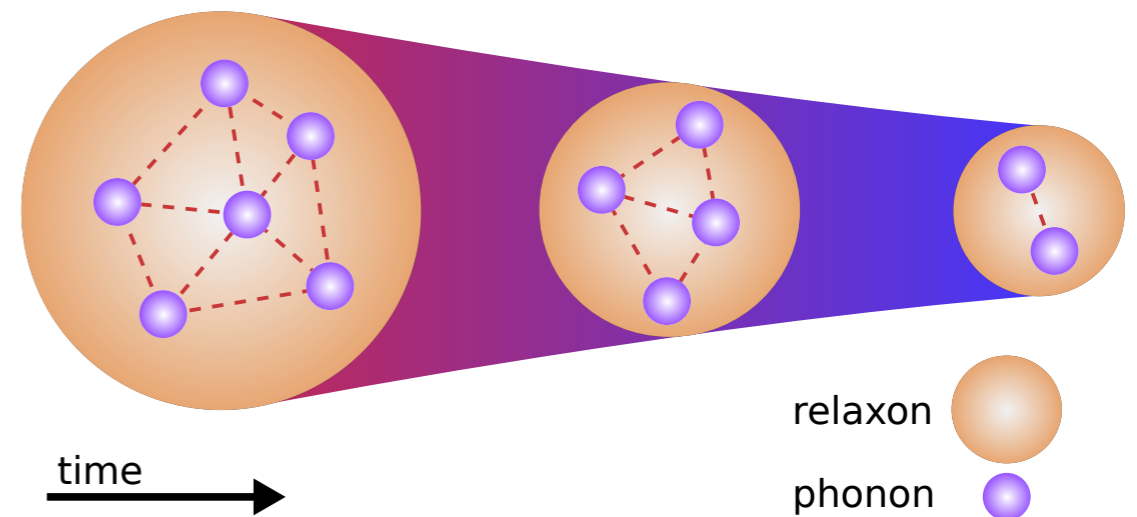
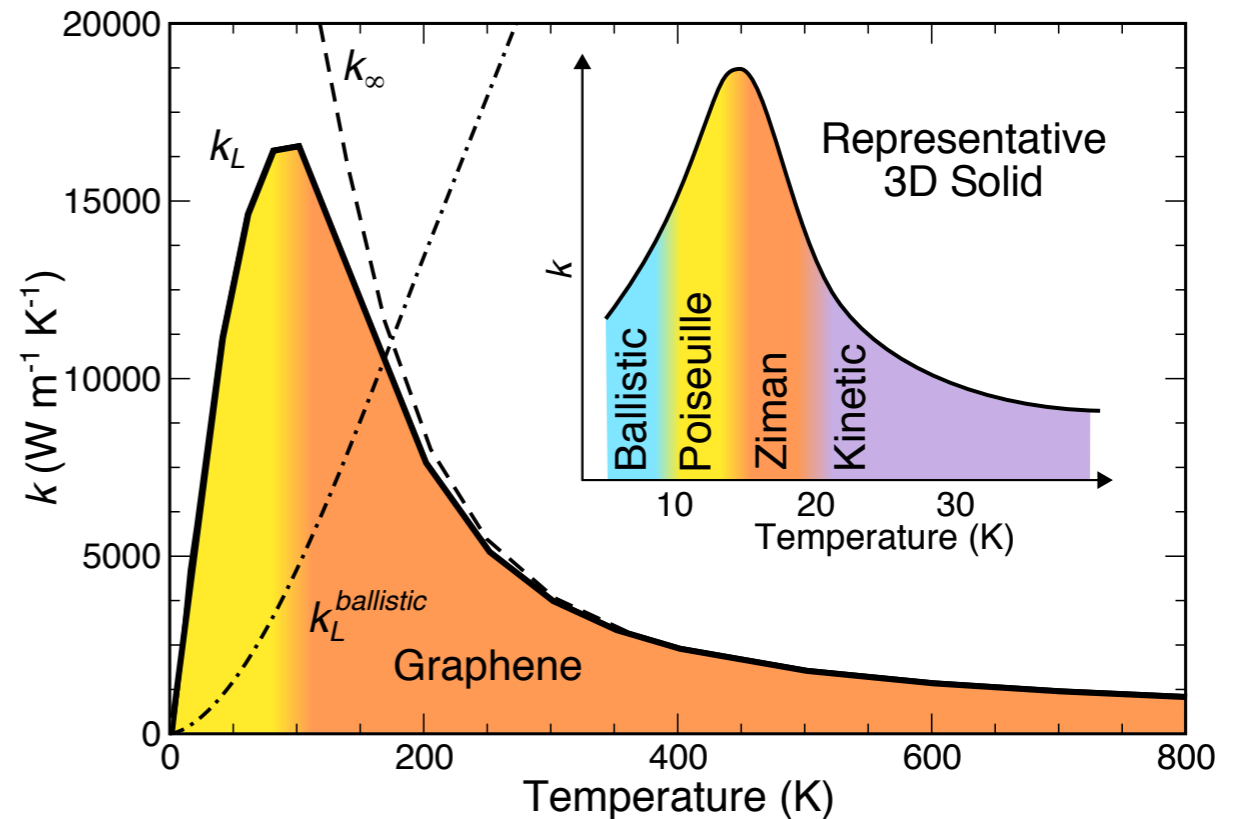


# Emergent Phenomena in Phonon Thermal Transport

# Lattice thermal transport

## Outline

- Semiclassical Boltzmann transport equation;
- What is the relaxation time approximation and when does it fail;
- Formal definition of collective excitations: relaxons
- Surface scattering
- Second sound



# Acknowledgements

## Thanks to:

- Nicola Marzari, EPFL Switzerland
- Francesco Mauri, La Sapienza, Italy
- Michele Lazzeri, UPMC, France
- Lorenzo Paulatto, UPMC, France
- Giorgia Fugallo, École Polytechnique, France
- Steven G. Louie, UC Berkeley, USA



## Funding:



SWISS NATIONAL SCIENCE FOUNDATION



**CSCS**

Centro Svizzero di Calcolo Scientifico  
Swiss National Supercomputing Centre

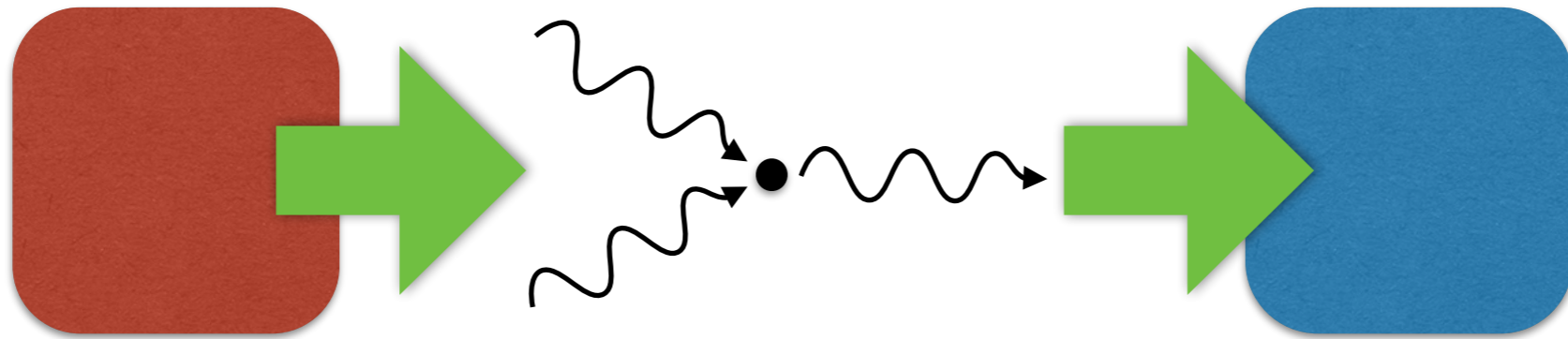
# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
Index on  
all states

# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
Index on all states

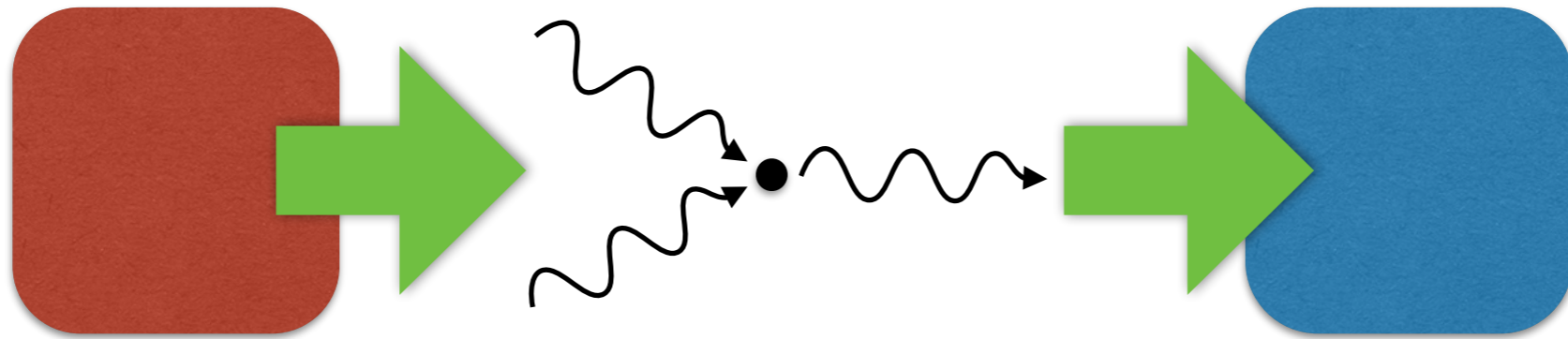
If the system is out-of-equilibrium, populations change:  $n_\mu = \bar{n}_\mu + \Delta n_\mu$



# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
Index on all states

If the system is out-of-equilibrium, populations change:  $n_\mu = \bar{n}_\mu + \Delta n_\mu$



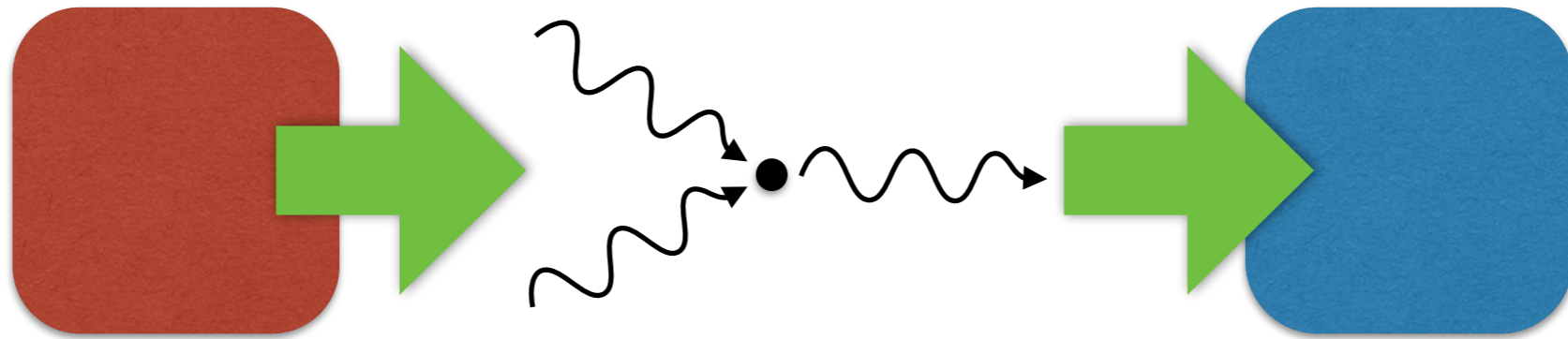
Linearised Boltzmann transport equation

$$\frac{\partial n_\mu}{\partial t} + \mathbf{v}_\mu \cdot \nabla n_\mu = -\frac{1}{\tau} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'}$$

# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
 Index on all states

If the system is out-of-equilibrium, populations change:  $n_\mu = \bar{n}_\mu + \Delta n_\mu$



Linearised Boltzmann transport equation

$$\frac{\partial n_\mu}{\partial t} + \mathbf{v}_\mu \cdot \nabla n_\mu = -\frac{1}{\tau} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'}$$

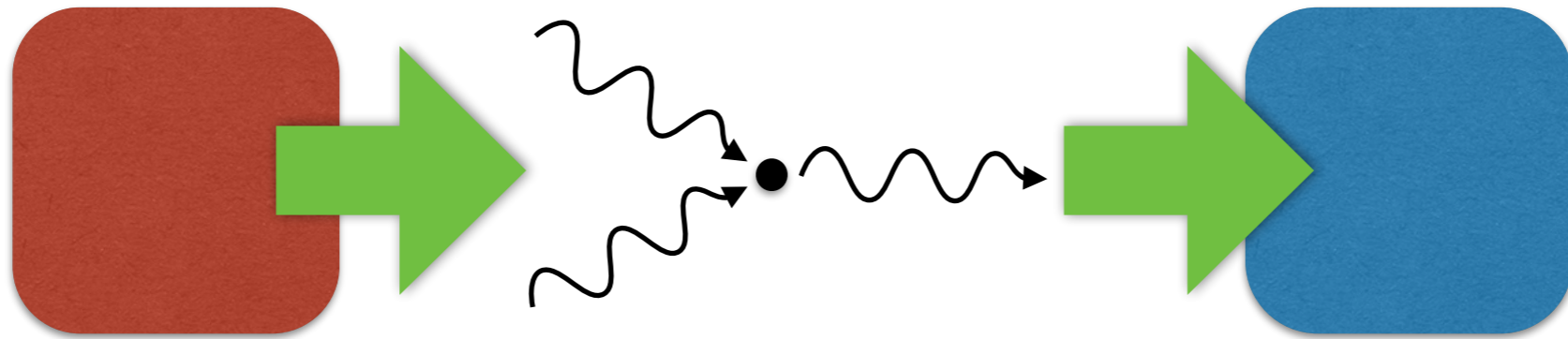
Diffusion / Liouville  
operator

Collision / scattering  
operator (linearised)

# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
Index on all states

If the system is out-of-equilibrium, populations change:  $n_\mu = \bar{n}_\mu + \Delta n_\mu$



Linearised Boltzmann transport equation

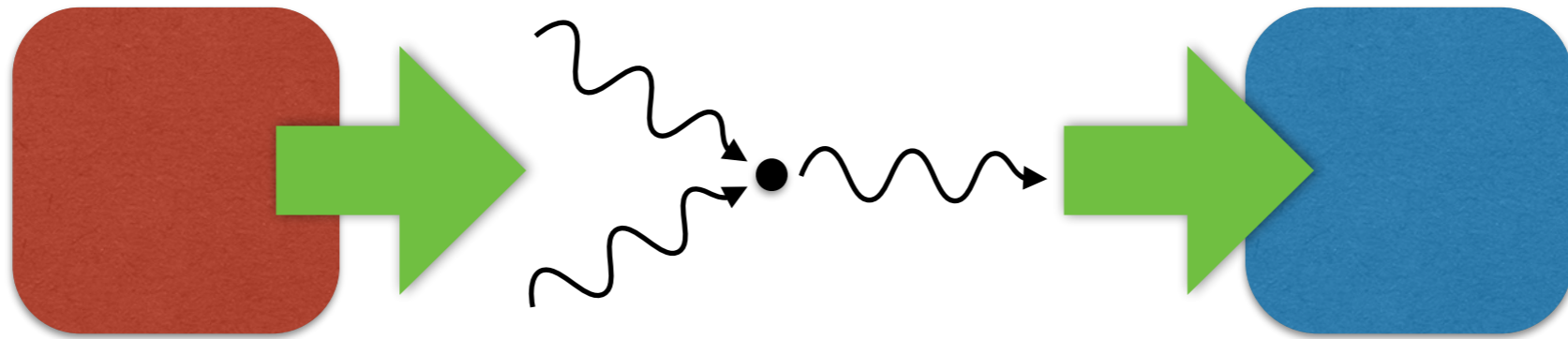
$$\frac{\partial n_\mu}{\partial t} + \mathbf{v}_\mu \cdot \nabla n_\mu = -\frac{1}{\tau} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'}$$



# Lattice thermal transport

Phonon population at equilibrium:  $\bar{n}_\mu = \frac{1}{e^{\hbar\omega_\mu/k_B T} - 1}$   $\mu = (\mathbf{q}, s)$   
 Index on all states

If the system is out-of-equilibrium, populations change:  $n_\mu = \bar{n}_\mu + \Delta n_\mu$



Linearised Boltzmann transport equation

$$\frac{\partial n_\mu}{\partial t} + \mathbf{v}_\mu \cdot \nabla n_\mu = -\frac{1}{\nu} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'}$$

Thermal conductivity:

$$k = -\frac{Q}{\nabla T} = -\frac{\sum_{\mu} \hbar\omega_{\mu} v_{\mu} \Delta n_{\mu}}{\nu \nabla T}$$

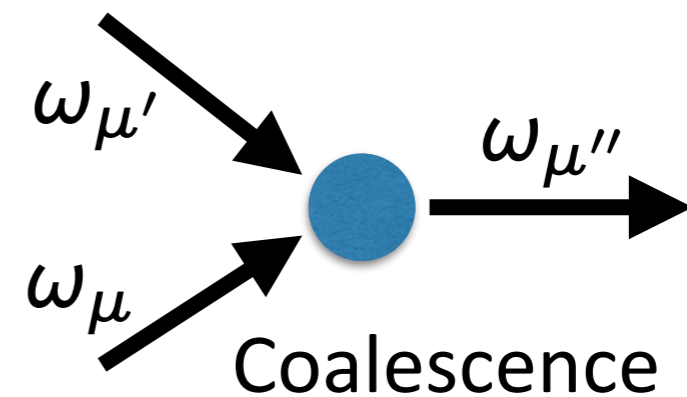
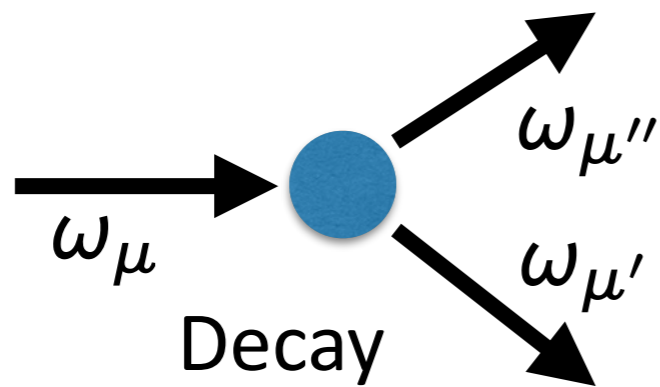
Within harmonic approximation (Hardy)

# Boltzmann from first principles

## 3-phonon interactions

*Vanderbilt, Louie, Cohen PRB 33, 8740 (1986)*

*Vanderbilt, Taole, Narasimhan PRB 40, 5657 (1989)*

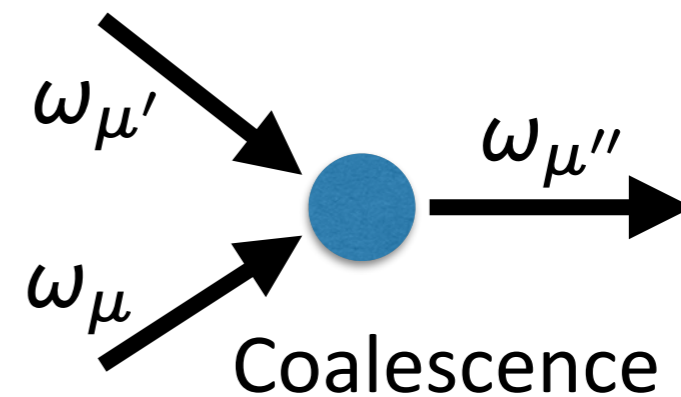
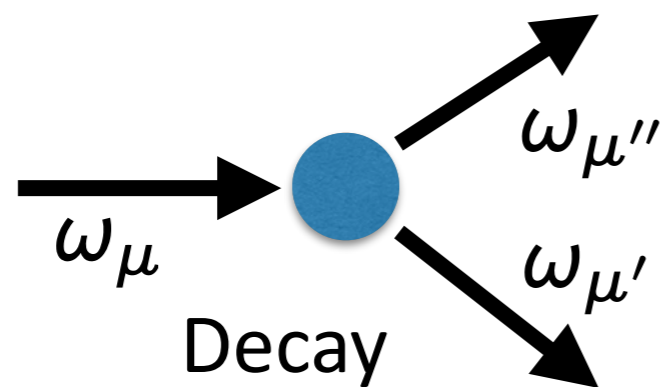


# Boltzmann from first principles

## 3-phonon interactions

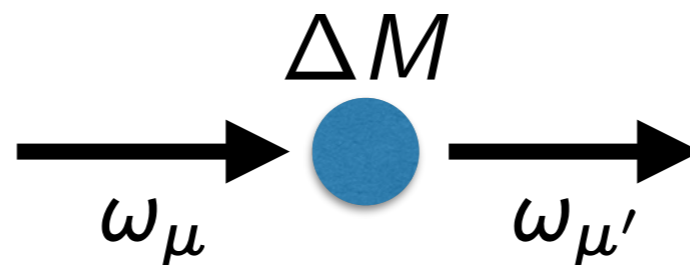
*Vanderbilt, Louie, Cohen PRB 33, 8740 (1986)*

*Vanderbilt, Taole, Narasimhan PRB 40, 5657 (1989)*



## Mass disorder (isotopes)

*Garg, Bonini, Kozinsky, Marzari PRL 106, 045901 (2011)*



# Boltzmann from first principles

Phonons properties with density functional perturbation theory

$$\frac{\partial^2 E}{\partial u_1 \partial u_2}$$

dynamical matrix

(provides phonon frequencies and eigenvectors)

*Baroni, de Gironcoli, Dal Corso, Giannozzi  
Rev. Mod. Phys. 75, 515 (2001)*

$$\frac{\partial^3 E}{\partial u_1 \partial u_2 \partial u_3}$$

3rd-order anharmonic force constants

(provides 3-phonon coupling strengths)

*Debernardi, Baroni, Molinari PRL 75, 1819 (1995)  
Paulatto, Mauri, Lazzeri PRB 87, 214303 (2013)*

Available in Quantum-ESPRESSO

[www.quantum-espresso.org](http://www.quantum-espresso.org)



# Relaxation time approximation

Often, the Boltzmann equation is simplified using the Single-Mode relaxation time Approximation (SMA):

$$\frac{1}{v} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'} \approx \frac{\Delta n_{\mu}}{\tau_{\mu}^{\text{SMA}}} \longrightarrow \text{Time between phonon collisions}$$

# Relaxation time approximation

Often, the Boltzmann equation is simplified using the Single-Mode relaxation time Approximation (SMA):

$$\frac{1}{\mathcal{V}} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'} \approx \frac{\Delta n_{\mu}}{\tau_{\mu}^{\text{SMA}}} \longrightarrow \text{Time between phonon collisions}$$

With this approximation, thermal conductivity is simply given by a kinetic theory of the phonon 'gas':

$$k = \frac{1}{\mathcal{V}} \sum_{\mu} C_{\mu} v_{\mu} \Lambda_{\mu}^{\text{SMA}}$$

# Relaxation time approximation

Often, the Boltzmann equation is simplified using the Single-Mode relaxation time Approximation (SMA):

$$\frac{1}{\mathcal{V}} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'} \approx \frac{\Delta n_{\mu}}{\tau_{\mu}^{\text{SMA}}} \longrightarrow \text{Time between phonon collisions}$$

With this approximation, thermal conductivity is simply given by a kinetic theory of the phonon 'gas':

$$k = \frac{1}{\mathcal{V}} \sum_{\mu} C_{\mu} v_{\mu} \Lambda_{\mu}^{\text{SMA}}$$

Phonon specific heat

Phonon group velocity

Phonon mean free path

$$\Lambda_{\mu}^{\text{SMA}} = v_{\mu} \tau_{\mu}^{\text{SMA}}$$

# Relaxation time approximation

Often, the Boltzmann equation is simplified using the Single-Mode relaxation time Approximation (SMA):

$$\frac{1}{\mathcal{V}} \sum_{\mu'} \Omega_{\mu\mu'} \Delta n_{\mu'} \approx \frac{\Delta n_{\mu}}{\tau_{\mu}^{\text{SMA}}} \longrightarrow \text{Time between phonon collisions}$$

With this approximation, thermal conductivity is simply given by a kinetic theory of the phonon 'gas':

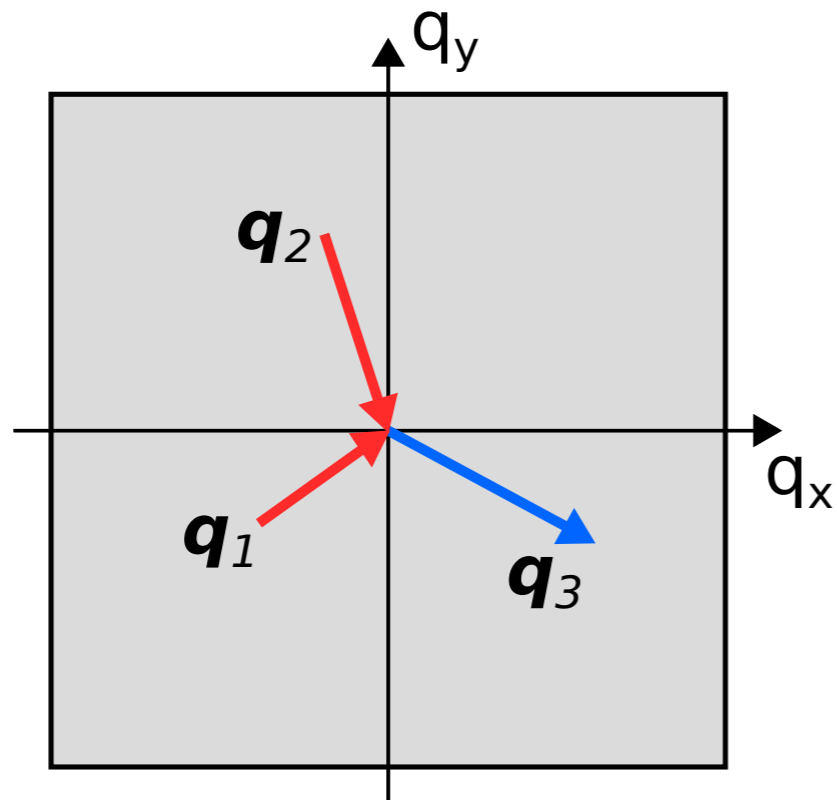
$$k = \frac{1}{\mathcal{V}} \sum_{\mu} C_{\mu} v_{\mu} \Lambda_{\mu}^{\text{SMA}}$$

$$\Lambda_{\mu}^{\text{SMA}} = v_{\mu} \tau_{\mu}^{\text{SMA}}$$

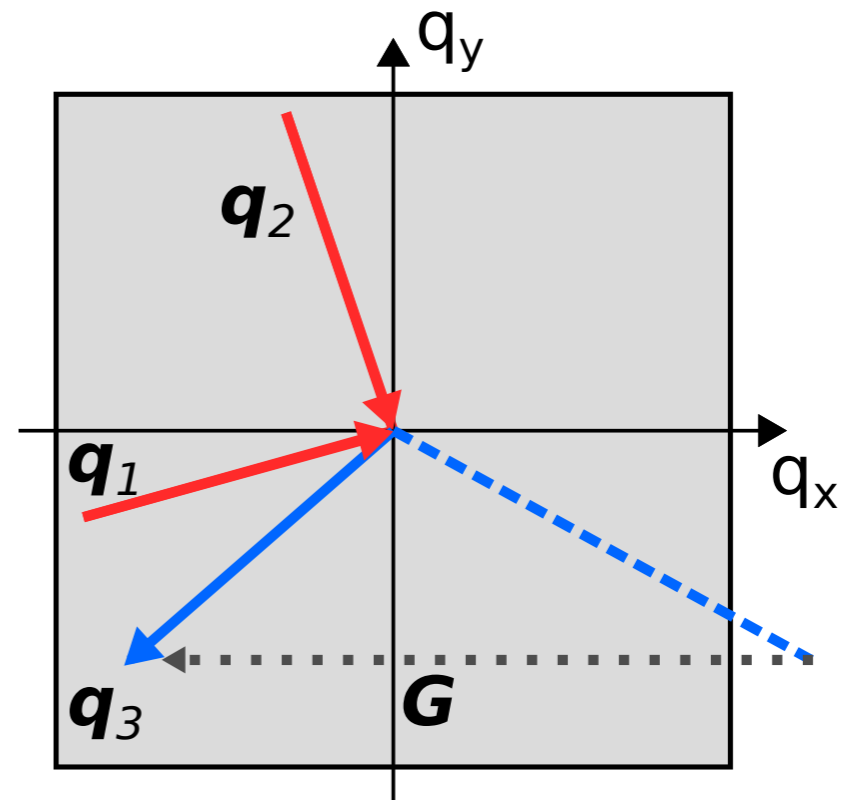
$$k \sim \tau_{\mu}^{\text{SMA}} \implies \text{heat flux dissipated at every scattering event}$$



# What's wrong with the SMA?



Normal process

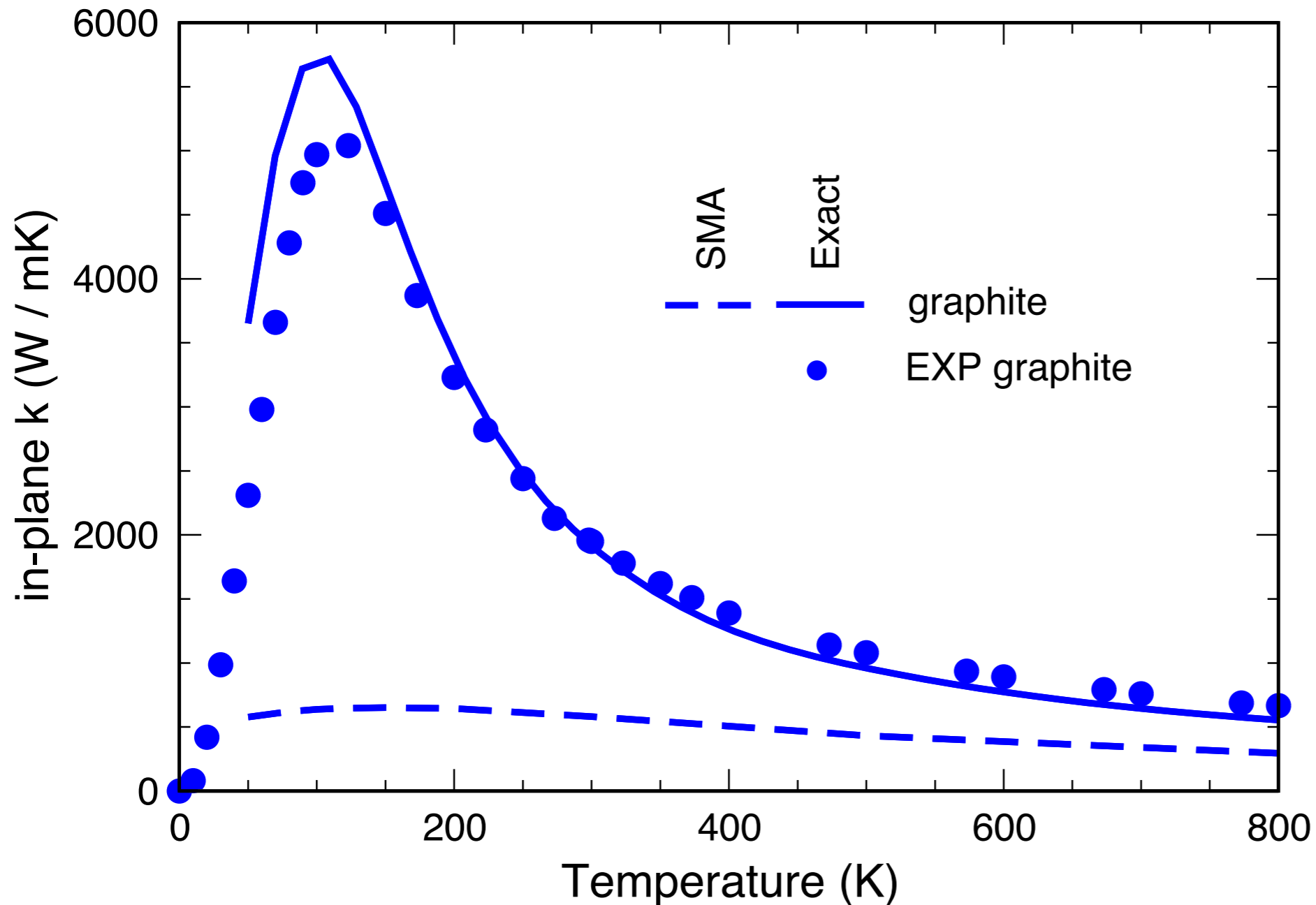


Umklapp process

	Normal	Umklapp
“Momentum” conservation	✓	✗
Heat flux conservation	✓	✗

Phonon scatterings don't always dissipate heat flux, as the SMA incorrectly assumes.

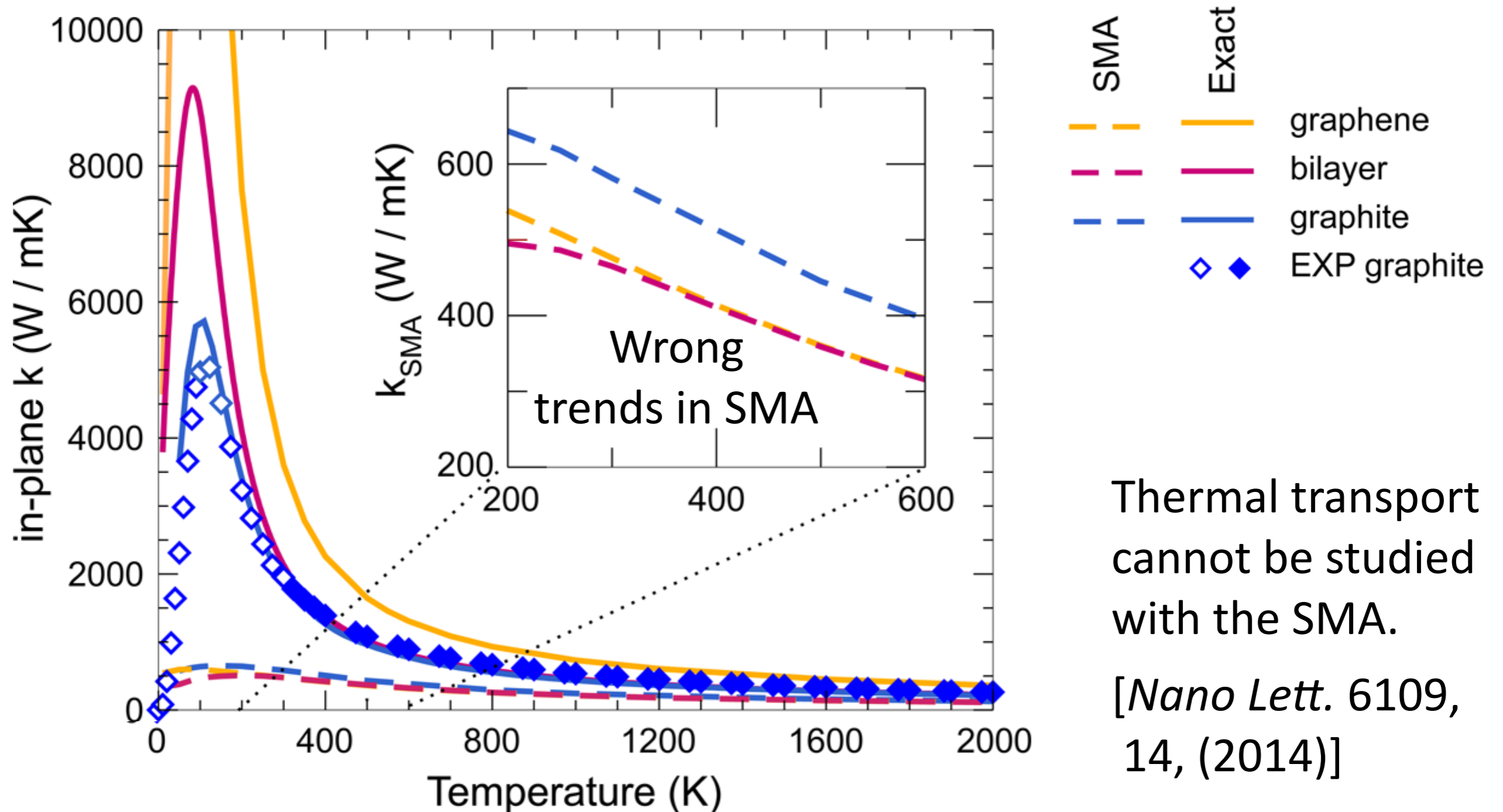
# Graphite in-plane



The exact solution is necessary in graphite.

[*Nano Lett.* 6109, 14, (2014)]

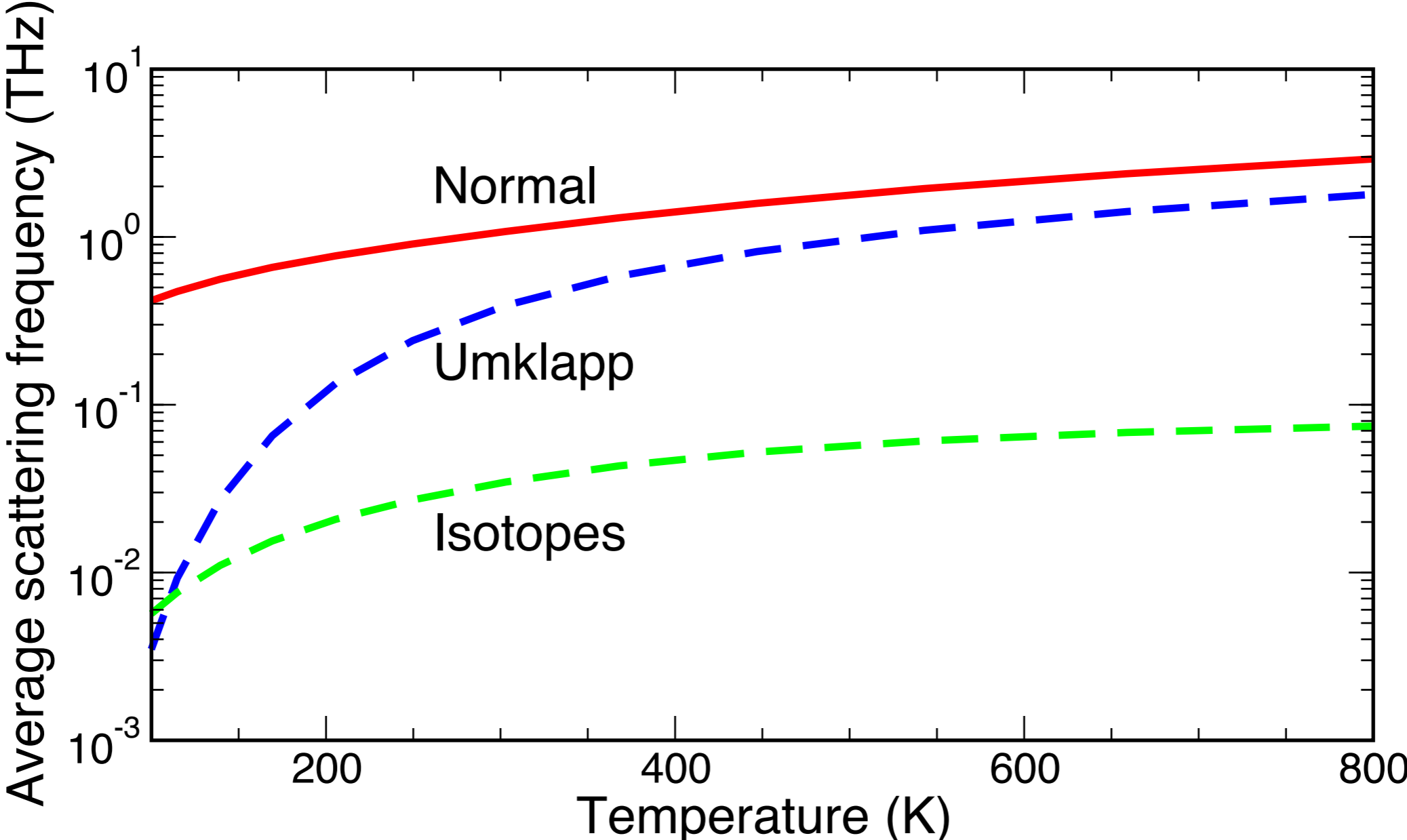
# Graphite and graphene



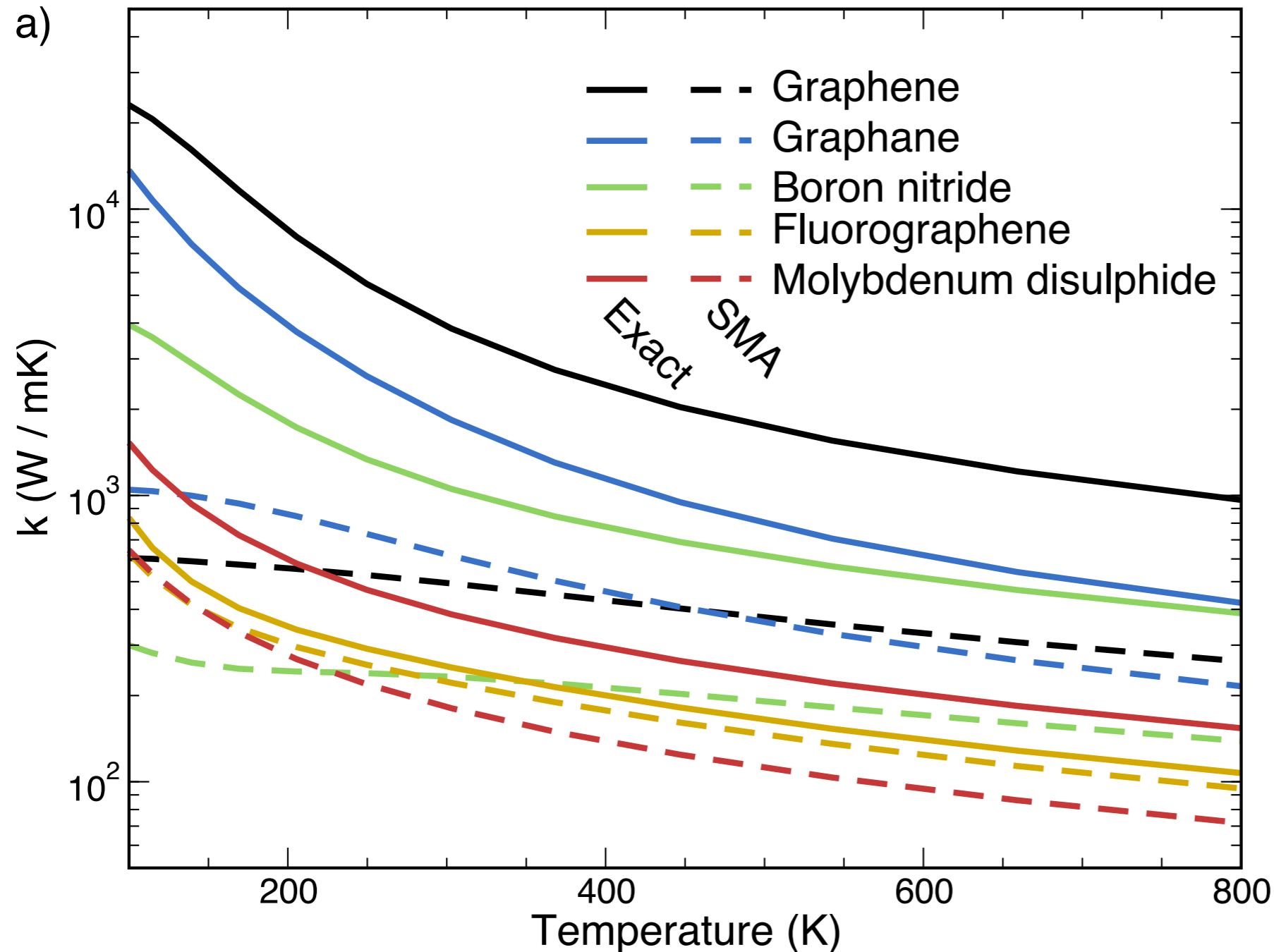
Thermal transport cannot be studied with the SMA.

[*Nano Lett.* 6109, 14, (2014)]

# Graphene: Normal vs Umklapp



# Exact vs SMA conductivity

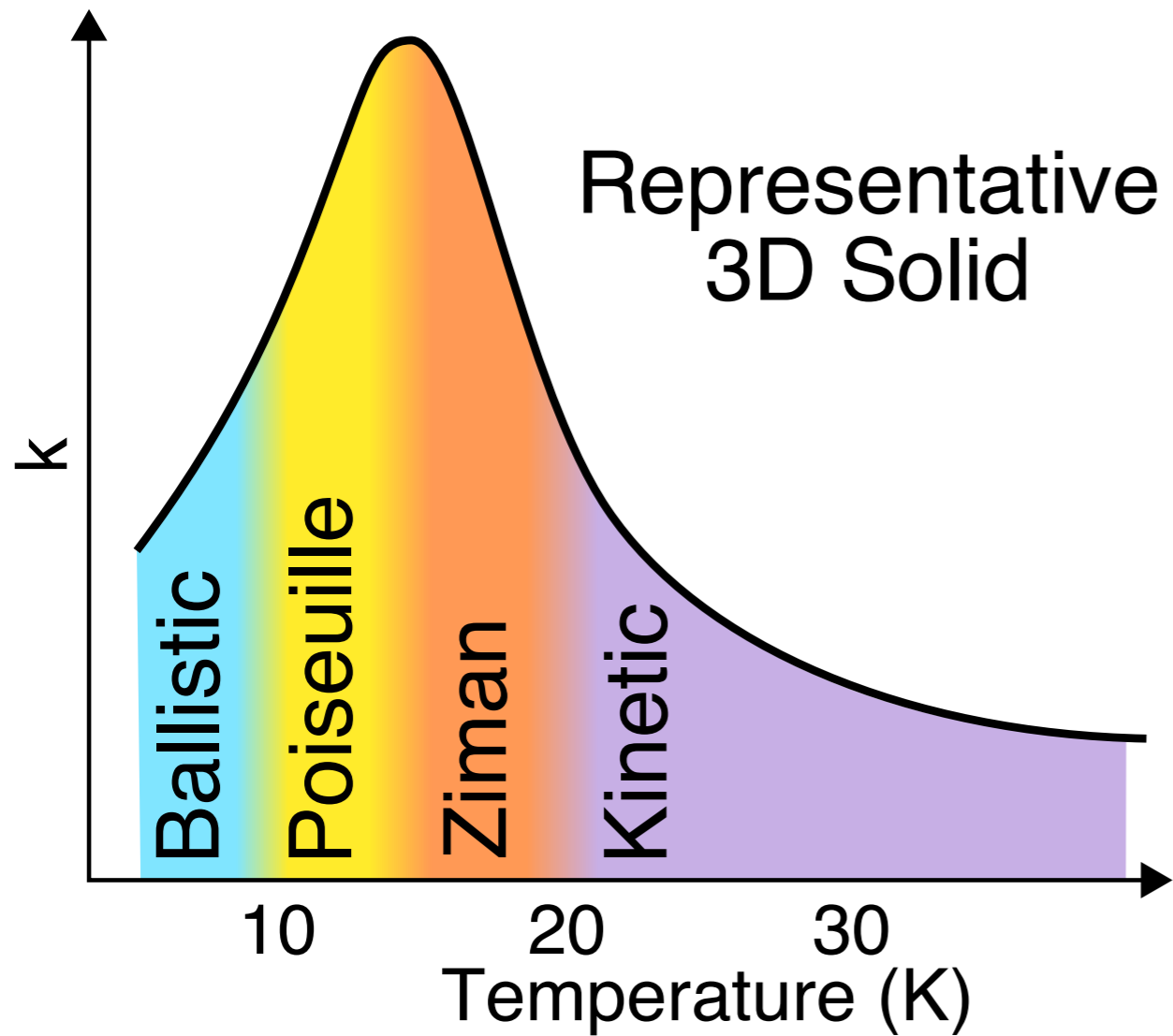


The exact solution of the Boltzmann transport equation is necessary in 2D materials.

[*Nat. Commun.* **6**, 7400 (2015)]

Failure first found in graphene: [*Lindsay et al. PRB* **82**, 115427 (2010)]

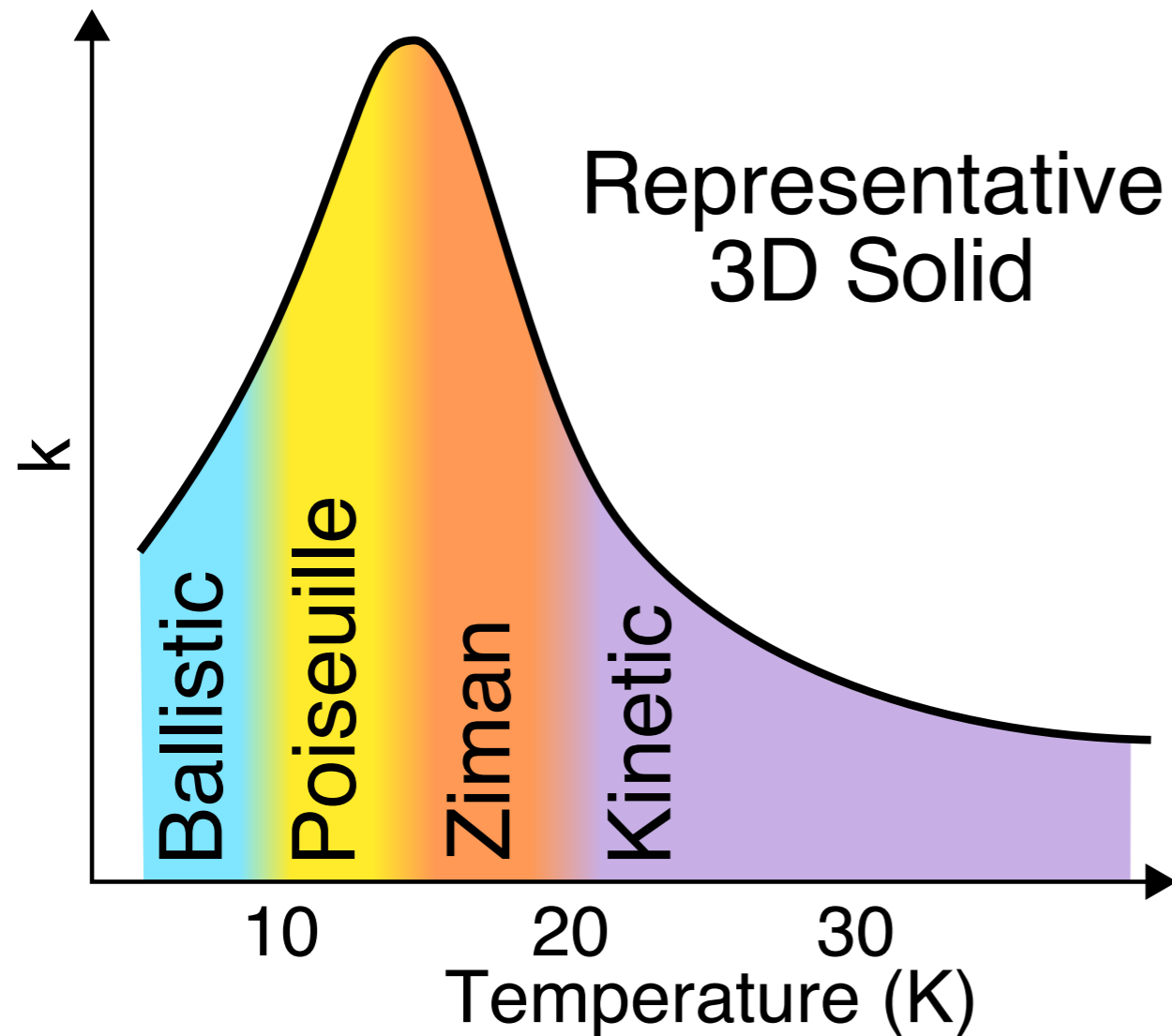
# Heat transport regimes



*Cepellotti A. et al.*

*Nat. Commun.* **6**, 7400 (2015)

# Heat transport regimes



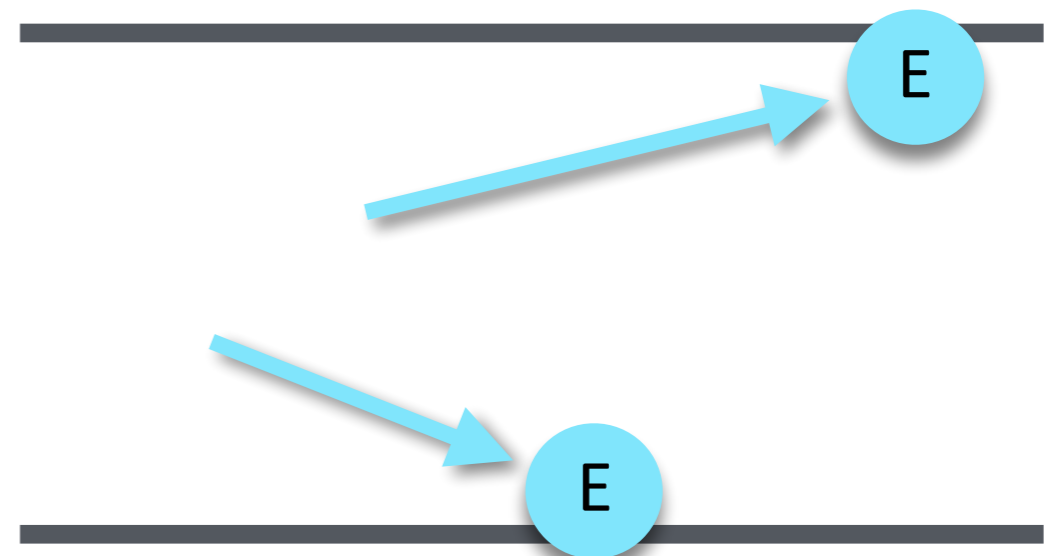
*Cepellotti A. et al.*

*Nat. Commun.* **6**, 7400 (2015)

Ballistic	$E \gg N$ and $E \gg U$

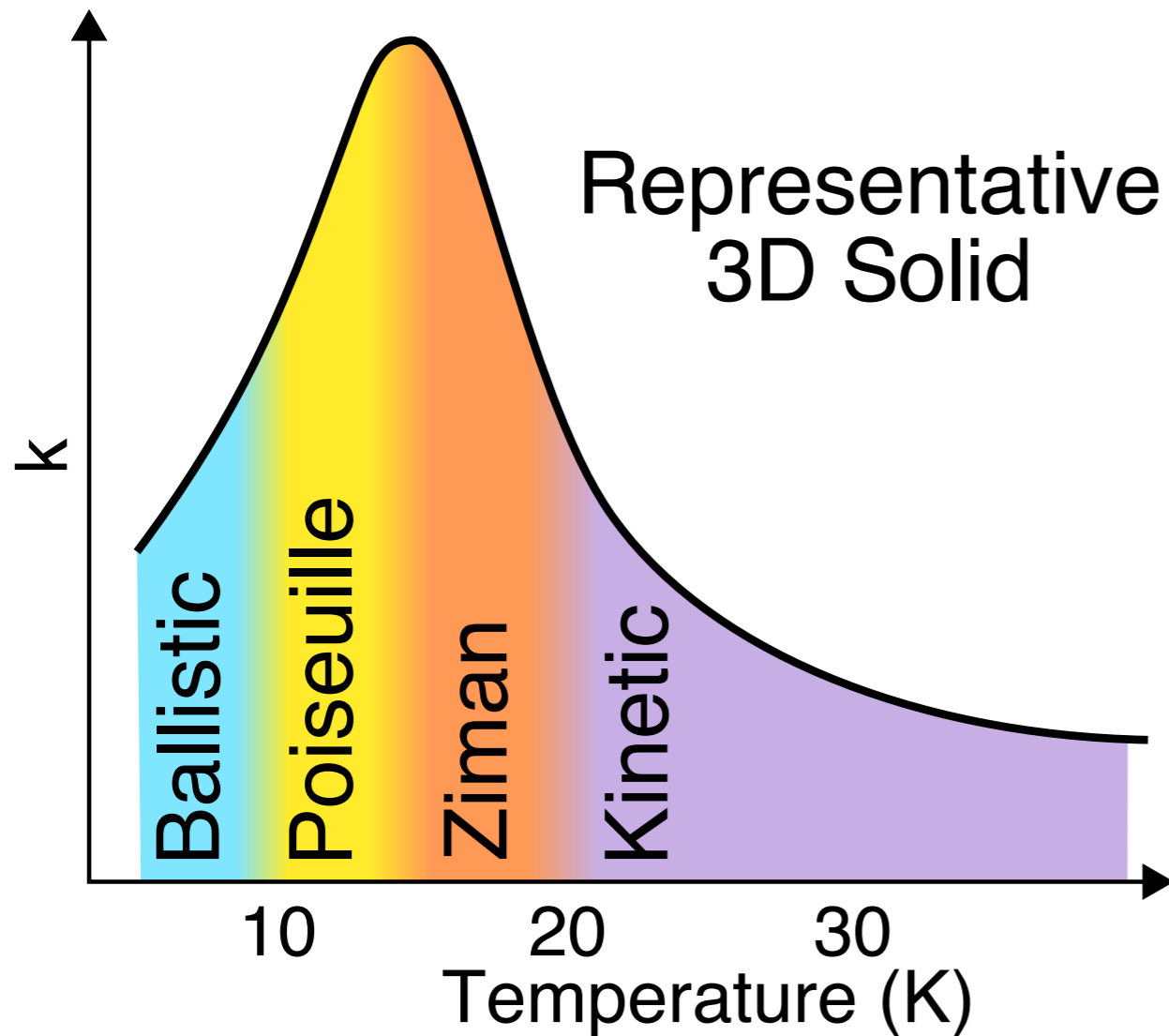
Scattering rates of extrinsic (E), Normal (N) and Umklapp (U) events

Ballistic regime:



**Phonons scatter and dissipate heat only on the surfaces.**

# Heat transport regimes



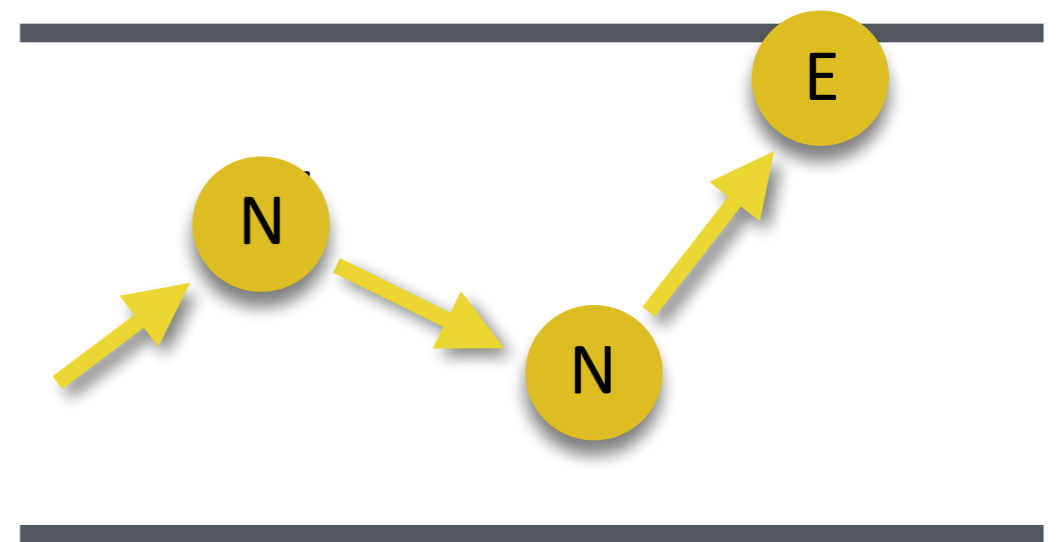
*Cepellotti A. et al.*

*Nat. Commun.* **6**, 7400 (2015)

Ballistic	$E \gg N$ and $E \gg U$
Poiseuille	$N \gg E \gg U$

Scattering rates of extrinsic (E), Normal (N) and Umklapp (U) events

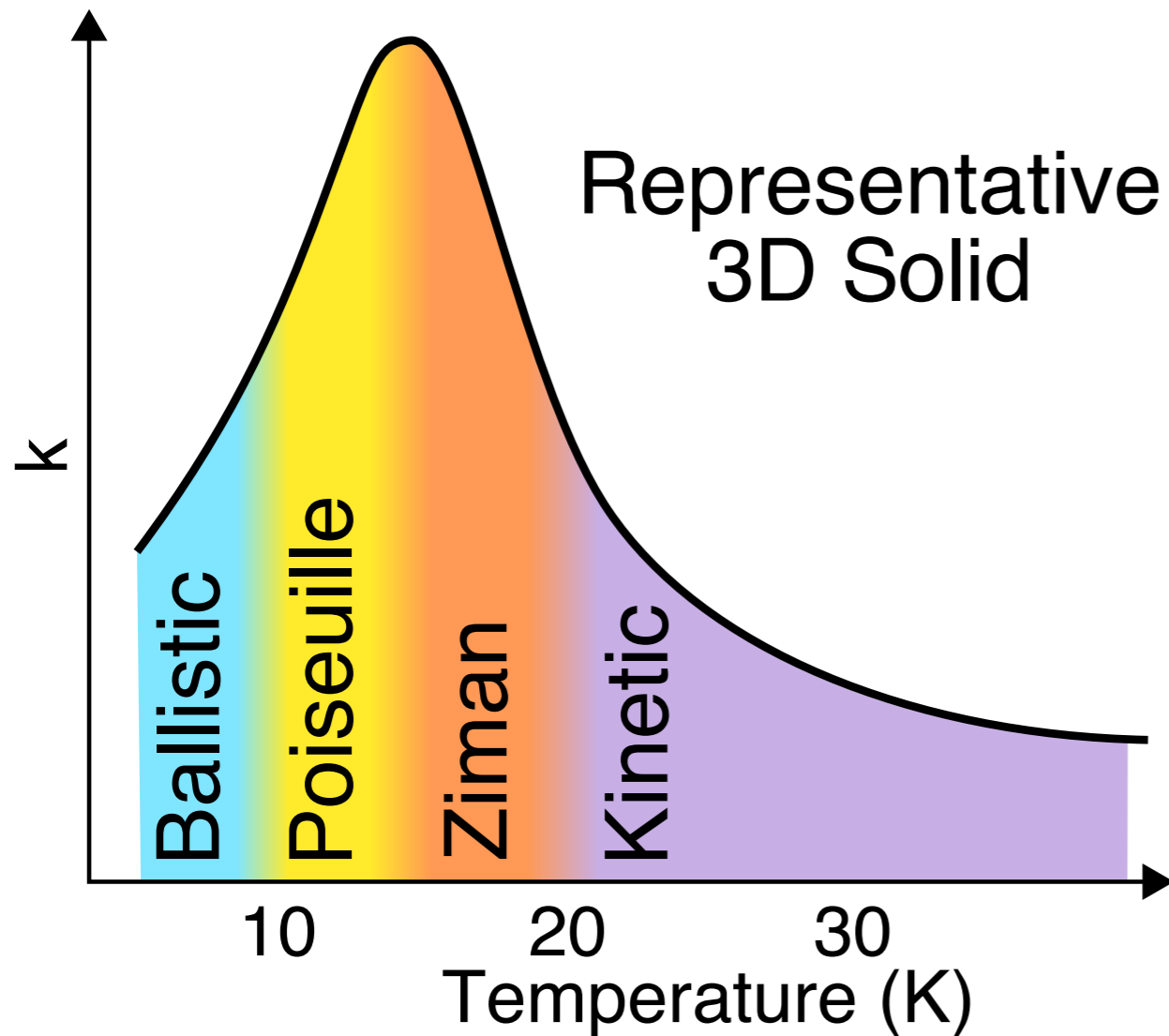
Poiseuille regime:



**N processes dominate, and the phonon fluid still feels the “walls”**



# Heat transport regimes



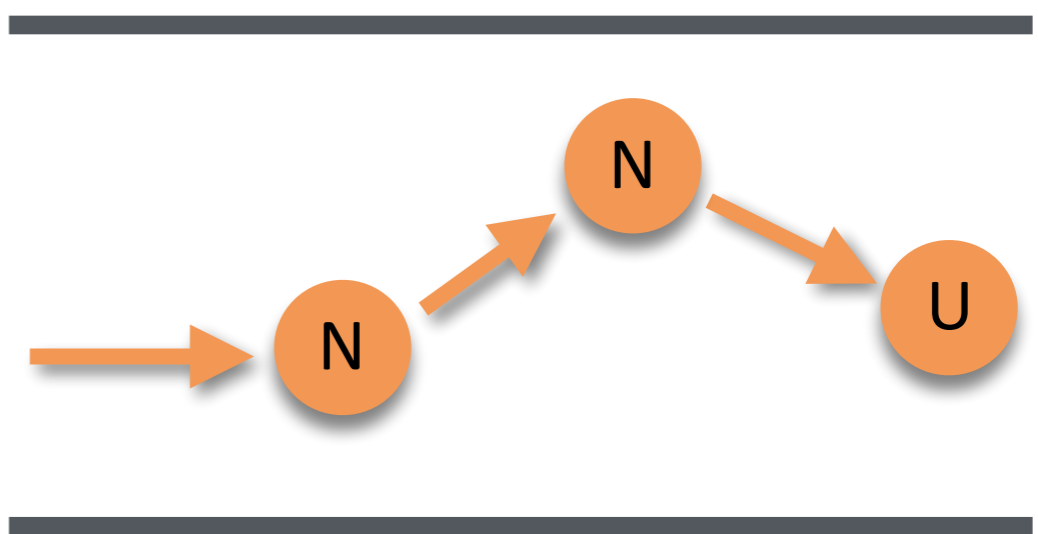
*Cepellotti A. et al.*

*Nat. Commun.* **6**, 7400 (2015)

Ballistic	$E \gg N$ and $E \gg U$
Poiseuille	$N \gg E \gg U$
Ziman	$N \gg U \gg E$
Kinetic	

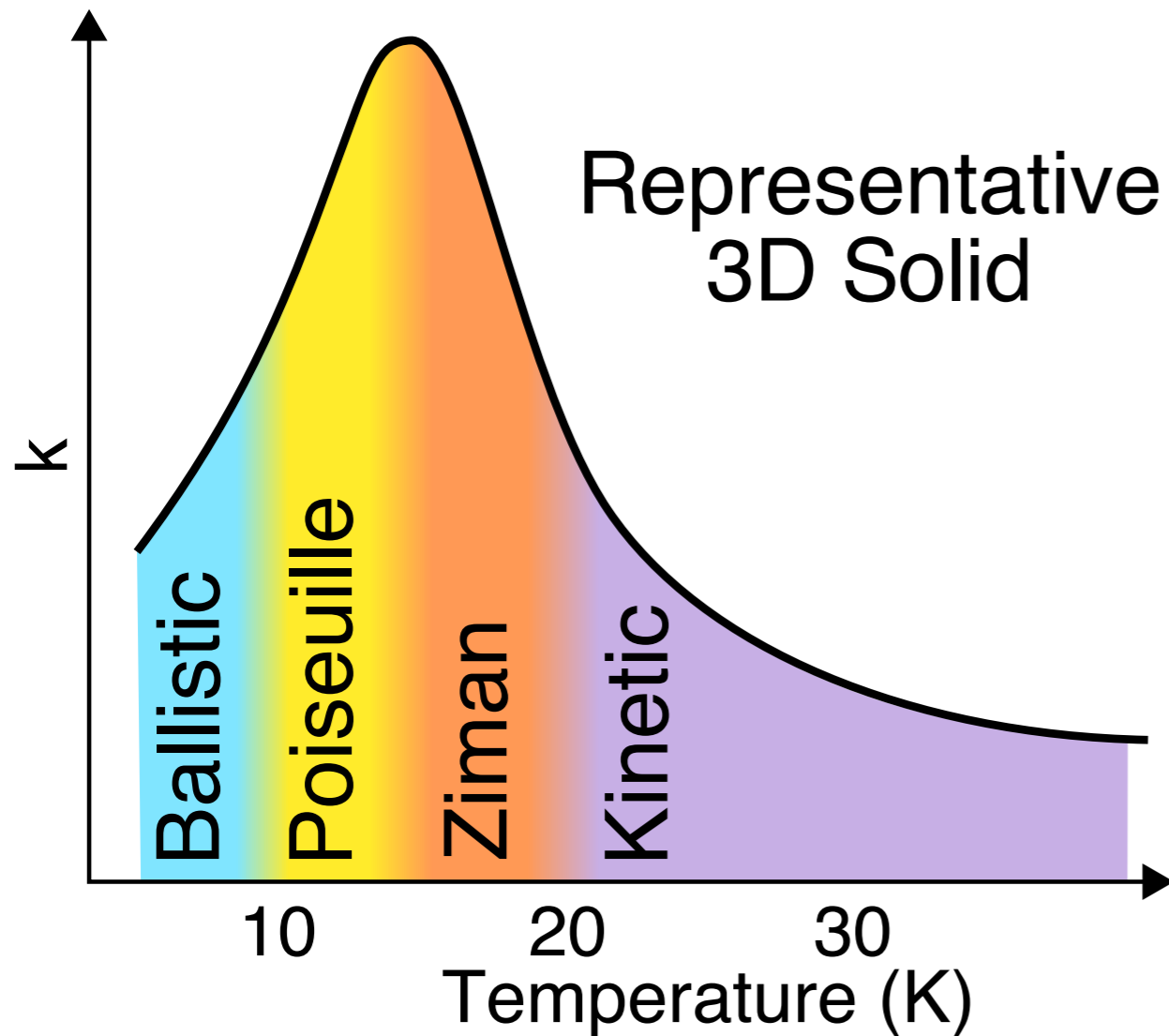
Scattering rates of extrinsic (E), Normal (N) and Umklapp (U) events

Ziman regime:



**N processes dominate and heat is dissipated internally by U**

# Heat transport regimes



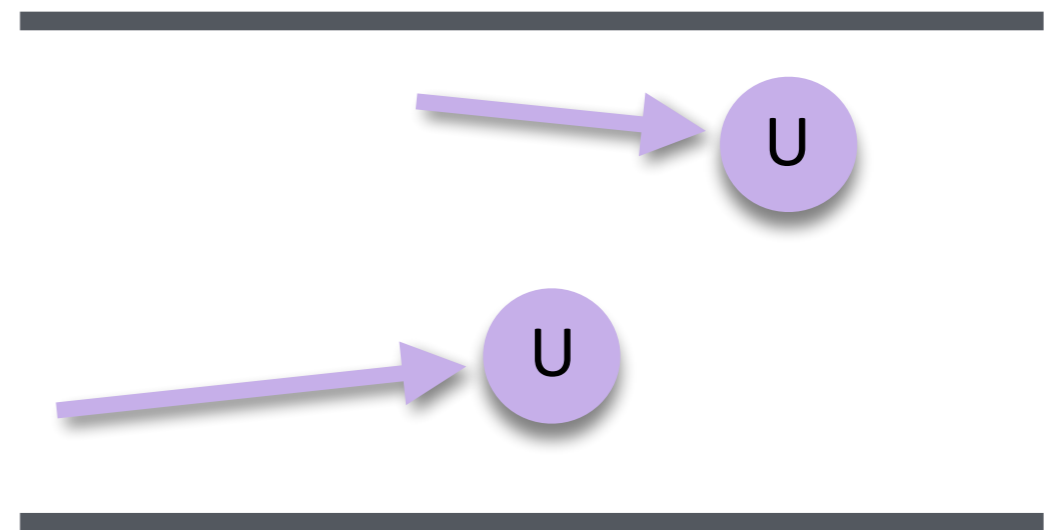
*Cepellotti A. et al.*

*Nat. Commun.* **6**, 7400 (2015)

Ballistic	$E \gg N$ and $E \gg U$
Poiseuille	$N \gg E \gg U$
Ziman	$N \gg U \gg E$
Kinetic	$U \gg N$ and $U \gg E$

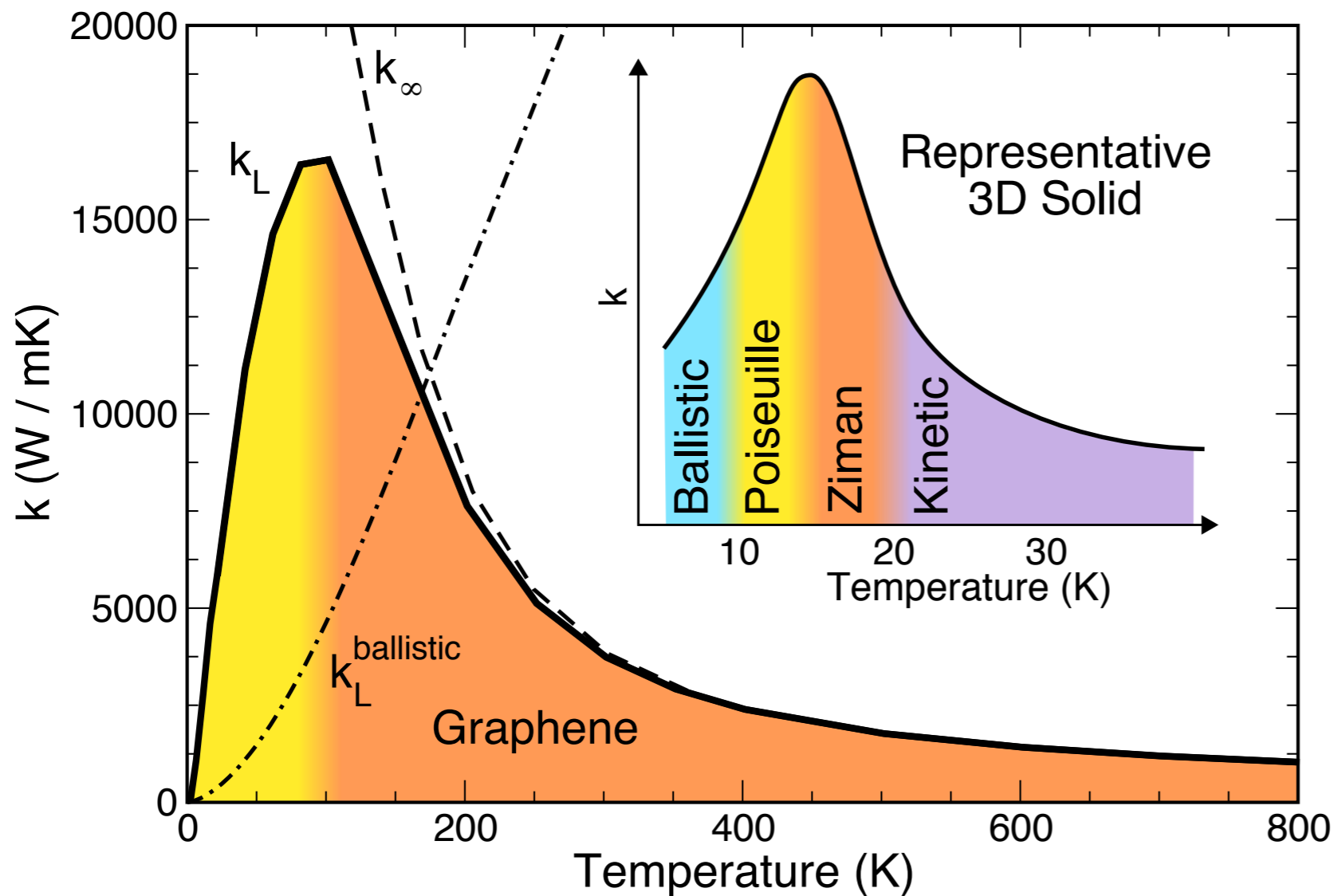
Scattering rates of extrinsic (E), Normal (N) and Umklapp (U) events

Kinetic regime:



The most common high-T regime where SMA (often) works

# 2D heat transport regimes



Ballistic	$E \gg N$ and $E \gg U$
Poiseuille	$N \gg E \gg U$
Ziman	$N \gg U \gg E$
Kinetic	$U \gg N$ and $U \gg E$

Scattering rates of extrinsic (E), Normal (N) and Umklapp (U) processes

Hydrodynamic phonon transport is rarely present in 3D bulk systems. In 2d materials, it's present at room temperature.

*Cepellotti A. et al., Nat. Commun. 6, 7400 (2015)*

# Defining heat carriers

Heat flux is not dissipated at every phonon scattering event.  
Therefore phonons are not the heat carriers;

**How can we define heat carriers?**

# Defining heat carriers

Heat flux is not dissipated at every phonon scattering event.  
Therefore phonons are not the heat carriers;

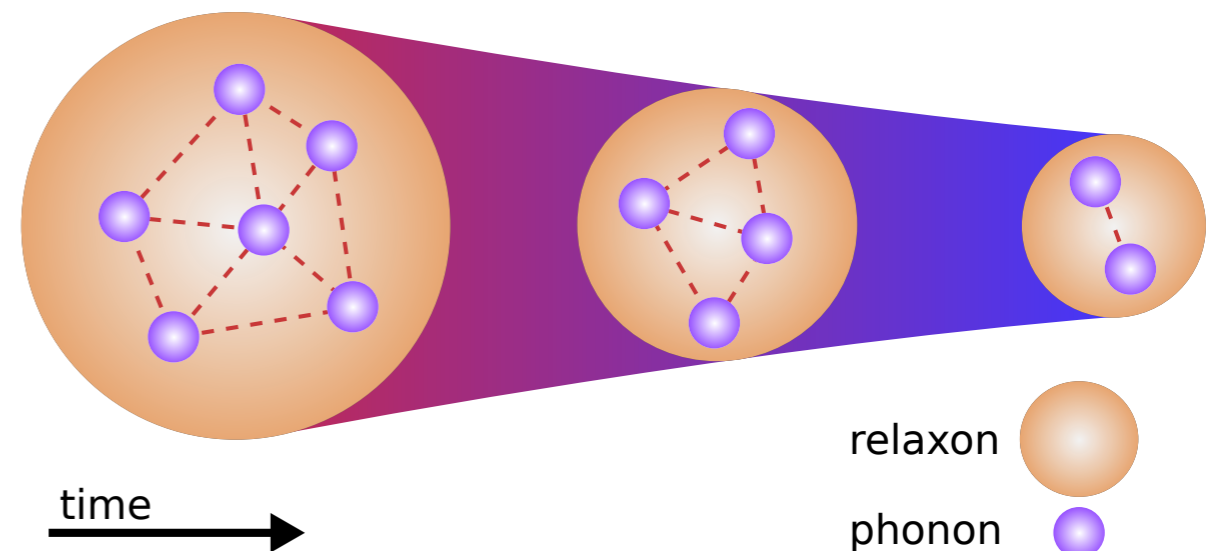
**How can we define heat carriers?**

Our suggestion: **we diagonalise the scattering operator:**

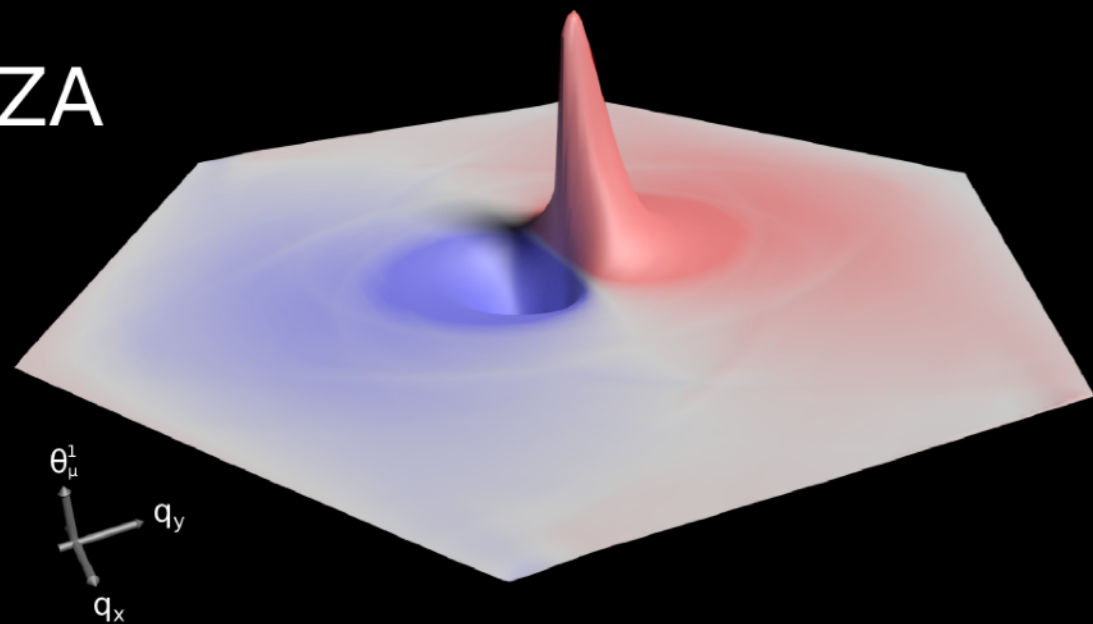
$$\frac{1}{\mathcal{V}} \sum_{\mu'} \tilde{\Omega}_{\mu\mu'} \theta_{\mu'}^{\alpha} = \frac{1}{\tau_{\alpha}} \theta_{\mu}^{\alpha}$$

$\alpha$  labels all possible eigenvalues.

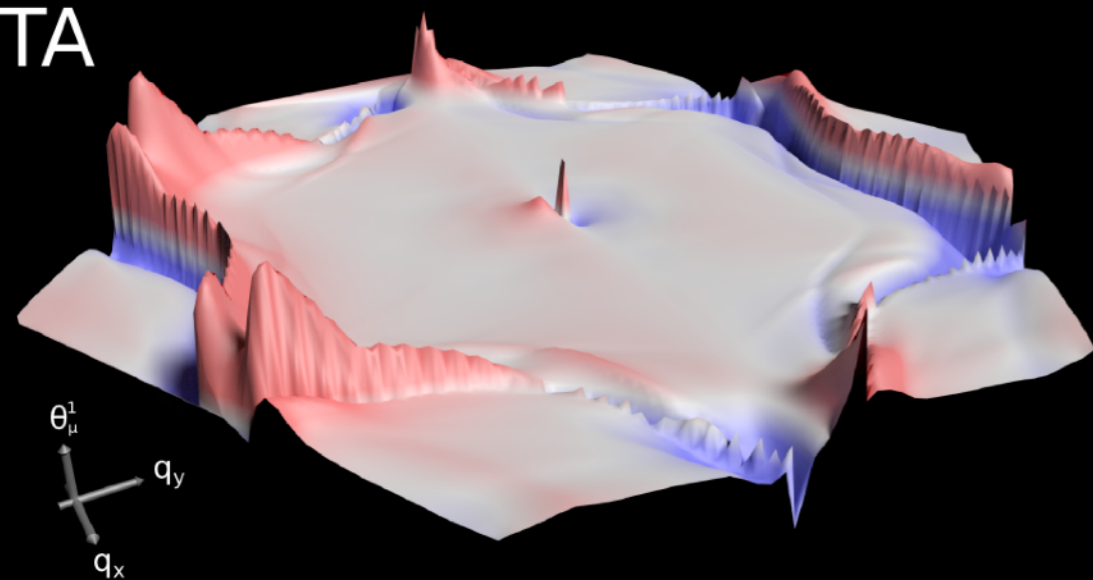
By definition, eigenvectors don't scatter among themselves.



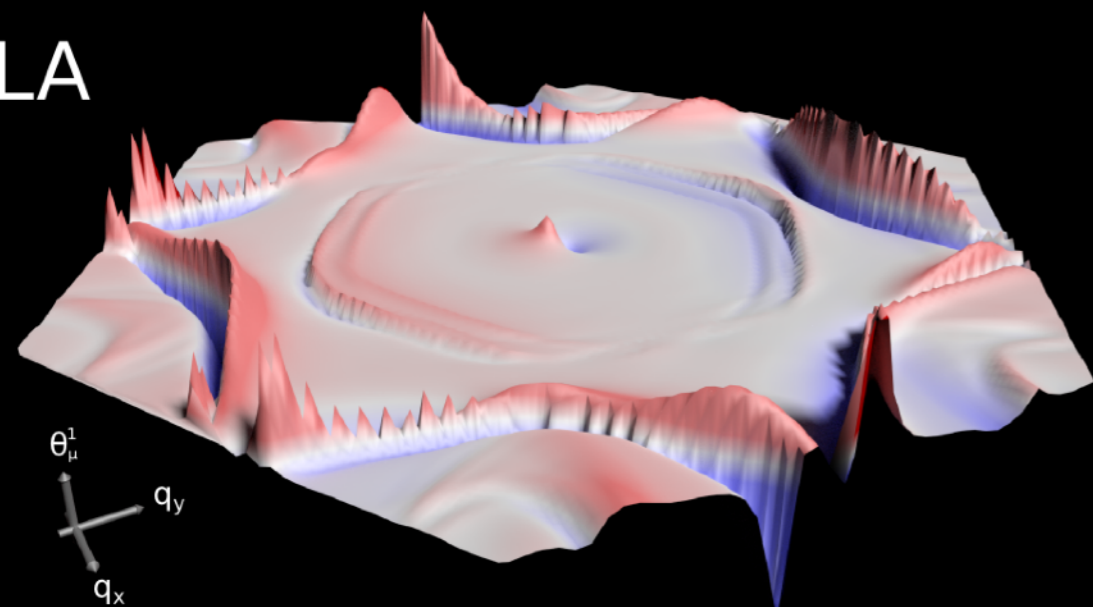
ZA



TA



LA



Each eigenvector, termed relaxon, is a collective excitation of phonons.

Eigenvector = distribution of phonon populations

Eigenvalue index

$\theta_{\mu}^{\alpha}$

Phonon index

Picture: eigenvector with smallest eigenvalue in graphene at 300K (ab-initio calculations)

Red areas indicate overpopulation of phonons w.r.t. thermal equilibrium, blue indicates depletion

# From phonons to relaxons

Re-express phonon populations in terms of relaxon populations

$$\Delta n_{\mu}(\mathbf{x}, t) = \sum_{\alpha} f_{\alpha}(\mathbf{x}, t) \theta_{\mu}^{\alpha}$$

# From phonons to relaxons

Re-express phonon populations in terms of relaxon populations

$$\Delta n_{\mu}(\mathbf{x}, t) = \sum_{\alpha} f_{\alpha}(\mathbf{x}, t) \theta_{\mu}^{\alpha}$$

Change basis of the Boltzmann transport equation

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_{\alpha} \right) + \frac{\partial f_{\alpha}(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_{\alpha}(\mathbf{x}, t)}{\tau_{\alpha}}$$

Instead of phonons, we study relaxon populations  $f_{\alpha}$ .



# Exact relaxation times

Consider a system at thermal equilibrium where only one mode is excited uniformly in space ( $T=\text{const}$  and  $\nabla f=0$ ):

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_\alpha \right) + \frac{\partial f_\alpha(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_\alpha(\mathbf{x}, t)}{\tau_\alpha}$$

# Exact relaxation times

Consider a system at thermal equilibrium where only one mode is excited uniformly in space ( $T=\text{const}$  and  $\nabla f=0$ ):

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_\alpha \right) + \frac{\partial f_\alpha(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_\alpha(\mathbf{x}, t)}{\tau_\alpha}$$

# Exact relaxation times

Consider a system at thermal equilibrium where only one mode is excited uniformly in space ( $T=\text{const}$  and  $\nabla f=0$ ):

$$\frac{\partial f_{\alpha}(t)}{\partial t} = -\frac{1}{\tau_{\alpha}} f_{\alpha}(t)$$

# Exact relaxation times

Consider a system at thermal equilibrium where only one mode is excited uniformly in space ( $T=\text{const}$  and  $\nabla f=0$ ):

$$\frac{\partial f_{\alpha}(t)}{\partial t} = -\frac{1}{\tau_{\alpha}} f_{\alpha}(t)$$

Populating a state  $\alpha$  at time  $t_0$ , it relaxes as an exponential:

$$f_{\alpha}(t) = f_{\alpha}(t_0)e^{-t/\tau_{\alpha}}$$

Relaxons have a relaxation time!

# Exact relaxation times

Consider a system at thermal equilibrium where only one mode is excited uniformly in space ( $T=\text{const}$  and  $\nabla f=0$ ):

$$\frac{\partial f_{\alpha}(t)}{\partial t} = -\frac{1}{\tau_{\alpha}} f_{\alpha}(t)$$

Populating a state  $\alpha$  at time  $t_0$ , it relaxes as an exponential:

$$f_{\alpha}(t) = f_{\alpha}(t_0) e^{-t/\tau_{\alpha}} \quad \text{Relaxons have a relaxation time!}$$

Rotating back to phonons:

$$\Delta n_{\mu}(t) = \sum_{\alpha} \theta_{\mu}^{\alpha} f_{\alpha}(t_0) e^{-t/\tau_{\alpha}} \quad [PNAS, 113, 43 (2016)]$$

The phonon decay depends on the initial conditions:

$\Rightarrow$  ill-defined phonon relaxation times

Only relaxons have well-defined relaxation times!

# Bulk thermal conductivity

Consider steady state (time disappears) and a bulk system (no spatial dependence):

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_\alpha \right) + \frac{\partial f_\alpha(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_\alpha(\mathbf{x}, t)}{\tau_\alpha}$$

# Bulk thermal conductivity

Consider steady state (time disappears) and a bulk system (no spatial dependence):

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_\alpha \right) + \frac{\partial f_\alpha(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_\alpha(\mathbf{x}, t)}{\tau_\alpha}$$

# Bulk thermal conductivity

Consider steady state (time disappears) and a bulk system (no spatial dependence):

$$\sqrt{\frac{C}{k_B T^2}} \left( \frac{\partial T(\mathbf{x}, t)}{\partial t} \langle 0 | \alpha \rangle + \nabla T(\mathbf{x}, t) \cdot \mathbf{V}_\alpha \right) + \frac{\partial f_\alpha(\mathbf{x}, t)}{\partial t} + \sum_{\alpha'} \mathbf{V}_{\alpha\alpha'} \cdot \nabla f_{\alpha'}(\mathbf{x}, t) = -\frac{f_\alpha(\mathbf{x}, t)}{\tau_\alpha}$$

$$\sqrt{\frac{C}{k_B T^2}} V_\alpha^i = -\frac{f_\alpha^i}{\tau_\alpha}$$

Which we can solve analytically!



# Bulk thermal conductivity

The thermal conductivity in the basis of relaxons is:

$$k = \sum_{\alpha} C V_{\alpha} \Lambda_{\alpha}$$

# Bulk thermal conductivity

The thermal conductivity in the basis of relaxons is:

$$k = \sum_{\alpha} C V_{\alpha} \Lambda_{\alpha}$$

Relaxon specific heat  
 $C$ , same  $\forall$  relaxon

Relaxon mean free path

Relaxon velocity

$$\Lambda_{\alpha} = V_{\alpha} \tau_{\alpha}$$

$$\mathbf{v}_{\alpha} = \frac{1}{\mathcal{V}} \sum_{\mu} \theta_{\mu}^0 \mathbf{v}_{\mu} \theta_{\mu}^{\alpha}$$

# Bulk thermal conductivity

The thermal conductivity in the basis of relaxons is:

$$k = \sum_{\alpha} C V_{\alpha} \Lambda_{\alpha}$$

Relaxon specific heat  
 $C$ , same  $\forall$  relaxon

Relaxon mean free path

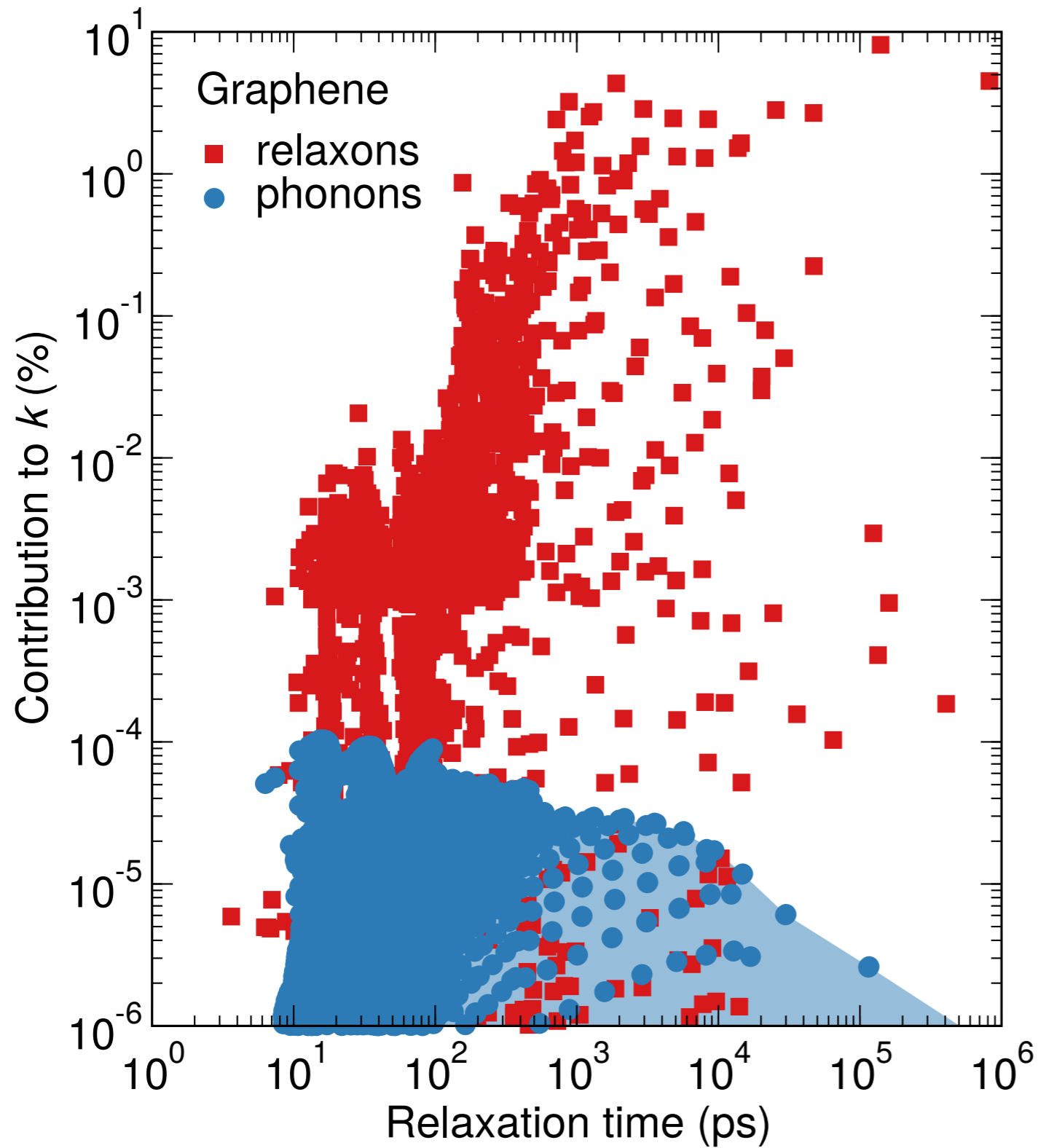
Relaxon velocity

$$\Lambda_{\alpha} = V_{\alpha} \tau_{\alpha}$$
$$\mathbf{v}_{\alpha} = \frac{1}{\mathcal{V}} \sum_{\mu} \theta_{\mu}^0 \mathbf{v}_{\mu} \theta_{\mu}^{\alpha} \quad \theta_{\mu}^0 = \frac{\sqrt{\bar{n}_{\mu}(\bar{n}_{\mu} + 1)} \hbar \omega_{\mu}}{\sqrt{C k_B T^2}}$$

We recover a kinetic-gas like description of thermal transport, with new estimates of time, length and velocity scales of transport.

$\implies$  we identify relaxons with the heat carriers

# Graphene @ 300K



Phonon lifetimes

vs

Relaxon relaxation times.

Phonon scattering time scale

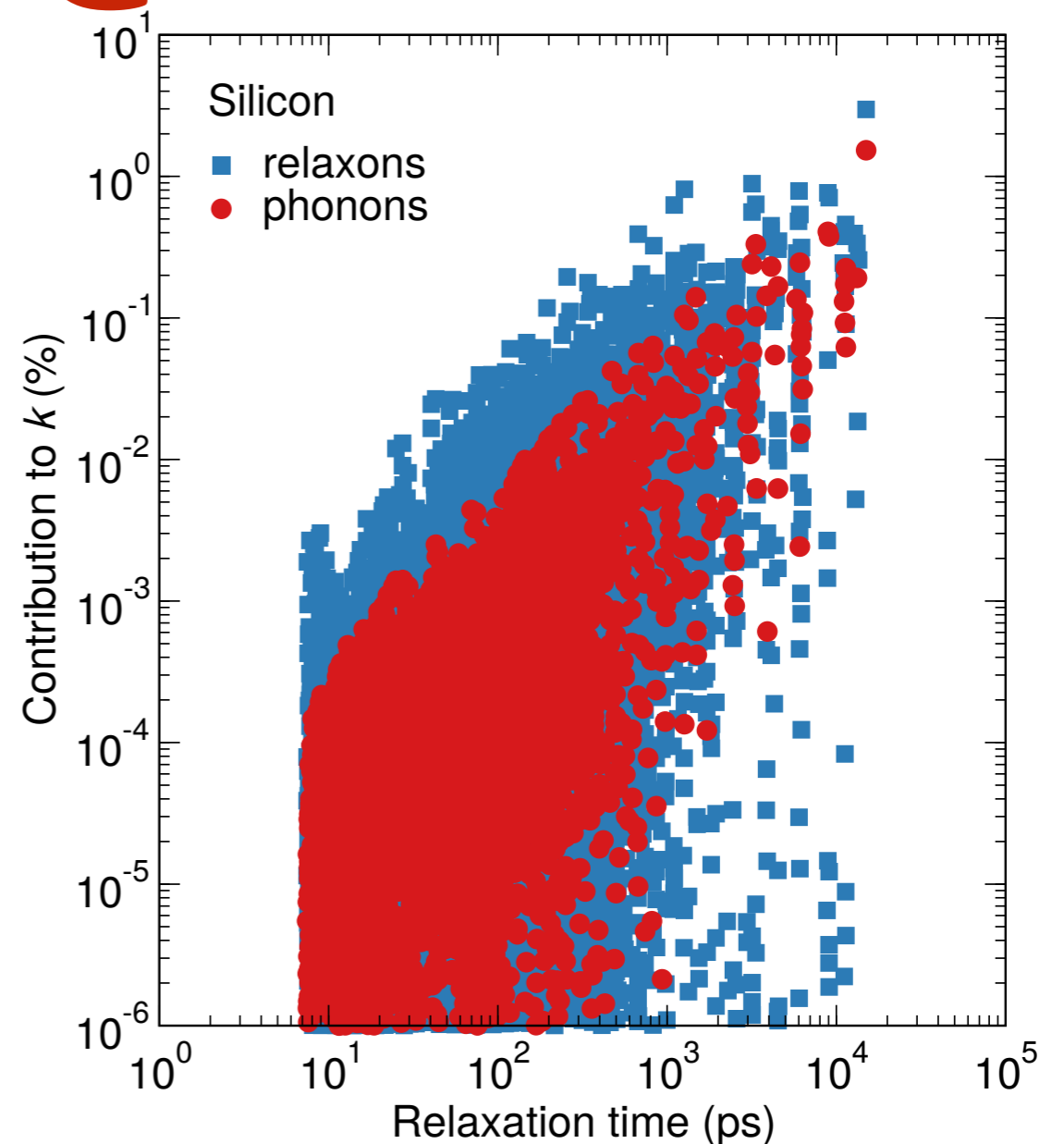
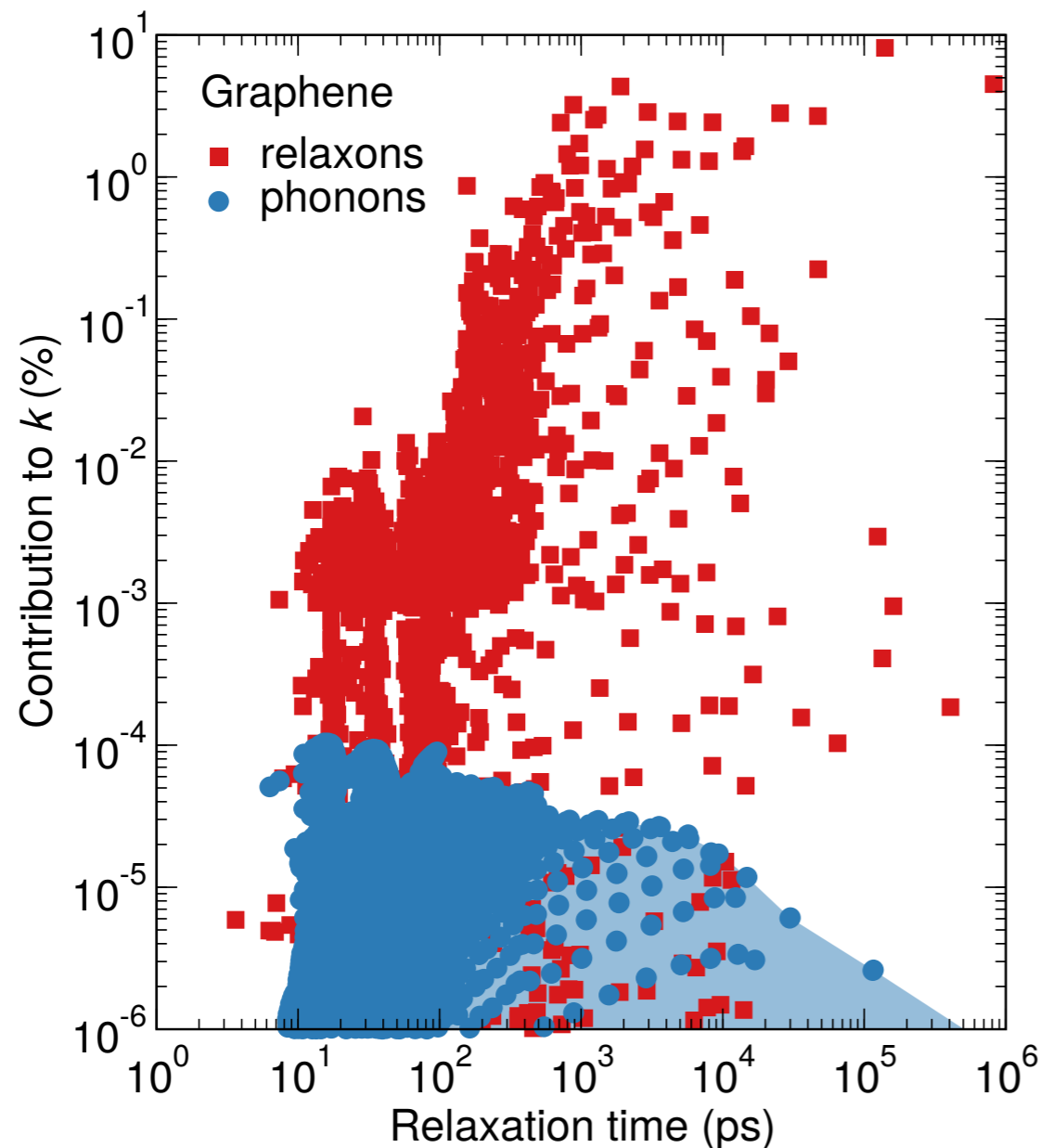
$\approx 10\text{-}100\text{ps}$

Heat flux time scale

$\gg 1000\text{ps}$

[PRX 6, 041013 (2016)]

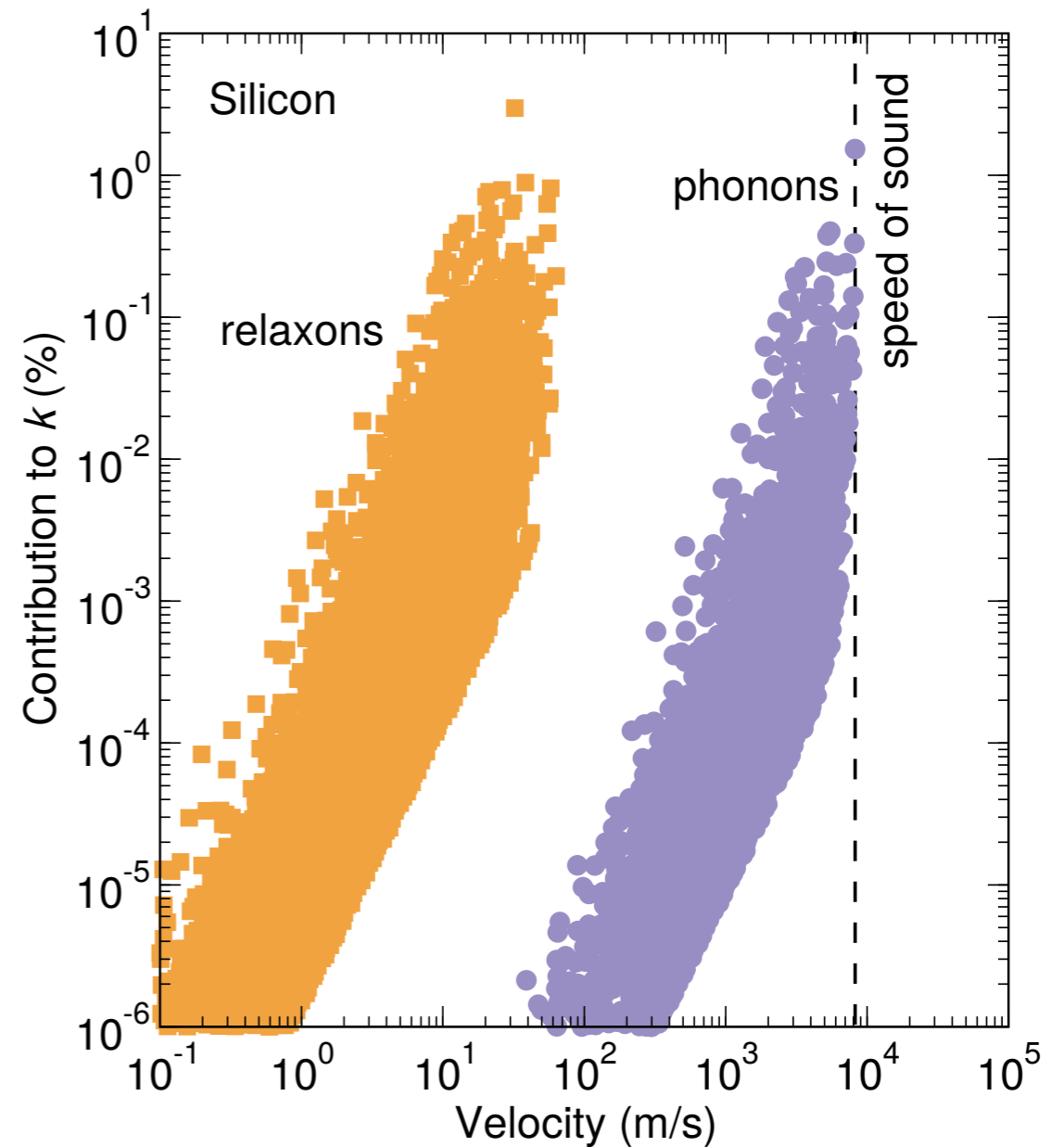
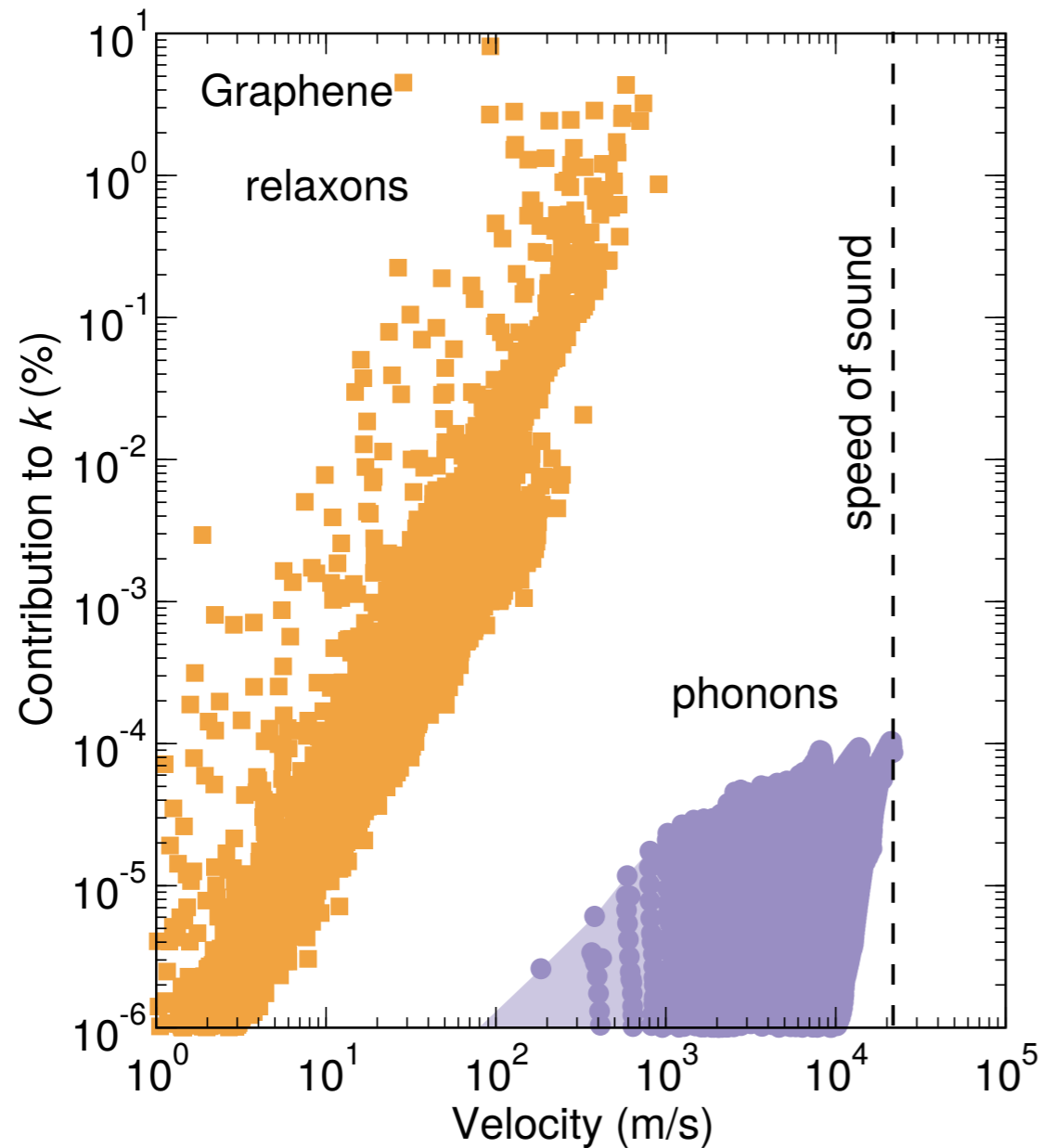
# Lifetimes @ 300K



Two examples: graphene (where the SMA underestimates fails) and silicon (where the SMA gives good conductivity)

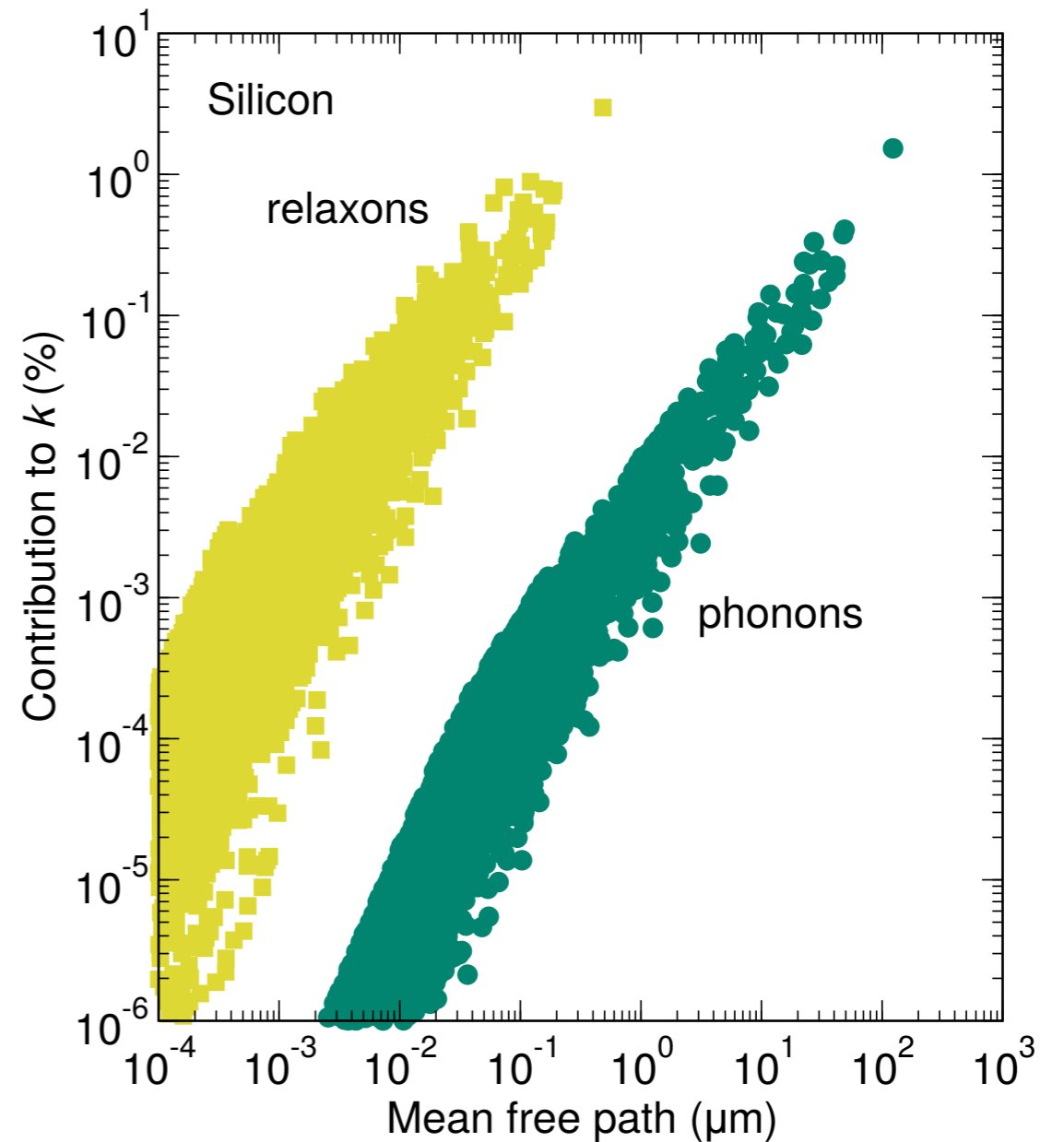
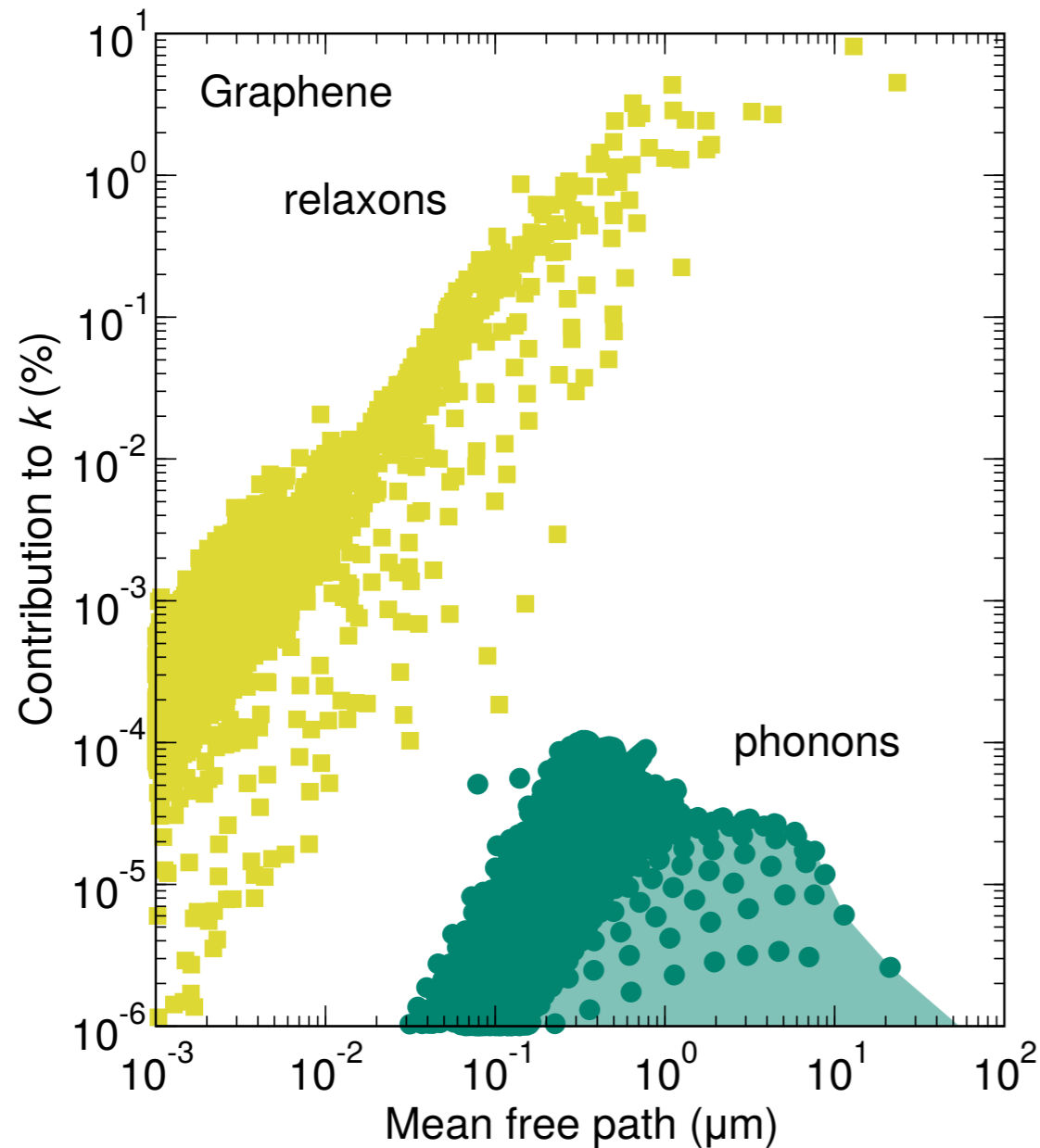
The theory changes the relevant time scale in graphene by orders of magnitude; and few modes ( $\sim 20$ ) contribute for most of transport

# Velocities



The velocity of heat transport is not the speed of sound (20km/s in graphene, 18km/s in silicon), but much smaller (0.1 - 1 km/s)

# Mean free paths



The distances at which heat is dissipated by each mode is very different from the phonon mean free paths.

# Surface scattering

[*Nano Letters ASAP*, (2017)]

Typical interpretation: a phonon only travels for (1) the distance between scattering events or (2) the sample length  $L$ .

Therefore, the effective phonon relaxation time is:

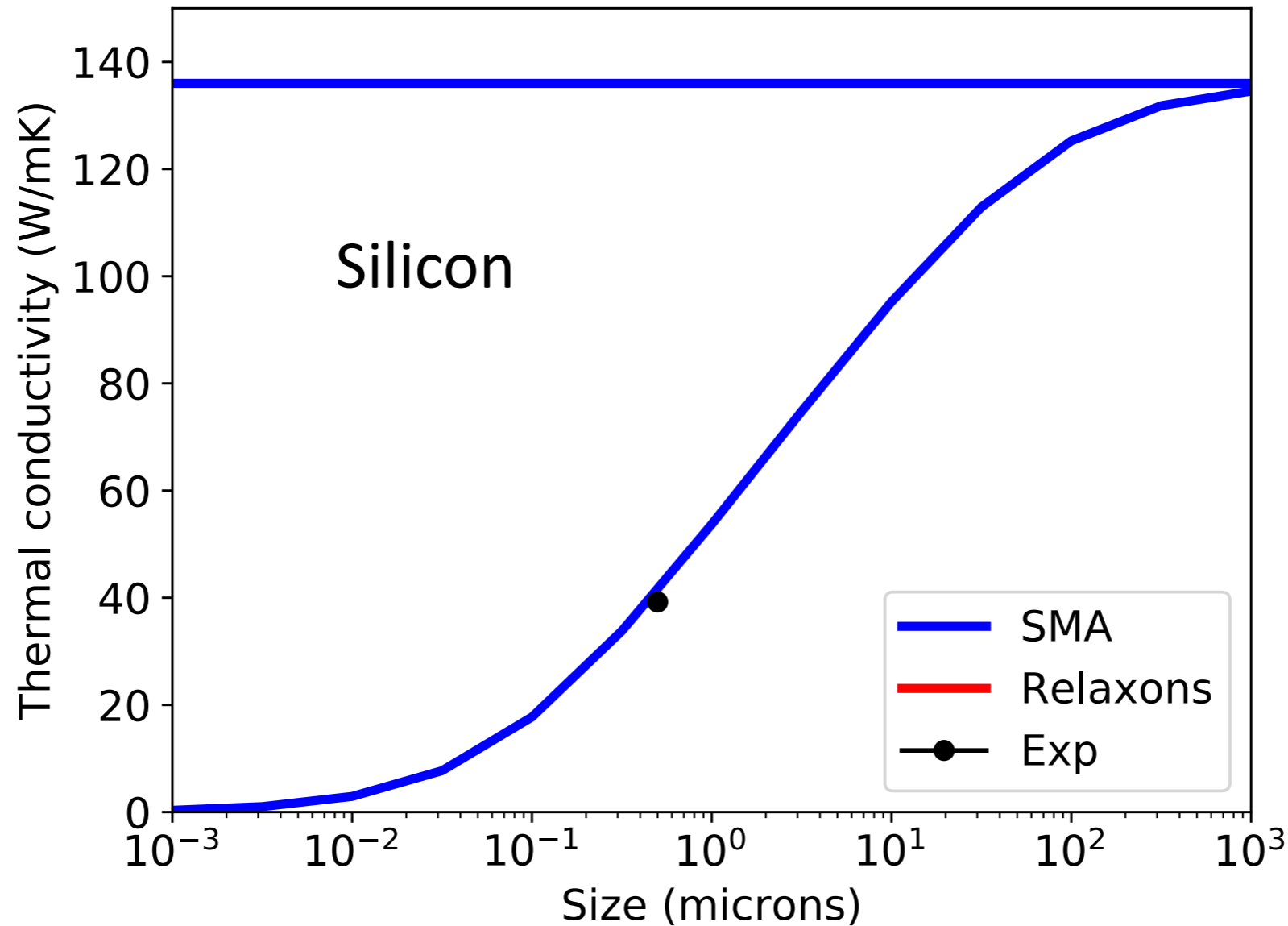
$$\frac{1}{\tau_{\mu}} \rightarrow \frac{1}{\tau_{\mu}} + \frac{v_{\mu}}{L} \quad \Longleftrightarrow \quad \frac{1}{\Lambda_{\mu}} \rightarrow \frac{1}{\Lambda_{\mu}} + \frac{1}{L}$$

Can we say the same for relaxons?

$$? \quad \frac{1}{\tau_{\alpha}} \rightarrow \frac{1}{\tau_{\alpha}} + \frac{v_{\alpha}}{L} \quad ?$$
$$\frac{1}{\Lambda_{\alpha}} \rightarrow \frac{1}{\Lambda_{\alpha}} + \frac{1}{L}$$

Let's see...

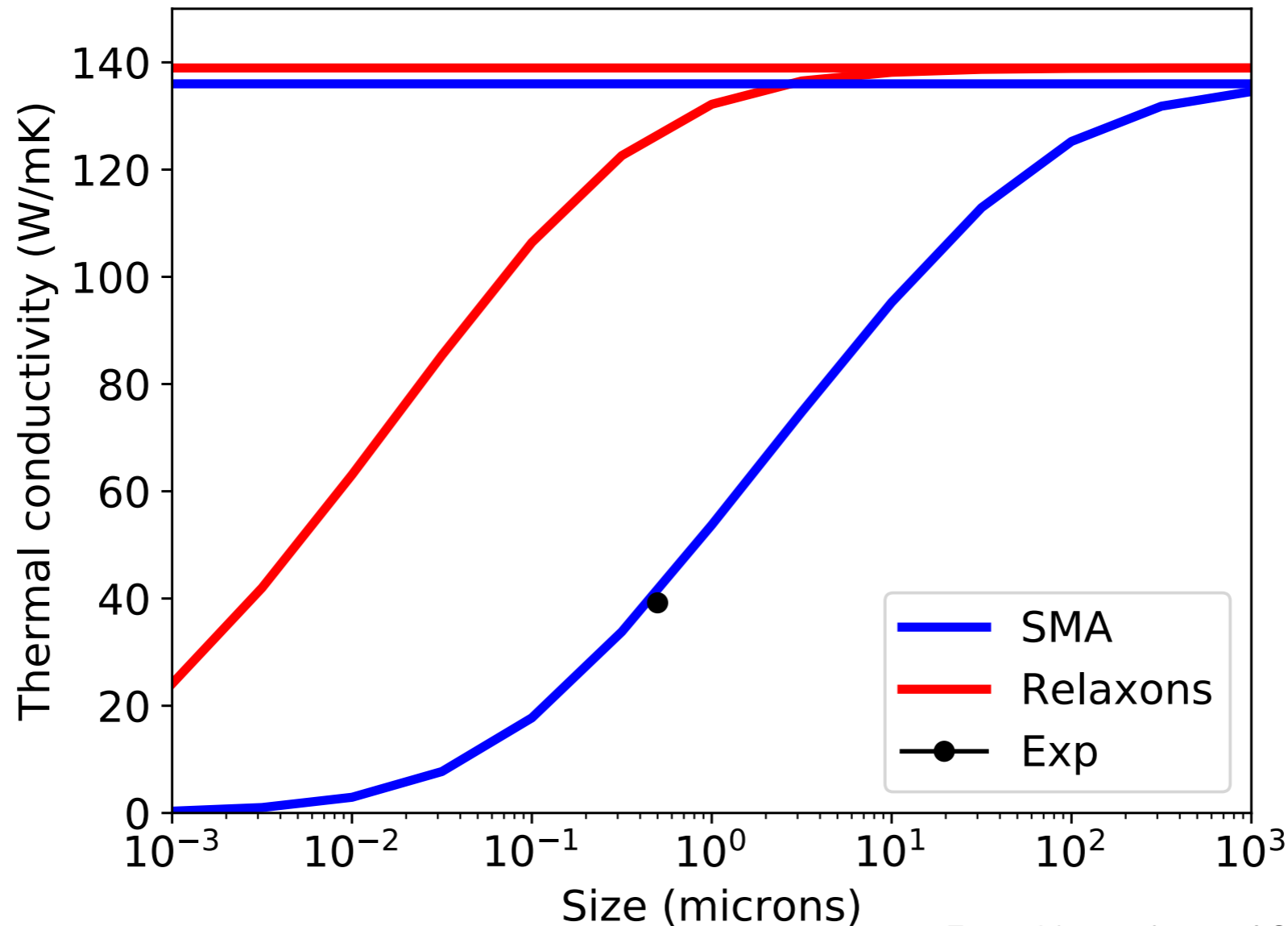




*Exp: Nano Lett. 107, 11 (2011)*

In silicon, the traditional approach works for phonons, but results for relaxons are off by two orders of magnitude.

$$\frac{1}{\tau_{\mu}} \rightarrow \frac{1}{\tau_{\mu}} + \frac{v_{\mu}}{L}$$

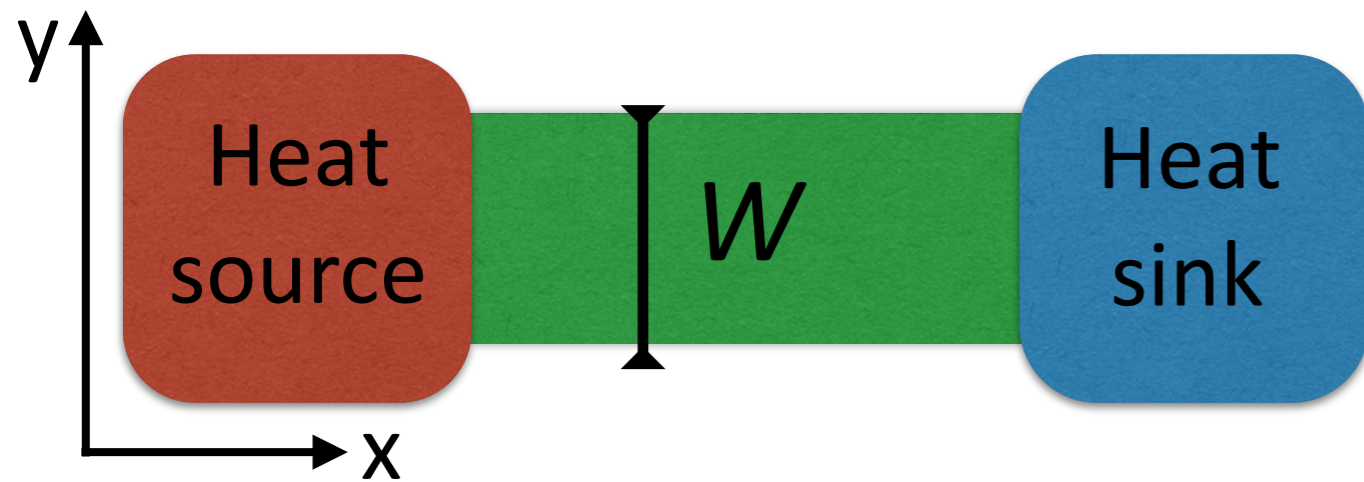


*Exp: Nano Lett. 107, 11 (2011)*

In silicon, the traditional approach works for phonons, but results for relaxons are off by two orders of magnitude.

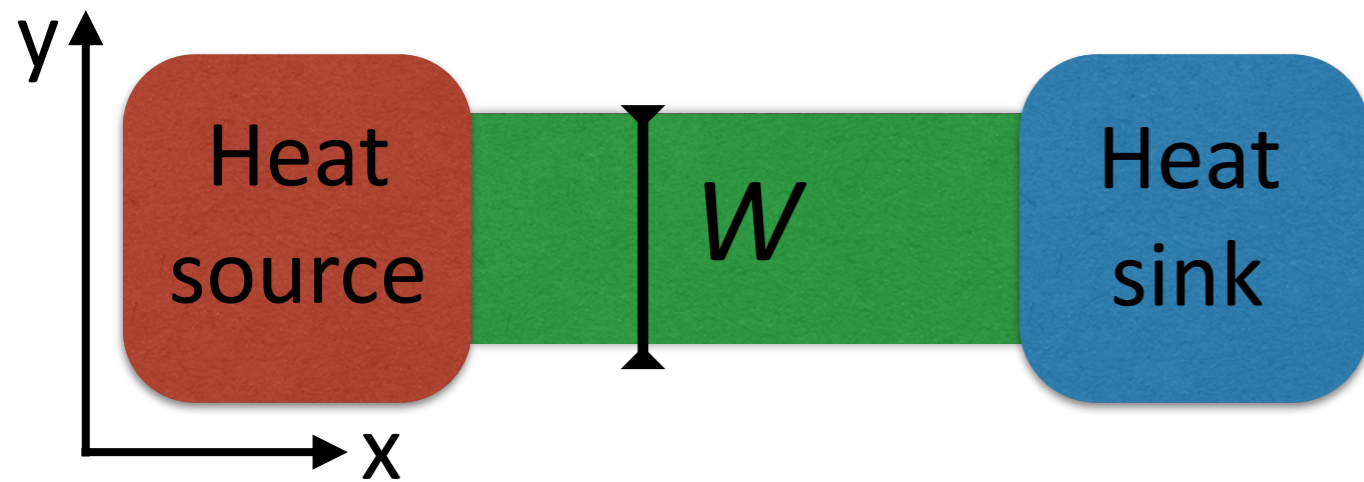
Question: why do we use this relation in first place?  $\frac{1}{\tau_{\mu}} \rightarrow \frac{1}{\tau_{\mu}} + \frac{v_{\mu}}{L}$   
 [Phys. Rev. 33, 92 (1961)]

# SMA surface scattering



We study a 2D ribbon, of finite width but infinite length

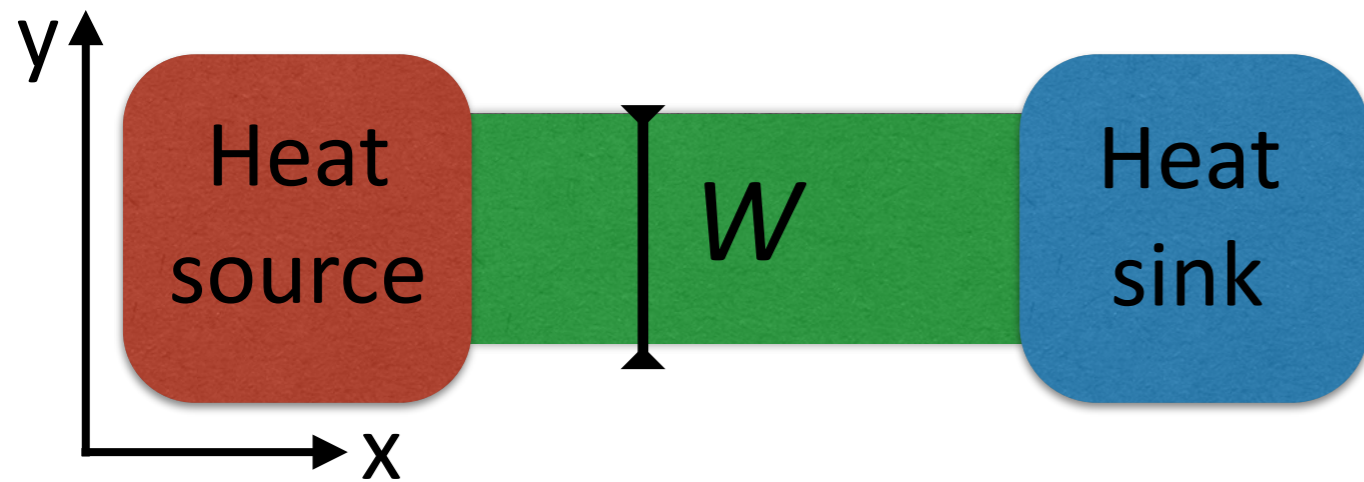
# SMA surface scattering



We study a 2D ribbon, of finite width but infinite length

$$n_{\mu} = \bar{n}_{\mu} + \Delta n_{\mu} \quad \cancel{\frac{\partial n_{\mu}}{\partial t}} + \mathbf{v}_{\mu} \cdot \nabla n_{\mu} = -\frac{1}{v} \sum_{\mu'} \overset{\text{SMA}}{\Omega_{\mu\mu'}} \Delta n_{\mu'}$$

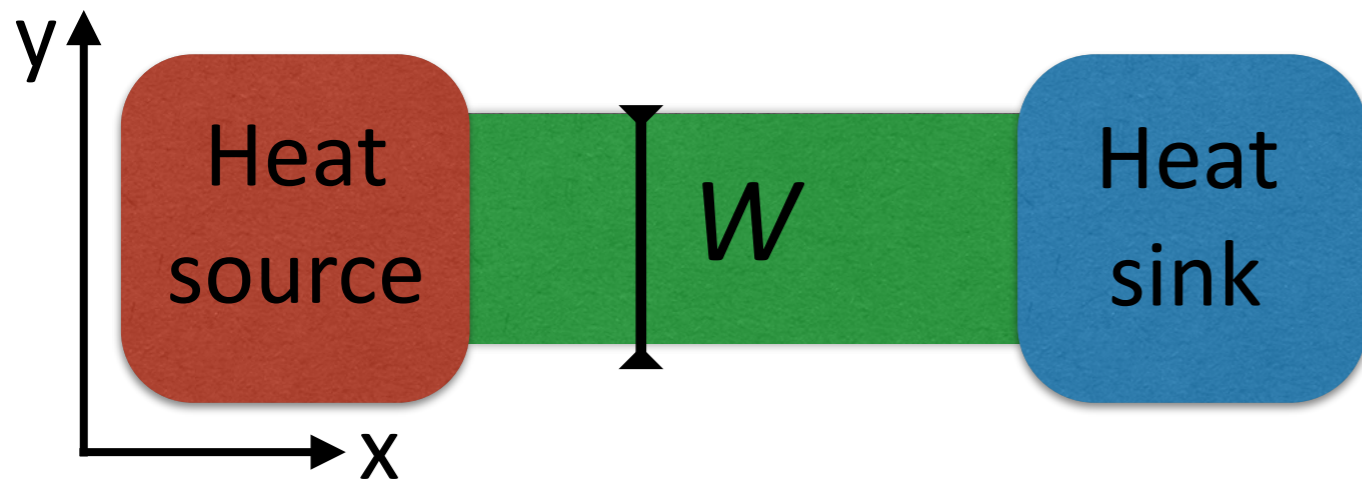
# SMA surface scattering



We study a 2D ribbon, of finite width but infinite length

$$n_{\mu} = \bar{n}_{\mu} + \Delta n_{\mu} \quad \cancel{\frac{\partial n_{\mu}}{\partial t}} + \mathbf{v}_{\mu} \cdot \nabla n_{\mu} = -\frac{1}{\nu} \sum_{\mu'} \overset{\text{SMA}}{\Omega_{\mu\mu'}} \Delta n_{\mu'}$$
$$\mathbf{v}_{\mu} \cdot \nabla T \frac{\partial \bar{n}_{\mu}}{\partial T} + \mathbf{v}_{\mu} \cdot \nabla \Delta n_{\mu} = -\frac{\Delta n_{\mu}}{\tau_{\mu}}$$

# SMA surface scattering



We study a 2D ribbon, of finite width but infinite length

$$n_{\mu} = \bar{n}_{\mu} + \Delta n_{\mu} \quad \cancel{\frac{\partial n_{\mu}}{\partial t}} + \mathbf{v}_{\mu} \cdot \nabla n_{\mu} = -\frac{1}{\nu} \sum_{\mu'} \overset{\text{SMA}}{\Omega_{\mu\mu'}} \Delta n_{\mu'}$$

$$\mathbf{v}_{\mu} \cdot \nabla T \frac{\partial \bar{n}_{\mu}}{\partial T} + \mathbf{v}_{\mu} \cdot \nabla \Delta n_{\mu} = -\frac{\Delta n_{\mu}}{\tau_{\mu}}$$

A finite size system doesn't have translational invariance:  $\Delta n_{\mu}(\mathbf{r})$  depends on space. In the chosen geometry, we have:

$$v_{\mu}^y \frac{\partial \Delta n_{\mu}(y)}{\partial y} + \frac{\partial \bar{n}_{\mu}}{\partial T} v_{\mu}^x = -\frac{\Delta n_{\mu}(y)}{\tau_{\mu}}$$

# SMA surface scattering

We must solve the following BTE:

$$\lambda_{\mu}^y \frac{\partial \Delta n_{\mu}(y)}{\partial y} + \Delta n_{\mu}(y) = -\frac{\partial \bar{n}_{\mu}}{\partial T} \lambda_{\mu}^x$$

# SMA surface scattering

We must solve the following BTE:

$$\lambda_{\mu}^y \frac{\partial \Delta n_{\mu}(y)}{\partial y} + \Delta n_{\mu}(y) = -\frac{\partial \bar{n}_{\mu}}{\partial T} \lambda_{\mu}^x$$

This is a linear differential equation that we can solve exactly.



# SMA surface scattering

We must solve the following BTE:

$$\lambda_{\mu}^y \frac{\partial \Delta n_{\mu}(y)}{\partial y} + \Delta n_{\mu}(y) = -\frac{\partial \bar{n}_{\mu}}{\partial T} \lambda_{\mu}^x$$

This is a linear differential equation that we can solve exactly.

Case 1:  $v_{\mu}^y = 0$ : the phonon travels parallel to the surface;  
it's population is the same as in the bulk case;

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}}$$

# SMA surface scattering

We must solve the following BTE:

$$\lambda_{\mu}^y \frac{\partial \Delta n_{\mu}(y)}{\partial y} + \Delta n_{\mu}(y) = -\frac{\partial \bar{n}_{\mu}}{\partial T} \lambda_{\mu}^x$$

This is a linear differential equation that we can solve exactly.

Case 1:  $v_{\mu}^y = 0$ : the phonon travels parallel to the surface; it's population is the same as in the bulk case;

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}}$$

Case 2:  $v_{\mu}^y > 0$  is more involved (the case  $v_{\mu}^x < 0$  is similar).

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}} + c_{\mu} e^{-y/\lambda_{\mu}^y}$$

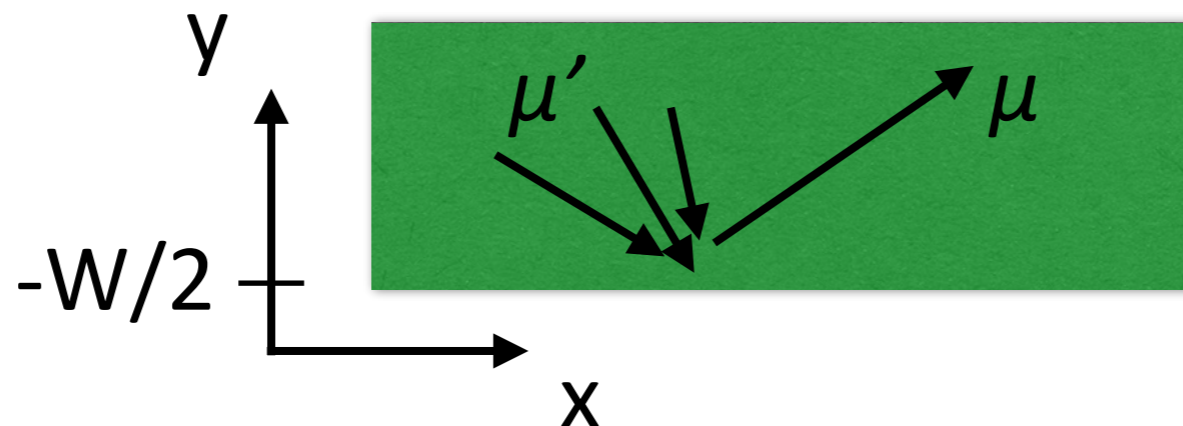
# SMA surface scattering

$$\Delta n_{\mu} = \Delta n_{\mu}^{\text{bulk}} + c_{\mu} e^{-y/\lambda_{\mu}^y}$$

We must use a boundary condition. Ziman proposed to relate it with the surface phonon reflectivity:

The number of phonons traveling away from the surface must be equal to the reflected number of phonons that were traveling against it:

$$\Delta n_{\mu} \left( y = -\frac{W}{2} \mid v_{\mu}^y > 0 \right) = \sum_{\mu'} R_{\mu'}^{\mu} \Delta n_{\mu'} \left( y = -\frac{W}{2} \mid v_{\mu'}^y < 0 \right)$$



# SMA surface scattering

Suppose perfect absorbance ( $R=0$ ):

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}} \left( 1 - e^{-\frac{y+W/2}{\lambda_{\mu}^y}} \right) \quad v_{\mu}^y > 0$$

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}} \left( 1 - e^{-\frac{y-W/2}{\lambda_{\mu}^y}} \right) \quad v_{\mu}^y < 0$$

$$\Delta n_{\mu}(y) = \Delta n_{\mu}^{\text{bulk}} \quad v_{\mu}^y = 0$$

Finally, the thermal conductivity is:

$$k(y) = -\frac{Q(y)}{\nabla T} = -\frac{1}{V} \sum_{\mu} v_{\mu}^x \hbar \omega_{\mu} \Delta n_{\mu}(y) = k^{\text{bulk}} - \Delta k^{\text{surf}}(y)$$

Note: thermal conductivity is not a bulk property!

# SMA surface scattering

Final step: if we want to neglect the detailed space-dependence, we can average results in space:

$$\frac{\partial \bar{n}_\mu}{\partial T} v_\mu^x = - \left( \frac{1}{\tau_\mu^b} + \frac{1}{\tau_\mu} \right) \Delta n_\mu$$
$$\Delta n_\mu = \frac{1}{W} \int_{-W/2}^{W/2} \Delta n_\mu(y) dy$$
$$\frac{1}{\tau_\mu^b} = \frac{\int_{-W/2}^{W/2} v_\mu^y \frac{\partial \Delta n_\mu(y)}{\partial y} dy}{\int_{-W/2}^{W/2} \Delta n_\mu(y) dy} \approx \frac{v_\mu^y}{L}$$

Take home message: surface effects must be studied in real space. Results can be written in reciprocal space, but after averaging over space

# Surface scattering

Let's do the same with relaxons. We start from the BTE:

$$\sqrt{\frac{C}{k_B T^2}} v_{0\alpha}^{(x)} + \sum_{\beta} v_{\alpha\beta}^{(y)} \frac{\partial \tilde{f}_{\beta}}{\partial y} = -\frac{\tilde{f}_{\alpha}}{\tau_{\alpha}}$$

# Surface scattering

Let's do the same with relaxons. We start from the BTE:

$$\sqrt{\frac{C}{k_B T^2}} V_{0\alpha}^{(x)} + \sum_{\beta} V_{\alpha\beta}^{(y)} \frac{\partial \tilde{f}_{\beta}}{\partial y} = -\frac{\tilde{f}_{\alpha}}{\tau_{\alpha}}$$

We make another auxiliary scaling ( $g_{\alpha} = \frac{1}{\sqrt{\tau_{\alpha}}} \tilde{f}_{\alpha}$ ) and get:

$$\sum_{\beta} \Lambda_{\alpha\beta}^{(y)} \frac{\partial g_{\beta}}{\partial y} = -g_{\alpha} + g_{\alpha}^{\infty}$$

$g_{\alpha}^{\infty}$  : bulk solution

$$V_{\alpha\beta}^{(y)} = \frac{1}{V} \sum_{\mu} \theta_{\mu}^{\alpha} v_{\mu}^y \theta_{\mu}^{\beta}$$

$\Lambda_{\alpha\beta}^{(y)} = \sqrt{\tau_{\alpha}} V_{\alpha\beta}^{(y)} \sqrt{\tau_{\beta}}$  : matrix with dimensionality of length

It's a differential equation that can be solved analytically!

# Surface scattering

The equation is trivial to solve in the basis of the eigenvectors of the matrix  $\Lambda$ :

$$\sum_{\beta} \Lambda_{\alpha\beta}^{(y)} \psi_{\beta i} = \lambda_i^{(y)} \psi_{\alpha i}$$



# Surface scattering

The equation is trivial to solve in the basis of the eigenvectors of the matrix  $\Lambda$ :

$$\sum_{\beta} \Lambda_{\alpha\beta}^{(y)} \psi_{\beta i} = \lambda_i^{(y)} \psi_{\alpha i}$$

Change the basis

$$\mathbf{g}_{\alpha} = \sum_i \psi_{\alpha i} \mathbf{d}_i$$

# Surface scattering

The equation is trivial to solve in the basis of the eigenvectors of the matrix  $\Lambda$ :

$$\sum_{\beta} \Lambda_{\alpha\beta}^{(y)} \psi_{\beta i} = \lambda_i^{(y)} \psi_{\alpha i}$$

Change the basis

$$\mathbf{g}_{\alpha} = \sum_i \psi_{\alpha i} \mathbf{d}_i$$

Find a simpler differential equation

$$\lambda_i^{(y)} \frac{\partial}{\partial y} \mathbf{d}_i = -\mathbf{d}_i + \mathbf{d}_i^{\infty}$$

# Surface scattering

The equation is trivial to solve in the basis of the eigenvectors of the matrix  $\Lambda$ :

$$\sum_{\beta} \Lambda_{\alpha\beta}^{(y)} \psi_{\beta i} = \lambda_i^{(y)} \psi_{\alpha i}$$

Change the basis

$$\mathbf{g}_{\alpha} = \sum_i \psi_{\alpha i} \mathbf{d}_i$$

Find a simpler differential equation

$$\lambda_i^{(y)} \frac{\partial}{\partial y} \mathbf{d}_i = -\mathbf{d}_i + \mathbf{d}_i^{\infty}$$

With solutions

$$\mathbf{d}_i = \mathbf{d}_i^{\infty} + \mathbf{c}_i e^{-y/\lambda_i^{(y)}}$$

Same as before, but in a different basis

# Surface scattering

Let's think at the modes  $\psi_{\alpha i}$  as particles moving towards  $y > 0$  (if  $\lambda_i^y > 0$ ) or  $y < 0$  (if  $\lambda_i^y < 0$ ). The boundary condition is fixed like before:

$$\delta_i = d_i \left( y = -\frac{W}{2} \right) \Big|_{\lambda_i^{(y)} > 0} = \sum_j \mathcal{R}_i^j d_j \left( y = -\frac{W}{2} \right) \Big|_{\lambda_j^{(y)} < 0}$$

If there's no reflection at the surface ( $R=0$ ), we find an analytical solution of the BTE:

$$d_i = d_i^\infty - d_i^\infty e^{-(y + \frac{W}{2})/\lambda_i^{(y)}} \quad \lambda_i^y > 0$$

$$d_i = d_i^\infty - d_i^\infty e^{-(y - \frac{W}{2})/\lambda_i^{(y)}} \quad \lambda_i^y < 0$$

$$d_i = d_i^\infty \quad \lambda_i^y = 0$$

# Surface scattering

With a little more algebra, finally, the thermal conductivity is:

$$\begin{aligned}
 k(y) &= -\frac{Q}{\nabla T} \\
 &= \sum_{\alpha} CV_{\alpha}^{(x)} \Lambda_{\alpha}^{(x)} - k_B T^2 \sum_{\alpha\beta} g_{\alpha}^{\infty} \left( \sum_{\lambda_i^{(y)} > 0} \psi_{\alpha i} e^{-\frac{y+\frac{W}{2}}{\lambda_i^{(y)}}} \psi_{i\beta}^T + \sum_{\lambda_i^{(y)} < 0} \psi_{\alpha i} e^{-\frac{y-\frac{W}{2}}{\lambda_i^{(y)}}} \psi_{i\beta}^T \right) g_{\beta}^{\infty} \\
 &= k^{\infty} - \Delta k^{\text{surf}}(y)
 \end{aligned}$$

- The conductivity is a bulk term minus a surface term;
- Conductivity isn't a bulk property: depends on where it is measured, and, in general, on the shape of the material;
- *The length scale of surface scattering is determined by the eigenvalues of  $\Lambda_{\alpha\beta}$ , not by the relaxon mean free paths.*

$$\frac{1}{\tau_{\alpha}} \rightarrow \frac{1}{\tau_{\alpha}} + \frac{V_{\alpha}}{L}$$

# Surface scattering

With a little more algebra, finally, the thermal conductivity is:

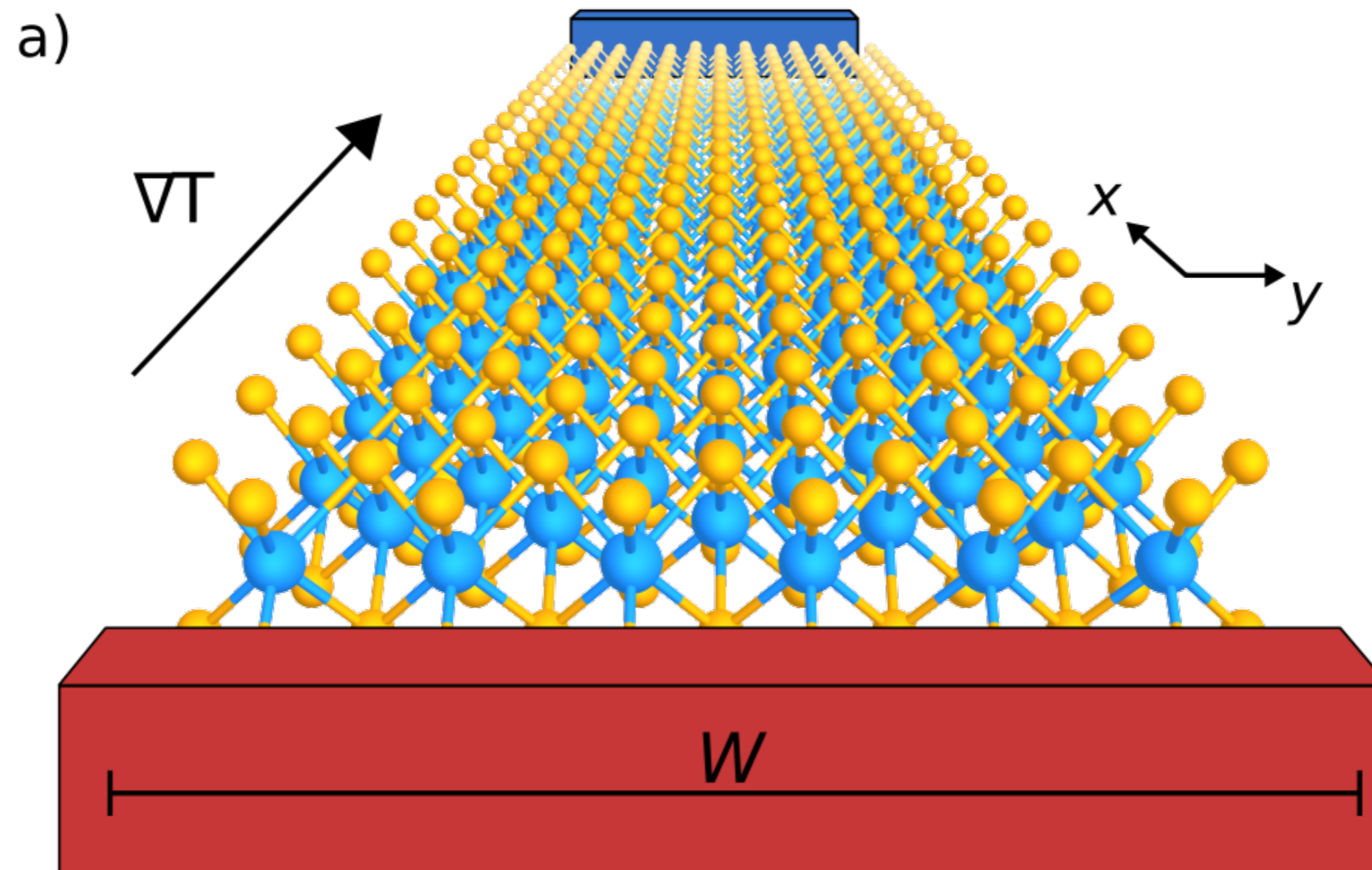
$$\begin{aligned}
 k(y) &= -\frac{Q}{\nabla T} \\
 &= \sum_{\alpha} C V_{\alpha}^{(x)} \Lambda_{\alpha}^{(x)} - k_B T^2 \sum_{\alpha\beta} g_{\alpha}^{\infty} \left( \sum_{\lambda_i^{(y)} > 0} \psi_{\alpha i} e^{-\frac{y+\frac{W}{2}}{\lambda_i^{(y)}}} \psi_{i\beta}^T + \sum_{\lambda_i^{(y)} < 0} \psi_{\alpha i} e^{-\frac{y-\frac{W}{2}}{\lambda_i^{(y)}}} \psi_{i\beta}^T \right) g_{\beta}^{\infty} \\
 &= k^{\infty} - \Delta k^{\text{surf}}(y)
 \end{aligned}$$

- The conductivity is a bulk term minus a surface term;
- Conductivity isn't a bulk property: depends on where it is measured, and, in general, on the shape of the material;
- *The length scale of surface scattering is determined by the eigenvalues of  $\Lambda_{\alpha\beta}$ , not by the relaxon mean free paths.*

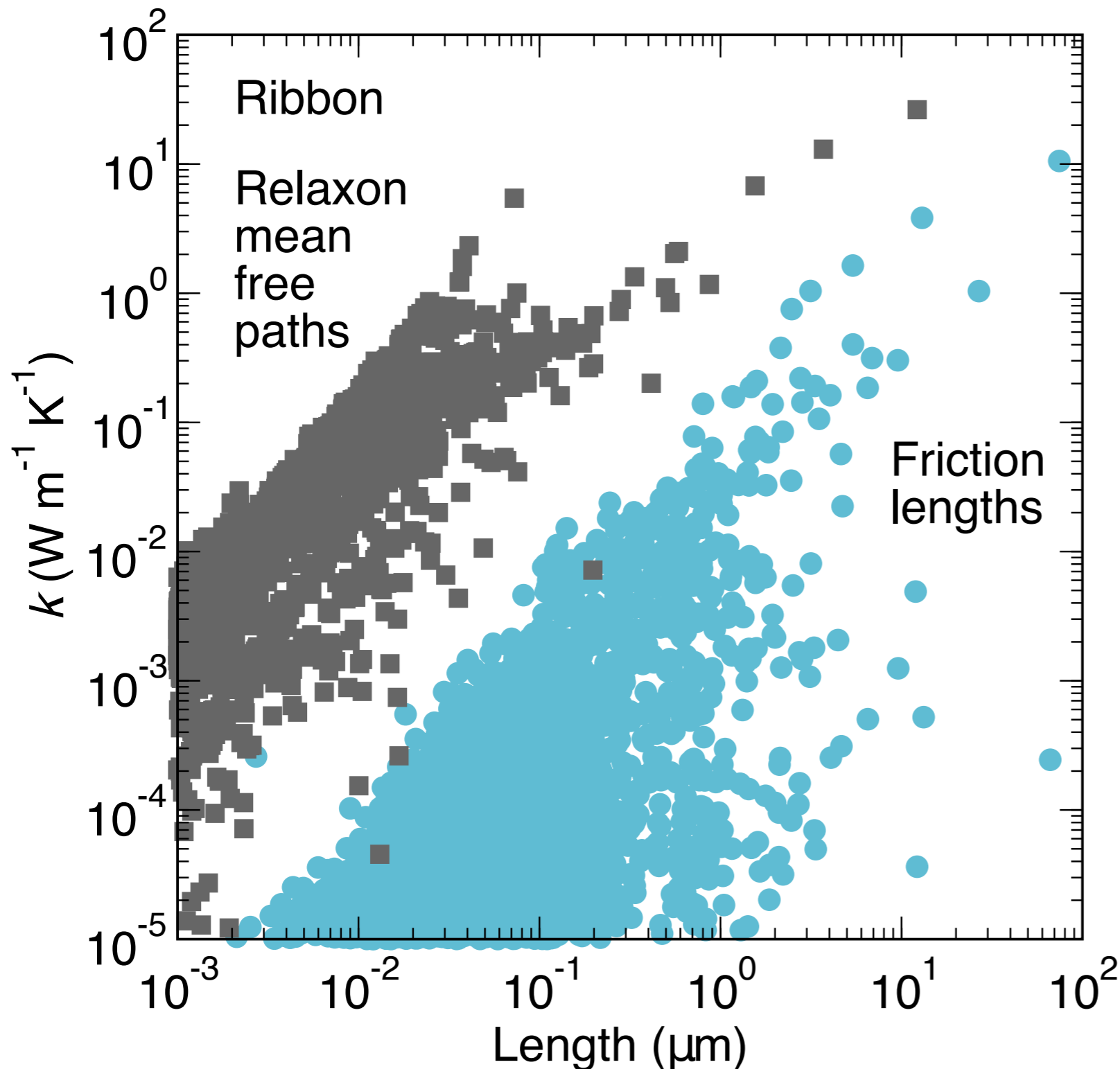
$$\frac{1}{\tau_{\alpha}} \rightarrow \frac{1}{\tau_{\alpha}} + \frac{V_{\alpha}}{L}$$

# MoS<sub>2</sub> monolayer

Ribbon geometry (finite width, infinite length)



# MoS<sub>2</sub> monolayer

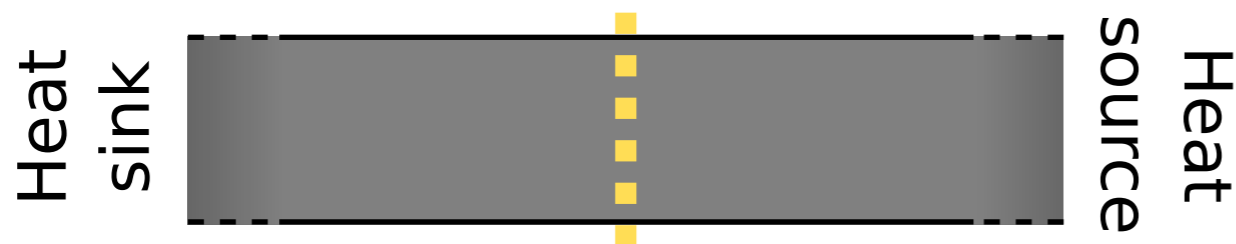
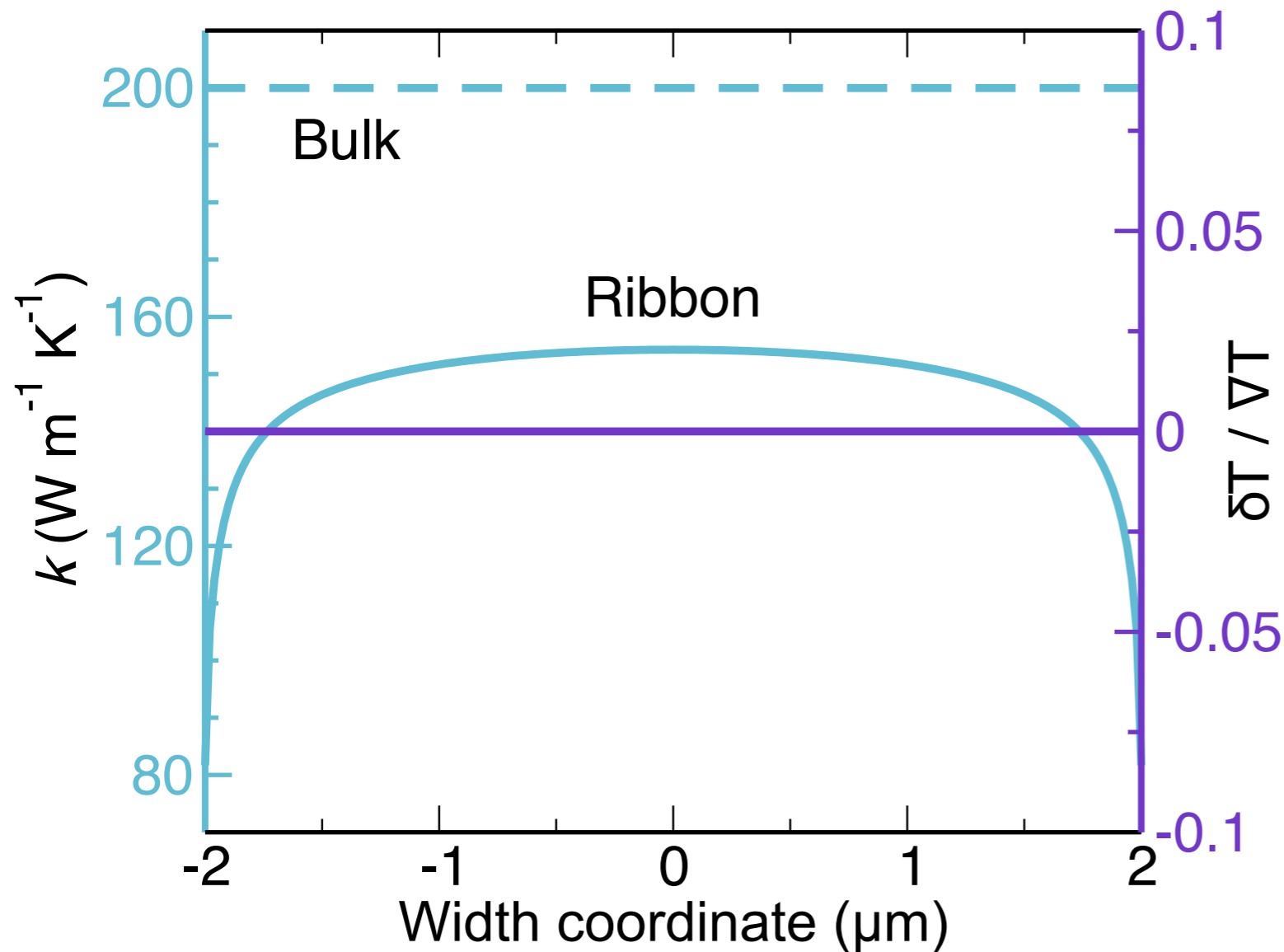


Contribution to thermal conductivity from relaxon  $\vartheta_{\mu\alpha}$  and reduction of thermal conductivity from mode  $\psi_{\alpha i}$

Friction lengths are much longer than carrier mean free paths.



# MoS<sub>2</sub> monolayer



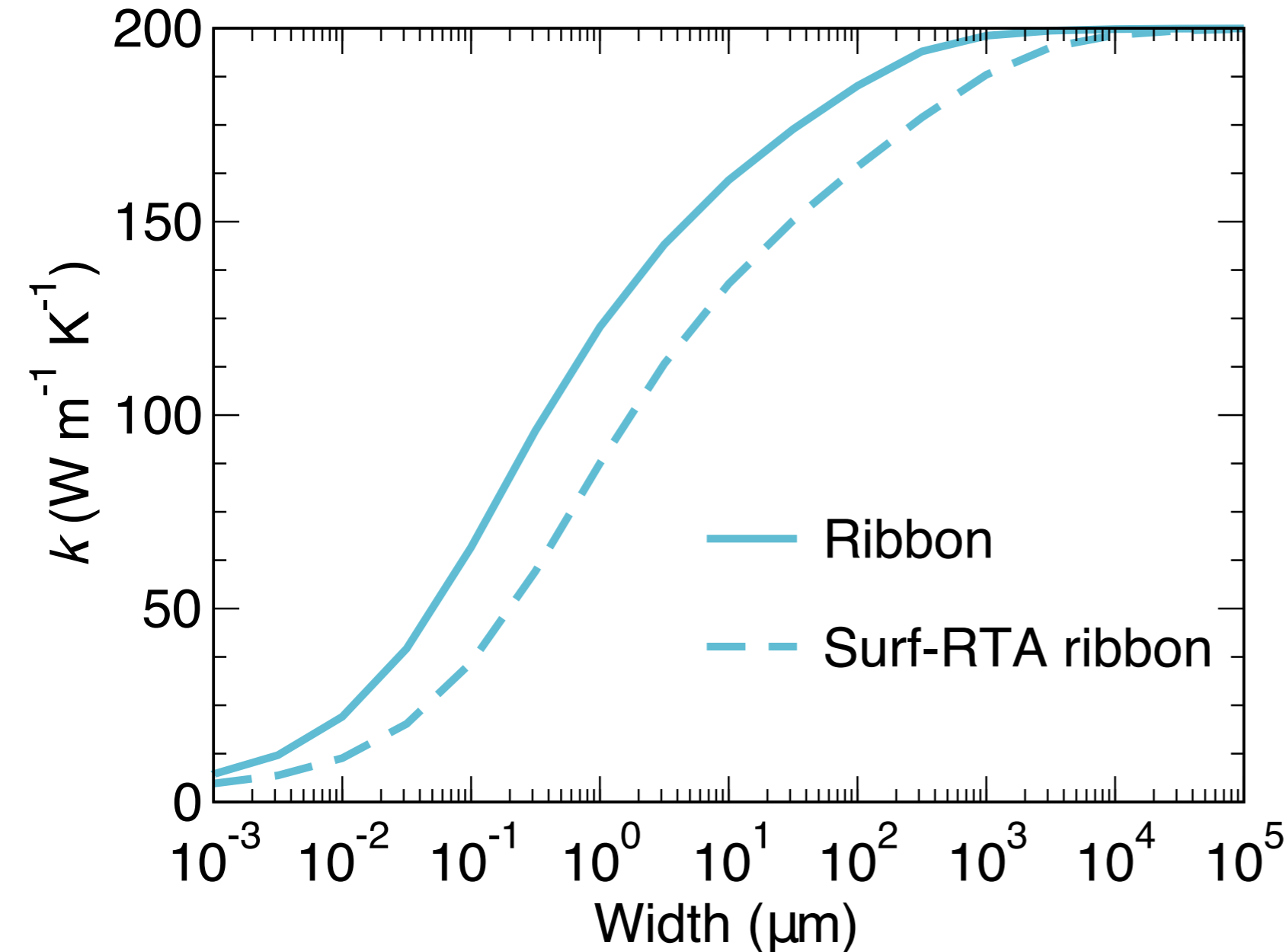
Thermal conductivity has a minimum at the surfaces and maximum at the center.

Temperature response ( $\Delta T = \Delta E / C$ ) is constant along the ribbon width.

The same behavior is seen in liquids (e.g. rivers): phonons display hydrodynamic behaviors

Hence, identify the eigenvalues  $\lambda_i^y$  as “friction lengths”

# MoS<sub>2</sub> monolayer



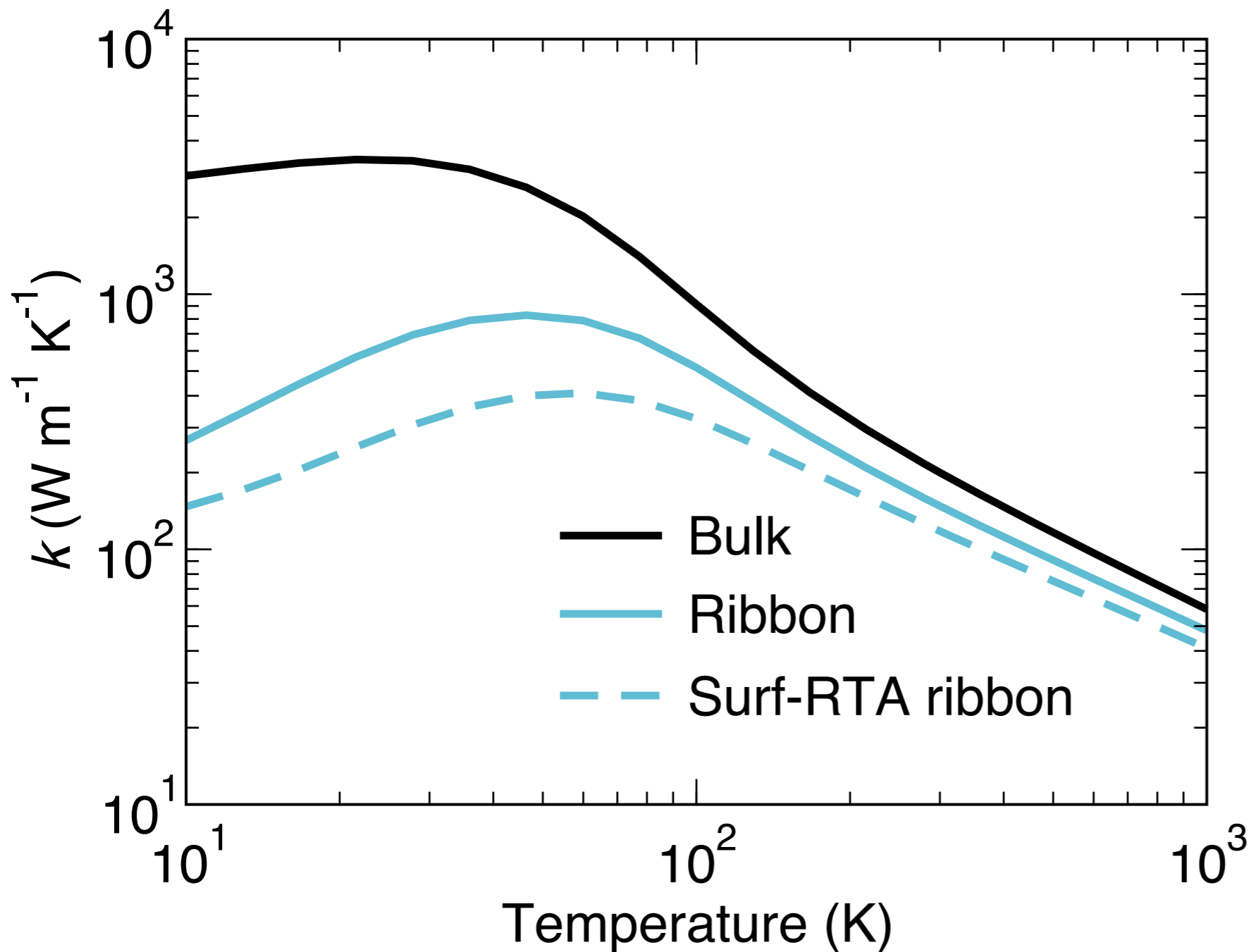
Surf-RTA is a model of surface scattering often seen in literature

$$\Omega_{\mu\mu'} \rightarrow \Omega_{\mu\mu'} + \delta_{\mu\mu'} \frac{v_{\mu}}{L}$$

This mixes SMA and non-SMA results and it's incorrect

(1) theoretically and  
(2) by an order of magnitude (the horizontal translation)

# MoS<sub>2</sub> monolayer



Trends follow the expected behavior;

The difference is bigger at low temperatures, where surface scattering is more important;

Note: the log-scale compresses differences!

# Second sound

[arXiv:1612.04317]

The Boltzmann transport equation admits wave-like solutions:

$$\Delta n_{\mu} = \sum_{k\alpha} c_{\alpha} I_{\mu}^{\alpha} e^{i(\mathbf{k}\cdot\mathbf{r} - \omega_{\alpha} t)}$$

The Boltzmann equation is a non-hermitian eigenvalue problem

$$\frac{1}{V} \sum_{\mu'} \Omega_{\mu\mu'} I_{\mu'} + i\mathbf{k} \cdot \mathbf{v}_{\mu} I_{\mu} = i\omega I_{\mu}$$

Waves have a dispersion relation, with complex frequencies:

$$\omega = \omega_{\alpha}(\mathbf{k}) = \bar{\omega}_{\alpha}(\mathbf{k}) - \frac{i}{\tau_{\alpha}(\mathbf{k})}$$

$$\Delta n_{\mu}^{\alpha}(\mathbf{k}) = |I_{\mu}^{\alpha}(\mathbf{k})| e^{-t/\tau_{\alpha}(\mathbf{k})} \sin(\mathbf{k} \cdot \mathbf{r} - \bar{\omega}_{\alpha}(\mathbf{k})t + \phi)$$

# Second sound

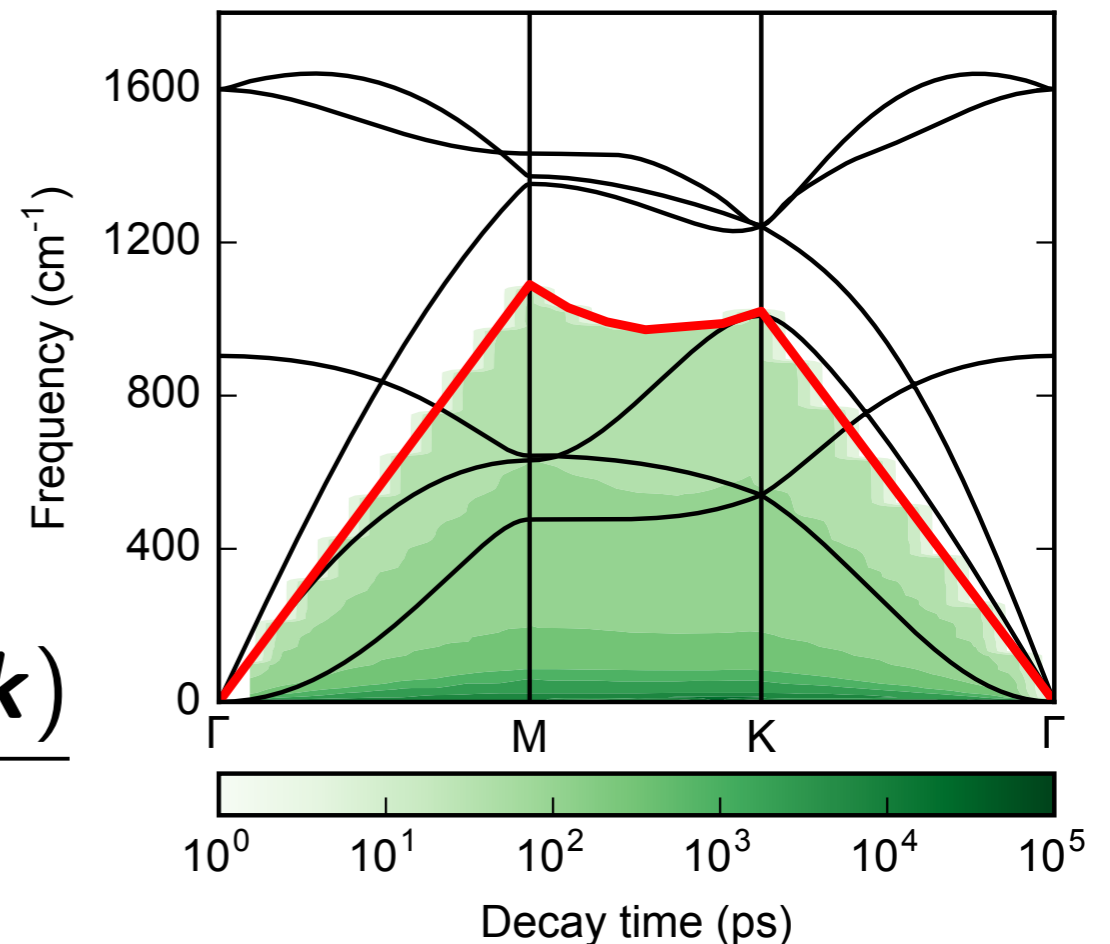
Population waves  $\iff$  Temperature waves

$$\Delta n_{\mu}^{\alpha} = I_{\mu}^{\alpha} e^{i(\mathbf{k} \cdot \mathbf{r} - \omega_{\alpha}(\mathbf{k})t)} \quad \Delta E = \frac{1}{\mathcal{V}} \sum_{\mu} \hbar \omega_{\mu} \Delta n_{\mu} = C \Delta T$$

Using this Ansatz, we obtain damped wave solutions of temperature, i.e. a basis set of second sound modes

$$\frac{\partial^2 T}{\partial t^2} + \frac{1}{\tau_{SS}} \frac{\partial T}{\partial t} - (v_{SS})^2 \nabla^2 T = 0$$

$$\omega_{\alpha}(\mathbf{k}) = \bar{\omega}_{\alpha}(\mathbf{k}) - \frac{i}{\tau_{\alpha}(\mathbf{k})} \quad v_{SS} = \frac{\partial \bar{\omega}_{\alpha}(\mathbf{k})}{\partial \mathbf{k}}$$



# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;

# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)

# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)
- The low-temperature transport regimes of 3D materials are found in 2D at room temperature (see also S. Lee);



# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)
- The low-temperature transport regimes of 3D materials are found in 2D at room temperature (see also S. Lee);
- Phonons aren't 'good' heat carriers, because phonon scattering isn't directly related to heat flux dissipation;

# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)
- The low-temperature transport regimes of 3D materials are found in 2D at room temperature (see also S. Lee);
- Phonons aren't 'good' heat carriers, because phonon scattering isn't directly related to heat flux dissipation;
- Relaxons, the eigenvectors of the scattering matrix, are the true heat carriers;

# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)
- The low-temperature transport regimes of 3D materials are found in 2D at room temperature (see also S. Lee);
- Phonons aren't 'good' heat carriers, because phonon scattering isn't directly related to heat flux dissipation;
- Relaxons, the eigenvectors of the scattering matrix, are the true heat carriers;
- A kinetic theory of the relaxon gas describes exactly thermal transport in crystals, revising time and length scales of transport.

# Conclusions

In 2D materials, phonon scattering is mostly of normal kind, thus:

- The relaxation time approximation doesn't hold;
- Transport is mostly hydrodynamic (Poiseuille and Ziman regimes)
- The low-temperature transport regimes of 3D materials are found in 2D at room temperature (see also S. Lee);
- Phonons aren't 'good' heat carriers, because phonon scattering isn't directly related to heat flux dissipation;
- Relaxons, the eigenvectors of the scattering matrix, are the true heat carriers;
- A kinetic theory of the relaxon gas describes exactly thermal transport in crystals, revising time and length scales of transport.
- Surface "scattering" is in fact an effect of the friction (viscosity) of the 'liquid' of vibrations.