Physical properties of semiconductor nanostructures: theory and simulations

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STEM group @ LPS, Orsay



Group Leader: O. Stéphan, LPS, Université Paris Saclay Electron microscopy group, specialized in ultra-high resolution EELS

https://www.stem.lps.u-psud.fr





- Introduction on nanoscience
- Ab initio simulations: Density Functional Theory (DFT)
- Quantum confinement in Si nanowires (Si NWs)
 - Electronic structure
 - Transport properties
 - Doping effects
- Crystal phase engineering in Si NWs
 - Crystal phase effects on bulk
 - Crystal phase effects on NWs
 - Homojunctions



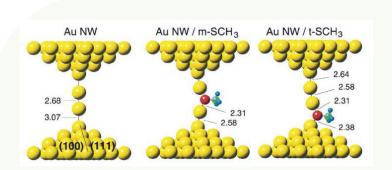
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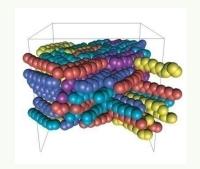


Nanoscience



Nanoscience



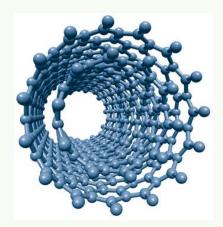


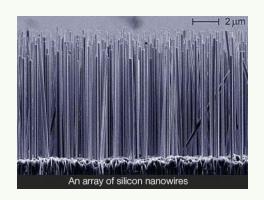


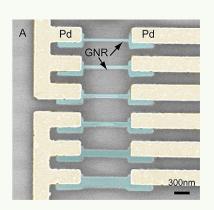
The study of structures, dynamics, and properties of systems in which one or more of the spatial dimensions is nanoscopic (1-100 nm)

Dynamics and properties that are distincly different (often in an extraordinary way) from both small-molecule systems and systems macroscopic in all dimensions

U.S. National Nanotechnology Initiative, nano.gov









The importance of size



The importance of size



Gold nanoparticles



As the size of the material is reduced, and the nanoscale regime is reached, it is possible that the same material will display totally different properties



Nano building blocks



Nano building blocks

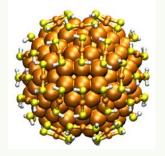
What are the nano building blocks that would play an analogous role to macro building blocks?

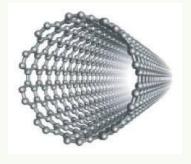


Nano building blocks

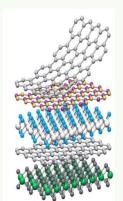
What are the nano building blocks that would play an analogous role to macro building blocks?

Clusters and molecular nanostructures





Nanotubes and related systems



Quantum wells, wires, films and dots



2D materials



From nanoscience to ...



From nanoscience to ...

Chemistry

Physics

Biology

Engineering

Surface Science

Molecular Biology

Biotechnology

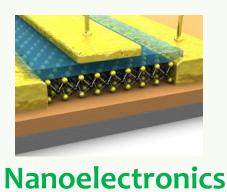


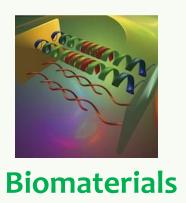
... nanotechnology

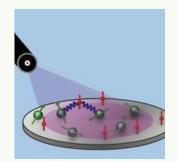


... nanotechnology

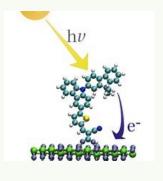




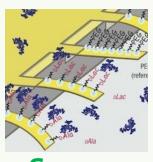




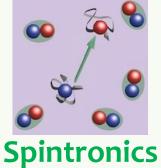
Quantum information



Optoelectronics



Sensors







The application of new extraordinary experimental tools has created an urgent **need for a quantitative understanding** of matter at nanoscale



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- The absence of quantitative models that describe newly observed phenomena increasingly limits progress in the field



- The application of new extraordinary experimental tools has created an urgent **need for a quantitative understanding** of matter at nanoscale
- The absence of quantitative models that describe newly observed phenomena increasingly limits progress in the field
- The absence of such tools would also **seriously inhibit wide-spread applications** ranging from molecular electronics to biomolecular materials





$$J = -k\nabla T$$

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Is the Fourier's law applicable to nanostructures?

How size effects can affect thermal conductivity?

Can present theories interpret satisfactorily experiments?

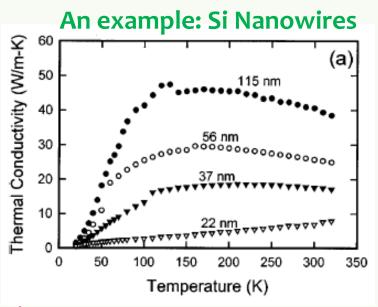


$$J = -k\nabla T$$

Is the Fourier's law applicable to nanostructures?

How size effects can affect thermal conductivity?

Can present theories interpret satisfactorily experiments?



Measured thermal conductivity lower than bulk and diameter dependent

Quantum effects not negligible

Breakdown of Fourier's law

Where do we need a theoretical effort?

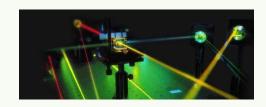


Where do we need a theoretical effort?

Transport in nanostructures



Electronic and optical properties



Coherence and decoherence tunneling



Soft/hard matter interfaces



Spintronics





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Spintronics





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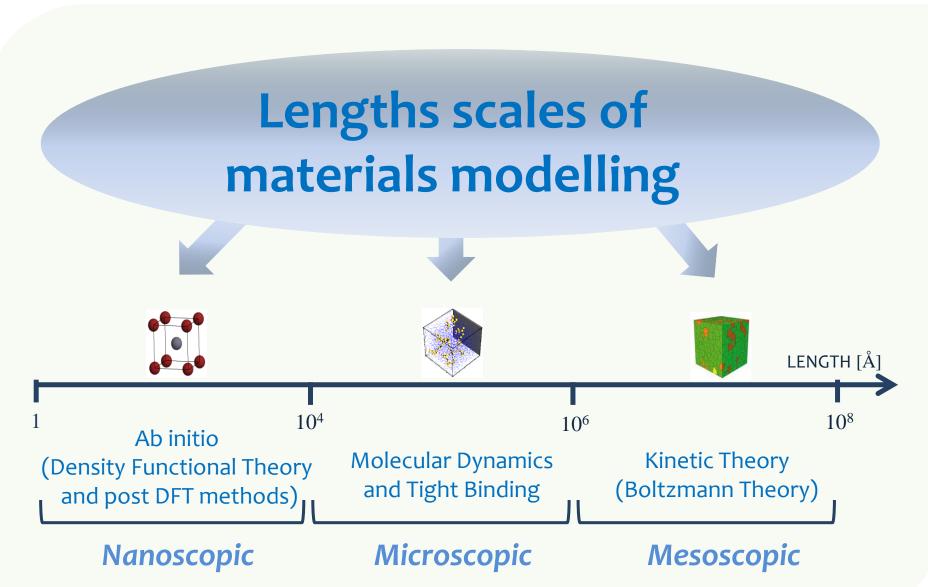
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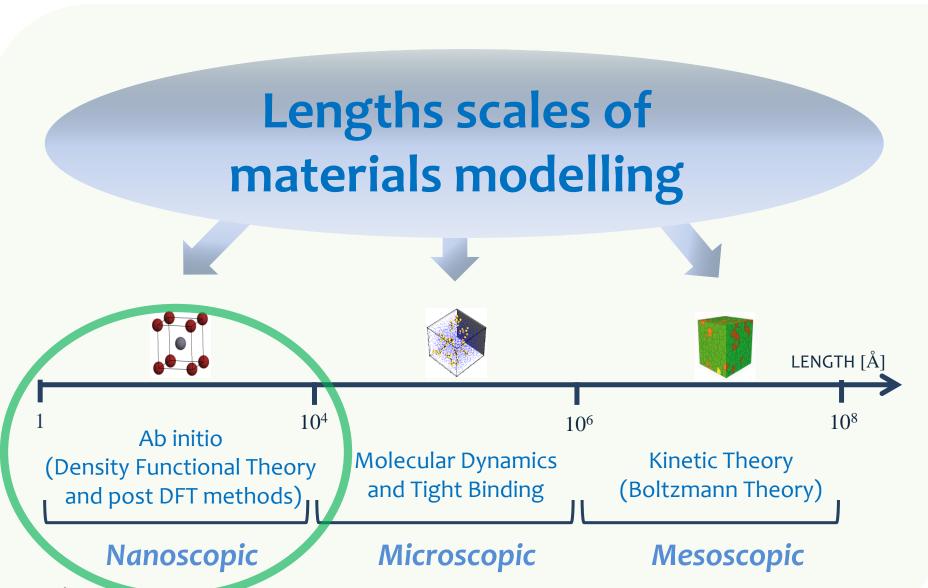


Lengths scales of materials modelling











Ab initio computational modelling



Ab initio computational modelling

- The developement and use of mathematical models for describing and predicting certain properties of materials at a quantitative level
- 'Ab initio' or 'from first principles' refers to a bottom-up modelling strategy in which we do not use any empirical parameters
- Such kind of calculations are completely based on **quantum mechanics**, that can be considered as an engineering tool
- The complexity of such problems requires the use of supercomputers
- This is a discipline at the boundary between materials science, physics and chemistry on the one side, and applied mathematics and software engineering

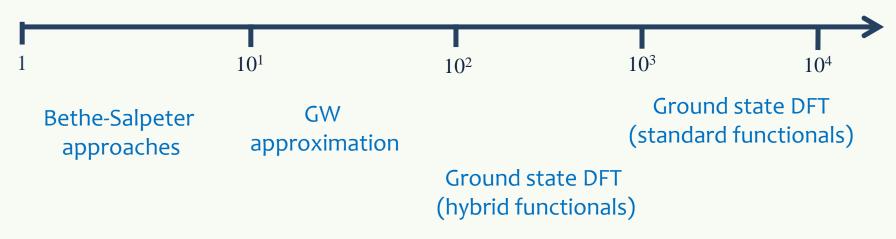
UNIVERSITO

Materials design

Precision of ab initio modelling

MODEL SIZE

PRECISION





Density Functional Theory



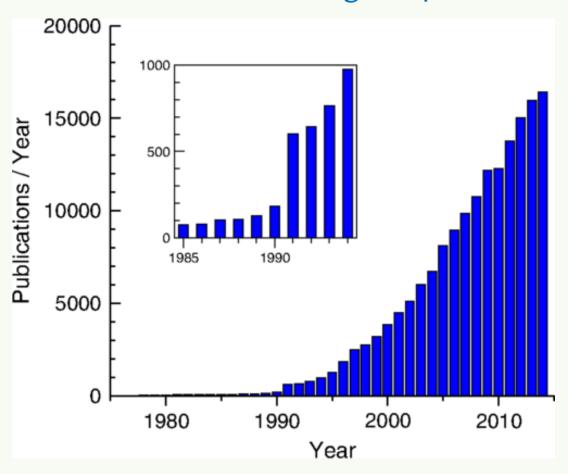
Density Functional Theory

DFT is a very effective technique for studying molecules, nanostructures, solids, surfaces and interfaces by directly solving approximate versions of the Schrödinger equation



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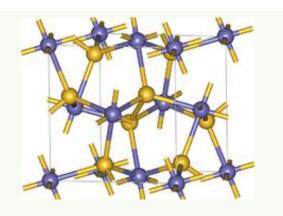




The many body electronic structure



The many body electronic structure



N_e electrons N_n nuclei

Schrödinger equation for interacting particles

$$\widehat{H}\Psi(\left\{R\right\},\left\{r\right\})=E\Psi(\left\{R\right\},\left\{r\right\})$$

$$\widehat{H} = \widehat{T}_n(\{R\}) + \widehat{V}_{nn}(\{R\}) + \widehat{T}_e(\{r\}) + \widehat{V}_{ee}(\{r\}) + \widehat{V}_{ee}(\{r\}) + \widehat{U}_{en}(\{R\}, \{r\})$$



The many body hamiltonian



The many body hamiltonian

$$\widehat{T}_n = \sum_{I=1}^{N_n} -\frac{\nabla_I^2}{2M_I}$$

Kinetic energy of nuclei

$$\widehat{V}_{nn} = \frac{1}{2} \sum_{I,J,I \neq J}^{N_n} \frac{Z_I Z_J}{|R_I - R_J|}$$

Ion-ion interactions

$$\widehat{U}_{en} = -\sum_{j,J}^{N_e,N_n} \frac{Z_J}{|R_J - r_j|}$$

Electron-ion interactions

$$\widehat{T}_e = \sum_{i=1}^{N_e} -\frac{\nabla_i^2}{2m_e}$$

Kinetic energy of electrons

$$\widehat{V}_{ee} = \frac{1}{2} \sum_{i,j,i \neq j}^{N_e} \frac{1}{|r_i - r_j|}$$

Electron-electron interactions

Exactly solvable for two particles (analytically) and very few particles (numerically)

How to deal with $N \sim 10^{23}$ particles?

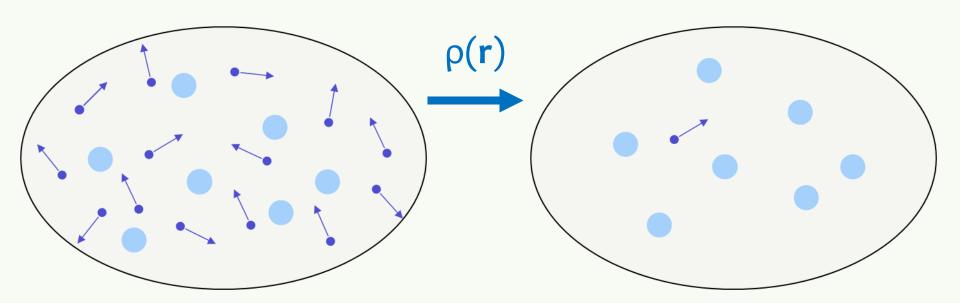
Density Functional Theory (DFT)



Density Functional Theory (DFT)

It can map, exactly, the **interacting** problem to a **non-interacting** one

Hohenberg and Kohn, Phys. Rev. B 136, 864 (1964)



interacting particles in a real external potential

a set of non-interacting electrons (with the same density as the interacting system) in some effective potential



Popularity of DFT



Popularity of DFT

- **Transferability:** same technique for describing different classes of materials
- **Simplicity:** based on simply and intuitive equations
- **Realiability:** possibility of making direct and quantitative comparison with experiments
- **Software sharing:** online platforms and adoption of opensource software model
- Reasonable starting point: even when it fails in describing correctly a property, it respresent an accurate starting point for more accurate theory (more computationally demanding)

Ab initio properties of materials



Ab initio properties of materials

ELECTRONIC STRUCTURE

Density Functional Theory (DFT), Band structure, Density of states, Wave function

OPTICAL RESPONSE

Many Body Perturbation Theory, Optical Absorption, Excitons, GW approach, EELS

VIBRATIONAL PROPERTIES

Density Functional
Perturbation Theory (DFPT),
Raman spectra, phonons, phase diagrams

CHEMICAL REACTIVITY

Nudge Elastic Bands Activation barrier, adsorption energies

ELASTIC PROPERTIES

DFT
Elastic constants and properties of solids



Ab initio properties of materials

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Theoretical method and codes



Theoretical method and codes



SIESTA code http://icmab.es/siesta

Density Functional Theory (DFT)

- Exchange-correlation functional: LDA
- Optimized double-z polarized basis-set
- Troullier-Martins pseudopotentials



VASP code http://www.vasp.at

Hybrid - DFT

- Exchange-correlation functional: PBE-HSE06
- Plane-wave basis set
- PAW approach pseudopotentials



YAMBO code www.yambo-code.org

GW and optical properties calculations

- GW one short perturbative approach
- Plane-wave basis set
- RPA and BSE approaches



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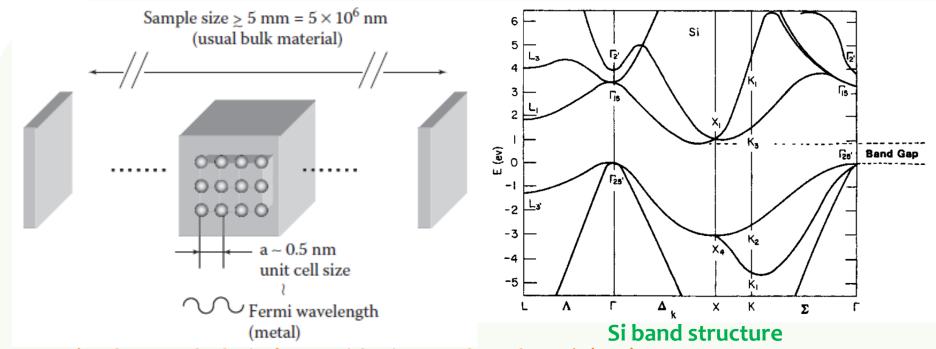
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Space for electrons in materials



Space for electrons in materials



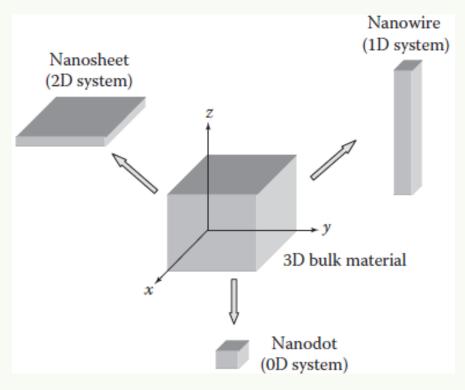
- T. Tsurumi et al. Nanoscale physics for materials science, Taylor and Francis (2010)
- In macroscopic materials the Fermi wave length is of the same order as the unit cells
- Thus the inner space is too large for electrons to feel boundaries
- The possible energy levels for electrons $E(k)=(\hbar^2/2m^*)k^2$ are dense with very small energy spacing



Quantum confinement effect (QCE)



Quantum confinement effect (QCE)



T. Tsurumi et al. Nanoscale physics for materials science, Taylor and Francis (2010)

Quantum confinement effect (QCE) is defined as: a reduction in the degrees of freedom of the carrier particles, implying a reduction in the allowed phase space

E.G. Barbagiovanni et al. Appl. Phys. Rev. 1, 011302 (2014)



Consequences of QCE



Consequences of QCE

- Electrons traveling along the direction that has been reduced in size reach the boundaries and are confined
- This confinement causes the quantization of the electron wavelength and of the energy spectrum
- The contribution of edge-localized surface states can become relevant
-) Size effects dominate the physics of nanostructures



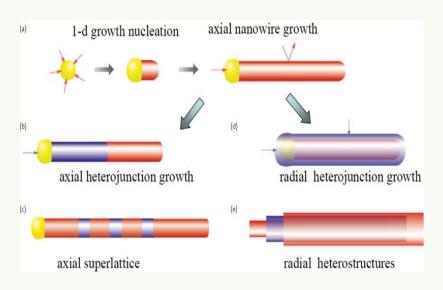
The case of Si nanowires (Si NWs)



The case of Si nanowires (Si NWs)

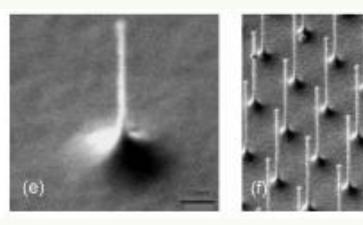
One-dimensional nanostructures with precise composition, morphology, interfaces and electrical properties (d=2-3 nm)

Vapor-Liquid-Solid (VLS) growth



O. Hayden et al., Nanotoday 3 5-6 (2008)

Lithography and etching processes

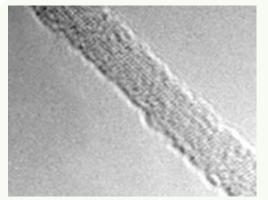


N. Singh et al., IEEE Trans. Electron Devices 55, 11 (2008)



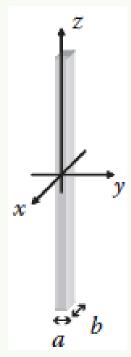


Real system



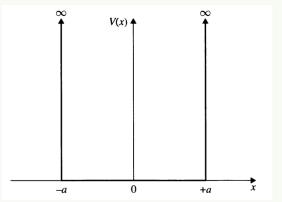
Wu et al., Nano Lett. 4, 433 (2004)

Geometrical model



T. Tsurumi et al., Taylor and Francis (2010)

Infinite potential well (particle-in-a-box model)



B.H. Brandsen and Joachin, Quantum Mechanics (2000)





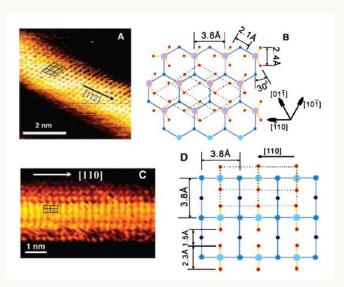
The motion of electrons is restricted to be in the direction of confinement. Their kinetic energy increases and the eigenstates energies are given by:

$$E_n = rac{\hbar^2 n^2 \pi^2}{2m^* d^2}$$
 m*=effective mass d=width of the well

Not only the energy levels but even the spacing between them increase when the diameter is reduced (QCE increases)

QCE has a dramatic effect on semiconductor NWs (like Si NWs) because it affects the **energy band gap**





Ma, D. D. et al., Science 299, 1874 (2003)

STS measurements This work (Exp.) Calculations 3 Eg (eV) d (nm)

Ma, D. D. et al., Science 299, 1874 (2003)

$$E_{gap} = E_{bulk, gap} + C(1/d)^{\alpha}$$

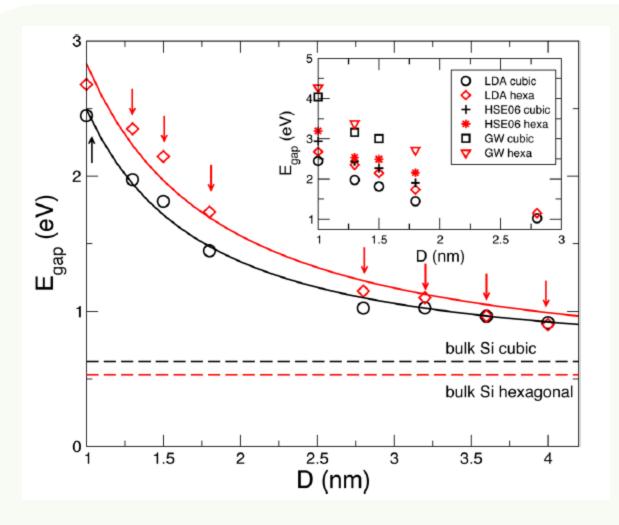
with $\alpha = 0.9 - 1.1$



QCE in Si NWs: DFT scaling of the gap



QCE in Si NWs: DFT scaling of the gap



DFT - LDA

$$\alpha_{\text{hex}} = 1.16$$
 $\alpha_{\text{cub}} = 1.34$

$$E_{gap} = E_{bulk, gap} + C(1/d)^{\alpha}$$



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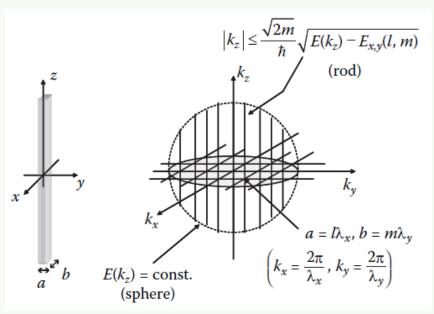
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QCE in NWs: energy quantization



QCE in NWs: energy quantization



T. Tsurumi et al., Taylor and Francis (2010)

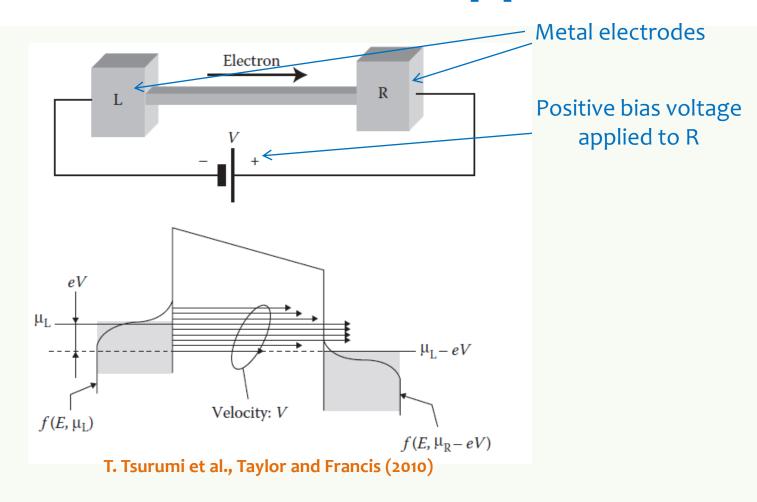
The total energy of electrons is given by the formula:

$$E\left(k_{z}\right) = \underbrace{\frac{\hbar^{2}}{2m^{*}}k_{z}^{2} + E_{x,y}(l,m)}_{\text{Quantized energy in the plane}}$$

QCE in NWs: Landauer approach



QCE in NWs: Landauer approach



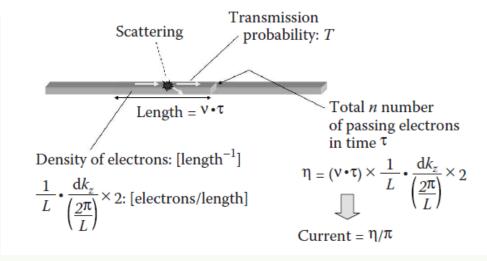
Electrons move with a group velocity v(k) and transmission probability T(k)



QCE in NWs: quantized conductance



QCE in NWs: quantized conductance



T. Tsurumi et al., Taylor and Francis (2010)

Current

$$I = \frac{2e}{h} \int_0^\infty \{ f(E, \mu) - f(E, \mu - eV) \} T(E) dE$$

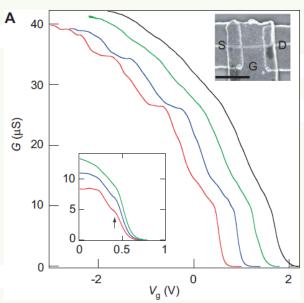
Conductance (if the bias is small)

$$G = \frac{2e^2}{h} \int_0^\infty \left\{ -\frac{\partial f(E,\mu)}{\partial E} \right\} T(E) dE \equiv \frac{2e^2}{h} T_{\mu}$$



QCE in NWs: quantized conductance

- In 1D systems the conductance of electrons is quantized in units of 2e2/h
- Electrons states along the wire are associated with quantized states in the plane
- Each of the quantum states in the plane has equal unit of conductance $(2e^2/h)T_u$ along the wire axis
- The conductance of NWs is hence the product of the number of quantum states and their quantized conductance (2e²/h) T_μ



Experimental demonstration on SiGe core-shell NWs

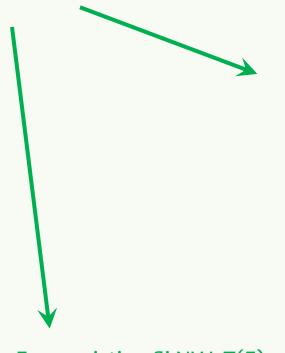


QCE in Si NWs: DFT+Landauer approach

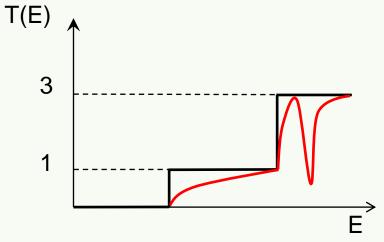


QCE in Si NWs: DFT+Landauer approach

Conductance is calculated in terms of transmission probability T(E) through the available transmitting channels



For a pristine Si NW: T(E) = 1 For a defected NW: T(E) < 1 How many?
For an infinitely long NW: as many as electron states at that energy



M. Amato et al. Nano Lett. 12, 2717 (2012)

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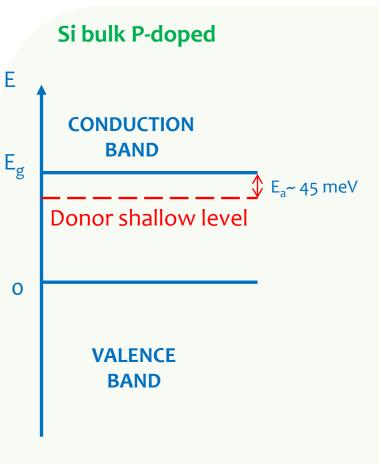
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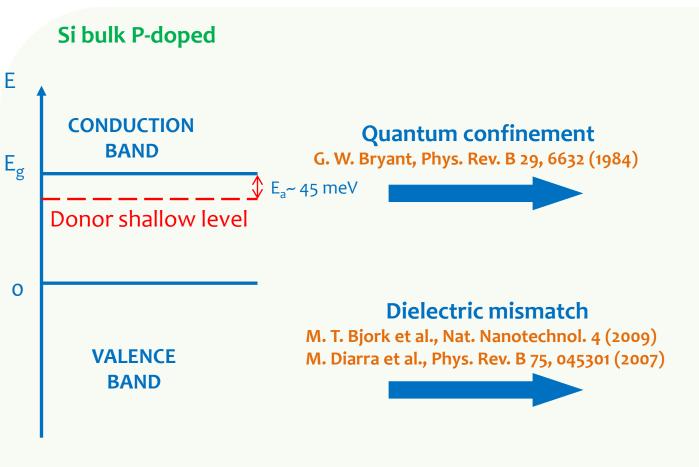






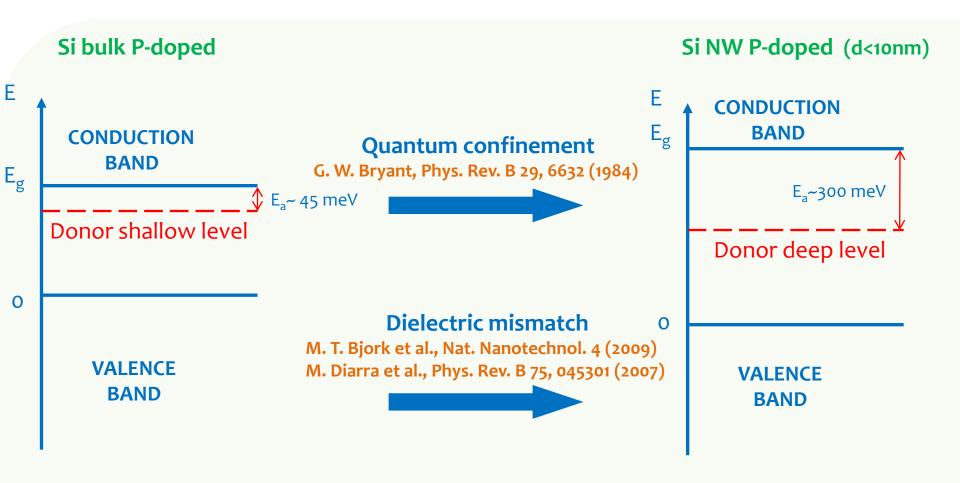
- Ionization energy ~ few hundredths of eV
- Ionized impurity at room temperature
- High doping efficiency





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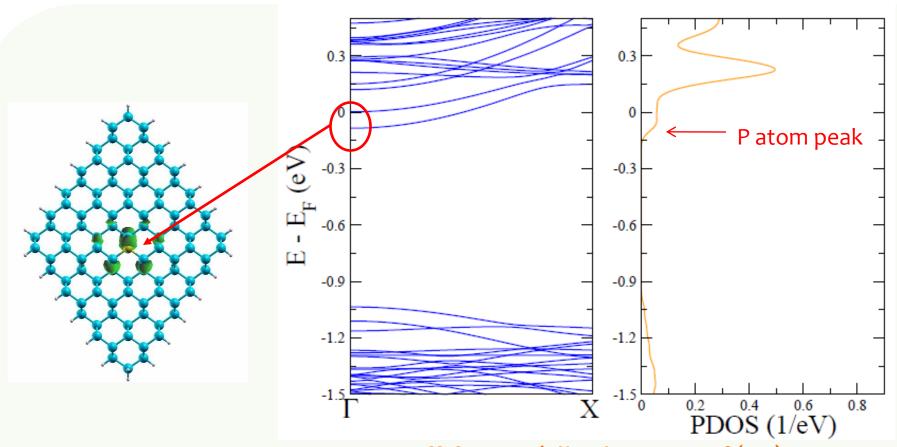
- Ionization energy increase
- Donor level deep into the band gap
- Doping deactivation with respect to bulk



QCE in Si NWs: P deactivation in DFT



QCE in Si NWs: P deactivation in DFT



M. Amato et al., Nano Lett. 11, 594-598 (2011)

P-impurity state deep into the band gap Activation energy is too high (~ 100 meV)



Some comments on QCE in Si NWs



Some comments on QCE in Si NWs

The diameter is a powerful tool to modulate physical properties

- Electronic Structure. Reducing the size can induce an opening of the bulk band gap that can cause a modulation of optical properties
- **Transport.** The quantization due to the confinement leads to a quantization of the electrical conductance. Si NWs are hence quantum confined ballistic conductors
- **Doping.** Intentional addition of impurities in Si NWs is not efficient as for bulk systems due to the impurity deactivation



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Is it possible to further modify the physical properties of Si NWs?



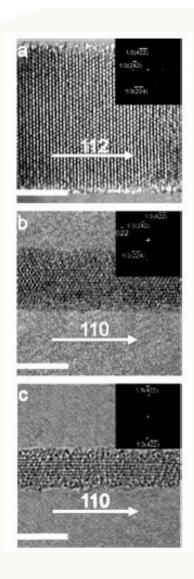
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 - Homojunctions

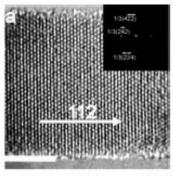


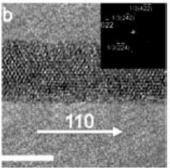


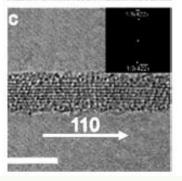


The first experimental evidences of Si NWs growth soon indicated that these nanostructures are to a large extent crystalline



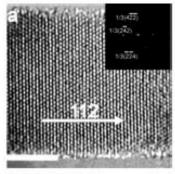


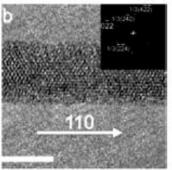


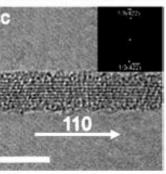


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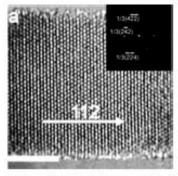


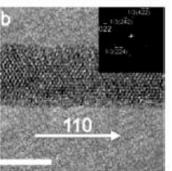


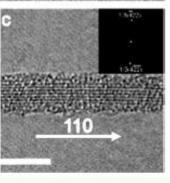


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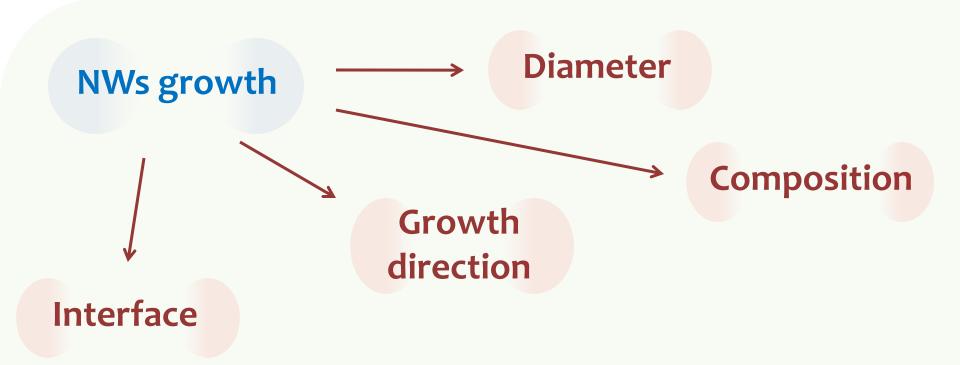
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- All these experiments confirmed that, as can be intuitively expected, Si NWs crystallize in the diamond-like cubic structure as in their bulk counterpart (3C phase)



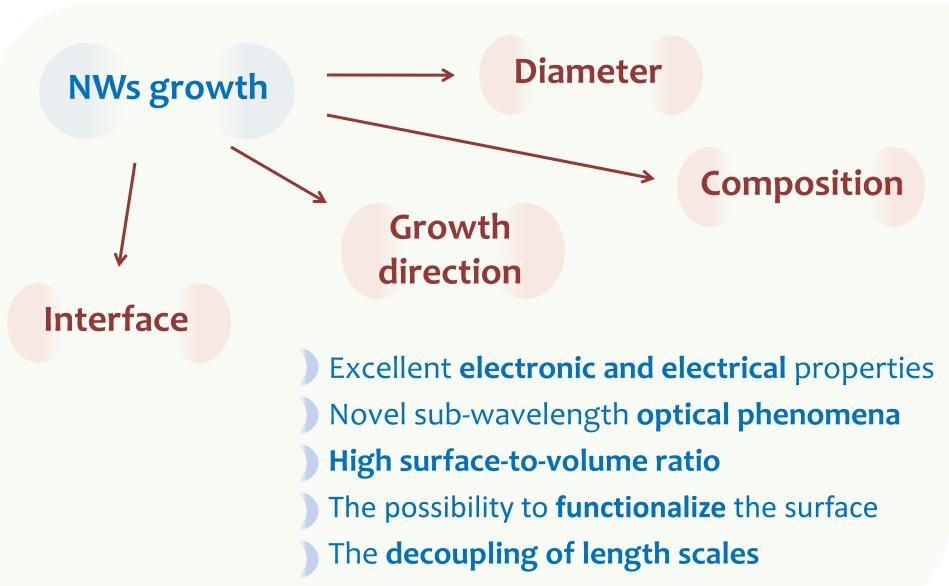


NWs growth

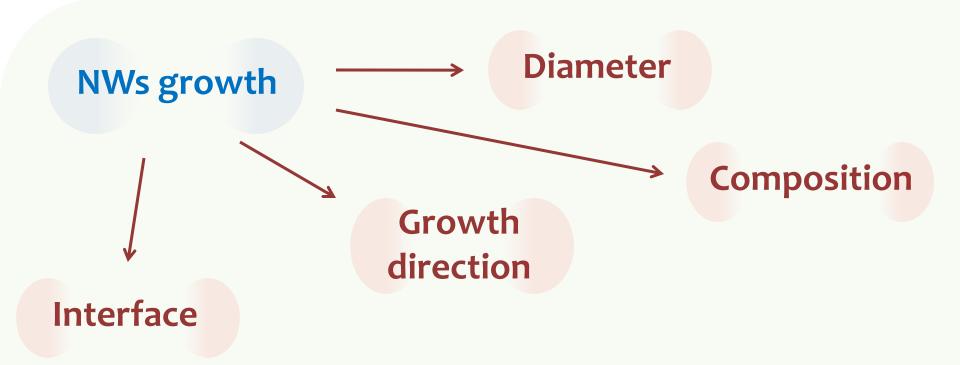




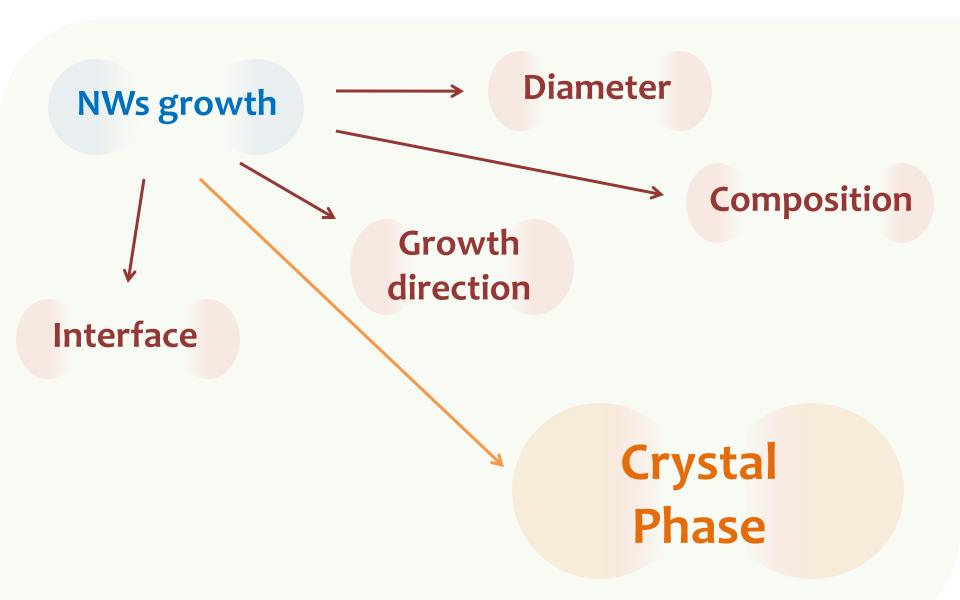












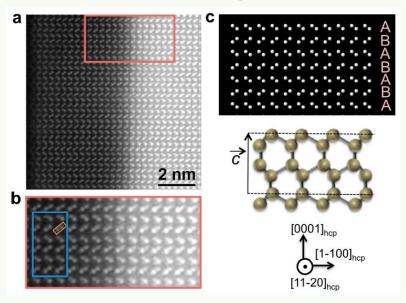


Hexagonal-diamond (2H) NWs



Hexagonal-diamond (2H) NWs

Hexagonal Si nanoshells on top of hexagonal GaP

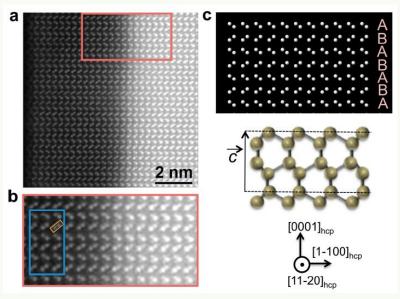


H. T. Hauge et al., Nano Lett. 15, 5855 (2015)



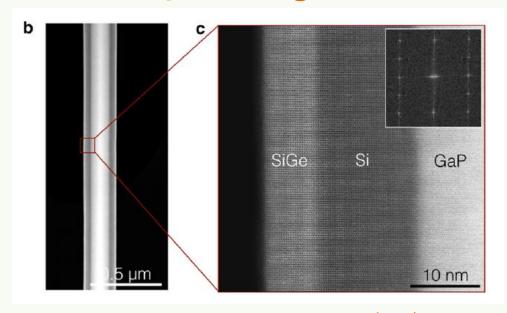
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Hexagonal SiGe nanoshells on top of hexagonal GaP



H. T. Hauge et al., Nano Lett. 17, 85-90 (2017)

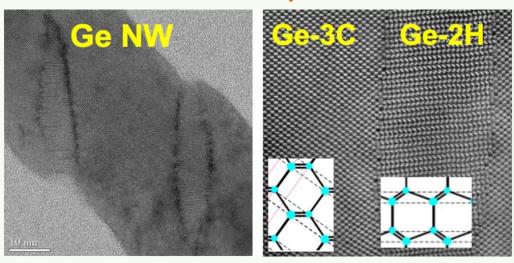


Hexagonal-cubic junctions 2H/3C NWs



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Hexagonal-cubic diamond Ge NWs homojunctions

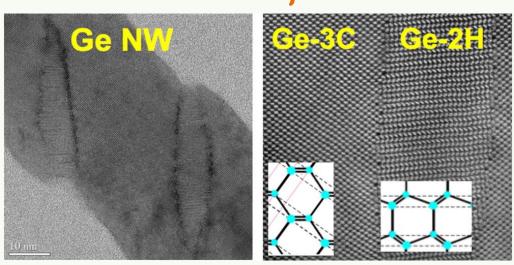


L. Vincent et al., Nano Lett. 14, 4828 (2014)



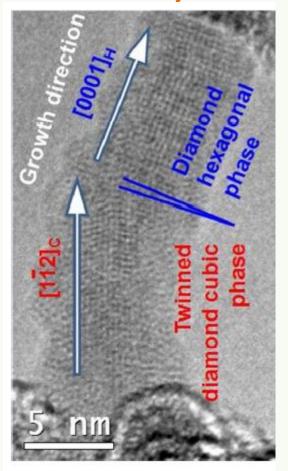
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Hexagonal-cubic diamond Si NWs homojunctions



J. Tang et al., Nanoscale 9, 8113 (2017)



A not obvious result for bulk



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Bulk hexagonal diamond Si metastable and obtained only at high pressures



Pirouz et al., Acta Metall. Mater. 38, 313 (1990)

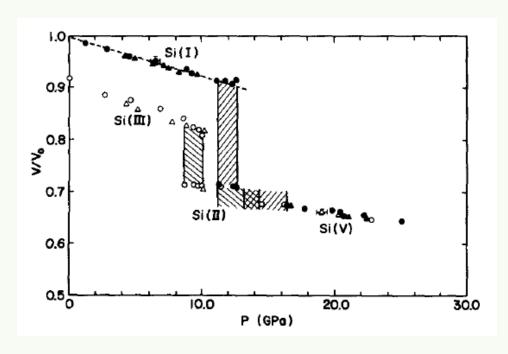


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J. Z. Hu and I. L. Spain, Sol. State Comm. 51, 263 (1984)



Why hexagonal NWs are interesting?



Why hexagonal NWs are interesting?

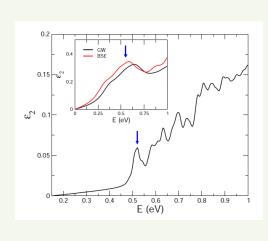
- Modified band gap, band splittings and effective masses
- Modulation of the optical absorption spectra
- Greater electronic mobility
- Possibility to modulate **band offset** type and magnitudes
- Control of **electron-hole** separations

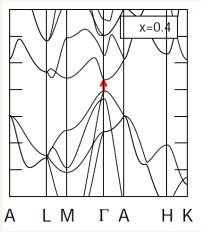


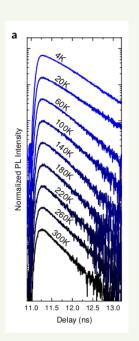
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Example. 2H-SiGe NWs as light emitters









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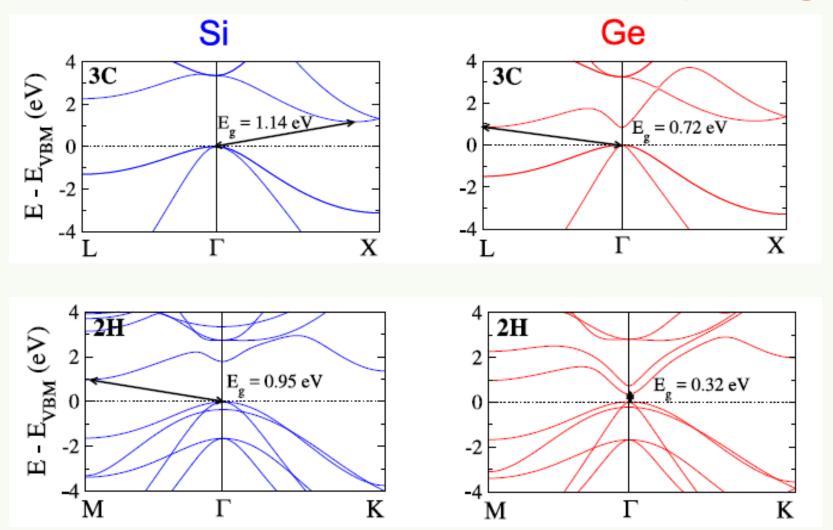


Band structure of 2H and 3C bulk



Band structure of 2H and 3C bulk

DFT - HSE06







DFT - HSE06

Table 2: The calculated band gaps of Si and Ge.

Element	Crystal structure	E_g at Γ (eV)	E _g (eV)	E _g (SOC) (eV)	Band-edge	Notes
	Cubic-diamond (3C)	3.29	1.14		$\Gamma - X$	This work (HSE06)
		3.20	1.14		$\Gamma - X$	Cal. Ref. 16
\mathbf{Si}		3.33	1.15		$\Gamma - X$	Cal. Ref. 33
		3.40	1.17		$\Gamma - X$	Exp. Ref. 61
	Hexagonal-diamond (2H)	1.70	0.95		$\Gamma - M$	This work (HSE06)
		1.63	0.95		$\Gamma - M$	Cal. Ref. 16
	Cubic-diamond (3C)	0.84	0.72	0.61	$\Gamma - L$	This work (HSE06)
		0.94	0.85	0.71	$\Gamma - L$	Cal. Ref. 33
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T. Kaewmaraya et al., J. Phys. Chem. C 121, 5820 (2017)



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DFT - HSE06

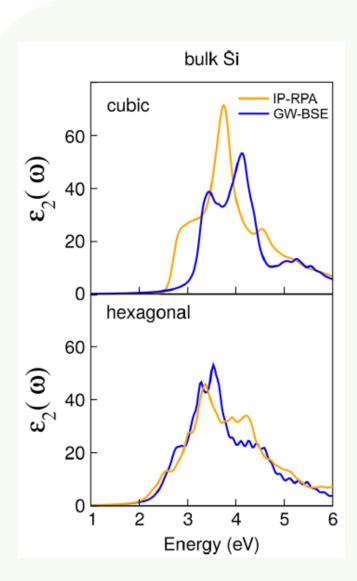
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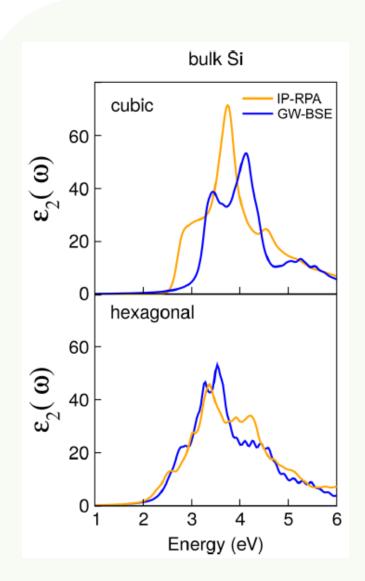


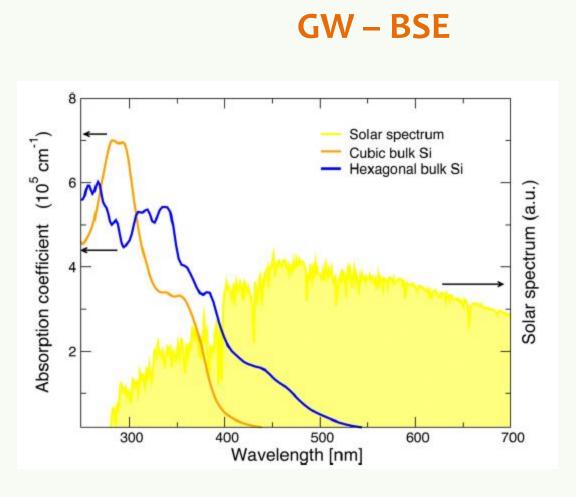




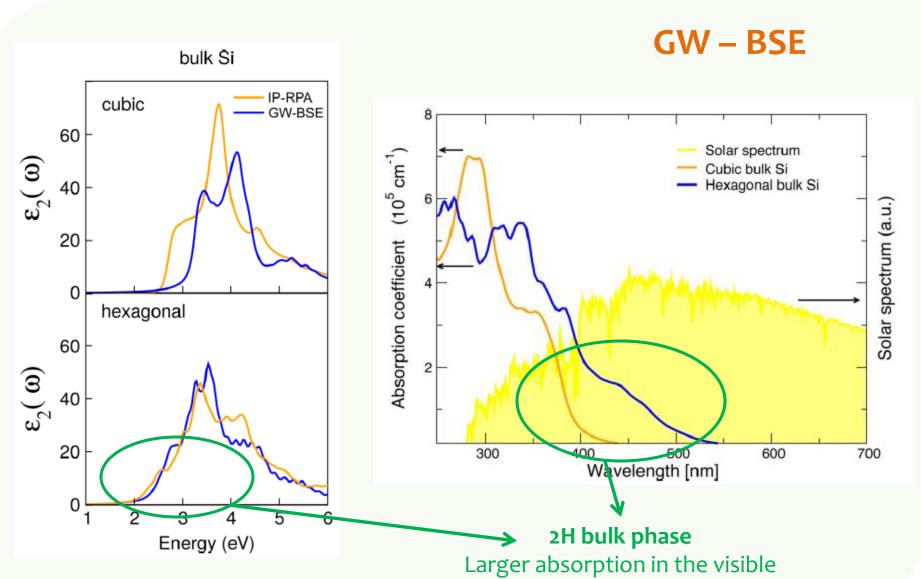
GW - BSE











Bigger overlap close to the max of solar spectrum





For both Si and Ge bulk, the **2H phase** has a **smaller band gap** with the respect to the 3C one



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What happens when we reduce the size?
Should we expect the same electronic and optical behaviour?



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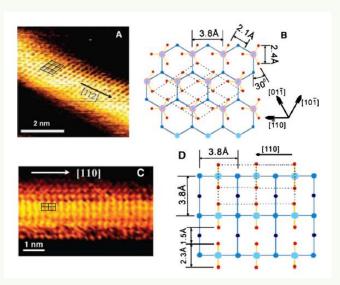
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Quantum confinement in 3C Si NWs



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Ma, D. D. et al., Science 299, 1874 (2003)

STS measurements This work (Exp.) Calculations Eg (eV) d (nm)

Ma, D. D. et al., Science 299, 1874 (2003)

$$E_{gap} = E_{bulk, gap} + C(1/d)^{\alpha}$$

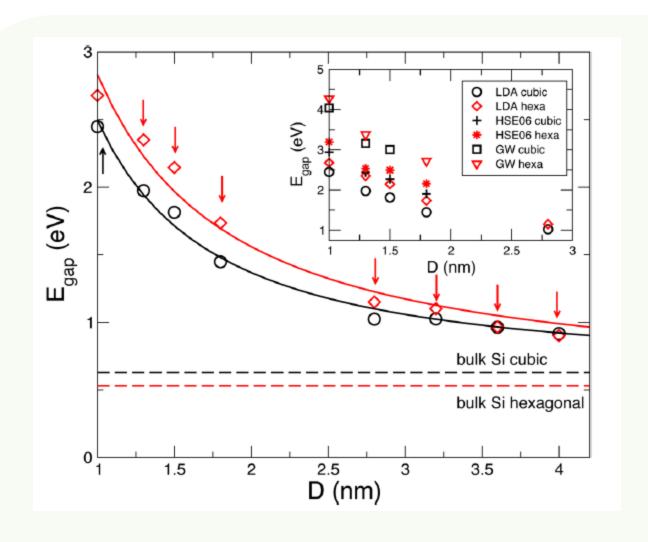
with $\alpha = 0.9 - 1.1$



Band gap of 3C and 2H Si NWs

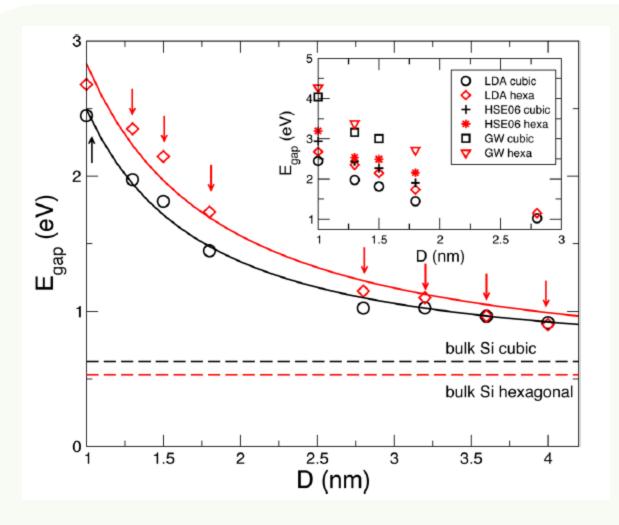


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Band gap of 3C and 2H Si NWs



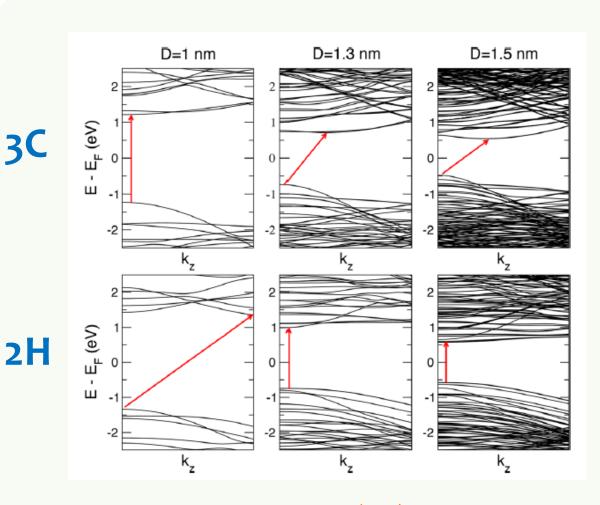
DFT - LDA

$$\alpha_{\text{hex}} = 1.16$$
 $\alpha_{\text{cub}} = 1.34$

$$E_{gap} = E_{bulk, gap} + C(1/d)^{\alpha}$$

Bands and optical absorption

DFT - LDA

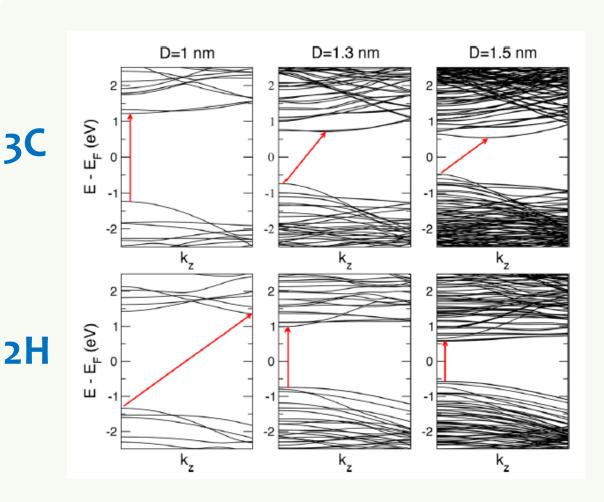


M. Amato et al., Nano Lett. 16, 5694 (2016)

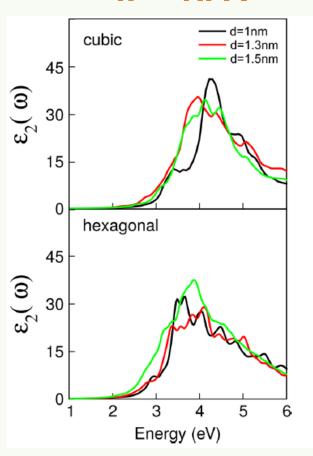


Bands and optical absorption

DFT - LDA



IP - RPA

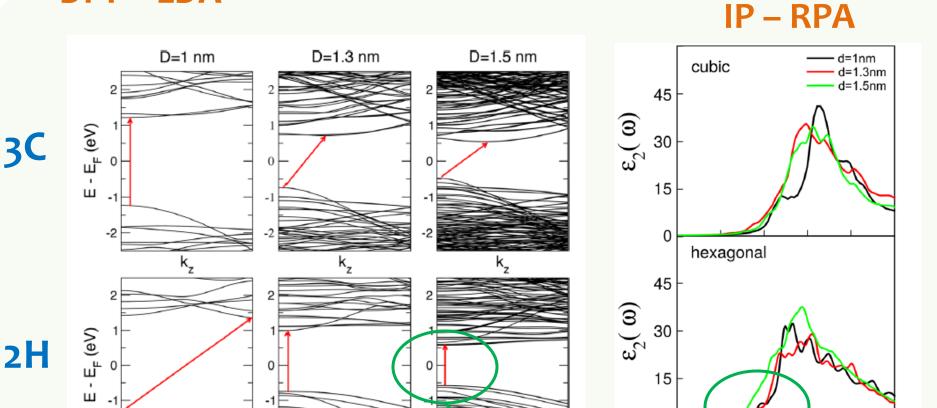


M. Amato et al., Nano Lett. 16, 5694 (2016)



Bands and optical absorption





M. Amato et al., Nano Lett. 16, 5694 (2016)

2H <111> Si NWs Larger absorption in the visible



5

Energy (eV)

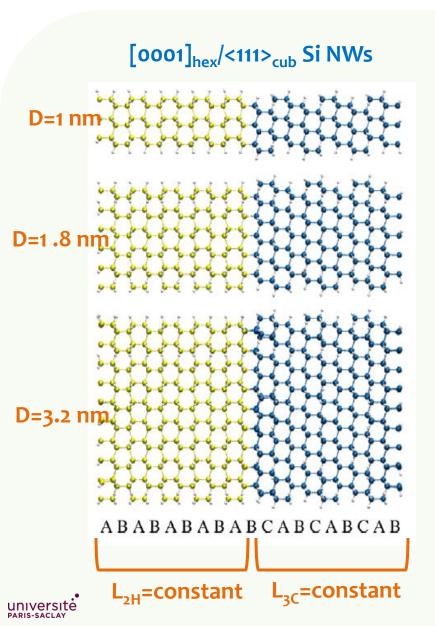
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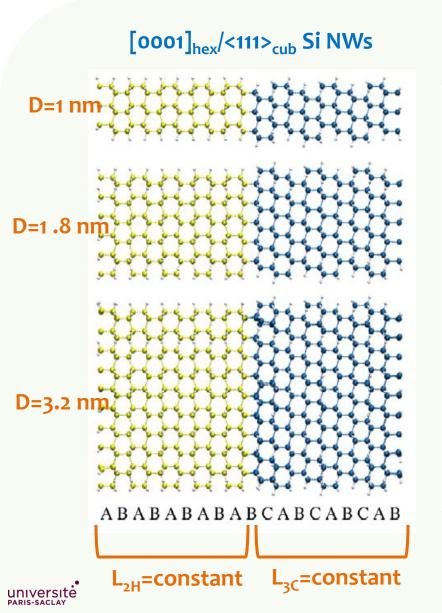


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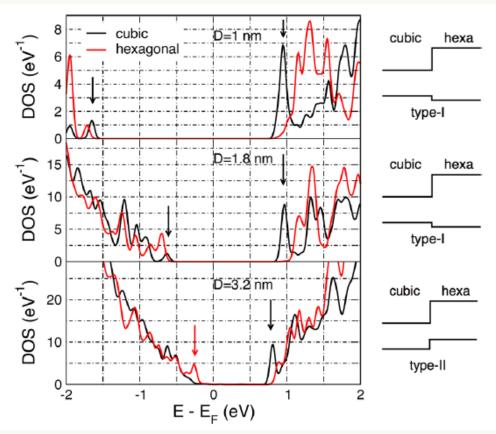


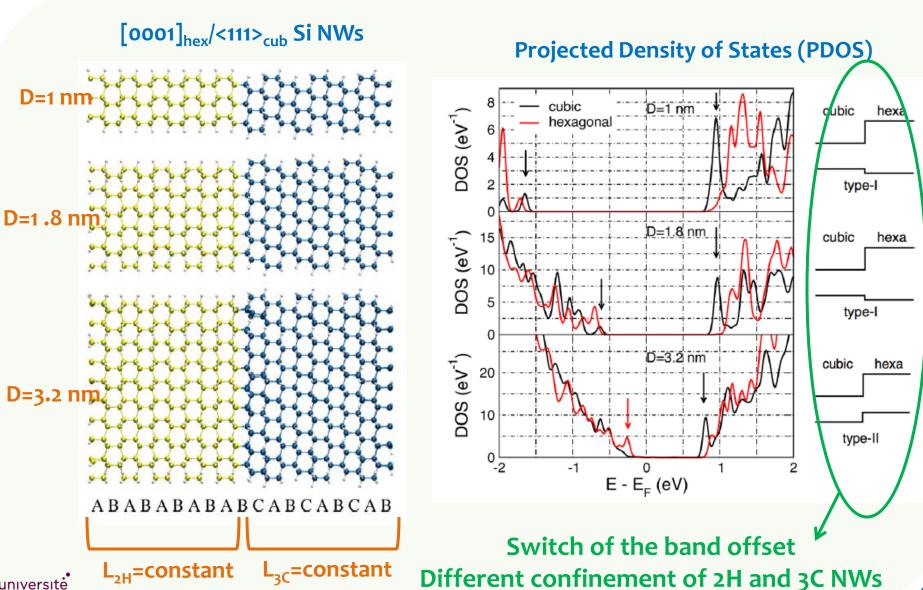




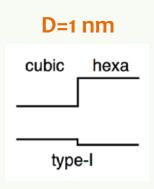


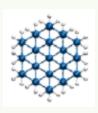
Projected Density of States (PDOS)



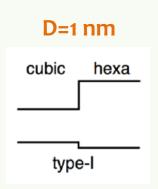


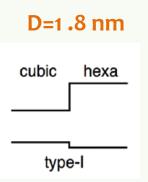


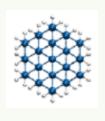


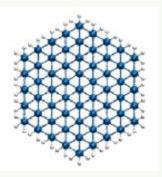




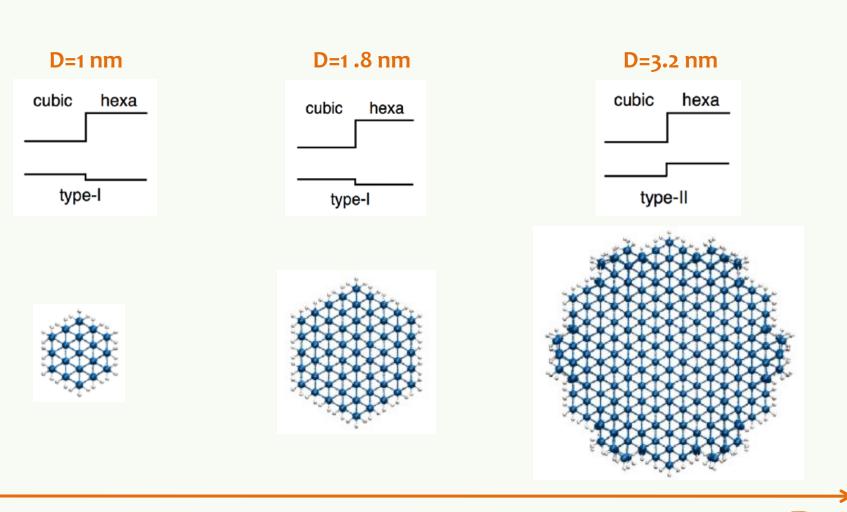








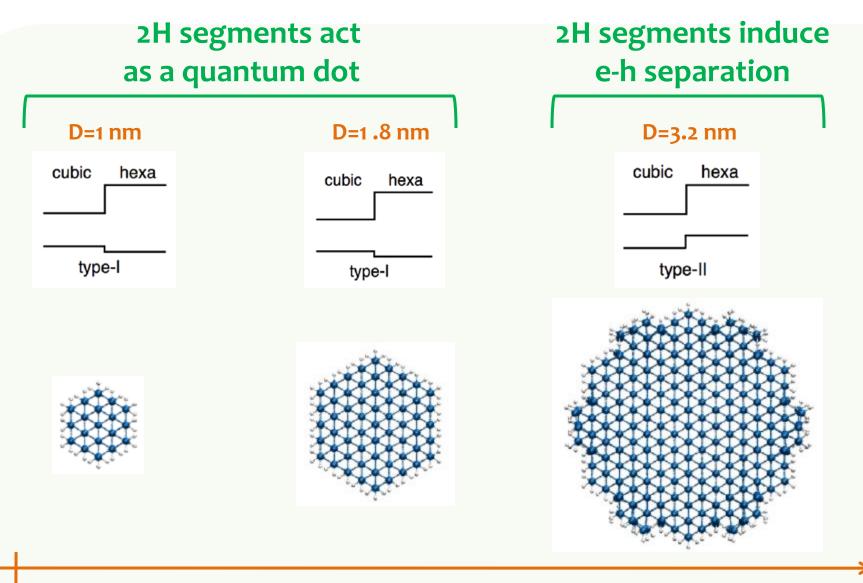






2H segments act as a quantum dot D=1.8 nm **D=1** nm D=3.2 nm cubic hexa cubic hexa cubic hexa type-I type-II type-I









We have confirmed the **power law dependence** for 2H and 3C Si NWs



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> 2H Si NWs absorb more light in the visible region



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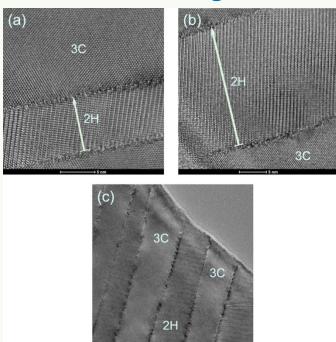
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Can we say something on thicker wires?



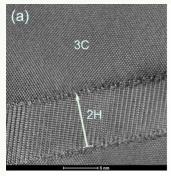


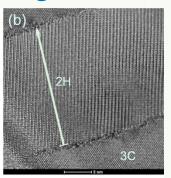
Modulation of the 2H region width with T

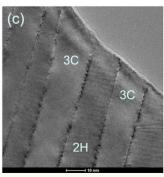




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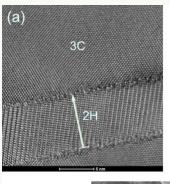


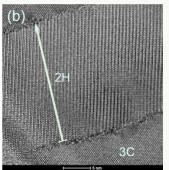


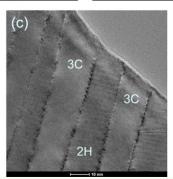




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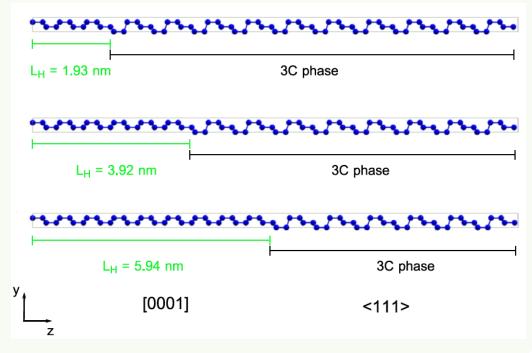






Theoretical Model

Unit cell of <111>_{cub}/[0001]_{hex} Si and Ge homojunctions Large diameters systems ~ bulk junctions

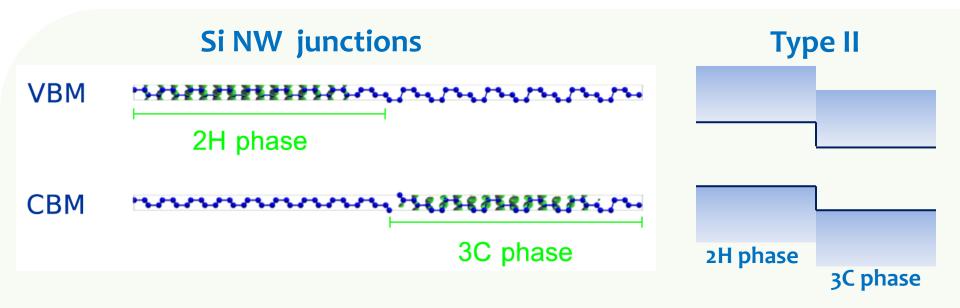




Band offset in larger wires

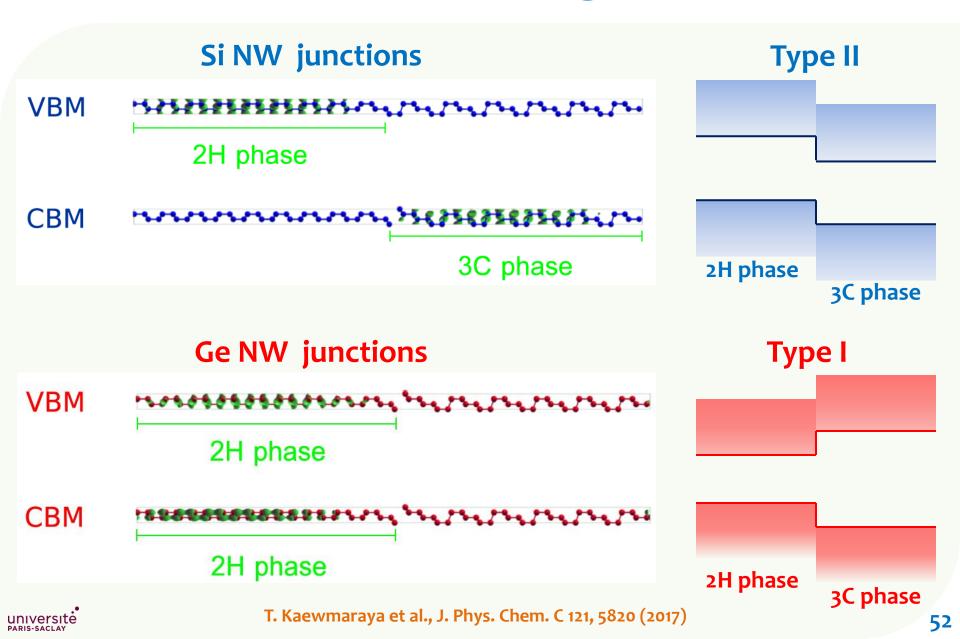


Band offset in larger wires





Band offset in larger wires





Si junctions are characterized by a **type-II band alignment**, with valence and conduction band edges spatially separated could be of some benefit for **photovoltaics** as well as other advanced technological applications

Moreover, in Si homojunctions varying the **thickness of 2H** region **keep almost unaltered** the **band alignment** nature, the band gap values and the offset magnitudes



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 - Crystal phase effects on bulk
 - Crystal phase effects on NWs
 - Homojunctions

