

“The ‘ kTC Noise’ – Equipartition, Fluctuation-Dissipation and Detection Sensitivity”

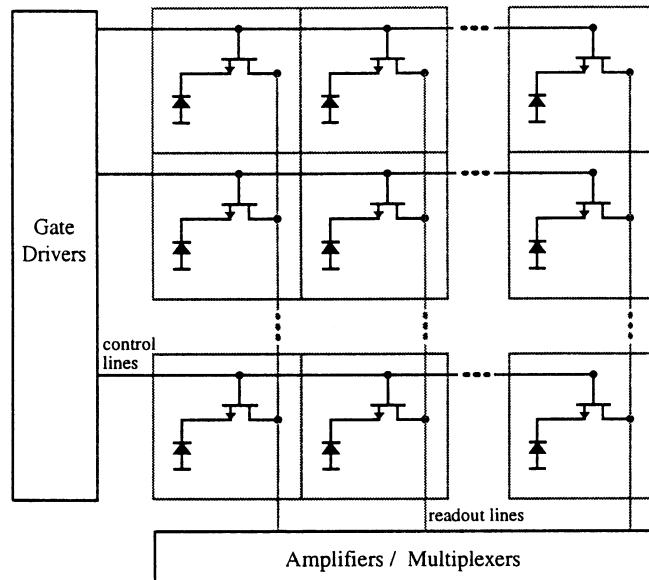
Veljko Radeka
(Seminar at BNL on June 5, 2002)

Noise in electronic and electromechanical systems is usually analyzed in the context of its frequency spectrum and of all sensor parameters. The so called “ kTC ” noise, i.e., the fluctuation of the charge stored on a capacitance C , sometimes referred to as “reset noise”, and/or, “reset transistor noise”, refers to the *total fluctuation* as governed by the equipartition principle. In some cases, it represents a limit to the measurement accuracy. In some other cases, with most radiation detectors and CCDs, it only represents the worst case, and a much better noise performance can be achieved. While the total charge fluctuation on a capacitance is determined as kTC by the equipartition principle, the noise affecting the measurement can be reduced to a very small fraction of this value, by minimizing the dissipative real part of the node impedance, and by restricting the bandwidth to the region of the frequency spectrum where the noise from the dissipative part is negligible. The total fluctuation limit is most difficult to avoid in the simplest detector readout schemes, such as with pixel matrix imagers. The relation between the equipartition principle and the dissipation-fluctuation theorem on the one side, and the detailed properties of the noise and circuit functions on the other, is explored. The equivalence between the electronic circuits and electromechanical systems will be discussed. In particular, the following questions will be addressed:

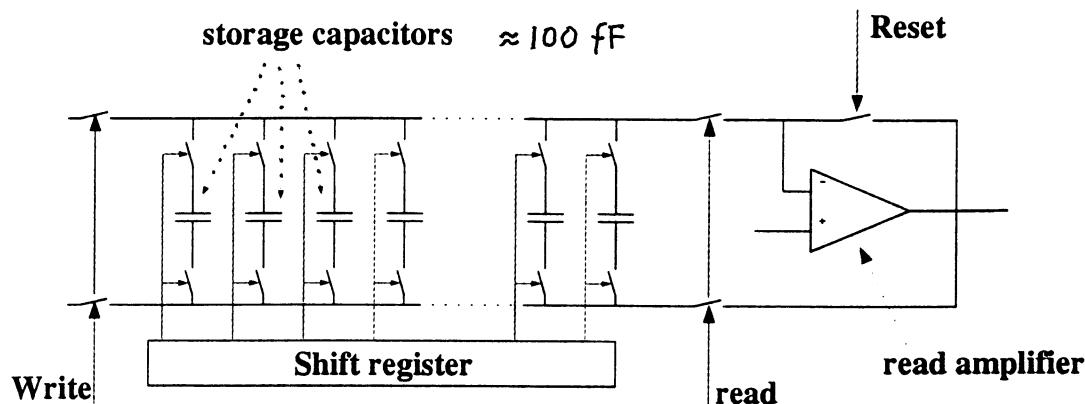
- Spectrum and autocorrelation function of the kTC noise;
- Transient behavior of kTC noise in switched and sampled circuits;
- If kTC on 1pF is 400 rms e , how can one achieve $<10 \text{ rms e}$?
- The noise in pixel matrix imagers: When can the kTC noise be reduced?
- Active reset in pixel matrix imagers and the role of feedback;
- kTC noise limits in single-electron electronics;
- Equipartition, and the noise in mechanical sensor systems (e.g., MEMS cantilevers, vibration insulators in gravity wave detectors).
- Noise in resonant (electromechanical) systems and the role of the quality factor Q .

$$S_q^2=k_BTC$$

Is kTC a limit?

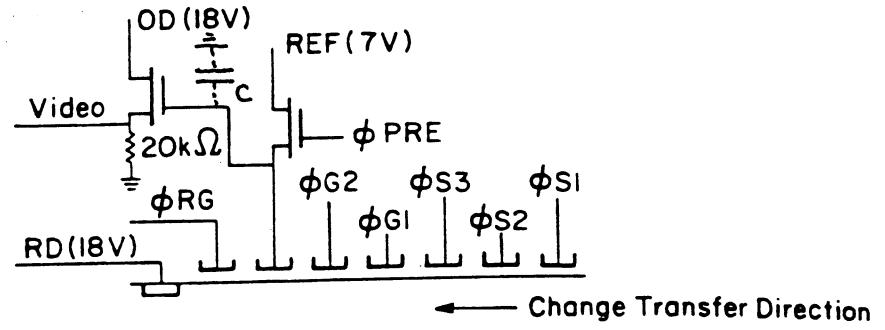


a) Matrix imager: noise?

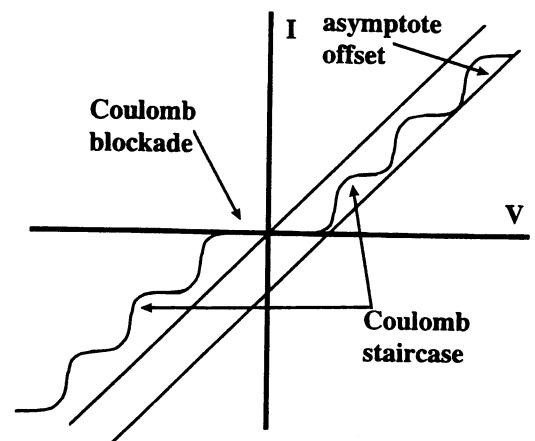
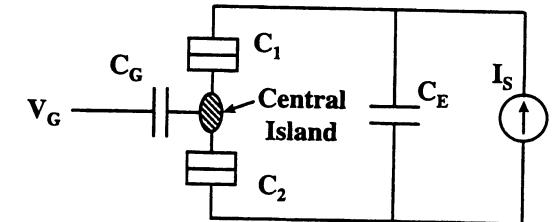


c) Analog memory: dynamic range?

b) CCD
 $C \approx 50 \text{ fF}$
 $\tilde{G}_d \approx 80 \text{ rms e}$
 $< 1 \text{ e}$



c)
single e
response



Mechanical systems

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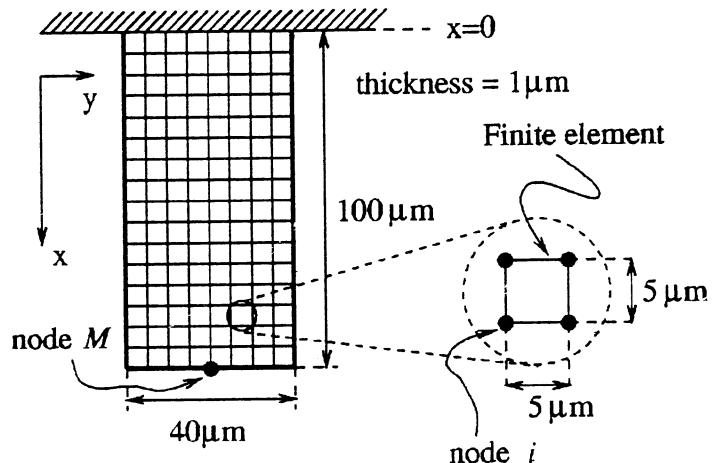
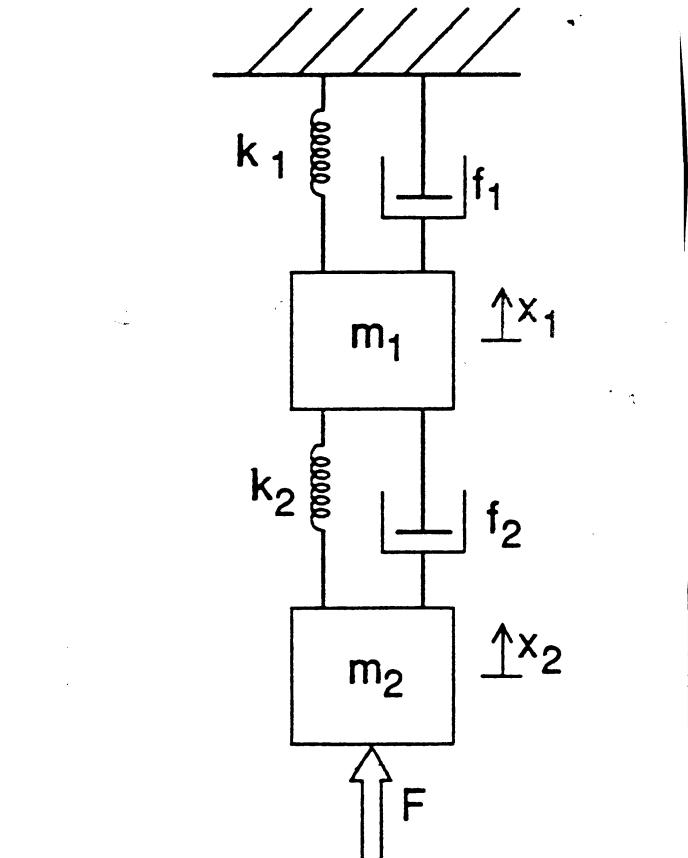


FIG. 3. FEM modeling of a cantilever beam and the electrical model. The length and the width of the cantilever is 100 and 40 μm , respectively. The thickness of the cantilever is 1 μm . Cantilever material is silicon (Young modulus, $E = 130 \text{ Pa}$, density, $\rho = 2.332 \text{ g/cm}^3$, Poisson ratio, $\sigma = 0.278$). Node M is in the middle of the free end.

Sensors : AFM , acceleration, pressure,
acoustics



Vibration isolators
(e.g., in gravitational detectors)

Equipartition Theorem $\frac{1}{2}k_B T$ per:

“degree of freedom”
 “energy storage mode”
 “quadratic term”
 “state variable”

capacitance
 inductance
 mass
 moment of inertia
 spring

C

L

m

I

k

$$E = \frac{1}{2} C \bar{v^2} = \frac{1}{2} k_B T$$

$$\frac{1}{2} L \bar{i^2}$$

$$\frac{1}{2} m \bar{v_x^2}$$

$$\frac{1}{2} I \bar{\phi'^2}$$

$$\frac{1}{2} k \bar{x^2}$$

$$\frac{1}{2}$$

↑
total fluctuation →
 (for entire frequency spectrum)

If $P(E) \propto \exp(-E/kT)$
 (Boltzmann),
 then probability dP for $v, v+dv$

$$dP = A_0 \exp\left(-\frac{1/2 C v^2}{k_B T}\right) dv$$

from $\int dP = 1$,

$$A_0 = \frac{C}{2\pi k_B T} , \text{ and the variance is,}$$

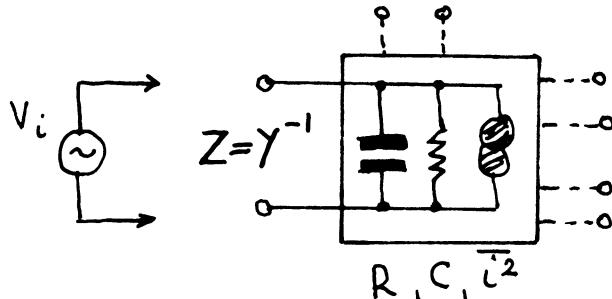
$$\sigma_v^2 = \bar{v^2} = A_0 \int_{-\infty}^{\infty} v^2 \exp\left(-\frac{C v^2}{2 k_B T}\right) dv =$$

$$\begin{cases} \sigma_v^2 = \frac{k_B T}{C} \\ \sigma_q^2 = \sigma_v^2 \cdot C^2 = k_B T C \end{cases}$$

Fluctuation-Dissipation Theorem

Key concept: the **driving point** impedance/admittance

$$Z = Y^{-1}$$



Real part determines **dissipation**:

$$Y = \frac{1}{R} + j\omega C$$

$$\operatorname{Re}\{Y\} = \frac{1}{R}$$

$$P_d = V_i^2 / R$$

. . . and **fluctuation** (Nyquist):

$$\overline{i^2} = 4k_B T \quad \operatorname{Re}\{Y\} = 4k_B T \frac{1}{R} \quad [\text{A}^2/\text{Hz}]$$

n – port network: Y or Z – parameter network matrix: (Y_{11} to Y_{nn})

Then:	$\overline{e_{ii}^2} = 4k_B T$	$\operatorname{Re}\{Z_{ii}\}$	$[\text{V}^2/\text{Hz}]$
	$\overline{i_{ii}^2} = 4k_B T$	$\operatorname{Re}\{Y_{ii}\}$	$[\text{A}^2/\text{Hz}]$

Correlation port-to-port: $\overline{e_i \cdot e_k^*} = 4k_B T \operatorname{Re}\{Z_k^i\}$

Brownian Motion

Brown (1827)
Einstein (1905-7)
Ornstein,
Uhlenbeck,
Goudsmit (1929-30)
Langevin

Energy & Particle Distribution, Equipartition, Entropy, etc.

Maxwell (1860)
Boltzmann (1871-8)
Einstein (1905)
Nernst
Onsager (1931)

Noise

Johnson (1926)
Nyquist (1928)

Fluctuation -Dissipation

Callen,
Welton,
Greene (1951-2)

CCDs, Switched Capacitor Circuits; Single - e Transistors; MEMS Sensors, AFM, Gravitational Wave Detectors

McCombie (1952)
Saulson (1990)
Gabrielson (1993)
Yaralioglu-Atalar (1999)

Tools:

- statistical mechanics
- circuit analysis
- probability & statistical analysis of signals

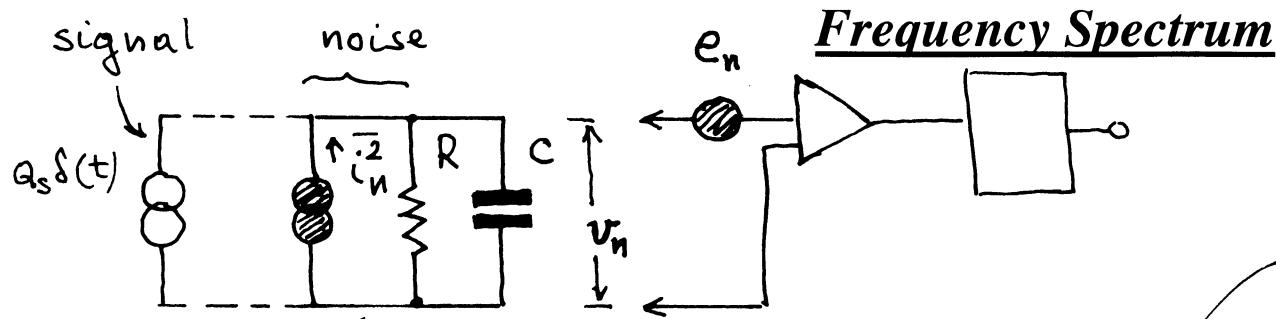
Circuit & Signal Analysis:

Campbell,
Norton,
Thevenin,
Bode,
Wiener,
Khintchine,
Parseval

Acknowledgments

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Bo Yu*



$$Y = \frac{1}{R} + j\omega C$$

$$\bar{i_n^2} = 4k_B T / R$$

$$\bar{v_n^2} = \bar{i_n^2} |Y^{-1}(\omega)|^2 = 4k_B T R \frac{1}{1 + (\omega CR)^2}$$

Total fluctuation:

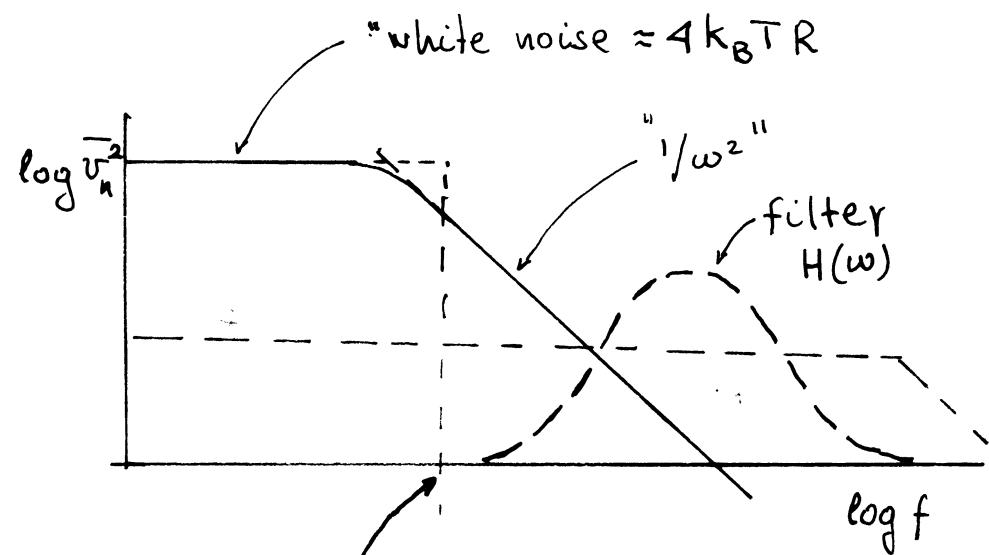
$$\sigma_v^2 = \int_0^\infty \bar{v_n^2} df = \frac{k_B T}{C}$$

$$\sigma_q^2 = k_B T C$$

“independent of R”

at 293k:

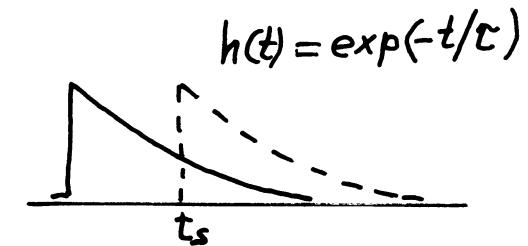
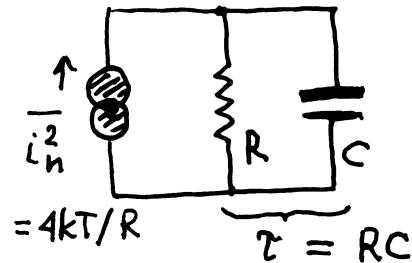
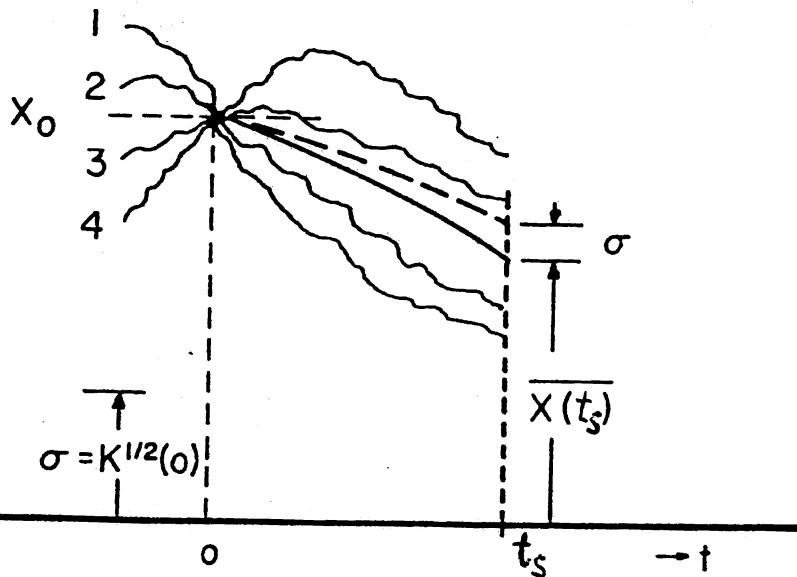
<u>C</u>	<u>σ_q[rms e]</u>	<u>σ_v</u>
1 pf	400	$63\mu V$
100 fF	127	$200\mu V$
10 fF	40	$0.63mV$
1 aF	0.4	$63mV$



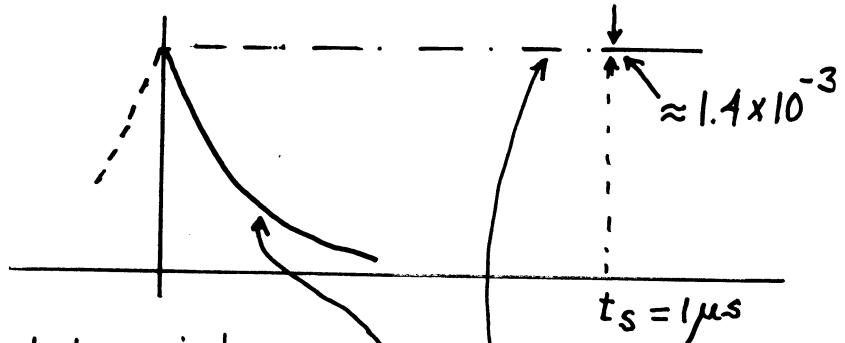
$$\text{Eq. bandwidth } f_h = \frac{1}{4RC}$$

- | | | |
|---------------------|----------------------|-------------------------|
| 1. $C=1\text{pF}$ | $R=1\text{G}\Omega$ | $RC = 1\text{ms}$ |
| 2. $C=100\text{fF}$ | $R=10\text{k}\Omega$ | $f_h = 250 \text{ Hz}$ |
| | | $RC = 1\text{ns}$ |
| | | $f_n = 250 \text{ MHz}$ |

Autocorrelation Function



$$k(t_s) = \int_0^\infty h(t + \frac{t_s}{2}) \cdot h(t) dt = \exp\left(-\frac{|t_s|}{\tau_F}\right)$$



$$\frac{X(t_s)}{X_0} = \frac{K(t_s)}{K(0)} = k(t_s)$$

$$\sigma^2 = K(0) - \frac{K^2(t_s)}{K(0)} = \sigma^2 [1 - k^2(t_s)]$$

Reset transistor:

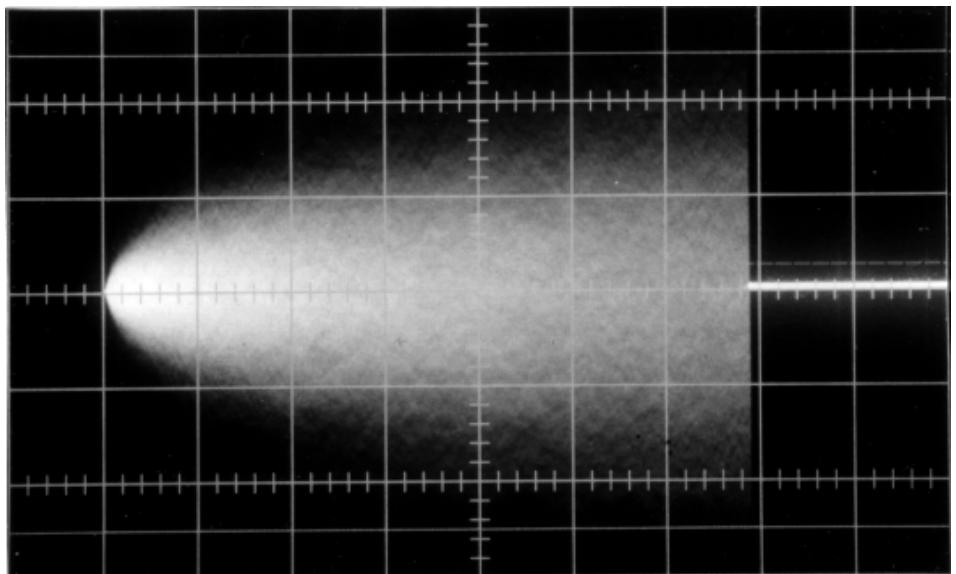
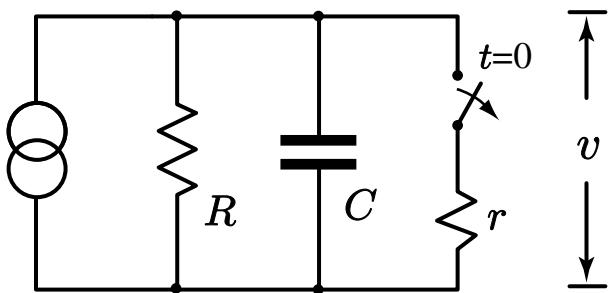
$$\left. \begin{array}{l} C = 100 \text{ fF} \\ R_{ON} = 10^6 \Omega \end{array} \right\} 100 \text{ ns}$$

$$\left. \begin{array}{l} C = 100 \text{ fF} \\ R_{OFF} = 10^{13} \Omega \end{array} \right\} 1 \mu\text{s}$$

$$\frac{r_v}{(k_B T/C)^{1/2}} = (1 - e^{-2t_s/\tau})^{1/2}$$

σ_v, σ_q vs. Time — Transient Response

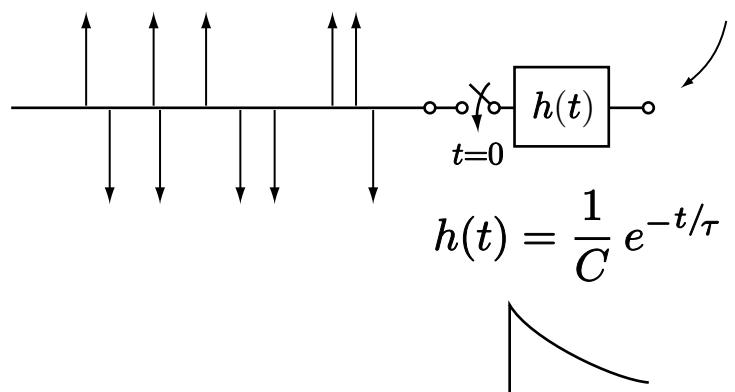
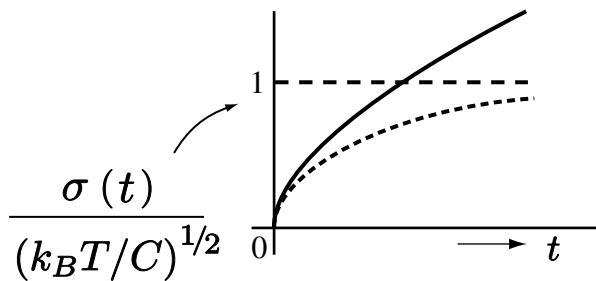
$$\overline{i_n^2} = 4k_B T/R$$



Campbell:

$$\sigma_v^2 = \frac{1}{2} \overline{i_n^2} \int_0^t h^2(u) du = \frac{k_B T}{C} (1 - e^{-2t/\tau})$$

$$\underline{\sigma_v / (k_B T/C)^{1/2}} = \underline{(1 - e^{-2t/\tau})^{1/2}}$$

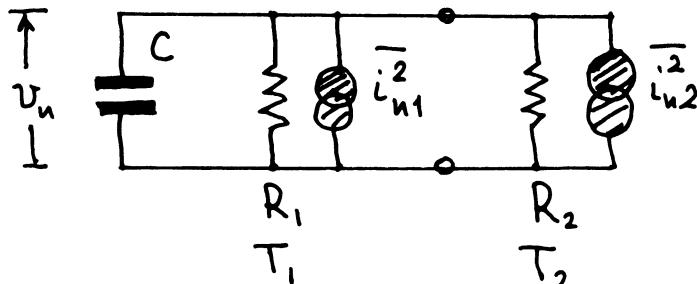


$$\text{For } t/\tau \ll 1: \quad \sigma_v^2 \propto t \quad (\text{random walk})$$

$$\sigma_v \approx (k_B T/C)^{1/2} \cdot \left(2 \frac{t}{\tau}\right)^{1/2}$$

$$\text{For } \begin{cases} \tau = RC = 1\text{s}, \\ t = 1\mu\text{s} \end{cases} \quad \left. \right\} \sigma_v / (k_B T/C)^{1/2} \approx 1.4 \times 10^{-3}$$

Two Resistors and “Cooled Damping”

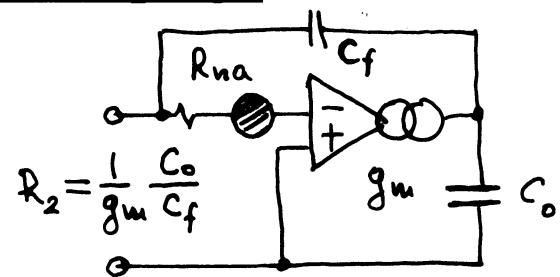
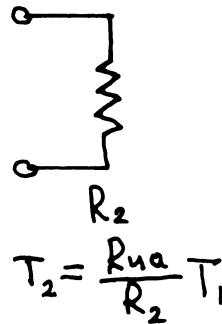


Total fluctuation (all frequencies):

$$\sigma_v^2 = \frac{k_B}{C} \cdot R_1 \| R_2 \left(\frac{T_1}{R_1} + \frac{T_2}{R_2} \right)$$

$$1. \text{ for } T_1 = T_2 \rightarrow \sigma_v^2 = \frac{k_B T_1}{C}$$

$$2. \text{ if } T_2 = 0 \rightarrow \sigma_v^2 = \frac{k_B T_1}{C} \cdot \frac{1}{1 + R_1 / R_2}$$



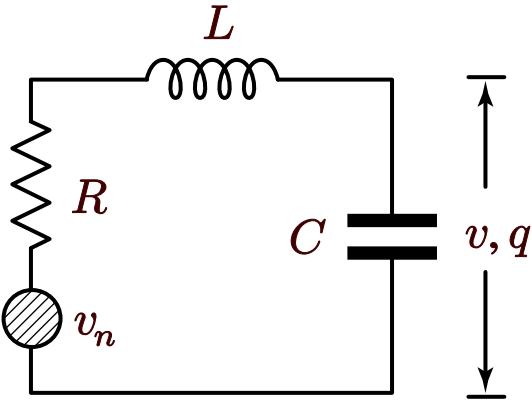
With feedback (cooled) damping:

$$\sigma_v^2 = \frac{k_B T_1}{C} \cdot \frac{1}{1 + R_1 / R_2} \left(1 + \frac{R_{na} R_1}{R_2^2} \right)$$

$$\sigma_v \text{ min for } R_2 = (R_1 R_{na})^{1/2}$$

$$\rightarrow \sigma_v^2 = \frac{k_B T_1}{C} \cdot \frac{2}{1 + (R_1 / R_{na})^{1/2}}$$

$$\left. \begin{array}{l} R_1 = 10^6 \Omega \\ R_{na} = 100 \Omega \end{array} \right\} \left. \begin{array}{l} R_2 = 10^4 \Omega \\ \sigma_v^2 \approx \frac{k_B T_1}{C} \cdot \frac{1}{50} \end{array} \right.$$



Resonant Systems

$$\begin{aligned}
 V &\leftrightarrow F \\
 q &\leftrightarrow z \\
 i &\leftrightarrow v_z \\
 L &\leftrightarrow m, I \\
 C &\leftrightarrow 1/k
 \end{aligned}$$

$$L \frac{di}{dt} + Ri + \frac{1}{C} \int idt = v_n$$

$$\frac{d^2q}{dt^2} + \frac{\omega_0}{Q} \frac{dq}{dt} + \omega_0^2 q = v_n C \omega_0^2$$

$$\overline{q_n^2} = 4k_B T R C^2 \cdot |G(f)|^2$$

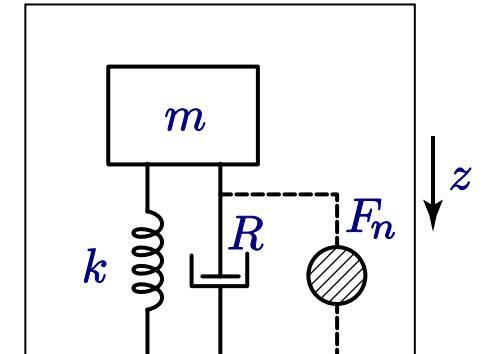
$$\omega_0 = \sqrt{LC}$$

$$Q = \frac{\sqrt{L/C}}{R} = \frac{\omega_0 L}{R}$$

For $\omega/\omega_0 \ll 1$:

$$\overline{q_n^2} = k_B T C \frac{4}{Q\omega_0}$$

$$\overline{z_n^2} = k_B T \frac{1}{k} \cdot \frac{4}{Q\omega_0}$$



$$m \frac{d^2z}{dt^2} + R \frac{dz}{dt} + kz = F_n$$

$$\frac{d^2z}{dt^2} + \frac{\omega_0}{Q} \frac{dz}{dt} + \omega_0^2 z = F_n \frac{\omega_0^2}{k}$$

$$\overline{z_n^2} = 4k_B T R \frac{1}{k^2} |G(f)|^2$$

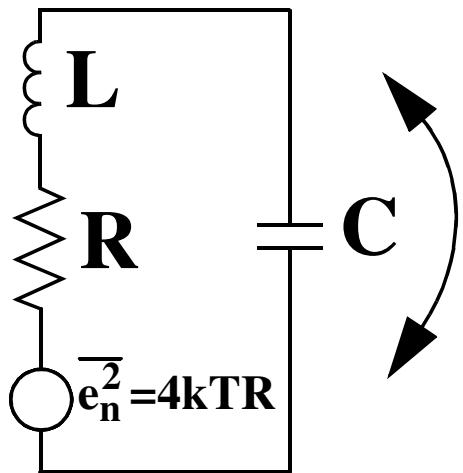
$$\omega_0 = \sqrt{k/m}$$

$$Q = \omega_0 m / R$$

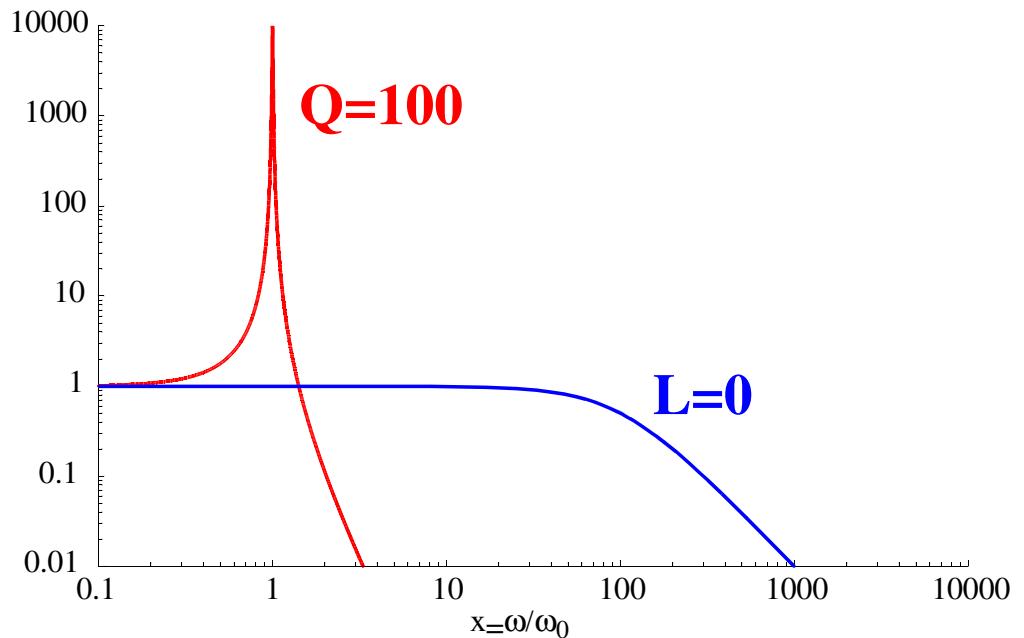
$$|G(f)|^2 = \frac{1}{\left[1 - \left(\frac{\omega}{\omega_0}\right)^2\right]^2 + \left(\frac{\omega}{\omega_0}\right)^2 \frac{1}{Q^2}}$$

$$\sigma_q^2 = \int \overline{q_n^2} df = \underline{k_B T C} \quad \int \overline{z_n^2} df = k_B T \frac{1}{k} = \sigma_z^2$$

Noise Spectral Density and Equipartition Theorem



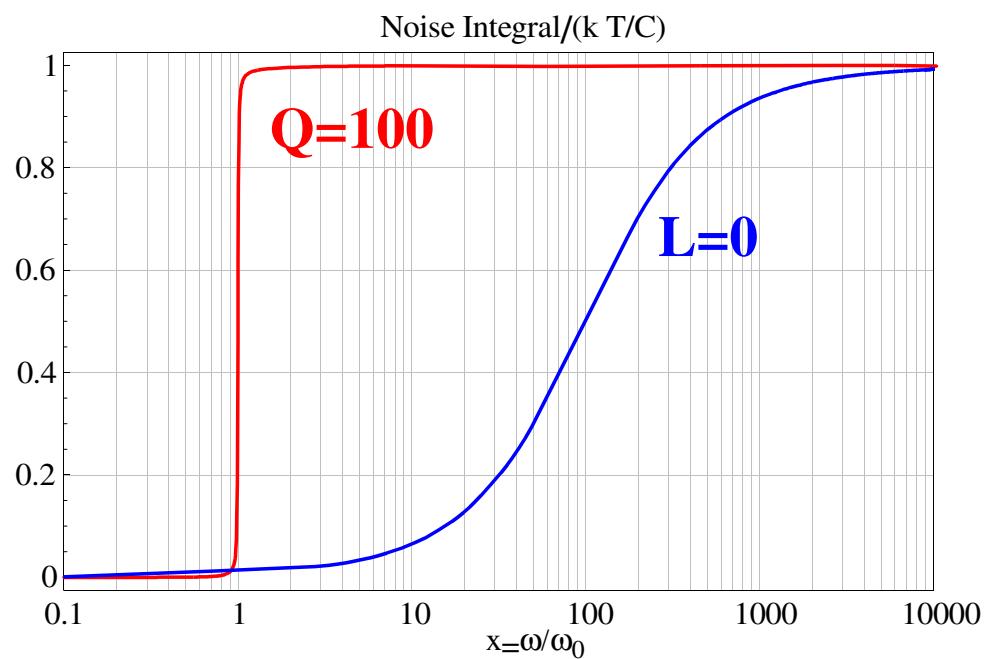
$$v_n^2(f) = 4kT R |G(f)|^2$$



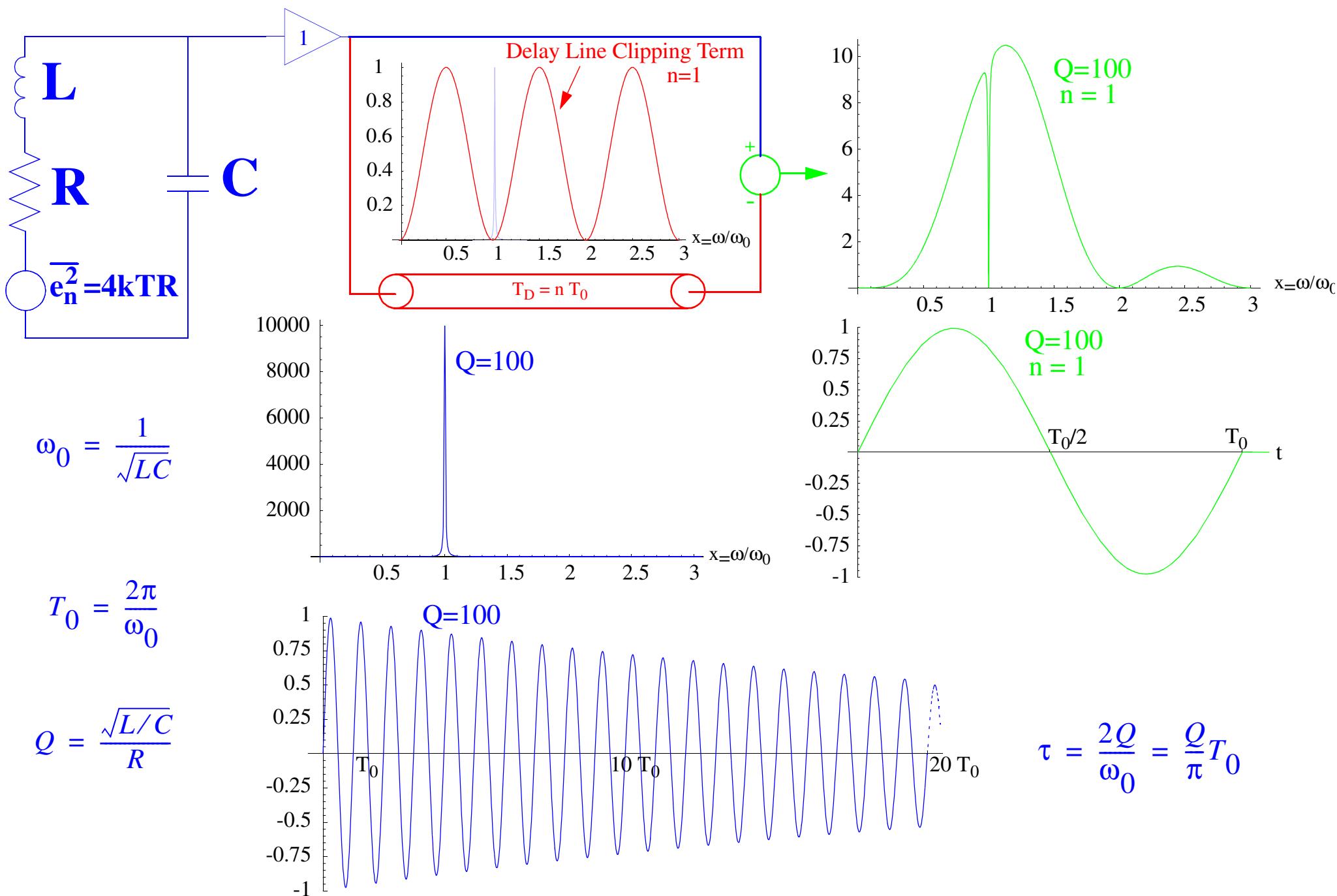
$$|G(f)|^2 = \frac{1}{(1+x^2)^2 + \frac{1}{Q^2}x^2}$$

$$|G(f)|_{L=0}^2 = \frac{1}{1 + \frac{x^2}{Q^2}}$$

$$4kT R \int_0^\infty |G(f)|^2 df = \frac{kT}{C}$$



Delay Line Noise Cancellation for a High Q Resonant Circuit



Impulse Detection by a Resonant Detector

Impulse response:

$$h(t) = \omega_0 e^{-\frac{\omega_0 t}{2Q}} \sin \omega_0 t$$

Campbell (superposition of noise impulses):

$$\sigma_v^2 = \frac{1}{2} 4k_B T R \int_0^t h^2(u) du$$

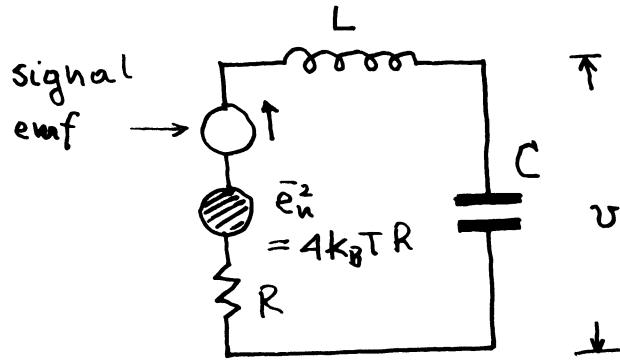
$$\tilde{\sigma}_v^2(n) = \frac{k_B T}{C} \left(1 - e^{-2\frac{\pi}{Q} n} \right)$$

for $Q \gg 1$, $n \ll \frac{Q}{\pi}$:

$$\overline{\sigma}_v^2(n) \approx \frac{k_B T}{C} \cdot \frac{2\pi n}{Q}$$

for $n=1$, $Q=100$

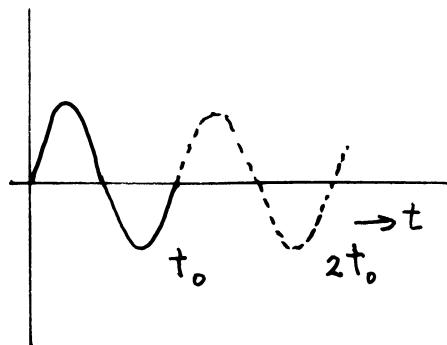
$$\frac{\tilde{\sigma}_v^2(1)}{k_B T / C} \approx \frac{1}{Q/2\pi} \approx \frac{1}{16}$$



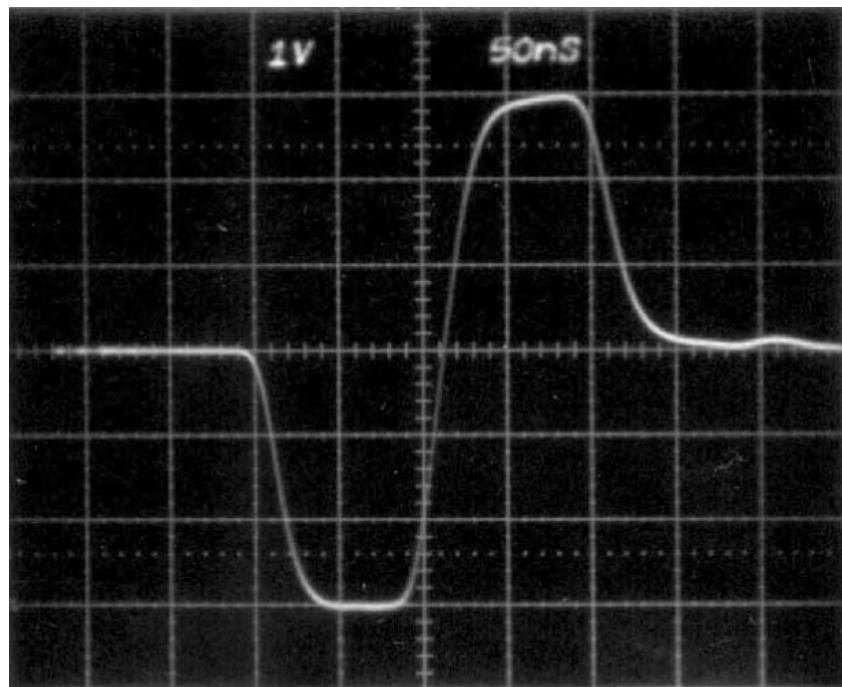
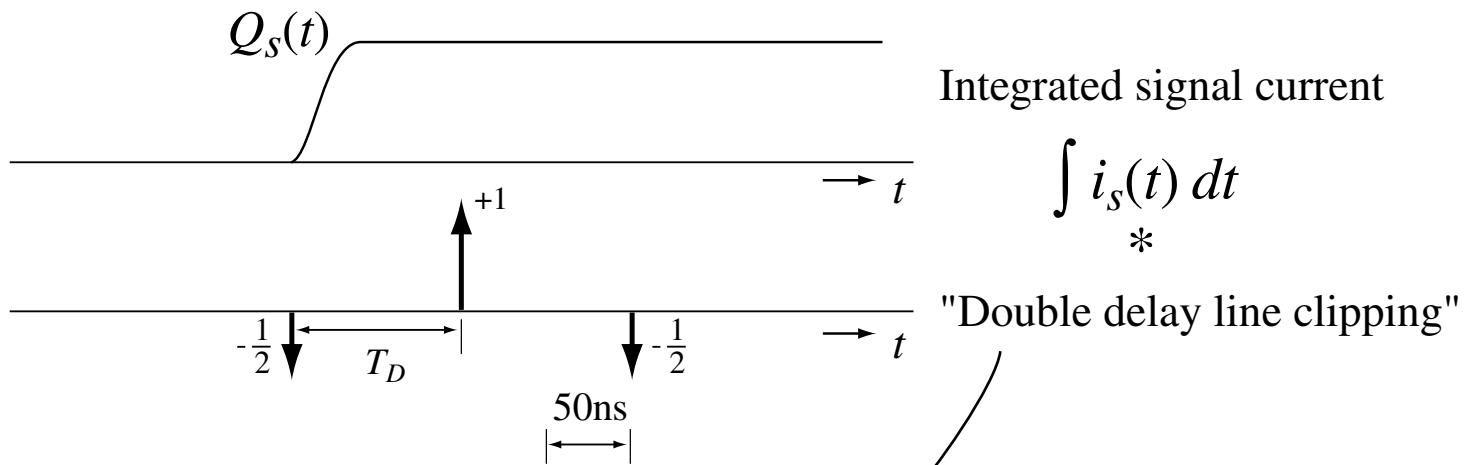
$$\omega_0 = (LC)^{-1/2}$$

$$Q = \frac{(L/C)^{1/2}}{R}$$

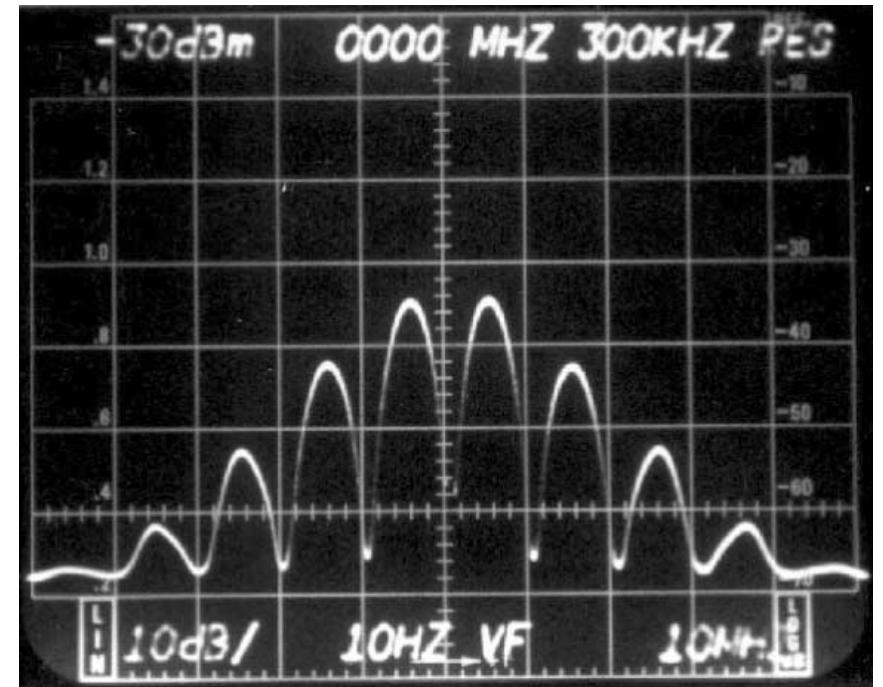
n = number of cycles



Equivalence of Double Delay Line Clipping and Triple Sampling



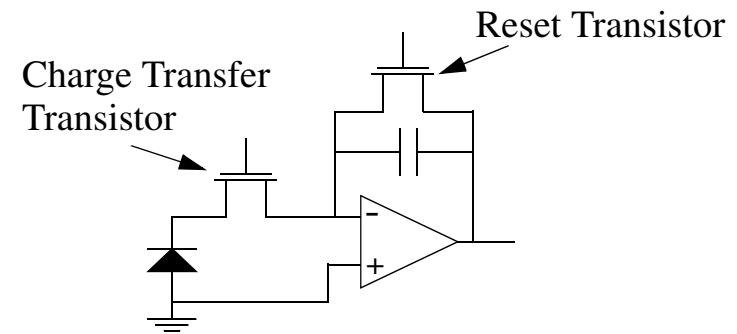
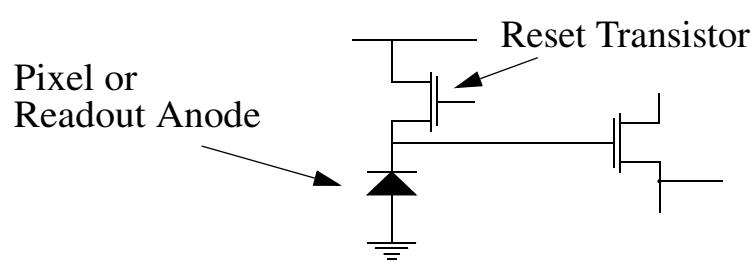
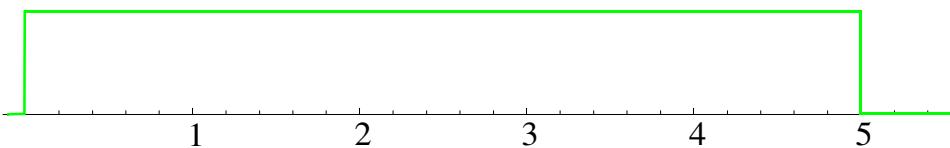
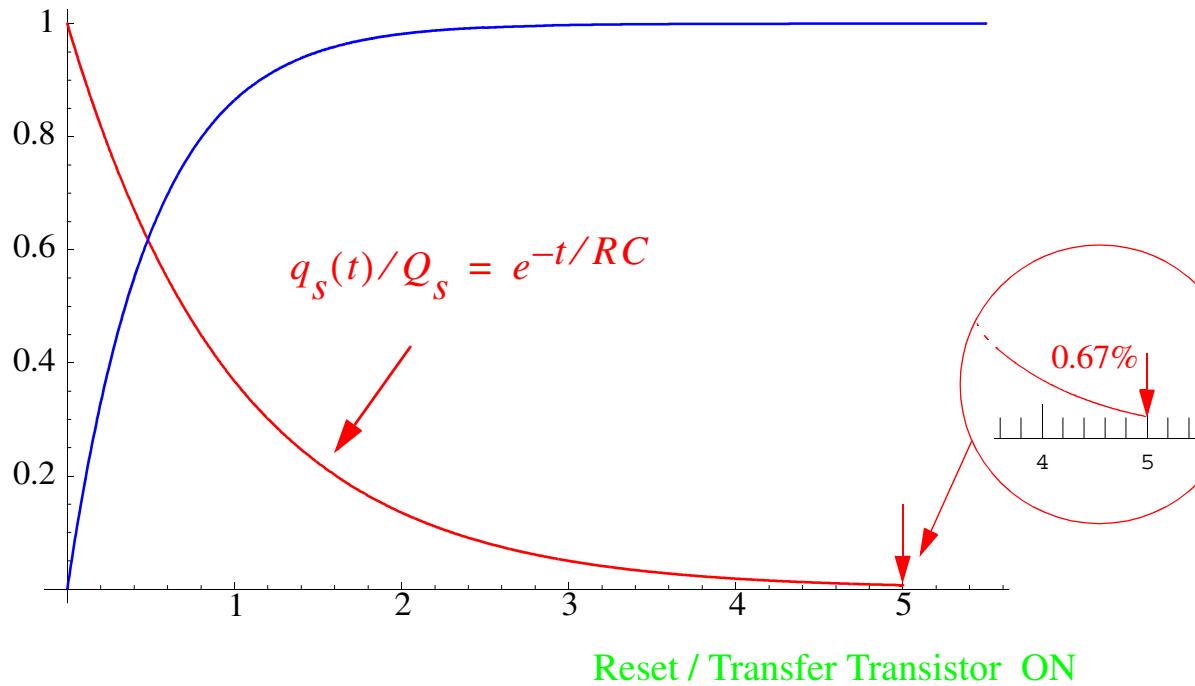
time domain



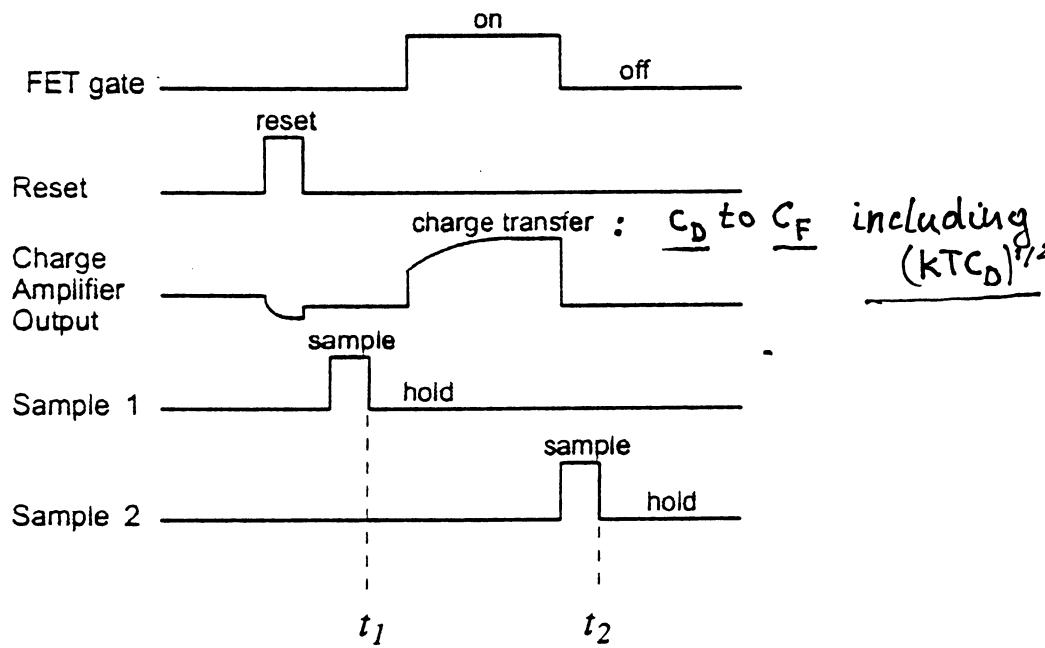
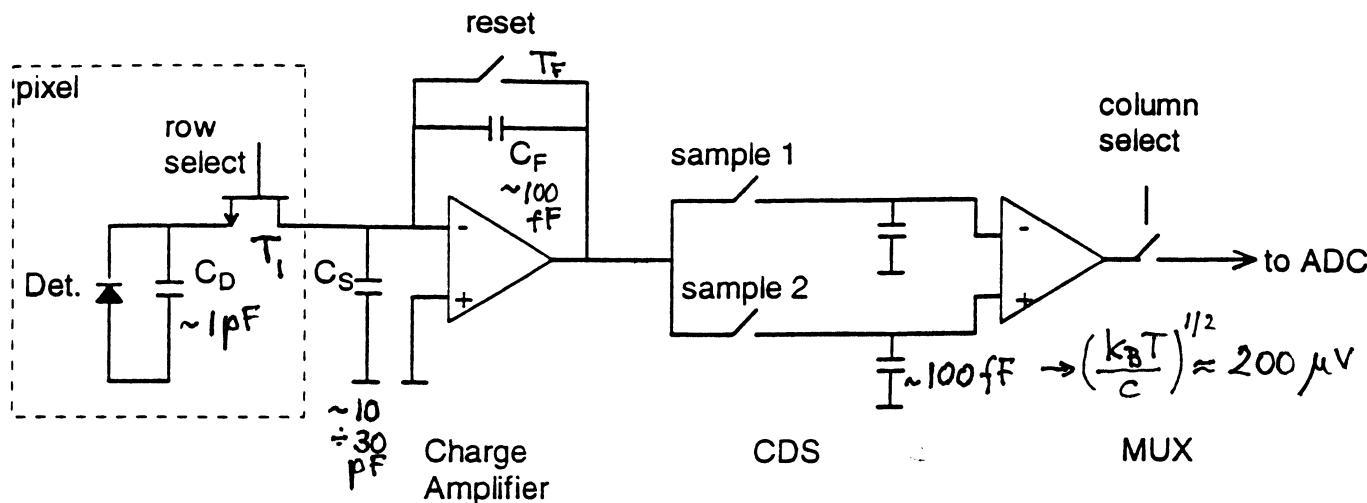
frequency domain

Reset, or Charge Transfer, and Noise

$$\sigma_q/(kTC)^{1/2} = (1 - e^{-2t/RC})^{1/2}$$



Single Transistor (switch) / pixel Matrix Readout



Rapid noise build-up ↑
on C_F

on C_D

$$C_F R_{ON} \sim 1-10 \text{ ns}$$

$$C_D R_{ON} \sim 100 \text{ ns} - 1 \mu\text{s}$$

$$C R_{OFF} \sim 1 \text{ ms} - 1 \text{ s}$$

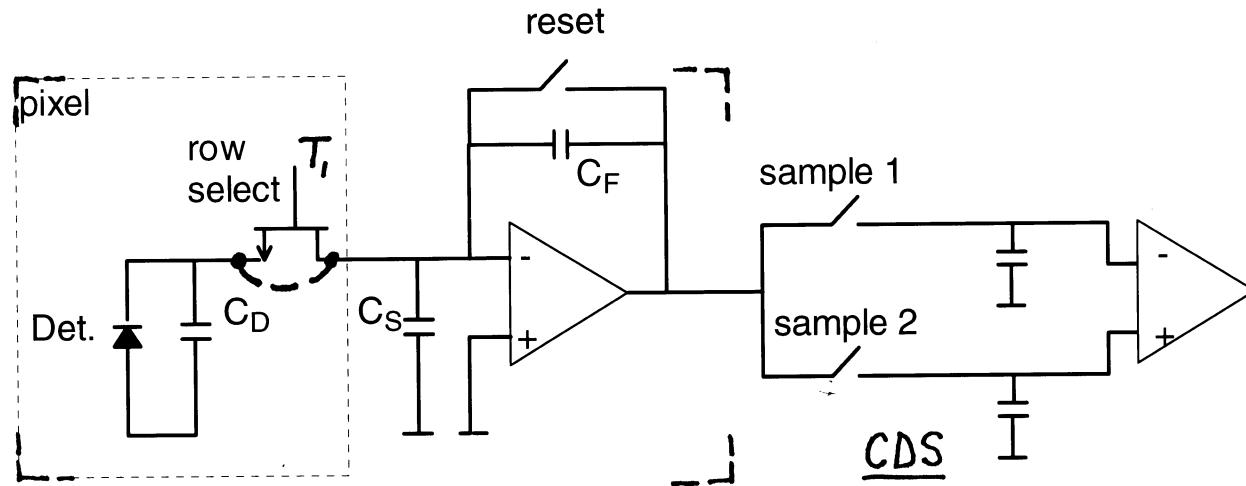
Noise limit :

$$(k_B T C_D)^{1/2}$$

$$\approx 400 \text{ rms e}$$

for $C_D = 1 \text{ pF}$

Matrix Readout: “Amplified Pixel” with Lowest Noise - Amplifier *in* the Pixel



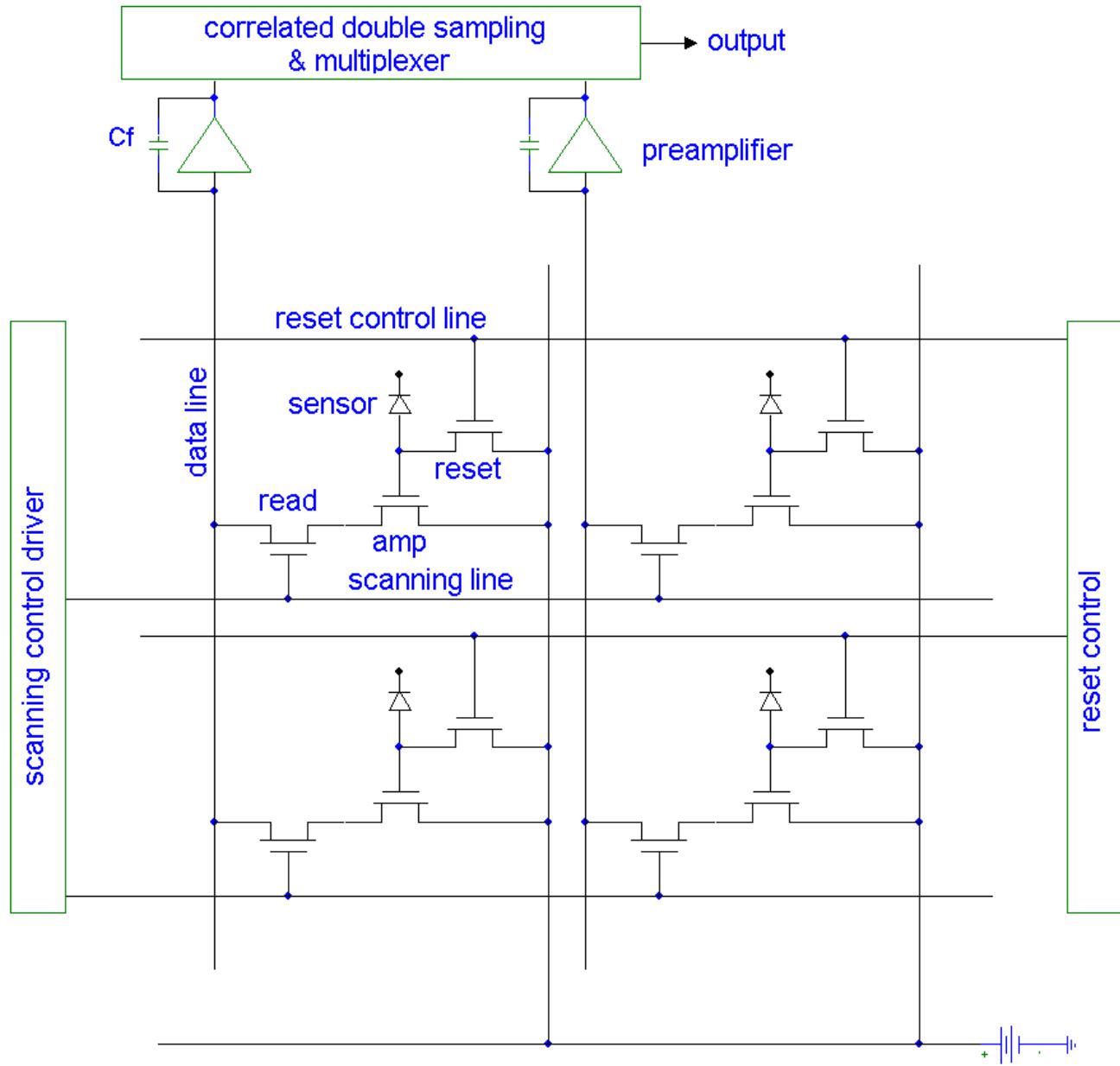
No switched transfer of charge - T_1 out!

Noise arising during reset of C_F :

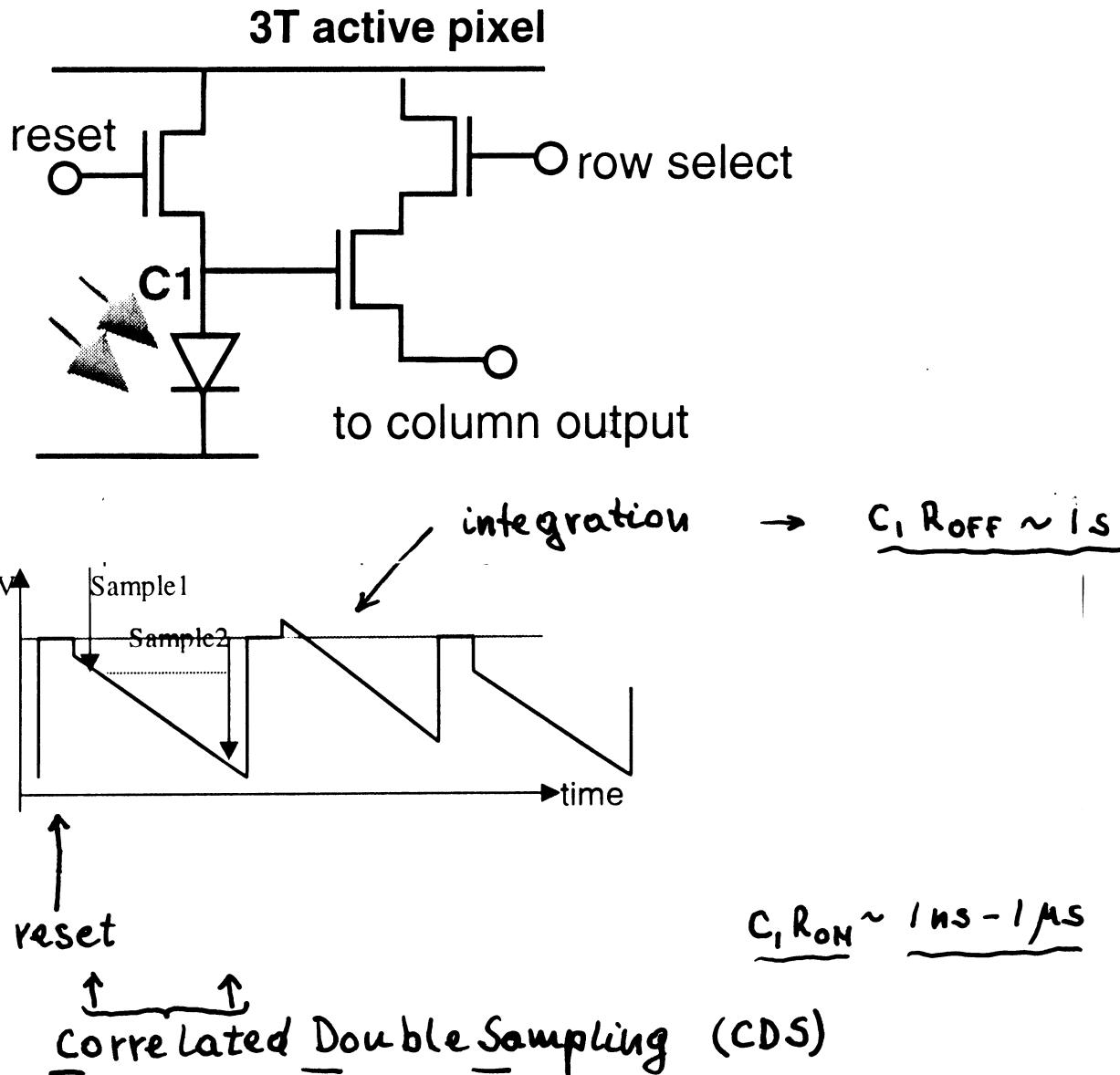
$$\sigma_q = (k_B T C_F)^{1/2} \text{ is lower than on } C_D, \text{ since } C_F \ll C_D$$

With Correlated Double Sampling (CDS), only amplifier series noise and detector leakage current noise remain.

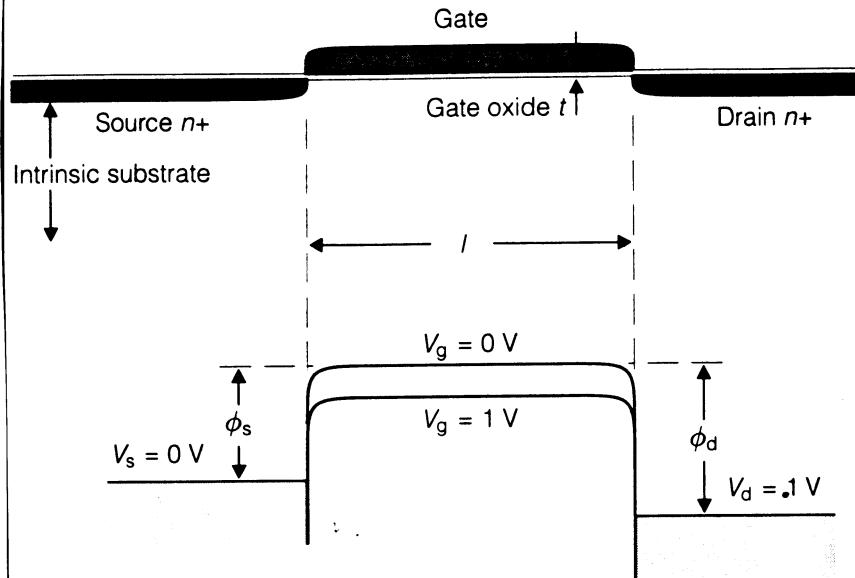
Matrix readout with “Amplified Pixel”



Integrating Detector with Matrix Readout



Can the noise be less than $k_B T C$ during reset or transfer of charge by a CMOS switch?



1. In strong inversion, the channel resistance R_{ON} generates thermal noise:

$$\sigma_q^2 = k_B T C$$

2. In weak inversion, and $V_{DS} > 60 \text{ mV}$

$$I_S \propto \exp\left(\frac{q_e V_{DS}}{k_B T}\right) \rightarrow g_{DS} = \frac{q_e}{k_B T} I_S$$

$$\overline{i_n^2} = 2q_e I_S = 2k_B T g_{DS} \quad g_{DS} = 1/R_{ON}$$

$$\sigma_q^2 = \frac{1}{2} k_B T C$$

3. In weak inversion, and $V_{DS} = 0$

$$I_D = -I_S \rightarrow I_{DS} = 0 ,$$

$$\text{but } \overline{i_n^2} = 4k_B T g_{DS} , \quad \text{and} \quad \sigma_q^2 = k_B T C$$

Yes, but with incomplete charge transfer, since $V_{DS} \neq 0$
(not in thermal equilibrium)

CCD

$$C \approx 50 \text{ fF}$$

$$\tau_g = (k_B T C)^{1/2} \approx 90 \text{ nus e}$$

After multiple measurements

$$\approx 0.5 \text{ nus e}$$

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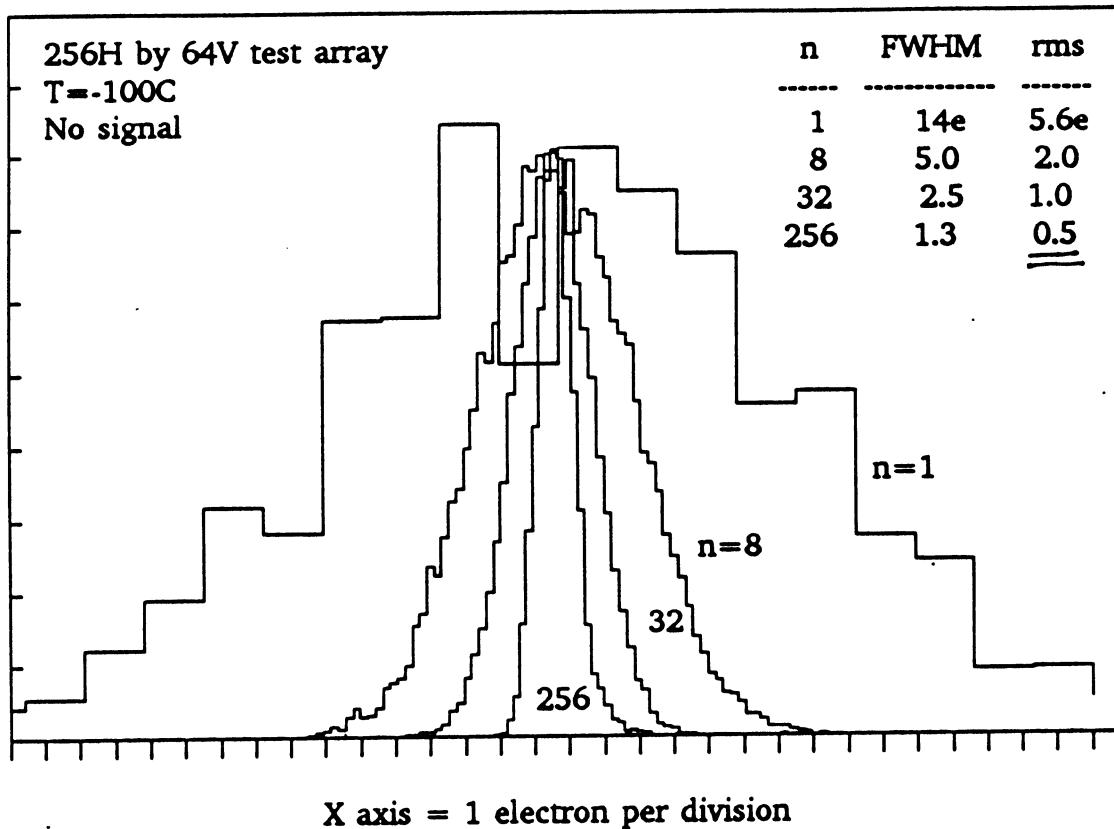


Figure 7. Readout noise histograms

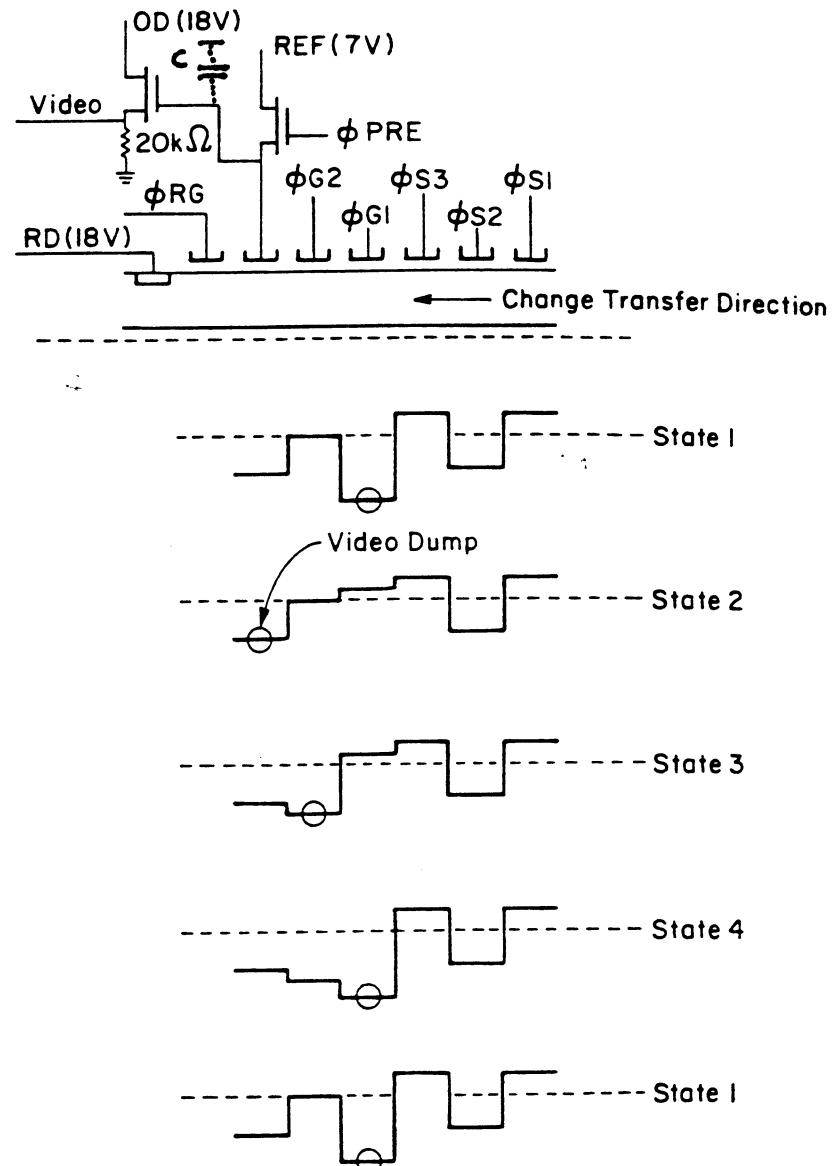
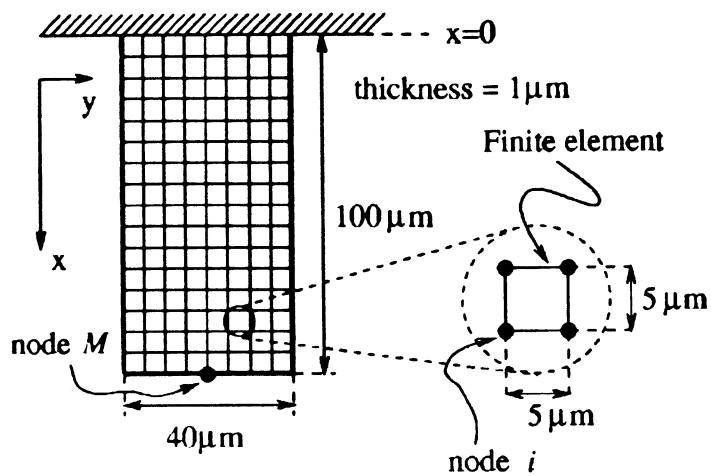
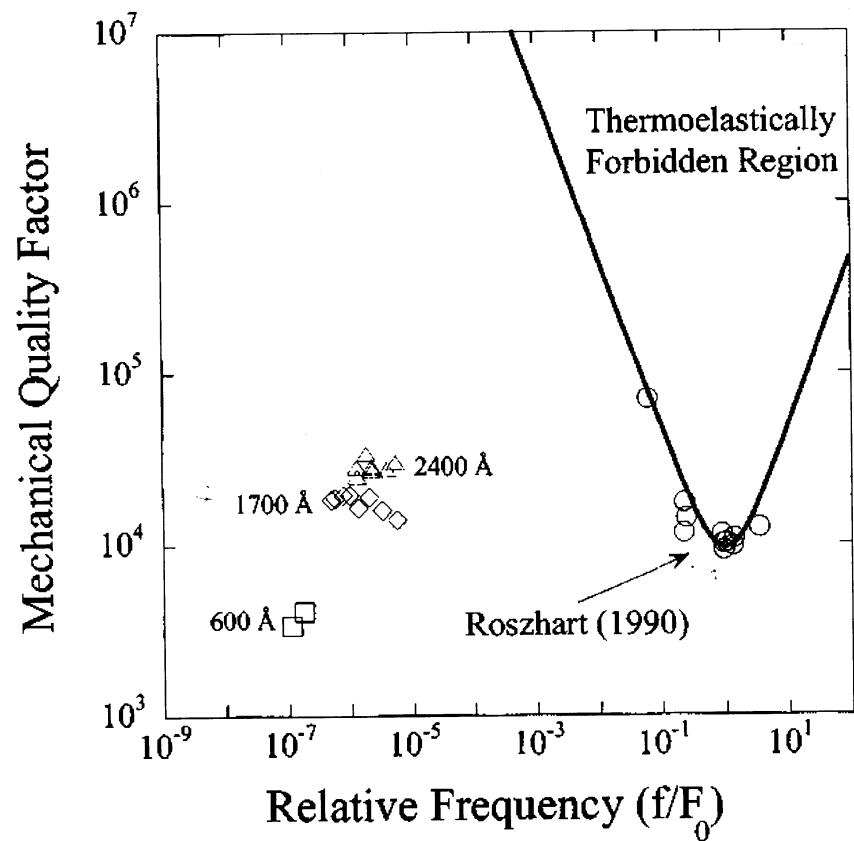
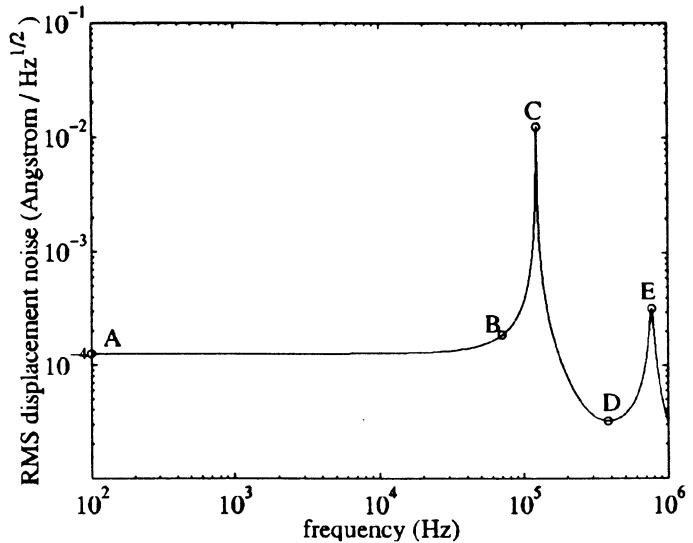


Fig. 2. Schematic diagram of floating gate amplifier and waveforms to perform multiple readouts of the same charge packet.

Cantilevers



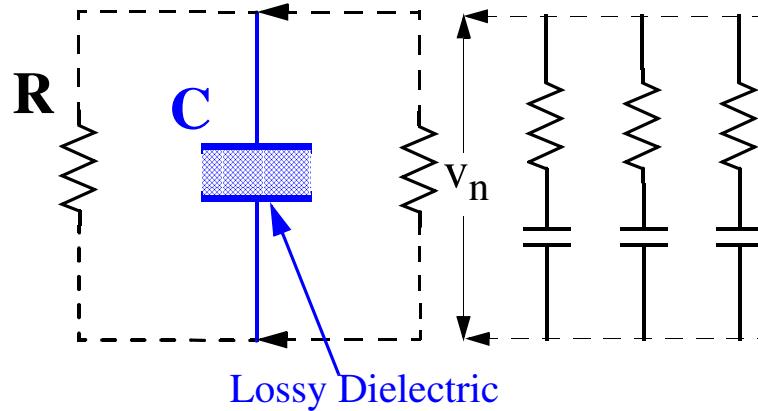
$$\begin{bmatrix} V_1 \\ V_2 \\ \vdots \\ V_n \end{bmatrix} = \underbrace{\begin{bmatrix} Z_{11} & Z_{12} & \dots & Z_{1n} \\ Z_{21} & Z_{22} & \dots & Z_{2n} \\ \vdots & \vdots & \ddots & \vdots \\ Z_{n1} & Z_{n2} & \dots & Z_{nn} \end{bmatrix}}_Z \underbrace{\begin{bmatrix} I_1 \\ I_2 \\ \vdots \\ I_n \end{bmatrix}}_I, \quad 189 \times 189$$



- Fused silica optic suspensions :

$$Q \sim 5 \times 10^7$$

Lossy Dielectrics and Complex Networks



$$\epsilon = \epsilon' + j\epsilon'' = \epsilon' \left(1 + j \frac{\epsilon''}{\epsilon'} \right)$$

$$\frac{\epsilon''}{\epsilon'} = D = \frac{1}{Q} = \frac{g(\omega)}{\omega C}$$

From the Fluctuation-Dissipation Theorem: $\overline{v_n^2} = 4k_B T D \frac{1}{\omega C}; \overline{q_n^2} = 4k_B T C \frac{D}{\omega}$

For charge measurement $ENC_D \approx k_B T C (2.4D)$
(ns to ms range)

For $C = 1 \text{ pF}$ at $T = 293 \text{ K}$

$$\sigma_q = (k_B T C)^{1/2} = 400 \text{ e rms}$$

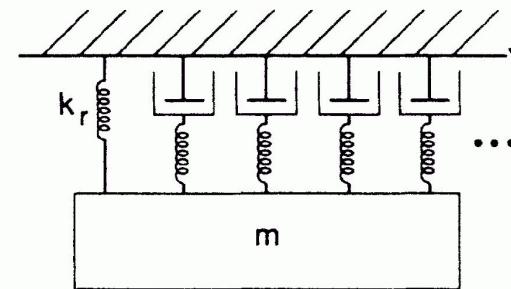
$ENC_a < 5 \text{ e}$ (with an optimized amplifier)

Dielectric Noise Contribution:

$$D \approx 5 \times 10^{-5}, \quad ENC_D \approx 4 \text{ e rms}$$

$$D \approx 2 \times 10^{-2}, \quad ENC_D \approx 86 \text{ e rms} \quad (\text{G10 circuit board})$$

Complex Spring Constant



$$k = k_r(1 + j\varphi)$$

k_r = "relaxed" spring constant

$$f = 1/Q \approx 10^{-4} - 10^{-8}$$

$$\overline{v_n^2}(\omega) = 4k_B T \frac{R(1 + CDR\omega)}{C^2 R^2 \omega^2 + (1 + CDR\omega)}$$

$$\sigma_v^2 = \int_0^{f_h} \overline{v_n^2}(f) df \cong \frac{k_B T \left(\pi + \frac{D^2}{\pi R C f_h (1 + D^2)} + \text{Log}(4\pi^2 R^2 C^2 [1 + D^2]) \right)}{\pi C (1 + D^2)} + \frac{2k_B T \text{Log}(f_h)}{\pi C (1 + D^2)}$$

$$\sigma_v^2 \approx \frac{k_B T}{C}$$

Concluding Remarks:

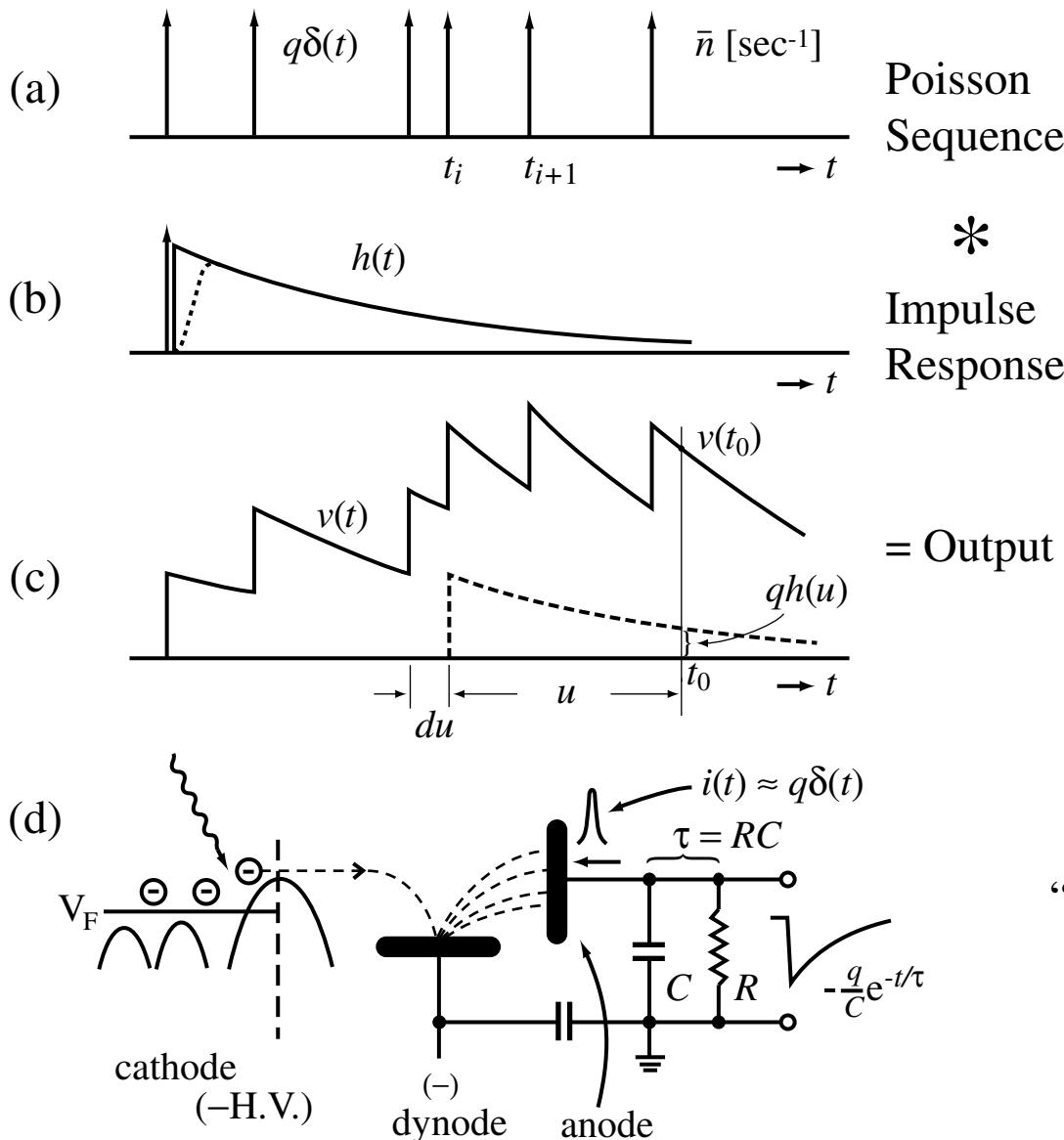
1. *Fluctuation-dissipation theorem* with Nyquist's expression for thermal noise is essential for calculation of noise spectra and for detailed information on noise sources.
2. *Equipartition theorem* provides no detailed information, but provides a *check on the integrals* of noise spectra (the total fluctuation).
3. *Transient behavior* of noise in switched capacitor circuits and matrix readout pixel arrays is best understood by means of *Campbell's theorem*, which provides *noise variance vs time*.
4. A complete charge reset and charge transfer by a switch result in $\sigma_q^2 = k_B T C$, independently of the switch ON resistance. This noise can be subtracted only if the *first sample* in the CDS is *before the signal*.
5. Transfer (i.e., direct transport) of charge without switching (as in a CCD) does not result in $k_B T C$ noise. *Reset* of the sense amplifier *does*.
6. In *resonant* sensors and vibration isolators, noise well *below the resonant frequency* is very important. It is inversely proportional to the quality factor Q.
7. *Impulse excitation* of resonant systems smaller than $k_B T$ can be detected by “*single cycle signal processing*”.

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Shot Noise, "Pileup"



Campbell:

$$\bar{v}^2 = \bar{n} q^2 \sum_{i=1}^N h^2(t_0 - t_i)$$

$$\bar{v}^2 = \underbrace{\sigma^2}_{\text{noise}} = \underbrace{\bar{n} q^2}_{\text{system response}} \int h^2(u) du$$

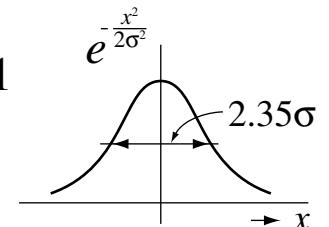
$$\sigma^2 \rightarrow \frac{1}{T_m} \int_0^{T_m} x^2(t) dt$$

Noise Process:

$$\bar{n} q^2 = \bar{n} q \cdot q = \overline{I_0} \cdot q$$

↑
rate ↑
mean current

"central limit theorem"
 \rightarrow gaussian for $n\tau \gg 1$



Noise Calculation: Time Domain and Frequency Domain

- For time invariant systems impulse response $h(t)$ and weighting function $w(t)$ are interchangeable for noise calculations.

From Parseval's theorem, *noise variance* can be expressed as:

$$\sigma^2 = \bar{n} q^2 \int_{-\infty}^{\infty} h^2(t) dt = 2 \bar{n} q^2 \int_0^{\infty} |H(\omega)|^2 df$$

Campbell's theorem

$$\text{Also: } \sigma^2 = W_o \int_0^{\infty} |H(\omega)|^2 df$$

Thus *noise spectral density*: $W_o = 2 \bar{n} q^2 = 2q_e I_o$ for shot noise
(similarly $W_o = 4kT/R$ for thermal noise)

A.2 HIGH FREQUENCY LIMIT OF NOISE

1. Thermal (Johnson) noise in resistors

$$\overline{v^2} = 4kTR\Delta f \cdot \frac{\frac{hf}{kT}}{\exp\left(\frac{hf}{kT}\right) - 1}$$

$$h = 6.63 \times 10^{-34} \text{ Joules} \cdot \text{sec}$$

$$k = 1.38 \times 10^{-23} \text{ Joules}$$

For $\frac{hf}{kT} \ll 1 \rightarrow \overline{v^2} = 4kTR\Delta f$

For $\frac{hf}{kT} = 1 \rightarrow f_h \approx \frac{kT}{h}$, at $T = 300^\circ K$

$$f_h \approx 6 \times 10^{12} \text{ Hz}$$

At $T = 0.3^\circ K \rightarrow f_h \approx 6 \text{ GHz}$

$$T = 3 \times 10^{-3}^\circ K \rightarrow f_h \approx 60 \text{ MHz}$$