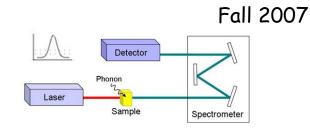


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## <u>Phys 774:</u> <u>Raman Scattering</u>



#### Raman scattering in crystalline solids

Not every crystal lattice vibration can be probed by Raman scattering. There are certain *Selection rules*:

#### 1. Energy conservation:

$$\hbar\omega_i = \hbar\omega_s \pm \hbar\Omega$$

 $\hbar\Omega$  Excitation energy

#### 2. Momentum conservation in crystals:

$$\mathbf{k}_{i} = \mathbf{k}_{s} \pm \mathbf{q} \implies 0 \le |\mathbf{q}| \le 2|\mathbf{k}| \implies 0 \le |q| \le \frac{4\pi n}{\lambda_{i}}$$
$$\lambda_{i} \sim 5000 \text{ Å}, \ a_{0} \sim 4-5 \text{ Å} \implies \lambda_{\text{phonon}} >> a_{0}$$
Phonons

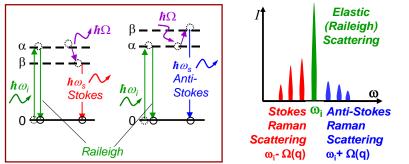
 $\Rightarrow$  only small wavevector (cloze to BZ center) phonons are seen in the 1<sup>st</sup> order (single phonon) Raman spectra of bulk crystals

# 3. Selection rules determined by crystal symmetry and by symmetry of excitations

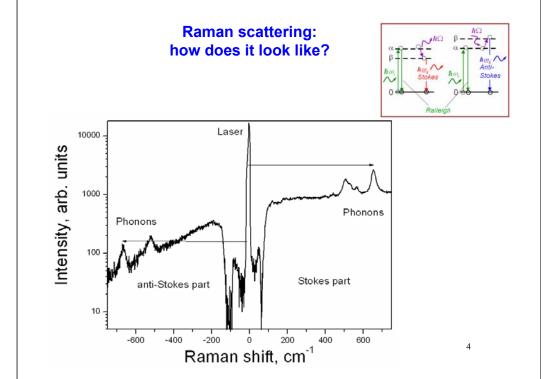
### Introduction: Brillouin and Raman spectroscopy

Inelastic light scattering mediated by the electronic polarizability of the medium

- a material or a molecule scatters irradiant light from a source
- Most of the scattered light is at the same wavelength as the laser source (elastic, or *Raileigh scattering*)
- but a small amount of light is scattered at different wavelengths (inelastic, or *Raman scattering*)



Analysis of scattered light energy, polarization, relative intensity provides information on lattice vibrations or other excitations<sup>2</sup>

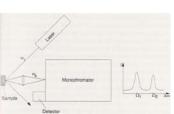


#### **Excitations**

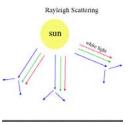
- 1. Molecular vibrations
- 2. Phonons: acoustic and optical
- 3. Magnons
- 4. Collective excitations: Electrons+phonons = Plasmons
- 5. Resonant excitations: Spin-flip excitations

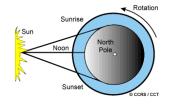
#### **Experimental setups**

- 1. Excitation source: Lasers or Synchrotron radiation
- 2. Sample: optical cryostats, magnets, pressure cells, etc
- 3. Polarizers for selection rules analysis
- 4. Spectrometers
- 5. Detectors

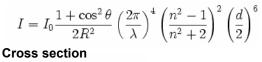






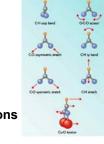


#### Scattered intensity



$$\sigma_s = rac{2\pi^5}{3} rac{d^6}{\lambda^4} \left( rac{n^2-1}{n^2+2} 
ight)^2$$





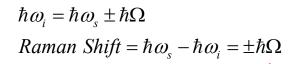
#### History of Raman scattering

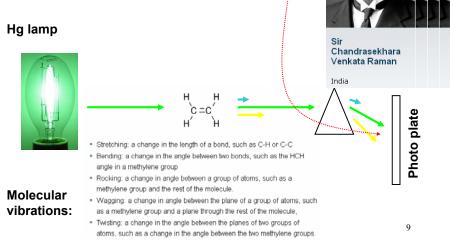
Before Raman ... : Rayleigh and Mie

 $\hbar\omega_i = \hbar\omega_s$ 

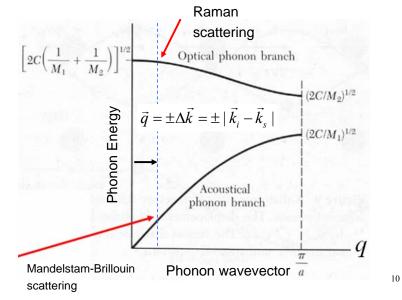
6

#### What is Raman shift?





#### Mandelstam-Brillouin vs. Raman scattering Examples of Phonons in Crystals



#### Phonons

- · Quantum mechanics: energy levels of the harmonic oscillator are quantized
- Similarly the energy levels of lattice vibrations are quantized.
- The quantum of vibration is called a *phonon* (in analogy with the photon the quantum of the electromagnetic wave)

Allowed energy levels of the harmonic oscillator:  $E = (n + \frac{1}{2})\hbar\omega$ 

where *n* is the quantum number

A normal vibration mode of frequency  $\omega$  is given by  $\mathbf{u} = \mathbf{A} e^{i(\mathbf{q} \cdot \mathbf{r} - \omega t)}$ 

mode is occupied by *n* phonons of energy  $\hbar \omega$ ; momentum  $\mathbf{p} = \hbar \mathbf{q}$ 

Number of phonons is given by : (T - temperature)

$$n = \frac{1}{e^{\hbar \omega/kT} - 1}$$

The total vibrational energy of the crystal is the sum of the energies of the individual phonons:  $\sum \sum \sum x = \sum (x_{i-1} + 1/2) t_{i-1} (x_{i-1}) t_{i-1} ($ 

(p denotes particular phonon branch)

$$E = \sum_{\mathbf{q}p} E_{\mathbf{q}p} = \sum_{\mathbf{q}p} (n_{\mathbf{q}p} + \frac{1}{2}) \hbar \omega_p(\mathbf{q})$$

#### 1D Model of lattice vibrations

one-dimensional lattice: linear chain of atoms

harmonic approximation: force acting on the n<sup>th</sup> atom is  $F_n = C(u_{n+1} - u_n) + C(u_{n-1} - u_n)$ 

equation of motion (nearest neighbors interaction only):

$$M\frac{\partial^2 u}{\partial t^2} = F_n = C(u_{n+1} - u_n) + C(u_{n-1} - u_n) = -C(2u_n - u_{n+1} - u_{n-1})$$

M is the atomic mass, C – force constant

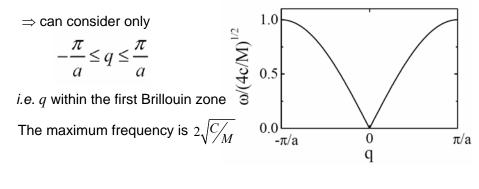
Now look for a solution of the form  $u(x,t) = Ae^{i(qx_n - \omega t)}$ 

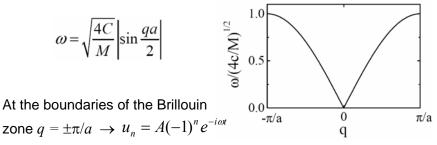
where  $x_n$  is the equilibrium position of the *n*-th atom  $\rightarrow x_n = na$ 

obtain 
$$M(-\omega^2)e^{iqna} = -C[2e^{iqna} - e^{iq(n+1)a} - e^{iq(n-1)a}]$$
 12

$$M(-\omega^2)e^{iqna} = -C\left[2e^{iqna} - e^{iq(n+1)a} - e^{iq(n-1)a}\right] \rightarrow$$
$$M\omega^2 = C\left(2 - e^{iqa} - e^{-iqa}\right) = 2C(1 - \cos qa) = 4C\sin^2\frac{qa}{2}$$
$$\Rightarrow \text{ the dispersion relation is} \quad \omega = \sqrt{\frac{4C}{M}} \left|\sin\frac{qa}{2}\right|$$

Note: we change  $q \rightarrow q + 2\pi/a$  the atomic displacements and frequency  $\omega$  do not change  $\Rightarrow$  these solutions are physically identical





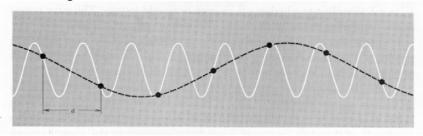
standing wave

#### Phase and group velocity

phase velocity is defined as  $v_p = \frac{\omega}{q}$ group velocity  $v_g = \frac{d\omega}{dq}$   $v_g = a\sqrt{\frac{C}{M}\cos\frac{qa}{2}}$  $v_g = 0$  at the boundaries of the Brillouin zone  $(q = \pm \pi/a) \Rightarrow$ no energy transfer – standing wave

### **Dispersion relation**

 Another way of showing this, physically, is by looking at the wavelengths of vibration:

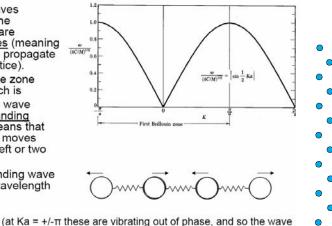


The wave represented by the solid curve conveys no new information not given by the dashed curve. Only wavelengths longer than 2a are needed to represent the motion. This means that K is limited by  $-\pi/a \le K \le \pi/a$ 

### Features of the Dispersion Relation

- Most of the waves described by the wavevector K are travelling waves (meaning that the waves propagate through the lattice).
- However, at the zone boundary, which is  $K = +/- \pi/a$  the wave becomes a <u>standing</u> <u>wave</u>. This means that the wave itself moves neither to the left or two the right.
- It is also a standing wave at K = 0 (the wavelength is <u>infinite</u>)

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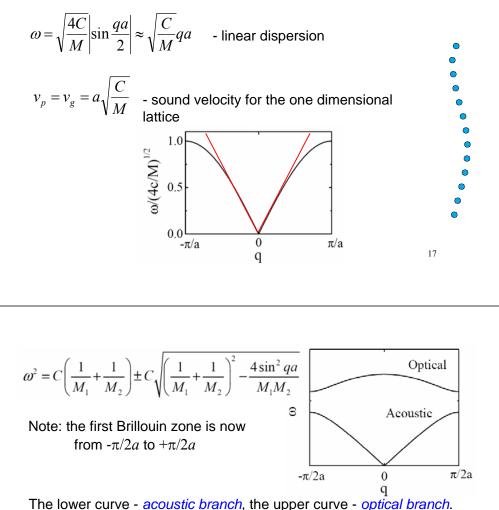
does not propagate)

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Long wavelength limit: 
$$\lambda >> a$$
;  $q = 2\pi/\lambda << 2\pi/a \Rightarrow qa << 1$ 

small *q* - close to the center of Brillouin zone



at 
$$q = 0$$
 for acoustic branch  $\omega_0 = 0$ ;  $A_1 = A_2$ 

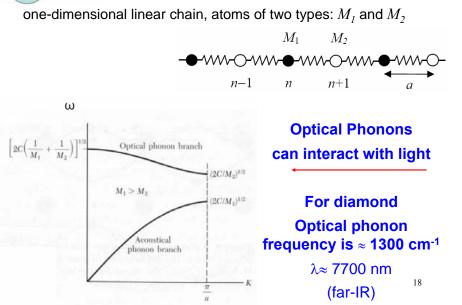
 $\Rightarrow$  the two atoms in the cell have the same amplitude and the phase dispersion is linear for small q

for optical branch at q = 0  $\omega_0 = \sqrt{2C\left(\frac{1}{M_1} + \frac{1}{M_2}\right)}$   $M_1A_1 + M_2A_2 = 0$ 

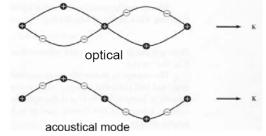
 $\Rightarrow$  the center of mass of the atoms remains fixed. The two atoms move out of phase. Frequency is in infrared – that's why called optical



#### **Diatomic lattice**



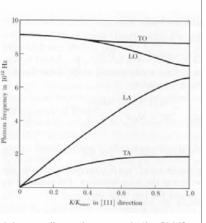
Transverse optical and acoustical modes



- The <u>acoustic</u> branch has this name because it gives rise to long wavelength vibrations – speed of sound
- The <u>optical</u> branch is a higher energy vibration (the frequency is higher, and you need a certain amount of energy to excite this mode). The term "optical" comes from how these were discovered – notice that if atom 1 is +ve and atom 2 is –ve, that the charges are moving in opposite directions. You can excite these modes with electromagnetic radiation (ie. The oscillating electric fields generated by EM radiation)

### **Two Atoms/Primitive Basis**

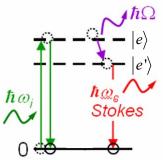
- If there are p atoms in the unit cell, there has to be 3p branches in the dispersion relation: 3 acoustical branches, and 3p-3 optical branches (there are more ways for the atoms to move for the optical modes)
- So, for Germanium, which has 2 atoms/unit cell (diamond structure: 000 and ¼ ¼ ¼ ), there has to be 6 branches: one longitudinal acoustic (LA), 2 transverse acoustic (TA), one longitudinal optical (LO), 2 transverse optical (TO)



(phonon dispersion curve in the [111] direction for Germanium at 80 K, as determined by inelastic neutron scattering)

#### **Quasi-Classical Theory of Raman Scattering**

$$\begin{split} &\hbar\omega_{i} = \hbar\omega_{s} \pm \hbar\Omega \\ &\vec{k}_{i} = \vec{k}_{s} \pm \vec{q} \end{split} \qquad \mathbf{P}(\omega_{s}) = \epsilon_{0}\tilde{\chi}(\omega_{i}, \omega_{s})\mathbf{E}(\omega_{i}) \\ &I_{s} = I_{i}\frac{\omega_{s}^{4}V}{(4\pi\epsilon\epsilon_{0})^{2}c^{4}} \left|e_{s}\tilde{\chi}(\omega_{i}, \omega_{s})e_{i}\right|^{2} \\ &\frac{\partial\chi}{\partial Q} = \frac{\partial\chi(E_{C})}{\partial E} \cdot \frac{\partial E_{C}}{\partial Q} \qquad \text{Lattice Deformation} \qquad +\sum_{j}Q_{j} \cdot \left(\frac{\partial\chi_{\alpha,\beta}(\omega_{i})}{\partial Q_{j}}\right) \\ &\text{Deformation gradient} \qquad +\sum_{j}iQ_{j} \cdot q_{j}\left(\frac{\partial\chi_{\alpha,\beta}(\omega_{i})}{\partial\nabla Q_{j}}\right) \\ &\text{External E-field} \qquad +\sum_{j,\gamma}Q_{j} \cdot E_{\gamma} \cdot \left(\frac{\partial^{2}\chi_{\alpha,\beta}(\omega_{i})}{\partial Q_{j}\partial E_{\gamma}}\right) \\ &2\text{-phonon process} \qquad +\sum_{j,j'}Q_{j}Q_{j'} \cdot \frac{1}{2}\left(\frac{\partial^{2}\chi_{\alpha,\beta}(\omega_{i})}{\partial Q_{j}\partial Q_{j'}}\right) \\ &+ \ldots \end{split}$$



#### **Quantum Theory of Raman Scattering**

$$\hbar\omega_i = \hbar\omega_s \pm \hbar\Omega$$
$$\vec{k}_i = \vec{k}_s \pm \vec{q}$$

the electronic transition from the ground state  $|0\rangle$  to an excited state  $|e\rangle$ : creation of an electron-hole pair due to the absorption of a photon with the energy  $\hbar\omega_i$ .

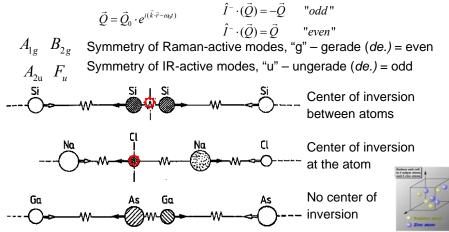
the electron-lattice interaction, i.e. the electronic transition from  $|e\rangle$  to  $|e'\rangle$  under creation or annihilation of a phonon with  $\hbar\Omega$ .

– the transition from  $|e'\rangle$  to the ground state  $|0\rangle$ : recombination of the electron-hole pair under emission of a photon  $\hbar\omega_s$ .

$$\chi_{\alpha,\beta}(\omega_{\rm i},\omega_{\rm s}) = \frac{e^2}{m_0^2 \cdot \omega_{\rm s}^2 \cdot V} \sum_{e,e'} \frac{\langle 0|p_{\alpha}|e'\rangle\langle e'|H_{\rm E-L}|e\rangle\langle e|p_{\beta}|0\rangle}{(E_{e'} - \hbar\omega_{\rm s})(E_e - \hbar\omega_{\rm i})}$$

Here  $m_0$  is the electron mass and V the scattering volume,  $p_{\alpha}$  and  $p_{\beta}$  are vector components of the dipole operators of the scattered and incident light, and  $H_{\rm E-L}$  is the electron-phonon interaction Hamiltonian.  $E_e$  and  $E_{e'}$  are the energies of the excited electronic states.

#### Selection rules for Raman Scattering by phonons



Phonon symmetry for different crystal lattices: The dashed circles are the diatomic base of an elementary cell, open circles are atoms of neighbouring cells. The dash-dotted vertical lines mark the centre of inversion. (a) Si  $(O_h^7$ -structure) has a g-mode (even symmetry), which is Raman-active. (b) NaCl  $(O_h^5$ -structure) has a u-mode (odd symmetry), which is IR-active. (c) GaAs (T<sub>d</sub>-structure) shows both Raman and IR-activity

#### Atomic displacement and Raman / IR-activity of optical phonons in crystals with the center of inversion

 $\vec{Q} = \vec{Q}_0 \cdot e^{i(\vec{k} \cdot \vec{r} - \omega_0 t)}$  $x \rightarrow -x$  $\vec{E} = \vec{E}_0 \cdot e^{i(\vec{k} \cdot \vec{r} - \omega t)}$  $y \rightarrow -y$  $\hat{I}^- \cdot (\vec{Q}) = -\vec{Q}$  $\hat{I}^- \cdot (\vec{Q}) = \vec{Q}$  $\hat{I}^- \cdot (\vec{E}) = -\vec{E}$  $\hat{I}^- \cdot (\vec{E}) = -\vec{E}$  $z \rightarrow -z$ 



NaCl, MgO, SrTiO<sub>3</sub>

No IR-active

Diamond

phonons in Ge, Si,

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#### **Polarization Selection rules for Raman Scattering** by phonons

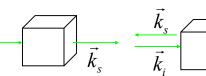
$$I_{
m s} = I_{
m i} rac{\omega_{
m s}^4 V}{(4\pi\epsilon\epsilon_0)^2 c^4} \left| e_{
m s} ilde{\chi}(\omega_{
m i},\omega_{
m s}) e_{
m i} 
ight|^2$$

 $\vec{k}_i(\vec{E}_i,\vec{E}_s)\vec{k}_s$ 



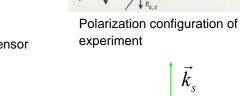


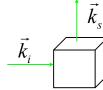
Back- scattering



Forward scattering

 $\vec{k}_i$ 



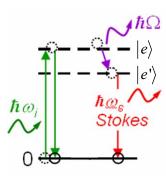


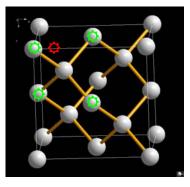
#### 90 deg scattering

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#### Atomic displacement and Raman / IR-activity of optical phonons in crystals with the center of inversion

Phonons in Ge, Si, Diamond	$\vec{Q} = \vec{Q}_0 \cdot e^{i(\vec{k} \cdot \vec{r} - \omega_0 t)}$
are Raman active	$\vec{E} = \vec{E}_0 \cdot e^{i(\vec{k} \cdot \vec{r} - \omega t)}$
$\chi_{\alpha,\beta}(\omega_{\rm i},\omega_{\rm s}) = \frac{e^2}{m_0^2 \cdot \omega_{\rm s}^2 \cdot V} \sum_{e,e'} \frac{\langle 0 p_{\alpha} e'\rangle\langle e' H_{\rm E-L} e\rangle\langle e p_{\beta} 0\rangle}{(E_{e'} - \hbar\omega_{\rm s})(E_e - \hbar\omega_{\rm i})}$	$\hat{I}^{-} \cdot (\vec{Q}) = \vec{Q}$ $\hat{I}^{-} \cdot (\vec{E}) = -\vec{E}$





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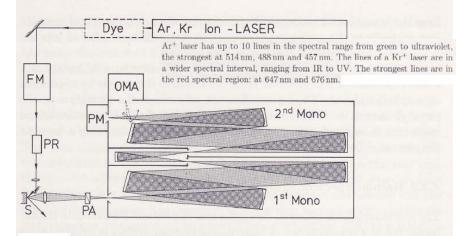
#### Example of selection rules for Raman scattering by optical phonons in III-V semiconductor crystals (no center of inversion)

Observation of TO and LO phonons from Deformation Potential scattering (DP) or Fröhlich scattering (F) on materials with T<sub>d</sub> symmetry for various crystal-face directions and polarisation directions of the incident and scattered light  $\mathbf{E}_{i}$  and  $\mathbf{E}_{s}$ 

$\mathbf{E}_{\mathrm{i}}$	$\mathbf{E}_{\mathrm{s}}$	ТО	LO	
[010]	[001]		$DP  \frac{\partial \chi}{\partial O} = \frac{\partial \chi(E_{\rm C})}{\partial E} .$	$\frac{\partial E_{\rm C}}{\partial Q}$
		-	F	0.2
			F	
		-	DP + F	
[011]	[011]	in the second second	-	
[110]	[110]	DP	F	
[110]	[001]	DP		
[001]	[001]	-	F	
[110]	[110]	DP	DP + F	
[110]		DP		
$[11\overline{2}]$	[112]	DP	DP + F 28	
	[010] [010] [001] [011] [011] [110] [110] [110] [110] [110]	[010]         [001]           [010]         [010]           [001]         [001]           [001]         [001]           [011]         [011]           [011]         [011]           [011]         [011]           [110]         [110]           [110]         [001]           [110]         [110]           [110]         [112]	[010]         [001]         -           [010]         [010]         -           [001]         [001]         -           [001]         [001]         -           [011]         [011]         -           [011]         [011]         -           [110]         [110]         DP           [110]         [001]         DP           [011]         [011]         -	$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$

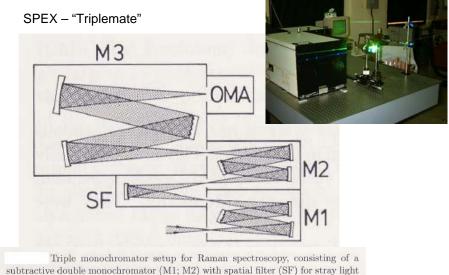
#### Experimental setups for Raman scattering

Experimental Setup for Raman Scattering



Schematic view of an experimental arrangement for Raman spectroscopy, using an additive double monochromator. For the detection, either a single channel photomultiplier (PM) or a multichannel detector can be used. FM: foremonochromator; PR: polarisation rotator; PA: polarisation analyser; S: sample

#### Experimental setups for Raman scattering

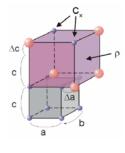


reduction, followed by a third monochromator (M3) to project the spectrum onto the multichannel detector (OMA)

#### Stress analysis in microstructures using Raman scattering

 $S_{12}$ 

 $+ S_{12}$ 

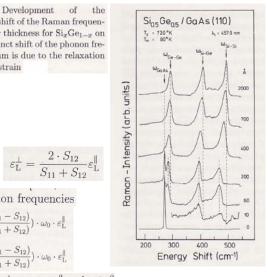


strain-induced shift of the Raman frequencies vs the layer thickness for  $Si_x Ge_{1-x}$  on GaAs. The distinct shift of the phonon frequencies at 40 nm is due to the relaxation of the epilayer strain

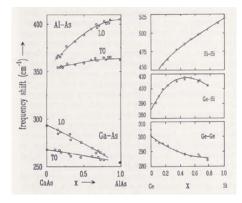
$$\varepsilon_{\mathrm{L}}^{\parallel} = \varepsilon_{xx} = \varepsilon_{yy} = (a_0^{\mathrm{S}} - a_0^{\mathrm{L}})/a_0^{\mathrm{L}} \qquad \varepsilon_{\mathrm{L}}^{\perp} = \frac{2}{S_1}$$

The strain-induced shift of the phonon frequencies

$$\begin{split} \Delta \omega_{\rm LO} &= \left(\frac{p+2q}{3\omega_0^2} \cdot \frac{(S_{11}+2S_{12})}{(S_{11}+S_{12})} + \frac{2}{3}\frac{q-p}{2\omega_0^2} \cdot \frac{(S_{11}-S_{12})}{(S_{11}+S_{12})}\right) \cdot \omega_0 \cdot \varepsilon_{\rm L}^{\parallel} \\ \Delta \omega_{\rm TO} &= \left(\frac{p+2q}{3\omega_0^2} \cdot \frac{(S_{11}+2S_{12})}{(S_{11}+S_{12})} - \frac{1}{3}\frac{q-p}{2\omega_0^2} \cdot \frac{(S_{11}-S_{12})}{(S_{11}+S_{12})}\right) \cdot \omega_0 \cdot \varepsilon_{\rm L}^{\parallel} \\ \text{phonon deformation potential values } p \text{ and } q \text{ are } -\omega_0^2 \text{ and } -2\omega_0^2 \end{split}$$

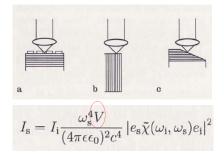


#### Composition analysis in microstructures



Multi-mode phonon behaviour in mixed crystals. Two-mode phonon bethree-mode haviour in Al-Ga1-+As : Ga-As and Al-As TO and LO modes (a) phonon behaviour in  $Si_x Ge_{1-x}$ : Si-Si, Si-Ge, and Ge-Ge mode (b)

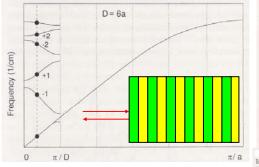
#### Micro-Raman scattering

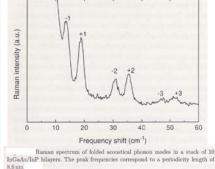


Possible realisations of micro-Raman spectroscopy from heterostructures. a Locally resolved analysis of structured surfaces, b scan on a cleaved side-face, c scan on surface after bevel etching

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#### Raman scattering in Low-dimensional periodic structures (folded acoustic phonons in GaAs/AIAs MQW's)



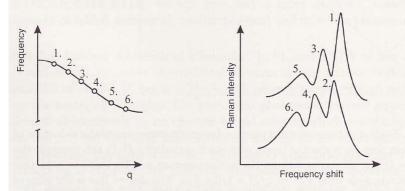


Folding of the acoustical phonon dispersion curve due to the reduction of the Brillouin zone for a stack of layers with stack periodicity D. In this example the periodicity D was chosen as 6 times the lattice constant a. This leads to reduction of the Brillouin zone from  $\pi/a$  to  $\pi/D = 1/6 \times \pi/a$ . The dotted line is the edge of the new Brillouin zone. The dashed vertical line symbolises the *q*-transfer in Raman scattering. The circles denote the frequency and wavevector values of the observed folded phonon modes.

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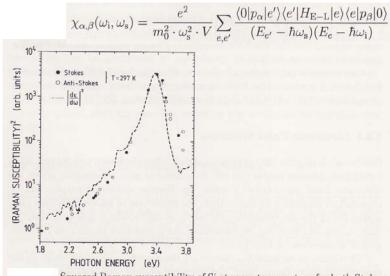
#### Raman scattering in Low-dimensional periodic structures (Confined optical phonons in GaAs/AIAs MQW's)



Optical phonon dispersion curve  $\Omega$  with allowed q-values 1...6. and corresponding Raman spectra. The odd-index modes appear in off-diagonal polarisation configuration, while the even-index modes require the diagonal configuration

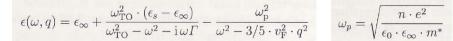
34

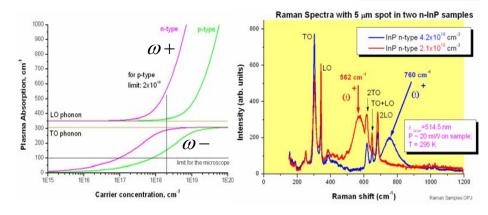




Squared Raman susceptibility of Si at room temperature for both Stokes and anti-Stokes data. The straight line represents the squared derivative of the dielectric function determined by spectroscopic ellipsometry

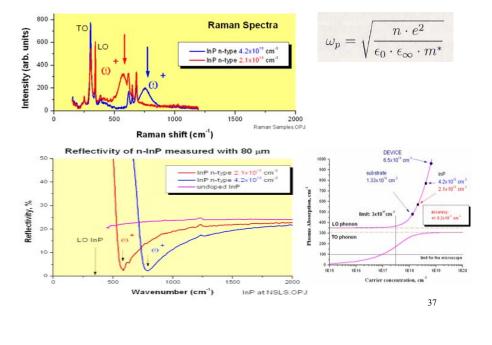
#### Raman scattering by coupled Plasmons: plasmon+LOph



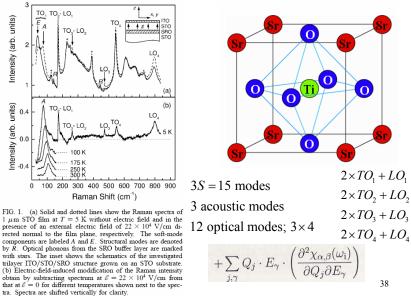


Eigenfrequencies of the coupled plasmon- LO-phonon modes  $\Omega^-$  and  $\Omega^+$ 

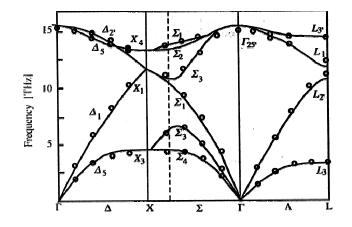
#### Raman scattering and IR reflectivity by Plasmons: e+ph

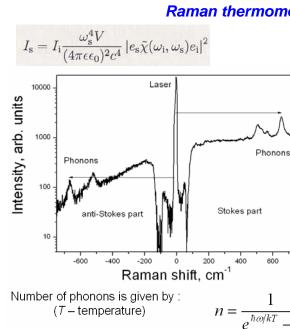


#### Example of E-field induced Raman scattering in crystalline solids



HW: Which crystal has this phonon dispersion diagram?





#### Raman thermometer

**Classical formula** is not complete!

You need to take **Planck's statistics** for phonons into account to calculate the scattering intensity

#### HW:

What is St/aSt ratio ???

Stokes  $\sim n+1$ anti – Stokes ~ n