Contents

1 Basic characteristics of semiconductors — 1

1.1 Qualitative properties 1
1.2 Composition of semiconductors 2
1.3 Structure of solids 2
1.3.1 Crystalline and amorphous forms 2
1.3.2 Lattice and basis 3
1.3.3 Bravais lattices 3
1.3.4 Crystallographic terminology 5
1.3.5 Structures of semiconductors 6
1.4 Chemical bonding in semiconductors 10
1.4.1 Diamond structure semiconductors 10
1.4.2 Zincblende structure semiconductors 11
1.4.3 III–VI layered semiconductors 13
1.4.4 Wurtzite structure semiconductors 14
1.4.5 IV–VI semiconductors 14
1.5 Growth of pure semiconductor crystals 14
Problems **16**
References **16**

2 Electronic energy bands: basic theory — 17

2.1 Schrödinger equation 18
2.2 Electrons in a periodic potential 20
2.3 Schrödinger equation for a periodic potential 22
2.4 Expansion of the eigenfunction in plane waves 24
2.5 Bloch's theorem 25
2.6 Electrons in a weak periodic potential 26
2.7 Brillouin zones 28
2.8 Energy bands and energy band gaps 30
2.9 Tight binding method 35
2.9.1 Wannier functions 35
2.9.2 LCAO method 36
Problems **41**
References **42**

3 Electronic energy bands: semiconductors — 43

3.1 Spin–orbit interaction 44
3.2 Electron–ion interaction and pseudopotentials 46
3.2.1 Orthogonalized plane wave method 46
3.2.2 Pseudopotential method 47

3.3 Electron–electron interaction 53
3.3.1 Hartree method 54
3.3.2 Hartree–Fock method 54
3.3.3 Density functional method 55
3.3.4 Excited electronic states 57
3.4 The $\boldsymbol{k} \cdot \boldsymbol{p}$ method 57
3.4.1 Nondegenerate bands 58
3.4.2 Valence bands of Si and Ge 60
3.4.3 Conduction bands of Si and Ge 62
3.4.4 Zincblende structure semiconductors 63
3.4.5 Extended $\boldsymbol{k} \cdot \boldsymbol{p}$ method 64
3.4.6 Nonparabolic bands: the Kane model 65
3.5 Energy band structures for specific semiconductors 66
3.5.1 Elemental semiconductors 66
3.5.2 III–V semiconductors 67
3.5.3 II–VI and IV–VI semiconductors 68
3.6 Modification of energy band gaps 68
3.6.1 Semiconductor alloys 68
3.6.2 Temperature and pressure dependence of band gaps 69
3.7 Amorphous semiconductors 70
Problems **71**
References **71**

4 Kinematics and dynamics of electrons and holes in energy bands **73**

4.1 Group velocity 74
4.2 Inverse effective mass tensor 75
4.3 Force equation 76
4.4 Dynamics of electrons 76
4.5 Dynamics of holes 77
4.6 Experimental determination of effective masses: cyclotron resonance in semiconductors 79
4.6.1 Cyclotron resonance of conduction electrons in Ge and Si 81
4.6.2 Cyclotron resonance of holes in Ge and Si 83
4.6.3 Effective masses of carriers in compound semiconductors 84
4.7 Experimental determination of carrier charge and concentration: Hall effect 85
Problems **87**
References **87**

5 Electronic effects of impurities **89**

5.1 Qualitative aspects of impurities 90
5.2 Effective mass theory 90

5.3 Donor impurities in Si and Ge 93
5.3.1 Effects of ellipsoidal constant energy surfaces 93
5.3.2 Valley–orbit interaction 93
5.4 Donor impurities in III–V semiconductors 94
5.5 Acceptor impurities 95
5.6 Central cell corrections and deep levels 97
5.7 Impurity bands 98
Problems **99**
References **99**

6 Semiconductor statistics **101**
6.1 Intrinsic semiconductors 102
6.1.1 Spherical parabolic energy bands 103
6.1.2 Ellipsoidal energy bands 106
6.1.3 Multiple valence bands 107
6.2 Extrinsic semiconductors 109
6.2.1 Donor impurities 110
6.2.2 Acceptor impurities 113
6.2.3 Compensated semiconductors 115
6.2.4 Majority and minority carriers 116
6.2.5 Contribution of excited impurity states 117
Problems **119**
References **119**

7 Lattice vibrations in semiconductors **121**
7.1 Equations of motion 122
7.2 Monatomic linear chain 125
7.3 Diatomic linear chain 126
7.4 Three-dimensional crystals 129
7.4.1 Elastic continuum theory 129
7.4.2 Three-dimensional lattices 131
7.5 Lattice dynamical models for semiconductors 133
7.5.1 Homopolar semiconductors 134
7.5.2 Heteropolar semiconductors 135
7.5.3 First-principles methods 139
7.6 Normal coordinate transformation 140
7.7 Vibrational specific heat 141
7.8 Anharmonic effects 143
7.8.1 Thermal expansion 143
7.8.2 Thermal conductivity 144
7.9 Impurity effects on lattice vibrations 145
7.10 Piezoelectric effects 148
7.11 Effects of stress-induced atomic displacements 149
Problems **150**
References **151**

8 Charge carrier scattering and transport properties **153**

8.1 Simple phenomenological introduction to transport in semiconductors 154
8.1.1 Electric conduction current 154
8.1.2 Conductivity effective mass 157
8.1.3 Diffusion current 159
8.1.4 Displacement current 160
8.2 The Boltzmann equation and its solution 161
8.3 Electrical conductivity and mobility 163
8.4 Energy dependence of the relaxation time 167
8.5 Relaxation times for specific scattering mechanisms 169
8.5.1 Ionized impurity scattering 169
8.5.2 Neutral impurity scattering 174
8.5.3 Lattice vibrational scattering 174
8.6 Magnetotransport properties 186
8.6.1 Magnetoresistance 186
8.6.2 Hall effect 189
8.7 Thermoelectric phenomena 192
8.7.1 Thermoelectric power 192
8.7.2 Thermoelectric devices 194
8.8 Thermal conductivity 195
8.9 Semi-insulating semiconductors 196
8.9.1 Pure GaAs 196
8.9.2 Impure GaAs: shallow impurities 196
8.9.3 Impure GaAs: deep impurities 197
8.10 Hot carrier phenomena 198
8.10.1 Distribution function in high electric fields 198
8.10.2 Gunn effect 199
8.10.3 Field ionization 200
8.10.4 Impact ionization 200
8.11 Variable-range hopping conductivity 203
Problems **203**
References **204**

9 Surface properties of semiconductors **205**

9.1 Surface effects on electronic states 206
9.1.1 Nearly free electron approximation 206
9.1.2 Tight binding method 210
9.2 Surface effects on lattice vibrations 215
9.2.1 Surface acoustic modes 215
9.2.2 Surface optical modes 219
9.2.3 Surface vibrational modes in real semiconductors 221
9.2.4 Experimental observation of surface vibrational modes 221
9.3 Surface recombination 223
Problems **225**
References **225**

10 Optical properties of semiconductors 227

10.1 Fundamentals of electromagnetic response 228
10.1.1 Maxwell's equations 228
10.1.2 Propagation of an electromagnetic wave in a conducting medium 230
10.1.3 Optical constants 232
10.1.4 Dielectric function of a crystal 234
10.1.5 Optical spectroscopies 234
10.2 Intrinsic interband absorption 235
10.2.1 Absorption coefficient 235
10.2.2 Transition probability 237
10.2.3 Oscillator strength 240
10.2.4 Excitons 241
10.2.5 Burstein–Moss effect 241
10.2.6 Indirect interband absorption 242
10.2.7 Extrinsic interband absorption 244
10.2.8 Interband absorption in amorphous semiconductors 244
10.3 Optical properties of free carriers 245
10.3.1 Free carrier absorption 245
10.3.2 Free carrier reflectivity 249
10.4 Absorption due to electronic transitions of impurities 250
10.5 Optical properties due to lattice vibrations 251
10.5.1 Dielectric response of polar lattice vibrations 251
10.5.2 Lattice vibration absorption 255
10.6 Radiative recombination 256
10.6.1 Internal quantum efficiency 256
10.6.2 Carrier lifetime limited by band-to-band recombination 258
10.7 Surface polaritons 261
10.7.1 Surface plasmon polaritons 263
10.7.2 Surface optical phonon polaritons 263
10.7.3 Experimental observation of surface polaritons 263
10.8 Light scattering 264
10.8.1 Brillouin scattering 264
10.8.2 Raman scattering 265
10.8.3 Anharmonic effects on Raman spectra 274
10.8.4 Light scattering due to electronic excitations 275
10.9 Photoemission 276
10.9.1 Direct photoemission 276
10.9.2 Inverse photoemission 277
10.9.3 Surface state energies 278
Problems 278
References 279

11 Magneto-optical and electro-optical phenomena 281

11.1 Frequency-dependent conductivity tensor 282

11.2 Propagation of an electromagnetic wave in the presence of a magnetic field 284
11.2.1 Longitudinal propagation, $k \parallel \mathcal{B}_0$ 284
11.2.2 Transverse propagation, $k \perp \mathcal{B}_0$ 285
11.3 Macroscopic expressions for magnetodispersion and magneto-absorption 286
11.3.1 Longitudinal propagation: Faraday configuration 286
11.3.2 Transverse propagation: Voigt configuration 288
11.4 Faraday rotation due to intraband transitions 289
11.4.1 Classical model for Faraday rotation due to free carriers 289
11.4.2 Conductivity tensor deduced from the Boltzmann equation 290
11.4.3 Analysis of the effective mass obtained by Faraday rotation 291
11.4.4 Cyclotron resonance absorption 292
11.5 Electronic eigenstates in a constant magnetic field 293
11.6 Quantum mechanical theory of cyclotron resonance 295
11.7 Interband magneto-absorption 298
11.8 Electro-optical effects 300
11.8.1 Pockels effect 300
11.8.2 Kerr effect 301
11.8.3 Franz–Keldysh effect 301
11.9 Modulation spectroscopy 303
Problems **304**
References **304**

12 P–N junctions in semiconductors 307

12.1 Abrupt junction at thermal equilibrium 308
12.1.1 Space charge region 309
12.1.2 Charge density variation 310
12.1.3 Diffusion potential 311
12.1.4 Electric field in the space charge region 313
12.1.5 Electronic energy bands in the space charge region 314
12.1.6 Width of the space charge region 315
12.1.7 Physical interpretation of the Debye length 317
12.2 P–N junction under an applied voltage 318
12.2.1 Qualitative effects of an applied voltage 318
12.2.2 Forward bias: n-type region biased negatively 318
12.2.3 Reverse bias: n-type region biased positively 320
12.2.4 Qualitative description of current flow in a biased junction 320
12.2.5 Quantitative treatment of current flow in a biased junction 321
12.3 Graded p–n junction 329
12.4 P–N junction capacitance 332
12.4.1 Storage capacitance 333
12.4.2 Transition capacitance 333
12.4.3 Applications of p–n junction capacitance 334

12.5 Avalanche breakdown and Zener breakdown 335
12.5.1 Avalanche breakdown 335
12.5.2 Zener breakdown 336
Problems **336**
References **337**

13 Bipolar junction transistor **339**

13.1 Fabrication of transistors 340
13.2 Physical basis of the BJT 341
13.3 DC characteristics of the BJT 342
13.3.1 Injected minority carrier concentrations 342
13.3.2 Currents in the BJT 344
13.3.3 Current gain in the BJT 347
13.4 Small-signal characteristics of the BJT 350
Problems **351**
References **352**

14 Semiconductor lasers and photodevices **353**

14.1 General features of stimulated emission 354
14.2 Physical basis of semiconductor lasers 355
14.2.1 Qualitative aspects 355
14.2.2 Optical gain in direct gap semiconductors 355
14.2.3 Transparency current density 360
14.2.4 Current density–gain relationship 362
14.2.5 Threshold condition in a Fabry–Perot cavity 363
14.2.6 Light-emitting diodes 364
14.3 Photodetectors 364
14.3.1 Photoconductive gain 364
14.3.2 Responsivity and detectivity 366
14.4 Solar cells 368
Problems **369**
References **369**

15 Heterostructures: electronic states **371**

15.1 Heterojunctions 372
15.2 Free charge carrier transfer 373
15.3 Triangular quantum well 373
15.4 Square quantum well 377
15.4.1 Conduction electron energy levels 377
15.4.2 Hole energy levels 380
15.5 Density-of-states of quantum wells 382
15.6 Excitons and shallow impurities in quantum wells 382
15.7 Coupled quantum wells and superlattices 384
15.7.1 Double-well structure 384
15.7.2 Superlattices: periodic coupled quantum wells 385
15.8 Modulation doping of heterostructures 387
15.9 Self-consistent energy-level calculations 388
15.10 N–I–P–I structures 390
Problems **392**
References **392**

16 **Phonons in superlattices** 393
16.1 Qualitative aspects of phonons in superlattices 394
16.2 Elastic continuum theory of low-frequency modes 394
16.3 Dielectric continuum theory of optical modes 397
16.4 Microscopic theory of optical modes 400
16.4.1 Linear chain model 401
16.4.2 Three-dimensional models 403
Problems 403
References 404

17 **Optical properties of heterostructures** 405
17.1 Optical absorption due to electronic transitions 406
17.1.1 Intrasubband transitions 407
17.1.2 Intersubband transitions in the same band 407
17.1.3 Interband transitions 409
17.1.4 Interband optical transitions in superlattices 414
17.1.5 Optical absorption by excitons in heterostructures 414
17.2 Photoluminescence in two-dimensional systems 417
17.2.1 Experimental techniques 417
17.2.2 Quantum well luminescence 418
Problems 419
References 420

18 **Transport properties of heterostructures** 421
18.1 Effects of a constant electric field 422
18.1.1 Electric field parallel to the interfaces: $\mathcal{E}\|\hat{x}$ 422
18.1.2 Electric field perpendicular to the interfaces: $\mathcal{E}\|\hat{z}$ 423
18.2 Effects of a constant magnetic field 425
18.2.1 Energy levels and wave functions 425
18.2.2 Magnetic-field-dependent density-of-states 426
18.2.3 Magnetoconductivity in a 2D heterostructure 427
18.2.4 Cyclotron resonance 431
Problems 432
References 432

19 **Metal-semiconductor devices** 435
19.1 Metal-oxide-semiconductor capacitor 436
19.1.1 Effect of applied bias on energy bands 437
19.1.2 Bias dependence of capacitance 437
19.1.3 Evaluation of capacitance versus voltage curves 440
19.1.4 Applications of the metal-oxide-semiconductor 444
19.2 Metal-semiconductor diode 444
19.2.1 Equilibrium characteristics of the MS diode 444
19.2.2 Current under applied voltage 446
19.3 Metal-oxide-semiconductor field effect transistor 448
19.3.1 Introduction 448
19.3.2 DC characteristics of the MOSFET 450

Problems 455
References 455

20 Applications of semiconductor heterostructures 457

20.1 Devices with transport parallel to the interfaces: field effect transistor 458
20.1.1 Analysis of physical processes 458
20.1.2 Analysis of device performance 460
20.1.3 Semiconductor–insulator–semiconductor field effect transistor (SISFET) 461
20.2 Devices with transport perpendicular to the interfaces 461
20.2.1 Heterostructure double-barrier diode 462
20.2.2 Heterojunction bipolar transistor 463
20.3 Quantum well lasers 464
20.3.1 Double-heterostructure lasers 464
20.3.2 Single quantum well (SQW) lasers 465
20.3.3 Multiple quantum well (MQW) lasers 467
20.4 One-dimensional and zero-dimensional quantum structures 468
20.4.1 Theoretical background 469
20.4.2 Fabrication techniques for 1D and 0D structures 470
20.4.3 Electrical applications of 1D and 0D structures 471
20.4.4 Devices based on 1D and 0D structures 473
20.4.5 1D and 0D optical phenomena 473
20.4.6 1D and 0D optical devices 474
20.5 Devices based on electro-optic effects in quantum well structures 475
20.5.1 Quantum-confined Stark effect 475
20.5.2 Quantum well modulators 475
20.5.3 Self-electro-optic-effect devices 476
Problems 477
References 478

Index 479