



Chapter 4 Crystal Vibration

- 4.0 Elastic Waves
- 4.1 Elastice Waves in a chain
- 4.2 Two Atoms per Primitive Cell
- 4.3 Quantization of Elastic Waves & Phonon

Momentum

4.4 3D Crystal Vibration



Fields & "Elementary" Particles in Condensed Matter Physics

| | Name | Field |
|-------------------|----------|--------------------------------|
| | Electron | — |
| $\sim \sim \sim$ | Photon | Electromagnetic wave |
| \longrightarrow | Phonon | Elastic wave |
| → | Plasmon | Collective electron wave |
| | Magnon | Magnetization wave |
| - | Polaron | Electron + elastic deformation |
| — | Exciton | Polarization wave |

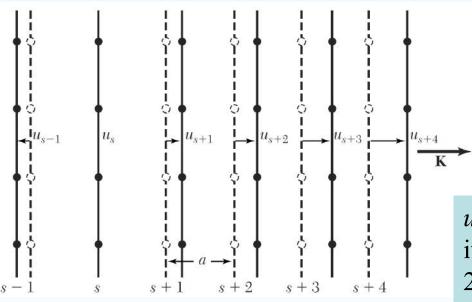


Atoms are in a perpetual movement in solids:
✓ Low temperature: thermal fluctuations are weak, vibration around its equilibrium position, elastic wave
✓ High temperature: strong thermal fluctations, melting

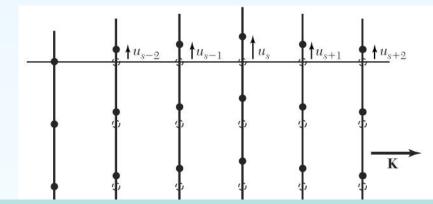
<u>Elastic Waves in solids</u>

Propagates along, say, [100] direction, entire planes of atoms move in phase *Problem is reduced to 1D*!

parallel to wave vector K



perpendicular to wave vector K

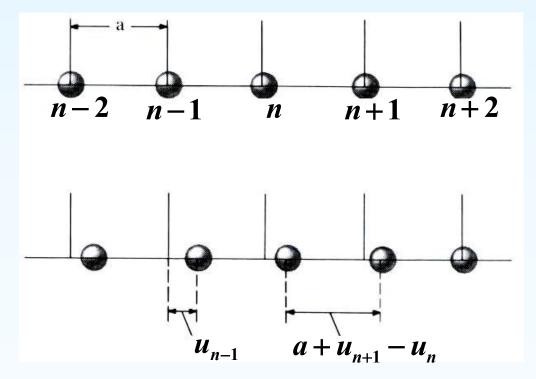


 u_s is the *displacement* of the plane s from its equilibrium position, 1 *longitudinal* + 2 *transverse* modes.



4.1 Elastic Waves in a chain

- ✓ Problem simplified as a chain in 1D, N.N. atoms (*equilibrium positions*) separated by a distance of *a* (*lattice constant*).
- ✓ The displacement of n-th atom is denoted as u_n .

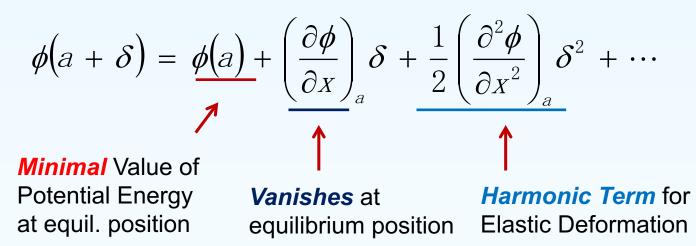




The potential energy of a pair of N.N. atoms: $\phi(a)$ Relative displacement between *n* and *n*+1 atoms: $\delta = u_{n+1} - u_n$ Corresponding, the two-site potential changes to:

 $\phi(a+\delta)$

Expand $\phi(a + \delta)$ around the equilibrium position:





1. E.O.M in the harmonic approximation

Consider a small δ , i.e., a weak vibration, expand the potential to the order of δ^2

$$\phi(a + \delta) = \phi(a) + \frac{1}{2} \left(\frac{\partial^2 \phi}{\partial x^2}\right)_a \delta^2$$

Elastic force between two atoms:

$$f = -\frac{\partial \phi}{\partial \delta} = -\left(\frac{\partial^2 \phi}{\partial x^2}\right)_a \delta$$
$$\beta = \left(\frac{\partial^2 \phi}{\partial x^2}\right)_a \quad \text{--elastic constant}$$

$$f = -\beta\delta = -\beta(u_{n+1} - u_n)$$



- In the *harmonic approx.*, the atoms are connected via "springs".
- The 1d atomic chain can be regarded as *coupled harmonic oscillators*.
- (Elastic) *lattice wave* can propogate in the 1d atomic chain as collective excitation.

Consider only N.N. coupling, the total force on *n*-th atom:

$$\beta(u_{n+1}-u_n)-\beta(u_n-u_{n-1})=\beta(u_{n+1}+u_{n-1}-2u_n)$$

with corresponding e.o.m.:

$$M\frac{d^{2}u_{n}}{dt^{2}} = \beta(u_{n+1} + u_{n-1} - 2u_{n})$$
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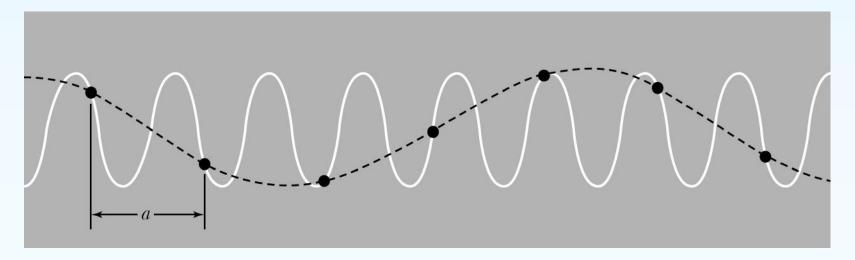
2. Lattice Wave

There exists a e.o.m. for *each atom*, # of equations *equals*

of atoms.

The solution is a traveling wave:

$$u(na,t) = Ae^{i(qna-\omega t)}$$





3. Dispersion Relation

$$u(na,t) = Ae^{i(qna-\omega t)}$$

Substitute it in the e.o.m.,

$$-M\omega^2 e^{iqna} = \beta \left[e^{iq(n+1)a} + e^{iq(n-1)a} - 2e^{iqna} \right]$$

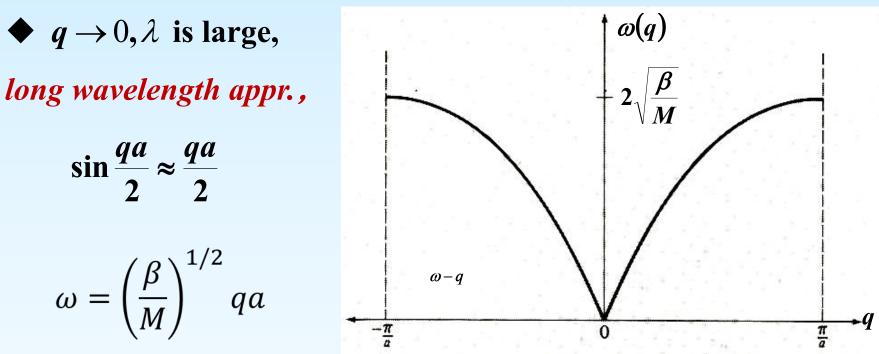
$$M\omega^2 = 2\beta(1-\cos qa)$$

$$\omega = \sqrt{\frac{2\beta(1 - \cos qa)}{M}} = 2\sqrt{\left(\frac{\beta}{M}\right)} \sin \frac{qa}{2}$$

----dispersion relation



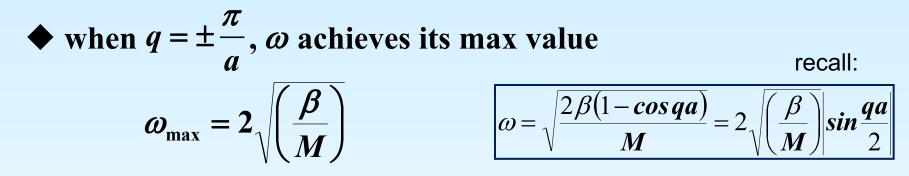
4.1 Elastic Waves in a chain



 ω shows a linear relation with q, the same as that of the elastic weave in the continuous medium. i.e., in the l.w.a. the discreteness of lattice site can be neglected. --*Acoustic branch*

• As q increases, $\omega - q$ deviates from linear relation.





- **3.** Periodic functions of *q*
- ω is a period wavefunction of q, $\omega\left(q+n\frac{2\pi}{a}\right)=\omega(q)$
- *n*—integer, period $\frac{2\pi}{a}$ —primitive reciprocal lattice vector
- $n\frac{2\pi}{a} = G_h$ —reciprocal lattice vector

$$\omega(q+G_h)=\omega(q) \qquad u(q+G_h)=u(q)$$



The wave length (vector) related to a specific lattice wave is not unique, there exist a series of q, different from each other by $h \cdot 2\pi/a = G_h \cdot$

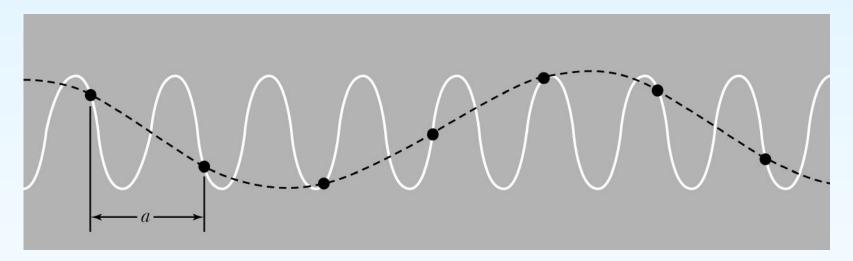
Only wavelengths *longer than 2a* are *needed* to represent the motion.

Therefore, within the range of $-\pi/a \le q \le \pi/a$, q can fully characterize all allowed lattice waves.



q and $q+G_h$ correspond to exactly the same lattice waves

$$q = \frac{2\pi}{5a}, \ \lambda = \frac{2\pi}{q} = 5a$$
 $q' = q + \frac{2\pi}{a} = \frac{12\pi}{5a}, \ \lambda' = \frac{2\pi}{q'} = \frac{5}{6}a$



✓ The wave represented by the solid curve conveys no information not given by the dashed curve.



4. Standing Wave

At the Brillouin zone boundary $q = \pm \pi/a$

$$u_s = u \exp(qsa)$$

$$u_s = u \exp(\pm is\pi) = u \ (-1)^s$$

Does not represent a traveling wave, but a standing wave

This situation is equivalent to **Bragg reflection** of x-rays!



4.1 Elastic Waves in a chain

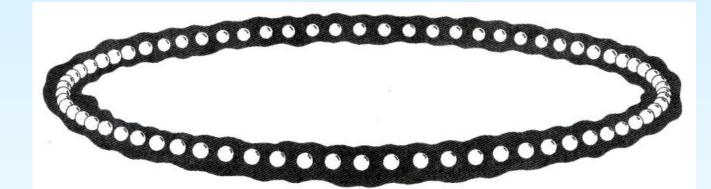
5. Periodic Boundary Condition

Born–von

Karman

boundary

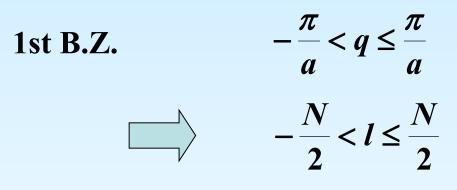
condition



The Born-von Karman or periodic boundary condition for the linear chain.



4.1 Elastic Waves in a chain



q has N discrete values -- equals # of sites/atoms in the chain

All q values within 1st B.Z. describes *all vibration modes*, each q corresponds to a *lattice wave vector*.

For 1D chain, all Nq points are uniformly distributed:

distance btw q points: $\frac{2\pi}{Na} = \frac{2\pi}{L}$



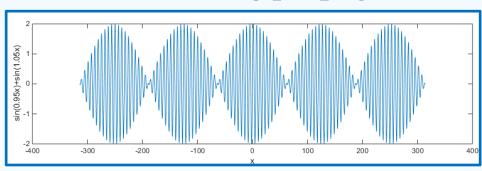
6. phase and group velocities

phase velocity: the rate at which the phase of the wave propagates in space, for a pure lattice wave with specific frequency ω and lattice vector q

$$\upsilon_p = rac{\omega}{q} \qquad \qquad v_{
m p} = rac{\lambda}{T}.$$

$$\sim$$

group velocity: describe the speed of the *envelope* of the wave packet (given *a small range of q*, such that the envelope *does not distort* too much during propagation).

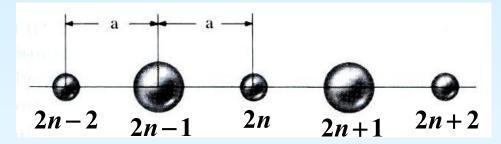


$$\upsilon_{g} = \frac{\partial \omega}{\partial q}$$



4.2. 1D chain with two atoms per primitive cell

1. Equation of Motion



N primitive unit cell, each of which contains *two different*

atoms, lattice constant 2a, atom mass M > m.

atoms with mass *m*: ..., 2n-2, 2n, 2n+2, ...

atoms with mass *M*: ..., 2n-1, 2n+1, 2n+3, ...

Displacement of each atom (with respect to equil. position):

$$\dots, u_{2n-2}, u_{2n}, u_{2n+2}, \dots \dots, u_{2n-1}, u_{2n+1}, u_{2n+3}, \dots$$



Consider only inter. between N.N. atoms & hamornic approx.:

$$\begin{cases} m \frac{d^2 u_{2n}}{dt^2} = \beta (u_{2n+1} + u_{2n-1} - 2u_{2n}) \\ M \frac{d^2 u_{2n+1}}{dt^2} = \beta (u_{2n+2} + u_{2n} - 2u_{n+1}) \end{cases}$$

 β — elastic constant between atoms

2N atoms, 2N equations, the correlated motions of atoms constitute a *wave*.



2. dispersion relation

subs.
$$\begin{cases} u_{2n} = Ae^{i(2naq-\omega t)} \\ u_{2n+1} = Be^{i((2n+1)aq-\omega t)} \end{cases}$$

into the E.O.M., we get

$$\begin{cases} -m\omega^{2}A = \beta(e^{iqa} + e^{-iqa})B - 2\beta A \\ -M\omega^{2}B = \beta(e^{iqa} + e^{-iqa})A - 2\beta B \end{cases}$$
 reorganize it:
$$\begin{cases} (2\beta - m\omega^{2})A - (2\beta\cos qa)B = 0 \\ (-2\beta\cos qa)A + (2\beta - M\omega^{2})B = 0 \end{cases}$$



Condition of the existence of solutions

$$\begin{vmatrix} 2\beta - m\omega^2 & -2\beta \cos qa \\ -2\beta \cos qa & 2\beta - M\omega^2 \end{vmatrix} = 0$$

$$\boldsymbol{m}\boldsymbol{M}\boldsymbol{\omega}^{4}-2\beta(\boldsymbol{m}+\boldsymbol{M})\boldsymbol{\omega}^{2}+4\beta^{2}\sin^{2}\boldsymbol{q}\boldsymbol{a}=0$$

$$\begin{cases} \omega_{-}^{2} = \frac{\beta}{mM} \left\{ (m+M) - \left[m^{2} + M^{2} + 2mM\cos(2qa) \right]^{\frac{1}{2}} \right\} \\ \omega_{+}^{2} = \frac{\beta}{mM} \left\{ (m+M) + \left[m^{2} + M^{2} + 2mM\cos(2qa) \right]^{\frac{1}{2}} \right\} \end{cases}$$

two different ∞ -q relations, meaning *two* branches of lattice waves.



3. First B.Z.

 $\omega_{\pm}^2(q)$ is a periodic function of q, with period $2\pi/2a$.

$$\omega_{\pm}^{2}\left(q+s\frac{\pi}{a}\right)=\omega_{\pm}^{2}(q)$$

reciprocal lattice vector: $\frac{2\pi}{2a} = \frac{\pi}{a}$ $s\frac{\pi}{a} = G_h$

$$\omega_{\pm}^2(q+G_h)=\omega_{\pm}^2(q)$$

one can also prove:

$$u_{2n}(q+G_{h}) = u_{2n}(q)$$
$$u_{2n+1}(q+G_{h}) = u_{2n+1}(q)$$



therefor q and $q + G_h$ describe exactly the same vibration mode, we can restrict q within a peorid π/a , i.e., a primitive reciprocal lattice vector.

4. optical and acoustic branches

(1) extreme values $-\pi < 2qa \le \pi$

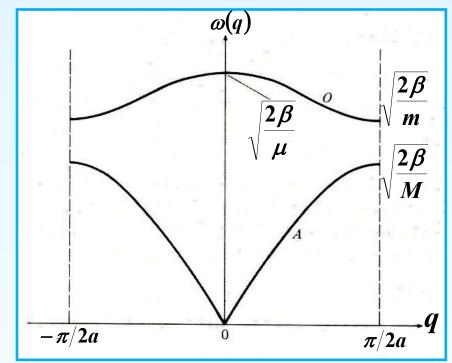
> short wavelength limit $q \rightarrow \pm \frac{\pi}{2a}$

$$(\omega_{-})_{\max} = \left(\frac{\beta}{mM}\right)^{\frac{1}{2}} \{(m+M) - (M-m)\}^{\frac{1}{2}} = \left(\frac{2\beta}{M}\right)^{\frac{1}{2}}$$



$$(\omega_{+})_{\min} = \left(\frac{\beta}{mM}\right)^{\frac{1}{2}} \{(m+M) + (M-m)\}^{\frac{1}{2}} = \left(\frac{2\beta}{m}\right)^{\frac{1}{2}}$$

- $M > m, \omega_{-} < \omega_{+}$
- *ω*_low frequency—acoustic
- ω_{+} high frequency—optic
- ✓ There exist a gap between the top of acoustic branch and the bottom of optic branch.
- > A forbidden region.



 \checkmark The gap depends on β , the difference between *m* and *M*.



> long wavelength limit $(q \rightarrow 0)$ acoustic branch:

$$\omega_{-}^{2} = \frac{\beta}{mM} \left\{ (m+M) - \left[(m+M)^{2} - 2mM(1 - \cos(2qa)) \right]^{\frac{1}{2}} \right\}$$
$$= \frac{\beta}{mM} (m+M) \left\{ 1 - \left[1 - \frac{4mM}{(m+M)^{2}} \sin^{2}(qa) \right]^{\frac{1}{2}} \right\}$$

when
$$\frac{4mM}{(m+M)^2}\sin^2(qa) \ll 1$$

utilize
$$X << 1$$
 $(1-X)^{1/2} = 1 - \frac{1}{2}X$

$$\omega_{-} = \sqrt{\frac{2\beta}{m+M}} |\sin(qa)| = \sqrt{\frac{2\beta}{m+M}} a|q|$$



Same as simple atomic chain, linear dispersion relation in

the LWA, if
$$q \to 0$$
, $\omega_{-} \to 0$

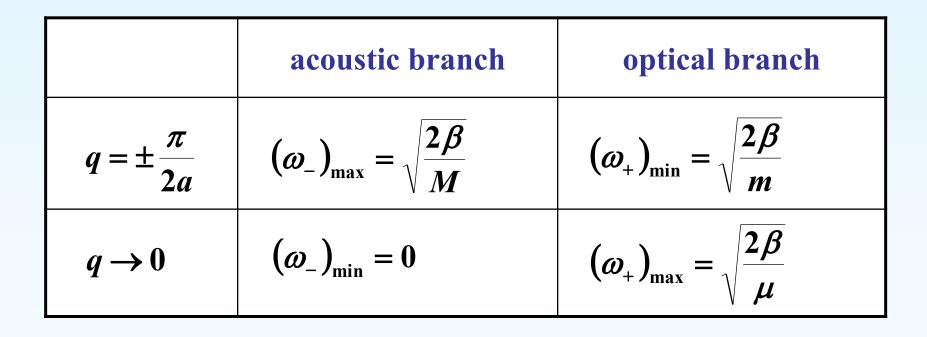
optic branch:

$$\omega_{+}^{2} = \frac{\beta}{mM} \left\{ \left(m + M \right) + \left[\left(m + M \right)^{2} - 2mM \left(1 - \cos \left(2qa \right) \right) \right]^{\frac{1}{2}} \right\}$$
$$= \frac{\beta}{mM} \left(m + M \right) \left\{ 1 + \left[1 - \frac{4mM}{\left(m + M \right)^{2}} \sin^{2}\left(qa \right) \right]^{\frac{1}{2}} \right\}$$

in
$$\frac{4mM}{(m+M)^2} \sin^2(qa) << 1$$
 approx.
 $\omega_+^2 = \frac{2\beta}{mM} (m+M) \left\{ 1 - \frac{mM}{(m+M)^2} \sin^2(qa) \right\}$



if
$$q \to 0$$
, $(\omega_{+})_{\max} = \sqrt{\frac{2\beta}{\mu}}$ $\mu = \frac{mM}{m+M}$



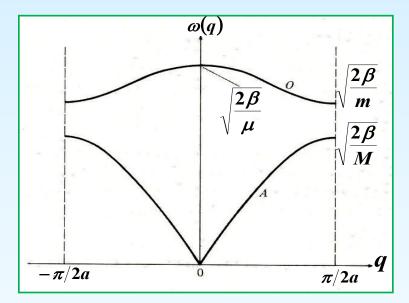


(2) vibration amplitude

$$\frac{A}{B} = \frac{2\beta \cos qa}{2\beta - m\omega^2} = \frac{2\beta - M\omega^2}{2\beta \cos(qa)}$$

acoustic branch:

$$\left(\frac{A}{B}\right)_{-} = \frac{2\beta - M\omega_{-}^{2}}{2\beta\cos(qa)} \qquad \omega_{-}^{2} \leq \frac{2\beta}{M}$$



1st Brillouin zone: $\cos(qa) \ge 0$

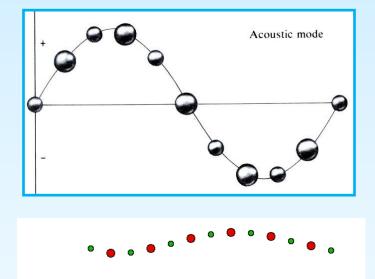
$$\left(\frac{A}{B}\right)_{-} \ge 0$$

two N.N. atoms have *displacements* always in *the same direction*



Longwave length approx.

$$q \to 0, \ \left(\frac{A}{B}\right)_{-} \approx 1$$



Two atoms in the same primitive cell have the same amplitude & phase, i.e., their motions are exactly the same.

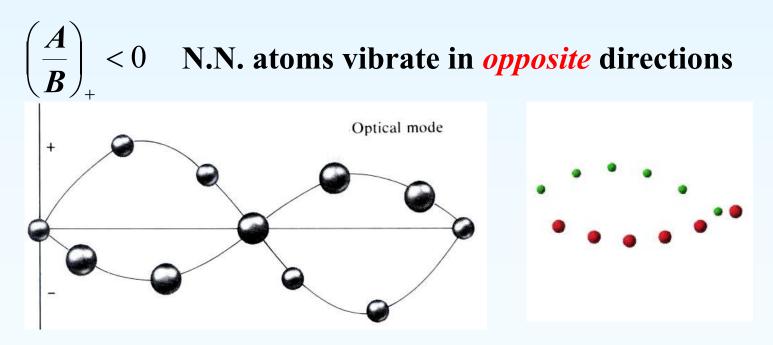
——long wavelength acoustic wave represents the vibration of mass center.



Optical Branch:

$$\left(\frac{A}{B}\right)_{+} = \frac{2\beta \cos qa}{2\beta - m\omega_{+}^{2}} \qquad \omega_{+}^{2} \ge \frac{2\beta}{m}$$

1st B.Z.: $\cos(qa) > 0$



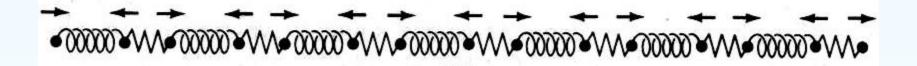


long wavelength limit

$$q \to 0, \quad \left(\frac{A}{B}\right)_+ \approx -\frac{M}{m}$$

mA + MB = 0

 ✓ The center of mass (in the primitive cell) is stationary, two atoms move in opposite direction (*relative to the center of mass*).





5. Periodic Boundary Condition

q values are within the 1st B.Z. $-\frac{\pi}{2a} < q \leq \frac{\pi}{2a}$

N primitive cells, each contains two different atoms:

PBC: $u_1 = u_{2N+1}$ $e^{i2Nqa} = 1$ $2qNa = 2\pi l$, *l*--integer $q = \frac{l\pi}{Na}$ $-\frac{\pi}{2a} < q \le \frac{\pi}{2a}$ \longrightarrow $-\frac{N}{2} < l \le \frac{N}{2}$



l is an integer in $-N/2 \sim N/2$, *N* different values $\rightarrow \#$ of *q* values is also *N* (equals # of primitive cells). For each *q*, there are *two* modes (acoustic & optical).

First B.Z., 2N independent modes.

Generally, N primitive cells, P atoms in each cell.

of q values = N (# of primitive cells)

of vabration branches: $\propto P$

of vabration modes: $\propto PN$



4.3 Normal coordinate, Phonon

I. normal mode and collective excitation

1D atomic chain: N primitive cells, N independent modes, consider only N.N. coupling, under the harmonic approx.

potential:
$$U = \frac{\beta}{2} \sum_{n} (u_{n+1} - u_n)^2$$

kinetic: $T = \frac{1}{2} M \sum_{n} \dot{u}_n^2$

Total energy of the system:

$$H = \frac{1}{2}M\sum_{n} \dot{u}_{n}^{2} + \frac{\beta}{2}\sum_{n} (u_{n+1} - u_{n})^{2}$$



4.3 Normal coordinate, Phonon

$$H = \sum_{l=1}^{N} \frac{1}{2} \left(M \omega_l^2 \varphi_l^2 + \frac{\pi_l^2}{M} \right)$$

- Hamiltonian becomes a sum of that of *N harmonic oscillators* new coordinate and momentum —**Normal Coordinate**.
- ✓ Summation over *l* contains *N* terms, each of which describes a linear Harmonic oscillator with frequency ω_l.
 ✓ *We establish the equivalence* between the *vibration of N*
 - interacting atoms and N independent hamornicl oscillators.

Quite general conclusion, also valid for 3D crystals.



II. Phonon

phonon: energy quanta in the crystal vibration.

According to the quantum theory, the energy of harmonic

oscillator is quantized as $\varepsilon_l = \left(\frac{1}{2} + n_l\right)\hbar\omega_l$

Total energy of crystal vibration: $\varepsilon = \sum_{l} \left(\frac{1}{2} + n_{l}\right) \hbar \omega_{l}$

Each vibration mode's energy taks $\hbar \omega_l$ as its unit, one adds intger times of $\hbar \omega_l$ to the system when exciting a lattice wave. —— *energy* of the phonon

✓ Each lattice wave is a mode, corresponds to a kind of phonon.



excite from ground state to $\left(\frac{1}{2} + n_l\right)\hbar\omega_l$ excited state, one costs energy $n_l\hbar\omega_l$, and creat n_l phonons of frequency ω_l .

Quasi particle: ■ energy: $\hbar \omega$

u quasi momentum (crystal momentum): $\vec{p} = \hbar \vec{q}$

average number of *q-state* phonon:

$$\overline{n}(q) = \frac{1}{e^{\hbar \omega_q / k_B T} - 1}$$

——phonon is boson, obey Bose-Einstein Stat.

Lattice wave scattered when propagating in the crystal→

phonon-phonon scattering;

Phonon number does no conserve, it can be *created* or *annihilated*.



4.4 Vibration of 3D lattices

I. three-dimensional simple lattice

One-dimension (1D):

E.O.M.:
$$m\frac{d^{2}u_{n}}{dt^{2}} = \beta(u_{n+1} + u_{n-1} - 2u_{n})$$

Solution:
$$u_{n} = Ae^{i(qx_{n} - \omega t)} = Ae^{i(qna - \omega t)}$$

3D: suppose the motion of each atom follows the form below,

$$\vec{u}_n = \vec{A} e^{i\left(\vec{q}\cdot\vec{R}_n - \omega t\right)}$$



\vec{q} indicates the direction where the wave propogates;

\overline{A} offers the vibration amplitude and its direction (polarization)

 $\overline{A} / / \overline{q}$: longitudinal; $\overline{A} \perp \overline{q}$: transverse

substitute $\vec{u}_n = \vec{A}e^{i(\vec{q}\cdot\vec{R}_n - \omega t)}$ into the E.O.M., and get 3 associated equations on \vec{A} (with components A_x, A_y, A_z).

equivalent to a 3×3 matrix equations

get a 3×3 determinant



is a *3rd* order equation of ω^2 , which leads to *three* solutions,

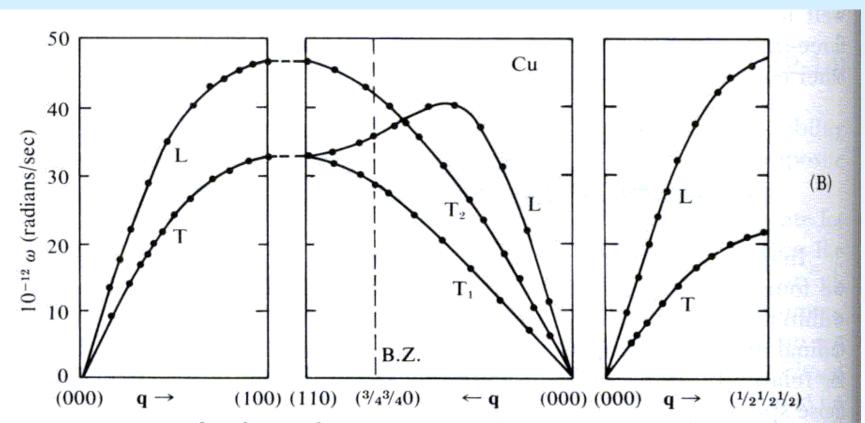
- i.e., 3 branches of disperion relations.
- All of these 3 dispersion relation curves pass through the origin, i.e., they are all *acoustic waves*!

Note:

- ✓ For 3D case, the dispersion is not neccesarily isotropic in all directions, therefore, 2D plot can only show *ω q* relation on *some specific directions*.
- ✓ To reveal the complete info. of the phonon dispersion relation, one has to adopt a *contour-like plot* for all \bar{q} points.



4.4 Vibration of 3D lattices

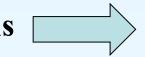


The phonon dispersion spectra for two metals which crystallize in the F.C.C. structure. Part (A) shows data for lead, and part (B) for copper. Angular frequency ω is plotted against the dimensionless vector $\mathbf{q} = (\mathbf{k}\mathbf{a}/\pi)$ measured from the center of the Brillouin zone in three principal directions. For the [110] direction, the curves are extended through the Brillouin zone (B.Z.) boundary. Data for lead from Brockhouse et al., Phys. Rev. 128, 1099 (1962). Data for copper from Svensson et al., Phys. Rev. 155, 619 (1967), and from G. Nilsson and S. Rolandson, Phys. Rev. B.7, 2393 (1973). Data for both materials were obtained by inelastic scattering of monochromatic neutron beams.



II. 3D compound lattice Consider *P* different atoms in a primitive cell, *each atom* corresponds to a E.O.M., therefore it contains *P* equations in a primitive cell:

equiv. to 3P scalar equations



 $3P \times 3P$ matrix equation

is 3*P-rank* equation of ω^2 having 3*P* roots, leading to 3*P* dispersion relations:

 \checkmark 3 *acoustic* branches, and rest 3*P*-3 *optical* branches.



III. first Brillouin zone

 \bar{q} and $\bar{q} + \bar{G}_h$ describe exactly the same vibration states, so by using all \bar{q} values within a primitive cell in reciprocal lattice, one is capeble to discribe all possible lattice waves.

Select a symmetric region centered at $\vec{q} = 0$, with the size of a primitive reciprocal cell — 1st Brillouin zone:

$$-\frac{b_i}{2} < q_i \leq \frac{b_i}{2}$$



IV. periodic boundary condition

Lattice with N primitive cells, the numbers of cells along $\bar{a}_1, \bar{a}_2, \bar{a}_3$ are

$$N_1, N_2, N_3 \qquad N = N_1 \cdot N_2 \cdot N_3$$

Under periodic boundary condition:

$$e^{iN_{i}q_{i}a} = 1$$

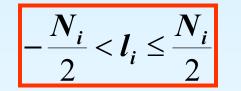
$$N_{i}q_{i}a = 2\pi l_{i} \qquad l_{i} \qquad \text{--integer}$$

$$q_{i} = \frac{l_{i}2\pi}{N_{i}a_{i}}$$





$$-\frac{1}{2}\frac{2\pi}{a_i} < \frac{l_i 2\pi}{N_i a_i} \le \frac{1}{2}\frac{2\pi}{a_i}$$



 $-\frac{b_i}{2} < q_i \leq \frac{b_i}{2}$

 l_i can choose N_i values, so does q_i .

Total number of \overline{q} values $N = N_1 \cdot N_2 \cdot N_3$, equals # of primitive cells in the crystal.

- ✓ A primitive cell contains *P* different atoms, thus there are *3P* different vibration branches, of which 3 are acoustic branches;
- ✓ In a crystal containing N primitive cells, there are 3PN modes in total, of which there are 3N acoustic, and 3N(P−1) optical modes.