Zone-Boundary Phonon Induced Mini Band Gap Formation in Graphene

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We investigate the effect of electron-\textit{A}_{1g} phonon coupling on the gapless electronic band dispersion of the pristine graphene. The electron-phonon interaction is introduced through a Kekulé-type distortion giving rise to inter-valley scattering between K and K’ points in graphene. We develop a Fröhlich type Hamiltonian within the continuum model in the long wave length limit. By presenting a fully theoretical analysis, we show that the interaction of charge carriers with the highest frequency zone-boundary phonon mode of \textit{A}_{1g}-symmetry induces a mini band gap at the corners of the two-dimensional Brillouin zone of the graphene. Since electron-electron interactions favor this type of lattice distortion, it is expected to be enhanced, and thus its quantitative implications might be measurable in graphene.

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I. INTRODUCTION

Since the discovery of graphene\textsuperscript{1,2} and its unconventional physical properties, the investigation of electronic properties of both graphene and graphene based nanostructures have become one of the active areas in condensed matter physics experimentally as well as theoretically, in past few years. Theoretically, in the low-energy limit charge carriers of graphene have linear dispersion relation around so-called Dirac points\textsuperscript{4} having Fermi velocity \textit{v}_\textit{F} \approx 10^6 m/s, and Dirac-Weyl equation can be safely used within the framework of continuum description of the electronic band structure of the graphene\textsuperscript{5}.

It is also well-known that both in-plane and out-of-plane phonon modes play an important role in charge carriers dynamics of the graphene\textsuperscript{6–11}. On the one hand the Fermi velocity is reduced by interaction of charge carriers with doubly degenerate in-plane \textit{E}_2g phonon\textsuperscript{27,28}. On the other hand, though the electron-highest frequency zone-boundary phonon interaction, i.e., Kekulé-type distortion of the graphene lattice is one of the possible mechanisms among the gap generations, except that the work of Ref.\textsuperscript{15}, there are no theoretical works about its influence on the graphene band dispersion. This first theoretical prediction of dynamical mini band gap formation in graphene due to the highest frequency phonon mode with \textit{A}_{1g}-symmetry is reported by Samsonidze et al.\textsuperscript{16}. They showed that, based on a simple tight-binding model at room temperature, such as electron-phonon coupling mechanism induces a mini gap around 10 meV, and it is also responsible for the Kohn anomalies\textsuperscript{22,23} in graphene. The Kekulé structure consists of a network of hexagons with the alternating short and long bonds like in the classical benzene molecule. This pattern was studied for 1D simple model, finite size carbon nanotubes\textsuperscript{24,25}. Investigation of the gap formation, in particular, its control, in both graphene and graphene based nanostructures is itself one of the hot topics of the current research in graphene, and such a gap generation can be created by strain\textsuperscript{36–38} or by substrate induced effects\textsuperscript{39–41}.

In this paper, to investigate the effect of interaction of graphene charge carriers with the highest frequency opti-
\[ \langle r | K \lambda k \rangle = \frac{\exp(ik \cdot r)}{\sqrt{2L}} \begin{pmatrix} \lambda \\ e^{i\theta(k)} \\ 0 \\ 0 \end{pmatrix} \]

where \( L^2 \) is the total area of the system. In Eq. (1), the last term represents the electron-phonon couplings, and is given by

\[ \langle r | K \lambda k \rangle = \frac{\exp(ik \cdot r)}{\sqrt{2L}} \begin{pmatrix} \lambda \\ e^{i\theta(k)} \\ 0 \\ 0 \end{pmatrix} \]

where \( \beta_K = -d \ln J_0 / d \ln a, \gamma = (3a/2) J_0, \omega = \exp(2\pi i / 3) \), \( J_0 \) is the resonance integral between nearest neighbor carbon atoms which is of order of 2.77 eV, \( \sigma_y \) is the 2x2 Pauli matrix. In Eq. (3), the amplitude of distortions at \( K \) and \( K' \) points are defined by

\[ \Delta_K(r) = \sum_q \sqrt{\frac{\hbar}{2NM_C\omega_K(q)}} (b_{K,q} + b_{K,-q}^\dagger) e^{iqr} \]

\[ \Delta_{K'}(r) = \sum_q \sqrt{\frac{\hbar}{2NM_C\omega_K(q)}} (b_{K',q} + b_{K,-q}^\dagger) e^{iqr} \]

respectively. \( N \) is the number of unit cells, \( M_C \) is the mass of a carbon atom. In Eq. (4), \( b_{K,q} \) (\( b_{K',q} \)) and \( b_{K,-q}^\dagger \) (\( b_{K,-q}^\dagger \)) are the phonon creation and annihilation operators at points \( K \) (\( K' \)) with phonon wave vector \( q \) and frequency \( \omega_K(q) \). The corresponding highest zone-boundary phonon energy is \( \hbar \omega_K(0) = 161.2 \text{ meV} \). Therefore, the electron-phonon interaction Hamiltonian given by Eq. (5) can be conveniently rewritten in the following form:

\[ \mathcal{H}_{e-p} = \sum_{\mu \neq \nu} \sum_q \left[ M_{\mu \nu} b_{\mu,q}^\dagger b_{\nu,q} e^{iqr} + \text{h.c.} \right]. \]

We have defined \( M_{\mu \nu} \) as \( M_0 M_{\mu \nu} \) such that

\[ M_{KK'} = \frac{\omega}{\sqrt{N}} \begin{pmatrix} 0 & 0 \\ \sigma_y & 0 \end{pmatrix}, \]

\[ M_{K'K} = \frac{\omega^{-1}}{\sqrt{N}} \begin{pmatrix} 0 & \sigma_y \\ 0 & 0 \end{pmatrix}, \]

together with \( M_0 = 3a_0^2 J_0 \). Here, \( a_0 = (\hbar / 2M_C \omega_K(0))^{1/2} \), and \( q_0 = (\partial J_0 / \partial a) / J_0 \) is predicted around 2.0 \( \AA^{-1} \) and 2.5 \( \AA^{-1} \).

To diagonalize the phonon subsystem of Eq. (1) through Eq. (5) we employ a unitary transformation scheme within the LLP theory. This includes two successive transformations each of which eliminates the electron coordinates from Eq. (1), and shifts phonon coordinates by an amount of the interaction strength, respectively. To do this we follow the method developed for the investigation of the interaction of electron (hole) with doubly degenerate optical phonon modes of \( E_{2g} \) symmetry near the zone center, wherein an ansatz was made so as to take into account chiral nature of the pristine graphene due to its gapless electronic band structure. However, besides the chiral nature of the problem, one must also considered that the zone boundary phonon gives rise to inter-valley scattering between \( K \) and \( K' \). Therefore, to be compatible with these properties of the problem, we make an ansatz for the ground-state of the whole system.

\[ | \Phi \rangle = \sum_{\mu' \neq \nu'} \sum_{\lambda'} \alpha_{\mu' \lambda'} \langle \mu' \lambda' | \otimes U_1 U_2 | 0 \rangle_{\text{ph}} \]

such that \( \mathcal{H} | \Phi \rangle = E_{\text{ph}} | \Phi \rangle \). Here, \( | 0 \rangle_{\text{ph}} \) stands for the phonon vacuum, and \( \alpha_{\mu' \lambda'} \langle \mu' \lambda' | \mu' \lambda' \rangle \) corresponds to electronic state vector defined through the appropriate fractional amplitudes, \( \alpha_{\mu' \lambda'} \), due to the fact that total wave function of the system must be the linear combination of \( | \mu' + k \rangle \) and \( | \mu' - k \rangle \), respectively.

On the one hand, the first unitary transformation

\[ U_1 = \exp \left[ -i \sum_q \sum_{\mu \neq \nu} q b_{\mu,q}^\dagger b_{\nu,q} \right] \]

eliminates electron coordinates from Eq. (1), since the transformed operators are given by the relations, \( b_{\mu,q} = b_{\mu,q} \exp[-iq \cdot r] \) and \( \vec{p} = \vec{p} - \sum_q \sum_{\mu \neq \nu} \hbar q b_{\mu,q}^\dagger b_{\nu,q} \). Therefore, the transformed Hamiltonian takes the form,

\[ \tilde{\mathcal{H}} = v_F \alpha \left( \vec{p} - \hbar \sum_q \sum_{\mu \neq \nu} q b_{\mu,q}^\dagger b_{\nu,q} \right) + \sum_q \sum_{\mu \neq \nu} \hbar \omega_K b_{\mu,q}^\dagger b_{\nu,q} - \sum_q \sum_{\mu \neq \nu} \left( M_{\mu \nu} b_{\mu,q} + \text{h.c.} \right). \]

On the other hand, second unitary transformation

\[ U_2 = \exp \left[ \sum_q \sum_{\mu \neq \nu} M_0 (\mu' \lambda' | M_{\mu' \nu} | \lambda' \lambda^{\prime} \rangle b_{\mu,q}^\dagger - \text{h.c.} \right] \]

is the well-known displaced oscillator transformation which shifts phonon coordinates by an amount of the interaction amplitude, \( M_0 = M_0 / \omega_K(0) \). It just shifts the phonon coordinates, since it generates the coherent states for the phonon subsystem such that optical phonon operators transform according to the rule \( b_{\mu,q} = b_{\mu,q} + M_0 (\mu' \lambda' | M_{\mu' \nu} ^\dagger | \lambda' \lambda^{\prime}^\prime \rangle \). As a result, under the transformation \( U_2 \), Eq. (5) can then be written as

\[ \tilde{\mathcal{H}} = \mathcal{H}^{\text{ph}} + \mathcal{H}_1, \text{ where } \mathcal{H}^{\text{ph}} \text{ and } \mathcal{H}_1 \text{ are given by} \]
\[ \mathcal{H}_1 = \sum_q \sum_{\mu \neq \nu} \left\{ \left[ M_{\mu \nu} + [h \omega_\mu(q) - \hbar v_F \alpha \cdot q] \tilde{M}_0 (\mu' \lambda' k \mid M_{\mu \nu} \mid \mu' \lambda' k) \right] b_{\mu, q} + \text{H.c.} \right\}, \]  

(11)

respectively. Therefore, one applies the phonon vacuum to the sum of Eq. (10) and Eq. (11), only the contribution comes from the diagonalized part, i.e., from \( \mathcal{H}_1^{\alpha} \). By using the ansatz given by Eq. (6), one first applies Eq. (10) to the term \( \alpha^{\mu \lambda'} \mid \mu' \lambda' k \rangle \), and then sums over \( \lambda' \) to construct the eigenvalue equation \( \mathcal{H} | \Phi \rangle^{\mu \lambda} = E_{\pm} | \Phi \rangle^{\mu \lambda} \).

Finally, by taking inner products to compare the related coefficients of the states \( | \mu' \lambda' k \rangle \) we arrive at four simultaneous equations for \( \alpha_{K}^{\pm +} \), \( \alpha_{K}^{\pm -} \), \( \alpha_{K}^{+ +} \) and \( \alpha_{K}^{- -} \) which can be rewritten in the following matrix equation:

\[
\begin{bmatrix}
E_{\pm} + \Sigma^{(1)KK}_{\pm \pm} & \Sigma^{(2)KK'}_{\pm \pm} & \Sigma^{(2)KK'}_{\pm -} & \Sigma^{(2)KK'}_{\pm +} \\
\Sigma^{(1)KK}_{\pm +} & E_{\pm} + \Sigma^{(0)KK}_{\pm +} & \Sigma^{(2)KK'}_{\pm +} & \Sigma^{(2)KK'}_{\pm -} \\
\Sigma^{(1)KK}_{\pm -} & \Sigma^{(2)KK'}_{\pm -} & E_{\pm} + \Sigma^{(0)KK'}_{\pm -} & \Sigma^{(2)KK'}_{\pm +} \\
\Sigma^{(1)KK}_{\pm +} & \Sigma^{(2)KK'}_{\pm +} & \Sigma^{(2)KK'}_{\pm -} & E_{\pm} + \Sigma^{(0)KK'}_{\pm +}
\end{bmatrix}
\begin{bmatrix}
K^+ \\
\alpha_{K}^{K^+} \\
\alpha_{K}^{K^-} \\
\alpha_{K}^{K^+}
\end{bmatrix}
= 0
\]

(12)

\[ \sum_q \rightarrow (S/4 \pi^2) \int d^2 q, \]  

where \( S = NS_0 \) is the area of the system, and the area of the unit cell is \( S_0 = 3 \sqrt{3} a^2 / 2 \), it is easy to see that, except for \( \Sigma^{(2)KK'}_{\pm +} \) and \( \Sigma^{(2)KK'}_{\pm -} \) terms, all the terms with \( \Sigma^{(0)KK}_{\pm +} \), \( \Sigma^{(1)KK}_{\pm +} \) and their corresponding \( K' \) partners vanish. The non-vanishing terms can easily be calculated as

\[ \Sigma^{(2)KK'}_{\pm +} = \Sigma^{(2)KK'}_{\pm -} = \frac{3 \sqrt{3} J_0 \alpha_0 \pi^2}{ \pi } \]  

(16)

where we have defined that \( \alpha_0 = |M_0|^2 / 4 J_0 \hbar \omega_0 (0) \) which takes values 0.305 or 0.477 depending on whether \( q_0 \) is 2.0 \( A^{-1} \) or 2.5 \( A^{-1} \), respectively. We must introduce an upper cut-off frequency \( \omega_c = q_0 a \), while taking the integrals in Eq. (13), since they diverge at upper limit of the integrations. By solving the determinant of the matrix in Eq. (12) the eigenvalues \( E_{\pm} \) can be solved analytically in the following form:

\[ E_{\pm} = \pm \left[ (\hbar v_F k)^2 + \left( \Sigma^{(2)KK'}_{\pm \pm} \right)^2 \right]^{1/2}, \]  

(17)

which is modified electronic band dispersion of the pristine graphene by the gap due to the Kekulé-type distortion.
tion of the lattice. As is seen from Eq. (17), Kekulé-
type distortion preserves the chirality of the sublattice, i.e., the valley degeneracy is not lifted. Since the cal-
culations we have done are restricted by the energy scale near to the phonon resonance, i.e., $\omega_K$, we can choose $q_e = \omega_K/v_F = 0.027 \, \text{Å}^{-1}$ such that $7 = q_e a = 0.039$. This suggest that the magnitude of the half-band gap is of order of 2.12 meV ($g_0 = 2.0 \, \text{Å}^{-1}$) or 3.34 meV ($g_0 = 2.5 \, \text{Å}^{-1}$), so that the induced gap, of 4.24 meV or 6.68 meV. This is smaller than that those previously found in the literature, where a mini band gap occurs 10 meV in their room temperature calculations.

III. CONCLUSION

In conclusion, we present, to the best our knowledge, the first theoretical justification of a mini band gap formation in pristine graphene at absolute zero temperature, due to the interaction of electron (hole) with high-
est frequency optical phonon mode with $A_{1g}$ symmetry near the zone boundary yielding Kekulé type distortion. We have shown that such an interaction opens a gap without breaking the chiral symmetry of the lattice. Al-
though, we have performed our calculations at absolute

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