

C. The Boltzmann Transport Equation

- A semi-classical, but general otherwise, approach to Transport Properties
- Works for \vec{E} , \vec{B} , $\vec{\nabla}T$, $\vec{\nabla}n(\vec{r})$ and all kinds of collisions
- Under a "driving force", $f_{\text{non-equilibrium}} \neq f^*(\varepsilon)$

$f^*(\varepsilon)$ here is formally $f^* = \frac{1}{e^{(\varepsilon - E_F)/kT} + 1} = \frac{1}{e^{(\varepsilon(\vec{k}) - E_F)/kT} + 1} = f^*(\varepsilon) = f^*(\vec{k})$

If picking up the tail, then

$$\begin{aligned} f^* &= e^{-(\varepsilon - E_F)/kT} = e^{-(\varepsilon(\vec{k}) - E_F)/kT} = e^{-(\frac{1}{2}m^*v^2 - E_F)/kT} \\ &= f^*(\varepsilon) = f^*(\vec{k}) = f^*(\vec{v}) \end{aligned}$$

In Equilibrium, $f^*(\vec{k}) = f^*(\varepsilon(\vec{k})) = \frac{1}{e^{(\varepsilon(\vec{k}) - E_F)/kT} + 1} \quad (17)$

When system is out of equilibrium, introduce $f(\vec{r}, \vec{k}, t)$

Aside: Recall phase space (x, p) or (x, k) . We are generalizing $f^o(\vec{k})$ (no \vec{r} -dependence because temp. T is the same everywhere at equilibrium) to phase space. More generally, a band index "n" $f_n(\vec{r}, \vec{k}, t)$ should be included. But we consider only one band (e.g. CB for electrons).

In thermal equilibrium (1 band):

$$\# \underset{\text{in CB}}{\overset{\text{N}}{\sim}} \underset{\text{electrons}}{\sim} = 2 \cdot \frac{V}{(2\pi)^3} \int d^3k f^o(\vec{k})$$

$$\text{(for example)} = \underbrace{\int \int d^3r d^3k}_{\text{gives } V} \left(2 \cdot \frac{V}{(2\pi)^3} f^o(\vec{k}) \right)$$

$$\left[\frac{N}{V} = n = \text{electron \# density} \right]$$

[recall: $d^3k \rightarrow 4\pi k^2 dk$,
with $E = \frac{\hbar^2 k^2}{2m}$, then
 $\int \frac{2V}{(2\pi)^3} (\dots) d^3k$
 \downarrow
 $\int \underbrace{g(E)}_{\text{DOS}} (\dots) dE \quad]$

Driving Forces $\rightarrow \underbrace{f(\vec{r}, \vec{k}, t)}$

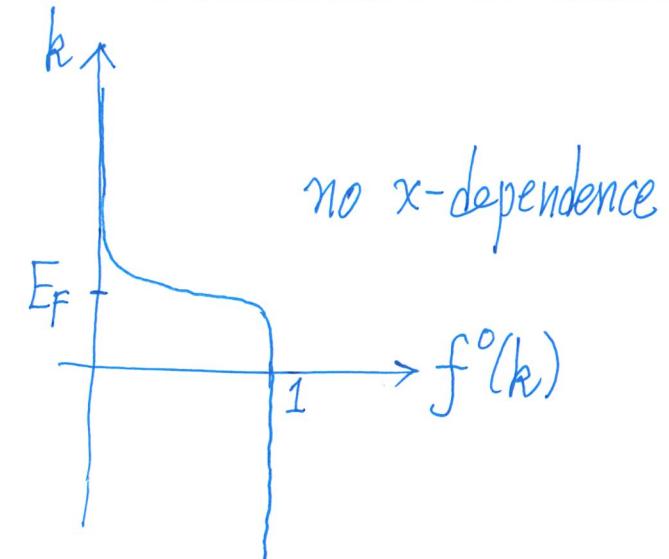
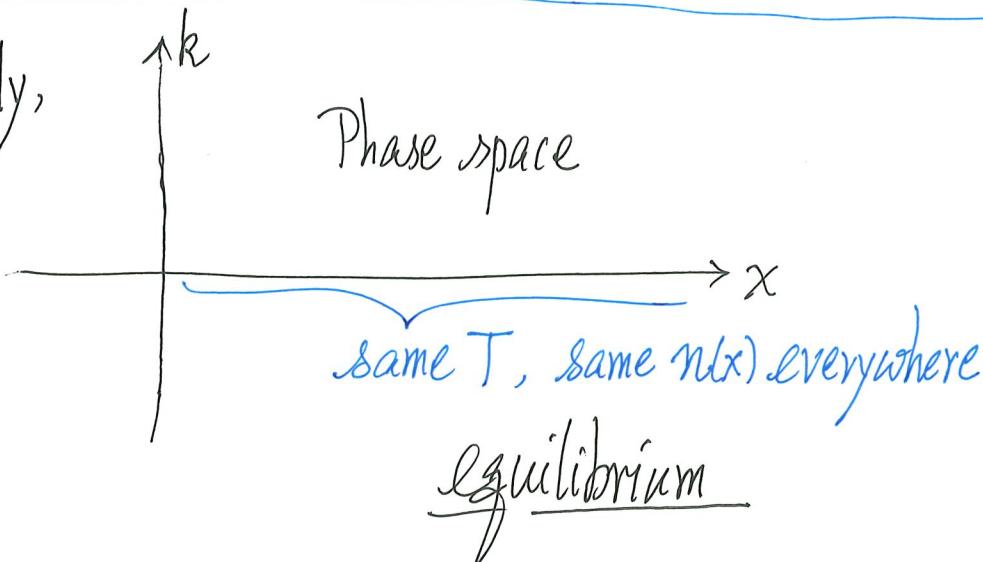
all currents should be due to the out-of-equilibrium $f(\vec{r}, \vec{k}, t)$

Meaning

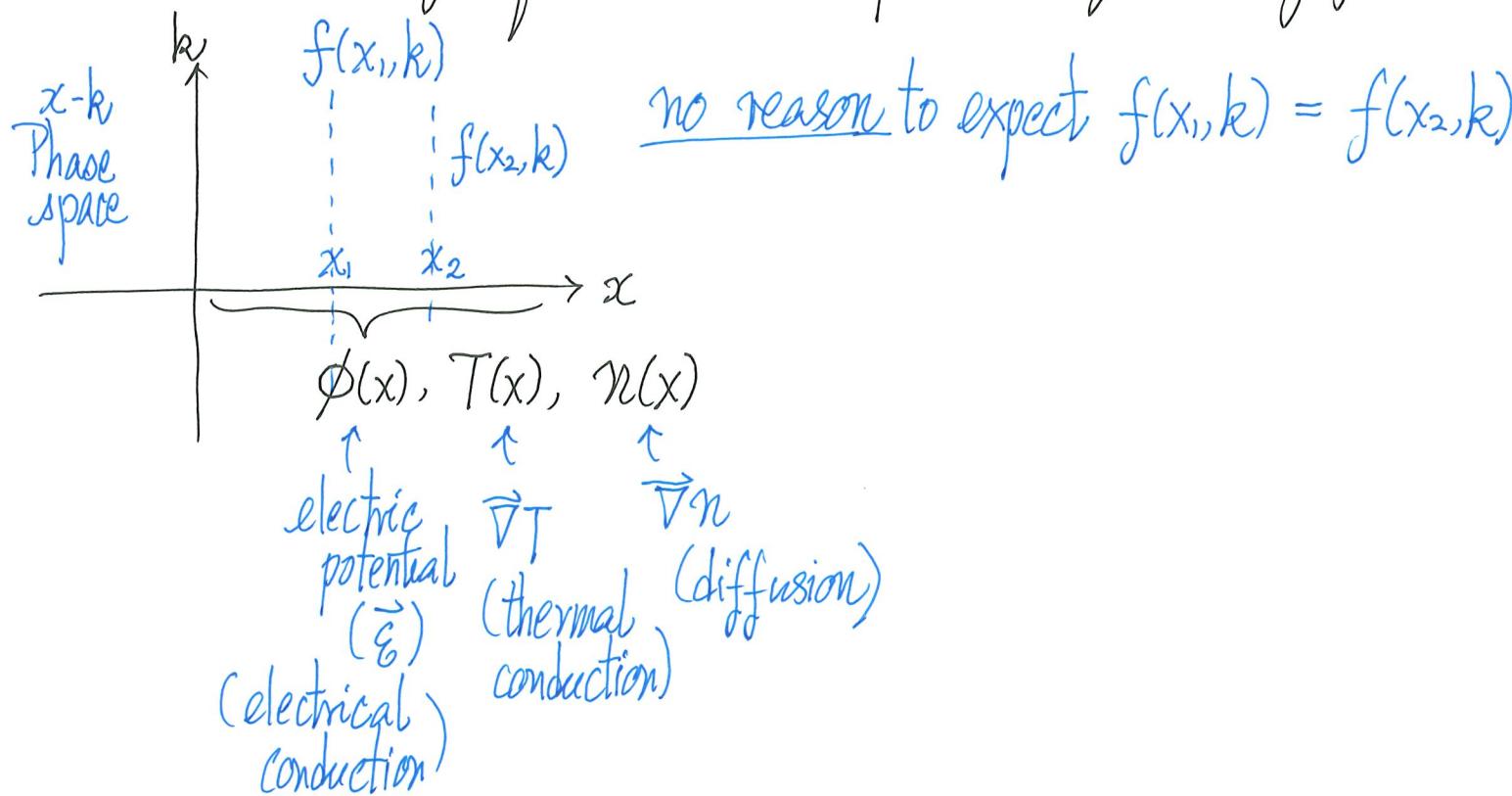
$$2 \cdot \frac{1}{(2\pi)^3} f(\vec{r}, \vec{k}, t) d^3 r d^3 k = dn(\vec{r}, \vec{k}, t) = \# \text{ electrons in volume element } d^3 r \text{ at } \vec{r}$$

AND in the reciprocal space volume element
 $d^3 k$ at \vec{k} at time t (18)

Previously,



But driven out of equilibrium in presence of driving forces...



- ∴ Need an equation for $f(\vec{r}, \vec{k}, t)$ to include the effects of
 - (i) external forces (driving forces)
 - and (ii) scatterings
- Boltzmann Equation

How to use $f(\vec{r}, \vec{k}, t)$, if we have solved it?

- Physical quantities (responses) can be expressed in terms of $f(\vec{r}, \vec{k}, t)$

e.g. $\vec{J}_e(\vec{r}, t)$ = electrical current density (the $\vec{J}(\vec{r}, t)$ in EM Theory)

$$\vec{J}_e(\vec{r}, t) = (-e) \int_{\text{1st B.Z.}} d^3k \frac{2}{(2\pi)^3} f(\vec{r}, \vec{k}, t) \cdot \underbrace{\vec{v}(\vec{k})}_{\substack{\text{velocity of electron at } \vec{k} \\ (\frac{1}{\hbar} \vec{v}_k E(\vec{k}))}} \quad \text{band structure} \quad (19)$$

Note: If $f = f^0(\vec{k})$, $\vec{J}_e = 0$ (due to symmetry of $E(\vec{k})$)

e.g. energy current density

$$\vec{J}_u(\vec{r}, t) = \int_{\text{1st B.Z.}} d^3k \frac{2}{(2\pi)^3} f(\vec{r}, \vec{k}, t) \cdot \underbrace{E(\vec{k}) \vec{v}(\vec{k})}_{\substack{\text{energy moves} \\ (\text{useful in study thermal conduction})}} \quad (20)$$

Setting up the Boltzmann Equation

Ideas: Both external forces and scattering cause electrons to change in \vec{r} and in \vec{k} $\Rightarrow f(\vec{r}, \vec{k}, t)$ changes with time in general

Steady state: When external forces and scattering work together to maintain an out-of-equilibrium $f(\vec{r}, \vec{k})$ (no time, \therefore steady state)

Key idea

$$\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} = \left(\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} \right)_{\text{field}} + \left(\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} \right)_{\text{scattering}}$$

How does f change?
 due to fields
 $(\vec{E}, \vec{B}, -\vec{\nabla}T, -\vec{\nabla}n)$

due to scatterings
 (phonons, impurities, defects, ...)

(21)

This is the Boltzmann Equation (primitive form)

$$\left(\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} \right)_{\text{field}} \text{ term: } \left(\frac{\partial f}{\partial t} \right)_{\text{field}} = \lim_{\Delta t \rightarrow 0} \left(\frac{f(\vec{r}, \vec{k}, t + \Delta t) - f(\vec{r}, \vec{k}, t)}{\Delta t} \right)_{\text{field}}$$

Key idea: If an electron has \vec{r} and \vec{k} at time $t + \Delta t$, then at an earlier time t , its position was $(\vec{r} - \nabla(\vec{k}) \Delta t)$ and its wavevector was $(\vec{k} - \dot{\vec{k}} \Delta t)$

*moved this much
in Δt to reach \vec{r}* *moved this much
in Δt to reach \vec{k}*

$$\begin{aligned}
 \therefore f(\vec{r}, \vec{k}, t + \Delta t) &= f(\vec{r} - \nabla(\vec{k}) \Delta t, \vec{k} - \dot{\vec{k}} \Delta t, t) && \text{"Make sense!"} \\
 &= f(\vec{r}, \vec{k}, t) - \nabla(\vec{k}) \cdot \overrightarrow{\nabla}_{\vec{r}} f \Delta t - \dot{\vec{k}} \cdot \overrightarrow{\nabla}_{\vec{k}} f \Delta t && \begin{matrix} (\text{Taylor expansion}) \\ (\text{order } \Delta t) \end{matrix} \\
 &= f(\vec{r}, \vec{k}, t) - \nabla(\vec{k}) \cdot \overrightarrow{\nabla}_{\vec{r}} f \Delta t - \frac{\vec{F}_{\text{ext}}}{\hbar} \cdot \overrightarrow{\nabla}_{\vec{k}} f \Delta t && \left(\because \frac{\hbar \partial \vec{k}}{\partial t} = \vec{F}_{\text{ext}} \right) \\
 \Rightarrow \left(\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} \right)_{\text{field}} &= -\nabla(\vec{k}) \cdot \overrightarrow{\nabla}_{\vec{r}} f - \frac{\vec{F}_{\text{ext}}}{\hbar} \cdot \overrightarrow{\nabla}_{\vec{k}} f
 \end{aligned} \tag{22}$$

Up to now, Boltzmann Equation becomes

$$\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} = -\vec{V}(\vec{r}) \cdot \vec{\nabla}_{\vec{r}} f - \frac{\vec{F}_{\text{ext}}}{\hbar} \cdot \vec{\nabla}_{\vec{k}} f + \left(\frac{\partial f}{\partial t} \right)_{\text{scattering}} \quad (23)$$

- If nothing is there to cause spatially non-uniform distribution, then $f(\vec{k}, t)$ only and $\vec{\nabla}_{\vec{r}} f$ term vanishes (e.g. no $-\vec{\nabla} n(\vec{r})$, or $-\underbrace{\vec{\nabla} \mu(\vec{r})}$)

gradient of chemical potential

Next, we handle $\left(\frac{\partial f}{\partial t} \right)_{\text{scattering}}$

no $\vec{\nabla}_{\vec{r}} f$ term

$\left(\frac{\partial f(\vec{r}, \vec{k}, t)}{\partial t} \right)_{\text{scattering}}$ term under the Relaxation Time Approximation

- Recall: $f(\vec{r}, \vec{k}, t)$ relaxes back to $f^*(\vec{k})$ by scattering processes

$$\left(\frac{\partial f}{\partial t} \right)_{\text{scattering}} \cong - \frac{(f(\vec{r}, \vec{k}, t) - f^*(\vec{k}))}{\tau(\vec{k})}$$

(24) This is the Relaxation Time Approximation

- $\tau(\vec{k})$ (or $\tau(\vec{v}), \tau(\epsilon), \tau(\vec{p})$) is relaxation time for an electron in Bloch state \vec{k}
 - In principle, $\tau(\vec{k})$ (or $1/\tau(\vec{k})$) can be calculated quantum mechanically (time-dependent perturbation theory) for given scattering process
 - $\tau(\vec{k})$ depends on \vec{k} (or energy ϵ , or velocity \vec{v}) in general
 - $\tau(\vec{k}) \approx \tau$ for simplicity and $\tau(\vec{k})$ can be treated empirically
- simplest approximation

Boltzmann Equation within relaxation time approximation

$$\left(\frac{\partial f}{\partial t} \right) = -\vec{\nabla}(\vec{k}) \cdot \vec{\nabla}_{\vec{r}} f - \frac{\vec{F}_{\text{ext}}}{\hbar} \cdot \vec{\nabla}_{\vec{k}} f - \frac{(f - f^*(\vec{k}))}{\tau(\vec{k})} \quad (25)$$

- Still very general
- Starting point for studying transport properties
- Good for \vec{E} , \vec{B} , $-\vec{\nabla}T$, $-\vec{\nabla}\mu(\vec{r})$, ...; and various scattering processes
- Can solve for $f(\vec{r}, \vec{k}, t)$, thus transient response (time before steady state)
- For studying Steady State properties, set $\left(\frac{\partial f}{\partial t} \right) = 0$, solve for $f(\vec{r}, \vec{k})$
- \vec{E} , \vec{B} go into \vec{F}_{ext} ; $\vec{\nabla}T$, $\vec{\nabla}\mu(\vec{r})$ go into $\vec{\nabla}_{\vec{r}} f$,
can solve $f(\vec{r}, \vec{k})$ to any order of forces (linear and nonlinear response)
- Readily generalized to study out-of-equilibrium phonon distributions
($f(\vec{r}, \vec{k}, t)$ here is electron distribution)

Linear Response: a humble strategy with a big idea

Idea: $\vec{F}_{\text{ext}} = -e\vec{E}$, solve steady state $f \approx f^0 + \delta f$

and aim at δf to E^1

$$\vec{J}_e = 0 \quad \text{gives} \quad \vec{J}_e \neq 0$$

1st order in E (not so strong E) and ignore $\sim E^2, \sim E^3$ terms

$$\vec{J}_e \sim \delta f \sim \vec{E}, \text{ so } \vec{J}_e = \sigma \vec{E}$$

- does not depend on \vec{E} ($\because \vec{E}^1$ explicitly taken out)
- σ can be expressed in terms of quantities evaluated at equilibrium!

\therefore In linear response, we aim at finding $f(\vec{r}, t)$ to 1st order in the driving (external) forces.

The response can then be evaluated in terms of quantities referred to equilibrium.

StimulationsResponse Functions

\vec{E} electric field

conductivity

plus \vec{B} magnetic field

Magnetoresistance, Hall coefficient

$-\vec{\nabla}T$ temperature gradient

thermal conductivity

$-\vec{\nabla}\mu$ gradient of chemical potential

thermal power, Peltier coefficient

:

:

Scattering Processes for achieving Steady State

- electron-phonon, impurities (ionized, un-ionized), defects, sample boundary, low-temp

All can be treated under one roof! (The Boltzmann Equation)

Remarks

(i) (\vec{r}, \vec{p}) phase space (instead of (\vec{r}, \vec{k})), then $f(\vec{r}, \vec{p}, t)$
 f useful in solid states

$$\frac{\partial f}{\partial t} = -\vec{V} \cdot \vec{\nabla}_{\vec{r}} f - \vec{F} \cdot \vec{\nabla}_{\vec{p}} f - \frac{(f - f^0)}{\tau} \quad (26)$$

(ii) There is a quantum version of Boltzmann's approach based on Wigner Functions

(iii) Statistical Dynamics: How systems approach equilibrium

(beyond equilibrium statistical mechanics)

e.g. See Balescu, "Statistical Dynamics: Matter out of Equilibrium"

D. Electrical Conductivity σ

Q: What is that " τ " in $\frac{ne^2}{m^*} \tau$?

{ an averaged τ , what is the average? [in semiconductors]
 { a characteristic τ , what is it? [in metals]

- Static, Uniform (no \vec{r} -dependence) electric field only - \vec{E} ($\therefore \vec{F}_{\text{ext}} = -e\vec{E}$)
- $f(\vec{r}, \vec{k})$ in steady state is $f(\vec{k})$ only $\Rightarrow \nabla_{\vec{r}} f$ term vanishes
- \therefore Steady state Boltzmann Equation becomes (see Eq.(25))

$$\underset{\text{Steady state}}{0} = \frac{e\vec{E}}{\hbar} \cdot \nabla_{\vec{k}} f - \frac{\delta f(\vec{k})}{T(\vec{k})} \quad \delta f = f - f^o$$

$$\Rightarrow \frac{\delta f(\vec{k})}{T} = \frac{e\vec{E}}{\hbar} \cdot \nabla_{\vec{k}} f(\vec{k}) \quad \begin{matrix} \leftarrow \text{one factor of } \vec{E} \text{ out here} \\ \underbrace{f^o(\vec{k}) + \delta f(\vec{k})}_{\text{at least 1st order}} \end{matrix} \quad \Rightarrow f = f^o + \delta f \quad (27) \quad \begin{matrix} \text{wants this} \\ \text{to 1st order in } \vec{E} \end{matrix}$$

\therefore Linear Response \Rightarrow

$$\delta f(\vec{k}) = \frac{e}{\hbar} \tau(\vec{k}) \nabla_{\vec{k}} f^0(\vec{k}) \cdot \vec{E}$$

(28)

↑ equilibrium! ↗ linear in \vec{E}

This is the general linear response result, good for systems (bands) in which carriers are electrons (-e charged), i.e. semiconductors/metals

Further development

$$f^0(\vec{k}) = \frac{1}{e^{(\epsilon(\vec{k}) - E_F)/kT} + 1}$$

(including metals and semiconductors)

$$\frac{1}{\hbar} \nabla_{\vec{k}} f^0(\vec{k}) = \frac{\partial f^0}{\partial \epsilon} \cdot \frac{1}{\hbar} \nabla_{\vec{k}} \epsilon(\vec{k})$$

↖ energy

$$= \left(\frac{\partial f^0}{\partial \epsilon} \right) \vec{V}(\vec{k})$$

↖ a vector

pick up the tails as E_F in gap
(chain rule)

$$(\because \vec{V}(\vec{k}) = \frac{1}{\hbar} \nabla_{\vec{k}} \epsilon(\vec{k}))$$

band

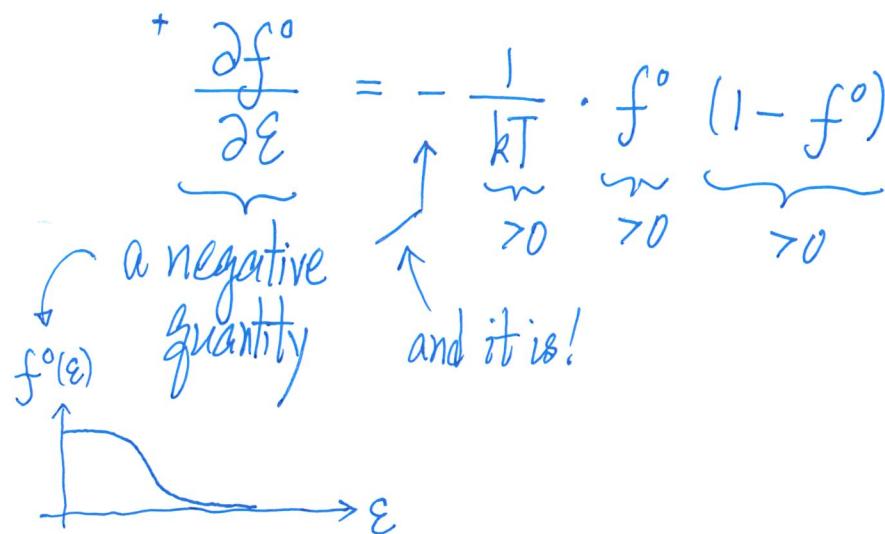
Inspect $\frac{\partial f^o}{\partial \varepsilon} = \frac{\partial}{\partial \varepsilon} \left[\frac{1}{e^{(\varepsilon - E_F)/kT} + 1} \right] = -\frac{1}{(e^{(\varepsilon - E_F)/kT} + 1)^2} \cdot e^{(\varepsilon - E_F)/kT} \cdot \frac{1}{kT}$

$$= -\frac{1}{kT} \cdot \left(\frac{1}{e^{(\varepsilon - E_F)/kT} + 1} \right) \cdot \frac{e^{(\varepsilon - E_F)/kT}}{e^{(\varepsilon - E_F)/kT} + 1}$$

$$= -\frac{1}{kT} \cdot f^o \cdot (1 - f^o) \quad (\text{general})^+$$

[or later see $f^o(1-f^o) \rightarrow -kT \left(\frac{\partial f^o}{\partial \varepsilon} \right)$]

(29)



true for semiconductors and metals

$$\therefore \delta f(\vec{k}) = e\tau(\vec{k}) \left(\frac{\partial f^o}{\partial \epsilon} \right) \vec{v}(\vec{k}) \cdot \vec{E} \xrightarrow{\text{order } \vec{E}^1} = -\frac{1}{kT} e\tau(\vec{k}) f^o (1-f^o) \vec{v}(\vec{k}) \cdot \vec{E}$$

$$\Rightarrow \boxed{f(\vec{k}) = f^o(\vec{k}) + e\tau(\vec{k}) \left(\frac{\partial f^o}{\partial \epsilon} \right) \vec{v}(\vec{k}) \cdot \vec{E}}$$

$$= f^o(\vec{k}) - \frac{e}{kT} \tau(\vec{k}) f^o (1-f^o) \vec{v}(\vec{k}) \cdot \vec{E}$$

(30)

both forms
are general

Remark : $f^o(1-f^o)$ will behave differently for { metals (degenerate gas)
semiconductors (non-degenerate gas)

(i) metals: E_F inside band, $f^o(1-f^o) = kT\delta(\epsilon-E_F)$

$$\text{or } \frac{\partial f}{\partial \epsilon} \rightarrow -\delta(\epsilon-E_F)$$

(ii) Semiconductors: E_F in gap, $f^o \sim e^{-(\epsilon-E_F)/kT}$ tail in CB ($\ll 1$)

$$1-f^o \sim 1$$

$$f^o(1-f^o) \sim e^{-(\epsilon-E_F)/kT} = e^{E_F/kT} \cdot e^{-\epsilon/kT} \text{ and } \frac{\partial f}{\partial \epsilon} = -\frac{1}{kT} \cdot f^o$$

Appreciating the physics in $f(\vec{k})$:

$$f(\vec{k}) = f^0(\vec{k}) + e \underbrace{\tau(\vec{k}) \left(\frac{\partial f^0}{\partial \vec{E}} \right)}_{\vec{V}(\vec{k}) \cdot \vec{E}} \quad (30)$$

- ③ giving rise to steady state \uparrow
not giving \vec{J}_e [equilibrium term]
- ② counteracted by scattering \uparrow
- ① effect of \vec{E} to shift equilibrium f^0 is... \uparrow

Read ①, ②, ③ in order

- $f(\vec{k})$ replaces $f^0(\vec{k})$ in presence of \vec{E}
- Need to consider states at different \vec{k} 's (DOS) to obtain responses

Formal Expression of Electrical Conductivity Tensor

$$\vec{J}_e = (-e) \int_{\text{1st B.Z.}} d^3k \frac{2}{(2\pi)^3} \cdot \left[\underbrace{f^0(\vec{k}) + e\tau(\vec{k}) \left(\frac{\partial f^0}{\partial \epsilon} \right) \vec{V}(\vec{k}) \cdot \vec{\epsilon}}_{\text{gives "0" for } \vec{J}_e} \right] \vec{V}(\vec{k}) \quad (\text{see Eq. (19)})$$

$$= e^2 \int_{\text{1st B.Z.}} d^3k \frac{2}{(2\pi)^3} \left(-\frac{\partial f^0}{\partial \epsilon} \right) \sum_j v_j(\vec{k}) \epsilon_j \tau(\vec{k}) \vec{V}(\vec{k}) \quad (31)$$

$$\begin{aligned} (\vec{J}_e)_i &= \sum_j \left[\frac{2}{(2\pi)^3} e^2 \int d^3k \left(-\frac{\partial f^0}{\partial \epsilon} \right) v_i(\vec{k}) v_j(\vec{k}) \tau(\vec{k}) \right] \epsilon_j = \sum_j \sigma_{ij} \epsilon_j \quad (32) \\ &\text{positive} \end{aligned}$$

For $\epsilon(\vec{k}) \sim \frac{\hbar^2 k^2}{2m^*}$ (isotropic),

$$\sigma_{xx} = \sigma_{yy} = \sigma_{zz} = \sigma, \quad \sigma_{ij} = 0 \quad (i \neq j)$$

band structure information
(m^* comes in)

The " τ " in $\frac{mc^2}{m^*} \tau$
is an average (non-trivial)
as a consequence of Boltzmann
Transport Theory

In a discrete summation form:

$$\vec{J}_e = \frac{(-e)}{V} \sum_{\vec{k} \text{ (in B.Z.)}} \sum_{\text{spin}} e \gamma(\vec{k}) \left(\frac{\partial f^0}{\partial E} \right) \vec{v}(\vec{k}) \cdot \vec{E}$$

$\vec{v}(\vec{k}) = \underbrace{\overleftarrow{\sigma} \cdot \vec{E}}_{\substack{3 \times 3 \\ 3 \times 1 \\ 3 \times 1}}$

\vec{J}_e is a 3×1 vector.

$\int \frac{V}{(2\pi)^3} d^3 k$ is a "2"

$\delta f(\vec{k})$ is a 3×1 vector.

$$\boxed{T_{ij} = \frac{e^2}{V} \sum_{\vec{k}} \sum_{\text{spin}} \left(-\frac{\partial f^0}{\partial E} \right) v_i(\vec{k}) v_j(\vec{k}) \gamma(\vec{k})} \quad (32a)$$

Expression for Mobility-

average drift velocity

$$\langle \vec{v} \rangle_{av} = \frac{1}{N_e} \sum_{\vec{k}} \sum_{\text{spin}} \left[e \gamma(\vec{k}) \left(\frac{\partial f^0}{\partial E} \right) \vec{v}(\vec{k}) \cdot \vec{E} \right] \vec{v}(\vec{k}) = (-e) V \frac{1}{N_e} \vec{J}_e$$

$$\therefore \boxed{\vec{J}_e = (-e) n \langle \vec{v} \rangle_{av}}$$

$$\overleftarrow{\sigma} \cdot \vec{E} = -\vec{\mu} \cdot \vec{E}$$

mobility tensor (positive)

$N_e = \# \text{ electrons in band}$; $\frac{N_e}{V} = n = \text{electron number density}$

$$\therefore \boxed{T_{ij} = e n \mu_{ij}}$$

positive

Remarks

- Obtained general expression for the conductivity (within linear response)
- See Eq. (32) (32a): } involve $-\frac{\partial f^o}{\partial \epsilon} \leftarrow$ equilibrium f^o 's derivative
- } involve $e^2 v_i(\vec{k}) v_j(\vec{k}) \approx$ correlation function
- } involve $\tau(\vec{k})$ inside $\sum_{\vec{k}}$ (etc.) $\Rightarrow \frac{n e^2 \tau}{m} \leftarrow$ non-trivial average
- Can derive general expressions for other responses