

Wireless Performance of a Fully Passive Neurorecording Microsystem Embedded in Dispersive Human Head Phantom

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Abstract—This paper reports the wireless performance of a biocompatible fully passive microsystem implanted in phantom media simulating the dispersive dielectric properties of the human head, for potential application in recording cortical neuropotentials. Fully passive wireless operation is achieved by means of backscattering electromagnetic (EM) waves carrying 3rd order harmonic mixing products ($2f_0 \pm f_m = 4.4\text{-}4.9$ GHz) containing targeted neuropotential signals ($f_m \approx 1\text{-}1000$ Hz). The microsystem is enclosed in 4 μm thick polyimide-C for biocompatibility and has a footprint of 4 mm \times 12 mm \times 500 μm . Preliminary testing of the microsystem implanted in the lossy biological simulating media results in signal-to-noise ratio's (SNR) near 22 (SNR \approx 38 in free space) for millivolt level neuropotentials, demonstrating the potential for fully passive wireless microsystems in implantable medical applications.

I. INTRODUCTION

In order to advance wireless biomedical implant technology, the safety and durability of the internal electronics is of utmost importance. For cortical brain recording applications, potential hazards introduced by implanted circuitry severely limit their clinical manifestation. Fully passive circuitry may alleviate many of the risks related to heat dissipation and potential failure of internal power sources, regulators, and/or harvesters. The fully passive device, presented herein, excludes any integrated power sources and transmits targeted neuropotential signals wirelessly by means of microwave backscattering (Fig. 1).

Previous testing of the fully passive wireless microsystem demonstrated a sensitivity of $\sim 500 \mu\text{V}_{\text{pp}}$ (V_m) as recorded from a frog's sciatic nerve and bandwidth (f_m) of 5-2000 Hz [1], [2]. However, prior testing did not take into account the inhomogeneous tissue enclosing the microsystem in its intended application that would significantly alter penetrating EM signals.

II. MATERIALS AND METHODS

Miniaturization of the on-chip implant antenna is achieved by use of an electrically small slot antenna operating at higher microwave frequencies. Additional onboard circuitry includes 3 MIM (Metal-Insulator-Metal) capacitors (1 bypass and 2 loading capacitors) and 2 off-chip varactors (Fig. 2(a)).

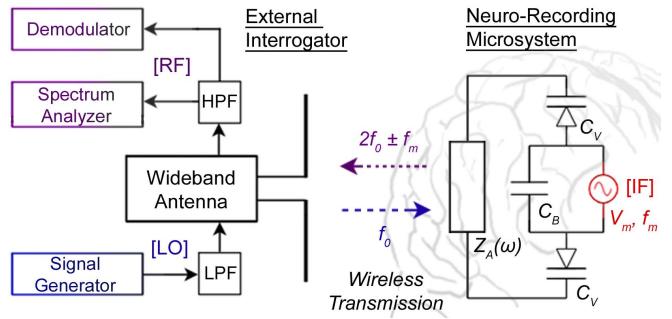


Figure 1. Simplified schematic of fully passive wireless operation. At the external interrogator (left), a signal generator supplies the f_0 local oscillator (LO) carrier that is low pass filtered (LPF) and wirelessly transmitted via wideband antenna to the microsystem (right) antenna ($Z_A(\omega)$), which then backscatters 3rd order harmonic RF signals ($2f_0 \pm f_m$). The RF signals are received by the external antenna and fed into a high pass filter (HPF) and demodulated to baseband (f_m).

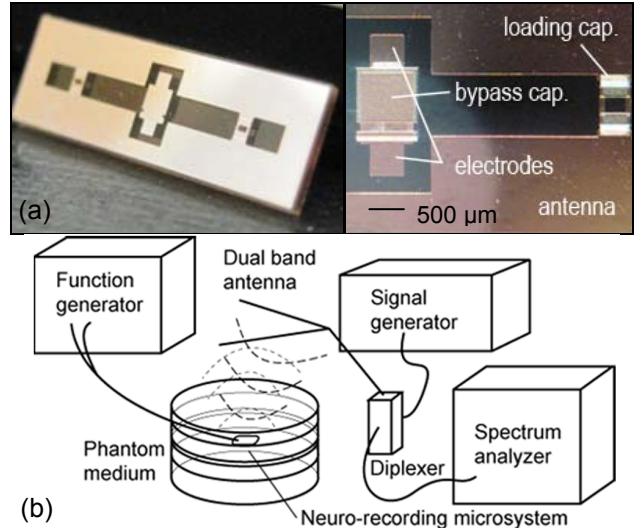


Figure 2. (a) Neurorecording microsystem (close up on right), measures $4 \times 12 \times 0.5 \text{ mm}^3$ and integrates on-chip antenna, MIM capacitors, and electrodes connecting V_m input to varactors. (b) Setup for wireless testing as embedded in phantom medium.

Capacitive loading by fabricated MIM capacitors permits dual band operation at the incident frequency (f_0) and backscatter frequency ($2f_0 \pm f_m$). An external interrogator supplies the

fundamental carrier ($P_0@f_0$) signal to activate the microsystem's mixing and backscattering functions. Varactors retrieve this induced carrier ($P_0@f_0$) along with the internal neuropotential ($V_m@f_m$) signals to generate 3rd order harmonic mixing products ($2f_0 \pm f_m$) that are then backscattered by the on-chip antenna to the external interrogator, where the neuropotential signal is recovered (Fig. 2(b)).

The phantom medium is composed of multiple strata mimicking the complex permittivity characteristics of skin, bone, dura, gray matter, and white matter layers of the average human head (Fig. 3) [3]. Open-ended coaxial probe measurements (85070D, Agilent) of the various phantom layers are performed to ensure their permittivity values closely correspond to the reported values for real human tissues (Fig. 4) [4].

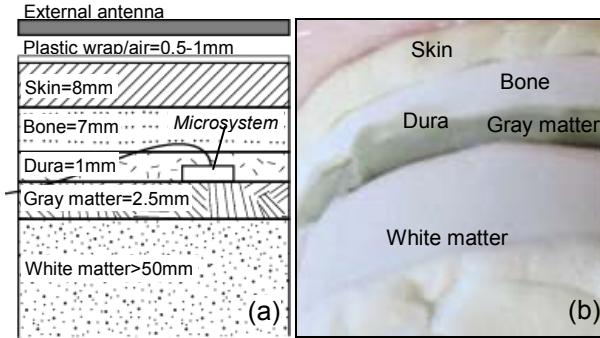


Figure 3. (a) Diagram of stratified human head phantom medium (with individual thicknesses) and (b) cross section of the phantom medium assembly.

During wireless testing, the neurorecording microsystem is embedded into the dura stratum of the phantom and the complete phantom is enclosed by plastic wrap to maintain an insulating barrier from the external interrogator (the external antenna is placed in direct contact with the plastic wrap for a total wireless separation of near 1 mm). Emulated neuropotential signals ($V_m=0-50$ mV_{pp}, $f_m=5-1000$ Hz), are applied to a twisted pair of insulated feed-through wires connected to the front of the microsystem. Local oscillator (LO) power ($P_0=0-20$ dBm) is supplied from a signal generator (8341A, HP) to supply the carrier. The SNR of the backscattered 3rd order harmonics ($2f_0 \pm f_m$) from the microsystem is quantified by the ratio between the amplitude of the $\pm f_m$ sidebands around $2f_0$ as visualized in the spectrum analyzer (E4448A, Agilent) with an average noise floor of -136 dBm (Fig. 5(a)). The average observed SNR for the three different types of microsystems (low resistivity silicon, high resistivity silicon, and glass substrates) tested in air and in the phantom medium are summarized in Fig. 5(b). The microsystem based on high resistivity silicon and glass substrates produced a SNR of greater than 20 dB inside the phantom, whereas devices based on low resistivity silicon fail to generate any wireless response. Future work will involve enhancing the sensitivity of the microsystem and minimizing noise in the external demodulator, as will be delineated in the full paper.

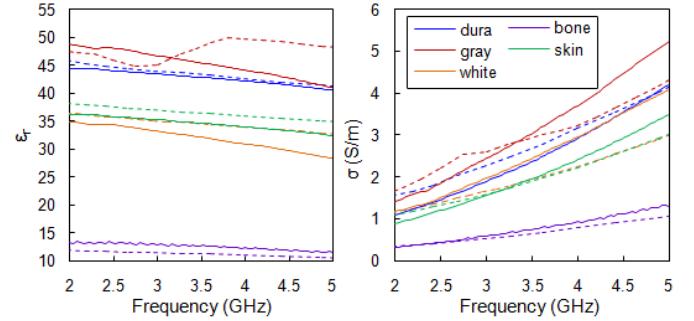


Figure 4. Plot of complex permittivity (ϵ_r) and conductivity (σ) for real (dashed) and measured phantom (solid) human head tissue layers

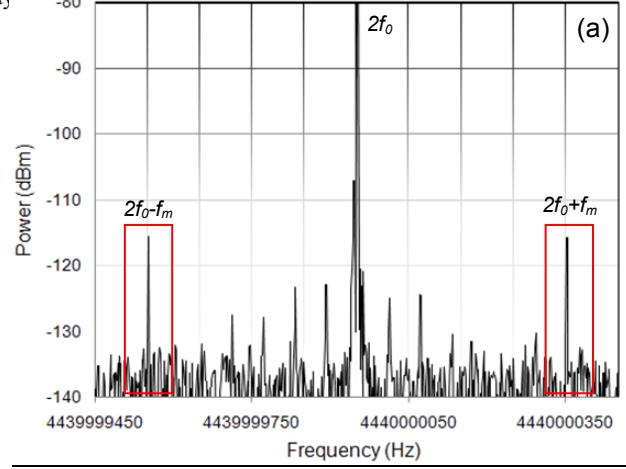


Figure 5. (a) Spectral plot of wirelessly backscattered neuropotentials ($2f_0 \pm f_m$, labeled) from microsystem in phantom ($V_m=50$ mV_{pp}, $f_m=400$ Hz). (b) SNR measurements for 3 different microsystem substrates.

ACKNOWLEDGEMENT

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Outline

- Introduction
- Operation
 - Microsystem
 - Wireless Backscattering
- Fabrication
- Wireless Performance in Air
- Preparation of Phantom Emulating Human Head
- Wireless Performance in Phantom
- Conclusion & Future Work

Motivation

“Neurorecording” → recording neuropotentials

(ie. electrical activity originating from neural signaling in brain or other nervous systems)

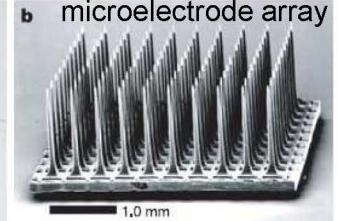
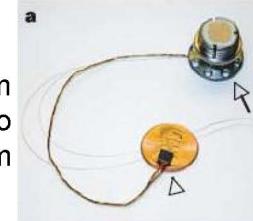
| Paraplegia/Paralysis | 6 (USA) |
|----------------------|---------------------|
| Alzheimer' s Disease | 5.3 (USA) |
| Epilepsy | 4 (USA), 50 (world) |
| Parkinson' s Disease | 1 (USA) |

- Prosthetics & rehabilitation³⁻⁵
- Treatment
- Brain machine interfaces
- Advance understanding of brain
 - One of the least understood and most important organs
 - Most CNS knowledge based on conjecture

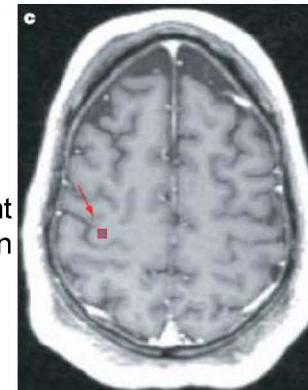
CNS = central nervous system

BCI = brain computer interface EEG = electroencephalography

microsystem
with wiring to
head platform

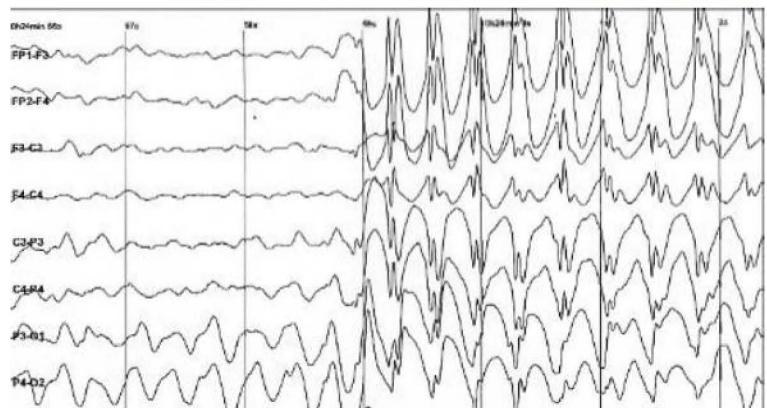


implant
position

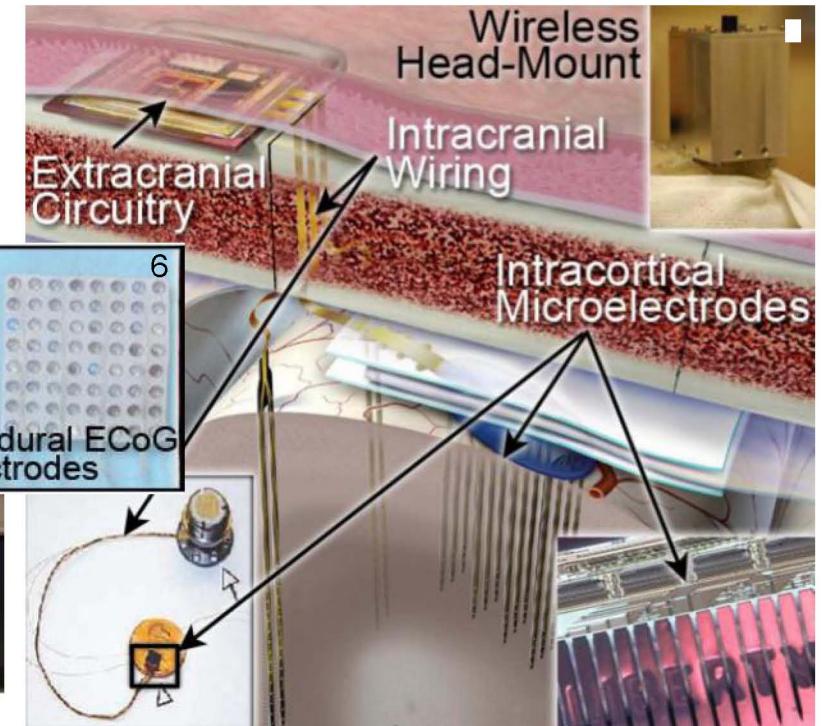
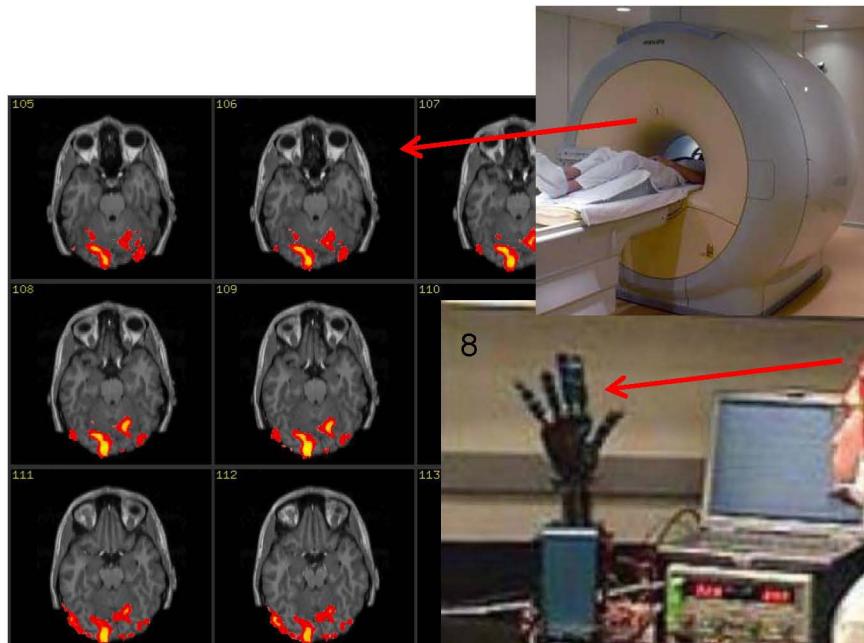


BrainGate BCI³

EEG scan of
epileptic
seizure



Current Recording Systems

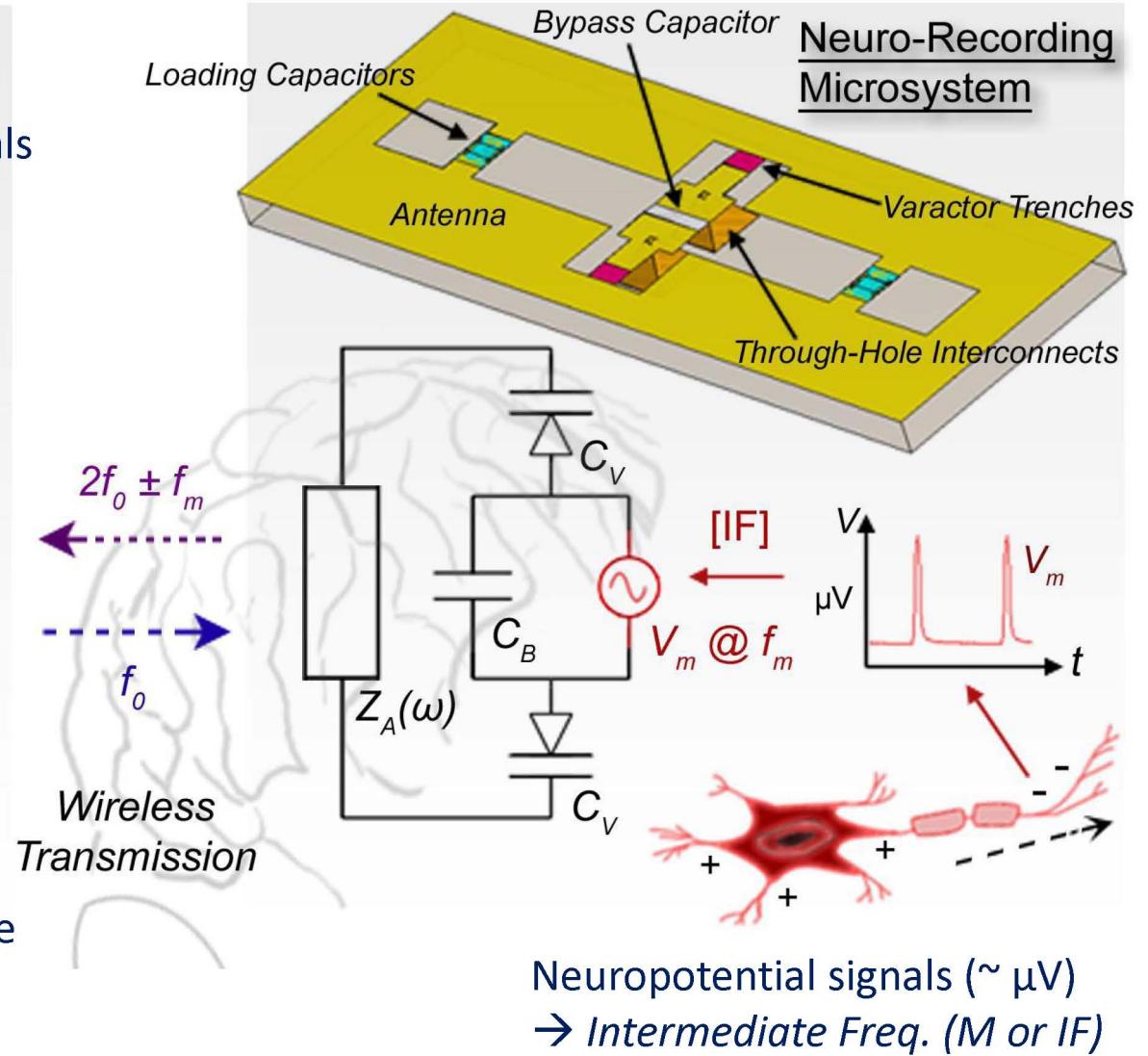
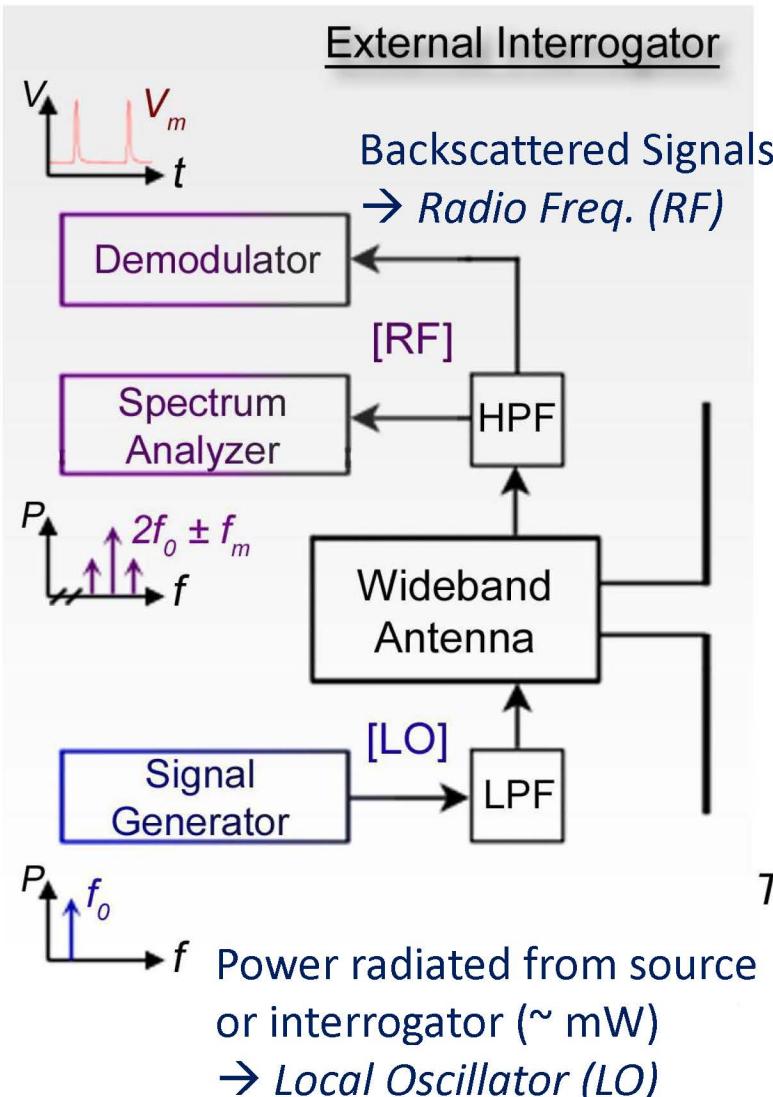


| fMRI | Large/expensive | mm (deep) | > s | Hemodynamic | Clinical |
|------|-----------------|------------------|-----------|-------------------------------|----------------------------------|
| NIRS | Portable | ~ cm (surface) | < ms | Hemodynamic | Clinical |
| EEG | Portable | ~ cm (surface) | < ms | Electrical / field potentials | Seizure & prosthetics |
| ECoG | Semi-Invasive | ~ mm cortical | < μ s | Electrical / spikes & LFPs | Clinical & research ⁶ |
| MEA | Invasive | ~ 10s of μ m | < μ s | Electrical / spikes & LFPs | Research ^{2,4} |

fMRI = functional magnetic resonance imaging
NIRS = near infrared spectroscopy

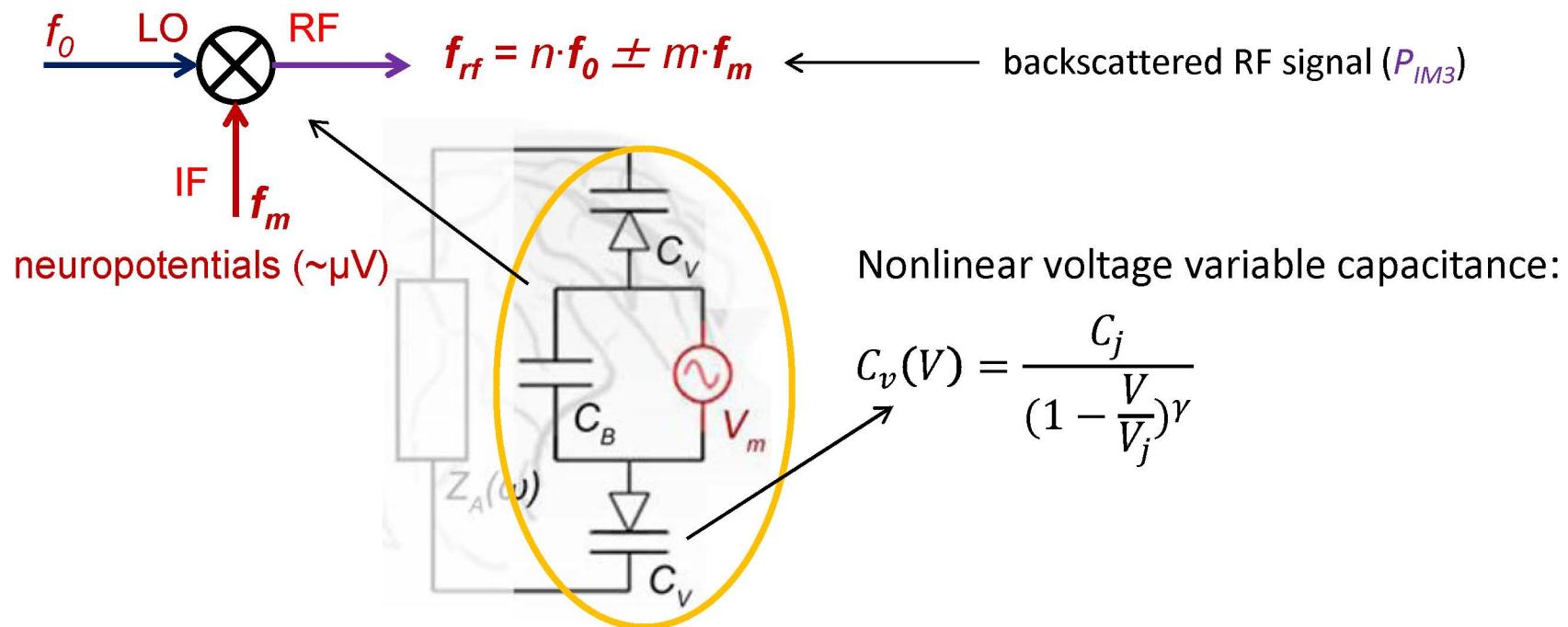
ECoG = electrocorticography
MEA = microelectrode array

Fully Passive Wireless Neurorecorder



Microsystem: Nonlinear Mixer

Nonlinear Mixer → Passive Recording of Neuropotentials (V_m)

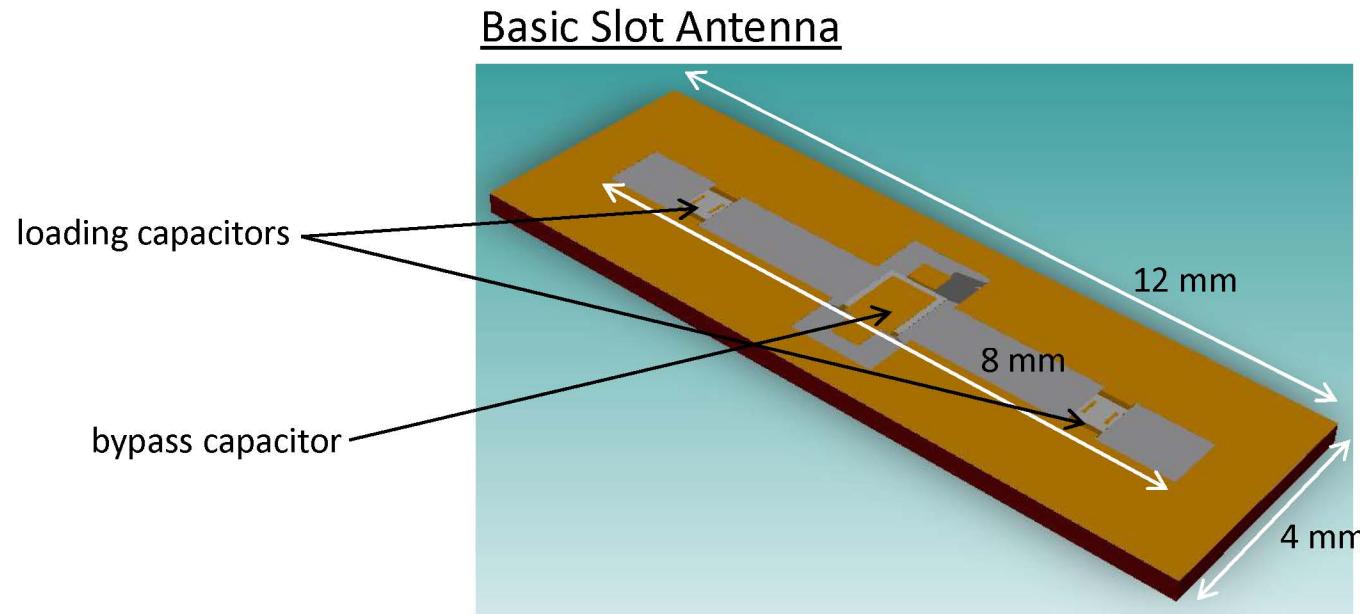


Mixer Output (Taylor Series Approximation):

$$I = (c_{1a} + c_{3a}) \sin(\omega_0 t) + (c_{1a} + c_{3a}) \sin(\omega_m t) + [c_{3b} \sin(2\omega_0 t \pm \omega_m t) + c_{3b} \sin(\omega_0 t \pm 2\omega_m t)] + \dots$$

targeted RF backscattered product

Microsystem: Integrated Antenna

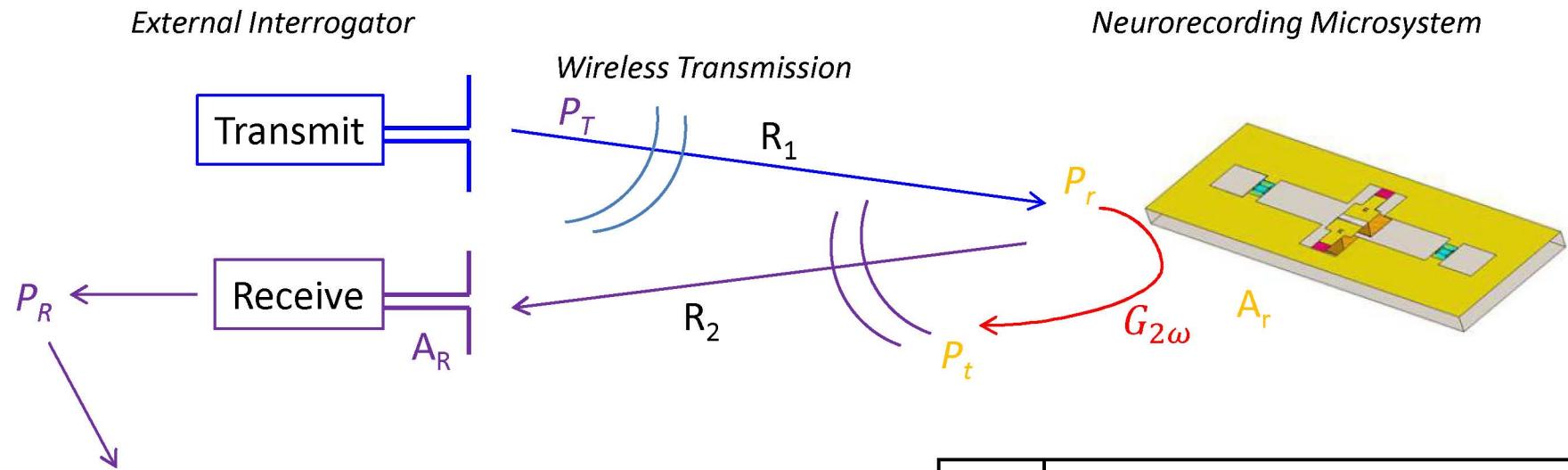


Electrically small antenna → antenna *Gain* limited to $\leq 1.76 \text{ dBi}$

Loading capacitors → tune frequency (dual-band operation @ f_o & $2f_o \pm f_m$)

Wireless Backscattering System

Wireless Path Loss in Backscattering System



P_{IM3} ($2f_0 + f_m$) Backscattered:

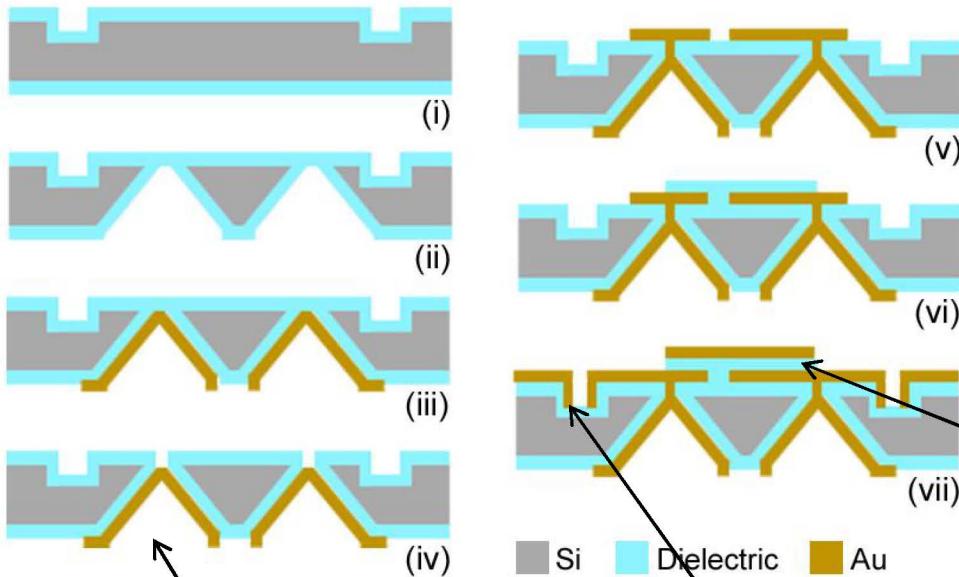
$$P_R = \sigma \frac{P_T G_T}{4\pi R_1^2} \cdot \frac{G_t}{4\pi} \cdot \frac{\lambda_2^2}{4\pi} G_R = \sigma \frac{P_T G_T G_t}{(4\pi)^2 R^4} \cdot \frac{\lambda^2}{4\pi} G_R \quad (R_1 = R_2 = R)$$

$$\sigma = 4\pi r^2 \frac{S_t}{S_r} = \frac{\lambda_1^2}{4\pi} G_r G_{2\omega} G_t$$

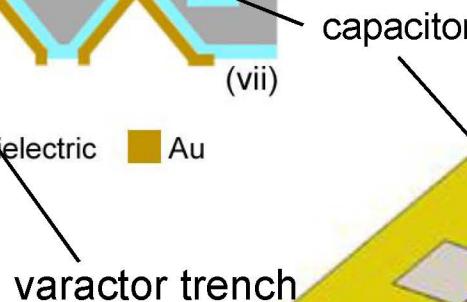
| | |
|------------------------|--|
| P_T, P_R | Power transmitted/received by external interrogator |
| G_T, G_R | Gain of external interrogator transmit/receive antenna modes |
| A_r, A_T | Effective aperture of microsystem/external interrogator antenna ($\lambda^2/4\pi$) |
| $G_{2\omega}$ | Conversion gain of onboard nonlinear mixer |
| G_t, G_r | Gain of microsystem transmit/receive antenna modes |
| λ_1, λ_2 | Wavelength at f_0 (supply) and $2f_0 + f_m$ (backscatter) frequencies |

Fabrication

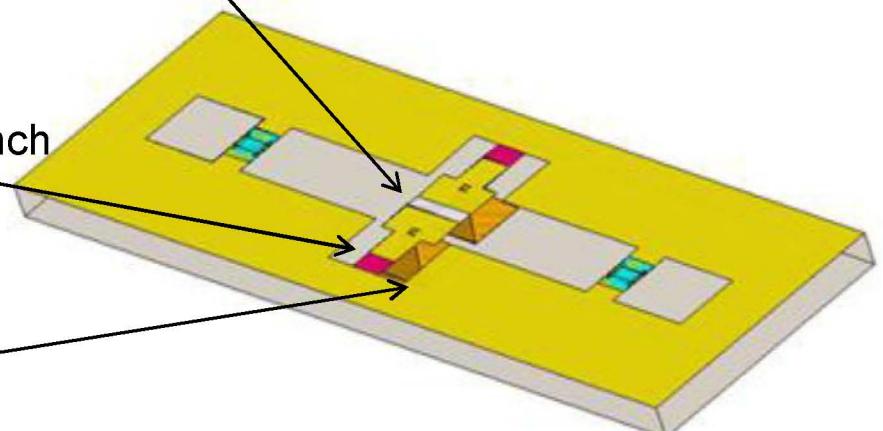
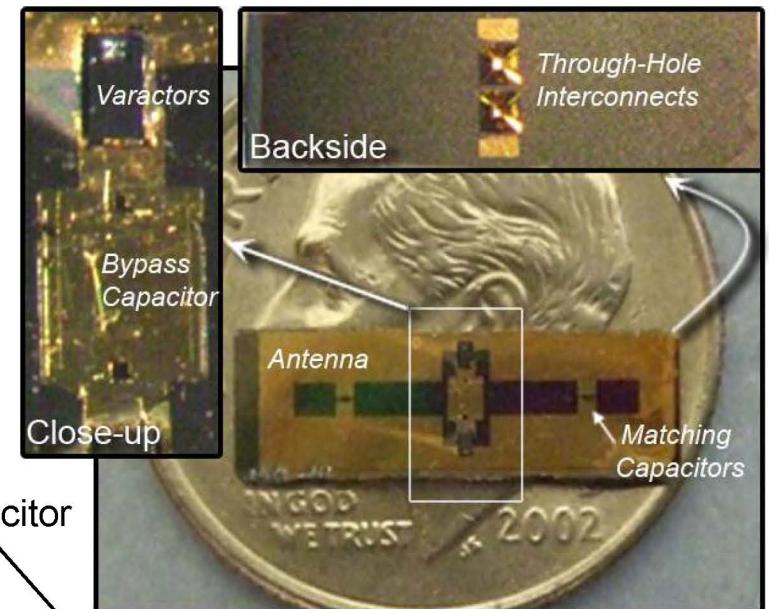
Fabrication Process



through-hole interconnects
(contacts for neuropotential inputs)



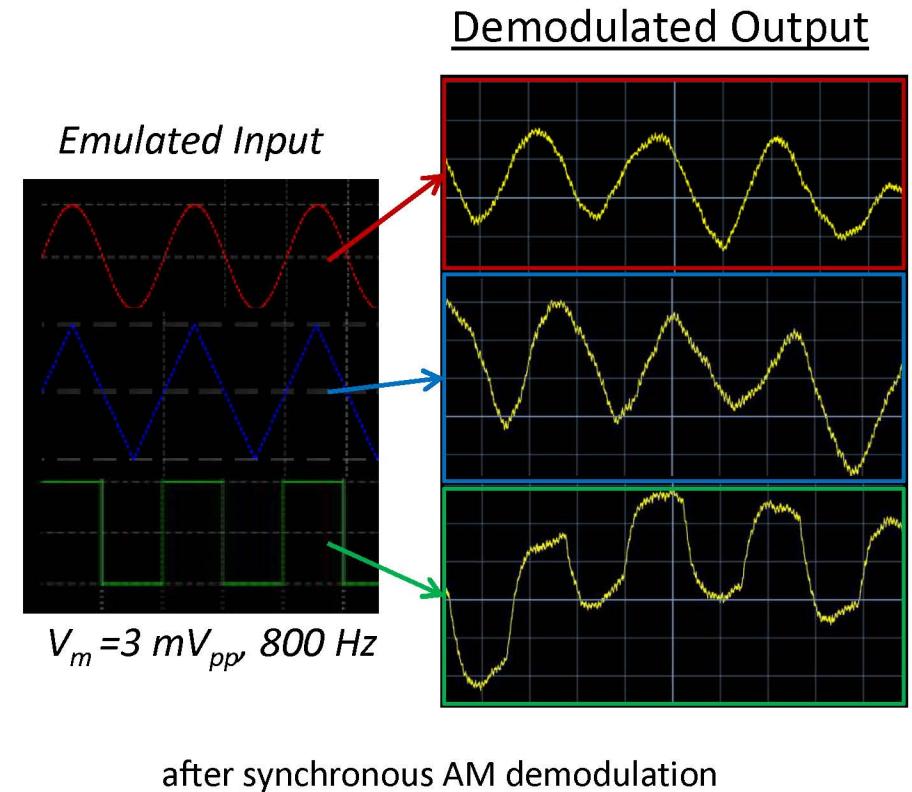
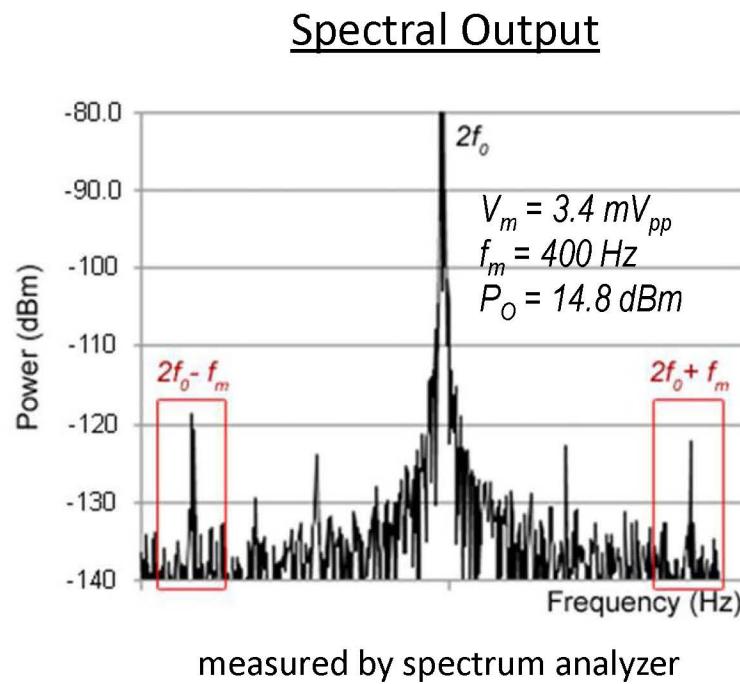
Completed Neurorecorder



Testing in Air

Testing in “Free-Space” with emulated neuropotentials (V_m) generated via function generator

Measured wirelessly backscattered 3rd order harmonics or $P_{IM3}(2f_0 \pm f_m)$

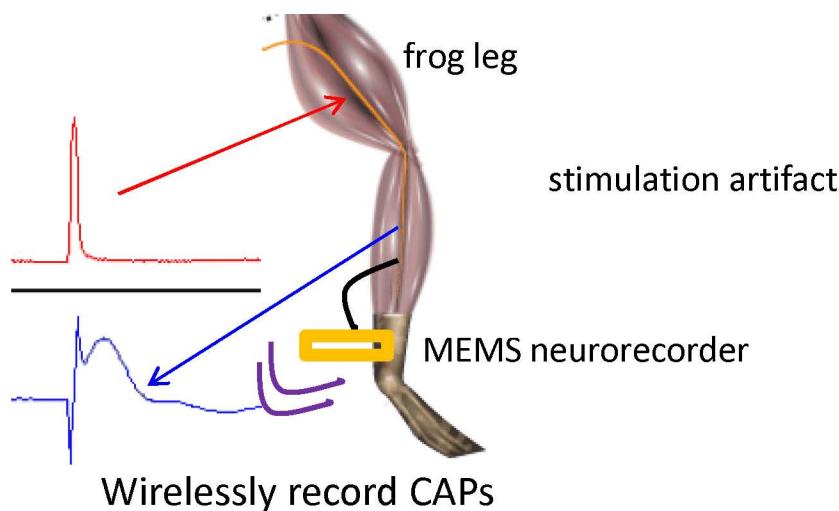


Testing with Frog

Wireless Recording from Sciatic Nerve

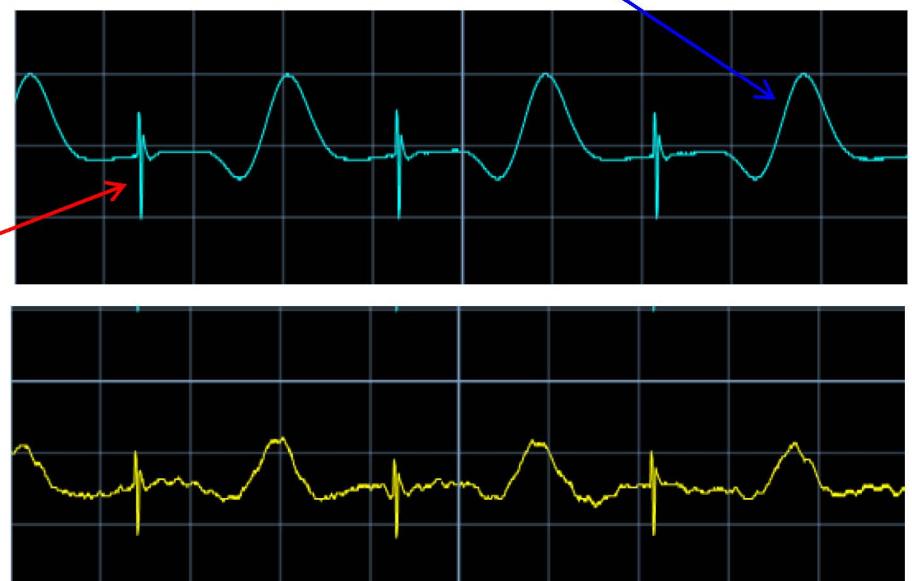
Setup Procedure

Stimulate (inject current) higher end of nerve



Wired & Wireless Measurements

CAPs ($V_m = 500 \mu V_{pp}$, $f_m = 400 \text{ Hz}$)



Used signal averaging on oscilloscope to improve SNR by around 11.3dB

CAPs = Compound Action Potentials (integration of many propagating action potentials/spikes in nerve bundle)

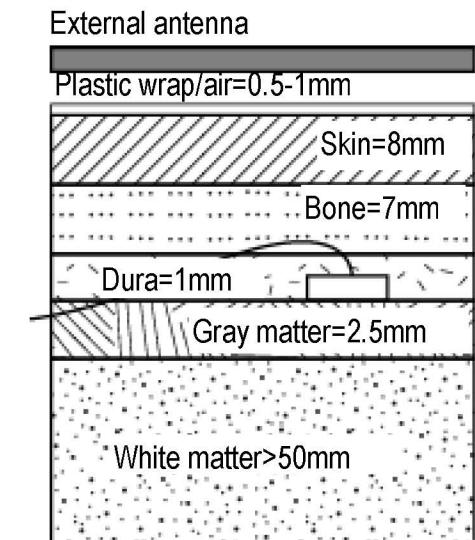
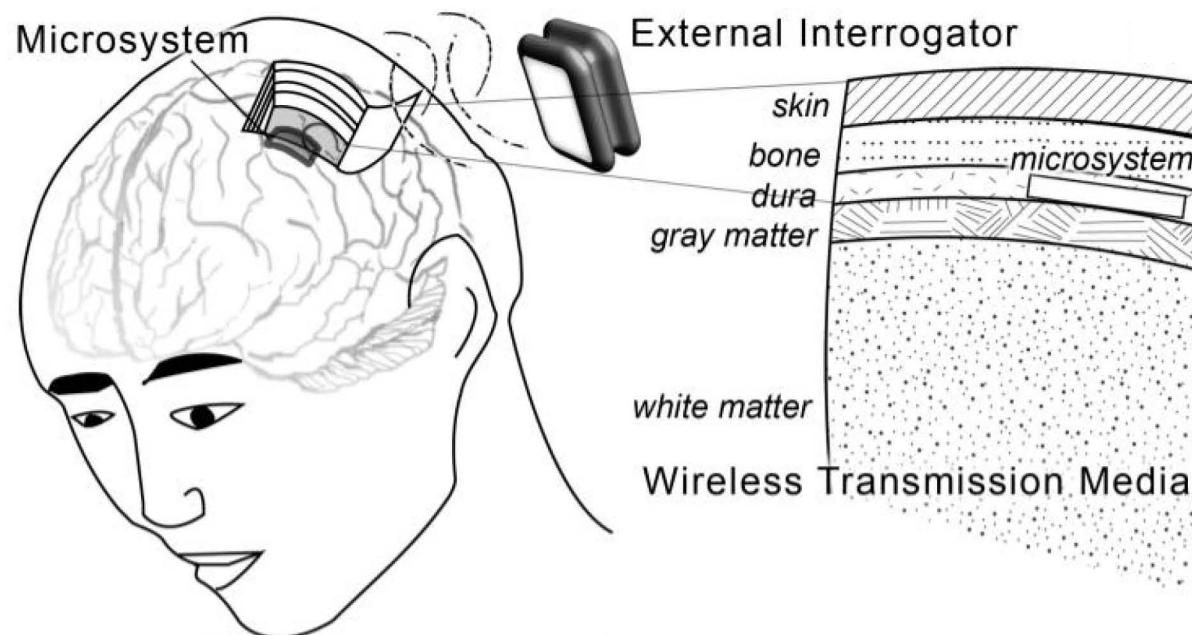


Summary of Measurements in Air

| | | |
|--------------------------------|-------------------------|---|
| Footprint | <i>Dimensions</i> | $12 \times 4 \times 0.5 \text{ mm}^3$ |
| Detected Input Signals | <i>Bandwidth</i> | 5 – 3000 Hz |
| RF Transmission | <i>Amplitude</i> | $\geq 500 \mu\text{V}_{\text{pp}}$ |
| | <i>Distance</i> | $\leq 1.5 \text{ cm}$ |
| RF Reception | <i>Radiated Power</i> | $\leq 16.7 \text{ dBm (47 mW)}$ |
| Transmission | <i>Frequency</i> | 2.2 – 2.45 GHz |
| RF Reception | <i>Sideband Level</i> | $\leq -97 \text{ dBm (for } V_m = 50 \text{ mV}_{\text{pp}})$ |
| | <i>Noise Floor</i> | $\approx -136 \text{ dBm}$ |
| | <i>Frequency</i> | 4.4 – 4.9 GHz |
| Thermal Characteristics | <i>Temperature Rise</i> | $\leq 0.15 \pm 0.1^\circ\text{C}$ |
| | <i>SAR (estimated)</i> | $\leq 0.112 \text{ W/kg}$ |

Wireless Testing in Phantom Mimicking Real Head Tissues

Final Goal – Implantable Wireless System in Lossy & Inhomogeneous/Stratified Tissue Media
(until now wireless testing in air only)

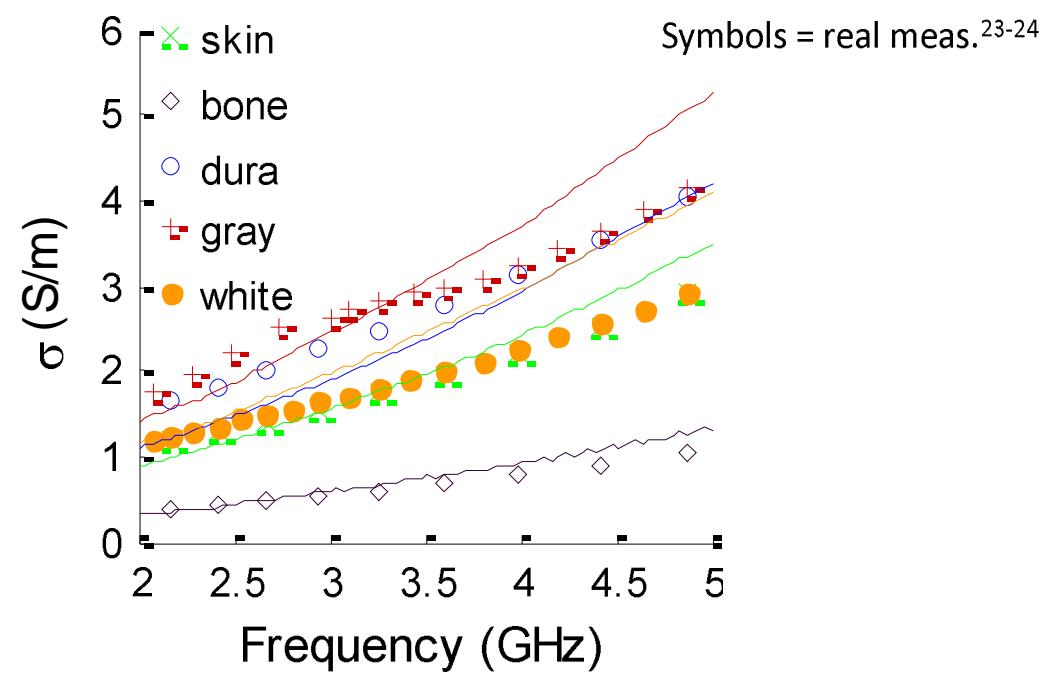
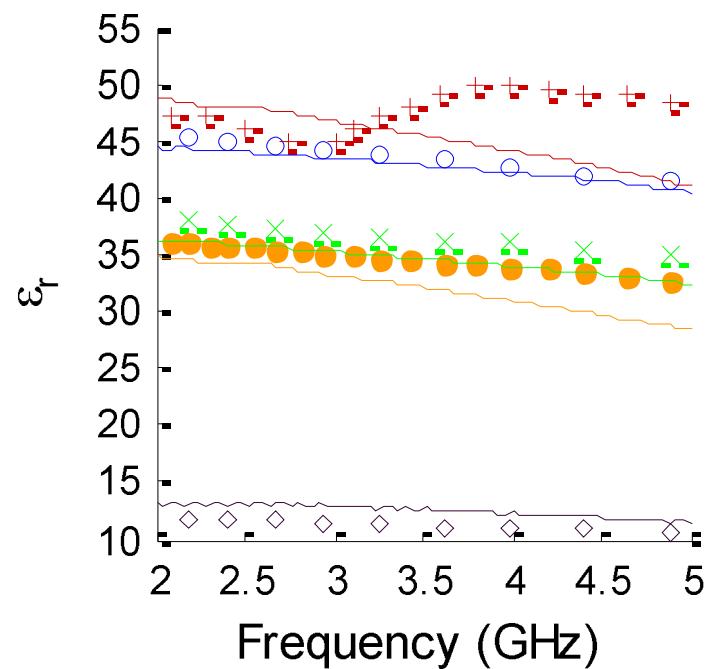


Phantom Preparation

Semisolid phantoms
made for each head
layer²³

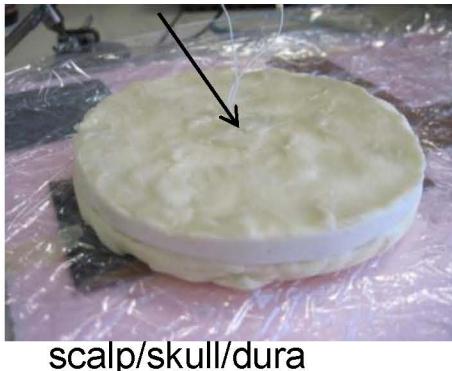


Measure
dielectric
properties



Phantom Media Testing

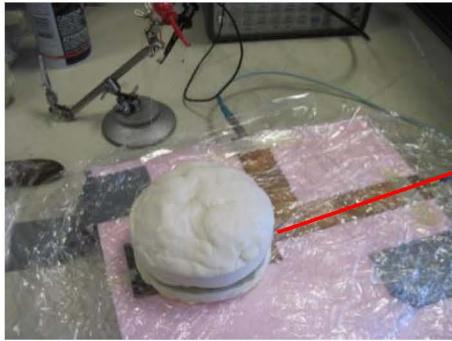
MEMS neuro-recorder (parylene coated)



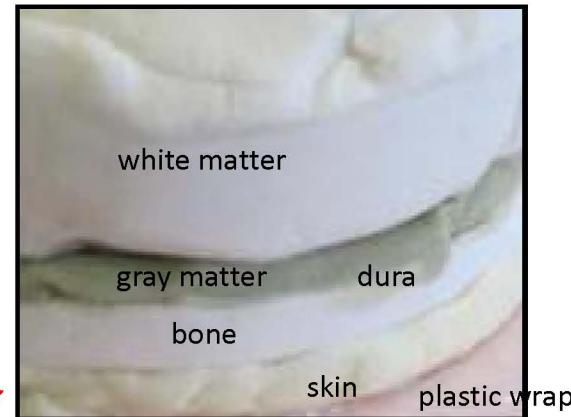
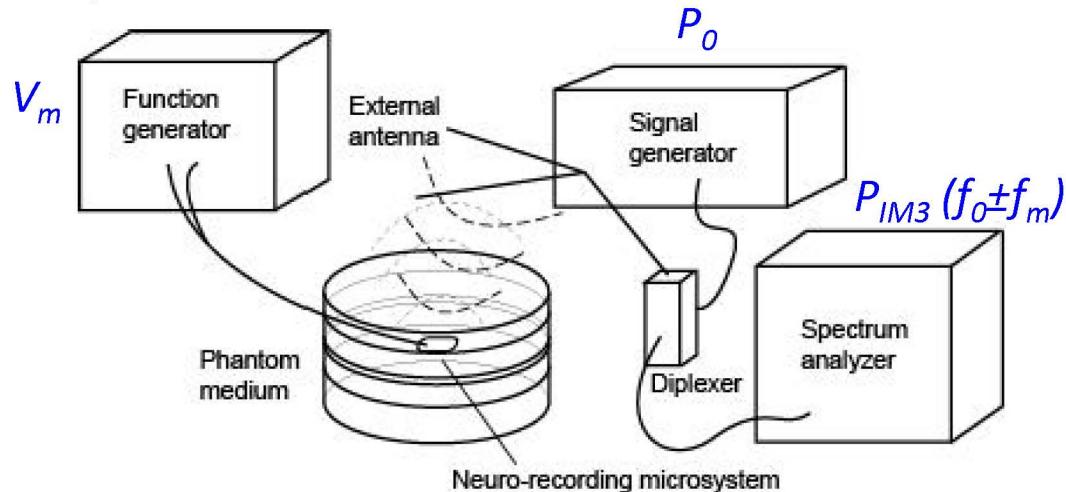
scalp/skull/dura



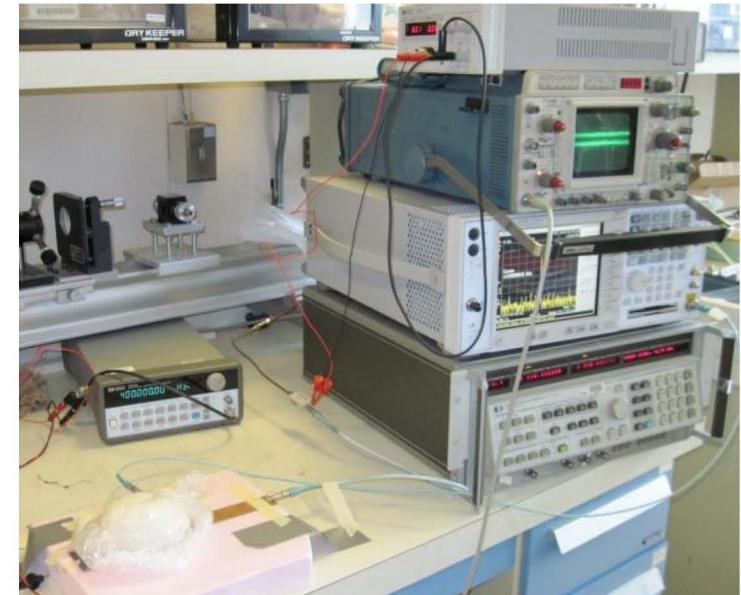
gray matter



complete phantom



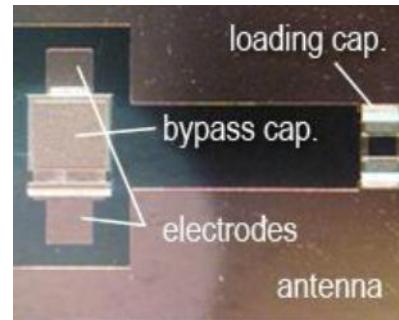
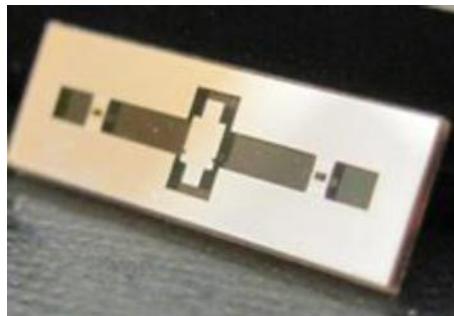
implant depth ~ 1.5 cm (dura)



Phantom Media Testing

Measurements of Neurorecorders in Phantom

Comparison of glass & silicon substrates

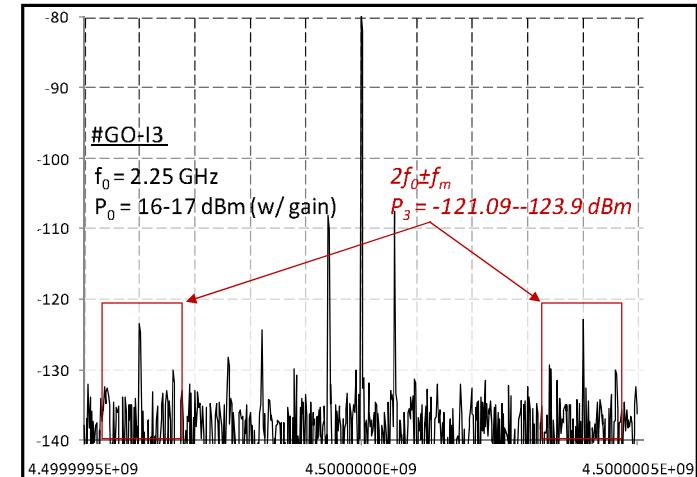


| Low Resistivity Si | 0 | 0 |
|---------------------|-------------|-------------|
| High Resistivity Si | 38.9 | 22.0 |
| Glass | 36.6 | 21.3 |

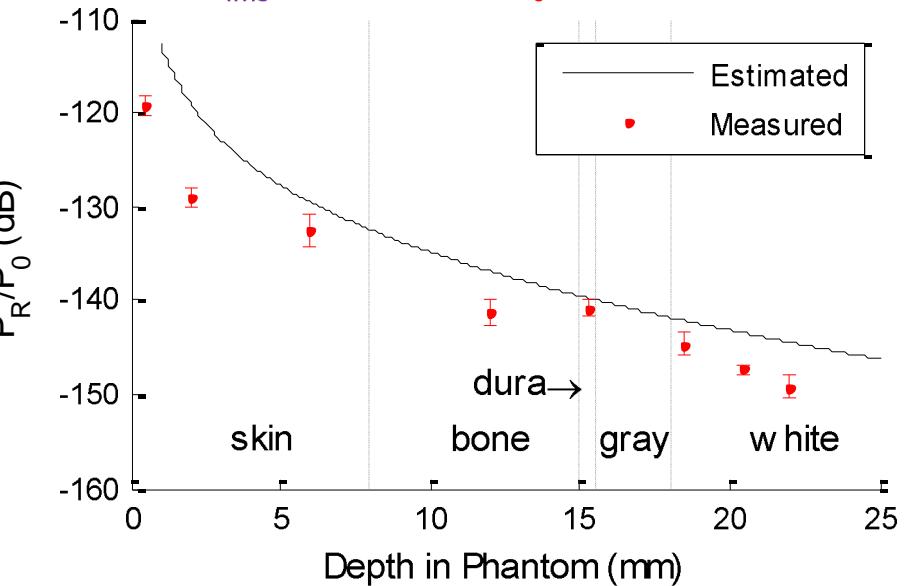
Skin depth accounts for real losses in phantom

$$\delta = \frac{1}{Im[\sqrt{\omega\mu(\omega\hat{\epsilon} - j\sigma)}]} = \frac{1}{Im[\sqrt{\omega^2\mu\epsilon' - j\omega\mu(\omega\epsilon'' + \sigma)}]}$$

Spectral Output



Ratio of P_IM3 (received) to P_0 (supplied)





Conclusion & Future Work

Conclusion:

| | | In Air | |
|----------------------------------|----------------------------------|---|--|
| Detected V_m | <i>Amplitude</i> | $\geq 500 \mu\text{V}_{\text{pp}}$ | |
| RF Transmission | <i>Radiated Power</i> | $\leq 16.7 \text{ dBm} (47 \text{ mW})$ | |
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| RF Reception | $P_{IM3} (V_m=50mV_{\text{pp}})$ | $\leq -97 \text{ dBm}$ | |
| | <i>Noise Floor</i> | $\approx -134 \text{ dBm}$ | |
| Thermal Characteristics | <i>Temperature Rise</i> | $\leq 0.15 \pm 0.1^\circ\text{C}$ | |
| | SAR | -- | |

Future Work:

- Thermal characterization of neurorecorder in phantom
- Increasing sensitivity (minimum detectable V_m)
 - Increasing nonlinearity (γ) of varactors
 - Increasing SNR of external interrogator (lowering phase noise)



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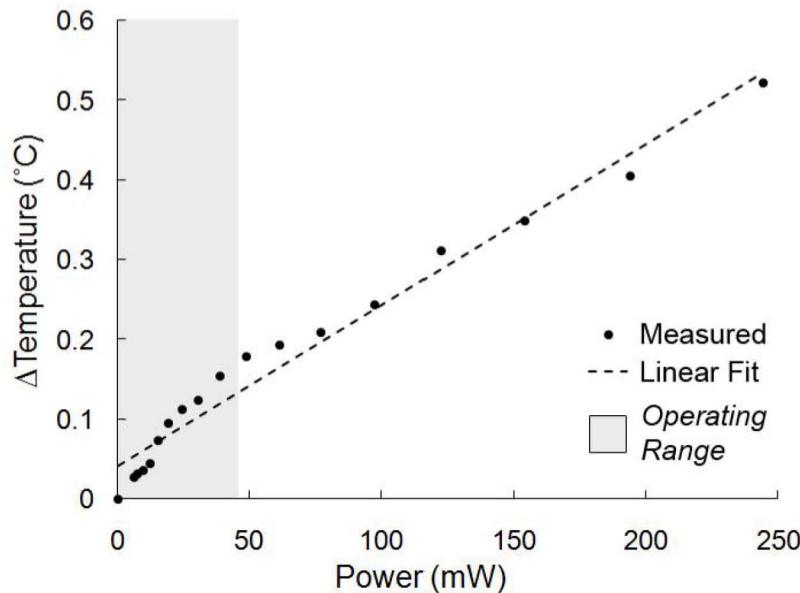
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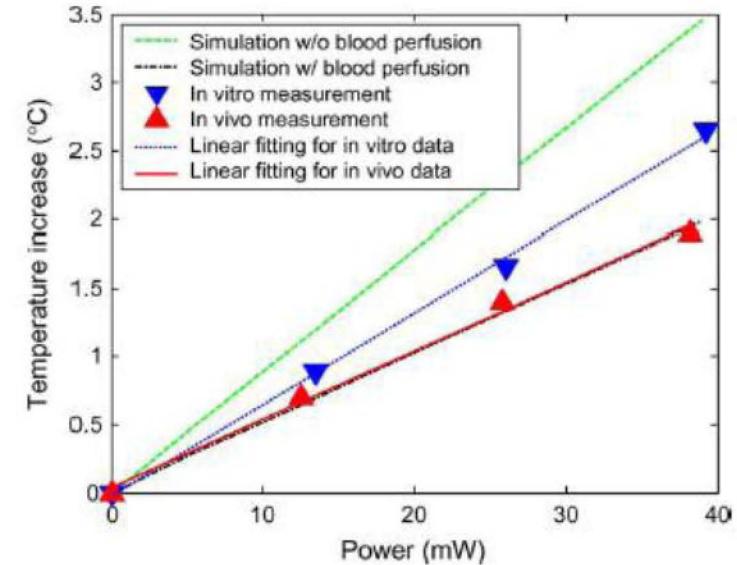
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Appendix I: Thermal Impact

Fully Passive Wireless Microsystem ΔT vs Wireless RF P_0 Supplied (in air & @25°C)



Utah Electrode Array ΔT vs P Dissipated (No wireless link for this study)



P can range up 40 mW, but if kept at 13 mW, $\Delta T=0.38^{\circ}C$

$\Delta T > 1^{\circ}C \rightarrow$ long-term effects on the brain tissue [20].

$\Delta T > 2^{\circ}C \rightarrow$ aberrant activity in brain (as shown in guinea pig olfactory cortical slices) [21]

$\Delta T > 3^{\circ}C \rightarrow$ physiological abnormalities and tissue death (cortical spreading depression was observed by heating the cortex of anesthetized rats by $3.4^{\circ}C$) [22]



Appendix II(a): Varactor Mixer

$$C(V) = \frac{C_j}{(1 - \frac{V}{V_j})^\gamma} \quad \text{Input: } V = V_0 \cos(\omega_0 t) + V_m \cos(\omega_m t)$$

Output (Taylor Series Approx.): $I = \frac{d}{dt} \left(\sum_{n=1}^{\infty} c_n V^n \right) V \quad I = \frac{d}{dt} (c_1 + c_2 V + c_3 V^2 + \dots) V$

$$I = (c_{1a} + c_{3a}) \sin(\omega_0 t) + (c_{1a} + c_{3a}) \sin(\omega_m t) + \\ c_{2a1} \sin(2\omega_0 t) + c_{2b} \sin(2\omega_m t) + c_{2c1} \sin(\omega_0 t \pm \omega_m t) + \\ c_{3b} \sin(2\omega_0 t \pm \omega_m t) + c_{3b} \sin(\omega_0 t \pm 2\omega_m t) + \dots$$

Targeted backscattered signals

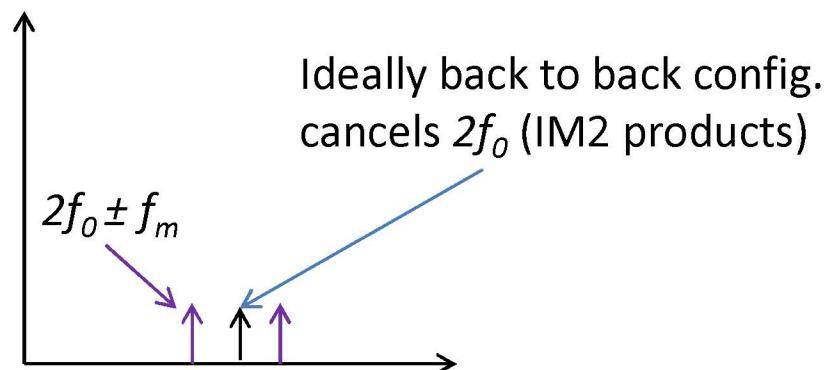
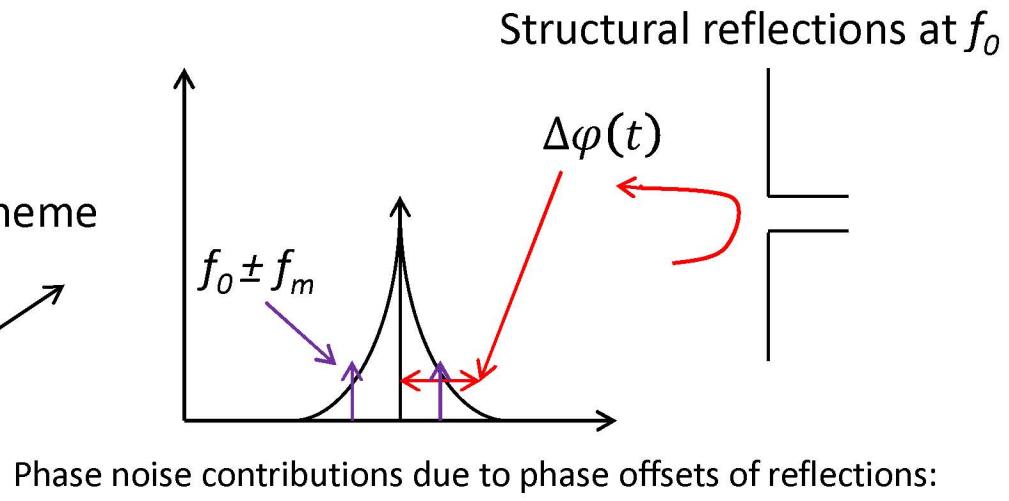
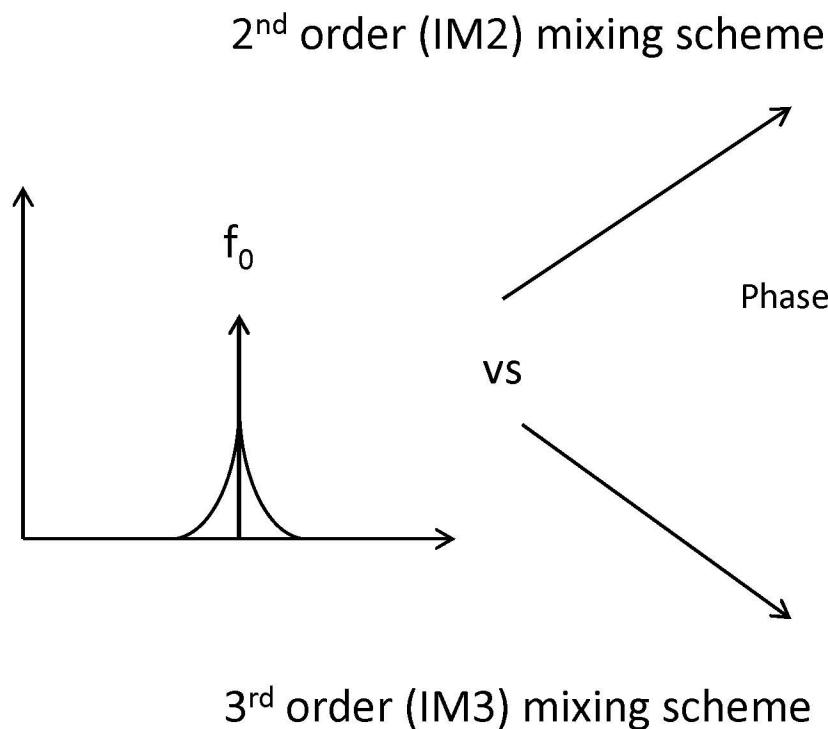
$$c_{3b} = \frac{-C_j(\gamma^2 + \gamma)}{V_j^2} \cdot \left(\frac{V_0^2 V_m (\omega_m)}{4} + \frac{V_0 V_m (V_0 \omega_0 + V_m \omega_m)}{2} \right)$$

Back to Back Config.: $I = \frac{d}{dt} \left(\sum_{n=1}^{\infty} c_n V_+^{n+1} - c_n V_-^{n+1} \right)$

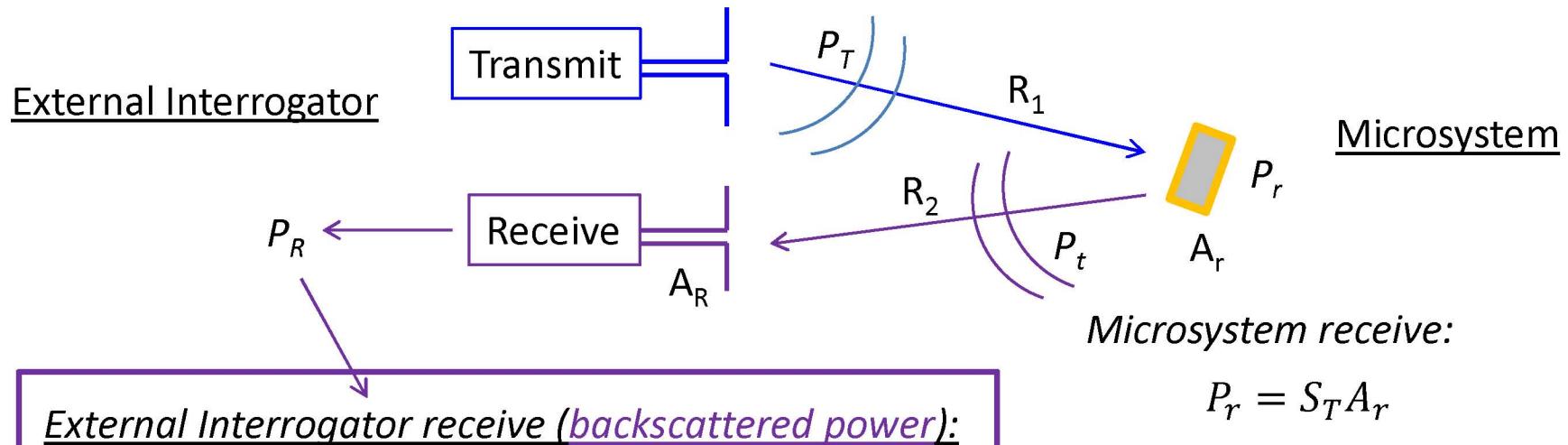
$$I = \frac{d}{dt} (c_1 V_+ - c_1 V_- + c_2 V_+^2 - c_2 V_-^2 + c_3 V_+^3 - c_3 V_-^3 + \dots)$$

$$I = (c_{1a} + c_{3a}) \sin(\omega_0 t) + (c_{1a} + c_{3a}) \sin(\omega_m t) + c_{3b} \sin(2\omega_0 t \\ \pm \omega_m t) + c_{3b} \sin(\omega_0 t \pm 2\omega_m t) + \dots$$

Appendix II(b): Varactor Mixer



Appendix III: Backscattering Link



External Interrogator receive (backscattered power):

$$P_R = S_t A_R$$

$$P_R = \frac{P_t G_t}{4\pi R_2^2} \cdot \frac{\lambda_2^2}{4\pi} G_R$$

$$P_R = \frac{P_T G_T}{4\pi R_1^2} \cdot \frac{\lambda_1^2}{4\pi} G_r \cdot \frac{G_t}{4\pi R_2^2} \cdot \frac{\lambda_2^2}{4\pi} G_R G_{2\omega} G_t$$

$$P_R = \sigma \frac{P_T G_T}{4\pi R_1^2} \cdot \frac{G_t}{4\pi R_2^2} \cdot \frac{\lambda_2^2}{4\pi} G_R$$

$$P_r = S_t A_r$$

$$P_r = \frac{P_T G_T}{4\pi R_1^2} \cdot \frac{\lambda_1^2}{4\pi} G_r$$

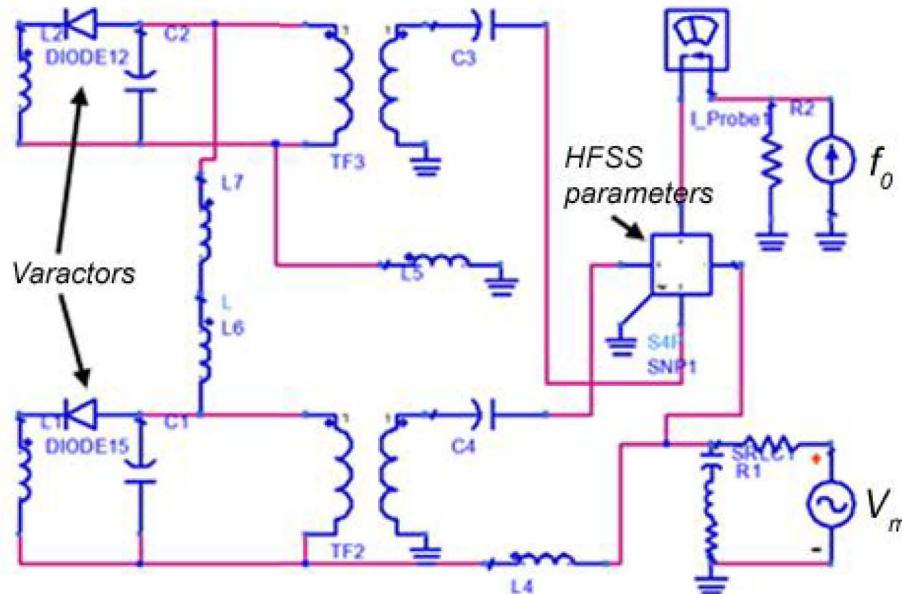
Microsystem transmit:

$$P_t = P_r G_{2\omega} G_t$$

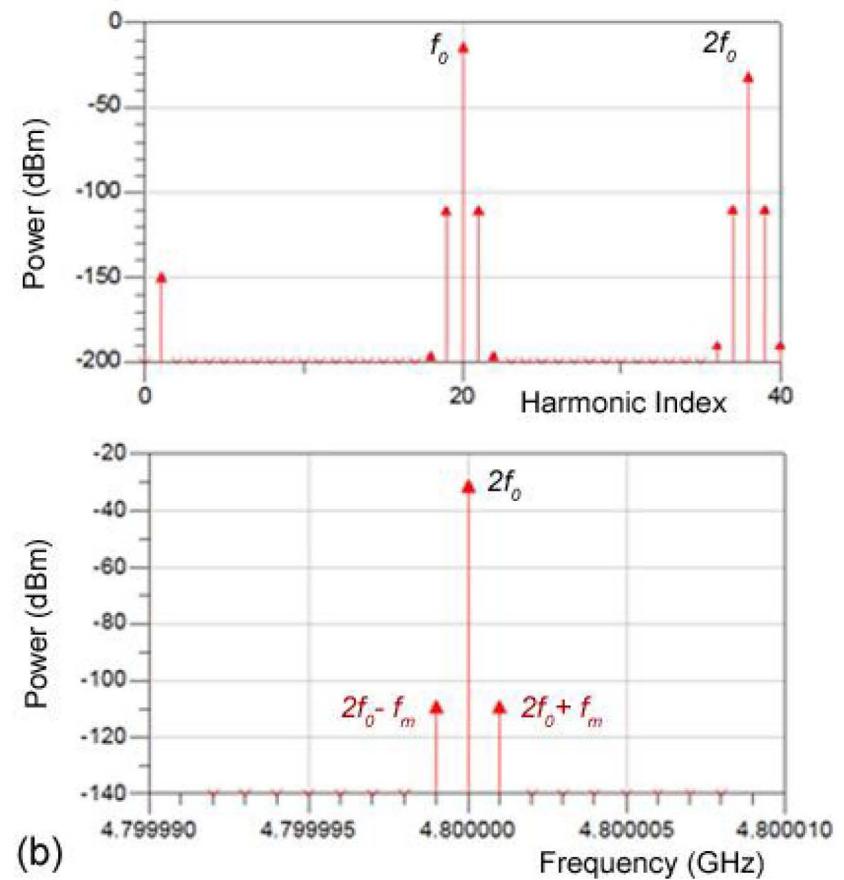
$$P_t = \sigma \frac{P_T G_T}{4\pi R_1^2}$$

$$\sigma = 4\pi r^2 \frac{S_t}{S_r} = \frac{\lambda_1^2}{4\pi} G_r G_{2\omega} G_t$$

Appendix IV: ADS Circuit Simulations



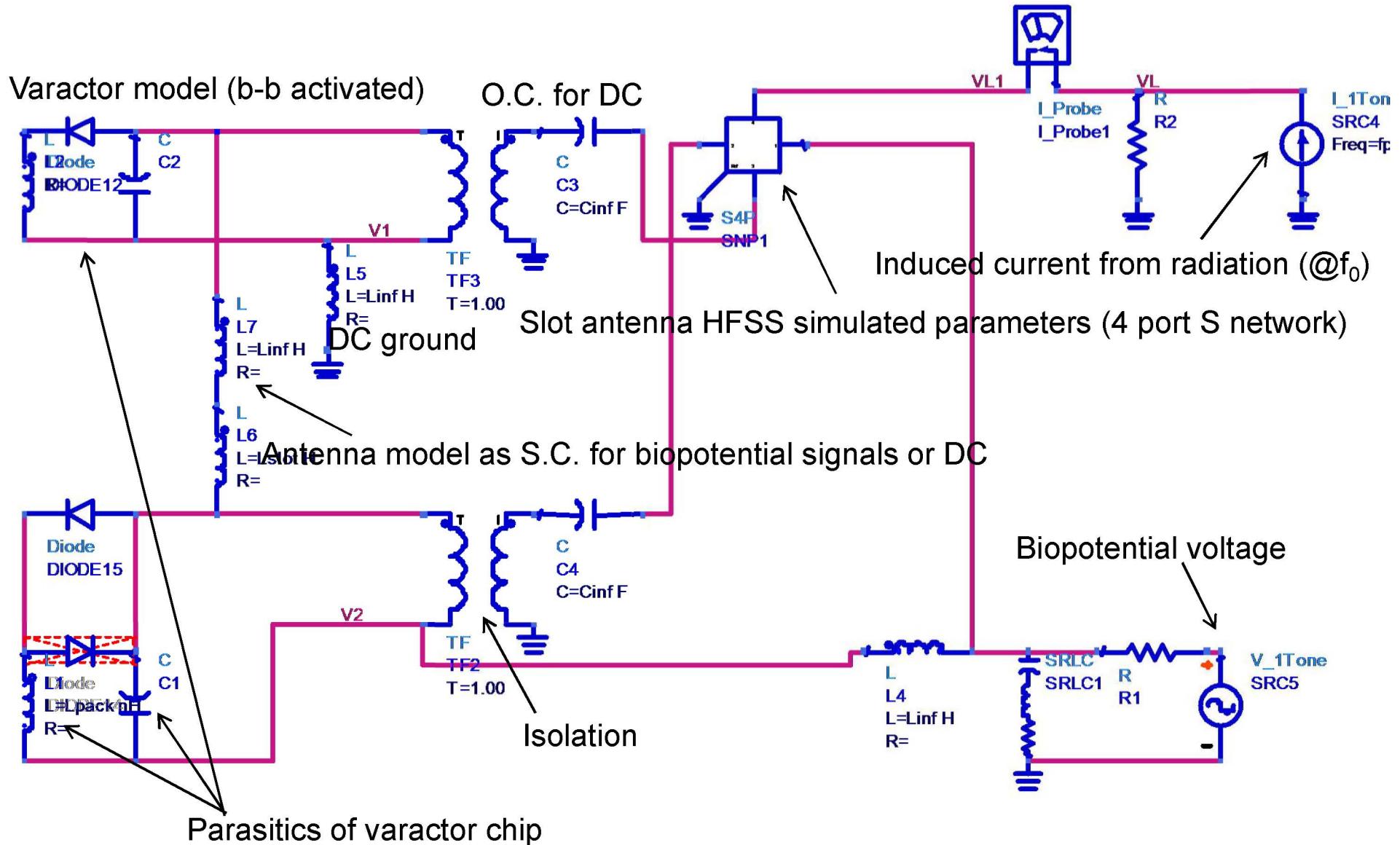
(a)



(b)

Simulated backscattering spectral response with V_m of $100 \mu\text{V}_{\text{pp}}$ sinusoidal at f_m (IF) of 1 kHz, incident radiated power, P_0 , of 1 mW (0 dBm) at f_0 of 2.4 GHz.

Appendix IV(b): Detailed ADS



Appendix V: Demodulator

Simplified Block Diagram

