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G.M.Gavrilenko

SECOND QUANTIZATION METHOD
IN THE THEORY OF SURFACE LAYERS

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In the present paper the consistent microscopic approach is developed to be applied for a self-consistent description of wide spectrum of properties of the submonolayer surface coverages[1, 2]. It bases both on the microscopic picture developed by Bogolubov in the polar metal [3] and the generalization of the usual second quantization procedure [4] to the impurity problems with nonfixed configuration of admixtures [5]. Further for definitioness we shall consider the chemisorption of hydrogen-like atoms on a surface of a simple metal. Following [3] we shall consider this problem as a many-body problem.

So, the adsorbent, a crystal of metal having a free surface, will be described by a certain relief of the potential energy $\mathcal{W}(\vec{z}) = \sum_{f \in \mathbb{R}_+} \mathcal{W}_f(\vec{z})$ or eated by positive charged metal ions and a system of \mathcal{W}_e interacting electrons in this potential field. The metal ions are fixed at the nodes f of the crystal lattice occupying in a regular way the halfspace f. The total system is electrically neutral and invariant under transformations $f \to f + f$, where $f = \{ m_x Q_x, m_y Q_y, u \}$ is any lattice vector in the surface plane. Numbers f, f, f, are integers. Values f, f, are the simple translations in the directions f, and f, respectively. (We choose coordinates so that f is perpendicular to the surface and f is an integer. The plane f is an integer we neglect distortions near the surface).

The adsorbat is the impurity atoms which contain positive charge core and one valence electron in the ground state per atom.

Oblighmental Recognition 1

There are certain points on the surface $\mathcal{R}_{a} = \{\mathcal{R}_{a}^{n}, h\}$ called the adsorption centres. They can be occupied by impurity atoms or adatoms. In the case of crystal substrates the adsorption centres are described by the points of high symmetry of the crystal surface $\{\mathcal{R}_{a}^{n}\}$ and the parameter h which is the equilibrium position of the adatom ions over the surface. The adatom ions can make the vibrations on the adsorption centres and itumps from one positions to another.

When an adatom occupies the adsorption centre the wave function of its valence electron mixes with those of the substrate electron band. As a result, all electrons (valence and substrate electrons) are collectivized. Thus, we have to study the problem of N interacting electrons and M interacting ions in the external field of fixed ions of metal. The Hamiltonian of such a system can easily be written:

$$H = H_{A} + H_{\Sigma} + H_{A\Sigma} ,$$

$$(I) \qquad H_{\Sigma} = \sum_{j=1}^{N} \frac{\hat{B}^{2}}{2m} + \frac{1}{2} \sum_{j=1}^{N} V(\vec{x_{j}} - \vec{x_{j}}) - \sum_{j=1}^{N} U(\vec{x_{j}}) , \quad H_{A} = \sum_{j=1}^{N} \frac{\hat{B}^{2}}{2m} + \frac{1}{2} \sum_{i=1}^{N} V(\vec{x_{i}} - \vec{k_{j}}) + \sum_{j=1}^{N} U(\vec{k_{j}}) , \quad H_{A\Sigma} = -\sum_{i=1,j=1}^{N} V(\vec{x_{i}} - \vec{k_{j}}) .$$

Here H_{Σ} is the Hamiltonian of the electron subsystem. It involves in an absolutely equivalent way both the substrate band electrons and the valence adatom electrons, H_{A} is the Hamiltonian of the adatom ion subsystem, $H_{A\Sigma}$ is the interaction between A and Σ systems, $\sqrt{(\vec{x} - \vec{y})}$ is the Coulomb interaction of two charges of the same sign.

Further, following Bogolubov [3] one needs to take the quantization of the model (I). As a single-particle electron basis we choose the orthonormalized set of functions $\{\theta_{\kappa}(\vec{x}), \theta_{\kappa}(\vec{z})\}$ which is constructed of the wave functions of the metal electrons $\{\Psi_{\kappa}(\vec{x})\}$ and the valence electrons of adatoms $\{\Psi_{\kappa}(\vec{x}) = \Psi(\vec{k}_{k} - \vec{x})\}$ taking into account their invelopment: $\langle \kappa | d \rangle \neq 0$.

As the single particle ion basis we take the vibration $\mathcal{L}_{ab}(\mathcal{R})$ states of adatom ions calculated in the effective surface potential model [7]. We do not describe these spectrum problems in detail now. We only note that this can be done in self-consistent way [8]. However, the difficulty in applying a standard procedure of second quantization [4] consists in that the phase space of states of the electron subsystem depends on the configuration of the arrangement of the adatom ions over the adsorption centres $\{\vec{R}_{a}\}$, which is not fixed. This fact is the basic specific feature of the problem considered.

Let us pass to a consistent construction of the second quantization representation for these systems. Introduce the following functions: $(2) \quad \varphi_{\mathcal{C}}(x) = \Theta_{\mathcal{C}}(\vec{x}) \Delta_{\mathcal{X}\mathcal{C}} \quad , \quad \varphi_{\mathcal{C}}(x) = \Theta_{\mathcal{C}}(\vec{x}) \Delta_{\mathcal{X}\mathcal{C}} \quad \Delta_{\mathcal{X}\mathcal{C}} = \int_{0}^{1} \frac{1}{|x|^{2}} dx$

Symbol \triangle_{26} describes the spin state of an electron; $X = \{\vec{x}, \vec{x}\}$; $G_i = \pm 1$. Then, we consider the variety of functions in the form:

(3) $\varphi(X_1, ..., X_N; R_1, ..., R_M) = \sum_{\substack{i,j,\ldots,i \\ i,j,\ldots,i \\ i,j,$

Here index $\frac{1}{2}$ runs the values from the sets of indices $\left\{\vec{\kappa}_{2},\vec{\kappa}_{3}\right\}$ or $\left\{\vec{\alpha}_{2},\vec{\kappa}_{2}\right\}$ and $\vec{\lambda}_{3} \in \left\{\vec{\alpha}_{3},\vec{\lambda}_{3}\right\}$. Index $\frac{1}{2}$ marks the vibration modes of an adatoms, $\vec{\kappa}_{4}$ is the quasimomentum of an electron, and $\vec{\alpha}_{2}$ denotes the adsorption centres.

Let G be the linear space of functions of the form (3) satisfying the requirements:

if P_{ij} is the rank of permutation (ij) , then

The set \mathcal{G} consists of the sequences of ordered indices $\{\vec{\kappa}_{i}, \dots, \vec{\kappa}_{i'}, \epsilon_{i'}, \dots, \epsilon_{i'}, \epsilon_{i'}, \epsilon_{i'}, \dots, \epsilon_{i'}, \dots, \epsilon_{i'}, \epsilon_{i'}, \dots, \epsilon_{i'},$

Introduce the following operator functions of fields:

$$\Psi^{\dagger}(x) = \sum_{KG} Q_{KG}^{\dagger} \varphi_{KG}^{*}(x) + \sum_{\alpha G} N_{\alpha} g_{\alpha G}^{*} \varphi_{\alpha G}^{*}(x) ,$$

$$(4) \quad \Psi(x) = \sum_{KG} Q_{KG}^{\dagger} \varphi_{KG}(x) + \sum_{\alpha G} N_{\alpha} g_{\alpha G} \varphi_{\alpha G}(x) ,$$

$$\Phi^{\dagger}(R) = \sum_{\alpha R} C_{\alpha R}^{\dagger} \varphi_{\alpha R}^{*}(\vec{R}) , \quad \Phi(R) = \sum_{\alpha R} C_{\alpha R} \varphi_{\alpha R}^{*}(\vec{R}) ,$$

where Q_{KG}^{+} , Q_{KG}^{+} , Q_{KG}^{+} are the Fermi operators of the oreation and annihilation of the electrons in the states $(\vec{K},6)$ and $(\alpha,6)$ respectively. $N_{\alpha} = \sum_{k} C_{kk}^{+} C_{kk}$; C_{kk}^{+} , C_{kk}^{+} have the following commutation rules:

 $\begin{bmatrix} C_{dk} & C_{d'k'} \end{bmatrix}_{+} = \Delta_{dd'} \Delta_{kk'} & \begin{bmatrix} C_{dk} & C_{dk'} \end{bmatrix}_{+} = \begin{bmatrix} C_{dk} & Q_{kk} \end{bmatrix}_{-}$ (5) $= \dots = \begin{bmatrix} C_{dk} & B_{dk} \end{bmatrix}_{-} = C_{dk} C_{dk'} = C_{dk'} C_{dk'} = 0$ If relations (5) hold, then the operator $N_d = 0.4$. Relations (5) mean that any adsorption centre \mathcal{A} may simultaneously be occupied by only one impurity in a state 2. It is shown in ref. [5] how these commutation relations can be realized in an explicit form. The definition of fields (4) is physically justified. Indeed, the electronic state $\mathcal{A}_{dk}(X)$ gives a contribution to the operator electron field $\mathcal{H}(X)$ only when the adsorption centre \mathcal{A} is occupied by an adatom ion, i.e. $N_d = 1$

Further, for any $\varphi \in G$ let us define the mapping $\varphi \to /\mathcal{C}_{\varphi} >$ of the forms

We use the notations: $\int dX_{i,N} = \int_{-\infty}^{N} \int dX_{$

The transformation (6) realizes the desired second quantization representation. The necessary properties are collected in Lemmas 1-3.

Lemma 1. Let φ have the form (3), then $|C\varphi\rangle = |C\varphi_{\varphi}\rangle$ where φ_{φ} is the orthogonal projection of φ onto φ .

Lemma 2. Let $\Psi \in \mathcal{G}$ then the following relations hold: $N \int dX_{2N} dR_{1M} \Psi(X_{1}, X_{2}, ..., X_{N}) R_{1}, ..., R_{M} = \int_{\mathbb{R}^{N}} \Psi(X_{2}) \int_{\mathbb{R}^{N}} \Psi(X_{2}) \int_{\mathbb{R}^{N}} \Psi(X_{2}) \int_{\mathbb{R}^{N}} \Psi(X_{2}, ..., X_{N}) \int_{\mathbb{R}^{N}} \Psi$

Lemma 3. Let $\varphi \in \Phi$ then we have equalities:

$$\int dx_{i,N} \, \psi(x_{i},...,x_{N};R_{1},...,R_{M}) \int_{-1}^{N} \, \psi(x_{i}) \, + f(R) = \int dx_{i,N} \, \psi(x_{i},...,x_{N};R_{1},...,R_{M})$$

$$= \left[\, \phi^{\dagger}(R) \, \psi^{\dagger}(x_{i}) \, \psi^{\dagger}(x_{2}) + N \, B(X_{i},R) \, \psi^{\dagger}(x_{2}) + \frac{N \, (N-1)}{2} \, A(X_{i},X_{2},R) \, \right] \times \left[\, \int_{-1}^{N} \, \psi^{\dagger}(x_{i}) \, dx_{i} \, \psi^{\dagger}(x_{i},...,x_{N};R_{1},...,R_{M}) \, \int_{-1}^{N} \, \psi^{\dagger}(x_{i}) \, dx_{i} \, dx_{i}$$

where $B(X,R) = \sum_{d \in G} B_{dG}^{\dagger} C_{dk}^{\dagger} \mathcal{C}_{dk}^{*} (R) \mathcal{C}_{dk}^{*}(X), \quad B^{*}(X,R) = \sum_{d \in G} B_{dG}^{\dagger} C_{dk}^{\dagger} \mathcal{C}_{dk}^{*} (R) \mathcal{C}_{dk}^{*}(X)$ $A(X_{1}X_{2}R) = \sum_{d \in G} B_{dG}^{\dagger} C_{dk}^{\dagger} \mathcal{C}_{dk}^{\dagger} \mathcal{C}_{dk}^{*} \mathcal{C}_{dk$

Corollaries of Lemmas 1-3.

(2)
$$< q_{6} | \psi_{a'} > = \int dt_{1} \int dR_{1} M \psi_{6}^{*}(X_{1},...,X_{N};R_{1}...R_{M}) \psi_{6}^{*}(X_{1},...,X_{N};R_{1},...,R_{M}) = < C_{q_{6}} | C_{\psi_{6}^{*}} >$$

$$< C_{4} | = \int \frac{2}{N!M!} < O \int dX_{1} M dR_{1} M \psi_{4}^{*}(X_{1}...X_{N};R_{1}...,R_{M}) \prod_{j=1}^{n} \phi(R_{j}) \prod_{j=1}^{n} \psi(X_{j}) ,$$

(2)
$$\frac{N!}{K!(N-K)!} \int dX_{N,N} dR_{1,M} \varphi(X'_{1},...,X'_{K},X_{K+1},...,X_{N};R_{1},...,R_{M}) \prod_{j=K+1}^{N} \psi(X_{j}) \prod_{j=K+1}^{M} \psi(X_{j}) | 0 \rangle$$

$$= \sqrt{M! N!} \int_{j=K}^{1} \psi(X'_{1}) | C_{0} \rangle , \qquad \frac{M!}{K!(M-K)!} \int dX_{1,N} dR_{K+1,M} \varphi(X_{1},...,X_{N};R'_{1},...,R'_{K},R_{K+1},...,R_{M}) \prod_{j=1}^{N} \psi(X_{j}) \prod_{j=K+1}^{N} \psi(X_{j}) | 0 \rangle = \int dX_{1,N} dR_{1,M} \psi(X_{1},...,X_{N};R_{1},...,R_{M}) \prod_{j=1}^{N} \psi(X_{j}) \prod_{j=1}^{N} \psi(R_{j}) | 0 \rangle = \int dX_{1,N} dR_{1,M} \psi(X_{1},...,X_{N};R_{1},...,R_{M}) \prod_{j=1}^{N} \psi(X_{j}) \prod_{j=1}^{N} \psi(R_{j}) | 0 \rangle$$

(5) If
$$\varphi \in G$$
, then $\psi(x_1,...,x_N;R_1,...,R_N) = \frac{1}{\sqrt{N!M!}} \langle o| \prod_{i=1}^N \psi(x_i) \mid C_{ij} \rangle$

For any operator A acting in the space of the functions G, the second quantization representation C(A) can be defined in a usual way.

(7)
$$C(A) |C_{\psi}\rangle = |C_{A\psi}\rangle .$$

If the operator A is not closed in the space G in the mapping of $A \rightarrow C(A)$, then according to Lemma 1, there occurs a projection onto the space G of the functions AG.

Using <u>Lemmas 2.3</u> and definition (7) we take the quantization of the algebra of observables. Here, we present the results of the quantization of the main types of operators in the model (I):

$$C\left(\sum_{j=1}^{N} t(\vec{x_{j}})\right) = \int dx \ \Psi'(x) \ t(\vec{x}) \ \Psi'(x)$$

$$C\left(\sum_{j=1}^{N} v(\vec{x_{j}} \cdot \vec{x_{j}})\right) = \int dx \ dx' \ \Psi'(x) \ \Psi'(x') \ \Psi(x') \ \Psi(x') \ \Psi(x) \ v(\vec{x} \cdot \vec{x}') ,$$

$$C\left(\sum_{j=1}^{M} t(\vec{R_{j}})\right) = \sum_{\alpha_{j} \in \mathcal{L}_{j}} C_{\alpha_{j} \in \mathcal{L}_{k}} \int d\vec{R} \ \Psi_{k}^{*}(\vec{R}) \ t(\vec{R}) \ \Psi_{k} \in \vec{R} \right) +$$

$$+ \sum_{\alpha \neq k' \in \Lambda} C_{k' \in \mathcal{L}_{k'}} \int d\vec{R} \ \Psi_{k' \in \mathcal{R}}^{*}(\vec{R}) \ t(\vec{R}) \ \Psi_{k' \in \mathcal{R}}(\vec{R}) \ \hat{\Pi}_{k'} ,$$

$$(8) \begin{array}{c} C\left(\frac{M}{2^{-1}} \mathcal{V}(\overrightarrow{R_{2}} - \overrightarrow{R_{3}})\right) = \underbrace{\sum_{\alpha' \neq \underline{1}, \dots, \alpha'_{1} \neq \underline{1}}}_{\alpha' \neq \underline{1}, \dots, \alpha'_{1} \neq \underline{1}} \mathcal{V}(\alpha', \underline{e}_{\ell}, \underline{a}_{2} + \underline{2} : \alpha'_{3} + \underline{1}_{3}, \alpha', \underline{e}_{\ell}) \underbrace{C_{i_{1}, \underline{e}_{1}}^{+} C_{i_{2}, \underline{e}_{2}}^{+} C_{i_{3}, \underline{e}_{3}}^{-} C_{i_{4}, \underline{e}_{4}}^{-} C_{i_{3}, \underline{e}_{3}}^{-} C_{i_{4}, \underline{e}_{4}}^{-} C_{i_{3}, \underline{e}_{4}}^{-} C_{i_{3}, \underline{e}_{4}}^{-} C_{i_{3}, \underline{e}_{4}}^{-} C_{i_{4}, \underline{e}_{4}}^{-} C_{i$$

$$C\left(\sum_{i=1,i=1}^{N} \mathcal{V}(\vec{x_{i}},\vec{k_{i}})\right) = \sum_{d_{1}d_{2}d_{3}d_{4}, d_{1}, d_{2}, d_{1}, d_{2}, d_{2}, d_{4}} C_{d_{1}k_{1}}^{\dagger} C_{d_{2}k_{2}}^{\dagger} \times \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{2}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{2}}^{\dagger} \mathcal{E}_{d_{1}}^{\dagger} \mathcal{E}_{d_{2}}^{\dagger} \mathcal{E$$

The order of indices in the matrix element $U(d,\eta_1,\kappa;d_1,d_2,d_3)$ strongly correlates with the order of the functions $U_{d,\eta},\theta_{2},\theta_{3}$ in its right-hand side. The rest matrix elements are defined in the same way. $\hat{\Pi}_{d} = 1 - \sum_{i=1}^{n} N_{i,i} + N_{i,i}$ is the projection operator onto the states in which the adsorption centre d is compled only by the adatom ion (the electrons are absent). $\hat{R}_{i,0} = N_{i,0}(i-N_{i,0})$ is the projection operator onto the states with only one electron having spin (i) at the d adsorption centre. Further, for developing the theory, it is necessary to estimate the matrix elements of relations (8) for model (1) and limit ourselves only to contributions which play the dominating role. As a result, the expressions (8) are very simplified.

The above described approach allows us in the framework of Green function mechinary [9] to develop a self-consistent microscopic theory for describing the thermodynamical, electronical, vibrational and migrational properties of chemisorbed

layers. Some results of this approach are presented in refs.[8] and [10], where the connection relation between the pure electron Anderson model and thermodynamical Using model is discussed. Both models are widely used in the chemisorption theory.

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Гавриленко Г.М.

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Метод вторичного квантования в теории поверхностных покрытий

Предложен последовательный микроскопический подкод для описания свойств субмонослойных атомных покрытий кристаллических поверхностей твердых тел. Основу подхода составляют обобщения: а) микроскопических представлений, используемых Боголюбовым в полярной модели металла; б) стандартной процедуры вторичного квантования, распространенной на системы с неопределенностью части фазовых состояний. Второе характерно для, примесных задач, когда конфигурация примесей не фиксируется.

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Gavrilenko G.M.

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Second Quantization Method in the Theory of Surface Layers

Consistent microscopic approach is developed in the theory of submonoatomic coverages of the crystal surfaces. It bases both on the microscopic picture developed by Bogolubov in the polar model of metal and the generalization of the usual second quantization procedure to the system with stochasticity of some states. This appears in the impurity problems when the configurations of the impurities are not fixed.

The investigation has been performed at the Laboratory of Theoretical Physics, JINR.