
Springer Handbook of Nanotechnology

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Springer Handbook of Nanotechnology

Bharat Bhushan (Ed.)

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Foreword by Neal Lane

In a January 2000 speech at the California Institute of Technology, former President W. J. Clinton talked about the exciting promise of “nanotechnology” and the importance of expanding research in nanoscale science and engineering and in the physical sciences, more broadly. Later that month, he announced in his State of the Union Address an ambitious \$497 million federal, multi-agency national nanotechnology initiative (NNI) in the fiscal year 2001 budget; and he made the NNI a top science and technology priority within a budget that emphasized increased investment in U.S. scientific research. With strong bipartisan support in Congress, most of this request was appropriated, and the NNI was born.

Nanotechnology is the ability to manipulate individual atoms and molecules to produce nanostructured materials and sub-micron objects that have applications in the real world. Nanotechnology involves the production and application of physical, chemical and biological systems at scales ranging from individual atoms or molecules to about 100 nanometers, as well as the integration of the resulting nanostructures into larger systems. Nanotechnology is likely to have a profound impact on our economy and society in the early 21st century, perhaps comparable to that of information technology or advances in cellular and molecular biology. Science and engineering research in nanotechnology promises breakthroughs in areas such as materials and manufacturing, electronics, medicine and healthcare, energy and the environment, biotechnology, information technology and national security. It is widely felt that nanotechnology will lead to the next industrial revolution.

Nanometer-scale features are built up from their elemental constituents. Micro- and nanosystems components are fabricated using batch-processing techniques that are compatible with integrated circuits and range in size from micro- to nanometers. Micro- and nanosystems include Micro/NanoElectroMechanical Systems (MEMS/NEMS), micromechatronics, optoelectronics, microfluidics and systems integration. These systems can sense, control, and activate on the micro/nanoscale and can function individually or in arrays to generate effects on the macroscale. Due to the enabling nature of these systems and the significant impact they can have on both the commercial and defense applications, indus-

try as well as the federal government have taken special interest in seeing growth nurtured in this field. Micro- and nanosystems are the next logical step in the “silicon revolution”.

The discovery of novel materials, processes, and phenomena at the nanoscale and the development of new experimental and theoretical techniques for research provide fresh opportunities for the development of innovative nanosystems and nanostructured materials. There is an increasing need for a multidisciplinary, systems-oriented approach to manufacturing micro/nanodevices which function reliably. This can only be achieved through the cross-fertilization of ideas from different disciplines and the systematic flow of information and people among research groups.

Nanotechnology is a broad, highly interdisciplinary, and still evolving field. Covering even the most important aspects of nanotechnology in a single book that reaches readers ranging from students to active researchers in academia and industry is an enormous challenge. To prepare such a wide-ranging book on nanotechnology, Professor Bhushan has harnessed his own knowledge and experience, gained in several industries and universities, and has assembled about 90 internationally recognized authors from three continents to write 38 chapters. The authors come from both academia and industry.

Professor Bharat Bhushan’s comprehensive book is intended to serve both as a textbook for university courses as well as a reference for researchers. It is a timely addition to the literature on nanotechnology, which I anticipate will stimulate further interest in this important new field and serve as an invaluable resource to members of the international scientific and industrial community.

The Editor-in-Chief and his team are to be warmly congratulated for bringing together this exclusive, timely, and useful Nanotechnology Handbook.



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Served in the Clinton Administration as Assistant to the President for Science and Technology and Director of the White House Office of Science and Technology Policy (1998–2001) and, prior to that, as Director of the National Science Foundation (1993–1998). While at the White House, he was instrumental in creating NNI.

Foreword by James R. Heath

Nanotechnology has become an increasingly popular buzzword over the past five years or so, a trend that has been fueled by a global set of publicly funded nanotechnology initiatives. Even as researchers have been struggling to demonstrate some of the most fundamental and simple aspects of this field, the term nanotechnology has entered into the public consciousness through articles in the popular press and popular fiction. As a consequence, the expectations of the public are high for nanotechnology, even while the actual public definition of nanotechnology remains a bit fuzzy.

Why shouldn't those expectations be high? The late 1990's witnessed a major information technology (IT) revolution and a minor biotechnology revolution. The IT revolution impacted virtually every aspect of life in the western world. I am sitting on an airplane at 30,000 feet at the moment, working on my laptop, as are about half of the other passengers on this plane. The plane itself is riddled with computational and communications equipment. As soon as we land, many of us will pull out cell phones, others will check email via wireless modem, some will do both. This picture would be the same if I was landing in Los Angeles, Beijing, or Capetown. I will probably never actually print this text, but will instead submit it electronically. All of this was unthinkable a dozen years ago. It is therefore no wonder that the public expects marvelous things to happen quickly. However, the science that laid the groundwork for the IT revolution dates back 60 years or more, with its origins in the fundamental solid state physics.

By contrast, the biotech revolution was relatively minor and, at least to date, not particularly effective. The major diseases that plagued mankind a quarter century ago are still here. In some third world countries, the average lifespan of individuals has actually decreased from where it was a full century ago. While the costs of electronics technologies have plummeted, health care costs have continued to rise. The biotech revolution may have a profound impact, but the task at hand is substantially more difficult to what was required for the IT revolution. In effect, the IT revolution was based on the advanced

engineering of two-dimensional digital circuits constructed from relatively simple components – extended solids. The biotech revolution is really dependent upon the ability to reverse engineer three-dimensional analog systems constructed from quite complex components – proteins. Given that the basic science behind biotech is substantially younger than the science that has supported IT, it is perhaps not surprising that the biotech revolution has not really been a proper revolution yet, and it likely needs at least another decade or so to come to fruition.

Where does nanotechnology fit into this picture? In many ways, nanotechnology depends upon the ability to engineer two- and three-dimensional systems constructed from complex components such as macromolecules, biomolecules, nanostructured solids, etc. Furthermore, in terms of patents, publications, and other metrics that can be used to gauge the birth and evolution of a field, nanotechnology lags some 15–20 years behind biotech. Thus, now is the time that the fundamental science behind nanotechnology is being explored and developed. Nevertheless, progress with that science is moving forward at a dramatic pace. If the scientific community can keep up this pace and if the public sector will continue to support this science, then it is possible, and perhaps even likely, that in 20 years from now we may be speaking of the nanotech revolution.

The Nanotechnology Handbook is timely in assembling chapters in the broad field of nanotechnology with an emphasis on reliability. The handbook should be a valuable reference for experienced researchers as well as for a novice in the field.



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Worked in the group of Nobel Laureate Richard E. Smalley at Rice University (1984–88) and co-invented Fullerene molecules which led to a revolution in Chemistry including the realization of nanotubes. The work on Fullerene molecules was cited for the 1996 Nobel Prize in Chemistry. Later he joined the University of California at Los Angeles (1994–2002), and co-founded and served as a Scientific Director of The California Nanosystems Institute.

Preface

On December 29, 1959 at the California Institute of Technology, Nobel Laureate Richard P. Feynman gave a talk at the Annual meeting of the American Physical Society that has become one classic science lecture of the 20th century, titled “There’s Plenty of Room at the Bottom.” He presented a technological vision of extreme miniaturization in 1959, several years before the word “chip” became part of the lexicon. He talked about the problem of manipulating and controlling things on a small scale. Extrapolating from known physical laws, Feynman envisioned a technology using the ultimate toolbox of nature, building nanoobjects atom by atom or molecule by molecule. Since the 1980s, many inventions and discoveries in fabrication of nanoobjects have been a testament to his vision. In recognition of this reality, in a January 2000 speech at the same institute, former President W. J. Clinton talked about the exciting promise of “nanotechnology” and the importance of expanding research in nanoscale science and engineering. Later that month, he announced in his State of the Union Address an ambitious \$497 million federal, multi-agency national nanotechnology initiative (NNI) in the fiscal year 2001 budget, and made the NNI a top science and technology priority. Nanotechnology literally means any technology done on a nanoscale that has applications in the real world. Nanotechnology encompasses production and application of physical, chemical and biological systems at size scales, ranging from individual atoms or molecules to submicron dimensions as well as the integration of the resulting nanostructures into larger systems. Nanofabrication methods include the manipulation or self-assembly of individual atoms, molecules, or molecular structures to produce nanostructured materials and sub-micron devices. Micro- and nanosystems components are fabricated using top-down lithographic and nonlithographic fabrication techniques. Nanotechnology will have a profound impact on our economy and society in the early 21st century, comparable to that of semiconductor technology, information technology, or advances in cellular and molecular biology. The research and development in nanotechnology will lead to potential breakthroughs in areas such as materials and manufacturing, nanoelectronics, medicine and healthcare, energy, biotechnology, information technology and national security. It is widely felt that nanotechnology will lead to the next industrial revolution.

Reliability is a critical technology for many micro- and nanosystems and nanostructured materials. No book exists on this emerging field. A broad based handbook is needed. The purpose of this handbook is to present an overview of nanomaterial synthesis, micro/nanofabrication, micro- and nanocomponents and systems, reliability issues (including nanotribology and nanomechanics) for nanotechnology, and industrial applications. The chapters have been written by internationally recognized experts in the field, from academia, national research labs and industry from all over the world.

The handbook integrates knowledge from the fabrication, mechanics, materials science and reliability points of view. This book is intended for three types of readers: graduate students of nanotechnology, researchers in academia and industry who are active or intend to become active in this field, and practicing engineers and scientists who have encountered a problem and hope to solve it as expeditiously as possible. The handbook should serve as an excellent text for one or two semester graduate courses in nanotechnology in mechanical engineering, materials science, applied physics, or applied chemistry.

We embarked on this project in February 2002, and we worked very hard to get all the chapters to the publisher in a record time of about 1 year. I wish to sincerely thank the authors for offering to write comprehensive chapters on a tight schedule. This is generally an added responsibility in the hectic work schedules of researchers today. I depended on a large number of reviewers who provided critical reviews. I would like to thank Dr. Phillip J. Bond, Chief of Staff and Under Secretary for Technology, US Department of Commerce, Washington, D.C. for suggestions for chapters as well as authors in the handbook. I would also like to thank my colleague, Dr. Huiwen Liu, whose efforts during the preparation of this handbook were very useful.

I hope that this handbook will stimulate further interest in this important new field, and the readers of this handbook will find it useful.

September 2003

Bharat Bhushan
Editor

Editors Vita

Dr. Bharat Bhushan received an M.S. in mechanical engineering from the Massachusetts Institute of Technology in 1971, an M.S. in mechanics and a Ph.D. in mechanical engineering from the University of Colorado at Boulder in 1973 and 1976, respectively, an MBA from Rensselaer Polytechnic Institute at Troy, NY in 1980, Doctor Technicae from the University of Trondheim at Trondheim, Norway in 1990, a Doctor of Technical Sciences from the Warsaw University of Technology at Warsaw, Poland in 1996, and Doctor Honouris Causa from the Metal-Polymer Research Institute of National Academy of Sciences at Gomel, Belarus in 2000. He is a registered professional engineer (mechanical). He is presently an Ohio Eminent Scholar and The Howard D. Winbigler Professor in the Department of Mechanical Engineering, Graduate Research Faculty Advisor in the Department of Materials Science and Engineering, and the Director of the Nanotribology Laboratory for Information Storage & MEMS/NEMS (NLIM) at the Ohio State University, Columbus, Ohio. He is an internationally recognized expert of tribology on the macro- to nanoscales, and is one of the most prolific authors in the field. He is considered by some a pioneer of the tribology and mechanics of magnetic storage devices and a leading researcher in the fields of nanotribology and nanomechanics using scanning probe microscopy and applications to micro/nanotechnology. He has authored 5 technical books, 45 handbook chapters, more than 450 technical papers in referred journals, and more than 60 technical reports, edited more than 25 books, and holds 14 U.S. patents. He is founding editor-in-chief of World Scientific Advances in Information Storage Systems Series, CRC Press Mechanics and Materials Science Series, and Microsystem Technologies – Micro- & Nanosystems and Information Storage & Processing Systems (formerly called Journal of Information Storage and Processing Systems). He has given more than

250 invited presentations on five continents and more than 60 keynote/plenary addresses at major international conferences.

Dr. Bhushan is an accomplished organizer. He organized the first symposium on Tribology and Mechanics of Magnetic Storage Systems in 1984 and the first international symposium on Advances in Information Storage Systems in 1990, both of which are now held annually. He is the founder of an ASME Information Storage and Processing Systems Division founded in 1993 and served as the founding chair during 1993–1998. His biography has been listed in over two dozen Who's Who books including Who's Who in the World and has received more than a dozen awards for his contributions to science and technology from professional societies, industry, and U.S. government agencies. He is also the recipient of various international fellowships including the Alexander von Humboldt Research Prize for Senior Scientists, Max Planck Foundation Research Award for Outstanding Foreign Scientists, and the Fulbright Senior Scholar Award. He is a foreign member of the International Academy of Engineering (Russia), Belorussian Academy of Engineering and Technology and the Academy of Triboengineering of Ukraine, an honorary member of the Society of Tribologists of Belarus, a fellow of ASME, IEEE, and the New York Academy of Sciences, and a member of STLE, ASEE, Sigma Xi and Tau Beta Pi.

Dr. Bhushan has previously worked for the R & D Division of Mechanical Technology Inc., Latham, NY; the Technology Services Division of SKF Industries Inc., King of Prussia, PA; the General Products Division Laboratory of IBM Corporation, Tucson, AZ; and the Almaden Research Center of IBM Corporation, San Jose, CA.



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Contents

List of Tables	XXIX
List of Abbreviations	XXXIII
1 Introduction to Nanotechnology	1
1.1 Background and Definition of Nanotechnology	1
1.2 Why Nano?.....	2
1.3 Lessons from Nature	2
1.4 Applications in Different Fields	3
1.5 Reliability Issues of MEMS/NEMS	4
1.6 Organization of the Handbook	5
References.....	5
 Part A Nanostructures, Micro/Nanofabrication, and Micro/Nanodevices	
2 Nanomaterials Synthesis and Applications: Molecule-Based Devices	9
2.1 Chemical Approaches to Nanostructured Materials	10
2.2 Molecular Switches and Logic Gates.....	14
2.3 Solid State Devices.....	22
2.4 Conclusions and Outlook.....	35
References.....	36
3 Introduction to Carbon Nanotubes	39
3.1 Structure of Carbon Nanotubes.....	40
3.2 Synthesis of Carbon Nanotubes	45
3.3 Growth Mechanisms of Carbon Nanotubes	59
3.4 Properties of Carbon Nanotubes	63
3.5 Carbon Nanotube-Based Nano-Objects	68
3.6 Applications of Carbon Nanotubes.....	73
References.....	86
4 Nanowires	99
4.1 Synthesis	100
4.2 Characterization and Physical Properties of Nanowires	110
4.3 Applications.....	131
4.4 Concluding Remarks	138
References.....	138
5 Introduction to Micro/Nanofabrication	147
5.1 Basic Microfabrication Techniques.....	148
5.2 MEMS Fabrication Techniques.....	159

5.3	Nanofabrication Techniques	170
	References.....	180
6	Stamping Techniques for Micro and Nanofabrication: Methods and Applications	185
6.1	High Resolution Stamps	186
6.2	Microcontact Printing	187
6.3	Nanotransfer Printing.....	190
6.4	Applications	193
6.5	Conclusions.....	200
	References.....	200
7	Materials Aspects of Micro- and Nanoelectromechanical Systems..	203
7.1	Silicon	203
7.2	Germanium-Based Materials	210
7.3	Metals	211
7.4	Harsh Environment Semiconductors	212
7.5	GaAs, InP, and Related III-V Materials	217
7.6	Ferroelectric Materials	218
7.7	Polymer Materials	219
7.8	Future Trends	220
	References.....	221
8	MEMS/NEMS Devices and Applications	225
8.1	MEMS Devices and Applications	227
8.2	NEMS Devices and Applications	246
8.3	Current Challenges and Future Trends	249
	References.....	250
9	Microfluidics and Their Applications to Lab-on-a-Chip	253
9.1	Materials for Microfluidic Devices and Micro/Nano Fabrication Techniques	254
9.2	Active Microfluidic Devices	257
9.3	Smart Passive Microfluidic Devices.....	262
9.4	Lab-on-a-Chip for Biochemical Analysis	270
	References.....	276
10	Therapeutic Nanodevices	279
10.1	Definitions and Scope of Discussion	280
10.2	Synthetic Approaches: "top-down" versus "bottom-up" Approaches for Nanotherapeutic Device Components	285
10.3	Technological and Biological Opportunities.....	288
10.4	Applications for Nanotherapeutic Devices	307
10.5	Concluding Remarks: Barriers to Practice and Prospects	315
	References.....	317

Part B Scanning Probe Microscopy

11 Scanning Probe Microscopy – Principle of Operation, Instrumentation, and Probes	325
11.1 Scanning Tunneling Microscope	327
11.2 Atomic Force Microscope	331
11.3 AFM Instrumentation and Analyses	347
References.....	364
12 Probes in Scanning Microscopies	371
12.1 Atomic Force Microscopy	372
12.2 Scanning Tunneling Microscopy.....	382
References.....	383
13 Noncontact Atomic Force Microscopy and Its Related Topics	385
13.1 Principles of Noncontact Atomic Force Microscope (NC-AFM)	386
13.2 Applications to Semiconductors	391
13.3 Applications to Insulators	397
13.4 Applications to Molecules	404
References.....	407
14 Low Temperature Scanning Probe Microscopy	413
14.1 Microscope Operation at Low Temperatures	414
14.2 Instrumentation.....	415
14.3 Scanning Tunneling Microscopy and Spectroscopy	419
14.4 Scanning Force Microscopy and Spectroscopy.....	433
References.....	442
15 Dynamic Force Microscopy	449
15.1 Motivation: Measurement of a Single Atomic Bond	450
15.2 Harmonic Oscillator: A Model System for Dynamic AFM	454
15.3 Dynamic AFM Operational Modes.....	455
15.4 Q -Control.....	464
15.5 Dissipation Processes Measured with Dynamic AFM	468
15.6 Conclusion	471
References.....	471
16 Molecular Recognition Force Microscopy	475
16.1 Ligand Tip Chemistry	476
16.2 Fixation of Receptors to Probe Surfaces	478
16.3 Single-Molecule Recognition Force Detection.....	479
16.4 Principles of Molecular Recognition Force Spectroscopy	482
16.5 Recognition Force Spectroscopy: From Isolated Molecules to Biological Membranes	484
16.6 Recognition Imaging	489
16.7 Concluding Remarks	491
References.....	492

Part C Nanotribology and Nanomechanics

17 Micro/Nanotribology and Materials Characterization Studies Using Scanning Probe Microscopy	497
17.1 Description of AFM/FFM and Various Measurement Techniques	499
17.2 Friction and Adhesion	507
17.3 Scratching, Wear, Local Deformation, and Fabrication/Machining ...	518
17.4 Indentation	526
17.5 Boundary Lubrication	530
17.6 Closure	538
References.....	539
18 Surface Forces and Nanorheology of Molecularly Thin Films	543
18.1 Introduction: Types of Surface Forces.....	544
18.2 Methods Used to Study Surface Forces	546
18.3 Normal Forces Between Dry (Unlubricated) Surfaces	550
18.4 Normal Forces Between Surfaces in Liquids.....	554
18.5 Adhesion and Capillary Forces.....	564
18.6 Introduction: Different Modes of Friction and the Limits of Continuum Models	569
18.7 Relationship Between Adhesion and Friction Between Dry (Unlubricated and Solid Boundary Lubricated) Surfaces	571
18.8 Liquid Lubricated Surfaces	580
18.9 Role of Molecular Shape and Surface Structure in Friction	591
References.....	594
19 Scanning Probe Studies of Nanoscale Adhesion Between Solids in the Presence of Liquids and Monolayer Films	605
19.1 The Importance of Adhesion at the Nanoscale	605
19.2 Techniques for Measuring Adhesion	606
19.3 Calibration of Forces, Displacements, and Tips	610
19.4 The Effect of Liquid Capillaries on Adhesion	612
19.5 Self-Assembled Monolayers	618
19.6 Concluding Remarks	624
References.....	624
20 Friction and Wear on the Atomic Scale	631
20.1 Friction Force Microscopy in Ultra-High Vacuum.....	632
20.2 The Tomlinson Model.....	636
20.3 Friction Experiments on Atomic Scale	638
20.4 Thermal Effects on Atomic Friction	642
20.5 Geometry Effects in Nanocontacts	646
20.6 Wear on the Atomic Scale	649
20.7 Molecular Dynamics Simulations of Atomic Friction and Wear	651
20.8 Energy Dissipation in Noncontact Atomic Force Microscopy	654
20.9 Conclusion	656
References.....	657

21 Nanoscale Mechanical Properties – Measuring Techniques and Applications	661
21.1 Local Mechanical Spectroscopy by Contact AFM.....	662
21.2 Static Methods – Mesoscopic Samples	667
21.3 Scanning Nanoindentation: An Application to Bone Tissue	674
21.4 Conclusions and Perspectives	682
References.....	682
22 Nanomechanical Properties of Solid Surfaces and Thin Films	687
22.1 Instrumentation.....	688
22.2 Data Analysis	694
22.3 Modes of Deformation	702
22.4 Thin Films and Multilayers	707
22.5 Developing Areas.....	711
References.....	712
23 Atomistic Computer Simulations of Nanotribology	717
23.1 Molecular Dynamics.....	718
23.2 Friction Mechanisms at the Atomic Scale	723
23.3 Stick-Slip Dynamics	732
23.4 Conclusions.....	734
References.....	735
24 Mechanics of Biological Nanotechnology	739
24.1 Science at the Biology–Nanotechnology Interface	740
24.2 Scales at the Bio–Nano Interface	746
24.3 Modeling at the Nano–Bio Interface	752
24.4 Nature’s Nanotechnology Revealed: Viruses as a Case Study	755
24.5 Concluding Remarks	760
References.....	761
25 Mechanical Properties of Nanostructures	763
25.1 Experimental Techniques for Measurement of Mechanical Properties of Nanostructures	765
25.2 Experimental Results and Discussion	770
25.3 Finite Element Analysis of Nanostructures with Roughness and Scratches.....	778
25.4 Closure	785
References.....	786

Part D Molecularly Thick Films for Lubrication

26 Nanotribology of Ultrathin and Hard Amorphous Carbon Films	791
26.1 Description of Commonly Used Deposition Techniques	795
26.2 Chemical Characterization and Effect of Deposition Conditions on Chemical Characteristics and Physical Properties	800

26.3	Micromechanical and Tribological Characterizations of Coatings Deposited by Various Techniques	805
	References.....	827
27	Self-Assembled Monolayers for Controlling Adhesion, Friction and Wear	831
27.1	A Primer to Organic Chemistry	834
27.2	Self-Assembled Monolayers: Substrates, Head Groups, Spacer Chains, and End Groups	839
27.3	Tribological Properties of SAMs	841
27.4	Closure	856
	References.....	857
28	Nanoscale Boundary Lubrication Studies	861
28.1	Lubricants Details	862
28.2	Nanodeformation, Molecular Conformation, and Lubricant Spreading	864
28.3	Boundary Lubrication Studies	866
28.4	Closure	880
	References.....	881
29	Kinetics and Energetics in Nanolubrication	883
29.1	Background: From Bulk to Molecular Lubrication	885
29.2	Thermal Activation Model of Lubricated Friction.....	887
29.3	Functional Behavior of Lubricated Friction.....	888
29.4	Thermodynamical Models Based on Small and Nonconforming Contacts	890
29.5	Limitation of the Gaussian Statistics – The Fractal Space	891
29.6	Fractal Mobility in Reactive Lubrication	892
29.7	Metastable Lubricant Systems in Large Conforming Contacts	894
29.8	Conclusion	895
	References.....	895

Part E Industrial Applications and Microdevice Reliability

30	Nanotechnology for Data Storage Applications	899
30.1	Current Status of Commercial Data Storage Devices.....	901
30.2	Opportunities Offered by Nanotechnology for Data Storage.....	907
30.3	Conclusion	918
	References.....	919
31	The “Millipede” – A Nanotechnology-Based AFM Data-Storage System	921
31.1	The Millipede Concept	923
31.2	Thermomechanical AFM Data Storage	924
31.3	Array Design, Technology, and Fabrication	926

31.4	Array Characterization	927
31.5	x/y/z Medium Microscanner	929
31.6	First Write/Read Results with the 32×32 Array Chip	931
31.7	Polymer Medium	932
31.8	Read Channel Model	939
31.9	System Aspects	943
31.10	Conclusions	948
	References	948
32	Microactuators for Dual-Stage Servo Systems in Magnetic Disk Files	951
32.1	Design of the Electrostatic Microactuator	952
32.2	Fabrication	962
32.3	Servo Control Design of MEMS Microactuator Dual-Stage Servo Systems	968
32.4	Conclusions and Outlook	978
	References	979
33	Micro/Nanotribology of MEMS/NEMS Materials and Devices	983
33.1	Introduction to MEMS	985
33.2	Introduction to NEMS	988
33.3	Tribological Issues in MEMS/NEMS	989
33.4	Tribological Studies of Silicon and Related Materials	995
33.5	Lubrication Studies for MEMS/NEMS	1003
33.6	Component-Level Studies	1009
	References	1017
34	Mechanical Properties of Micromachined Structures	1023
34.1	Measuring Mechanical Properties of Films on Substrates	1023
34.2	Micromachined Structures for Measuring Mechanical Properties	1024
34.3	Measurements of Mechanical Properties	1034
	References	1037
35	Thermo- and Electromechanics of Thin-Film Microstructures	1039
35.1	Thermomechanics of Multilayer Thin-Film Microstructures	1041
35.2	Electromechanics of Thin-Film Microstructures	1061
35.3	Summary and Mention of Topics not Covered	1078
	References	1078
36	High Volume Manufacturing and Field Stability of MEMS Products	1083
36.1	Manufacturing Strategy	1086
36.2	Robust Manufacturing	1087
36.3	Stable Field Performance	1102
	References	1106

37 **MEMS Packaging and Thermal Issues in Reliability** 1111

37.1 MEMS Packaging 1111

37.2 Hermetic and Vacuum Packaging and Applications 1116

37.3 Thermal Issues and Packaging Reliability 1122

37.4 Future Trends and Summary 1128

References 1129

Part F Social and Ethical Implication

38 **Social and Ethical Implications of Nanotechnology** 1135

38.1 Applications and Societal Impacts 1136

38.2 Technological Convergence 1139

38.3 Major Socio-technical Trends 1141

38.4 Sources of Ethical Behavior 1143

38.5 Public Opinion 1145

38.6 A Research Agenda 1148

References 1149

Acknowledgements 1153

About the Authors 1155

Detailed Contents 1171

Subject Index 1189

List of Tables

Part A Nanostructures, Micro/Nanofabrication, and Micro/Nanodevices

3	Introduction to Carbon Nanotubes	
Table 3.1	Different carbon morphologies	50
Table 3.2	Carbon nanofilament morphologies and some basic synthesis conditions	62
Table 3.3	Adsorption properties and sites of SWNTs and MWNTs	65
Table 3.4	Preparation and catalytic performances of some nanotube-supported catalysts.....	77
Table 3.5	Applications for nanotube-based multifunctional materials ...	84
4	Nanowires	
Table 4.1	Selected syntheses of nanowires by material	101
5	Introduction to Micro/Nanofabrication	
Table 5.1	Typical dry etch chemistries.....	157
Table 5.2	Surface micromachined sacrificial/structural combinations	165
7	Materials Aspects of Micro- and Nanoelectromechanical Systems	
Table 7.1	Selected materials for MEMS and NEMS.....	204
9	Microfluidics and Their Applications to Lab-on-a-Chip	
Table 9.1	Overview of the different polymer micro/nano fabrication techniques	257
10	Therapeutic Nanodevices	
Table 10.1	Ideal characteristics of nanodevices.....	282
Table 10.2	Orthogonal conjugation chemistries	295

Part B Scanning Probe Microscopy

11	Scanning Probe Microscopy – Principle of Operation, Instrumentation, and Probes	
Table 11.1	Comparison of Various Conventional Microscopes with SPMs ...	326
Table 11.2	Relevant properties of materials used for cantilevers.....	339
Table 11.3	Measured vertical spring constants and natural frequencies of triangular (V-shaped) cantilevers made of PECVD Si_3N_4	341
Table 11.4	Vertical and torsional spring constants of rectangular cantilevers made of Si and PECVD.....	341
Table 11.5	Noise in Interferometers	353

13 Noncontact Atomic Force Microscopy and Its Related Topics	
Table 13.1 Comparison between the adatom heights observed in an AFM image and the variety of properties for inequivalent adatoms	393

Part C Nanotribology and Nanomechanics

17 Micro/Nanotribology and Materials Characterization Studies Using Scanning Probe Microscopy	
Table 17.1 Comparison of typical operating parameters in SFA, STM, and AFM/FFM used for micro/nanotribological studies.....	498
Table 17.2 Surface roughness and coefficients of friction of various samples in air.....	518
18 Surface Forces and Nanorheology of Molecularly Thin Films	
Table 18.1 Types of surface forces in vacuum vs. in liquid (colloidal forces)	545
Table 18.2 Van der Waals interaction energy and force between macroscopic bodies of different geometries	551
Table 18.3 Electrical "double-layer" interaction energy and force between macroscopic bodies.....	556
Table 18.4 The three main tribological regimes characterizing the changing properties of liquids.....	570
Table 18.5 Effect of molecular shape and short-range forces on tribological properties.....	592
19 Scanning Probe Studies of Nanoscale Adhesion Between Solids in the Presence of Liquids and Monolayer Films	
Table 19.1 Interactions evaluated by atomic force microscopy adhesion measurements.....	620
21 Nanoscale Mechanical Properties – Measuring Techniques and Applications	
Table 21.1 Summary of the mechanical properties of carbon nanotubes..	672
Table 21.2 Absolute and relative changes of the indentation modulus with respect to the initial values under wet conditions	680
22 Nanomechanical Properties of Solid Surfaces and Thin Films	
Table 22.1 Results for some experimental studies of multilayer hardness	710
24 Mechanics of Biological Nanotechnology	
Table 24.1 Sizes of entities in comparison to the size of <i>E. coli</i>	748
Table 24.2 Time scales of various events in biological nanotechnology	750
25 Mechanical Properties of Nanostructures	
Table 25.1 Hardness, elastic modulus, fracture toughness, and critical load results of the bulk single-crystal Si(100) and thin films of undoped polysilicon, SiO ₂ , SiC, Ni-P, and Au	770

Table 25.2	Summary of measured parameters from quasi-static bending tests	775
Table 25.3	Stresses and displacements for materials that are elastic, elastic-plastic, or elastic-perfectly plastic.....	784

Part D Molecularly Thick Films for Lubrication

26 Nanotribology of Ultrathin and Hard Amorphous Carbon Films

Table 26.1	Summary of the most commonly used deposition techniques .	796
Table 26.2	Experimental results from EELS and Raman spectroscopy	801
Table 26.3	Experimental results of FRS analysis	802
Table 26.4	Experimental results of physical properties	802
Table 26.5	Hardness, elastic modulus, fracture toughness, fatigue life, critical load during scratch, coefficient of friction of various DLC coatings.....	809

27 Self-Assembled Monolayers for Controlling Adhesion, Friction and Wear

Table 27.1	Relative electronegativity of selected elements	835
Table 27.2	Names and formulas of selected hydrocarbons.....	836
Table 27.3	Names and formulas of selected alcohols, ethers, phenols, and thiols	836
Table 27.4	Names and formulas of selected aldehydes and ketones	837
Table 27.5	Names and formulas of selected carboxylic acids and esters ...	838
Table 27.6	Names and formulas of selected organic nitrogen compounds	838
Table 27.7	Some examples of polar and nonpolar groups	839
Table 27.8	Organic groups listed in the increasing order of polarity.....	839
Table 27.9	Selected substrates and precursors used for formation of SAMs	840
Table 27.10	The roughness, thickness, tilt angles, and spacer chain lengths of SAMs	846
Table 27.11	Melting point of typical organic compounds similar to HDT and BPT SAMs	851
Table 27.12	Calculated and measured relative heights of HDT and MHA self-assembled monolayers	855
Table 27.13	Calculated and measured residual film thickness for SAMs under critical load	855
Table 27.14	Bond strengths of the chemical bonds in SAMs.....	856

28 Nanoscale Boundary Lubrication Studies

Table 28.1	Typical properties of Z-15 and Z-DOL	863
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Part E Industrial Applications and Microdevice Reliability

30 Nanotechnology for Data Storage Applications

Table 30.1	A comparison of the parameters of HDD and ODD	903
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	Table 30.2	Perceived technical limits for hard disk drive technology.....	904
	Table 30.3	A table of probe storage operating parameters	909
	Table 30.4	Probe storage projected performance	909
31	The “Millipede” – A Nanotechnology-Based AFM Data-Storage System		
	Table 31.1	Areal density and storage capacity	947
32	Microactuators for Dual-Stage Servo Systems in Magnetic Disk Files		
	Table 32.1	Parameters of the electrostatic microactuator	960
33	Micro/Nanotribology of MEMS/NEMS Materials and Devices		
	Table 33.1	Dimensions and masses in perspective	985
	Table 33.2	Selected bulk properties of SiC and Si(100).....	996
	Table 33.3	Surface roughness and micro- and macroscale coefficients of friction of selected samples	997
	Table 33.4	RMS, microfriction, microscratching/microwear, and nanoindentation hardness data for various virgin, coated, and treated silicon samples	999
	Table 33.5	Summary of micro/nanotribological properties of the sample materials	1001
	Table 33.6	Surface roughness parameters and microscale coefficient of friction	1009
	Table 33.7	Coefficient of static friction measurements of MEMS devices and structures	1015
35	Thermo- and Electromechanics of Thin-Film Microstructures		
	Table 35.1	Stresses, curvature, and strains in a film/substrate system.....	1045
	Table 35.2	Predicted and measured curvature per unit negative temperature change for gold/polysilicon microstructures as a function of the polysilicon thickness.	1053
37	MEMS Packaging and Thermal Issues in Reliability		
	Table 37.1	Summary of bonding mechanisms	1116
	Table 37.2	The Maximum Likelihood Estimation for Mean Time To Failure (MTTF)	1127

List of Abbreviations

μCP microcontact printing
 μTAS micro-total analysis systems
 2-DEG two-dimensional electron gas

A

A adenine
 ABS air-bearing surface
 ADEPTS antibody directed enzyme-prodrug
 therapy
 AFAM atomic force acoustic microscopy
 AFM atomic force microscope/microscopy
 AIDCN 2-amino-4,5-imidazoledicarbonitrile
 AM amplitude modulation
 APCVD atmospheric pressure chemical vapor
 deposition
 ASA anti-stiction agent
 ATP adenosine triphosphat

B

BE boundary element
 BioMEMS biological or biomedical
 microelectromechanical
 systems
 BP bit pitch
 BPI bits per inch
 bpsi bits per square inch
 BSA bovine serum albumin

C

C cytosine
 CA constant amplitude
 CBA cantilever beam array
 CCVD catalytic chemical vapor
 deposition
 CDS correlated double sampling
 CDW charge density wave
 CE capillary electrophoresis
 CE constant excitation mode
 CFM chemical force microscopy
 CG controlled geometry
 CNT carbon nanotube
 COC cyclic olefin copolymers
 COF chip-on-flex
 COGs cost of goods
 CSM continuous stiffness measurement
 CTE coefficient of thermal expansion
 CTLs cytotoxic T-lymphocytes
 CVD chemical vapor deposition

D

DAS dimer adatom stacking
 DBR distributed Bragg reflector
 DCs dendritic cells
 DFB distributed feedback
 DFM dynamic force microscopy
 DFT density functional theory
 DLC diamond-like carbon
 DLP digital light processing
 DLVO Derjaguin–Landau–Verwey–Overbeek
 DMD digital micromirror device
 DMT Derjaguin–Muller–Toporov
 DOS density of states
 DPN dip-pen nanolithography
 DRIE deep reactive ion etching
 DSC differential scanning calorimetry
 DSP digital signal processor
 DT diphtheria toxin
 DWNTs double-wall nanotubes

E

EAM embedded atom method
 EBD electron beam deposition
 ECR-CVD electron cyclotron resonance chemical
 vapor deposition
 EDC 1-ethyl-3-(3-dimethylaminopropyl)
 carbodiimide
 EDP ethylene diamine pyrocatechol
 EDS energy dispersive X-ray spectrometer
 EELS electron energy loss
 spectrometer/spectroscopy
 EFC electrostatic force constant
 EFM electric field gradient microscopy
 EHD electrohydrodynamic
 EL electro-luminescence
 EO electro-osmosis
 EOF electro-osmotic flow
 EPR enhanced permeability and retention effect
 ESD electrostatic discharge

F

FAD flavin adenine dinucleotide
 FC flip chip technique
 FCA filtered cathodic arc
 FCP force calibration plot
 FD finite difference
 FE finite element
 FEM finite element method/modeling

FET	field-effect transistor
FFM	friction force microscope/microscopy
FIB	focused ion beam
FID	free induction decay
FIM	field-ion microscope/microscopy
FKT	Frenkel-Kontorova-Tomlinson
FM	frequency modulation
FM-AFM	frequency modulation AFM
FMEA	failure mode effect analysis
FMM	force modulation mode
FM-SFM	frequency-modulation SFM
FS	force spectroscopy

G

G	guanine
GIO	grazing impact oscillator
GMR	giant magnetoresistance
GOD	glucose oxidase
Gox	flavoenzyme glucose oxidase

H

HARMEMS	high-aspect-ratio MEMS
HDD	hard disk drive
HF	hydrofluoric acid
HOP	highly oriented pyrolytic
HOPG	highly oriented pyrolytic graphite
HPMA	hydroxyl polymethacrylamide
HtBDC	hexa-tert-butyl-decacyclene
HTCS	high temperature superconductivity

I

IBD	ion beam deposition
IC	integrated circuit
ICAM-1	intercellular adhesion molecule-1
IFM	interfacial force microscope
ISE	indentation size effect
ITO	indium tin oxide

J

JKR	Johnson–Kendall–Roberts
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K

KPFM	Kelvin probe force microscopy
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L

LB	Langmuir–Blodgett
LCC	leadless chip carrier
LDOS	local density of states
LEDs	light-emitting diodes
LFA-1	leukocyte function-associated antigen-1

LFM	lateral force microscope
LFT	linear fractional transformation
LN	liquid nitrogen
LPCVD	low pressure chemical vapor deposition
LQG	linear quadratic Gaussian
LTR	loop-transfer recovery
LTSPM	low-temperature SPM
LTSTS	low-temperature scanning tunneling spectroscopy
LVDT	linear variable differential transformers

M

MAP	manifold absolute pressure
MD	molecular dynamics
MDS	molecular dynamics simulation
ME	metal evaporated
MEMS	microelectromechanical systems
MFM	magnetic field microscope/microscopy
MHA	16-mercaptohexadecanoic acid thiol
MHC	major histocompatibility complex
MHD	magnetohydrodynamic
MIM	metal/insulator/metal
MLE	maximum likelihood estimator
MOCVD	metalorganic CVD
MP	metal particle
MPTMS	mercaptopropyltrimethoxysilane
MRAM	magnetoresistive RAM
MRFM	magnetic resonance force microscopy
MRFM	molecular recognition force microscopy
MRI	magnetic resonance imaging
MTTF	mean time to failure
MWCNT	multiwall carbon nanotube

N

NA	nucleic acid
NBMN	3-nitrobenzal malonitrile
NC-AFM	noncontact atomic force microscopy
NCS	neocarzinostatin
NEMS	nanoelectromechanical systems
NMP	no moving part
NNI	National Nanotechnology Initiative
NSOM	near-field scanning optical microscope/microscopy
NTA	nitrilotriacetate
nTP	nanotransfer printing
NVRAM	nonvolatile random access memories

O

ODD	optical disk drives
OMVPE	organometallic vapor phase epitaxy
OT	optical tweezers
OTE	octadecyltrimethoxysilane
OTS	octadecyltrichlorosilane

OUM Ovonyx unified memory

P

P/W power to weight
 PA plasminogen activator
 PAMAM poly(amido) amine
 PAPP p-aminophenyl phosphate
 PC polycarbonate
 PC-RAM phase change RAM
 pDA 1,4-phenylenediamine
 PDMS polydimethylsiloxane
 PDP 2-pyridyldithiopropionyl
 PE polyethylene
 PECVD plasma enhanced CVD
 PEG poly(ethylene glycol)
 PES photoemission spectroscopy
 PES position error signal
 PET poly(ethylene terephthalate)
 PFDA perfluorodecanoic acid
 PFPE perfluoropolyether
 PL photoluminescence
 PMMA poly(methylmethacrylate)
 PS polystyrene
 PSG phosphorus-doped glass
 PSG-1 P-selection glycoprotein ligand-1
 PTFE polytetrafluoroethylene
 PZT lead zirconate titanate

Q

QCM quartz-crystal microbalance

R

RES reticuloendothelial system
 RF radiofrequency
 RH relative humidity
 RICM reflection interface contrast microscopy
 RIE reactive ion etching
 RLS recursive least square algorithm
 RPES relative position error signal
 RTP rapid thermal processing

S

SACA static advancing contact angle
 SAED selected area electron diffraction
 SAM self-assembling monolayer
 SAM scanning acoustic microscopy
 SCM scanning capacitance microscopy
 SCPM scanning chemical potential
 SEcM scanning electrochemical microscopy
 SEFM scanning electrostatic force microscopy
 SEM scanning electron microscope/microscopy
 SFA surface forces apparatus

SFAM scanning force acoustic microscopy
 SFD shear flow detachment
 SFM scanning force microscopy
 SFS scanning force spectroscopy
 SICM scanning ion conductance microscopy
 SIMO single-input–multi-output
 SISO single-input–single-output
 SKPM scanning Kelvin probe microscopy
 SLAM scanning local-acceleration microscopy
 SMA shape memory alloy
 SMANCS S-Methacryl-neocarzinostatin
 SMM scanning magnetic microscopy
 SN scanning nanoindentation
 SNOM scanning near-field optical microscopy
 SPM scanning probe microscopy
 sPROMS structurally programmable microfluidic system
 SPS spark plasma sintering
 SRAM static random access memory
 ssDNA single stranded DNA
 SSNA single-stranded nucleic acid molecule
 SThM scanning thermal microscopy
 STM scanning tunneling microscope/microscopy
 SWCNT single-wall carbon nanotubes
 SWNT single-wall nanotubes

T

T thymine
 TAAs tumor associated antigens
 TEM transmission electron microscopy
 TESP tapping-mode etched silicon probe
 TGA thermo-gravimetric analysis
 TIRM total internal reflection microscopy
 TMAH tetramethyl ammonium hydroxide
 TMAH tetramethyl-aluminium hydroxide
 TP track pitch
 TPI tracks per inch
 TRM/TMR track mis-registration
 T-SLAM variable-temperature SLAM
 TTF tetrathiofulvene

U

UHV ultrahigh vacuum

V

VCM voice coil motor
 VCO voltage-controlled oscillator
 VLS vapor-liquid-solid
 VLSI very large-scale integration

X

XRD X-ray diffraction