

ADA 023475

CHANNEL WAVEGUIDE STUDY

J. M. Hammer, W. Phillips, and C. C. Neil
RCA LABORATORIES
Princeton, New Jersey 08540

3 SEPTEMBER 1975

QUARTERLY TECHNICAL REPORT NO. 3

Sponsored by
Advanced Research Projects Agency
ARPA Order No. 2327

DISTRIBUTION STATEMENT A

Approved for public release;
Distribution Unlimited

The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the Advanced Research Projects Agency or the U.S. Government.

Prepared under Contract No. N00014-75-C-0078

for

DEPARTMENT OF THE NAVY
OFFICE OF NAVAL RESEARCH
ARLINGTON, VA 22217



UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle)		5. TYPE OF REPORT & PERIOD COVERED
CHANNEL WAVEGUIDE STUDY.		Quarterly Technical Report 3 Sept. no. 3 (5-4-75 to 8-3-75) 4 Mar - 3 Aug 75
6. PERFORMING ORG. REPORT NUMBER		7. AUTHOR(S)
PRRL-75-CR-47		J. M. Hammer [Principal Investigator, W. Phillips tel.: (609)-452-2700, C. C. Neil ext. 3210]
8. CONTRACT OR GRANT NUMBER(s)		9. PERFORMING ORGANIZATION NAME AND ADDRESS
N00014-75-C-0078 ARPA Order - 2327		RCA Laboratories Princeton, NJ 08540
10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS		11. CONTROLLING OFFICE NAME AND ADDRESS
Program Code No. 3D10 ARPA Order No. 2327		Department of the Navy Office of Naval Research Arlington, VA 22217
12. REPORT DATE		13. NUMBER OF PAGES
3 September 1975		16
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office)		15. SECURITY CLASS. (of this report)
(12) 16p.		Unclassified
16. DISTRIBUTION STATEMENT (for this Report)		15a. DECLASSIFICATION/DOWNGRADING SCHEDULE N/A
Reproduction in whole or in part is permitted for any purpose of the U. S. Government.		
17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)		
ONR Scientific Officer: T. G. Giallorenzi, Code 5500, tel.: (202)- Effective date of Contract: 4 November 1974 767-2499 Contract expiration date: 3 November 1975 Amount of Contract: \$49,998		
18. SUPPLEMENTARY NOTES		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number)		
LiNb _x Ta _{1-x} O ₃ Stripe waveguides LiNb _x Ta _{1-x} O ₃ stripe guide LiNb _x Ta _{1-x} O ₃ directional coupler Waveguides		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number)		
In this report we discuss some of the experimental measurements made on passive directional couplers. These measurements are designed to help check the accuracy of the processing used in formation of these devices and indicate a large degree of uncertainty in dimensions caused by both the process used in forming the Nb patterns, and in subsequent diffusion of these patterns.		

DD FORM 1 JAN 73 1473

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

299000-18

PREFACE

This Quarterly Technical Report, prepared by RCA Laboratories, Princeton, NJ 08540, describes work performed in the Physical Electronics Research Laboratory, G. D. Cody, Director. The Project Supervisor is B. F. Williams and the Project Scientist is J. M. Hammer. Other members of the Technical Staff who participated in the research and the writing of this report are W. Phillips and C. C. Neil.

The Navy Project Monitor is T. G. Giallorenzi, Code 5500. This research was supported by the Advanced Research Projects Agency of the Department of Defense and was monitored by ONR under Contract No. N00014-75-C-0078.



TABLE OF CONTENTS

Section	Page
I. INTRODUCTION.	7
II. EXPERIMENTAL STUDIES.	8
III. EXPERIMENTAL MEASUREMENTS ON TWO SAMPLES.	11
IV. MODULATOR STRUCTURES.	15
REFERENCES.	16

LIST OF ILLUSTRATIONS

Figure	Page
1. Schematic of stripe guide directional coupler showing stripe width and gap; on photomask a_0, g_0 ; on Nb pattern before diffusion a_1, g_1 ; and on coupler after diffusion a, g	9
2. Experimental arrangement used in measuring some directional coupler properties. When output prism is in position 2, the diffraction spread is that associated with a mode in the stripe guide. In position 1 the transmission properties of the planar guide ($I_{02} \rightarrow I_2$) can be compared with those of the stripe coupler ($I_{01} \rightarrow I_1$).	10
3. Photographs of output for (a) operation as planar guide, (b) operation as a coupler (horn output), and (c) direct prism coupling from stripe.	12

I. INTRODUCTION

In this report we discuss some of the experimental measurements made on passive directional couplers. These measurements are designed to help check the accuracy of the processing used in formation of these devices and indicate a large degree of uncertainty in dimensions caused by both the process used in forming the Nb patterns, and in subsequent diffusion of these patterns.

By using the measurements in conjunction with the theory of the preceding reports [1,2], reasonable agreement is obtained between predicted and measured behavior. The high degree of control required to obtain optimized performance is clearly shown by these results.

-
1. J. M. Hammer, W. Phillips, and C. C. Neil, *Channel Waveguide Study*, Quarterly Report No. 1, Contract No. N00014-75-C-0078.
 2. J. M. Hammer, W. Phillips, and C. C. Neil, *Channel Waveguide Study*, Quarterly Report No. 2, Contract No. N00014-75-C-0078.

II. EXPERIMENTAL STUDIES

As is quite clear from the theory of operation presented in the first and second quarterly reports, the operation of the "directional coupler" is very sensitive to both the gap "g" and stripe width "a". These dimensions, in addition, are experimentally interrelated because of the fabrication technique which we will briefly describe.

We start with an original photomask which has dimensions labeled with subscript 0 in Fig. 1. Thus, g_0 is the nominal gap width in the photomask. The LiTaO_3 substrate is coated, using e-beam evaporation, with a layer of niobium of thickness τ (usually 0.06 to 0.08 μm). Photoresist is spun over the Nb, exposed through the photomask and the pattern developed. Subsequently, the pattern is transferred to the niobium by etching. The dimensions of the metal pattern after etching vary from those of the original photomask for two reasons. First, there is a degree of shrinkage in the photoresist which occurs during exposure and development. Second, and more important, a certain amount of undercutting occurs during the etching process. Thus, the metal pattern after formation will have dimensions g_1 and a_1 which differ from g_0 and a_0 . In general, $g_1 > g_0$ and $a_1 < a_0$.

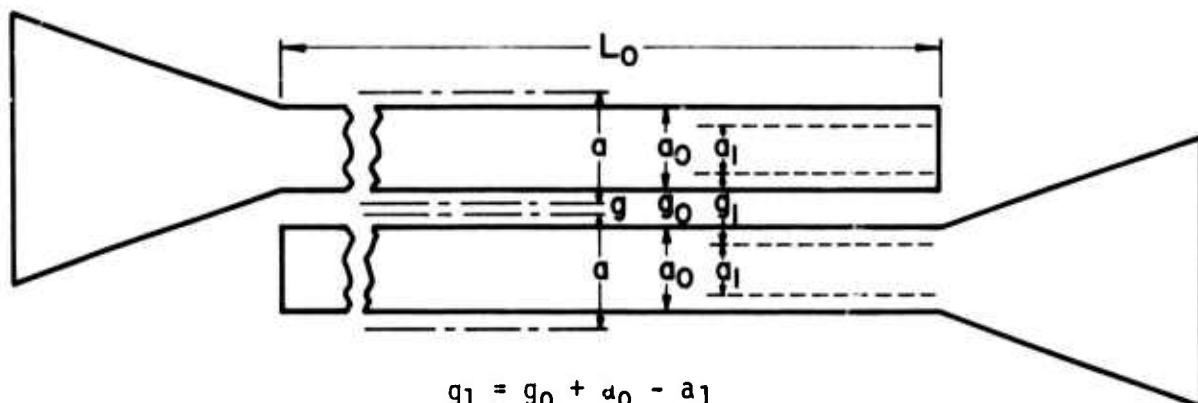
The final step in the formation of the coupler is the diffusion. Based on our work under earlier contracts, very good identification and control of the depth of diffusion, b , are available. The amount of diffusion parallel to the plane of the substrate, however, has not yet been fully determined. Nonetheless, after diffusion it is clear (see Fig. 1) that the final dimensions "g", "a" will be limited and that

$$\begin{aligned} g &< g_1, & a &> a_1 \\ g &= g_0 + a_0 - a. \end{aligned} \tag{1}$$

The amount of sideways diffusion (from one edge) will be

$$\frac{a - a_1}{2} \tag{2}$$

By measuring the percentage of light coupled between the stripes, an estimate of both "a" and "g" can be obtained using the closed form theory given in the first and second quarterly reports in conjunction with Eq. (1).



$$\begin{aligned}
 g_1 &= g_0 + a_0 - a_1 \\
 g &= g_1 - (a - a_1) \\
 &= g_0 + a_0 - a_1 \\
 &\quad - a + a_1 \\
 g &= g_0 + a_0 - a
 \end{aligned}$$

Figure 1. Schematic of stripe guide directional coupler showing stripe width and gap; on photomask a_0 , g_0 ; on Nb pattern before diffusion a_1 , g_1 ; and on coupler after diffusion a , g .

The dimension "a" can be estimated independently of g by using a prism to couple light out directly from the stripe and observing the diffraction angle (in space) which for lowest order mode operation will be given by

$$\sin\theta = a/\lambda_0 \quad (3)$$

Upon referring to Fig. 2 we see that the stripe guides are formed so that only the region, which bounds the stripes and horns, is free of waveguide film. This is indicated by the shaded area of Fig. 2. Thus, at the ends of the directional coupler, a planar LNT guide exists. The coupling prisms are arranged so that with the output prism at position 1, the output from the directional coupler can be measured by placing the input at I_{01} while the transmission through the planar guide can be measured if the input is placed at I_{02} .

Assuming the prism coupling does not vary when the input light is moved between the two positions and neglecting waveguide losses, the fractional

coupling will be given by the ratio of the output coupled from the upper horn (I_1) when the input is coupled into the lower horn (as at I_{01}) to the output coupled from the planar guide (I_2) when the input is coupled into the planar guide (as at I_{02}).

We will discuss the validity of these assumptions in connection with the actual measurements given below.

Finally, if the output prism is moved to position 2 near the input horn, and if light is coupled at I_{01} , then a diffraction spread (θ) indicating the magnitude of "a" will be observed in the light coupled out.

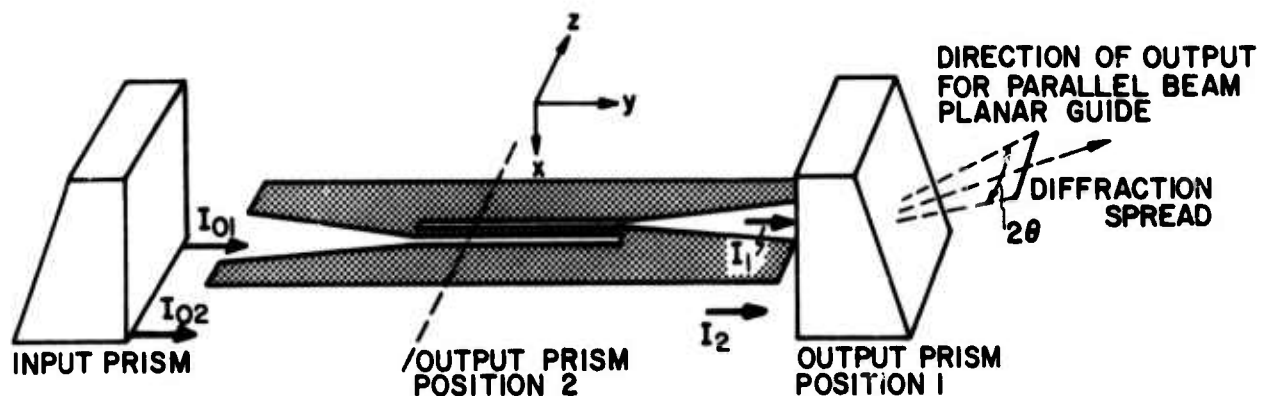


Figure 2. Experimental arrangement used in measuring some directional coupler properties. When output prism is in position 2, the diffraction spread is that associated with a mode in the stripe guide. In position 1 the transmission properties of the planar guide ($I_{02} \rightarrow I_2$) can be compared with those of the stripe coupler ($I_{01} \rightarrow I_1$).

III. EXPERIMENTAL MEASUREMENTS ON TWO SAMPLES

On Sample 35175S (Y plate) the patterns are formed with propagation direction perpendicular to the "c"-axis. The original mask has dimensions of $a_0 = 5 \mu\text{m}$, $g_0 = 3 \mu\text{m}$, and $L_0 = 0.3 \text{ cm}$. After pattern development the dimensions were found to be $a_1 = 4 \mu\text{m}$ and $g_1 = 4 \mu\text{m}$. From Eq. (1) the final gap must be $g = 8 - a$ (μm).

The initial Nb thickness is $\tau = 0.08 \mu\text{m}$, the diffusion time (t) is 3 hr, and the diffusion temperature (T) is 1180°C . These values give a guide thickness b of $1.3 \mu\text{m}$. With these dimensions we would expect the stripe to be cut off for TE modes at 6328 \AA but to propagate TM modes.

Photographs of the output (6328 \AA) from this sample under various conditions taken from a screen placed an optical distance 26 cm from the output prism edge are shown in Fig. 3. The two upper photographs show the outputs with the output prism at position 1 (see Fig. 2). The top photograph [Fig. 3(a)] shows the output through the planar guide (input at I_{02} output I_2). The middle photograph [Fig. 3(b)] shows the output from the upper horn (I_1) when the input is to the lower horn (I_{01}). The bottom photograph [Fig. 3(c)] shows the output directly from the (lower) stripe when the input is at I_{01} and the prism is in position 2 (see Fig. 2). Figure 3(a) shows the usual teardrop output and M-line structure of a planar guide [3]. Figure 3(b) is similar, showing, however, some structures which may be an artifact due to the coupling prism. It would be expected that the output through the horn would show a diffractive spread limited by the effective horn aperture. We will not discuss the horn behavior further in this report but will treat it in the final contract report. Finally, the relatively large diffraction from the stripe is apparent in Fig. 3(c).

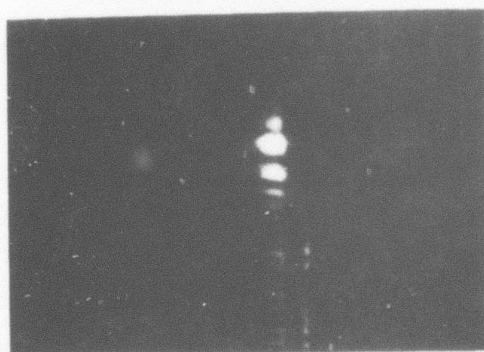
Using the scale included in the photograph the height (H) of the diffraction pattern is estimated as being $4.3 \pm 0.1 \text{ cm}$. We will tabulate predicted values of θ , a , and g below.

With the prism returned to position 1, the light intensity I_1 is measured to be 0.258 mW and I_2 measured to be 0.645 mW . Since the distance from the input prism is the same for both measurements, and because, to first order,

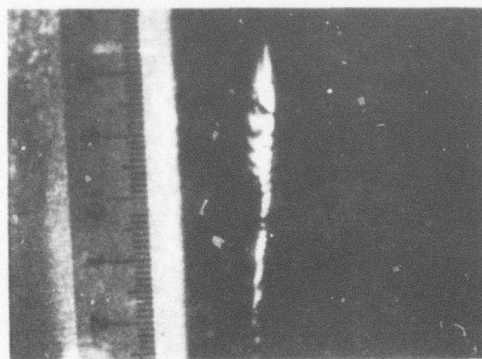
3. P. K. Tien, Appl. Optics 10, 2395 (1971).



(a)



(b)



(c)

Figure 3. Photographs of output for (a) operation as planar guide, (b) operation as a coupler (horn output), and (c) direct prism coupling from stripe.

we would expect the waveguide loss of the stripe guide not to vary widely from that of the planar guide. We estimate that the coupling between the two stripe guides is $I_1/I_2 \approx 0.4$ or 40%.

The effect of possible input coupling change is uncertain. Great care, however, was taken in selecting the input prism and clamping it in place. Based on our experience in looking at the output when the input is placed at various points of an input prism on a planar guide, variation on the order of 25% or less might be expected. The output prism couples out all the guided light so output coupling differences between the I_1 and I_2 positions can be neglected.

It is instructive to calculate the values expected if the height of the diffraction spot is varied over its range of uncertainty. Thus, values of critical coupling length calculated using the closed-form theory for TM modes, in conjunction with Eqs. (1) and (3) of this report and the resulting expected percentage coupling, are tabulated in Table 1.

Table 1. Calculated Expected Values

H/cm	Tan θ ($\frac{H}{26}$)	θ	$a=\lambda_0/\sin\theta$ (μm)	$g=8-a$ (μm)	Predicted Critical Coupling Length L(cm)	Predicted % Coupling $\sin^2\left(\frac{\pi}{2}\frac{L_0}{L}\right)$ ($L_0=0.3\text{ cm}$)
4.4	0.0846	4.84°	7.49	0.51	1.35	11.7%
4.3	0.0827	4.73°	7.65	0.35	0.87	26.5%
(4.25)	0.0817	4.67°	7.74	0.26	0.67	40.2%
4.1	0.0788	4.51°	7.83	0.165	0.41	83%
						Measured % (I_1/I_2)~40%

It is clear from Table 1 that very small errors in finding the width of "a" result in large changes in L, g, and in the percentage coupled. Nonetheless, it is also clear that the final value of a, after diffusion, is close to 7.7 μm .

We thus find, using Eq. (2), that the side diffusion is on the order of 1.9 μm in this sample. This is a larger diffusion distance than we had originally expected and must obviously be carefully taken into account in optimizing coupler and modulator design.

To further check the side diffusion we examined a second sample (sample 35196S). In this sample, which is formed in an X-plate, propagation is at an angle of $\sim 45^\circ$ to the "c"-axis, $\tau = 4$ hr, and $T = 1185^\circ\text{C}$, giving $b = 1.5 \mu\text{m}$. The same mask dimensions as used to make the previous sample were used but the niobium pattern was more heavily undercut.

The niobium pattern dimensions, before diffusion, were estimated to be $a_1 = 3.5 \mu\text{m}$ and $g_1 = 4.5 \mu\text{m}$. These stripe guides will not be cut off for the TE_{11} mode, and for this mode at 6328 \AA we measured $I_1/I_2 = 21.3\%$. If we assume that $a = 7.2 \mu\text{m}$, then $g = 0.8 \mu\text{m}$, and we calculate $L = 0.88 \text{ cm}$. This gives a calculated percentage coupling of 26% which is close to the measured value. Thus, here the sideways spreading is $1.85 \mu\text{m}$, which is very close to that estimated in the previous sample despite the somewhat longer processing time of the second sample. The values, however, do fall within the rather large error expected for this type of measurement. We thus infer that sideways diffusion is one to one-and-one-half times the diffusion depth b .

IV. MODULATOR STRUCTURES

Our attempts to position electrodes on the passive directional couplers have been based on a lift-off technique and have been unsuccessful. The problem has been that the contrast of the directional coupler in the mask-positioning microscope is too low to allow good alignment.

We are now attempting to apply electrodes using an etching technique. Here, the sample (passive directional coupler) is coated with chrome gold before photoresist is applied. The contrast is better in this approach. We have made well-centered electrodes on one sample, but, unfortunately, because of an error during the removal of the chromium many opens appeared in the 2- μ m center electrode. We are, however, optimistic that this approach will work.

Two other approaches are being considered. First, platinum electrodes applied before diffusion may survive the diffusion step. These electrodes can be applied after the Nb stripes so that there will be no contrast problem.

Finally, we are considering using a series of indexing marks which can be colored into the substrate by such metals as chromium. This approach is complicated and requires extremely accurate mask indexing so that it will be considered as a last resort.

REFERENCES

1. J. M. Hammer, W. Phillips, and C. C. Neil, *Channel Waveguide Study*, Quarterly Report No. 1, Contract No. N00014-75-C-0078.
2. J. M. Hammer, W. Phillips, and C. C. Neil, *Channel Waveguide Study*, Quarterly Report No. 2, Contract No. N00014-75-C-0078.
3. P. K. Tien, *Appl. Optics* 10, 2395 (1971).