

Optical Properties of Solids: Lecture 6

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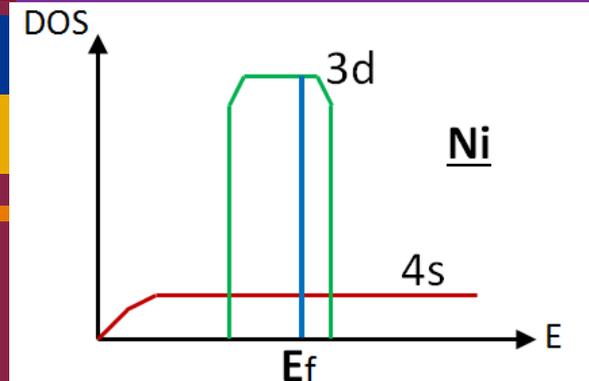
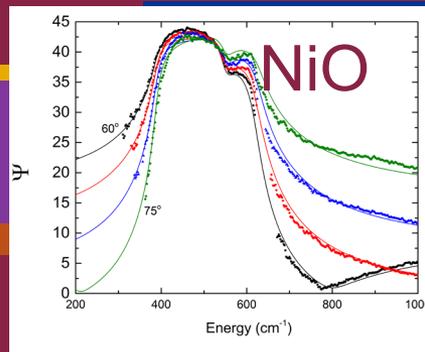
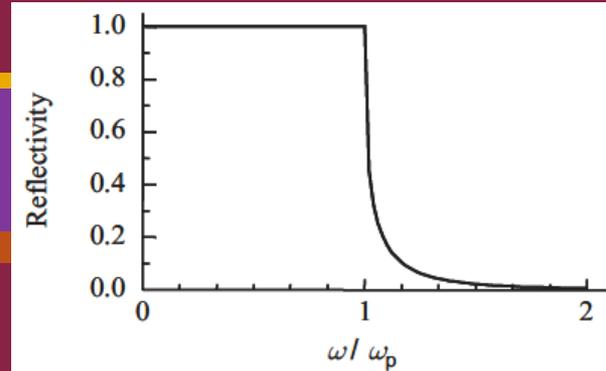
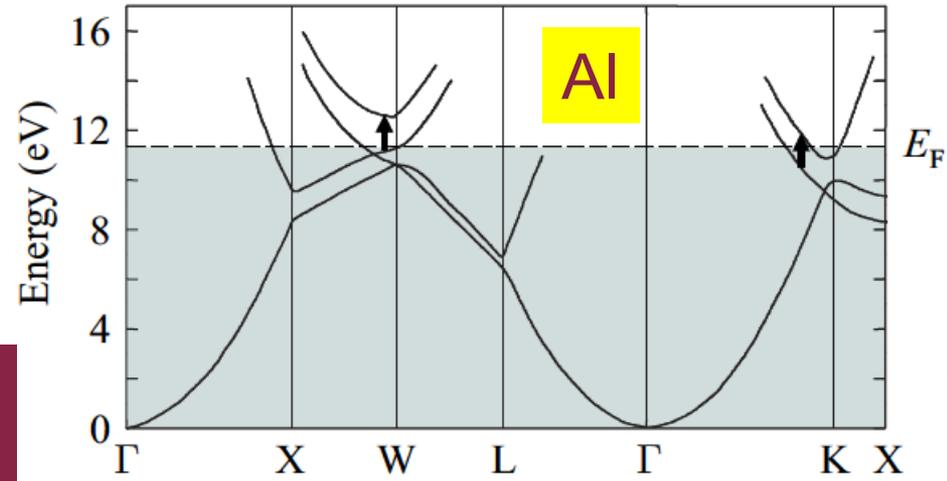
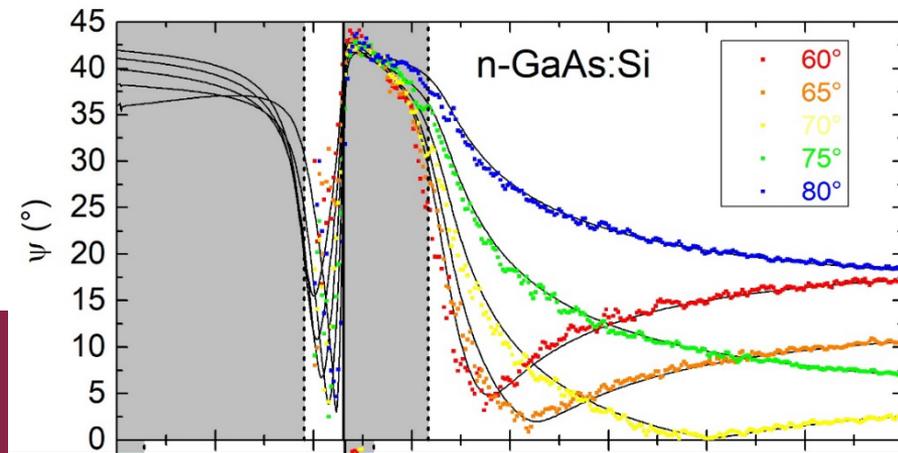
Optical Properties of Solids: Lecture 5+6

Lorentz and Drude model: Applications

1. Metals, doped semiconductors
2. Insulators

Sellmeier equation, Poles, Cauchy dispersion

Analytical properties of ϵ



References: Dispersion, Analytical Properties

Standard Texts on Electricity and Magnetism:

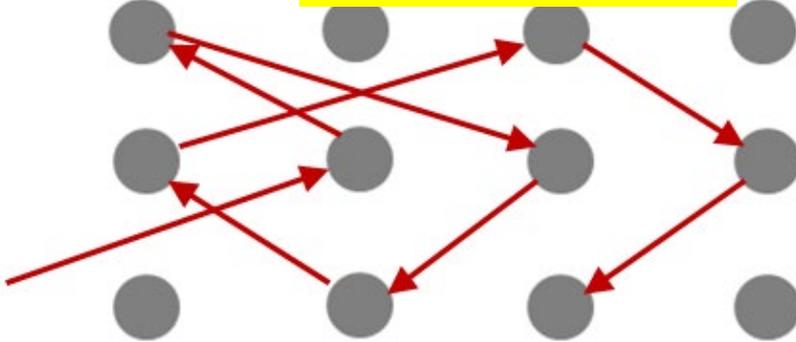
- J.D. Jackson: *Classical Electrodynamics*
- L.D. Landau & J.M. Lifshitz, Vol. 8: *Electrodynamics of Cont. Media*

Ellipsometry and Polarized Light:

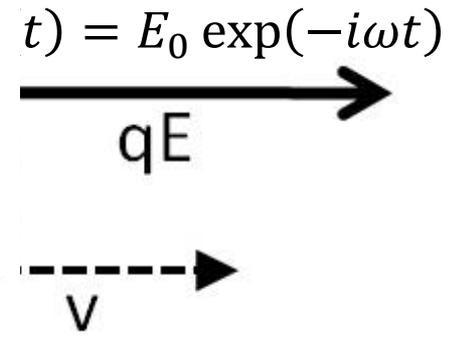
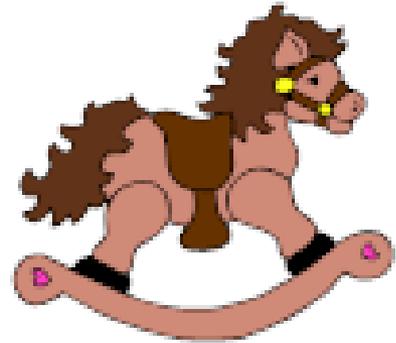
- R.M.A. Azzam and N.M. Bashara: *Ellipsometry and Polarized Light*
- **H.G. Tompkins and E.A. Irene: *Handbook of Ellipsometry***
(chapters by Rob Collins and Jay Jellison)
- **H. Fujiwara, *Spectroscopic Ellipsometry***
- **Mark Fox, *Optical Properties of Solids***
- H. Fujiwara and R.W. Collins: *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



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

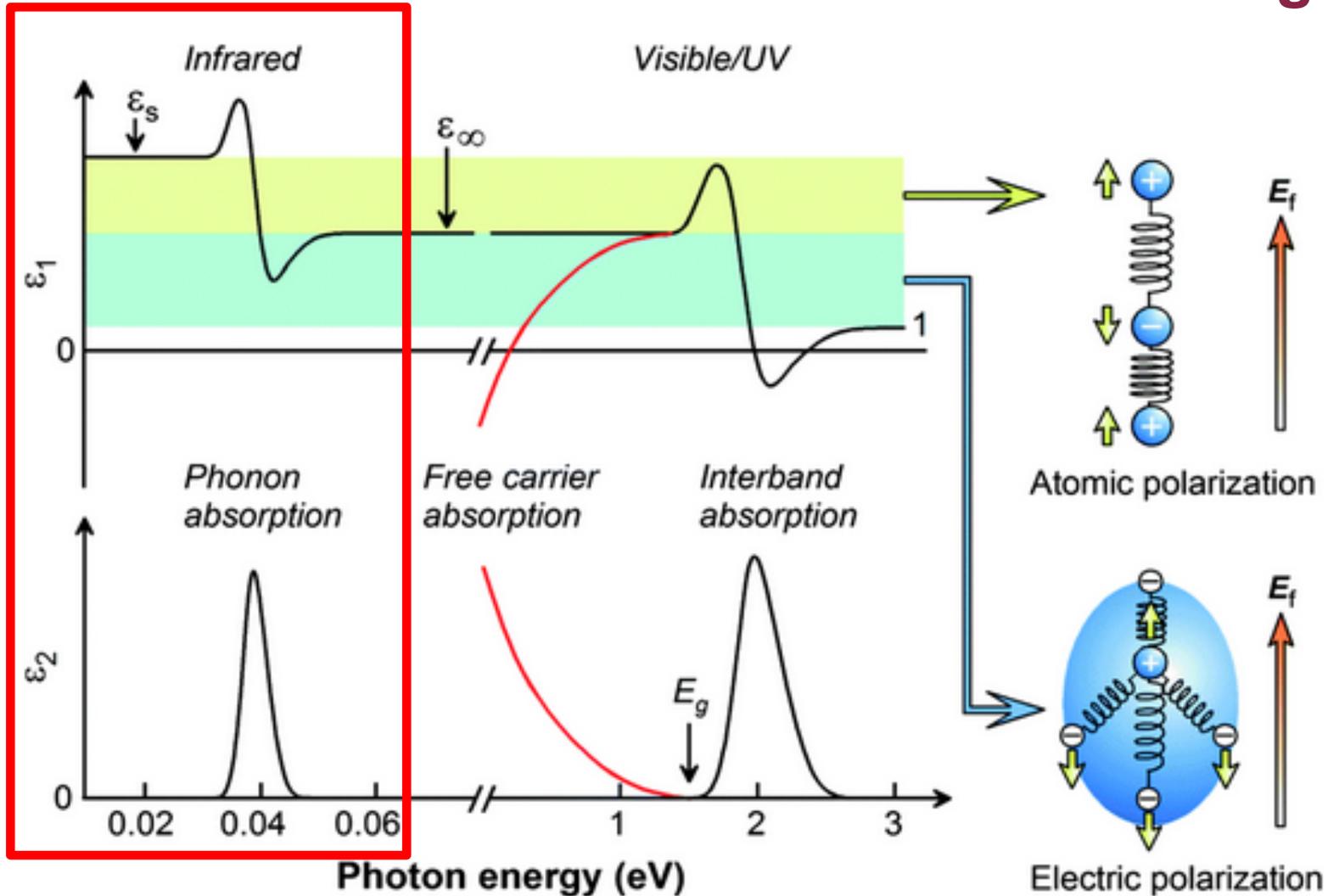
- ω_P (unscreened) **plasma frequency** of free charges
- ω_0 **resonance frequency** of bound charges
- γ_D, γ_0 **broadenings** of free and bound charges
- A **amplitude** of bound charge oscillations (density, strength)

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

Discuss plasma frequency trends.



Drude-Lorentz Model: Free and Bound Charges

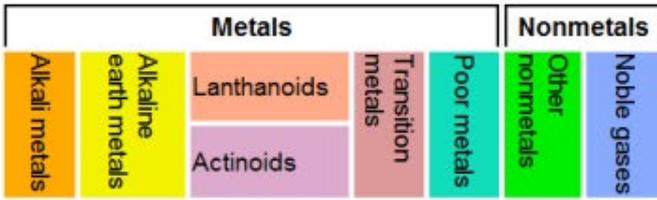


$$\epsilon(\omega) = 1 - \sum_i \frac{\omega_{P,i}^2}{\omega^2 + i\gamma_{D,i}\omega} + \sum_i \frac{A_i \omega_{0,i}^2}{\omega_{0,i}^2 - \omega^2 - i\gamma_{0,i}\omega}$$

Semiconductors

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
1 H Hydrogen 1.00794	2 He Helium 4.002602																	
3 Li Lithium 6.941	4 Be Beryllium 9.012182																	
11 Na Sodium 22.98976928	12 Mg Magnesium 24.3050																	
19 K Potassium 39.0983	20 Ca Calcium 40.078	21 Sc Scandium 44.955912	22 Ti Titanium 47.867	23 V Vanadium 50.9415	24 Cr Chromium 51.9961	25 Mn Manganese 54.938045	26 Fe Iron 55.845	27 Co Cobalt 58.933195	28 Ni Nickel 58.6934	29 Cu Copper 63.546	30 Zn Zinc 65.38	31 Al Aluminium 26.9815386	32 Ge Germanium 72.64	33 As Arsenic 74.92160	34 Se Selenium 78.96	35 Br Bromine 79.904	36 Kr Krypton 83.798	
37 Rb Rubidium 87.4678	38 Sr Strontium 87.62	39 Y Yttrium 88.90585	40 Zr Zirconium 91.224	41 Nb Niobium 92.90638	42 Mo Molybdenum 95.96	43 Tc Technetium (97.9072)	44 Ru Ruthenium 101.07	45 Rh Rhodium 102.90550	46 Pd Palladium 106.42	47 Ag Silver 107.8682	48 Cd Cadmium 112.411	49 In Indium 114.818	50 Sn Tin 118.710	51 Sb Antimony 121.760	52 Te Tellurium 127.60	53 I Iodine 126.90447	54 Xe Xenon 131.293	
55 Cs Caesium 132.9054519	56 Ba Barium 137.327	57-71		72 Hf Hafnium 178.49	73 Ta Tantalum 180.94788	74 W Tungsten 183.84	75 Re Rhenium 186.207	76 Os Osmium 190.23	77 Ir Iridium 192.217	78 Pt Platinum 195.084	79 Au Gold 196.966569	80 Hg Mercury 200.59	81 Tl Thallium 204.3833	82 Pb Lead 207.2	83 Bi Bismuth 208.98040	84 Po Polonium (208.9824)	85 At Astatine (208.9811)	86 Rn Radon (222.0176)
87 Fr Francium (223)	88 Ra Radium (226)	89-103		104 Rf Rutherfordium (261)	105 Db Dubnium (262)	106 Sg Seaborgium (266)	107 Bh Bohrium (264)	108 Hs Hassium (277)	109 Mt Meitnerium (268)	110 Ds Darmstadtium (271)	111 Rg Roentgenium (272)	112 Uub Ununbium (285)	113 Uut Ununtrium (284)	114 Uuq Ununquadium (289)	115 Uup Ununpentium (288)	116 Uuh Ununhexium (282)	117 Uus Ununseptium	118 Uuo Ununoctium (294)

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



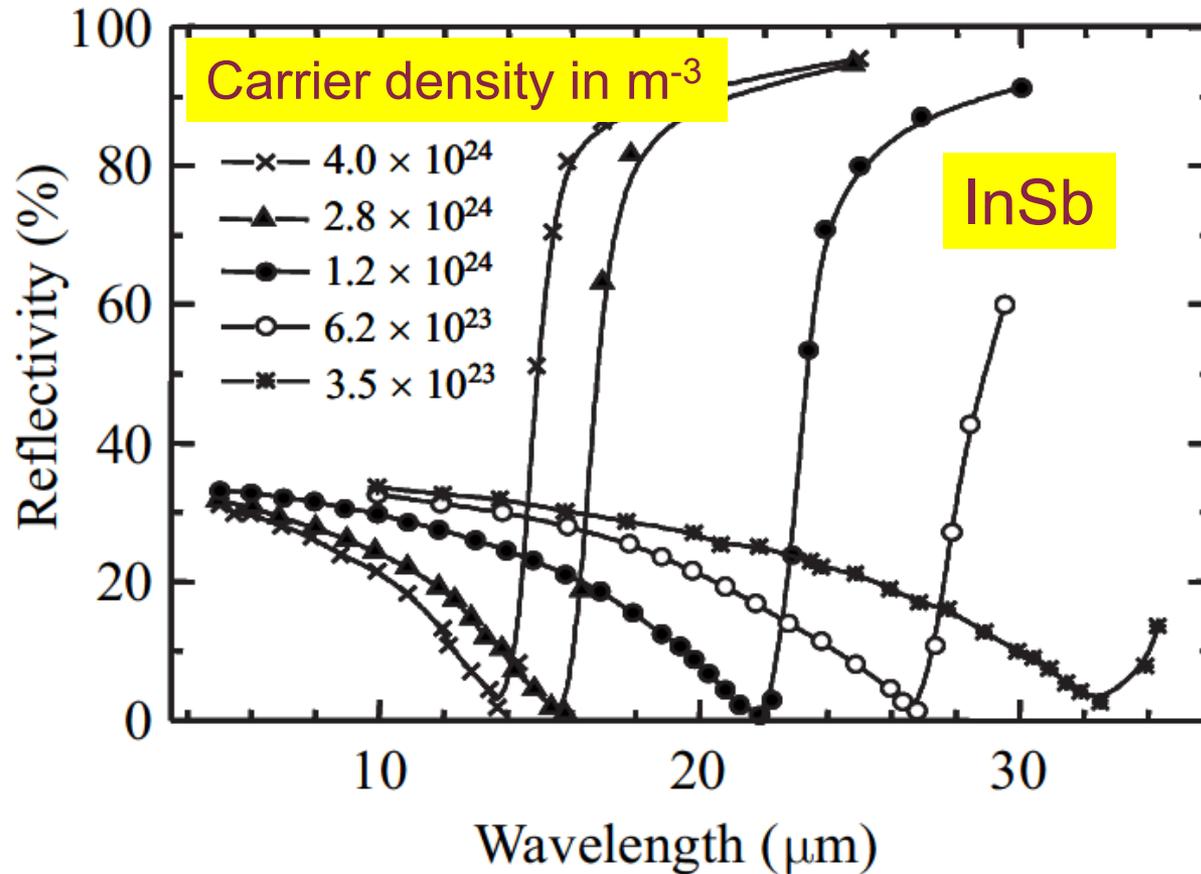
For elements with no stable isotopes, the mass number of the isotope with the longest half-life is in parentheses.

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57 La Lanthanum 138.90547	58 Ce Cerium 140.116	59 Pr Praseodymium 140.90765	60 Nd Neodymium 144.242	61 Pm Promethium (145)	62 Sm Samarium 150.36	63 Eu Europium 151.964	64 Gd Gadolinium 157.25	65 Tb Terbium 158.92535	66 Dy Dysprosium 162.500	67 Ho Holmium 164.93032	68 Er Erbium 167.259	69 Tm Thulium 168.93421	70 Yb Ytterbium 173.054	71 Lu Lutetium 174.967
89 Ac Actinium (227)	90 Th Thorium 232.03806	91 Pa Protactinium 231.03688	92 U Uranium 238.02891	93 Np Neptunium (237)	94 Pu Plutonium (244)	95 Am Americium (243)	96 Cm Curium (247)	97 Bk Berkelium (247)	98 Cf Californium (251)	99 Es Einsteinium (252)	100 Fm Fermium (257)	101 Md Mendelevium (258)	102 No Nobelium (259)	103 Lr Lawrencium (262)



Free-Carrier Reflection in doped semiconductors

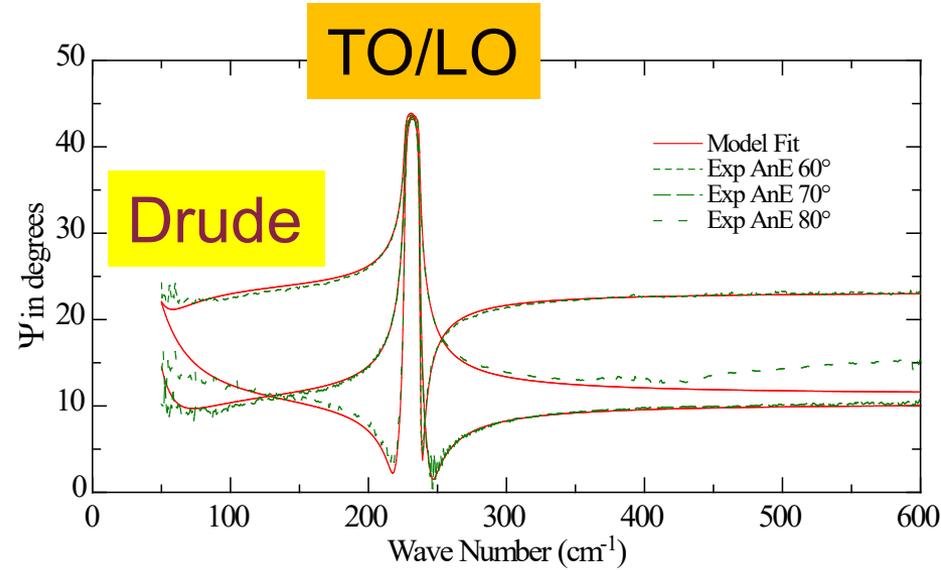
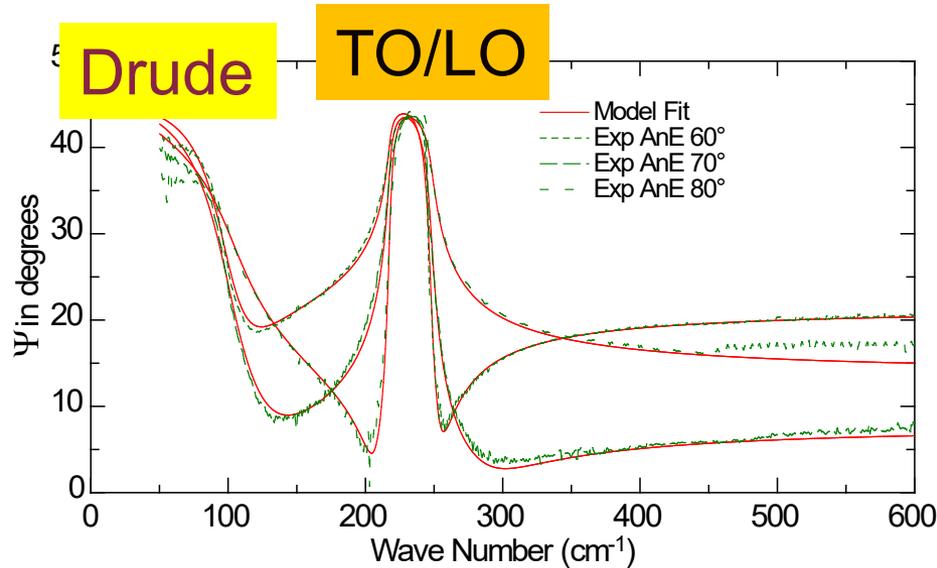


$$\omega_P^2 = \frac{n_f e^2}{m^* m_0 \epsilon_0}$$

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

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

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

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

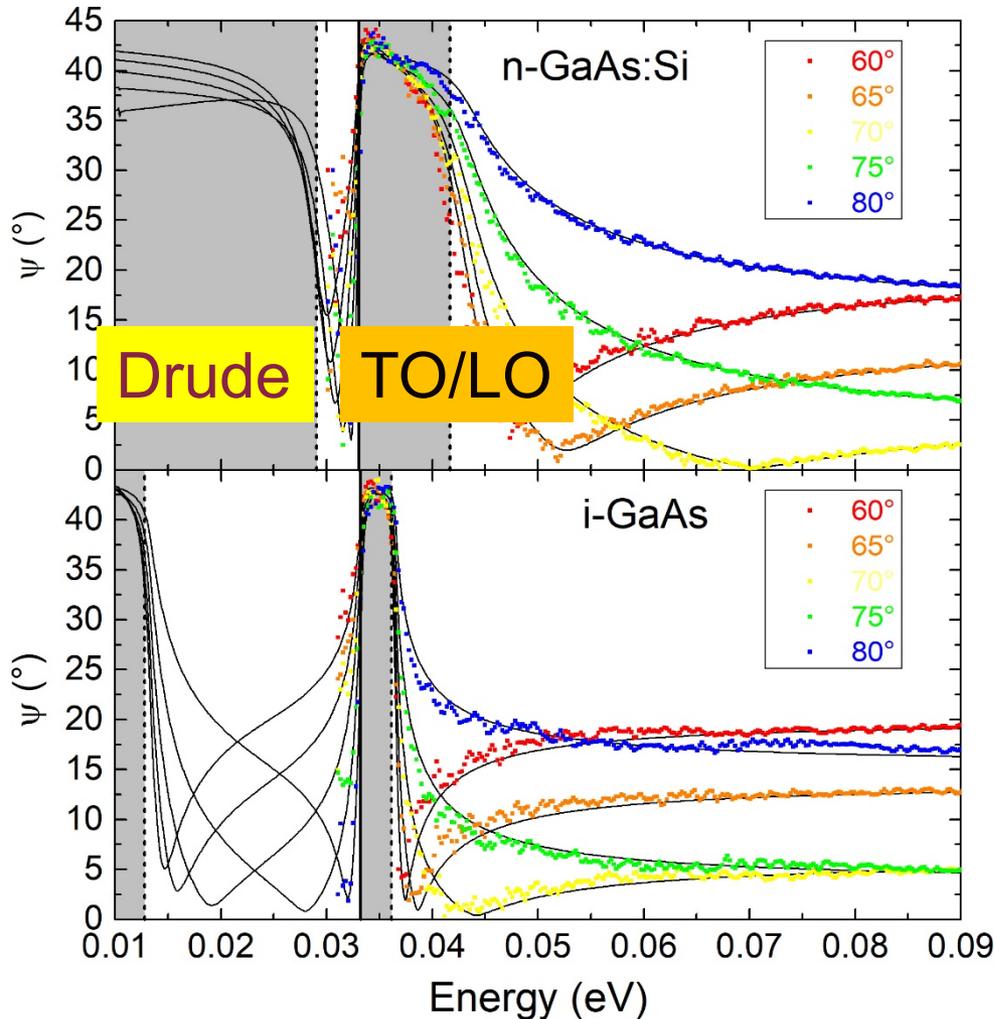
$$\mu=1000 \text{ cm}^2/\text{Vs}$$

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:

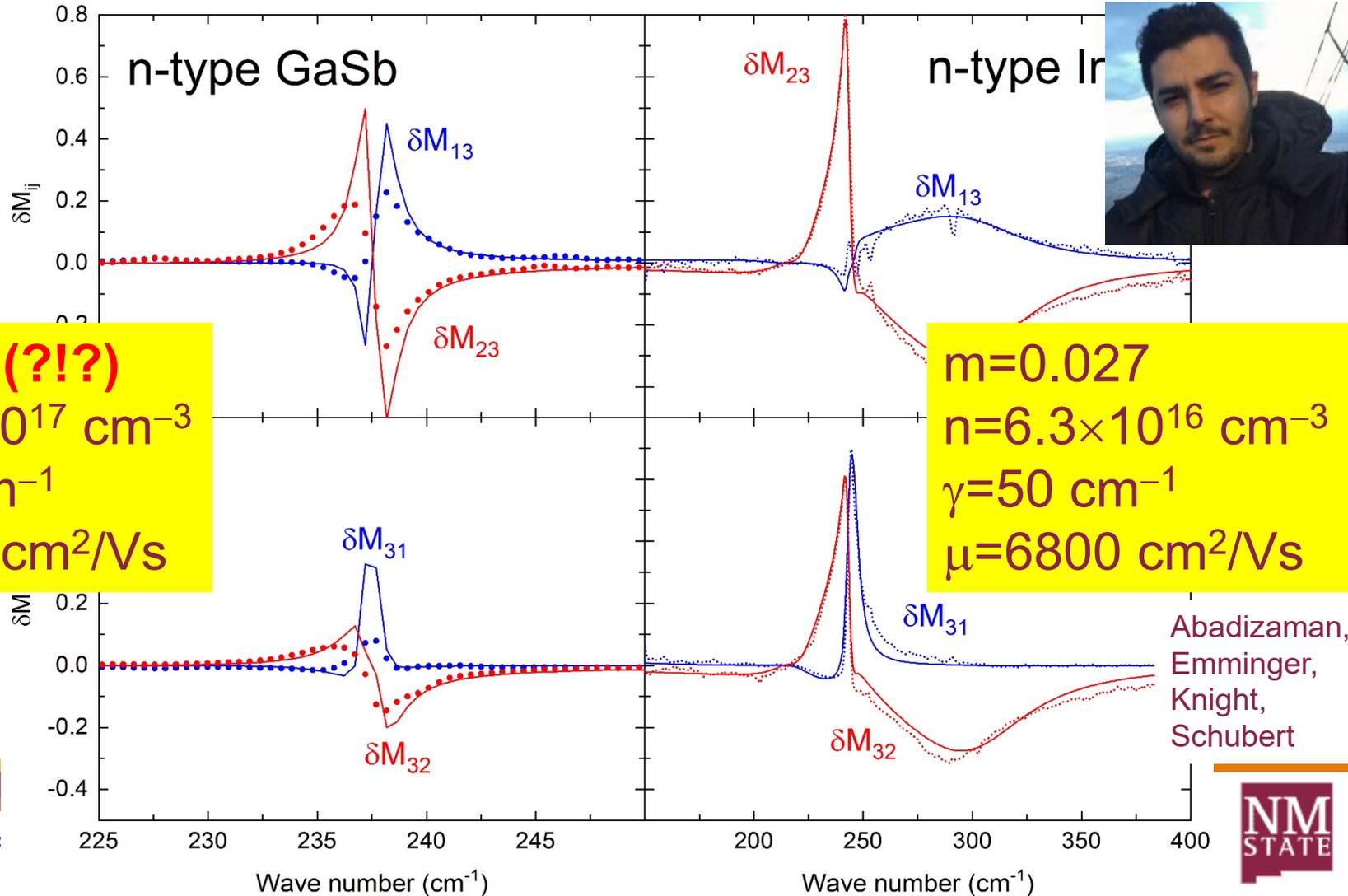
Doping pushes LO phonon to higher energies.



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

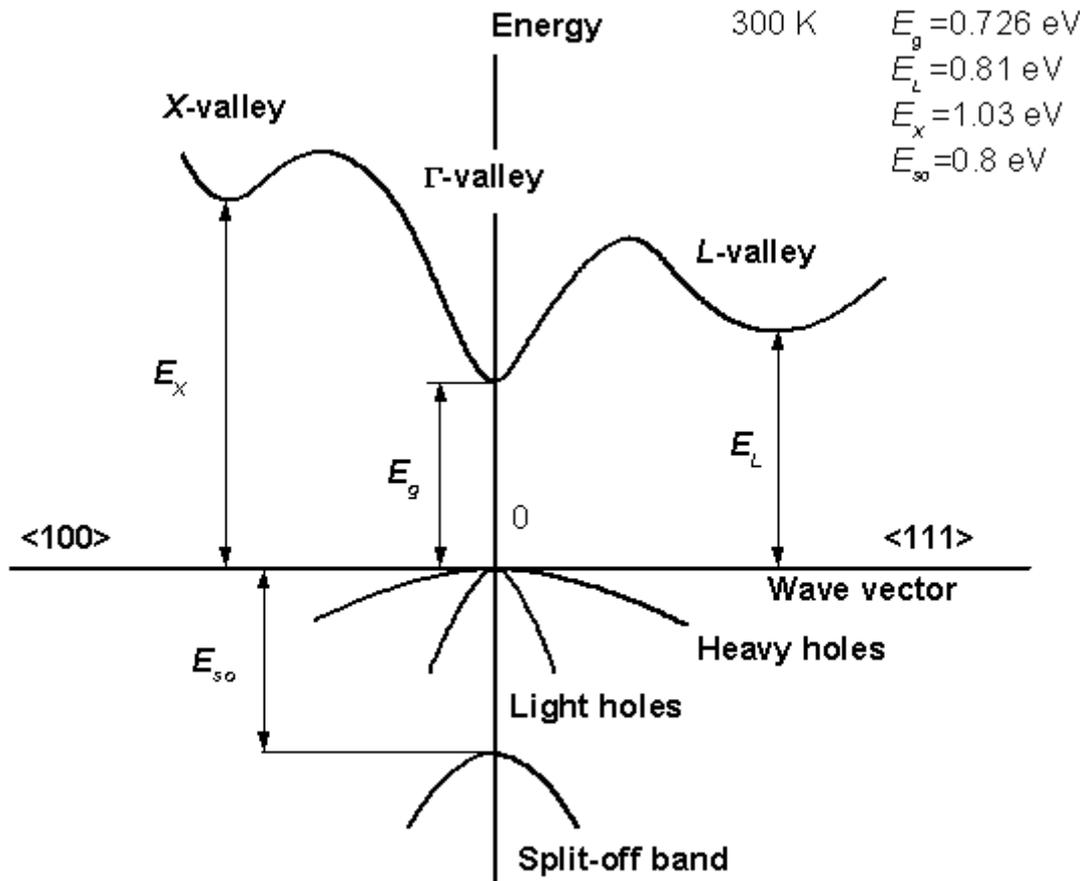
Optical Hall Effect: Ellipsometry with magnetic field

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 Γ -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

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

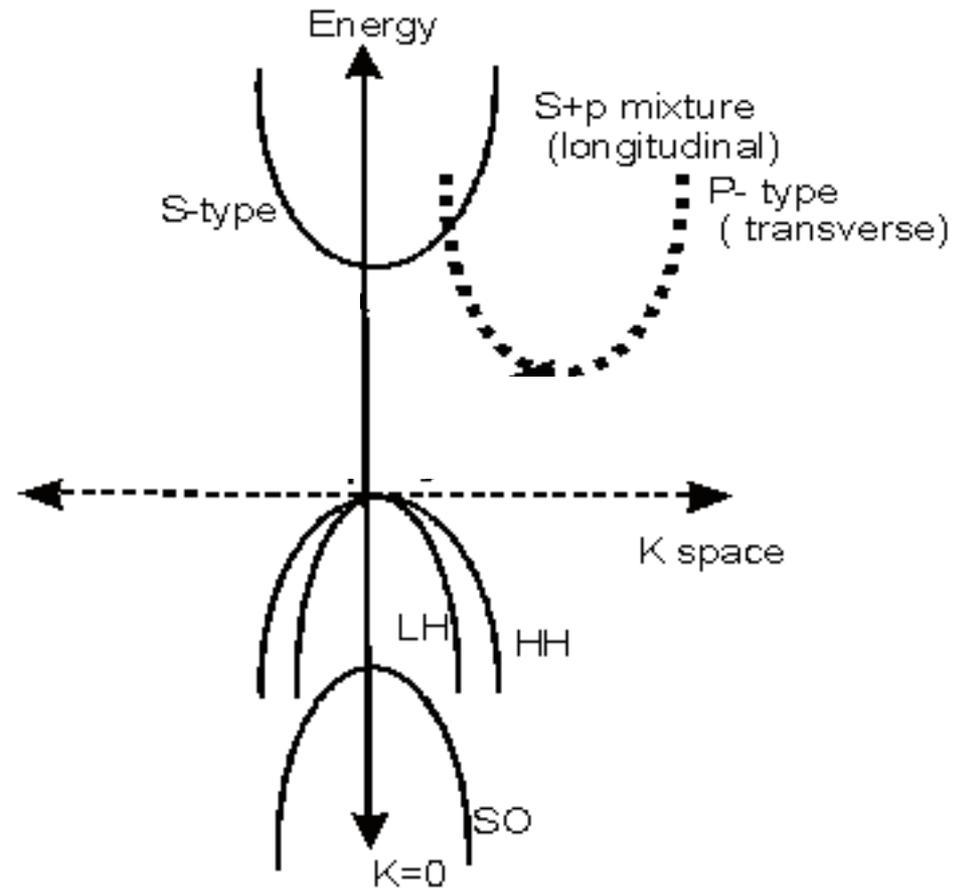
$$m_{\text{transport}} =$$

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 (Γ, L, X)
- Different VB hole bands (light, heavy, split-off)

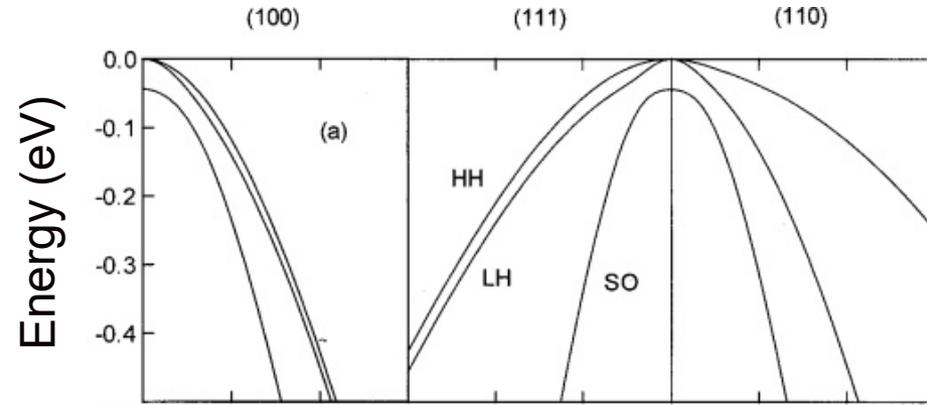
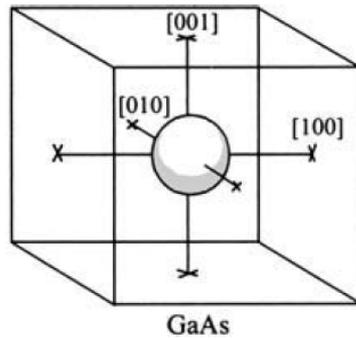
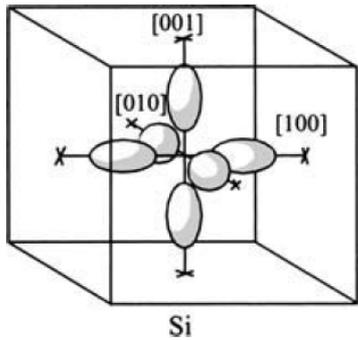
CB: Conduction band (empty)



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).

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

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

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

Δ -valley
Drude mass
Harmonic mean

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

$$\omega_p^2 = \frac{nq^2}{m\epsilon_0}$$

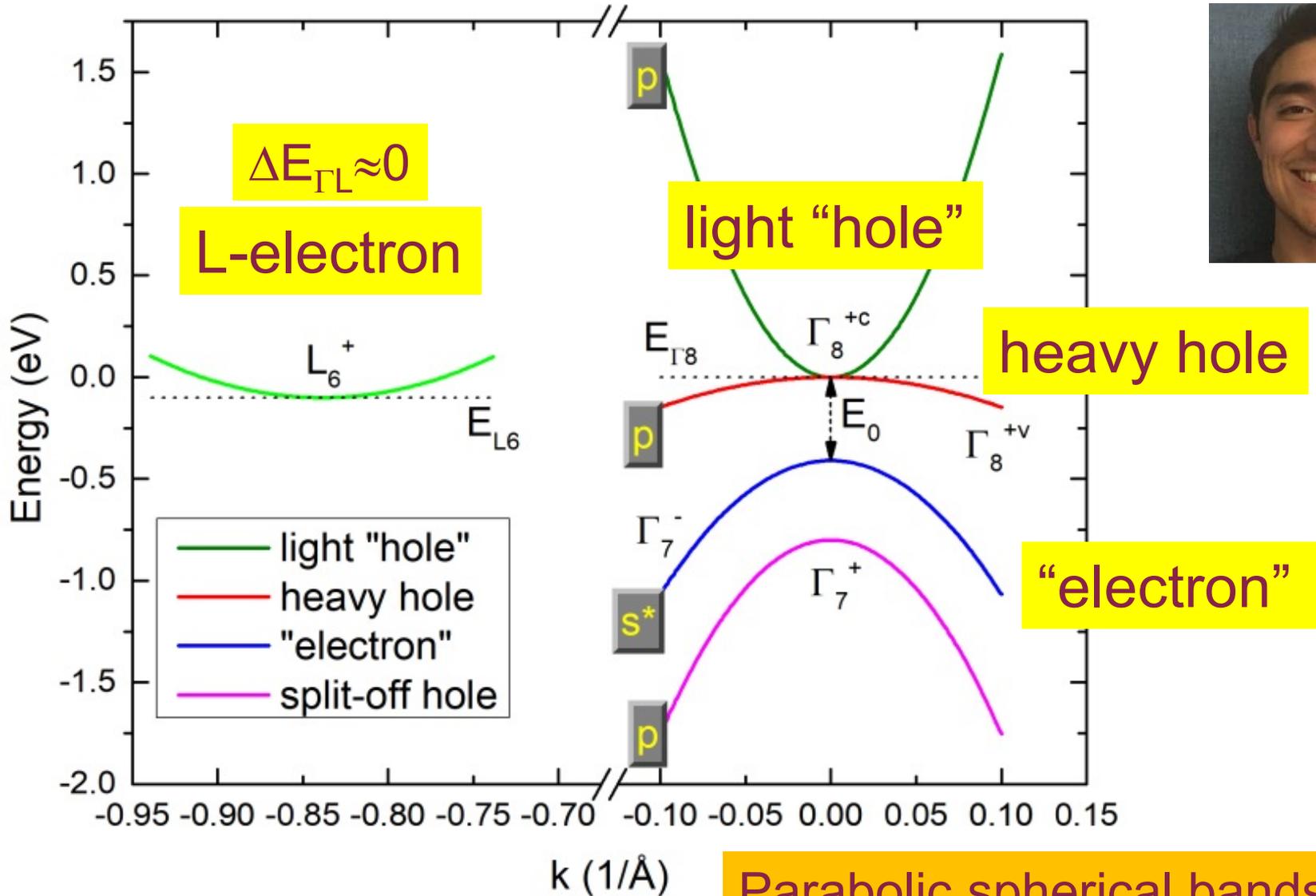
Charge density

Drude formula still valid, but ϵ , ω_p^2 , m^{-1} , and γ are tensors.

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



Grey α -tin is even more complicated



Parabolic spherical bands

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

Semiclassical Model of Electron Dynamics

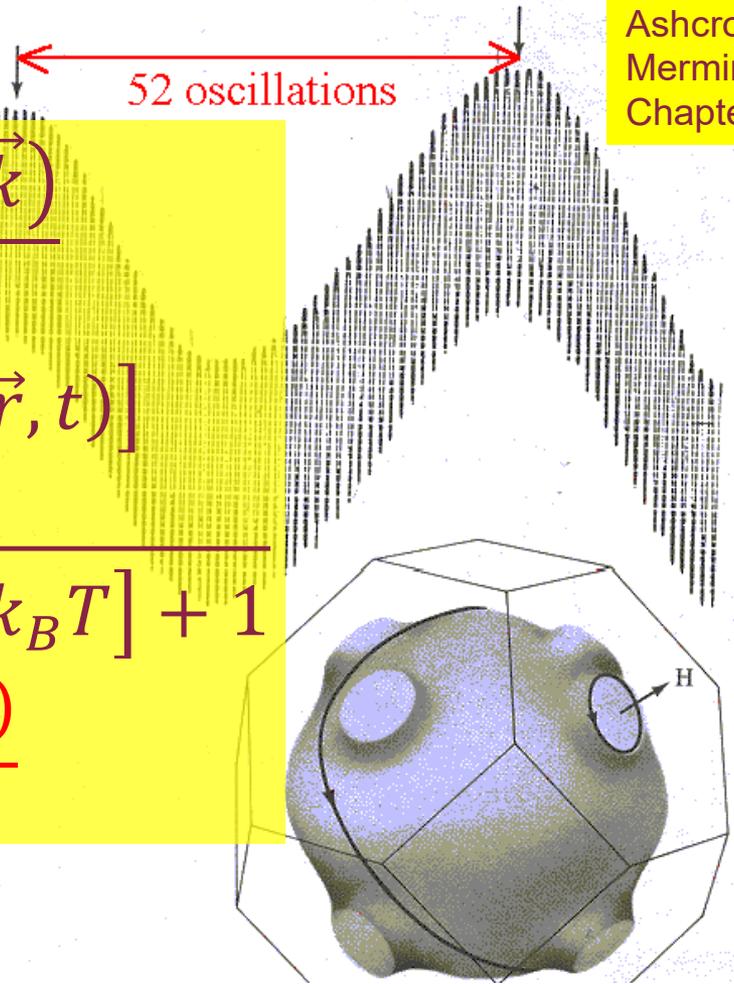
Ashcroft &
Mermin,
Chapter 12

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

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

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

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



“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)**

$$m_D = 0.15$$

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

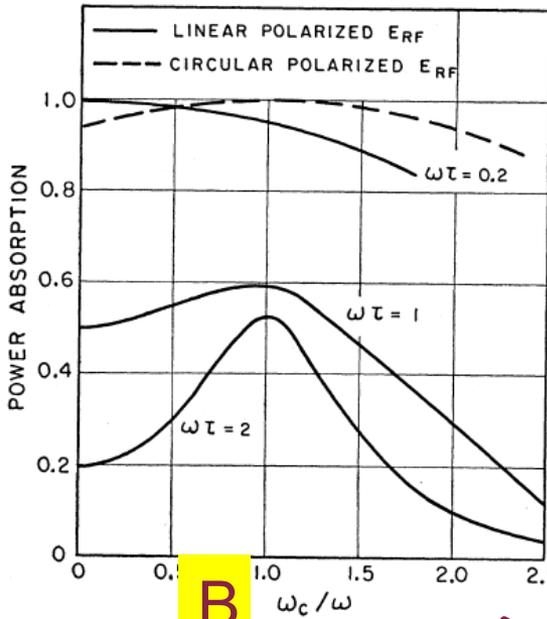
Cyclotron mass

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

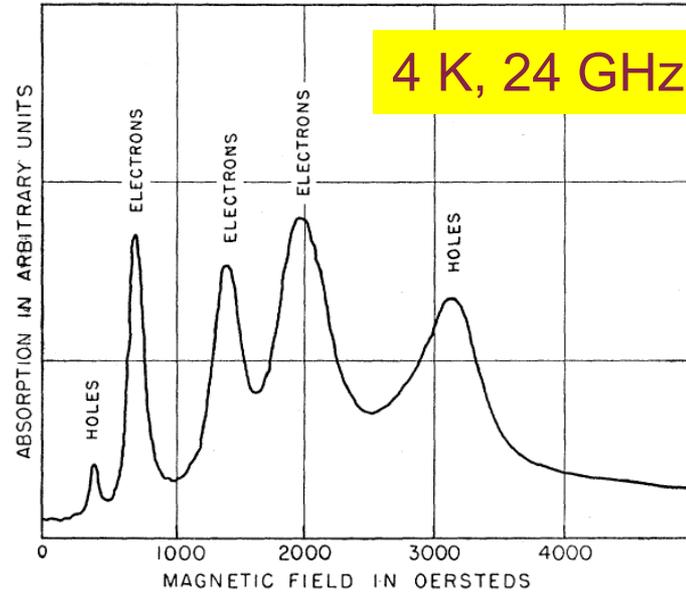
Optical Hall effect measurements on anisotropic materials are sparse. Need measurements on bulk Si, Ge, GaP with different orientations (change direction of magnetic field). How about SiC?

Cyclotron Resonance

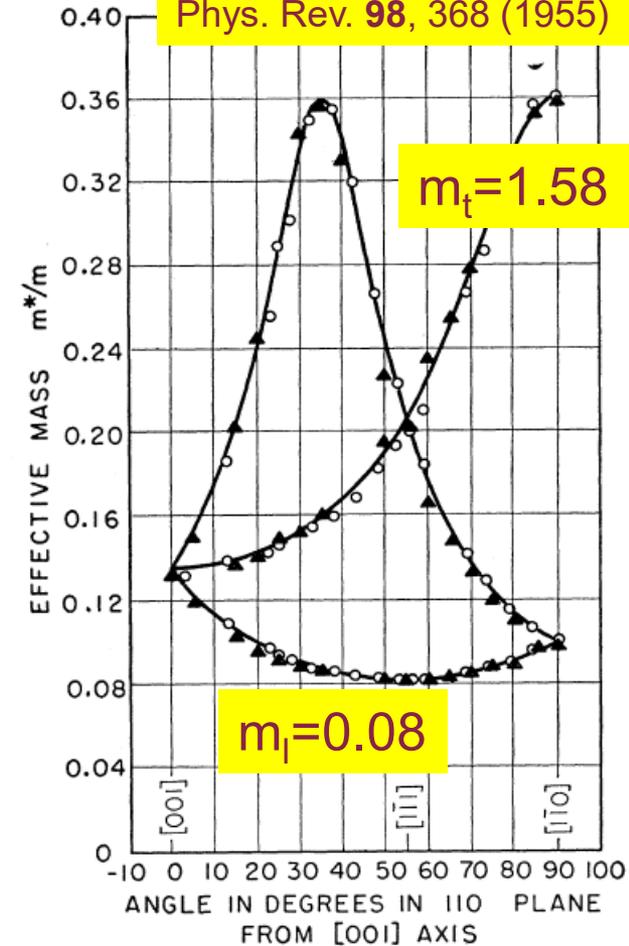
Dresselhaus, Kip, Kittel,
Phys. Rev. **98**, 368 (1955)



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)

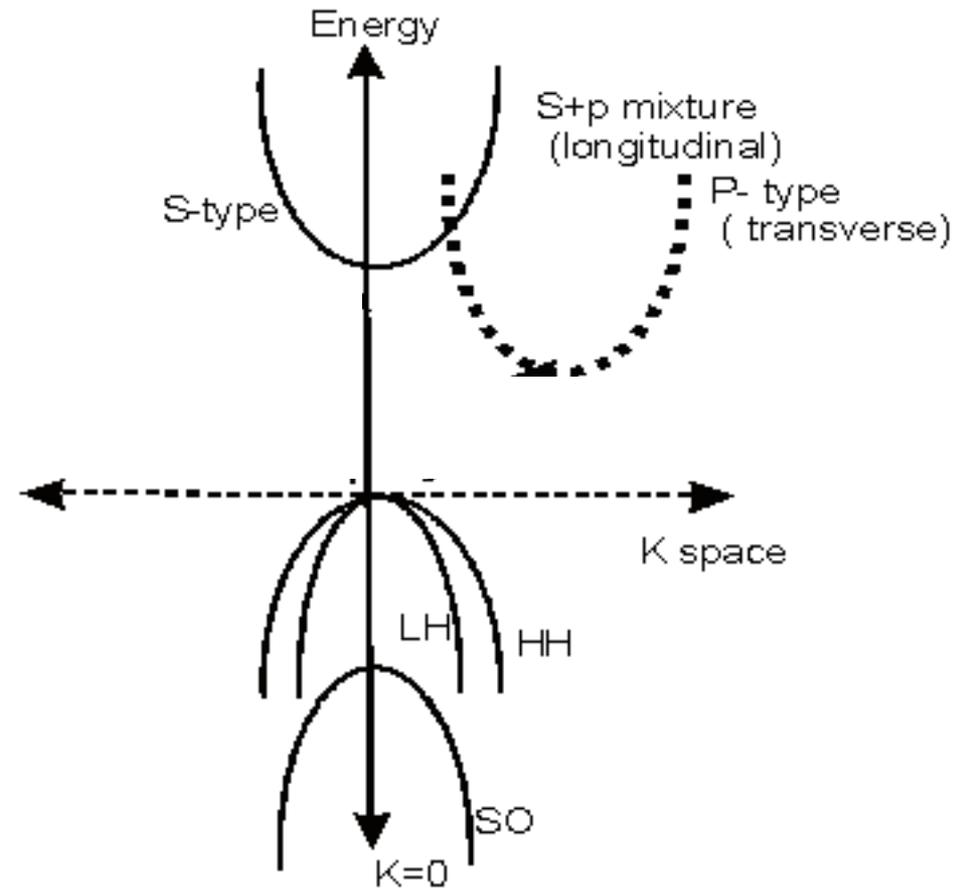
Transparent region below the band gap (VIS/UV).

Forbidden “energy gap”.

Semiconductors are insulators with small band gap (IR).

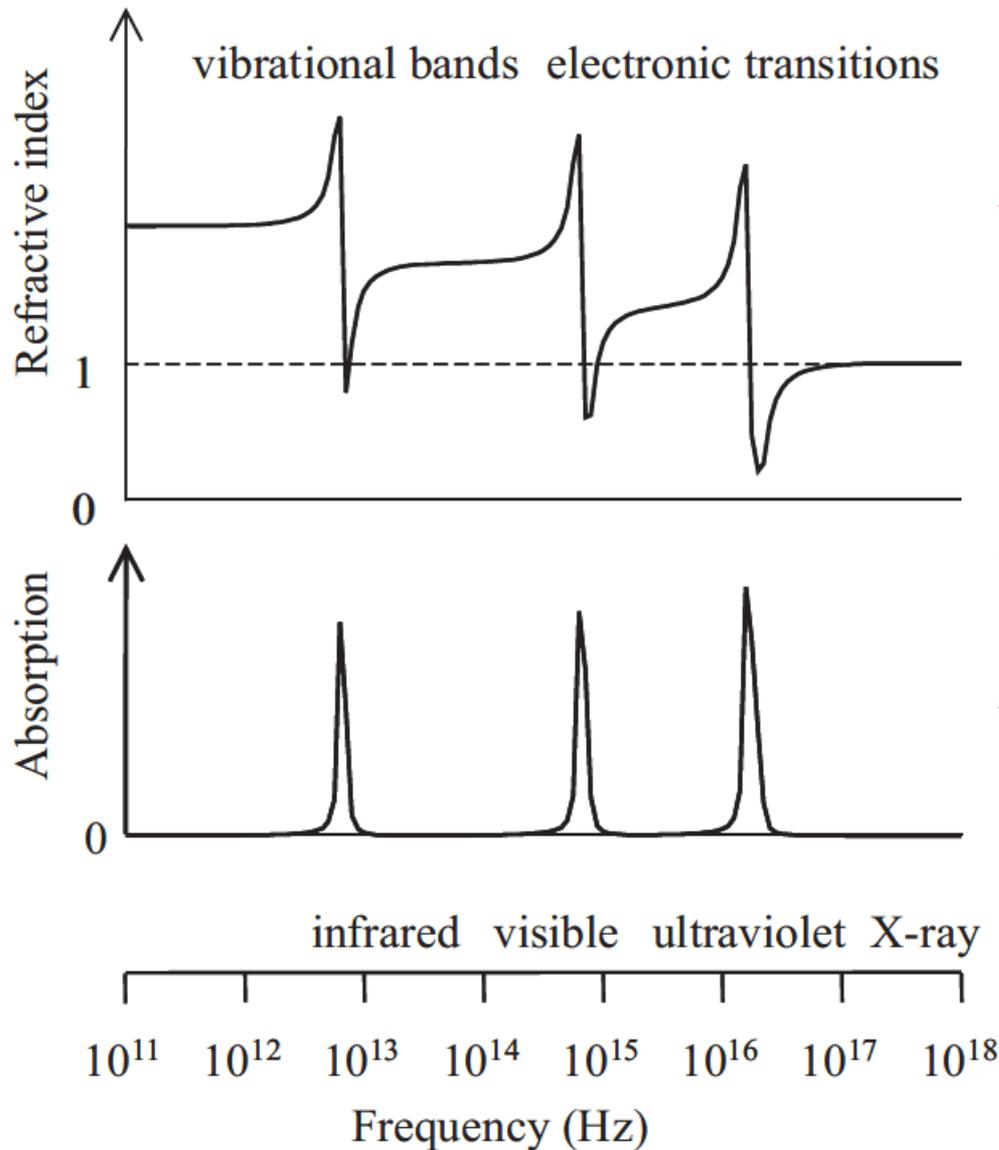
Valence band filled.
Conduction band empty.

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)

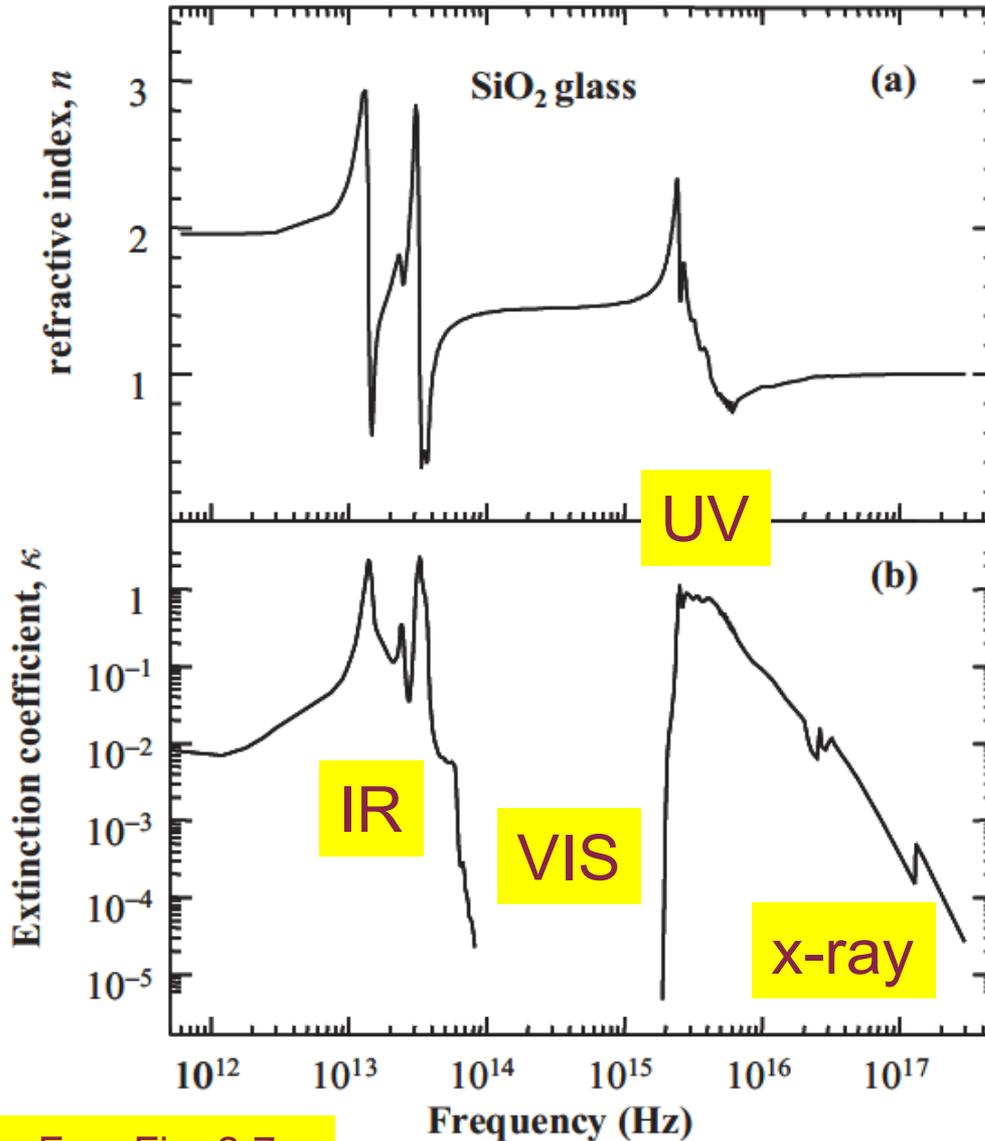
x-ray: core electrons

Amplitude depends on

- Density of oscillators
- Matrix elements
- Born effective charge

Fox, Fig. 2.6

Multiple Lorentz Contributions: SiO₂ 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 $\gamma=0$ far from resonance.
Lorentz oscillator becomes
a **pole**

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

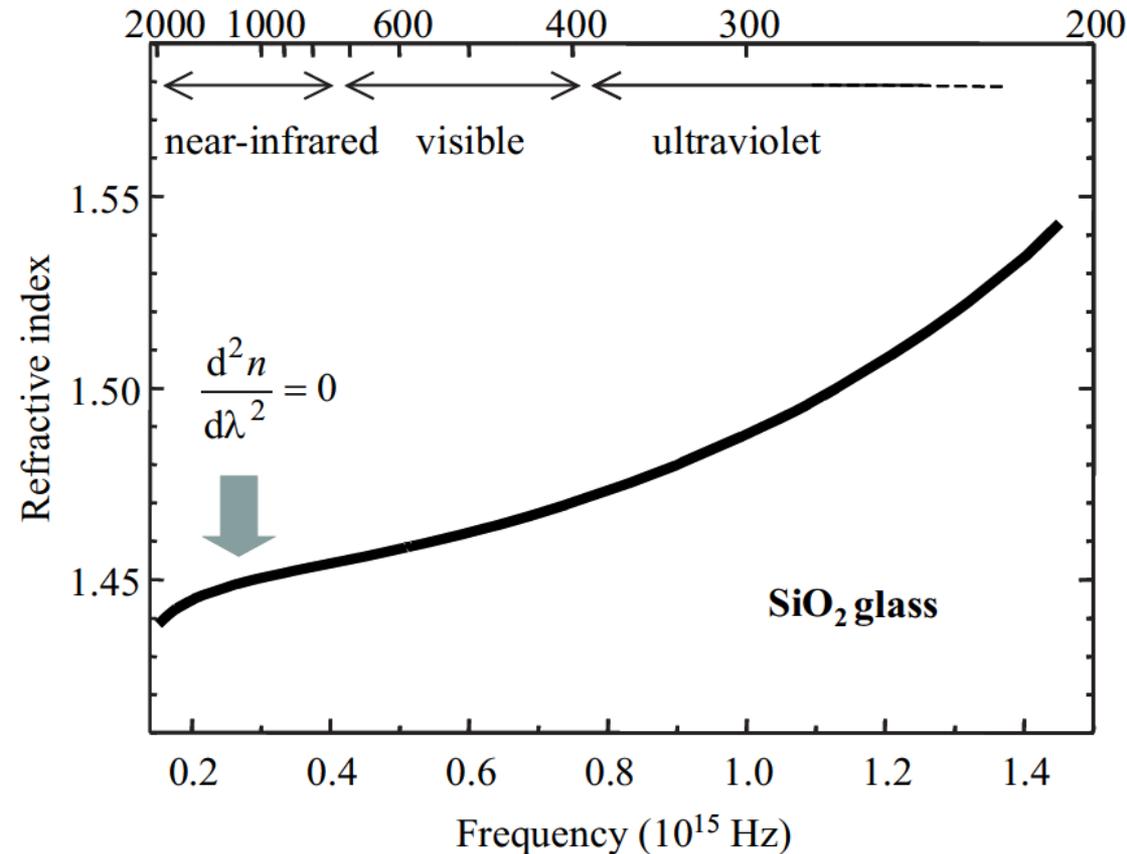
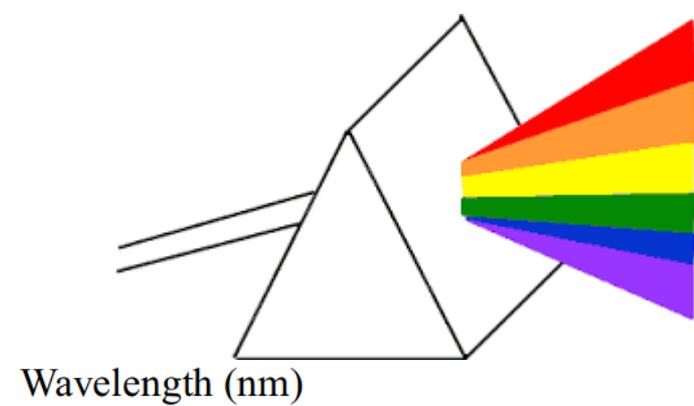
Rewrite as a function of λ

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

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

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

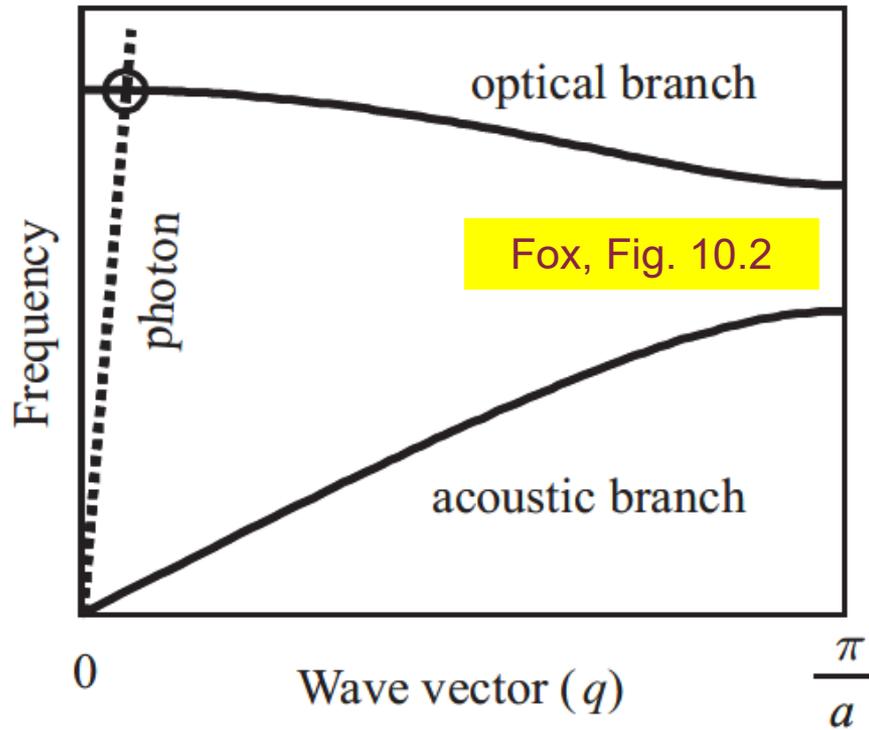
Comments:

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

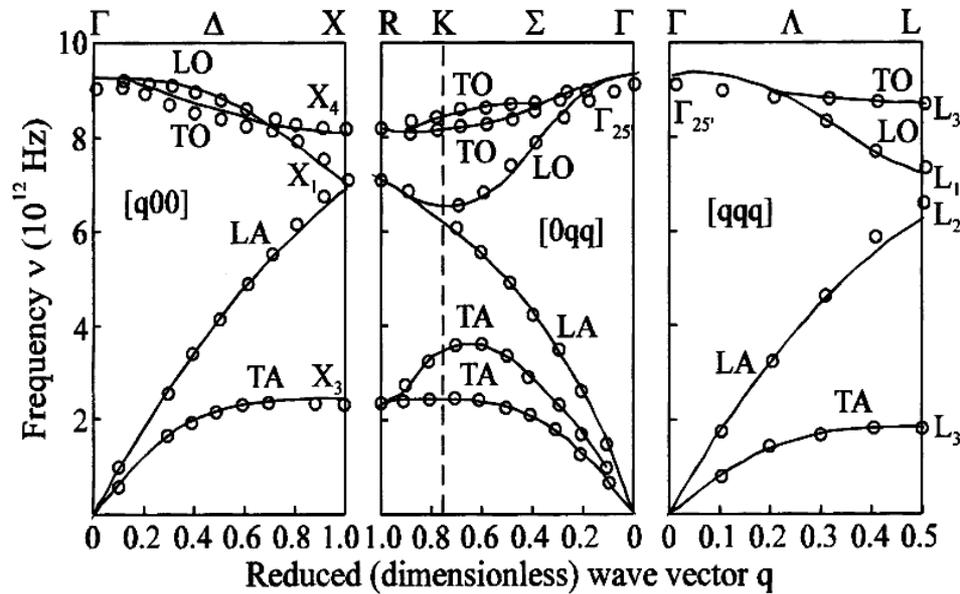
$$k(E) = \alpha e^{\beta(E-\gamma)}$$

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

Insulator Phonon Spectra (Ge)



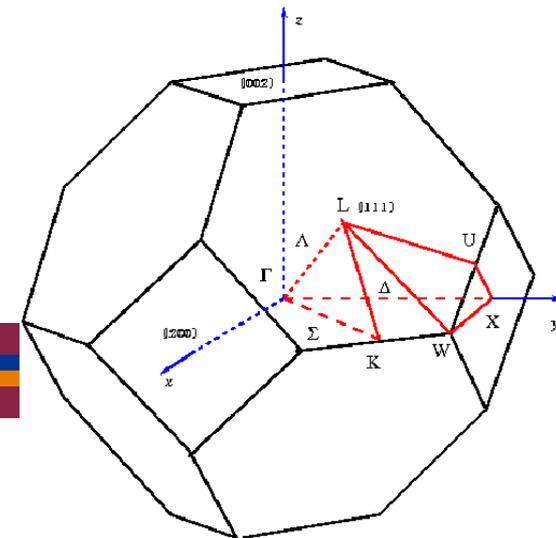
Neutron scattering



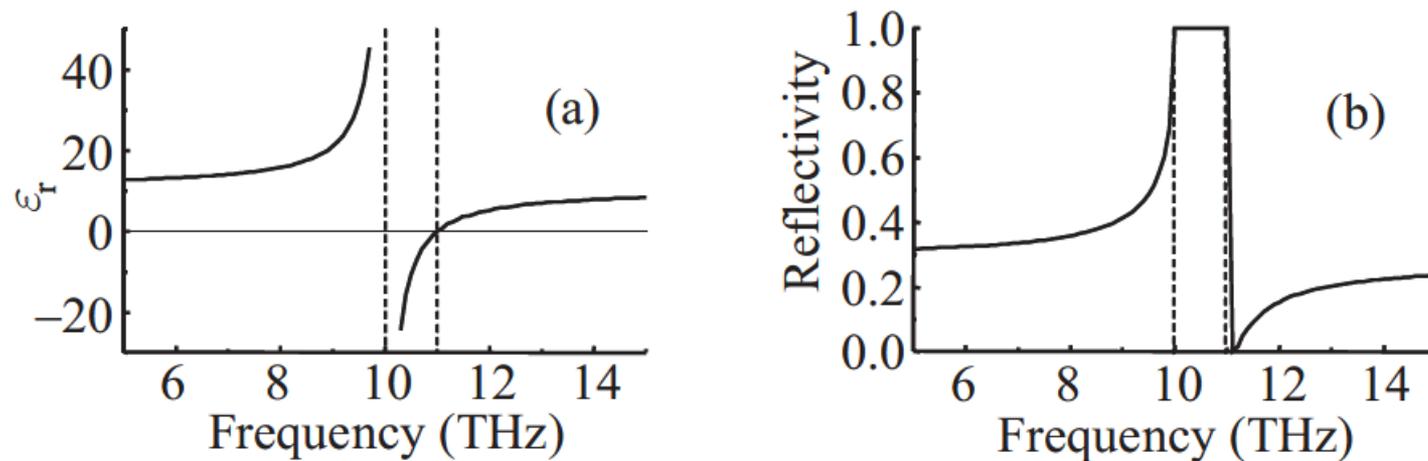
Inelastic neutron scattering measures entire phonon dispersion.

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.

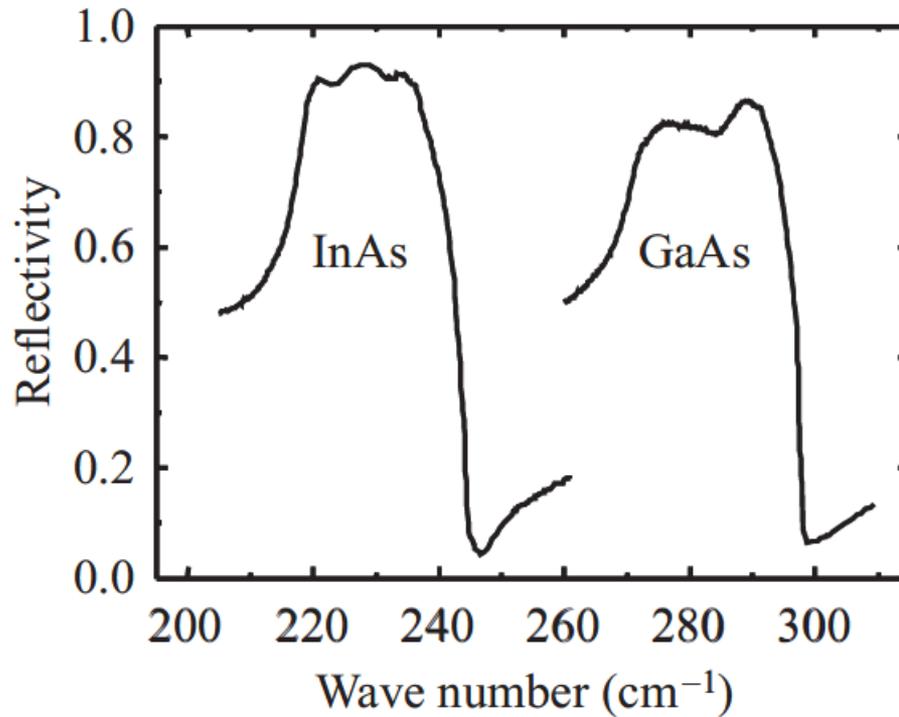
TO: transverse optical (displacement perpendicular to \mathbf{k})

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

ϵ_2 has peak at TO frequency

ϵ_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})

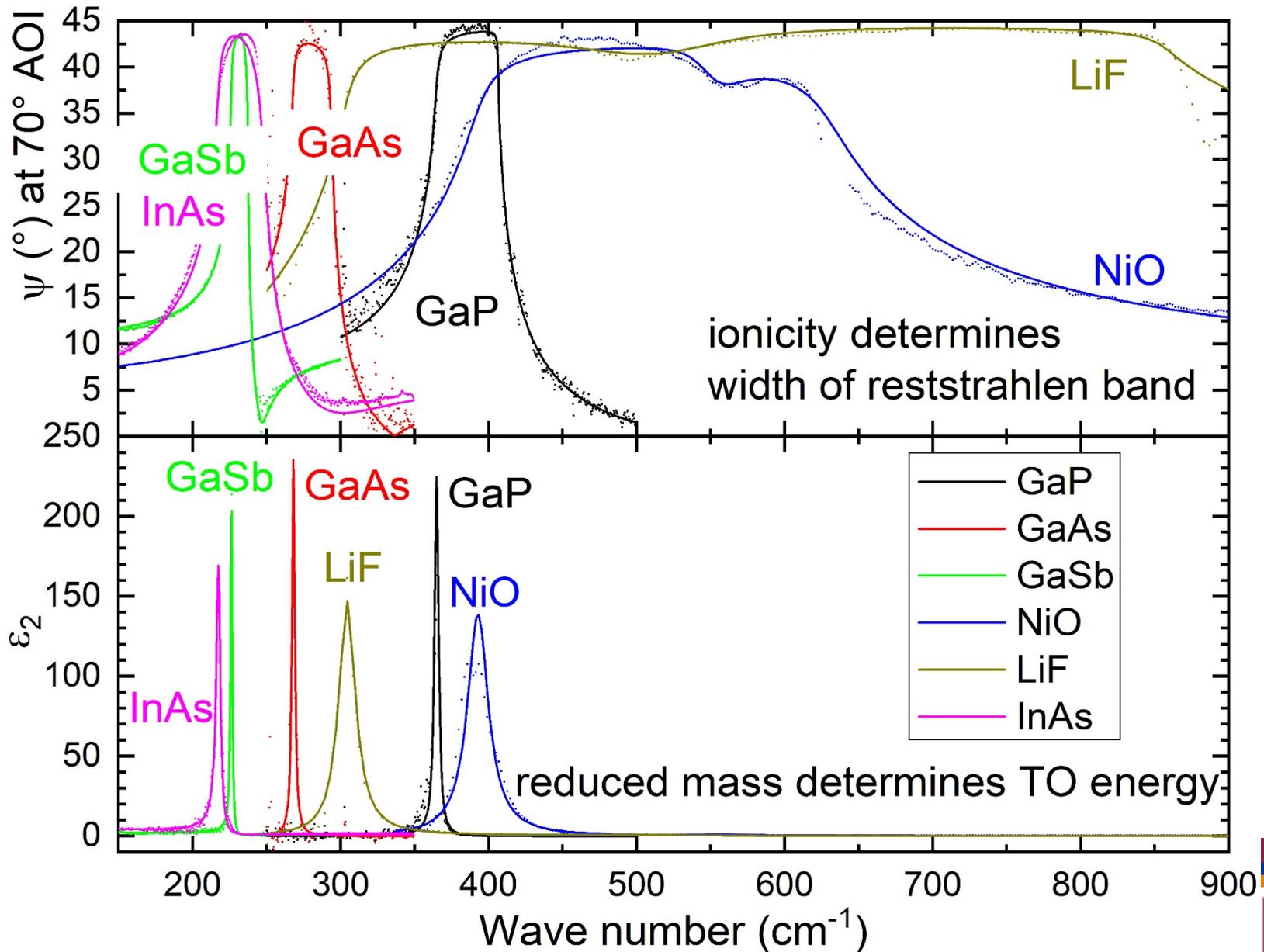
ϵ_2 has peak at TO frequency

ϵ_1 is negative from TO to LO frequency (reflectance is 1)

Reststrahlen band extends from TO to LO energy.

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

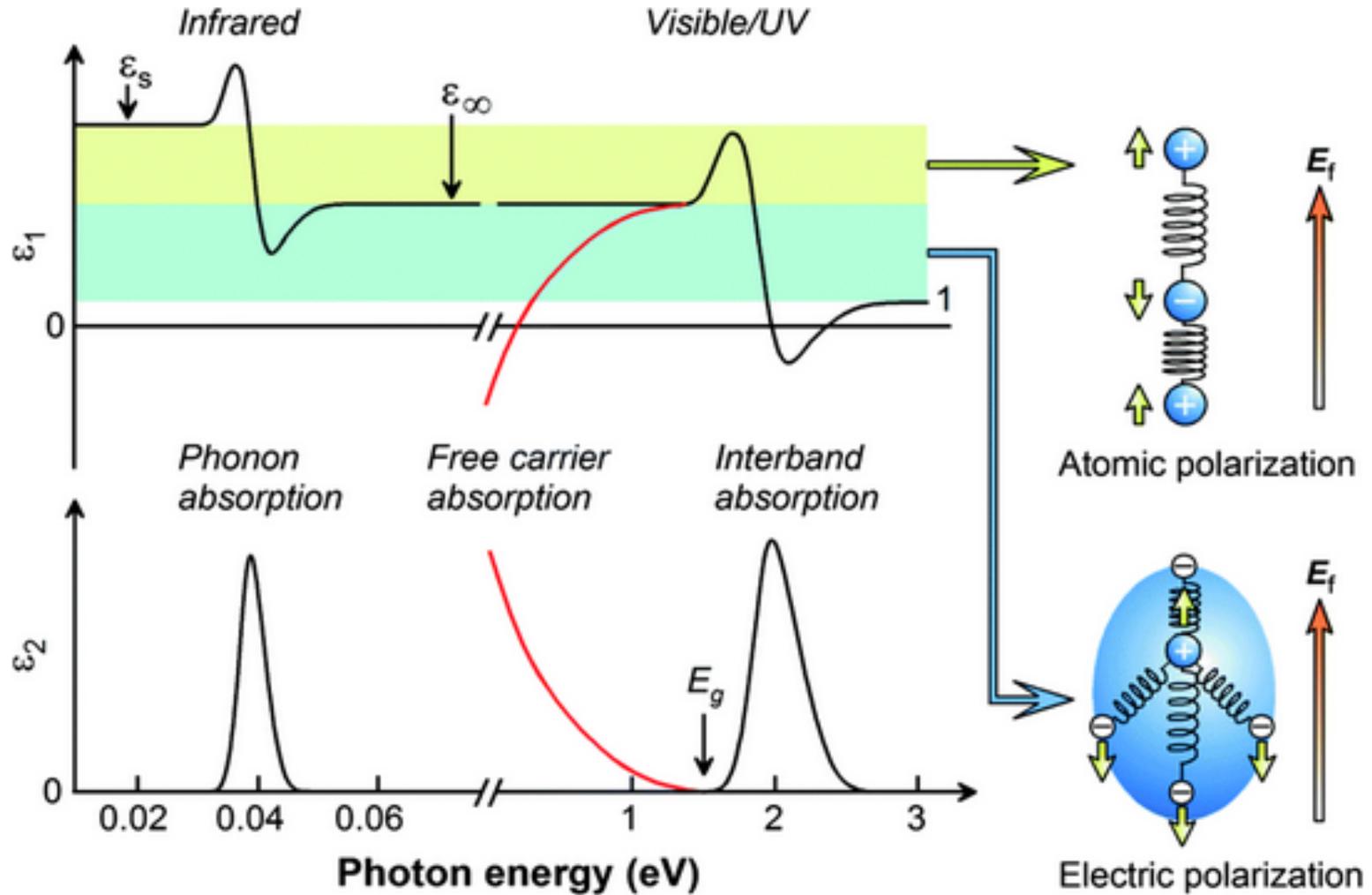
Infrared Lattice Vibrations (Lorentz model)



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 ε_s

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

Define ω_{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

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

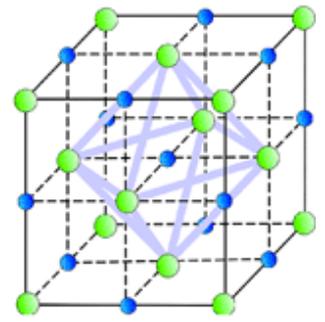
Mathias Schubert, Phys. Rev. Lett. **117**, 215502 (2016)

Amorphous materials and liquids

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

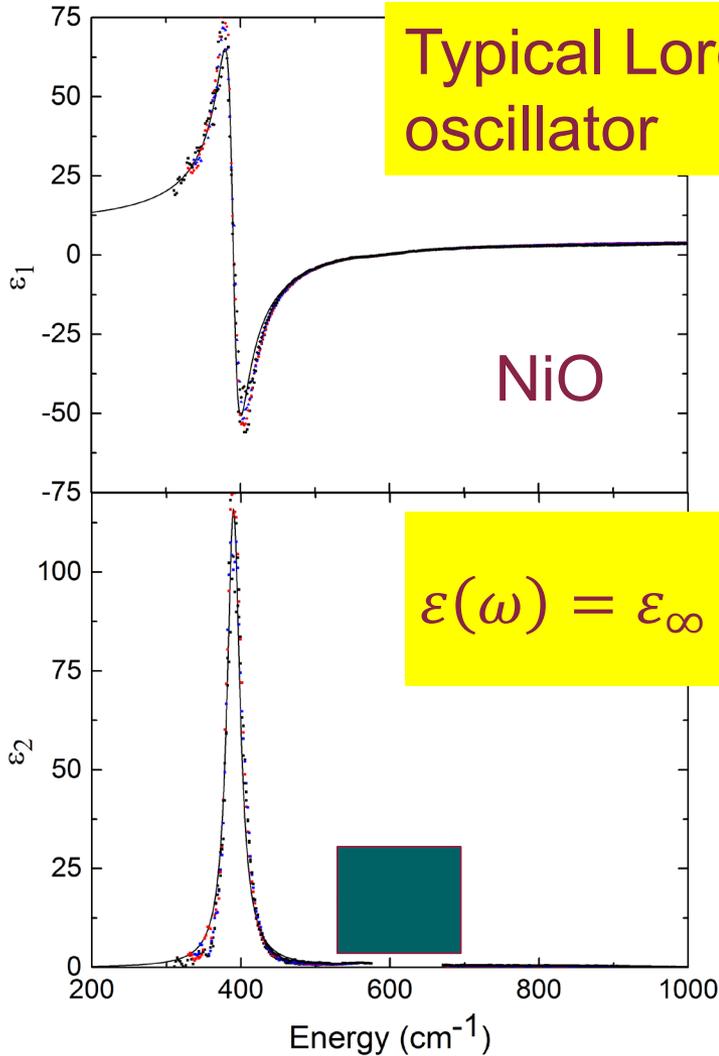
A.J. Sievers and J.B. Page, Infrared Physics **32**, 425 (1991)

Infrared Lattice Vibrations (NiO)



Typical Lorentz oscillator

NiO or NaCl or LiF:
Rocksalt lattice



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

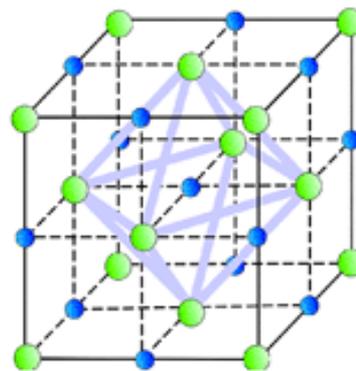
- Ni²⁺-O²⁻ bonds are polar.
- Ni-O vibration has dipole moment.



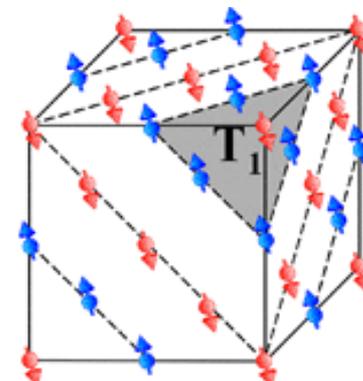
FTIR ellipsometry

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 cm^{-1}).
- Second-order phonon absorption.

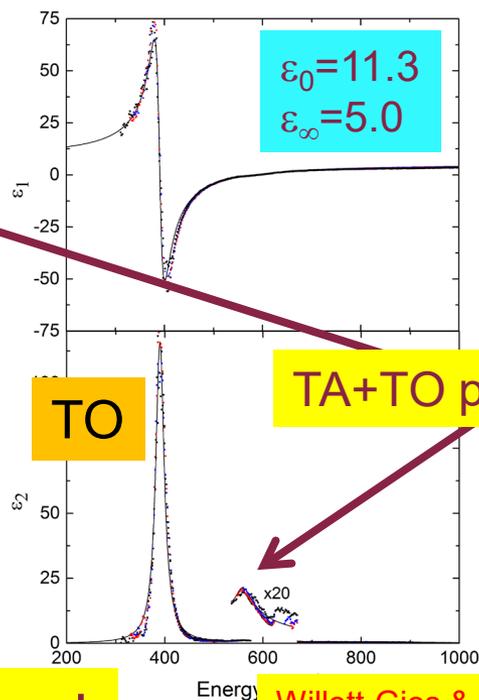
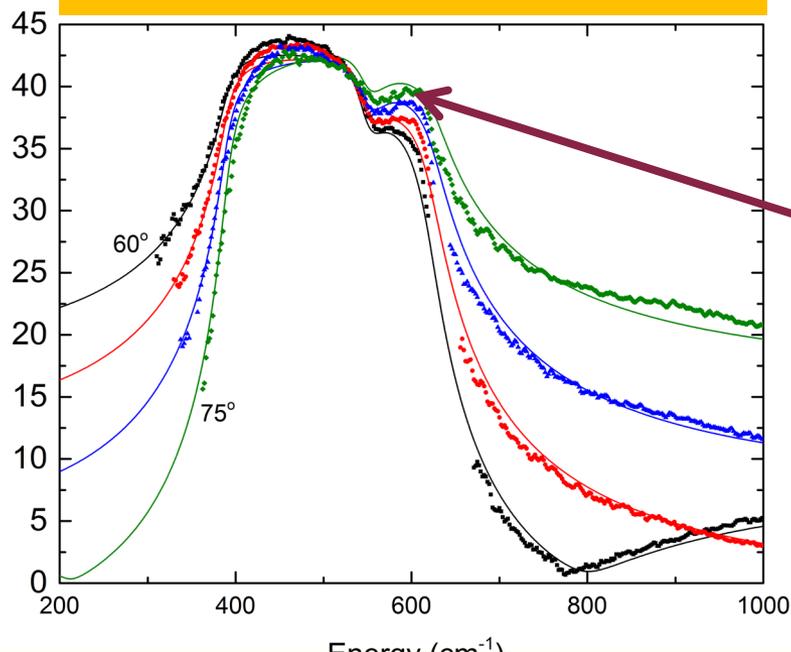


NiO cell



Rooksby, Nature, 1943

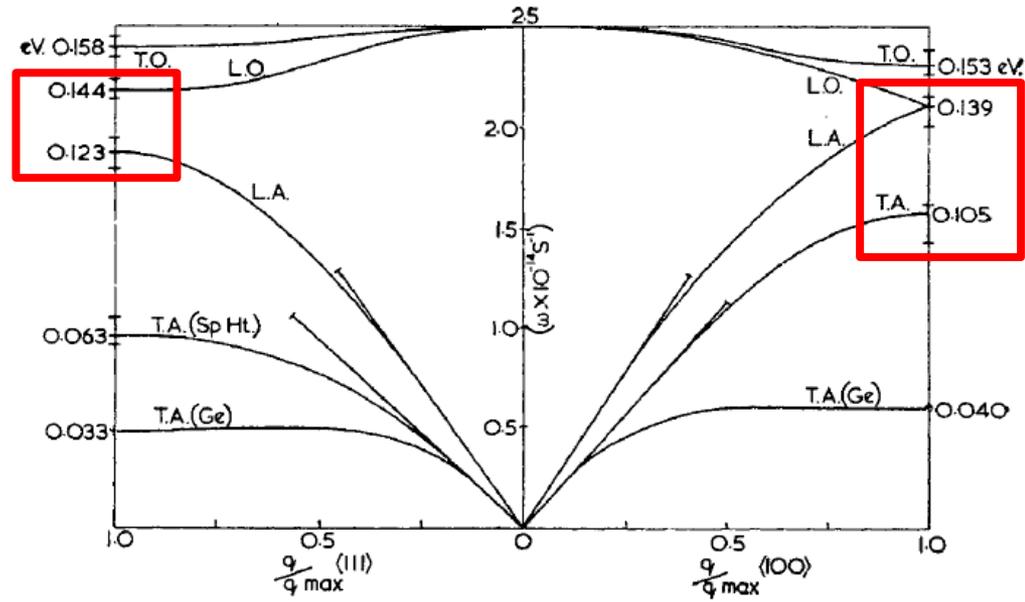
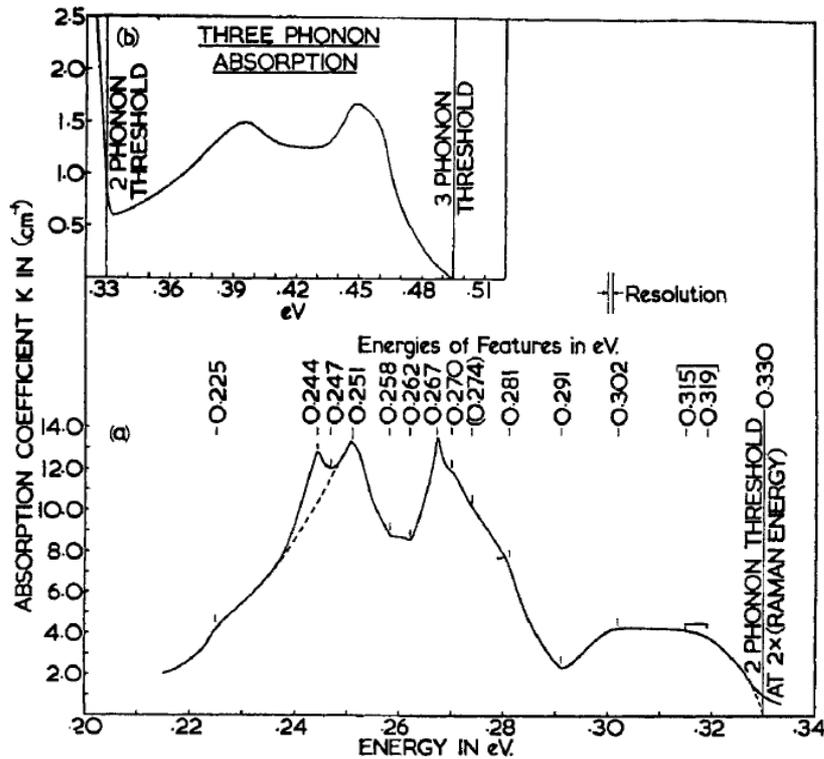
NiO Reststrahlen Band



Willett-Gies & Nelson, JVST A 33, 061202 (2015)
Also Humlicek PSSB 215, 155 (1999) for LiF.

Absorption in the restrahlen band

Two-phonon absorption (diamond)

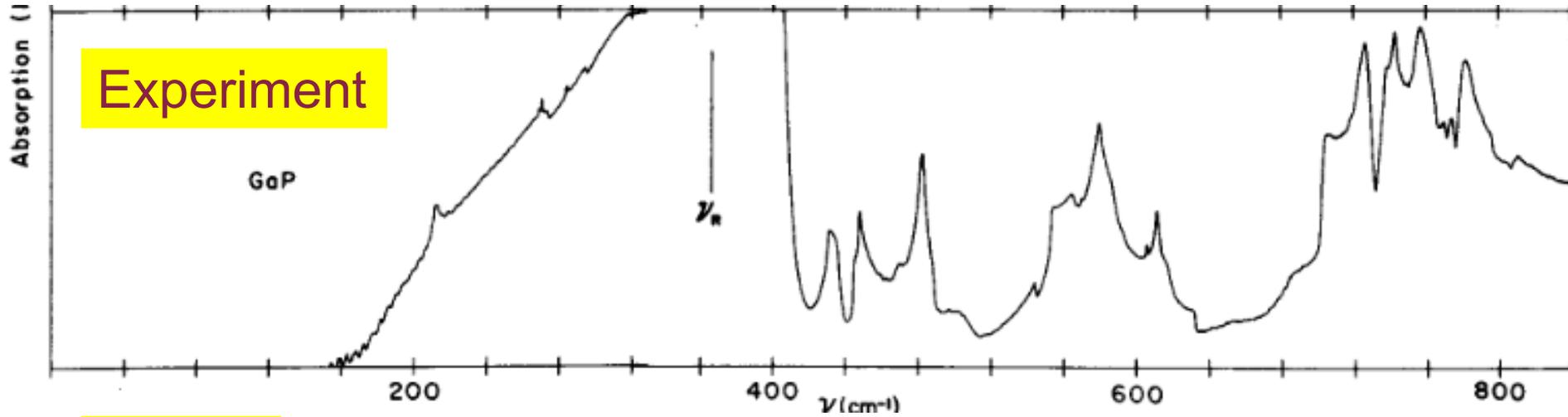


TA+LAO (X): $105+139=244 \text{ meV}$

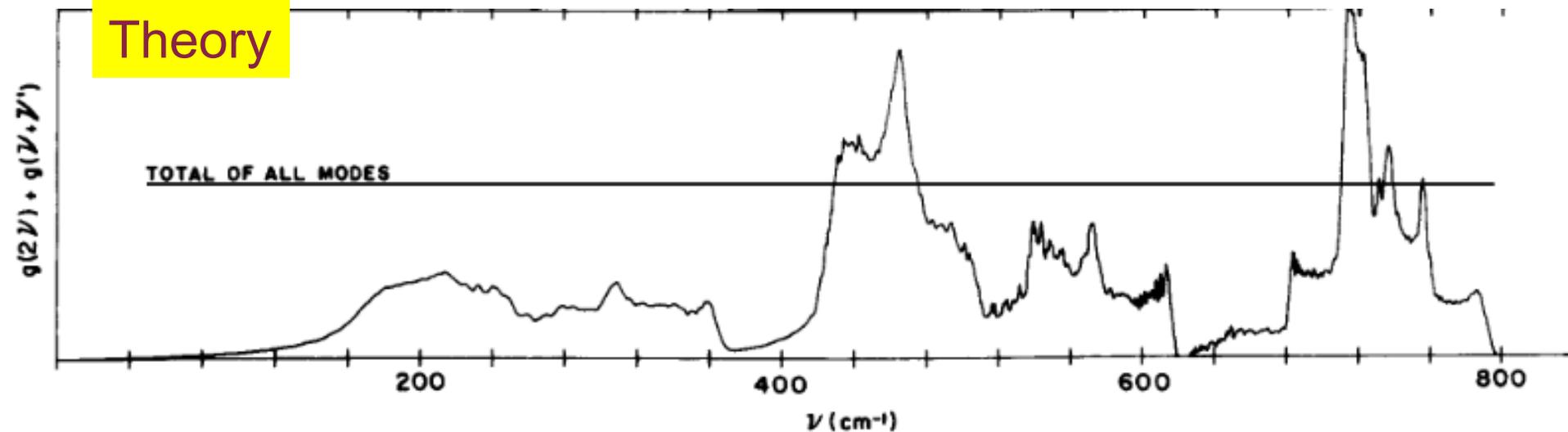
A single photon excites two phonons. Energy and wave vector conserved. Two-phonon absorption is weak (lower probability than TO phonon absorption). Most likely to occur near Brillouin zone boundary (high density of states).

Two-phonon absorption (GaP)

Experiment



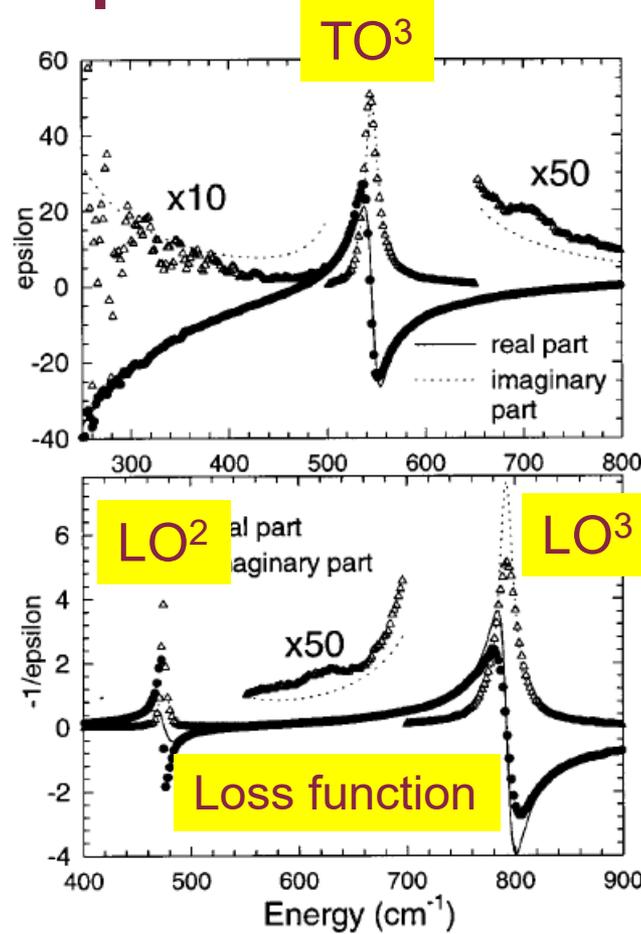
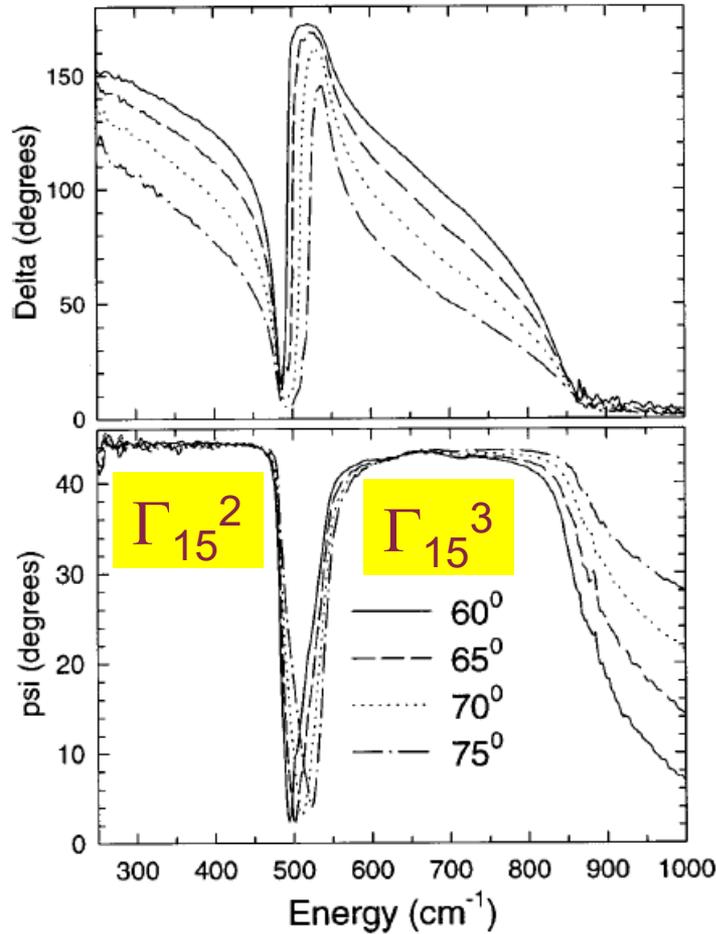
Theory



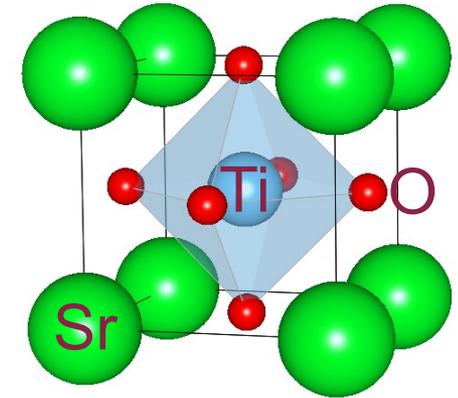
Alternative to neutron scattering to determine zone-edge phonon energies.

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

Phonons in complex oxides: Perovskites



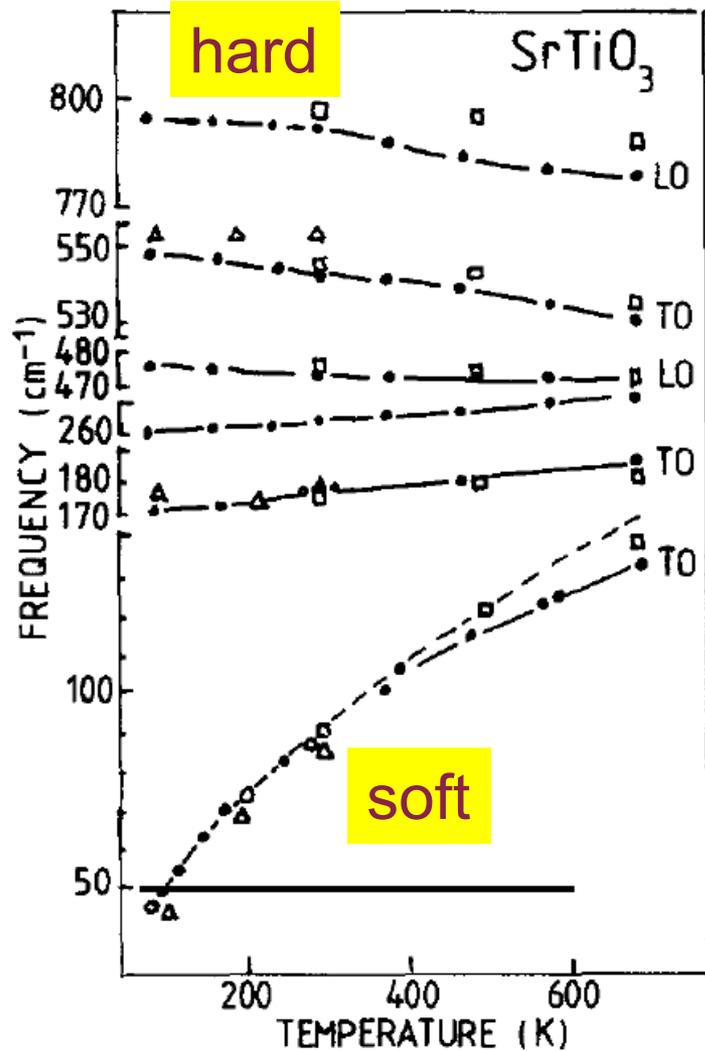
ϵ shows TO phonons



$-1/\epsilon$ shows LO phonons

5 atoms (SrTiO_3), 4 optical phonons at Γ , $3\Gamma_{15}(\text{IR})+\Gamma_{25}(\text{silent})$

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)

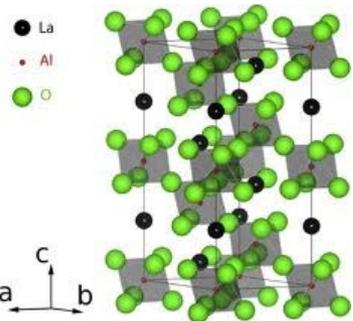
SrTiO₃ is nearly ferroelectric ($T_C \sim 0$ K).

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)

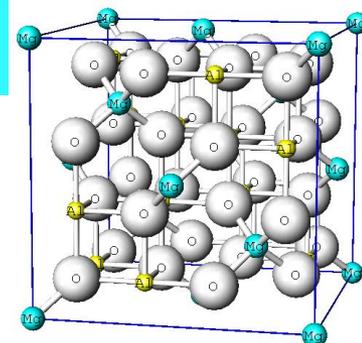


D_{3d}^6 or $R\bar{3}c$

Space Group



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



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

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

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

LaAlO₃

Raman Active (pointing to A_{1g}, A_{2u}, E_g)
IR Active (pointing to E_u)

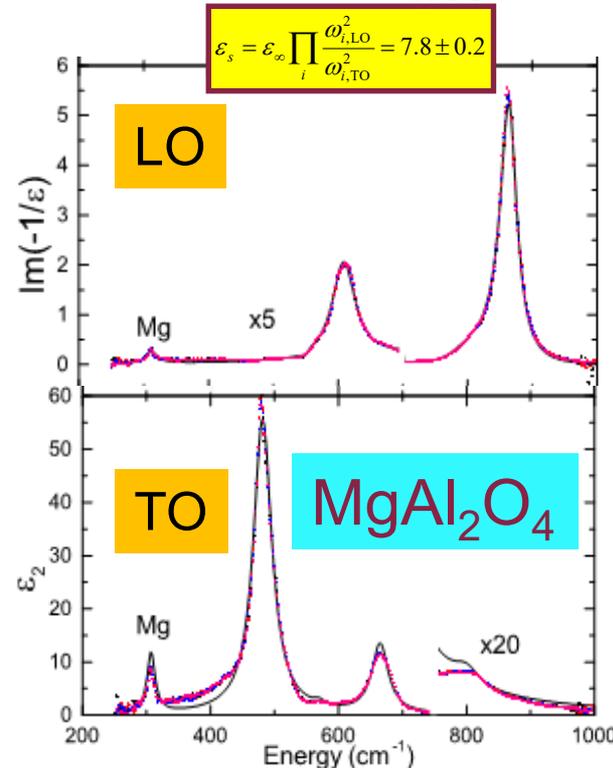
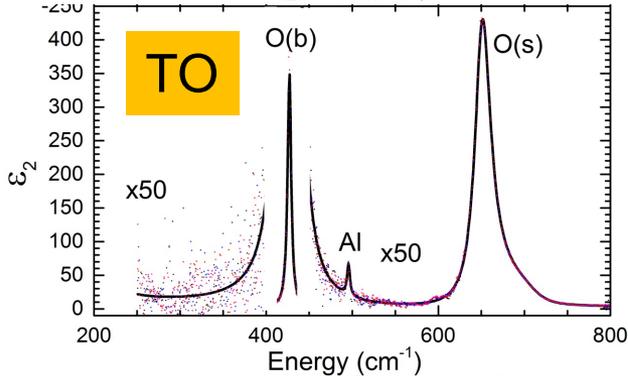
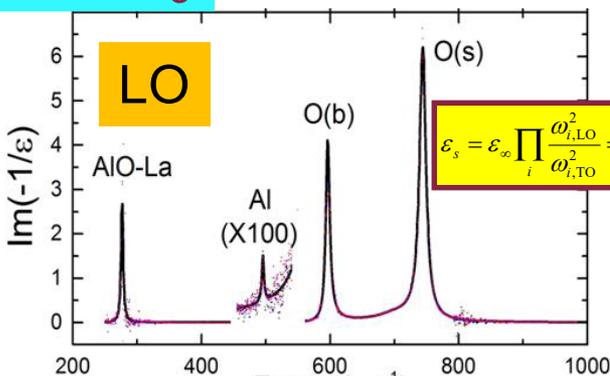
Raman Active (pointing to A_{1g}, E_g, T_{2g})

IR Active (pointing to T_{1u})

FTIR Ellipsometry

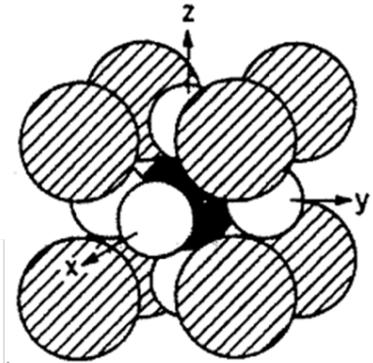
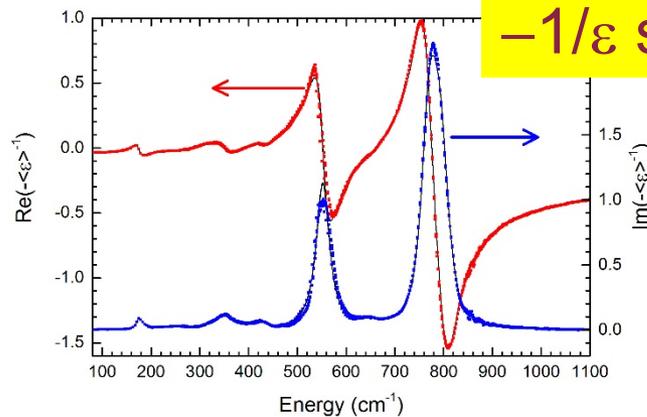
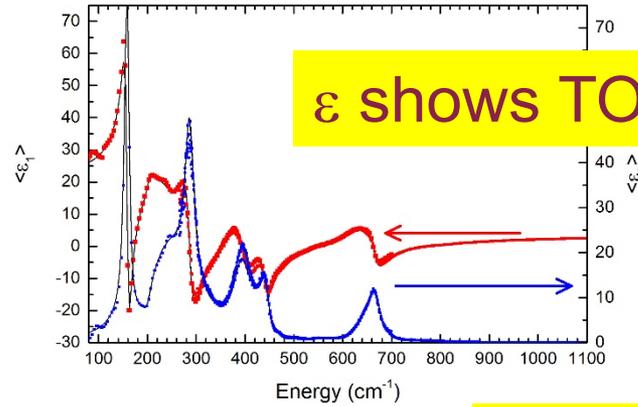
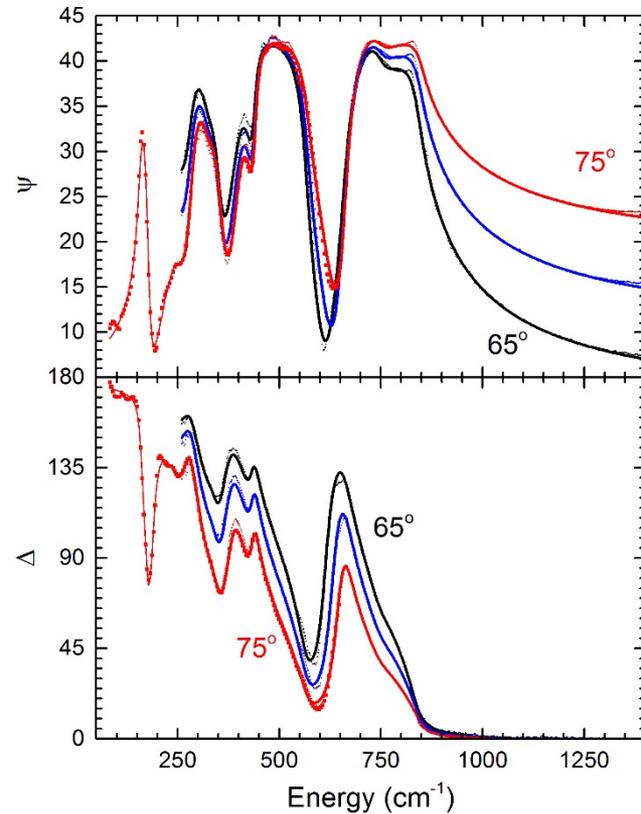
Loss function:
LO phonons

Dielectric function:
TO phonons



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

Far-infrared ellipsometry (bulk LSAT)

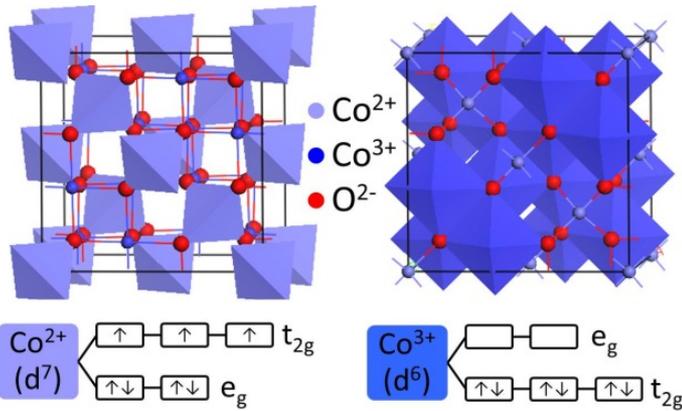
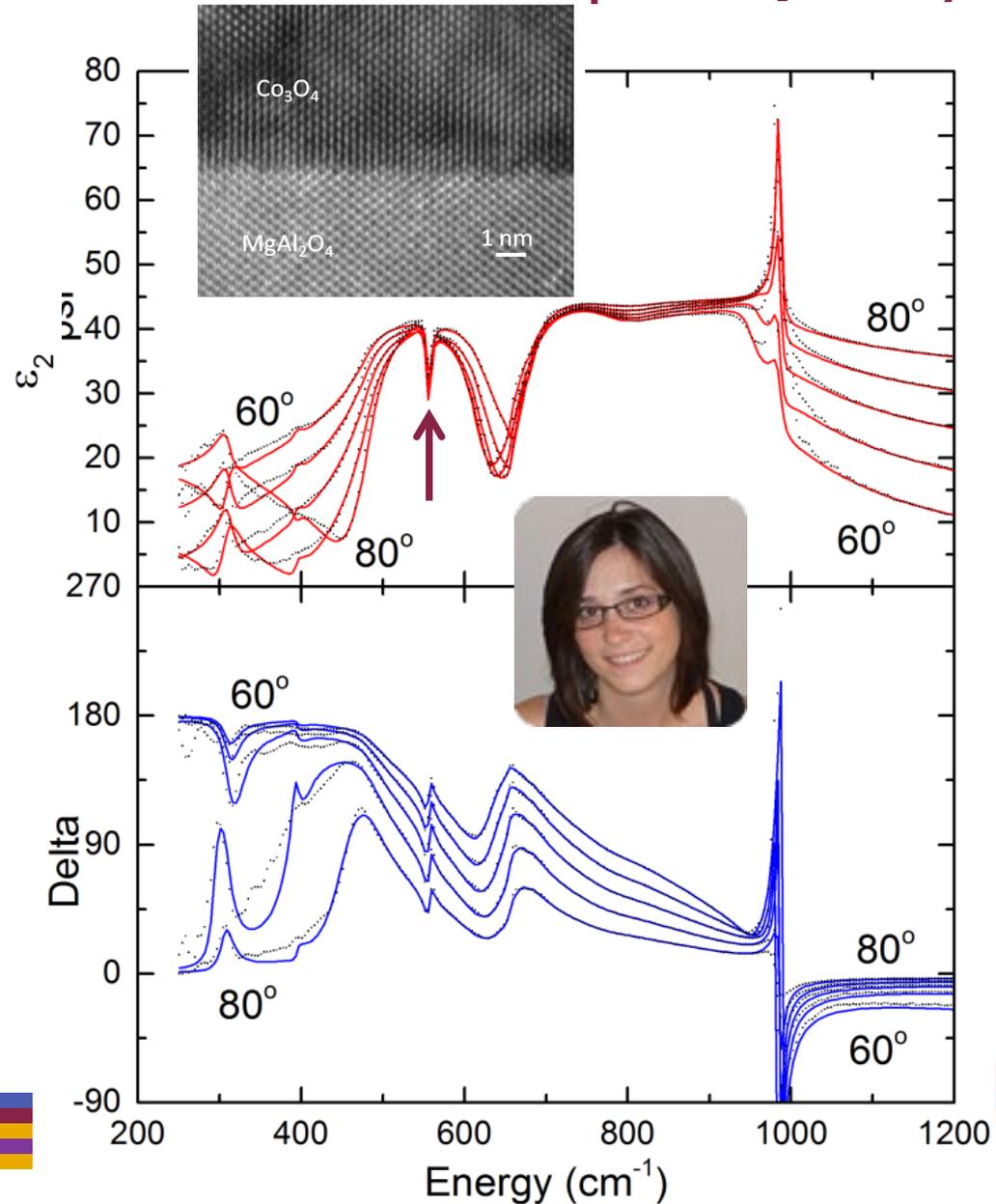
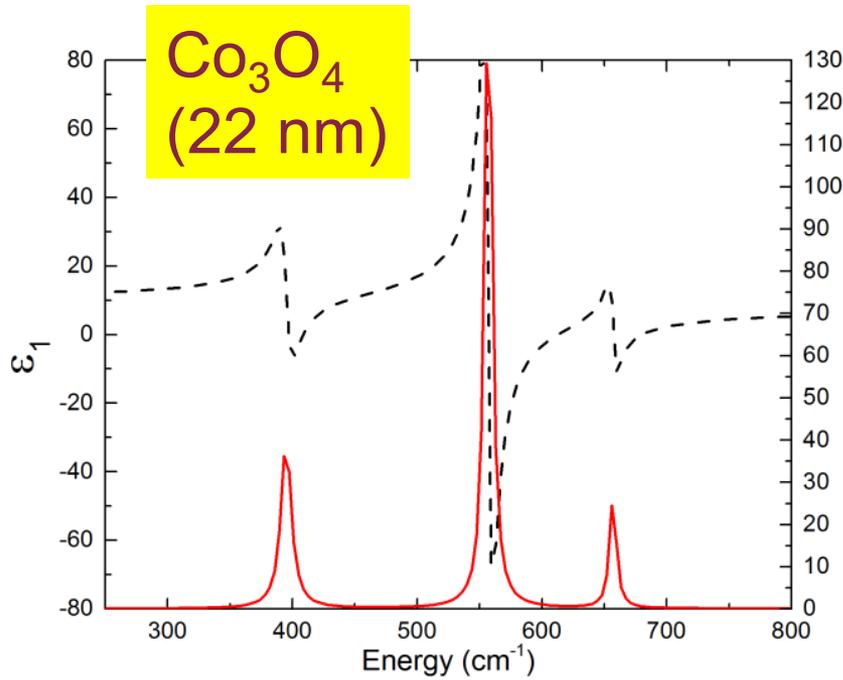


Disordered double perovskite $(\text{LaAlO}_3)_{0.3}(\text{Sr}_2\text{AlTaO}_6)_{0.35}$
 Many phonon modes. Several reststrahlen bands.

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



Phonons in more complex oxides (Co₃O₄ 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 $t' > t$

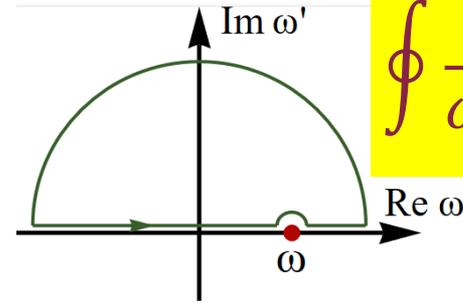
The charges cannot move before the field has been applied.

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 ε 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

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

$$\varepsilon(-\omega) = \overline{\varepsilon(\omega)}$$

Onsager relation

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

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

$$\varepsilon(\omega) = {}^t\varepsilon(\omega)$$

Also from energy density.

Passive materials (no optical gain)

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

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.