

Simulations in integrated optics, brief general remarks

Semianalytical treatment of rectangular 2D Helmholtz problems



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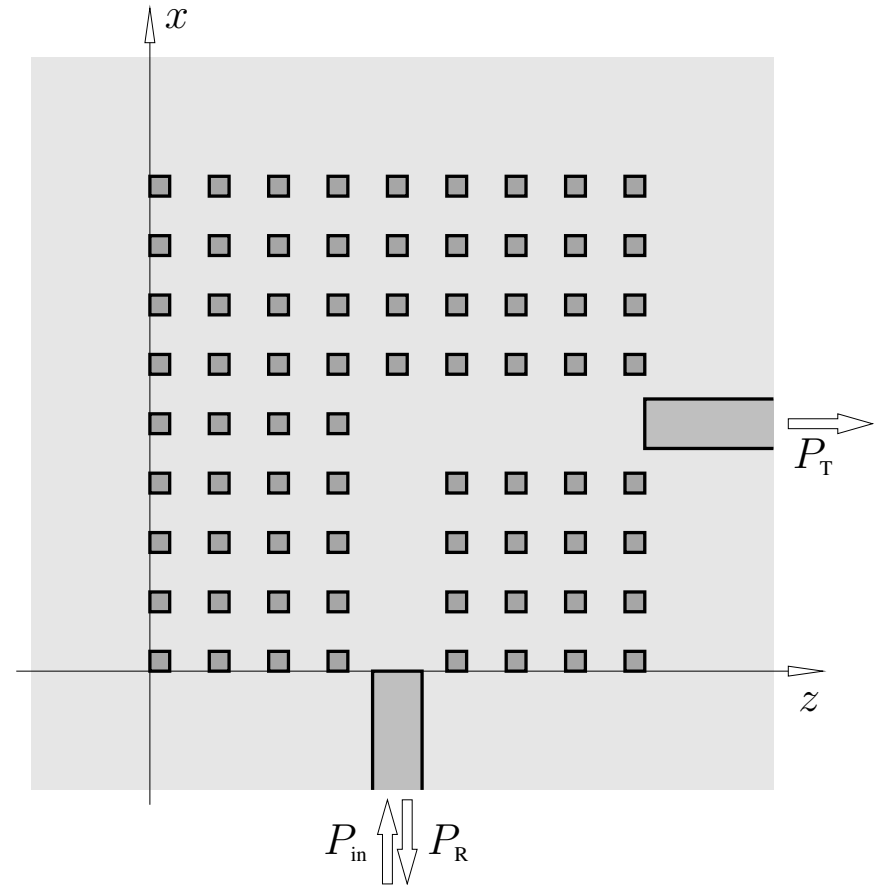
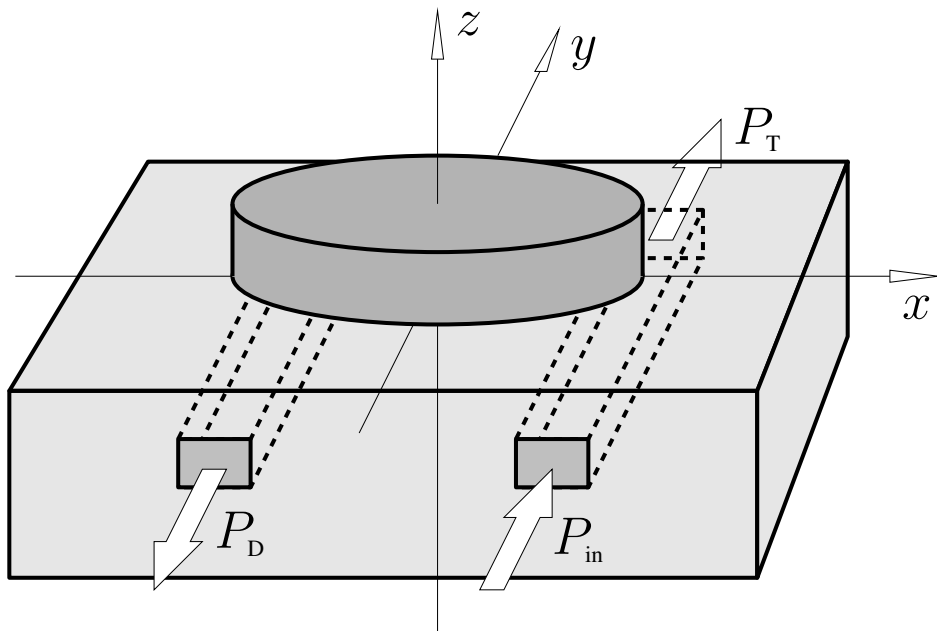
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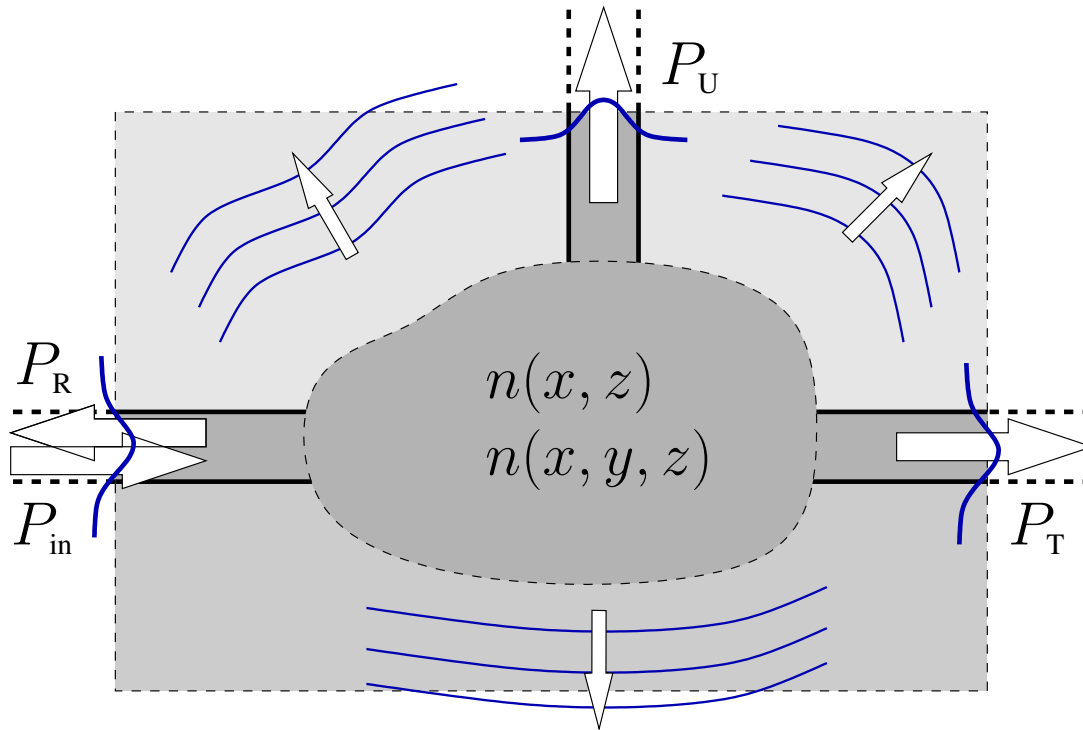
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Photonic devices: Examples from the CIPS application



Abstract scattering problem



Typical parameters:

- Vacuum wavelength
 $\lambda \in [400, 700] \text{ nm}$ (visible light),
 $\lambda \approx 1.3 \mu\text{m}, 1.55 \mu\text{m}$
(optical fibers, attenuation min.).
- Refractive indices $n \in [1, 3.4]$,
small attenuation
(transparent dielectrics).

- Interesting domain: $(10 \lambda - 100 \lambda)^d$, $d = 2, 3$ (2D, 3D).
- Details: $\approx \lambda/10$, $\approx \lambda/100$.
- Influx and outflux: Guided & nonguided waves \longleftrightarrow Boundary conditions.

Outline

- Simulations in integrated optics, brief general remarks
 - Macroscopic Maxwell equations
 - Stationary and time-domain problems
 - 2D problems
 - Modes of dielectric waveguides
- Semianalytical treatment of rectangular 2D Helmholtz problems
 - Problem setting
 - Eigenmode expansion
 - Algebraic procedure
 - Numerical results

Macroscopic Maxwell equations

... for electromagnetic fields

$$\mathcal{E}(x, y, z, t) = \frac{1}{2} \left(\tilde{\mathbf{E}}(x, y, z) e^{i\omega t} + \tilde{\mathbf{E}}^*(x, y, z) e^{-i\omega t} \right),$$

$$\hat{=} \mathcal{B}, \tilde{\mathbf{B}}, \mathcal{D}, \tilde{\mathbf{D}}, \mathcal{H}, \tilde{\mathbf{H}}, \mathcal{P}, \tilde{\mathbf{P}}, \mathcal{M}, \tilde{\mathbf{M}}, \quad \omega = kc = 2\pi c / \lambda,$$

in frequency domain form (SI):

$$\text{curl } \tilde{\mathbf{E}} = -i\omega \tilde{\mathbf{B}}, \quad \text{curl } \tilde{\mathbf{H}} = i\omega \tilde{\mathbf{D}}, \quad \text{div } \tilde{\mathbf{D}} = 0, \quad \text{div } \tilde{\mathbf{B}} = 0,$$

$$\tilde{\mathbf{B}} = \mu_0(\tilde{\mathbf{H}} + \tilde{\mathbf{M}}), \quad \tilde{\mathbf{D}} = \epsilon_0 \tilde{\mathbf{E}} + \tilde{\mathbf{P}}.$$

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Typical media:

- uncharged, no free currents and charges,
- nonmagnetic at optical frequencies, $\tilde{\mathbf{M}} = 0$,
- dielectrics, susceptibilities $\hat{\chi}^{(j)}(x, y, z; \omega)$:

$$\tilde{P}_j = \epsilon_0 \left(\sum_k \chi_{j,k}^{(1)} \tilde{E}_k + \sum_{k,l} \chi_{j,k,l}^{(2)} \tilde{E}_k \tilde{E}_l + \sum_{k,l,m} \chi_{j,k,l,m}^{(3)} \tilde{E}_k \tilde{E}_l \tilde{E}_m \dots \right).$$

Convention: Eliminate $\tilde{\mathbf{D}}$ and $\tilde{\mathbf{B}}$  Formulation in $\tilde{\mathbf{E}}$ and $\tilde{\mathbf{H}}$.


Linear problems

$$\tilde{\mathbf{P}} = \epsilon_0 \hat{\chi}^{(1)} \tilde{\mathbf{E}}, \quad \tilde{\mathbf{D}} = \epsilon_0 (1 + \hat{\chi}^{(1)}) \tilde{\mathbf{E}} = \epsilon_0 \hat{\epsilon} \tilde{\mathbf{E}};$$

$\hat{\epsilon} = 1 + \hat{\chi}^{(1)}$: Relative permittivity.

Simplest case: Isotropic, lossless dielectrics; refractive index n :

$$\hat{\epsilon} = \epsilon \mathbf{1}, \quad \epsilon = n^2, \quad n(x, y, z; \omega) \in \mathbb{R}.$$

Frequently n is piecewise constant  Interface conditions for $\tilde{\mathbf{E}}, \tilde{\mathbf{H}}$.

Linear problems

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Frequently n is piecewise constant \longleftrightarrow Interface conditions for $\tilde{\mathbf{E}}, \tilde{\mathbf{H}}$.

Complications:

- Anisotropic media, $\hat{\epsilon} \not\propto \mathbf{1}$ (crystals, ordered materials),
- Attenuation, $\hat{\epsilon}^\dagger \neq \hat{\epsilon}$, $n \notin \mathbb{R}$,
- Nonlinear problems, $\hat{\chi}^{(2)}, \hat{\chi}^{(3)} \dots$

Stationary problems

Continuous wave excitation, ω a given parameter:

$$\operatorname{curl} \tilde{\mathbf{E}} = -i\omega\mu_0\tilde{\mathbf{H}}, \quad \operatorname{curl} \tilde{\mathbf{H}} = i\omega\epsilon_0\hat{\epsilon}\tilde{\mathbf{E}}, \quad \operatorname{div} \hat{\epsilon}\tilde{\mathbf{E}} = 0, \quad \operatorname{div} \tilde{\mathbf{H}} = 0,$$

or

$$\operatorname{curl} \operatorname{curl} \tilde{\mathbf{E}} = k^2\hat{\epsilon}\tilde{\mathbf{E}}, \quad \operatorname{curl} \hat{\epsilon}^{-1}\operatorname{curl} \tilde{\mathbf{H}} = k^2\tilde{\mathbf{H}},$$

$$\tilde{\mathbf{E}}(x, y, z) \in \mathbb{C}^3, \quad \tilde{\mathbf{H}}(x, y, z) \in \mathbb{C}^3.$$

Helmholtz solver:

Given $\hat{\epsilon}$ and an optical “influx”, find $\tilde{\mathbf{E}}, \tilde{\mathbf{H}}$ on a computational domain, subject to suitable boundary conditions.

Scans over ω  Spectral data.

Time dependent modeling

Propagation of time dependent signals, pulsed excitation:

$$\operatorname{curl} \mathcal{E} = -\mu_0 \partial_t \mathcal{H}, \quad \operatorname{curl} \mathcal{H} = \epsilon_0 \hat{\epsilon} \partial_t \mathcal{E}, \quad \operatorname{div} \hat{\epsilon} \mathcal{E} = 0, \quad \operatorname{div} \mathcal{H} = 0,$$

or

$$\operatorname{curl} \operatorname{curl} \mathcal{E} = -\frac{1}{c^2} \hat{\epsilon} \partial_t^2 \mathcal{E}, \quad \operatorname{curl} \hat{\epsilon}^{-1} \operatorname{curl} \mathcal{H} = -\frac{1}{c^2} \partial_t^2 \mathcal{H},$$

$$\mathcal{E}(x, y, z, t) \in \mathbb{R}^3, \quad \mathcal{H}(x, y, z, t) \in \mathbb{R}^3.$$

Time domain solver:

Given $\hat{\epsilon}$ and an optical “influx” signal, find \mathcal{E} , \mathcal{H} on a computational domain within a certain time interval, subject to suitable boundary conditions.

Fourier transform with respect to time  Spectral data.

2D problems

$\partial_y \hat{\epsilon} = 0$, $\partial_y \tilde{\mathbf{E}} = 0$, $\partial_y \tilde{\mathbf{H}} = 0$; equations split into two subsets:

TE, \tilde{E}_y , \tilde{H}_x , and \tilde{H}_z , principal component \tilde{E}_y :

$$i\omega\mu_0\tilde{H}_x = \partial_z\tilde{E}_y, \quad i\omega\mu_0\tilde{H}_z = -\partial_x\tilde{E}_y, \quad i\omega\epsilon_0\epsilon\tilde{E}_y = \partial_z\tilde{H}_x - \partial_x\tilde{H}_z,$$

or

$$\partial_x^2\tilde{E}_y + \partial_z^2\tilde{E}_y + k^2\epsilon\tilde{E}_y = 0.$$

TM, \tilde{H}_y , \tilde{E}_x , and \tilde{E}_z , principal component \tilde{H}_y :

$$i\omega\epsilon_0\epsilon\tilde{E}_x = -\partial_z\tilde{H}_y, \quad i\omega\epsilon_0\epsilon\tilde{E}_z = \partial_x\tilde{H}_y, \quad -i\omega\mu_0\tilde{H}_y = \partial_z\tilde{E}_x - \partial_x\tilde{E}_z,$$

or

$$\partial_x \frac{1}{\epsilon} \partial_x \tilde{H}_y + \partial_z \frac{1}{\epsilon} \partial_z \tilde{H}_y + k^2 \tilde{H}_y = 0.$$

Dielectric waveguides

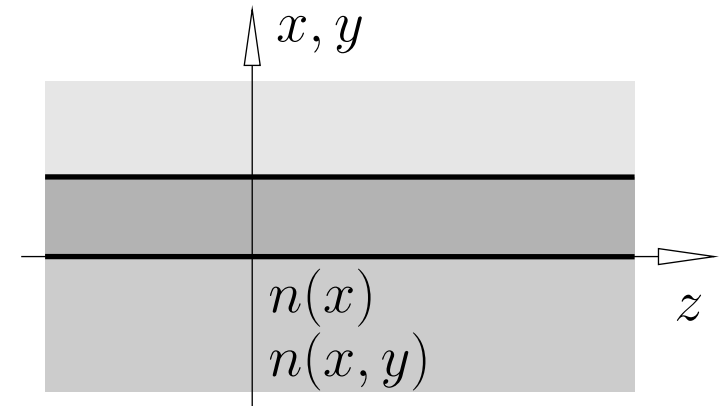
$$\partial_z \hat{\epsilon} = 0, \quad \partial_z n = 0,$$

modal solutions with
profile \mathbf{E} , \mathbf{H} , and propagation constant β :

$$\mathcal{E}(x, y, z, t) = \text{Re} \mathbf{E}(x, y) e^{i\omega t - i\beta z}, \quad \mathcal{H}(x, y, z, t) = \text{Re} \mathbf{H}(x, y) e^{i\omega t - i\beta z}.$$

Guided modes: $\iint |\mathbf{E}|^2 dx dy < \infty, \quad \iint |\mathbf{H}|^2 dx dy < \infty.$

Mode solver: Eigenvalue problem for \mathbf{E} , \mathbf{H} , and β .



Dielectric waveguides

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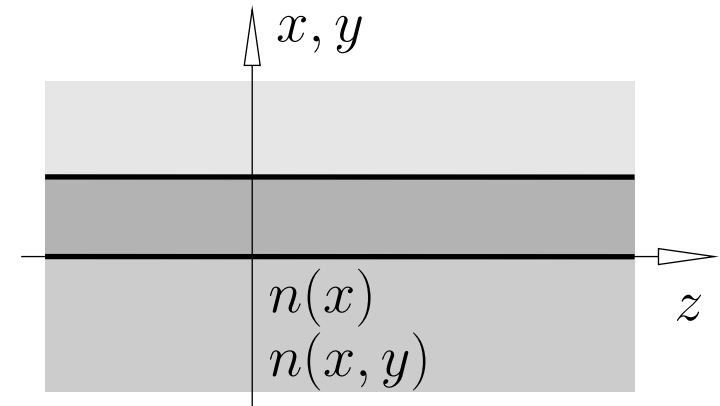
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Guided modes: $\iint |\mathbf{E}|^2 dx dy < \infty, \quad \iint |\mathbf{H}|^2 dx dy < \infty.$

Mode solver: Eigenvalue problem for \mathbf{E} , \mathbf{H} , and β .

- Basis for all kinds of design considerations,
- Basis fields for various types of perturbational simulations,
- Input / output fields for Helmholtz & time domain solvers.



Outline

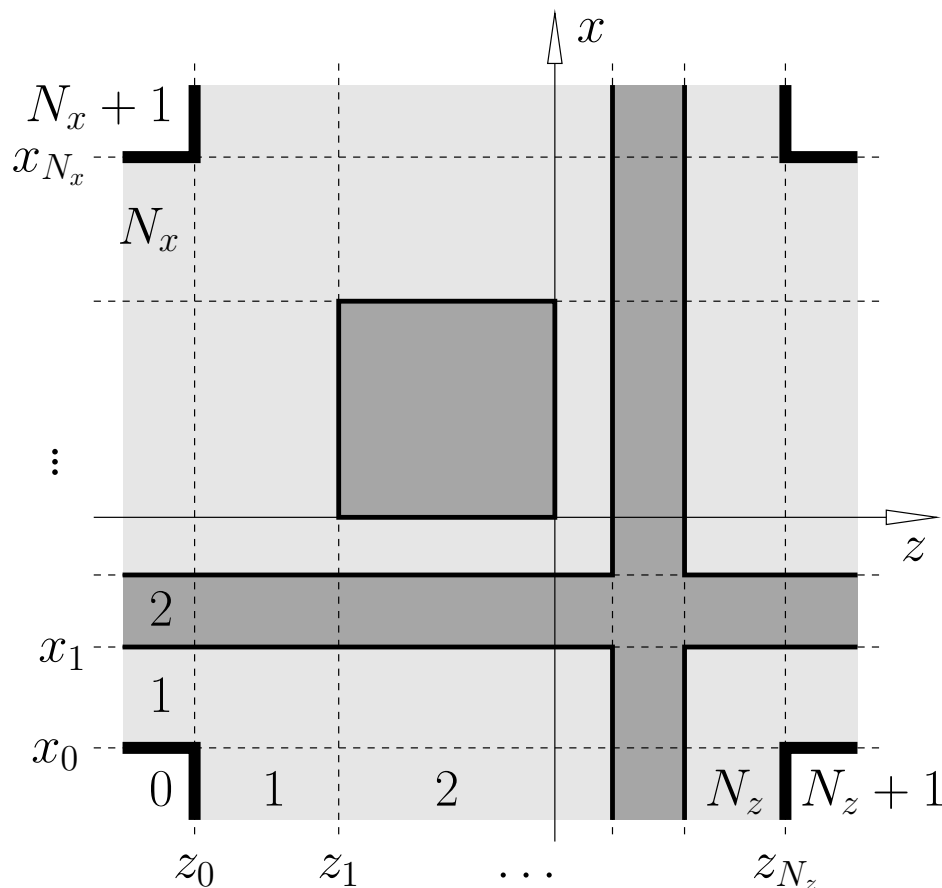
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Semianalytical treatment of 2D rectangular Helmholtz problems

TE: $\tilde{E}_y, \tilde{H}_x, \tilde{H}_z; \quad \partial_x^2 \tilde{E}_y + \partial_z^2 \tilde{E}_y + k^2 \epsilon \tilde{E}_y = 0.$

TM: $\tilde{H}_y, \tilde{E}_x, \tilde{E}_z; \quad \partial_x \frac{1}{\epsilon} \partial_x \tilde{H}_y + \partial_z \frac{1}{\epsilon} \partial_z \tilde{H}_y + k^2 \tilde{H}_y = 0.$

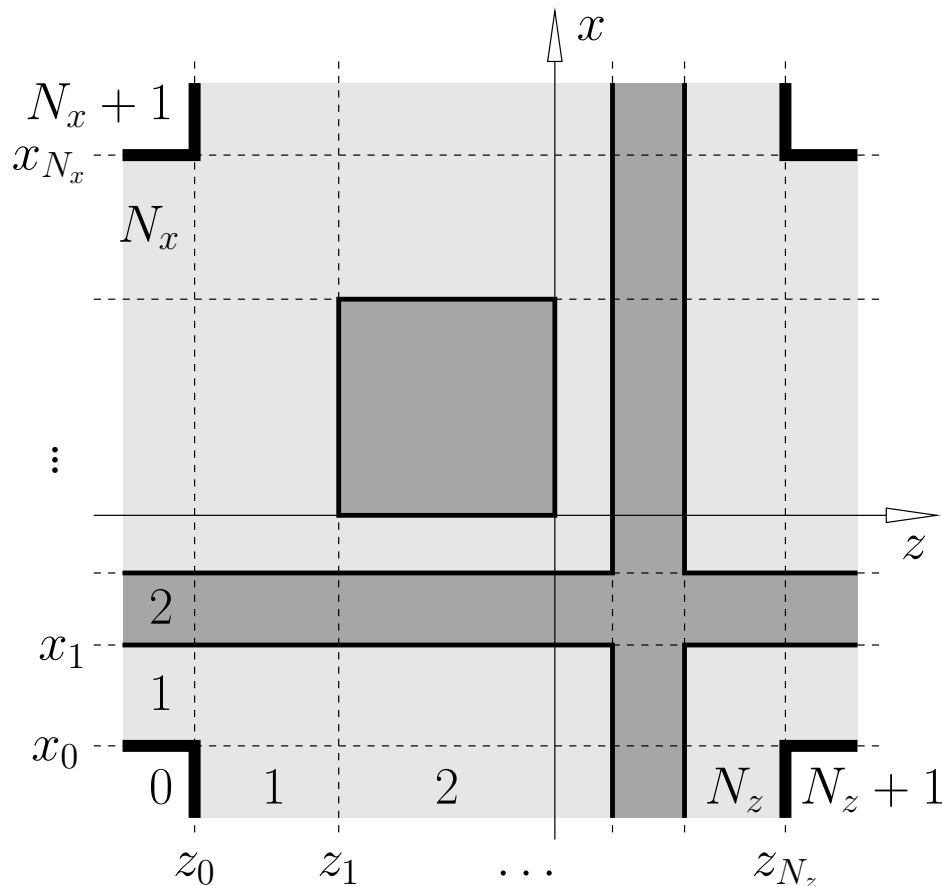
ω, λ



- Piecewise constant, rectangular refractive index distribution; linear, lossless materials.

Semianalytical treatment of 2D rectangular Helmholtz problems

$$\begin{array}{ll}
 \text{TE:} & \tilde{E}_y, \tilde{H}_x, \tilde{H}_z; \quad \partial_x^2 \tilde{E}_y + \partial_z^2 \tilde{E}_y + k^2 \epsilon \tilde{E}_y = 0. \\
 \text{TM:} & \tilde{H}_y, \tilde{E}_x, \tilde{E}_z; \quad \partial_x \frac{1}{\epsilon} \partial_x \tilde{H}_y + \partial_z \frac{1}{\epsilon} \partial_z \tilde{H}_y + k^2 \tilde{H}_y = 0.
 \end{array} \quad \left| \begin{array}{l} \omega, \lambda \end{array} \right.$$

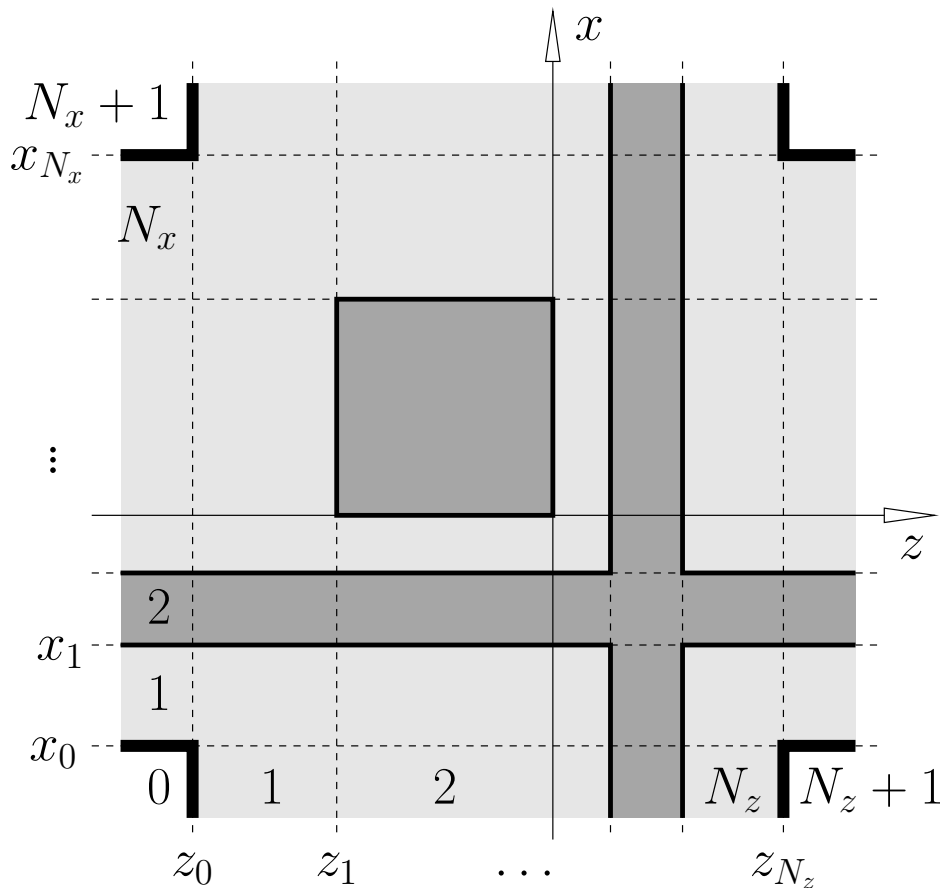


- Piecewise constant, rectangular refractive index distribution; linear, lossless materials.
- Rectangular interior computational domain, influx & outflux across all four boundaries, external regions are homogeneous along x or z .

Semianalytical treatment of 2D rectangular Helmholtz problems

TE: $\tilde{E}_y, \tilde{H}_x, \tilde{H}_z; \quad \partial_x^2 \tilde{E}_y + \partial_z^2 \tilde{E}_y + k^2 \epsilon \tilde{E}_y = 0.$

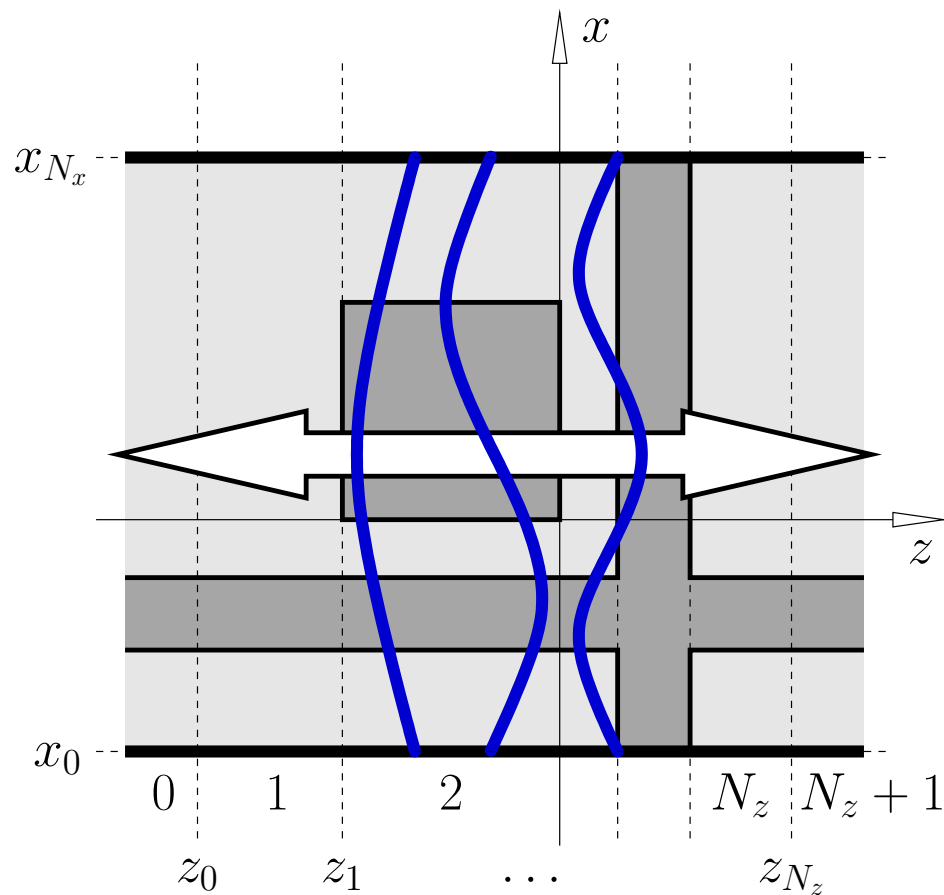
TM: $\tilde{H}_y, \tilde{E}_x, \tilde{E}_z; \quad \partial_x \frac{1}{\epsilon} \partial_x \tilde{H}_y + \partial_z \frac{1}{\epsilon} \partial_z \tilde{H}_y + k^2 \tilde{H}_y = 0.$ | ω, λ



- Piecewise constant, rectangular refractive index distribution; linear, lossless materials.
- Rectangular interior computational domain, influx & outflux across all four boundaries, external regions are homogeneous along x or z .
- Assumption $E_y = 0, H_y = 0$ on the corner points and on the external border lines is reasonable for the problems under investigation.

Modal basis fields

Basis fields,
defined by Dirichlet boundary conditions $E_y = 0$ (TE) or $H_y = 0$ (TM):



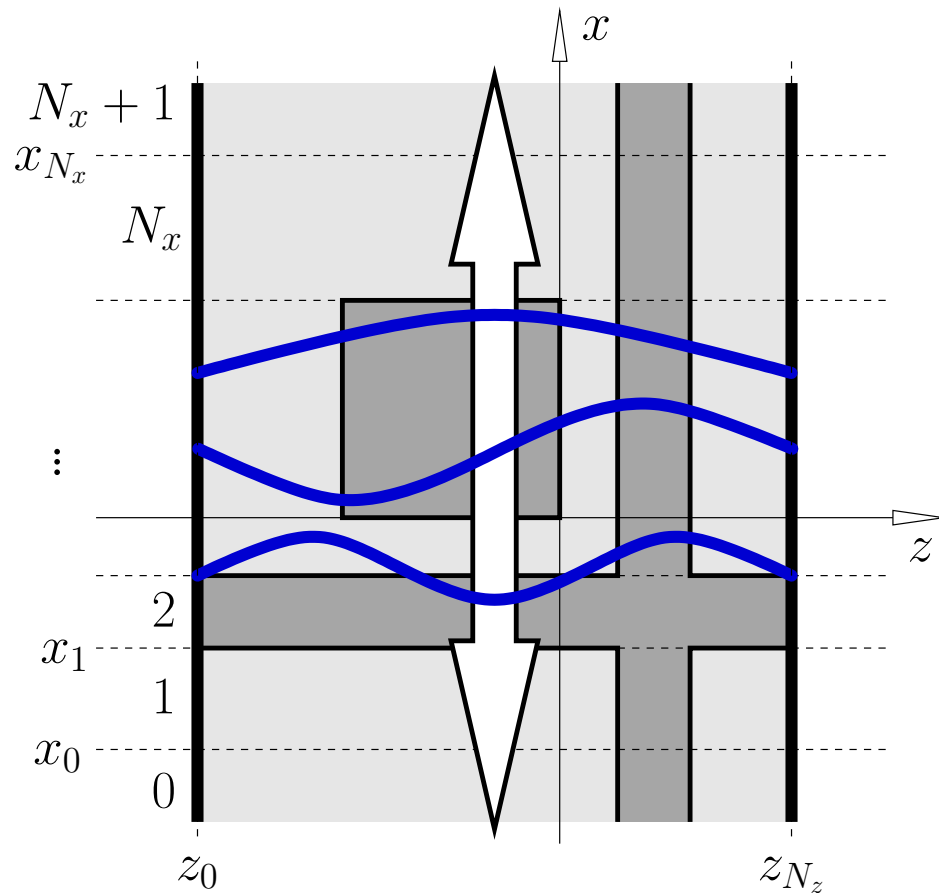
Horizontally traveling eigenmodes:

M_z profiles	$\psi_{s,m}^d(x)$
and propagation constants	$\pm\beta_{s,m}$

of order m , on slice s ,
for propagation directions $d = \text{f, b}$,

Modal basis fields

Basis fields,
defined by Dirichlet boundary conditions $E_y = 0$ (TE) or $H_y = 0$ (TM):



... and vertically traveling fields:

M_x profiles	$\phi_{l,m}^d(z)$
and propagation constants	$\pm\gamma_{l,m}$

of order m , on layer l ,
for propagation directions $d = \text{u, d}$.

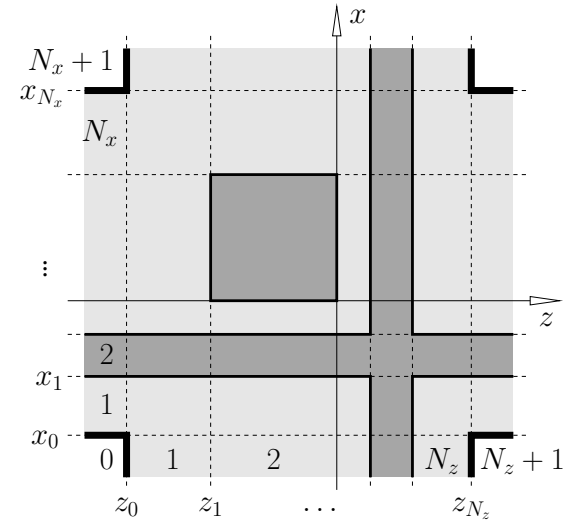
Eigenmode expansion

Ansatz for the optical field,

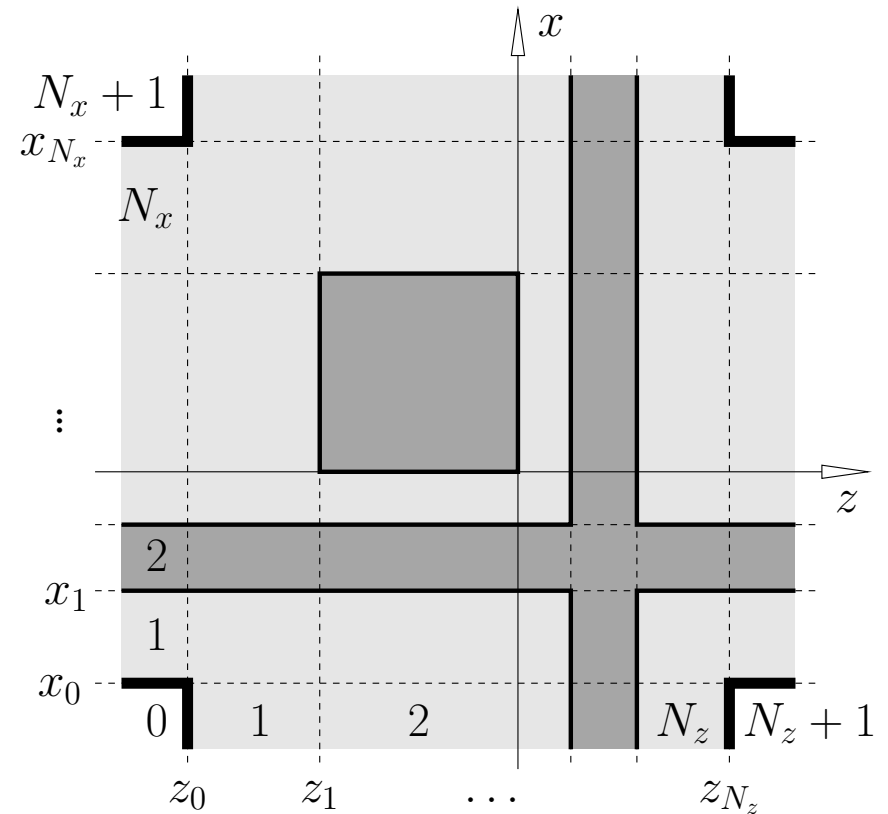
for $z_{s-1} \leq z \leq z_s$, $s = 1, \dots, N_z$,

and $x_{l-1} \leq x \leq x_l$, $l = 1, \dots, N_x$:

$$\begin{pmatrix} \mathcal{E} \\ \mathcal{H} \end{pmatrix} (x, z, t) = \text{Re} \left\{ \sum_{m=0}^{M_z-1} F_{s,m} \psi_{s,m}^f(x) e^{-i\beta_{s,m}(z - z_{s-1})} \right. \\ + \sum_{m=0}^{M_z-1} B_{s,m} \psi_{s,m}^b(x) e^{+i\beta_{s,m}(z - z_s)} \\ + \sum_{m=0}^{M_x-1} U_{l,m} \phi_{l,m}^u(z) e^{-i\gamma_{l,m}(x - x_{l-1})} \\ \left. + \sum_{m=0}^{M_x-1} D_{l,m} \phi_{l,m}^d(z) e^{+i\gamma_{l,m}(x - x_l)} \right\} e^{i\omega t}.$$



Eigenmode expansion

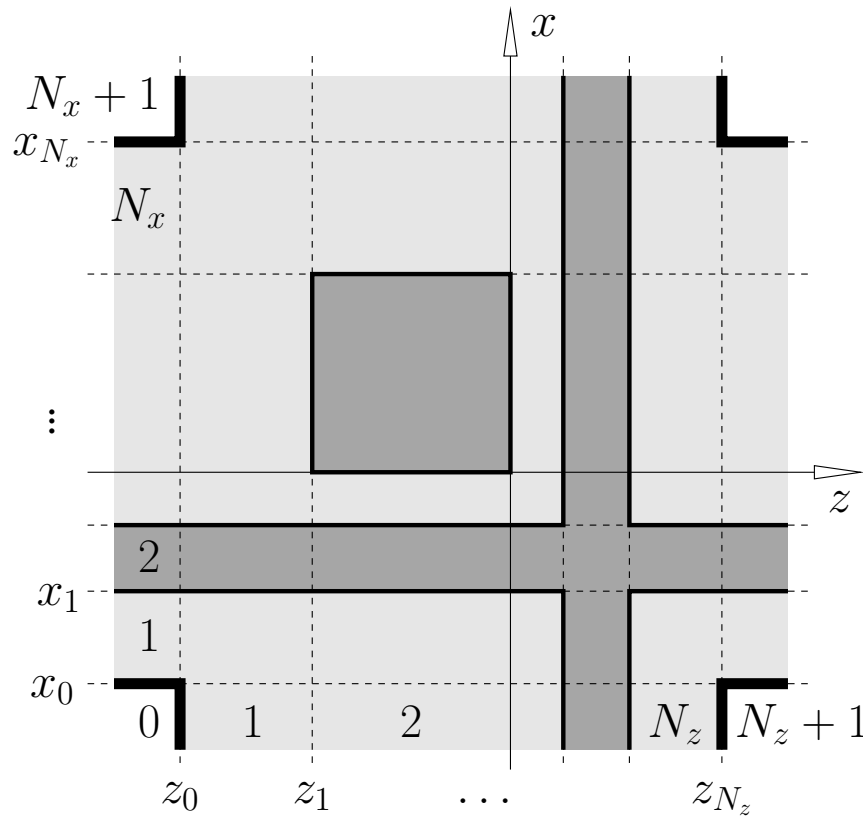


Mode products \leftrightarrow normalization, projection:

$$(\mathbf{E}_1, \mathbf{H}_1; \mathbf{E}_2, \mathbf{H}_2)_x = \frac{1}{4} \int (E_{1,x}^* H_{2,y} - E_{1,y}^* H_{2,x} + H_{1,y}^* E_{2,x} - H_{1,x}^* E_{2,y}) dx ,$$

$$(\mathbf{E}_1, \mathbf{H}_1; \mathbf{E}_2, \mathbf{H}_2)_z = \frac{1}{4} \int (E_{1,y}^* H_{2,z} - E_{1,z}^* H_{2,y} + H_{1,z}^* E_{2,y} - H_{1,y}^* E_{2,z}) dz .$$

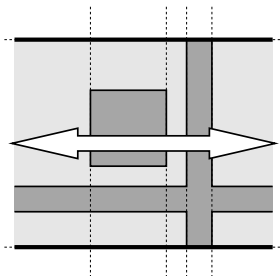
Algebraic procedure



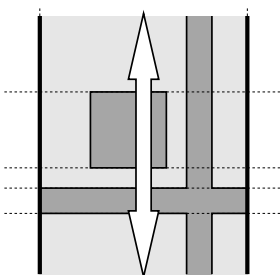
- Consistent bidirectional projection at all interfaces
 \longrightarrow linear system of equations in $\{F_{s,m}, B_{s,m}, U_{l,m}, D_{l,m}\}$.
- Influx: $F_0, B_{N_x+1}, U_0, D_{N_z+1} \longrightarrow$ RHS.
- Outflux: $B_0, F_{N_x+1}, D_0, U_{N_z+1}$.

Algebraic procedure

- “Exact” mode profiles \longrightarrow interior problems decouple:

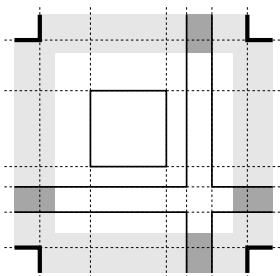


Solve for F_2, \dots, F_{N_z} and B_1, \dots, B_{N_z-1}
in terms of F_1 and B_{N_z} \longrightarrow BEP.



Solve for U_2, \dots, U_{N_x} and D_1, \dots, D_{N_x-1}
in terms of U_1 and D_{N_x} \longrightarrow BEP.

- Continuity of E and H on outer interfaces:

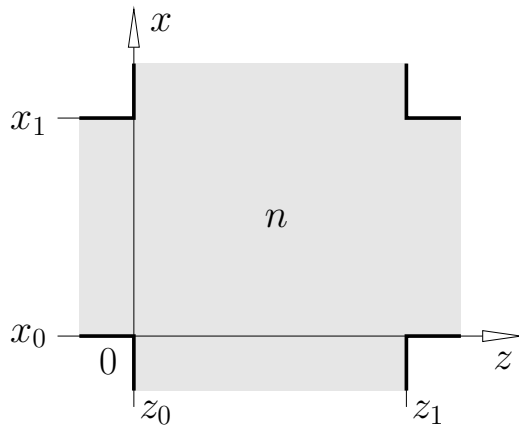
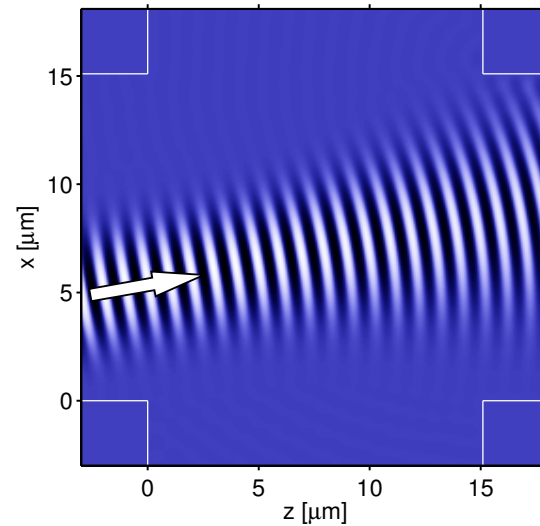


Interior BEP solutions
+ equations at $z = z_0, z_{N_z}, x = x_0, x_{N_x}$
 $\longrightarrow B_0, F_{N_x+1}, D_0, U_{N_z+1}$.

“QUadridirectional Eigenmode Propagation method” (QUEP).

Gaussian beams in free space

$$E_y(x, z):$$



$$n = 1.0, \lambda = 1.0 \mu\text{m},$$

TE polarization,

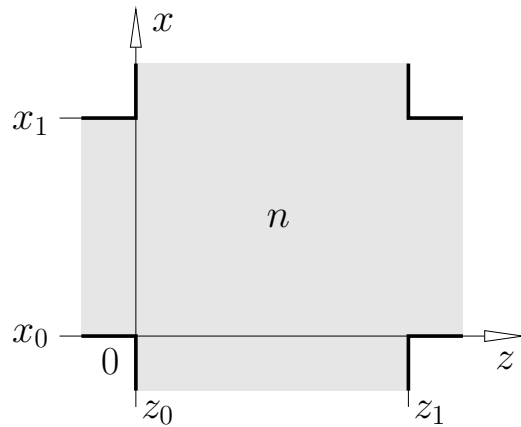
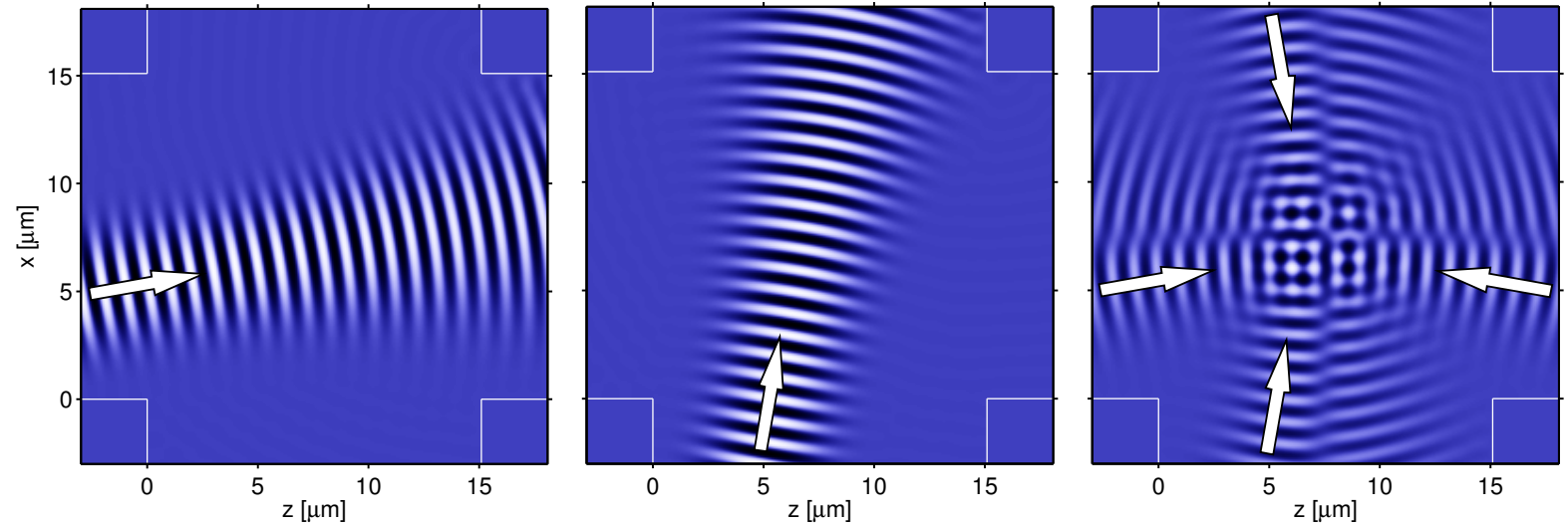
$$x, z \in [0, 15.1] \mu\text{m},$$

$$M_x = M_z = 150.$$

Top: $4 \mu\text{m}$ beam width, 10° tilt angle, $2 \mu\text{m}$ offset;

Gaussian beams in free space

$$E_y(x, z):$$



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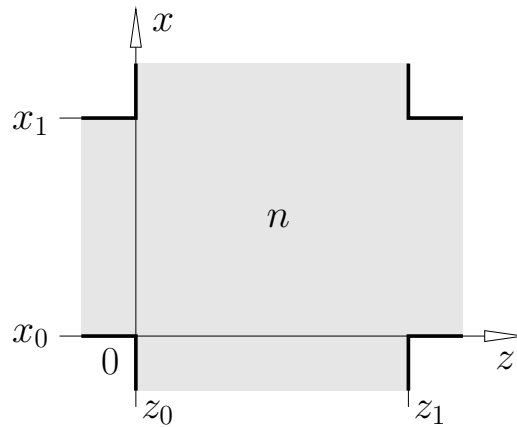
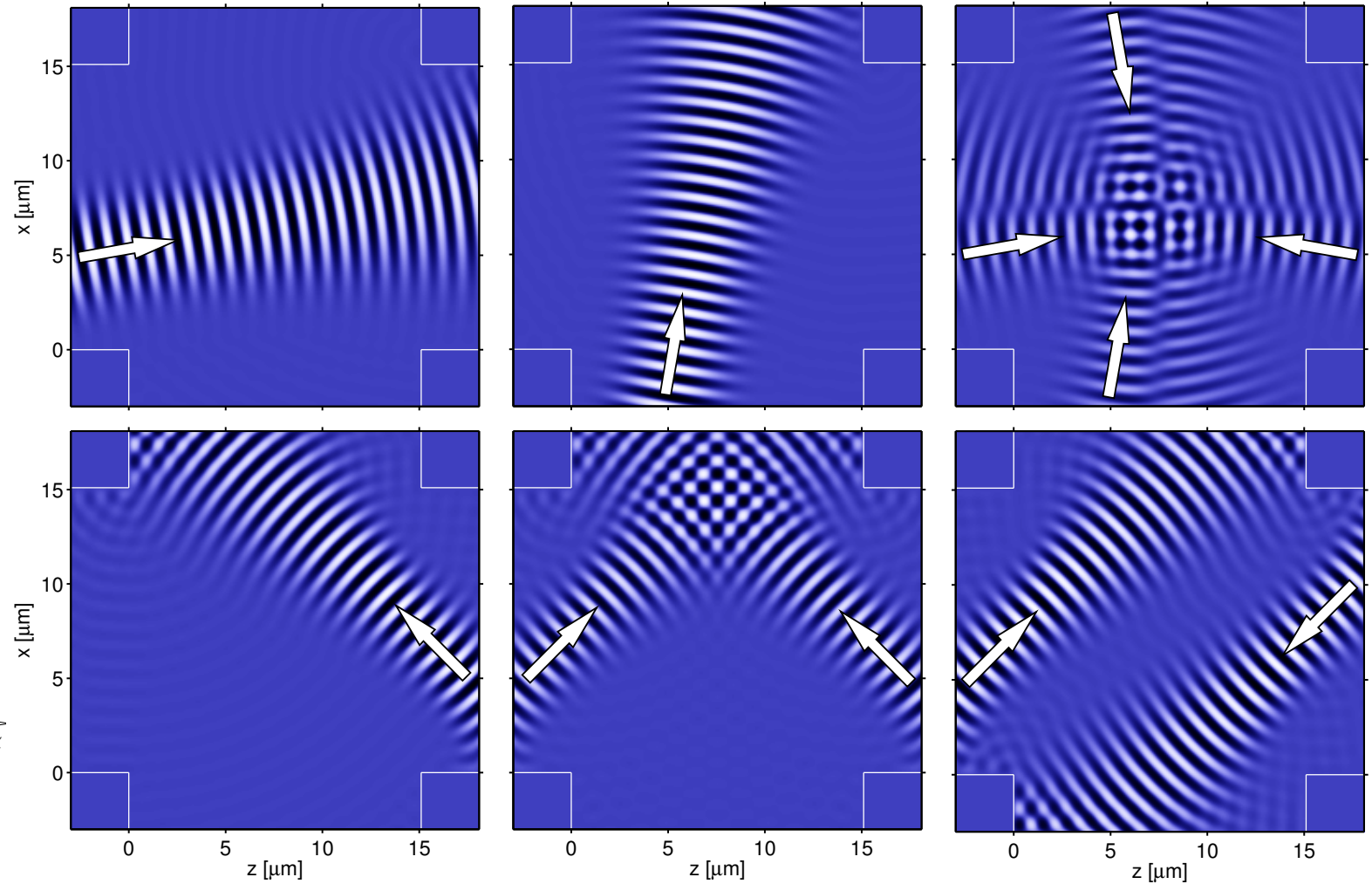
$x, z \in [0, 15.1] \mu\text{m}$,

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Top: $4 \mu\text{m}$ beam width, 10° tilt angle, $2 \mu\text{m}$ offset;

Gaussian beams in free space

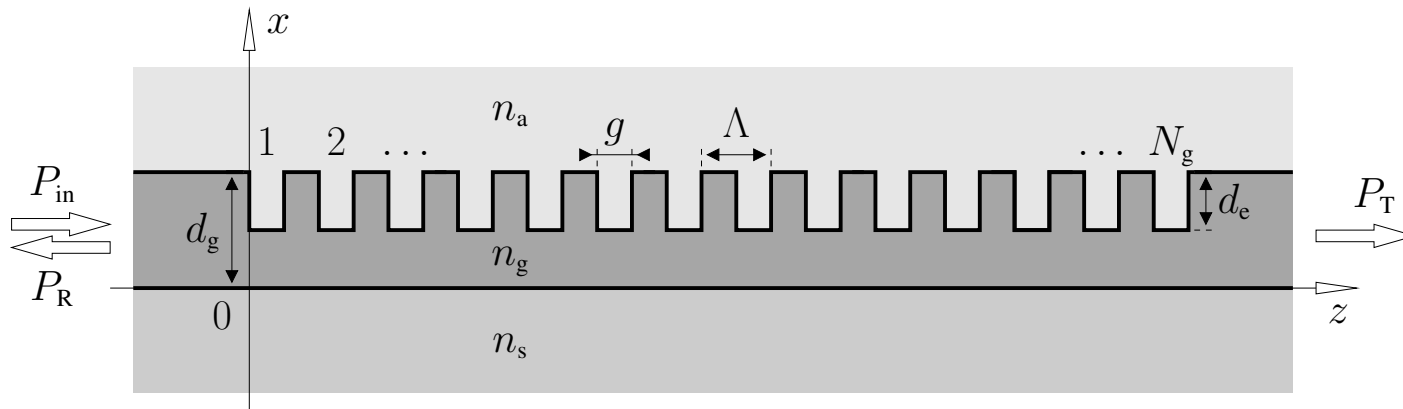
$$E_y(x, z):$$



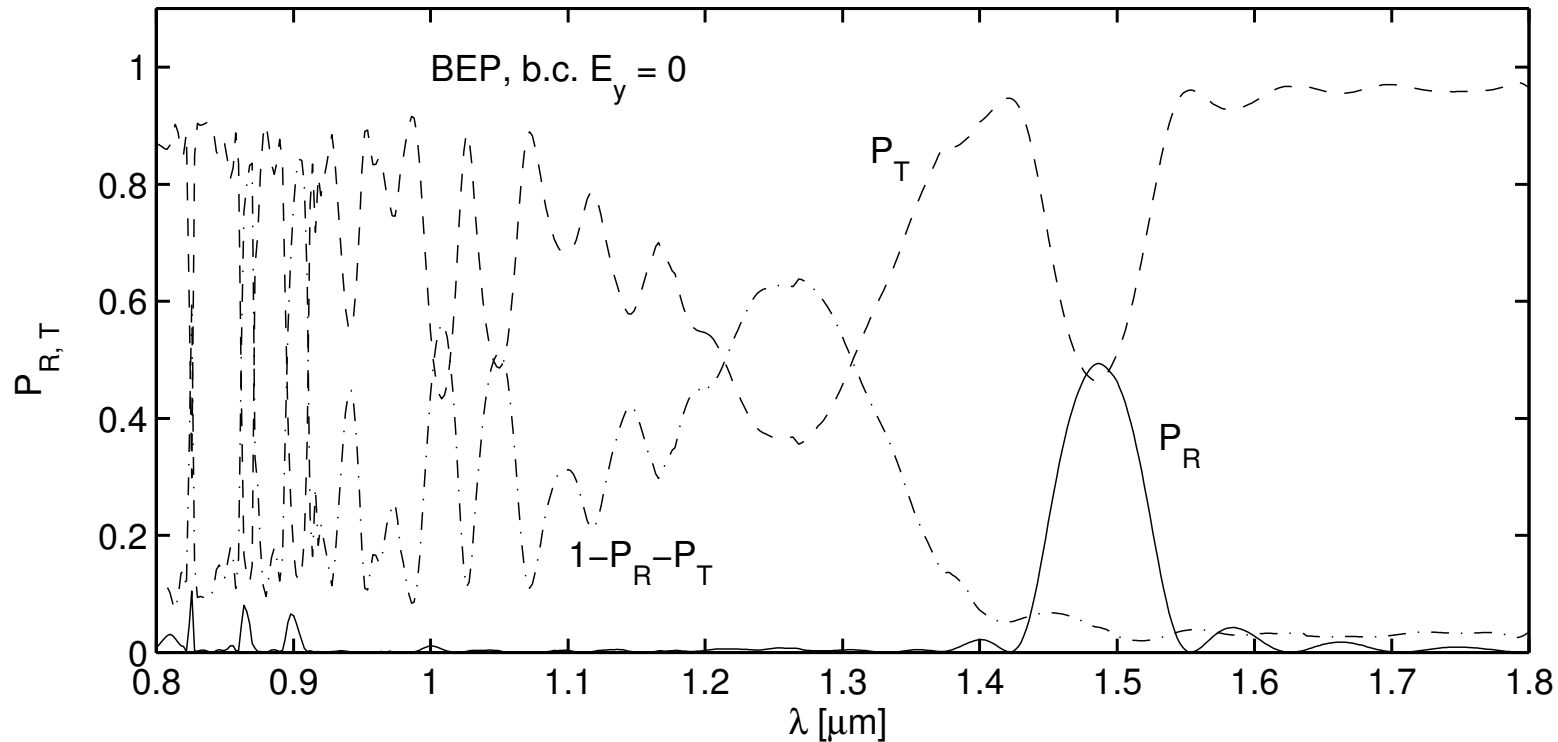
$n = 1.0$, $\lambda = 1.0 \mu\text{m}$,
TE polarization,
 $x, z \in [0, 15.1] \mu\text{m}$,
 $M_x = M_z = 150$.

Top: $4 \mu\text{m}$ beam width, 10° tilt angle, $2 \mu\text{m}$ offset;
bottom: 45° tilt angle, initially centered beams.

Bragg grating: COST268 benchmark problem



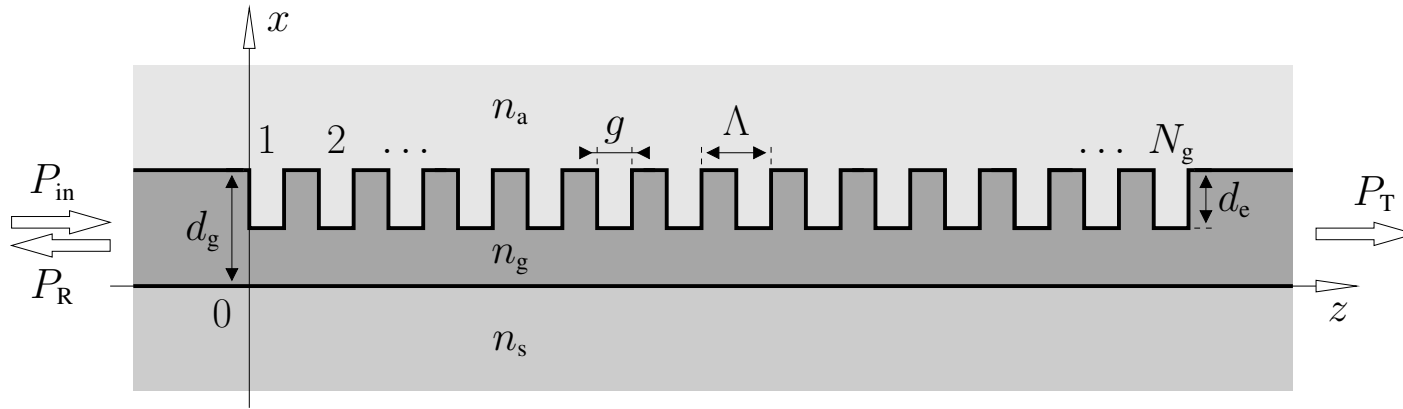
(*)
 $d_g = 0.500 \mu\text{m}$,
 $d_e = 0.125 \mu\text{m}$,
 $n_s \approx 1.45$ (SiO₂),
 $n_g \approx 1.99$ (Si₃N₄),
 $n_a = 1.0$,
 $\Lambda = 0.430 \mu\text{m}$,
 $g = \Lambda/2$, $N_g = 20$.



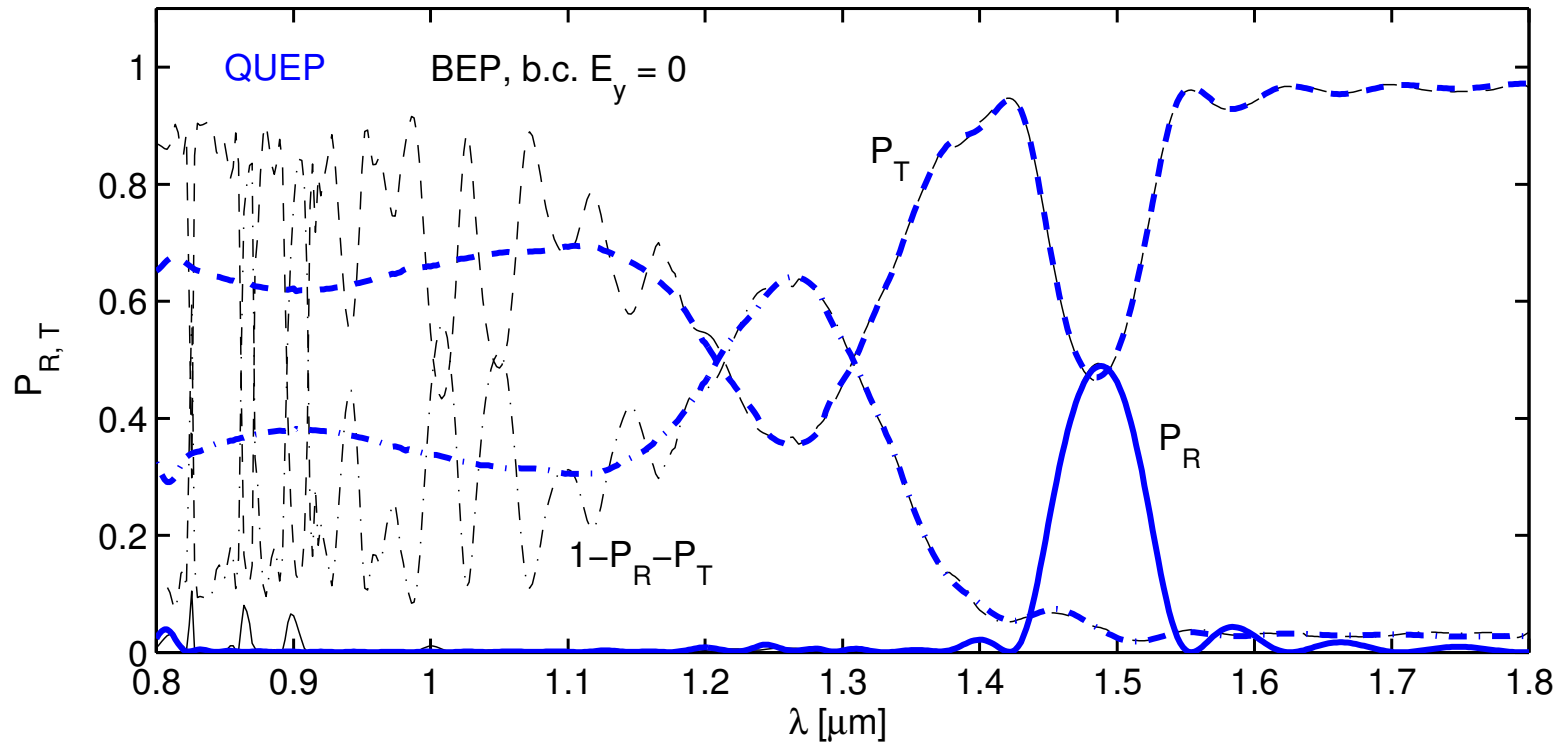
$x \in [-4, 2] \mu\text{m}$, 60 modes (QUEP, BEP $E_y = 0$ b.c.), $z \in [-1.8, 10.185] \mu\text{m}$, 120 modes (QUEP).

*J. Čtyroký et. al., Optical and Quantum Electronics **34**, 455–470, 2002; reference: BEP2 (PML b.c.).

Bragg grating: COST268 benchmark problem



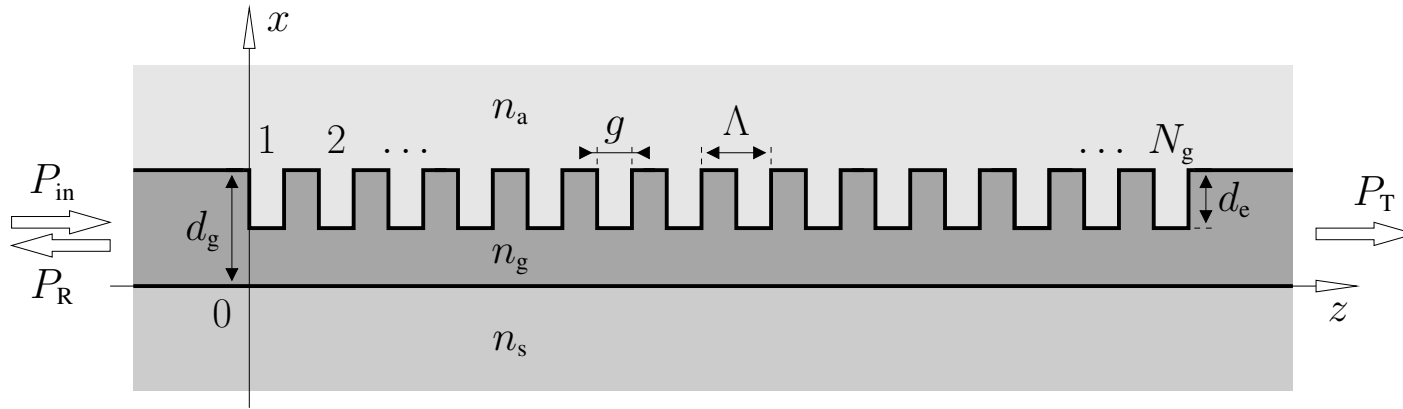
(*)
 $d_g = 0.500 \mu\text{m}$,
 $d_e = 0.125 \mu\text{m}$,
 $n_s \approx 1.45$ (SiO₂),
 $n_g \approx 1.99$ (Si₃N₄),
 $n_a = 1.0$,
 $\Lambda = 0.430 \mu\text{m}$,
 $g = \Lambda/2$, $N_g = 20$.



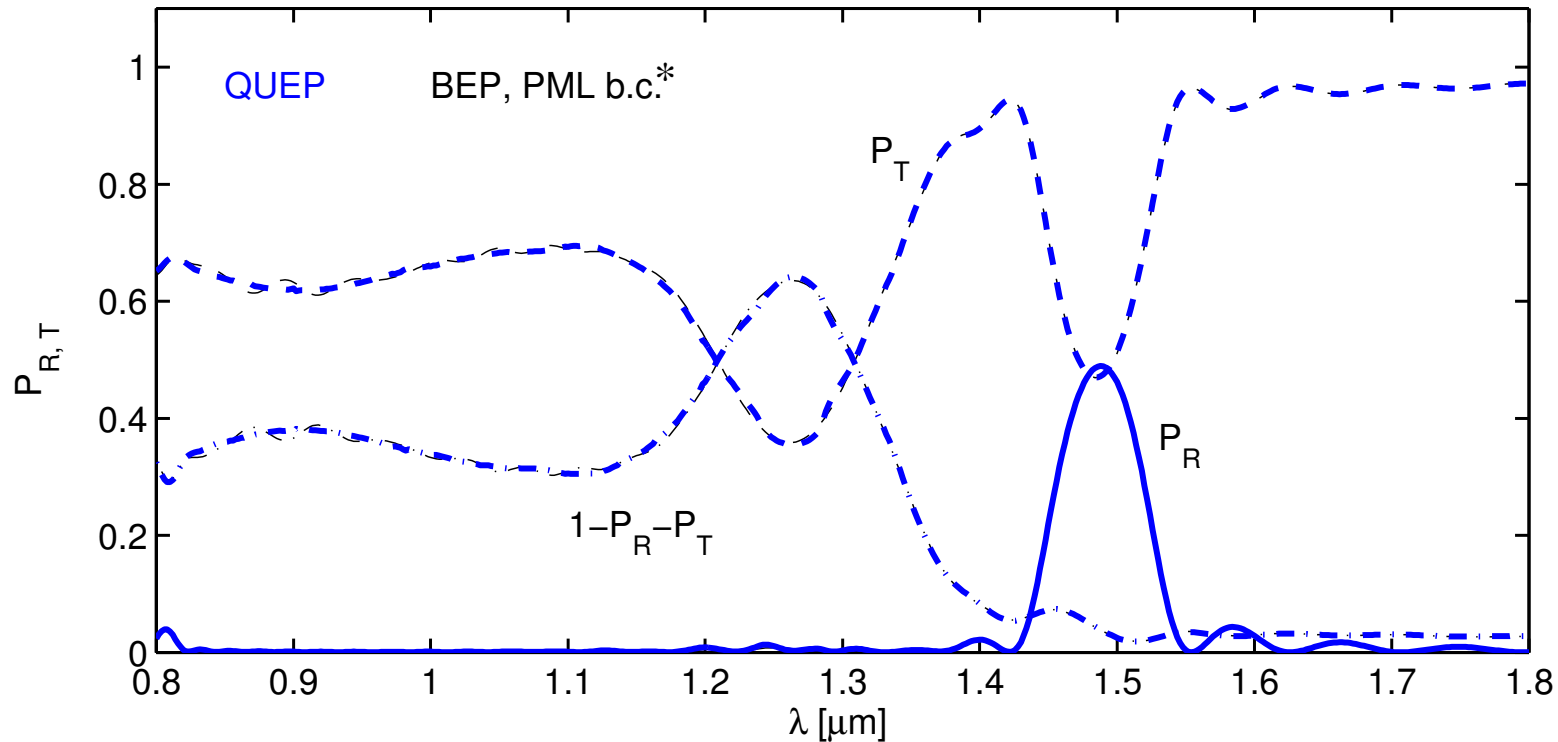
$x \in [-4, 2] \mu\text{m}$, 60 modes (QUEP, BEP $E_y = 0$ b.c.), $z \in [-1.8, 10.185] \mu\text{m}$, 120 modes (QUEP).

*J. Čtyroký et. al., Optical and Quantum Electronics **34**, 455–470, 2002; reference: BEP2 (PML b.c.).

Bragg grating: COST268 benchmark problem



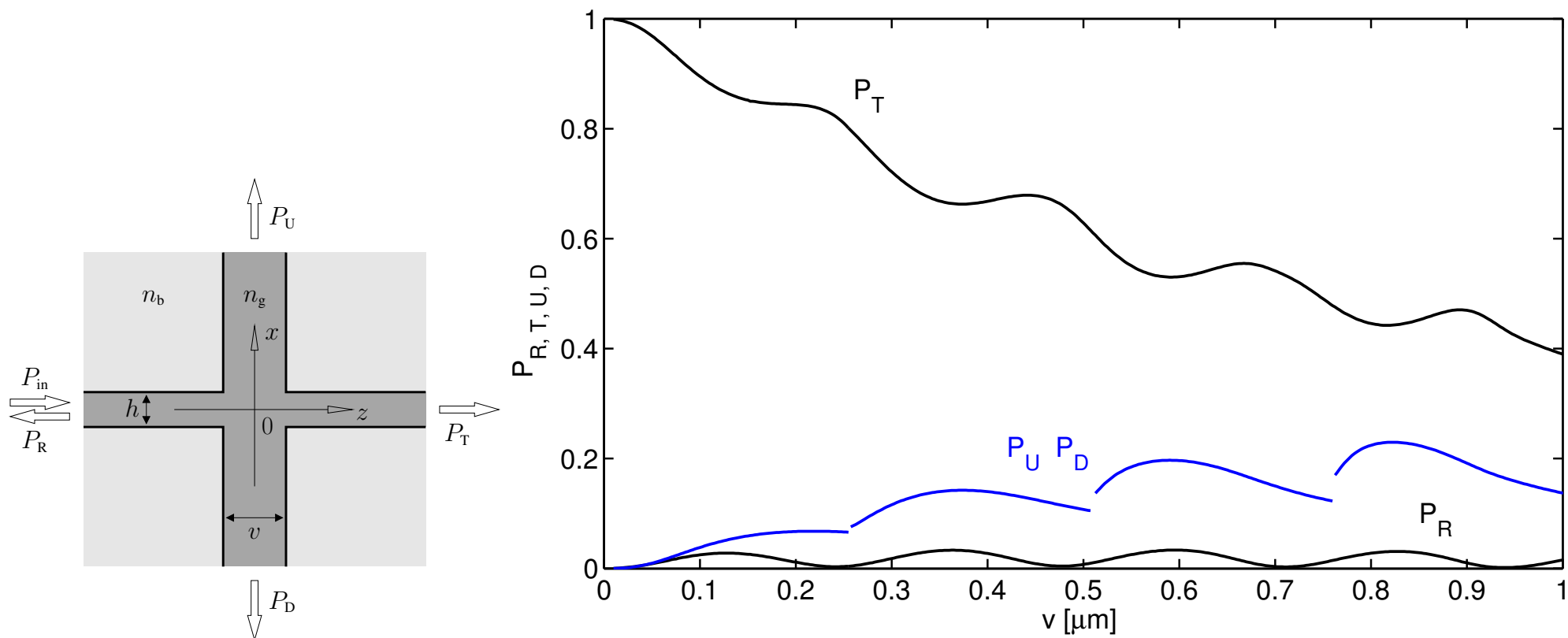
(*)
 $d_g = 0.500 \mu\text{m}$,
 $d_e = 0.125 \mu\text{m}$,
 $n_s \approx 1.45$ (SiO₂),
 $n_g \approx 1.99$ (Si₃N₄),
 $n_a = 1.0$,
 $\Lambda = 0.430 \mu\text{m}$,
 $g = \Lambda/2$, $N_g = 20$.



$x \in [-4, 2] \mu\text{m}$, 60 modes (QUEP, BEP $E_y = 0$ b.c.), $z \in [-1.8, 10.185] \mu\text{m}$, 120 modes (QUEP).

*J. Čtyroký et. al., Optical and Quantum Electronics **34**, 455–470, 2002; reference: BEP2 (PML b.c.).

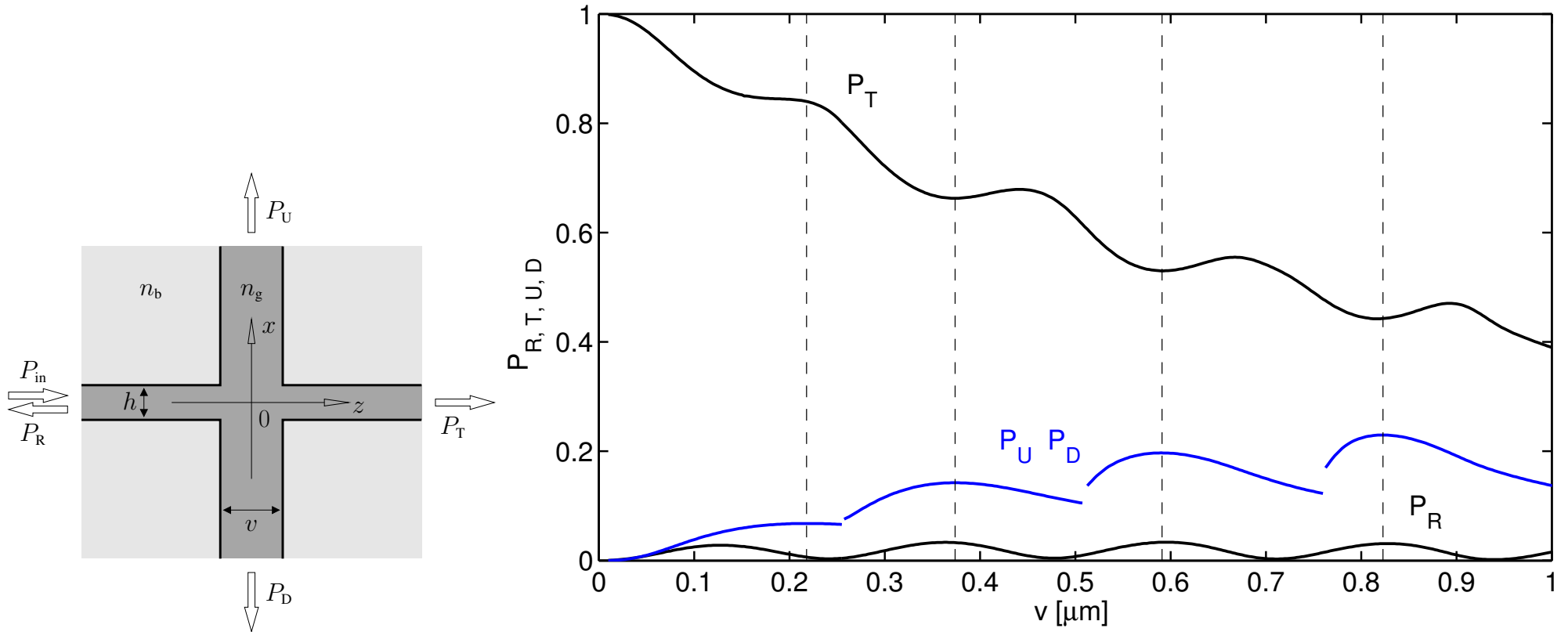
Waveguide crossings



$n_g = 3.4$, $n_b = 1.45$, $\lambda = 1.55 \mu\text{m}$, $h = 0.2 \mu\text{m}$, TE, $x, z \in [-3, 3] \mu\text{m}$, $M_x = M_z = 120$.

Power conservation: error $< 10^{-3}$.

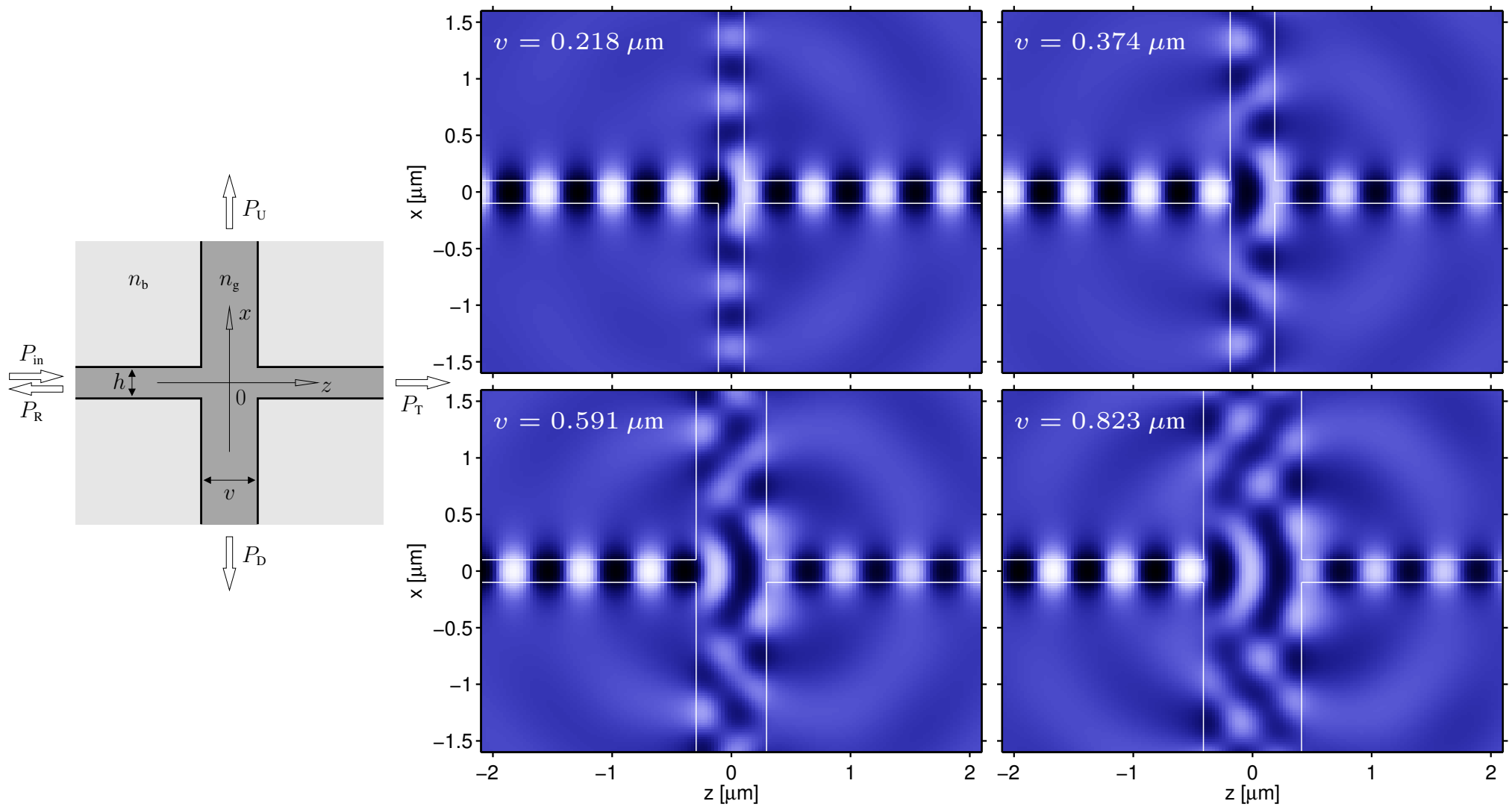
Waveguide crossings



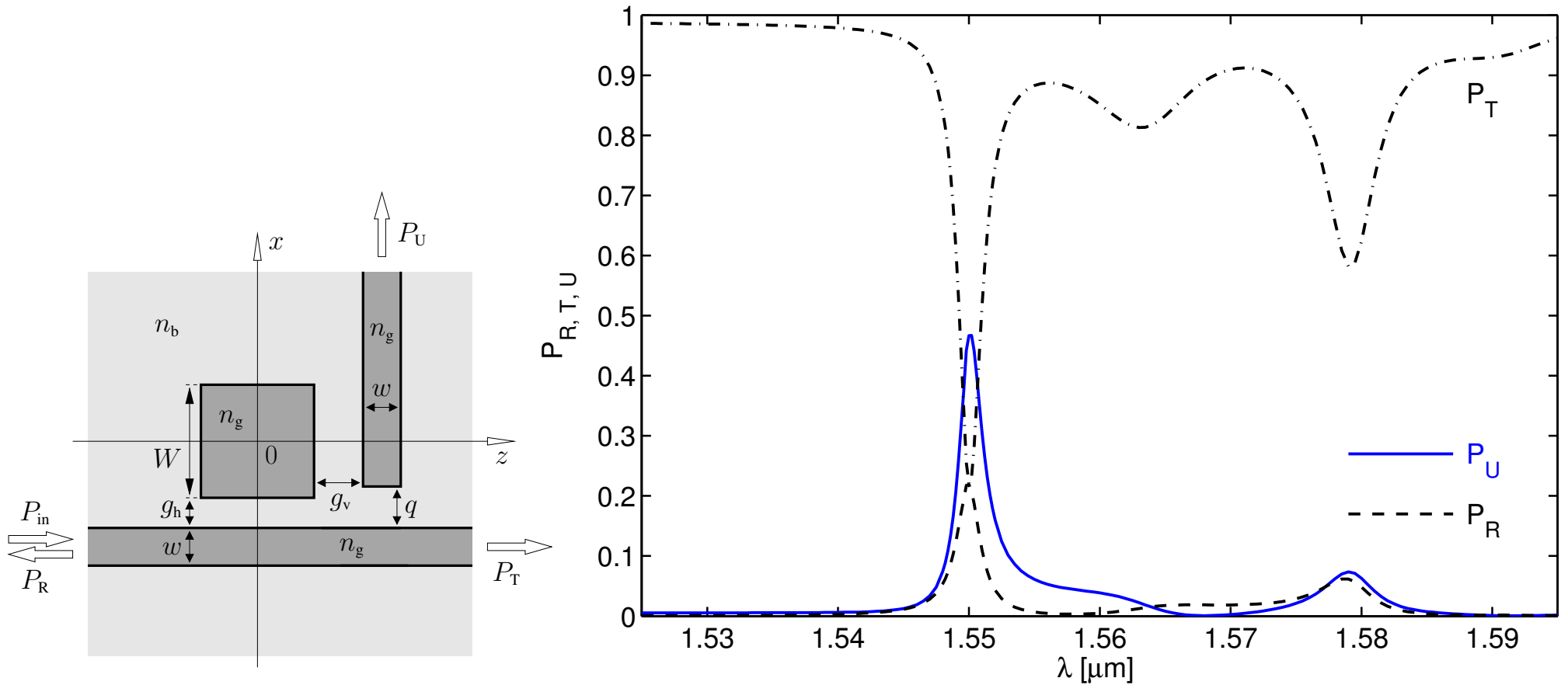
$n_g = 3.4$, $n_b = 1.45$, $\lambda = 1.55 \mu\text{m}$, $h = 0.2 \mu\text{m}$, TE, $x, z \in [-3, 3] \mu\text{m}$, $M_x = M_z = 120$.

Power conservation: error $< 10^{-3}$.

Waveguide crossings

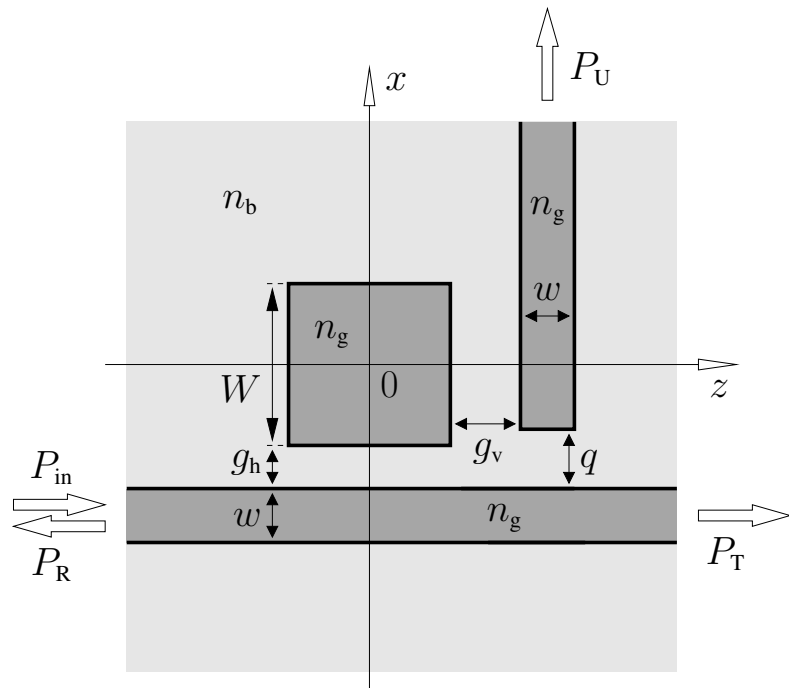


Square resonator with perpendicular ports



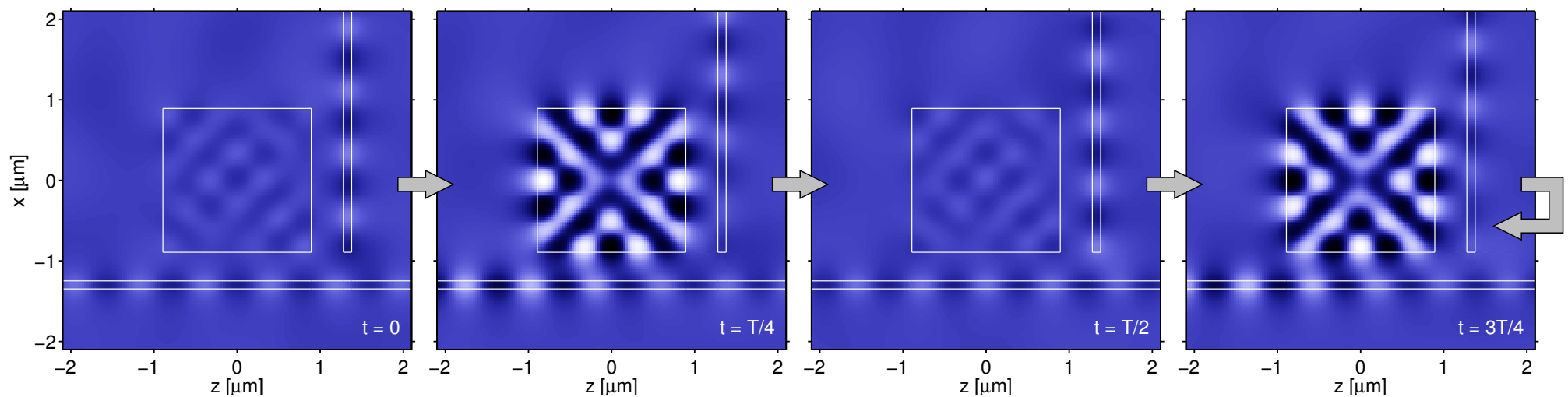
$n_g = 3.4$, $n_b = 1.0$, $W = 1.786 \mu\text{m}$, $w = 0.1 \mu\text{m}$, $g_h = 0.355 \mu\text{m}$, $g_v = 0.385 \mu\text{m}$, $q = 0.355 \mu\text{m}$,
TE, $x, z \in [-4, 4] \mu\text{m}$, $M_x = M_z = 100$.

Square resonator with perpendicular ports

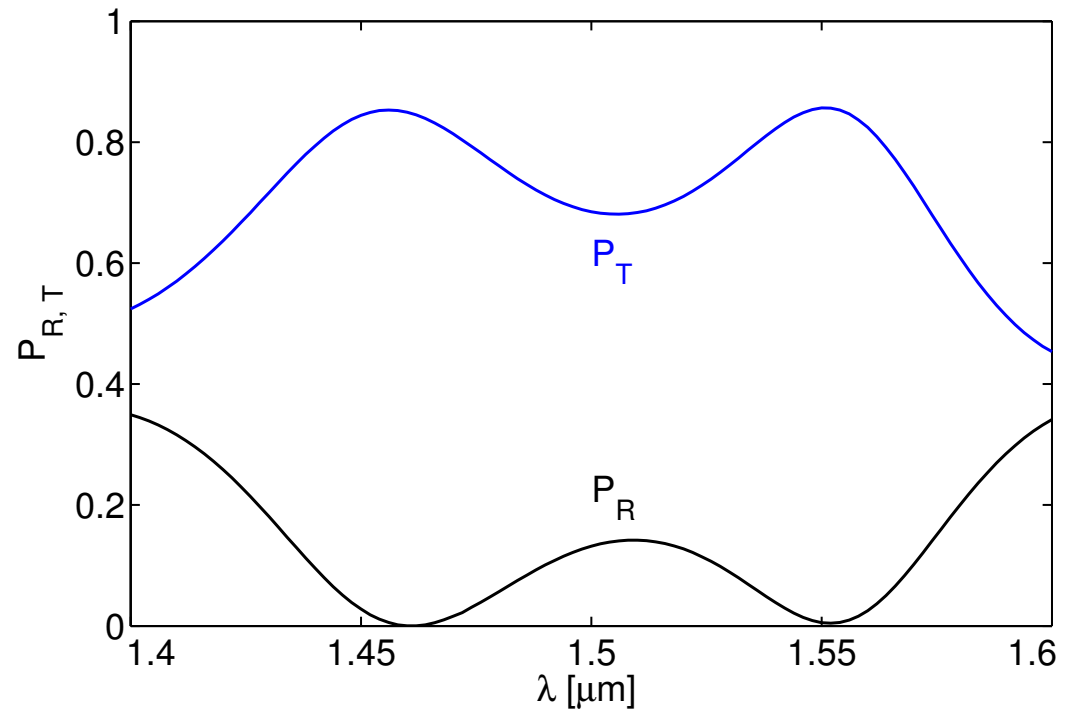
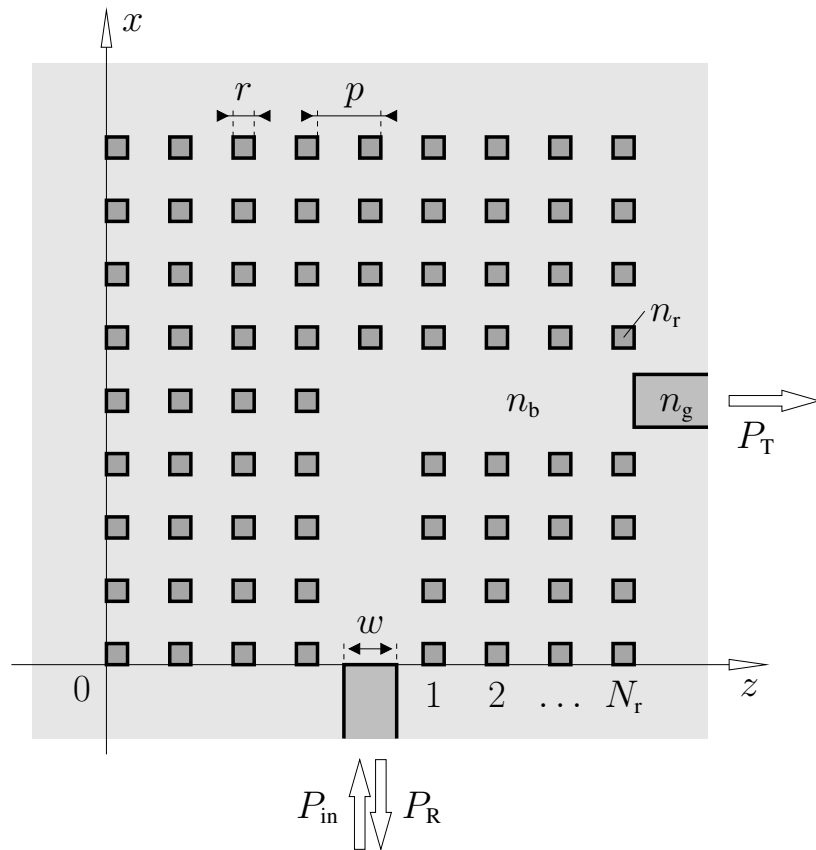


$n_g = 3.4$, $n_b = 1.0$, $W = 1.786 \mu\text{m}$, $w = 0.1 \mu\text{m}$,
 $g_h = 0.355 \mu\text{m}$, $g_v = 0.385 \mu\text{m}$, $q = 0.355 \mu\text{m}$,
 TE, $x, z \in [-4, 4] \mu\text{m}$, $M_x = M_z = 100$.

$\lambda = 1.55 \mu\text{m}$, $T = 5.17 \text{ fs}$, $E_y(x, z, t)$:



Photonic crystal bend



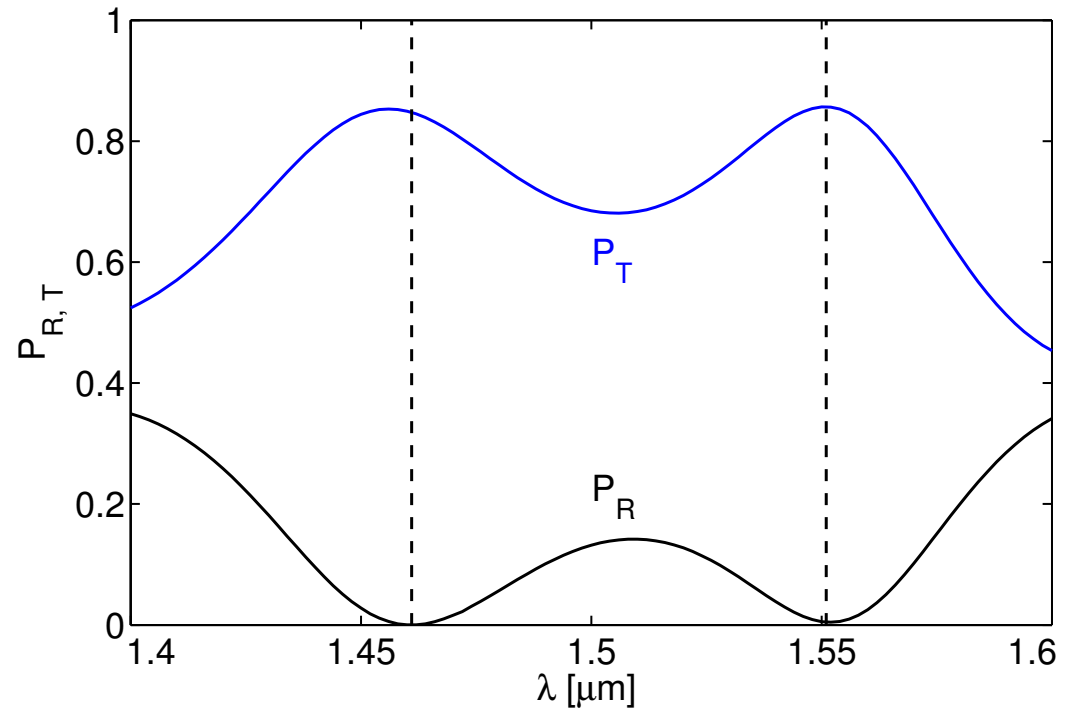
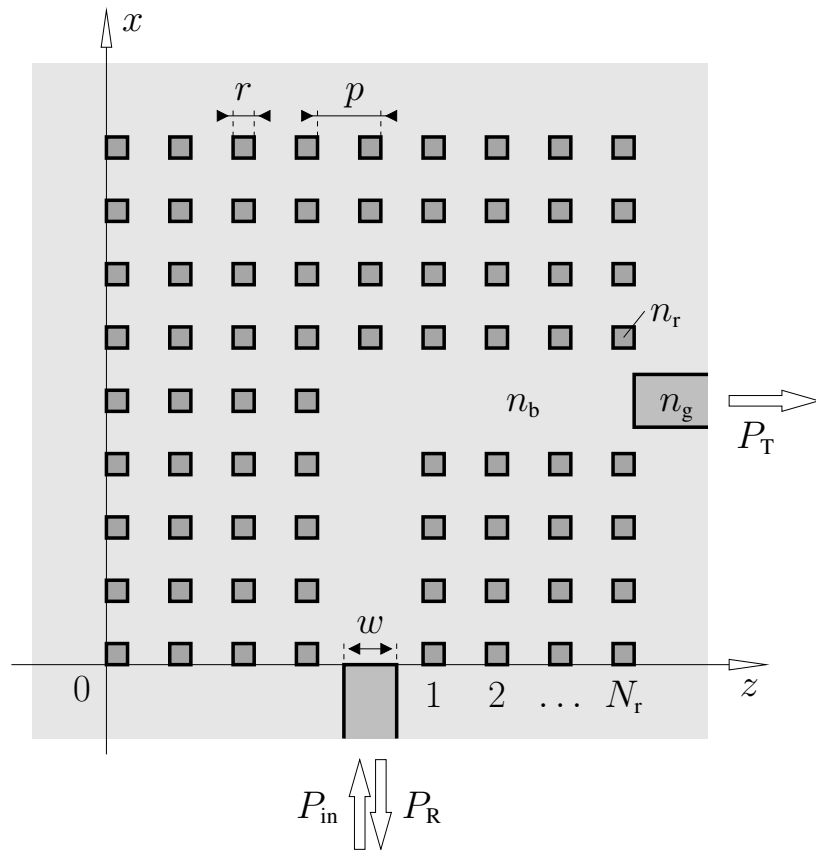
$n_r = 3.4$, $n_b = 1.0$, $r = 0.15 \mu\text{m}$, $p = 0.6 \mu\text{m}$, $n_g = 1.8$, $w = 0.5 \mu\text{m}$, $N_r = 4$,*

TE, $x, z \in [-1, 5.95] \mu\text{m}$, $M_x = M_z = 120$.

* R. Stoffer et. al., Optical and Quantum Electronics **32**, 947–961, 2000

J. D. Joannopoulos et. al., *Photonic crystals: Molding the Flow of Light*, Princeton UP, New Jersey, 1995.

Photonic crystal bend



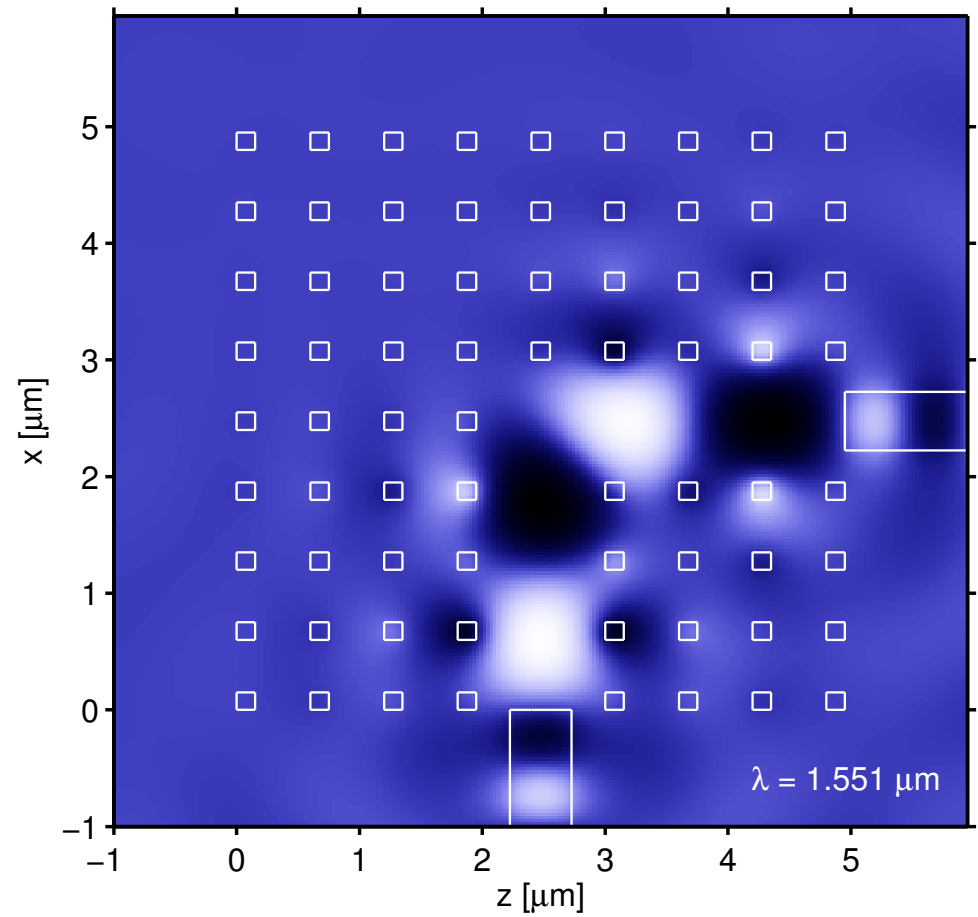
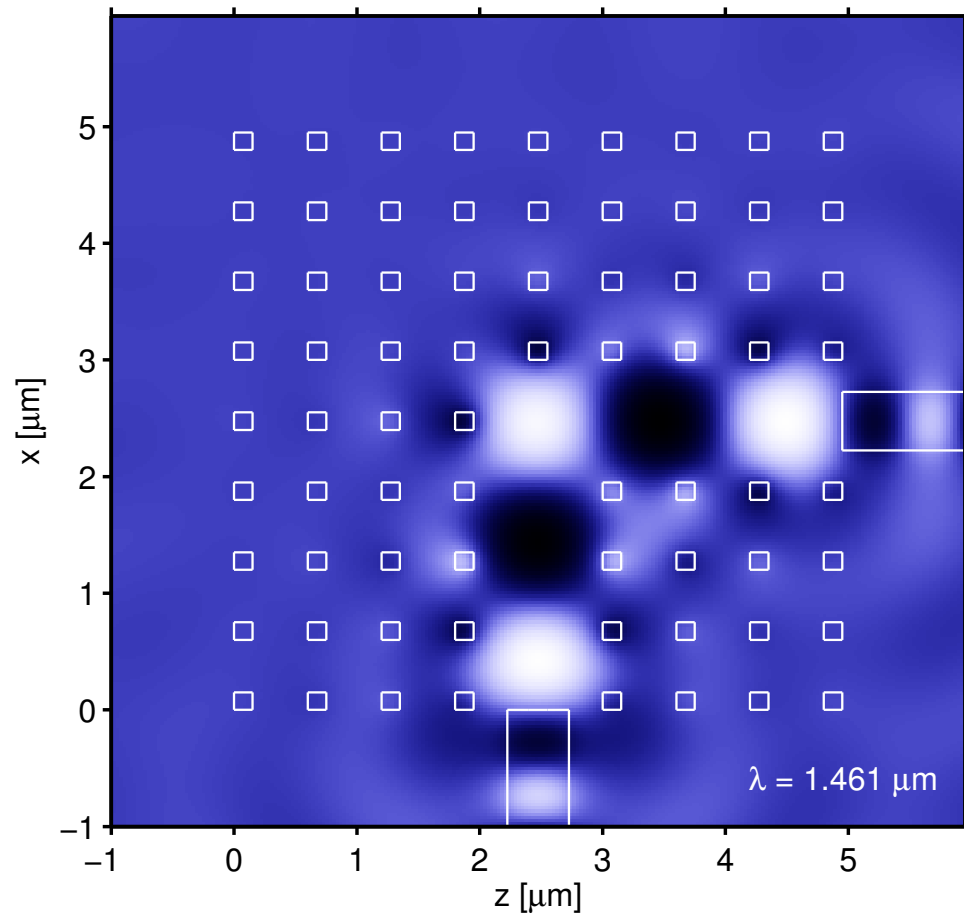
$n_r = 3.4$, $n_b = 1.0$, $r = 0.15 \mu\text{m}$, $p = 0.6 \mu\text{m}$, $n_g = 1.8$, $w = 0.5 \mu\text{m}$, $N_r = 4$,*

TE, $x, z \in [-1, 5.95] \mu\text{m}$, $M_x = M_z = 120$.

* R. Stoffer et. al., Optical and Quantum Electronics **32**, 947–961, 2000

J. D. Joannopoulos et. al., *Photonic crystals: Molding the Flow of Light*, Princeton UP, New Jersey, 1995.

Photonic crystal bend



Quadridirectional mode expansion

QUEP scheme:

- Eigenmode expansion technique, 2D Helmholtz problems with piecewise constant, rectangular permittivity.
- Equivalent treatment of the propagation along the two relevant axes.
- Way to realize transparent boundaries for the interior region on a cross-shaped computational domain.
- Basis modes can be restricted to simple Dirichlet boundary conditions.
- Examples, C++-sources: <http://www.math.utwente.nl/~hammerm/Metric/>

