

# Optical Properties of Solids: Lecture 6

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EUROPEAN UNION  
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Development and Education



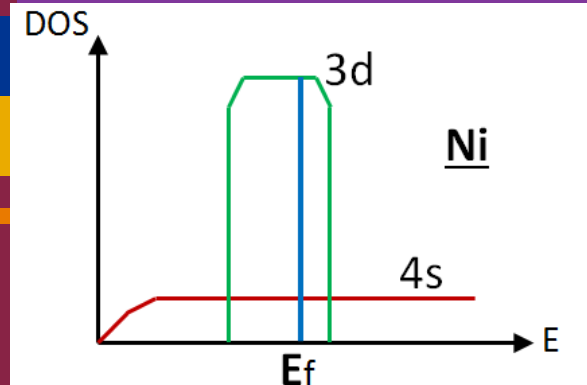
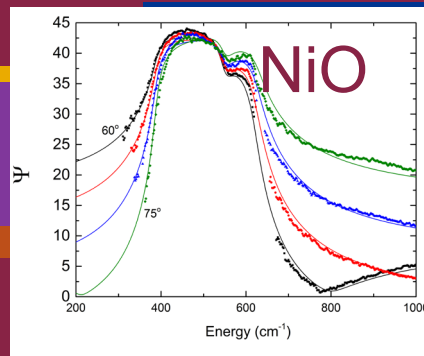
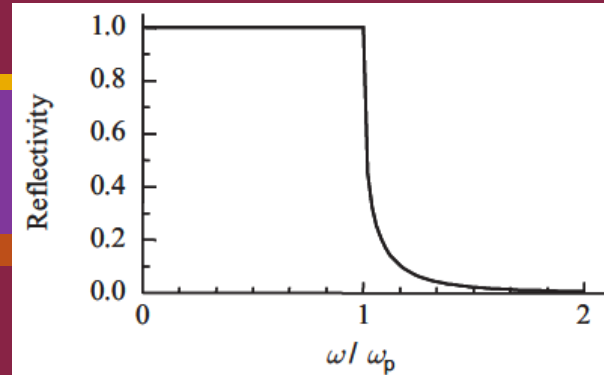
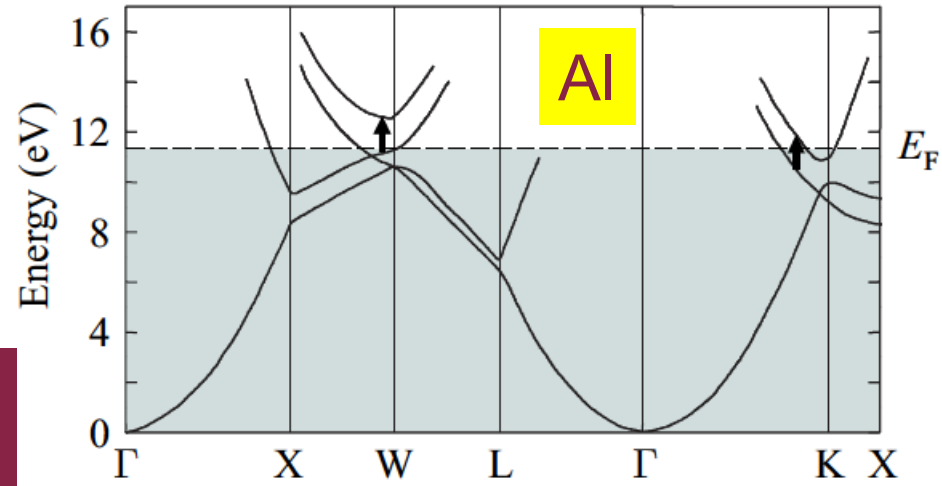
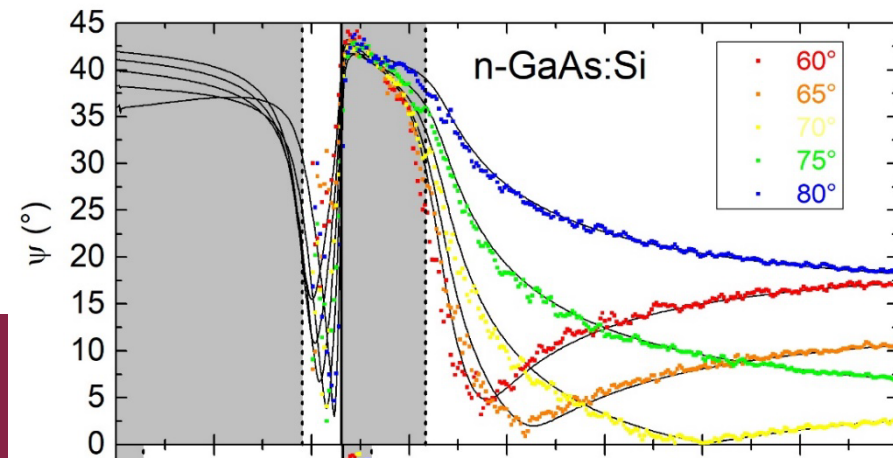
# Optical Properties of Solids: Lecture 5+6

## Lorentz and Drude model: Applications

1. Metals, doped semiconductors
2. Insulators

Sellmeier equation, Poles, Cauchy dispersion

Analytical properties of  $\epsilon$



# References: Dispersion, Analytical Properties

## Standard Texts on Electricity and Magnetism:

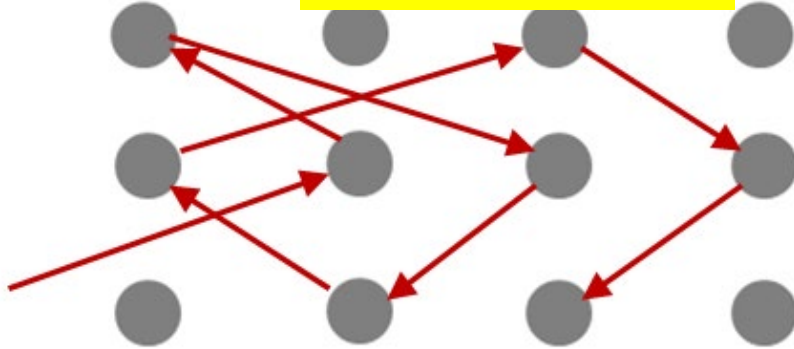
- J.D. Jackson: *Classical Electrodynamics*
- L.D. Landau & J.M. Lifshitz, Vol. 8: *Electrodynamics of Cont. Media*

## Ellipsometry and Polarized Light:

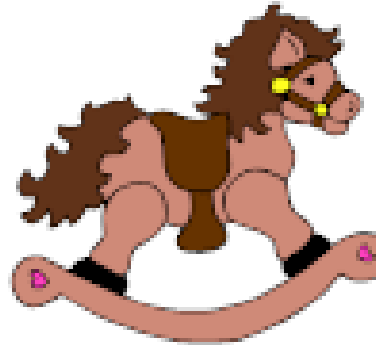
- R.M.A. Azzam and N.M. Bashara: *Ellipsometry and Polarized Light*
- **H.G. Tompkins and E.A. Irene: *Handbook of Ellipsometry***  
**(chapters by Rob Collins and Jay Jellison)**
- **H. Fujiwara, *Spectroscopic Ellipsometry***
- **Mark Fox, *Optical Properties of Solids***
- H. Fujiwara and R.W. Collins: *Spectroscopic Ellipsometry for PV* (Vol 1+2)
- Zollner: *Propagation of EM Waves in Continuous Media* (Lecture Notes)
- Zollner: *Drude and Kukharskii mobility of doped semiconductors extracted from FTIR ellipsometry spectra*, J. Vac. Sci. **37**, 012904 (2019).

# Drude-Lorentz Model: Free and Bound Charges

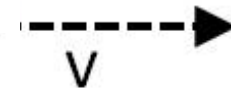
Drude:  
Free Charges



Lorentz:  
Bound Charges



$$t) = E_0 \exp(-i\omega t)$$



$$\epsilon(\omega) = 1 - \sum_i \frac{\omega_{P,i}^2}{\omega^2 + i\gamma_{D,i}\omega} + \sum_i \frac{A_i \omega_{0,i}^2}{\omega_{0,i}^2 - \omega^2 - i\gamma_{0,i}\omega}$$

$\omega_P$  (unscreened) **plasma frequency** of free charges

$\omega_0$  **resonance frequency** of bound charges

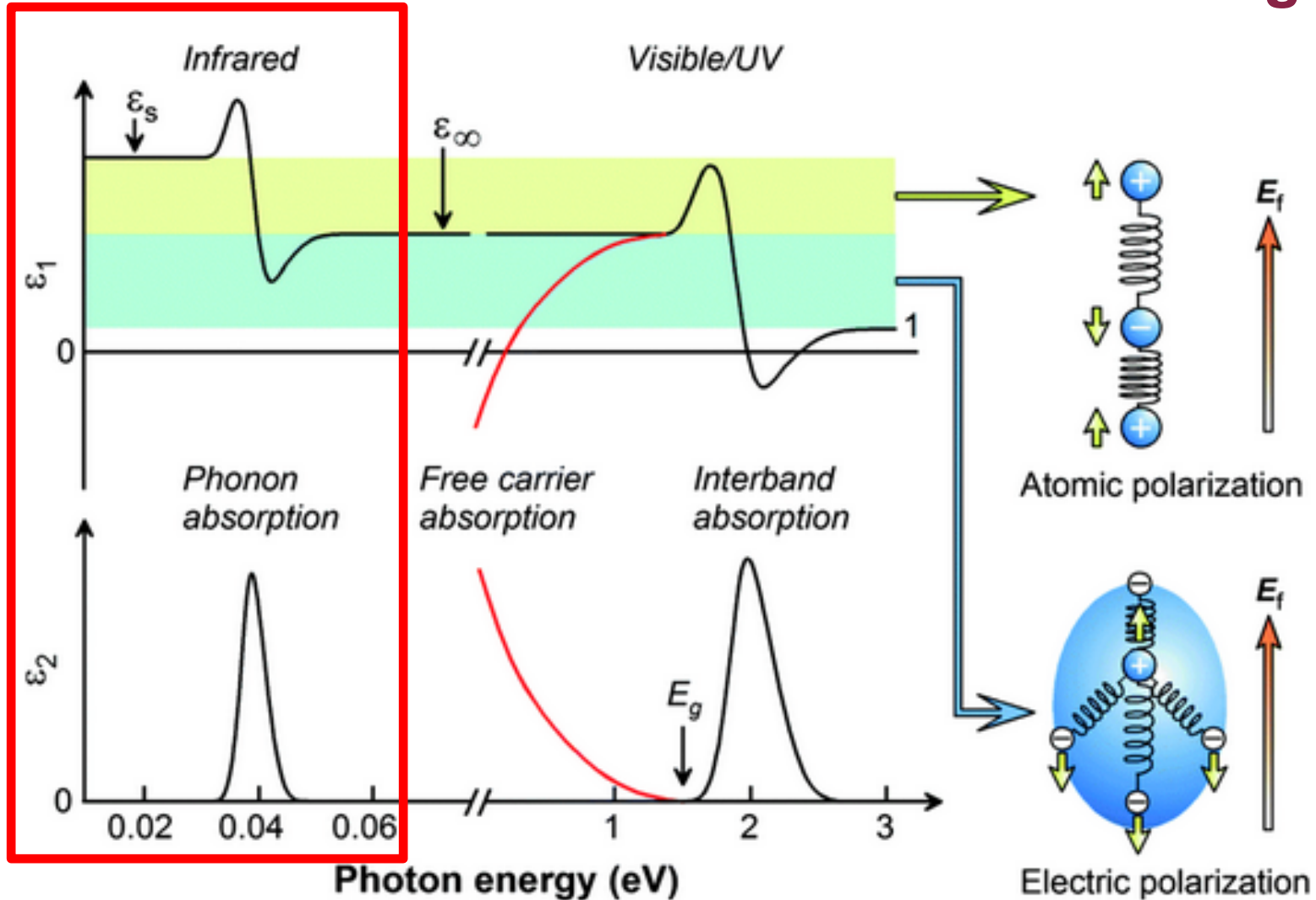
$\gamma_D, \gamma_0$  **broadenings** of free and bound charges

$A$  **amplitude** of bound charge oscillations (density, strength)

$$\omega_P^2 = \frac{n_f e^2}{m \epsilon_0}$$

Discuss plasma frequency trends.

# Drude-Lorentz Model: Free and Bound Charges

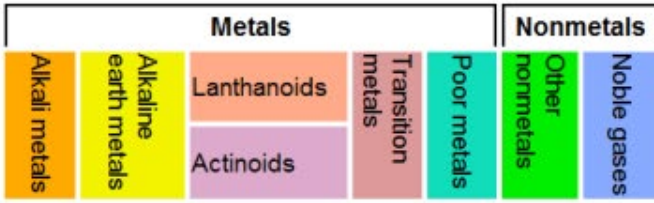


$$\epsilon(\omega) = 1 - \sum_i \frac{\omega_{P,i}^2}{\omega^2 + i\gamma_{D,i}\omega} + \sum_i \frac{A_i \omega_{0,i}^2}{\omega_{0,i}^2 - \omega^2 - i\gamma_{0,i}\omega}$$

# Semiconductors

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18														
1 <b>H</b> Hydrogen 1.00794	2 <b>He</b> Helium 4.002602															3 <b>Li</b> Lithium 6.941	4 <b>Be</b> Beryllium 9.012182	5 <b>B</b> Boron 10.811	6 <b>C</b> Carbon 12.0107	7 <b>N</b> Nitrogen 14.0067	8 <b>O</b> Oxygen 15.9994	9 <b>F</b> Fluorine 18.9984032	10 <b>Ne</b> Neon 20.1797	11 <b>Na</b> Sodium 22.98976928	12 <b>Mg</b> Magnesium 24.3050	13 <b>Al</b> Aluminium 26.9815386	14 <b>Si</b> Silicon 28.0855	15 <b>P</b> Phosphorus 30.973762	16 <b>S</b> Sulfur 32.065	17 <b>Cl</b> Chlorine 35.453	18 <b>Ar</b> Argon 39.948
19 <b>K</b> Potassium 39.0983	20 <b>Ca</b> Calcium 40.078	21 <b>Sc</b> Scandium 44.955912	22 <b>Ti</b> Titanium 47.867	23 <b>V</b> Vanadium 50.9415	24 <b>Cr</b> Chromium 51.9961	25 <b>Mn</b> Manganese 54.938045	26 <b>Fe</b> Iron 55.845	27 <b>Co</b> Cobalt 58.933195	28 <b>Ni</b> Nickel 58.6934	29 <b>Cu</b> Copper 63.546	30 <b>Zn</b> Zinc 65.38	31 <b>Ga</b> Gallium 69.723	32 <b>Ge</b> Germanium 72.64	33 <b>As</b> Arsenic 74.92160	34 <b>Se</b> Selenium 78.96	35 <b>Br</b> Bromine 79.904	36 <b>Kr</b> Krypton 83.796														
37 <b>Rb</b> Rubidium 87.4678	38 <b>Sr</b> Strontium 87.62	39 <b>Y</b> Yttrium 88.90585	40 <b>Zr</b> Zirconium 91.224	41 <b>Nb</b> Niobium 92.90638	42 <b>Mo</b> Molybdenum 95.96	43 <b>Tc</b> Technetium (97.9072)	44 <b>Ru</b> Ruthenium 101.07	45 <b>Rh</b> Rhodium 102.90550	46 <b>Pd</b> Palladium 106.42	47 <b>Ag</b> Silver 107.8682	48 <b>Cd</b> Cadmium 112.411	49 <b>In</b> Indium 114.818	50 <b>Sn</b> Tin 118.710	51 <b>Sb</b> Antimony 121.760	52 <b>Te</b> Tellurium 127.60	53 <b>I</b> Iodine 126.90447	54 <b>Xe</b> Xenon 131.293														
55 <b>Cs</b> Caesium 132.9054519	56 <b>Ba</b> Barium 137.327	57-71		72 <b>Hf</b> Hafnium 178.49	73 <b>Ta</b> Tantalum 180.94788	74 <b>W</b> Tungsten 183.84	75 <b>Re</b> Rhenium 186.207	76 <b>Os</b> Osmium 190.23	77 <b>Ir</b> Iridium 192.217	78 <b>Pt</b> Platinum 195.084	79 <b>Au</b> Gold 196.966569	80 <b>Hg</b> Mercury 200.59	81 <b>Tl</b> Thallium 204.3833	82 <b>Pb</b> Lead 207.2	83 <b>Bi</b> Bismuth 208.98040	84 <b>Po</b> Polonium (209.9824)	85 <b>At</b> Astatine (209.9871)	86 <b>Rn</b> Radon (222.0176)													
87 <b>Fr</b> Francium (223)	88 <b>Ra</b> Radium (226)	89-103		104 <b>Rf</b> Rutherfordium (261)	105 <b>Db</b> Dubnium (262)	106 <b>Sg</b> Seaborgium (266)	107 <b>Bh</b> Bohrium (264)	108 <b>Hs</b> Hassium (277)	109 <b>Mt</b> Meitnerium (268)	110 <b>Ds</b> Darmstadtium (271)	111 <b>Rg</b> Roentgenium (272)	112 <b>Uub</b> Ununbium (285)	113 <b>Uut</b> Ununtrium (284)	114 <b>Uuq</b> Ununquadium (289)	115 <b>Uup</b> Ununpentium (288)	116 <b>Uuh</b> Ununhexium (282)	117 <b>Uus</b> Ununseptium	118 <b>Uuo</b> Ununoctium (294)													

- C** Solid
- Hg** Liquid
- H** Gas
- Rf** Unknown



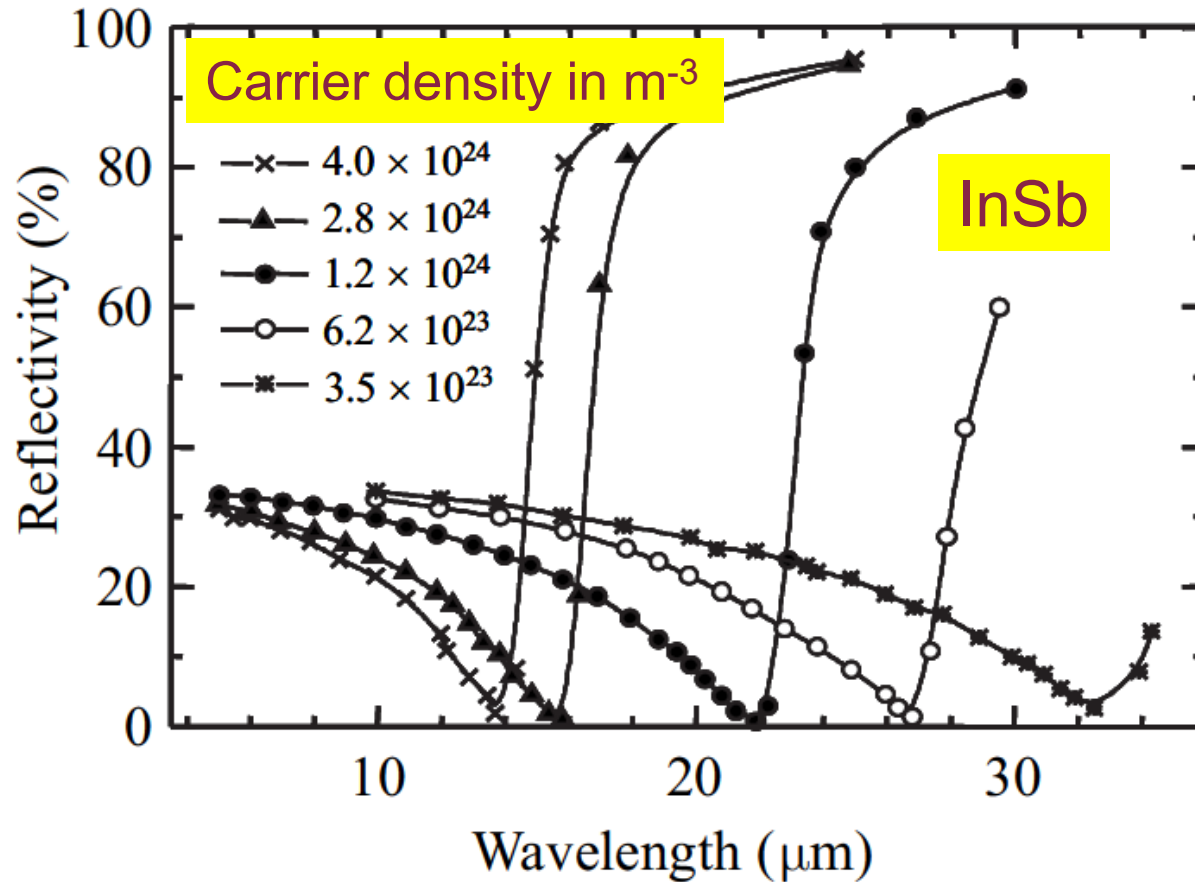
For elements with no stable isotopes, the mass number of the isotope with the longest half-life is in parentheses.

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57 <b>La</b> Lanthanum 138.90547	58 <b>Ce</b> Cerium 140.116	59 <b>Pr</b> Praseodymium 140.90765	60 <b>Nd</b> Neodymium 144.242	61 <b>Pm</b> Promethium (145)	62 <b>Sm</b> Samarium 150.36	63 <b>Eu</b> Europium 151.964	64 <b>Gd</b> Gadolinium 157.25	65 <b>Tb</b> Terbium 158.92535	66 <b>Dy</b> Dysprosium 162.500	67 <b>Ho</b> Holmium 164.93032	68 <b>Er</b> Erbium 167.259	69 <b>Tm</b> Thulium 168.93421	70 <b>Yb</b> Ytterbium 173.054	71 <b>Lu</b> Lutetium 174.9668
89 <b>Ac</b> Actinium (227)	90 <b>Th</b> Thorium 232.03806	91 <b>Pa</b> Protactinium 231.03688	92 <b>U</b> Uranium 238.02891	93 <b>Np</b> Neptunium (237)	94 <b>Pu</b> Plutonium (244)	95 <b>Am</b> Americium (243)	96 <b>Cm</b> Curium (247)	97 <b>Bk</b> Berkelium (247)	98 <b>Cf</b> Californium (251)	99 <b>Es</b> Einsteinium (252)	100 <b>Fm</b> Fermium (257)	101 <b>Md</b> Mendelevium (258)	102 <b>No</b> Nobelium (259)	103 <b>Lr</b> Lawrencium (262)



# Free-Carrier Reflection in doped semiconductors

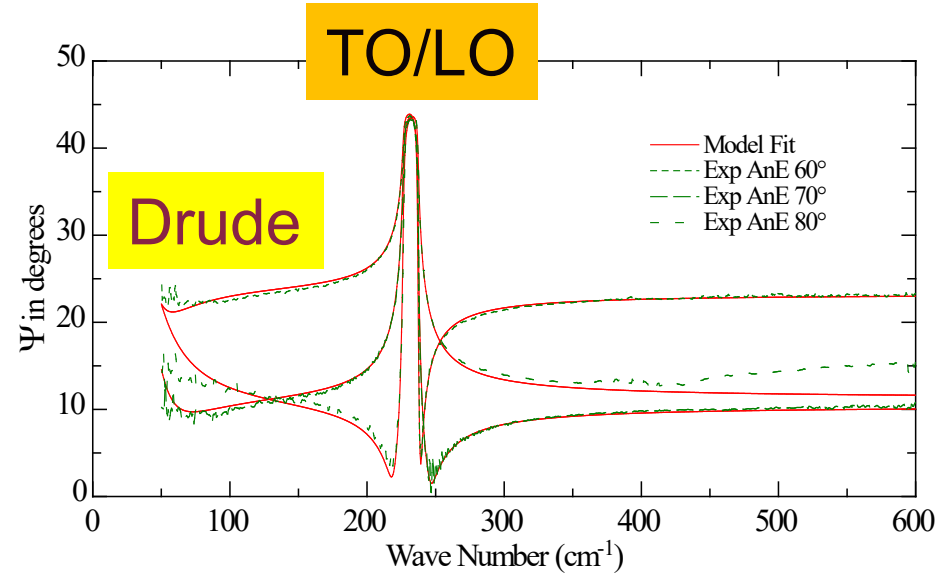
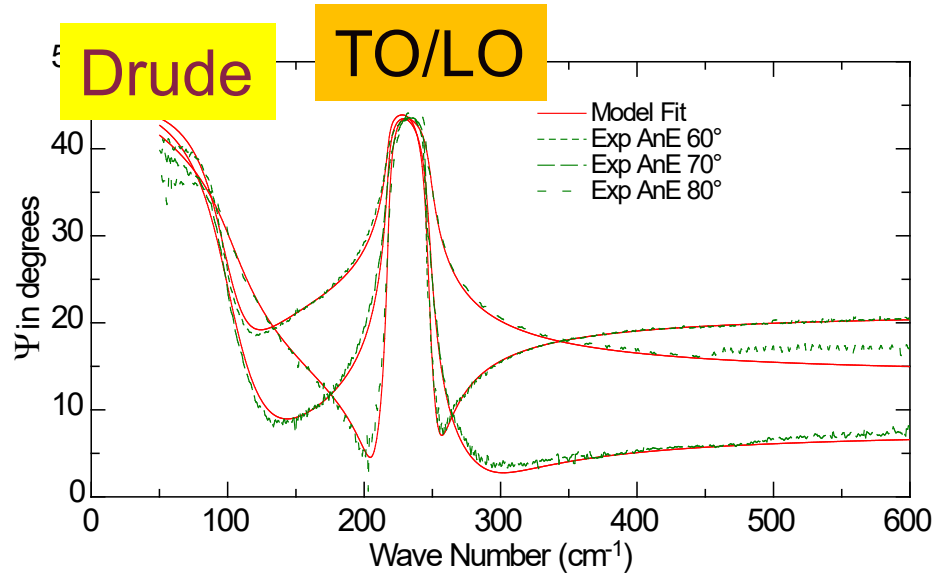


$$\omega_P^2 = \frac{n_f e^2}{m^* m_0 \epsilon_0}$$

Reflectance minimum near plasma frequency

Doped semiconductors behave just like a metal, except for the lower carrier density; **plasma frequency in infrared region.**

# Infrared ellipsometry of doped semiconductors



## n-type InAs

$$m=0.027$$

$$n=6.3 \times 10^{16} \text{ cm}^{-3}$$

$$\gamma=50 \text{ cm}^{-1}$$

$$\mu=6800 \text{ cm}^2/\text{Vs}$$

$$\epsilon(\omega) = 1 - \frac{\omega_p^2}{\omega^2 + i\gamma\omega}$$

## n-type GaSb:Te

$$m=0.13 \text{ (?!?)}$$

$$n=1.3 \times 10^{17} \text{ cm}^{-3}$$

$$\gamma=71 \text{ cm}^{-1}$$

$$\mu=1000 \text{ cm}^2/\text{Vs}$$

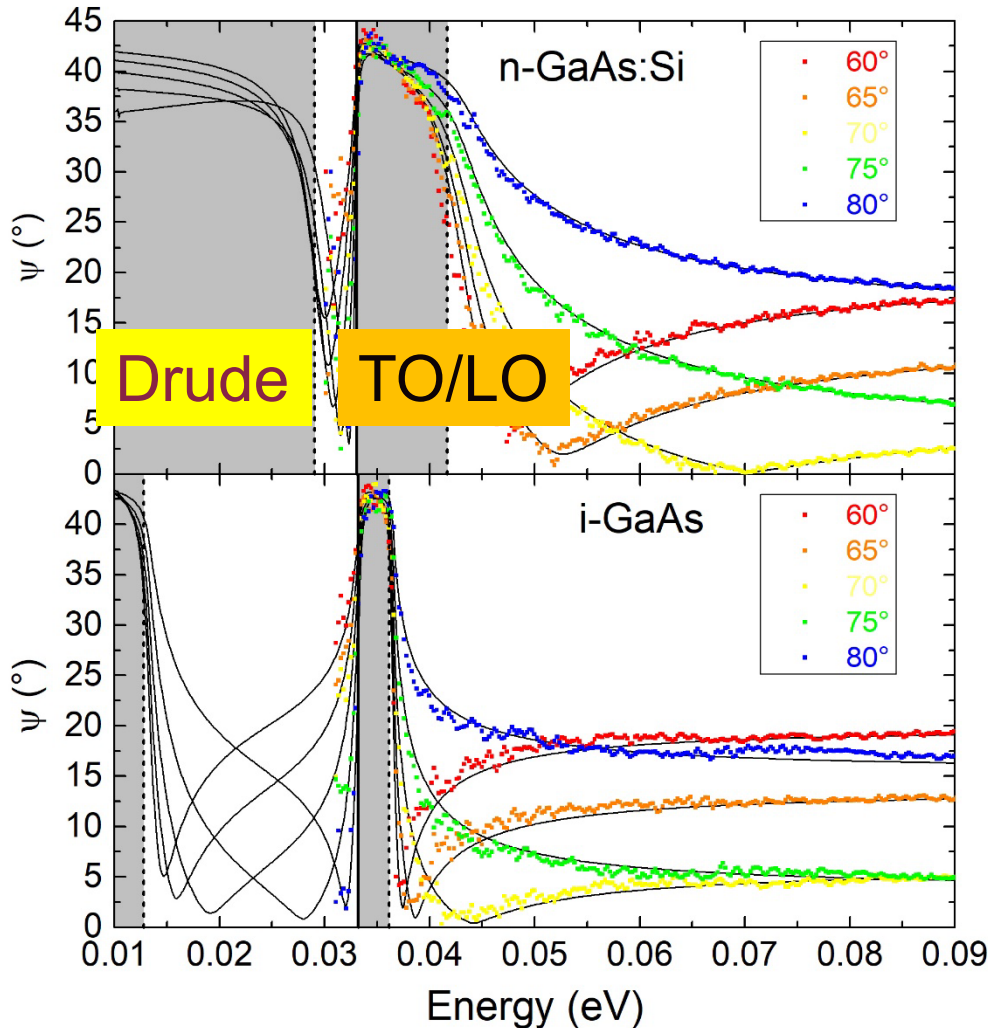
Doped semiconductors behave just like a metal, except for the lower carrier density; **plasma frequency in infrared region.**

**Only visible for electrons (small mass).**

Abadizaman, Emminger,  
Knight, Schubert



# Infrared ellipsometry of doped semiconductors



$$\varepsilon(\omega) = 1 - \frac{\omega_P^2}{\omega^2 + i\gamma\omega}$$

30 meV lower cut-off  
insufficient to see Drude term.

## Plasmon effect:

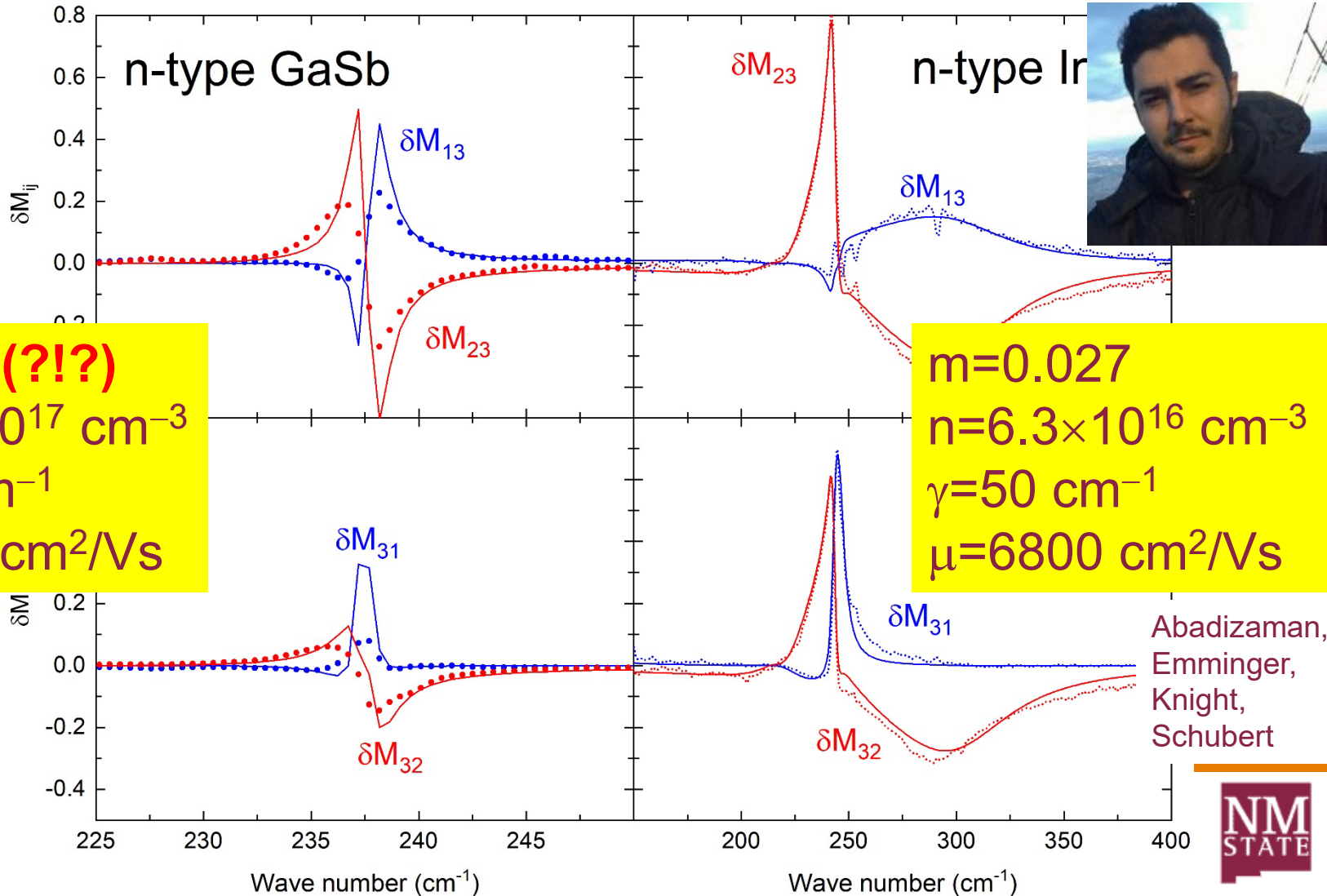
Doping pushes LO phonon to  
higher energies.



Doped semiconductors behave just like a metal, except for the  
lower carrier density; **plasma frequency in infrared region.**

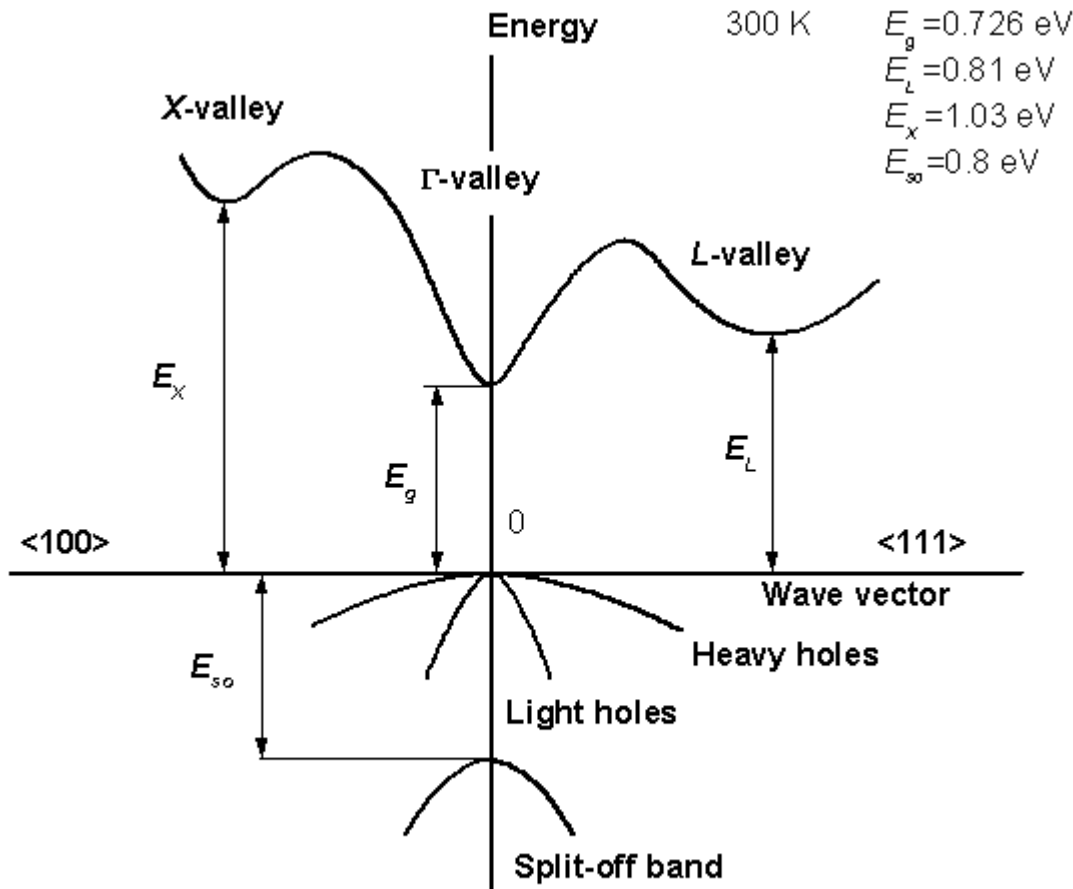
# Optical Hall Effect: Ellipsometry with magnetic field

If we measure Mueller matrix spectra in a magnetic field, we get **carrier concentrations, mobilities, effective masses**.



# Multi-valley semiconductors

GaSb is a direct semiconductor (like GaAs), but ALMOST indirect. The L-valley in GaSb is only **80 meV** above the  $\Gamma$ -valley. Almost all electrons are in the L-valley at room temperature.



$$k_B T = 26 \text{ meV}$$

$$E_\Gamma = 730 \text{ meV}$$

Effective masses

$$m_\Gamma = 0.041$$

$$m_L^\perp = 0.11$$

$$m_L^\parallel = 0.95$$

4 L-valleys

$$m_L^{\text{DOS}} = 0.57$$

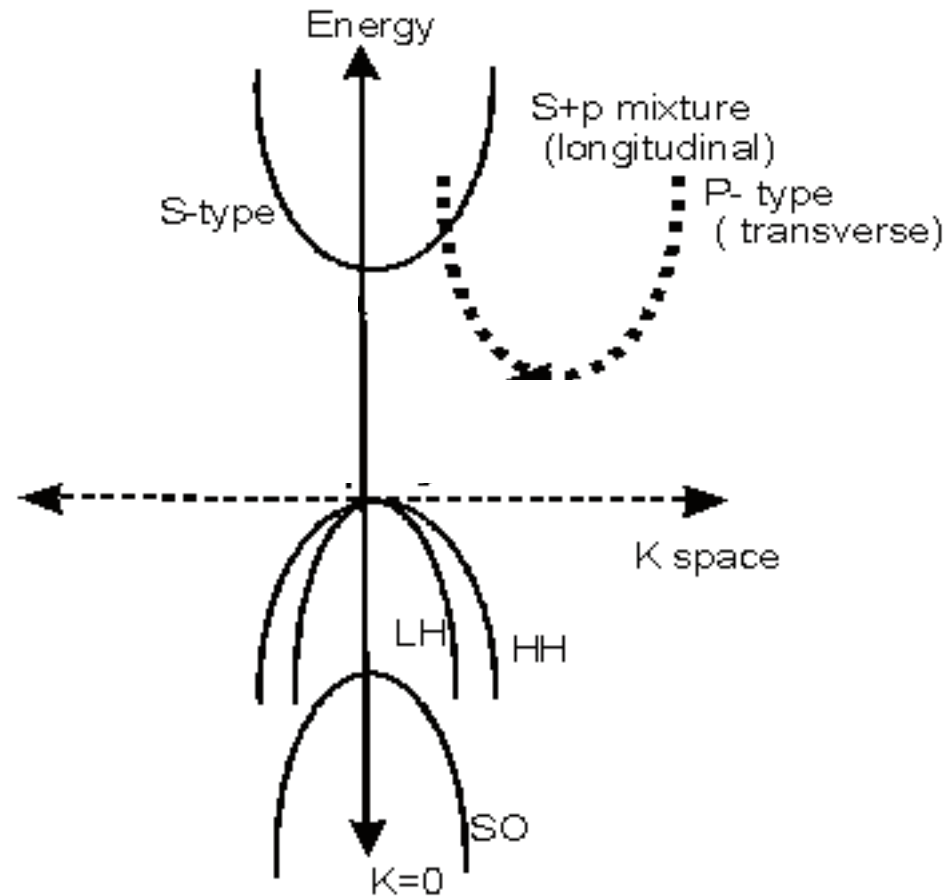
$$m_{\text{transport}} = 0.15 \text{ (later)}$$

**We need a model with two carrier species, one of them anisotropic.**

# Multiple Drude Contributions

- **Electron mass depends on orbital (s, p, d, f)**
  - s: light (small mass  $m^* \ll 1$ )
  - p: intermediate ( $m^* \sim 0.3$  to  $1$ )
  - d,f: heavy (large mass  $m^* \gg 1$ )
  - p,d,f: usually anisotropic
- Electrons and holes
- Different CB minima ( $\Gamma, L, X$ )
- Different VB hole bands (light, heavy, split-off)

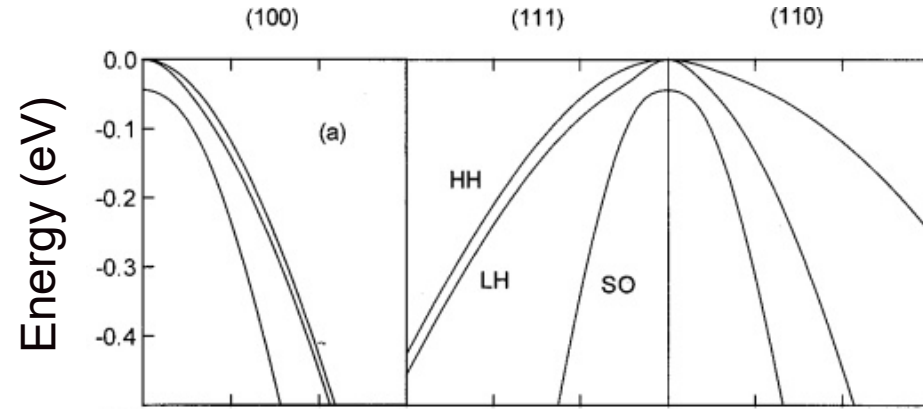
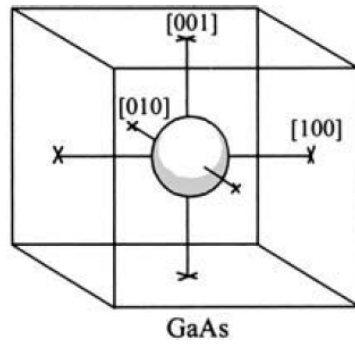
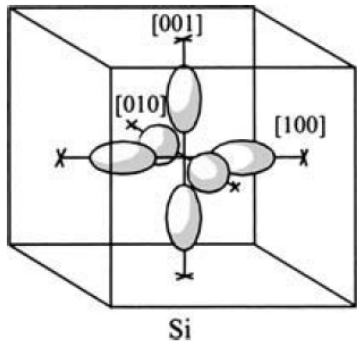
CB: Conduction band (empty)



VB: Valence band (filled)

P. Drude, Phys. Z. 1, 161 (1900).

# Drude Model for Anisotropic Free Carriers



Conduction band minima in Ge and Si are anisotropic. Ge:  $m_l=1.59$ ,  $m_t=0.0815$ .

Valence band maxima in semiconductors are warped (Luttinger parameters).

$$E(\vec{k}) = \frac{\hbar^2 \vec{k}^2}{2m}$$

$$m^{-1} = \frac{1}{\hbar^2} \frac{\partial^2 E(\vec{k})}{\partial \vec{k}^2} = \begin{pmatrix} m_l^{-1} & 0 & 0 \\ 0 & m_t^{-1} & 0 \\ 0 & 0 & m_t^{-1} \end{pmatrix}$$

$$m = \frac{3m_l m_t}{m_t + 2m_l}$$

**Δ-valley**  
**Drude mass**  
**Harmonic mean**

$$\varepsilon(\omega) = 1 - \frac{\omega_p^2}{\omega^2 + i\gamma\omega}$$

$$\omega_p^2 = \frac{nq^2}{m\varepsilon_0}$$

**Charge density**

Drude formula still valid, but  $\varepsilon$ ,  $\omega_p^2$ ,  $m^{-1}$ , and  $\gamma$  are tensors.

P. Drude, Phys. Z. 1, 161 (1900).







# Semiclassical Model of Electron Dynamics

Ashcroft &  
Mermin,  
Chapter 12

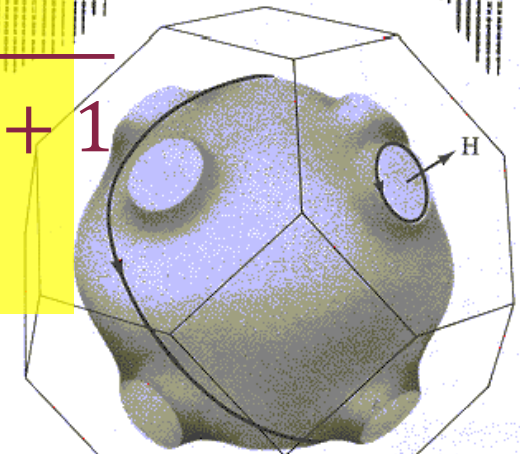
$$\dot{\vec{r}} = \vec{v}_n(\vec{k}) = \frac{\hbar \vec{k}}{m} = \frac{1}{\hbar} \frac{\partial E_n(\vec{k})}{\partial \vec{k}}$$

$$\hbar \dot{\vec{k}} = q \left[ \vec{E}(\vec{r}, t) + \vec{v}_n(\vec{k}) \times \vec{B}(\vec{r}, t) \right]$$

$$f(E_n(\vec{k})) = \frac{1}{\exp \left[ (E_n(\vec{k}) - E_F) / k_B T \right] + 1}$$

$$m_c(E, k_z) = \frac{\hbar^2}{2\pi} \frac{\partial A(E, k_z)}{\partial E}$$

← 52 oscillations →



“Electrons move along curves given by the intersection of surfaces of constant energy with planes perpendicular magnetic field.”

Is there an **optical analog to Shubnikov-de Haas effect? (Ge-Sn, GaSb)**

INM

**How do we model Drude response of free carriers with realistic band structures?**



# Anisotropic masses (GaSb L-valley)

Longitudinal mass at L

$$m_l = 0.95$$

Transverse mass at L

$$m_t = 0.11$$

Density of states mass  
(geometric mean)

$$m_d = 0.57$$

$$m_d = \sqrt[3]{N_V^2 m_l m_t^2}$$

**Drude transport mass  
(harmonic mean)**

$$m_D = 0.15$$

$$\frac{3}{m_D} = \frac{1}{m_l} + \frac{2}{m_t}$$

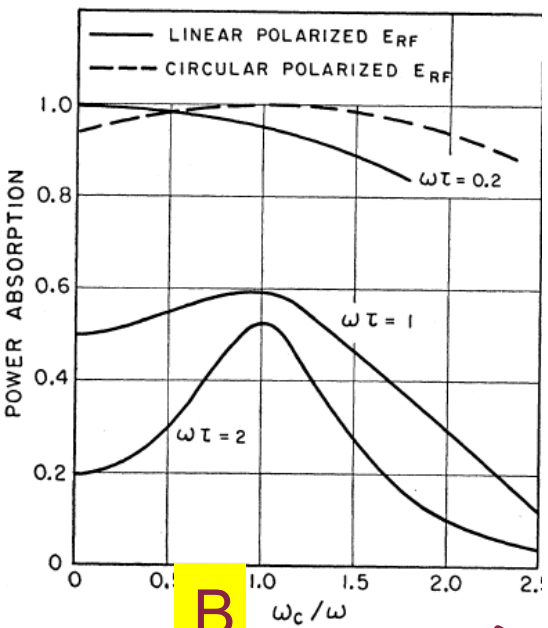
Cyclotron mass

$$m_c = \sqrt{\frac{\det \vec{m}}{\vec{b} \cdot \vec{m} \cdot \vec{b}}}$$

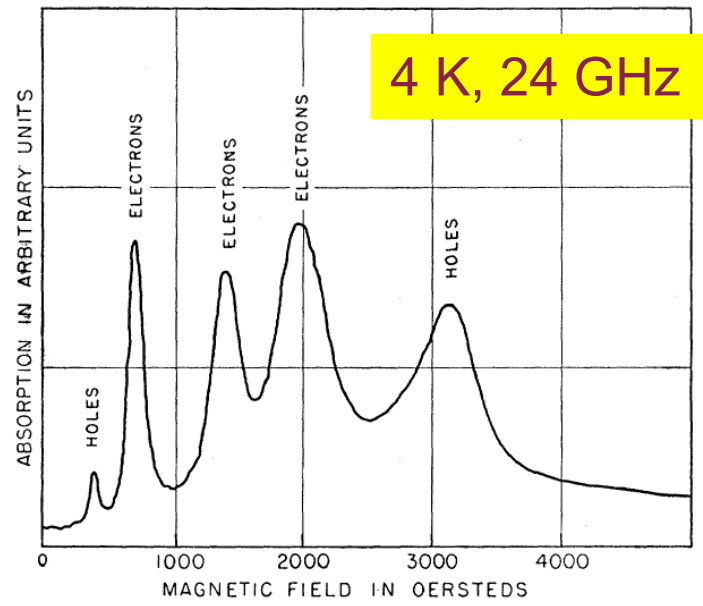
Optical Hall effect measurements on anisotropic materials are sparse. Need measurements on bulk Si, Ge, GaP with different orientations (change direction of magnetic field). How about SiC?

# Cyclotron Resonance

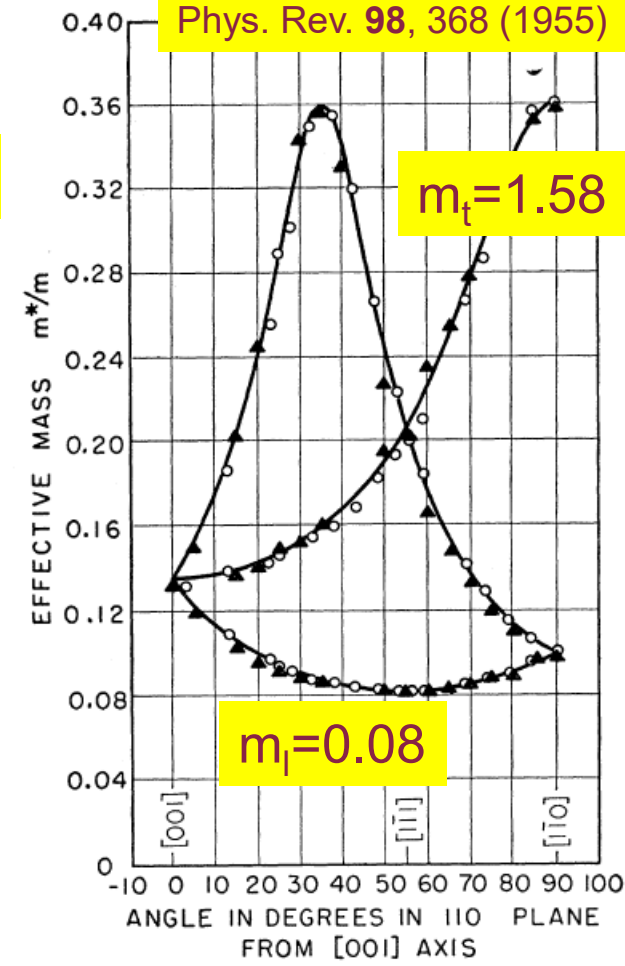
Dresselhaus, Kip, Kittel,  
Phys. Rev. **98**, 368 (1955)



**B**



10000 Oe = 1 T



$$\omega_c = \frac{qB}{m}$$

Measure microwave absorption as a function of the magnetic field. Information about VB warping.



# Insulators

CB: Conduction band (empty)

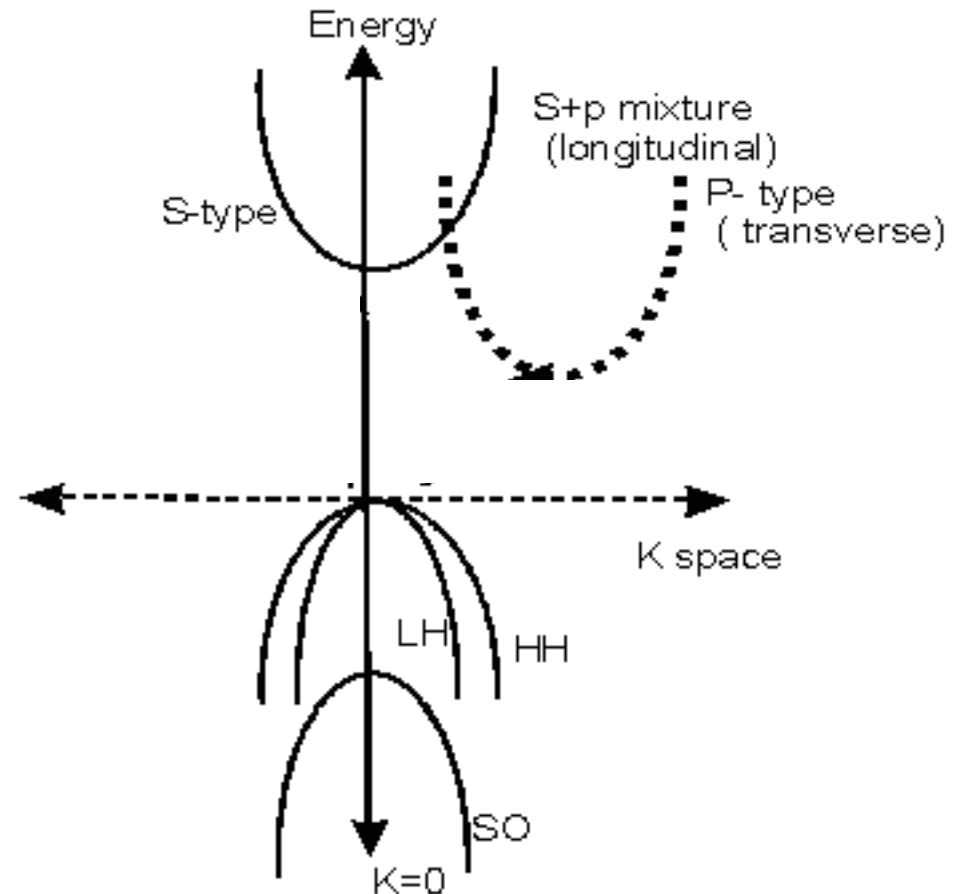
Transparent region below the band gap (VIS/UV).

Forbidden “energy gap”.

Semiconductors are insulators with small band gap (IR).

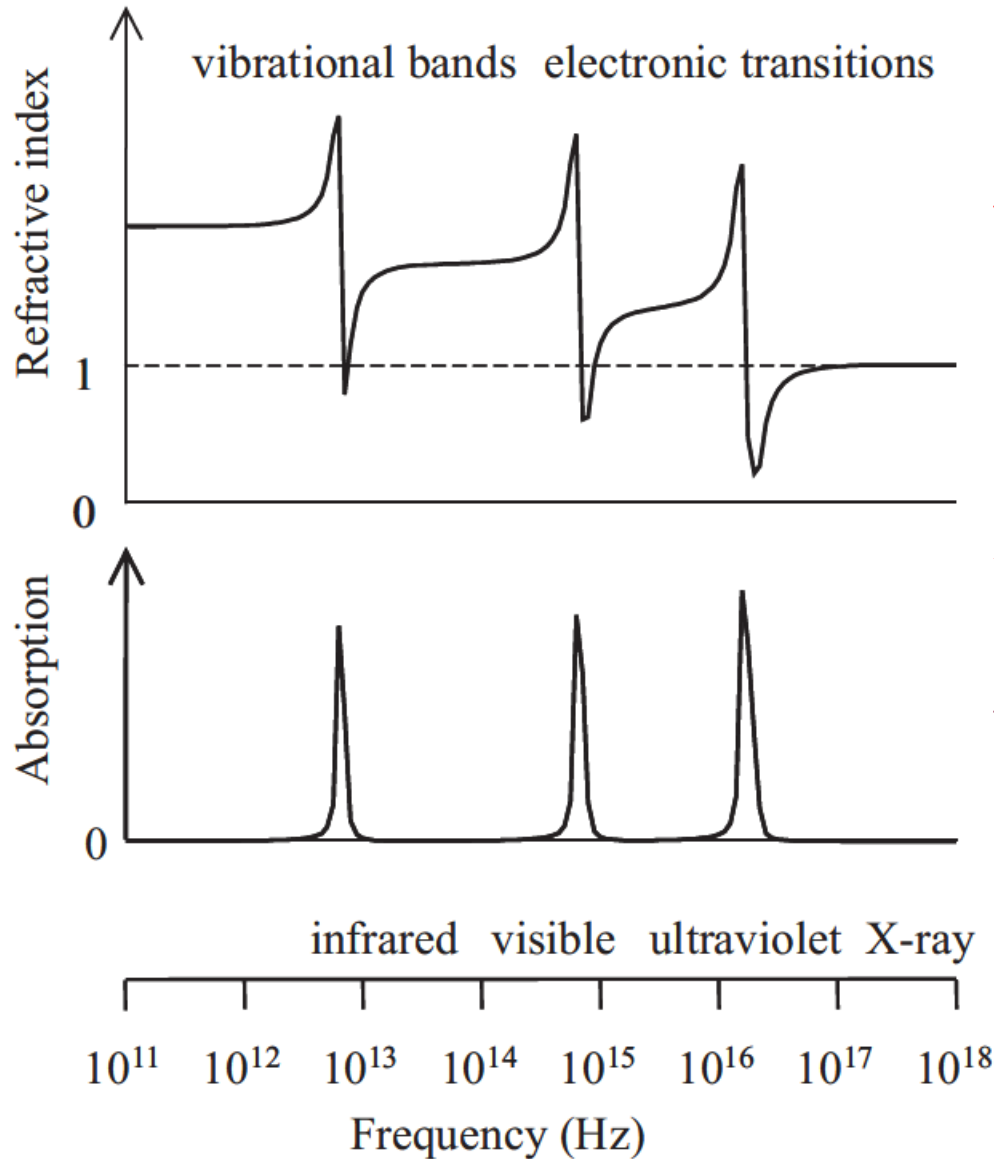
Valence band filled.  
Conduction band empty.

Filled bands do not carry current



VB: Valence band (filled)

# Multiple Lorentz Contributions: IR, UV, x-ray



**IR: lattice vibrations**

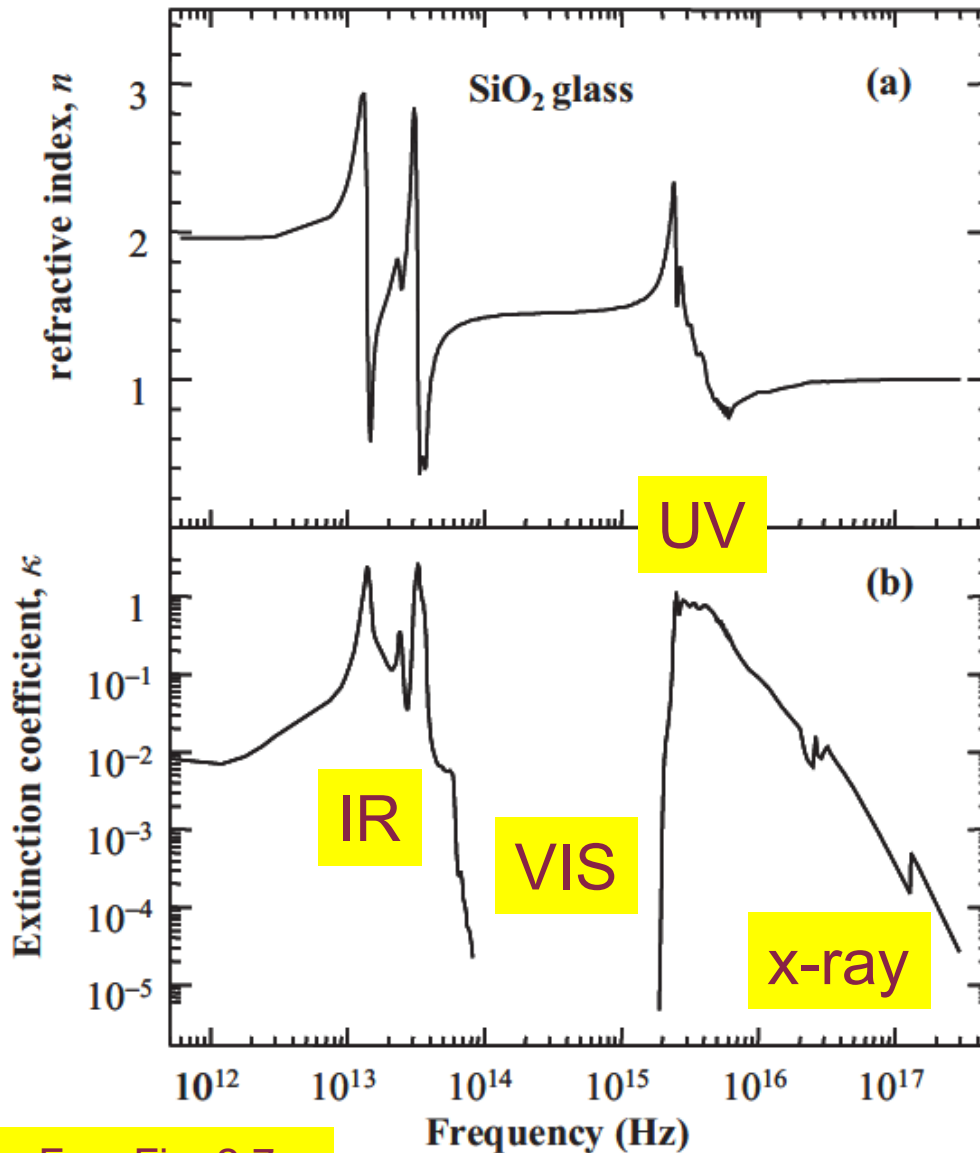
**VIS/UV: valence electrons**  
(usually broadened by band structure effects)

**x-ray: core electrons**

Amplitude depends on

- Density of oscillators
- Matrix elements
- Born effective charge

# Multiple Lorentz Contributions: SiO<sub>2</sub> as an Example



Fox, Fig. 2.7

**IR: lattice vibrations**  
(Si-O bend, stretch)

VIS: Nothing happens

**UV: valence electrons**  
(interband transitions)

**x-ray: core electrons**  
(absorption edges)

- Amplitude depends on
- Density of oscillators
  - Matrix elements
  - Born effective charge



# Poles, Sellmeier Approximation

Set  $g=0$  far from resonance.  
Lorentz oscillator becomes  
a **pole**

$$\varepsilon(\omega) = 1 + \frac{A\omega_0^2}{\omega_0^2 - \omega^2}$$

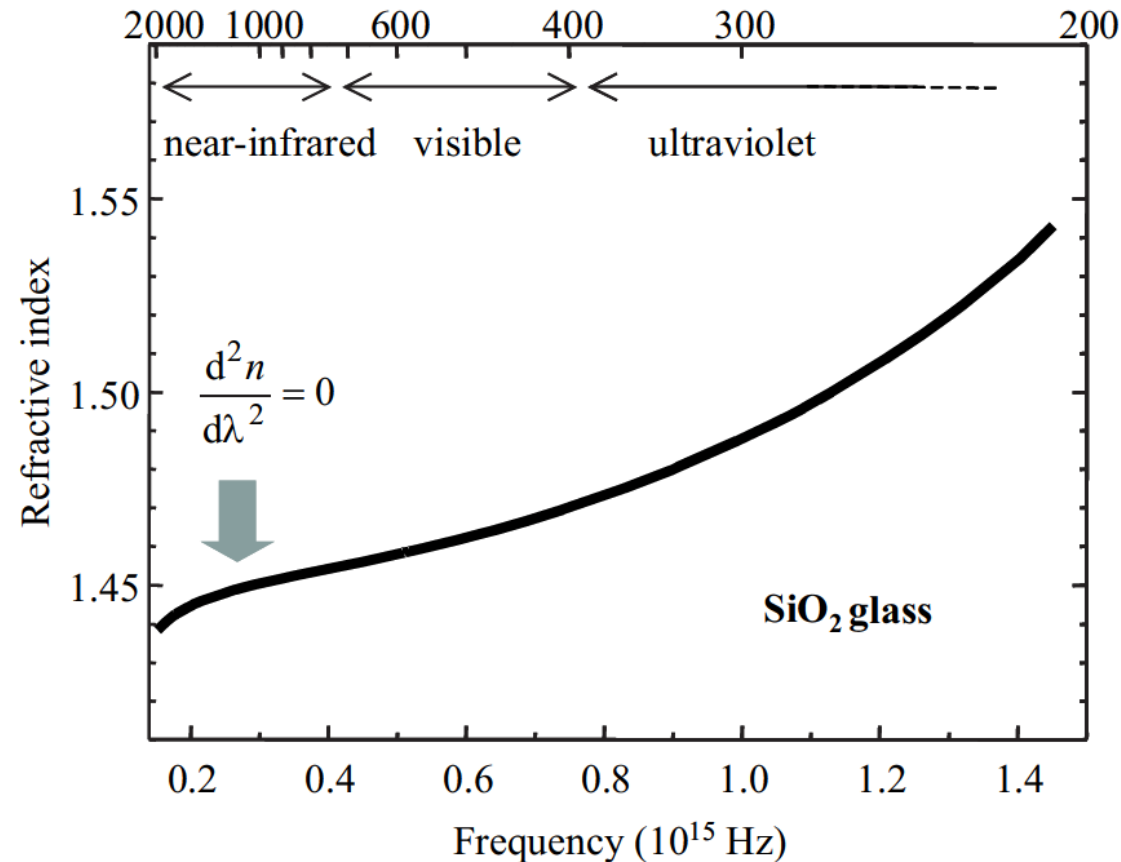
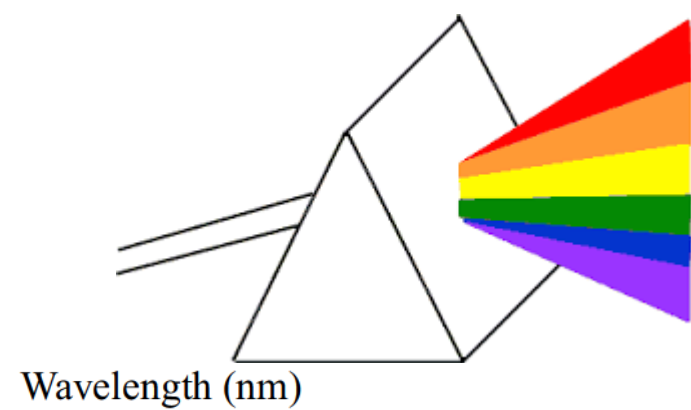
Rewrite as a function of  $\lambda$

$$\varepsilon(\lambda) = 1 + \frac{B\lambda^2}{\lambda^2 - C}$$

Several Lorentz oscillators  
(one in IR, two in UV)

$$\varepsilon(\lambda) = 1 + \sum_i \frac{B_i\lambda^2}{\lambda^2 - C_i}$$

**Sellmeier approximation.**



# Cauchy Equation (Urbach Tail)

The Cauchy equation

$$n(\lambda) = \sqrt{\varepsilon(\lambda)} = A + \frac{B}{\lambda^2} + \frac{C}{\lambda^4}$$

can be viewed as a Laurent series expansion of the Sellmeier equation

$$n(\lambda) = \sqrt{\varepsilon(\lambda)} = \sqrt{1 + \frac{B\lambda^2}{\lambda^2 - C}}$$

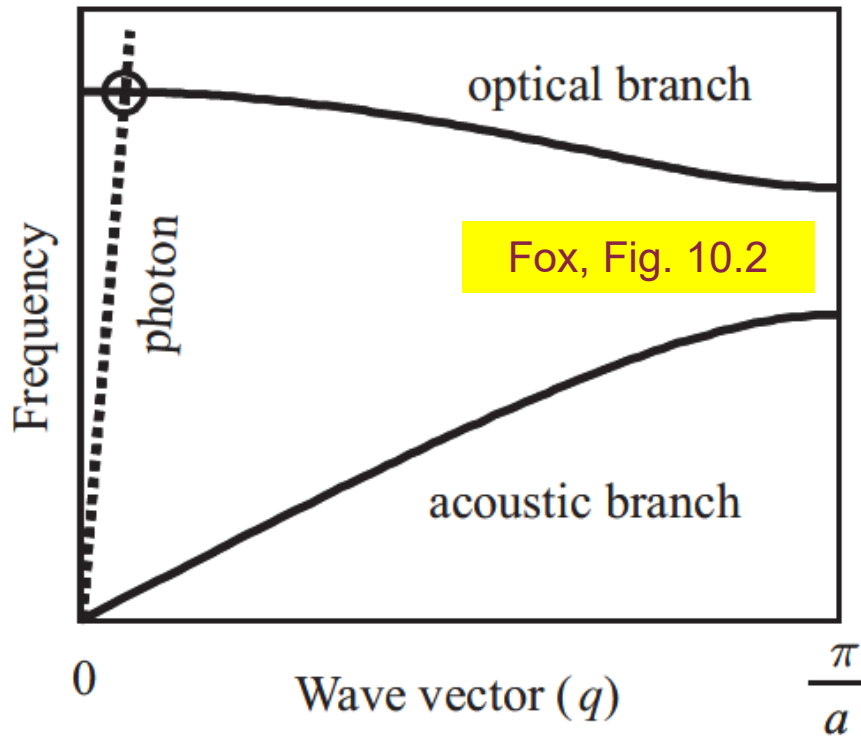
## Comments:

The Cauchy equation does not include absorption and therefore is not Kramers-Kronig consistent. Absorption is often included with an Urbach tail

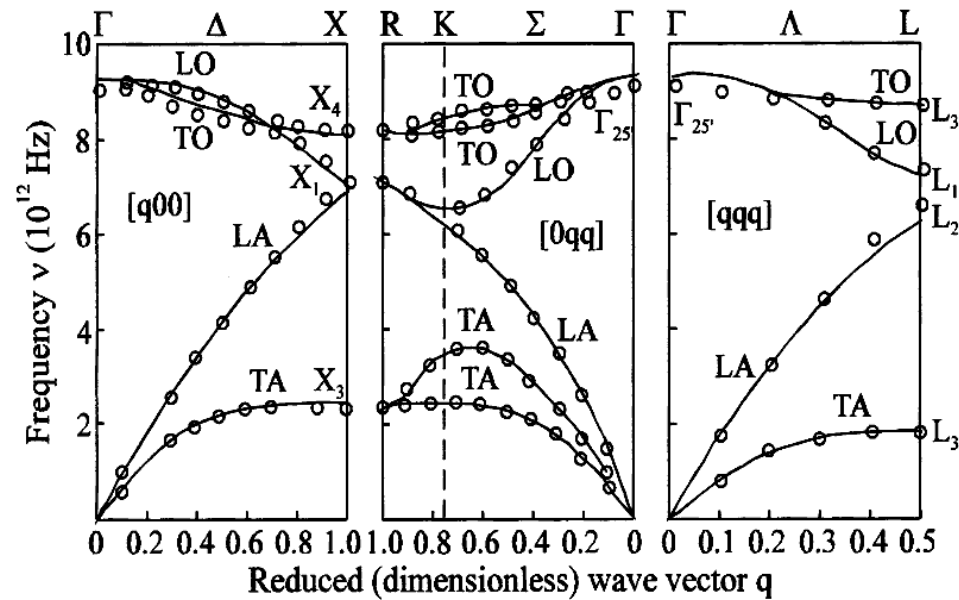
$$k(E) = \alpha e^{\beta(E-\gamma)}$$

but this still does not make it Kramers-Kronig consistent. Not recommended, use Tauc-Lorentz model instead.

# Insulator Phonon Spectra (Ge)



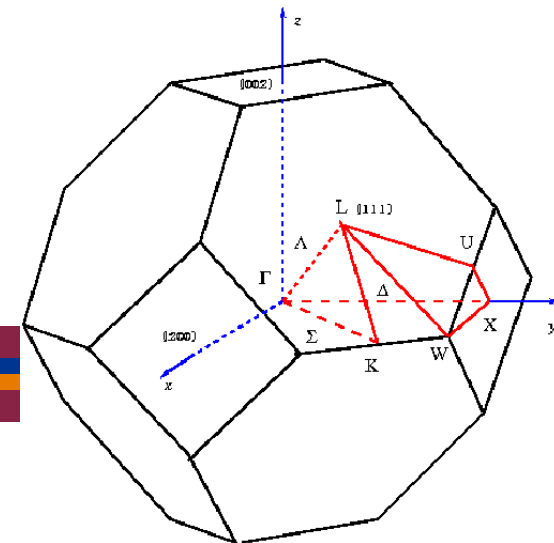
## Neutron scattering



Inelastic neutron scattering measures entire phonon dispersion.

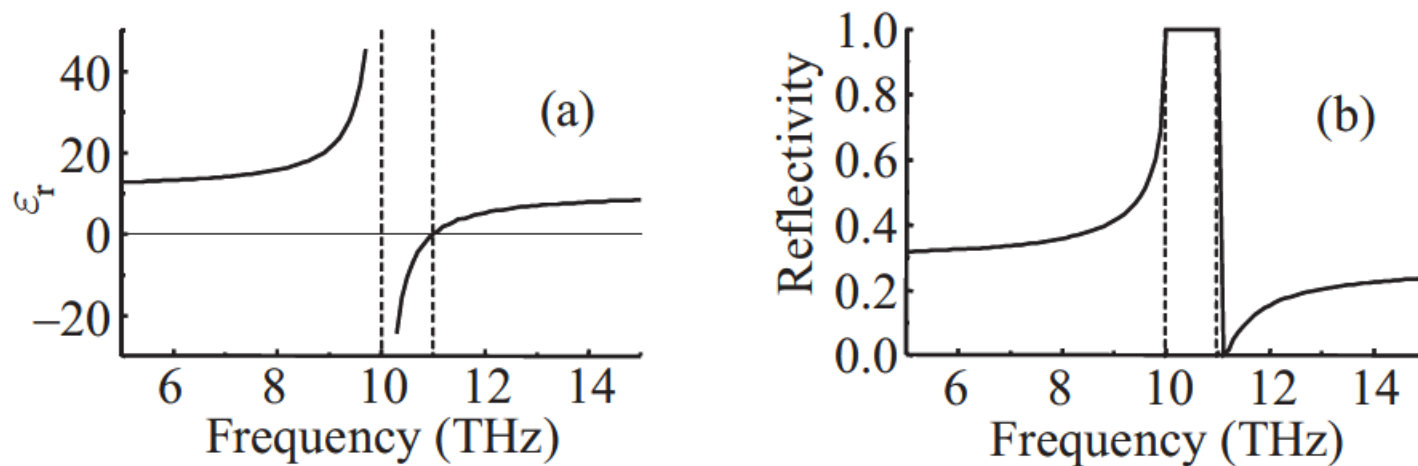
Optical experiments only probe  $k \approx 0$ , because  $\lambda \rho a$ .

**Ge is IR-inactive (no dipole moment)**





# Infrared Lattice Vibrations (Lorentz model)



$$\epsilon(\omega) = \epsilon_{\infty} + \sum_i \frac{A_i \omega_{0,i}^2}{\omega_{0,i}^2 - \omega^2 - i\gamma_{0,i}\omega}$$

Fox, Fig. 10.4

In **polar materials** (Born effective charge), TO and LO modes are split.

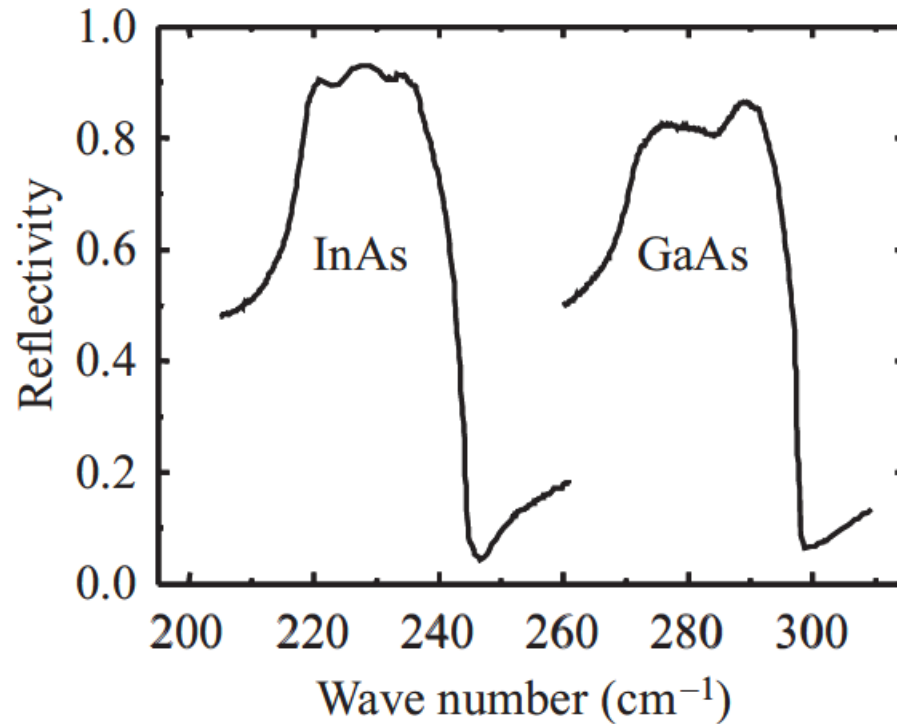
TO: transverse optical (displacement perpendicular to  $\mathbf{k}$ )

LO: longitudinal optical (displacement along  $\mathbf{k}$ )

$\epsilon_2$  has peak at TO frequency

$\epsilon_1$  is negative from TO to LO frequency (reflectance is 1)

# Infrared Lattice Vibrations (Lorentz model)



Reststrahlen  
Band

Fox, Fig. 10.5

In polar materials (Born effective charge), TO and LO modes are split.

TO: transverse optical (atomic displacement perpendicular to  $\mathbf{k}$ )

LO: longitudinal optical (atomic displacement along  $\mathbf{k}$ )

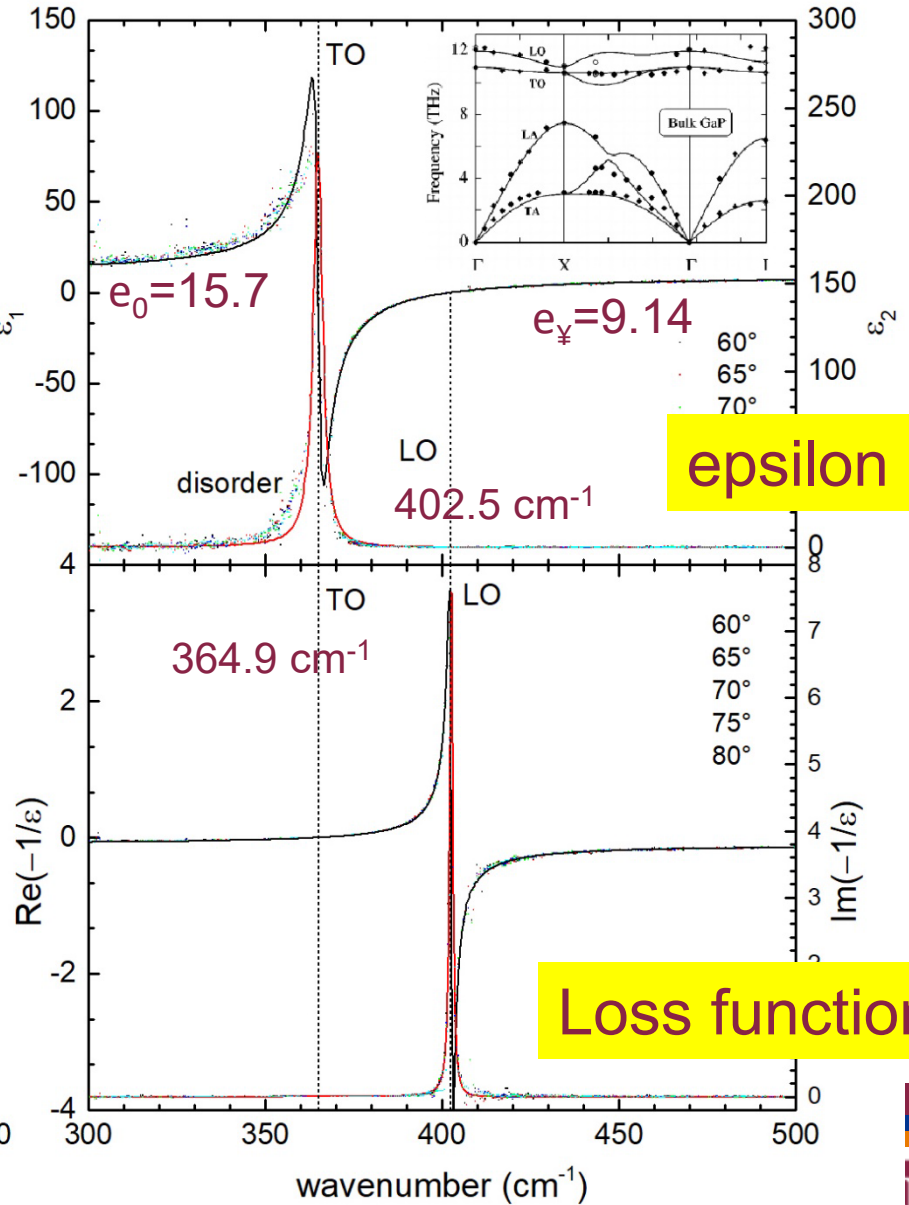
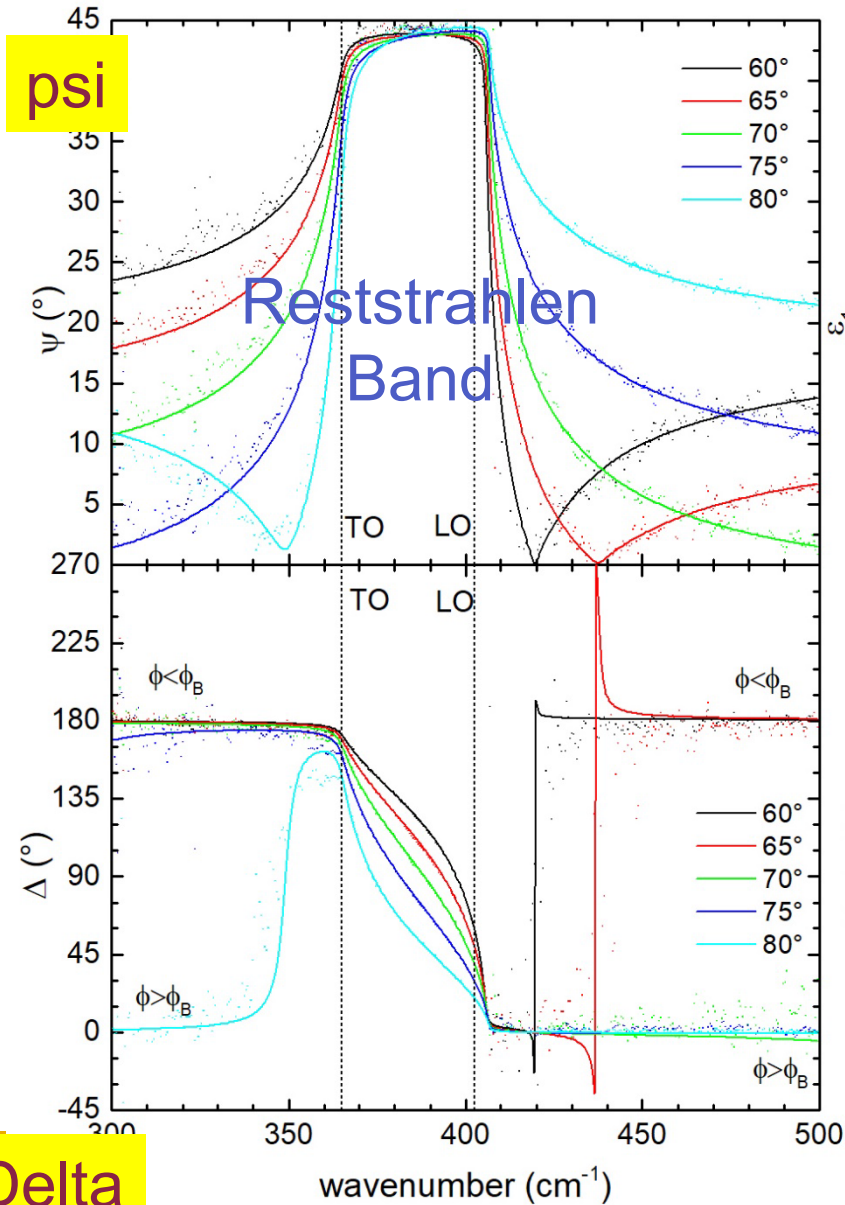
$\epsilon_2$  has peak at TO frequency

$\epsilon_1$  is negative from TO to LO frequency (reflectance is 1)

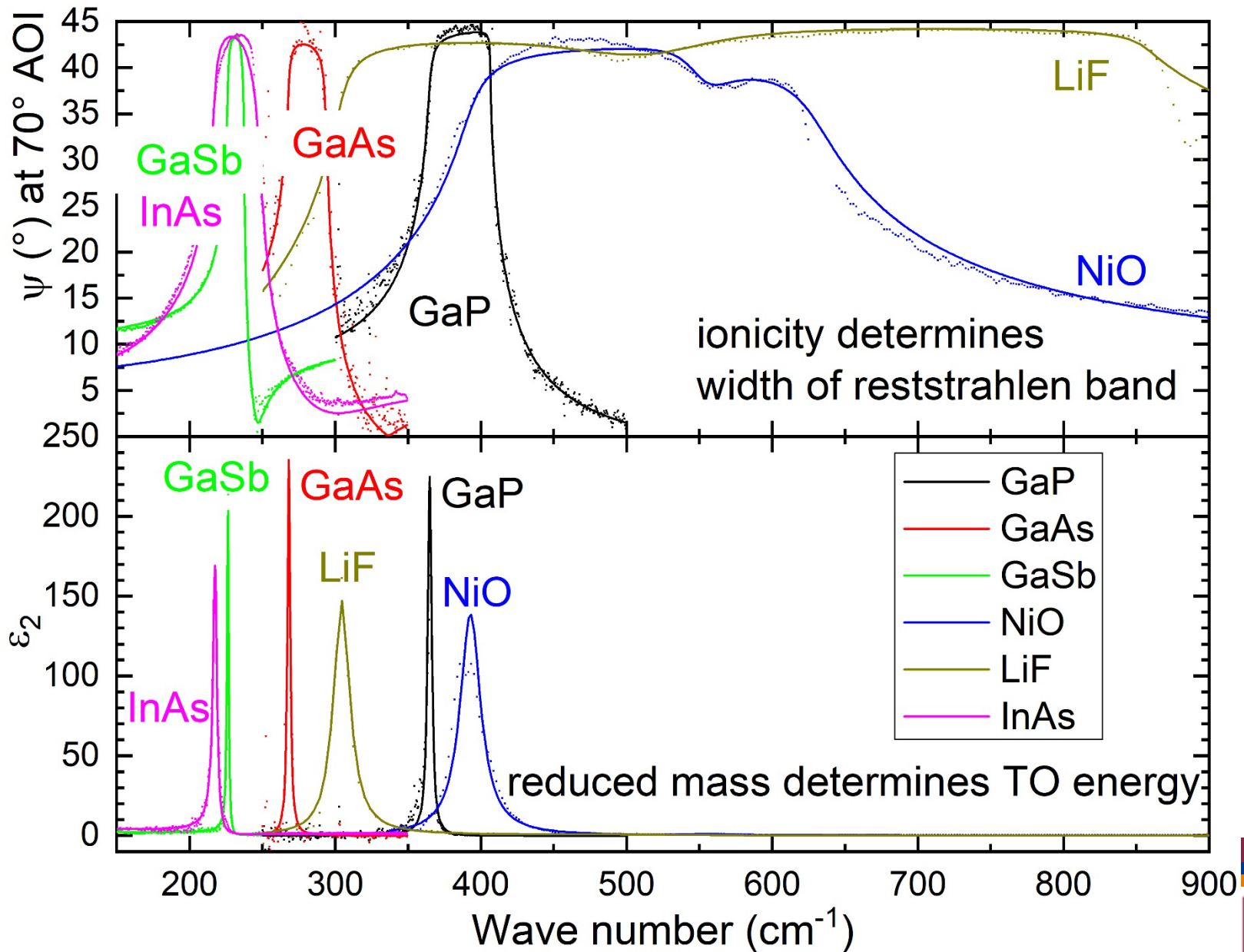
Reststrahlen band extends from TO to LO energy.

$$\epsilon(\omega) = \epsilon_{\infty} + \frac{A\omega_0^2}{\omega_0^2 - \omega^2 - i\gamma_0\omega}$$

# Infrared Lattice Vibrations in GaP



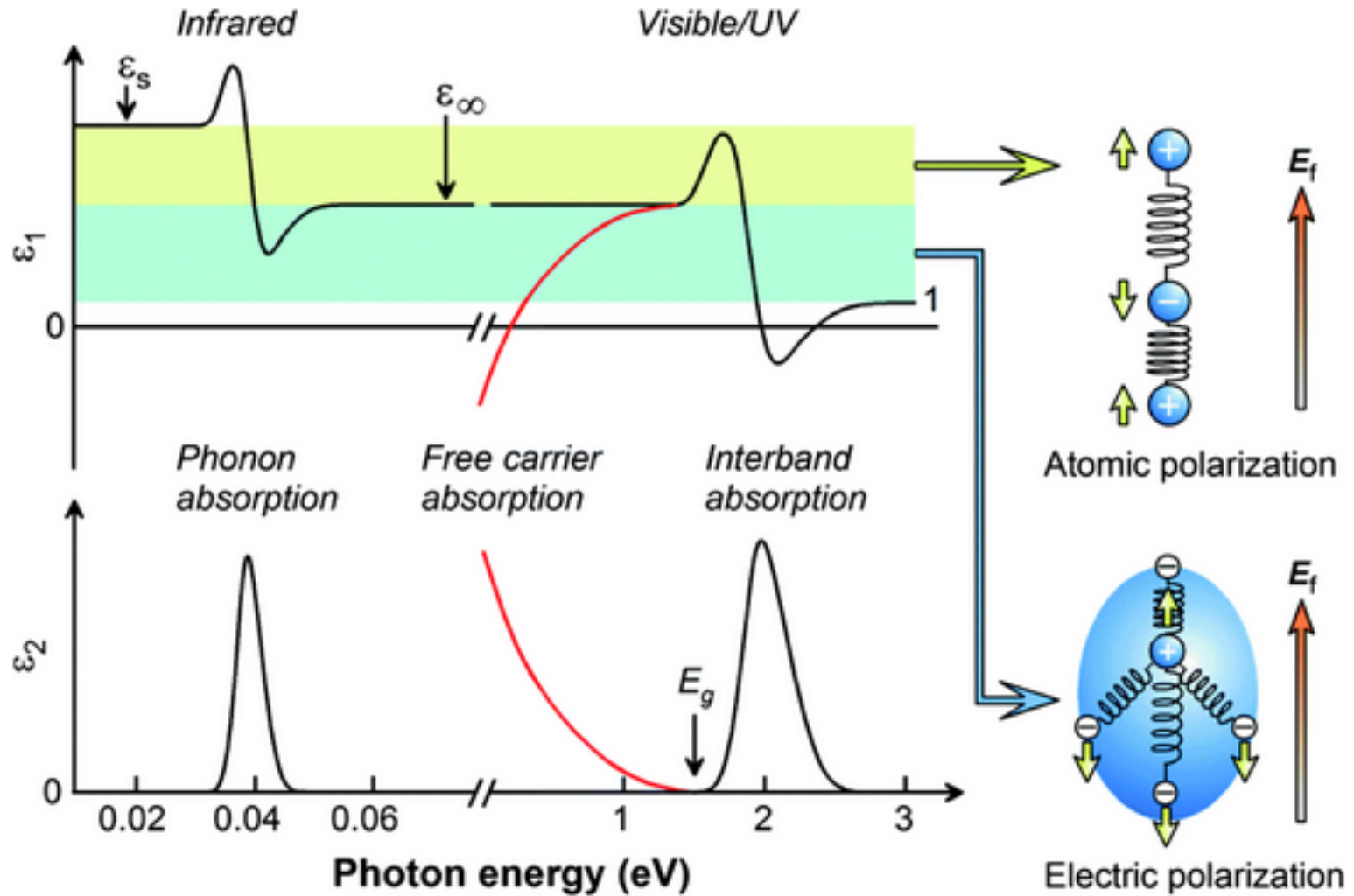
# Infrared Lattice Vibrations (Lorentz model)



# Lyddane Sachs Teller relation (Lorentz model)

$$\epsilon_S \omega_{TO}^2 = \epsilon_\infty \omega_{LO}^2$$

LST relation



Lyddane, Sachs, Teller, Phys. Rev. **59**, 673 (1941)



# Lyddane Sachs Teller relation (Lorentz model)

Lorentz model ( $\gamma=0$ ) for one TO/LO phonon mode

$$\varepsilon(\omega) = \varepsilon_{\infty} + \frac{A\omega_0^2}{\omega_0^2 - \omega^2}$$

At zero frequency ( $\omega=0$ ) define static dielectric constant  $\varepsilon_s$

$$\varepsilon_s = \varepsilon(\omega = 0) = \varepsilon_{\infty} + A$$

Define  $\omega_{LO}$  through  $\varepsilon(\omega_{LO})=0$   
(Longitudinal modes require  $\varepsilon=0$ ).

$$0 = \varepsilon_{\infty} + \frac{A\omega_0^2}{\omega_0^2 - \omega_{LO}^2}$$

or

$$\varepsilon_s \omega_{TO}^2 = \varepsilon_{\infty} \omega_{LO}^2$$

LST relation

Lyddane, Sachs, Teller, Phys. Rev. **59**, 673 (1941)

# Generalized Lyddane Sachs Teller relations

Multiple phonon modes  
(isotropic)

$$\frac{\epsilon_S}{\epsilon_\infty} = \prod_i \frac{\omega_{LO,i}^2}{\omega_{TO,i}^2}$$

Kurosawa, J. Phys. Soc. Jpn. **16**, 1298 (1961)

Anisotropic crystals

$$\frac{\det(\epsilon_S)}{\det(\epsilon_\infty)} = \prod_i \frac{\omega_{LO,i}^2}{\omega_{TO,i}^2}$$

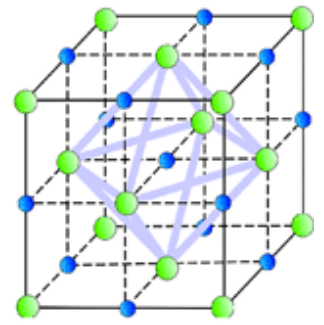
Mathias Schubert, Phys. Rev. Lett. **117**, 215502 (2016)

Amorphous materials and liquids

$$\frac{\epsilon_S}{\epsilon_\infty} = \frac{\langle \omega^2 \rangle_l}{\langle \omega^2 \rangle_t}$$

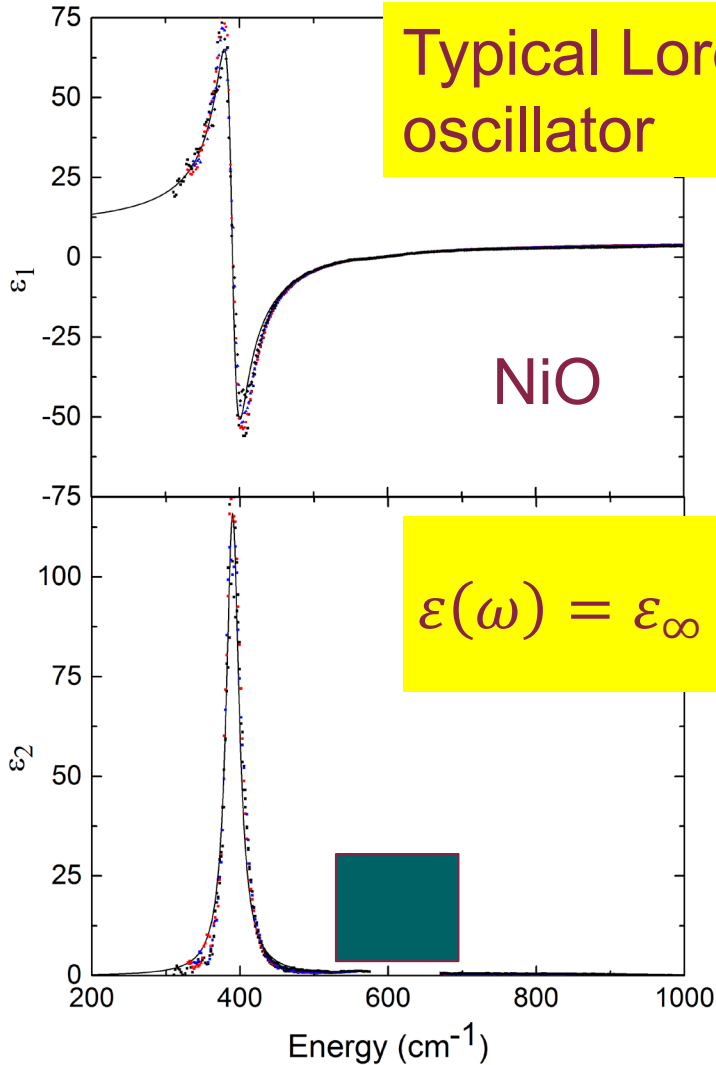
A.J. Sievers and J.B. Page, Infrared Physics **32**, 425 (1991)

# Infrared Lattice Vibrations (NiO)



Typical Lorentz oscillator

NiO or NaCl or LiF:  
Rocksalt lattice



$$\epsilon(\omega) = \epsilon_{\infty} + \frac{A\omega_0^2}{\omega_0^2 - \omega^2 - i\gamma_0\omega}$$

- Ni<sup>2+</sup>-O<sup>2-</sup> bonds are polar.
- Ni-O vibration has dipole moment.

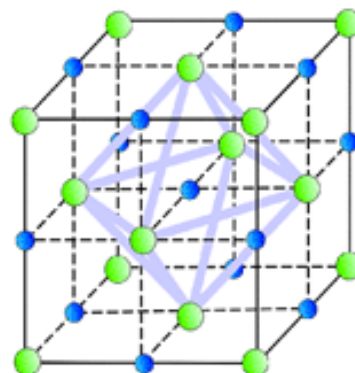


FTIR ellipsometry

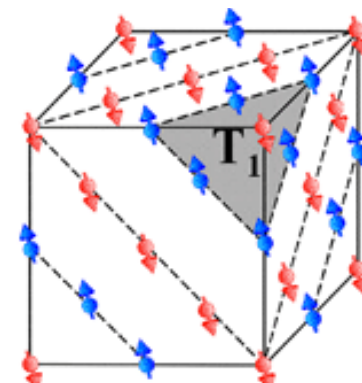


# Infrared Lattice Vibrations (NiO)

- Rocksalt Crystal Structure (FCC), Space Group 225 (Fm-3m).
- Single TO/LO phonon pair.
- Antiferromagnetic ordering along (111), should cause phonon splitting (8-30  $\text{cm}^{-1}$ ).
- Second-order phonon absorption.

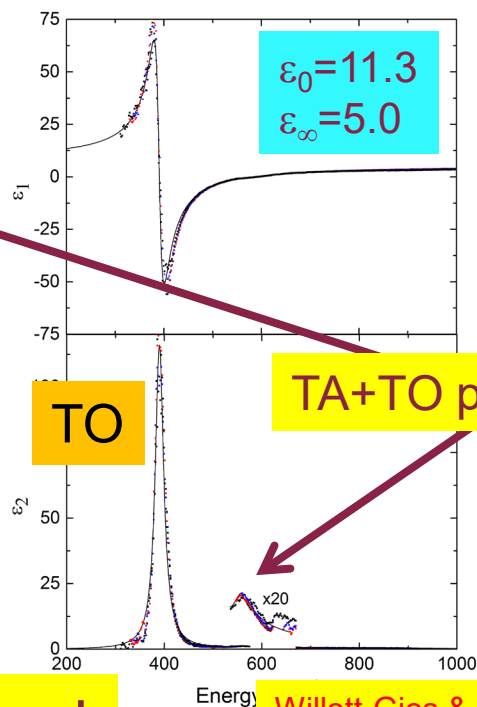
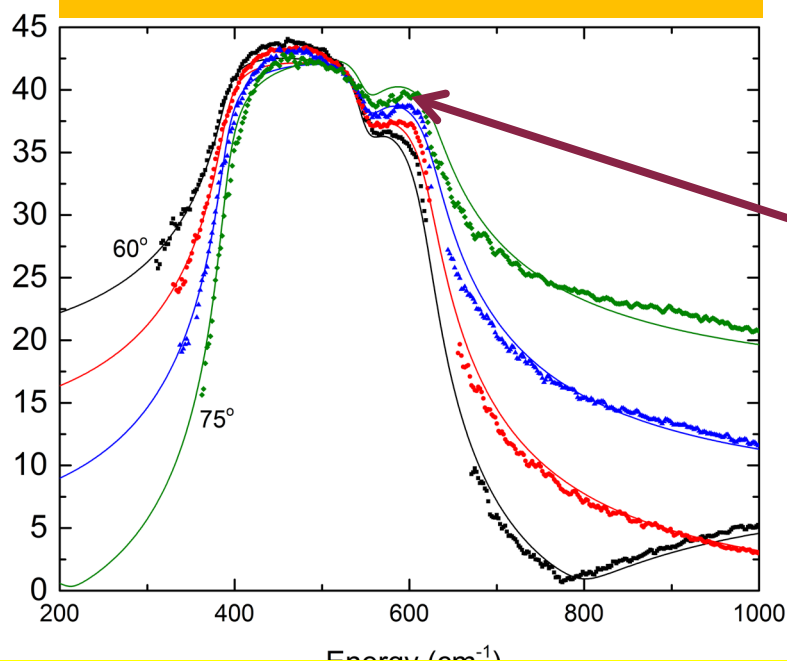


NiO cell



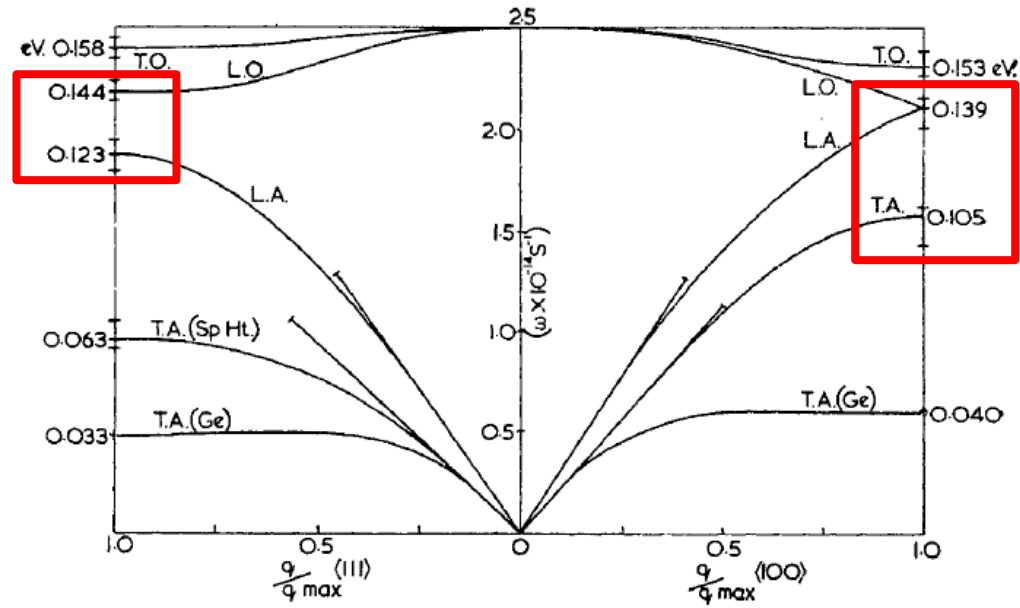
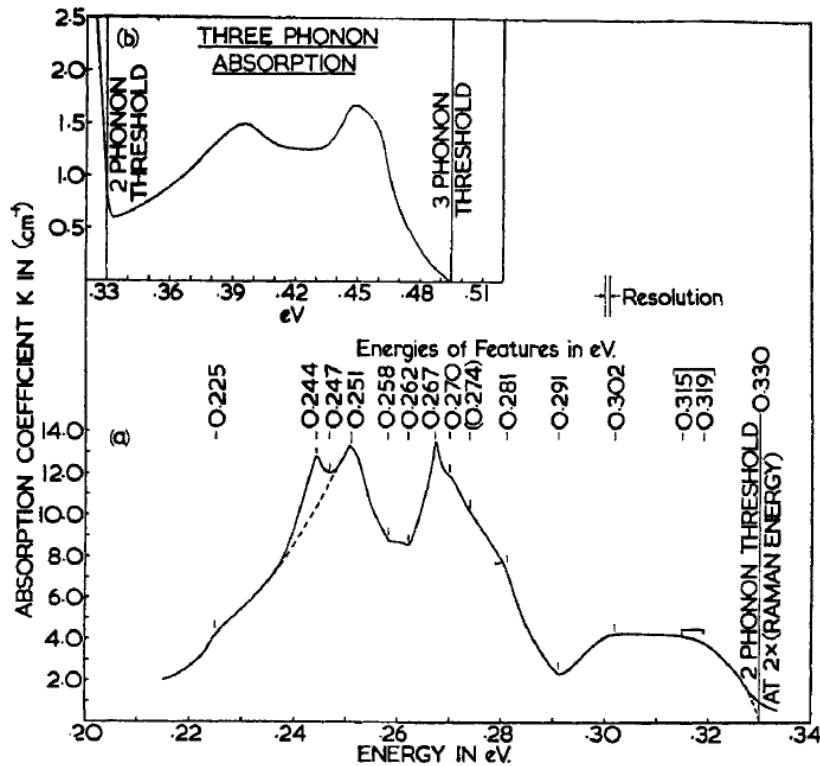
Rooksby, Nature, 1943

## NiO Reststrahlen Band



Absorption in the restrahlen band

# Two-phonon absorption (diamond)

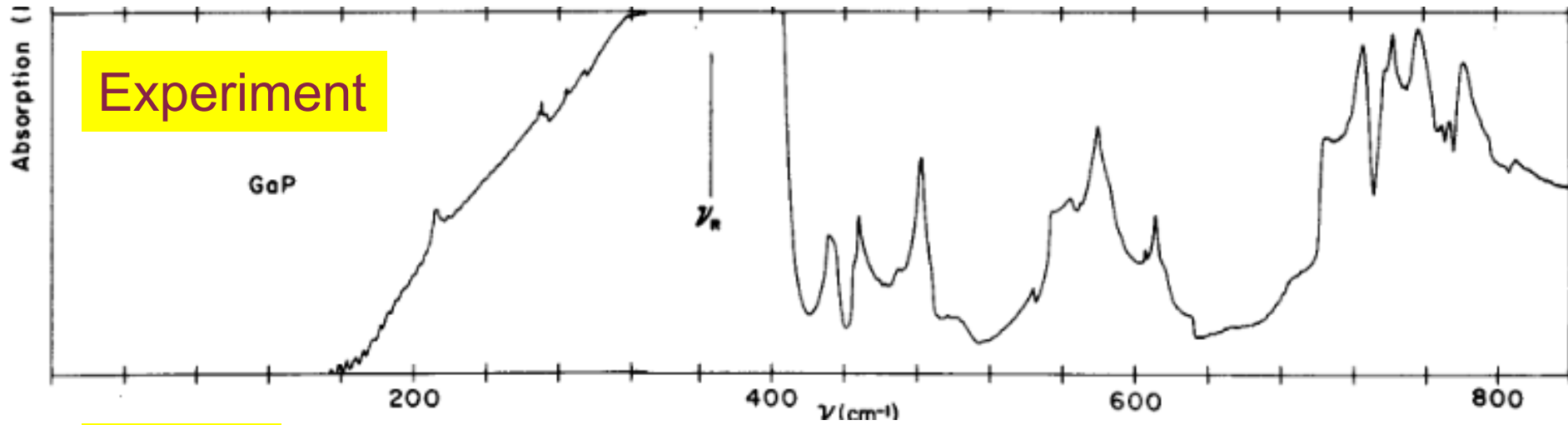


$TA+LAO (X): 105+139=244 \text{ meV}$

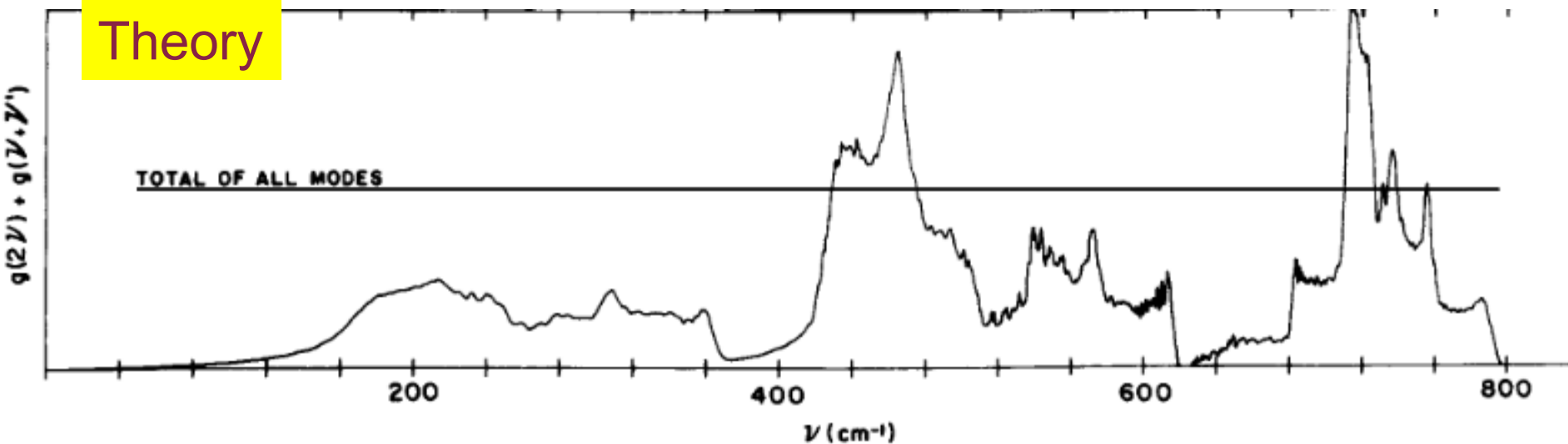
A single photon excites two phonons. Energy and wave vector conserved. Two-phonon absorption is weak (lower probability than TO phonon absorption). Most likely to occur near Brillouin zone boundary (high density of states).

# Two-phonon absorption (GaP)

Experiment



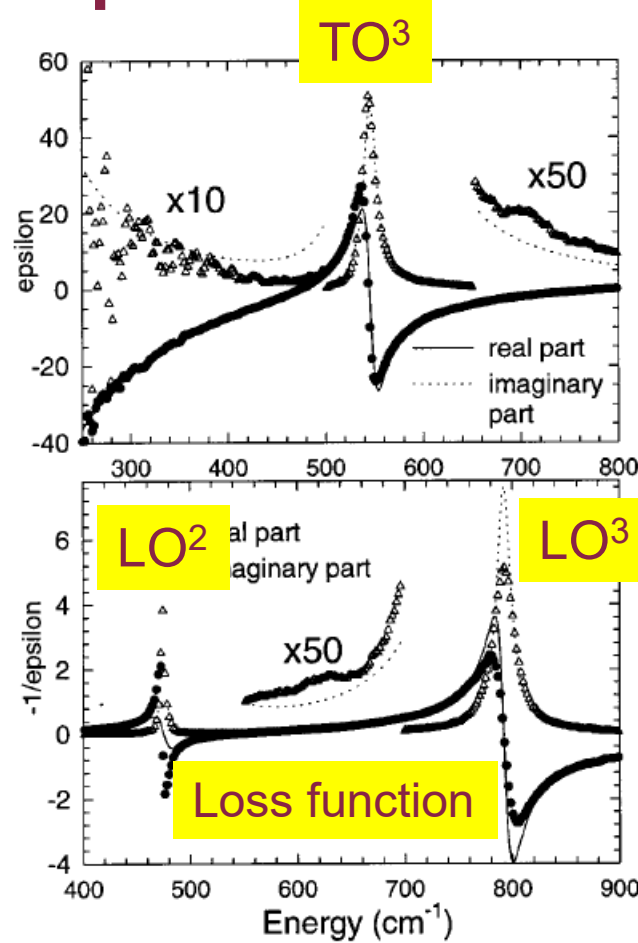
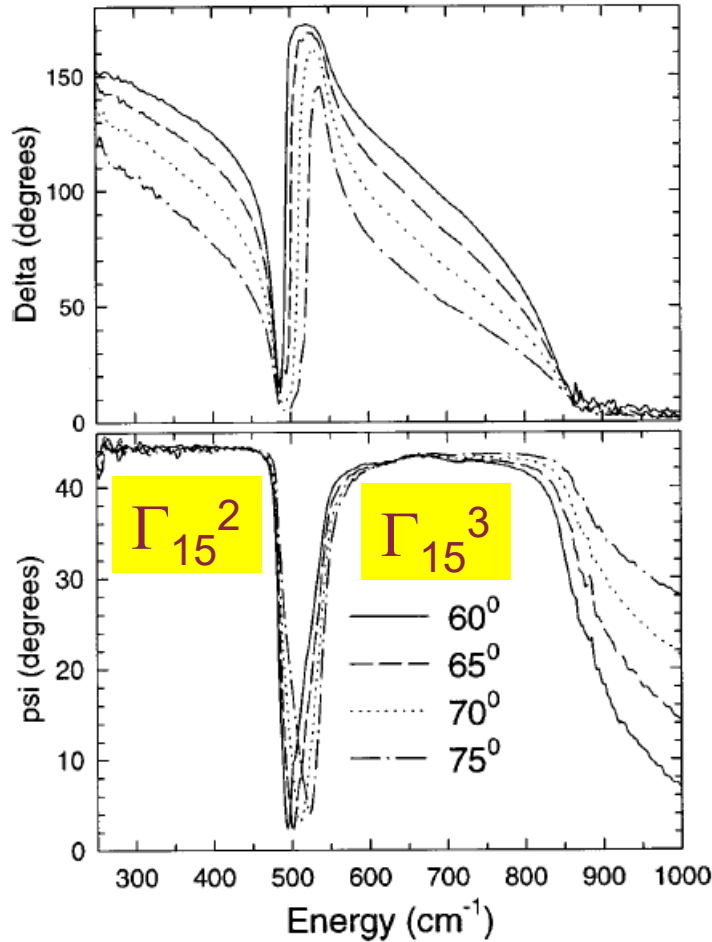
Theory



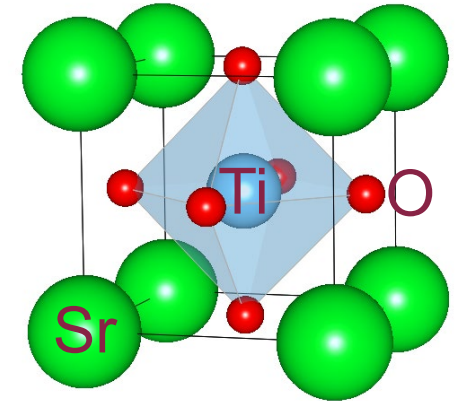
Alternative to neutron scattering to determine zone-edge phonon energies.

E.S. Koteles, Solid State Commun. **19**, 221 (1976)

# Phonons in complex oxides: Perovskites



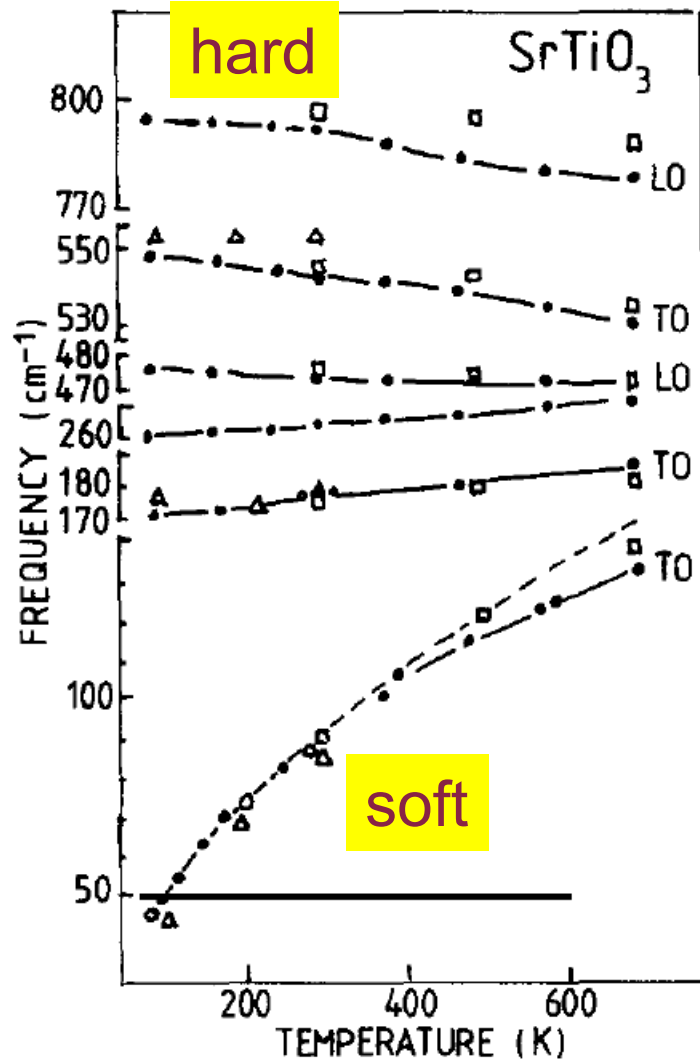
$\epsilon$  shows TO phonons



$-1/\epsilon$  shows LO phonons

5 atoms ( $\text{SrTiO}_3$ ), 4 optical phonons at  $\Gamma$ ,  $3\Gamma_{15}(\text{IR}) + \Gamma_{25}(\text{silent})$

# Hard and soft phonons



Typical behavior: **Hard**  
Phonon energy decreases with temperature.

Anomalous: **Soft**  
Phonon energy goes to zero at low temperature, **drives a phase transition** (collective movement of atoms)

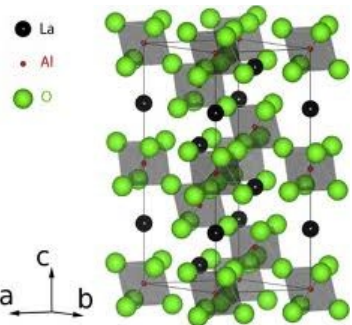
SrTiO<sub>3</sub> is nearly ferroelectric ( $T_C \sim 0$  K).

LST relation

$$\epsilon_S \omega_{TO}^2 = \epsilon_\infty \omega_{LO}^2$$

$\omega_{TO} \rightarrow 0$  at  $T_C$  implies  $\epsilon_S \rightarrow \infty$

# Phonons in more complex oxides (bulk)

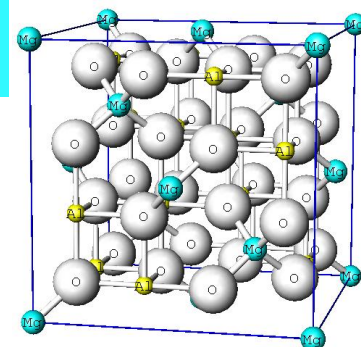


$D_{3d}^6$  or  $R\bar{3}c$

**Space Group**



$O_h^7$  or  $Fd\bar{3}m$



$$\chi(R) = N_R (\det R + 2 \cos \phi)$$

$$\Gamma(D_{3d}^6) = 2A_{1u} + 3A_{2g} + A_{1g} + 3A_{2u} + 4E_g + 5E_u$$

$$\Gamma(O_h^7) = A_{1g} + E_g + T_{1g} + 3T_{2g} + 2A_{2u} + 2E_u + 4T_{1u} + 2T_{2u}$$

**LaAlO<sub>3</sub>**

Raman Active (pointing to A<sub>1g</sub>, A<sub>2u</sub>, E<sub>g</sub>)  
IR Active (pointing to E<sub>u</sub>)

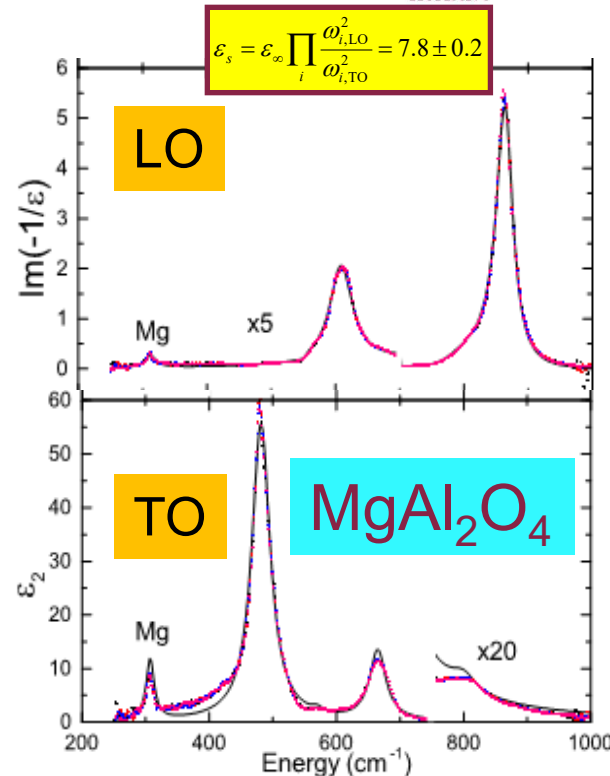
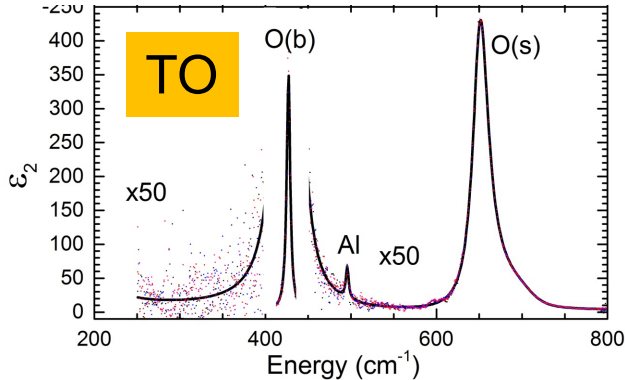
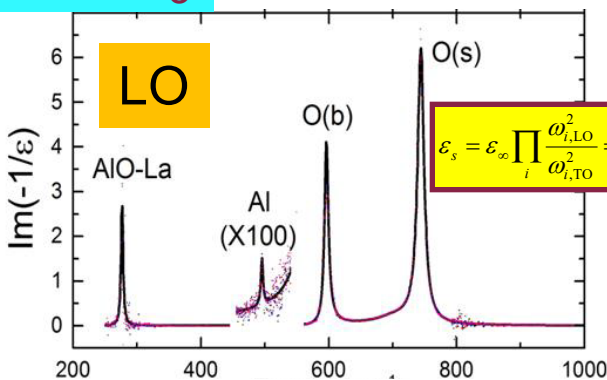
Raman Active (pointing to A<sub>1g</sub>, E<sub>g</sub>, T<sub>2g</sub>)

IR Active (pointing to T<sub>1u</sub>)

**FTIR Ellipsometry**

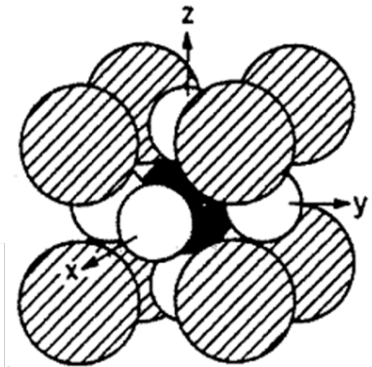
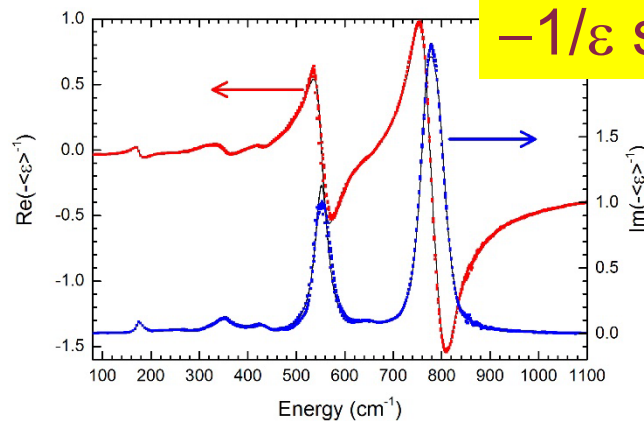
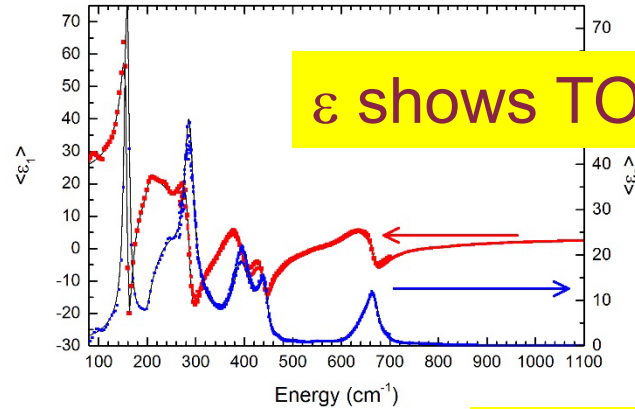
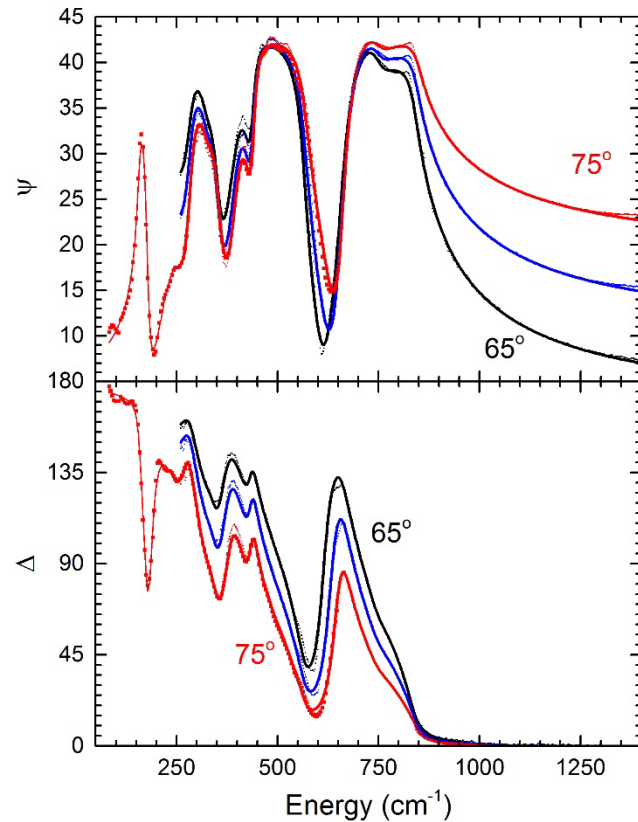
Loss function:  
**LO phonons**

Dielectric function:  
**TO phonons**



Willett-Gies, Thin Solid Films, 2013  
Zollner, Thin Solid Films, 2013

# Far-infrared ellipsometry (bulk LSAT)

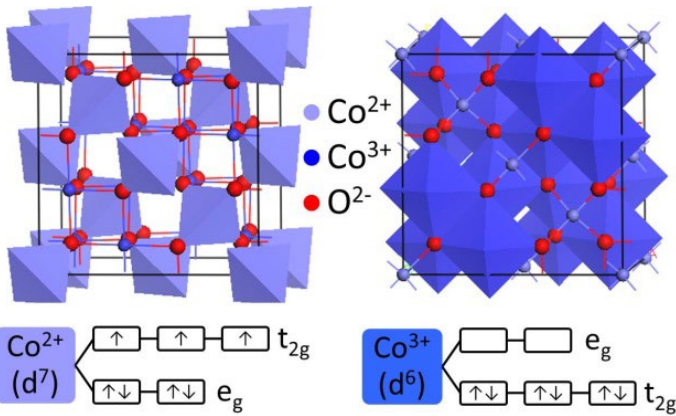
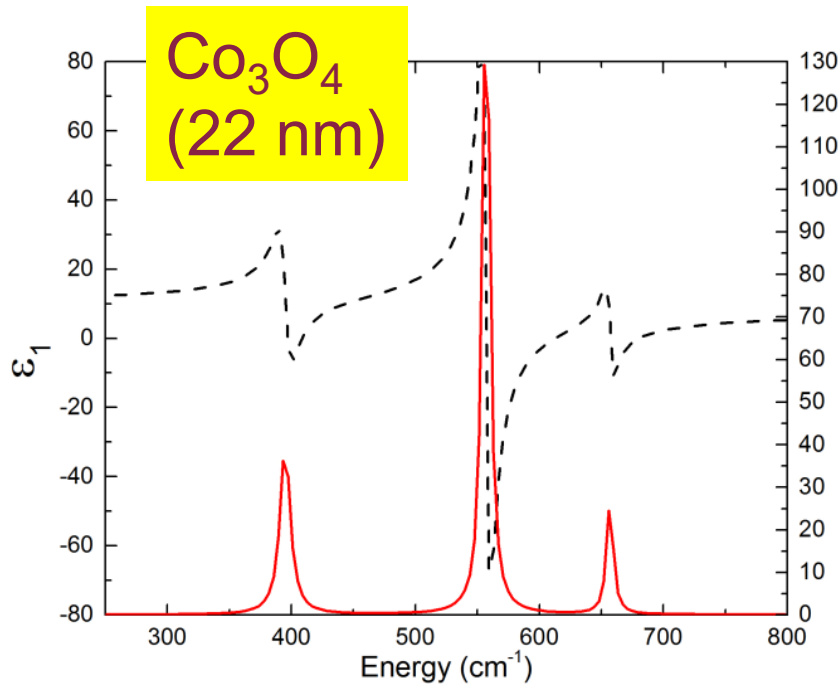


Disordered double perovskite  $(\text{LaAlO}_3)_{0.3}(\text{Sr}_2\text{AlTaO}_6)_{0.35}$   
 Many phonon modes. Several reststrahlen bands.

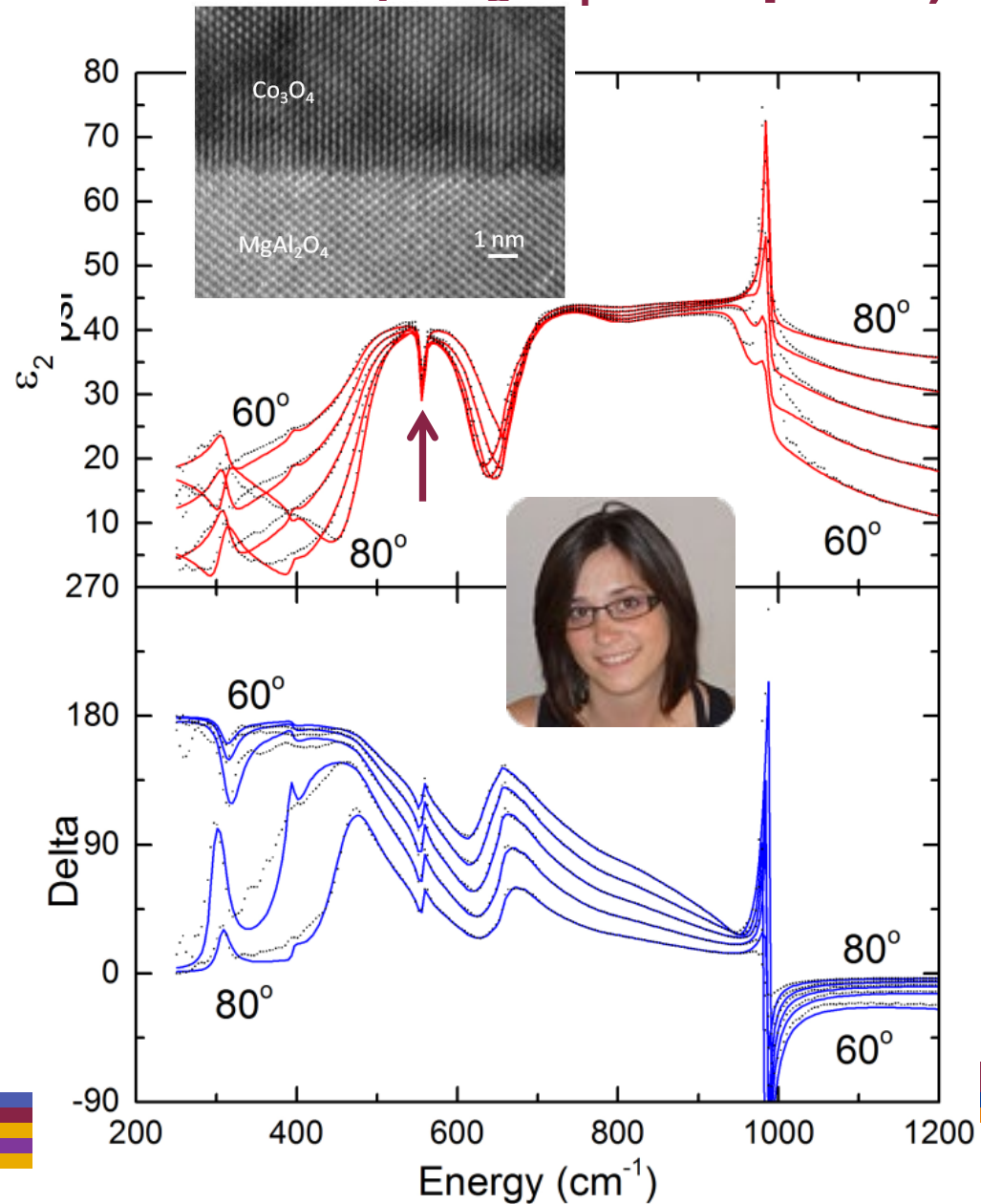
T.N. Nunley, JVSTA 34, 051507 (2016)



# Phonons in more complex oxides ( $\text{Co}_3\text{O}_4$ on spinel)



Cubic field splitting





# Kramers-Kronig Relations

$$\vec{P}(\vec{r}, t) = \varepsilon_0 \int \chi_e(\vec{r}' - \vec{r}, t' - t) \vec{E}(\vec{r}', t') dt' d^3\vec{r}'$$

Response function  $\chi_e(\vec{r}' - \vec{r}, t' - t) = 0$  for  $t' > t$

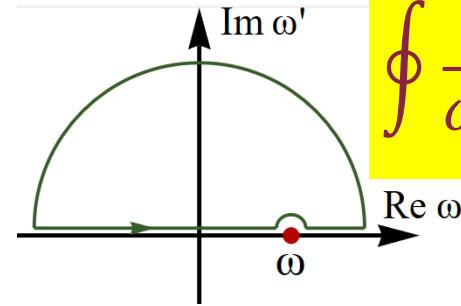
The charges cannot move before the field has been applied.

**Kramers-Kronig relations** follow:

$$\vec{D}(\vec{k}, \omega) = \varepsilon_0 \varepsilon(\vec{k}, \omega) \vec{E}(\vec{k}, \omega)$$

$$\varepsilon_1(\omega) - 1 = \frac{2}{\pi} \mathcal{P} \int_0^{\infty} \frac{\omega' \varepsilon_2(\omega') d\omega'}{\omega'^2 - \omega^2}$$

$$\varepsilon_2(\omega) = -\frac{2\omega}{\pi} \mathcal{P} \int_0^{\infty} \frac{\varepsilon_1(\omega') d\omega'}{\omega'^2 - \omega^2}$$



$$\oint \frac{\chi(\omega')}{\omega' - \omega} d\omega' = 0$$

Cauchy

**Contour integrals in complex plane:**

The real part of  $\varepsilon$  can be calculated if the imaginary part is known (and vice versa).

Similar Kramers-Kronig relations for other optical constants.

# Analytical Properties of the Dielectric Function

Fields  $\mathbf{E}(\mathbf{r},t)$  are real quantities

$$\varepsilon\left(-\vec{k}, -\omega\right) = \overline{\varepsilon\left(\vec{k}, \omega\right)}$$
$$\varepsilon(-\omega) = \overline{\varepsilon(\omega)}$$

Onsager relation

Dielectric tensor symmetric ( $\mathbf{B}=0$ )

Also from energy density.

Passive materials (no optical gain)

$$\varepsilon\left(-\vec{k}, \omega\right) = {}^t\varepsilon\left(\vec{k}, \omega\right)$$
$$\varepsilon(\omega) = {}^t\varepsilon(\omega)$$

$$\varepsilon_2(\omega) \geq 0$$

Like any analytic complex function,  $\varepsilon(\omega)$  is defined by its zeroes and poles in the complex plane (below real axis). This implies

$$\varepsilon(\omega) = \varepsilon_\infty \prod_{j=1}^N \frac{\omega_{\text{LO},j}^2 - \omega^2 - i\gamma_{\text{LO},j}\omega}{\omega_{\text{TO},j}^2 - \omega^2 - i\gamma_{\text{TO},j}\omega}$$

R. P. Lowndes,  
PRB 1, 2754 (1970).

$\gamma > 0$  (causality)

Works well for phonons and plasmons.

Also: Berreman & Unterwald, Phys. Rev. **174**, 791 (1968); Zollner, JVST B (2019).

# Comparison of Lorentz and Lowndes Models

## Drude-Lorentz Model

$$\varepsilon(\omega) = 1 - \sum_i \frac{\omega_{P,i}^2}{\omega^2 + i\gamma_{D,i}\omega} + \sum_i \frac{A_i \omega_{0,i}^2}{\omega_{0,i}^2 - \omega^2 - i\gamma_{0,i}\omega}$$

## Lowndes Model

$$\varepsilon(\omega) = \varepsilon_\infty \prod_{j=1}^N \frac{\omega_{LO,j}^2 - \omega^2 - i\gamma_{LO,j}\omega}{\omega_{TO,j}^2 - \omega^2 - i\gamma_{TO,j}\omega}$$

R. P. Lowndes,  
PRB 1, 2754 (1970).

Drude terms: Poles on the imaginary axis ( $\omega_0=0$ )

Additional broadening parameter for LO phonon.

**Lorentz identical to Lowndes model, if  $\omega_{TO}=\omega_{LO}$ .**

Otherwise: **Frictional force allowed to vary with velocity.**

Complex Lorentz amplitude, frequency-dependent damping.

Lowndes model makes no assumptions about forces.

Berreman & Unterwald, Phys. Rev. **174**, 791 (1968).



# Summary

- **Drude model** explains optical response of metals.
- High reflectance below the plasma frequency.
- Interband transitions overlap with Drude absorption.
  
- Doped semiconductors have infrared plasma frequencies.
  
- **Lorentz model** explains infrared lattice absorption.
- TO/LO modes result in reststrahlen band.
- Multiple modes for complex crystal structures.