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Stop band continuous profile filter in empty substrate integrated coaxial line

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Simple Summary: A stop band continuous profile filter is implemented for the first time in the novel empty substrate integrated coaxial line technology.

Abstract: Substrate integrated waveguides reduce the losses and increase the quality factor of resonators in communication filters when compared with traditional planar technologies, while maintaining their low cost and low profile characteristics. Empty substrate integrated waveguides go one step further, removing the dielectric of the substrate. One of these transmission lines is the empty substrate integrated coaxial line (ESICL), which adds the advantage of being a two conductor structure. Thus, it propagates a TEM mode, which reduces the dispersion and the bandwidth limitation of other one conductor empty substrate integrated waveguides. Continuous profile filters, at the cost of being long structures, are very easy to manufacture and design (usually no optimization is needed), and they are highly insensitive to manufacturing tolerances. In this work a simple continuous profile filter, with a stop band response, is designed for the first time in the novel ESICL technology. The influence of the design parameters on the insertion losses and fractional bandwidth is discussed. A prototype has been successfully manufactured and measured. A sensitivity analysis shows the high tolerance of the proposed stop band filter to manufacturing errors.

Keywords: Empty substrate integrated waveguides; empty substrate integrated coaxial line; ESICL; continuous profile filters; stop band filters

1. Introduction

The current growth of wireless communications, due to the increase in voice, video and data services, is causing a growing demand for channels and bandwidth. This is driving the future communication systems towards higher frequencies, evidencing the need for the development of such communications systems. Therefore, the aim is to develop low-cost, high-performance technology suitable for mass production, while at the same time achieving a significant reduction in the volume, weight and cost of telecommunications equipment.

Over the last years, a great number of substrate integrated circuits [1] has been developed. These circuits are a compromise between the advantages of classical waveguide technologies, such as high quality factor of resonators and low insertion losses, and the advantages of planar circuits, such as low cost and easy compact integration. The substrate integrated waveguide (SIW) [2] and the substrate integrated coaxial line (SICL) [3], are two proposals of substrate integrated circuits that have been a great advance in this field. Several passive components developed in these technologies, including filters [4,5], antennas [6,7], transitions and tapers [8,9], baluns [10,11], couplers [12,13], power dividers [14], and new transmission lines [3,15–18], have been proposed. But although their quality factor and

33 losses are better than those of the planar circuits, these characteristics can be further improved (without
34 losing compactness and low cost manufacturing) if the dielectric substrate is removed and the waves
35 are allowed to propagate through air.

36 This is the purpose of some empty substrate integrated waveguides that have been recently
37 proposed, such as the Modified SIW (MSIW) [19], the Empty SIW (ESIW) [20], the Air-filled SIW
38 (AFSIW) [21], the Hollow SIW (HSIW) [22], or the Dielectricless SIW (DSIW) [23]. All these new
39 transmission lines are integrated in a substrate and they are low profile, low cost, and with higher
40 quality factor and less losses than the SIW, thanks to the complete or partial removal of the dielectric
41 in the path of the electromagnetic (EM) fields. However, these are one conductor structures, which
42 means that the fundamental mode is dispersive, and with a cut-off frequency greater than zero, which
43 limits the usable bandwidth of microwave devices implemented with such novel technologies.

44 These limitations can be overcome with the use of the empty substrate integrated coaxial line
45 (ESICL). The structure of ESICL was first used in [24] for feeding an antenna, and definitely integrated
46 in a planar circuit in [25], where a transition to a classical planar line (a grounded coplanar waveguide)
47 was proposed for the first time. The ESICL is a two-conductor transmission line, whose cross section
48 is a rectangular coaxial built with the superposition of five layers of printed circuit board, as shown
49 in Figure 1. This novel transmission line has been recently proposed, and up to date it has only
50 been applied to the implementation of wide band [25] and narrow band [26] microwave filters with
51 a non-dispersive TEM propagating mode. There is, consequently, many possible applications that
52 remain to be explored for this novel transmission line.

53 One of these possible applications is implementing continuous profile filters. Conversely to
54 conventional microwave filter topologies, where the filtering structure is based on sharp changes in
55 the cross section that produce sharp impedance steps, continuous profile filters use a progressive
56 and smooth variation of the cross section. This continuous variation has the advantage, at the
57 cost of increasing the length of the filter, of providing a structure with much more resilience to
58 manufacturing tolerances. Besides, the continuous profile filters can be easily and accurately designed
59 with well-known techniques such as the ones described in [27] and [28]. All these techniques require
60 that the phase constant is kept constant (for the same frequency) along the propagation direction.
61 This can be achieved with a structure that propagates a TEM mode (as it is the case of the ESICL), or
62 either with a structure that propagates a non-TEM mode and that varies the cross section along the
63 propagation direction in such a way that the cutoff frequency of this mode does not change. This can
64 be achieved, for instance, varying the height of a rectangular waveguide. If we vary the width of the
65 rectangular waveguide, the cutoff frequency changes and then this is not suitable for the traditional
66 synthesis techniques developed for continuous profile filters. Most one conductor substrate integrated
67 transmission lines (SIW, ESIW, AFSIW, etc.) are H-plane structures, where the width of the rectangular
68 cavity can be changed, but the height is fixed in all the structure (the height of the substrate). Some
69 efforts have been already made to apply the traditional synthesis technique for continuous profile
70 filters in H-plane structures (SIW filter) in [29] and [30]. Although good results are obtained, the
71 synthesis does not provide so accurate results as when the phase constant does not change along the
72 propagation direction. For that reason, ESICL, with a TEM propagating mode, is an excellent candidate
73 to implement continuous profile filters in substrate integrated waveguide technology (with lower
74 losses than both in planar and classical SIW technologies).

75 In this work a simple continuous profile filter is implemented in ESICL for the first time. The
76 variation of the filter response with the design parameters is studied. A prototype is successfully
77 manufactured and measured, and a sensitivity analysis is performed in order to test the resilience to
78 manufacturing tolerances of this type of filter in this novel transmission line.

79 2. Materials and Methods

80 2.1. ESICL

81 The ESICL topology can be seen in Figure 1. Figure 1.(a) shows the five substrate layers needed
 82 to manufacture the ESICL. These layers are the top and bottom metallic covers (layers 1 and 5), the
 83 central layer with the inner conductor of the ESICL (layer 3), and two more layers that separate the
 84 central layer from the top and bottom covers (layers 2 and 4). Layer 3 also hosts the transition from
 85 ESICL to the input and output planar accessing lines (coplanar or microstrip).

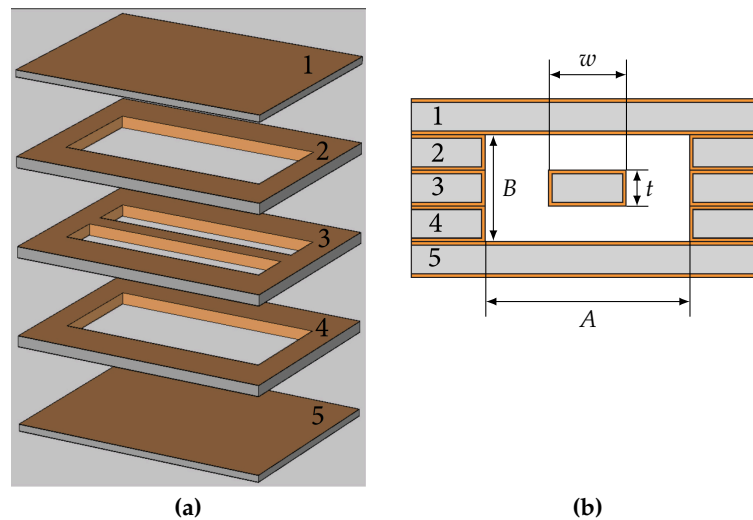


Figure 1. Simplest construction of an ESICL (source [25]). Layer 1 and 5 are top and bottom covers; layer 3 is the central layer with transitions to planar lines; layers 2 and 4 separate central layer from covers. (a) 3-D view of layers before assembling. (b) Cross-section of the ESICL after assembling.

86 The cross section of the ESICL, after the five layers are assembled and pasted with tin soldering
 87 paste together, is depicted in Figure 1.(b). As it can be observed, after assembling, the cross section is
 88 the same as that of a rectangular coaxial line, without any dielectric between the inner and the outer
 89 conductors. The dimensions of the cross section are included in the layout. These dimensions are
 90 the width (w) and height (t) of the inner conductor, and the width (A) and height (B) of the outer
 91 conductor.

92 2.2. Coupling coefficient and impedance

93 As it was already demonstrated in [30], a sinusoidal modulation in the profile of a transmission
 94 line produces a stop band filter response. Using the coupled-mode theory, as proposed in [31], a
 95 full analytical synthesis can be achieved. To do so, the desired frequency response is used in order
 96 to determine the variation of the coupling coefficient $K(z)$ along the propagation direction (z) that
 97 provides that response. For complex responses, the coupling coefficient $K(z)$ can be obtained using
 98 the zeros and poles of a ideal frequency response expressed as a rational function of polynomials, as
 99 proposed in [27]. However, for a simple response as a stop band filter, the coupling coefficient can be
 100 directly expressed as a sinusoidal variation of the form [29]:

$$K(z) = A_k \sin \left(\frac{2\pi}{\Lambda} z + \theta \right), \quad z \in [0, n_p \cdot \Lambda] \quad (1)$$

101 where A_k represents the oscillation amplitude, Λ is its period, z is the propagation direction, and
 102 θ is the phase of the sinusoidal. θ should be set to 0 in order to facilitate the subsequent manufacturing
 103 process, avoiding sharp changes in the profile at the beginning of the filter.

104 The value of Λ controls the central frequency of the stop band. If we want to locate the center of
 105 the stop band at a certain frequency f_0 , the period Λ should be:

$$\Lambda = \frac{\pi}{\beta_0} \quad (2)$$

106 where β_0 is the phase constant of the propagating mode at the central frequency f_0 .

107 The amplitude A_k and the length (or number of periods n_p) of the sinusoidal variation of $K(z)$
 108 control the depth of the rejection (insertion losses IL at f_0) and the fractional bandwidth of the stop
 109 band (FBW), as it is described in section 2.4.

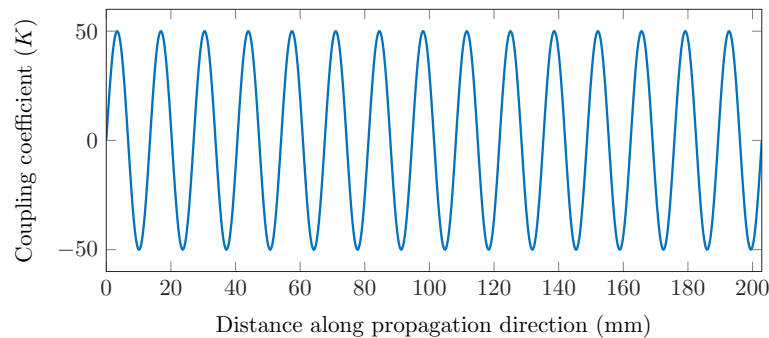


Figure 2. Variation of the coupling coefficient ($K(z)$) along the propagation direction ($\Lambda = 13.52$ mm, $A_k = 50$, $n_p = 15$ and $\theta = 0$).

110 Figure 2 shows the variation of the coupling coefficient $K(z)$ for $\Lambda = 13.52$ mm, $A_k = 50$, $n_p = 15$
 111 and $\theta = 0$. The value of Λ has been calculated using $\beta_0 = 232.3$ rad/m, which is the phase constant
 112 of an ESICL with $Z_0 = 50 \Omega$ ($A = 6$ mm, $B = 2.618$ mm, $t = 0.866$ mm and $w = 1.8148$ mm) at
 113 $f_0 = 11$ GHz.

114 For a device propagating a TEM mode, the relationship between the coupling coefficient and the
 115 impedance along the propagation direction is [31]:

$$K = -\frac{1}{2} \frac{1}{Z_0} \frac{dZ_0}{dz} \quad (3)$$

116 This equation can be used to express the impedance Z_0 as a function of the coupling coefficient as:

$$Z_0(z) = Z_0(0) e^{-2 \int_0^z K(r) dr} \quad (4)$$

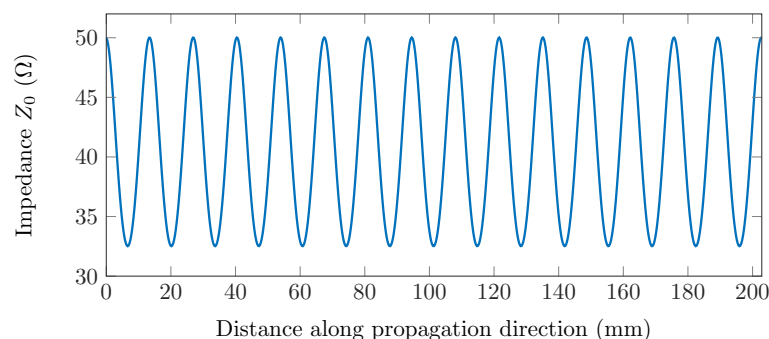


Figure 3. Variation of the impedance (Z_0) along the propagation direction.

117 Substituting the coupling coefficient of Figure 2 into (4), gives the impedance variation of Figure 3.
 118 The next step is to obtain an ESICL with a profile that provides this impedance variation.

119 2.3. Impedance in ESICL

120 The impedance Z_0 of an ESICL depends on the dimensions of the cross section (A , B , t and w).

121 The following approximation for the impedance can be found in [32]:

$$Z_0 = \frac{\eta_0}{4\sqrt{\epsilon_r}} \left[\frac{1}{\frac{w/B}{B/t-1} + \frac{2}{\pi} \ln \left(\frac{1}{1-t/B} + \coth \frac{\pi A}{2B} \right)} \right] (\Omega) \quad (5)$$

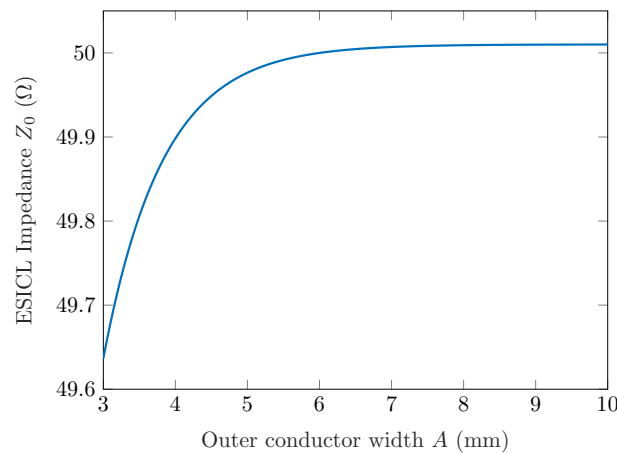


Figure 4. Variation of the impedance (Z_0) of the ESICL as a function of the outer conductor width. $B = 2.618$ mm, $w = 2.2823315$ mm, $t = 0.866$ mm. The analytic formula of (5) has been used.

122 In the ESICL, the heights of the inner and outer conductor are fixed by the height of the substrate
 123 layers. In this work all substrate layers will be Rogers 4003C substrates of height $h = 0.813$ mm plus
 124 electrodeposited copper foils of $17 \mu\text{m}$. Taking also into account the thickness of the soldering paste,
 125 it gives that $t = 0.866$ mm and $B = 2.618$ mm. From (5), it can be derived that Z_0 does not change
 126 significantly with the width of the outer conductor A . Figure 4 shows the variation of Z_0 with A using
 127 (5), and fixing the other dimensions of the cross section. It can be observed that for $A \geq 6$ mm, the
 128 impedance is almost constant. So A is fixed to 6 mm, and once A , B and t are fixed, Z_0 depends only
 129 on the width of the inner conductor w .

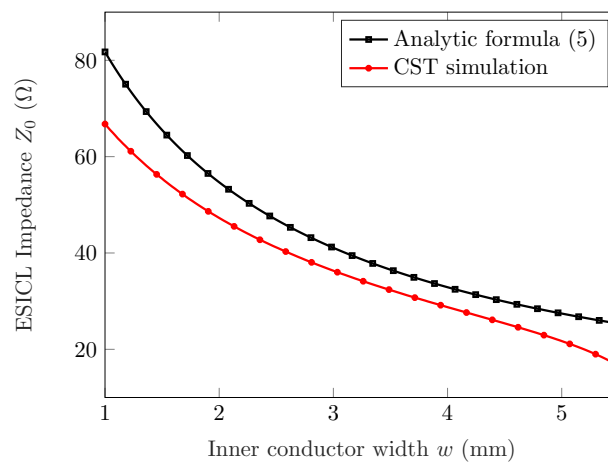


Figure 5. Variation of the impedance (Z_0) of the ESICL as a function of the inner conductor width. $B = 2.618$ mm, $A = 6$ mm, $t = 0.866$ mm. Comparison between analytic formula of (5) and simulation with CST EM solver.

130 Figure 5 shows the variation of Z_0 with w , while A , B and t are fixed. This impedance has
 131 been calculated with the analytic formula of (5), and also with a commercial electromagnetic solver
 132 (CST Studio). Both results are not in good agreement, so the most accurate results of the full-wave
 133 commercial simulator have been considered.

134 It must be noted that in order to implement the stop band filter we need an impedance variation
 135 along the propagation direction as shown in Figure 3. That is, we must be able of changing the
 136 impedance in a range from approximately 32 to 50 Ω . As shown in Figure 5, changing w from 1 to
 137 5.5 mm we can change Z_0 in a range that goes from 17 to 66 Ω , which is enough for implementing the
 138 stop band filter.

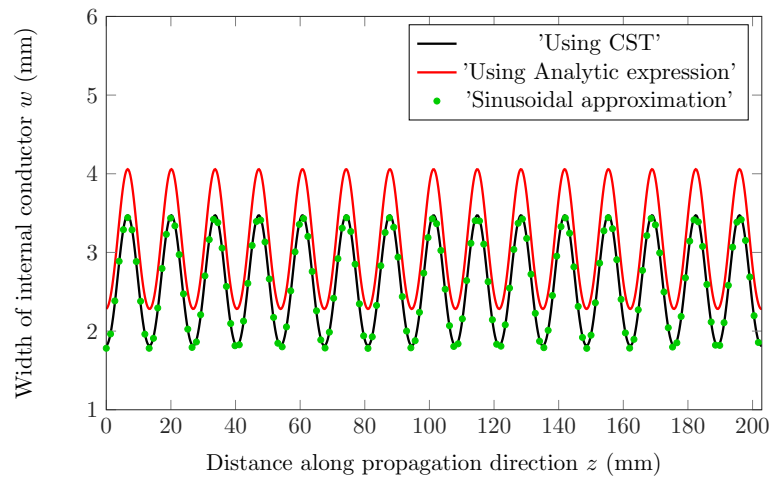


Figure 6. Width of the internal conductor of the ESICL (w) that provides the desired coupling coefficient.

139 Using the relationship between Z_0 and w obtained with CST and shown in Figure 5, we can
 140 now derive the variation of the inner conductor width $w(z)$ needed to achieve the variation of the
 141 impedance $Z_0(z)$ of Figure 3 that provides the desired coupling coefficient $K(z)$, and therefore, the
 142 desired stop band response. Figure 6 shows this variation $w(z)$ for three different cases. In the first
 143 place, the value of $w(z)$ derived using the analytic formula, which has proven to be inaccurate, is
 144 plotted with a solid red line. Next, the accurate value of $w(z)$ computed with the impedance obtained
 145 with CST is plotted in solid black line. And finally, a sinusoidal approximation to the accurate value of
 146 $w(z)$ is plotted in green round marks. This approximation is calculated using the following expression:

$$w = A_w \cos\left(\frac{2\pi z}{Z_p} + P\right) - B_w \quad (6)$$

147 An optimization process with the Nelder Mead simplex algorithm [33] determines after 450
 148 iterations the optimum values of the parameters A_w , B_w and P for an optimum match of this sinusoidal
 149 approximation with the accurate value of $w(z)$. It gives $A_w = 0.8305$, $B_w = 2.61103$ and $P =$
 150 -3.0817 . This approximation, which matches almost perfectly the accurate value, is preferred to the
 151 accurate one, because it eases the modeling and simulation of the ESICL continuous profile filter in the
 152 electromagnetic simulator (see Figure 7 and 8).

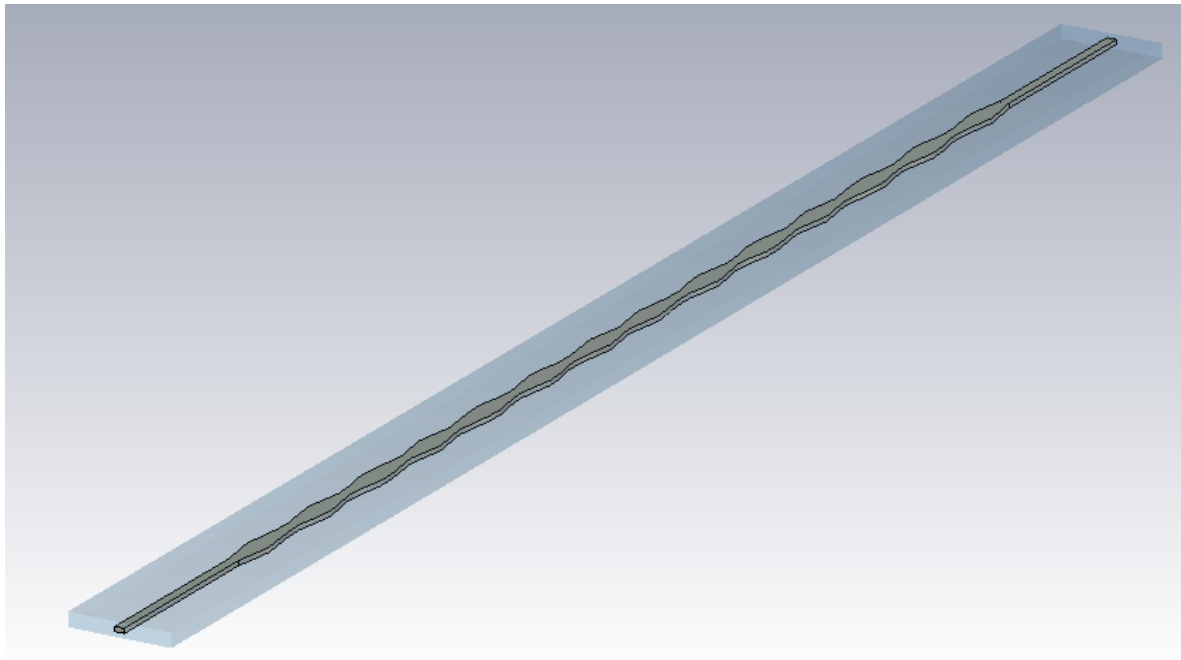


Figure 7. 3D model of the ESICL filter in the electromagnetic simulator (CST).

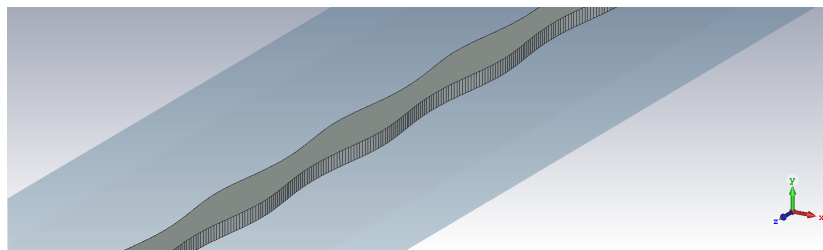


Figure 8. Zoom of the inner conductor in the 3D model of the EM simulator.

153 2.4. Design procedure

154 The stop band response is characterized by the central frequency (f_0), the fractional bandwidth
 155 (FBW), and the insertion losses (IL) at the central frequency. These characteristics are determined by
 156 the amplitude (A_k), period (Λ), and length (number of periods n_p) of the sinusoidal variation of the
 157 coupling coefficient along the propagation direction (see equation (1)).

158 As already discussed in previous sections, the central frequency can be directly adjusted with the
 159 period Λ using (2).

160 The challenge is to determine the adequate value of A_k and n_p in order to accomplish with the
 161 specifications of IL and FBW .

162 In order to have an insight into the influence of A_k and n_p in the values of IL and FBW , several
 163 simulations have been performed in CST for the ESICL filter for a discrete number of values of A_k
 164 and n_p with A_k ranging from 10 to 80, and n_p ranging from 5 to 30. And the IL and FBW has been
 165 computed in all possible combinations of A_k and n_p . In all cases Λ was selected to provide a stop band
 166 response centered at 11 GHz. The results are depicted in Figure 9.

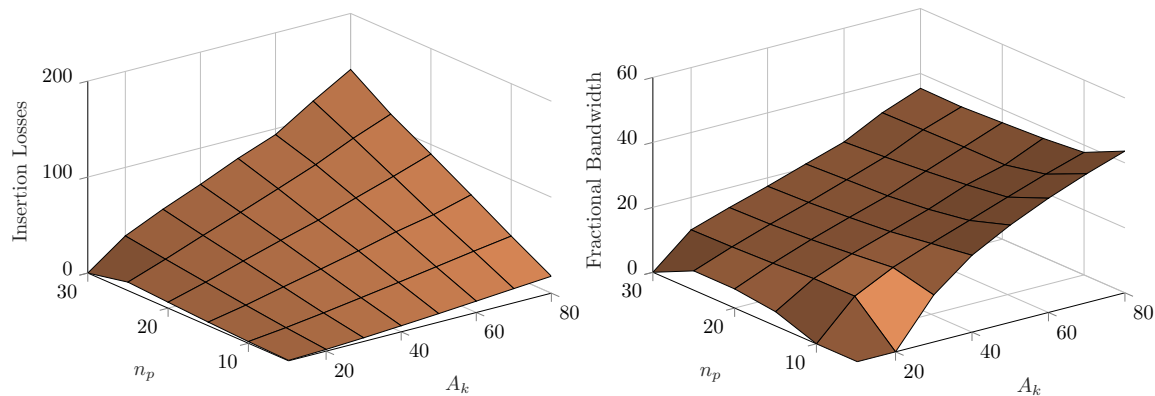


Figure 9. Influence of the design parameters (A_k and n_p) in the stop band response of the ESICL filter (insertion losses and fractional bandwidth).

167 As it can be observed, when A_k is increased, the IL and the FBW are both increased. And when
 168 n_p is increased, the IL increase, and the FBW does not change significantly. This information can be
 169 useful to either perform a manual design, or either to properly decide the initial point for a computer
 170 aided optimization process that optimizes the values of A_k and n_p until the specifications are met.

171 3. Results

172 A prototype of the ESICL continuous profile filter has been manufactured and measured. The
 173 filter has been designed to have the stop band centered at 11 GHz. This leads to $\Lambda = 13.52$ mm. For the
 174 sinusoidal variation of the coupling coefficient, the values $A_k = 50$, $n_p = 15$ and $\theta = 0$ have been used,
 175 which are the values used in section 2. Therefore, the coupling coefficient is the one depicted in Figure 2,
 176 the variation of the impedance is the one shown in Figure 3, and the width of the inner conductor is the
 177 one plotted in Figure 6. The other dimensions of the ESICL cross section are $B = 2.618$ mm, $A = 6$ mm,
 178 $t = 0.866$ mm. With all these values, the simulated insertion losses at the central frequency are 37.8 dB,
 179 and the fractional bandwidth is 23.8%.

180 The prototype is manufactured with Rogers 4003C substrates of height $h = 0.813$ mm, with
 181 electrodeposited copper foils of $17 \mu\text{m}$, and substrate permittivity $\epsilon_r = 3.55$.

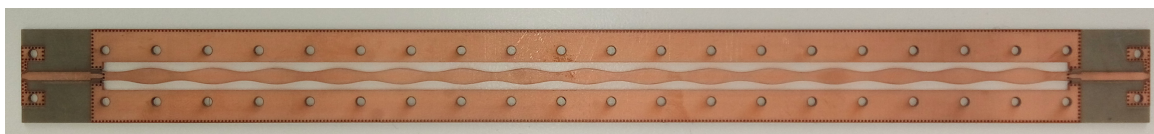


Figure 10. Manufactured prototype of the ESICL continuous profile filter.

182 The manufactured prototype is shown in Figure 10. The manufacture of the ESICL filter follows
 183 standard processes of planar circuit manufacturing (drilling, milling, and electroplating). First
 184 the ESICL via holes are drilled and the lateral walls are cut. Then, the substrate is metallized using
 185 electroplating. This metallizes the via holes and the lateral walls. Next the accessing planar lines and
 186 the transitions are milled. Finally, all the layers are piled together using alignment screws, and soldered
 187 using tin soldering paste. An LPKF Protolaser U3 circuit board plotter has been used for drilling,
 188 cutting and milling. An LPKF Mini Contac RS through-hole electroplating system has been used for
 189 electroplating, and an LPKF ProtoFlow S reflow oven has been used for curing the tin soldering paste.

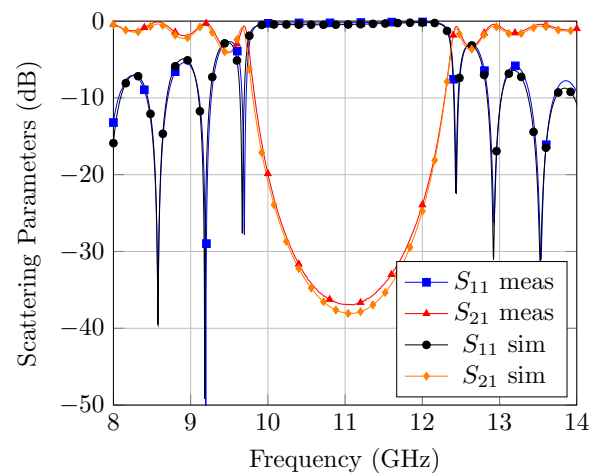


Figure 11. Simulated and measured scattering parameters of the manufactured ESICL filter prototype.

190 Figure 11 compares the simulated and measured scattering parameters of the ESICL prototype.
 191 As it can be observed, there is a very good agreement between simulation and measurements.

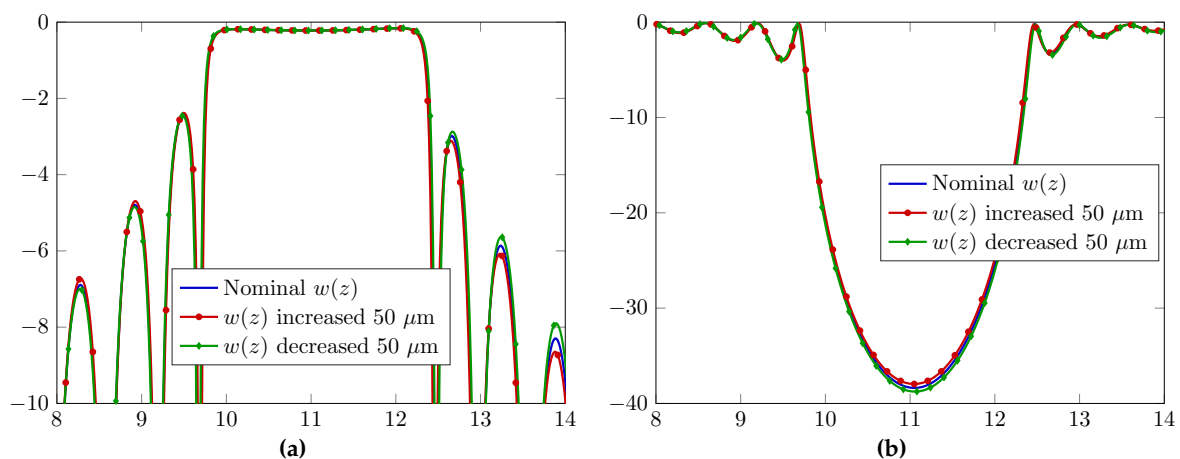


Figure 12. Sensitivity analysis. Comparison between scattering parameters of the filter with nominal value of the width of the inner conductor of the ESICL ($w(z)$), and with the width increased and decreased the manufacturing tolerance ($50 \mu\text{m}$). (a) Reflection. (b) Transmission.

192 One of the advantages of the continuous profile filters is supposed to be the high tolerance to
 193 manufacturing errors. In order to verify this low sensitivity to variations in the dimensions of the filter,
 194 the scattering parameters of the ESICL prototype have been simulated altering the width on the inner
 195 conductor ($w(z)$). This dimension is the most critical dimension of the filter, since this is the dimension
 196 that has a greater influence on the impedance of the ESICL. Taking into account the manufacturing
 197 tolerance of the machine used for drilling and cutting ($50 \mu\text{m}$), the scattering parameters have been
 198 simulated with the nominal value of $w(z)$, with $w(z)$ increased by $50 \mu\text{m}$, and with $w(z)$ decreased by
 199 $50 \mu\text{m}$. Results are shown in Figure 12. As it can be observed, the response of the filter does not change
 200 significantly either increasing or decreasing $w(z)$, which is consistent with the alleged advantage of
 201 this type of filters.

202 4. Discussion

203 In this work a stop band continuous profile filter has been implemented for the first time in
 204 ESICL. The use of ESICL has the advantages of being low cost and low profile, manufactured with

205 standard planar circuits machinery. It has lower insertion losses and higher quality factors than
 206 planar circuits, and than substrate integrated waveguides filled with dielectric. Besides, since ESICL
 207 has two conductors, it propagates a fundamental TEM mode and has lower dispersion and higher
 208 usable bandwidth, being therefore suitable for implementing highly accurate design procedures for
 209 continuous profile filters. In this work a very simple continuous profile filter has been designed and
 210 manufactured. The influence of the design parameters on the frequency response has been studied.
 211 Measurements are in good agreement with simulations. A sensitivity analysis has been performed,
 212 proving that the structure has very high resilience to manufacturing errors. The results are promising
 213 for the extension of the ESICL to the implementation of other low cost and high quality communication
 214 devices.

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 217 Lucas; Investigation, D. Gómez, H. Esteban, A. Belenguer and A. Lucas; Resources, A. Belenguer, H. Esteban and
 218 V. E. Boria; Writing—Original Draft Preparation, D. Gómez; Writing—Review & Editing, H. Esteban; Visualization,
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 224 of the study; in the collection, analyses, or interpretation of data; in the writing of the manuscript, and in the
 225 decision to publish the results.

226 Abbreviations

227 The following abbreviations are used in this manuscript:

228	SIW	Substrate integrated waveguide
	ESIW	Empty substrate integrated waveguide
	MSIW	Modified substrate integrated waveguide
	AFSIW	Air filled substrate integrated waveguide
	HSIW	Hollow substrate integrated waveguide
	DSIW	Dielectricless substrate integrated waveguide
229	ESICL	Empty substrate integrated coaxial line
	SICL	Substrate integrated coaxial cine
	GCPW	Grounded coplanar waveguide
	TEM	Transversal electric and magnetic
	CST	Computer Simulation Technology
	IL	Insertion losses
	FBW	Fractional bandwidth

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