

Learned ChEster

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This article presents the channel estimation algorithm proposed by the team “Learned ChEster” (which stands for learned channel estimator) for the ML5G-PHY [mmWave MIMO channel estimation] challenge. The key innovations in the solution include (a) a fast greedy search for dimensionality reduction integrated with the high-performing sparse Bayesian learning; (b) delay-domain thresholding for denoising; (c) off-grid effects modeling for recovering angle-of-arrival (AoA) and angle-of-departure (AoD) outside the quantized beamspace; and (d) exploiting sparsity in both beamspace and delay domains.

We first set down the notation used in this report. The operator $(\cdot)^*$ represents the conjugate transpose or conjugate for a matrix or a scalar respectively. $\bar{\mathbf{A}}$ denotes conjugate of a matrix \mathbf{A} . The probability density function (pdf) of a complex Gaussian random variable x with mean μ and variance σ^2 is denoted by $\mathcal{CN}(x; \mu, \nu)$. $\text{blkdiag}(\cdot)$ represents blockdiagonal part of a matrix. $\text{diag}(\mathbf{X})$ or $\text{diag}(\mathbf{x})$ represents a vector obtained by the diagonal elements of the matrix \mathbf{X} or the diagonal matrix obtained with the elements of \mathbf{x} in the diagonal respectively. $\mathbf{A} \otimes \mathbf{B}$ denotes a Kronecker product of the matrices \mathbf{A} and \mathbf{B} . Tx denotes the transmitter and Rx denotes the receiver.

I. SYSTEM MODEL

In this section, we outline the problem formulation for the mmWave channel estimation challenge. We consider a single user equipment (UE) hybrid multi-carrier mmWave MIMO OFDM uplink with N_t transmit antennas at the user and N_r receive antennas at the base station (BS). The hybrid architecture involves L_t RF chains at the UE (transmitter) and L_r RF chains at the BS (receiver). We employ only RF precoding and combining during the channel estimation phase, and therefore the baseband digital precoding and combining matrices are set to \mathbf{I}_{L_t} and \mathbf{I}_{L_r} , respectively. Since there is no knowledge of channel during the initial access phase, we use random phase shifts for the analog precoder (denoted $\mathbf{F}_{\text{tr}} \in \mathcal{C}^{N_t \times L_t}$) and combiner (denoted $\mathbf{W}_{\text{tr}} \in \mathcal{C}^{N_r \times L_r}$), where the subscript tr stands for training. We denote the number of subcarriers by K . The system operates with uniform linear arrays (ULAs) at both the UE and BS with half wavelength spacing between consecutive antennas.

After RF combining, downconversion, cyclic prefix (or zero prefix) removal and DFT, the baseband signal received during

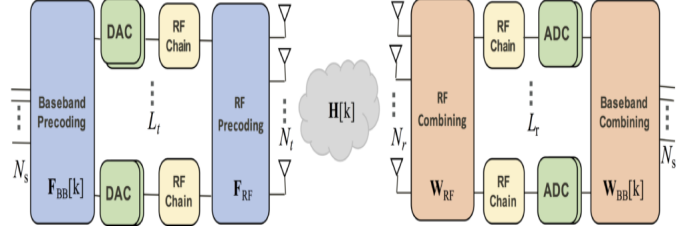


Fig. 1. Millimeter wave MIMO system based on a hybrid architecture. In the site-specific channel estimation challenge, the BS operates as receiver and the UE as transmitter.

the m^{th} pilot frame for the k^{th} subcarrier, denoted by $\mathbf{y}^{(m)}[k] \in \mathbb{C}^{L_r}$ is given by

$$\mathbf{y}^{(m)}[k] = \mathbf{W}_{\text{tr}}^{(m)*} (\mathbf{H}[k] \mathbf{F}_{\text{tr}}^{(m)} \mathbf{q}^{(m)} t^{(m)}[k] + \mathbf{n}^{(m)}[k]), \quad (1)$$

where $\mathbf{H}[k] \in \mathbb{C}^{N_r \times N_t}$ represents the frequency domain MIMO channel matrix for subcarrier k , $\mathbf{q}^{(m)} \in \mathbb{C}^{N_s \times 1}$ is the frequency flat pilot vector, and $t^{(m)}[k]$ is a frequency dependent pilot symbol. The noise vector $\mathbf{n}^{(m)}[k]$ is circularly symmetric complex Gaussian distributed with zero mean independent and identically distributed (i.i.d.) components of variance σ^2 , denoted by $\mathcal{CN}(\mathbf{0}, \sigma_n^2 \mathbf{I}_{N_r})$. Each entry of the transmit pilot $\mathbf{q}^{(m)}$ is selected as $\frac{1}{\sqrt{2L_t}}(a + jb)$, where $a, b \in \{-1, 1\}$ and are uniformly distributed. Note that $\|\mathbf{q}^{(m)}\|^2 = 1$ and hence the transmit SNR is defined as $\rho = \frac{1}{\sigma_n^2}$. For this challenge, the transmit power is kept constant throughout. More details on the channel model is provided in [1].

After vectorizing (1), and using the result $\text{vec}(\mathbf{AXB}) = (\mathbf{B}^T \otimes \mathbf{A})\text{vec}(\mathbf{X})$, we obtain

$$\text{vec}(\mathbf{y}^{(m)}[k]) = \underbrace{(\mathbf{q}^{(m)T} \mathbf{F}_{\text{tr}}^{(m)T} \otimes \mathbf{W}_{\text{tr}}^{(m)*})}_{\Phi^{(m)}} \text{vec}(\mathbf{H}[k]) + \mathbf{W}_{\text{tr}}^{(m)*} \mathbf{n}^{(m)}[k]. \quad (2)$$

Our goal is to estimate the channels $\mathbf{H}[k], k = 1, 2, \dots, K$ using the above received pilot signals.

A. Channel Model

The datasets provided for the challenge involve channels which are generated using the Raymobtime dataset available at <https://www.lasse.ufpa.br/raymobtime/>. The MIMO channel is assumed to be frequency selective, with delay tap length N_c

in the time domain. The d^{th} delay tap of the channel is modeled as a pathwise channel model with L paths as follows:

$$\mathbf{H}_d = \sum_{l=1}^L \alpha_l p(dT_s - \tau_l) a_R(\theta_l) a_T(\phi_l)^*, \quad (3)$$

where α_l represents the complex path coefficient, θ_l is the angle of arrival (AoA) at the BS side, ϕ_l is the angle of departure (AoD) from the UE side and $p(\tau)$ represents the pulse shaping filter. τ_l denotes the delay of the l^{th} path and there are L multipaths. T_s denotes the sampling time. The channel \mathbf{H}_d can be approximated using the virtual channel model [2]

$$\mathbf{H}_d = \mathbf{A}_R \Delta_d^v \mathbf{A}_T^*. \quad (4)$$

The matrix $\mathbf{A}_R \in \mathbb{C}^{N_r \times G_r}$ contains the Tx side antenna array response vectors evaluated at a grid of size G_r for the AoA, and the matrix $\mathbf{A}_T \in \mathbb{C}^{N_t \times G_t}$ contains the Rx side antenna array response vectors at a grid of size G_t for the AoD. Also, $\Delta_d^v \in \mathbb{C}^{G_r \times G_t}$ represents a sparse matrix with entries corresponding to the complex path coefficients $\alpha_l p(dT_s - \tau_l)$ at the locations where a path with corresponding AoA and AoD exists. Further, the frequency domain representation of the channel at subcarrier k can be written in terms of delay taps as follows.

$$\mathbf{H}[k] = \sum_{d=0}^{N_c-1} \mathbf{H}_d e^{-j2\pi \frac{kd}{K}} = \mathbf{A}_R \Delta^v[k] \mathbf{A}_T^*, \quad (5)$$

where

$$\Delta^v[k] = \sum_{d=0}^{N_c-1} \Delta_d^v e^{-j2\pi \frac{kd}{K}}. \quad (6)$$

Vectorizing $\mathbf{H}[k]$

$$\text{vec}(\mathbf{H}[k]) = (\bar{\mathbf{A}}_T \otimes \mathbf{A}_R) \text{vec}(\Delta^v[k]). \quad (7)$$

Further, defining $\Psi = \bar{\mathbf{A}}_T \otimes \mathbf{A}_R$ and $\mathbf{h}^v[k] = \text{vec}(\Delta^v[k])$ and substituting for $\text{vec}(\mathbf{H}[k])$ in (2), we get the received signal model as

$$\text{vec}(\mathbf{y}^{(m)}[k]) = \Phi^{(m)} \Psi \mathbf{h}^v[k] + \mathbf{W}_t^{(m)*} \mathbf{n}^{(m)}[k]. \quad (8)$$

We denote $\mathbf{W}_t^{(m)*} \mathbf{n}^{(m)}[k]$ as $\mathbf{n}^{(m)}[k]$ for convenience. By concatenating the RF combined signal of M training frames, we get

$$\underbrace{\begin{bmatrix} \mathbf{y}^{(1)}[k] \\ \vdots \\ \mathbf{y}^{(M)}[k] \end{bmatrix}}_{\mathbf{y}[k]} = \underbrace{\begin{bmatrix} \Phi^{(1)} \\ \vdots \\ \Phi^{(M)} \end{bmatrix}}_{\Phi} \Psi \mathbf{h}^v[k] + \underbrace{\begin{bmatrix} \mathbf{n}^{(1)}[k] \\ \vdots \\ \mathbf{n}^{(M)}[k] \end{bmatrix}}_{\mathbf{n}[k]}. \quad (9)$$

Now, by stacking the received signal of K subcarriers, we get the final system equation

$$\begin{aligned} \mathbf{Y} &= [\mathbf{y}[1] \quad \dots \quad \mathbf{y}[K]] \\ &= \Phi \Psi [\mathbf{h}^v[1] \quad \dots \quad \mathbf{h}^v[K]] + [\mathbf{n}[1] \quad \dots \quad \mathbf{n}[K]] \\ &= \Phi \Psi \mathbf{H}^v + \mathbf{N}. \end{aligned} \quad (10)$$

Now, our goal is to estimate \mathbf{H}^v given \mathbf{Y} and Φ . As the AoD/AoA are the same for all the subcarriers, \mathbf{H}^v has a joint row sparse structure, which we will utilize in our proposed solution.

II. PROPOSED APPROACH

In this section, we propose a model based approach using a compressed sensing (CS) framework to estimate the mmWave channel given the received pilot measurements and the frequency flat transmit vector. We integrate a greedy search procedure and a statistical inference method to estimate the channel. The algorithm consists of the following steps:

- 1) Preconditioning
- 2) Multi-level greedy search to obtain initial channel and dictionary estimates
- 3) Noise variance estimation
- 4) Bayesian learning to refine the channel and noise variance estimates
- 5) Channel estimate denoising

We provide a detailed description of each step below.

A. Preconditioning

Sparse signal recovery using greedy algorithms such as orthogonal matching pursuit (OMP) assume that the noise covariance matrix is diagonal, without which the algorithm may not select the atom that has the highest correlation with the received signal. Due to the RF combining using \mathbf{W}_t at the front end of the receiver, the noise becomes correlated. To counter the effect of \mathbf{W}_t , we use a noise whitening filter using the approach provided in [1] that diagonalizes the noise covariance matrix.

The noise covariance matrix before whitening is

$$\mathbb{E}[\mathbf{n}^{(i)}[k] \mathbf{n}^{(j)*}[k]] = \mathbf{W}_t^{(i)*} \mathbf{W}_t^{(j)} \delta[i - j] \quad (11)$$

$$\begin{aligned} \mathbf{C}_w &= \mathbb{E}[\mathbf{n}[k] \mathbf{n}^*[k]] \\ &= \text{blkdiag}\{\mathbf{W}_t^{(1)*} \mathbf{W}_t^{(1)}, \dots, \mathbf{W}_t^{(M)*} \mathbf{W}_t^{(M)}\}. \end{aligned} \quad (12)$$

We perform a Cholesky decomposition of \mathbf{C}_w to obtain $\mathbf{C}_w = \mathbf{D}_w^* \mathbf{D}_w$, where $\mathbf{D}_w \in \mathbb{C}^{ML_r \times ML_r}$ is upper triangular. We multiply the RF combined received signal (9) by \mathbf{D}_w^{-*} to obtain the noise whitened received signal:

$$\mathbf{y}_w[k] = \mathbf{D}_w^{-*} \mathbf{y}[k] = \mathbf{D}_w^{-*} \Phi \Psi \mathbf{h}^v[k] + \mathbf{D}_w^{-*} \mathbf{n}[k] \quad (13)$$

$$= \Upsilon_w \mathbf{h}^v[k] + \mathbf{D}_w^{-*} \mathbf{n}[k]. \quad (14)$$

Concatenating the noise whitened received signal of all the K subcarriers, we get

$$\begin{aligned} \mathbf{Y}_w &= [\mathbf{y}_w[1] \quad \dots \quad \mathbf{y}_w[K]] \\ &= \mathbf{D}_w^{-*} \Phi \Psi [\mathbf{h}^v[1] \quad \dots \quad \mathbf{h}^v[K]] + \mathbf{D}_w^{-*} [\mathbf{n}[1] \quad \dots \quad \mathbf{n}[K]] \\ &= \Phi_w \Psi \mathbf{H}^v + \mathbf{N}_w, \end{aligned} \quad (15)$$

where $\mathbf{Y}_w \in \mathbb{C}^{ML_r \times K}$, $\Upsilon_w \in \mathbb{C}^{ML_r \times G_t G_r}$, and $\mathbf{H}^v \in \mathbb{C}^{G_t G_r \times K}$. Thus, we need to estimate the row sparse matrix \mathbf{H}^v given \mathbf{Y}_w and Φ_w .

B. Multi-level Greedy Search

We obtain an initial channel estimate using multi-level greedy search procedure (MLGS) with a coarsely quantized beamspace dictionary. We adopt the simultaneously weighted orthogonal matching pursuit (SW-OMP) algorithm as our base algorithm to form an initial estimate of the channel [1]. As

the sparsifying dictionary is unknown a priori, we use row-truncated discrete Fourier transform matrices of size $N_t \times G_t$ and $N_r \times G_r$ as the transmit and receive array steering matrices, respectively. Let $\tilde{\Psi}$ be the initial sparsifying dictionary.

In the first step of MLGS, we select a column from $\tilde{\Psi}$ that is maximally correlated with the received signal. Mathematically,

$$\hat{i} = \arg \max_i \sum_{k=1}^K \left| \left(\Phi_w \tilde{\Psi} \right)^* \mathbf{y}_w[k] \right|^2, \quad (16)$$

where $|\cdot|$ denotes an element-wise modulus operation. Once we select \hat{i} , we extract AoD $\theta_{\hat{i}}$ and AoA $\phi_{\hat{i}}$ using the structure of $\tilde{\Psi}$, and form a finely spaced dictionary of range $(\theta_{\hat{i}} - \Delta\theta, \theta_{\hat{i}} + \Delta\theta)$ and $(\phi_{\hat{i}} - \Delta\phi, \phi_{\hat{i}} + \Delta\phi)$, where $\Delta\theta$ and $\Delta\phi$ are appropriately chosen based on the spatial quantization of the previously chosen dictionary. We repeat (16) with $\tilde{\Psi}$ replaced by the newly formed dictionary, and choose a new $\{\text{AoD}, \text{AoA}\}$ pair. We repeat this process for a fixed number of times (say N) and select one set of AoD and AoA. Then, we compute

$$\hat{\mathbf{H}}^v = \left(\Phi_w \hat{\Psi} \right)^\dagger \mathbf{Y}_w, \quad (17)$$

where $\hat{\Psi}$ is formed using the currently chosen AoD and AoA. This whole procedure constitutes the first out of S iterations of the MLGS algorithm in which we recover a single tap.

In the s^{th} iteration of MLGS, we recover s channel taps by following the same steps as above, but with the residual $\mathbf{Y}'_w = \mathbf{Y}_w - \Phi_w \hat{\Psi} \hat{\mathbf{H}}^v$ as observations, where $\hat{\Psi}$ comprises the set of $\{\text{AoD}, \text{AoA}\}$ pairs chosen till $s-1$ iterations. Therefore, after S iterations, we recover S virtual beamspace channel taps. We summarize MLGS as a flow diagram in Fig. 2.

C. Noise Variance Estimation

We estimate the noise variance $\hat{\sigma}_n^2$ using the residual output from MLGS. The noise variance is computed as

$$\hat{\sigma}_n^2 = \frac{1}{MKL_r} \|\mathbf{Y}'_w\|_F^2, \quad (18)$$

where $\|\mathbf{A}\|_F$ denotes the Frobenius norm of a matrix \mathbf{A} .

D. Modelling Off-Grid Effects

MLGS provides reasonable AoDs and AoA estimates, but the virtual beamspace quantized sparsifying dictionary used may not be able to obtain the exact AoD and AoA that lie in the off grid regions of the dictionary. To combat this, we adopt a statistical inference procedure to obtain near accurate AoDs and AoAs which improves the NMSE performance of our proposed algorithm [3]–[5]. We model the off grid effects as follows:

Suppose the original and estimated steering matrices are $\{\mathbf{A}_R, \mathbf{A}_T\}$ and $\{\hat{\mathbf{A}}_R, \hat{\mathbf{A}}_T\}$, respectively.

$$\begin{aligned} \mathbf{A}_R &= [\mathbf{a}_R(\theta_1) \quad \dots \quad \mathbf{a}_R(\theta_S)], \\ \hat{\mathbf{A}}_R &= [\hat{\mathbf{a}}_R(\theta_1 + \Delta\theta_1) \quad \dots \quad \hat{\mathbf{a}}_R(\theta_S + \Delta\theta_S)] \\ \mathbf{A}_T &= [\mathbf{a}_T(\phi_1) \quad \dots \quad \mathbf{a}_T(\phi_S)], \\ \hat{\mathbf{A}}_T &= [\hat{\mathbf{a}}_T(\phi_1 + \Delta\phi_1) \quad \dots \quad \hat{\mathbf{a}}_T(\phi_S + \Delta\phi_S)] \end{aligned}$$

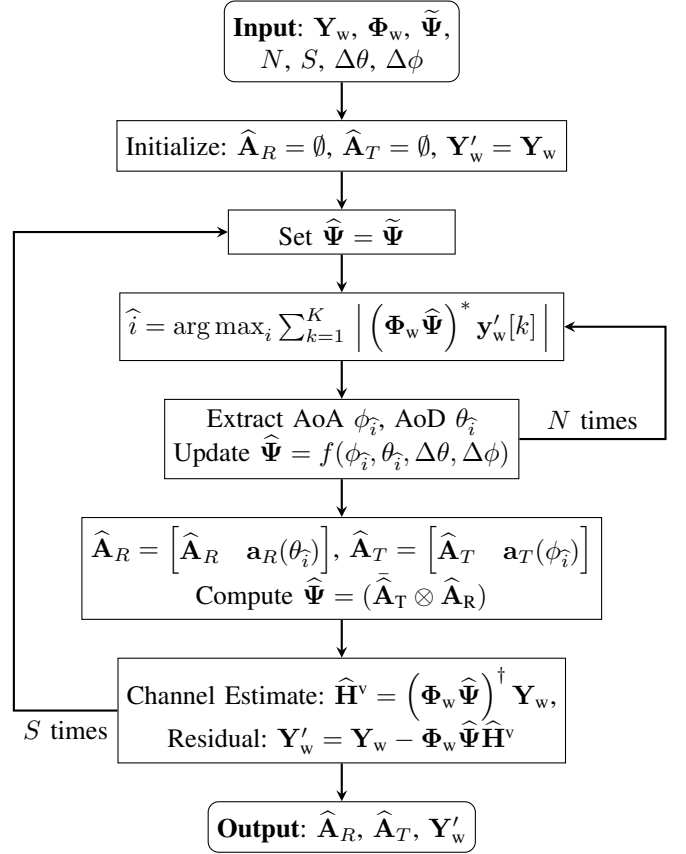


Fig. 2. Flow diagram of MLGS.

It is straightforward to prove that, for appropriately chosen S , there exists bijective transformations $\mathbf{T}_R : \hat{\mathbf{A}}_R \rightarrow \mathbf{A}_R$ and $\mathbf{T}_T : \hat{\mathbf{A}}_T \rightarrow \mathbf{A}_T$. Therefore, for any $\mathbf{P} \in \mathbb{C}^{S \times S}$,

$$\begin{aligned} \mathbf{A}_R \mathbf{P} \mathbf{A}_T^* &= \hat{\mathbf{A}}_R \mathbf{T}_R \mathbf{P} \mathbf{T}_T^* \hat{\mathbf{A}}_T^* \\ &\triangleq \hat{\mathbf{A}}_R \mathbf{Q} \hat{\mathbf{A}}_T^*. \end{aligned} \quad (19)$$

From (19), we can see that the off-grid effects get absorbed into the matrix \mathbf{Q} , and for sufficiently small $\{\Delta\theta_1, \dots, \Delta\theta_S\}$ and $\{\Delta\phi_1, \dots, \Delta\phi_S\}$, \mathbf{Q} is approximately sparse for a sparse \mathbf{P} . Note that, in the context of our channel estimation problem, our aim is to estimate the product $\mathbf{A}_R \mathbf{P} \mathbf{A}_T^*$ (or $\hat{\mathbf{A}}_R \mathbf{Q} \hat{\mathbf{A}}_T^*$), and not \mathbf{P} (or \mathbf{Q}).

E. Bayesian Learning

In this step, our goal is to refine the channel estimates output by MLGS procedure. We recall the measurement equation here for convenience,

$$\mathbf{Y}_w = \Phi_w \hat{\Psi} \mathbf{H}^v + \mathbf{N}_w, \quad (20)$$

where $\hat{\Psi} = (\hat{\mathbf{A}}_T \otimes \hat{\mathbf{A}}_R)$ is the dictionary output by MLGS.

We adopt a statistical inference approach to infer the posterior distribution of \mathbf{H}^v given the measurements \mathbf{Y}_w , measurement matrix $\Phi_w \hat{\Psi}$, and noise variance $\hat{\sigma}_n^2$. We use sparse Bayesian learning (SBL) which is a type II maximum likelihood estimation procedure to obtain the channel estimate [3], [4]. We treat \mathbf{H}^v as a hidden variable, and impose

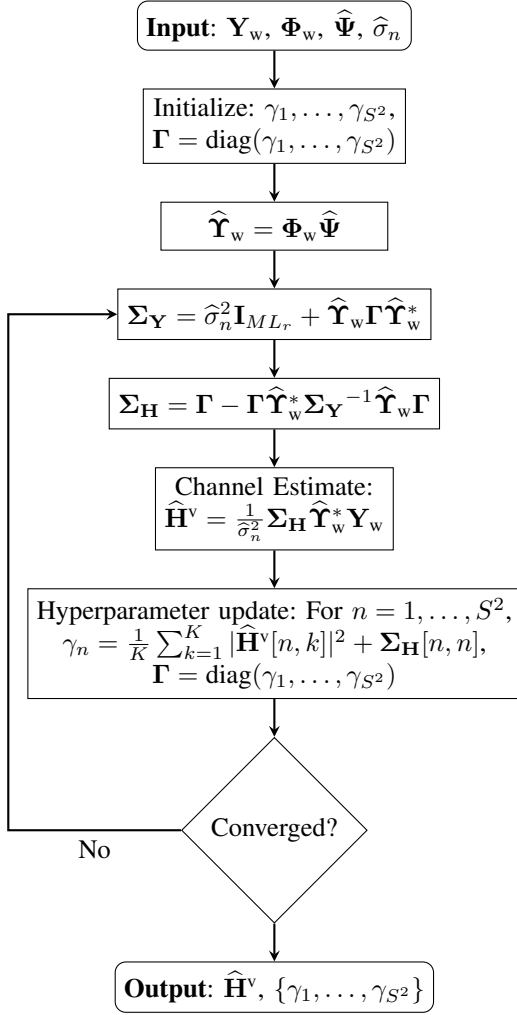


Fig. 3. Flow diagram of MSBL.

a complex Gaussian prior on it with mean $\mathbf{0}$. Joint sparsity is imposed by treating the variance of each entry of a row of \mathbf{H}^v as a hyperparameter. We use expectation maximization (EM) procedure to obtain the posterior distribution of the channel. EM works on the principle of lower bounding the objective function of a maximization problem, and finds a local optimum in an iterative manner. More details of SBL and type-II ML estimation can be found in [5]. We provide a flow diagram to compute the posterior mean and covariance of the channel, and the hyperparameters in Fig. 3.

Once we obtain the frequency domain channel estimate $\hat{\mathbf{H}}^v$, we estimate the support of the sparse vector and the channel coefficients using the hyperparameters obtained using SBL. We refine the noise estimate using the Frobenius norm of the residual $\tilde{\mathbf{Y}}_w = \mathbf{Y}_w - \Phi_w \hat{\Psi} \hat{\mathbf{H}}^v$.

F. Denoising

By analyzing the training dataset, we observed that the channel is sparse both in the virtual beamspace and delay domains. We exploited the beamspace sparsity, and obtained the frequency domain channel estimates using MLGS and SBL. In this final step, we exploit the delay domain sparsity

TABLE I
NORMALIZED MEAN-SQUARED ERROR TABLE

SNR (dB)	[−20, −11]	[−11, −6]	[−6, 0]
Pilot Frames: 20	−7.66 dB	−10.97 dB	−12.34 dB
Pilot Frames: 40	−11.87 dB	−12.79 dB	−14.20 dB
Pilot Frames: 80	−13.62 dB	−16.23 dB	−20.08 dB

also, and denoise the channel in the delay domain that reduces the mean square error between the original and estimated channels further.

For each subcarrier k , we compute $(\hat{\mathbf{A}}_T \otimes \hat{\mathbf{A}}_R) \mathbf{H}^v[:, k]$, and reshape it to form k^{th} subcarrier's channel matrix of size $N_r \times N_t$. Then, for each transmit and receive antenna pair, we compute a K -point inverse discrete Fourier transform to obtain a delay-domain channel estimate. We retain the P dominant taps in the delay-domain channel estimate, and set the other $K - P$ taps to 0. We fix P based on the estimated noise variance, and the number of training frames M . The value of P is inversely proportional to $\hat{\sigma}_n^2$, and the training dataset is used to choose an appropriate P . From our experiments on the training dataset, we found that this denoising step is crucial, leads to an approximately 2 dB reduction in the normalized mean squared error.

III. PERFORMANCE SCORE FOR THE TESTING DATASET

We analyzed the channels provided in the training dataset and set the maximum number of taps to be output from SW-OMP to 10. We set the number of dominant taps to be output by delay domain denoising appropriately based on the estimated noise variance.

We include the normalized mean squared error (NMSE) values obtained for the testing dataset using our proposed solution in Table I. The final performance score achieved using our proposed algorithm for mmWave channel estimation challenge is −9.16 dB. After the code submission, we optimized the code further, and observed a performance gain of around 0.5 dB in the NMSE in all the datasets.

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