

Theoretical Aspects for PMD Understanding

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Outline

- Introduction
- Propagation of polarized light & SOP
- PMD vector



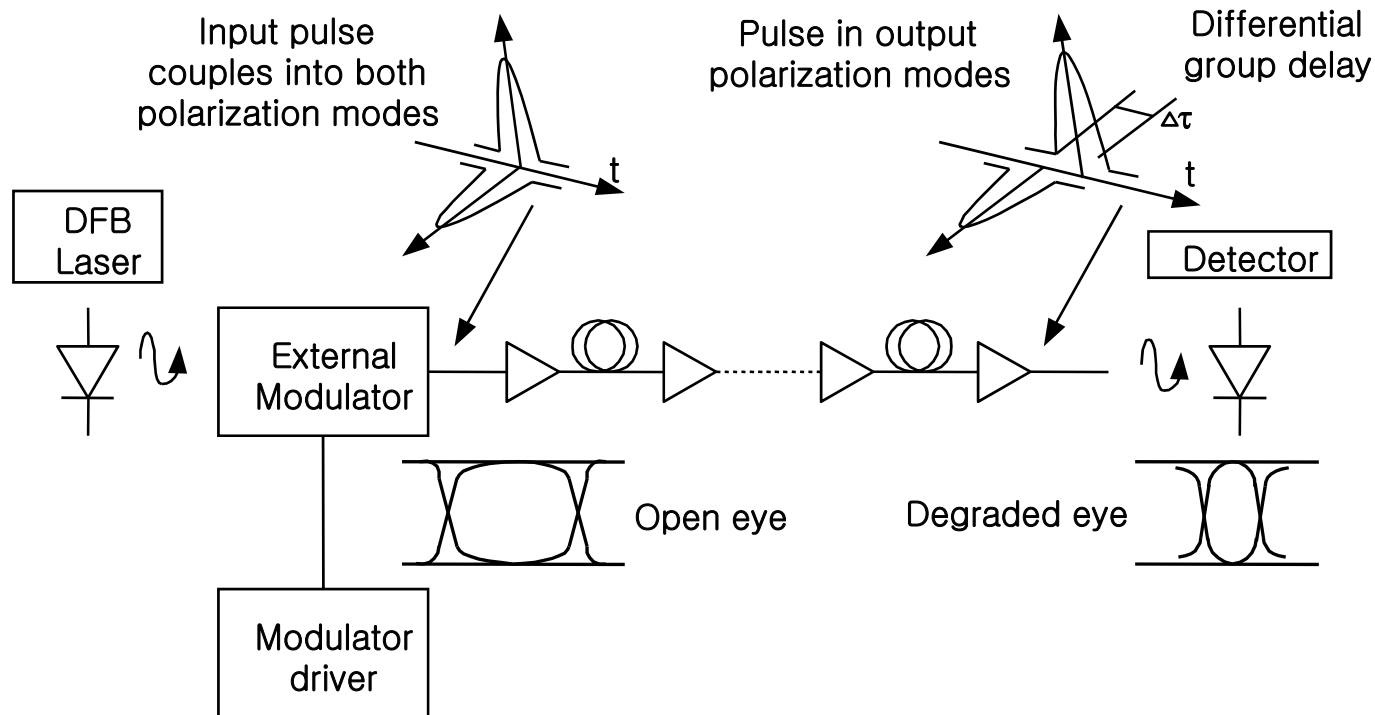
Introduction

- Bit rate of a single channel in WDM system tends to increase.
- Polarization mode dispersion (PMD) turns out to be the ultimate obstacle to the bit rate increase.
- Power penalty due to the PMD increases quadratically as the bit rate increases.
- Due to the higher-order components and the stochastic characteristics of the PMD, each channel in WDM system needs to be compensated separately in dynamic manner.
- To fully understand the PMD representation methods, some theoretical (mathematical) background is needed.



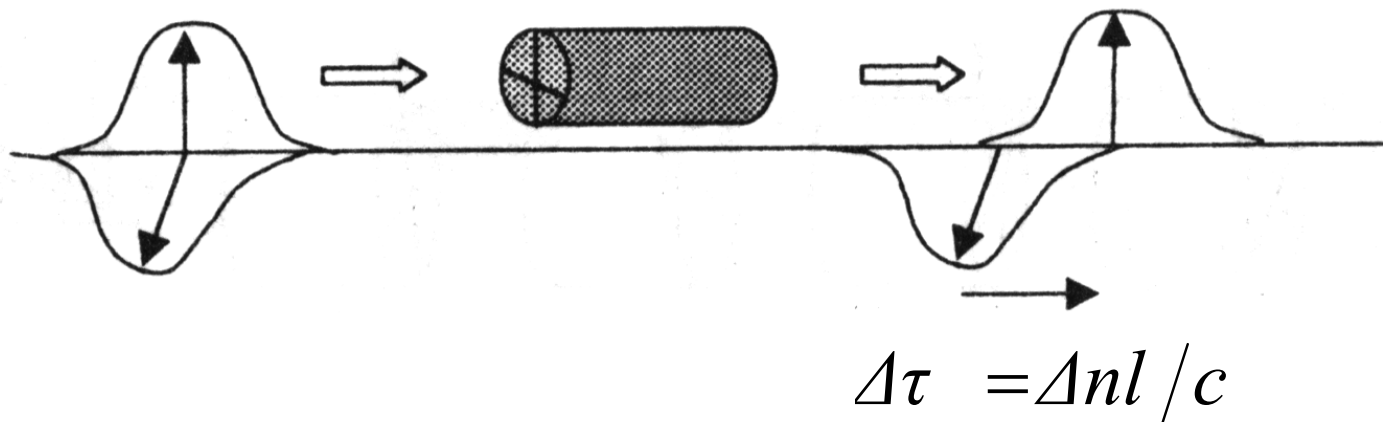
PMD

- **DGD $\Delta\tau$: Differential group delay between two polarization modes**
- **The effect of PMD in a digital communication system**
→ **Pulse Broadening**

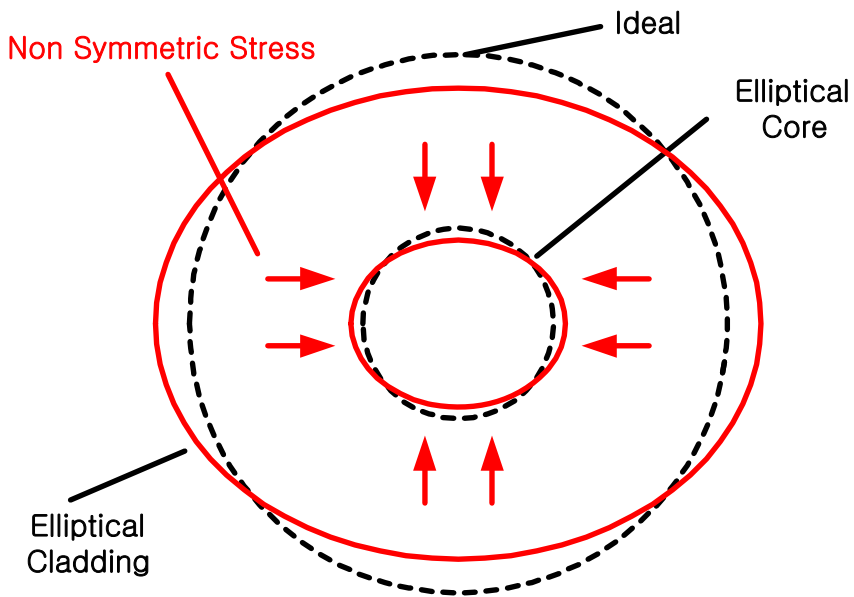


Origins of PMD

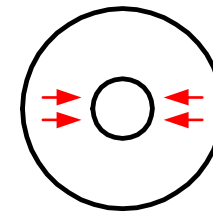
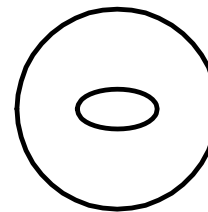
- PMD caused by local birefringence of the fiber
 - The intrinsic fiber core eccentricity
 - The stress induced by environmental factors



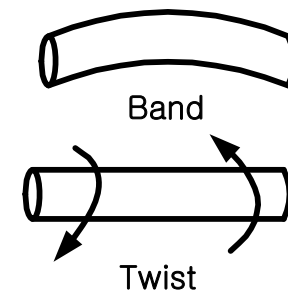
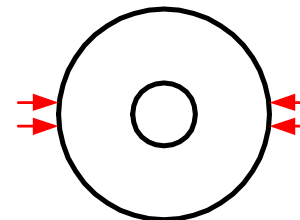
Causes of Birefringence



- Intrinsic : Oval waveguide

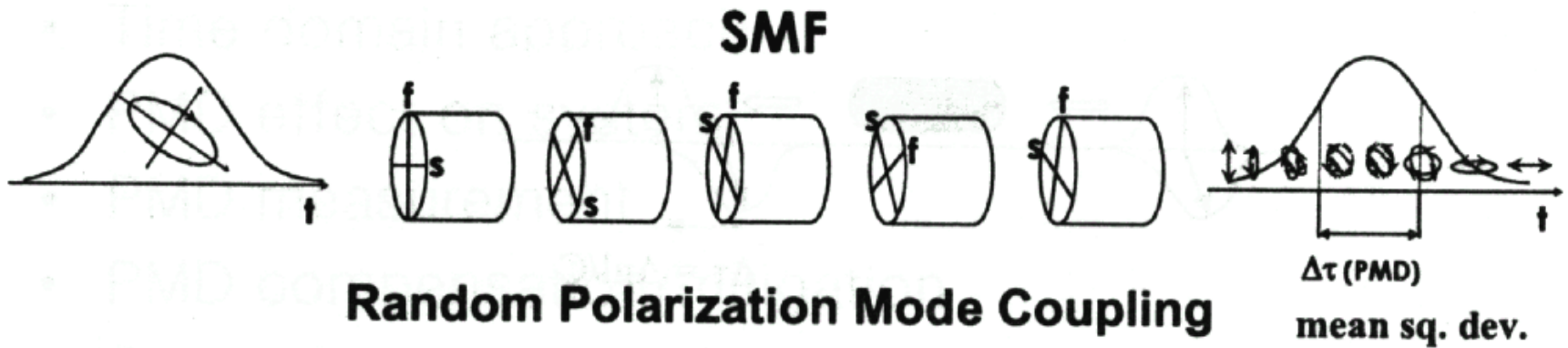


- Extrinsic : Mechanical stress



Realistic Model of Fiber

- Multiple concatenation of randomly oriented birefringent elements



Polarized Light – Jones Vector

- For TEM waves, E field is represented by

$$E = f(t) \left(a_x e^{i\phi_x} \hat{x} + a_y e^{i\phi_y} \hat{y} \right)$$

- Complex Jones vector

$$\begin{pmatrix} a_x e^{j\phi_x} \\ a_y e^{j\phi_y} \end{pmatrix} = \begin{pmatrix} s_x \\ s_y \end{pmatrix} \quad \longrightarrow \quad E = f(t) \begin{pmatrix} s_x \\ s_y \end{pmatrix} \quad s_x s_x^* + s_y s_y^* = 1$$

- Bra-ket notation of Jones vector

$$\boxed{|s\rangle \equiv \begin{pmatrix} s_x \\ s_y \end{pmatrix}, \quad \langle s| \equiv (s_x^*, s_y^*)} \quad \longrightarrow \quad \begin{aligned} E &= f |s\rangle \\ \langle s|s\rangle &= 1 \end{aligned}$$



Polarized Light – Stokes Vector

- Poincare sphere & Stokes vector

$$\hat{s} = \begin{pmatrix} s_1 \\ s_2 \\ s_3 \end{pmatrix}$$

$$s_1 = \frac{a_x^2 - a_y^2}{a_x^2 + a_y^2} = s_x s_x^* - s_y s_y^*$$

$$s_2 = \frac{2a_x a_y \cos \delta}{a_x^2 + a_y^2} = s_x s_y^* + s_x^* s_y$$

$$s_3 = \frac{2a_x a_y \sin \delta}{a_x^2 + a_y^2} = j(s_x s_y^* - s_x^* s_y)$$

$$s_1^2 + s_2^2 + s_3^2 = 1$$



Relation between Jones Vector and Stokes Vector

- 2 X 2 Pauli spin matrix

$$\sigma_1 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}, \quad \sigma_2 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}, \quad \sigma_3 = \begin{pmatrix} 0 & -j \\ j & 0 \end{pmatrix}$$

- Stokes vector vs. Jones vector

$$s_i = \langle s | \sigma_i | s \rangle, \quad i = 1, 2, 3$$

- Pauli spin vector

$$\vec{\sigma} \equiv (\sigma_1, \sigma_2, \sigma_3) \longrightarrow \boxed{\hat{s} = \langle s | \vec{\sigma} | s \rangle}$$



Properties of Pauli Spin Matrices I

$$\sigma_i = \sigma_i^+, \quad \sigma_i^+ = \sigma_i^{-1}$$

$$\sigma_i^2 = I, \quad \sigma_p \sigma_q = -\sigma_q \sigma_p = j \sigma_r$$

$$\vec{\sigma}(\vec{a} \cdot \vec{\sigma}) = \vec{a}I + j\vec{a} \times \vec{\sigma}$$

$$(\vec{a} \cdot \vec{\sigma})\vec{\sigma} = \vec{a}I - j\vec{a} \times \vec{\sigma}$$

$$(\vec{a} \cdot \vec{\sigma})(\vec{a} \cdot \vec{\sigma}) = a^2 I$$

$$(\vec{a} \cdot \vec{\sigma})(\vec{b} \cdot \vec{\sigma}) = (\vec{a} \cdot \vec{b})I + j(\vec{a} \times \vec{b}) \cdot \vec{\sigma}$$



Properties of Pauli Spin Matrices II

- Any 2 x 2 matrix may be expanded with Pauli spin matrices and identity matrix

$$M = a_0 I + a_1 \sigma_1 + a_2 \sigma_2 + a_3 \sigma_3 = a_0 I + \vec{a} \cdot \vec{\sigma}$$

$$a_0 = \frac{1}{2} \text{Tr}(M), \quad a_i = \frac{1}{2} \text{Tr}(\sigma_i M)$$

– For Hermitian matrices, the coefficients are real.

- Trace of a matrix

$$\text{Tr}(M) = \sum_i m_{ii} = \sum_i \lambda_i$$



Properties of Pauli Spin Matrices III

- Some practical usage of Pauli spin vector

$$\langle s | \vec{a} \cdot \vec{\sigma} | s \rangle = \vec{a} \cdot \langle s | \vec{\sigma} | s \rangle = \vec{a} \cdot \hat{s}$$

$$\langle s | \vec{a} \times \vec{\sigma} | s \rangle = \vec{a} \times \langle s | \vec{\sigma} | s \rangle = \vec{a} \times \hat{s}$$

$$\langle s | R \vec{\sigma} | s \rangle = R \langle s | \vec{\sigma} | s \rangle = R \hat{s}$$



Transmission Matrices

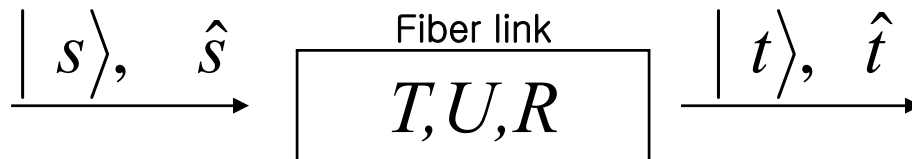
- Assuming no polarization-dependent loss exists and fiber's loss is factored out, we can describe a fiber with a unitary transmission matrix.

- 2 x 2 Jones matrix

$$|t\rangle = T|s\rangle = e^{j\phi_0} U|s\rangle$$

- 3 x 3 Mueller matrix

$$\hat{t} = R\hat{s}$$



Unitary, Hermitian Matrices

- Definition of unitary matrix

$$MM^+ = I, \quad \det(M) = 1$$

where $^+$ denotes Hermitian conjugate.

- Definition of Hermitian matrix

$$M = M^+$$

– Hermitian matrices have all real eigenvalues.



Property of Transmission Matrix I

- Projection operator

$$|s\rangle\langle s| = \begin{pmatrix} s_x \\ s_y \end{pmatrix} (s_x^*, s_y^*) = \begin{pmatrix} s_x s_x^* & s_x s_y^* \\ s_y s_x^* & s_y s_y^* \end{pmatrix} = \frac{1}{2} (I + \hat{s} \cdot \vec{\sigma})$$

where $\hat{s} = \langle s | \vec{\sigma} | s \rangle$

$$|s\rangle = \hat{s} \cdot \vec{\sigma} |s\rangle$$

- Dot products

$$\langle p|q\rangle\langle q|p\rangle = \frac{1}{2} (I + \hat{p} \cdot \hat{q})$$

If $\langle p|q\rangle = 0$ i.e., $|p\rangle \perp |q\rangle$, then $\hat{p} = -\hat{q}$



Property of Transmission Matrix II

- Conservation of dot products

$$|p_0\rangle = T|p_i\rangle, \quad |q_0\rangle = T|q_i\rangle$$

$$\langle p_0|q_0\rangle = \langle p_i|T^+T|q_i\rangle = \langle p_i|q_i\rangle \quad (\because T^+T = I)$$

$$\text{From } \langle q_i|p_i\rangle\langle p_i|q_i\rangle = \frac{1}{2}(I + \hat{p}_i \cdot \hat{q}_i), \quad \langle q_0|p_0\rangle\langle p_0|q_0\rangle = \frac{1}{2}(I + \hat{p}_0 \cdot \hat{q}_0)$$

$$\hat{p}_0 \cdot \hat{q}_0 = \hat{p}_i \cdot \hat{q}_i$$

- Dot products of vectors are conserved during transmission through fiber.
- Therefore, *the transmission through fiber is represented by a rotation of the Stokes vectors.*



Connection between U and R

$$|t\rangle = U|s\rangle$$

$$\hat{t} = R\hat{s} = R\langle s|\vec{\sigma}|s\rangle = \langle s|R\vec{\sigma}|s\rangle$$

$$\hat{t} = \langle t|\vec{\sigma}|t\rangle = \langle s|U^+\vec{\sigma}U|s\rangle$$

$$\Rightarrow R\vec{\sigma} = U^+\vec{\sigma}U$$



Rotational Form of Jones Matrix I

- Recall projection operator

$$|s\rangle\langle s| = \frac{1}{2}(I + \hat{s} \cdot \vec{\sigma}), \quad \text{where } \hat{s} = \langle s|\vec{\sigma}|s\rangle$$

- Consider a pair of orthogonal Jones vectors $|p\rangle, |p_{-}\rangle$, and corresponding Stokes vectors $\hat{p}, -\hat{p}$.

$$\langle p_{-}|p\rangle = 0$$

$$|p\rangle\langle p| = \frac{1}{2}(I + \hat{p} \cdot \vec{\sigma}), \quad |p_{-}\rangle\langle p_{-}| = \frac{1}{2}(I - \hat{p} \cdot \vec{\sigma})$$

$$|p\rangle\langle p| + |p_{-}\rangle\langle p_{-}| = I$$

- Any pair of orthogonal vectors forms a complete orthogonal set in Jones space.



Rotational Form of Jones Matrix II

- Since $UU^+=\mathbf{I}$ and $\det(U)=1$, the eigenvalues of U must be of unit magnitude and their product must be unity.

- Consequently

$$U = e^{-j\varphi/2}|r\rangle\langle r| + e^{j\varphi/2}|r_{-}\rangle\langle r_{-}|,$$

where $|r\rangle$ and $|r_{-}\rangle$ are eigenvectors (and $\langle r_{-}|r\rangle = 0$).

- Recalling the projection operator, we can rewrite

$$U = I \cos(\varphi/2) - j\hat{r} \cdot \vec{\sigma} \sin(\varphi/2)$$

- From the property of Pauli spin matrix

$$U = e^{-j(\varphi/2)\hat{r} \cdot \vec{\sigma}}$$



Rotational form in Stokes Space

$$U^+ \vec{\sigma} U = (\cos \varphi) \vec{\sigma} + (1 - \cos \varphi) \hat{r} (\hat{r} \cdot \vec{\sigma}) + (\sin \varphi) \hat{r} \times \vec{\sigma}$$

From $R \vec{\sigma} = U^+ \vec{\sigma} U$

$$R = (\cos \varphi) I + (1 - \cos \varphi) \hat{r} \hat{r} + (\sin \varphi) \hat{r} \times = \hat{r} \hat{r} + (\sin \varphi) \hat{r} \times - (\cos \varphi) (\hat{r} \times) (\hat{r} \times)$$

where $\hat{r} \hat{r} = \begin{pmatrix} r_1 \\ r_2 \\ r_3 \end{pmatrix} (r_1, r_2, r_3) = \begin{pmatrix} r_1 r_1 & r_1 r_2 & r_1 r_3 \\ r_2 r_1 & r_2 r_2 & r_2 r_3 \\ r_3 r_1 & r_3 r_2 & r_3 r_3 \end{pmatrix}$ $\hat{r} \times = \begin{pmatrix} 0 & -r_3 & r_2 \\ r_3 & 0 & -r_1 \\ r_2 & r_1 & 0 \end{pmatrix}$

Using $(\hat{r} \times) (\hat{r} \times) = -I + \hat{r} \hat{r}$, $(\hat{r} \times) (\hat{r} \times) (\hat{r} \times) = -\hat{r} \times$

$$R = e^{\varphi (\hat{r} \times)}$$

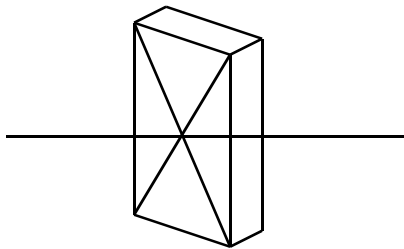


Poincare Sphere Representation of R

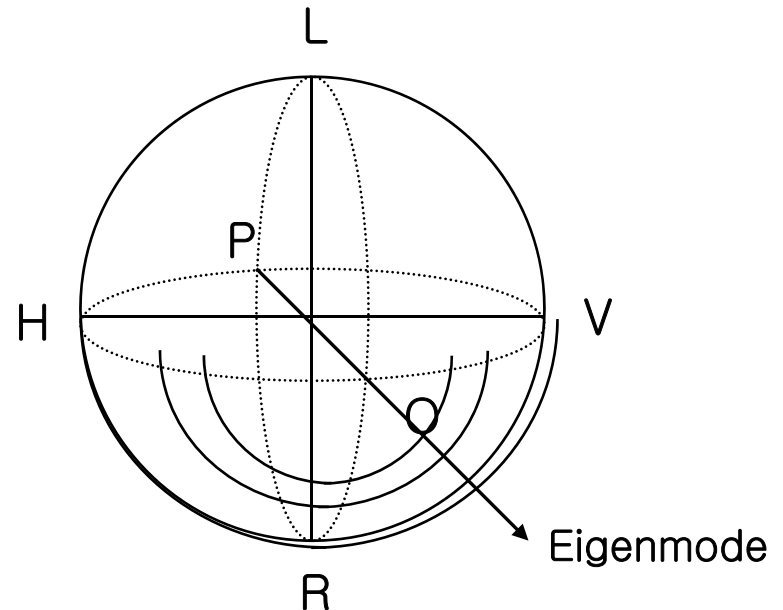
- The behavior of birefringence is described by a rotation on the Poincare sphere.

$$\hat{t} = R\hat{s}, \quad R = e^{\varphi(\hat{r}_x)}$$

Retarder



$$\delta = \frac{2\pi}{\lambda} \Delta n l, \quad \varphi = \delta$$



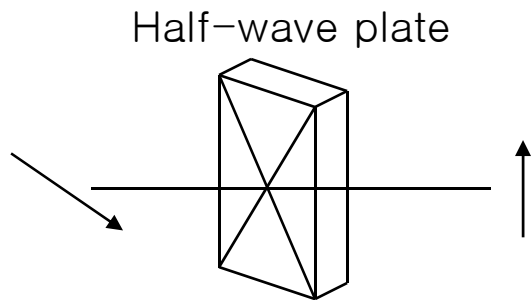
PMD Vector

- Contents
 - Frequency dependency of output SOP
 - Concept of PSP
 - Jones matrix eigenvector analysis
 - Pauli spin vector expansion
 - Mueller matrix expression
 - Input PMD vector
 - Evolution of PMD vector



Frequency Dependency of Output SOP I

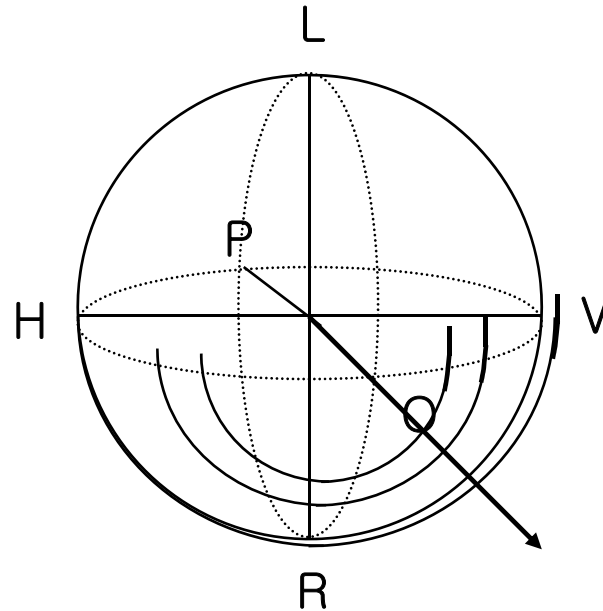
- Single birefringent element



$$\delta = \frac{2\pi}{\lambda} \Delta n l = \frac{2\pi c}{\lambda} \frac{\Delta n l}{c} = \omega \Delta \tau$$

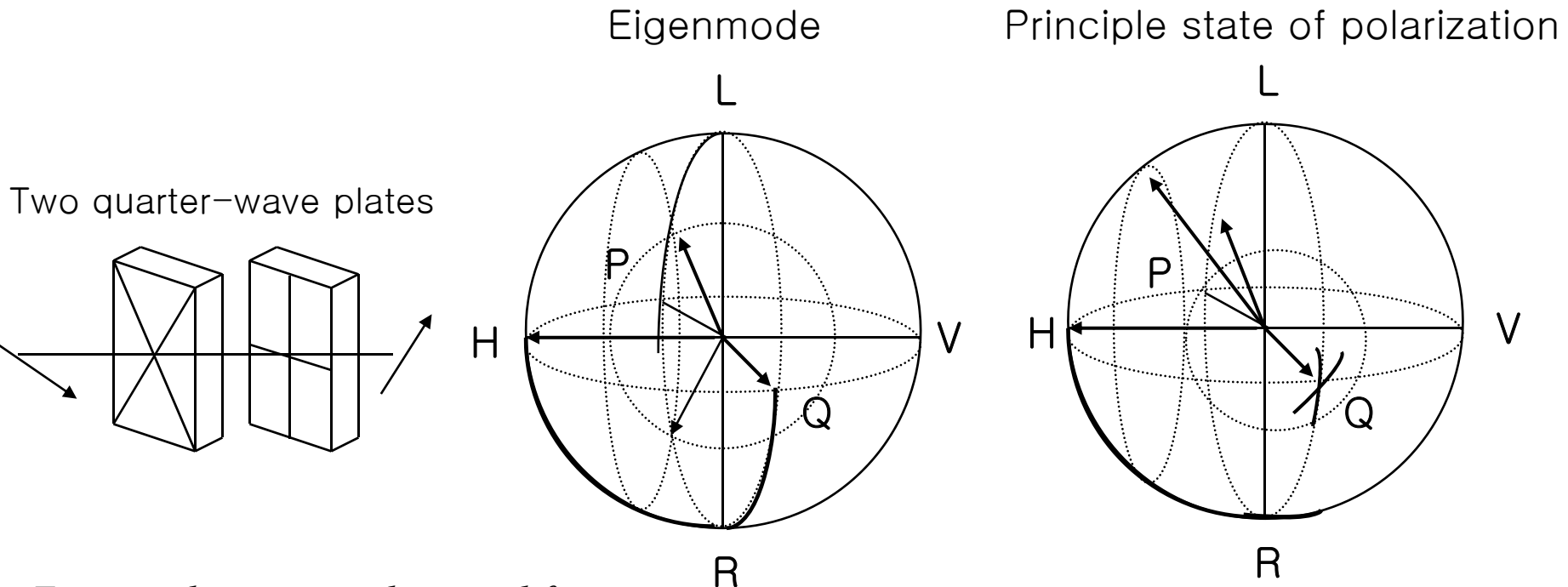
$$\Delta \delta = \Delta \omega \Delta \tau$$

- *If an input SOP is aligned to the eigenmode, the output SOP does not vary with optical frequency.*



Frequency Dependency of Output SOP II

- Two birefringent elements



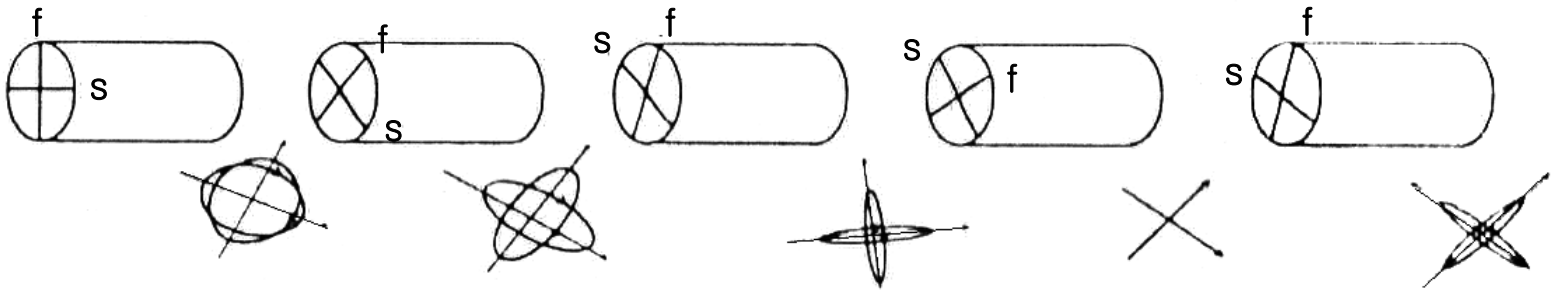
- *Eigenmode varies with optical frequency.*

- *There exist input/output SOPs that are invariant with optical frequency to first-order.*



Frequency Dependency of Output SOP III

- Multiple birefringent elements: fiber link

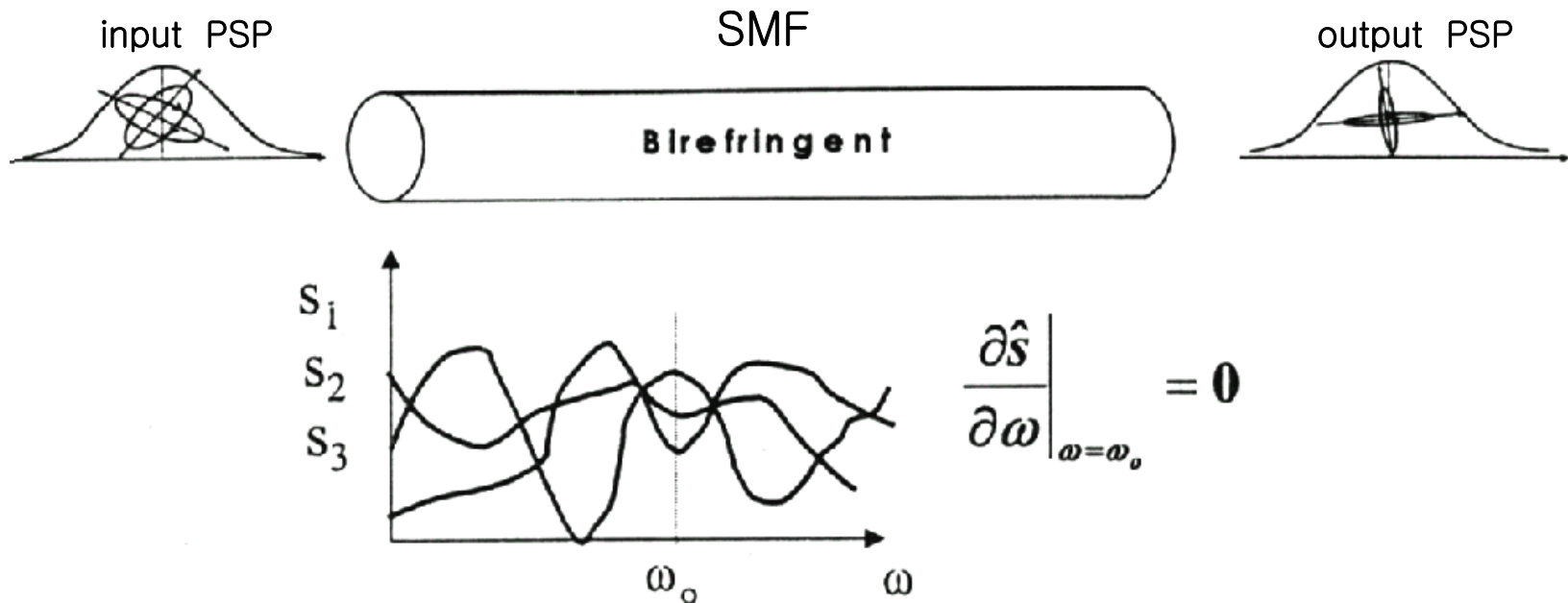


- Question : *Are there such input/output SOPs that are invariant with optical frequency to first-order even in fiber link? If so, how can we find them?*



Principal State of Polarization

- It has been found empirically that there always exist such SOPs that are invariant with optical frequency to first-order when traveling through linear birefringent medium.



Jones Matrix Eigenvector Analysis I

- Eigenvalue equation from the definition of PSP

$$|t\rangle = e^{-j\phi_0} U |s\rangle \quad |t\rangle_\omega = -j \left(\frac{d\phi_0}{d\omega} + jU_\omega U^+ \right) |t\rangle$$

$$\text{Let } |t\rangle = e^{-j\phi} |(|t|)\rangle$$

For PSP,

$$|t\rangle_\omega = -j \frac{d\phi}{d\omega} e^{-j\phi} |(|t|)\rangle = -j \frac{d\phi}{d\omega} |t\rangle \quad (\because |(|t|)\rangle_\omega = 0)$$

$$\text{Then } (\tau_g - \tau_0) |t\rangle = jU_\omega U^+ |t\rangle, \quad \text{where } \tau_g = \frac{d\phi}{d\omega}, \tau_0 = \frac{d\phi_0}{d\omega}$$

– τ_0 is a common delay and τ_g is a group delay.



Jones Matrix Eigenvector Analysis II

- $jU_\omega U^\dagger$ is a Hermitian matrix.

$$UU^\dagger = I$$

$$(UU^\dagger)_\omega = 0 \Rightarrow U_\omega U^\dagger = -UU_\omega^\dagger$$

$$\therefore jU_\omega U^\dagger = -jUU_\omega^\dagger = (jU_\omega U^\dagger)^\dagger$$

- A Hermitian matrix has real eigenvalues and their eigenvectors are orthogonal.

- Frequency expansion of U

$$U(\omega + d\omega) = U + d\omega U_\omega = (I + d\omega U_\omega U^\dagger)U$$

– Since $\det(U(\omega)) = \det(U(\omega + d\omega)) = 1$, $\text{Tr}(U_\omega U^\dagger)$ should be zero.



Jones Matrix Eigenvector Analysis III

- Therefore, eigenvalues of $jU_{\omega}U^+$ are given by

$$\boxed{(\tau_g - \tau_0) = \pm \tau/2}$$

- Now, we have two orthogonal PSP's $|p\rangle$, $|p_{-}\rangle$ whose relative delays are $\tau/2$, $-\tau/2$.
- The directions of PSPs do not vary with frequency to first-order.
- PMD vector is defined as

$$\boxed{\vec{\tau} = \tau \hat{p}}$$

$$\boxed{\vec{\Omega} = \tau \hat{p}}$$

- The magnitude of PMD vector is differential group delay (DGD) between the slow and the fast PSPs, and its direction represents the slow PSP.



Pauli Spin Matrix Expansion

- If we expand $jU_\omega U^+$ with Pauli spin vector, we obtain $jU_\omega U^+ = \frac{1}{2} \vec{a} \cdot \vec{\sigma}$ since $\text{Tr}(jU_\omega U^+) = 0$.

- Previously, we know that

$$jU_\omega U^+ |p\rangle = \frac{1}{2} \tau |p\rangle$$

- Substituting the Pauli spin vector expansion into the eigenvalue equation, we obtain

$$\vec{a} \cdot \vec{\sigma} |p\rangle = \tau |p\rangle$$

- This implies $\vec{a} = \tau \hat{p} = \vec{\tau}$

- Consequently, we obtain

$$jU_\omega U^+ = \frac{1}{2} \vec{\tau} \cdot \vec{\sigma}$$



Mueller Matrix Expression I

- From $|t\rangle = e^{-j\phi_0}U|s\rangle$, we obtain

$$|t\rangle_\omega = -j(\tau_0 + jU_\omega U^+)|t\rangle = -j\left(\tau_0 + \frac{1}{2}\vec{\tau} \cdot \vec{\sigma}\right)|t\rangle$$

- From $\hat{t} = \langle t|\vec{\sigma}|t\rangle$, we obtain

$$\hat{t}_\omega = \langle t|_\omega \vec{\sigma} |t\rangle + \langle t|\vec{\sigma}(|t\rangle)_\omega$$

- Substituting the first equation in the second one and using the properties of Pauli spin vector, we obtain

$$\boxed{\hat{t}_\omega = \vec{\tau} \times \hat{t}}$$



Mueller Matrix Expression II

- Mueller Matrix vs. PMD vector

$$\hat{t} = R\hat{s}$$

$$\hat{t}_\omega = R_\omega\hat{s} = R_\omega R^+\hat{t}$$

$$\hat{t}_\omega = \vec{\tau} \times \hat{t}$$

$$\Rightarrow \boxed{\vec{\tau} \times = R_\omega R^+}$$



Input PMD vector

- From the output PSP and output PMD vector, input PSP and input PMD vector are defined as

$$\boxed{|p_i\rangle = T^+ |p_0\rangle, \quad \vec{\tau}_i = R^+ \vec{\tau}_0}$$

- Matrix operator transform through transmission matrix.

$$M_0 = TM_i T^+$$

- Transmission matrix vs. input PMD vector

$$\boxed{\vec{\tau}_i \cdot \vec{\sigma} = U^+ \vec{\tau}_0 \cdot \vec{\sigma} U = 2jU^+ U_\omega}$$

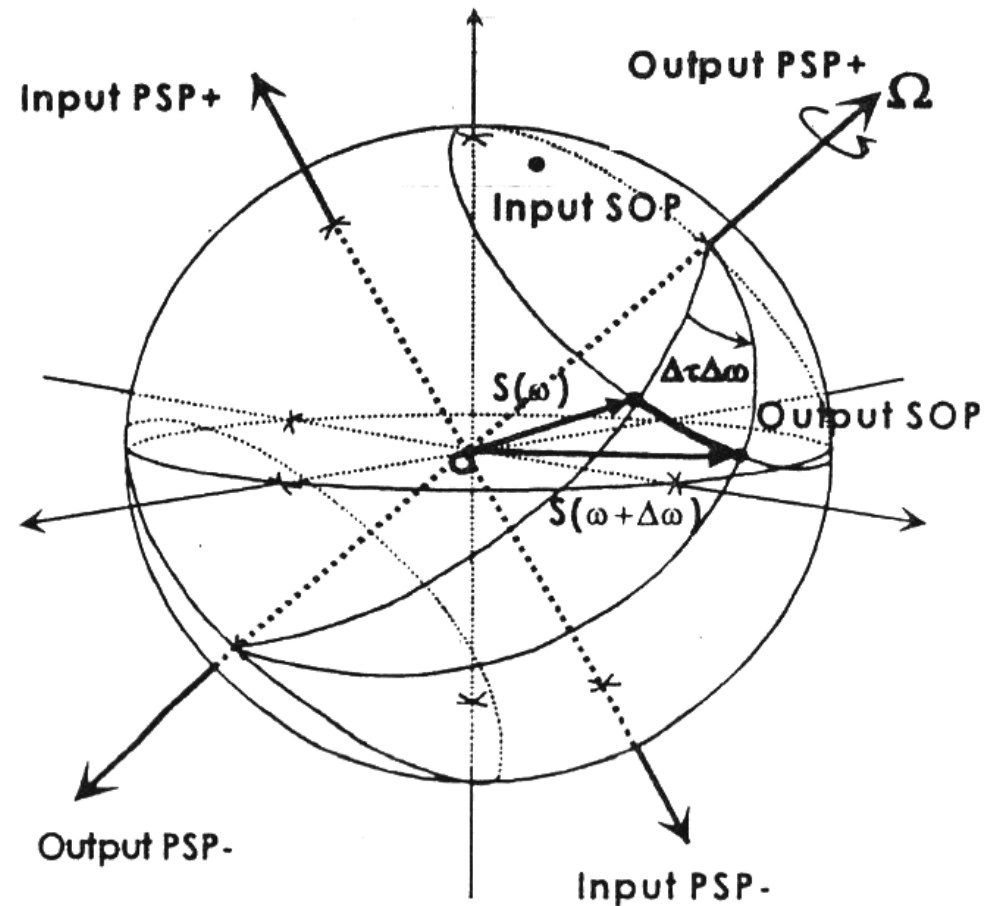


Implication of PMD vector

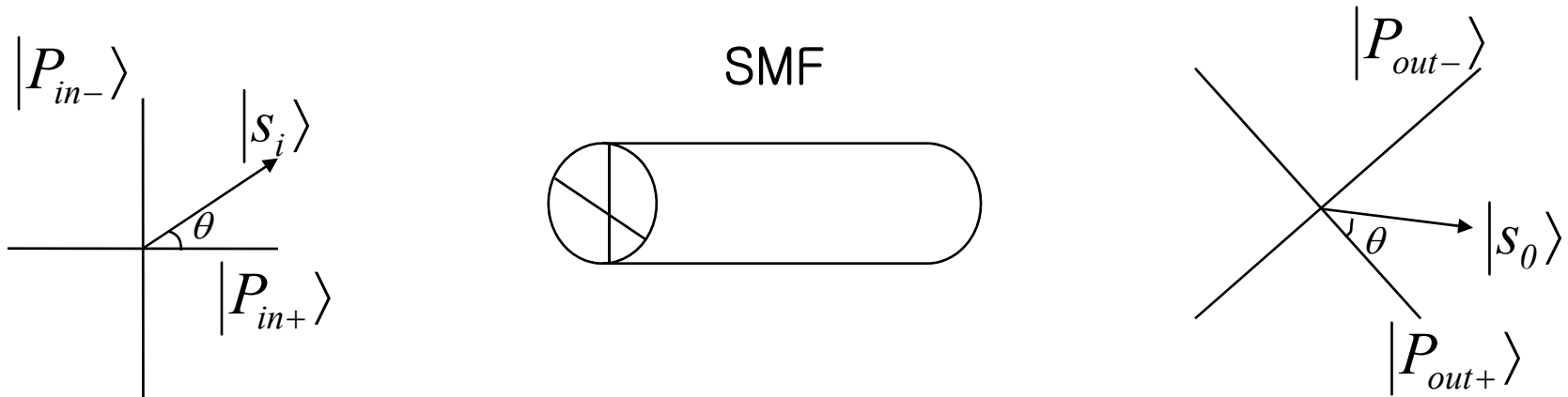
- PMD vector

$$\frac{\partial \hat{S}_{out}}{\partial \omega} = \vec{\tau} \times \hat{S}_{out}$$

- For small signal bandwidth, spectral resolved output SOP will form a part of circle about the PMD vector.



Meaning of PSP



$$\vec{E}_{out}(t) = c_+ |p_{out+}\rangle E_{in}\left(t + \frac{\tau}{2}\right) + c_- |p_{out-}\rangle E_{in}\left(t - \frac{\tau}{2}\right)$$

where

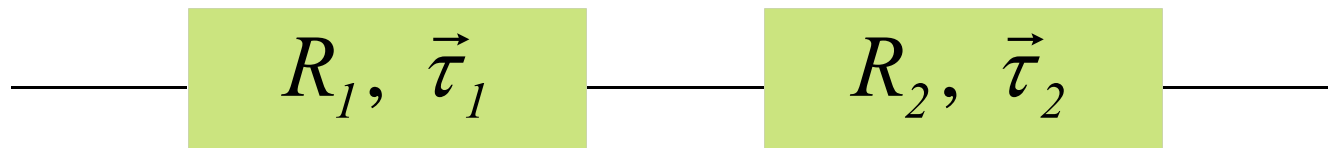
$$\vec{E}_{in} = E_{in} |e_{in}\rangle, \quad c_{\pm} = \langle p_{in\pm} | e_{in} \rangle$$

If the PSPs are known, the SMF can be treated as a simple birefringent medium to first-order.



PMD Vector Concatenation

- Concatenation of two PMD elements



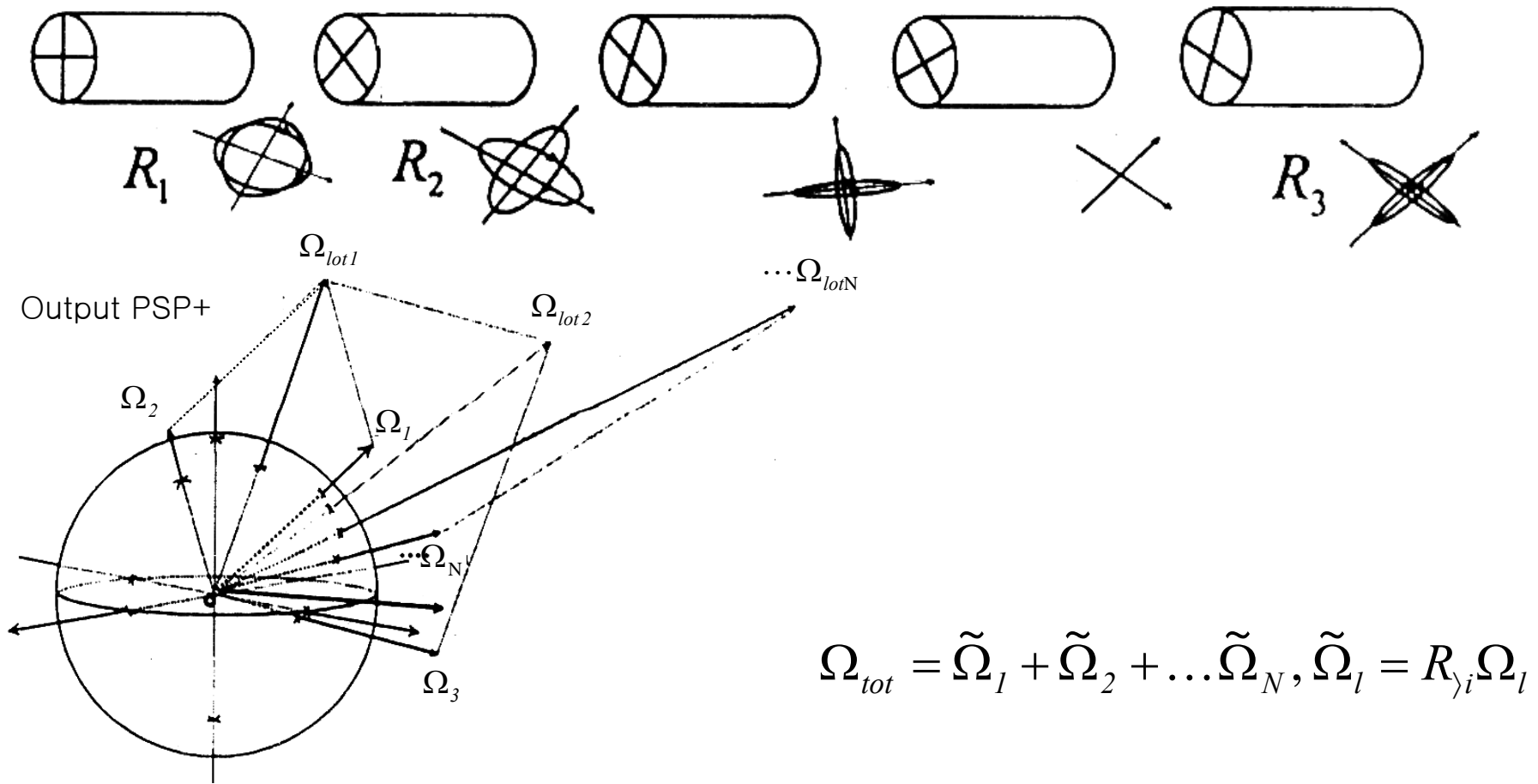
$$R_{tot} = R_2 R_1$$

$$\vec{\tau}_{tot} \times = (R_2 R_1)' (R_2 R_1)^{-1} = R_2' R_2^{-1} + R_2 R_1' R_1^{-1} R_2^{-1} = (\vec{\tau}_2 + R_2 \vec{\tau}_1) \times$$

$$\longrightarrow \boxed{\vec{\tau}_{tot} = \vec{\tau}_2 + R_2 \vec{\tau}_1}$$



Evolution of PMD vector



Dynamic Equation for PMD vector

$$\frac{\partial \hat{s}}{\partial l} = W(l, \omega) \times \hat{s}$$

$$\frac{\partial \hat{s}}{\partial \omega} = \vec{\tau}(l, \omega) \times \hat{s}$$

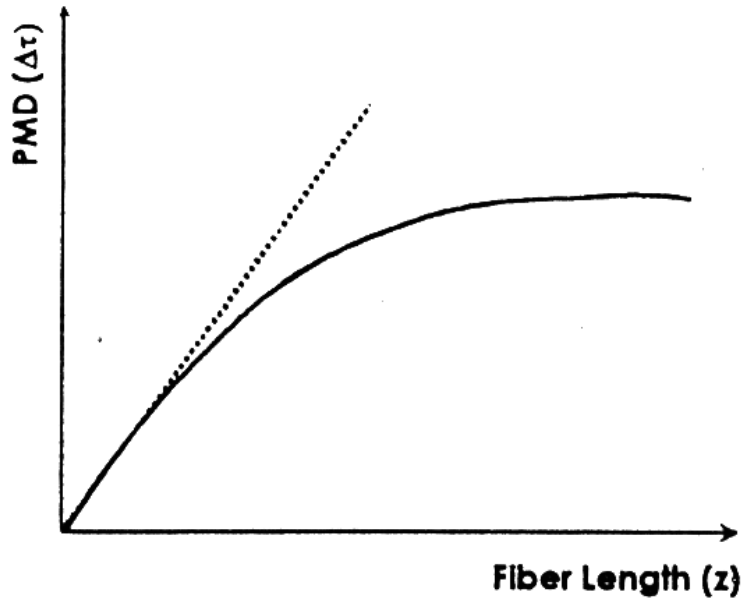
$$\Rightarrow \frac{\partial \vec{\tau}}{\partial l} = \frac{\partial W}{\partial \omega} + W \times \vec{\tau}$$

- W is a randomly varying birefringence vector.
- The statistical behavior of the PMD can be described by solving the dynamic equation with the martingale differential equation method.



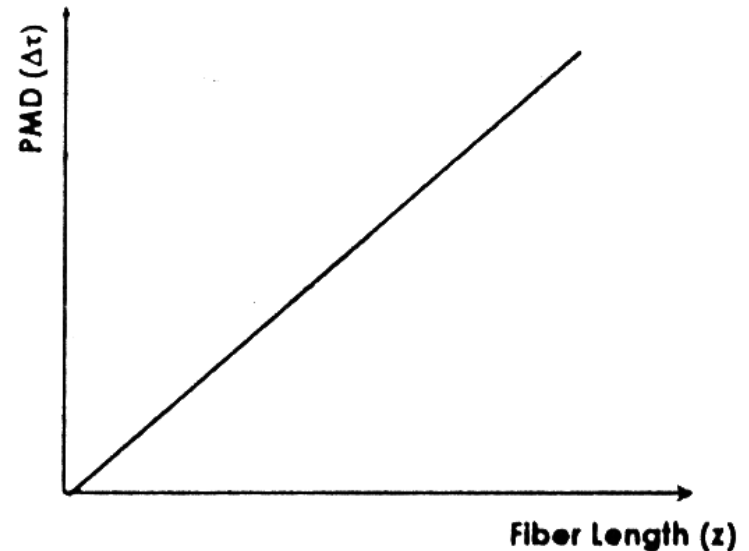
PMD vs. fiber length

$$(\Delta\tau)^2 = \langle \tau^2 \rangle - \langle \tau \rangle^2 = \frac{\Delta\beta^2}{2h^2} (e^{-2hz} - 1 + 2hz)$$



Negligible
Mode Coupling

Extensive
Mode Coupling



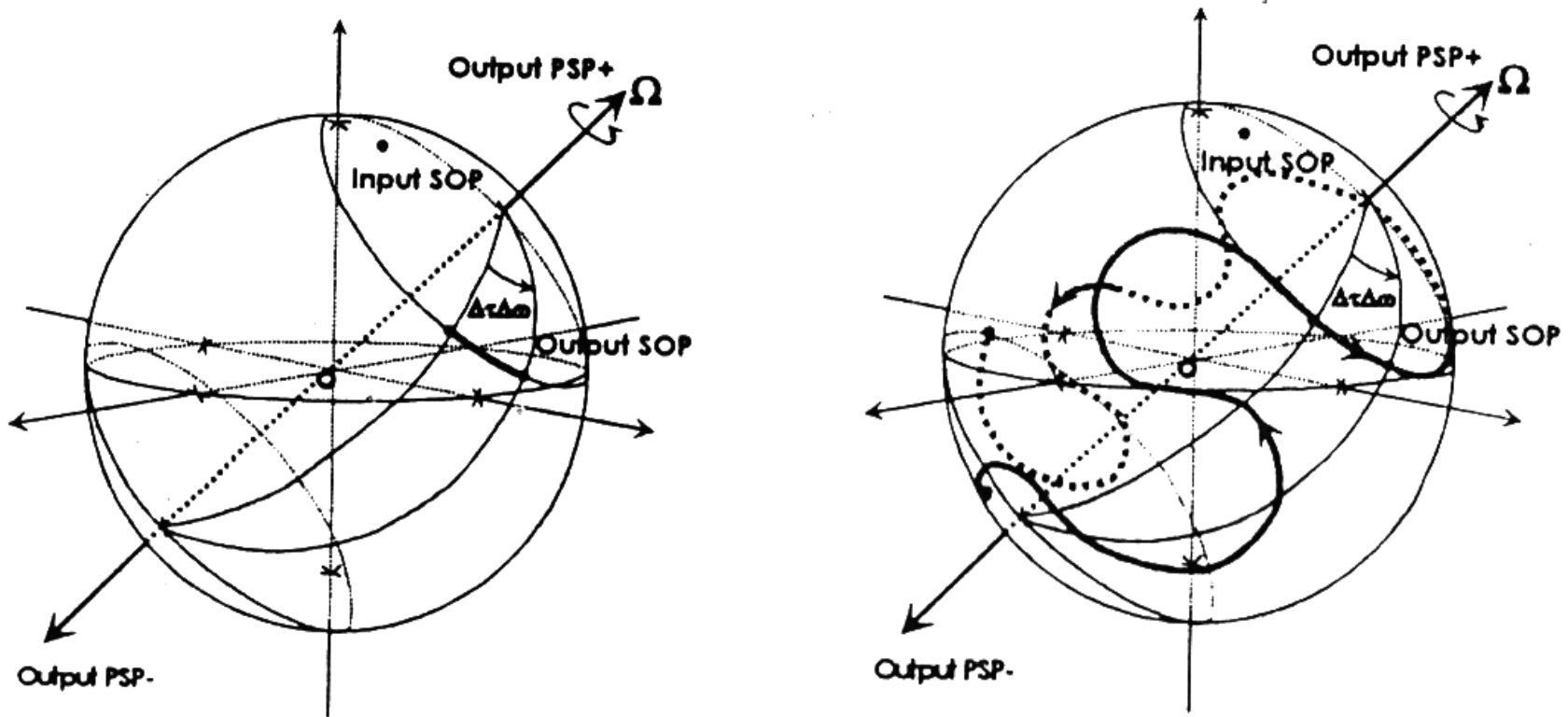
PM Fiber (No Mode Coupling)



High-Order PMD

$$\vec{\tau}(\Delta\omega) = \vec{\tau}^{(0)} + \vec{\tau}^{(1)}\Delta\omega + \vec{\tau}^{(2)}\frac{\Delta\omega^2}{2} + \dots$$

where $\vec{\tau}^{(n)}$ denotes $(n+1)$ th order PMD



Autocorrelation of PMD

- Frequency autocorrelation of PMD vector

$$\langle \Omega(\omega') \cdot \Omega(\omega) \rangle = \frac{3}{\Delta\omega^2} \left[1 - \exp\left(-\frac{\pi\Delta\omega^2}{8} \tau_{DGD}^2 \right) \right]$$

- 3dB bandwidth of the autocorrelation function

$$B_{PMD} \cong \frac{0.64}{\tau_{DGD}}$$

- First-order approximation of PMD is valid when the signal bandwidth is much smaller than B_{PMD} .



Correlation between All Orders of PMD

$$\langle \Omega^{(n)}(\omega') \cdot \Omega^{(n+1)}(\omega) \rangle = 0$$

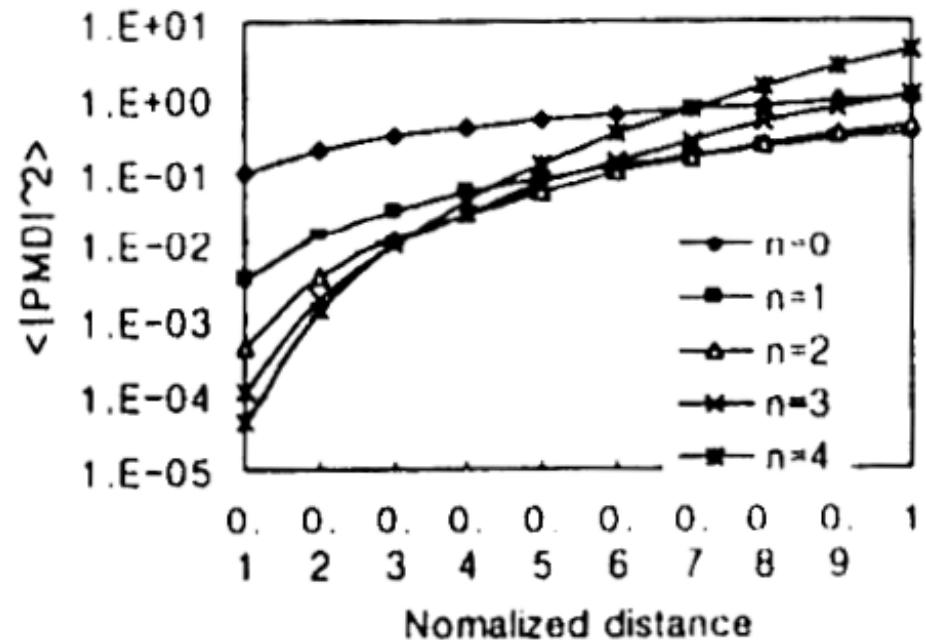
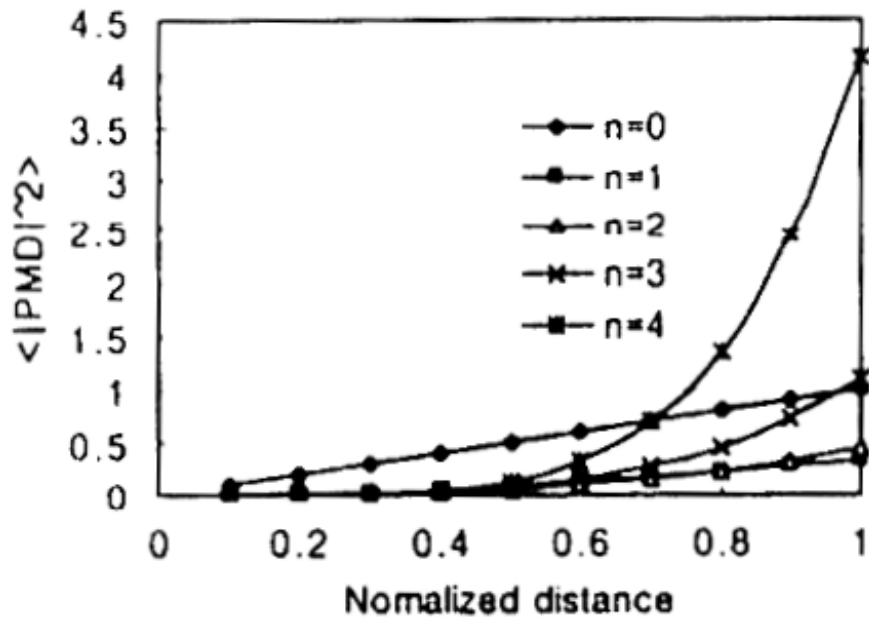
$$\langle \Omega^{(n)}(\omega') \cdot \Omega^{(n)}(\omega) \rangle = \frac{(2n)!}{3^n (n+1)!} \langle |\Omega^{(0)}|^2 \rangle^{n+1}$$

- The mean square value of the (n+1)th order of PMD is proportional to the (n+1)th power of $\langle |\Omega^{(0)}|^2 \rangle$

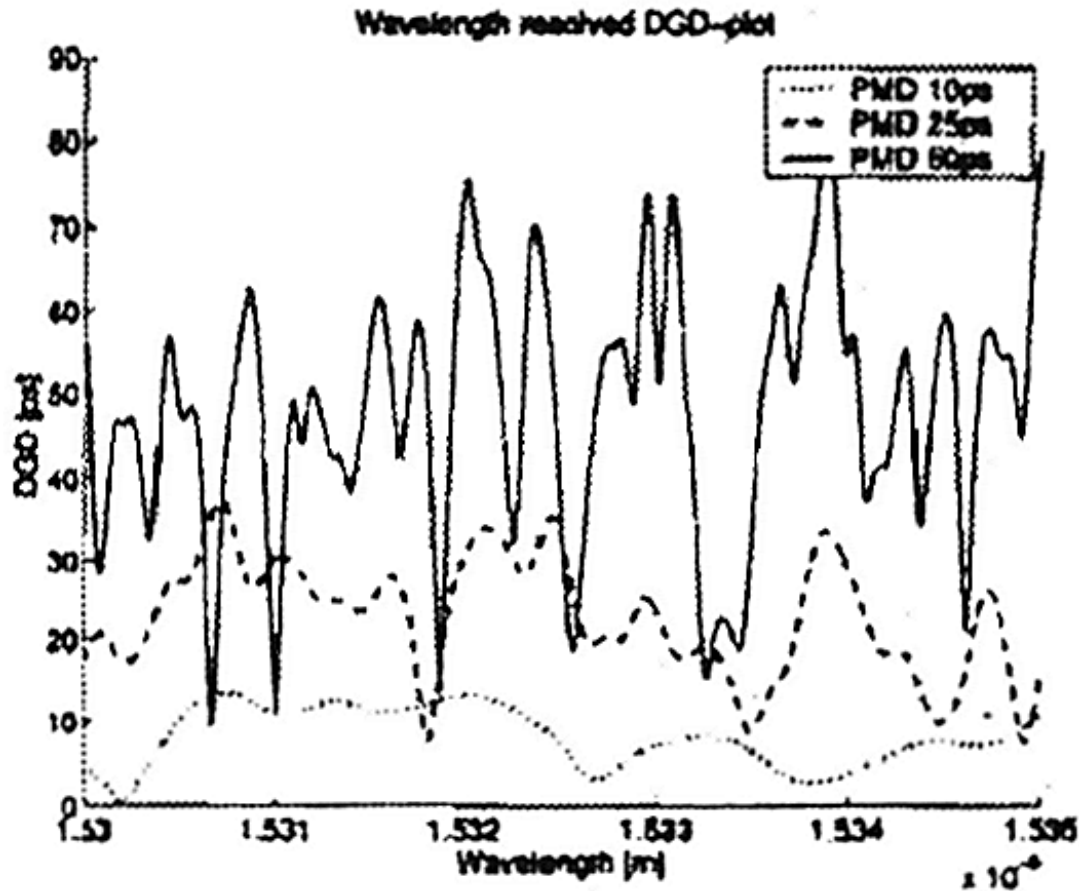
– The high order PMD increases very rapidly with fiber length.



High-Order PMD vs. Distance



Frequency Dependency of PMD



DGD vs. wavelength



Summary

- Mathematical description of polarized light propagation and PMD have been discussed.
- This mathematical description forms basics for understanding PMD representations for optical communication systems.

