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ELECTROMAGNETIC DESIGN**

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AGGRESSIVE SPACE MAPPING FOR ELECTROMAGNETIC DESIGN

J.W. Bandler^{*}, R.M. Biernacki^{*}, S.H. Chen^{*}, R.H. Hemmers and K. Madsen[†]

**Simulation Optimization Systems Research Laboratory
and Department of Electrical and Computer Engineering
McMaster University, Hamilton, Canada L8S 4L7**

**Tel 905 525 9140 Ext. 24818
Fax 905 523 4407**

Abstract

We propose a new aggressive Space Mapping strategy for electromagnetic (EM) optimization. Instead of waiting for upfront EM analyses at several base points, it exploits every available EM analysis using the classical Broyden update, producing dramatic results right from the first step. A high-temperature superconducting filter design solution emerges after fewer EM analyses than the number of designable parameters! For the first time, Space Mapping is extended to the parameter extraction phase, overcoming severely misaligned starting points induced by inadequate empirical models.

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^{*} J.W. Bandler, R.M. Biernacki and S.H. Chen are also with Optimization Systems Associates Inc., Dundas, Ontario, Canada L9H 5E7, Tel 905 628 8228.

[†] K. Madsen is with the Institute of Mathematical Modeling, Technical University of Denmark, DK-2800 Lyngby, Denmark.

SUMMARY

Introduction

Our recent exposition of Space Mapping (SM) [1-3] aroused unprecedented excitement in the microwave community. The SM concept combines the computational expediency of empirical engineering models (which embody expert knowledge accumulated over many years) and the acclaimed accuracy of electromagnetic (EM) simulators to facilitate automated design optimization within a practical time frame.

In our original pioneering work, upfront EM analyses were required at a number of base points in order to establish a full-rank initial approximation of the mapping between the empirical and EM spaces. In that scheme, the number of base points and correspondingly the number of upfront EM analyses increase in proportion to the number of designable parameters. Furthermore, since the initial base points are generated by perturbing the starting point in the EM space, they are unlikely to produce a substantially better design than the starting point itself. In other words, the initial EM analyses themselves become a time-consuming and possibly unproductive effort.

We present a new SM approach which employs an aggressive strategy for updating the SM approximation. A simple, straightforward initial approximation is assumed. Then, every EM analysis is targeted directly at achieving the best design and the results are immediately utilized to improve the approximation using the classical Broyden update [4, 5]. In this way, we expect to obtain a progressively improved design after each EM analysis.

We demonstrate the power of our new approach by application to a high-temperature superconducting filter design [3]. From a poor starting point, a solution emerges after only 4 EM analyses carried out at only 7 frequency points. It requires fewer EM analyses than the number of designable parameters (6)! This offers an extremely attractive prospect for EM optimization.

One of the key steps in SM is to determine pairs of corresponding EM and empirical models through parameter extraction. From the EM simulation results, we need to extract the parameter values of the corresponding empirical model. This can be a serious challenge, especially at the starting point, when the responses produced by EM analysis and by the empirical model may be

severely misaligned. We apply, for the first time, SM to parameter extraction by introducing two new algorithms for automated Frequency Space Mapping (FSM): a sequential mapping algorithm and an exact penalty function algorithm. They offer a powerful means of overcoming the problems of local minima and data misalignment.

Our new theory and techniques are demonstrated by applications to the EM design of a low-loss, narrow-bandwidth high-temperature superconducting microstrip filter [3, 6]. We utilize the OSA90/hope optimization system with the Empipe interface [7] to the *em* field simulator [8].

Overview of the Space Mapping Concept

We consider models in two distinct spaces: the optimization space, denoted by X_{OS} , and the EM space, denoted by X_{EM} . We represent the model parameters in these spaces by \mathbf{x}_{OS} and \mathbf{x}_{EM} , respectively. The X_{OS} model can be an empirical/analytical model [3], or a coarse-grid EM model [1, 2].

We assume that the X_{OS} model responses, denoted by $f_{OS}(\mathbf{x}_{OS})$, are much faster to calculate but less accurate than the X_{EM} model responses, denoted by $f_{EM}(\mathbf{x}_{EM})$. We wish to find a mapping $T(\mathbf{x}_{EM})$ such that

$$\|f_{OS}(T(\mathbf{x}_{EM})) - f_{EM}(\mathbf{x}_{EM})\| \leq \epsilon \quad (1)$$

where $\|\cdot\|$ indicates a suitable norm and ϵ is a small positive constant.

We perform optimization in X_{OS} to obtain the optimal design \mathbf{x}_{OS}^* and use SM to find the mapped solution in X_{EM} as

$$\bar{\mathbf{x}}_{EM} = T^{-1}(\mathbf{x}_{OS}^*) \quad (2)$$

assuming that T is invertible. This is illustrated in Fig. 1. We use $\bar{\mathbf{x}}_{EM}$ instead of \mathbf{x}_{EM}^* since the mapped solution may not be the true optimum in X_{EM} .

In our original work [1-3], we obtain the initial approximation of T by performing EM analyses at a set of base points around the starting point given by

$$\mathbf{x}_{EM}^1 = \mathbf{x}_{OS}^* \quad (3)$$

These EM analyses represent an upfront effort before any significant improvement over the starting point can be expected.

Space Mapping with the Classical Broyden Update

We assume that \mathbf{x}_{OS} and \mathbf{x}_{EM} have the same dimension. We further assume that the mapping T can be linearized locally, such that at the i th step we have

$$T(\mathbf{x}_{EM}^i + \mathbf{h}) \approx T(\mathbf{x}_{EM}^i) + \mathbf{A}_i \mathbf{h} \tag{4}$$

We target every EM analysis at the optimal design in the sense that \mathbf{x}_{EM}^i is generated not merely as a base point for establishing the mapping, but as our current best estimate of the mapped solution as defined by (2). The mapping T is found iteratively starting from $T_0(\mathbf{x}) = \mathbf{x}$.

At the starting point we let $\mathbf{x}_{EM}^1 = \mathbf{x}_{OS}^*$ and $\mathbf{A}_1 = \mathbf{1}$. At the i th step, we obtain \mathbf{x}_{EM}^i by applying (2) using the current estimate of T , namely T_i . If the EM analysis at \mathbf{x}_{EM}^i produces the desired responses, then our mission is accomplished. Otherwise, we find \mathbf{x}_{OS}^i which corresponds to \mathbf{x}_{EM}^i by parameter extraction, i.e., we extract \mathbf{x}_{OS}^i through optimization in X_{OS} from the data provided by the EM analysis at \mathbf{x}_{EM}^i .

Adapting the classical Broyden formula [4], we update the SM by

$$\mathbf{A}_{i+1} = \mathbf{A}_i + \frac{[\mathbf{x}_{OS}^{i+1} - \mathbf{x}_{OS}^i - \mathbf{A}_i \mathbf{h}_i] \mathbf{h}_i^T}{\mathbf{h}_i^T \mathbf{h}_i} \tag{5}$$

where $\mathbf{h}_i = \mathbf{x}_{EM}^{i+1} - \mathbf{x}_{EM}^i$.

The Broyden update is a rank-one update. If the directions of some consecutive steps are collinear, Powell [5] suggested the use of special iterations interlaced with the ordinary iterations of optimization, which produce "strictly linearly independent directions", to prevent the Broyden update from becoming degenerate.

HTS Filter Design by EM Optimization

We consider the design of a four-pole quarter-wave parallel coupled-line microstrip filter, as illustrated in Fig. 2 [3]. L_1 , L_2 and L_3 are the lengths of the parallel coupled-line sections and S_1 , S_2 and S_3 are the gaps between the sections. The width $W=7$ mil is the same for all the sections as well as for the input and output microstrip lines. The input and output line lengths are $L_0=50$ mil. The thickness of the lanthanum aluminate substrate used is 20 mil and the dielectric constant is assumed to be 23.425. The design specifications imposed on $|S_{21}|$ are as follows.

$$|S_{21}| \leq 0.05 \quad \text{for} \quad f \leq 3.967 \text{ GHz and } f \geq 4.099 \text{ GHz}$$

$$|S_{21}| \geq 0.95 \quad \text{for} \quad 4.008 \text{ GHz} \leq f \leq 4.058 \text{ GHz}$$

This corresponds to a 1.25% bandwidth. L_1 , L_2 , L_3 , S_1 , S_2 and S_3 are considered as design parameters. L_0 and W are fixed. We employ both traditional analytical/empirical models built into OSA90/hope and a fine-grid Sonnet EM model. The x - and y -grid sizes for the numerical EM simulation are chosen as $\Delta x = 1$ mil and $\Delta y = 1.75$ mil. On a Sun SPARCstation 10, approximately 1 CPU hour is needed to simulate the filter at a single frequency for an on-the-grid point.

The minimax solution of the HTS filter design using OSA90/hope is listed in Table I. But, the results of an *em* analysis at this solution are significantly different from the circuit simulation results, as shown in Fig. 3. Assuming that the EM model is the more accurate one, our aim is to use SM to find a solution in the EM space which will substantially reproduce the optimal performance predicted by the empirical circuit model.

Applying our new aggressive SM algorithm with the Broyden update to the HTS filter design, we obtain the solution listed in Table I after only 4 EM analyses, requiring only 7 frequency points per EM simulation. In comparison, our original SM solution [3] required 13 EM analyses (which in itself was a breakthrough, since early attempts of direct optimization in the EM space failed to produce an acceptable design after consuming weeks of CPU time on EM analyses). Figs. 4 and 5 show the filter responses of the empirical optimal design x_{OS}^* and the new SM solution \bar{x}_{EM} .

Frequency Space Mapping for Parameter Extraction

One of the key steps of SM involves parameter extraction. For each \mathbf{x}_{EM} we need to find the corresponding \mathbf{x}_{OS} . This can be a serious challenge, especially at the starting point, if the X_{OS} and X_{EM} responses are severely misaligned, such as the case shown in Fig. 6. If we perform straightforward optimization from such a starting point, the extraction process can be trapped by a local minimum, as illustrated in Figs. 7 and 8.

In Fig. 6, we notice a general similarity between the shapes of f_{OS} and f_{EM} . The parameter extraction problem can be better conditioned if we can align f_{OS} and f_{EM} along the frequency axis. To this end, we introduce Frequency Space Mapping (FSM):

$$\omega_{OS} = T_{\omega}(\omega) \quad (6)$$

The mapping can be as simple as frequency shift and scaling:

$$\omega_{OS} = S \omega + D \quad (7)$$

At the starting point, we determine S^0 and D^0 by

$$\underset{S^0, D^0}{\text{minimize}} \| f_{OS}(\mathbf{x}_{OS}, S^0\omega + D^0) - f_{EM}(\mathbf{x}_{EM}, \omega) \| \quad (8)$$

where the model parameters are not optimized and $\mathbf{x}_{OS} = \mathbf{x}_{EM}$. The result is illustrated in Fig. 9.

We developed two algorithms: a sequential FSM algorithm (SFSM) and an exact penalty function (EPF) algorithm. In the SFSM algorithm, we perform a sequence of optimizations in which the FSM is gradually reduced to the identity mapping and \mathbf{x}_{OS} is optimized to achieve a match between f_{OS} and f_{EM} .

$$\underset{\mathbf{x}_{OS}^i}{\text{minimize}} \| f_{OS}(\mathbf{x}_{OS}^i, S^i\omega + D^i) - f_{EM}(\mathbf{x}_{EM}, \omega) \| \quad (9)$$

$$S^i = 1 + (S^0 - 1)(K - i)/K \quad i = 0, 1, \dots, K$$

$$D^i = D^0(K - i)/K$$

where K determines the number of steps in the sequence. After optimization \mathbf{x}_{OS}^K is the solution to the parameter extraction problem, since $S^K = 1$ and $D^K = 0$. The sequence of optimizations is illustrated in Fig. 10.

In the EPF algorithm, we need to perform only one optimization:

$$\underset{\mathbf{x}_{OS}, S, D}{\text{minimize}} \ \| f_{OS}(\mathbf{x}_{OS}, S\omega + D) - f_{EM}(\mathbf{x}_{EM}, \omega) \| + \alpha_1 |S - 1| + \alpha_2 |D| \quad (10)$$

from the starting point of $\mathbf{x}_{OS} = \mathbf{x}_{EM}$, $S = S^0$ and $D = D^0$. Using ℓ_1 , we can obtain the *exact* solution when the factors α_1 and α_2 are sufficiently large. In our example, the exact solution is found for $\alpha_1 = \alpha_2 \geq 10$.

While the frequency transformation concept is familiar to microwave engineers, particularly filter designers, here it is defined in a novel way. Our FSM is established through an iterative process and facilitates automated compensation for inadequate modeling. This significantly improves robustness of the parameter extraction phase of the overall SM technique.

Conclusions

We have proposed a new automated SM approach which aggressively exploits every EM analysis. We have employed the classical Broyden update to target the next EM point at the optimal design. We have demonstrated significant improvement over our original SM algorithm by reducing the number of EM analyses required to obtain an HTS filter design. We have pioneered the application of the SM concept to parameter extraction by developing new FSM algorithms for overcoming poor starting points induced by inadequate empirical/analytical models.

Acknowledgement

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TABLE I
HTS PARALLEL COUPLED-LINE MICROSTRIP
FILTER DESIGN RESULTS

Parameter (mil)	OSA90/hope Solution (OS)	New SM Solution (EM)	Original SM Solution [3] (EM)
L_1	191.00	185.00	190.00
L_2	195.58	197.00	192.00
L_3	191.00	184.00	189.00
S_1	21.74	19.25	19.25
S_2	96.00	78.75	75.25
S_3	114.68	85.75	91.00
Number of EM Analyses	-	4	13

W and L_0 are kept fixed at 7 mil and 50 mil, respectively.
The EM solutions are rounded to the nearest grid.

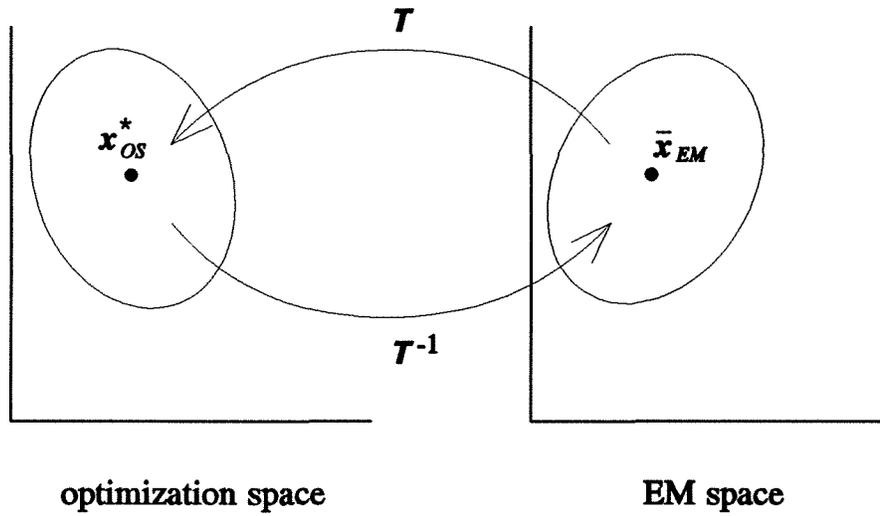


Fig. 1. Illustration of SM. The inverse mapping T^{-1} maps the optimal design x_{OS}^* to the point \bar{x}_{EM} in the EM space X_{EM} .

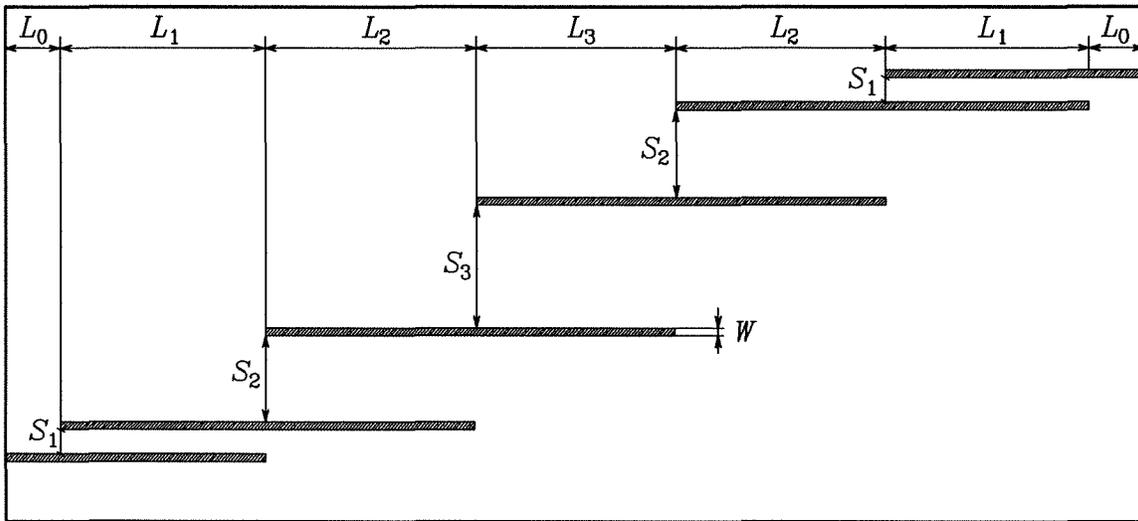
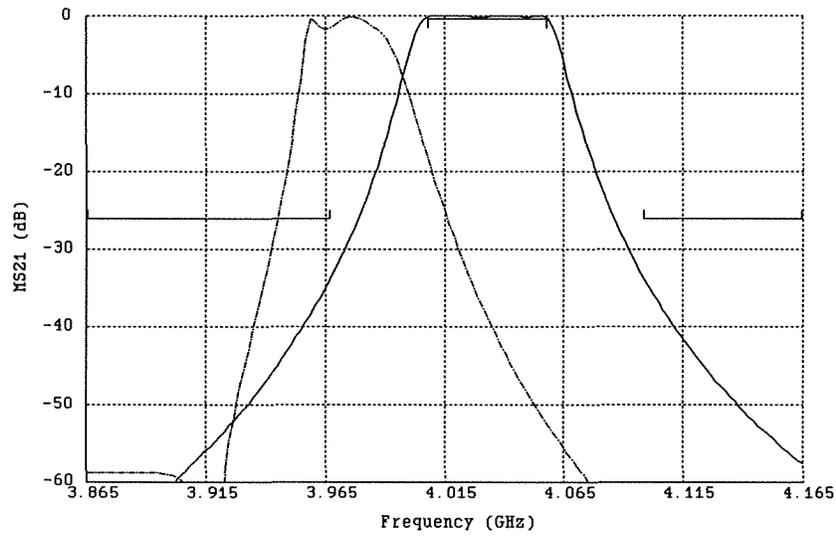
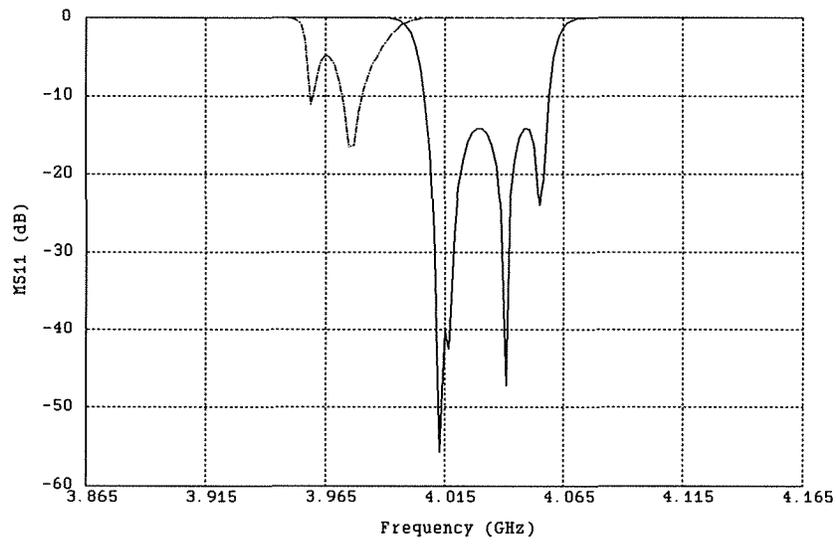


Fig. 2. The structure of the HTS quarter-wave parallel coupled-line microstrip filter. The dielectric constant and the substrate thickness are 23.425 and 20 mil, respectively. The x - and y -grid sizes for *em* simulations are 1.0 and 1.75 mil. Approximately 1 CPU hour is needed for analysis at a single frequency point on a Sun SPARCstation 10.

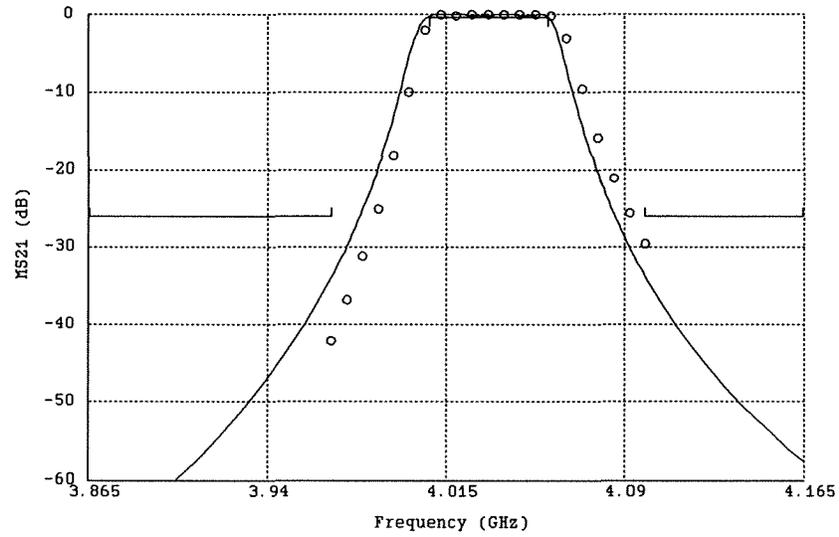


(a)

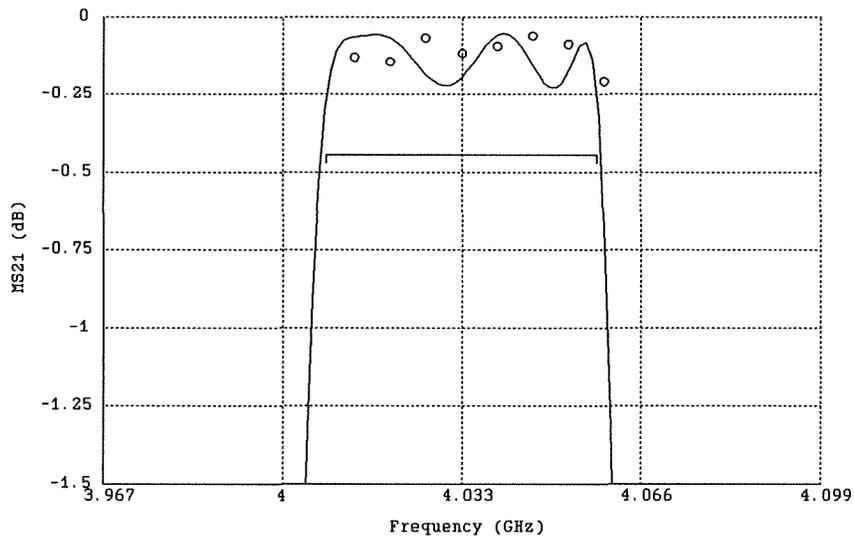


(b)

Fig. 3. The optimal solutions (solid lines) of (a) $|S_{21}|$ and (b) $|S_{11}|$ obtained using OSA90/hope. The corresponding *em* simulation results are shown as dashed lines.



(a)



(b)

Fig. 4. The *em* simulated $|S_{21}|$ response (circles) of the HTS parallel coupled-line filter at the solution obtained using the new SM optimization method. The OSA90/hope empirical solution (solid line) is shown for comparison. (a) Response for the overall band. (b) Passband details of the response.

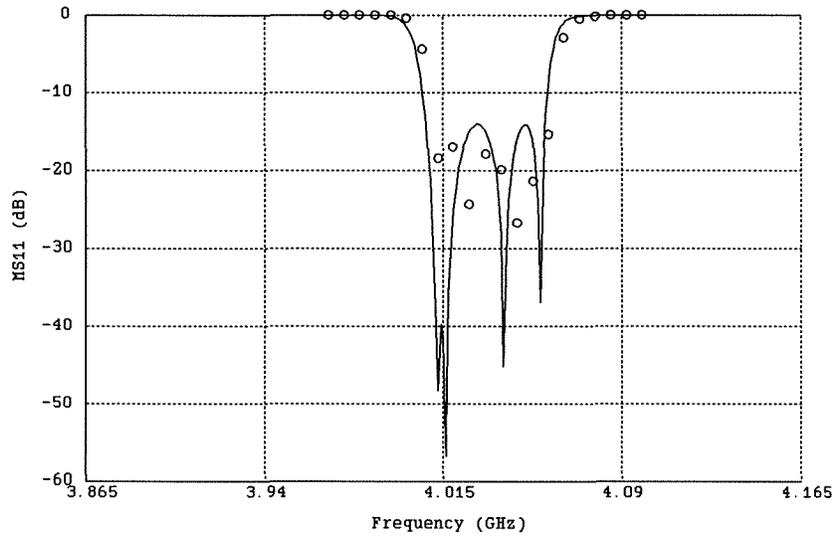


Fig. 5. The *em* simulated $|S_{11}|$ response (circles) of the HTS parallel coupled-line filter at the solution obtained using the new SM optimization method. The OSA90/hope empirical solution (solid line) is shown for comparison.

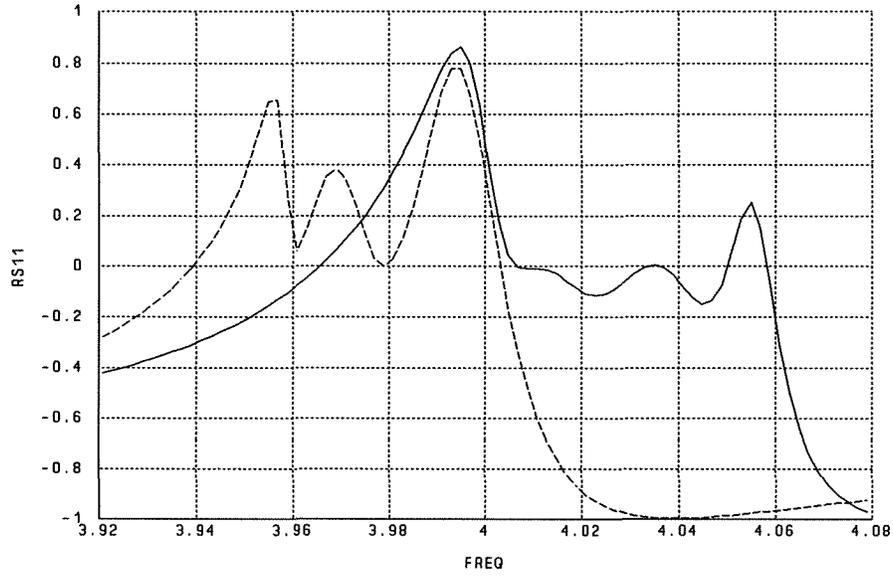


Fig. 6. $\text{Re}\{S_{11}\}$ simulated using the empirical model (solid line) and *em* (dashed line) at the starting point for parameter extraction.

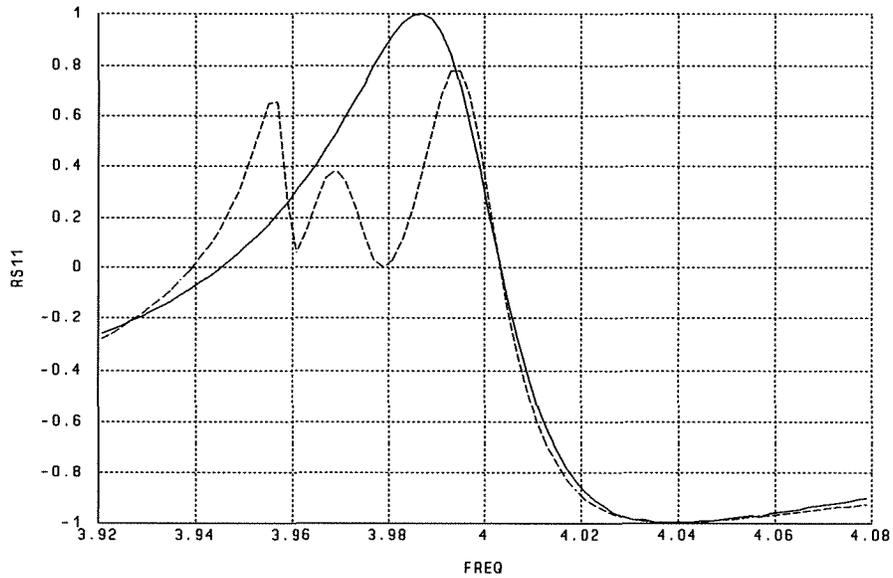


Fig. 7. $\text{Re}\{S_{11}\}$ simulated using the empirical model (solid line) and *em* (dashed line) at the solution of a straightforward ℓ_1 optimization (a local minimum).

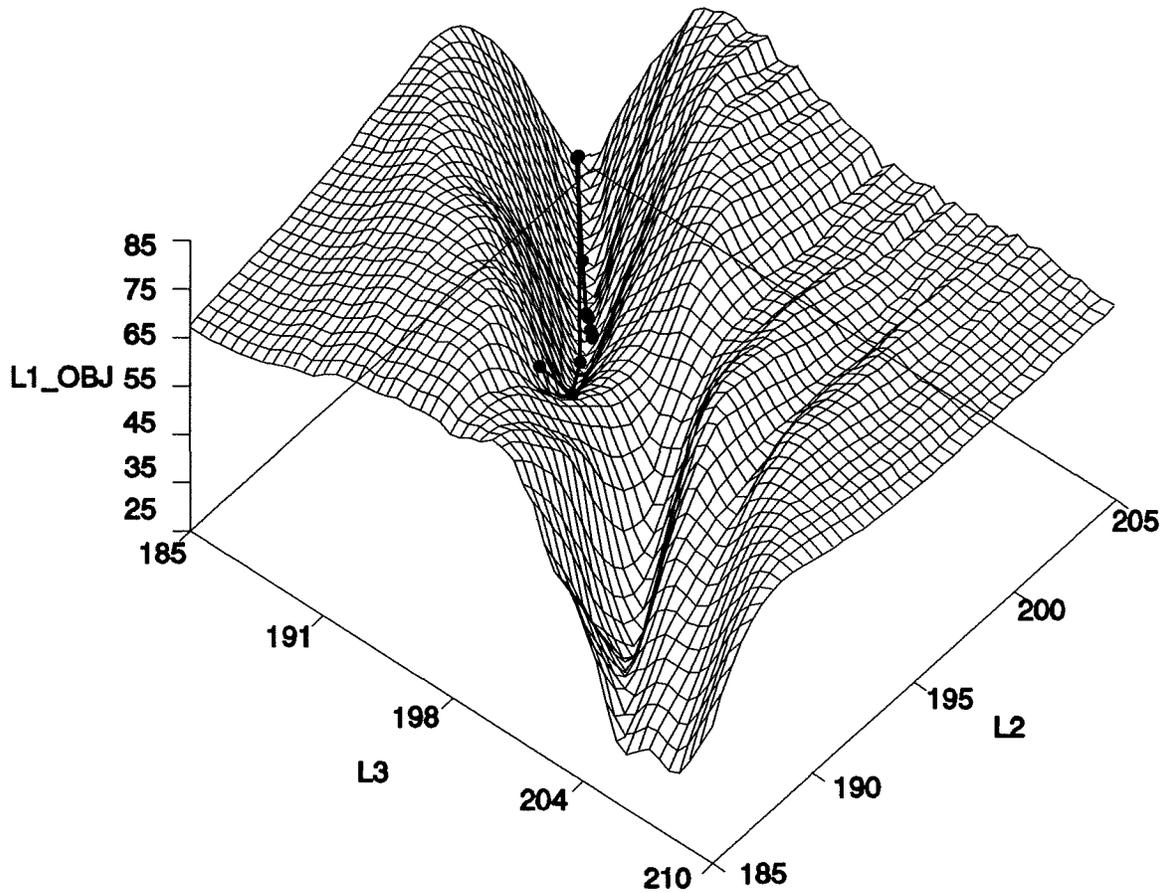


Fig. 8. Visualization of the ℓ_1 objective function (denoted by L1_OBJ) versus two of the model parameters L_2 and L_3 , superimposed by the trace of the straightforward ℓ_1 optimization. The optimization converged to a local minimum instead of the true solution represented by the valley located towards the front of the graph.

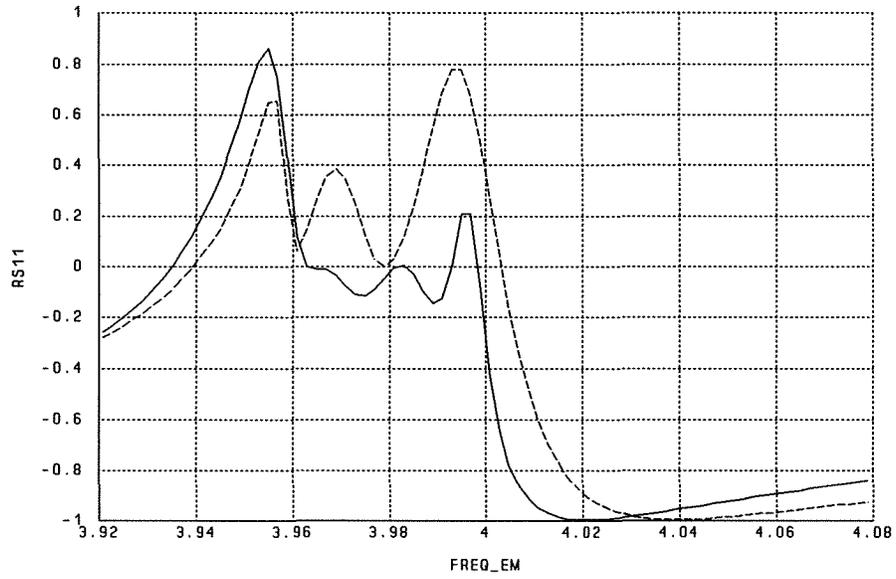


Fig. 9. $\text{Re}\{S_{11}\}$ simulated using the empirical model (solid line) and *em* (dashed line) at the starting point after applying the FSM algorithm. This starting point is now ready for regular parameter extraction.

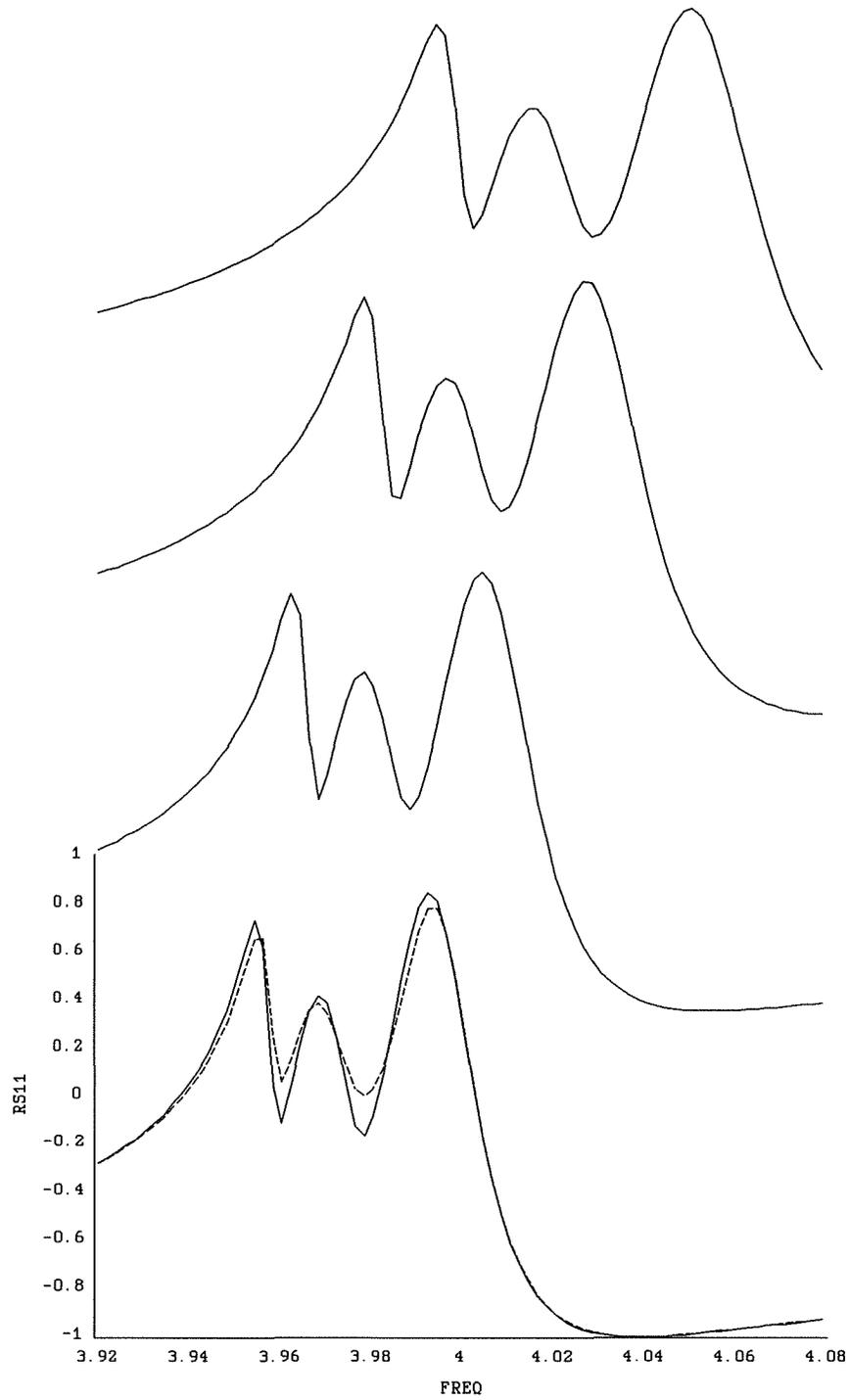


Fig. 10. $\text{Re}\{S_{11}\}$ simulated using the empirical model (solid line) and *em* (dashed line) after a sequence of ℓ_1 optimizations with SFSM. As the FSM is gradually reduced to the identity mapping, the extracted model parameters converge to the true solution.