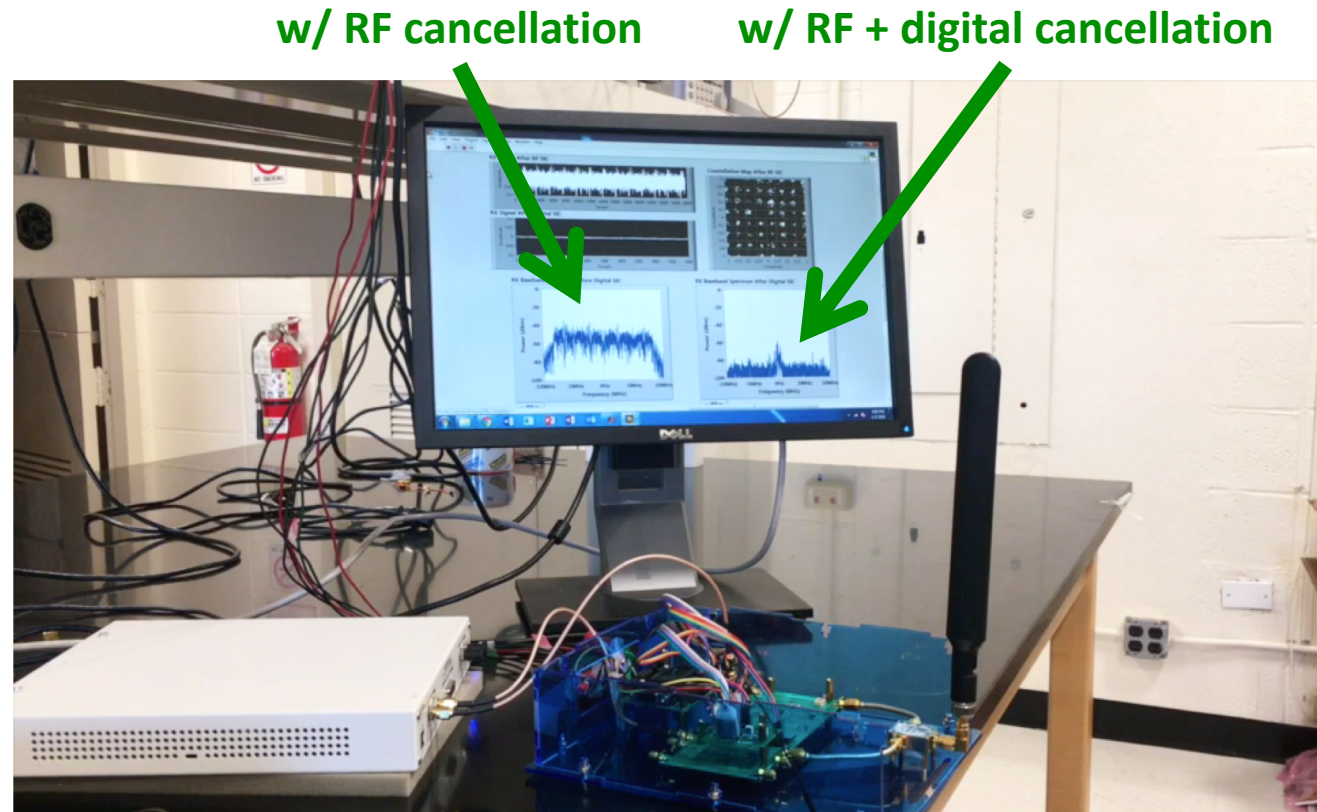
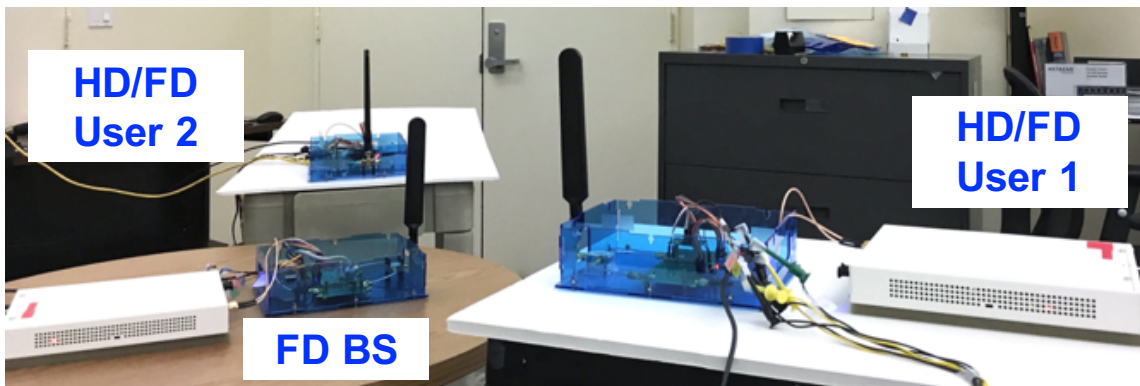
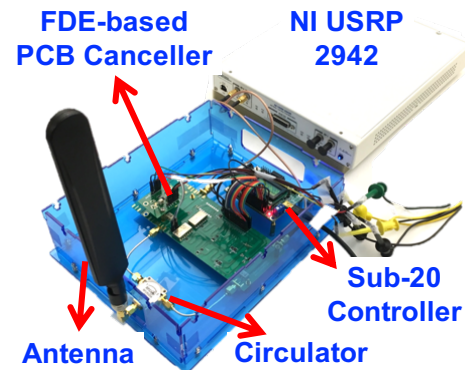
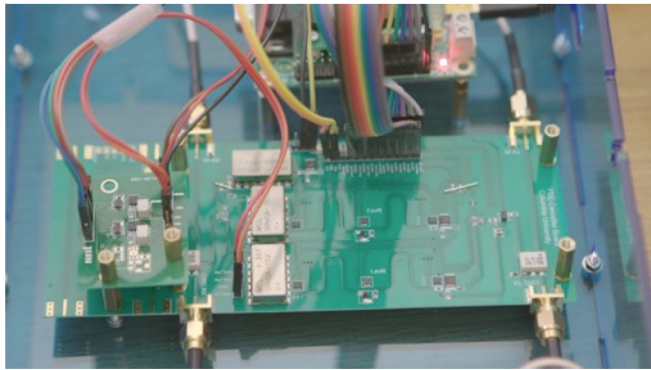
**Gen-2 wideband full-duplex radios and testbed**

- **T. Chen**, M. Baraani Dastjerdi, J. Zhou, H. Krishnaswamy, and G. Zussman, "Wideband full-duplex wireless via frequency-domain equalization: Design and experimentation," in *Proc. ACM MobiCom'19 (to appear)*, 2019.
- **T. Chen**, J. Diakonikolas, J. Ghaderi, and G. Zussman, "Hybrid scheduling in heterogeneous half- and full-duplex wireless networks," in *Proc. IEEE INFOCOM'18*, 2018.
- **T. Chen**, M. Baraani Dastjerdi, G. Farkash, J. Zhou, H. Krishnaswamy, and G. Zussman, "Open-access full-duplex wireless in the ORBIT testbed," *arXiv preprint arXiv:1801.03069v2*, 2018.
- "Tutorial: Full-duplex wireless in the ORBIT testbed," available at <http://www.orbit-lab.org/wiki/Tutorials/k0SDR/Tutorial25>
- "Open-access full-duplex wireless in the ORBIT testbed: Instructions and code," available at [https://github.com/Wimnet/flexicon\\_orbit](https://github.com/Wimnet/flexicon_orbit)



# Gen-2 Wideband Full-Duplex Radios and Testbed

- Total self-interference cancellation: **95 dB** (RF + digital) with **20 MHz** bandwidth, up to **108 Mbps** data rate
- Full-duplex: average link rate gain of **1.87x**, average network rate gain is **93%** of the analytical value



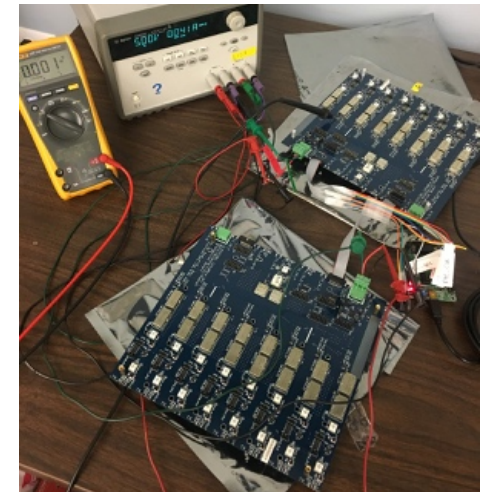
- **T. Chen**, M. Baraani Dastjerdi, J. Zhou, H. Krishnaswamy, and G. Zussman, "Wideband compact full-duplex wireless via frequency-domain equalization: Design and experimentation," in *Proc. ACM MobiCom'19 (to appear)*, 2019.



# Summary

- FD phased arrays achieving wideband RF self-interference cancellation and improved FD rate gains via repurposing Tx and Rx analog beamformers (i.e., spatial degrees of freedom)
- An efficient iterative algorithm for obtaining the optimal Tx and Rx beamformers in the FD setting with provable performance guarantees
- Performance evaluation using measurements and traces
- Future directions:
  - Extension to large-scale FD MIMO/hybrid MIMO-phased array systems
  - Experimental evaluation using existing/customized full-duplex testbeds
  - Integration in the open-access city-scale PAWR COSMOS testbed

**16-element phased array  
using discrete components**



# Thank you!

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<http://www.ee.columbia.edu/~tc2668>

**Tingjun Chen**, Mahmood Baraani Dastjerdi, Harish Krishnaswamy, and Gil Zussman,  
“Wideband Full-Duplex Phased Array with Joint Transmit and Receive Beamforming:  
Optimization and Rate Gains”.