Compact Low Loss Mid-Infrared Wavelength-Flattened Directional Coupler (WFDC) for Arbitrary Power Splitting Ratio Enabled by Rib Waveguide Dispersion Engineering

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Abstract—We design, fabricate, and characterize a novel type of wavelength-flattened directional coupler (WFDC) working in the mid-infrared (MIR) based on the physics of rib waveguide dispersion. In the silicon-on-insulator rib waveguide WFDC devices with length $<20 \ \mu$ m, a 6-fold enhancement and a 4-fold enhancement in the operation bandwidth compared with the conventional directional coupler are achieved for 50:50 (± 5) and 100:0 (-2)power splitting ratio, respectively, with an average low excess loss of -0.52 ± 0.18 dB/device. To the best of our knowledge, our device is the first WFDC working in the MIR and the first WFDC that possesses low excess loss, CMOS compatibility and compactness simultaneously, while the novel mechanism could be adopted easily to realize arbitrary power splitting ratio. Our work could serve as a promising component for light routing and power splitting in broadband MIR applications, such as MIR spectrometer sensing systems. In addition, the proposed novel mechanism could be adopted for near-infrared as well to achieve better WFDC performance.

Index Terms—Dispersion, optical coupling, optical losses, optical waveguides, photonic integrated circuits, silicon photonics.

I. INTRODUCTION

S ENSORS are essential in the modern society for providing functionalities including environmental monitoring, industrial control, homeland security inspection, and

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pharmaceutical diagnostics. To thoroughly monitor surroundings or specific subjects, billions of sensors are demanded. Thus, integrated sensors with small footprints, low power consumption, and low cost are desired.

Mid-infrared (MIR) nanophotonics sensors are promising in fulfilling this goal [1]–[5]. MIR, which is part of the electromagnetic spectrum with wavelength ranging from 2 μ m to 20 μ m [6], contains the fingerprints of many common environmental gases and biological molecules such as C-H, C = C, O-H, glucose, and DNA [7]. This would enable label free and damage free sensors [8]. Moreover, the mature complementary metal-oxidesemiconductor (CMOS) fabrication techniques can be leveraged to achieve economical millimeter-scale integrated sensors. The successful utilization of CMOS fabrication techniques for nearinfrared (NIR) nanophotonics in tele-communication bands has demonstrated the feasibility [9]–[12].

In MIR nanophotonics sensing systems, a broadband light source is required for the spectrum analysis which identifies the fingerprints of different species. Consequently, wavelengthflattened (WF) devices are necessary to function in accordance with the broadband light source. However, to the best of our knowledge, there is no report on MIR WF directional coupler (DC) which is a key component for light routing and power splitting [13].

Conventional DC consists of two slightly spaced fully etched waveguides. Owing to the evanescent wave coupling, light transfers between the two waveguides. Nonetheless, the power transfer is sensitive to wavelength. There are several attempts based on different physics to achieve WFDC for NIR. These might stimulate inspirations for the design of WFDC for MIR. In 1989, an early theoretical work tried to alleviate the wavelength dependence of the DC coupling coefficient by determining the optimal coupling gap [14]. This method is only effective for the highest power splitting ratio, i.e., 100:0. Following this idea, there were several demonstrations working for other power splitting ratio by breaking the symmetry of the DC so that the highest power splitting ratio shifted away from 100:0 [15]-[18]. A 7-fold enhancement in the operation bandwidth compared to the conventional DC is achieved in 2014 [19]. However, it is difficult to achieve arbitrary power splitting ratio based on this mechanism due to the tedious design process and the low

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fabrication tolerance. Mach-Zehnder Interferometer (MZI) structure, which occupies large footprint, is also adopted to introduce an additional phase to compensate for the phase difference caused by dispersion in the DC [20]–[22]. In addition, adiabatically tapered structure is used for 50:50 power splitting ratio in particular due to its ability of avoiding the coupling between the symmetric and asymmetric mode [23]–[26]. Recently, hybrid plasmonic based WFDC [27], [28] and subwavelength grating (SWG) based WFDC are demonstrated [29], leveraging phase control and effective refractive index (ERI) control respectively. A 5-fold enhancement is achieved in the SWG based WFDC [29]. Nonetheless, the fabrication process is stringent and tedious.

In this paper, we propose and verify a novel mechanism for MIR WFDC based on the physics of rib waveguide dispersion. According to our theoretical analysis, and later verified by the experimental results, such WF mechanism is effective for arbitrary power splitting ratio. Similar to the conventional DC, arbitrary power splitting ratio could be achieved in the rib waveguide MIR WFDC simply by varying the length of the devices, but with significant enhancement in the operation bandwidth. While the devices maintain an average low excess loss of 0.52 \pm 0.18 dB/device, the experimental results show that a 4-fold and a 6-fold enhancement in the operation bandwidth compared to the conventional DC have been achieved in a 6 μ m silicon-oninsulator (SOI) WFDC aiming for 100:0 power splitting ratio and in an 18 μ m SOI WFDC aiming for 50:50 power splitting ratio respectively in the MIR range of 3.67–3.89 μ m. This wavelength range is of particular interests since it covers the fingerprints of carcinogenic gas Formaldehyde (CH₂O), toxic Hydrobromic acid (HBr), corrosive Hydrochloric acid (HCl), and biologically crucial glucose ($C_6H_{12}O_6$), providing an ideal sensing window for these chemicals as it avoids the strong water absorption in 2.7–3.5 μ m [30]. The devices are compact with low excess loss and high enhancement in the operation bandwidth compared to the conventional DC. Furthermore, the fabrication process of the devices is CMOS-compatible and extremely simple which utilizes only two etching steps.

II. CONCEPT

A. Theoretical Analysis

In DC, it is the coupling coefficient $C(\lambda)$ that determines the device's performance [2]. Ideally, $C(\lambda)$ can be expressed as:

$$C(\lambda) = \frac{\pi}{2L_{\pi}(\lambda)}\dots,$$
 (1)

where λ is the wavelength and $L_{\pi}(\lambda)$ is the coupling length that permits 100% power transfer from one waveguide to another, i.e., 100:0 power splitting ratio. Thus, $L_{\pi}(\lambda)$ dominates the performance of the DC. From literature,

$$L_{\pi}(\lambda) = \frac{1}{2} \frac{\lambda}{n_1(\lambda) - n_2(\lambda)} \dots, \qquad (2)$$

where $n_1(\lambda)$ and $n_2(\lambda)$ are the dispersive ERI of the symmetric mode and the asymmetric mode in the DC respectively [31]. The percentage change of $L_{\pi}(\lambda)$ caused by the change of λ can be derived as:

$$\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)} = \frac{\Delta \lambda}{\lambda} - \frac{\Delta \left(n_{1}(\lambda) - n_{2}(\lambda)\right)}{n_{1}(\lambda) - n_{2}(\lambda)} \cdots, \qquad (3)$$

Over a localized wavelength region, the first term is usually negligible. Thus we have the approximation:

$$\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)} \approx -\frac{\Delta \left(n_{1}(\lambda) - n_{2}(\lambda)\right)}{n_{1}(\lambda) - n_{2}(\lambda)} \cdots, \qquad (4)$$

We desire to minimize $\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)}$. In the case when $\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)} = 0$, $L_{\pi}(\lambda)$ does not vary with wavelength, and so as $C(\lambda)$, then the DC performance is independent of wavelength. In Equation (4), $n_1(\lambda) - n_2(\lambda)$ is the difference between $n_1(\lambda)$ and $n_2(\lambda)$ determined directly by the material and structure of the DC; $\Delta(n_1(\lambda) - n_2(\lambda))$ characterizes the sensitivity of $n_1(\lambda) - n_2(\lambda)$ to wavelength variation. Mathematically, to realize minimized $\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)}$, minimized $\Delta(n_1(\lambda) - n_2(\lambda))$ and maximized $n_1(\lambda) - n_2(\lambda)$ are desired.

Silicon-on-Insulator (SOI) rib waveguide is employed as a potential candidate to fulfill the above goal since its dispersion could be efficiently engineered by the etching depth D as shown in Fig. 1(a). Additionally, the SOI fabrication process is mature and stable.

The etching depth D in SOI rib waveguide could effectively change the dispersion of the device. Firstly, based on the physics that the mode confinement in Si core is stronger with shallower etch depth D so that the mode possesses higher ERI, both $n_1(\lambda)$ and $n_2(\lambda)$ scale up as well as their difference $n_1(\lambda) - n_2(\lambda)$ with smaller D. Secondly, in light of the fact that the penetration depth of the evanescent wave into the SiO_2 cladding layer drops as D decreases so that the mode ERI is less affected by wavelength change, $\Delta(n_1(\lambda) - n_2(\lambda))$ would decline as D reduces. Hence a conclusion could be reached that rib waveguide WFDC with reduced D achieves better WF performance since $\frac{\Delta L_{\pi}(\lambda)}{L_{\pi}(\lambda)}$ is effectively reduced by leveraging greater $n_1(\lambda) - n_2(\lambda)$ and smaller $\Delta(n_1(\lambda) - n_2(\lambda))$. Additionally, this mechanism for WFDC is realized by varying the structure to control dispersion without targeting at any specific power splitting ratio. Thus, theoretically it works for arbitrary power splitting ratio.

B. Simulation

To thoroughly study the influence of D on the dispersion of rib waveguide WFDC, we perform simulations using Lumerical Mode Solution [32]. The SOI rib waveguide based WFDC has a height of H = 0.4 μ m and a waveguide width of W = 1.2 μ m. Waveguide with such dimension has been demonstrated with low loss of 2–3 dB/cm over 3.68–3.88 μ m in our previous work [30]. The coupling gap of the DC is fixed at 0.5 μ m while the etching depth D is the variable. Fig. 2(a) shows the dispersion of n₁(λ) & n₂(λ) in WFDC with different etch depths. It is obvious that both n₁(λ) & n₂(λ) scale up as D decreases. Without loss of generality, from Fig. 2(a), we calculate n₁(λ) – n₂(λ) of devices with different etch depths at three wavelengths, namely 3.68 μ m, 3.78 μ m, and 3.88 μ m; and the result is presented in Fig. 2(b). As D drops from 400 nm to 160 nm, n₁(λ) – n₂(λ)



Fig. 1. (a) Schematic of the designed rib waveguide-based WFDC. (b–f) Scanning electron microscope (SEM) image of the fabricated (b) D = 320 nm device, (c) D = 160 nm device, (d) D = 120 nm device, (e) channel waveguide to rib waveguide transition taper of D = 160 nm device, (f) an array of rib waveguide WFDC with different coupling length L_c for various power splitting ratios. The coupling gaps presented in this figure are 500 nm.



Fig. 2. (a) The dispersion of the symmetric mode $(n_1(\lambda))$ and asymmetric mode $(n_2(\lambda))$, (b) the difference $(n_1(\lambda) - n_2(\lambda))$ at three different wavelength 3.68 μ m, 3.78 μ m, and 3.88 μ m obtained from (a), (c) mode profile of both the symmetric and asymmetric mode in the rib waveguide WFDC with different etch depths.

rises by around 0.035 at all three wavelengths. However, an unexpected decrease in $n_1(\lambda) - n_2(\lambda)$ is observed as D is further reduced from 160 nm to 80 nm. To understand this drop, we perform mode analysis whose result is shown in Fig. 2(c). The electric field (E-field) of the optical modes is strongly confined in the Si ridge at D = 400 nm. As D declines, the mode starts to spread. The symmetric modes spread to the coupling gap while the asymmetric modes to the slabs at the sides. At D = 80 nm, the spread is so strong that the mode behaves more like the fundamental mode in the slab waveguide rather than the symmetric mode in the DC, leading to the unexpected drop.



Fig. 3. (a) The dispersion of $(n_1(\lambda) - n_2(\lambda))$, (b) The slope of dispersion of $(n_1(\lambda) - n_2(\lambda))$ with respect to (w.r.t) λ , (c) The slope of dispersion of $n_1(\lambda)$ and $n_2(\lambda)$ individually w.r.t λ in the rib waveguide WFDC with different etch depths. The inset in (c) shows the mode profile of the symmetric mode in D = 120 nm and D = 320 nm devices respectively.

To study $\Delta(n_1(\lambda) - n_2(\lambda))$, we simulate the dispersion of $n_1(\lambda) - n_2(\lambda)$ in WFDC with different etch depths. The result is presented in Fig. 3(a). The slope of the dispersion, which characterizes the sensitivity of $n_1(\lambda) - n_2(\lambda)$ due to wavelength variation would represent $\Delta(n_1(\lambda) - n_2(\lambda))$. Fig. 3(a) indicates that $n_1(\lambda) - n_2(\lambda)$ generally rises as D declines except at D = 80 nm. This further strengthens our previous claim that the rib structure behaves slab waveguide-like rather than DC-like at D = 80 nm. We plot the slope of the dispersion of $n_1(\lambda)$ $n_2(\lambda)$ in Fig. 3(b). From D = 320 nm to D = 80 nm, the slope decreases as D drops. Nevertheless, an abnormal fall is observed when D is greater than 320 nm. We examine the slope of the dispersion of $n_1(\lambda)$ and $n_2(\lambda)$ individually to understand this drop. The result is plotted in Fig. 3(c). It is shown that the slope of the dispersion of $n_2(\lambda)$ decreases almost linearly throughout the whole range between D = 80 nm and D = 400 nm while the drop of the slope of the dispersion of $n_1(\lambda)$ is slow at D = 80 nm, accelerates as D increases, and finally reaches the same rate as that of $n_2(\lambda)$. The difference between the slope of the dispersion of $n_1(\lambda)$ and $n_2(\lambda)$ could be attributed to the fact that the symmetric mode has some E-field strongly confined in the gap Si region while the asymmetric mode does not, as can be revealed from Fig. 2(c) D = 80 nm. The Si gap region which possesses a large refractive index of around 3.4 maintains the high ERI so that $n_1(\lambda)$ decreases slower than $n_2(\lambda)$ at small D. At larger D, the E-field confinement of the symmetric mode in the Si gap region is weaker as shown in the insets of Fig. 3(c), meaning that the influence of the Si gap region is much weaker at D = 320 nm compared to at D = 120 nm. Therefore, the reduction rate of the slope of the dispersion of $n_1(\lambda)$ increases and approaches that of $n_2(\lambda)$ as D rises.

III. DEVICE FABRICATION AND CHARACTERIZATION

We design and fabricate rib waveguide WFDCs with different etch depths in order to show their WF effect. Without loss of generality, Fig. 1(b)–(d) shows the coupling region of devices with D = 320 nm, 160 nm, and 120 nm respectively. The slab width is 7 μ m for all the designs. The waveguide cross section is the same as in the simulation. As shown in Fig. 1(e), transition



Fig. 4. Average insertion loss of the fabricated devices in 3.67 μ m–3.89 μ m. The inset shows the directional coupler behavior of D = 120 nm device at 3.75 μ m.

tapers tapering from 1.2 μ m to 7.2 μ m with a length of 18 μ m are used to convert the channel waveguide mode to rib waveguide mode in order to prevent larger mode mismatch and strong reflection. Arrays of WFDCs with different coupling length L_c from 0 μ m to 48 μ m in step of 3 μ m are fabricated to achieve arbitrary power splitting ratio (see Fig. 1(f)).

The fabrication starts with a commercially available 8-inch SOI wafer with 220 nm device layer. 180 nm Si is epitaxially grown to extend the device layer thickness to 400 nm to meet the MIR requirement. SiO₂ is deposited as the hard mask, followed by deep ultra-violet (DUV) photolithography for patterning. Two-step Si reactive ion etching (RIE) is performed for device definition. 3 μ m SiO₂ is deposited using plasma enhanced chemical vapour deposition (PECVD) to form the cladding layer. Lastly, around 100 μ m deep trench is formed for butt fiber coupling testing. The testing setup is described in our previous work [3].

Figs. 4–6 shows the experimental results. The insertion loss of the WFDCs with different etch depths is presented in Fig. 4. An average insertion loss of -0.52 dB in 3.67 μ m-3.89 μ m is



Fig. 5. The performance of WFDC across 3.67–3.89 μ m in devices with different etch depths aiming at (a) 100:0 (b) 50:50 power splitting ratio. The coupling length of each device in (a) is: (D = 400 nm, L_c = 49 μ m), (D = 320 nm, L_c = 30 μ m), (D = 240 nm, L_c = 21 μ m), (D = 160 nm, L_c = 6 μ m), (D = 120 nm, L_c = 6 μ m); in (b) is (D = 320 nm, L_c = 36 μ m), (D = 240 nm, L_c = 42 μ m), (D = 160 nm, L_c = 18 μ m), (D = 120 nm, L_c = 18 μ m).



Fig. 6. The normalized enhancement factor in devices with different etch depths derived from Fig. 5.

measured with a variance of 0.18 dB. Meanwhile, the propagation loss of the waveguide is maintained at 2–3 dB/cm over 3.67–3.89 μ m, which is consistent with our previous results. To ensure that the D = 120 nm device is working as a WFDC rather than a slab waveguide, we measured the normalized transmission (T/I) and crossing (X/I) power at several L_c where the result is shown in the inset of Fig. 4. According to our previously proposed model [3], T and X should follow

$$\frac{T}{I} = t^2 = \cos^2\left(\frac{\pi}{2}\frac{L_c}{L_{\pi}} + \oslash_0\right)\dots$$
(5)

$$\frac{X}{I} = K^2 = \sin^2\left(\frac{\pi}{2}\frac{L_c}{L_{\pi}} + \oslash_0\right)\dots\tag{6}$$

in DCs, where T is the power transmitted through the input waveguide, X is the power coupled evanescently through the DC, I = X + T is the total power in the directional coupler, t and K are the power transmission coefficient and power coupling coefficient respectively, and \oslash_0 is the initial phase introduced by the S bends before the coupling region. The sine squared fitting of X/I and T/I shows an Adj. R-square of 0.99, proving the good DC performance of the D = 120 nm device. The large X at L_c = 0 μ m shows significant coupling in the S-bend region which agrees with our previously proposed model. The devices with larger D maintain the good DC performance as the devices behave less like slab waveguide.

Fig. 5 shows the WFDC performance for 100:0 and 50:50 power splitting ratio in order to indicate its superior WF performance as well as the feasibility and simplicity of the novel mechanism to work for arbitrary power splitting ratio without loss of generality. The WFDC's performance for 100:0 power splitting ratio is shown in Fig. 5(a). $L_c = 49 \ \mu m WFDC$ with D = 400 nm and $L_c = 6 \ \mu \text{m}$ WFDC with D = 120 nm could achieve 100:0 power splitting ratio in the range of $3.67-3.89 \,\mu\text{m}$. The acceptance range is defined as 100:0–98:2. The upper limit and lower limit of 100:0-98:2 region is the wavelength with the highest coupling ratio and the last wavelength that stays in this region respectively. It is demonstrated in Fig. 5(a) that as D drops from 400 nm to 120 nm in step of 80 nm, the bandwidths of 100:0-98:2 region are 35 nm, 60 nm, 100 nm, 120 nm, and 145 nm. A highest enhancement of more than 4-fold in operation bandwidth is achieved in D = 120 nm rib waveguide WFDC compared with the conventional DC.

The WFDC's performance for 50:50 power splitting ratio is shown in Fig. 5(b). $L_c = 36 \ \mu m$ WFDC with D = 320 nm and $L_c = 18 \ \mu m$ WFDC with D = 120 nm could achieve 50:50 power splitting ratio in the range of 3.67–3.89 μm . The acceptance range is defined as 45:55–55:45, which is similar to [28]. The upper limit and lower limit of 45:55–55:45 region are defined as the two last wavelengths that stay in the region. It is revealed in Fig. 5(b) that as D decreases from 320 nm to 120 nm in step of 80 nm, the bandwidths of 45:55–55:45 region are 20 nm, 45 nm, 70 nm, and 85 nm. D = 400 nm WFDC is not presented here because the L_c of the designed device is not long enough to get a downward 50:50 power splitting ratio as the rest of devices with smaller etch depths do.



Fig. 7. The simulation result of the bandwidth of WFDC (D = 120 nm) with respect to fabrication errors. 50:50 power splitting ratio is less vulnerable to fabrication tolerance while 100:0 requires more precise fabrication control.

The normalized enhancement factor is defined as the ratio of the broadened bandwidth to the bandwidth of the conventional DC with etch depth of 400 nm. From the results shown in Fig. 5(a), we calculate the normalized enhancement factor at 100:0. The result is presented as black dots in Fig. 6. An enhancement factor of more than 4-fold could be achieved with D = 120 nm WFDC at 100:0 power splitting ratio. A linear fitting of the normalized enhancement factor shows an Adj. R-Square of 0.98, showing a reasonably good linear relationship between the normalized enhancement factor and the etch depth D. Under the assumption of such linear relationship, we find the gradient of the enhancement factor at 50:50 normalized to D = 320 nm device with respect to etch depth by linear fitting. The linear fitting shows an Adj. R-Square of 0.97. We then extrapolate the corresponding normalized enhancement factor for D = 400 nm, and finally shift the linear curve up so that the normalized enhancement factor at D = 400 nm is 1, which is marked by the purple star. After such mathematical manipulation, an enhancement factor of around 6-fold is projected for D = 120 nm WFDC at 50:50 power splitting ratio.

The fabrication tolerance of our design is investigated by 3D FDTD simulation [33]. The fabrication error is defined as $\Delta_{fab} = 2\Delta_{Gap} = -2\Delta_{WG}$, where Δ_{Gap} and Δ_{WG} describe the coupling gap variation and waveguide width variation respectively according to [34]. As shown in Fig. 7, for 50:50 power splitting ratio WFDC, the fabrication error of ±40 nm only causes the maximum bandwidth variation of +6.7%. Meanwhile, with the same range of fabrication error, the 100:0 power splitting WFDC has a slightly higher variation around -25% to +15%. This deteriorated fabrication tolerance could be attributed to that WFDC behaves slab waveguide-like with small coupling gap, which disturbs 100:0 power splitting ratio yet serves as a Y-junction to realize 50:50 power splitting ratio. Thus, to improve the fabrication tolerance of WFDC for non-50:50 power splitting ratio, larger coupling gap is desired.

Table I shows the performance of the recently demonstrated WFDC for comparison. By leveraging the novel mechanism based on rib waveguide dispersion engineering, our compact

TABLE I RECENTLY DEMONSTRATED WFDC PERFORMANCE

No	Mechanism	Length (µm)	Excess loss (dB)	$\lambda (\mu m)$	Enhancement factor at 50:50	Ref
1	Asymmetry	7.4	N.A.	~ 1.55	~7	[19]
2	MZI	10^{4}	~ 2.8	~ 1.55	~ 3	[22]
3	Adiabatic	>100	~ 2	~ 1.55	~ 4	[26]
4	Hybrid plasmonic	21.2	0.89	~ 1.55	~ 4	[28]
5	SWG	19.2	~ 0.7	~ 1.55	~ 5	[29]
6	Rib WG dispersion engineering (this work)	<20	0.52	~3.78	~6	N.A.

devices of $<20 \ \mu m$ in length realize high enhancement factor in operation bandwidth compared to the conventional DC while maintaining the lowest excess loss. In addition, our WFDC is the first WFDC demonstrated for MIR application.

IV. CONCLUSION

In summary we proposed a novel mechanism by analyzing the physics behind the dispersion of rib waveguide DC to achieve MIR WFDC. The MIR WFDC achieved by rib waveguide dispersion engineering is CMOS-compatible, compact, and effective in a broadband range with low excess loss. Meanwhile, based on the novel mechanism, arbitrary power splitting ratio could be achieved in the WFDC simply by varying the length of the devices. A prominent 6-fold and a 4-fold enhancement are demonstrated for 50:50 (\pm 5) and 100:0 (-2) power splitting ratio respectively in devices less than 20 μ m while the loss is maintained as low as -0.52 ± 0.18 dB/device. These MIR WFDCs are promising to be incorporated into the MIR spectrometer sensing systems which require broadband components. Furthermore, the proposed novel mechanism could be utilized in NIR WFDC as well to realize better performance.

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