## A PHASE-LOCKED LOOP FOR LASER SCANNERS

by

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Submitted to the Department of Electrical Engineering
and Computer Science on June 15, 1984
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#### **ABSTRACT**

The Autokon 8400 is a laser scanner used in the graphic arts to scan, digitize and reproduce images. The scan is non-linear, and this presents difficulties in placing picture elements evenly spaced on the page. A grating and a phase-lock loop (PLL) compensate for the non-linearity.

The PLL tracks the frequency and phase of a signal, known fairly well in advance, coming from the grating. This document examines a method of predicting the present grating signal frequency from past frequency values, updating the voltage controlled oscillator (VCO) voltage on an open loop basis, and correcting for deviations from the prediction using a conventional feedback loop. The grating signal appears in bursts, and it is necessary to acquire lock at the edge of each burst. A fast lock technique is introduced to lock close to the edge of the pulse burst.

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I dedicate this work to my parents and to my friends at TCC.

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#### 1 INTRODUCTION

In some laser scanners used in the graphic arts, non-linear deflection is provided by a galvanometer. In graphic arts applications, spatial linearity is necessary to place each picture element (pel) in its proper location on the page. Present systems such as ECRM's Autokon 8400
Laser Scanner, scan a grating concurrently with the image; the grating scan records the spatial
location information while the image scan records the video information. A variable divideby-N phase-lock loop tracks the signal created by the grating scan. Since the PLL needs to
acquire lock before its output, the spatial location of the pel being scanned, will become valid,
the grating dimensions must be grater than the dimensions of the image to be scanned. The
faster the loop locks, the smaller the extra section of the grating allowed for acquisition. The
PLL must track a smoothly changing frequency with negligible phase error. Significant phase
error will create artifacts in the image. Present systems use a third order loop to provide good
tracking and low phase error. In this application, the scanning frequency and the dimensions
of the grating are known; therefore, the PLL input signal is known rather well at any location
on on the grating. If some prediction of the input signal is used, it should be possible to track
the varying input frequency with low phase error using only a second order loop.

This document discusses a new PLL design using a first order filter (a second order loop), additional prediction circuitry, and additional circuitry to aid rapid acquisition. Chapters two through four present a general overview of phase-lock loops in laser scanners, a general discussion of phase-lock, and a discussion of existing systems. Later chapters discuss the PLL under design. Grating frequency (the PLL input signal) at various spatial locations on the grating and values stored in lookup tables are listed in the appendices. Circuit diagrams are also included in appendix D.

## 2. THE LASER SCANNER

The laser scanner produces screened images from an opaque original, either continuous tone or line art, as an intermediate step in making printing plates. The output is either film or paper; it also has a computer interface facilitating its use in image processing systems [1] [2]

#### 2.1 SCANNING

The Autokon accepts input 12 inches by any length. Input and output are scanned back and forth in the 12 in direction sinusoidally, not linearly, at 60 Hz. Lengthwise scan is accomplished by paper and film motion. The image can be reduced or enlarged from 20 to 200 percent. Magnification in length is achieved by moving the output at a variable speed (2.5 to 25 in/min in the Autokon 8400) and the output at constant speed (5 in/min in the Autokon 8400). Magnification in width is achieved by the the variable divide-by-N counter in the PLL, sampling the input at a variable rate (144 to 1440 pels/in in the 8400) at the input and at a constant rate (722 pels/in) at the output. [1]

#### 22 LINEARITY OF THE SCAN

Ideally a linear scan is desired, placing consecutive samples on the line an equal distance from the last sample. Instead a sinusoidal scan has been used, in itself nonlinear in time. (See Figure 1, where x is the spatial location on the grating, w is the scanning frequency,  $\theta_m$  is the maximum angle of deflection,  $\theta$  is the angle of deflection at any x, and F is the focal length.)

For example, if samples were placed x inches apart on the scan line and the scan starts at the edge of the line, it will take  $t_1 - t_2$  seconds to move from pel one to pel two but  $t_3 - t_2$  seconds to move from pel two to pel three. (Figure 2). The frequency is higher in the center than at the edges; hence it takes longer to move from one pel to another at the edges than at the center. Even though the pels are equal distances apart on the page, they are not equally spaced in time.

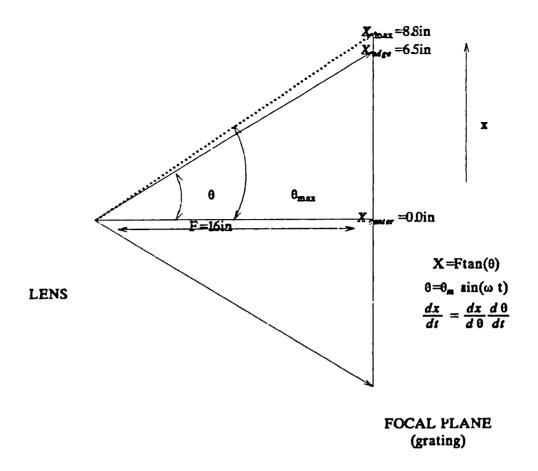
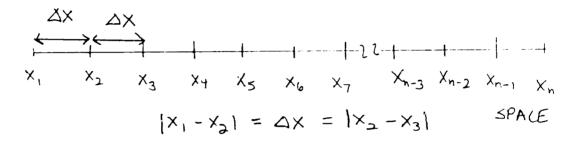
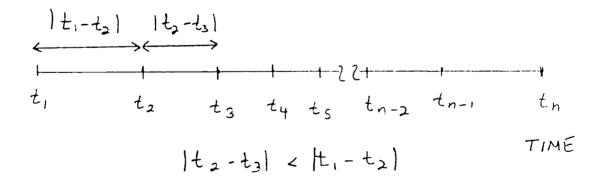


Figure 1 Sinusoidal Scan

Does it matter that the scan is not linear in time? No, not if the image can be recorded and reproduced such that the pels are linearly spaced on the page. In this system an analog video signal that contains the scanned picture information is digitized by an analog to digital converter (ADC) and stored in a buffer; then a digital to analog converter converts (DAC) the information stored in the buffer to an analog signal that is used to modulate the recording laser beam. An important consideration is what should be used as a clock for the ADC and the DAC. If the signal is sampled at a fixed frequency, samples will be equally spaced in time hence not equally spaced on the page. It can be concluded that a fixed frequency clock is not acceptable. However, it is possible to create a clock signal such that the samples will be stored in the buffer corresponding to pels equally spaced on the page [3]

Figure 2 Time and Space on the Grating





The Autokon 8400 uses a grating or mesh of 216 lines per inch with consecutive lines placed equal distance apart. The image and grating are scanned at the same time. Video information is recorded from the scan of the image while the grating scan records the location of the beam. It is this location information that is used to create a clock for digitization.

This system is shown in Figure 3[2] The laser beam goes through a beam splitter creating two beams. One scans the image and the other scans the copy. The image information is recorded by a photodiode that creates the analog video signal. The grating is scanned, creating a grating signal that is amplified and sent to a PLL. The output of the PLL is the clock signal.

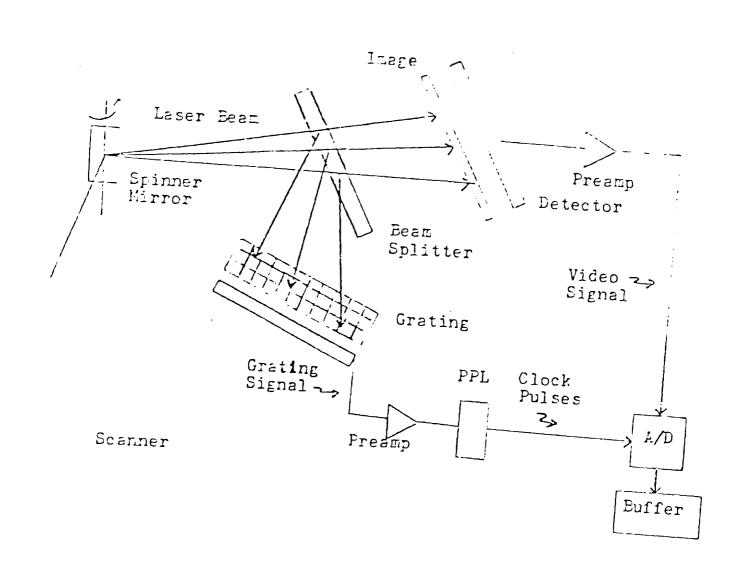
#### 23 PURPOSE OF THE PLL

The grating scheme is now obvious, but what is the purpose of the PLL? Without the PLL, a grating of one line per pel is necessary; a very fine grating is needed; optically this presents a problem. Magnification presents problems as well making it necessary to vary the frequency of the clock in small steps over a large range. In addition the grating signal is noisy. Since the PLL acts as a low pass filter it eliminates much of the noise. By adding a scaling factor of N in the feedback loop of the PLL, the clock frequency can be made to be N times the grating frequency. There can by many pels, not just one, per grating bar. Magnification is made possible by adding additional scaling by making N variable. (In the 8400, N varies from 20 to 199. Initially the input frequency is scaled by 100 and then multiplied by a factor varying from 2 to 199.)[3]

#### 24 PROBLEMS THAT A PLL PRESENTS

What does the signal that the PLL wants to track, the grating signal, look like? The grating signal occurs in bursts, one corresponding to each scan line, surrounded by blank intervals during which no signal is present. At the beginning of each line the loop needs to acquire lock to track the signal in frequency and phase. In the Autokon the signal is already fre-

Figure 3 The Laser Scanner



quency locked at the edge of the line but still needs to acquire phase-lock. It takes ten grating bars for the loop to acquire lock, about half an inch. A thirteen inch grating is used for a 12 inch wide image. Obviously it is desirable to lock as close to the edge of the page as possible. It is possible to design for faster lock-on, but this also results in poorer reference suppression and increased jitter. Any significant phase error is undesirable since it creates artifacts in the image. It is also necessary to track a changing input frequency. (The grating pulses are placed equally in space but not in time). If the frequency is slowly changing it can be approximated by a linear change in frequency which can be tracked. In a conventional PLL a third order loop with a second order filter is necessary to track a frequency ramp. The third order filter has stability problems. Low gain will place poles in the right half-plane and the loop will oscillate; it is important to design for a gain high enough to make the loop stable. [3]

#### 3. GENERAL PLL THEORY: SOME BACKGROUND

#### 31 INTRODUCTION TO PLL

A phase-lock loop tracks the frequency and phase of an input signal (See Figure 4); frequency can be tracked precisely, but phase may be tracked with a finite error. A PLL is very useful in recovering a signal imbedded in noise; it acts like a low pass filter, passing the signal and rejecting noise. The bandwidth of the loop can be varied; as bandwidth decreases the noise rejection increases. In a variable divide-by-N PLL, small increments of frequency can be tracked over a large frequency range [4]

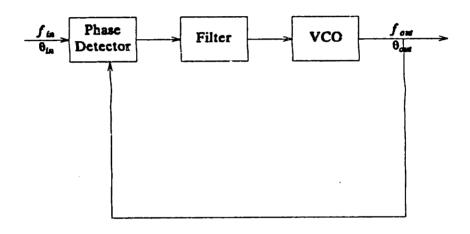


Figure 4 Block Diagram of a PLL

A PLL has three states: free-running, acquisition (sometimes called capture) and locked. In the first state the loop is free-running at the center frequency of the VCO; the output frequency is independent of the input frequency. During acquisition the loop starts from the unlocked or free-running state and tends toward the locked state. When the loop progresses from the free-running state to capture, the output of the phase detector is a voltage proportional to the difference between the input and output frequencies. The low pass filter removes the high frequency components to produce the control voltage that "controls" the output frequency, moving it closer to the input frequency. The output frequency does not equal

the input frequency until the third state at which time the loop is locked. (The difference between phase-lock and frequency lock will be discussed in the section on acquisition.)[5]

#### 32 A SINUSOIDAL PLL IN THE TIME DOMAIN

The fundamental principles of PLL operation can be better understood by looking at its operation in the time domain. Given the sinusoidal system in Figure 5, assume that the PLL is unlocked, meaning that the output is not synchronized to the input.  $\theta_i$  and  $\theta_o$  are the input and output phase;  $w_i$  and  $w_o$  are the input and output frequencies. Since it has been assumed that the PLL is initially locked, two assumptions can be made. One,  $w_o$  is simply the free-running VCO frequency  $w_{conter}$ , and two,  $w_o$  and  $\theta_o$  are independent of  $w_i$  and  $\theta_i$ .

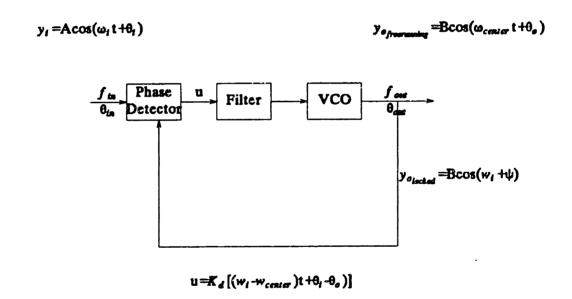


Figure 5 Sinusoidal PLL

The input and output signals are given by

$$y_i(t) = A\cos(w_i t + \theta_i)$$
 and  $y_o(t) = B\cos(w_{contor} t + \theta_o)$ 

where A and B are constants.

The phase detector output is given by

$$u(t) = K_d \cos[(w_l - w_{conter})t + \theta_l - \theta_s]$$
 where  $K_d$  is the phase detector gain.

As has been stated previously, if  $w_i$ - $w_{cont}$  is not too large,  $w_o$  will change from  $w_{cont}$  and eventually equal  $w_i$ . When  $w_o = w_i$  the output  $y_o(t)$  is synchronized with the input  $y_i(t)$ . Both the input and output have the same frequency  $w_i$  but differ in phase. The output signal is given by

$$y_a(t) = B\cos[w_i t + \psi]$$

where  $\psi$  is the output phase (when the output is synchronized in frequency with the input). The output phase is given by the sum of the initial output phase  $\theta_o$  and a term proportional to time by an amount equal to the difference between the input and center frequencies or

$$\psi = \theta_o + (w_{contax} - w_i)t$$

But how does this voltage control the output frequency of the VCO? The output frequency varies from the center frequency of the VCO by an amount proportional to the control voltage  $V_c(t)$  by a factor  $K_o$  where  $K_o$  is the gain of the VCO. At any time the instantaneous angular output frequency  $w_{text}$  can be expressed as the time derivative of the output phase.

$$w_{tast} = d/dt[w_{conter} t + \theta_o] = w_{conter} + d\theta_o/dt$$

then

$$d\theta_o/dt = K_o V_c$$
 and  $w_{inst} = w_{center} + K_o V_c$ .

Now it can be seen that when the loop is locked, the instantaneous output frequency of the VCO is linearly proportional to the control voltage  $V_c$ . Still, what causes the output to track the input? It becomes more obvious if it can be shown that the control voltage is proportional

to the difference between the input frequency and the free-running frequency of the VCO,

$$V_c = [w_i - w_{contor}]/K_o$$

and then

$$w_{last} = w_{cong} + K_o [w_l - w_{cong}]/K_o = w_l$$
.

But, the time derivative of output phase is given by

$$d\theta_a/dt = d/dt[(w_l - w_{cong})t + \psi] = w_l - w_{cong}$$

and

$$d\theta_o/dt = K_o V_c$$

therefore

$$(w_i - w_{conter})/K_a = V_c$$
.

Lastly, the output phase is no longer independent of the input but is dependent on the input phase and frequency. Since  $V_c$  is simply a low pass filtered version of a dc signal  $u, V_c$  equals u and

$$w_i - w_{conter} = K_u u = K_u K_d \cos(\theta_i - \psi)$$
 then

$$\psi = \theta_i - \arccos[(w_i - w_{conter})/K_e K_d].$$

Note that if

is significantly greater than

WI-Wcaster,

$$\frac{(w_i - w_{contor})}{K_a K_d}$$

is approximately zero, and

$$\psi = \theta_i - 90$$
 degrees

or the output is 90 degrees out of phase with the input. [8]

#### 33 TRACKING AND ACQUISITION

What are tracking and acquisition? Are they linear or non-linear? When the PLL is tracking, it is locked; the output is following the input frequency and output phase is dependent on the input frequency and phase. Tracking can be modeled as a linear phenomenon. Acquisition, however, is nonlinear. The output frequency is no longer free-running but is moving toward the input frequency (though still not locked). [6]

#### 331 TRACKING

Consider the tracking behavior of the PLL. Assume that the loop is synchronized (locked) and change the input frequency or phase. What happens? How does the loop track changes at the input?

The PLL can be represented by the system in Figure 6 where the variables are defined using Laplace notation where  $\theta_{\bullet}(s)$  is defined as  $L[\theta_{\bullet}(t)]$ . Given the following:

$$V_{\mathcal{A}}(s) = K_{\mathcal{A}}[\theta_{i}(s) - \theta_{s}(s)]$$

$$V_c(s)=F(s)V_d(s)$$

$$\theta_a(s)=K_aV_c(s)/s$$

\_

where  $K_d$  is the phase detector gain,  $K_o$  is the VCO gain,  $\theta_i$  is the input phase, and  $\theta_o$  is the output phase, it is possible to arrive at the following relationship between input and output

$$\theta_o(s)/\theta_i(s)=K_oK_dF(s)/[s+K_oK_dF(s)]$$

$$[\theta_i(s)-\theta_s(s)]/\theta_i(s)=\theta_s(s)/\theta_i(s)=s/[s+K_s,K_z,\tilde{F}(s)]$$

$$V_c(s) = [s K_d F(s)\theta_l(s)]/[s + K_a K_d F(s)]$$

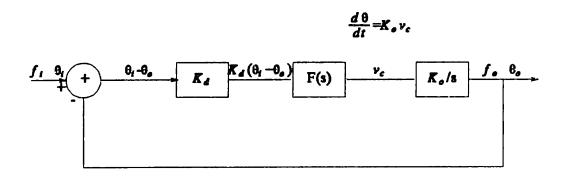


Figure 6 A Block Diagram of a PLL in the S Domain

Before examining the transient and steady state phase error  $\theta_s(s)$ , it is worthwhile to define the type and order of a PLL. Given that the PLL can be represented in more general terms by the feedback system in Figure 7 the type is defined by the number of poles of the loop transfer function located at the origin where the loop transfer function is given by G(s)H(s). [6] The order of the PLL is the highest degree of the characteristic equation

1+G(s)H(s)=0.

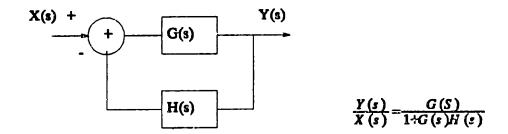


Figure 7 A General Block Diagram of a Feedback System

The response to three inputs, a step in phase, a step in frequency, and a ramp in frequency is of interest. It will be seen that the choice of filter affects the phase error. It is worthwhile to look at some possible filter choices. Several filters are described in Figure 8.

#### 332 STEADY STATE AND TRANSIENT PHASE ERRORS

Steady state error is the error after all the transients have died

$$\theta_e(t)_{standy state} = \lim_{t \to e} \theta_e(t)$$
.

From Laplace's final value theorem

$$\lim_{t\to a} \theta_a(t) = \lim_{t\to a} \epsilon \theta_a(\epsilon)$$
.

Remembering that the phase error is given by

$$\theta_s(s) = s\theta_s(s)/[s+K_sK_d]$$

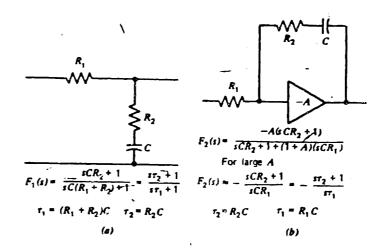
the steady state phase error can be expressed as

$$\lim_{t\to 0} \theta_s(t) = \lim_{s\to 0} [s^2\theta_t(s)]/[s+K_0K_d F(s)].$$

Given the following disturbances at the input:

Figure 8 Filters and Their Transfer Functions

## from reference [6]



Passive filter	Active filter
$\omega_n = \left(\frac{K_o K_d}{\tau_1}\right)^{1/2}$	$\omega_n = \left(\frac{K_o K_d}{\tau_1}\right)^{1/2}$
$\zeta = \frac{1}{2} \left( \frac{K_o K_d}{\tau_1} \right)^{1/2} \left( \tau_2 + \frac{1}{K_o K_d} \right)$	$\zeta = \frac{\tau_2}{2} \left( \frac{K_o K_d}{\tau_1} \right)^{1/2} = \frac{\tau_2 \omega_n}{2}$
$\tau_1 = (R_1 + R_2)C$	$\tau_1 = R_1 C$
$\tau_2 = R_2 C$	$\tau_2 = R_2 C$

$$H_{1}(s) = \frac{K_{o}K_{d}(s\tau_{2}+1)/\tau_{1}}{s^{2}+s(1+K_{o}K_{d}\tau_{2})/\tau_{1}+K_{o}K_{d}/\tau_{1}} \qquad H_{2}(s) = \frac{K_{o}K_{d}(s\tau_{2}+1)/\tau_{1}}{s^{2}+s(K_{o}K_{d}\tau_{2}/\tau_{1})+K_{o}K_{d}/\tau_{1}}$$

$$H_{1}(s) = \frac{s(2\zeta\omega_{n}-\omega_{n}^{2}/K_{o}K_{d})+\omega_{n}^{2}}{s^{2}+2\zeta\omega_{n}s+\omega_{n}^{2}} \qquad H_{2}(s) = \frac{2\zeta\omega_{n}s+\omega_{n}^{2}}{s^{2}+2\zeta\omega_{n}s+\omega_{n}^{2}}$$

A step in phase Cp, where Cp is the magnitude of the phase step in radians

$$\theta_t(t) = C_p$$
  $t \ge 0$   $\theta_t(s) = C_p/s$ 

A step in frequency Cv, where Cv is the magnitude of the rate of change of phase in rad/sec

$$\theta_i(t) = C_{\tau}t$$
  $t \ge 0$   $\theta_i(s) = C_{\tau}/s^2$ 

A ramp in frequency Ca, where Ca is the rate of change of frequency in rad/sec

$$\theta_t(t) = C_a t^2$$
  $t \ge 0$   $\theta_t(s) = 2C_a/s^3$ .

Then for a step input in phase the steady state phase error is

$$\lim_{t\to\infty} \theta_{\epsilon}(t) = \lim_{t\to 0} [s C_{\epsilon}] / [s + KoK_{\epsilon}] = 0$$

if F(0) > 0.

There is no steady state error due to a step in phase if F(0) is greater than zero. For a step in frequency (a phase ramp)

$$\lim_{t\to 0} \theta_s(t) = \lim_{s\to 0} C_s/[s + K_o K_d F(s)] =$$

 $C_*/[K_dK_*F(0)]$ 

where  $C_*/[K_2K_*]$  F(0)] is referred to as the velocity error or static phase error. For a ramp in frequency

$$\lim_{t\to\infty} \theta_s(t) = \lim_{s\to 0} [C_s/s]/[s + K_sK_dF(s)]$$

a second order loop is needed or the phase error blows up. Using the expression for a second order loop

$$\theta_s(s) = [s^2\theta_s(s)]/[s^2 + 2\delta w_s s + w_s^2]$$

then

$$\lim_{t\to a} \theta_s(t) = \lim_{s\to 0} C_s/[s^2 + 2\delta w_s + w_s^2]$$
 =  $C_s/w_s^2$  rad.

The steady state phase errors for type one, two and three loops are summarized in Table 1. The transient response of first and second order loops is given in Table 2. It can be seen that a type 3 yields better steady state errors than a type 2, and a type 2 better than a type 1. From the transient response (Table 2) it is evident that a second order loop tracks better than a first order loop. When tracking a frequency ramp, however, both the first and second order loop have a term that is linearly proportional to time. As time increases the phase error tends to infinity.

#### 333 ACQUISITION BEHAVIOR FOR PERIODIC PHASE DETECTORS

In an nth order loop there are n state variables (phase step, frequency step, frequency ramp, ect.), each corresponding to an intergrator in the PLL[4] Acquisition of the input signal can be divided into two parts, phase acquisition and frequency acquisition. Acquisition, unlike tracking, is nonlinear and can not be described using linear analysis. Acquisition behavior depends on the type of phase detector; several periodic phase detectors are outlined in Figure 9. The following discussion examines acquisition behavior for a periodic phase detector; acquisition for a charge pump phase detector will be discussed in a later section.

Before looking at the mathematics of acquisition, it would be helpful to define the following:

TABLE 1
Steady State Phase Errors for Various PLL's

	Type 1	Type 2	Type 3
Input Step in Position	Zero	Zero	Zero
Input Step in Frequency	Constant	Zero	Zero
Input Ramp in Frequency	Continual Increasing	ly Cons	tant Zero

Table 2 Transient Response of First and Second Order Loops

Transient Phase Error of Second-Order Loop,  $\theta_a(t)$  (in rad) (high loop gain;  $K_aK_a>>\omega_a$ )

	Phase Step ( $\Delta\theta$ rad)	Frequency Step (Δω rad/sec)	Frequency Ramp (Δώ rad/sec <sup>2</sup> )
<b>}&lt;</b> Ⅰ	$\Delta\theta \Big(\cos\sqrt{1-\zeta^2}\omega_n t\Big)$	$\frac{\Delta\omega}{\omega_n} \left( \frac{1}{\sqrt{1-\zeta^2}} \sin \sqrt{1-\zeta^2}  \omega_n t \right) e^{-\zeta \omega_n t}$	$\frac{\Delta\dot{\omega}}{\omega_n^2} - \frac{\Delta\dot{\omega}}{\omega_n^2} \left(\cos\sqrt{1-\zeta^2}\ \omega_n t\right)$
	$-\frac{\zeta}{\sqrt{1-\zeta^2}}\sin\sqrt{1-\zeta^2}\omega_n t\bigg)e^{-\zeta\omega_n t}$		$+\frac{\zeta}{\sqrt{1-\zeta^2}}\sin\sqrt{1-\zeta^2}\omega_n t\bigg)e^{-\zeta\omega_n t}$
<b>ζ−</b> i	$\Delta \theta (1 - \omega_n t) e^{-\omega_n t}$	$\frac{\Delta\omega}{\omega_a}(\omega_a t)e^{-\omega_a t}$	$\frac{\Delta\dot{\omega}}{\omega_n^2} - \frac{\Delta\dot{\omega}}{\omega_n^2} (1 + \omega_n t) e^{-\omega_n t}$
<b>∫</b> > 1	$\Delta\theta(\cosh\sqrt{\zeta^2-1}\ \omega_n t)$	$\frac{\Delta\omega}{\omega_n}\left(\frac{1}{\sqrt{\zeta^2-1}}\sinh\sqrt{\zeta^2-1}\ \omega_n t\right)e^{-\zeta\omega_n t}$	$\frac{\Delta \dot{\omega}}{\omega_n^2} - \frac{\Delta \dot{\omega}}{\omega_n^2} \left( \cosh \sqrt{\zeta^2 - 1} \ \omega_n t \right)$
	$-\frac{\zeta}{\sqrt{\zeta^2-1}}\sinh\sqrt{\zeta^2-1}\omega_n t\bigg)e^{-\zeta\omega_n t}$	· · · · · · · · · · · · · · · · · · ·	$+\frac{\zeta}{\sqrt{\zeta^2-1}}\sinh\sqrt{\zeta^2-1}\omega_n t\bigg)e^{-\zeta\omega_n}$

In a first-order loop, the resulting transient phase errors are simple exponentials:

$$\Delta\theta e^{-Kt}$$
 (phase step)
$$\frac{\Delta\omega}{K}(1-e^{-Kt})$$
 (frequency step)
$$\frac{\Delta\dot{\omega}}{K^2}(Kt+e^{-Kt}-1)$$
 (frequency ramp) from reference [6]

Figure 9 Various Phase Detectors

Inquit pagents	Cortesa	v/Krs
	Four-quadron martinizer	
;)} :==== ;;}		
• \\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\		- 1 1 1
	2 annum 11	- <u>1</u> - <u>1</u> -1,

from reference [7]

LOCK RANGE: the range of frequency overwhich the loop will acquire lock without skipping cycles (phase-lock)

LOCK TIME: the time to acquire phase-lock

PULL-IN RANGE: the range of frequencies overwhich the loop will eventually lock after skipping cycles (frequency lock)

PULL-IN TIME: the time to acquire frequency lock

PULL-OUT RANGE: the maximum frequency at which the VCO can be swept to acquire lock

The PLL must first acquire frequency lock, then once the input frequency equals the output frequency, the loop must acquire phase-lock. Total acquisition time is the pull-in time plus the lock time.

Given a sinusoidal phase detector, phase acquisition of the first order system can be described by the following:

$$\theta_o(t) = w_{contac} t + \int_{a}^{c} K_o K_d \sin \theta e \, dt + \theta_o(0).$$

Phase error is given by

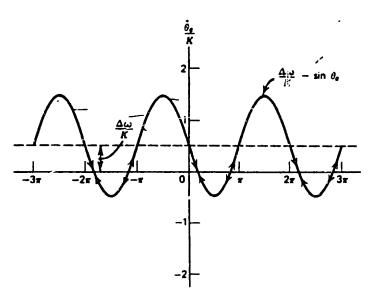
$$\theta_e = w_i t - w_{conter} t - \int_{\rho}^{t} K \sin \theta_e dt - \theta_e (0)$$

and

$$d\theta_e/dt = (w_l - w_{conter}) - K \sin \theta_e$$

The loop is locked when the time derivative of the phase error is zero [4] (See Figure 10, where  $\Delta w$  is  $w_i - w_{conter}$  and  $K = K_a K_d$ .) Each cycle has a stable null, therefore the loop will lock in one cycle. During frequency acquisition the VCO output moves closer to the input frequency. Pull-in times and pull-in ranges for various filters and phase detectors are listed in

Figure 10 Phase-lock of a First Order Loop



Phase-plane plot of first-order loop ( $\Delta\omega/K=0.5$ ).

from reference [6]

#### 3.4 CHARGE-PUMP PLL

Definite differences exist between PLL's using periodic phase detectors and PLL's using charge-pump phase detectors. Charge-pump phase detectors provide better phase accuracy and better frequency acquisition than periodic phase detectors. They can, however, have considerable output ripple that needs to be filtered before reaching the VCO.

In analyzing the Charge-pump PLL behavior, it is necessary to make certain assumptions. First, linearity requires small phase error, and linear analysis techniques can be used as in the case of the periodic phase detector provided that phase error is small. Second, the charge pump produces an analog signal from the digital output of the phase detector. This is a discrete time system. Continuous time analysis can be used, however, if the loop bandwidth is significantly less than the input frequency.

The charge-pump PLL shown in Figure 12 has three states Up (U), Down (D), and Null (N). When the signal at R leads the signal at V, the edge of R sets U high and the next edge of V sets U low. As long as R leads V, D is low. When V leads R, the edge of V sets D high, and the next edge of R sets D low. As long as V leads R, U is low. When in state U, U is high and D is low; in state D, D is high and U is low; and in state N, both U and D are low. When either in state up or down, current i, is delivered to the loop filter (when in the null state the output of the phase detector is an open circuit and no current is delivered to the loop filter).

The current  $i_p \operatorname{sgn}\theta_e$  is delivered to  $Z_F$  for  $i_p = \theta_e / w_i$  seconds (on time) each cycle of  $2\pi / w_i$ . The error current is then given by  $i_d = i_p \theta_e / 2\pi$ . The transfer function and error are given by the following:

$$\theta_o(s)/\theta_i(s) = (K_o I_p Z_F(s))/(2\pi s + K_o I_p Z_F(s)) = H(s)$$
 and  $\theta_o/\theta_i = 1 - H(s)$  for any  $Z_F$ .

Figure 11 Aquistition and Lock Behavior for Various Phase Detectors

•	Exclusive-OR gate		
Phase frequency comparator	Active filter	Passive filter	
Hold-in range	Aw <sub>H</sub> → ∞	$\Delta\omega_{H} = \frac{\pi}{2} \frac{K_{o}K_{d}}{N}$	
Capture range $\tau_2 \neq 0$	$\Delta\omega_L \approx \pi \zeta \omega_s$ $\Delta\omega_L \approx \frac{\pi}{\sqrt{8}} \omega_s$		
$r_2 = 0$			
Pull-in range		$\Delta \omega_P \approx \frac{\pi}{2} \sqrt{\frac{2\zeta \omega_n K_o K_d}{N} - \omega_s^2}$ 4 $\Delta \omega_R^2$	
Pull-in time	T <sub>P</sub> :	$= \frac{4}{\pi^2} \frac{\Delta \omega_0^2}{\zeta \omega_n^3}$	
Pullout range			
ζ<1	Aman 2	1.8ω <sub>s</sub> (ζ + 1)	
ζ > 1	Zmb0 ~	Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y	

Edge-triggered

JK master/slave flip-flop

Active filter

Passive filter

$$\Delta \omega_{H} \rightarrow \infty \qquad \Delta \omega_{H} = \pi \frac{K_{o}K_{d}}{N}$$

$$\Delta \omega_{L} \approx 2\pi \zeta \omega_{a}$$

$$\Delta \omega_{L} \approx \frac{\pi}{\sqrt{3}} \omega_{a}$$

$$\Delta \omega_{P} \approx \pi \sqrt{\frac{2\zeta \omega_{p}K_{o}K_{d}}{N}} \qquad \Delta \omega_{P} \approx \pi \sqrt{\frac{2\zeta \omega_{p}K_{o}K_{d}}{N} - \omega_{n}^{2}}$$

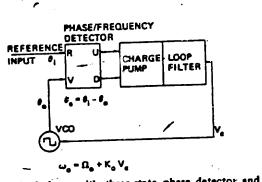
$$T_{P} \approx \frac{\Delta \omega_{o}^{2}}{\pi^{2}\zeta \omega_{n}^{3}}$$

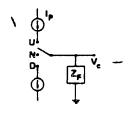
$$\Delta \omega_{PO} = \pi \omega_{n} \exp\left(\frac{\zeta}{\sqrt{1-\zeta^{2}}} \arctan \frac{\sqrt{1-\zeta^{2}}}{\zeta}\right)$$

$$\Delta \omega_{PO} = \pi \omega_{n} \exp\left(\frac{\zeta}{\sqrt{\zeta^{2}-1}} \arctan \frac{\sqrt{\zeta^{2}-1}}{\zeta}\right)$$

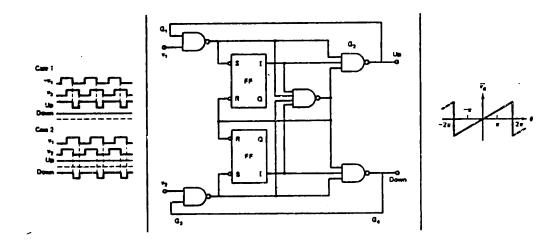
from reference [7]

Figure 12 A Charge-Pump PLL





Phase-lock loop with three-state phase detector and charge pump.



from reference [12]

The static phase error is given by

$$(2\pi(w_1-w_c))/(K_{\bullet}i_{\bullet}Z_{F}(0))$$
 rad.

Leakage currents (due to input bias currents of an opamp filter and switches in the charge pump) cause a leakage phase error

 $\theta_b = i_b 2\pi/i_p$  where  $i_b$  is the leakage current. Gardner has compared phase errors in loops with periodic phase detectors with those in charge-pump PLL's and found that typical results for the later case are on the order of  $2\pi \times 10^{-9}$  while those of the former are on the order of  $2\pi \times 10^{-4}$  [7][8]

Assuming that the bandwidth is small enough for continuous time analysis the transient response is comparable to that of loops with periodic phase detectors. Acquisition time is improved. Acquisition time is discussed in reference 14.

#### 35 STABILITY AND NOISE

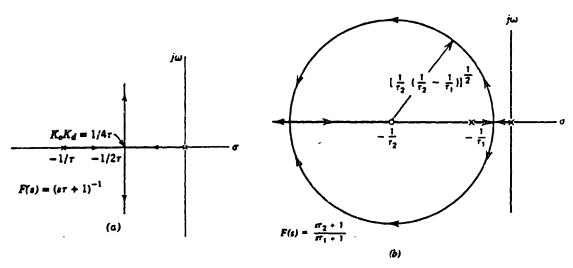
#### 351 THE CONTINUOUS TIME CASE

The stability of the loop is affected by the choice of filter as can be seen from the root locus of second and third order loops in Figure 13. In a continuous time system, first and second order loops are unconditionally stable, but the stability of a third order loop is dependent on loop gain. The poles of the third order loop enter the right half plane for low values of gain. Loop stability can also be determined from the phase margin where the phase margin is given by

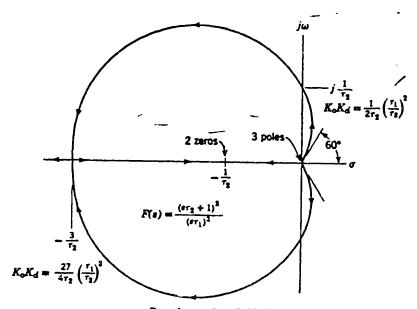
where the open loop gain is

K.K. F(s)/s.

Figure 13 Root Locus of Second and Third Order Loops



Root-locus plots for second-order loops: (a) lag filter; (b) lag-lead filter.



Root locus plot of third-order loop.

from reference [6]

Since non-ideal devices are used in any real circuit, additional phase shift can be introduced. Phase margin should be large enough to prevent this additional phase shift from causing instabilities. The larger the value of  $K_aK_d$ , the larger the phase margin and the more stable the loop.

A PLL often is used to detect a signal imbedded in noise. Like any filter, the narrower the bandwidth, the less noise is passed. Noise bandwidth is given by

$$B_L = (H(jw)^2) kdf$$
 which, for a second order loop

with an active filter is

$$B_L = K/4 (1+a^2/K) = w_a/2(8+1/48)$$

where 8 is the damping ratio, a is a constant and K is the loop gain.

Stability and noise suppression have conflicting requirements. Stability requires a large bandwidth, and good filtering requires a small bandwidth. A summary of design criterion and tradeoffs is discussed in section 36.

#### 352 THE DISCRETE TIME CASE

In a charge-pump PLL, discrete time operation causes stability problems even for small bandwidths. A second order loop is not unconditionally stable. If the gain gets too large, the poles move outside the unit circle implying instability. Gardner discusses stability issues in more detail in reference [12].

#### 36 A SUMMARY OF DESIGN CRITERIA

It is desirable to design a stable loop with good noise rejection, fast acquisition, and the ability to acquire lock and to track a signal once locked over a wide range of frequencies. Some of these criteria conflict with others. The loop gain affects the phase error and the hold-in range. A high gain results is small phase error and large hold-in range. (Loop gain is

not the only parameter that effects the hold-in range; other parameters, the active filter in particular, are may saturate before the extreme limits of the hold-in range are reached. In high gain loops only a couple of degrees phase error may be tolerated before saturation.) Filter components determine the loop bandwidth. Bandwidth effects noise suppression, pull-in time, hold-in range and stability. A narrow bandwidth will minimize output jitter due to external noise while a large bandwidth will minimize transient error, internal jitter due to VCO noise, and provide the best tracking and acquisition properties. The next section will discuss possible methods for eliminating some of the conflicting requirements.

#### 4. EXISTING SYSTEMS

The Autokon 8400 Laser Scanner uses a variable divide-by-N PLL to track the grating signal described in Chapter 2. This PLL uses an MC4044 charge-pump phase detector, a discrete VCO, and a second order active filter to track the grating signal. The PLL is designed for low phase error, and additional circuitry that detects the absence of the signal and supplies a pseudo signal when the signal is absent, hastens acquisition. Some other loops utilize different bandwidths for tracking and acquisition or sweep the VCO during acquisition. Another PLL uses an open loop frequency prediction, and the loop only needs to correct for differences between the prediction and the actual signal. Mathematical analysis of the third order loop becomes much more involved than that of a second order loop. A second order filter (a third order loop) can track a frequency ramp with small phase error, but it is not unconditionally stable. Any decrease in gain may cause the closed loop poles to enter the right half plane, and the system will become unstable. Since the countdown ratio, N, is included in the gain expression, changing the countdown ratio could also lead to instabilities.

#### 50 DESIGN CRITERION FOR THIS PLL

The system under design is a variable divide-by-N PLL that will track the grating signal of the laser scanner. The system should track, with small phase error, a smoothly varying input frequency (due to the sinusoidal scan). Each line consists of a burst of pulses preceded and followed by a blank area. The loop needs to acquire lock at the beginning of every scan line.

The proposed system is a second order loop consisting of a charge-pump phase detector, a first order active filter, an integrated circuit VCO, and a variable counter in the feedback loop. In addition, gap detection and pseudo signal circuitry aid frequency acquisition while resetting the counters on the first pulse zeros the phase of the VCO with respect to the input. Additional frequency prediction circuitry predicts the frequency of one pulse by measuring the frequency of the last pulse and supplies the corresponding voltage to the VCO on an open loop basis. The feedback loop will correct for differences between the input and the prediction. (See Figure 14)

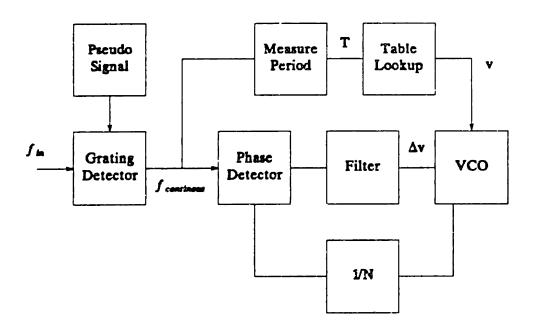


Figure 14 A General Block Diagram of the Proposed circuit

#### 51 CHOOSING THE INPUT AND OUTPUT FREQUENCY RANGE

Before discussing the desired tracking and acquisition properties of the PLL, it is necessary to determine the range of input and output frequencies. First, the loop should reduce and enlarge from 20 to 200 percent in 1 percent steps. It has already been noted that for optical reasons there should be multiple pels for each grating bar. If there are 100 pels per grating bar, the output frequency will vary from 20 to 200 times the input frequency. Assuming a 13 inch grating and 216 lines per inch (lpi), grating bars are placed 1/216 inches apart. Assuming a 60 Hz scan and nominally a 65 kHz frequency at the center of the grating, it is necessary to chose the frequency at the edges. Referring to Figure 1, the velocity as a function of time is

 $v(t)=dx/dt=dx/d\theta d\theta/dt$ .

The frequency a the edge will be chosen to correspond to a variation of velocity at the center

to velocity at the edge of 1 to 15 or

$$v(t)_{x=0}/v(t)_{x=5}=1/15$$

where x=0 inches corresponds to the center of the grating and x=6.5 inches corresponds to the edge of the grating. From Figure 1

and

$$\theta(t) = \theta_m \sin(wt)$$

and

$$v(t)=(F/\cos^2\theta)$$
 628 rad/deg  $\theta_m$  w cos(wt)

where  $\theta_m$  is the angle at which the velocity is zero. Chosing  $\theta_m$  corresponding to  $x_m = 8.8$  inches, the ratio of velocity at the center to velocity at the edge is 1.34 (which allowing for a 5 percent variation in frequency is approximately 1.5). (See Appendix A).

It was seen in Figure 2 that the grating bars are placed an equal distance,  $\Delta x = 1/216$  inches, apart but that the time from one bar to the next is longer at the edges than in the center because of the sinusoidal scan. It is possible to calculate the time to move from one pulse to the next,  $\Delta t$ , by subtracting the total time to move from x=0 to one pulse from the total time to move from x=0 to the next pulse where

$$t=1/w \arcsin(\arctan(x/F)/\arctan(8.8/16))$$
 and  $\Delta t = t_T t_2 t_3$ 

The frequency at each grating bar can be approximated by  $1/\Delta t$ . The time between the two adjacent bars at the edges is

and

$$1/20.57$$
 us = 49 kHz.

At the center

as expected. Assuming a 5 percent variation in frequency

$$49 \text{ kHz} \times 05 = 25 \text{ kHz}$$

and

$$65 \text{ kHz} \times 05 = 33 \text{ kHz}.$$

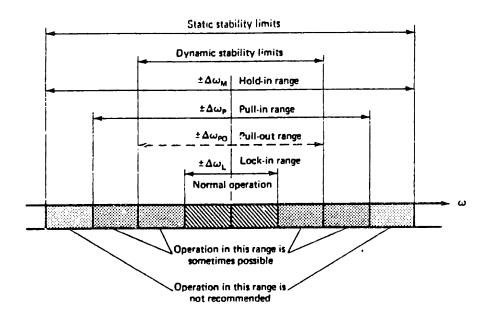
The input frequency can vary from 465 kHz at the edge of the grating to 683 kHz at the center of the grating. This is the minimum range of frequencies that the PLL must track. Since the PLL must acquire lock at the edge of the scan line, it must lock on to frequencies ranging from 465 to 515 kHz.

### 52 PHASE AND FREQUENCY LOCK

#### **521 THE GAP DETECTOR AND PSEUDO SIGNAL**

The input signal must be within a certain range of frequencies, the lock range, centered around the center frequency of the VCO (See Figure 15); if the signal is outside the lock range, additional time is required for the signal to pull-in. Ideally, the input and the output should be locked in frequency and in phase at the beginning edge of the line, but the input still is not phase-locked. Once locked, the loop can be designed to track while the signal is present, but when the signal is absent, the loop loses both phase and frequency lock.

Figure 15 Static and Dynamic Ranges



from reference [7]

The signal occurs in bursts corresponding to each scan line; the loop (without the gap detector and pseudo signal) will lose lock-in the blank areas, and the VCO will operate at its free-running frequency. The gap detector detects the absence of the input signal, and the pseudo signal is applied to the phase detector in place of the signal. The pseudo signal is a fixed frequency signal set to match the frequency of the signal at the edge of the scan line. Even though the grating signal contains blank areas, the PLL sees only a continuous signal and never loses frequency lock (provided the remainder of the loop is properly designed).

#### **522 PHASE LOCK: RESETTING THE COUNTERS**

Though the pseudo signal and the grating signal are the same frequency at the edge of the scan line, most probably they will not coincide in phase. The signal will be locked in frequency but will see a phase step at the beginning of each scan line. The Autokon 2400 allows an extra half inch (10 grating bars) on either side of a 12 inch image for the loop to acquire lock. If the divide-by-N counter in the feedback loop of the PLL and the VCO are reset at the edge of the scan line, it should be possible to zero the phase of the VCO with respect to the grating signal. For example, if N is set to 100, the counter puts out one pulse (that goes to the phase detector) for every 100 pulses it counts coming from the VCO. If the VCO signal is synchronized to the input signal, the counter should start counting at the edge of the input signal. Then apply a phase step at the edge of the line; the VCO may not be synchronized with the input, and the counter will not start counting at the edge of the first pulse but sometime before of after it. Resetting the divide-by-N counter to zero when the first pulse, the edge of the scan line, is detected, will force the counter to start counting at the edge of the first pulse. This should synchronize the input and the output on the first pulse. The PLL should be phase-locked after one grating bar, not ten (assuming that the filter parameters are properly chosen).

#### 53 PREDICTION

The basic loop consists of a phase detector, filter, VCO and a divide-by-N counter. Ideally, the first order active filter has infinite hold-in range, but in actuality the tracking range is limited by the saturation of the opamp in the active filter. The opamp only tolerates a limited range of input voltages, and its output can not exceed its power supply. The PLL is also limited by how fast it can respond to changes in the input. The charging and discharging filter components limit the speed. Given a large enough frequency step at the input, transients will cause the loop to lose lock and skip several cycles before locking up again.

Tracking can be improved by predicting the frequency at any bar on the grating and applying the corresponding voltage to the VCO on an open loop basis. Given a 60 Hz scanning frequency and a 13 inch grating with 216 lpi, the frequency at any bar on the grating can be calculated. (See Appendix B.) From Appendix B it can be seen that the frequency is varying slowly from pulse to pulse. The scan frequency may vary slightly, and the values calculated in Appendix B may vary accordingly. A more accurate frequency prediction is obtainable if the frequency of each pulse is measured as the loop is scanning. Since it can seen from the calculation in Appendix B that the largest frequency difference between the grating pulses is at the edges, and this is only a difference of several hundred hertz, the measured value of frequency on one pulse can be used to approximate the value on the next pulse. The approximation may deviate from the actual value by several hundred hertz, but the feedback in the conventional PLL should correct for this small deviation from the prediction. The VCO voltage corresponding to the measured grating frequency can be found from a lookup table containing the voltage to frequency characteristic of the VCO. The predicted voltage from the table and the output of the filter (the feedback voltage) can then be summed and applied to the VCO.

The control voltage at the output of the filter and hence the error voltage at the output of the phase detector will be reduced by the addition of the prediction voltage. For example,

from Appendix B the tenth grating pulse from the edge of the grating has frequency 52.075 kHz, and the eleventh has frequency 52.361. If the free-running frequency of the VCO were set at 49 kHz, corresponding to the frequency at the edge of the grating, the control voltage at the edge of the grating would be proportional to the difference between the input frequency and the free-running frequency or zero. Without prediction, the control voltage at the eleventh pulse would be proportional to the difference between 52.361 kHz and 49 kHz. With prediction, the control voltage on the eleventh pulse would be proportional to the difference between the frequency on the eleventh pulse and the frequency of the tenth pulse, 286 Hz.

#### **60 CIRCUIT DESIGN**

#### **61 CHOICE OF FILTER PARAMETERS**

A filter is necessary to smooth the output ripple coming from the charge-pump phase detector. A first order active filter with transfer function

$$\frac{T_2s+1}{T_1s}$$

shown in the PLL in Figure 16 will provide small steady state phase error and good tracking. Ideally, the static limits will provide an infinite hold-in range, though in practice opamp saturation will limit tracking.

The transfer function of the loop is given by

$$\theta_a/\theta_i = K/T_1(T_2s+1)/(s^2+s(KT_2/T_1)+K/T_1)=$$

$$(2\delta w_n s + w_n^2)/(s^2 + 2\delta w_n s + w_n^2)$$

where

$$K=K_aK_a/N$$
,

$$T_1 = K/w_a^2 = R_1C$$

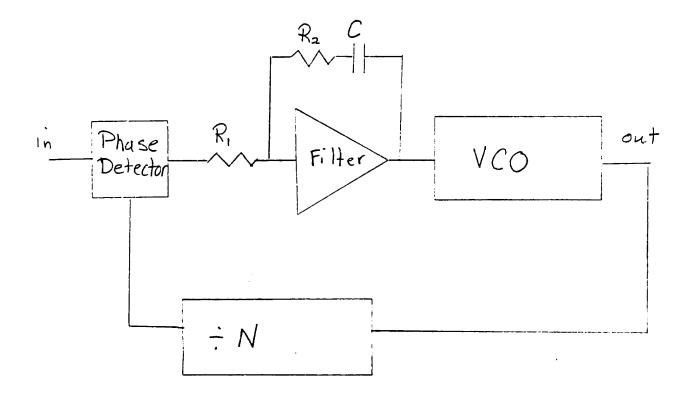
and

$$T_2 = 28/w_a = R_2C$$

Chosing  $w_n$  and 8 for lock within 10 pulses or approximately 200 us, the following parameters where chosen:

$$w_{\rm a} = 3070 \text{ rad/s}$$

Figure 16 PLL with First Order Active Filter



8 = 33

 $T_1=1.2 \text{ m/s}$   $R_1=12 \text{ kohms}$  C=0.1 uF

 $T_2=2.15 \text{ ms}$   $R_2=21.5 \text{ kohms}$ .

#### **62 TRACKING CONSIDERATIONS**

Both the static and dynamic behavior of the loop must be considered when evaluating the tracking behavior. The static tracking parameters for a loop with a charge-pump phase detector are simply those of a sinusoidal or X-OR phase detector multiplied by  $2\pi$ . Static parameters are given by the following:

lockrange =  $2\pi K_o K_d / N(T_2/T_1)$ 

=2 = 28w\_ rad

hold-in range=2# K.K./N F(0)=infinity

rate limit=2 w w 2 rad/s2

A second order loop has zero steady state error due to a step in phase; the loop will not lose lock as a result of a phase step. Though the second order loop should not lose lock permanently when a frequency step is applied (the hold-in range is infinite), it may skip cycles due to the transient phase error before it eventually locks up again. The pull out frequency, the frequency step below which the loop will not skip cycles due to transients, has been determined empirically for second order loops using sinusoidal, X-OR, and JK Master Slave Flip Flops. [4][11]

 $w_{aa} = 1.8w_a (1+8)$ 

for the sinusoidal and X-OR phase detector, and

$$w_{po} = \pi w_s \exp(\delta/(1-\delta^2))^{1/2} \arctan(1(1-\delta^2))^{1/2}/\delta)$$

for a JK Master Slave Flip Flop.

It should be emphasized that these are approximate expressions for equations that can not be solved analytically. Further, these are expressions for periodic phase detectors. Charge-pump phase detectors are not periodic, and these expressions are not necessarily valid for PLLs using charge-pump phase detectors. Frequency step response of the PLL under design will be measured and discussed in a later section. It should also be emphasized that the above expressions do not consider saturation which may limit PLL performance even further.

## 63 IMPLEMENTATION OF PREDICTION CIRCUITRY

The proposed circuitry should predict the frequency at one grating bar by measuring the frequency at the previous grating bar and sending the corresponding voltage to the VCO. This is to be accomplished by measuring the period (period is more convenient to measure than frequency), using the period to look up the VCO voltage in a lookup table (a prom with the voltage to 1/frequency characteristic of the VCO) and sending the digital output of the table to a DAC to convert it to an analog voltage suitable for the VCO input.

The prediction circuitry will consist of three sections, period measurement section, a table lookup section, and a DAC section. First, the type of table that can be constructed depends on the VCO. After chosing a linear VCO and measuring its output frequency at several values of frequency, it is possible to interpolate to find the intermediate values. Chosing a frequency range of 39.6 kHz to 71 kHz, it should be possible to measure the period of the input signal and lookup the corresponding veltage over the entire range of possible input frequencies (46.5 kHz to 68.3 kHz).

Frequency (or period) resolution of the table is determined by the accuracy of the voltage to frequency characteristic measurement and accuracy of the period measurement. Assuming that the period is measured in large enough intervals that it and not the voltage to frequency characteristic is the limiting factor, the following examination of the period measurement will determine the resolution of the table. The fixed frequency oscillator (11.36 MHz) in Figure 17 puts out pulses of period 88ns. The number of oscillator pulses in one grating pulse period can be counted to determine the period of the grating pulse (the number of oscillator pulses times 88ns is the grating pulse period). Since 88ns is simply a scaling factor, the number of oscillator pulses per grating period can be used as the address of the prom. The maximum number of oscillator pulses will occur at the minimum frequency

number maxpulses = 
$$\frac{1}{f_{\text{maxgrating 88ns}}}$$
 =1/(39.6 kHz x 88ns)=287 pulses

and the minimum number of pulses will be at the maximum frequency

number max pulses = 
$$\frac{1}{\int mingrating 88ns}$$
 =1/(71 kHz x 88ns)=160 pulses.

There are 128 possible values of the pulse count between 160 and 287. The frequency and corresponding VCO voltages for the 128 possible values of the pulse count were calculated and stored in the lookup table. (See Appendix C.) The pulse count is the address of the prom; it would be more convenient to address locations 0 through 127 than 160 through 287 (because of space considerations); this can be accomplished by subtracting 160 from each value between 160 and 287. The divide-by-N counter in the feedback loop can take on values between 20 and 200; there are ten voltage to frequency curves corresponding to ten percent steps in N stored in the lookup table. (The PLL has one percent steps from N=20 to 200 even though there are only ten curves stored in the lookup table; it should not be necessary to have a different curve for each N.) Therefore 1280 prom locations are needed to store all the possible voltage values.

The VCO needs an analog control voltage between 0 and about 4 volts. If the lookup table has 12 bits of resolution, the VCO voltages stored in the prom can assume values from 0 to 4095 (22-1). This is particularly convenient since one least significant bit (LSB) can correspond to 1mV. The DAC can then convert the digital voltages, 0000 to 4095, to analog voltages ranging from 0 to 4095 volts. Six 1024 by 4 Proms are needed for 12 bits of VCO voltage resolution and 1280 addresses. (Actually 12 bits of resolution are not necessary; this section was designed before the resolution of the frequency measurement was decided upon and was left in the later design for convenience, especially in the digital to analog conversion.) Three proms (prom A) are used for six values of N between 20 and 120, and three (prom B) for the remaining four values of N between 140 and 200. A 1024 by 4 prom has 10 address lines; addresses 0 through 6 (A0-A6) are the pulse count (0 through 127), and addressed 7 through 9 (A7-A9) select the N where the following A7-A9 correspond to the following values of N:

A9 A8 A	.7 N	PRO	DM
0 0 0	20	A	
0 0 1	40	A	
0 1 0	60	A	
0 1 1	80	A	
1 0 0	100	A	
1 0 1	120	A	
0 0 0	140	В	
0 0 1	160	В	
0 1 0	180	В	

### 64 GENERAL DESCRIPTION OF CIRCUITRY IN THE BLOCK DIAGRAM

Figure 18 shows the block diagram of the gap detection, pseudo signal, phase zeroing, and conventional PLL circuitry. K1 generates the fixed frequency pseudo signal. The gap detector, K2 and L1, detects the presense or absence of the input signal; it outputs the input signal when it is present and the pseudo signal when the input is absent. A2, A4, and L6 zero the phase of the VCO with respect to the input frequency at the beginning of each scan line. N3 sums the feedback correction voltage with the prediction voltage from the DAC; The output of N3 is the control voltage. The phase detector, filter, VCO, and divide-by-N counter (N6, N3, N1, and M1) comprise the conventional loop. (K1 and K2 refer to actual circuit components.)

Figure 17 described the prediction circuitry. A4, B4, and C4 make up the system clock, and B5 synchronizes the input signal to the clock. A1 and A2 count the number of oscillator pulses in one input pulse; C5 detects the end of the input pulse and produces the LOAD/RESET that first, causes B1 and B2 to latch on the number of oscillator pulses in one input pulse and second, resets the counter. E2 and E3 subtract 160 from the number of oscillator pulses per input pulse; J1-J6, C1-C3, E5, and E6 comprise the lookup table; and F4 does the digital to analog conversion.

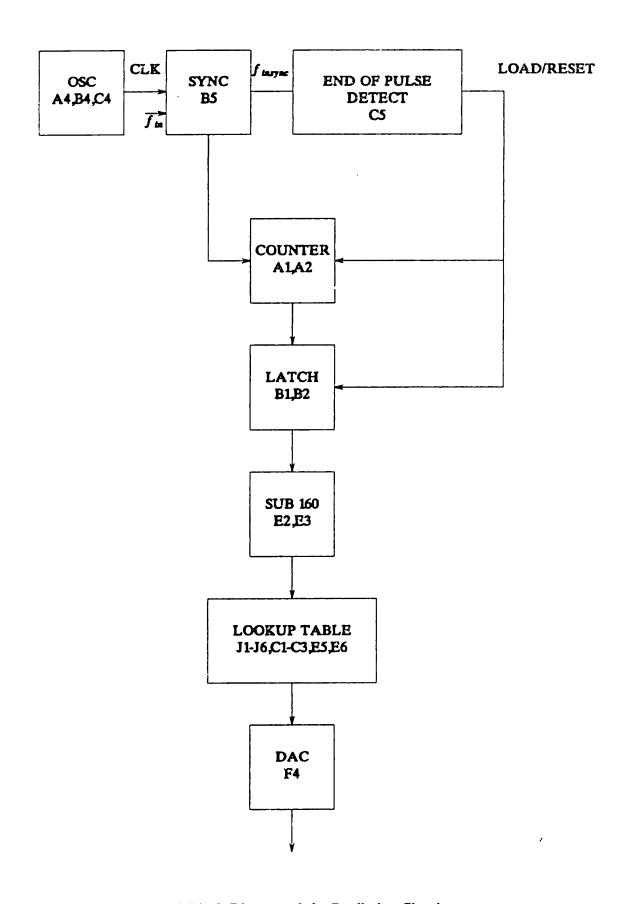


Figure 17 Block Diagram of the Prediction Circuitry

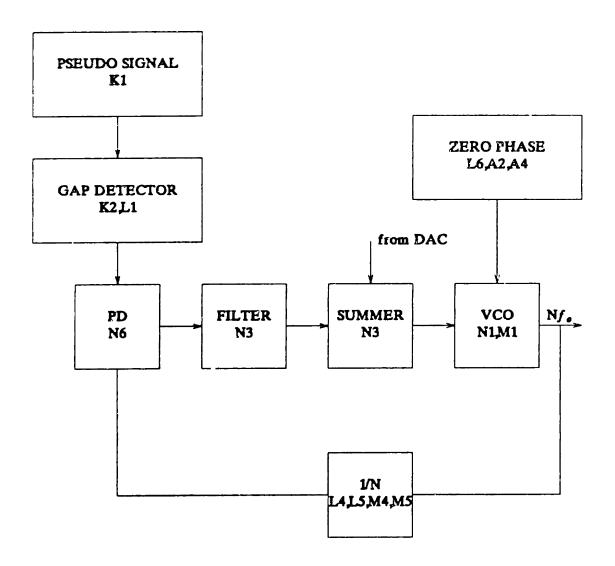


Figure 18 Block Diagram of the Circuitry

#### 7. RESULTS

The PLL was tested over a range of tracking frequencies from 46.5 kHz to 68 kHz. At N=20 and N=40 the loop tracks with very little jitter. At N=60 the loop tracks with some jitter. At N=80 to 200 the loop tracks with a little jitter. Jitter appears to be introduced by the changing prediction voltage. A filter at the output of the DAC should smooth the output. This was tried, but the filter capacitor required finite time to change and discharge, and this substantially reduced the step response performance. (It is likely that the filter time constant was not properly chosen.) Previously a different DAC with a smoother output was employed.

Appeared to produce less jitter, but the final results with this DAC were not recorded since its plus and minus supply leads were exchanged during the testing, and the DAC was damaged. Upon inquiry, it was discovered that the part was obsolete, and it was not possible to replace it and continue testing. This suggests that it may be possible to improve performance by using a better DAC.

#### 71 FREQUENCY STEP RESPONSE

The previous results were obtained by changing the input frequency very slowly in small increments by turning the frequency dial on the function generator. The following results were obtained by applying a step in frequency to the input of the PLL. A 60 Hz square wave from one function generator was used as the voltage controlled input signal of a second function generator. The resulting output of the second function generator was a step in frequency from 50.1 kHz to 66 kHz at 60 Hz for N=20,60, and 100 through 200 and a step in frequency from 47.6 kHz to 62.5 kHz at 60 Hz for N=40 and 80. Given a linear VCO, a step in frequency at the input should result in a voltage step in the control voltage at the input of the VCO. The control voltage with and without the prediction is shown in figure 19. Without the prediction the PLL time constants are not sufficient; the effects of charging and discharging are seen. The loop may eventually lock after skipping cycles if the step is applied slowly

enough (at least less than 60 Hz), but at 60 Hz the loop can not track this frequency step. With the prediction, however, the tracking is much improved as seen in figure 19. The frequency step response in Figure 19 is shown for N=20, N=40, N=80, and N=200. N=60 and N=100 to 180 all exhibited less overshoot and faster settling time than N=200.

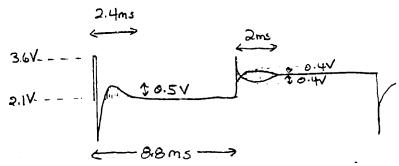
#### 72 PHASE ACQUISITION RESULTS

Lock time was measured by observing the duty cycle at the output of the phase-detector. Since in actuality, this is a discrete time system, it is possible to look at each cycle. The duty cycle should decrease as the loop acquires phase-lock. See the phase-lock results in Figure 20; the first ten pulses of phase-detector output are shown for N=100. The duty cycle for the sixth and tenth pulses for the remaining settings of N are listed in the figure. The counters and VCO were reset and phase acquisition was achieved in ten pulses.

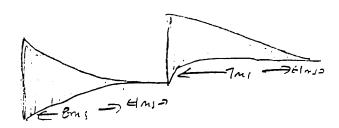
Figure 19 (a)

## FREQ STEP RESPONSE at 60 Hz from 50.1 kHz to 66 kHz

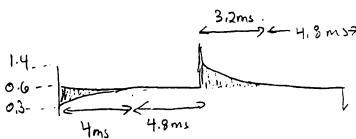
with prediction, N=200



without prediction



# FREQ STEP RESPONSE at 60 Hz from 50.1 kHz to 66 kHz with prediction, N=20



without prediction

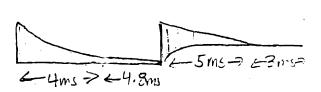
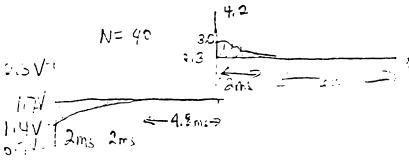
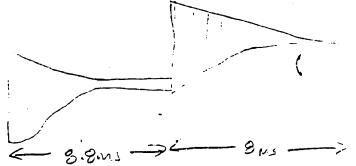


Figure 19 (b)

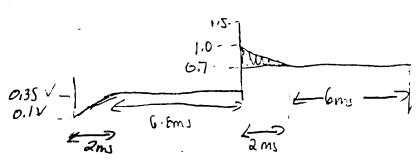
FREQ STEP RESPONSE at 60 Hz from 47.6 kHz to 62.5 kHz with prediction, N=40



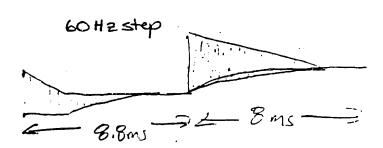
without prediction



FREQ STEP RESPONSE at 60 Hz from 47.6 kHz to 62.5 kHz with prediction, N=80



without prediction



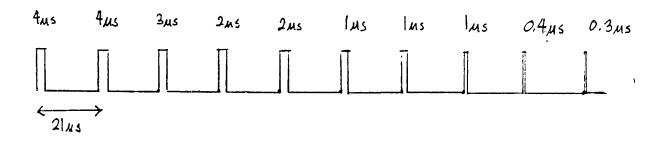


Figure 20 Phase Detector Output at N=100 Freq=476 kHz

N	Duty Cycle at 6th pulse	Duty Cycle at 10th Pulse
	(%)	<del>(%)</del>
20	95	71
40	9 <i>5</i>	7 <i>5</i>
60	9 <i>5</i>	4.8
80	95	<b>75</b>
100	48	29 (typical)
120	95	7.1
140	95	7.1
160	95	7.1
180	95	7.1
200	9.5	71 (worst case)

#### 8. CONCLUSIONS

The PLL tracks over the desired range of frequencies but not without jitter. The frequency step response of the loop is improved with the addition of the prediction circuitry. Phase-lock is sufficient but has room for improvement; phase acquisition is not as rapid as originally planned.

Jitter can cause serious problems in graphic arts applications. Jitter due to the chargepump phase-detector was not taken into consideration in the design. The VCO tracks voltage steps resulting in "phase excursions,"  $\theta_a$ , during each pump pulse where

$$\theta_{a} = 2\pi K \Theta_{a} V_{W_{a}}$$

where the phase excursion vanishes for  $\theta_s$  =0 since pump pulses vanish for zero phase error. [12] It should be possible to reduce the jitter by lowering the gain since from the above expression it can be seen tha jitter is proportional to gain K. Lowering the gain might also improve the stability margin. Jitter might also be reduced (as previously mentioned) by smoothing the output of the DAC. DAC output might also be smoothed by using linear interpolation to change the output voltage linearly instead of in steps.

A discrete VCO might improve loop performance. The 74LS626 was chosen for linearity, but it should be possible to design a sufficiently linear discrete VCO. It is possible that a discrete VCO would have less internal noise than an integrated circuit VCO.

The predicted value of the next pulse might be improved by predicting the "exact value" (with some error of course) — exact value meaning trying to predict the actual value of the pulse, not approximating it by the value of the previous pulse. A better prediction might also be achieved by measuring the grating frequency more accurately.

Faster lock might more easily be achieved by using a discrete VCO. The original design mistakenly did not take phase-lock, only tracking, into consideration when chosing filter parameters. Consequently, the first filter needed forty pulses to lock even when using the fast lock scheme. Changing the filter parameters to the present ones, lock was achieved in ten pulses as in the Autokon. A better prediction scheme might also contribute to faster lock.

## APPENDIX A

The following is a calculation of the ratio of the velocity at the center of the grating to the edge of the grating, assuming maximum deflection  $\theta_m$  at  $x_m = 8.8$  inches. (See Figure 1.)

$$v(t)=F/\cos^2\theta$$
 628 rad/deg  $\theta_m$  wcos(wt)

where

$$\theta = \arctan(x/F)$$

wt =
$$\arcsin(\theta/\theta_m)$$
= $\arcsin(\arctan(x/F)/\arctan(x_m/F))$ 

then in terms of position x

$$v(t)_{x=0}/v(t)_{x=6.5} =$$

$$\frac{\cos(\arcsin(0))}{\cos^2(0)} \frac{\cos^2(\arctan(6.5/16))}{\cos(\arcsin(a)} = 1.34 \text{ where}$$

 $a = \arctan(6.5/16)/\arctan(8.8/16)$ 

## APPENDIX B GRATING FREQUENCY AT EACH GRATING BAR

The following values were calculated using the method in section 5.1, where the frequency at any grating bar is approximated by the inverse of the time to move from one grating bar to the next. The grating bars are numbered sequentially starting at zero at the center and ending at 139 at the edges. The calculation is given for one half of the grating because of symmetry around the center of the grating.

grating	1/△t	grating	1/∆t	grating	1/∆t
bar	(Hz)	bar	(Hz)	bar	(Hz)
1 2 3 4 5 6 7 8 9 10 10 11 12 13 14 15 17 18 19 20 21 21	65481 65480 65477 65474 65470 65465 65451 65452 65432 65432 65422 65410 65397 65383 65368 65351 65315 65296 65275 65253 65230	22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43	65206 65181 65155 65127 65099 65038 65005 64972 64937 64901 64864 64745 64745 64760 64615 64569 64522 64473 64423	44 45 46 47 48 49 50 51 52 53 55 57 58 60 61 62 64	64372 64319 64265 64209 64153 64094 64034 63973 63910 63846 63780 63713 63644 63574 63574 63501 63428 63352 63275 63197 63117 63035

5

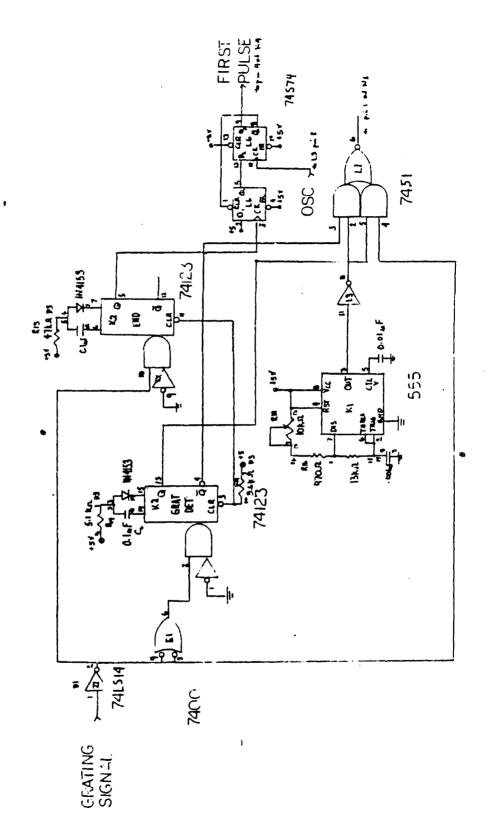
grating bar	1/△t (H2)	grating bar	1/△t (Hz)
66 67 68 69 71 73 74 75 77 78 88 88 88 89 99 99 99 99 99 99 99 99 99	(Hz) 62951 62866 62779 62689 62599 62505 62411 62314 62216 62115 62013 61908 61802 61693 61582 61470 61354 61238 61117 60996 60872 60745 60617 60486 60351 60216 60351 60216 59934 59791 59644 59494 59342 59186 59029 58868	100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137	(Hz) 58704 58737 58193 5
		138 139	49569 49227

# APPENDIX C TABLE OF VCO VOLTAGES STORED IN THE LOOKUP TABLE

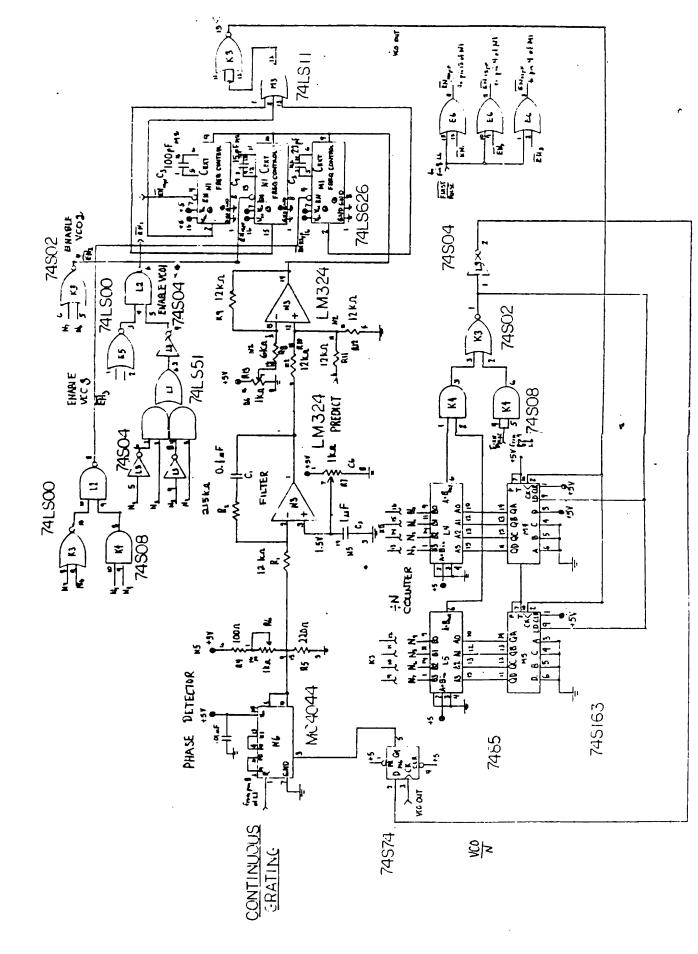
number	freq		VCO V	ltage	in Vo	lts at	Na				
of osc. pulses	kHZ	20	40	60	80	100	120	140	160	180	200
160	71.0	1.198	2.692	2.377	0.912	1.326	1.741	2.155	2.570	2.985	3.395
161	70.6	1.189	2.673	2.359	0.901				2.550		
162			2.655						2.529		
163			2.637						2.509		
164			2.619 2.601						2.489 2.470		
165 166	68 4	1 144	2.584						2.450		
167	68.0	1.135	2.566	2.251	0.842	1.239	1.637	2.034	2.431	2.828	3.226
168	67.6	1.127	2.549	2.234	0.833	1.227	1.622	2.017	2.412	2.807	3.202
169	67.2	1.118	2.533	2.216	0.823	1.216	1.608	2.001	2.393	2.786	3.179
170	66.8	1.110	2.516	2.200	0.814	1.204	1.594	1.985	2.375	2.765	3.155
171	66.4	1.102	2.499	2.183	0.805	1.193					
172	66.0	1.094	2.483	2.167	0.796	1.182	1.55/	1.953	2.339	2.724	3.110
173	65.7	1.085	2.40/	2.100	0.707	1.159	1.554	1 922	2.321	2.704	3.000
174 175	64 0	1.076	2.431	2.134	0.776	1.148	1.528	1.907	2.286	2.665	3.044
176	64.5	1.062	2.420	2.103	0.761	1.138	1.515	1.892	2.269	2.646	3.022
177	64.2	1.054	2.405	2.087	0.752	1.127	1.502	1.877	2.252	2.626	3.001
178	63.8	1.047	2.390	2.072	0.744	1.117	1.489	1.862	2.235	2.607	2.980
179	63.5	1.039	2.375	2.057	0.735	1.106	1.477	1.847	2.218	2.589	2.959
180	63.1	1.032	2.360	2.042	0.727	1.096	1.464	1.833	2.202	2.570	2.939
181	62.8	1.025	2.345	2.027	0.719	1.086	1.452	1.819	2.185	2.552	2.918
182	62.4	1.017	2.331	1.009	0.711	1.076 1.066	1.440	1.805	2.109	2.534	2.090
183	61 7	1.010	2.302	1 083	0.703	1.056	1 416	1 777	2.137	2.498	2.859
184 185	61 A	0 996	2.288	1.969	0.687	1.046					
186		0.989		1.955	0.680	1.036	1.393	1.750	2.106	2.463	2.820
187	60.7	0.982	2.260	1.941	0.672	1.027	1.382	1.736	2.091	2.446	2.801
188	60.4	0.975	2.247	1.928	0.665	1.017	1.370	1.723	2.076	2.429	2.782
189	60.1	0.969	2.233	1.914	0.657	1.008	1.359	1.710	2.061	2.412	2.763
190	59.8	0.962	2.220	1.900	0.650	0.999					
191			2.207	1.887	0.642	0.990			2.032		
192		0.949		1.861					2.003		
193 194	58.6	0.542	2 168	1.848	0.621	0.963					
195		0.930	2.155	1.835	0.614	0.954	1.294	1.635	1.975	2.315	2.655
196			2.143	1.823	0.607	0.945	1.284	1.622	1.961	2.299	2.638
197		0.917	2.131	1.810	0.600	0.937	1.274	1.610	1.947	2.284	2.621
198		0.911		1.798					1.934		
199				1.785	0.587	0.920			1.920		
200		0.899	2.094	1.773	0.580				1.907		
201 202		0.893				0.903 0.895			1.893		
202	56.2	0.007	2.070	1 738	0.560	0.887	1 214	1 541	1.867	2.194	2.521
204	55.7	0.876	2.047	1.726	0.554	0.879	1.204	1.529	1.855	2.180	2.505
205	55.4	0.870	2.036	1.714	0.547	0.871	1.195	1.518	1.842	2.166	2.489
205	55.1	0.864	2.025	1.703	0.541	0.863	1.185	1.507	1.829	2.151	2.474
207	54.9	0.859	2.013	1.692	0.535	0.855	1.176	1.496	1.817	2.137	2.458
208				1.680	0.529	0.848	1.167	1.486	1.805	2.124	2.443
209		0.848		1.569	0.523	0.840	1.158	1.4/5	1.792	2.110	2.427
210	54.1	0.842	1.980	1.058	0.51/	0.833 0.825	1.148	1.404	1.760	2.090	2.412
211	53.8	0.837	1.970	1.047	0.511	0.818	1 131	1 444	1 756	2.063	2 382
212 213	53.0	0.826	1.948	1.626	0.499	0.810	1,122	1.433	1.745	2.056	2.368
214	53.1	0.821	1.938	1.615	0.493	0.803	1.113	1.423	1.733	2.043	2.353
215	52.8	0.816	1.927	1.605	0.487	0.796	1.104	1.413	1.722	2.030	2.339
216	52.6	0.811	1.917	1.594	0.482	0.789	1.096	1.403	1.710	2.017	2.324
217	52.4	0.805	1.907	1.584	0.476	0.782	1.087	1.393	1.699	2.005	2.310
218	52.1	0.800	1.897	1.574	0.470	0.775	1.079	1.383	1.688	1.992	2.296
219	51.9	0.795	1.887	1.564	0.465	0.768	1.071	1.374	1.676	1.979	2.282
220	51.6	0.790	1.877	1.554	0.459	0.761 0.754	1 054	1.304	1.000	1.30/	2 255
221	31.4	U./80	1.65/	1.044	U.434	U.734	1.054	1.334	1.000	1.333	E.EJ.)

number frea of osc. kHz 80 100 120 140 160 180 200 20 40 60 pulses 51.4 0.786 1.867 1.544 0.454 0.754 1.054 1.354 1.655 1.955 2.255 221 51.2 0.781 1.857 1.534 0.448 0.747 1.046 1.345 1.644 1.943 2.241 222 50.9 0.776 1.848 1.524 0.443 0.740 1.038 1.335 1.633 1.930 2.228 50.7 0.771 1.838 1.514 0.438 0.734 1.030 1.326 1.622 1.919 2.215 223 224 50.5 0.766 1.829 1.505 0.432 0.727 1.022 1.317 1.612 1.907 2.202 225 50.3 0.762 1.819 1.495 0.427 0.721 1.014 1.308 1.601 1.895 2.189 226 50.0 0.757 1.810 1.486 0.422 0.714 1.007 1.299 1.591 1.883 2.176 227 49.8 0.752 1.801 1.477 0.417 0.708 0.999 1.290 1.581 1.872 2.163 49.6 0.748 1.791 1.467 0.412 0.702 0.991 1.281 1.571 1.860 2.150 49.4 0.743 1.782 1.458 0.407 0.695 0.984 1.272 1.561 1.849 2.137 228 229 230 49.2 0.739 1.773 1.449 0.402 0.689 0.976 1.263 1.551 1.838 2.125 231 49.0 0.734 1.764 1.440 0.397 0.683 0.969 1.255 1.541 1.827 2.113 232 48.8 0.730 1.756 1.431 0.392 0.677 0.961 1.246 1.531 1.816 2.100 233 48.5 J.725 1.747 1.422 0.387 0.671 0.954 1.238 1.521 1.805 2.088 234 48.3 0.721 1.738 1.413 0.382 0.665 0.947 1.229 1.511 1.794 2.076 235 48.1 0.717 1.730 1.405 0.377 0.659 0.940 1.221 1.502 1.783 2.064 236 47.9 0.712 1.721 1.396 0.373 0.653 0.933 1.212 1.492 1.772 2.052 237 47.7 0.708 1.713 1.387 0.368 0.647 0.925 1.204 1.483 1.762 2.040 238 47.5 0.704 1.704 1.379 0.363 0.641 0.918 1.196 1.474 1.751 2.029 47.3 0.700 1.696 1.371 0.359 0.635 0.912 1.188 1.464 1.741 2.017 47.1 0.696 1.688 1.362 0.354 0.629 0.905 1.180 1.455 1.731 2.006 239 240 241 242 46.9 0.692 1.679 1.354 0.350 0.624 0.898 1.172 1.446 1.720 1.994 46.7 0.688 1.671 1.346 0.345 0.618 0.891 1.164 1.437 1.710 1.983 243 46.6 0.684 1.663 1.338 0.341 0.612 0.884 1.156 1.428 1.700 1.972 46.4 0.680 1.655 1.329 0.336 0.607 0.878 1.148 1.419 1.690 1.961 46.2 0.676 1.647 1.321 0.332 0.601 0.871 1.141 1.410 1.680 1.950 244 245 246 46.0 0.672 1.639 1.313 0.327 0.596 0.865 1.133 1.402 1.670 1.939 247 45.8 0.668 1.632 1.306 0.323 0.591 0.858 1.126 1.393 1.661 1.928 248 , 45.6 0.664 1.624 1.298 0.319 0.585 0.852 1.118 1.384 1.651 1.917 249 45.4 0.660 1.616 1.290 0.314 0.580 0.845 1.111 1.376 1.641 1.907 45.3 0.656 1.608 1.282 0.310 0.575 0.839 1.103 1.367 1.632 1.896 250 251 45.1 0.652 1.601 1.275 0.306 0.569 0.833 1.096 1.359 1.622 1.886 252 44.9 0.649 1.593 1.267 0.302 0.564 0.826 1.089 1.351 1.613 1.875 253 44.7 0.645 1.586 1.260 0.298 0.559 0.820 1.081 1.343 1.604 1.865 254 44.5 0.641 1.579 1.252 0.294 0.554 0.814 1.074 1.334 1.594 1.855 44.4 0.638 1.571 1.245 0.290 0.549 0.808 1.067 1.326 1.585 1.844 255 256 44.2 0.634 1.564 1.237 0.286 0.544 0.802 1.060 1.318 1.576 1.834 257 44.0 0.630 1.557 1.230 0.282 0.539 0.796 1.053 1.310 1.567 1.824 258 43.9 0.627 1.550 1.223 0.278 0.534 0.790 1.046 1.302 1.558 1.814 259 43.7 0.623 1.543 1.216 0.274 0.529 0.784 1.039 1.294 1.549 1.805 260 43.5 0.620 1.536 1.209 0.270 0.524 0.778 1.032 1.286 1.541 1.795 261 43.4 0.616 1.529 1.201 0.266 0.519 0.772 1.026 1.279 1.532 1.785 262 43.2 0.613 1.522 1.194 0.262 0.514 0.767 1.019 1.271 1.523 1.776 263 43.0 0.609 1.515 1.188 0.258 0.509 0.761 1.012 1.263 1.515 1.766 264 42.9 0.606 1.508 1.181 0.254 0.505 0.755 1.005 1.256 1.506 1.756 42.7 0.603 1.501 1.174 0.251 0.500 0.749 0.999 1.248 1.498 1.747 266 42.5 0.599 1.494 1.167 0.247 0.495 0.744 0.992 1.241 1.489 1.738 42.4 0.596 1.488 1.160 0.243 0.491 0.738 0.986 1.233 1.481 1.728 267 268 42.2 0.593 1.481 1.153 0.240 0.486 0.733 0.979 1.226 1.473 1.719 269 42.1 0.589 1.474 1.147 0.236 0.482 0.727 0.973 1.219 1.464 1.710 270 41.9 0.586 1.468 1.140 0.232 0.477 0.722 0.967 1.211 1.456 1.701 271 41.8 0.583 1.461 1.134 0.229 0.473 0.716 0.960 1.204 1.448 1.692 41.6 0.580 1.455 1.127 0.225 0.468 0.711 0.954 1.197 1.440 1.683 272 273 41.5 0.576 1.449 1.121 0.222 0.464 0.706 0.948 1.190 1.432 1.674 274 41.3 0.573 1.442 1.114 0.218 0.459 0.700 0.942 1.183 1.424 1.665 275 41.2 0.570 1.436 1.108 0.214 0.455 0.695 0.936 1.176 1.416 1.657 276 41.0 0.567 1.430 1.102 0.211 0.451 0.690 0.930 1.169 1.409 1.648 277 40.9 0.564 1.424 1.095 0.208 0.446 0.685 0.923 1.162 1.401 1.639 40.7 0.561 1.417 1.089 0.204 0.442 0.680 0.218 1.155 1.393 1.631 278 279 40.6 0.558 1.411 1.083 0.201 0.438 0.675 0.912 1.148 1.385 1.622 280 40.4 0.555 1.405 1.077 0.197 0.433 0.670 0.906 1.142 1.378 1.614 281 40.3 0.552 1.399 1.071 0.194 0.429 0.665 0.900 1.135 1.370 1.606 282 40.1 0.549 1.393 1.065 0.191 0.425 0.660 0.894 1.128 1.363 1.597 40.0 0.546 1.387 1.059 0.187 0.421 0.655 0.888 1.122 1.355 1.599 283 39.9 0.543 1.381 1.053 0.184 0.417 0.650 0.882 1.115 1.348 1.581 285 39.7 0.540 1.375 1.047 0.181 0.413 0.645 0.877 1.109 1.341 1.573 286 39.6 0.537 1.370 1.041 0.178 0.409 0.640 0.871 1.102 1.333 1.565

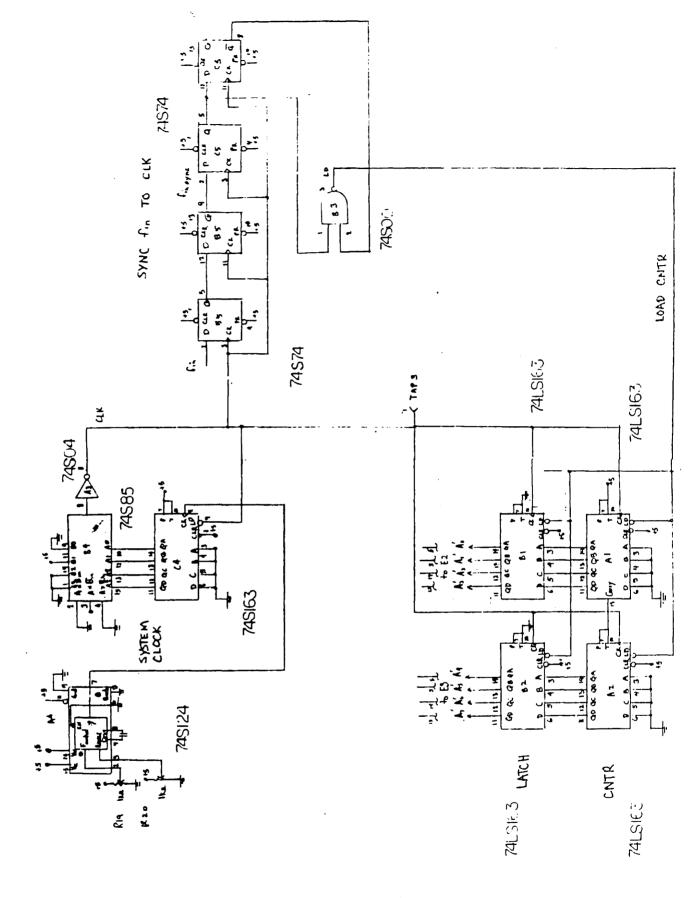
VCO Voltage 3t N=



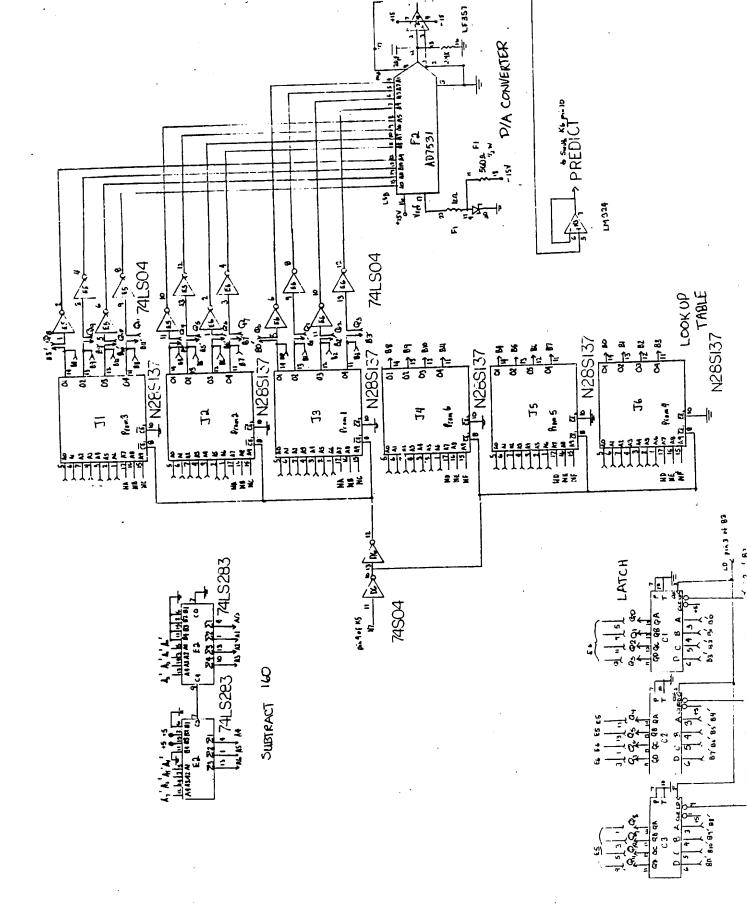
Appendix D1



Appendix D2



Appendix D3



Appendix D.4

# Appendix E

## Circuit Layout

·					
N C	NS	Z 4	m 7	N2	<del>-</del>
Ω	Z X	M4	M3	M2	Ē
97	री	74	ध	1.2	
Kb	K5	k4	చ	· 23	$\overline{\succ}$
16	12	74	73	52	F
F6 .	73	74	F3	F2	<u> </u>
Щ О	ES	五	F 3	E2	ш
90	50	D4	D3	02	ā
9)	65	C	63	C2	17
ВС	28 3	84	63	B2	8
24	A5	PA	A3	АЭ.	Ā

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