

# Tolerance Analysis of Near-Field Focused Arrays to Safe-for-Humans Microwave and RF Applications

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**Abstract**—A methodology is proposed in this work to characterize the complex vector near-field of focused antenna arrays with arbitrary geometry, subject to random errors. Starting with the problem formulation, a proper mathematical relationship for the actual electric field is established, and a partial statistical characterization is then performed. Subsequently, the mean squared errors are computed between the actual and the desired electric field, and between the actual and the ideal squared magnitude of the electric field. Finally, a method to determine the cumulative distribution function (cdf) of the squared magnitude of the electric field is discussed for obtaining appropriate percentile functions. The presented numerical results show the validity of the proposed technique, which is particularly useful in those applications, such as the biomedical ones, where high performance is required to control the electric field values such to guarantee human safety conditions.

**Index Terms**—Antenna arrays, antenna focusing, biomedical applications, health safety, near-field, tolerance analysis.

## I. INTRODUCTION

THE theory of near-field focused antenna arrays (NFFAs) is attracting increasing interest since many years [1], [2], [3], [4], due to their consolidated high potential for a number of applications, such as identification systems, industrial microwave applications, microwave power transmissions, antenna measurements, and biomedical applications [5], [6], [7], [8]. NFFAs are able to concentrate/receive the field at/from points located in the near-zone of the array [9]. Therefore, for such systems, the principle of pattern multiplication, very

advantageously employed in far-field focused arrays, cannot be exploited, as it is not possible to identify the array factor and to isolate a vector field acting as a radiation pattern common to all the antenna elements. Consequently, the study of NFFAs is more challenging as compared to antenna arrays for far-field applications. The above difficulty can be also recognized in the context of focused aperture antennas [10].

Near-field focused arrays, as well as arrays designed for far-field applications, suffer from various imperfections that lead to *distortions* of the (desired) field. In fact, even if meticulously designed, antenna arrays have to face both random uncorrelated and spatially correlated errors that can be due to manufacturing tolerances, element failures, aging, finite representation of the magnitudes and phases of the excitation coefficients, frequency variations, mutual coupling, perturbations of the control signals in the feeding network [9], [10], [11], [12]. Usually, spatially correlated errors can be minimized and, therefore, random uncorrelated errors are preeminent [12]. As a result, it is advantageous to consider and properly address the presence of such errors in the design stage.

To the best of the authors' knowledge, the analysis and/or synthesis of antenna arrays in the presence of random errors (tolerance theory [11]) has been mainly focused on far-field applications. The first pioneering works in this sense date back to the 1950s and 60s, due to Ruze [13], [14], Ashmead [15], Gilbert and Morgan [16], Rondinelli [17], Elliott [18], and Allen [19]. Interesting results have been presented also by Hsiao [20], [21] and Kaplan [22]. These authors have studied the effect of random errors, mainly in relation to:

- 1) The behavior of the mean of the squared magnitude of the array factor.
- 2) The distribution of the squared magnitude of the array factor.
- 3) The antenna array gain.

Also, some results have been provided in relation to the distribution of the peak sidelobe level. The interested reader can find in-depth discussions of the tolerance theory of far-field antenna arrays in [11], [12], [23], and [24]. Interesting results have also been obtained in statistical antenna theory [25]. It is worth highlighting that the problem of random errors in antenna arrays is still a current problem that needs to be adequately taken into account [26], [27], [28]. It is also worth noting that tolerance theory shares strong similarities with the probabilistic analysis/synthesis of nonuniformly spaced (far-field) antenna arrays [29], [30], [31], [32], [33], [34], [35]

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and the collaborative beamforming in ad hoc sensor networks [36].

A probabilistic study of random uncorrelated errors in Fresnel-zone focused antenna arrays has recently been presented in [37]. Such work has adapted tolerance theory methodologies for far-field focused arrays to the radiative near-field region, providing a general approach together with some approximations based on recently introduced results [38] for estimating the cumulative distribution function (cdf) of a particular function, which acts, in a sense, as a kind of array factor. A general model for NFFAs, subject to random errors, has been recently proposed by Costanzo and Buonanno [39]. Starting from the original development in [39], the present work aims to generalize the methodology in [37], making no assumptions about the geometry of NFFAs to be characterized. Furthermore, the field observation is not restricted to any specific plane, thus fully considering the vector electric field. By modeling the random errors as in [37], the first- and second-order partial statistical functions of the electric field are first provided. Subsequently, the approach presented in [39] is strongly extended through the following enhancements.

- 1) A simple relation for the variance of the squared magnitude of the electric field is introduced.
- 2) The statistical characterization is performed for the relation existing between the real and the imaginary parts of the three scalar components of the electric field, through the respective covariance functions that form the covariance matrix.
- 3) An in-depth discussion is performed regarding some important properties of the above covariance matrix.
- 4) The modeling of the joint probability density function of the real and imaginary parts of the three scalar components of the electric field is performed by exploiting the multivariate Lindeberg–Feller central limit theorem [40].
- 5) A method is proposed for determining the cdf of the squared magnitude of the electric field, to introduce appropriate confidence curves.

To develop this model, appropriate covariance functions are considered as a first step. Regardless of whether the covariance matrix related to the aforementioned multidimensional pdf is singular, it is shown that the distribution of the squared magnitude of the electric field can be computed efficiently, by exploiting the spectral decomposition of real and symmetric matrices.

There are several reasons for this work. By now, various applications require very high operating frequencies and systems of large dimensions in terms of wavelength. Consequently, the near-field region undergoes an extension that must be addressed in the design stage [25]. In addition, some applications naturally employ antenna arrays working in the near-field, such as, for example, some biomedical applications [7]. Furthermore, it must be considered that the behavior of the electromagnetic field in the radiative near-field region of antennas is also crucial for problems related to safety at radiation exposure [41]. As a result, it is of paramount importance that the levels of the field are adequately controlled. However, as previously stated, errors affecting the array could harm generating the desired field. Consequently,

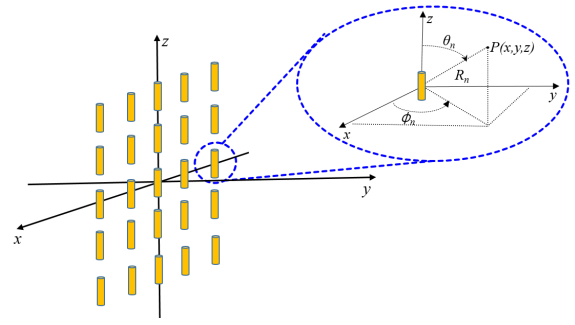


Fig. 1. Representation of a generic array together with the observation variables.

a methodology that helps take these errors into account and, therefore, be able to predict their effects may be essential.

## II. PROBLEM FORMULATION

Let us consider a generic array composed by  $N$  radiators which is immersed into a lossless free space-like medium (as an example, in Fig. 1 a periodic planar array is reported). The electric field at the generic point  $P \equiv (x, y, z)$  belonging to the near-field region of the array, but located in the far-zone of each radiator, can be written as [42]

$$\mathbf{E}_{id}(P) = K \sum_{n=1}^N I_n \frac{e^{-jkR_n}}{R_n} \mathbf{h}_n(P) \quad (1)$$

where  $K = (jk\eta)/(4\pi)$ ,  $k$  is the wavenumber in the propagation medium,  $\eta$  is the medium impedance,  $I_n = A_n e^{j\alpha_n}$  is the complex feeding current ( $A_n \in [0, +\infty]$ ,  $\alpha_n \in [0, 2\pi]$ ),  $R_n = \sqrt{(x - x_n)^2 + (y - y_n)^2 + (z - z_n)^2}$  is the distance between the phase center of the  $n$ th element and the point  $P$ ,  $(x_n, y_n, z_n)$  is the position of the phase center of the  $n$ th element, and  $\mathbf{h}_n(P)$  is the effective length of the  $n$ th element evaluated at point  $P$ . It is worth highlighting that, even if in Fig. 1 the radiators are assumed to be equally oriented in space, this condition is not mandatory for the purposes of the discussed methodology. In fact, the spherical coordinates  $R_n$ ,  $\theta_n$ , and  $\phi_n$  are defined with respect to the reference system of the specific radiator. Furthermore, arrays of any geometry can be analyzed. Moreover, the (ideal) phases of the excitation coefficients are determined by exploiting the conjugate-phase method [7]

$$\alpha_n = kR_{n_f} = k\sqrt{(x_f - x_n)^2 + (y_f - y_n)^2 + (z_f - z_n)^2} \quad (2)$$

where  $(x_f, y_f, z_f)$  is the position of the so-called *focal point*. Of course, the present methodology is also valid for near-field multifocused arrays. The conjugate phase method is probably the most used approach, as it is also the simplest one, to realize the focusing condition. However, it does not allow to consider the mutual couplings between the antenna elements [43].

In light of the above, to somehow take into account the effect of mutual couplings between antenna elements [11], while also considering the effects of possible fluctuations in the feeding network, component tolerances, antenna elements faults, and other possible causes of error, it is assumed that as follows [37].

- 1) The magnitudes and the phases of the excitation coefficients are subject to random additive errors.
- 2) The actual magnitudes of the excitation coefficients are multiplied by suitable coefficients.

Consequently, the actual electric field can be modeled as follows:

$$\begin{aligned}
 \mathbf{E}(P) &= K \sum_{n=1}^N F_n (A_n + \delta A_n) e^{j(\alpha_n + \delta \alpha_n)} \frac{e^{-jkR_n}}{R_n} \mathbf{h}_n(P) \\
 &= K \sum_{n=1}^N C_n h_{n_x}(P) \hat{\mathbf{x}} + \sum_{n=1}^N C_n h_{n_y}(P) \hat{\mathbf{y}} + \sum_{n=1}^N C_n h_{n_z}(P) \hat{\mathbf{z}} \\
 &= E_x(P) \hat{\mathbf{x}} + E_y(P) \hat{\mathbf{y}} + E_z(P) \hat{\mathbf{z}} \quad (3)
 \end{aligned}$$

with the function  $C_n$  given by

$$C_n = F_n (A_n + \delta A_n) e^{j(\alpha_n + \delta \alpha_n)} \frac{e^{-jkR_n}}{R_n} \quad (4)$$

and where  $F_n \in \{0, 1\}$  is a binary random variable that indicates whether the  $n$ th element is faulty or turned on, such that  $\mathcal{P}_r\{F_n = 1\} = 1 - \mathcal{P}_r\{F_n = 0\} = \overline{F_n} = m_n$ , while  $\delta A_n$  and  $\delta \alpha_n$  are zero-mean continuous random variables. More precisely,  $\{\delta \alpha_n\}_{n=1}^N$  are zero-mean Gaussian random variables, while for amplitude errors, there is generally no particular assumption [11], [12]. Moreover, all random variables are independent of each other. It is worth highlighting that the considered errors are the most common ones encountered in antenna arrays [12]. As a further important aspect, the mutual couplings effects are assumed to be sufficiently weak so that no influence is reflected on the shape of the current densities. They are simply modeled by including them into amplitude and phase errors related to the excitation coefficients [11]. From a practical point of view, arrays with sufficiently spaced radiators are considered, so to avoid strong mutual couplings. Anyway, another alternative approach could be to exploit the active-element pattern method including the mutual couplings as incorporated within the active element patterns [12]. In this case, the function  $\mathbf{h}_n(P)$  would be linked to the active element pattern of the  $n$ th radiator.

As for the active element pattern method, some clarifications may be useful. In particular, for small to medium sized arrays, the characterization of active element patterns can be very demanding from a computational point of view. Instead, such a technique can be advantageous for large arrays, as in this case, it is possible to use the central element pattern method, in which the active element pattern of one of the most central elements of the array is representative of all the other elements [9]. In the case of small to medium sized arrays, it may be more useful to exploit appropriate mutual coupling compensation schemes [44], [45]. For the sake of completeness, it is worth mentioning that technological solutions have also been introduced for the minimization of mutual couplings, such as the adoption of EBG structures [9], [46].

In summary, as previously stated, this article is based on the same philosophy exposed in [11], which states that regardless of which phenomena (including mutual couplings) are responsible for errors, their effect is to modify the magnitudes and

phases of the excitation coefficients. This point of view is compatible with the modeling of mutual couplings by means of the isolated-element pattern approach [44], in which all mutual coupling effects are included in the excitation coefficients. Anyway, further studies are currently devoted by the authors to investigate error characterization methods in which mutual couplings can be explicitly included. The results coming from the above studies will be presented in a future work.

Since the functions  $\{C_n\}_{n=1}^N$  are stochastic processes, it follows that  $\mathbf{E}(P)$  is a *random vector field*, which must be studied by exploiting the theory of probability. Moreover, the three complex components of the electric field are mutually dependent. The mean and the variance of the actual electric field can be written as follows (the upper bar denotes the operation of statistical mean):

$$\begin{aligned}
 \boldsymbol{\mu}(P) &= \overline{\mathbf{E}(P)} = K \sum_{n=1}^N \overline{C_n} \mathbf{h}_n(P) \\
 &= \overline{E_x(P)} \hat{\mathbf{x}} + \overline{E_y(P)} \hat{\mathbf{y}} + \overline{E_z(P)} \hat{\mathbf{z}} \\
 &= \mu_x(P) \hat{\mathbf{x}} + \mu_y(P) \hat{\mathbf{y}} + \mu_z(P) \hat{\mathbf{z}} \quad (5)
 \end{aligned}$$

$$\begin{aligned}
 \sigma^2(P) &= \overline{|\mathbf{E}(P) - \boldsymbol{\mu}(P)|^2} \\
 &= \overline{|E_x(P) - \mu_x(P)|^2} + \overline{|E_y(P) - \mu_y(P)|^2} \\
 &\quad + \overline{|E_z(P) - \mu_z(P)|^2} \\
 &= \sigma_x^2(P) + \sigma_y^2(P) + \sigma_z^2(P) \quad (6)
 \end{aligned}$$

where  $\mu_v(P)$  and  $\sigma_v^2(P)$  are the mean and the variance of the scalar component  $E_v(P)$  (for  $v = x, y, z$ ) of the electric field, respectively. The mean  $\mu_v(P)$  and the variance  $\sigma_v^2(P)$  can be expressed as follows (for  $v = x, y, z$ ):

$$\begin{aligned}
 \mu_v(P) &= K \sum_{n=1}^N m_n A_n e^{j\alpha_n} e^{-\frac{\sigma_{\delta \alpha_n}^2}{2}} \frac{e^{-jkR_n}}{R_n} h_{n_v}(P) \quad (7) \\
 \sigma_v^2(P) &= \overline{|E_v(P) - \mu_v(P)|^2} = \overline{|E_v(P)|^2} - |\mu_v(P)|^2 \\
 &= |K|^2 \sum_{n=1}^N \frac{m_n (A_n^2 - m_n A_n^2 e^{-\sigma_{\delta \alpha_n}^2} + \sigma_{\delta A_n}^2)}{R_n^2} |h_{n_v}(P)|^2 \quad (8)
 \end{aligned}$$

and, as it can be seen, the amplitude errors,  $\{\delta A_n\}_{n=1}^N$ , do not affect the mean of the electric field, while the other two types of errors cause the field levels to decrease. As regarding the variance of the electric field, it is affected by all three types of errors and, obviously, in the absence of these, it is equal to zero, just as the mean of the electric field coincides with the ideal electric field.

### III. PARTIAL CHARACTERIZATION OF THE SQUARED MAGNITUDE OF THE ELECTRIC FIELD

In several applications, it is essential to properly control the squared magnitude of the electric field, as it is related to the power density. In the present work, the squared magnitude of the electric field is a random function, and therefore it needs to be adequately (probabilistically) characterized. In this section, a partial characterization of  $|\mathbf{E}(P)|^2$  is performed, while, in the following, a more specific characterization is

discussed, by exploiting a particular assumption between all the real and the imaginary parts of the components of the electric field. The mean of the squared magnitude of the electric field is related to the mean and the variance of the electric field as reported below

$$\begin{aligned}
\mu_{|\mathbf{E}|^2}(P) &= \overline{|\mathbf{E}(P)|^2} = |\underline{\boldsymbol{\mu}}(P)|^2 + \sigma^2(P) \\
&= |K|^2 \sum_{n=1}^N \frac{m_n (A_n^2 + \sigma_{\delta A_n}^2)}{R_n^2} |\mathbf{h}_n(P)|^2 \\
&\quad + |K|^2 \sum_{n=1}^N \sum_{q=1, q \neq n}^N \left\{ m_n m_q A_n A_q e^{j(\alpha_n - \alpha_q)} e^{-\frac{\sigma_{\delta \alpha_n}^2 + \sigma_{\delta \alpha_q}^2}{2}} \right. \\
&\quad \quad \left. \times \frac{e^{-jk(R_n - R_q)}}{R_n R_q} \mathbf{h}_n(P) \cdot \mathbf{h}_q^*(P) \right\} \\
&= |\mathbf{E}_{id}(P)|^2 + |K|^2 \sum_{n=1}^N \frac{(m_n A_n^2 + m_n \sigma_{\delta A_n}^2 - A_n^2)}{R_n^2} |\mathbf{h}_n(P)|^2 \\
&\quad + |K|^2 \sum_{n=1}^N \sum_{q=1, q \neq n}^N \left\{ \frac{m_n m_q A_n A_q e^{-\frac{\sigma_{\delta \alpha_n}^2 + \sigma_{\delta \alpha_q}^2}{2}} - A_n A_q e^{j(\alpha_n - \alpha_q)}}{R_n R_q} \right. \\
&\quad \quad \left. \times e^{-jk(R_n - R_q)} \mathbf{h}_n(P) \cdot \mathbf{h}_q^*(P) \right\} \quad (9)
\end{aligned}$$

where the symbol  $*$  denotes the complex conjugate operation. As it can be easily verified, in the absence of errors,  $\mu_{|\mathbf{E}|^2}(P) = |\mathbf{E}_{id}(P)|^2$ . It is worth noting that the squared magnitude of the electric field represents a quadratic form. In fact, considering the *multivariate random (algebraic) column vector*  $\underline{\mathbf{X}}(P) = [E_{x_{\text{Re}}}(P), E_{x_{\text{Im}}}(P), E_{y_{\text{Re}}}(P), E_{y_{\text{Im}}}(P), E_{z_{\text{Re}}}(P), E_{z_{\text{Im}}}(P)]^T$ , with  $E_{v_{\text{Re}}}(P)$  (resp.  $E_{v_{\text{Im}}}(P)$ ) being the real (resp. imaginary) part of  $E_v(P)$  (for  $v = x, y, z$ ), it can be written that [47]

$$\mu_{|\mathbf{E}|^2}(P) = \text{tr}\{\underline{\underline{\mathcal{K}}}(P)\} + \underline{\boldsymbol{\mu}}^T(P) \cdot \underline{\boldsymbol{\mu}}(P) \quad (10)$$

where

$$\underline{\boldsymbol{\mu}}(P) = [\mu_{x_{\text{Re}}}(P), \mu_{x_{\text{Im}}}(P), \mu_{y_{\text{Re}}}(P), \mu_{y_{\text{Im}}}(P), \mu_{z_{\text{Re}}}(P), \mu_{z_{\text{Im}}}(P)]^T \quad (11)$$

and (with  $P$  implied)

$$\underline{\underline{\mathcal{K}}}(P) = \begin{bmatrix} \sigma_{x_{\text{Re}}}^2 & \mathcal{K}_{x_{\text{Re}}x_{\text{Im}}} & \mathcal{K}_{x_{\text{Re}}y_{\text{Re}}} & \mathcal{K}_{x_{\text{Re}}y_{\text{Im}}} & \mathcal{K}_{x_{\text{Re}}z_{\text{Re}}} & \mathcal{K}_{x_{\text{Re}}z_{\text{Im}}} \\ \mathcal{K}_{x_{\text{Im}}x_{\text{Re}}} & \sigma_{x_{\text{Im}}}^2 & \mathcal{K}_{x_{\text{Im}}y_{\text{Re}}} & \mathcal{K}_{x_{\text{Im}}y_{\text{Im}}} & \mathcal{K}_{x_{\text{Im}}z_{\text{Re}}} & \mathcal{K}_{x_{\text{Im}}z_{\text{Im}}} \\ \mathcal{K}_{x_{\text{Re}}y_{\text{Re}}} & \mathcal{K}_{x_{\text{Im}}y_{\text{Re}}} & \sigma_{y_{\text{Re}}}^2 & \mathcal{K}_{y_{\text{Re}}y_{\text{Im}}} & \mathcal{K}_{y_{\text{Re}}z_{\text{Re}}} & \mathcal{K}_{y_{\text{Re}}z_{\text{Im}}} \\ \mathcal{K}_{x_{\text{Re}}y_{\text{Im}}} & \mathcal{K}_{x_{\text{Im}}y_{\text{Im}}} & \mathcal{K}_{y_{\text{Im}}y_{\text{Re}}} & \sigma_{y_{\text{Im}}}^2 & \mathcal{K}_{y_{\text{Im}}z_{\text{Re}}} & \mathcal{K}_{y_{\text{Im}}z_{\text{Im}}} \\ \mathcal{K}_{x_{\text{Re}}z_{\text{Re}}} & \mathcal{K}_{x_{\text{Im}}z_{\text{Re}}} & \mathcal{K}_{y_{\text{Re}}z_{\text{Re}}} & \mathcal{K}_{y_{\text{Im}}z_{\text{Re}}} & \sigma_{z_{\text{Re}}}^2 & \mathcal{K}_{z_{\text{Re}}z_{\text{Im}}} \\ \mathcal{K}_{x_{\text{Re}}z_{\text{Im}}} & \mathcal{K}_{x_{\text{Im}}z_{\text{Im}}} & \mathcal{K}_{y_{\text{Re}}z_{\text{Im}}} & \mathcal{K}_{y_{\text{Im}}z_{\text{Im}}} & \mathcal{K}_{z_{\text{Im}}z_{\text{Re}}} & \sigma_{z_{\text{Im}}}^2 \end{bmatrix} \quad (12)$$

with  $\mu_{v_{\text{Re}}}(P)$  (resp.  $\mu_{v_{\text{Im}}}(P)$ ) and  $\sigma_{v_{\text{Re}}}^2(P)$  (resp.  $\sigma_{v_{\text{Im}}}^2(P)$ ) being the mean and variance of  $E_{v_{\text{Re}}}(P)$  (resp.  $E_{v_{\text{Im}}}(P)$ ) (for  $v = x, y, z$ ),  $\underline{\underline{\mathcal{K}}}(P)$  being the covariance matrix associated with the random vector  $\underline{\mathbf{X}}(P)$ , and  $\text{tr}\{\underline{\underline{\mathcal{K}}}(P)\}$  being the trace of  $\underline{\underline{\mathcal{K}}}(P)$ .

The following covariance function  $\mathcal{K}_{v_{\text{Re}}\xi_{\text{Re}}}(P)$  (for  $v = x, y, z$  and  $\xi = x, y, z$ ):

$$\begin{aligned}
\mathcal{K}_{v_{\text{Re}}\xi_{\text{Re}}}(P) &= \overline{E_{v_{\text{Re}}} E_{\xi_{\text{Re}}}^*} - \overline{E_{v_{\text{Re}}}} \overline{E_{\xi_{\text{Re}}}} \\
&= |K|^2 \sum_{n=1}^N \left\{ \frac{p_n (A_n^2 + \sigma_{\delta A_n}^2)}{R_n^2} |h_{n_v}| |h_{n_\xi}| \right. \\
&\quad \times \left[ \frac{1}{2} \cos(\angle h_{n_\xi} - \angle h_{n_v}) \right. \\
&\quad \quad \left. + \frac{1}{2} e^{-2\sigma_{\delta \alpha_n}^2} \cos(2kR_n - 2\alpha_n - 2\angle K - \angle h_{n_v} - \angle h_{n_\xi}) \right] \\
&\quad - |K|^2 \sum_{n=1}^N \left\{ \frac{p_n^2 A_n^2}{R_n^2} |h_{n_v}| |h_{n_\xi}| e^{-\sigma_{\delta \alpha_n}^2} \right. \\
&\quad \quad \times \cos(kR_n - \alpha_n - \angle K - \angle h_{n_v}) \\
&\quad \quad \left. \times \cos(kR_n - \alpha_n - \angle K - \angle h_{n_\xi}) \right\} \quad (13)
\end{aligned}$$

allows to compute  $\sigma_{x_{\text{Re}}}^2(P)$ ,  $\sigma_{y_{\text{Re}}}^2(P)$ ,  $\sigma_{z_{\text{Re}}}^2(P)$ ,  $\mathcal{K}_{x_{\text{Re}}y_{\text{Re}}}(P)$ ,  $\mathcal{K}_{x_{\text{Re}}z_{\text{Re}}}(P)$ , and  $\mathcal{K}_{y_{\text{Re}}z_{\text{Re}}}(P)$ . Instead, the following covariance function  $\mathcal{K}_{v_{\text{Im}}\xi_{\text{Im}}}(P)$  (for  $v = x, y, z$  and  $\xi = x, y, z$ ):

$$\begin{aligned}
\mathcal{K}_{v_{\text{Im}}\xi_{\text{Im}}}(P) &= \overline{E_{v_{\text{Im}}} E_{\xi_{\text{Im}}}} - \overline{E_{v_{\text{Im}}}} \overline{E_{\xi_{\text{Im}}}} \\
&= -|K|^2 \sum_{n=1}^N \left\{ \frac{p_n (A_n^2 + \sigma_{\delta A_n}^2)}{R_n^2} |h_{n_v}| |h_{n_\xi}| \right. \\
&\quad \times \left[ \frac{1}{2} \sin(\angle h_{n_v} - \angle h_{n_\xi}) \right. \\
&\quad \quad \left. + \frac{1}{2} e^{-2\sigma_{\delta \alpha_n}^2} \sin(2kR_n - 2\alpha_n - 2\angle K - \angle h_{n_v} - \angle h_{n_\xi}) \right] \\
&\quad + |K|^2 \sum_{n=1}^N \left\{ \frac{p_n^2 A_n^2}{R_n^2} |h_{n_v}| |h_{n_\xi}| e^{-\sigma_{\delta \alpha_n}^2} \right. \\
&\quad \quad \times \cos(kR_n - \alpha_n - \angle K - \angle h_{n_v}) \\
&\quad \quad \left. \times \sin(kR_n - \alpha_n - \angle K - \angle h_{n_\xi}) \right\} \quad (14)
\end{aligned}$$

allows to compute  $\mathcal{K}_{x_{\text{Im}}x_{\text{Im}}}(P)$ ,  $\mathcal{K}_{x_{\text{Im}}y_{\text{Im}}}(P)$ ,  $\mathcal{K}_{x_{\text{Im}}z_{\text{Im}}}(P)$ ,  $\mathcal{K}_{y_{\text{Im}}y_{\text{Im}}}(P)$ ,  $\mathcal{K}_{y_{\text{Im}}x_{\text{Im}}}(P)$ ,  $\mathcal{K}_{y_{\text{Im}}z_{\text{Im}}}(P)$ , and  $\mathcal{K}_{z_{\text{Im}}z_{\text{Im}}}(P)$ . Finally, the following covariance function  $\mathcal{K}_{v_{\text{Re}}\xi_{\text{Im}}}(P)$  (for  $v = x, y, z$  and  $\xi = x, y, z$ ):

$$\begin{aligned}
\mathcal{K}_{v_{\text{Re}}\xi_{\text{Im}}}(P) &= \overline{E_{v_{\text{Re}}} E_{\xi_{\text{Im}}}} - \overline{E_{v_{\text{Re}}}} \overline{E_{\xi_{\text{Im}}}} \\
&= |K|^2 \sum_{n=1}^N \left\{ \frac{p_n (A_n^2 + \sigma_{\delta A_n}^2)}{R_n^2} |h_{n_v}| |h_{n_\xi}| \right. \\
&\quad \times \left[ \frac{1}{2} \cos(\angle h_{n_\xi} - \angle h_{n_v}) \right. \\
&\quad \quad \left. - \frac{1}{2} e^{-2\sigma_{\delta \alpha_n}^2} \cos(2kR_n - 2\alpha_n - 2\angle K - \angle h_{n_v} - \angle h_{n_\xi}) \right] \\
&\quad \left. \times \left[ \frac{1}{2} \cos(\angle h_{n_\xi} - \angle h_{n_v}) \right] \right\}
\end{aligned}$$

$$\begin{aligned}
 -|K|^2 \sum_{n=1}^N \left\{ \frac{P_n^2 A_n^2}{R_n^2} |h_{n_v}| |h_{n_\xi}| e^{-\sigma_{\delta n}^2} \right. \\
 \times \sin(kR_n - \alpha_n - \angle K - \angle h_{n_v}) \\
 \left. \times \sin(kR_n - \alpha_n - \angle K - \angle h_{n_\xi}) \right\} \quad (15)
 \end{aligned}$$

allows to compute  $\sigma_{x_3}^2(P)$ ,  $\sigma_{y_3}^2(P)$ ,  $\sigma_{z_3}^2(P)$ ,  $\mathcal{K}_{x_3 y_3}(P)$ ,  $\mathcal{K}_{x_3 z_3}(P)$ , and  $\mathcal{K}_{y_3 z_3}(P)$ . As it can be seen, for the determination of the mean of the squared magnitude of the electric field, no assumption is made on the relationship existing between the components of the random vector  $\underline{X}(P)$ . Following a similar approach would be more tedious for determining the variance of  $|\mathbf{E}|^2(P)$ . Instead, it can be obtained quite easily if assuming that the components of  $\underline{X}(P)$  are jointly Gaussian at the generic observation point  $P$ , i.e.,  $\underline{X}(P) \sim \mathcal{N}(\underline{\mu}(P), \underline{\mathcal{K}}(P))$ . This assumption can be justified by exploiting the multivariate form of the central limit theorem [40] when the number of antenna elements is large enough. Consequently, provided that this assumption is verified, the variance of the squared magnitude of the electric field can be written as follows [47]:

$$\sigma_{|\mathbf{E}|^2}^2(P) = 2 \operatorname{tr} \left\{ \underline{\mathcal{K}}(P) \cdot \underline{\mathcal{K}}(P) \right\} + 4 \underline{\mu}^T(P) \cdot \underline{\mathcal{K}}(P) \cdot \underline{\mu}(P). \quad (16)$$

Although the mean and the variance of  $|\mathbf{E}(P)|^2$  already provide some interesting information, they may also be exploited to obtain the following bounds for the cdf of  $|\mathbf{E}(P)|^2$  by means of the Cantelli's inequality [38] (with  $\tau$  being a real number):

$$\begin{cases} \mathcal{P}_r \left\{ |\mathbf{E}(P)|^2 \leq \overline{|\mathbf{E}(P)|^2} + \tau \right\} \leq \frac{\sigma_{|\mathbf{E}|^2}^2(P)}{\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2}, & \text{if } \tau < 0 \\ \mathcal{P}_r \left\{ |\mathbf{E}(P)|^2 \leq \overline{|\mathbf{E}(P)|^2} + \tau \right\} \geq 1 - \frac{\sigma_{|\mathbf{E}|^2}^2(P)}{\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2}, & \text{if } \tau \geq 0 \end{cases} \quad (17)$$

where  $\mathcal{P}_r\{\cdot\}$  is the probability measure. However, Cantelli's inequality provides only partial information on the effective distribution of the squared magnitude of the electric field. For this reason, a more in-depth characterization of  $|\mathbf{E}(P)|^2$  is performed below to increase the information content.

#### A. Generalized Variance, Generalized Distance, and Possible Singularities of the Covariance Matrix

In this section, some crucial metrics related to the squared magnitude of the electric field are discussed. In particular, the discussion is relatively general here since the assumption of Gaussianity is not used for the components of  $\underline{X}(P)$ . In the following, some helpful concepts to support the results of the other sections are reported. The first useful quantity to consider is the *generalized variance*, which coincides with the determinant of the covariance matrix [47]

$$GV(P) = \left| \underline{\mathcal{K}}(P) \right| = \prod_{i=1}^6 \eta_i^2(P) \quad (18)$$

where  $\{\eta_i^2(P)\}_{i=1}^6$  are the eigenvalues of  $\underline{\mathcal{K}}(P)$ . To generalize beyond the 1-D case, as the values of  $GV(P)$  increase, the dispersion of  $\underline{X}(P)$  with respect to its mean  $\underline{\mu}(P)$  also increases.

Another important metric is the *standardized distance* of  $\underline{X}(P)$  to  $\underline{\mu}(P)$  [47]

$$\begin{aligned}
 SD(P) &= \left[ \underline{X}(P) - \underline{\mu}(P) \right]^T \cdot \underline{\mathcal{K}}^{-1}(P) \cdot \left[ \underline{X}(P) - \underline{\mu}(P) \right] \\
 &= \underline{Z}^T(P) \cdot \underline{Z}(P) \quad (19)
 \end{aligned}$$

where the components of the random vector  $\underline{Z}(P)$  have zero means, unit variances, and they are also uncorrelated. The following deterministic version of  $SD(P)$ :

$$sd(P) = \left[ \underline{x} - \underline{\mu}(P) \right]^T \cdot \underline{\mathcal{K}}^{-1}(P) \cdot \left[ \underline{x} - \underline{\mu}(P) \right] \quad (20)$$

represents the distance of a generic (deterministic) point  $\underline{x}$  of the multivariate distribution of  $\underline{X}(P)$  with respect to  $\underline{\mu}(P)$ , the latter representing the centroid of the multivariate distribution. The square root of  $sd(P)$  is also called *Mahalanobis distance* [48]. If some components of  $\underline{X}(P)$  can be "deterministically" derived from the other components, then the covariance matrix is singular, and the above definitions must be modified. In this case, the generalized variance can coincide with  $|\underline{\mathcal{K}}(P)|_+$  (*pseudo-determinant*), which is the product of all the positive eigenvalues of  $\underline{\mathcal{K}}(P)$ . As regarding the generalized distance, it is obtained from (20) by considering  $\underline{\mathcal{K}}^+(P)$  (*Moore-Penrose inverse*) in place of  $\underline{\mathcal{K}}^{-1}(P)$ .

Equation (18) plays a key role in the analysis methodology being discussed. In fact, as well known, the variance is an important dispersion metric for a random variable. For  $n$ -dimensional random variables (random vectors), although it is possible to define the variance for each individual component, it is also necessary to have a metric that provides information on the dispersion, in the  $n$ -dimensional space, that random vectors present with respect to their mean. For this purpose, the determinant of the covariance matrix is used as a generalization of the variance to the  $n$ -dimensional case. In particular, (18) is based on the spectral decomposition of symmetric matrices, through which it is possible to calculate the determinant of the latter as the product of their eigenvalues [48].

#### IV. MEAN SQUARED ERRORS

On the basis of the results obtained in the previous section, it is possible to define some error functions aimed at characterizing the *distance* between the actual electric field and the ideal one, and between the actual squared magnitude of the electric field and the desired one. It is worth highlighting that the variance of  $\mathbf{E}(P)$  characterizes the dispersion of the actual electric field with respect to its mean, this latter being different from the ideal electric field. For this reason, by considering the random error function  $\epsilon(P) = \mathbf{E}(P) - \mathbf{E}_{id}(P)$ , the mean of the squared magnitude of this function can be assumed as first metric, which coincides with the mean squared error between the actual electric field and the ideal one, namely

$$MSE(P) = \overline{|\epsilon(P)|^2} = \sigma^2(P) + |\mathbf{E}_{id}(P) - \underline{\mu}(P)|^2. \quad (21)$$

In the absence of errors, the variance of the electric field is equal to zero, the mean of the actual electric field coincides with  $\mathbf{E}(P)$ , and, consequently, the function  $MSE(P)$  function equals zero. The function  $MSE(P)$  can also be normalized

with respect to  $|\mathbf{E}_{id}(P)|^2$ , to obtain a sort of relative mean squared error between  $\mathbf{E}(P)$  and  $\mathbf{E}_{id}(P)$ . However, strictly speaking, this normalization is more suitable if the mean squared error between  $|\mathbf{E}(P)|^2$  and  $|\mathbf{E}_{id}(P)|^2$  is considered, namely

$$\begin{aligned} MSE_{|\mathbf{E}|^2}(P) &= \overline{\{|\mathbf{E}(P)|^2 - |\mathbf{E}_{id}(P)|^2\}^2} \\ &= \overline{|\mathbf{E}(P)|^4} + \overline{|\mathbf{E}_{id}(P)|^4} - 2\mu_{|\mathbf{E}|^2}(P) \overline{|\mathbf{E}_{id}(P)|^2} \\ &= \mu_{|\mathbf{E}|^2}^2(P) + \sigma_{|\mathbf{E}|^2}^2(P) + \overline{|\mathbf{E}_{id}(P)|^4} \\ &\quad - 2\mu_{|\mathbf{E}|^2}(P) \overline{|\mathbf{E}_{id}(P)|^2}. \end{aligned} \quad (22)$$

In this case, the function  $MSE_{|\mathbf{E}|^2}(P)/\overline{|\mathbf{E}_{id}(P)|^4}$  coincides precisely with the *relative* mean squared error between  $|\mathbf{E}(P)|^2$  and  $|\mathbf{E}_{id}(P)|^2$ .

## V. MULTIVARIATE CHARACTERIZATION OF THE SQUARED MAGNITUDE OF THE ELECTRIC FIELD AND A COMPUTATION OF ITS DISTRIBUTION

This section discusses the characterization of the squared magnitude of the electric field by exploiting the joint probability density function of the real and the imaginary parts of the components of the electric field. To this end, let us assume that the number of antenna elements is high enough to model, by exploiting a multivariate form of the central limit theorem [40],  $\underline{X}(P)$  as a *multivariate Gaussian random vector*. Let us also assume, for the moment, that the covariance matrix is nonsingular. Consequently, at the generic point  $P$ , the joint probability density function of the components of  $\underline{X}(P)$  can be written as follows (with  $\underline{x} \in \mathbb{R}^6$ ):

$$f(\underline{x}; P) = \frac{1}{\sqrt{(2\pi)^N |\underline{\mathcal{K}}(P)|}} e^{-\frac{1}{2}[\underline{x} - \underline{\mu}(P)]^T \cdot \underline{\mathcal{K}}^{-1}(P) \cdot [\underline{x} - \underline{\mu}(P)]} \quad (23)$$

where  $|\underline{\mathcal{K}}(P)|$  is the determinant of the covariance matrix. The following expression (with  $r \in \mathbb{R}$  constant):

$$[\underline{x} - \underline{\mu}(P)]^T \cdot \underline{\mathcal{K}}^{-1}(P) \cdot [\underline{x} - \underline{\mu}(P)] = r^2 \quad (24)$$

represents the equation of a multidimensional ellipsoid, where the vector with variable components  $\underline{x}$  belongs to the following locus of points [49]:

$$\underline{x} = \underline{\mu}(P) + r \underline{M}(P) \cdot \underline{v} \quad (25)$$

and  $\underline{v}$  is a vector with variable components such that  $\underline{v}^T \cdot \underline{v} = 1$  and  $\underline{\mathcal{K}}(P) = \underline{M}(P) \cdot \underline{M}^T(P)$  is the Cholesky decomposition of the covariance matrix. Consequently, taking into account that, in this multivariate Gaussian case, the following random generalized distance:

$$[\underline{X}(P) - \underline{\mu}(P)]^T \cdot \underline{\mathcal{K}}^{-1}(P) \cdot [\underline{X}(P) - \underline{\mu}(P)] = R^2(P) \quad (26)$$

is a  $\chi^2$  random variable with six degrees of freedom, it is relatively easy to determine the confidence regions for the

random vector  $\underline{X}(P)$ . Indeed, it could be written that (with  $\eta$  being a real number)

$$\mathcal{P}_r\{R^2(P) \leq \eta\} = \frac{\gamma(3, \eta/2)}{\Gamma(3)} \quad (27)$$

where  $\gamma(s, t)$  is the *lower incomplete gamma function*, and  $\Gamma(s)$  is the *gamma function* [50]. Consequently, it could be set  $\mathcal{P}_r\{R^2(P) \leq \eta_q(P)\} = q\%$  (with  $0 \leq q \leq 100$  and  $n = 6$ ),  $\eta_q(P)$  being the  $q$ th percentile of  $R^2(P)$ , and then the  $q$ th  $n$ -dimensional ellipsoid, associated with  $f(\underline{x}, P)$ , can be determined by previously setting  $r = \sqrt{\eta_q}$  and computing all the values of  $\underline{x}$  satisfying (25). Once the vector with the highest Euclidean norm and satisfying (25) is identified, the approach in [37] can be generalized to the  $n$ -dimensional case. In fact, here,  $q\%$  is the probability that  $\underline{X}(P)$  lies inside the aforementioned ellipsoid. This is less than the probability that the same  $\underline{X}(P)$  lies inside an  $n$ -dimensional sphere, centered at the origin, and having the above norm as radius. In case the covariance matrix is singular, the expressions (23)–(27) cannot be held valid. In fact, in (23) the pseudodeterminant  $|\underline{\mathcal{K}}(P)|_+$  and the Moore–Penrose pseudoinverse  $\underline{\mathcal{K}}^+(P)$  must be considered, instead of  $|\underline{\mathcal{K}}(P)|$  and  $\underline{\mathcal{K}}^{-1}(P)$ , respectively [48]. Consequently, when the covariance matrix is singular, the treatment through the multidimensional *pdf* may become more complicated. However, it is worth noting that the previous discussion based on  $f(\underline{x}, P)$  represents an important conceptual basis for the sequel, as it provides important information on the (spatial) distribution of the realizations of  $\underline{X}(P)$  in the multidimensional space and, coherently to what stated above, it would lead to find a lower bound for the distribution of the squared magnitude of the actual electric field.

At this point, a more general methodology needs to be found which allows to *directly* overcome the problem of possible singularities of the covariance matrix, and to more easily find an estimate of the distribution of  $|\mathbf{E}(P)|^2$ . To this end, a particular representation of  $\underline{X}(P)$  is exploited in the following to achieve the above goal. In this framework, the spectral decomposition of the covariance matrix can be written as follows [48]:

$$\underline{\mathcal{K}}(P) = \sum_{i=1}^6 \eta_i^2(P) \underline{u}_i(P) \cdot \underline{u}_i^T(P) \quad (28)$$

where  $\{\eta_i^2(P)\}_{i=1}^6$  and  $\{\underline{u}_i(P)\}_{i=1}^6$  are the eigenvalues and eigenvectors of  $\underline{\mathcal{K}}(P)$ , respectively, with  $\eta_1^2(P) \geq \eta_2^2(P) \geq \dots \geq \eta_6^2(P) \geq 0$ . The above eigenvectors form an orthonormal basis for  $\mathbb{R}^6$ , and thus the vector  $\underline{X}(P) - \underline{\mu}(P)$  can be represented as follows [48]:

$$\underline{X}(P) - \underline{\mu}(P) = \sum_{i=1}^6 w_i(P) \underline{u}_i(P) \quad (29)$$

where  $\{w_i(P) = [\underline{X}(P) - \underline{\mu}(P)]^T \cdot \underline{u}_i(P)\}_{i=1}^6$  are independent Gaussian random variables. In particular,  $w_i(P)$  is a Gaussian random variable with mean equal to zero and variance equal to  $\eta_i^2(P)$ . Therefore, the squared magnitude of the electric field can be written as follows:

$$|\mathbf{E}(P)|^2 = \underline{X}^T(P) \cdot \underline{X}(P)$$

$$\begin{aligned}
&= \sum_{i=1}^6 w_i^2(P) + 2 \sum_{i=1}^6 \tilde{\mu}_i(P) w_i(P) + \sum_{i=1}^6 \tilde{\mu}_i^2(P) \\
&= \sum_{i=1}^6 \eta_i^2(P) \left[ \frac{w_i(P)}{\eta_i(P)} \right]^2 + 2 \sum_{i=1}^6 \tilde{\mu}_i(P) \eta_i(P) \left[ \frac{w_i(P)}{\eta_i(P)} \right] \\
&\quad + \sum_{i=1}^6 \tilde{\mu}_i^2(P) \tag{30}
\end{aligned}$$

with  $[w_i(P)/\eta_i(P)]^2$  and  $[w_i(P)/\eta_i(P)]$  being a  $\chi^2$  random variable with one degree of freedom and a standard normal random variable (with mean equal to zero and unitary variance), respectively, while the generic  $\tilde{\mu}_i(P)$  is equal to  $\underline{\mu}^T(P) \cdot \underline{u}_i(P)$ . Consequently, the cdf of the squared magnitude of the electric field coincides with the cdf of a *generalized  $\chi^2$  random variable* [51]. It is worth emphasizing that, through the described (decomposition) approach, any singularities of the covariance matrix are naturally taken into consideration, since in this case, there are some coefficients  $w_i$  being identically zero, and therefore the summation in (30) is simply composed of a number of terms less than six.

To the best of the authors' knowledge, there is no closed-form for the distribution of a generalized  $\chi^2$  random variable. However, it is worth highlighting that the squared magnitude of the electric field is now described in terms of a linear combination of six independent  $\chi^2$  random variables with one degree of freedom, plus a linear combination of six independent normal random variables, plus a deterministic term. Consequently, since the number of terms in (30) is sufficiently low, the Monte Carlo method can be advantageously exploited to determine the distribution of  $|\mathbf{E}(P)|^2$ . It is also worth specifying that, in practice, the linear combination of the  $\chi^2$  random variables cannot be generated independently of the linear combination of normal random variables, i.e., to determine the realizations of  $|\mathbf{E}(P)|^2$  using the Monte Carlo method, only numerous different sets  $\{w_i(P)\}_{i=1}^6$  are generated and subsequently the relation (30) is implemented. More advantageously, it is sufficient to generate a large number of standard normal random variables once at all, in such a way to exploit them for all the generic observation points at which the distribution of the squared magnitude of the electric field must be determined. As it can be seen in the sequel, there is an excellent matching between the empirical and the theoretical distribution. Once the distribution of  $|\mathbf{E}(P)|^2$  is estimated, the related  $q$ th percentile function,  $e_q(P)$ , can be determined as before, namely (with  $0 \leq q \leq 100$ )

$$\mathcal{P}_r \{ |\mathbf{E}(P)|^2 \leq e_q(P) \} = q\% \tag{31}$$

where  $e_q(P)$  coincides precisely with the  $q$ th percentile of the random variable  $|\mathbf{E}(P)|^2$ .

Now, an important aspect is worth highlighting. The expressions (28)–(30) hold even when  $\underline{X}(P)$  is not a multidimensional normal random vector. However, in the general case, although the coefficients  $\{w_i\}_{i=1}^6$  are still uncorrelated with each other, since the eigenvectors of  $\underline{\mathcal{K}}(P)$  are an orthonormal system [48], it cannot be asserted that these coefficients are also independent nor that they are normal random variables. However, as shown in the following section,

even when the number of radiators is relatively small, the present methodology proves to be effective.

## VI. NUMERICAL RESULTS

In this section, suitable numerical results are discussed to show the validity of the proposed methodology. Elementary dipoles are assumed as radiators [42], taking into account that the antenna element does not strongly affect the intrinsic performance of the array [52]. Consequently, the expression for the actual total electric field can be written as follows:

$$\begin{aligned}
\mathbf{E}(P) = K \Delta z \sum_{n=1}^N \left\{ F_n(A_n + \delta A_n) e^{j(\alpha_n + \delta \alpha_n)} \frac{e^{-jkR_n}}{R_n} \right. \\
\times \left[ \frac{(x - x_n)(z - z_n)}{R_n^2} \hat{\mathbf{x}} + \frac{y(z - z_n)}{R_n^2} \hat{\mathbf{y}} \right. \\
\left. \left. - \frac{(x - x_n)^2 + y^2}{R_n^2} \hat{\mathbf{z}} \right] \right\} \tag{32}
\end{aligned}$$

where  $\Delta z \ll \lambda$  is the dipole length,  $\lambda$  is the wavelength in the propagation medium, and, as before, the operator  $\times$  denotes the scalar multiplication. In particular, the dipole length is set equal to  $\Delta z = \lambda/50$ , although the present methodology does not depend on its actual value. For each  $n$ , it results:  $A_n = 1$  A,  $\sigma_{\delta A_n} = 0.2$  A,  $\sigma_{\delta \alpha_n} = 0.2$  rad,  $m_n = 0.97$ . As a first case, a  $N = N_x \times N_z = 11 \times 11 = 121$  periodic planar array is considered in which both the spacings along  $x$  and  $z$  are equal to  $\lambda$ , with  $N_x$  and  $N_z$  being the number of antenna elements along the  $x$ - and  $z$ -axis, respectively, (see Fig. 1). Subsequently, the case where  $N = N_x \times N_z = 6 \times 6 = 36$  is also considered, in order to show that the theoretical results can be exploited even when the total number of antenna elements is relatively low. For the examples below, the focal point is at  $(x_f, y_f, z_f) = (0, 20\lambda, 0)$  for the first case ( $N = 121$ ), while it is at  $(x_f, y_f, z_f) = (0, 10\lambda, 0)$  for the second case ( $N = 36$ ).

Fig. 2 shows the comparison between the normalized square magnitude of the ideal electric field [Fig. 2(a)], the normalized square magnitude of the mean of the actual electric field [Fig. 2(b)], the normalized mean squared magnitude of the electric field [Fig. 2(c)], and a realization of the squared magnitude of the actual electric field [Fig. 2(d)] in the plane of focus. As can be seen, the functions  $|\mathbf{E}_{id}(P)|^2 / \max\{|\mathbf{E}_{id}(P)|^2\}$  and  $|\underline{\mu}(P)|^2 / \max\{|\underline{\mu}(P)|^2\}$  exhibit almost the same behavior; instead, the normalized mean squared magnitude of the electric field presents a behavior similar to the first two functions in the cuts  $x/\lambda = 0$  and  $z/\lambda = 0$ , while, as compared to these, it shows significantly higher secondary lobes (relative with respect to the maximum value). This is consistent with the tolerance theory of far-field arrays, where the mean square magnitude of the array factor has a dominant term proportional to the squared magnitude of the ideal array factor, plus an additive error term which leads to a rise in the secondary lobe levels. The average behavior of the actual squared magnitude of the electric field is obviously also reflected in the realizations (sample paths) of  $|\mathbf{E}(P)|^2$ . Actually, observing Fig. 2(d), it can be recognized that the errors induce not only an elevation of the relative

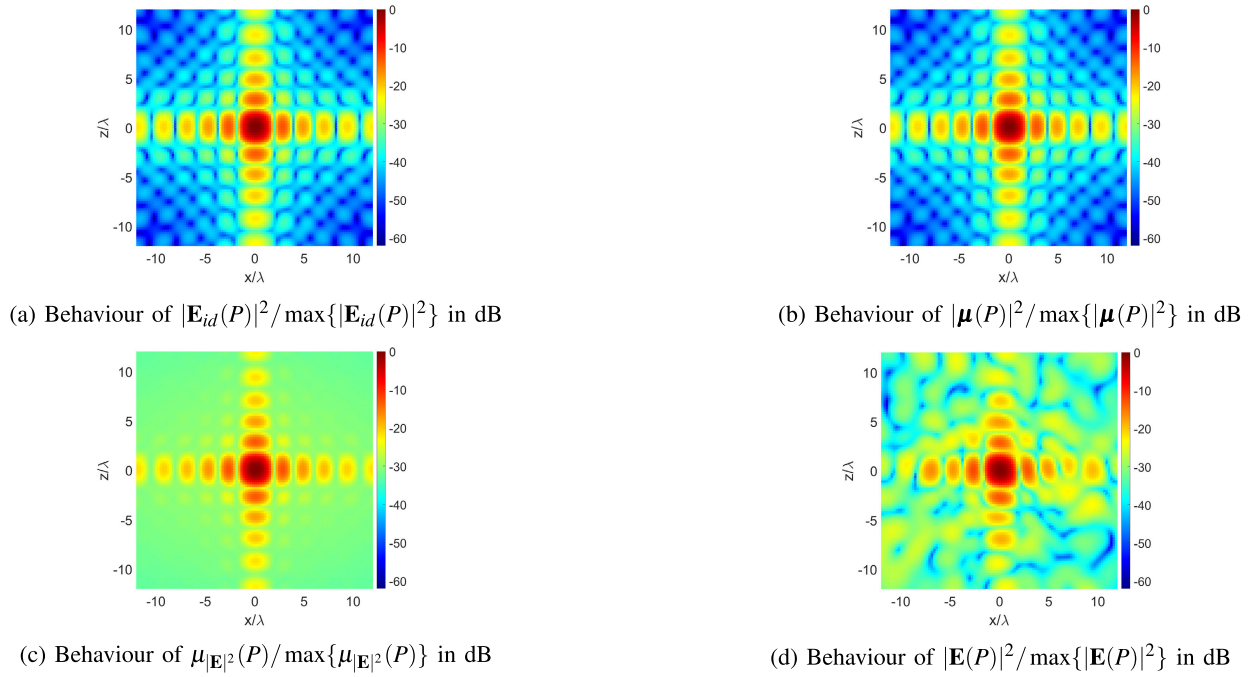


Fig. 2. Comparison, in the focal plane, between (a) normalized squared magnitude of the ideal electric field, (b) normalized squared magnitude of the mean of the actual electric field, (c) normalized mean of the squared magnitude of the actual electric field, and (d) normalized sample path of the squared magnitude of the actual electric field. The number of antenna elements is  $N = N_x \times N_z = 11 \times 11$ .

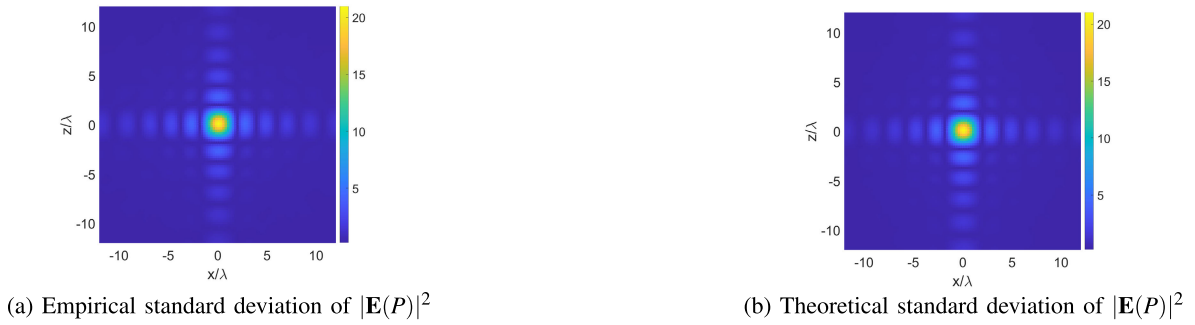


Fig. 3. Comparison, in the focal plane, between (a) empirical and (b) theoretical standard deviation of the squared magnitude of the electric field. The number of antenna elements is  $N = N_x \times N_z = 11 \times 11$  and the values are in linear scale.

levels of the secondary lobes, but also a distortion to the structure of the  $|\mathbf{E}(P)|^2$ . This confirms that it is important to consider the errors effect in near-field focused arrays, mainly if employed in high-performance scenarios. Fig. 3 compares the empirical standard deviation of the squared magnitude of the electric field, coinciding with the experimental variance of 2000 realizations of  $|\mathbf{E}(P)|^2$ , and the theoretical variance obtained by implementing (16). Observing the two figures, it can be noticed that (16) provides an excellent estimate of the variance of  $|\mathbf{E}(P)|^2$ .

Now, let us evaluate the validity of the methodology proposed in Section V. Fig. 4 compares, at the focal point, the empirical and the theoretical cdfs of the squared magnitude of the actual electric field. The empirical distribution is obtained through 2000 realizations of the random variable  $|\mathbf{E}(P)|^2$  ( $\psi$  denoting the values assumed by  $|\mathbf{E}(P)|^2$ , i.e.,  $F(\psi) = \mathcal{P}_r\{|\mathbf{E}(P)|^2 \leq \psi\}$ ), the latter obtained from the squared magnitude of (3). Instead, the *theoretical* distribution is obtained by means of (28)–(30). Furthermore, the behaviors of the second

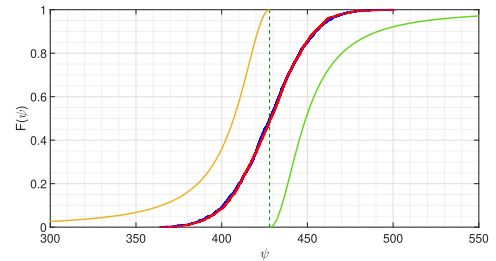


Fig. 4. Empirical (blue line) and theoretical (red line) cdf of the squared magnitude of the electric field at the focal point, together with the second members of the expressions related to Cantelli's inequality (orange line for  $\tau < 0$ , green line for  $\tau \geq 0$ ). The number of antenna elements is  $N = N_x \times N_z = 11 \times 11$ . The values of  $\psi$  are in linear scale.

members of the expressions related to Cantelli's inequality are also shown. In particular, the orange line shows the behavior of  $\sigma_{|\mathbf{E}|^2}^2(P) / [\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2]$ , the green curve is related to  $1 - \{\sigma_{|\mathbf{E}|^2}^2(P) / [\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2]\}$ , and the vertical dotted purple line crosses the abscissa axis at the mean of  $|\mathbf{E}(P)|^2$ . As it



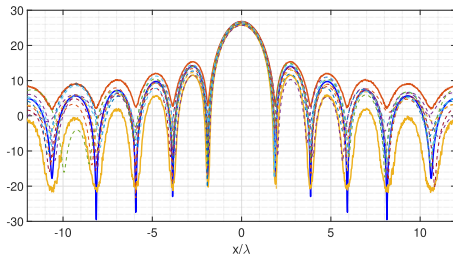


Fig. 5. Squared magnitude of the ideal electric field (blue solid line), 99th percentile function of the squared magnitude of the actual electric field (solid red line), first percentile function of the squared magnitude of the actual electric field (solid orange line), and various sample paths of the squared magnitude of the actual electric field (dashed lines) along the axis parallel to the  $x$ -axis and intersecting the  $y$ -axis at the focal point. The values on the abscissa axis are in linear scale, while those on the ordinate axis are in dB. The number of radiators is  $N = N_x \times N_z = 11 \times 11$ .

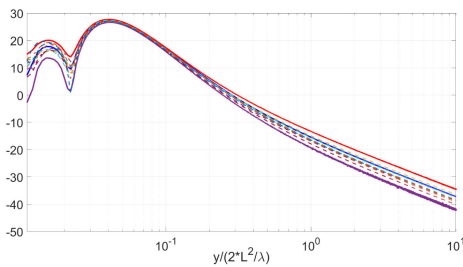


Fig. 6. Squared magnitude of the ideal electric field (blue solid line), 99th percentile function of the squared magnitude of the actual electric field (solid red line), first percentile function of the squared magnitude of the actual electric field (solid purple line), and various sample paths of the squared magnitude of the actual electric field (dashed lines) along the axis perpendicular to the array aperture and containing the focal point. The values on the abscissa axis are in logarithmic scale, while those on the ordinate axis are in dB. The number of radiators is  $N = N_x \times N_z = 11 \times 11$ .

can be seen, Cantelli's inequality provides bounds relatively far away from the actual distribution of  $|\mathbf{E}(P)|^2$ , if compared to the theoretical distribution obtained by the procedure described in Section V.

To further confirm the validity of the proposed methodology, in Fig. 5, it is illustrated the behavior of the field along the axis parallel to the  $x$ -axis and passing through the focal point, while in Fig. 6, the behavior of the field along  $y$ -axis, containing the focal point, is reported ( $L = \sqrt{L_x^2 + L_z^2}$ , with  $L_x$  and  $L_z$  being the lengths of the sides of the array). In particular, the above figures report the squared magnitude of the ideal electric field (blue solid line), the 99th percentile function (solid red line), the first percentile function (solid purple line), and different realizations of  $|\mathbf{E}(P)|^2$  (dashed lines). By observing both figures, the percentile functions represent good estimates for the boundaries of the region encompassing most of the values of the squared magnitude of the electric field. In this way, it can provide important information on electric field levels for applications where high reliability is required. Of course, other percentile functions can be considered, depending on the safety margins needed.

Now, to test the impact that errors have on the performance of NFFAs when the number of radiators is relatively small and to verify whether the proposed methodology is valid even in this case, some results are shown for  $N = N_x \times N_z = 6 \times 6$ .

Fig. 7 compares the functions  $|\mathbf{E}_{id}(P)|^2 / \max\{|\mathbf{E}_{id}(P)|^2\}$ ,  $|\boldsymbol{\mu}(P)|^2 / \max\{|\boldsymbol{\mu}(P)|^2\}$ ,  $\mu_{|\mathbf{E}|^2}(P) / \max\{\mu_{|\mathbf{E}|^2}(P)\}$  and a realization of  $|\mathbf{E}|^2(P) / \max\{|\mathbf{E}|^2(P)\}$ . As before, the squared magnitude of the (ideal) electric field and the squared magnitude of the mean of the electric field have the same behavior in terms of focal spot shape and sidelobes structure; instead, the mean of the squared magnitude of the electric field has a higher relative sidelobe level, which is reflected in the realization of the squared magnitude of the electric field. Fig. 8 compares the empirical and the theoretical distributions of  $|\mathbf{E}(P)|^2$ , together with the function  $\sigma_{|\mathbf{E}|^2}^2(P) / [\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2]$ , the green curve is related to  $1 - \{\sigma_{|\mathbf{E}|^2}^2(P) / [\sigma_{|\mathbf{E}|^2}^2(P) + \tau^2]\}$  related to (17), at the focal point. As before, the vertical purple dashed line crosses the abscissa axis at the mean of the squared magnitude of the electric field. Also in this case, the theoretical estimate of the distribution of  $|\mathbf{E}(P)|^2$  obtained through the procedure described in Section V is satisfactory, while the bounds given by Cantelli's inequality are far from the actual values. Finally, Figs. 9 and 10 compare the squared magnitude of the ideal electric field, the 99th percentile function, the first percentile function, and different realizations of  $|\mathbf{E}(P)|^2$  (dashed lines), as in Figs. 5 and 6. Again, the considered percentile functions provide a good delimitation of the region containing most of the values of  $|\mathbf{E}(P)|^2$ .

The results shown in this section have been considered the most significant for the purpose of sufficient validation of the proposed statistical analysis methodology. However, a numerical study based on the approach performed in [53] could also be conducted for a more in-depth analysis of the impact that errors exert on the performance of near-field focused arrays.

Before moving to the next section, it is worth asking whether the assumptions of Section II about mutual couplings can be justified. As an example, let us consider results obtained from full-wave simulations of a planar array of half-wavelength cylindrical dipoles (i.e., with noninfinitesimal diameters comparable to the lengths). As before, the dipoles are placed in the  $xz$  plane, and they are oriented along the  $z$ -axis. The focus point coincides with the point  $(x_f, y_f, z_f) = (0, 6.8854\lambda, 0)$ , and the nominal excitation coefficients all have the same magnitude. Fig. 11 shows the (normalized) squared magnitude of the electric field generated by the array at the focusing plane. In particular, Fig. 11(a) shows the theoretical squared magnitude of the electric field (i.e., dipoles with infinitesimal diameters) in which neither errors nor mutual coupling effects are considered. Fig. 11(b) shows the same quantity, but in the presence of only random errors (also in this case dipoles have infinitesimal diameters). As it can be seen, the presence of errors produces a distortion in the field structure, also causing an increase of the field level in the region of the secondary lobes. Fig. 11(c) and (d) shows the squared magnitude of the electric field obtained from full-wave simulations of the array, in the absence of errors, with dipoles having diameters equal to  $\lambda/50$  and  $\lambda/10$ , respectively. Dipoles of this type can be considered *broadband* as compared to standard thin dipoles [9]. As it can be seen, in this case, the field distortion due to mutual couplings shows a smaller entity as compared to that caused by random errors.

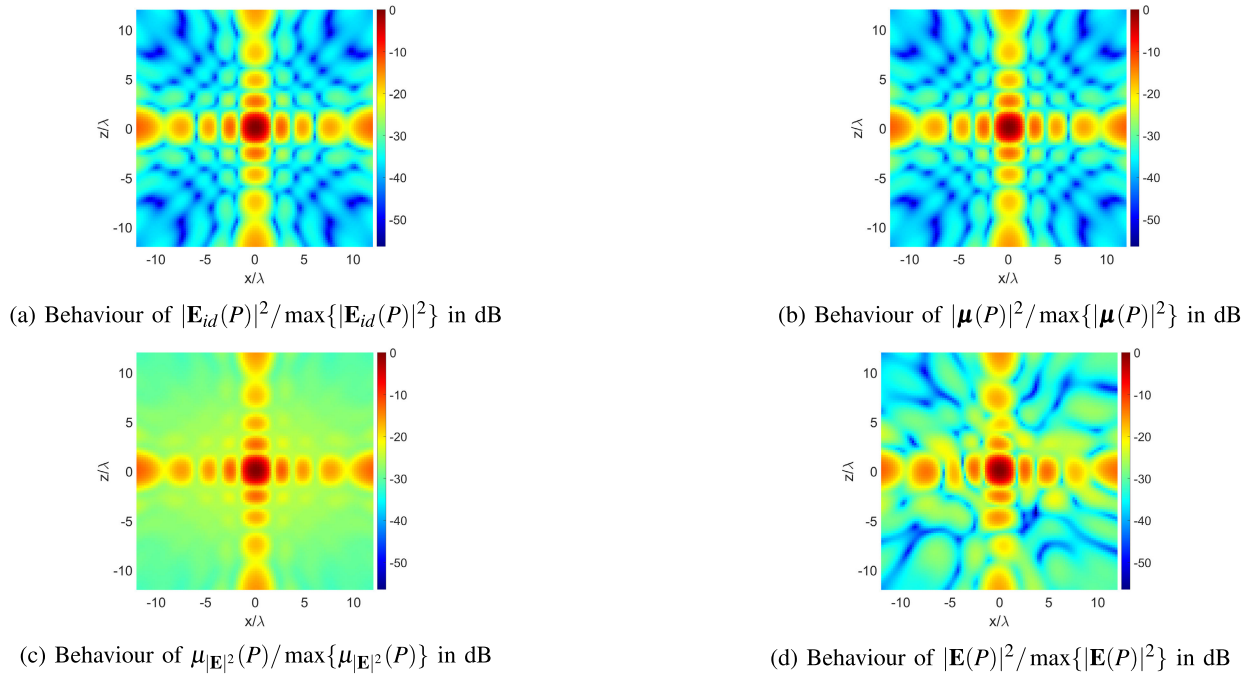


Fig. 7. Comparison, in the focal plane, between (a) normalized squared magnitude of the ideal electric field, (b) normalized squared magnitude of the mean of the actual electric field, (c) normalized mean of the squared magnitude of the actual electric field, and (d) normalized sample path of the squared magnitude of the actual electric field. The number of antenna elements is  $N = N_x \times N_z = 6 \times 6$ .

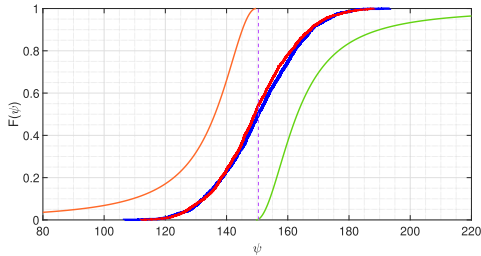


Fig. 8. Empirical (blue line) and theoretical (red line) cdf of the squared magnitude of the electric field at the focal point, together with the second members of the expressions related to Cantelli's inequality (orange line for  $\tau < 0$ , green line for  $\tau \geq 0$ ). The number of antenna elements is  $N = N_x \times N_z = 6 \times 6$ . The values of  $\psi$  are in linear scale.

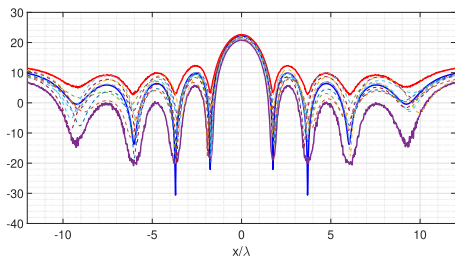


Fig. 9. Squared magnitude of the ideal electric field (blue solid line), 99th percentile function of the squared magnitude of the actual electric field (solid red line), first percentile function of the squared magnitude of the actual electric field (solid purple line), and various sample paths of the squared magnitude of the actual electric field (dashed lines) along the axis parallel to the  $x$ -axis and intersecting the  $y$ -axis at the focal point. The values on the abscissa axis are in linear scale, while those on the ordinate axis are in dB. The number of radiators is  $N = N_x \times N_z = 6 \times 6$ .

Consequently, in such situations where errors predominate over mutual couplings (since the latter can be neglected or adequately compensated), the proposed methodology can be

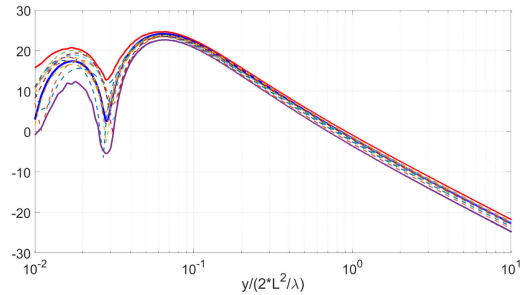


Fig. 10. Squared magnitude of the ideal electric field (blue solid line), 99th percentile function of the squared magnitude of the actual electric field (solid red line), first percentile function of the squared magnitude of the actual electric field (solid purple line), and various sample paths of the squared magnitude of the actual electric field (dashed lines) along the axis perpendicular to the array aperture and containing the focal point. The values on the abscissa axis are in logarithmic scale, while those on the ordinate axis are in dB. The number of radiators is  $N = N_x \times N_z = 6 \times 6$ .

useful to have a more realistic characterization of near-field focused arrays.

## VII. EXPERIMENTAL RESULTS

In the present section, some experimental results are discussed to show the impact of errors on actual practical fields, as well as to highlight a possible link between the array tolerance theory and the array diagnostics [54]. Concerning this last aspect, in both cases, faults can be modeled through binary quantities multiplying the excitation coefficients. In principle, the array tolerance theory and the array diagnostics can be seen as different ways of dealing with the same problem, the first one being useful to obtain a priori information on the difference between the actual field and the nominal one, and the second one being useful to achieve a posteriori information

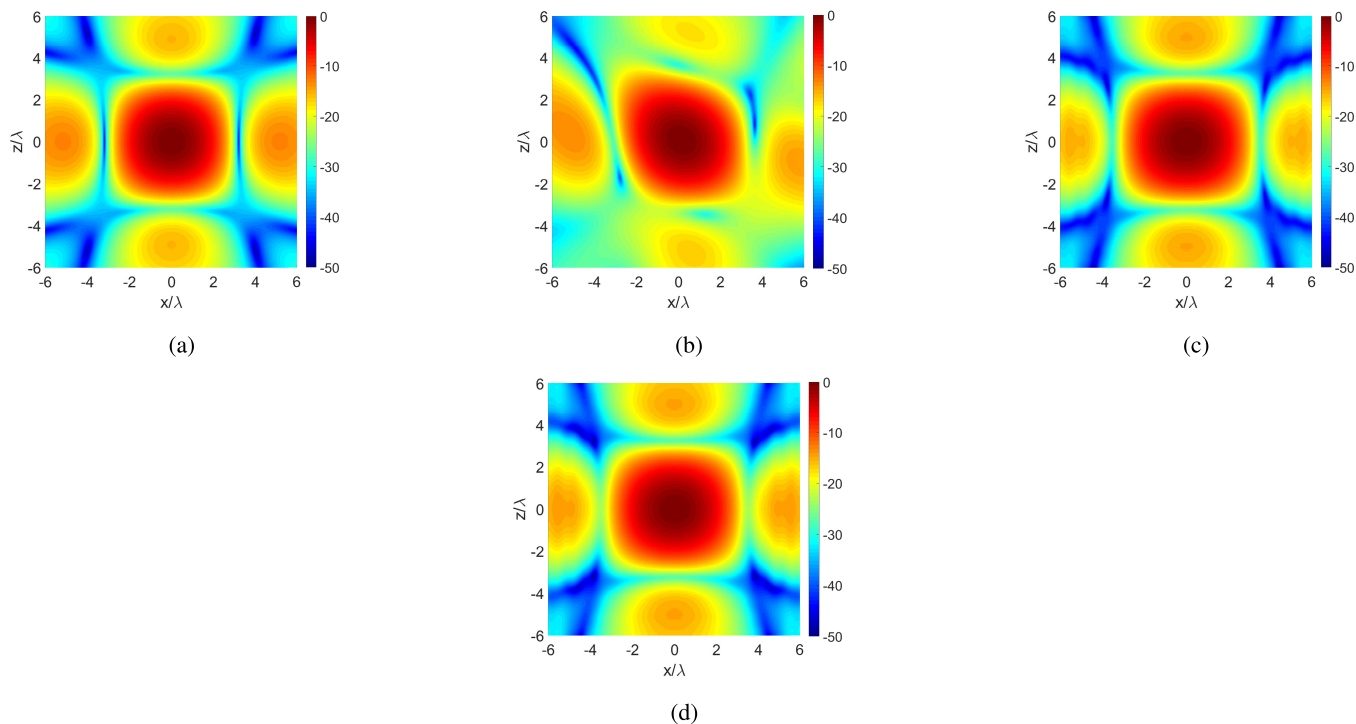


Fig. 11. Normalized squared magnitude of the electric field (in dB), at the focusing plane, for a planar array of 16 half-wavelength dipoles with uniform  $0.6\lambda$  spacing in both directions. (a) Theoretical (ideal) case. (b) Theoretical case in the presence of random errors. (c) Full-wave simulation with dipoles diameter equal to  $\lambda/50$ . (d) Full-wave simulation with dipoles diameter equal to  $\lambda/10$ .

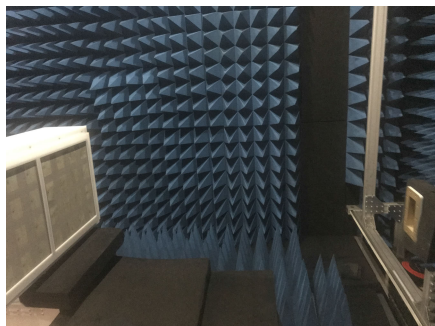


Fig. 12. Measurement setup into ERMias Laboratory at University of Calabria.

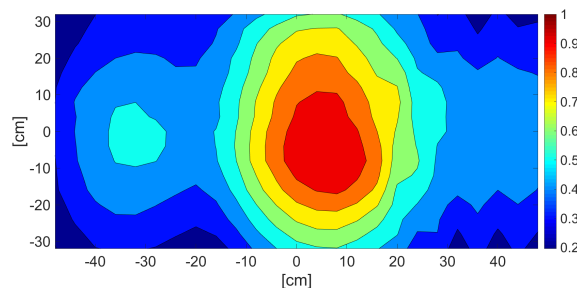


Fig. 14. Normalized amplitude of the measured near-field in the presence of errors (the values are in linear scale).

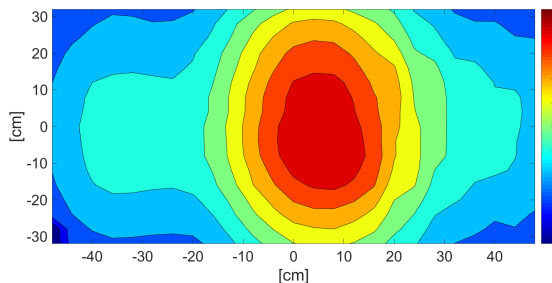


Fig. 13. Normalized amplitude of the measured near-field in the absence of errors (the values are in linear scale).

on the actual field with the aim to identify faulty array elements.

In Fig. 12, the measurement setup equipped into ERMias Laboratory at University of Calabria is illustrated. It includes a

L-band planar array of microstrip rectangular patches, having an interelement spacing approximately equal to  $0.6\lambda$ , which is assumed as antenna under test (AUT). A standard rectangular waveguide working in the same frequency range is adopted as probe to perform the planar near-field measurements on a grid of  $25 \times 17$  points along  $x$  and  $y$  directions, respectively, with a sampling step  $\Delta x = \Delta y = \lambda/4$  at an operating frequency  $f = 1.685$  GHz. In this experimental test case, the array is far-field focused in the direction perpendicular to the array aperture, but field measurements are performed in the Fresnel zone. It is worth highlighting that the characterization of random errors does not depend on whether the arrays are focused in the near zone or in the far zone. For comparison purposes, to highlight the field distortion effects of errors, in Figs. 13 and 14, the normalized squared magnitude of the measured electric field in the absence of errors and in the presence of element failures are reported, respectively.

### VIII. CONCLUSION

A new methodology implementing a useful tolerance theory for near-field focused arrays has been proposed in this work, to characterize the statistical behavior of the full vector electric field in the presence of random errors affecting the performance of antenna arrays with arbitrary geometry. As a preliminary operation, a first- and second-order partial statistical characterization of the electric field has been performed. Subsequently, the mean squared errors between the actual and the desired electric field, and between the actual and the ideal squared magnitude of the electric field have been considered. Finally, the efficient computation of the cdf of the squared magnitude of the electric field is performed by considering the vector including both the real and the imaginary parts of the three complex scalar components modeled in terms of a multivariate Gaussian vector. Following the above procedure, suitable confidence regions for the electric field magnitude have been identified through proper percentile functions. In the present work, mutual couplings have been assumed to be weak enough so to avoid any influence on the vector structure of the electric or magnetic current densities. However, as a future goal, a procedure will be developed to consider the actual effective lengths, thus leading to include also the mutual coupling effects, so obtaining a more accurate analysis of the random errors impact on NFFAs. The proposed approach can be usefully adopted to guarantee human safety in all those microwave and RF applications adopting NFFAs.

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