

Selected Topics in Advanced Optics

Week 3 – part 1

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Module 2: Material properties and optical constants

- B.E.A. Saleh & M.C. Teich, Fundamental of photonics 2nd Ed. (Wiley, Hoboken, 2007), Chapters 5 & 6.
- C.F. Bohren & D.R. Huffman, Absorption and scattering of light by small particles (Wiley, New York, 1983).
- Optical Society of America, Handbook of optics, 2nd Ed. (Mc Graw Hill, New York, 1995), Vol. II, Chapter 33.

Maxwell's equations without sources

- This is the form generally used in optics

$$\begin{aligned}\nabla \times \mathbf{E}(\mathbf{r}, t) &= -\frac{\partial \mathbf{B}(\mathbf{r}, t)}{\partial t} & \nabla \cdot \mathbf{D}(\mathbf{r}, t) &= 0 \\ \nabla \times \mathbf{H}(\mathbf{r}, t) &= \frac{\partial \mathbf{D}(\mathbf{r}, t)}{\partial t} & \nabla \cdot \mathbf{B}(\mathbf{r}, t) &= 0\end{aligned}$$

- The electric and magnetic properties of the medium are described by the constitutive relations:

$$\mathbf{D} = \varepsilon_0 \mathbf{E} + \mathbf{P} = \varepsilon_0 \mathbf{E} + \varepsilon_0 \chi \mathbf{E} = \varepsilon_0 (1 + \chi) \mathbf{E} = \varepsilon_0 \varepsilon_r \mathbf{E}$$

$$\mathbf{B} = \mu_0 \mathbf{H} + \mu_0 \mathbf{M} = \mu_0 \mu_r \mathbf{H}$$

$\mathbf{P}$: polarization density
 $\mathbf{M}$: magnetization density

- $\mathbf{P}$ and $\mathbf{M}$ depend on the applied fields $\mathbf{E}$ and $\mathbf{H}$. This dependence describes the response of the medium
- Although the matter is neutral, it does not mean that charges cannot respond to the applied fields !

Classical theories of optical constants

- Two sets of quantities are used to describe the optical properties: the complex refractive index $N = \tilde{n} = n + jk$ and the complex dielectric function (or relative permittivity) $\epsilon_r = \epsilon' + j\epsilon''$
- We assume non-magnetic materials ($\mu_r = 1$)
- Both quantities are related:

$$\begin{aligned}\epsilon' &= n^2 - k^2 \\ \epsilon'' &= 2nk\end{aligned}$$

$$\begin{aligned}n &= \sqrt{\frac{\sqrt{\epsilon'^2 + \epsilon''^2} + \epsilon'}{2}} \\ k &= \sqrt{\frac{\sqrt{\epsilon'^2 + \epsilon''^2} - \epsilon'}{2}}\end{aligned}$$

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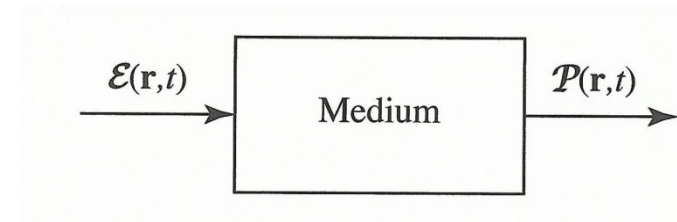
Week 3 – part 2

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Electromagnetic waves in dielectric media

- Most phenomena relevant to optics concern dielectric materials (i.e. magnetic effects can be neglected)
- In response to an applied electric field $\mathbf{E}$, a dielectric medium creates a polarization density $\mathbf{P}$:
- This response characterizes the medium:
 - Linear (linear relation between $\mathbf{E}$ and $\mathbf{P}$)
 - Nondispersive: instantaneous response
 - Homogeneous: relation between $\mathbf{E}$ and $\mathbf{P}$ independent of the position
 - Isotropic: relation between $\mathbf{E}$ and $\mathbf{P}$ independent of the direction of $\mathbf{E}$, the vectors $\mathbf{E}$ and $\mathbf{P}$ must be parallel
 - Spatially nondispersive: the relation between $\mathbf{E}$ and $\mathbf{P}$ is local; i.e. $\mathbf{P}$ is only influenced by $\mathbf{E}$ at the same point (optically active materials are spatially dispersive).

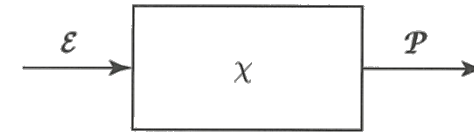


Linear, nondispersive, homogeneous, isotropic media

- $\mathbf{P}$ and $\mathbf{E}$ are parallel and proportional:

$$\mathbf{P}(\mathbf{r}, t) = \varepsilon_0 \chi \mathbf{E}(\mathbf{r}, t)$$

χ : electric susceptibility



- Maxwell's equations become:

$$\mathbf{D}(\mathbf{r}, t) = \varepsilon_0 (1 + \chi) \mathbf{E}(\mathbf{r}, t) = \varepsilon_0 \varepsilon_r \mathbf{E}(\mathbf{r}, t) = \varepsilon \mathbf{E}(\mathbf{r}, t)$$

$$\begin{aligned} \nabla \times \mathbf{E}(\mathbf{r}, t) &= -\mu \frac{\partial \mathbf{H}(\mathbf{r}, t)}{\partial t} & \nabla \cdot \mathbf{E}(\mathbf{r}, t) &= 0 \\ \nabla \times \mathbf{H}(\mathbf{r}, t) &= \varepsilon \frac{\partial \mathbf{E}(\mathbf{r}, t)}{\partial t} & \nabla \cdot \mathbf{H}(\mathbf{r}, t) &= 0 \end{aligned}$$

$$\varepsilon = \varepsilon_0 \varepsilon_r$$

$$\mu = \mu_0 \mu_r$$

- Wave equation for each field component:

$$\nabla^2 u - \frac{1}{c^2} \frac{\partial^2 u}{\partial t^2} = 0$$

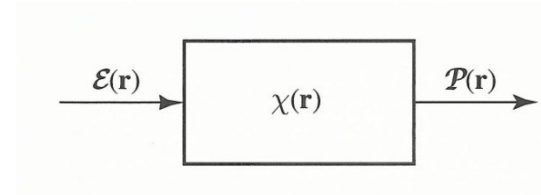
$$\text{with } c = \frac{1}{\sqrt{\varepsilon \mu}}$$

and

$$n = \frac{c_0}{c} = \sqrt{\frac{\varepsilon \mu}{\varepsilon_0 \mu_0}}$$

Inhomogeneous media

- Inhomogeneous wave equations:



$$\frac{\epsilon_0}{\epsilon(\mathbf{r})} \nabla \times (\nabla \times \mathbf{E}(\mathbf{r}, t)) = -\frac{1}{c_0^2} \frac{\partial^2 \mathbf{E}(\mathbf{r}, t)}{\partial t^2}$$
$$\nabla \times \left(\frac{\epsilon_0}{\epsilon(\mathbf{r})} \nabla \times \mathbf{H}(\mathbf{r}, t) \right) = -\frac{1}{c_0^2} \frac{\partial^2 \mathbf{H}(\mathbf{r}, t)}{\partial t^2}$$

- Often the equation for the electric field is written:

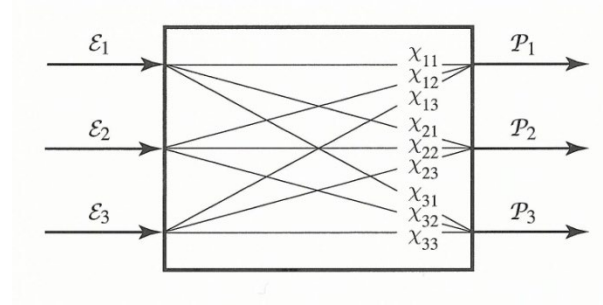
$$\nabla^2 \mathbf{E}(\mathbf{r}, t) + \nabla \left(\frac{1}{\epsilon(\mathbf{r})} \nabla \epsilon(\mathbf{r}) \cdot \mathbf{E}(\mathbf{r}, t) \right) - \mu_0 \epsilon(\mathbf{r}) \frac{\partial^2 \mathbf{E}(\mathbf{r}, t)}{\partial t^2} = 0$$

- For a medium varying slowly in space:

$$\nabla^2 \mathbf{E}(\mathbf{r}, t) - \mu_0 \epsilon(\mathbf{r}) \frac{\partial^2 \mathbf{E}(\mathbf{r}, t)}{\partial t^2} \simeq 0$$

Anisotropic media

- Tensorial susceptibility and permittivity:



$$P_i = \sum_j \epsilon_0 \chi_{ij} E_j$$

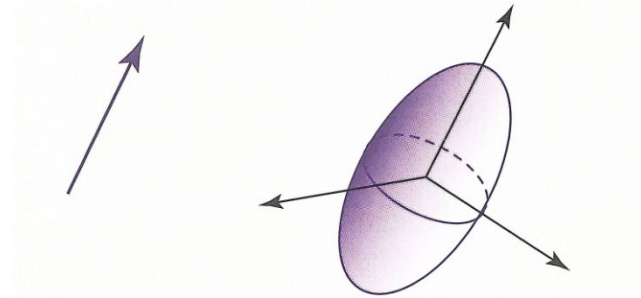
$$D_i = \sum_j \epsilon_{ij} E_j$$

$$\begin{pmatrix} D_x \\ D_y \\ D_z \end{pmatrix} = \begin{pmatrix} \epsilon_{xx} & \epsilon_{xy} & \epsilon_{xz} \\ \epsilon_{yx} & \epsilon_{yy} & \epsilon_{yz} \\ \epsilon_{zx} & \epsilon_{zy} & \epsilon_{zz} \end{pmatrix} \cdot \begin{pmatrix} E_x \\ E_y \\ E_z \end{pmatrix}$$

- E** and **D** are not parallel !
- Most crystals (including semiconductors) are anisotropic

Anisotropic media – Refractive indices

- Permittivity tensor $D_i = \sum_j \varepsilon_{ij} E_j$
- Can be represented by an ellipsoid (because it is a symmetric tensor of second rank)



$$\sum_{ij} \varepsilon_{ij} x_i x_j = 1$$

quadratic representation

$$\varepsilon_1 x_1^2 + \varepsilon_2 x_2^2 + \varepsilon_3 x_3^2 = 1 \quad \text{in the principal coordinate system}$$

(ε_{ij} is diagonal)

$$D_1 = \varepsilon_{11} E_1 = \varepsilon_1 E_1 \quad D_2 = \varepsilon_{22} E_2 = \varepsilon_2 E_2 \quad D_3 = \varepsilon_{33} E_3 = \varepsilon_3 E_3$$

$$n_1 = \sqrt{\varepsilon_1 / \varepsilon_0} \quad n_2 = \sqrt{\varepsilon_2 / \varepsilon_0} \quad n_3 = \sqrt{\varepsilon_3 / \varepsilon_0}$$

principal refractive indexes

Anisotropic media – Refractive indices

- Biaxial crystal: $n_1 \neq n_2 \neq n_3$
- Uniaxial crystal: $n_1 = n_2 \neq n_3$

$$\begin{array}{ll} n_1 = n_2 = n_o & \text{ordinary index} \\ n_3 = n_e & \text{extraordinary index} \end{array}$$

positive uniaxial: $n_e > n_o$

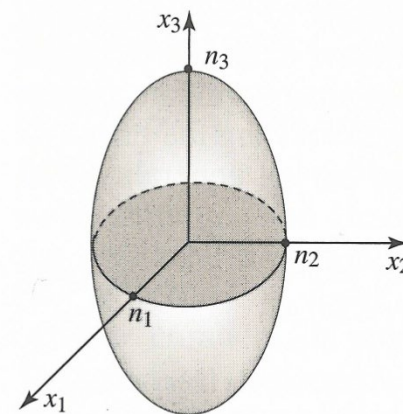
negative uniaxial: $n_e < n_o$

z - axis (n_o for propagation along z) = optical axis

- Isotropic crystal: $n_1 = n_2 = n_3$
- Impermeability tensor: $\mathbf{E} = \boldsymbol{\varepsilon}^{-1} \cdot \mathbf{D} = \frac{1}{\varepsilon_0} \boldsymbol{\eta} \cdot \mathbf{D}$
- Index ellipsoid:

$$\sum_{ij} \eta_{ij} x_i x_j = 1$$

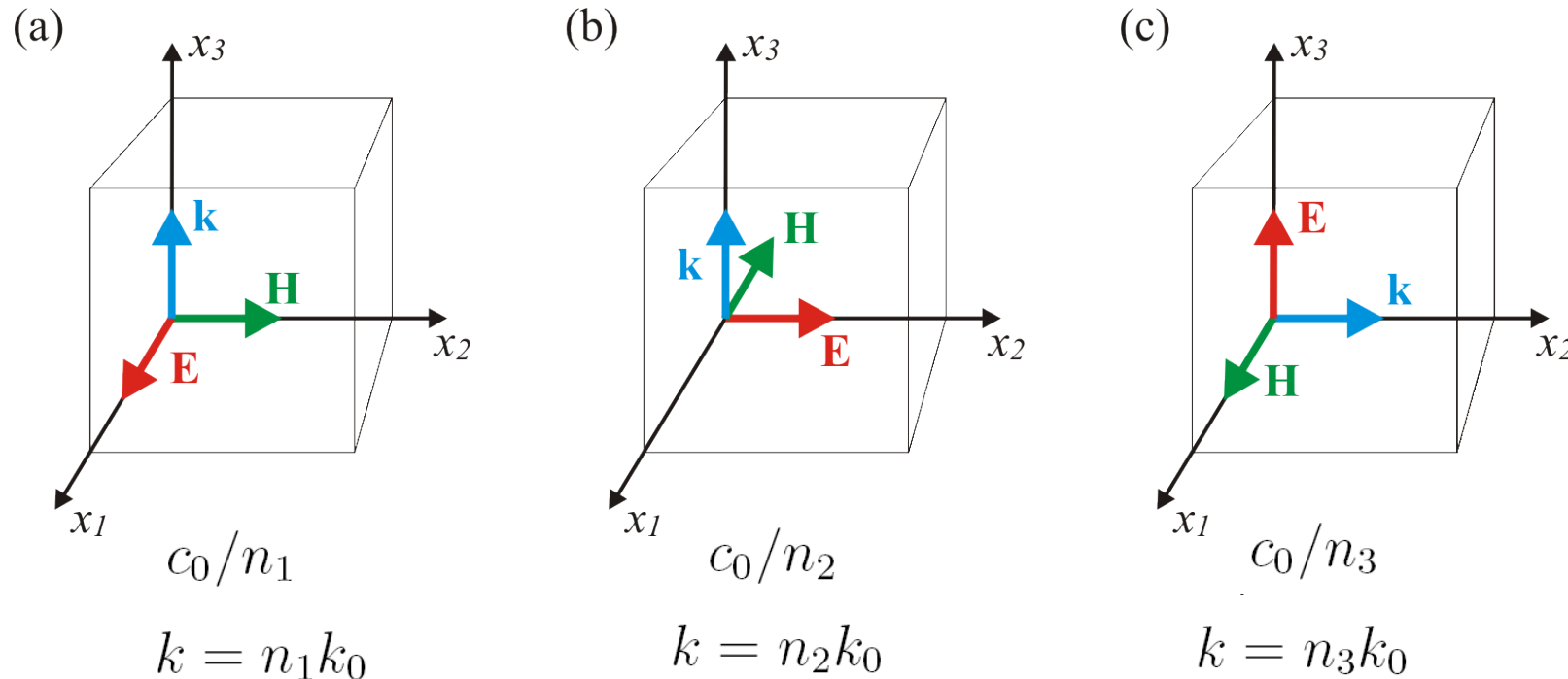
$$\frac{x_1^2}{n_1^2} + \frac{x_2^2}{n_2^2} + \frac{x_3^2}{n_3^2} = 1$$



ellipsoid of
revolution for a
uniaxial crystal

Anisotropic media – Propagation/polarization along the principal axes

- Linear polarized plane wave traveling along one of the principal axes (x, y, z) and polarized parallel to another principal axis:



- The polarization direction of the electric field determines the phase velocity
- These 3 waves keep their velocities and polarizations:
normal modes of the crystal

Nonlinear media

- The relation between $\mathbf{P}$ and $\mathbf{E}$ is nonlinear.
- The superposition principle is not valid anymore !
- For a nonlinear, but homogeneous isotropic medium, one can derive the following wave equation:

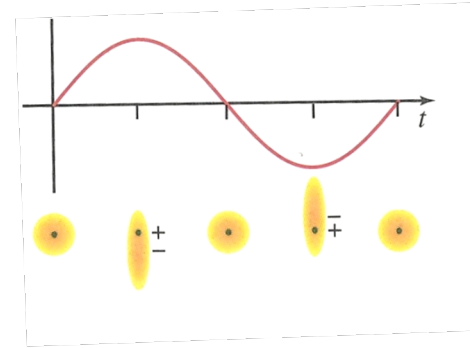
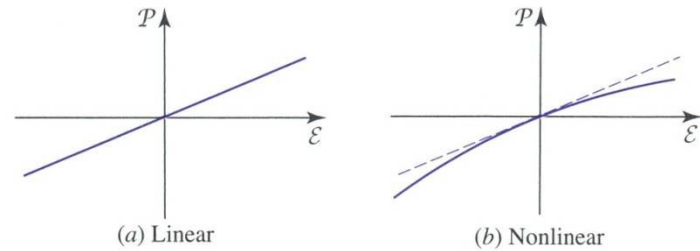
$$\nabla^2 \mathbf{E}(\mathbf{r}, t) - \frac{1}{c_0^2} \frac{\partial^2 \mathbf{E}(\mathbf{r}, t)}{\partial t^2} = \mu_0 \frac{\partial^2 \mathbf{P}(\mathbf{r}, t)}{\partial t^2}$$

- For nondispersive, nonmagnetic media, the polarization density can be written as a nonlinear function of $\mathbf{E}$;
for example:

$$\mathbf{P} = \boldsymbol{\psi}(\mathbf{E}) = a_1 \mathbf{E} + a_2 \mathbf{E}^2$$

$$\nabla^2 \mathbf{E}(\mathbf{r}, t) - \frac{1}{c_0^2} \frac{\partial^2 \mathbf{E}(\mathbf{r}, t)}{\partial t^2} = \mu_0 \frac{\partial^2 \boldsymbol{\psi}(\mathbf{E})}{\partial t^2}$$

Nonlinear media



- A nonlinear medium is characterized by a nonlinear relation between $\mathbf{P}$ and $\mathbf{E}$
- The relation between $\mathbf{P}$ and $\mathbf{E}$ is linear when the field $\mathbf{E}$ is small, but becomes nonlinear when $\mathbf{E}$ becomes comparable with the interatomic electric field ($\mathbf{E} \sim 10^5 - 10^8$ V/m)
- Macroscopic description: $\mathbf{P} = N\mathbf{p}$ ($\mathbf{p}$: individual dipole moment induced by the applied field); either N or $\mathbf{p}$ can be nonlinear

$$P = \varepsilon_0 \left(\chi E + \chi^{(2)} E^2 + \chi^{(3)} E^3 + \dots \right)$$

- In principle the higher order susceptibilities are tensors!

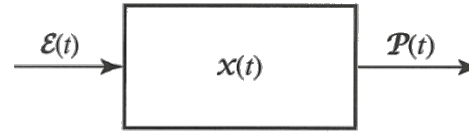
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Week 3 – part 3

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Dispersive media



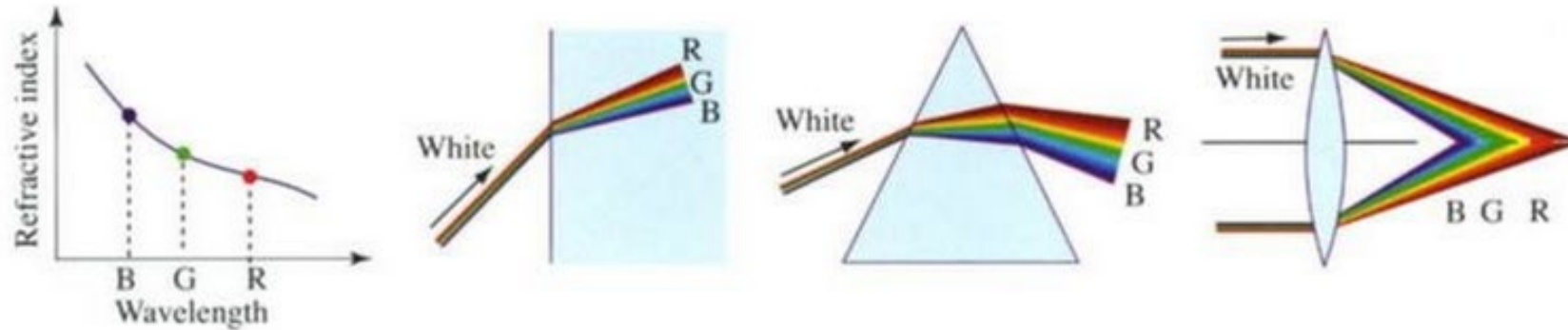
- The relation between $\mathbf{P}$ and $\mathbf{E}$ is not instantaneous, it is dynamic and depends on the history of the system. The polarization density can be expressed as a convolution:

$$\mathbf{P}(t) = \varepsilon_0 \int_{-\infty}^{+\infty} \chi(t-t') \mathbf{E}(t') dt'$$

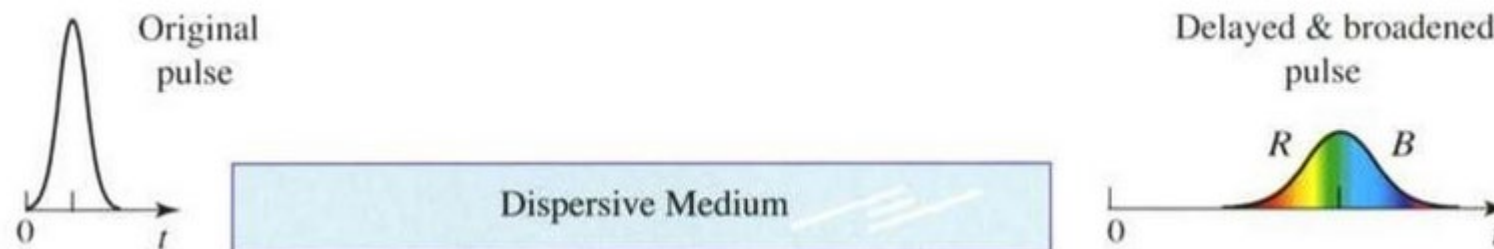
- The function $\varepsilon_0 \chi(t)$ represents the impulse response function of the system.
- Alternatively, one can go to Fourier space and look at the transfer function of the system: $\varepsilon_0 \chi(\nu)$.
- A dispersive medium has a frequency - dependent susceptibility.
- Every material is dispersive!

Dispersive media

- Waves of different wavelengths are refracted differently:



- The frequency-dependent speed of light produces different time delays for the different spectral components (e.g. low frequency components travel faster than high frequency ones):



Kramers-Kronig relations

- Absorption and dispersion are related
- A material with a frequency-dependent refractive index must be absorptive (and conversely)... every material is dispersive!
- Kramers-Kronig relate the real and imaginary parts of the susceptibility:

$$\chi(\nu) = \chi'(\nu) + j\chi''(\nu)$$

$$\chi'(\nu) = \frac{2}{\pi} \int_0^{\infty} \frac{s \chi''(s)}{s^2 - \nu^2} ds$$
$$\chi''(\nu) = \frac{2}{\pi} \int_0^{\infty} \frac{\nu \chi'(s)}{\nu^2 - s^2} ds$$

- Hilbert transform pair: $\chi'(\nu)$ and $\chi''(\nu)$ are analytic in the upper complex plane (related to causality)
- The real part can be computed from the imaginary one and vice-versa

Absorption

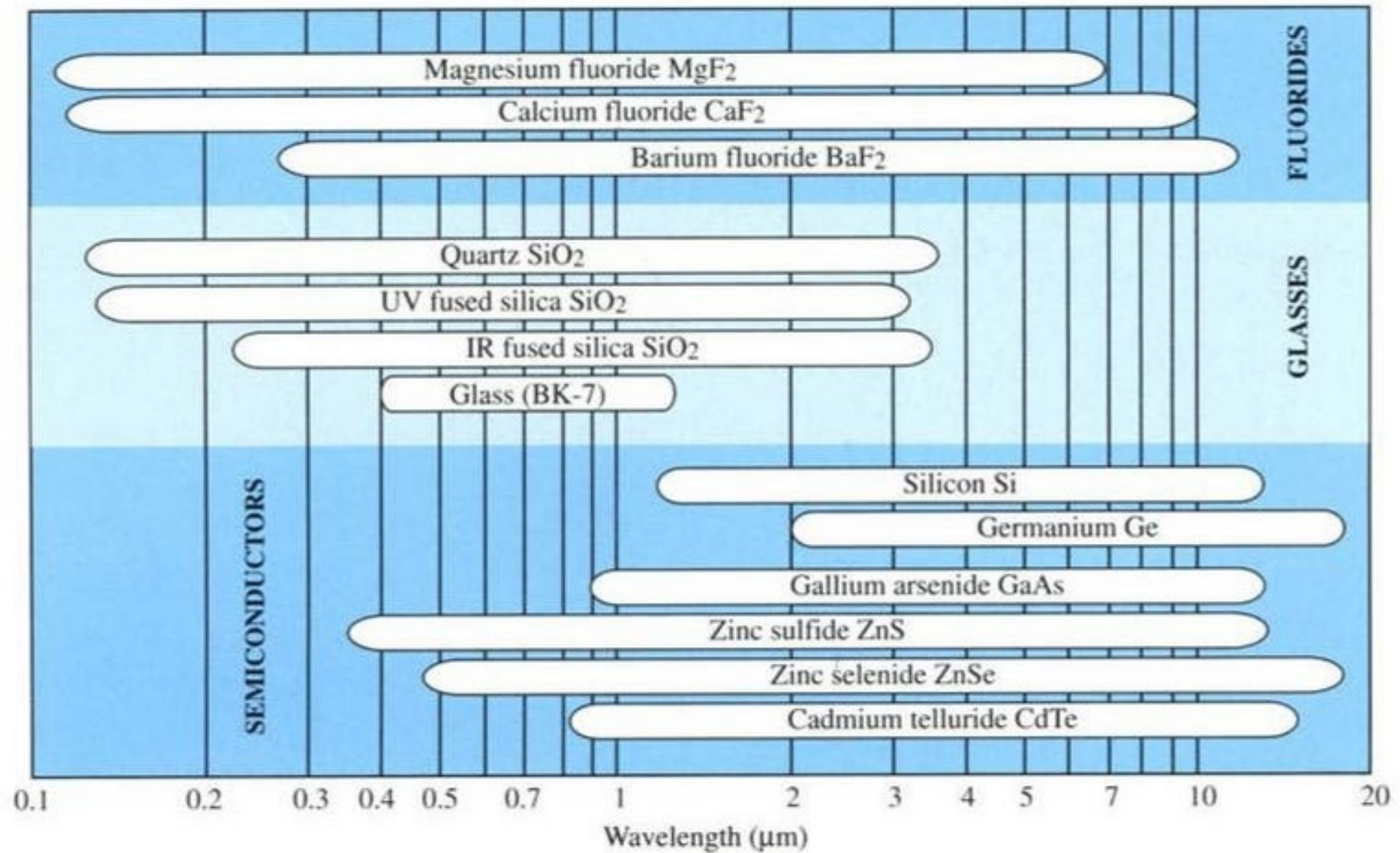
- Complex dielectric susceptibility: $\chi = \chi' + j\chi''$
- Complex permittivity: $\varepsilon = \varepsilon_0(1 + \chi)$
- $\nabla^2 U + k^2 U = 0$ is still valid, but with a complex wavenumber:

$$k = \omega\sqrt{\varepsilon\mu_0} = k_0\sqrt{1 + \chi} = k_0\sqrt{1 + \chi' + j\chi''}$$

$$k = \beta - j\frac{1}{2}\alpha = k_0\sqrt{1 + \chi' + j\chi''}$$

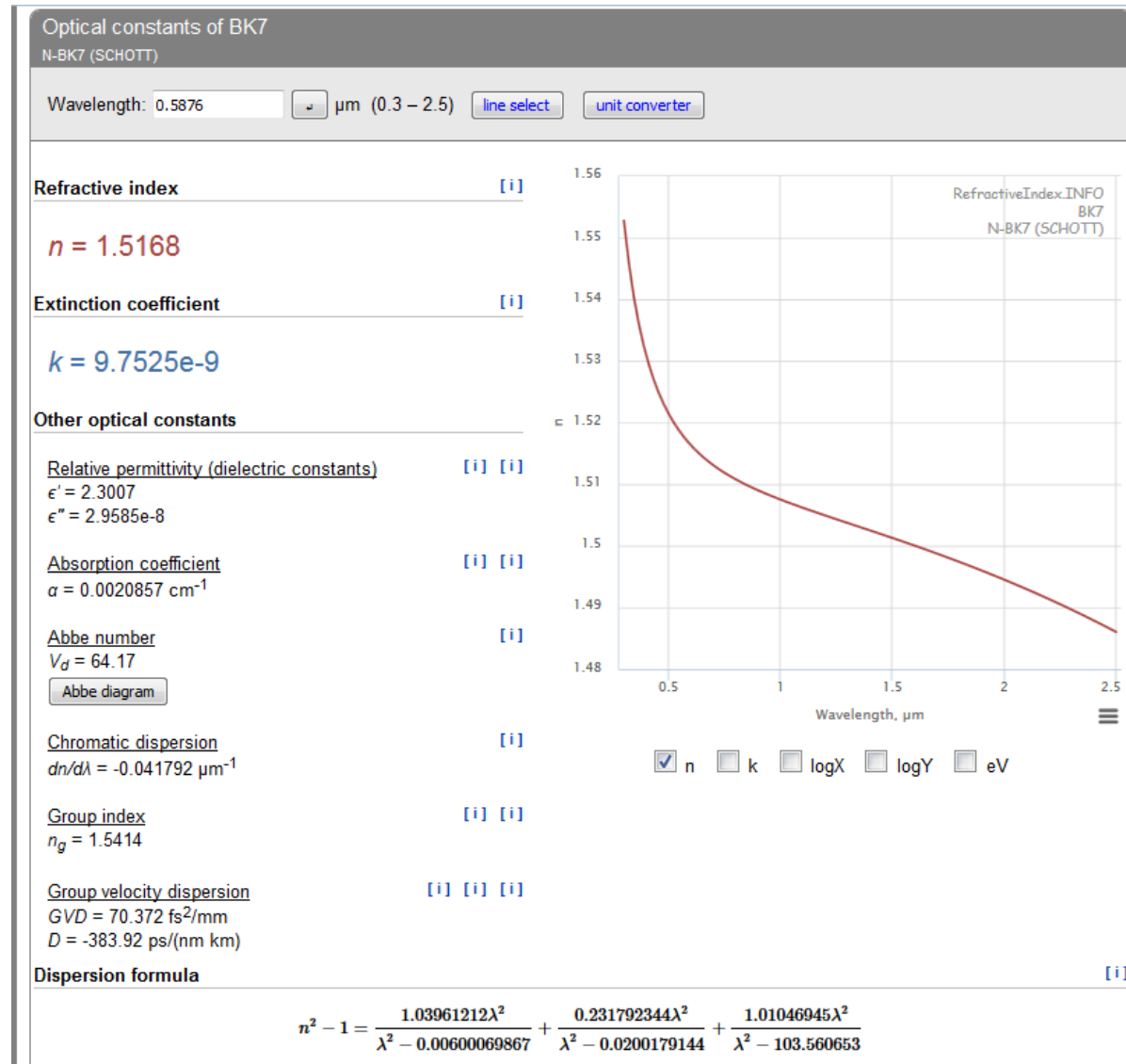
- β : propagation constant of the wave (phase change rate)
- α : absorption coefficient (if $\alpha < 0$, then $\gamma = -\alpha$: gain)
- The sign depends on the convention chosen for $\exp(+j\omega t)$ 
a forward propagating wave: $\exp(+j\omega t - jkr)$ will decay if $\alpha > 0$

Transmission window



A very useful reference

<http://refractiveindex.info>



Selected Topics in Advanced Optics

Week 3 – part 4

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Lorentz model

(book by Bohren and Huffman)

- Now we assume the following time-dependence: $\exp(-j\omega t)$
- The electrons and ions in matter are treated as simple harmonic oscillators (springs)
- The applied force is given by the local electric field
- Equation of motion:

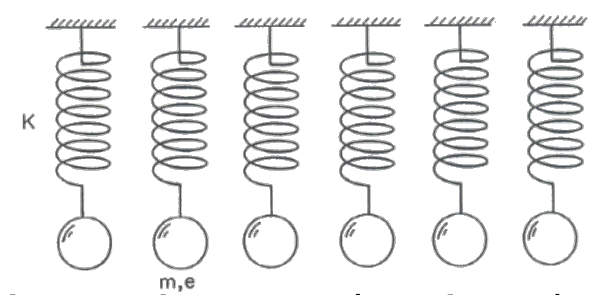
$$m\ddot{\mathbf{x}} + b\dot{\mathbf{x}} + K\mathbf{x} = e\mathbf{E}$$

- Solution (oscillatory part):

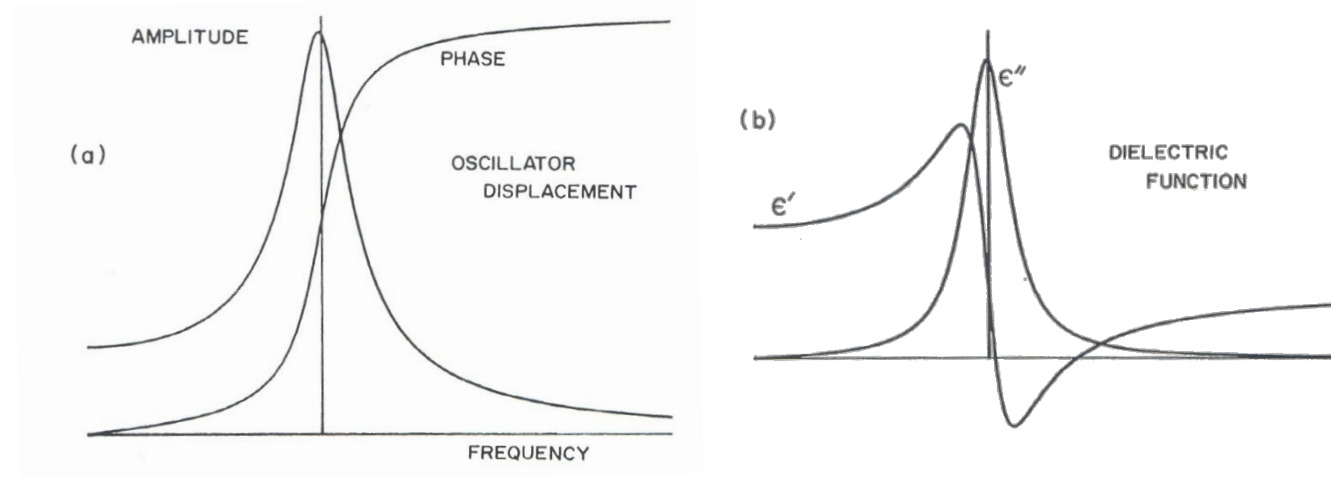
$$\mathbf{x} = \frac{(e/m)\mathbf{E}}{\omega_0^2 - \omega^2 - j\gamma\omega} \quad \omega_0^2 = K/m \quad \gamma = b/m$$

- If $\gamma \neq 0$, the proportionality factor between $\mathbf{x}$ and $\mathbf{E}$ is complex
→ the displacement and field are usually not in phase

$$\mathbf{x} = (e/m)\mathbf{E}Ae^{j\Theta} \quad \text{with} \quad A = \frac{1}{\sqrt{(\omega_0^2 - \omega^2)^2 + \gamma^2\omega^2}} \quad \Theta = \arctan\left(\frac{\gamma\omega}{\omega_0^2 - \omega^2}\right)$$



Lorentz model

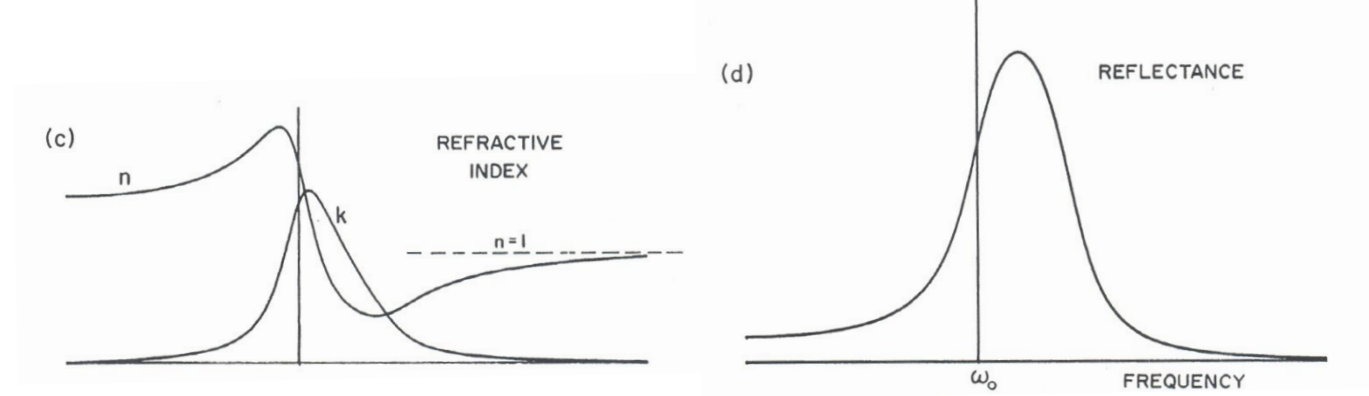


- The amplitude is maximum for $\omega = \omega_0$ and the width inversely proportional to γ
- At low frequency the oscillator is in-phase ($\Theta = 0$) and at high frequency it is out of phase by 180° . The change occurs at $\omega \simeq \omega_0$
- The induced dipole moment of a single oscillator is $\mathbf{p} = e\mathbf{x}$
- For a collection of n oscillators per volume unit, the polarization is $\mathbf{P} = ne\mathbf{x}$

$$\mathbf{P} = \frac{\omega_p^2}{\omega_0^2 - \omega^2 - j\gamma\omega} \epsilon_0 \mathbf{E} \quad \text{plasma frequency : } \omega_p^2 = ne^2 / m\epsilon_0$$

- Since $\mathbf{P} = \epsilon_0 \chi \mathbf{E} \rightarrow \epsilon_r = 1 + \chi = 1 + \frac{\omega_p^2}{\omega_0^2 - \omega^2 - j\gamma\omega}$

Lorentz model



- The real part and the imaginary part of the permittivity are then

$$\varepsilon' = 1 + \chi' = 1 + \frac{\omega_p^2 (\omega_0^2 - \omega^2)}{(\omega_0^2 - \omega^2)^2 + \gamma^2 \omega^2} \quad \varepsilon'' = \chi'' = \frac{\omega_p^2 \gamma \omega}{(\omega_0^2 - \omega^2)^2 + \gamma^2 \omega^2}$$

- A region of anomalous dispersion exists around the resonance

- High frequency limits:

$$(\omega \gg \omega_0) \quad \varepsilon' \simeq 1 - \frac{\omega_p^2}{\omega^2} \quad \varepsilon'' \simeq \frac{\gamma \omega_p^2}{\omega^3}$$

$$n \simeq \sqrt{\varepsilon'} \simeq 1 - \frac{\omega_p^2}{2\omega^2} \quad k \simeq \frac{\varepsilon''}{2} \simeq \frac{\gamma \omega_p^2}{2\omega^3}$$

- Low frequency limits:

$$(\omega \ll \omega_0) \quad \varepsilon' \simeq 1 + \frac{\omega_p^2}{\omega_0^2} \quad \varepsilon'' \simeq \frac{\gamma \omega_p^2 \omega}{\omega_0^4}$$

Multiple oscillator model

- The Lorentz model can be extended for a broad range of materials by considering several resonances (i.e. several oscillators):

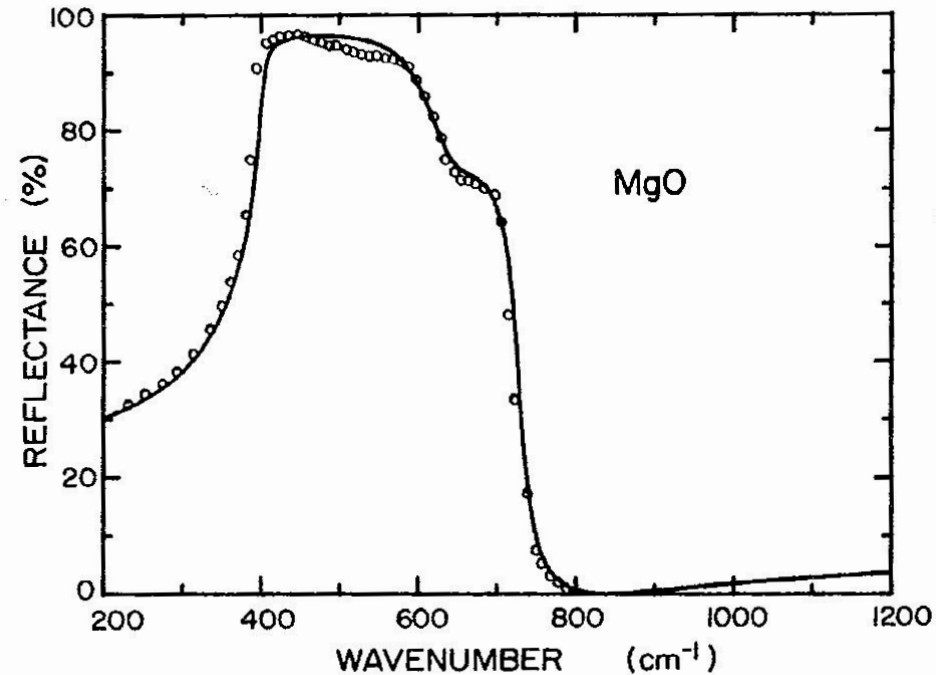
$$\varepsilon_r = \varepsilon_\infty + \sum_j \frac{\omega_{pj}^2}{\omega_j^2 - \omega^2 - j\gamma_j\omega}$$

- ε_∞ represents the effect of all oscillators at high frequency, if all oscillators are included in the summation, then $\varepsilon_\infty = 1$

Multiple oscillator model

- MgO crystal: reflectance data are well fitted using two oscillators (in this spectral region)

$$\varepsilon_r = \varepsilon_\infty + \sum_j \frac{\omega_{pj}^2}{\omega_j^2 - \omega^2 - j\gamma_j\omega}$$



$$\varepsilon_\infty = 3.01$$

$$\omega_1 = 401 \text{ cm}^{-1} \quad \gamma_1 = 7.62 \text{ cm}^{-1} \quad \omega_{p1}^2 / \omega_1^2 = 6.6$$

$$\omega_2 = 640 \text{ cm}^{-1} \quad \gamma_2 = 102.4 \text{ cm}^{-1} \quad \omega_{p2}^2 / \omega_2^2 = 0.045$$

Multiple oscillator model

- The permittivity of hemoglobin depends on the oxygen level

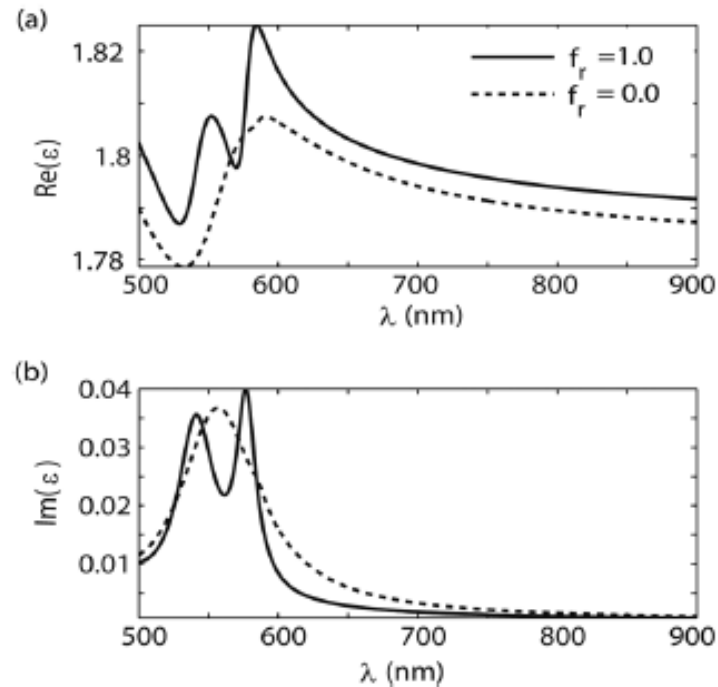


FIG. 2. (a) Real and (b) imaginary parts of the dielectric function of Hb at a concentration of 25 mM, in the oxygenated ($f_r = 1$) and deoxygenated ($f_r = 0$) states.

JOURNAL OF APPLIED PHYSICS **110**, 044701 (2011)

Strongly coupled bio-plasmonic system: Application to oxygen sensing

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Multiple oscillator model

- A simple model with three oscillators reproduces this permittivity very well, but the oscillators are different for the oxygenated and de-oxygenated states:

$$\epsilon_x = \epsilon_w + \frac{\nu_{p1}^2}{\nu_{01}^2 - \nu^2 - i\gamma_{01}\nu} + \frac{\nu_{p2}^2}{\nu_{02}^2 - \nu^2 - i\gamma_{02}\nu} + \frac{\nu_{p3}^2}{\nu_{03}^2 - \nu^2 - i\gamma_{03}\nu}$$

TABLE I. Values of the various parameters used to fit the permittivity of Hb.

	ν_{p1} (THz)	ν_{p2} (THz)	ν_{p3} (THz)	γ_{01} (THz)	γ_{02} (THz)	γ_{03} (THz)	λ_{01} (nm)	λ_{02} (nm)	λ_{03} (nm)
Oxygenated Hb	23.5	15.8	87.0	32.5	15.0	39.0	541.0	577.0	415.0
Deoxygenated Hb	35.5	3.0	64.5	66.0	10.0	20.0	556.0	586.0	434.0

$$\epsilon_{eff} = f_r \epsilon_{oxy} + (1 - f_r) \epsilon_{deoxy}$$

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Drude model (for metals)

- The spring constant is set to zero $K = 0$
- As a result: $\omega_0 = 0$

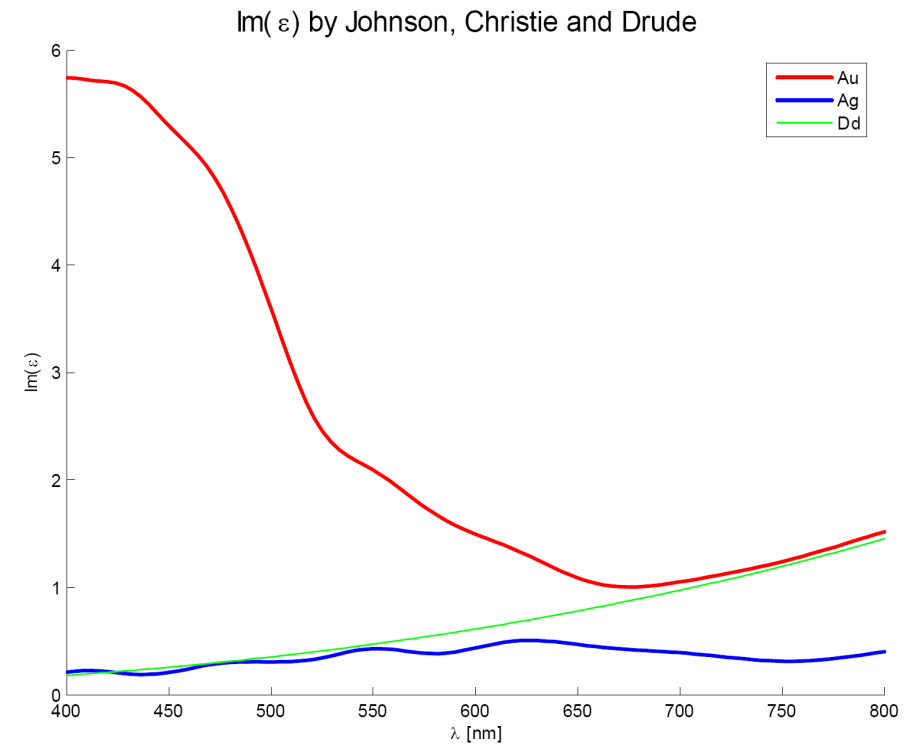
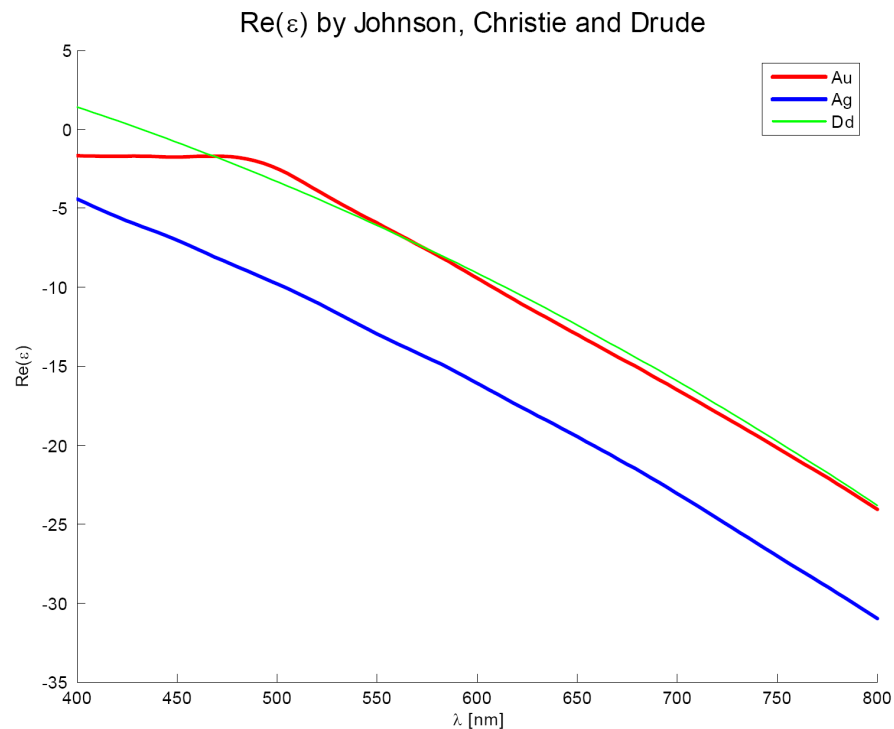
$$\varepsilon_r = 1 - \frac{\omega_p^2}{\omega^2 + j\gamma\omega}$$

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

- The real part of the permittivity is negative !
- The following website gathers parameters for the Drude model for many metals:
<http://www.wave-scattering.com/drudefit.html>
- For one metal, there are often different possible fits, depending on the wavelength range of interest !

Plasmonic metals

- Coinage metals (noble metals, group 11): Cu, Ag, Au
- The plasma frequency determines the optical range where plasmonic effects can be excited
- Further plasmonic metals include Al, W, Pt



Selected Topics in Advanced Optics

Week 3 – part 5

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Spectral line shapes

- It is often useful to fit a function on the spectral response of a system
- There are three such main functions

- Lorentzian:

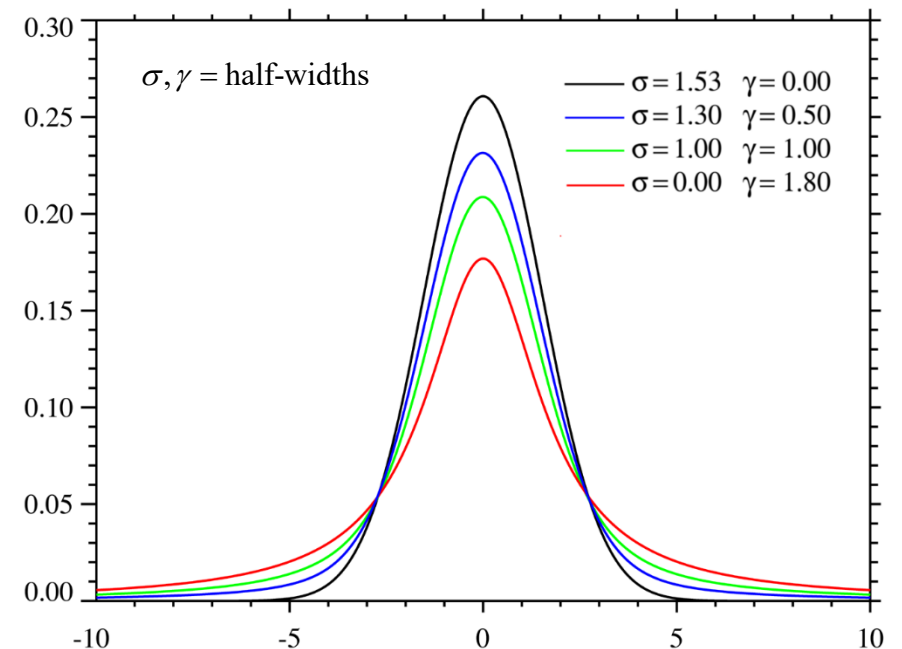
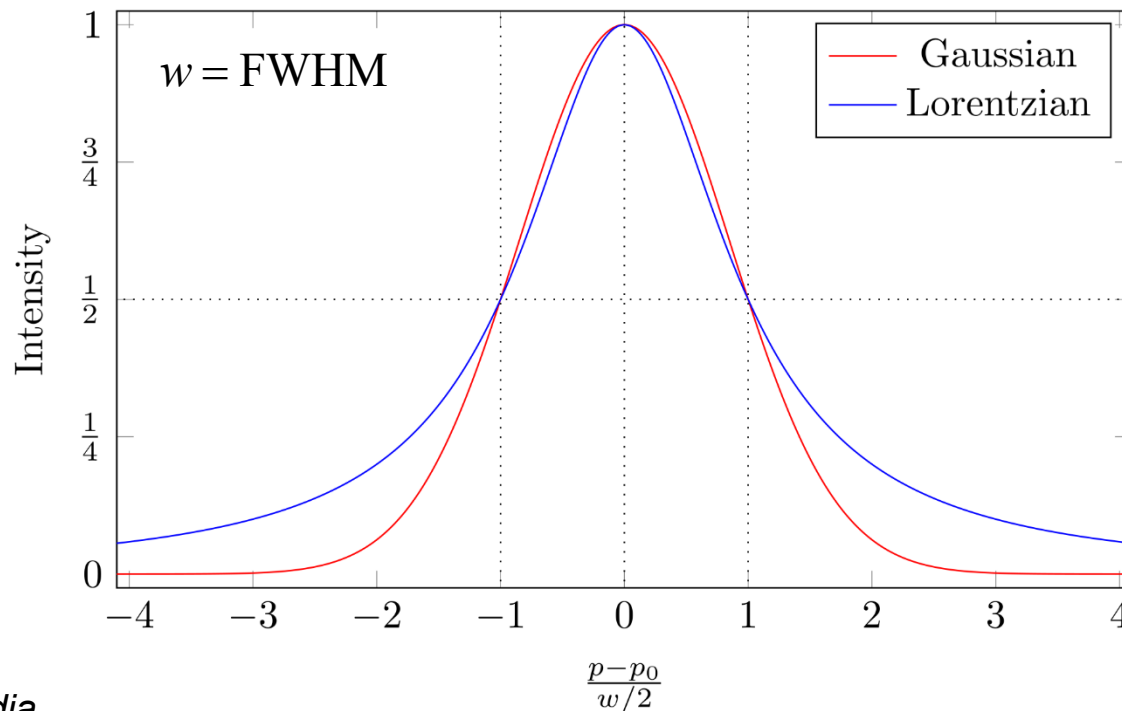
$$L(x) = \frac{1}{1+x^2} \quad x = \frac{p-p_0}{w/2}$$

- Gaussian:

$$G(x) = e^{-(\ln 2)x^2}$$

- Voigt:

$$V(x; \sigma, \gamma) = \int_{-\infty}^{\infty} G(x'; \sigma) L(x - x'; \gamma) dx'$$



Spectral line shapes

- In most cases, one can safely use a Lorentzian curve
- A complex spectrum can be decomposed into a collection of simple lines

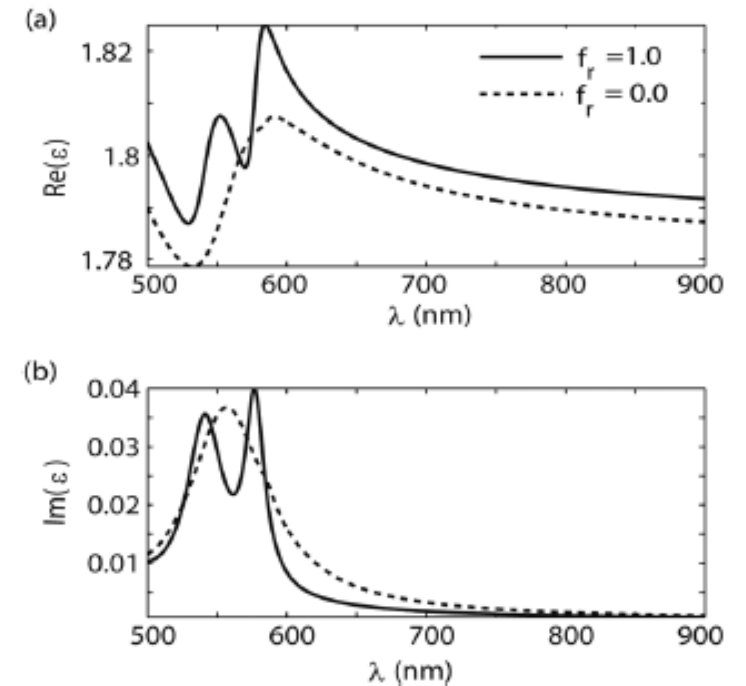
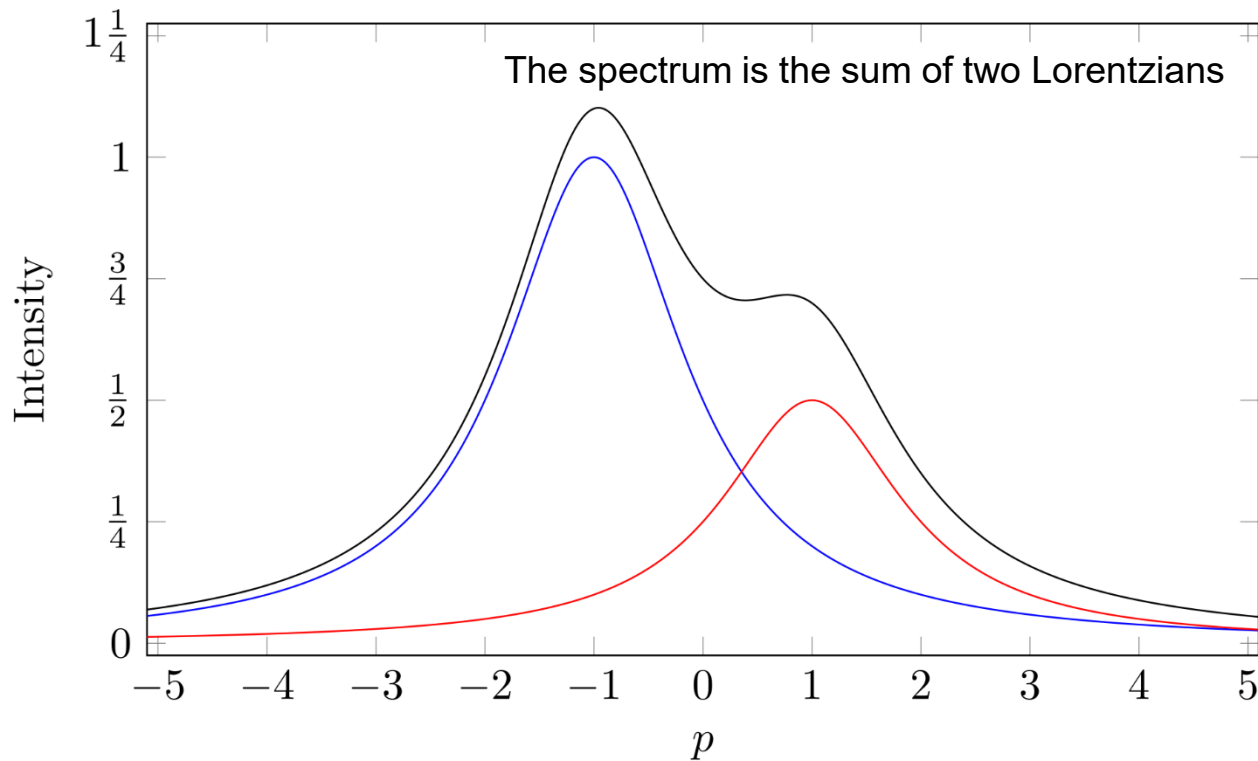


FIG. 2. (a) Real and (b) imaginary parts of the dielectric function of Hb at a concentration of 25 mM, in the oxygenated ($f_r = 1$) and deoxygenated ($f_r = 0$) states.