

Phonons out of equilibrium: from ab-initio theory to pump-probe experiments

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September 25th, 2022

**2D Materials and Hybrids:
Hybrid Quasiparticles in Quantum Materials**

Physikzentrum Bad Honnef
WE-Heraus Seminar

C | A | U

Christian-Albrechts-Universität zu Kiel

<https://cs2t.de>

C | S² | T

Computational
Solid-State
Theory group

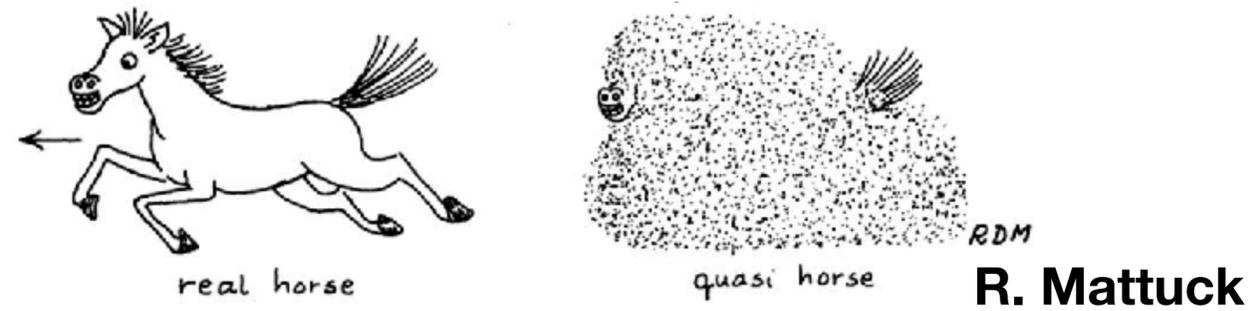


Funded by

DFG

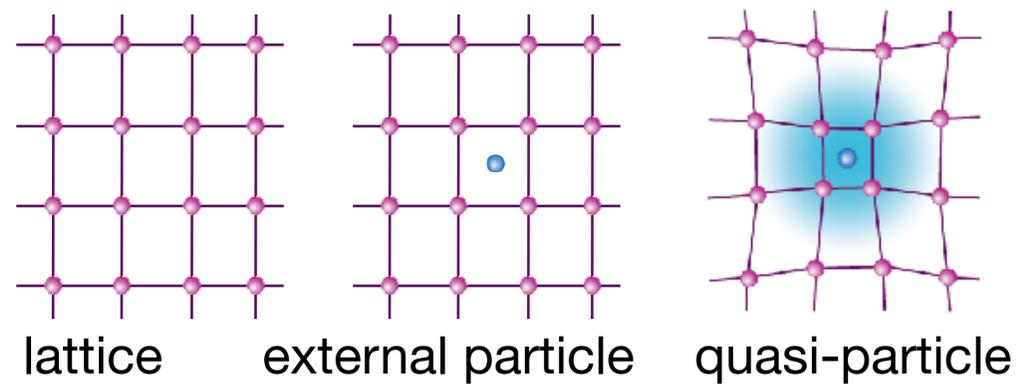
Deutsche
Forschungsgemeinschaft
German Research Foundation

Quasiparticles and phonons



L. Landau, Electron motion in crystal lattices,
Phys. Z. Sowjetunion **3**, 664 (1933)

Phonon assisted quasiparticles



example:

electron (hole) +
lattice distortion
= **polarons**



Introduction: Phonon assisted quasiparticles and ab-initio methods

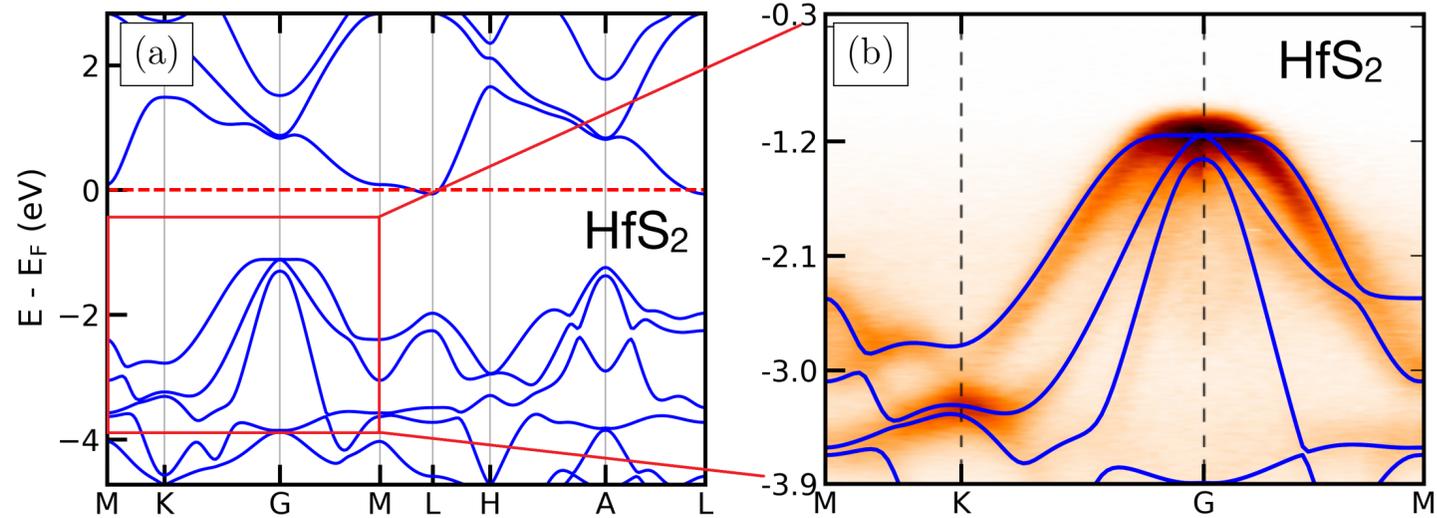
Density functional theory:

$$n(\mathbf{r}) \Leftrightarrow \Psi$$

Hohenberg and Kohn, Phys. Rev. (1964)
Kohn and Sham, Phys. Rev. (1965)

ELECTRONS

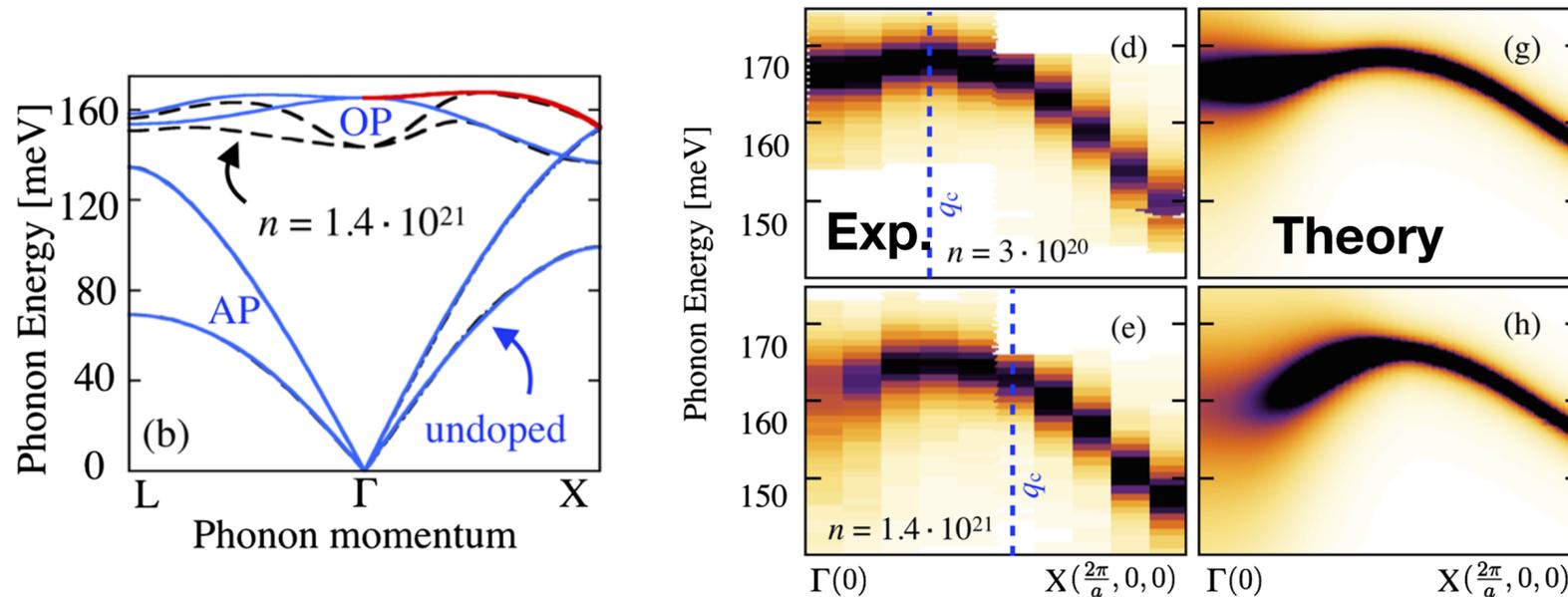
DFT band vs ARPES in HfS₂ (Measurements: S. Mahatha, K. Rosnagel)



C. Emeis

PHONONS

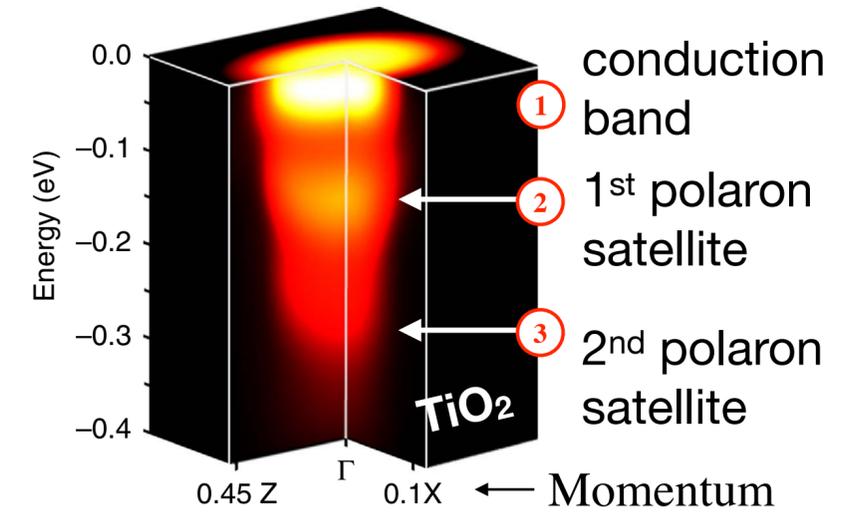
Doping-induced phonon softening in diamond (Measurements: M. Hoesch)



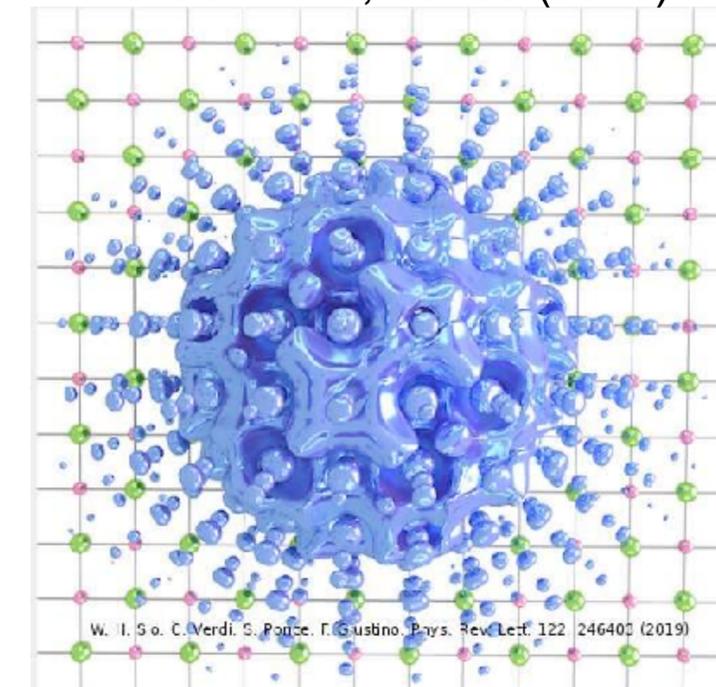
F. Caruso, M. Hoesch, et al. Phys. Rev. Lett. **119**, 017001 (2017)

ELECTRON-PHONON INTERACTIONS

Polarons in photoemission



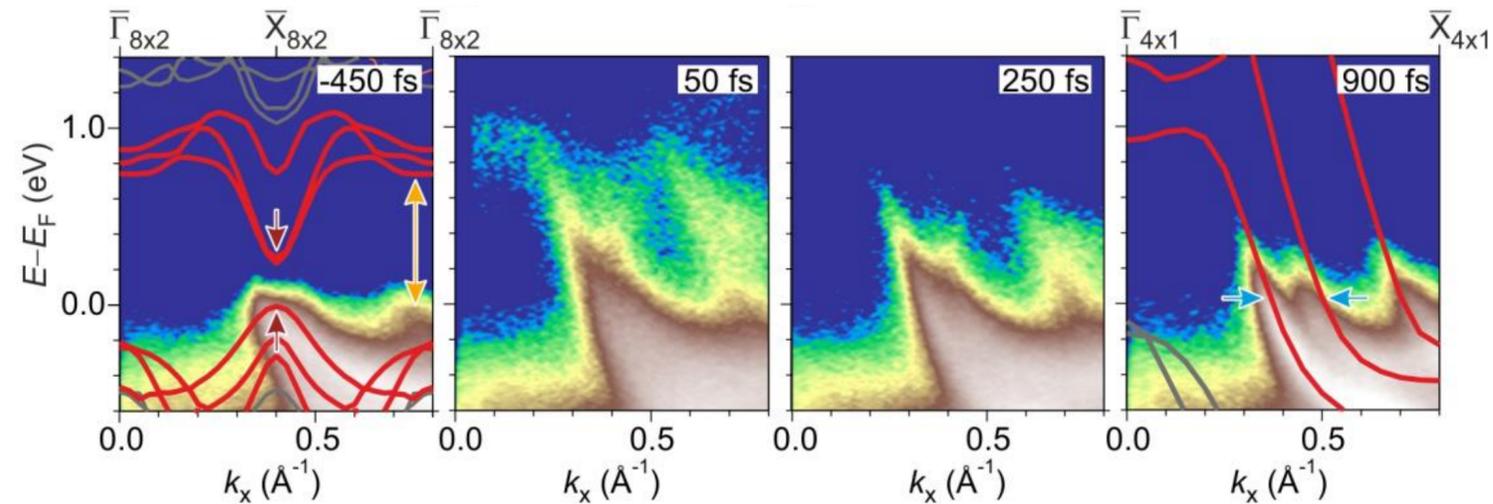
Verdi, Caruso, Giustino, Nature Comm. **8**, 15769 (2017)



Sio, Verdi, Ponce, Giustino, Phys. Rev. Lett. **122**, 246403 (2019)

Electron-phonon interactions out of equilibrium: fingerprints in spectroscopy

1. Light-induced structural phase transitions (In nanowires)

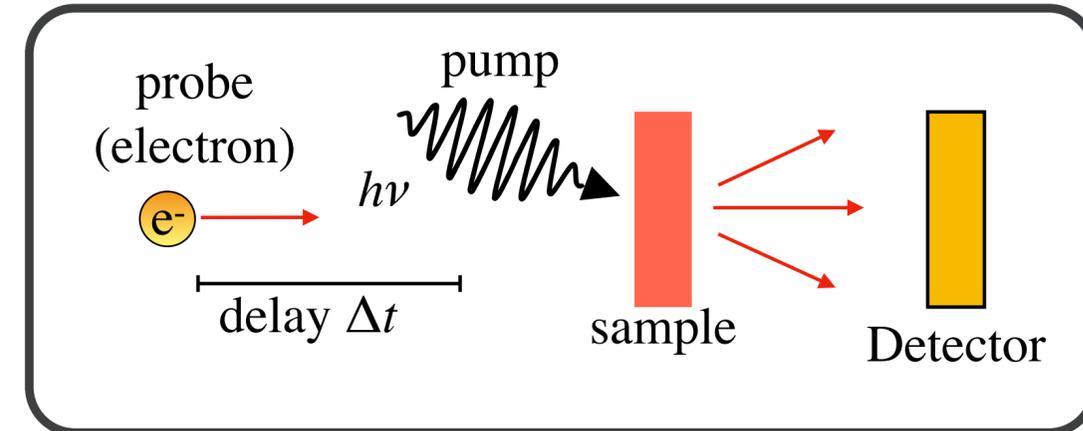


Nicholson, Lücke, Gero Schmidt, Puppini, Rettig, Ernstorfer, Wolf, Science **362**, 821 (2018)

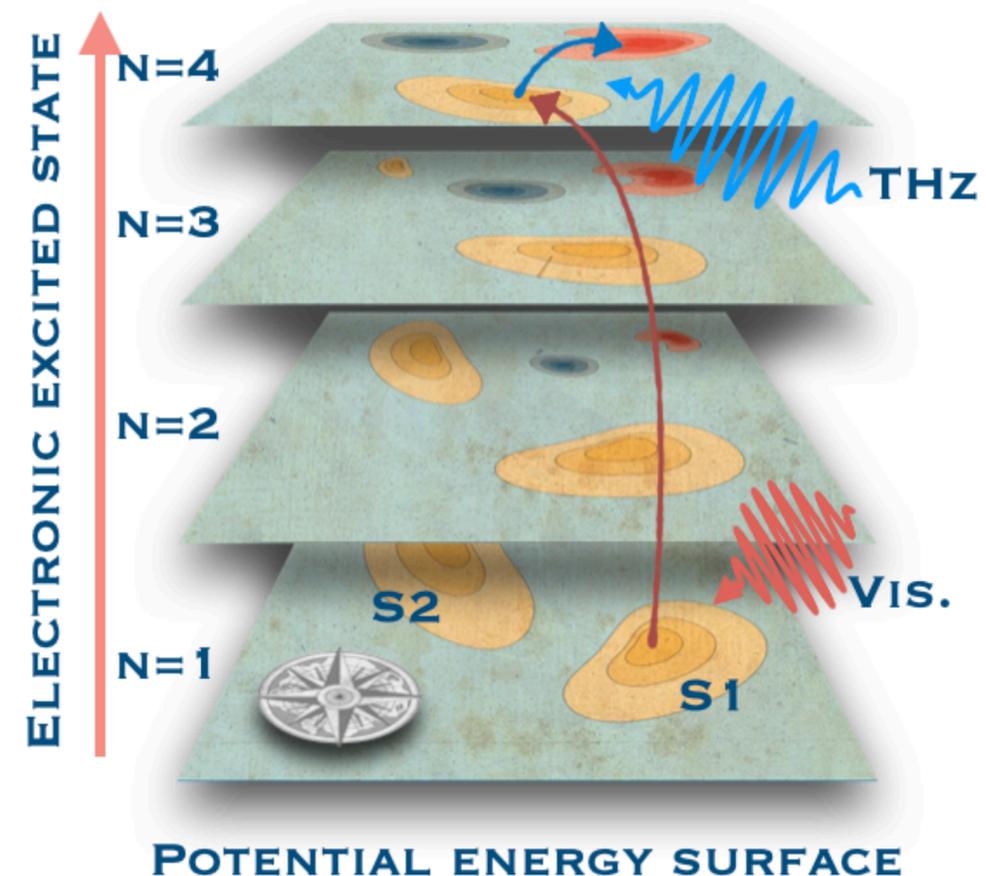
A challenge for ab-initio approaches:

- Highly-anharmonic lattices
- Phase transitions
- Highly-nonlinear effects (strong fields)
- Several competing mechanisms (electron, spin, phonon)

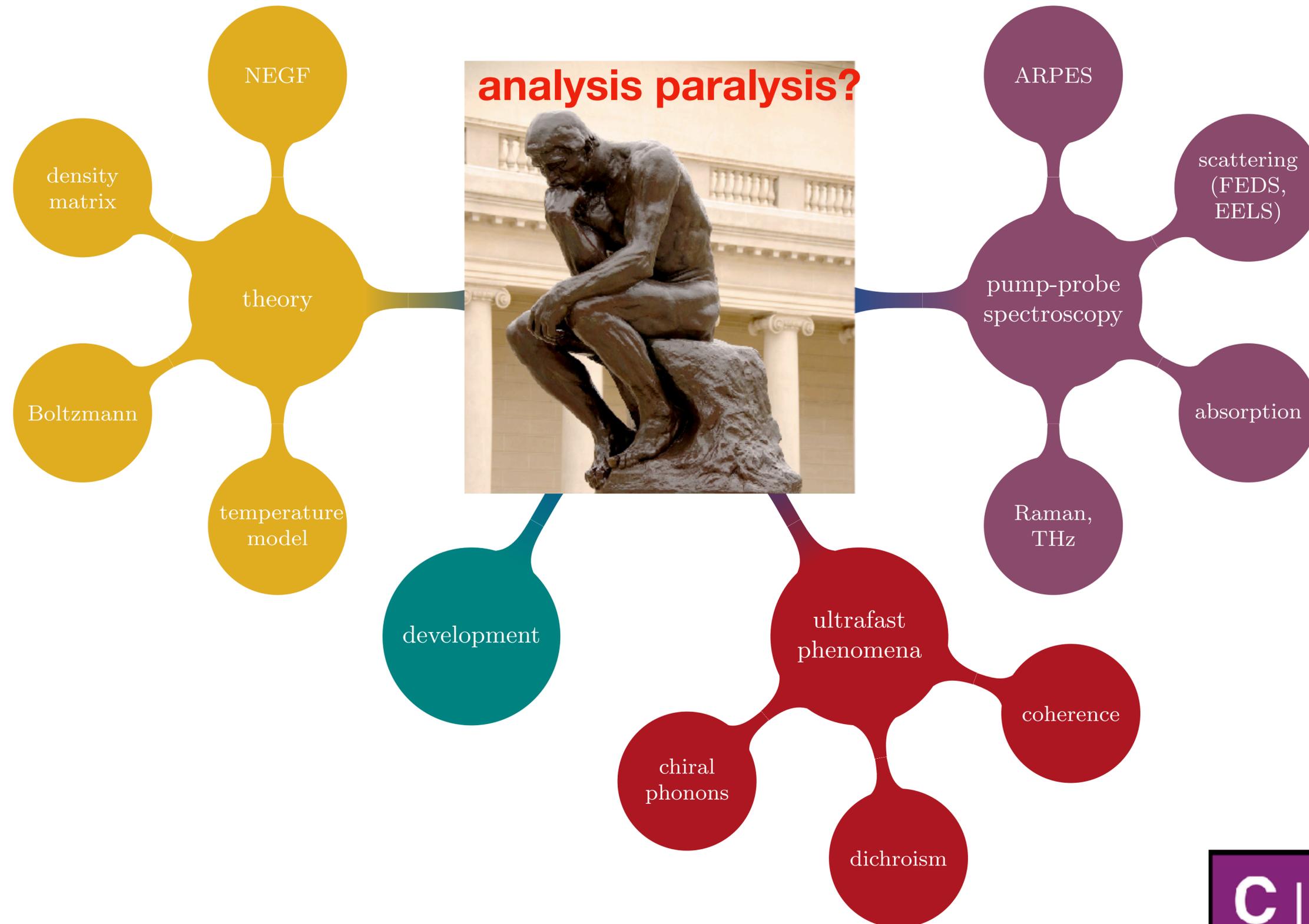
2. Direct imaging of phonons out of equilibrium



Ultrafast electron diffuse scattering (UEDS)



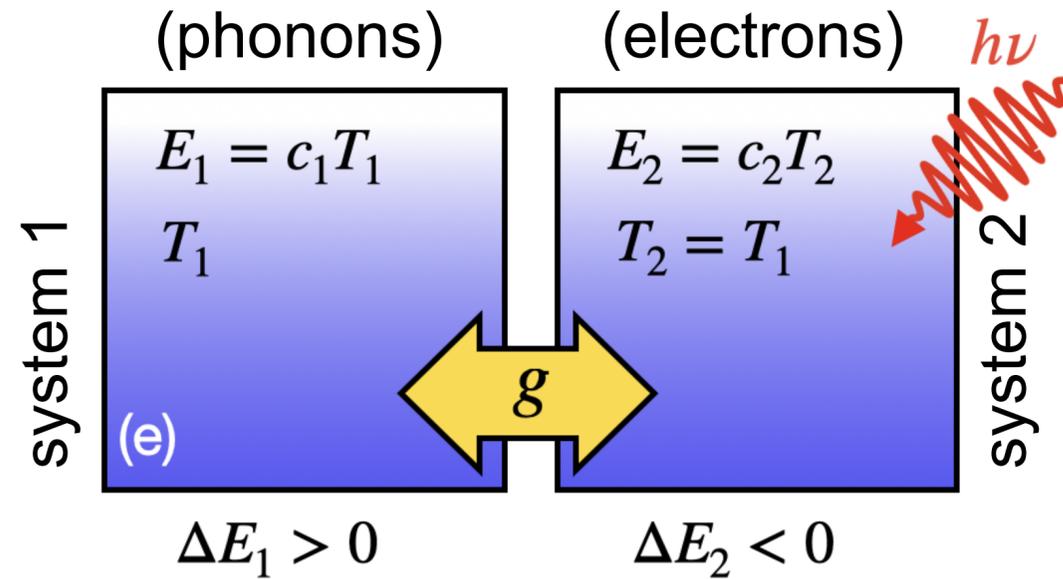
Challenges in ab-initio theory of ultrafast dynamics



Part 1

Non-equilibrium dynamics of electrons and phonons from first (or second?) principles

Thermalization of electrons and lattice from the two-temperature model

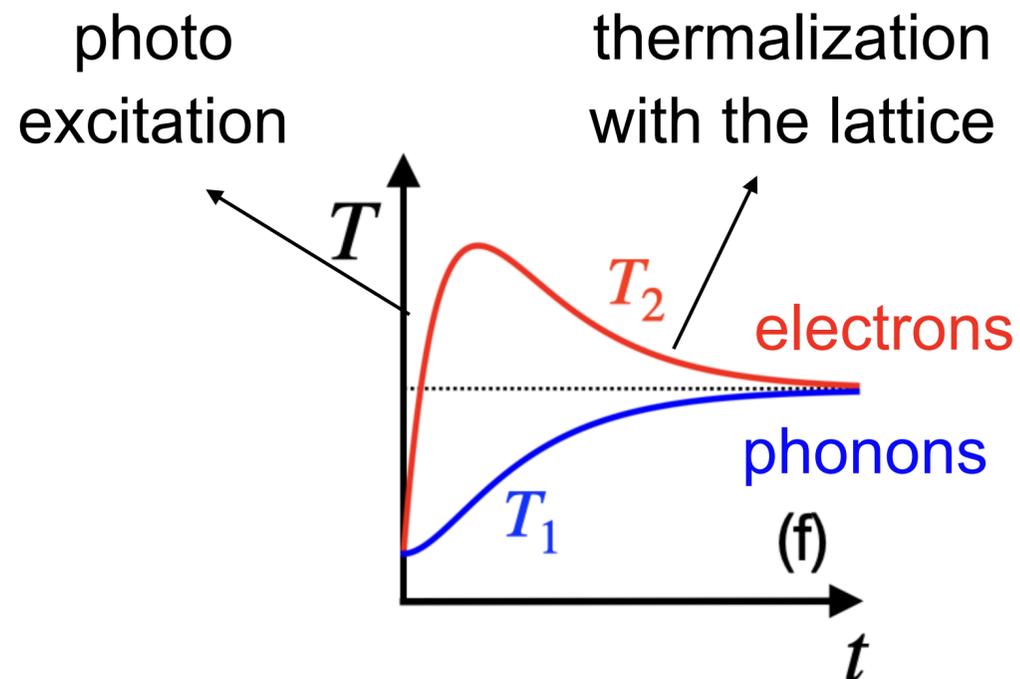


1. Two-temperature model (TTM)

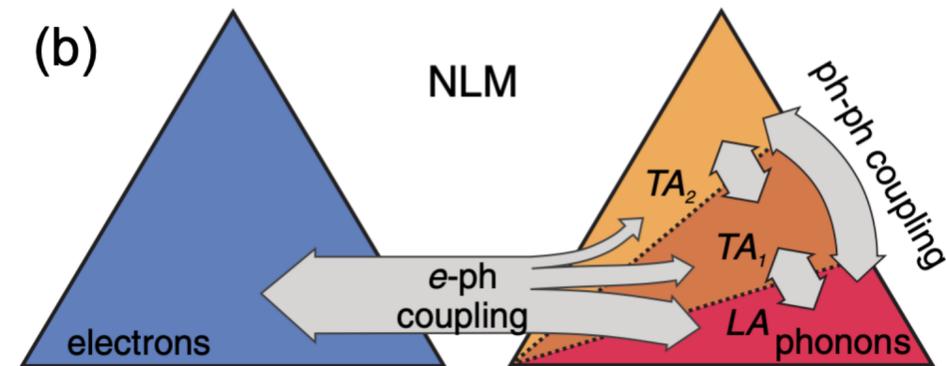
$$\frac{\partial T_{\text{ph}}}{\partial t} = \frac{g}{C_{\text{ph}}} (T_{\text{el}} - T_{\text{ph}}) \quad ,$$

$$\frac{\partial T_{\text{el}}}{\partial t} = \frac{g}{C_{\text{el}}} (T_{\text{ph}} - T_{\text{el}}) + S(t)$$

Free parameters: g , C_{ph} , C_{el}
(can be obtained *ab initio*)



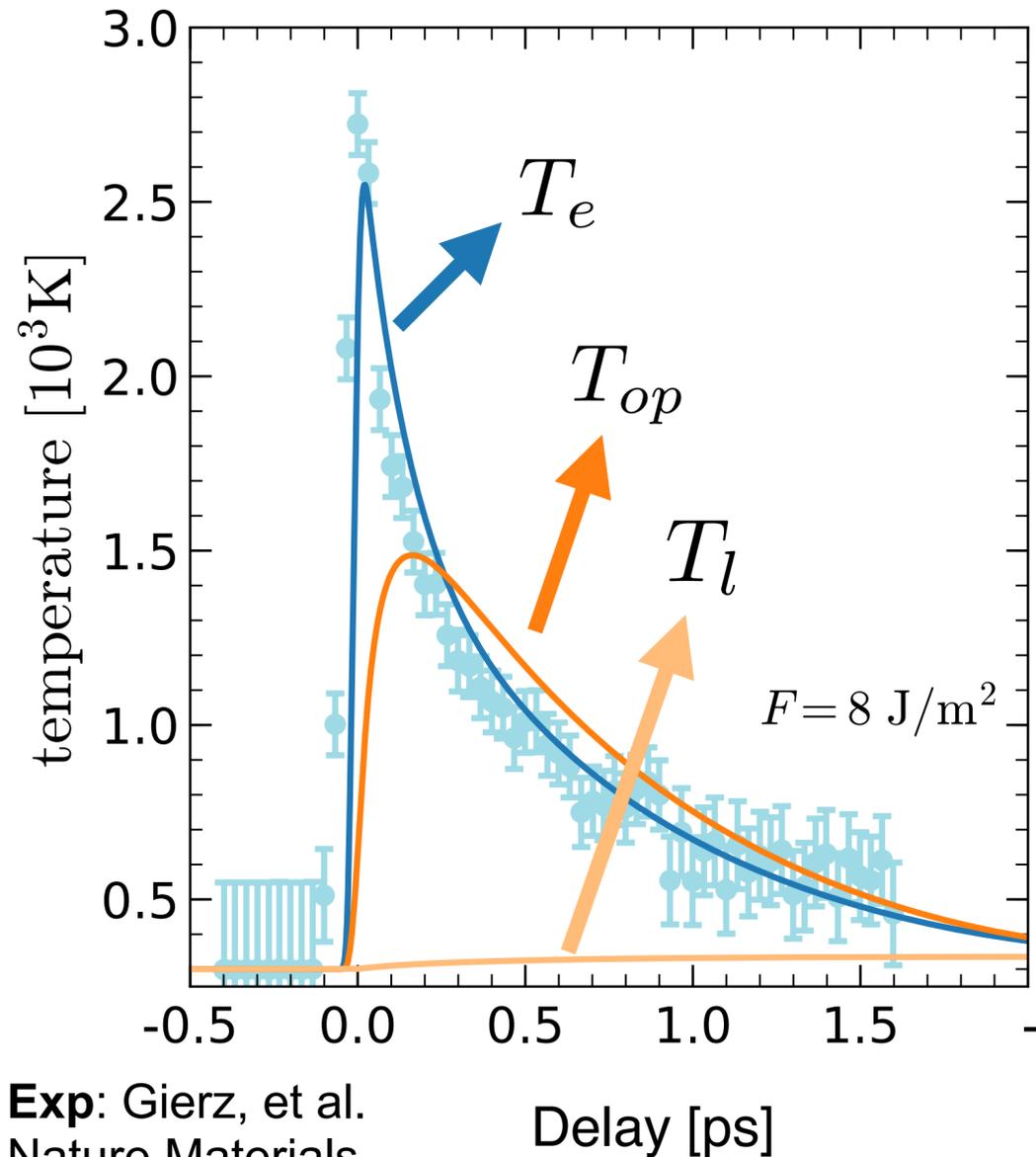
2. Non-thermal lattice model (NLM)



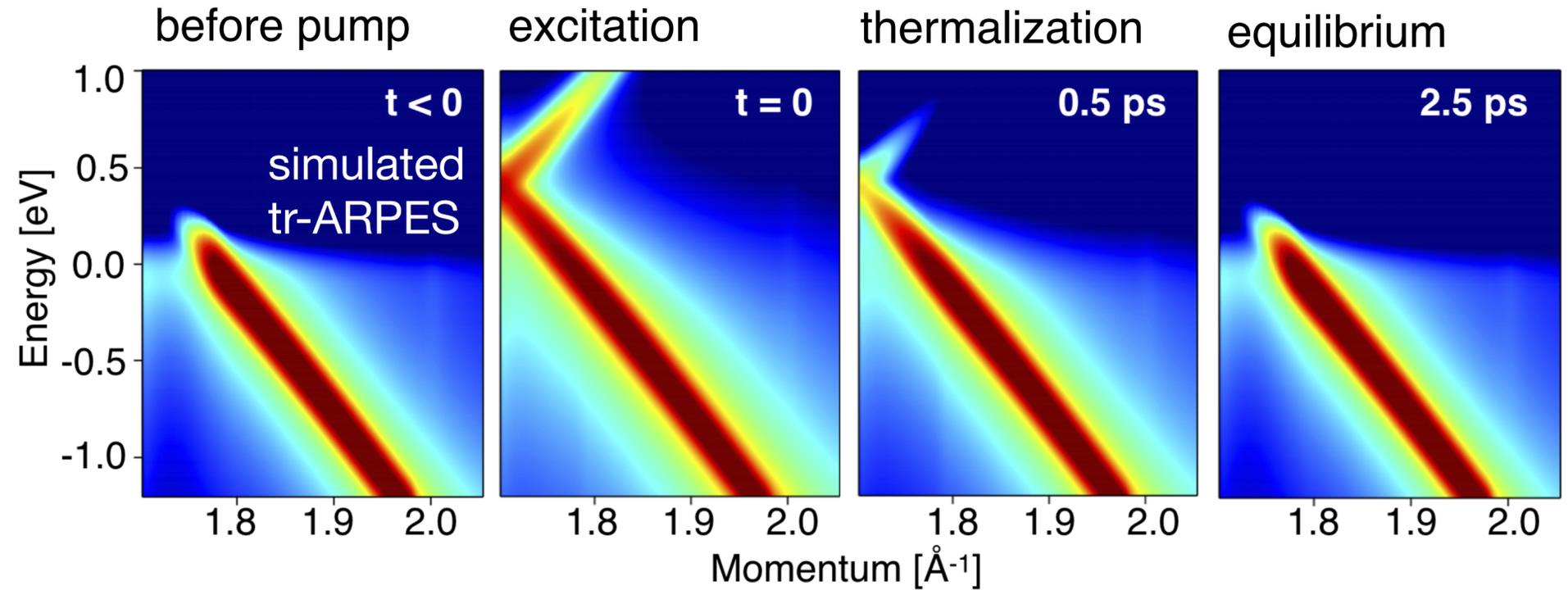
L. Waldecker, R. Bertoni, R. Ernstorfer, J. Vorberger,
Phys. Rev. X **6**, 021003 (2016)

Non-thermal lattice models and ultrafast dynamics in graphene

Calculated vs measured electronic temperature



Exp: Gierz, et al.
Nature Materials,
12, 1119 (2013)



1. Electron phonon coupling self-energy

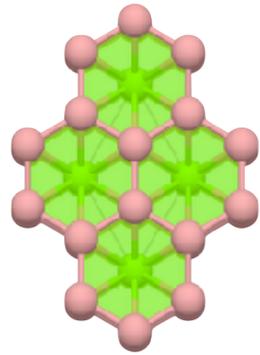
$$\Sigma_{n\mathbf{k}}^{\text{e-ph}}(\omega) = \int \frac{d\mathbf{q}}{\Omega_{\text{BZ}}} \sum_{m\nu} |g_{m\nu}^{\text{e-ph}}(\mathbf{k}, \mathbf{q})|^2 \left[\frac{n_{\mathbf{q}\nu} + f_{m\mathbf{k}+\mathbf{q}}}{\omega - \varepsilon_{m\mathbf{k}+\mathbf{q}} + \omega_{\mathbf{q}\nu} - i\eta} + \frac{n_{\mathbf{q}\nu} + 1 - f_{m\mathbf{k}+\mathbf{q}}}{\omega - \varepsilon_{m\mathbf{k}+\mathbf{q}} - \omega_{\mathbf{q}\nu} - i\eta} \right]$$

Bose / Fermi
occupations

2. Spectral function:

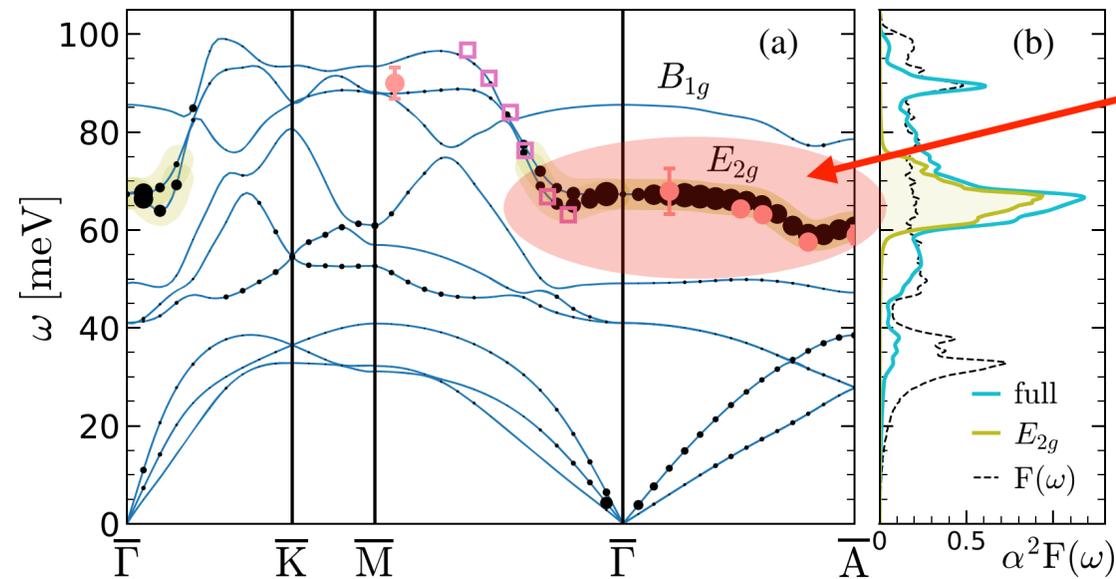
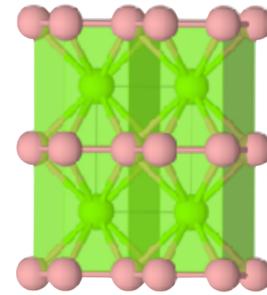
$$A_{n\mathbf{k}}(\omega, T) = \frac{1}{\pi} \frac{|\text{Im} \Sigma_{n\mathbf{k}}^{\text{e-ph}}(\omega)|}{[\omega - \varepsilon_{n\mathbf{k}} - \text{Re} \Sigma_{n\mathbf{k}}^{\text{e-ph}}(\omega)]^2 + [\text{Im} \Sigma_{n\mathbf{k}}^{\text{e-ph}}(\omega)]^2}$$

Transient phonon softening (Kohn anomaly) in MgB₂

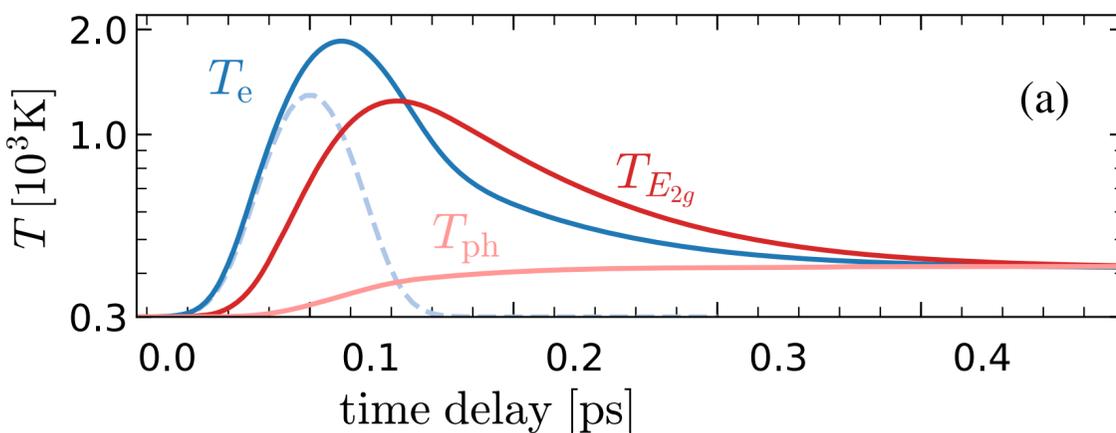


Facts about MgB₂

- Metal with hexagonal crystal structure
- BCS superconductor ($T_c = 39$ K)
- Highest known T_c for BCS superconductivity
- Strongly coupled E_{2g} modes



Kohn anomaly



$$\Omega_{E_{2g}}^2 = \omega_{E_{2g}}^2 + 2\omega_{E_{2g}} \bar{\Pi}(\Omega_{E_{2g}}; \{T\}),$$

"dressed" phonon frequency

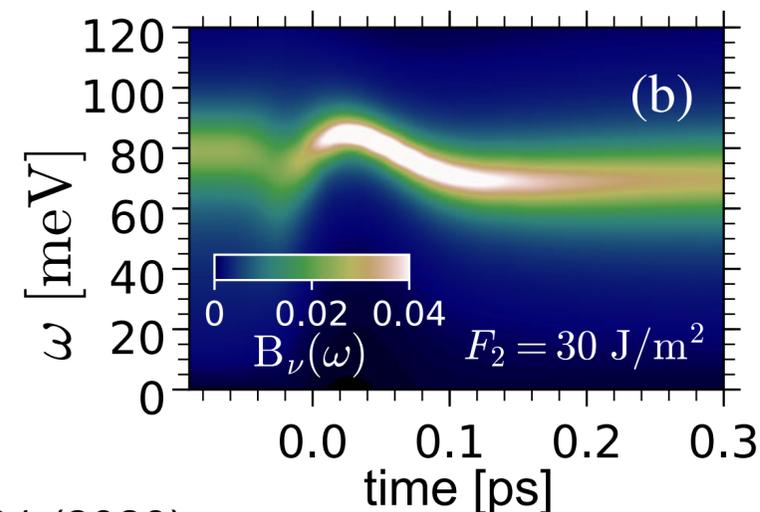
bare phonon frequency

phonon self-energy

Phonon spectral function

$$A_{q\nu}(\omega) = \pi^{-1} \text{Im} \left[\frac{2\omega_{q\nu}}{\omega^2 - \omega_{q\nu}^2 - 2\omega_{q\nu} \Pi_{q\nu}^{\text{NA}}(\omega)} \right]$$

Phonon spectral function @ Γ



Transient change of the E_{2g} phonon frequency due to the EPI: **"transient Kohn anomaly"**

Workflow for ultrafast dynamics simulations

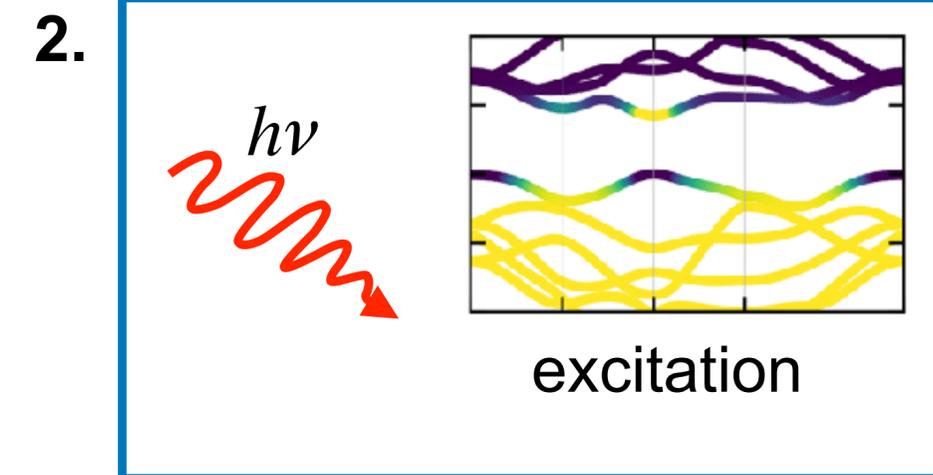
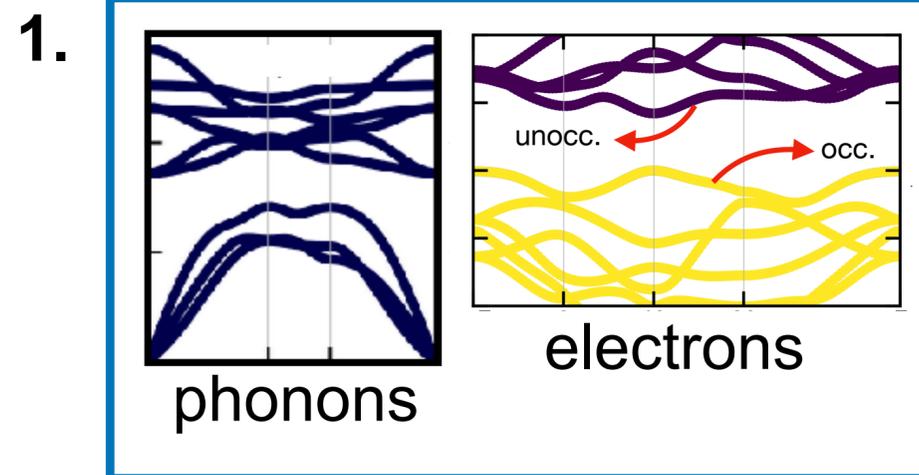
1. Band structure (DFT)
Phonon dispersion (DFPT)

2. Model coupling to light pulse
(or excited state Ansatz)

3. Time propagation

4. Transient many-body effects
and emergent phenomena

5. Theoretical spectroscopy:
tr-ARPES, Raman, scattering

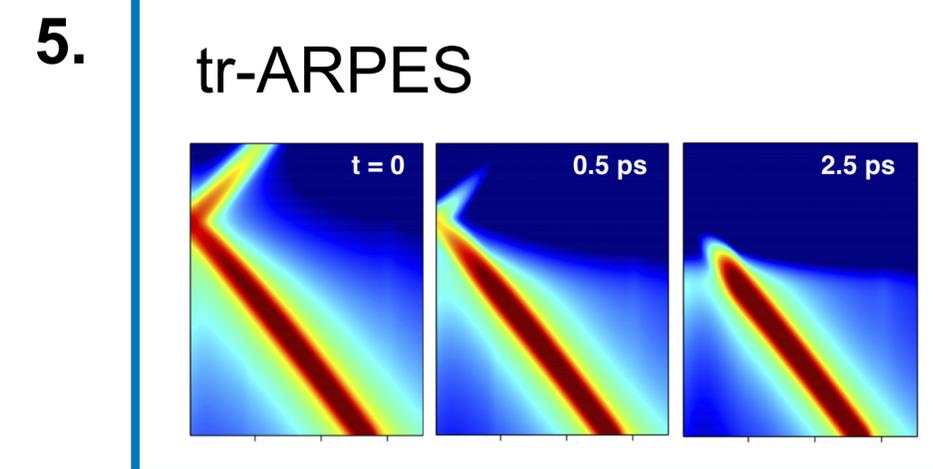


3.

two-temperature model	time-dependent Boltzmann equation	non-equilibrium Green's functions
		

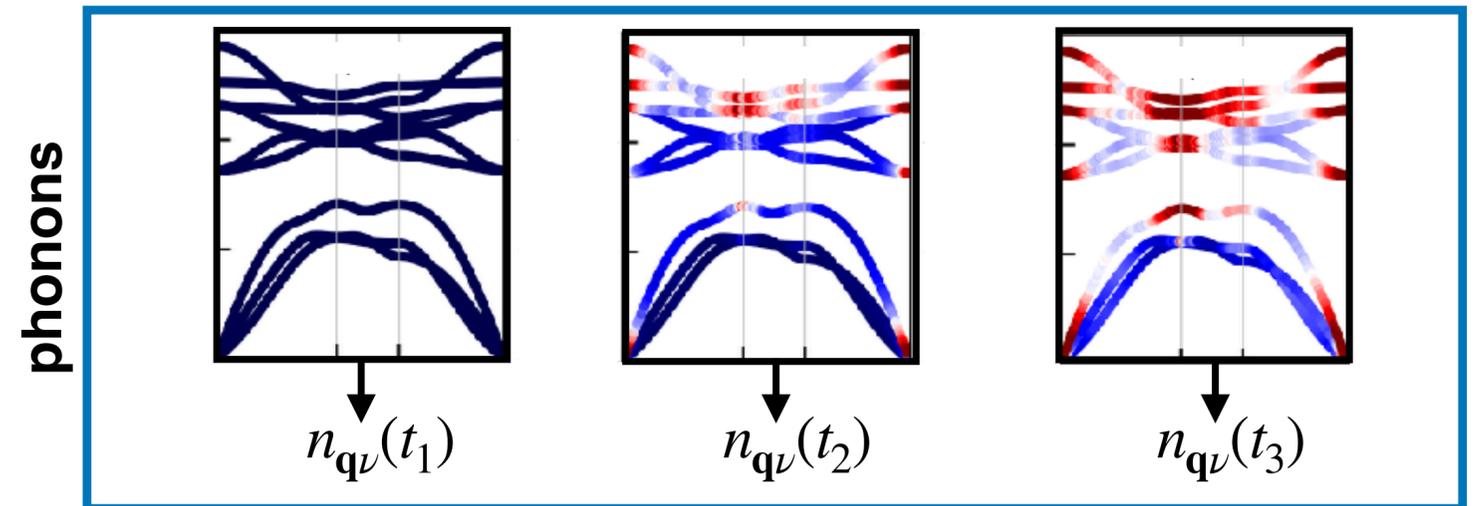
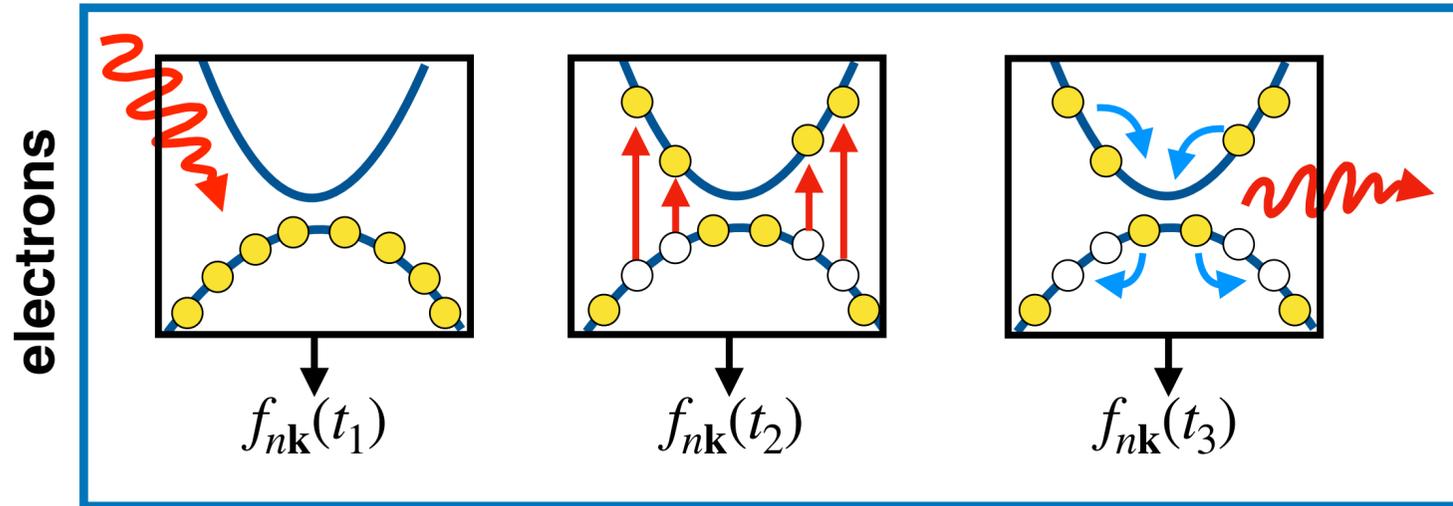
4.

Many-body perturbation
theory and Green's
functions

$$G(1, 2) = -i \langle \Psi_0 | \hat{T} \hat{\psi}(1) \hat{\psi}^\dagger(2) | \Psi_0 \rangle$$


Time-dependent Boltzmann equation

Key assumption: Electronic and vibrational excitations are described via the corresponding distribution functions



Time-dep. Boltzmann equation (TDBE)

$$\frac{\partial f_{n\mathbf{k}}}{\partial t} = I_{n\mathbf{k}}^{\text{e-ph}}[f, n] + \cancel{I_{n\mathbf{k}}^{\text{light}}[f]} + \cancel{I_{n\mathbf{k}}^{\text{e-e}}[f]}$$

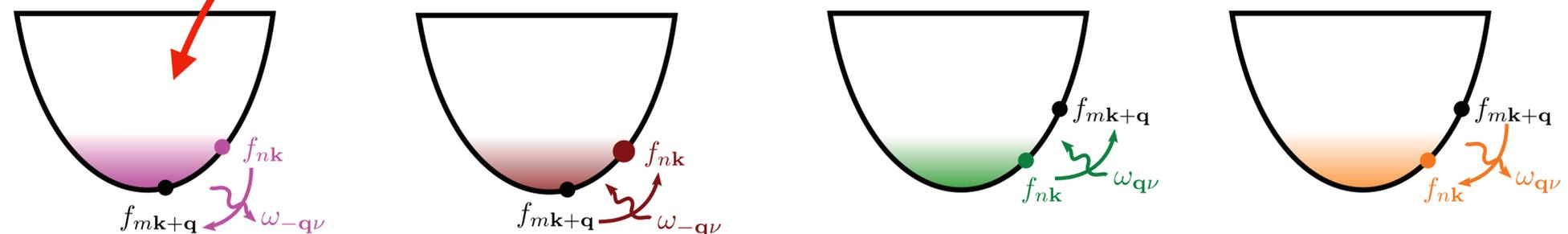
$$\frac{\partial n_{\mathbf{q}\nu}}{\partial t} = I_{\mathbf{q}\nu}^{\text{e-ph}}[f, n] + I_{\mathbf{q}\nu}^{\text{ph-ph}}[n]$$

- solved via Euler or Runge-Kutta algorithms.
- scattering rates are obtained ab initio

Example: electron-phonon scattering rate

$$I_{n\mathbf{k}}^{\text{e-ph}}[f, n] = \frac{2\pi}{\hbar} \sum_{m\nu} \int \frac{d\mathbf{q}}{\Omega_{\text{BZ}}} |g_{m\nu}(\mathbf{k}, \mathbf{q})|^2 \quad \text{electron-phonon matrix element}$$

$$\times \left\{ (1 - f_{n\mathbf{k}}) f_{m\mathbf{k}+\mathbf{q}} \delta(\varepsilon_{n\mathbf{k}} - \varepsilon_{m\mathbf{k}+\mathbf{q}} + \hbar\omega_{\mathbf{q}\nu})(1 + n_{\mathbf{q}\nu}) \right. \\ \left. + (1 - f_{n\mathbf{k}}) f_{m\mathbf{k}+\mathbf{q}} \delta(\varepsilon_{n\mathbf{k}} - \varepsilon_{m\mathbf{k}+\mathbf{q}} - \hbar\omega_{\mathbf{q}\nu}) n_{\mathbf{q}\nu} \right. \\ \left. - f_{n\mathbf{k}} (1 - f_{m\mathbf{k}+\mathbf{q}}) \delta(\varepsilon_{n\mathbf{k}} - \varepsilon_{m\mathbf{k}+\mathbf{q}} - \hbar\omega_{\mathbf{q}\nu})(1 + n_{\mathbf{q}\nu}) \right. \\ \left. - f_{n\mathbf{k}} (1 - f_{m\mathbf{k}+\mathbf{q}}) \delta(\varepsilon_{n\mathbf{k}} - \varepsilon_{m\mathbf{k}+\mathbf{q}} + \hbar\omega_{\mathbf{q}\nu}) n_{\mathbf{q}\nu} \right\}$$

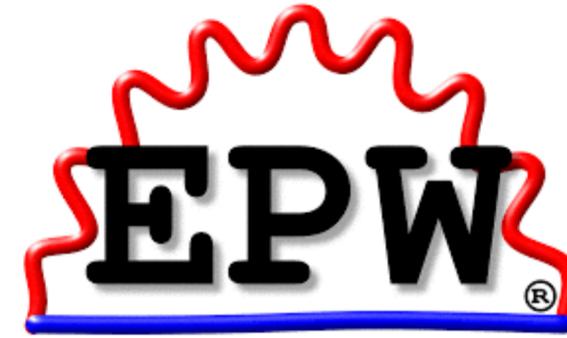


Ultrafast dynamics from first principles

WANNIER90

Wannier-function interpolation

G. Pizzi et al.,
J. Phys. Cond. Matt. 32, 165902 (2020)



Electron-phonon coupling

S. Ponc e et al.,
Comp. Phys. Comm. (2017)

Coupled-dynamics of electrons and phonons

$$\frac{\partial f_{n\mathbf{k}}}{\partial t} = I_{n\mathbf{k}}^{\text{e-ph}}[f, n]$$
$$\frac{\partial n_{\mathbf{q}\nu}}{\partial t} = I_{\mathbf{q}\nu}^{\text{e-ph}}[f, n] + I_{\mathbf{q}\nu}^{\text{ph-ph}}[n]$$



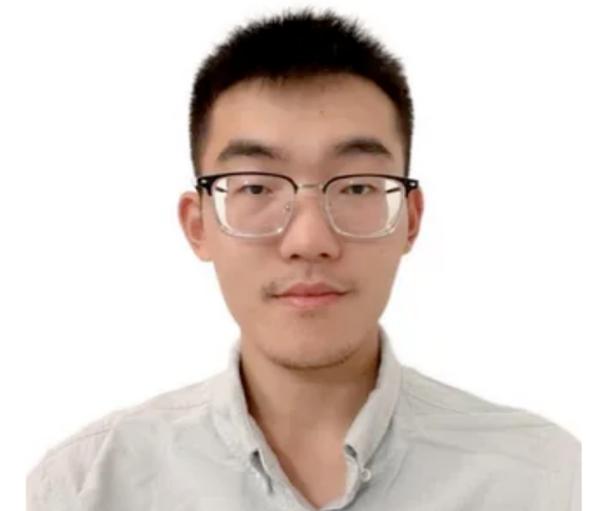
Density functional theory

P. Giannozzi et al.,
J. Phys.: Condens. Matter 29, 465901 (2017)



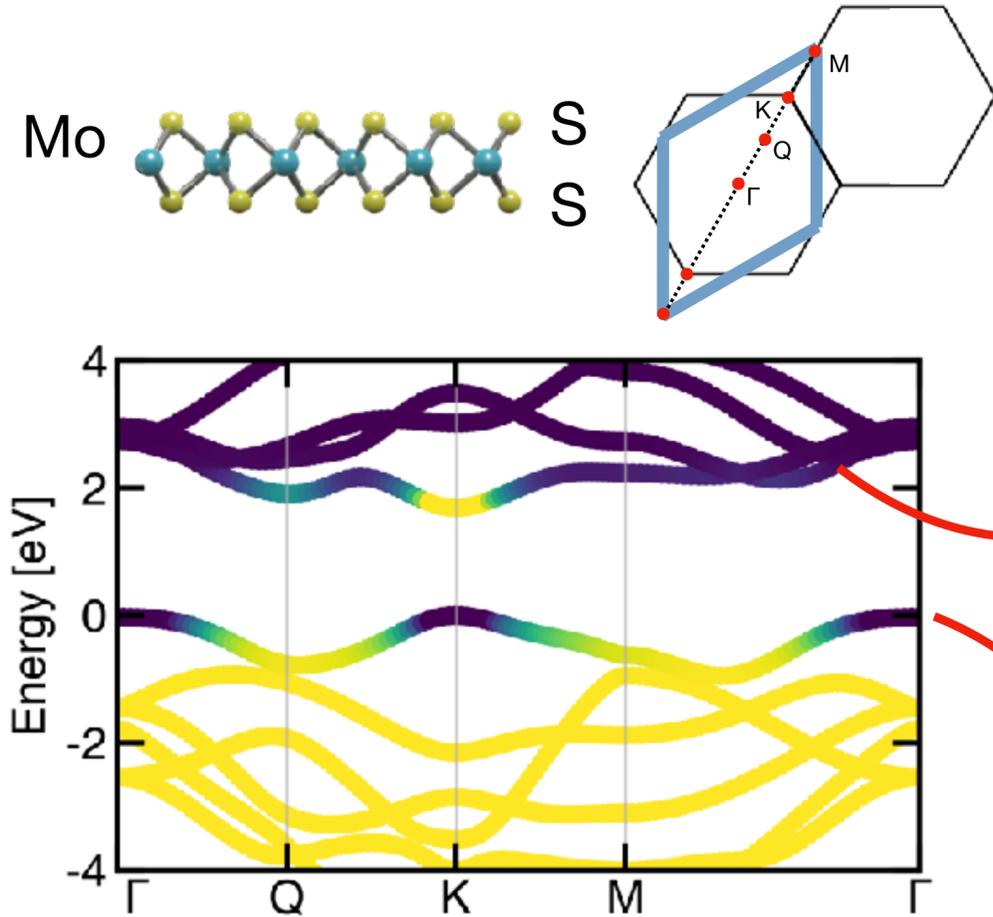
Third-order force constant

W. Li et al., Comp. Phys. Comm. 185,
1747 (2014)

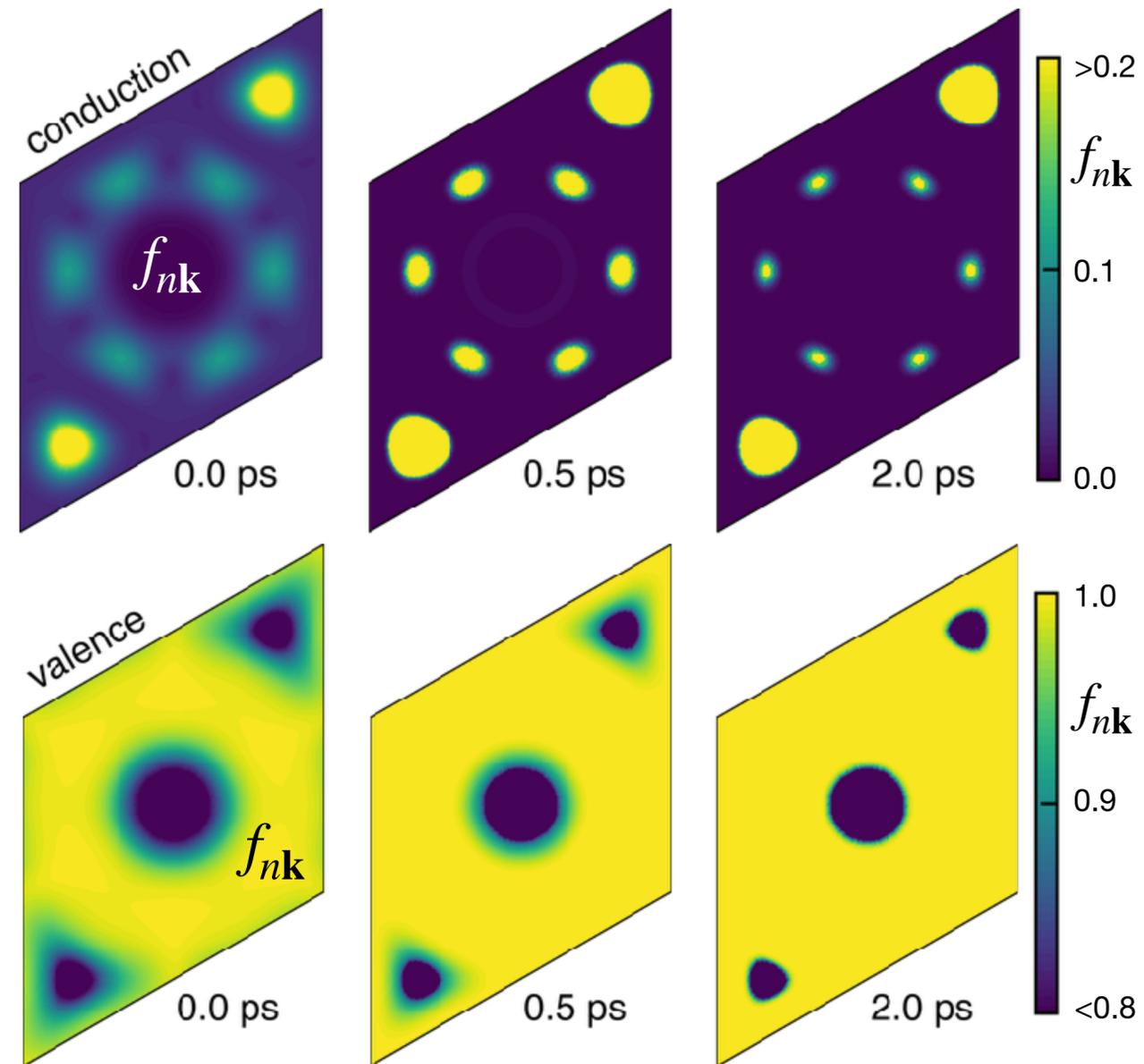


Yiming Pan

Nonequilibrium ELECTRON dynamics in monolayer MoS₂



Electron and hole occupation in the Brillouin zone



Estimated timescales
for electron relaxation: < 2 ps

Experiments from (*)
(fs-electron diffraction): 1.7 ± 0.3 ps

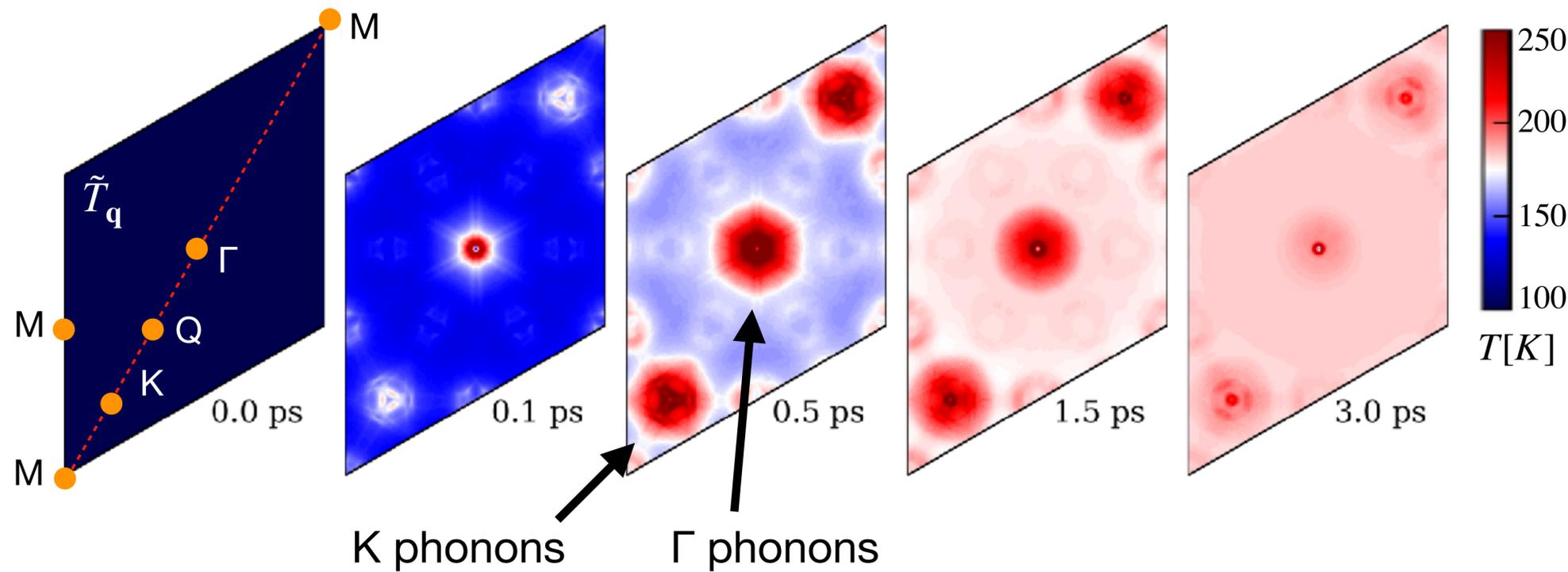
(*) Mannebach et al., Nano Lett. 15, 6889 (2015)

electrons
 holes

$$\frac{\partial f_{n\mathbf{k}}}{\partial t} = I_{n\mathbf{k}}^{\text{e-ph}}[f, n]$$

Nonequilibrium PHONON dynamics in monolayer MoS₂

Phonon TEMPERATURE in the Brillouin zone

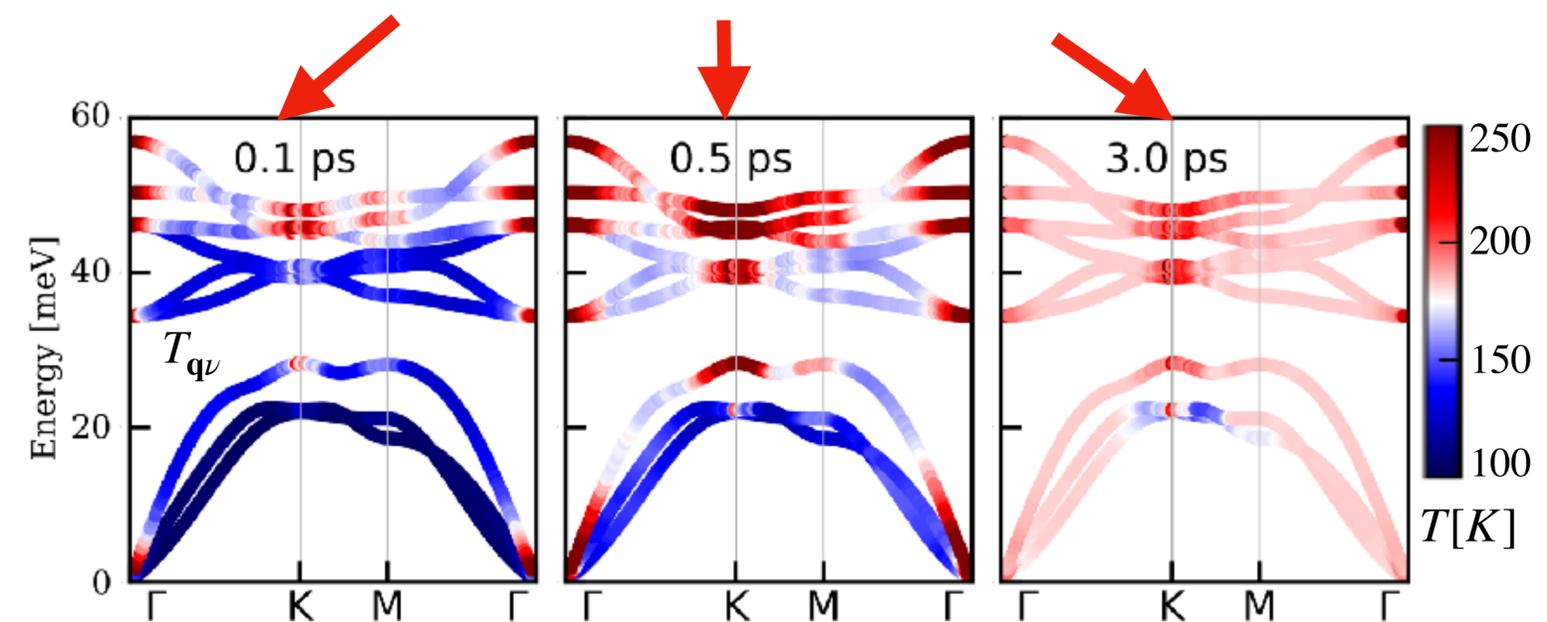
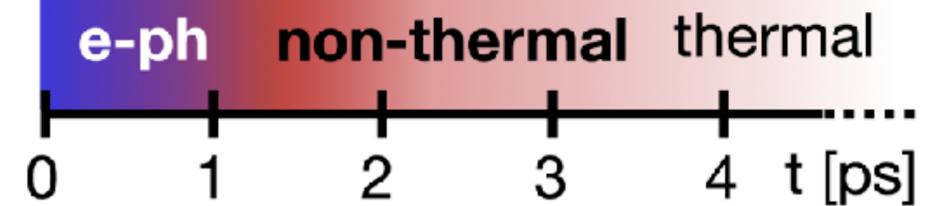
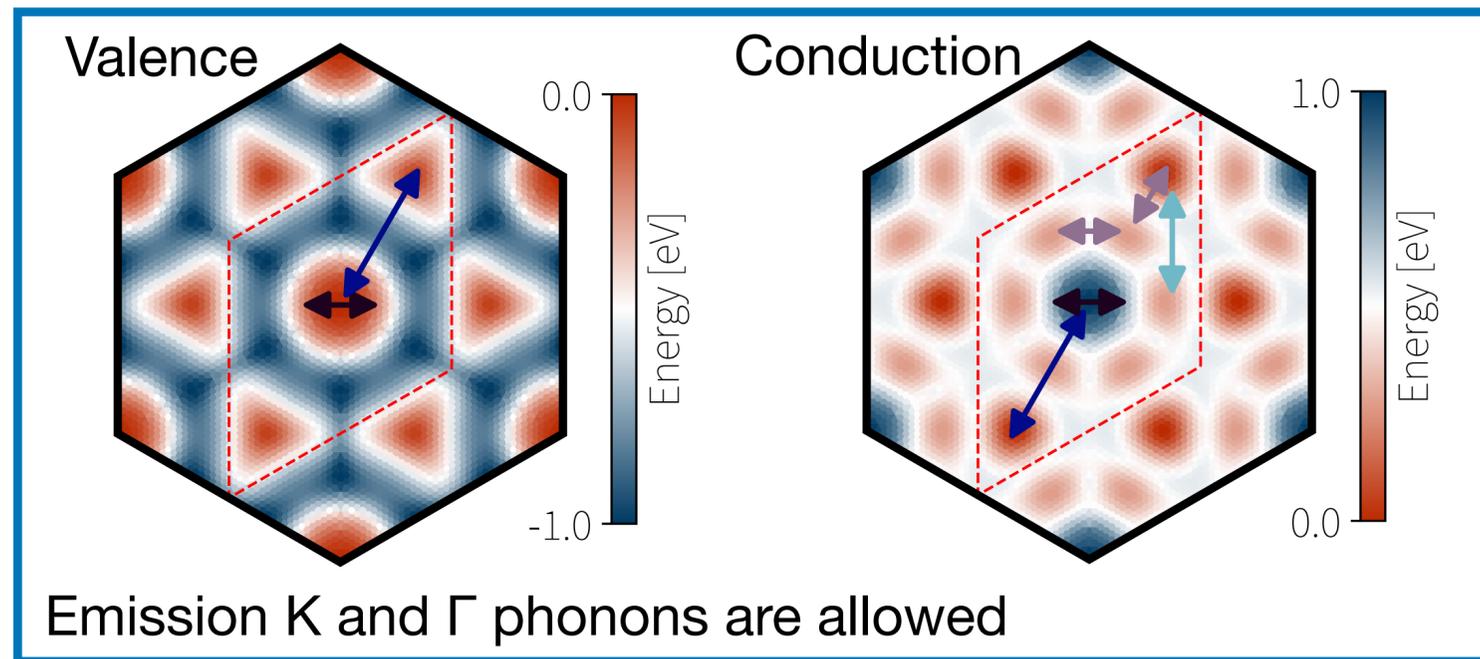


Phonon temperature

$$T_{\mathbf{q}\nu} = \hbar\omega_{\mathbf{q}\nu} [k_B \ln(1 + n_{\mathbf{q}\nu})]^{-1}$$

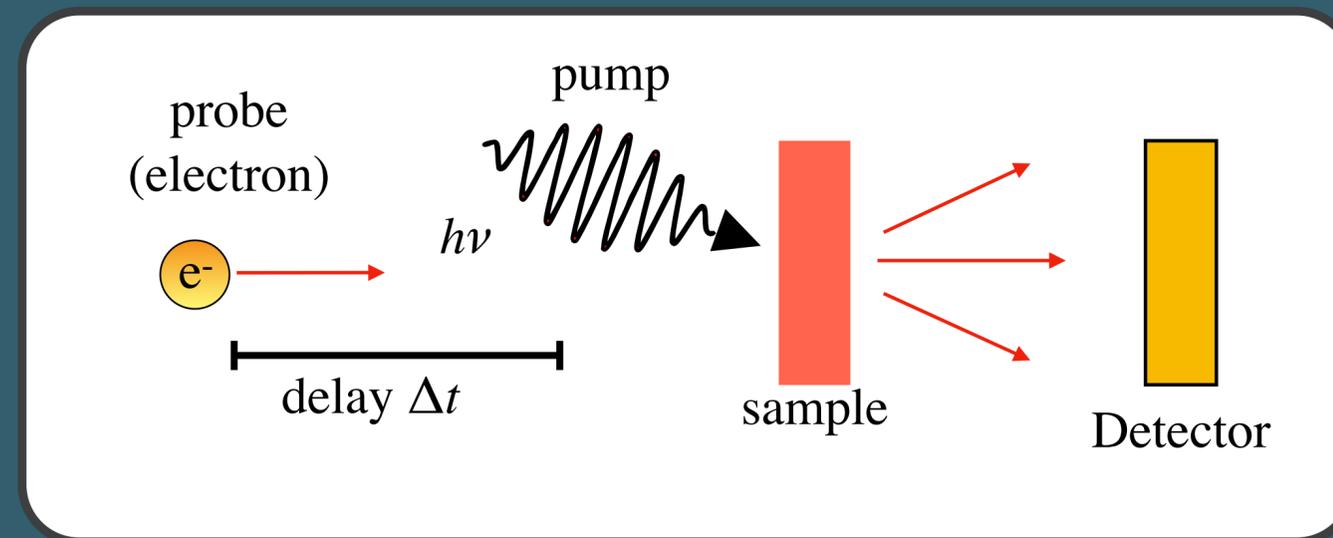
(averaged for all phonon polarizations)

Momentum selectivity in the phonon emission:



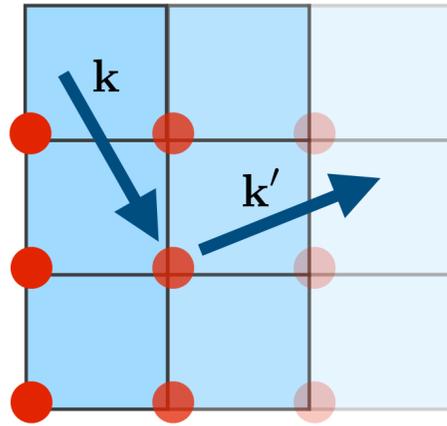
Part 2

Direct imaging non-equilibrium phonon populations via ultrafast electron diffuse scattering (UEDS)



A crash course in the theory diffraction

**Static lattice
(1 atom per cell)**



Bragg's law:

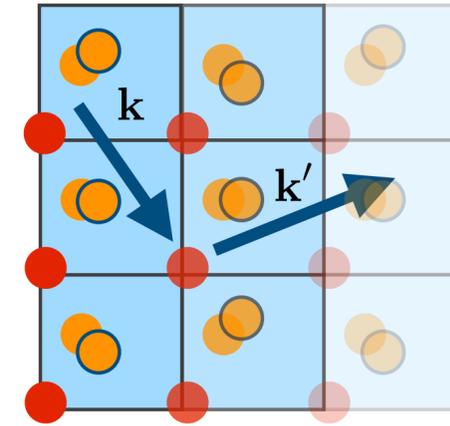
$$A(\mathbf{q}) = \sum_p^{N_p} f_0 \exp [i\mathbf{q} \cdot \mathbf{R}_p]$$

amplitude

Scattering
cross section

Lattice
vector

**Vibrating lattice
(>1 atom per cell)**



$$I(\mathbf{Q}, \tau) = I_0(\mathbf{Q}, \tau) + I_1(\mathbf{Q}, \tau) + \dots$$

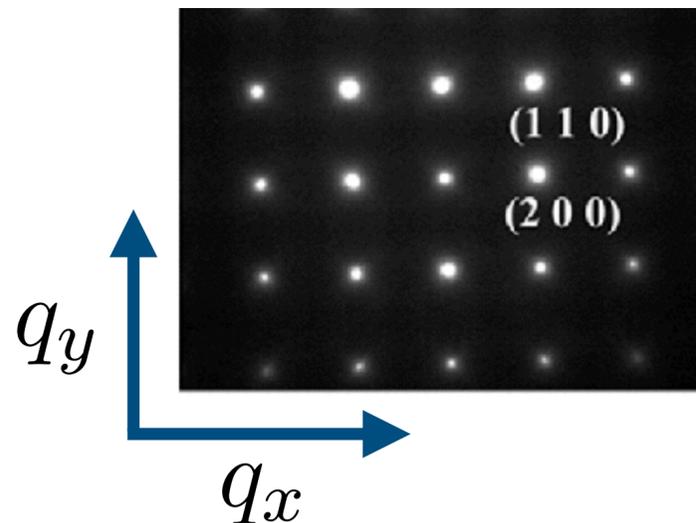
Zero-phonon

One-phonon

Scattering intensity for
a perfect lattice:

$$I(\mathbf{q}) = |A(\mathbf{q})|^2 \simeq \delta_{\mathbf{q}, \mathbf{G}}$$

example: Cubic lattice



Reciprocal lattice
vector

Zero-phonon term:

$$\langle I_0(\mathbf{S}) \rangle_T = N_p^2 |f_0|^2 \exp(-2W_T) \delta_{\mathbf{S}, \mathbf{G}}$$

One-phonon term:

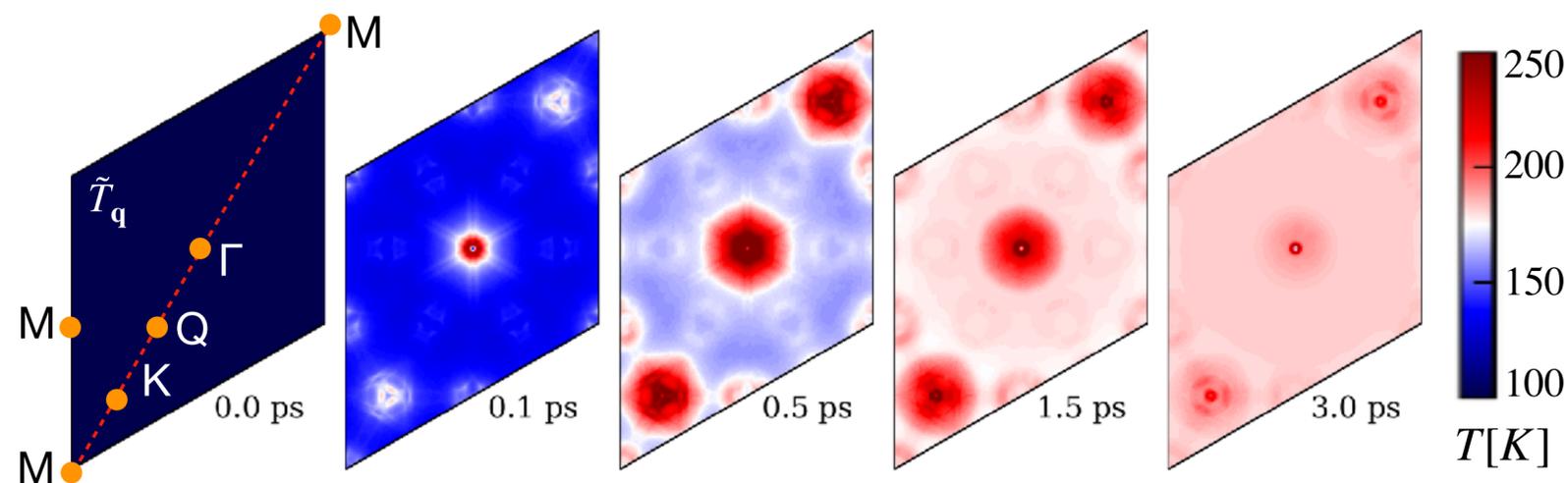
$$\langle I_1(\mathbf{S}, E) \rangle_T = |f_0|^2 \exp(-2W_T) \frac{\hbar^2 N_p}{2M_\kappa} \sum_{\mathbf{q}\nu} \left[\sum_{\alpha\alpha'} S_\alpha S_{\alpha'} e_{\kappa\alpha}^{\nu}(\mathbf{q}) e_{\kappa\alpha'}^{\nu*}(\mathbf{q}) \right] \frac{1}{\hbar\omega_{\mathbf{q}\nu}} \quad (16)$$

$$\times [\delta(\mathbf{S} + \mathbf{q}) n_{\mathbf{q}\nu, T} \delta(E + \hbar\omega_{\mathbf{q}\nu}) + \delta(\mathbf{S} - \mathbf{q}) (n_{\mathbf{q}\nu, T} + 1) \delta(E - \hbar\omega_{\mathbf{q}\nu})].$$

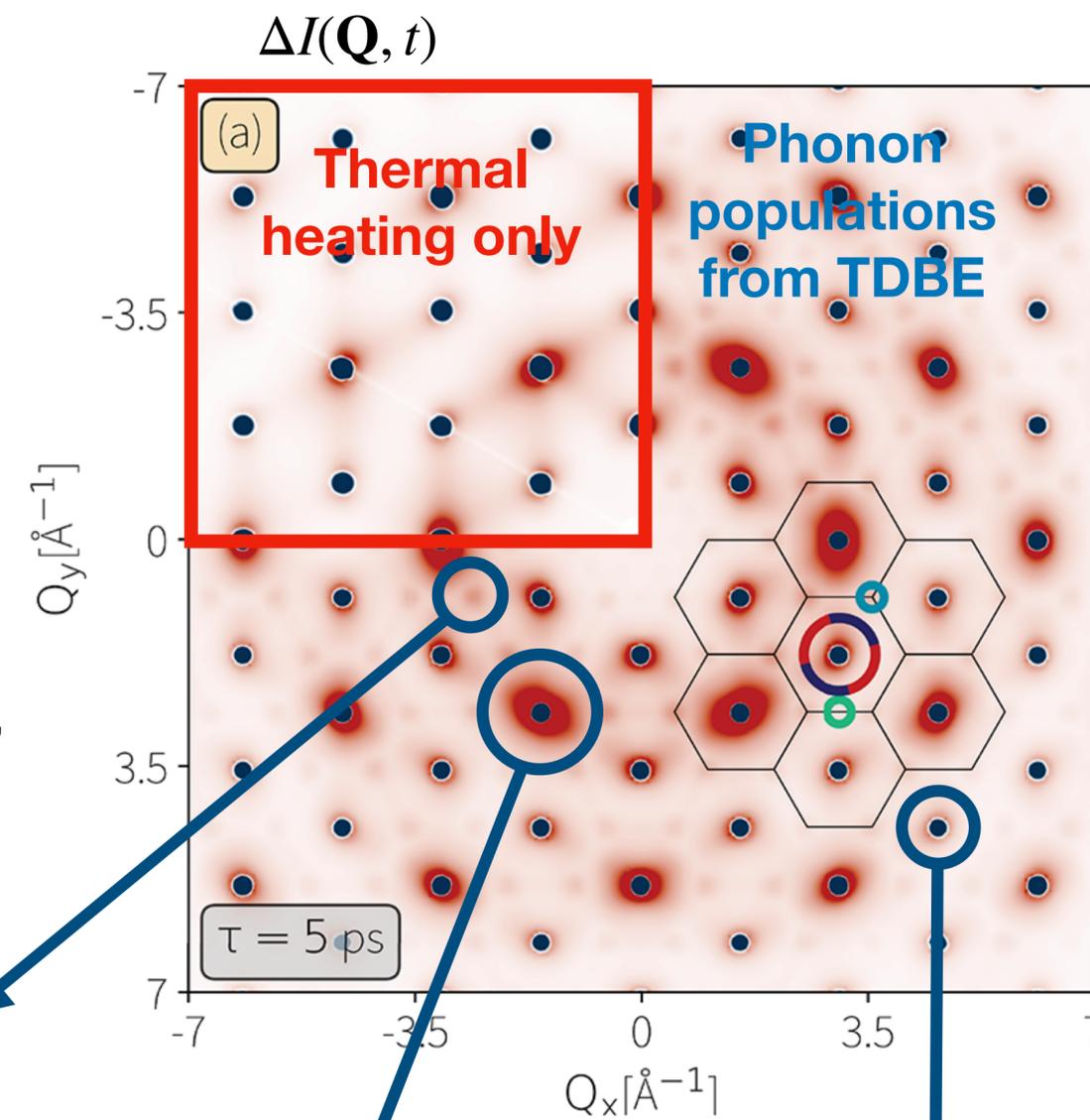
phonon occupation
(available from the TDBE)

Recipe for ab-initio simulation of UEDS intensities

Step 1: Obtain the non-equilibrium phonon population from the TDBE



Simulated UEDS for monolayer MoS₂



Step 2: Evaluate the structure factor for the instantaneous phonon population



$$I(\mathbf{Q}, \tau) = I_0(\mathbf{Q}, \tau) + I_1(\mathbf{Q}, \tau) + \dots$$

M. Zacharias, H. Seiler, F. Caruso et al.,
 Phys. Rev. Lett. **127**, 207401 (2021)
 Phys. Rev. B **104**, 205109 (2021)

Zero-phonon

One-phonon

Step 3: Subtract the initial structure factor

Intensity difference:

$$\Delta I(\mathbf{Q}, t) = I(\mathbf{Q}, t) - I(\mathbf{Q}, t = 0)$$

phonons out of equilibrium

thermal heating

Debye-Waller effect

Direct view of phonon dynamics in MoS₂ monolayer

Experiments

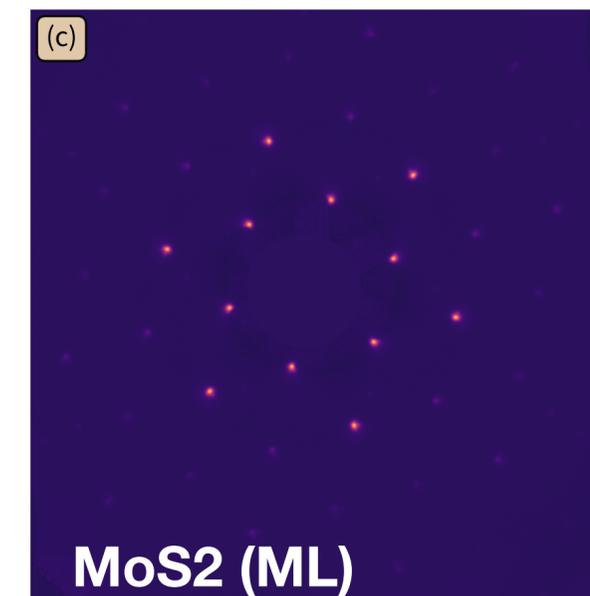
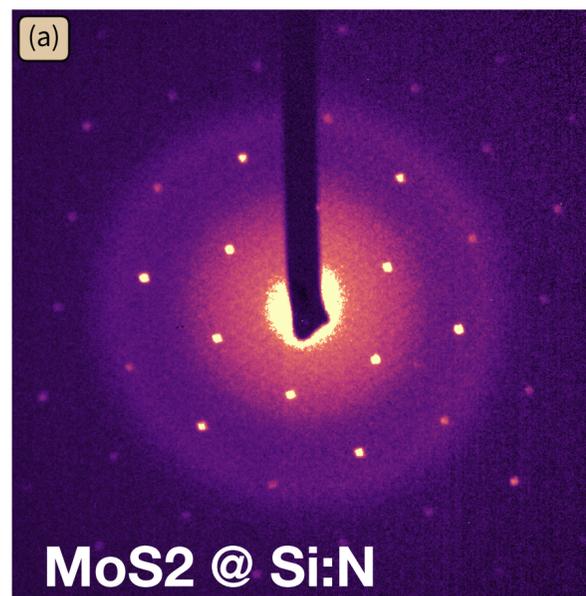


Tristan Britt

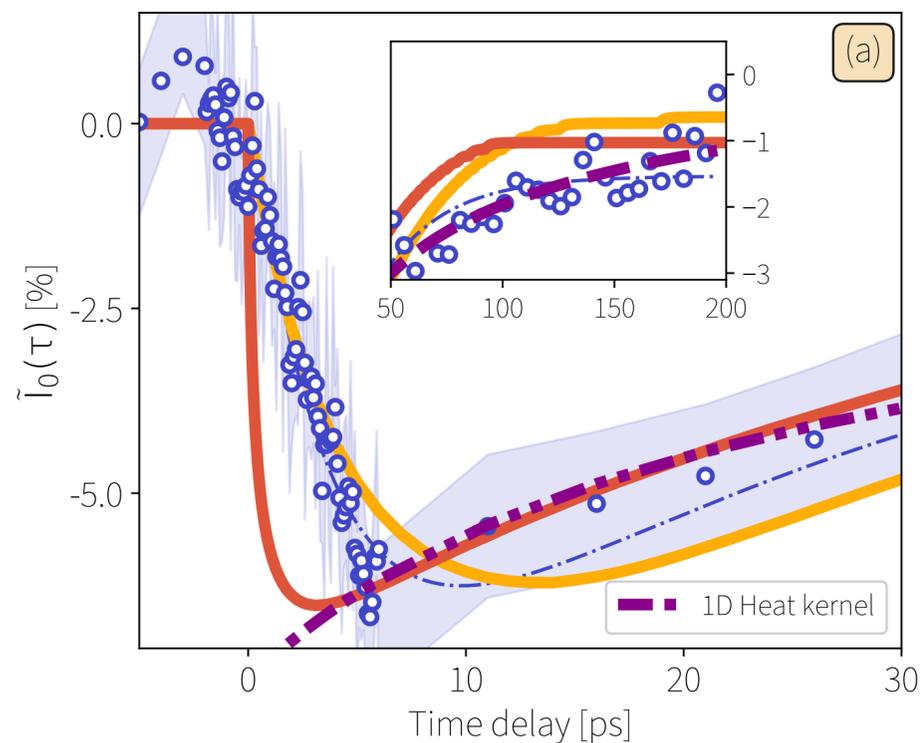


Bradley Siwick

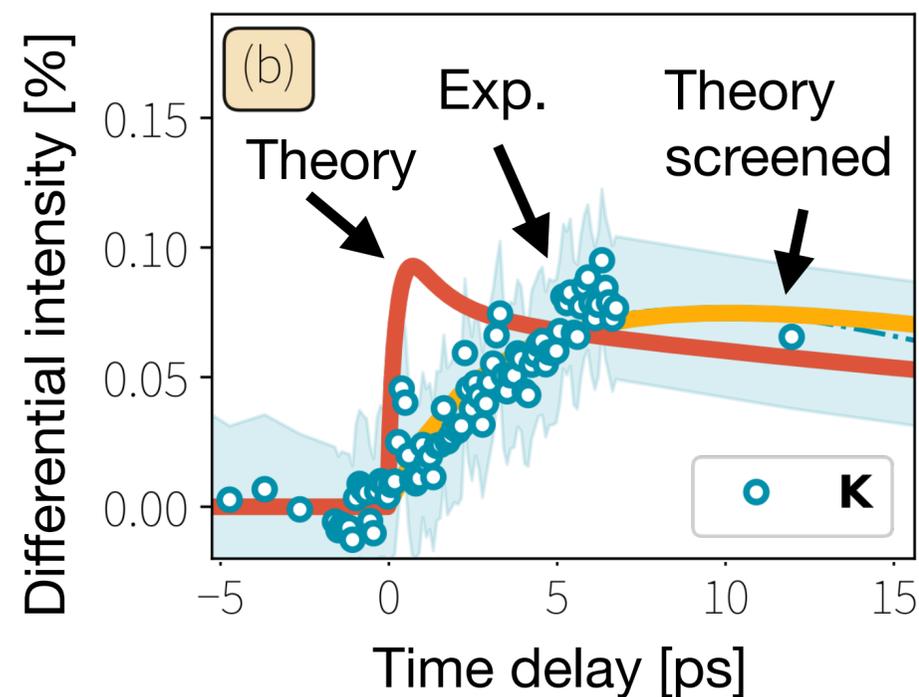
(McGill University)



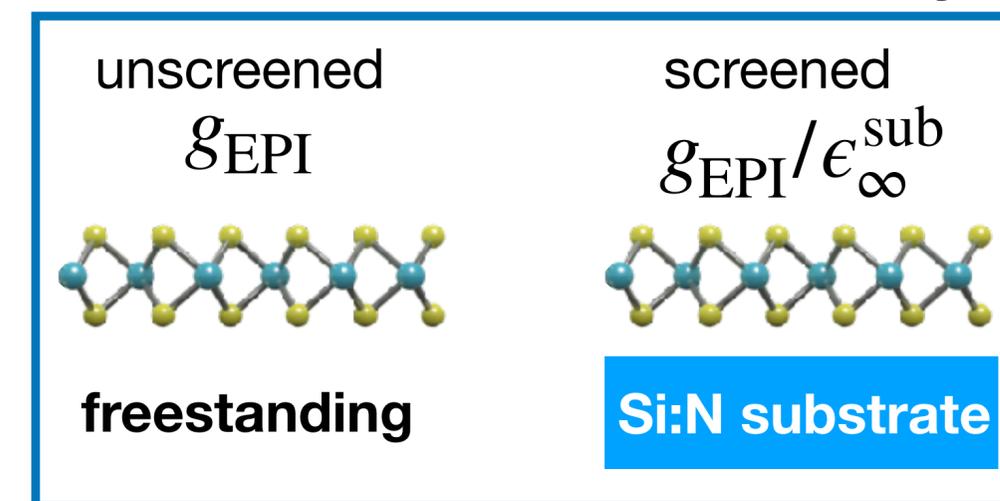
Bragg peak dynamics (Debye Waller effect)



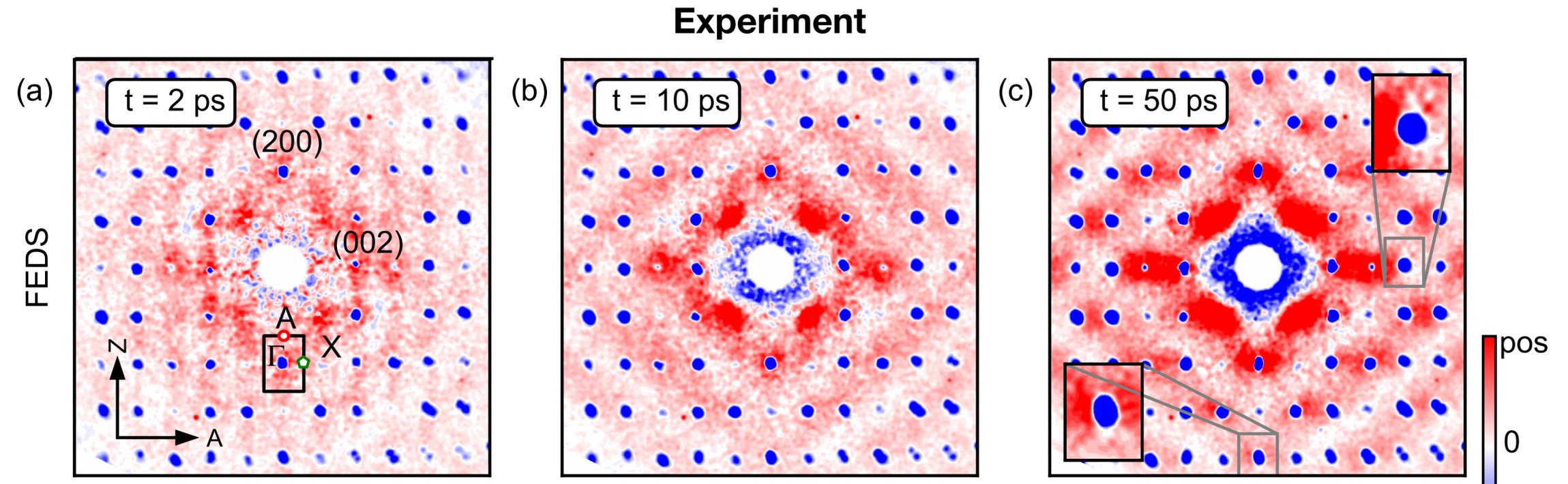
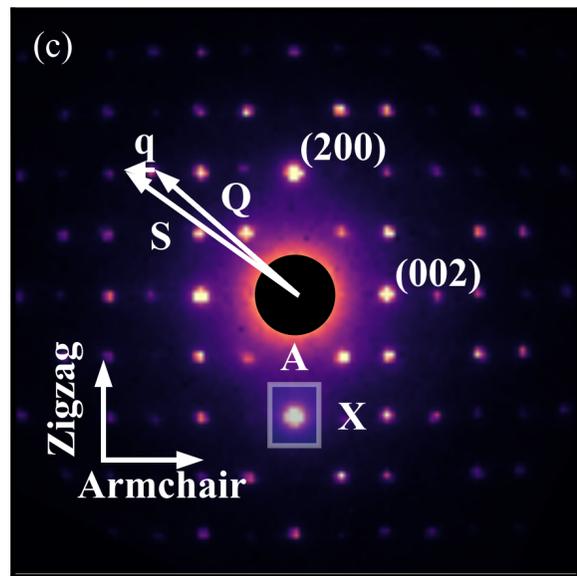
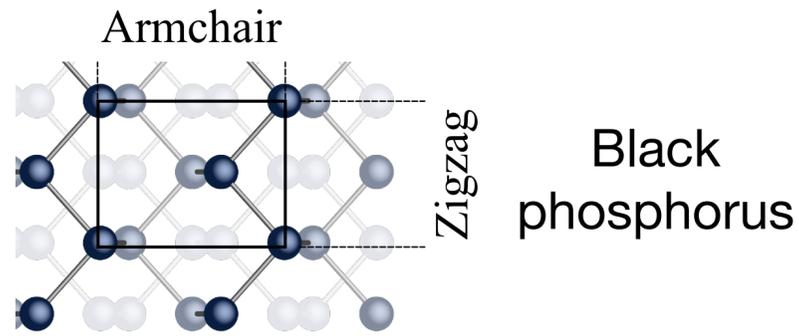
Diffuse scattering at K



Measured energy transfer to the lattice: ~7 times slower than theory.



Ultrafast electron diffuse scattering: black Phosphorus



Experiments: FHI Berlin



Helene
Seiler

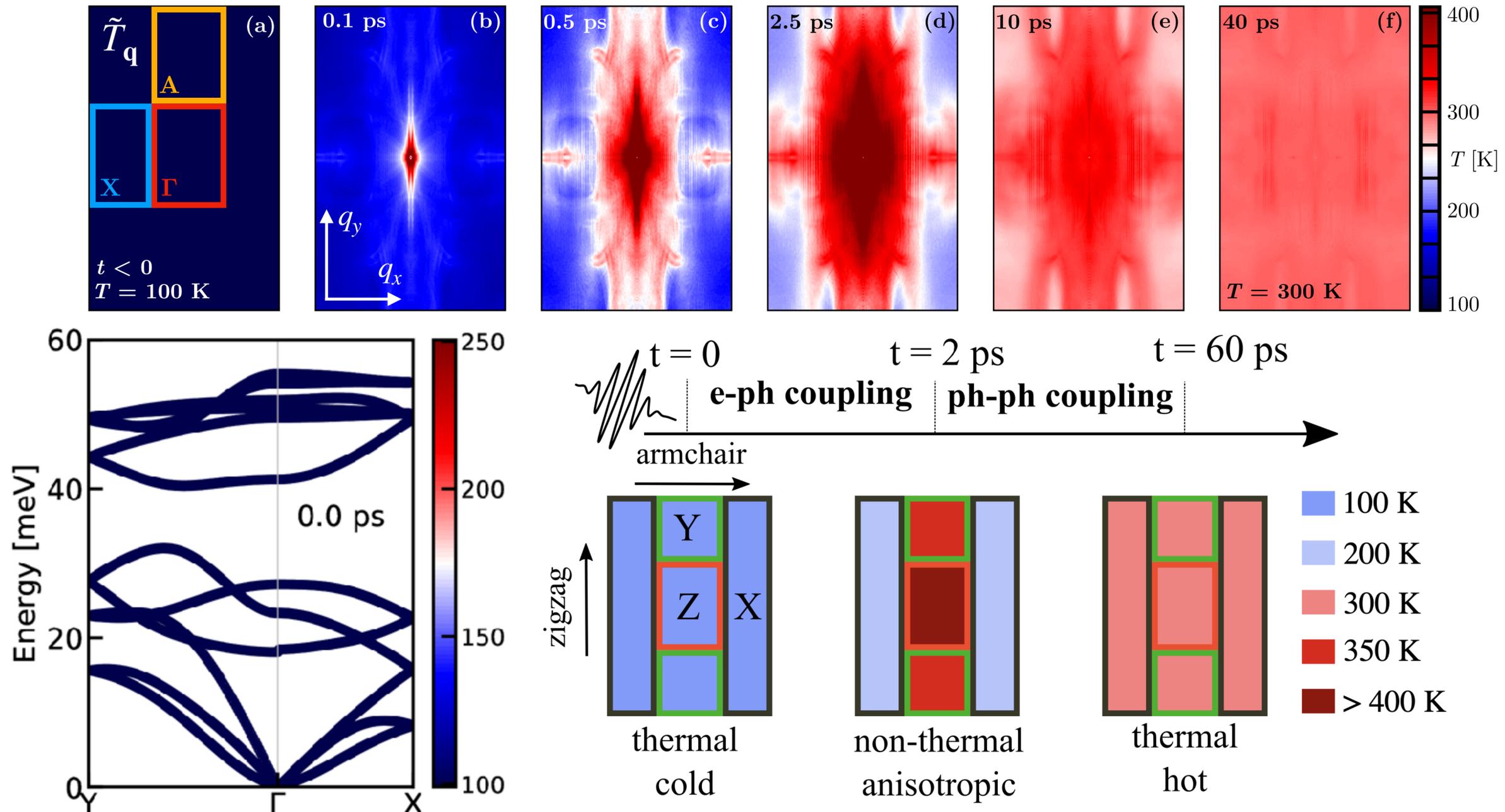


Ralph
Ernstorfer

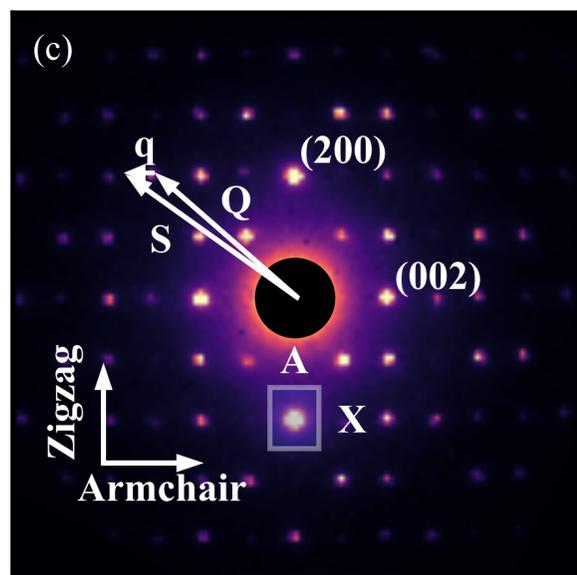
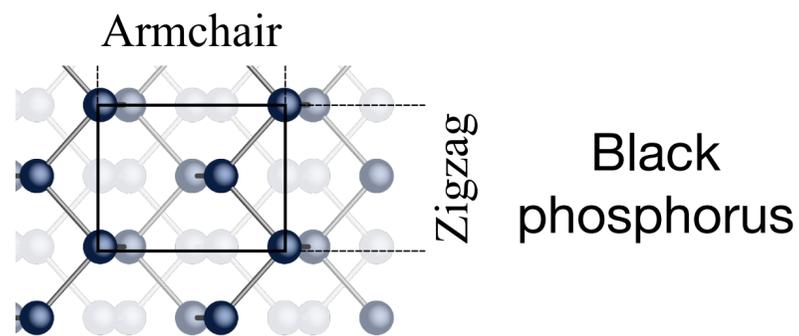
Non-equilibrium lattice dynamics in bP from first-principles

$$\frac{\partial n_{\mathbf{q}\nu}}{\partial t} = I_{\mathbf{q}\nu}^{\text{e-ph}}[f, n] + I_{\mathbf{q}\nu}^{\text{ph-ph}}[n]$$

Effective vibrational temperature



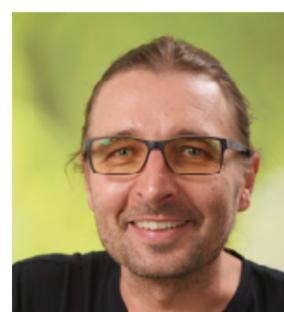
Ultrafast electron diffuse scattering: black Phosphorus



Experiments: FHI Berlin

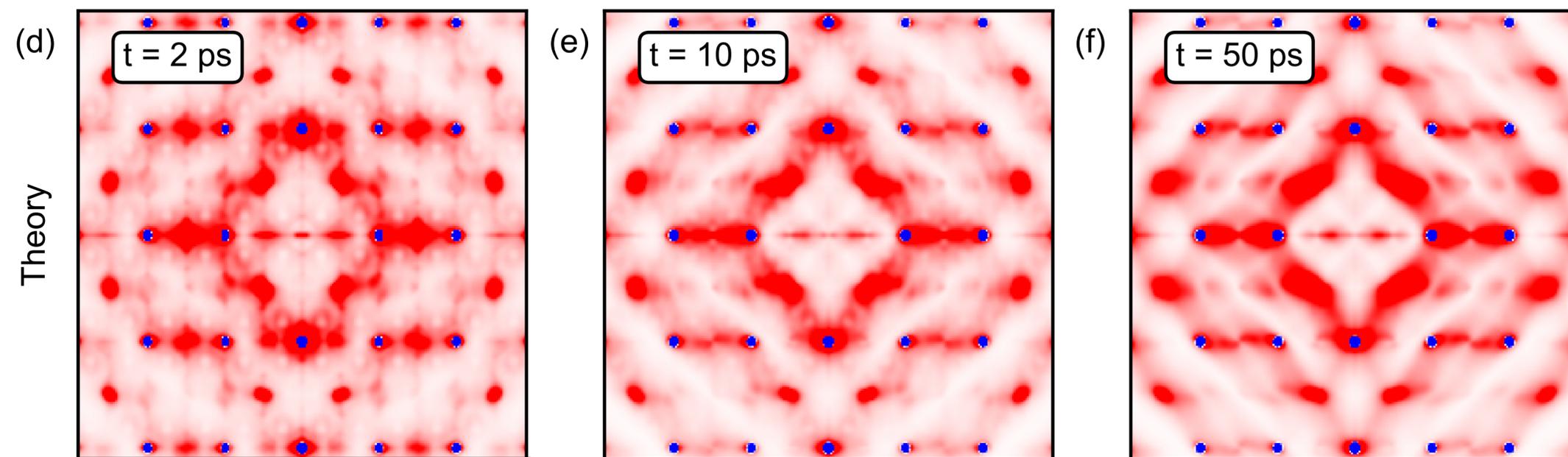
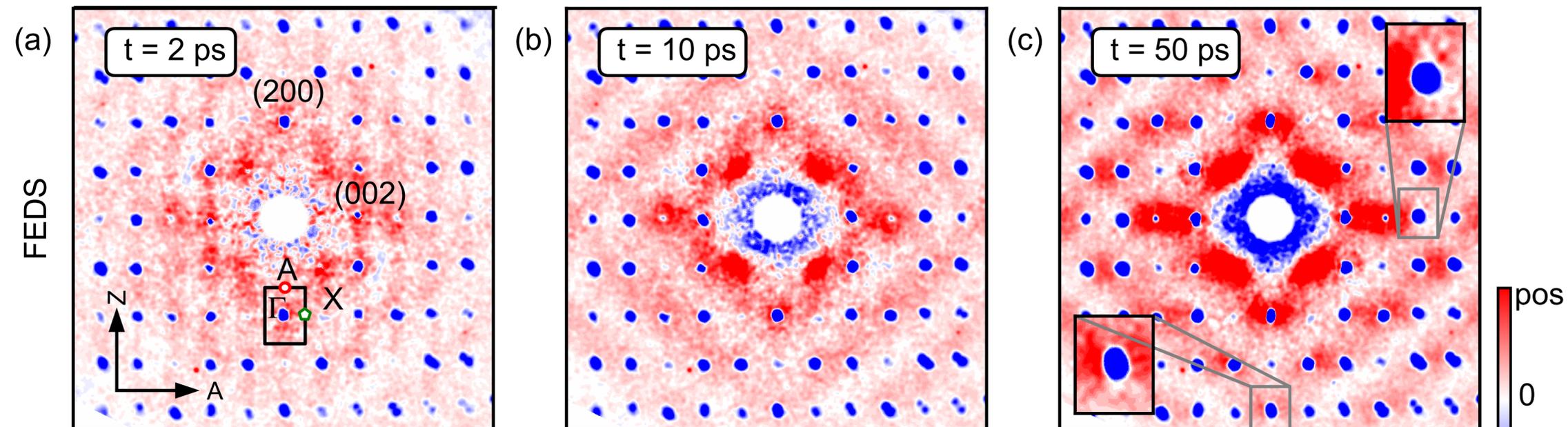


Helene Seiler



Ralph Ernstorfer

Experiment



Theory

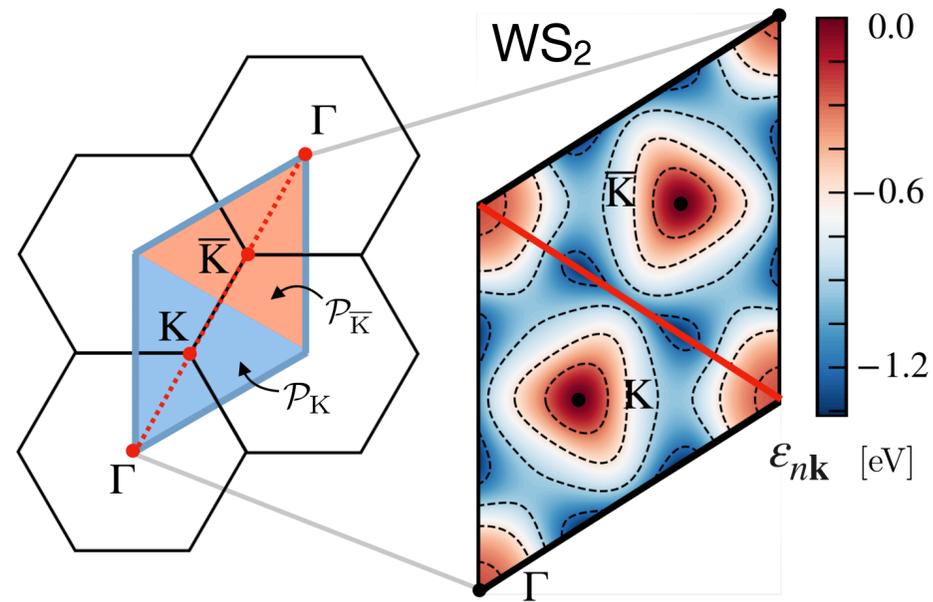
Part 3

**Valley-selective circular dichroism in WS₂
and chiral phonon dynamics**

(Outlook)

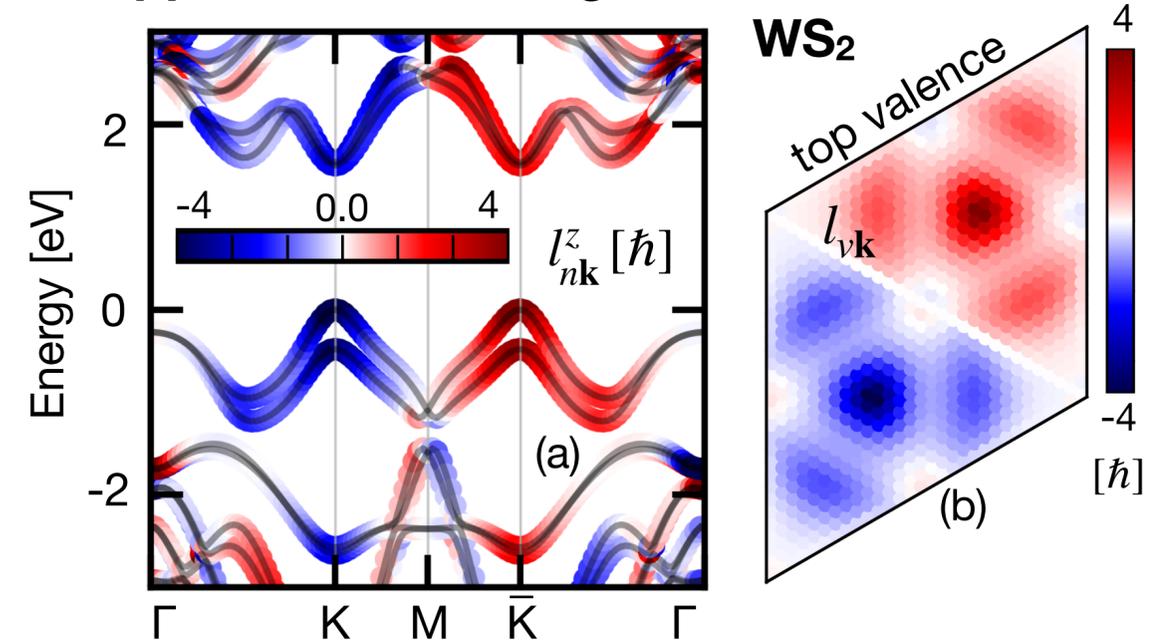
Valley dichroism in transition metal dichalchogenide monolayers

Non-centrosymmetric honeycomb lattices

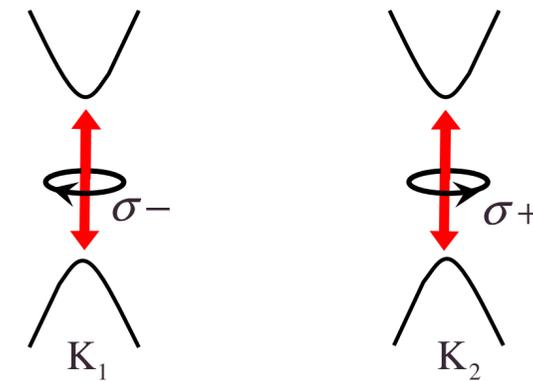


- Twofold degeneracy at the high-symmetry points K and -K
- K and -K are inequivalent in absence of an inversion center

1. Opposite Orbital angular momentum at K and -K



2. Valley-selective circular dichroism



Yao, Xiao, Niu, PRB **77**, 235406 (2008)
 Zeng et al., Nature Nanotec. **7**, 490 (2012)
 Souza, Vanderbilt, PRB **77**, 054438 (2008)

Ab-initio theory of valley-selective circular dichroism & valley excitons

BSE 2-particle Hamiltonian eigenvectors eigenvalues

Bethe-Salpeter equation:

$$H_{v\mathbf{c}\mathbf{k},v'\mathbf{c}'\mathbf{k}'} A_{v'\mathbf{c}'\mathbf{k}'}^\lambda = E^\lambda A_{v\mathbf{c}\mathbf{k}}^\lambda$$

$$A_{v\mathbf{c}\mathbf{k}}^\lambda = \langle \psi_{v\mathbf{k}}^h \psi_{\mathbf{c}\mathbf{k}}^e | \psi_\lambda \rangle$$

**Imaginary part of the dielectric function
(optical absorption):**

$$\varepsilon_2(\omega) \propto \sum_{\lambda} \left| \hat{\epsilon} \cdot \mathbf{t}^\lambda \right|^2 \delta(E^\lambda - \hbar\omega)$$

exciton eigenstates

$$|\lambda\rangle = \sum_{v\mathbf{c}\mathbf{k}} A_{v\mathbf{c}\mathbf{k}}^\lambda |v_{\mathbf{k}}c_{\mathbf{k}}\rangle$$

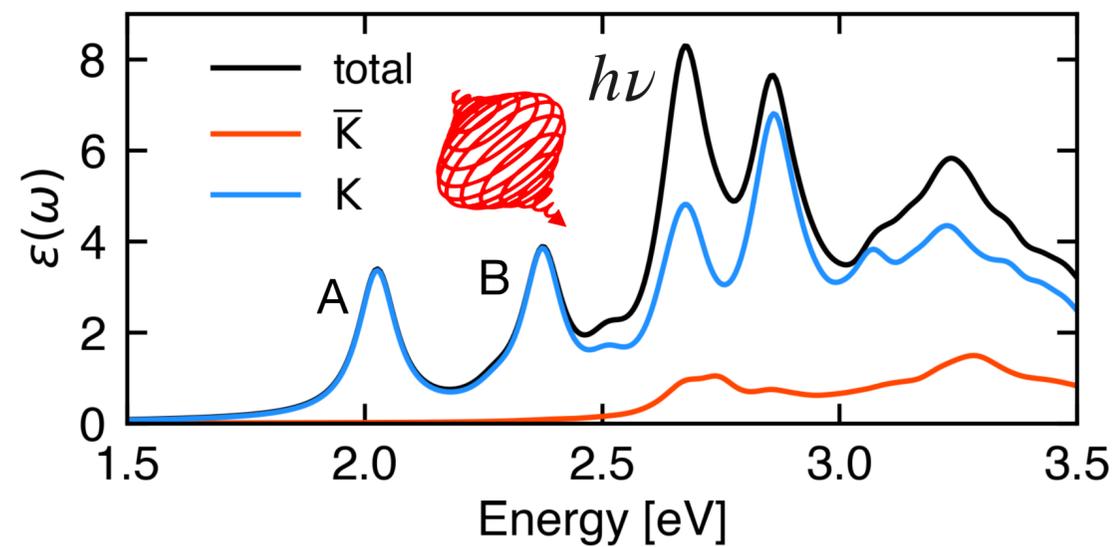
**Recipe for ab-initio calculation
of valley excitons:**

1. Explicit treatment of valley degrees of freedom
2. Account for the circular-polarization vector of light

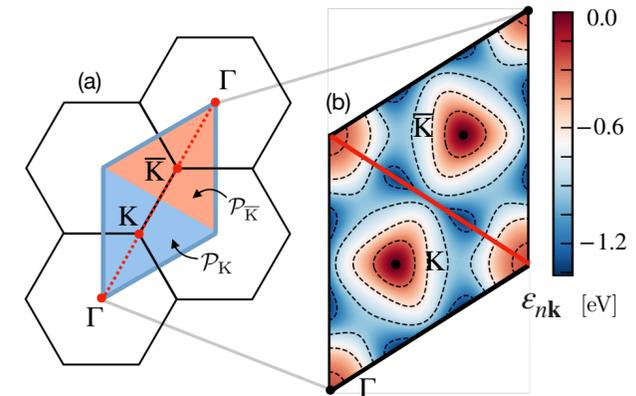
$$\hat{\epsilon} = 1/\sqrt{2}(\hat{x} \pm \hat{y})$$

Ab-initio description of valley excitons in WS₂

Formation of valley excitons upon absorption of light with circular polarization



Circular polar.



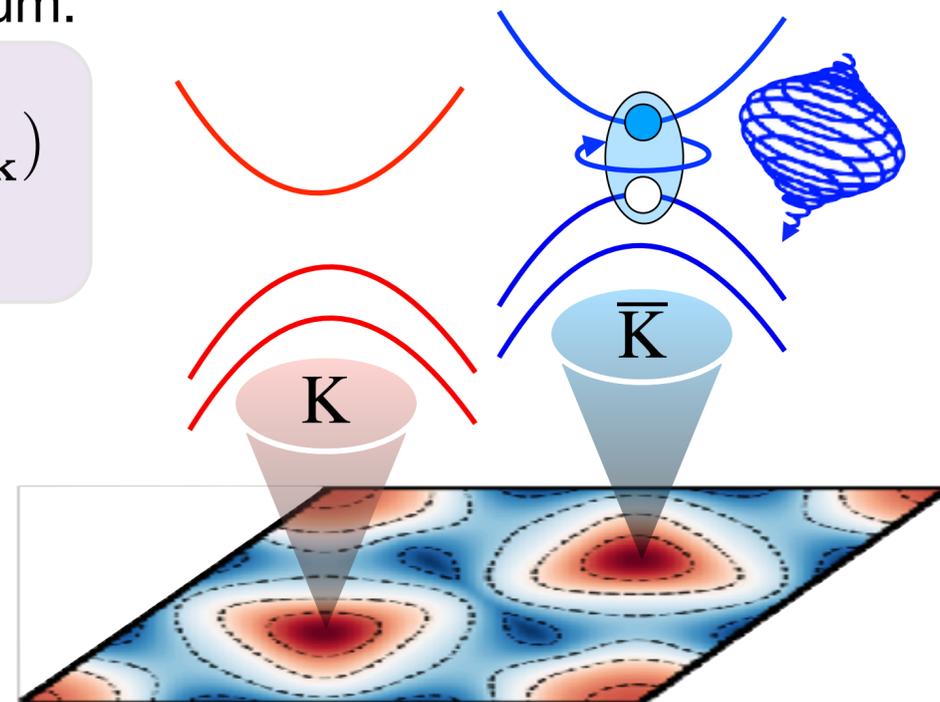
Exciton orbital angular momentum:

$$L_{\lambda}^z = \sum_{v\mathbf{k}} |A_{v\mathbf{k}}^{\lambda}|^2 (l_{c\mathbf{k}}^z + l_{v-\mathbf{k}}^z)$$

Excitons inherit the OAM from the underlying band structure

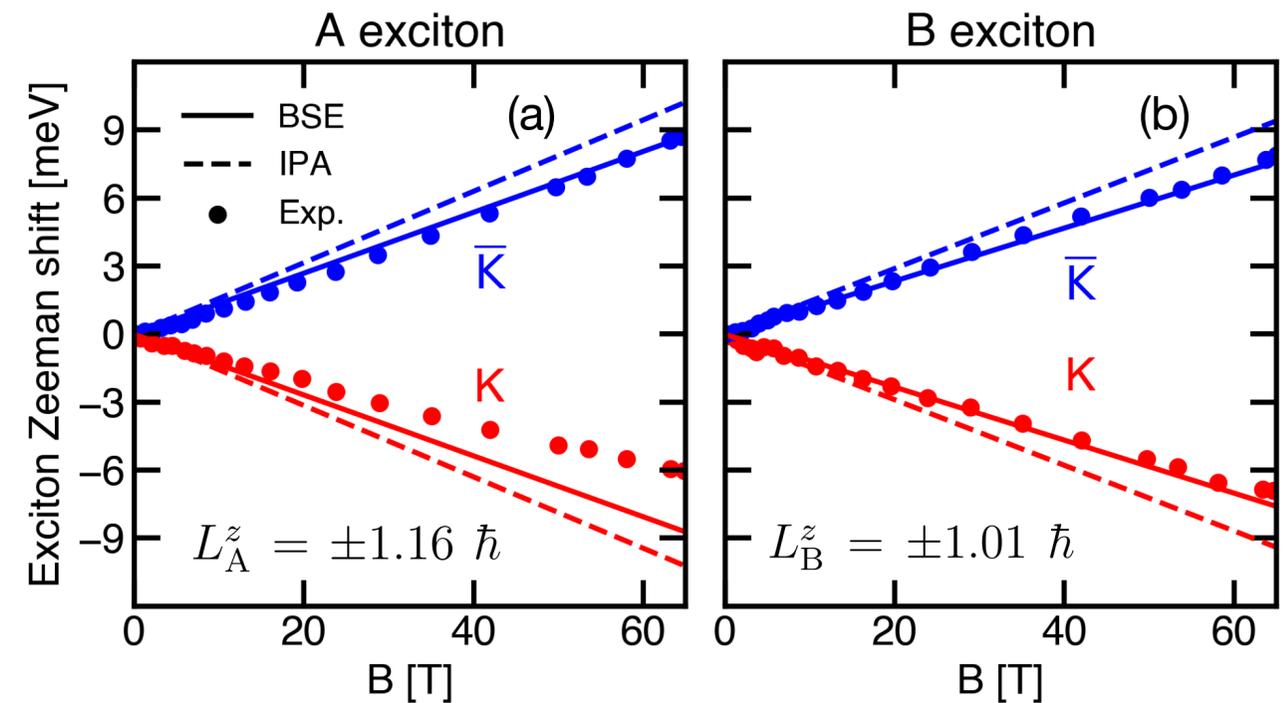
$$L_A^z = \pm 1.16 \hbar$$

$$L_B^z = \pm 1.01 \hbar$$

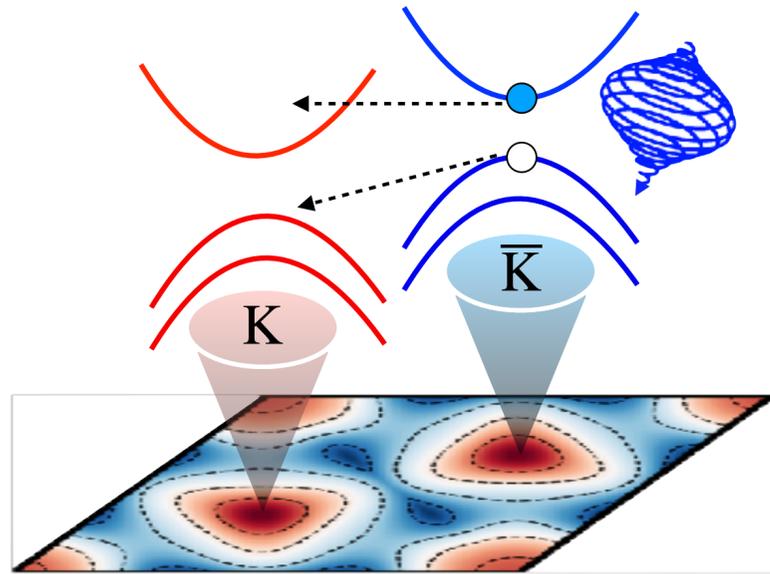


Zeeman splitting in a magnetic field

$$\Delta E_b = -\mathbf{M}_{\lambda} \cdot \mathbf{B}$$



Chiral phonon excitation upon valley depolarization

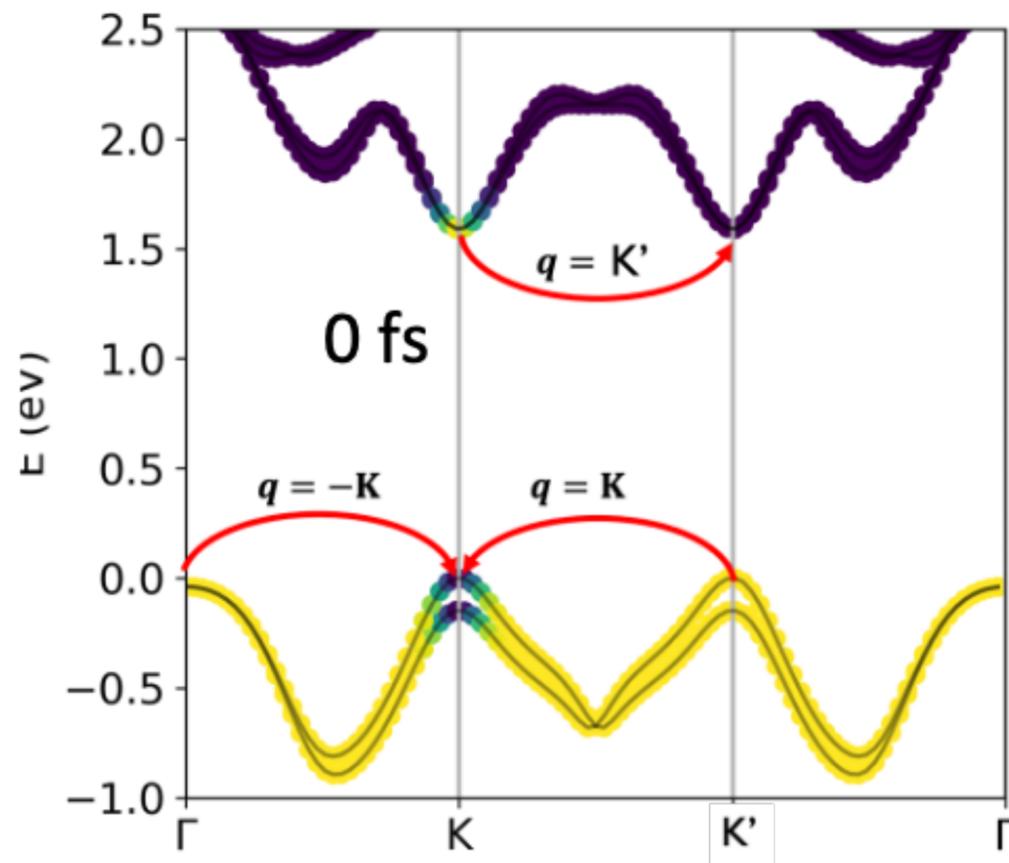


Open questions:

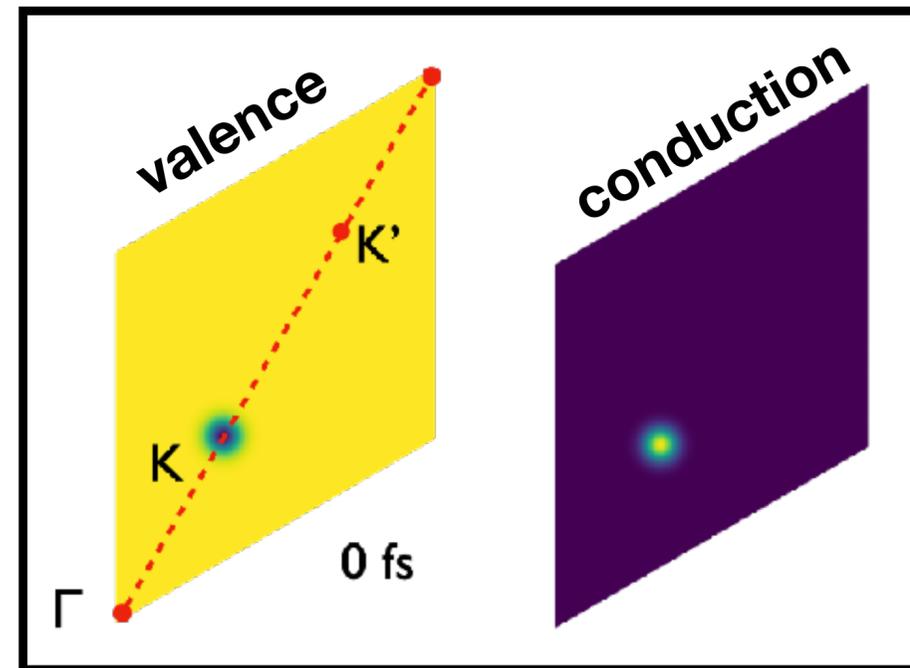
- Q1:** Phonon population established upon valley depolarization?
- Q2:** Selection rules?
- Q3:** Phonon angular momentum (PAM) and chiral phonons?
- Q4:** Time-scales of PAM transfer and decay?



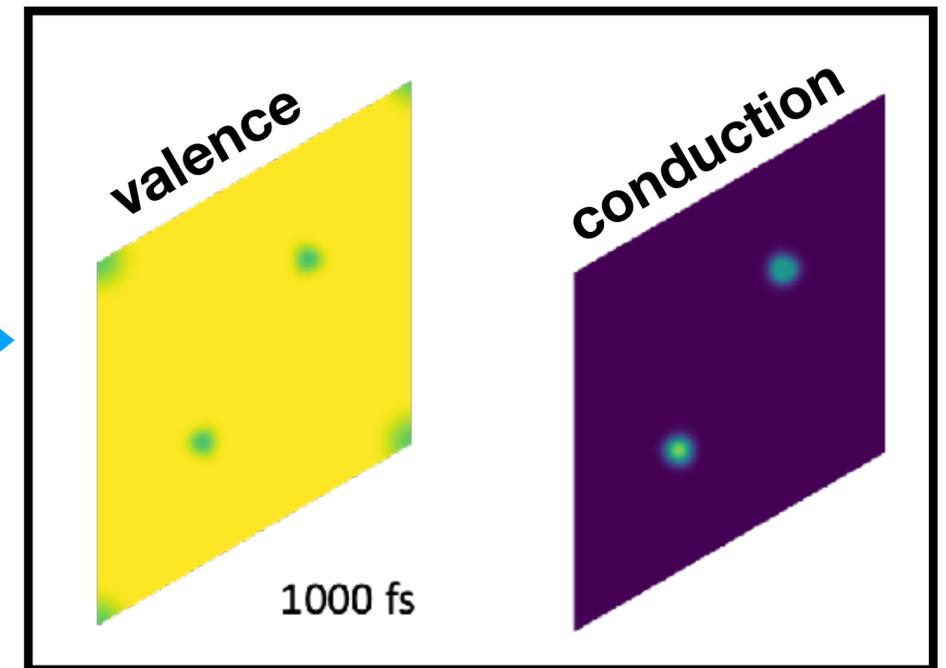
Yiming Pan



initial electronic state
(valley polarized)



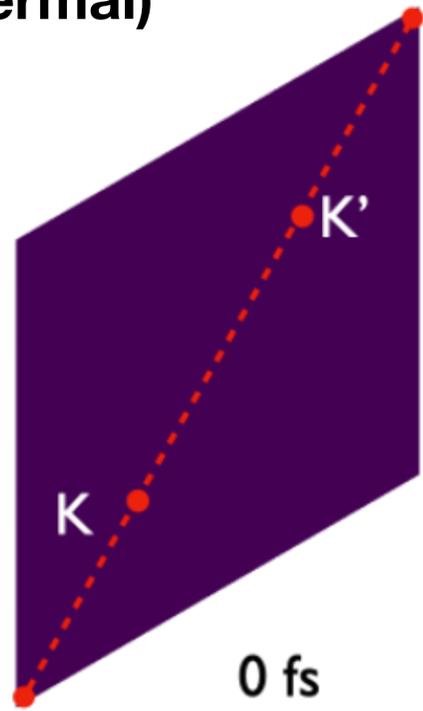
final electronic state
(depolarized)



electrons holes

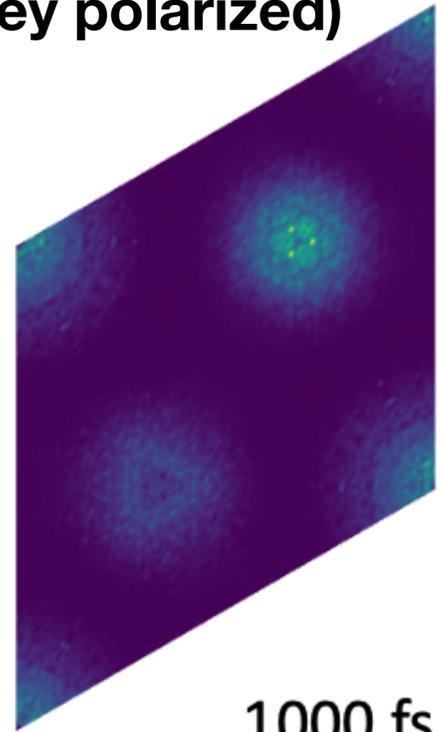
Chiral phonon excitation upon valley depolarization

initial vibrational state
(thermal)



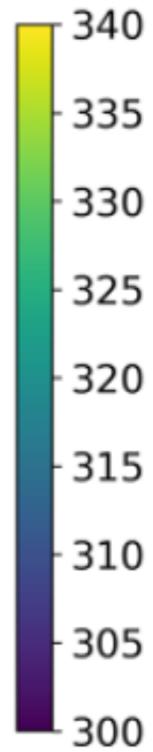
0 fs

final vibrational state
(valley polarized)



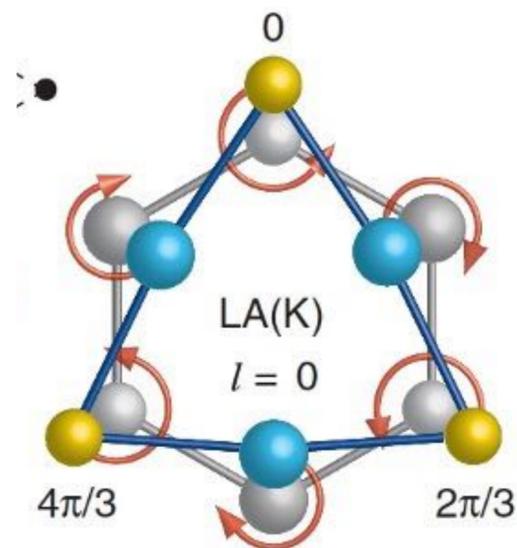
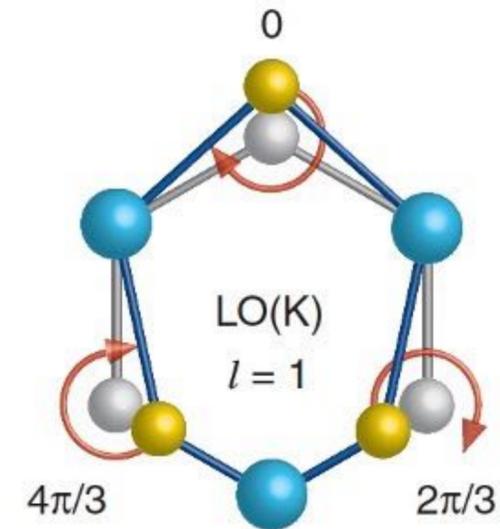
1000 fs

T [K]

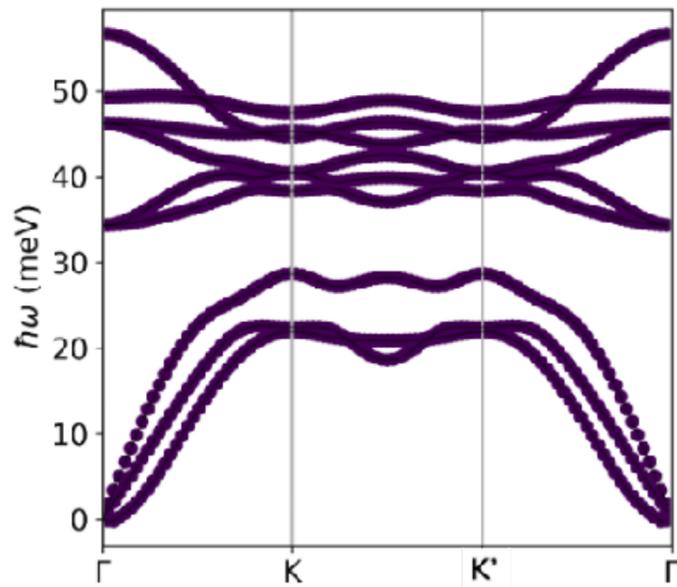


Phonon angular momentum

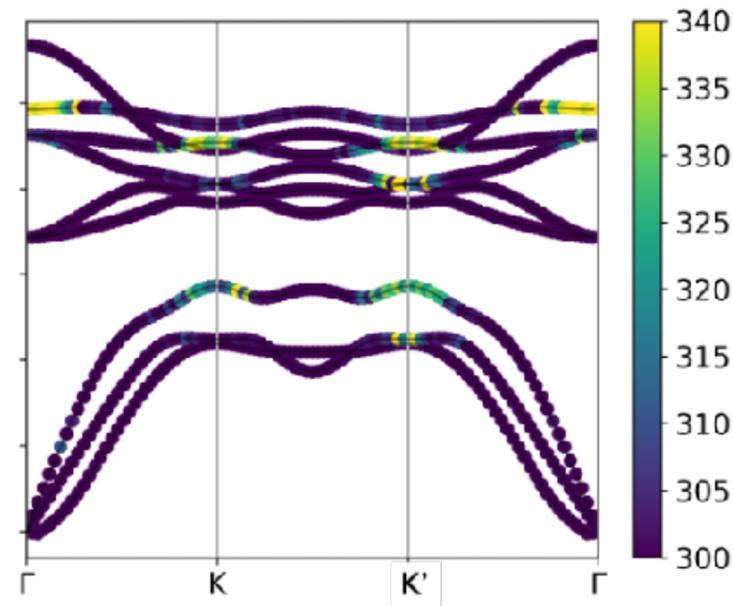
$$\mathbf{L}_{\mathbf{q}\nu} = i\hbar \sum_{\kappa} \mathbf{e}_{\mathbf{q}\nu}^{\kappa} \times [\mathbf{e}_{\mathbf{q}\nu}^{\kappa}]^*$$



Thermal



Valley polarized



Part 4

**Computational screening of
novel 2D materials valleytronics**

(Outlook)

Computational screening of novel 2D materials for valleytronics

Ingredients for (accessible) multi-valley semiconductors

- three-fold rotation symmetry
- lack of an inversion center
- non-metallic

How many non-centrosymmetric 2D honeycomb lattices are thermodynamically stable?

ARTICLES

<https://doi.org/10.1038/s41565-017-0035-5>

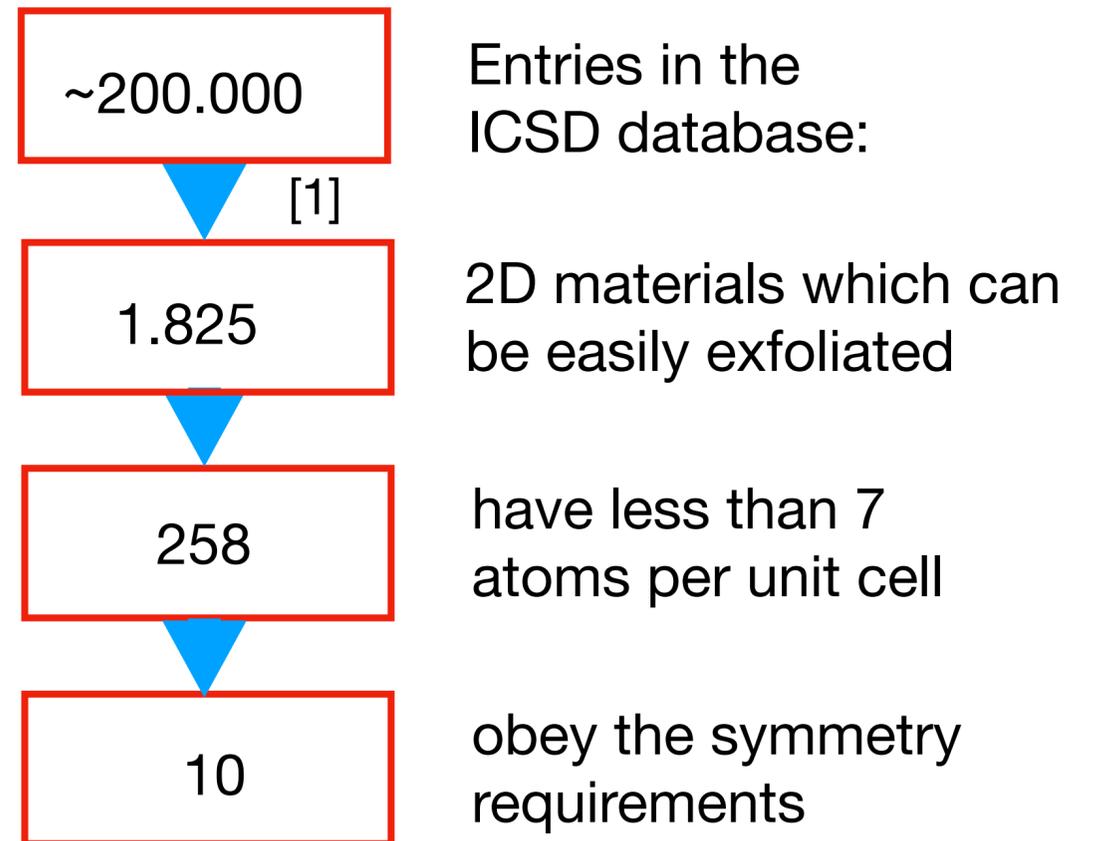
nature
nanotechnology

Two-dimensional materials from high-throughput computational exfoliation of experimentally known compounds

Nicolas Mounet^{1*}, Marco Gibertini¹, Philippe Schwaller¹, Davide Campi¹, Andrius Merkys^{1,2}, Antimo Marrazzo¹, Thibault Sohier¹, Ivano Eligio Castelli¹, Andrea Cepellotti¹, Giovanni Pizzi¹ and Nicola Marzari^{1*}

[1] Mounet et al., Nature Nanotec. **13**, 246 (2018)

High-throughput search:



Computational screening of novel 2D materials for valleytronics

The list of 10:

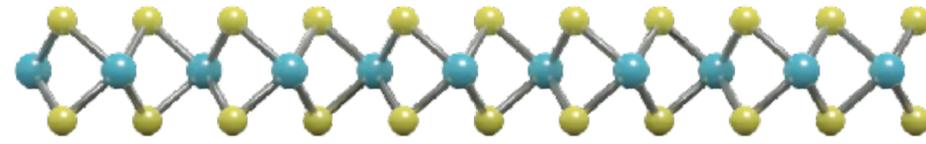
- hBN
- MoS₂
- MoSe₂
- WS₂
- WSe₂

Already known!

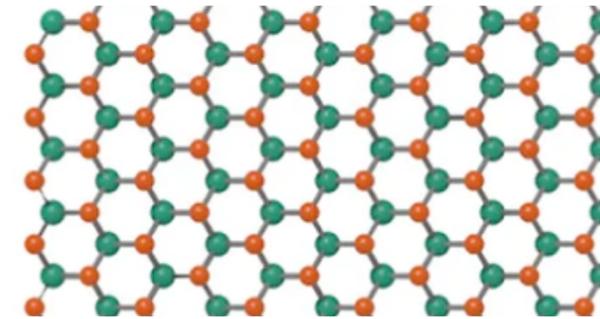
- ZrCl₂
- ZrClN
- ZrBrN
- GeI₂
- OTI₂

New!

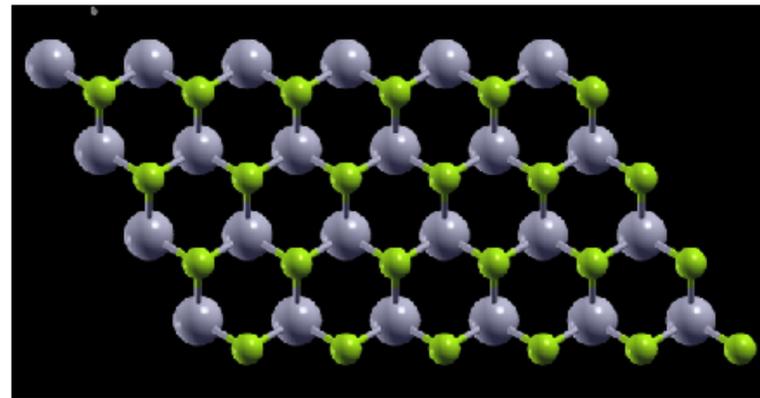
MX₂ (M=Mo,W and X=S,Se)



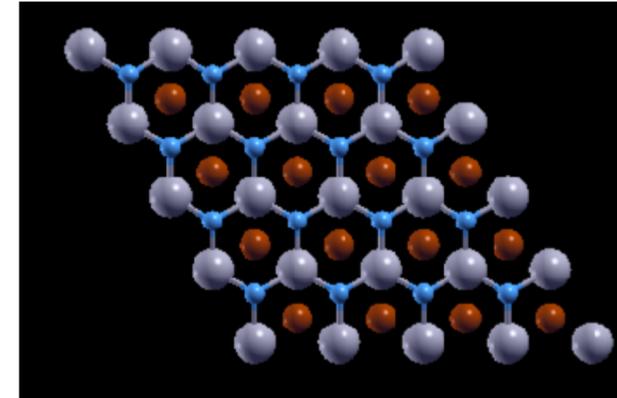
hBN monolayer



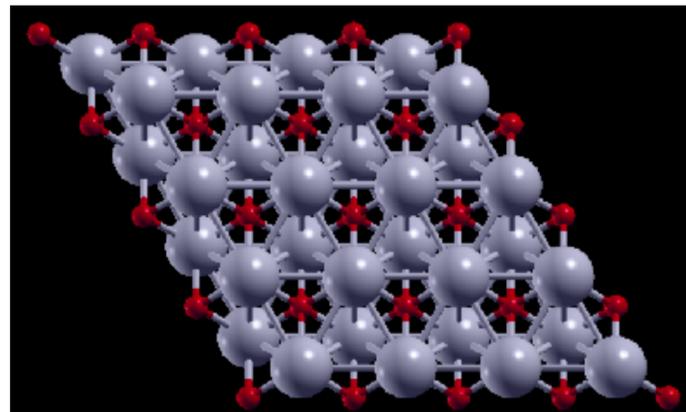
ZrCl₂



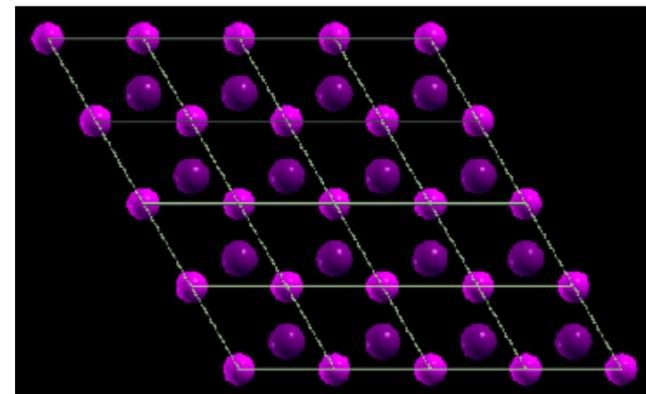
ZrNCl & ZrNBr



OTI₂



GeI₂



Optical properties of ZrCl₂

Bethe-Salpeter equation:

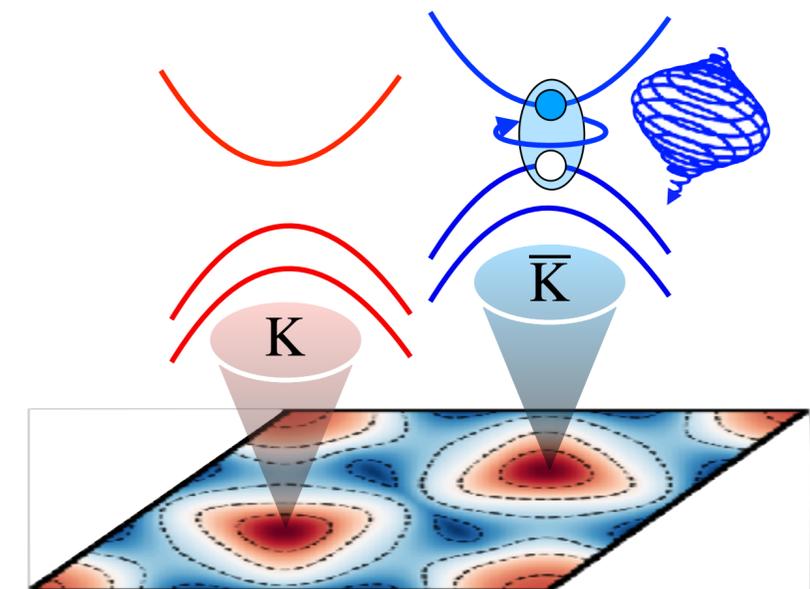
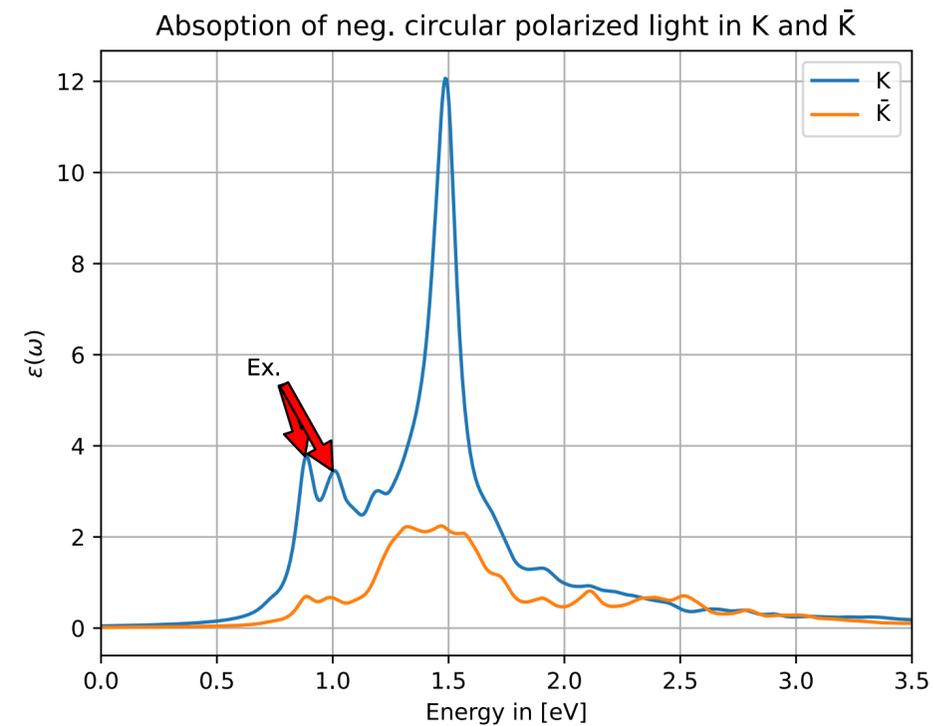
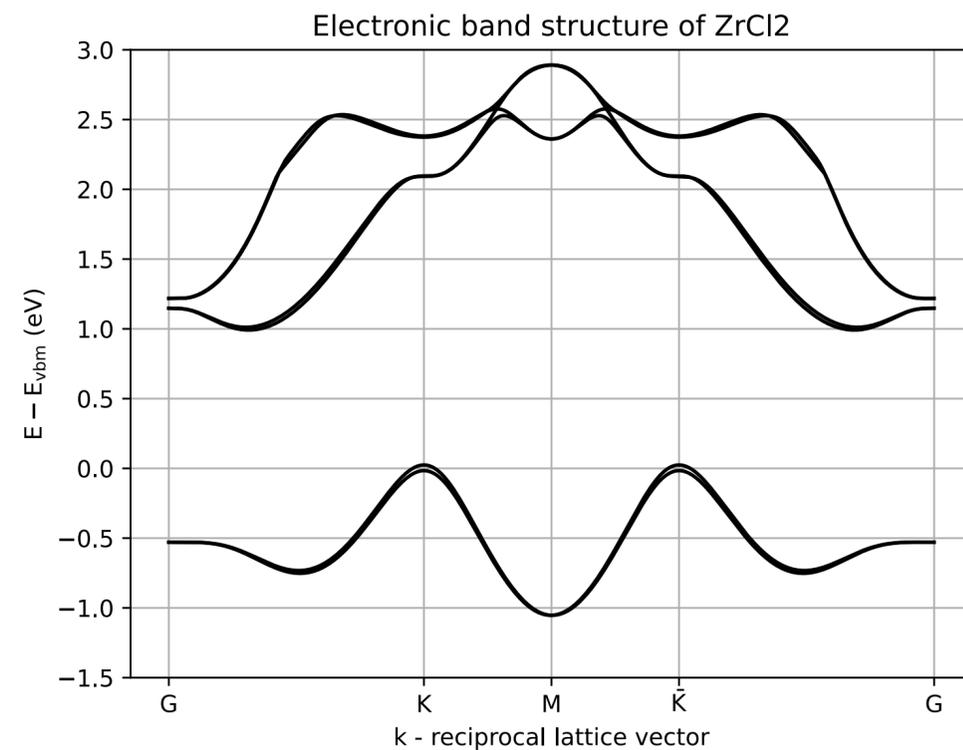
$$H_{vc\mathbf{k},v'c'\mathbf{k}'} A_{v'c'\mathbf{k}'}^\lambda = E^\lambda A_{vc\mathbf{k}}^\lambda$$

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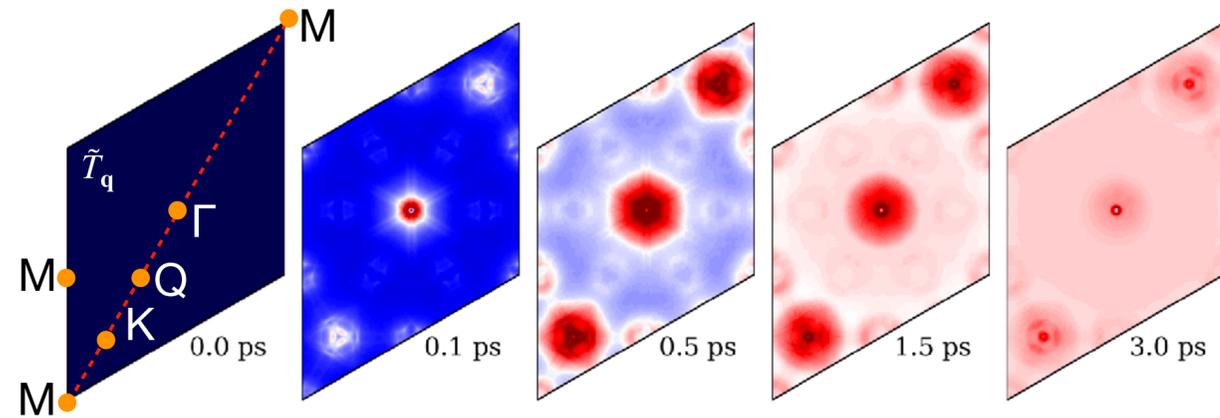


Philipp Lauwen



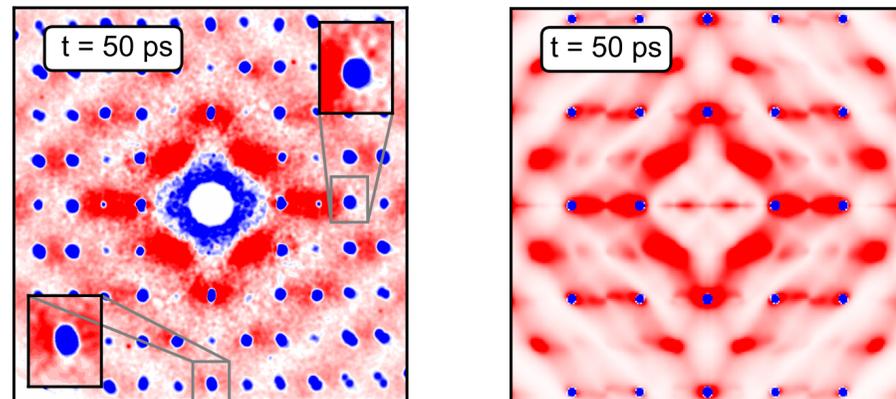
Summary

- Coupled electron-phonon dynamics in (2D) systems out of equilibrium



F. Caruso, D. Novko, C. Draxl, Phys. Rev. B **101**, 035128 (2020)
F. Caruso, J. Phys. Chem. Lett. **12**, 1274 (2021)
F. Caruso, D. Novko, Adv. Phys. X **7**, 2095925 (2022)

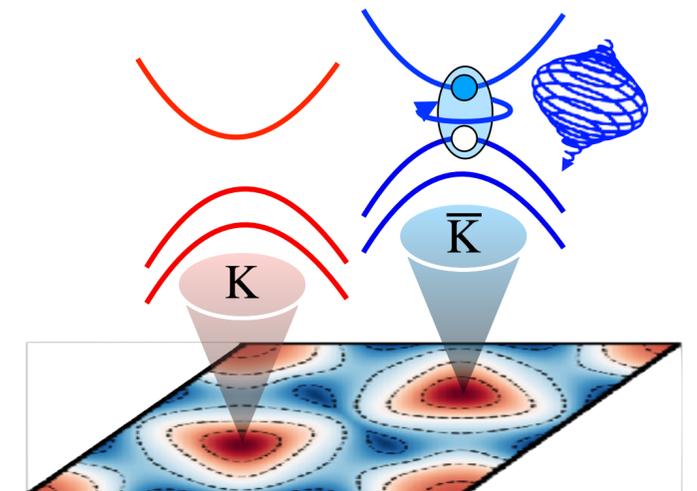
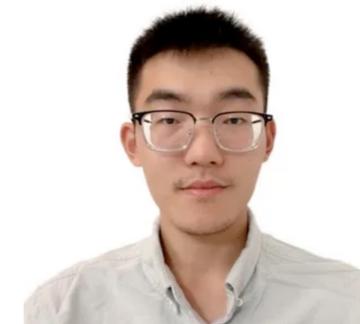
- Fingerprints of non-equilibrium lattice dynamics in Ultrafast Diffuse Scattering

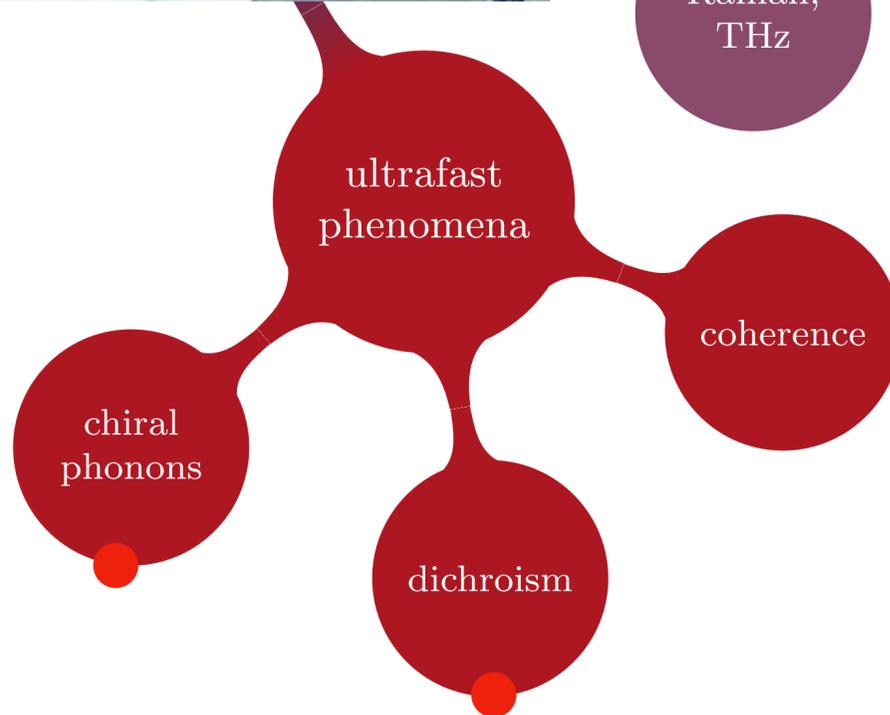
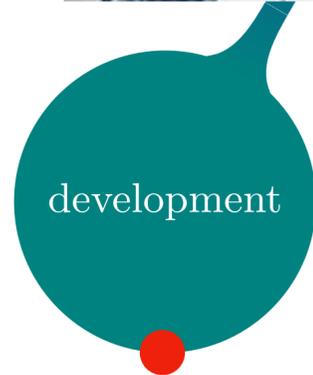
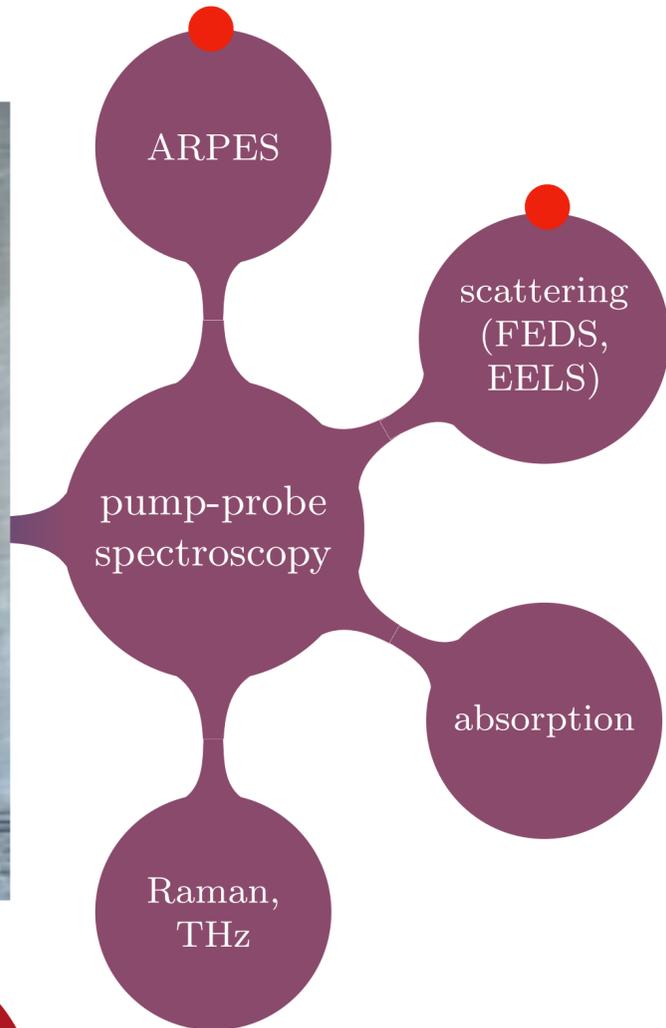
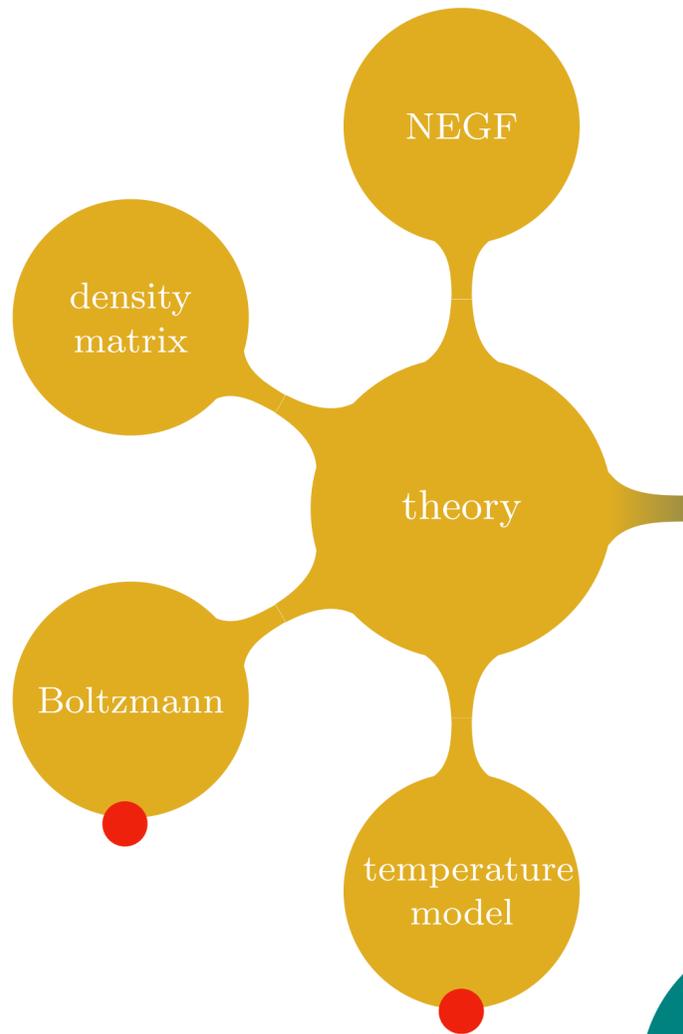


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- Chiral valley excitons and ultrafast dynamics of chiral phonon

F. Caruso, M. Schebek, Y. Pan, C. Vona, C. Draxl, J. Phys. Chem Lett. **13**, 5894 (2022)





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- Bradley Siwick (McGill, Montreal)
- Sanjoy Mahatha (Desy)
- Kai Rossnagel (Uni Kiel)

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S. Poncé et al.,
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