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### Publication Date

1972-10-01

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October 1972

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EVIDENCE FOR COVALENT BONDING IN CRYSTALLINE AND AMORPHOUS As, Sb, AND Bi  
FROM VALENCE BAND PHOTOELECTRON SPECTRA \*

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October 1972

ABSTRACT

X-ray photoelectron spectra (XPS) of the valence bands of crystalline and amorphous As, Sb, and Bi have been measured. The results are compared with band structure calculations for the crystalline materials. A splitting,  $\Delta E$ , of the "s-like" peak for the crystalline phase disappears in the amorphous phase and the "p-like" peak is shifted towards higher energies. This similarity to tetrahedrally coordinated covalent semiconductors is explained by describing the semimetals as layers of distorted covalently bonded hexagonal rings. This generalizes the "even-odd" ring effect previously observed in Group IV semiconductors to the A7 lattice of As, Sb, and Bi. The relation of  $\Delta E$  to the interatomic distance is described by a universal curve, which applies to the Group V semimetals as well as Group IV semiconductors.

## I. INTRODUCTION

Weaire and Thorpe have used the concept of topological disorder in attempting to understand the properties of amorphous semiconductors.<sup>1-3</sup> They used model Hamiltonians of the tight binding type to calculate the density of states in crystals of the diamond structure, and obtained the characteristic splitting in the lowest, "s-like" peaks in the valence bands using these Hamiltonians. They emphasized the importance of six-membered rings in the diamond structure, and suggested that a random-network amorphous structure, with both five-fold and six-fold rings, would not exhibit well-resolved splitting in the s-like peak. Joannopoulos and Cohen carried out EPM band-structure calculations on several forms of silicon and germanium.<sup>4</sup> They found a single broad s-like peak in  $\rho(E)$  for the ST-12 structure, which has five- and seven-membered rings, and they attributed the lack of splitting to the presence of odd-numbered rings. Single s-like peaks were indeed observed in the XPS spectra of amorphous silicon and germanium.<sup>5</sup> Both the form of Weaire and Thorpe's one-band Hamiltonian and the discussion by Joannopoulos and Cohen may be interpreted as implying splitting in the s-like peak in a broader context than the diamond lattice, and loss of this splitting in the amorphous state. We report XPS spectra on crystalline and amorphous As, Sb, and Bi which show exactly this behavior. Furthermore, for the six elements studied to date, the s-peak splitting falls on a universal curve when plotted against nearest-neighbor distance. Thus both s-peak splitting in the crystalline state and its disappearance in the amorphous state appear to be general phenomena for simple covalent solids. In addition to its intrinsic theoretical importance, this result should prove valuable both as a diagnostic device for identifying amorphous phases and as a covalent reference point for establishing an ionicity scale.

## II. EXPERIMENTAL

The XPS-measurements were performed in a Hewlett-Packard 5950A ESCA spectrometer using monochromatic Al  $K_{\alpha}$  x-rays. The overall resolution of this instrument as determined from the broadening of the Fermi edge in the valence electron density of states of several metals<sup>12</sup> was 0.55 eV.

Monocrystalline samples of As, Sb, and Bi were cleaved in a dry  $N_2$  atmosphere and immediately transferred into the spectrometer vacuum without exposure to air. No oxygen contamination was detected by in situ monitoring of the 0 1s line on the As sample. Small amounts of oxygen on the Sb and Bi samples could easily be removed by gentle (200 eV, 10  $\mu$ amp) argon-ion bombardment for 45 seconds and 2 minutes, respectively. During the measurements a pressure of  $5 \times 10^{-8}$  Torr was maintained, and no oxygen or carbon buildup was observed.

Amorphous As was prepared in the spectrometer by flash evaporation of a thin film onto a gold substrate at room temperature. The amorphous Sb and Bi samples were prepared by argon-bombarding single crystal surfaces for about 30 minutes with 10  $\mu$ amp of 900 eV  $Ar^+$  ions. Earlier experiments<sup>5</sup> with Si and Ge yielded essentially identical "amorphous" spectra for evaporated films and argon-bombarded crystals.

### III. RESULTS AND DISCUSSION

The uncorrected photoelectron spectra  $I(E)$  of the valence-band regions of the crystalline and amorphous modifications of the three semi-metals are shown in Fig. 1, together with the corresponding corrected spectra  $I'(E)$ . A response function was constructed from the low energy tails of the nearby d-levels (not shown) in each case to correct for secondary electrons in  $I(E)$ . In an iterative unfolding procedure, using these response functions, the corrected spectra  $I'(E)$  were obtained.

The overall similarity of the XPS spectra in Fig. 1 reflects the similarities of electronic configuration ( $s^2p^3$ ) and, for the crystalline samples, of crystal structure (A7 in each case) in these Group V elements. There are two atoms per unit cell in the A7 structure, with ten electrons filling five valence bands. In free atoms of these elements, the valence s electrons are bound 8-10 eV more tightly than the valence p electrons. The mean splittings between peaks 1-2 (Fig. 1) and peaks 3-4 (Fig. 1) are approximately 8.4 eV (As), 7.2 eV (Sb), and 8.6 eV (Bi). Using the free-atom configuration  $s^2p_{1/2}^2p_{3/2}^2$ , the mean s-p splittings in free atoms<sup>9</sup> can be estimated as 9.8 eV (As), 8.4 eV (Sb), and 9.7 eV (Bi). Since the cohesive energies of these elements<sup>10</sup> are only 2-4 eV per atom, one would expect a priori to find separate peaks corresponding to s and p electrons, in the absence of unusually strong s-p mixing, with the s peak(s) lying lower. Theoretical band-structure calculations do indeed show two reasonably well-separated s-like bands several eV below the Fermi level  $E_F$ , and three p-like bands near  $E_F$ .<sup>6-8</sup> We assign the lower peak (labeled 1-2 in Fig. 1) to the former and the upper peak (3-4 in Fig. 1) to the latter. Derived energies of characteristic features in  $I'(E)$  for the crystalline samples are set out in Table I together with the binding energies of the

outermost d-electrons. Although the same two general features were observed in the spectra of the amorphous materials, most of the finer structure was completely lost.

It has been shown in recent investigations of the valence-electron spectra of elements<sup>5</sup> and simple binary compounds<sup>16</sup> that the interpretation of photoemission data in terms of the density of states  $\rho(E)$  of the solid is quite justified, provided effects of photoelectric cross section variation throughout the valence bands are properly taken into account.<sup>15</sup> Densities of states provide therefore the best means of a detailed and quantitative comparison of photoelectron spectra with theoretical band structures and experimental data related directly to the band structures. Several band structure calculations for the semimetals As, Sb, and Bi (Refs. 6, 7, 8) have been carried out along various symmetry directions in the Brillouin zone, but they all lack the detailed mapping of energy levels throughout an irreducible part of the Brillouin zone which is necessary to derive  $\rho(E)$ . A comparison of these calculations with our measurements is therefore limited to some prominent features which can easily be deduced from an inspection of the given band structures.

Relatively flat parts of the p-like bands between symmetry points  $\Gamma$  and L and along the  $\Gamma - T$  direction near the Fermi level can most likely be identified with the maxima 3 - 3', and 3 - 4 in the density of states of As and Sb, respectively. The band minima of these bands at points U, X, and W and the Fermi level mark bottom and top of these peaks.

The mean positions of the lower doublets 1 - 2 in the photoelectron spectra are approximately determined by the energy of the two s-bands at  $L_1$ ,  $L_4$ , and  $X_4$  while the width is unambiguously given by the separation of



these two bands at point  $\Gamma$  in the center of the Brillouin zone. At this level of interpretation we compare in Table II available band structure calculations of the semimetals with the photoelectron spectra of the crystalline species. The agreement for As and Sb is as good as can be expected, except for the total width of the valence bands, which is consistently calculated too small, the difference decreasing from 3 eV in As to 1 eV in Sb. APW<sup>8a</sup> and EPM<sup>8b</sup> band structure calculations for Bi both underestimate the width of s-bands and p-bands by considerable amounts: 1.7 eV (APW), and 1.9 eV (EPM) for the s-bands, 0.8 eV (APW), and 1.4 eV (EPM) for the p-bands.

Moreover, the EPM calculation yields a mean separation of the s and p valence-bands which is about 2 eV smaller than our experimental result. The reason for this discrepancy may be found in the final adjustment of the pseudopotential parameter A (Ref. 8b), which summarizes the effects of relativistic corrections and the non-local character of the pseudopotential on bands with s-atomic character.

Moving down from As to Bi, changes in the structure of the p-like peak arise dominantly from relativistic effects rather than from crystal-field effects. The single asymmetric peak 3 in As splits into two peaks (3 and 4) in Sb. The splitting increases to 2.2 eV in Bi. It has been shown for Bi<sup>11</sup> that this splitting can be identified with the effect of spin-orbit interaction on the p-like bands near the center of the Brillouin zone ( $\Gamma$ ). The relativistic Hartree-Fock-Slater free-atom value<sup>9</sup> of 2.16 eV for the 6p spin-orbit splitting in Bi corresponds closely to the observed splitting in the p-like band. The measured value for Sb of 0.76(8) eV compares equally well with the calculated 5p free-atom value of 0.71 eV. It is unusual for the spin-orbit splitting to come through so cleanly as a splitting in the valence-band density of states,

because the Hamiltonians for the spin-orbit and crystal-field interactions do not commute and the corresponding energies are not additive. The d-bands of silver<sup>12</sup> and gold<sup>13</sup> provide counter-examples in which the splitting far exceeds the free-atom spin-orbit splitting in magnitude. Shoulders 3' and 4' in the  $I'(E)$  curve for Sb most likely arise from bands near the symmetry points  $L_4$  and  $T_1$  and  $X_3$ ,  $X_4$  in the Brillouin zone.

Turning now to the s-like bands, we observe a pronounced splitting of the s-peak (1-2 in Fig. 1) in the densities of states of all three Group V semimetals As, Sb, and Bi. This splitting decreases from 2.62(8) eV in As to 1.67(6) eV in Sb to 1.18(8) eV in Bi (see Table II). A parallel decrease in width (FWHM) of this peak from 5.2(2) to 4.6(2) to 4.0(1) eV is also evident. The two components of the s-peak differ in intensity in each case. After decomposition into two peaks, we obtain an intensity ratio of 1.3 for As, 1.3 for Sb, and 1.2 for Bi. Since only two nondegenerate bands are responsible for the doublet structure, this intensity difference is most likely due to cross-section modulation of the photoelectric effect. An admixture of p-like character into band 2 would increase its photoelectron cross section relative to that of band 1 as was earlier observed for Ge.<sup>5</sup> In Bi the drop in the intensity ratio coincides with a marked increase in the mean s-p band separation because of the relativistic lowering of the s-electron energy. This provides direct experimental evidence for the dehybridizing effect of relativistic corrections in solids.

The density-of-states results for amorphous As, Sb, and Bi are significantly different from those of the respective crystalline modifications. The s-bands do not exhibit double-peaked structure and there is less structure in the p-like bands in As and Sb, while the spin-orbit splitting in Bi is

unchanged. In all three cases the maximum in the density of states is shifted toward the Fermi energy by a few tenths of an electron volt. The replacement of peaks 1 and 2 in the crystalline samples by a single peak in the amorphous spectra is caused by a redistribution in the density of states rather than simply by broadening of the two peaks. This is especially true in Sb and Bi. As evidence for this we note that the total widths of the s-band peaks as well as the valley between the s- and p-bands remain essentially the same in going from the crystalline to the amorphous material.

The startling agreement between these observations and those made earlier<sup>5</sup> for the prototypical covalent crystals Si and Ge suggests an interpretation of the semimetal spectra along similar lines. The distortions which lead from the diamond fcc lattice to the A7 lattice of As, Sb, and Bi obviously do not destroy the main features in the density of states. The experimental s-band splitting in the semimetals is rather well reproduced by the separation of these bands at points  $T_1$  and  $T_2'$  in the Brillouin zone, as shown by a comparison with available theoretical data in Table II. Points  $T_1$  and  $T_2'$  correspond to points  $L_1$  and  $L_2'$  in the diamond lattice. It has been pointed out that the existence of sixfold rings in the diamond structure is crucial for the preservation of well-separated s-bands (peaks 1 and 2) in the density of valence band states which correspond to the bonding and antibonding s-levels of covalently bonded atoms.<sup>3,4</sup> In As, Sb, and Bi the lattice is composed of layers normal to the trigonal axis. There are three weak bonds per atom between layers, and within a layer there are three stronger bonds which produce a two dimensional array of distorted hexagonal rings.<sup>14</sup> We therefore interpret the XPS spectra of As, Sb, and Bi as extending the generality of the

"odd-even" ring effect on the valence bands. Apparently s-peak splitting is present in these covalently-bonded A7-lattice crystals because of the even-numbered rings, while the odd-numbered rings that presumably are present in the amorphous materials preclude resolution of these peaks into two simple components.

The "blueshift" of the p-peaks in the density of the amorphous state gives a direct measure of the deviation of the sample from its ground equilibrium state. Joannopoulos and Cohen<sup>4</sup> have given an explanation for a similar effect in Si and Ge, which can readily be applied to the semimetals. The energy of electrons localized in the bond region between the atoms is sensitive to variations in bond-angle through the repulsive coulomb interaction between electrons in adjacent bonds. Though a decrease of one angle is always accompanied by an increase in another angle, the nonlinear interaction between the bonds results in a net increase in energy. This increase in energy is responsible for the blueshift of the p-bands, which localize electrons primarily in the bond region. The lower s-like electrons are not affected by variations in bond angle because they are primarily localized on the atoms.

In this sense it is justified to refer to the two lower peaks in the density of states of covalently bonded elements as "s-peaks" as distinguished from the "p-peak" even though the symmetry of the two lowest bands may vary and may even be p-like as is the case for the Group IV elements at point  $\Gamma'_{15}$  in the Brillouin zone. This point of view is consistent with the observed cross sections for x-ray photoemission from diamond, silicon, and germanium.<sup>15</sup>

Finally, the observed splitting in the two lowest valence-band peaks of the covalent Groups IV and V elements C(diamond), Si, Ge, As, Sb, and Bi are related in a very simple way. When plotted against nearest-neighbor distance  $d$ , these splittings follow a universal curve given by

$$\Delta E(\text{eV}) = 8.0 - 2.2 \times d (\text{\AA}) ,$$

as shown in Fig. 2. That  $\Delta E$  should follow such a simple equation is somewhat surprising, because differences in coordination and hybridization might be expected to play a larger role. Apparently the effect of overlap, which of course decreases strongly with distance, is dominant. With further study it may be feasible to give a detailed explanation for the variation of  $\Delta E$ . Meanwhile the observed  $\Delta E$  vs  $d$  relation can serve as a covalent reference point in establishing an experimental ionicity scale based on valence-band spectra.

We thank Dr. W. Ellis for a single crystal of As. We greatly appreciate helpful discussions with J. Joannopoulos.

FOOTNOTES AND REFERENCES

\* Work performed under the auspices of the U. S. Atomic Energy Commission.

† Max-Kade Foundation fellow on leave from University of Bonn.

†† In partial fulfillment of Ph.D.

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Table I. Binding-energies of characteristic features in the XPS-spectra of crystalline As, Sb, and Bi

As		Sb		Bi	
bottom of VB	$17.0 \pm 0.3$ eV	bottom of VB	$13.3 \pm 0.3$ eV	bottom of VB	$14.0 \pm 0.2$ eV
1	$13.26 \pm 0.10$	1	$10.45 \pm 0.08$	1	$11.54 \pm 0.10$
2	$10.64 \pm 0.08$	2	$8.78 \pm 0.06$	2	$10.36 \pm 0.08$
3	$3.53 \pm 0.06$	3'	$3.68 \pm 0.20$	3	$3.45 \pm 0.05$
3'	$2.51 \pm 0.13$	3	$2.63 \pm 0.09$	4	$1.30 \pm 0.06$
$E_F$	$0.0 \pm 0.05$	4	$1.87 \pm 0.08$	$E_F$	$0.0 \pm 0.05$
		4'	$0.82 \pm 0.06$		
		$E_F$	$0.0 \pm 0.05$		
3d	$41.7 \pm 0.1$	4 d <sub>3/2</sub>	$33.44 \pm 0.09$	5 d <sub>3/2</sub>	$26.94 \pm 0.07$
		4 d <sub>5/2</sub>	$32.14 \pm 0.09$	5 d <sub>5/2</sub>	$23.90 \pm 0.07$



Table II. Comparison of band structure calculations with prominent features in the photoelectron spectra of As, Sb, and Bi. The theoretical entries are the position of the symmetry points listed in the last column. All energies are in eV.

a) As

Experiment		Theory			
	binding energy	TB Ref. 6b	EPM <sup>a</sup> Ref. 6a	SCF OPW Ref. 6b	Symmetry points
$E_F$	0.0	0.7	0.8	0.9	
peak 3'	2.5	2.1	2.4	2.2	$T'_3$
peak 3	3.5	$3.5 \pm 0.2$	$3.5 \pm 0.2$	$3.5 \pm 0.2^b$	$L_2, L_4, \Gamma_1$
bottom of peak 3	7.3	6.9	7.4	7.1	$X_1$
mean position doublet 1,2	11.8	$11.5 \pm 0.4$	$11.6 \pm 0.4$	$11.5 \pm 0.4$	$L_1, L_4$
bottom of VB	17.0	14.9	14.7	14.7	$\Gamma_1$
splitting 1-2	$2.62 \pm 0.08$	2.90	2.83	3.27	$T'_2 - T_1$

b) Sb

Experiment		Theory	
	binding energy	EPM Ref. 7	Symmetry point
$E_F$	0.0	1.0	
mean position of peak 3,4	2.4	$2.4 \pm 0.1$	$\Gamma_1, \Gamma_3, L_4$
bottom of peak 3,4	5.5	5.8	$X_1$
top of doublet 1,2	7.0	7.1	$\Gamma'_2$

(continued)

Table II. (continued)

Experiment	binding energy	Theory	
		EPM Ref. 7	Symmetry point
mean position of doublet 1,2	9.8	$10.8 \pm 0.3$	$L_1, L_4$
bottom of VB	13.3	13.1	$\Gamma_1$
splitting of doublet 1-2	$1.67 \pm 0.06$	1.71	$T_2' - T_1$

c) Bi

Experiment	binding energy	Theory		
		APW Ref. 8a	EPM Ref. 8b	Symmetry points
$E_F$	0	$0 \pm 0.2$	0	
bottom of doublet 3,4	5.2	4.4	3.7	$X_5$
top of doublet 1,2	8.1	8.8	6.6	$\Gamma_6^-$
mean position of doublet 1,2	11.2	$11.0 \pm 0.2$	$8.8 \pm 0.2$	$L_5, L_7$
bottom of VB	14.0	13.0	10.5	$\Gamma_6^+$
splitting of doublet 1-2	$1.18 \pm 0.08$	1.29	1.78	$T_2' - T_1$

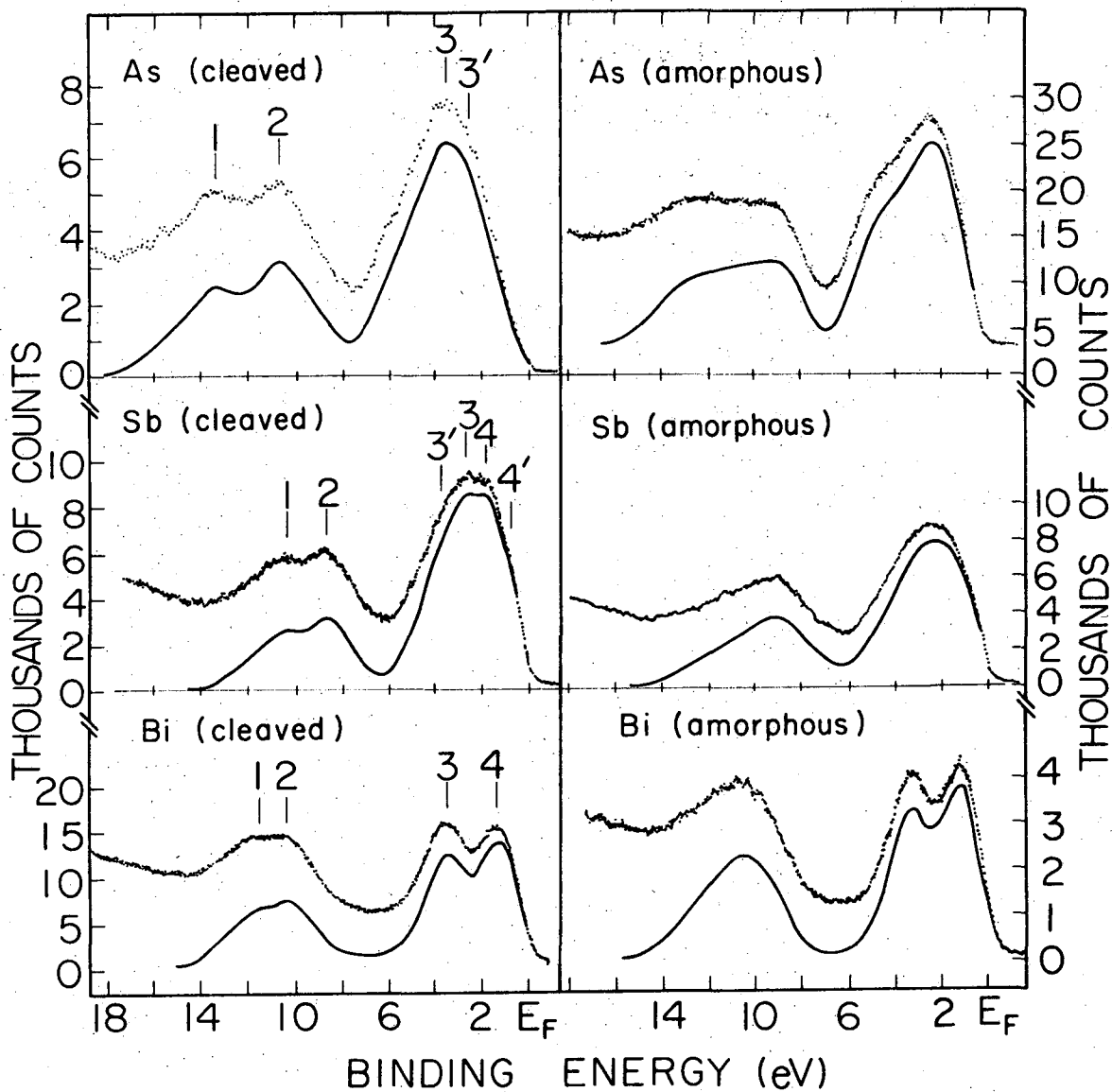
<sup>a</sup>The results of potential "P1" are given.

<sup>b</sup>Average energy and maximum deviation in the position of the symmetry points.

FIGURE CAPTIONS

Fig. 1. Uncorrected (dots) and corrected (line) photoelectron spectra of the crystalline and amorphous semimetals.

Fig. 2. Plot of the "s-peak" splitting versus the nearest-neighbor distance for covalently bonded elements; the carbon point (diamond) is taken from Ref. 15.



XBL 729-4052

Fig. 1

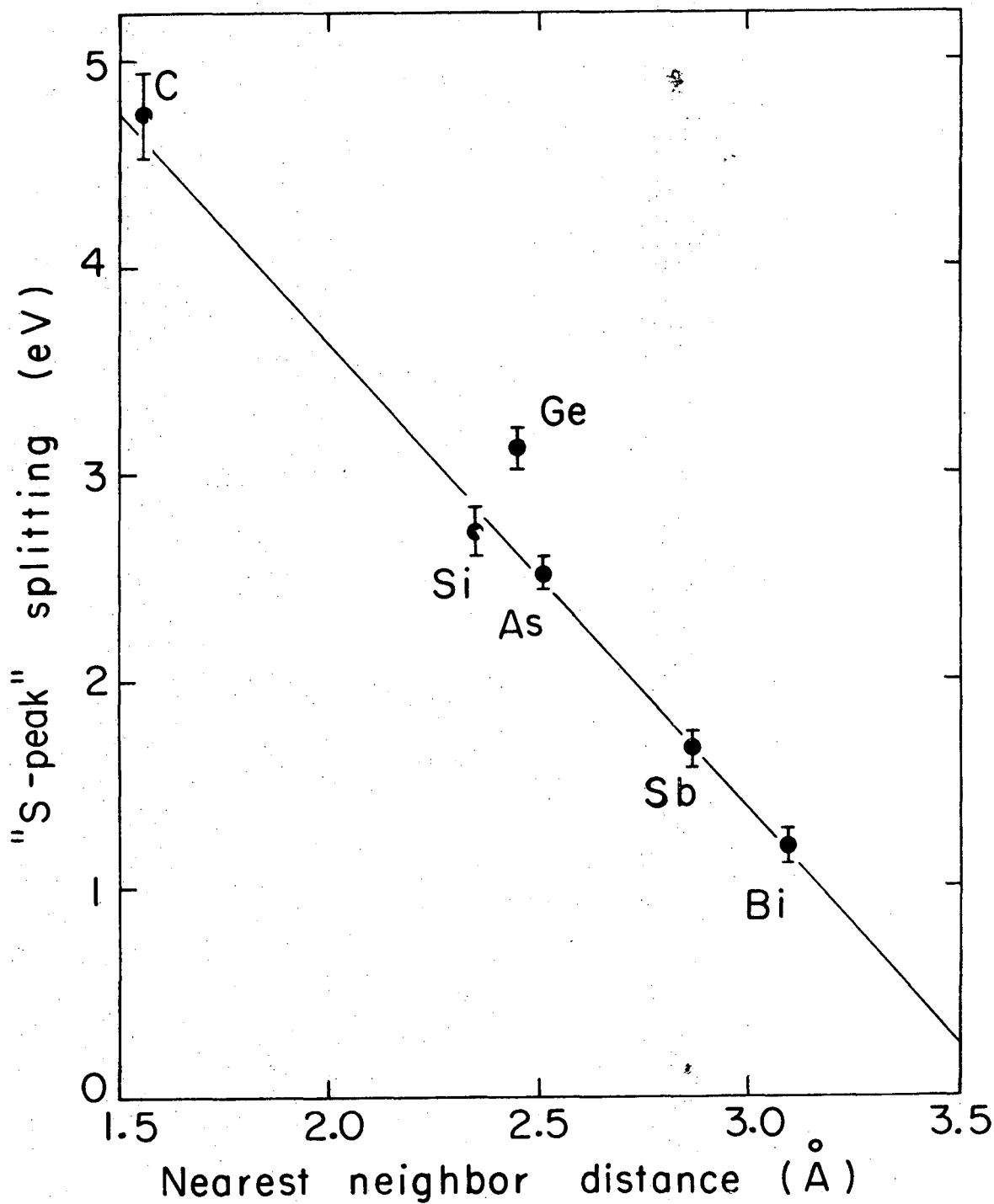


Fig. 2

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