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Optical Free-Form Couplers for High-density Integrated Photonics (OFFCHIP): a universal optical interface

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(Invited Paper)

Abstract—**Coupling of light between different photonic devices, for example on-chip waveguides, fibers, and free-space optical elements, is an essential function enabling integrated optical systems. Efficient optical coupling demands matching the optical mode profiles and effective indices in two devices, and often changing propagation direction of the light. To date, such coupling is pre-dominantly accomplished via direct butt coupling of two devices, or meticulously optimized diffraction gratings. In this paper, we present a new coupling scheme based on microfabricated free-form optical reflectors. The free-form reflector simultaneously achieves the functions of light beam re-direction and shaping (for mode matching), and can be versatilely adapted for coupling between photonic chips, fibers, and free-space surface-incident devices. We show that this technology uniquely fulfills all key performance requirements for optical interfaces with exceptionally low coupling loss (0.2 – 0.3 dB per coupler), large bandwidth (over half an octave), high density (large 2-D coupler arrays), polarization diversity, and superior alignment tolerance commensurate with passive alignment techniques. Preliminary experimental validation demonstrates waveguide-to-fiber coupling with a low insertion loss (IL) of 0.9 dB. We foresee that the technology will become a promising solution to the chip-level photonic interconnection and packaging challenges plaguing integrated photonics.**

Index Terms—**integrated photonics, coupling, free-form optics, waveguides, fibers, free-space optics, packaging.**

I. INTRODUCTION

OPTICALLY interfacing different photonic devices and propagation media is a basic function necessary for construction of complex integrated optical systems. Some common examples of such optical interface include waveguide-to-fiber coupling, chip-to-chip or chip-to-interposer coupling, and waveguide-to-free-space coupling. In general, the optical interface performs two functions: shaping the optical mode(s) to maximize overlap integral between modes of the two devices; and re-directing the light to match the propagation direction in the devices, if necessary. The optical interfacing approach chosen usually plays a critical role in defining the boundaries of performance and costs for scalable photonic interconnections and packaging.

Traditionally, an optical interface assumes one of two common configurations: butt coupling or grating coupling [1]–[14]. In the former case, optical output facets of the two devices (e.g. two waveguides or a waveguide and a fiber) are placed in close proximity and aligned to each other. Mode transformers (often of adiabatic types) are usually fabricated on the end facets of one or both of the devices to mitigate mode mismatch and improve the coupling efficiency [15], [16]. A lower index material can be further deposited on top of a tapered Si waveguide to form an adiabatic mode transformer between the high-index-contrast (HIC) and low-index-contrast (LIC) waveguides, expanding the optical mode in both horizontal and vertical directions [17]–[23]. In multi-layer structures, high-index and low-index layers are stacked on each other with tapered structures to allow transformation of the optical mode [24]–[27]. In addition to inverse tapers, subwavelength grating structures have also been engraved into the waveguides to convert the spot size for edge coupling [28]–[31]. So far broadband low-loss waveguide-to-fiber butt coupling has been demonstrated with ILs down to ~ 0.4 dB [32], [33]. One the other hand, the butt coupling scheme suffers from several limitations. First, the affordable density by this scheme is limited by the lateral pitch of the devices. In the case of fiber-to-chip coupling, a semi-standard fiber array pitch of 125 μm stipulates a limited density of 8 connections per millimeter chip perimeter inadequate for meeting the I/O bandwidth target of electronic chips [34]. Second, butt coupling typically places stringent requirements on optical alignment due to the small mode size in HIC waveguide devices, necessitating precise but time-consuming active alignment during the optical assembly

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process. Last but not least, butt coupling is only applicable to chip-level characterization after the photonic chips have been diced from a full wafer but is generally not suitable for wafer-scale testing and screening.

In contrast, grating coupling, another popular candidate for optical interfacing, offers 2-D connectivity and the expediency of high-throughput wafer-level device testing [12], [35]–[50]. Near-unity coupling efficiency has been theoretically predicted [51], [52] and an impressive IL as low as 0.36 dB has been experimentally demonstrated [53], albeit both at a single wavelength. Another advantage of grating coupling is that it is readily scalable to high channel density using 2-D coupler arrays and potentially relaxed mechanical alignment tolerance [54]. However, the main drawback of grating coupling is its limited spectral bandwidth. For waveguide-to-fiber coupling, gratings typically exhibit a 1-dB bandwidth of 30-50 nm near the telecom wavelength, which precludes their application in wavelength division multiplexing (WDM) communication networks. Similarly, most low-loss grating couplers also exhibit strong polarization dependence [55]. Additionally, to attain high coupling efficiency, grating coupler designs often involve nonorthodox structures such as embedded mirrors and multilayer overlay which may not necessarily be compatible with standard silicon photonic foundry processing [46], [51]–[53], [56]–[60]. Multi-level etched and slanted grating couplers also predict high coupling efficiency while posing additional challenges for the fabrication process [3], [61]–[65].

In sum, existing butt and grating coupling schemes do not fulfill all the essential requirements for an optical interface and thus pose performance and cost trade-offs with limited scalability. Butt coupling is limited in terms of bandwidth density and accessibility to chip edge facets, whereas narrow spectral bandwidth is the main challenge with grating couplers. In this paper, we propose and experimentally demonstrate a new optical interface (OFFCHIP) uniquely featuring low coupling loss, exceptionally broad bandwidth, polarization diversity, high and scalable bandwidth density, and tailorable, large alignment tolerance ideal for chip-scale dense optical interconnects, and high-throughput photonic packaging and assembly. The coupling concept, design rationale and application examples are discussed in the following sections.

II. OPTICAL FREE-FORM COUPLERS FOR HIGH-DENSITY INTEGRATED PHOTONICS (OFFCHIP): THE CONCEPT

The proposed optical coupling interface, OFFCHIP, is based on a free-form optical reflector attached to and index-matched to the end facet of a LIC waveguide. An adiabatic mode transformer can be used to further transition the optical mode from the LIC waveguide to a HIC waveguide with vanishingly low losses. The use of a LIC waveguide is critical as it not only diminishes index mismatch (e.g. between a fiber and an on-chip waveguide) and Fresnel reflection, but also reduces angle-dependent aberration of the free-form optics. The reflector geometry is optimized to carry out two functions simultaneously: 1) re-direct the light beam propagation path (usually by 90° but arbitrary deflection angles are possible) via total internal reflection; and 2) re-shape the beam such that it matches the mode in the output device, thereby enabling very high coupling efficiency.

A particularly simple form of the reflector design assumes a quadratic surface geometry. The output mode of a LIC waveguide can be well approximated with a point source of a small numerical aperture (NA) or divergence angle. An ellipsoidal reflector surface can therefore act as a waveguide-to-waveguide coupler re-focusing the output light from a LIC waveguide into another, provided that both waveguide point sources are placed at the focal points of the ellipsoidal surface. In the same vein, a parabolic reflector can collimate the output light from a LIC waveguide positioned at the focus, and the collimated beam diameter can be readily adjusted by changing the distance of the waveguide output to the reflector surface. Since standard single-mode optical fibers has a small numerical aperture, the fiber mode can be well matched to a collimated beam with a similar diameter. A parabolic reflector therefore efficiently couples light from an on-chip waveguide to a fiber. In addition to its remarkable simplicity (and high performance as shown later), the quadratic surface design also provides an excellent starting point (aka heuristic) for advanced designs derived from topology optimization algorithms [66].

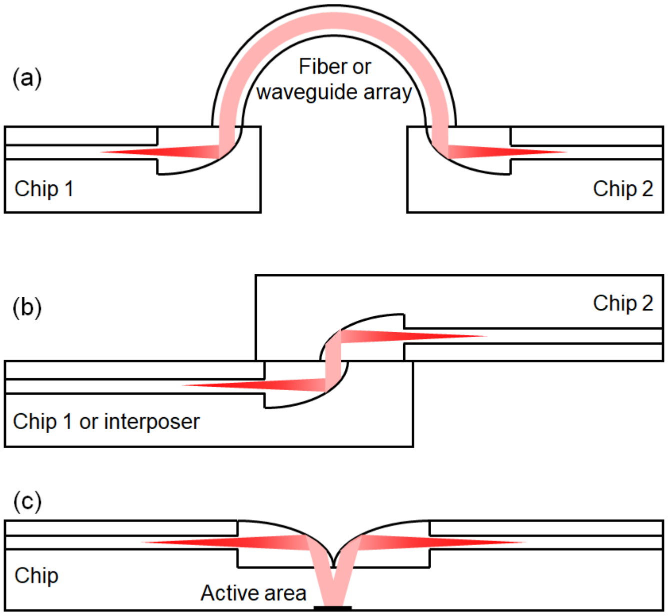

Fig. 1. Several embodiments of the OFFCHIP optical interfaces for (a) waveguide-to-fiber coupling; (b) waveguide-to-waveguide (chip-to-chip or chip-to-interposer) coupling; and (c) waveguide coupling to surface-incident devices.

The OFFCHIP platform is universally applicable to a wide array of optical coupling scenarios as schematically illustrated in Fig. 1. The parabolic reflectors can be used as optical I/Os for photonic chips connecting with optical fiber or polymer waveguide ribbon arrays (Fig. 1a). Alternatively, they can function as waveguide-to-waveguide couplers by mating two identical parabolic reflectors (Fig. 1b). Another embodiment of the OFFCHIP platform involves using the reflector to collimate a waveguide output, which then is directed towards and reflected by a surface-incident device before re-coupled to a second waveguide by a second parabolic reflector (Fig. 1c). This coupling scheme offers an efficient optical interface between in-plane optical waveguides and surface-incident devices such as single-mode vertical-cavity surface-emitting lasers (VCSELs), multi-quantum well (MQW) modulators, and free-space photodetectors to introduce various optoelectronic functionalities. Moreover, the OFFCHIP platform can also facilitate coupling of light from on-chip waveguides to the free space with user-defined beam shapes for applications such as optical trapping and sorting, sensing, laser writing, and free-space optical communications.

The OFFCHIP platform uniquely combines minimal coupling loss, broadband and polarization-diverse operation, high bandwidth density, and large alignment tolerance. The large design degrees of freedom accessible with the 3-D free-form surface enables precise mode conversion to bridge mode size and shape mismatches between two coupling devices, a prerequisite for high optical efficiency. The use of a reflective element underlies the design's extreme broadband performance, as reflective optics are immune to dispersion effects which inherently limit the bandwidth of diffractive or refractive optical components. Unlike butt coupling which demands an exposed chip facet to accommodate the coupling fiber or another chip, the reflector can be fabricated inside an etched trench where a waveguide terminates. The free-form reflectors can therefore be fabricated to form large 2-D arrays, allowing high-density optical I/O not bound by the perimeter length of photonic chips. The reflective couplers are also compatible with array alignment, which is crucial to scalable, high-throughput photonic packaging and assembly. Finally, since the reflector acts as a mode size expander, the design offers improved alignment tolerance compared to direct butt coupling.

III. COUPLER DESIGNS

In this section, we describe the design of several embodiments of the OFFCHIP optical interface.

A. *Waveguide-to-fiber coupler*

Coupling from on-chip waveguides to optical fibers is considered a major technical bottleneck in scalable photonic chip packaging due to the large mode size and effective index mismatch between optical fibers and HIC waveguides. Our OFFCHIP platform provides a promising solution to the chip I/O challenge, where light from on-chip HIC waveguide is first adiabatically transformed into a LIC waveguide and then directed to an optical fiber. As discussed above, the free-form reflector in this case assumes a parabolic shape to convert the diverging output from a LIC waveguide to a collimated beam whose diameter matches that of a single-mode fiber. A specific design example is presented in Fig. 2. In the simulation, the waveguide has a core size of 2.3 μm × 2.3 μm and core and cladding indices $n_{core} = 1.543$ and $n_{clad} = 1.525$, respectively. The parameters match those of our fabricated devices (Section IV) and ensure single-mode operation of the waveguide at 850 nm wavelength. A Nufern 780-HP fiber with a mode field diameter of 5 μm and a flat cleaved facet is chosen as it offers broadband single-mode operation around the target wavelength.

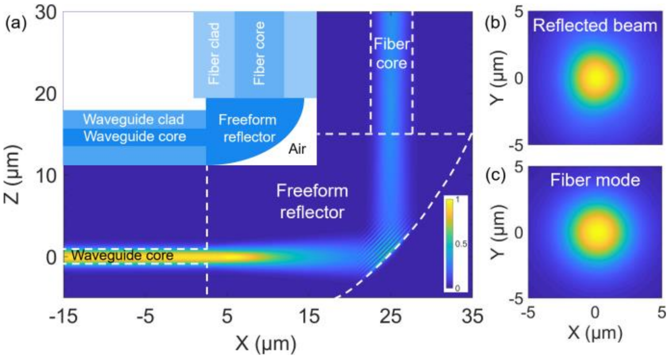

Fig. 2. (a) The OFFCHIP waveguide-to-fiber coupler simulated using 3-D finite-difference time-domain (FDTD) showing the optical intensity distribution across the center plane; inset schematically shows the device layout; (b, c) intensity profiles of (b) the beam exiting from the reflective coupler; and (c) the mode of a Nufern 780-HP single-mode fiber.

It is further assumed that the fiber is bonded to the reflective coupler using an index-matched epoxy ($n = 1.543$) to eliminate Fresnel reflection losses. The position and size of the parabolic reflector are optimized to maximize the overlap integral between the profile of beam exiting from the coupler and the optical fiber mode, thereby minimizing IL (Figs. 2b & 2c). The optimized coupler occupies a small on-chip footprint of 30 μm (X) × 10 μm (Y) and is thus amenable to high-density 2-D fiber array integration.

Figure 3a plots the simulated ILs of the waveguide-to-fiber coupler. The simulation shows that the coupler offers low ILs of < 0.3 dB across an exceptionally broad spectral band of 700 – 1050 nm (half an octave) for both transverse electric (TE) and transverse magnetic (TM) polarizations. A minimal IL of 0.18 dB is achieved for the TE polarization at 770 nm wavelength, corresponding to a peak coupling efficiency of 96%. This remarkable broadband performance benefits from the non-dispersive nature of reflective optical elements. The coupler also exhibits good tolerance to misalignment as shown in Fig. 3b. In the out-of-plane (Z) direction, the reflected beam is almost collimated, which accounts for the large tolerance (over 25 μm) to fiber offset along the Z-direction. In the in-plane (X and Y) directions, the alignment tolerance is determined by the fiber mode field diameter and can be further increased by incorporating mode expanders if desired [67]. The coupler features a 1-dB alignment tolerance of ± 1.1 μm at 850 nm wavelength. Optimized coupler designs at the long-wave 1550 nm telecom band claim a 1-dB alignment tolerance of ± 2.3 μm [68]. This large alignment tolerance facilitates surface-normal, high-throughput passive alignment of optical fiber arrays to on-chip waveguides, possibly aided by mechanical alignment features. The results highlight the key advantages of the OFFCHIP waveguide-to-fiber coupler: low IL, ultra-broadband and polarization-diverse operation, high integration density, compatibility with wafer-level testing, and large alignment tolerance. The coupling scheme also places minimum requirement on the coupling fibers' facet preparation. These features are essential features for a scalable, high-throughput, high-performance, and low-cost photonic chip packaging

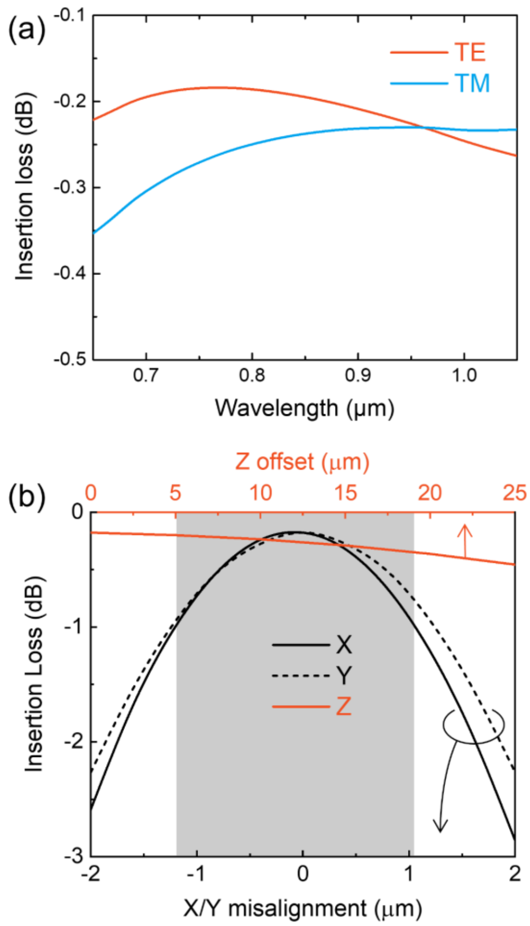

Fig. 3. (a) Wavelength and polarization dependent ILs of the optimized waveguide-to-fiber coupler simulated using 3-D FDTD; (b) tolerance of the coupler IL to misalignment in X, Y, and Z directions. The gray box corresponds to 1-dB alignment tolerance in the in-plane (X and Y) directions.

solution.

B. *Waveguide-to-waveguide (chip-to-chip or chip-to-interposer) coupler*

Direct coupling of light from an optical waveguide on a chip to a second waveguide on another chip is a useful function for interfacing photonic chips with optical interposers or flexible waveguide ribbons, communications between different chips in a multi-chip module (MCM), or coupling of light from chips to optical printed circuit boards (PCBs) [69]–[74]. Such inter-chip coupling was traditionally implemented with 45° mirrors [75]–[78] or grating couplers [14]. However, the former approach furnishes limited coupling efficiency due to the inevitable wave front distortion induced by the flat 45° mirrors, whereas gratings are inherently wavelength sensitive.

The OFFCHIP platform offers a high-efficiency, broadband solution for inter-chip coupling. Figure 4 depicts a specific embodiment of the inter-chip coupler. Here the waveguides assume an identical configuration (core size and core/cladding indices) to that in Fig. 2. Similar to the waveguide-to-fiber coupler, the optimized waveguide-to-waveguide coupler claims broadband, low-loss performance with an IL consistently below 0.5 dB between 650 – 950 nm wavelengths for both TE and TM polarizations, and an IL as low as 0.22 dB for TE polarization at 760 nm wavelength. Tolerance to misalignment of the coupler is investigated through numerical FDTD simulations and the results are summarized in Fig. 4c. The in-plane (X and Y) 1-dB alignment tolerance is ± 1.3 µm. Unlike the case of waveguide-to-fiber coupler where the tolerance is bound by the fiber mode field diameter, here the inter-chip alignment tolerance can be improved simply by increasing the coupler size to further expand the reflected beam diameter. Moreover, the very large alignment tolerance in the out-of-plane (Z) direction (> 35 µm) indicates that efficacy of the coupling scheme is minimally affected by unfavorable surface conditions of the chips (e.g. surface unevenness) and the presence of dust particles, both of which are often culprits limiting the yield of photonic packaging processes. The high performance and excellent assembly tolerance qualify the OFFCHIP coupling scheme as an appealing solution for inter-chip optical interfacing.

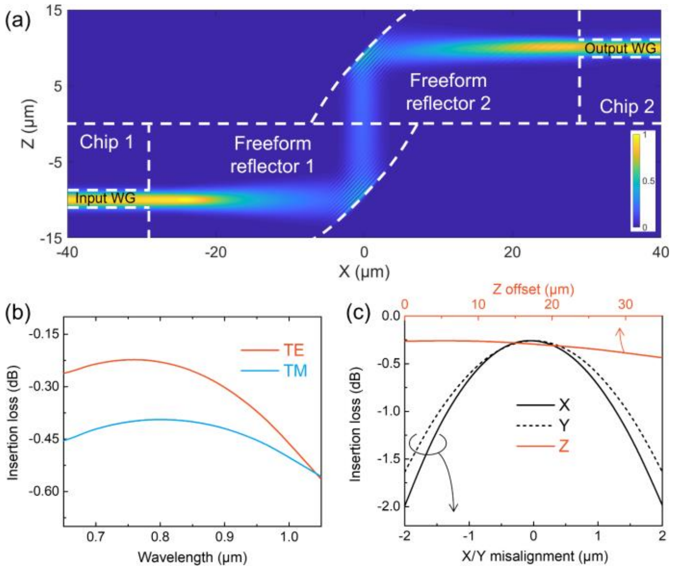

Fig. 4. (a) The waveguide-to-waveguide coupler modeled using 3-D FDTD showing the optical intensity distribution across the waveguide (WG) center plane; (b) simulated wavelength and polarization dependent ILs of the optimized waveguide-to-waveguide coupler; (b) tolerance of the coupler IL to misalignment in X, Y, and Z directions.

C. *Waveguide integration of surface-incident devices*

Many optoelectronic devices employ a surface-incident configuration to facilitate coupling with light incident from or emitted to free space. The examples of such devices include VCSELs, MQW modulators, and free-space photodetectors. Their surface-incident configuration, nevertheless, makes their coupling with waveguides and integration with planar photonic integrated circuits (PICs) challenging. In the multi-mode regime, flat and curved mirrors, prism couplers, and facet couplers have been implemented to couple light from/to these surface-incident devices [79]–[83]. Integration of these devices with single-mode waveguides, while currently lacking a mature solution, potentially brings major benefits to PICs: for instance, high-efficiency single-mode VCSELs and surface-plasmon-enhanced MQW modulators can significantly enhance the energy efficiency of optical interconnects when desirable optical coupling and integration conditions are met [84].

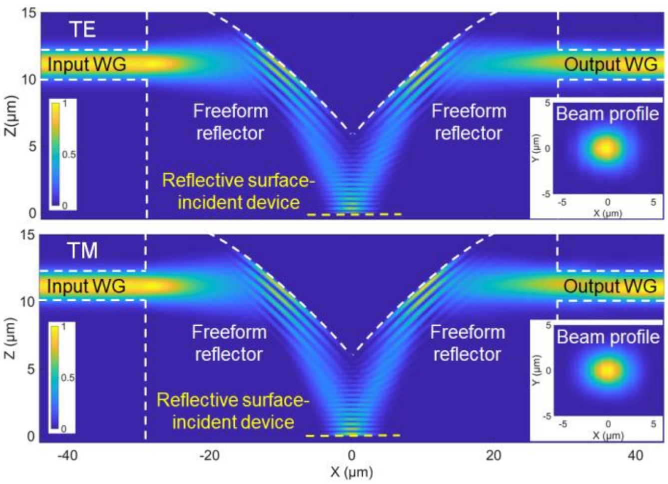

Fig. 5. Single-mode waveguide integration with a surface-incident device in a reflective configuration: the optical intensity distribution across the device center plane simulated using 3-D FDTD is plotted for (top) TE and (bottom) TM polarized inputs from the waveguide. Insets display the intensity distribution of the beam impinging on the surface-incident device.

Figure 5 illustrates FDTD simulation results of single-mode waveguide coupling with surface-incident devices via the free-form reflectors depicted in Fig. 1c. A pair of parabolic reflectors are used to collimate the output from a single-mode waveguide with a 40° incident angle with respect to the device, and re-focus the beam reflected from the surface-incident device (e.g. an MQW modulator) back to the waveguide. In the simulation, the waveguides assume the same configuration (core size and core/cladding indices) as that in Fig. 2. The simulation reveals high coupling efficiencies of 94% (0.27 dB IL) and 95% (0.22 dB IL) at 850 nm wavelength for TE and TM polarized inputs, respectively. Insets in Fig. 5 plot the optical intensity profiles at the surface-incident device's top surface. The small mode field diameter (8.5 μm, $1/e^2$ of the maximum intensity) of the optical beam further implies that the integration scheme can apply to surface-incident devices with a small active area and minimal RC time constant for high-speed operation. The freeform reflective surfaces can be further optimized to tailor the beam properties (e.g., angle of incidence, divergences, intensity distribution, etc.) incident on the surface-normal device for desirable optoelectronic responses. The OFFCHIP platform therefore provides a facile route for integration of traditional free-space devices with single-mode waveguide PICs.

IV. EXPERIMENTAL DEMONSTRATION OF A LOW-LOSS FREE-FORM WAVEGUIDE-TO-FIBER COUPLER

We prototyped the free-form waveguide-to-fiber coupler using two photon polymerization (TPP). TPP has already been validated to be a powerful tool for on-demand fabrication of 3-D optical structures with critical dimensions well below the classical diffraction limit. Recent advances in parallel TPP printing further promise dramatic improvements in fabrication throughput using this technology [85], [86]. Some examples of photonic structures fabricated using TPP include 3-D photonic crystals [87]–[90], photonic wire bonds [91]–[93], multi-lens objectives [94], [95], free-form refractive optical couplers [96], [97], and fiber to waveguide connector[98]. Compared to previously demonstrated refractive optical couplers, our design achieves significantly enhanced optical efficiencies and ultra-broadband performance through concurrent suppression of both chromatic aberration and monochromatic angle-dependent aberrations with simple quadratic reflective surfaces.

In our process, polymer waveguides were first fabricated following our previously established protocols [99]. A trench with a depth of 15 μm was then etched into the polymer layers to define the waveguide facet to which the reflectors are attached. The free-form reflectors were then sculpted using TPP in the photosensitive polymer OrmoComp (Micro Resist Technology GmbH) using the Photonic Professional GT 3-D printer station (Nanoscribe GmbH). The process decouples 3-D fabrication of the free-form couplers with patterning of planar waveguide circuits such that the latter can be performed using standard lithographic methods with high throughput. Our optimized process also achieves high alignment accuracy between the pre-patterned waveguides and the subsequently added coupler structures (Fig. 6a) with average misalignment of 0.16 μm (X-direction), 0.13 μm (Y-direction), and 0.2 μm (Z-direction). The high precision is adequate to guarantee negligible loss due to coupler-waveguide misalignment. The fabricated 3-D couplers also feature a low root-mean-square (RMS) surface roughness of (8 ± 1) nm, implying negligible optical losses due to roughness scattering.

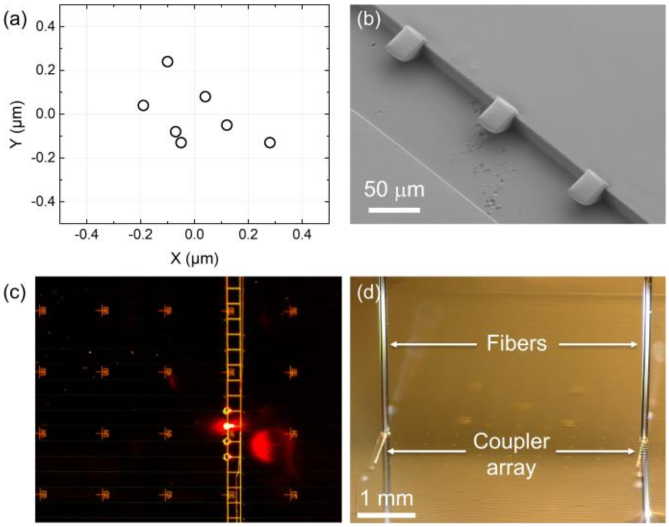

Fig. 6. (a) Measured relative misalignment distributions between the waveguides and TPP-fabricated couplers; (b) tilted-view SEM image of fabricated coupler arrays; (c) top-view optical micrograph of light output exiting from the waveguide and entering free space through the reflective coupler; (d) a photo of fibers coupling to an on-chip waveguide via the reflective couplers.

To characterize the reflective optical couplers, broadband light from a superluminescent diode (QSDM-860-8B, QPhotonics LLC, center wavelength 856 nm, spectral full width at half maximum 45 nm) was coupled into a Nufern 780-HP single-mode fiber with flat cleaved facets. A pair of fiber probes were aligned to two couplers connecting to both ends of the waveguides, and the transmitted power was measured using a photodetector (818-IS-1, Newport Corporation). The coupler IL was calculated by comparing the optical power output from a single fiber versus the transmitted power through the fiber-waveguide-fiber assembly. Our measurement revealed an IL of (0.9 ± 0.2) dB averaged over five fabricated couplers. The measured IL is higher than the simulated value of 0.2 dB due to deviations of the reflector shape from the designed geometry caused by volume shrinkage of the polymer during the photo-induced cross-linking process. Despite the largely unoptimized process, the experimentally demonstrated IL of 0.9 dB is still on par with the performances of state-of-the-art edge or grating couplers.

Further process optimization is underway to improve the shape fidelity and performance of the coupler.

V. CONCLUSIONS

In this paper, we propose and experimentally validate a free-form reflective optical coupler design applicable to interfacing a wide range of photonic devices including waveguides, fibers, surface-incident optoelectronic devices, and free-space components. Compared to conventional optical coupling schemes, the proposed OFFCHIP platform uniquely combines superior coupling efficiency, ultra-broadband and polarization-diverse operation, high integration density, and large, tailorable alignment tolerance commensurate with passive alignment. The technology therefore offers a high-performance and scalable solution for photonic packaging and assembly.

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