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Coexistence of infrared plasmon and thermoelectricity in rare-earth semiconducting ytterbium nitride **FREE**

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Coexistence of infrared plasmon and thermoelectricity in rare-earth semiconducting ytterbium nitride

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ABSTRACT

Rare-earth nitride (REN) pnictides are exciting materials due to their localized and strongly correlated 4*f*-electrons that lead to interesting magnetic properties useful for spintronic devices. Ytterbium nitride (YbN) is a unique rare-earth pnictide as it exhibits antiferromagnetic ground states, unlike most ferromagnetic RENs. Though the magnetic properties of YbN thin films have been studied before, the electronic, thermoelectric, and plasmonic properties of YbN are yet to be investigated. Here, we show coexisting high thermoelectric power factor and short-wavelength infrared plasmon polaritons in epitaxial YbN thin films deposited with the ultrahigh vacuum growth method. YbN thin films deposited on (001) MgO substrates exhibit epitaxial and good quality crystalline growth and exhibit a high thermoelectric power factor of $\sim 1.9 \text{ mW/mK}^2$ at 750 K due to high electrical conductivity and a moderately high Seebeck coefficient. High carrier concentration also leads to a positive-to-negative dielectric permittivity transition in YbN at $\sim 1900-1950 \text{ nm}$, corresponding to the epsilon-near-zero plasmonic resonance. Low-temperature transport measurements revealed that dislocation and acoustic phonon scattering dominate electronic transport. Demonstration of coexisting high thermoelectric power factor and infrared plasmon polaritons marks important progress in designing YbN-based thermoelectric and plasmonic devices for future applications.

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Rare-earth semiconducting nitrides are an emerging class of materials with distinct electronic and magnetic properties. RENs are currently explored experimentally for various applications, including spintronics, infrared (IR) detectors, cryo-coolers, scintillators for highenergy particle detection, and contacts for III-V compound semiconductors.¹⁻⁶ Localized and strongly correlated 4f-electrons in RENs generally lead to ferromagnetic ground states that are attractive for spintronic devices and spin-superlattices.7-10 Similarly, rare-earthdoped semiconductors are also explored for their dilute magnetic semiconducting properties and exotic spin-textures.^{11–13} Solid-state alloys of RENs with III-V compound semiconductors have been used to develop solid-state lasers, amplifiers, and light-emitting devices in the infrared spectral range for the retina-safe and fiber optical communication wavelength ranges.^{14,15} With intra-f or d-f electronic transition, RENs are also used in wide bandgap semiconductors for scintillators in high-energy particle detections, especially for neutrons.^{1,16} Recently, some RENs have also exhibited high thermoelectric

power factor and potential for high figure-of-merit (zT) at high temperatures that could be useful for their energy conversion device applications. $^{\rm 17}$

Ytterbium nitride (YbN) is the second-heaviest REN and has found applications as additives for special alloys and non-ferrous metals, as a phosphor, and as ceramic materials.^{18,19} In one of the earliest reports in 1963, YbN bulk crystals were synthesized by nitriding Yb metals by prolonged heat treatment with an ammonia environment.²⁰ YbN obtained with this method contained some amount of Yb²⁺ divalent ions and exhibited semiconducting behavior with high *n*-type carrier concentration and low mobility. Importantly, magnetic measurements showed an antiferromagnetic ground state in YbN, which is markedly different from the ferromagnetism exhibited by most other RENs. Subsequent specific heat measurements on bulk YbN crystals showed cooperative phase transitions below 1 K and suggested a high density of electronic states at the Fermi level, prompting the authors to conclude that YbN is a heavy-fermion.²¹ However, further optical reflection experiments on stoichiometric and off-stoichiometric YbN found the highest occupied $4f^{13}$ bands at ~6 eV below the Fermi level and the lowest unoccupied $4f^{14}$ band at ~0.2 eV above the Fermi level, and an effective mass of the carriers to be $2.2 m_0$.²² Such moderate carrier effective mass, *p*-*f* hybridization, and a small amount of *f*-*d* hybridization led to the conclusion that YbN is unlikely to be a heavy fermion and more likely to be a Kondo insulator.

Compared to the bulk crystals, thin films of YbN are seldom studied. In one of the only experimental reports, polycrystalline YbN thin films are deposited by evaporating Yb metal under an activated nitrogen partial pressure using an ion source.²³ GaN is further deposited as capping layers to protect the surface from oxidation. YbN films obtained with this method exhibited an antiferromagnetic ground state with a Neel temperature of 93 \pm 3 K and $\mu_{\text{eff}} = (4.5 \pm 0.1) \ \mu B$ per Yb ion. Low-temperature electrical measurements also showed a negative temperature coefficient of resistance and high carrier concentration that is consistent with its degenerate semiconducting nature. Theoretically, local spin density approximation (LSDA) along with Hubbard U corrections is used to model the electronic and magnetic structure of YbN.²⁴ Results showed that depending on the initial structure and spin alignments, the theoretical ground state converges into either trivalent (Yb^{3+}) or divalent (Yb^{2+}) oxidation states. The electronic structure of YbN also strongly depends on the valency of the Yb cation. The filled 4f states lie lower inside the valence band in Yb³⁺, and the unoccupied 4f bands strongly hybridize with the N-2p bands. However, the filled 4f states are much closer to the Fermi energy for divalent cases. A direct X-X gap of 1.35 eV and an indirect Γ -X gap of 0.68 eV are predicted from these theoretical calculations.24,2

Though the previous experimental and theoretical research on YbN has been noteworthy, for practical device applications, it is necessary to characterize the electronic, optical, thermoelectric, and plasmonic properties in greater detail, preferably in single-crystalline thin films. Therefore, with the motivation of developing YbN-based electronic, thermoelectric, and plasmonic devices, and with the prospect of its epitaxial integration with other III-nitride semiconductors, in this work, we present epitaxial and good quality YbN thin films deposited with ultra-high vacuum (UHV) growth methods. Transparent AlN thin film coatings are deposited *in situ* on YbN as capping layers to prevent oxidation. YbN thin films exhibit a high thermoelectric power factor on par with the best-known thermoelectric materials, such as Bi₂Te₃²⁶ and Zn₄Sb₃²⁷ In addition, they also show a short-

wavelength infrared plasmonic response that makes it attractive for detectors, sensors, and telecommunication applications.^{1,14,15}

YbN thin films of thickness 125 nm are deposited on (001) MgO (YbN/MgO) and (0001) Al₂O₃ (YbN/Al₂O₃) substrates with a dcmagnetron sputtering inside a UHV chamber with a base pressure of 1×10^{-9} Torr at 900 °C. Details on the growth and characterization methods are presented in the supplementary material (SM) section. Without a capping layer, as-deposited YbN thin films have a brownish-red tint [see Fig. S1(a)] and oxidize in ambient air within 15-20 min of being removed from the UHV chamber. YbN film's brownish-red hue is close to that of ErN^{17} and $\mathrm{ScN},^{28,29}$ demonstrating their comparable optical properties. After oxidation, the color of the film changes to light green [see Fig. S1(b)]. Therefore, a thin layer of AlN was deposited in situ on top of YbN while maintaining the same deposition temperature to stabilize YbN in ambient conditions. The resulting YbN was observed to be ambient stable for at least 5 months [see Fig. S1(d)] despite having a somewhat darker appearance. AlN is well recognized for its oxidation resistance due to the formation of a thin Al₂O₃ coating on its surface, which serves as an oxidation protective barrier. To measure the electrical and thermoelectric properties,¹ AlN layer thickness was restricted to \sim 2–3 nm. For structural characterization and optical property analysis, the capping layer thickness was increased to 20 nm.

Symmetric 2θ - ω high-resolution x-ray diffraction (HRXRD) measurements on YbN deposited on the (001) MgO substrate show that the film exhibits a single (111) orientation [see Fig. 1(a)]. While other rock salt semiconductors, such as ScN^{28,29} and CrN,³⁵ exhibit smaller lattice-mismatch and grow with (002) orientations on (001) MgO substrates, YbN grows with (111) orientation on the (001) MgO substrate due to the large lattice-mismatch of \sim 15%. The (111) YbN film 2 θ -peak on (001) MgO appears at 32.2°, which results in a *c*-plane lattice constant of 4.81 Å. This c-axis lattice constant is close to its bulk lattice parameter.²⁰ The full-width-at-the-half-maxima (FWHM) of the rocking curve corresponding to the (111) plane of YbN is 0.43°, which suggests its good crystalline quality. The pole figure measurement of YbN/MgO for (220) reflection shows 24 symmetrically positioned diffraction spots of similar intensity [see Fig. 1(b)]. These diffraction spots are the rotational twin planes of {220} around [111] direction. These 24 diffraction spots form equidistant 12 pairs, symmetrically placed 30° apart from each other, indicating twisting $(\sim 10^{\circ})$ among twin domains. The extensive twinning could be explained by a significant lattice mismatch between YbN and MgO of



FIG. 1. (a) Symmetric 2θ-ω HRXRD pattern for YbN deposited on MgO (001) substrates. The film grows with only one (111) orientation. Inset in the figure shows that the FWHM of ω-scan (rocking curve) is 0.43 ° that highlights its good crystalline property. (b) Pole-figure of YbN corresponding to (220) reflection is presented showing twisted domains, and (c) plan-view SEM images of YbN/MgO showing triangular (111) oriented growth; the red circle highlights the twinning of domains.

15%. The x-ray profile intensities are elliptic, with orientation changes along the rotation angle around the surface normal, indicating the tiltinduced broadening of the reciprocal lattice points. The plan-view FESEM image of the film deposited on the (001) MgO substrate [Fig. 1(c)] show merged triangular grains showing the (111) orientation. Twinning can be seen in the image. Unlike YbN films deposited on the (001) MgO substrate, YbN deposited on the (0001) Al₂O₃ substrate exhibits textured growth with two different orientations, namely, (200) and (111) [see Fig. S2(a)].

X-ray photoelectron spectroscopy (XPS) measurement is performed to analyze the chemical states of Yb and N using a monochromatic Al-K_{α} x-ray source (see Fig. 2). Before the measurement, the 2-nm-thick AlN capping layer is removed using 1 keV Ar⁺ ion sputter etching. High-resolution Yb-4d, Yb-4p, N-1s, and O-1s peaks are calibrated using the C-1s photoelectron signal at 284.6 eV as a reference. The Yb 4d XPS spectrum is found to be complicated and is quite similar to the spectrum reported for several other Yb-based compounds.^{30–32} It can be deconvoluted into seven peaks due to LS coupling that divides the final state of $4d^9$ and $4f^{13}$ into the ³(HGFDP) and ¹(HGFDP) state.³⁰ The peaks at 183.2 and 190.7 eV are assigned to the $4d_{5/2}$ and $4d_{3/2}$ components of Yb³⁺, and the corresponding shoulders at 180.3 and 187.2 eV are assigned to $4d_{5/2}$ and $4d_{3/2}$ components of Yb²⁺. With a probability of 0.031, Yb²⁺ ions are less prevalent than Yb³⁺ ions. The presence of Yb²⁺ causes a slightly higher lattice constant (4.81 Å) compared to bulk values (4.78 Å) as the ionic radius of Yb^{2+} is greater than the Yb^{3+} ion. The Yb 4p spectrum also shows the mixed valence states. Peaks at 344.3 and 394.8 eV are assigned to Yb $4p_{3/2}$ and Yb $4p_{1/2}$, respectively. There is a large spin-orbit splitting of 50.5 eV due to the significant effect of LS coupling. The N-1s spectra coincide with the Yb $4p_{1/2}$. The N-1s deconvoluted peaks at 395.2 and 397.6 eV are attributed to the presence of N in N-Yb and N-Yb-O



FIG. 2. High-resolution XPS core-level spectra of a YbN thin film corresponding to (a) Yb-4d, (b) Yb-4 $p_{3/2}$, (c) N-1s & Yb-4 $p_{1/2}$, and (d) O 1s. They are deconvoluted into Gaussian peaks. The Yb 4d and $4p_{3/2}$ spectra are strongly affected by LS coupling and show the presence of mixed valence states (Yb²⁺ and Yb³⁺) with a primarily trivalent component.

bonds, respectively. For O-1s, two peaks were observed at binding energies of 530.9 and 529 eV, which correspond to the O–N–Yb and O–Yb bonds, respectively. Despite the protective layer, oxygen impurity is present as Yb₂O₃ in the film due to the high affinity of Yb toward oxygen. The optical absorption measurements are performed to determine the bandgap of YbN films. Results show (see supplementary material section 4) that YbN/MgO and YbN/Al₂O₃ exhibit a direct optical bandgap of 1.78 and 1.86 eV, respectively. These bandgap values are consistent with previous literature reports.^{23–25}

Room-temperature Hall measurements (see Table I) show that YbN films deposited on (001) MgO exhibit a high electron mobility of 23.1 cm²/V s, significantly higher than the mobilities previously reported^{20,23} in YbN bulk crystals and thin films. Such high mobility is about eight times larger than the highest mobility reported³³ for ErN thin films deposited on (001) MgO substrates with similar growth conditions. Hall measurements also show YbN/MgO exhibiting a large ntype carrier concentration of $1.4\times10^{21}\,\text{cm}^{-3}$, presumably due to nitrogen vacancies and oxygen impurity.36,37 Such high mobility and carrier concentration leads to a room-temperature resistivity of $1.9 \times 10^{-4} \ \Omega$ cm in YbN/MgO, showing its degenerate semiconducting nature. Though the room-temperature resistivity of YbN compares well with the resistivity of well-known rock salt III(B) scandium nitride (ScN),^{28,29} the carrier mobility is relatively smaller in YbN. Therefore, with subsequent changes in growth conditions, it should be possible to increase mobility further. Compared to the YbN/MgO, YbN/Al₂O₃ exhibits much lower mobility and lower carrier concentration. The higher mobility of YbN/MgO can be directly attributed to the better crystalline quality of the YbN/MgO films. YbN deposited on (001) MgO substrates exhibits epitaxial growth with a single (111) orientation with a small 0.43 ° FWHM of the rocking curve. On the contrary, the YbN/Al₂O₃ films are textured and show two different growth orientations (111) and (001). Therefore, better crystalline quality leads to higher mobility in YbN/MgO. The slightly larger carrier concentration of YbN/MgO compared to the YbN/Al2O3 could be associated with the presence of a slightly higher concentration of electronically active defects, such as oxygen impurity or nitrogen vacancies.

To gain further insight into the carrier scattering mechanism, temperature-dependent Hall measurement is performed from the 50 to 400 K range for YbN/MgO (see Fig. 3). Results show that the mobility decreases with an increase in temperature. The experimental temperature-dependent mobility is theoretically fitted considering contributions from ionized impurity ($\mu_{ionized impurity}$) and dislocation scattering ($\mu_{dislocation}$) to elucidate the scattering processes, using the following equations:

$$\mu_{\text{ionized impurity}} = AT^{1.5},\tag{1}$$

where A = constant and T = absolute temperature, and

TABLE I. Room temperature Hall measurement result for YbN on the MgO and Al_2O_3 substrates.

Electronic properties	YbN/MgO	YbN/Al ₂ O ₃
Carrier concentration (/cm ³) Mobility (cm ² /V s) Resistivity (Ω cm)	1.4×10^{21} 23.1 1.9×10^{-4}	$8.7 \times 10^{20} \\ 3.0 \\ 2.33 \times 10^{-3}$



$$\mu_{\text{dislocation}} = \left(\frac{3q}{8N_d R}\right) \frac{1}{\left(3m^* k_B T\right)^{0.5}},\tag{2}$$

where q = electronic charge, N_d = dislocation density, R = dislocation core radius, m^* = effective mass, and k_B = Boltzmann constant.

The total mobility is calculated as

$$\frac{1}{\mu_{\text{total}}} = \frac{1}{\mu_{\text{ionized impurity}}} + \frac{1}{\mu_{\text{dislocation}}}.$$
 (3)

The theoretical model [see Eqs. (1)–(3)] fits well with experimental results, revealing a dislocation density of $\sim 3.97 \times 10^{10}$ cm⁻² and a dislocation core radius of ~ 4 nm. There is also a minor fluctuation in carrier concentration in the measured temperature (50–400 K) range. The increased electrical resistivity with the temperature rise corroborates that YbN is a degenerate semiconductor.

Seebeck coefficient (S) and electrical conductivity (σ) of YbN films are measured in the temperature range from 340 to 775 K [Figs. 4(a) and 4(b)] to analyze their potential for thermoelectric devices. At 340 K, YbN/MgO and YbN/Al₂O₃ exhibit a Seebeck coefficient of -52.2 and $-72.7 \,\mu$ V/K, respectively. Seebeck coefficient increases monotonically and reaches -107.6 and $-147.7 \,\mu$ V/K for the maximum temperature of 775 K for YbN/MgO and YbN/Al₂O₃, respectively. Such a high Seebeck coefficient of YbN is about five times larger than the values previously recorded in bulk samples.²⁰ Seebeck coefficient values in YbN are comparable to the ones measured for ScN^{28,29} and are much higher than the Seebeck coefficient measured in ErN¹⁷ thin films. The electrical conductivity decreases from 4.1×10^3 to 2.5×10^3 S cm⁻¹ for YbN/MgO and from 0.361×10^3 to 0.306×10^3

FIG. 3. Temperature-dependent (a) mobility, (b) carrier concentration, and (c) electrical resistivity of YbN thin film deposited on the (001) MgO substrate are presented. Due to its good crystallinity, YbN films exhibit a high electron mobility of 34.6 cm²/V s at 50 K. Mobility decreases with increasing temperature due to the dislocation and acoustic phonon scattering. The carrier concentration of YbN remains high and near constant with respect to temperature change. Resistivity increases with increasing temperature highlighting YbN's degenerate semiconducting nature.

S cm⁻¹ for YbN/Al₂O₃ with the rise in temperature from 340 to 775 K, which follows the increase in the Seebeck coefficient. Consecutively, the thermoelectric power factor increases monotonically, reaching 1.93 mW/m K² for YbN/MgO and 0.68 mW/m K² for YbN/Al₂O₃ for the highest measured temperature of 775 K [see Fig. 4(c)]. The power factor of the YbN films deposited on a sapphire substrate is significantly lower than ScN^{28,29} and compares well with ErN¹⁷. However, the power factor of YbN/MgO is higher than ErN¹⁷ and comparable to ScN^{28,29,34} and CrN³⁵ power factor. Therefore, these measurements show that YbN exhibits a large power factor comparable to the best-known thermoelectric materials, such as SnSe,³⁸ La₃Te₄,³⁹ and SiGe.⁴⁰

With the large carrier concentration and high mobility, YbN thin films are expected to exhibit high-quality and low loss plasmonic responses. Therefore, the real and imaginary components of the dielectric permittivity of films are measured on both substrates with spectroscopic ellipsometry. Results show that the real component of the dielectric permittivity (ε') undergoes a positive-to-negative transition [epsilon-near-zero (ENZ)] at 1950 and 1900 nm for YbN/MgO and YbN/Al₂O₃, respectively. As ENZ wavelengths represent the onset of the metallic character, these results highlight YbN's short-wavelength infrared plasmonic properties. Consequent to the ENZ wavelength, $|\varepsilon'|$ increases monotonically at longer wavelengths due to its increasing metallicity. The magnitude of the imaginary part of the dielectric permittivity (ε'') representing optical loss at the crossover wavelength for YbN/MgO and YbN/Al₂O₃ is 2.64 and 2.40, respectively. These values suggest that the optical losses of YbN at the ENZ wavelength are slightly higher than the ones exhibited by ScN,⁴¹ which has emerged as



FIG. 4. (a) Seebeck coefficient, (b) electrical conductivity, and (c) thermoelectric power factor of YbN film deposited on the (001) MgO and (0001) Al₂O₃ substrates are presented. Seebeck coefficient increases with an increase in temperature and exhibits a maximum of -107.6 and $-147.7 \,\mu$ V/K at 775 K for YbN/MgO and YbN/Al₂O₃. The power factor of YbN/MgO increases with a rise in temperature and exhibits a maximum of 1.93 mW/m K² at 775 K.

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FIG. 5. (a) Real and (b) imaginary part of the dielectric function of YbN on MgO and Al₂O₃ substrates. (c) Angle-dependent reflection of YbN/MgO. Comparison of (d) propagation length (L), (e) figure-of-merit (FOM) of surface plasmon polariton (SPP), and (f) carrier concentration, crossover wavelength, and optical loss at crossover wavelength of YbN on both substrates with AZO, ITO, and GZO.

an alternative plasmonic material for infrared optics. In the 500–600 nm spectral range, because direct bandgap optical transition ε'' shows a peak while ε' exhibits a wiggle pattern because of the Krammer–Kronig relationship. The maximum ε' of 9.54 at 628 nm is consistent with its bandgap of ~2 eV and is comparable to the maximum ε' of ErN and ScN.^{41,42} Angle-dependent reflection measurement of YbN/MgO in Fig. 5(c) shows a clear dip at 1300 nm due to typical *p*-*d* inter-band transitions²² and another dip at plasma wavelength 1950 nm, further verifying the IR plasmonic response in YbN films.

A comparison of the important plasmonic properties of YbN thin films on two different substrates with other IR plasmonic materials like ScN, AZO, ITO, and GZO^{41,43} is presented in Figs. 5(d) and 5(e). In the region beyond the crossover where YbN behaves like a metal, the surface-plasmon-polariton (SPP) propagation length (L) at the YbN-air interface and figure-of-merit (FOM) for SPP (FOM_{SPP}) is calculated from the experimental dielectric permittivity.^{44,45} The propagation length is quite similar, and the FOM_{SPP} is much higher in YbN compared to other infrared IR plasmonic materials. However, Fig. 5(f) shows that optical loss (ε'') value is relatively higher for YbN compared to other IR plasmonic materials, essentially due to lower carrier mobility. Since the carrier mobility depends on the crystallinity of films, it could be increased to reduce the optical loss by altering the deposition conditions or with more advanced deposition techniques, such as molecular beam epitaxy. Therefore, these results suggest that YbN is a promising plasmonic material for short-wavelength infrared spectral range applications. A comparison of various other optical parameters, namely, optical loss, SPP decay length, relaxation time, figure-of-merit for localized SPP resonance, confinement width, and quality factor, is entailed in the supplementary material (see Fig. S5).

In conclusion, a high thermoelectric power factor of 1.93 mW/m K² at 750 K and high-quality short-wavelength infrared plasmonic response are reported in epitaxial rare-earth semiconducting YbN thin

films deposited on (001) MgO substrates. Due to their epitaxial growth and good crystallinity, YbN thin films reported herein exhibit a record high mobility of 23.1 cm²/V s at room temperature. The coexistence of high thermoelectric power factor and plasmonic response in YbN signifies that it could be a promising material for application in resonant thermoelectric nano-photonics. Consequently, they can be utilized for diverse applications, such as telecommunications, security, and sensing devices.

See the supplementary material for the details on sample preparation, HRXRD and FESEM characterization, XPS measurement, and optical, electrical, and thermoelectric characterization.

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AUTHOR DECLARATIONS Conflict of Interest

office of interest

The authors have no conflicts to disclose.

Author Contributions

Mehak Loyal: Conceptualization (supporting); Data curation (lead); Formal analysis (lead); Writing – original draft (lead). **Bidesh Biswas:** Data curation (supporting); Formal analysis (supporting); Validation (supporting); Writing – original draft (supporting). **Prasanna Das:** Data curation (supporting); Formal analysis (supporting); Writing – original draft (supporting). **Bivas Saha:** Conceptualization (lead); Formal analysis (equal); Funding acquisition (lead); Project administration (lead); Writing – review & editing (lead).

DATA AVAILABILITY

The data that support the findings of this study are available from the corresponding author upon reasonable request.

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