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# DIGITAL SIGNAL PROCESSING TECHNIQUES FOR HIGH-SPEED OPTICAL COMMUNICATIONS LINKS

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FINAL PHD DEFENSE

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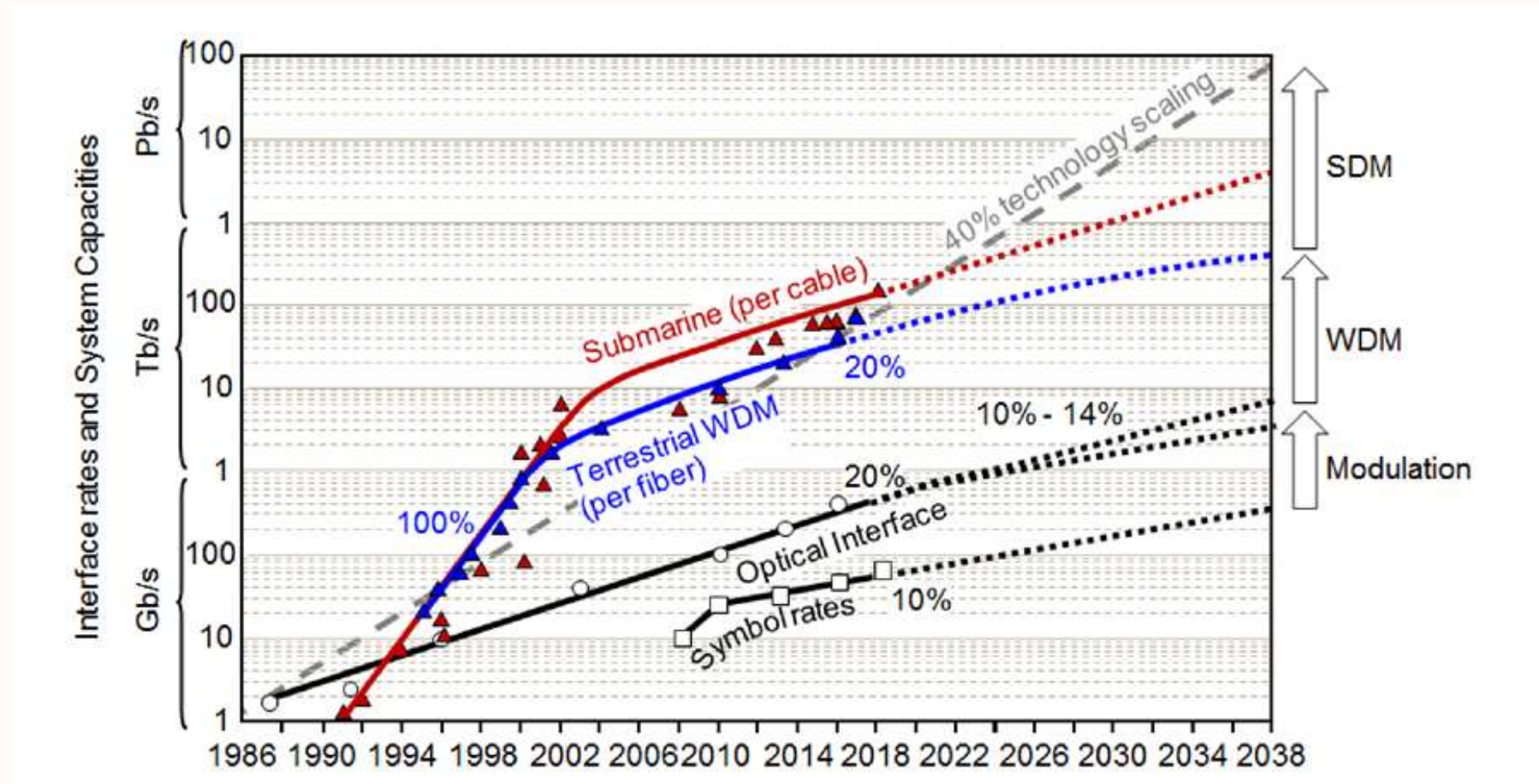
- **Part I: Direct-Detection Systems**
  - Bi-directional PAM-4 architecture for intra-data-center links
  - Self-coherent systems for data-center interconnections
  
- **Part II: Coherent Systems**
  - Probabilistic constellation shaping: basics over a pure AWGN channel
  - Interaction between PS and fiber non-linear effects: generation and compensation of non-linear phase noise

# COLLABORATIONS

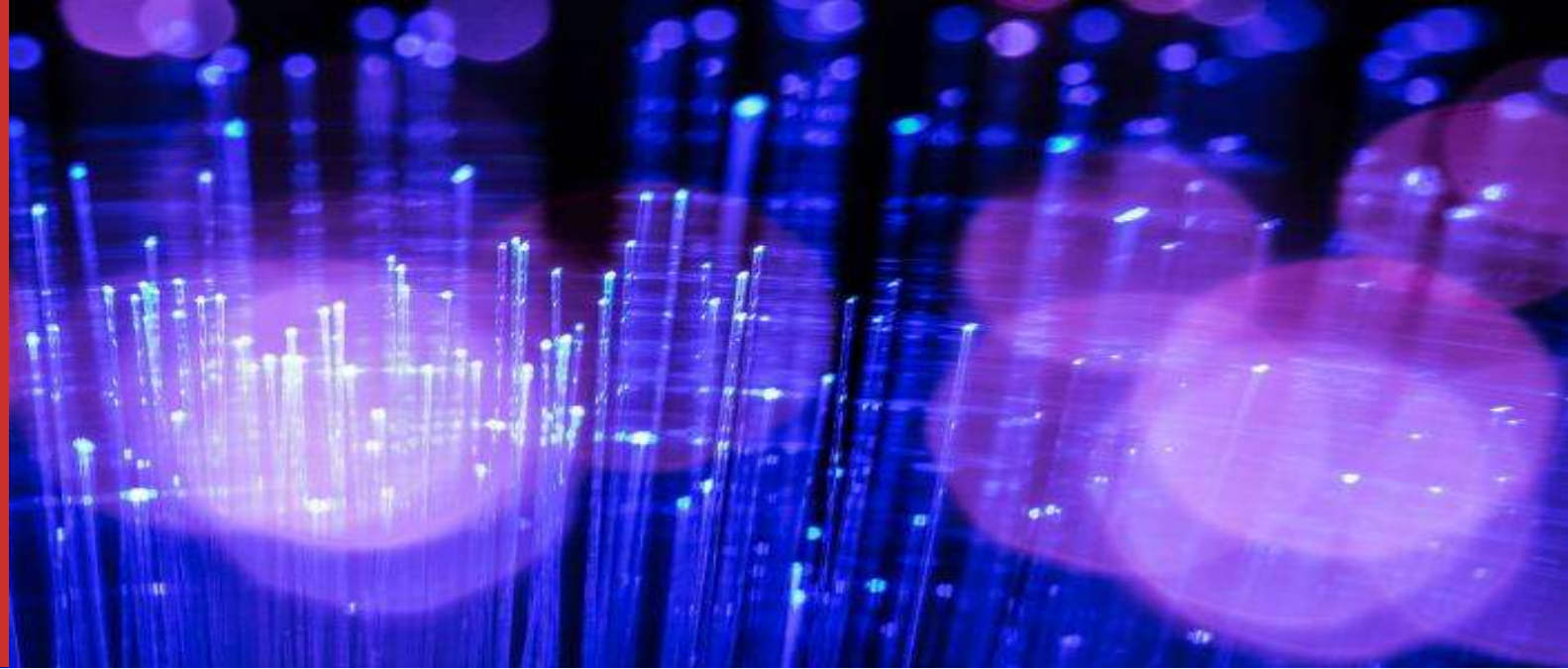
- Part of the work presented here has been done in collaboration with CISCO Photonics Italy S.r.l. and LINKS Foundation



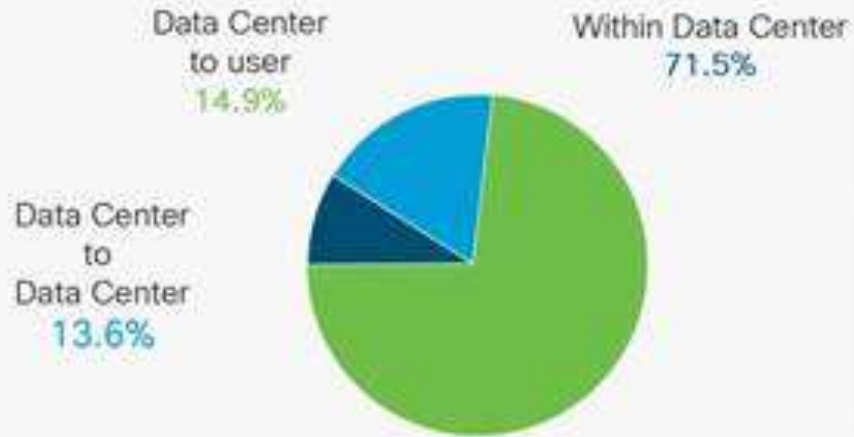
# MOTIVATION: LINE RATES INCREASE



# DIRECT-DETECTION SYSTEMS



# DATA-CENTER LINKS



Total East-West traffic will be 85%

(Rack-local traffic would add another slice twice the size of "Within Data Center")

Source: Cisco Global Cloud Index, 2016-2021.

## A Within Data Center (71.5%)



Storage, production and development data, authentication

## B Data Center to Data Center (13.6%)



Replication, CDN, intercloud links

## C Data Center to User (14.9%)



Web, email, internal VoD, WebEx...

# INTRA-DC CONNECTIONS



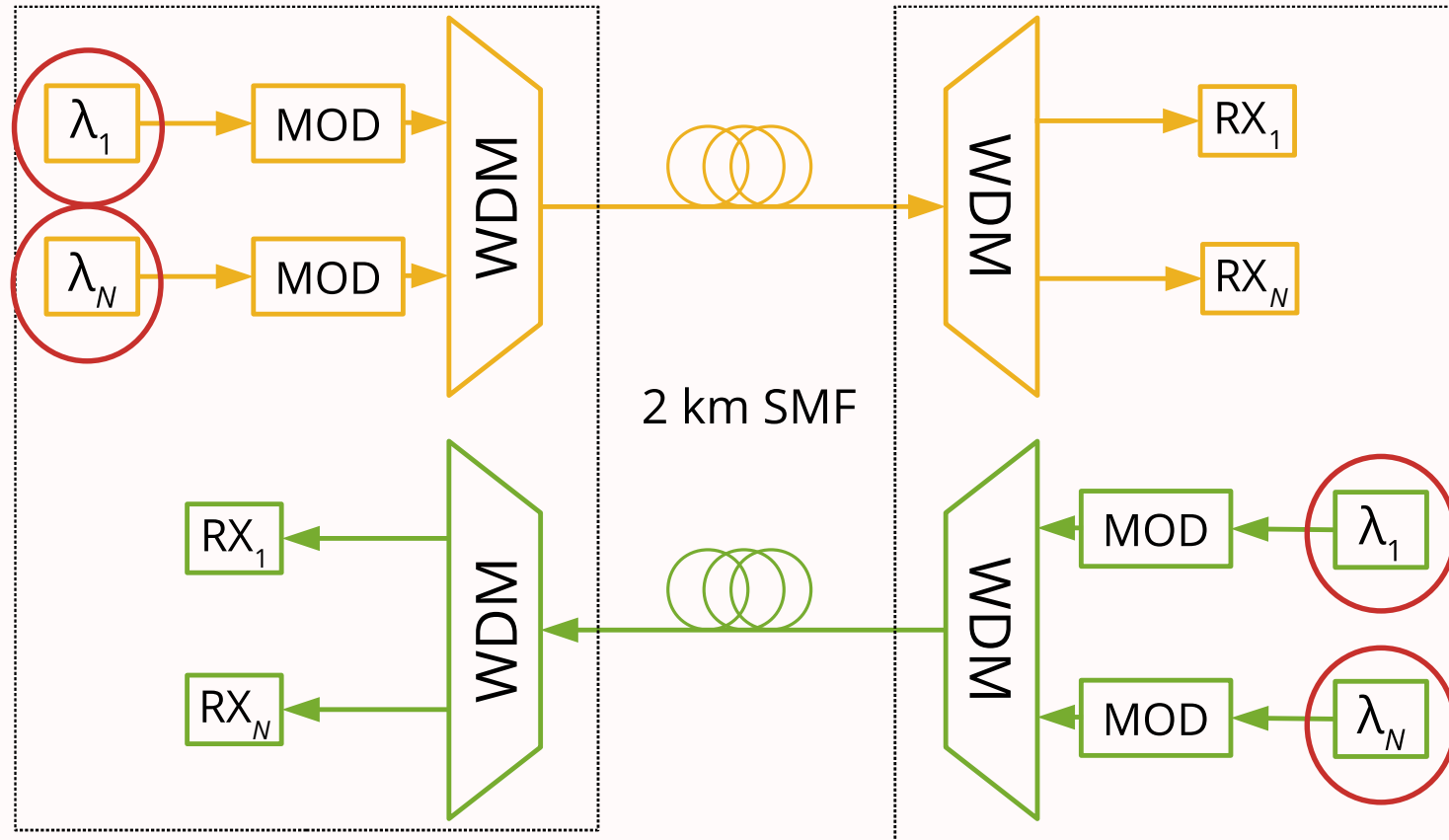
A “SPATIAL MULTIPLEXING” PROPOSAL

# REQUIREMENTS FOR FUTURE INTRA-DC LINKS

- Speed
- Cost
- Size
- Power consumption

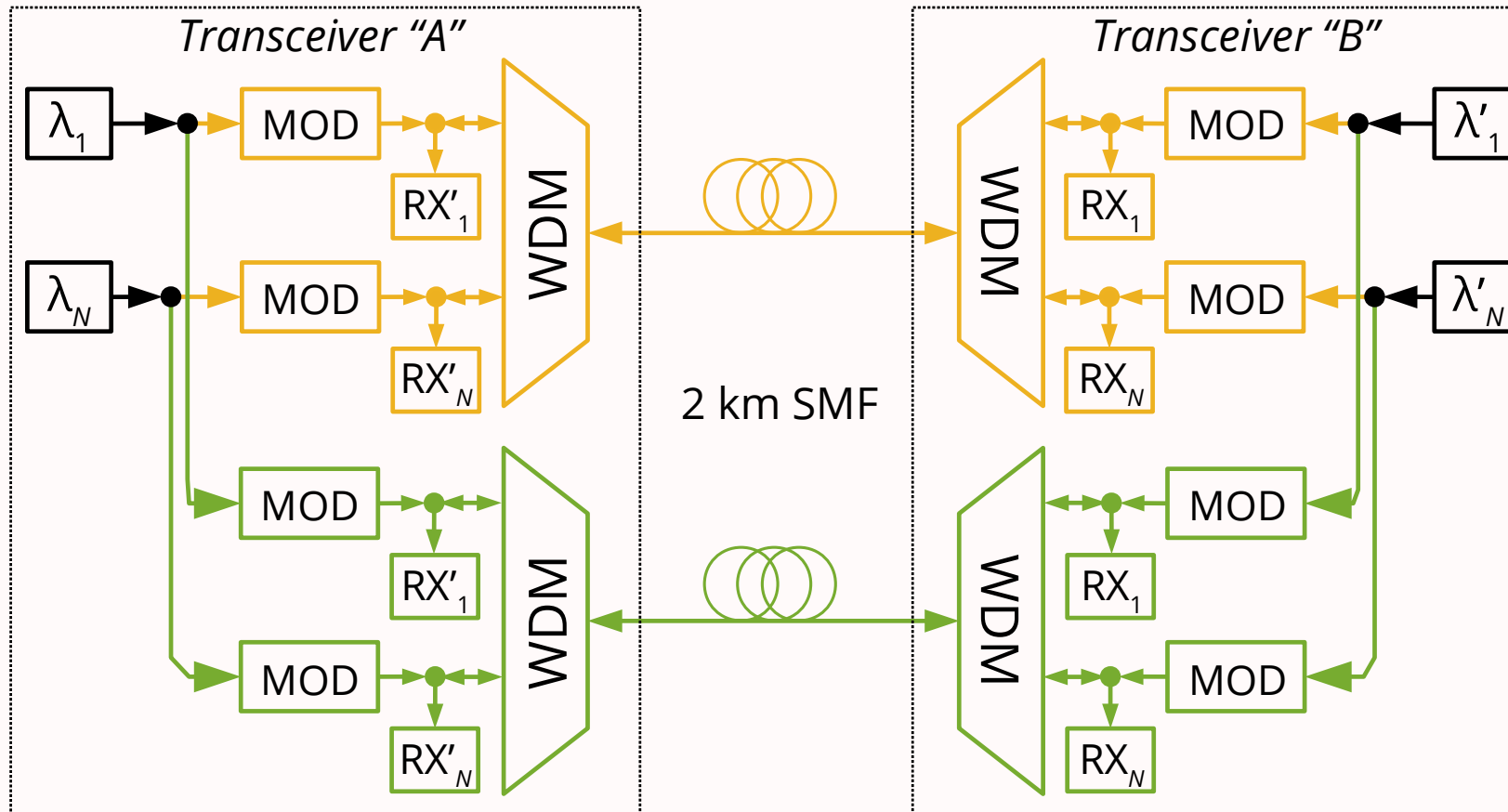


# 400GBASE-FR8 STANDARD



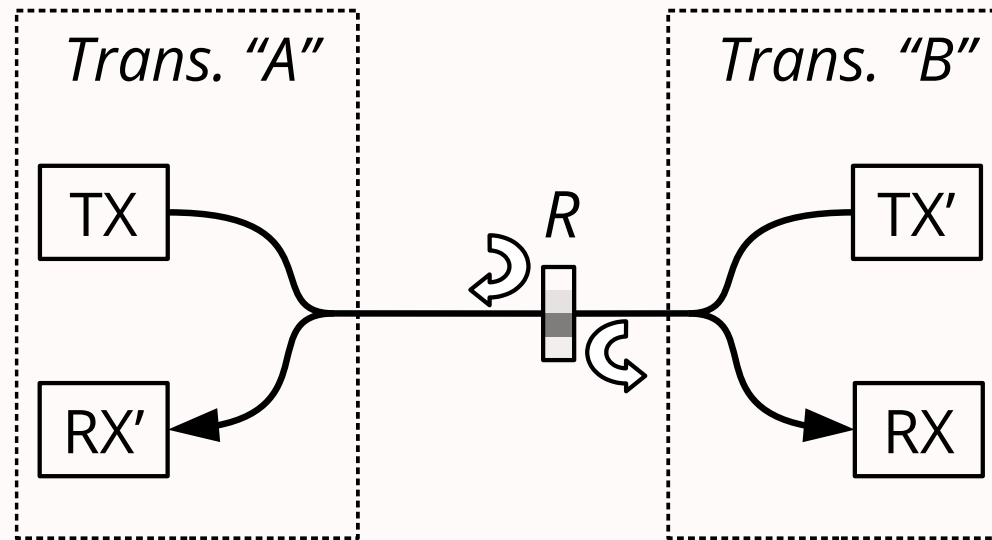
- 8 WDM channels, 800 GHz spacing
- 50 Gbit/s per channel
- Two transceivers, duplex SMF cable
  - *How to reduce power consumption?*

# PROPOSED ARCHITECTURE

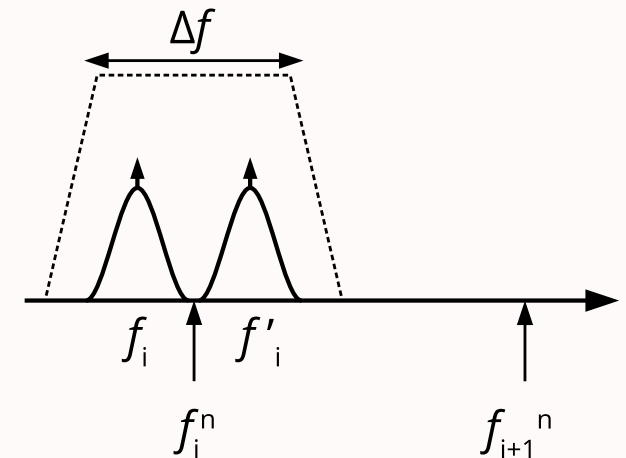


- Lasers are shared inside each transceiver (like MPO)
  - Duplex cable used simultaneously in both directions, like in PONs
- **Double** *per-laser* capacity
  - Unavoidable link-budget loss due to 3-dB splitters

# MAIN ISSUE: BACK-REFLECTIONS



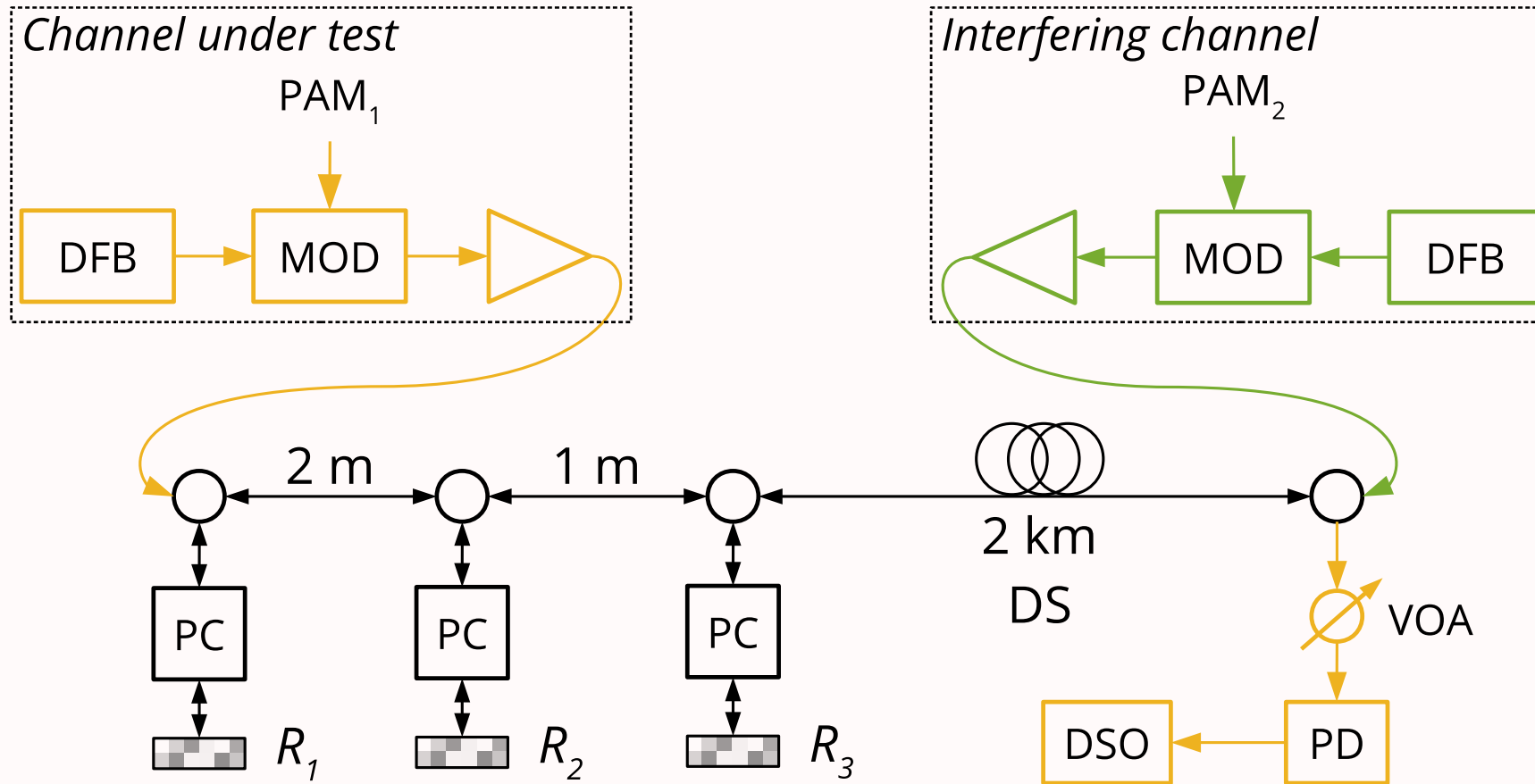
- Back-reflections cause coherent crosstalk
- PONs use completely different wavelength (in O- and C-bands)
- Proposal: *slight* detuning, staying in the same WDM channel



# GOAL OF THIS WORK

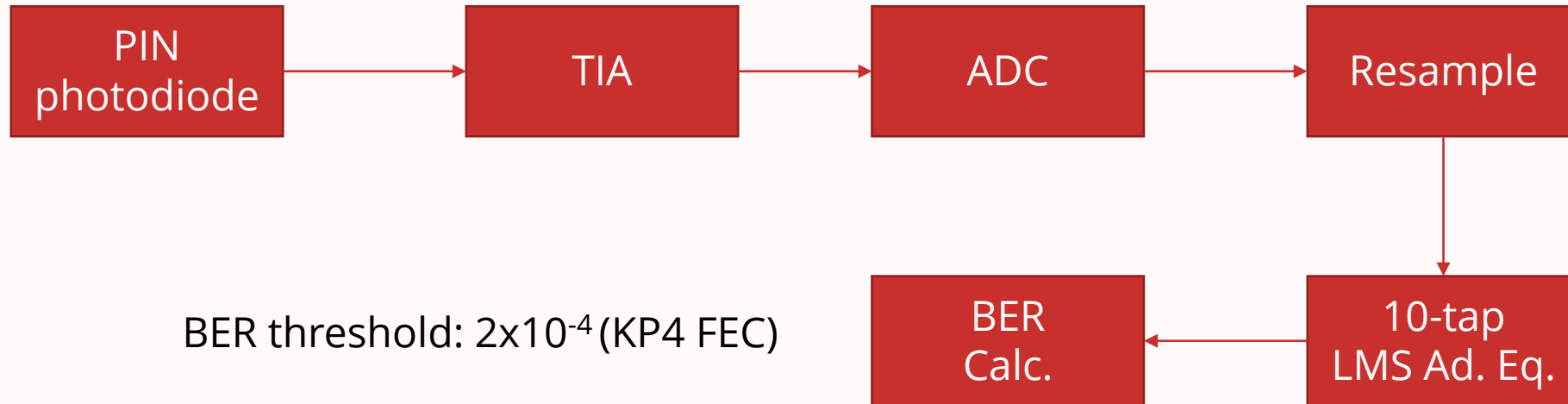
- **Back-reflection penalty** as a function of **laser frequency separation** for 2-km PAM-4 links
- Demonstrate that a *small* separation is sufficient to keep penalty *low* (<0.5 dB) for “standard” reflections
  - For instance, legacy TIA-568 LC connectors have a maximum back-reflection of -26 dB

# EXPERIMENTAL SETUP

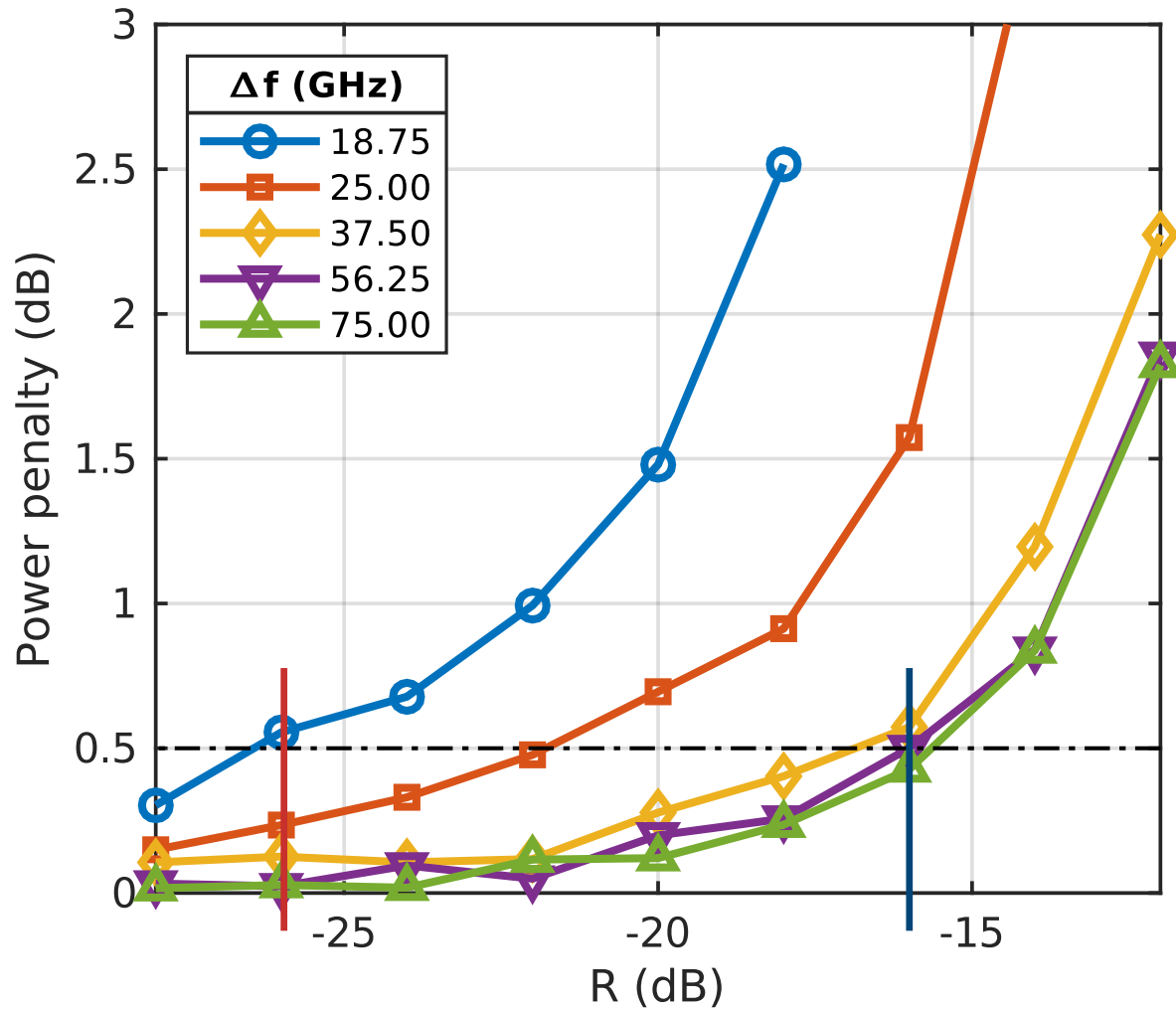


- 1550-nm transmission using DS fiber to emulate 1310-nm
- 53 GBaud or 28 GBaud PAM-4

# RECEIVER STRUCTURE AND DSP

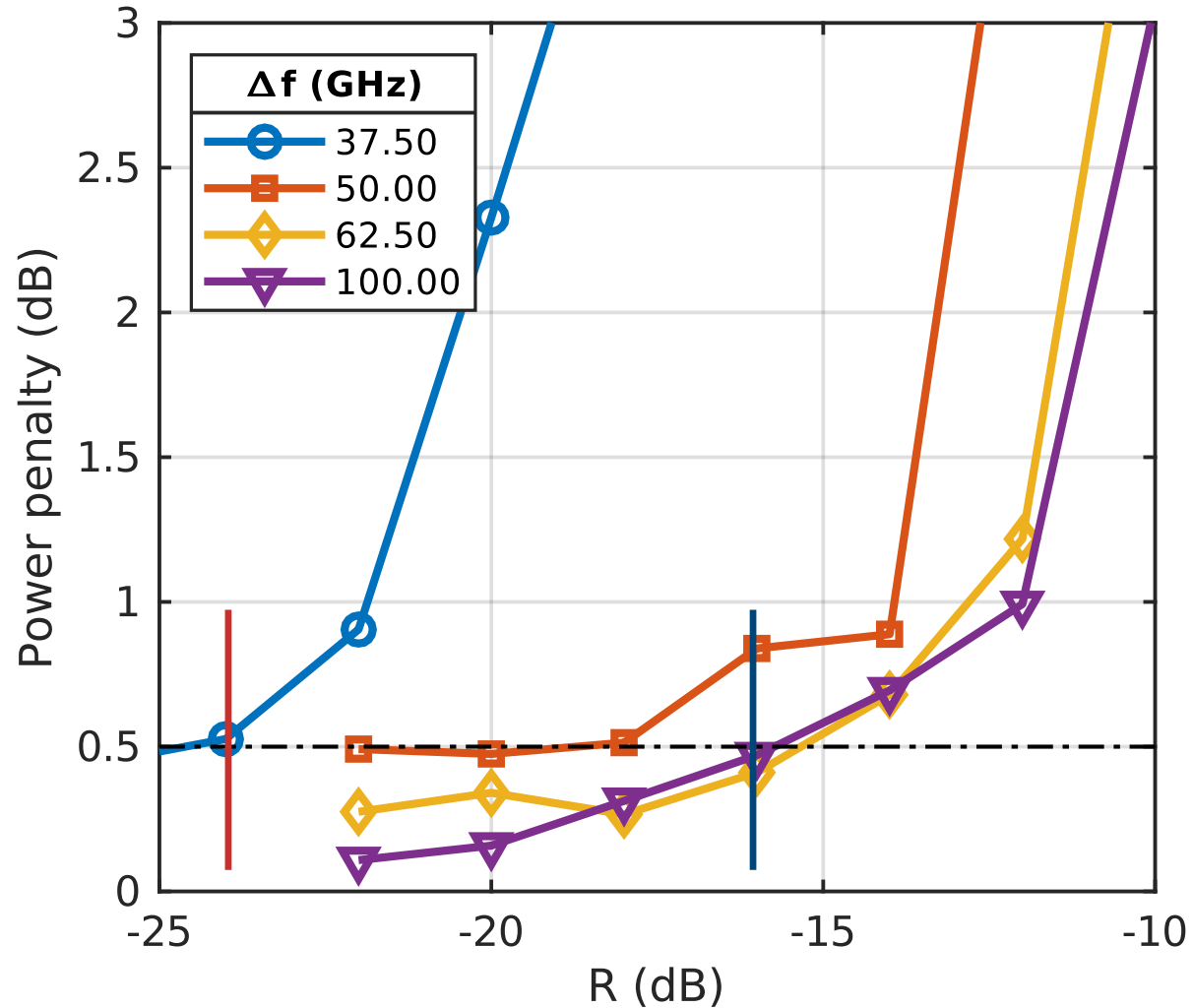


# SINGLE REFLECTION RESULTS - 28 GBAUD



- Rule of thumb:  $\Delta f > R_s$
- Feasible in the LAN-WDM grid (800-GHz spacing)

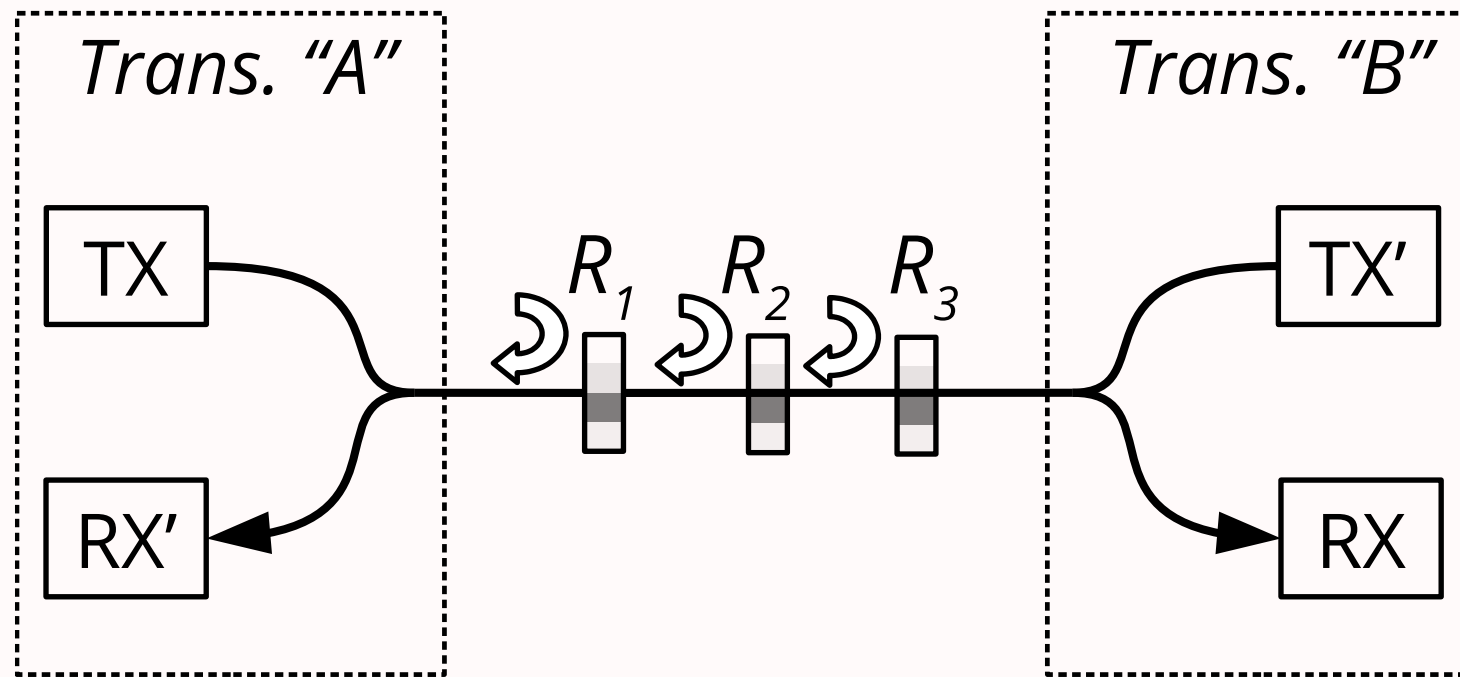
# SINGLE REFLECTION RESULTS - 53 GBAUD



- Rule of thumb:  
 $\Delta f > R_s$



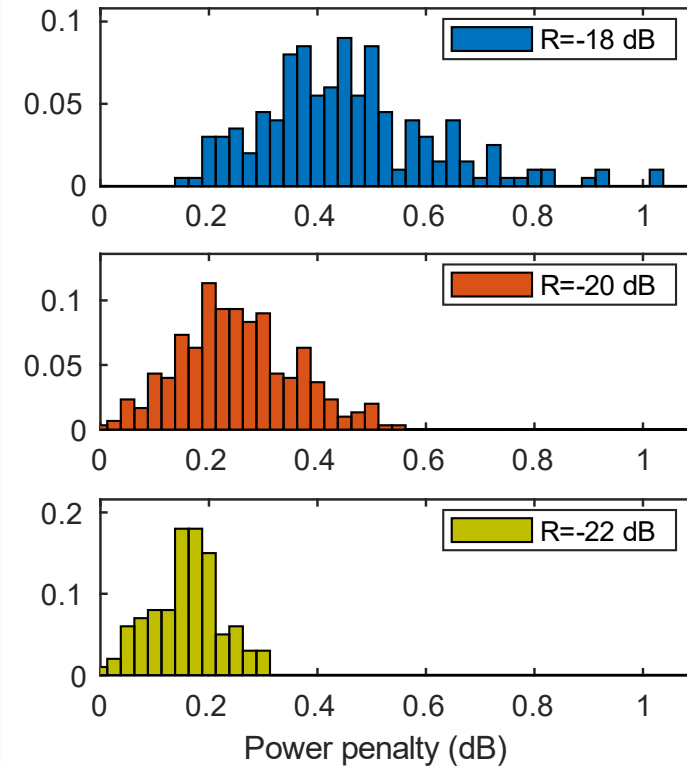
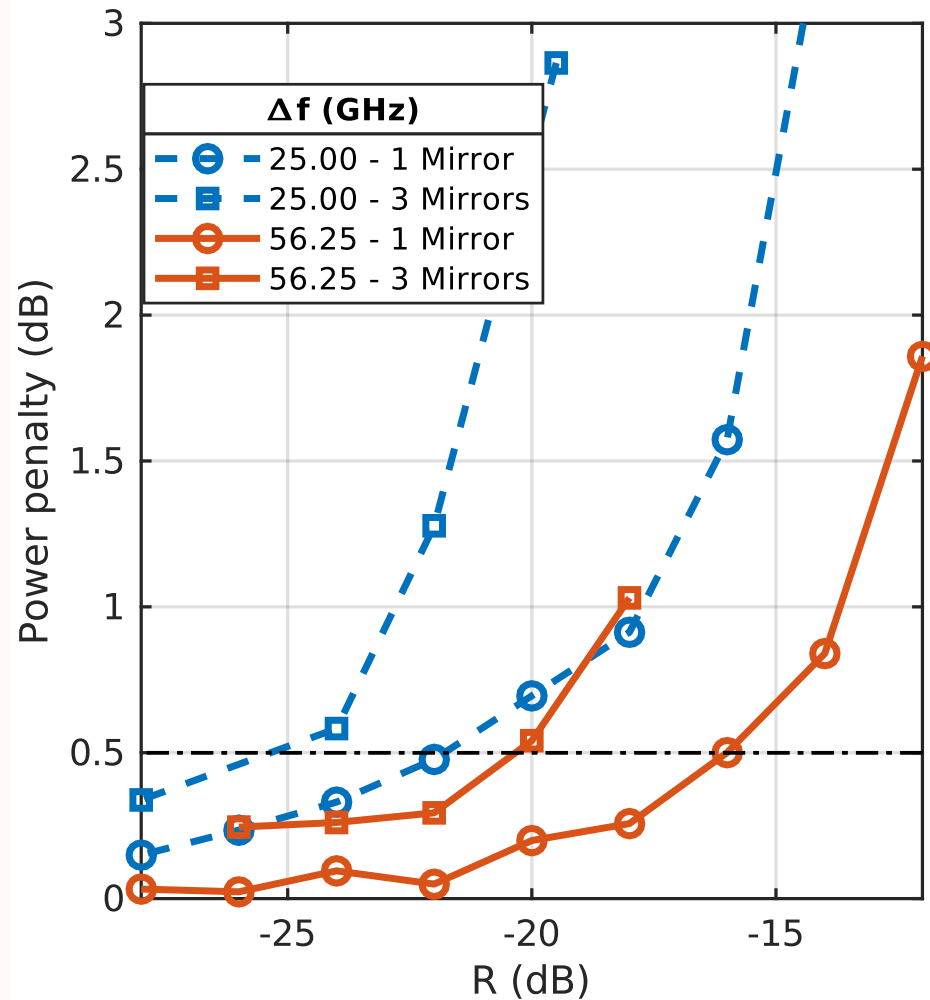
# MULTIPLE REFLECTIONS



$$P_{\text{refl}} \propto \left| R_1 e^{j\phi_1} + R_2 e^{j\phi_2} + R_3 e^{j\phi_3} \right|^2$$

Three red arrows point upwards from the terms  $R_1 e^{j\phi_1}$ ,  $R_2 e^{j\phi_2}$ , and  $R_3 e^{j\phi_3}$  in the equation to the corresponding reflective elements R<sub>1</sub>, R<sub>2</sub>, and R<sub>3</sub> in the diagram above.

# THREE REFLECTIONS RESULTS – 28 GBAUD



- Multiple-reflection penalty is random
  - Worst-case over 100 measurements
- **Rule of thumb:  $\Delta f > 2R_s$**

R is normalized to have the same reflected power at the receiver

# CONCLUSIONS ON THIS ARCHITECTURE

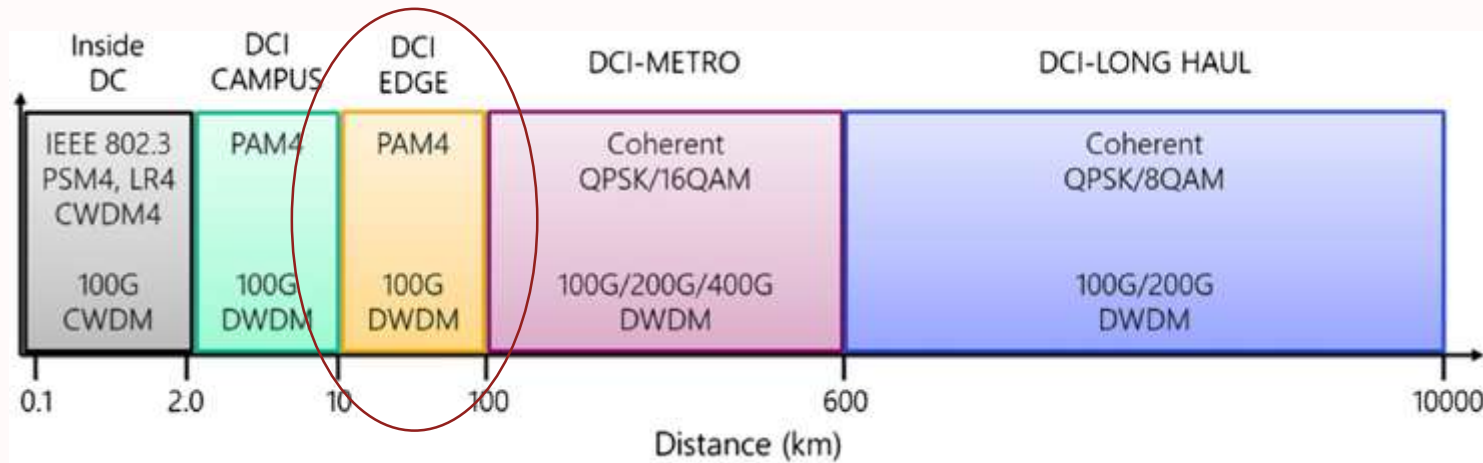
- A **bi-directional** architecture can potentially double *per-laser* capacity over standard duplex SMF cables
  - There are still several issues to be solved: power budget due to 3-dB splitters, laser wavelength control, ...
- Back-reflection penalties can be *avoided* if lasers in one transceiver are *slightly* detuned
  - Rule of thumb:  $\Delta f > 2R_s$
  - Keeps same nominal channel in WDM grid

# INTER-DC CONNECTIONS



COHERENT OR DIRECT DETECTION?

# WHICH MODULATION FORMAT FOR DCI?



Inphi and Microsoft: PAM-4 (current), PM-16QAM (future)

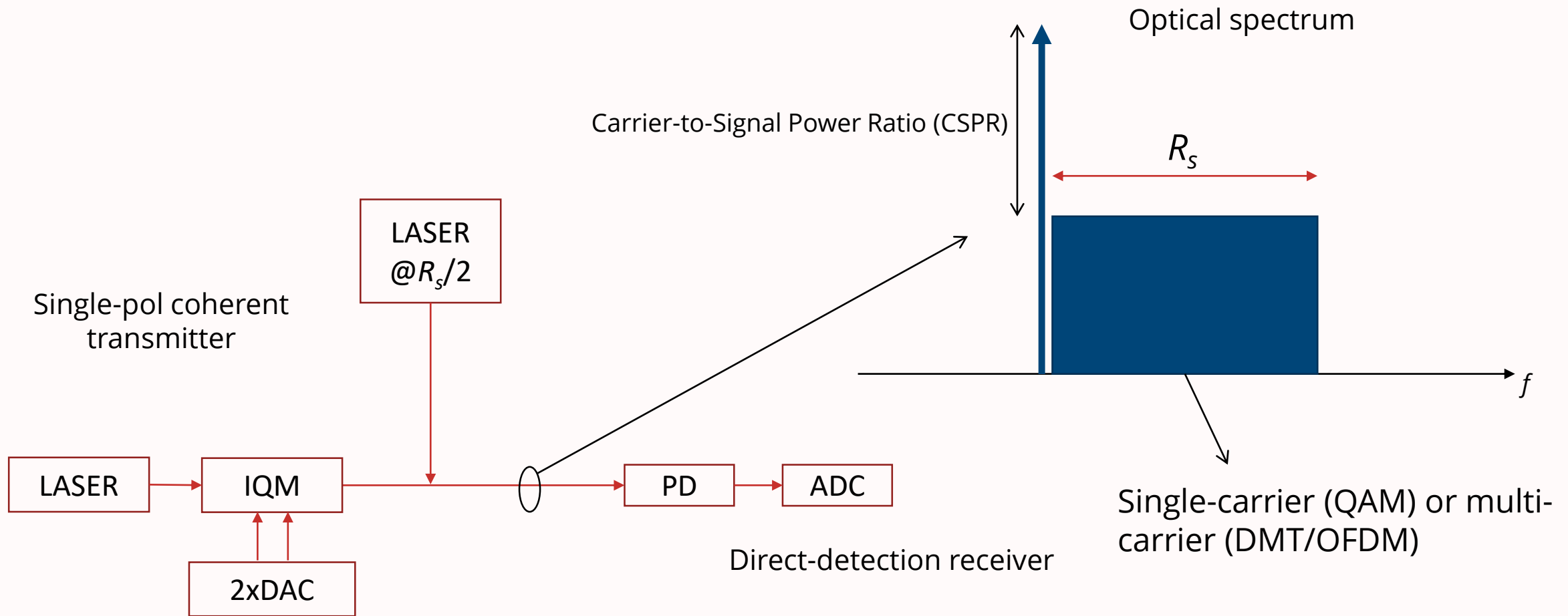
Source: R. Nagarajan et al., J. Opt. Commun. Netw. 10, B25-B36 (2018)

## Main characteristics for this scenario

- Standard single-mode fiber (SSMF) up to 100km
- C-band (EDFAs required at TX and RX)
  - Dispersion must be compensated
- High spectral efficiency not required
- Low cost and power consumption

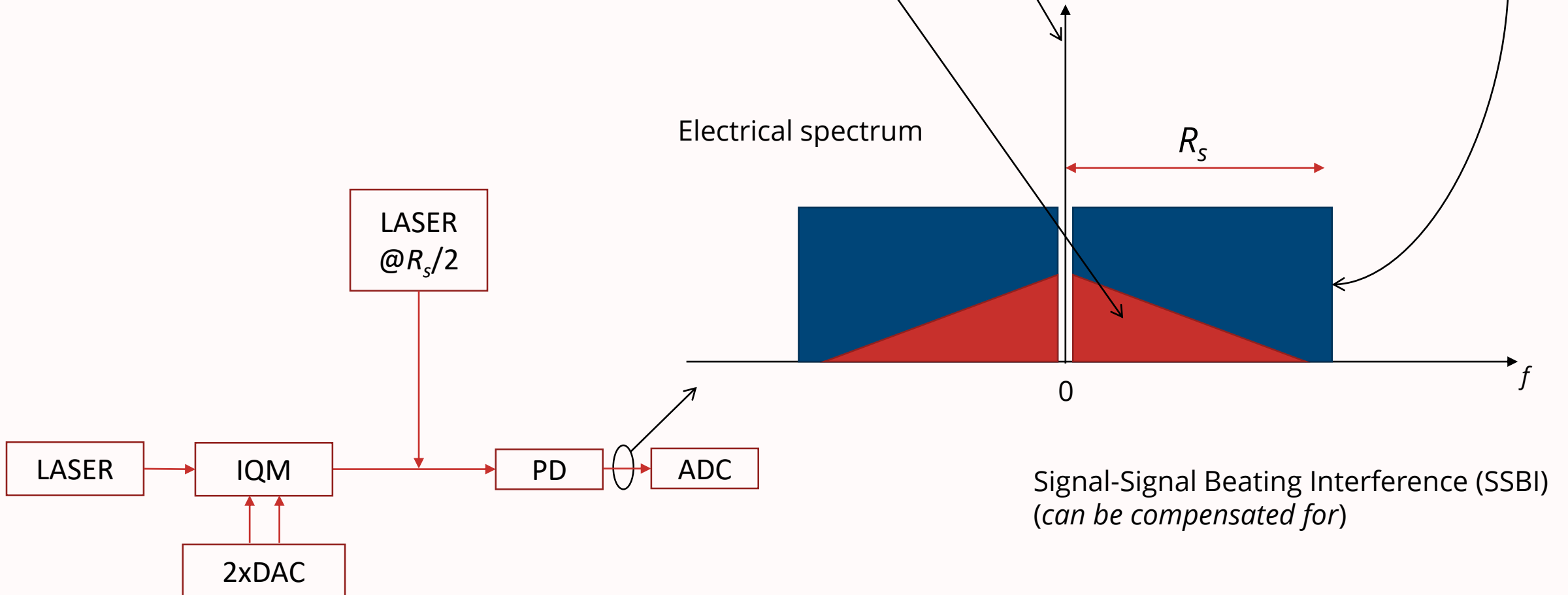
Coherent or direct detection?

# SINGLE-SIDEBAND SELF-COHERENT TRANSMITTER



# SINGLE-SIDEBAND SELF-COHERENT RECEIVER

$$\left| x(t) + c \cdot e^{-j2\pi t R_s / 2} \right|^2 = |x(t)|^2 + c^2 + 2c \cdot \Re \left\{ x(t) e^{j2\pi t R_s / 2} \right\}$$



# SSB TRANSMISSION: PROS AND CONS

1. Direct detection ✓
  2. Higher spectral efficiency ✓
  3. Electronic dispersion compensation ✓
- 
1. Complex transmitter structure ✗
  2. High receiver analog bandwidth ✗
  3. Reduced OSNR sensitivity ✗

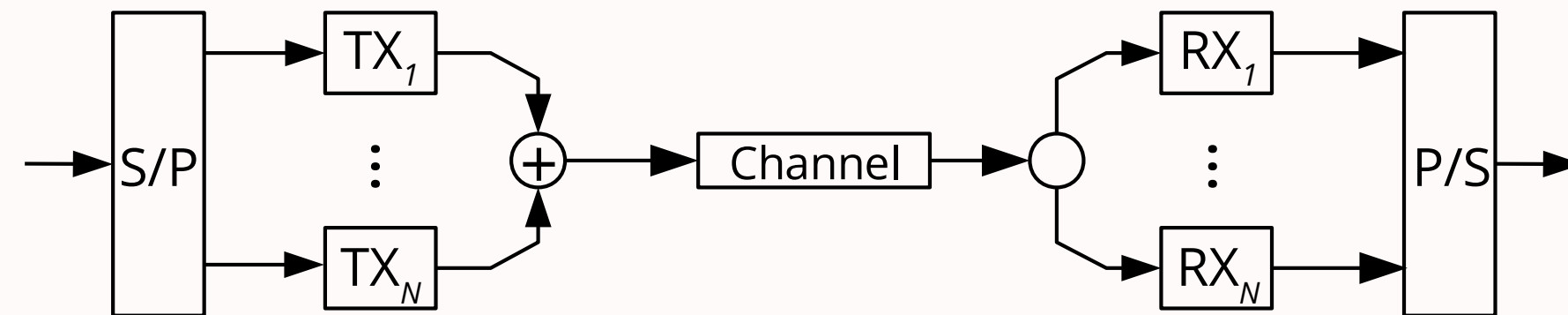


# AN EXAMPLE

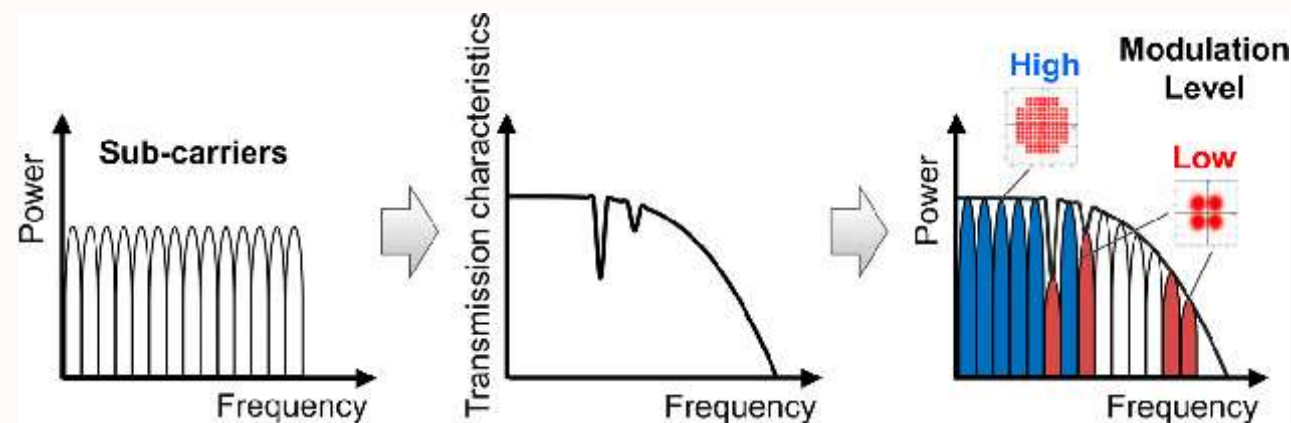


DMT MODULATION: INTENSITY MODULATION OR SINGLE SIDE-BAND?

# DISCRETE-MULTITONE MODULATION (DMT)

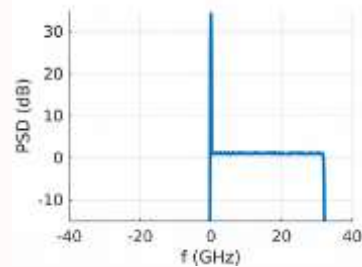
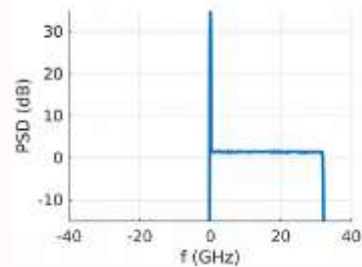
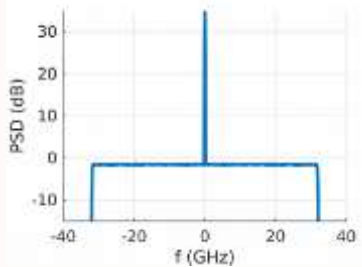
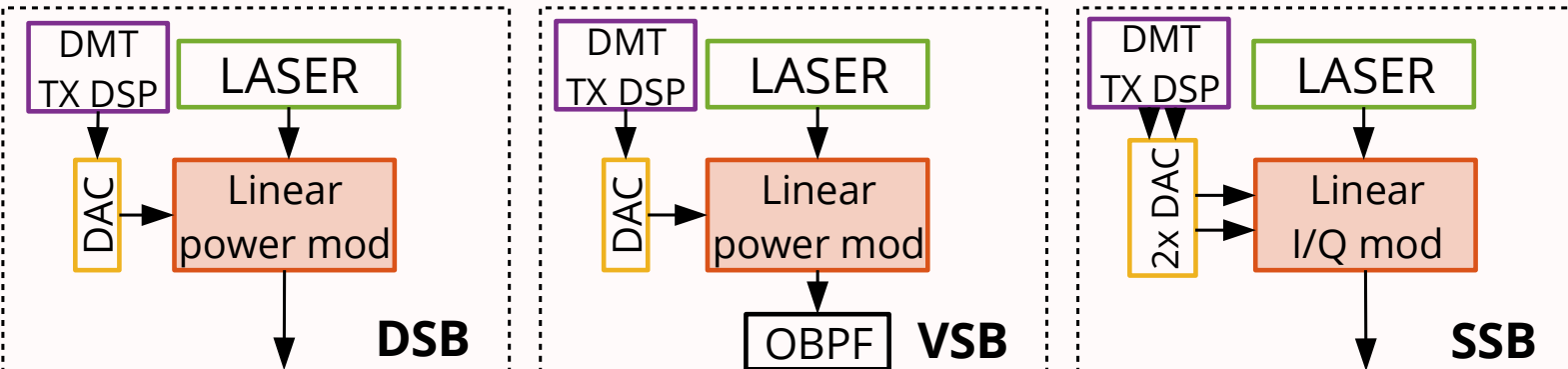


- Partial compensation of the frequency response of a dispersion-uncompensated IM/DD link

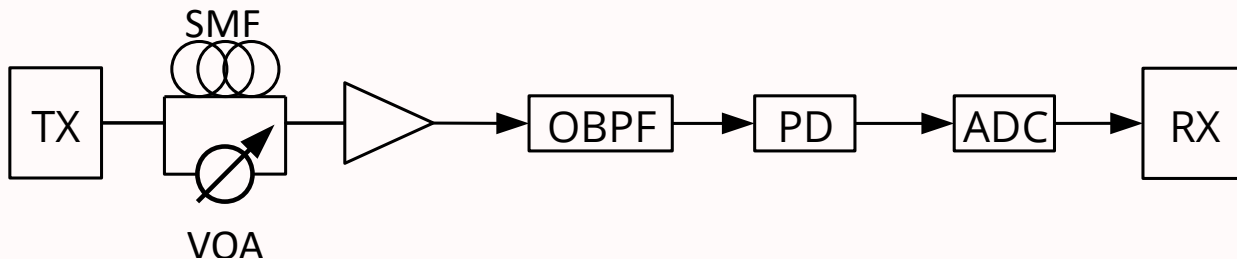


Source: T. Takahara et al., Proc. OFC 2014, M2I.1

# SIMULATION SETUP

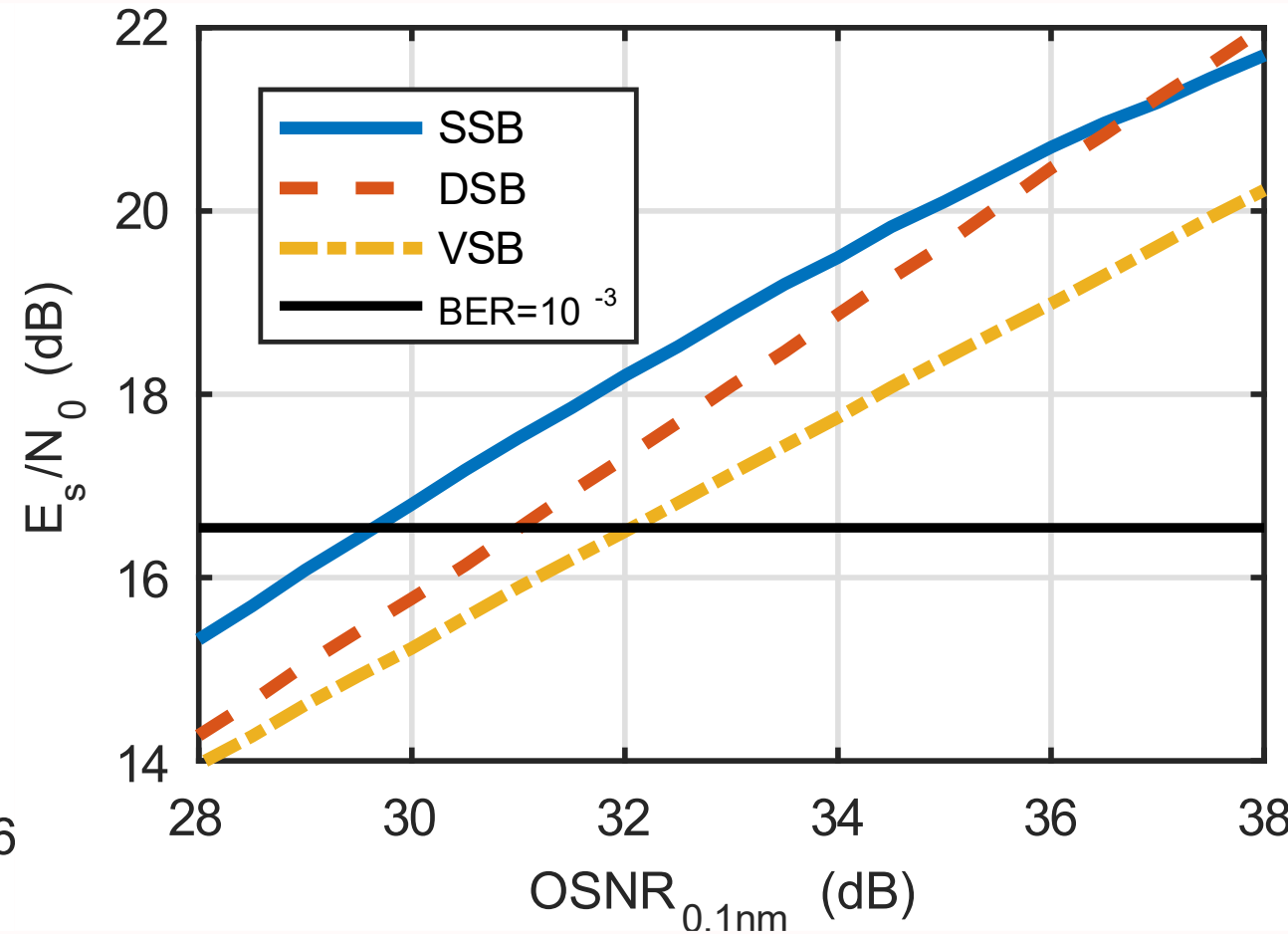
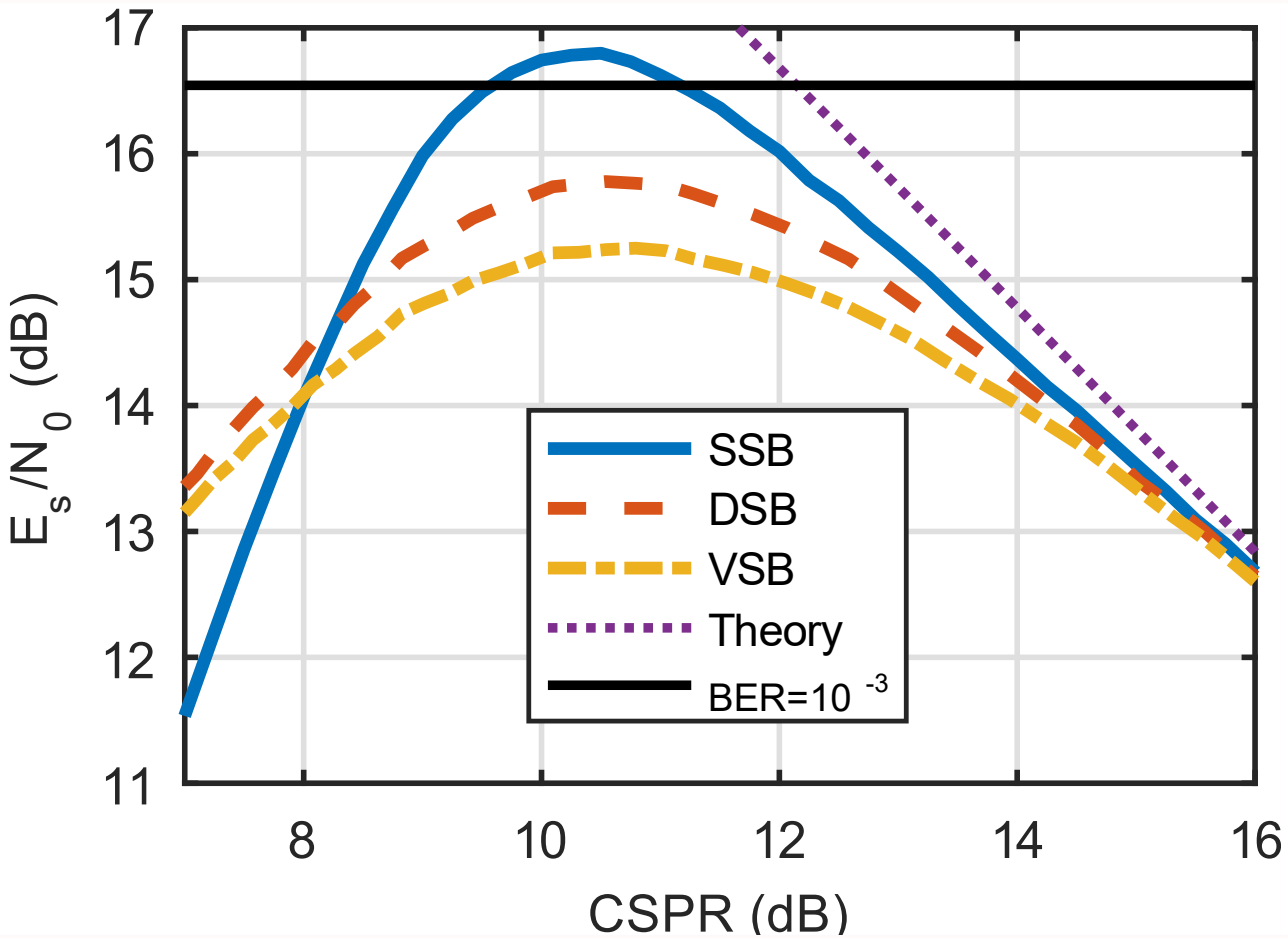


Parameter	Value
FFT size	1024
Bitrate	120 Gbit/s
DAC sampling rate	64 GS/s
BER threshold	$10^{-3}$
DAC 3-dB bandwidth	13 GHz
DAC resolution	6 bit

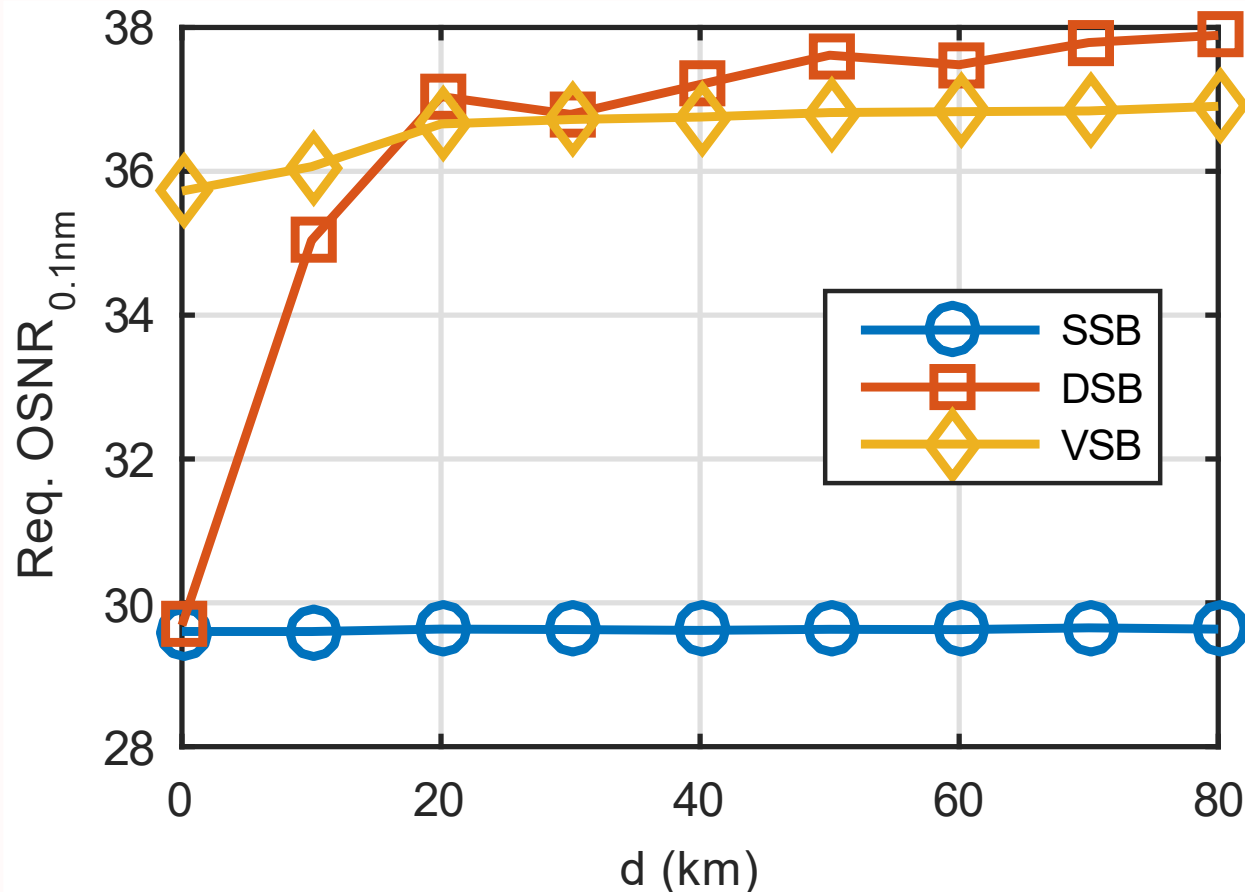


Margin-Adaptive (MA)  
Levin-Campello bit-loading

# BACK-TO-BACK COMPARISON



# TOLERANCE TO CHROMATIC DISPERSION



- SSB is practically unaffected by CD
- DSB/VSB: strong OSNR penalty
- VSB filter: SuperGaussian

# CONCLUSIONS ON INTRA-DC

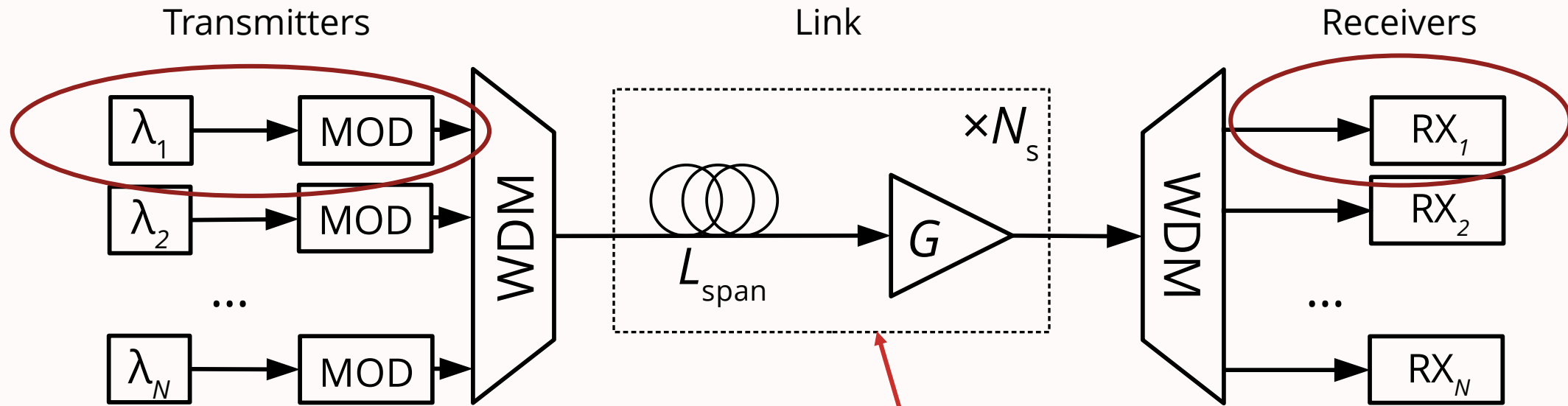
- SSB self-coherent is a viable “hybrid” between direct detection and coherent
  - Advanced techniques like Kramers-Kronig are able to fully compensate for SSBI
- Excellent performance on ~80km dispersion-uncompensated links
  - IM/DD systems **must** use optical dispersion compensation, even with DMT and bit loading
  - Nevertheless, there are still several practical implementation issues that need to be solved

# COHERENT SYSTEMS



## AN INTRODUCTION

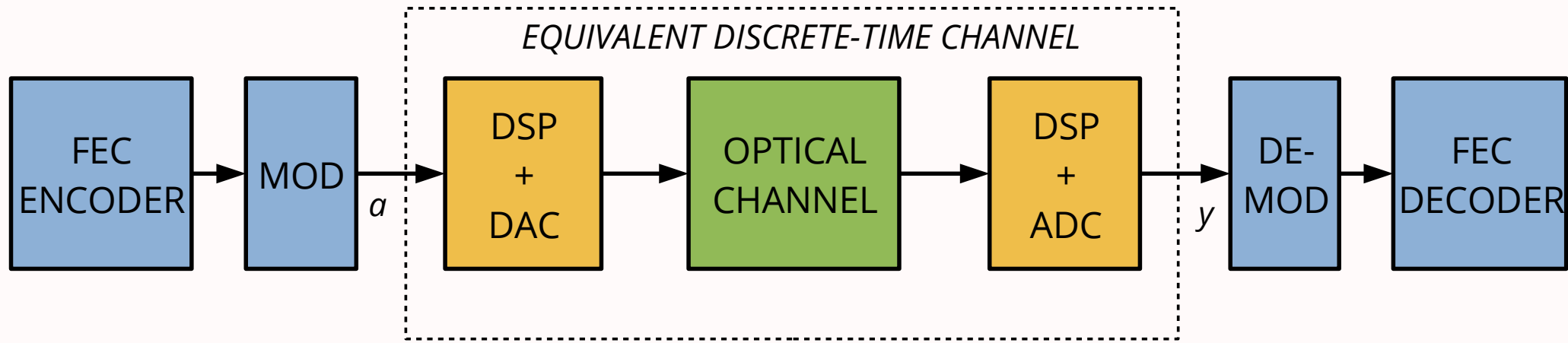
# GENERIC COHERENT LONG-HAUL SYSTEM



- ASE noise
- Fiber Kerr effect

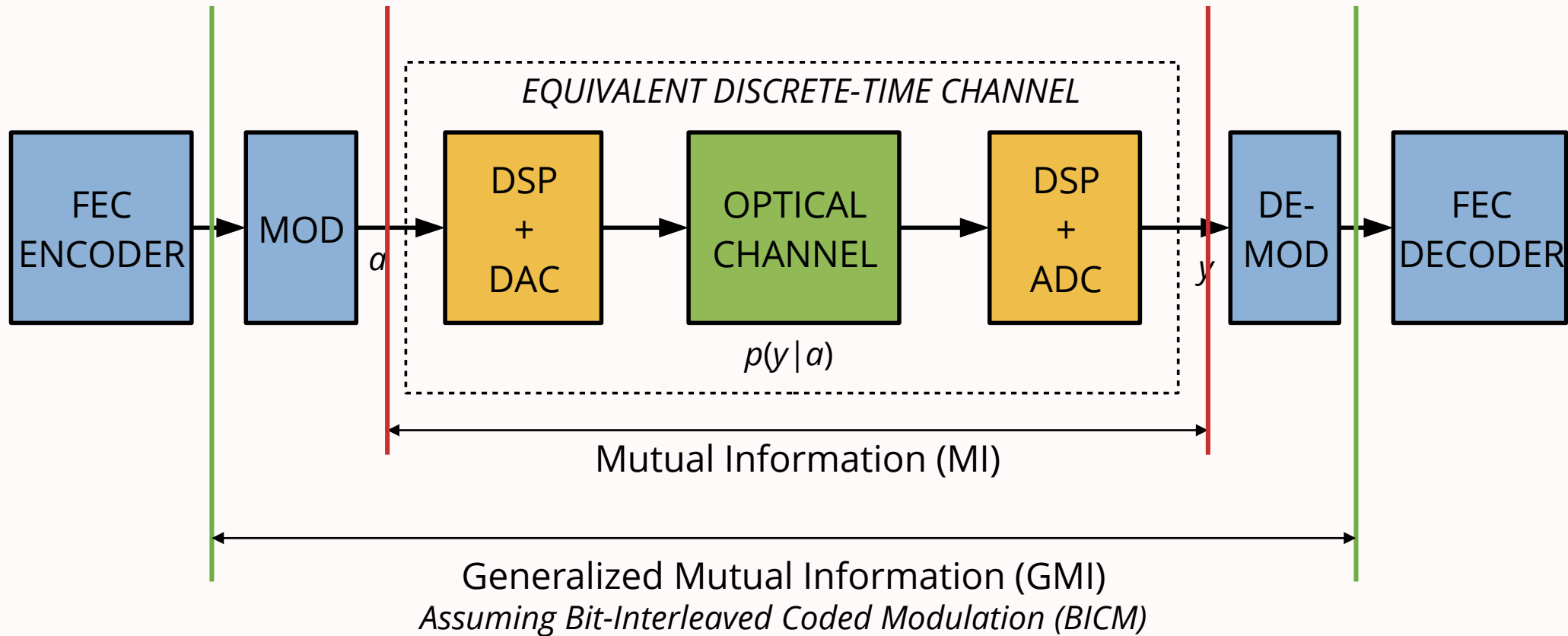


# EQUIVALENT CHANNEL



- DSP point of view: equivalent channel
  - Using theoretical models, simulations or experiments DSP can be tested, and performance metrics obtained

# SOFT PERFORMANCE METRICS



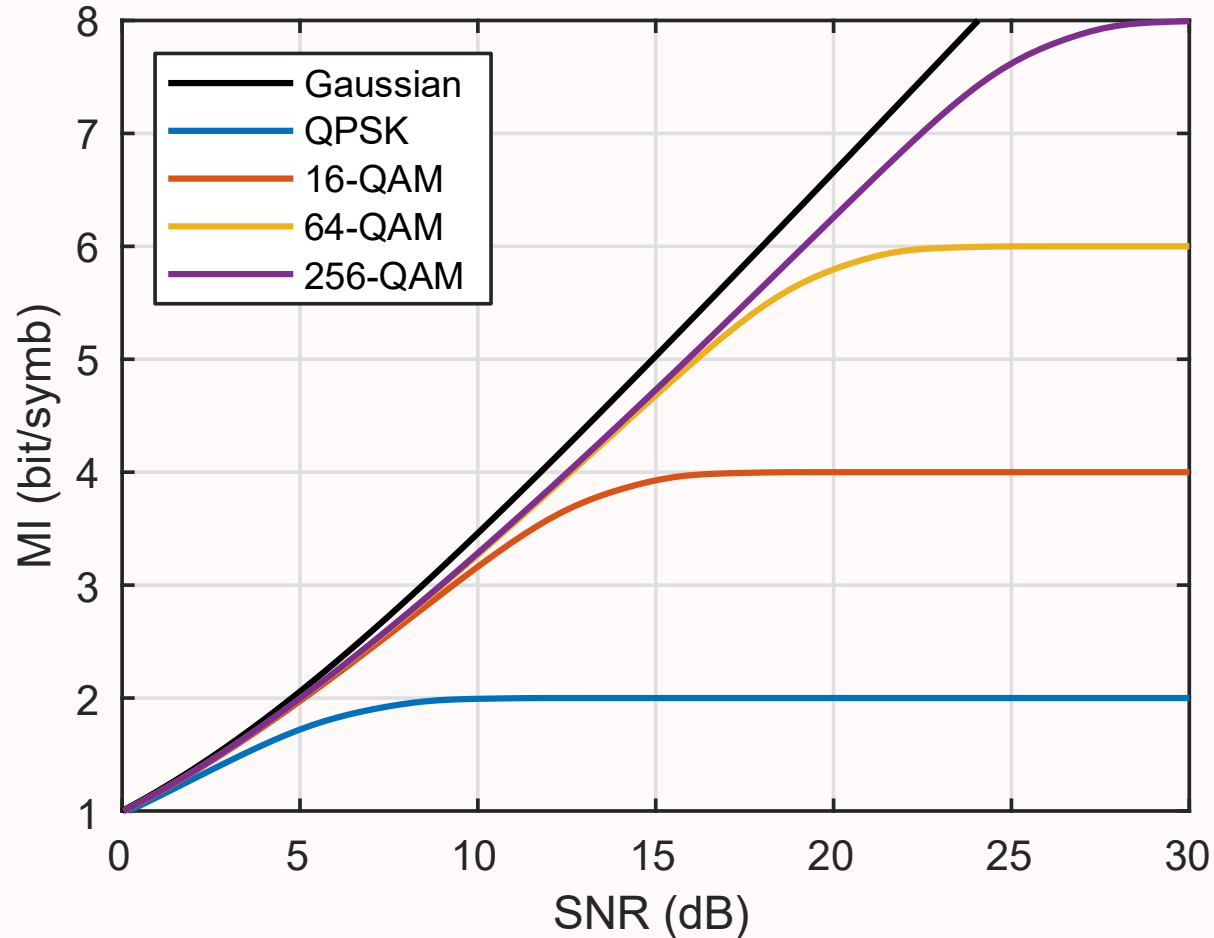
- Linked to the performance of soft-decision FEC codes

# PROBABILISTIC CONSTELLATION SHAPING



BASICS OVER AN AWGN CHANNEL

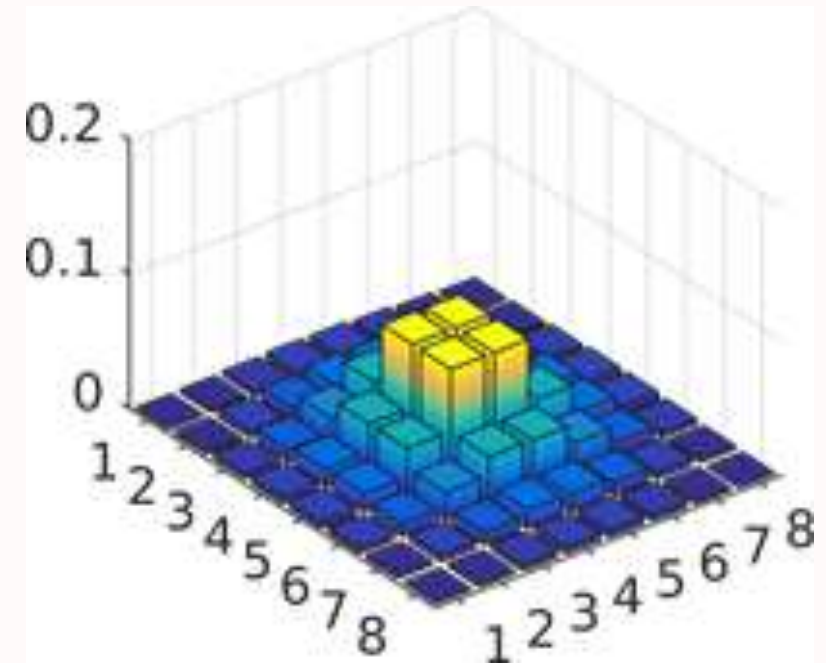
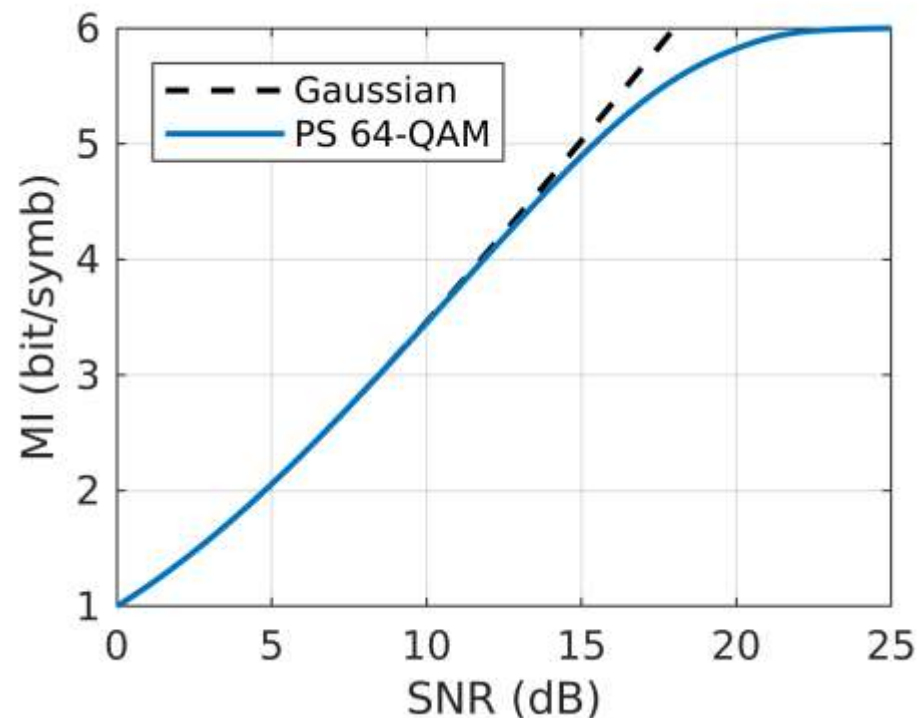
# STANDARD QAM CONSTELLATIONS



- ~1.53 dB asymptotic gap to capacity
- **Fixed** data rates!
  - Unless different FEC rates are used

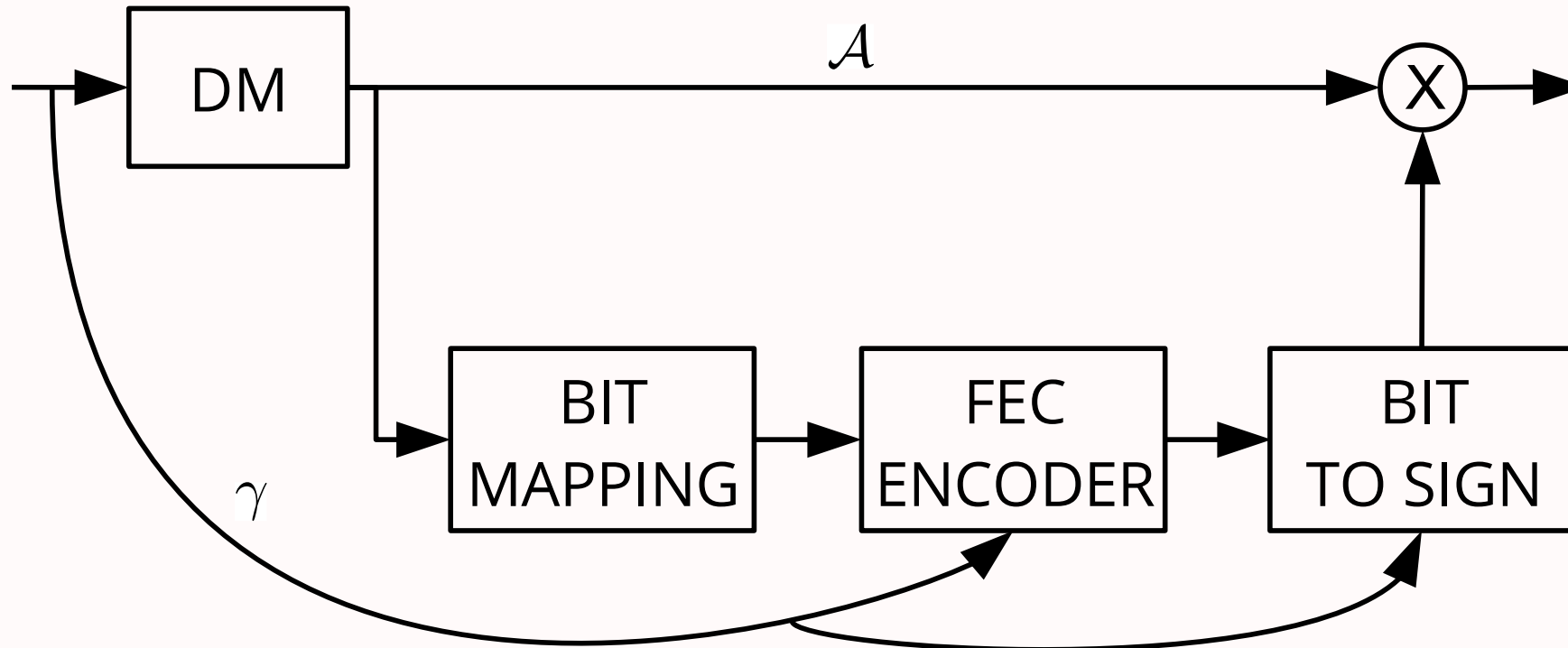
# PROBABILISTIC CONSTELLATION SHAPING

- The two goals can be achieved by transmitting QAM symbols with *different probability*



1. How to implement constellation shaping?
  - Implementable in hardware with low complexity
  - Must be combined with Forward Error Correction
2. Which probability distribution?
  - Potentially *any* distribution can be applied
  - AWGN channel: optimal distribution is Gaussian (infinite number of points...)

# PROBABILITY AMPLITUDE SHAPING ARCHITECTURE



- Practical, capacity achieving combination of shaping and coding
- Distribution matcher (DM): random stream of bits to sequence of amplitudes  $A$  with desired distribution

# NET (POST-FEC) DATA RATE

- Standard QAM constellations:

$$AIR_U = r_U m_U$$

FEC code rate

Constellation bit/symb.

- Probabilistic shaping with PAS scheme and ideal DM:

$$AIR_{PS} = \mathcal{H}(P) - (1 - r)m$$

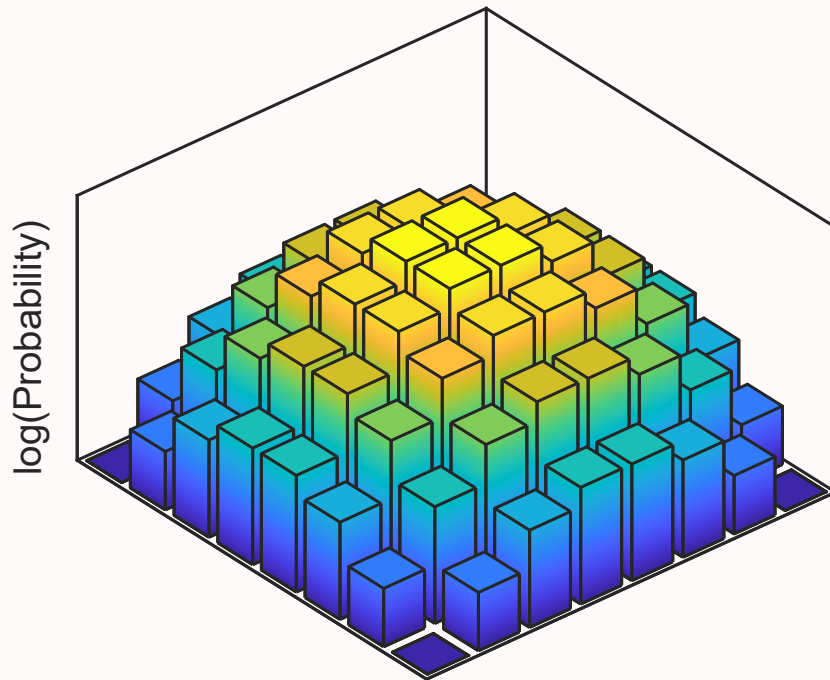
Entropy of PS constellation

FEC code rate

Constellation bit/symb.

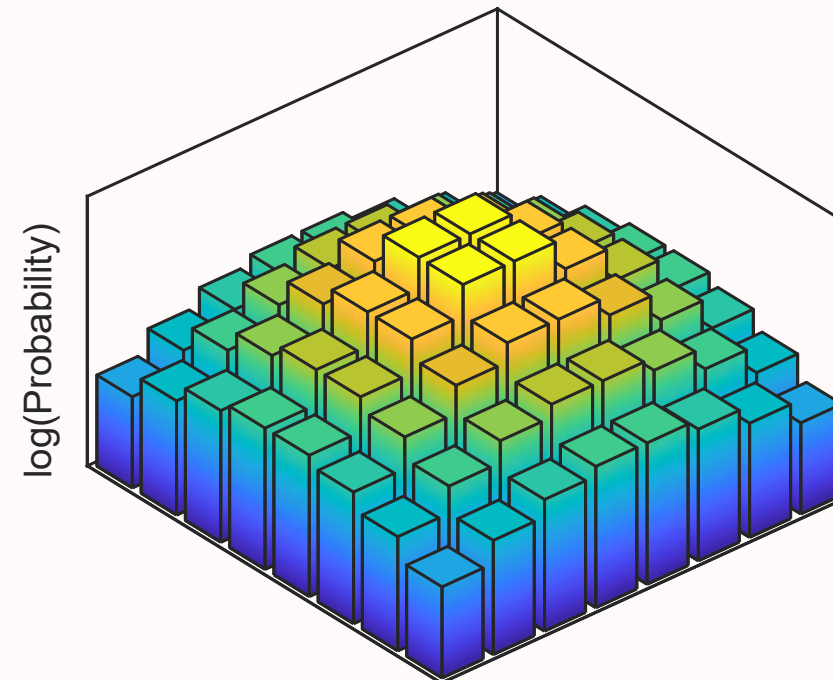


# MAXWELL-BOLTZMANN VS EXPONENTIAL



Maxwell-Boltzmann

$$P(a_i) \propto e^{-\lambda|a_i|^2}$$

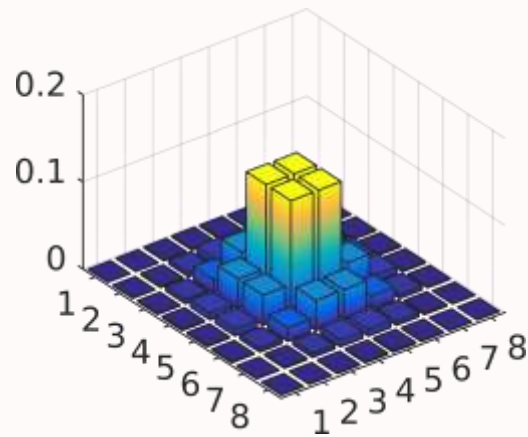


Exponential

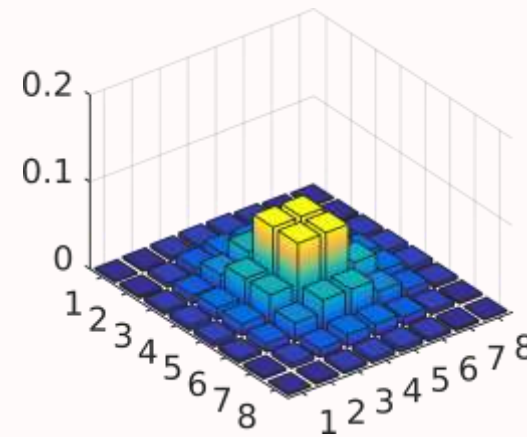
$$P(a_i) \propto e^{-\lambda|a_i|}$$

# AN EXPERIMENTAL COMPARISON

Constellation	Entropy (bit/symb)	FEC overhead	Distribution	Net data rate at 16 GBd
16-QAM	4	20%	-	106.6 Gbit/s
PS-64-QAM	4.33		Exponential	
32-QAM	5		-	133.3 Gbit/s
PS-64-QAM	5.17		Exponential	

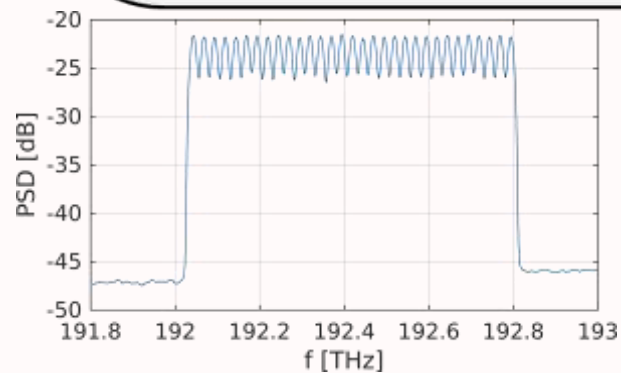
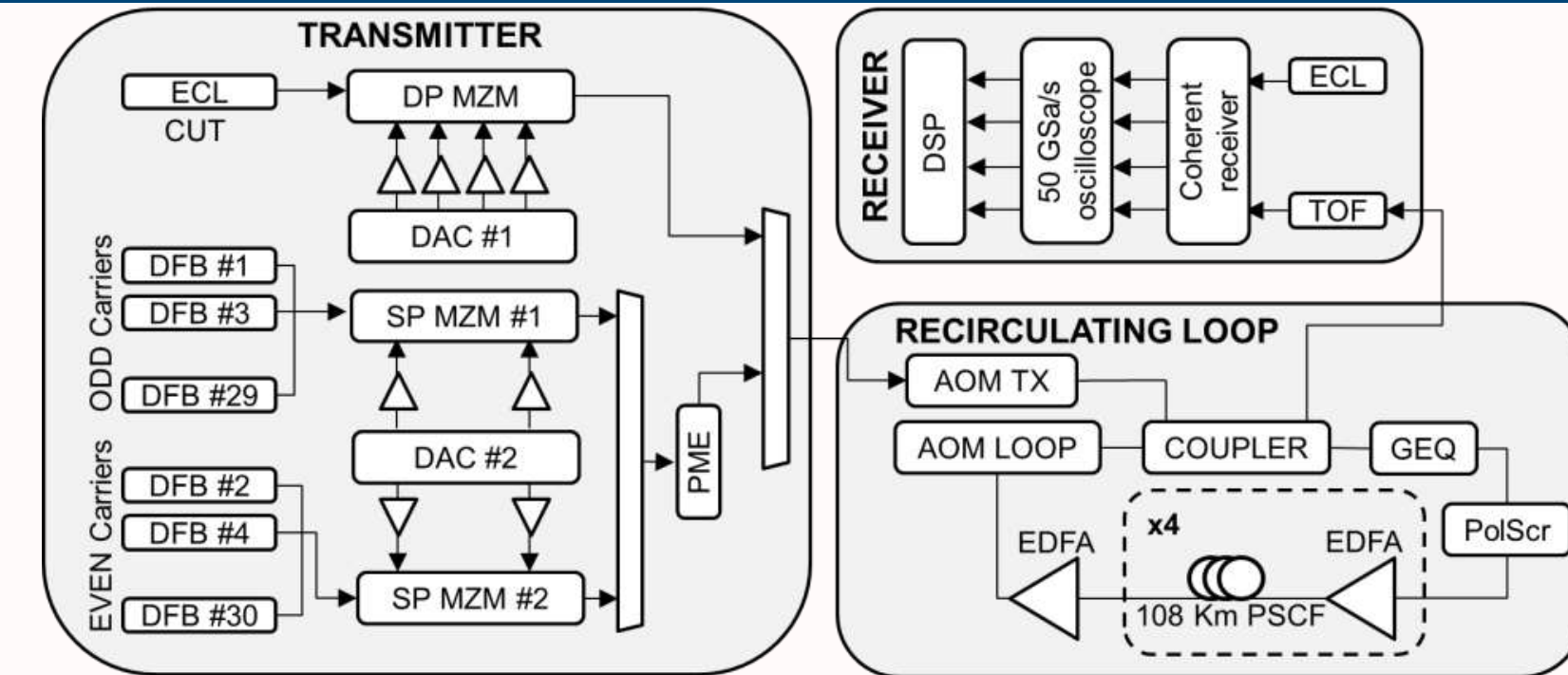


4.33 bit/symb



5.17 bit/symb

# EXPERIMENTAL SETUP

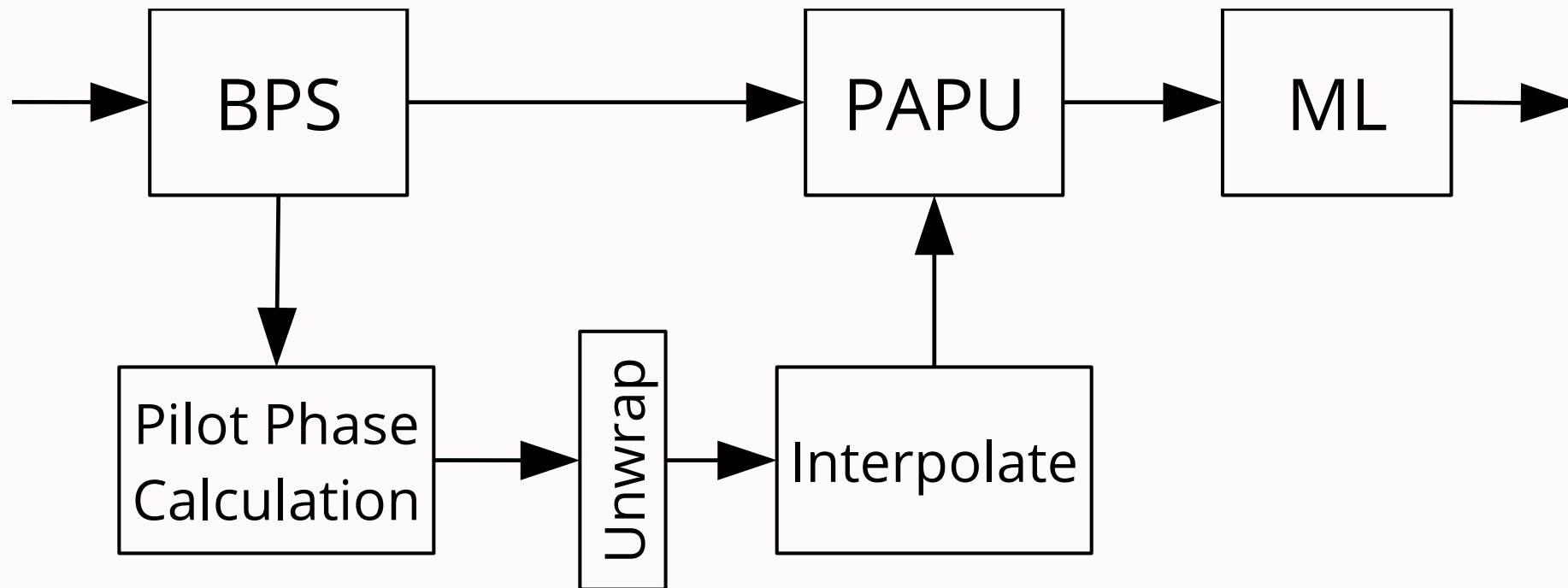


$R_s = 16$  GBd,  $\Delta f = 25$  GHz

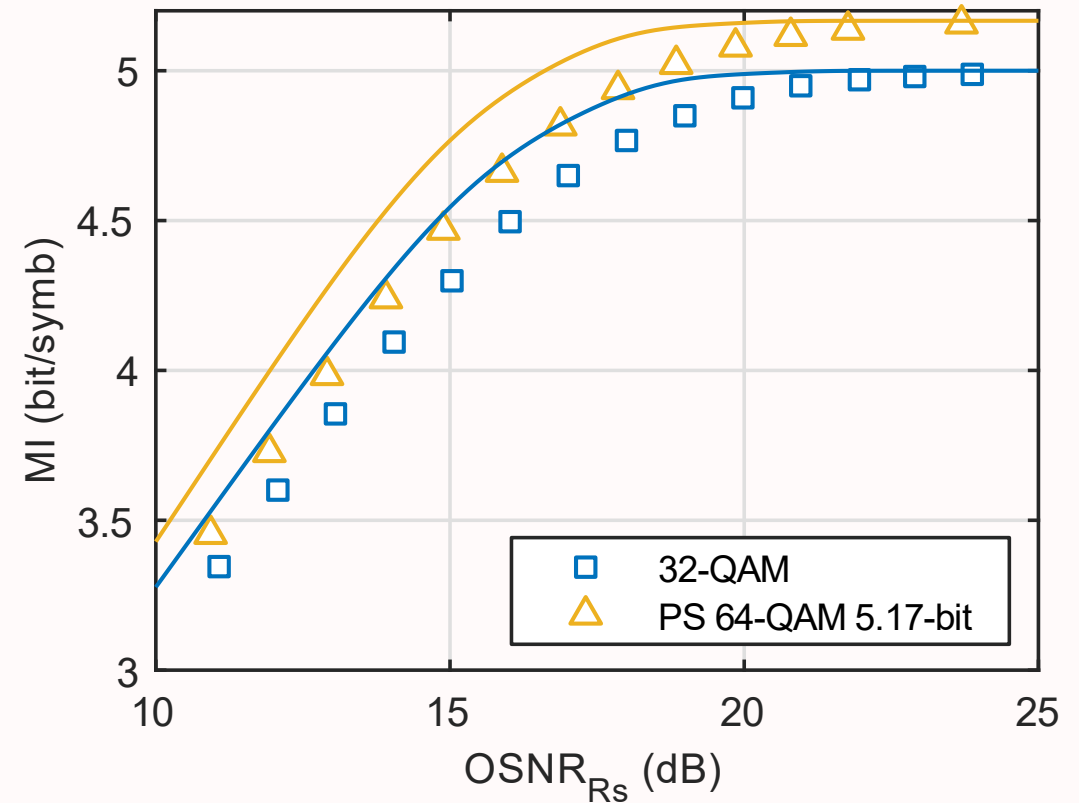
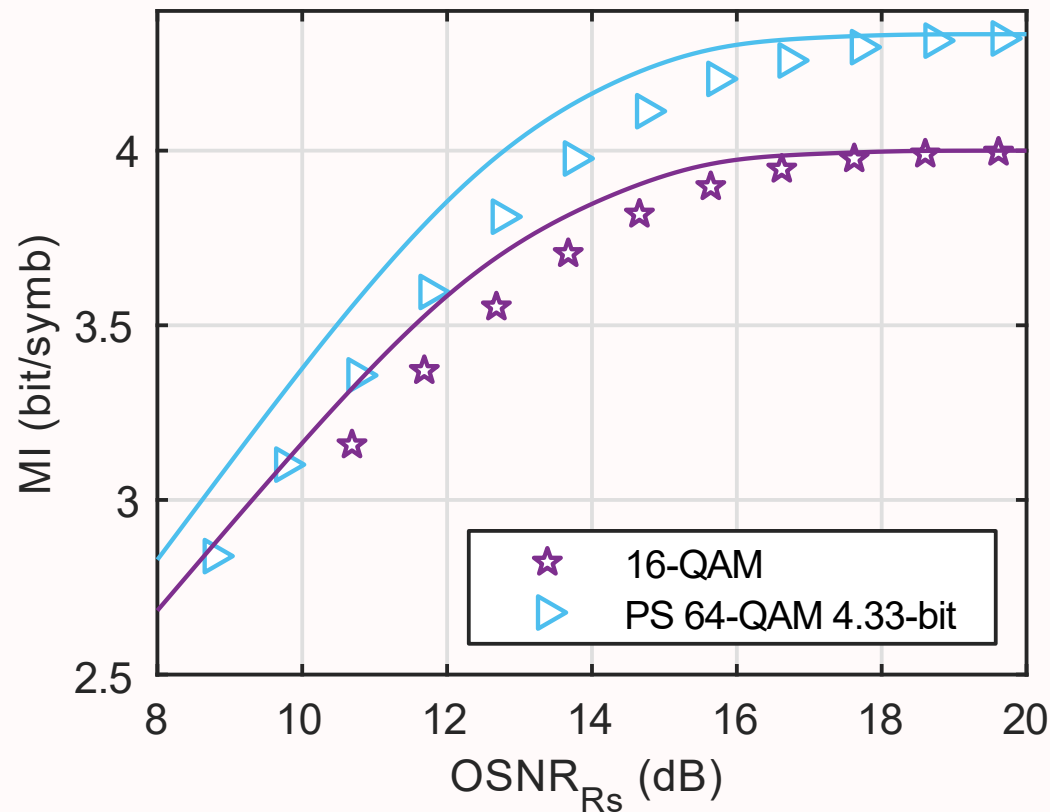
Parameter	Value
EDFA noise figure	5.2 dB
Chromatic dispersion	20.17 ps/(nm km)
Non-linearity coeff.	0.75 1/(W km)
Attenuation	0.16 dB/km

# PHASE RECOVERY STRATEGIES

1. Ideal (i.e. genie-aided) phase noise removal (IPNR)
2. Blind Phase Search (BPS) + Maximum Likelihood (ML) with pilot tones for phase unwrapping

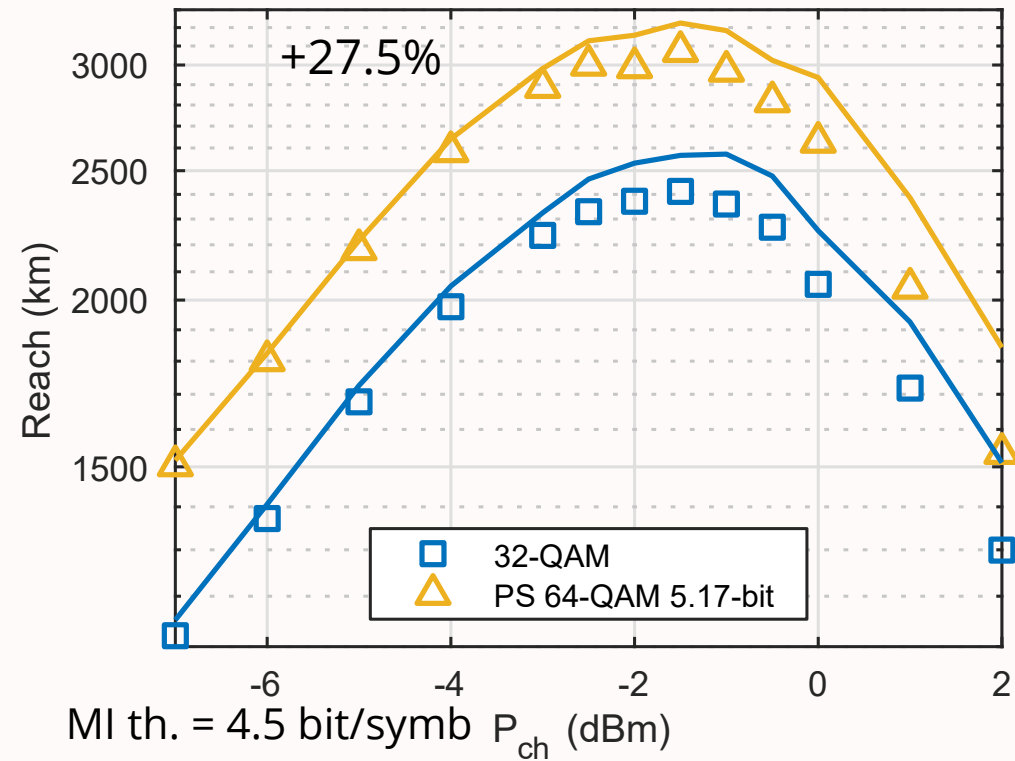
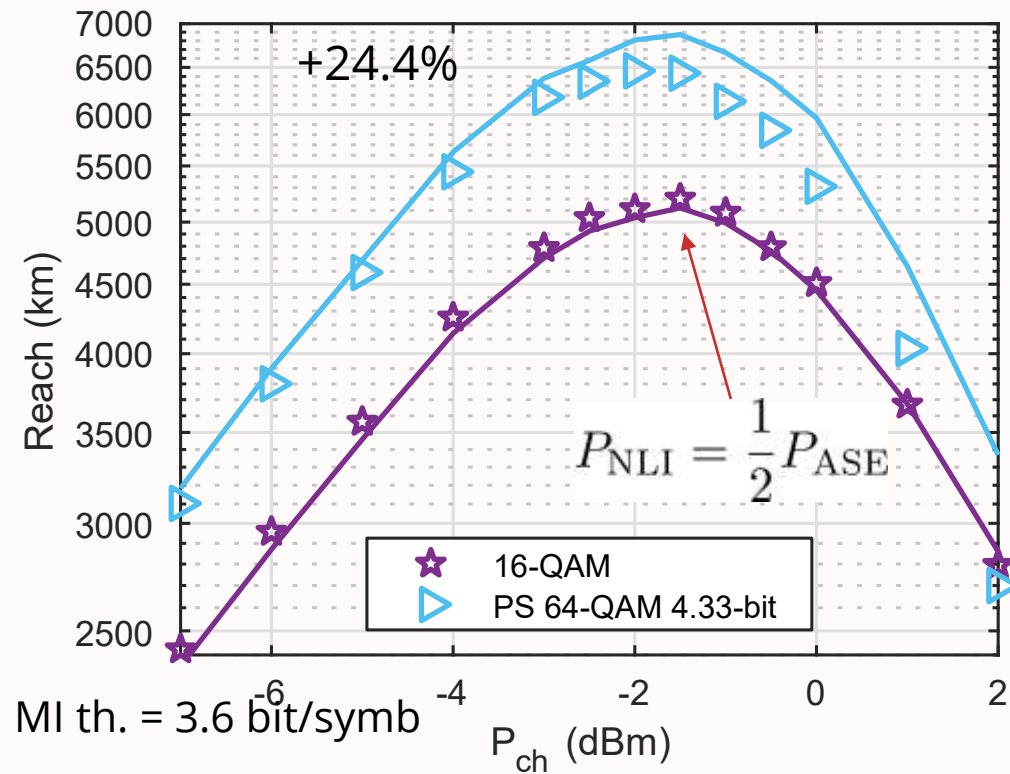


# OPTICAL BACK-TO-BACK RESULTS



- *Solid lines*: AWGN (theory)
- *Markers*: Experimental measurements

# PSCF PROPAGATION RESULTS



- *Markers:* BPS+ML
- *Solid lines:* IPNR

# SUMMARY: PS CONSTELLATION OVER AN AWGN CHANNEL

- After propagation over PSCF, PS-64-QAM keeps the same back-to-back sensitivity gain over 16-QAM and 32-QAM
  - Directly translated to a reach increase
- In this scenario, Probabilistic Shaping does not change the impact of fiber Kerr non-linearities

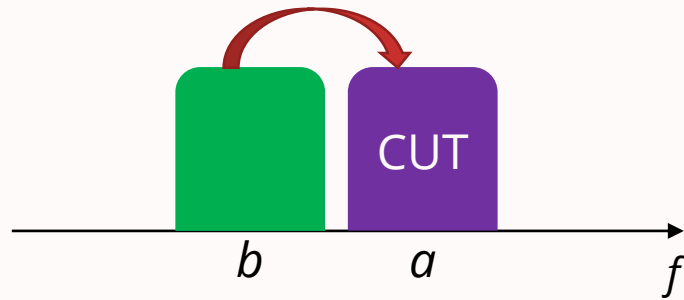
# PROBABILISTIC SHAPING AND FIBER NON-LINEARITIES



## NON-LINEAR PHASE NOISE AND ITS IMPACT



# CONSTELLATION-SHAPE DEPENDENT NLI



XPM (Cross Phase Modulation)

$$\Delta a_0 = 2j\gamma \sum_{h,k,m} a_h b_k^* b_m X_{h,k,m}$$

$h=0$  and  $k=m$  -> one of the largest contributors of the sum

$$\Delta a_{0p} = ja_0 \left( 2\gamma \sum_m |b_m|^2 X_{0,m,m} \right)$$

Phase noise component, with variance

$$\Delta\theta^2 = 4\gamma^2 \left( \langle |b_0|^4 \rangle - \langle |b_0|^2 \rangle^2 \right) \sum_m X_{0,m,m}^2$$

# PROPERTIES OF NON-LINEAR PHASE NOISE

- Modulation format dependence:

$$\langle |b_0|^4 \rangle - \langle |b_0|^2 \rangle^2 = \begin{cases} 0 & \text{QPSK} \\ 0.32\sigma_b^4 & \text{16-QAM} \\ 0.381\sigma_b^4 & \text{64-QAM} \\ \sigma_b^4 & \text{Gaussian} \end{cases}$$

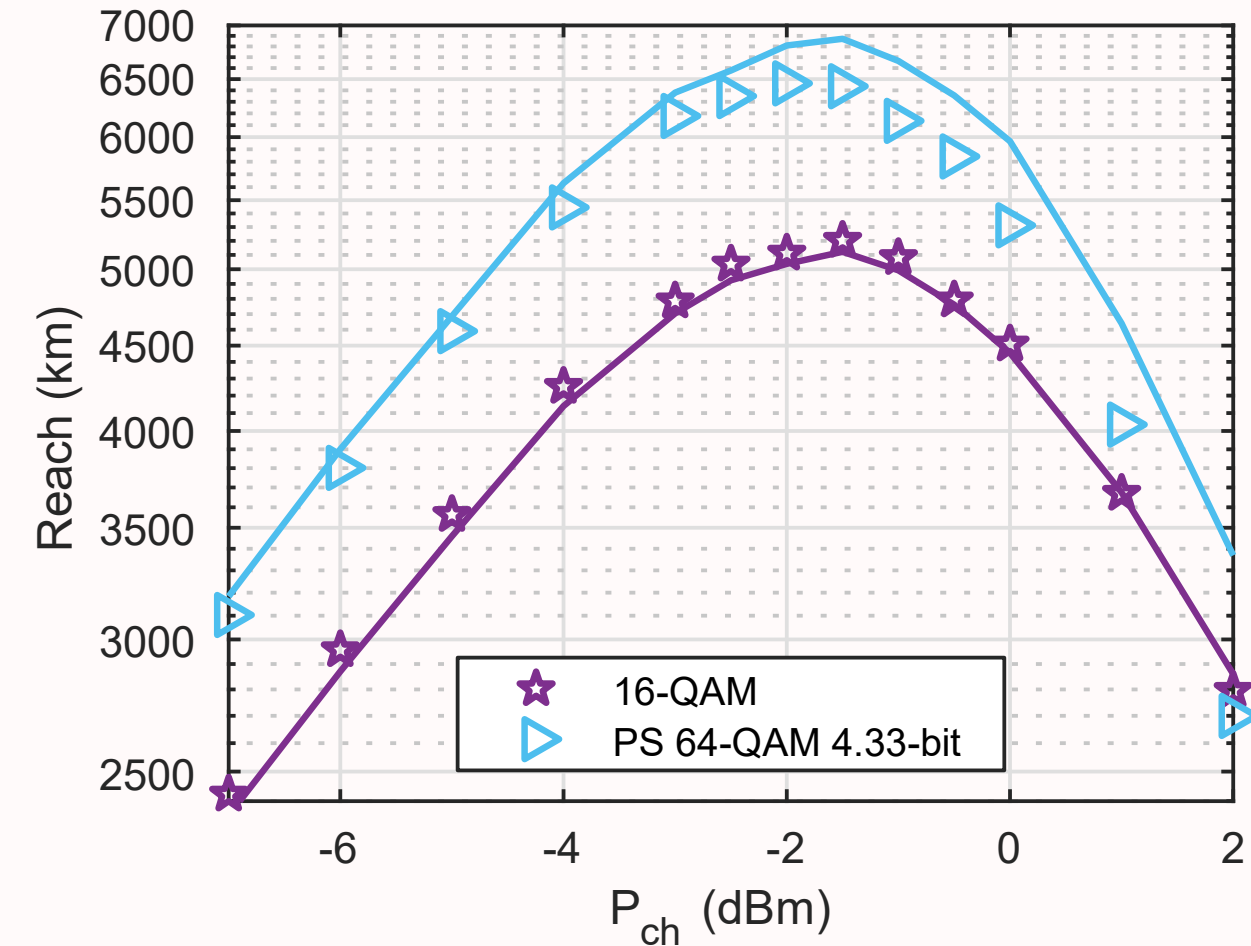
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- Auto-correlation function of phase noise:
  - Simple approximation:

$$R_\theta(l) \approx \Delta\theta^2 \left[ 1 - \frac{|l|T}{|\beta_2\Omega|L} \right]^+$$

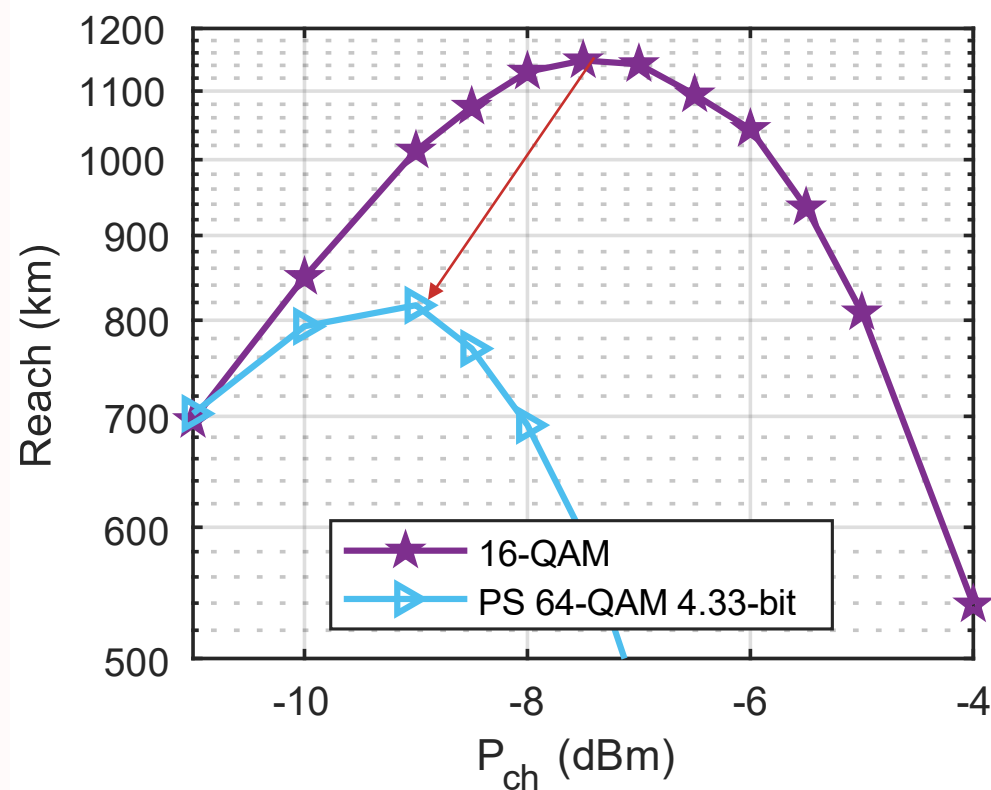
Distance, dispersion and symbol rate *enlarge* the auto-correlation

# FIRST EXPERIMENT REVISITED



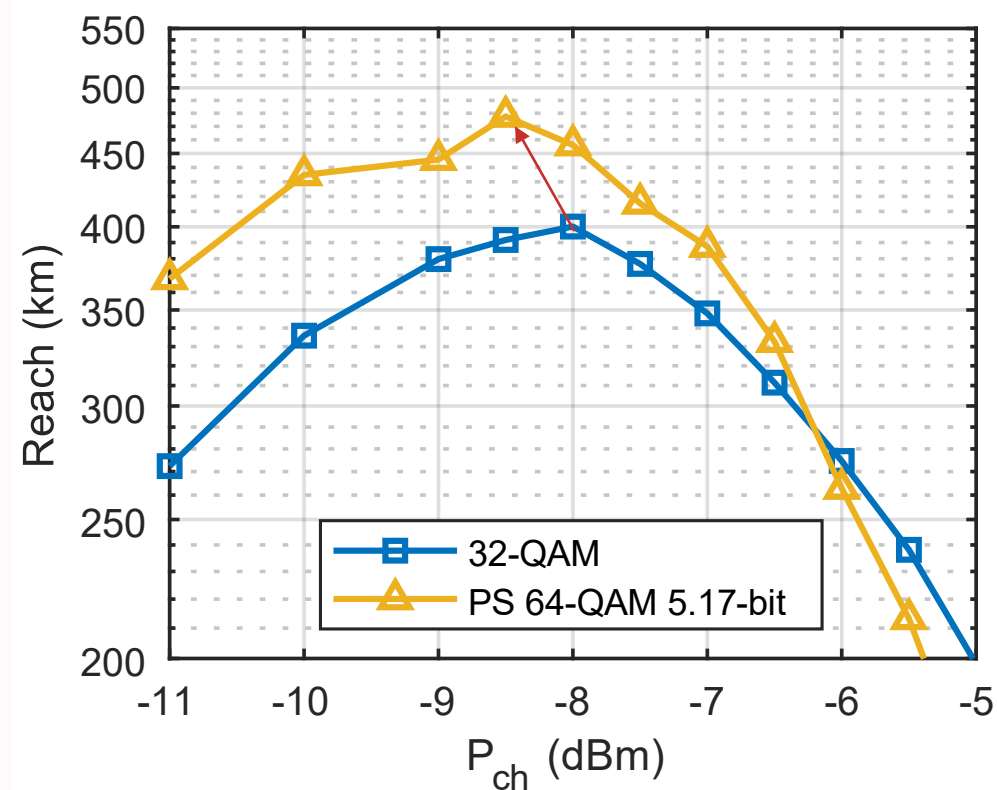
- Over PSCF we found no difference in NLI between the two constellations
- Non-linear phase noise (NLPN) is almost fully compensated for by the CPE

# EXAMPLE 1: LOW DISPERSION FIBER (NZDSF)



NGMI th. = 0.9

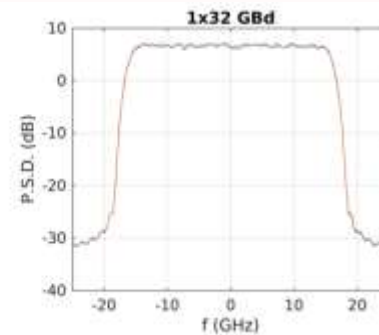
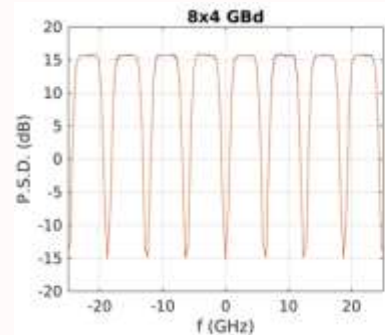
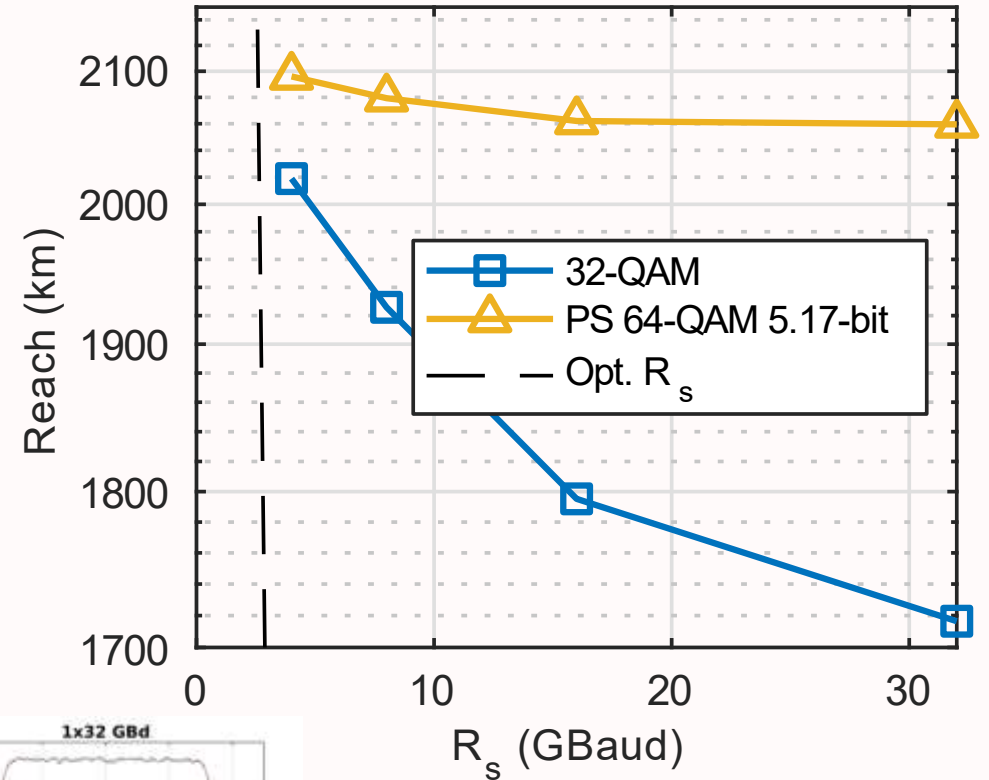
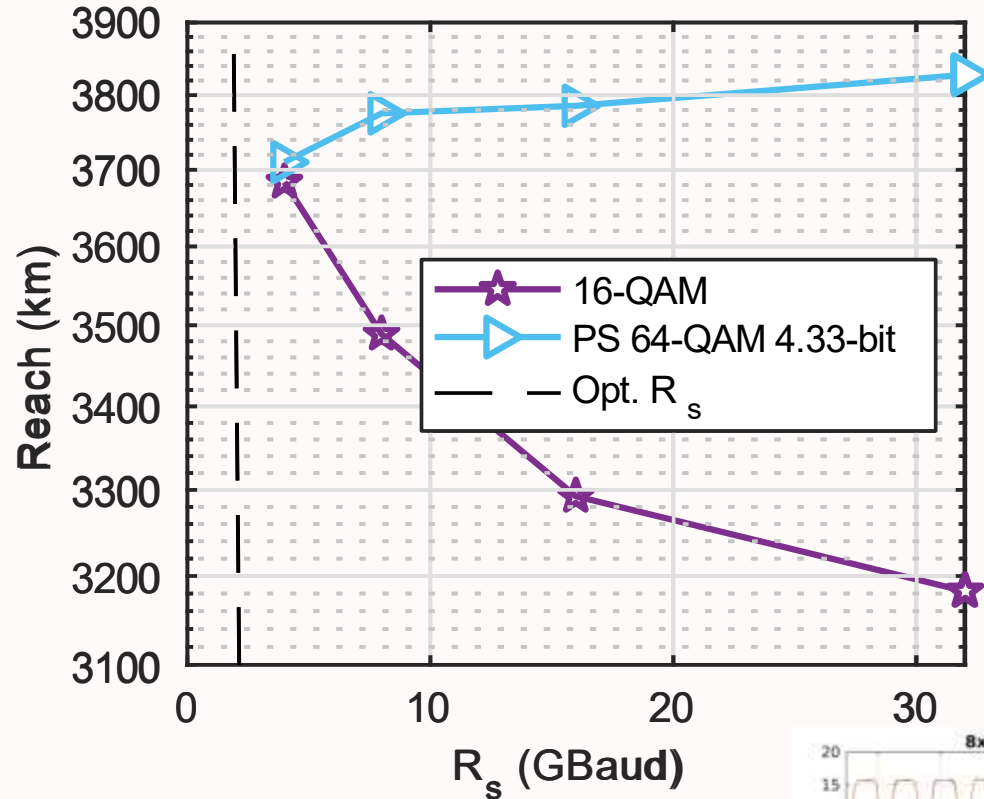
Parameter	Value
Chromatic dispersion	2.65 ps/(nm km)
Non-linearity coeff.	2 1/(W km)
Attenuation	0.23 dB/km



NGMI th. = 0.9

# EXAMPLE II: LOW SYMBOL RATE

15 x 32 GBaud, 100-km SMF, simulations



- As predicted by NLI models, PS constellations generate *more* non-linear phase noise
  - If its memory (autocorrelation) is large (e.g. PSCF propagation), the CPE at the receiver is able to compensate for it
- In some situations (e.g. low dispersion fibers, low symbol rates, ...) the CPE cannot fully compensate for NLPN
  - Significant penalties can be expected

- Several works were devoted to this topic
- In this thesis are proposed two techniques:
  1. Modified soft-decoding metric at the receiver
  2. Geometrical constellation shaping

# MODIFIED SOFT-DECODING STRATEGY

- Channel model:

$$y[k] = a[k]e^{j\phi[k]} + n_{\text{ASE}}[k] + n_{\text{NLI}}[k]$$

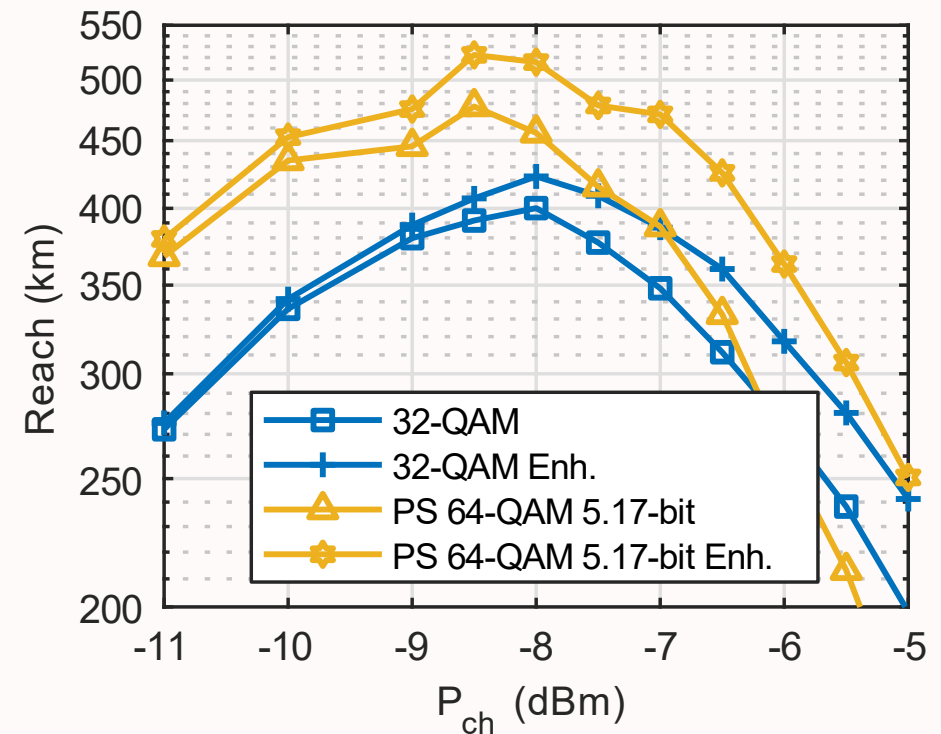
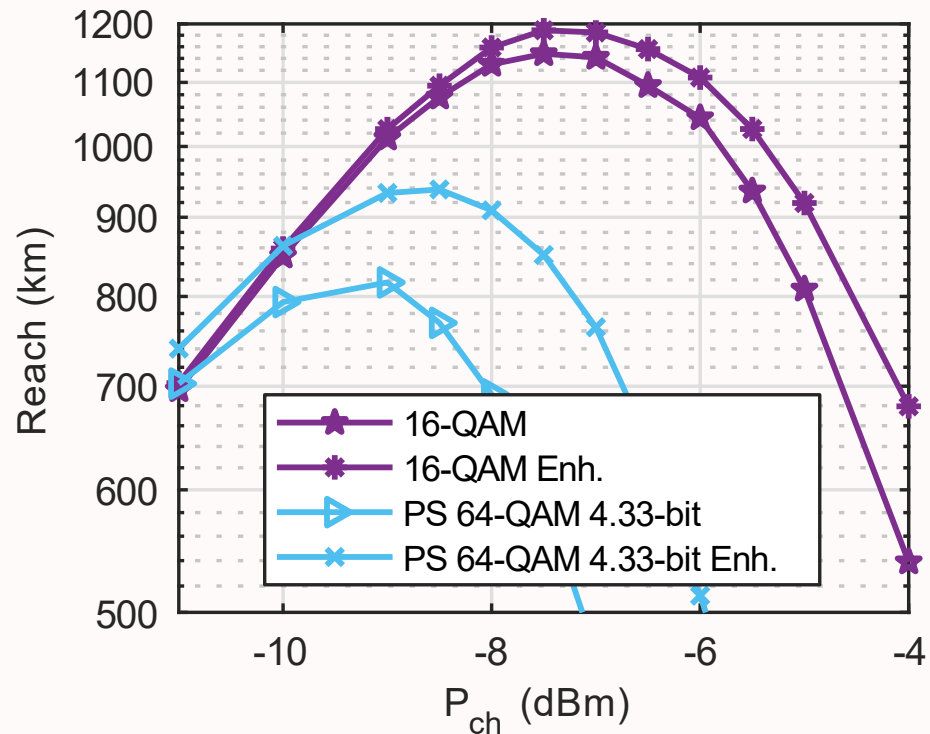
- Assuming *memoryless* phase noise, channel probability can be expressed as:

$$p(y|a) \approx \sqrt{\frac{\kappa_\phi}{8\pi^3} \frac{e^{-\kappa_\phi}}{\sigma_n^2}} \exp\left(-\frac{|y|^2 + |a|^2}{2\sigma_n^2} + \left|\frac{ya^*}{\sigma_n^2} + \kappa_\phi\right|\right)$$

- Mitigation of *residual* (i.e. post-CPE) phase noise

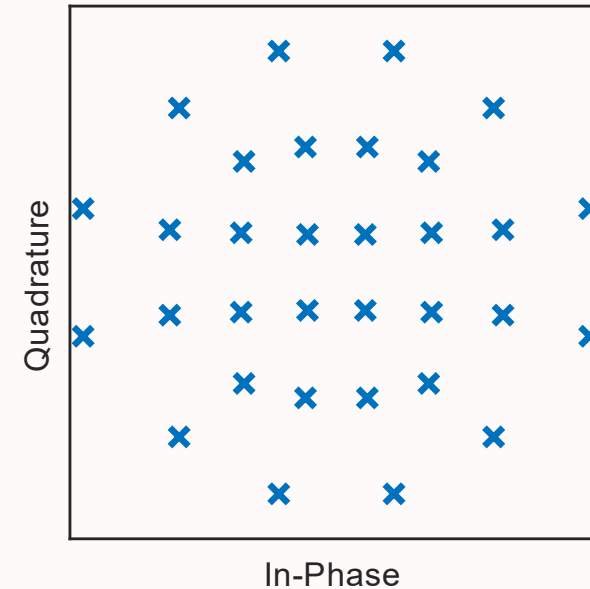
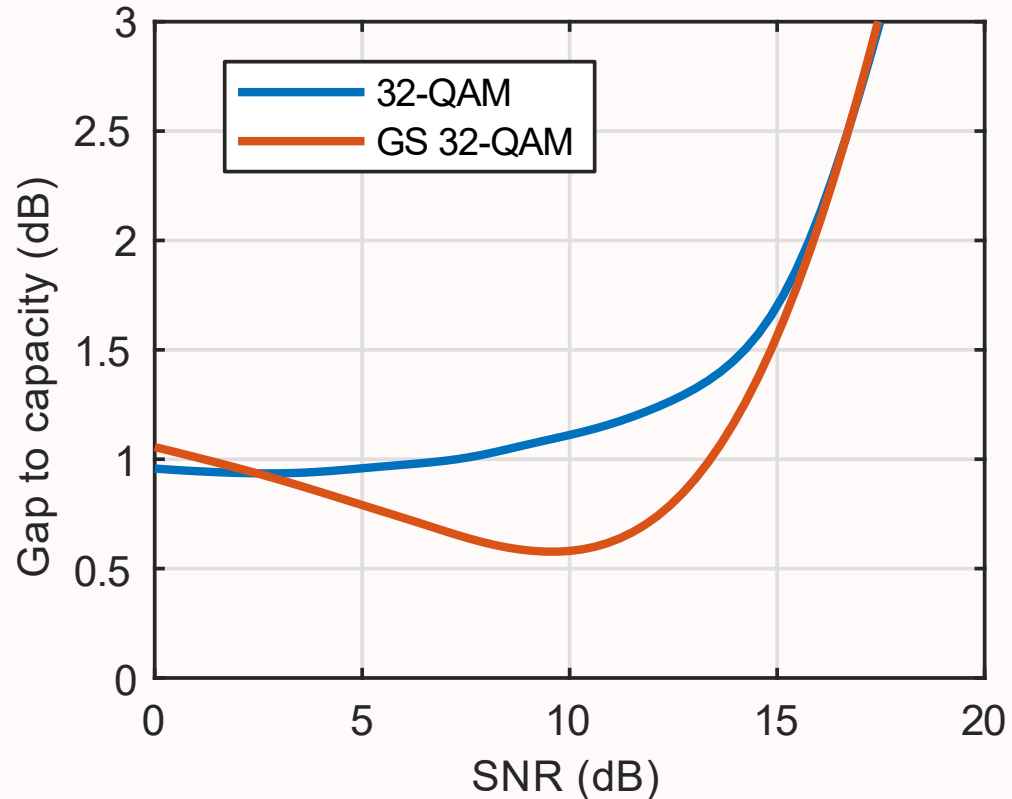


# BENEFIT OF MODIFIED STRATEGY



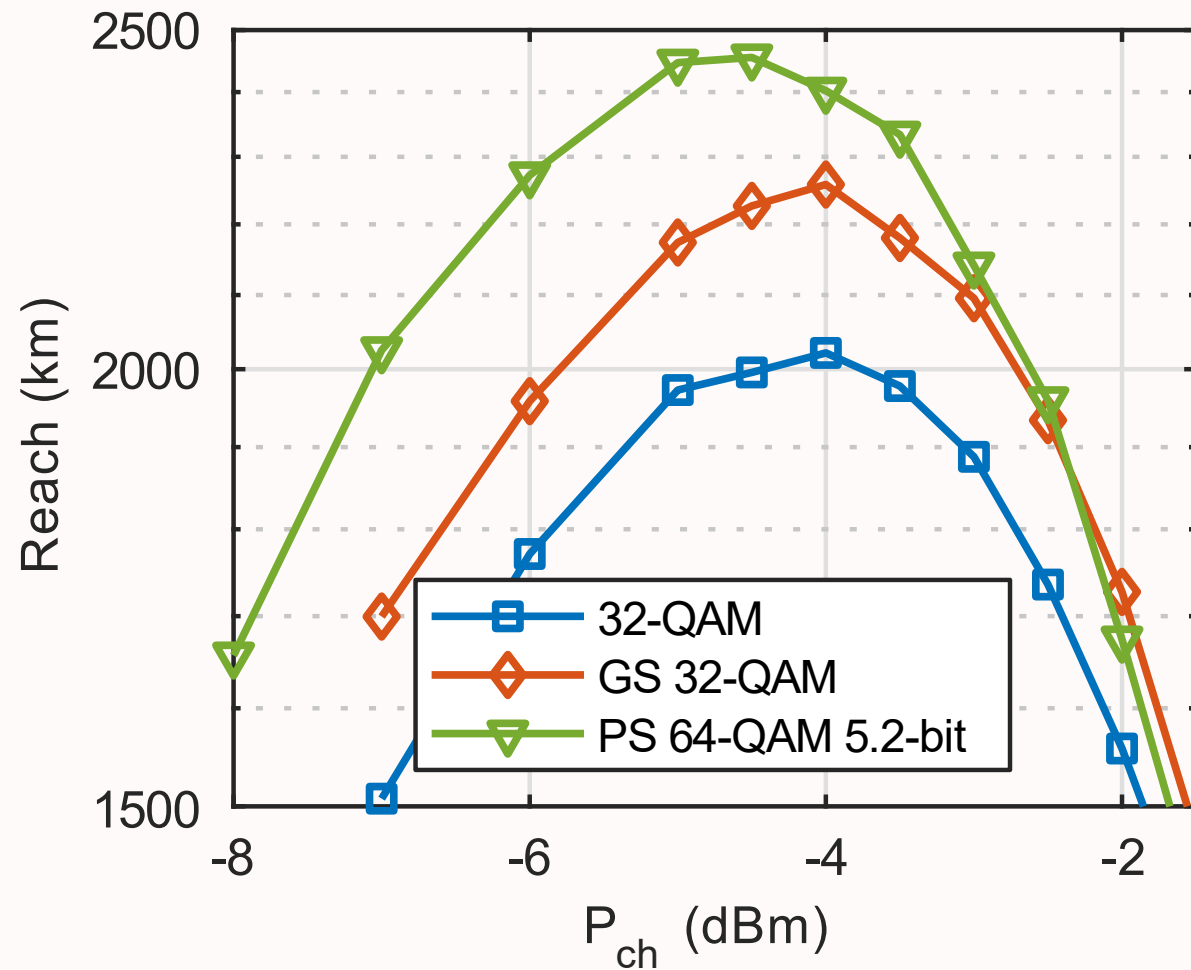
- Experiment over low-dispersion fibers previously presented
- Significant reach gain on PS-64-QAM
- Smaller gain over standard QAM constellations

# CONSTELLATION OPTIMIZATION



- Simulated annealing algorithm
  - Optimization metric: modified soft-decoding strategy
- A 32-point constellation (GS 32-QAM) was generated

# EXPERIMENTAL RESULTS



- 31 x 16 GBaud, 80-km SMF, experiment
- All constellation have the same spectral efficiency
  - NGMI threshold = 0.86
- No NLI penalty with GS 32-QAM
  - PS 64-QAM is still better

# CONCLUSIONS

- Constellation shaping is a powerful technique to allow high data-rate flexibility
- However, it inevitably triggers more non-linear effects
  - Mostly, as non-linear phase noise
- In “standard” conditions (high dispersion, high symbol rates) receiver CPE compensates for it
  - At least for PS-64-QAM and reach ~hundreds of km
- Specific focus on NLPN mitigation must be taken into account in this cases
  - Or don't use shaping 😊

# LIST OF JOURNAL PUBLICATIONS

1. **Dario Pileri**, Antonino Nespola, Fabrizio Forghieri and Gabriella Bosco. “*Non-Linear Phase Noise Mitigation over Systems using Constellation Shaping*”. Submitted to: Journal of Lightwave Technology
2. **Dario Pileri**, Luca Bertignono, Antonino Nespola, Fabrizio Forghieri, Marco Mazzini, and Roberto Gaudino. “*Bidirectional 4-PAM to Double Per-Fiber Capacity in 2-km Intra-Datacenter Links*”. In: IEEE Photonics Journal 10.2 (Apr. 2018), pp. 1–10.
3. **Dario Pileri**, Luca Bertignono, Antonino Nespola, Fabrizio Forghieri, and Gabriella Bosco. “*Comparison of Probabilistically Shaped 64QAM With Lower Cardinality Uniform Constellations in Long-Haul Optical Systems*” . In: Journal of Lightwave Technology 36.2 (Jan. 2018), pp. 501–509. [invited from top-scoring OFC 2017 contribution]
4. **Dario Pileri**, Chris Fludger, and Roberto Gaudino. “*Comparing DMT Variants in Medium-Reach 100G Optically Amplified Systems*”. In: Journal of Lightwave Technology 34.14 (July 2016), pp. 3389–3399.
5. M. Cantono, A. Ferrari, **D. Pileri**, E. Virgillito, J. L. Augé, and V. Curri. “*Physical Layer Performance of Multi-Band Optical Line Systems Using Raman Amplification*”. In: Journal of Optical Communications and Networking 11.1 (Jan. 2019), A103. [invited from top-scoring OFC 2018 contribution]
6. Mattia Cantono, **Dario Pileri**, Alessio Ferrari, Clara Catanese, Jordane Thouras, Jean-Luc Augé, and Vittorio Curri. “*On the Interplay of Nonlinear Interference Generation With Stimulated Raman Scattering for QoT Estimation*”. In: Journal of Lightwave Technology 36.15 (Aug. 2018), pp. 3131–3141.
7. Seyed Sadra Kashef, Paeiz Azmi, Gabriella Bosco, Mehdi D. Matinfar, and **Dario Pileri**. “*Non-Gaussian statistics of CO-OFDM signals after non-linear optical fibre transmission*”. In: IET Optoelectronics 12.3 (June 2018), pp. 150–155.

# LIST OF PRESENTATIONS

1. Dario Pileri, Antonino Nespola, Pierluigi Poggiolini, Fabrizio Forghieri, and Gabriella Bosco. *"Low-Complexity Non-Linear Phase Noise Mitigation using a Modified Soft-Decoding Strategy"*. Optical Fiber Communication Conference (OFC), San Diego CA (USA), paper M11.2, March 2019.
2. Dario Pileri. *"Fiber Nonlinearities: A Communications Engineer Perspective"*. DEIB, Politecnico di Milano, seminar. October 2018.
3. Dario Pileri and Roberto Gaudino. *"Direct-Detection Single-Sideband Systems: Performance Comparison and Practical Implementation Penalties"*. International Conference on Transparent Optical Networks (ICTON), Bucharest (Romania), July 2018.
4. Dario Pileri. *"Impact of Fiber Non-Linearities on Probabilistic Shaping in Long-Haul Optical Systems"*. Symposium on Challenges to Achieving Capacity in Nonlinear Optical Networks, Grasmere (UK). June 2018.
5. Dario Pileri, F. Forghieri, and Gabriella Bosco. *"Residual Non-Linear Phase Noise in Probabilistically Shaped 64-QAM Optical Links"*. Optical Fiber Communication Conference (OFC), San Diego CA (USA), March 2018.
6. Dario Pileri. *"The Advantage of Probabilistic Constellation Shaping on Long-Haul Optical Systems"*. In Institute of Photonics and Quantum Electronics (IPQ) – Karlsruhe Institute of Technology (KIT) weekly seminar, Karlsruhe (Germany), October 2017.
7. Dario Pileri, Mattia Cantono, Andrea Carena, and Vittorio Curri. *"FFSS: The fast fiber simulator software"*. International Conference on Transparent Optical Networks (ICTON), Girona (Spain), July 2017.
8. Dario Pileri, Fabrizio Forghieri, and Gabriella Bosco. *"Maximization of the Achievable Mutual Information using Probabilistically Shaped Squared-QAM Constellations"*. Optical Fiber Communication Conference (OFC), Los Angeles CA (USA), March 2017. [poster]
9. L. Bertignono, D. Pileri, A. Nespola, F. Forghieri, and G. Bosco. *"Experimental Comparison of PM-16QAM and PM-32QAM with Probabilistically Shaped PM-64QAM"*. Optical Fiber Communication Conference (OFC), Los Angeles CA (USA), March 2017. [top-scoring paper]



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# THANK YOU

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BACKUP SLIDES



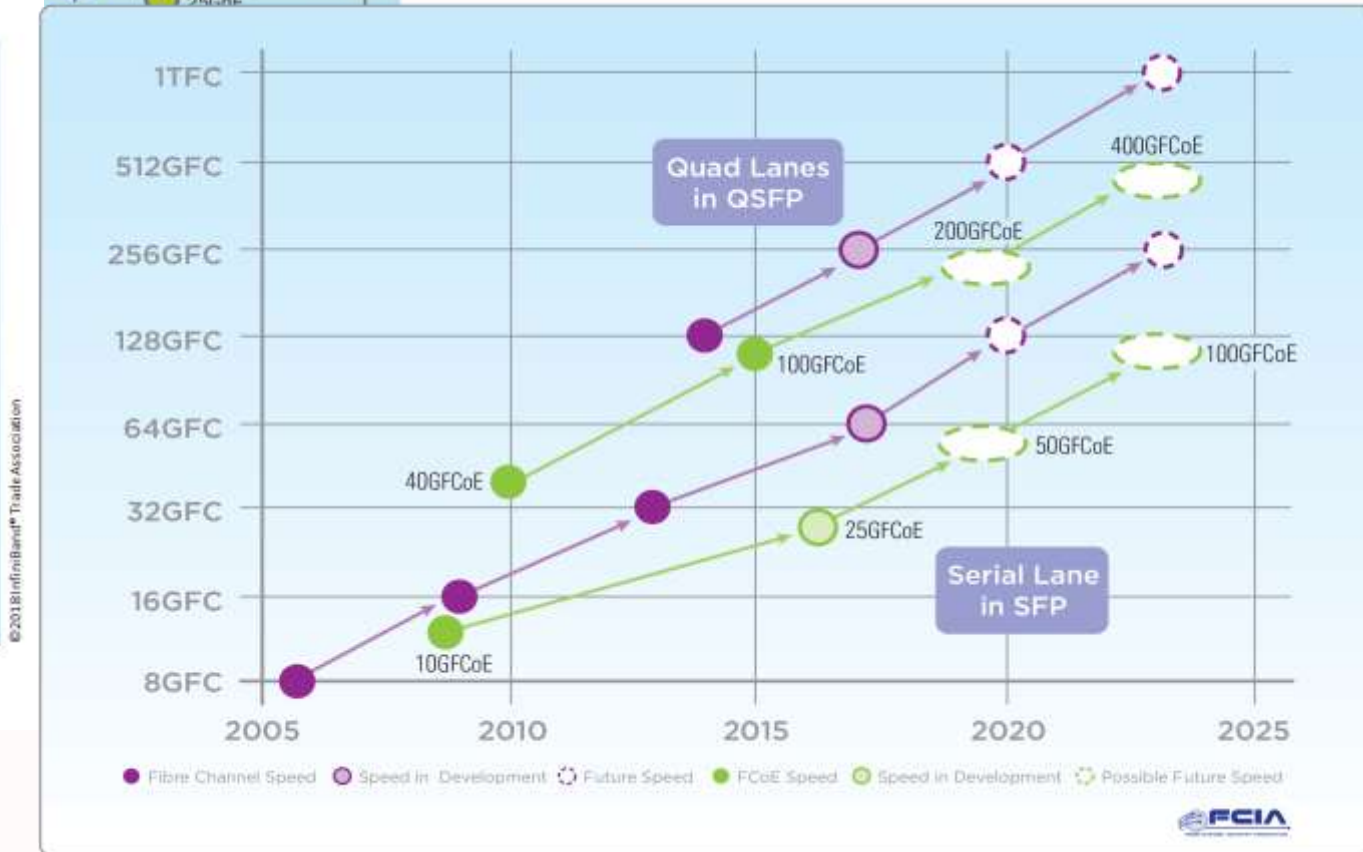
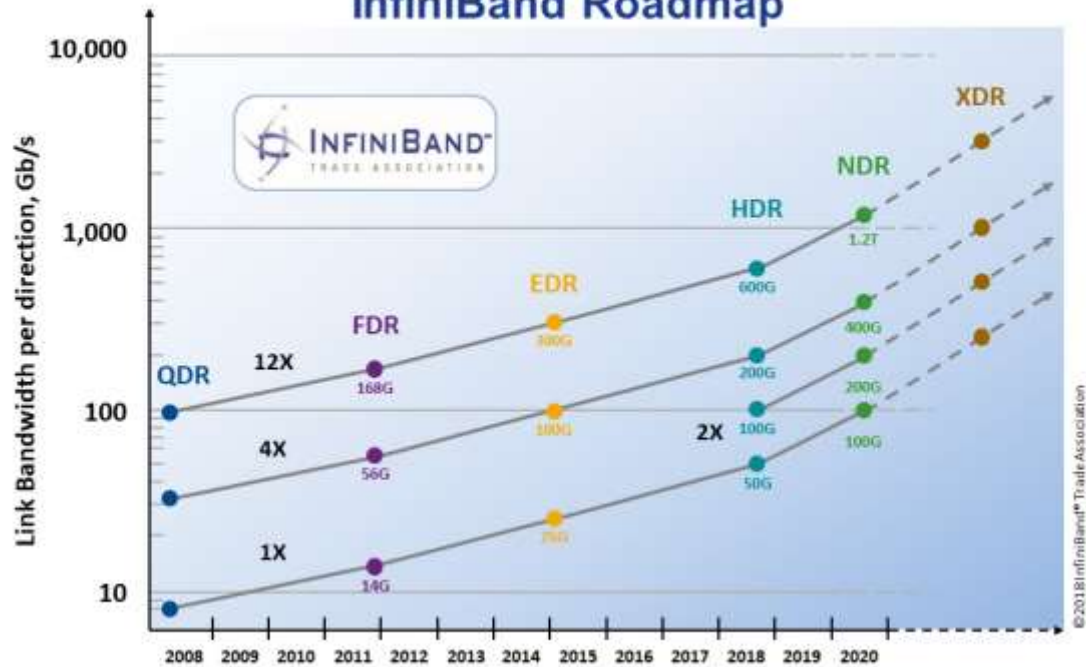


# SPEED OF INTRA-DC INTERFACES

## ETHERNET SPEEDS

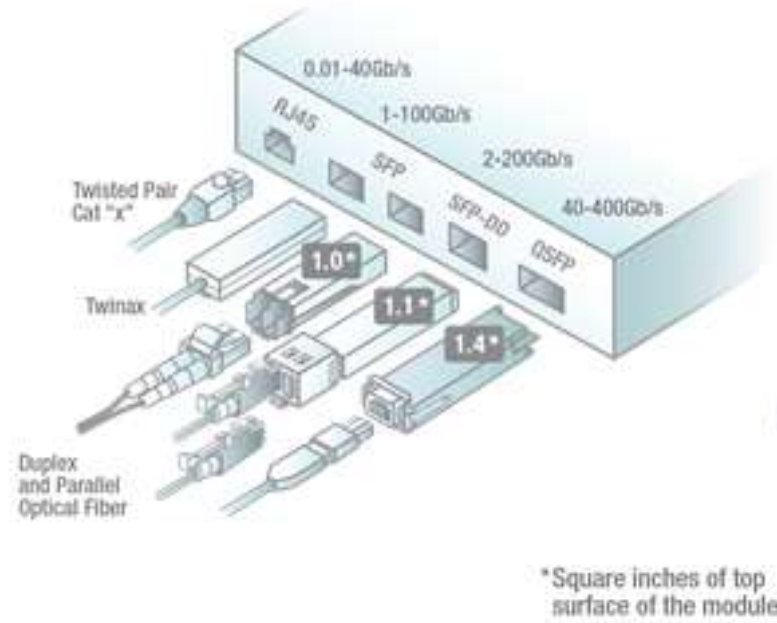


## InfiniBand Roadmap

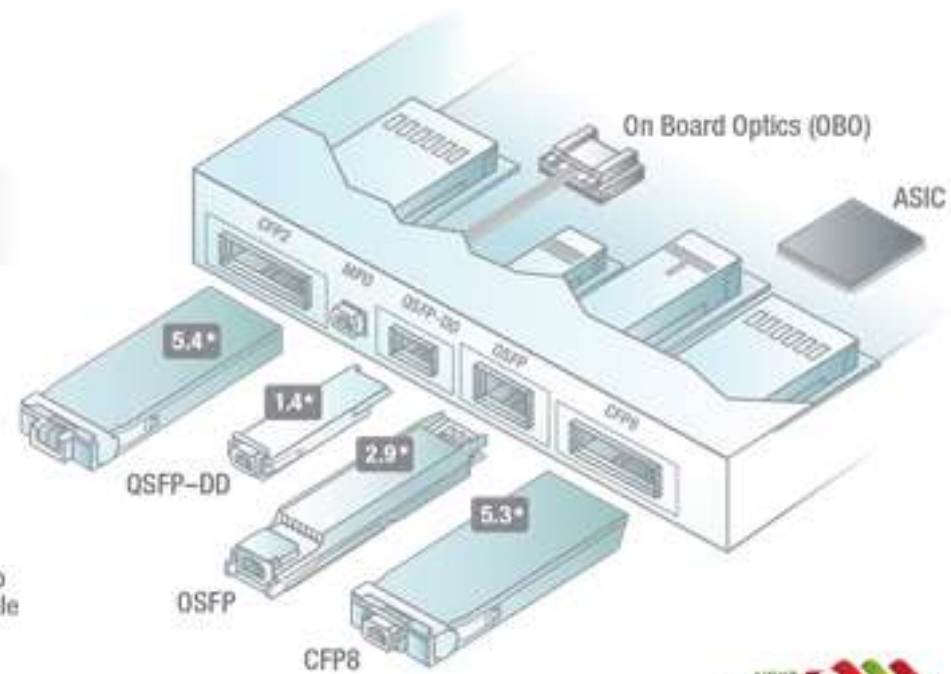


## FORM FACTORS

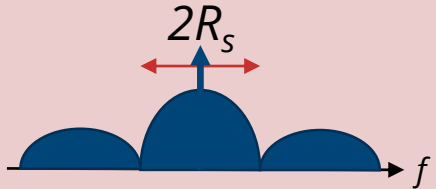
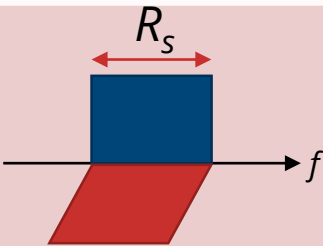
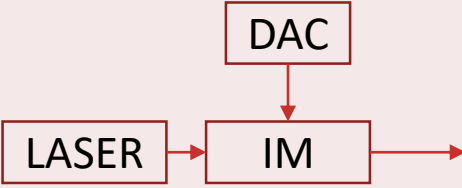
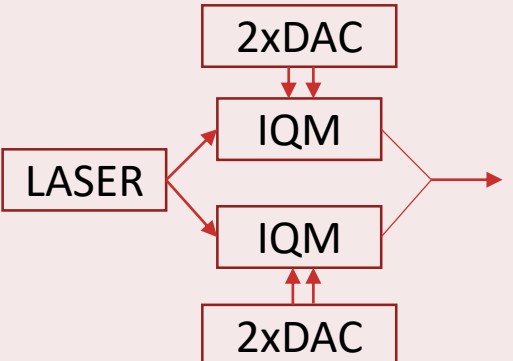

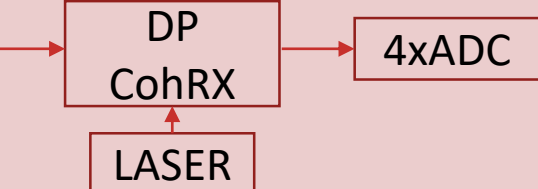
### 1-4 Lane Interfaces



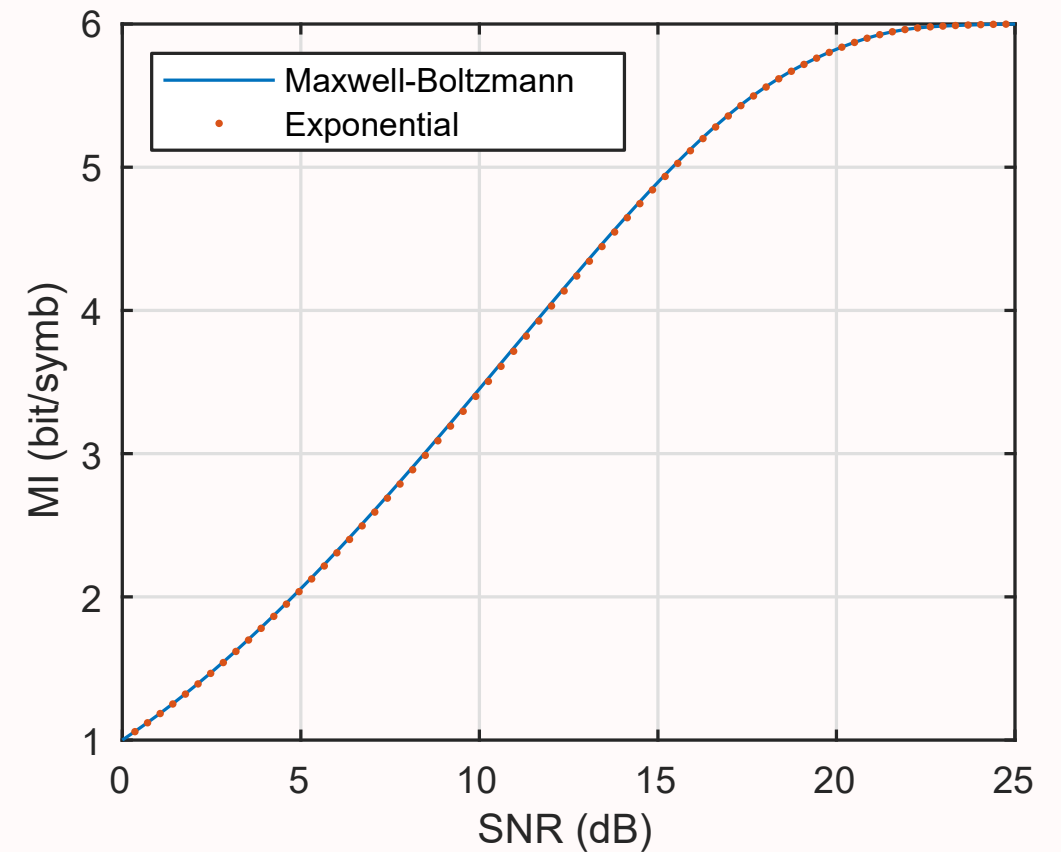
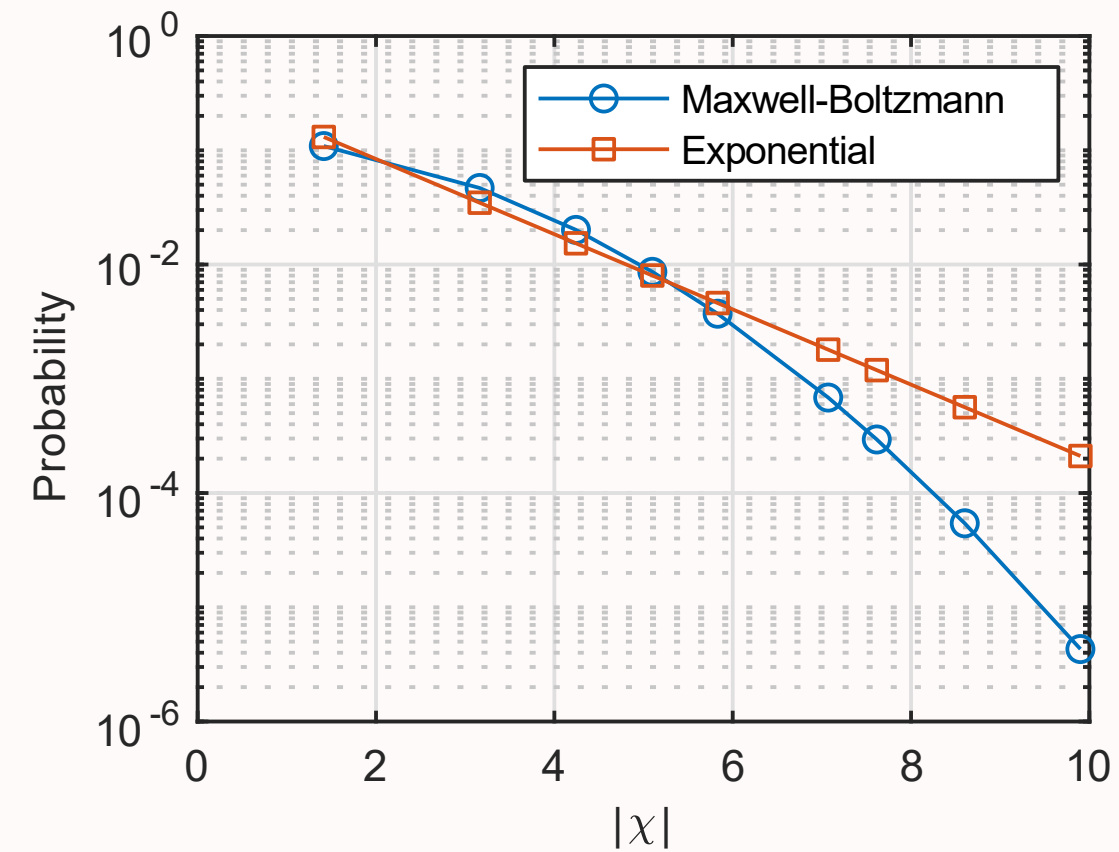
### 4-16 Lane Interfaces



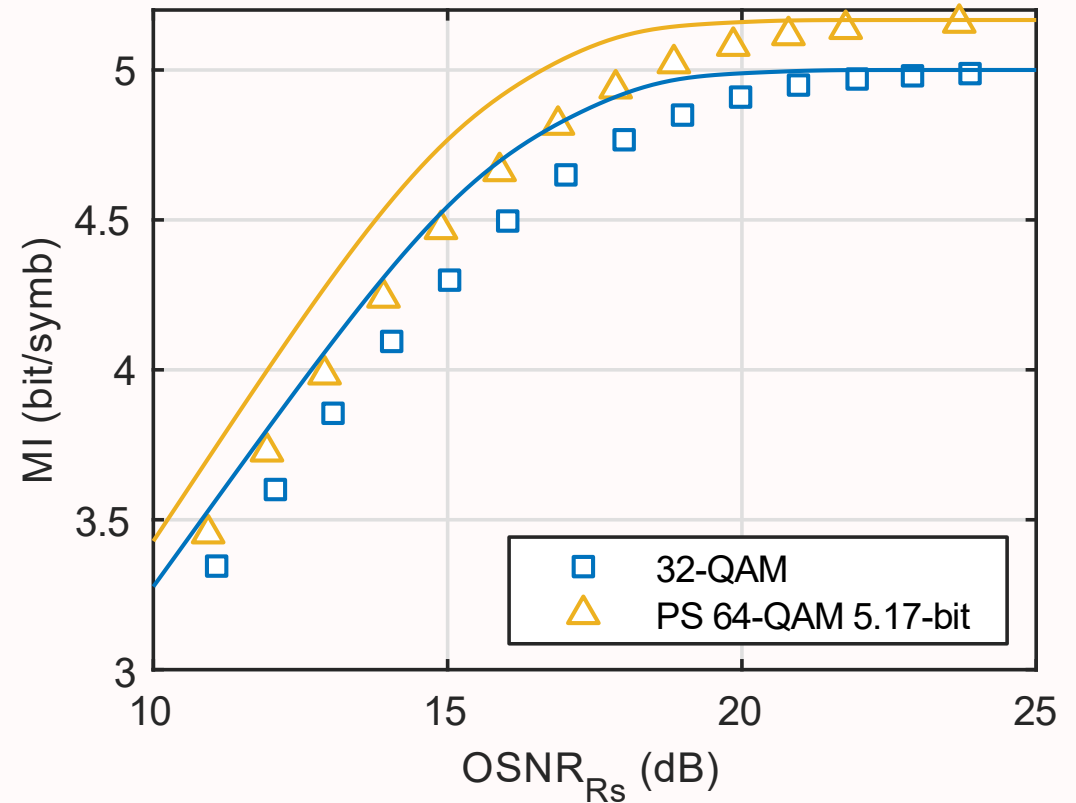
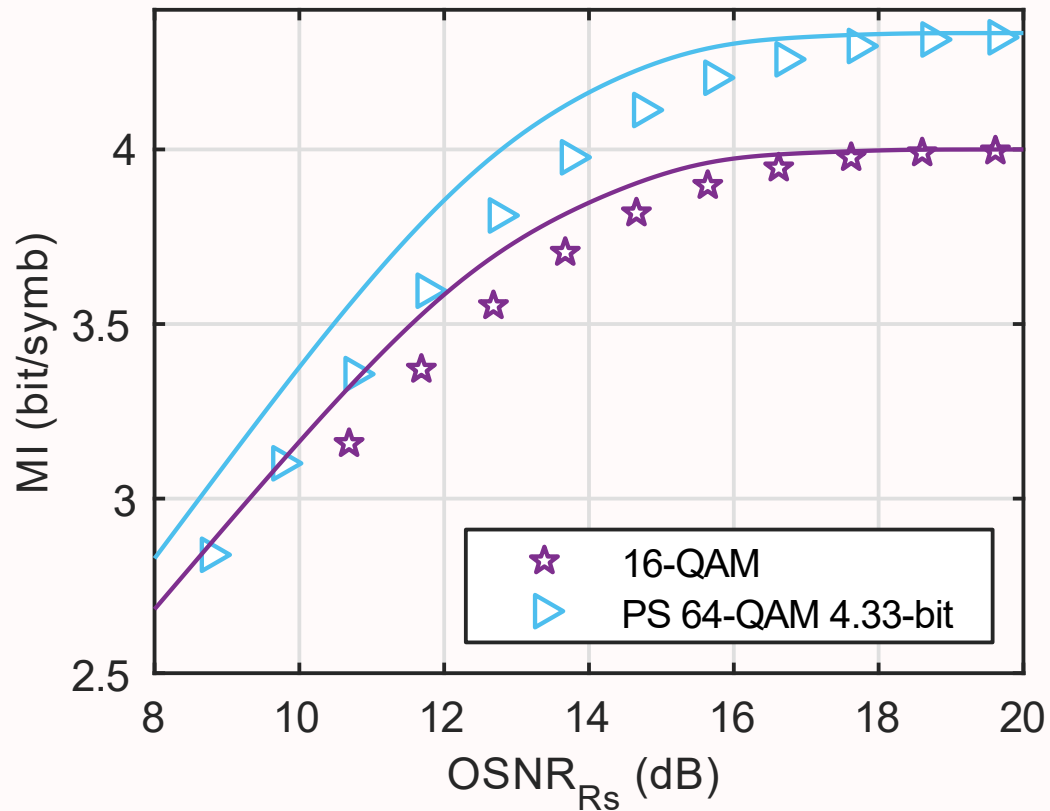
# COHERENT OR DIRECT DETECTION?

	PAM-4 (direct detection)	16-QAM (coherent detection)
<i>Spectral efficiency</i>	 <p>Diagram showing three overlapping pulses on a frequency axis <math>f</math>. The total width of the pulses is labeled <math>2R_s</math>.</p>	 <p>Diagram showing a single rectangular pulse on a frequency axis <math>f</math>. The width of the pulse is labeled <math>R_s</math>. A red shaded area is shown below the pulse, indicating a more compact spectrum.</p>
<i>TX architecture</i>	 <p>Block diagram showing a LASER connected to an IM (Intensity Modulator), which is connected to a DAC (Digital-to-Analog Converter).</p>	 <p>Block diagram showing a LASER connected to two IQM (IQ Modulators). The top IQM is connected to a 2xDAC (2x Digital-to-Analog Converter). The bottom IQM is connected to another 2xDAC. The outputs of the two IQMs are combined.</p>
<i>RX architecture</i>	 <p>Block diagram showing a PD (Photodetector) connected to an ADC (Analog-to-Digital Converter).</p>	 <p>Block diagram showing a DP CohRX (Differential Coherent Receiver) connected to a 4xADC (4x Analog-to-Digital Converter). A LASER is connected to the DP CohRX.</p>
<i>Dispersion compensation</i>	Optical	Electrical

# PERFORMANCE COMPARISON: EXP VS MB



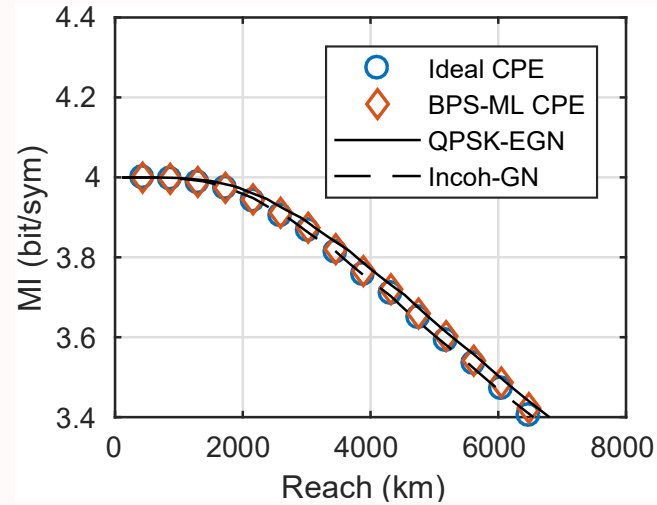
# BACK-TO-BACK RESULTS



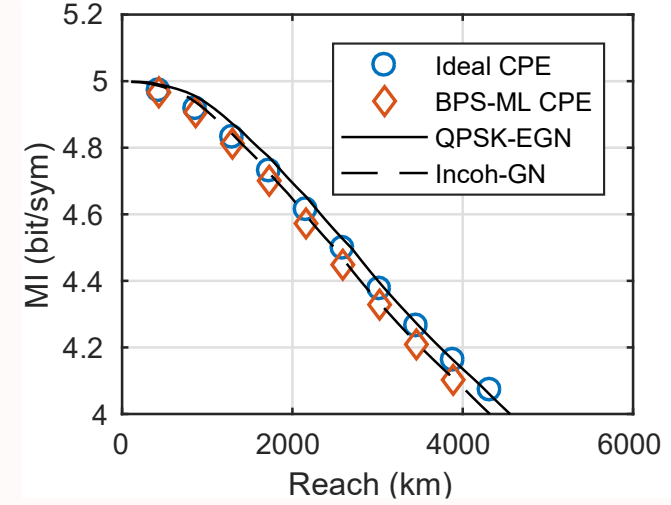
- Penalty is ~0.9 dB for standard QAM and ~1.05 dB for PS 64QAM

# COMPARISON WITH NLI MODELS

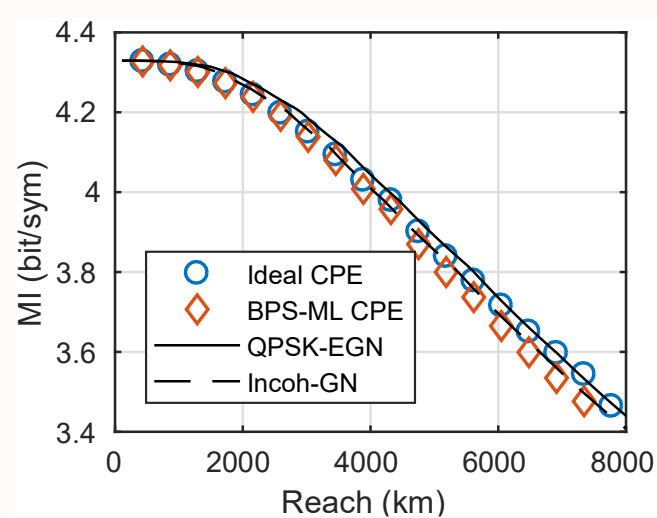
## 16-QAM



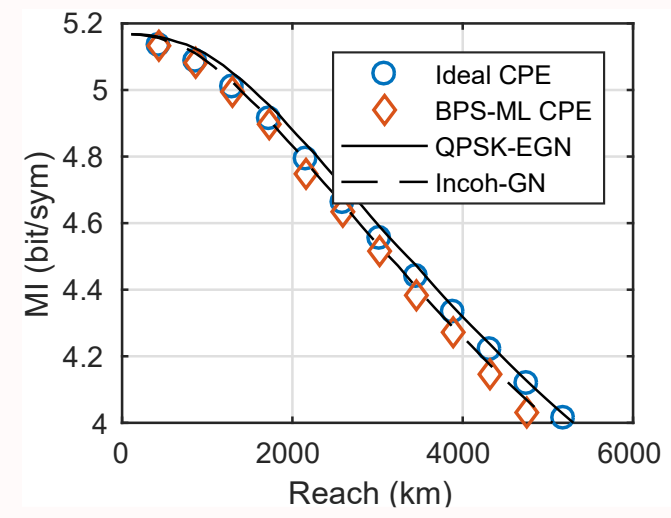
## 32-QAM



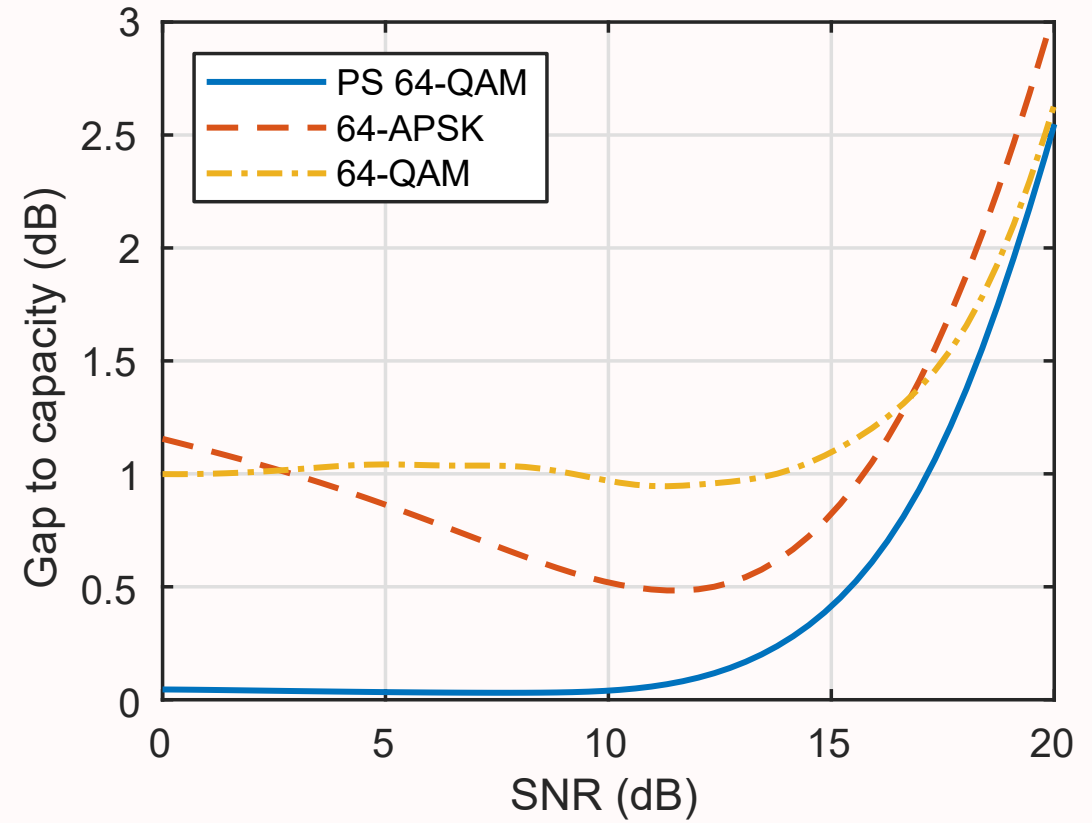
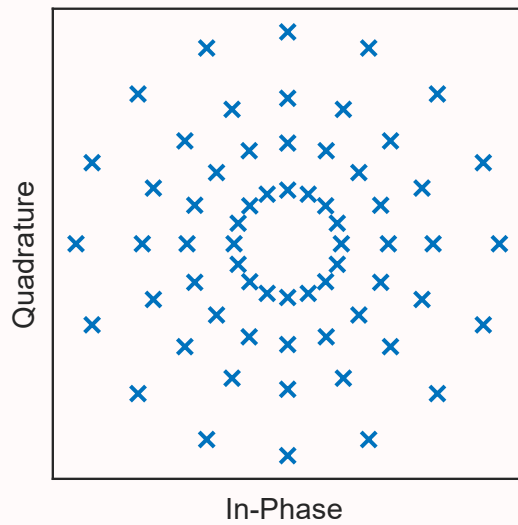
## PS-64-QAM 4.33-bit



## PS-64-QAM 5.17-bit



# 64-APSK CONSTELLATION



# CHOICE OF SYMBOL RATE

- To carry out a fair comparison we kept *fixed*:
  - Total optical bandwidth
  - Relative channel spacing
  - Total bit rate is also constant
- Same laser phase noise: **2.5 kHz / GBaud**

- The reference single-channel case is:
  - $R_s=32\text{GBaud}$ ,  $\Delta f=50\text{GHz}$ ,  
 $N_{\text{ch}}=15$  channels,  $\rho=15\%$
- We reduced symbol rate to 16, 8 and 4 GBaud

