



Chair of Condensed Matter Physics
Institute of Theoretical Physics
Faculty of Physics, University of Warsaw

Semester Zimowy 2011/2012

Wykład

Modelowanie Nanostruktur

Jacek A. Majewski

E-mail: Jacek.Majewski@fuw.edu.pl

Modeling Nanostructures



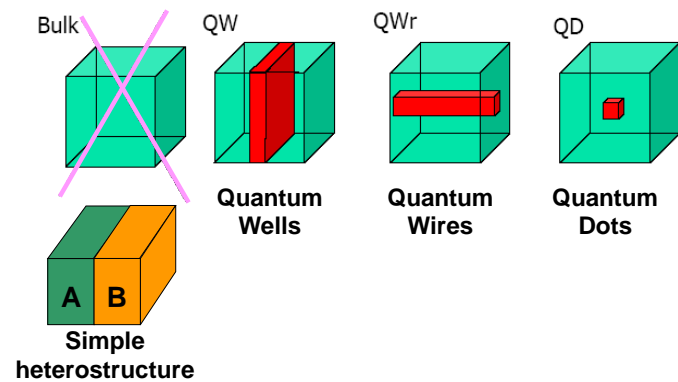
Modelowanie Nanostruktur, 2011/2012
Jacek A. Majewski

Wykład 4 – 25 X 2011

Continuous Methods for Modeling Electronic Structure of Nanostructures

Effective Mass Approximation

Nanotechnology – Low Dimensional Structures



What about realistic nanostructures ?

Inorganics

- 3D (bulks)** : 1-10 atoms in the unit cell
- 2D (quantum wells)**: 10-100 atoms in the unit cell
- 1D (quantum wires)**: 1 K-10 K atoms in the unit cell
- 0D (quantum dots)**: 100K-1000 K atoms in the unit cell

Organics

- Nanotubes, DNA**: 100-1000 atoms (or more)

Synthesis of colloidal nanocrystals

Examples of Nanostructures

Si(111)7x7 Surface

TEM image of a InAs/GaAs dot

HRTEM image: segregation of Indium in GaN/InGaN Quantum Well

Nanostructures: colloidal crystals

- Crystal from sub- μm spheres of PMMA (perpex) suspended in organic solvent;
- self-assembly when spheres density high enough;

illuminated with white light \rightarrow

Bragg's law \rightarrow different crystals \rightarrow different orientation \rightarrow different λ .

**Hot topic (to come) –
The curious world of nanowires**

**SEM of ZnTe nanowires grown by MBE
on GaAs with Au nanocatalyst**

**Self-organized growth of nanowires:
catalytic VLS growth**

**Mechanism Vapor-Liquid-Solid
VLS (Wagner 1964)**

**Nanowire site control and branched NW structures:
nanotrees and nanoforests**

<http://www.nano.jff.lth.se/>

(A) Nanowires can be accurately positioned using lithographic methods such as EBL and NIL. (B) Subsequent seeding by aerosol deposition produces nanowire branches on an array as in panel (A). Shown here is a top view of such a 'nanoforest' where the branches grow in the $\langle 111 \rangle$ -B crystal directions out from the stems. (C) Dark field STEM image and EDX line scan of an individual nanotree. **An optically active heterosegment of GaAsP in GaP has been incorporated into the branches.**

Nanowire nanolasers

Room temperature lasing action from chemically synthesized ZnO nanowires on sapphire substrate

Schematic illustration

A SEM image

One end of the nanowire is the epitaxial interface between the sapphire and ZnO, whereas **the other end** is the crystalline ZnO (0001) plane
Huang, M., Mao, S.S., et al., Science 292,

Controlled Growth and Structures of Molecular-Scale Silicon Nanowires

(a) TEM images of **3.8-nm** SiNWs grown along the $\langle 110 \rangle$ direction

(c) cross-sectional image

(b) & (d) models based on Wulff construction

Yue Wu et al., NANO LETTERS 4, 433 (2004)

Detection of single viruses with NW-FET

Patolsky & Lieber, Materials Today, April 2005, p. 20 *Patolsky et al., Proc. Natl. Acad. Sci. USA 101 (2004) 14017*

A

B

Simultaneous conductance and optical data recorded for a Si nanowire device after the introduction of influenza A

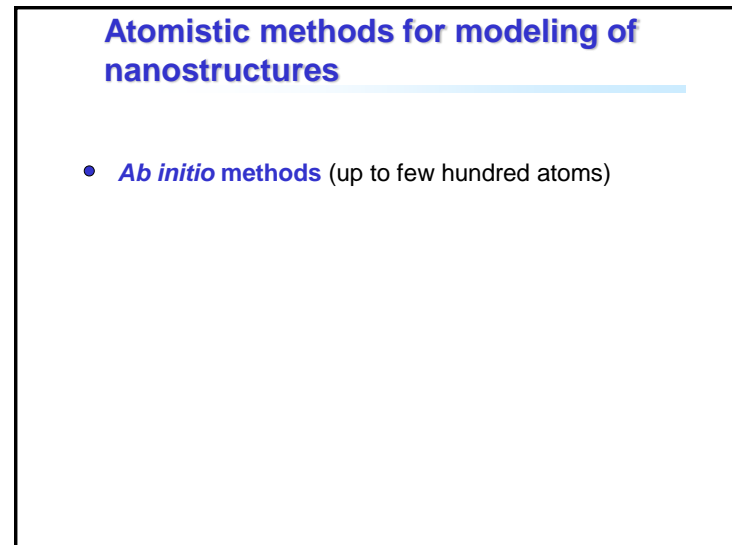
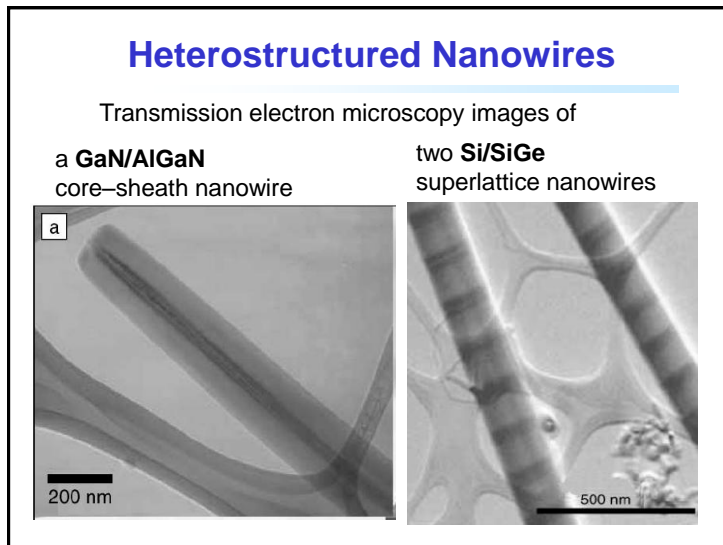
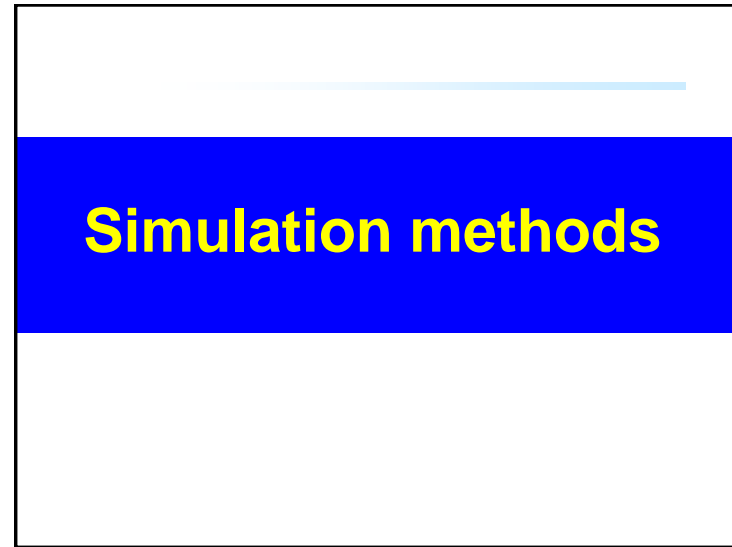
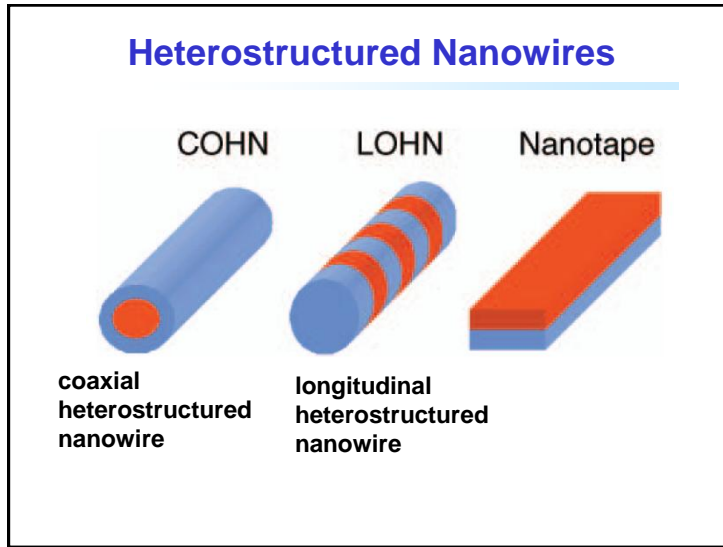
High Performance Silicon Nanowire Field Effect Transistors

A

Comparison of SiNW FET transport parameters with those for state-of-the-art planar MOSFETs show that

- “SiNWs have the potential to exceed substantially conventional devices, and thus could be ideal building blocks for future nanoelectronics.”

Yi Cui, et al. NANO LETTERS 3, 149 (2003)



Density Functional Theory (DFT)

- One particle density determines the ground state energy of the system for arbitrary external potential

$$E[\rho] = \int d^3\vec{r} \rho(\vec{r}) v_{ext}(\vec{r}) + F[\rho]$$

$E[\rho_0] = E_0$ — ground state energy
ground state density

Total energy functional	Kinetic energy	Exchange energy	Correlation energy
<ul style="list-style-type: none"> $E[\rho] = \int d\vec{r} v_{ext}(\vec{r})\rho(\vec{r}) + T_s[\rho] + U[\rho] + E_x[\rho] + E_c[\rho]$ 			
External energy	Classic Coulomb energy	unknown!!!	

Tight-Binding Hamiltonian

$$H = \sum_{ai} \epsilon_{ia} c_{ia}^\dagger c_{ia} + \sum_{ai, \beta j} t_{ia, j\beta} c_{ia}^\dagger c_{j\beta}$$

creation & annihilation operators

- On-site energies** are not atomic eigenenergies. They include on average the effects of neighbors
- ➔ Problem: **Transferability**
E.g., Si in diamond lattice (4 nearest neighbors) & in fcc lattice (12 nearest neighbors)
- Dependence of **the hopping energies** on the distance between atoms

Atomistic methods for modeling of nanostructures

- Ab initio methods** (up to few hundred atoms)
- Semiempirical methods** (up to 1M atoms)
 - **Tight-Binding Methods**

Atomistic vs. Continuous Methods

- Microscopic approaches can be applied to calculate properties of realistic nanostructures

Number of atoms in a spherical Si nanocrystal as a function of its radius R. Current limits of the main techniques for calculating electronic structure. Nanostructures commonly studied experimentally lie in the size range 2-15 nm.

Atomistic methods for modeling of nanostructures

- **Ab initio methods** (up to few hundred atoms)
- **Semiempirical methods** (up to 1M atoms)
 - (Empirical Pseudopotential)
 - **Tight-Binding Methods**
- **Continuum Methods** (e.g., effective mass approximation)

Electron in an external field

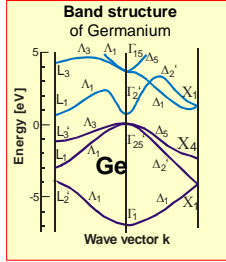
$$\left[\frac{\hat{p}^2}{2m} + V(\vec{r}) + U(\vec{r}) \right] \psi(\vec{r}) = \epsilon \psi(\vec{r})$$

Periodic potential of crystal

Non-periodic external potential

- Strongly varying on atomic scale
- Slowly varying on atomic scale

$U(\vec{r}) = 0 \Rightarrow \epsilon_n(\vec{k}) \Rightarrow$ **Band Structure**



Continuum theory- Envelope Function Theory

Electron in an external field

$$\left[\frac{\vec{p}^2}{2m} + V(\vec{r}) + U(\vec{r}) \right] \psi(\vec{r}) = \epsilon \psi(\vec{r})$$


Periodic potential of crystal

Non-periodic external potential

- Strongly varying on atomic scale
- Slowly varying on atomic scale

Which external fields ?

- Shallow impurities, e.g., donors $U(\vec{r}) = -\frac{e^2}{\kappa |\vec{r}|}$
- Magnetic field $B, \vec{B} = \text{curl} \vec{A} = \nabla \times \vec{A}$
- Heterostructures, Quantum Wells, Quantum wires, Q. Dots



- Does equation that involves the effective mass and a slowly varying function exist ? $\left(\frac{\vec{p}^2}{2m^*} + U(\vec{r}) \right) F(\vec{r}) = \epsilon F(\vec{r}) \quad F(\vec{r}) = ?$

Envelope Function Theory – Effective Mass Equation

J. M. Luttinger & W. Kohn, Phys. Rev. B **97**, 869 (1955).

$$[\varepsilon(-i\vec{\nabla}) + U(\vec{r}) - \varepsilon]F_n(\vec{r}) = 0 \quad \text{(EME)}$$

EME does not couple different bands

$$\psi(\vec{r}) = F_n(\vec{r})u_{n0}(\vec{r})$$

"True" wavefunction

Envelope Function

Periodic Bloch Function

- Special case of constant (or zero) external potential
 $U(\vec{r}) = 0 \implies F_n(\vec{r}) = \exp(i\vec{k} \cdot \vec{r}) \implies \psi(\vec{r})$ Bloch function
- $U(z) \implies F_n(\vec{r}) = \exp[i(k_x x + k_y y)]F_n(z)$

Electronic states in Quantum Wells

Envelope Function Theory- Electrons in Quantum Wells

Effect of Quantum Confinement on Electrons

- Let us consider an electron in the conduction band near Γ point

cbb

Potential $U(\vec{r})$?

$$U(\vec{r}) = U(z) = \begin{cases} \varepsilon_{c0} & z \in \text{GaAs} \\ \varepsilon_{c0} + \Delta E_c & z \in \text{GaAlAs} \end{cases}$$

Growth direction (z – direction)

$\varepsilon_c(\vec{k}) = \varepsilon_{c0} + \frac{\hbar^2}{2m^*} \vec{k}^2$ $U(\vec{r})$ is constant in the xy plane

$$-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} + \frac{\partial^2}{\partial z^2} \right) F(x, y, z) + U(z)F(x, y, z) = EF(x, y, z)$$

Separation Ansatz $F(x, y, z) = F_x(x)F_y(y)F_z(z)$

$$-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2 F_x}{\partial x^2} F_y F_z + \frac{\partial^2 F_y}{\partial y^2} F_x F_z + \frac{\partial^2 F_z}{\partial z^2} F_x F_y \right) + U(z)F_x F_y F_z = EF_x F_y F_z$$

Effective Mass Equation of an Electron in a Quantum Well

$$-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2 F_x}{\partial x^2} F_y F_z + \frac{\partial^2 F_y}{\partial y^2} F_x F_z + \frac{\partial^2 F_z}{\partial z^2} F_x F_y \right) + U(z)F_x F_y F_z = EF_x F_y F_z$$

$E = E_x + E_y + E_z$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_x}{\partial x^2} F_y F_z = E_x F_x F_y F_z \quad -\frac{\hbar^2}{2m^*} \frac{\partial^2 F_y}{\partial y^2} F_x F_z = E_y F_x F_y F_z$$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_z}{\partial z^2} F_x F_y + U(z)F_x F_y F_z = E_z F_x F_y F_z$$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_x}{\partial x^2} = E_x F_x \implies F_x \sim e^{ik_x x}, \quad E_x = \frac{\hbar^2}{2m^*} k_x^2$$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_y}{\partial y^2} = E_y F_y \implies F_y \sim e^{ik_y y}, \quad E_y = \frac{\hbar^2}{2m^*} k_y^2$$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_{zn}}{\partial z^2} + U(z)F_{zn} = E_{zn} F_{zn}$$

Modelowanie Nanostruktur

Conduction band states of a Quantum Well

$$F_{\vec{k}_{\parallel}}(\vec{r}_{\parallel}) = \frac{1}{A} \exp[i(k_x x + k_y y)] = \frac{1}{A} \exp(i\vec{k}_{\parallel} \cdot \vec{r}_{\parallel})$$

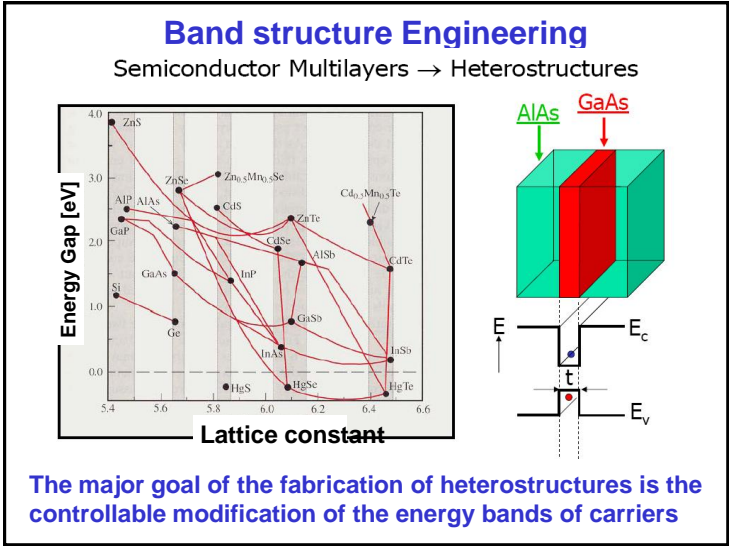
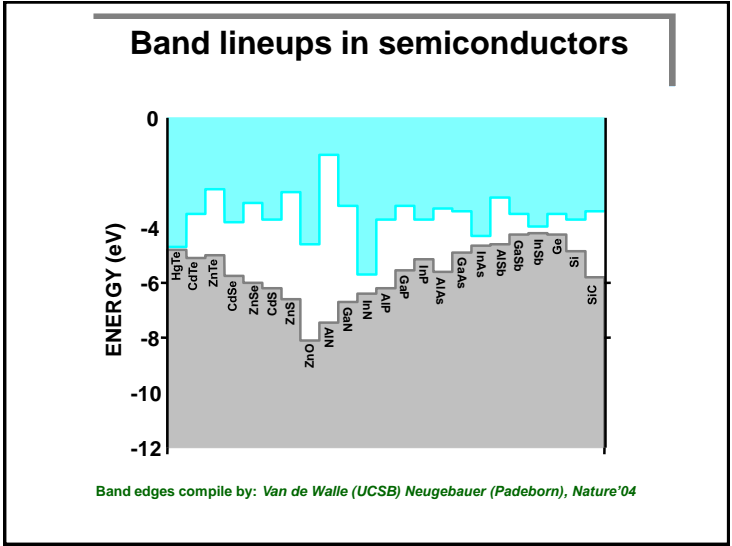
$$F_{n, \vec{k}_{\parallel}}(\vec{r}) = F_{\vec{k}_{\parallel}}(\vec{r}_{\parallel}) F_{zn}(z) = \frac{1}{A} \exp(i\vec{k}_{\parallel} \cdot \vec{r}_{\parallel}) F_{zn}(z)$$

$$E_n(\vec{k}_{\parallel}) = \frac{\hbar^2}{2m^*} \vec{k}_{\parallel}^2 + E_{zn}$$

$$-\frac{\hbar^2}{2m^*} \frac{\partial^2 F_{zn}}{\partial z^2} + U(z) F_{zn} = E_{zn} F_{zn}$$

Energies of bound states in Quantum Well

Wave functions $F_{zn}(z)$



Envelope Function Theory- Electrons in Quantum Structures

Various possible band-edge lineups in heterostructures

Type-I

e.g., GaAs/GaAlAs

Type-II (staggered)

GaN/SiC

Type-II (misaligned)

InAs/GaSb

ΔE_v - Valence Band Offset (VBO) ΔE_c - Conduction band offset

VBO's can be only obtained either from experiment or ab-initio calculation

Band lineup in GaAs / GaAlAs
Quantum Well with Al mole fraction equal 20%

1.75 eV, 1.52 eV, 0.14 eV, 0.09 eV

Density of states

Density of States of a Two-Dimensional Electron Gas

A special function known as the *density of states* $G(E)$ that gives the number of quantum states $dN(E)$ in a small interval dE around energy E : $dN(E) = G(E) dE$

\mathcal{V} - the set of quantum numbers (discrete and continuous) corresponding to a certain quantum state

$$G(E) = \sum_{\mathcal{V}} \delta(E - E_{\mathcal{V}})$$

Energy associated with the quantum state \mathcal{V}

Spin quantum number

Continuous two-dimensional vector

For 2DEG: $\mathcal{V} = \{s, n, \vec{k}_{\parallel}\}$

A quantum number characterizing the transverse quantization of the electron states

$$G(E) = 2 \sum_{n, k_x, k_y} \delta[E - E_n - \frac{\hbar^2}{2m^*} (k_x^2 + k_y^2)]$$

Density of States

$G(E)dE$ - the number of electron states with energies E and $E + dE$
 Generally, this quantity is proportional to the volume of the crystal
 Convention: we define G to refer to the volume of a unit cell Ω

- We define G_{σ} to refer to a single direction of electron spin (denoted σ)

$$G_{\sigma}(E) = \frac{\Omega}{(2\pi)^3} \sum_n \int d^3\vec{k} \delta(E - \varepsilon_{n\sigma}(\vec{k}))$$

Band index

Of course, there is no contribution from a particular band at energy E unless there are states of energy E in that band

$\varepsilon_n(\vec{k}) = \varepsilon_n(0) + \frac{\hbar^2 \vec{k}^2}{2m_n^*} \Rightarrow$

$$G^{(3D)}(E) = \left(\frac{m^*}{\hbar^2}\right)^{3/2} \frac{\sqrt{2}}{\pi^2} \sqrt{E}$$

Density of States of a Two-Dimensional Electron Gas

$$G(E) = 2 \sum_{n, k_x, k_y} \delta[E - E_n - \frac{\hbar^2}{2m^*} (k_x^2 + k_y^2)]$$

L_x, L_y - are the sizes of the system in x and y directions
 $S = L_x L_y$ - the surface of the system $\sum_{k_x, k_y} (...) = \frac{L_x L_y}{(2\pi)^2} \iint dk_x dk_y (...)$

$$G(E) = 2 \frac{L_x L_y}{(2\pi)^2} \sum_n \iint dk_x dk_y \delta[E - E_n - \frac{\hbar^2}{2m^*} (k_x^2 + k_y^2)] =$$

$$= \frac{L_x L_y}{2\pi^2} \sum_n \int_0^{\infty} 2\pi k_{\parallel} dk_{\parallel} \delta(E - E_n - \frac{\hbar^2}{2m^*} k_{\parallel}^2) =$$

$$= \frac{L_x L_y}{\pi} \frac{2m^*}{\hbar^2} \sum_n \int_0^{\infty} k_{\parallel} dk_{\parallel} \delta(E - E_n - k_{\parallel}^2)$$

$k_{\parallel}^2 = \varepsilon_{\parallel}$

$$G(E) = \frac{Sm^*}{\pi\hbar^2} \sum_n \int_0^{\infty} d\varepsilon_{\parallel} \delta(E - E_n - \varepsilon_{\parallel}) = \frac{Sm^*}{\pi\hbar^2} \sum_n \Theta(E - E_n)$$

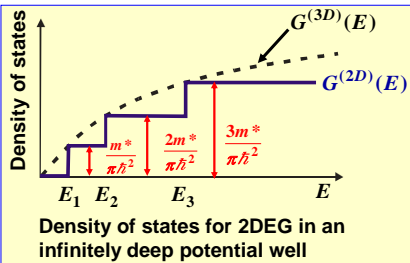
$\Theta(x)$ - Heaviside step function $\Theta(x) = 1$ for $x > 0$ and $\Theta(x) = 0$ for $x < 0$

Density of States of a Two-Dimensional Electron Gas

$$G(E) = \frac{Sm^*}{\pi\hbar^2} \sum_n \Theta(E - E_n)$$

Often the density of states per unit area, $G(E)/S$, is used to eliminate the size of the sample

- Each term in the sum corresponds to the contribution from one subband
- The contributions of all subbands are equal and independent of energy
- The DOS of 2DEG exhibits a staircase-shaped energy dependence, with each step being associated with one of the energy states.



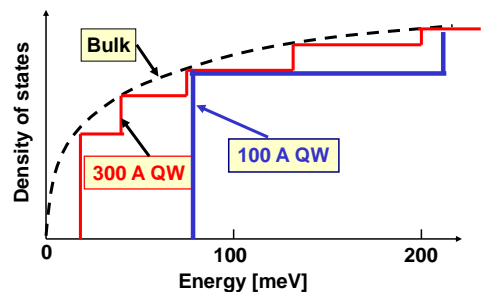
$$G^{(3D)}(E) = \left(\frac{m^*}{\hbar^2}\right)^{3/2} \frac{\sqrt{2}}{\pi^2} \sqrt{E}$$

$$\epsilon(\vec{k}) = \frac{\hbar^2}{2m^*} \vec{k}^2$$

For large n, the staircase function lies very close to the bulk curve $G^{(3D)}(E)$

Density of States of a Two-Dimensional Electron Gas

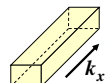
Dependence on the width of Quantum Well



QW of large width → Bulk

Electronic states in Quantum Wires

Electron States in Quantum Wires



- Free movement in the x-direction,
- Confinement in the y, z directions
- Confinement potential $U(y,z)$

$$F(x, y, z) = e^{ik_x x} F_n(y, z)$$

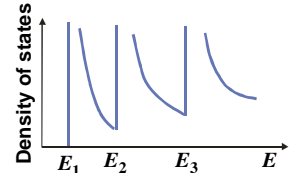
$$-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2}{\partial y^2} + \frac{\partial^2}{\partial z^2} \right) F_n(y, z) + U(y, z) F_n(y, z) = E_n F_n(y, z)$$

$$E_n(k_x) = E_n + \frac{\hbar^2}{2m^*} k_x^2$$

Density of states for one-dimensional electrons

$$G^{(1D)}(E) = 2 \sum_{n, k_x} \delta(E - E_n - \frac{\hbar^2 k_x^2}{2m^*})$$

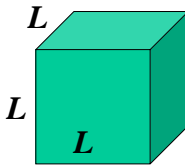
$$G^{(1D)}(E) = \frac{L_x}{\pi} \sqrt{\frac{2m^*}{\hbar^2}} \sum_n \frac{1}{\sqrt{E - E_n}} \Theta(E - E_n)$$



Electronic states in Quantum Dots

Confinement → Quantization of energy levels

How small should be semiconductor system to see separate levels in room temperature?




$k_x L = 2\pi n_x$
 $k_y L = 2\pi n_y$
 $k_z L = 2\pi n_z$

$E = \frac{\hbar^2}{2m^*} \left(\frac{2\pi}{L}\right)^2 (n_x^2 + n_y^2 + n_z^2)$

$m^* = \tilde{m}^* m_0$

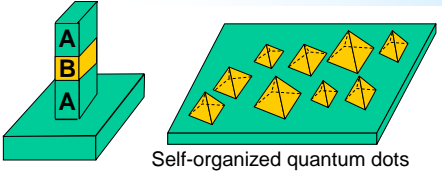
$\Delta E > k_B \cdot 300K = 0.026eV$



$L^2 < \frac{1}{\tilde{m}^*} 173.55 \text{ nm}^2$

GaAs	$\tilde{m}^* = 0.03$	$L < 76nm$
Si	$\tilde{m}^* = 0.2$	$L < 29nm$

Electron States in Quantum Dots



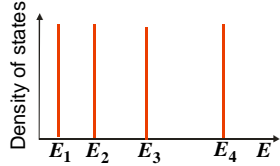
Electrons confined in all directions

$U(x, y, z)$

$$-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} + \frac{\partial^2}{\partial z^2} \right) F_n(x, y, z) + U(x, y, z) F_n(x, y, z) = E_n F_n(x, y, z)$$

Density of states for zero dimensional (0D) electrons (artificial atoms)

$$G^{(0D)}(E) = \sum_{\nu} \delta(E - E_{\nu})$$



Electronic states in Nanostructures Summary

Energy spectrum

1D: free motion in x direction, dimensional quantisation in z,y

$[H, p_x] = 0 \rightarrow$
 $\Psi_{m,n}(r) = u_k(r) e^{ik_x x} F_{m,n}(y,z) / (L_x)^{1/2}$

2D: free motion in x,y directions, dimensional quantisation in z

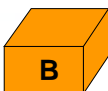
$[H, p_x] = 0; [H, p_y] = 0 \rightarrow$
 $\Psi_n(r) = u_k(r) e^{i(k_x x + k_y y)} F_n(z) / (L_x L_y)^{1/2}$


3D: free motion in x,y,z directions

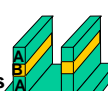
$[H, p] = 0 \rightarrow$
 $\Psi_k(r) = u_k(r) e^{ikr} / (L_x L_y L_z)^{1/2}$

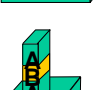
Position Dependent Effective Mass

Density of States of Electrons in Semiconductor Quantum Structures


3D Bulk  $\epsilon_c(\vec{k}) = \epsilon_{c0} + \frac{\hbar^2}{2m^*} \vec{k}^2$
 $G^{(3D)}(E) = \left(\frac{m^*}{\hbar^2}\right)^{3/2} \frac{\sqrt{2}}{\pi^2} \sqrt{E}$

2D Quantum Wells  $G^{(2D)}(E) = \frac{m^*}{\pi \hbar^2} \sum_n \Theta(E - E_n)$

1D Quantum Wires  $G^{(1D)}(E) = \frac{\sqrt{2m^*}}{\sqrt{\pi^2 \hbar^2}} \sum_n \frac{\Theta(E - E_n)}{\sqrt{E - E_n}}$

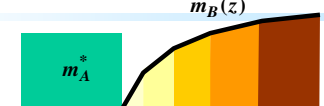
0D Quantum Dots  $G^{(0D)}(E) = \sum_n \delta(E - E_n)$

Effective Mass Theory with Position Dependent Electron Effective Mass



m_A^* m_B^*

$z=0$ $m_A^* \neq m_B^*$



m_A^* $m_B^*(z)$

$z=0$ "Graded structures"

$\frac{\hbar^2}{2m^*(z)} \frac{d^2}{dz^2}$ IS NOT HERMITIAN !!

\rightarrow Symmetrization of the kinetic energy operator $\frac{\hbar^2}{2} \frac{d}{dz} \frac{1}{m^*(z)} \frac{d}{dz}$ IS HERMITIAN !

$$-\frac{\hbar^2}{2} \frac{d}{dz} \left[\frac{1}{m^*(z)} \frac{d}{dz} \right] F(z) + U(z)F(z) = EF(z)$$

\downarrow $F(z)$ and $\frac{1}{m^*(z)} \frac{dF(z)}{dz}$ ARE CONTINUOUS !

General form of the kinetic energy operator
 $T = [m^*(z)]^\alpha \hat{p}_z [m^*(z)]^\beta \hat{p}_z [m^*(z)]^\alpha$ with $2\alpha + \beta = -1$

Doping in Semiconductor Low Dimensional Structures

Effects of Doping on Electron States in Heterostructures

Unstable $\xrightarrow{\text{Charge transfer}}$ Thermal equilibrium

Fermi distribution function

Resulting electrostatic potential

$$\nabla^2 \Phi(\vec{r}) = \frac{4\pi e}{\epsilon} \left[\sum_{(acc)} \delta(\vec{r} - \vec{R}_A) - \sum_{(don)} \delta(\vec{r} - \vec{R}_D) - \sum_{\nu} f_{\nu} |\psi_{\nu}(\vec{r})|^2 \right]$$

should be taken into account in the Effective Mass Equation

$$\left[-\frac{\hbar^2}{2m^*} \left(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} + \frac{\partial^2}{\partial z^2} \right) + U(x, y, z) - e\Phi(\vec{r}) \right] \psi_{\nu}(\vec{r}) = E_{\nu} \psi_{\nu}(\vec{r})$$

Electrostatic potential can be obtained from the averaged acceptor and donor concentrations

$$\nabla^2 \Phi(\vec{r}) = \frac{4\pi e}{\epsilon} \left[N_A(\vec{r}) - N_D(\vec{r}) - \sum_{\nu} f_{\nu} |\psi_{\nu}(\vec{r})|^2 \right]$$

- The self-consistent problem, so-called "Schrödinger-Poisson" problem

Energy band diagram of a selectively doped AlGaAs/GaAs Heterostructure before (left) and after (right) charge transfer

- χ_A and χ_B - The electron affinities of material A & B
- The Fermi level in the GaAlAs material is supposed to be pinned on the donor level.
- The narrow bandgap material GaAs is slightly p doped.

Thank you!