Goos-Hänchen lateral displacements and angular deviations: When these optical effects offset each other

For optical beams, transmitted by a right angle prism, the Goos-Hänchen shift can never be seen as a pure effect. Indeed, the lateral displacement, caused by the total internal reflection, will always be accompanied by angular deviations generated by the transmission through the incoming and outgoing interfaces. This combined effect can be analysed by using the Taylor expansion of the Fresnel coefficients. The analytic expression found for the transmitted beam allows to determine the beam parameters, the incidence angles, and the axial distance for which lateral displacements are compensated by angular deviations. Proposals to optimize experimental implementations are also briefly discussed.

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**I. Introduction**

The interaction between optical beams and dielectric blocks has always been the subject of great interest, leading, in the past, to formulate the well-known laws of geometric optics [1–3]. In the last century, new phenomena like Goos-Hänchen shift [4,5,7–9] and angular deviations [10] showed that the optical path predicted by geometric optics only represents an approximation to the real one. Theoretical studies have been undertaken in order to understand in which situations lateral displacements and angular deviations can be amplified and then observed in the laboratory. The omnipresence of these phenomena [11–15] also stimulated their application in technology [16–18].

In 1947, Goos and Hänchen [4] were the first researchers to experimentally observe the lateral displacement of optical beams transmitted, after many internal reflections, by a dielectric block. The experimental result, today known as Goos-Hänchen shift, was, one year later, explained by Artmann [5]. Artmann’s observation was that multiple plane waves, contributing to the final electromagnetic field, have rapidly varying phases that cancel each other out. Total internal reflection is indeed characterized by a complex Fresnel coefficient. The stationary condition gives the main term of the phase which is responsible for the additional phase generating the lateral shift in the optical path [6]. The divergence in the Artmann formula was later removed [7,8].

Recently, for incidence in the critical region, an analytical formula, based on the modified Bessel functions, was proposed in [9] and, some years later, experimentally confirmed [19].

In 1973, Ra, Bertoni and Felsen [10] introduced the phenomenon of angular deviation. This phenomenon appears both for transmission (in this case, we have deviations from the refraction angle predicted by the Snell law) and partial reflection (in this case, we find deviations from the reflected angle predicted by the reflection law). This phenomenon is due, essentially, to the symmetry breaking of the Gaussian distribution caused by the Fresnel coefficients modulating the Gaussian distribution in the integral form of the transmitted and reflected beams.

Angular deviations and Goos-Hänchen shifts have been investigated in great detail in different fields, not only in optics [11–13,16,18] but also in seismic data analysis [14,15]. In the critical region, lateral displacements and angular deviations generate oscillatory phenomena, theoretically predicted in [20] and, recently, experimentally confirmed in [21,22].

In this article, we analyse the combined effect of the angular deviations (caused by the transmission through the incoming and outgoing triangular prism interfaces) and the Goos-Hänchen shift (caused by the total internal reflection). The study is done outside the critical region. This choice is justified because, outside the critical region, we have the possibility to find an analytic expression for the transmitted beam by using the Taylor expansion of the Fresnel coefficients and, consequently, determine the beam parameters, the in-
incident angles, and the axial distance for which angular deviations compensate Goos-Hänchen lateral displacements. The integral form of the beam transmitted through a dielectric prism, see Fig. 1(a), is characterised by three Fresnel coefficients: the ones corresponding to the transmission at the left (air/dielectric) and right (dielectric/air) interfaces and the one corresponding to the total internal reflection at the lower (dielectric/air) interface. The upper transmitted beam is, thus, the perfect candidate to study the combined effect of angular deviations and Goos-Hänchen shifts. In the next section, we fix our notation, introduce the Fresnel coefficients, and calculate the phase of the optical beams. The integral form of the (upper) transmitted beam cannot be analytically solved, so we use the Taylor expansion of the Fresnel coefficients and of the optical phase to obtain a closed form for the transmitted beam. By using this analytic approximation, we obtain a cubic equation which allows to determine the peak position of the transmitted beam. In a previous paper [23], based on this cubic equation, we studied the phenomenon of pure angular deviations, this implies incidence angle below the critical one. In this paper we analyse incidence greater than the critical one. This allows to investigating both angular deviations and Goos-Hänchen displacements (only present in the case of total internal reflection). In this incidence region, it is thus possible to study when these optical effect offset each other. Discussions, conclusions, and proposals for experimental implementations appear in the final sections.

II. The incident beam

Let us introduce the integral form of the incident beam

\[ E^{\text{inc}}(r) = E_0 \int dk_x \int dk_y \, G(k_x, k_y) \, e^{i k \cdot r}, \quad (1) \]

where

\[ G(k_x, k_y) = \frac{w_0^2}{4 \pi} \exp \left[ - \left( k_x^2 + k_y^2 \right) \frac{w_0^2}{4} \right] \]

is the Gaussian wave number distribution, and

\[ k \cdot r = k_x x + k_y y + k_z z \]

is the optical phase with \(|k| = 2 \pi / \lambda\). By using the paraxial approximation,

\[ k_z \approx |k| - \left( k_x^2 + k_y^2 \right) / 2 |k|, \]

the integral in Eq. (1) can analytically be solved leading to the following closed expression for the incident Gaussian beam

\[ E^{\text{inc}}(r) = E_0 \frac{e^{i |k| z}}{1 + i z / z_n} \exp \left[ - \frac{x^2 + y}{w_0^2 (1 + i z / z_n)} \right], \quad (2) \]

where \(z_n = \pi w_0^2 / \lambda\) is the Rayleigh axial range and \(w_0\) the beam waist. The beam intensity is then given by

\[ I^{\text{inc}}(r) = I_0 \frac{w_0^2}{w(z)^2} \exp \left[ -2 \frac{x^2 + y^2}{w^2(z)} \right], \quad (3) \]

where \(I_0 = E_0^2\) and \(w(z) = w_0 \sqrt{1 + (z/z_n)^2}\).
III. The optical phase

In the integral form of optical beams, an important role is played by the optical phase responsible for the optical path of the beam. In order to calculate the optical phase of the (upper) transmitted beam, it is useful to introduce the coordinate system corresponding to the incident and transmitted beams and the ones corresponding to the left, right, and lower interfaces, see Fig.1(b),

\[
\left( \begin{array}{c} x \\ z \end{array} \right) = M(\theta) \left( \begin{array}{c} x \\ z \end{array} \right) = M(\frac{\pi}{4}) \left( \begin{array}{c} x_s \\ z_s \end{array} \right) = M(\theta) \left( \begin{array}{c} x_{tra} \\ z_{tra} \end{array} \right),
\]

where \( M(\theta) = \{ \cos \theta, -\sin \theta \}, \{ \sin \theta, \cos \theta \} \) represents the anti-clockwise rotation matrix. The optical phase corresponding to the beam propagating from the source to the first interface is given by

\[\mathbf{8} \rightarrow \mathbf{1} : \quad k_x x + k_z z = k_{\tilde{x}} \tilde{x} + k_{\tilde{z}} \tilde{z}, \]

where

\[
\left( \begin{array}{c} k_{\tilde{x}} \\ k_{\tilde{z}} \end{array} \right) = M(\theta) \left( \begin{array}{c} k_x \\ k_z \end{array} \right).
\]

After transmission through the left (air/dielectric) interface, the beam moves into the dielectric, towards the lower (dielectric/air) interface with the following optical phase

\[\mathbf{1} \rightarrow \mathbf{2} : \quad q_{\tilde{x}} \tilde{x} + q_{\tilde{z}} \tilde{z} = q_x x_s + q_z z_s, \]

where

\[
\left( \begin{array}{c} q_{\tilde{x}} \\ q_{\tilde{z}} \end{array} \right) = M(\frac{\pi}{4}) \left( \begin{array}{c} q_x \\ q_z \end{array} \right),
\]

with

\[q_{\tilde{x}} = k_{\tilde{x}} \quad \text{and} \quad q_{\tilde{z}} = \sqrt{n} |k| - q_x - k_x^2.\]

The beam is then reflected back and moves between the lower and right interface with an optical phase given by

\[\mathbf{2} \rightarrow \mathbf{3} : \quad q_{\tilde{x}} x_s - q_{\tilde{z}} z_s = q_x \tilde{x} + q_z \tilde{z}.\]

Finally, in the integral form of the (upper) transmitted beam appears, as expected, the following optical phase

\[\mathbf{3} \rightarrow \mathbf{C} : \quad k_{\tilde{x}} \tilde{x} + k_{\tilde{z}} \tilde{z} = k_x x_{tra} + k_z z_{tra}.\]

IV. The upper transmitted beam

Once obtained the optical phase of the upper transmitted beam, we can write its integral form:

\[
E_{pol}^{(tra)}(r_{tra}) = E_0 \int dk_x dk_z G_{pol}^{(tra)}(k_x, k_z) e^{ik \cdot r_{tra}}, \quad (4)
\]

where \( r_{tra} = (x_{tra}, y, z_{tra}) \) and

\[
G_{pol}^{(tra)}(k_x, k_z) = T_{pol}(k_x, k_z) G(k_x, k_z),
\]
with

$$T_{pol}(k_x, k_y) = \frac{4 k_x q_x}{(a_{pol} k_x + q_x/a_{pol})^2} \frac{q_y/a_{pol} - a_{pol} k_y}{q_y/a_{pol} + a_{pol} k_y} \times \exp\{i[q_x d \sqrt{2} + (q_y - k_z)(l - d)]\},$$

($a_{tm} = n$ and $a_{se} = 1$). The additional phase appearing in the Fresnel coefficients is due to the fact that the discontinuities at the air/dielectric and dielectric/air interfaces are located at different points. This phase is responsible for the optical path predicted by geometric optics.

In order to integrate Eq.(4), we use the first order Taylor expansion of the transmission coefficient, i.e.

$$T_{pol}(k_x, k_y) = T_{pol}(0, 0) \left[ 1 + \beta_{pol} \frac{k_x}{|k|} \right] \times \exp[-i k_x x_{Snell}],$$

where

$$T_{pol}(0, 0) = \frac{4 n \cos \theta \cos \psi}{(a_{pol} \cos \theta + n \cos \psi/a_{pol})^2} \times \frac{n \cos \varphi/a_{pol} - a_{pol} \cos \phi}{n \cos \varphi/a_{pol} + a_{pol} \cos \phi} \times \exp\{i n \cos \varphi d \sqrt{2} + (n \cos \psi - \cos \theta)(l - d)|k|\}$$

and

$$x_{Snell} = (\tan \psi \cos \theta - \sin \theta) l + (\cos \theta + \sin \theta) d.$$
The linear term, i.e. contribution of (4) can be replaced by the total internal reflection. Observing that the critical one and for the Goos-Hänchen shift in the case of the breaking of the Gaussian symmetry for incidence below 0◦, consequently we obtain the following contribution

\[ T_{\text{pol}}(0,0) \times E^{[\text{inc}]}(\bar{\mathbf{r}}_{\text{tra}}). \]

The analytical expression, for the upper transmitted beam, is then given by

\[ E^{[\text{tra}]}_{\text{pol}}(\bar{\mathbf{r}}_{\text{tra}}) = \left[ 1 + 2i \frac{\beta_{\text{pol}} \bar{x}_{\text{tra}}}{|k| w_0^2 (1 + i z_{\text{tra}}/z_R)} \right] \times T_{\text{pol}}(0,0) \times E^{[\text{inc}]}(\bar{\mathbf{r}}_{\text{tra}}). \]

Finally, after algebraic manipulations, we find

\[ E^{[\text{tra}]}_{\text{pol}}(\bar{\mathbf{r}}_{\text{tra}}) = \left( 1 + i \frac{\beta_{\text{pol}} z_{\text{tra}} + z_{\text{tra}}}{z_R} \right) \times \frac{T_{\text{pol}}(0,0)}{1 + i z_{\text{tra}}/z_R} \times E^{[\text{inc}]}(\bar{\mathbf{r}}_{\text{tra}}). \]

In order to check the validity of our analytical approximation, let us briefly analyse what happens near the critical incidence region. The critical angle is found when \( n \sin \varphi_c = 1 \), this implies a critical incidence at

\[ \theta_c = \arcsin \left[ \left( 1 - \sqrt{n^2 - 1} \right) / \sqrt{2} \right]. \]

In Fig. 2, we plot the the (upper) transmitted beam shift of the maxima with respect to the path predicted by geometric optics. This is done by numerically integrating Eq. (4). The
where
\[ a_{\text{pol}} = 2 \left( \gamma_{\text{pol}}^{[2]} \delta_{\text{tra}} + \beta_{\text{pol}}^{[1+3]} \zeta_{\text{tra}} \right) \left( \gamma_{\text{pol}}^{[2]} + \beta_{\text{pol}}^{[1+3]} \right)^2 \frac{w_0}{w} \]
\[ b_{\text{pol}} = \frac{w^2(z)}{w_0^2} \left[ \frac{z_{\text{tra}}^2}{w} \left( \gamma_{\text{pol}}^{[2]} + \beta_{\text{pol}}^{[1+3]} \right) \right] \left( \gamma_{\text{pol}}^{[2]} + \beta_{\text{pol}}^{[1+3]} \right)^2 \frac{w_0^2}{w} - \frac{1}{2} \]
\[ c_{\text{pol}} = \frac{w^2(z)}{w_0^2} \left( \gamma_{\text{pol}}^{[2]} \delta_{\text{tra}} + \beta_{\text{pol}}^{[1+3]} \zeta_{\text{tra}} \right) \left( \gamma_{\text{pol}}^{[2]} + \beta_{\text{pol}}^{[1+3]} \right)^2 \frac{w_0^2}{w} . \]

This equation allows to calculate and compare the lateral displacements in region III. When the GH shifts dominate no axial dependence can be seen. When the angular deviations become comparable with GH shifts an axial dependence is seen in the lateral displacements.

Eq. (9) can be reduced to a linear equation by observing that \( x_{\text{tra}} \ll w \) and that \( b_{\text{pol}} \gg a_{\text{pol}} \) for axial distance \( z_{\text{tra}} \ll z_{\text{R}} / w_0 \). The lateral displacement of the maximum is then given by

\[ x_{\text{tra}}^\text{(max)} = c_{\text{pol}} w_0 / b_{\text{pol}} \approx \frac{\gamma_{\text{pol}}^{[2]} + \beta_{\text{pol}}^{[1+3]} \zeta_{\text{tra}} / z_{\text{R}}}{|k|} , \]

where the axial independent term, proportional to \( \lambda \), represents the pure GH shift [4,5] and the axial dependent the angular deviations due to the Fresnel transmission modulation of the Gaussian wave number distribution.

Near the critical region,
\[ \theta = \theta_c + \delta / |k| w_0 \quad [\delta \geq 4] , \]
we have
\[ n^2 \sin^2 \varphi - 1 \approx 2 \cos \varphi \cos \varphi \delta / |k| w_0 . \]

In the example analysed in this paper, i.e. \( \lambda = 532 \text{ nm} \) and \( w_0 = 100 \mu \text{ m} \), \( \delta \geq 4 \) implies and incidence angle greater than \( \theta_c + 0.2 ^\circ \). Observing that
\[ \beta_{\text{pol}}^{[1+3]} \ll \gamma_{\text{pol}}^{[2]} \propto |k| w_0 , \]
and using the approximated expression for the \( \gamma \) factors, we obtain
\[ x_{\text{tra}}^\text{(max)} = \frac{\sigma_{\text{pol}}}{n} \left( \frac{2 \cos \theta_c \sin \varphi \cos \varphi}{\delta} \right) \frac{w_0}{|k|} , \]
with \( \{ \sigma_{\text{te}}, \sigma_{\text{tm}} \} = \{ 1, n^2 \} \). Clearly the axial dependence has been removed and this agrees with the numerical calculation shown in Fig. 2, see region III at the right of the black zone. In this region, Eq. (11) also contains the well known \( \sqrt{|k| w_0} \) amplification for the GH shift, for details see refs. [9,24]. The \( \sigma \) factor is, finally, responsible for a further amplification of \( n^2 \) for the transverse magnetic wave, see the scale in Fig. 2 (a) and (b).

For transverse magnetic waves, the pure Goos-Hänchen shift is found for incidence at the Brewster angle, i.e.
\[ \beta_{\text{tra}}^{[1+3]} = 0 \Rightarrow \theta = \theta_B = \arctan n , \]
Two types of displacements characterize the transmission path predicted by geometric optics stimulated, in the last see Fig. 4(a). For a given axial distance, from Eq. (10), we can obtain the incidence angle for which the GH shift is compensated by the angular deviation. For example, for a camera positioned at an axial distance of 4, 8, 12, 16, 20 cm, for the optical beam considered in this paper, we find incidence angles of 69.86°, 66.65°, 64.89°, 63.72°, 62.87° for transverse magnetic waves, see Fig. 3(a), and of 68.36°, 62.37°, 58.37°, 55.32°, 52.82° for transverse electric waves, see Fig. 3(b). Eq. (10) can be also used to find, for a given incidence angle, the axial distance for which GH lateral displacements and angular deviations offset each other,

$$z_{\text{ex}} = -\frac{\gamma}{\beta_{\text{ex}}} z_n.$$  \hspace{1cm} (12)

For example, for incidence angles of 45°, 50°, 55°, 60°, 65°, 70°, the compensation happens, for transverse electric waves, at the axial distances 38.10, 25.45, 16.47, 10.22, 5.99, 3.23 cm, see Fig. 4(b). For transverse magnetic waves, the compensation happens for incidence angles greater than the Brewster angle, θn = 56.65°. For incidence angle of 60°, 65°, 70°, angular deviations compensate the GH shifts at the axial distances 50.68, 11.68, 3.88 cm, see Fig. 4(a).

VI. Discussions

Lateral displacements of optical beams with respect to the path predicted by geometric optics stimulated, in the last decades, both theoretical and experimental investigations. Two types of displacements characterize the transmission through dielectric blocks. The first, known as GH shift, is due to the phase of the total internal reflection coefficient and it is independent of the axial position of the detector. The second one is due to the modulation of the transmission coefficients on the wave number distribution of the incident beam and it is dependent on the axial position of the detector.

In region III, far enough to the critical region II, GH shifts are proportional to the wavelength of the optical beam. When the axial distance approaches the Rayleigh axial range also the angular deviations become proportional to the wavelength and this open the doors to the possibility to cancel the lateral displacements induced by the total reflection coefficient. This phenomenon is also known as composite GH effect [26, 29]. In region I, where the partial internal reflection implies the only presence of angular deviations [30] an amplification effect happens near the internal Brewster angle, for details see ref. [23]. Region II represents the region around the critical angle and an amplification by a factor $\sqrt{|k|}w_o$, see Eq. (11), is found in proximity of the critical incidence [9, 24]. Such a region is also characterized by oscillatory phenomena [20–22] and the analytical analytical formula, obtained in this paper for the intensity of upper transmitted beam, i.e Eq. (8), fails to reproduce the numerical data. It is important to observe here that region II represents a very small region of the incidence spectrum covering a range of $8/|k|w_o$ around the critical angle. This means, for a beam waist of 100 μm and a wavelength of 532 nm, a range of 0.4° around the critical angle. Consequently, the analytical formula presented in this paper is in excellent agreement with the numerical data for all the incidence angles greater than $\theta_c + 4/|k|w_o$ or in the case of the beam parameters used in our simulations for incidence angles greater than $\theta_c + 0.4°$.

VII. Conclusions and outlooks

In this paper, by using the Taylor expansion of the Fresnel coefficients of the transmission through the first and third interfaces and of the total reflection by the second interface, we have given an analytical expression for the upper transmitted beam intensity, see Eq. (8). From this analytical approximation it is immediate to obtain the cubic equation to calculate the intensity maximum. The cubic equation (9) can then be further reduced to a linear equation (10) from which we can obtain the incidence angles and axial distances for which GH shifts and angular deviations offset each other. For transverse magnetic waves this compensation effect is only possible for incidence greater than the Brewster incidence, $\theta_n = \arctan(n)$.

The analytical expression of the upper transmitted beam given in this paper, see Eq. (6), is also useful in view of experimental implementations done by using the weak measurements technique [26, 31]. This technique is based on the interference between transverse electric and magnetic waves [27, 28]. Consequently the analytical expression for the upper transmitted beam is important to find the main maximum of the combined optical beam which is a function of the different lateral displacements and angular deviations of transverse electric and magnetic waves. For the incidence angles and axial distances for which these optical effects offset each other, the weak measurement breaks down because the double peak phenomenon is no longer present. In a forthcoming paper, we shall revise the weak measurements for transmission through dielectric blocks in view of the analytical expression given in this article.

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\[ \delta \]