

Effects of width errors of discrete levels on optical performance of binary diffractive lens

AUTHOR ONE,¹ AUTHOR TWO,^{2,*} AND AUTHOR THREE^{2,3}

¹Peer Review, Publications Department, The Optical Society, 2010 Massachusetts Avenue NW, Washington, DC 20036, USA

²Publications Department, The Optical Society, 2010 Massachusetts Avenue NW, Washington, DC 20036, USA

³Currently with the Department of Electronic Journals, The Optical Society, 2010 Massachusetts Avenue NW, Washington, DC 20036, USA

*xyz@osa.org

Abstract: The effects of width errors of discrete levels during thin-film deposition on the optical performance of a binary diffractive germanium lens are investigated using the nonsequential mode and four discrete levels in the optical design code ZEMAX. The thin-film deposition errors considered are all metallic mask fabrication errors. The peak value of the point spread function is used as the criterion to show the effects of the width errors of the four discrete levels on the optical performance of the binary germanium lens.

© 2020 Optical Society of America under the terms of the [OSA Open Access Publishing Agreement](#)

1. Introduction

Refractive and diffractive lenses are often combined into a hybrid lens to enhance optical resolution and reduce aberrations [1]. Diffractive lenses are primarily gratings with variable groove spacings across the optical surface, which cause changes in the phases of wavefronts passing through them [2].

A diffractive optical element (DOE) with a continuous surface profile is often referred to as a kinoform, and the ideal theoretical profile of the diffractive surface can be discretely approximated (the sag is approximated in discrete steps) in a manner similar to the digital representation of an analog function [3]. This discrete representation is called a multilevel or binary profile [4]. The design techniques used in binary optics were initially developed by integrated circuit manufacturers by using computer-aided design software [4].

Diffractive surfaces in most optical design codes, such as Oslo [5] and ZEMAX [2], are closer approximations to kinoforms than true binary optics since the phases are continuous everywhere; hence, the optical performance evaluations of such elements are often considered for continuous phase profile cases [6].

Swanson [3] used the Optical Research Associates (ORA) Code V lens design software [7] to develop a technique for designing DOEs. This was possible because the code used direct ray tracing with a subcode for the holographic optical elements, which allows partial simulation of the binary elements. The finite-difference time-domain method has also been used to simulate subwavelength diffractive lenses [8, 9]. Some optical designers prefer using ZEMAX to design the binary diffractive lens. However, ZEMAX does not allow the direct modeling of wavelength-scale grooves; instead, it uses the phase advance or delay represented by the local surface to change the direction of propagation of the ray [2].

The fabrication of single-level and multilevel diffractive lenses involves the generation of a set of masks that are used to transfer patterns to a substrate sequentially with photoresist deposition, exposure, and development, as well as an etching procedure, such as reactive-ion etching [10], or thin-film deposition [11, 12]. For example, K masks are needed for a lens with 2^K phase levels [3]. The development of these masks (photoresist [11] or metallic [12]) is generally not error-free; such errors are known as mask fabrication errors and cause significant deformations in the resulting binary diffractive lens surface and corresponding deterioration of

Commented [A1]: Thank you for choosing our manuscript formatting service. I have checked your manuscript for adherence to the formatting requirements of **Journal of the Optical Society of America A** and made changes to follow the target journal style where required. I have included comments to flag missing information and/or highlight changes that would require your input. Please address these before submitting your manuscript to the journal.

Commented [A2]: Formatting: This is from the template file. Please include the author names, affiliations, and corresponding author contact information in the format shown here.

Commented [A3]: Formatting: The current abstract is within the 100 words length limit suggested by the journal template.

lens performance. Therefore, analysis of the effects of these errors on the DOE performances and determination of acceptable fabrication tolerances for each design are important.

Choi et al. used geometrical and Fourier optics theory to simulate the decrease in the modulation transfer function due to DOE fabrication errors [1]; Glytsis et al. [10] used the boundary-element method as the basic modeling tool to analyze diffractive lenses with fabrication errors. The effects of fabrication errors on the predicted performances of surface-relief phase gratings were analyzed by Pomet et al. using a rigorous vector diffraction technique [13]. Jabbour used the generalized projection method to study the effects of experimental errors on DOE performance [14].

Alshami et al. [12] used metallic masks to develop a binary diffractive germanium lens by thin-film deposition. The present study shows the effects of width errors of discrete levels due to metallic mask fabrication errors on the optical performance of a four-level binary surface of a diffractive germanium lens designed using the nonsequential mode in ZEMAX. In the following sections, the design of the four-level surface of a binary diffractive germanium lens [12] is presented first, and the effects of the width errors of discrete levels due to mask fabrication on the optical performance are described thereafter using the peak value of the point spread function (PSF) as a criterion.

2. Design of Four-Steplevel Binary Surface in ZEMAX

The design of a four-level surface of a binary diffractive germanium lens [12] by using the nonsequential mode in ZEMAX is presented in the following subsections.

2.1 Refractive Lens

Table 1 lists the optical design specifications of the refractive germanium (planoconvex) lens illustrated in Fig. 1 for a wavelength band of 8–12 μm, an effective focal length of 75 mm with a 9.09° field of view, and a diameter of 33 mm.

Table 1. Specifications of the Refractive Lens (mm).

Surface	Type	Radius	Thickness	Glass	Diameter
OBJ	Standard	Infinity	Infinity		0.000
STO	Standard	225.371	5.000	Germanium	33.097
2	Standard	Infinity	72.849		32.787
IMA	Standard	Infinity			13.435

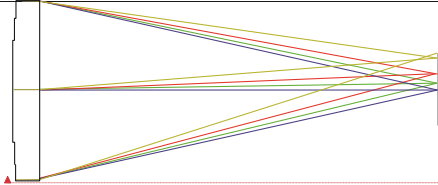


Fig. 1. Layout of the refractive lens.

2.2 Diffractive Lens

Table 2 lists the optical design specifications of the diffractive germanium lens with the same specifications as the refractive lens, with the plane surface chosen as the Binary 2 surface (1), as shown in Fig. 2.

$$\phi = -0.65554\rho^2 + 8.97589\rho^4. \tag{1}$$

Table 2. Specifications of the Diffractive Lens (mm).

Formatted: Complex Script Font: Times New Roman

Formatted: Complex Script Font: Times New Roman

Formatted: Font: (Default) Times New Roman, Complex Script Font: Times New Roman

Formatted: Font: (Default) Times New Roman, 8 pt, Complex Script Font: Times New Roman, 10 pt

Commented [A4]: Formatting: Please include a footnote for this table as well. Please note that Tables 2 and 3 were originally created as a single table. I have split these into two, since each table needs to stand independently. This was also the case with Tables 4 and 5.

Surface	Type	Radius	Thickness	Glass	Diameter	Coeff. on ρ^2	Coeff. on ρ^4
OBJ	Standard	Infinity	Infinity		0.000		
STO	Standard	225.371	5.000	Germanium	33.097		
2	Binary 2	Infinity	73.339		32.787	-0.65554	8.97588
IMA	Standard	Infinity			13.323		

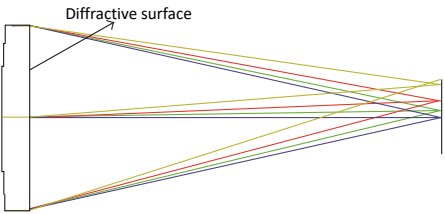


Fig.ure 2. Layout of the diffractive lens.

2.3 Switching from Kinoform to Binary Surface

In the optical design of the considered-proposed lens [12], the diffractive surface contained one diffractive zone, and the ideal diffractive phase profile to be approximated in a binary fashion manner (4-four steps or 4-phase levels) is given by (1). The diameters of the each discrete phase levels or binary steps (equivalent to phase values $\pi/2$, π , $3\pi/2$, and 2π) and the sag-s thicknesses equivalent to the each-phase values are provided-shown in Table 3 and Fig.ure 3 [12].

Table 3. Diameters and Thickness of each Binary Zone

Binary zone-s number	Equivalent phase value Equivalent sag-s thickness (radian)	Radius of each binary zone		Diameter of each binary zone	
		(mm)		(mm)	(μm)
1	$\pi/2$	11.148		22.295	0.833
2	π	13.089		26.177	1.667
3	$3\pi/2$	14.404		28.807	2.498
4	2π	15.426		30.851	3.333

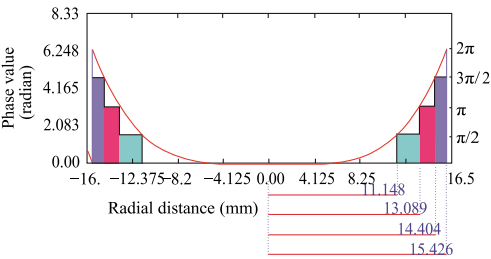


Fig.ure 3. Phase curve versus aperture of the diffractive surface sliced-into 2π layers and the discrete phase levels.

2.4 Design of Four-Steplevel Binary Surface of a binary Diffractive Germanium Lens

Formatted: Complex Script Font: Times New Roman

Formatted: Font: (Default) Cambria Math, Complex Script Font: Cambria Math

Formatted: Complex Script Font: Times New Roman

Formatted: Font: (Default) Cambria Math, Complex Script Font: Cambria Math

Formatted: Complex Script Font: Times New Roman

Formatted: Font: (Default) Cambria Math, Complex Script Font: Cambria Math

Formatted: Complex Script Font: Times New Roman

Formatted: Font: (Default) Cambria Math, Complex Script Font: Cambria Math

Formatted: Complex Script Font: Times New Roman

The design of the four-layer surface of the binary diffractive germanium lens by using the nonsequential mode in ZEMAX is presented in Tables 4 and 5. The object *cylinder volume*, which is a rotationally symmetric volume, was used to design each step of the germanium material, wherein the diameters of the front and rear faces of each cylinder are the same as their equivalent binary steps, and the length along the local z-axis of each cylinder is the thickness of the equivalent binary step, as shown in Fig. 4. For optical design in the nonsequential mode, we define the *x*, *y*, and *z* positions of each object.

Table 4. Optical Design of the Binary Germanium Lens in Nonsequential Mode.

Surface	Type	Radius	Thickness	Glass	Diameter	Exit lock Z
OBJ	Standard	Infinity	Infinity		Infinity	
STO	Standard	225.371	5.000	Germanium	33.097	
2	Standard	Infinity	0.000		32.787	
3	Nonsequential	Infinity			32.787	73.368
IMA	Standard	Infinity			13.342	

Table 5. Data in the Nonsequential Component Editor

Object number	Object 1	Object 2	Object 3	Object 4	Object 5	Object 6
Object type	Standard lens	Cylinder volume	Standard lens	Cylinder volume	Standard lens	Cylinder volume
Z position (mm)	0.000	0.000	0.000833	0.000833	0.001667	0.001667
Material	Germanium		Germanium		Germanium	
Front R (mm)	0.000	11.148	0.000	13.089	0.000	14.404
Z length (mm)	0.000	0.000833	0.000	0.000833	0.000	0.000833
Back R (mm)	16.500	11.148	16.500	13.089	16.500	14.404
Edge 1 (mm)	16.500	Not used	16.500	not used	16.500	Not used
Thickness (mm)	0.000833	Not used	0.000833	not used	0.000833	Not used
Clear 2 (mm)	16.500	Not used	16.500	not used	16.500	Not used
Edge 2 (mm)	16.500	Not used	16.500	not used	16.500	Not used

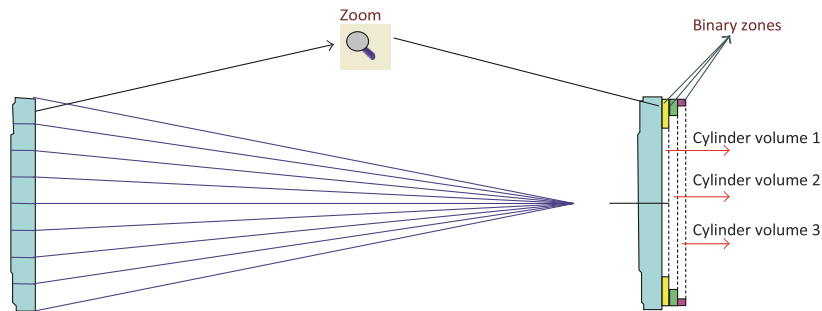


Figure 4: The binary diffractive lens with discrete phase levels.

Fig. 5 shows the differences in the fast Fourier transform (FFT) PSF cross-sectional curves among the refractive, diffractive, and designed four-level binary germanium lens.

Formatted: Font: Times New Roman, 10 pt

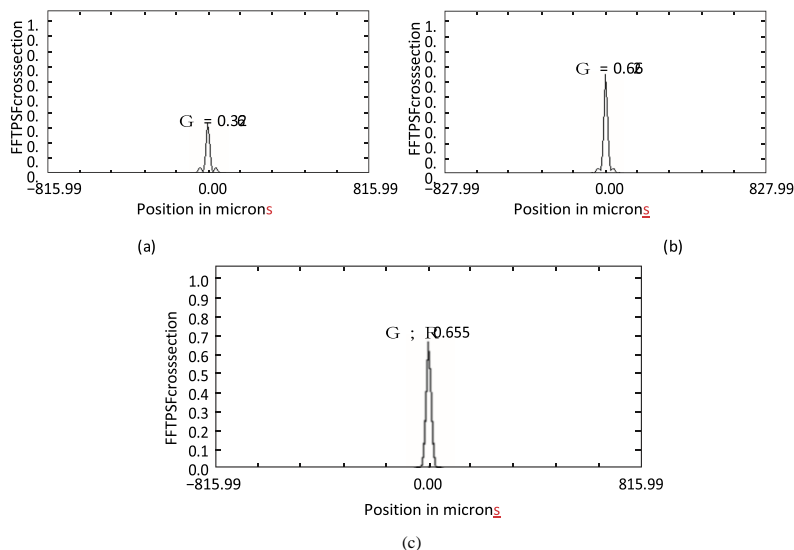


Figure 5: FFT PSF cross sections of (a) refractive lens, (b) diffractive lens, and (c) designed binary lenses.

3. Effects of width errors of discrete levels Width Error on performance of DOE the Diffractive Optical Element Performance

Imprecisions in the metallic mask fabrication process can cause the widths of the discrete levels to differ from their theoretical target values; consequently, this can have adverse effects on the optical performance. To understand how this effect degrades performance and to obtain the tolerances for fabrication errors, we studied the changes in the peak values of the PSFs of the designed lens as functions of the discrete levels or zone width variations. The variable Δw was

Formatted: Complex Script Font: Times New Roman

Formatted: Complex Script Font: Times New Roman

Formatted: Complex Script Font: Times New Roman

introduced to specify the differences between the final and intended positions of the boundaries for each binary zone (an expected error is obtained for the width of each binary zone owing to the metallic mask fabrication accuracy of 0.1 mm of the laser machine), as shown in Fig. 6 [12]; the width of each binary zone was then changed by $2\Delta w$ ($2\Delta w = 0.2$ mm). Δw can be either positive or negative, corresponding to wider or narrower zones, respectively. In this study, it was assumed that Δw was equal for all zones and independent of their widths.

Formatted: Complex Script Font: Times New Roman

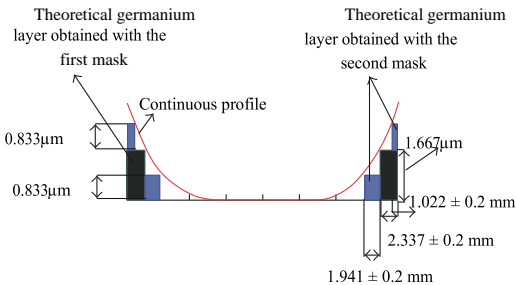


Fig. 6. Germanium layers (binary zones) and the expected errors in their widths.

4. Results and Discussion

Table 6 and Fig. 7 show the variations in peak values of the PSFs as functions of $2\Delta w$. The observed changes in $2\Delta w$ were limited to 200 μm ($\Delta w = 100$ μm , i.e., metallic mask fabrication error of the laser machine). A change of 200 μm for $2\Delta w$ has the effect of lowering the PSF peak value (Table 6) by 5%, thus lowering the diffraction efficiency by 5% [15].

Fig. 8 shows the FFT PSF cross section of the proposed lens for the extreme error values and without any errors. It can be seen from the figure that for the proposed binary diffractive lens, the axial resolution increases with increasing zone widths, but this results in decreasing PSF peak values. The metallic mask can be replaced with masks of similar dimensions that are produced using three-dimensional printers (rapid prototype) with an accuracy of 35 μm such that the width errors of the discrete levels change from -70 μm to 70 μm , which cause lowering in PSF peak value less than 2% then lowering in diffraction efficiency less than 2%; in this case, within the 70 μm change in $2\Delta w$, the performance of the considered lens is still acceptable.

Commented [A5]: The original sentence is somewhat lengthy and cannot be split without repetition, so I have tried to retain it as is; please check that your intended meaning is retained

Commented [A6]: I am not certain of your intended meaning here. Please clarify what you wish to convey so that I can provide suitable revisions.

Table 6. Peak values of the PSFs as a function of $2\Delta w$.

$2\Delta w$ (μm)	-200	-150	-100	-50	0.00	50	100	150	200
Peak value of PSF	0.667	0.6684	0.6681	0.662	0.655	0.648	0.642	0.634	0.626

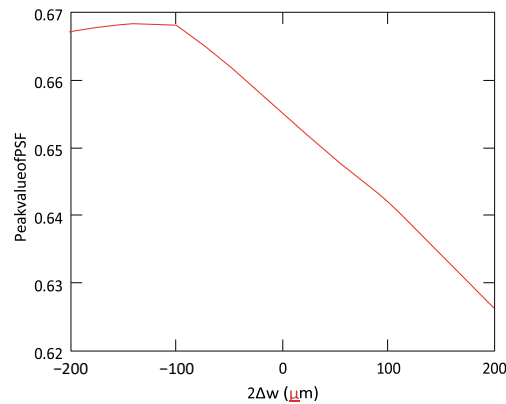


Fig. 7: Peak value of PSF as a function of variation in zone width error.

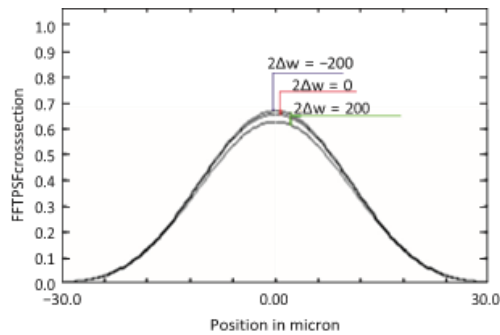


Fig. 8: FFT PSF cross section.

5. Conclusion

The effects of width errors of discrete levels fabricated by thin-film deposition on the optical performance of a four-level binary diffractive germanium lens were analyzed using the nonsequential mode in the optical design code ZEMAX. The primary errors in the thin-film deposition technique considered in this study were metallic mask fabrication errors. The peak values of the PSFs of the metallic mask fabrication errors (laser machine accuracy of $100\text{ }\mu\text{m}$) were found to have considerable effects on the performance of the designed four-level binary germanium lens. To reduce such effects, it may be preferable to use masks fabricated by alternative techniques, such as 3D printing, which allow better accuracy ($\sim 35\text{ }\mu\text{m}$).

Competing interests. The authors declare that they have no competing interests.

Acknowledgments. This work was fully supported by the Higher Institute for Applied Sciences and Technology (HIAST).

References

Formatted: Complex Script Font: Times New Roman

Commented [A7]: Formatting: I have formatted the references as per the guidelines of the target journal.

1. H. Choi, W.-C. Kim, S.-H. Lee, N.-C. Park, and U. Y.-P. Park, "Effects of fabrication errors in the diffractive optical element on the modulation transfer function of a hybrid lens," *Journal of the Optical Society of America A: Optics and Image Science, and Vision*, vol. 25, (no. 11), pp. 2764–2766, (2008).
2. Zemax Product, <http://www.zemax.com>.
3. G. J. Swanson, *Binary Optics Technology*, (Massachusetts Institute of Technology, Cambridge, Mass, USA, 1989), 1989.
4. A. D. Kathman and S. K. Pitalo, "Binary optics in lens design," in *International Lens Design Conference*, (1990), Vol. 1354 of *Proceedings of SPIE*, 1990.
5. Lambda Research Corporation, *OSLO*, version 6.2, (2001).
6. N.-H. Kim and R. Zemax, "How Diffractive Surfaces Are Modeled in Zemax," (September 2005).
7. Code, "V reference manual", CODE V, version 7.10, Optical Research Associates, (March 1987).
8. T. Shirakawa, K. L. Ishikawa, S. Suzuki, Y. Yamada, and H. Takahashi, "Design of binary diffractive microlenses with subwavelength structures using the genetic algorithm," *Optics Express*, vol. 18, (no. 8), pp. 8388–8391, (2010).
9. V. Raulot, B. Serio, P. Gerard, P. Twardowski, and P. Meyrueis, "Modeling of a diffractive micro-lens by an effective medium method," in *Micro-Optics 2010*, 77162J, vol. 7716, of *Proceedings of SPIE*, May 712–718 (2010).
10. E. N. Glytsis, M. E. Harrigan, T. K. Gaylord, and K. Hirayama, "Effects of fabrication errors on the performance of cylindrical diffractive lenses: rigorous boundary-element method and scalar approximation," *Applied Optics*, vol. 37, (no. 28), pp. 6591–6602, (1998).
11. J. Jahns and S. J. Walker, "Two-dimensional array of diffractive microlenses fabricated by thin film deposition," *Applied Optics*, vol. 29, (no. 7), pp. 931–936, (1990).
12. M. Alshami, A. Wabby, and M. F. Mousselly, "Design and development of binary diffractive germanium lens by thin film deposition," *Journal of the European Optical Society: Rapid Publ.*, vol. 10, Article ID 15055, (2015).
13. D. A. Pommert, E. B. Grann, and M. G. Moharam, "Effects of process errors on the diffraction characteristics of binary dielectric gratings," *Applied Optics*, (University of Central Florida, 1995), 2009, vol. 34, (no. 14), pp. 2430–2435, 1995, [14] T. G. Jabbour, *Design, Analysis, and Optimization of Diffractive Optical Elements under High Numerical Aperture Focusing*, University of Central Florida, 2009.
14. G. J. Swanson and W. B. Veldkamp, "Diffractive optical elements for use in infrared systems," *Optical Engineering*, vol. 28, (no. 6), pp. 605–608, (1989).

Formatted: Font: Not Italic, Complex Script Font: +Body CS (Arial), Italic

Formatted: Font: Bold, Complex Script Font: +Body CS (Arial), Bold

Source: Effect of Discrete Levels Width Error on the Optical Performance of the Diffractive Binary Lens by Manal Alshami, Mohamed Fawaz Mousselly, and Anas Wabby used under CC-BY