Solid surface as a physical problem

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Introductory remarks

- This course concerns
 <u>theoretical aspects of surface physics</u>
- A few themes selected from a vast area
- All belong to the essentials
- The lectures address more physical aspects than technicalities \Rightarrow suited for experimentalists

Surface as a physical problem

Real surfaces \rightarrow	surface = interface to vacuum "the worst of all interfaces")						
Four aspects							
DISBALANCE OF BONDING FORCES	Surface tension; Structural changes: relaxation, reconstruction						
ELECTRON DENSITY HIGH \rightarrow LOW	Surface dipole, surface barrier Local \rightarrow non-local electron exchange						
SUBSTRATE vs. ADSORBATE	Substrate: semi-infinite a reservoir Continuous energy bands, extended electron states × Adsorbate: discrete levels localized states Meeting in the sensitive surface area						
COMPENSATIONS IN TOTAL ENERGY	Considerable variability of surface structures "vulnerability of surfaces"						

• • IMPLICATIONS FOR THE SURFACE THEORY

Implications for the surface theory

as a path to interpretation and prediction of experiments

- "empirical rules" & model intepretations often uncertain
- decision <u>only</u> possible by highly accurate *ab initio* calculations
- the problem of surfaces is a part of the general problem of condensed matter

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- "empirical rules" & model intepretations often uncertain
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Digression: What happened 40+ years ago?

IN EXPERIMENTAL TECHNIQUES

- UHV
- MBE
- new surface probes
- dedicated SR sources
 Tantalus at SRC U. Madison-Wisconsin 1968

IN THEORETICAL TOOLS

- LDA Hohenberg&Kohn 1964, Kohn&Sham 1965
- GW Hedin 1965, Hedin&S.Lundquist 1967
- Hubbard Hamiltonian $1964 \rightarrow LDA + U$
- IIIrd generation computers: IBM 360 1964

- the problem of surfaces is a part of the general problem of condensed matter theory
- THE PARADIGM ["theory of everything"] All Condensed Matter systems and processes can be fully described using ordinary non-relativistic quantum mechanics/statistics

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IMPLEMENTATION -- as a parallel between the experiment and its theoretical image



EXPERIMENTAL SETUP

THEORETICAL COUNTERPART

vacuum chamber as a heat and particle bath
 infinite and keeping the temperature of the whole system

sample

B – **S** interaction in UHV reduced to fixed sample temperature

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IMPLEMENTATION -- as a parallel between the experiment and its theoretical image



Standard procedure of the computational materials science



 (1) sample ... atomic composition atoms → nuclei + electrons OR ions + valence electrons
 (2) Schrödinger equation ... at T = 0

$$\hat{H}\Psi(\boldsymbol{R},\boldsymbol{r}) = E\Psi(\boldsymbol{R},\boldsymbol{r}), \quad \boldsymbol{R} = \{\boldsymbol{R}_J\}, J = 1,2,3... \text{ nuclei}$$
$$\boldsymbol{r} = \{\boldsymbol{r}_\ell\}, \quad \ell = 1,2,3... \text{ electrons}$$

(3) ground state (equilibrium at T = 0)

Recall:



 $\frac{\text{VARIATIONAL PRINCIPLE}}{\langle H \rangle = \min} \quad \delta \langle H \rangle = 0$ $\langle H \rangle = \langle \Psi | \hat{H} | \Psi \rangle = \text{internal energy}$

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Standard procedure of the computational materials science cont'd

(4) Adiabatic approximation

heavy sluggish nuclei source of a classical external electrostatic field for the electrons

- **light nimble electrons** > follow immediately "adiabatically" the positions of the nuclei
 - form a glue between the nuclei
 - stabilize the electrostatic structure ... uncertainty relations

$$\hat{H}\Psi(\boldsymbol{R},\boldsymbol{r}) = E\Psi(\boldsymbol{R},\boldsymbol{r}),$$

$$\hat{H} = \hat{H}_n + \hat{H}_e + \hat{U}_{ne}, \quad \hat{H}_n = \hat{T}_n + \hat{U}_{nn}, \quad \hat{H}_e = \hat{T}_e + \hat{U}_{ee}$$

Ansatz
$$\Psi(\mathbf{R}, \mathbf{r}) = \Phi_n(\mathbf{R}) \cdot \Psi_e(\mathbf{R}, \mathbf{r})$$
 $(\hat{H}_e + \hat{U}_{ne})\Psi_e(\mathbf{R}, \mathbf{r}) = \mathcal{E}_e(\mathbf{R}) \cdot \Psi_e(\mathbf{R}, \mathbf{r})$ electrons $(\hat{H}_n + \mathcal{E}_e(\mathbf{R}))\Phi_n(\mathbf{R}) = E \cdot \Phi_n(\mathbf{R})$ nuclei

Standard procedure of the computational materials science cont'd

(4) Adiabatic approximation *cont'd*

adiabatic total energy neglect completely kinetic energy of nuclei

 $E(\mathbf{R}) = \hat{U}_{nn}(\mathbf{R}) + \mathcal{E}_{e}(\mathbf{R})$ total adiabatic energy $\nabla_{R} E(\mathbf{R}_{0}) = \mathbf{0}, \quad \frac{\partial}{\partial X_{J\alpha}} E(\mathbf{R}) = 0$ equilibrium geometry $E(\mathbf{R}_{0})$ equilibrium energy

Standard procedure of the computational materials science cont'd

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When does the adiabatic approximation fail

- electron phonon interaction
- primary ion in SIMS, etc.

Standard procedure of the computational materials science cont'd

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When does the adiabatic approximation fail electron – phonon interaction

• primary ion in SIMS, etc.

(5) Finally, we arrive at a truly difficult stage. Approximate description of many electrons pair-wise interacting by the Coulomb force In solids, this e – e interaction is neither weak nor short-range. Simple approximations, weak coupling or the gas approximation both fail ...

Interacting electrons in solids

correlation energy

"Ψ"

 $H[\Psi]$

The Coulomb interaction between electrons is never really weak. Two traditional opposite limits

electrons	delocalized itinerant	localized bound
e – e interaction	pair interaction → HF mean field approximation	pair interaction at a distance site to site exchange integrals
quantum chemistry	Hund - Mulliken LCAO	Heitler – London Valence Bond
magnetism	Stoner - Slater band magnetism	(Dirac) – Heisenberg Hamiltonian

• The itinerant electron theories and their improvements fall under the category of ORBITAL THEORIES which dominate today.

• The orbital theories include the shell model of atoms, the molecular orbital theory in QCh, the band model of solid crystals.

• <u>Problem</u> Take Hartree - Fock, the archetype of orbital theories; HF electrons are independent, do not catch up the e - e correlations $H[\Psi_{IIF}]$, • Possible improvements to HF

<u>Possible improvements</u> to HF
 Configuration Interaction QCh Pople NP
 Kohn - Sham orbitals CM Kohn 1998

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 correlation energy

Sorting out the orbital theories



Why everybody likes the orbital theories

.... a universal simple method: instead of SR for $N^{(e)}=2, 92, ..., 10^{28}$ electrons ...

(I.) one-electron Schrödinger equation

$$\left(-\frac{\hbar^2}{2m_e}\Delta + V(\boldsymbol{r})\right)\psi_{\alpha}(\boldsymbol{r}) = E_{\alpha}\psi_{\alpha}(\boldsymbol{r})$$

(II.) Many-electron state = sequence of occup. numbers $\{n_{\alpha\sigma}\}$

- add spin $\sigma = \uparrow, \downarrow$
- Pauli principle $0 \le n_{\alpha\sigma} \le 1$
- Aufbau principle fill from the bottom up

(III.) Charge balance
$$\sum n_{\alpha\sigma} = N^{(e)}_{\uparrow} + N^{(e)}_{\downarrow} = N^{(e)} = \sum Z_J$$

defines Fermi energy $n_{\alpha\sigma} = f_{FD}(E_{\alpha}) \frac{1}{1 + e^{\beta(E_{\alpha} - E_{F})}}$... HOMO highest occupied ... LUMO lowest unoccupied

> local particle density $n(\mathbf{r}) = n_{\uparrow}(\mathbf{r}) + n_{\downarrow}(\mathbf{r})$ local spin density $m(\mathbf{r}) = n_{\uparrow}(\mathbf{r}) - n_{\downarrow}(\mathbf{r})$ $n_{\sigma}(\mathbf{r}) = \langle \hat{n}_{\sigma}(\mathbf{r}) \rangle = \sum n_{\alpha\sigma} |\psi_{\alpha\sigma}(\mathbf{r})|^2$ orbital interpretation double average

Ion of hydrogen molecule H_2^+



 $\varphi_A(\mathbf{r}) = \psi_{100}(\mathbf{r} - \mathbf{r}_A), \quad \varphi_B(\mathbf{r}) = \psi_{100}(\mathbf{r} - \mathbf{r}_B)$ $\psi_g = N_g(\varphi_A + \varphi_B) \quad \text{symmetry}!!!$ $\psi_u = N_u(\varphi_A - \varphi_B) \quad \text{symmetry}!!!$



Ion of hydrogen molecule H_2^+



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Occupation of energy levels in an atom

The electron in a H_2^+ ion always occupies one orbital (solutions of the Schrödinger eq.) depending on its energy.

For many-electron atoms the Schrödinger eq. cannot be solved analytically!

- 1. The spatial arrangement of the atom is characterised by the same set of orbitals as for the one-electron hydrogen atom.
- 2. The orbitals are filled successively with the atom's electrons. In the ground state of the atom each electron prefers to fill the orbital which is lowest in energy. There are well-working rules (Madelung's rule, Hund's rules) of thumb for the ordering of the orbitals.
- 3. The number of electrons within a specific orbital is limited to a maximum of two by the Pauli exclusion principle: A quantum state specified by the four quantum numbers n, l, m and σ can be possessed by at most one particle at the same time. There are two quantum states associated with each orbital (spin).

Occupation of energy levels in an atom - empirical rules

The energy of a specific orbital is determined by the mean distance to the positively charged nucleus. But in many-electron atoms it is also dependent on the mutual repulsion of the electrons and the screening of the nuclear charges by inner electrons.

Madelung's rule

- The energy ordering is from lowest value of n + l to the largest.
- When two orbitals have the same value of n + l the one with smaller n is filled first.

Hund's rule - regarding the *m*-degeneracy

- The number of unpaired electrons is maximized.
- Such unpaired electrons possess parallel spins, thus maximising the total spin of the outermost orbital.

HF energy levels -FOCK-SLATER ENERGY LEVELS VS. ATOMIC NUMBER 10,000 RELATIVISTIC CORRECTIONS NON-RELATIVISTIC] in atoms INCLUDED 1000 $\hat{H}\psi_{n\ell m}(r, \vartheta, \varphi) = E_{n\ell}\psi_{n\ell m}(r, \vartheta, \varphi)$ 25 degeneracy $2\ell + 1$ 100 (RYDBERGS) ,5d 5d 10 - ENERGY 6s 6s -6p 60 5 51 6d 6d 0.5 6s 75 5s 6s 6p 7s 5s 60 0.2 0.1 100 120 80 60 20 40 60 80 100 20 40 0

ATOMIC

NUMBER

(Z

Occupation of energy levels in atoms

Z	Z Prvck K L M		M N	N	0	1.	Davale	K	L	M	N	0	P	10	
		Is	2s 2p	3s 3p 3d	4s 4p 4d 4f	5s 5p 5d 5f	12	FIVER	ls	2s 2p	3s 3p 3d	4s 4p 4d 4f	5s 5p 5d 5f	6s 6p 6d	7
1	H	1		1.15			49	In	2	2 6	2 6 10	2 6 10	2 1		İ
2	110						50	Sn	2	2 6	2 6 10	2 6 10	22		
4	Be	2	2	1967			51	5D To	20	2 6	2 6 10	2 6 10	2 3		1.00
5	B	2	2 1				53	J	2	2 6	2 6 10	2 6 10	24	1	
6	C	2	2 2				54	Xe	2	2 6	2 6 10	2 6 10	26	1.00	
7	N	2	2 3				55	Cs	2	2 6	2 6 10	2 6 10	2 6	1	-
9	F	20	2 4				56	Ba	2	2 6	2 6 10	2 6 10	26	2	
10	Ne	2	2 6				57	La	2	2 6	2 6 10	2 6 10	2 6 1	2	
11	Na	2	2 6	1			58	Ce	2	2 6	2 6 10	2 6 10 1	261	2	1
12	Mg	2	2 6	2			60	Nd	2	2 6	2 6 10	2 6 10 2		2	
13	AI	2	2 6	2 1			61	Pm	2	2 6	2 6 10	2 6 10 3	261	2	
14	Si	2	2 6	22			62	Sm	2	2 6	2 6 10	2 6 10 5	261	2	
10	P	2	2 6	2 3			63	Eu	2	2 6	2 6 10	2 6 10 6	261	2	
17	CI	2	2 6	2 4			64	Gd	2	2 6	2 6 10	2 6 10 7	261	2	1
18	Ar	2	2 6	2 0			65	Tb	2	2 6	2 6 10	2 6 10 8	2 6 1	2	
9	K	2	2 6	2.6	1		67	Ho	2	2 0	2 6 10	2 6 10 9	2 6 1	2	
20	Ca	2	2 6	2 6	2		68	Er	2	2 6	2 6 10	2 6 10 10	2 6 1	2 9	1
21	Sc	2	2 6	2 6 1	2		69	Tu	2	2 6	2 6 10	2 6 10 12	2 6 1	2	
22	Ti	2	2 6	262	2		70	Yb	2	2 6	2 6 10	2 6 10 13	2 6 1	2	
3	C.	2	2 6	2 6 3	2		71	Lu	2	2 6	2 6 10	2 6 10 14	2 6 1	2	
25	Mn	2	2 6	2 0 0	1		72	Hf	2	2 6	2 6 10	2 6 10 14	2 6 2	2	
6	Fe	2	2 6	2 6 6	2		73	1a W	2	2 6	2 6 10	2 6 10 14	2 6 3	2	
27	Co	2	2 6	267	2		75	Be	2	2 6	2 6 10	2 6 10 14	2 0 4	2	
8	Ni	2	2 6	2 6 8	2		76	Os	2	2 6	2 6 10	2 6 10 14	266	2	
9	Zn	2	2 6	2 6 10	1		77	Ir	2	2 6	2 6 10	2 6 10 14	3 6 7	2	
i	Ga	2	2 6	2 6 10 1	2		78	Pt	2	2 6	2 6 10	2 6 10 14	2 6 8	2	
2	Ge	2	2 6	2 6 10	2 1 2 9		79	Au	2	2 6	2 6 10	2 6 10 14	2 6 10	1	
3	As	2	2 6	2 6 10	23		81	TI	2	2 6	2 6 10	2 6 10 14	2 6 10	2 1	
4	Se	2	2 6	2 6 10	2 4		82	Pb	2	2 6	2 6 10	2 6 10 14	2 6 10	2 2	
6	Br	2	2 6	2 6 10	2 5		83	Bi	2	2 6	2 6 10	2 6 10 14	2 6 10	2 3	
7	Rh -	2 -	2 0	2 6 10	26		84	Po	2	2 6	2 6 10	2 6 10 14	2 6 10	2 4	
8	Sr	2	2 6	2 6 10	26	1	85	At	2	2 6	2 6 10	2 6 10 14	2 6 10	2 5	
9	Y	2	2 6	2 6 10	261	2	00	Rn	2 -	2 0	2 6 10	2 6 10 14	2 6 10	2 6	
0	Zr	2	2 6	2 6 10	262	2	88	Ba	2	2 6	2 6 10	2 6 10 14	2 6 10	2 6	9
1	Nb	2	2 6	2 6 10	264	1	89	Ac	2	2 6	2 6 10	2 6 10 14	2 6 10	2 6 1	2
3	MO	2	2 6	2 6 10	265	1	90	Th	2 -	2 6	2 6 10	2 6 10 14	2 6 10 1	2 6 1	2
4	Ru	2	2 6	2 6 10	266	1	91	Pa	2	2 6	2 6 10	2 6 10 14	2 6 10 2	2 6 1	2
5	Rh	2	2 6	2 6 10	268	1	92	U	2	2 6	2 6 10	2 6 10 14	2 6 10 3	2 6 1	2
6	Pd	2	2 6	2 6 10	2 6 10		93	Np Du	2	2 6	2 6 10	2 6 10 14	2 6 10 4	2 6 1	2
7	Ag	2	2 6	2 6 10	2 6 10	1	95	Am	2	2 6	2 6 10	2 6 10 14	2 6 10 5	2 6 1	2
81	Cd	2	2 6	2 6 10	2 6 10	2	96	Cm	2	2 6	2 6 10	2 6 10 14	2 6 10 7	2 6 1	2

Occupation of energy levels in atoms

MADELUNG RULE	ZIP		L	M	N	0	-		K	L	M	l N	0	P	0
$\ell = 0 1 2 3 4$		IVER	s 2s 2p	3s 3p 3d	4s 4p 4d 4f	5s 5p 5d 5f	Z	Prvek	ls	2s 2p	3s 3p 3d	4s 4p 4d 4f	5s 5p 5d 5f	6s 6p 6d	75
2n = 7 $7s$ 1 1 1 1 1 1 1 1 1 1	1 1 2 1 3 1 4 1 5 F	H He S Li S Be S B	$\begin{array}{c c} 1 \\ 1 \\ 2 \\ 2 \\ 2 \\ 1 \end{array}$				49 50 51 52 53	In Sn Sb Te J	222222	2 6 2 6 2 6 2 6 2 6 2 6 2 6	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$ \begin{array}{cccccccccccccccccccccccccccccccccccc$		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
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N 4 $4s$ $4p$ $4d$ $4f$ 8	11 N 12 M 13 A 14 S 15 P 16 S	Na 2 Mg 2 NI 2 Si 2 Si 2	2 6 2 6 2 6 2 6 2 6 2 6	$ \begin{array}{c} 1 \\ 2 \\ 2 \\ 2 \\ 2 \\ 2 \\ 3 \\ 2 \\ 4 \end{array} $			59 60 61 62 63	Pr Nd Pm Sm Eu	222222	2 6 6 6 2 6 2 6 2 6 2 6 2 6 0 0 0 0 0 0	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	2 2 2 2 2 2 2 2 2 2 2 2	
M 3 $3s$ $3p$ $3d$ -6 -7 1	17 C 18 A 19 K 20 C 21 S	a 2 c 2		$ \begin{array}{c} 2 & 4 \\ 2 & 5 \\ 2 & 6 \\ 2 & 6 \\ 2 & 6 \\ 2 & 6 \\ 1 \end{array} $	1 2 2		64 65 66 67 68 69	Gd Tb Dy Ho Er	2 2 2 2 2 2 0	266666	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	$ \begin{array}{ccccccccccccccccccccccccccccccccccc$	2 2 2 2 2 2	
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2 6 10 7

Digression: how to solve the Schrödinger eq.

one-electron Schrödinger equation $(-\frac{\hbar^2}{2m_a}\Delta + V(\mathbf{r}))\psi_{\alpha}(\mathbf{r}) = E_{\alpha}\psi_{\alpha}(\mathbf{r})$

direct methods

variational methods

on-shell at E_{α} matching of the wave function (boundary conditions) *textbook approach*

KKR !

RITZ - GALERKIN Schrödinger eq. \rightarrow matrix problem $\psi = \sum_{\lambda} c_{\lambda} \varphi_{\lambda}$ $\sum_{\mu} \left(\left\langle \lambda | \hat{H} | \mu \right\rangle - E \left\langle \lambda | \mu \right\rangle \right) c_{\mu} = 0$ $H_{\lambda \mu} S_{\lambda \mu}$ **OPW APW** LCAO

X - ray maps of electron density



rock salt



diamond

The end