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# Monolithically integrated polarization rotator and splitter with designed power ratio

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**Abstract:** Inverse designs are widely used for creating ultra-compact photonic devices, but suffer from high computation power due to the optimization complexity. General Stoke's theorem proves that the overall change present at the outer boundary is equal to the integral of the change over the inner intervals, providing the possibility to divide one sophisticated device into several simple building blocks. Thus, we integrate this theorem with the inverse designs as a novel design methodology for optical devices. Compared with conventional inverse designs, the separated regional-optimisations can reduce the computational complexity significantly. The overall computational time is around five times shorter than optimizing the whole device region. To validate the proposed methodology, a monolithically integrated polarization rotator and splitter is designed and fabricated to demonstrate the performance experimentally. The device achieves polarization rotation ( $TE_{00}$  to  $TE_{00}$  and  $TM_{00}$  modes) and power splitting with the designed power ratio. The exhibited average insertion loss is  $<1$  dB and the crosstalk is  $<-9.5$  dB. These findings confirm the advantages of the new design methodology, as well as its feasibility for achieving multiple functions on one monolithic device.

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## 1. Introduction

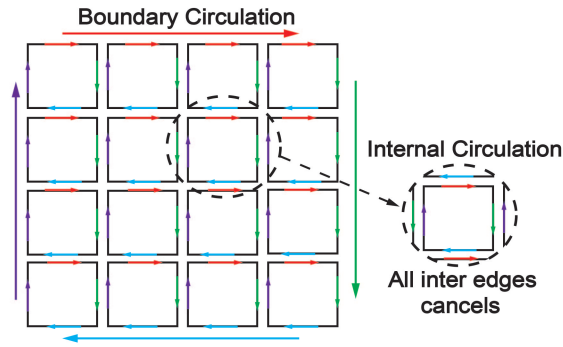
Inverse designs have been widely used to design nanophotonic devices [1–4]. The design algorithms allow the users to "design by specification" [5]. Some common algorithms include gradient-based adjoint method [6, 7], non-linear direct binary search (DBS) [8, 9], genetic algorithm [10, 11] and neural network [12]. Compared with conventional designs which strongly depend on physical theory and intuition of researchers [13], the inverse designs can optimize larger parameter space without being over-dependent on physics intuition [14]. These designs allow the realization of ultra-compact photonic devices with sophisticated functionalities [1–25]. The reported devices, such as power splitters [3, 4, 9, 10, 12, 14], polarization rotators [11, 15, 21], mode converters [2, 22–24], have been realized within a footprint under  $10 \mu m^2$ . [24] achieved multi-functionalities and integrated mode conversion and power splitting into one device using a modified rotatable DBS. However, when two or more functions are integrated into one photonic device, it can be difficult to optimize the design for the whole device, due to slower convergence or being stuck in a "local-maximum" [24]. In addition, the time complexity of DBS grows exponentially with the device scale and can be very time-consuming [25].

To reduce the design complexity, we use General Stoke's theorem to simplify the design space in the inverse designs. This method is widely used in fibre optical systems [26, 27], which divides a complicated system into several building blocks with individual functionalities, and then suitable optical components are selected to realise the objectives of the functionalities. The optical components are selected based on physical intuition and understanding of the system architecture. The individual functional component is connected by fibre connectors [28]. We propose to apply similar physical design intuition of the macro-system to the on-chip photonic design, which divides the device into several embedded inverse-designed sub-regions (mini building blocks), where General Stoke's theorem underlines the physical principle. Each sub-region is optimized by DBS independently to achieve the desired functionality, which will then be used as building

46 blocks to achieve the complete multiple functionalities. Therefore, the whole area-design space  
 47 optimization is replaced by parallel optimizations of sub-regions, which effectively reduces the  
 48 optimization complexity and computation time.

49 To validate our method, we design, fabricate and test a monolithically integrated polarization  
 50 rotator and splitter with a designed power ratio. The device can fulfil both polarization rotation  
 51 ( $TE_{00}$  to  $TE_{00}$  and  $TM_{00}$  modes) and power splitting with a designed power ratio. The initial  
 52 optimization area is separated into three sub-regions; the performance of each sub-region is  
 53 measured by a figure of merit (FOM), which is optimized using DBS independently. The same  
 54 constraints are applied to the adjacent boundaries of the sub-regions as design objectives. In  
 55 this paper,  $TE_{00}:TM_{00}=1:1$ ,  $1:3$  and  $3:1$  are designed and simulated with the largest footprint of  
 56  $5.6 \times 2 \mu m^2$ . The device with  $TE_{00}:TM_{00}=1:1$  is fabricated as an experimental demonstration, the  
 57 measured maximum insertion loss is 1 dB and the crosstalk between  $TE_{00}$  and  $TM_{00}$  modes is  
 58 less than -9.5 dB. Moreover, the overall computation time for sub-regions optimization is around  
 59 five times shorter than the whole area optimization via the conventional method. Our method  
 60 is proven to be an effective method for integrating multi-functionalities into a single photonic  
 61 device with significantly reduced computational time.

## 62 2. Design principle



**Fig. 1.** Green's theorem describes the external boundary and internal circulation

63 In vector calculus and differential geometry, the Generalized Stoke's theorem discusses the  
 64 integrations of differential forms on manifolds, which both simplifies and generalizes several  
 65 theorems from vector calculus. It underlines a design process of breaking down a relatively  
 66 complex system into a series of simple ones, or a process of merging these simple pieces into  
 67 the original one. The theorem says that the integral of a differential form over the boundary of  
 68 some orientable manifold is equal to the integral of its exterior derivative over the whole of the  
 69 manifold. For example, the 2-D Green's theorem as one special case of the generalized Stoke's  
 70 theorem defines that the integral of the curl of a vector over the area equals the line integral of this  
 71 vector around the perimeter. As shown in fig. 1, the block is cut into small pieces and each has its  
 72 own circulations. The circulations with reversed directions can cancel each other. Therefore, the  
 73 circulations from all internal edges cancel out, and on the boundary all the arrows add together to  
 74 form a giant circulation.

75 Mathematically, the General Stoke's theorem is given by [29]:

$$\int_{\partial M} \omega = \int_M d\omega. \quad (1)$$

76  $M$  is the region where a function  $\omega$  is defined and  $\partial M$  is the boundary of this region. Eq. (1)

77 indicates that the integral of the derivative of  $\omega$  over  $M$  is equal to the integral of  $\omega$  over the  
 78 boundary of  $M$ . Taking the electrostatic field as an example,  $d\omega$  represents the change in electric  
 79 field of a single charge, which is the divergence. If there is a closed surface  $\partial M$ , the sum of all  
 80 electric field changes from the charges inside the region  $M$ , represented as  $\int_M d\omega$ , is always  
 81 equal to the total changes on its surface  $\partial M$ , namely the flux. The divergence is a local property,  
 82 which zooms in and focuses on small changes. While the flux is a global property and describes  
 83 the changes overall. The General Stoke's theorem governs the relationship between these two  
 84 properties.

85 Additionally, assuming that the region  $M$  is the superposition of  $n$  sub-regions, the right-hand  
 86 side of Eq. (1) can be rewritten as:

$$\int_M d\omega = \sum_{n=1} \int_{M_n} d\omega_n = \sum_{n=1} \int_{\partial M_n} \omega_n. \quad (2)$$

87 and when combined with the left-hand side, it becomes:

$$\int_{\partial M} \omega = \sum_{n=1} \int_{\partial M_n} \omega_n. \quad (3)$$

88 According to Eq. (3), all  $(k+1)$ -dimensional derivative terms have been replaced by  $k$ -dimensional  
 89 boundary terms, therefore, the boundary condition of a region can induce the internal field  
 90 functionalities.

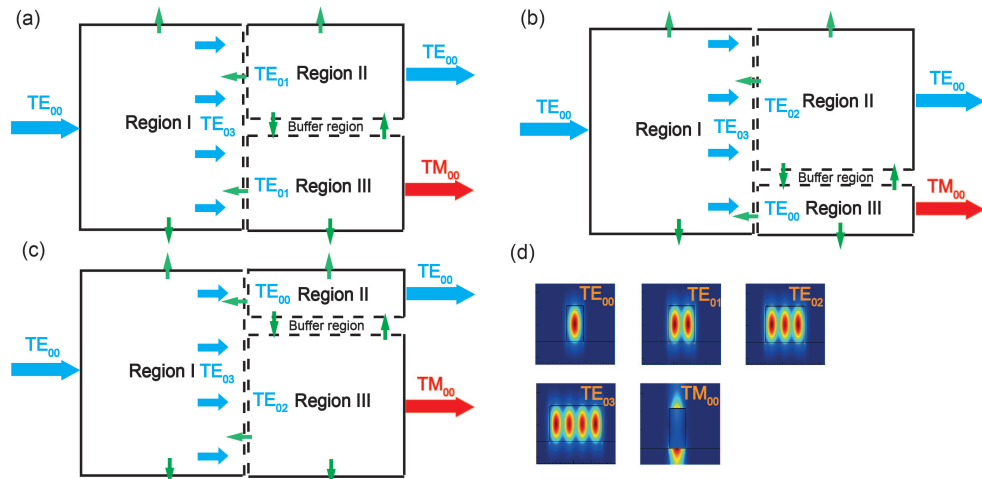
91 The Generalized Stoke's theorem inspires a novel design methodology to design multiple  
 92 functional photonic devices. In the method, we focus on the design of the external boundaries  
 93 and the adjacent boundaries between sub-regions. Therefore, the multiple functionalities of a  
 94 large design region can be split into several single functionalities with smaller sub-design regions.  
 95 The optimization complexity can be significantly reduced.

96 Our design method is applied to DBS design. The optimization complexity is significantly  
 97 reduced. We discrete the design region into  $m$  pixels, and assume each pixel has two states  
 98 "0" and "1" (in this case, "0" refers to silicon while "1" refers to air). Then, the complexity of  
 99 optimizing this region is defined as  $2^m$ , which exhausts all the possibilities. Now, assuming the  
 100 region is divided into  $n$  sub-regions, the complexity of optimizing each sub-region will be  $2^{\frac{m}{n}}$ .  
 101 Thereby the total complexity is reduced by  $2^n$  times theoretically, which not only improves the  
 102 overall optimization efficiency but also avoids the "local-maximum" issue effectively.

103 However, Eq. (2) has assumed a linear superposition process, which requires that each  
 104 sub-region is independent of the other. The term "independent" means the original electric  
 105 field distribution of each sub-region remains unchanged after the merge of sub-regions. This  
 106 requirement needs further consideration. The change in the local refractive index introduced  
 107 by the change in the surrounding environment will inevitably impact the original electric field  
 108 distribution after the merge. This will affect the originally-designed boundary conditions. Thus,  
 109 additional constraints must be added to the boundaries of adjacent regions to reduce the impact,  
 110 which will be discussed in the following sections.

### 111 3. The design of the monolithically integrated polarization rotator and splitter 112 with various power ratios

113 To validate the proposed method, we design a monolithically integrated polarization rotator and  
 114 splitter with various power ratios.  $TE_{00}$  mode is chosen as the input and three different output  
 115 ratios of  $TE_{00}:TM_{00}=1:1, 1:3, 3:1$  are numerically demonstrated. Fig. 2 (a)-(c) are the schematic  
 116 views of the three designs. The solid lines represent the boundaries connected to the external  
 117 environment (air), and the dashed lines are the boundaries subjected to the inner connections.  
 118 In the design, the whole region is divided into four sub-sections, including the power splitting  
 119 section, the mode conversion section, the polarization rotation section and the buffering section.



**Fig. 2.** (a)-(c) Schematic views for  $TE_{00}:TM_{00}=1:1$ ,  $TE_{00}:TM_{00}=3:1$  and  $TE_{00}:TM_{00}=1:3$  respectively. Region I is the power splitting section, Region II is the mode conversion section and Region III is the polarization rotation section. The green arrows represent possible light leakages considered in this paper (d). The cross-section of the ideal input and output modes mentioned in (a) to (c).

120 For the power splitting section, the Region I.  $TE_{00}$  mode is injected from the left-side boundary,  
 121 and the target is to obtain an equally-distributed  $TE_{03}$  mode on the right-side boundary. To ensure  
 122 the target mode is equally distributed, the cross-section of the right-side of Region I is equally  
 123 divided into four parts, and each of which can be regarded as a separate  $TE_{00}$  mode (as shown in  
 124 Fig. 2 (d)). The FOM in this region is defined as:

$$FOM_I = \alpha \cdot E_{TE_{03}} - (1 - \alpha) \left[ \sum_{n=4} (E_{TE_{00}^n} - 0.25) \right]. \quad (4)$$

125 where  $E$  is the transmittance of mode power. The  $\alpha$  is a parameter used to correct the power  
 126 ratio of each  $TE_{00}$  mode under  $TE_{03}$  mode, making each of them 25 % of the total power. In this  
 127 way, the total power is expected to be equally allocated to the four  $TE_{00}$  modes within smaller  
 128 areas. The different power ratios can be realized by the combined superpositions among these  
 129 four modes. Light is strongly confined in the core due to the significant refractive index difference  
 130 between silicon and air, so the losses on the upper and bottom boundaries are assumed to be zero  
 131 in the simulation.

132 Mode conversion and polarization rotation are conducted in Region II and Region III,  
 133 respectively. The equally-distributed  $TE_{00}$  modes from Region I are the input for Region II and  
 134 Region III.

135 For the designed power ratio of  $TE_{00}:TM_{00}=1:1$ , as shown in Fig. 2 (a), each small blue arrow  
 136 represents one equivalent  $TE_{00}$  separated from  $TE_{03}$  mode. The input mode of each region is  
 137 defined to be  $TE_{01}$ , which is composed of two  $TE_{00}$  modes in space. The width of each region  
 138 is designed to be half of the width of Region I so that the upper and lower two  $TE_{00}$  modes,  
 139 corresponding to 50 % of the total power, can be confined in the two regions, respectively.

140 For the designed power ratio of  $TE_{00}:TM_{00}=3:1$ , as shown in Fig. 2 (b), the width of Region  
 141 II and Region III is designed to be three-quarters and one-quarter of the width of Region I,  
 142 respectively. The input mode is chosen to be  $TE_{02}$  for Region II and  $TE_{00}$  for Region III,  
 143 respectively. Similarly, for  $TE_{00}:TM_{00}=1:3$ , we take the same philosophy to divide the boundary,  
 144 but this time one-quarter of the width of Region I is for Region II. Also the chosen mode for

145 Region II is transferred to  $TE_{00}$ . The process is shown in Fig. 2 (c).

146 For Region II and III, different FOMs are used to evaluate the performance of the final outputs:

$$\text{Region II : } FOM_{II} = E_{TE_{00}} - R_1. \quad (5)$$

147

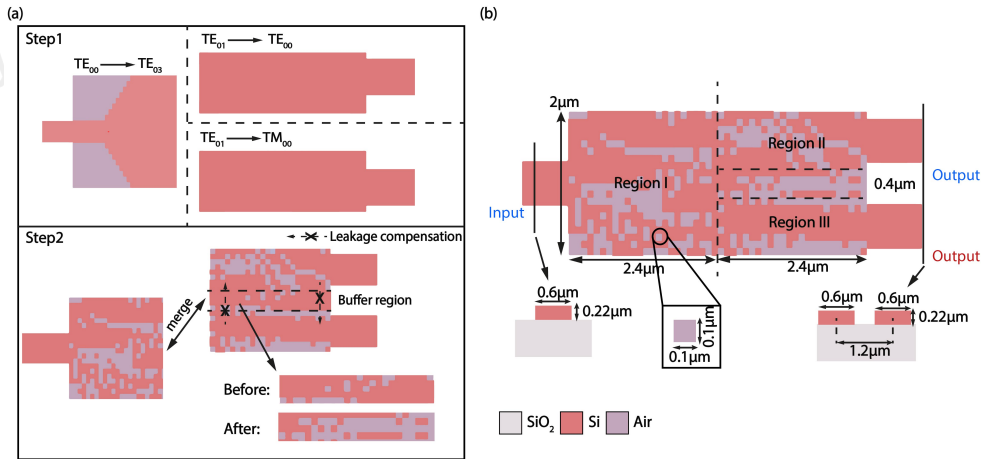
$$\text{Region III : } FOM_{III} = E_{TM_{00}} - R_2. \quad (6)$$

148 The reflections  $R_1$  and  $R_2$  from Region II and Region III to Region I are monitored. The  
 149 reflections should be minimized to reduce the impact on the output of Region I when the regions  
 150 are merged. The interaction between Region II and III has not been considered yet, and each  
 151 region is optimized separately. Light is supposed to be strongly confined in the core region due  
 152 to the large refractive index difference. The interactions between Region II and Region III will  
 153 be considered and re-optimized in the buffer region.

154 After optimizing three regions independently, we merge Region II and Region III, which leads  
 155 to the merge of adjacent boundaries. The merge results in refractive index change and affects the  
 156 original light path. To compensate the change, parts of Region II and Region III are re-designated  
 157 as a buffer region, which will be re-optimized to reduce the impact of the merge. The FOM for  
 158 buffer region is defined as:

$$FOM_{BR} = E_{TE_{00}} + E_{TM_{00}} - (L_1 + L_2). \quad (7)$$

159 where  $L_1$  and  $L_2$  monitor the light leakage from Region II and Region III to the buffer region  
 160 respectively. Only the patterns in the buffer region are re-optimized to improve the  $FOM_{BR}$ .  
 161 Then, Region I is added to the front end of Region II and III to form a complete device. Here, a  
 162 buffer region is not needed between Region I and Region II (III). During merging Region I and  
 163 the rest regions (Region II, Region III and buffer region), the mode power at the end of Region I  
 164 and the mode powers at the final outputs are monitored. It is found that the mode power at the  
 165 end of Region I is slightly affected, and the overall mode power loss induced by the merge is less  
 166 than 5 %. Therefore, no added buffer is utilized in the optimization process.



**Fig. 3.** (a) The simulation steps for the proposed device. (b) Optimized structure of  $TE_{00}:TM_{00}=1:1$ .

167 The DBS method is employed to complete the optimization process [15]. As presented in Fig. 3  
 168 (a), the proposed structure is optimized by two steps. In step one, three regions are optimized  
 169 independently to achieve the optimal FOMs mentioned above. For Region I, a manually-set  
 170 initial pattern is used to avoid local convergence, as the design method is sensitive to the initial

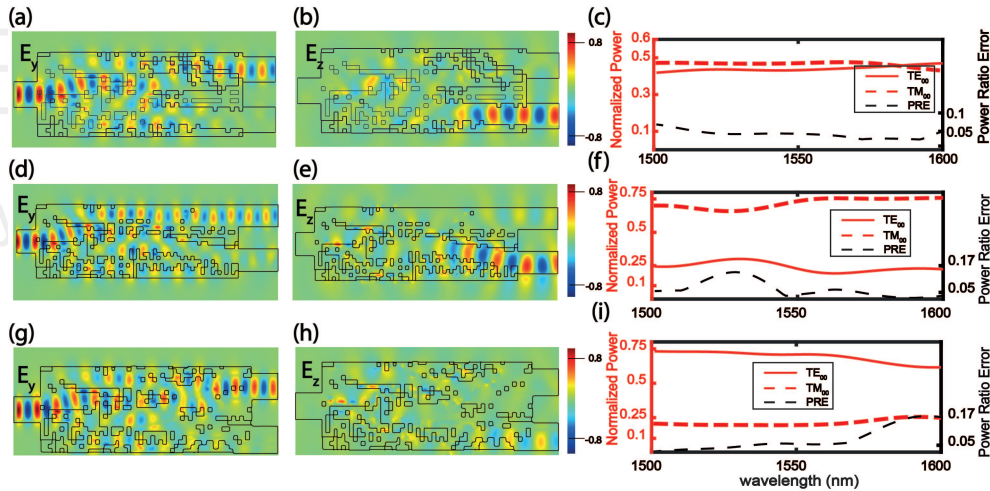
171 patterns [9]. Region II and Region III are optimized, starting from all-silicon. In step two, Region  
 172 II and Region III are connected by the buffer region. When the optimization of the buffer region  
 173 is completed, all regions are merged to form the final device, as shown in Fig. 3 (b).

174 The model of  $TE_{00}:TM_{00}=1:1$  is shown in Fig. 3 (b). The device is based on an SOI platform  
 175 with a 220 nm-thick top silicon layer. The widths of the input and output waveguides are 600 nm,  
 176 and the gap between the two output waveguides are designed to be  $1.2 \mu\text{m}$  to avoid crosstalk.  
 177 The footprint of the design region is  $4.8 \times 2 \mu\text{m}^2$ , which is discretized into  $100 \text{ nm} \times 100 \text{ nm}$   
 178 pixels. Each pixel has two states: "0" represents silicon, and "1" represents air. The etching  
 179 depth of the pixel is 220 nm. The design space of Region I is  $2.4 \times 2 \mu\text{m}^2$ , which composes of  
 180  $24 \times 20$  pixels. For Regions II and III, the widths will fluctuate depending on the corresponding  
 181  $TE_{00}$ - $TM_{00}$  power ratio. And the lengths can be increased if larger design space is needed. The  
 182 bigger the difference in effective index between the input and output in Region II(III) is, the  
 183 larger design space is required. The length for  $TE_{00}:TM_{00}=1:3$  and  $TE_{00}:TM_{00}=3:1$  is set to be  
 184  $3.2 \mu\text{m}$  to increase the design space. The overall number of pixels is  $32 \times 20$ .

185 The 3D finite-difference time-domain (FDTD) method is utilized to calculate the FOM using  
 186 Lumerical FDTD Solutions. The simulations finish when the FOM growth falls below 1%. The  
 187 overall optimization time for  $TE_{00}:TM_{00}=1:1$  is 17 hours, and it takes a bit longer for the other  
 188 two ratios, which are within 20 hours. The optimizations are operated on the IRIDIS High  
 189 Performance Computer Cluster.

## 190 4. Results and discussion

### 191 4.1. Performance evaluation



**Fig. 4.** The calculated  $E_y$  and  $E_z$  electric field profiles at 1500 nm and transmission spectra under the wavelength range from 1500 nm-1600 nm for (a)-(c)  $TE_{00}:TM_{00}=1:1$ , (d)-(f)  $TE_{00}:TM_{00}=1:3$  and (g)-(i)  $TE_{00}:TM_{00}=3:1$ .

192 Fig. 4 illustrates the  $E_y$  and  $E_z$  electric field profiles and the transmission spectra for  
 193  $TE_{00}:TM_{00}=1:1$ ,  $1:3$  and  $3:1$ , respectively. The initial  $TE_{00}$  is gradually evolved into our  
 194 expected modes with a specific power ratio based on the merged regions. For  $TE_{00}:TM_{00}=1:3$   
 195 (Fig. 4 (d) and (e)), Region II only has  $TE_{00}$  mode transmission, and no mode conversion is  
 196 happened.

197 To evaluate the accuracy of the designed power ratio, we define the actual power ratio minus  
 198 the ideal power ratio as the power ratio error (PRE) [10], as summarised in Table 1. The PRE for

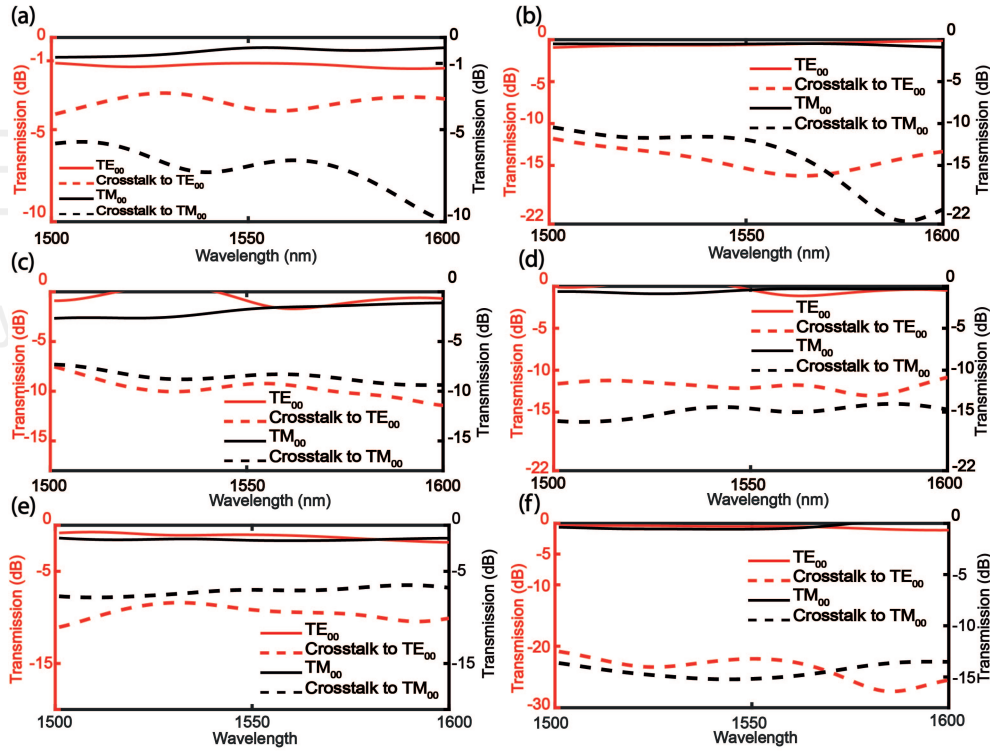
199  $TE_{00}:TM_{00}=1:1$  is less than 0.12, and continuously decreases as the wavelength increases from  
 200 1500 nm and reduces to zero at 1590 nm. The overall transmission efficiency is above 85% over  
 201 the wavelength range of 1500 nm-1600 nm.

**Table 1.** PRE of the three design ratios.

Power ratio error (PRE)			
TE:TM Power ratio	1:1	1:3	3:1
Maximum PRE	0.12	0.16	0.16

202 For both  $TE_{00}:TM_{00}=1:3$  and  $TE_{00}:TM_{00}=3:1$ , the PRE is less than 0.16. For  $TE_{00}:TM_{00}=1:3$ ,  
 203 the peak of PRE appears within the wavelength of 1500 nm-1550 nm due to the descending  
 204 transmission for  $TE_{00}$ . For  $TE_{00}:TM_{00}=3:1$ , the peak of PRE appears within 1550 nm-1600nm.  
 205 The transmission of  $TE_{00}$  within 1550 nm-1600 nm is lower than that within 1500 nm-1550 nm,  
 206 but the transmission of  $TM_{00}$  is relatively stable within the whole bandwidth. The overall PRE  
 207 increases within 1550 nm-1600nm.

208 **4.2. The effect of the buffer region on merging Region II and Region III**



**Fig. 5.** The normalized transmission spectra before and after adding the buffer region.  
 (a)-(b)  $TE_{00}:TM_{00}=1:1$ . (c)-(d)  $TE_{00}:TM_{00}=1:3$ . (e)-(f)  $TE_{00}:TM_{00}=3:1$

209 In addition, we also investigate the effects of the buffer region. The region width is initially  
 210 chosen to be  $0.4 \mu\text{m}$  to balance design space and simulation time. As shown in Fig. 3 (a), most  
 211 of the buffer region is removed after the optimization because the buffer region is optimized to

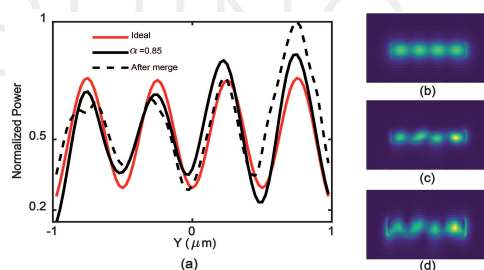


212 isolate Region II and Region III towards the extreme case of being physically separated. Also,  
 213 most of the upper edge of Region III is removed, the buffer region modifies the bottom edge of  
 214 Region II so that they can be isolated from each other. It found that buffer region improves the  
 215 overall transmission by eliminating other higher-order modes introduced by merging Region II  
 216 and Region III. Fig. 5 (a) and (b) illustrate the normalized output transmissions and crosstalks  
 217 of  $TE_{00}:TM_{00}=1:1$  before and after the buffer region is added. The crosstalk represents the  
 218 difference between the target mode and the summation of other unwanted modes. The insertion  
 219 loss is reduced by  $\sim 0.8$  dB for  $TE_{00}$  and  $TM_{00}$  modes. This is realized through physical isolation  
 220 and converting other high-order modes to the target modes, where the crosstalk is decreased by  
 221 at least 5 dB.

222 The buffer region also plays a vital role similar to the other designed power ratios. Its effect on  
 223 the mode purity is as shown in Fig. 5 (c)-(f): The minimum crosstalk is decreased by 5 dB and  
 224 10 dB for  $TE_{00}:TM_{00}=1:3$  and  $TE_{00}:TM_{00}=3:1$ , respectively. The merge of Region II and Region  
 225 III has a relatively more significant impact on Region III. The refractive index of  $TM_{00}$  mode is  
 226 relatively small and easier to be converted from other modes.

#### 227 4.3. The impact of merging Region II and Region III into Region I

228 Despite contributions that have been made to the FOMs when optimizing Region II (III) to  
 229 decrease the reflections from these regions to Region I, the output  $TE_{03}$  mode is still inevitably  
 230 affected. A wide region of  $\alpha$  is scanned for the FOM<sub>I</sub> during the optimization of Region I to  
 231 ensure that the maximum transmission of  $TE_{03}$  is obtained and each "small"  $TE_{00}$  is equally  
 232 distributed. Ideally, the four  $TE_{00}$  modes are expected to be equally distributed within  $0.5 \mu\text{m}$   
 233 width, and each one has 25% of the total net power. As indicated by the red line in Fig. 6 (a),  
 234 each spike represents one separate  $TE_{00}$  mode.

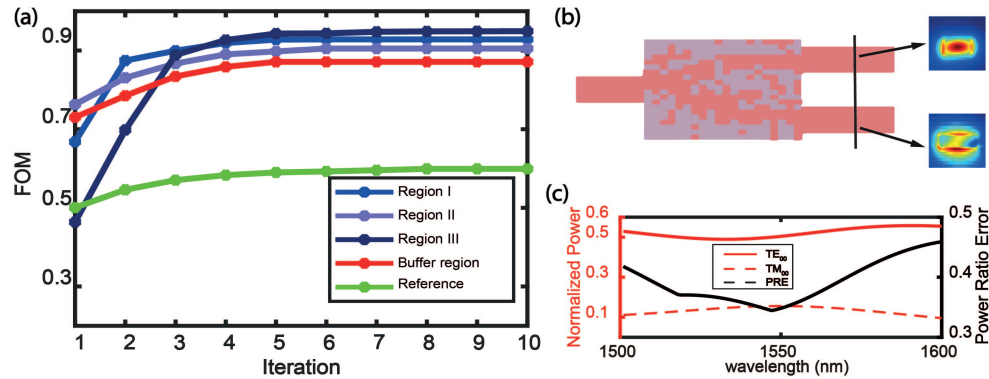


**Fig. 6.** (a) The comparisons of normalized power distributions of the cross section at the end of Region I between the ideal, optimized and merged situations. (b)-(d) the corresponding electric field profiles of the cross sections

235 The results of different  $\alpha$  from 0.5 to 0.9 are analyzed: It is found that the electric field  
 236 distribution at  $\alpha = 0.85$ , represented by the solid black line in Fig. 6 (a), shows the highest  
 237 consistency with the ideal result. Electric field profiles of the ideal result and  $\alpha = 0.85$  are shown  
 238 in Fig. 6 (b) and (c), respectively. The optimized transmission for  $TE_{03}$  is 92%, and the amplitude  
 239 error of each separated  $TE_{00}$  mode is less than 5%. The black dashed line in Fig. 6 (a) is the  
 240 result after Region II and III are added. It shows that the highest amplitude of power of the 4th  
 241  $TE_{00}$  mode is increased by 5% from the ideal one. This inconsistency will affect the total power  
 242 distribution and increase power ratio error for  $TE_{00}$  and  $TM_{00}$  at the outputs. The cross-section  
 243 shown in Fig. 6 (d) indicates that the original elliptical light spots have been slightly deformed,  
 244 especially for the first and second  $TE_{00}$  modes. The widths of these modes are also increased.  
 245 The overall transmission decreases  $\sim 6\%$  after Region I is added.

246 4.4. The improved computational time and device performance

247 For comparison, a reference model of  $TE_{00}:TM_{00}=1:1$  without region separation was optimized  
 248 in the same design space using the normal DBS method, shown in Fig. 7 (b). The FOM of the  
 249 reference device is defined as the summation of total power under  $TE_{00}$  and  $TM_{00}$  from the upper  
 250 and lower output, respectively. Fig. 7 (a) shows the calculated FOMs of models with and without  
 251 region separation, the simulation results are summarized in Table 2.



**Fig. 7.** (a) The calculated FOMs of the proposed and reference models of  $TE_{00}:TM_{00}=1:1$ . The optimization time for Region I, Region II and Region III are 16 hours, 9 hours and 9 hours respectively. The re-optimization of the buffer region took 8 hours for 5 iterations. For the reference device, as the optimization space enlarges, it took 16 hours for only 1 iteration. (b) and (c) The optimized reference model and its transmission spectra. The inserts are the generated  $TE_{00}$  and  $TM_{00}$  modes, where  $TM_{00}$  is affected by high-order modes.

**Table 2.** The comparison between the proposed and reference models of  $TE_{00}:TM_{00}=1:1$ .

Region	Proposed device				Reference device
	I	II	III	Buffer region	
# Iterations before stabilization	5	6	5	5	8
Maximum FOM	0.92	0.91	0.93	0.87	0.59
Time cost (h)	16	9	9	8	80

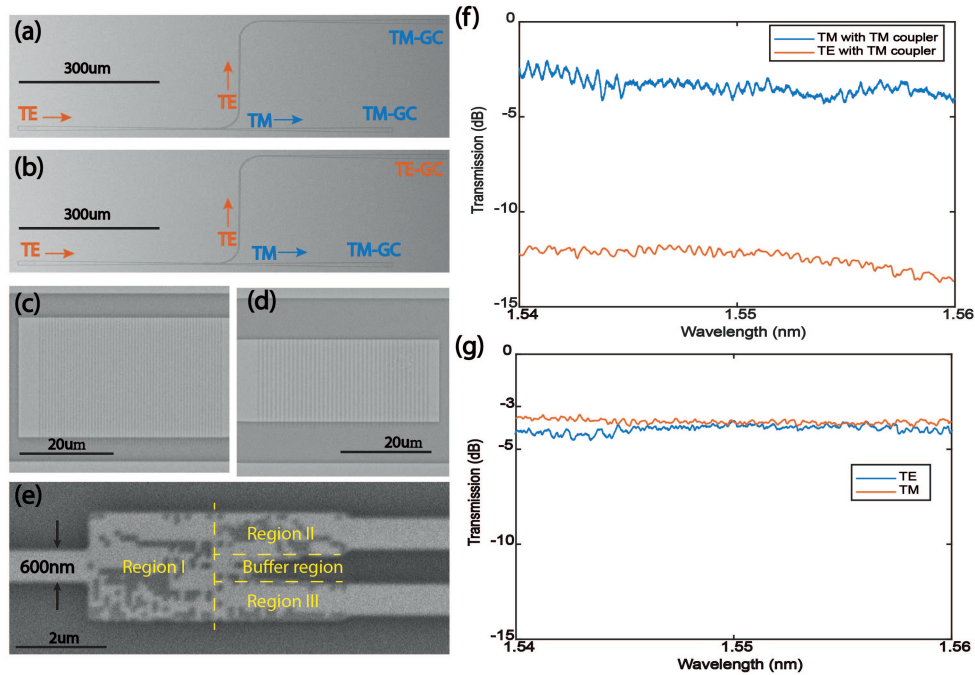
252 It takes 9 hours to optimize Region II and Region III. The optimization of the buffer region  
 253 takes 8 hours for 5 iterations. The optimization of Region I takes 16 hours for the pattern to be  
 254 generated. Using the parallel optimization method, the overall computational time is 17 hours.

255 The FOMs for the proposed device are above 0.85 after 5 to 6 iterations. The final FOMs  
 256 for Region II and Region III are 0.91 and 0.93, corresponding to over 90 % of  $TE_{00}$  and  $TM_{00}$   
 257 mode power respectively. When two regions are merged without the buffer region, the overall  
 258 transmissions for both modes decrease. The  $FOM_{BR}$  are by the red line in Fig. 7 (a). The initial  
 259  $FOM_{BR}$  of the buffer region is 0.72, it corresponds to  $\sim 72\%$  of total power, which is  $\sim 20\%$   
 260 lower than the output before merging. During the optimization of the buffer region, we monitor  
 261 the mode powers ( $TE_{00}$  and  $TM_{00}$ ) at the outputs. After five iterations, the mode powers for  
 262 both modes increase  $\sim 15\%$ , and the corresponding  $FOM_{BR}$  raises from 0.72 to 0.87 and then

263 stabilizes.

264 For the reference device, as shown by the green line in Fig. 7, the maximum FOM is 0.59. The  
265 corresponding  $TE_{00}$  and  $TM_{00}$  power are 48 % and 10 % respectively. The maximum PRE is  
266 0.43, and most of its contribution comes from the error of  $TM_{00}$  mode. In contrast, the overall  
267 transmission of the reference device is 33% lower than the proposed one. Moreover, because  
268 there is no regional separation, the optimization process cannot be carried out independently.  
269 The iteration will require a much longer computational time. E.g. The recorded time for five  
270 iterations of the reference device is 80 hours.

## 271 5. Experimental verification



**Fig. 8.** SEM of a TE:TM=1:1 device with (a) TE-input and two TM-outputs. (b) TE-input and upper-TE-output, bottom-TM-output. (c) and (d) The zoomed in SEM image of TE and TM grating couplers. (e) The zoomed in SEM image of the device. The experimental spectra for (f) TE-input and two TM-outputs, (g) TE-input and upper-TE-output, bottom-TM-output.

272 To evaluate our method, the device with  $TE_{00}$ : $TM_{00}$ =1:1 is fabricated based on a SOI wafer  
273 with a 220-nm Si layer and 3-μm buried oxide layer. The wafer is firstly coated by 300-nm  
274 ZEP520A photoresist with spacer using resist spinner. Then, electron-beam lithography is  
275 used to form the pattern of the waveguide. After that, spacer is removed by DI water and the  
276 photoresist is developed using ZED-N50 developer. The inductively coupled plasma etching is  
277 then utilized to etch a depth of 220 nm. Finally, ellipsometry is performed to confirm the etching  
278 depth after etching. We also fabricate TE-type and TM-type grating couplers for coupling the  
279 target modes into or out of optical fibers. The etching depth for both types of grating couplers  
280 are 70 nm, and the fabrication process is the same as we mentioned above. Fig. 8 (c)- (e) are  
281 the zoomed-in SEM images of the grating couplers and the device, respectively. To make sure  
282  $TE_{00}$  mode is converted to  $TM_{00}$  mode, a reference device as shown in fig. 8 (a) is designed, the

283 output  $TE_{00}$  and  $TM_{00}$  are coupled out by only TM-type grating couplers. The result is shown in  
284 fig. 8 (f), where the measured average transmissions for  $TE_{00}$  and  $TM_{00}$  modes are around -12dB  
285 and -3.5dB within the range of 1540nm to 1560nm, respectively. The smallest value for  $TE_{00}$   
286 mode is -14 dB at 1560 nm, the average crosstalk is therefore below -9.5 dB when comparing  
287 the two modes. After confirming the effectiveness of  $TE_{00}$ -  $TM_{00}$  conversion, the device is then  
288 measured by TE-type and TM-type grating couplers shown in fig. 8 (b). The result is shown in  
289 fig. 8 (g). For  $TM_{00}$  mode, the average insertion loss is 0.6dB, the maximum value is around  
290 0.7dB at 1550nm. For  $TE_{00}$  mode, the insertion loss is a bit higher within the region of 1540nm  
291 to 1546nm, which is around 1dB, the minimum insertion loss is 0.7 dB at 1550nm. Overall, the  
292 measured data are in good agreement with the simulated results, which validates the feasibility  
293 of our method experimentally.

## 294 6. Conclusion

295 In conclusion, we combine the General Stoke's theorem and DBS to propose a novel design  
296 methodology. Based on the proposed method, the whole design region is separated into several  
297 sub-regions, which can be optimized simultaneously. The simulation complexity can be reduced  
298 by  $2^n$  times theoretically. When sub-regions are merged, additional constraints are added to  
299 the adjacent boundaries to reduce the impact of the merge. Finally, sub-regions are merged  
300 to achieve the functionality of the whole device. As a validation, monolithically integrated  
301 polarization rotators and splitters with various power ratios are numerically designed. Device  
302 with  $TE_{00}:TM_{00}=1:1$  is fabricated in our cleanroom to validate the design method, the measured  
303 results show that the maximum insertion loss is 1 dB ( $TE_{00}$  mode from 1540nm to 1546nm),  
304 and the average crosstalk is below -9.5 dB. There are two potential ways to further improve  
305 the crosstalk. Firstly, the size of each sub-region can be further enlarged to increase the design  
306 space. Secondly, the pixels can be partially etched instead of fully etched to increase the mode  
307 conversion efficiency. There is a trade-off between the two potential ways, as large size requires  
308 longer optimization time and multiple etching steps bring extra fabrication complexity compared  
309 with a single etching step.

310 Different power ratios can be realized by changing the output mode of Region I and different  
311 combined superpositions of input modes of Region II and Region III, respectively. As the  
312 simulation complexity is decreased, the overall simulation time is 17 hours, which is around five  
313 times faster than the reference device. We envisage that our device will have more applications  
314 in on-chip pumping and probing system [30] and the generation of arbitrary first-order Poincaré  
315 sphere beams [31]. As long as sub-regions are carefully designed so that their boundaries are  
316 matched, our proposed method will give a solution for designing other multi-functional photonic  
317 devices.

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323 **Data availability.** The data that support the findings of this study are openly available at the University of  
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