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Dispersion Characteristics Analysis of One Dimensional Multiple Periodic Structures and Their Applications to Antennas
Zi Long Ma, Li Jun Jiang, Senior Member, IEEE, Shulabh Gupta, Member, IEEE, and Wei E.I. Sha, Member, IEEE

Abstract—This paper proposes a general characterization of one dimensional multiple periodic (MP) structures for electromagnetic transmission and radiation. Studies are conducted from three aspects: Firstly, the dispersion relations of non-dispersive (conventional) and dispersive (composite right/left-handed (CRLH)) materials are analyzed. Regarding each category of materials, detailed analyses for distributed layered media and lumped circuits are presented. Through studies, we found that the periodicity increase opens up multiple stopbands. According to our physical explanations and numerical results, the relation between stopbands and periodicity is clarified. Additionally, the periodicity increase also reduces the separation distance of space harmonic modes along the phase constant axis in the dispersion diagram. Thus, more space harmonic modes are excited in the radiation. This phenomenon happens in both dispersive and non-dispersive cases. Furthermore, we present a more general dispersion relation formula and a general Bragg condition for the MP structures. Additionally, the periodicity increase also reduces the separation distance of space harmonic modes along the phase constant axis in the dispersion diagram. At certain frequencies, the typical periodicity leads to generations of new stopbands is verified theoretically. The relation between the periodicity and the number of stopbands is presented. Additionally, the proposed MP concept is applied to phase reversal (PR) antennas. It is demonstrated that more space harmonic modes are moved into the radiation region in the dispersion diagram. At certain frequency, radiation will be supported by more modes. Hence, si-

I. INTRODUCTION

PerIODIC structures have been playing an important role in modern physics and engineering. In the past decades, they have been widely used in optics and microwave areas. For optics, one dimensional periodic structures are often used as gratings, which include stacks of identical parallel planar multi-layer segments. Their transmission characteristics can be analyzed by the matrix theory [1]. Literature studies reveal that if reflected waves from the grating constructively interfere with each other, the transmission stopbands will be opened up. The corresponding condition used to characterize this phenomenon is the famous Bragg condition. In microwave engineering, periodic structures have been applied to studies of antennas [2], [3], especially on the leaky-wave radiation issues [4]–[11].

Metamaterials with their fundamental right/left-hand duality have spurred a significant research interest over the past decade. They were conceptually started by Veselago in 1967 [12] and generally modeled as composite right/left-handed (CRLH) structures [13]–[16]. In practical applications, CRLH structures can be used as the host medium for wave propagation and radiation. Different from the conventional materials, the refractive index of CRLH structure is frequency dependent. Hence, CRLH structures are dispersive.

Recently, a double periodically loaded CRLH structure has been proposed and studied [17]–[20]. In these works, the periodicity of conventional single periodic structure is increased by inserting a different cell between every two adjacent unit cells. Through theoretical studies and practical results, a new right-handed passband was found. However, a general characterization of the multi-periodicity and the systematic analysis for all passbands and stopbands were not mentioned in these works.

In this paper, we provide a general analysis for one dimensional multiple periodic (MP) structures. Different from previous literature works, the general characterization for transmission and radiation performances of both non-dispersive (conventional) and dispersive (CRLH) MP structures are presented. This work aims to explore the general property variation due to the increase of periodicity. From theoretical dispersion relations of the MP layered media (distributed), we found that by increasing the periodicity, extra stopbands will be created. Hence, the original passbands are split into multiple small passbands. This phenomenon happens in both dispersive and non-dispersive cases. Furthermore, we present a more general dispersion relation formula and a general Bragg condition for the MP structures. From another aspect, the MP structures are analyzed by using lumped circuit models. Similar conclusion that the increased periodicity leads to generations of new stopbands is verified theoretically. The relation between the periodicity and the number of stopbands is presented. Additionally, the proposed MP concept is applied to phase reversal (PR) antennas. It is demonstrated that more space harmonic modes are moved into the radiation region in the dispersion diagram. At certain frequency, radiation will be supported by more modes. Hence, si-

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multaneous forward and backward radiation and multiple radiation beams become possible. We know that the indoor wireless links have multipath and mutual interference effects that could affect the link quality. One effective solution from the physical layer perspective is to adopt the multi-beam directional antennas. Hence, the MP PR antenna can be a candidate for indoor wireless systems or other multi-beam applications. On the other hand, this work also helps various multi-band component designs. In each analysis, single (SP), double (DP) and triple periodic (TP) structures are presented and compared.

II. THEORY

Fig. 1 is a conceptual illustration of the general one dimensional MP structure. The supercell periodically repeats itself along one dimension. Each supercell consists of several different unit cells. All unit cells are connected in series. The physical length of each unit cell is \( p \). A TEM wave is assumed to be incident to the structure from the left side. The time dependence is \( e^{j\omega t} \).

A. Non-Dispersive Media

Firstly, we consider the case when all unit cells are dielectric media. Each unit cell has a different refractive index represented by \( n_1, n_2, n_3, \ldots \), and \( n_m \). The boundary interfaces of the \( k \)th supercell are denoted by \( k \) and \( k + 1 \). The forward (+) and backward (-) propagating waves at these two interfaces are represented by \( U_k^{(+)} \), \( U_k^{(-)} \), \( U_{k+1}^{(+)} \) and \( U_{k+1}^{(-)} \). They are related through the transmission matrix,

\[
\begin{bmatrix}
U_k^{(+)} \\
U_k^{(-)} \\
U_{k+1}^{(+)} \\
U_{k+1}^{(-)}
\end{bmatrix} =
\begin{bmatrix}
A & B \\
C & D
\end{bmatrix}
\begin{bmatrix}
U_k^{(+)} \\
U_k^{(-)} \\
U_{k+1}^{(+)} \\
U_{k+1}^{(-)}
\end{bmatrix}
\]  

where \([A \ B; C \ D]\) is the transmission matrix for one supercell. Based on the matrix theory, it can be written as a product of transmission matrices of unit cells

\[
\begin{bmatrix}
A_m & B_m \\
C_m & D_m
\end{bmatrix} = \prod_{m=1}^{M} \begin{bmatrix}
A_m & B_m \\
C_m & D_m
\end{bmatrix}
\]  

where \( M \) is the total number of unit cells in the supercell, and

\[
\begin{bmatrix}
A_m & B_m \\
C_m & D_m
\end{bmatrix} = \frac{1}{2n_m+1}
\cdot \begin{bmatrix}
(n_{m+1} + n_m) e^{-j \varphi_m} & (n_{m+1} - n_m) e^{-j \varphi_m} \\
(n_{m+1} - n_m) e^{j \varphi_m} & (n_{m+1} + n_m) e^{j \varphi_m}
\end{bmatrix}
\]

The phase change in one unit cell is \( \varphi_m = n_m k_0 p \), where \( m \) denotes the unit cell index and \( k_0 \) is the free space wave number. According to the Bloch-Floquet theorem, the following condition shall be satisfied

\[
\begin{bmatrix}
U_{k+1}^{(+)} \\
U_{k+1}^{(-)}
\end{bmatrix} = e^{-j \phi} \begin{bmatrix}
U_k^{(+)} \\
U_k^{(-)}
\end{bmatrix}
\]

where \( \phi = \beta mp \) is the phase change of one supercell. \( \beta \) is the phase constant of the supercell. By substituting (4) into (1), we can obtain the dispersion relation of the supercell,

\[
\cos \phi = \frac{A + D}{2}.
\]

Using the similar process, we can derive dispersion relations for the DP and TP structures, and write them in the same format.

For the DP structure,

\[
\cos \phi = \frac{1}{4n_1 n_2} \cdot [(n_1 + n_2)^2 \cos(\varphi_1 + \varphi_2) - (n_1 - n_2)^2 \cos(\varphi_1 - \varphi_2)].
\]

For the TP structure,

\[
\cos \phi = \frac{1}{8n_1 n_2 n_3} \cdot \left[ (n_1 - n_2)(n_2 - n_3)(n_1 - n_3) \cos(\varphi_1 - \varphi_2 - \varphi_3) \\
+ (n_1 + n_2)(n_2 + n_3)(n_1 + n_3) \cos(\varphi_1 + \varphi_2 + \varphi_3) \\
- (n_1 - n_2)(n_2 - n_3)(n_1 + n_3) \cos(\varphi_1 - \varphi_2 + \varphi_3) \\
+ (n_1 + n_2)(n_2 + n_3)(n_1 - n_3) \cos(\varphi_1 + \varphi_2 - \varphi_3) \right].
\]

According to the theory of small reflections, due to the existence of discontinuities, multiple wave transmission and reflections happen in the supercell. Physically, the interactions of waves from unit cells contribute to the supercell’s dispersion relation. Equations (6), (7) represent these physical interactions in mathematical expressions. If the periodicity is further increased,
the physical processes and corresponding mathematical expressions become more complex. The dispersion relation for an arbitrary MP structure can be generally written as (8), shown at the bottom of page. Here

\[
\begin{cases}
    n_{j+1} = n_{j+1} - M, & \text{if } j + 1 > M \\
    S_{1}^{M} = [\pm 1, \pm 1, \pm 1, \ldots, \pm 1] & \\
    S_{1}(j + 1) - S_{1}(j + 1 - M), & \text{if } j + 1 > M \\
    \varphi = [\varphi_1, \varphi_2, \varphi_3, \ldots, \varphi_M]
\end{cases}
\]  

(9)

where \( \vec{S}_1 \) is a sign vector with the dimension of \( 1 \times M \). It has \( 2^M \) permutations. \( i \) stands for its \( i \)th permutation.

It is well known that for the Bragg grating, in-phase superpositions of reflected waves caused by discontinuities will lead to transmission stopbands. The Bragg condition is often used to indicate the stopbands. Similarly, discontinuities in the MP structures also cause multiple reflections and further result in the occurrence of stopbands. When the reflected waves from unit cells interfere constructively, the reflection will be the strongest and the stopband will appear. As shown in Fig. 1, the round-trip phase of each unit cell is \( 2\varphi_1, 2\varphi_2, 2\varphi_3, \ldots, 2\varphi_M \). The strongest reflections happen when

\[
2\varphi_1 + 2\varphi_2 + 2\varphi_3 + 2\varphi_4 + \ldots + 2\varphi_M = 2\pi q
\]

(10)

where \( q \) is integer. Thus, we can obtain a general Bragg condition for MP structures

\[
\varphi_i = q\pi
\]

(11)

For SP, DP and TP structures composed of non-dispersive media, the corresponding dispersion diagrams are computed and shown in Fig. 2. The frequency range is up to 10 GHz. We can see that the SP structure does not have a stopband in the given frequency range while DP and TP structures have one and two stopbands, respectively.

Based on the physical process of stopbands induced by discontinuities, we can easily find out the quantified relation between the periodicity \( M \) and the maximum number of stopbands \( N_s \) for non-dispersive MP structures,

\[
N_s = M - 1.
\]

(12)

It shall be noted that for higher order harmonics along the frequency axis (higher frequency ranges), the conclusion remains the same. Because we keep unit cells’ lengths same and \( \phi = \beta M p \), the separation distance (along the phase constant axis) of space harmonic modes is reduced accordingly. For SP, DP and TP structures, the separation distances are \( 2\pi/p \), \( 2\pi/2p - \pi/p \), \( 2\pi/3p \), respectively. Fig. 2 also agrees with the general Bragg condition (11). The dash lines are \( \sum_{i=1}^M \varphi_i/m \). It is obvious that the frequency points satisfying the general Bragg condition all fall into stopbands. The conventional Bragg condition

\[
\cos \phi = \frac{1}{2(M+1)} \frac{1}{\prod_{i=1}^{M} n_i} \sum_{i=1}^{2^M} \left( \prod_{j=1}^{M} S_i(j) \right) \left[ \prod_{j=1}^{M} (n_{j+1} S_i(j) + n_{j+1} S_i(j+1)) \right] \cos (\vec{\varphi} \cdot \vec{S}_i)
\]

(8)
for the Bragg grating is determined under two assumptions [1]: (1) unit cells are weakly reflective, and the incident wave is not depleted as it propagates. (2) The secondary reflections are negligible. Hence, the general Bragg condition helps to indicate the locations of stopbands. But the condition points are not exactly at the centers of stopbands.

### B. Dispersive Media

For the dispersive material, the CRLH structure is employed as an example. Fig. 3 gives an illustration to the MP CRLH structure and the equivalent circuit model. $L_{R/L}$ and $C_{R/L}$ are per-unit-length right/left-handed inductances and capacitances, respectively. The effective refractive index of the CRLH structure can be represented by [16],

$$n(\omega) = \frac{1}{c} \frac{1}{\omega_r^2} \left( 1 - \frac{\omega_r^2}{\omega_L^2} \right) \quad \text{(13)}$$

where

$$\omega_r = \frac{1}{\sqrt{L_{R/L}C_{L}},} \quad \omega_L = \frac{1}{\sqrt{L_{R/L}C_{R}}} \quad \text{(14)}$$

Here $c$ is the light speed.

Substituting (13) into (8), the dispersion relation for CRLH media can be obtained. Fig. 4 presents dispersion relations for SP, DP and TP CRLH structures. To make the theory more general, we start with an unbalanced SP CRLH structure [16]. There is one stopband in its dispersion relation. DP and TP CRLH structures have three and five stopbands, respectively. The relation between the periodicity $M$ and the maximum number of stopbands $N_s$ can be summarized as

$$N_s = 2M - 1. \quad \text{(15)}$$

C. Non-Dispersive Lumped Circuits

Next, the dispersion relations of MP lumped circuits are analyzed. The conventional transmission line (TL) model is used for non-dispersive case's analyses. Similar to the layered media, the voltages and currents of the $k$th lumped circuit supercell can be formulated as

$$\begin{bmatrix} V_k \\ I_k \end{bmatrix} = \begin{bmatrix} A & B \\ C & D \end{bmatrix} \begin{bmatrix} V_{k+1} \\ I_{k+1} \end{bmatrix}. \quad \text{(16)}$$

Based on the Bloch-Floquet theorem, we have

$$V_{k+1} = V_k e^{-\gamma_{mp}}$$
$$I_{k+1} = I_k e^{-\gamma_{mp}}. \quad \text{(17)}$$

Substituting (17) into (16), we obtain

$$\cos(\gamma_{mp}) = \frac{A + D}{2}. \quad \text{(18)}$$

Here $\gamma$ is the propagation constant and $\gamma = \alpha + j\beta$. Note that $[A \quad B; C \quad D]$ is the transmission matrix with respect to the supercell. It also can be defined by the product of unit cells' transmission matrices as (2).

According to the transmission line theory, elements of unit cells' transmission matrices can be represented as [2]

$$A_m = \cos \beta l_m$$
$$B_m = jZ_{0m} \sin \beta l_m$$
$$C_m = jY_{0m} \sin \beta l_m$$
$$D_m = \cos \beta l_m \quad \text{(19)}$$

where $Z_{0m}$ and $l_m$ are the characteristic impedance and the physical length of the $m$th unit cell, respectively. The physical lengths of unit cells are identical, $l_m = p$. Substituting (19) into (2) and following the same derivations in Section II-A, the dispersion relations can be obtained.

Fig. 5 shows dispersion relations of SP, DP and TP TLs. The results are consistent with previous analyses. Due to the multi-periodicity, DP and TP cases have new stopbands. The frequency range from 0 GHz to 8 GHz covers two harmonic
Fig. 5. Theoretical dispersion relations for (a) SP, (b) DP, and (c) TP non-dispersive lumped circuits (strip line TLs). $Z_{S1} = 100$ ohm, $Z_{S2} = 110$ ohm, $Z_{S3} = 130$ ohm, physical length of unit cell $p = \lambda/2$ which is at 4 GHz. The solid lines are the dispersion relations. The dash lines are the wave vectors in the free space (air lines). The shadow regions refer to stopbands.

Fig. 6. Simulated S-parameters for (a) DP and (b) TP strip line TLs. $Z_{S1} = 100$ ohm, $Z_{S2} = 110$ ohm, $Z_{S3} = 130$ ohm, physical length of unit cell $p = \lambda/2$ which is at 4 GHz.

Fig. 7. Configuration of MIM structure. The physical dimensions are $L = 37.048$ mm, $W = 50$ mm, $H = 3.302$ mm, $W_{tp} = 12.7$ mm, $L_{tp} = 14.024$ mm, $L_{tp} = 12.5$ mm, $L_1 = 9$ mm, $L_2 = 23.016$ mm, $W_L = 1.016$ mm and $H = 2.048$ mm.

More modes are shifted to leaky-wave regions. For example, the DP structure simultaneously has one right-handed (parallel phase and group velocity) mode and one left-handed (antiparallel phase and group velocity) radiation mode in the leaky-wave region at 6.5 GHz. Since these two modes have different phase constants, based on the leaky-wave theory, two separated radiation beams will be generated. Similarly, for the TP structure, it has more right/left-handed radiation modes at a specified frequency. Hence, MP structures can realize the multi-beam radiation.

To further examine the stopbands’ properties, the MP TLs are simulated in commercial software Agilent Advanced Design System (ADS). Fig. 6 shows the S-parameter results. In DP and TP cases, the stopbands appear at [2; 6] GHz and [1.3; 2.6; 5.3; 6.7] GHz, respectively. The results in Fig. 5 and Fig. 6 show very good agreement for the stopband prediction.

D. Dispersive Lumped Circuits

The transmission matrix of CRLH lumped circuit is [16]

$$
\begin{bmatrix}
A_m & B_m \\
C_m & D_m
\end{bmatrix} =
\begin{bmatrix}
1 & Z_m/2 \\
0 & 1
\end{bmatrix}
\begin{bmatrix}
1 & 0 \\
Y_m & 1
\end{bmatrix}
\begin{bmatrix}
1 & Z_m/2 \\
Y_m & 1 + Z_m Y_m/2
\end{bmatrix}
$$

(20)
where

\[
Z_m - j \left( \frac{\omega L_{Rm}}{\omega C_{Lm}} - \frac{1}{\omega C_{Lm}} \right)
\]

\[
Y_m - j \left( \frac{\omega C_{Rm}}{\omega L_{Rm}} - \frac{1}{\omega L_{Rm}} \right)
\]

Here \( L_{Rm}, L_{Lm}, C_{Rm}, \) and \( C_{Lm} \) are lumped inductances and capacitances, respectively. The equivalent circuit model is same with that of Fig. 3. By substituting (20) into (2) and following the same derivations in Section II-A, the dispersion relations can be computed. To examine the theory, metal-insulation-metal (MIM) CRLH structures are simulated in the full wave simulation software HFSS. Fig. 7 shows the simulated configurations. In order to obtain different unit cells, the parameter is changed to \( D \) and \( T \) for DP and TP cases, respectively. The corresponding LC values are extracted to be \( L_{Rm} \in \{25, 24, 23.5\} \) nH, \( L_{Lm} \in \{12, 12, 12\} \) nH, \( C_{Rm} \in \{10, 8, 6\} \) pF, and \( C_{Lm} \in \{9, 5, 2\} \) pF. The dispersion relations for SP, DP, and TP MIM CRLH structures are simulated through the eigenmode analysis solver. The results are compared with theoretical calculations as shown in Fig. 8. The results demonstrate good agreement. Hence, similar conclusions for dispersive lumped circuits can be obtained: due to the multi-periodicity, the separation interval of space harmonics is reduced and new stopbands are created. However, in our implementation, the realizations of impedance matchings of MP CRLH TLs are very challenging.

III. MULTIPLE PERIODIC PHASE REVERSAL ANTENNA

In this part, an MP PR antenna is proposed. DP and TP PR antennas are demonstrated. The conventional (single periodic) PR antenna is also shown for comparison.

A. Antenna Configurations and Operating Principles

The PR antenna is a periodically loaded antenna [21]–[23]. It supports leaky-wave radiation and can realize the angular scanning through the frequency sweep. The basic unit cell of PR antenna is an offset parallel strip line (OPS) with the differential current and a crossover section. In this paper, a symmetric PR unit cell is used as shown in Fig. 9. The figure illustrates a top view of the proposed unit cell. The red and blue regions are top and bottom metal layers, respectively. The crossover section is in the center of the unit cell. Two OPS lines are symmetrically placed on the left and right sides of the crossover, respectively. To realize the MP configuration, different unit cells are introduced by changing characteristic impedances. Fig. 10 shows the prototypes of SP, DP and TP PR antennas. Their physical dimensions are listed in Table I. The dimension \( W \) is changed from 30 to 70 mil (step is 20 mil) for SP, DP and TP cases. Correspondingly, the parameter \( a \) is changed to obtain the good impedance matching. The three-stage balun and impedance-transformer transition in [21]
Fig. 11. Theoretical dispersion relations for (a) SP, (b) DP, and (c) TP phase reversal antennas. The solid lines are the dispersion relations. The dash lines are the wave vectors in the free space (air lines). The shadow regions refer to stopbands.

Fig. 12. Simulated and measured S-parameters of (a) SP, (b) DP, and (c) TP phase reversal antennas shown in Fig. 10. The shadow regions refer to stopbands.

are adopted in this design. The substrate is 0.8 mm thick FR4 with the dielectric constant 4.4 and loss tangent 0.02. The characteristic impedances of unit cells are also listed in Table I.

The PR antenna is a TEM type TL. Each unit cell has excellent transmission property. The dispersion relation of conventional PR antenna can be characterized based on the TL model. However, because of the phase reversal phenomenon induced in each unit cell, an extra phase shift is generated for each unit cell [23]–[25]. Due to different periodicities, the phase shifts are $\pi$, $2\pi$, and $3\pi$ for SP, DP and TP supercells, respectively. By using the method shown in Section II-C, the dispersion relations of SP, DP and TP PR antennas are given in Fig. 11. This figure verifies conclusions same to those of Part II. For DP and TP, two frequency intervals are covered by stopbands from 0 GHz to 8 GHz. In each interval (4 GHz), they have one and two stopbands, respectively. The stopbands appear at {2, 6} GHz and {1.3, 2.6, 5.3, 6.7} GHz, respectively. The separations of space harmonics are reduced accordingly. More radiation modes supporting simultaneous right- and left-handed radiation appear at higher frequencies.

B. Simulations and Experiments

The antennas are designed to cover from 3 GHz to 8 GHz. 24 unit cells are used for each antenna. Fig. 12 presents the simulated and measured S-parameters of SP, DP and TP PR antennas. The measured results show very good agreement with the simulation. From the measured data, the SP PR is matched below –10 dB over the entire frequency range, and there is no stopband. The DP PR has one stopband at 6.04 GHz. The corresponding S11 and S21 magnitudes are –4.058 dB and –17.16 dB, respectively. The stopband width is almost 0.5 GHz. The TP PR has two stopbands at 5.4 GHz and 6.68 GHz. Their S11 and S21 magnitudes are \{-7.487, -12.27\} dB and \{-6.495, -14.78\} dB, respectively. The stopband widths are all around 0.3 GHz.

Fig. 13 shows the normalized simulated and measured radiation patterns of three antennas in the y-z plane. Five radiation patterns are presented for each antenna. It is obvious that the DP PR at {6.5, 7.2} GHz and the TP PR at {5, 5.7} GHz have two radiation modes simultaneously. At these frequencies, both right- and left-handed radiation are excited. At 7.2 GHz, the TP PR has three radiation modes. Hence, three beams are generated in each half plane. These radiation patterns show very good agreement with dispersion relations in Fig. 11. In Fig. 14, the measured and simulated gains of the proposed SP, DP and TP PR antennas are presented. Obvious gain drops can be found at the stopbands' frequencies: 6.04 GHz for DP PR and \{5.4, 6.68\} GHz for TP PR.

IV. CONCLUSION

The dispersion relations of the general MP structure are analyzed theoretically for layered media and lumped circuits. Both non-dispersive (conventional) and dispersive (CRLH) materials are discussed. A general dispersion relation and a general Bragg condition are presented. They can be used to locate the positions of stopbands and engineer the dispersion property. When the periodicity increases, multiple stopbands are created due to more reflections from unit cells. MP structures can reduce the separation distances of space harmonic modes. More radiation modes...
are excited to simultaneously support right- and left-handed radiation and multi-beam. The applications of MP structure to PR antennas are presented. Their transmission and radiation properties are experimentally demonstrated and compared with the proposed theory.

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