

Prelim Review: Optoelectronics

I. Intro to lasers

LASER: Light Amplification by Stimulated Emission of radiation

↳ Lasers need ① gain medium ② cavity/Feedback/resonator

Note: Laser efficiency is often given in $\frac{mW}{mA}$

Confinement Factor:
$$\Gamma = \frac{\int_{-d/2}^{d/2} dy \vec{E} \cdot \vec{E}^* dy}{\int_{-\infty}^{\infty} \vec{E} \cdot \vec{E}^* dy}$$

Determining threshold gain: Light intensity ($I \propto |E|^2$) changes as an exponential function of distance. The characteristic length scale of growth or decay is given by the gain or loss.

At threshold, gain and loss balance exactly:

$$I = I_0 e^{\overset{\text{gain}}{g_0} z} \Rightarrow I_0 e^{\overset{\text{gain}}{g_0} L - \alpha_i L} R_1 e^{\overset{\text{gain}}{g_0} L - \alpha_i L} R_2 = I_0$$

$$\Rightarrow g_{th} = \frac{\alpha_i}{\Gamma} + \frac{1}{2\Gamma L} \ln \frac{1}{R_1 R_2}$$

where $L \equiv$ cavity length
 $g \equiv$ gain
 $\alpha_i \equiv$ intrinsic loss
 $R_1, R_2 \equiv$ Mirror Losses

$$\Rightarrow g_{th} = \frac{\alpha_i + \alpha_m}{\Gamma} = \frac{\alpha_{tot}}{\Gamma}$$

Quantum Efficiency: Ratio of Photon current to electron current

$$QE = \frac{\text{Photons/sec}}{\text{Electrons/sec}} = \frac{P/h\nu}{I/q} = \frac{\alpha_m}{\alpha_i + \alpha_m}$$

Quality Factor:

$$Q = \frac{\text{Energy Stored}}{\text{Energy dissipated/cycle}} = \frac{\omega_0}{\Delta\omega} = \omega_0 \tau_p = Q$$

Photon lifetime

↳ The photon lifetime can be expressed in terms of cavity loss:

$$\frac{1}{\tau_p} = \alpha_{tot} \frac{c}{n} \Rightarrow Q = \frac{\omega_0 n}{c \alpha_{tot}} \rightarrow \text{rewrite } g_{th}:$$

$$g_{th} = \frac{\omega}{Q \Gamma c} \propto \frac{1}{Q}$$

Note: The losses of a cavity are inversely proportional to $\frac{1}{Q}$ where Q is an associated quality factor. The total quality factor of a cavity is $\frac{1}{Q} = \frac{1}{Q_i} + \frac{1}{Q_m}$ where Q_i is the quality factor resulting from intrinsic loss & Q_m is from mirror loss. Since $QE = \frac{\alpha_m}{\alpha_i + \alpha_m}$, it follows that:

$$QE = \frac{Q_m}{Q}$$

Thus a larger Q means lower g_{th} but also lower QE

Note: $QE = \frac{dP}{dI} \frac{Q}{\hbar\omega}$ ← directly from definition

II. Semiconductors

Semiconductors have fixed bandgap \Rightarrow interact w/ particular wavelength of light: $E_g = \frac{hc}{\lambda_g} \Rightarrow \lambda_g = \frac{hc}{E_g}$

△ Review Quantum

Energy of electron in Conduction Band: $E_e = E_c + \frac{\hbar^2 k^2}{2m_e}$

Energy of Hole in valence Band: $E_h = E_v - \frac{\hbar^2 k^2}{2m_h}$

Conservation of energy requires: $E_e - E_h = h\nu$
 Momentum must be conserved. In general $k_{hv} \ll k_e, k_h$ so,

$$E_g + \frac{\hbar^2 k^2}{2m_r^*} = h\nu \quad \text{where} \quad \frac{1}{m_r^*} = \frac{1}{m_e^*} + \frac{1}{m_h^*}$$

Note: Due the momentum mismatch in indirect bandgap semiconductors, absorption is more difficult. \rightarrow Phonons provide momentum for absorption in indirect bandgap semiconductors.

Electron Concentration:
$$n = \int_{E_c}^{\infty} dE f_n(E) P(E)$$

 $\left\{ \begin{array}{l} \text{where} \\ f(E) = \text{Fermi Dirac Dist} \\ P(E) = \text{DOS} \end{array} \right.$

Deriving Density of States: We begin by noting that in a crystalline solid, electron wavefunctions obey periodic boundary conditions. This leads to a discrete set of wavevectors

$$(k_x, k_y, k_z) \rightarrow \left(m \frac{2\pi}{L_x}, n \frac{2\pi}{L_y}, l \frac{2\pi}{L_z} \right).$$

It follows that a single state occupies a volume $\frac{(2\pi)^3}{L_x L_y L_z}$.

Next, the volume (in k space) of an infinitesimal shell of thickness dk is given by $4\pi k^2 dk$. The number of states in this thin shell is:

$$\frac{4\pi k^2 dk}{\frac{(2\pi)^3}{L_x L_y L_z}} = \frac{k^2 dk}{2\pi^2 / L_x L_y L_z}$$

The density of states in 3D is obtained by normalizing by volume V and multiplying by 2 (Pauli-exclusion):

$$P(E) dk = \frac{2 k^2 dk}{2\pi^2 V / L_x L_y L_z} = \frac{k^2 dk}{\pi^2 V}$$

Finally we note that $E(k) = E_c + \frac{\hbar^2 k^2}{2m_e}$ (for electrons) and find:

$$P_e(E) = \frac{m_e^*}{\hbar \pi^2} \sqrt{\frac{2m_e^*(E - E_c)}{\hbar^2}} dE \quad \text{and} \quad P_h(E) = \frac{m_h^*}{\hbar \pi^2} \sqrt{\frac{2m_h^*(E_v - E)}{\hbar^2}}$$

↳ For holes

Electron concentration in 3D:

$$\left. \begin{array}{l} F_n \ll E_c \Rightarrow n = N_c e^{\frac{F_n - E_c}{kT}} \\ F_n \gg E_c \Rightarrow n = N_c \frac{4}{3\sqrt{\pi}} \left(\frac{F_n - E_c}{kT} \right)^{3/2} \end{array} \right\} N_c = 2 \left(\frac{\pi m_e kT}{2\pi^2 \hbar^2} \right)^{3/2}$$

Quantum Mechanics Review

Schrodinger's Equation: $\hat{H} \Psi(\vec{r}, t) = i\hbar \frac{\partial}{\partial t} \Psi(\vec{r}, t)$

↳ Hamiltonian: $\hat{H} = \frac{\hat{p}^2}{2m} + \hat{V}(\vec{r}, t)$ where $\hat{p} = i\hbar \nabla$

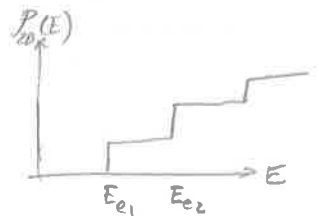
Quantum Well: Assume: $\Psi(\vec{r}, t) = \Psi(\vec{r}) e^{i\omega t}$ where $\Psi(\vec{r}) = e^{i(k_x x + k_y y)} \psi(z)$

↳ Plug in and solve for $\psi(z)$

$$\boxed{E_n = \frac{\hbar^2}{2m_e^*} \left(\frac{n\pi}{L}\right)^2} \Rightarrow E = \frac{\hbar^2(k_x^2 + k_y^2)}{2m_e^*} + \frac{\hbar^2}{2m_e^*} \left(\frac{n\pi}{L}\right)^2$$

Note: Quantum wells are 2D structures \Rightarrow 2D Density of States

$$\boxed{\rho_{2D}(E) = \frac{m_e}{\pi \hbar^2 L_z} = \text{const}}$$



NOTE: This is really $\rho_{2D}(E) = \sum_i \frac{m_e}{\pi \hbar^2 L_z} \Theta(E - E_i)$

The electron concentration in 2D (for $E_{Fn} > kT$) is

$$n_{2D} \approx (E_{Fn} - E_{c1}) \frac{m_e^*}{\pi \hbar^2 L_z}$$

⚠ Review Derivation of DOS in 1D & 0D

Derivation of Fermi's Golden Rule

We begin w/ the solution to SE for a two level system:

$$\Phi_n(\vec{r}, t) = \Phi_n(\vec{r}) e^{i E_n / \hbar t} = |n\rangle e^{i E_n / \hbar t} \quad \text{and} \quad \hat{H}_0 |n\rangle = E_n |n\rangle$$

We assume that light is a weak perturbation:

$$\hat{H}'(\vec{r}, t) = \hat{H}'(\vec{r}) e^{-i\omega t} + \hat{H}'^\dagger(\vec{r}) e^{i\omega t}$$

Such that the total perturbed Hamiltonian is: $\hat{H} = \hat{H}_0 + \hat{H}'$

We assume that the solutions to SE w/ the perturbed Hamiltonian are a linear combination of the unperturbed wavefunction:

$$\Psi(\vec{r}, t) = \sum_{n=1}^{\infty} a_n(t) |n\rangle e^{i \frac{E_n}{\hbar} t}$$

We substitute this solution into SE:

$$(\hat{H}_0 + \hat{H}') \sum_{n=1} a_n |n\rangle e^{iE_n t/\hbar} = i\hbar \sum_{n=1} \left(\frac{d}{dt} a_n \right) |n\rangle e^{iE_n t/\hbar} + i\hbar \sum_{n=1} a_n |n\rangle \left(\frac{iE_n}{\hbar} \right) e^{iE_n t/\hbar}$$

Leaving, $\hat{H}' \sum_{n=1} a_n |n\rangle e^{iE_n t/\hbar} = i\hbar \sum_{n=1} \left(\frac{d}{dt} a_n \right) |n\rangle e^{iE_n t/\hbar}$

We can simplify this expression by taking the inner product w/ some state $|m\rangle$ which is orthogonal to $|n\rangle$ (and part of same basis):

$$\sum_{n=1} a_n \langle m | \hat{H}' | n \rangle e^{iE_n t/\hbar} = i\hbar \frac{da_m}{dt} e^{iE_m t/\hbar}$$

$$\Rightarrow \frac{da_m}{dt} = \frac{1}{i\hbar} \sum_{n=1} a_n(t) \hat{H}'_{mn} e^{i\omega_{mn}t} \quad \text{where} \quad \begin{cases} \hat{H}'_{mn} = \langle m | \hat{H}' | n \rangle \\ \omega_{mn} = \frac{E_m - E_n}{\hbar} \end{cases}$$

Next, we make a small modification: let's rewrite $\hat{H} = \hat{H}_0 + \lambda \hat{H}'$ and slowly "turn on" \hat{H}' (ie start w/ λ small. Likewise, we rewrite $a_n(t) = a_n^{(0)}(t) + \lambda a_n^{(1)}(t) + \lambda^2 a_n^{(2)}(t) + \dots$ (Δ Review this)

Matching powers of λ we find:

$$\frac{da_m^{(0)}}{dt} = 0 \quad \text{and} \quad \frac{da_m^{(1)}}{dt} = \frac{1}{i\hbar} \sum_{n=1} a_n^{(0)}(t) \hat{H}'_{mn} e^{i\omega_{mn}t}$$

We assume all electrons start in a state $|i\rangle$ such that $a_i^{(0)}(t) = 1$ and $a_m^{(0)}(t) = 0$ for $m \neq i$. It follows that:

$$\frac{da_f^{(1)}}{dt} = \frac{1}{i\hbar} \hat{H}'_{fi} e^{i\omega_{fi}t} = \frac{1}{i\hbar} (\hat{H}'_{fi} e^{-i\omega t} + \hat{H}'_{fi}^* e^{i\omega t}) e^{i\omega_{fi}t}$$

since the harmonic time dependence has been made explicit, we integrate to find $a_f^{(1)}(t)$:

$$a_f^{(1)}(t) = \frac{1}{i\hbar} \frac{e^{i(\omega_{fi}-\omega)t} - 1}{i(\omega_{fi}-\omega)} \hat{H}'_{fi} + \frac{1}{i\hbar} \frac{e^{i(\omega_{fi}+\omega)t} - 1}{i(\omega_{fi}+\omega)} \hat{H}'_{fi}^*$$

It follows that the probability of finding an electron in a final state $|f\rangle$ is

$$|a_f^{(1)}(t)|^2 = \frac{|\hat{H}'_{fi}|^2}{\hbar^2} \frac{4 \sin^2\left(\frac{\omega_{fi}-\omega}{2}t\right)}{(\omega_{fi}-\omega)^2} + \frac{|\hat{H}'_{fi}^*|^2}{\hbar^2} \frac{4 \sin^2\left(\frac{\omega_{fi}+\omega}{2}t\right)}{(\omega_{fi}+\omega)^2}$$

Noting that $\frac{\sin^2(\Delta x t)}{\Delta x} = t^2 \sin^2(\Delta x t) \sim \frac{\pi t}{2} \delta(\Delta x)$, we end up with Fermi's golden Rule by taking a time derivative:

Fermi's Golden Rule:
$$W_{i \rightarrow f} = \frac{d}{dt} |\alpha_f^{(1)}(t)|^2 = \frac{2\pi}{\hbar} |\hat{H}'_{fi}|^2 \delta(E_f - E_i - \hbar\omega) + \frac{2\pi}{\hbar} |\hat{H}'_{fi}|^2 \delta(E_f - E_i + \hbar\omega)$$

Absorption
stimulated Emission

When more than two energy levels are present, Fermi's Golden Rule is modified to include the density of states:

$$\rightarrow \frac{2\pi}{\hbar} |\hat{H}'_{fi}|^2 \rho_f(E_f) \delta(E_f - E_i - \hbar\omega)$$

! Review Maxwell's Equations, gauge theory

Derivation of Matrix Elements: Coulomb Gauge

① Force = $\frac{\partial \bar{P}}{\partial t} + e\bar{E} = \frac{\partial \bar{P}}{\partial t} - e \frac{\partial \bar{A}}{\partial t} = \frac{\partial}{\partial t} (\bar{P} - e\bar{A}) = \frac{\partial}{\partial t} \bar{P}$

② Recall: $\hat{H} = \frac{\bar{P}^2}{2m} + V(\bar{r}) \Rightarrow \hat{H} = H_0 + H' = \frac{1}{2m_0} (\bar{P} - e\bar{A})^2 + V(\bar{r})$

③ Assume weak interactions, i.e. $\bar{A} \cdot \bar{A} \sim 0 \Rightarrow H' = -\frac{e}{2m_0} (\bar{P} \cdot \bar{A} + \bar{A} \cdot \bar{P})$

④ \bar{P} and \bar{A} commute $\Rightarrow H' = -\frac{e}{m_0} \bar{A} \cdot \bar{P}$

⑤ Assume plane wave solution: $\bar{A} = \hat{e} \frac{A_0}{2} e^{i\vec{k} \cdot \vec{r} - i\omega t} \Rightarrow \bar{E} = -\frac{\partial \bar{A}}{\partial t} = -i\omega \bar{A}$
 Also assume wavelength of light \gg electron characteristic length ($\vec{k} \cdot \vec{r} \sim 0$)
 $\Rightarrow H' = -\frac{eA_0}{2m_0} \hat{e} e^{-i\omega t} \cdot \bar{P}$ Dipole Approx \rightarrow

⑥ Matrix Element: $H'_{ba} = \langle b | H' | a \rangle = -\frac{eA_0}{2m_0} \hat{e} \cdot \langle b | \bar{P} | a \rangle$

Alternative Form: $H'_{ba} = -e\bar{E} \cdot \bar{r}_{ba}$ "dipole Approximation"

Note: We often write: $|\hat{e} \cdot \bar{P}_{ba}| = \frac{m_0}{6} E_p$ where E_p is a material const

$$\hookrightarrow \Rightarrow |\bar{P}_{ba}| = \frac{|\hat{e} \cdot \bar{P}_{ba}|}{m_0 \omega} = \frac{E_p}{6\omega}$$

Absorption rate: $R_o(\hbar\omega) = \frac{2}{V} \sum_{\mathbf{k}} \frac{2\pi}{\hbar} |\mathcal{H}'_{ba}|^2 \delta(E_b - E_a - \hbar\omega)$

All states that satisfy \downarrow

$$E_b - E_a = \hbar\omega$$

$$= (E_c - E_v) + \frac{\hbar^2 k^2}{2m_r}$$

+ joint DOS

$$= \frac{2\pi}{\hbar} |\mathcal{H}'_{ba}|^2 \underbrace{\frac{2}{V} \sum_{\mathbf{k}} \delta(E_b - E_a - \hbar\omega)}_{\text{Density of states!}}$$

$$= C_0 |\hat{e} \cdot \bar{P}_{cv}|^2 \mathcal{P}_r(\hbar\omega - E_a) \quad \text{where } C_0 = \frac{\pi e^2}{n_r \epsilon \epsilon_0 m_0^2 \omega}$$

account for occupation prob

Inter-band Absorption: $R_{ab} = \frac{2}{V} \sum_{\mathbf{k}} \frac{2\pi}{\hbar} |\mathcal{H}'_{ba}|^2 \delta(E_b - E_a - \hbar\omega) f_v(E_a) [1 - f_c(E_b)]$

Interband Emission: $R_{ba} = \frac{2}{V} \sum_{\mathbf{k}} \frac{2\pi}{\hbar} |\mathcal{H}'_{ba}|^2 \delta(E_a - E_b + \hbar\omega) f_c(E_b) [1 - f_v(E_a)]$

Note: Error in notes here

Net Absorption Rate:
(gain spectra)

$$\alpha(\hbar\omega) = -\frac{2}{V} \sum_{\mathbf{k}} \frac{2\pi}{\hbar} |\mathcal{H}'_{ba}|^2 \delta(E_b - E_a - \hbar\omega) f_g(\hbar\omega - E_g)$$

$$= R_{ab} - R_{ba}$$

\hookrightarrow Note: Use fact that ① $\delta(x)$ is even so $\delta(E_b - E_a - \hbar\omega) = \delta(E_a - E_b + \hbar\omega)$
and ② $|\mathcal{H}'_{ba}|^2 = |\mathcal{H}'_{ab}|^2$

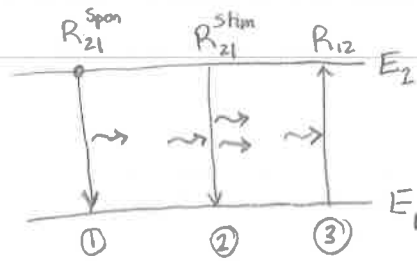
Bernard-Durafourg gain condition: $E_g < \hbar\omega < \Delta F$

Excess Electron/hole Energy:

$$E_b - E_c = (\hbar\omega - E_g) \frac{m_r^*}{m_e^*}$$

$$E_v - E_a = (\hbar\omega - E_g) \frac{m_r^*}{m_h^*}$$

Einstein AB Coefficients:



$$① R_{21}^{spon} = A_{21} f_2 (1 - f_1)$$

$$② R_{21}^{stim} = B_{21} f_2 (1 - f_1) P(E_{21})$$

$$③ R_{12} = B_{12} f_1 (1 - f_2) P(E_{21})$$

Basic Idea: Absorption/Emission rates are proportional to electron and photon occupation probabilities

Where $P(E_{21}) = N(E_{21}) n_{ph} \rightarrow n_{ph} \equiv$ Bose-Einstein dist $= \frac{1}{e^{h\omega/kT} - 1}$

$\hookrightarrow N(E_{21}) \equiv$ Photon Density of states

$$= \frac{2}{V} \int \frac{4\pi k^2 dk}{\left(\frac{2\pi}{L}\right)^2} \delta(E - h\omega)$$

$$\omega = \frac{kc}{n}$$

$$\Rightarrow N(E) = \frac{8\pi n^2 E^2}{h^3 c^3}$$

At thermal Equilibrium:

$$N(E_{21}) = \text{Photon DOS} = \frac{A}{B}$$

(Assuming $B_{12} = B_{21} = B$)

$$R_{12} = R_{21}^{spon} + R_{21}^{stim}$$

Spontaneous Emission Rate:

$$r_{21}^{spon}(E_{21}) = \frac{8\pi n^2 E_{21}^2}{h^3 c^3} c_0 |\hat{e} \cdot \bar{P}_{cv}|^2 \rho_r(h\omega - E_g) \frac{f_c}{f_g}$$

⚠ Review derivation

Note: $n_{sp} = \frac{f_c}{f_g} \equiv$ "spontaneous emission Factor"

Interband & Intersubband Selection Rules

Bloch's Theorem: $|\psi\rangle = u(\vec{r}) \frac{e^{i\vec{k} \cdot \vec{r}}}{\sqrt{V}}$; $u(\vec{r} + \vec{R}) = u(\vec{r})$ quickly varying

⚠ Polarization is determined by $\hat{e} \cdot \langle b | \bar{P} | a \rangle$

$$\Rightarrow H'_{ba} = -\frac{eA_0}{2m_0} \hat{e} \cdot \int d\vec{r} u_c^*(\vec{r}) \frac{e^{-i\vec{k}_c \cdot \vec{r}}}{\sqrt{V}} \left[-i\hbar \vec{\nabla} \left(u_v(\vec{r}) \frac{e^{i\vec{k}_v \cdot \vec{r}}}{\sqrt{V}} \right) \right] e^{i\vec{k}_{op} \cdot \vec{r}}$$

\approx term 1 + term 2 $\rightarrow 0$ since $\langle c | v \rangle = 0$

$$\approx -\frac{eA_0}{2m_0} \hat{e} \cdot \int u_c^*(-i\hbar \vec{\nabla}) u_v(\vec{r}) d\vec{r} \int d\vec{r} e^{i(\vec{k}_v - \vec{k}_c + \vec{k}_{op}) \cdot \vec{r}}$$

$$= \delta(\vec{k}_v - \vec{k}_c + \vec{k}_{op}) = k\text{-Selection Rule}$$

Transition between E_{hm} and E_{en} : $H'_{ba} = \frac{eA_0}{2m_0} \hat{e} \cdot \bar{p}_{cv} \delta_{kk'} \delta_{mn}$
 conserve momentum \nearrow equivalent subband

Note: In 2D $g_{max}(\hbar\omega) = C_0 |\hat{e} \cdot \bar{p}_{cv}|^2 \frac{m_r^*}{\pi \hbar^2 L_z} (\hbar\omega < E_{e2})$

2D Electron Concentration: $N_{2D} = \int dE \rho_e^{2D}(E) f_c^n(E)$

$$F_c \gg E_{e1} \quad N \approx \frac{m_e^*}{\pi \hbar^2 L_z} (F_c - E_{e1}) ; \quad F_c \ll E_{e1} \quad N \approx \left(\frac{m_e kT}{\pi \hbar^2 L_z} \right) e^{-\frac{E_{e1} - F_c}{kT}}$$

Intersubband transitions: $|a\rangle = u_c(\bar{r}) \frac{e^{i\vec{k}_z \cdot \bar{r}}}{\sqrt{A}} \phi_1(z)$

$$|b\rangle = u_c(\bar{r}) \frac{e^{i\vec{k}_z \cdot \bar{r}}}{\sqrt{A}} \phi_2(z)$$

Evaluate this integral \nearrow

\rightarrow Do: $H'_{ba} = \langle b | H' | a \rangle \propto \langle b | -\bar{E} \cdot e\bar{r} | a \rangle = -e\bar{E} \cdot \langle b | \bar{r} | a \rangle = -\bar{E} \cdot \bar{\mu}_{ab}$

In 2D: $\bar{\mu}_{21} = \frac{-16}{9\pi^2} eL_z \hat{z}$ And $\alpha(\hbar\omega) = \frac{\pi\omega}{n_r c \epsilon_0} \delta(\hbar\omega - E_{21}^e) (N_1 - N_2) |\mu_{21}|^2$

\rightarrow Note: for $E_{e1} < F < E_{e2}$, $\alpha(\hbar\omega) \propto N_1$ while for $E_{e2} < F$ $\alpha(\hbar\omega) = \text{const}$

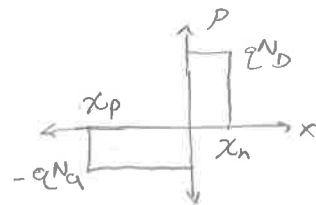
Lorentzian Broadening: $\delta(\Delta E) \rightarrow g(\Delta E) = \frac{1}{\pi} \frac{\frac{\Gamma}{2}}{\Delta E^2 + (\frac{\Gamma}{2})^2}$

$\alpha(\hbar\omega) \rightarrow \frac{\pi\omega}{n c \epsilon_0} g(\Delta E) (N_1 - N_2) |\mu_{21}|^2$

$E_{e2} - E_{e1}$

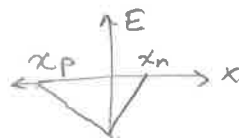
\rightarrow With Broadening: $\alpha_{max} = \frac{\pi\omega}{n c \epsilon_0} \frac{1}{\pi} \frac{1}{\Gamma/2} \frac{m_e^*}{\pi \hbar^2 L_z} E_{21}^e |\mu_{21}|^2$

PN Junction Review (see EE230A notes)

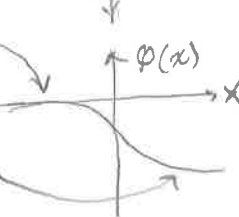


Step Junction Approx: $N_a x_p = N_d x_n$

Electric Field: $\nabla \cdot \bar{D} = \rho$, $\bar{D} = \epsilon \bar{E} \Rightarrow \bar{D} \sim \int \rho dx$



Electric Potential: $\phi(x) = \int E dx \Rightarrow \frac{-q^2 N_a}{2\epsilon_p} (x+x_p)^2$



Built-in Potential $\equiv \phi_{bi}$

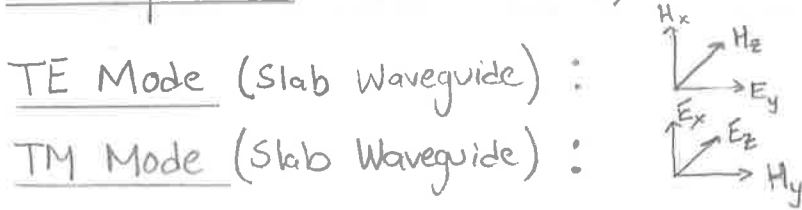
$$\frac{q^2 N_a}{2\epsilon_n} (x-x_n)^2 - q\phi_{bi}$$

I-V Characteristics: $I = I_0 (e^{qV/kT} - 1) = q \left(\frac{D_n}{L_n} n_{p0} + \frac{D_p}{L_p} p_{n0} \right) (e^{qV/kT} - 1)$

△ Review, especially hetero junctions

Waveguides, effective Index, etc

Wave Equation: $(\nabla^2 + \omega^2 \mu \epsilon) \vec{E} = 0$



Solving Slab waveguide Problems (TE Mode):

- ① Wave Equation: $(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial z^2} + \omega^2 \mu \epsilon) E_y = 0$
- ② Assume $E_y = e^{ik_z z} \phi(x)$
- ③ From boundary conditions, guess $\phi(x) = \begin{cases} c_0 e^{-\alpha(|x| - d/2)} & \text{if } |x| \geq d/2 \\ c_1 \cos(k_x x) & \text{if } |x| \leq d/2 \text{ (Even Modes)} \\ c_1 \sin(k_x x) & \text{if } |x| \leq d/2 \text{ (Odd Modes)} \end{cases}$
- ④ Substitute solutions into WE $\rightarrow \alpha^2 + k_x^2 = \omega^2 (\mu_1 \epsilon_1 - \mu \epsilon)$
- ⑤ Use Boundary conditions: E_y continuous at $x = d/2 \Rightarrow c_0 = c_1 \cos(k_x d/2)$
and $H_z = \frac{1}{i\omega \mu} \frac{\partial E_y}{\partial x}$ continuous at $x = d/2 \Rightarrow \frac{\alpha}{\mu} c_0 = \frac{1}{\mu_1} c_1 k_x \sin(k_x d/2)$
- ⑥ Divide Results: $\alpha = \frac{\mu}{\mu_1} \tan(k_x d/2)$ } Transcendental Equation \rightarrow Solve for k_x
- ⑦ Use w/ $\alpha^2 + k_x^2 = \omega^2 (\mu_1 \epsilon_1 - \mu \epsilon)$
- ⑧ Use k_x to find α & $k_z \rightarrow$ Use k_z to solve for effective index

Single Mode Condition: $V < \pi$ where $V = k_0 d \sqrt{n_1^2 - n^2}$

$\rightarrow \Delta \sqrt{(\frac{d}{2})^2 + (\frac{k_x d}{2})^2} = \frac{\omega d}{2} \sqrt{\mu_1 \epsilon_1 - \mu \epsilon} < \frac{\pi}{2}$ ← Why is this the requirement

Confinement Factor (Symmetric Waveguide): $\Gamma \approx \frac{V^2}{2 + V^2}$ { Assumes Δn not too large

Effective Index: $k_z = n_{eff} k_0$

Modes Supported by Cavity: $f_m = m \frac{c}{2n_{eff} L} \Rightarrow \Delta f = \frac{c}{2n_{eff} L} = \text{Mode Spacing}$

$\rightarrow n_{eff}$ depends on $f \Rightarrow \Delta f = \frac{c}{2n_{eff} L} \left[1 + \frac{f}{n_{eff}} \frac{dn_{eff}}{df} \right]$

⚠ Review Laser Types: Gain-Guided, Ridge Waveguide index-guided, Buried Heterostructure

Rate Equations

Quantities: N = electron concentration, V = active volume, I = current
 η_i = internal quantum efficiency, $S = N_p$ = photon density, $\alpha_m = \frac{\alpha_m}{\alpha_m + \alpha_i}$
 V_p = Optical Volume = V/Γ , τ_p = photon lifetime, η_o = quantum efficiency
 τ = carrier lifetime, $v_g = \frac{c}{n_{eff}}$

Rate Equations: ① $\frac{dN}{dt} = \frac{\eta_i I}{qV} - \frac{N}{\tau} - v_g g(N) S$ R_{sp} = Spontaneous emission Rate

② $\frac{dS}{dt} = \Gamma v_g g(N) S + \Gamma B R_{sp} - \frac{S}{\tau_p}$

Note: Recombination Rate: $\frac{1}{\tau} = \frac{1}{\tau_r} + \frac{1}{\tau_{nr}} = AN + BN^2 + CN^3$
radiative non-radiative radiative Auger

Simplifying Assumptions: $R_{sp} \approx 0$, steady state $\Rightarrow \frac{dN}{dt} = 0 = \frac{dS}{dt}$

$$g_{th} = \frac{\alpha_m + \alpha_i}{\Gamma} = \frac{1}{\Gamma} \frac{1}{\tau_p} \frac{1}{v_g}$$

→ Above Threshold ($S > 0$): $g(N) = g_{th} \rightarrow$ gain is "clamped"

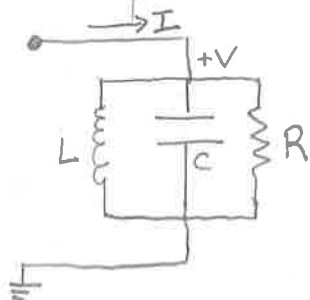
$$S = \frac{1}{v_g g_{th}} \frac{\eta_i}{qV} (I - I_{th})$$

$$P_{out} = \frac{h\nu}{q} \eta_i \eta_o (I - I_{th}) = \frac{5V_p}{\tau_p} h\nu \frac{\alpha_m}{\alpha_m + \alpha_i}$$

→ At threshold: $N_{th} = \frac{\eta_i I_{th} \tau}{qV}$

→ Below Threshold ($S = 0$): $N = \frac{\eta_i I \tau}{qV}$

A.C. Properties of a laser



$$I = I_L + I_C + I_R \quad \text{and} \quad I_C = C \frac{dV}{dt}$$

$$\Rightarrow \frac{d}{dt} \begin{pmatrix} V \\ I_L \end{pmatrix} = \begin{pmatrix} -1/RC & -1/C \\ 1/L & 0 \end{pmatrix} \begin{pmatrix} V \\ I_L \end{pmatrix} + \begin{pmatrix} 0 \\ I_C \end{pmatrix} \Rightarrow$$

determinant $\omega_R = \frac{1}{\sqrt{LC}}$
 $\gamma = \frac{1}{RC}$ ← damping

Small Signal Analysis: $\frac{1}{\tau_{DN}} = d(AN + BN^2 + CN^3) = A + 2BN + 3N^2$

$$\frac{d}{dt}(dN) = \frac{\eta_i}{qV} dI + \frac{1}{\tau_{DN}} dN - (v_g g ds + v_g s dg)$$

$$\frac{d}{dt}(ds) = \Gamma(v_g g ds + v_g s dg) - \frac{ds}{\tau_p} + \Gamma \frac{dN}{\tau_{DN}}$$

$R_{sp} = BN^2$
 $\Rightarrow d(BR_{sp} = \beta B N^2)$
 $= 2\beta B N = \frac{1}{\tau'_{DN}}$

Assume Logarithmic Gain Model:

$$g(N, s) = \frac{g_0}{1 + \epsilon s} \ln\left(\frac{N}{N_{tr}}\right)$$

$$dg = \frac{\partial g}{\partial N} dN + \frac{\partial g}{\partial s} ds \leftarrow g \rightarrow g(N, s)$$

$\rightarrow = a$
small

Yields linearized system:

$$\frac{d}{dt} \begin{pmatrix} dN \\ ds \end{pmatrix} = \begin{pmatrix} -\gamma_{NN} & -\gamma_{Ns} \\ \gamma_{sN} & -\gamma_{ss} \end{pmatrix} \begin{pmatrix} dN \\ ds \end{pmatrix} + \begin{pmatrix} \frac{\eta_i}{qV} dI \\ 0 \end{pmatrix}$$

$$\gamma_{NN} = \frac{1}{\tau_{DN}} + v_g a s$$

$$\gamma_{Ns} = v_g g - a_p v_g s$$

$$\gamma_{sN} = \Gamma v_g a s + \frac{\Gamma}{\tau'_{DN}}$$

$$\gamma_{ss} = \Gamma v_g g - \frac{1}{\tau_p} + \Gamma s a_p$$

! To find resonant frequency of laser,

we assume time-harmonic dependence

And then set determinant of matrix equal to zero \rightarrow solve for omega

Relaxation Oscillation Frequency: $\omega_R^2 = \frac{v_g a s}{\tau_p}$ where $a = \frac{\partial g}{\partial N}$

\rightarrow 2nd Order Efficiency: $\frac{P_i}{I_i} = \left(\eta_i \eta_0 \frac{h\nu}{q}\right) H(\omega) \rightarrow H(\omega) = \frac{\omega_R^2}{\omega_R^2 - \omega^2 + j\omega\gamma}$

$\rightarrow |H(\omega_R)|^2 = \frac{\omega_R^2}{\gamma^2}$

\rightarrow 3dB frequency: $\omega_{3dB} \approx 1.5\omega_R \leftarrow |H(\omega_{3dB})|^2 = \frac{1}{2}$ solve for ω_{3dB}

$\rightarrow \gamma = \gamma_{NN} + \gamma_{ss} = \frac{1}{\tau_{DN}} + v_g a s + \Gamma v_g s a_p$

often we write: $\gamma = k f_R^2 + \gamma_0$ $k = 4\pi^2 \tau_p \left(1 + \frac{\Gamma a_p}{a}\right)$

k-factor
Nonlinear gain

Gain Models: Linear: $g(N) = a(N - N_{tr})$

logarithmic: $g(N) = g_0 \ln \frac{N}{N_{tr}}$

Transparency Condition: $\Delta F = E_g = F_c - F_v$

⚠ Under transparency, $F_c - E_c = E_v - F_v \Rightarrow$ Use to find transparency concentration!

If $m_e^* < m_h^* \Rightarrow N \approx N_c \frac{4}{3\sqrt{\pi}} \left(\frac{F_c - E_c}{k_B T} \right)^{3/2} = N_c \frac{4}{3\sqrt{\pi}} \Delta^{3/2}$
 $\Rightarrow P \approx N_v e^{-F_v - E_v / kT} = N_v e^{-\Delta}$

Assume $N = P \Rightarrow \boxed{\frac{4}{3\sqrt{\pi}} \Delta^{3/2} = \left(\frac{m_h^*}{m_e^*} \right)^{3/2} e^{-\Delta}}$ \Rightarrow Solve for Δ & use to find N_{tr}

In a 2D quantum well:

$N = \left(\frac{m_e^* kT}{\pi \hbar^2 L_z} \right) \frac{F_c - E_c}{kT}$ and $P = \left(\frac{m_h^* k_B T}{\pi \hbar^2 L_z} \right) e^{-F_v - E_v / kT}$
 $\Rightarrow \boxed{\Delta = \frac{m_h^*}{m_e^*} e^{-\Delta}}$

Transparency Current: $I_{tr} = \frac{q N_{tr}}{\tau} d \cdot A$ Active Volume

⚠ Quantum wells have smaller volume than DHs \Rightarrow smaller transparency current

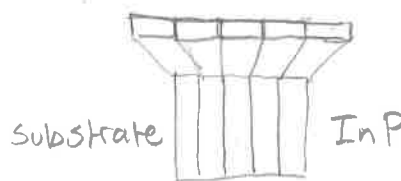
⚠ QWs can be strained in order to lower transparency concentration

Ideal QW transparency concentration: $N_{tr} = \frac{m_e^*}{\pi \hbar^2 L_z} k_B T \ln 2$ ← Review how to get this

Strained Semiconductors:

Trend: $a \uparrow E_{g \downarrow}$ and $a \downarrow E_{g \uparrow}$

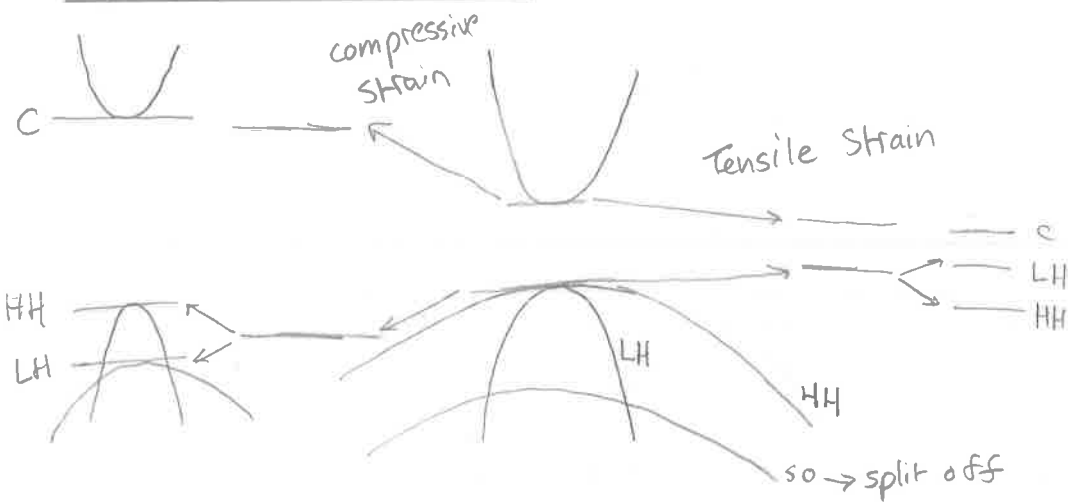
\hookrightarrow tensile strain $\rightarrow E_g$ increases; compressive strain $\rightarrow E_g$ decreases



Hydrostatic Strain: Uniform Strain

Blaxial Strain: strain along 2 of 3 axes

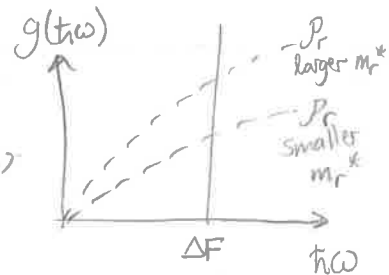
Effects of strain:



Note: "Heavy Hole" and "light hole" effective masses correspond to direction \perp to quantum well

! Want compressive strain for low threshold lasers

! Want tensile strain for amplifier

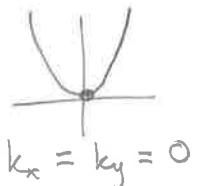


Polarization Selection Rules:

Where does

	TE \hat{x}, \hat{y}	TM, \hat{z}	2TE + TM
C \rightarrow HH	$\frac{3}{4}(1 + \cos^2\theta) M_b^2$ <small>compressive QW</small>	$\frac{3}{2} \sin^2\theta M_b^2$	$3 M_b^2$
C \rightarrow LH	$(\frac{5}{4} - \frac{3}{4} \cos^2\theta) M_b^2$	$(\frac{1}{2} + \frac{3}{2} \cos^2\theta) M_b^2$ <small>tensile QW</small>	$3 M_b^2$
Sum Rule HH + LH	$2 M_b^2$	$2 M_b^2$	$6 M_b^2$

$\ominus \rightarrow$ Angular factor: $\cos^2\theta = \frac{k_z^2}{k_z^2 + (k_x^2 + k_y^2)}$ \rightarrow At Band Edge



Note: This table is just the Matrix elements corresponding $\Rightarrow \theta = 0, \cos\theta = 1$

e.g. $|\hat{x} \cdot \bar{P}_{C-HH}|^2 = \frac{3}{4}(1 + \cos^2\theta) M_b^2$ where $\mathcal{H}'_{C-HH} = \frac{-eA_0}{2m_0} (\hat{e} \cdot \bar{P}_{C-HH})$

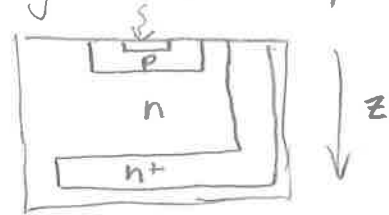
Note: In Bulk: $|\hat{x} \cdot \bar{P}_{C-HH}|^2 = |\hat{y} \cdot \bar{P}_{C-HH}|^2 = |\hat{z} \cdot \bar{P}_{C-HH}|^2 = |\hat{x} \cdot \bar{P}_{C-LH}|^2 = M_b^2$

Polarization Dependence → Review Chuang 4.1, 4.2, 9.5

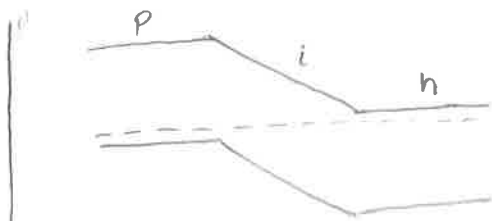
Detectors

Reverse Biased PN Junction: Only e-h pairs generated in depletion region are collected efficiently. E.g.

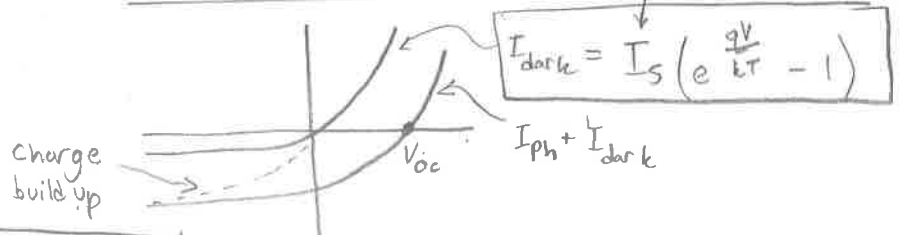
↳ Note: different wavelengths of light are absorbed at different depths
 ⇒ Use to make color-sensitive photo detectors



P-i-n Junction: Photodiode depletion width can be increased by adding intrinsic region ⇒ higher collection efficiency



I-V characteristics



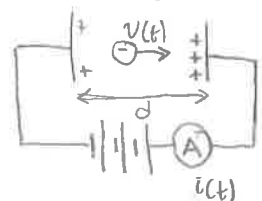
$$I_{\text{dark}} = I_s \left(e^{\frac{qV}{kT}} - 1 \right)$$

→ Photo current: $I_{\text{ph}} = \eta \frac{q}{h\nu} P_{\text{opt}}$

→ $\begin{cases} \eta = \text{Quantum Efficiency} [\%] \\ R = \text{Responsivity} = \eta \frac{q}{h\nu} [\text{A/W}] \end{cases}$

→ Ramo's Theorem: $i(t) = \frac{qV(t)}{d}$ (current only exists while electron is moving)

↳ Proof:



$$\begin{aligned} dW &= \text{Force} \times \text{Displacement} = qEdx = q \frac{V}{d} dx \\ &= \text{Work by Power supply} \\ &= i(t)V dt \\ \Rightarrow i(t)V dt &= q \frac{V}{d} dx \Rightarrow i(t) = \frac{q}{d} \frac{dx}{dt} = \frac{qV(t)}{d} \end{aligned}$$

→ Note: For each photon absorbed, only one charge is detected
 → can be shown by computing ^{total} current using Ramo's theorem & integrating.

P-i-n Temporal Response: 2 contributions: transit time & RC

① Transit Time: $\tau_t = d/v_h$ (hole mobility limited)

② RC Time: $\tau_{RC} = RC = R \frac{\epsilon A}{d}$

③ Total: $\tau = \tau_t + \tau_{RC} = \frac{d}{v_h} + R \frac{\epsilon A}{d}$

→ An optimum depletion width occurs when $\tau_t = \tau_{RC} \Rightarrow d_{opt} = \sqrt{R \epsilon A v_h}$

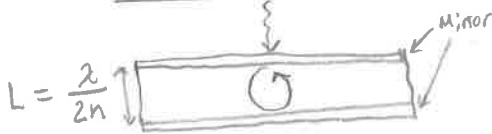
Bandwidth-Efficiency Tradeoff: Efficiency $\eta = \eta_i (1 - e^{-\alpha d})$

(Assuming transit-time limited) Bandwidth $f_{3dB} = \frac{v_h}{2\pi} \frac{1}{d}$

→ In the limit of small d (low efficiency): $\eta f_{3dB} \approx \frac{\alpha \eta_i v_h}{2\pi}$

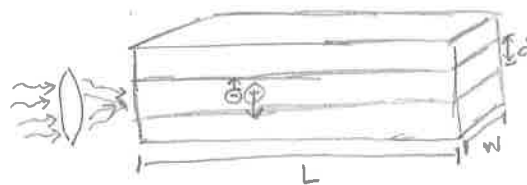
→ 3 improvements:

Resonant Enhanced:



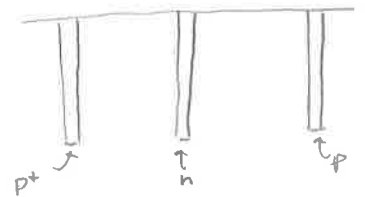
Note: high efficiency & f_{3dB} but spectrally dependent

Waveguide Detector:



$$f_{3dB} = \frac{1}{2\pi} \frac{d}{R \epsilon L W}$$

Trench Thingy



Expensive to Manufacture

Photoconductor: Reverse biased n-i-n junction → As long as a hole exists in the intrinsic region, electrons will continue to conduct

⇒ Photoconductive gain \approx # electron trips per hole trip

→ Current: $\Delta I \approx P_{opt} \left[\underbrace{\eta \frac{q}{h\nu}}_{\text{①}} \right] \underbrace{\frac{I_n}{\tau_t}}_{\text{②}}$

① P-i-n

② Photoconductive gain → Reduce bandwidth by same amount

Derivation: $\Delta I = A \Delta J$ where $J = \sigma E = (nq\mu_n + pq\mu_p) E$

Vary J : $\Delta J \approx \delta n \cdot q (\mu_n + \mu_p) E$ since $\delta n = \delta p$

In steady state: $\frac{d\delta n}{dt} = 0 = G_0 - \frac{\delta n}{\tau_n} \Rightarrow \delta n = G_0 \tau_n$ where $G_0 = \frac{P_{opt} \eta}{h\nu} \frac{1}{L W d}$

Assume $\mu_n \gg \mu_p \Rightarrow \Delta J \approx P_{opt} \frac{\eta}{h\nu} \frac{1}{L W d} I_n q \mu_n \frac{v_n}{\mu_n}$; $A = L W$; $\tau_t = \frac{v_n}{d}$

$$\Rightarrow \Delta I = P_{opt} \left(\eta \frac{q}{h\nu} \right) \frac{I_n}{\tau_t}$$

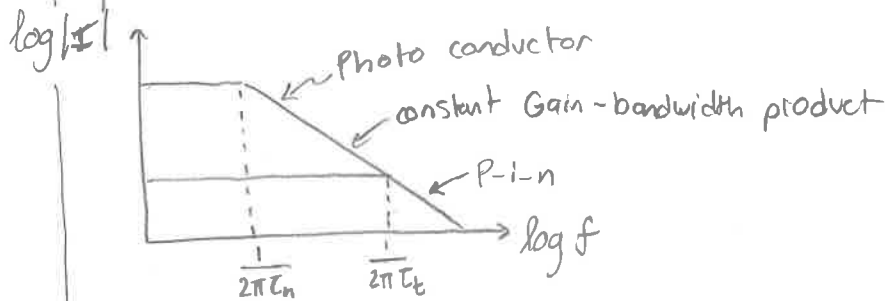
n-i-n bandwidth:

$$f_{3dB} = \frac{1}{2\pi} \frac{1}{\tau_n}$$

Note: BJT gain works the same way:

$$\text{Gain} = \beta = \frac{I_c}{I_b} = \left(\frac{\tau_b}{\tau_t} \right)$$

Frequency Response: (n-i-n vs p-i-n)



From the rate Equation: $\frac{dN}{dt} = \eta \frac{P_{opt}}{h\nu} \frac{1}{Lwd} - \frac{N}{\tau_n}$

Assume solution $N = N_0 + N_1 e^{j\omega t}$ & $P_{opt} = P_0 + P_1 e^{j\omega t}$

$$\Rightarrow j\omega N_1 e^{j\omega t} = [P_0 + P_1 e^{j\omega t}] \eta \frac{1}{h\nu} \frac{1}{Lwd} - \frac{N_0}{\tau_n} - \frac{N_1}{\tau_n} e^{j\omega t}$$

We consider AC & DC terms separately:

DC (steady state):

$$N_0 = \tau_n P_0 \left(\eta \frac{q}{h\nu} \right) \frac{1}{Lwd} = \tau_n G_0$$

AC:

$$N_1 = \frac{\eta P_1}{h\nu(Lwd)} \frac{1}{j\omega + 1/\tau_n}$$

Frequency Response $\rightarrow \frac{I_1}{P_1} = \frac{J_1 L w}{P_1} = \frac{N_1 q v_n L w}{P_1} = \boxed{\frac{\eta q}{h\nu} \left(\frac{\tau_n}{\tau_t} \right) \frac{1}{1 + j\omega \tau_n}}$

Noise

Poisson Statistics: $P(n) = \frac{\bar{n}^n}{n!} e^{-\bar{n}}$ where $\bar{n} = \langle n \rangle = \text{average}$

Properties: $\langle (n - \bar{n})^2 \rangle = \bar{n}$ (variance equals mean)

Shot Noise:

$$\overline{i_n^2} = 2q \bar{I} d\nu$$

Arises as a result of the discrete nature of charge.

Thermal Noise:

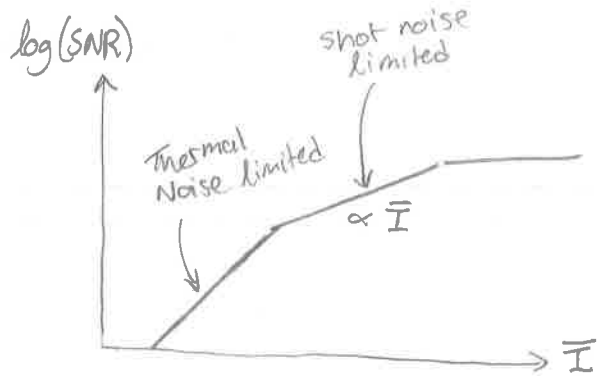
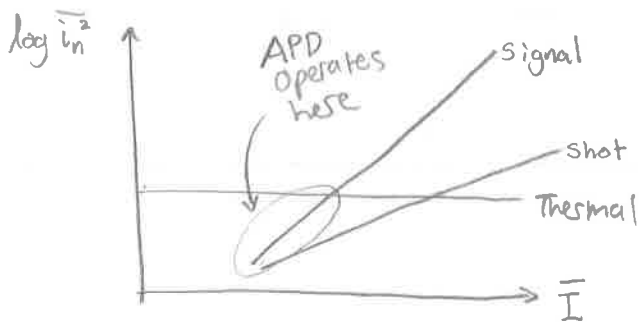
$$\overline{i_{th}^2} = \frac{4kT d\nu}{R}$$

⚠ Review Derivation of noise formulas!!

Signal-to-Noise Ratio (SNR):

$$\begin{cases} \text{Signal: } \bar{I}^2 \\ \text{Noise: } \overline{i_{n,shot}^2} + \overline{i_{n,thm}^2} + \dots \end{cases}$$

$$\Rightarrow \text{SNR} = \frac{\bar{I}^2}{2q\bar{I}\Delta\nu + \frac{4kT}{R}\Delta\nu}$$



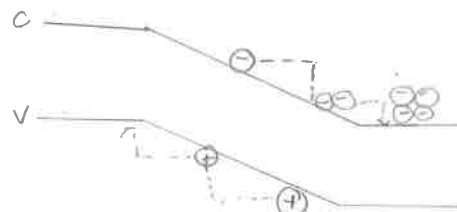
Note: Photoconductors are at a disadvantage since signal $\sim I_{ph}$ but $\overline{i_{n,shot}^2} \sim 2q(I_{ph} + I_{dark} + \dots)$.

Avalanche Photodiode:

↳ Impact ionization: excited electrons excite more electrons

↳ holes can also cause impact ionization which can lead to a runaway process.

↳ Separate-absorption-multiplication (SAM)

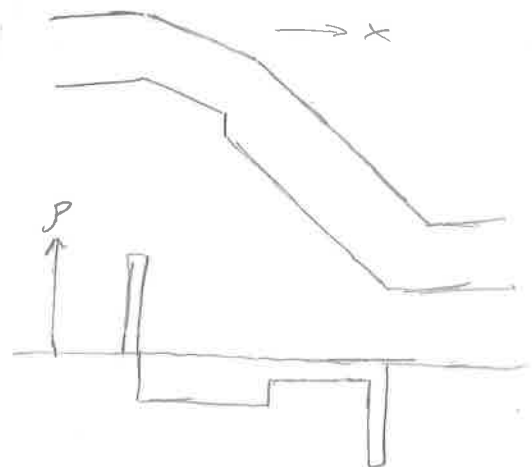


Governing Equations:

$$\frac{dJ_n(x)}{dx} = \alpha_n J_n(x) + \beta_p J_p(x)$$

$$-\frac{dJ_p(x)}{dx} = \alpha_n J_n(x) + \beta_p J_p(x)$$

And $J = J_n(x) + J_p(x)$



Multiplication Factor:

$$M = \frac{J}{J_n(0)}$$

← This is what we care about!
It is the gain

If we assume α_n & β_p are const:

$$M = \frac{1-k}{e^{-(1-k)\alpha_n W} - k}$$

where

$$k = \frac{\beta_p}{\alpha_n} < 1$$

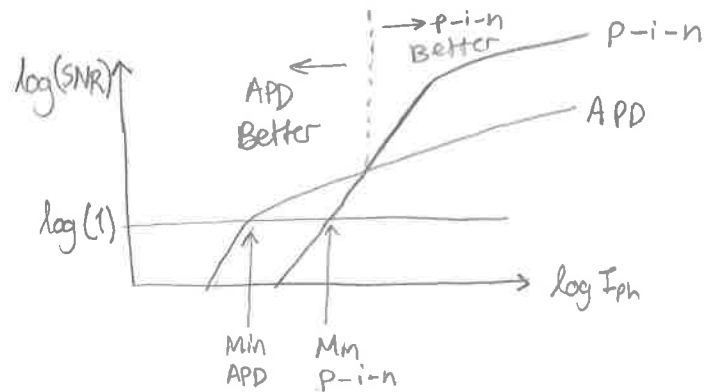
! Ideally we want $k \approx 0$, $k=1$ is bad \Rightarrow instability

Noise Factor:
$$F = \frac{\langle M^2 \rangle}{\langle M \rangle^2} = k \langle M_n \rangle + (1-k) \left(2 - \frac{1}{\langle M_n \rangle} \right)$$

APD SNR:
$$SNR = \frac{\frac{1}{2} I_{ph}^2 \langle M \rangle^2}{2q(I_{ph} + I_{dark}) F \langle M \rangle^2 \Delta\nu + 4kT\Delta\nu/R}$$

\Rightarrow APD is a good choice at low currents, ie good choice if thermal noise dominates!

Comparison of APD & P-i-n :



Semiconductor Review

Maxwell's Equations: $\nabla \times \vec{E} = -\frac{\partial \vec{B}}{\partial t}$; $\nabla \times \vec{H} = \vec{J} + \frac{\partial \vec{D}}{\partial t}$
 $\nabla \cdot \vec{D} = \rho$; $\nabla \cdot \vec{B} = 0$

where $\vec{D} = \vec{\epsilon} \cdot \vec{E}$; $\vec{B} = \vec{\mu} \cdot \vec{H}$

Continuity Equation: $\nabla \cdot \vec{J} + \frac{\partial \rho}{\partial t} = 0$

Boundary Conditions: $\hat{n} \times (\vec{E}_1 - \vec{E}_2) = 0$; $\hat{n} \times (\vec{H}_1 - \vec{H}_2) = \vec{J}_s$ } Review Derivation
 $\hat{n} \cdot (\vec{D}_1 - \vec{D}_2) = \sigma$; $\hat{n} \cdot (\vec{B}_1 - \vec{B}_2) = 0$ }

↳ Derive from integral form of Maxwell's equations

Quasi-electrostatics: $\frac{\partial}{\partial t} \approx 0 \Rightarrow \nabla \times \vec{E} = 0$; $\nabla \cdot \vec{D} = \rho \Rightarrow \vec{E} = -\nabla \phi$

↳ For moderate frequencies, we can "correct" the total current density by adding the displacement current density to the "conduction" current density.

$$\vec{J}_{tot} = \vec{J}_{con} + \frac{\partial}{\partial t} (\epsilon \vec{E})$$

Poisson's Equation: $\nabla \cdot (\epsilon \nabla \phi) = -\rho \leftarrow \rho = q(p - n + C_0)$

$C_0 = N_D^+ - N_A^-$

Current Continuity Equation for Carriers:

$$\frac{\partial n}{\partial t} = R + \frac{1}{q} \nabla \cdot \vec{J}_n \quad ; \quad \frac{\partial p}{\partial t} = R - \frac{1}{q} \nabla \cdot \vec{J}_p$$

where $R = G_n - R_n = G_p - R_p$ is the total generation rates for electrons & holes

Carrier Transport Equations: $\vec{J}_n = q \mu_n n \vec{E} + q D_n \nabla n$ (Mobility, diffusion coefficient)
 $\vec{J}_p = q \mu_p p \vec{E} - q D_p \nabla p$

