

UNIVERSITY OF TECHNOLOGY SYDNEY  
Faculty of Engineering and Information Technology

**Signal Processing for Joint Communication and  
Radar Sensing Techniques in Autonomous  
Vehicular Networks**

by

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A THESIS SUBMITTED  
IN PARTIAL FULFILLMENT OF THE  
REQUIREMENTS FOR THE DEGREE

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## Certificate of Authorship/Originality

I, Yuyue Luo declare that this thesis, is submitted in fulfilment of the requirements for the award of Doctor of Philosophy, in the School of Electrical and Data Engineering at the University of Technology Sydney.

This thesis is wholly my own work unless otherwise reference or acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis. This document has not been submitted for qualifications at any other academic institution.

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of the requirements for a degree at any other academic institution except as fully acknowledged within the text. This thesis is the result of a Collaborative Doctoral Research Degree program with University of Electronic Science and Technology of China.

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# ABSTRACT

## **Signal Processing for Joint Communication and Radar Sensing Techniques in Autonomous Vehicular Networks**

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Yuyue Luo

Joint communication and radar (radio) sensing (JCAS, also known as Radar-Communications) technology is promising for autonomous vehicular networks, for its appealing capability of realizing communication and radar sensing functions in an integrated system. Millimeter wave (mmWave) band has great potential for JCAS, and such mmWave systems often require the use of steerable array radiation beams. Therefore, beamforming (BF) is becoming a demanding feature in JCAS. Multibeam technology enables the use of two or more subbeams in JCAS systems, to meet different requirements of beamwidth and pointing directions. Generating and optimizing multibeam subject to the requirements is critical and challenging, particularly for systems using analog arrays.

In this thesis, we investigate the BF techniques for JCAS, addressing the following two issues:

1. The multibeam generation and optimization for JCAS, considering both communication and sensing performance;
2. BF generation in the presence of hardware imperfections in mmWave JCAS systems, particularly those associated with quantized phase shifters, and the radiation characteristics of antenna arrays.

Regarding the first issue, we mainly study two classes of multibeam generation methods: 1) the optimal combination of two pre-generated subbeams, and their BF vectors, using a combining phase coefficient; 2) global optimization methods

which directly find solutions for a single BF vector. For the optimal combination problems, we firstly study the communication-focused optimization in two typical scenarios. We also develop constrained optimization problems, considering both the communication and sensing performances. Closed-form solutions for the optimal combination coefficient are provided in these works. We also formulate several global optimization problems and managed to provide near-optimal solutions to the original intractable complex NP-hard optimization problems, using semidefinite relaxation (SDR) techniques.

Towards the second issue, we firstly study the quantization of the BF weight vector with the use of phase shifters. We focus on the two-phase-shifter array, where two phase shifters are used to represent each BF weight. We propose novel joint quantization methods by combining the codebooks of the two phase shifters. Analytically, the mean squared quantization error (MSQE) is derived for various quantization methods. We also propose BF methods by embedding the active pattern of antennas in the robust BF algorithms: 1) the diagonal loading and 2) the worst-case performance optimization algorithms. With the use of a more accurate array model, these methods can significantly reduce performance degradation caused by inconsistency between hypothesized ideal array models and practical ones.

# Dedication

To my parents Xianzhi Yu and Rui Luo.

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# List of Publications

## 0.1 Publications Related to This Thesis

### Journal Papers

- J-1. **Y. Luo**, J. Andrew Zhang, X. Huang, W. Ni, and J. Pan, “Optimization and Quantization of Multibeam Beamforming Vector for Joint Communication and Radio Sensing,” in *IEEE Trans. Commun.*, vol. 67, no. 9, pp. 6468-6482, 2019.
- J-2. **Y. Luo**, J. Pan, J. A. Zhang, and S. Huang “Worst-Case Performance Optimization Beamformer with Embedded Array’s Active Pattern,” in *Int. J. of Antennas and Propagat.*, vol. 2018, Article ID 9237321.
- J-3. **Y. Luo**, J. Andrew Zhang, X. Huang, W. Ni, and J. Pan, “Multibeam Optimization for Joint Communication and Radio Sensing Using Analog Antenna Arrays,” submitted to *IEEE Trans. Veh. Technol.*.

### Conference Papers

- C-1. **Y. Luo**, J. A. Zhang, S. Huang, J. Pan, and X. Huang, “Quantization with Combined Codebook for Hybrid Array Using Two-Phase-Shifter Structure,” *IEEE Int. Conf. on Commun. (ICC 2019)*, May 20-24, 2019.
- C-2. **Y. Luo**, J. A. Zhang, W. Ni, J. Pan, and X. Huang, “Constrained Multibeam Optimization for Joint Communication and Radio Sensing,” *IEEE Global Communi. Conf. (GLOBECOM 2019)*, Dec. 9-13, 2019.
- C-3. **Y. Luo**, S. Huang, J. Pan, “A New Robust Beamforming Algorithm: Embedding Array’s Active Pattern in Diagonal Loading Method,” *IEEE Asia-Pac. Microwave Conf. (APMC 2017)*, Nov. 13-16, 2017.

## 0.2 Other Publications

- J-4 S. Huang, P. Jin, **Y. Luo**, and Deqiang Yang, “Single-Source Surface Integral Equation Formulations for Characteristic Modes of Fully Dielectric-Coated Objects,” in *IEEE Trans. Antennas Propagat.*, vol. 67, no. 7, pp. 4914 - 4919, 2019.
- J-5 S. Huang, P. Jin, and **Y. Luo**, “Investigations of Non-Physical Characteristic Modes of Material Bodies,” in *IEEE ACCESS*, pp: 17198-17204, Mar. 2018.
- J-6 S. Huang, P. Jin, and **Y. Luo**, “Study on the Relationships between Eigenmodes, Natural Modes, and Characteristic Modes of Perfectly Electric Conducting Bodies,” in *Int. J. of Antennas and Propagat.*, vol. 2018, Article ID 8735635.
- J-7 Y. Wang, J. Hu, **Y. Luo**, “A Terahertz Tunable Waveguide Bandpass Filter Based on Bimorph Microactuators,” in *IEEE Microwave Wireless Compon. Lett.*, vol. 29, no. 2, pp. 110 - 112, 2019.
- J-8 B. Ma, P. Jin, E. Wang, and **Y. Luo**, “Conformal Bent Dielectric Resonator Antennas With Curving Ground Plane,” in *IEEE Trans. Antennas Propagat.*, vol. 67(3), pp: 1931-1936, Mar. 2019.
- J-9 B. Ma, P. Jin, E. Wang, and **Y. Luo**, “Fixing and Aligning Methods for Dielectric Resonator Antennas in K Band and Beyond,” in *IEEE ACCESS*, pp: 12638-12646 , Jan. 2019.

# Contents

|   |          |
|---|----------|
| Certificate   | ii       |
| Abstract  | iii      |
| Dedication  | v        |
| Acknowledgments   | vi       |
| List of Publications  | ix       |
| 0.1 Publications Related to This Thesis . . . . .             | ix       |
| 0.2 Other Publications . . . . .                              | x        |
| List of Figures   | xv       |
| Abbreviation  | xix      |
| Notation  | xxii     |
| <b>1 Introduction</b>   | <b>1</b> |
| 1.1 Background . . . . .                                      | 1        |
| 1.2 Motivations and Objectives . . . . .                      | 2        |
| 1.3 Approach and Contribution . . . . .                       | 3        |
| 1.4 Thesis Organization . . . . .                             | 4        |
| <b>2 Literature Review</b>                                    | <b>6</b> |
| 2.1 Introduction . . . . .                                    | 6        |
| 2.2 Dual-Functional Communication and Radar Sensing . . . . . | 10       |
| 2.2.1 Embedding Radar Function to Communication Waveform . .  | 10       |

|          |   |           |
|----------|---|-----------|
| 2.2.2    | Embedding Communication Function to Radar Waveform . . .                            | 14        |
| 2.2.3    | Joint Communication and Radar Waveform Design . . . . .                             | 16        |
| 2.3      | BF Techniques for JCAS . . . . .  | 18        |
| 2.3.1    | Comparison of BF Architectures . . . . .  | 18        |
| 2.3.2    | Hardware Related BF Problems . . . . .  | 20        |
| <b>3</b> | <b>System Model and Multibeam Generation for JCAS</b>                               | <b>24</b> |
| 3.1      | JCAS System Architecture, Protocol and Signal Model . . . . .                       | 24        |
| 3.1.1    | System Architecture and Protocol . . . . .  | 25        |
| 3.1.2    | Formulation of Signal Model . . . . .   | 28        |
| 3.1.3    | Subbeam-combination for Multibeam Generation . . . . .                              | 29        |
| 3.2      | Communication-focused Optimal Phase Alignment for JCAS . . . . .                    | 34        |
| 3.2.1    | Impact of Combining Coefficient . . . . .   | 34        |
| 3.2.2    | Optimal Solution when $\mathbf{H}$ is Known at Transmitter . . . . .                | 35        |
| 3.2.3    | Optimal Solution when Only the Dominating AoD is Known<br>at Transmitter . . . . .  | 38        |
| 3.2.4    | Simulation Results . . . . .  | 41        |
| 3.3      | Summary . . . . .   | 43        |
| <b>4</b> | <b>Joint Multibeam Optimization for JCAS</b>  | <b>45</b> |
| 4.1      | Constrained Optimal Combination for Pre-generated Subbeams . . . .                  | 46        |
| 4.1.1    | Maximizing Received Signal Power with Constraints on<br>Scanning Waveform . . . . . | 46        |
| 4.1.2    | Optimizing Scanning Subbeam with Constraint on Received<br>Signal Power . . . . .   | 54        |
| 4.2      | Global Optimization for $\mathbf{w}_t$ . . . . .                                    | 57        |

|          |  |           |
|----------|--|-----------|
| 4.2.1    | Maximizing Received Signal Power with Constraints on BF Waveform . . . . . | 58        |
| 4.2.2    | Constrained Optimization of BF Waveform . . . . .                          | 64        |
| 4.2.3    | Complexity of Global Optimization . . . . .                                | 65        |
| 4.3      | Simulation Results . . . . .   | 66        |
| 4.3.1    | Simulation Setup . . . . .   | 67        |
| 4.3.2    | Results . . . . .  | 68        |
| 4.4      | Summary . . . . .  | 72        |
| <b>5</b> | <b>Quantization of Multibeam BF vectors</b>                                | <b>73</b> |
| 5.1      | Analog BF System with Phase Shifters . . . . .                             | 73        |
| 5.2      | Joint Quantization Using Combined Quantization Codebooks . . . . .         | 76        |
| 5.2.1    | Generation of Combined Codebook . . . . .                                  | 76        |
| 5.2.2    | Quantization with Optimized Scaling Factor . . . . .                       | 79        |
| 5.2.3    | Simulation Results . . . . .   | 81        |
| 5.3      | Quantization Error Analysis . . . . .                                      | 84        |
| 5.3.1    | 1-PS Array . . . . .   | 85        |
| 5.3.2    | 2-PS with Parallel Structure Using Separate Quantization . . . . .         | 85        |
| 5.3.3    | 2-PS with Serial Structure Using Separate Search . . . . .                 | 87        |
| 5.3.4    | 2-PS Using Joint Quantization . . . . .                                    | 88        |
| 5.3.5    | Comparison of MSQE for Different Quantization Methods . . . . .            | 91        |
| 5.4      | Summary . . . . .  | 93        |
| <b>6</b> | <b>Robust BF Methods with Embedded Active Patterns of Array</b>            | <b>95</b> |
| 6.1      | Signal Model and Improved Array Steering Vector . . . . .                  | 95        |

|          |   |            |
|----------|---|------------|
| 6.1.1    | Signal Model . . . . .  | 95         |
| 6.1.2    | Improved Array Steering Vector . . . . .  | 96         |
| 6.2      | Beamformers with Embedded Active Pattern of Antennas . . . . .  | 99         |
| 6.2.1    | Diagonal Loading Beamformer with Embedded Active<br>Pattern of the Array . . . . .                    | 100        |
| 6.2.2    | Worst-Case Performance Optimization Beamformer with<br>Embedded Active Pattern of the Array . . . . . | 105        |
| 6.2.3    | The Prospect of the AP Based Methods in mmWave<br>Applications . . . . .                              | 108        |
| 6.3      | Summary . . . . .   | 110        |
| <b>7</b> | <b>Conclusions</b>  | <b>112</b> |
| 7.1      | Summary . . . . .   | 112        |
| 7.2      | Future Work . . . . .   | 114        |
|          | <b>Bibliography</b>   | <b>116</b> |

# List of Figures

|     |   |    |
|-----|---|----|
| 2.1 | A vehicular network on an urban road. . . . .   | 7  |
| 3.1 | Block diagram of the basic transceiver that uses two analog arrays.<br>The two arrays are mainly used for suppressing leakage signal from<br>the transmitter to the receiver so that the receiver can operate all<br>the time. . . . .              | 25 |
| 3.2 | Procedure of communications and sensing in a point-to-point<br>connection scenario. Communication is in the TDD mode. . . . .   | 27 |
| 3.3 | Example of two separately generated subbeams and the combined<br>multibeam using Method 1 in [1]. Communication subbeam points<br>at 0 degree, and scanning subbeam points at -12.3 (top subfigure)<br>and 10.8 (bottom subfigure) degrees. . . . . | 32 |
| 3.4 | Normalized signal power at the receiver (Rx) and at the dominating<br>AoD versus combining phase $\varphi$ for a fixed sensing subbeam pointing<br>at $10.8^\circ$ , for a random channel realization. . . . .                                      | 43 |
| 3.5 | Normalized mean received signal power versus power distribution<br>factor $\rho$ for optimized $\varphi$ when the sensing subbeam points to $10.8^\circ$ . . .  | 44 |
| 3.6 | Averaged normalized received signal power for different combining<br>coefficients when the sensing subbeam points to various directions. . .  | 44 |

|     |   |    |
|-----|---|----|
| 4.1 | BF waveform (radiation pattern) when the scanning subbeam points at $5.01^\circ$ . For “MaxRxP-SG”, “MaxRxP-SP”, “MaxSG-RxP”, and “MaxSP-RxP”, $C_s = 0.9$ , $C_{sp} = 0.9$ , and $C_p = 0.725$ , respectively. For the methods constraining the power of the scanning subbeam, the integral range $(\theta_{s2} - \theta_{s1})$ is $8.59^\circ$ (3dB beamwidth). . . . .   | 69 |
| 4.2 | For constrained multibeam generating methods, BF performance with varying bounds for the constraints. The scanning beam points to $-6.45^\circ$ . . . . .   | 70 |
| 4.3 | Normalized received signal power for communications and MSE of the scanning BF waveform for different BF methods when the scanning subbeam points to various directions. The scanning subbeams point to $-23.63^\circ$ , $-17.90^\circ$ , $-12.18^\circ$ , $-6.45^\circ$ , $5.01^\circ$ , $10.74^\circ$ , $16.47^\circ$ , $22.20^\circ$ , respectively. The values of $C_s$ , $C_{sp}$ , $C_p$ and $(\theta_{s2} - \theta_{s1})$ are the same as those in Fig. 4.1. . . . . | 71 |
| 4.4 | Normalized received signal power and MSE of BF waveform with varying number of paths $L_p$ when the scanning beam points to $-18.21^\circ$ . The other settings are the same as those for Fig. 4.3. For “P <sub>1</sub> : RxP-SG”, $C_s = 0.9$ . . . . .  | 72 |
| 5.1 | Optional parallel and serial structures with two phase shifters. . . . .  | 74 |
| 5.2 | Constellation of codebook $\mathcal{C}$ via $\phi$ when $b_1 = b_2 = 2$ . . . . .   | 78 |
| 5.3 | Constellation of codebook $\mathcal{C}$ via varying $b_1$ and $b_2$ , when $\phi = \Delta_{\beta_2}/2$ . . . . .  | 78 |
| 5.4 | BF radiation pattern for different number of quantization bits. The scanning beam points to $-12.3^\circ$ . . . . .   | 82 |
| 5.5 | Comparison of normalized received signal power for 2-PS using IGSS-Q method and 1-PS using FBND method with the same number of 6 total quantization bits. . . . .   | 83 |



|     |   |     |
|-----|---|-----|
| 5.6 | BER for different methods with $b = 4$ (quantization bits) and the sensing subbeam pointing at $-12.3^\circ$ . . . . .  | 84  |
| 5.7 | Constellation plot used for analyzing $d_{\max}$ for Codebook 2 ( $b = 3$ ). . .  | 89  |
| 5.8 | MSQE versus number of quantization bits for various quantization schemes. . . . .   | 94  |
| 6.1 | A miniature circular microstrip array. The center frequency of each right-hand circular polarized element is $f_0 = 1.268$ GHz. The dielectric substrate has RDP of $\epsilon_r = 20$ and LT of $\tan \delta = 0.004$ . The metal working platform is elliptical, with a $2a \approx 0.28\lambda = 134\text{mm}$ major axis and a $2b \approx 0.26\lambda = 121$ mm minor axis. The radius of the array is $r = 0.16\lambda = 38$ mm and the inter-element spacing is $d = 0.23\lambda = 54$ mm. Each antenna is set at an inclined angle of $\theta_w = 5^\circ$ on the workbench. . . . . | 98  |
| 6.2 | The simulated active patterns of the antenna array. . . . .   | 99  |
| 6.3 | Steering vector mismatches (norm of the difference) under different situations: a. The position mismatch of element 1 ( $+2\text{mm}$ along axis y); b. Working platform mismatch ( $2a = 136\text{mm}$ ); c. 1) The RDP mismatch of element 1 ( $\epsilon_r = 20.3$ ); 2) The LT mismatch of element 1 ( $\tan \delta = 0.005$ ). . . . .  | 100 |
| 6.4 | Output SINR versus antenna elements' position. Element 1 is moved along the y axis from $-2\text{mm}$ to $2\text{mm}$ , $1$ mm at a time. . . . .   | 102 |
| 6.5 | Output SINR versus the size of the working platform. The length of the major axis of the elliptical platform varies from $132\text{mm}$ to $136\text{mm}$ . . . . .   | 103 |
| 6.6 | Output SINR versus the RDP of the substrate. The RDP of Element 1 varies from $19.6$ to $20.4$ . . . . .  | 103 |
| 6.7 | Output SINR versus the LT of the substrate. The LT of each element varies from $0.0005$ to $0.005$ . . . . .  | 104 |

|      |   |     |
|------|---|-----|
| 6.8  | Output SINR versus training data size for SNR=25 dB. . . . .  | 105 |
| 6.9  | Output SINR versus SNR for training data size of $N = 100$ . . . . .  | 105 |
| 6.10 | Output SINR versus the position of antenna elements. Element 1 is<br>moved along the y axis from -2 mm to 2 mm, 1 mm at a time. . . . .   | 107 |
| 6.11 | Output SINR versus the size of the working platform. The length of<br>the major axis of the elliptical platform varies from 132 mm to 136<br>mm. . . . .  | 107 |
| 6.12 | Output SINR versus the RDP of the substrate. The RDP of<br>Element 1 varies from 19.6 to 20.4. . . . .  | 108 |
| 6.13 | Output SINR versus the LT of the substrate. The LT of each<br>element varies from 0.0005 to 0.005. . . . .  | 108 |
| 6.14 | Output SINR versus training data size for SNR=25 dB. . . . .  | 109 |
| 6.15 | Output SINR versus SNR for training data size of $N = 100$ . . . . .  | 109 |
| 6.16 | A mmWave ULA based on microstrip structure. The antennas are<br>spaced at half wavelength along the x-axis. The center frequency of<br>each element is $f_0 = 60$ GHz. The dielectric substrate<br>(RT/duroid5880) has thickness of $127\mu m$ , RDP of $\varepsilon_r = 2.2$ , and LT<br>of $\tan \delta = 0.0009$ . . . . . | 110 |
| 6.17 | Simulated active patterns for some antenna elements. . . . .  | 111 |
| 6.18 | Output SINR with varying substrate's RDP from 2.16 to 2.24. . . . .   | 111 |

# Abbreviation

1-PS - One-Phase-Shifter

2-PS - Two-Phase-Shifter

AoA: Angle of Arrival

AoD: Angle of Departure

AP: Active Pattern

APDL: Active Pattern embedded Diagonal Loading

APWC: Active Pattern Worst-Case

AWGN: Additive White Gaussian Noise

BER - Bit Error Rate

BF - Beamforming

CRB - Cramér–Rao bound

CRPS - Communication Reception and Passive Sensing

CTAS - Communication Transmission and Active Sensing

DFCS - Dual-functional Communication and Radar Sensing

DL - Diagonal Loading

DoA - Direction of Arrival

DSRC - Dedicated Short Range Communication

DSSS - Direct Sequence Spread Spectrum

EC-R - Embedding Communication function in Radar waveform

ER-C - Embedding Radar function in Communication waveform

FBND - Fast Block Noncoherent Decoding

GLRT - Generalized Likelihood Ratio Test

GSM - Global System for Mobile Communications

ILS: Iterative Least Square

INR: Interference-to-Noise-Ratio

ISM: Industrial, Scientific and Medical

JCAS: Joint Communication and Radar Sensing

JCR: Joint Communication and Radar waveform design

LGSS: Improved Golden Section Search

LGSS-Q: Improved Golden Section Search-Quantization

LOS: Line-of-Sight

LT: Loss Tangent

LSMI: Loaded Sample Matrix Inversion

MFCW: Multiple Frequency Continuous Wave

MIMO: Multi input multi output

MSE - Mean Squared Error

MSQE - Mean Squared Quantization Error

NLOS: Non-Line-of-Sight

NP-hard: Non-deterministic Polynomial-time hard

OFDM - Orthogonal Frequency Division Multiplexing

PBR - Passive Bistatic Radar

PSK - Phase-shift Keying

QAM - Quadrature Amplitude Modulation

QCQP - Quadratically Constrained Quadratic Programs

RDP - Relative Dielectric Permittivity

RCC - Radar-communication Coexistence

RF - Radio Frequency

Rx - Receive

SDR - Semidefinite Relaxation

SDP - Semidefinite Programming

SINR - Signal-to-Interference-plus-Noise Ratio

SLL - Sidelobe Level

SNR - Signal-to-Noise Ratio

SMI - Sample Matrix Inversion

SVD: Singular value decomposition

TDD - Time Division Duplex

Tx - Transmit

ULA: Uniform Linear Array

V2V: Vehicle-to-vehicle

V2I: Vehicle-to-everything

V2P: Vehicle-to-pedestrian

V2X: Vehicle-to-everything

WAVE: Wireless Access in Vehicular Environments

WCRB: Worst-Case performance optimization Robust Beamformer

# Nomenclature and Notation

Bold lower-case alphabets denote column vectors.

Bold Capital letters denote matrices.

$(\cdot)^H$ ,  $(\cdot)^*$ ,  $(\cdot)^T$ ,  $(\cdot)^{-1}$ , and  $(\cdot)^\dagger$  denote the Hermitian transpose, conjugate, transpose, inverse, and pseudo-inverse, respectively.

$|\cdot|$  and  $\|\cdot\|$  denote the element-wise absolute value and the Euclidean norm, respectively.

$E(\cdot)$  denotes the expected value.

$\arg(\cdot)$  denotes the argument of a complex number.  $\arg \max$  and  $\arg \min$  denote arguments of the maxima and the minimum, respectively.

$\Re\{\cdot\}$  and  $\Im\{\cdot\}$  denote the real and imaginary part of a complex variable, respectively.

$\mathbb{R}^n$  and  $\mathbb{S}^n$  denote the set of all real  $n \times n$  matrices and real symmetric  $n \times n$  matrices, respectively.