

## Outline:

- A short review of state-of-the-art;
- DFT atomistic methods;
- The NEGF-DFT implementation;
- Applications of NEGF-DFT;
- • Quantum mechanic forces during current flow;
- Summary: outlook to the near future.

# The total energy functional in DFT:

$$E_{\text{tot}} = T_{\text{KS}} + \frac{1}{2} \int d\mathbf{r} d\mathbf{r}' \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} + E_{\text{XC}}[\rho(\mathbf{r})] \\ \int d\mathbf{r} \rho(\mathbf{r}) V_{\text{ion-el}}(\mathbf{r}) + \int d\mathbf{r} \rho(\mathbf{r}) V_{\text{ext}} + E_{\text{ion-ion}}[\{\mathbf{R}_I\}],$$

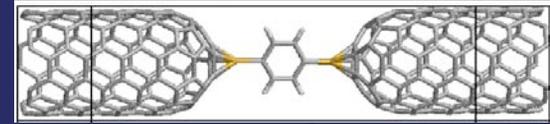
$$E_{\text{tot}} = E_{\text{BS}} + \delta E_{\text{H}} + \delta U_{\text{XC}} + E_{\text{ion-ion}}[\{\mathbf{R}_I\}],$$

$$E_{\text{BS}} = \sum_{i=1}^N E^i \\ \delta E_{\text{H}} = -\frac{1}{2} \int d\mathbf{r} \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} \\ \delta U_{\text{XC}} = \int d\mathbf{r} \rho(\mathbf{r}) \left( \frac{E_{\text{XC}}(\rho(\mathbf{r}))}{\rho(\mathbf{r})} - V_{\text{XC}}(\rho(\mathbf{r})) \right) \\ E_{\text{ion-ion}} = \sum_{I \neq J} \frac{Z_I Z_J}{|\mathbf{R}_I - \mathbf{R}_J|}.$$

$$E^i = \int d\mathbf{r} (\psi^i(\mathbf{r}))^* \left\{ \frac{-\nabla^2}{2} + \int d\mathbf{r}' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} + V_{\text{XC}}(\rho(\mathbf{r})) V_{\text{ion-el}}(\mathbf{r}) + V_{\text{ext}}(\mathbf{r}) \right\} \psi^i(\mathbf{r}).$$

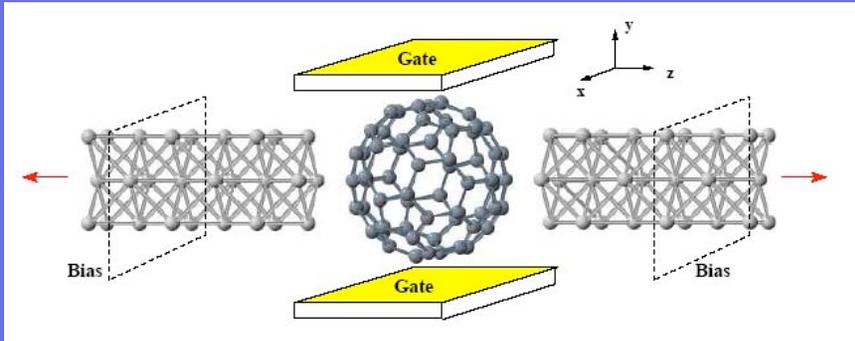
↑  
The KS eigen-values

## Forces for open system during current flow



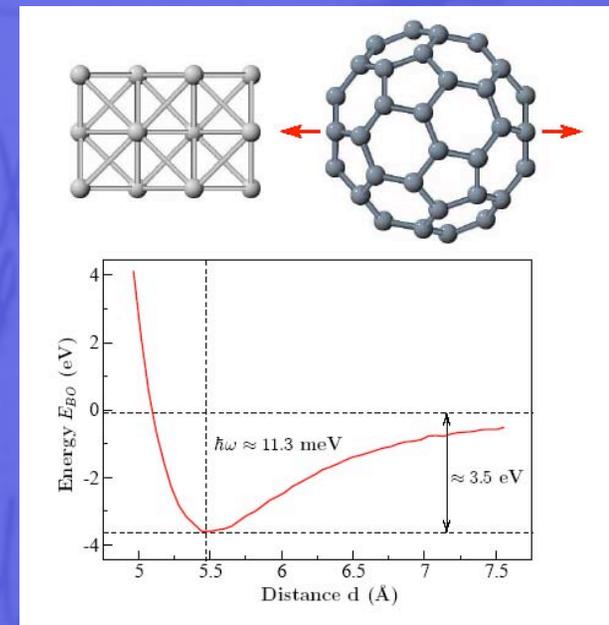
- When the external bias is not too large, the system is near an equilibrium ground state, the total energy of the scattering region is well defined.
- By computing the steady-state energy density matrix, one can calculate quantum mechanical forces within the NEGF-DFT framework.
- Such an approximation can be established in more firm theoretical footing (T. N. Todorov, *Philos. Mag. B* 80, 421 (2000); *PRL* 92, 176803(2004)).
- But we have to re-formulate all things in terms of NEGF so that the non-equilibrium statistics is properly accounted for. This turns out to be a very tedious problem to do (Sergeuuv, Roubtsov, H.G. *PRL* 95, 146803(2005)).

# First, a simple and direct calculation



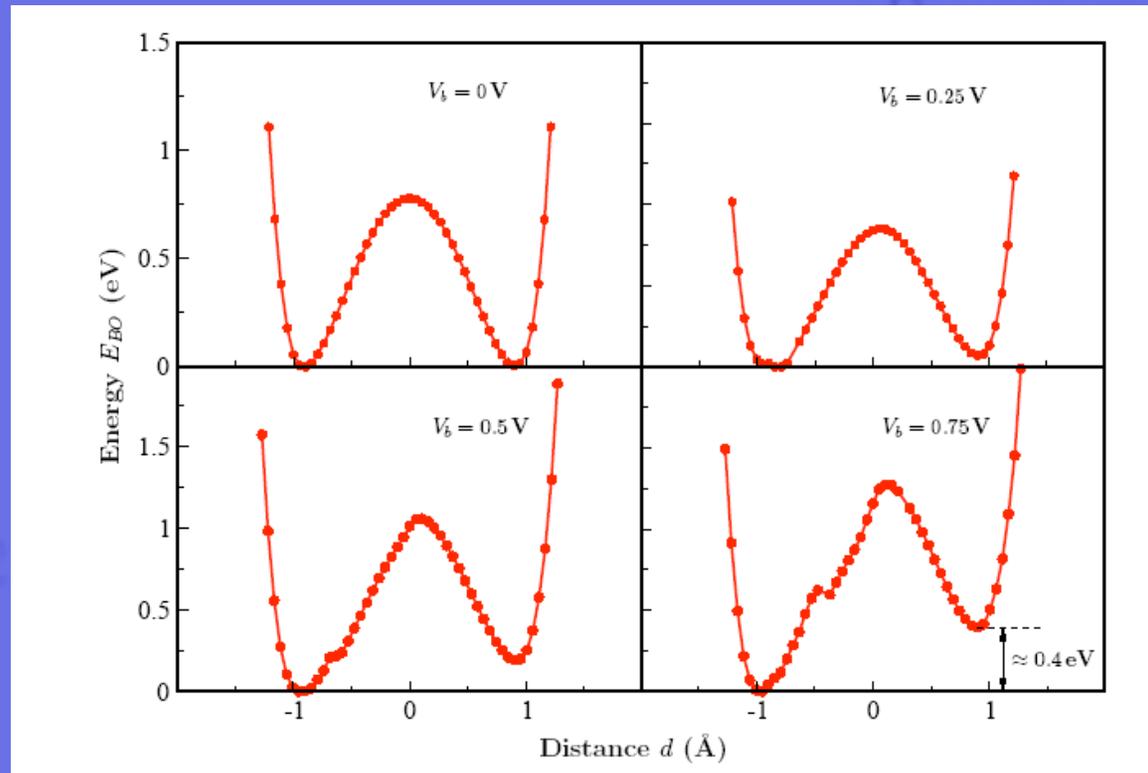
A C60 and a wire will make a equilibrium bond.

This can be computed by total energy.



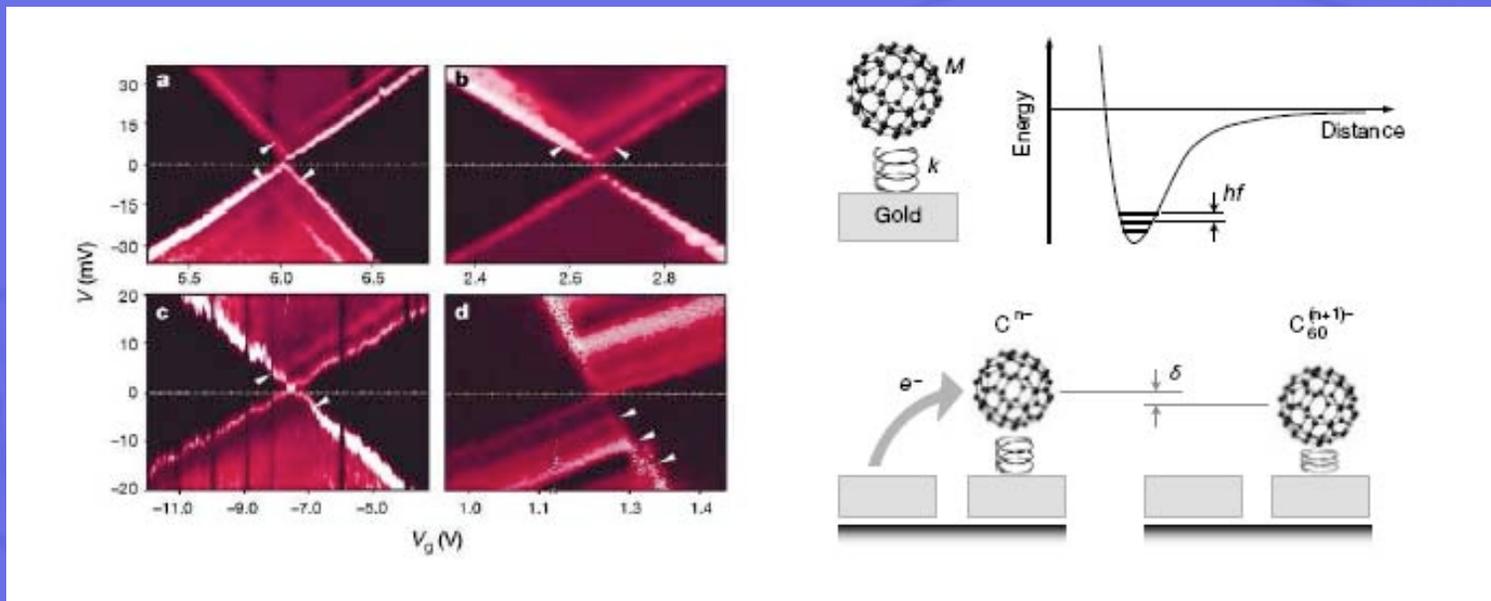
## C60 sits in between two leads

When the lead-lead distance is large enough, a bias voltage pushes the C60 to one energy minimum.



The vibrational quantum for the center-of-mass motion inside one minimum is found to be **8.5meV**, and this does not change much for different bias.

# Experiment of Park et al:



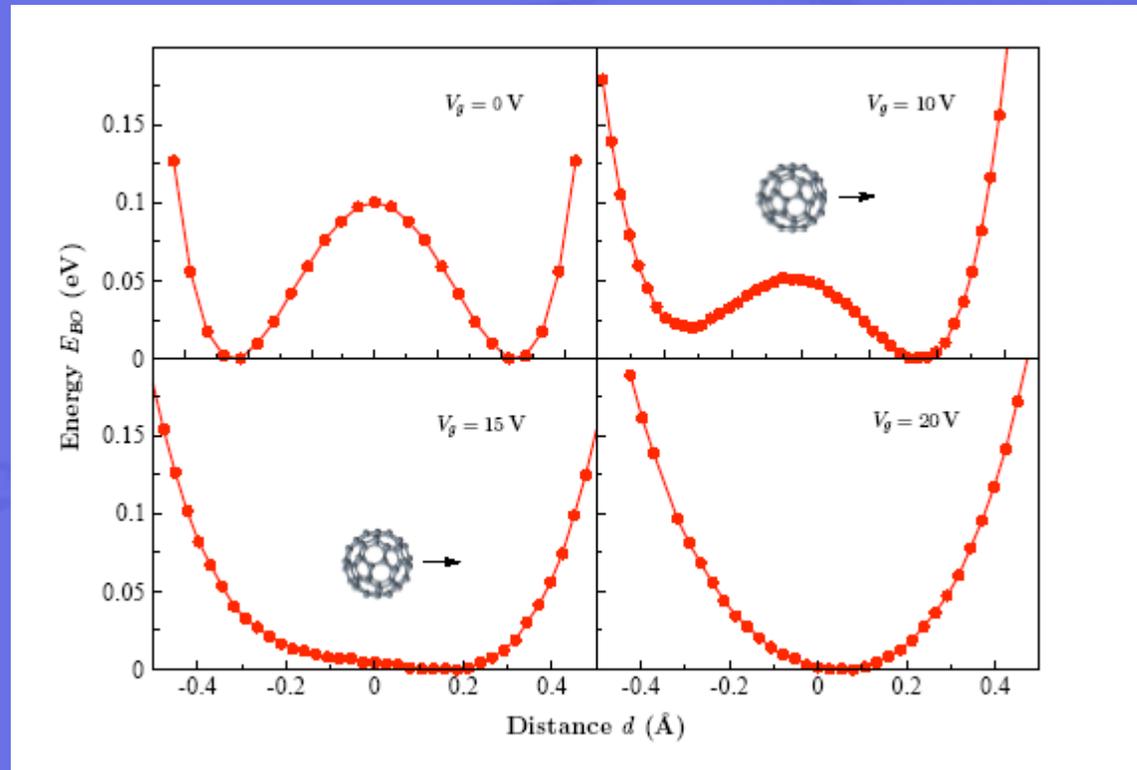
Transport measurement suggested a vibrational quantum for center-of-mass motion to be  $\sim 5\text{meV}$ .

H. Park et al, Nature, 407, 57 (2000)

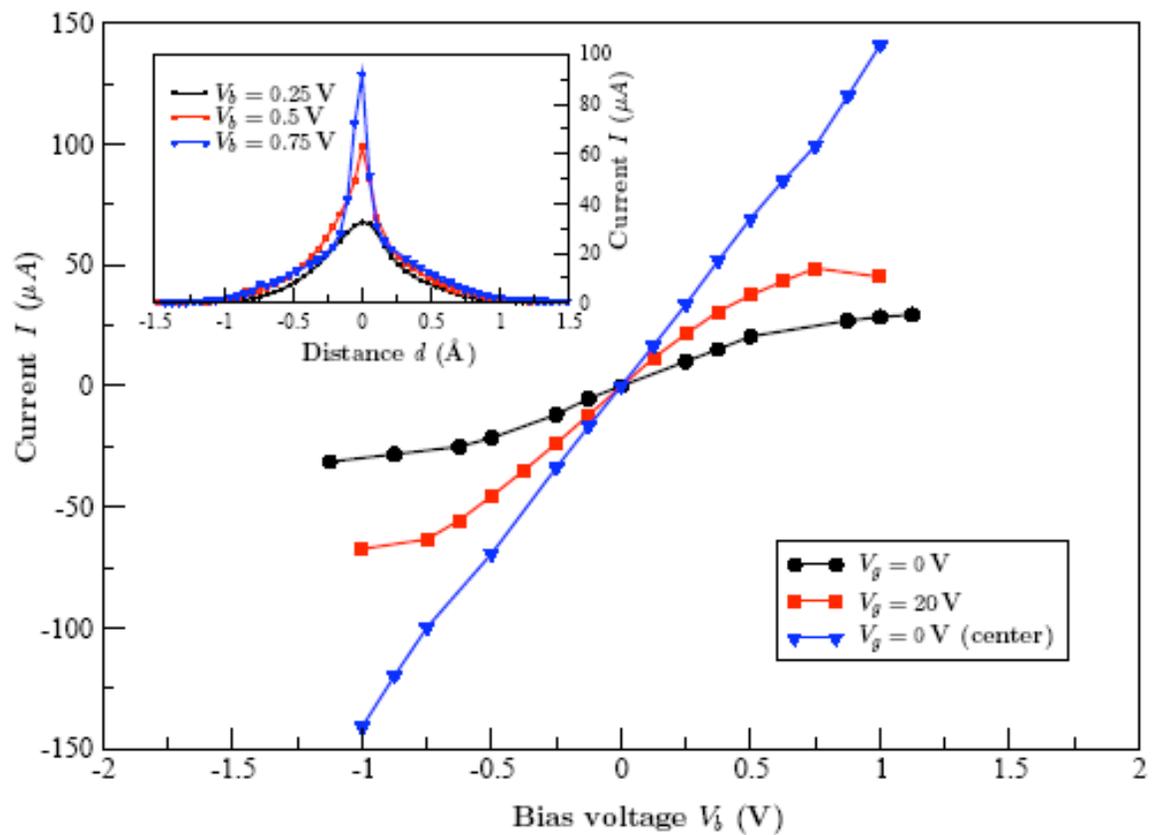
## Effect of a gate voltage

A positive gate voltage attracts charge from the leads toward C60.

It levels the middle barrier, gives rise to large effect in transport.



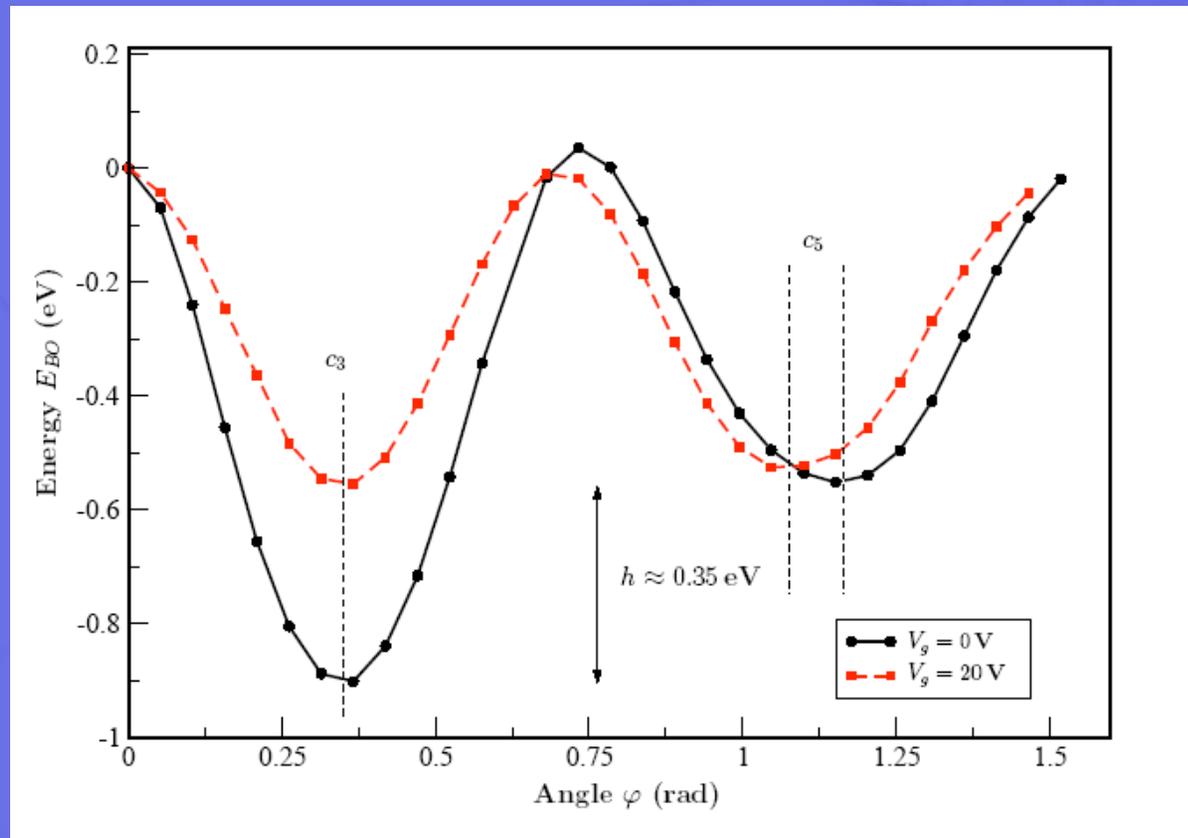
# Transport effect due to the center-of-mass motion:



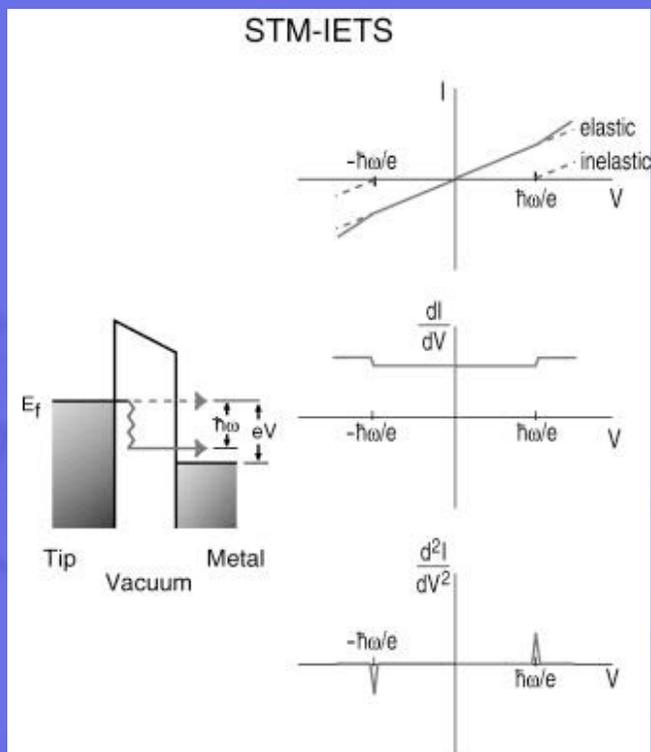
## Rotational motion:

Energy is lower when hexagons face the lead (c3).

A gate voltage, somehow, levels the two minima.



## Second, a general full NEGF-DFT analysis



Inelastic Electron Tunneling Spectroscopy (IETS) detects this.

Current driven by voltage.

Excitation of vibrational mode

Opening of inelastic electron tunneling channel

Change in the conductance ( $dI/dV$ )

W. Ho *et al.*, J. Chem. Phys., 117,11033, (2002)

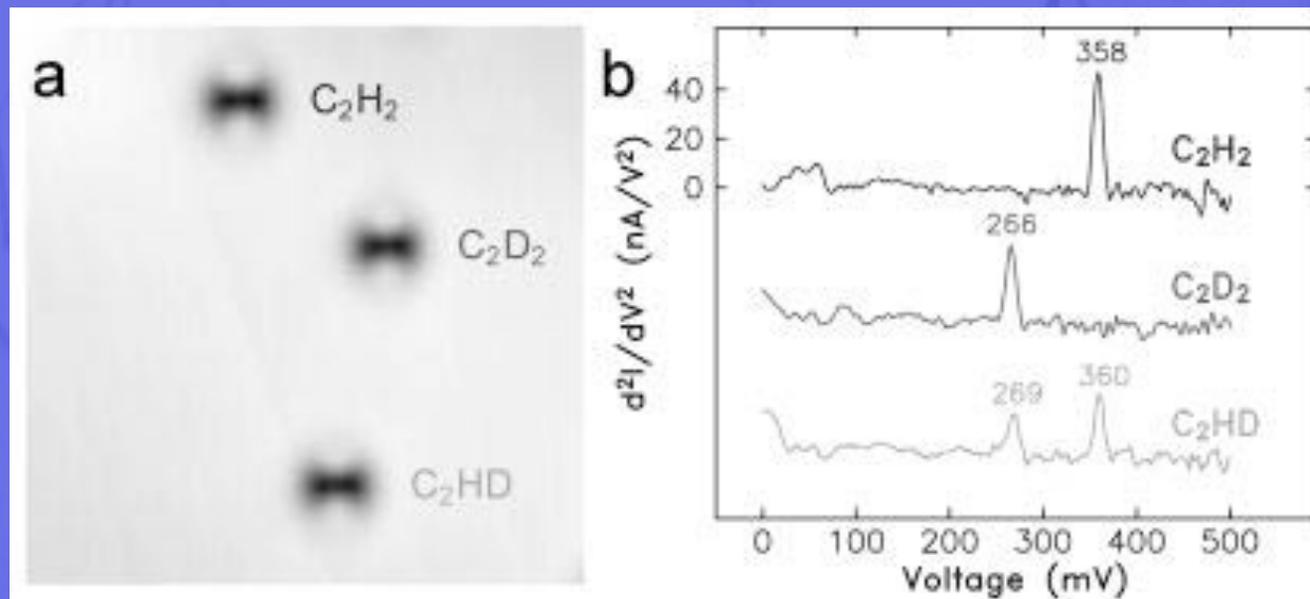
# Inelastic tunnelling spectroscopy with STM

W. Ho (2002)

**Acetylene**



on Cu (001) at 8 K



only C-H or C-D stretching mode is resolved

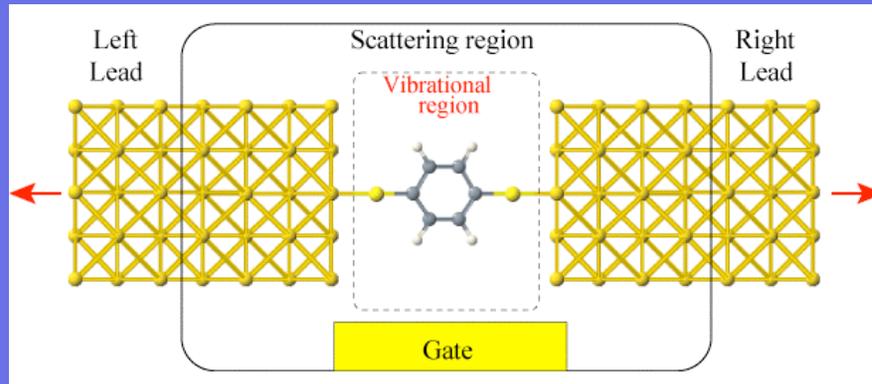
## Relevant questions:

**How to predict “active” vibrational modes of the molecule that contribute to inelastic conductance ?**

**What are the selection rules for e-p coupling ?**

**Which modes couple to which scattering states at what bias voltage ?**

# Definition of problem: vibrations of molecule in the junction



**Total Calculation Box:  $N$  atoms**



**Scattering region:  $N_c$  atoms**



**Vibrational region :  $N_k$  atoms**

← We consider atoms inside this box

Typical system: a molecule in contact with two electrodes

Scattering region includes some portion of the leads: extended molecule

# Determine vibration spectra: from NEGF-DFT

**Step 1: solve Kohn-Sham equation for electronic Hamiltonian of device by NEGF-DFT:**

$$\hat{H}_{\text{K-S}}[\rho] = \hat{T} + \hat{V}_{\text{ps}} + \hat{V}_{\text{H}} + \hat{V}_{\text{xc}}$$

**Step 2: compute Born-Oppenheimer total energy of the scattering region:**

$$E_{\text{B-O}} = \text{Tr}(\hat{\rho} \hat{H}_{\text{K-S}}) - \frac{1}{2} \int d\mathbf{r} V_{\text{H}}(\mathbf{r}) \rho(\mathbf{r}) - \int d\mathbf{r} V_{\text{xc}}(\mathbf{r}) \rho(\mathbf{r}) + E_{\text{xc}}[\rho] + \frac{e^2}{2} \sum_{j,j'=1}^N \frac{Z_j Z_{j'}}{|\mathbf{R}_j - \mathbf{R}_{j'}|}$$

**Step 3: Compute dynamical matrix which give vibrational eigenvectors and eigenfrequencies (normal modes):**

$$\sum_{j,\beta} \frac{1}{\sqrt{M_i M_j}} \frac{\partial^2 E_{\text{B-O}}[\mathbf{R}_1, \dots, \mathbf{R}_N]}{\partial R_{i,\alpha} \partial R_{j,\beta}} \Big|_{\mathbf{R}_{i'} = \mathbf{R}_{i'}^{(0)}} e_{\beta}(\nu, j) = \omega_{\nu}^2 e_{\alpha}(\nu, i)$$

# The electron-phonon coupling strength:

$$\hat{H}_{\text{tot}} = \hat{H}_{\text{K-S}}[\mathbf{R}_j^{(0)}] + \hat{H}_{\text{vib}}[\hbar\omega_\nu; \mathbf{R}_j^{(0)}] + \hat{H}_{\text{e-mv}}[g_\nu, \mathbf{e}_\nu, \hbar\omega_\nu; \mathbf{R}_j^{(0)}]$$

Kohn-Sham Hamiltonian (electrons) :

$$\hat{H}_{\text{K-S}}[\rho] = \hat{T} + \hat{V}_{\text{ps}} + \hat{V}_{\text{H}} + \hat{V}_{\text{xc}}$$

Quantized molecular vibrations---“phonons” (ions) :

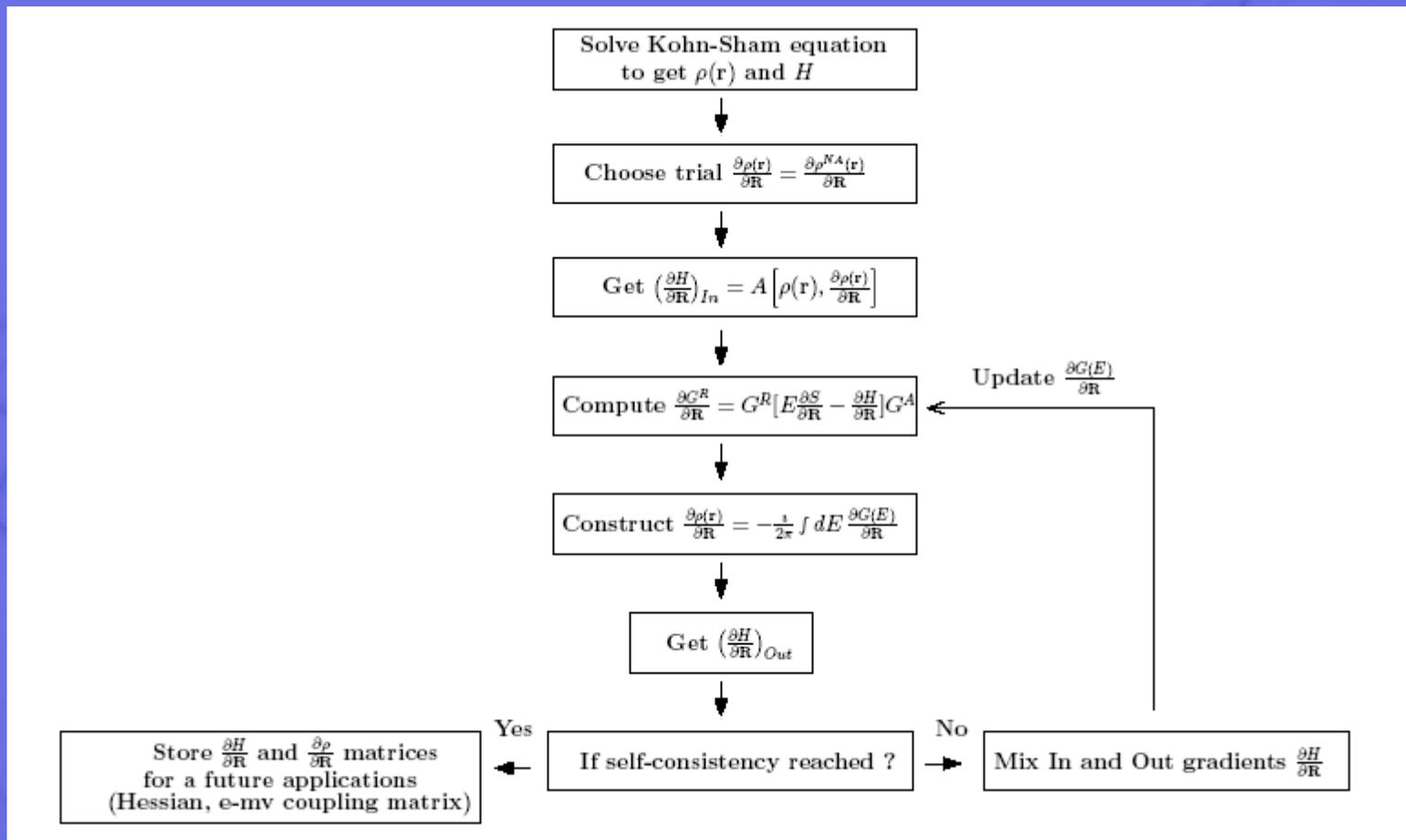
$$\hat{H}_{\text{vib}} = \sum_{\nu} \hbar\omega_{\nu}/2 + \sum_{\nu} \hbar\omega_{\nu} \hat{b}_{\nu}^{\dagger} \hat{b}_{\nu}, \quad \nu = 1, 2, \dots, 3N_k$$

Interaction Hamiltonian :

$$\hat{H}_{\text{e-mv}} = \sum_{\nu} \hat{g}_{\nu} (\hat{b}_{\nu}^{\dagger} + \hat{b}_{\nu}), \quad \hat{g}_{\nu} = \sum_{j \in \text{vibr. box}} \sqrt{\frac{\hbar}{2M_j \omega_{\nu}}} \mathbf{e}(\nu, j) \left. \frac{\partial}{\partial \mathbf{R}_j} \hat{H}_{\text{K-S}}[\rho(\mathbf{r})] \right|_{\mathbf{R}_i = \mathbf{R}_i^{(0)}}$$

e-p coupling strength

# Some implementation details:



N. Sergueev, Ph.D thesis, McGill, (2005).

# Test on a free BDT molecule: single zeta basis

Table 4.1: Benzene normal modes. Frequencies expressed in  $cm^{-1}$ . In the calculation, we fixed the simulation box to have a size of  $10\text{\AA} \times 10\text{\AA} \times 10\text{\AA}$  and discretized by 128 points in each direction. We converged the DFT iterations with a total energy tolerance of  $10^{-4}$  eV. The middle column is obtained by running the Gaussian-98 package using B3LIP functional. The experimental data courtesy of Ref.[67].

Mode	Our results	Gaussian	Exp.	Mode	Our results	Gaussian	Exp.
$A_{1g}$	3216	3209	3191	$A_{2u}$	628	687	686
$A_{1g}$	1000	1006	1008	$B_{1u}$	932	1000	1024
$A_{2g}$	1203	1362	1367	$B_{1u}$	3130	3172	3174
$B_{2g}$	684	715	718	$B_{2u}$	1090	1169	1167
$B_{2g}$	911	1008	990	$B_{2u}$	1419	1355	1318
$E_{2g}$	571	611	613	$E_{2u}$	374	410	407
$E_{2g}$	3161	3181	3174	$E_{2u}$	890	984	967
$E_{2g}$	1655	1637	1607	$E_{1u}$	1438	1499	1494
$E_{2g}$	1111	1188	1178	$E_{1u}$	1090	1052	1058
$E_{1g}$	779	861	847	$E_{1u}$	3194	3198	3181

8%  
error

# Vibration spectra of a model device with 1,4 benzenedithiolate molecule

Extra low lying modes show up for 2-probe devices: due to existence of leads which breaks symmetry.



For transport, only a few MO's are important:

$$\langle \hat{g}_n \rangle (E, E') = \langle \Psi_{sc}(E) | \hat{g}_n | \Psi_{sc}(E') \rangle$$


$$\langle RMO_\alpha | \hat{g}^n | RMO_\beta \rangle$$

Only a few molecular orbitals (MO's) are important for transmission, all near the Fermi level (some HOMO and LUMO). Therefore, the e-p coupling in transport are most contributed by them.

For transport, off diagonal elements  $\alpha \neq \beta$  are almost as important as the diagonal elements.

## Dimensionless e-p coupling strength at zero bias

1. Some modes are more important than others.
2. Low lying modes are important.
3. No clear selection rules.

## Dimensionless e-p coupling: finite bias

$$\lambda_{\nu}^{(\text{el})}(V_b) = \int_{\mu_R}^{\mu_L} \frac{dE}{V_b} \text{DOS}(E) \frac{\langle \hat{g}_{\nu} \rangle^2(E, E)}{\hbar\omega_{\nu}}$$

$$\lambda_{\nu}^{(\text{inel}, \pm)}(V_b) = \int_{\mu_R}^{\mu_L} \frac{dE}{V_b} \text{DOS}(E) \frac{\langle \hat{g}_{\nu} \rangle^2(E, E \pm \hbar\omega_{\nu})}{\hbar\omega_{\nu}}$$

Bias voltage  
 $V_b=1.0\text{V}$

1. Drastic change in coupling strength.
2. Center of mass modes seem to be important.
3. Value increase by a factor  $\sim 5$ .

## E-p coupling strength vs bias voltage:

New scattering states entering bias window, causing e-p coupling to increase.

Important implications to other phenomena.

Sergueev, Roubtsov, H.G PRL 95, 146803(2005)

# Computing inelastic current: NEGF-DFT-SCBA:

**Step 1: Compute Green's function:**

$$G^R(E) = (ES - H_{K-S} - \Sigma_l^R(E) - \Sigma_r^R(E) - \Sigma_{e-mv}^R(E))^{-1}$$

**If a systems is at non-equilibrium:**

$$G^<(E) = i G^R(E) \Gamma_l(E) n_{F,L}(E) G^A(E) + i G^R(E) \Gamma_r(E) n_{F,R}(E) G^A(E) + G^R(E) \Sigma_{e-mv}^<(E) G^A(E)$$

**Step 2: Obtain density matrix**

$$\int dE G^<(E)/(2\pi i) = \hat{\rho} \rightarrow \rho(\mathbf{r})$$

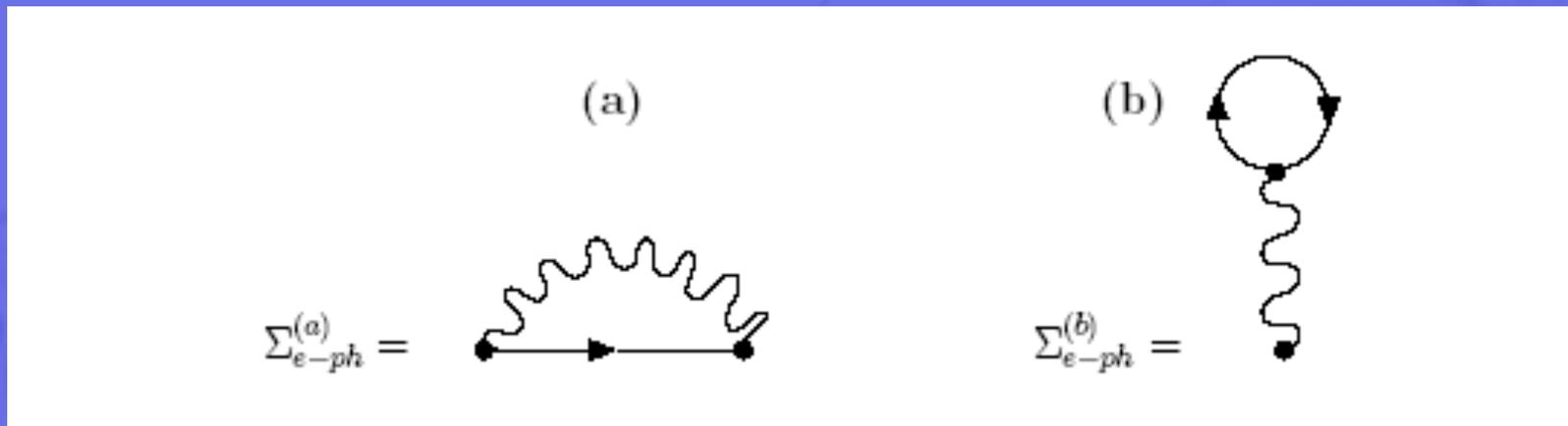
**Step 3: Compute electronic Hamiltonian**

$$\hat{H}_{K-S}[\rho] = \hat{T} + \hat{V}_{ps} + \hat{V}_H + \hat{V}_{xc}$$

**Step 4: Update Green's function**

T. Frederiksen et al, PRL 93, 256601 (2004).

## First Born approximation:



Although only 1<sup>st</sup> order diagrams are included into the phonon self-energy, the SCBA iteration effectively includes higher order diagrams in the sense of RPA.

## Theoretical formulation:

### e-p self-energies:

$$\Sigma_{e-mv}^R(E) = \sum_{\nu} g_{\nu} G^R(E - \hbar \omega_{\nu}) g_{\nu}^{\dagger} + g_{\nu} (G^<(E - \hbar \omega_{\nu}) - G^<(E + \hbar \omega_{\nu})) g_{\nu}^{\dagger} / 2$$

$$\Sigma_{e-mv}^<(E) = \sum_{\nu} g_{\nu} G^<(E + \hbar \omega_{\nu}) g_{\nu}^{\dagger}$$

### Inelastic correction of the transmission:

$$\delta T(E) = \text{Tr} \{ \Gamma_l(E) \Delta A_r(E) + \Gamma_r(E) \Delta A_l(E) \} / 2$$

### Spectral functions:

$$\Delta A_l(E) = G^R(E) \Gamma_{e-mv,l}(E) G^{R\dagger}(E)$$

$$\Delta A_r(E) = G^R(E) \Gamma_{e-mv,r}(E) G^{R\dagger}(E)$$

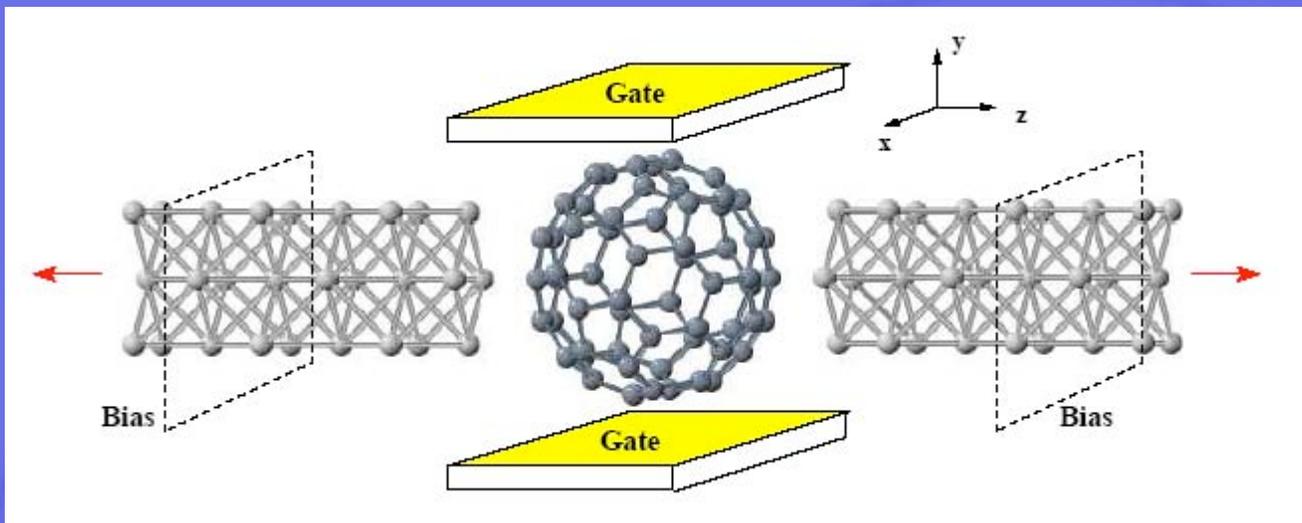
### The broadening function):

$$\Gamma_{e-mv}(E) = \sum_{\nu} g_{\nu} A(E - \hbar \omega_{\nu}) g_{\nu}^{\dagger} + i g_{\nu} (G^<(E - \hbar \omega_{\nu}) - G^<(E + \hbar \omega_{\nu})) g_{\nu}^{\dagger}$$

### Inelastic correction of the current:

$$\delta I = (e/h) \int dE \delta T(E) (n_{F,L} - n_{F,R})$$

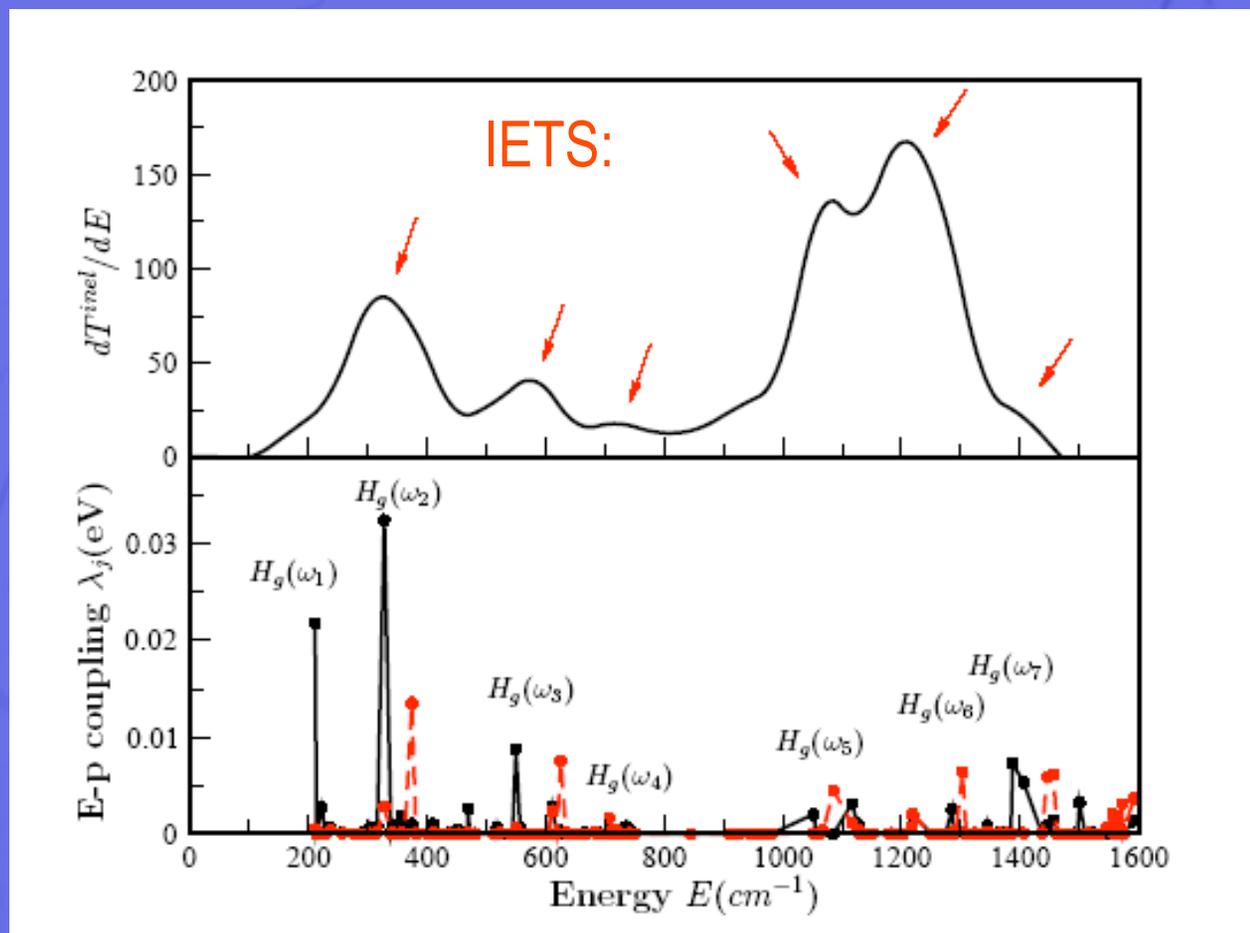
## Al-C<sub>60</sub>-Al MTJ:



1. There are 174 internal vibrational modes, most are highly degenerate. The degeneracy is largely lifted by the leads and bias voltage.
2. Charge transfer of more than  $2e$  from Al leads realigns Fermi level to LUMO of C<sub>60</sub>, inducing resonance transmission.

Only  $H_g$  modes are resolved to be transport active:

E-p coupling  
with LUMO

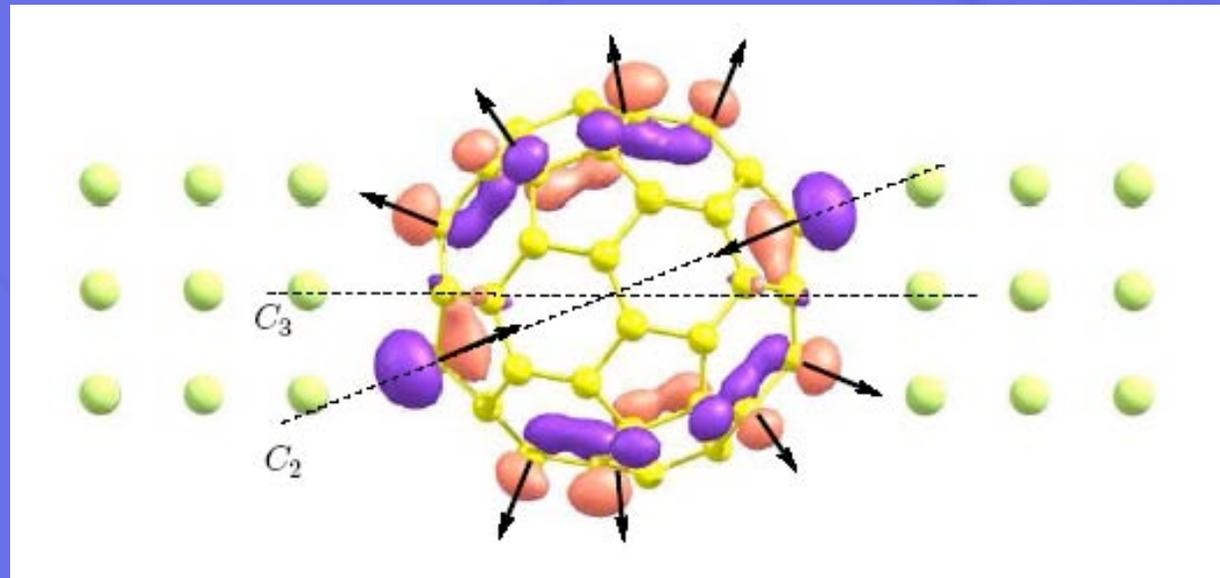


Sergueev, Demkov and Guo, PRB (2007).

A mode with large effect:

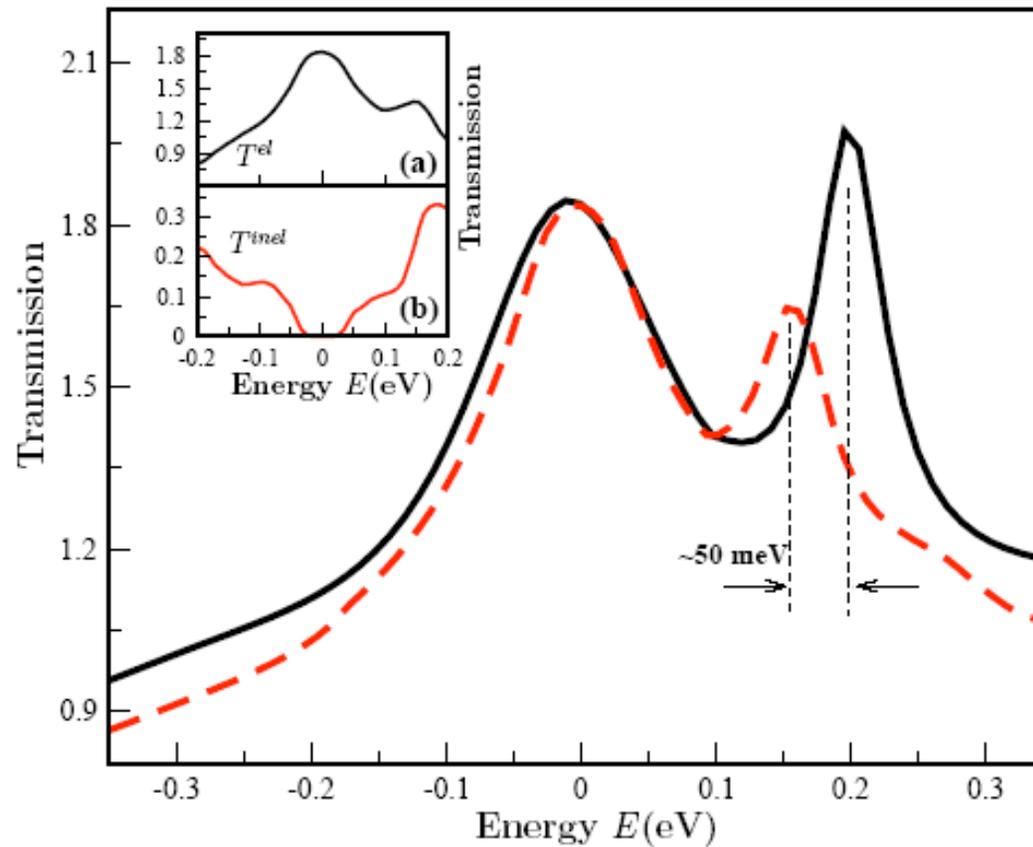
$$H_g(\omega_1)$$

Electron cloud  
on the LUMO  
which mediates  
resonance  
transmission:



The breathing mode stretches the cage along the  $C_2$  axis so that it changes coupling of  $C_{60}$  and the leads. That's why it has a large effect on transport.

E-p suppresses transport, red-shifts peak:

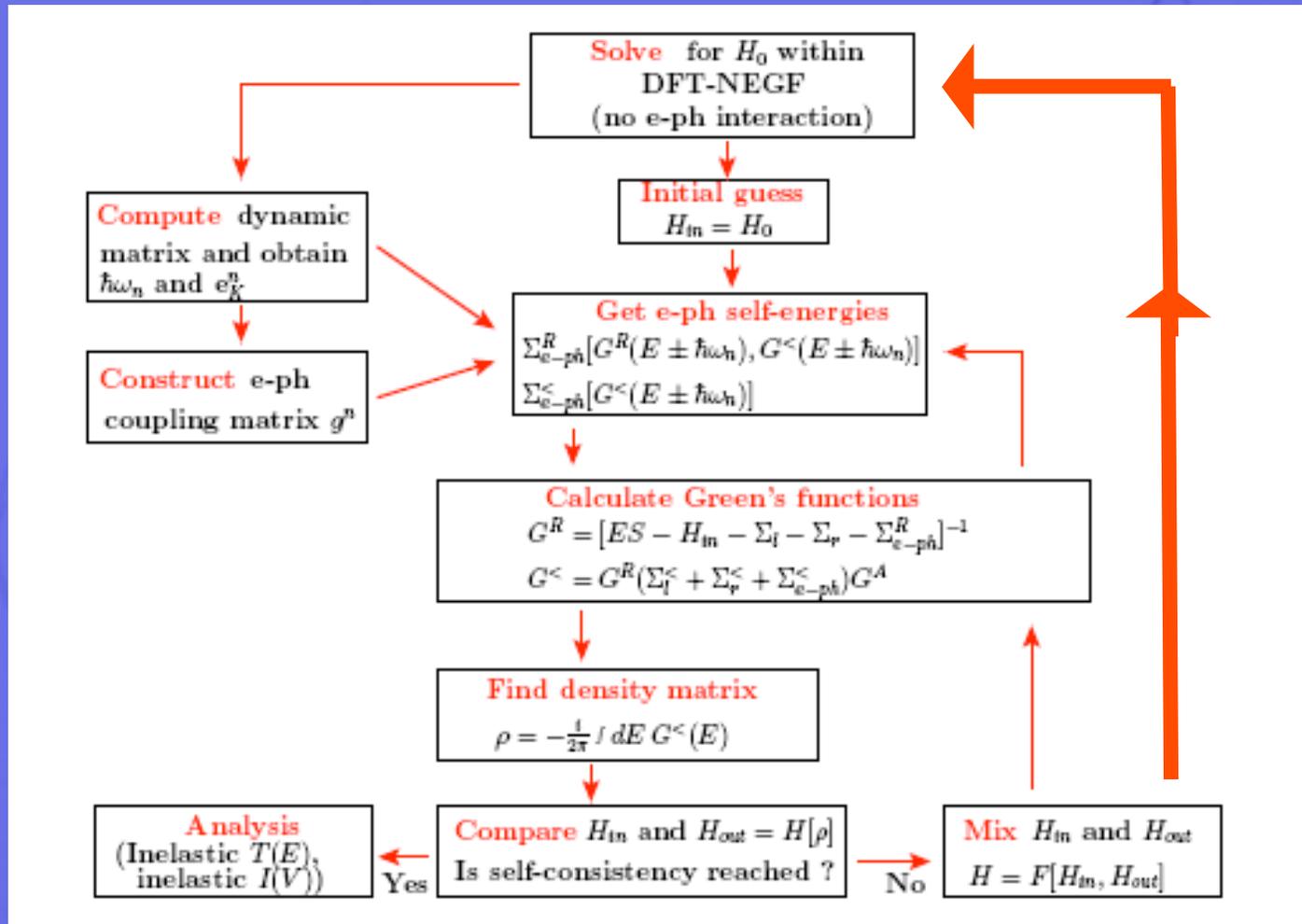


Sergueev, Demkov and Guo (2006).

## Lesson learned:

- E-p coupling can depend on non-equilibrium physics during current flow.
- Usually only a few modes are transport active, these tend to affect the transport coupling between the molecule and the leads.
- Difficult to find selection rule for e-p coupling in MTJ.
- For Al-C<sub>60</sub>-Al MTJ, the resonance LUMO and some of the H<sub>g</sub> modes involve the same atoms: resulting to large e-p effect.

# Summary of NEGF-DFT-SCBA implementation:



N. Sergueev, Ph.D thesis, McGill Univ., (2005)

## Summary of e-p coupling during current flow:

- Putting a molecule inside a two-probe device changes vibration spectra: low lying modes, frequency changes, selection rule changes.
- e-p coupling strength appears to depend on bias voltage, due to participation of additional scattering states as bias is increased. The value of e-p coupling strength also increases with voltage in some system dependent nonlinear way.
- It is possible to implement NEGF-DFT-SCBA for analyzing inelastic current, and peaks of  correlate roughly with various vibrational modes.

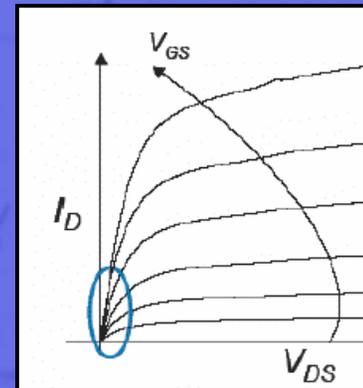
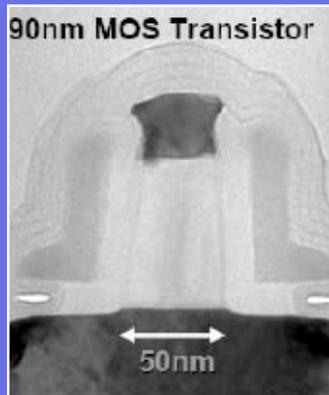
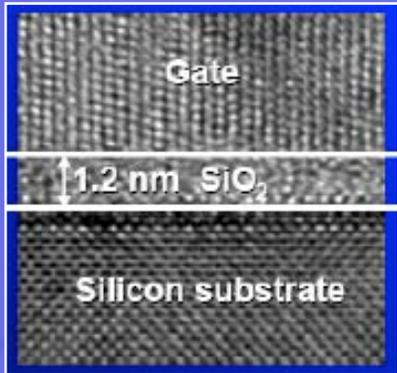
N. Lorente and M. Persson, PRL 85, 2997 (2000). M. J. Montgomery et al. J. Phys.: C 15, 731 (2003). M. Galperin, M. Ratner and A. Nitzan, J. Chem. Phys. 121, 11965 (2004). Y. Asai, Phys. Rev. Lett. 93, 246102 (2004). Y.-C. Chen, M. Zwolak, and M. Di Ventra, Nano Lett. 3, 1691 (2003); ibid 4, 1709 (2004).

## Outline:

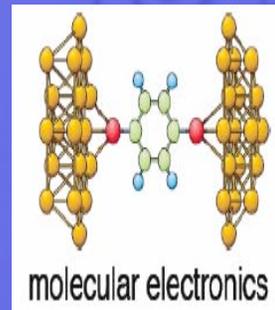
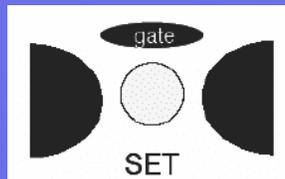
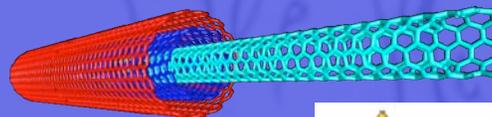
- A short review of state-of-the-art;
- DFT atomistic methods;
- The NEGF-DFT implementation;
- Applications of NEGF-DFT;
- Quantum mechanic forces during current flow;
- Summary: outlook to the near future.



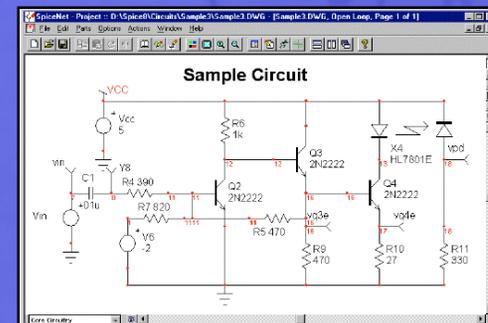
# Our goal: atomistic + quantum modeling



materials,  
chemicals,  
molecules, ....



atomic quantum modeling  
software with accuracy



## Some summary remarks:

- It appears that NEGF-DFT type formalism has emerged as the main theoretical tool for practical atomistic calculations of molecular electronics. The results are qualitative but can also be quantitative for some situations in comparison with measured data.
- NEGF-DFT type formalism has direct connection to quantum transport theory which is usually done using NEGF (e.g. molecular superconducting tunnel junction).
- It appears that people in NEGF-DFT are moving toward various practical applications of it, and **are not working hard enough for its basic theoretical foundation.**
- Technical improvements are more often seen (SIC, GW, CI, etc...).
- A potentially fruitful direction is the TDDFT type approach. There are several recent reports for extending TDDFT to open boundary problems so that transport becomes possible. Only a few real calculations exist so far, and even fewer (if at all) compare to measured data. But this is just the beginning and the real outcome is yet to be seen.
- Size limit so far: a few hundred atoms.

## Challenging theoretical problems:

1. At single device level, thoroughly understand what works, what does not work, what's the limit, how to improve, on formalisms which are practically calculable. I think NEGF-DFT-type and TDDFT-type are good starting point.
2. How to add more correlations? GW or something drastic like CI ? Computation becomes too complicated will discourage people.
3. Truly far from equilibrium: transients, quantum dissipation etc.
4. Large numbers: how can we go beyond devices with 500 atoms?
5. Solve the Fermi level alignment problem: more experimental data exist now.
6. Solve the contact problem: find better linkers? Switch to semiconductor leads? Also a job for experimentalists.
7. How to efficiently gate a molecular transport junction?
8. Finite temperature effects.

## Challenging theory problems (cont.)

- **Multiple devices:** how to connect them into some thing more interesting? Partially coherent addition of devices?
- **Impurities:** cannot always do “super-cell” type averages. Need to develop efficient approaches like CPA, vertex correction, and implement them atomistically and at non-equilibrium level.
- **Biomolecules:** long history of theory work but seems to be a mess (my lack of knowledge). How to efficiently deal with solvent effects while current is flowing?
- **Hybrid systems:** transport problems where molecules are interacting with other materials such as superconductors, magnets, etc.

## Many further work

Here are two of them:

- (i) impurity average
- (ii) transient current.

Impurity  
average:

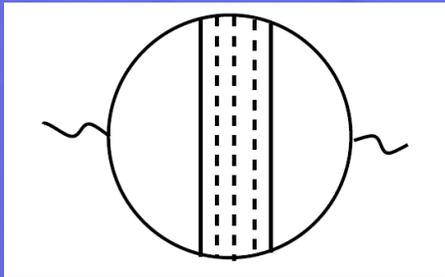
A new code for impurity averages: NEGF-LMTO-CPA-VC

CPA---coherent potential approximation; VC---vertex correction.

When there are impurities (e.g. Mn doped Ge), we can do two things:

- (1) “super-cell” calculations: for each fixed impurity configuration, compute transport; then average over many impurity configurations.
- (2) CPA + VC.

$$T(E, \Delta V) = \text{Tr}[G^r \Gamma_L G^a \Gamma_R]$$



Mahan's book,  
p610.

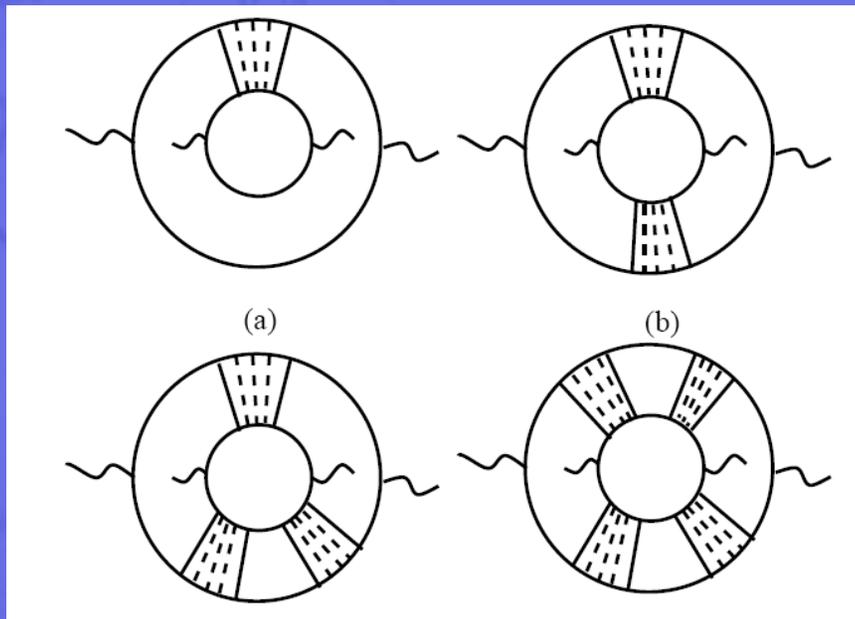
$$G^\gamma = G^R \Sigma^\gamma G^A$$

Youqi Ke, K. Xia, HG (2007)

# Fluctuations: impurity average over 4 Green's functions



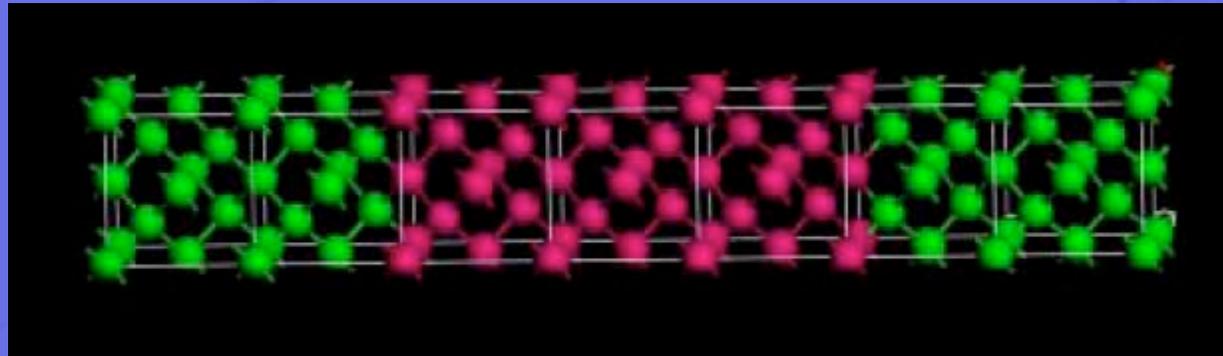
Ning Jia Zhu, HG & R. Harris,  
PRL 77, 1825 (1996)



Such calculations can be done,  
but rather tedious.

With fast computers, we can  
just grind these diagrams out  
numerically.

## Si-SiMn-Si transport junction:



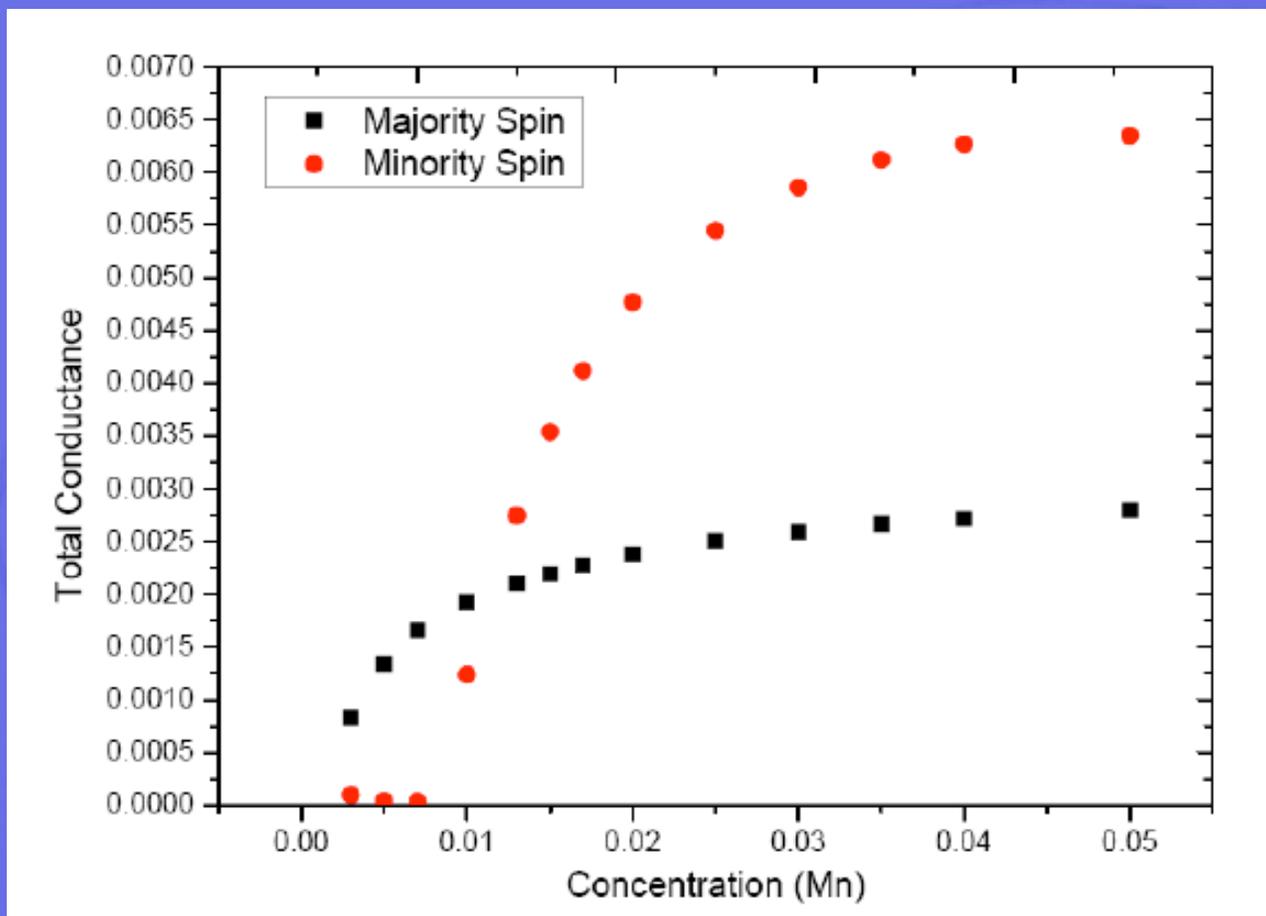
Si leads: heavily doped with P. We use virtual crystal approximation for leads.

Scattering region: Mn doped Si. Atomic structure obtained by WG. Zhu and ZY. Zhang by VASP total energy relaxation.

NEGF-LMTO-CPA-VC for non-equilibrium electronic structure and transport.

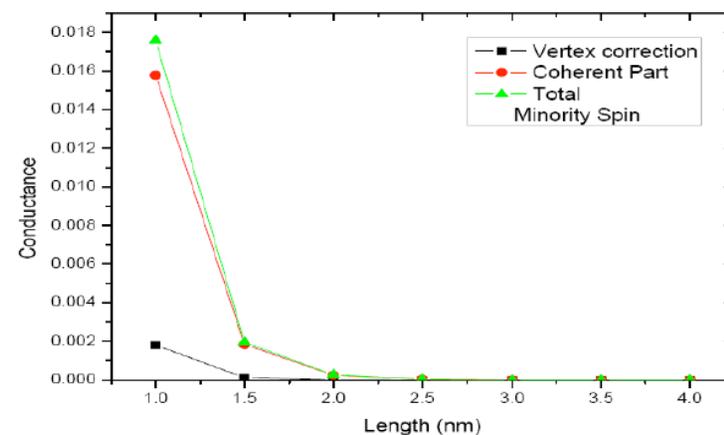
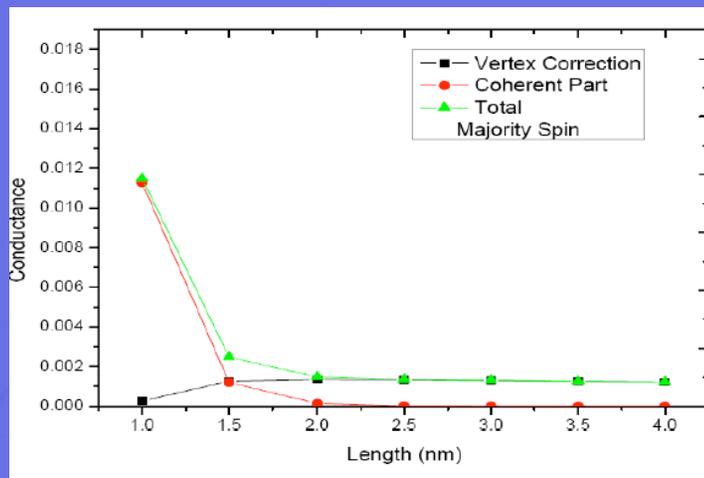
YQ. Ke, WG. Zhu, ZY. Zhang, K. Xia & HG (2007)

## Conductance versus Mn content:

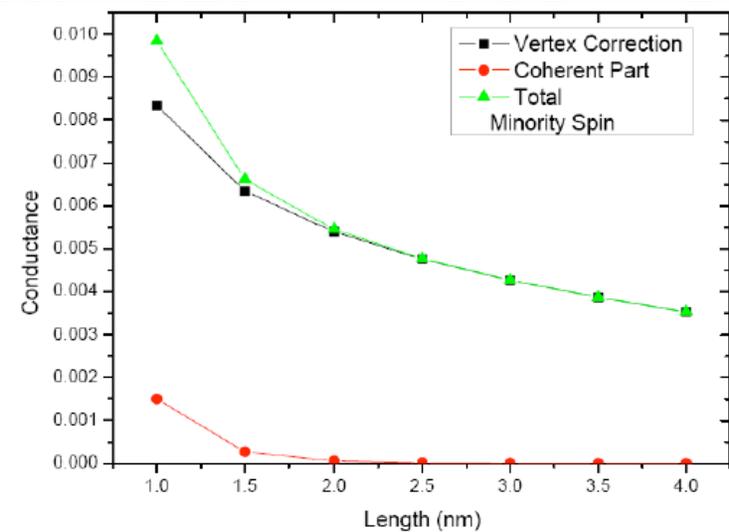
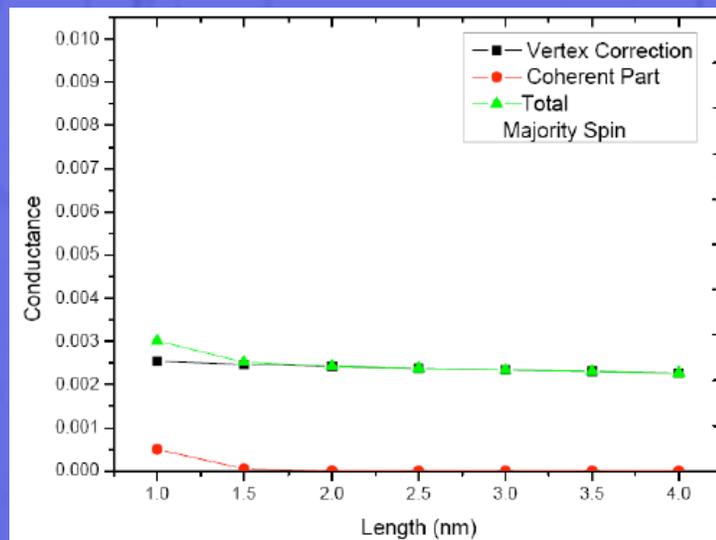


# Conductance vs length of SiMn region (preliminary)

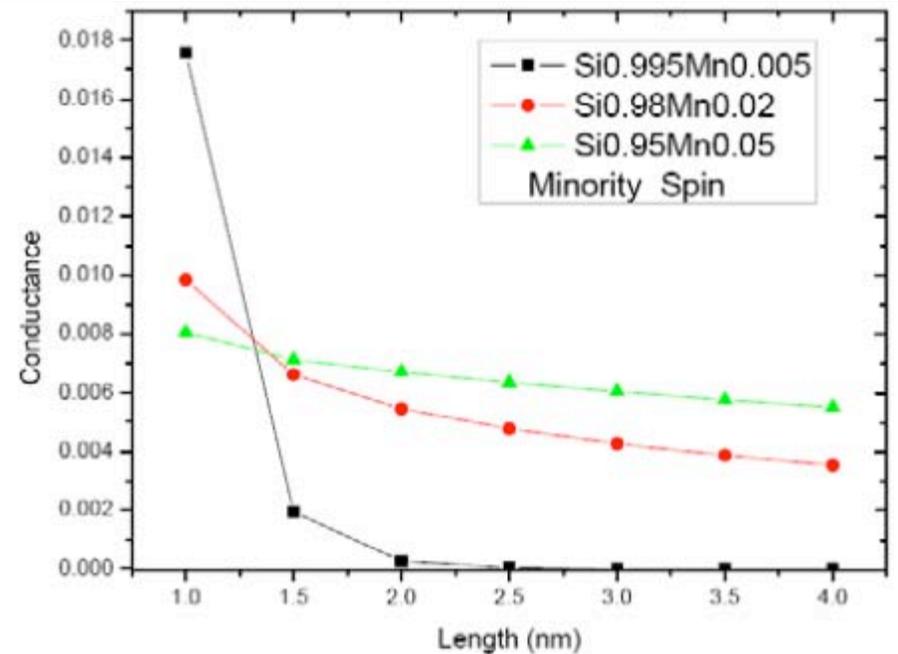
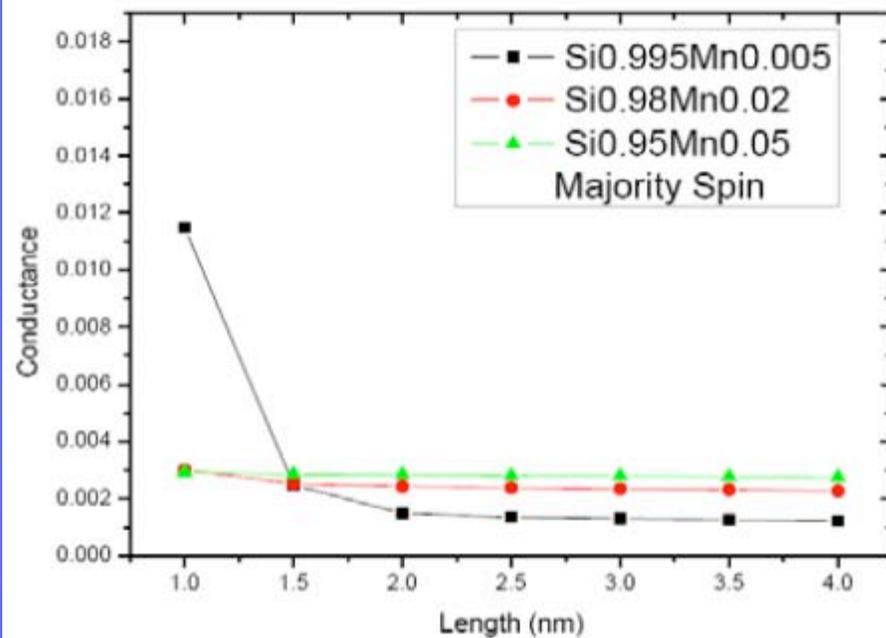
0.5% Mn



2% Mn

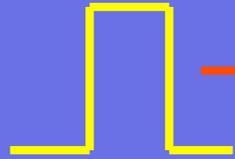


# Change Mn doping concentrations:

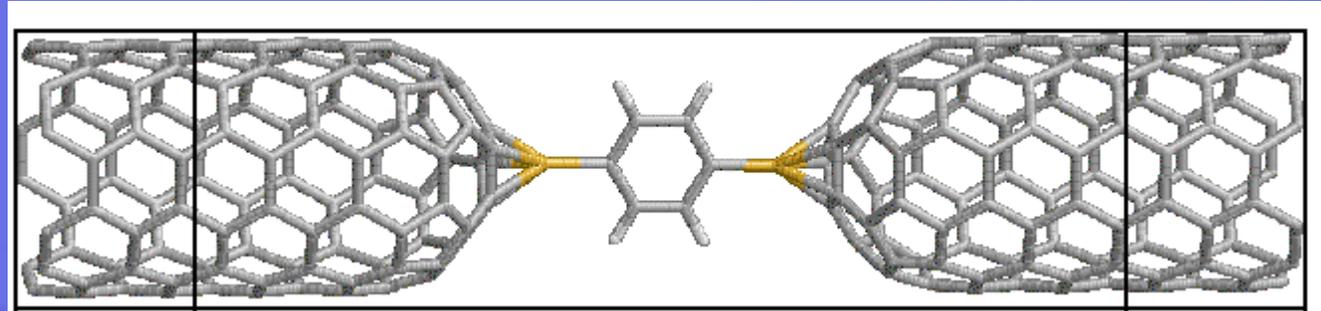


Transient  
current:

The mixed model:  $H = H_{\text{leads}} + H_{\text{device}} + H_{\text{coupling}} + V(t)$



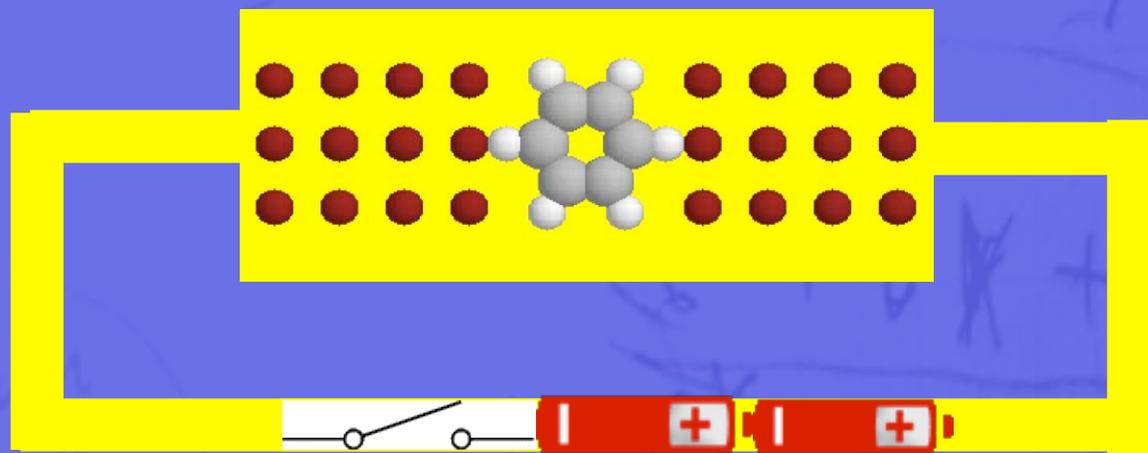
Voltage  
pulse



1. Include all atomic details: solve  $H_0 = H_{\text{leads}} + H_{\text{device}} + H_{\text{coupling}}$  by NEGF-DFT in steady-state, with a partitioned approach;
2. Solve  $H = H_0 + V(t)$  by Dyson's equation in a partition free manner;
3. For square shaped pulses, transport described by  $H$  can be solved *exactly* including full bandstructures of leads and scattering region.

Maciejko etal PRB 74, 085324 (2006).

## A Molecular Circuit:



$$I(t) \Leftarrow A_{\beta}(\epsilon, t) \Leftarrow \int \frac{d\omega}{2\pi} e^{-i(\omega-\epsilon)t} \tilde{G}^r(\omega) [\dots]$$

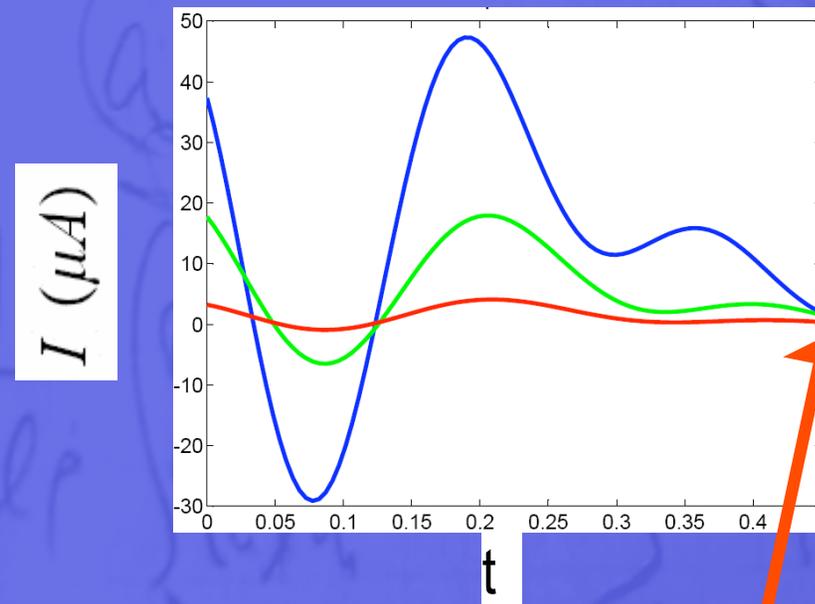
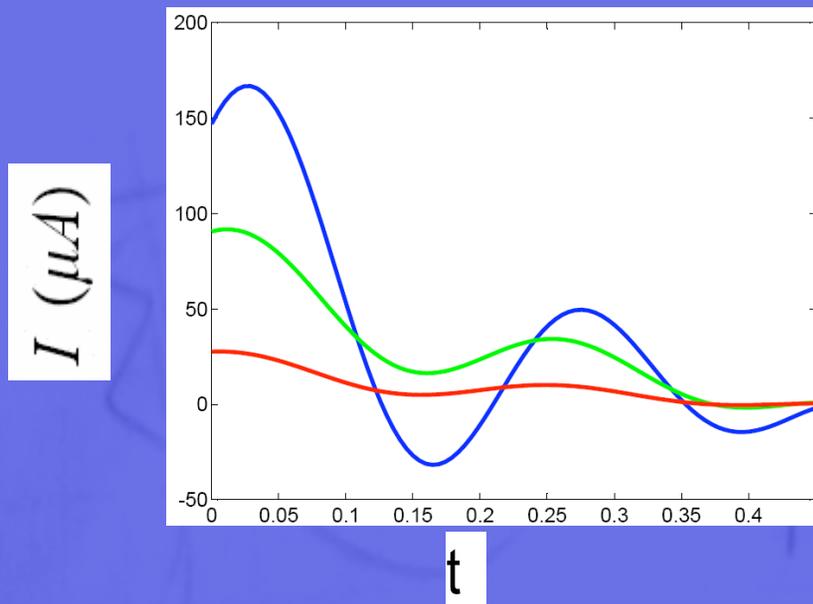
Analytical properties of  $\tilde{G}^r(\omega)$  ?

Time-dependent Response: from

$$I(t) \equiv -e\dot{N}(t)$$

downward

upward



Pulse height :  $V = 2.72, 1.36, 0.68$  (V)

Steady-state reached.

Nano-electronics: nonequilibrium physics and atomic details

# Thank you!

\$: NSERC, FQRNT, NanoQuebec, CIFAR, Killam Fellowship Award, SRC, Lu Xin Energy Group.