Modeling of Thermoelastic Damping in MEMS Resonators

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- Micron size devices
 - Mechanical Filters in IC



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Frequency

- Micron size devices.
 - Mechanical Filters in IC
 - Electrostatically actuated



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- The Quality factor (*Q*) Index of how narrow and sharp the peak is.



- Micron size devices.
 - Mechanical Filters in IC
 - Electrostatically actuated
- Electrode • The Quality factor (Q) Beam Index of how narrow and sharp the peak is. Electrode Signal Processing $\Delta E_{\rm dissipated \ energy/rad}$ Circuitry Q^{-1} $E_{\rm max \ stored \ energy}$ $\approx Q_{\text{anchor loss}}^{-1} + Q_{\text{ted}}^{-1} + Q_{\text{air}}^{-1}$ Intensity $+Q_{\text{ohmic}}^{-1}+Q_{\text{other}}^{-1}$ Frequency

Antenna

Mechanical Filter

- Micron size devices.
 - Mechanical Filters in IC
 - Electrostatically actuated
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Antenna

Mechanical Filter

Zener's Model(1937)

- Obtained closed form algebraic relation for Q_{ted} of a beam.
- Experimentally verified.
- Based on Euler-Bernoulli beam theory

Applicable geometry is restricted.



C.Zener, Physical Review, 1937, pp230-235



Governing Equations(Non-dimensionalized form)

- Equations obtained from thermodynamical principles
- Polysilicon is linear elastic, MEMS deformations are small.

-Assume linear elasticity.

-Temperature fluctuations are small (Removes non-linearity in energy balance)

Balance of linear momentum

$$\ddot{ extbf{u}} = ilde{oldsymbol{
abla}} \cdot \left[ilde{\mathbb{C}} : ilde{oldsymbol{arepsilon}}
ight]$$

 $\int_{-\xi_1}^{4.6\times10^{-7}} \frac{4.6\times10^{-7}}{\tilde{\varphi}\tilde{A}}$ Weak coupling

Energy Balance

$$\dot{\tilde{\theta}} = \xi_2 \tilde{\nabla}^2 \tilde{\theta}$$
$$1.1 \times 10^{-8} \mathbf{1}$$

 $-\mathrm{tr}(\dot{\tilde{m{arepsilon}}})$

Strong coupling

(PolySilicon values have been used for ξ .)

Finite Element Discretization

• Weak form

$$\boldsymbol{\sigma} = \mathbb{C} : \boldsymbol{\varepsilon} - \xi_1 \boldsymbol{\theta} \mathbf{I}$$
$$\int_{\Omega} \ddot{\mathbf{u}} \cdot \mathbf{w} d\Omega + \int_{\Omega} \boldsymbol{\sigma} : \boldsymbol{\varepsilon}(\mathbf{w}) d\Omega = \int_{\Gamma} (\boldsymbol{\sigma} \cdot \mathbf{n}) \cdot \mathbf{w} d\Gamma$$
$$\int_{\Omega} \dot{\boldsymbol{\theta}} \delta\boldsymbol{\theta} \ d\Omega + \xi_2 \int_{\Omega} \nabla \delta\boldsymbol{\theta} \cdot \nabla\boldsymbol{\theta} \ d\Omega + \int_{\Omega} \dot{\boldsymbol{\varepsilon}} : (\mathbb{C} : \mathbf{1}) \ \delta\boldsymbol{\theta} \ d\Omega = \int_{\Gamma} (\nabla \boldsymbol{\theta}) \cdot \mathbf{n} \ \delta\boldsymbol{\theta} \ d\Gamma$$

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• Discretized system of equations

$$\begin{bmatrix} \mathbf{M}_{uu} & \mathbf{0} \\ \mathbf{0} & \mathbf{0} \end{bmatrix} \begin{pmatrix} \ddot{\mathbf{u}} \\ \ddot{\boldsymbol{\theta}} \end{pmatrix} + \begin{bmatrix} \mathbf{0} & \mathbf{0} \\ \mathbf{C}_{\theta u} & \mathbf{C}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \dot{\mathbf{u}} \\ \dot{\boldsymbol{\theta}} \end{pmatrix} + \begin{bmatrix} \mathbf{K}_{uu} & \boldsymbol{\xi}_1 \mathbf{K}_{u\theta} \\ \mathbf{0} & \boldsymbol{\xi}_2 \mathbf{K}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \mathbf{u} \\ \boldsymbol{\theta} \end{pmatrix} = \begin{pmatrix} \mathbf{F}_u \\ \mathbf{F}_{\theta} \end{pmatrix}$$

1. M and C are singular, K is unsymmetric.

- 2. Diagonal blocks of M,C, and K are s.p.d.
- 3. Coupling term has relation, $\mathbf{C}_{ heta u} = -\mathbf{K}_{u heta}^{T}$



First-Order Form(GEP)

• By introducing an auxiliary variable we obtain a generalized eigenvalue problem(GEP).

Formulation where we obtain two Symmetric but Indefinite matrices

$$\mathbf{K}_{uu}\hat{\mathbf{v}} = i\omega\mathbf{K}_{uu}\hat{\mathbf{u}}$$

$$egin{bmatrix} \mathbf{0} & -\mathbf{K}_{uu} & \mathbf{0} \ -\mathbf{K}_{uu} & \mathbf{0} & -\xi_1\mathbf{K}_{u heta} \ \mathbf{0} & \xi_1\mathbf{K}_{u heta} \ \mathbf{0} & \xi_1\mathbf{K}_{2}\mathbf{K}_{ heta heta} \end{bmatrix} egin{pmatrix} \hat{\mathbf{u}} \ \hat{\mathbf{v}} \ \hat{oldsymbol{ heta}} \end{pmatrix} = i\omega egin{bmatrix} -\mathbf{K}_{uu} & \mathbf{0} & \mathbf{0} \ \mathbf{0} & \mathbf{M}_{uu} & \mathbf{0} \ \mathbf{0} & \mathbf{0} & -\xi_1\mathbf{C}_{ heta heta} \end{bmatrix} egin{pmatrix} \hat{\mathbf{u}} \ \hat{\mathbf{v}} \ \hat{oldsymbol{ heta}} \end{pmatrix} = i\omega egin{bmatrix} -\mathbf{K}_{uu} & \mathbf{0} & \mathbf{0} \ \mathbf{0} & \mathbf{M}_{uu} & \mathbf{0} \ \mathbf{0} & \mathbf{0} & -\xi_1\mathbf{C}_{ heta heta} \end{bmatrix} egin{pmatrix} \hat{\mathbf{u}} \ \hat{\mathbf{v}} \ \hat{oldsymbol{ heta}} \end{pmatrix} \end{pmatrix}$$

Quadratic eigenvalue problem $\xrightarrow{\text{Increases size}}$ GEP $N=N_u+N_{\theta}$ $2N_u+N_{\theta}$ 67%(2D), 75%(3D) increase

Perturbation Method

Exploit weak coupling in balance of linear momentum 0. Assume solution is equal to the mechanical $\omega = \omega_0 + \delta \omega$ $\hat{\mathbf{u}} = \hat{\mathbf{u}}_0 + \delta \hat{\mathbf{u}}$ problem plus a small perturbation. $\hat{\boldsymbol{\theta}} = \delta \hat{\boldsymbol{\theta}}$ 1.Solve for initial guess. N_u GEP $\left(-\omega_0^2 \mathbf{M}_{uu} + \mathbf{K}_{uu}\right) \hat{\mathbf{u}}_0 = \mathbf{0}$ 2.Compute corresponding thermal vector N_{ρ} linear solve $(i\omega_0 \mathbf{C}_{\theta\theta} + \xi_2 \mathbf{K}_{\theta\theta}) \,\hat{\boldsymbol{\theta}} = -i\omega_0 \mathbf{C}_{\theta\eta} \,\hat{\mathbf{u}}_0$ 3. Solve for update by adding constraint $\hat{\mathbf{u}}_0^T \hat{\mathbf{u}} = \text{const} \quad N_{\mu} + 1$ linear solve $\begin{bmatrix} -\omega_0^2 \mathbf{M}_{uu} + \mathbf{K}_{uu} & 2i\omega_0 \mathbf{M}_{uu} \hat{\mathbf{u}}_0 \\ \hat{\mathbf{u}}_0^T & 0 \end{bmatrix} \begin{pmatrix} \delta \hat{\mathbf{u}} \\ i\delta \omega \end{pmatrix} = \begin{pmatrix} -\xi_1 \mathbf{K}_{u\theta} \hat{\boldsymbol{\theta}} \\ 0 \end{pmatrix}$ $2N_u + N_\theta \text{ GEP}$ Reduces size $N_u \text{ GEP}$ Decreases to 27%(2D), 40%(3D) N_{θ} , N_{μ} +1 linear solve Use LU from GEP

Numerical example:Beam Structure





W.-T.Hsu, J.R.Clark, C.T.-C.Nguyen, Transducers'01, pp1110-1113

ROM of the Forced Response

• Compute transfer function from forced response.

$$\begin{pmatrix} -\omega_{\text{force}}^2 \begin{bmatrix} \mathbf{M}_{uu} & \mathbf{0} \\ \mathbf{0} & \mathbf{0} \end{bmatrix} + i\omega_{\text{force}} \begin{bmatrix} \mathbf{0} & \mathbf{0} \\ \mathbf{C}_{\theta u} & \mathbf{C}_{\theta \theta} \end{bmatrix} + \begin{bmatrix} \mathbf{K}_{uu} & \xi_1 \mathbf{K}_{u\theta} \\ \mathbf{0} & \xi_2 \mathbf{K}_{\theta \theta} \end{bmatrix} \end{pmatrix} \begin{pmatrix} \hat{\mathbf{u}} \\ \hat{\boldsymbol{\theta}} \end{pmatrix} = \begin{pmatrix} \hat{\mathbf{F}}_u \\ \hat{\mathbf{F}}_{\theta} \end{pmatrix}$$

Must solve size *N* system for each data point. Computationally expensive.

Compute a reduced order model, accurate around a center frequency, based on the Second Order Arnoldi method.

1. Generate sequence of vectors(spans 2nd Order Krylov subspace) which can describe the response.

$$\mathbf{V}_n = \left[\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_n
ight] \left(oldsymbol{n} << N
ight) \qquad \left(egin{array}{c} \hat{\mathbf{u}} \ \hat{oldsymbol{ heta}} \end{array}
ight) pprox \mathbf{V}_n \hat{\mathbf{g}}$$

2. Construct ROM by a Galerkin projection of the system onto the generated smaller subspace of solutions.

 $\left(-\omega_{\text{force}}^2 \mathbf{V}_n^* \mathbf{M} \mathbf{V}_n + i\omega_{\text{force}} \mathbf{V}_n^* \mathbf{C} \mathbf{V}_n + \mathbf{V}_n^* \mathbf{K} \mathbf{V}_n\right) \hat{\mathbf{g}} = \mathbf{V}_n^* \hat{\mathbf{F}}$

SOAR for the Thermoelastic problem

• SOAR procedure(Bai and Su 2004)

• Choice of basis for projection

SOAR basis	M/T split basis	
\mathbf{V}_n (n)	$ \mathbf{V}_{n}^{\text{split}} = \begin{bmatrix} \mathbf{V}_{n}^{u} & 0 \\ 0 & \mathbf{V}_{n}^{\theta} \end{bmatrix} $ Preserves matrix structure: 1. h.p.d of diagonal submatrices 2. zero structure	



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- **2D Plane Stress**
- **100 points** NDOF=38989 → Hours.
- Seconds. ROM =21

-Iterations: 20(SOAR **Basis**) **10(M/T Split Basis)**



Forced at 705.5[MHz]

Transfer (dB) 380 360 340 320 Phase (degrees) -50 -100 -150 -200 10⁻¹ **SOAR Basis** 10⁻² Relative Error 10⁻³ 10⁻⁴ M/T Split Basis 10⁻⁵ 10⁻⁶ 705.46 705.50 705.54 705.58 705.42 Frequency (MHz)

Expansion Frequency



Closure

• Modal Response

- Perturbative structure
- $2N_u + N_{\theta} GEP \longrightarrow N_u GEP$ $N_{\theta}, N_u + 1 \text{ Linear solve}$
- Forced Response
 - SOAR $N \longrightarrow n$
 - M/T split basis Preserves structure Higher-order accuracy
- Extends to incorporate anchor loss with Perfectly Matched Layers(PML)

➡ Complex symmetric matrices

Reference Slides

Zener's Model

• Proposed by Zener in 1937.

-Evaluated Q of a beam in flexural mode





$$\tau = \frac{\rho c_v h^2}{\pi^2 \kappa_T} \qquad C = \frac{\alpha_T T_0 E}{\rho c_v}$$

 $\begin{array}{lll} \alpha_T : & \underset{\text{thermal expansion}}{\text{thermal expansion}} & \rho : & \underset{\text{Density}}{\text{Density}} \\ c_v : & \underset{(\text{const. volume})}{\text{Specific heat}} & E : & \underset{\text{Young's modulus}}{\text{Specific heat}} \\ \kappa_T : & \underset{\text{Thermal conductivity}}{\text{T}_0} : & \underset{\text{Reference temperature}}{\text{Reference temperature}} \end{array}$



C.Zener, Physical Review, 1937, pp230-235



Thermoelastic Damping

• Energy dissipation mechanism due to coupling between the mechanical and thermal domain.



Governing Equations

- Equations obtained from thermodynamical principles
- Polysilicon is linear elastic, MEMS deformations are small.
 - -Assume linear elasticity.
 - -Temperature fluctuations are small (Removes non-linearity in energy balance)

Balance of linear momentum

$$\rho \ddot{\mathbf{u}} = \boldsymbol{\nabla} \cdot \begin{bmatrix} \mathbb{C} : \boldsymbol{\varepsilon} \end{bmatrix} \quad -3\kappa \alpha_T \boldsymbol{\nabla} \theta$$

Energy Balance

$$ho c_v \dot{ heta} \ = \kappa_T oldsymbol{
abla}^2 heta \ -3\kappa lpha_T T_0 \operatorname{tr}(\dot{oldsymbol{arepsilon}})$$

Non-dimensionalization

• Expression for coefficients.

$$\ddot{\tilde{\mathbf{u}}} = \tilde{\boldsymbol{\nabla}} \cdot \begin{bmatrix} \tilde{\mathbb{C}} : \tilde{\boldsymbol{\varepsilon}} \end{bmatrix} \quad \begin{array}{c} \boldsymbol{\nabla} \cdot \mathbf{10}^{-7} \\ -\boldsymbol{\xi}_1 \, \tilde{\boldsymbol{\nabla}} \tilde{\boldsymbol{\theta}} \\ \dot{\tilde{\boldsymbol{\theta}}} = \boldsymbol{\xi}_2 \, \tilde{\boldsymbol{\nabla}}^2 \tilde{\boldsymbol{\theta}} & -\mathrm{tr} \left(\dot{\tilde{\boldsymbol{\varepsilon}}} \right) \\ 1.1 \times 10^{-8} \, \mathbf{10}^{-8} \, \mathbf$$

$$\xi_1 = \frac{3\kappa\alpha_T^2}{\rho}\frac{T_0}{c_v} \qquad \xi_2 = \frac{\kappa_T}{c_v}\frac{1}{L\sqrt{\rho E}}$$

First-Order Form(GEP)

- By introducing an auxiliary variable we obtain a generalized eigenvalue problem(GEP).
 - 1. $\hat{\mathbf{v}} = i\omega \mathbf{I}\hat{\mathbf{u}}$ --RHS matrix is s.p.d

$$\begin{bmatrix} \mathbf{0} & \mathbf{I} & \mathbf{0} \\ -\mathbf{K}_{uu} & \mathbf{0} & -\boldsymbol{\xi}_1 \mathbf{K}_{u\theta} \\ \mathbf{0} & -\mathbf{C}_{\theta u} & -\boldsymbol{\xi}_2 \mathbf{K}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \hat{\mathbf{u}} \\ \hat{\mathbf{v}} \\ \hat{\boldsymbol{\theta}} \end{pmatrix} = i\omega \begin{bmatrix} \mathbf{I} & \mathbf{0} & \mathbf{0} \\ \mathbf{0} & \mathbf{M}_{uu} & \mathbf{0} \\ \mathbf{0} & \mathbf{0} & \mathbf{C}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \hat{\mathbf{u}} \\ \hat{\mathbf{v}} \\ \hat{\boldsymbol{\theta}} \end{pmatrix}$$

2. $\mathbf{K}_{uu}\hat{\mathbf{v}} = i\omega\mathbf{K}_{uu}\hat{\mathbf{u}}$ --Symmetric but indefinite matrices

$$\begin{bmatrix} \mathbf{0} & -\mathbf{K}_{uu} & \mathbf{0} \\ -\mathbf{K}_{uu} & \mathbf{0} & -\xi_1 \mathbf{K}_{u\theta} \\ \mathbf{0} & \xi_1 \mathbf{C}_{\theta u} & \xi_1 \xi_2 \mathbf{K}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \hat{\mathbf{u}} \\ \hat{\mathbf{v}} \\ \hat{\boldsymbol{\theta}} \end{pmatrix} = i\omega \begin{bmatrix} -\mathbf{K}_{uu} & \mathbf{0} & \mathbf{0} \\ \mathbf{0} & \mathbf{M}_{uu} & \mathbf{0} \\ \mathbf{0} & \mathbf{0} & -\xi_1 \mathbf{C}_{\theta \theta} \end{bmatrix} \begin{pmatrix} \hat{\mathbf{u}} \\ \hat{\mathbf{v}} \\ \hat{\boldsymbol{\theta}} \end{pmatrix}$$

 $N_u + N_\theta$ quadratic eigenvalue problem $\stackrel{\text{Increases size}}{\longrightarrow} 2N_u + N_\theta \text{ GEP}$ 67%(2D), 75%(3D) increase

Example with PML:Michigan FF Beam

TED+PML

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PML



Jacobi-Davidson Type of interation

The residuals of the eigenvalue problem are,

$$\begin{aligned} \mathbf{R}_{u} &= (\lambda^{2} \mathbf{M}_{uu} + \mathbf{K}_{uu}) \hat{\mathbf{u}} + \xi_{1} \mathbf{K}_{u\theta} \hat{\boldsymbol{\theta}} \\ \mathbf{R}_{\theta} &= (\lambda \mathbf{C}_{\theta\theta} + \xi_{2} \mathbf{K}_{\theta\theta}) \hat{\boldsymbol{\theta}} + \lambda \mathbf{C}_{\theta u} \hat{\mathbf{u}} \end{aligned}$$

Then,

$$\delta \mathbf{R}_{u} = (\lambda^{2} \mathbf{M}_{uu} + \mathbf{K}_{uu}) \delta \hat{\mathbf{u}} + \xi_{1} \mathbf{K}_{u\theta} \delta \hat{\boldsymbol{\theta}} + (2\lambda \mathbf{M}_{uu} \hat{\mathbf{u}}) \delta \lambda$$

$$\delta \mathbf{R}_{\theta} = (\lambda \mathbf{C}_{\theta\theta} + \xi_{2} \mathbf{K}_{\theta\theta}) \delta \hat{\boldsymbol{\theta}} + \lambda \mathbf{C}_{\theta u} \delta \hat{\mathbf{u}} + (\mathbf{C}_{\theta\theta} \hat{\boldsymbol{\theta}} + \mathbf{C}_{\theta u} \hat{\mathbf{u}}) \delta \lambda$$

By adding a regularizing constraint on u,

$$\begin{bmatrix} \frac{\delta \mathbf{R}_{\theta}}{\delta \mathbf{R}_{u}} \\ \delta(\hat{\mathbf{u}}^{T}\hat{\mathbf{u}}) \end{bmatrix} = \begin{bmatrix} \frac{\lambda \mathbf{C}_{\theta\theta} + \xi_{2}\mathbf{K}_{\theta\theta}}{\xi_{1}\mathbf{K}_{u\theta}} & \frac{\lambda \mathbf{C}_{\theta u}}{(\lambda^{2}\mathbf{M}_{uu} + \mathbf{K}_{uu})} & \frac{2\lambda \mathbf{M}_{uu}\hat{\mathbf{u}}}{2\lambda \mathbf{M}_{uu}\hat{\mathbf{u}}} \\ 0 & \hat{\mathbf{u}}^{T} & 0 \end{bmatrix} \begin{bmatrix} \delta\hat{\theta} \\ \delta\hat{\mathbf{u}} \\ \delta\lambda \end{bmatrix} = -\mathbf{R}$$

If we now drop the coupling term we obtain the Perturbation Method equations. This iteration may be repeated to further refine the solution.

Example:Ring Resonator with PML



TED vs. TED+PML(Ring Resonator)

TED



TED+Anchor Loss



- 2D Plane Stress
- NDOF=38989

ROM = 41Normal n=20 M/T, Real n=10











Choosing the Galerkin Projection Basis

• Choice of basis

$$\mathbf{V}_n = [\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_n] = egin{bmatrix} \mathbf{V}_n^u \ \mathbf{V}_n^ heta \end{bmatrix}$$

	complex basis	real basis [diagonal submatrices remain s.p.d]
nonsplit basis	V_n (n)	
m/t split basis [matrix structure (zeros) preserved]	$\mathbf{V}_{n}^{\text{split}} = \begin{bmatrix} \mathbf{V}_{n}^{u} & 0 \\ 0 & \mathbf{V}_{n}^{\theta} \end{bmatrix}$ (2n) Preserves 1. s.p.d.(h.p.d.) of diagonal submatrices 2. zeros in matrices	$\mathbf{V}_{n}^{\text{split,real}} = \left[\text{Re} \left(\mathbf{V}_{n}^{\text{split}} \right) \text{ Im} \left(\mathbf{V}_{n}^{\text{split}} \right) \right]$ (4n) Preserves 1. complex symmetry of diagonal submatrices 2. zeros in matrices

Only TED TED + Perfectly Matched Layer