## Zone-center phonons in polar crystals

Raffaele Resta

Trieste, 2021

## Outline

1 Experiments \& Lyddane-Sachs-Teller

2 Huang's phenomenological theory

3 Born effective charge, polarization, current

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## From: C. Kittel, Introduction to Solid State Physics


$\operatorname{Re} \varepsilon(\omega)$ for $\mathrm{SrF}_{2}$

## Two regimes:

$\square \operatorname{Re} \varepsilon(\omega) \longrightarrow \varepsilon_{0}:$ static

- $\operatorname{Re} \varepsilon(\omega) \longrightarrow \varepsilon_{\infty}$ : "static high frequency"
a.k.a. clamped ion, a.k.a. electronic

In a nonpolar crystal $\varepsilon_{0}=\varepsilon_{\infty}$, no pole: why?

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Inelastic neutron scattering in KBr
B.N. Brockhouse et al.

Experiments: 1950s Nobel prize: 1994

## Polar vs. nonpolar: Si \& GaAs



Figure 2. Phonon dispersions for Si (above) and GaAs (below) from ab initio calculations

## Key message

■ Polar crystal (cubic binary)
■ $\varepsilon_{0}>\varepsilon_{\infty}$

- $\omega_{\mathrm{LO}}>\omega_{\mathrm{TO}}$

■ Zone-center mode infrared active

■ Nonpolar crystal (cubic binary, e.g. diamond)
■ $\varepsilon_{0}=\varepsilon_{\infty}$

- $\omega_{\mathrm{LO}}=\omega_{\mathrm{TO}}$

■ Zone-center mode infrared inactive

## Lyddane-Sachs-Teller (1941)

$$
\frac{\omega_{\mathrm{LO}}^{2}}{\omega_{\mathrm{TO}}^{2}}=\frac{\varepsilon_{0}}{\varepsilon_{\infty}}
$$

Beautifully simple and general
Independent of microscopics such as
■ masses

- interatomic force constants
- ionic charges

■ cell volume.....

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2 Huang's phenomenological theory

3 Born effective charge, polarization, current

## Phenomenological theory: Huang, 1950

 (exact within the harmonic approximation)Free energy per cell $\mathcal{F}=V_{\text {c }} \mathscr{F}$
Cubic binary crystal: independent variables: $E, u$ expanded to second order

$$
\mathcal{F}(E, u)=\mathcal{F}_{0}+\frac{1}{2} M \omega_{\mathrm{TO}}^{2} u^{2}-\frac{V_{\mathrm{c}}}{8 \pi} \varepsilon_{\infty} E^{2}-Z^{*} u E
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Equations of motion ( $M$ reduced mass)


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\begin{aligned}
f & =-\frac{\partial \mathcal{F}}{\partial u}=-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E \\
D & =-\frac{4 \pi}{V_{\mathrm{c}}} \frac{\partial \mathcal{F}}{\partial E}=\varepsilon_{\infty} E+\frac{4 \pi}{V_{\mathrm{c}}} Z^{*} u
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## Static response: $\varepsilon_{0}$

$$
\begin{aligned}
f & =-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E \\
D & =\varepsilon_{\infty} E+\frac{4 \pi}{V_{\mathrm{c}}} Z^{*} u
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at equilibrium:

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f=0 \quad \longrightarrow \quad u=\frac{Z^{*}}{M \omega_{\mathrm{TO}}^{2}} E
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D=\left[\varepsilon_{\infty}+\frac{4 \pi\left(Z^{*}\right)^{2}}{V_{\mathrm{c}} M \omega_{\mathrm{TO}}^{2}}\right] E=\varepsilon_{0} E
\end{gathered}
$$

## Dynamical response $\varepsilon(\omega)$

$$
\begin{aligned}
f & =-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E \\
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$$

forced oscillations at frequency $\omega$ :

$$
-M \omega^{2} u=-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E
$$

$$
D(\omega)=\left[\varepsilon_{\infty}+\frac{4 \pi\left(Z^{*}\right)^{2}}{V_{\mathrm{c}} M\left(\omega_{\mathrm{TO}}^{2}-\omega^{2}\right)}\right] E(\omega)=\operatorname{Re} \varepsilon(\omega) E(\omega)
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## From: C. Kittel, Introduction to Solid State Physics


$\varepsilon(\omega)$ for $\mathrm{SrF}_{2}$ (real part)

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\operatorname{Re} \varepsilon(\omega) & =\varepsilon_{\infty}+\frac{4 \pi\left(Z^{*}\right)^{2}}{V_{\mathrm{c}} M\left(\omega_{\mathrm{TO}}^{\mathrm{o}}-\omega^{2}\right)} \\
\operatorname{Im} \varepsilon(\omega) & =\frac{2 \pi\left(Z^{*}\right)^{2}}{V_{\mathrm{c}} M \omega_{\mathrm{TO}}}\left[\delta\left(\omega_{\mathrm{TO}}-\omega\right)-\delta\left(\omega_{\mathrm{TO}}+\omega\right)\right]
\end{aligned}
$$

## E and D fields

- In presence of a long wavelength phonon of wave vector $\mathbf{q}$ :
- Solid macroscopically homogeneous normal to q
- Macroscopic properties modulated in the of $\mathbf{q}$ direction



## E and D fields

■ In presence of a long wavelength phonon of wave vector $\mathbf{q}$ :

- Solid macroscopically homogeneous normal to q

■ Macroscopic properties modulated in the of $\mathbf{q}$ direction

- Ergo:

■ E normal to q vanish

- D parallel to $\mathbf{q}$ vanish
- TO phonon: $\mathbf{E}=0, \mathbf{D} \neq 0$

■ LO phonon: $\mathbf{D}=0, \mathbf{E} \neq 0$

## Transverse \& longitudinal modes

■ In a transverse mode $E=0$ :

$$
f=-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E
$$

- In a longitudinal mode $D=\varepsilon E=0 \Rightarrow$



## Transverse \& longitudinal modes

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$$
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■ In a longitudinal mode $D=\varepsilon E=0 \Rightarrow \varepsilon=0$ :

$$
0=\varepsilon\left(\omega_{\mathrm{LO}}\right)
$$

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\omega_{\mathrm{LO}}^{2}=\omega_{\mathrm{TO}}^{2}+\frac{4 \pi\left(Z^{*}\right)^{2}}{\varepsilon_{\infty} V_{\mathrm{c}} M}=\omega_{\mathrm{TO}}^{2}+4 \pi \frac{(\text { charge density })^{2}}{\text { mass density }}
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$(\text { charge density })^{2}=\frac{\left(Z^{*}\right)^{2}}{\varepsilon_{\infty} V_{c}^{2}} \quad$ reduced mass density $=\frac{M}{V_{c}}$

## Bottom line: Lyddane-Sachs-Teller

$$
\frac{\omega_{\mathrm{LO}}^{2}}{\omega_{\mathrm{TO}}^{2}}=1+\frac{4 \pi\left(Z^{*}\right)^{2}}{\varepsilon_{\infty} V_{\mathrm{c}} M \omega_{\mathrm{TO}}^{2}}
$$

## ■ All microscopic parameters disappear $\left(Z^{*}, M, V_{c}\right)$

- LST is exact (within the harmonic approx.)
- Both members of LST measure the field-lattice coupling

■ Can be generalized to more complex crystals, and beyond (anharmonic solids, amorphous materials....)

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## 1 Experiments \& Lyddane-Sachs-Teller

## 2 Huang's phenomenological theory

3 Born effective charge, polarization, current

## Born effective charge (cubic binary crystal)

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\mathcal{F}(E, u) & =\mathcal{F}_{0}+\frac{1}{2} M \omega_{\mathrm{TO}}^{2} u^{2}-\frac{V_{\mathrm{c}}}{8 \pi} \varepsilon_{\infty} E^{2}-Z^{*} u E \\
f & =-\frac{\partial \mathcal{F}}{\partial u}=-M \omega_{\mathrm{TO}}^{2} u+Z^{*} E \\
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$$

■ Dual interpretation of $\quad Z^{*}=\frac{\partial^{2} \mathcal{F}}{\partial u \partial E}$

- Force exerted on the clamped nuclei by $E: \frac{\partial f}{\partial E}$

■ Polarization due to the ionic displacement at $E=0: \frac{1}{V_{c}} \frac{\partial P}{\partial u}$

## Born effective charge (generic crystal)

■ Generalization to a low-symmetry lattice with $\ell=1,2 \ldots . . n$ sublattices:

■ Effective mass tensor:

$$
Z_{\ell, \alpha \beta}^{*}=\frac{\partial^{2} \mathcal{F}}{\partial u_{\ell, \alpha} \partial E_{\beta}}
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■ Sum rule: $\sum_{\ell} Z_{\ell, \alpha \beta}^{*}=0$
■ In general, not a symmetric tensor

- It could be strongly counterintuitive


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## Macroscopic current

■ In a cubic binary crystal:

$$
P=\frac{1}{V_{\mathrm{c}}} Z^{*} u, \quad E=0
$$

■ Harmonic: The sublattices oscillate at frequency $\omega_{\mathrm{TO}}$ :

$$
\begin{aligned}
P(t) & =\frac{1}{V_{\mathrm{c}}} Z^{*} u(t) \\
j(t) & =\frac{d}{d t} P(t)=\frac{1}{V_{c}} Z^{*} \frac{d}{d t} u(t)=\frac{1}{V_{\mathrm{c}}} Z^{*} v(t)
\end{aligned}
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Total current (a.k.a. charge flux): electronic and nuclear

- Generic, anharmonic system (e.g. liquid):



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$$
j_{\alpha}(t)=\frac{e}{V} \sum_{\ell=1}^{N} Z_{\ell, \alpha \beta}^{*}(t) v_{\ell, \beta}(t)
$$

## Macroscopic vs. microscopic field

## $\mathbf{E}^{(\text {micro })}(\mathbf{r})$ is the "real" electric field inside the material:

$$
\begin{aligned}
\mathbf{f}_{\ell} & =Z_{\ell} \mathbf{E}^{(\text {micro })}\left(\mathbf{r}_{\ell}\right) \quad Z_{\ell} \text { bare nuclear charge } \\
& =Z_{\ell, \alpha \beta}^{*} E_{\beta} \quad \text { force induced by macroscopic E field }
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\end{aligned}
$$

$$
\begin{gathered}
Z_{\ell, \alpha \beta}^{*}=\frac{E_{\alpha}^{(\text {micro })}\left(\mathbf{r}_{\ell}\right)}{E_{\beta}} Z_{\ell} \\
Z_{\text {cation }}^{*}>0 \quad Z_{\text {anion }}^{*}<0
\end{gathered}
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CAVEAT: No pseudopotentials here!

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\end{array}
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## $Z^{*}$ tensors in molten KCl

$$
j_{\alpha}(t)=\frac{e}{V} \sum_{\ell=1}^{N} Z_{\ell, \alpha \beta}^{*}(t) v_{\ell, \beta}(t)
$$



Instantaneous $\overleftrightarrow{Z}_{\ell}^{*}(t)$ (after Grasselli \& Baroni, Nature Phys. 2019) Scalar in average, $\left\langle\overleftrightarrow{Z_{\mathrm{K}}^{*}}\right\rangle=1.1,\left\langle\overleftrightarrow{Z_{\mathrm{Cl}}^{*}}\right\rangle=-1.1$

## $Z^{*}$ tensors in partially dissociated water

54 O atoms and 108 H atoms in a PBCs simulation cell of volume V : anharmonic thermal motion in zero $\mathbf{E}$ field

$$
j_{\alpha}(t)=\frac{e}{V} \sum_{\ell=1}^{N} Z_{\ell, \alpha \beta}^{*}(t) v_{\ell, \beta}(t)
$$

Distribution of the $Z_{\ell}^{*}$ tensors: diagonal (solid) \& off-diagonal (dashed)


French, Hamel, \& Redmer, Phys. Rev. Lett. 107, 185901 (2011)

## Ionic conductivity

Fluctuation-dissipation theorem (Green-Kubo) for ionic conductivity:

$$
\sigma=\frac{V \beta}{3} \int_{0}^{\infty} d t\langle\mathbf{j}(t) \cdot \mathbf{j}(0)\rangle
$$



