Characterization of the Individual Short-Term Frequency Stability of Cryogenic Sapphire Oscillators at the 10⁻¹⁶ Level

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Abstract—We present the characterization of three cryogenic sapphire oscillators (CSOs) using the three-cornered-hat method. Easily implemented with commercial components and instruments, this method reveals itself very useful to analyze the fractional frequency stability limitations of these state-of-the-art ultrastable oscillators. The best unit presents a fractional frequency stability better than 5×10^{-16} at 1 s and below 2×10^{-16} for 7<5000 s

Index Terms—Frequency stability, phase noise, ultrastable oscillators.

I. INTRODUCTION

T HE cryogenic sappnine oscillator (CSC) phire whispering-gallery mode resonator cooled near 6 K ▶ HE cryogenic sapphire oscillator (CSO) based on a sapis currently the microwave signal source presenting the highest short-term frequency stability for integration time $\tau =$ 1...10000 s. With a fractional frequency stability better than 1×10^{-15} , the CSO allows the operation of the laser-cooled microwave atomic clocks at the quantum limit [1]. It provides the means to improve the resolution of the space vehicles' ranging and Doppler tracking provided by deep-space networks as well as those of very long baseline interferometry (VLBI) observatories [2]-[7]. The CSO can also enhance the calibration capability of metrological institutes or help the qualification of high performances' clocks or oscillators [1], [8], [9]. The CSO performances are only concurrenced at short integration times ($\tau = 0.1...10$ s) by laser stabilized to a room temperature Fabry-Perot (FP) cavity made with low-expansion vitro-ceramic materials [10]-[12]. More recently, fractional frequency stabilities better than 1×10^{-16} have been reported with laser stabilized on cryogenic Silicium FP cavity [13]. Conversely to the CSO, the FP-stabilized laser suffers from a large drift (typically $10^{-12}/\text{day}$), and requires a femtosecond (FS) laser to deliver the microwave output. In turn, the FS laser is expensive and cumbersome, it can hardly work longer than weeks without loosing internal frequency locking, and

Manuscript received January 10, 2016; accepted March 31, 2016. Date of publication April 4, 2016; date of current version June 1, 2016.

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suffers from the low signal-to-noise ratio per mode inherent in the wide bandwidth.

Fractional frequency stability better than 1×10^{-15} has already been demonstrated by beating two nearly identical CSOs [14], [15]. The fractional frequency stability of one unit is simply obtained by subtracting 3 dB to the actual result, assuming that the two oscillator noises are equivalent and uncorrelated. This assumption is not generally true especially when developing a new instrument at the state-of-the-art. In our laboratory, we recently achieved the implantation of three nearly identical CSOs in the frame of the Oscillator IMP project. This was the opportunity to test the three-cornered-hat method [16] to extract the individual frequency stabilities. Very preliminary measurements based on this method have been presented in [17]. Since one of the CSOs has been improved and more data have been accumulated. The current results demonstrate the capability of the method, which has been simply implemented with commercial components and counters. Although based on the same general configuration, the three CSOs lightly differ from each other. Different thermal configurations have been tested and only one resonator is completely optimized; the two others recently implemented still need some adjustments. The three-cornered-hat method gives us information about each CSO and thus will help us to optimize its functioning.

II. CSO DESCRIPTION

Our most advanced CSOs incorporate a 54-mm-diameter and 30-mm-height cylindrical sapphire resonator. It operates on the quasi-transverse magnetic whispering-gallery mode WGH_{15,0,0} near 10 GHz [3]. The Q factor can achieve 1×10^9 at the liquid-He temperature depending on the sapphire crystal quality and on the resonator adjustment and cleaning. In an autonomous cryocooled CSO, the sapphire resonator is placed into a cryostat and in thermal contact with the second stage of a pulse-tube (PT) cryocooler delivering typically 0.5 W of cooling power at 4 K (see Fig. 1). The gas flow in the cryocooler induces mechanical vibrations and a temperature modulation at about 1 Hz, which need to be filtered. In our cryostats, the heat-links between the PT second stage and the flange supporting the 4-K thermal shield and the resonator are made with copper braids or foils. The same mechanical decoupling is implemented between the PT first stage and the 50-K thermal shield. This simple arrangement is sufficient to limit the resonator displacement below 1 µm at the PT cycle

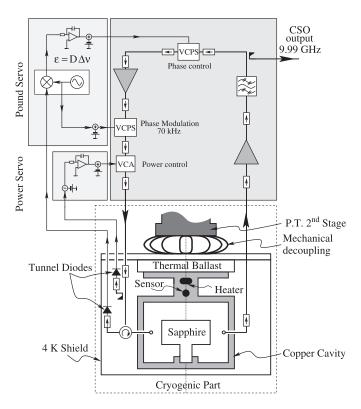


Fig. 1. Scheme of the CSO showing the cryogenic part (cooled resonator) and the electronics placed at room temperature.

frequency [18]. The thermal filtering is obtained by combining the heat-link thermal resistance and the thermal mass of the 4-K flange and its ballast that could be added. Eventually, the resonator is stabilized at its turnover temperature T_0 , where its thermal sensitivity nulls at first order. T_0 depends on the residual paramagnetic impurities present in the sapphire crystal [19], and thus is specific to each resonator. T_0 is typically between 5 and 8 K for a high-quality sapphire crystal.

The CSO is a Pound-Galani oscillator [20]. In short, the resonator is used in transmission mode in a regular oscillator loop, and in reflection mode as the discriminator of the classical Pound servo [21]. The sustaining stage and the control electronics are placed at room temperature. The insertion loss through the cryostat is ≈ -30 dB. The sustaining stage is made up of commercial components. Two low-noise microwave amplifiers provide a small signal gain of ca. 54 dB. A voltage-controlled attenuator (VCA) allows the control of the power injected in the resonator. Two voltage-controlled phase shifters (VCPS) are used for the Pound servo. A 70-kHz phase modulation is applied through the first one. The correction is applied through the second VCPS. A 80-MHz bandwidth filter and some isolators complement the circuit. The error signals needed for the Pound and the power servos are derived from the low-frequency voltages generated by two tunnel diodes placed near the resonator input port. The Pound detector is directly connected to a lock-in amplifier (Stanford Research Systems SR 810).

Three oscillators have been assembled successively since 2012. They are identical in the principle but show some differences (see Table I).

The thermal ballast is a piece of stainless steel placed between the PT second stage and the resonator support.

TABLE I
CSOs Main Characteristics

	CSO-1	CSO-2	CSO-3
Resonator			
Frequency ν_0 (GHz)	9.988	9.995	9.987
Material	HEMEX	HEMEX	Kyropoulos
Loaded Q -factor Q_L	1×10^{9}	3.5×10^{8}	4.0×10^{8}
Input coupling coef. β_1	1	1	0.92
Turnover temperature T_0 (K)	6.238	5.766	6.265
Cryostat			
Cryocooler model	PT 405	PT 405	PT 407
Ballast time constant τ_B (s)	12	100	35
Control electronics			
Pound discri. gain D (mV/Hz)	3.4	2.3	1.4
Injected power $P_R(\mu W)$	100	300	70

Associated with the thermal resistance of the mechanical link, it is equivalent to a first-order filter with a time constant τ_B .

D is the Pound servo frequency discriminator sensitivity in V/Hz. It depends on P_R : the power injected in the resonator. Formally, D is taken at the demodulator output (see Fig. 1). For slow-frequency fluctuations $\Delta \nu(t)$, the error signal at the demodulator output is $\epsilon(t) = D\Delta \nu(t)$. D is experimentally determined by applying an offset at the lock-in amplifier output and measuring the resulting frequency shift.

CSO-1 is an optimized copy of our first demonstrator, i.e., ELISA developed for the European Space Agency (ESA) and implemented in the deep-space network station DSA-3 in Malargue Argentina [3]. The second one ultra-low instability signal source (ULISS) is a transportable unit, which has been travelled since 2012 in some European laboratories to be tested in real-field applications [14]. The third CSO has a new designed cryostat and was put into operation in October 2014. Not completely optimized, it incorporates a crystal manufactured by the Kyropoulos growth method instead of a HEMEX crystal.

III. RELATIVE FREQUENCY STABILITY MEASUREMENTS

The measurement setup is schematized in Fig. 2. The CSO output signals are mixed to obtain the three beatnotes: $\nu_{12}=7$ MHz, $\nu_{13}=0.9$ MHz, and $\nu_{23}=7.9$ MHz. They are simply counted using a multichannels K&K-FXE SCR counter [22]. The three channels work in parallel, thereby the data acquisitions are synchronous. All data are processed by 1-s averaging time using a Λ windowing [23]. The computed two-sample deviation $\sigma_{\Lambda}(\tau)$ differs from the true Allan deviation $\sigma_{y}(\tau)$. The correspondence between $\sigma_{\Lambda}(\tau)$ and $\sigma_{y}(\tau)$ can be found in [24]. For white and flicker FM noise, these two representations of the fractional frequency stability are almost identical: $\sigma_{\Lambda}(\tau) \approx 1.14 \times \sigma_{y}(\tau)$.

A. Beatnotes and Phase Noise

Fig. 3 shows $\sigma_{\Lambda}(\tau)$ computed from the three beatnotes and compared to the fractional stability of a typical high-performance hydrogen maser (HM.). The bold lines represent $\sigma_{\Lambda}(\tau)$ without any postdata processing. The thin lines are computed from the data after a linear drift removing.

The measured frequency stabilities are better than 1×10^{-15} for $\tau \le 2000\,$ s. If the oscillator noises are equivalent and

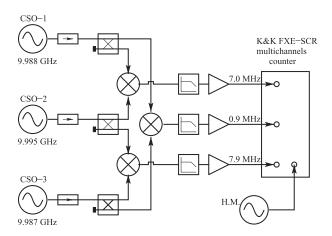


Fig. 2. Measurement setup. Each beatnote is low-pass filtered (10.9 MHz) and amplified (minicircuits ZFL-1000+ amplifier). The multichannel counter is referenced on the 10 MHz coming from an HM.

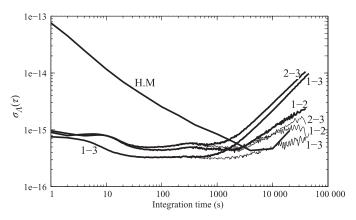


Fig. 3. Two-sample deviations $\sigma_{\Lambda}(\tau)$ calculated from the three beatnotes.

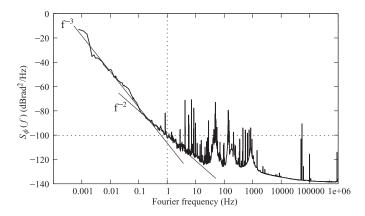


Fig. 4. One unit phase noise obtained by comparing CSO-2 and CSO-3. Measurement realized with the Symmetricom 5125A phase test setup.

uncorrelated, which means that the fractional frequency stability of one unit is better than 7×10^{-16} , which is a conservative value as we will see in the next section. This number is coherent with the phase noise measurement between CSO-2 and CSO-3 shown in Fig. 4.

This result corresponds to the phase noise of one unit assuming equivalent and uncorrelated the two CSOs: 3 dB has been subtracted from the measured spectrum. For Fourier frequency

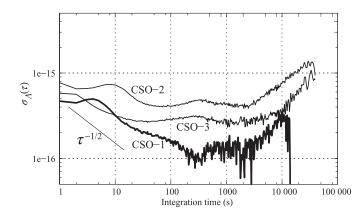


Fig. 5. Individual fractional frequency stabilities obtained by applying the three-cornered-hat method.

 $f \leq 10$ Hz, the phase noise spectrum can be approximated by a white frequency noise (f^{-2} slope) and a flicker frequency noise (f^{-3} slope)

$$S_{\varphi}(f) \approx \left(\frac{1}{f^{-2}} + \frac{0.2}{f^{-3}}\right) \times 10^{-10} \text{rad}^2 \text{Hz}^{-1}.$$
 (1)

This phase noise spectrum is equivalent in the time domain to a deviation $\sigma_{\Lambda}(\tau)$ such as [25]

$$\sigma_{\Lambda}(\tau) = 8.2 \times 10^{-16} \tau^{-1/2} + 6.0 \times 10^{-16}.$$
 (2)

It should be noted that the CSO white PM noise $S_{\varphi}(f) \approx 10^{-14} \ {\rm rad^2 Hz^{-1}}$ is filtered by the Λ -averaging [24]. This will not be the case with a traditional Π -counter. Thus, the Allan deviation will appear limited at short integration times to $9 \times 10^{-15} \tau^{-1}$, due to the integration of the white PM noise over the counter input bandwidth of 10.9 MHz.

CSO-1 and CSO-3 present the best performances at short term, whereas a perturbation near $\tau=10$ s affects CSO-2. The long-term behaviors also differ: CSO-1 and CSO-2 do not show a frequency drift but seems limited by a random walk process. Conversely, CSO-3 is drifting with a rate of $2-3\times10^{-14}$ /day.

B. Three-Cornered-Hat Method

The individual frequency stabilities have been computed using the three-cornered-hat method implemented in the Stable32 software. The results are given in Fig. 5.

At short term (τ < 50 s), all the individual $\sigma_{\Lambda}(\tau)$ improve with the integration time but do not follow the expected $\tau^{-1/2}$ slope. Indeed, it is expected that the CSO short-term frequency stability is ultimately limited by the Pound discriminator white frequency noise. For CSO-1 and CSO-2, this white frequency noise is completely masked by another process leading to a hump in $\sigma_{\Lambda}(\tau)$. In Section IV-A, we show that this perturbation can be attributed to residual resonator temperature fluctuations. At longer integration times, the frequency stabilities reach an apparent flicker floor expanding over approximately two decades. Thus for the best oscillator, i.e., CSO-1, $\sigma_{\Lambda}(\tau) \approx 1.5 \times 10^{-16}$ for $100 \text{ s} \leq \tau \leq 5,000 \text{ s}$.

The humps appearing at $\tau \sim 400~{\rm s}$ can be attributed to an oscillation in the air-conditioning system of the laboratory. Thus, they reveal the residual sensitivity to the room

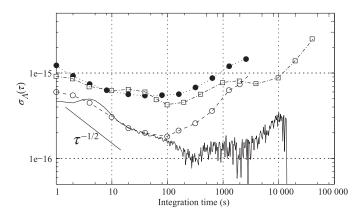


Fig. 6. CSO-1 fractional frequency stability compared previous results: □ V. Giordano *et al.* [14]; • Locke *et al.* [26]; ∘ J.G. Hartnett *et al.* [15].

temperature of each CSO. Nevertheless, the resulting CSO frequency variations are obviously correlated, which is in conflict with the requirement of the three-cornered-hat method. The calculated $\sigma_{\Lambda}(\tau)$ near $400~{\rm s}$ cannot be considered as the actual frequency stability. Correlated noises indeed induces false results: the inversed hump in the CSO-1 stability is symptomatic of this situation. The same caution must be taken in the analysis of the long-term fluctuations, resulting also for a large part from the room temperature variations.

IV. SHORT-TERM FREQUENCY STABILITY ANALYSIS

In Fig. 6, the fractional frequency stability of CSO-1 is compared to the most advanced CSO performances previously published [14], [15], [26]. These ones have been evaluated using the beatnote between two assumed equivalent CSOs.

In [26], Locke describes a liquid helium-cooled CSO. The power injected in the resonator is higher than those used in our devices. Depending on the input resonator port coupling, he evaluates the optimum injected power between 6 and 60 mW. We do not share this approach. In our CSOs, the injected power is much lower, i.e., $P_R \sim 100 \ \mu W$. It is set to the value for which the resonator power sensitivity is minimized [27] and thus is specific to each resonator. Locke measured the intrinsic noise of the Pound frequency discriminator. The resulting frequency stability limitation was evaluated to $2 \times 10^{-16} \tau^{-1/2}$, which is well below the observed value. It also demonstrated that the CSO frequency stability is affected by amplitude modulation (AM)-index fluctuations of the interrogation signal. Such a sensitivity makes mandatory a supplementary control loop to suppress the spurious AM. In our CSOs, we do not implement an AM suppression lock loop as we have never highlighted such a strong sensitivity.

In [15], Hartnett describes a cryocooled CSO where the injected power is set to 100 μ W. He claims a fractional frequency stability limited by a white frequency noise process. However, it is obvious from Fig. 6 that $\sigma_{\Lambda}(\tau)$ does not follow the expected $\tau^{-1/2}$ slope for $\tau \approx 1$ s.

From the data presented in Fig. 6, it is clear that there still exist some sources of fluctuation responsible for a frequency stability degradation with respect to the Pound servo intrinsic noise.

A. Noise in the Resonator Temperature Control

The resonator is stabilized at its turnover temperature T_0 using a LakeShore 340 Temperature Controller in the proportional–integral (PI) mode. The temperature sensor is a Cernox type CX-1050 with a sensitivity of approximately 3 k Ω /K. The controller drives a current I_H in a 25- Ω heater. The LakeShore controller makes 10 readings per second and offers a variety of digital processing that can be done to the raw sensor data before applying the PI control equation. Thus, the input information can be in sensor unit (Ω) or converted in temperature unit (K).

The measurement resolution deduced from the LakeShore 340 User's Manual is $\delta R=1~\Omega$ equivalent to $\delta T=300~\mu K$ for the sensor we used. The same datasheet indicates a control stability equal to $\pm 2~\Omega$ (or equivalently $\pm 600~\mu K$) without any information about the considered bandwidth and the type of noise (white and/or flicker?) affecting the temperature control. Near T_0 , the residual thermal sensitivity of the CSO frequency is

$$\frac{1}{\nu_0} \frac{\Delta \nu}{\Delta T} = 1.9 \times 10^{-9} (T - T_0). \tag{3}$$

A rough estimation of the noise floor imposed by the temperature controller can be done by assuming $(T-T_0)\sim\delta T$ and an rms temperature fluctuation $\Delta T\sim 600~\mu K$. The resulting fractional frequency stability is $\sim 3.4\times 10^{-16}$. This shows that below a fractional frequency stability of 1×10^{-15} , the noise of the temperature controller has to be considered. A temperature stability of some hundreds of microKelvin is a common performance for such a cryogenic configuration based on a commercial controller and a thermistor [28]–[30]. Better temperature stability of a few μK has been reported on systems using ac-resistance bridge and custom electronic design [31], [32]. Such a solution should be envisaged to improve the CSO short frequency stability and reach the limit imposed by the noise of the Pound frequency discriminator.

We do not know the details of the algorithms implemented in the controller. We checked that for small departures from the temperature setpoint, the Model 340 behaves like a traditional PI controller. If $\epsilon(t)$ is the error signal expressed in Kelvin, the output current I_H can be written as

$$I_H(t) = GP\left[\epsilon(t) + \frac{1}{\tau_I} \int \epsilon(t)dt\right].$$
 (4)

G is an internal gain which depends on the controller configuration and on the sensor sensitivity. In our case, we measured G=22.5 mA/K and G=1.7 mA/K when the controller works in sensor unit and temperature unit, respectively. P is the dimensionless proportional gain. τ_I is the integral time [33]. Both P and τ_I can be adjusted from the controller front panel. With the input data processing chosen, the setting of PI-controller gains is done using the autotuning procedure of the LakeShore controller. To start the autotuning, we adjusted the initial values of P and τ_I to those determined by a manual Ziegler–Nichols procedure. Eventually, P and τ_I can be slightly varied by checking the short-term frequency stability and searching for the best result. Fig. 7 shows $\sigma_{\Lambda}(\tau)$ calculated

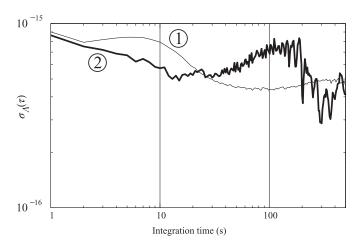


Fig. 7. $\sigma_{\Lambda}(\tau)$ calculated from the beatnote CSO-1 versus CSO-2, for two temperature controller configuration. 1) Reading in sensor unit (Ω). 2) Reading in temperature unit (K).

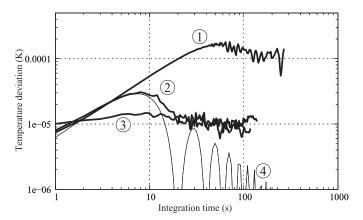


Fig. 8. CSO-1 resonator temperature deviation $\sigma_T(\tau)$ for some temperature controller configurations, the proportional gain is kept constant P=300. 1) Reading in temperature unit (K), $\tau_I=16$ s. 2) Reading in sensor unit (Ω), $\tau_I=16$ s. 3) Reading in sensor unit (Ω), $\tau_I=8$ s. 4) Computed temperature deviation for a time-varying temperature as: $T(t)=\langle T\rangle+\Delta T\sin(2\pi\frac{t}{\theta_m})$ with $\Delta T=4\times 10^{-5}$ K and $\theta_m=20$ s.

from the beatnote between CSO-1 and CSO-2 for two different configurations of the CSO-2 temperature controller: reading in sensor unit (Ω) or in temperature unit (K). The same P and τ_I are used for both. The effect on the frequency stability is obvious: the hump maximum is shifted to longer integration times when the reading is made in Kelvin with all other parameters being kept constant.

In a second time, we intentionally operate CSO-1 far from its turnover temperature, i.e., at $T=T_0+100$ mK. At this point, the first-order resonator temperature sensitivity is $\frac{1}{\Delta T}\frac{\Delta \nu}{\nu_0}=1.9\times 10^{-10}/\mathrm{K}$. Thus, the CSO frequency fluctuations will follow those of the resonator temperature. Fig. 8 shows the resonator temperature deviation, i.e., $\sigma_T(\tau)$, for different temperature controller configurations.

The curve 4 is the computed temperature deviation, assuming a resonator temperature modulated around its mean value $\langle T \rangle$ with a period $\theta_m=20$ s and an amplitude $\Delta T=4\times 10^{-5}$ K, which represents well the actual behavior of the configuration 2. The curve 3 corresponds to the best configuration we

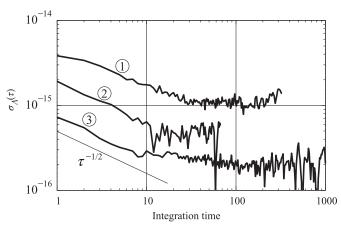


Fig. 9. CSO-3 frequency stability extracted from three-cornered-hat method. The frequency discriminator gain D being 1) 1.3×10^{-4} V/Hz, 2) 3.5×10^{-4} V/Hz, and 3) 1×10^{-3} V/Hz.

found and that has been used for the measurements presented in the previous section. The curve 3 is just above the resolution measurement limited by the frequency noise of CSO-2. The temperature modulation is still there leading to the hump in the CSO-1 fractional frequency stability curve (see Fig. 5). In spite of all our efforts, we did not manage to find a better tuning for CSO-1 and CSO-2. CSO-3 behaves better as no hump has been observed in its $\sigma_{\Lambda}(\tau)$ curve.

The cause of this temperature modulation as well as its impact on the CSO frequency stability is still not well understood. A modulation amplitude as $\Delta T = 4 \times 10^{-5}$ K will lead to a frequency instability of 5×10^{-16} if the resonator temperature is 6 mK above or below its turnover value T_0 . Such an error on the temperature setpoint seems not realistic as it is much higher than the controller measurement resolution of 300 μK. Moreover, we tried to adjust the temperature setpoint by step of 1 mK around the expected T_0 without finding any better tuning. The temperature modulation could result from an unexpected time lag in the thermal system making the control loop unstable. CSO-1 and CSO-2 are operating for a long time. They have been subjected to several stops, and both have been transported by car in the frame of the ULISS project. Thermal anchorages and bold tightenings into the cryostat could have been degraded by the resulting mechanical perturbations. That is coherent with the fact that CSO-3 is immune to these thermal perturbation as it was recently assembled and has not been transported.

B. Noise in the Frequency Discriminator

As explained in the previous section, CSO-3 is the only one not limited at short term by the resonator temperature fluctuations. Its fractional frequency stability is shown in Fig. 9 for several values of the Pound frequency discriminator gain D. The latter has been simply varied by changing the power P_R injected into the resonator, all the other parameters being kept constant.

The measured frequency stabilities follow a $\tau^{-1/2}$ slope until $\tau \approx 30$ s and then a flicker floor. Both vary with the incident power indicating that the CSO-3 performance is limited by the intrinsic noise of the Pound frequency discriminator. In the

TABLE II COMPUTED VOLTAGE WHITE NOISE SPECTRAL DENSITY e_n

Curve in Fig. 8	$\sigma_{\Lambda}(1s)$ $\times 10^{-15}$	P_R (μW)	$D \times 10^{-4} (V/Hz)$	$e_n \over (\mathrm{nV}/\sqrt{\mathrm{Hz}})$
①	5	12,5	1.3	8.0
②	2	33	3.5	8.6
③	0.7	87	9.3	8.0

presence of a white voltage noise at the demodulator output, the CSO short-term fractional frequency stability is [24]

$$\sigma_{\Lambda}(\tau) = \sqrt{\frac{2}{3}} \frac{e_n}{D\nu_0} \tau^{-1/2} \tag{5}$$

where e_n (V/ $\sqrt{\rm Hz}$) is the demodulator output voltage spectral density. The computed values of e_n are given in Table II.

The constant value $e_n\!pprox\!8$ nV/ $\sqrt{\rm Hz}$ is the equivalent voltage noise of the Pound detector. The direct measurement of e_n requires to duplicate the Pound detector and thus to place a second cryogenic diode receiving the signal reflected by the cavity. This has not been foreseen in our current CSO design. However, this value is compatible with the expected noise contributions of the lock-in amplifier and of the diode detector itself.

Assuming an identical Pound detector noise for CSO-1 and CSO-2 leads to a short-term frequency stability of $3\times 10^{-16}\tau^{-1/2}$ and $4.4\times 10^{-16}\tau^{-1/2}$, respectively. For these two CSOs, the Pound discriminator noise is not the dominant process.

V. SUMMARY

We applied the three-cornered-hat method to measure the individual fractional short-term frequency stability of three CSOs. This method implemented with commercial instruments and softwares permits a comparison at the 10^{-16} level. The method also reveals that there still exist technical sources of fluctuation responsible for a degradation of the oscillator frequency stability with respect to the Pound servo intrinsic noise. These perturbations could be minimized by a careful optimization of the thermal system and of the resonator temperature stabilization. Despite these perturbations, all the tested CSOs present a short-term frequency stability better than 7×10^{-16} at 1 s and than 5×10^{-16} between 30 and 3000 s. The best CSO shows a frequency stability of 4.6×10^{-16} at 1 s and a flicker floor below 2×10^{-16} .

ACKNOWLEDGMENT

This work has been realized in the frame of the Agence Nationale de la Recherche (ANR) Project Equipex Oscillator IMP. The Oscillator IMP Project funded in the frame of the French national *Projets d'Investivement d'Avenir* (PIA) targets at being a facility dedicated to the measurement of noise and short-term stability of oscillators and devices in the whole radio spectrum (from MHz to THz), including microwave photonics. The authors would like to thank the Council of the Région de Franche-Comté for its support to the *Projets d'Investissements d'Avenir* and the Fonds Européen de Développement Economique et Régional (FEDER) for funding one CSO.

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