A phase-change thin film-tuned photonic crystal device

Longju Liu1, Russell Mahmood2, Le Wei1, Andrew C Hillier2 and Meng Lu1,3,3

1Department of Electrical and Computer Engineering, Iowa State University, Coover Hall, Ames, IA 50011, United States of America
2Department of Chemical and Biomolecular Engineering, Iowa State University, Sweeney Hall, Ames, IA 50011, United States of America
3Department of Mechanical Engineering, Iowa State University, Black Engineering, Ames, IA 50011, United States of America

E-mail: menglu@iastate.edu

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Abstract

This paper reports a tunable photonic device that incorporates a thin layer of phase-change material, Ge2Sb2Te5 (GST), in a photonic crystal (PC) structure. The PC structure is based on a one-dimensional grating waveguide with a metal cladding. The metal-cladded PC structure supports a guided-mode resonance (GMR) that selectively absorbs light at a particular wavelength. Inserting the GST material into the gating waveguide makes it possible to control the GMR mode. Here, the GST-PC device was numerically designed and optimized to obtain significant tuning of the GMR mode around 1550 nm. The tuning phenomena were experimentally demonstrated by the heat-induced phase change between crystalline and amorphous phases of the GST thin film. A spectral shift of the resonant wavelength from 1440 to 1610 nm was achieved via the crystallization process. The phase tuning of GST exhibits good repeatability as demonstrated by switching between amorphous and crystalline phases of GST for multiple cycles. The GST-PC device represents a new approach for tuning optical resonances with potential applications including but not limited to integrated photonic circuits, optical communications, and high-performance optical filters.

Keywords: photonic crystal, tunable filter, phase-change material

(Some figures may appear in colour only in the online journal)

1. Introduction

Photonic crystal (PC) slabs that support guided-mode resonance (GMR) represent a unique class of narrowband optical filters [1–4]. A typical PC slab filter consists of a high refractive index dielectric waveguide and a one- or two-dimensional periodic grating structure. The geometry and material properties of the PC structure determine its optical characteristics, including the resonant wavelength, linewidth of the GMR, and coupling efficiency [5]. PC slab filters with narrow bandwidth and high coupling efficiency have been demonstrated for wavelengths ranging from UV to infrared [6, 7]. The resonant modes of PC devices have been exploited in many fields, such as optical communication, display, lighting, photovoltaics, and biosensing [8–18].

Recent efforts on the developments of PC slab filters have focused on technologies to achieve tuning of the GMR mode. One type of the tuning approach is to control the geometry of the PC structure. For example, the grating period or waveguide thickness of a PC device can be tuned to control the spectral signature of the GMR modes [19, 20]. Alternatively, materials with a variable refractive index can be adopted in PCs to achieve tunable GMR modes [21, 22]. For example, liquid crystals have been used as a superstrate material of a PC to module its reflectance by switching the liquid crystal’s molecular alignment [23]. Tunable filters can be exploited in various applications, including optical modulation, switching, memory, and in video displays, where the transition between on or off states at a specific wavelength is required [24–28]. The
performances of tunable PC filters are evaluated based on the spectral tuning range, tuning speed, and fabrication cost.

Phase-change materials (PCMs) can function as tunable electro-optical materials because of the capability of changing their electrical and optical properties between amorphous and crystalline states [29, 30]. Among the family of PCMs, Ge2Sb2Te5 (GST) has been widely used in rewritable CD-RW discs [31]. GST also plays an important role in non-volatile phase-change memory [32, 33] and nanophotonic devices [34–38]. For photonic applications, the phase-change phenomenon of GST is particularly attractive owing to the large refractive index contrast between crystalline and amorphous phases, relatively low extinction coefficient (compared to that in the visible spectrum), rapid transition speed (<30 ns), good stability at room temperature, and the ease of phase transition [35]. This paper demonstrates the application of GST as a tunable element in the PC slab filter (GST-PC).

2. Results

Figure 1(a) illustrates the structure of the tunable GST-PC. The device consists of a stack of thin films on a one-dimensional (1D) surface relief grating. The thin-film stack includes a gold cladding layer, a zinc sulfide (ZnS) waveguide layer, and a GST thin film embedded within the ZnS layer. The 1D sinusoidal grating was fabricated on a glass substrate using a spin-on-glass (SOG) and nanoimprint process [39]. In brief, a polydimethylsiloxane (PDMS) stamp was first replicated from a commercial holographic grating with a grating period of 1 μm (Edmund Optics, #40-267). To fabricate the grating using glass, a few droplets of SOG solution (Accuglass 512B, Honeywell) was spun onto a pre-oxidized Si wafer (SiO2 thickness = 195 nm) at a spin speed of 800 rpm for 10 s. Immediately after the spin-coating, the thin SOG film was molded using the PDMS stamp under a pressure of 80 KPa. The sample, together with the PDMS stamp, was baked at 65°C on a hotplate for 3 min to solidify the SOG film. After the PDMS stamp was peeled away, the sample was then post-baked on a hotplate at 220°C overnight to solidify the SOG with the sinusoidal grating completely. The nanoimprint process enables simple and inexpensive fabrication of sub-wavelength gratings using SOG. After patterning the SOG, the sample was deposited with a stack of Au/ZnS/GST/ZnS thin films using an e-beam evaporator (BJD-1800, Temescal) for the Au and ZnS layers and a sputter coater (ATC 1800-F, AJA International) for the GST film. Figure 1(b) is a photograph of the fabricated device over an area of 18 × 15 mm². Scanning electron microscopy images in figures 1(c) and (d) show a top-view surface profile and cross-section of the device structure.

The ZnS film has a high refractive index (nZnS = 2.29 at 1550 nm) and can serve as a waveguide layer to confine light along the z-axis. The gold film (tAu = 80 nm) underneath the ZnS layer serves as the metal cladding boundary for the ZnS waveguide. The grating structure can couple incident light into a GMR mode supported by the ZnS grating waveguide. At the resonant wavelength (λr), light is strongly absorbed owing to optical losses in the gold cladding. In contrast, the gold layer effectively reflects light at other wavelengths that do not meet the resonant condition. Therefore, the metal-cladding PC supports a narrowband resonant absorption, which manifests as a reflection minimum at the resonant condition [40].

To tune the GMR mode, a thin film of GST is integrated into the ZnS grating waveguide. The thickness of GST and its position on the ZnS waveguide are optimized to maximize the effect of the phase transition on the resonant signatures. By inducing phase transitions between crystalline and amorphous states of GST, the effective refractive index for the waveguide can be modulated, and thus, shift GMR modes in the reflection spectrum.

2.1. Tuning of optical resonances of the metal-cladding GMR device

Rigorous coupled wave analysis (RCWA, DiffractMOD, Synopsys Inc.) was used to facilitate the device design. Optical characteristics, including reflection spectra and field distributions, were calculated using measured optical
The GST were from the results of ellipsometry measurement simulation, the refractive index and extinction coefficients during phase transition. In the RCWA, relatively small material loss and exhibits a large change in constants and device dimensions with the GST. Glass layers were taken from Johnson and Christy handbook, which can excite transverse-electric (TE) GMR modes. To obtain GMR modes around 1550 nm, the period and depth of the sinusoidal grating were chosen as \( \Lambda = 1 \mu m \) and \( h = 150 \text{nm} \), respectively.

To investigate the impact of the phase transition in the GST film on the GMR mode, device designs with several different GST thicknesses \( t_{\text{GST}} \) and positions \( d_{\text{GST}} \) in the ZnS waveguide were modeled. We first set \( d_{\text{GST}} = 8.5 \text{nm} \) and the ZnS thickness to \( t_{\text{ZnS}} = 200 \text{nm} \). The position of the \( d_{\text{GST}} \) denotes the distance of GST film from the gold cladding. The GST film is located in between the gold cladding and the ZnS waveguide when \( d_{\text{GST}} = 0 \) and on top of the ZnS waveguide when \( d_{\text{GST}} = 200 \text{nm} \). At intermediate values of \( d_{\text{GST}} \) the GST film is embedded within the thicker ZnS layer. The value of \( d_{\text{GST}} \) was increased from 0 to 200 nm. For \( d_{\text{GST}} = 135 \text{nm} \), the calculated reflection spectra for as-deposited a-GST, c-GST and melt-quenched a-GST are shown in figure 2(b). The dips in the reflection spectra represent the absorption resonance conditions for the metal-cladded GMR mode. The shift of the resonant wavelength \( \Delta \lambda \) is defined as the change in the wavelength of the reflection minimum when the GST film transforms from the amorphous to crystalline state.

Calculated values of \( \Delta \lambda \) are plotted for the GST-PC device as a function of \( d_{\text{GST}} \) in figure 3(a). It can be seen that the resonant wavelength shift approaches zero when \( d_{\text{GST}} = 0 \) (red circle). The phenomenon can be explained by considering that the tangential electric field vanishes at metal surface and, thus, the GMR mode is insensitive to the phase transition. Moving the GST film away from the metal cladding increases the resonance wavelength shift until the shift reaches its maximum near \( d_{\text{GST}} = 175 \text{nm} \). After the maximum point, \( \Delta \lambda \) decreases slightly until the GST layer is located on top of the ZnS layer at \( d_{\text{GST}} = 200 \text{nm} \). It can be seen that the phase transition results in a resonant wavelength shift over 200 nm when \( 125 \text{nm} < d_{\text{GST}} < 200 \text{nm} \) (the blue region). Meanwhile, within the blue region, the change of \( \lambda \) as a function of \( d_{\text{GST}} \) is small. The electric field distributions \(|E_x(x, z)|^2 \) near the grating surface with of GST films at three different GST locations \( d_{\text{GST}} = 0, 135, \) and 200 nm) are plotted in figure 3(b). The resonance conditions with a-GST are shown at \( \lambda_1 = 1360, 1440 \) and 1460 nm, respectively. From figure 3(b), we can see that the near-field distributions of the GMR mode do not alter dramatically for these three cases. The change of near-field profile with regard to the GST position is negligible. According to figures 3(a) and (b), the resonant wavelength shift upon phase transition is larger when the GST layer is placed at the position, where the electric field is stronger. In the GST-PC design, the GST film is embedded within the ZnS waveguide with \( d_{\text{GST}} \sim 135 \text{nm} \) to maximize the tuning effect. Meanwhile, the top layer of ZnS can also serve as a protection and passivation layer for the GST film.

The thickness of the GST layer also plays an important role in the tuning capability. As illustrated in figure 2(a), both the real and imaginary parts of the refractive index exhibit significant changes when the GST film switches between the amorphous and crystalline states. Although it is possible to

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**Figure 2.** Measured \( n, k \) for GST and calculated reflection spectra for GST-PC. (a) Measured refractive indices \( n \) (solid lines) and extinction coefficients \( k \) (dashed lines) in the near infrared wavelength range: \( n \) (solid lines) and \( k \) (dash lines) for the as-deposited (AD) amorphous GST (black), crystalline GST (c-GST, red), and melt-quenched (MQ) amorphous GST (a-GST, blue). A detailed description of the spectroscopic ellipsometry measurement can be found in the supporting information. (b) Simulation results of the reflection spectra for GST-PC devices integrated with GST thin film in as-deposited amorphous (black), crystalline (red) states and melt-quenched amorphous GST (blue).
obtain a measurable shift in the GMR mode with just a few nanometer-thick GST film, a thicker film produces a much larger spectral shift. On the other hand, since the GST film exhibits strong optical loss at the target wavelength range, an excessively thick GST film may quench the optical resonance. To investigate the trade-off, we calculated the device resonances with the GST ranging from 0 to 20 nm. The resonant wavelength as function of $t_{\text{GST}}$ for a-GST and c-GST are plotted in the inset of figure 3(c). These results show that the difference between the a-GST and c-GST resonances increases when the GST film thickness increases. Figures 3(d) and (d) summarize the shift of resonant wavelengths and the full width half maximum (FWHM) of the reflection minima. The FWHM values reach their maximum values at $t_{\text{GST}} = 10 \text{ nm}$ for a-GST and $t_{\text{GST}} = 7 \text{ nm}$ for c-GST, respectively. When $t_{\text{GST}} > 10 \text{ nm}$, both FWHM curves decrease slightly. This can be explained by the decrease of the GST extinction coefficient ($k_{\text{GST}}$) from 900 to 1700 nm. As the GST thickness increases, the GMR mode shifts to longer wavelengths, where the $k_{\text{GST}}$ values continue decreasing for both a-GST and c-GST, as shown in figure 2(a). The loss caused by material absorption is therefore mitigated, resulting the decrease of FWHM. The modeling results indicate that as long as the GST thickness is larger than $t_{\text{GST}} = 7.5 \text{ nm}$, a wavelength shift that is greater than the FWHM of either a-GST or c-GST phase can be obtained. A GST thickness of $t_{\text{GST}} = 8.5 \text{ nm}$ was selected for our device to achieve the tuning in the desired wavelength range ($\sim 1400$ to $\sim 1600 \text{ nm}$) with a relatively small FWHM and large wavelength shift.

2.2. Tuning of GMR mode by the phase transition of GST

Based on the RCWA modeling results, we fabricated the GST-PC device with $\Lambda = 1000 \text{ nm}$ and $d_{\text{GST}} = 135 \text{ nm}$ as shown in figures 1(b)–(d). The thicknesses of gold film, ZnS, GST, and ZnS films are $t_{\text{Au}} = 80 \text{ nm}$, and $t_{\text{ZnS1}} = 135 \text{ nm}$, $t_{\text{GST}} = 8.5 \text{ nm}$, and $t_{\text{ZnS2}} = 65 \text{ nm}$, respectively. A test system was built to control the phase transition of the GST film.
and characterize the sample response. As shown in figure 4(a), the device is illuminated by a collimated, TE-polarized broadband light source (HL-2000, OceanOptics) from a fiber at normal incidence. It is worth noting that the resonant features are also dependent on the angle of incidence. To focus on the study of GST-induced tuning, we kept the excitation at normal incidence. The excitation beam was incident onto the GST-PC device via a non-polarizing 50/50 beam splitter cube. The reflected light is collected through the beam splitter with a second fiber and analyzed using a NIR spectrometer (StellarNet Inc.). The spectral range of the spectrometer is 897–1788 nm. The reflectance was calculated against a gold-coated mirror as the reference spectrum. To identify the resonant wavelength, we used a second polynomial function to fit 20 data points near the minimal transmittance point.

2.2.1. Heat-induced crystallization. The reflection spectrum of the device with the sputtered amorphous GST was measured and is shown in figure 4(b). To induce its crystallization, the GST film must be heated above its crystallization temperature ($T_c$) but cannot exceed the melting temperature ($T_m$) [25, 26]. We used a thermoelectric cooler (TEC, Marlow TG12-4L) to heat the GST-PC by mounting it on the hot side of the TEC. We measured the reflection spectra every 200 ms during the heating cycle. Measured reflection spectra at several time steps are shown in figure 5(a). A continuous shift of the GMR mode from 1440 to 1610.5 nm is observed in a time span of 22.4 s. The phase transition from a-GST to c-GST also broadens the FWHM of the GMR mode from 49.0 to 187.9 nm. The results indicate that both $n_{GST}$ and $k_{GST}$ increase with the temperature,
as expected based upon the underlying crystallization process of GST.

The temperature of the device was recorded during heating using a thermocouple. The measured resonant wavelength vs. temperature curve is plotted in figure 5(b). There are three distinct regions observed during the temperature rise. In Region I, where the temperature was below \( \sim 93 \, ^\circ\text{C} \), the resonance wavelength shifts slowly from 1439 to 1461 nm at a rate of 0.2 nm \( {/}^\circ\text{C}^{-1} \) after the TEC was turned on. Above \( 93 \, ^\circ\text{C} \) (Region II), \( \lambda_\text{r} \) shifts rapidly from 1461 to 1603 nm at a rate approaching 9.3 nm \( {/}^\circ\text{C}^{-1} \), indicating a quick phase transition from amorphous to crystalline state. The resonant wavelength gradually stabilizes (Region III), near 1610.5 nm, suggesting that the GST layer has been fully crystallized.

2.2.2. Pulse laser-induced amorphization. To switch the GST film from its crystalline state back to the amorphous state, it is necessary to heat the GST above its melting temperature and cool it down fast enough to achieve the melt-quenched a-GST film [29, 30]. As demonstrated in previous works [38, 42], ultrafast pulse lasers are well suited for such a task. In this work, we utilized a Q-switched Nd:YAG laser (Oppolette 3043, OPOTEK Inc.) to initiate the crystalline to amorphous transition for the c-GST film. The laser outputs 7 ns pulses at 1064 nm with a beam diameter of 3 mm. Due to speckling in the laser beam, direct exposure of the device led to a spatially non-uniform transition. To minimize this non-uniformity, we focused the laser beam into a 3 mm long and 20 \( \mu \)m wide line using a cylindrical lens (focal length = 35 mm). The laser fluence and repetition rate were set at 285 \( \mu \)J cm\(^{-2} \) and 20 Hz, respectively. The device was mounted on a motorized translation stage and scanned through the laser line in order to expose the desired area. The scanning speed was adjusted to match the repetition rate of the pulse laser. Each scan generated an area of 3 mm \( \times \) 3 mm on the device. The reflection spectrum was then measured after the scanning process. Figure 4(b) compares the reflectance of the device with the as-deposited a-GST, c-GST, and the melt-quenched a-GST films. The reflection dip of melt-quenched a-GST is not able to shift back to the initial position of the as-deposited a-GST. This phenomenon is expected since figure 2(b) shows that the complex refractive index of melt-quenched a-GST is different from that of the as-deposited a-GST. Previous work reported by other researchers also showed that the melt-quenched a-GST has different electrical and optical properties compared to the as-deposited a-GST [43].

To study the reapparability of GST tuning, we tested the dynamics and repeatability of the crystallization and melt-quench transition processes, which were repeated for multiple cycles. For each cycle, the device was heated using the TEC and subsequently scanned using the pulsed laser. Reflection spectra were recorded every 200 ms during the crystallization process and then paused during the melt quenching. The resonant wavelengths were determined as a function of time. Results of the first six cycles are summarized in figure 6. The cycling experiment started with the device consisting of the as-deposited a-GST film with the initial resonant wavelength located at 1440 nm. The first crystallization process shifted the resonant wavelength to 1610 nm and the subsequent melt-quenched process moved the resonance back to 1544 nm. During the following cycles, the resonance wavelength was modulated in the range of 1544–1592 nm, as highlighted in the shadow area in figure 6.
important to select a PCM film with low material loss in both crystalline and amorphous states. For example, we could replace the GST film using the Ge$_2$Sb$_2$Se$_5$Te$_3$ film recently demonstrated by Zhang et al to maintain narrowband features during a tuning process [44]. This work focuses on the optical tuning of GST film using the pulsed laser, and our future work will test the control of the GST film using electrical pulses.

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ORCID iDs

Andrew C Hillier @ https://orcid.org/0000-0002-2729-1368
Meng Lu @ https://orcid.org/0000-0001-7444-6759

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