

Theory of x-ray-absorption spectra in PrO_2 and some other rare-earth compounds

H. Ogasawara, A. Kotani, and K. Okada

Department of Physics, Faculty of Science, Tohoku University, Sendai 980, Japan

B. T. Thole

Department of Chemical Physics, University of Groningen, Nijenborgh 16, 9747 AG Groningen, The Netherlands

(Received 9 July 1990)

We analyze rare-earth $3d$ -core x-ray-absorption spectra ($3d$ XAS) in PrO_2 , as well as in CeO_2 , using the impurity Anderson model. It is shown that the interplay between the atomic multiplet coupling and the solid-state hybridization between rare-earth $4f$ and oxygen $2p$ states is essential in determining the spectral shape. The calculated spectra are in fair agreement with experimental data which supports the theory that there is a strong mixing between $4f^1$ and $4f^2\bar{v}$ in the ground state of PrO_2 , where \bar{v} denotes a hole in the oxygen $2p$ valence band. A theoretical prediction of Pr $4d$ XAS of PrO_2 is also given. Because it contains much structure, experimental determination of this spectrum would be very valuable for the study of mixed-valence compounds.

I. INTRODUCTION

Rare-earth dioxides, CeO_2 , PrO_2 , and TbO_2 , are charge-transfer-type insulators with nominally "tetra-valent" rare-earth ions. The electronic structure of these materials is characterized by a strong Coulomb interaction between $4f$ electrons, as well as by a covalency mixing between rare-earth $4f$ and oxygen $2p$ states. Core-level spectroscopy is a powerful tool in the study of electronic states of highly correlated systems,¹ and x-ray-absorption spectra (XAS) and x-ray-photoemission spectra (XPS) have been measured for these rare-earth dioxides.²⁻¹¹ As shown by Thole *et al.*,¹² the multiplet structure in XAS plays a role of "fingerprint" in examining the valence number of rare-earth ions, but the effect of a strong covalency mixing has not been well established. Due to the complexity of full multiplet calculations, the interpretation of the XAS multiplet structure in rare-earth dioxides was done intuitively, which produced quite a large amount of confusion.

Of these rare-earth dioxides, CeO_2 has been an object of the most extensive study by core-level spectroscopy both theoretically and experimentally.¹³ Experimental data of $3d$ XPS, $3p$ XPS, $3d$ XAS, and $2p$ XAS of CeO_2 have been analyzed theoretically neglecting the multiplet structure using the impurity Anderson model. This showed that there is strong mixing between the $4f^0$ and $4f^1\bar{v}$ configurations (\bar{v} denotes a hole in the O $2p$ valence band) in the ground state, with the average $4f$ electron number $n_f \sim 0.5$. However, the multiplet structure of $4d$ XAS in CeO_2 (Refs. 4 and 5) seemed, at first glance, to contradict the picture of a mixed-valence ground state mentioned above. Only very recently, Jo and Kotani,¹⁴ Jo,¹⁵ and the present authors¹⁶ succeeded in carrying out the full calculations of $4d$ XAS, taking account of both the intra-atomic multiplet coupling and the interatomic covalency hybridization. It was shown that the multiplet structure in $4d$ XAS can also be well reproduced assuming a mixed-valence ground state.¹⁴⁻¹⁶

Improvement of our calculational methods now enables us to study PrO_2 . Let us point out that there is a puzzling problem in the interpretation of $3d$ XAS of PrO_2 . In Fig. 1, we show experimental data⁹ of $3d$ XAS of PrO_2 and some Ce and La compounds. The $3d$ XAS of PrO_2 exhibits, in its $3d_{5/2}$ and $3d_{3/2}$ components, a main peak with some multiplet structures (indicated by arrows) and a satellite (indicated by "s"). Recently, a theoretical analysis of $3d$ XAS of PrO_2 was made by Bianconi *et al.*¹¹ using the impurity Anderson model without the multiplet-coupling effect. By this analysis, as well as by analysis of $2p$ XAS and $3d$ XPS, they concluded that the

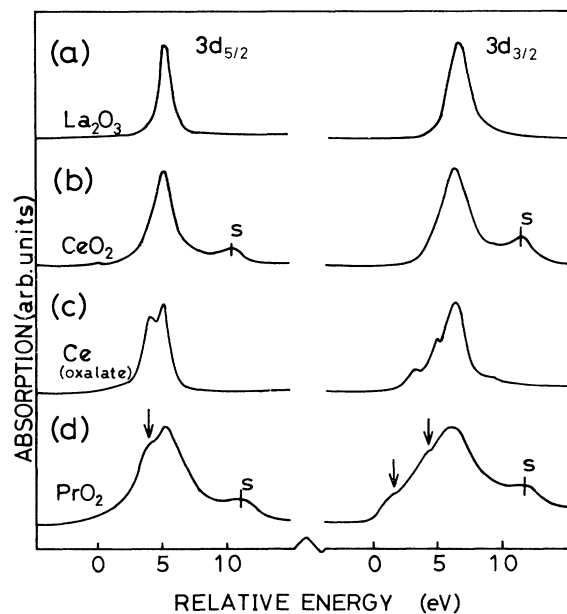


FIG. 1. Experimental $3d$ XAS for La_2O_3 , CeO_2 , Ce oxalate, and PrO_2 (after Ref. 9).

ground state of PrO₂ is a state with a strong mixing between the $4f^1$ and $4f^2\underline{v}$ configurations with $n_f \sim 1.6$, and that the main peak and the satellite correspond, respectively, to $3d^94f^3\underline{v}$ and $3d^94f^2$ final-state configurations, which are also strongly mixed. However, this interpretation contradicted the original one given by Karnatak *et al.*⁶⁻⁹ who measured the experimental $3d$ XAS data. Using the multiplet structure as a fingerprint, they assigned the main peak of PrO₂ to the $3d^94f^2$ final state, instead of the $3d^94f^3\underline{v}$ state, because the multiplet structure of PrO₂ is similar to that of Ce oxalate, which is a typical Ce³⁺ compound with a $3d^94f^2$ final state (see Fig. 1). Therefore, they concluded that PrO₂ contains only one localized $4f$ electron in the ground state. In order to explain the satellite, they introduced the concept of "extended f -type of states," and assigned the satellite to the transition of the $3d$ electron to these extended f states. They emphasized that the situation in CeO₂ and TbO₂ is similar. As shown in Fig. 1, the spectral shape of the main peak of CeO₂ is similar to that of La₂O₃ but different from that of Ce oxalate. Therefore, they concluded that the main peak of CeO₂ corresponds to the $3d^94f^1$ final state as in the case of La₂O₃, while the satellite of CeO₂ originates from the transition to the extended f -type of states.

It is the purpose of the present paper to calculate the $3d$ XAS of PrO₂. The calculation can be carried out, as a straightforward extension of that in Ref. 16, by incorporating the interatomic hybridization into the intra-atomic multiplet spectra calculated by Cowan's programs.¹⁷ We also analyze in more detail the multiplet structure in $3d$ XAS of CeO₂ as an extension of the theory by Jo and Kotani,¹⁸ who first analyzed this spectrum and discussed the smearing out of the multiplet.

In Sec. II we describe our method of calculating $3d$ XAS of PrO₂. In Sec. III we show the calculated $3d$ XAS for PrO₂, as well as for La³⁺, CeO₂, Ce³⁺, and Pr³⁺. Also, we give a theoretical prediction of $4d$ XAS in PrO₂. Concluding remarks are given in Sec. IV.

II. METHOD OF CALCULATION

We use the impurity Anderson model, which consists of $4f$ and $3d$ states on a single Pr ion and a filled O $2p$ valence band. The Hamiltonian is essentially the same as that in Ref. 16, and given by

$$H = H_1 + H_2, \quad (1)$$

where

$$\begin{aligned} H_1 = & \sum_{k,v} \varepsilon_k a_{k,v}^\dagger a_{k,v} + \varepsilon_f \sum_v a_{f,v}^\dagger a_{f,v} + \varepsilon_d \sum_\xi a_{d,\xi}^\dagger a_{d,\xi} \\ & + V/\sqrt{N} \sum_{k,v} (a_{f,v}^\dagger a_{k,v} + a_{k,v}^\dagger a_{f,v}) \\ & + U_{ff} \sum_{v>v'} a_{f,v}^\dagger a_{f,v'} a_{f,v'}^\dagger a_{f,v} \\ & - U_{fc} \sum_{v,\xi} a_{f,v}^\dagger a_{f,v} (1 - a_{d,\xi}^\dagger a_{d,\xi}) \end{aligned} \quad (2)$$

and H_2 describes the atomic Coulomb, exchange, and spin-orbit interactions, as given in Ref. 16. The Hamil-

tonian H_1 describes the usual impurity Anderson model without the multiplet-coupling effect. The energies ε_k , ε_f , and ε_d represent the O $2p$ valence band, Pr $4f$ level, and Pr $3d$ level, respectively. We assume that ε_k is given by N discrete levels in the form

$$\varepsilon_k = \varepsilon_v - \frac{W}{2} + \frac{W}{N}(k - \frac{1}{2}), \quad k = 1, \dots, N, \quad (3)$$

where ε_v and W are, respectively, the center and the width of the valence band. The index v represents the spin and orbital degeneracies of the f state, and ξ those of the $3d$ state. The interactions, V , U_{ff} and $-U_{fc}$, respectively, are the hybridization between $4f$ and valence-band states, the Coulomb interaction between $4f$ electrons, and the core-hole potential acting on the $4f$ electron.

We express the ground state $|g\rangle$ of PrO₂ in the following form:

$$\begin{aligned} |g\rangle = & C_1^g |d^{10}f^1; {}^2F_{5/2}\rangle \\ & + \sum_k \sum_{j=\frac{5}{2}, \frac{7}{2}} \sum_{\alpha_j} C_2^g(k, j, \alpha_j) \\ & \times |d^{10}f^2(\alpha_j)\underline{v}_{kj}; J_{\text{tot}} = \frac{5}{2}\rangle, \end{aligned} \quad (4)$$

where $|d^{10}f^1; {}^2F_{5/2}\rangle$ is the Hund's-rule ground state ${}^2F_{5/2}$ of the $4f^1$ configuration, and

$$|d^{10}f^2(\alpha_j)\underline{v}_{kj}; J_{\text{tot}} = \frac{5}{2}\rangle$$

is the state with the total angular momentum $J_{\text{tot}} = \frac{5}{2}$, which is composed of the $4f^2$ configuration with symmetry α_j and the valence-band hole \underline{v} with energy ε_k and angular momentum $j (= \frac{5}{2}$ or $\frac{7}{2})$. Since the states $|d^{10}f^1; {}^2F_{5/2}\rangle$ and

$$|d^{10}f^2(\alpha_j)\underline{v}_{kj}; J_{\text{tot}} = \frac{5}{2}\rangle$$

are coupled to each other by the hybridization V , we obtain the state $|g\rangle$ and its energy E_g by diagonalizing the Hamiltonian matrix with dimension $22N+1$.

In the final states $|i\rangle$ of dipole-allowed $3d$ XAS, the total angular momentum J takes on the values $\frac{3}{2}$, $\frac{5}{2}$, and $\frac{7}{2}$. Each state $|i\rangle$ is given by a linear combination of $3d^94f^2$ and $3d^94f^3\underline{v}$ configurations in the form

$$\begin{aligned} |i\rangle = & \sum_\alpha C_2^i(\alpha_j) |d^9f^2; \alpha_j\rangle \\ & + \sum_k \sum_{j=\frac{5}{2}, \frac{7}{2}} \sum_{\alpha'_j} C_3^i(k, j, \alpha'_j) \\ & \times |d^9f^3(\alpha'_j)\underline{v}_{kj}; J_{\text{tot}} = J\rangle, \end{aligned} \quad (5)$$

where α and α' are LS terms. With the basis set of Eq. (5), the dimension of the Hamiltonian matrix is $(435N+15)$ for $J = \frac{3}{2}$, $(581N+19)$ for $J = \frac{5}{2}$, and $(656N+19)$ for $J = \frac{7}{2}$.

The Hamiltonian matrix elements both for the ground state and the final are obtained using Cowan's program,¹⁷ and the matrix is diagonalized numerically to obtain $|g\rangle$, E_g , $|i\rangle$, and E_i , where E_i is the energy of $|i\rangle$. Then the spectrum of $3d$ XAS is calculated in the form

$$F(\omega) = \sum_i |\langle i|T|g \rangle|^2 \frac{\Gamma/\pi}{(\omega + E_g - E_i)^2 + \Gamma^2}, \quad (6)$$

where T is the dipole transition operator, ω is the photon energy, and Γ represents the spectral broadening due to the lifetime of the core hole as well as the spectral resolution. The matrix element $\langle i|T|g \rangle$ is also obtained by Cowan's program.¹⁷

III. CALCULATED RESULTS

The calculated $3d$ XAS for PrO_2 is shown in Fig. 2, where the line spectra are obtained in the limit of $\Gamma=0$ and the continuous spectra correspond to their convolution with a Lorentzian of width $\Gamma=0.7$ eV. The origin of the photon energy ω is fixed arbitrarily. The parameter values in the Hamiltonian H_1 are taken, in a manner consistent with previous analysis¹¹ of $3d$ XAS, $3d$ XPS, and $2p$ XAS, as $\varepsilon_f - \varepsilon_v = -10.0$ eV, $U_{ff} = 10.5$ eV, $U_{fc} = 13.0$ eV, $V = 0.45$ eV, and $W = 1.3$ eV. For Slater integrals and spin-orbit coupling constants included in the Hamiltonian H_2 , we use the values of Pr^{3+} , which are given by Thole *et al.*¹² The value N is taken to be $N=3$. With these parameters the average number of $4f$ electrons in the ground state is about 1.6, so that the system is a strongly mixed state between $4f^1$ and $4f^2_{\nu}$ configurations. From comparison between Fig. 1(d) and Fig. 2, the overall agreement between theoretical and experimental results is good. The theoretical calculation reproduces not only the satellite structure [indicated by "s" in Fig. 1(d)] but also the fine structure on the $3d_{3/2}$ main peak (indicated by arrows). There is, however, a discrepancy in the position of the shoulder on the $3d_{5/2}$ main peak; the shoulder is seen, in the experiment, on the lower-energy side of the main peak but on the higher-energy side in the calculation. In view of the success for $3d_{3/2}$ we still consider this calculation as supporting the mixed-valence picture.

In order to compare with the experimental data for La_2O_3 , CeO_2 , and Ce oxalate in Figs. 1(a)–1(c), we calculate the $3d$ XAS for a La^{3+} ion, CeO_2 , and a Ce^{3+} ion, and show the result in Figs. 3(a)–3(c). The agreement between theoretical and experimental results is excellent. The calculated result for a Pr^{3+} ion is also shown in Fig.

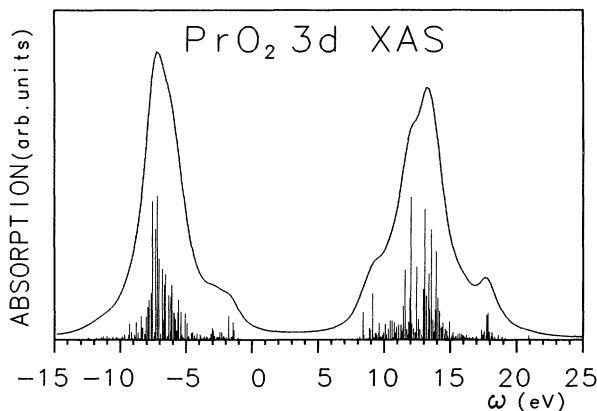


FIG. 2. Calculated $3d$ XAS for PrO_2 .

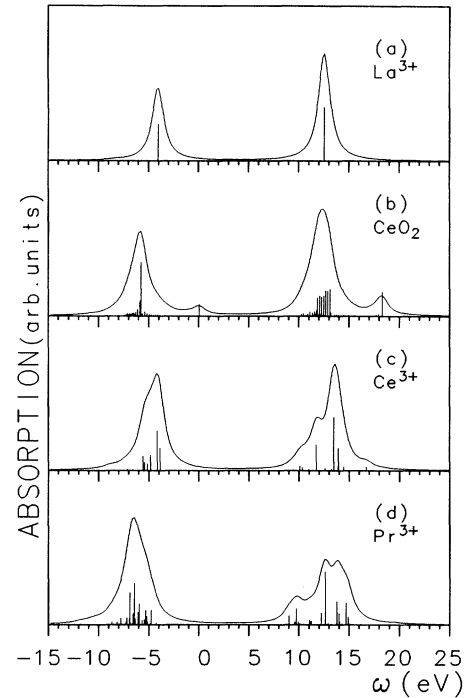


FIG. 3. Calculated $3d$ XAS for La^{3+} , CeO_2 , Ce^{3+} , and Pr^{3+} .

3(d). The results for La^{3+} , Ce^{3+} , and Pr^{3+} are essentially the same as those given by Thole *et al.*,¹² while the result for CeO_2 corresponds to a finite- W version of that by Jo and Kotani.¹⁵ The parameter values (in the Hamiltonian H_1) used for the present calculation for CeO_2 are as follows: $\varepsilon_f - \varepsilon_v = 1.5$ eV, $U_{ff} = 12.5$ eV, $U_{fc} = 13.5$ eV, $V = 0.76$ eV, $\Gamma = 0.7$ eV, $W = 1.3$ eV, and $N = 6$. These values are consistent with those used in the previous analysis,^{13,15,16} while a slight modification has been made to obtain better agreement with the experimental $3d$ XAS.

Now we discuss the origin of the multiplet structure and the satellite of the $3d$ XAS for PrO_2 . To this end, we calculate the spectrum by changing the hybridization strength in the final state V_F with the other parameters fixed to the same values as those in Fig. 2. The result is shown in Fig. 4. When $V_F = 0$ [Fig. 4(a)] the spectrum is a simple superposition of two absorption spectra corresponding to $3d^{10}4f^1 \rightarrow 3d^9 4f^2$ (dotted curve) and $3d^{10}4f^2_{\nu} \rightarrow 3d^9 4f^3_{\nu}$ (dashed curve) transitions. The difference in the average energies between $3d^9 4f^2$ and $3d^9 4f^3_{\nu}$ final states

$$-\varepsilon_f + \varepsilon_v + U_{fc} - 2U_{ff} (= 2.0 \text{ eV})$$

is smaller than the spread of the multiplet terms, so that the two spectra overlap strongly. Their intensity ratio is given by the relative weight of the $3d^{10}4f^1$ and $3d^{10}4f^2_{\nu}$ configurations in the ground state, which is about 0.4:0.6. It is to be noted that the multiplet structure of the $3d^{10}4f^1 \rightarrow 3d^9 4f^2$ spectrum (dotted curve) is essentially the same as that of Ce^{3+} in Fig. 3(c). However, the mul-

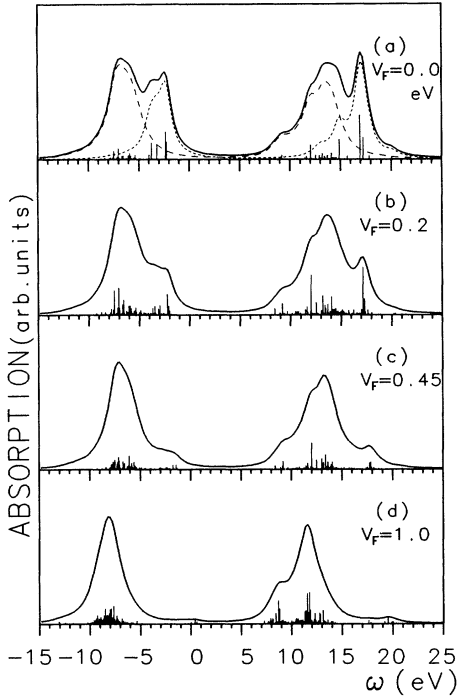


FIG. 4. Calculated 3d XAS for PrO₂ for the indicated values of the hybridization strength V_F in the final state. The dotted and dashed curves are the $4f^1 \rightarrow 3d^9 4f^2$ and $4f^2 \underline{v} \rightarrow 3d^9 4f^3 \underline{v}$ components, respectively.

triplet structure of the $3d^{10} 4f^2 \underline{v} \rightarrow 3d^9 4f^3 \underline{v}$ spectrum (dashed curve) is considerably different from that of the $3d^{10} 4f^2 \rightarrow 3d^9 4f^3$ spectrum of Pr³⁺ in Fig. 3(d). This is because the initial state of the $3d^{10} 4f^2 \underline{v}$ configuration includes not only the Hund's-rule ground state $4f^2(^3H_4)$ of the Pr³⁺ ion but also many other excited states $4f^2(\alpha_J)$ as given explicitly by the second term of the right-hand side of Eq. (4). Furthermore, the bandwidth W of the valence-band hole \underline{v}_{kj} causes a broadening of the spectrum.

When a small hybridization V_F is introduced in the final state [Fig. 4(b)], two final-state configurations, $3d^9 4f^2$ and $3d^9 4f^3 \underline{v}$, are mixed to form a bonding state (the lower-energy peak) and an antibonding state (the higher-energy peak). The intensity ratio of the lower-energy to higher-energy peaks increases with increasing V_F because of the effect of the phase matching between ground and final states (note that the ground state is a bonding combination of $3d^{10} 4f^1$ and $3d^{10} 4f^2 \underline{v}$). This effect is called the "hybridization-derived interference" in Ref. 18. The energy separation between the lower-energy and higher-energy peaks also increases with V_F . In Fig. 4(c) the value of V_F is the same as that in Fig. 2, where the higher-energy peak is a weak satellite. It is interesting to note that the multiplet structure of the main peak is very similar to that of the dashed curve of Fig. 4(a). This means that the multiplet structure of 3d XAS for PrO₂ is mainly determined by the effect of the initial-state mixing, instead of the final-state mixing V_F , whereas the effect of V_F is very important in determining the intensity ratio between the main peak and the satellite. When V_F

is further increased, the multiplet structure is also changed, as shown in Fig. 4(d).

The effect of V_F is also studied in 3d XAS of CeO₂, and the result is shown in Fig. 5. Figure 5(a) is the case of $V_F=0$. The $4f^0 \rightarrow 3d^9 4f^1$ component is the same as the spectrum of La³⁺ in Fig. 3(a), but the $4f^1 \underline{v} \rightarrow 3d^9 4f^2 \underline{v}$ component does not exhibit the multiplet structure which is seen in the spectrum of Ce³⁺ in Fig. 3(c). The explicit form of the $3d^{10} 4f^1 \underline{v}$ state is

$$\sum_k \sum_{j=\frac{5}{2}, \frac{7}{2}} C_{\{k,j\}}^{\xi} |d^{10} f_j^1 \underline{v}_{kj}; J=0\rangle$$

as shown in Ref. 16, so that it contains both $4f^1(^2F_{5/2})$ and $4f^1(^2F_{7/2})$ components, while the initial state of Ce³⁺ is the Hund's-rule ground state $4f^1(^2F_{5/2})$.¹⁹ Furthermore, the energy distribution of the valence-band hole \underline{v}_{kj} plays an essential role in smearing out the multiplet structure. Therefore, the dashed curve resembles the spectrum of La³⁺ only accidentally. When V_F is switched on, the intensity ratio of the lower-energy to higher-energy peaks increases and their energy separation becomes larger, as shown in Figs. 5(b)–5(d). In this way, the origin of the multiplet structure (or the origin of the smearing out of the multiplet structure), as well as the origin of the satellite, is very similar in CeO₂ and PrO₂.

In Fig. 6(a) we show a calculated result of Pr 4d XAS for PrO₂. The spectrum is divided into a giant absorption region (high-energy region) and a prethreshold region (low-energy region) which shows much structure. The procedure of the calculation and the parameter values are

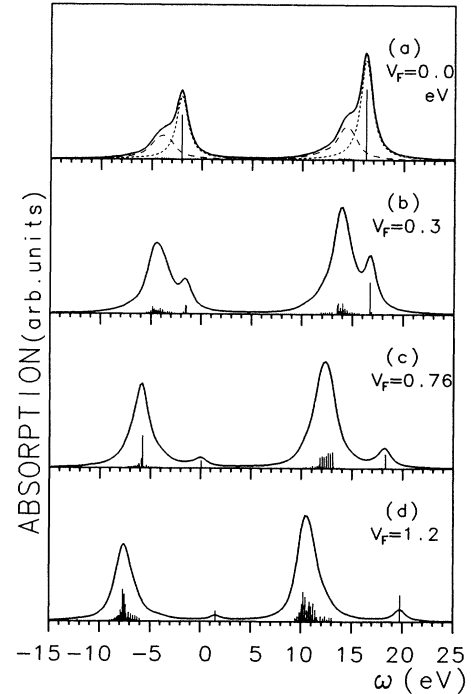


FIG. 5. Calculated 3d XAS for CeO₂ for the indicated values of the hybridization strength V_F in the final state. The dotted and dashed curves are the $4f^0 \rightarrow 3d^9 4f^1$ and $4f^1 \underline{v} \rightarrow 3d^9 4f^2 \underline{v}$ components, respectively.

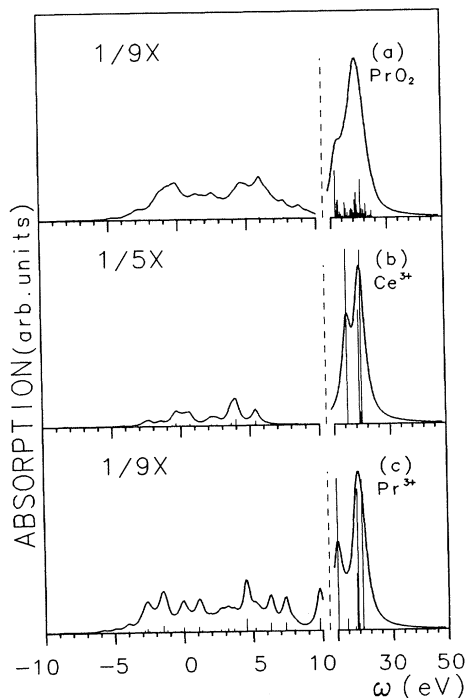


FIG. 6. Calculated 4d XAS for PrO_2 , Ce^{3+} , and Pr^{3+} . The prethreshold region is amplified as indicated.

the same as those for 3d XAS, except that the parameter values associated with the core hole are changed. We take $U_{fc}(4d)=11.0$ eV, which is 80% of $U_{fc}(3d)$, and $\Gamma=2.0$ and 0.3 eV for the giant-absorption region and the prethreshold region, respectively. Slater integrals and spin-orbit coupling constants for final states are calculated by atomic Hartree-Fock programs with relativistic corrections.¹⁷ Slater integrals $F^k(ff)$, $F^k(df)$, and $G^k(df)$ are reduced by 20, 25, and 33 %, respectively. [$F^2(ff)=9.98$ eV, $F^4(ff)=6.27$ eV, $F^6(ff)=4.51$ eV, $\zeta_f=0.106$ eV, $\zeta_d=1.375$ eV, $F^2(df)=10.6$ eV, $F^4(df)=6.77$ eV, $G^1(df)=11.06$ eV, $G^3(df)=6.92$ eV, and $G^5(df)=4.88$ eV.] In Figs. 6(b) and 6(c) we also show 4d XAS calculated for Ce^{3+} (which corresponds to Pr^{4+}) and Pr^{3+} atoms. The important feature is that the 4d XAS of PrO_2 is different from those of Ce^{3+} and Pr^{3+} . Therefore, when it becomes available, 4d XAS can be used as “fingerprint” to confirm our mixed-valence picture for PrO_2 .

IV. CONCLUDING REMARKS

We have analyzed 3d XAS of PrO_2 and CeO_2 with the impurity Anderson model including the intra-atomic multiplet effect. We have shown that the ground state of these materials is of mixed-valence nature, but the fine multiplet structure of the main peak looks like the tetravalent one because the effect of the initial state hybridization mixes the trivalent component $4d^{10}4f^n\bar{v}$ ($n=1$ and 2 for CeO_2 and PrO_2) with excited states and changes its spectral shape into the tetravalence-like one accidentally. Especially in CeO_2 , the effect of the finite-energy width of \bar{v} is important in smearing out the multiplet structure of the trivalent component. This effect is less important in PrO_2 because of the smaller hybridization strength. The

effect of the final-state hybridization is important in determining the intensity ratio between the main peak and the satellite, but the spectral shape of the main peak remains almost unchanged from that for $V_F=0$.

For CeO_2 , Jo and Kotani¹⁸ carried out a similar calculation in the limit of vanishing valence-band width. They did not study the effects of the initial-state hybridization and the final-state hybridization separately, and emphasized the importance of “hybridization-derived interference” (the interference between initial-state and final-state hybridizations) in the smearing out of the trivalent multiplet structure of the main peak. In the present calculation we have taken into account the finite width of the valence band and pointed out the importance of the initial-state hybridization in smearing out the multiplet structure.

For PrO_2 , the main structures of the multiplet and the satellite are satisfactorily reproduced in the present analysis, but there remains a small discrepancy between theoretical and experimental spectral shapes of the shoulder of the $3d_{5/2}$ main peak. Considering the success in reproducing most of the other structures, as well as the success in the analysis for CeO_2 which is a material quite similar to PrO_2 , we do not think that the above discrepancy seriously challenges our mixed-valence picture for PrO_2 . In any case, further study will be necessary on the shoulder structure both theoretically and experimentally. In order to confirm more definitely the mixed-valence picture for PrO_2 , the experimental observation of 4d XAS is highly desirable.

Finally, it should be mentioned that there has been a long-standing controversy of whether or not CeO_2 and PrO_2 are mixed-valence systems. These materials were traditionally considered to be purely tetravalent systems with $4f^0$ (CeO_2) and $4f^1$ (PrO_2) configurations in the ground state. From quantitative analyses of core-level spectroscopic data, however, the mixed-valence picture was proposed (see Ref. 13 for more details of experimental and theoretical studies). As mentioned in Sec. I, most of the core-level data were well interpreted by the mixed-valence picture, but only the multiplet structures in 3d and 4d XAS seemed to support the tetravalence picture. The present paper, together with a series of related papers,^{14–16,18} has shown from more extended quantitative calculations that the interpretation of the PrO_2 and CeO_2 spectra, especially of their multiplet structures, can be achieved with a unified picture of the mixed-valence ground state, to clear up the controversial points in previous interpretive works.

ACKNOWLEDGMENTS

This work is partially supported by a Material Function Grant from International Joint Research Project from the New Energy and Industrial Technology Development Organization (NEDO), the International Joint Research Project from the Japan Society for the Promotion of Science (JSPS), and a Grant-in-Aid for Scientific Research from the Ministry of Education, Science and Culture in Japan. We would like to thank Professor G. A. Sawatzky for this support in carrying forward these International Joint Research Projects.

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