## Introduction to Optical Fiber Communications

YASUHARU SUEMATSU KEN-ICHI IGA

# Introduction to Optical Fiber Communications

#### YASUHARU SUEMATSU KEN-ICHI IGA

Tokyo Institute of Technology

Translated by

H. MATSUMURA

Hitachi Central Research Laboratory

Text edited and revised by W. A. GAMBLING
British Telecommunications
Professor of Optical Communication,
University of Southampton



John Wiley & Sons, New York / Chichester / Brisbane / Toronto / Singapore

Copyright © 1982 by John Wiley & Sons, Inc.

All rights reserved. Published simultaneously in Canada.

Reproduction or translation of any part of this work beyond that permitted by Section 107 or 108 of the 1976 United States Copyright Act without the permission of the copyright owner is unlawful. Requests for permission or further information should be addressed to the Permissions Department, John Wiley & Sons, Inc.

Translated from Optical Fiber Communications by Yasuharu Suematsu and Ken-ichi Iga Copyright © 1976 by Yasuharu Suematsu and Ken-ichi Iga English translation rights arranged with Ohmsha, Ltd. through Japan UNI Agency, Inc.

#### Library of Congress Cataloging in Publication Data:

Suematsu, Yasuharu, 1932-

Introduction to optical fiber communications.

(Wiley series in pure and applied optics, ISSN 0277-2493)

Translation of: Hikari faiba tsūshin nyūmon.

Bibliography: p.

Includes index.

1. Optical communications. 2. Fiber optics.

I. Iga, Ken'ichi, 1940- II. Gambling, W. A. (William Alexander) III. Title. IV. Title.

TK5103.59.S8713 621.38'0414 81-23064 ISBN 0-471-09143-X AACR2

Printed in the United States of America

10 9 8 7 6 5 4 3 2 1

#### WILEY SERIES IN PURE AND APPLIED OPTICS

#### Founded by Stanley S. Ballard, University of Florida

#### ADVISORY EDITOR: Joseph W. Goodman, Stanford University

ALLEN AND EBERLY . Optical Resonance and Two-Level Atoms

BABCOCK • Silicate Glass Technology Methods

BOND • Crystal Technology

CATHEY • Optical Information Processing and Holography

DE VANY · Master Optical Techniques

DUFFIEUX • The Fourier Transform and Its Applications to Optics, Second Edition

EBERLY AND LAMBROPOULOS • Multiphoton Processes

ELMER • The Optical Design of Reflectors, Second Edition

GASKILL . Linear Systems, Fourier Transforms, and Optics

GERRARD AND BURCH • Introduction to Matrix Methods in Optics

GOLDIN • Waves and Photons: An Introduction to Quantum Optics

**HUDSON** • Infrared System Engineering

JUDD AND WYSZECKI • Color in Business, Science, and Industry, Third Edition

KNITTL . Optics of Thin Films

LENGYEL • Lasers, Second Edition

LEVI • Applied Optics, A Guide to Optical System Design, Volume I

Volume II

LOUISELL . Quantum Statistical Properties of Radiation

MALACARA • Optical Shop Testing

MARATHAY • Elements of Optical Coherence Theory

McCARTNEY • Optics of the Atmosphere: Scattering by Molecules and Particles

MIDWINTER • Optical Fibers for Transmission

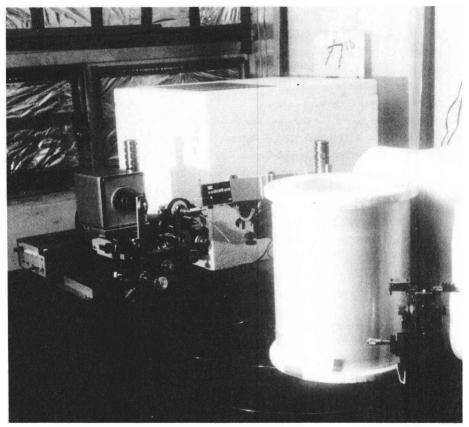
SUEMATSU AND IGA • Introduction to Optical Fiber Communications

VEST · Holographic Interferometry

WILLIAMS AND BECKLUND . Optics

WYSZECKI AND STILES • Color Science: Concepts and Methods, Quantitative Data and Formulae, Second Edition

ZERNIKE AND MIDWINTER • Applied Nonlinear Optics



Light from a He-Ne laser is injected into the optical fiber (about 1 km is wound on the drum shown on the right-hand side) used as the transmission line of the optical communication system, and the output, which is only slightly attenuated, is radiated (right-hand side). The semiconductor laser oscillator is on the left.

#### History of Optical Communication

?	Greece	Observation of light guiding in a piece of glass
?	Venice	Decorative flowers made of glass fibers
1609	Galileo (Italy)	Galileian telescope
1626	Snell (Holland)	Snell's law
1668	Newton (UK)	Reflection telescope
1870	Tyndall (UK)	Light guiding in a thin water jet
1873	Maxwell (UK)	Prediction of electromagnetic waves
1888	Hertz (Germany)	Confirmation of existence of electromagnetic waves and their oneness with light
1897	Rayleigh (UK)	Analysis of a waveguide
1899	Marconi (Italy)	Radio communication (UK-Continent)
1902	Marconi (Italy)	Invention of radio detector
1910	Hondros and Debye (Germany)	Analysis of the dielectric waveguide
1930	Lamb (Germany)	Experiments with a silica fiber
1936– 1940	USA	Communication using a waveguide
1951	Heel, Hopkins, and Kapany (UK)	Image transmission by optical fiber bundles
1958	Goubau et al. (USA)	Experiments with the lens guide
1958– 1959	Kapany et al. (UK)	Optical fiber with cladding
1960	Maiman et al. (USA)	Operation of ruby laser
1960	Javan et al. (USA)	Operation of He-Ne laser
1961	Kapany and Snitzer (UK)	Mode analysis of an optical fiber
1962	USA	Operation of the semiconductor laser
1964	Goubau and Christian (USA)	Light guidance with periodic lenses
1966	Kao and Hockham (UK)	Suggestion of using optical fibers for long-distance transmission

#### vi History of Optical Communication

1969	Uchida et al.	Graded-index optical waveguides
1070	Kawakami and Nishizawa	EW
1970	Kapron and Keck (USA)	Fiber transmission loss of 20 dB/km
1972	Ogilvie and Esdaile (Australia)	Liquid-core fibers
1972	Gambling et al. UK)	Gigahertz bandwidth over 1 km
1975	Payne and Gambling (UK)	Prediction of zero material dispersion at 1.3 μm
1976	Horiguchi and Osanai (Japan)	Fiber transmission loss of 0.47 dB/km at 1.3 μm
1978	Gambling and Matsumura (UK)	Zero first-order dispersion in single- mode fibers
1979	Miyashita et al. (Japan)	Fiber loss of 0.2 dB/km at 1.55 µm
1979	Shimada et al. (Japan)	Fiber transmission over 100 km
1981	Beales et al. (UK)	Dispersion of less than 4 ps/km in single-mode fiber

#### Preface to the English Edition

The rate at which the technology of optical fiber communication is advancing continues unabated. Our understanding of the materials used, the number of fiber types available, and the range of applications continues to increase. Every year a new milestone in low attenuation or larger bandwidth seems to be attained, and the flow of publications has reached such a flood that few individuals can keep up with it. This means on the one hand that an authoritative, simple, but expert, introductory text is badly needed, but on the other that such a book is difficult to write. There is a great temptation to delay publication so that the latest results can be included, but if this approach is followed in such a fast-moving field as optical communications there is a danger that the manuscript will never be ready for publication.

In the present case the same dilemma faces the translator and editor, namely whether to change the Japanese text to take into account major recent advances. It is also necessary to consider how to make such changes without unduly superimposing our own views and styles. Another concern is whether we, who may be experts in optical communication but are not linguists, have rendered correctly the sense and intention of the authors without losing some subtleties of meaning in the transcription from Japanese to English, especially as these two languages are so different in style and construction.

In fact some changes have been made, mainly to the text but also to a few figures. We hope that suitable compromises have been reached and that the modifications and additions are, on the whole, beneficial. It seemed to us essential that the appeal of the Japanese version of this excellent introductory book by Professor Suematsu and Professor Iga, with its emphasis on physical and graphical explanations and a minimum of mathematical complexity, should be preserved. It has already run to eight editions and has been the subject of an award by the Institute of Electronics and Communication Engineers of Japan.

#### Preface to the English Edition

viii

We would like to thank H. Osanai and co-authors of reference 314, and T. Miya and co-authors of reference 353, as well as the editor of *Electronics Letters*, for allowing us to include Figure 5.3 and Figure 7.7, respectively, in the English edition. A considerable debt of gratitude is owed to Mrs. Janet Ditchfield, who typed several versions of the manuscript from handwritten scribblings, and performed much tedious but skilled work with the diagrams, as well as many other organizational tasks. Miss Nicki Pink has given similar invaluable assistance. Our grateful thanks also go to Mr. Issei Sasaki, Dr. M. J. Adams, and Commander R. S. Broom, who kindly provided most helpful comments on various parts of the manuscript.

W. A. GAMBLING H. MATSUMURA

## Preface to the First Japanese Edition

This is a textbook about optical communications using the optical fiber and is intended for students and younger scientists who will shoulder the responsibility for its future progress. The present stage of development of the principles of the optical waveguide, the operating principles and characteristics of optical sources such as the semiconductor laser and the light-emitting diode, modulation methods, optical detectors, optical circuits, characteristics of the optical fiber transmission line, and the optical information-transmission systems are discussed.

In a broad sense, the use of light for communication purposes began with the appearance of the first human beings. However, it is better to say that, during their existence, human beings have learned to make use of light very efficiently. Since the laser was invented in 1960, engineers have paid increasing attention to light as a means of information transmission, since it is capable of adaptation to the highly sophisticated requirements of modern civilization. The real possibility of widespread industrial application arose from the development after 1970 of small and efficient semiconductor lasers as well as low-loss optical fibers.

From the research carried out during these recent years, the optical fiber has been shown to be an information transmission line of very large capacity and to have a lower attenuation than any other transmission line. Optical fiber communication is a newly developed technique that has received considerable attention all over the world and has progressed very rapidly indeed.

The authors are fortunate in having been engaged in research in this field right from the beginning and have reported their results frequently in a number of journals.

The authors are grateful to those researchers who willingly gave us

#### x Preface to the First Japanese Edition

permission to use their results and who provided photographs and figures. The authors also express grateful thanks to Mr. Mori and Mr. Kuwayama of the Ohm publishing company for their encouragement.

Y. SUEMATSU K. IGA

## Preface to the Fourth Japanese Edition

The rapid progress in optical communication since the first edition was published has resulted in so many publications that our eyes have become strained in trying to read them all. As well as steady progress in all parts of the field, advances have especially taken place in the development of long-wavelength lasers and in wavelength multiplexing communication systems. Therefore, these topics, several references, and a few Appendixes, have been added. We wish to acknowledge our gratitude to a number-of readers who drew our attention to errors and misprints.

Y. SUEMATSU K. IGA

#### **Contents**

CHAPTE	CR 1. INTRODUCING OPTICAL	
COMMU	NICATION	1
1.1.	What is Optical Communication?	1
1.2.	Brief Early History of Optical Communications	3
1.3.	What Other Methods of Optical Transmission are	
	There?	5
	1.3.1. Simple Propagation of a Laser Beam	
	through the Atmosphere	6
	1.3.2. A Method Involving a Lens Waveguide	8
	1.3.3. The Optical Fiber Transmission Line	9
1.4.	What are the Advantages of Optical Fiber	
	Communication?	11
СНАРТЕ	CR 2. THE BASIC THEORY OF LIGHT	
GUIDING		13
2.1.	Refraction and Reflection Form the Basis of the	
	Optical Waveguide	13
2.2.	How Can Light be Guided?	16
2.3.	A Guided Wave can be Represented by Discrete	
	Modes	19
2.4.	Number of Modes	23
	What is Group Velocity?	26
2.6.	TE and TM Modes	30
	CR 3. PROPAGATION CHARACTERISTICS CUSING EFFECT OF AN OPTICAL	
WAVEG	UIDE	31
3.1.	What is a Graded-Index Waveguide?	31
	3.1.1. Guided Wave in a Graded-Index Waveguide	32

	~
WINT	Contents
XIV	Contents

	3.1.2. Number of Guided Modes in a Graded-Index	
	Waveguide	34
	3.1.3. Group Velocity in the Graded-Index	
	Waveguide	37
3.2.	Waveguides with an Arbitrary Refractive-Index	
	Distribution	37
3.3.	Single-Mode Waveguide	41
3.4.	Effect of Waveguide Bending	42
3.5.	The Effect of Irregularities in the Boundary	43
3.6.	Light Focusing	44
CHAPTE		2000
LASER (	OPERATION	47
4.1.	Basic Principles of Light Emission and Laser	
	Operation	47
	4.1.1. Mechanism of Light Emission	47
	4.1.2. Mechanisms of Amplification and Light	
	Oscillation	49
4.2.	Light Emission in Semiconductors and Light-	
	Emitting Diodes	51
	4.2.1. Mechanism of Light Emission in a	
	Semiconductor	51
	4.2.2. Light-Emitting Diode	55
4.3.	Principles of Laser Operation	56
	4.3.1. Oscillation Mechanism in Lasers	56
	4.3.2. Conditions for Laser Oscillation	59
	4.3.3. Double Heterojunction and Continuous	
	Operation at Room Temperature	60
4.4.	Semiconductor Lasers	62
	4.4.1. Operation of a Double-Heterostructure	
	Semiconductor Laser	62
	4.4.2. Oscillation Spectrum of a Semiconductor	
	Laser	66
	4.4.3. Fabrication of Double-Heterostructure	
	Semiconductor Lasers	66
4.5.	Characteristics of the Emitted Light	68
	4.5.1. The Meaning of Coherence	68
	4.5.2. Lasers and Coherence	71

Contents	xv

	R 5. OPTICAL SOURCES FOR FIBER	
COMMU	NICATION	72
5.1.	Requirements of Optical Sources for	
	Communications	72
	5.1.1. Primary Characteristics of Optical Sources	73
	5.1.2. Further Properties of an Optical Source	75
5.2.	Light Sources and the Propagation	
	Characteristics of Optical Fibers	77
5.3.	Types of Optical Sources	78
	5.3.1. GaAlAs Light-Emitting Diode	78
	5.3.2. Semiconductor Laser Diode (LD) of	
	GaAlAs	80
	5.3.3. Varieties of Stripe Geometry Structure	81
	5.3.4. Approach to Increased Reliability	83
	5.3.5. Output Power and Efficiency	84
	5.3.6. Thermal Characteristics of the GaAlAs DH	
	Laser	86
	Coupling to an Optical Fiber	86
5.5.	Semiconductor Optical Sources for Longer	
	Wavelengths	88
	5.5.1. GaInAs Devices	89
	5.5.2. GaAsSb Devices	89
	5.5.3. GaInAsP Devices	90
	Solid-State Crystal Lasers	90
5.7.	Improved Semiconductor Lasers	93
CHAPTE		
OPTICA	L INTEGRATED CIRCUITS	96
6.1.	What is Optical Modulation?	96
6.2.	Direct Modulation of the Semiconductor Laser	98
	6.2.1. Cavity Resonance	100
	6.2.2. Spurious Pulsing Near the Resonance	
	Frequency	101
	6.2.3. Relaxation Oscillation	101
	6.2.4. Effect of Carrier Accumulation on Pulse	
	Modulation	101
	Direct Modulation of the Light-Emitting Diode	106
6.4.	External Modulation	107

		6.4.1. Phase Modulation	107
		6.4.2. Waveguide Modulators	108
	6.5.	Optical Detectors	109
		6.5.1. Conversion from an Optical to an	
		Electrical Signal	109
		6.5.2. Requirements of Optical Detectors	110
		6.5.3. The Principle of the Avalanche Photodiode	
		(APD)	110
		6.5.4. Avalanche Amplification	113
	6.6.	General Introduction to Optical Integrated	
		Circuits	113
	6.7.	Waveguides for Optical Integrated Circuits	115
		Passive Waveguide Circuits	116
		6.8.1. Filter	116
		6.8.2. One-Directional Waveguide	117
	6.9.	_	118
		6.9.1. Integrated Laser	118
		6.9.2. Waveguide Modulator and Deflector	118
		6.9.3. Waveguide Detector	119
		6.9.4. Optical Parametric Waveguide	119
		6.9.5. Waveguide with Memory Action	120
	6.10	. The Future of Optical Integrated Circuits	120
CH.	APTE	R 7. OPTICAL FIBER TRANSMISSION LINES	121
	7 1	Types of Optical Fibers and their Characteristics	121
		Fundamental Parameters of Optical Fibers	121
	7.2.	7.2.1. Circularly Cylindrical Fibers	122
		7.2.2. Propagating Modes of a Step-Index Fiber	124
		7.2.3. Graded-Index Fibers	124
	73	Materials and Fabrication Methods for Optical	120
	1.5.	Fibers	130
		7.3.1. Silica Glass Fibers	130
		7.3.2. Multicomponent Glass Fibers	134
	7.4.		135
		7.4.1. Losses Due to Absorption and Scattering	135
		7.4.2. Losses Due to Bending and Scattering at	155
		the Core/Cladding Boundary	136
		7.4.3. Losses Due to Jointing	138
	7.5.	Methods of Measuring the Refractive-Index	150
	_s_ucreniti	Distribution	138
			-20

	Contents	XVII
7.6	Transmission Bandwidth of Optical Fibers	141
7.0.	7.6.1. Factors Restricting the Bandwidth	141
	7.6.2. Material Dispersion	142
	7.6.3. Waveguide Dispersion	144
	7.6.4. Multimode Dispersion	145
	7.6.5. Effect of Mode Coupling and Mode-	
	Dependent Loss on the Bandwidth	147
	7.6.6. Examples of Transmission Characteristics	149
7.7.		152
	ER 8. OPTICAL COMMUNICATION SYSTEMS	
AND AP	PLICATIONS	155
8.1.	Characteristics of Optical Fiber Communication	
	Systems	155
	8.1.1. Comparison with Existing Wire Systems	155
	8.1.2. Characteristics and Applications of Optical	
	Fiber Communication	157
8.2.	Transmission Distance with Optical Fibers	159
	8.2.1. Outline of the Transmission System	159
	8.2.2. Minimum Receiver Power	159
	8.2.3. Transmission Distance	161
	8.2.4. Transmission Distances Available with	
	Various Systems	162
8.3.	The state of the s	
	Techniques	165
	8.3.1. Optical Pulse-Interval Modulation (PIM)	165
	8.3.2. PCM Optical Transmission	166
	8.3.3. Optical Fiber Communication in an	1.75
	Electrical Power System	167
	8.3.4. Instrumentation and Control with Optical Fibers	1.00
Q 1	1100.0	169
0.4.	Wavelength Multiplexing	171
	IX 1. RAY TRAJECTORY IN A PARABOLIC-	
	VAVEGUIDE [DERIVATION OF EQ. (3.4)]	172
APPEND A PARA	IX 2. PHASE CHANGE OVER ONE PERIOD IN BOLIC-INDEX WAVEGUIDE (DERIVATION OF	
EQ. (3.9)		174