

Fundamentals of Guided-Wave Optoelectronic Devices

Optoelectronic guided-wave devices are used in a wide range of optical fiber communication and optoelectronic systems. In such networks, the electrical and the optical characteristics of guided-wave devices, and the interplay between them, have a profound effect on system design and overall performance.

Uniquely, this book combines both the optical and electrical behavior of guided-wave optoelectronic devices so that the interwoven properties, including interconnections to external components, are easily understood. It provides the key concepts and analytical techniques that readers can apply to current and future devices. It also presents the impact of material properties on guided-wave devices, and emphasizes the importance of time-dependent interactions between electrical and optical signals. The properties of the devices are presented and compared in terms of system requirements in applications. This is an ideal reference for graduate students and researchers in electrical engineering and applied physics departments, as well as practitioners in the optoelectronics industry.

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Contents

<i>Preface</i>	<i>page</i> ix
<i>Acknowledgement</i>	xii
1 The formation and analysis of optical waveguides	1
1.1 Introduction to optical waveguides	1
1.1.1 Differences between optical and microwave waveguides	1
1.1.2 Diffraction of plane waves in waveguides	3
1.1.3 General characteristics of guided waves	5
1.2 Electromagnetic analysis of modes in optical waveguides	6
1.2.1 The asymmetric planar waveguide	7
1.2.2 TE and TM modes in planar waveguides	7
1.2.3 TE modes of planar waveguides	8
1.2.4 TM modes of planar waveguides	15
1.2.5 Generalized guided-wave modes in planar waveguides	20
1.2.6 Rectangular channel waveguides and the effective index analysis	23
1.2.7 The representation of fields and the excitation of guided-wave modes	28
1.2.8 Scalar approximation of the wave equations for TE and TM modes	30
1.3 Formation of optical waveguides	31
1.3.1 Formation of optical waveguides on LiNbO ₃ substrates	32
1.3.2 Formation of optical waveguides on GaAs and InP substrates	33
1.3.3 Formation of polymer optical waveguides	35
1.3.4 Formation of optical waveguides on Si substrates	36
2 Guided-wave interactions	39
2.1 Perturbation analysis	40
2.1.1 Review of properties of modes in a waveguide	40
2.1.2 The effect of perturbation	41
2.1.3 A simple application of perturbation analysis – perturbation by a nearby dielectric	43
2.2 Coupled mode analysis	44
2.2.1 Modes of two uncoupled parallel waveguides	44
2.2.2 Analysis of two coupled waveguides, using modes of individual waveguides	45

2.2.3	An example of coupled mode analysis – the grating reflection filter	46
2.2.4	An example of coupling of waveguides – the directional coupler	49
2.3	Super mode analysis	52
2.3.1	Super modes of two parallel waveguides	52
2.3.2	Directional coupling, viewed as propagation of super modes	58
2.3.3	Super modes of two coupled waveguides in general	58
2.3.4	Adiabatic branching and the super mode analysis of the Mach–Zehnder interferometer	58
2.4	Propagation in multimode waveguides and multimode interference couplers	64
3	Electro-optical effects	69
3.1	The linear electro-optic Pockel’s effect	70
3.1.1	The electro-optic effect in plane waves	71
3.1.2	Linear electro-optic effects in optical waveguides	74
3.2	Electro-absorption effects in semiconductors	78
3.2.1	The Frantz–Keldysh electro-absorption effect in bulk semiconductors	79
3.2.2	Electro-absorption in quantum wells (QW)	81
3.2.3	Comparison of Frantz–Keldysh and QW electro-absorption	86
3.3	The electro-refraction effect	87
3.4	The acousto-optical effect	88
3.5	A perturbation analysis of electro-optical effects	90
3.5.1	Perturbation of the effective index n_{eff} by $\Delta\chi'$	91
3.5.2	Attenuation of guided-wave mode by $\Delta\chi''$	92
3.5.3	The diffraction of a planar guided wave by acoustic surface waves	92
4	Time dependence, bandwidth, and electrical circuits	97
4.1	Low frequency properties of electro-optical devices	98
4.1.1	Low frequency representation of devices	98
4.1.2	Frequency variation of voltage and power delivered to devices	99
4.2	High frequency properties of electro-optical devices	102
4.2.1	Representation of the electrodes as a transmission line	102
4.2.2	Propagation of electrical voltages and currents	104
4.2.3	The Smith chart	105
4.2.4	Characterizing the electrodes as electrical transmission lines and circuit analysis	107
4.2.5	Impedance matching and bandwidth	110
4.2.6	Transient response	111
4.2.7	Pulse propagation and frequency response	111
4.3	Microwave electric field distribution and the electro-optical effects	112
4.4	Traveling wave interactions	114

5	Planar waveguide devices	117
5.1	Excitation and detection of planar guided waves	117
5.1.1	End excitation	117
5.1.2	Excitation by prism coupler	121
5.1.3	The grating coupler	125
5.1.4	The tapered waveguide coupler	125
5.1.5	Detection and monitoring of guided waves	125
5.2	Diffraction, focusing, and collimation in planar waveguides	127
5.2.1	The diffraction grating	127
5.2.2	Refraction, collimation, and focusing of planar waveguide modes	132
5.3	Diffraction devices	136
5.3.1	Grating reflectors and filters	136
5.3.2	Grating deflector/switch	136
5.3.3	The grating mode converter/coupler	138
5.4	The Star coupler	138
5.5	The acousto-optical scanner, spectrum analyzer, and frequency shifter	141
5.5.1	The optical scanner	144
5.5.2	The acousto-optical RF spectrum analyzer	145
5.5.3	The acousto-optical frequency shifter	146
6	Channel waveguide components	148
6.1	Passive waveguide components	148
6.1.1	The power divider	149
6.1.2	Wavelength filters/multiplexers	153
6.1.3	Waveguide reflectors	157
6.1.4	Resonators	158
6.1.5	The optical time delay line	165
6.2	Active waveguide components	166
6.2.1	Lumped element modulators and switches	167
6.2.2	Traveling wave modulators and switches	184
	<i>Index</i>	197

Preface

Optoelectronic guided-wave devices are used in many optical fiber communication and optoelectronic systems. In these systems optical and electrical signals are transmitted, received, multiplexed and converted by means of a variety of procedures. In guided-wave optoelectronic devices, laser radiation propagates in a waveguide and energy can be coupled effectively to and from single mode optical fibers. The properties of materials used to fabricate the waveguides have a profound effect on the phase, amplitude or directional variations of the optical waves used for the generation, modulation, switching, conversion, multiplexing, and detection of optical signals. The small lateral dimensions of the waveguide structures provide for efficient control of their optical properties by means of electrical voltages or currents. On the other hand, optical signals are converted back into electrical signals via detectors. Therefore, the electrical characteristics of these devices are as important as their optical properties. Devices may potentially be monolithically integrated optically on the same chip. This is called photonic integration. Optical components may also be integrated, monolithically, with electronic devices on the same chip. This is called optoelectronic integration. In earlier times, these were called integrated optical devices, as opposed to integrated electronic devices.

The manner in which different material properties affect the electrical characteristics as well as the propagation of optical signals in optoelectronic devices is of great importance. Also of considerable importance is the process of back and forth conversion of the electrical signals and of the optical signals. Furthermore, because the electrical signals must be received or transmitted to external circuits, how the devices are interconnected or driven by other electrical systems is also of great importance. The electrical signals may propagate at microwave frequencies within the optoelectronic devices. Therefore their performances must be analyzed and evaluated in terms of time-dependent interactions of electrical and optical waves.

A large number of books are already available in the technical literature on the optical analysis of waveguides. There are also many books that analyze the specific properties of electrical devices and circuits. This book is intended for use as a graduate level reference or text book. It provides an analysis of guided-wave devices from both the optical and the electrical points of view so that the interwoven optical and electrical properties of the devices, including their optical and electrical interconnections to external components, can be represented clearly. When appropriate, the impact of material properties on guided-wave devices is presented and the importance of time-dependent interactions between electrical and optical signals is emphasized. The book emphasizes fundamental concepts

and analytical techniques rather than giving a comprehensive coverage of different devices. The intention of the author is to illustrate these concepts and analytical techniques clearly so that they can be applied to all guided-wave optoelectronic devices, including many that are not covered in this book, or have not been investigated as yet.

Optical waveguides can be divided into planar waveguides (two-dimensional) and channel (three-dimensional) waveguides. The fabrication and analysis of optical waveguides constitute the most basic knowledge needed for understanding and designing guided-wave components. Chapter 1 begins with a discussion of the formation and the modal analysis of planar and channel optical waveguides. The optical analysis presented is similar to those in other books concerned with waveguides. Differently from other guided-wave books, a two-dimensional Green's function approach is presented which could be used to analyze propagation of planar guided waves in general. Also included is a description of the materials technologies employed for fabrication of optical waveguides.

The mathematical analysis of channel waveguide modes is already complicated because of the geometry of the boundaries of waveguides. Yet, in order to understand guided-wave devices, it is necessary to analyze the mutual interactions between optical waves in two or more channel waveguides. Therefore approximation techniques such as perturbation and coupled mode analyses are introduced in Chapter 2. They could be used to analyze the coupled waveguides and the interaction of optical waves with changes in material properties. Examples of waveguide components, such as the grating filter, the directional coupler and the Mach-Zehnder interferometer, are used as examples to illustrate these approximate analytical techniques. Another powerful technique useful for analysis of multiple waveguide components is the super mode analysis. It is introduced next in Chapter 2, after the coupled mode analysis. Additional insight into the properties of guided-wave devices such as the directional coupler, the Y-branch coupler and the interference coupler can be obtained from super mode analysis.

Optical amplification and photo-carrier generation are the basis of lasers and photo-detectors and they are described in many other books. In this book, how changing the material properties affects the propagation and interaction of optical waves, thereby producing modulation, switching, beam scanning, etc. in optoelectronic components is treated in detail. Electro-optical effects such as the linear electro-optic effect, the electro-absorption effect and the electro-refraction effect are discussed in Chapter 3.

In optoelectronic applications, electrical fields are created by time varying electrical voltages applied to electrode structures of the components. Analytical techniques for dealing with the time varying electrical properties of optoelectronic guided-wave structures are reviewed in Chapter 4. These techniques include the analyses of electrical fields produced by time varying voltages, the electro-optical effects produced by the electric fields, and the representation of the parameters of electro-optic devices by lumped circuit elements at lower frequencies and by traveling wave transmission lines at higher frequencies. Discussion in this chapter includes issues related to impedance matching such devices to microwave sources. Note that the frequency response and the electrical behavior of the device, in turn, place additional demands on the design of electrode and waveguide configurations.

Chapters 5 and 6 provide a description of guided-wave devices using planar and channel waveguides. The analyses of these devices utilize all the optical and electrical analytical tools, material properties and electro-optical effects described in Chapters 1 to 4. The optical and electrical performances of such devices are evaluated from the application point of view and the properties of different devices designed for the same application are compared to each other.

In planar waveguides, optical guided waves can propagate in any direction, following the contour of the waveguide layer. Summations of planar guided waves form divergent, converging, diffracted and deflected waves. Therefore, how to harness the refraction, diffraction and reflection of planar guided waves by planar waveguide devices is also the focus of Chapter 5. However, most of the applications will involve channel waveguide devices because of the ease of coupling to optical fibers, the superior electro-optical performance derived from the small lateral dimension of channel waveguides, and the advantage of small electrical capacitance of the device at high electrical frequencies. Devices that perform the same practical functions such as power division, wavelength filtering, resonance filtering, signal time delay, switching, multiplexing, and modulation are described, analyzed, and compared together. Their time-dependent characteristics are derived from combined microwave and optical analyses. Device performances are evaluated in terms of the systems requirements in applications. This is an unusual feature of the book.

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The author is indebted to Professors H. H. Wieder and Paul K. L. Yu at the University of California, San Diego for reviewing the manuscript. Our mission as a university is to explain the basic principles of guided-wave optoelectronics as best we can, and to continue to improve our explanations. The author welcomes any comments from readers. Comments can be sent directly to wchang@ucsd.edu.