

Dispersion Effects in Optical Millimeter-Wave Systems Using Self-Heterodyne Method for Transport and Generation

Rolf Hofstetter, Harald Schmuck, and Rolf Heidemann

Abstract—This paper describes the detrimental effects of chromatic and polarization mode dispersion (PMD) on systems using single-laser-based optical self-heterodyning for generation and transport of millimeter (mm)-wave signals. The decrease of the generated mm-wave power due to chromatic dispersion in conjunction with nonnegligible laser phase noise is calculated and experimentally verified. Considering statistical properties of the PMD an analytical expression for the cumulative probability distribution of the power penalty is found and used to determine the required system margin for a given system outage rate. Furthermore, two system experiments using ASK and DPSK modulation scheme, respectively, are presented showing no limitation due to the dispersion effects.

I. INTRODUCTION

WIRELESS access to broadband networks providing high data rate flows to the user have to operate in the mm-wave ranges. The frequency bands around 30 and 60 GHz offer reasonable bandwidth and hence are now being, or will be, allocated for applications like asymmetric interactive multimedia services (IMS), broadband mobile services (MBS), and uni-directional distribution services for traffic information in intelligent vehicle highway systems (IVHS). At these frequencies the usage of a network architecture with micro and pico cells is mandatory in order to serve large areas with radio access. Fig. 1 shows the typical architecture of a 30/60-GHz fiber-optic broadcasting system. The main problem to be solved for such high capacity information systems is to transport mm-wave signals between one central station and many remote antenna units (RAU). Due to the large bandwidth and the low attenuation, fiber-optic technology appears to be a good candidate to solve this problem. It allows to concentrate and share equipment at a central site and to use remote antennas with low complexity.

The design of optical systems for this kind of application is not straightforward. Today, direct modulated lasers have bandwidths up to 25 GHz. Using external modulators the

modulation bandwidth of an optical system can be extended to 75 GHz since mm-wave optical modulators and p-i-n photodiodes up to this frequency are available. But there are several detrimental effects:

- 1) Attenuation of the optical signals due to fiber attenuation and optical splitting makes the application of optical amplifiers mandatory for large networks. This confines the operating wavelength to the 1530–1560 nm gain window of erbium-doped fiber amplifiers.
- 2) The re-use of existing standard fiber links with chromatic dispersion $D = 17 \text{ ps}/(\text{nm} \cdot \text{km})$ at $\lambda = 1550 \text{ nm}$ strongly limits the link length. Due to the different propagation times of the contributing spectral components, the resulting mm-wave power will be degraded. For example, even with ideal external optical modulators operating at a modulation frequency of 30 GHz, the mm-wave power vanishes after a fiber link length of 2.2 km.
- 3) Fiber nonlinearities are limiting the maximum optical power within the fiber. Stimulated Brillouin scattering, especially, can be a severe limiting factor if techniques are adopted that require narrow linewidth optical sources.

Several different approaches for optical generation and distribution of mm-wave signals have been proposed, e.g., in [1]–[3]. In order to cope with the limiting dispersion effects, optical self-heterodyne techniques [4]—as well as other remote heterodyne coherent schemes using e.g., phase locking of laser signals [5], [6]—should be applied.

In this paper we investigate detrimental dispersion effects in optical mm-wave systems that use self-heterodyne method for transport and generation. A single-laser scheme is presented that uses double sideband modulation with suppressed carrier [7] at half the mm-wave frequency (e.g. 15 GHz for 30-GHz transmit frequency) of a conventional distribution feedback laser [8], [9]. Theoretical and experimental results of system degradation due to chromatic- and polarization-dispersion effects will be given.

II. THE SELF-HETERODYNE METHOD

The block diagram depicted in Fig. 2 presents the principle setup of the mm-wave link including the dual frequency optical source providing two optical carriers separated by the desired mm-wave frequency.

Manuscript received January 15, 1995; revised April 6, 1995. This work was supported in part by the European Community, RACE-project R2005 "MODAL" (Microwave Optical Duplex Antenna Link).

The authors are with Alcatel SEL AG Research Center, 70430 Stuttgart, Germany.

IEEE Log Number 9413694.

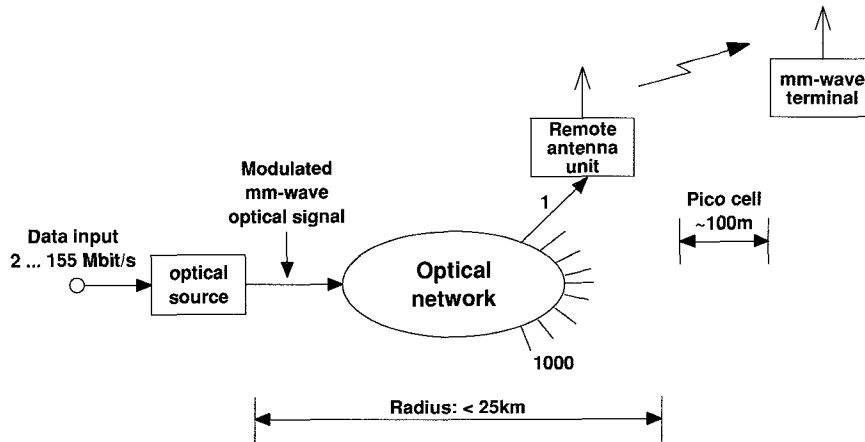


Fig. 1. Architecture of a 30/60-GHz fiber-optic distribution system.

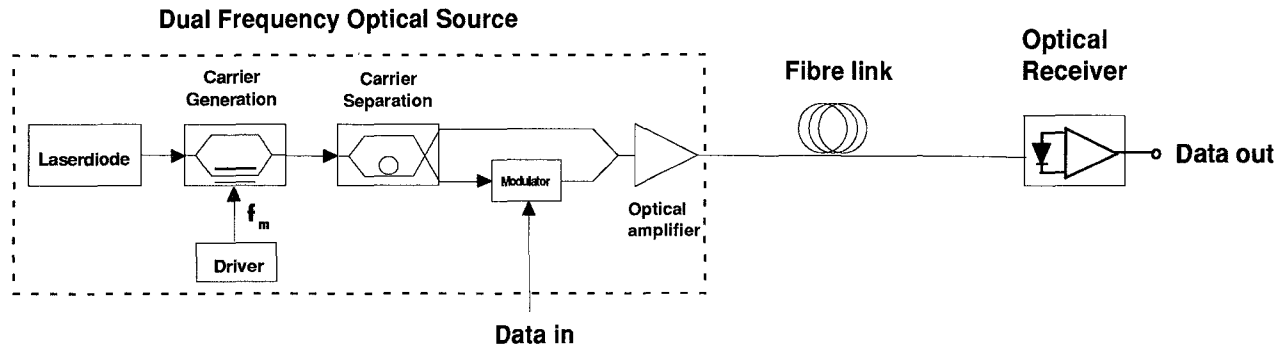


Fig. 2. Principle setup of optical mm-wave link.

The output signal of a laser diode emitting at a frequency ν_o is modulated by a CW-signal with an amplitude d_m and with a frequency f_m using a lithium niobate Mach-Zehnder modulator biased at U_b . Therefore, the output signal of the modulator results to

$$E(t) = \cos \left[\beta \cdot \frac{\pi}{2} + \alpha \cdot \frac{\pi}{2} \cdot \cos(\omega_M t) \right] \cdot \cos(\omega_0 t) \quad (1)$$

where $\beta = (U_b/V_\pi)$ is the normalized bias point of the modulator, $\alpha (= d_m/V_\pi)$ is the normalized amplitude of the drive signal, $\omega_m = 2\pi f_m$ is the modulation angular frequency, and $\omega_0 = 2\pi\nu_o$ is the angular frequency of the optical carrier. Using Bessel functions this equation can be expanded to

$$\begin{aligned} E(t) = & J_0 \left(\alpha \cdot \frac{\pi}{2} \right) \cdot \cos \left(\beta \cdot \frac{\pi}{2} \right) \cdot \cos(\omega_0 t) \\ & - J_1 \left(\alpha \cdot \frac{\pi}{2} \right) \cdot \sin \left(\beta \cdot \frac{\pi}{2} \right) \\ & \times \{ \cos[(\omega_0 - \omega_m)t] + \cos[(\omega_0 + \omega_m)t] \} \\ & - J_2 \left(\alpha \cdot \frac{\pi}{2} \right) \cdot \cos \left(\beta \cdot \frac{\pi}{2} \right) \\ & \times \{ \cos[(\omega_0 - 2\omega_m)t] + \cos[(\omega_0 + 2\omega_m)t] \} + \dots \end{aligned} \quad (2)$$

For $\beta = 1$ (i.e. $U_b = V_\pi$) all even terms vanish. In order to generate two strong carriers next to the optical center frequency ν_o with frequency difference $\Delta f = 2f_m$ (i.e. adopting optical amplitude modulation with suppressed carrier) the drive signal level has to be adjusted. An optimum operation point can be achieved by applying a drive signal level of $d_m \cong 1.2V_\pi$ corresponding to a normalized modulation amplitude of $\alpha = 1.2$. Here, the conversion loss of optical power due to the modulation is smaller than 1.6 dB (without considering insertion loss). In experiment the insertion loss have been measured to be 2 dB.

For data modulation the two optical carriers are separated by use of a fiber-optic Mach-Zehnder interferometer (MZI) filter. The fiber delay of the MZI and the frequency difference Δf have to be matched in order to realize a rejection of the unwanted optical carrier. One of the optical carrier is modulated by sub-carrier data signal(s) using a second amplitude modulator biased at V_π . Both optical carriers are combined and the optical power level is increased by an erbium-doped fiber amplifier. After transport over a fiber to the remote antenna side the coherent mixing of the carriers generates the mm-wave signal at frequency Δf . The signal is amplified and radiated into the micro/pico cells.

Due to the applied self-heterodyne technique the mm-wave show a high spectral purity. Measurements indicate spectral linewidths smaller than 100 Hz, which are limited by the spectrum analyser resolution bandwidth.

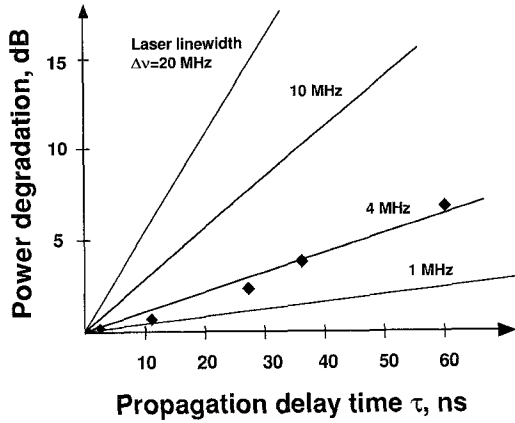


Fig. 4. Power degradation of 30-GHz mm-wave signal due to decorrelation of optical carrier in dependence of propagation delay time τ for different laser linewidths (theory: —; experiment: \square).

with (4) are shown. The experimental data are in a good agreement with the laser linewidth of the master laser, which is measured to be in the range of $\Delta\nu = 4$ MHz. In praxis in the optical source a fiber delay length difference of $\Delta L = 0.05$ m will be adjustable, which will result in a power degradation ΔP smaller than 0.15 dB.

C. Polarization-Mode Dispersion

It is well known that PMD can be a limiting factor in high speed, long haul fiber optical communication systems [13], [14]. Especially in systems where the chromatic dispersion at the fiber becomes very small, PMD effects can be observed because of a difference between the propagation delay times of the two polarization modes in a fiber exist.

Basically, by the applied technique for optical generation of mm-wave signals at the photodiode the electrical power of the mm-wave signal depends on the state of polarization of the two field components with respect to each other. Due to PMD in the fiber given by the differential group delay $\Delta\tau$ the two optical carriers have different states of polarization at the pin diode. The polarization mismatch induces a power degradation of the mm-wave signal at the receiver, which leads to an increase of the BER.

In [15] for the first time experimental and theoretical results concerning the influence of polarization-mode dispersion (PMD) in an advanced fiber-optic supported mm-wave system have been presented. A theoretical approach for calculation the power penalty due to PMD has been confirmed by experimental results at 60 GHz using a high-birefringence single-mode fiber (PANDA-type) showing an extremely high PMD effect.

Based on [15] and considering the general case it can be shown that the power penalty ΔP due to a PMD $\Delta\tau$ at the fiber link is given by

$$\Delta P(L, \gamma, \Delta\tau) = -10 \cdot \log \left[\frac{1 + f(\gamma) + \cos^2(k(\Delta\tau)) \cdot (1 - f(\gamma))}{2} \right] \quad \text{for } \Delta\tau \geq 0, L \geq 0, \quad 0 \leq \gamma \leq 1 \quad (5)$$

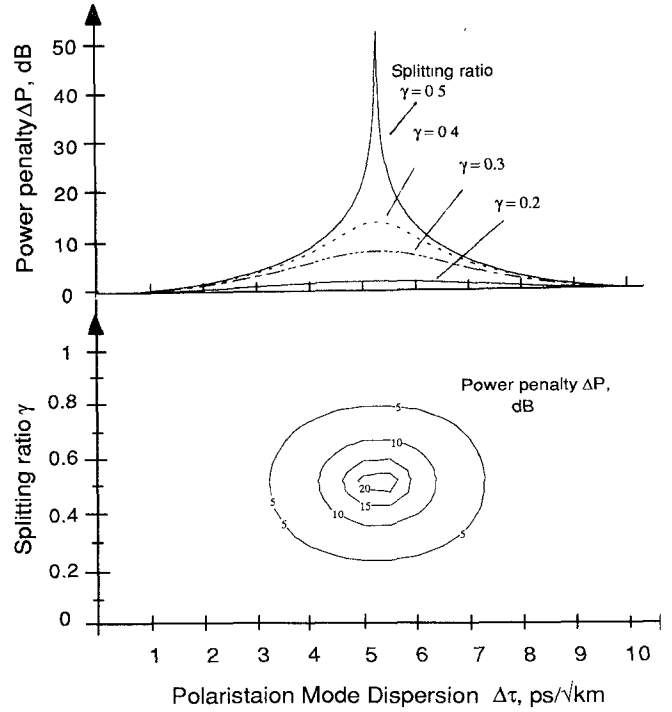


Fig. 5. Power penalty ΔP at 30 GHz mm-wave signal due to PMD $\Delta\tau$ in a 10-km-long single-mode fiber in dependence of power splitting γ (upper traces) and the corresponding level diagram of power penalty ΔP (lower traces).

with $f(\gamma) = \cos[4 \cdot \arccos(\sqrt{\gamma})]$, $k(\Delta\tau, L) = \pi \cdot \Delta f \cdot \Delta\tau \cdot L$, L the fiber link length and $\Delta\tau$ the actual value of PMD. The parameter γ represents the power splitting ratio of the signal light at the fiber link input port with respect to the principal axes.

In Fig. 5 the power penalty ΔP for a mm-wave signal at $\Delta f = 30$ GHz in dependence of the PMD value $\Delta\tau$ of the fiber ($L = 10$ km) and the splitting factor γ is shown. For $\gamma = 0.5$ the worst case of power penalty exists. Here, at a PMD of

$$\Delta\tau = \frac{m}{2 \cdot \Delta f} \quad (m = 1, 3, 5, \dots) \quad (6)$$

the mm-wave power vanishes, representing the case when both optical fields are in a state of polarization orthogonal to each other.

At realistic transmission systems in long standard single-mode fibers (e.g. full installed submarine or terrestrial cable) the PMD value varies randomly with time and wavelength. For example, temperature effects cause changes in the actual birefringence in the fiber, which results in random polarization mode coupling. Therefore, a more detailed analysis of the impact of PMD in the mm-wave system should consider the statistical variation of the PMD values.

The statistics of the actual PMD value $\Delta\tau$ [16] varies with a Maxwellian probability distribution function

$$M(\Delta\tau, \Delta\tau_M) = \frac{32 \cdot \Delta\tau^2}{\pi^2 \cdot \Delta\tau_M^3} e^{-\frac{4}{\pi} \left(\frac{\Delta\tau}{\Delta\tau_M} \right)^2} \quad (7)$$

which is determined by mean value $\Delta\tau_M$.

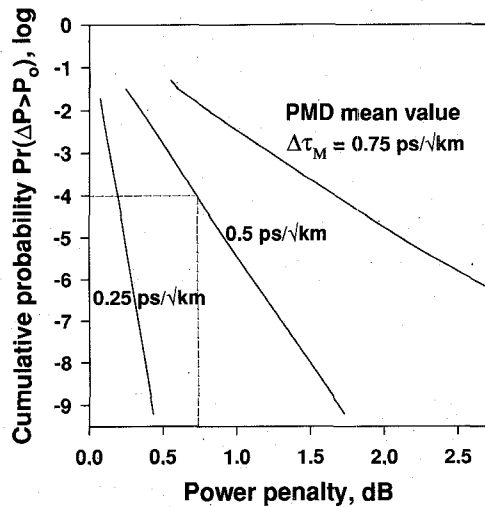


Fig. 6. Cumulative probability \Pr to get power penalty $\Delta P > P_0$ for different PMD mean values $\Delta\tau_M$. Millimeter-wave frequency: 30 GHz; fiber link length: 10 km.

Furthermore, there are random variations of the actual angle of incident of the linear polarized lightwaves launched into the fiber link with respect of the fiber main axes. This effect can be described by an uniform probability distribution of power splitting γ in the main axes.

As shown in the lower traces of Fig. 5 the parameter $\Delta\tau$ and γ span a plane for the power degradation, which can be used in order to calculate the cumulative probability

$$\Pr(\Delta P \geq P_0) = \int \int M(\tau', \Delta\tau_M) d\tau' \cdot d\gamma \quad (8)$$

$$\Delta P(L, \tau', \gamma) \geq P_0.$$

$\Pr(\Delta P > P_0)$ represent a mm-wave system quality parameter that describes the probability of getting a penalty larger than P_0 in dependence of the fiber length L and the given PMD mean value $\Delta\tau_M$, respectively.

In Fig. 6 the cumulative probability in dependence on several PMD mean values are shown. For our calculations we assume a fiber link length of 10 km, which will be sufficient for future mm-wave systems, like, e.g., information distribution systems. $\Delta\tau_M$ vary between moderate values of 0.25 ps/√km up to high values of 0.75 ps/√km. For full installed fiber cables PMD values smaller than 0.5 ps/√km can be expected.

For the design of radio links operating at 30 GHz, with, e.g. outage due to rain fading, a system availability of 99.99% (prob = 10^{-4}) is sufficient, representing an outage up to 1 hour per year. With the same probability a power penalty larger than 0.74 dB caused by a fiber with a PMD mean value of $\Delta\tau_M = 0.5$ ps/√km can be expected.

Based on the considerations in Fig. 7, the system margin needed to compensate for the PMD effects in future fiber supported mm-wave systems are depicted for mm-wave frequencies of 30 and 60 GHz, respectively. The overall results of these theoretical investigations will be that for mm-wave frequencies up to 60 GHz region and for fiber links showing

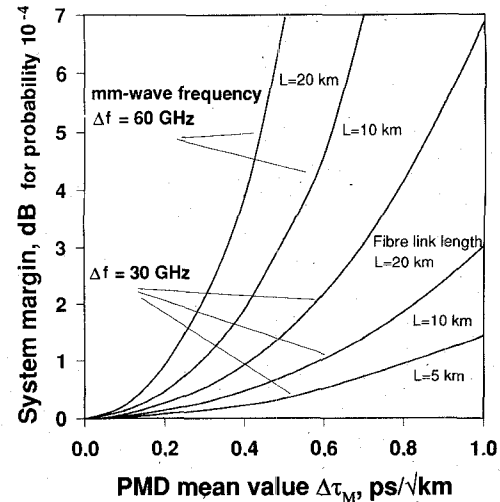


Fig. 7. System margin calculated for the probability $\Pr = 10^{-4}$ in dependence of PMD mean value $\Delta\tau_M$ and fiber link length L . Millimeter-wave frequency: 30/60 GHz.

moderate mean values up to fiber length of 20 km the PMD in fiber-supported mm-wave systems leads to an acceptable power penalty of $\Delta P < 2$ dB.

IV. APPLICATIONS

The potential application area of the fiber-optic mm-wave technology in broadcasting high capacity information at any desired mm-wave frequency up to >100 GHz has been demonstrated with a feasibility experiment [17]. The building blocks are shown in Fig. 8. The self-heterodyne method for generation and transport enabled to distribute a 36 GHz–140 Mbit/s-DPSK modulated mm-wave signal over a fiber link of 25 km to more than 16 000 base-stations. After free-space transmission, demodulation, and detection neither degradation nor limitation due to dispersion has been observed down to BER of 10^{-9} .

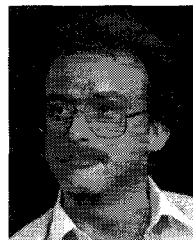
In order to demonstrate the performance of the used self-heterodyne method for bi-directional applications, a full duplex mm-wave transmission experiment has been (Fig. 9) carried out within the RACE project R2005 MODAL. An optical 30-GHz mm-wave link at a wavelength of 1550 nm has been extended by an optical 1.8-GHz microwave return path operating at 1300 nm. At the central station one of the two optical carriers with frequency difference of 30 GHz is amplitude modulated by a 1.5-GHz-2 Mbit/s-ASK subcarrier signal. After transmission over a 12-km-long single-mode fiber the signals mix on the p-i-n photodiode and generate a mm-wave carrier together with sidebands that correspond to the modulating subcarrier at the base station. An amplifier integrated with the p-i-n photodiode is followed by a diplexer that allow separate selection of one of the sidebands and of the unmodulated 30-GHz mm-wave carrier. The selected sideband (31.5 GHz) is amplified and radiated using a horn antenna.

After free-space transmission, a transposer is used in order to down convert the 31.5 GHz to 28.2 GHz. The resulting return signal from the transposer, which is received by a

- [3] S. Kawanishi, A. Takada, and M. Saruwatari, "Wide-band frequency response measurement of optical receiver using optical heterodyne detection," *J. Lightwave Technol.*, vol. 781, pp. 92–98, 1988.
- [4] M. J. Wale, R. G. Walker, and C. Edge, "Single-sideband modulator in GaAs integrated optics for microwave frequency operation," Integrated Photonics Research, *OSA Tech. Dig. Ser.*, vol. 10, post-deadline paper PD-8, 1992.
- [5] U. Gliese *et al.*, "A wideband heterodyne optical phase-locked loop for generation of 3–18 GHz microwave carriers," *IEEE Photon. Technol. Lett.*, vol. 4, pp. 936–938, 1992.
- [6] P. Gallion *et al.*, "Single-frequency laser-phase noise limitation in single-mode optical-fiber coherent detection systems with correlated fields," *J. Opt. Soc. Am.*, vol. 72, no. 9, pp. 1167–1170, 1982.
- [7] M. Izutsu, S. Shikama, and T. Sueta, "Integrated optical SSB modulator/frequency shifter," *IEEE J. Quantum Electron.*, vol. QE-17, no. 11, pp. 2225–2227, 1981.
- [8] J. J. O'Reilly, P. M. Lane, R. Heidemann, and R. Hofstetter, "Optical generation of very narrow linewidth millimeter wave signals," *Electron. Lett.*, vol. 28, pp. 2309–2311, 1992.
- [9] R. Heidemann and R. Hofstetter, "A novel optical mm-wave generation and transport system," in *Proc. MIOP '93, 7th Exhibition and Conf. for Ultra High Frequency Technology*, Sindelfingen, Germany, May 25–27, 1993, pp. 251–254.
- [10] L. E. Richter, H. I. Mandelberg, M. S. Kruger, and P. A. McGrath, "Linewidth determination from self-heterodyne measurements with sub-coherence delay times," *IEEE J. Quantum Electron.*, vol. QE-22, no. 11, pp. 2070–2074, 1986.
- [11] L. Goldberg, R. D. Esman, and K. J. Williams, "Generation and control of microwave signals by optical techniques," *IEE Proc.*, pt. J, vol. 139, no. 4, pp. 288–295, 1992.
- [12] U. Gliese, E. L. Christensen, and K. E. Stubkjaer, "Laser linewidth requirements and improvements for coherent optical beam forming networks in satellites," *J. Lightwave Technol.*, vol. 9, pp. 779–789, 1991.
- [13] E. Iannone, F. Matera, A. Galtarossa, G. Gianello, and M. Schiano, "Effect of polarization dispersion on the performance of IM-DD communication systems," *IEEE Photon. Technol. Lett.*, vol. 5, pp. 1247–1249, 1993.
- [14] H. Bülow, "Operation of a digital optical transmission system with minimal degradation due to polarization mode dispersion (PMD)," *Electron. Lett.*, vol. 3, pp. 214–215, 1995.
- [15] H. Schmuck, "Effect of polarization-mode dispersion in fiber-optic millimeter-wave systems," *Electron. Lett.*, vol. 18, pp. 1503–1504, 1994.
- [16] A. Galtarossa *et al.*, "Polarisation mode dispersion in long single-mode-fiber links: A review," *Fiber and Integrated Optics*, vol. 13, pp. 215–229.
- [17] H. Schmuck, R. Hofstetter, and R. Heidemann, "Advanced fiber-optic distribution of 140 Mbit/s mm-wave signals at 36 GHz," in *20th European Conf. on Optical Communication ECOC '94*, Florenz, Sept. 1994, pp. 25–29.

Rolf Hofstetter received the Dipl. Ing. degree from HTL in Rapperswil (1979), the Dipl. El. Ing. degree (1983), and the Dr. sc. techn. degree (1990) from ETH in Zurich, Switzerland.

From 1984–1991 he was Research Assistant of the Communication Technology Laboratory, ET Zurich. He was with the Alcatel SEL Research Center from May 1991–March 1995. There, he was responsible for the project management of RACE R2005 MODAL. Within this project he investigated the linearization and application of low cost optical links for PCN and the optical transport and generation of mm-wave signals. Since April 1995 he has been Professor of Transmission Systems at the Engineer School HTL Chur. His technical areas of experience are communication systems and optical microwave and mm-wave transmission.



Harald Schmuck received the Diplom degree in physics from the University of Kaiserslautern, Germany, in 1983. His research work included fiber-gyro technology.

He then joined the Alcatel SEL Research Center, Stuttgart, and was engaged in the field of fiber-optics in sensors and coherent transmission technique. His primary areas of work have been optical transmission technology and fiber-optic components, like optical filters and erbium fiber ring lasers. Presently he is involved in the development of optical microwave and mm-wave transmission technique.



Rolf Heidemann received the Diplom Physicist degree and the Dr. rer. nat. degree in 1976 and 1983, respectively, from the Institute of Applied Physics, University of Münster, Germany.

From 1978 to 1983 he was a Research Assistant at the Institute of Applied Physics. He joined the Alcatel SEL Research Center in 1983 and became Head of the Fiber-Optics Transmission Department in 1985. His technical areas include subscriber line systems (B-ISDN), analogue and digital fiber-optic CATV systems, multigigabit/s transmission systems, and photonic technologies (optical amplification, regeneration, switching, soliton transmission).