Roofing Filters, Transmitted BW and Receiver Performance

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What's important when it comes to choosing a radio?

Sherwood Engineering

Why Did I Start Testing Radios ?

- Purchased a new Drake R-4C in 1972
- Used it during the ARRL 160m CW contest
- **Radio performed miserably, yet Specs Were Good**
- 1970s: League expanded testing to include Noise Floor & Dynamic Range, new concepts for the amateur.
- R-4C tested well for Dynamic Range, but flunked CW contest 101.
- The ARRL dynamic range test did not approximate a real-world environment, especially in a CW contest.

- Dynamic Range - measures the ability to hear weak signals in the present of near-by strong signals.
- A 20 kHz Dynamic Range measurement in a multi-conversion radio only tests the radio's front end.
- If the first IF was 6 - 20 kHz wide, be it at 5 MHz, 9 MHz or 45 - 70 MHz, the radio could overload in a CW pile up.
- 20 kHz dynamic range test showed **no** hint of the problem
- ***Solution***: Place test signals close together so they pass through **1st IF Filter → the Next Amplifier → Mixer**
- Close-in dynamic range numbers are **ALWAYS** worse than the wide-spaced numbers, for a radio with a single wide roofing filter.

Considerations in Choosing a Transceiver

- High close-in dynamic range (copy S1 in crowded band)
- Low noise floor (copy very weak signals)
- Low phase noise (low noise on the Local Oscillator)
- Low in-band spurious on both receive and transmit
- Low IMD on SSB transmit, and low key clicks on CW transmit
- Effective SSB speech processor (more talk power)
- Good receive and transmit audio quality (intelligibility)
- Smooth AGC for low fatigue (noise doesn't fill in spaces)
- AGC that doesn't exaggerate impulse noise (hangs up AGC)
- Good ergonomics of controls and menus (easy adjustments)
- Good display that also shows important settings

What 2 Numbers are Most Important for a CW Contester?

- Noise Floor
- Close-in Dynamic Range (DR3)

(Noise floor need to calculate DR3)

What is Noise Floor?

Sensitivity is a familiar number, normally applies to SSB.

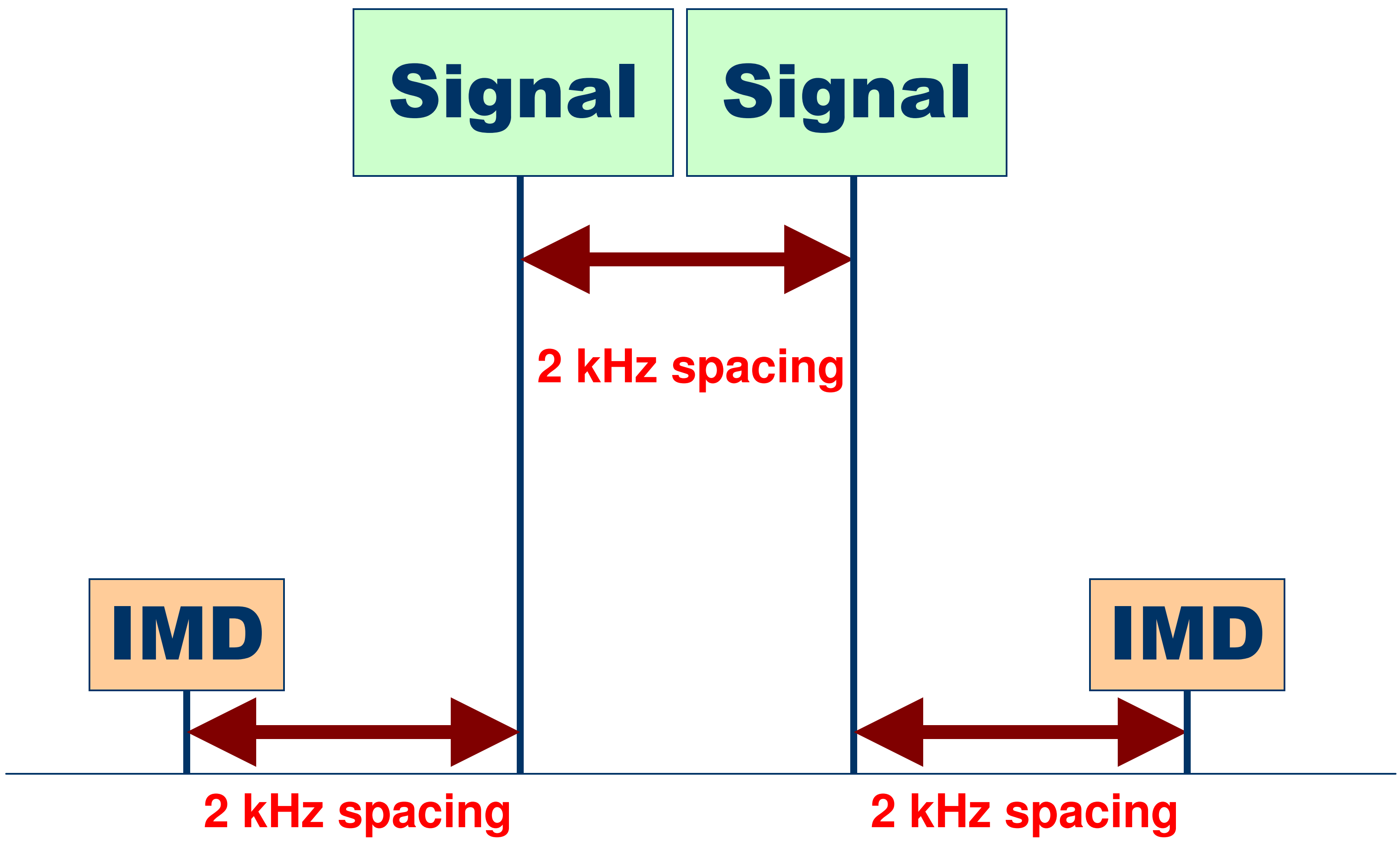
Sensitivity = 10 dB Signal + Noise / Noise (10 dB S+N/N)

Noise Floor = 3 dB Signal + Noise / Noise (3 dB S+N/N)

Noise floor can be measured at any filter bandwidth, CW or SSB, for example, and is bandwidth dependent.

League normally only publishes noise floor for a CW bandwidth, typically 500 Hz CW filter.

Third Order IMD



What is Dynamic Range?

The range in dB of very strong signals to very weak signals that the receiver can handle At The Same Time

What is Close-in Dynamic Range vs

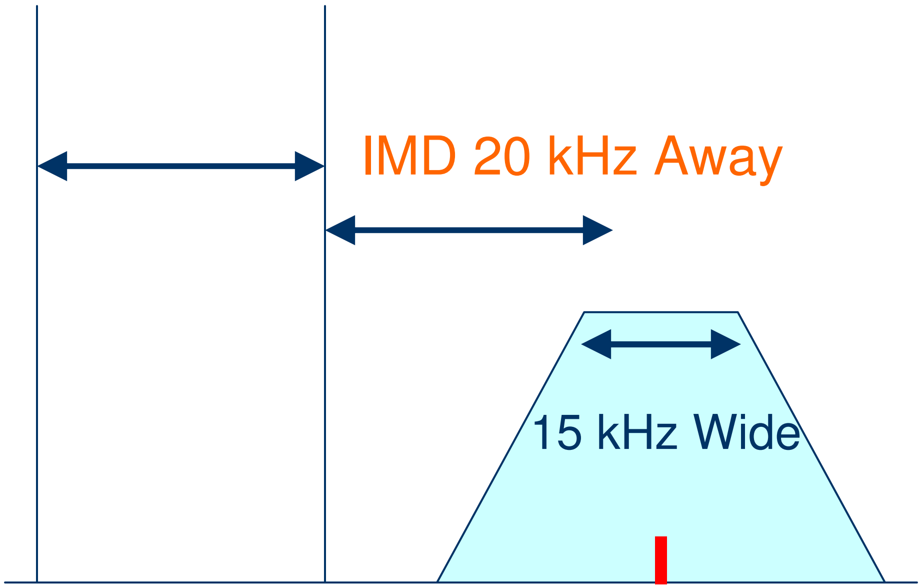
Wide-Spaced Dynamic Range?

Why is Close-in Dynamic so important for CW ops?

Why is it less important for SSB operators?

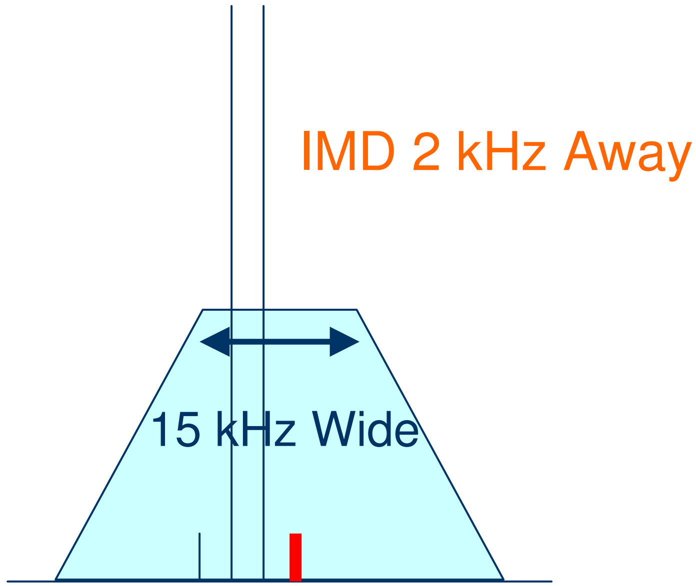
Wide & Close Dynamic Range

20 kHz Spacing



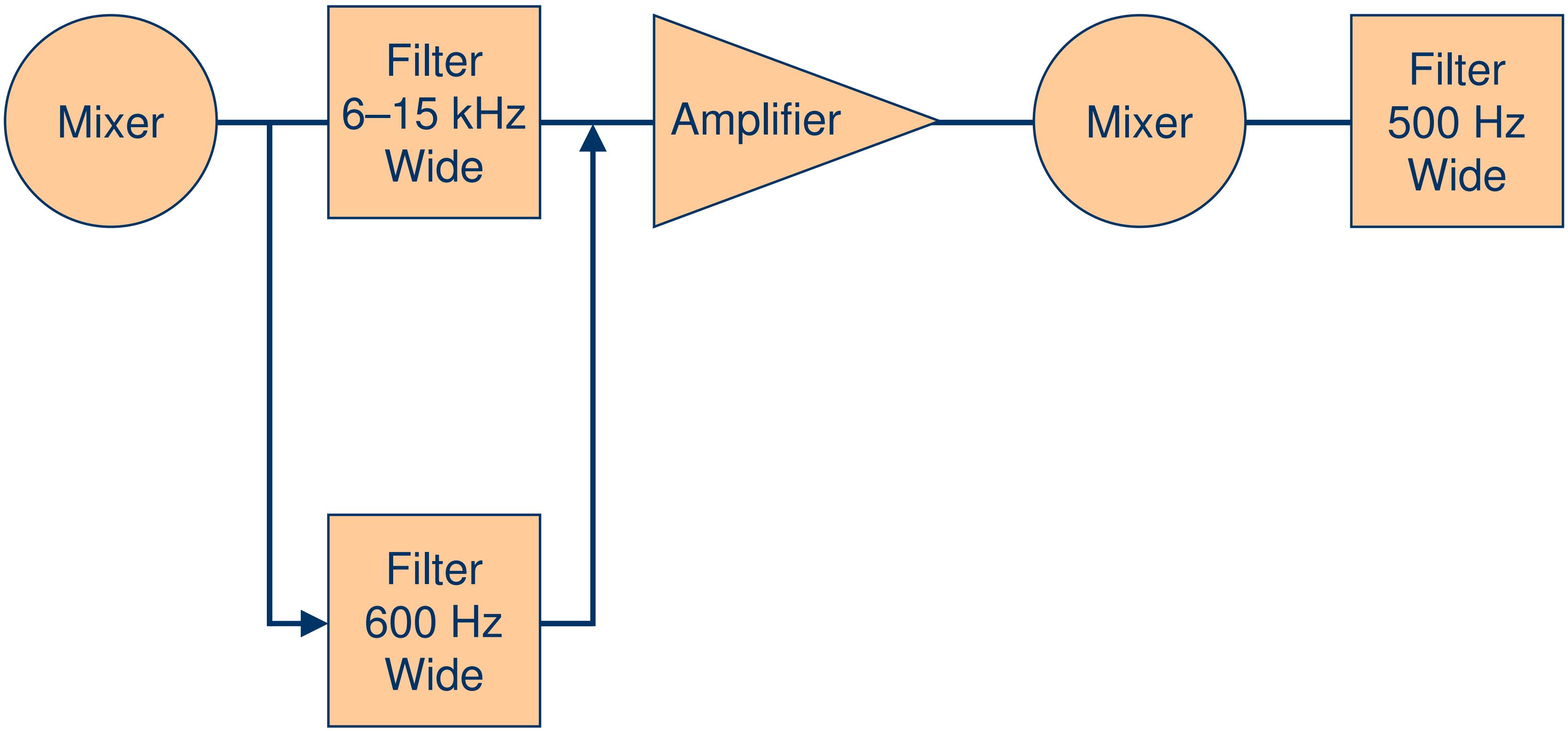
First IF Filter at 70.455 MHz

2 kHz Spacing



First IF Filter at 70.455 MHz

What if we could switch in a narrow Roofing Filter only slightly wider than the final selectivity?



This keeps the undesired strong signals from progressing down stream to the next stages

When are 2 Out of Pass Band Signals a Problem?

- If you know the close-in dynamic range of a radio, at what signal level will IMD start to be a problem?
- S Meter standard is S9 = 50 μV, which is –73 dBm
- Assume a typical radio:
  - 500 Hz CW filter
  - Noise Floor of -128 dBm
  - Preamp OFF

Dynamic Range	Signal Level Causing IMD = Noise Floor	
55 dB	S9	FT-757
60 dB	S9 + 5 dB	FT-101E
65 dB	S9 + 10 dB	KWM-380
70 dB	S9 + 15 dB	TS-830
75 dB	S9 + 20 dB	756 Pro II / III
80 dB	S9 + 25 dB	Omni-VII
85 dB	S9 + 30 dB	R9500
90 dB	S9 + 35 dB	Orion I (93 dB)
95 dB	S9 + 40 dB	Orion II & Flex 5000A
100 dB	S9 + 45 dB	K3 (95 to 101 dB)

The DR3 “window” is not fixed

The dynamic range of a radio is the same with an attenuator ON or OFF.

If on a noisy band, attenuate the noise and all signals to make better use of the dynamic range, and reduce the chance of overload.

If band noise goes from S6 to S2 by turning on the attenuator, you have lost nothing, yet your radio is being stressed much less.

A Comment on IP3 (3rd Order Intercept)

I don't publish IP3. It is a theoretical number.

It has more meaning for a block amplifier or mixer.

Almost meaningless if the AGC of a receiver is involved

October 2007 QST Product Review FT-2000D

DR3	Spacing	Level	IP3
98 dB	20 kHz	Noise Floor	+25 dBm
69 dB	2 kHz	Noise Floor	-19 dBm
29 dB	2 kHz	0 dBm = S9+73 dB	+15 dBm

Attenuators, Preamps & IP3

Dynamic range is constant if you enable an attenuator and often constant even with preamp enabled. IP3 varies all over the map. Data from March QST 2008 FT-950

Gain	Dynamic Range	IP3 dBm	
Pre 2	95	+4	(published)
Pre 1	95	+13	(published)
No Preamp	94	+22	(published)
Att 6 dB	94	+28	(calculated)
Att 12 dB	94	+34	(calculated)
Att 18 dB	94	+40	(calculated)

Comments on Blocking & Phase Noise

Blocking is the onset of gain compression.

This can be an issue with another ham within "line-of-site".

It is an issue on Field Day and multi-multi contest stations.

Low phase noise is desirable, but a very good low phase-noise receiver has to contend with transmitted phase noise.

Dealing with transmitted phase noise is like dealing with transmitted IMD products and splatter.

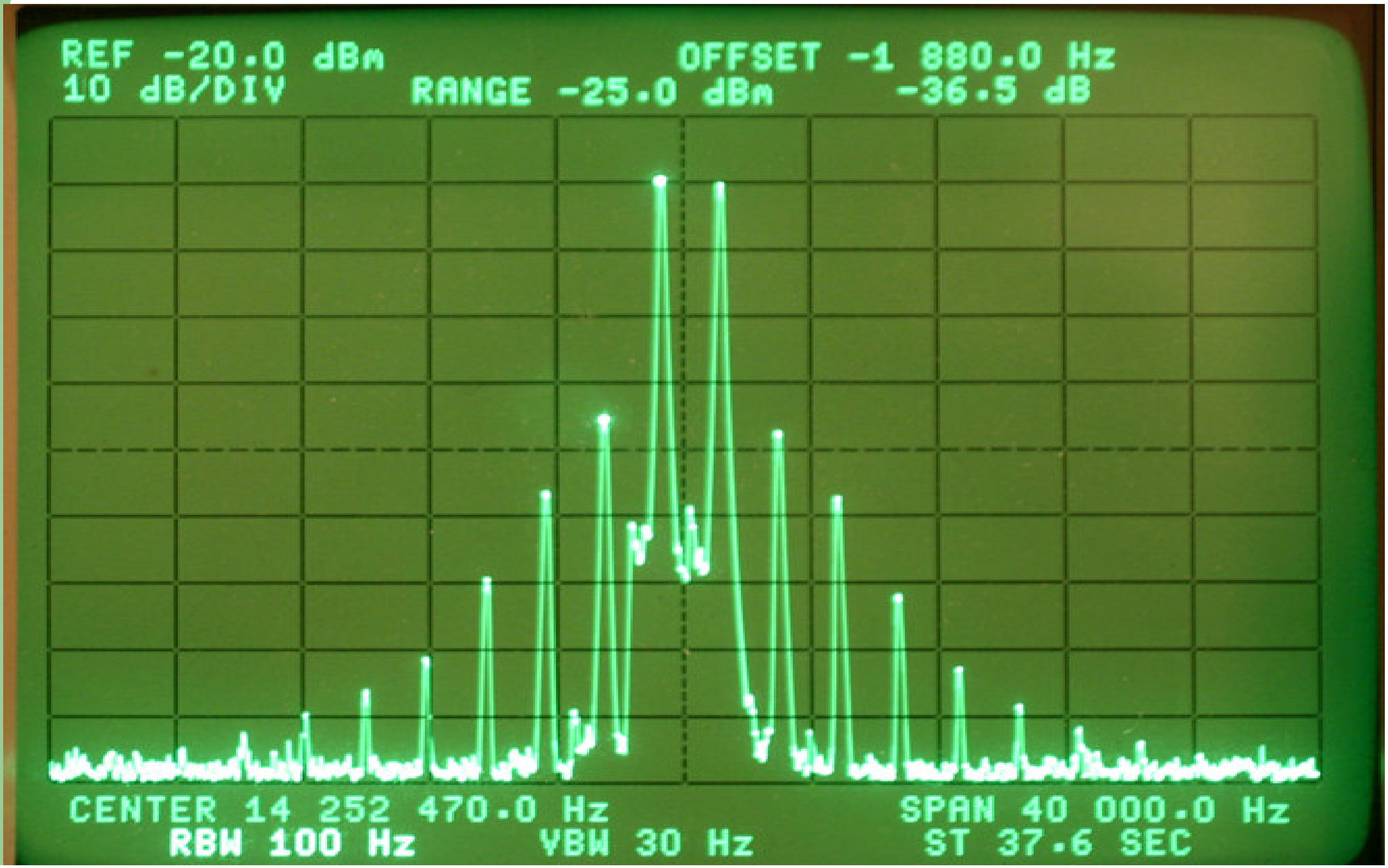
We cannot do much about it.

Lets now move from CW to SSB

Why are the dynamic range requirements less stringent on SSB than on CW?

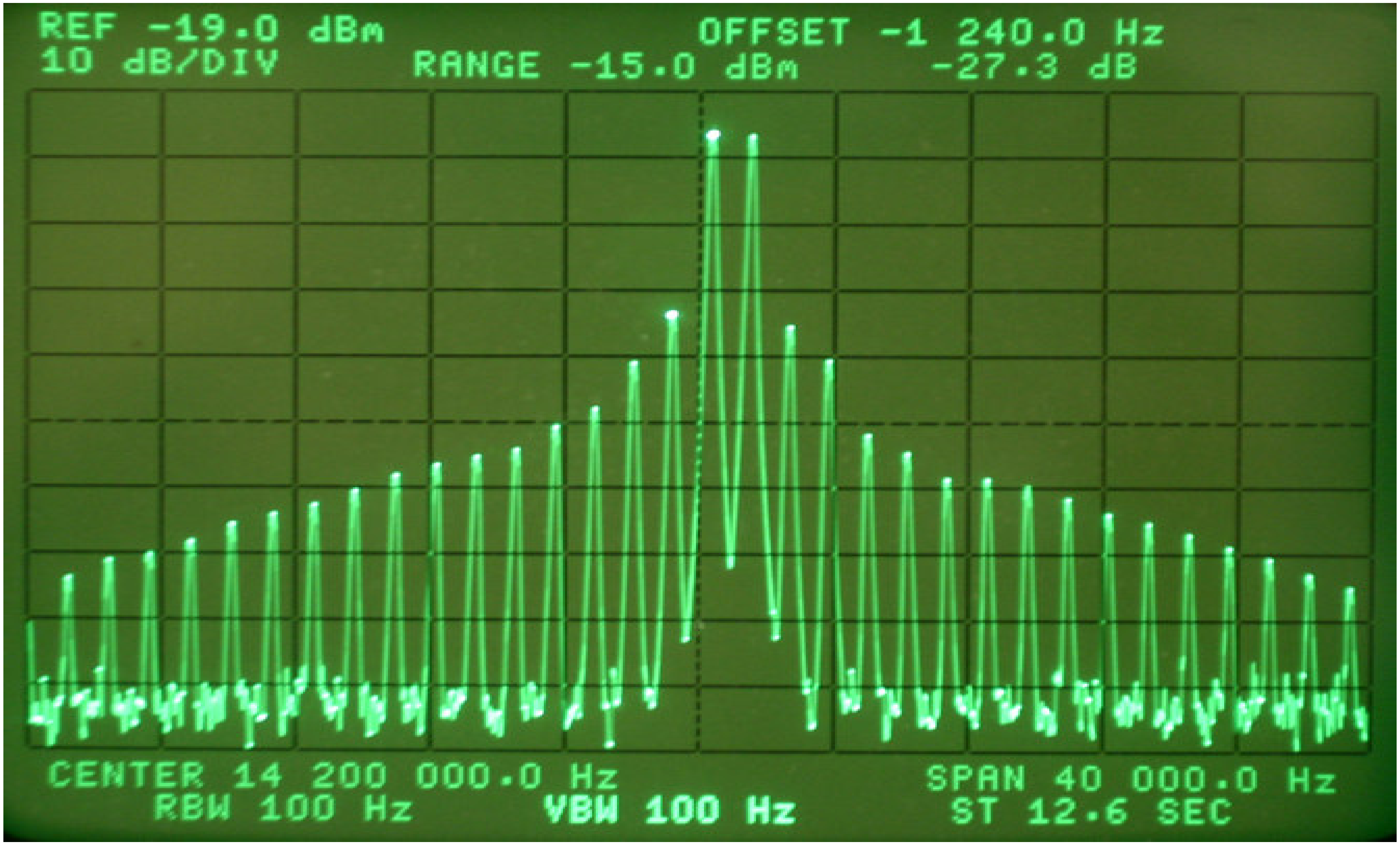
-36 dB

Transmitted IMD Collins 32S-3



-27 dB

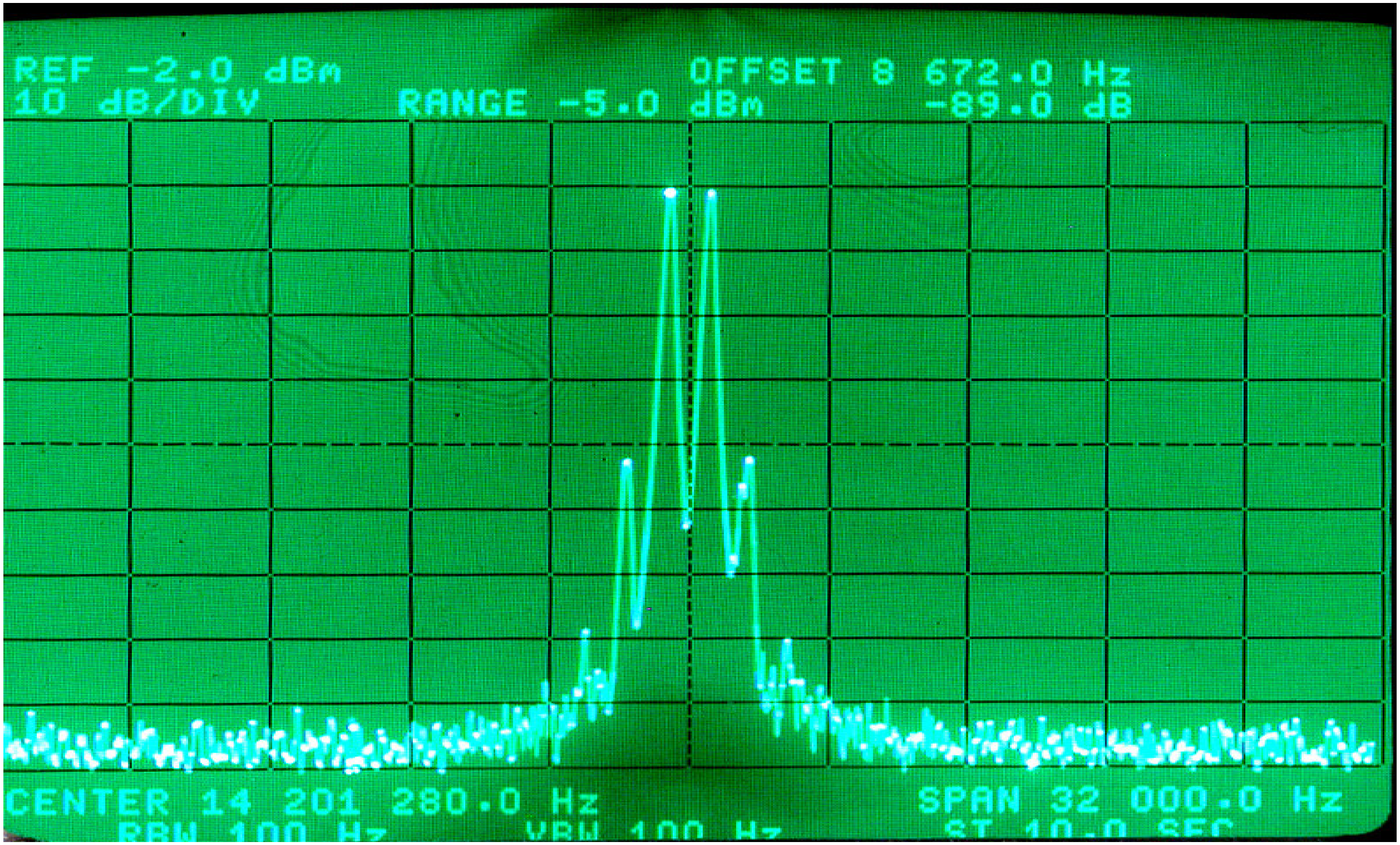
Solid-State Transceiver on 20 meters



-42 dB

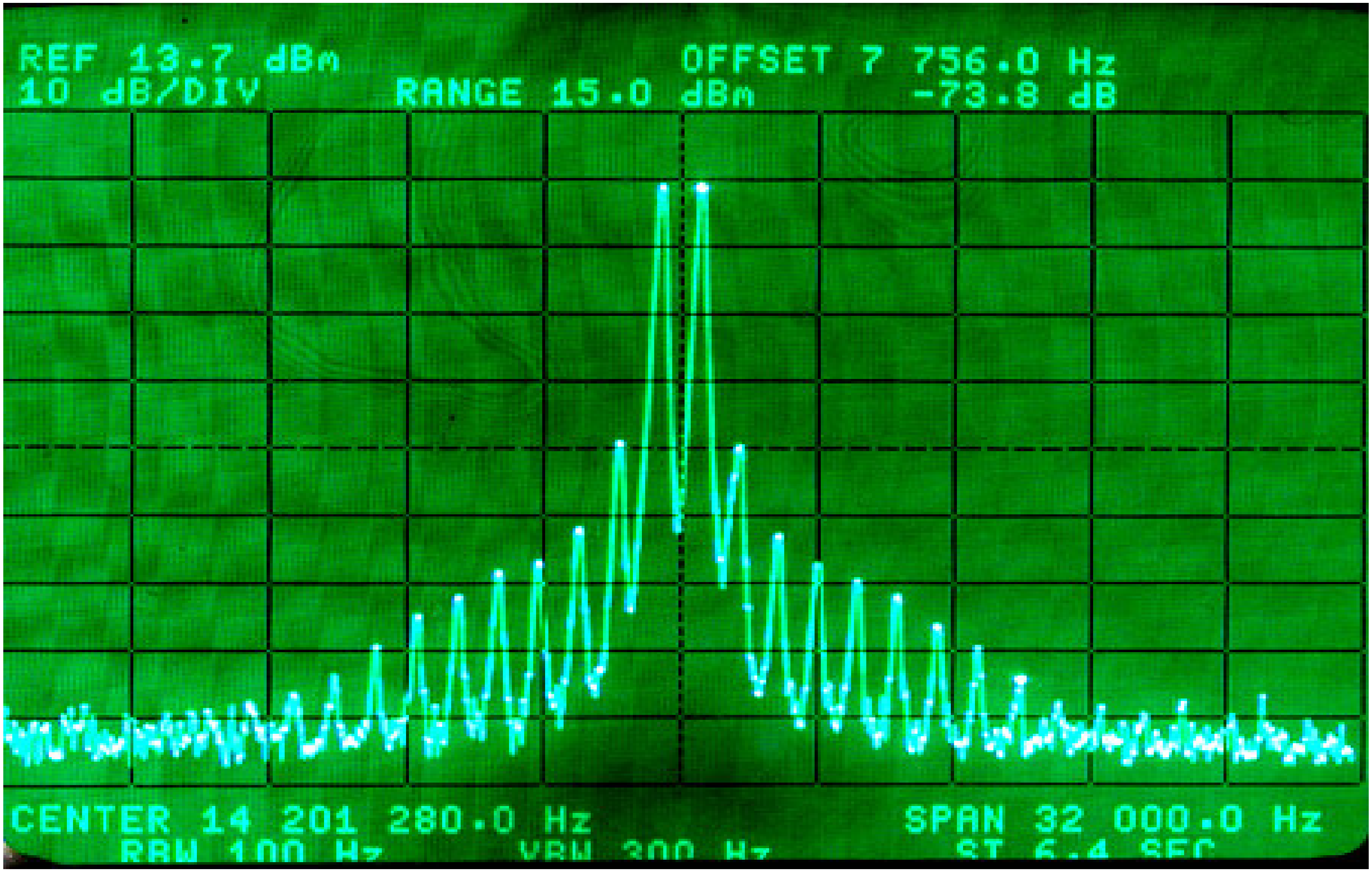
Yaesu FT-1000 Mk V in Class A

Provided by Pete, W6XX



-40 dB

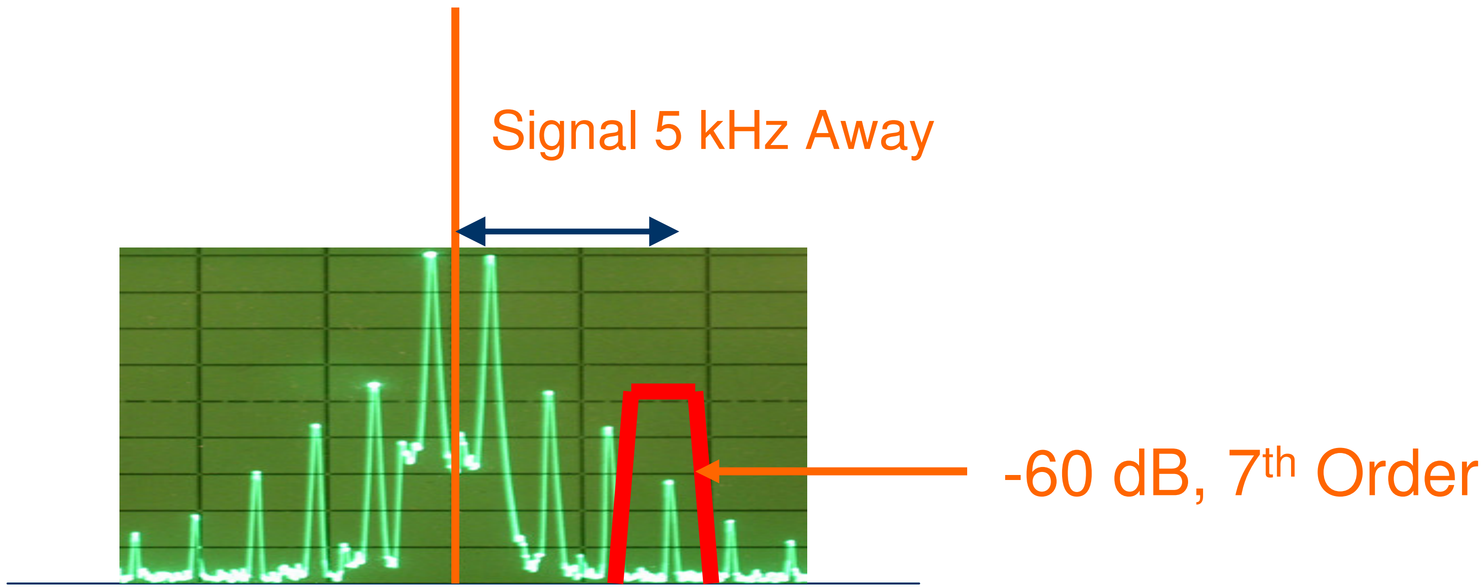
Mk V Class A + 8877 Linear Amplifier



Compare the Old vs. New

Order IMD	Collins 32S-3	Yaesu FT-450 QST	Difference in dB
3rd	-42 dB	-30 dB	12 dB
5th	-53 dB	-37 dB	16 dB
7th	-66 dB	-42 dB	24 dB (Note)
9th	-77 dB	-48 dB	29 dB

Close-in Signal and Splatter



IF Filter vs. Adjacent Signal and IMD Splatter

Steady-State vs. Dynamic Splatter

Some transceivers, in addition to normal IMD products, produce additional ALC-Induced splatter. On CW the ALC can cause leading-edge key clicks.

ALCs could be driven hard in a 32S-3 or a T-4XC, for example, and not add to splatter.

Some modern rigs splatter more if the ALC is more than "tickled", or induce clicks on CW.

The League has chosen not to address this problem in its equipment reviews. SM5BSZ & I tried to no avail.

How Many Roofing Filters are Needed?

- It depends on your mode of operation.
- For SSB, a single 15 kHz roofing filter is adequate, such as in the Icom 756 Pro II / Pro III with a close-in dynamic range of 75 dB.
- Other radios with similar performance: Drake R7 and TR7, IC-781, Collins 75S-3B/C, TS-930, FT-1000x, T-T Omni-V or VI.
- Would a 2.7 kHz roofing filter be better?
- Yes, K3, Orion, Omni-VII or non-DSP Hilberling PT-8000A.
- On CW, a single wide roofing filter is not optimum.
- CW signals do not have IMD products. Strong adjacent signals do not have as much energy in the CW passband of your filter.
- A CW Signal Does have a Bandwidth. It is NOT zero bandwidth

Roofing Filter BW on SSB

Do you need more than one SSB BW Filter?

Best if Roofing & DSP bandwidths are equal.

More selectivity up front is always desirable.

Better shape factor than depending of last IF only.

Omni-VII the 455 kHz filters really help total selectivity.

Orion & K3 both offer a 1.8 kHz roofing filter.

Reduces load on DSP !

Just not as dramatic improvement as on CW.

Back to CW signals

We have seen how width of an SSB signal & its IMD products affects how close you can operate to another station.

How does CW compare?

How close can we work to a strong adjacent CW signal?

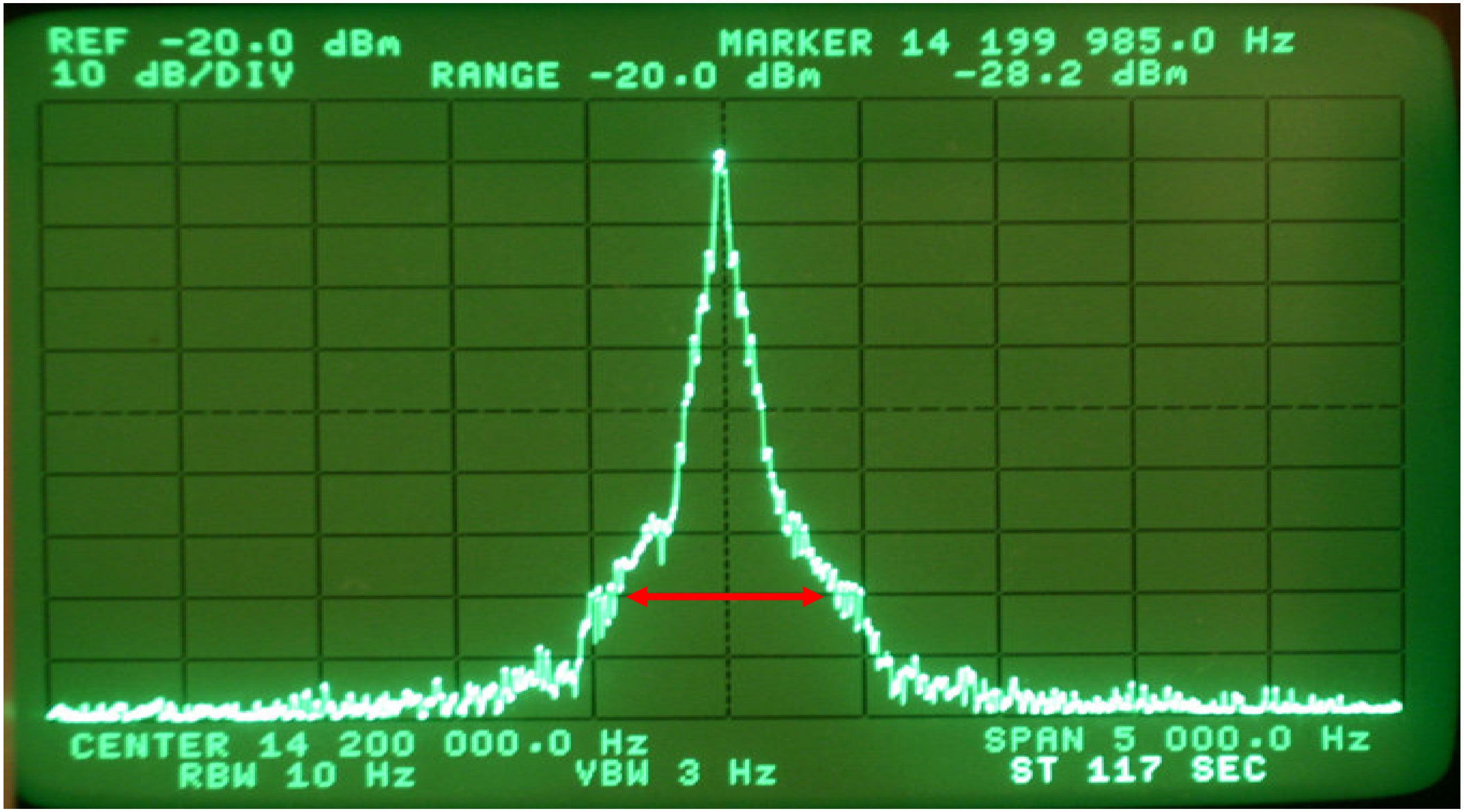
What is the Bandwidth of CW Signal?

On channel signal = S9 + 40 dB (-33 dBm)
Receiver = K3, 400 Hz 8-pole roofing + 400 Hz DSP Filter
Transmitter = Omni-VII with adjustable rise time
Undesired signal 700 Hz away, continuous “dits” at 30 wpm

Rise time of Omni-VII	Strength of CW sidebands		
Signal	S9 + 40	-33 dBm	Ref
3 msec	S7	-83 dBm	-50 dB
4 msec	S6	-88 dBm	
5 msec	S6	-88 dBm	
6 msec	S5	-93 dBm	22 dB !
7 msec	S4	-99 dBm	
8 msec	S4	-99 dBm	
9 msec	S4	-99 dBm	
10 msec	S3	-105 dBm	-72 dB

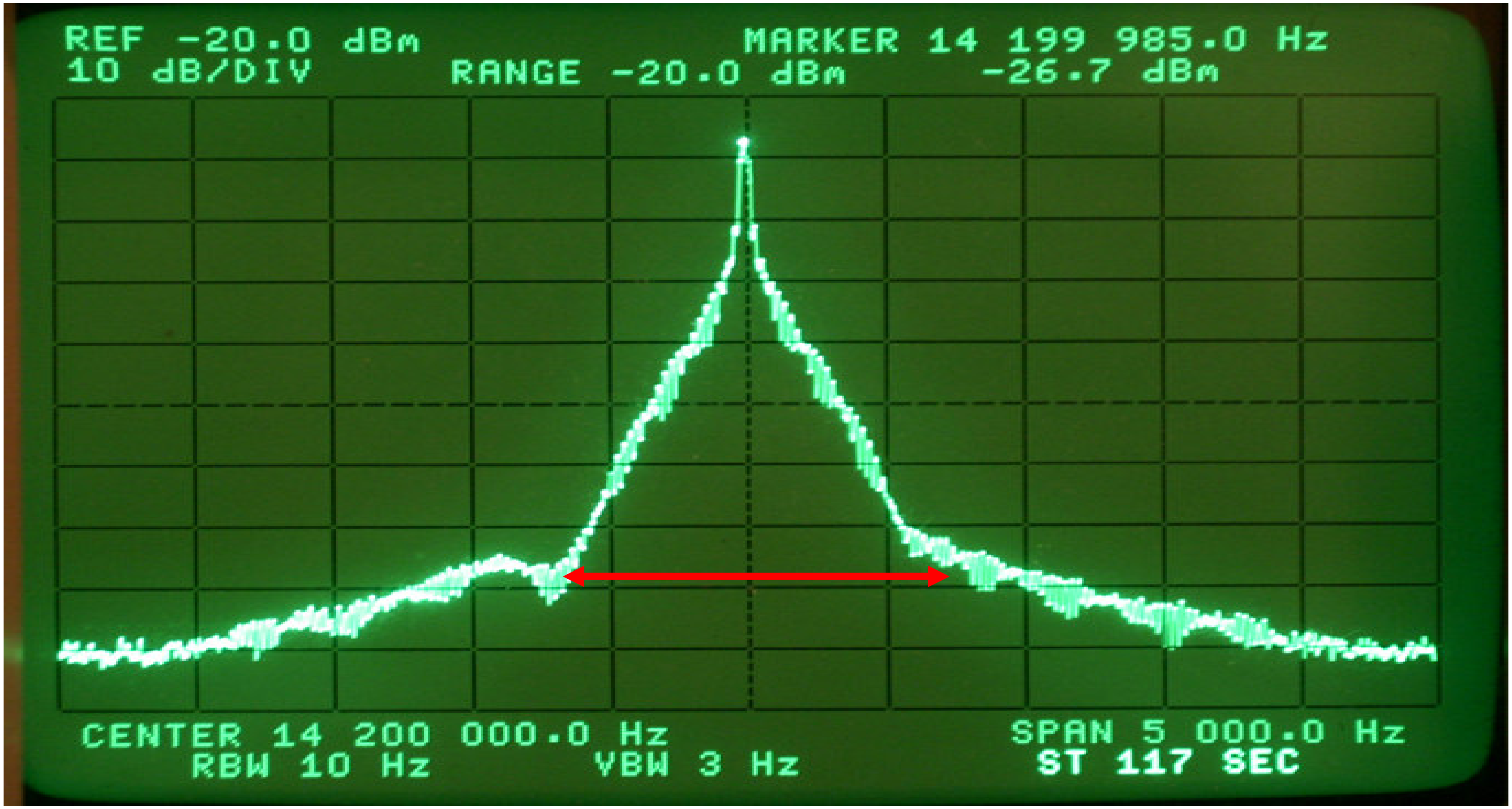
Spectrum of CW Signal on HP 3585A Analyzer

Rise Time 10 msec, “dits” at 30 WPM,
Bandwidth -70 dB = +/- 450 Hz = 900 Hz



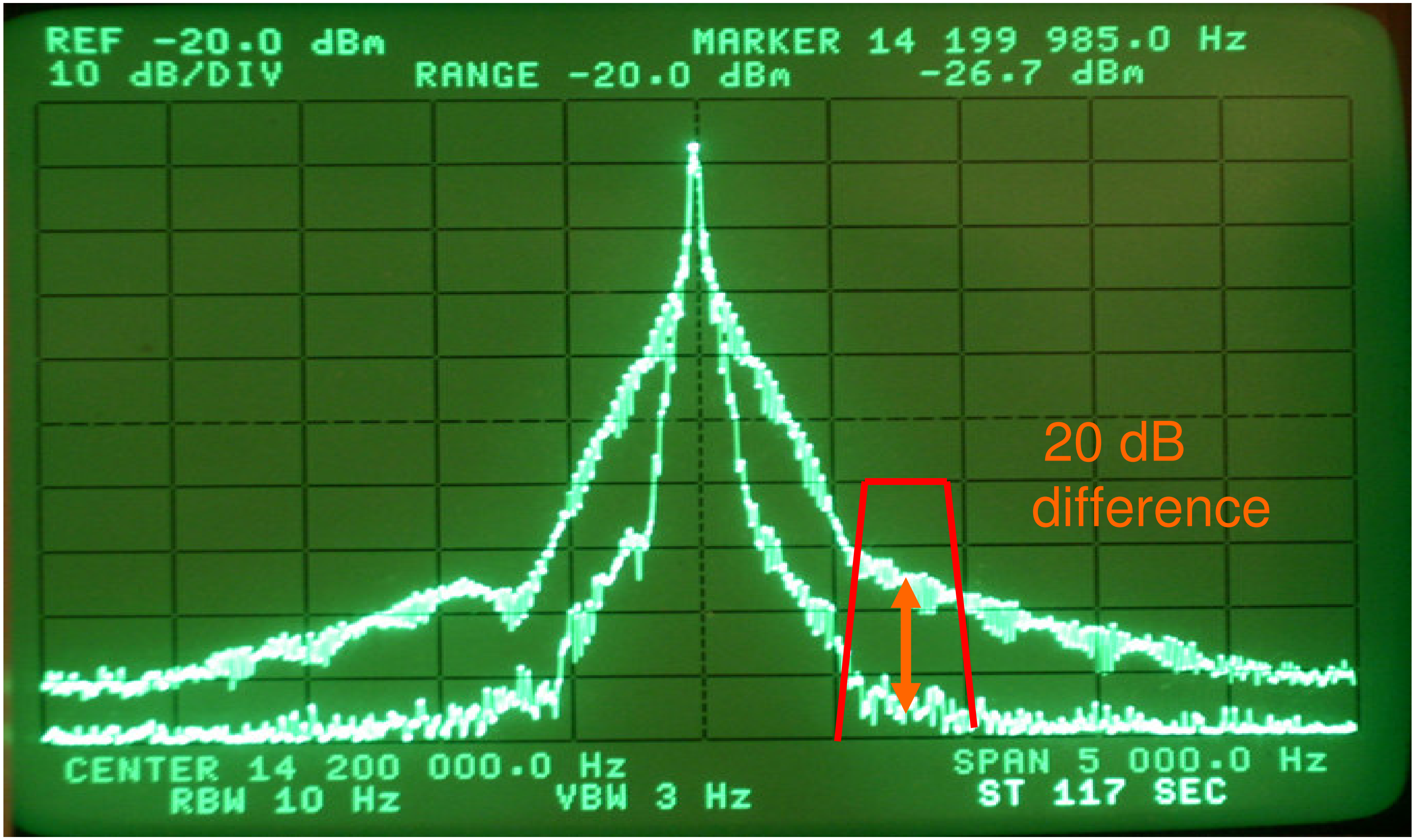
Spectrum of CW Signal on HP 3585A Analyzer

Rise Time 3 msec, “dits” at 30 WPM,
Bandwidth -70 dB = +/- 750 Hz = 1500 Hz

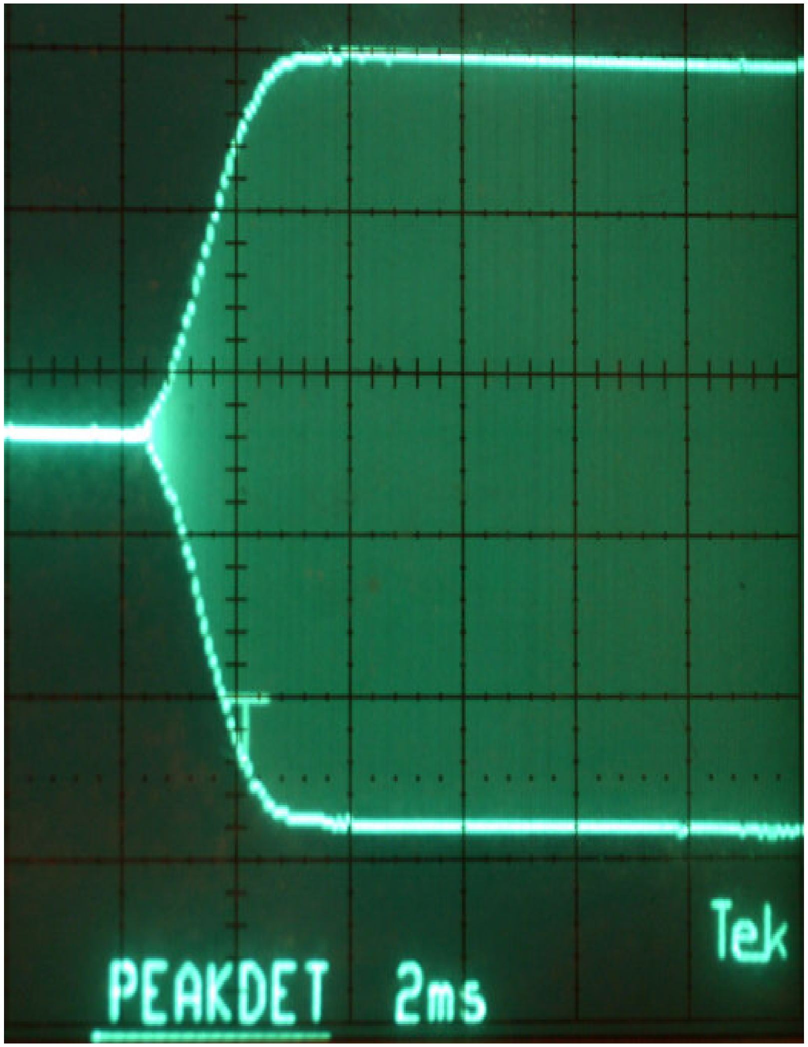


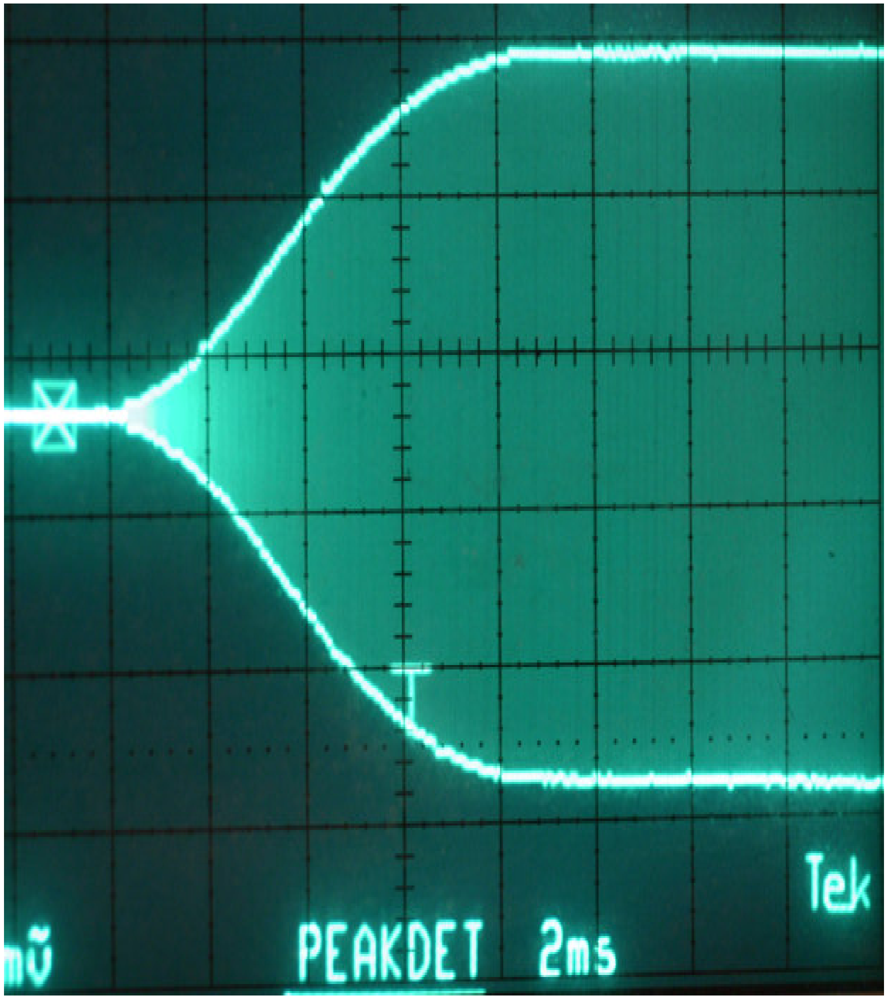
Spectrum of CW Signal on HP 3585A Analyzer

Comparison of 3 msec vs 10 msec rise time



Leading edge of "dit" 3 & 10 msec





How Many Poles Are Needed for a narrow CW roofing filter?

Orion II 600 Hz 4-pole filter is - 30 dB @ +/-700 Hz
Orion II 600 Hz 4-pole filter is – 50 dB @ +/-1200 Hz
A signal 2-kHz away is in the stop band of any filter.
Typical CW signal is +/- 700 Hz wide at –70 dB

The Orion II uses 4-pole roofing filters.
Sherwood has used a 6-pole filter for 32 years.
Elecraft uses both 5 and 8-pole filters.

I see no significant advantage of one choice over another.

More Data on the K3

Roofing Filter	Dynamic Range	Noise Limited?
200 Hz	101 dB	Yes
250 Hz	98 dB	Mostly *
400 Hz	96 dB	Mostly *
500 Hz	95 dB	Mostly *

* Mostly = IMD audible, but noise predominates.

Just the facts

From a Dynamic Range standpoint, reducing a strong adjacent signal 30 dB with a roofing filter is adequate.

All the roofing filters from Ten-Tec, Elecraft, or Sherwood do the job. More poles have more insertion loss and cost more. Its a trade-off.

Compared to a 15 kHz roofing filter, a 500 Hz CW roofing filters will pass about 3% of those signals on to the later stages of the radio.

You likely cannot work a weak signal 1 kHz from an S9 +40 dB CW signal with any radio with the best roofing filter due to the transmitted bandwidth of the interfering signal.

Conclusions

- Contesters – DXers – Pileup operators need a good receiver for SSB and an even better receiver for CW.
- The Sherwood 600-Hz CW roofing filter fixed the R-4C in 1976.
- Ten-Tec Orion put that concept in a commercial design in 2003.
- Elecraft K3 now also offers multiple roofing filters in 2008.

- 25 years of up conversion radios have generally offered a 20 kHz dynamic range in the 90s but a 2 kHz close-in dynamic range in the 70s. Typical degradation of dynamic range within the up conversion filter bandwidth is 25 dB.
- Now the buzz word is a 3-kHz roofing filter in up-conversion radios, though filter is often wider than spec.
- IC-7800 3-kHz filter is 5+ kHz wide, 6-kHz is 11+ kHz
- FT-2000 3-kHz filter is 7 kHz wide, and with my sample, it had 9 dB worse IMD than its 6 kHz filter.

How Narrow Can a VHF Filter Be?

It is not possible to offer CW bandwidth Roofing Filters at VHF frequencies.

It all comes down to fractional bandwidth.

A 500-Hz filter at 5 MHz is like a 1-kHz filter at 10 MHz, or a 2 kHz filter at 20 MHz or a 4 kHz filter at 40 MHz & an 8 kHz filter at 80 MHz.

FTdx-9000 IF = 40 MHz, 3-kHz reasonable.

FT-2000 IF = 70 MHz, “3 kHz” = 7 kHz wide

The Orion II and the K3 roofing filters are in the 8 to 9 MHz range, similar to the R-4C at 5 MHz. Narrow filters are no problem here.

Flex Radio

One of the few radios with no roofing filters at all is the Flex 5000A. It basically converts everything to baseband (typically 11 kHz) and filters it in DSP.

The Flex also performs very well with a completely different architecture, and with different tradeoffs.

You need $500 to $1000 computer and likely a $200 LCD monitor, but not a slew of $100 roofing filters.

What dynamic range is possible and needed for CW?

80 dB or better @ 2 kHz.

1976 Sherwood / Drake R-4C: 84 dB

2001 Ten-Tec Omni-VI+: 80 dB

2003 Icom IC-7800: 80 dB

2003 Ten-Tec Orion I: 93 dB

2005 Ten-Tec Orion II: 95 dB

2007 Flex 5000A: 96 dB

2007 Ten-Tec Omni-VII: 80 dB

2008 Elecraft K3: 95 to101 dB, depending on roofing and DSP filter bandwidth

Other radios for comparison, 2 kHz dynamic range data

Elecraft K2:	**80 dB**
Collins R-390A:	**79 dB**
Kenwood TS-850S:	**77 dB**
Icom Pro II / Pro III	**75 dB**
Collins 75S-3B/C:	**72 dB**
Kenwood TS-870S:	**69 dB**
Yaesu FT-2000:	**63 dB**
Icom IC-7000:	**63 dB**
Yaesu FT-One:	**63 dB**
Yaesu FT-101E:	**59 dB**
Drake R-4C Stock:	**58 dB**
Yaesu FT-757:	**56 dB**
Yaesu VR-5000:	**49 dB**

Contest Fatigue & Audio Quality - The Forgotten Spec

Two transceivers made me tired in a long contest.

The audio was harsh on SSB and CW. Met OEM Spec

OEM spec = 2.5 watts @ 10% distortion = clipping

What makes audio harsh and fatiguing?

High Odd-Order Harmonics and / or IM Distortion

The ear / brain is very sensitive to these products.

Any product detector & audio amp will meet 10% spec

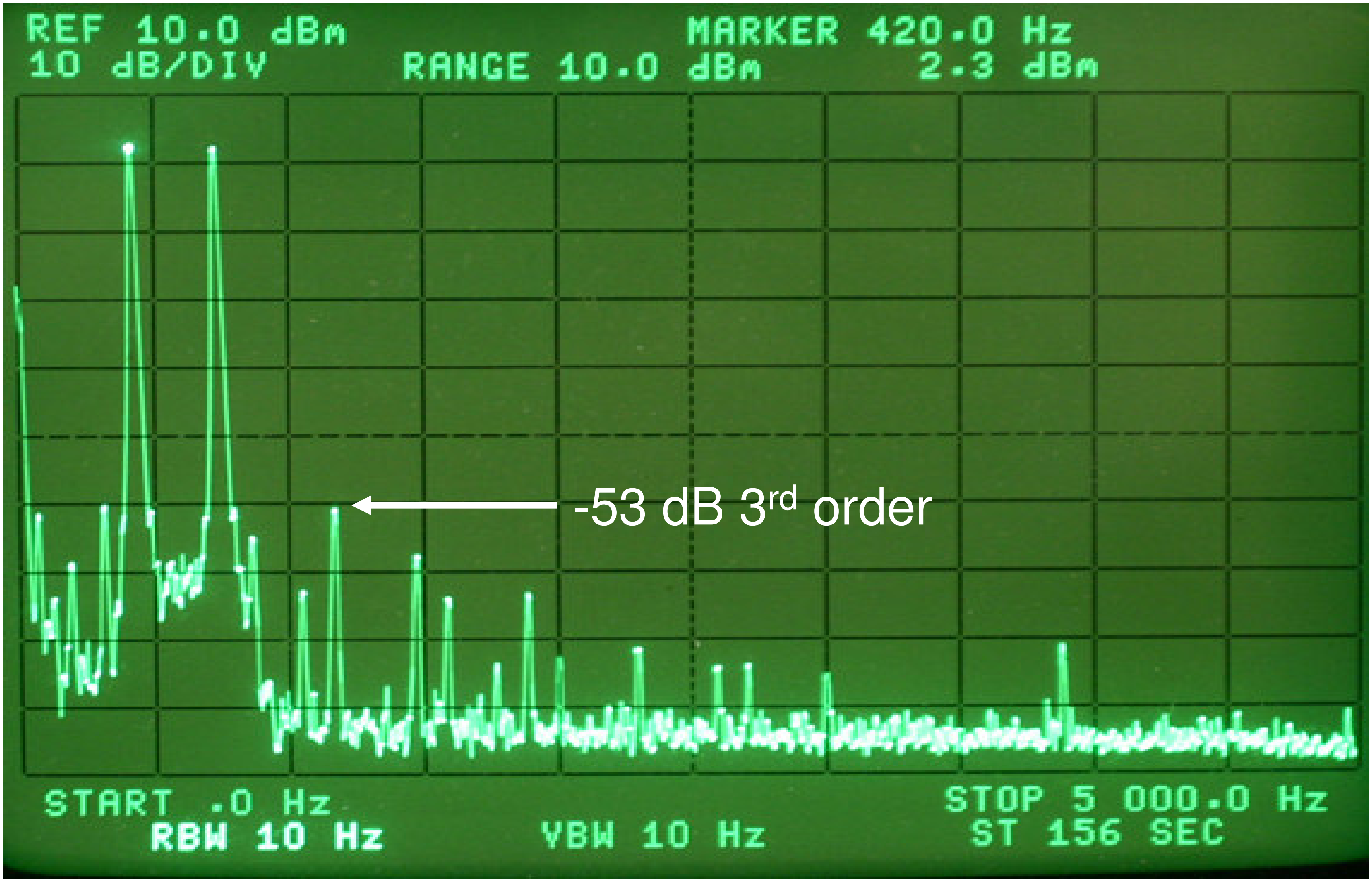
Thus the spec is meaningless.

Distortion < 0.3 % & sounds fine

Harmonic Distortion of a Good Amp

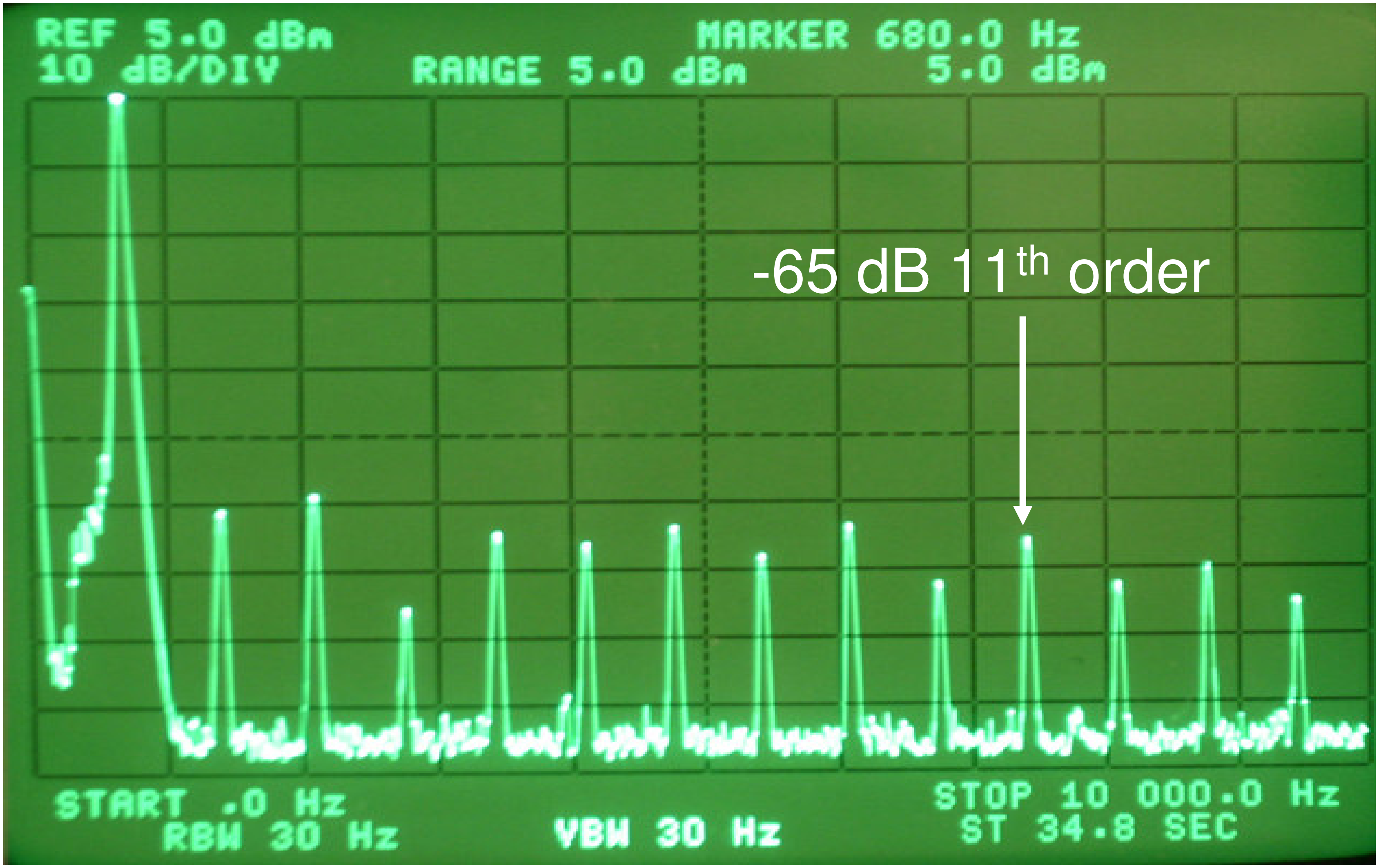
Distortion = 0.3 % & sounds fine

IM distortion of Good Amp



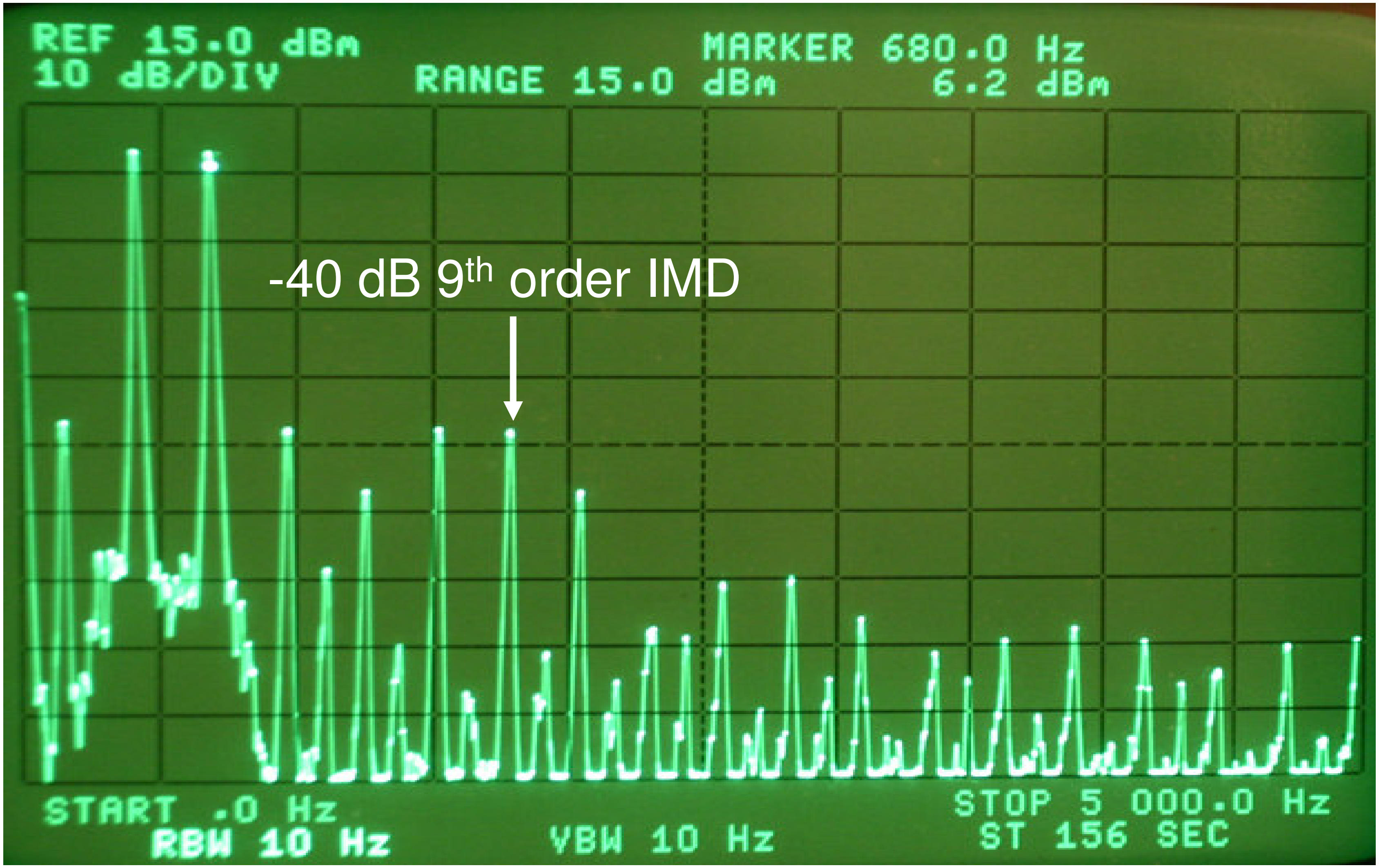
Distortion < 0.3 % but sounds bad

Not So Good Amp & Odd Order > Even



3% distortion but sounds terrible !

Way too much IM Distortion



The Challenge = Get OEMs to Listen

In a 24 hour or 48 hour contest, you need every edge.

High Dynamic Range Receiver

Good Speech Processor on SSB

Big Tower and Good Antennas, etc.

But Your Brain Can Get “Fried” due to operator fatigue.

Bad audio can be a factor in that fatigue.

Sherwood Engineering

http://www.sherwood-engineering.com

http://www.NC0B.com