

6.730 Physics for Solid State Applications

Lecture 13: Electrons in a Periodic Solid

Outline

- Review Electronic Bandstructure Calculations
- Example: 1-D Crystals with Two Atomic Functions
- Example: 1-D Crystals with Two Atom Basis

Overview

$2N$ electrons each
for p_x, p_y, p_z

$2N$ electrons

Tight-binding and Lattice Wave Formalism

Electrons (LCAO)

$$(\tilde{\mathbf{S}}^{-1}(\mathbf{k}) \mathbf{H}(\mathbf{k})) \tilde{\boldsymbol{\epsilon}} = \mathbf{E} \tilde{\boldsymbol{\epsilon}}$$

$$\mathbf{H}_{\beta,\alpha}(\mathbf{k}) =$$

$$\sum_{\mathbf{R}_p} \langle \phi_{\beta \mathbf{r}-\mathbf{R}_s-\mathbf{R}_p} | \hat{\mathcal{H}} | \phi_{\alpha \mathbf{r}-\mathbf{R}_s} \rangle e^{-i\mathbf{k} \cdot \mathbf{R}_p}$$

$$S_{\beta,\alpha}(\mathbf{k}) =$$

$$\sum_{\mathbf{R}_p} \langle \phi_{\beta \mathbf{r}-\mathbf{R}_s-\mathbf{R}_p} | \phi_{\alpha \mathbf{r}-\mathbf{R}_s} \rangle e^{-i\mathbf{k} \cdot \mathbf{R}_p}$$

$$E(k) = E(k + n2\pi/a)$$

Lattice Waves

$$(\mathbf{M}^{-1} \mathbf{D}(\mathbf{k})) \vec{\epsilon} = \omega^2 \vec{\epsilon}$$

$$\tilde{\mathbf{D}}_{i,j}(p, m) = \left(\frac{\partial^2 V}{\partial u_i[p, t] \partial u_j[m, t]} \right)_{\text{eq}}$$

$$\omega(k) = \omega(k + n2\pi/a)$$

Energy for LCAO Bands

$$\psi(\mathbf{r}) = \sum_{\mathbf{n}=-\infty}^{\infty} c[\mathbf{n}] \phi(\mathbf{r} - \mathbf{n}a\mathbf{i}_x)$$

$$\sum_{m=-\infty}^{\infty} \tilde{H}(n, m) c[m] = E \sum_{p=-\infty}^{\infty} \tilde{S}(n, p) c[p]$$

$$\tilde{H}(n, m) = \langle \phi(\mathbf{r} - \mathbf{n}a\mathbf{i}_x) | \hat{\mathcal{H}} | \phi(\mathbf{r} - \mathbf{m}a\mathbf{i}_x) \rangle$$

$$\tilde{S}(n, p) = \langle \phi(\mathbf{r} - \mathbf{n}a\mathbf{i}_x) | \phi(\mathbf{r} - \mathbf{p}a\mathbf{i}_x) \rangle$$

$$\psi_k(\mathbf{r}) = \epsilon \sum_{\mathbf{n}=-\infty}^{\infty} e^{-ikna} \phi(\mathbf{r} - \mathbf{n}a\mathbf{i}_x)$$

$$\left(\sum_{m=-\infty}^{\infty} \tilde{H}(n, m) e^{-ik(n-m)a} \right) \epsilon = E \left(\sum_{p=-\infty}^{\infty} \tilde{S}(n, p) e^{-ik(n-p)a} \right) \epsilon$$

Energy for LCAO Bands

$$\left(\sum_{m=-\infty}^{\infty} \widetilde{H}(n, m) e^{-ik(n-m)a} \right) \epsilon = E \left(\sum_{p=-\infty}^{\infty} \widetilde{S}(n, p) e^{-ik(n-p)a} \right) \epsilon$$

$$\widetilde{H}(n, m) = \widetilde{H}^*(m, n) = \widetilde{H}(n - m) \quad \text{and}$$

$$\widetilde{S}(n, m) = \widetilde{S}^*(m, n) = \widetilde{S}(n - m)$$

Reduced Hamiltonian Matrix:

$$H(k) = \sum_{p=-\infty}^{\infty} \widetilde{H}(p) e^{-ikpa}$$

Reduced Overlap Matrix:

$$S(k) = \sum_{p=-\infty}^{\infty} \widetilde{S}(p) e^{-ikpa}$$

$$H(k) \epsilon = E S(k) \epsilon$$

$$E(k) = \frac{H(k)}{S(k)}$$

Reduced Overlap Matrix for 1-D Lattice

Single orbital, single atom basis

$$S(k) = \sum_{p=-\infty}^{\infty} \tilde{S}(p) e^{-ikpa}$$

$$\tilde{S}(0) = \langle \phi(r) | \phi(r) \rangle = 1$$

$$\tilde{S}(1) = \langle \phi(\mathbf{r} - \mathbf{a}_x) | \phi(\mathbf{r}) \rangle$$

$$\tilde{S}(1) = \tilde{S}(-1)$$

$$S(k) = 1 + \tilde{S}(1)(e^{ika} + e^{-ika})$$

Reduced Hamiltonian Matrix for 1-D Lattice

Single orbital, single atom basis

$$H(k) = \sum_{p=-\infty}^{\infty} \widetilde{H}(p) e^{-ikpa}$$

$$\widetilde{H}(0) = \langle \phi(r) | \frac{\hat{p}^2}{2m} + V_0 + \Delta V(r) | \phi(r) \rangle$$

$$= E_s^0 + \langle \phi(r) | \Delta V(r) | \phi(r) \rangle$$

$$\equiv E_s$$

$$\widetilde{H}(1) = \langle \phi(\mathbf{r} - a\mathbf{i}_x) | \frac{\hat{p}^2}{2m} + V_0 + \Delta V(\mathbf{r}) | \phi(\mathbf{r}) \rangle$$

$$\equiv V_{ss\sigma}$$

$$= \widetilde{H}(-1)$$

$$H(k) = E_s + V_{ss\sigma}(e^{ika} + e^{-ika})$$

Energy Band for 1-D Lattice

Single orbital, single atom basis

$$H(k) \epsilon = E S(k) \epsilon$$

$$E(k) = \frac{H(k)}{S(k)} = \frac{E_s + V_{ss\sigma}(e^{ika} + e^{-ika})}{1 + \tilde{S}(1)(e^{ika} + e^{-ika})} \quad E(k) = E(k + n2\pi/a)$$

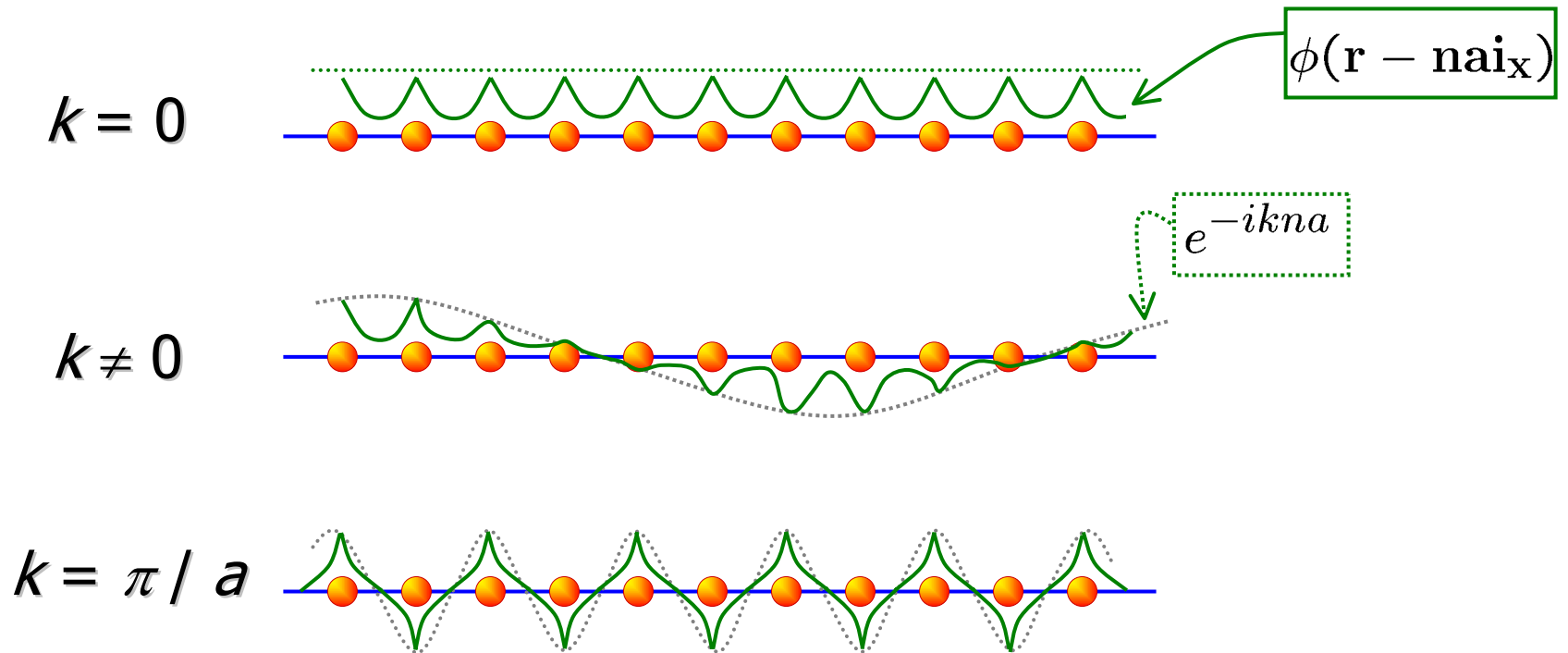
$$|\tilde{S}(1)| \ll 1$$

$$E(k) \approx E_s + 2 V_{ss\sigma} \cos ka$$

LCAO Wavefunction for 1-D Lattice

Single orbital, single atom basis

$$\psi_k(\mathbf{r}) = \epsilon \sum_{n=-\infty}^{\infty} e^{-ikna} \phi(\mathbf{r} - n\mathbf{a}_x)$$



$$k = 2\pi p / (Na)$$

Energy Band for 1-D Lattice

Two orbital, single atom basis

$2N$ electrons each
for p_x, p_y, p_z

$2N$ electrons

Energy Band for 1-D Lattice

Two orbital, single atom basis

$$\alpha = 2s, 2p_x$$

$$\psi(\mathbf{r}) = \sum_{\alpha} \sum_{\mathbf{n}=-\infty}^{\infty} \mathbf{c}_{\alpha}[\mathbf{n}] \phi_{\alpha}(\mathbf{r} - \mathbf{n}\mathbf{a}_x)$$

$$\sum_{\alpha} \sum_{m=-\infty}^{\infty} \tilde{\mathbf{H}}_{\beta,\alpha}(n, m) c_{\alpha}[m] = E \sum_{\alpha} \sum_{p=-\infty}^{\infty} \tilde{\mathbf{S}}_{\beta,\alpha}(n, p) c_{\alpha}[p]$$

$$\tilde{\mathbf{H}}_{\beta,\alpha}(n, m) = \langle \phi_{\beta}(\mathbf{r} - \mathbf{n}\mathbf{a}_x) | \hat{\mathcal{H}} | \phi_{\alpha}(\mathbf{r} - \mathbf{m}\mathbf{a}_x) \rangle$$

$$\tilde{\mathbf{S}}_{\beta,\alpha}(n, p) = \langle \phi_{\beta}(\mathbf{r} - \mathbf{n}\mathbf{a}_x) | \phi_{\alpha}(\mathbf{r} - \mathbf{p}\mathbf{a}_x) \rangle$$

$$\mathbf{c}[\mathbf{n}] = \begin{pmatrix} c_{2s}[\mathbf{n}] \\ c_{2p_x}[\mathbf{n}] \end{pmatrix}$$

Energy Band for 1-D Lattice

Two orbital, single atom basis

$$\sum_{m=-\infty}^{\infty} \tilde{H}(n, m) c[m] = E \sum_{p=-\infty}^{\infty} \tilde{S}(n, p) c[p]$$

$$c[n + 1] = e^{ika} c[n] \quad c[n] = e^{ikna} \tilde{\epsilon}$$

Reduced Hamiltonian and Overlap Matrices:

$$\mathbf{H}(\mathbf{k}) \tilde{\epsilon} = E \mathbf{S}(\mathbf{k}) \tilde{\epsilon}$$

$$\mathbf{H}(\mathbf{k}) = \sum_{m=-\infty}^{\infty} \tilde{H}(n, m) e^{ika(m-n)} = \sum_{p=-\infty}^{\infty} \tilde{H}(p) e^{-ikpa}$$

$$\mathbf{S}(\mathbf{k}) = \sum_{m=-\infty}^{\infty} \tilde{S}(n, m) e^{ika(m-n)} = \sum_{p=-\infty}^{\infty} \tilde{S}(p) e^{-ikpa}$$

Energy Band for 1-D Lattice

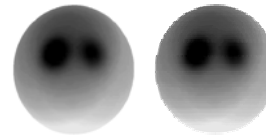
Two orbital, single atom basis

Hamiltonian Matrix

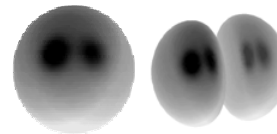
$$E_s = \langle \phi_s(\mathbf{r}) | \hat{\mathcal{H}} | \phi_s(\mathbf{r}) \rangle$$

$$E_p = \langle \phi_p(\mathbf{r}) | \hat{\mathcal{H}} | \phi_p(\mathbf{r}) \rangle$$

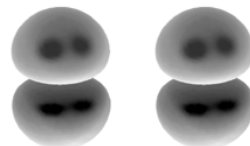
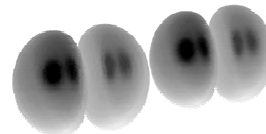
$$V_{ss\sigma} = \langle \phi_s(\mathbf{r}) | \hat{\mathcal{H}} | \phi_s(\mathbf{r} - \mathbf{a}_x) \rangle$$



$$V_{sp\sigma} = \langle \phi_s(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) \rangle$$



$$V_{pp\sigma} = \langle \phi_{p_x}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) \rangle$$



$$V_{pp\pi} = \langle \phi_{p_y}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{p_y}(\mathbf{r} - \mathbf{a}_x) \rangle$$

Energy Band for 1-D Lattice

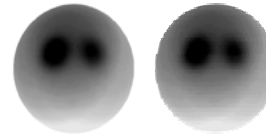
Two orbital, single atom basis

Overlap Matrix

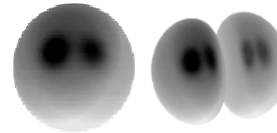
$$1 = \langle \phi_p(\mathbf{r}) | \phi_p(\mathbf{r}) \rangle$$

$$1 = \langle \phi_s(\mathbf{r}) | \phi_s(\mathbf{r}) \rangle$$

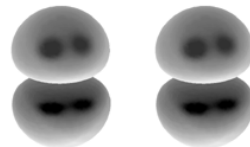
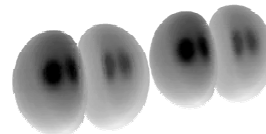
$$S_{ss\sigma} = \langle \phi_s(\mathbf{r}) | \phi_s(\mathbf{r} - a\mathbf{i}_x) \rangle$$



$$S_{sp\sigma} = \langle \phi_s(\mathbf{r}) | \phi_{p_x}(\mathbf{r} - a\mathbf{i}_x) \rangle$$



$$S_{pp\sigma} = \langle \phi_{p_x}(\mathbf{r}) | \phi_{p_x}(\mathbf{r} - a\mathbf{i}_x) \rangle$$



$$S_{pp\pi} = \langle \phi_{p_y}(\mathbf{r}) | \phi_{p_y}(\mathbf{r} - a\mathbf{i}_x) \rangle$$

Energy Band for 1-D Lattice

Two orbital, single atom basis

$$\mathbf{H}(\mathbf{k}) = \begin{array}{c} \langle \phi_s | \\ \langle \phi_{p_x} | \end{array} \begin{array}{cc} \begin{array}{c} | \phi_s \rangle \\ E_s + V_{ss\sigma} (e^{ika} + e^{-ika}) \end{array} & \begin{array}{c} | \phi_{p_x} \rangle \\ V_{sp\sigma} (e^{-ika} - e^{ika}) \end{array} \\ \begin{array}{c} V_{sp\sigma} (e^{ika} - e^{-ika}) \\ E_p + V_{pp\sigma} (e^{ika} + e^{-ika}) \end{array} & \end{array} \end{array}$$

$$\mathbf{S}(\mathbf{k}) = \begin{array}{c} \langle \phi_s | \\ \langle \phi_{p_x} | \end{array} \begin{array}{cc} \begin{array}{c} | \phi_s \rangle \\ 1 + S_{ss\sigma} (e^{ika} + e^{-ika}) \end{array} & \begin{array}{c} | \phi_{p_x} \rangle \\ S_{sp\sigma} (e^{-ika} - e^{ika}) \end{array} \\ \begin{array}{c} S_{sp\sigma} (e^{ika} - e^{-ika}) \\ 1 + S_{pp\sigma} (e^{ika} + e^{-ika}) \end{array} & \end{array} \end{array}$$

$$\mathbf{H}(\mathbf{k}) \tilde{\epsilon} = \mathbf{E} \mathbf{S}(\mathbf{k}) \tilde{\epsilon}$$

$$\begin{pmatrix} E_s + 2V_{ss\sigma} \cos ka & -i2V_{sp\sigma} \sin ka \\ i2V_{sp\sigma} \sin ka & E_{p_x} + 2V_{pp\sigma} \cos ka \end{pmatrix} \begin{pmatrix} \epsilon_{2s} \\ \epsilon_{2p_x} \end{pmatrix} = E(k) \begin{pmatrix} \epsilon_{2s} \\ \epsilon_{2p_x} \end{pmatrix}$$

Energy Band for 1-D Lattice

Two orbital, single atom basis

Solutions

$$E_{1,2}(k) = \frac{E_1 + E_2}{2} \pm \frac{1}{2} \left\{ (E_2 - E_1)^2 + 4V^2 \right\}^{1/2}$$

$$E_1 = E_s + 2V_{ss\sigma} \cos ka \quad E_2 = E_p + 2V_{pp\sigma} \cos ka \quad V = 2V_{sp\sigma} \sin ka$$

At $k=0$:

$$E_1(0) = E_s - 2|V_{ss\sigma}| \quad \text{with} \quad \vec{\epsilon}_{1,0} = \begin{pmatrix} 1 \\ 0 \end{pmatrix} \quad \text{pure s}$$

$$\psi_{1,0}(\mathbf{r}) = \epsilon_{1,0} [\dots + \phi_s(\mathbf{r} + \mathbf{a}_x) + \phi_s(\mathbf{r}) + \phi_s(\mathbf{r} - \mathbf{a}_x) + \phi_s(\mathbf{r} - 2\mathbf{a}_x) + \dots]$$

$$E_2(0) = E_p + 2|V_{pp\sigma}| \quad \text{with} \quad \vec{\epsilon}_{2,0} = \begin{pmatrix} 0 \\ 1 \end{pmatrix} \quad \text{pure p}$$

$$\psi_{2,0}(\mathbf{r}) = \epsilon_{2,0} [\dots + \phi_{p_x}(\mathbf{r} + \mathbf{a}_x) + \phi_{p_x}(\mathbf{r}) + \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) + \dots]$$

Energy Band for 1-D Lattice

Two orbital, single atom basis

Solutions

At $k=\pi/a$:

$$E_1(\pi/a) = E_s + 2|V_{ss\sigma}| \quad \text{with} \quad \vec{\epsilon}_2(0) = \begin{pmatrix} 1 \\ 0 \end{pmatrix} \quad \text{pure s}$$

$$\psi_{1,\pi/a}(\mathbf{r}) = \epsilon_{1,\pi/a} [\dots - \phi_s(\mathbf{r} + \mathbf{a}_x) + \phi_s(\mathbf{r}) - \phi_s(\mathbf{r} - \mathbf{a}_x) + \phi_s(\mathbf{r} - 2\mathbf{a}_x) - \dots]$$

$$E_2(\pi/a) = E_p - 2|V_{pp\sigma}| \quad \text{with} \quad \vec{\epsilon}_{2,0} = \begin{pmatrix} 0 \\ 1 \end{pmatrix} \quad \text{pure p}$$

$$\psi_{2,\pi/a}(\mathbf{r}) = \epsilon_{2,\pi/a} [\dots - \phi_{p_x}(\mathbf{r} + \mathbf{a}_x) + \phi_{p_x}(\mathbf{r}) - \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) + \phi_{p_x}(\mathbf{r} - 2\mathbf{a}_x) - \dots]$$

For k away from zone center and zone boundary, bands are mixture of s and p but will have a dominant s-like or p-like character....

At high symmetry points tight-binding returns pure orbitals...

Energy Band for 1-D Lattice

Two orbital, single atom basis

Solutions

$$\psi_{2,0}(\mathbf{r}) = \epsilon_{2,0} [\cdots + \phi_{p_x}(\mathbf{r} + \mathbf{a}_x) + \phi_{p_x}(\mathbf{r}) + \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) + \cdots]$$

$$E_2(0) = E_p + 2|V_{pp\sigma}|$$

$$\psi_{2,\pi/a}(\mathbf{r}) = \epsilon_{2,\pi/a} [\cdots - \phi_{p_x}(\mathbf{r} + \mathbf{a}_x) + \phi_{p_x}(\mathbf{r}) - \phi_{p_x}(\mathbf{r} - \mathbf{a}_x) + \phi_{p_x}(\mathbf{r} - 2\mathbf{a}_x) - \cdots]$$

$$E_2(\pi/a) = E_p - 2|V_{pp\sigma}|$$

$$\psi_{1,\pi/a}(\mathbf{r}) = \epsilon_{1,\pi/a} [\cdots - \phi_s(\mathbf{r} + \mathbf{a}_x) + \phi_s(\mathbf{r}) - \phi_s(\mathbf{r} - \mathbf{a}_x) + \phi_s(\mathbf{r} - 2\mathbf{a}_x) - \cdots]$$

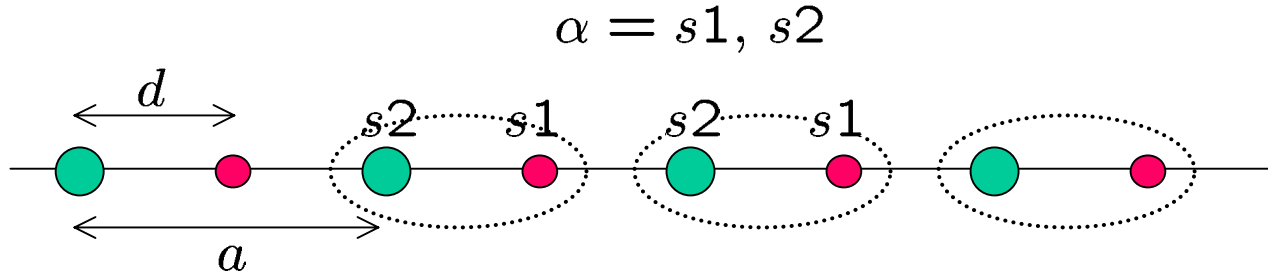
$$E_1(\pi/a) = E_s + 2|V_{ss\sigma}|$$

$$\psi_{1,0}(\mathbf{r}) = \epsilon_{1,0} [\cdots + \phi_s(\mathbf{r} + \mathbf{a}_x) + \phi_s(\mathbf{r}) + \phi_s(\mathbf{r} - \mathbf{a}_x) + \phi_s(\mathbf{r} - 2\mathbf{a}_x) + \cdots]$$

$$E_1(0) = E_s - 2|V_{ss\sigma}|$$

Energy Band for 1-D Lattice

Single orbital, two atom basis



$$\psi(\mathbf{r}) = \sum_{\alpha} \sum_{\mathbf{n}=-\infty}^{\infty} \mathbf{c}_{\alpha}[\mathbf{n}] \phi_{\alpha}(\mathbf{r} - \mathbf{n} \mathbf{a} \mathbf{i}_x)$$

$$\mathbf{H}(\mathbf{k}) \tilde{\epsilon} = \mathbf{E} \mathbf{S}(\mathbf{k}) \tilde{\epsilon}$$

$$E_s = \langle \phi_{s1}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{s1}(\mathbf{r}) \rangle$$

$$E_s = \langle \phi_{s2}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{s2}(\mathbf{r}) \rangle$$

$$V_{s,d} = \langle \phi_{s1}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{s2}(\mathbf{r}) \rangle$$

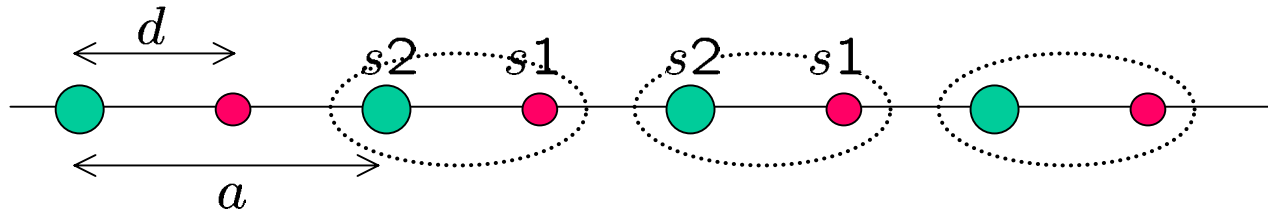
$$V_{s,a-d} = \langle \phi_{s2}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{s1}(\mathbf{r} - \mathbf{a} \mathbf{i}_x) \rangle$$

$$V_{s,a-d} = \langle \phi_{s1}(\mathbf{r}) | \hat{\mathcal{H}} | \phi_{s2}(\mathbf{r} + \mathbf{a} \mathbf{i}_x) \rangle$$

Energy Band for 1-D Lattice

Single orbital, two atom basis

$$\alpha = s1, s2$$



$$\mathbf{H}(\mathbf{k}) = \begin{matrix} & |\phi_{s1}\rangle & |\phi_{s2}\rangle \\ \begin{matrix} \langle\phi_{s1}| \\ \langle\phi_{s2}| \end{matrix} & \begin{pmatrix} E_s & V_{s,d} + V_{s,a-d}e^{ika} \\ V_{s,d} + V_{s,a-d}e^{-ika} & E_s \end{pmatrix} \end{matrix}$$

$$\mathbf{S}(\mathbf{k}) = \mathbf{1}$$

$$E_{1,2} = E_s \pm \left\{ V_{s,d}^2 + V_{s,a-d}^2 + 2V_{s,d}V_{s,a-d} \cos ka \right\}^{1/2}$$

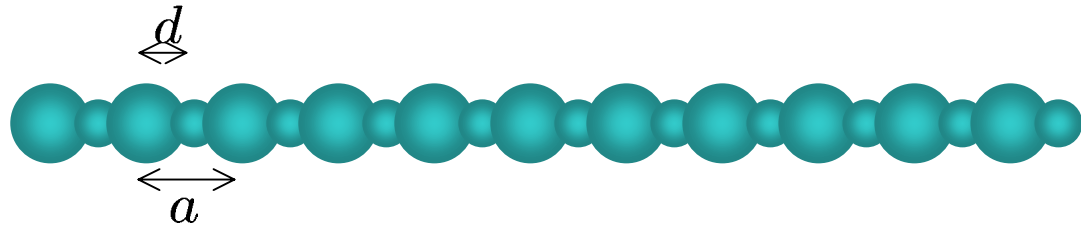
Energy Band for 1-D Lattice

Single orbital, two atom basis

At $k=0$:

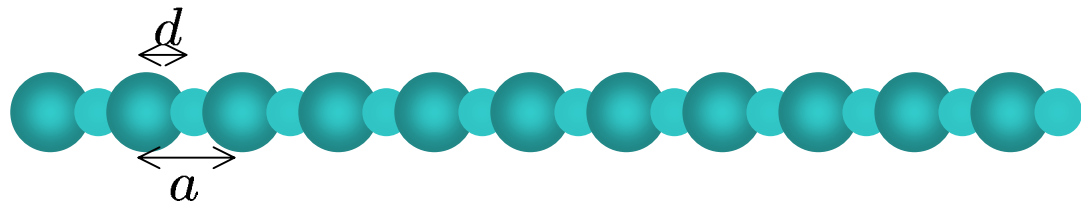
$$E_1(0) = E_s + (V_{s,d} + V_{s,a-d}) \quad \text{with} \quad \vec{\epsilon}_{1,0} = \frac{1}{\sqrt{2}} \begin{pmatrix} 1 \\ 1 \end{pmatrix}$$

$$\psi_{1,0}(\mathbf{r}) = \epsilon_{1,0} \{ \dots + \phi_s(\mathbf{r}) + \phi_s(\mathbf{r} - d\mathbf{i}_x) + \phi_s(\mathbf{r} - a\mathbf{i}_x) + \phi_s(\mathbf{r} - d\mathbf{i}_x - a\mathbf{i}_x) + \dots \}$$



$$E_2(0) = E_s - (V_{s,d} + V_{s,a-d}) \quad \text{with} \quad \vec{\epsilon}_{2,0} = \frac{1}{\sqrt{2}} \begin{pmatrix} 1 \\ -1 \end{pmatrix}$$

$$\psi_{2,0}(\mathbf{r}) = \epsilon_{2,0} \{ \dots + \phi_s(\mathbf{r}) - \phi_s(\mathbf{r} - d\mathbf{i}_x) + \phi_s(\mathbf{r} - a\mathbf{i}_x) - \phi_s(\mathbf{r} - d\mathbf{i}_x - a\mathbf{i}_x) + \dots \}$$



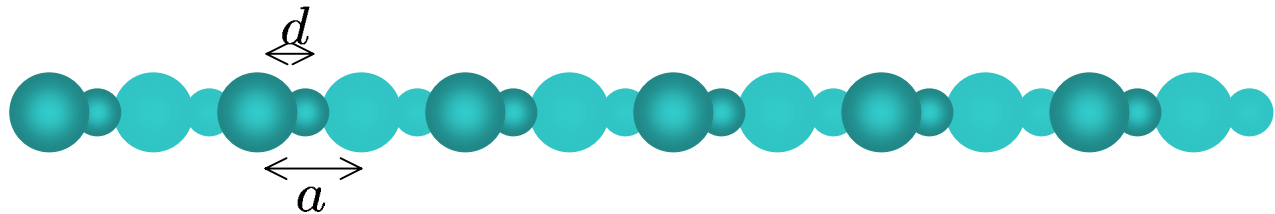
Energy Band for 1-D Lattice

Single orbital, two atom basis

At $k=\pi/a$:

$$E_1(\pi/a) = E_s + (V_{s,d} - V_{s,a-d}) \quad \text{with} \quad \vec{\epsilon}_{1,\pi/a} = \frac{1}{\sqrt{2}} \begin{pmatrix} 1 \\ 1 \end{pmatrix}$$

$$\psi_{2,\pi/a}(\mathbf{r}) = \epsilon_{1,\pi/a} \{ \dots + \phi_s(\mathbf{r}) + \phi_s(\mathbf{r} - d\mathbf{i}_x) - \phi_s(\mathbf{r} - a\mathbf{i}_x) - \phi_s(\mathbf{r} - d\mathbf{i}_x - a\mathbf{i}_x) + \dots \}$$



$$E_2(\pi/a) = E_s - (V_{s,d} - V_{s,a-d}) \quad \text{with} \quad \vec{\epsilon}_{2,0} = \frac{1}{\sqrt{2}} \begin{pmatrix} 1 \\ -1 \end{pmatrix}$$

$$\psi_{2,\pi/a}(\mathbf{r}) = \epsilon_{2,\pi/a} \{ \dots + \phi_s(\mathbf{r}) - \phi_s(\mathbf{r} - d\mathbf{i}_x) - \phi_s(\mathbf{r} - a\mathbf{i}_x) + \phi_s(\mathbf{r} - d\mathbf{i}_x - a\mathbf{i}_x) - \dots \}$$

