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A Four-Corner-Fed Slotted Waveguide Sparse Array for Near-Field Focusing

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ABSTRACT This article presents a double-layer four-corner-fed slotted waveguide sparse array antenna designed for the near-field-focused applications in the X-band. Generally, it is challenging to realize the ideal phase distribution of the near-field focused array antenna, especially for the near-field focusing array antenna with a focal distance less than 5λ . We propose a four-corner-feed structure associated with appropriate waveguide dimensions to realize approximately ideal phase distribution for a focus at 1.5λ . The sparse array based on the particle swarm optimization is adopted to suppress the sidelobes and the grating lobes on the focal plane caused by the residual phase errors. A test antenna is designed at the center frequency of 10 GHz, and is fabricated by Direct Metal Laser Sintering technique for demonstration. It is verified by the experiment that we achieve satisfying near-field focusing effects, especially in terms of the focal spot size and sidelobe levels on the focal plane 45 mm away from the antenna aperture.

INDEX TERMS Slotted waveguide array, sparse array, near-field focusing, short focal distance, transverse slot, particle swarm optimization, direct metal laser sintering technique.

I. INTRODUCTION

In recent years, more and more near-field-focused (NFF) antennas have been developed due to their various applications. They are wireless power transfer [1], [2], industrial inspection [3], radio frequency identification (RFID) [4], [5], microwave hyperthermia [6] and radiometric temperature sensor [7]. All of them require high-performance NFF antennas, especially to enhance system efficiency, accuracy, and safety.

Conventional NFF antennas are mainly represented by reflector antennas [8], [9], and dielectric lens antennas [10], [11], where quadratic phase distributions are easy to be implemented. However, the disadvantages of those antennas are apparent as well. They require additional feeds and are difficult to integrate with the systems due to their high profile and large overall size. On the other hand, many research groups have studied NFF planar array antennas based on printed circuit board (PCB) process, such as microstrip patch antennas [3], [5], [7], [12]–[15], microstrip leaky-wave anten-

nas [16], [17], substrate integrated waveguide (SIW) slot antennas [18]–[21], and radial line slot antennas [22], [23]. The key is how to realize the quadratic phase distribution in a NFF planar array. Generally, there were three approaches to achieve the desired phase distribution, i.e., by modulating the length [15] or the width [17], [20] of feedlines, or by changing the positions of radiating elements [16], [20]. The length of the microstrip line between the array elements was tuned to meet the requirement of the excitation phase [15]. However, such an open-edged transmission line had a substantial loss especially at high frequency. The positions of the array elements and the widths of the feedlines were adjusted together to satisfy the phase requirement [20]. Even though no grating lobes were produced due to a quasi-uniform slot distribution, the phase was sensitive to frequencies. That is, serious deterioration of focusing performance may happen when the frequency changes. On the other hand, it was very convenient to control the phase distribution in coaxial-fed radial line slot antennas [22] by adjusting the positions of radiating elements. Nevertheless, this type of antenna has the inherent problem of polarization control, which usually suffered from high cross-polarization.

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3-D printing technique is becoming more and more popular in the fields of microwaves and antennas due to its low cost, short processing time, and high manufacturing accuracy [24]–[28]. It is worth noting that applying 3-D printing technique to manufacturing complex antennas even with curved structures may be a suitable choice. However, few scholars have studied NFF antennas based on 3-D printing technique. A backscatter side-channel detection using terahertz near-field focusing was presented in [29], where an NFF antenna was fabricated by the 3-D printing technique. A novel 3-D printed NFF lens antenna operating at 300 GHz was presented in [30]. It transformed the linearly-polarized (LP) incident waves into circularly-polarized (CP) transmitted waves, and further concentrated them at a small spot simultaneously.

Near-field synthesis is also essential for the realization of NFF antennas. For instance, in the application of microwave hyperthermia, high sidelobes may cause damage to healthy tissue around the target. Nevertheless, studies on the near-field synthesis methods are insufficient compared with the far-field ones. It has been proved in [31] that the focal characteristics in the near-field region are similar to those in the far-field one, and the far-field synthesis method can be applied in the near-field application as well. Chebyshev distribution [13], the steepest descent method [32], Bayesian compressive sensing [33], and genetic algorithm [34] have been successfully applied to synthesize the 2-D near-field radiation patterns. Remarkably, an algorithm based on a set of theoretic approach and front-and-back iterative propagation scheme was developed in [23] to shape the focal volume in the near-field region.

As far as we know, the focus’s position was generally selected to be at least 3λ away from the antenna aperture [17]. Because the closer the focus is, the more critical phase compensation, which brings a more significant challenge to the feeding network design, is required. However, a closer focus means a higher focusing gain, which can lead to the size reduction in wireless charging and RFID systems and to the enhancement of focusing effects.

In this article, a 3D-printed NFF slotted waveguide array antenna with a focal distance of only 1.5λ is presented, as illustrated in Fig. 1. We propose a four-corner-feed structure to realize the quadratic phase distribution naturally. In this case, the waveguide width can be optimized to achieve the desired phase distribution. In addition, the high sidelobe and the grating lobes on the focal plane, caused by the close focus and the residue phase error, can be eliminated by introducing the sparse array based on the particle swarm optimization. Simulation and measurement results verify that we achieved a desirable focusing effect on the focal plane 45 mm away from the antenna aperture at 10 GHz.

This article is organized as follows. In Sec. II, the performance indices of an NFF antenna, especially in terms of focusing gain, focal shift, depth of focus, and sidelobe level, are investigated in its near-field region. Sec. III introduces the unique four-corner-feed structure for near-field focusing

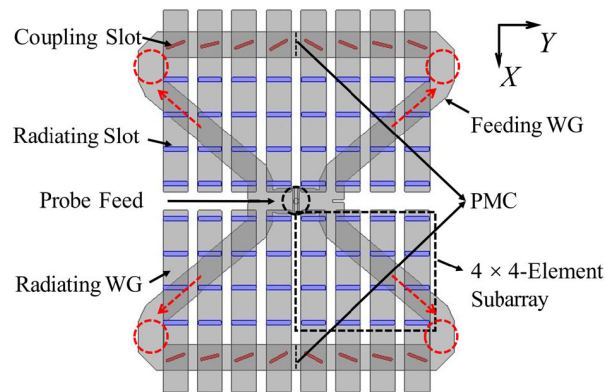


FIGURE 1. Configuration of a NFF slotted waveguide antenna with four-corner feed.

with a wideband operation. The procedures of array synthesis are described in Sec. IV. The overall antenna design by Ansys HFSS is explained in Sec. V. The details of antenna fabrication and experimental verification are presented in Sec. VI. Section VII summarizes the achievements of this work.

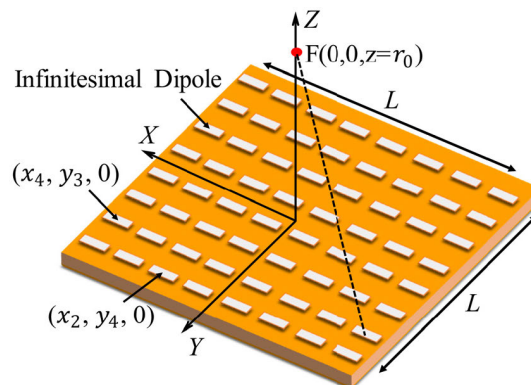


FIGURE 2. Analysis model of a dipole array for near-field focusing.

II. PERFORMANCE INDEX OF AN NFF ARRAY

According to the Babinet’s principle and its extension, a dipole is the complementary structure to the slot cut in the waveguide wall. Therefore, an 8×8 infinitesimal dipole array in Fig. 2 is adopted to simulate the performance of an 8×8 -element NFF slotted waveguide array for simplicity. The dipole spacings in both x - and y -directions are 0.853λ in common at 10 GHz. Those dipoles are assumed to be excited with uniform amplitudes and ideal phases for near-field focusing. The normalized electric field intensities along the z -direction are calculated first. As shown in Fig. 3, the x -polarized electric field as the co-polarization component almost represents the total electric field intensity [15], while the cross-polarization components are negligible. It should be noted for an NFF array, the following performance indices in terms of focusing gain (FG), focal shift (FS), depth of focus (DoF), sidelobe level (SLL), focal spot size on the focal plane, and axial forelobe level (FLL) [35], [36], are well investigated

in this article. Some essential technical terms are explained as follows.

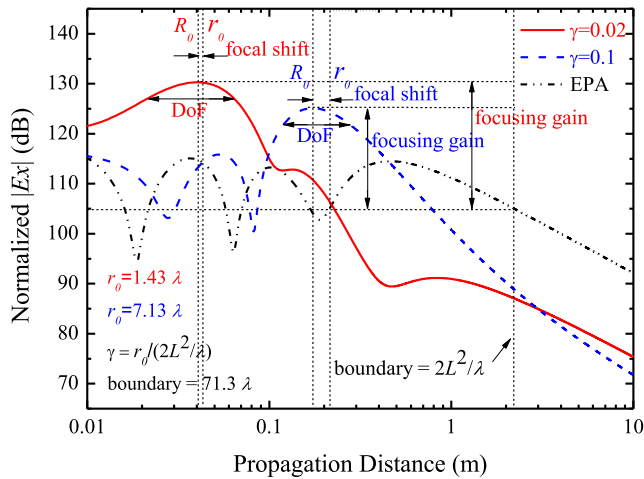


FIGURE 3. Normalized electric field intensity $|E_x|$ radiated by an 8×8 -element NFF array along the z -direction at 10 GHz.

The FG is defined as the ratio of an NFF array’s peak power density to the power density radiated by the corresponding uniformly-excited array at a distance of $2L^2/\lambda$ in the boresight. Here, L denotes the maximum dimension the array aperture. The FS means the distance between the assigned focal point (r_0) and the maximum power density point (R_0). The DoF is defined as the distance between two -3 -dB axial points around the maximum power density point (R_0). The focal spot size is defined as the 3-D region around the focal point where the radiated power density normalized with respect to its maximum value is greater than -3 dB.

As summarized in Fig. 3, the arrays with different values of normalized focal distance (FD), defined as $\gamma = r_0/(2L^2/\lambda)$, behave diversely. It is obvious in Fig. 3, the FG increases and the FS decreases for the shorter focus. Meanwhile, it is worth noting that when the focus lies in the close vicinity of the array aperture, the forelobe disappears.

We further investigate the dependences of FG, FS, DoF, and SLL on the FD within the range of $0 \sim 0.1$ m ($0 \sim 3.3\lambda$ at 10 GHz) in detail. As summarized in Fig. 4, when the focus approaching the array aperture, the FG increases, and the FS, as well as the DoF, decreases. This phenomenon is essential for some near-field applications. On the other hand, the smaller the FD is, the higher the SLL will be, and more phase compensation is required. Therefore, it is very challenging to realize an NFF antenna with a close focus and low sidelobes.

III. ANTENNA STRUCTURE

To realize a close focus, we introduce a unique four-corner-fed structure [37] instead of the traditional center-feed structure [38] in this article. Fig. 1 illustrates the overall structure of the proposed array antenna. It is composed of two layers: the upper radiating part and the lower feeding part, which is fed by a coaxial probe at the bottom. Through an H-shaped

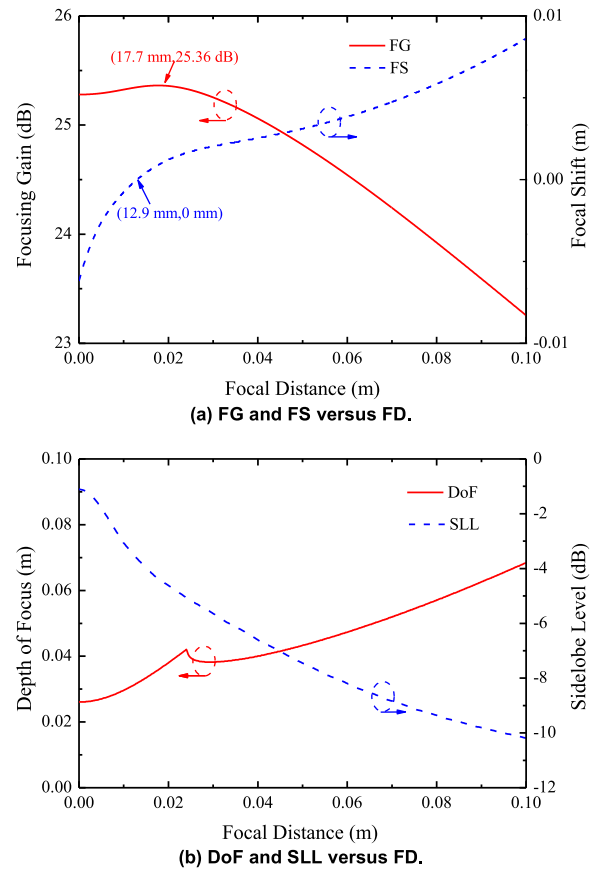


FIGURE 4. FG, FS, DoF and SLL corresponding to FD from 0 m to 0.1 m at 10 GHz. (a) FG and FS versus FD. (b) DoF and SLL versus FD.

power divider, the input power is equally and simultaneously transmitted into four corners without frequency dependence. The design principle of coupling and radiating slots is explained in the following paragraphs.

The center-inclined coupling slots couple the incident wave from the lower feeding waveguide into the upper radiating waveguide. The tilt angle and length of a coupling slot are optimized for tuning the coupling amplitude and phase, respectively. Basically, the spacing between adjacent coupling slots is half guided-wavelength, hence the phase delay for coupling slots fed in-series is multiples of π . It should be noted that for far-field applications, opposite orientations of adjacent coupling slots have been adopted in [37] to compensate for the alternating phase represented by $n\pi$. On the contrary, the coupling slots in an NFF array orient in the same direction of the waveguide axis. The phase delay occurred inside the feeding waveguide automatically realizes the phase compensation required for near-field focusing. Hence, it is promising to realize an NFF array with wideband characteristics compared to the traditional center-feed structure. Meanwhile, a virtual PMC (Perfect Magnetic Conductor) boundary [39] is generated at the center of a feeding waveguide due to the symmetrical four-corner-feed structure.

Conventionally, the radiation power of a longitudinal slot is mainly controlled by the slot offset [40]. This offset value will change the slot position relative to the focus, which

will result in additional large phase error, especially for an NFF array with a close focus. It means the longitudinal slot array is not appropriate for near-field focusing. Uniquely in this study, the transverse slots cut in the broad wall of a hollow waveguide are adopted as the radiating elements, whose spacings are half guided-wavelength in common. The radiation power of a transverse slot [41] is mainly controlled by the slot length and width simultaneously. Hence, the transverse slot is quite suitable for the near-field focusing application since its position remains unchanged when adjusting the excitation amplitude. However, this configuration illustrated in Fig. 2 cannot be adopted in a slotted waveguide array operating in its far-field region, because we have to enlarge the slot spacing from half to one guided-wavelength to ensure the co-phase excitation. Unfortunately, the guided-wavelength in a rectangular waveguide is usually longer than the wavelength in the free space, and leads to the generation of grating lobes. Since the element spacings in both feeding and radiating waveguides are half guided-wavelength in common, the internal phase delays happening in a four-corner-feed structure can be estimated straightforwardly. The values listed in Table 1 are simply the multiples of -180 degrees.

TABLE 1. Internal Phase Delays of Actual Array with Four-Corner Feed.

$ i \setminus j $	1	2	3	4
1	-1080°	-900°	-720°	-540°
2	-900°	-720°	-540°	-360°
3	-720°	-540°	-360°	-180°
4	-540°	-360°	-180°	0°

IV. ARRAY SYNTHESIS

A. DETERMINATION OF WAVEGUIDE DIMENSIONS

As an example, the proposed antenna illustrated in Fig. 1 is designed at 10 GHz with a focus at $(0, 0, z = r_0)$. It is noteworthy that a focus even with the FD as close as $\lambda/10$ can be achieved by adopting the proposed antenna structure. Nevertheless, there is a tradeoff between the FG and the SLL as mentioned above. Therefore, to enhance the FG as well as to suppress the SLL to some extent, we fix r_0 at 45 mm (1.5λ) as a more moderate value. In order to focus along the central z -axis, the internal phase delay φ_{ij} compensating for the external phase delay should satisfy the following equation with fourfold symmetry.

$$\varphi_{ij} = k \left(\sqrt{x_i^2 + y_j^2 + r_0^2} - \sqrt{x_4^2 + y_4^2 + r_0^2} \right) \quad (1)$$

Here, i, j ($1 \leq i, j \leq 4$) are the element number along x - and y -direction, respectively. (x_i, y_j) is the position of the $\#ij$ element. k is the wavenumber in free space at 10 GHz. The guided-wavelength of the TE_{10} mode can be calculated as follows.

$$\lambda_g = \lambda / \sqrt{1 - (\lambda/2a)^2} \quad (2)$$

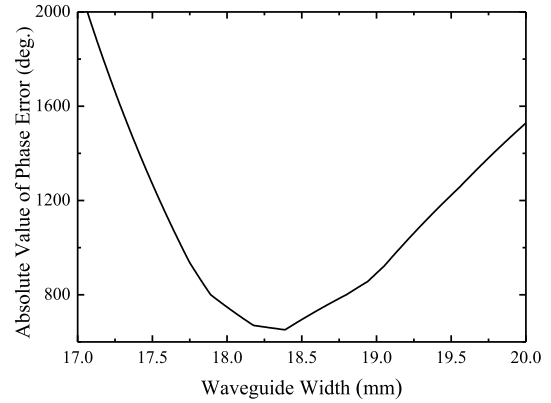


FIGURE 5. Sum of the absolute values of phase error as a function of waveguide width a .

Here, a is the waveguide width and primarily determines the guided-wavelength. Meanwhile, the parameter a indirectly determines the slot position (x_i, y_j) as well, due to the identical slot spacing of $\lambda_g/2$. As listed in Table 1, the internal phase delay at each slot remains unchanged for different values of a . Therefore, the parameter a will be optimized to meet the phase φ_{ij} calculated in Eq. (1) for $r_0 = 45$ mm. The phase error is defined as the difference between the actual internal phase delay $(i + j - 8)\pi$ and the ideal phase delay φ_{ij} . The absolute values of phase errors for all elements are summed up and investigated for different a . As shown in Fig. 5, the sum takes the minimum value when a is about 18.4 mm. However, with the consideration of the cutoffs and conductor loss, the final choice of a is 18.5 mm. In this case, the internal ideal phase delays are summarized in Table 2, which are very close to the internal actual phase delays listed in Table 1. The distributions of electric field intensities $|E_x|$ for the NFF arrays with and without phase errors are investigated on the focal plane of $z = 45$ mm. As illustrated in Fig. 6, the actual NFF array with phase errors not only has high sidelobes in both x - and y -directions, but also has grating lobes in the oblique cut-planes compared with the ideal NFF array without phase errors.

TABLE 2. Internal Phase Delays of Ideal Array Focused at 45 mm at 10 GHz.

$ i \setminus j $	1	2	3	4
1	-1031°	-887°	-662°	-400°
2	-887°	-767°	-568°	-325°
3	-662°	-568°	-400°	-186°
4	-400°	-325°	-186°	0°

B. SUPPRESSION OF SIDELOBES

In order to suppress the sidelobes in the near-field region, we try to adopt the traditional Taylor distribution (SLL = -25 dB, $\bar{n} = 4$), and Gaussian distribution ($\mu = 0, \sigma = 0.5$) in the NFF array with the actual phase distribution listed in Table 1. The normalized electric field intensities $|E_x|$ along

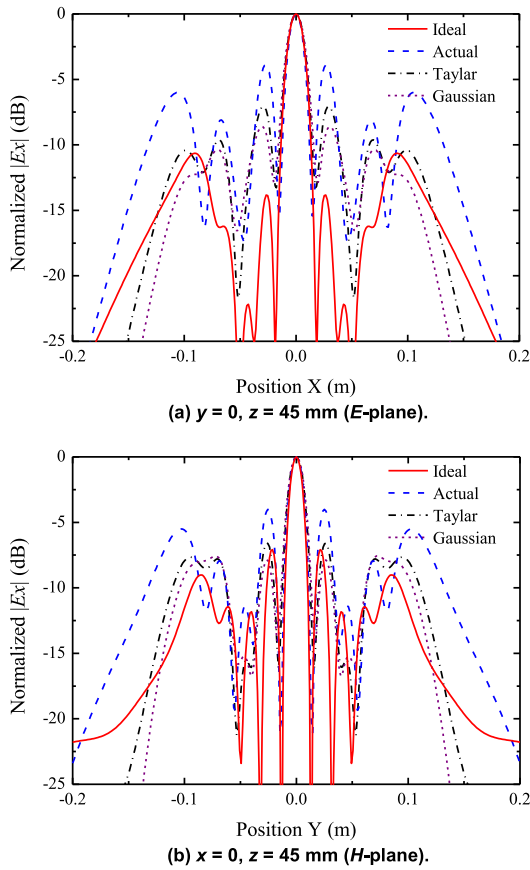


FIGURE 6. Calculated normalized electric field intensity $|E_x|$ on the focal plane at 10 GHz. (a) $y = 0, z = 45$ mm (E-plane). (b) $x = 0, z = 45$ mm (H-plane).

the x - and y -directions on the focal plane at 10 GHz are calculated and summarized in Fig. 6 for comparison. It can be observed from Fig. 6 that the effects of sidelobe suppression due to amplitude tapers are limited at 5 dB and 4 dB along the x - and y -directions compared with the array with a uniform amplitude excitation.

For further suppression of sidelobes as well as grating lobes on the focal plane, a sparse array based on the particle swarm optimization (PSO) [42] is introduced in our NFF array. Since the spacings of radiating slots associated with the excitation phases are kept unchanged, only their excitation amplitudes are optimized in PSO. During each iteration, only a set of random numbers ranging from 0 to 1, representing the relative excitation amplitude of the radiating slots, is produced by the PSO algorithm. According to the fourfold symmetry, only one-quarter of elements are designed with a remarkable reduction in both computation time and optimization efficiency. The optimized excitation amplitudes of the array elements are summarized in Table 3, where the element with an excitation less than -15 dB will be neglected. It is worth noting that even if those elements are ignored, the degradation in SLLs on the focal plane is less than 0.8 dB. In that sense, it leads to a sparse array configuration as listed in Table 4, where the solid circle and the cross represent the existence

TABLE 3. Optimized Excitation Amplitudes of Array Elements.

$ i N_j $	1	2	3	4
1	-0.3 dB	-8.5 dB	-9.1 dB	-186.3 dB
2	-2.0 dB	-192.1 dB	-32.8 dB	-9.2 dB
3	-2.9 dB	-inf. dB	-185.8 dB	-15.6 dB
4	-160.1 dB	-7.0 dB	-182.6 dB	-9.6 dB

and absence of elements, respectively. This sparse array can simplify the design of transverse slots as well. The two-dimensional (2-D) normalized electric field intensities $|E_x|$, the so-called “near-filed radiation patterns” of a sparse array on the focal plane at 10 GHz, are calculated and illustrated in Fig. 7. For simplicity, the one-dimensional (1-D) radiation

TABLE 4. Sparse Array Configuration.

$ i N_j $	1	2	3	4
1	●	●	●	×
2	●	×	×	●
3	●	×	×	×
4	×	●	×	●

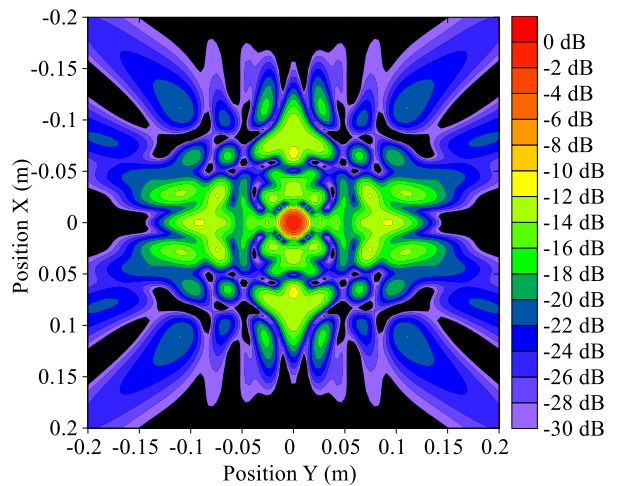


FIGURE 7. Calculated normalized electric field intensity $|E_x|$ of the sparse array on the focal plane at 10 GHz.

patterns along the x - and y -directions are shown in Fig. 8, where the 1-D radiation patterns for the ideal case in Fig. 6 are reproduced for comparison. It is evident in Fig. 8 that the optimized sparse array still has lower sidelobes than the ideal array.

V. ANTENNA DESIGN

In this article, a high-frequency electromagnetic-field simulator ANSYS HFSS based on the finite element method (FEM), is adopted in the antenna analysis and design. According

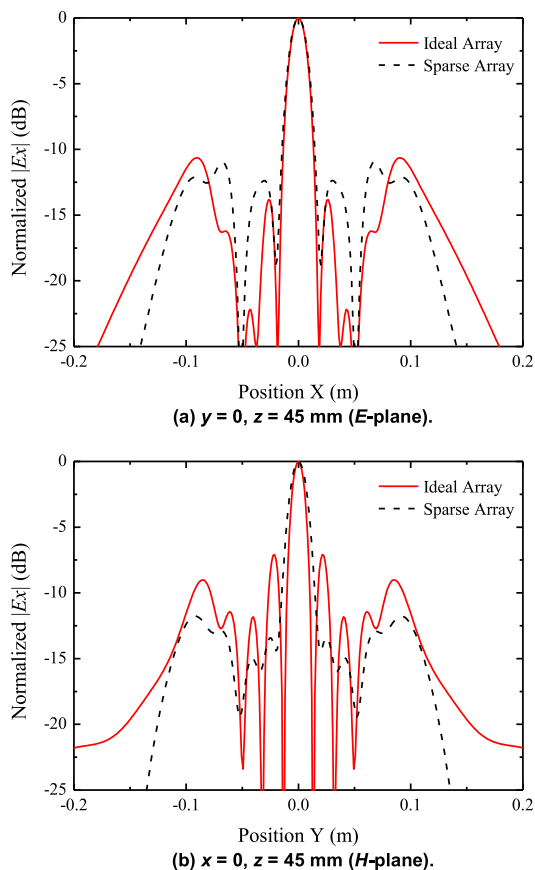


FIGURE 8. Calculated normalized electric field intensity $|E_x|$ of the sparse array on the focal plane at 10 GHz. (a) $y = 0, z = 45 \text{ mm}$ (E-plane). (b) $x = 0, z = 45 \text{ mm}$ (H-plane).

to the fourfold symmetry, only the 4×4 -element radiating subarray, 1×4 -element feeding subarray, and primary feeding circuit with cascaded power dividers are to be realized. The design procedures are listed as follows:

Step 1: The dimensions of both the feeding and radiating waveguides are determined at $18.5 \text{ mm} \times 9 \text{ mm}$. The thicknesses of both the coupling and radiating slots are selected at 1 mm.

Step 2: A SMA probe inserts into the input waveguide. An H-shaped power divider and two kinds of H-plane bends divide the input power into four corners of the lower feeding waveguide with uniform amplitude and phase.

Step 3: The inclined angles of coupling slots control the coupling power from the lower feeding waveguide into the upper radiating waveguide. The larger the inclined angle of coupling slots is, the larger the coupling factor is. Meanwhile, the lengths of coupling slots function to compensate for the coupling phase to some extent.

Step 4: The subarrays of radiating slots, with different configurations shown in Table 3, need to be designed separately. The lengths and widths of radiating slots are optimized to realize the desired radiating power and to satisfy the matching condition simultaneously. The overall structure of the NFF antenna designed by HFSS is illustrated in Fig. 9.

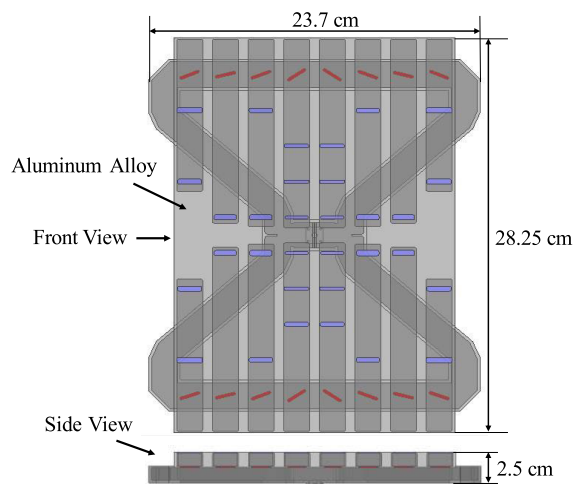


FIGURE 9. Overall structure of the NFF antenna designed by HFSS.

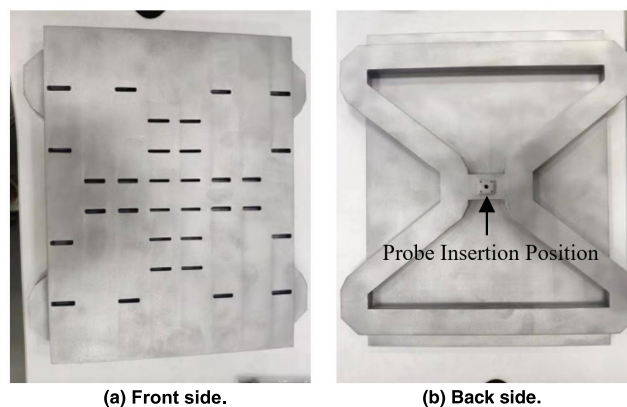


FIGURE 10. Prototype of the proposed NFF antenna. (a) Front side. (b) Back side.

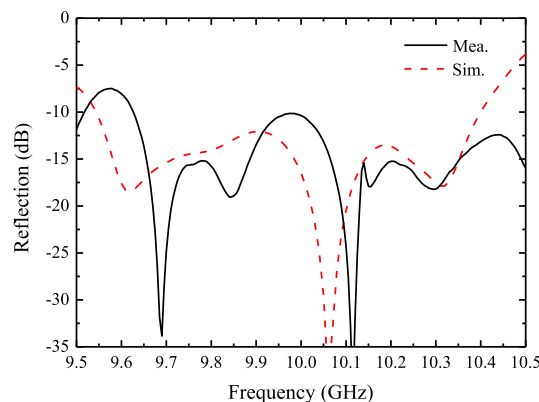


FIGURE 11. Measured and simulated reflection of the proposed antenna array.

VI. ANTENNA FABRICATION AND EVALUATION

The antenna presented in this article is fabricated by a special 3-D printing technique. That is the Direct Metal Laser Sintering of the aluminum alloy powder. The photograph of the prototype antenna is shown in Fig. 10. Its overall dimensions are $282.5 \text{ mm} \times 237 \text{ mm} \times 25 \text{ mm}$.



FIGURE 12. Photograph of the near-field measurement environment.

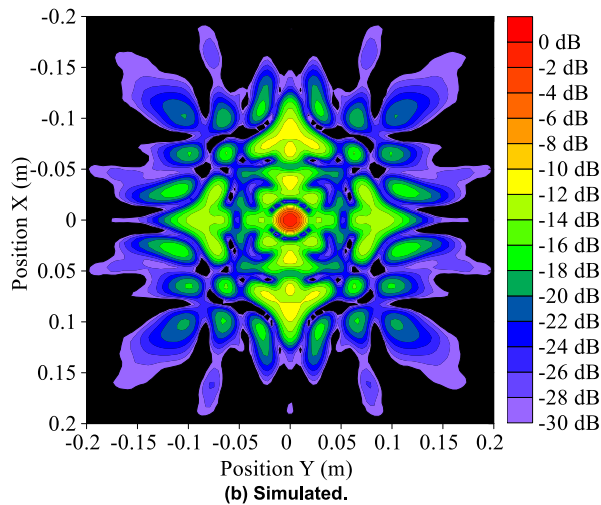
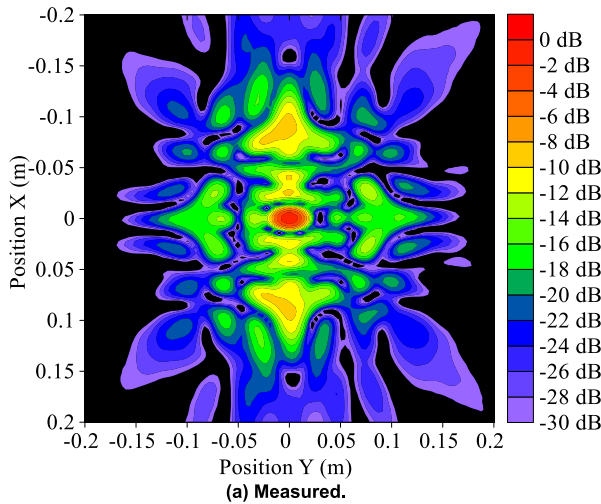
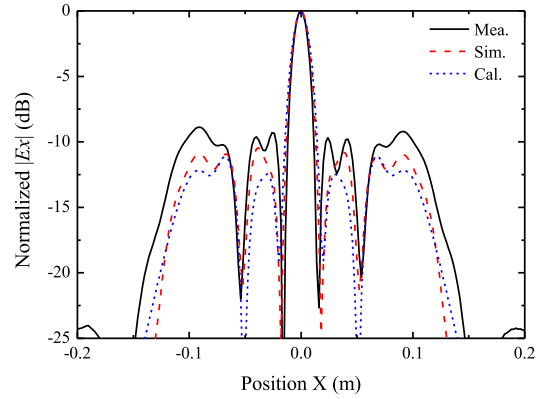
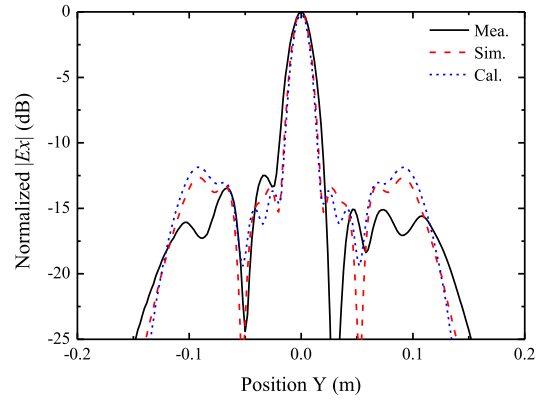


FIGURE 13. Measured and simulated normalized electric field intensity $|E_x|$ of the sparse array on the focal plane at 10 GHz. (a) Measured. (b) Simulated.

The reflection of the prototype antenna is measured by using a vector network analyzer. As shown in Fig. 11, the measured and simulated reflections are suppressed below



(a) $y = 0, z = 45$ mm (E -plane).



(b) $x = 0, z = 45$ mm (H -plane).

FIGURE 14. Measured, simulated and calculated normalized electric field intensity $|E_x|$ on the focal plane at 10 GHz. (a) $y = 0, z = 45$ mm (E -plane). (b) $x = 0, z = 45$ mm (H -plane).

−10 dB over the frequency ranges of 9.63 ~ 10.5 GHz and 9.55 ~ 10.39 GHz, respectively. Even though a small frequency shift is observed, the measured result agrees well with the simulated one. The environment for measuring the electric field in the near-field region is shown in Fig. 12. Under the NSI-MI near-field measurement system, the fabricated antenna is used as the transmitting antenna, and a standard WR-90 open-ended waveguide probe is adopted as the receiving antenna. The measured and simulated electric field intensity $|E_x|$ on the focal plane at 10 GHz are shown in Fig. 13 (a) and (b), respectively. The measured and simulated elliptical areas of the 3-dB focal spot on the focal plane are about 14 mm × 22 mm and 15.8 mm × 17.6 mm, respectively. The near-field radiation patterns along the x - and y -directions on the focal plane at 10 GHz are summarized in Fig. 14, where the results calculated by Matlab are represented and denoted by “Cal.”. The test antenna is relatively large and fabricated by Direct Metal Laser Sintering technique as our first attempt. The fabrication error is larger than expected, and the antenna surface is not smooth. These issues lead to the slight asymmetry observed in the measured radiation pattern, as shown in Fig. 13 (a). The SLLs along x -direction degrade to −8.8 dB, while the SLLs along y -direction are well suppressed below −10 dB, as respectively illustrated in Fig. 14 (a) and (b).

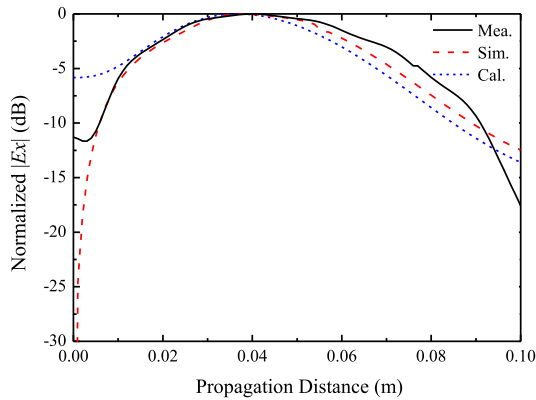


FIGURE 15. Measured, simulated and calculated normalized electric field intensity $|E_x|$ of the proposed antenna array along the z -axis at 10 GHz.

TABLE 5. Performance Comparison Among Various NFF Arrays.

Ant.	Freq. (GHz)	FD (λ)	DoF (λ)	FS (λ)	SLL (dB)	FLL (dB)
[16]	15	5.5	3	N.A.	-8	-7
[17]	15	3	1.25	N.A.	-3	-15
[21]	35	11.7	N.A.	1.63	-17	-6
This work	10	1.5	1.4	0.16	-8.8	-11

The measured, simulated, and calculated normalized electric field intensity $|E_x|$ along the z -axis at 10 GHz are summarized in Fig. 15 for comparison. Those results agree well with each other. Meanwhile, the maximum values of the measured, simulated, and calculated curves occur at $z = 40$ mm, 38 mm, and 37 mm, respectively. Table 5 summarizes the performances of various NFF arrays, especially in terms of operating frequency, FD, DoF, FS, SLL and FLL. It is worth noting that the SLL in [21] is measured in the plane where the maximum power density point is located, and the SLLs in other references are measured in their focal planes.

VII. CONCLUSION

A four-corner-fed slotted waveguide array for near-field focusing is successfully developed in the X-band. This antenna achieves an ultra-close focus with relatively low sidelobes on the focal plane of 45 mm at 10 GHz. The internal dramatic phase delay caused by the four-corner-feed structure can automatically compensate for the external phase delay with broad bandwidth. The waveguide width is optimized to further reduce the phase error. We adopt the transverse radiating slot, which has significant advantages over the longitudinal slot in an NFF array. A sparse array based on particle swarm optimization (PSO) is introduced to realize low SLLs and to eliminate the grating lobes caused by residual phase errors. A prototype antenna is fabricated by the Direct Metal Laser Sintering technique. After a detailed experimental evaluation of reflection, near-field radiating patterns, etc., good agreements are observed in the calculated, simulated, and measured results. On the focal plane of $z = 45$ mm, the sidelobes are suppressed almost below -10 dB in all cut-planes.

This novel NFF array antenna has good prospects in near-field focusing application that requires an ultra-close focus and relatively low sidelobes.

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