## Modeling Polarization for Phase Retrieval

Presented by:

OSA Polarization Technical Group





# Modeling Polarization for Phase Retrieval

Scott Paine



- Introduction to phase retrieval wavefront sensing
  - Gerchberg-Saxton methods
  - Nonlinear optimization
- Building a phase retrieval model
  - Scalar wavefront theory
  - Backpropagating error
- Incorporating polarization aberrations
  - Jones pupil
  - PSM
  - Pauli-Zernike coefficients
- Full Model for Polarization



• Want to recover unknown wavefront using PSF image



W(u, v) (unknown)



- Known quantities
  - Pupil function
  - Possibly prior wavefront knowledge (i.e. known defocus)
  - Sampling
- Measured quantities
  - PSF Intensity







### Gerchberg-Saxton Algorithm













































































































































































### Found PSF




#### Data PSF



- Overfitting
  - Including noise in PSF update causes "quilting" in phase
  - Can attempt to fix by projecting phase onto polynomial basis
- Error not guaranteed to decrease
  - Generally, error will decrease, but error measurement is not coupled to update



- Create a physical modelling function
  - Input is parameters to be optimized
  - Output is single-value cost function to decrease
    - MSE
    - NRMSE
    - Bias-and-gain invariant NMSE [1]
- Obtain search direction
  - Gradient-based methods
    - Finite differences
    - Algorithmic differentiation
  - Stochastic methods also exist
- Update parameters using search direction



• Approximate gradient using small steps:

$$\frac{\partial E}{\partial x_i} \approx \frac{f\left(\vec{\mathbf{x}} + \vec{\mathbf{\delta}_i}(\epsilon)\right) - f\left(\vec{\mathbf{x}}\right)}{\epsilon}$$

- $\vec{x}$  is a the current estimate of the parameters, represented as an array
- $\vec{\delta_i}(\epsilon)$  is an array that is zero everywhere except for *i*, where is has a value of  $\epsilon$ 
  - $\epsilon$  is known as "step size"
- Requires many evaluations of modelling function
  - Can only "probe" one parameter at a time



- Good for functions that have few parameters, non-analytical functions, and a fast physical model
- Fall apart for functions with many parameters
  - Complexity scales with number of input parameters



• Use chain rule to determine gradients:

$$\frac{\partial E}{\partial x_i} = \frac{\partial E}{\partial f} \frac{\partial f}{\partial x_i}$$



### Algorithmic Differentiation Example

• Forward:

$$g_n = \cos(4 a_n)$$
$$m_n = g_n^2$$
$$l_n = \exp\left(-\frac{m_n}{2}\right)$$
$$E = \sum_n (l_n - D_n)^2$$

• Reverse (note that  $\overline{y}$  indicates derivative of y with respect to E):

$$\overline{l_n} = 2(l_n - D_n)$$

$$\overline{m_n} = \overline{l_n} \left[ -\frac{1}{2} \exp\left(-\frac{m_n}{2}\right) \right]$$

$$\overline{g_n} = \overline{m_n}(2g_n)$$

$$\overline{a_n} = \overline{g_n}[-4\sin(4a_n)]$$



- Modular
  - Including another function means including another gradient step
  - Removing a function means removing a gradient step
- Exact
  - Derived from analytic equations
  - Holds as long at functions are differentiable
- Efficient
  - Requires fewer calculations than finite differences



- Derivatives for common operations with complex operations have been published by Jurling et al [2]
  - Fourier transforms
  - Basis set expansion
  - Complex exponentiation

 A. S. Jurling and J. R. Fienup, "Applications of algorithmic differentiation to phase retrieval algorithms," J. Opt. Soc. Am. A 31, 1348–1359 (2014).

# **OPTICS** Building a Scalar Phase Retrieval Model

- Use wave theory to propagate field from pupil plane to image plane
  - Pupil plane contains total pupil function, total wavefront error from entire system
  - Computationally simple
- Use wave theory to propagate to each surface individually
  - Each surface has contributing pupil function, wavefront error
  - More computationally complex



- Wavefront
  - Best expressed via basis set such as Zernikes prevents fitting to noise
  - Can include point-by-point wavefront in addition to Zernike basis to fit higher-order features
- Amplitude
  - Most simply the pupil function of the system
  - Can also express as sum of Zernikes for non-uniform illumination



• Must have sampling information of system, establish sampling quotient:  $\frac{1}{2}(f/2)$ 

$$Q = \frac{\lambda \left(\frac{J}{\#}\right)}{d_x}$$

- $\lambda$  is wavelength,  $d_{\chi}$  is pixel pitch of detector plane,  $f/_{\#}$  is f-number of system
- Q = 2 is Nyquist sampling in detector plane, Q < 2 can lead to aliasing in simulation, Q > 2 is an oversampled detector
- Pad pupil plane with zeros to size P = Q N, where N is the size of one side of a square array that just encapsulated the entire pupil function
  - Crop intensity in image plane to size of detector window

## **CS** Scalar Phase Retrieval Example (from [2])

W

The Institute of

Step	Forward Model	Reverse Model
Express wavefront with Zernikes	$W(u,v) = \sum_{n} a_n Z_n(u,v)$	$\overline{a_n} = \sum_{u,v} \overline{W}(u,v) Z_n(u,v)$
Create field with pupil function and wavefront	$g(u, v) = A(u, v) \exp\left[i\frac{2\pi}{\lambda}W(u, v)\right]$	$\overline{W}(u,v) = \frac{2\pi}{\lambda} \Im\{\overline{g}(u,v)g^*(u,v)\}$
Propagate field to image plane	$G(\xi,\eta) = \mathcal{F}_{u \to \xi} \{g(u,v)\}$ $v \to \eta$	$\bar{g}(u,v) = \mathcal{F}_{\xi \to u}^{-1} \{ \bar{G}(\xi,\eta) \}$ $\eta \to v$
Take modulus of image plane to obtain intensity	$I(\xi,\eta) =  G(\xi,\eta) ^2$	$\bar{G}(\xi,\eta) = 2\bar{I}(\xi,\eta)G(\xi,\eta)$
Take weighted sum of square differences for cost function	$E = \sum_{\xi,\eta} w(\xi,\eta) [I(\xi,\eta) - D(\xi,\eta)]^2$	$\bar{I}(\xi,\eta) = 2w(\xi,\eta)[I(\xi,\eta) - D(\xi,\eta)]$



- Ensure that dimensionality matches (e.g.  $\overline{I}$  should be 2-dimensional)
- Ensure that real outputs have real gradients, complex outputs have complex gradients
  - $\overline{G}$  should be complex, but  $\overline{W}$  should be entirely real-valued
- Use finite differences to ensure that gradients are correct
  - Difference between algorithmic differentiation and finite differences should be on the same order of magnitude as step size  $\epsilon$



- Scalar model cannot account for polarization aberrations
  - Polarizing elements in system
  - Reflective elements with light coming in near Brewster's angle
  - Birefringence
- Use combination of methods from Breckenridge et al in [3], Yamamoto et al in [4]

- 3. J. B. Breckinridge, W. S. T. Lam, and R. A. Chipman, "Polarization aberrations in astronomical telescopes: The point spread function," Publ. Astron. Soc. Pac. **127**, 445 (2015).
- N. Yamamoto, J. Kye, and H. J. Levinson, "Polarization aberration analysis using Pauli-Zernike representation," Proc. SPIE 6520, 6520 – 6520 – 12 (2007).



- For each sampled spatial point in arbitrary pupil plane, there is a Jones matrix
  - Describes how polarized light evolves in the system for that spatial point
- Create 2x2 array of pupil planes:

 $\begin{pmatrix} J_{XX}(u,v) & J_{XY}(u,v) \\ J_{YX}(u,v) & J_{YY}(u,v) \end{pmatrix}$ 

• For a given  $J_{ij}$ , *i* is output polarization state and *j* is input polarization state



### Example: Jones Pupils for Wide-Field Interferometric Telescope (WFIRST)

• Obtained from raytrace of on-axis field point





• Formed by propagating each Jones pupil element separately to image plane:

$$\begin{pmatrix} J_{XX}(u,v) & J_{XY}(u,v) \\ J_{YX}(u,v) & J_{YY}(u,v) \end{pmatrix} \xrightarrow{\mathcal{F}_{u \to \xi}} \begin{pmatrix} ARM_{XX}(\xi,\eta) & ARM_{XY}(\xi,\eta) \\ \longrightarrow & ARM_{YX}(\xi,\eta) & ARM_{YY}(\xi,\eta) \end{pmatrix}$$

• Propagation performed the same as with scalar theory



- Entirely real-valued
- For each spatial point (ξ, η), use methodology to turn Jones matrix into Mueller matrix using ARM components [5]

 H. Fujiwara, "Jones-Mueller Matrix Conversion," in "Spectroscopic Ellipsometry: Principles and Applications," (John Wiley & Sons, Ltd, Chichester, UK, 2007), chap. Appendix 4, pp. 353–355.



### PSM for WFIRST



 $\begin{pmatrix} PSM_{11} & PSM_{12} & PSM_{13} & PSM_{14} \\ PSM_{21} & PSM_{22} & PSM_{23} & PSM_{24} \\ PSM_{31} & PSM_{32} & PSM_{33} & PSM_{34} \\ PSM_{41} & PSM_{42} & PSM_{43} & PSM_{44} \end{pmatrix}$ 



- Multiplying PSM by a Stokes vector will give length 4 vector of real-valued arrays
  - First element is total intensity
  - Remaining 3 elements are indicative of degree of X/Y, 45/135, and R/L polarization
- For formulating intensity, we only need a weighted sum of first four PSM elements



$$PSM_{11}(\xi,\eta) = \frac{1}{2} [|ARM_{XX}(\xi,\eta)|^2 + |ARM_{YY}(\xi,\eta)|^2 + |ARM_{YX}(\xi,\eta)|^2 + |ARM_{XY}(\xi,\eta)|^2]$$

$$PSM_{12}(\xi,\eta) = \frac{1}{2} [|ARM_{XX}(\xi,\eta)|^2 - |ARM_{YY}(\xi,\eta)|^2 + |ARM_{YX}(\xi,\eta)|^2 - |ARM_{XY}(\xi,\eta)|^2]$$

 $PSM_{13}(\xi,\eta) = \Re\{ARM_{XX}(\xi,\eta)ARM_{XY}^*(\xi,\eta)\} + \Re\{ARM_{YX}(\xi,\eta)ARM_{YY}^*(\xi,\eta)\}$ 

 $PSM_{14}(\xi,\eta) = -\Im\{ARM_{XX}^*(\xi,\eta)ARM_{XY}(\xi,\eta)\} - \Im\{ARM_{YX}^*(\xi,\eta)ARM_{YY}(\xi,\eta)\}$ 

$$I(\xi,\eta) = \sum_{n} S_{n} PSM_{1n}(\xi,\eta)$$



- Jones pupil is difficult to separate into scalar and polarization-specific aberrations
- At each spatial point (*u*, *v*), decompose Jones matrix using Pauli matrices to obtain spatial coefficients, known as Pauli pupils:

$$\mathbf{J}(u,v) = \sum_{n} a_{n}(u,v)\mathbf{\sigma}_{n}$$

$$\boldsymbol{\sigma}_{0} = \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} \quad \boldsymbol{\sigma}_{1} = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$$
$$\boldsymbol{\sigma}_{2} = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \quad \boldsymbol{\sigma}_{3} = \begin{pmatrix} 0 & -i \\ i & 0 \end{pmatrix}$$



• For a Jones matrix at a given spatial point (*u*, *v*) :

$$a_{0}(u, v) = \frac{J_{XX}(u, v) + J_{YY}(u, v)}{2}$$

$$a_{1}(u, v) = \frac{J_{XX}(u, v) - J_{YY}(u, v)}{2}$$

$$a_{2}(u, v) = \frac{J_{YX}(u, v) + J_{XY}(u, v)}{2}$$

$$a_{3}(u, v) = \frac{J_{YX}(u, v) - J_{XY}(u, v)}{2i}$$



• Converting back is simple:

$$J_{XX}(u, v) = a_0(u, v) + a_1(u, v)$$
  

$$J_{YY}(u, v) = a_0(u, v) - a_1(u, v)$$
  

$$J_{XY}(u, v) = a_2(u, v) - ia_3(u, v)$$
  

$$J_{YX}(u, v) = a_2(u, v) + ia_3(u, v)$$



 Amplitude and phase of a<sub>0</sub> is the amplitude and phase of the system with no polarization aberrations

• If 
$$a_1 = a_2 = a_3 = 0$$
,  $J_{XX} = J_{YY} = a_0$ , and  $J_{XY} = J_{YX} = 0$ 

- Thus,  $ARM_{XX} = ARM_{YY} = \mathcal{F}\{a_0\}, ARM_{XY} = ARM_{YX} = 0$
- $PSM_{11} = \frac{1}{2}(|ARM_{XX}|^2 + |ARM_{YY}|^2 + |ARM_{XY}|^2 + |ARM_{YX}|^2) = |\mathcal{F}\{a_0\}|^2$
- $PSM_{12} = \frac{1}{2}(|ARM_{XX}|^2 |ARM_{YY}|^2 + |ARM_{XY}|^2 |ARM_{YX}|^2) = 0$
- $PSM_{13} = \Re(ARM_{XX}ARM_{YX}^*) + \Re(ARM_{YX}ARM_{YY}^*) = 0$
- $PSM_{14} = -\Im(ARM_{XX}^*ARM_{YX}) \Im(ARM_{YX}^*ARM_{YY}) = 0$
- Regardless of Stokes vector, total intensity will simply be  $|\mathcal{F}\{a_0\}|^2$ , which is scalar wavefront theory



- Each Pauli matrix corresponds to an eigenpolarization state:
  - $\sigma_0$  has unpolarized eigenvectors (degenerate)
  - $\sigma_1$  has X/Y linearly polarized eigenvectors
  - $\sigma_2$  has 45/135 deg. linearly polarized eigenvectors
  - $\sigma_3$  has circularly polarized eigenvectors



- Represent amplitude and phase of  $a_0$  using Zernike decomposition
  - Same as scalar model
- For *a*<sub>1</sub>, *a*<sub>2</sub>, and *a*<sub>3</sub>, represent real and imaginary parts using Zernike decomposition
- Can perform simulation with known amounts of polarization
  - Can parameterize polarization aberration using Zernike coefficients for optimization purposes
- Can adjust scalar wave phase and amplitude independently of polarization effects

#### 

### WFIRST Pauli Pupils





### WFIRST Pauli Pupils





#### Total Forward Model – Pauli Zernike-Coefficients

• We have a set of Zernike coefficients  $c_{mn}$  where *n* corresponds to Zernike index and *m* corresponds to the Pauli pupils as follows:

m	Representation
0	Amplitude of $a_0$
1	Phase of $a_0$
2	$\Re\{a_1\}$
3	$\Im\{a_1\}$
4	$\Re\{a_2\}$
5	$\Im\{a_2\}$
6	$\Re\{a_3\}$
7	$\Im\{a_3\}$



### Total Forward Model – Generating $a_0$

$$A(u,v) = \sum_{n} c_{0n} Z_n(u,v)$$

$$\phi(u,v) = \frac{2\pi}{\lambda} \sum_{n} c_{1n} Z_n(u,v)$$

$$a_0(u, v) = A(u, v) \exp[i\phi(u, v)]$$

# **OPTICS** Total Forward Model – Other Pauli Pupils

$$a_1(u,v) = \left[\sum_n c_{2n} Z_n(u,v)\right] + i \left[\sum_n c_{3n} Z_n(u,v)\right]$$

$$a_2(u,v) = \left[\sum_n c_{4n} Z_n(u,v)\right] + i \left[\sum_n c_{5n} Z_n(u,v)\right]$$

$$a_3(u,v) = \left[\sum_n c_{6n} Z_n(u,v)\right] + i \left[\sum_n c_{7n} Z_n(u,v)\right]$$



#### Total Forward Model – Pauli to Jones Conversion

$$J_{XX}(u, v) = a_0(u, v) + a_1(u, v)$$

$$J_{YY}(u, v) = a_0(u, v) - a_1(u, v)$$

$$J_{XY}(u, v) = a_2(u, v) - ia_3(u, v)$$

$$J_{YX}(u, v) = a_2(u, v) + ia_3(u, v)$$



$$\begin{pmatrix} J_{XX}(u,v) & J_{XY}(u,v) \\ J_{YX}(u,v) & J_{YY}(u,v) \end{pmatrix} \xrightarrow{\mathcal{F}_{u \to \xi}} \begin{pmatrix} ARM_{XX}(\xi,\eta) & ARM_{XY}(\xi,\eta) \\ ARM_{YX}(\xi,\eta) & ARM_{YY}(\xi,\eta) \end{pmatrix}$$

# **OPTICS** Total Forward Model – Forming the PSM

$$PSM_{11}(\xi,\eta) = \frac{1}{2} [|ARM_{XX}(\xi,\eta)|^2 + |ARM_{YY}(\xi,\eta)|^2 + |ARM_{YX}(\xi,\eta)|^2 + |ARM_{XY}(\xi,\eta)|^2]$$

$$PSM_{12}(\xi,\eta) = \frac{1}{2} [|ARM_{XX}(\xi,\eta)|^2 - |ARM_{YY}(\xi,\eta)|^2 + |ARM_{YX}(\xi,\eta)|^2 - |ARM_{XY}(\xi,\eta)|^2]$$

 $PSM_{13}(\xi,\eta) = \Re\{ARM_{XX}(\xi,\eta)ARM_{XY}^*(\xi,\eta)\} + \Re\{ARM_{YX}(\xi,\eta)ARM_{YY}^*(\xi,\eta)\}$ 

 $PSM_{14}(\xi,\eta) = -\Im\{ARM_{XX}^*(\xi,\eta)ARM_{XY}(\xi,\eta)\} - \Im\{ARM_{YX}^*(\xi,\eta)ARM_{YY}(\xi,\eta)\}$


# Total Forward Model – Weighted Stokes Summation

$$I(\xi,\eta) = \sum_{n} S_{n} PSM_{1n}(\xi,\eta)$$

- From here, we have PSF intensity, which can be fed into a metric to obtain our error metric value
- Value of  $\overline{I}(\xi,\eta)$  dependent on metric choice



Total Reverse Model – Gradients for Stokes and PSM components

$$\overline{PSM_{1n}}(\xi,\eta) = S_n \overline{I}(\xi,\eta)$$

$$\overline{S_n} = \sum_{\xi,\eta} PSM_{1n}(\xi,\eta)\overline{I}(\xi,\eta)$$



$$\overline{ARM_{XX}} = ARM_{XX}[\overline{PSM_{11}} + \overline{PSM_{12}}] + ARM_{XY}[\overline{PSM_{13}} + i\overline{PSM_{14}}]$$

$$\overline{ARM_{YY}} = ARM_{YY}[\overline{PSM_{11}} - \overline{PSM_{12}}] + ARM_{YX}[\overline{PSM_{13}} - i\overline{PSM_{14}}]$$

$$\overline{ARM_{XY}} = ARM_{XY}[\overline{PSM_{11}} - \overline{PSM_{12}}] + ARM_{XX}[\overline{PSM_{13}} - i\overline{PSM_{14}}]$$

$$\overline{ARM_{YX}} = ARM_{YX}[\overline{PSM_{11}} + \overline{PSM_{12}}] - ARM_{YY}[\overline{PSM_{13}} + i\overline{PSM_{14}}]$$



$$\begin{pmatrix} \overline{ARM}_{XX}(\xi,\eta) & \overline{ARM}_{XY}(\xi,\eta) \\ \overline{ARM}_{YX}(\xi,\eta) & \overline{ARM}_{YY}(\xi,\eta) \end{pmatrix} \xrightarrow{\mathcal{F}_{\xi \to u}^{-1}} \begin{pmatrix} \overline{J}_{XX}(u,v) & \overline{J}_{XY}(u,v) \\ \longrightarrow & \int \overline{J}_{YY}(u,v) \\ \overline{J}_{YX}(u,v) & \overline{J}_{YY}(u,v) \end{pmatrix}$$



$$\bar{a}_0(u,v) = \bar{J}_{XX}(u,v) + \bar{J}_{YY}(u,v)$$
$$\bar{a}_1(u,v) = \bar{J}_{XX}(u,v) - \bar{J}_{YY}(u,v)$$
$$\bar{a}_2(u,v) = \bar{J}_{XY}(u,v) + \bar{J}_{YX}(u,v)$$
$$\bar{a}_3(u,v) = i \left[ \bar{J}_{XY}(u,v) - \bar{J}_{YX}(u,v) \right]$$



Total Reverse Model – Gradients for phase/amplitude of a<sub>0</sub>

$$A(u,v) = \Re\{\overline{a}_0(u,v) \exp[-i\phi(u,v)]\}$$

$$\overline{W}(u,v) = \frac{2\pi}{\lambda} \Im\{\overline{a}_0(u,v)a_0^*(u,v)\}$$



$$\bar{c}_{0n} = \sum_{u,v} \bar{A}(u,v) Z_n(u,v)$$

$$\bar{c}_{1n} = \sum_{u,v} \overline{W}(u,v) Z_n(u,v)$$



$$\bar{c}_{2n} = \sum_{u,v} \Re\{\bar{a}_1(u,v)\}Z_n(u,v)$$

$$\bar{c}_{3n} = \sum_{u,v} \Im\{\bar{a}_1(u,v)\}Z_n(u,v)$$



$$\bar{c}_{4n} = \sum_{u,v} \Re\{\bar{a}_2(u,v)\}Z_n(u,v)$$

$$\bar{c}_{5n} = \sum_{u,v} \Im\{\bar{a}_2(u,v)\}Z_n(u,v)$$



$$\bar{c}_{6n} = \sum_{u,v} \Re\{\bar{a}_3(u,v)\}Z_n(u,v)$$

$$\bar{c}_{7n} = \sum_{u,v} \Im\{\bar{a}_3(u,v)\}Z_n(u,v)$$



- Nonlinear optimization for phase retrieval is done best with algorithmic differentiation
- A model with polarization was created, and a reverse model was built according to rules from [2]
  - Uses Pauli-Zernike coefficients, PSF formulation from [3]
  - Allows for optimization of scalar aberrations, polarization aberrations, and source polarization

- 2. A. S. Jurling and J. R. Fienup, "Applications of algorithmic differentiation to phase retrieval algorithms," J. Opt. Soc. Am. A **31**, 1348–1359 (2014).
- 3. J. B. Breckinridge, W. S. T. Lam, and R. A. Chipman, "Polarization aberrations in astronomical telescopes: The point spread function," Publ. Astron. Soc. Pac. **127**, 445 (2015).



# QUESTIONS