



Part I Fundamentals Electron Theory : Matter Waves Chap. 1 Introduction Chap. 2 The Wave-Particle Duality **Chap. 3 The Schördinger Equation** Chap. 4 Solution of the Schördinger Equation for **Four Specific Problems** Chap. 5 Energy Bands in Crystals Chap. 6 Electrons in a Crystal **Electromagnetic Theory : Maxwell Equations** Chap. 4 Light Waves (Electrons in Solids, 3rd Ed., R. H. Bube)



5.1 One-Dimensional Zone Schemes

Energy E vs momentum of the electrons p (or k)

For free electrons, the wave number in 1-dim

$$E = \frac{\hbar^2}{2m} k^2 \longrightarrow k_x = const. E^{1/2}$$

In a crystal



Figure 5.1. Electron energy E versus the wave vector k_x for free electrons.

 $P \frac{\sin \alpha a}{\alpha a} + \cos \alpha a = \cos ka$ If P = 0, $\cos \alpha a = \cos ka$

 $\cos \alpha a = \cos k_x a \equiv \cos(k_x a + n2\pi)$: more general form in 1-dim

$$n = 0, \pm 1, \pm 2, \dots \quad \alpha a = k_x a + n2\pi$$

Combining with
$$\alpha = \sqrt{\frac{2m}{\hbar^2}} E^{1/2}$$
$$k_x + n\frac{2\pi}{a} = \sqrt{\frac{2m}{\hbar^2}} E^{1/2}$$



E is a periodic function of k_x with the periodicity of $2\pi/a$



If an electron propagates in *a periodic potential*, discontinuities of the electron energies are observed when $\cos k_x a$ has a maximum or a minimum, i.e., when $\cos k_x a = \pm 1$

$$k_x a = n\pi$$
, $n = \pm 1, \pm 2, \pm 3, \dots$, or $k_x = n \cdot \frac{\pi}{a}$

At these singularities, a deviation from the parabolic $E vs k_x$ occurs and the branches of the individual parabolas merge into the neighboring ones (see Fig.5.3)



5.1 One-Dimensional Zone Schemes



The electrons in a crystal behave like free electrons for most k_x value except $k_x \rightarrow n \pi/a$

periodic zone scheme (see Fig 5.3)

Figure 5.3. Periodic zone scheme.



Figure 5.4. Reduced zone scheme. (This is a section of Fig. 5.3 between $-\pi/a$ and $+\pi/a$.)

reduced zone scheme (see Fig 5.4)

 $\pi/a \leq k_x \leq \pi/a$



5.1 One-Dimensional Zone Schemes





extended zone scheme (see Fig 5.5)

the deviations from the free electron parabola at the critical points $k_x = n \pi/a$ are particularly easy to identify.



Figure 5.6. "Free electron bands" plotted in the reduced zone scheme (cubic primitive crystal structure). Compare this figure with the central portion of Fig. 5.2, that is, with the region from zero to π/a . Note the sameness of the individual bands.

free electron bands (see Fig 5.6)

free electrons in a reduced zone scheme

from
$$k_x + n\frac{2\pi}{a} = \sqrt{\frac{2m}{\hbar^2}}E^{1/2}$$

 $E = \frac{\hbar^2}{2m}(k_x + n\frac{2\pi}{a})^2, \quad n = \pm 0, \pm 1, \pm 2,...$



5.1 One-Dimensional Zone Schemes

$$E = \frac{\hbar^2}{2m} (k_x + n\frac{2\pi}{a})^2, \quad n = \pm 0, \pm 1, \pm 2, \dots$$

By inserting different *n*-values, one can calculate the shape of branches of the free electron bands

$$n = 0, \quad E = \frac{\hbar^2}{2m} k_x^2 \text{ (parabola with 0 as origin)}$$

$$n = -1, \quad E = \frac{\hbar^2}{2m} (k_x - \frac{2\pi}{a})^2 \text{ (parabola with } \frac{2\pi}{a} \text{ as origin)}$$
For $k_x = 0, \quad E = 4 \frac{\pi^2 \hbar^2}{2ma^2}$
For $k_x = \frac{\pi}{a}, \quad E = 1 \frac{\pi^2 \hbar^2}{2ma^2}$

5.2 One- and Two-Dimensional Brillouin Zones

1-d Brillouin Zone

- The first Brillouin Zone (BZ) :

 $\pi/a \le k_x \le \pi/a$: n-Band

- The second Brillouin Zone (BZ):

 $\pi/a \le k_x \le 2\pi/a$, $-\pi/a \le k_x \le -2\pi/a$: m-band



- Individual branches in an extended zone Figure 5.5. Extended zone scheme. The first and second Brillouin zones (BZ) are scheme (Fig. 5.5) can be shifted by $2\pi/a$ to left or to right. Shift the branches of 2nd BZ to the positive side of E- k_x diagram by $2\pi/a$ to the left, and likewise the left band by $2\pi/a$ to the right \rightarrow The result is shown in Fig. 5.4 (a reduced zone scheme)

- The same can be done in 3rd BZ, and all BZ (because of the $2\pi/a$ periodicity) \rightarrow relevant information of all BZ can be contained in the 1st BZ (a reduced zone scheme)

5.2 One- and Two-Dimensional Brillouin Zones 2-d Brillouin Zone

Description for the movement of an electron in the potential of 2-d lattice

- Wave vector $\mathbf{k} = (k_x, k_y)$: 2-d reciprocal lattice (Fig 5.7)

- A 2-d field of allowed energy regions which correspond to the allowed energy band \rightarrow 2-d BZ

-1st zone in 2-d: the area enclosed by four "Bragg planes" having four shortest lattice vectors, G_1 : bisectors on the

lattice vectors

For the following zone → construct the bisectors of the next shortest lattice vectors, G₂, G₃...
For the zone of higher order the extended limiting lines of the zones of lower order are used as additional limiting lines.



Figure 5.7. Four shortest lattice vectors in a $k_x - k_y$ coordinate system and the first Brillouin zone in a two-dimensional reciprocal lattice. (Cubic primitive crystal structure.)

5.2 One- and Two-Dimensional Brillouin Zones

The first four BZ shown in Fig 5.8 "Usefulness of BZ"

- energy bands of solids (discussed in later section)
- the behavior of electrons which travel in a specific direction in reciprocal space

Example: in 2-d lattice, an electron travels at 45° to k_r -axis, then the boundary of the BZ is reached, according to Fig 5.8, for $k_{crit} = \frac{\pi}{\sqrt{2}} \sqrt{2}$ reciprocal lattice. this yields with (4.8) a maximal attainable energy of $E_{\text{max}} = \frac{\pi^2 \hbar^2}{a^2 m}$ If the boundary of a BZ is reached at $k_{crit} = -\frac{\pi}{2}$ the largest energy of electrons moving parallel to k_x or k_y axis

Figure 5.8. The first four Brillouin zones of a two-dimensional, cubic primitive

 $E_{\rm max} = \frac{1}{2} \left(\frac{\pi^2 \hbar^2}{a^2 m} \right)$



5.2 One- and Two-Dimensional Brillouin Zones

- Once the maximal energy has been reached, the electron waves (those of the incident and the Bragg-reflected electrons) form standing waves (the electrons are reflected back into the BZ.)
- Overlapping of energy bands: bands are drawn in different directions in *k*-space (Fig 5.9) :



Figure 5.9. Overlapping of allowed energy bands.

5.2 One- and Two-Dimensional Brillouin Zones

A different illustration of the occurrence of critical energies at which a reflection of the electron wave takes place :

Bragg relation

Since $\lambda = 2 \pi / k$

$$2a\sin\theta = n\lambda, \quad n = 1, 2, 3, \dots$$



Figure 5.10. Bragg reflection of an electron wave in a lattice. The angle of incidence is θ .

$$2a\sin\theta = n\frac{2\pi}{k} \longrightarrow k_{crit} = n\frac{\pi}{a\sin\theta}$$

For a perpendicular incidence, $\theta = 90^{\circ}$, $k_{crit} =$
If $\theta = 45^{\circ}$, $k_{crit} = \frac{\pi}{\sqrt{2}}\sqrt{2}$

For increasing electron energies, a critical *k*-value is finally reached for which "reflection" of the electron wave at the lattice plane occurs. At k_{crit} , the transmission of electron beam through the lattice is prevented.





5.3 Three-Dimensional Brillouin Zones

- In previous section, it was shown that at the boundaries of the zones the electron waves are Bragg-reflected by the crystal.
- The wave vector, $|\mathbf{k}| = 2 \pi / \lambda$, was seen to have the unit of reciprocal length and thus is defined in the reciprocal lattice.
- The construction of 3-d Brillouin zones for two important crystal structures of face centered cubic (FCC) and body centered cubic (BCC) : important features in common with "Wigner- Seitz cells"

5.4 Wigner - Seitz Cells

Crystals have symmetrical properties

- An accumulation of "unit cell"
- Smallest possible cell "**primitive cell**" (consist of 1 atom)
- BCC, FCC : conventional non-primitive unit cells





- Wigner-Seitz cell : a special type of primitive unit cell that shows the cubic symmetry of cubic cells

- W-S cell construction: bisects the vectors from a given atom to its nearest neighbors and place a plane perpendicular to these vectors at the bisecting points. For BCC (Fig 5.11) & FCC (Fig. 5. 13)

5.4 Wigner - Seitz Cells

The atomic arrangement of FCC: corners and faces of cube,
or center points of the edges and the center of the cell (Fig 5.12)
The W-S cell for FCC shown in Fig 5.13



Figure 5.12. Conventional unit cell of the fcc structure. In the cell which is marked black, the atoms are situated on the corners and faces of the cubes. In the white cell, the atoms are at the centers of the edges and the center of the cell.



Figure 5.13. Wigner–Seitz cell for the fcc structure. It is constructed from the white cell which is marked in Fig. 5.12.

5.5 Translation Vectors and the Reciprocal Lattice

Fundamental vectors or primitive vectors : t_1, t_2, t_3 Translation vectors, **R** : combination of primitive vectors

$$\mathbf{R} = n_1 \mathbf{t}_1 + n_2 \mathbf{t}_2 + n_3 \mathbf{t}_3$$

where n_1 , n_2 , and n_3 are integers.

Three vectors for the reciprocal lattice: \mathbf{b}_1 , \mathbf{b}_2 , \mathbf{b}_3 a translation vector for the reciprocal lattice, **G**

$$\mathbf{G} = 2\pi (h_1 \mathbf{b}_1 + h_2 \mathbf{b}_2 + h_3 \mathbf{b}_3)$$

where h_1, h_2 , and h_3 is integer

$$\mathbf{t}_1 = \frac{a}{2}(-\mathbf{i} + \mathbf{j} + \mathbf{l})$$





Figure 5.14. (a) Fundamental lattice vectors $\mathbf{t}_1, \mathbf{t}_2, \mathbf{t}_3$ in a cubic primitive lattice. (b) Fundamental lattice vectors in a conventional (white) and primitive, noncubic unit cell (black) of a bcc lattice. The axes of the primitive (noncubic) unit cell form angles of 109° 28′.

5.5 Translation Vectors and the Reciprocal Lattice

The relation between real and reciprocal lattices

Kronecker-Delta symbol

By definition,

 $\mathbf{b}_1 \bullet \mathbf{t}_1 = \mathbf{1},$

Figure 5.15. Plane formed by t_2 and t_3 with perpendicular vector \mathbf{b}_1 .

 $\begin{array}{l} \mathbf{b}_1 \bullet \mathbf{t}_2 = \mathbf{0}, \\ \mathbf{b}_1 \bullet \mathbf{t}_3 = \mathbf{0}. \end{array}$ Figure 5.15. Plane formed by t₂ and t₃ with perpendent where $\delta_{nm} = 1$ for n = m and $\delta_{nm} = 0$ for $n \neq m$

$$\mathbf{b}_1 = const. \ \mathbf{t}_2 \times \mathbf{t}_3 \longrightarrow \mathbf{b}_1 \bullet \mathbf{t}_1 = const. \ \mathbf{t}_1 \bullet \mathbf{t}_2 \times \mathbf{t}_3 = 1 \longrightarrow const = \frac{1}{\mathbf{t}_1 \bullet \mathbf{t}_2 \times \mathbf{t}_3}$$

$$\mathbf{b}_1 = \frac{\mathbf{t}_2 \times \mathbf{t}_3}{\mathbf{t}_1 \bullet \mathbf{t}_2 \times \mathbf{t}_3} \qquad \mathbf{b}_2 = \frac{\mathbf{t}_3 \times \mathbf{t}_1}{\mathbf{t}_1 \bullet \mathbf{t}_2 \times \mathbf{t}_3} \qquad \mathbf{b}_3 = \frac{\mathbf{t}_1 \times \mathbf{t}_2}{\mathbf{t}_1 \bullet \mathbf{t}_2 \times \mathbf{t}_3}$$

5.5 Translation Vectors and the Reciprocal Lattice

Calculation for the reciprocal lattice of a BCC crystal

Real crystal

a: lattice constant, $\mathbf{t_1}, \mathbf{t_2}, \mathbf{t_3}$: primitive lattice vectors,

i, **j**, **l** : unit vectors in the x, y, z coordinate system (see Fig. 5.14(b))

 $\mathbf{t}_{1} = \frac{a}{2}(-\mathbf{i} + \mathbf{j} + \mathbf{l})$ Abbreviated, $\mathbf{t}_{1} = \frac{a}{2}(\overline{1}11)$ $\mathbf{t}_{2} = \frac{a}{2}(1\overline{1}1)$ $\mathbf{t}_{3} = \frac{a}{2}(11\overline{1})$ $\mathbf{t}_{3} = \frac{a}{2}(11\overline{1})$ $\mathbf{t}_{3} = \frac{a}{2}(11\overline{1})$ $\mathbf{t}_{2} \times \mathbf{t}_{3} = \frac{a^{2}}{4} \begin{vmatrix} \mathbf{i} & \mathbf{j} & \mathbf{k} \\ 1 & -1 & 1 \\ 1 & 1 & -1 \end{vmatrix} = \frac{a^{2}}{4}(\mathbf{i} + \mathbf{j} + \mathbf{l} + \mathbf{l} - \mathbf{i} + \mathbf{j})$ $= \frac{a^{2}}{4}(2\mathbf{j} + 2\mathbf{l}) = \frac{a^{2}}{2}(\mathbf{j} + \mathbf{l})$

Figure 5.16. Lattice vectors in reciprocal space of a bcc crystal. The primitive vectors in the reciprocal lattice are (because of (5.13)) larger by a factor of 2π . The lattice constant of the cube then becomes $2\pi \cdot 2/a$.

5.5 Translation Vectors and the Reciprocal Lattice

(continued)



BCC (reciprocal lattice) \longrightarrow **FCC** (real lattice) ^{1st} Brillouin zone for BCC

→ Wigner-Seitz cell for FCC

Vice versa



5.6 Free electron Bands

Periodicity of $E(\mathbf{k}) \rightarrow$ all information of electron contained in the 1st Brillouin Zone (BZ)

 $E_{\mathbf{k}'}$ for \mathbf{k}' for outside 1st BZ $\rightarrow E_{\mathbf{k}}$ with in 1st BZ with a suitable translation vector **G** $\mathbf{k}' = \mathbf{k} + \mathbf{G}$

"Energy bands are not alike in different directions in **k**-space"

for the demonstration, "free electron band" is used (Fig 5.6).

In 3-D, from (5.7)
$$E_{k'} = \frac{\hbar^2}{2m} (\mathbf{k} + \mathbf{G})^2$$
$$E = \frac{\hbar^2}{2m} (k_x + n\frac{2\pi}{a})^2, \quad n = \pm 0, \pm 1, \pm 2, \dots$$
(5.7)

5.6 Free electron Bands

In Fig 5.17, three important directions [100] from $\Gamma(\text{origin})$ to point $H: \Delta$ [110] from Γ to $N: \Sigma$ [111] from Γ to $P: \Lambda$

Fig 5.18 calculated by using the following equation

$$E_{k'} = \frac{\hbar^2}{2m} (\mathbf{k} + \mathbf{G})^2$$







Figure 5.18. Energy bands of the free electrons for the bcc structure. The numbers given on the branches are the respective h_i values (see the calculation in the text). Compare to Fig. 5.6. $C = \hbar^2 2\pi^2 / ma^2$, see (5.38).

5.6 Free electron Bands

band calculation for BCC $\Gamma - H$ [100] direction

 $\mathbf{k}_{\Gamma-H} \equiv \mathbf{k}_{\mathbf{x}}$ between 0 and $2\pi/a$ (boundary of BZ)

For this direction (5.35) becomes

$$E = \frac{\hbar^2}{2m} \left(\frac{2\pi}{a} x \mathbf{i} + \mathbf{G}\right)^2$$

Where x may take values between 0 and 1. to start with, let G = 0, then

$$E = \frac{\hbar^2}{2m} (\frac{2\pi}{a})^2 (x\mathbf{i})^2 \equiv Cx^2 \qquad \text{where} \qquad C = \frac{\hbar^2}{2m} (\frac{2\pi}{a}) = \frac{2\hbar^2 \pi^2}{ma^2}$$

this curve is labeled (000) in Fig 5. 18 since $h_1,h_2,h_3 = 0,0,0$ for **G**=0

5.6 Free electron Bands

For the case of
$$h_1, h_2, h_3 = 0, -1, 0$$

$$\mathbf{G} = -\frac{2\pi}{a} (\mathbf{i} + \mathbf{l})$$

combined (5.36) and (5.38)

$$E = \frac{\hbar^2}{2m} \left[\frac{2\pi x}{a}\mathbf{i} - \frac{2\pi}{a}(\mathbf{i} + \mathbf{l})\right]^2 = C[\mathbf{i}(x-1) - \mathbf{l}]^2$$

$$C = [(x-1)^{2} + 1] = C(x^{2} - 2x + 2)$$

For $x=0 \rightarrow E=2C$ and for $x=1 \rightarrow E=1C$

The band labeled (010)

in Fig 5.18 obtained.

Similarly, For FCC, see

Figs. 5.19 & 5.20



Figure 5.20. Free electron bands of the fcc structure. The letters on the bottom of the graphs correspond to letters in Fig. 5.19 and indicate specific symmetry points in k-space.





5.7 Band Structures for Some Metals and Semiconductors

Band structure
of actual solids :
Figs. 5.21~5.24
(results of extensive,
computer-aided
calculations)



[111]: Γ – *L*



Figure 5.21. Energy bands for aluminum. Adapted from B. Segal, *Phys. Rev.* **124**, 1797 (1961). (The meaning of the Fermi energy will be explained in Section 6.1.)

Band diagram for aluminum

- parabola-shaped band: free- electron like

5.7 Band Structures for Some Metals and Semiconductors



Figure 5.22. Band structure of copper (fcc). Adapted from B. Segal, *Phys. Rev.* **125**, 109 (1962). The calculation was made using the *l*-dependent potential. (For the definition of the Fermi energy, see Section 6.1.)

Band diagram for copper

-Lower half of the diagram closely spaced and flat running bands (due to 3d-bands of Cu)



Figure 5.23. Calculated energy band structure of silicon (diamond-cubic crystal structure). Adapted from M.L. Cohen and T.K. Bergstresser, *Phys. Rev.* 14, 789 (1966). See also J.R. Chelikowsky and M.L. Cohen, *Phys. Rev.* B14, 556 (1976).

Band diagram for silicon

- band gap : near $0 \sim 1 \text{eV} \rightarrow$ "semiconductor properties"

5.7 Band Structures for Some Metals and Semiconductors

Band diagram gallium arsenide
: so called III – IV semiconductor
Important for "optoelectonic devices"



Figure 5.24. Calculated energy band structure of GaAs. Adapted from F. Herman and W.E. Spicer, *Phys. Rev.* 174, 906 (1968).

5.8 Curves and Planes of Equal Energy



Figure 5.25. Electron energy E versus wave vector **k** (two-dimensional). This figure demonstrates various curves of equal energy for free electrons.

Energy vs. wave vector, k

Fig 5.25: curves of equal energy for free electrons

Fig 5.26: near boundary of BZ- deviation from a circular form (2-d)

Fig 5.27: 3-d BZ for Cu



Figure 5.26. Curves of equal energy inserted into the first Brillouin zone for a twodimensional square lattice.



Figure 5.27. A particular surface of equal energy (Fermi surface, see Section 6.1) and the first Brillouin zone for copper. Adapted from A.B. Pippard, *Phil. Trans. Roy. Soc. London*, A 250, 325 (1957).