



# ADVANCES IN SEMI-CONDUCTOR SCIENCE

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# ADVANCES IN SEMI-CONDUCTOR SCIENCE

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## TABLE OF CONTENTS

M. H. HEBB: Introduction.	1
A. OPENING SESSION	
A.2 J. BARDEEN: Trends in semiconductor research	2
A.3 A. JOFFÉ: Properties of various semiconductors	6
<i>Discussion: Compiled by W. SHOCKLEY</i>	13
A.4 O. G. FOLBERTH and H. WELKER: Binding and semiconductor properties of $A^{III}B^V$ -compounds	14
<i>Discussion: Compiled by F. HERMAN</i>	20
B. BAND THEORY	
B.1 J. C. SLATER: Band theory	21
B.2 C. ZENER: $D$ -band and mixed-valency semiconductors	26
B.3 D. E. SOULE and J. W. MCCLURE: Band structure and transport properties of single-crystal graphite	29
B.4 J. L. BIRMAN: Calculation of electronic energy bands in ZnS	35
B.5 E. O. KANE: The semi-empirical approach to band structure	38
B.6 W. KOHN: Motion of electrons and holes in semiconductors from a many-electron point of view.	45
B.7 L. M. ROTH and G. W. PRATT, JR.: A many-body treatment of dielectric screening for impurity states and excitons in semiconductors	47
<i>Discussion: Compiled by H. EHRENREICH</i>	50
C. RECOMBINATION AND IMPURITY CENTERS	
C.1 S. G. KALASHNIKOV: Studies on the recombination of electrons and holes in germanium	52
C.2 W. W. TYLER: Deep level impurities in germanium	59
C.3 M. LAX: Giant traps	66
C.4 P. T. LANDSBERG and A. R. BEATTIE: Auger effect in semiconductors	73
C.5 P. H. BRILL and R. F. SCHWARZ: Radiative recombination and lifetime in germanium	75
C.6 S. GOLDSTEIN: H. METTE and W. W. GÄRTNER: Carrier recombination in germanium as a function of temperature between 100°K and 550°K	78
C.7 R. O. CARLSON, R. N. HALL and E. M. PELL: Sulfur in silicon	81
C.8 V. E. LASHKAREV, E. G. MISELYUK and K. D. GLINCHUK: Effect of annealing on the state of certain impurities in Ge	84
<i>Discussion: Compiled by A. ROSE</i>	85
D. SURFACES	
D.1 A. MANY: The electrical structure of semiconductor surfaces	87
D.2 E. HARNIK and Y. MARGONINSKI: The effect of some surface treatments on the characteristics of fast states on germanium surfaces	96
D.3 R. BRAY and R. W. CUNNINGHAM: Optical and magnetic surface studies on germanium	99
D.4 J. N. ZEMEL and R. L. PETRITZ: Magneto-surface properties of near intrinsic germanium	102
D.5 N. J. HARRICK: Effect of the metal-to-semiconductor potential on the semiconductor surface barrier height	106
D.6 R. MISSMAN and P. HANDLER: Hall mobility of a cleaned germanium surface	109
D.7 G. A. BARNES and P. C. BANBURY: Electrical properties of clean germanium surfaces	111
D.8 S. P. WOLSKY: Germanium and silicon surfaces	114
D.9 H. E. FARNSWORTH, R. E. SCHLIER and J. A. DILLON, JR.: Surface-structure and work-function determinations for silicon crystals	116
D.10 F. G. ALLEN: Work function and emission studies on clean silicon surfaces	119
<i>Discussion: Compiled by H. STATZ</i>	121

## E. THEORY II

E.1	J. M. LUTTINGER: Transport theory	123
E.2	L. STILBANS: The scattering mechanism of carriers on phonon and lattice defects	123
E.3	A. R. REGEL: On the role of the short and long-range order in the electrical properties of substances	124
E.4	P. N. ARGYRES: Galvanomagnetic effects in the quantum limit	124
E.5	H. EHRENREICH: Screening effects in polar semiconductors	130
E.6	P. J. PRICE: On the theory of strong-field conduction	136
E.7	G. E. TAUBER and L. SOFFER: Transport phenomena in semiconductors for warped energy surfaces	138

## F. DISLOCATIONS

F.1	L. SOSNOWSKI: Electronic processes at grain boundaries	142
F.2	A. F. GIBSON: The mobility, diffusion constant, and lifetime of minority carriers in heavily dislocated germanium	147
F.3	C. BENOIT À LA GUILLAUME: Recombinaison radiative par l'intermédiaire des dislocations dans le germanium	150
F.4	P. BARUCH: Centres de recombinaison introduits dans le germanium par des électrons de 2 MeV	153
F.5	R. K. MUELLER: Capture diameter of dislocations in low angle grain boundaries in germanium	157
F.6	H. KAWAMURA and H. OKURA: Trapping of photoelectrons around dislocation lines in alkali halides	161
	<i>Discussion:</i> Compiled by G. L. PEARSON	164

## G. EXCITONS

G.1	H. HAKEN: On the theory of excitons in solids	166
G.2	E. F. GROSS: Optical spectrum and magneto-optical properties of excitons	172
G.3	I. BROSER and R. BROSER-WARMINSKY: Concerning the problem of exciton diffusion in photoconductors	177
G.4	M. BALKANSKI: Energy transfer in semiconductors	179
G.5	G. DIEMER, G. J. VAN GURP and W. HOOGENSTRAATEN: An analysis of mixed ambipolar and exciton diffusion in CdS crystals	182
G.6	E. GRILLOT and M. BANCIE-GRILLOT: Fluorescent emission ascribable to exciton annihilation in pure CdS crystals	187
G.7	S. NIKITINE: Spectroscopie du corps solide et spectres d'excitons	190
	<i>Discussion:</i> Compiled by B. LAX	193

## H. GENERAL

H.1	W. PAUL: The effect of pressure on the properties of germanium and silicon	196
H.2	M. CARDONA, W. PAUL and H. BROOKS: Dielectric constant of germanium and silicon as a function of volume	204
H.3	R. BOWERS: The magnetic susceptibility of semiconductors	206
H.4	H. D. HAGSTRUM: State density in the valence band of silicon	211
H.5	G. WEINREICH: Chemical shift of donor states germanium	216
	<i>Discussion:</i> Compiled by J. H. CRAWFORD	218

## I. TRANSPORT

I.1	J. TAUC: Electron impact ionization in semiconductors	219
I.1a	V. S. VAVILOV: On photo-ionization and ionization by fast electrons in germanium and silicon	223
I.2	S. H. KOENIG: Hot and warm electrons—A review	227
I.3	E. CONWELL: Lattice mobility of hot carriers	234
I.4	J. B. GUNN: Effect of electron and impurity density on the field-dependence of mobility in germanium	239
I.5	M. C. STEELE and M. GLICKSMAN: High electric field effects in <i>n</i> -indium antimonide	242
I.6	T. N. MORGAN: The mobility of electrons heated by microwave fields in <i>n</i> -type germanium	245
I.7	W. SASAKI, M. SHIBUYA, K. MIZUGUCHI and G. M. HATOYAMA: Anisotropy of hot electrons in germanium	250
I.8	H. FRITZSCHE: The effect of uniaxial tensile stress on impurity conduction in germanium	257
I.9	T. A. LONGO, R. K. RAY and K. LARK-HOROVITZ: Low temperature impurity conduction in silicon	259
	<i>Discussion:</i> Compiled by R. W. KEYES	262

# TABLE OF CONTENTS

vii

## J. OPTICAL PROPERTIES

J.1	H. J. G. MEYER: Theory of infrared absorption by conduction electrons in germanium	264
J.2	H. Y. FAN and P. FISHER: Absorption spectra of group V donors in germanium	270
J.2a	H. Y. FAN and A. K. RAMDAS: Infrared absorption in neutron irradiated silicon	272
J.3	F. R. KESSLER: Infrared absorption of free carriers produced in semiconductors by photoeffect	275
J.4	F. STERN: Effects associated with a linear energy term in the valence band of intermetallic semi-conductors	277
J.5	R. BRAUNSTEIN: Intervalence band transitions in gallium arsenide	280
J.6	G. PICUS, E. BURSTEIN, B. W. HENVIS and M. HASS: Infrared lattice vibration studies of polar character in compound semiconductors	282
	<i>Discussion: Compiled by E. BURSTEIN</i>	285

## K. IONIC CRYSTALS

K.1	T. MUTO, S. OYAMA and H. OKUNO: Electronic structure of an exciton in alkali halides	286
K.2	Y. TOYOZAWA: Exciton-lattice interaction and a theory of the line shape of exciton absorption bands	289
K.3	B. GOODMAN and O. S. OEN: Interaction of excitons with lattice vibrations	291
K.4	W. MARTIENSSEN: The optical absorption edge in ionic crystals	294
K.5	E. A. BRAUN and J. W. MITCHELL: Photoconductivity in crystals of silver bromide	297
K.6	F. C. BROWN and K. KOBAYASHI: Electronic processes in the silver halides at low temperature	300
	<i>Discussion: Compiled by D. DUTTON</i>	302

## L. MAGNETO-OPTICAL EFFECTS

L.1	E. BURSTEIN, G. S. PICUS, R. F. WALLIS and F. BLATT: Zeeman type magneto-optic studies of energy band structure	305
L.2	B. LAX, L. M. ROTH and S. ZWERDLING: Quantum magneto-absorption phenomena in semi-conductors	311
L.3	R. F. WALLIS and H. J. BOWLDEN: Theory of the Zeeman effect in the photo-ionization of impurities	318
L.4	W. S. BOYLE: Far infrared magneto-optic effects from impurities in germanium	321
L.5	T. S. MOSS, S. D. SMITH and K. W. TAYLOR: The infrared Faraday effect due to free carriers in indium antimonide	323
✓L.6	A. M. PORTIS: Microwave Faraday rotation: measurement of the conductivity tensor	326
✓L.7	G. E. HAMBLETON and W. W. GARTNER: Microwave Hall effect in germanium and silicon at 20 kmc/s	329
L.8	M. BERNARD: Effet electromagnetophotonique dans le germanium	332
	<i>Discussion: Compiled by H. Y. FAN</i>	336

## M. THERMAL CONDUCTION AND THERMOMAGNETIC EFFECTS

M.1	Y. KANAI and R. NII: Experimental studies on the thermal conductivity in semiconductors	338
M.2	B. ABELES: Thermal conductivity of germanium in the temperature range 300°-1080°K	340
M.3	J. A. KRUMHANS: Thermal conductivity in semiconductors	343
M.4	P. G. KLEMENS: Thermal resistance due to isotopes and other point defects	345
M.5	T. H. GEBALLE, C. HERRING and J. E. KUNZLER: Phonon-drag thermomagnetic effects in n-germanium	347
M.6	J. APPEL: Theory of thermoelectric and thermomagnetic effects in nonpolar isotropic semi-conductors	353
M.7	M. RODOT: Sur les effets de transport dans l'antimoniure d'indium	358
	<i>Discussion: Compiled by H. P. R. FREDERIKSE</i>	361

## N. THEORY III

N.1	A. MORITA: Cohesive energies and band structures of covalence and ionic crystals	363
N.2	PH. CHOQUARD, A. JANNER and E. ASCHER: On the connection between bonds and bands in metals and semiconductors	366
N.3	J. C. PHILLIPS: Energy bands of silicon and germanium	369
N.4	B. SEGALL: Band structure calculations of semiconductors by the Kohn-Rostoker-Korringa method: application to germanium	371
N.5	F. BASSANI: Energy band structure of sodium atoms in the diamond lattice	375
N.6	F. W. G. ROSE: The mass-action laws for free carriers and amphoteric impurities in semiconductors	377
	<i>Discussion: Compiled by F. HERMAN</i>	379



## O. EXCITONS AND PHOTONS

O.1	R. J. ELLIOTT and R. LOUDON: Theory of fine structure on the absorption edge in semiconductors	382
O.2	G. G. MACFARLANE, T. P. MCLEAN, J. E. QUARRINGTON and V. ROBERTS: Exciton and phonon effects in the absorption spectra of germanium and silicon	388
O.3	J. R. HAYNES, M. LAX and W. F. FLOOD: Analysis of intrinsic recombination radiation from silicon and germanium	392
O.4	S. ZWERDLING, L. ROTH and B. LAX: The direct and indirect transition excitons in germanium	397
O.5	B. N. BROCKHOUSE: Lattice vibrations of semiconductors by neutron spectrometry	400
O.6	FRANK HERMAN: Lattice vibrational spectrum of germanium	405
O.7	C. DOMB, A. A. MARADUDIN, E. W. MONTROLL and G. H. WEISS: The vibration spectra of disordered lattices	419
	<i>Discussion:</i> Compiled by M. LAX	421

## P. SEMICONDUCTING COMPOUNDS

P.1	W. W. SCANLON: Recent advances in the optical and electronic properties of PbS, PbSe, PbTe and their alloys	423
P.2	T. OKADA: The electrical properties and crystal structure of IV <sub>b</sub> -VI <sub>b</sub> intermetallic-compounds	428
P.3	J. R. DRABBLE: Galvanomagnetic effects in bismuth telluride	428
P.4	N. FUSCHILLO, J. N. BIERLY and F. J. DONAHOE: Transport properties of the pseudo-binary alloy system Bi <sub>2</sub> Te <sub>3-y</sub> Se <sub>y</sub>	430
P.5	P. FIELDING, G. FISCHER and E. MOOSER: Semiconductors of the type A <sup>III</sup> B <sup>VI</sup>	434
P.6	W. E. SPICER and A. H. SOMMER: Intermetallic semiconductors containing alkali metals	437
P.7	D. FOX: Conducting states in organic molecular crystals	439
	<i>Discussion:</i> Compiled by P. KECK	442

## Q. LARGE BAND GAP SEMICONDUCTORS

Q.1	E. W. J. MITCHELL: A review of recent work on diamond	444
Q.2	G. F. J. GARLICK: Infrared phosphor-semiconductors	449
Q.3	W. W. PIPER, P. D. JOHNSON and D. T. F. MARPLE: Temperature dependence of the optical band gap in ZnS	457
Q.4	J. S. PRENER and F. E. WILLIAMS: Some characteristics of large band gap compound semiconductors	461
Q.5	M. A. LAMPERT, A. ROSE and R. W. SMITH: Space-charge-limited currents as a technique for the study of imperfections in pure crystals	464
Q.6	A. R. HUTSON: Electronic properties of ZnO	467
Q.7	D. L. DEXTER: Optical investigation of semiconductors at the University of Rochester	473
Q.8	C. D. CLARK: The absorption edge spectrum of diamond	481
	<i>Discussion:</i> Compiled by W. C. DUNLAP, Jr.	484

## R. RESONANCE

R.1	G. FEHER: Donor wavefunctions in silicon by the ENDOR techniques	486
R.2	G. W. LUDWIG, H. H. WOODBURY and R. O. CARLSON: Spin resonance of deep level impurities in germanium and silicon	490
R.3	J. LAMBE and C. KIKUCHI: Spin resonance of donors in CdS	492
R.4	R. N. DEXTER: Cyclotron resonance in cadmium sulfide	494
R.5	H. J. ZEIGER, C. J. RAUCH and M. E. BEHRNDT: Cross modulation of d.c. resistance by microwave cyclotron resonance	496
R.6	E. H. RHODERICK: Nuclear magnetic resonance studies of doped III-V compounds	498
R.7	O. KRAUS: Nuclear magnetic resonance in semiconductors	504
	<i>Discussion:</i> Compiled by A. F. KIP	506

## S. GALVOMAGNETIC EFFECTS

S.1	A. C. BEER: Fine structure in the Hall coefficient	507
S.2	M. GLICKSMAN: The magnetoresistance of electrons in InP and GaAs	511
S.3	R. J. SLADEK: Impurity band conduction in strong magnetic fields	515
S.4	J. C. HASLETT and W. F. LOVE: Galvanomagnetic effects in <i>n</i> -InSb at low temperatures in strong magnetic fields	518
S.5	A. W. EWALD and O. N. TUFTE: Electronic properties of gray tin single crystals	523
S.6	H. ROTH: Measurement of the galvanomagnetic effects in pure tellurium	525
	<i>Discussion:</i> Compiled by P. J. PRICE	530

# TABLE OF CONTENTS

ix

## T. SUMMARY SESSION

T.1	H. BROOKS: Stationary states of semiconductors	531
T.2	D. POLDER: Fundamental transition processes	536
T.3	L. APKER: Recombination, trapping and optical phenomena	538
T.4	W. H. BRATTAIN: Surfaces	541
T.5	C. HERRING: Transport	543
AUTHOR INDEX		551
SUBJECT INDEX		553

# INTRODUCTION

M. H. HEBB

General Electric Research Laboratory, Schenectady, N.Y.

THE 1958 International Conference on Semiconductors was held during the week 18–22 August, at the University of Rochester, Rochester, New York. Doubtless, it will become known as the Rochester Conference, just as its predecessors are known by the names Reading, Amsterdam, and Garmisch-Partenkirchen.

The Proceedings of the Conference are published as a single issue of the *Journal of the Physics and Chemistry of Solids*. Great efforts have been made to meet the early deadline for publication. Credit goes to the authors of papers for their promptness in submission of manuscripts, to the editorial committee for their work in preparing the manuscripts for publication and to the staff of Pergamon Press for its accomplishment of a difficult task.

The selection of the papers presented at the Conference from those submitted, as well as their logical arrangement in sessions, was the responsibility of the Program Committee. Its members should be congratulated for their efforts. In addition to the formal program, a valuable part of any conference is the discussion that follows the formal papers. The organizing and editing of these questions and comments to make them available to others is a challenging assignment. The Conference is indebted to the co-chairmen for the discussion reported in these Proceedings.

Special recognition is due to the speakers in the summary session, whose incisive comments set the subject presented at the Conference in perspective. The remarks made at this session were invaluable to the participants of the Conference. They have been recorded in the Proceedings so that even those unable to attend the Conference can benefit from them. Some of the

flavor of the talks is inevitably lost in a literary transcription. This loss is particularly regrettable in the case of the introductory remarks made by CONYERS HERRING, who organized the summary session.

For those interested in statistics, the total attendance was officially 500, of whom 412 were from the United States, 18 were from Canada, and the remaining 70 from 14 countries overseas.

There remains the pleasant task of acknowledgment to several organizations for their parts in the success of the Conference.

Foremost is the University of Rochester. The facilities provided by our host were ideal and the arrangements—even including the weather—were excellent.

Without financial support the Conference would not have been possible. Our principal support came from the Atomic Energy Commission, the National Science Foundation, the Office of Naval Research, and the Office of Scientific Research of the Air Research and Development Command. Substantial contributions were made by a number of industrial organizations. Local industry groups in Rochester assumed the burden of many of our extra-Conference activities.

Many of the delegates from overseas were able to attend the Conference only because of the support provided by the Military Air Transport Service, whose help was generously made available to the Conference through the courtesy of the Office of Scientific Research.

Finally, sponsorship of the Conference by the International Union of Pure and Applied Physics formalized its international character and expedited participation by delegates from abroad.

SESSION A:  
OPENING SESSION\*

A.2

TRENDS IN SEMICONDUCTOR RESEARCH

J. BARDEEN

University of Illinois, Urbana, Ill.

THE rapid expansion of scientific research in recent years has created a real problem in communications. It is a problem which involves mass, time, and distance, but you can't find the answers in a physics text. If for no other reason than the sheer mass of published work, it is impossible to keep up with what's going on by reading journals, as one could do not so long ago. Another important difficulty concerns the speed of research. Work being done now in one laboratory may depend on what's been done in another laboratory in a distant part of the world only months before. Preprints and journal articles help one keep up to date in one's own narrow field, but they have their limitations. Books on special subjects and review articles in periodical or book form help one keep up with related fields.

Conferences on special subjects, such as this one, are becoming of increasing importance in scientific communication. They allow one to meet and talk with co-workers and to have an up-to-date summary of current work presented. The main limitation is that of the human mind to absorb all with which it is confronted. This meeting should provide everyone with a good opportunity to review research programs in the light of what is going on elsewhere, to put current semiconductor research into better perspective, and perhaps, most likely in private conversations, to get hints as to how one might surmount one difficulty or another in his own research.

It may be of interest to spend a few minutes this morning with a brief survey of trends in semiconductor research. What have we accomplished and where are we heading? It was not until the

advent of quantum theory, some thirty-odd years ago, that there was an adequate basis for understanding the many properties of solids. Many facts now can be correlated on the basis of the Bloch theory and the corresponding energy-band model, in spite of its limitations. Left out of the Bloch model are interactions between electrons and lattice vibrations, except for scattering processes, and correlations between electrons resulting from Coulomb interactions, which are by no means small. Because of its simplicity, and the mathematical difficulties involved in going beyond it, the Bloch theory has been applied to many problems in metals and semiconductors, and with what must be regarded as remarkable success in view of its basic limitations. It is, in fact, only in recent years that we are beginning to understand why the Bloch model works as well as it does. It is, of course, much more satisfactory for  $s$ - $p$  valence electrons than for the more tightly bound  $d$ -electrons.

In this afternoon's session on band theory, SLATER will give a general review and ZENER will discuss applications to  $d$ -band semiconductors.

There is now considerable interest in many-particle theories which go beyond the Bloch one-particle model to take into account dynamical correlations between the particles. A method which has proved useful in metal theory and is now being applied to semiconductors is to introduce screening of electrons by means of a complex frequency-dependent dielectric constant. This is a rather general method which involves taking pair correlations properly into account. Electrons and holes may be regarded as elementary excitations described by many-particle wave functions. It

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\* Chairmen: J. BARDEEN and D. L. DEXTER.

turns out, as will be discussed by KOHN and others, that some results of the Bloch model, such as introduction of quasi-particle excitations with an effective mass and use of a static dielectric constant in the force between a conduction electron or hole and a charged impurity center, follow from the many-particle treatment.

Most of the basic ideas and concepts used in semiconductors go back to the 'thirties. A. H. WILSON in 1931, was the first to introduce the concept of a hole from the modern point of view and to show how impurities can influence the carrier concentrations. It was recognized that photoconductivity could arise from excitation of electrons from the valence to the conduction band, and that the excess carriers introduced in this way would have a finite lifetime before recombination occurs. Not long after, in 1935, FRENKEL applied the concepts of generation of electron-hole pairs by light, diffusion in a concentration gradient, and flow of carriers in electric and magnetic fields, to account for experimental results of KIKOIN and NOSKOV on the photomagnetolectric effect in  $\text{Cu}_2\text{O}$  and of DEMBER on the change of contact potential with light.

FRENKEL also suggested the exciton as a localized atomic excitation which could be transferred from atom to atom in the crystal. Another concept of an exciton as a bound state of an electron and a hole was suggested by SLATER and SHOCKLEY, and the theory developed further with the use of effective masses and dielectric constants by WANNIER. It was in the paper of WANNIER that the localized electron functions which now bear his name were introduced. These two different approaches to the exciton have since been developed by many people. Some recent theoretical developments will be discussed at this meeting by HAKEN and by MUTO, the latter work applying particularly to the alkali halides. TOYOZAWA and also GOODMAN and OEN will discuss interactions between excitons and lattice vibrations.

For a long time excitons were regarded as a theoretical possibility, but there was no real experimental demonstration of their existence. The first experimental proof of energy transfer by excitons was obtained several years ago by APKER and TAFT from their studies of photoelectric emission of electrons from alkali halide crystals. Excitons are now coming into their own,

as shown by the fact that they are the principal subject of two sessions at this meeting.

Among the most interesting papers at the Garmisch meeting two years ago were those of GROSS on the discrete line absorption spectrum observed near the band edge of  $\text{Cu}_2\text{O}$ , with term values which could be fitted so remarkably well with a hydrogen-like formula, and of BROSER and BALKANSKI, who presented evidence for diffusion of excitons in CdS crystals. There is still controversy about this latter work and related experiments done since. BROSER now takes the view that his experiments can be accounted for by scattering and reabsorption of fluorescent radiation, while BALKANSKI and also DIEMER and his co-workers believe that true exciton diffusion has been observed in certain specimens. You will be able to hear both sides of the story tomorrow afternoon and form your own conclusions.

GROSS has extended his work on line spectra in  $\text{Cu}_2\text{O}$  and CdS to observe the Zeeman splitting, and has found evidence for both the electron-hole-type exciton and the localized-type exciton of FRENKEL. In a long series of experiments, NIKITINE has observed in a large number of different substances line spectra in emission and absorption which can be interpreted in terms of excitons.

Excitons are stable in germanium and silicon only at low temperatures. Evidence for excitons in these materials has come from analysis of the fine structure of the absorption spectrum obtained under high resolution near the band edge by MACFARLANE and his co-workers and from the corresponding emission spectrum of the recombination radiation by HAYNES and his co-workers. These experiments also give detailed information about the phonons involved in the indirect transitions. ZWERDLING and his co-workers have observed the Zeeman effect of the exciton absorption spectrum in germanium. All of this work on germanium and silicon will be discussed on Thursday afternoon. The first paper of this session is an important one by ELLIOT on the theory of the fine structure of the absorption edge.

A distinct trend of semiconductor research in the past few years is that it has become a quantitative science with a close coordination between theory and experiment. This is, of course, due in large part to the availability of very perfect single crystals of germanium, silicon, and now an

increasing number of other substances. These materials are ideal for the theorists because they are at once simple enough to understand and sufficiently complex to yield a rich variety of phenomena. Theory is not only able to account for the gross features, but also in many cases the fine details of complex phenomena. The main basis for the theory is the band model, with modifications in some cases for many-particle aspects or for interactions between electrons and lattice vibrations. The theory forms a framework for analysis and interpretation of experiments. Parameters of the theory, such as effective masses, dielectric constants, energy gaps, and mobilities, which would be extremely difficult to evaluate theoretically from first principles, usually are obtained from experiment as empirical parameters.

The first experiments to give precise information on effective masses were the cyclotron-resonance experiments of KIP, KITTEL and their co-workers at California, and of LAX and his co-workers at the Lincoln Laboratory. This work was presented at the Amsterdam meeting four years ago. These experiments showed the complex nature of both the conduction and valence bands of germanium and silicon, as had been indicated earlier from magneto-resistance studies. The cyclotron-resonance method is limited to materials with a long relaxation time for collisions of the carriers, so that they can make a number of orbits in a magnetic field between collisions. Shorter relaxation times can be tolerated if the magnetic field is increased, but then direct observation of resonance is not easy because the cyclotron frequencies usually come in the most difficult region of the spectrum in which to work, the far infrared.

Ways out of this difficulty have been shown independently by BURSTEIN and by LAX, who detected the quantized LANDAU-type levels of the carriers in a magnetic field in the optical absorption spectra near the band edge, either in interband transitions or in transitions from an impurity level to one of the bands. These powerful methods for getting information on band structure will be discussed in a series of papers on Thursday morning.

At one time traps were traps, and that was the end of it. Now we try to understand the energy levels of particular impurity atoms or other imperfections, and the trapping cross-sections of

these for electrons and holes. Through careful research by a number of investigators, a large amount of information has been accumulated. Of particular interest and technological importance are the recombination centers. Several interesting papers dealing with these subjects are to be given in one of the sessions this afternoon. The theory of recombination via traps as worked out by SHOCKLEY and READ and by HALL is well confirmed by experiments, although generalizations are required in some cases. An important problem for the future is to get a more detailed and quantitative picture of luminescent centers.

A very ingenious and powerful method for investigating wave functions of electrons at impurity levels is the Electron Nuclear Double Resonance (ENDOR) method of FEHER. This method, which involves saturating the electron resonance and then observing the nuclear resonance lines, will be discussed by him on Friday morning, in a session which includes a number of other interesting papers on spin-resonance phenomena in semiconductors. We can expect an expansion of activity in this very interesting field in the years to come.

There has always been a close connection between semiconductor science and semiconductor technology, and I think this is a good thing for both. In the 'thirties, semiconductors were used mainly as rectifiers, and the important materials were copper oxide and selenium. Theories of rectification were worked out independently by MOTT, SCHOTTKY and DAVYDOV. From SCHOTTKY come most of our ideas concerning space-charge layers in which the space charge comes from uncompensated donor or acceptor ions. He had the concept of an inversion layer in which the conductance changes from *n*- to *p*-type as a result of the change in potential in the barrier region, and this came close to the ideas required for transistors. What he failed to recognize is the importance of minority carriers in the current flow. DAVYDOV, as early as 1938, came close to an adequate theory of *p-n* junctions, but the assumptions he made to get a mathematical solution were such as to mask minority carrier injection, which is of course one of the most important features of modern junctions and is a consequence of SHOCKLEY's theory. No doubt SCHOTTKY and others were thinking of their work in semiconductors such as copper

oxide in which minority carrier flow is unimportant.

Much of the semiconductor research in America and elsewhere during the past ten or fifteen years has been on germanium and silicon. As you know, this work has been greatly stimulated by applications first to radar detectors and then to diodes and transistors. Of great importance to the study is ability to make exceptionally perfect single crystals and to control the impurities present to a very high degree. As we have mentioned, these materials have served and are continuing to serve as a splendid testing ground for theoretical developments.

A large part of this research has been associated with transistor development, a great deal of it pioneered by SHOCKLEY. I will discuss just two of these briefly, the so-called "hot" electron problem, or change in mobility with electric field, as first observed by SHOCKLEY and RYDER, and the semiconductor surface-barrier problem, in which BRATTAIN has played a leading role.

There are several papers devoted to each of these subjects at this meeting. TAUC will discuss the increased quantum yield which occurs when the absorbed photon has so much energy that the excited electron or hole has sufficient energy to create further pairs by impact ionization.

A general review of the hot electron problem will be given by KOENIG. He himself has been investigating the change in ionization of impurities at low temperatures which occurs when the electrons are heated by a pulsed electric field to a higher temperature than the lattice. Such experiments give information about ionization and recombination processes. Several other interesting papers on the same general subject will be given on Wednesday morning.

During the past few years methods have been developed for determining the energy distribution of surface traps and capture cross-sections of electrons and holes. A general review will be given by MANY. Of particular theoretical interest is whether or not states exist on a surface free of any oxide layer or other contamination. The possibility of such states was first pointed out by TAMM, and SHOCKLEY later developed a more elaborate theory for valence crystals, in which he showed that surface states in the forbidden gap may be associated with uncompensated or dangling

chemical bonds. For example, in germanium an interior atom forms four bonds with its near neighbors, but a surface atom can form only three. The unfilled orbital corresponding to the fourth bond is free to be occupied by electrons.

FARNSWORTH has shown that an apparently clean surface can be formed on germanium or silicon by an ion-bombardment technique. Several investigators have studied the electrical properties of surfaces cleaned in this way. HANDLER found that a germanium surface cleaned by bombardment is strongly *p*-type with a very high density of surface states. BARNES and BANBURY report different results for a freshly cleaved surface maintained in high vacuum. There should be some interesting discussions at the session on surfaces tomorrow morning.

This meeting reflects the increasing interest in compound semiconductors. Some of this stems from WELKER's pioneer work on the III-V compounds, whose properties are roughly similar to those of germanium and silicon. There is also great interest in compounds useful for thermoelectric elements. Much of the early work in this field was purely empirical. The first real scientific study of electron mobility, thermal conductivity, and other factors important for thermal elements, and the way they depend on composition was made by JOFFÉ and his co-workers. Results they have obtained clearly demonstrate the virtue of the scientific over the purely empirical approach. We are honored to have both JOFFÉ and WELKER on this morning's program.

Research on thermoelectric effects and on thermal conduction in semiconductors has yielded a number of interesting phenomena, involving phonon scattering, phonon drag, and heat transfer by ambipolar diffusion. Much remains to be done in this field. No doubt Professor JOFFÉ will discuss some of the accomplishments and outstanding problems in his talk. More details on thermal conduction will be given by KANAI and others in the session on Thursday morning.

In this brief review I have had time to indicate only a small fraction of the interesting papers to be presented, and many of those I have discussed were picked more or less at random or from personal interest rather than intrinsic importance.

Questions are often asked as to whether any new revolutionary discoveries can be expected in

the semiconductor field. In one sense, I believe the answer is no. Practically all of our basic ideas—energy bands, electrons and holes, phonons, excitons, polarons, dislocations, thermal generation and recombination of carriers, and so forth—date from the 'thirties or earlier. But the application of these ideas to particular situations, making them more precise and quantitative, and the

working out of the wide variety of interactions possible among the elementary excitations have provided and will continue to provide many interesting and important problems with unexpected results and new applications. This meeting shows that the semiconductor field is a very live one, and there is no reason to expect interest to decline in the years to come.

## PROPERTIES OF VARIOUS SEMICONDUCTORS

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**Abstract**—The discovery of a  $p$ - $n$  transition inside a monocrystal of Ge and of analogous materials (instead of a boundary between two semiconductors with a hole and electron conductivity which we investigated in 1938), the simple crystal structure, and the highest purity of Ge justify the extensive interest in these materials.

A neglect of the immense diversity of semiconductors is however a disadvantage. Contrary to Ge, for a large number of low mobility or of liquid semiconductors even the notion of velocity and effective mass cannot be defined; the scattering time is no longer short compared to the relaxation time. Melting of such semiconductors does not influence their properties, while a radical change appears if the number or the position of the next neighbours becomes involved.

Thus the interest must be directed toward the chemical bond and toward the structure of the electronic cloud inside a unit cell. Professor SAMOILOVICH has succeeded in explaining in this way the appearance of two effective masses for holes in Ge, the right dependence of mobility on temperature  $\mu \sim T^{-2.3}$ , the influence of a magnetic field, etc. The use of semiconductors for thermoelectric devices raises problems concerning their thermal, electric and mechanical behavior.

A systematic study of a variety of semiconductors, of solid solutions, of phenomena determining the ratio of thermal conductivity to the electron mobility, a favorable choice of the degree of degeneration, a consideration of the anisotropy, and of the anharmonicity of the chemical bond—all those fundamental problems must be taken into account. Some of the results achieved in this direction will illustrate the importance of the problems involved. While many of such problems are still rather obscure, some success has already been achieved. The figure of merit  $z = \alpha^2 / \kappa \rho$  ( $\alpha$ —thermoelectric power per  $^{\circ}\text{C}$ ) has increased up to and over  $z = 3 \times 10^{-3} / \text{deg.}$  (some papers use  $\sqrt{z}$  instead of  $z$ ) which means a cooling by one thermocouple from  $112^{\circ}\text{C}$  to  $0^{\circ}\text{C}$  or from  $+27^{\circ}\text{C}$  to  $-45^{\circ}\text{C}$ .

The problems of thermoelectric cooling, heating and energy production have become a promising field of research.

THIRTY years ago the discovery of rectification in an oxidized copper plate, and shortly afterwards the discovery of copper oxide and selenium photocells, directed the interest of physicists to the field of semiconductors and especially to

copper oxide and selenium. A new era arose after the war due to the discovery of phenomena at a  $p$ - $n$  boundary inside a monocrystal of germanium or silicon. The modern semiconductors are the germanium-like materials. Thus the



immense diversity of semiconductors became neglected in spite of the fact that they include resistivities from  $10^{10}$  to  $10^{-4}$   $\Omega\text{-cm}$ , mobilities from 0.1 to  $10^5$   $\text{cm}^2/\text{V sec}$ , impurities between  $10^{-8}$  and 50 per cent, and all possible types of chemical bond.

We came to the problem of semiconductors from another point of view and therefore investigated somewhat different materials. Allow me to describe some of the results of our work.

The diversity of properties of semiconductors as depending on their structure may be illustrated by the various mechanisms of thermal conductivity

and  $A = (r+2)$  for nondegenerate charges;  $r$  denotes the exponent in the expression for the free path  $l$  as a function of the kinetic energy

$$l \sim \epsilon^r \quad (3)$$

Increasing the impurity conduction  $\sigma$  of some  $\text{Bi}_2\text{Te}_3$  materials from 1000 to  $4500 \Omega^{-1}\text{cm}^{-1}$ , we checked the Wiedemann-Franz ratio  $L$  for the nondegenerate state ( $\sigma < 2500 \Omega^{-1}\text{cm}^{-1}$ ) and found an increase of  $L$  for the degenerate state ( $\sigma > 3500 \Omega^{-1}\text{cm}^{-1}$ ). For  $r$ , we found  $r = 0$ , in good agreement with the value following from other considerations (Fig. 1).

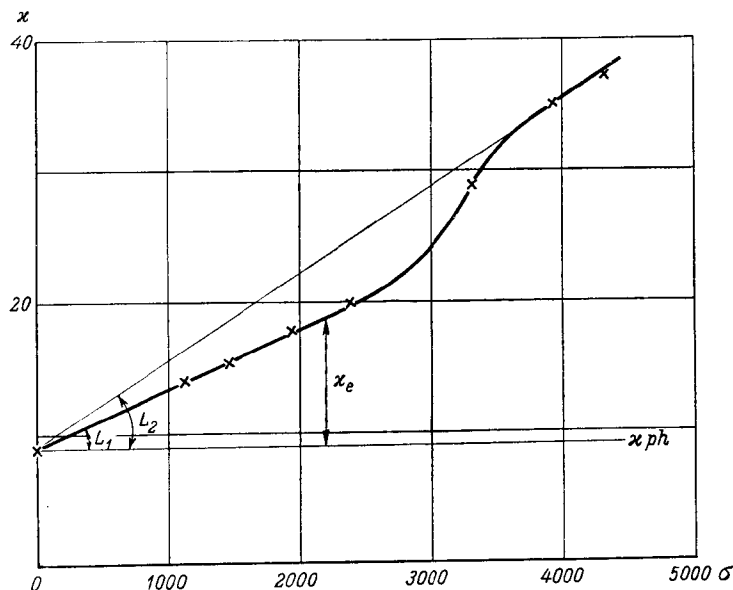


FIG. 1. The thermal conductivity  $\kappa$  in  $\text{mW}/\text{cm}^\circ\text{C}$  as a function of the electrical conductivity  $\sigma$  in  $\Omega^{-1}\text{cm}^{-1}$   $\text{Bi}_2\text{Te}_3$ .

we met during our researches in the domain of thermoelectricity.

(1) In semiconductors with impurity conduction, the conductivity may be divided into two parts: the phonon term  $\kappa_{\text{ph}}$  and the Wiedemann-Franz term  $\kappa_{\text{el}}$  due to free charges:

$$\kappa = \kappa_{\text{ph}} + \kappa_{\text{el}} \quad (1)$$

$$\kappa_{\text{el}} = A \frac{k^2}{e^2} T \sigma = L \sigma, \quad (2)$$

where  $A = \pi^2/3$  for a degenerate state of charges

(2) As soon as intrinsic conductivity appears, and charges of both signs begin to take part in the electric conduction, an additional energy transport becomes noticeable. In 1940, DAVYDOV and SHMUSHKEVICH and later Dr. P. J. PRICE and others derived a formula for the additional thermal conductivity  $\Delta\kappa_{\text{el}}$  due to the ambipolar diffusion of charges in the direction of the temperature gradient:

$$\Delta\kappa = L \frac{\sigma_1 \sigma_2}{\sigma_1 + \sigma_2} \left( \frac{\Delta E_0}{2kT} + r + 2 \right)^2, \quad (4)$$