Evaluation of the Virtual Crystal Approximation for Predicting Alloy Phonon Properties and Thermal Conductivity

Jason M. Larkin¹ and A. J. H. McGaughey^{1,*}

¹Department of Mechanical Engineering

Carnegie Mellon University

Pittsburgh, PA 15213

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Abstract

The virtual crystal approximation for mass disorder is evaluated by examining two model alloy systems: Lennard-Jones argon and Stillinger-Weber silicon. In both cases the perfect crystal is alloyed with a heavier mass species up to equal concentration and phonon frequencies, lifetimes and group velocities and thermal conductivity are predicted. These two alloy systems have different ranges of phonon frequencies, lifetimes. For Stillinger-Weber silicon, the virtual crystal approximation predicts phonon properties and thermal conductivity in reasonably good agreement with molecular dynamics-based methods. For Lennard-Jones argon, the virtual crystal approximation underpredicts the high-frequency phonon lifetimes, leading to an underpredicting of its thermal conductivity. Resolution of this underprediction is achieved by considering methods that treat the disorder explicitly.

Disordered lattres are a subgroup of disordered materials where the atomic positions Follow a lattre structure but the Constituent species are spatrally parlow. Examples include isotricians solds, where the species have the same clectronic structure but small mass dantations, clectronic structure but small mass dantations, bere. be specitic and alloys, air trus here, -INTRODUĆTION where the distinct species are 6.9-Disordered materials (i.e. alloys and, amorphous solids) are used in applications ranging from semiconducting devices to thermally insulating barriers due to their low thermal -alloys are conductivities.(cite) An alloy is a lattice composed of multiple species which are spatially also uschel random (e.g. isotopic germanium). Alloying (creating a disordered lattice) remains an effec-For their tive method to reduce the thermal conductivity while maintaining good electrical transport properties, (eite) For example, reducing the thermal conductivity of thermolectric materials -ean improve the efficiency of thermoelectric devices.²⁻⁴ Theoretical making the thermal conductivity of disordered lattices dates back by wt b Jel conductivity to the work of Abeles, who showed that mass and strain disorder dominate the thermal and resistanty Sife> mass in same sentene resistivity of Singe and (Ga,In) As alloys, respectively. The Abeles theory assumed that 162, In 1-13+1 beta the vibrations in the alloys were phonons, delocalized propagating modes, whose properties were computed assuming the disorder was a perturbation. Except for low-frequency (long-anishi the general validity of this assuming is unless, wavelength), modes, it is not clear which vibrational modes are phonon-like in alloys with HOC9 Aweles arbitrary disorder. In the case of dielectries, almost all of the heat is conducted by the vibrational modes of the system. Understanding how these vibrations contribute to thermal transport is crucial for predicting the thermal conductivity of ordered and disordered lattices. Accurately predicting the thermal conductivity of a dielectric or semiconducting material requires the properties from the full spectrum of vibrational modes.⁶⁻⁸ Accurate predictions of these properties for bulk systems can be made with anharmonic lattice dynamics (ALD) theory using ab initio calculations. 4,9-14 However, computational costs limit the size of computational cells in ab initio calculations to be less than 100 atoms, making it difficult to explicitly incorporate the effects of disorder. 4,10,11,15,16 Disorder 13 hiphally included using ingstar (HC) cufflo kination, whereby Recent work using ab initio calculations, anharmonic lattice dynamics (ALD), and the virtual crystal (VC) approximation predicted phonon mode frequencies, lifetimes and group velocities of/defected materials/with realtively large (order 100 W/m-K^{10,11}) and small (order 1 W/m-K⁴) thermal conductivities that compare well with experimental measurements. Under the VC approximation the disordered solid is replaced with a perfect virtual crystal with properties equivalent to an averaging over the disorder (e.g., mass or bond strength).5 The use of ALD with the VC approximation (referred to herein as VC ALD) can base all - include some mention of Tamura theory in introduction disordered 14/17e

we will retar to this approan as VE-ALD.

((i-e, all vibrational makes are phonons)

calculations on a small unit cell with averaged properties and treat the effects of intrinsic and disorder scattering as perturbations. 1,4,5,19 No comprehensive study has been performed to assess the applicability of this perturbative approach for a range of disorder (varying alloy concentrations, Section IIB) using multiple predictive methods and test systems to test the self-consistentey of the VC approximation.

The goal of this work is to investigate the use of the VC approximation for predicting vibrational mode properties and thermal conductivity of alloys by a detailed comparison of three predictive methods: (i) Molecular Dynamics (MD)-based normal mode decomposition (NMD) Section III C1), (ii) MD-based green-kubo (GK) Section IV-), and (iii) VC-ALD (Section III C2). Using computationally cheap empirical potentials for argon, and silicon we study the effects of disorder explicitly. For both LJ argon and SW silicon, the perfect lattice is disordered with a heavier mass species up to equal concentration (c = 0.5), spanning a range of perturbative to large disorder. By spanning this range, the limits of the perturbative models are examined.

We predict the phonon mode properties of the VC: frequencies (Section III), group velocities (Section IIIB), and lifetimes (Section IIIC), and use them to predict thermal conductivity (Section IV). The breakdown of the perturbative VC-ALD method is examined Section IIIC 25 and a simple guideline is suggested by the AF theory (Section IIID), which predicts the thermal transport properties of the vibrations of the expleitly disordered lattices. The Vibrational Wall properties are Then used to

present thermal conduction is in Section II, allowing to a compension to the predictions of the Glen-bulos metrod, where no theoretical and modeling formulation assumptions about the moderate of the thermal matter of the thermal matter are required.

A. Thermal Conductivity Prediction

To predict the thermal conductivity of disordered lattices, one begins with the theory for a perfect lattice. For a perfect lattice, all vibrational modes are phonon modes, which by defintion are delocalized, propagating plane waves. Using the single-mode relaxation time approximation to solve the Boltzmann transport equation gives an expression for thermal conductivity in different formal conductivity in different formal conductivity.

$$k_{ph,\mathbf{n}} = \sum_{\kappa} \sum_{\nu} c_{ph} {\kappa \choose \nu} v_{g,\mathbf{n}}^{2} {\kappa \choose \nu} \tau {\kappa \choose \nu}.$$
 (1)

The section III, the frequencies, group velocities, lifetimes, and diffusionities of the vibrational modes of the disorders lattices are predicted when the disorder is explicitly included and when this treated as a perturbation under the telephonometer.

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K<152m 2 m nr psh Here, κ is the wavevector and ν labels the phonon polarization. The phonon mode has frequency $\omega({\kappa})$, $c_{ph}({\kappa})$ is the phonon volumetric specific heat, $v_{g,n}({\kappa})$ is the component of the group velocity vector in direction n, and $\tau({\kappa})$ is the phonon lifetime.

group velocity vector in direction n, and $\tau({}^{n}_{\nu})$ is the phonon lifetime.

The SMRT approximation has been shown to be accurate for SiGe alloys and lower thermal conductivity materials, while larger conductivity materials such as GaN and Diamond require a full iterative solution to the BTE for more accurate predictions at the components of their thermal conductivity are cubically symmetric, so that we refer to k_{ph} as a scalar thermal conductivity. This is also true for the disordered lattices in the infinite-size limit. Since MD similations are classical and obey Maxwell-Boltzmann statistics, 20 the volumetric specific heat is k_{B}/V per mode in the harmonic limit, where V is the system volume. This approximation has been shown to be valid for LJ argon and SW silicon and is used in this work so that direct comparisons can be made between methods. 21 at the temperature of the comparison of the compariso

For disordered systems, the vibrational modes of the system are no longer pure plane-waves (phonon modes), except in the low-frequency (long-wavelength) limit. The Allen-frequency (long-wavelength) limit.

diffusors $k_{AF} = \sum_{modes} \frac{k_B}{V} D_{AF}(\omega), \quad \text{ally a function of } \omega^2, \quad (2)$

where D_{AF} is the mode-specific thermal diffusivity of disordered vibrational modes defined at the wavevector [000].

In this high-scatter (HS) limit, the AF thermal conductivity prediction is

(meaning what? $k_{AF,HS} = \frac{k_B}{V_b} b v_s a, \qquad \text{what is } b \gtrsim$ (3)

where V_b is the volume of the unit cell, v_s is the branch-averaged sound speed, and a is the lattice constant. The relative contribution of both phonons and diffusons to the total vibrational conductivity has been estimated to be approximately equal for a-Si, while earlier studies find that k_{ph} is substatiantially less. While studies have been performed on allowing the amorphous phase, the AF theory has not been applied to disordered lattices. In the current study of disordered lattices, the AF theory predictions provide a lower limit for the contribution of a given vibrational mode within the computational framework of the VC approximation. This is essential given the computational cost of the AF theory (Section

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Abdes theory - HC + Klemens-Callaway 2.

Virtual Crystal Approximation

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Under the Vitrual Crystal (VC) approximation, the disordered solid is replaced with a perfect virtual crystal with properties equivalent to an averaging over the disorder (e.g., mass or bond strength). 5 Abeles first introduced the idea of using a VC to replace a disordered one, computing the thermal conductivity of SiGe, (Ga(In)As and In(As,P) alloys using Klemens-Callaway theory. and adjustable phenomological fitting parameters to compare favorably with experimental results. The Abeles theory is conceptually simple, treating both disorder and anharmonicity as perturbations and expressing the thermal conductivity as a closed-While good agreement between form analytical function of the bulk material properies. Me predictions and experimental measurements was found for SiGe and (Ga,In)As, deviations

from the Abeles theory were observed for ln(As,P) alloys at large concentrations, which was tot which meternal attributed to the high mass ratio of 3.7 for InP.5

While the Abeles theory is valid for perturbative disorder, its use leads to good agreement with several experimental and computational results for systems with a range of disorder for the Cahill and co-workers found that conductivty reduction in dilute Ge-doped Si epitaxial layers can be explained by mass perturbative disorder, 29,30 The effect of bond and mass disorder was investigated computationally by Skye and Schelling for SiGe³¹() that mass disorder is the dominant scattering mechanism. While the mass ratio is large

(mco/mer 2.6), the overall disorder strength is determined by both the mass rational fives path) the alloy concentration (Section III C2). As little as 6.2×10^{19} cm⁻³ Ge is enough to reduce the thermal conductivity of Siaby almost a factor of χ^{29} In the case of $N_{i0.55}$ Pa_{0.45}, with $\chi_{i0.55}$ $\frac{1}{2}$, good agreement is seen using the large mass disorder and concentration (mpa/m VC approach. 32 Given these experimental results, it is unclear what h the VC approach for arbitrary disorder is under a

Computational results using the VC-ALD method for high thermal conductivity alloys show good to excellent agreement with experimental results for small and large concentrations. These VC-ALD computations use ab initio methods to predict the mode

specific phonon properties of the VC Unlike the phenomological Abeles theory, the VC-ALD office predicts thermal conductivty by summing over the whole spectrum of mode-specific phonon βνων properties, where intrinsic and defect phonon scattering are treated as perturbations (Secbetween tion) (cite) Lindsay and Broido found/good agreement/with VC-ALD and experiment for

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Should be say ab initio or DFT or first principles 2

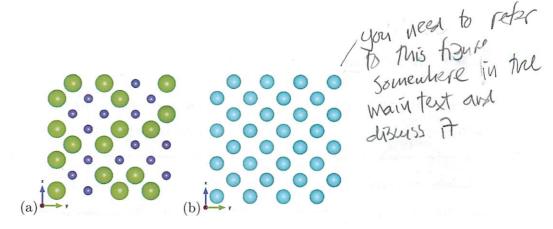


FIG. 1: (a) view of an explicitly disoredered supercell of Si and "heavy" Si ([100] direction into the paper).³⁴ (b) view of the equivalent VC supercell with an average mass of the explicitly disordered Si and "heavy" Si supercell (b). Sphere size represents increasing mass only, no bond disorder is considered. In this work, calculations for LJ Ar and SW Si which use the VC approximation are Fg. (3) or Cahill-Pohl ? based off of the conventional cubic unit cells (Section IIC)

isotopically defected GaN with relatively small concentrations. 10 Garg used (ab initio) calculations with VC-ALD to predict the thermal conductivity of SiGe alloys for all concentrations, obtaining excellent agreement with experiment. 11 Isotopically defected GaN and SiGe alloys have relatively large thermal conductivities (cite) In particular, the conductivity of SiGe alloys is significantly larger than that of the high scatter limit, which assumes that all vibrations scatter over a distance of the lattice spacing.²³ For both experiment and numerical modeling, VC predictions tend to be accurate when the thermal conductivity is significantly above the high-scatter limit 5,10,11,23,29,30,32 using preman properties from als rustio cala this for the

A detailed study of low thermal conductivity materials PbTe¹² and PbTe/PbSe³ alloys made predictions for the perfect systems in fair agreement with experiment, but experimental results lack for the alloys. 33? Thus, there is a need to examine the perturbative approach of VC-ALD for large (SW silicon) and small (LJ argon) thermal conductivity alloys for perturbative and large disorer. While the computational studies discussed above were limited to VC-ALD because of ab/initio calcualtion costs, we use computationally cheap empirical potentials to include disorder explicitly and is a perhabation and to compare the prelictions.

Waking it difficult to assess the Valdily of The ALD approun

In this stry, we will consider a low therend contuctions alloy using the CJ potential and a high thermal conductivity

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C. Calculation and Simulation Details

using the conventioned unit olls

Perfect and explicitly disordered lattice supercells are generated with atomic positions based on LJ argon's FCC (n=4) and silicon's diamond-FCC (n=8) cubic conventional unit cells, where n is the number of atoms in the unit cell. Supercells are built cubically with size N_0 , where N_0 refers to the number of repetitions of the unit cell in all aspatial directions. Supercells up to size $N_0 = 12$ (6096 atoms) are used for the LJ argon calculations. For SW silicon, $N_0 = 8$ (4096 atoms) is used for the MD-based NMD methods, and $N_0 \le 42$ (592704 atoms) for MD-based GK and VC-ALD. The ALD calculations were performed using an inhouse code with all classical expressions to remain consistent with the classical MD-based methods NMD and GK.

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Disorder is created by randomly specifying the masses of the atoms on the lattice. The composition of the lattices is labeled by $m_{1-c}^i m_c^j$, where $m^i = 1$ and $m^j = 3$ in LJ units for argon and $m^i = m_{Si}$ and $m^j = 2.6m_{Si}$ for SW silicon and "heavy silicon" mass of germanium. Concentrations of $m^{2} = 0.0, 0.05, 0.15$ and 0.5 are used. For SW silicon, the lattice constant $a_i = 0.43$ is used for all calculations, which brings the GK thermal conductivity predictions at 300 K 36,37 into better agreement with VC-ALD predictions for bulk SW silicon. 38 For LJ argon, supercells are built using the zero-pressure finite-temperature lattice constants, which are a = 1.556 (T=10 K) and and a = 1.580 (T=40 K) in LJ units. 39

For LJ argon, the variation of lattice constant with composition is small and ignored.(cite)

instantly quenching by removing all kinetic energy. The resulting structure was then energy minimized and annealed in an NPT ensemble at zero pressure and The 10 K (cite lammps))

The effective zero-pressure lattice constant of the amorphous phase at T=10K, based on the

atomic density, is slightly larger (a = 1.585).39 Jefine symbols

The MD simulations were performed using the package LAMMPS (cite lammps) by equilibrating in a NVT (constant number of atoms N) volume V and temperature T) ensemble before calculating atomic positions and velocities in a NVE (constant number of atoms N, volume V and energy E) ensemble (cite) For LJ argon, a cutoff of 2.5 was used, where -3.4 Statistical averaging is accomplished using N simulations with different initial velocities. MD simulation time steps of 4.285 and 0.5 fs were used for LJ argon and SW silicon.

For the GK method, the heat current was computed every 10 time steps. It is important to

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note that the same atomic trajectories are used for the NMD and GK methods.

The key to incorporating the effects of disorder explicitly are the use of large disordered The methods used in this work scale differently with the size of the his disussin supercell considered. The calculations in this work are trivially parallelizable except the MD simulations⁴⁰ and the eigenvalue solution of the Nynamical matrix.⁴¹ Efficient MD codes scale linearly with the number of atoms in the system, N_a . However, the computational cost of using large supercells for MD simulation, particularly the large number of time steps required (on the order of $10^5 - 10^7$ depending on the system(cite)), prohibit its use with typical ab initio methods such as plane-wave Density Functional Theory.(cite) The Gamma-NMD and AF theory require the solution of a large Dynamical matrix of size $(3N_a)^2$, which limits the system sizes considered.

To predict a bulk thermal conductivity, extrapolation is used by the finite-size scaling $1/k(N_0) \propto 1/N_0$. For VC-NMD and VC-ALD, the validity of the finite-size scaling requires the low frequency modes in the system be dominated by intrinsic scattering $(\omega)^{-2}$ and follow the Debye approximation with respect to $(\omega)^{-2}$ and $(\omega)^{-2}$. $(\omega)^{-2}$ and follow the Debye approximation with respect to $(\omega)^{-2}$ and $(\omega)^{-2}$. $(\omega)^{-2}$. alloys, this requirement is satisfied for modest system sizes (for $N_0 = 6$ to 12) so that both VC-NMD and VC-ALD predictions can be extrapolated to a bulk value. For SW silicon alloys, the thermal conductivity is dominated by low-frequency modes, so that large system sizes are needed to satsify the extrpaolation requirements and only GK and VC-ALD can be used $(N_0 \le 42$ in the present study, similar to the converged system sizes in³⁷). This highlights the efficient of the VC-ALD method, which is necessary when computationally expensive ab initio methods are used (Section).4,10,11,14,42,43

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III. VIBRATIONAL MODE PROPERTIES IN ALLOY SYSTEMS

VC and Gamma DOS

In the LJ system

Fragencies and In this section, we examine the effect of explicit disorder by computing the density of states $[DOS, D(\omega)]$ for vibrational modes of disordered lattice supercells and their equivalent VCs. The frequencies are computed using harmonic lattice dynamics calculations with the package GULP.⁴¹ For the VC, the allowed wavevectors are set by $N_0\chi$ and each wavevector represents a finite volume of the crystal lattice's irreducible Brillouin zone (BZ). (cite mermin)

P-package?

where there are 12003 polarization branches

The/symmetry properties of the BZ define a set of irreducible wavevectors, which are used to average the mode properties of the reducible wavevectors. (cite)

/For the disordered supercells, the only allowed wavevector is the gamma-point (i.e., $\kappa =$ The DOS for the VC and the explicitly disordered supercells (referred to herein as to contemble to a sold of the contemble of the Debye approximation predicts $DOS \propto \omega^2$.(cite) The Debye approximation underpredicts the the DOS at moderate frequency, which is due to non-linear dispersion (cite Mermin)

The increasing lattice mass with increasing concentration for the VC reduces the world have but not in apporti cies. The increasing lattice mass for the Gamma modes also reduces the frequencies. The effect of expicit disorder is seen at high frequencies by a broadening and a shift of the DOS to higher frequencies because of the explicit use of light atoms in the supercell. Duda et al observed similar high-frequency broadening effects in model LJ alloys. 44/Similar agreement at low frequencies was found in ab initio predictions for Si_cGe_{1-c}, while Bouchard showed similar continuous behavior at low frequency for a Si_cGe_{1-c}. 45 Based on the DOS, the vibrational modes of the explicitly disordered supercells at low frequencies are phonon-like, while the broadening of the DOS at high-frequency indicate that the vibrational modes may differ significantly from the high-frequency VC phonon modes. This behaver is to the explosed was three scatters.

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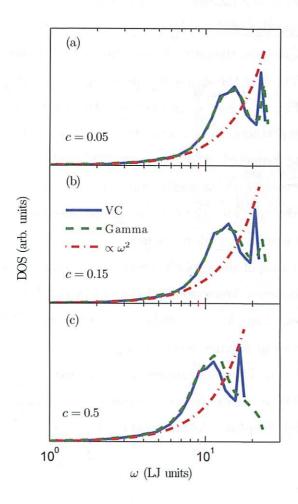


FIG. 2: Density of states (DOS) for modes calculated using the LJ FCC VC versus an explcitily mass disordered LJ FCC supercell (labeled Gamma) with varying mass concentration c. VC and Gamma show similar low frequency behavior for all c. For increasing c, the frequencies of both VC and Gamma decrease, while the high frequency DOS for Gamma spreads and reaches up to a higher maximum frequency because of the explict disorder. The size of these supercells is $N_0 = 12$ (see Section II C).

Dispersion and Group Velocity

The group velocity vector in a VC is the gradient of the dispersion curves,

$$v_{g,n}({}^{\kappa}_{\nu}) = \frac{\partial \omega({}^{\kappa}_{\nu})}{\partial \kappa}.$$

on Hegnewies calculated from

We calculate the group velocities for the VC using finite differences, and quest harmonic

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Except for the three acoustic branches (2 transverse, 1 logitudinal sound speeds), there is not an accepted method to predict the effective group velocity of a vibrational mode in a disordered system, although there have been attempts. 23,24,44,47,48 In the Cahill-Pohl (CP) model, the group velocity of all disordered modes is the sound speed, v_s . Dispersion for a way way. model disordered 1D system demonstrated the reduction of the frequency-dependent group

plane-wave character of disordered modes at a particular wavevector and polarization. 8,25 Law 10 plane-wave character of disordered modes at a particular wavevector and polarization. 8,25 Law 10 plane-wave character of disordered modes at a particular wavevector and polarization. 8,25 Law 10 plane-wave character of disordered modes at a particular wavevector and polarization. 8,25 Law 10 plane-wave character of disordered modes at a particular wavevector and polarization. Calculating the structure factor of the supercell Gamma modes is a method to test for the Feldman et Assed the structure factor to predict an effective dispersion for a model of a-Si, but did not predict group velocities.²⁵ Volz and Chen used the dynamic structure factor to predict the dispersion of crystalline SW Si using MD simulation.⁴⁹

The structure factor is defined as⁸

velocities due to the zone-folding effect. 44

defined as $S^{L,T}(\kappa) = \sum_{\nu} E^{L,T}(\kappa) \delta[\omega - \omega(\kappa=0)],$ where ω is substituted as $S^{L,T}(\kappa) = \sum_{\nu} E^{L,T}(\kappa) \delta[\omega - \omega(\kappa=0)]$

where E^T refers to transverse polarization and is defined as when E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and is defined as E^T refers to transverse polarization and E^T refers to $E^{L}(\kappa) = \left| \sum_{\kappa} e^{(\kappa=0 \atop \nu} b) \exp[i\kappa \cdot r_0(l=0)] \right|^2$

Whetan (6)

and E^L refers to logitudinal polarization and is defined as

 $E^{T}(\overset{\kappa}{\nu}) = \left| \sum_{\substack{Qb \\ \text{is}}} \hat{\kappa} \times e^{\left(\overset{\kappa=0}{\nu} \overset{b}{\alpha} \right)} \exp[i\kappa \cdot r_0(\overset{l=0}{b})] \right|^2.$ (7)

Here, $r_0(l_b^{-0})$ refers to the atomic positions of the mass-disordered atoms in the supercells, which are still spaitally ordered. Explicit disorder is accounted for in the mode frequencies

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Physically, $S^{L,T}(\kappa)$ represents the frequency spectrum required to create a wavepacket with a well-defined wavevector and polarization.^{8,25} For a perfect lattice, the structrue factor peaks are delta functions centered at the phonon mode frequencies, indicating they are pure from the plane-waves. The structure factors for LJ argon alloys are plotted in Fig. 3 for wavevectors along the [100] and [111] directions. With increasing disorder, the structure factor spreads in width, particularly at high frequencies because the modes are no longer pure plane-waves.

From Fig. 3, an effective dispersion can be extracted by locating the peaks in the structure factors at neighboring VC wavevectors, where the effects of polarization, virtual mass, and anisotropia dispersion can be observed. As the lattice VC mass becomes larger, the peaks in the structure factor shift to lower frequencies. The peaks in the structure factor are at slightly higher frequencies than the VC predicted frequencies by up to only \(\%5 agreement is found with the disordered SW silicon lattice supercells (not shown), while the structure factors are more complicated because of the optical modes. Well-defined peaks at all wavevectors are most-likely due to the lattice structure of the disordered systems studied in this work. Typically, the structure factor for amorphous materials has well-defined peaks only for small wavevector.^{8,25} anes

Because of the good agreement between the VC predicted dispersion and the peaks in the structure factors from Fig. 3, we use the group velocities predicted by the VC dispersion for both LJ argon and SW silicon with the VC-NMD and VC-ALD calculations for consistency and simplicity. We will examine the validity of this choice of group velocity in Section III D.

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