

# Sensitivity of Localized Surface Plasmon Resonances to Bulk and Local Changes in the Optical Environment

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Single rod-shaped and disk-shaped gold nanoparticles with sizes ranging from 60 to 162 nm were analyzed using dark-field scattering spectroscopy. The sensitivity of the localized surface plasmon resonance (LSPR) of each nanoparticle to both a bulk and a local change in the refractive index of the environment was obtained by monitoring the change in the spectral position of the LSPR. It was found that the rods were more sensitive to changes in both the local environment and the bulk environment, in particular rods with a length > 110 nm. This behavior was confirmed by finite element modeling of the structures that clearly indicated a saturation of the relative wavelength shift for the disks as the diameter increased whereas the sensitivity of the rods continued to increase linearly with increasing length. This disparity in the behavior of the two types of nanoparticle may in part be attributed to two principal effects associated with the presence of the substrate: first, that the proportion of the surface area of the nanoparticle in contact with the substrate is larger for the disk than for the rod; second, that the LSPR electromagnetic field is more concentrated within the superstrate for the rod compared to the disk. Further analysis of data obtained from modeling a changing local environment indicates that, although the rods are more sensitive, both rods and disks exhibit a similar field confinement.

## Introduction

Gold and silver nanoparticles have been widely studied during the past 20 years owing to their interesting optical properties.<sup>1–4</sup> A resonant oscillation of the conduction electrons within the nanoparticle gives rise to enhanced scattering and absorption of light, typically within the visible/near-infrared region of the electromagnetic spectrum. Referred to as the localized surface plasmon resonance (LSPR), its position in wavelength is dependent on the composition of the nanoparticle, the size and the shape of the nanoparticle,<sup>2,5–7</sup> and nanoparticle interactions.<sup>8,9</sup> Furthermore, it is well-known that when the environment surrounding a nanoparticle is altered in some way the spectral position of the LSPR is altered. It is this last characteristic of the LSPR that has attracted the most interest and research effort since the sensitivity of the LSPR (in particular how far the peak in the LSPR spectrum moves) to a change in nanoparticle environment depends on a number of factors such as size, shape, and composition.<sup>10</sup> Moreover, the volume around the nanoparticle within which an environmental change will induce an LSPR shift extends only a few tens of nanometers from the nanoparticle surface.<sup>11,12</sup> In particular, this very small sensing volume can lead to the application of metallic nanoparticles as biological sensors.<sup>13–17</sup> A further consideration is how best to functionalize a surface for use in biosensing applications. In this respect Au nanoparticles have a number of advantages, principally the gold–thiol (Au–SH) chemistry for surface functionalization. This, coupled with its low absorption relative to other metals in the visible spectral regime, and general robustness, indicates that Au is a good choice as a material for use in plasmonic biosensors.

For simple shapes such as spheres or ellipsoids, the extent of the LSPR wavelength shift is typically between 100 and 200 nm per refractive index unit (RIU) when the bulk medium

surrounding the nanoparticle is changed.<sup>16</sup> A shift per refractive index unit is defined as the shift in nanometers of the LSPR peak that would occur if the refractive index of the bulk medium surrounding the nanoparticle is changed by 1. Recent advances in fabrication procedures have permitted the production of more exotic shapes such as ring structures,<sup>18</sup> star-shaped nanoparticles,<sup>19</sup> and core–shell structures including spherical<sup>20</sup> and elongated rice-shaped nanoparticles.<sup>21</sup> In particular, the star-shaped nanoparticles have LSPRs that are remarkably sensitive, exhibiting a shift of 665 nm/RIU. Although exhibiting an even larger LSPR shift, the rice-shaped nanoparticles have a rather broad resonance—narrow spectral line widths are desirable since for a given shift in the peak position a larger change in signal will be detected compared to a broad resonance.<sup>16</sup> To address the influence of LSPR line width on nanoparticle sensitivity, a figure of merit (FOM) was introduced that is simply the relative shift of the LSPR  $m$  in units of eV/RIU divided by the line width (full width half-maximum (fwhm)) in eV.<sup>22</sup>

$$\text{FOM} = \frac{m}{\text{fwhm}}$$

Although going some way to indicating optimum nanoparticle design, this approach does not take into account how the intensity of the detected light changes when the external environment is altered. For instance, if the radiation pattern of a nanoparticle changes, the amount of light detected may be altered, particularly in measurements where only scattered light is detected. In addition, when using the FOM calculation there is no consideration of how a thin layer may influence the position of the LSPR—some nanoparticles may be more sensitive to a change in the environment local to the nanoparticle than others.<sup>11,23</sup> The local sensitivity is determined by how confined the enhanced electromagnetic field associated with the LSPR is to the surface of the nanoparticle and varies according to the size and shape of the nanoparticle.

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Some interesting questions arise when one considers which are the factors that cause the variation in the sensitivity of the LSPR position to an external change. First, to what extent is the electromagnetic field confinement influenced by increasing curvature at a surface?<sup>24</sup> It has been observed that for nanoparticles composed of a single material it is those with the sharpest tips that exhibit the highest sensitivity (largest relative shift), such as star-shaped nanoparticles.<sup>19</sup> Second, with substrate-supported nanoparticles what proportion of the LSPR electromagnetic field is distributed within the substrate? If this is increased for some nanoparticles compared to others, then the relative sensitivity of the LSPR would be reduced.<sup>18</sup> It has been shown that substrate supported nanoparticles are less sensitive to a bulk change than nanoparticles in a homogeneous environment because some of the electromagnetic field associated with the LSPR is contained within the substrate.<sup>25</sup> Also, nanoparticles embedded in a polymer matrix are less sensitive for similar reasons.<sup>26</sup> Third, how much influence do the intrinsic material properties of the nanoparticle (such as the relative permittivity) have in dictating the nanoparticle sensitivity? The way in which the real and imaginary parts of the relative permittivity of Au and Ag vary with wavelength/frequency will influence the overall sensitivity of the LSPR.<sup>27</sup> Indeed, for nanoparticles embedded within a homogeneous medium and with a size <120 nm numerical modeling techniques supplemented by simple electrostatic analysis have been used to suggest that it is solely the spectral position of the LSPR that dictates its sensitivity to an external change.<sup>27</sup>

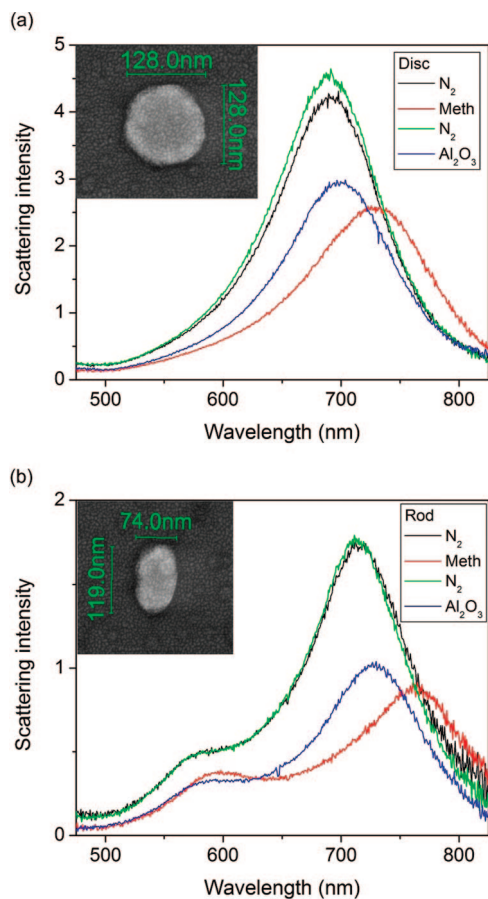
There are two kinds of change in the environment of a nanoparticle that are of interest: (1) a bulk change, when the entire environment of the nanoparticle is changed, and (2) a local change, for example when a thin layer of material is deposited onto the nanoparticle. The latter definition has particular significance within biosensing, where typically either direct adsorption of molecules onto a nanoparticle or adsorption onto a receptor or host molecule induces the LSPR shift. In these types of experiment the location of a binding event can have a significant influence upon the size of this shift; if the target molecule binds at the center of the nanoparticle where the electromagnetic field intensity is relatively low, a smaller shift will be induced than if the target molecule binds at, for instance, the tips of a triangular nanoparticle where the field is most intense.<sup>28</sup> For clarity, here we consider thin to be of the same order as the decay length of the electromagnetic field associated with the LSPR, typically a few tens of nanometers. Interference effects in layers with a thickness approaching that of an optical path length may also lead to LSPR shifts.<sup>12,29</sup> While a nanoparticle that exhibits a high sensitivity to a bulk change may indicate a high sensitivity to a local change, it has been shown previously that it is possible for nanoparticles with a moderate bulk sensitivity to exhibit a local sensitivity comparable to or exceeding that of nanoparticles with a higher bulk sensitivity.<sup>11</sup> Therefore, to determine fully the effectiveness of a nanoparticle as a sensor, it is necessary to evaluate both the bulk and local sensitivities to a change in environment. Moreover, determining how these sensitivities depend upon nanoparticle size and shape by adopting a consistent and systematic approach is also required since even subtle variations in the structure and composition of both the nanoparticle and the coating can have a dramatic effect upon the LSPR spectral characteristics. In this paper we describe experiments that, in combination with numerical modeling, allow us to further understand the factors that dictate both a particle's bulk and local sensitivity.

A large number of single nanoparticles with various sizes and shapes were fabricated by electron beam lithography (EBL) and optically characterized using dark-field spectroscopy. Scattering spectra from each individual nanoparticle were obtained for a bulk change as follows: (i) in a nitrogen environment; (ii) when immersed in methanol. Scattering spectra were obtained for a local change as follows: (i) in a nitrogen environment; (ii) after coating with a 2 nm layer of aluminum oxide (Al<sub>2</sub>O<sub>3</sub>; also obtained in a nitrogen environment). From these data the relative shifts upon immersion in solvent and upon coating with the thin Al<sub>2</sub>O<sub>3</sub> layer were found, and then compared by plotting the data with respect to the position of the LSPR associated with the uncoated nanoparticle in nitrogen. This is important since for nanoparticles up to a size of 130 nm the bulk sensitivity has been found to depend only upon the initial position of the resonance and how the relative permittivity of the metal varies at this wavelength.<sup>27</sup> This means that in this range of particle sizes the size of the spectral shift due to a bulk change is effectively shape-independent—changing shape or aspect ratio simply tunes the LSPR spectral peak to different initial positions. Finite element modeling of the optical response of nanoparticles was also undertaken to provide a rigorous analysis of the experimental data by reproducing theoretically the relative shift of the LSPRs for both a bulk change and local change to the environment.

## Experimental Section

Substrate-supported Au nanoparticles were fabricated by EBL using a FEI Nova 600 dual-beam system. A poly(methyl methacrylate) (A2 PMMA, 950K molecular weight) resist was spin-coated onto a glass coverslip (No. 0, Agar Scientific) and then coated with a 10 nm thick layer of Au to provide a conducting layer to avoid charging of the substrate during the electron beam exposure. Following exposure, the Au conducting layer was removed using commercial Au etchant and the exposed PMMA was developed in a 9:1 solution of IPA:water for 60 s. Finally, 40 nm of Au was evaporated onto the substrate and, following lift-off of the PMMA resist, Au nanoparticles ranging in size from 60 to 162 nm remained. Each nanoparticle was separated from its neighbors by a distance of 10 μm to enable single particle spectra to be easily obtained and to prevent interparticle interactions.

Prior to the optical measurements being carried out, the nanoparticles were chemically annealed by immersion in methanol for a period of 24 h to stabilize the nanoparticle morphology. Subtle changes in shape can occur when nanoparticles are exposed to solvents that would result in anomalous LSPR shifts not solely due to a change in refractive index of the nanoparticle environment.<sup>30</sup> After annealing, the nanoparticles were dried in nitrogen and inserted into a flow cell consisting of two glass plates separated by ~50 μm. After further drying in nitrogen, dark-field spectra were obtained using a Nikon TE2000u microscope with inverted illumination and collection through a ×100 dark-field dry objective. In this configuration light from a 100 W halogen bulb is incident on the particle over an angular range of 53–72°. Light that was scattered by the nanoparticles was collected by the central portion of the lens and directed toward the entrance slit of a spectrometer. Attached to the exit port of the spectrometer was a CCD array that collected the dispersed light, thereby allowing spectra to be obtained from nine nanoparticles simultaneously. Further spectra were taken with the nanoparticles immersed in methanol and, after drying, a second set of spectra in nitrogen acquired to check that no further annealing had taken place.



**Figure 1.** Dark-field scattering spectra obtained from disk-shaped (a) and rod-shaped (b) nanoparticles. Spectra correspond to uncoated nanoparticles immersed in nitrogen (black and green), methanol (red), and coated nanoparticles in nitrogen (blue). Insets show SEM images of the nanoparticles. The shoulder at wavelengths between 570 and 600 nm in (b) is due to the LSPR associated with the short axis.

Following this step, the nanoparticles were stored under vacuum prior to deposition of a layer of aluminum oxide. This was achieved by atomic layer deposition using a FlexAL system (Oxford Instruments) operating in thermal deposition mode. In this process reactants are pulsed through a heated chamber at 60 °C, resulting in the deposition of a layer of dielectric the thickness of which is determined by the number of pulse cycles. Each cycle deposited a layer of  $\text{Al}_2\text{O}_3$  with a thickness of 0.9 Å, so by running the process for 23 cycles a total layer thickness of 2.1 nm was deposited. The two main advantages of using  $\text{Al}_2\text{O}_3$  as opposed to self-assembled monolayers are that the refractive index can be estimated using ellipsometry and that the coating is entirely conformal with the surface of the nanoparticle. Both of these issues are less well-defined in the case of molecular binding to surfaces. Furthermore, by measuring the scattering response from individual nanoparticles that are all within an overall area of 200  $\mu\text{m}^2$ , any variability in the coating across the sample area is reduced.

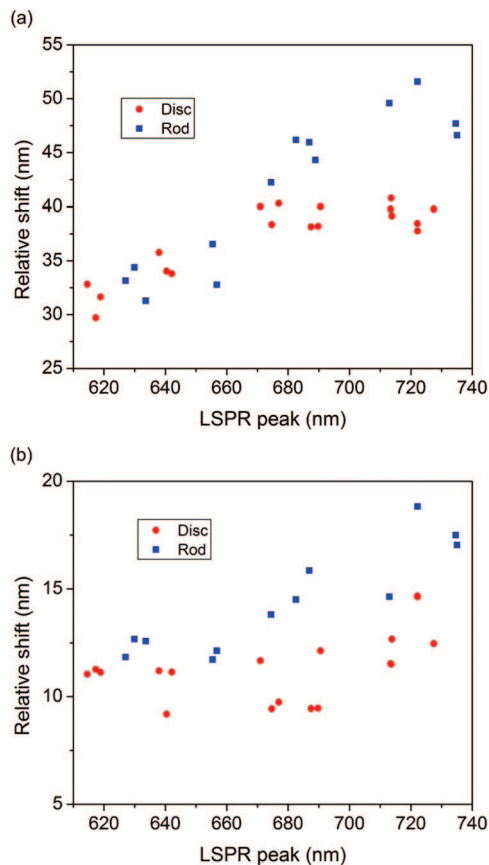
## Results and Discussion

Scanning electron microscope (SEM) images are shown in Figure 1 of Au nanoparticles after coating with  $\text{Al}_2\text{O}_3$ : (a) a disk with a diameter of 128 nm; (b) a rod with in-plane dimensions of 119 nm  $\times$  74 nm. All of the nanoparticles fabricated for this study had a height of 40 nm as measured during evaporation of the Au using a calibrated quartz crystal thickness monitor. The nanoparticles were composed of multiple

grains of single crystal Au; however, the small grains shown in the images are those of a 0.5 nm coating of Au–Pd that was used to provide a conductive coating required for imaging.

The dark-field spectra of the nanoparticles shown in the SEM images are also shown in Figure 1. The black and green lines correspond to bare nanoparticles in a nitrogen environment before and after immersion in methanol, respectively; the red line is the spectrum for the same nanoparticle but now in a methanol environment, again with the nanoparticle bare; the blue line corresponds to a nitrogen bulk environment, but with the nanoparticle now coated with the  $\text{Al}_2\text{O}_3$ . As expected, a red shift occurs when the environment is altered by introducing material with a higher refractive index for both bulk and local changes. A second effect is a significant reduction in the intensity of the scattered light that is collected by the objective lens. This change is surprisingly large even for the very thin coating of  $\text{Al}_2\text{O}_3$  deposited onto the nanoparticles and substrate, and is the opposite of what one would expect from Mie theory calculations of similarly sized coated and uncoated spheres. The scattering cross section of Au nanoparticles calculated using Mie theory increases when the refractive index of the bulk medium is increased or a thin coating is introduced.<sup>2,31</sup> This apparent discrepancy is due to the asymmetric environment being studied here; Mie theory considers a homogeneous environment whereas in the experiment light is incident upon a nanoparticle supported by a substrate. All of the nanoparticles were characterized by obtaining SEM images and then correlating these images with the dark-field spectra. For each set of spectra the position of the LSPR peaks were found by a b-spline curve-fitting procedure. Subtracting the LSPR peak position of the uncoated nanoparticle in nitrogen from that of the uncoated nanoparticle in methanol yields the bulk shift as shown in Figure 2a. Repeating this for the coated nanoparticle in nitrogen yields the local shift as shown in Figure 2b. In both cases the relative shift is plotted as a function of the wavelength of the LSPR in nitrogen since this allows a direct comparison between individual nanoparticles—the dispersion of the gold permittivity is accounted for in this way.<sup>27</sup> If the relative shift was plotted as a function of nanoparticle size, then a comparison between sets of differently shaped nanoparticles would be compromised; a rod with a length equivalent to the diameter of a disk would have a LSPR located at a longer wavelength and therefore the value and dispersion of the relative permittivity would be different at the LSPR position for the rod compared to the disk. From the data shown in Figure 2 it is seen that in general the rod-shaped nanoparticles are more sensitive than the disk-shaped nanoparticles for a bulk change and also a local change in refractive index. This is particularly clear for nanoparticles with the longest LSPR wavelengths (largest dimensions).

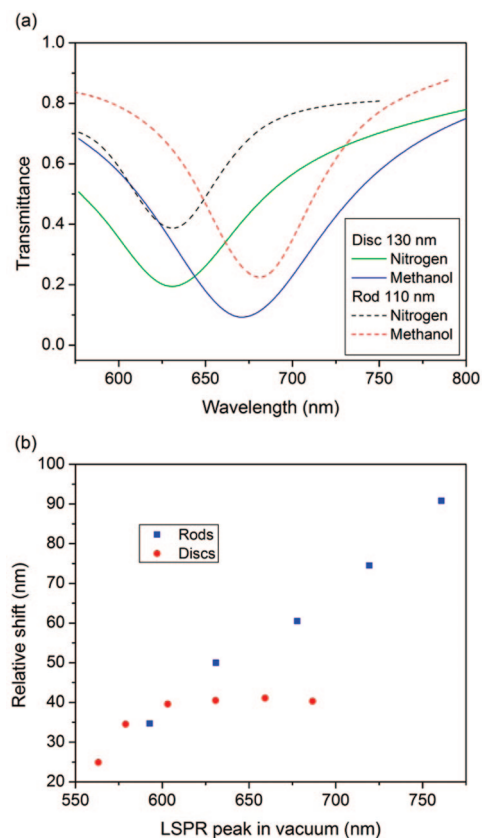
To confirm these results, that rods are more sensitive than disks, the optical response of the nanoparticles was simulated using a finite element modeling package.<sup>32</sup> To simplify the modeling and to prevent spurious effects that arise from including a substrate when using the HFSS package for modeling single nanoparticles, transmittance spectra from infinite arrays of nanoparticles were calculated rather than scattering spectra from single nanoparticles. Example transmittance spectra from the modeling are shown in Figure 3a obtained for an array of rods with a length of 110 nm and an array of disks with a diameter of 130 nm. In all cases the pitch of the array in the model was 300 nm. In both models the LSPR is blue-shifted relative to the experimental data shown in Figure 1; this is perhaps due to a suppression of the radiative damping



**Figure 2.** Relative wavelength shift of the LSPR plotted as a function of LSPR peak position in nitrogen for (a) bulk change (nitrogen to methanol) and (b) local change (2 nm coating of aluminum oxide).

owing to the periodic nature of the structure considered in the model. A better match between the experimental and modeled resonance positions for larger nanoparticle sizes can be obtained by increasing the periodicity of the array. However, in particular for the LSPRs associated with the smaller nanoparticles, as the periodicity is increased diffraction into the substrate occurs within the spectral region of interest that can result in anomalous spectral shifts due to interactions between adjacent nanoparticles that would not be observed for single nanoparticles.<sup>33–35</sup> By choosing a pitch of 300 nm the nanoparticles are far enough apart for near-field interactions to be negligible and close enough to ensure that these anomalous diffraction effects are not present.

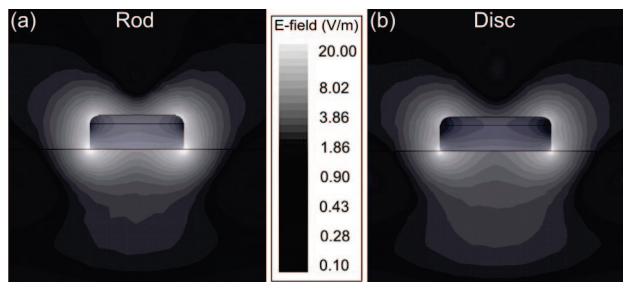
As with the experimental study, numerical data were obtained for nanoparticles with a variety of sizes. For each model the relative shift was obtained for a bulk change and for a local change in the environment surrounding the substrate-supported nanoparticle. Within the model a bulk change was incorporated by adjusting the medium surrounding the nanoparticle to have a refractive index of  $n_{\text{bulk}} = 1.33$ . To simulate a local change to the environment, a continuous layer was introduced to surround the nanoparticle and also coat the substrate. The refractive index of the layer was taken to be  $n_{\text{loc}} = 1.49$ , the same as that measured experimentally using ellipsometry for the  $\text{Al}_2\text{O}_3$  layer. Collated data illustrating how the bulk sensitivity of the LSPR changes as the peak position of the LSPR is varied by increasing the nanoparticle size are shown in Figure 3b. At shorter wavelengths the disk and rod shapes have comparable sensitivities. However, as the LSPR in nitrogen red shifts (as nanoparticle size increases), the sensitivity of the disk lags behind that of the rod. For a disk with a diameter of 130 nm the relative shift has saturated to a value of  $\sim 40$  nm. However, the rod-shaped



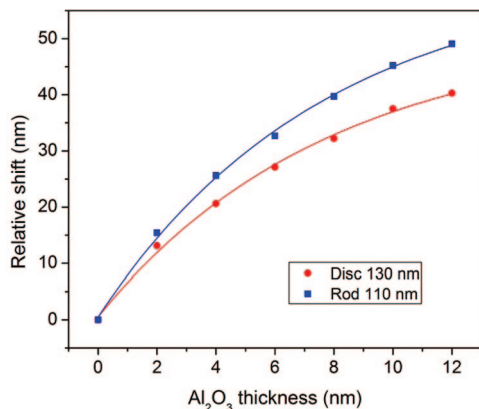
**Figure 3.** (a) Normal incidence transmittance spectra obtained using finite element modeling of an array of rods with a length of 110 nm (dashed lines) and disks with a diameter of 130 nm (solid lines). Spectra were obtained in nitrogen and methanol environments, as indicated. (b) Relative shift of the LSPR upon a change in the bulk environment (nitrogen to methanol) plotted against LSPR peak position in vacuum for rods (blue squares) and disks (red circles). These data should be compared with the experimentally derived data in Figure 2a.

nanoparticles have a sensitivity that continues to increase linearly with nanoparticle size and LSPR position. As described earlier, this difference in the behavior of the two shapes of nanoparticle is in contrast to what is expected for solid nanoparticles in a homogeneous environment where modeling of nanoparticles up to a size of 120 nm has shown that the bulk sensitivity is independent of the shape of the nanoparticle.<sup>27</sup> For the nanoparticles studied here that is certainly not the case.

In considering these results we note three key points. First, for a nanoparticle supported on a substrate the presence of the substrate will reduce the sensitivity when compared to an unsupported nanoparticle because a proportion of the sensing volume is now contained within the substrate. If, for nanoparticles of different shapes, the proportion of the sensing volume that is available to undergo a change is different, then their sensitivity will also be different. To explore how the substrate influences the sensitivity of the nanoparticle to their environment, the time-averaged scattered electric field was plotted across a plane aligned with the center of the nanoparticle and the plane of polarization. This is shown in Figure 4a and Figure 4b for a 110 nm rod and a 130 nm disk, respectively. It can be seen that the electric field extends further into the substrate for the disk than for the rod and that the proportion of the electric field associated with the LSPR within the substrate is also greater. Further modeling (data not shown) indicates that the fraction of the field in the substrate is  $\sim 40\%$  for the disk and



**Figure 4.** Time-averaged plot of the total electric field obtained from a section through the center of a rod (a) and a disk (b). In both cases the cross section corresponds to the plane of polarization of the incident light. Incident field amplitude was 1 V/m.



**Figure 5.** Relative shift plotted against thickness of aluminum oxide coating obtained using finite element modeling for a rod with a length of 110 nm (blue squares) and a disk with a diameter of 130 nm (red circles). Solid lines are exponential fits to data points.

~37% for the rod. This seems to be a subtle effect and is unlikely to fully describe the discrepancy between disks and rods.

Second, the surface area in contact with the substrate will also affect the sensitivity—for nanoparticles with a given LSPR position a disk will have a greater surface area in contact with the substrate than a rod. For the disk typically ~32% of the area is in contact with the substrate; in the case of the rod it is ~27%. From this it may be inferred that the active proportion of the sensing volume for the disk would therefore be smaller.<sup>18,25</sup> This leads to a better agreement with the observed behavior since as the nanoparticle size increases the difference in the proportion of contact surface area also increases. However, there are two features of the data in Figure 3b that indicate that this is a simplified interpretation. For smaller nanoparticles the numerical modeling indicates that disks are more sensitive than rods—this is the opposite of what would be expected by simply considering surface area. Also, the sensitivity of the disks saturates, implying that the rate of increase in the proportion of contact surface area should be increasing linearly—it does not. Further modeling is being undertaken to investigate these discrepancies more fully to ascertain what other effects may contribute to the suppression of the LSPR shift for disks.

Third, for local sensitivity the decay length characteristics of the LSPR field profiles are important in determining the relative shift—the level of confinement of the enhanced field associated with the LSPR will partly determine the sensitivity of the LSPR. To see whether there is a greater confinement of the LSPR field at the surface for the rods compared to the disks, a 110 nm rod and a 130 nm disk were modeled with a coating of Al<sub>2</sub>O<sub>3</sub> with the thickness varied from 2 to 12 nm in 2 nm

steps. These data are shown in Figure 5, where the relative shift is plotted against coating thickness. As in the experiment, it is seen that the rod is more sensitive than the disk throughout. However, is there a difference in how quickly the induced shift approaches saturation, thereby giving an indication of how confined the field is to the surface of the nanoparticle? By fitting a single exponential to the data, it is possible to obtain an approximate value for the characteristic decay length of the field into the external medium. The values are very similar for both the rod and the disk ( $7.7 \pm 0.6$  nm for the rod and  $7.8 \pm 0.8$  nm for the disk) indicating that, despite having a smaller radius of curvature at the ends of the rod, the confinement of the field is similar for these particles.

## Conclusion

In this paper results from experiments and finite element modeling show that, for the most part, rod-shaped Au nanoparticles supported by a substrate are more sensitive to an environmental change than disk-shaped nanoparticles. This becomes particularly clear when the LSPR spectral position of a substrate-supported nanoparticle in nitrogen becomes  $>625$  nm. This difference in sensitivity is not predicted by simulations or electrostatic theory for nanoparticles embedded in a homogeneous environment.<sup>27</sup> We therefore attribute the disparity in sensitivity to two principal effects associated with the presence of the substrate. First, the proportion of the surface area of the nanoparticle in contact with the substrate is larger for the disk than for the rod, and second, the proportion of the LSPR electromagnetic field in the superstrate that dictates the overall sensing volume is increased for the rod compared to the disk. Despite the rods being more sensitive than the disks to a change in the bulk environment, it is shown that the field decay length into the superstrate is similar for a rod and disk with the same initial LSPR position.

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