



Modulation Formats Which Approach the Shannon Limit

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Symbols and Acronyms

EDFA: Erbium doped fibre amplifier
WDM: Wavelength division multiplexing
FEC: Forward error correction
C+L: Particular amplification wavelengths
PDH: Plesiochronous Digital Hierarchy
SDH: Synchronous Digital Hierarchy
IP: Internet Protocol
QAM: Quadrature Amplitude Modulation
SSB: Single side band
ASK: Amplitude shift Keying
PSK: Phase shift keying
m: number of constellation points
BER: Bit error ratio
LDPC: Low Density Parity Check
OSNR: Optical signal to noise ratio
ASE: Amplified spontaneous emission
DSP: Digital signal processing
DFB: Distributed feedback laser
MZM: Mach Zehnder modulator
RZ: Return to Zero
DPSK: Differential PSK
CS: Carrier suppressed
Pol: Polarisation
OFDM: Orthogonal frequency domain multiplexing
CoWDM: Coherent WDM
ASIC: Application specific integrated circuit

C: Channel capacity
B: Channel bandwidth
 N_0 : Noise spectral density
 P_b : Bit energy
snr: Signal to noise ratio
Q(x): Q function for a Gaussian random variable
 E_s : Energy value to quantify size of a constellation
 E_b : Mean energy of a symbol
 e_i : Complex field value
 λ : Wavelength
c: Speed of light
 N_{amps} : Number of amplifiers
G: Amplifier gain
 n_{sp} : Spontaneous emission factor
h: Plank's constant
 ν : Frequency
D: Dispersion
 γ : Nonlinear coefficient
 L_{eff} : Effective length



A small selection of related sessions

| | Short Courses | Workshops | Tutorials | Sessions/Invited Speakers |
|----------------------|-------------------------------------|---|--|---|
| Communication Theory | | | Digital Coherent Receivers. | Franceschini |
| FEC | | | | Kschischang |
| Non-linear effects | Modeling & Design | Electronic Signal Processing and the Design of Optical Transport Systems | Capacity Limits of Fibers. Impact and Mitigation of Non-Linear Effects. | Nakazawa, Bigo, Fuerst, Shieh, Sun, Sakamoto, Sano, George |
| Modulation formats | WDM in Long-Haul Modulation Format | Single-Carrier Versus Multiple-Carrier Modulation Formats for WDM Systems | | |
| New Technologies | Photonic ICs Electronic Circuits | 100Gbit/s for \$100 | Photonic Crystal Fibers. | Prevost, Brès, Krauss, Kaneko, Klamkin, Morse, Hauske, Yoo, Clarke, |

Reinforce

Consolidate

Build on

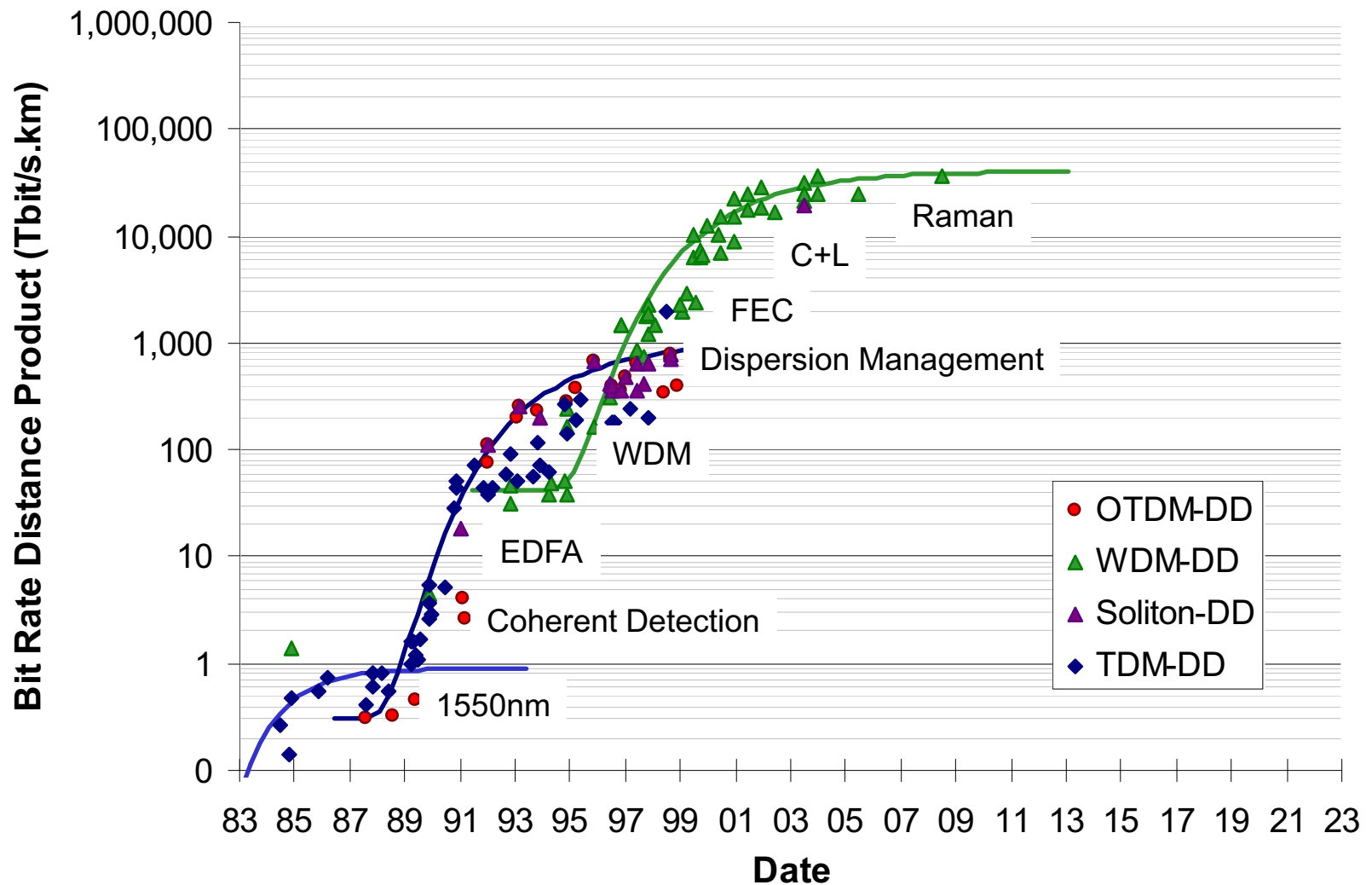
Highlight



- Trends in optical communication
- Shannon limit
 - Generic communication theory
 - Forward Error Correction Codes
- Optical Systems
 - Capacity limit for non-linear systems
 - Multi-level modulation formats
 - Breaking the current limit

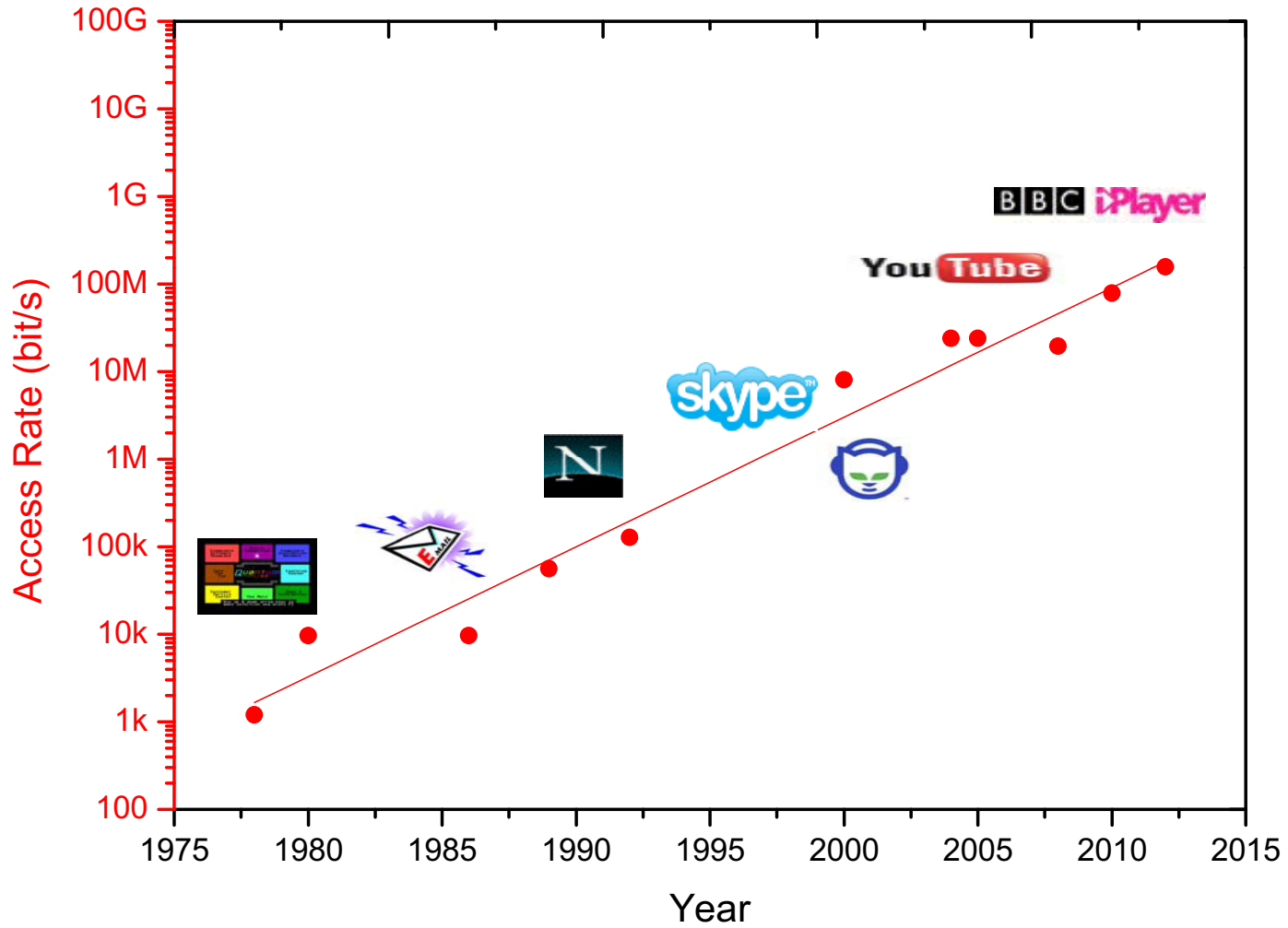


Maximum capacity (research)



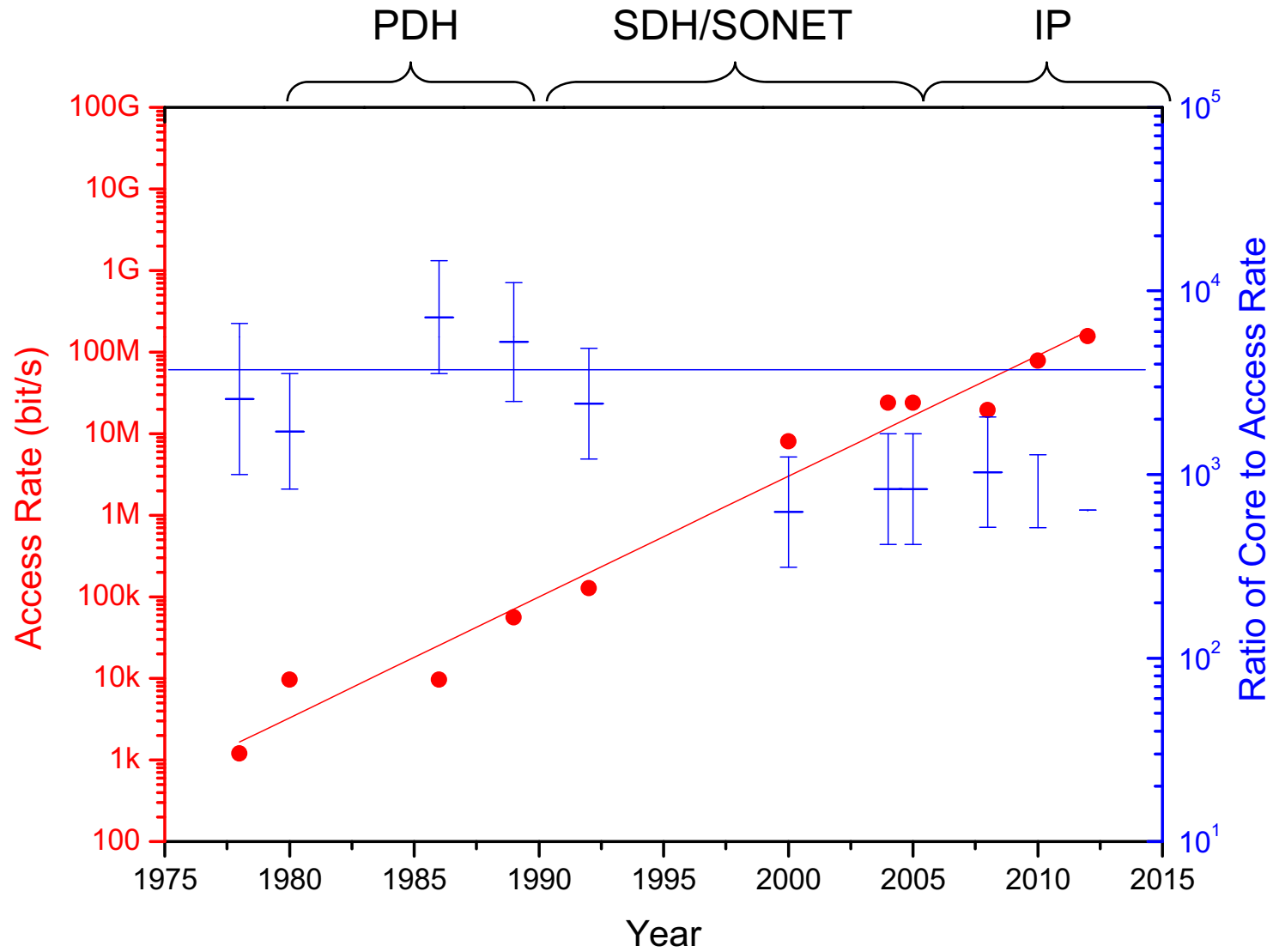


User Demand



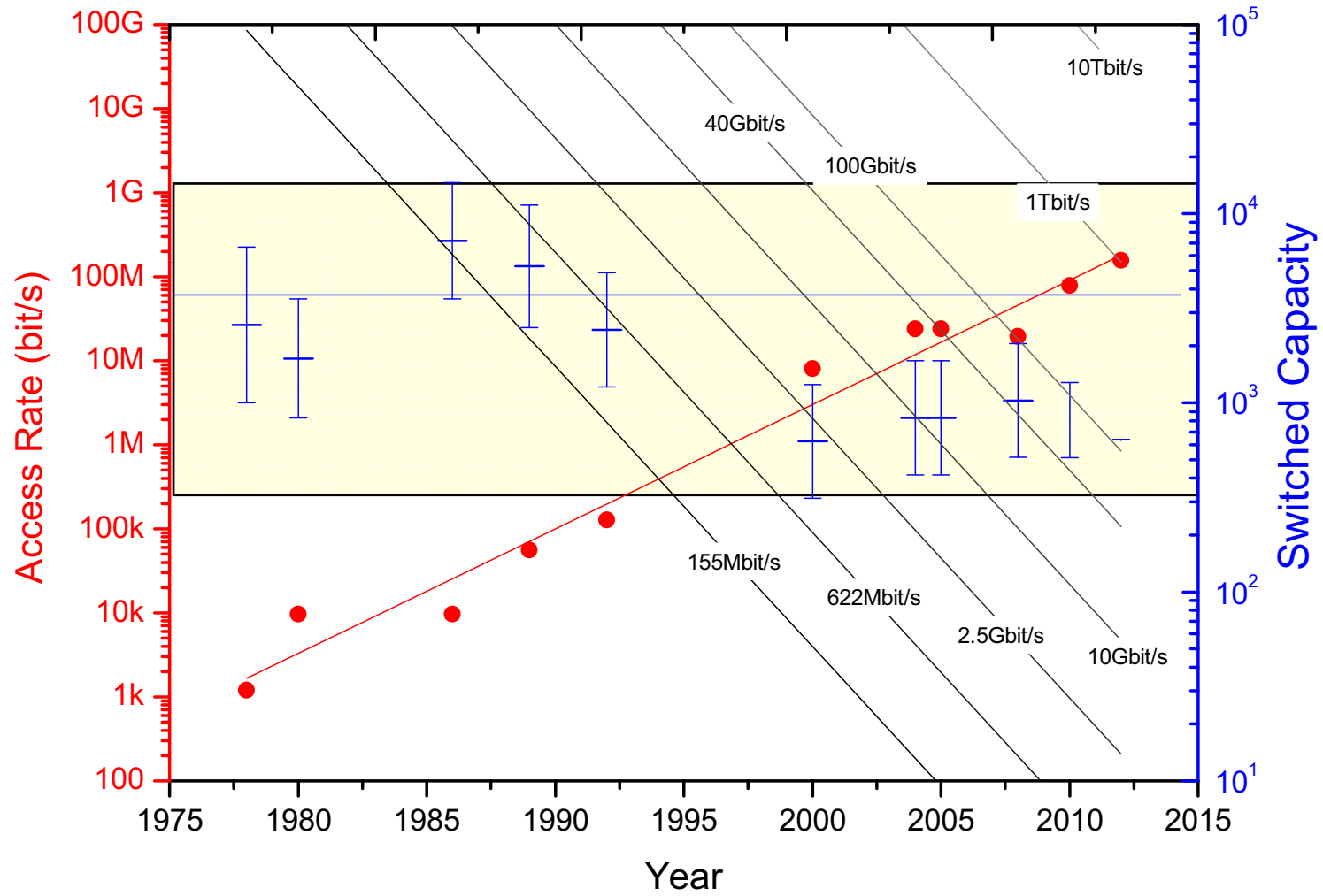


Network Architecture





Switching Capacities





- Trends in optical communication
- Shannon limit
 - Generic communication theory
 - Forward Error Correction Codes
- Optical Systems
 - Capacity limit for non-linear systems
 - Multi-level modulation formats
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- Shannon's Second Theorem - The Noisy Channel Coding Theorem

- C.E.Shannon, "A Mathematical Theory of Communication", Bell Syst. Tech. J., 27, pp379-423 & pp623-656
- "Reliable communication over a **discrete memory-less** channel is possible if the communication rate R satisfies $R < C$, where C is the channel capacity. At rates higher than the capacity, reliable communication is impossible."

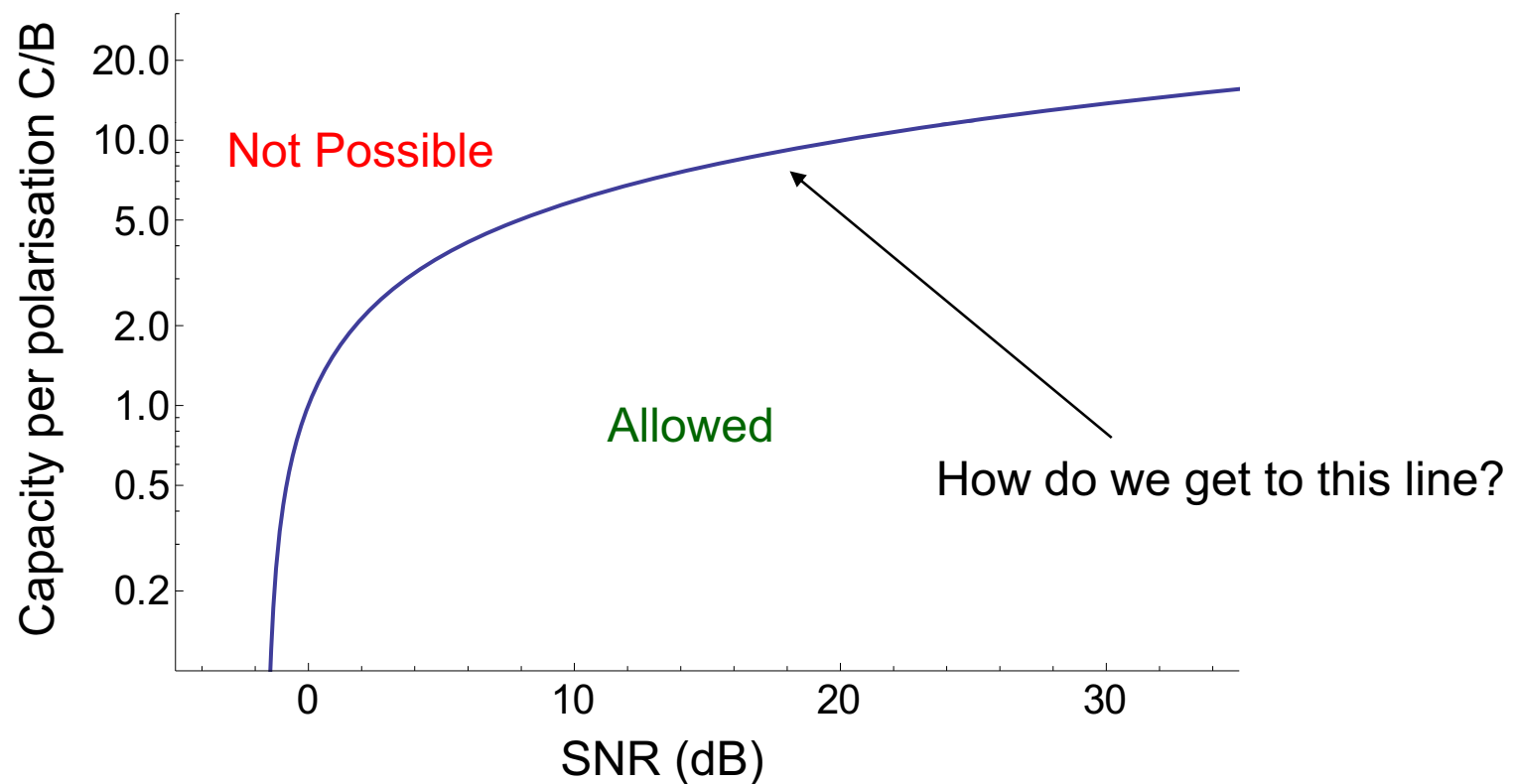
$$\begin{aligned}
 C/B &= \iint p_{Y,X}(y, x) \log_2 \frac{p_{Y,X}(y, x)}{p_Y(y)p_X(x)} dy dx \\
 &= - \int p_Y(y) \log_2 p_Y(y) dy + \iint p_{Y,X}(y, x) \log_2 p_{Y|X}(y|x) dy dx \\
 &= H(Y) - H(Y|X),
 \end{aligned}$$

$$C = B \cdot \log_2 \left(1 + \frac{P}{N_o B} \right)$$

- At infinite bandwidth

$$C_\infty = \frac{P}{N_o} \log_2 e$$

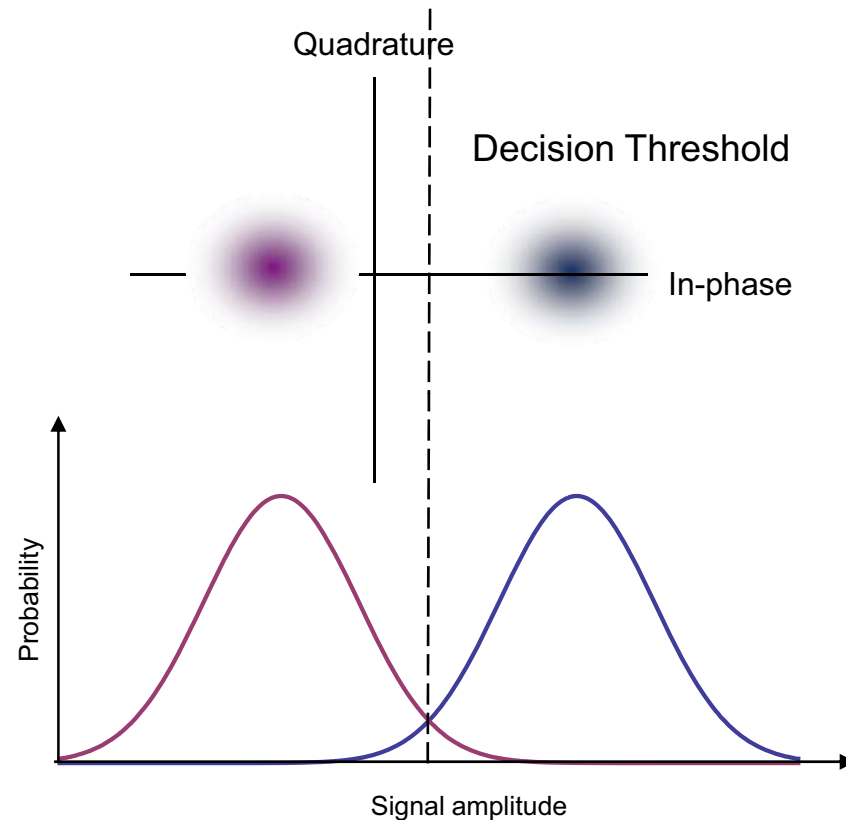
Information Spectral Density of ideal memory-less AWGN channel



- Linear (coherent) detection
- Hard decision
- Assume memory-less AWGN channel
- Signal-independent noise
 - Thermal noise, local oscillator shot noise limited system
- Calculate probability that each bit “escapes”

Calculation of required SNR

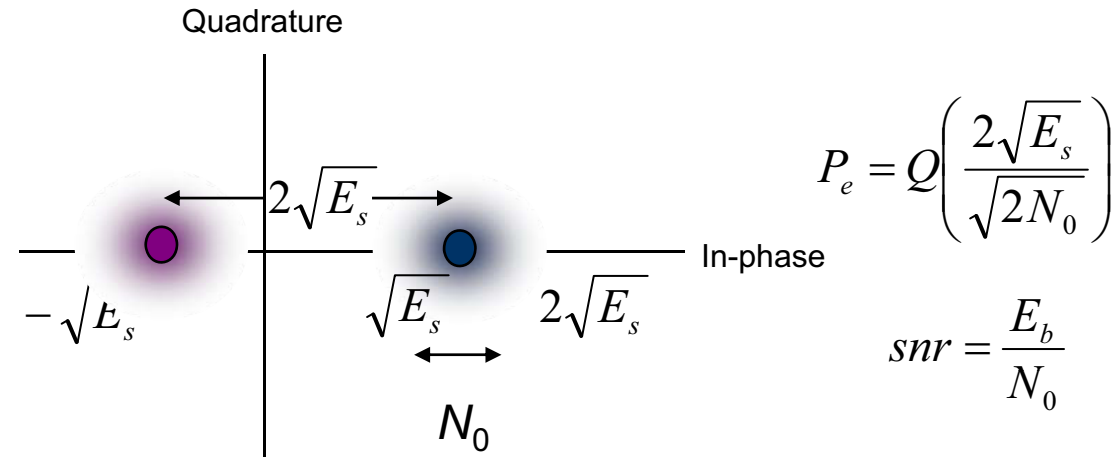
1: Bit Error Rate



$$P_e = \frac{Q\left(\frac{|e_1 - e_2|}{2} \sqrt{\frac{2}{N_0}}\right)}{2} + \frac{Q\left(\frac{|e_1 - e_2|}{2} \sqrt{\frac{2}{N_0}}\right)}{2} = Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)$$

Calculation of required SNR

1: Signal to Noise Ratio



PSK or bi-polar ASK

$$E_b = \frac{E_s}{2} + \frac{E_s}{2} = E_s$$

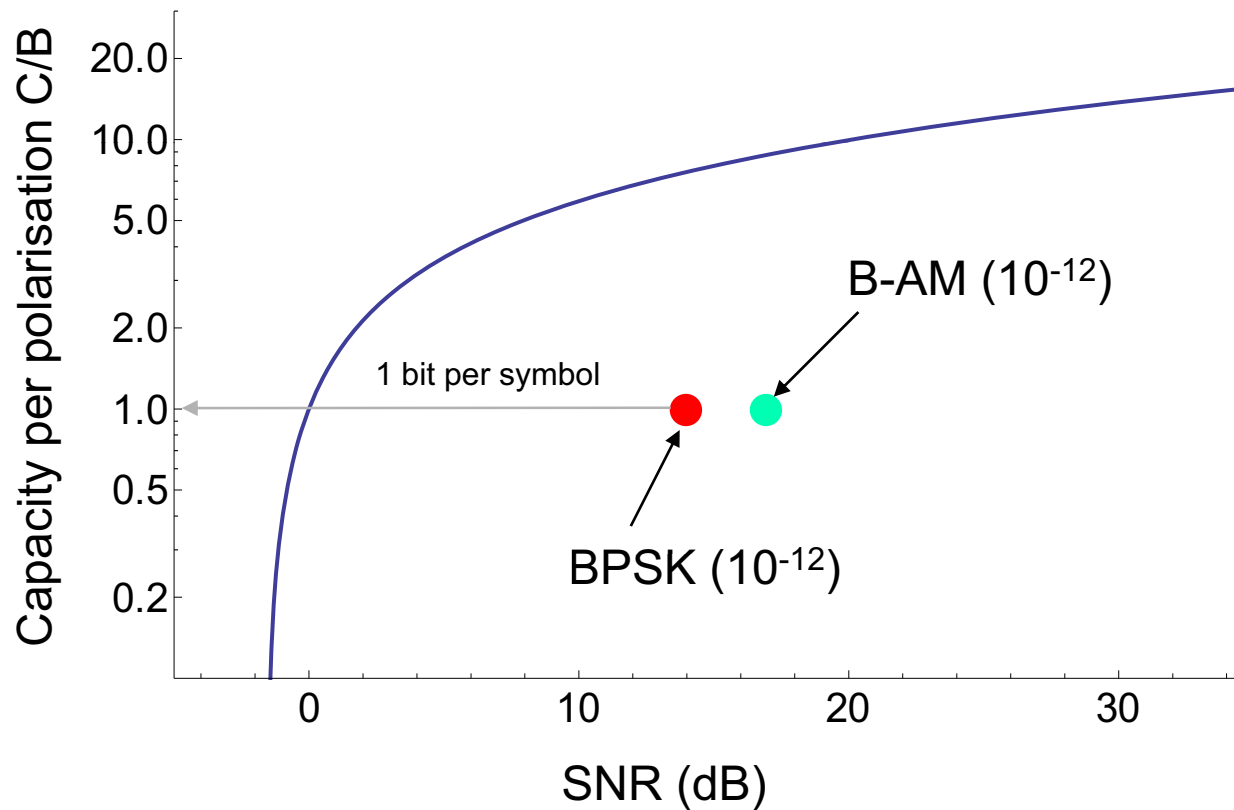
$$P_e = Q(\sqrt{2 \cdot snr})$$

AM or uni-polar ASK

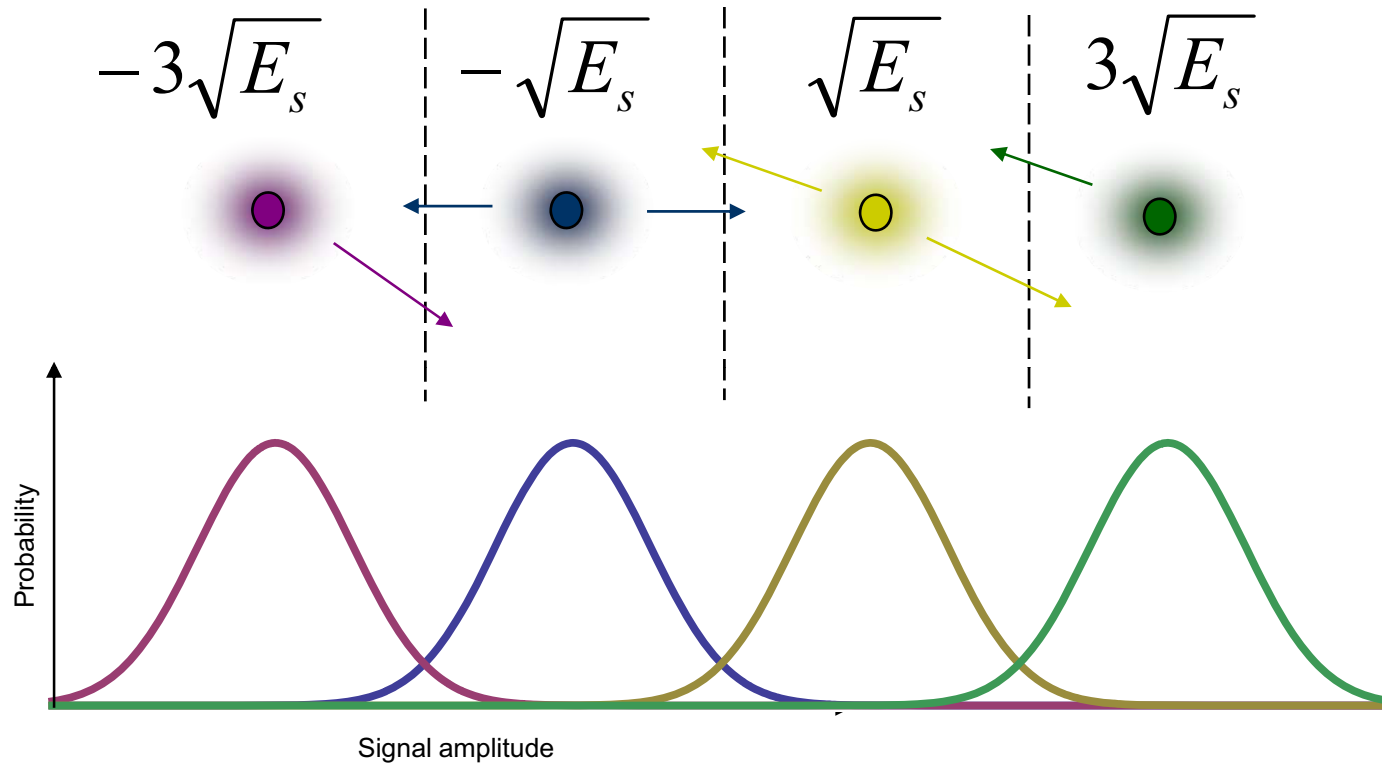
$$E_b = \frac{0}{2} + \frac{4E_s}{2} = 2E_s$$

$$P_e = Q(\sqrt{snr})$$

Information Spectral Density of ideal memory-less AWGN channel

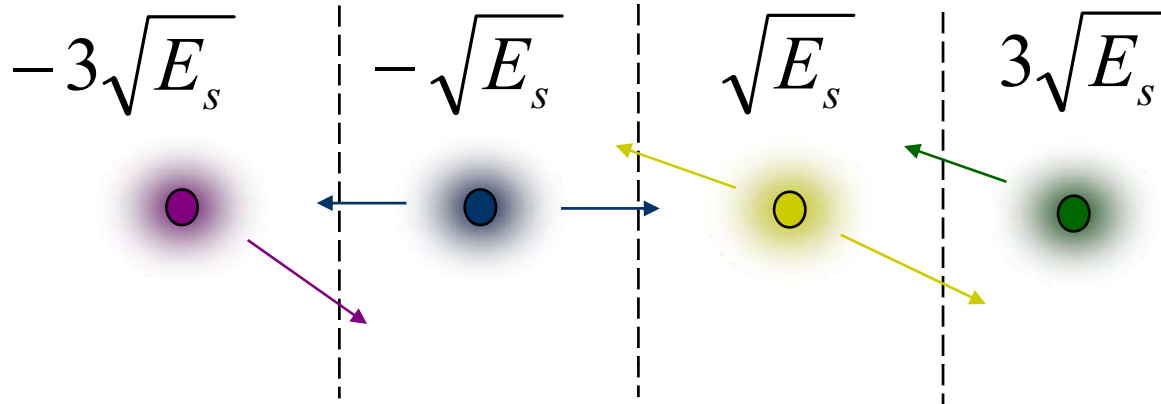


Extending to higher order modulation



$$P_e = \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + 2 \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} = \frac{3}{2} Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)$$

Extending to higher order modulation

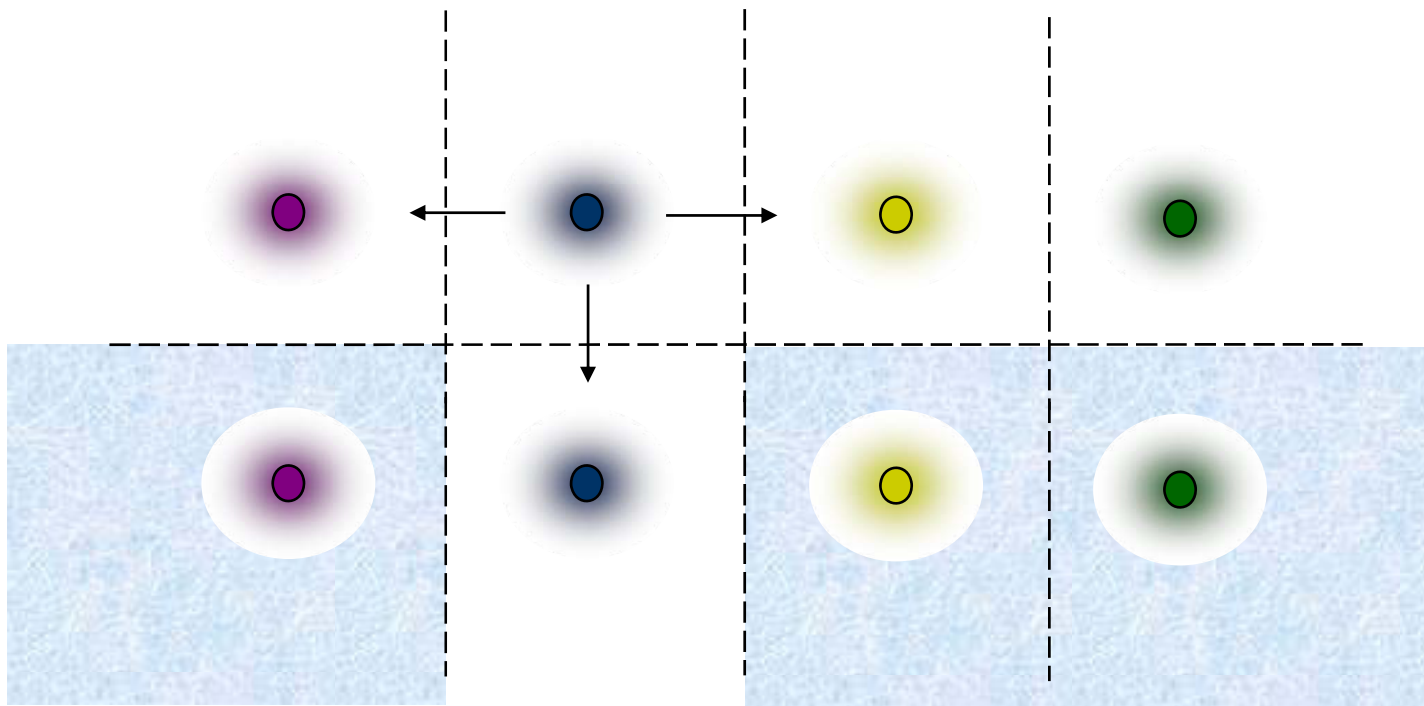


Probability

$$E_b = \frac{9}{4}E_s + \frac{1}{4}E_s + \frac{1}{4}E_s + \frac{9}{4}E_s = 5E_s$$

$$P_e = \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + 2 \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + 2 \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} + \frac{Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)}{4} = \frac{3}{2} Q\left(\frac{|e_1 - e_2|}{\sqrt{2N_0}}\right)$$

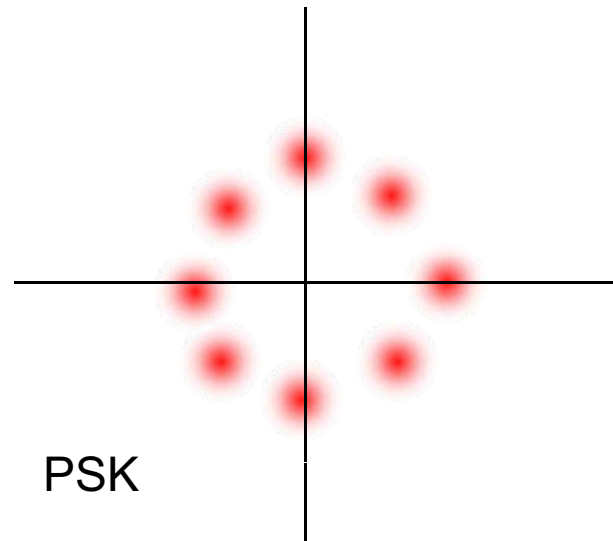
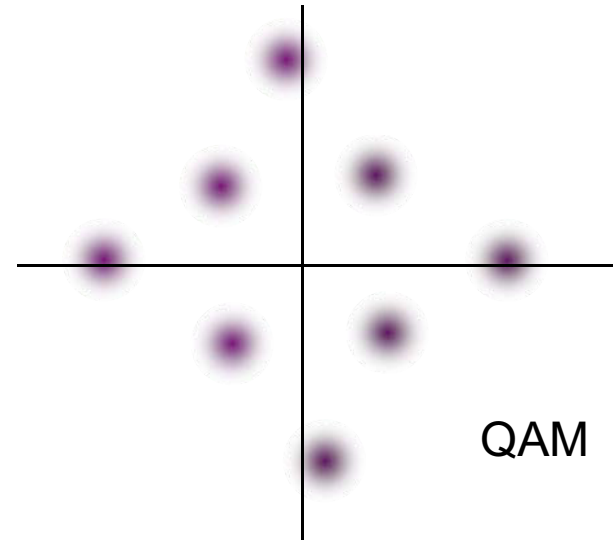
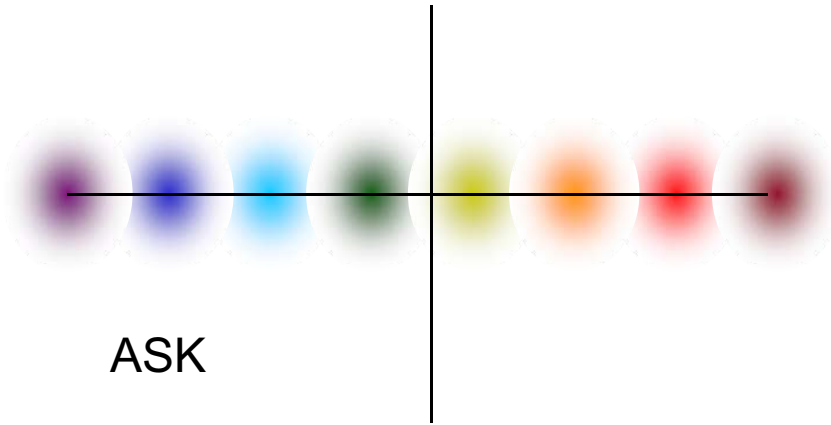
Extending to higher order modulation



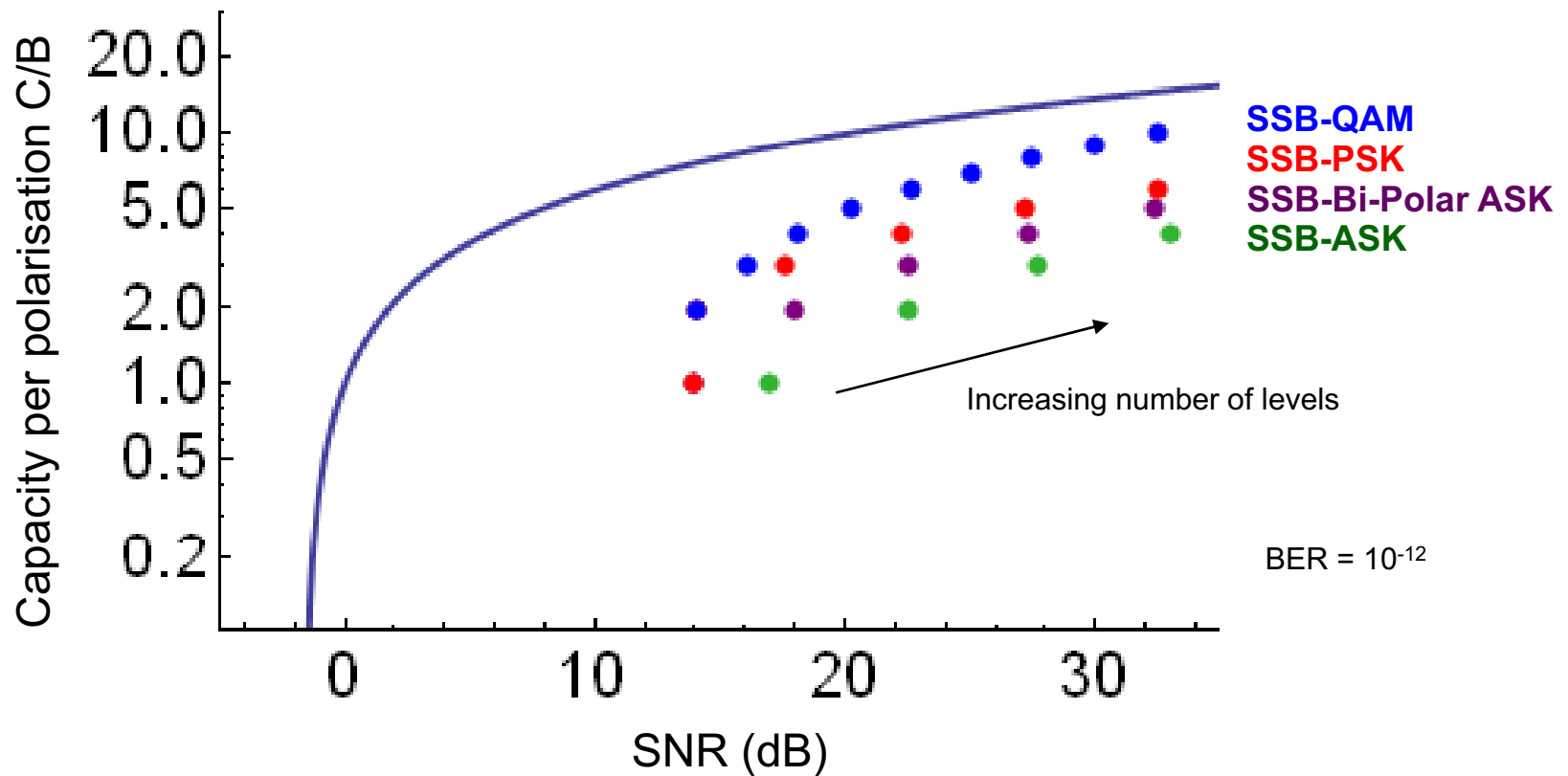
1. Calculate minimum distance ($e_1 - e_2$, $2\sqrt{E_s}$)
2. Determine symbol noise level (N_0)
3. Calculate BER using symbol probability and effective number of boundaries
4. Calculate energy per bit E_b as a function of E_s
5. Substitute E_b for E_s and snr for E_b/N_0 to give BER as a function of snr
6. Calculate ISD from number of levels and symbol probability



Signal Constellations



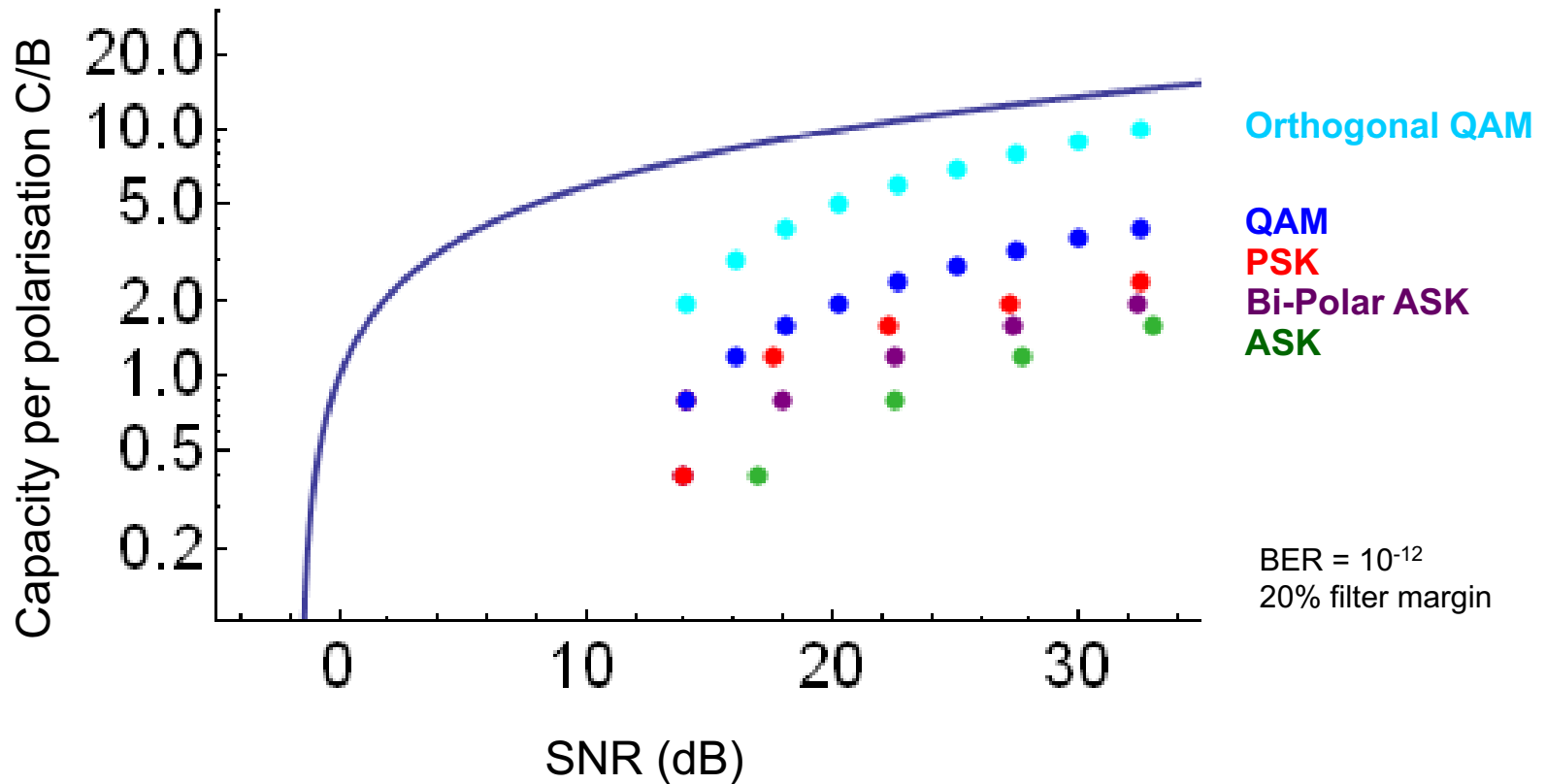
Information Spectral Density of common multi-level modulation formats





Impact of Optical Demultiplexing and Practical Optical Modulation

20% Guard Band for Filtering
Double Side Band Modulation for ASK and PSK



- Unconstrained modulation (amplitude + phase) with direct detection

$$\frac{C}{B} \cong \log_2(1 + snr)$$

- Phase modulation with coherent detection

$$\frac{C}{B} \cong \frac{1}{2} \log_2(snr) + 1.1$$

- Unconstrained modulation (amplitude + phase) with coherent detection

$$\frac{C}{B} \cong \frac{1}{2} \log_2(snr) - 1.0$$

Definition

$$Q(x) \equiv \frac{1}{2} \operatorname{Erfc}\left(\frac{x}{\sqrt{2}}\right)$$

Bi-polar ASK

$$P_e = 2 \frac{m-1}{m} Q\left(\sqrt{\frac{6 \cdot \log_2(m)}{m^2-1} \operatorname{snr}}\right)$$

Uni-polar ASK

$$P_e = 2 \frac{m-1}{m} Q\left(\sqrt{\frac{6 \log_2(m)}{m^2-1} \operatorname{snr} \cdot p_r(m)}\right), p_r(m) = \frac{\sum_{i=1}^{m/2} (2i-1)^2}{2 \sum_{i=1}^m (i-1)^2}$$

PSK (low BER)

$$P_e \approx \begin{cases} Q(\sqrt{2 \operatorname{snr}}) & m=2 \\ Q(\sqrt{2 \operatorname{snr}}) \left\{ 1 - \frac{1}{2} Q(\sqrt{2 \operatorname{snr}}) \right\} & m=4 \\ \frac{2}{\log_2(m)} Q\left(\sqrt{2 \operatorname{snr} \cdot \log_2(m)} \operatorname{Sin}\left(\frac{\pi}{m}\right)\right) & \text{otherwise} \end{cases}$$



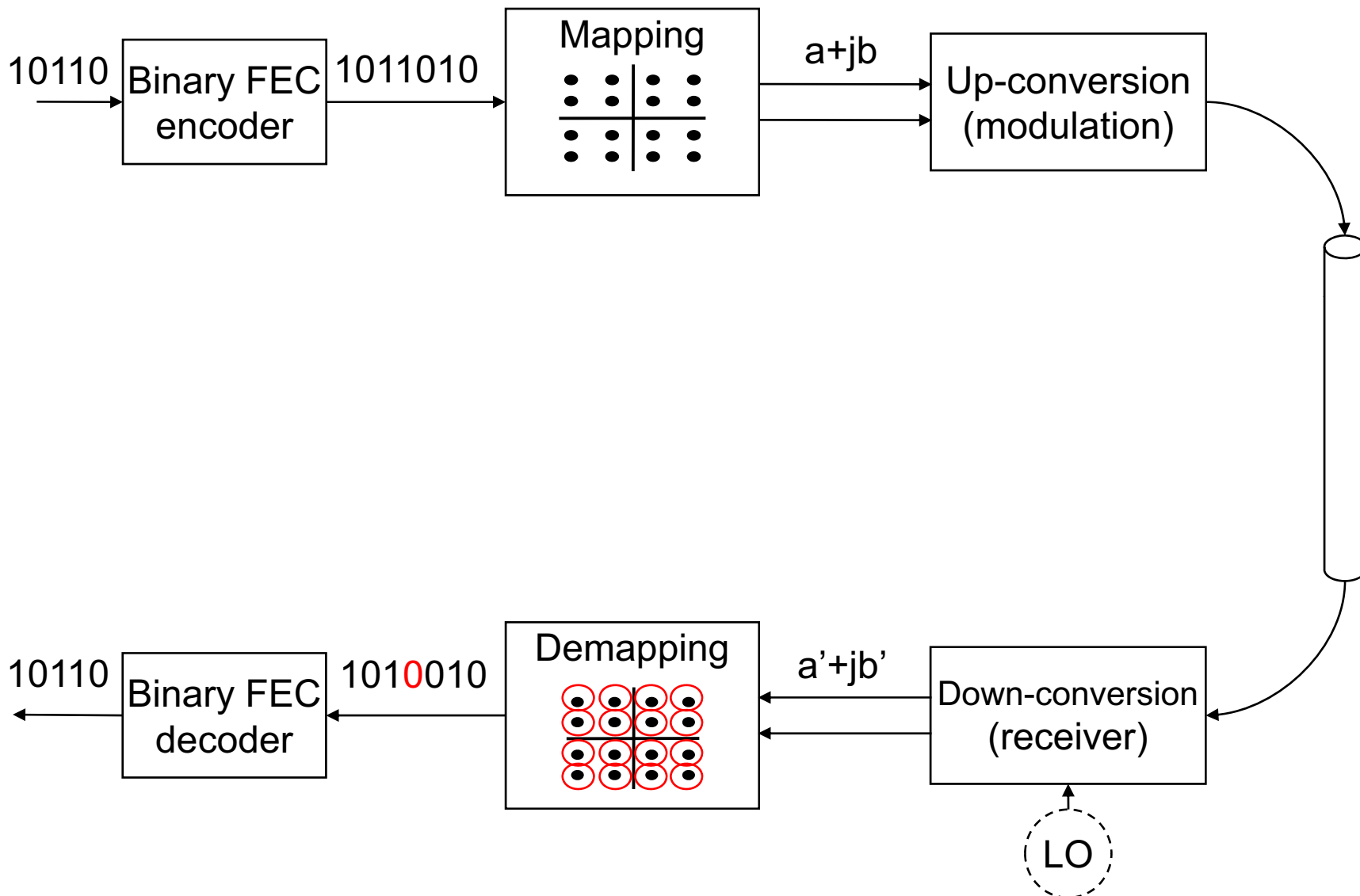
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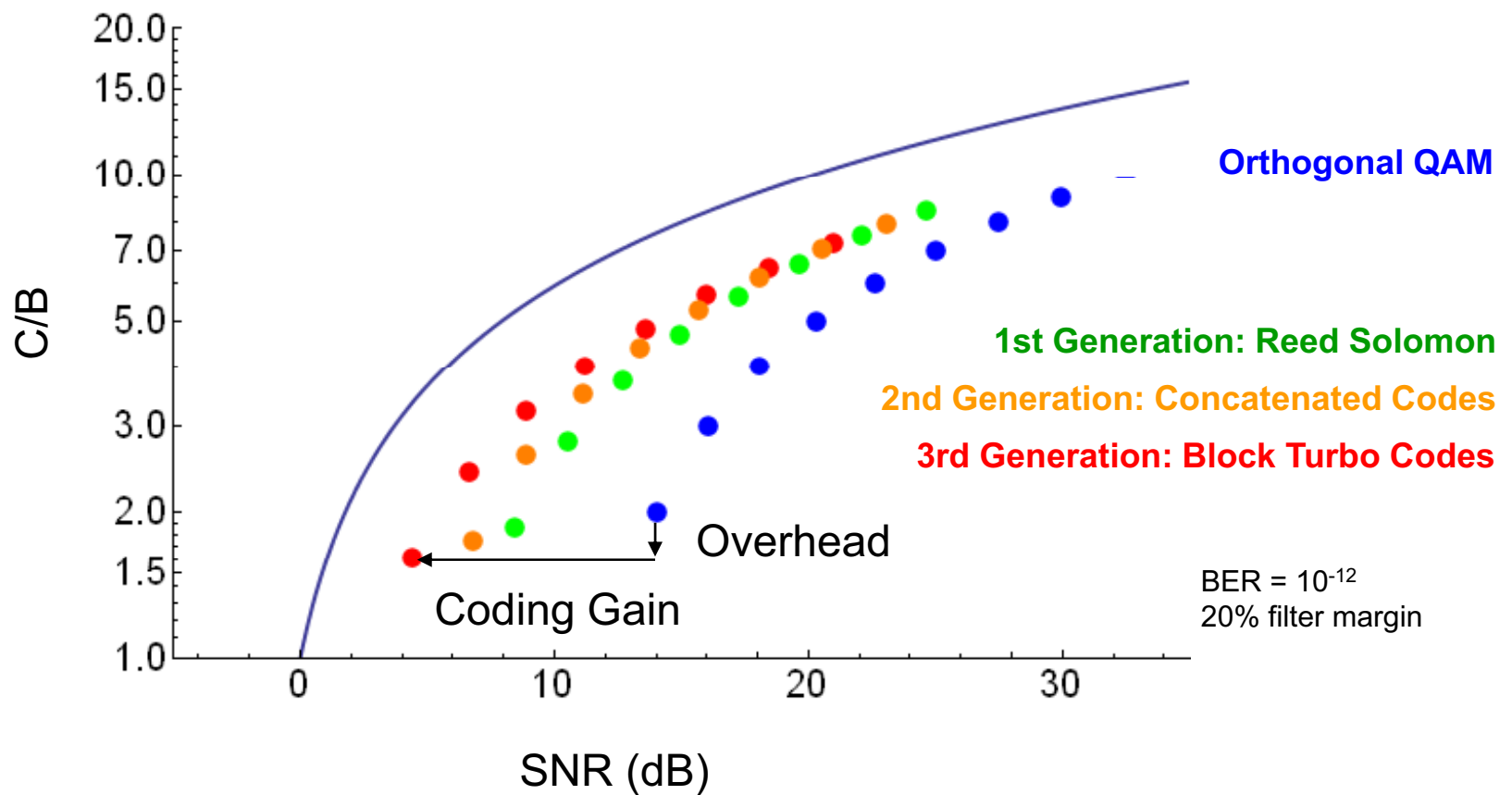
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13. K.P.Ho, PTL, **17** pp858- (2005)
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15. E.Ip et.al., Optics Express, **16** 2 pp753- (2008)



- Trends in optical communication
- Shannon limit
 - Generic communication theory
 - **Forward Error Correction Codes**
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 - Multi-level modulation formats
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Error Correction Codes Current Status

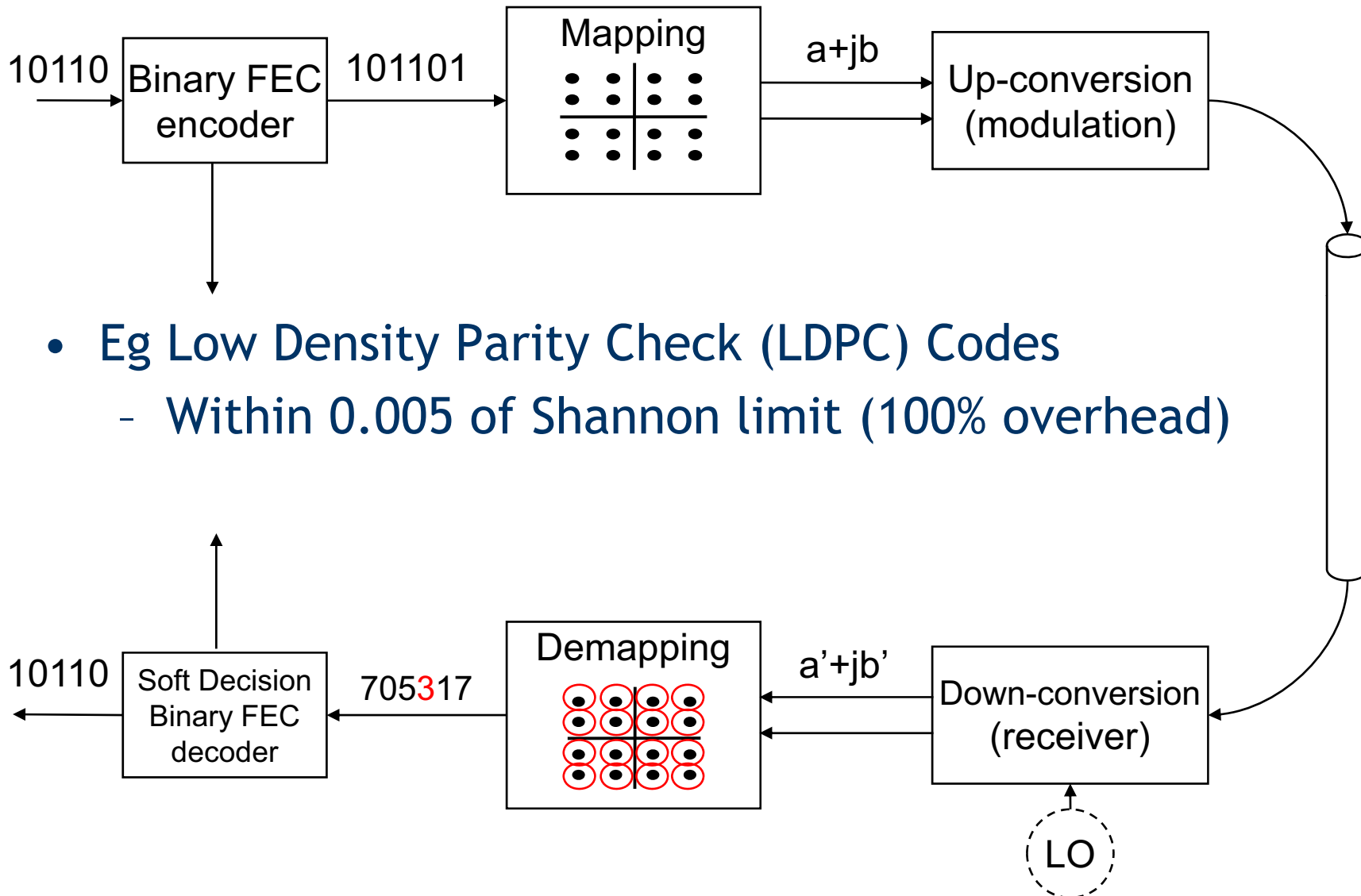






Error Correction Codes

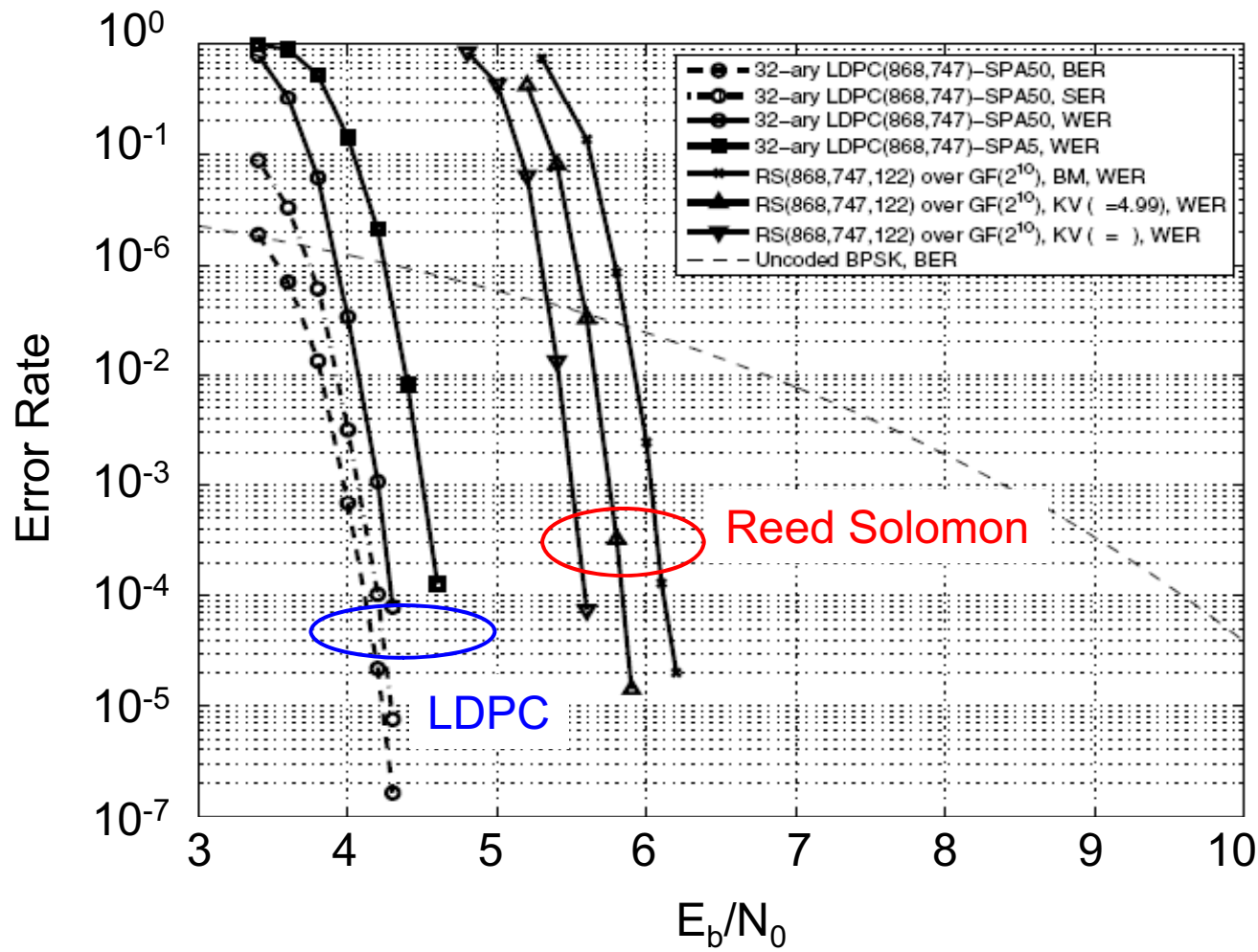
Soft decision decoding

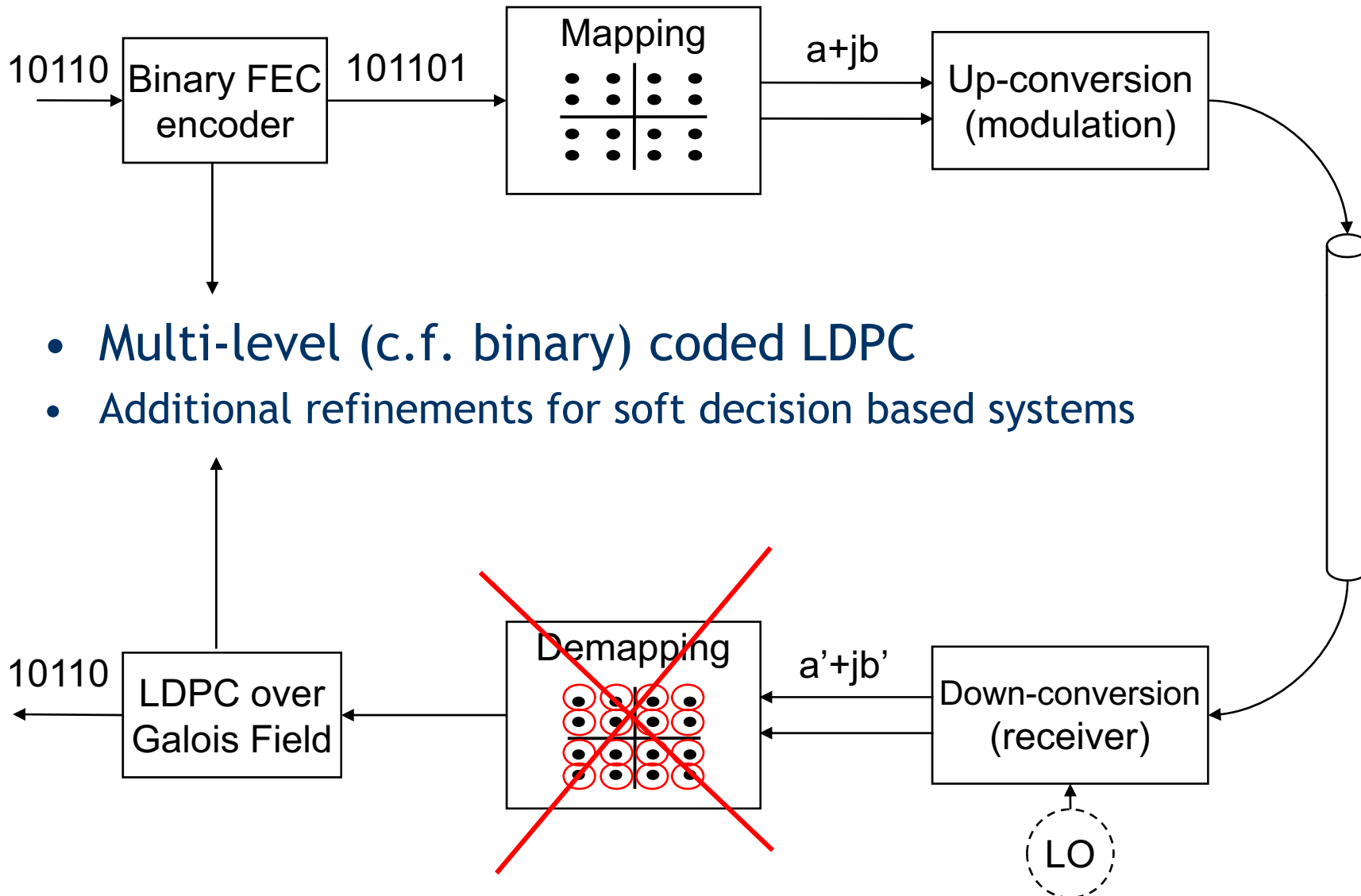


- Eg Low Density Parity Check (LDPC) Codes
 - Within 0.005 of Shannon limit (100% overhead)



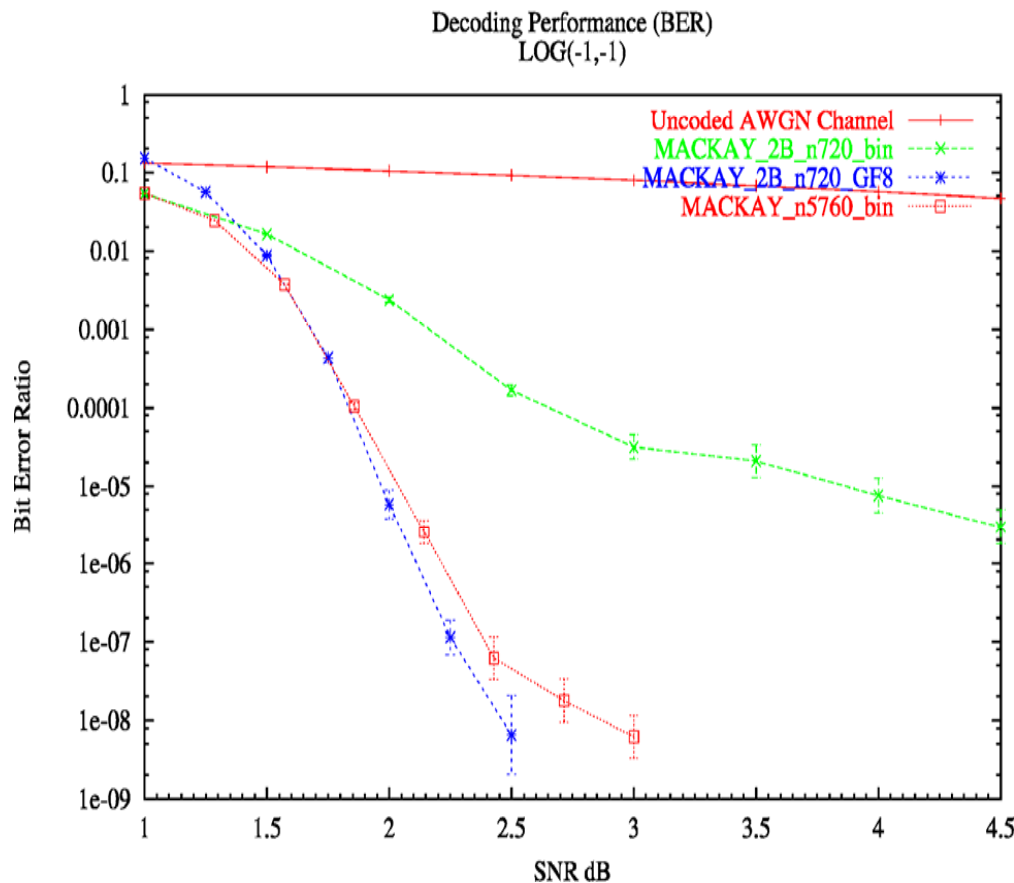
Performance of RS & LDPC codes¹





- Multi-level (c.f. binary) coded LDPC
- Additional refinements for soft decision based systems

Short LDPC codes over GF(q)¹



- LDPC over GF(q) easily outperform same length binary codes (length $n=720$)
- Moreover they perform as well as much longer binary codes ($n=5760$)

1. G.D.Forney et.al., J.Select.Areas Commun., 7pp941- (1989)
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- Capacity limits expressed in terms of $SNR = E_b/N_0$
- Convert to optical signal to noise ratio $OSNR = P_s/P_n$

$$OSNR = \frac{E_b}{N_0} \frac{R \cdot \lambda^2}{2 \cdot \Delta \lambda \cdot c} \quad SNR_{dB} = OSNR_{dB} + 4_{dB} \Big|_{10.6 \text{ Gbit/s}, 1550 \text{ nm}, 0.1 \text{ nm}}$$

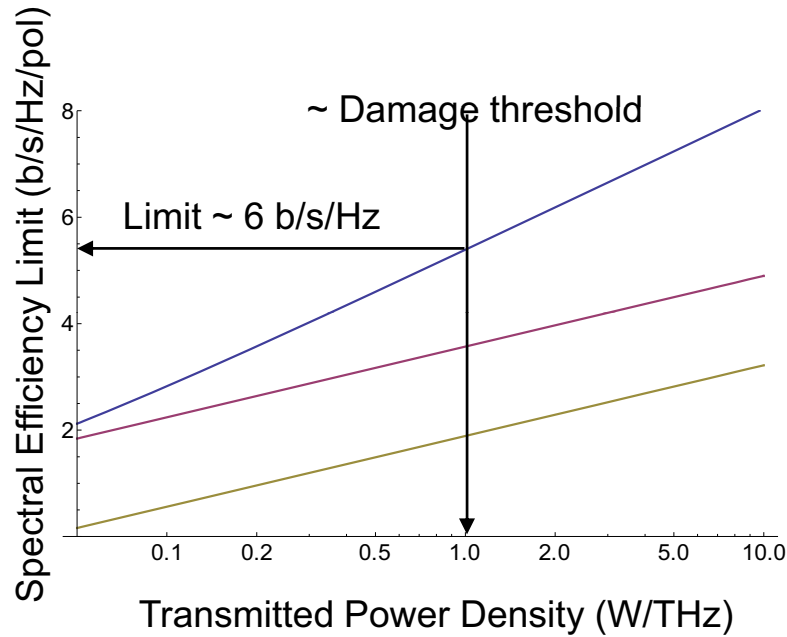
- Noise accumulation well known

$$P_{N/polarisation} = N_{amps} \cdot (G - 1) \cdot n_{sp} \cdot h \cdot \nu \cdot \Delta \nu$$

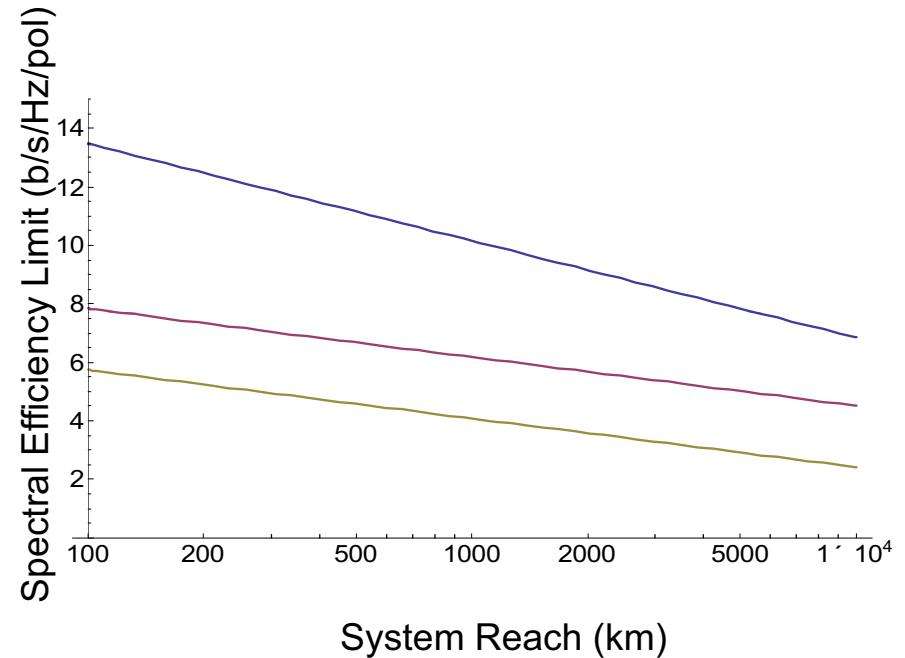
↑
Add input insertion loss to gain



Capacity limit for a 2,000km optical system



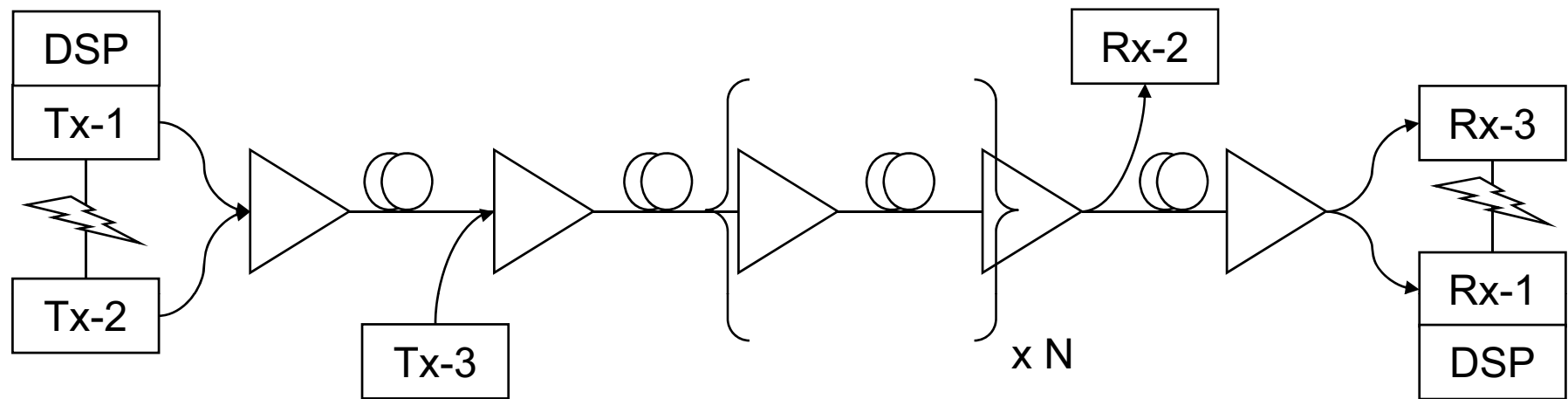
2000km, 80km spacing, 4.5dB noise figure, 20% guard bands, 50GHz channel spacing



80km spacing, 4.5dB noise figure, 1dB input loss, 500mW over C band, 50GHz channel spacing

But optical communication links are characterised by a *distributed* nonlinear response

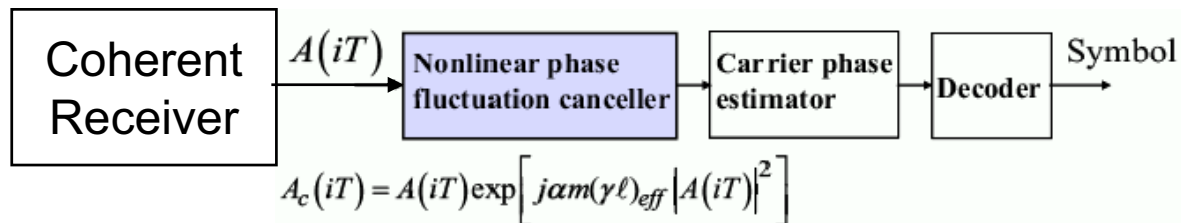
Origin of fundamental capacity limit for optical fibres^{1,2,3}



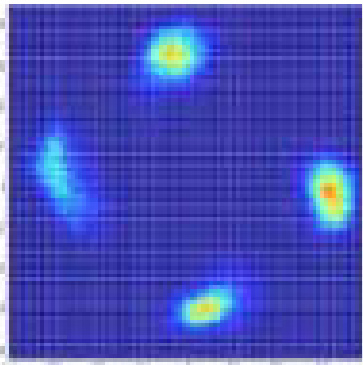
- Per channel DSP
 - Dispersion (Chromatic + Polarisation)
 - Coherent Detection
 - Self Phase Modulation Correction³
 - But not non-linear mixing between signal & ASE (early dispersion maps)
- Multiple transmitters
 - Don't actually communicate
 - Are not always co-located
- **Inter channel nonlinearity gives the fundamental limit**

1: P.P.Mitra, J.B.Stark, Nature, **411**, pp1027, (2001)
 2: L.G.L.Wegener et.al., Physica D, **189**, pp81, (2004)
 3: R-J, Essiambre et.al., ECOC 2008, We1E1(2008)

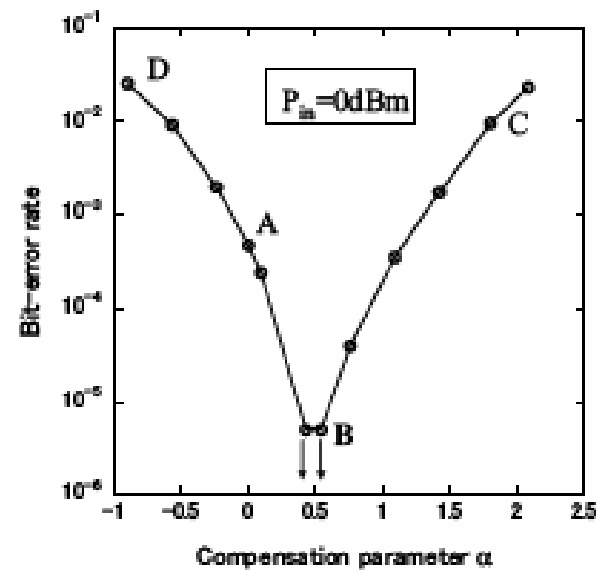
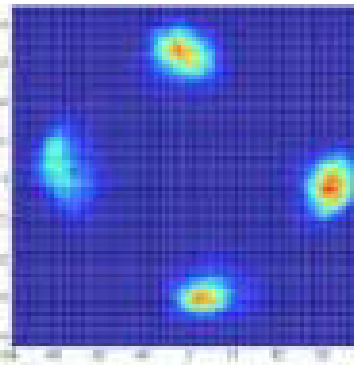
Example of simple receiver based nonlinearity compensation.



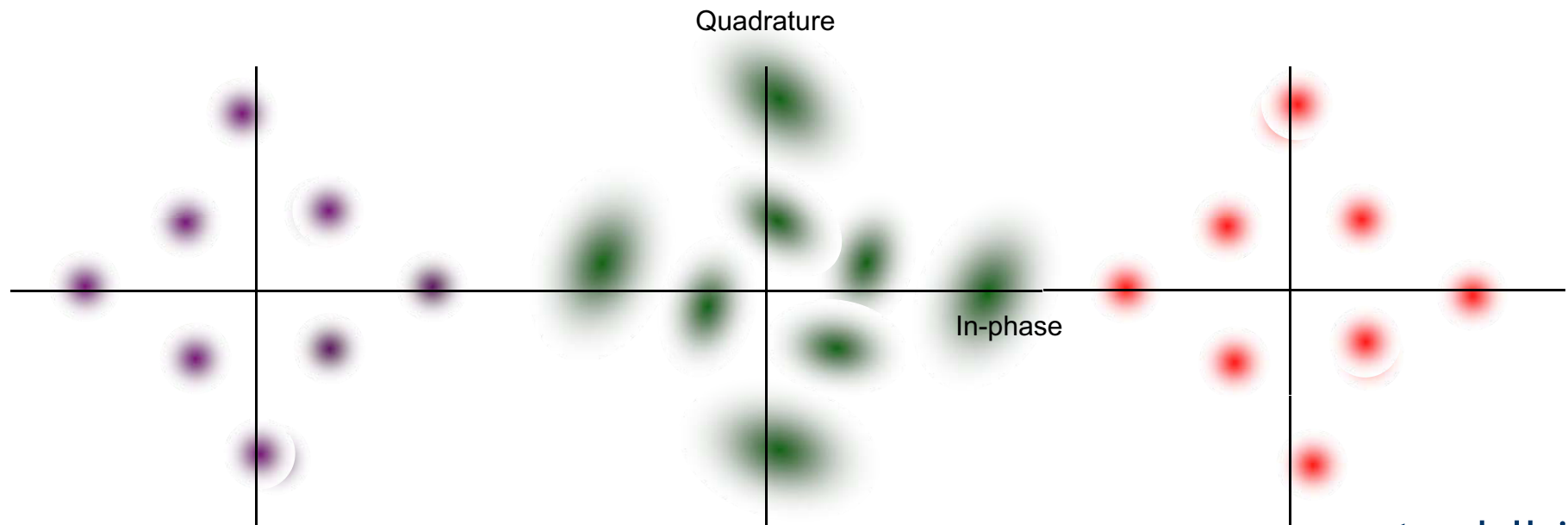
Uncompensated
A ($\alpha=0$)



Optimally compensated
B ($\alpha=0.5$)



- Signal processing to mitigate SPM
- Dispersion management to reduce signal -ASE interaction
- All other channels act as noise sources to wavelength of interest
- Appropriate Dispersion Map
 - High local dispersion to degrade phase matching
 - Dispersion management to control PAP
 - Sufficient residual dispersion per span
 - Dispersion map is key



- Random walk process
 - Sub-linear accumulation with number of amplifiers
- Depends on dispersion map
- Proportional to fibre non-linearity and effective length

$$I_{XPM} = \sqrt{\frac{B.D.\Delta\lambda}{2.\gamma^2 \ln\left(\frac{N_a}{2}\right)L_{eff}}}$$

- Adds noise to the signal

$$P_N \Rightarrow P_N + P_{XPM} = P_N + \left(1 - e^{-\frac{P_S}{I_{XPM}}}\right) P_S$$

- Leaches power from the signal

$$P_S \Rightarrow P_S e^{-\frac{P_S}{I_{XPM}}}$$

- Similar treatment to XPM
- Is dominant for PSK with certain dispersion maps (constant intensity)

$$I_{XPM} = \sqrt{\frac{B.D.\Delta\lambda}{2.\gamma^2 \ln\left(\frac{N_a}{2}\right)L_{eff}}}$$

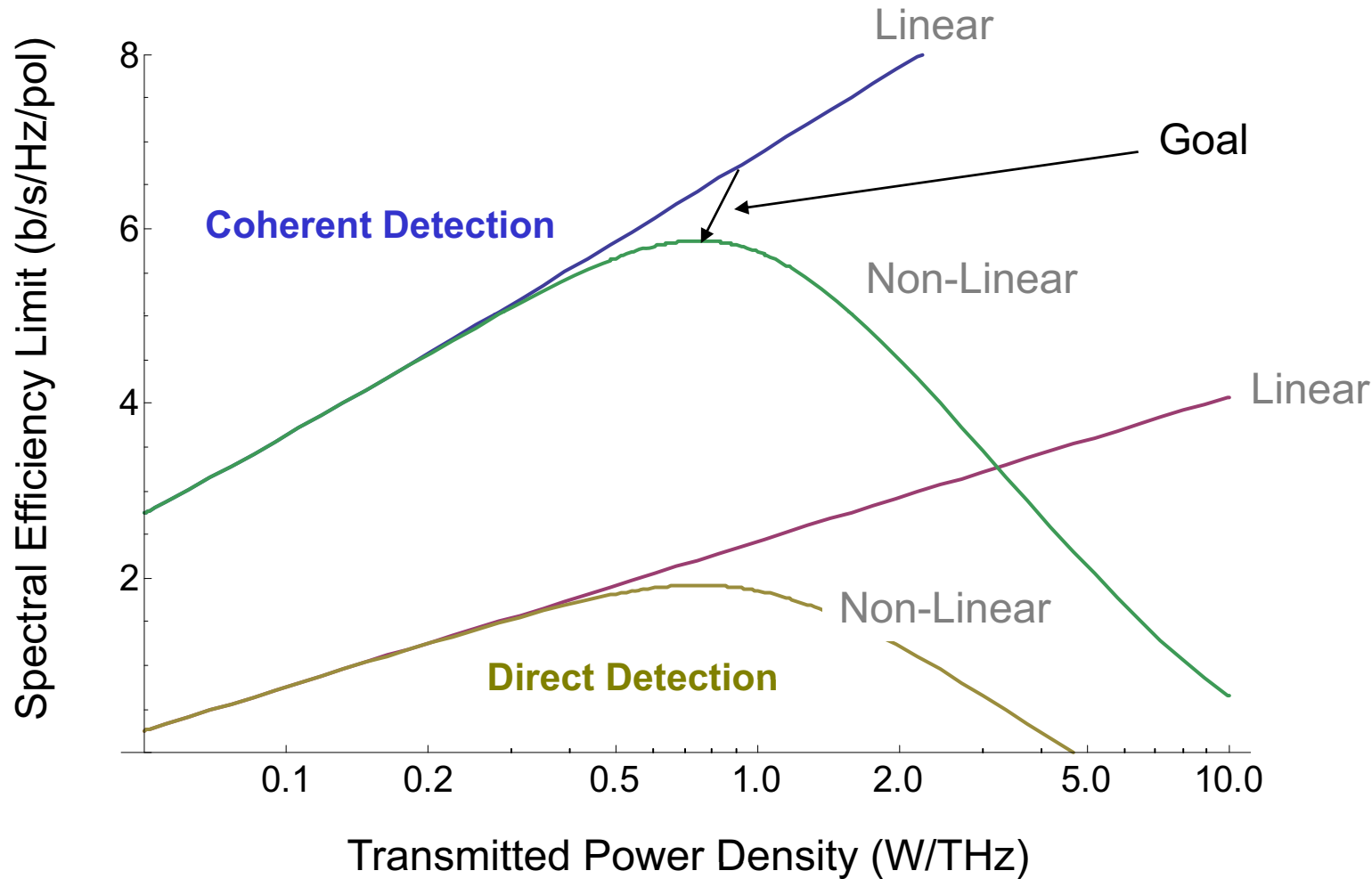
$$\frac{1}{I_{FWM}} = N_A \sum_{\substack{|p+q| < \frac{n_c-1}{2} \\ p,q \neq 0}} \frac{\gamma^2 D_{pq}^2}{\alpha^2 + (2\pi\lambda^2 D \Delta f^2 q.p/c)^2}$$

$$D_{pq} = \begin{cases} 1, & p = q \\ 2, & p \neq q \end{cases}$$

- XPM typically dominates and is considered hereafter.

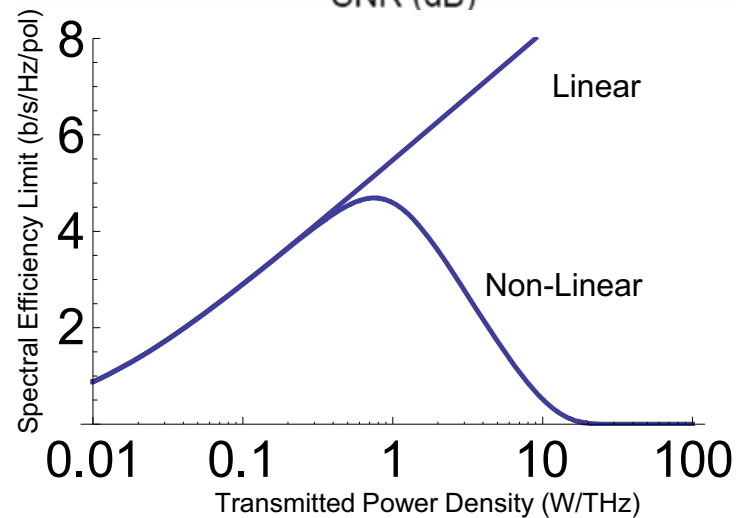
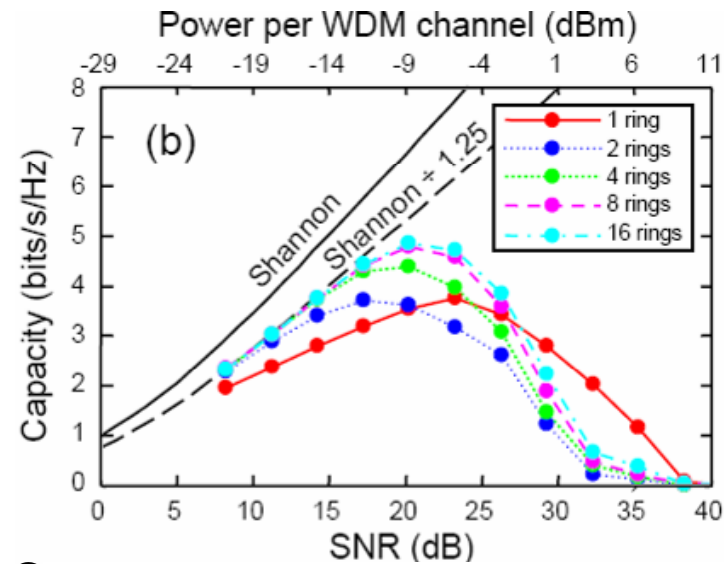
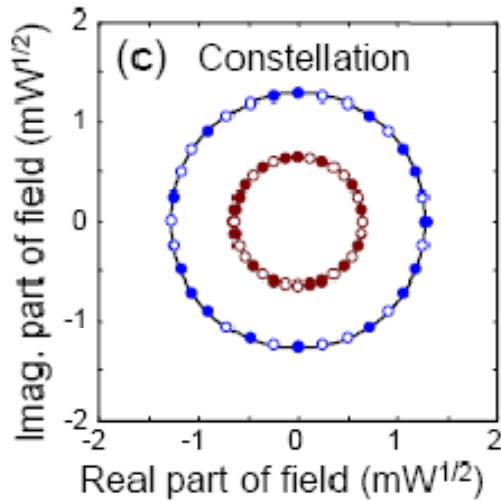


Capacity limit with non-linear transmission



2000km, 80km spacing, 4.5dB noise figure, 50 GHz channels at 50 baud

Numerical simulations



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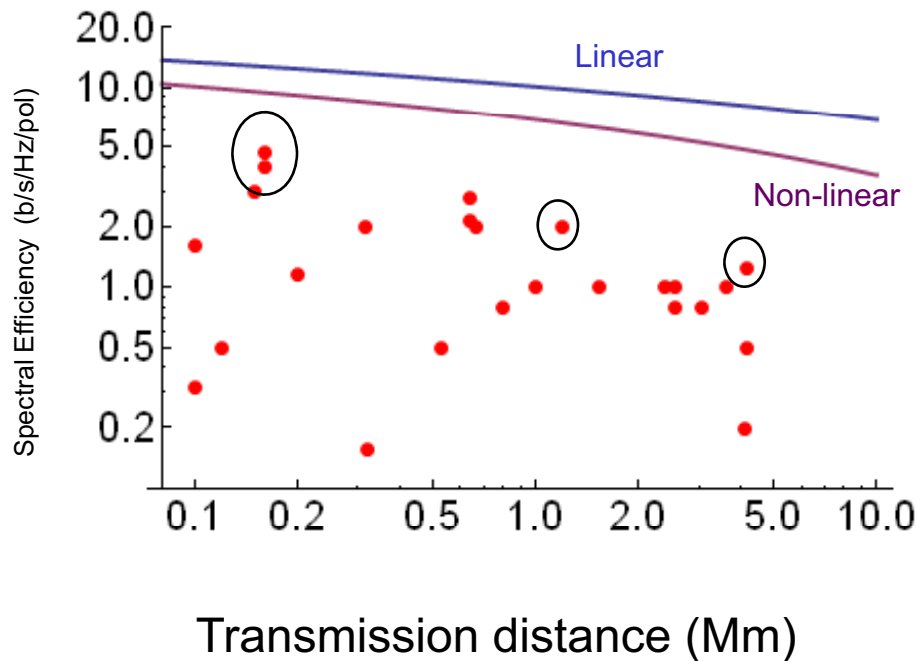
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11. R-J, Essiambre et.al., ECOC 2008, We1E1(2008)



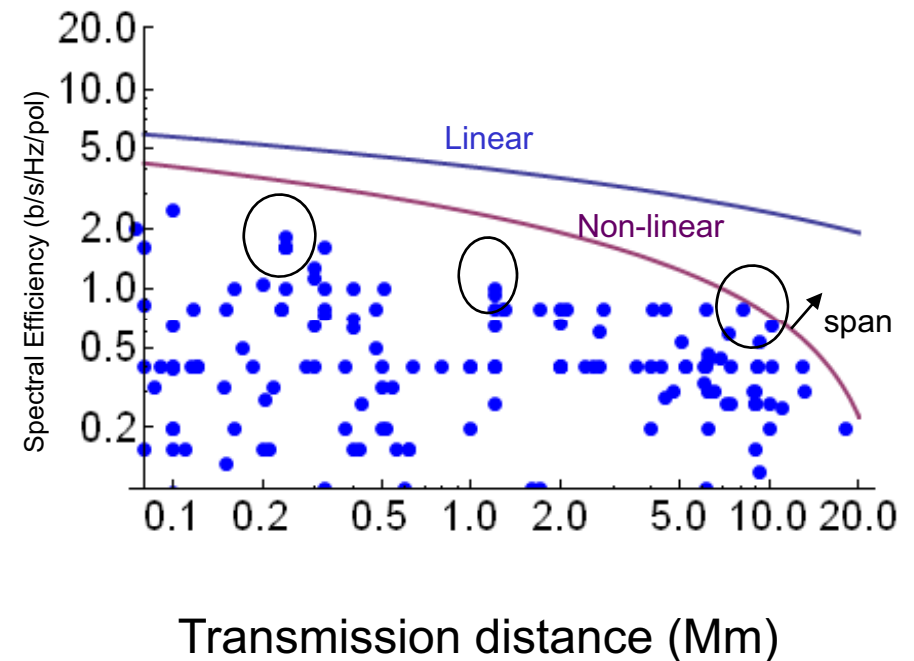
- Trends in optical communication
- Shannon limit
 - Generic communication theory
 - Forward Error Correction Codes
- Optical Systems
 - Capacity limit for non-linear systems
 - Multi-level modulation formats
 - Breaking the current limit

Progress towards the capacity limit

Coherent Detection



Direct Detection

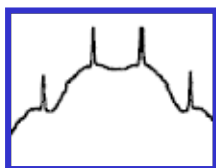


Solid lines calculated for; 80km spacing, 4.5dB noise figure, 50 GHz channels at 50 Gbaud, Optimum power
 Dots plotted for notable experimental results, **per polarisation**

Direct Detection 1: Filtered CS-RZ DPSK²

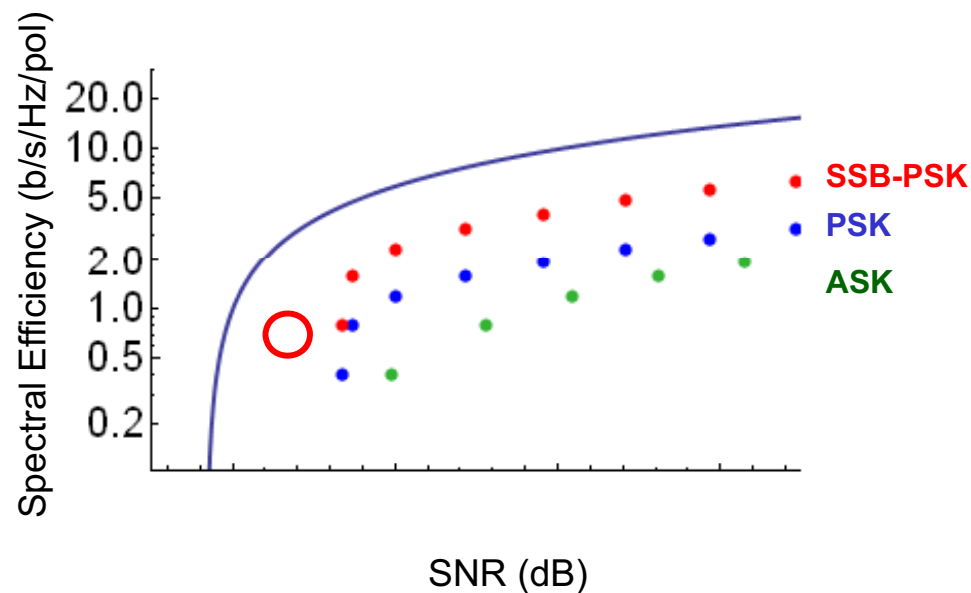
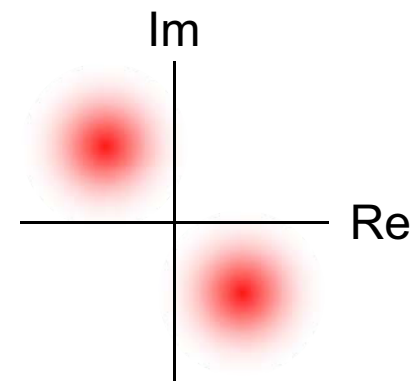
8,000km 0.8 b/s/Hz

- Long Haul Transmission (mitigate non-linearity)
 - RZ format
 - dispersion management
- For spectral efficiency
 - DPSK for sensitivity benefit
 - Pre-filtering for SSB
 - FEC



(a)

Fig. 2 Optical spectra of (a) standard, (b) symmetrically filtered and (c) asymmetrically filtered CS-RZ signals

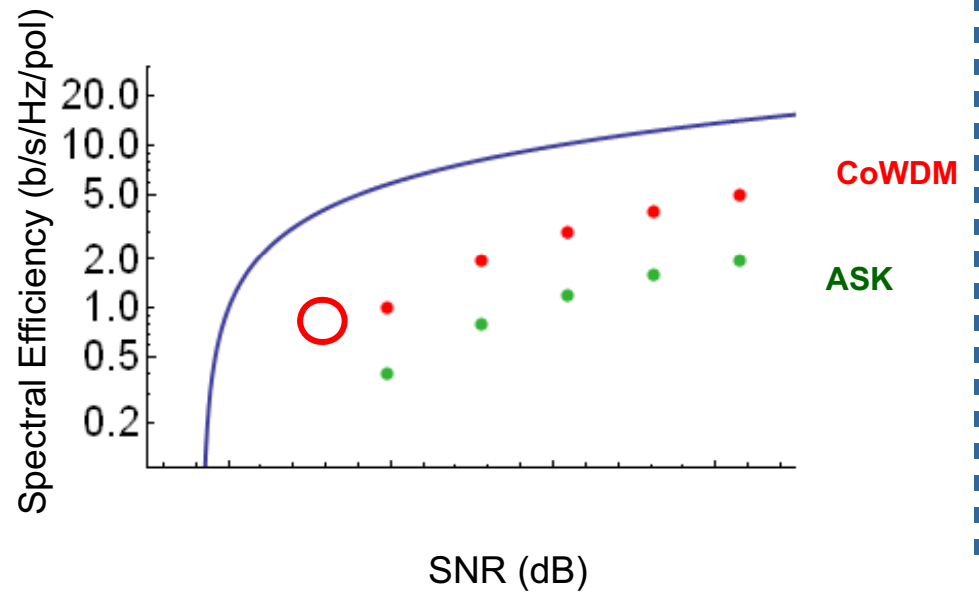
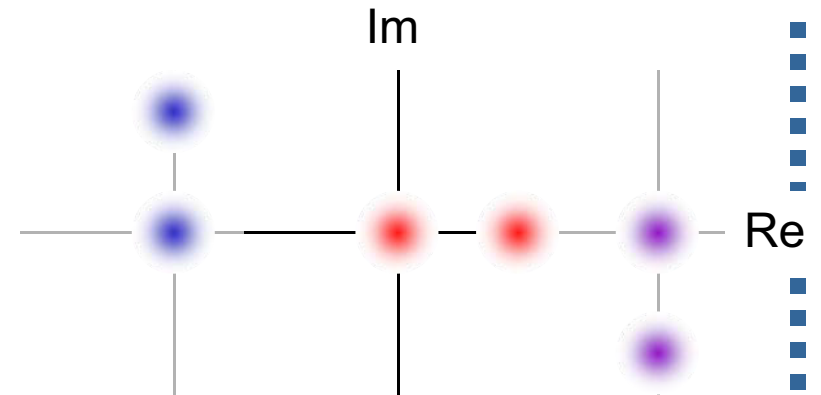
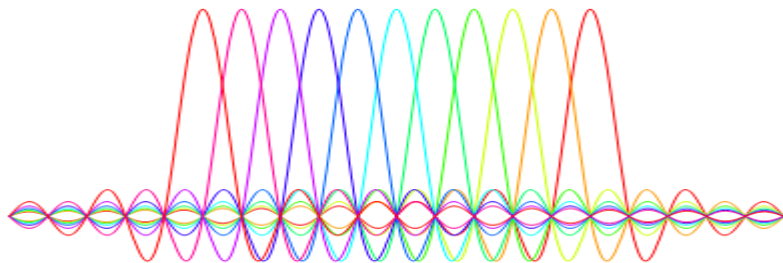
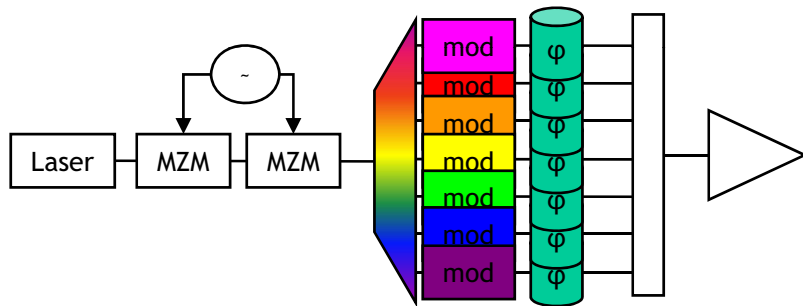




Direct Detection 2: Coherent WDM¹

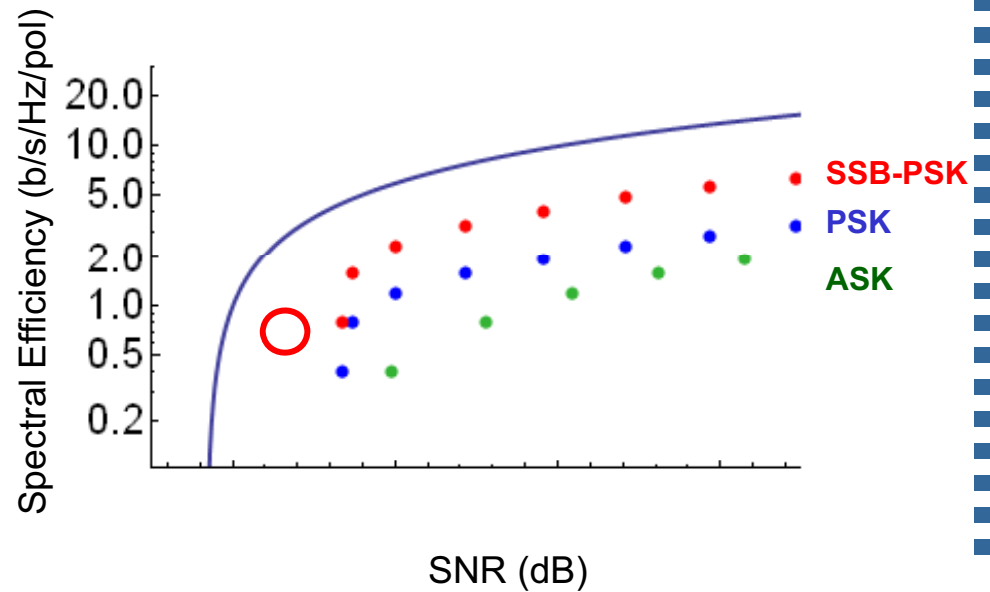
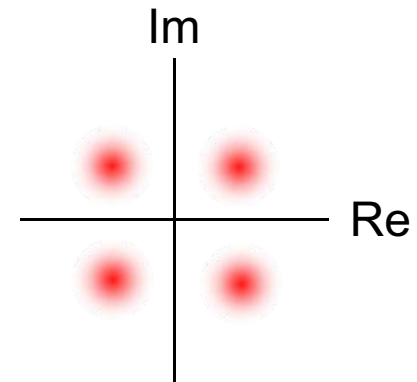
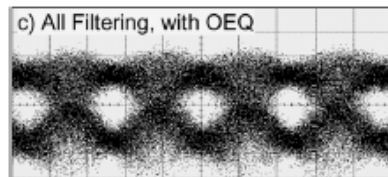
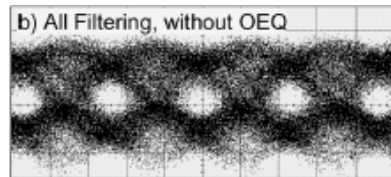
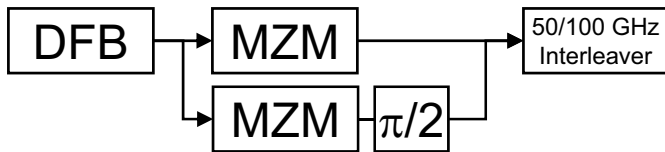
1,200km 1 b/s/Hz

- High Capacity Transmission
 - Low symbol rate (impairments)
- For spectral efficiency
 - Orthogonal Carriers
 - FEC



1: T. Healy, et.al., ECOC'07, Mo1.3.5 (2007).

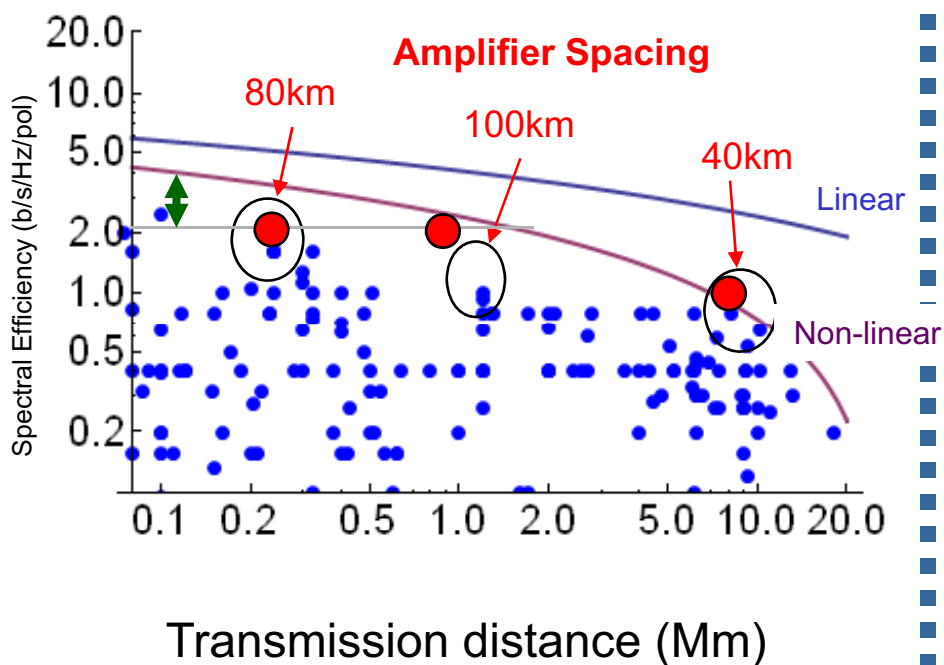
- For spectral efficiency
 - RZ DPSK for sensitivity benefit
 - Pre-filtering to approach SSB
 - DQPSK for enhanced efficiency
 - Optical equaliser
 - FEC



Direct Detection Modulation formats

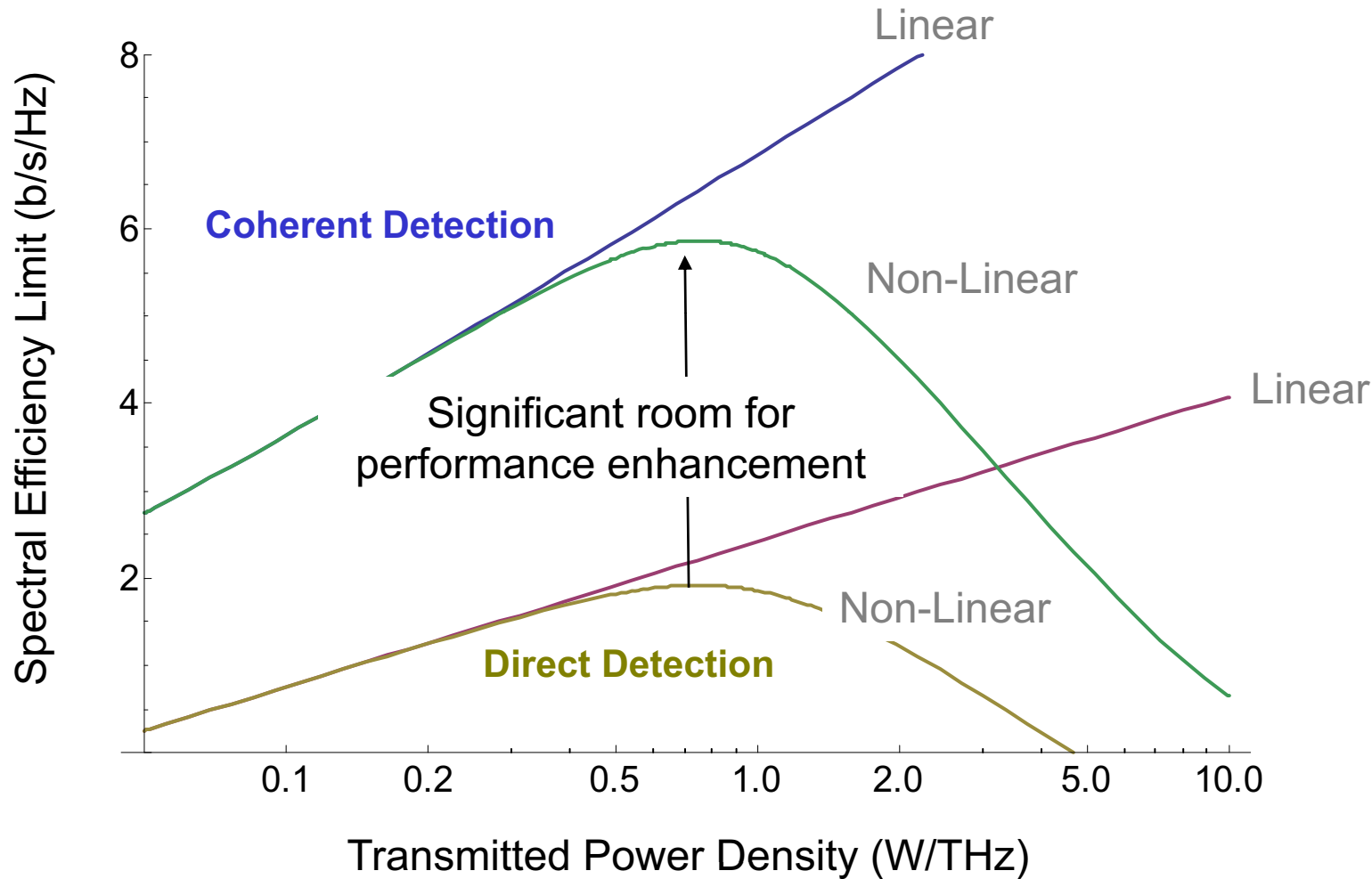
- When amplifier spacing taken into account
 - All three results ~ x2 from the limit
 - Independent of
 - Bi-polar / Uni-polar modulation
 - Single or dual quadrature
 - Polarisation multiplexing
- Key features
 - FEC
 - Techniques approaching SSB
 - 80% there using RZ pre-filtering
 - 100% there using Coherent WDM
- Promising approach
 - FEC
 - Polarisation multiplexed (x2)
 - Dual Quadrature (x2)
 - Coherent WDM (x2)
- Little scope beyond ~2 b/s/Hz/pol

Direct Detection



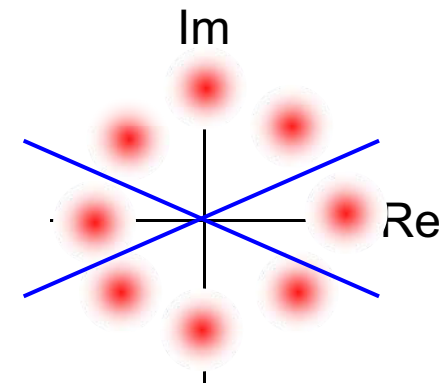
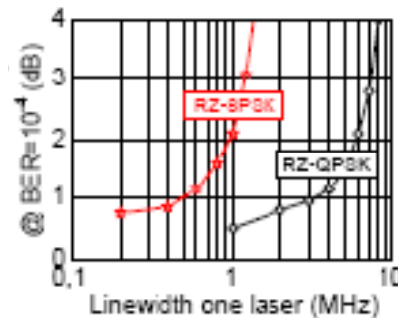
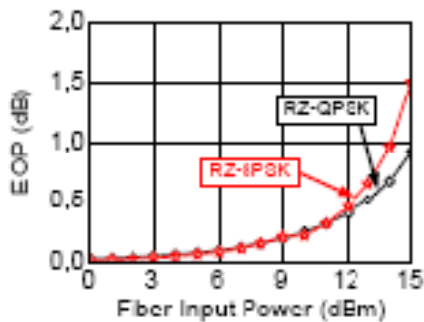
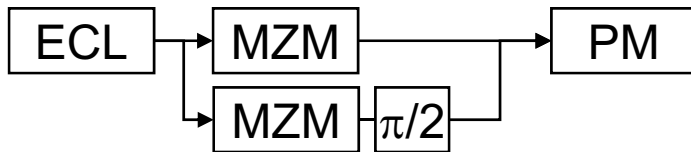


Coherent Detection

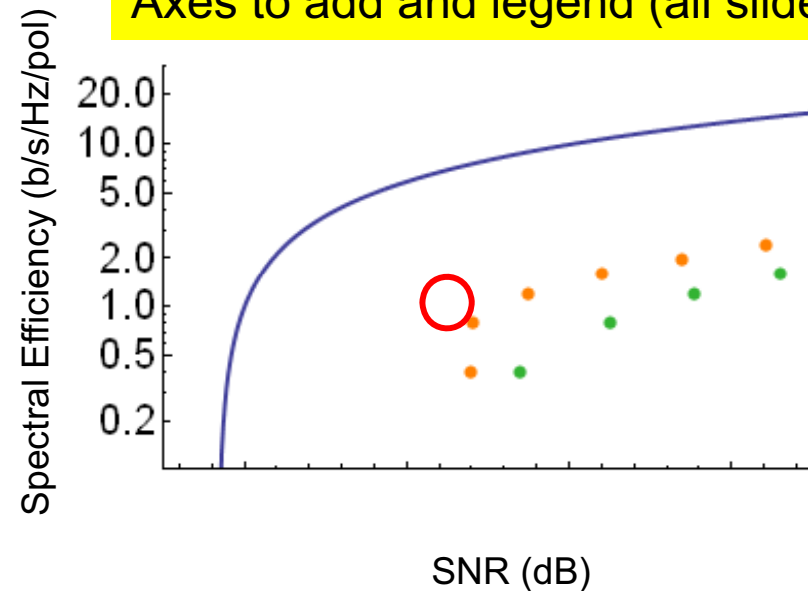


2000km, 80km spacing, 4.5dB noise figure, 50 GHz channels at 50 Gbaud

- Long Distance High Data Rate
 - Constant Intensity Format
 - Increased constellation size
 - Narrow Line-width Laser
 - FEC



Axes to add and legend (all slides)





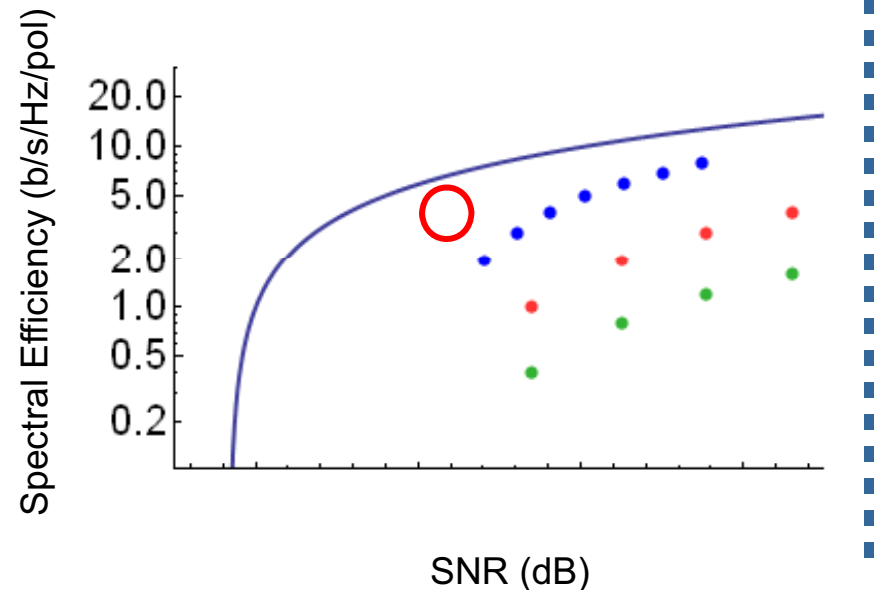
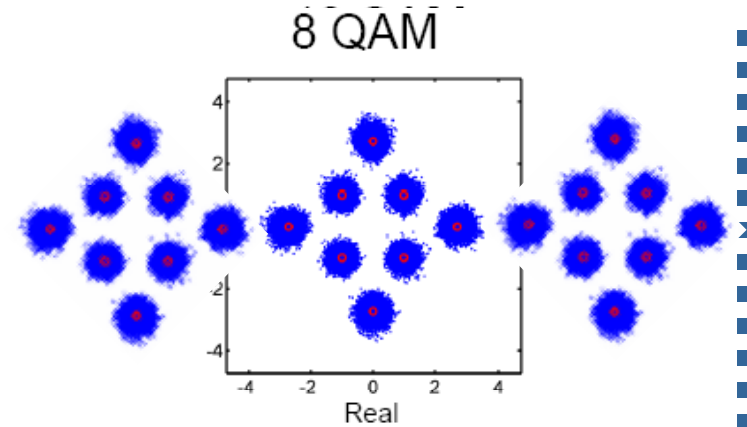
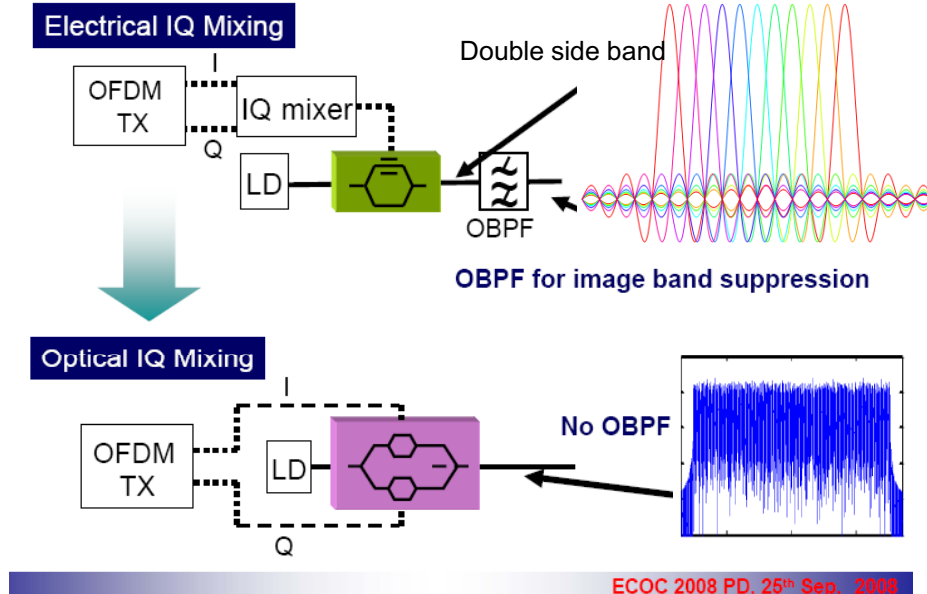
Coherent Detection 2: OFDM

4,160km 5.6 b/s/Hz

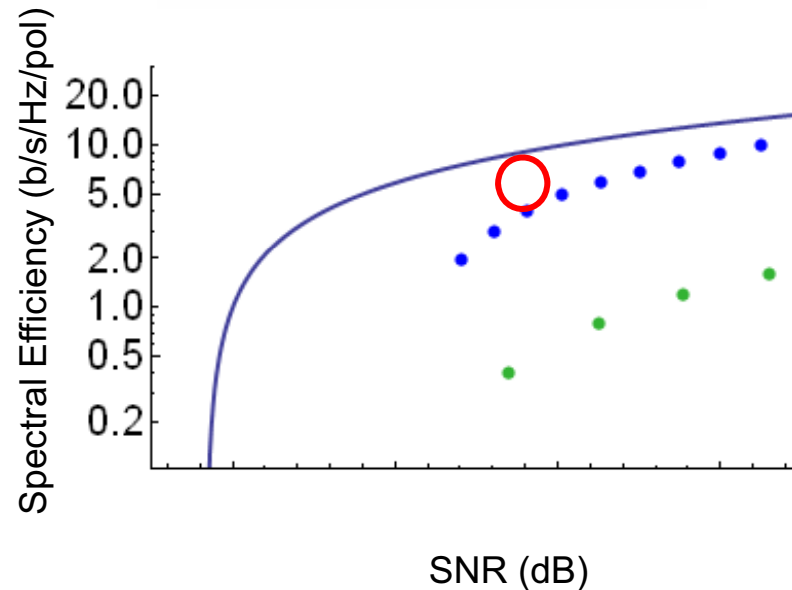
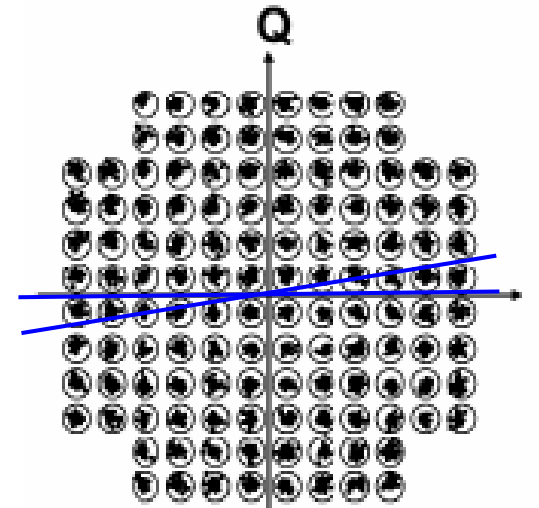
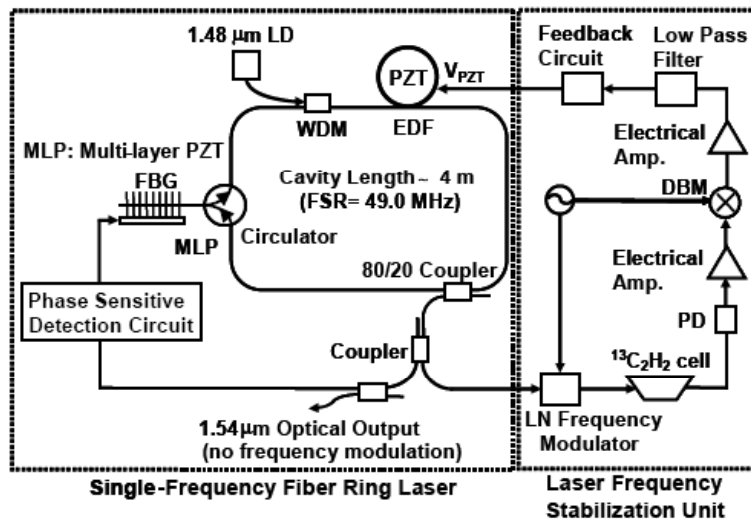
Orthogonal Frequency Domain Multiplexing

- Data spread amongst many *orthogonal* carriers
- Orthogonal carriers give SSB performance (less overhead)
- Modulate each subcarrier with QAM constellation
- Increase constellation size electronically
- FEC

Optical modulation



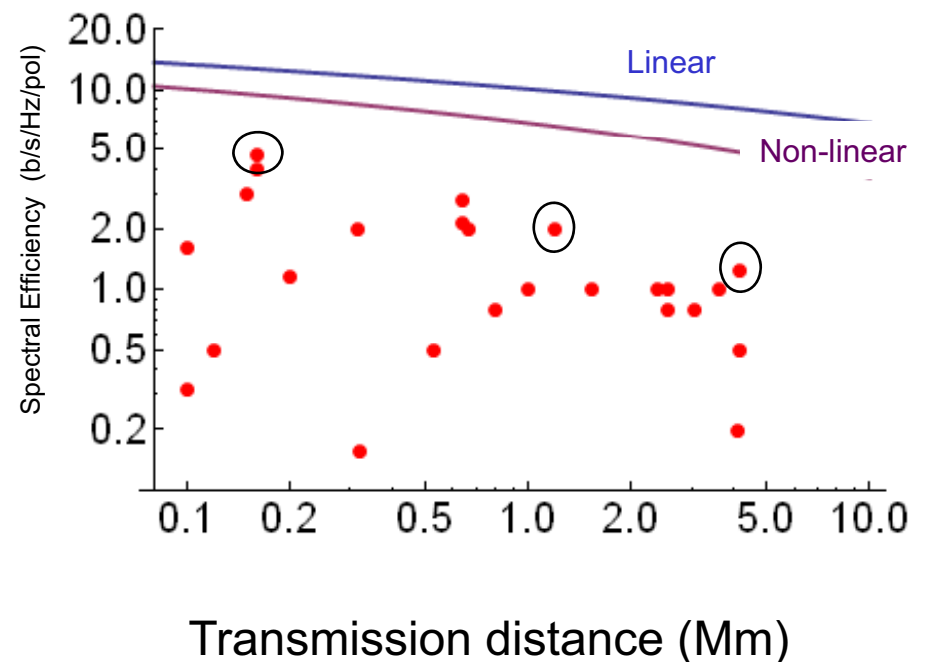
- Ultra high Spectral Density
 - Maximum QAM Constellation
 - With Niquist filters
 - Ultra narrow line-width laser
 - FEC





Coherent Detection Modulation Formats

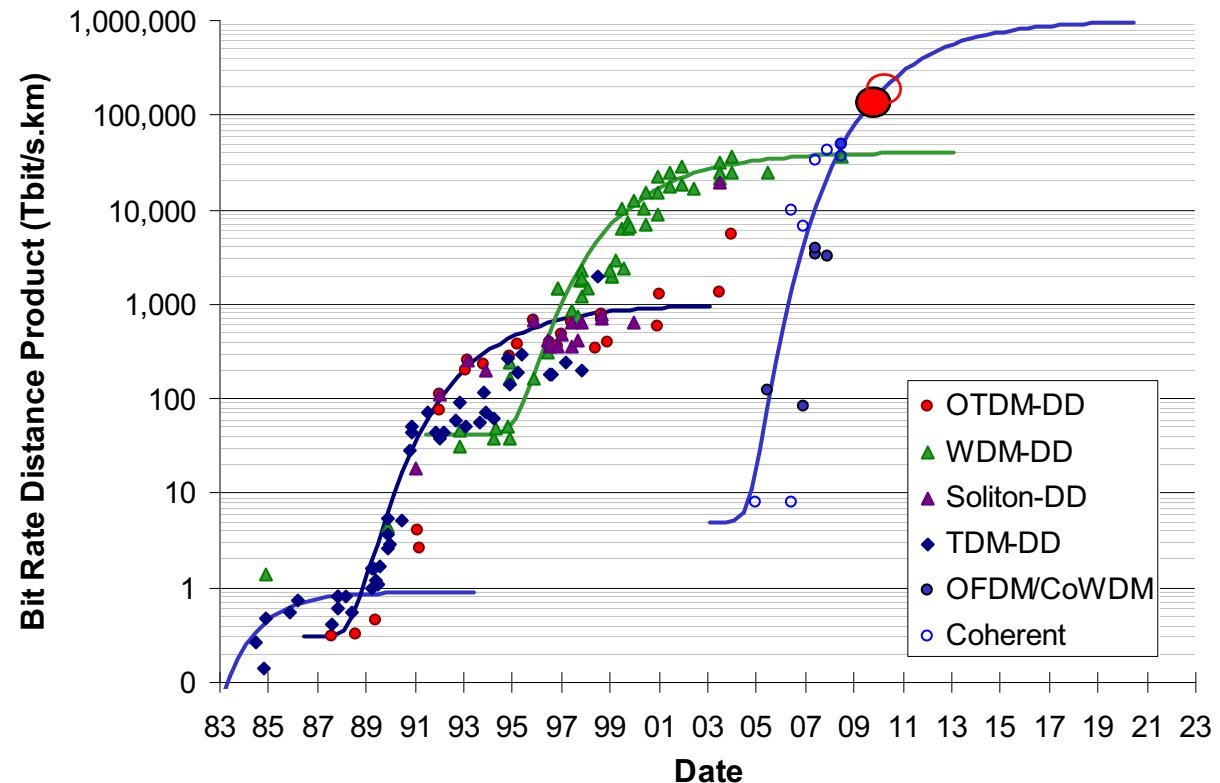
- Performance
 - > x2 performance gap
 - Relative performance degrades with reach
- Key Features
 - All polarisation multiplexed
 - Often comes for “free”
 - Multi-level modulation essential
 - PSK performs well
 - Is performance limited by nonlinear effects?
 - Orthogonal modulation and/or spectrum control used
- Optimum Solution
 - Still to be established
 - Perhaps
 - 256 QAM over OFDM over CoWDM





Latest Capacity Distance Results

- Coherent detection already outstripping direct detection
- Record result is coherently detected OFDM
- Post Deadline Papers?
 - > 0.1 Pbit/s.km



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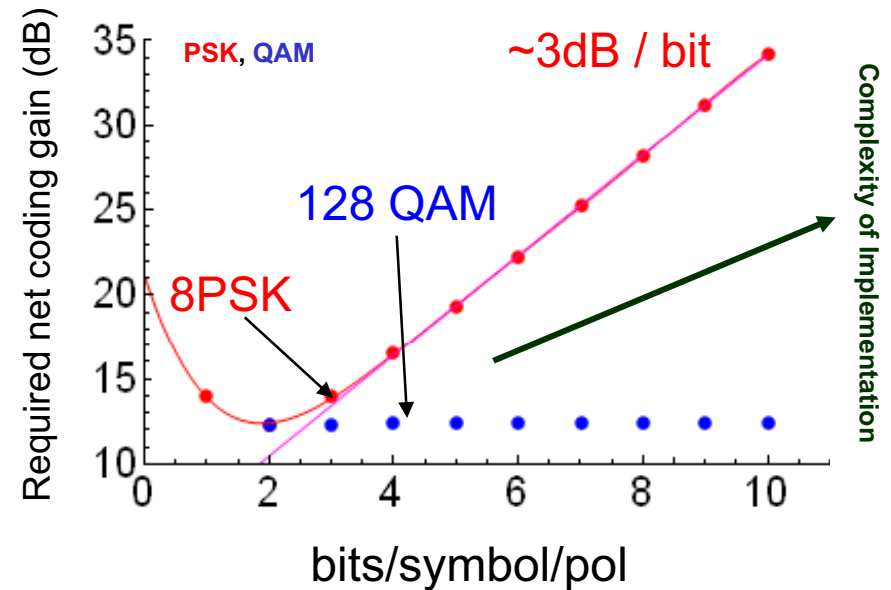
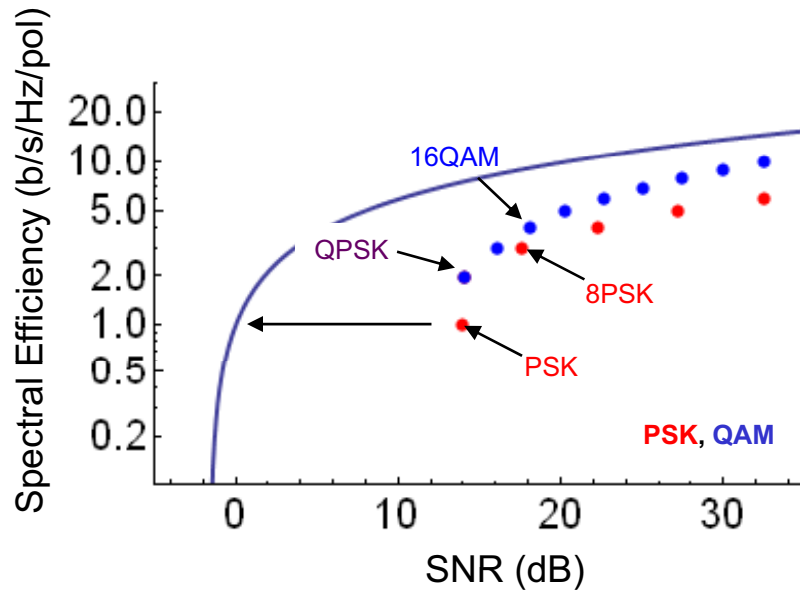
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- Trends in optical communication
- Shannon limit
 - Generic communication theory
 - Forward Error Correction Codes
- Optical Systems
 - Capacity limit for non-linear systems
 - Multi-level modulation formats
 - Breaking the current limit



How to increase the capacity further: Optimisation of current technology

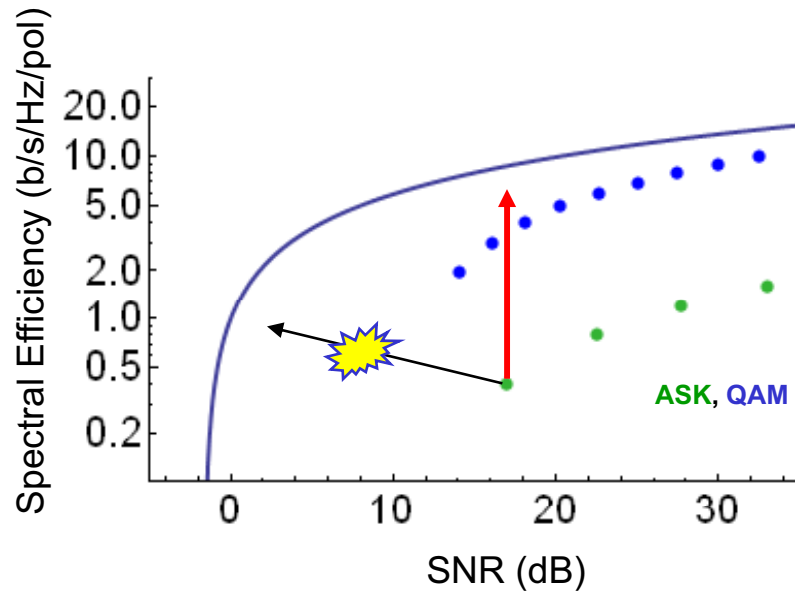


- Multi-level modulation formats with coherent detection
- Required FEC strength increases significantly with signal bits
 - Maximise number of orthogonal channels first
 - Polarisation
 - Quadrature
 - Subcarrier
 - Expect significant ($\geq 100\%$) overhead for 128 QAM and above



The Ultimate Quest

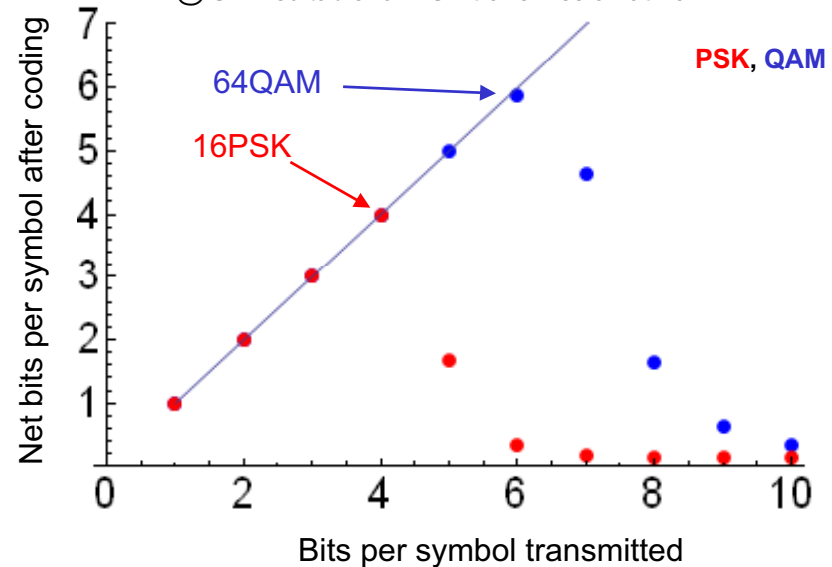
Maximum capacity for fixed installed plant



- Fixed Plant - Terminal Changes Only
 - Fixed SNR
 - Modulation format changes
 - Coding (FEC) changes

Throughput of multilevel transmission at fixed SNR

Assuming required overhead = 70 x achievable raw BER
 @ SNR suitable for ASK transmission at 10^{-12}

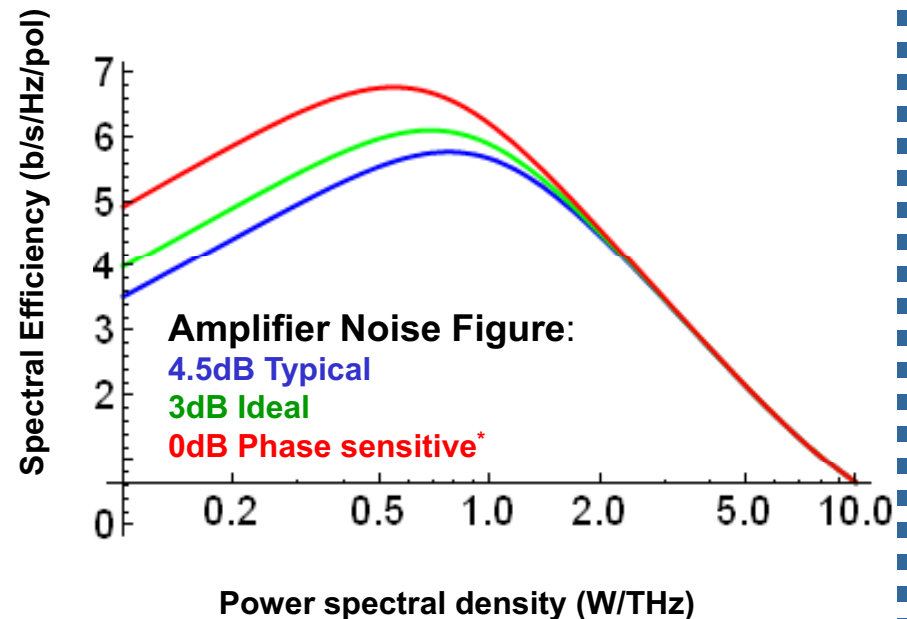
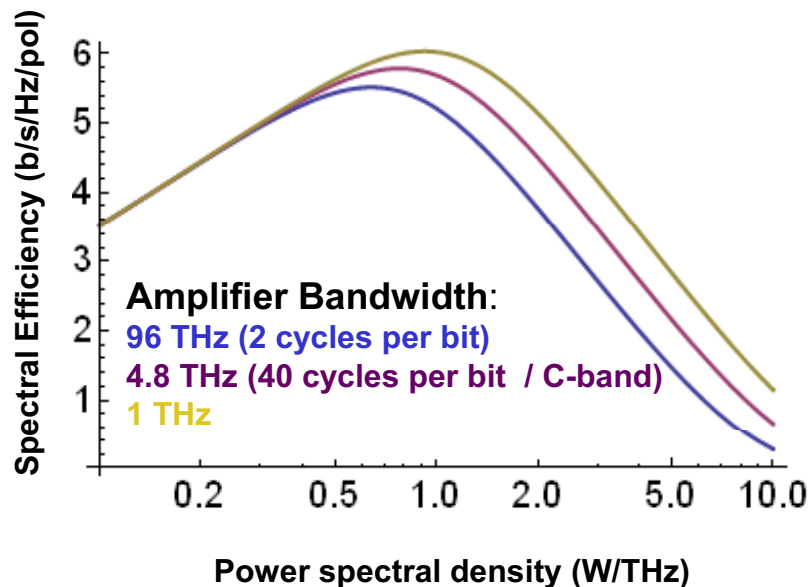




How to increase the capacity further: Amplifier optimisation

- Amplifier bandwidth
 - Capacity scales ~linearly with bandwidth
- Amplifier Noise figure
 - Modest capacity increase ~ \log_2 noise reduction

$$C = B \cdot \log_2 \left(1 + \frac{P}{N_o B} \right)$$



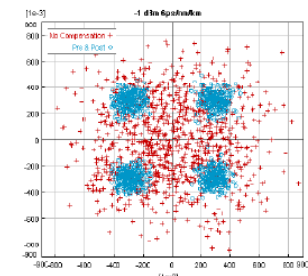
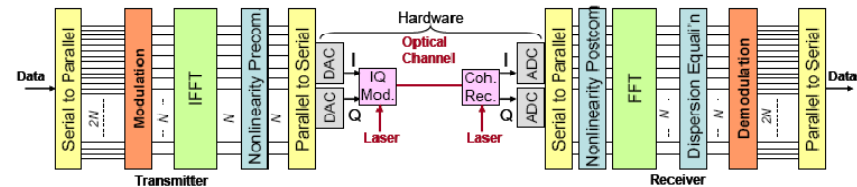
2000km, 80km spacing, (4.5dB noise figure), 50 GHz channels at 50 Gbaud, (5THz amplifier bandwidth), 0.2dB/km loss

* Phase sensitive amplifier: 0dB noise figure, but quantum noise for attenuation ~ 1/2 of 3dB noise figure case¹



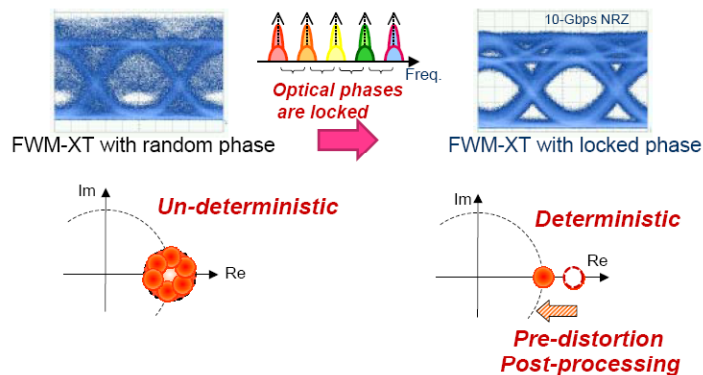
How to increase the capacity further: Multi-tone transmission

- Non-linear index effects may be compensated at the terminals.
 - Backwards propagation
 - For OFDM¹
 - Multiple coherent channels²
- Increase bandwidth of channel

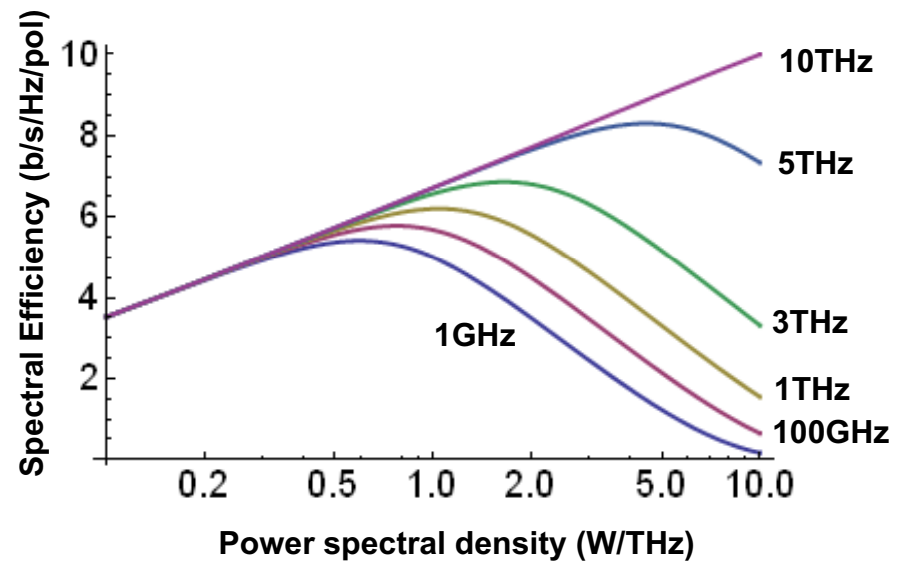


FWM Compensation Approach

- FWM-distortion is deterministic, if relative phases among carriers are locked.
- Once deterministic, it can be compensated.



NTT ECOC2008 WS-1, Brussels Etsushi Yamazaki, NTT © NTT Network Innovation Laboratories



2000km, 80km spacing, 4.5dB noise figure, 10THz amplifier

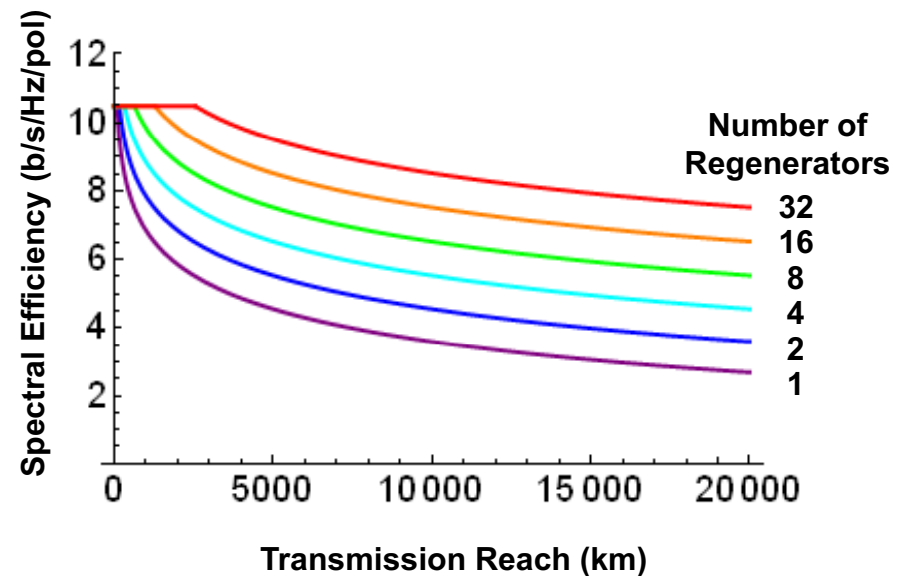
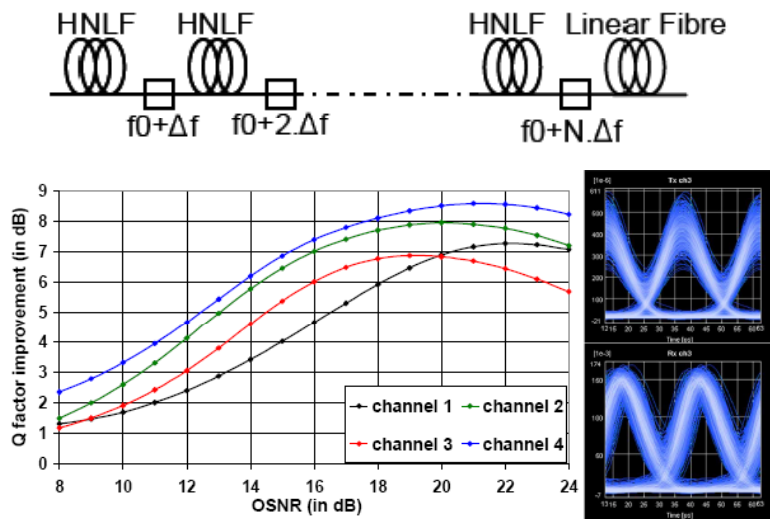
www.tyndall.ie

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How to increase the capacity further: Multi-wavelength optical regeneration

- Multi-wavelength all optical regeneration \Rightarrow Breaks up noise accumulation
 - Dispersion managed Mamyshev regenerator¹
 - Quasi continuously filtered regenerator²
 - Bi-directional / dual polarisation³
 - Parametric effects⁴



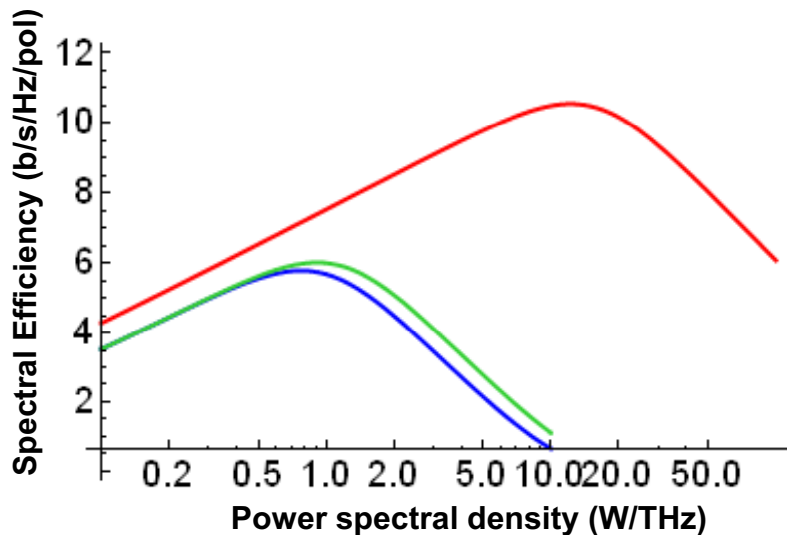
2000km, 80km spacing, 4.5dB noise figure, 5THz amplifier

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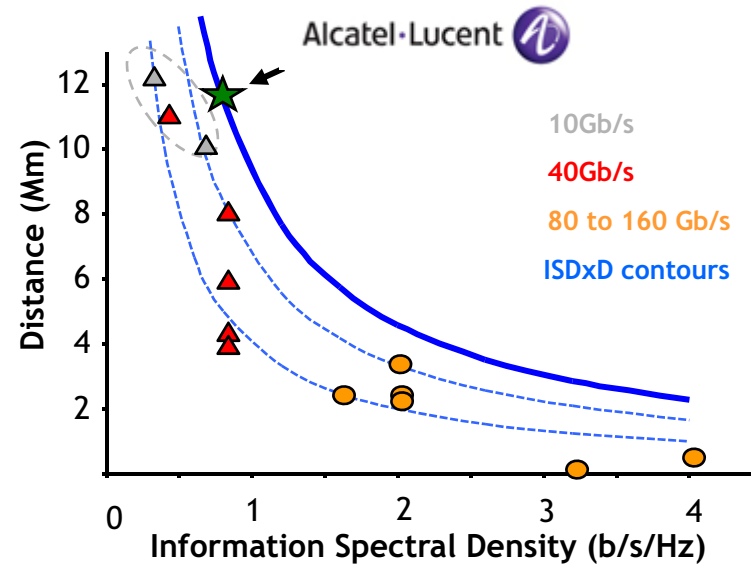


How to increase the capacity further: Fibre Design

| | SMF-28™ | LongLine™ Fiber ¹ | Hollow Core PCF ³ (prediction) |
|---|---------|---------------------------------|--|
| Loss (dB/km) | 0.2 | 0.185 | .13 |
| Non-linear coefficient (W ⁻¹ km ⁻¹) | ~ 1 | ~ .75 | ~0.01 (99% air propagation) |
| Waveband (nm) | 1550 | 1550 | 1900 |



2000km, 80km spacing, 4.5dB noise figure, 50 GHz channels at 50 Gbaud

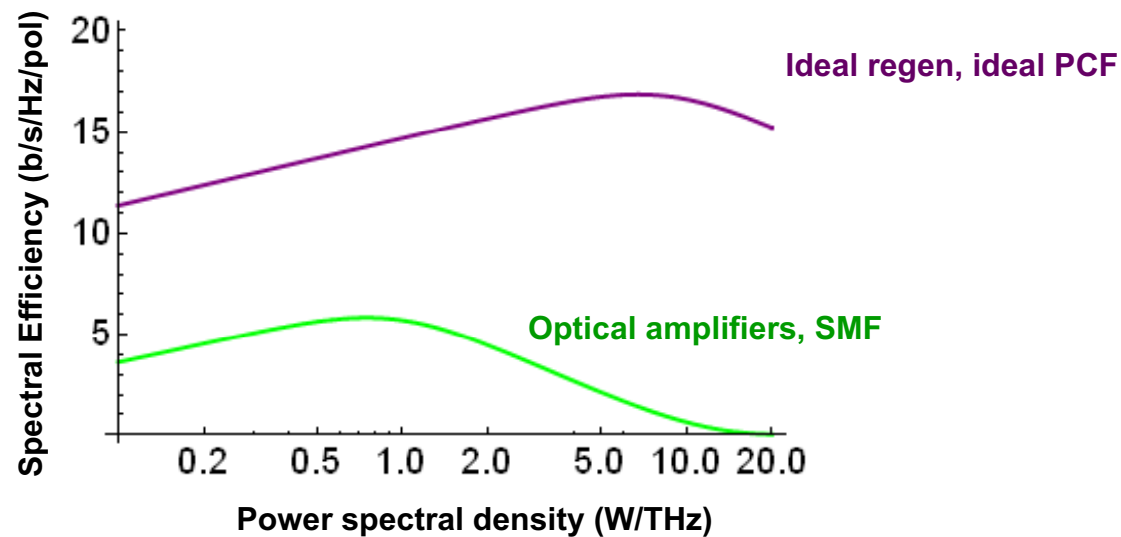


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The Ultimate Capacity?

- Transmission link fabricated from hollow core PCF
- Optical amplifiers replaced by ideal WDM regenerators
- Ultimate limit ~ 17 b/s/Hz/pol
 - ~170 Tbit/s in a 40nm bandwidth
 - with a higher bandwidth ~ 1 Pbit/s.Mm

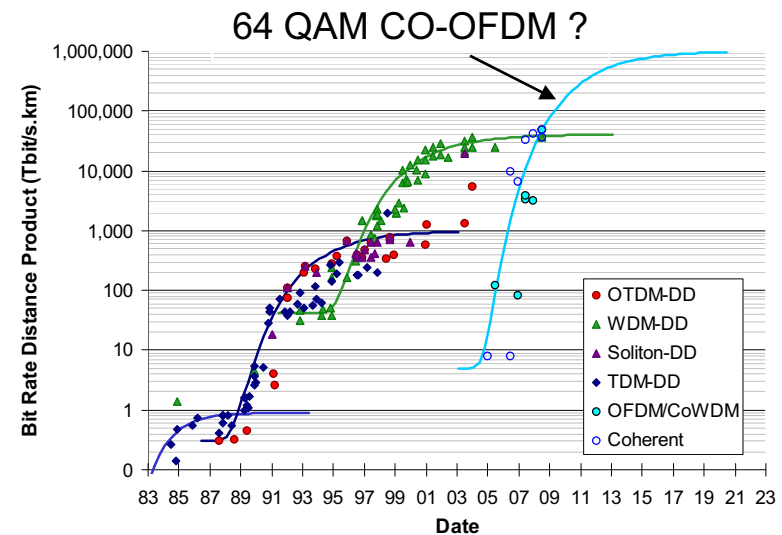


2000km, 80km spacing, 4.5dB noise figure, 50 GHz channels at 50 Gbaud

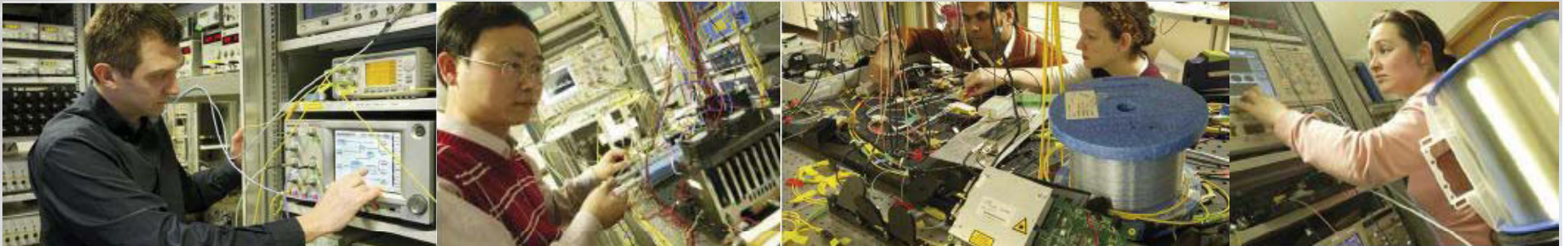


Conclusions: Reaching the limits of communication capacity

- What do we need to do (system design)?
 - Dispersion management
 - FEC
 - Orthogonal carriers
 - Coherent detection
 - QAM
 - Non-linear compensation
- What do we need to make (components)?
 - Integrated arrays
 - High speed DSP, ASICs
 - Narrow linewidth lasers
 - Linear modulators and drivers
- And to extend the limit...
 - Amplifier for waveband extension
 - Improved transmission medium
 - Undiscovered modulation techniques
 - Multi-wavelength regeneration



- Thank You
- Photonic Systems Group,
Tyndall National Institute & Department of Physics, University College Cork, Ireland.



physics.ucc.ie/photonics/photonicsJobs.htm