

Spectral Kurtosis Theory: A Review through Simulations

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Abstract

Kurtosis of a time signal has been a popular tool for detecting nongaussianity. Recently, kurtosis as a function frequency defined in spectral domain has been successfully used in the fault detection of induction motors, machine bearings. A link between the nongaussianity and nonstationarity has been established through Wold-Cramer's decomposition of a nonstationary signal, and the properties of the so-designated conditional nonstationary (CNS) process have been analytically obtained. As the nonstationary signals are abundantly found in music, the spectral kurtosis could find applications in audio processing e.g. music instrument classification and music-speech classification. In this paper, the theory of spectral kurtosis is briefly reviewed from the first principles and the spectral kurtosis properties of some popular stationary signals, nonstationary signals and mixed processes are analytically obtained. Extensive Monte Carlo simulations are carried out to support the theory.

Index terms— spectral kurtosis, stft, random amplitude sinusoid, chirp, harmonic sinusoid, higher order statistics, wold-cramer's decomposition, mixing processes

1 Introduction

Characterization of a given signal as noise like or tone like finds several applications in music speech classification [1,2,3], perceptual audio coding [4], Multi Band Excitation (MBE) model based perceptual coding of speech [5] and voice activity detection [6]. Within each category, the signals may be stationary/nonstationary/transient signal or gaussian/nongaussian. The Nongaussianity and/or nonstationary signal also occur when a radar signal is reflected by a fluctuating target or clutter [7] or when a communication signal passes through a fading wireless channel [8,9]. The fourth-order cumulant based kurtosis of the time signal was traditionally used for nongaussianity detection [10], Harmonic Retrieval from nongaussian processes [11], nonminimum phase system identification [12]. Recently the frequency dependent kurtosis defined in spectral domain was proposed and successfully used in bearing fault detection [13,14,15] and vibratory surveillance and diagnostics of rotating machines [16]. Spectral Kurtosis (SK) was originally introduced by Dwyer [17] where it was defined on the real part of the STFT filter bank output to overcome the deficiency of the power spectral density to detect and characterize the signal transients. Vrabie [18] justified the theoretical definition of SK and proposed an unbiased estimator of SK. Antoni [19,20] formulated SK differently by using Wold-Cramér decomposition with a theoretical basis for the SK estimation of non-stationary processes. He also practically used it for machine surveillance and diagnostics [16,21]. Other applications of spectral kurtosis reported in the literature include SNR estimation in speech signals [22], denoising [23] and subterranean termite detection [24].

In this paper, the important aspects of original spectral kurtosis theory is reviewed from fundamentals. The spectral kurtosis properties of both stationary and nonstationary signals as well as the stochastic mixtures are analytically obtained.

Extensive Monte Carlo simulations are carried out to support the theory reviewed and the spectral kurtosis of several processes at different signal-to-noise ratios (SNRs) is estimated. The results are in perfect match with the previous analytical findings.

The paper is organized section wise as follows. The mathematical basics of spectral kurtosis are introduced in the section II. The Test Signal Set comprising several popular signals are analytically described in section III.

46 Short time fourier transform (STFT) for dynamically estimating the magnitude spectrum and the expression for
 47 estimation of SK from STFT is given in section IV. In Section V the details of Monte Carlo simulations of the
 48 Test Signal Set and the derived mixture processes, and the simulation results are presented. Finally the review
 49 summary and future work is given in Section VI.

50 2 II.

51 3 Spectral Kurtosis a) Background

52 Wold-Cramer's decomposition uniquely describes a non-stationary signal $y(t)$ as the response of a causal linear
 53 system with time varying impulse response $h(t, s)$ excited by a signal $X(t)$ i.e.

54 4 $Y(t) = \int_{-\infty}^t h(t, s) X(s) ds$ (1)

55) = $\int_{-\infty}^t h(t, s) X(s) ds$ at time instant t -s. The frequency counterpart of eq.(1) is given by $Y(f) = \int_{-\infty}^{\infty} H(f, \omega) X(\omega) dX(\omega)$
 56 at time instant t -s. The frequency counterpart of eq.(1) is given by $Y(f) = \int_{-\infty}^{\infty} H(f, \omega) X(\omega) dX(\omega)$
 57 $\exp(j2\pi f t) \int_{-\infty}^{\infty} H(f, \omega) X(\omega) dX(\omega)$ where $H(t, f)$ is the time varying transfer function of the system, which can be interpreted as the complex
 58 envelope of signal $Y(t)$ at frequency f and $dX(f)$ is an ortho-normal spectral process associated with input driving
 59 process $X(t)$. In many cases, $H(t, f)$ is stochastic and can be represented with $H(t, f, \theta)$ where θ is
 60 a representative random parameter of filter's time varying transfer function. Let $H(t, f)$ be conditioned to θ i.e.
 61 the shape of $H(t, f)$ depends on the outcome of the random variable θ . $H(t, f, \theta)$ can be assumed to be time
 62 stationary, stochastic and independent of the spectral process $dX(f)$. Thus the signal $X(t)$ is stationary in general
 63 but non-stationary for a particular outcome θ . Such a process was designated as conditionally nonstationary
 64 (CNS) process in [19]. It may be noted down that the simplest way to convert a nonstationary process to a
 65 CNS process is the time datum randomization. Any CNS process driven by a white process $X(t)$ of order p
 66 4 is likely to be leptokurtic i.e. its probability density function having tails flatter than those of its generating
 67 gaussian process and hence non-gaussian. In fact, this connectivity between the CNS and nongaussianity makes
 68 the kurtosis, originally defined on time processes to characterize the nongaussianity, a very useful in analyzing
 69 the nonstationary processes through kurtosis defined in spectral domain.

70 For the stationary white driving process $X(t)$ of order $p \leq 2n$, the spectral kurtosis of the nonstationary signal
 71 $Y(t)$ is defined as the normalized fourth-order spectral cumulant [19] as $K_4(f) = \frac{C_4(f)}{C_2^2(f)}$
 72 $\frac{C_4(f)}{C_2^2(f)}$ where $C_4(f)$ is the fourth-order spectral cumulant and $C_2(f)$ is the second-order spectral cumulant.
 73 $C_4(f) = \int_{-\infty}^{\infty} \int_{-\infty}^{\infty} \int_{-\infty}^{\infty} \int_{-\infty}^{\infty} H(f, \omega_1) H(f, \omega_2) H(f, \omega_3) H(f, \omega_4) X(\omega_1) X(\omega_2) X(\omega_3) X(\omega_4) d\omega_1 d\omega_2 d\omega_3 d\omega_4$
 74 $\int_{-\infty}^{\infty} \int_{-\infty}^{\infty} \int_{-\infty}^{\infty} \int_{-\infty}^{\infty} H(f, \omega_1) H(f, \omega_2) H(f, \omega_3) H(f, \omega_4) X(\omega_1) X(\omega_2) X(\omega_3) X(\omega_4) d\omega_1 d\omega_2 d\omega_3 d\omega_4$
 75 where the factor 2 in place of 3 as in usual definition of cumulants comes from the fact that $dX(f)$ is a circular
 76 random variable, $K_4(f)$ is the kurtosis of the (stochastic) frequency response of the time varying
 77 filter and $K_2(f)$ is the time kurtosis of the input process.

78 If $Y(t)$ is a purely stationary process, then $K_4(f)$ is independent of frequency and is unity, then
 79 spectral kurtosis of $Y(t)$ is given by $K_4(f) = \frac{C_4(f)}{C_2^2(f)}$
 80 which is a constant and independent of the frequency.

81 In particular, the spectral kurtosis of a stationary gaussian process is zero (i.e. $K_4(f) = 0$).

82 5 b) Mixing Processes

83 Let $Z(t)$ be the mixture of two processes (i) a non-stationary process $Y(t)$ and (ii). a stationary additive noise
 84 $N(t)$. $Z(t) = Y(t) + N(t)$

85 The spectral kurtosis of this mixture is given by [19] $K_4(f) = \frac{C_4(f)}{C_2^2(f)}$
 86 $\frac{C_4(f)}{C_2^2(f)}$ where $C_4(f)$ is the fourth-order spectral cumulant and $C_2(f)$ is the second-order spectral cumulant.
 87 where $\frac{C_4(f)}{C_2^2(f)}$ is the local Noise-to-Signal power ratio at the frequency f given by $\frac{C_4(f)}{C_2^2(f)}$
 88 $\frac{C_4(f)}{C_2^2(f)}$ (7)

89 If the mixing process $N(t)$ is stationary (white or colored) gaussian process, then $\frac{C_4(f)}{C_2^2(f)}$ vanishes
 90 at all frequencies except at $\frac{C_4(f)}{C_2^2(f)} \neq 0$. Thus eq.(6) becomes $\frac{C_4(f)}{C_2^2(f)} = \frac{C_4(f)}{C_2^2(f)}$
 91 $\frac{C_4(f)}{C_2^2(f)}$ (8)

92 If the noise power is zero i.e. signal is clean, then $\frac{C_4(f)}{C_2^2(f)} = 0$ and hence $\frac{C_4(f)}{C_2^2(f)} = \frac{C_4(f)}{C_2^2(f)}$
 93 $\frac{C_4(f)}{C_2^2(f)}$ (9)

94 When the process $Y(t)$ is gaussian, eq.(6) becomes $\frac{C_4(f)}{C_2^2(f)} = \frac{C_4(f)}{C_2^2(f)}$
 95 $\frac{C_4(f)}{C_2^2(f)}$ (10)

96 where $\frac{C_4(f)}{C_2^2(f)}$ is finite. If the noise power becomes larger and larger, $\frac{C_4(f)}{C_2^2(f)} \rightarrow \infty$, the process
 97 $Z(t)$ becomes purely the mixing noise process, the spectral kurtosis becomes $\frac{C_4(f)}{C_2^2(f)} = \frac{C_4(f)}{C_2^2(f)}$
 98 $\frac{C_4(f)}{C_2^2(f)}$ (11)

99 III.

100 6 Test Signal Set

101 In what follows, some commonly found signals are considered for analytically computing the spectral kurtosis.
 102 The spectral kurtosis of some other signals not considered earlier is also obtained analytically.

160 The Frequency Modulated (FM) signal can be obtained as $s(t) = A \cos(2\pi f_c t + 2\pi k_f \int f(t) dt)$ (23) f) Chirp Signal

162 A chirp signal is a frequency modulated signal in which the frequency of the carrier is linearly or hyperbolically
 163 varied. This kind of chirp signal is extensively used in pulse radars for achieving higher range resolution using a
 164 longer transmitted pulse, which is otherwise possible with a shorter transmitted pulse [14]. A phase modulated
 165 signal is given by $s(t) = A \cos(\phi(t)) = A \cos(2\pi f_c t + \phi(t))$ (24)

166 where $\phi(t)$ is the time-varying phase of the carrier. The frequency profile $f(t)$ can be linear, quadratic or
 167 logarithmic.

168 In a linear chirp signal, the carrier frequency f is varied as $f(t) = f_0 + \alpha t$, where $\alpha = df/dt$ is the chirp
 169 rate. Then time-varying phase of the carrier is given by $\phi(t) = 2\pi f_0 t + \pi \alpha t^2$ (25)

170 Substituting eq. (25) in eq. (24), we get $s(t) = A \cos(2\pi f_0 t + \pi \alpha t^2)$ (26)

171 If the start frequency at $t = 0$ is f_0 and the end frequency at $t = T$ is f_1 , then the chirp rate is given
 172 by $\alpha = (f_1 - f_0) / T$.

173 In a quadratic chirp signal, the instantaneous frequency is given by $f(t) = f_0 + \alpha t + \beta t^2$ (27)

174 where $\alpha = (df/dt)_{t=0}$ and $\beta = (d^2f/dt^2)_{t=0}$.

175 In a logarithmic chirp signal, the instantaneous frequency is given by $f(t) = f_0 + \alpha \ln(t)$ (28)

176 where $\alpha = (df/dt)_{t=1}$.

177 IV.

12 STFT Based Spectral Kurtosis Estimation

181 In this section a means of estimating the spectral kurtosis from the short time fourier transform (STFT) is
 182 presented. Here the input signal $y(n)$ is divided into overlapping or non overlapping frames each of size N ,
 183 multiplied by a window function $w(k)$ like a hamming window of same size and analyzed by using the Fourier
 184 Transform. A matrix popularly known as a spectrogram is formed by arranging STFT coefficients as columns as
 185 given by $S(l, k) = \sum_{n=0}^{N-1} y(n) w(n - lM) e^{-j2\pi k(n - lM)}$ (29)

186 where k is the frequency index, l is the time frame index, M is the hop size, K is the total number of frequency
 187 bins of one-sided STFT and L is the total number of frames contained in the signal. An un-biased estimator of
 188 the spectral kurtosis is proposed in [19] based on L realizations of K -sample signal. The discrete fourier transform
 189 (DFT) on a K -sample signal computes the signal spectrum at K number of discrete frequencies. If the L number
 190 of nonoverlapping frames used in the STFT analysis are considered as L number of the independent stochastic
 191 signal realizations, the spectral kurtosis $K_s(k)$ at the frequency index k can be computed from the k -
 192 0-th row of the spectrogram matrix $S(k, :)$. The spectral kurtosis at all frequency indices k is
 193 given by $K_s(k) = \frac{1}{L} \sum_{l=0}^{L-1} |S(l, k)|^4 / \{ \frac{1}{L} \sum_{l=0}^{L-1} |S(l, k)|^2 \}^2$ (30)

13 Simulations and Results

197 The following signals are simulated using eq. (12), eq. (14), eq. (15) and eq. (20) through eq. (28). A composite
 198 signal if formed by summing four sinusoids of frequencies 1800Hz, 4000Hz, 9000Hz and 18000Hz with respective
 199 amplitudes: 1.0, 0.25, 0.7 and 2.0 is formed. An additive white gaussian noise (AWGN) is added to the composite
 200 signal to form the first mixture process. Thus the mixture comprises a total five signals: four constant amplitude
 201 sinusoids and gaussian noise. The variance of AWGN is adjusted so as to obtain signal-to-noise ratios of 30dB,
 202 20dB, 10dB, 0dB, -5dB and -10dB.

203 The mixture signal is generated for a duration of 1.1610 seconds. STFT is computed for frames or window
 204 size of 256 samples with 50% (i.e. 128 samples) overlap. Each frame is multiplied by a hamming window of
 205 256 samples and a 256-point FFT is computed thus giving a spectrogram matrix of size 256×399 (255, 398);
 206 ; 0 255, 0 398 each of 256 frequency bins of spectrogram matrix is averaged over 399 frames
 207 to obtain a mean STFT spectrum $\bar{S}(k) = \frac{1}{399} \sum_{l=0}^{398} S(l, k)$; 0 255 which is called here as Averaged
 208 STFT Spectrum. Fig. 1a gives the Averaged STFT Spectrum of Mixture-1 for different SNRs. Four peaks of
 209 different amplitudes observed in the spectrum correspond to four sine waves in the mixture. The low amplitude
 210 second peak is submerged in the noise floor at low SNRs below 0dB. As the SNR decreases, the noise floor also
 211 increases. The spectral kurtosis $K_s(k)$; 0 255 is also computed from the spectrogram matrix using
 212 eq.(28) as explained in section IV. It may be noted that $K_s(0)$ is to be ignored, as the kurtosis is not defined
 213 at $f = 0$. The Fig. 1b gives the spectral kurtosis (SK) of Mixture-1 for different SNRs.

214 The spectral kurtosis has four negative peaks corresponding to four sinusoids. For higher SNR (30dB) the
 215 peaks have a value of -1 irrespective of the sinusoid amplitudes. As the SNR decreases, the peaks values increase
 216 from -1 towards zero. Local SNR computed at peak locations vary depending upon the amplitude of the sinusoid.
 217 Here it is maximum at 18000Hz and minimum at 4000Hz. It may be noted down that the SNR referred in the
 218 legend of the figures 1(a) and (b) is the global SNR, which is computed based on the aggregate of all sinusoids.
 219

220 For global SNRs below 0dB, where the AWGN power dominates the aggregate power of all sinusoids, the mixture
221 becomes more and more gaussian, the spectral kurtosis tends to zero, relatively faster at 4000Hz where the local
222 SNR is minimum. b) Mixture-2

223 The second Mixture process comprises six components: constant amplitude sinusoid(CAS), two damped
224 sinusoids(DS1 and DS2) with different damping factors, colored gaussian noise(CGN), colored uniform(i.e.
225 nongaussian) noise(CnGN) and AWGN. Global SNR is computed with respect to AWGN considering the other
226 five components as composite signal. The CGN is obtained by passing white gaussian noise through a 6-order
227 butterworth band pass filter having passband between 10KHz and 13KHz. The CnGN obtained by passing white
228 uniform noise through a 6-order butterworth band pass filter having passband edges at 15KHz and 17KHz. 20).
229 The SK of the second sinusoid at 2500Hz is +1.0, corresponding to gaussian distributed amplitude variations (see
230 eq. 19). The SK of fourth sinusoid at 5500Hz is 0.0, corresponding to rayleigh distributed amplitude variations
231 (see eq.21). The fourth Mixture is basically a harmonic sinusoid with a fundamental at 800Hz and having 10
232 harmonics contaminated by an AWGN. The amplitude of n-th harmonic is 1/n, but this amplitude remains
233 constant with time. The STFT spectrum of this mixture is shown in Figure 5(a) for SNRs of 20dB, 10dB and
234 0dB. The ten negative peaks in SK plot of Figure 5(b) correspond to seven sinusoids. Please note that each peak
235 is -1 irrespective of the harmonic number for higher SNRs. As SNR decreases, the negative peaks move from -1
236 towards zero. The SK of AM signal is -1.0 since the carrier is strong due to low modulation index and resembles
237 a constant amplitude at carrier frequency of 12KHz.. The SK of DSB is positive at carrier frequency of 12KHz
238 showing its nonstationary nature. The SK of the next two mixtures LSB and USB is over the signal bandwidth.
239 However, at the band edges, the SK takes exceptionally large values.

240 14 f) Mixture-6

241 The sixth Mixture is made up of different chirp signals: linear, quadratic and logarithmic chirps generated using
242 the eq.(24) through eq.(28). Each chirp is shown in different colors in Fig 11. The STFT spectrum of this
243 mixture is shown in Figure 11(a)

244 15 Conclusions and Future Work

245 The cumulant based spectral kurtosis defined in frequency domain originally proposed for bearing fault detection
246 and monitoring of electrical machines, is a promising tool for analyzing nonstationary signals. It complements
247 the traditional power spectrum based on second order statistics. In this paper, the theory of spectral kurtosis
248 is briefly reviewed from the fundamentals. The properties of spectral kurtosis of popular stationary signals,
249 nonstationary signals and mixed processes are analytically given.

250 Extensive Monte Carlo simulations were carried out to support the theory. The spectral kurtosis of the
251 simulated stationary, nonstationary and mixed processes at different signal-tonoise ratios (SNRs) is estimated and
252 the results are in good match with the previous analytical findings. The review highlights the usage of spectral
253 kurtosis for other areas of signal processing like communications and radar signal processing. Future work could
254 be (i). Obtaining closed-form expressions for spectral kurtosis of communication and radar signals (analog or
255 digital modulated) (ii). classification of communication signals using spectral kurtosis at different SNRs.(iii).
256 radar signal classification using spectral kurtosis.

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Figure 1:

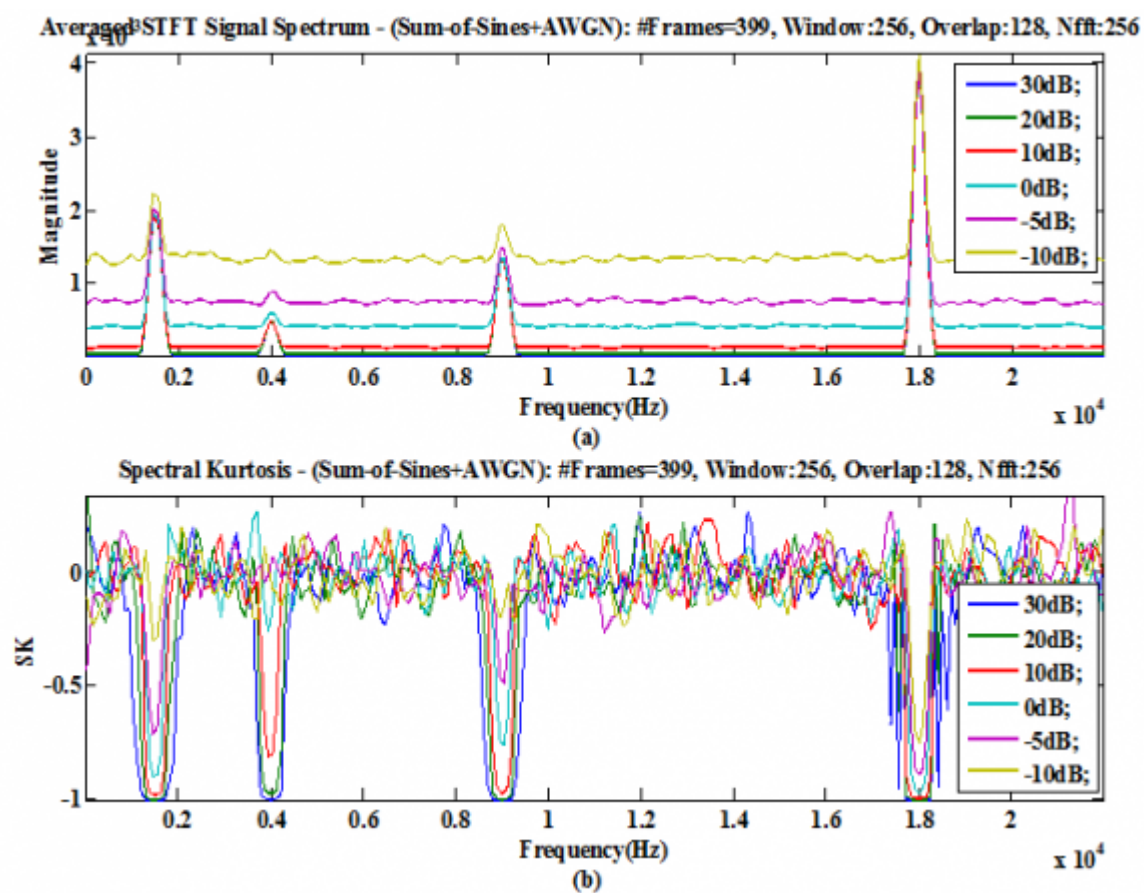
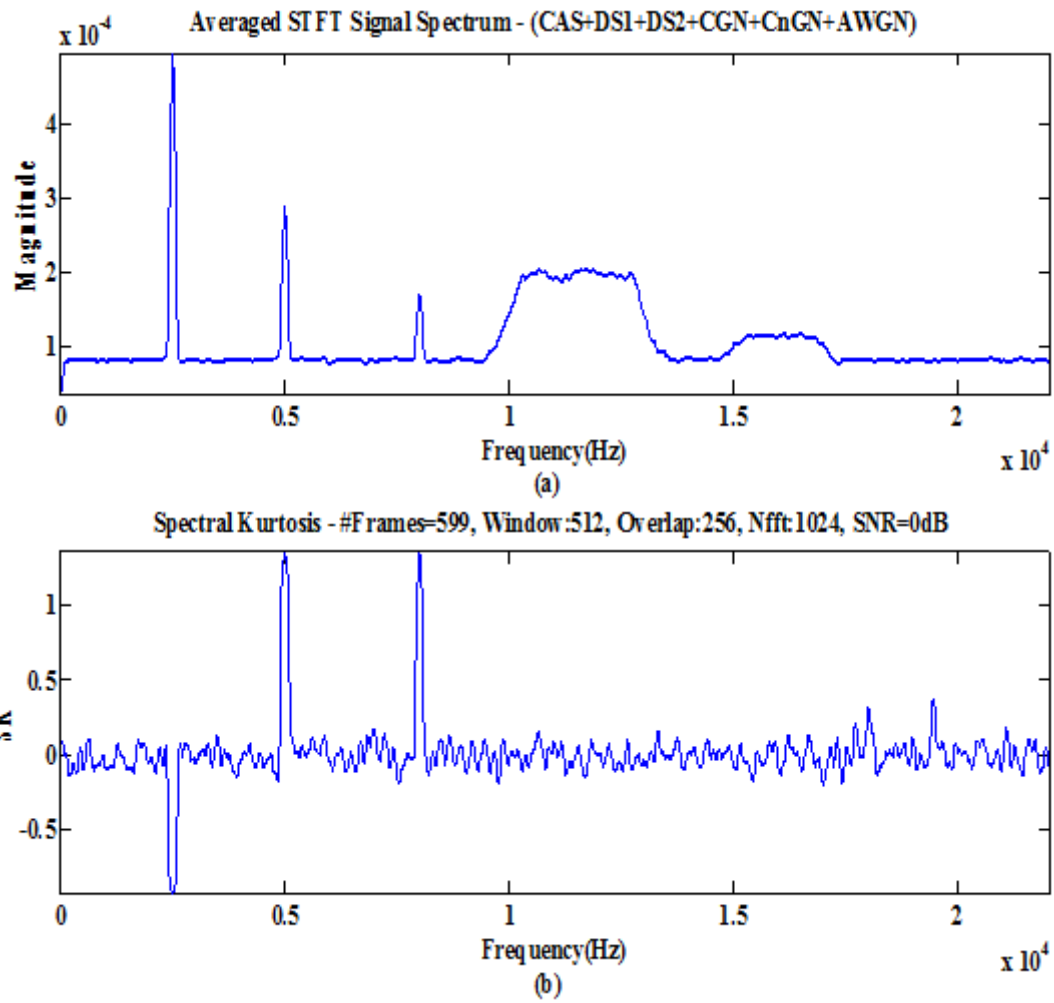
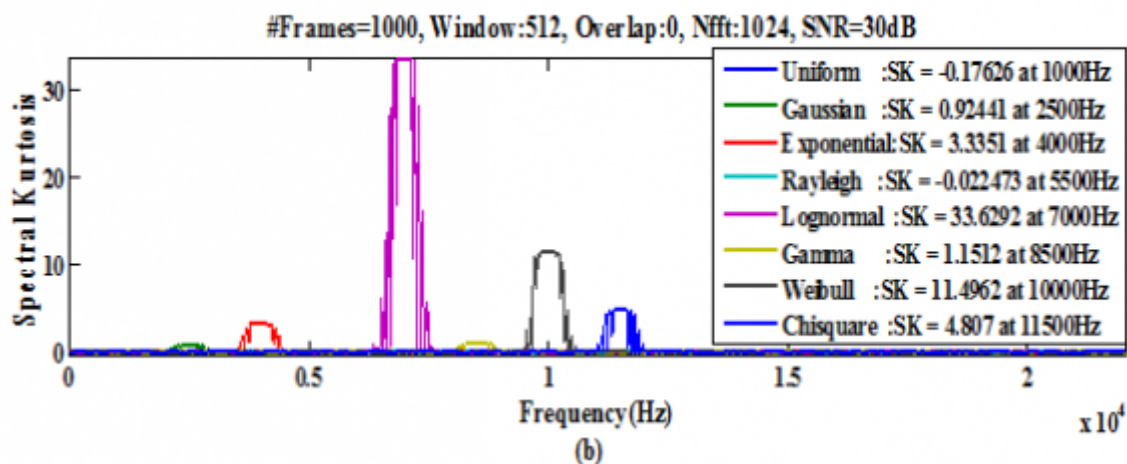
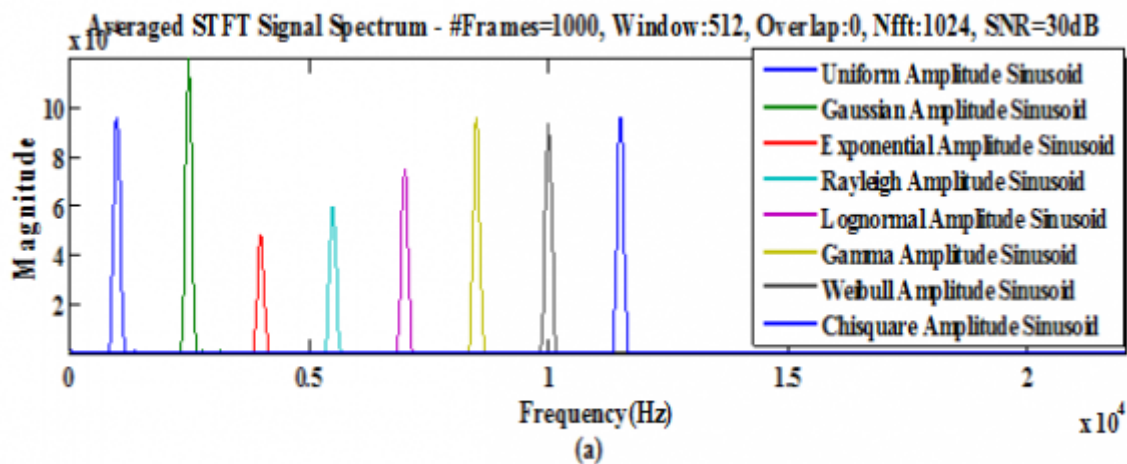


Figure 2: (F



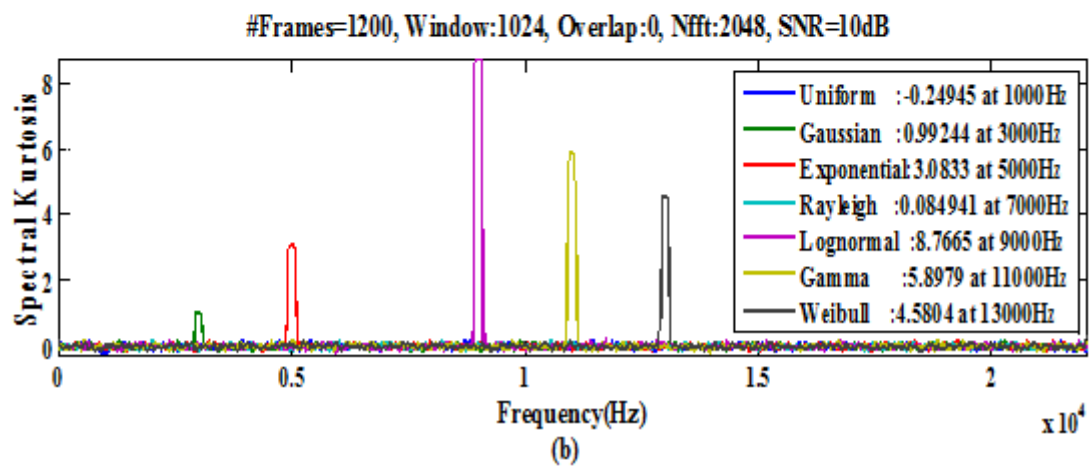
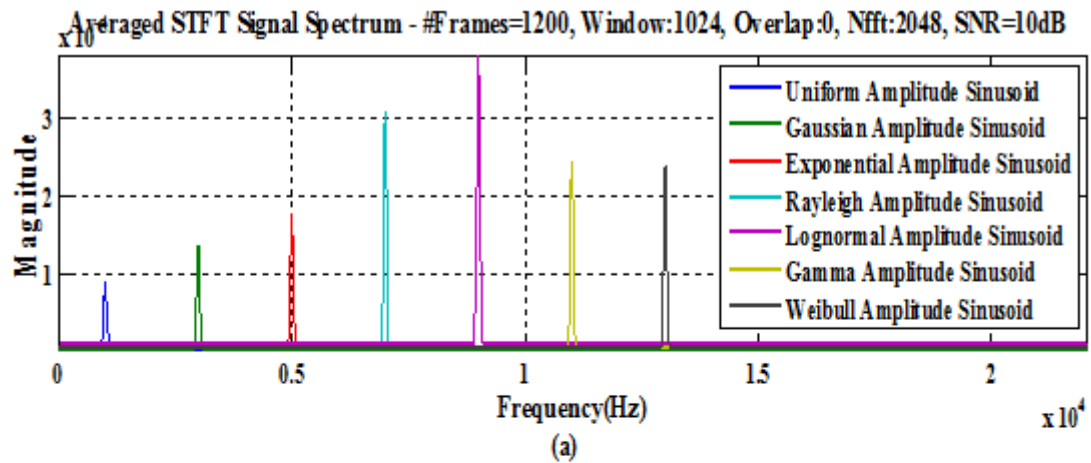
1

Figure 3: Fig. 1 :



2

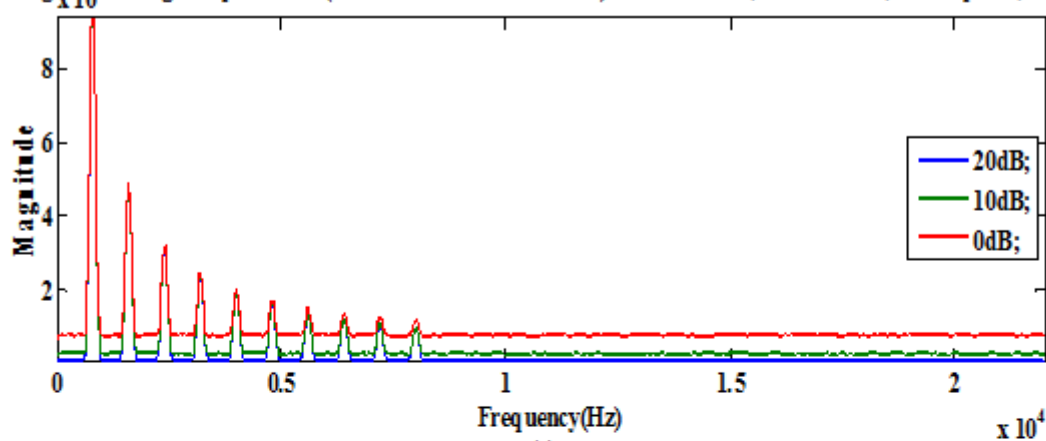
Figure 4: Fig. 2 :



3

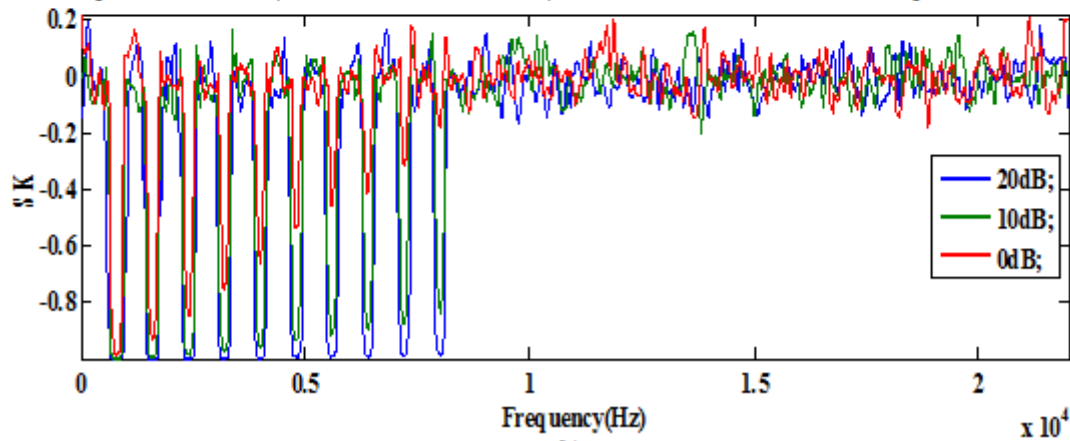
Figure 5: c) Mixture- 3

Averaged SFFT Signal Spectrum - (Harmonic Sinusoid+AWGN): #Frames=999, Window:512, Overlap:256, Nfft:512



(a)

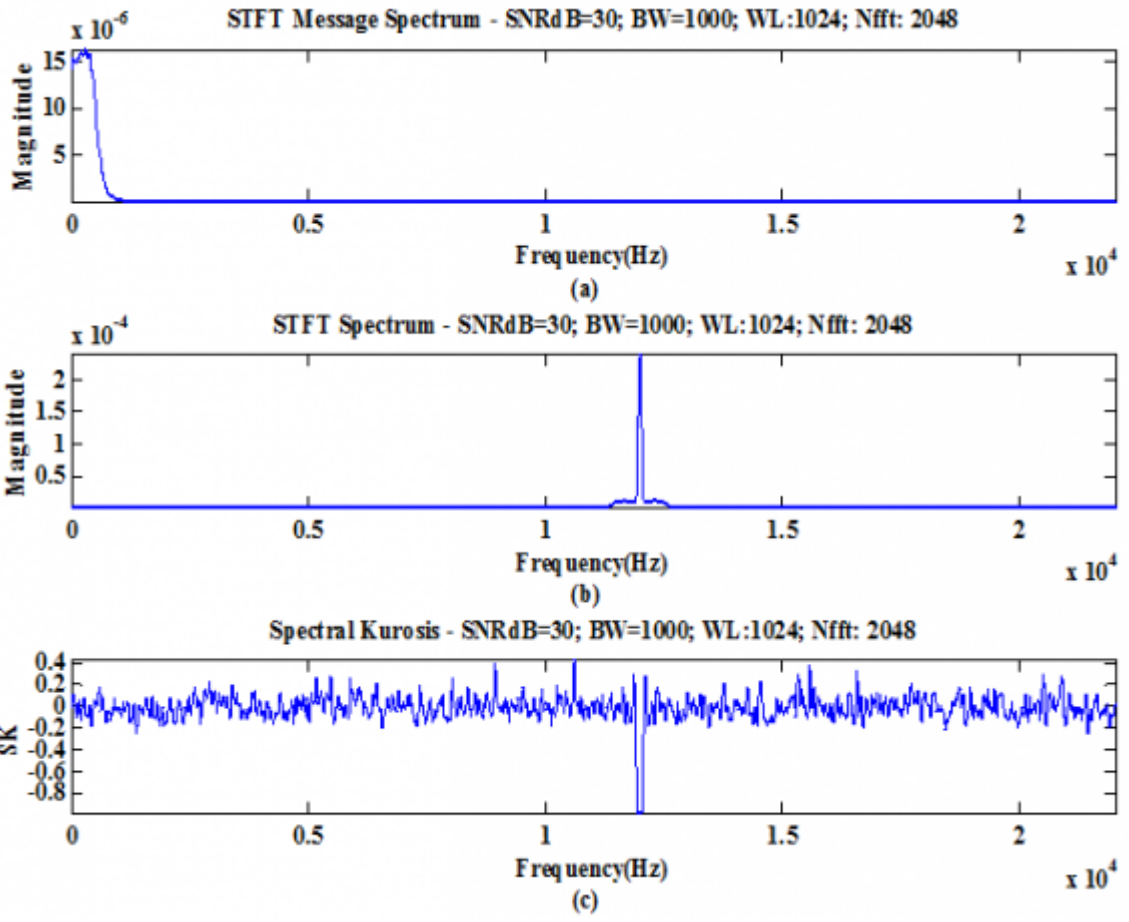
Spectral Kurtosis - (Harmonic Sinusoid+AWGN): #Frames=999, Window:512, Overlap:256, Nfft:512



(b)

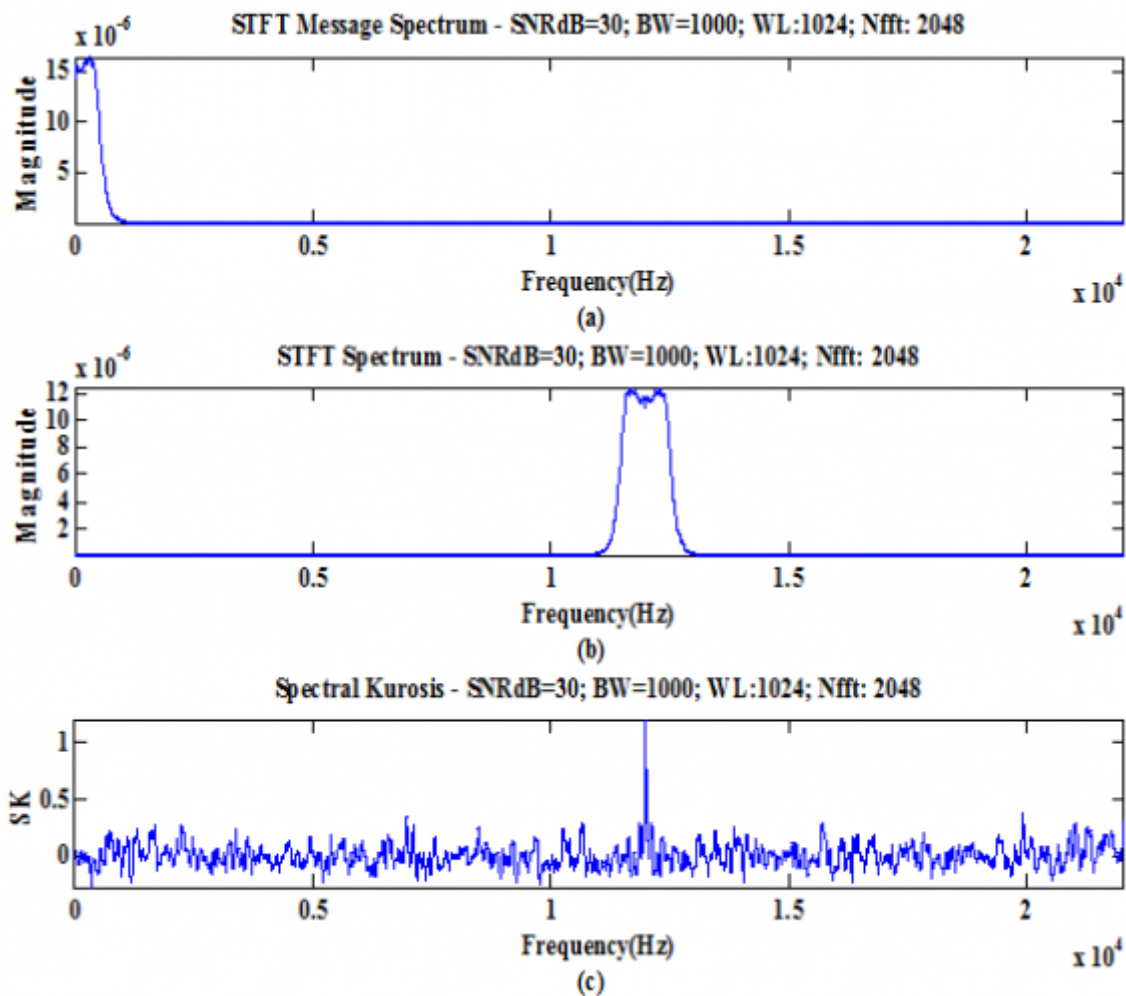
4

Figure 6: Fig.(4)



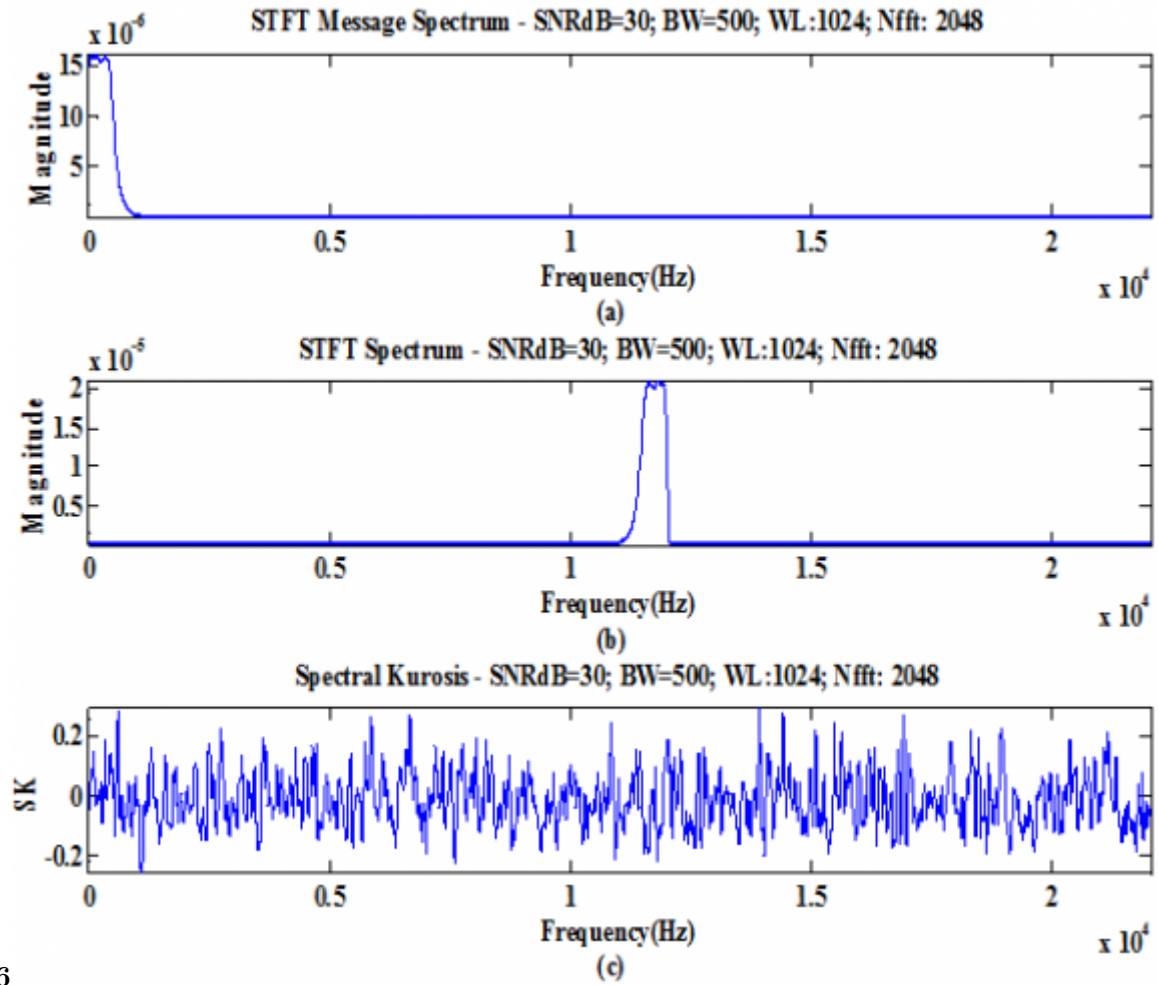
34

Figure 7: Fig. 3 :Fig. 4 :



5

Figure 8: Fig. 5 :



6

Figure 9: FFig. 6 (

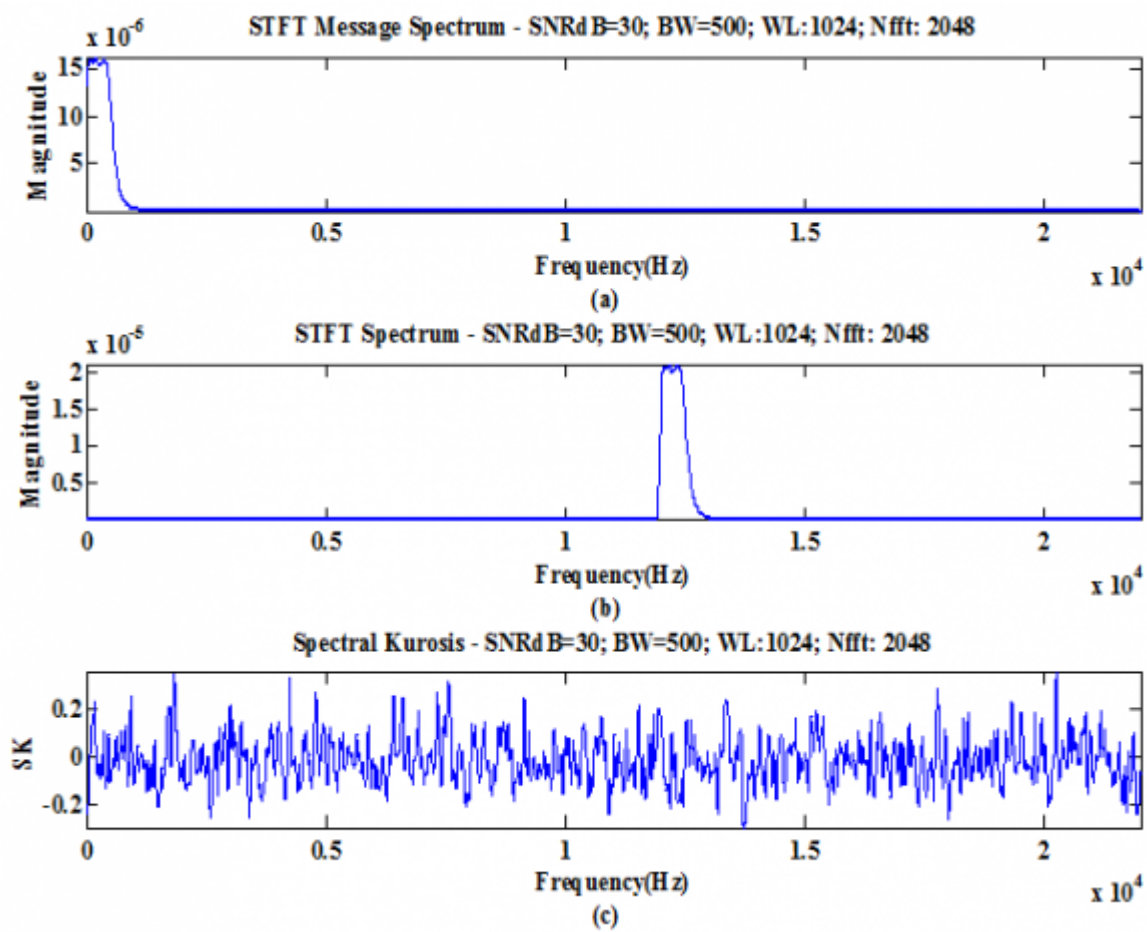


Figure 10: F

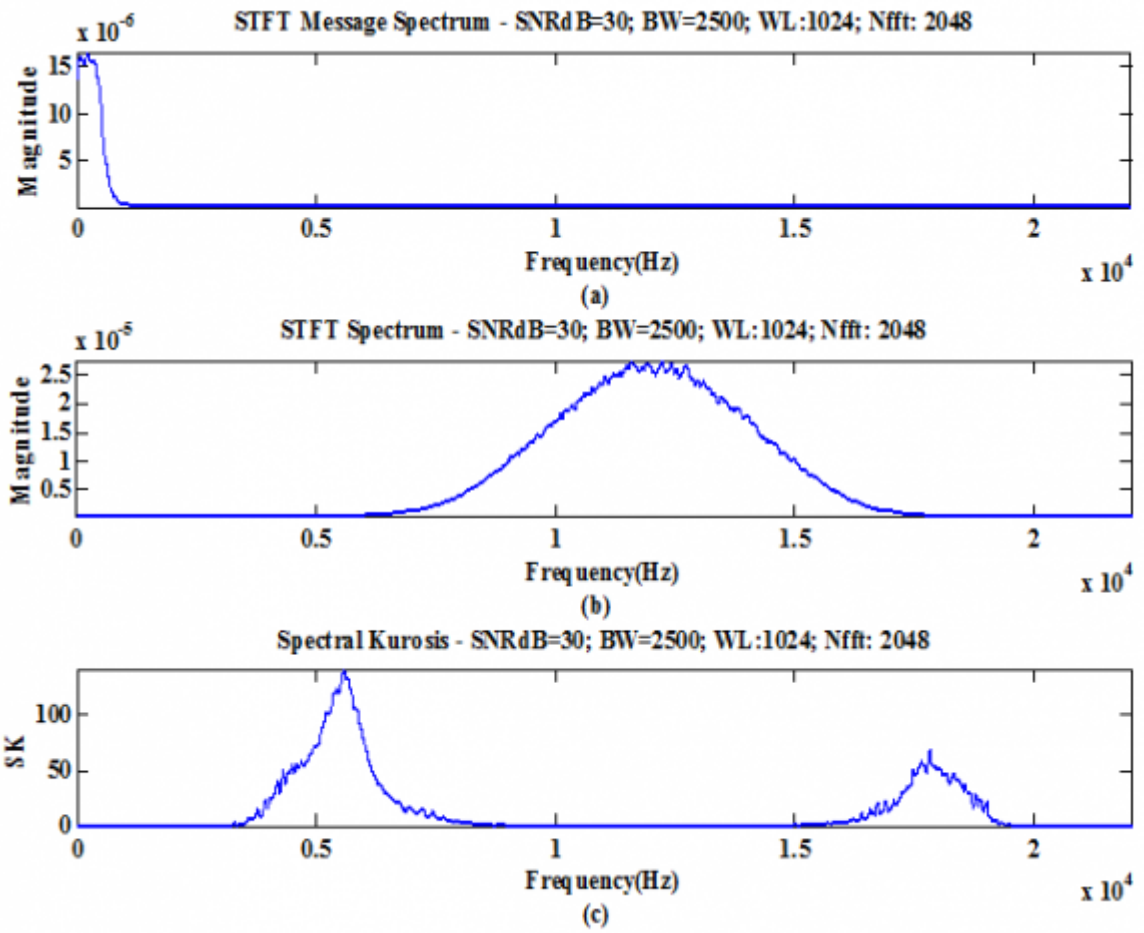


Figure 11:

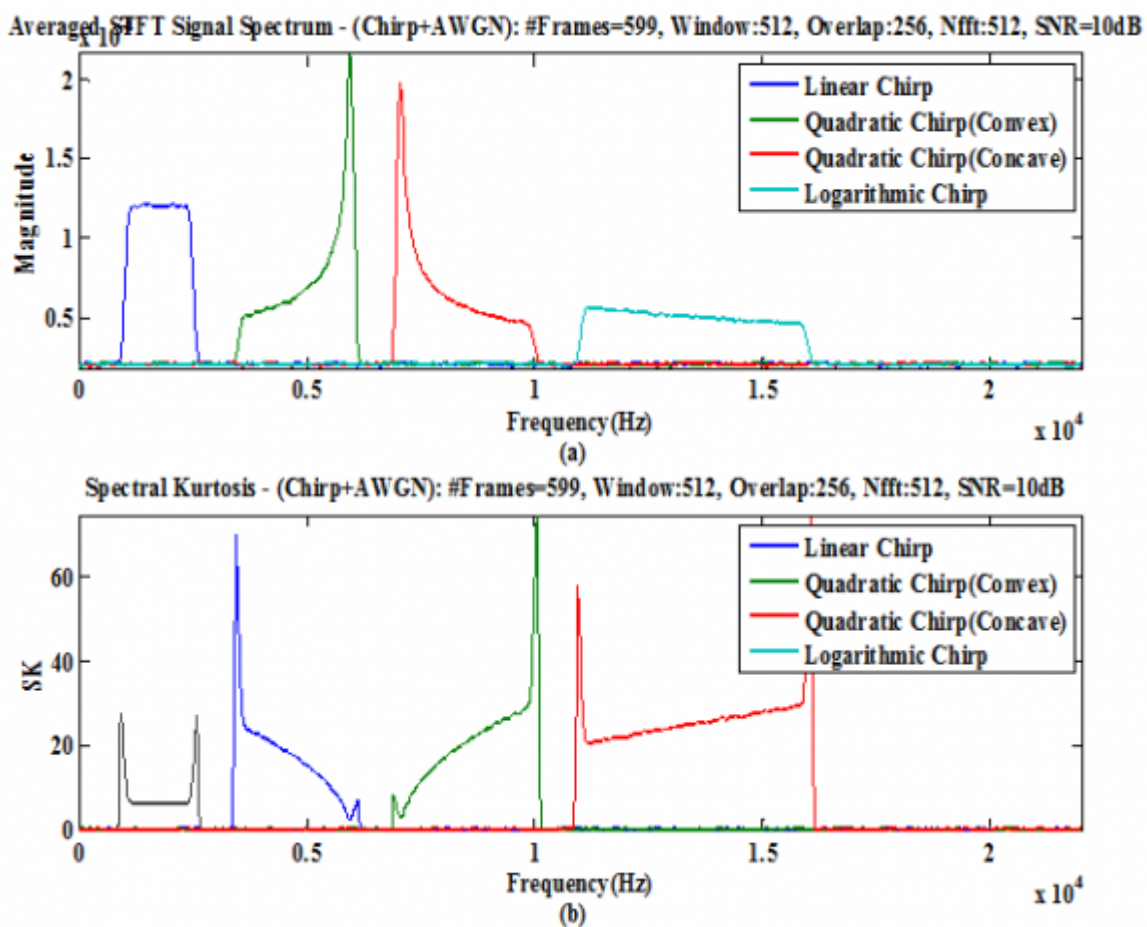


Figure 12:

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15 CONCLUSIONS AND FUTURE WORK

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