General Disclaimer

One or more of the Following Statements may affect this Document

- This document has been reproduced from the best copy furnished by the organizational source. It is being released in the interest of making available as much information as possible.

- This document may contain data, which exceeds the sheet parameters. It was furnished in this condition by the organizational source and is the best copy available.

- This document may contain tone-on-tone or color graphs, charts and/or pictures, which have been reproduced in black and white.

- This document is paginated as submitted by the original source.

- Portions of this document are not fully legible due to the historical nature of some of the material. However, it is the best reproduction available from the original submission.
INFRARED UPCONVERSION FOR ASTRONOMICAL APPLICATIONS

M. M. ABBAS
T. KOSTIUK
K. W. OGILVIE

OCTOBER 1975

(GSFC) GODDARD SPACE FLIGHT CENTER
GREENBELT, MARYLAND
INFRARED UPCONVERSION FOR ASTRONOMICAL APPLICATIONS

M.M. Abbas*
T. Kostiuk
K.W. Ogilvie
Laboratory for Extraterrestrial Physics
NASA/Goddard Space Flight Center
Greenbelt, Maryland

*NAS/NRC Senior Resident Research Associate
ABSTRACT

The performance of an upconversion system is examined for observation of astronomical sources in the low to middle infrared spectral range. Theoretical values for the performance parameters of an upconversion system for astronomical observations are evaluated in view of the conversion efficiencies, spectral resolution, field of view, minimum detectable source brightness and source flux. Experimental results of blackbody measurements and molecular absorption spectrum measurements using a lithium niobate upconverter with an argon-ion laser as the pump are presented. Estimates of the expected optimum sensitivity of an upconversion device which may be built with the presently available components are given.
1. Introduction

Upconversion of infrared radiation into visible spectrum by parametric interaction in a nonlinear crystal has received a great deal of attention in recent years. The upconverted radiation may be detected with relatively high sensitivities with no requirement for any cryogenic cooling, thus making it an attractive technique for detection and imaging of remote infrared sources.

The theory of parametric interactions in a nonlinear medium is now well developed \(^1\) and a large number of experiments on various nonlinear materials covering the spectral range 1-10 µm have been reported. A summary of the published results of some upconversion experiments is provided in Table 1.

The possibility of applying the upconversion technique to astronomical observations has long been realized \(^{13,14}\). However, in practice it has received very little attention mainly due to the relatively low conversion efficiency, and therefore low sensitivity, with which upconversion so far has been possible. With the development of high power lasers and the availability of better nonlinear materials this situation now seems to be changing, and sufficiently high conversion efficiencies have been reported to make the upconversion process a useful technique for astronomy (see Table 1).

Since astronomical sources are constant during the period of observation, a C.W. system, if it has sufficient sensitivity, is advantageous. A figure of merit for an upconverter-spectrometer
is given by the product \((\text{duty cycle} \times \text{quantum efficiency})\); for broadband detection the product \((\text{duty cycle} \times \text{quantum efficiency} \times \text{bandwidth})\) is useful. Additional requirements for imaging extended sources are a reasonably large field of view and a large aperture for good spatial resolution. For astrophysical applications, tunability (with wavelengths within an atmospheric window for ground-based observations) and spectral resolution capable of identification of molecular and atomic species are important instrumental requirements. Most of the above requirements can be theoretically satisfied by upconversion using currently available components.

Astronomical observations using the upconversion technique have recently been reported when thermal radiation from the Moon, Venus and several stars was detected by Gurski et al. In this device, lithium iodate was used as the nonlinear medium and Nd:YAG laser as the pump, for observations in the \(4 \mu\text{m}\) spectral region.

The purpose of this paper is to evaluate the performance of an upconversion system for spectroscopic and imaging observations of astronomical sources in the low to middle infrared spectral region. This evaluation is based on the experimental results of a temperature-tuned lithium niobate-upconversion system with an argon-ion laser as the pump, which was built to investigate its performance in the 2.7-4.5 \(\mu\text{m}\) band. Theoretical calculations for the performance parameters of this upconversion device, such as conversion efficiencies as a function of the pump power, the spectral resolution and the field of
view over the 2.7 - 4.5 μm band are given. With an evaluation of the
system conversion efficiency of a practical device, estimates of the
sensitivity of the system are given in terms of the minimum detectable
source brightness and flux. We compare these quantities with the
source brightness and the flux radiance of a black body at various
temperatures. To evaluate the usefulness of the upconversion
technique, we compare the sensitivity of an upconversion device with
a direct detection device such as an interferometer. Finally, we
present the experimental results for a temperature tuned lithium niobate
upconverter which are based on black-body measurements and absorption
spectra of methane. An estimate of the expected optimum sensitivity
of this upconversion device which may be built with the presently
available components is given.

2. Theoretical Considerations

The discussion given in this section is limited to upconversion
devices based on parametric interactions in a nonlinear bireferingent
processes in alkali metal vapors which have been reported recently
[16] are not considered here explicitly, although this technique may turn
out to have certain valuable advantages.

In an upconversion device (Fig. 1) infrared radiation from the
source at frequency ω_{IR} is mixed in a nonlinear crystal with an
intense beam at frequency ω_{P} from a pump laser. If the nonlinear
susceptibility is sufficiently large an interaction between the
two waves occurs and results in generation of both sum (ω_{S} = ω_{P} + ω_{IR})
and difference frequency \((\omega_d = \omega_p - \omega_{ir})\) waves. One of the two frequencies can be "phase matched", that is made to interact constructively with phases matched as it propagates over the length of the crystal, which is in general many coherence lengths.

An upconversion device employs phase matching between the infrared, pump and sum frequency waves, so that the following two conditions are satisfied:

\[
\begin{align*}
\omega_s &= \omega_p + \omega_{ir} \\
\mathbf{k}_s &= \mathbf{k}_p + \mathbf{k}_{ir}
\end{align*}
\]  

where \(k's\) are the propagation vectors of the three waves. The phase matching condition for the sum frequency wave (2) may be satisfied by requiring that the change in phase over the length of the crystal \(L\) is

\[
|\Delta k| = |\mathbf{k}_s - (\mathbf{k}_p + \mathbf{k}_{ir})| \leq \pi / L
\]  

This condition limits the spectral resolution and the field of view of the upconverter and will be further examined later.

The basic theory of upconversion in a nonlinear medium has been given, following a classical approach by Armstrong et al. [1,17] and also in a quantum mechanical formulation by Louisell et al. [18]. Verification of the theory has also been provided by a number of experiments on various nonlinear materials (e.g. LiNbO₃, LiIO₃, Proustite, HgS.) covering a spectral range for upconversion from 1 - 12.5 µm (Table 1). In this section we discuss the theoretical
concepts which are relevant to an understanding of an upconversion system for application to observation of astronomical sources.

Assuming a unique polarization of the three waves such that the phase matching condition $\Delta k = 0$ is satisfied in a nonlinear crystal of length $\ell$ with an effective nonlinear coefficient $d$, a solution of Maxwell's equations leads to a simple expression for the photon conversion efficiency for the infrared photons $N_{ir}$ \cite{1}

$$\eta_q = \frac{N_{ir}(\ell)}{N_{ir}(0)} = \text{Sin}^2 (\beta \ell)$$ \hspace{1cm} (4)

and a corresponding power conversion equation

$$\eta_{uc} = \frac{P_{ir}(\ell)}{P_{ir}(0)} = \frac{w_{s}}{w_{ir}} \text{Sin}^2 (\beta \ell)$$ \hspace{1cm} (5)

with

$$\beta = \frac{1}{2} \left( \frac{w_{ir} w_{s}}{n_{ir} n_{s}} \right)^{1/2} d E_p$$ \hspace{1cm} (6)

$$= \left( \frac{w_{ir} w_{s} Z_o^2 d^2}{2 n_{ir} n_{p} n_{s}} \frac{P_p}{A} \right)^{1/2}$$ \hspace{1cm} (7)

where the $n$'s are refraction indices of the crystal for the three waves, $Z_o = (\mu_o / e_o)^{1/2}$ and $P_p/A$ is the pump power density in the crystal. For small values of conversion efficiency $\beta \ell \ll 1$,

$$\eta_q = \left( \frac{w_{ir} w_{s} Z_o^3}{2 n_{ir} n_{p} n_{s}} \right) d^2 \ell^2 \frac{P_p}{A}$$ \hspace{1cm} (8)
The conversion efficiency is thus proportional to the squares of the nonlinear coefficient and the length of the crystal, and is directly proportional to the pump power density.

The pump laser output, which usually has the form of a Gaussian beam, is focused at the center of the crystal with a beam waist \( w_0 \) to optimize the efficiency. Apart from the possibility of damage to the crystal by the high pump power density, and the field of view considerations to be discussed later, the beam waist is also limited by the requirement that pump wave remain a plane wave over the interaction region. This is satisfied by making the confocal parameter \( b \) equal to or greater than the crystal length \( L \). The beam waist is related to \( b \) by the equation, 

\[
b = \frac{2\pi w_0^2}{\lambda}
\]

(10)

where \( \lambda \) is the wavelength. For a Gaussian pump beam, the effective area of the beam, which becomes the effective area of the upconversion detector \( A_{uc} \),

\[
A_{uc} = \frac{\pi w_0^2}{2}
\]

(11)

The choice of the nonlinear material is governed mainly by three considerations. The first is the spectral range, which is determined by the transparency of the crystal for the infrared, the pump laser and the sum frequency waves. The second is the efficiency of up-conversion, which as seen from Eq. 8, is a maximum for the highest-value
of nonlinear coefficient and the greatest length of the crystal. Useful crystal length, however, is limited in the case of angle phase matching by the divergence of the upconverted beam from the pump beam [20].

The third consideration is the spectral bandwidth and field of view of the upconversion device which are dependent upon the phase matching method employed in the material.

The phase matching condition (3) in an upconversion device employing a nonlinear medium is satisfied by using the birefringence characteristics of the medium. Upconversion devices employing optical waveguides which do not require a birefringent material to satisfy the phase matching condition are not considered in this paper.

In a birefringent material, waves may propagate as ordinary and extraordinary rays, which correspond to two different polarizations of the electric field vector with respect to the optic axis. The refractive indices (or propagation constants) of the two types of waves show different variations with the temperature of the crystal and the angle of propagation with respect to the optic axis. The range of frequencies and directions over which the phase matching condition \( \Delta k \leq \pi / \lambda \) remains approximately satisfied determine the spectral resolution and the field of view of the upconversion device.

There are two general techniques used to achieve phase matching (see for example Ref. 20). In the first, called temperature phase matching, the propagation direction is usually chosen to be normal to the optic axis of the crystal. The difference between the
refractive indices for the two polarizations transmitted by the crystal is a maximum for propagation in this direction, and the magnitude of the indices vary with crystal temperature. Condition (3) can then be satisfied for a given combination of \( \omega_p \) and \( \omega_{IR} \) by varying the temperature of the crystal. The second, called angle phase matching, uses the variation of refractive indices with the angle between the direction of propagation and the optic axis at a fixed crystal temperature to satisfy (3). The dispersion of the crystal is responsible for the bandwidth which is upconverted, and this can be substantially increased, for a given \( \omega_p \) and \( \omega_{IR} \), if \( \frac{\Delta k_p}{\Delta \omega} - \frac{\Delta k_{IR}}{\Delta \omega} = 0 \), since the bandwidth

\[
\omega = \frac{n}{2\ell \left( \frac{\Delta k_p}{\Delta \omega} - \frac{\Delta k_{IR}}{\Delta \omega} \right)}
\]  

(12)

The field of view, \( \alpha \frac{1}{\ell} \) and small for collinear propagation, can be increased by using non-critical phase matching, where the pump and IR propagation directions are not collinear. These techniques of varying the bandwidth and field of view are sometimes useful, but for astronomical applications the small field and spectral sensitivity can be exploited. Thus, either basic phase matching method can be used to produce a tunable, narrow band, high sensitivity detector such as our experimental example described below. With non-critical phase matching, when a wide spectral bandwidth is upconverted simultaneously, the upconverter signal can be dispersed giving better spectral resolution. 


An upconversion device based on temperature tuned LiNbO$_3$ crystal appears particularly useful because of its relatively high nonlinear coefficient, long crystal lengths $\sim 5$ cm and its ability to withstand high power densities. A temperature tuned experimental device using LiNbO$_3$ and an argon ion laser has been built by Smith and Mahr$^{14}$ and is also the basis of the present experiment which is described in section 4. Some expected performance characteristics of this upconverter are presented here to evaluate its usefulness for astronomical observations.

The power upconversion efficiency for a LiNbO$_3$ crystal of 5 cm length as a function of the pump power is shown in Fig. 2, assuming a pump beam waist $w_0 = 100$ $\mu$m. The expected system power conversion efficiency, which includes various factors leading to a degradation in the sensitivity of the system discussed in section 3, is also shown. Power conversion efficiencies $\sim 0.1$ may be achieved with $P_p \sim 10W$ and $> 1$ for $P_p \sim 100W$.

The spectral resolution $\Delta \lambda / \lambda$, the acceptance angle of the upconverter $\theta_{uc}$ and the corresponding solid angle $\Omega_{uc}$ were calculated (Eq. 12 and Ref. 20) and are shown in Figs. 3 and 4 as a function of the wavelength for $w_0 = 100$ $\mu$m. The optimum spectral resolution, $\Delta \lambda / \lambda$ of such a system is seen to be $\sim 4 \times 10^{-6}$. The resultant $A\Omega$ is of the order of the diffraction limited value $A\Omega = \lambda^2$. The temperature tuned LiNbO$_3$ upconverter is thus a relatively high spectral resolution and a high spatial resolution device.
The data presented in Figs 3 - 4 assume a pump beam waist \( w_o \sim 100 \, \mu m \). For astronomical observations, the solid angle \( \Omega_T \) corresponding to the field of view (FOV) of the telescope is limited by the requirement \( A_T \Omega_T = A_{uc} \Omega_{uc} \). For a given crystal length, lower values of \( w_o \) increase the conversion efficiency (Eqs. 9,11) but decrease the \( A\Omega \) product of the upconverter which determines the effective field of view of the telescope. The effect of varying the beam waist \( w_o \) on the FOV of a telescope with \( 1m^2 \) area is shown in Fig. 5. The variation of conversion efficiency with \( w_o \) for various pump powers is also shown on the same figure. High spatial resolution with high conversion efficiency is obtained for the lower values of the beam waist, while larger FOV with lower conversion efficiency is obtained for higher values of the beam waist.

3. Sensitivity of an Infrared Upconverter

It has long been apparent that an upconverter is inherently a low noise device and could be very suitable for the detection of weak signals such as those from astronomical sources\(^{13}\). Theoretically, assuming high conversion efficiency, the sensitivity of an upconverter is limited only by the phototube dark current shot noise, and the minimum detectable power for one second of integration time approaches the NEP of the phototube. When the quantum conversion efficiency approaches unity, as discussed below, the minimum detectable power for one second of integration time may be smaller than the NEP of the phototube due to the power conversion gain. In the present status of upconverters,
however, the conversion efficiencies are generally still considerably less than unity, and additional sources of noise usually degrade the sensitivity significantly. In this section we estimate the sensitivity of an upconverter device for astronomical observations.

The main sources of noise at the phototube of an upconversion system is the shot noise, due to average cathode signal current $I_c$, dark current $I_d$, and a background induced current $I_b$, which includes any contribution from the un rejected radiation from the pump laser, and also any parametric noise generated in the crystal. The mean-squared amplitude of the shot noise current at the output of the photomultiplier is

$$I_N^2 = 2eG^2(I_c + I_d + I_b)\Delta \nu$$

where $G$ is the gain of the phototube and $\Delta \nu$ is the bandwidth. The meansquared modulated signal corresponding to an upconverted signal power $P_s$ at $\omega_s$ at the output of the photomultiplier is

$$I_s^2 = 2\left(\eta_{\text{cath}} \frac{eP_s G}{h\nu_s}\right)^2$$

$$= 2\left(\eta_{\text{cath}} \frac{eP_{ir} G}{h\nu_{ir}}\right)^2$$

A signal to noise ratio can be defined from (13) and (14) as

$$\frac{S^2}{N^2} = \left(\frac{\eta_{\text{cath}} \frac{eP_{ir}/h\nu_{ir}}{}}{e(I_c + I_d + I_b)\Delta \nu}\right)$$

The average cathode signal current $I_c$ may be assumed to be much
smaller than the dark current and may thus be ignored in (16). The "minimum detectable" infrared power is defined by setting (16) equal to unity giving,

\[
p_{ir}^{\text{min}} = \frac{h\nu_{ir} [(I_b + I_d) \Delta \nu]^{\frac{1}{2}}}{\eta_{\text{cath}} \eta_{q} e^{\frac{q}{2}}} \text{ watts (17)}
\]

The infrared noise equivalent power of the upconverter system is thus:

\[
(\text{NEP})_{ir}^{\text{min}} = \frac{h\nu_{ir} (I_b + I_d)^{\frac{1}{2}}}{\eta_{\text{cath}} \eta_{q} e^{\frac{q}{2}}} \text{ W-Hz}^{-\frac{1}{2}} (18)
\]

In writing equations (16) - (18) it is assumed that the upconverted signal is transmitted with no loss through the filter required to reject the pump laser beam. Equations (17) and (18) may be alternatively expressed in terms of the minimum detectable power and the \((\text{NEP})_{PM}\) of the phototube at the upconverted frequency introducing

\[
p_{s}^{\text{min}} = \frac{h\nu_{s} (I_d \Delta \nu)^{\frac{1}{2}}}{\eta_{\text{cath}} e^{\frac{q}{2}}} \text{ watts (19)}
\]

and

\[
(\text{NEP})_{PM}^{\text{min}} = \frac{h\nu_{s} I_d^{\frac{1}{2}}}{\eta_{\text{cath}} e^{\frac{q}{2}}} \text{ W-Hz}^{-\frac{1}{2}} (20)
\]

in (17) and (18) and using the relation \(\eta_{uc} = (\nu_{s} / \nu_{ir}) \eta_{q}\) we have:

\[
p_{ir}^{\text{min}} = \frac{p_{s}^{\text{min}}}{\eta_{uc} \eta_{b}} \text{ Watts (21)}
\]

or
The background induced noise degrades the sensitivity of the up-converter system and is introduced here as an efficiency factor.

The quantity \( \eta_b = (1 + \frac{I_b}{I_d})^{-\frac{1}{2}} \) (23) is a measure of the extent to which the pump laser radiation and noise generated by parametric process or impurities in the crystal has been eliminated. Additional factors \( \eta_i \) which degrade the sensitivity of an upconverter when used for observation of astronomical sources may also be introduced here.

Total system efficiency \( \eta_{\text{sys}} \) can be expressed as a product function, 

\[
\eta_{\text{sys}} = \prod_i \eta_i
\] (24)

where the \( \eta_i \)'s, to be included are due to:

(i) Power conversion efficiency \( \eta_{\text{uc}} \), defined by (21).
(ii) Background radiation and noise \( \eta_b \), defined by (23).
(iii) Optical loss factor \( \eta_{\text{optics}} \), which is the combined transmission coefficient of all optical components in the infrared and upconverted radiation paths.
(iv) Polarization factor \( \eta_{\text{pol}} = 1/2 \), since only one polarization is upconverted.
(v) Beam mismatch and misalignment factor \( \eta_{\text{beam}} \), to account for any mismatch between the beam waists and misalignment of the pump laser and the infrared signal beams. This is included because it may not be
It is possible to exactly match an upconverter to an existing telescope.

(v) A factor \( \eta_{\text{chop}} \) due to any chopping of the IR signal.

The infrared noise equivalent power of the upconverter system including the degradation factors considered in defining the system efficiency thus may be written as

\[
(\text{NEP})_{\text{ir}} = \frac{(\text{NEP})_{\text{PM}}}{\eta_{\text{sys}}} \ W\cdot\text{Hz}^{-\frac{1}{2}}
\]  

(25)

and the minimum detectable power as

\[
\text{P}_{\text{ir}}^\text{min} = \frac{(\text{NEP})}{\eta_{\text{sys}} \tau^{\frac{1}{2}}} \ \text{watts}
\]  

(26)

where \( \tau \) is the integration time. The signal-to-noise ratio for an upconverter with a system efficiency defined as above is:

\[
S = \frac{\eta_{\text{sys}} \text{P}_{\text{ir}}}{(\text{NEP})_{\text{PM}}} \tau^{\frac{1}{2}}
\]

(27)

For astronomical observations, and for comparison with direct IR detection techniques, it is useful to calculate the minimum detectable source radiance \( I_{\text{ir}}^\text{min} \) by dividing \( \text{P}_{\text{ir}}^\text{min} \) by the bandwidth and the \( A_{\text{uc}} \) \( \Omega_{\text{uc}} \) product of the upconverter which gives:

\[
I_{\text{ir}}^\text{min} = \frac{\eta_{\text{sys}} \Delta v_{\text{ir}} A_{\text{uc}} \Omega_{\text{uc}} \tau^{\frac{1}{2}}}{(\text{NEP})_{\text{PM}}} \ \text{W cm}^{-2} \ \text{Hz}^{-1} \ \text{str}^{-1}
\]  

(28)

where \( \Delta v_{\text{ir}} \) is the bandwidth of the upconverter discussed in section 2.
Alternatively, we may calculate the minimum detectable source brightness \( R_{\text{min}} \) (photons sec\(^{-1}\) cm\(^{-2}\) str\(^{-1}\)) in the bandwidth of the upconverter.

\[
R_{\text{min}} = \frac{(\text{NEP})_{\text{PM}}}{\eta_{\text{sys}} h \nu \Omega_{\text{uc}} \Omega_{\text{uc}} \tau_{\frac{1}{2}}} \text{ photons sec}^{-1} \text{ cm}^{-2} \text{ str}^{-1} \quad (29)
\]

We may also write an expression for the minimum detectable flux \( F_{\text{min}}^{ir} \), a quantity commonly referred to in astronomical observations, as

\[
F_{\text{min}}^{ir} = \frac{F_{\text{min}}^{IR}}{\Delta \nu_{\text{IR}}} A_{T}
\]

\[
= \frac{(\text{NEP})_{\text{PM}}}{\eta_{\text{sys}}} \Delta \nu_{\text{IR}} A_{T} \tau_{\frac{1}{2}} \quad W \text{ m}^{-2} \text{ Hz}^{-1} \quad (30)
\]

where \( A_{T} \) is the telescope area in m\(^2\).

For comparison with source values, we calculate the source brightness and the flux radiated by black-body sources in the field of the upconverter from:

\[
R_{\text{BB}}^{ir} = \frac{2}{\lambda^2} \frac{\Delta \nu_{\text{IR}}}{h \nu/kT} \text{ photons sec}^{-1} \text{ cm}^{-2} \text{ str}^{-1} \quad (31)
\]

and

\[
F_{\text{BB}}^{IR} = \frac{2hc}{\lambda^3} \frac{\Omega_{\text{IR}}}{h \nu/kT - 1} \quad W \text{ m}^{-2} \text{ Hz}^{-1} \quad (32)
\]

Assuming a telescope area of 1 m\(^2\), and values of \( \Omega_{\text{uc}} \) and \( \Delta \nu_{\text{IR}} \) for the LiNbO\(_3\) upconverter discussed in Section 2, plots of \( R_{\text{BB}}^{ir} \)
and $F_{BB}^{\text{ir}}$ are shown as a function of wavelength for given black body source temperatures. The minimum detectable values of $R_{\text{min}}^{\text{ir}}$ and $F_{\text{min}}^{\text{ir}}$ for $\tau = 1000$ sec for various values of $(\text{NEP})_{\text{ir}} = (\text{NEP})_{\text{PM}} / \eta_{\text{sys}}$ are shown as horizontal lines. The tuning range of the LiNbO$_3$ device investigated experimentally is shown by the dashed lines. With a system NEP of $\sim 10^{-14}$ W Hz$^{-1}$, a signal equivalent to $\sim 260^\circ$K black body radiation can be detected. It can be seen that the upconversion technique can yield highly sensitive detection of infrared radiation if reasonably high system efficiencies $\eta_{\text{sys}}$ can be achieved.

When used as a narrow band or broad band ir imaging system or as a spectrometer, how does the sensitivity of upconversion system, expressed in terms of signal to noise ratios or minimum detectable source brightness $R_{\text{min}}^{\text{ir}}$, compare with that of a direct detection system? Considering an interferometer, for example, the signal to noise ratio is

$$\frac{S}{N} = \frac{\eta_{\text{in}}^{\text{ir}}}{(\text{NEP})_{\text{d}}} \tau^{1/2}$$

(33)

where $\eta_{\text{in}}$ expresses the system losses in an interferometer and $(\text{NEP})_{\text{d}}$ is the noise equivalent power of the detector. From an infrared source with intensity $I^{\text{ir}} (W \text{ cm}^{-2} \text{ Hz}^{-1} \text{ str}^{-1})$ the power received by the interferometer is:

$$p^{\text{ir}} = I^{\text{ir}} (\Delta \nu)_{\text{in}} (A^{\text{G}})_{\text{in}}$$

(34)

and the power received by the upconverter is...
\[
\text{pir} = \text{Iir} (\Delta \nu)_{uc} (A^{(2)})_{uc}
\]

From (27) and (31) - (34), a comparison of the S/N ratios for an upconversion device with a direct detection system is given by

\[
F = \frac{(S/N)_{uc}}{(S/N)_{in}}
\]

\[
= \left[ \frac{(\text{NEP})_{d/\eta}^{\text{in}}}{(\text{NEP})_{PM/\eta}^{\text{sys}}} \right] \frac{(\Delta \nu)_{uc}}{(\Delta \nu)_{in}} \frac{(A^{(2)})_{uc}}{(A^{(2)})_{in}}
\]

It is assumed there that \( \eta \) is the same in both cases; and any multiplexing advantage that may be achieved with an interferometer is not considered.

The ratio \( F \) depends upon the mode of operation of the upconverter discussed in Section 2. The critical phase matching mode provides higher spectral resolution and also high spatial resolution \( (A^{(2)} \sim \lambda^2) \).

The non-critical phase matching mode on the other hand, has a large \( A^{(2)} \) product and a large spectral bandwidth. In the latter case a subsequent dispersion device can provide a higher spectral resolution.

If we assume that the upconverter is operated in a mode which is most suitable for observation of a particular source and that the last two ratios in (37) are unity, the ratio \( F \) is

\[
F = \frac{(\text{NEP})_{d/\eta}^{\text{in}}}{(\text{NEP})_{PM/\eta}^{\text{sys}}}
\]

\[
= \frac{(\text{NEP})_{in}}{(\text{NEP})_{ir}}
\]
where \((\text{NEP})_{\text{in}}\) is the effective system NEP of the interferometer.

An upconversion system thus becomes more sensitive than a direct detection device if \((\text{NEP})_{\text{IR}} < (\text{NEP})_{\text{in}}\). With the presently achieved value (section 4) of \((\text{NEP})_{\text{IR}} \sim 2 \times 10^{-14} \text{ W Hz}^{-1/2}\), an upconversion system already appears to be as sensitive as a direct detection system employing the best detectors presently available.

4. Experimental Results

An experimental upconversion system was built to investigate the performance parameters of a practical device and determine its feasibility for astronomical observations in the low to middle infrared.

The instrument uses a temperature-tuned, 90° phase matched lithium niobate crystal obtained from Chromatix as the nonlinear medium and a Spectra-Physics Model 170 argon ion laser as a pump. The experimental system is shown in Fig. 8. An intense CW 5145 Å argon ion laser beam, filtered to reject both laser plasma light and fluorescence, is combined at the beamsplitter with a beam from an infrared source which may be chopped. The combined coaxial beams are focused into a 5 cm long temperature controlled LiNbO₃ crystal. Phase matching is obtained by adjusting the temperature of the crystal. Continuous tuning of the IR radiation can be obtained from 2.7 - 4.5 µm by varying the crystal temperature through the range 180-400°C. The upconverted output radiation, which contains the spectral information of the IR, is thus tuned from \(~ 0.43 \mu m\) to \(~ 0.46 \mu m\).
Since the plane of polarization of the upconverted radiation is perpendicular to that of the pump light, a combination of prism polarizer and pump light filters are used to reject the pump beam. Noise from scattered light and possible upconversion of thermal radiation from the oven and crystal was further rejected by chopping the IR source. The filtered upconverted light is then detected by an EMI type 9789A photomultiplier tube, followed by either a phase sensitive detector or a photon counter.

Measurements of system sensitivity were performed by detection of unpolarized black body radiation from a calibrated source. Results were obtained using both phase sensitive detection and photon counting techniques. In Fig. 9 the black body power incident upon the upconversion system within its field of view of \( \sim 1.5^\circ \) and its spectral bandwidth of \( 1.8 \times 10^{-3} \mu m \) at 3.3 \( \mu m \) is plotted as a function of lock-in amplifier output. The black body reference temperatures corresponding to the observed powers are also shown. All measurements except for the two lowest values were made for 1 sec. integration time. The two points at lowest power were obtained at 30 sec. integration and the minimum detectable power was seen to be \( 3 \times 10^{-15} W \) in 30 sec. corresponding to \( 308^0 K \). This gives a measured NEP for the system at \( 1.6 \times 10^{-14} W-Hz^{-1/2} \).

The black body power measurements using photon counting technique are shown in Fig. 10. They are somewhat worse but within a factor of 2 of those obtained for phase sensitive detection.
The system power conversion efficiency $\eta_{\text{sys}}$ (Eq. 24) can be calculated from the photon counting results by

$$
\eta_{\text{sys}}(\text{exp}) = \frac{\lambda_{\text{IR}}}{\lambda_{\text{s}}} \frac{1}{\eta_{\text{cath}}} \frac{\text{no. counts}}{\text{no. IR photons in}}
$$

(40)

The average value of $\eta_{\text{sys}}$ for the experimental upconversion system based on photon counting results was found to be $\sim 6.6 \times 10^{-4}$. From the phase sensitive detection measurements, however, $\eta_{\text{sys}}$ was calculated (Eq. 25) to be $\sim 8 \times 10^{-4}$.

To demonstrate the use of an upconversion system as a spectrometer for remote spectroscopic observations capable of identification of molecular or atomic species, absorption measurements were made on cells containing various gases of astrophysical interest. Gas cells of 10 cm length were placed in front of a 1300 K black body source and detected in absorption by observing the upconverted visible radiation.

Molecular spectra of methane, ethane and HCL were obtained around 3.3 µm by tuning the temperature of the LiNbO₃ crystal. The vibrational-rotational spectrum of the $v_3$ band of methane is shown in Fig. 11 where it appears superimposed over the transmission profile of the pump light filter. The P, Q, and R branches of the band are clearly visible and the line positions are in excellent agreement with previously published data [25]. From the measured linewidth of $\sim 2.7 \text{ cm}^{-1}$ we obtained a spectral resolution $\sim 9 \times 10^{-4}$. This was subsequently improved to $6 \times 10^{-4}$. These measurements demonstrate our upconversion
spectrometer to be capable of spectroscopic observations on weak sources with sufficient resolution for identification of the absorbing or radiating molecular or atomic species.

Discussion:

The experimental results reported here are based on an upconversion system the sensitivity of which has been optimized using available optical components. These results already make an upconversion system an attractive instrument for astronomical observation as a spectrometer or as an imaging device with a sensitivity which approaches the background limit. However, for spaceborne observations which are detector limited, it is of interest to ask, what ultimate improvements in the sensitivity of a temperature tuned LiNbO₃ upconverter pumped by an argon-ion laser may be expected?

To make a realistic estimate of the achievable sensitivity, we may discuss several practical problems which tend to limit the sensitivity of an upconverter.

(i) Rejection of pump laser light: After upconversion process in the crystal, the pump laser light and plasma emission and any difference frequency light has to be rejected while transmitting the upconverted signal with minimum attenuation. Interference filters, polarizers, and diffraction gratings can be used for this purpose. Spatial separation of the pump and upconverted beam before filtering helps minimize any scattering of the intense pump light. In the present system, with the components available to us, maximum rejection efficiency was achieved with a polarizer-filter combination, with the optical transmission factor $\eta_{\text{optics}} \approx 0.08$. 
Optical components are available to improve this by at least a factor of 2.5. A diffraction grating arrangement, although more complicated, can be used together with filters or prism polarizers to obtain maximum rejection efficiency.

(ii) Additional noise sources: With temperature phase matching, special care has to be taken to eliminate any upconverted thermal emission from the oven or the heated crystal. Upconverted radiation from impurities in the crystal or "tracks" caused by high intensity pump laser beams or lack of oxygen may introduce an additional source of noise. These noise sources could be minimized by selecting a good quality crystal, insuring a sufficient supply of oxygen, and by undertaking steps such as inserting a pinhole aperture stop after the oven, chopping the IR signal and using phase sensitive detection. An optimum signal to noise can thus be obtained which is limited only by the photomultiplier dark current.

(iii) Beam focusing: For a given pump power, the conversion efficiency can be maximized by focusing the pump beam to the smallest possible beam waist (Eq. 9) such that its plane wave characteristic is maintained over the length of the crystal. An optimum conversion efficiency is obtained when the confocal parameter $b$ (inside the crystal) is of the order of the crystal length. For a 5 cm long crystal the optimum beam waist $w_p$ is thus $\approx 50 \mu m$ (Eq. 10). This of course assumes that the IR beam is also a plane wave and is focused within the interaction region of 50 $\mu m$ radius. If this condition is
not satisfied, such as in observing extended objects (e.g. planets, interstellar clouds), the optimum beam waist for maximum conversion efficiency is the IR beam waist $w_{ir}$. There is no gain in reducing the pump beam waist $w_p$ below $w_{ir}$.

For observation of stellar sources, on the other hand, when the full IR emission can be focused into the diffraction limit of a large telescope, optimum beam focusing may be utilized. In this case, the diffraction limit of the telescope may be matched to the 100 $\mu$m pump beam diameter and the crystal conversion efficiency thus maximized. A further improvement by a factor of 4 could thus be achieved in the conversion efficiency and the $(\text{NEP})_{ir}$ reported here by reducing the pump beam waist from the presently used value of $\sim$ 100 $\mu$m to the optimum value of $\sim$ 50 $\mu$m.

(iv) Pump power: Conversion efficiency is directly proportional to the pump power. Presently available gas lasers (e.g. $\text{Ar}^+$ ion) can deliver up to 8 W single mode 5145 $\AA$ radiation of which 4 W can be made incident on the crystal. Utilization of this full power would improve our presently reported results based on 1 W incident power, by a factor of 4. An intra-cavity upconverter has the further potential of at least an order of magnitude gain in power and thus $\eta_{sys}$. Such a device has been shown possible by Voronin et al\cite{12} at 10.6 $\mu$m and Campillo and Tang\cite{26} at 1-2 $\mu$m.

Based on the above considerations and assuming an intra-cavity upconverter, it is estimated that the system power conversion efficiency
$\eta_{\text{sys}}$ may be improved by a factor $\sim 100$ to $\eta_{\text{sys}} \sim 10^{-1}$. Using the best available photomultiplier tube ($\text{NEP} \sim 10^{-18} \text{W-Hz}^{-\frac{1}{2}}$) would give an infrared upconversion system with $(\text{NEP})_{\text{ir}} \sim 10^{-17} \text{W-Hz}^{-\frac{1}{2}}$.

Such a system would be background limited for ground-based astronomical observations, and photomultiplier dark noise limited for spaceborne observations.

Acknowledgement

The authors wish to express their thanks to Dr. Michael Mumma for many helpful discussions and comments during the course of this work and to Mr. Gary Burgess for the assistance in carrying out the numerical calculations presented here.
References

LIST OF FIGURES

1. Basic upconversion system.

2. Power conversion efficiency as a function of pump power for LiNbO₃ - Argon in laser upconversion system with \( w_o = 100 \, \mu m \), \( l = 5 \, cm \). The ideal power conversion efficiency \( \eta_{uc} \) as well as a realistic efficiency \( \eta_{sys} \) are shown.

3. Spectral resolution \( \frac{\Delta \lambda}{\lambda} \) as a function of wavelength \( \lambda \) for the LiNbO₃ + Ar laser system.

4. The upconverter field of view in degrees \( \theta_{uc} \) and steradians \( \Omega \).

5. Power conversion efficiency \( \eta_{uc} \) and the effective telescope angular field of view (FOV) as a function of the beam waist \( w_o \).
   Data are presented for a given crystal length \( l = 5 \, cm \) and a 1 m² telescope area \( A_T \). \( \eta_{uc} \) is given for various pump powers.

6. Black body source brightness \( R_{BB}^{ir} \) within an upconverter bandwidth \( \Delta v_{ir} \sim 1 \, cm^{-1} \), as a function of \( \lambda \) for various source temperatures. Horizontal lines show the minimum detectable source brightness \( R_{min}^{ir} \) with \( \tau = 1000 \, sec \) for given system (NEP)\( ir \).

7. Black body flux \( F_{BB}^{ir} \) into a 1 m² telescope as function of \( \lambda \) in a bandwidth \( \Delta v_{ir} \sim 1 \, cm^{-1} \). Minimum detectable flux values for given values of system (NEP)\( ir \) and \( \tau = 1000 \, sec \) are shown as horizontal lines.

8. The experimental upconversion system.
10. Sensitivity measurements using photon counting.
11. Upconverted absorption spectrum of methane.
<table>
<thead>
<tr>
<th>DATE</th>
<th>EXPERIMENTER</th>
<th>PUMP</th>
<th>MEDIUM</th>
<th>WAVE-LENGTH</th>
<th>PHASE-MATCH</th>
<th>C.W. PUMP</th>
<th>SYSTEM PHOTON-CONVERSION EFFICIENCY($\eta_{\text{SQ}}$)</th>
<th>REMARKS</th>
<th>REF.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1967</td>
<td>Miller &amp; Nordland</td>
<td>He-Ne</td>
<td>Lithium Niobate</td>
<td>3.39(\mu)m</td>
<td>Angle</td>
<td>Yes</td>
<td>$3 \times 10^{-8} \text{W} / (4.3 \text{mW})$</td>
<td>Extrapolated to S/N=1 at 10^{-11}W input Phase sensitive detection First use as Spectrometer. Excess noise observed.</td>
<td>2</td>
</tr>
<tr>
<td>1967</td>
<td>Midwinter &amp; Warner</td>
<td>Ruby</td>
<td>Lithium Niobate</td>
<td>1.7(\mu)m</td>
<td>Temperature</td>
<td>No</td>
<td>$\eta_{\text{SQ}} \sim 1%$</td>
<td>Detection of CO\textsubscript{2} Laser</td>
<td>3</td>
</tr>
<tr>
<td>1968</td>
<td>Warner</td>
<td>Ruby</td>
<td>Proustite</td>
<td>10.6(\mu)m</td>
<td>Angle</td>
<td>No</td>
<td>$\eta_{\text{SQ}} = 1.4 \times 10^{-6}$</td>
<td>Detection of Image</td>
<td>4</td>
</tr>
<tr>
<td>1968</td>
<td>Midwinter</td>
<td>Ruby</td>
<td>Lithium Niobate</td>
<td>1.6(\mu)m</td>
<td>Temperature</td>
<td>No</td>
<td>$\eta_{\text{SQ}} = 10^{-7}$</td>
<td>Detection of Image</td>
<td>5</td>
</tr>
<tr>
<td>1968</td>
<td>Boyd, Bridges &amp; Burkhart</td>
<td>He-Ne</td>
<td>HgS</td>
<td>10.6(\mu)m</td>
<td>Angle</td>
<td>Yes</td>
<td>$\text{NEP}=8 \times 10^{-6} \text{WHz}^{-1.5}$</td>
<td>Difference Frequency generation</td>
<td>6</td>
</tr>
<tr>
<td>1969</td>
<td>Midwinter</td>
<td>Nd-YAG</td>
<td>Lithium Niobate</td>
<td>2.0-3.5(\mu)m</td>
<td>Noncritical</td>
<td>No</td>
<td>--</td>
<td>Used black-body source</td>
<td>7</td>
</tr>
<tr>
<td>1971</td>
<td>Falk and Yarborough</td>
<td>Nd-YAG</td>
<td>Proustite</td>
<td>6.5-12.5(\mu)m</td>
<td>Angle</td>
<td>No</td>
<td>--</td>
<td>Detection of 300\textsuperscript{0}K black-body</td>
<td>8</td>
</tr>
<tr>
<td>1972</td>
<td>Lucy</td>
<td>Ruby</td>
<td>Proustite</td>
<td>10.6(\mu)m</td>
<td>Angle</td>
<td>No</td>
<td>$\eta_{\text{SQ}} = 6 \times 10^{-6}$</td>
<td>Detection of image-Excess noise observed</td>
<td>9</td>
</tr>
<tr>
<td>1973</td>
<td>Gurski</td>
<td>Ruby</td>
<td>Lithium Iodate</td>
<td>3.4(\mu)m</td>
<td>Angle</td>
<td>No</td>
<td>High peak $\eta_{\text{SQ}}$ Low Duty cycle</td>
<td>External resonator used</td>
<td>10</td>
</tr>
</tbody>
</table>
**TABLE I (continued)**

<table>
<thead>
<tr>
<th>DATE</th>
<th>EXPERIMENTER</th>
<th>PUMP</th>
<th>MEDIUM</th>
<th>WAVE-LENGTH</th>
<th>PHASE- MATCH</th>
<th>C.W. PUMP</th>
<th>PUMP POWER</th>
<th>SYSTEM</th>
<th>PHOTON- CONVERSION</th>
<th>EFFICIENCY($\eta_{\text{SQ}}$)</th>
<th>SENSITIVITY/</th>
<th>REMARKS</th>
<th>REF.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1974</td>
<td>Gurski, Epps, Moran</td>
<td>Nd:YAG</td>
<td>Lithium Iodate</td>
<td>3.2-μm Angle</td>
<td>No</td>
<td>$\eta_{\text{SQ}} \sim 10^{-5}$</td>
<td>First astronomical observations</td>
<td>11</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1974</td>
<td>Voronin et al</td>
<td>Nd:YAG</td>
<td>Proustite</td>
<td>10.6μm Angle</td>
<td>No</td>
<td>$\eta_{\text{SQ}} \sim 1.5 \times 10^{-3}$</td>
<td>Intra Cavity System</td>
<td>12</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1975</td>
<td>Abbas, Kostiuk, Argon Ogilvie</td>
<td>Lithium Niobate</td>
<td>2.7-μm Temperature Yes</td>
<td>$\eta_{\text{SQ}} \sim 10^{-4}$</td>
<td>Present work</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>--</td>
<td>--</td>
</tr>
</tbody>
</table>
BASIC UPCONVERTER SYSTEM

\[ \omega_s = \omega_p + \omega_{ir} \]
\[ \text{R}_{BB}^i \text{ Photons sec}^{-1} \text{ cm}^2 \text{ ster}^{-1} \]

\[ \lambda - \mu m \]

\[ (\text{NEP})_{ir} = 10^{-11} \]
UPCONVERSION SPECTROMETER

1. MIRROR
2. BEAM SPLITTER
3. CHOPPER
4. ARGON ION LASER
5. 5145 Å FILTER
6. LiNbO₃ CRYSTAL IN OVEN
7. POLARIZER
8. IRIS
9. LOCK-IN OR PHOTON COUNTER
10. POWER METER

- ω₁ᵣ
- ω_p
- ω⁺, ω_p
- ω⁺
SENSITIVITY MEASUREMENTS

$\lambda_{IR} = 3.3 \, \mu\text{m}$

LOW PUMP POWER

OVEN TEMPERATURE EQUIVALENT
570 °K

370 °K

308 °K
INTENSITY

1300 K BLACK BODY

CH4, 203 TORR

10 cm CELL

\[ \gamma = 3.31 \times 10^{-1} \]

\[ \lambda = 3.31 \times 10^{-1} \]

\[ \lambda = 3.39 \times 10^{-1} \]

\[ \lambda = 3.49 \times 10^{-1} \]

\[ \lambda = 3.59 \times 10^{-1} \]

\[ \lambda = 3.69 \times 10^{-1} \]

\[ \lambda = 3.79 \times 10^{-1} \]

\[ \lambda = 3.89 \times 10^{-1} \]

\[ \lambda = 3.99 \times 10^{-1} \]