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# Electron-phonon interaction. Can dispersionless phonons provide relaxation?

P. Gartner, J. Seebeck, F. Jahnke

Institute for Theoretical Physics University of Bremen

Kiel, 2010





#### Self-assembled quantum dots



S. Anders et al., Phys. Rev. B 66, 125309 (2002)









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#### Energy spectrum





#### Discrete spectrum

- important for optoelectronics
- controlled by quantum dot geometry

### Carrier kinetics

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## Carrier kinetics



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#### Capture and relaxation



#### Low carrier densities

- carrier-carrier scattering negligible
- carrier-LO-phonon interaction dominant

Perturbation theory:

 capture and relaxation prevented phonon bottleneck





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U.Bockelmann, G. Bastard, PRB 42, 8947 (1990)

H. Benisty et al., PRB 44, 10945 (1991)







Experiment:

fast (ps) capture and relaxation





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fast (ps) capture and relaxation

Example:

- S. Trumm et al. APL 87, 153113 (2005)
  - rapid relaxation inside wetting layer
  - rapid transfer to bound states
  - characteristic times (ps) independent of excitation power





#### Outline

- Boltzmann kinetics
  - relaxation properties, in general and with dispersionless LO-phonons
- Carrier-phonon system in equilibrium
  - carrier renormalization  $\implies$  the polaron
- Quantum kinetics
  - 2-time quantum kinetics
  - 1-time approximation
- Results (QWs and QDs)
- Numerical difficulties





#### **Boltzmann kinetics**

Carrier-phonon Hamiltonian:





 $\hbar \omega_q$ 

#### **Boltzmann kinetics**

Carrier-phonon Hamiltonian:

$$\begin{split} H &= \sum_{i} \epsilon_{i} a_{i}^{\dagger} a_{i} + \sum_{\boldsymbol{q}} \hbar \omega_{\boldsymbol{q}} b_{\boldsymbol{q}}^{\dagger} b_{\boldsymbol{q}} + \sum_{i,j,\boldsymbol{q}} M_{i,j}(\boldsymbol{q}) a_{i}^{\dagger} a_{j}(b_{\boldsymbol{q}} + b_{-\boldsymbol{q}}^{\dagger}) \qquad \epsilon_{j} - \\ \omega_{\boldsymbol{q}} &= \omega_{LO} \ , \qquad M_{i,j}(\boldsymbol{q}) = g_{\boldsymbol{q}} \ \langle \varphi_{i} | \boldsymbol{e}^{i \boldsymbol{q} \boldsymbol{r}} | \varphi_{j} \rangle \\ g_{\boldsymbol{q}}^{2} \propto \ \boldsymbol{\alpha} \frac{1}{q^{2}} \qquad \text{Fröhlich coupling} \end{split}$$



$$\frac{\partial f_i}{\partial t} = \sum_j \left\{ W_{i,j} (1 - f_i) f_j - W_{j,i} (1 - f_j) f_i \right\}$$





#### **Boltzmann kinetics**

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$$\frac{\partial f_i}{\partial t} = \sum_j \left\{ W_{i,j} (1 - f_i) f_j - W_{j,i} (1 - f_j) f_i \right\}$$

 $W_{i,j} =$  Golden Rule transition rate  $j \longrightarrow i$  :

$$W_{i,j} = rac{2\pi}{\hbar} \sum_{q} |M_{i,j}(q)|^2 \left\{ N_q \delta(\epsilon_i - \epsilon_j - \hbar \omega_q) + (N_q + 1) \delta(\epsilon_i - \epsilon_j + \hbar \omega_q) 
ight\}$$

Relaxation properties (analytic):

- conserves positivity:
  - $f_i(0) \ge 0 \implies f_i(t) \ge 0$
- stationary solution:
  - $f_i(t) = 1/[e^{\beta(\epsilon_i \mu)} + 1] = F(\epsilon_i)$
- for any  $f_i(0) \ge 0$

 $f_i(t) \longrightarrow F(\epsilon_i)$  as  $t \longrightarrow \infty$ 

provided all states can be connected using paths with nonzero transition rates.



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phonon cascade





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#### LO-phonons in quantum dots



#### phonon bottleneck

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provided all states can be connected using paths with nonzero transition rates.

Proposed solutions:

- LO+LA: T.Inoshita, H.Sakaki, PRB.46, 7260 (1992)
- LO+LO: A. Knorr group (Berlin) in press

#### LO-phonons in quantum dots



#### phonon bottleneck



#### Boltzmann vs. quantum kinetics

Experiment: fast capture and relaxation (ps)

#### **Boltzmann kinetics:**

- weak coupling
- slow evolution
- Iong time
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- both early and later times
- memory effects included

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#### Quantum kinetics:

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- fast evolution
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#### Relaxation properties (numeric)

- is a steady state reached ?
- steady state = thermal equilibrium ?



#### Polarons





electron polarizes crystal



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#### Polarons



free carrier retarded GF

$$G^{\mathsf{R}}_{lpha}(t) = rac{ heta(t)}{i\hbar} \mathrm{e}^{-rac{i}{\hbar}\epsilon_{lpha}t}$$

$${m G}^{\sf R}_lpha(\omega)=rac{1}{\hbar\omega-\epsilon_lpha+i\delta}$$

electron polarizes crystal

spectral function

$$egin{aligned} \widehat{G}_lpha(\omega) &= -2{
m Im}\,G^{\sf R}_lpha(\omega) \ &= 2\pi\,\delta(\hbar\omega-\epsilon_lpha) \end{aligned}$$



#### Polarons



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$$G^{\mathsf{R}}_{lpha}(\omega) = rac{1}{\hbar\omega - \epsilon_{lpha} + i\delta}$$

polaron retarded GF

$${f G}^{\sf R}_lpha(\omega)=rac{1}{\hbar\omega-\epsilon_lpha+\Sigma^{\sf R}_lpha(\omega)}$$

 $\Sigma^{\mathsf{R}}_{\alpha}(\omega)$  self-energy for carrier-phonon interaction

electron polarizes crystal

spectral function  $\widehat{G}_{\alpha}(\omega) = ?$  $\widehat{G}_{\alpha}(\omega) = -2 \text{Im } G_{\alpha}^{\text{R}}(\omega)$  $= 2\pi \, \delta(\hbar \omega - \epsilon_{\alpha})$ 



Self-consistent Random Phase Approximation

$$\left\{ i\hbar {\partial\over\partial au} - \epsilon_k 
ight\} {f G}^R_k( au) =$$

$$=\int_0^ au d au' \Sigma^R_k( au') G^R_k( au- au')$$





*∞* arbitrary order in *α ∞* multi-phonon processes

GaAs at T= 300K

 $\alpha = 0.06, \quad \hbar \omega_{\text{LO}} = 36 \text{ meV}$ 

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#### Quantum well polaron







J. Seebeck, T.R. Nielsen, P. Gartner, F. Jahnke, Phys. Rev. B 71, 125327 (2005)





Energy  $(\hbar\omega - E_G) / \hbar\omega_{LO}$ 



- LO-phonons + quantum dot states only
  - Self-consistent Random Phase Approximation
    - T.Inoshita, H.Sakaki, PRB 56, 2061 (1998)
    - K.Král, Z.Khás, PRB **57**, 4355 (1998)
  - finite number of phonons  $\implies$  diagonalization
    - O.Verzelen, R.Fereira, G.Bastard, PRB 62, 4809 (2000)
    - T.Stauber, R.Zimmermann, H. Castella, PRB 62, 7336 (2000)

BUT wetting layer states important for both kinetics and spectrum



LO-phonons + quantum dot + wetting layer states





#### LO-phonons + quantum dot + wetting layer states



 $\Delta E = 1.1 \hbar \omega_{LO}$ 







 $\Delta E = 1.1 \hbar \omega_{LO}$ 

#### Quantum kinetics

Quantity of interest:

$$ho_{lpha}(t) = \left(egin{array}{cc} f^{ extsf{e}}_{lpha}(t) & \psi_{lpha}(t) \ \psi^{*}_{lpha}(t) & 1 - f^{ extsf{h}}_{lpha}(t) \end{array}
ight) = -i\hbar {m G}^{<}_{lpha}(t,t)$$

2x2 matrix in the band index,  $\alpha = \mathbf{k}, s, p$ 

Methods:

- Equation of Motion X
  - hierarchy problem
- Nonequilibrium Green's Functions
  - polaronic effects
  - 2-time quantities





#### Quantum kinetics

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Methods:

- Equation of Motion X
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#### Nonequilibrium Green's Functions

**Closed Equations for** 

$$G(t_1, t_2) = \frac{1}{i\hbar} \left\langle T\left[\psi(t_1)\psi^{\dagger}(t_2)\right] \right\rangle$$

Procedure:

- solve for  $G_{\alpha}(t_1, t_2)$
- recover physical data from the time-diagonal  $t_1 = t_2$



#### Quantum kinetics 2-time

Kadanoff-Baym equations:

$$\left\{i\hbarrac{\partial}{\partial t_1}-H_0(1)
ight\}\mathbf{G}_{\alpha}(t_1,t_2)=$$

$$=\left\{ \Sigma\cdot G\right\} _{\alpha}\left( t_{1},t_{2}\right)$$





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 $t_2$ 



#### Quantum kinetics 2-time

Kadanoff-Baym equations:

$$\left\{i\hbar\frac{\partial}{\partial t_1}-H_0(1)\right\}G_{\alpha}(t_1,t_2)=$$

$$=\left\{ \Sigma\cdot\mathbf{G}\right\} _{\alpha}\left( t_{1},t_{2}\right)$$

$$\left\{i\hbar\frac{\partial}{\partial t_2}+H_0(2)\right\}G_\alpha(t_1,t_2)=$$

 $=-\left\{ \boldsymbol{G}\cdot\boldsymbol{\Sigma}\right\} _{\alpha}\left( \boldsymbol{t}_{1},\boldsymbol{t}_{2}\right)$ 

t<sub>1</sub>


Reparametrize:

$$(t_1,t_2)=(t,t-\tau)$$

t - main time  $\tau$  - relative time

$$\left\{i\hbar\frac{\partial}{\partial t} - H_0(1) + H_0(2)\right\} \mathbf{G}_{\alpha}(t, t-\tau) =$$
$$= \{\boldsymbol{\Sigma} \cdot \mathbf{G}\}_{\alpha}(t, t-\tau) - \{\mathbf{G} \cdot \boldsymbol{\Sigma}\}_{\alpha}(t, t-\tau)$$





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### Quantum kinetics 2-time

Polaronic Green's Function:

 $G^R_\alpha(t,t-\tau)=G^R_\alpha(\tau)$ 

- "initial" condition
- natural memory cutoff







$$i\hbar\frac{\partial}{\partial t}G_{\mathbf{k}}^{R,<}(t,t-\tau) = \Sigma_{\mathbf{k}}^{\delta}(t)G_{\mathbf{k}}^{R,<}(t,t-\tau) - G_{\mathbf{k}}^{R,<}(t,t-\tau)\Sigma_{\mathbf{k}}^{\delta}(t-\tau) + i\hbar\frac{\partial}{\partial t}G_{\mathbf{k}}^{R,<}(t,t-\tau)\Big|_{coll}; \quad \tau \ge 0$$

Instantaneous self-energy:

$$\Sigma_{\boldsymbol{k}}^{\delta}(t) = \begin{pmatrix} \epsilon_{\boldsymbol{k}}^{c} & -\boldsymbol{d}_{cv} \cdot \boldsymbol{E}(t) \\ -\boldsymbol{d}_{vc} \cdot \boldsymbol{E}(t) & \epsilon_{\boldsymbol{k}}^{v} \end{pmatrix}$$

The optical excitation connects the two bands.





$$i\hbar\frac{\partial}{\partial t}G_{k}^{R,<}(t,t-\tau) = \Sigma_{k}^{\delta}(t)G_{k}^{R,<}(t,t-\tau) - G_{k}^{R,<}(t,t-\tau)\Sigma_{k}^{\delta}(t-\tau) + i\hbar\frac{\partial}{\partial t}G_{k}^{R,<}(t,t-\tau)\Big|_{coll}; \quad \tau \ge 0$$

**RPA self-energies:** 



$$\Sigma_{k}^{R}(t,t') = i\hbar \sum_{q} g_{q}^{2} \left[ D^{>}(t-t') G_{k-q}^{R}(t,t') + D^{R}(t-t') G_{k-q}^{<}(t,t') \right]$$

$$\Sigma_{k}^{<}(t,t') = i\hbar \sum_{q} g_{q}^{2} D^{<}(t-t') G_{k-q}^{<}(t,t')$$

$$i\hbar D^>(\tau) = (N_{LO}+1) e^{-i\hbar\omega_{LO}\tau} + N_{LO} e^{i\hbar\omega_{LO}\tau} = i\hbar D^<(-\tau)$$



### **Collision terms for** $G^R$ :

$$i\hbar\frac{\partial}{\partial t}G_{\mathbf{k}}^{R}(t,t-\tau)\Big|_{coll} = \int_{t-\tau}^{t} dt' \left[\Sigma_{\mathbf{k}}^{R}(t,t')G_{\mathbf{k}}^{R}(t',t-\tau) - G_{\mathbf{k}}^{R}(t,t')\Sigma_{\mathbf{k}}^{R}(t',t-\tau)\right]$$





#### Collision terms for $G^R$ :







Collision terms for  $G^{<}$ :



$$i\hbar \frac{\partial}{\partial t} G_{k}^{<}(t, t-\tau) \Big|_{coll} = \int_{-\infty}^{t} dt' \left[ \Sigma_{k}^{R}(t, t') G_{k}^{<}(t', t-\tau) - \Sigma^{<} G^{A} - G^{R} \Sigma^{<} - G^{<}(t, t') \Sigma^{A} \right]$$





#### Collision terms for $G^{<}$ :



$$i\hbar \frac{\partial}{\partial t} G_{k}^{<}(t, t-\tau) \Big|_{coll} = \int_{-\infty}^{t} dt' \left[ \Sigma_{k}^{R}(t, t') G_{k}^{<}(t', t-\tau) + \Sigma^{<} G^{A} - G^{R} \Sigma^{<} - G^{<}(t, t') \Sigma^{A} \right]$$



#### Initial conditions - the polaron







No t-evolution before excitation:

$$\begin{split} i\hbar\frac{\partial}{\partial t} \mathbf{G}_{\mathbf{k}}^{R,<}(t,t-\tau) &= \Sigma_{\mathbf{k}}^{\delta}(t) \mathbf{G}_{\mathbf{k}}^{R,<}(t,t-\tau) - \mathbf{G}_{\mathbf{k}}^{R,<}(t,t-\tau) \Sigma_{\mathbf{k}}^{\delta}(t-\tau) + \\ &+ i\hbar\frac{\partial}{\partial t} \mathbf{G}_{\mathbf{k}}^{R,<}(t,t-\tau) \Big|_{coll} ; \quad \tau \ge 0 \end{split}$$

$$\Sigma_{\boldsymbol{k}}^{\delta}(t) = \begin{pmatrix} \epsilon_{\boldsymbol{k}}^{c} & \mathbf{0} \\ \mathbf{0} & \epsilon_{\boldsymbol{k}}^{v} \end{pmatrix}$$

$$\Sigma^{\delta}_{\boldsymbol{k}} G^{R,<}_{\boldsymbol{k}}(t,t- au) - G^{R,<}_{\boldsymbol{k}}(t,t- au) \Sigma^{\delta}_{\boldsymbol{k}} = 0$$





#### No t-evolution before excitation:



$$i\hbar \frac{\partial}{\partial t} G_{k}^{<}(t, t-\tau) \bigg|_{coll} = \int_{-\infty}^{t} dt' \left[ \Sigma_{k}^{R}(t, t') G_{k}^{<}(t', t-\tau) + \Sigma^{<} G^{A} - G^{R} \Sigma^{<} - G^{<}(t, t') \Sigma^{A} \right]$$

### No t-evolution before excitation:



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$$G^R(t,t- au) = \left(egin{array}{cc} g^R_c( au) & 0 \ 0 & g^R_v( au) \end{array}
ight)$$

$$G^<(t,t- au)=\left(egin{array}{cc} 0 & 0 \ 0 & -g^{\mathcal R}_{arkappa}( au) \end{array}
ight)$$





Generalized Kadanoff-Baym ansatz (GKBA)

$${\sf G}^{\lessgtr}_{lpha}(t,t') \;pprox \; i\hbar {\sf G}^{\sf R}_{lpha}(t-t') \; {\sf G}^{\lessgtr}_{lpha}(t',t') \qquad t>t'$$

$$\begin{split} \frac{d}{dt} f_{\alpha}(t) &= 2 \operatorname{Re} \int_{-\infty}^{t} \frac{dt'}{\beta q} |M_{\alpha,\beta}(q)|^{2} \left[ G_{\beta}^{\mathsf{R}}(t-t') \left[ G_{\alpha}^{\mathsf{R}}(t-t') \right]^{*} \\ &\times \left\{ \left[ -f_{\alpha}(t') \left[ 1-f_{\beta}(t') \right] D_{q}^{>}(t-t') \right. \\ &+ \left[ 1-f_{\alpha}(t') \right] \left[ f_{\beta}(t') D_{q}^{<}(t-t') \right] \right\} \\ &\left. D_{q}^{\leq}(t) &= N_{LO} \left[ e^{\mp i\omega_{LO}t} + (1+N_{LO}) e^{\pm i\omega_{LO}t} \right] \end{split}$$

- renormalized quasiparticles (polarons)
- beyond Markov approximation (memory effects)





Generalized Kadanoff-Baym ansatz (GKBA)

$${\sf G}^{\lessgtr}_lpha(t,t') \;pprox \; i\hbar {\sf G}^{\sf R}_lpha(t-t') \; {\sf G}^{\lessgtr}_lpha(t',t') \qquad t>t'$$

$$\begin{split} \frac{d}{dt} f_{\alpha}(t) &= 2 \operatorname{Re} \int_{-\infty}^{t} \frac{dt'}{\sum_{\beta q}} \left| M_{\alpha,\beta}(q) \right|^{2} \frac{e^{-i\epsilon_{\beta}(t-t')}}{\left[ e^{-i\epsilon_{\alpha}(t-t')} \right]^{*}} \\ &\times \left\{ \begin{array}{c} -f_{\alpha}(t) \left[ 1 - f_{\beta}(t) \right] D_{q}^{>}(t-t') \\ &+ \left[ 1 - f_{\alpha}(t) \right] f_{\beta}(t) D_{q}^{<}(t-t') \end{array} \right\} \end{split}$$

$$D_q^{\leq}(t) = N_{LO} \ \mathbf{e}^{\pm i\omega_{LO}t} + (1 + N_{LO}) \ \mathbf{e}^{\pm i\omega_{LO}t}$$

- bare particles
- Markov approximation (no memory effects)

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## Quantum well results: electron population



2-time

1-time

Steady state reached Not the same!





# Kubo-Martin-Schwinger condition

Exact relation in thermal equilibrium

KMS condition

$$f_{lpha} = \int rac{d(\hbar\omega)}{2\pi} F(\omega) \ \widehat{G}_{lpha}(\omega)$$



## Kubo-Martin-Schwinger condition

Exact relation in thermal equilibrium

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$$f_{lpha} = \int rac{d(\hbar\omega)}{2\pi} F(\omega) \ \widehat{G}_{lpha}(\omega)$$

Non-interacting system

$$\rightarrow \ \widehat{\mathsf{G}}_{\alpha}(\omega) = 2\pi \ \delta(\hbar\omega - \epsilon_{\alpha})$$

$$f_{\alpha} = F(\epsilon_{\alpha})$$





## Kubo-Martin-Schwinger condition

Exact relation in thermal equilibrium

KMS condition

$$f_{lpha} = \int rac{d(\hbar\omega)}{2\pi} F(\omega) \ \widehat{G}_{lpha}(\omega)$$

- Non-interacting system
  - $\rightarrow \widehat{G}_{\alpha}(\omega) = 2\pi \,\delta(\hbar\omega \epsilon_{\alpha})$
  - $\rightarrow$   $f_{\alpha} = F(\epsilon_{\alpha})$
- Interacting system ٢
  - → Generalization of Fermi-Dirac distribution

## Kubo-Martin-Schwinger test in quantum wells

CdTe,  $\alpha = 0.31$ 



P. Gartner, J. Seebeck, F. Jahnke, Phys. Rev. B 73, 115307 (2006)

GaAs,  $\alpha = 0.06$ 



## Kubo-Martin-Schwinger test in quantum dots

• CdTe  $\alpha = 0.31$   $\Delta E = 2.4\hbar\omega_{LO}$  p-level excitation







## Kubo-Martin-Schwinger test in quantum dots

• CdTe  $\alpha = 0.31$   $\Delta E = 2.4\hbar\omega_{LO}$  p-level excitation







abrupt cut of the collision integrals at memory depth = 500 fs

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- integral abruptly cut at memory depth
- beyond the memory depth extend with equilibrium  $\Sigma \ , \ {\mbox{G}}$



- integral abruptly cut at memory depth
- beyond the memory depth extend with equilibrium  $\Sigma \ , \ G$
- smooth interpolation to equilibrium  $\Sigma$ , G



#### Collision integrals extended with equilibrium GFs



t = 550fs t = 650fs t = 750fs t = 750fs



#### Collision integrals extended with equilibrium GFs

• smooth change using an interpolating (Fermi-like) function





#### The polaron



Polaronic GF: GaAs at T=10K



#### The polaron







#### **Quantum kinetics 1-time**

$$\begin{split} \frac{d}{dt} f_{\alpha}(t) &= 2 \operatorname{Re} \int_{-\infty}^{t} dt' \sum_{\beta \mid q} \left| M_{\alpha,\beta}(q) \right|^{2} \left| G_{\beta}^{\mathsf{R}}(t-t') \left[ G_{\alpha}^{\mathsf{R}}(t-t') \right]^{*} \\ &\times \left\{ \left| -f_{\alpha}(t') \left[ 1 - f_{\beta}(t') \right] D_{q}^{>}(t-t') \right. \\ &\left. + \left[ 1 - f_{\alpha}(t') \right] \left| f_{\beta}(t') D_{q}^{<}(t-t') \right| \right\} \end{split}$$





#### **Quantum kinetics 1-time**

$$\begin{split} \frac{d}{dt} f_{\alpha}(t) &= 2 \operatorname{Re} \int_{-\infty}^{t} \frac{dt'}{\beta} \sum_{\beta \mid q} \left| M_{\alpha,\beta}(q) \right|^{2} \left| G_{\beta}^{\mathsf{R}}(t-t') \left[ G_{\alpha}^{\mathsf{R}}(t-t') \right]^{*} \\ & \times \left\{ \left| -f_{\alpha}(t') \left[ 1 - f_{\beta}(t') \right] D_{q}^{>}(t-t') \right. \right. \\ & \left. + \left[ 1 - f_{\alpha}(t') \right] \left[ f_{\beta}(t') D_{q}^{<}(t-t') \right] \right\} \end{split}$$

$$\begin{split} \mathbf{G}_{\alpha}^{\mathsf{R}}(t) &= \frac{1}{i\hbar} \Theta(t) \left[ \sum_{j} \mathbf{e}^{-\frac{i}{\hbar}(\epsilon_{\alpha} - \Delta_{\alpha,j})t} + \mathcal{G}_{\alpha}^{\mathsf{R}}(t) \right] \\ \mathcal{G}_{\alpha}^{\mathsf{R}}(t) &\to 0 \quad \text{for} \quad t \to \infty \end{split}$$















#### **Electron population (long time)**



#### KMS test of the steady state



no thermalization (asymptotic bottleneck)




## Summary and conclusions

- Carrier-LO-phonon interaction role twofold:
  - equilibrium: polaron
  - kinetics: polaron-phonon scattering
- Relaxation properties (room temp.):
  - Steady state reached both in 2-time and in 1-time kinetics
  - Thermalization:
    - 2-time kinetics: Yes!
    - $\bullet~$  1-time kinetics, only low  $\alpha$
- Problems with low temperatures:
  - 2-time only the early kinetics
  - 1-time no thermalization (asymptotic bottleneck ?)