

Contents

Part I Basic Concepts in Semiconductor Physics

1	Survey of Classical Physics	3
1.1	Newton Dynamics	3
1.2	Work and Energy	4
1.3	Hamiltonian Formulation of Dynamics	6
1.4	Canonical Transformations	7
1.5	Small Oscillations	8
1.6	Maxwell Equations	10
1.7	Electromagnetic Potentials and Gauge Transformations	11
1.8	Hamiltonian of a Charged Particle in an Electromagnetic Field	13
2	Fundamentals of Quantum Mechanics	15
2.1	The First Postulates	16
2.2	Equations of Motion	18
2.2.1	Pictures and Representations	18
2.2.2	Evolution Operator and Its Equation of Motion	19
2.2.3	Equation of Motion in Schrödinger and Heisenberg Pictures	20
2.2.4	Interaction Picture	20
2.3	Heisenberg Uncertainty Relations	21
2.4	How to Deal with a General Quantum-Mechanical Problem in a System with a Constant Hamiltonian	22
2.5	The $\{q\}$ Representation: Wave Mechanics	23
2.6	Identical Particles and Pauli Exclusion Principle	25
3	Fundamentals of Statistical Physics	27
3.1	Introduction	27
3.2	Liouville Theorem	28
3.3	The Fundamental Hypotheses of Statistical Mechanics	30
3.4	Main Definitions and Results of Statistical Mechanics	31

3.5	Thermal Bath	34
3.6	The Three Fundamental Statistical Ensembles	34
3.6.1	Microcanonical Ensemble	35
3.6.2	Canonical Ensemble	35
3.6.3	Grand Canonical Ensemble	36
3.7	Equilibrium Particle Distributions in Ideal Gases	37
3.7.1	Classical Gas: Maxwell–Boltzmann Distribution	38
3.7.2	Bose Distributions	38
3.7.3	Fermi Distribution	39
3.7.4	Classical Limit	39
4	Crystal Structures	41
4.1	Crystals	41
4.2	Lattices	42
4.3	Crystal Bonding	46
4.4	Reciprocal Lattice	47
5	Phonons	49
5.1	The Vibrating String	50
5.2	The Simplest Linear Chain	52
5.3	Monatomic Linear Chain with Multiple Coupling	55
5.4	Diatomic Linear Chain	56
5.5	Three-Dimensional Lattice Vibrations	59
5.6	Normal Coordinates and Quantization – Phonons	63
5.7	Phonon Momentum and Crystal Momentum	66
5.8	Experimental Determination of Phonon Dispersions	66
6	Bloch States and Band Theory	69
6.1	Bloch Theorem	69
6.2	Density of States	72
6.3	Tight-Binding Approach	73
6.4	Band-Structure Calculations	74
6.4.1	LCAO Method	75
6.4.2	$\mathbf{k} \cdot \mathbf{p}$ Method	76
6.4.3	Pseudopotential Method	76
6.5	Band Structures of Most Important Semiconductors	80
6.6	Effective-Mass Approximation	80
6.7	Bloch Wavepackets	81
6.7.1	Group Velocity	83
7	Effective-Mass Theorems, Envelope Function, and Semiclassical Dynamics	85
7.1	Effective-Mass Theorem for Bloch States	85
7.2	Effective-Mass Theorem in Presence of a Scalar Potential	87
7.3	Accelerated Waves	89
7.3.1	Accelerated Classical Electrons in Free Space	89

7.3.2	Accelerated Quantum Electrons in Free Space	89
7.3.3	Accelerated Bloch States	90
7.4	Envelope Function for Steady States	91
7.5	Effective-Mass Theorem for a Wavepacket in Slow-Varying Electric and Magnetic Fields	95
7.6	Time-Dependent Envelope Function	98
7.7	Semiclassical Dynamics	99
8	Semiconductors	103
8.1	Free Dynamics of Bloch Electrons	103
8.2	A Fully Occupied Band Cannot Carry Current	104
8.3	Holes	105
8.4	Insulators, Conductors, Semiconductors	106
8.5	Intrinsic and Doped Semiconductors	108
8.5.1	Donors and Acceptors	108
8.5.2	n-Doped and p-Doped Semiconductors	110
8.6	Charge-Carrier Statistics	110
8.6.1	Metals	111
8.6.2	Semiconductors	114
8.7	General Models of Bands for Cubic Semiconductors	117
8.7.1	Different Types of Effective Masses	120
8.7.2	Herring-Vogt Transformation	122
8.7.3	Nonparabolicity	123

Part II Semiclassical Transport in Bulk Semiconductors

9	Electronic Interactions	127
9.1	Classification	127
9.2	Fundamentals of Scattering – Crystal-Momentum Conservation	129
9.3	Electron-Phonon Scattering Rates – Deformation Potential ...	132
9.3.1	Electron Intravalley Scattering by Acoustic Phonons ...	133
9.3.2	Electron Intravalley Scattering by Optical Phonons ...	140
9.3.3	Electron Intervalley Scattering	142
9.3.4	Hole Intraband Scattering by Acoustic Phonons	143
9.3.5	Hole Intraband Scattering by Optical Phonons	144
9.3.6	Hole Interband Scattering	144
9.4	Electron-Phonon Scattering Rates – Electrostatic Interaction .	144
9.4.1	Acoustic Phonons – Piezoelectric Interaction	145
9.4.2	Optical Phonons – Polar Interaction	148
9.5	Selection Rules	152
9.6	Impurity Scattering	153
9.6.1	Ionized Impurities	153
9.6.2	Neutral Impurities	158

9.7	Alloy Scattering	158
9.8	Carrier–Carrier Interaction	159
9.9	Relative Importance of the Different Scattering Mechanisms ..	160
10	Boltzmann Equation	163
10.1	The Distribution Function	163
10.1.1	Mean Quantities	164
10.2	Elementary Derivation of the Boltzmann Equation	165
10.3	The Collision Integral – Detailed Balance	167
10.4	Moment Method	168
10.4.1	Zero-Order Moment: Continuity Equation	169
10.4.2	First-Order Moment	171
10.4.3	Drift-Diffusion Equation	173
10.4.4	Higher-Order Moments: Hydrodynamic Equations	176
10.5	Chambers’ Integral Equation	177
10.5.1	Path Variables	177
10.5.2	Chambers’ Integral Equation	179
11	Linear Transport	181
11.1	Linearization of Boltzmann Equation	181
11.2	Relaxation-Time Approximation	183
11.3	Linear Transport Properties in a “Simple Semiconductor”	184
11.3.1	Ohmic Mobility	184
11.3.2	Matthiessen Rule	187
11.3.3	Magnetotransport	188
11.3.4	Hall Effect	192
11.4	High-Magnetic-Field Effects	197
11.5	Evaluation of the Momentum Relaxation Times	198
11.5.1	Relaxation Time for Velocity-Randomizing Collisions ..	198
11.5.2	Relaxation Time for Elastic Collisions	199
11.6	Mobilities	201
11.6.1	Acoustic–Phonon Scattering, Deformation Potential, Elastic	201
11.6.2	Optical–Phonon Scattering, Deformation Potential	202
11.6.3	Ionized–Impurity Scattering	203
11.6.4	Acoustic–Phonon Scattering, Piezoelectric, Elastic	204
11.6.5	Optical–Phonon Scattering, Polar Interaction	206
12	Diffusion, Fluctuations, and Noise	207
12.1	Fick Laws	207
12.2	Einstein Relation	209
12.3	Drift-Diffusion Equation and the Gaussian Solution	210
12.4	Moments and Correlations	212
12.5	Spectral Density and Wiener–Kintchine Theorem	214
12.6	Nyquist Theorem	216

13 Nonlinear Transport	219
13.1 Hot Electrons	220
13.1.1 The Warm Electron Region	224
13.2 Electron–Electron Collisions and the Heated and Drifted Maxwell Distribution	225
13.3 Anisotropy of Transport Coefficients	225
13.4 Negative Differential Mobility and Gunn Effect	227
13.5 High-Field Diffusivity	229
13.5.1 Intervalley Diffusion	230
13.6 Transient Transport	233
13.7 Hot Phonons	235
13.8 Ultrafast Spectroscopy	235
14 Monte Carlo Simulation of Bulk Electron Transport	237
14.1 The Monte Carlo Method	237
14.2 Direct Monte Carlo Simulation	239
14.2.1 A Typical Monte Carlo Program for Homogeneous, Stationary Transport	240
14.2.2 Time- and Space-Dependent Phenomena – Ensemble MC	245
14.2.3 Diffusion	247
14.2.4 Ohmic Mobility	248
14.2.5 Electron–Electron Interaction and Degenerate Statistics	249
14.2.6 Impact Ionization	251
14.2.7 Variance-Reducing Techniques	251
14.2.8 Full-Band Monte Carlo	252
14.3 Formal Monte Carlo Solution of the BE – Weighted Monte Carlo	254
14.3.1 Monte Carlo Evaluation of Sums and Integrals	254
14.3.2 The Integral Boltzmann Equation with Approximate Total Scattering Rate	257
14.3.3 The Neumann Expansion	258
14.3.4 Sampling	260
15 Bulk Transport Properties of Main Semiconductors	265
15.1 Electrons in Silicon	265
15.2 Holes in Silicon	272
15.3 Electrons in Gallium Arsenide	274
15.4 Holes in Gallium Arsenide	279
15.5 Organic Semiconductors	281

Part III Quantum Transport in Bulk Semiconductors

16 Quantum Transport in Homogeneous Systems	285
16.1 Introduction to Quantum Transport	285
16.1.1 Semiclassical Transport and Quantum Physics	285
16.1.2 From Reversible Dynamics to Irreversible Boltzmann Equation	286
16.1.3 Coherence, Dephasing, and Entanglement	289
16.1.4 When is Quantum Transport Necessary?	290
16.2 The Density Matrix	293
16.3 Reduced Density Matrix	296
16.4 Kubo Formula	297
16.5 The Path-Integral Approach	301
17 The Wigner-Function Approach to Quantum Transport	305
17.1 Introduction	305
17.2 Definition and Main Properties	306
17.2.1 Weyl–Wigner Transformation	306
17.2.2 Transformation Between the Matrix Elements of an Operator and Its Weyl–Wigner Transform	307
17.2.3 Definition of the Wigner Function	308
17.2.4 Main Properties	309
17.3 Coherent Evolution of the Wigner Function	311
17.4 Dynamical Equations of the Wigner Function	312
17.4.1 Moyal Expansion	315
17.5 Electron–Phonon Interaction	316
17.6 Wigner Paths and MC Simulation	320
17.6.1 Integral Equation	320
17.6.2 Neumann Expansion and Wigner Paths	322
17.6.3 Monte Carlo Simulation	324
17.7 Two-Time Wigner Function	327
17.8 Many-Particle Wigner Function	328

Part IV Transport in Semiconductor Structures

18 Inhomogeneous and Open Systems: Electronic Devices	333
18.1 Inhomogeneous, Open Systems	333
18.2 Self-Averaging Transport, Coherent Transport, and Intermediate Cases	334
18.3 pn Junctions	336
18.3.1 pn Junction at Equilibrium	336
18.3.2 pn Diode	340

18.3.3	Solar Cells.....	344
18.3.4	Light-Emitting Diodes	345
18.4	The Bipolar Junction Transistor.....	347
18.5	Metal-Semiconductor Junctions, Schottky Barrier Diode	349
18.6	Field-Effect Transistors.....	351
18.7	Device Simulation	355
18.7.1	Drift-Diffusion Models	356
18.7.2	Hydrodynamic Models	359
18.7.3	Monte Carlo Simulations	360
19	Low-Dimensional Structures	363
19.1	Epitaxial Heterostructures	363
19.2	Quantum Wells	366
19.2.1	Electron States.....	366
19.2.2	Transport	370
19.2.3	Multiple Quantum Wells	376
19.3	Quantum Wires	376
19.4	Quantum Dots	379
19.4.1	Transport: Coulomb Blockade.....	380
19.5	Superlattices	382
19.5.1	Minibands.....	382
19.5.2	Transport: Bloch Oscillations	384
19.5.3	Wannier-Stark Ladder	385
19.5.4	Negative Differential Conductivity	386
19.6	Applications	386
20	Carbon Nanotubes	389
20.1	Introduction	389
20.2	Structure	389
20.3	Electron States: Bands	393
20.4	Electron Transport	396
21	Coherent Transport in Mesoscopic Structures	401
21.1	Landauer-Büttiker Theory of Transport	401
21.2	Point Contacts	408
21.3	Quantum Hall Effect	409
21.4	Aharonov-Bohm Oscillations	417
21.5	Localization	420
21.6	Weak Localization – Quantum Corrections.....	423
21.7	Universal Conduction Fluctuations	424
21.8	Resonant Tunneling Diode.....	427
22	Semiconductor Photo Gallery.....	431

Part V Quantum Transport with Nonequilibrium Green Functions

23	Second-Quantization Formalism	441
23.1	Many-Particle Wavefunctions	441
23.1.1	Expansion in Symmetric Wavefunctions	443
23.2	Vector Space of Many-Particle States	444
23.2.1	Creation and Annihilation Operators	445
23.2.2	Field Operators	446
23.3	From First to Second Quantization	448
23.4	Dynamics	449
23.5	Commutations at Different Times for Non-Interacting Particles	450
23.6	Field Operators in Momentum and Energy Space	451
24	Introduction to Green Functions	453
24.1	GFs from Differential Equations to Many-Body Theory	453
24.1.1	GF of Schrödinger Equation	453
24.1.2	The Evolution Operator as Greenian	455
24.1.3	Green Functions for a One-Particle System	456
24.1.4	Single-Particle Green Functions in Many-Particle Systems	458
24.2	Green Functions in Momentum and Energy Space	460
24.3	Equilibrium GFs for NonInteracting Particles	461
24.4	Green Functions and Mean Quantities	465
24.5	Spectral Density	466
24.5.1	Relation Between $G^<$ and $G^>$ and the Spectral Density at Equilibrium	466
25	Wick–Matsubara Theorems	469
25.1	Time-Ordered Products, Normal Products, and Contractions	469
25.2	Wick Theorem	471
25.2.1	Lemma	471
25.2.2	Wick Theorem	473
25.3	Wick–Matsubara Theorem	474
26	Perturbation Expansion of Green Functions: Feynman Diagrams and Dyson Equation	477
26.1	The Interaction Picture	477
26.2	Contour Integration	479
26.3	Perturbation Expansion and Feynman Diagrams, Potential Interaction	481
26.3.1	Cancellation of Disconnected Diagrams	483
26.3.2	Term Multiplicity	484

26.4	Particle-Particle Interaction	485
26.5	Electron-Phonon Interaction	486
26.6	Self-Energy and Dyson Equation	488
26.6.1	Matrix Formulation of G and of Dyson Equation	489
26.6.2	Dyson Equations for Separate GFs	491
26.6.3	$(\mathbf{k}, \omega)$ Representation	493
26.7	Electron-Phonon Self-Energy	496
27	Nonequilibrium Green Functions Applied to Transport:	
	Quantum Boltzmann Equation	497
27.1	The Equations for $G^<(\mathbf{r}, t, \mathbf{r}', t')$ and $G^r(\mathbf{r}, t, \mathbf{r}', t')$	498
27.2	The Equations for $G^<(\mathbf{R}, T, \mathbf{k}, \omega)$ and $G^r(\mathbf{R}, T, \mathbf{k}, \omega)$	500
27.3	Gradient-Expansion Approximation	502
27.4	Equations for Linear Response in Homogeneous Systems in Steady State	508
28	Nonequilibrium Green Functions Applied to Transport:	
	Mesoscopic Systems	513
28.1	GFs for the Time-Independent Schrödinger Equation	514
28.2	GF for a Perfect, Infinite, Two-Dimensional Wire	516
28.3	From Green Function to S Matrix	517
28.4	Finite-Difference Scheme for the Conductor GF	519
28.5	The Effect of the Leads	521
28.6	Conductance	525
Part VI Appendices		
A	Vector Spaces and Fourier Analysis	529
B	One-Dimensional Potential Step, Barrier, and Well	541
C	Quantum Theory of Harmonic Oscillator	549
D	Landau Levels	553
E	Perturbation Theory	557
E.1	Time-Independent Perturbations	558
E.2	Time-Dependent Perturbations	560
References		565
Index		581