

Plasma Physics Challenges of MM-to-THz and High Power Microwave Generation

John H. Booske

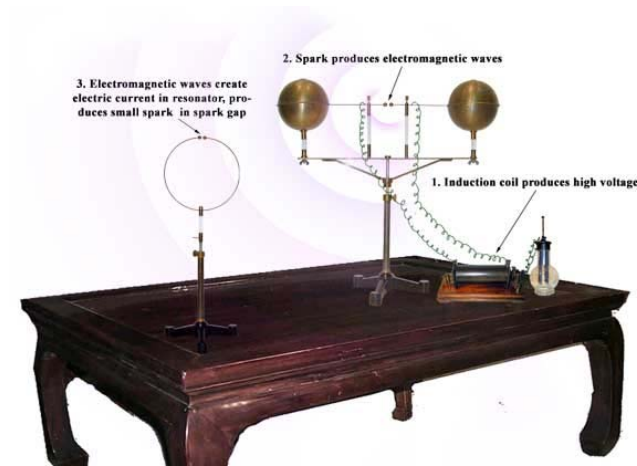
*University of Wisconsin-Madison
Electrical and Computer Engineering*

Credits

- *Hundreds* of colleagues and students (grad and undergrad)
- Particular recognition to the university, national laboratory and industrial colleagues and students working collaboratively with and within consortia
 - MURI-99 “Innovative Microwave Vacuum Electronics”
 - MURI-04 “Nanophysics of HPM Cathodes and RF Breakdown”
 - and on various funded and unfunded projects in recent years...
- US-AFOSR, US-ARO, UW, NGC, L3-Comm,...
- Special thanks to APS-DPP Program Committee

High Power Microwave Generation

- 1885-1889: Heinrich Hertz, generation and study of radio waves, confirming Maxwell's theory
- 1917: Tesla proposed radio wave radar
- 1920-1940: US, UK, France, Germany developed radar for ship & aircraft navigation and enemy plane detection
- RF radar: gave UK edge in Battle of Britain
- Microwave radar using UK-invented, US-improved (MIT Rad Lab) and US-manufactured **high power magnetrons** enabled efficient airborne radar to detect U-boat periscopes, anti-aircraft gun defenses, UK radar jammers, and provided air superiority to UK in WWII.
- Post-war surpluses of magnetron and receiver hardware enabled basic research in microwave spectroscopy, atmospheric science, radar, maser, and radio astronomy
- Since WWII, continued advances in microwave generator power and frequency have driven a large fraction of the advances in defense, commercial industry, and science



H. Hertz, Karlsruhe Polytechnic,
~ 1890



Boot &
Randall
magnetron,
UK, 1939

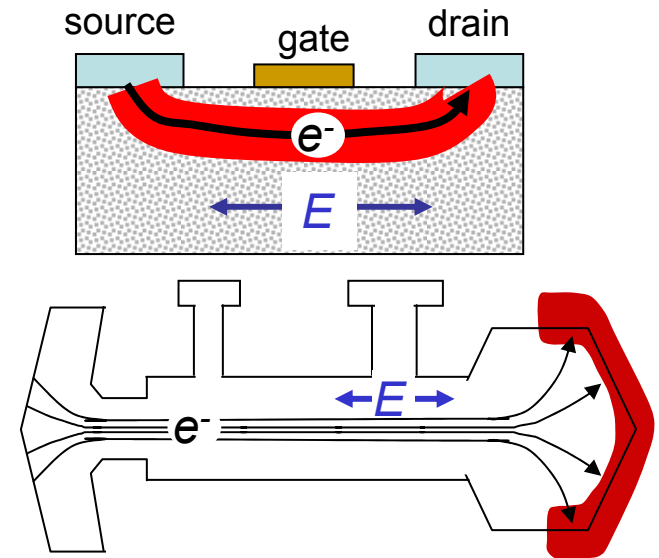
High Power Microwave Applications (using VEDs)

Civilian infrastructure and consumer markets	Broadcast media transmission (TV, radio) Satellite communications Cellular (wireless) communications Radar, e.g.: Air traffic control, Weather, Maritime Global Positioning System Domestic microwave cooking
Military	Radar: Search, Guidance, Track, Missile-seeker, Weather, Test Electronic Counter Measures (ECM) High Power Microwave (HPM) Electronic Attack
Scientific	Plasma heating and fusion energy research Charged particle accelerators Atmospheric radar Radio astronomy Medical/Biomedical Spectroscopy Deep space communications Materials Processing research Ground Penetrating Radar
Industrial	Testing and instrumentation Materials processing Industrial plasmas, especially for semiconductor manufacture

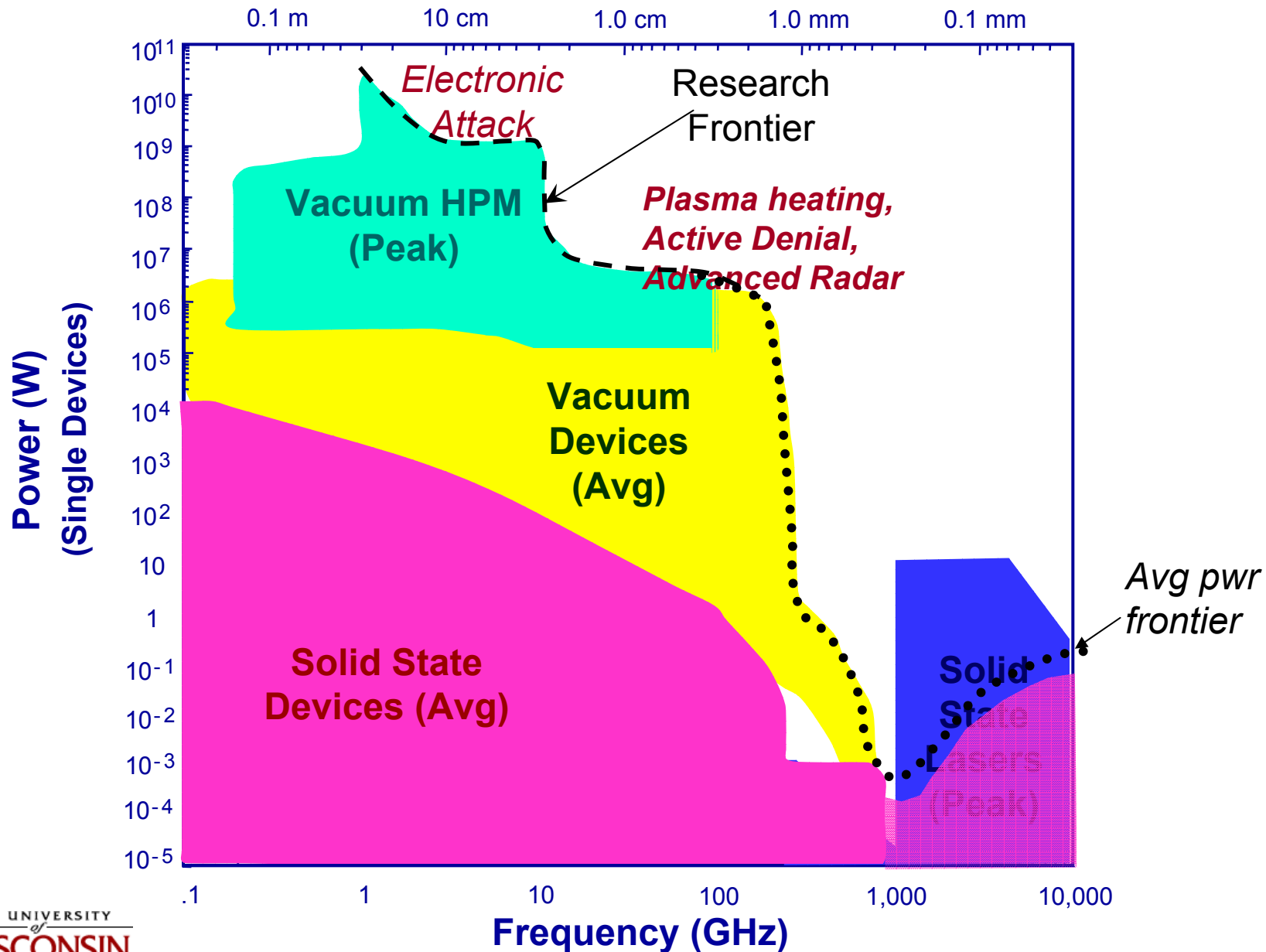
Vacuum vs Solid State

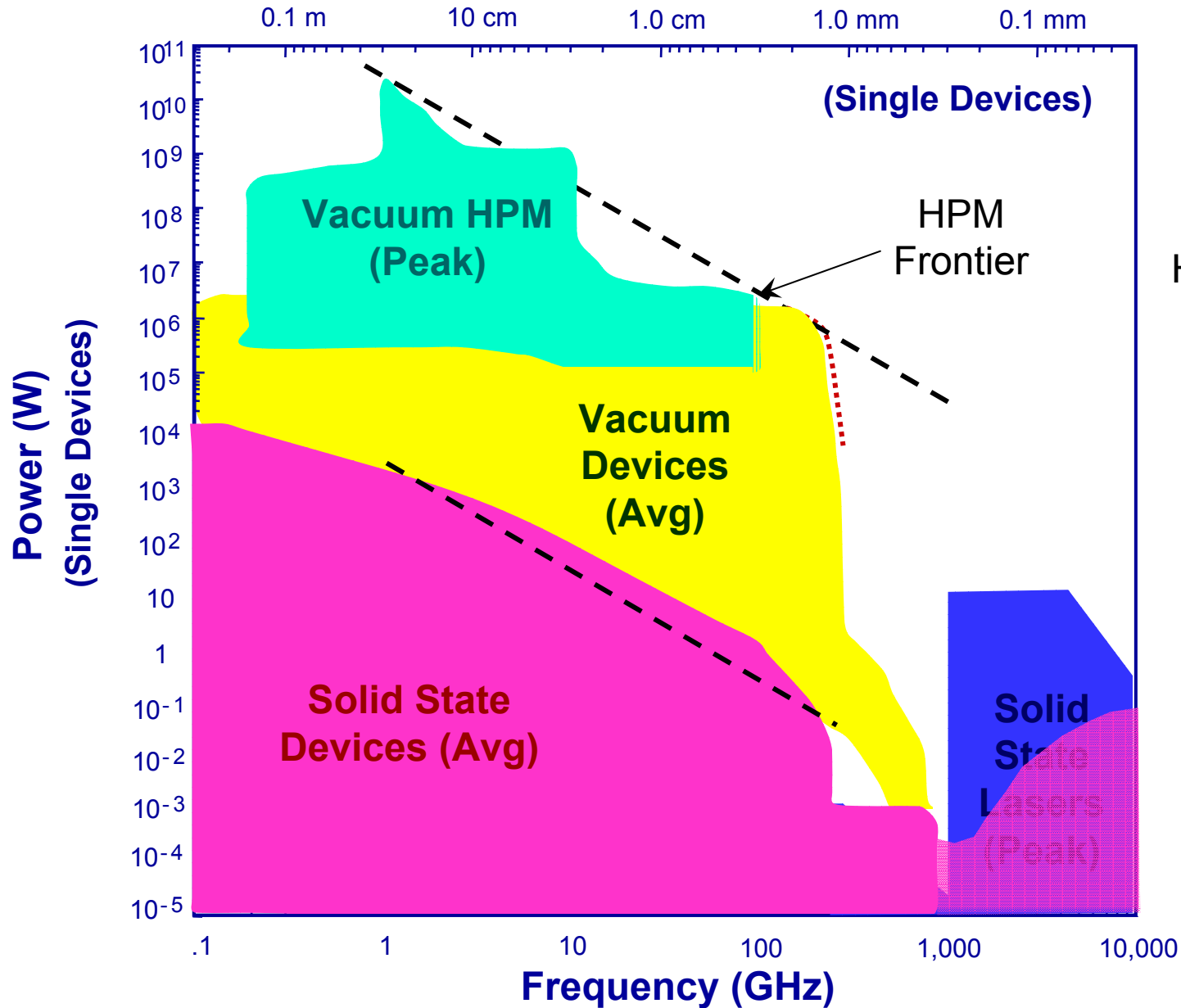
Microwave Power Electronics

- Both convert kinetic energy (electron stream) to electromagnetic fields energy
 - Solid state electronic devices: electron stream and fields in solid semiconductor
 - Vacuum electronic devices: electron stream and fields in vacuum
- When high power density is needed, the advantages of vacuum outweigh vacuum packaging challenge and high voltage requirements
 - Managing and removing waste heat
 - Breakdown limits



See Chapter 1, "Modern Microwave and Millimeter-Wave Power Electronics," Eds. Barker, Booske, Luhmann, Nusinovich (IEEE/Wiley, 2005).





High power limit for
Solid State $\propto 1/f^2$

and

HPM frontier $P \propto 1/f^2$

...*BUT* ...

For $f > 100$ GHz
VEDs frontier

$$\langle P \rangle \propto 1/f^2$$

The "THz" regime"

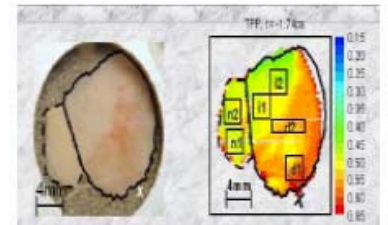
(THz and subTHz)

Security

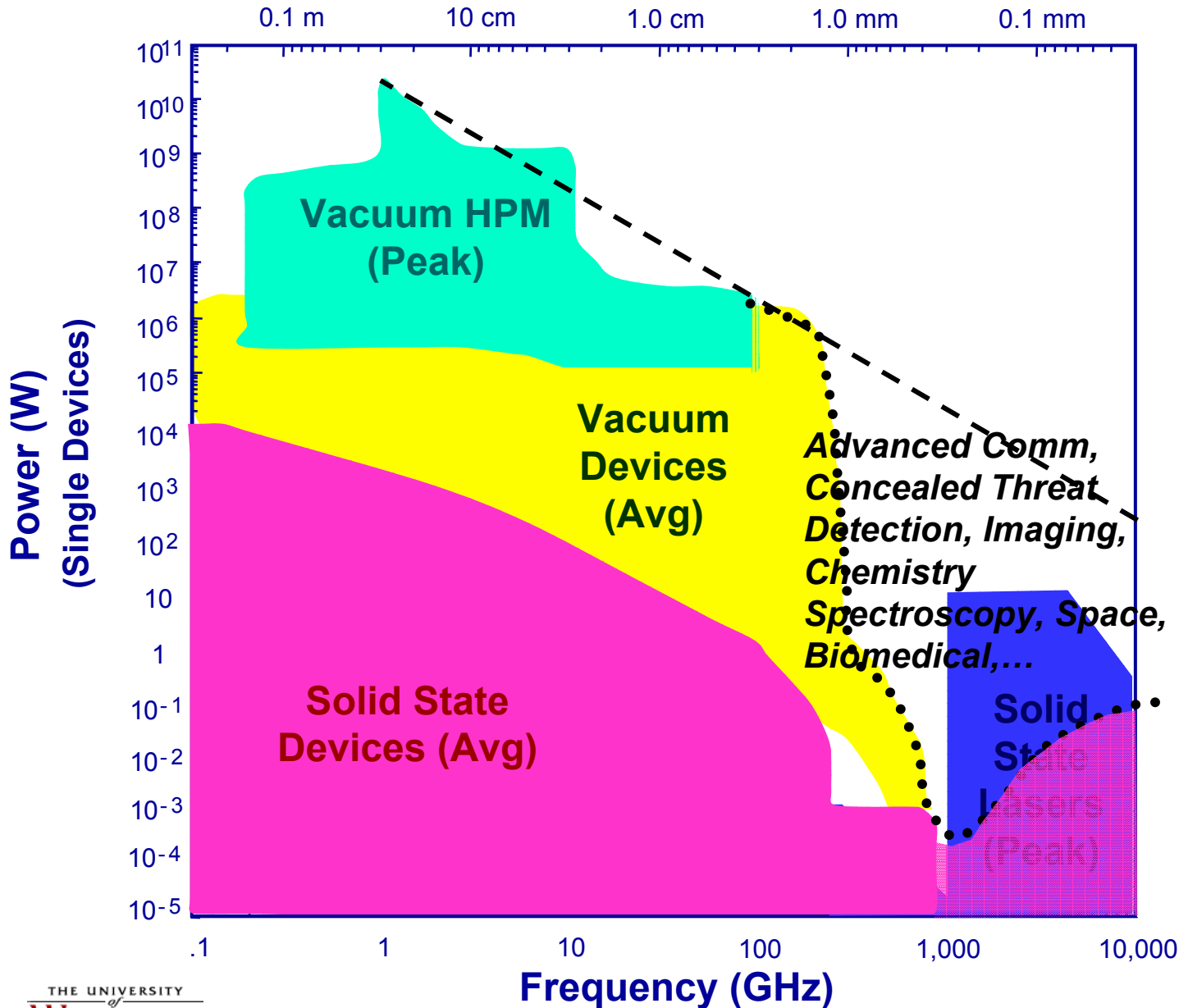


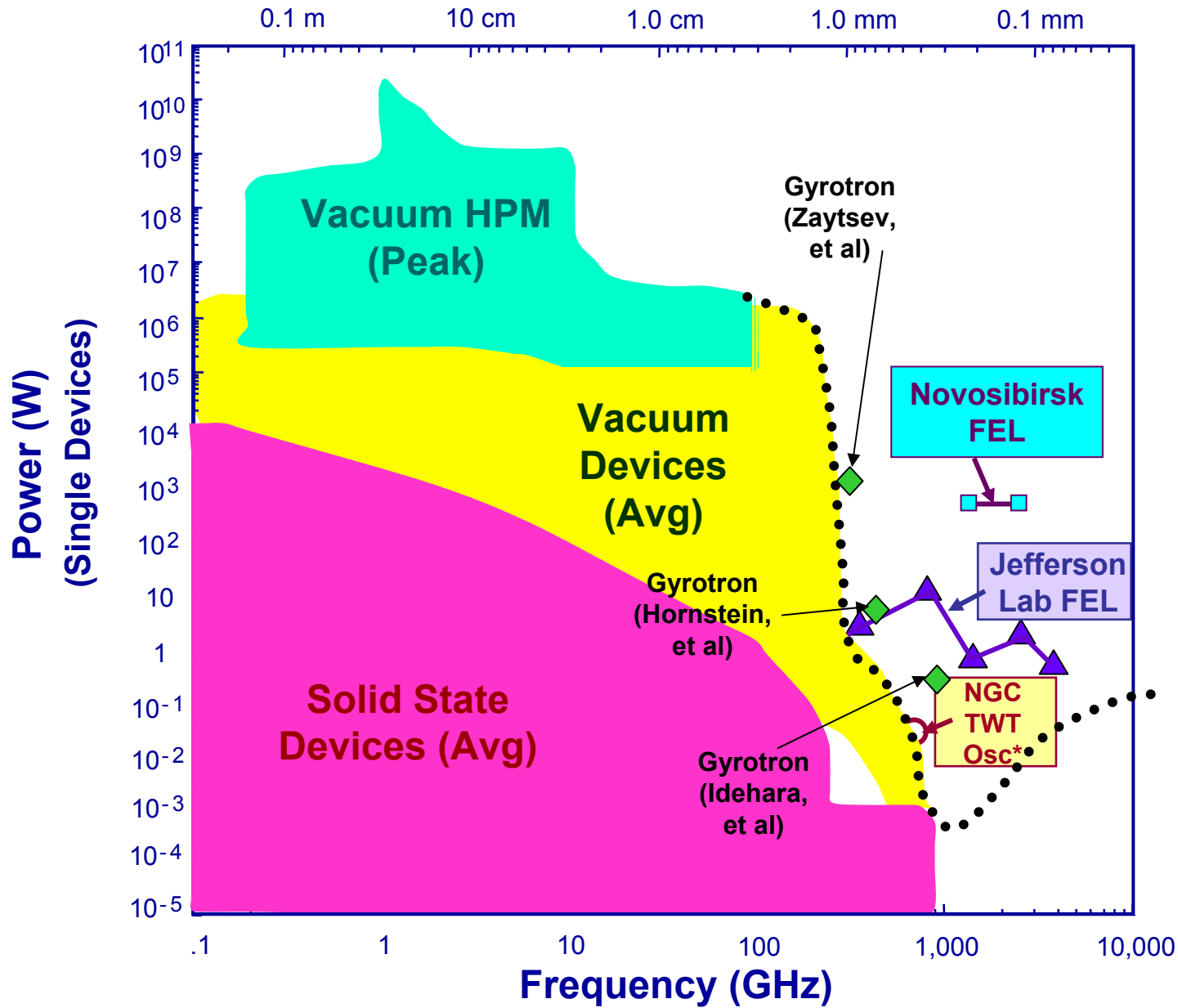
Jeff. Lab

Medical



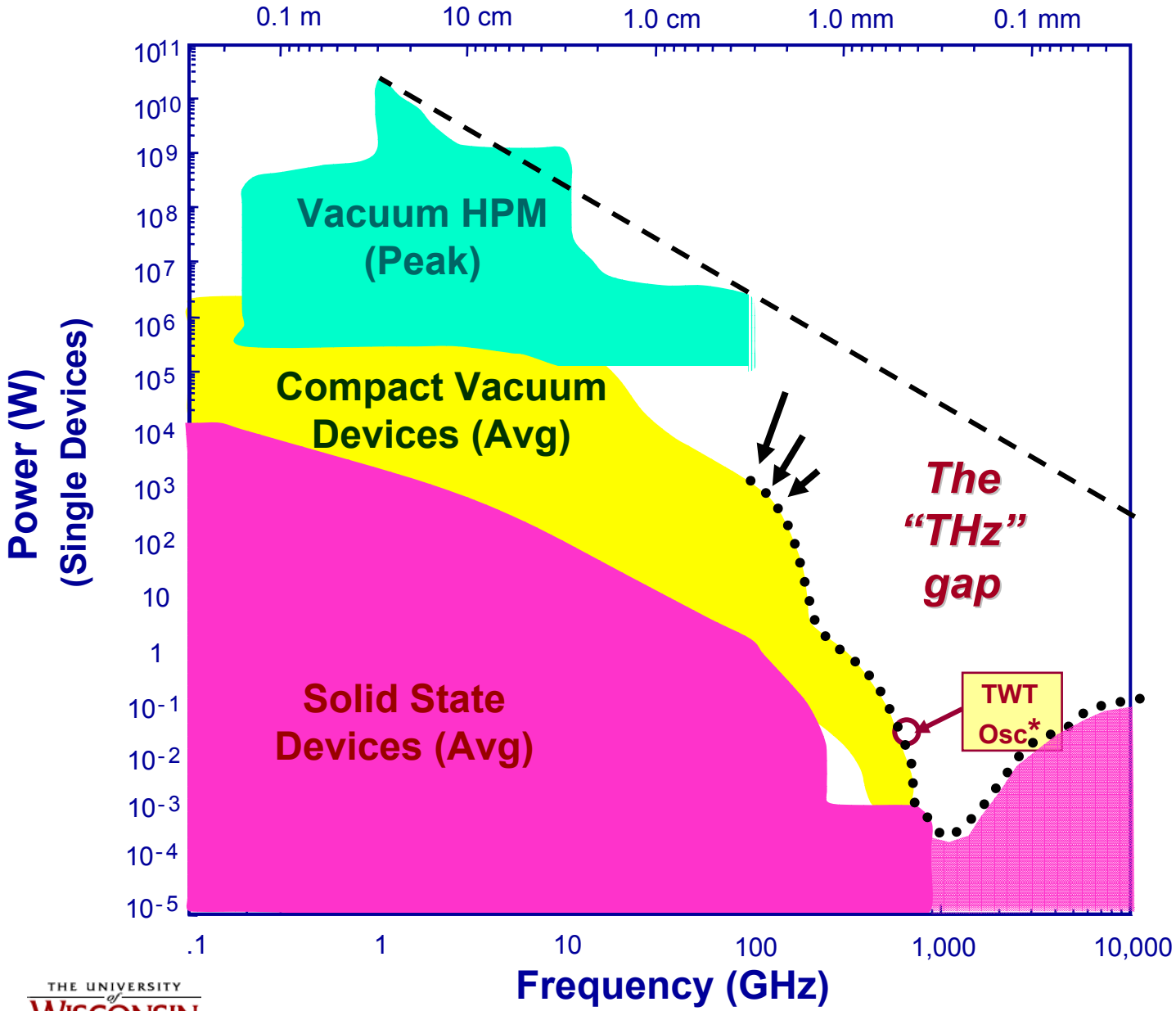
TeraView





**Recent vacuum
electronic device
breakthroughs
towards filling the
THz gap**

* note: does not include peak power from FELs above 100 GHz

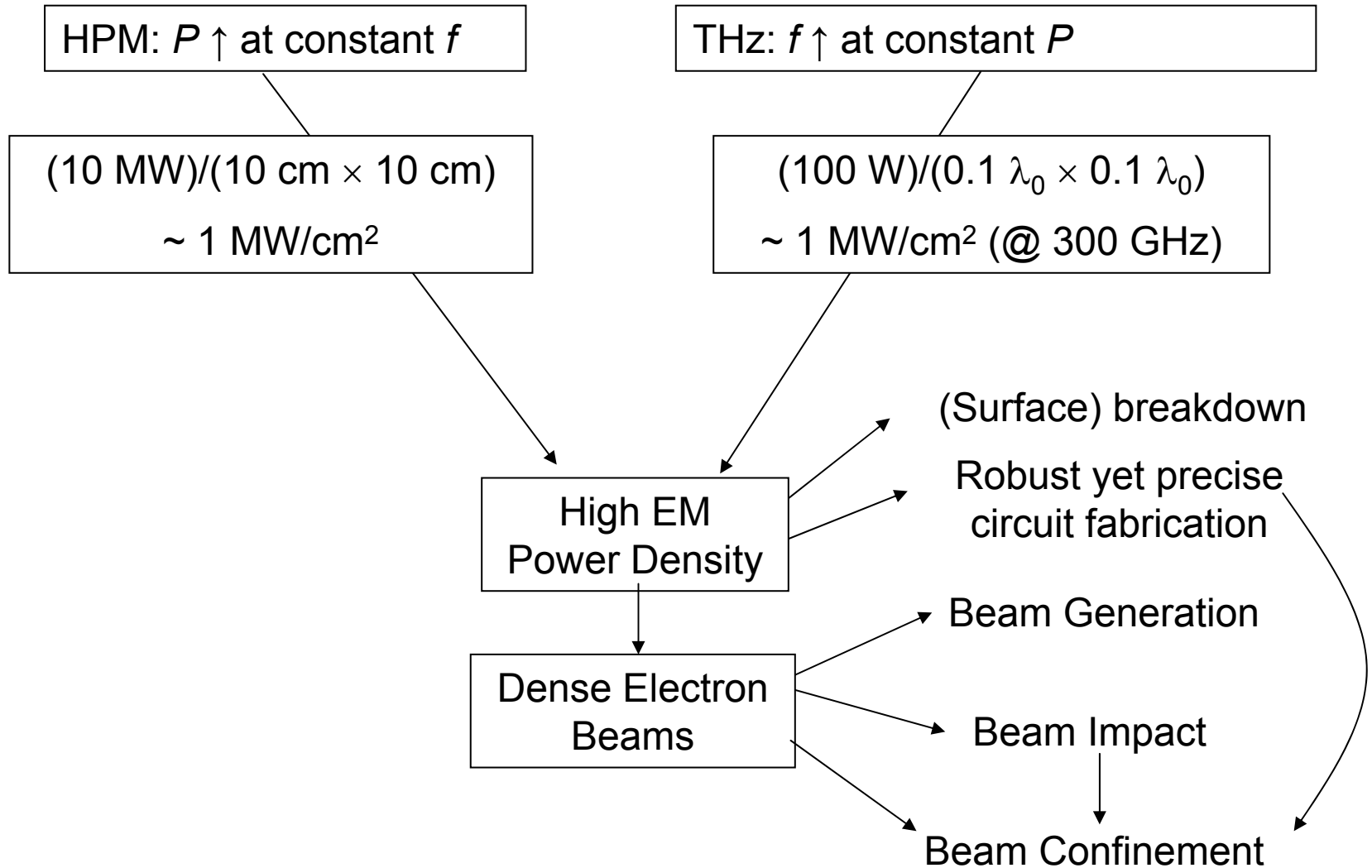


Modified edge of the frontier, given that many THz applications require compact and mobile sources with high average power

High Power Research Frontier

- Apparently two frontiers
 - Constant Pf^2 limit of HPM (1-100 GHz)
 - mmwave-to-THz, or “THz” gap (100 – 1000 GHz)
- Not so separate as they might seem: they share common “plasma physics” and related challenges of high power density:
 - Dense electron beams
 - Maximizing RF power density

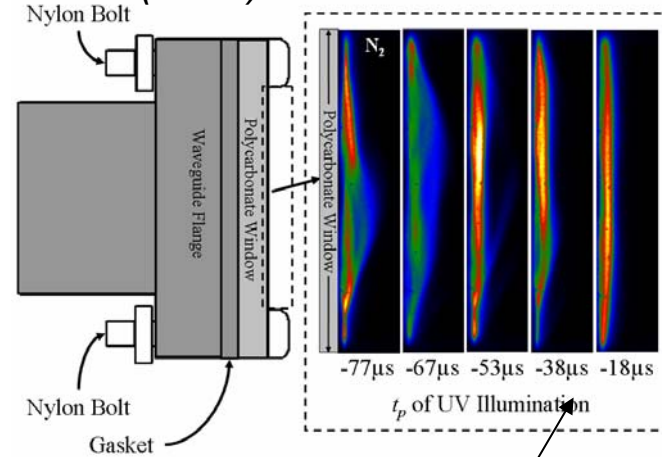
Scaling



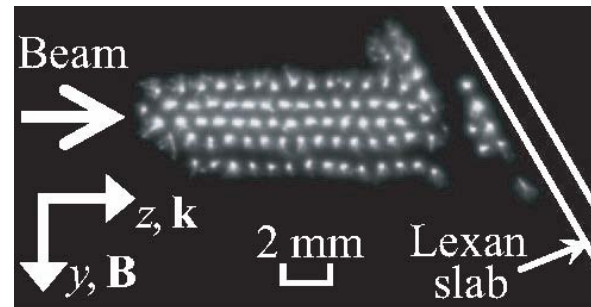
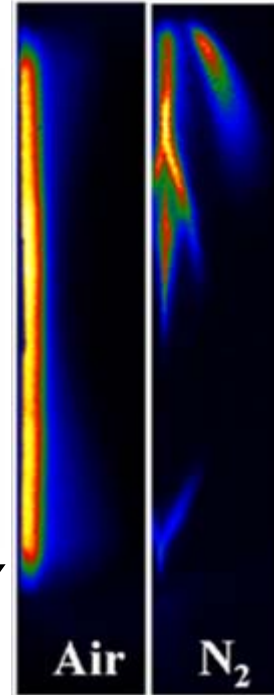
High Power Density: RF Breakdown

- Inside the vacuum device
 - Arcing damage
 - Interrupted operation
- Outside the vacuum
 - Reflected radiation
- Intense E fields
- Experiments
 - $E = f(p, \tau)$
 - Surface & UV effects at < 10 GHz and < 300 torr (TTU)
 - No UV or surface effects at 110 GHz, 760 torr but filamentation dominant (MIT)
 - $E \sim 20\text{-}30$ kV/cm @ 760 torr (AFRL, MIT, UW, 1 GHz – UV laser)

Neuber, et al, *Phys. Plasmas*, **14**, 057102 (2007)



2.85 GHz
 TTU



110 GHz
 MIT

Hidaka, et al, *Phys. Rev. Lett.*, in review (2007)

See also Poster TP8 42, Hidaka, et al, Thurs AM

RF Breakdown: Theoretical Understanding

- Vacuum

- Surface breakdown via multipactor

$$\tau_{transit} = 2m v_0 / eE_0 = T/2 \quad \& \gamma(W_i) > 1$$

or field emission

$$E > \sim 10^8 \text{ V/m}$$

- Primarily accelerator cavities

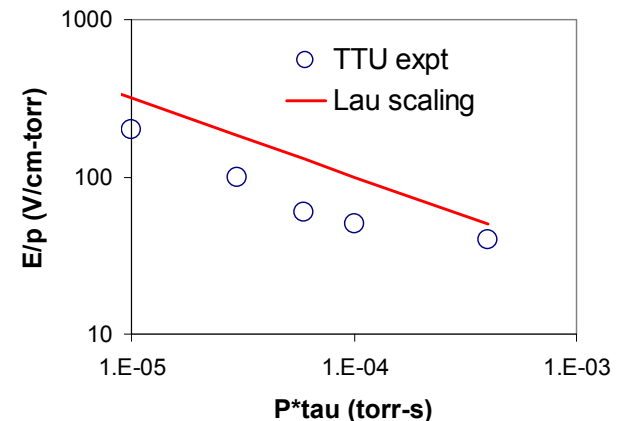
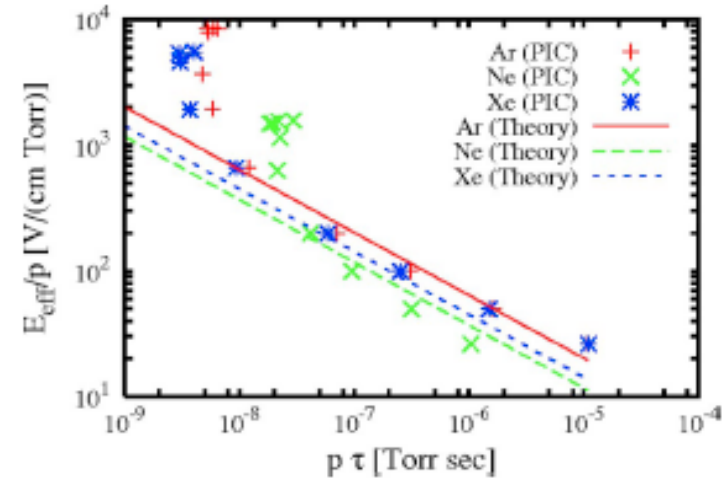
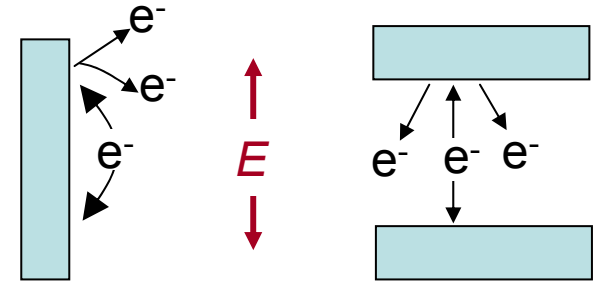
- High Pressure

- Avalanche gas breakdown via avalanche ionization

$$E_{eff} [\text{V/cm}] \approx K \sqrt{\frac{p(\text{torr})}{\tau(\text{s})}} \quad \begin{cases} K \sim 0.05, \text{ noble gases} \\ K \sim 1, \text{ air} \end{cases}$$

Lau, Verboncoeur, Kim, *Appl. Phys. Lett.* **89**, 261501 (2006)

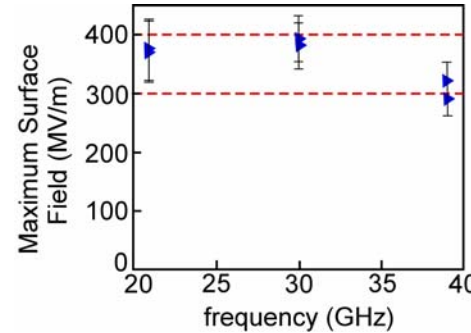
See also, Oral Talk NO7, Wed morning, Nam, et al.



Frequency scaling

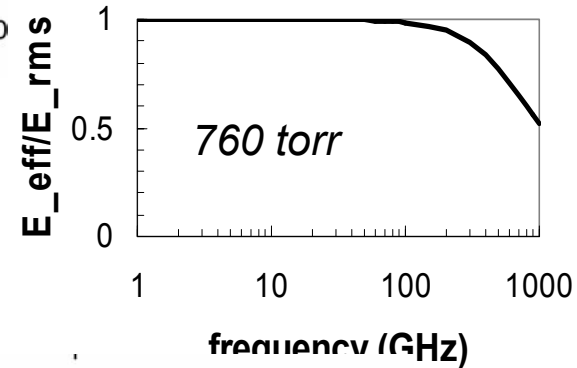
- Vacuum Breakdown

*Braun, et al, PRL, vol 90,
224801 (2003)*



- Air Breakdown

$$E_{eff} \approx \frac{E_0 / \sqrt{2}}{\sqrt{1 + (\omega / \nu_{coll})^2}} \sim 20 - 30 \text{ kV/cm}$$

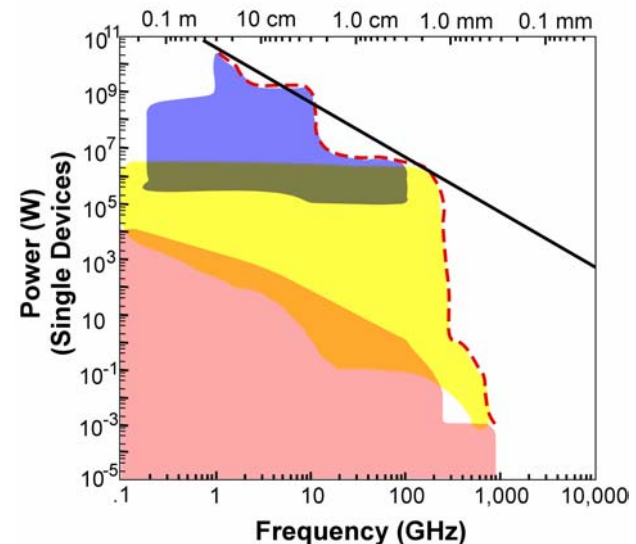


- Conclusions:

- E for breakdown is \sim constant with frequency, or...

$$E_{BD} \sim \sqrt{Pf^2}$$

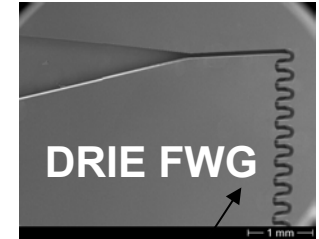
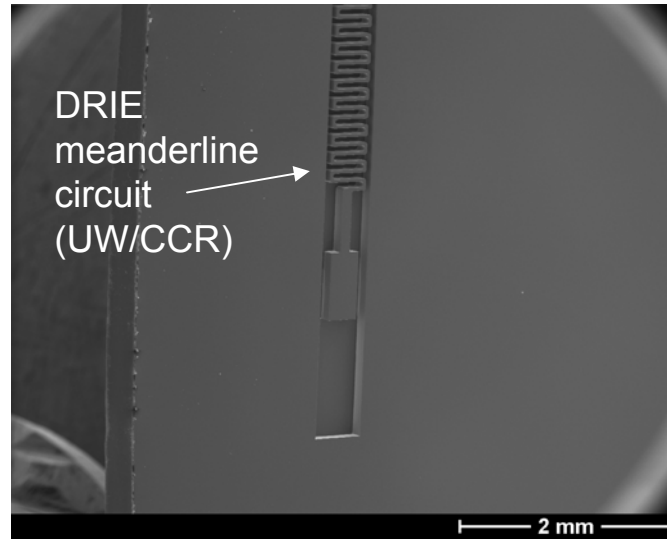
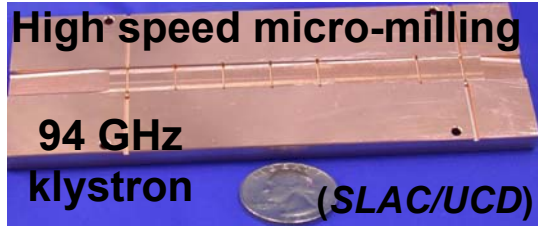
- Breakdown a limiting phenomenon for $f < \sim 100$ GHz
- Breakdown is not the limiting issue for $f > \sim 100$ GHz



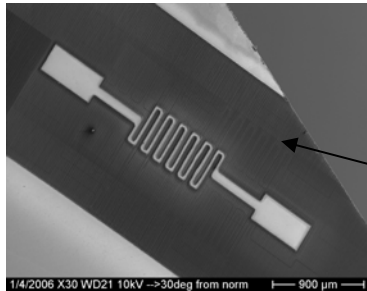
High Power Density: THz Circuit Fabrication

- Limiting phenomenon: circuit sizes required for compact generators at $f > 100$ GHz
 - $r_{\text{circuit/tunnel}} \sim 0.1\lambda_0$ and $r_{\text{beam}} \sim r_{\text{ckt}}/2$
- For “as-designed” performance, need dimensional errors $< \sim 3\%$
[Pengvanich, et al, IEEE TED (to be published, 2008)]
See also, Poster TP8 39, Pengvanich, Thursday, AM
- How to make and assemble such precise circuits with high yield?
- Recent, intensive efforts to adapt MEMS microfabrication techniques to high frequency VEDs
 - 3D, mechanically and thermally robust
 - Many approaches under investigation
 - High speed micro-milling
 - Micro-EDM
 - Laser micromachining
 - Deep Reactive Ion Etching of Si (both circuits and molds)
 - Xray LIGA
 - UV LIGA

Microfab Circuit Examples



UW's DRIE FWGs in Si used by NGC for 670 GHz THz TWT oscillator

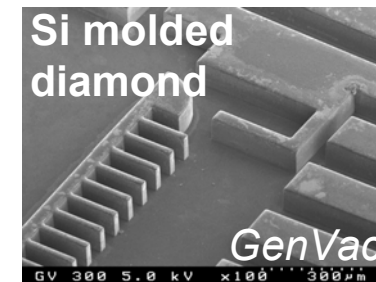


Laser micromachined meanderline circuit (UW/CCR)

FWG made by xray LIGA (SNU)

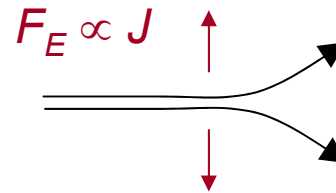
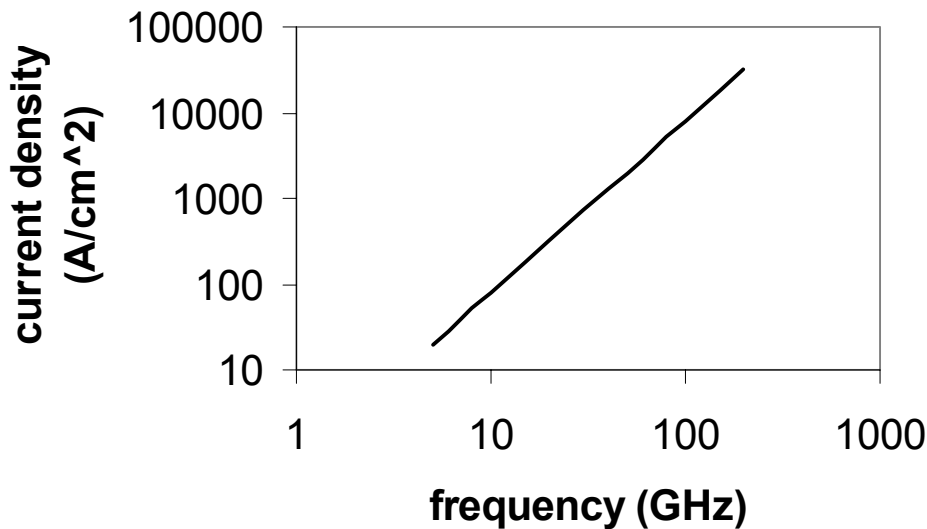


- Emerging “front-runners”
 - Micro EDM (< 10 μm wire diameter)
 - Deep Reactive Ion Etching of Si



Small Circuits + High Power = Dense Beams

- Reference device: 5 GHz, 100 W TWT amplifier
 - 2.5 kV, 0.2 A, 20 A/cm², $r_{\text{ckt}} \sim 0.02\lambda_0$ for compact high gain & efficiency
- Scale to 200 GHz at constant voltage... λ decreases by 40 X



Magnetic field focusing:

$$\omega_c^2 \geq 2\omega_p^2$$

or

$$B[\text{kG}] \geq 1.5 \frac{\sqrt{J[(\text{A}/\text{cm}^2)]}}{(V[\text{volts}])^{1/4}}$$

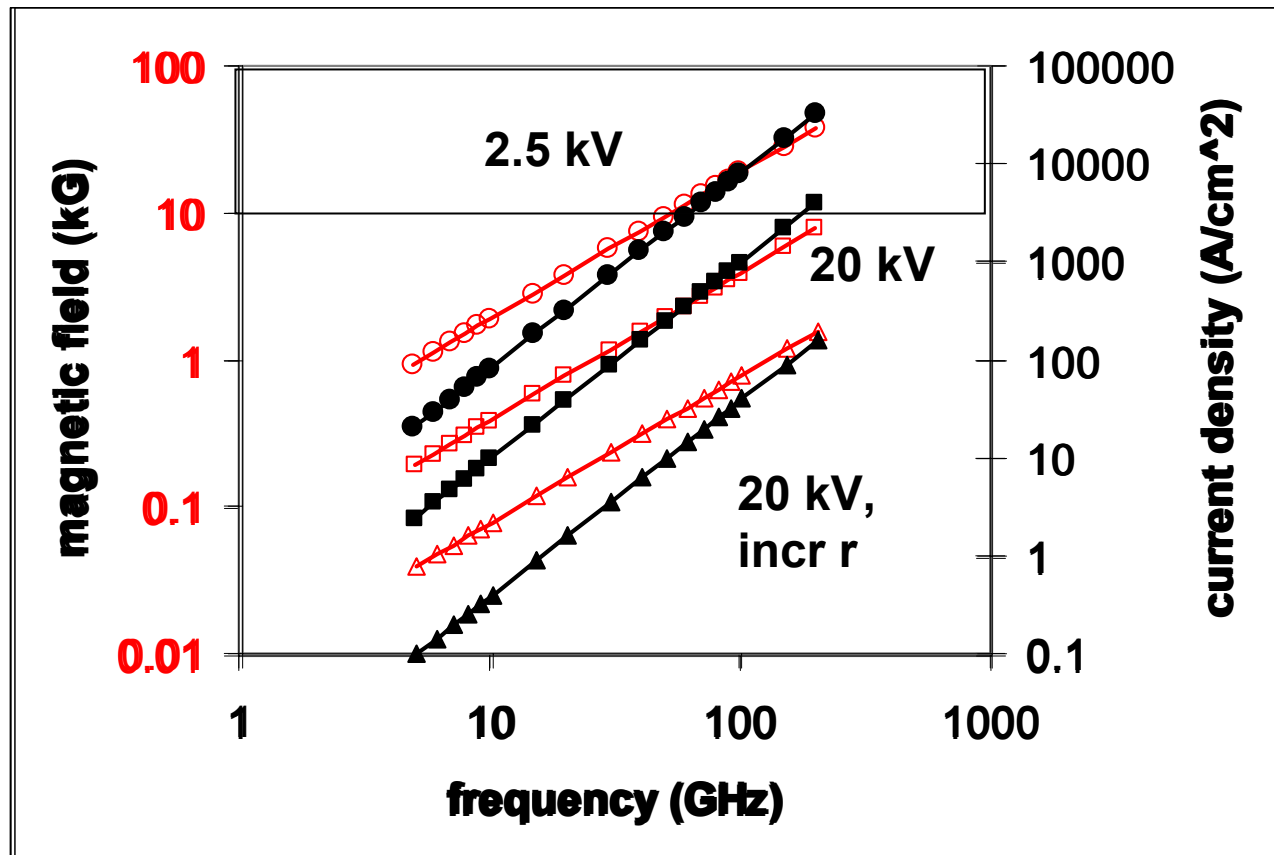
Scaling Challenges and Options

- Scale 5 GHz, 100 W TWT amplifier to 200 GHz
 - 2.5 kV, 0.2 A, 20 A/cm², $r_{\text{ckt}} \sim 0.02\lambda_0$ for compact high gain & efficiency
- $B_{\text{max}} \sim 10$ kG

Constant V

$V \rightarrow 20$ kV

$r \uparrow 5$ X

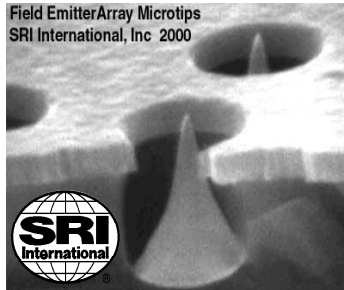
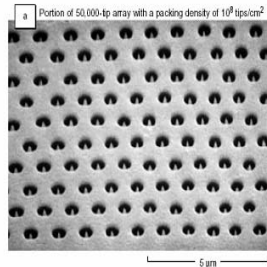


Recent High-J Cathode results

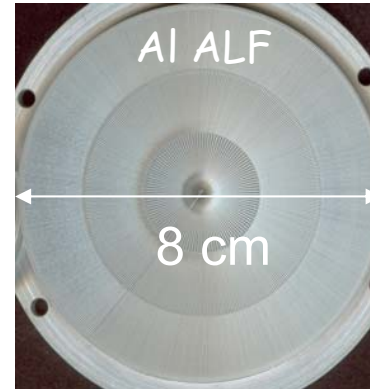
Field Emission-DC

Gated Mo-tip field emitter array

(650 A/cm²)



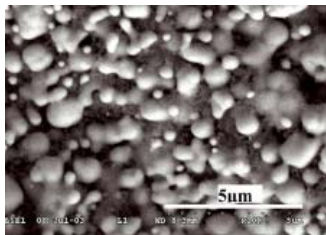
Field Emission-pulsed



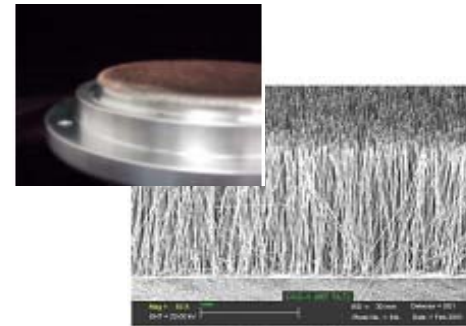
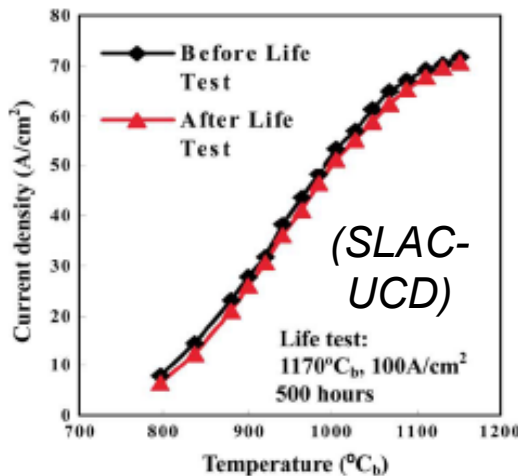
Laser-micro-textured aluminum cathode (UMich)

Sandia Natl Lab
80,000 A @ 4 MV (1.6 kA/cm²)

Thermionic Emission

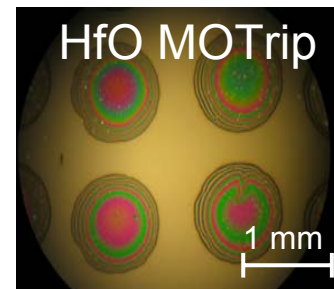


Scandate nanoparticles in porous Ba-doped W matrix (BVERI)



Csi-coated graphite fiber (AFRL-Kirtland)

> 10X reduction in E_{turnon} due to Csi
10⁶ shots
Up to 1 kA/cm²

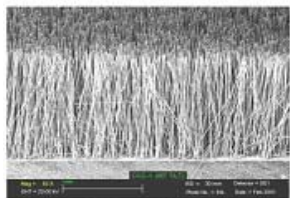


Metal oxide Triple Point cathode (UMich)

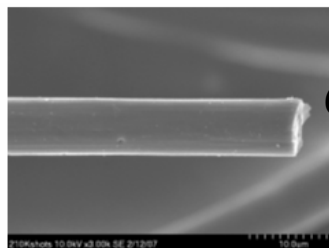
Gain extra ~ 80 A/cm²
Posters TP8 36, 37
Thurs AM

Advancing cathode physics: Minimizing $E_{\text{turn-on}}$

Vlahos, Morgan, Booske
APL **91**, 144102 (2007)

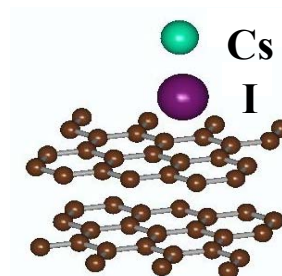


Hi-res SEM



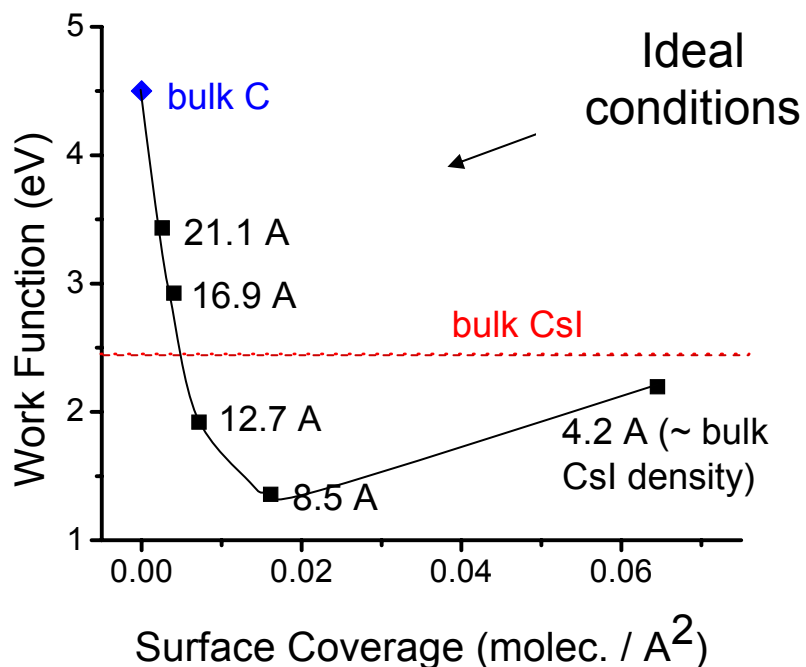
CsI thin film

200K Shots

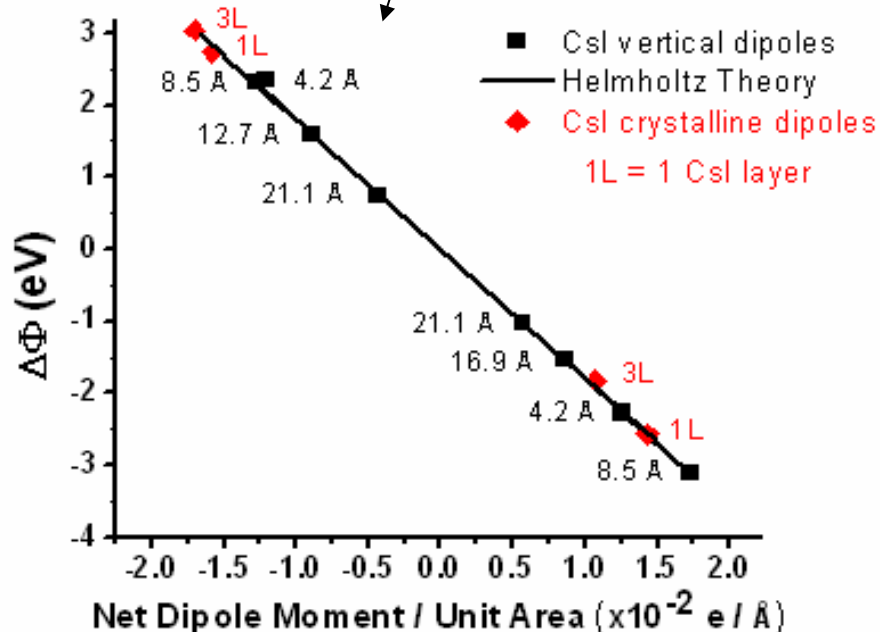


Ab initio
computational
C modeling
(V.A.S.P.)

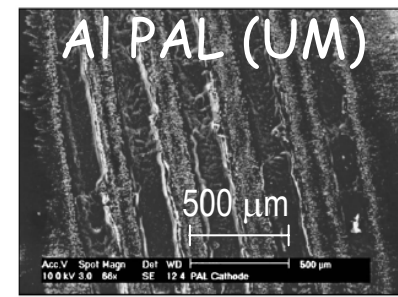
CsI treatment
reduces $E_{\text{turn-on}}$ by
10-20X



Why it works

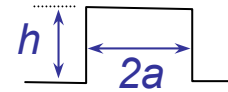


Advancing cathode physics: understanding field enhancement



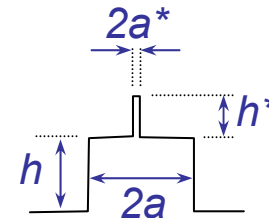
- Experimental studies [X.He, et al, Conf Proc IEEE IVNC, 2007] indicate that $\beta \sim 9-10$ experimentally with ridges like these, when $\beta \sim 3$ according to E-static calcs
- Recently derived the vacuum field enhancement factor for knife edge using conformal mapping*

$$\beta|_{h \gg a} \cong \sqrt{\frac{\pi}{4}} \times \sqrt{\frac{h}{a}} \propto \sqrt{\frac{h}{a}}$$



- Asked question: what if decorated by small “invisible” features? What is net field enhancement?
- Derived result again for rectangular ridges (knife edges)

$$\beta^*|_{h \gg a \gg h^* \gg a^*} \cong \sqrt{\frac{\pi h}{4 a}} \times \sqrt{\frac{\pi h^*}{4 a^*}}$$



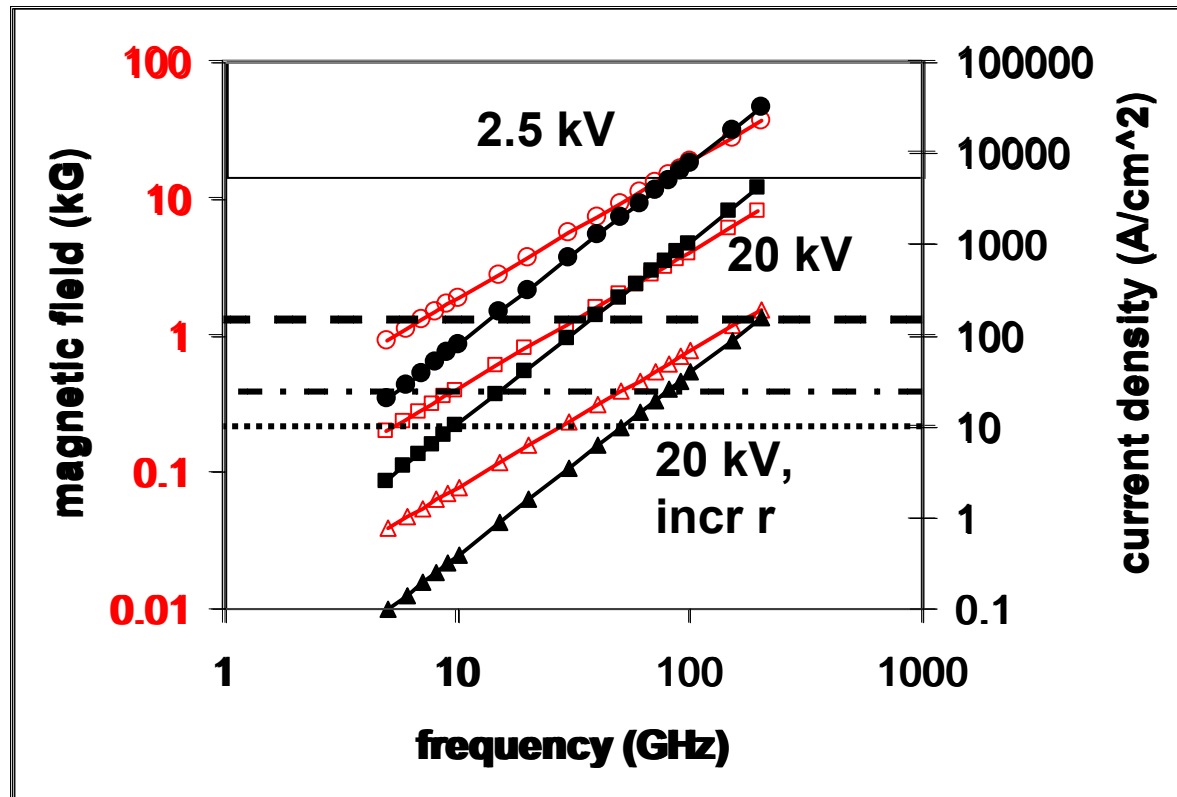
- Effect is not additive or dominated by one feature...effect is *multiplicative*
- Confirms and proves conjecture by Schottky [(Z. Physik **14**, 63,(1923)]

* Miller, Lau, and Booske, APL **91**, 074105. (2007)

See also, Poster TP8 38, Thursday AM

DC Dense Beam Cathode Summary

- Generating dense beams, i.e., cathodes
- Maximum cathode emission
 - Field emission—laboratory $< 650 \text{ A/cm}^2$
 - Thermionic—short life ($\sim 100\text{s hrs}$) $< 150 \text{ A/cm}^2$
 - Field emission—device $< 20 \text{ A/cm}^2$
 - Thermionic—long-life (1000s hrs) $< 10 \text{ A/cm}^2$



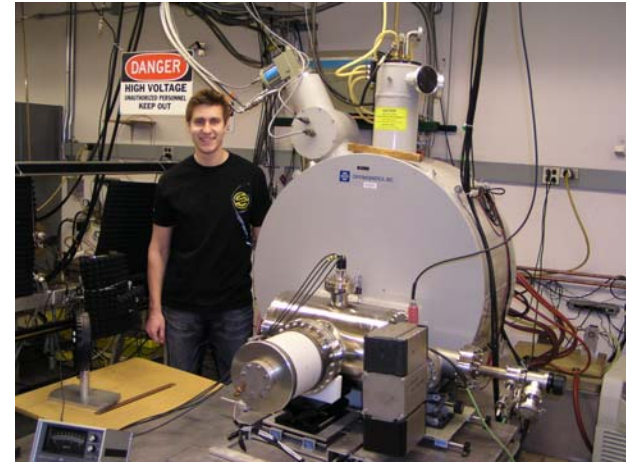
Advancing cathode physics: emission uniformity

- Mode competition and efficiency of vacuum electron devices are affected by the uniformity of electron beam
- High power mmwave gyrotron cathode emission is *not* uniform
- Two theories, both implicating mechanical machining and fabrication

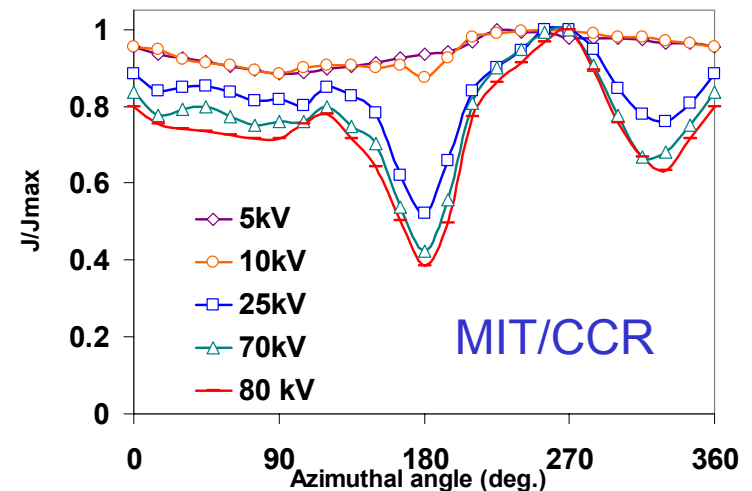
Anderson et. al , IEEE-TED 52, p. 825, 2005

Jensen, Lau, Jordan, APL **88** 164105 (2006)

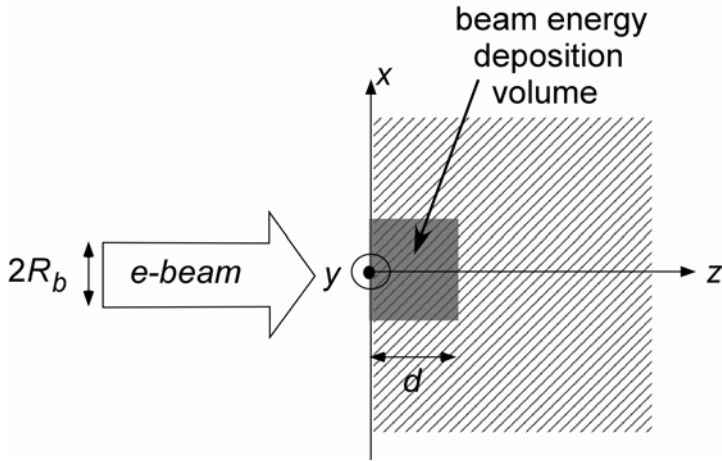
- Measurements at CCR underway with new cathodes made with new diamond cutting and Ba impregnation processes



110 GHz, 1.5 MW gyrotron (MIT)



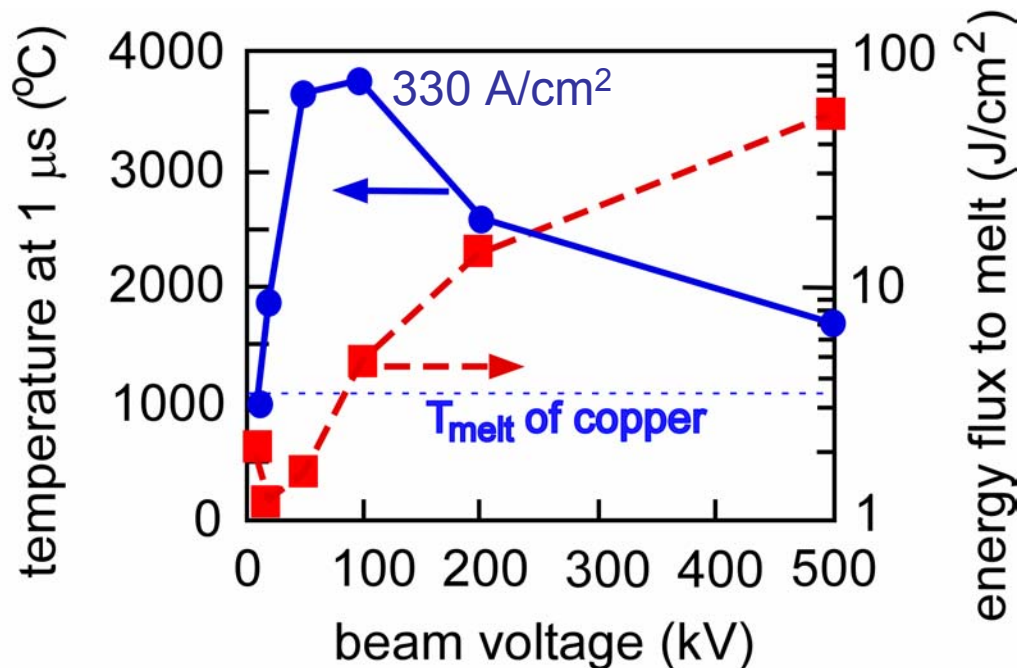
Dense beam impact physics



$$T(0,0,0,t) = \frac{V_b J_b}{d \rho c} \int_0^t d\tau \left[\text{erf} \left(\sqrt{\frac{t_r}{4\tau}} \right) \right]^2 \text{erf} \left(\sqrt{\frac{t_z}{4\tau}} \right),$$

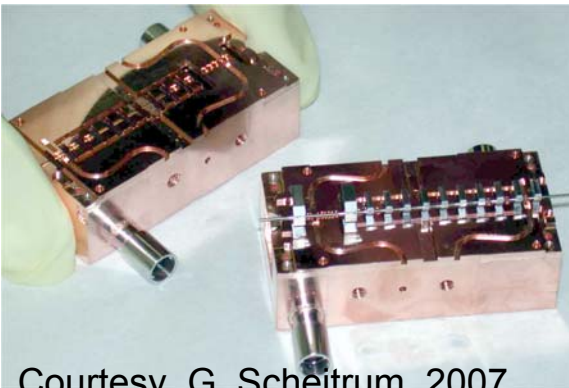
$$t_r = \frac{R_b^2}{D}, \quad t_z = \frac{d^2}{D}$$

(assume square cross section beam for easy math)

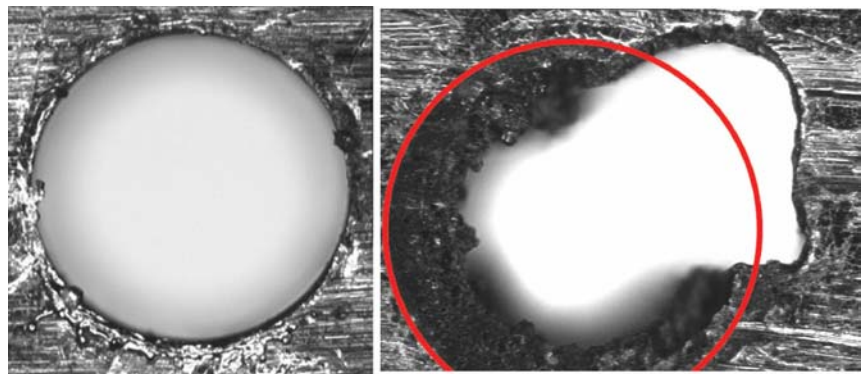


Beam Impact: experimental illustration

- SLAC *Klystrino*: 94 GHz, 1 kW klystron
 - G. Scheitrum, et al, *IEEE I.V.E.C. Conf Digest* (2002)
- 110 kV, 2.4 A, 0.25 mm radius
- Magnetic focusing design had small error near output (quadrupole leakage fields)
- Beam interception at exit of circuit
 - $\sim 1 \text{ mm}^2$ impact area
 - $\sim 1 \text{ MW/cm}^2$
 - $t \sim 5 \mu\text{s}$
 - Exceeded single pulse damage threshold
- *3D Electron optics and magnetic design codes are better now*
- Superior approaches currently being pursued (...more shortly)



Courtesy, G. Scheitrum, 2007



Additional Challenge: at high frequencies, space charge not the magnetic focusing limit

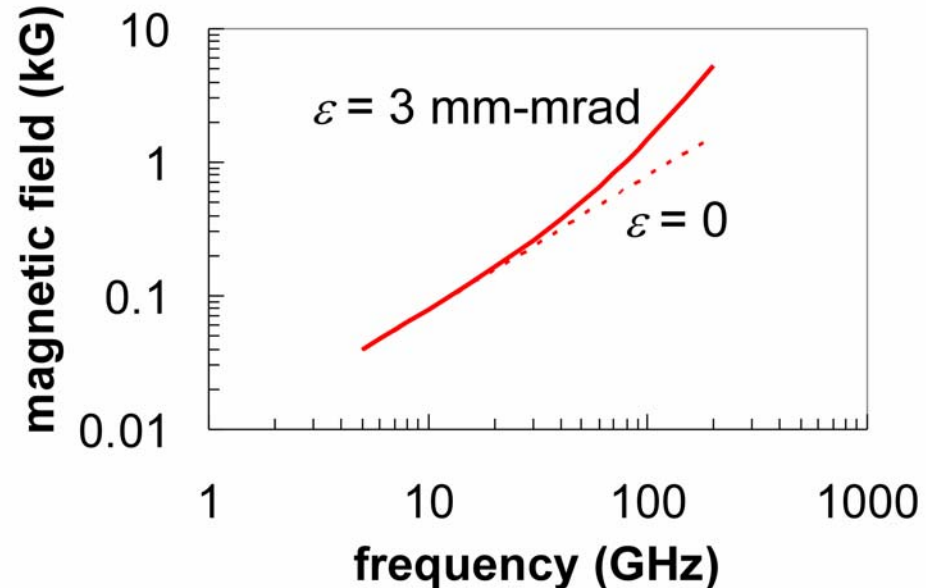
- Electrons have random transverse velocities
- Magnetic field must confine *both* space charge and transverse “pressure gradient” defocusing forces (*emittance*)
- Typical well-designed VED beam has $\varepsilon \sim 3$ mm-mrad
 - Edge emission
 - J.M. Finn, et al, IEEE T.P.S. **16**, 281 (1988)
 - Roughness
 - Y.Y. Lau, J.A.P. **61**, 36 (1987)
- Scaled 100 W, TWT with 20 kV and max radius
 - $kT_{\perp} \sim 5\text{-}10$ eV @ 200 GHz
 - Single-gate FEAs, $kT_{\perp} \sim 10$ eV

$$\omega_c^2 \geq 2\omega_p^2 + \left(\frac{2u_0}{a^2}\right)^2 \varepsilon^2$$

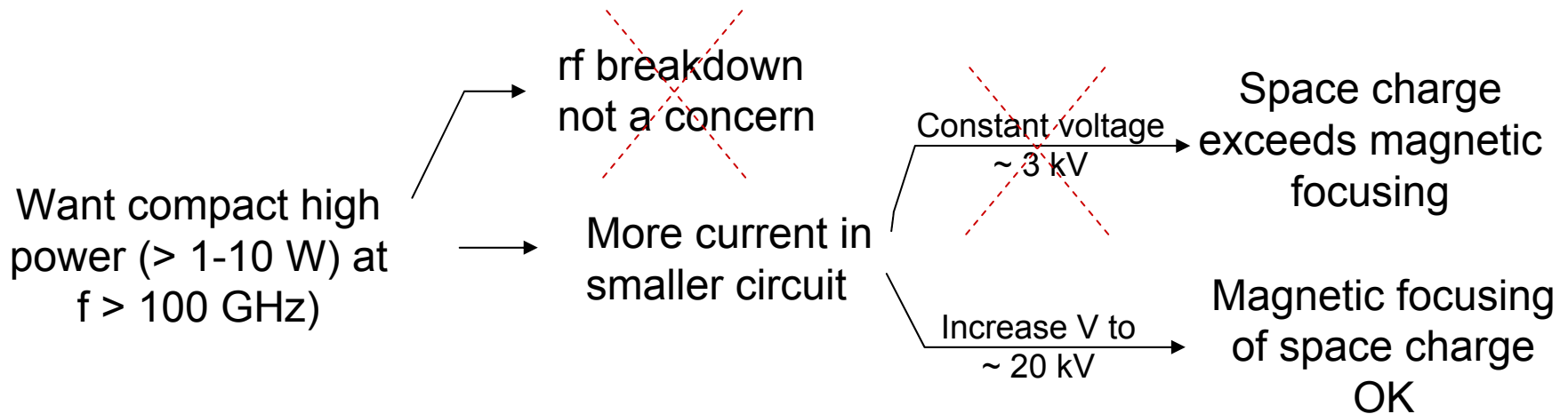
or

$$\omega_c^2 \geq 2\omega_p^2 + \frac{8kT_{\perp}}{ma^2}$$

J.D. Lawson, The Physics of Charged Particle Beams (Oxford, 1977)

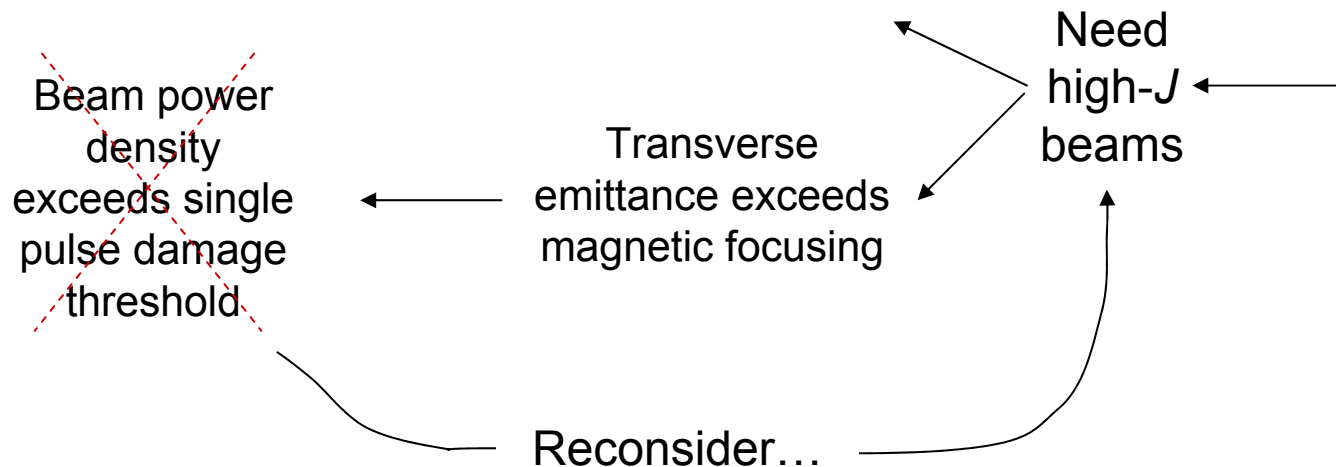


Recap: higher compact THz power



Ongoing R&D

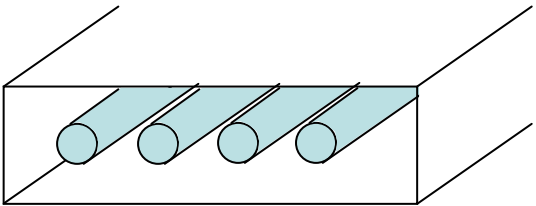
- Field emission cathodes
- Thermionic cathodes



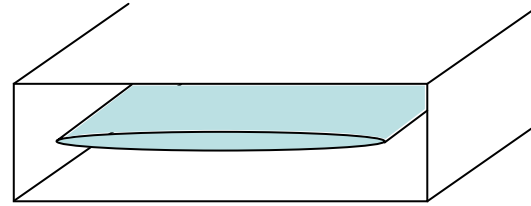
Alternative: Distributed Beams

- Objective: high beam *current* in small (high frequency) “circuits”
- Reduce current density by spreading out beam in one dimension, but leave other dimension small
- Options

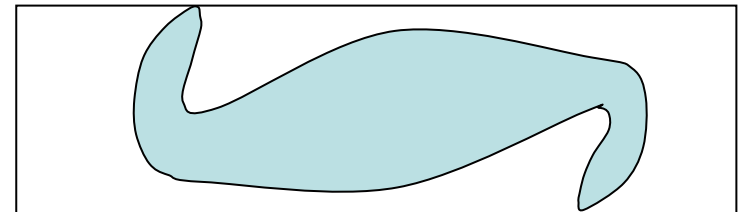
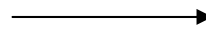
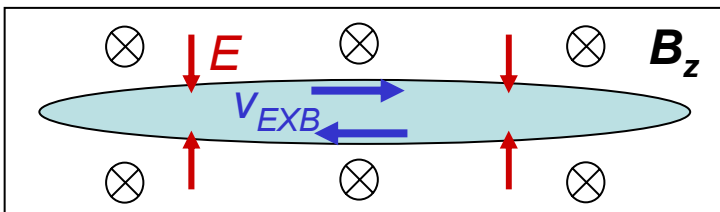
Multibeams



Sheet Beams

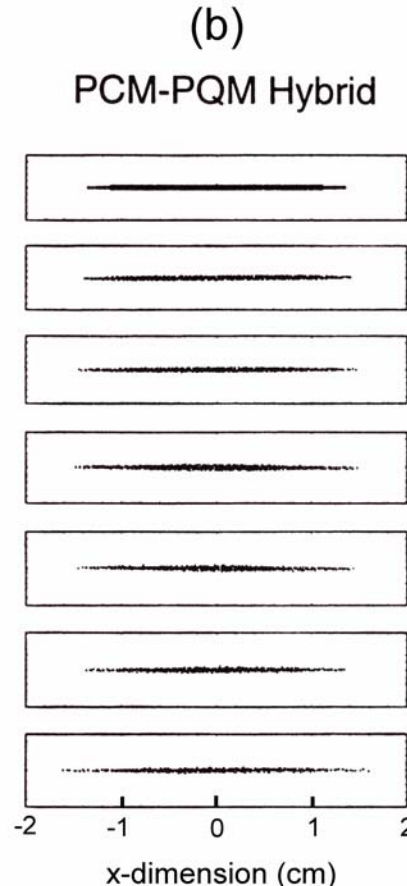
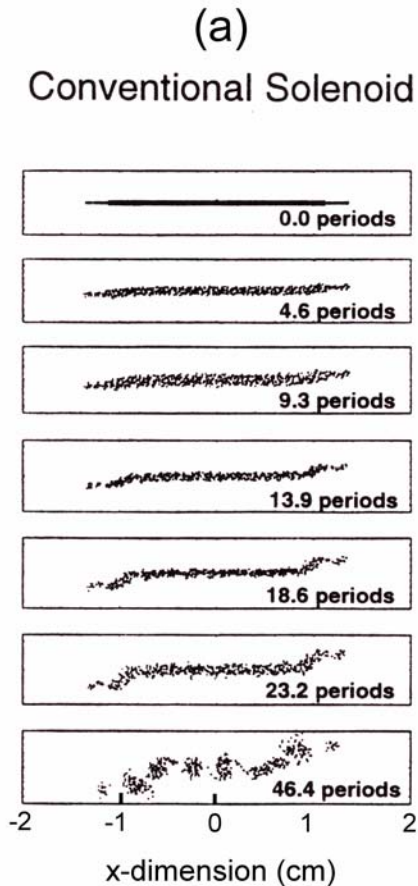
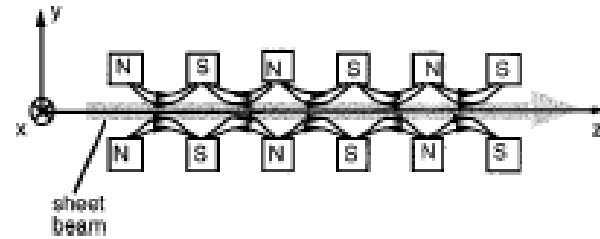


- New challenge: stable beam focusing...



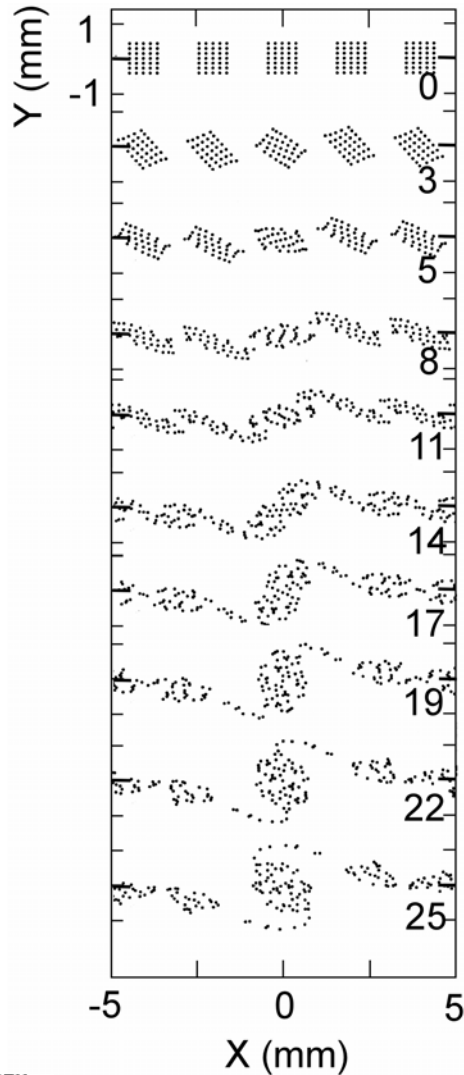
Magnetic focusing of distributed beams

Basten and Booske,
J. Appl. Phys., **85**, 6313
 (1999)



- Or...use wiggler focusing (Booske, et al., *J.A.P.*, **64**, 6 (1988))
- Or...use solenoid focusing for *short* distances
- *How short?*...subject for additional research
- Scaling, $t_{\perp} \propto \frac{a}{v_{E \times B}} \sim a \frac{B}{E} \sim a \frac{\omega_c}{\omega_p^2}$
- High B , low beam density

Multibeams face similar issues



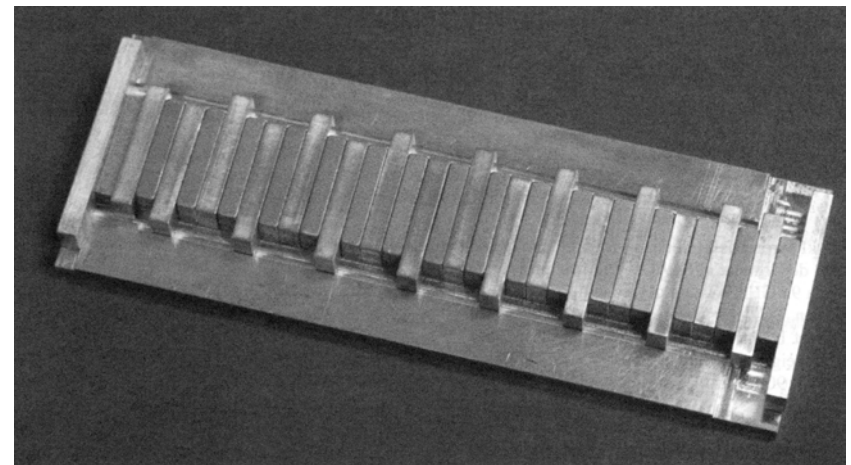
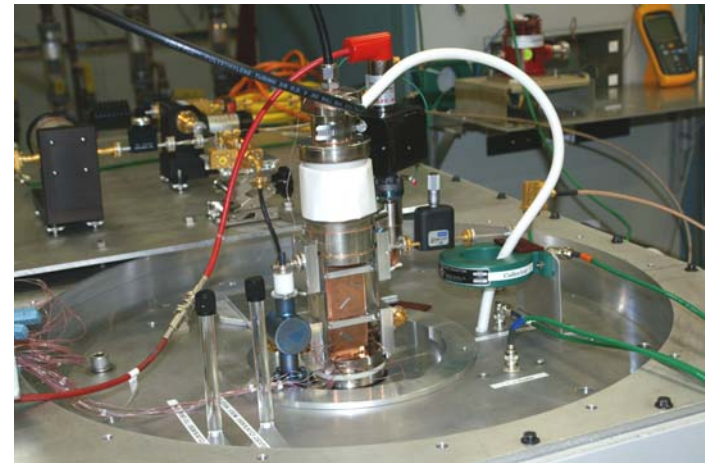
- “Smearing” distance, $z_s \leq u_0 t_{\perp}$.
- For 10 A/cm² and 20 kV,

$$z_s \text{ (cm)} \leq \sim 125/f(\text{GHz})$$

(thickness grows more slowly)

Illustrative successful application of sheet beam approach

- SLAC 94 GHz 1 kW sheet beam klystron
 - 74 kV, 3.6 A,
 - 1.1 kG offset PCM focusing
- > 90% transmission, no circuit damage
 - power density below single pulse damage threshold
 - G. Scheitrum, et al, IEEE IVEC Conf. Proc. (2006)
- Also,
 - LANL: Carlsten, et al, PRSTAB **8**, 062002 (2005)
 - NRL: Cooke, et al, 2006 IEEE I.V.E.C, 487-488.

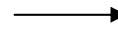


Recap

Want compact high power ($> 1-10$ W) at $f > 100$ GHz)



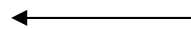
More current in smaller circuit



Distributed beams to get below single pulse damage threshold



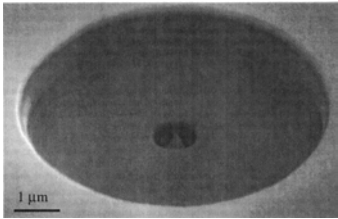
For $f > 200$ GHz, transverse emittance exceeds magnetic focusing



Need lower transverse emittance beams!

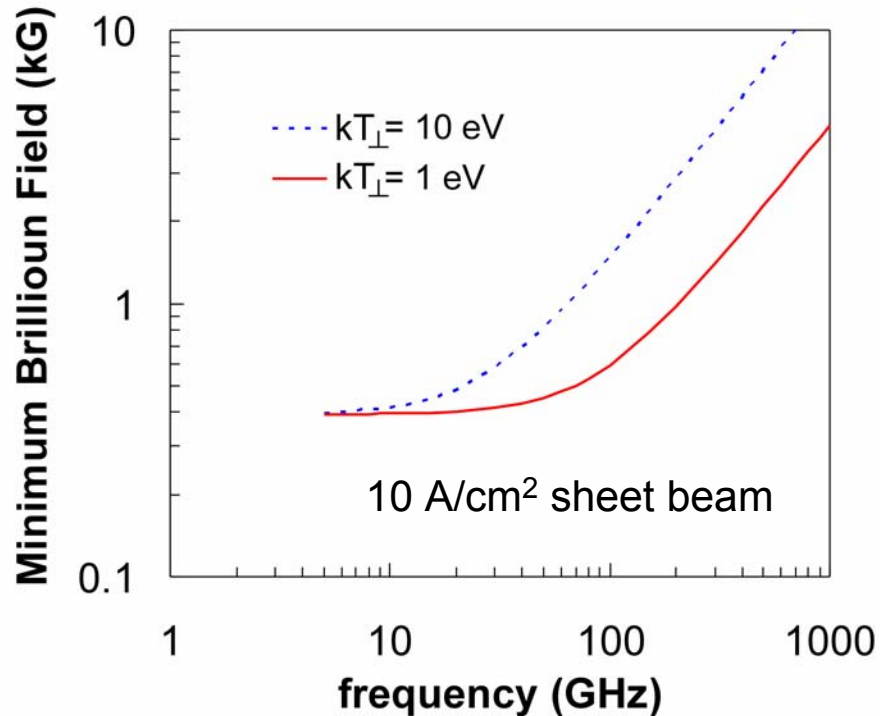
Reducing transverse beam emittance

- Beam cooling
 - Carlsten and Bishofberger, *New J. Phys.* **8**, 286 (2006).
 - Only for elliptical beams and requires extra magnetic optics
 - 10X reduction in ε , kT_{\perp}
- Advanced FEA cathodes with integral focus electrode, $kT_{\perp} \leq 1$ eV



C.M. Tang, et al *JVST B*
14, 3455 (1996)

C.A. Spindt, et al, in
Vacuum Microelectronics
(Wiley, 2001)



- **Meanwhile, dimensions above 200 GHz may well require microfabricated cathodes (i.e., FEAs) to reliably achieve precise dimension and alignment tolerances.**

Recap

Want compact high power ($> 1-10$ W) at $f > 100$ GHz)

More current in smaller circuit

Distributed beams to get below single pulse damage threshold

Microfabricated circuits

success

?

Advanced, microfabricated field emitter (cold) cathodes with integral focusing

For $f > 200$ GHz, need low emittance beams with precise dimensional tolerances

What's left to do?

- Low emittance, uniform emission, high current density, *long-life*, distributed beam cathodes and “matching optics”
 - $kT_{\perp} < 1$ eV
 - $J \sim 10$ A/cm²
- Advanced, quantitative, experimentally benchmarked studies of sheet and/or multibeam confinement and transport
 - Solenoidal fields
 - PCM/PPM fields
- Establish knowledge of best microfabrication approaches and microfabricated circuit performance
 - Precision-aligned assembly
 - Circuit attenuation, input/output coupling, vacuum packaging and windows
- Studies of electromagnetic mode control with overmoded distributed beam, high power circuits
 - Sheet beam & multibeam circuits
 - RF wall losses
- *Amplifiers*

Simulation tools

- How we've arrived here...
 - 3D EM models (steady state and time-dependent)
 - 3D steady state electron optics (trajectory) codes
 - 3D PIC codes for time-dependent particles + EM fields
 - 3D thermo-mechanical models
 - Ab Initio surface physics models
- Persistent, aggressive, detailed benchmarking against experiments
- Persistent institutional and individual leadership and investment
 - U.S. Naval Research Laboratory
 - U.S. Air Force Office of Scientific Research/AFRL
 - ...and many more...

[Ch. 10, in *Modern Microwave and Millimeter-Wave Power Electronics* (IEEE/Wiley, 2005)]

[Ch. 11, in *High Power Microwave Sources and Technologies*, Eds. Barker, Schamiloglu (IEEE, 2001)]

Summary

- Vacuum electronic devices offer significant potential for applications in the (mmwave-to)-THz regime ($\sim 100 - 1000$ GHz) that need compact high power
 - Advanced communications and radar
 - Concealed threat detection
 - Imaging...
- What will it take to push back the frontier?
 - High power densities
 - High current electron beams
- Common requirements and similar challenges with HPM (< 100 GHz)
 - Electronic attack
 - RF accelerators

Recent Breakthroughs

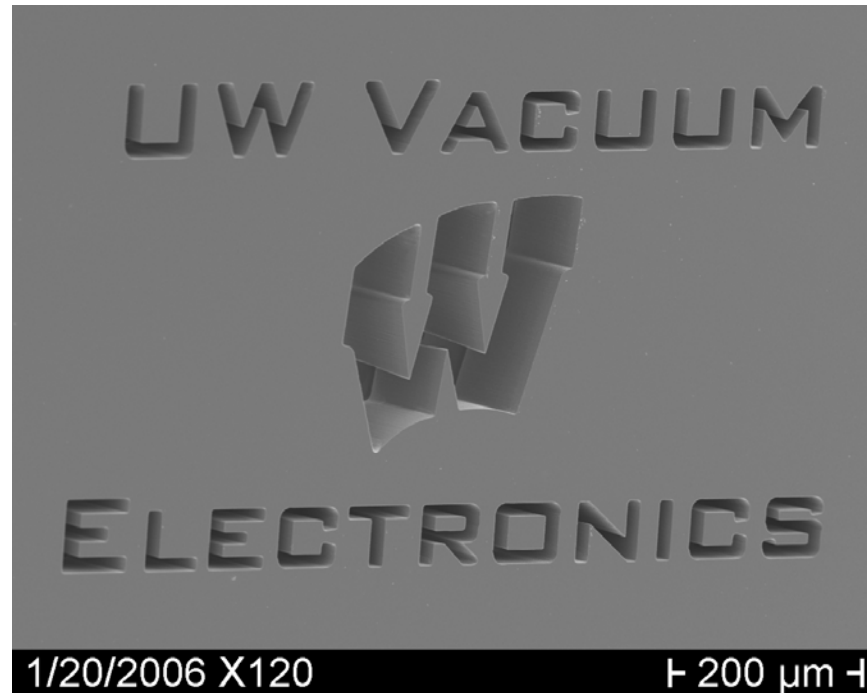
- Fabrication and engineering of miniature circuits
- Understanding rf breakdown
- New cathodes
- Understanding cathode emission physics

Challenges at the Frontier

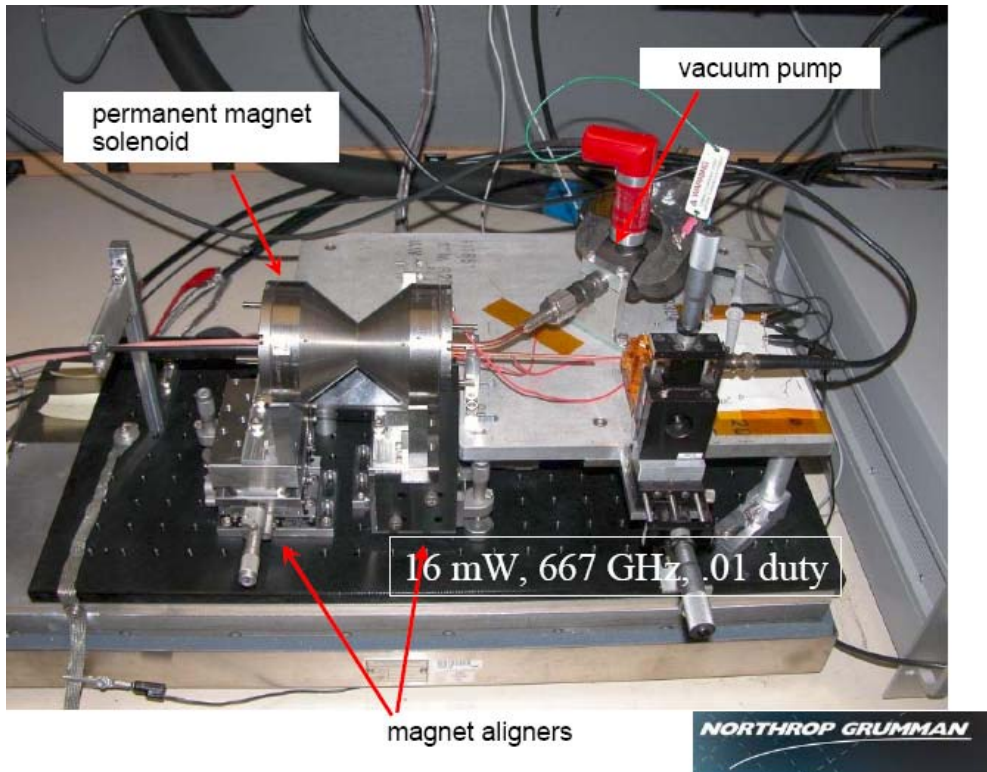
- High EM power density
 - HPM: delayed rf breakdown in air and vacuum
 - THz: mechanically and thermally robust miniature structures
- High current electron beams
 - Cathodes
 - HPM and THz: Long life and uniform emission
 - THz: Low emittance beams
 - Beam impact and collection
 - HPM: anode plasmas
 - HPM and THz: SEE physics, thermal engineering, materials choices
 - Beam confinement
 - THz: Transport & magnetic focusing physics for distributed beams
 - THz: Cathode and device engineering for precision alignment

...In other words...

...there's still a lot of fun to be had!

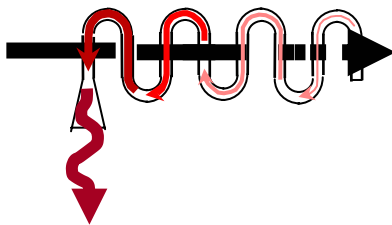


THz TWT oscillator

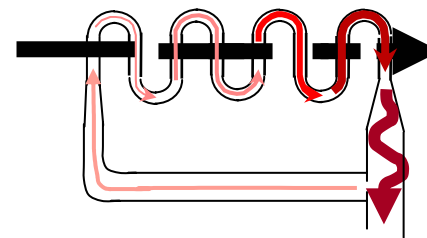


- TWT amplifier with regenerative feedback
- Precision microfabricated circuit
- DRIE Si folded waveguide circuit
- *0.3% rf efficiency! (> 10× higher than BWOs)
- Tucek, et al, Conf Proc. IEEE IVEC 2007 (Kitakyushu, Japan)

BWO



Regenerative
TWT Oscillator



Bhattacharjee,
Booske,
vanderWeide, et al,
IEEE T.P.S. **32**,
1002 (2004)

State of art in compact mmwave dense beam focusing

CPI Canada

3 kW peak

94 GHz EIK



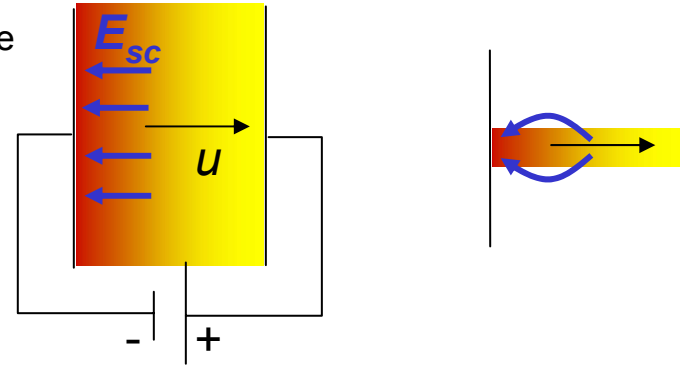
- $I \sim 0.6 \text{ A}$
- $J_{\text{cathode}} = 10 \text{ A/cm}^2$
- $J_{\text{beam}} \sim 700 - 800 \text{ A/cm}^2$
- $V \sim 16 \text{ kV}$
- $\sim 1-10 \text{ MW/cm}^2$ (beam power density)

Advancing cathode physics: understanding differences in J_{max}

- Child-Langmuir law relates J to V_{anode}

$$J[\text{A/cm}^2] = \rho u = 2.33 \times 10^{-6} \frac{V^{3/2}}{d^2}$$

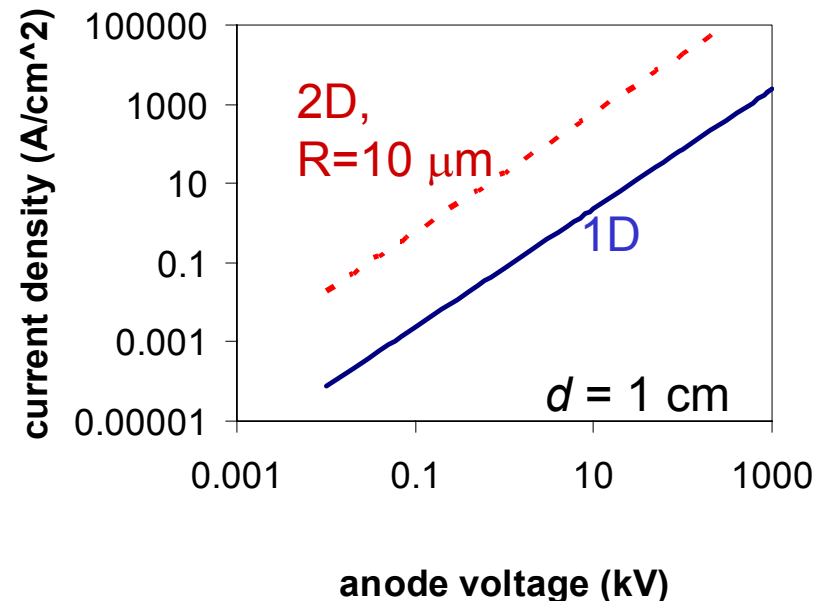
- 1000 A/cm² requires
 - Large (!) anode voltage to extract electrons from cathode
 - OK with short pulse HPM applications
 - Arcing with DC or long-pulse applications
 - Small area cathodes (low currents not useful for high power)



Y.Y. Lau, *PRL* **87**, 278301
(2001)

$$\frac{J_{CL}(2D)}{J_{CL}(1D)} \approx 1 + \frac{d}{4R}$$

Also, poster TP8 40,
Ragan-Kelley, Verboncoeur



- Explains 650 A/cm² FEA result