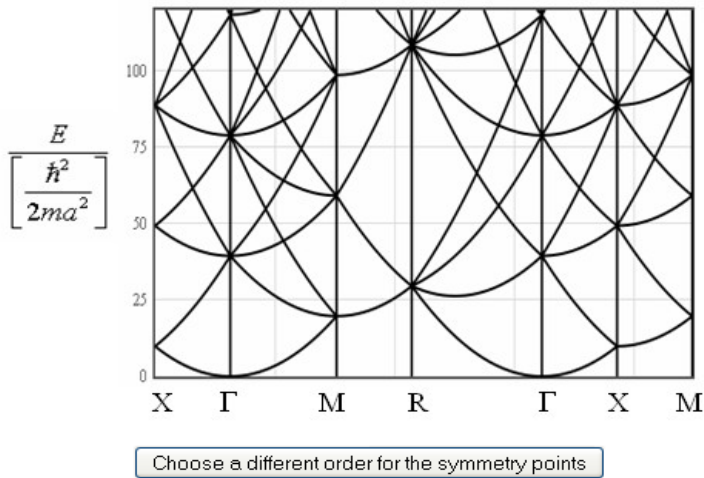


4. Band structure

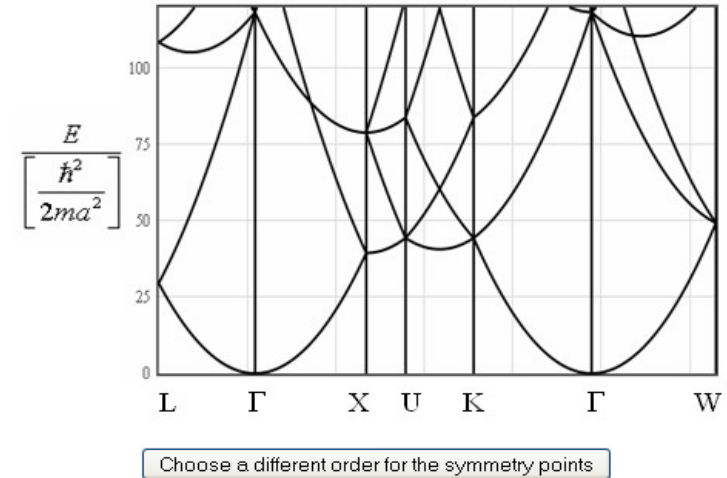
Oct 14, 2019

Empty lattice approximation

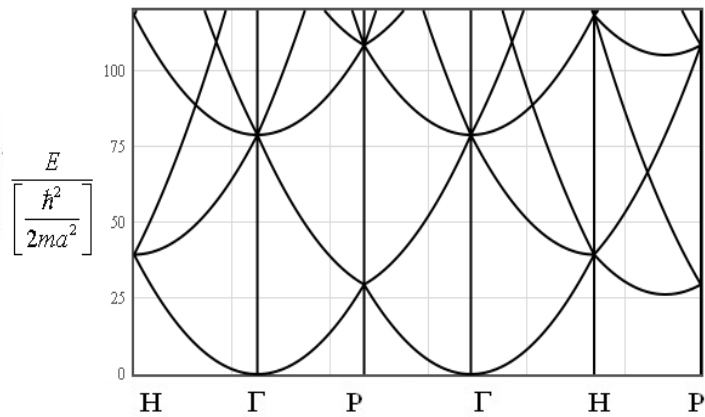
Simple cubic



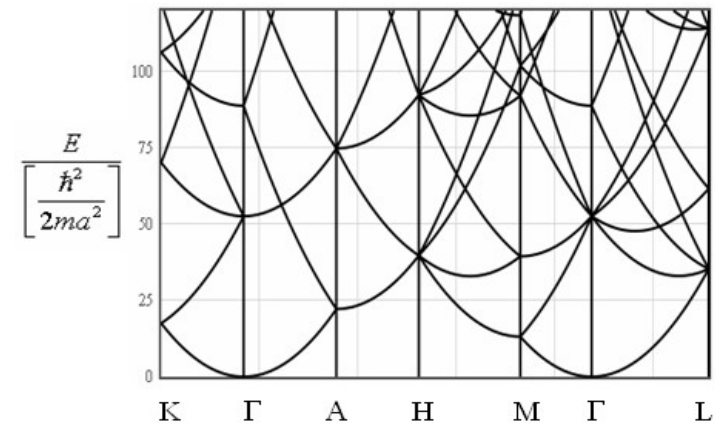
Face centered cubic



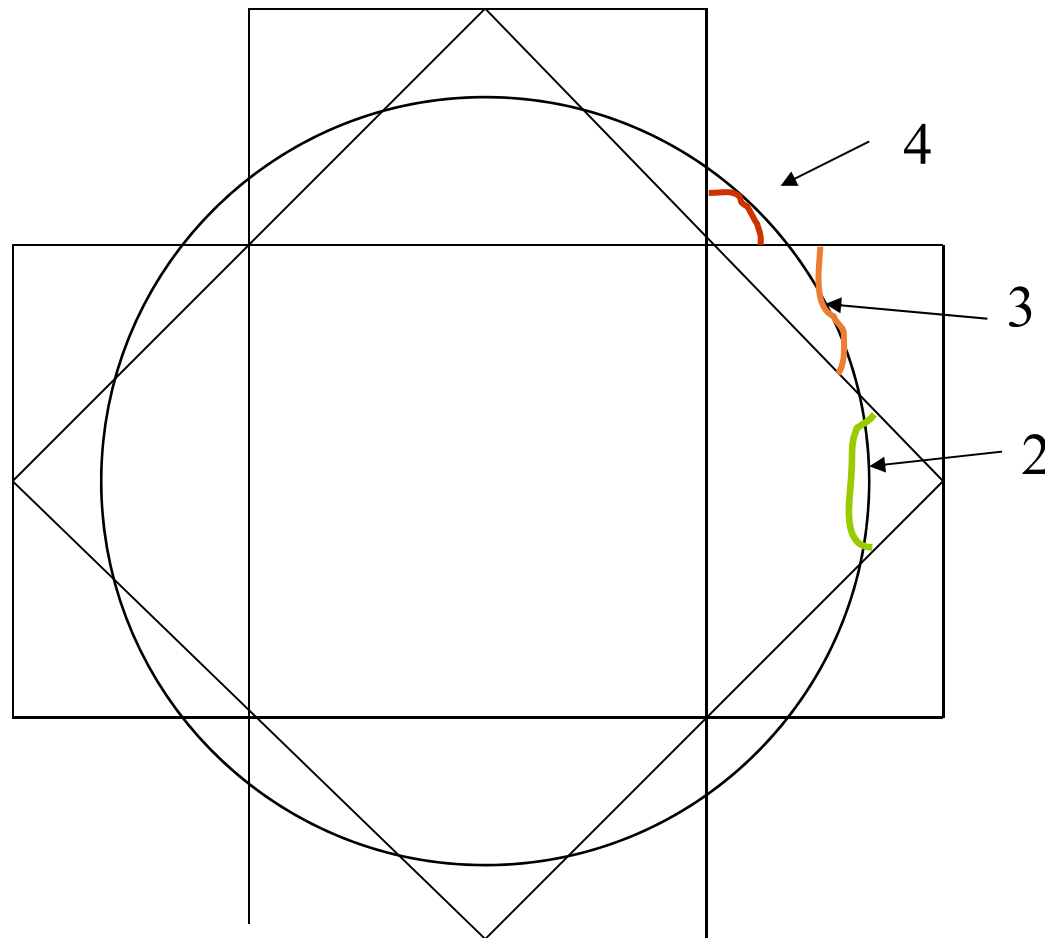
Body centered cubic



Hexagonal



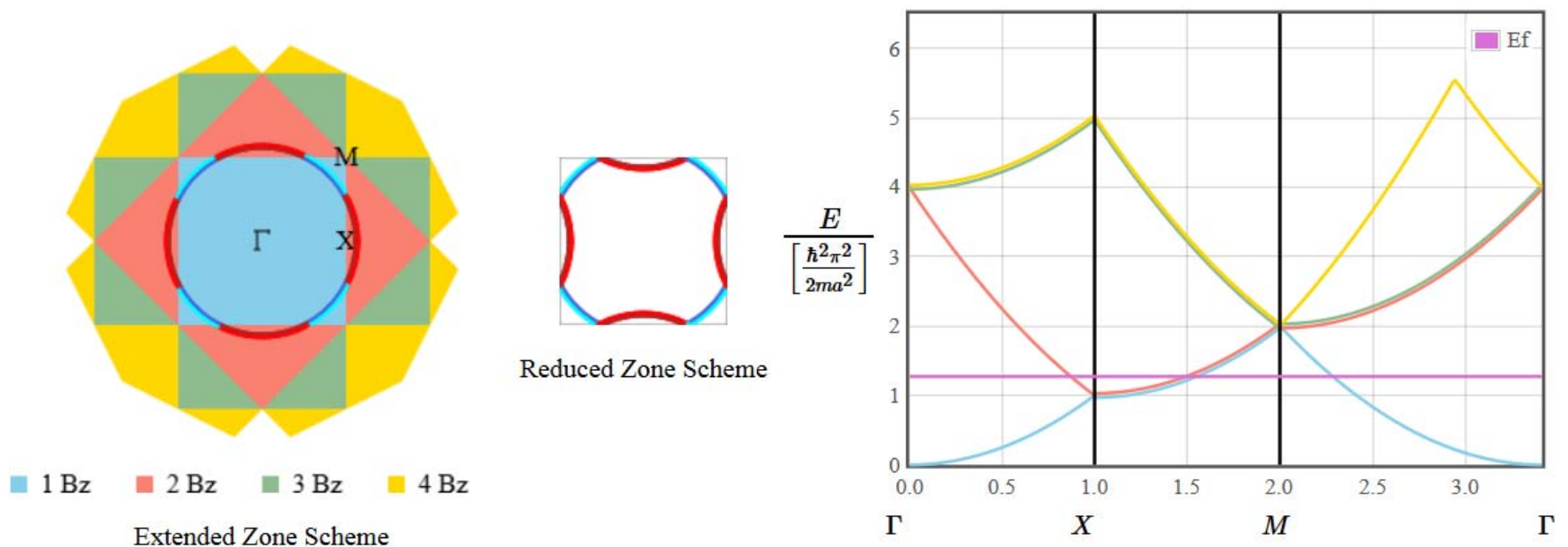
Constructing Fermi surface



No Fermi surface in the 1st Brillouin zone

2d square lattice

$2N$ electron states in a Brillouin zone



The Fermi surface strikes the Brillouin zone boundary at 90° .

http://lampx.tugraz.at/~hadley/ss2/fermisurface/2d_fermisurface/2dsquare.php

Brillouin zones of two-dimensional Bravais lattices

$$\vec{a}_1 = a \hat{x}, \quad \vec{a}_2 = b \cos \gamma \hat{x} + b \sin \gamma \hat{y}.$$

$$\vec{a}_i \cdot \vec{b}_j = 2\pi \delta_{ij}.$$

$$\vec{b}_1 = \frac{2\pi}{a} \hat{k}_x - \frac{2\pi \cos \gamma}{a \sin \gamma} \hat{k}_y, \quad \vec{b}_2 = \frac{2\pi}{b \sin \gamma} \hat{k}_y.$$

$$G_{hk,x} = hb_{1,x} + kb_{2,x} \text{ and } G_{hk,y} = hb_{1,y} + kb_{2,y}.$$

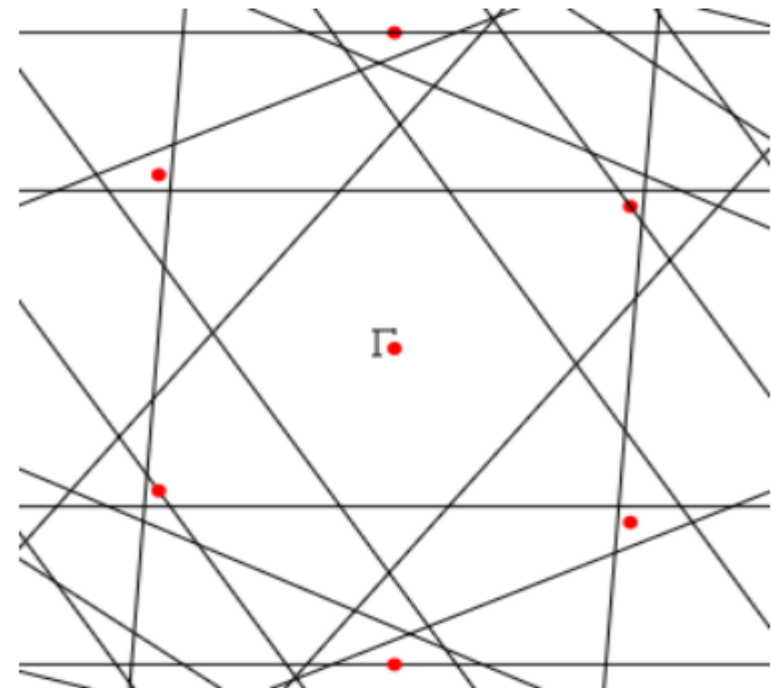
$$G_{hk,x}k_x + G_{hk,y}k_y = \frac{G_{hk,x}^2}{2} + \frac{G_{hk,y}^2}{2},$$

$b/a = 1.6$ - +
 $\gamma = 155$ - +

square hexagonal

$$\vec{a}_1 = 1 \hat{x} \quad \vec{a}_2 = -1.450 \hat{x} + (0.6762) \hat{y}$$

$$\vec{b}_1 = 6.283 \hat{k}_x + (13.47) \hat{k}_y \quad \vec{b}_2 = 9.292 \hat{k}_y$$



C:\Program Files\Cornell\SSS\winbin\ziman.exe



quit

display: large

configure...

presets

help...

time (ps): 48.2

zone scheme: reduced

run

initialize

E_x (10⁶ V/m): 0

E_y (10⁶ V/m): 0

B_z (T): 1.2

k_x (pi/a): 0

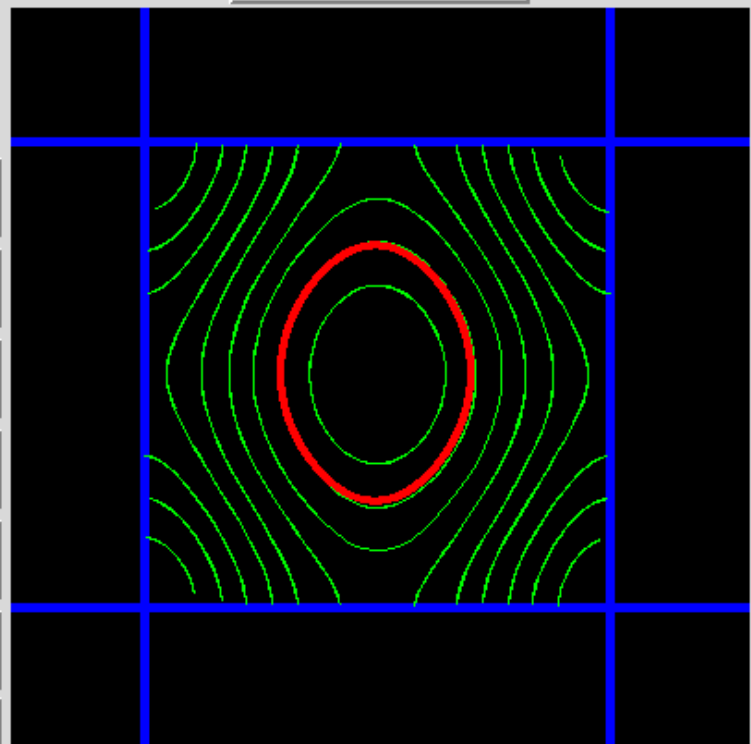
k_y (pi/a): 0.55

anisotropy .6

speed 0.05

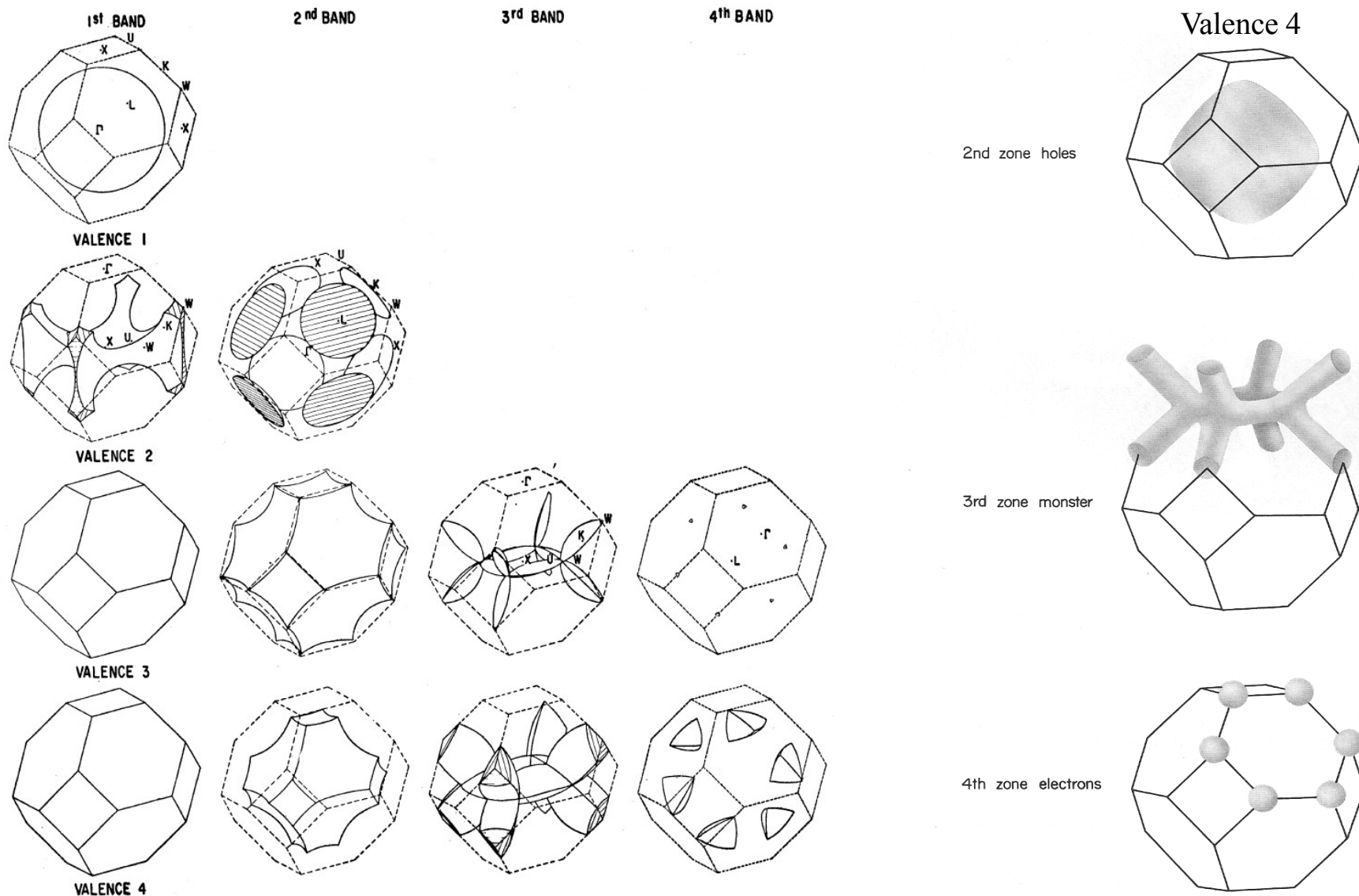


position: (0,0) 10⁻⁶ m



wave vector: (-1.57563, 1.16979) pi/a

Fermi surface for fcc in the empty lattice approximation



Band structure calculations

Start with the full Hamiltonian.

$$H = -\sum_i \frac{\hbar^2}{2m_e} \nabla_i^2 - \sum_A \frac{\hbar^2}{2m_A} \nabla_A^2 - \sum_{i,A} \frac{Z_A e^2}{4\pi\epsilon_0 r_{iA}} + \sum_{i<j} \frac{e^2}{4\pi\epsilon_0 r_{ij}} + \sum_{A<B} \frac{Z_A Z_B e^2}{4\pi\epsilon_0 r_{AB}}$$

Everything you can know is contained in this Hamiltonian.

Usually this is too difficult to solve.



Electrons in a crystal

Fix the positions of the nuclei (Born Oppenheimer approximation) and consider the many electron Hamiltonian.

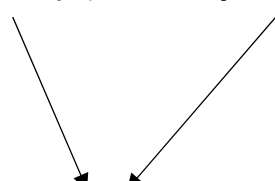
$$H_{elec} = -\sum_i \frac{\hbar^2}{2m_e} \nabla_i^2 - \sum_{i,A} \frac{Z_A e^2}{4\pi\epsilon_0 r_{iA}} + \sum_{i<j} \frac{e^2}{4\pi\epsilon_0 r_{ij}}$$

This is still too difficult. Neglect the electron-electron interactions.

Self consistent field

Use a clever approximation that combines the average position of the electrons with the positive ions.

$$H_{elec} = -\sum_i \frac{\hbar^2}{2m_e} \nabla_i^2 - \sum_{i,A} \frac{Z_A e^2}{4\pi\epsilon_0 r_{iA}} + \sum_{i<j} \frac{e^2}{4\pi\epsilon_0 r_{ij}}$$

$$H_{MO} = \frac{-\hbar^2}{2m_e} \nabla + U_{mo}(\vec{r})$$


Pseudopotentials

Separation of variables

$$H_{MO} = \frac{-\hbar^2}{2m_e} \nabla^2 + U_{mo}(\vec{r})$$

The electronic Hamiltonian separates into the molecular orbital Hamiltonians.

$$H_{\text{elec}}(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_n) = H_{\text{MO}}(\mathbf{r}_1) + H_{\text{MO}}(\mathbf{r}_2) + \dots + H_{\text{MO}}(\mathbf{r}_n)$$

$$\Psi_{\text{elec}}(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_n) = |\psi_{\text{MO}}(\mathbf{r}_1) \psi_{\text{MO}}(\mathbf{r}_2) \dots \psi_{\text{MO}}(\mathbf{r}_n)\rangle$$

Solving the molecular orbital Hamiltonian

$$H_{MO} = \frac{-\hbar^2}{2m_e} \nabla^2 + U_{mo}(\vec{r})$$

Band structure calculations:

Plane wave method

Tight binding (LCAO+)

DFT

Plane wave method

$$-\frac{\hbar^2}{2m} \nabla^2 \psi + U_{MO}(\vec{r}) \psi = E \psi$$

Write U and ψ as Fourier series.

$$U_{MO}(\vec{r}) = \sum_{\vec{G}} U_{\vec{G}} e^{i\vec{G} \cdot \vec{r}} \quad \psi(\vec{r}) = \sum_{\vec{k}} C_{\vec{k}} e^{i\vec{k} \cdot \vec{r}}$$

For the molecular orbital Hamiltonian

$$U_{MO}(\vec{r}) = \frac{-Ze^2}{4\pi\epsilon_0} \sum_j \frac{1}{|\vec{r} - \vec{r}_j|} = \frac{-Ze^2}{V\epsilon_0} \sum_{\vec{G}} \frac{e^{i\vec{G} \cdot \vec{r}}}{G^2}$$

volume of a unit cell



Plane wave method

$$-\frac{\hbar^2}{2m}\nabla^2\psi + U(\vec{r})\psi = E\psi$$

$$U_{MO}(\vec{r}) = \sum_{\vec{G}} U_{\vec{G}} e^{i\vec{G}\cdot\vec{r}} \quad \psi(\vec{r}) = \sum_{\vec{k}} C_{\vec{k}} e^{i\vec{k}\cdot\vec{r}}$$

$$\sum_{\vec{k}} \frac{\hbar^2 k^2}{2m} C_{\vec{k}} e^{i\vec{k}\cdot\vec{r}} + \sum_{\vec{G}} \sum_{\vec{k}'} U_{\vec{G}} C_{\vec{k}'} e^{i(\vec{G}+\vec{k}')\cdot\vec{r}} = E \sum_{\vec{k}} C_{\vec{k}} e^{i\vec{k}\cdot\vec{r}}$$

Must hold for each Fourier coefficient.

$$\vec{k}' + \vec{G} = \vec{k} \quad \Rightarrow \quad \vec{k}' = \vec{k} - \vec{G}$$

$$\left(\frac{\hbar^2 k^2}{2m} - E \right) C_{\vec{k}} + \sum_{\vec{G}} U_{\vec{G}} C_{\vec{k}-\vec{G}} = 0$$

Central equations (one for every k in the first Brillouin zone)

Plane wave method

The central equations can be written as a matrix equation.

$$M\vec{C} = E\vec{C}$$

Diagonal elements: $M_{ii} = \frac{\hbar^2}{2m} (\vec{k} - \vec{G}_i)^2$

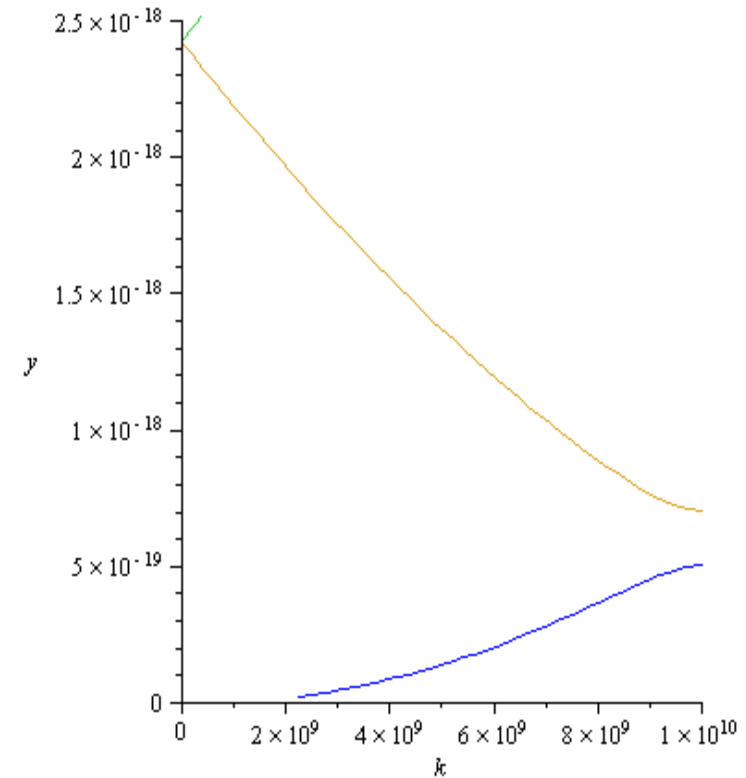
Off-diagonal elements: $M_{ij} = -\frac{Ze^2}{V\epsilon_0 (\vec{G}_i - \vec{G}_j)^2}$

Central equations - one dimension

$$M4 := \begin{bmatrix} \frac{\hbar^2 \cdot (k + 2 \cdot G)^2}{2m} & U & 0 & 0 \\ U & \frac{\hbar^2 \cdot (k + G)^2}{2m} & U & 0 \\ 0 & U & \frac{\hbar^2 \cdot k^2}{2m} & U \\ 0 & 0 & U & \frac{\hbar^2 \cdot (k - G)^2}{2m} \end{bmatrix} :$$

$V4 := \text{Eigenvalues}(M4) :$

$\text{plot}([V4[1], V4[2], V4[3], V4[4]], k = 0 \dots 1E10, y = 0 \dots 2.5E-18);$



Central equations 3d - simple cubic

$$V(\vec{r}) = \sum_{\vec{G}} U_{\vec{G}} e^{i\vec{G}\cdot\vec{r}}$$

Molecular orbital Hamiltonian

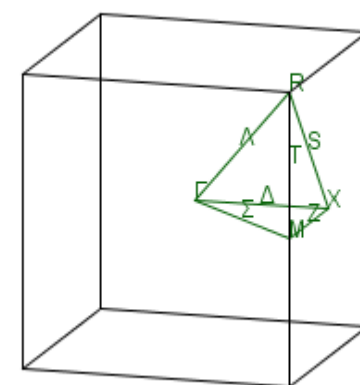
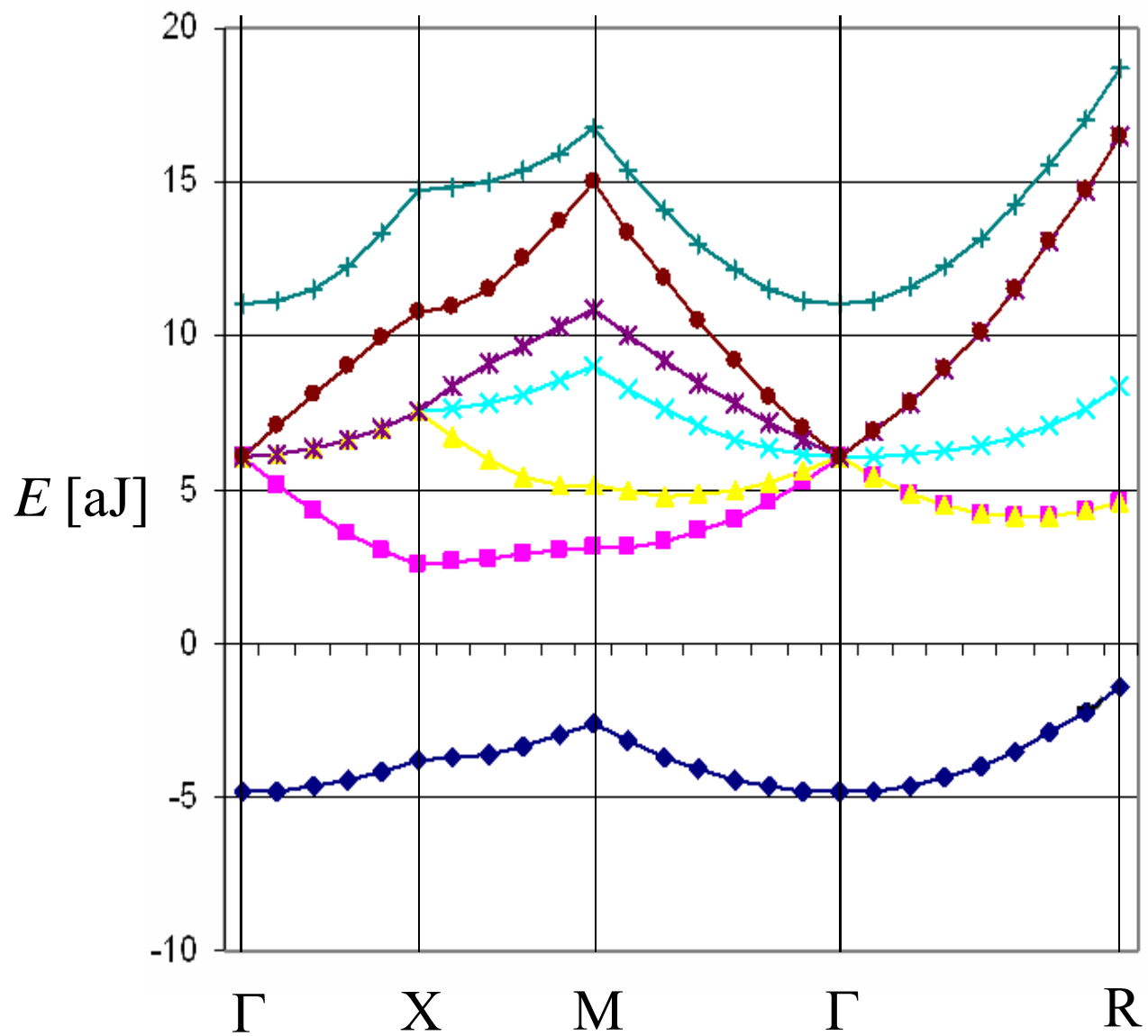
$$U_{\vec{G}} = \frac{-Ze^2}{V_{\text{unit cell}} \epsilon_0 G^2}$$

Central equations:
$$\left(\frac{\hbar^2 k^2}{2m} - E \right) C_{\vec{k}} + \sum_{\vec{G}} U_{\vec{G}} C_{\vec{k}-\vec{G}} = 0$$

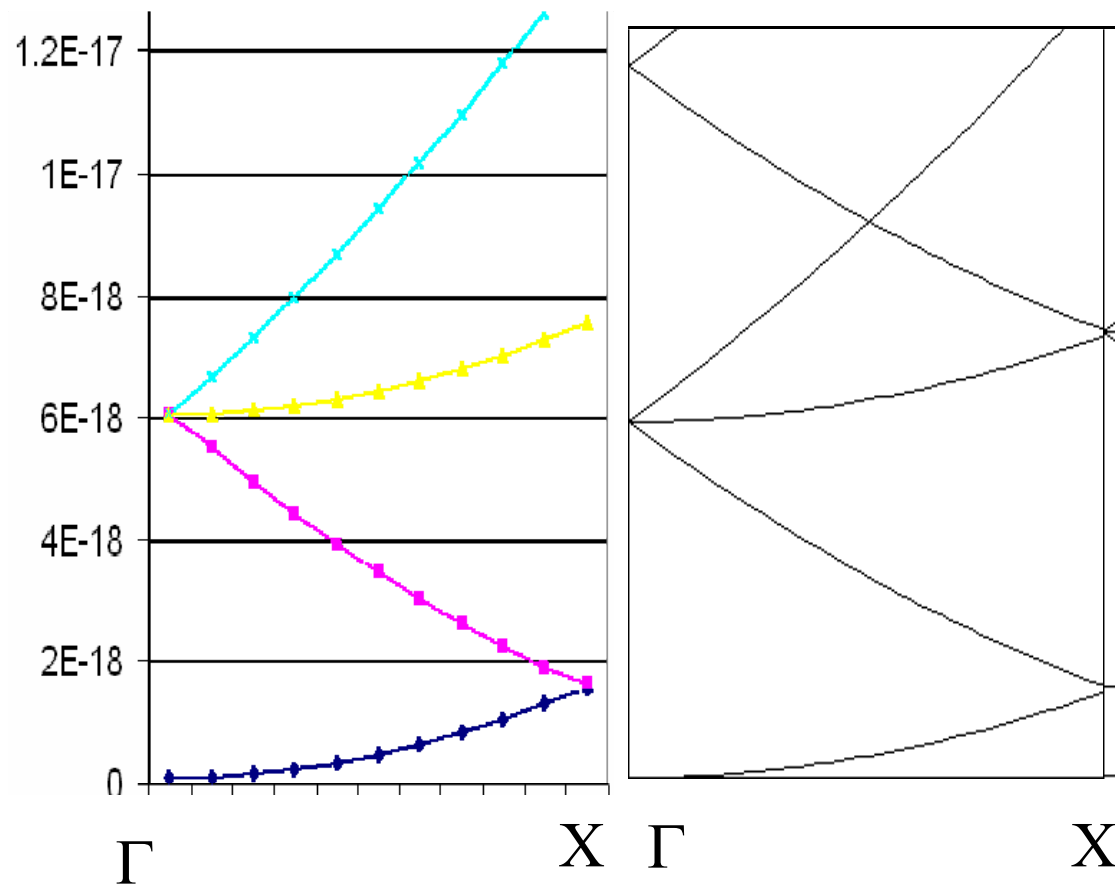
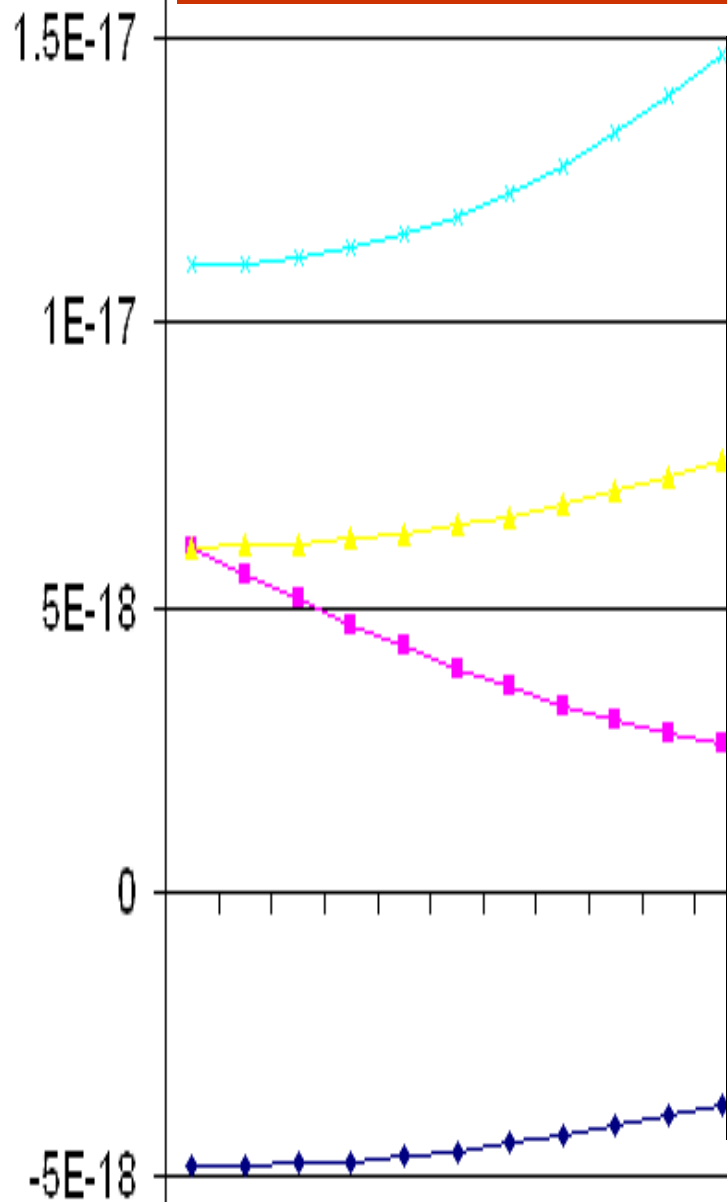
diagonal elements:
$$\frac{\hbar^2}{2m} (\vec{k} - \vec{G}_i)^2$$

off-diagonal elements:
$$\frac{-Ze^2}{V_{\text{unit cell}} \epsilon_0 (\vec{G}_i - \vec{G}_j)^2}$$

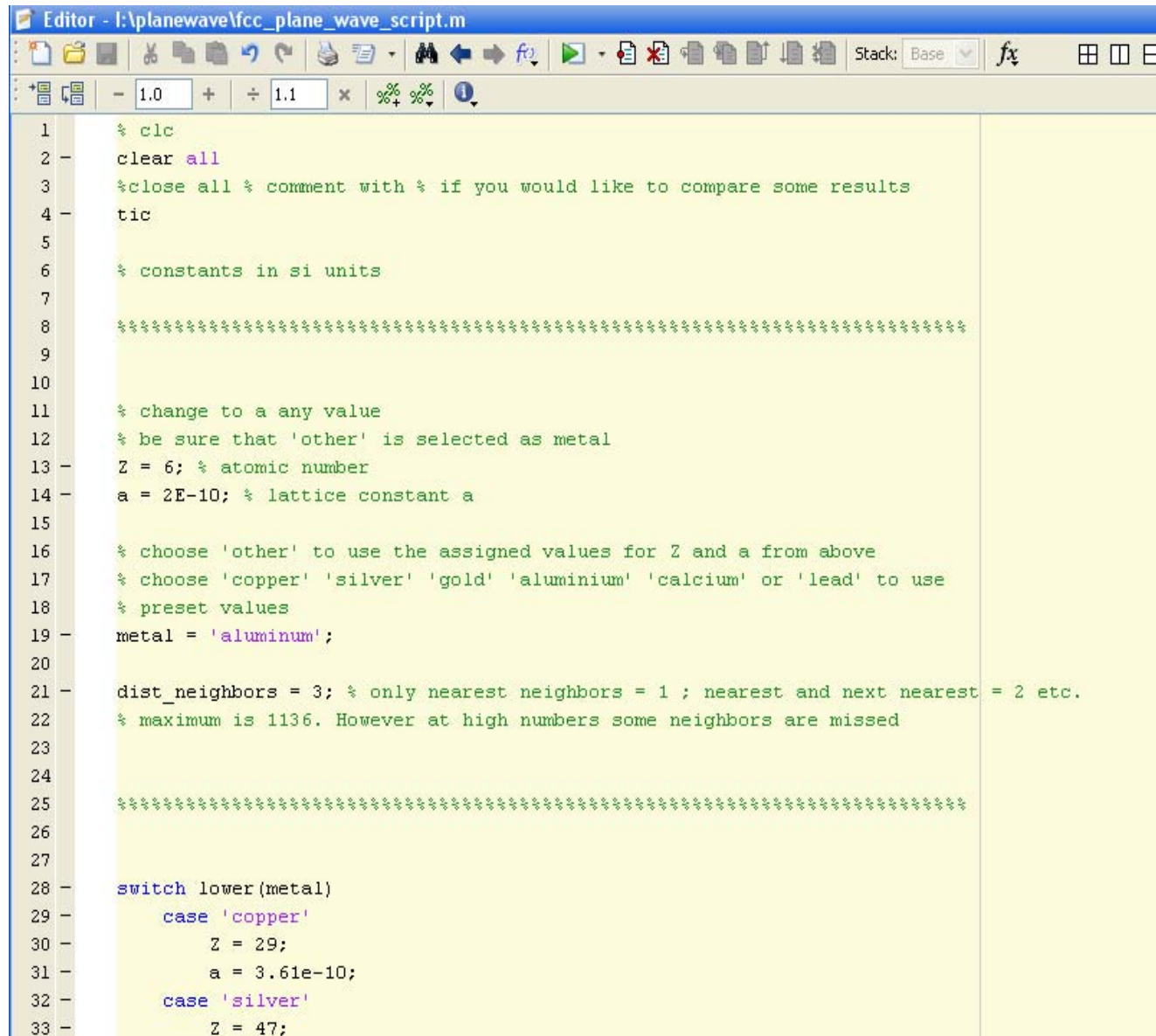
Central equations - simple cubic



Central equations - simple cubic



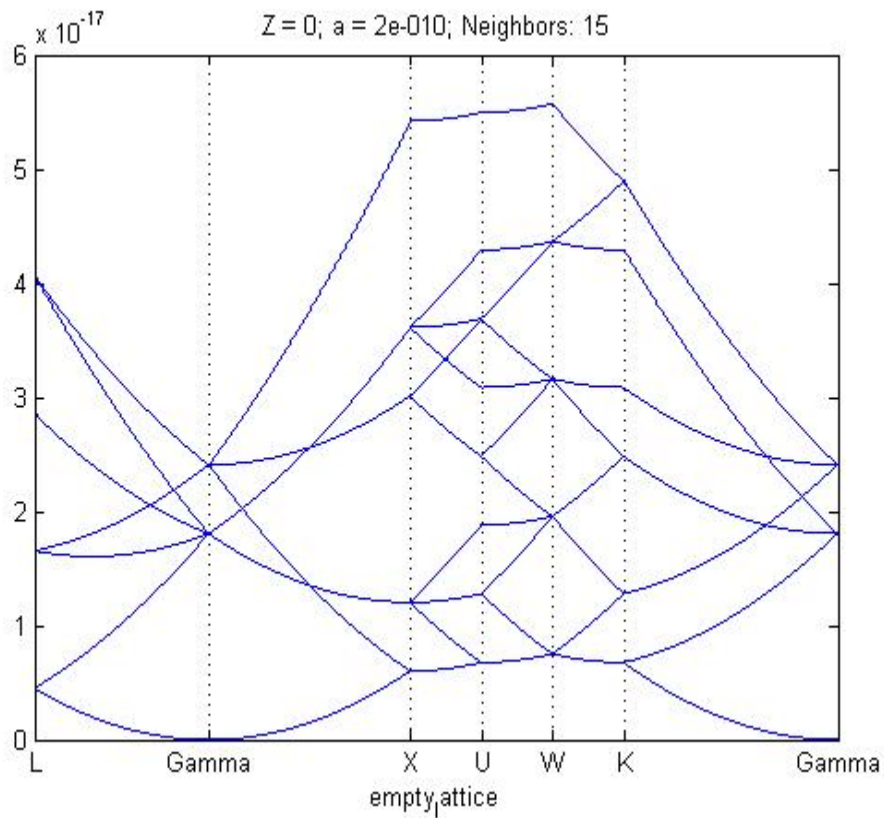
Plane wave method



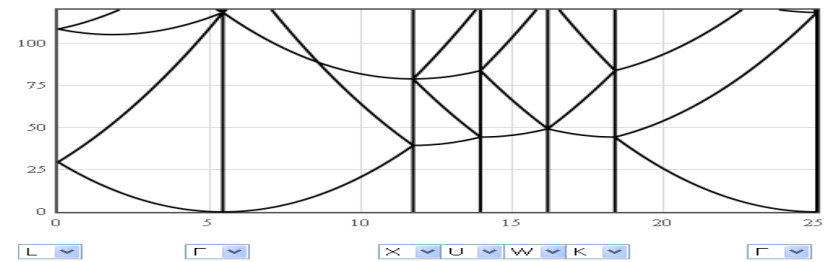
```
1  % clc
2  clear all
3  %close all % comment with % if you would like to compare some results
4  tic
5
6  % constants in si units
7
8  %*****
9
10
11 % change to a any value
12 % be sure that 'other' is selected as metal
13 Z = 6; % atomic number
14 a = 2E-10; % lattice constant a
15
16 % choose 'other' to use the assigned values for Z and a from above
17 % choose 'copper' 'silver' 'gold' 'aluminium' 'calcium' or 'lead' to use
18 % preset values
19 metal = 'aluminum';
20
21 dist_neighbors = 3; % only nearest neighbors = 1 ; nearest and next nearest = 2 etc.
22 % maximum is 1136. However at high numbers some neighbors are missed
23
24
25 %*****
26
27
28 switch lower(metal)
29     case 'copper'
30         Z = 29;
31         a = 3.61e-10;
32     case 'silver'
33         Z = 47;
```

Plane wave method

fcc $Z=0$

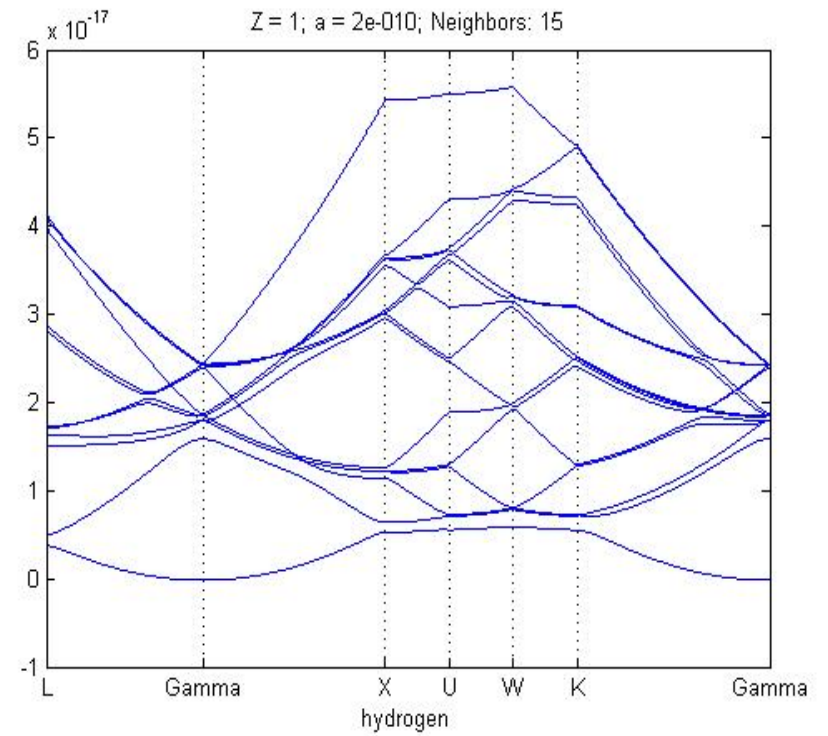
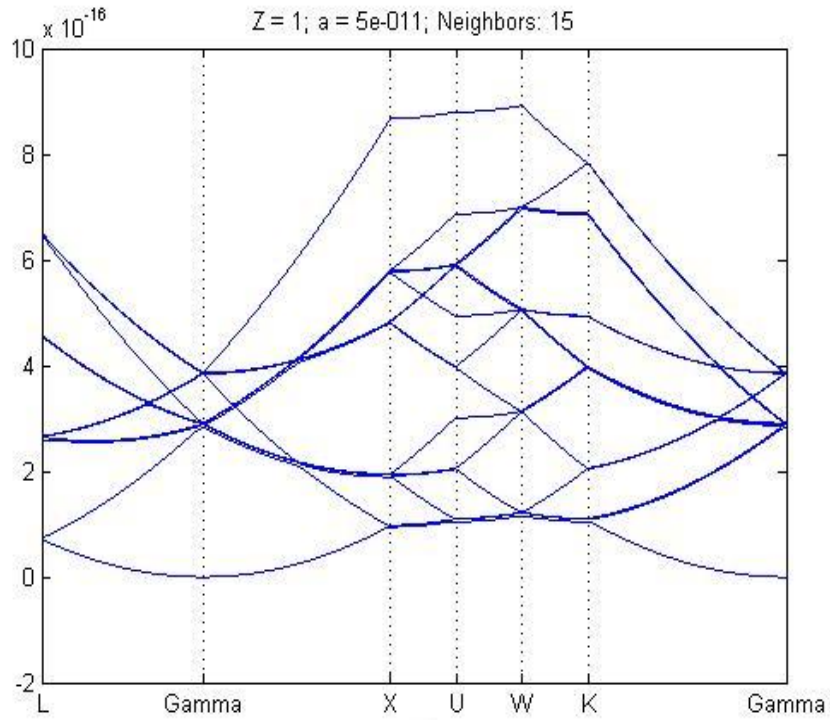


empty lattice



Plane wave method

fcc hydrogen



Approximate solution near the Bz boundary

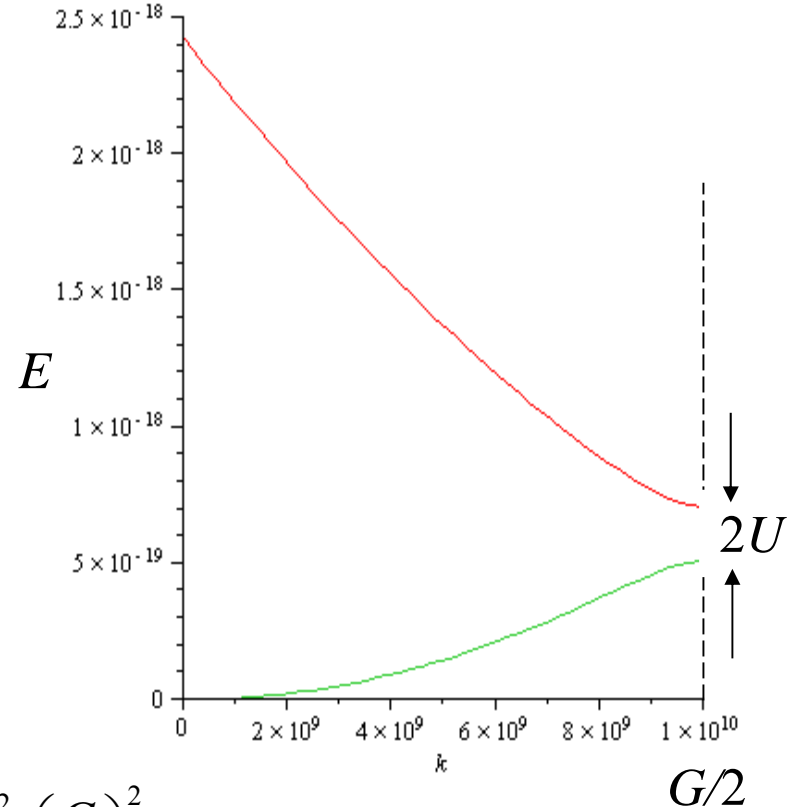
$$\left(\frac{\hbar^2 k^2}{2m} - E \right) C_k + \sum_G U_G C_{k-G} = 0$$

For just 2 terms

$$\begin{bmatrix} \frac{\hbar^2 k^2}{2m} - E & U \\ U & \frac{\hbar^2 (k-G)^2}{2m} - E \end{bmatrix} \begin{bmatrix} C_k \\ C_{k+G} \end{bmatrix} = 0$$

Near the Brillouin zone boundary $k \sim G/2$

$$\begin{bmatrix} \frac{\hbar^2 \left(\frac{G}{2}\right)^2}{2m} - E & U \\ U & \frac{\hbar^2 \left(\frac{G}{2}\right)^2}{2m} - E \end{bmatrix} \begin{bmatrix} C_k \\ C_{k+G} \end{bmatrix} = 0$$



$$E = \frac{\hbar^2}{2m} \left(\frac{G}{2} \right)^2 \pm U$$

Tight binding

Tight binding does not include electron-electron interactions

$$H_{MO} = \frac{-\hbar^2}{2m_e} \nabla^2 + V(\vec{r}) = \frac{-\hbar^2}{2m_e} \nabla^2 - \sum_A \frac{Z_A e^2}{4\pi\epsilon_0 |\vec{r} - \vec{r}_A|}$$

Assume a solution of the form.

$$\psi_k = \sum_{l,m,n} \exp\left(i\left(l\vec{k} \cdot \vec{a}_1 + m\vec{k} \cdot \vec{a}_2 + n\vec{k} \cdot \vec{a}_3\right)\right) \sum_a c_a \phi_a(\vec{r} - l\vec{a}_1 - m\vec{a}_2 - n\vec{a}_3)$$

↑
atomic orbitals:
choose the relevant
valence orbitals

Tight binding

$$\psi_k = \sum_{l,m,n} \exp\left(i\left(l\vec{k} \cdot \vec{a}_1 + m\vec{k} \cdot \vec{a}_2 + n\vec{k} \cdot \vec{a}_3\right)\right) \sum_a c_a \phi_a(\vec{r} - l\vec{a}_1 - m\vec{a}_2 - n\vec{a}_3)$$

$$H_{MO}\psi_k = E_k\psi_k$$

$$\langle \phi_a | H_{MO} | \psi_k \rangle = E_k \langle \psi_a | \psi_k \rangle$$

$$\begin{aligned} & c_a \langle \phi_a | H_{MO} | \phi_a \rangle + \sum_{\text{nearest neighbors } m} c_m \langle \phi_a | H_{MO} | \phi_m \rangle \exp(i(h\vec{k} \cdot \vec{a}_1 + j\vec{k} \cdot \vec{a}_2 + l\vec{k} \cdot \vec{a}_3)) + \text{small terms} \\ & = E_k c_a \langle \phi_a | \phi_a \rangle + \text{small terms} \end{aligned}$$

There is one equation for each atomic orbital

Tight binding, one atomic orbital

$$c_a \langle \phi_a | H_{MO} | \phi_a \rangle + \sum_{\text{nearest neighbors } m} c_m \langle \phi_a | H_{MO} | \phi_m \rangle \exp(i(h\vec{k} \cdot \vec{a}_1 + j\vec{k} \cdot \vec{a}_2 + l\vec{k} \cdot \vec{a}_3)) + \text{small terms}$$
$$= E_k c_a \langle \phi_a | \phi_a \rangle + \text{small terms}$$

For only one atomic orbital in the sum over valence orbitals

$$E_k c_a \langle \phi_a | \phi_a \rangle = c_a \langle \phi_a | H_{MO} | \phi_a \rangle + \sum_{\text{nearest neighbors } m} c_a \langle \phi_a | H_{MO} | \phi_m \rangle \exp(i(h\vec{k} \cdot \vec{a}_1 + j\vec{k} \cdot \vec{a}_2 + l\vec{k} \cdot \vec{a}_3))$$

one atomic orbital

$$E_k = \varepsilon - t \sum_m e^{i\vec{k} \cdot \vec{\rho}_m}$$

$$\varepsilon = \langle \phi_a(\vec{r}) | H_{MO} | \phi_a(\vec{r}) \rangle$$

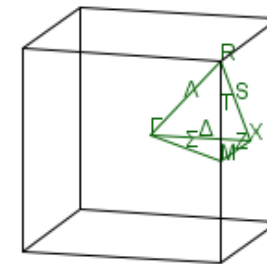
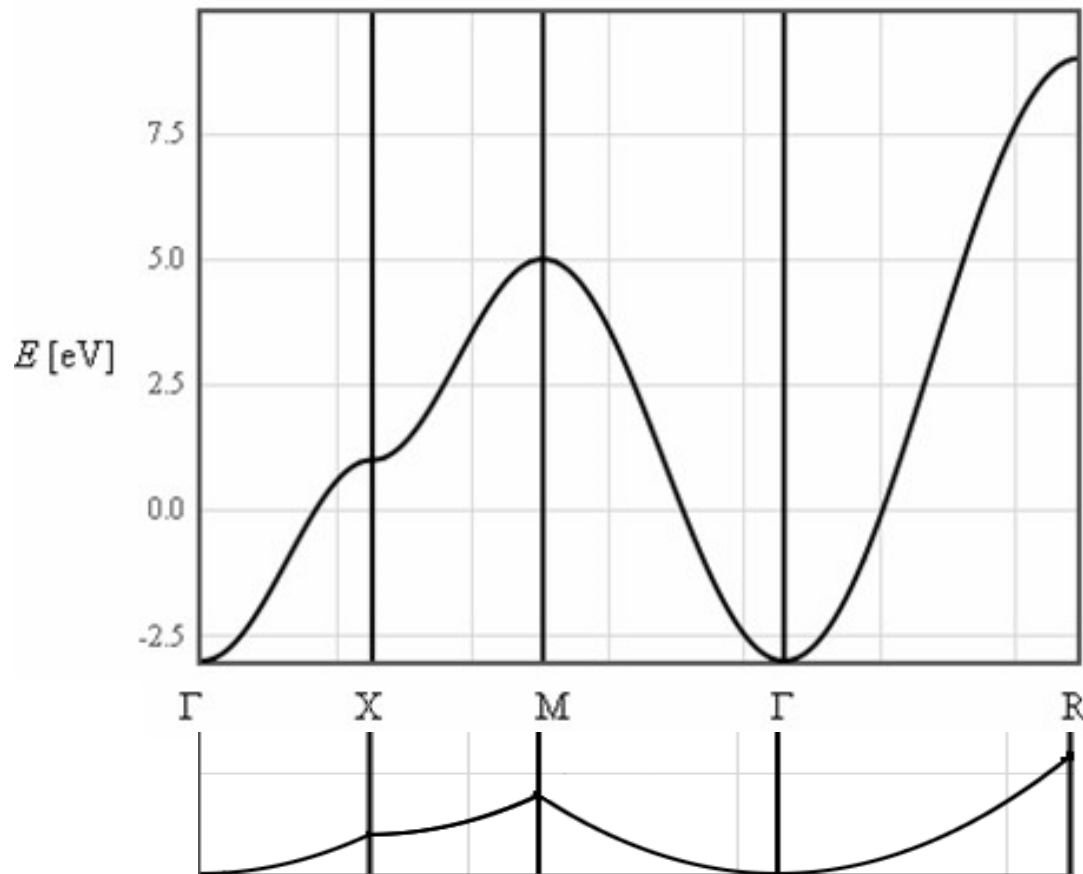
$$t = -\langle \phi_a(\vec{r}) | H_{MO} | \phi_a(\vec{r} - \vec{\rho}_m) \rangle$$

Tight binding, simple cubic

$$E = \varepsilon - t \sum_m e^{i\vec{k} \cdot \vec{\rho}_m}$$

$$E = \varepsilon - t \left(e^{ik_x a} + e^{-ik_x a} + e^{ik_y a} + e^{-ik_y a} + e^{ik_z a} + e^{-ik_z a} \right)$$

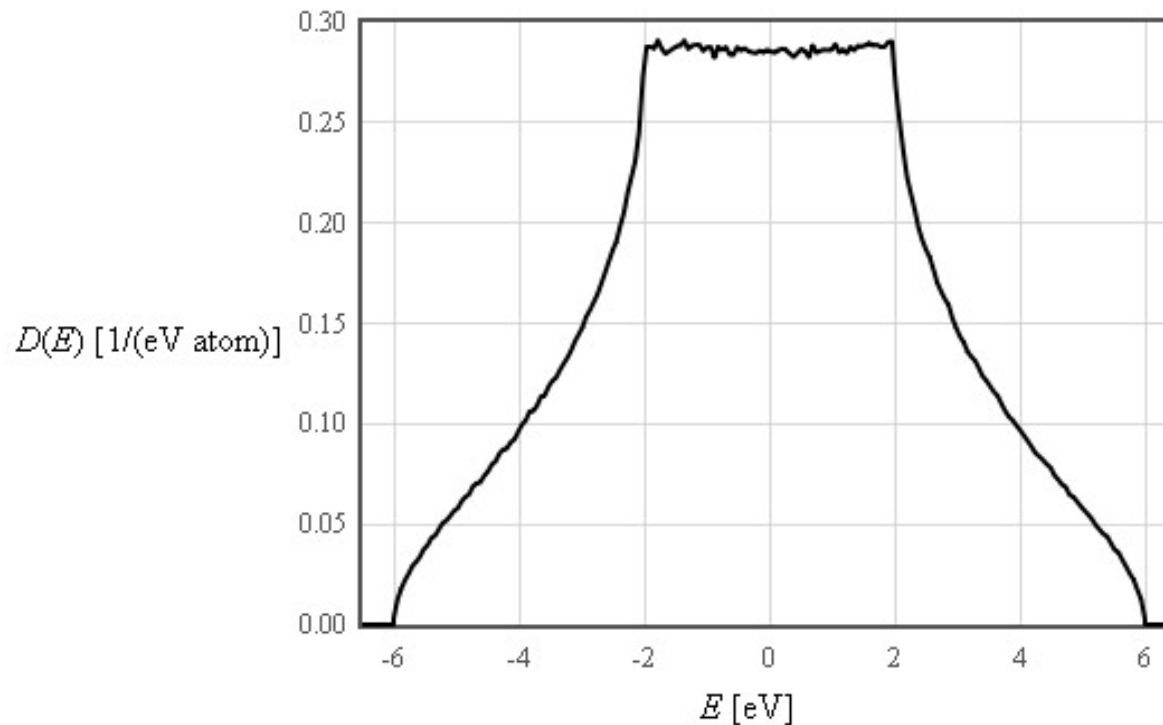
$$= \varepsilon - 2t \left(\cos(k_x a) + \cos(k_y a) + \cos(k_z a) \right)$$



Effective mass $m^* = \frac{\hbar^2}{\frac{d^2 E}{dk^2}} = \frac{\hbar^2}{2ta^2}$

Narrow bands \rightarrow high effective mass

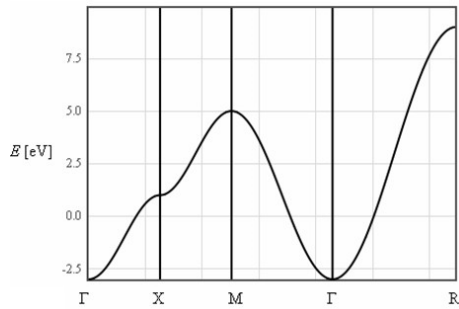
Density of states (simple cubic)



Calculate the energy for every allowed k in the Brillouin zone

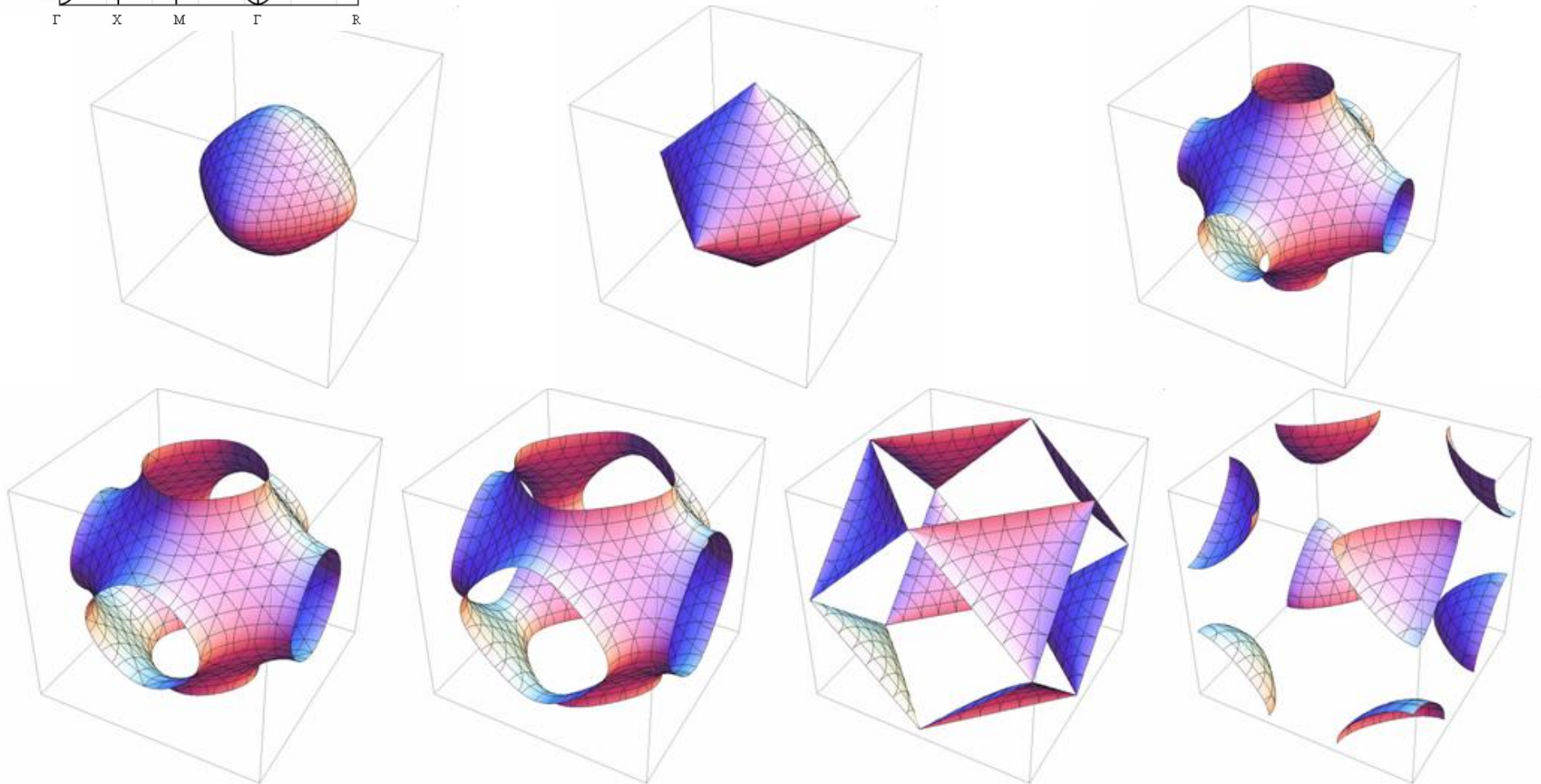
$$E = \varepsilon - 2t \left(\cos(k_x a) + \cos(k_y a) + \cos(k_z a) \right)$$

<http://lamp.tu-graz.ac.at/~hadley/ss1/bands/tbtable/tbtable.html>



Tight binding, simple cubic

$$E = \varepsilon - 2t(\cos(k_x a) + \cos(k_y a) + \cos(k_z a))$$

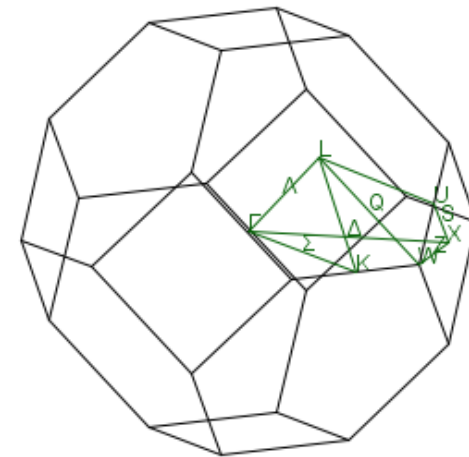
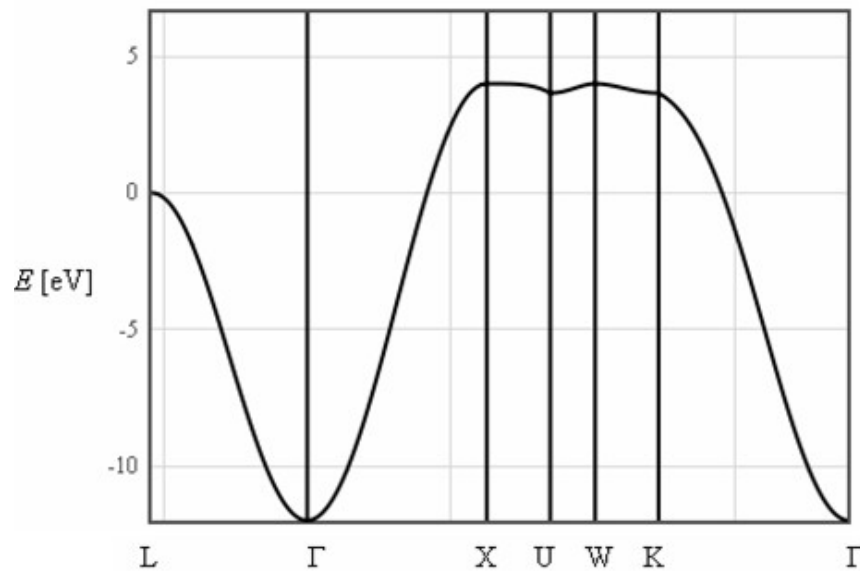


Christian Gruber, 2008

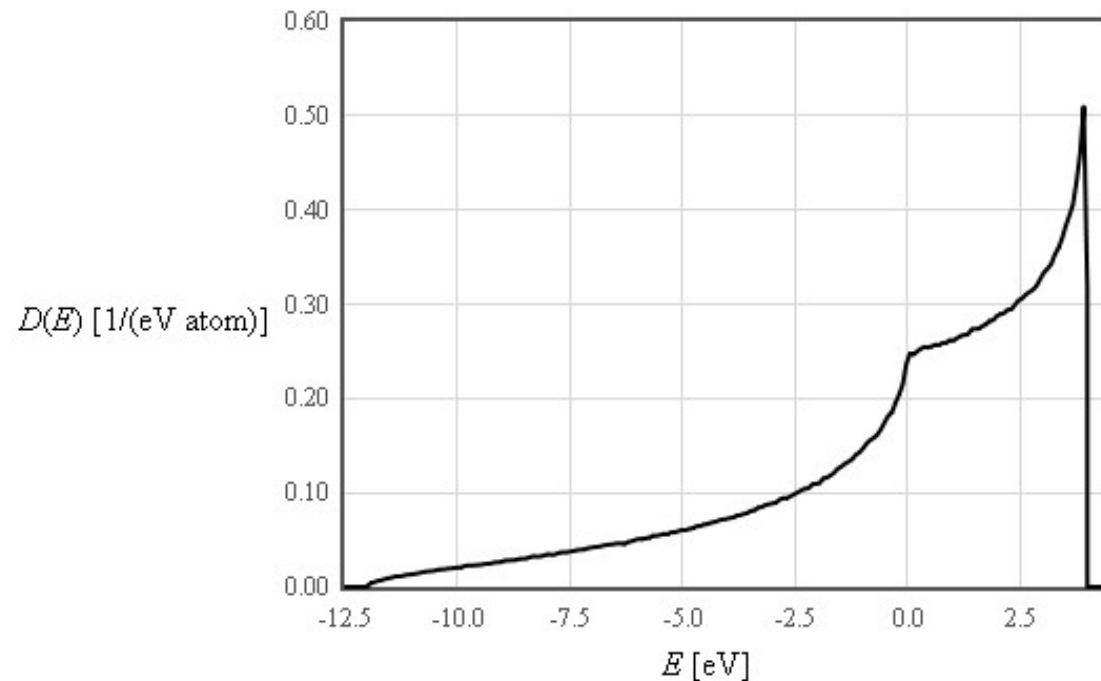
Tight binding, fcc

$$E = \varepsilon - t \sum_m e^{i\vec{k} \cdot \vec{\rho}_m}$$

$$E = \varepsilon - 4t \left(\cos\left(\frac{k_x a}{2}\right) \cos\left(\frac{k_y a}{2}\right) + \cos\left(\frac{k_x a}{2}\right) \cos\left(\frac{k_z a}{2}\right) + \cos\left(\frac{k_y a}{2}\right) \cos\left(\frac{k_z a}{2}\right) \right)$$



Density of states (fcc)

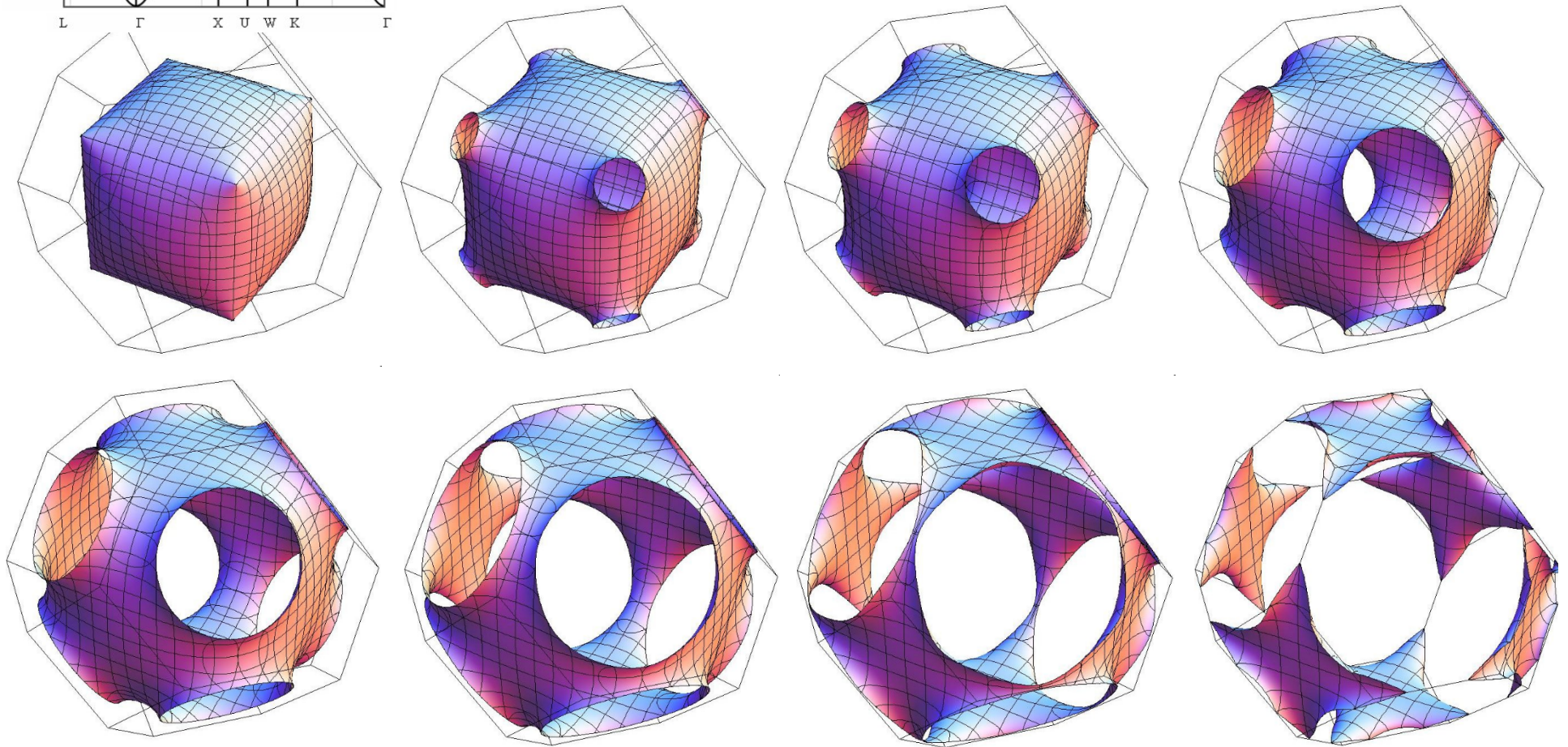
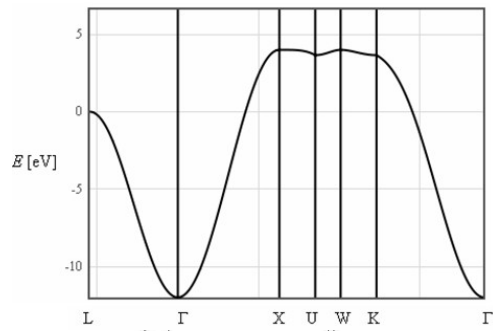


Calculate the energy for every allowed k in the Brillouin zone

$$E = \varepsilon - 4t \left(\cos\left(\frac{k_x a}{2}\right) \cos\left(\frac{k_y a}{2}\right) + \cos\left(\frac{k_x a}{2}\right) \cos\left(\frac{k_z a}{2}\right) + \cos\left(\frac{k_y a}{2}\right) \cos\left(\frac{k_z a}{2}\right) \right)$$

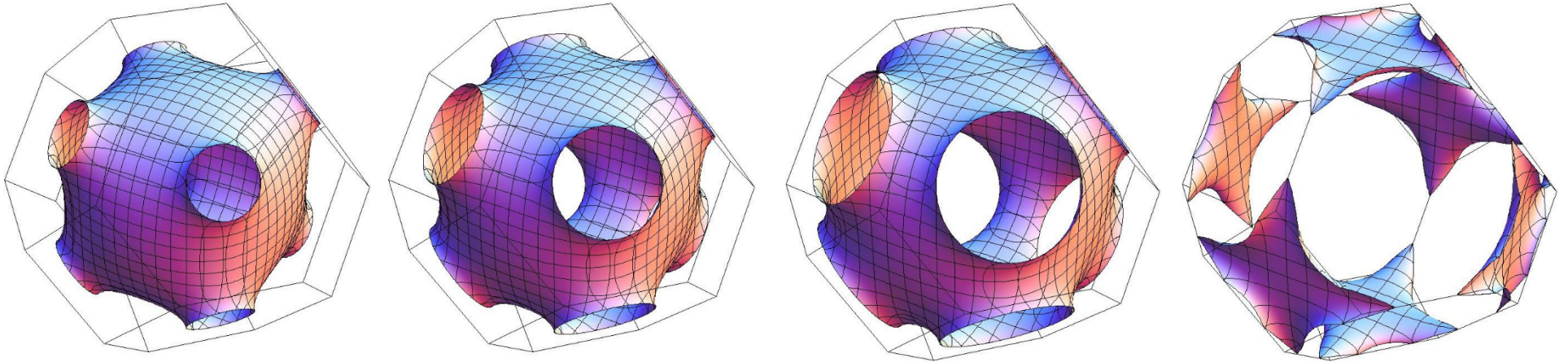
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Tight binding, fcc

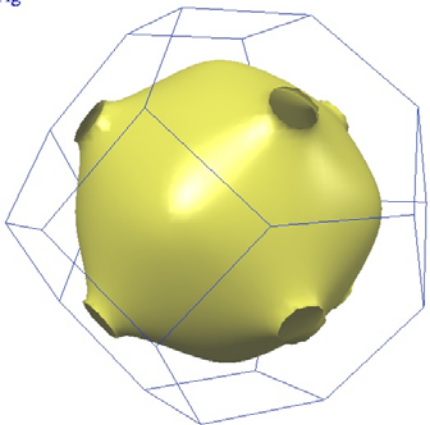


Christian Gruber, 2008

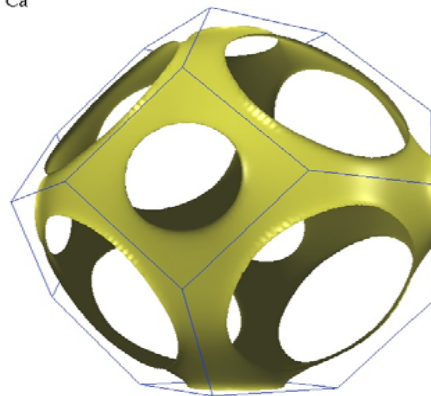
Tight binding, fcc



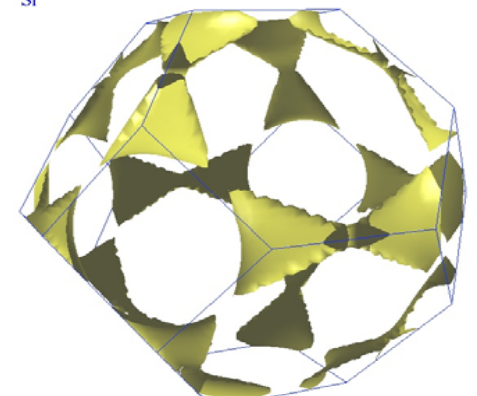
Ag



Ca

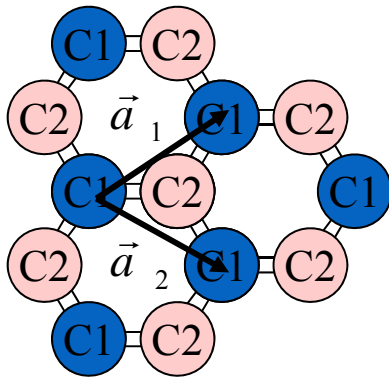


Sr

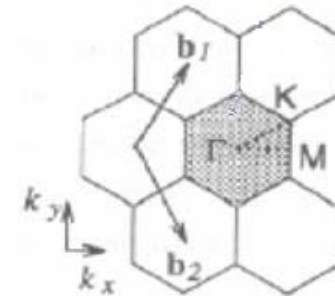


<http://www.phys.ufl.edu/fermisurface/>

Graphene



$$\vec{a}_1 = \frac{\sqrt{3}}{2} a \hat{x} + \frac{1}{2} a \hat{y}$$
$$\vec{a}_2 = \frac{\sqrt{3}}{2} a \hat{x} - \frac{1}{2} a \hat{y}$$



Two atoms per unit cell

Graphene has an unusual dispersion relation in the vicinity of the Fermi energy.