

kSEMAWc software

Functions for the complex refractive index modeling

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The theories for the light-matter interaction give the simplest expression for the complex dielectric susceptibility $\tilde{\chi} = \chi_1 - i \chi_2$.

Refractive index, dielectric susceptibility and permittivity $\tilde{\epsilon} = \epsilon_1 - i \epsilon_2$ are connected by the following simple equations:

$$
\tilde{\epsilon} = (n - ik)^2 = 1 + \tilde{\chi}.
$$

Therefore:

$$
\epsilon_1 = 1 + \chi_1, \qquad \epsilon_2 = \chi_2.
$$

and:

$$
n = \frac{1}{\sqrt{2}}\sqrt{\sqrt{\epsilon_1^2 + \epsilon_2^2} + \epsilon_1}, \qquad k = \frac{1}{\sqrt{2}}\sqrt{\sqrt{\epsilon_1^2 + \epsilon_2^2} - \epsilon_1}.
$$

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Sum rule on
$$
\chi_2
$$
:
\n
$$
\int_0^\infty \chi_2(E) E dE = \frac{\pi (\hbar q)^2 N}{2\epsilon_0 m_e} = \frac{N (cm^{-3})}{4.61706 \cdot 10^{20}} eV^2
$$

where N is electron number per unit volume of the material (all of them, including the core electrons), q is the electron charge and m_e is the electron mass.

As far as possible, the oscillator functions f_i in kSEMAW_c are normalized according to:

$$
\int_0^\infty Im(\tilde{f}_i(E))E dE = 1
$$

"ideal global fit
$$
(0 < E < \infty)
$$
" $\sum_{i} C_i = \frac{\pi (\hbar q)^2 N}{2 \epsilon_0 m_e}$

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The Flat Oscillator

Generally the fit is limited to energies lower than a few eV.

Transitions at higher energies, not explicitly included in the oscillator sum, give anyway a substantial contribute to ϵ_1 .

To simplify the fit, the 1 is replaced with a user-selectable parameter C_{flat}^2 :

$$
\tilde{\epsilon} = C_{flat}^2 + \sum_i \tilde{\chi}_i = C_{flat}^2 + \sum_i C_i \tilde{f}_i
$$

 C_{flat} is the only parameter of a special "flat" oscillator and, since it is squared to obtain ϵ_1 , C_{flat} corresponds fairly well to the refractive index offset generated by this "Flat" oscillator: $n \simeq C_{flat} + \ldots$

A "flat" oscillator with $C_{flat} > 1$ must be always included in the fit

Oscillators available in ksemawc v2.6

 $\tilde{\epsilon}(E)$ is calculated summing up to 20 oscillators belonging to the following 18 classes:

Oscillators parameters

All the oscillators have less than four free parameters.

Single peak oscillators formulas

 $C = (\pi \hbar^2 q^2 N)/(2m\epsilon_0)$ is the oscillator amplitude with dimensions $[eV]^2$ E_0 is the resonance energy. D is the line width. W is the asymmetry parameter for the Lorentz-Dirac oscillator D_+ is the Dawson function K is a normalization constant for the Quantum-inhomo oscillator

Lorentz: standard function for the fit of peak shaped absorption spectra. Its long tails may cause problems if used for materials with a high transparency in adjacent energy range.

Quantum-homo: obtained neglecting a not-resonant term in the Lorentz oscillator. Its simpler expression allows to obtain analytical results in convolution calculations.

Lorentz-Dirac: asymmetric line shape. Useful for the fitting of noble metals optical costants.

Quantum-inhomo: obtained as the convolution between a quantum oscillator and a Gaussian distribution centered in E_0 and with HWHM equal to D; the line width of the quantum oscillator is assumed to be much lower than the Gaussian width.

Useful to model a set of absorbing centres which cannot be considered as identical replicas due, for example, to proximity to other randomly distributed defects or to random fluctuations of strain (inhomogeneous broadening).

The fast decay of its χ_2 away from the resonance energy avoid some problems encountered using the Lorentz oscillator.

Comparison of the 4 single oscillators

Comparison of χ 2 for the 4 single oscillators

 χ_2 for the 4 single peak oscillators (Lorentz, Lorentz-Dirac, Quantum and Quantum-inhomo) with C=5.6 eV² and $E_0 = 3$ eV. $D=0.1$ eV for Lorentz, Quantum and Quantum-inhomo oscillators. $D=0.01$ eV and W=50 eV for Lorentz-Dirac oscillator.

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Drude oscillators

The "Drude" oscillator describes fairly well the response of a free electron gas. It can be obtained simply setting $E_0 = 0$ in the Lorentz oscillator:

$$
\chi_1 = -\frac{2C}{\pi} \frac{1}{D^2 + E^2}, \qquad \chi_2 = \frac{2C}{\pi} \frac{D}{E(D^2 + E^2)}.
$$

D is related to the carrier scattering time τ by $D = \hbar/\tau$.

The optical mobility can be deduced from D using the equation $\mu = q\tau/m^* = (q\hbar)/(m^*D)$.

 $C = (\pi \hbar^2 q^2 N)/(2m^* \epsilon_0)$ where N is the carrier density and m^* is their effective mass.

A sligthly modified version ("Drude-ionized") is available where D has an energy dependence $(D(E))$ to approximate the energy dependence of the carrier scattering time when the scattering is caused by ionized impurities.

Direct and Indirect gap oscillators

The oscillators introduced up to now are unsuitable to describe the optical constants of systems with a continuous distribution of density of states such as semiconductors.

The theories reported in textbooks on semiconductors usually derive χ_2 only and exclusively at energies near the fundamental gap.

The calculation is made by hypothesizing that the excited states have infinite lifetime, i.e. that every transition between two states may take place only by absorbing/emitting photons and phonons with a total energy exactly equal to the difference of their energetic levels.

Tauc approximation \iff constant momentum matrix element $|M_{cv}|^2$

A constant $|\langle r \rangle|^2$ assumption can be also used as proposed by Cody for the amorphous semiconductor case.

A relation between the matrix elements of these two operators can be obtained by using commutator relations: $\overline{2}$

$$
|\langle r\rangle|^2=|M_{cv}|^2\left(\frac{\hbar}{mE}\right)^2
$$

Energy dependence near Eg

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3D critical points

In 3 dimensions the Joint Density of States can show four types of critical points where $\vec{\nabla}(E_C(k)-E_V(k))=0$: M₀(minimum), M₁(saddle), M₂ (saddle), M₃ (maximum).

Band for a simple cubic lattice in the Tight-Binding s-level nearest-neighbor approximation with an overlap integral equal to D:

$$
E(\vec{k}) = E_{lev} - 2D[cos(k_x a) + cos(k_y a) + cos(k_z a)]
$$

3D critical points : analytical approximation PER LE NUOVE TECNOLOGI $\rho_{s.c.}(E)=\boxed{A\sqrt{(E-E_0)(E_3-E)}+B\left[\sqrt{\frac{W}{2}-D}-\Theta(|E-\overline{E}|-D)\sqrt{|E-\overline{E}|-D}\right]+C(E-E_0)(E-E_3)}$ Total s.c. 0.3 $M1-M2$ $\overline{E} = (E_3 + E_0)/2$, $W = E_3 - E_0$ M0-M3 $B = C \left[2(E_3 - E_0) \sqrt{\frac{E_3 - E_0}{2} - D} \right]$ 0.2 s.c (. E) 0.1 0.0

-3 -2 -1 0 1 2 3 (E-E)/D

To keep the oscillators simple and with 4 parameters only, M_0 - M_3 and M_1 - M_2 contributions to direct transitions are simulated by separate oscillators.

Direct gap-Cody and Direct gap-Tauc
$$
(M_0-M_3)
$$

\n
$$
\chi_{2-div-cody}^{inf}(E) = \frac{C}{K_{Cd}} \sqrt{(E - E_0)(E_3 - E)}
$$
\n
$$
\chi_{2-div-cody}^{inf}(E) = \frac{C}{K_{Cd}} \sqrt{(E - E_0)(E_3 - E)}
$$
\n
$$
K_{Td} = \frac{\pi}{16} W^2 (2E_0 + W)
$$
\n
$$
\chi_{2div-cave}^{inf} (E) = \frac{C}{K_{Td}} \frac{\sqrt{(E - E_0)(E_3 - E)}}{E^2}
$$
\n
$$
K_{Td} = \frac{\pi}{2} (2E_0 + W - 2\sqrt{E_0(E_0 + W)})
$$
\n
$$
\int_0^\infty \epsilon_2^{osc}(E) E dE = C
$$

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Indirect gap-Cody and Indirect gap-Tauc

 E_0 is the gap energy. W is the absorption band width

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The analytical expressions for $\tilde{\chi}(E)$ are obtained by performing the convolution between a suitable χ_2^{inf} calculated for infinite lifetime and the normalized complex $\tilde{\chi}_{qo}$ describing the response of a quantum oscillator:

$$
\tilde{\chi}(E) = \int \chi_2^{inf}(E_r) \tilde{\chi}_{qo}(E_r - E) dE_r
$$

The function $\tilde{\chi}_{qo}$ is given by the expression given before, normalized so that the integral of its imaginary part is equal to 1:

$$
\tilde{\chi}_{qo}(E, E_r) = \frac{1}{\pi} \left[\frac{1}{E_r - E + iD} \right]
$$

The result of the convolution can be expressed as analytical functions in the four previous cases.

Direct gap Cody - Lorentzian tail

The example in this figure has: C=1, $E_0 = 2$ eV, $W = E_3 - E_0 = 2$ eV, $D = 0.1$ eV.

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Direct gap Tauc - Lorentzian tail

The convolution between the $\chi_{2-dirTauc}^{inf}$ and the normalized complex $\tilde{\chi}_{qo}$ gives:

$$
\chi_{1-dir-Tauc}(E) = \frac{C}{2DK_{Td}} \Re \left\{ \frac{1}{2(D - iE)} \left(2iD + 2E - 2\sqrt{E_0E_3} \right) \right.
$$

\n
$$
- (i - 1)\sqrt{2}\sqrt{D - i(E - E_0)}\sqrt{-iD - E + E_3} \right\}
$$

\n
$$
+ \frac{1}{2(D + iE)} \left(-2iD + 2E - 2\sqrt{E_0E_3} + (i + 1)\sqrt{2}\sqrt{D + i(E - E_0)}\sqrt{iD - E + E_3} \right)
$$

\n
$$
+ E(D - iE)^2 \sqrt{D + i(E - E_0)}\sqrt{D + i(E - E_3)}/\left(D^2 + E^2\right)^2
$$

\n
$$
+ E(D + iE)^2 \sqrt{D - i(E - E_0)}\sqrt{D - i(E - E_3)}/\left(D^2 + E^2\right)^2
$$

\n
$$
- ED\left(D^2(E_0 + E_3) + E(-4E_0E_3 + E(E_0 + E_3))\right) / \left(\left(D^2 + E^2\right)^2 \sqrt{E_0E_3}\right)
$$

$$
\chi_{2-dir-Tauc}(E) = \frac{CD}{K_{Td}}
$$

$$
\times \Re \left\{ - \left[(D - iE)^2 \sqrt{D + i(E - E_0)} \sqrt{D + i(E - E_3)} \right] / \left(2D (D^2 + E^2)^2 \right) - \left[(D + iE)^2 \sqrt{D - i(E - E_3)} \sqrt{D - i(E - E_0)} \right] / \left(2D (D^2 + E^2)^2 \right) + D \left[D^2 (E_0 + E_3) + E(-4E_0 E_3 + E(E_0 + E_3)) \right] / \left(2D (D^2 + E^2)^2 \sqrt{E_0 E_3} \right) \right\}
$$

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Direct and Indirect gap oscillators with Urbach tail

 χ_2^{inf} is modified adding an Urbach tail on both band edges. The real part χ_1 is then obtained by means of the numerical integration of the Kramers-Kronig relation:

$$
\chi_1(E) = \frac{2}{\pi} \mathcal{P} \int_0^\infty \frac{\chi_2(x)x}{x^2 - E^2} dx
$$

The parameters are: C=1, $E_0 = 2$ eV, $W = 2$ eV, $D = 0.1$ eV. D corresponds to the quantum oscillator line width in one case and to the characteristic energy D of the Urbach tail $(\chi_2(E) \propto exp(\pm E/D))$ in the other one.

Direct gap Tauc-exciton

The oscillator included in kSEMAW_c is based on an improved version of the Elliott's theory presented by Tanguy in 1995 [1] which gives a very compact expression for the susceptibility of a semiconductor with a direct gap in the Tauc approximation taking into account the excitons and a Lorentzian broadening of the states:

$$
\tilde{\chi}(E) = \frac{C\sqrt{W}}{(E+iD)^2} \left[g_a(\xi(E+iD)) + g_a(\xi(-E-iD)) - 2g_a(\xi(0)) \right]
$$
\n
$$
g_a(\xi) = 2\ln\xi - 2\pi\cot(\pi\xi) - 2\psi(\xi) - 1/\xi
$$
\n
$$
\xi(z) = \sqrt{\frac{W}{E_0 - z}}
$$
\n
$$
E = E_0
$$

where $\psi(z) = d \ln \Gamma(z)/dz$ is the complex digamma function, D is the width of the Lorentzian broadening function, E_0 is the energy gap and W is the exciton binding energy.

[1] C. Tanguy, Optical dispersion by Wannier excitons, Phys. Rev. Lett. 75, 4090–4093 (1995).

ENE Direct gap Tauc-exciton: broadening effectACENTIA MATIONAL **PER LE NUOVE TECNOLOGIE, L'ENERGIA
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The other parameters are: C=4, $E_0 = 1.6$ eV, $W = 40$ meV.

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3D M 1 -M 2 critical point oscillator

Plot of χ_2 for a M₁-M₂ oscillators with C=1 eV^2 , $E_0 = 1.6$ eV, $W = 2eV$ and D=0.5 eV using the Cody (black curve) and Tauc (red curve) approximations.

The real part χ_1 is obtained by means of the numerical integration of the Kramers-Kronig relation.

$$
\chi_{2-CM12}(E) = \frac{C}{K_{CM12}} \left\{ K_1 \left[\sqrt{\frac{W}{2} - D} - \Theta(|E - \overline{E}| - D) \sqrt{|E - \overline{E}| - D} \right] + (E - E_0)(E - E_3) \right\}
$$

A familiar case: crystalline silicon

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A familiar case: crystalline silicon

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Perovskite film on glass

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ZnSe film on glass

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IWO film on glass

From Drude parameters, using
$$
m^* = 0.35m_e
$$
, we get:
\n
$$
N(\text{cm}^{-3}) = C(\text{eV}^2) \frac{m^*}{m_e} 4.617 \cdot 10^{20} = 2.83 \cdot 10^{20} \text{cm}^{-3}
$$
\n
$$
\mu\left(\frac{cm^2}{Vs}\right) = \frac{1.159}{D(eV)m^*/m_e} = 38.5 \left(\frac{cm^2}{Vs}\right)
$$

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CZTSSe solar cell

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HJ c-Si solar cell

5-ITO

Save Spj! HJ_stack/Simulaz_HJFlat_amorfi.2.Spj info: TCO-aSI-cSI-aSi-TCO Load Spj!

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