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纳米技术手册

生物纳米摩擦学及力学

【第4册】

Springer
Handbook^{of}
Nanotechnology

〔美〕 Bharat Bhushan 主编

(第三版影印版)



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Springer Handbook of Nanotechnology

Bharat Bhushan (Ed.)

3rd revised and extended edition



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by Bharat Bhushan

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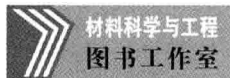
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Springer Handbook of Nanotechnology

Since 2004 and with the 2nd edition in 2006, the Springer Handbook of Nanotechnology has established itself as the definitive reference in the nanoscience and nanotechnology area. It integrates the knowledge from nanofabrication, nanodevices, nanomechanics, nanotribology, materials science, and reliability engineering in just one volume. Beside the presentation of nanostructures, micro/nanofabrication, and micro/nanodevices, special emphasis is on scanning probe microscopy, nanotribology and nanomechanics, molecularly thick films, industrial applications and microdevice reliability, and on social aspects. In its 3rd edition, the book grew from 8 to 9 parts now including a part with chapters on biomimetics. More information is added to such fields as bionanotechnology, nanorobotics, and (bio) MEMS/NEMS, bio/nanotribology and bio/nanomechanics. The book is organized by an experienced editor with a universal knowledge and written by an international team of over 145 distinguished experts. It addresses mechanical and electrical engineers, materials scientists, physicists and chemists who work either in the nano area or in a field that is or will be influenced by this new key technology.

“The strong point is its focus on many of the practical aspects of nanotechnology... Anyone working in or learning about the field of nanotechnology would find this an excellent working handbook.”

IEEE Electrical Insulation Magazine

“Outstandingly succeeds in its aim... It really is a magnificent volume and every scientific library and nanotechnology group should have a copy.”

Materials World

“The integrity and authoritativeness... is guaranteed by an experienced editor and an international team of authors which have well summarized in their chapters information on fundamentals and applications.”

Polymer News

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使用说明

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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, more broadly, in the physical sciences. Later that month, he announced in his State of the Union Address an ambitious US\$ 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 US scientific research. With strong bipartisan support in Congress, most of this request was appropriated, and the NNI was born. Often, federal budget initiatives only last a year or so. It is most encouraging that the NNI has remained a high priority of the G.W. Bush Administration and Congress, reflecting enormous progress in the field and continued strong interest and support by industry.

Nanotechnology is the ability to manipulate individual atoms and molecules to produce nanostructured materials and submicron 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 nm, 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 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. Clinical trials are already underway for nanomaterials that offer the promise of cures for certain cancers. It is widely felt that nanotechnology will be 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/nanoelectro-mechanical 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, industry 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, Prof. Bhushan has harnessed his own knowledge and experience, gained in several industries and universities, and has assembled internationally recognized authorities from four continents to write chapters covering a wide array of nanotechnology topics, including the latest advances. The authors come from both academia and industry. The topics include major advances in many fields where nanoscale science and engineering is being pursued and illustrate how the field of nanotechnology has continued to emerge and blossom. Given the accelerating pace of discovery and applications in nanotechnology, it is a challenge to cap-



Prof. Neal Lane

Malcolm Gillis University Professor, Department of Physics and Astronomy, Senior Fellow, James A. Baker III Institute for Public Policy Rice University Houston, Texas

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 a key figure in the creation of the NNI.

ture it all in one volume. As in earlier editions, professor Bhushan does an admirable job.

Professor Bharat Bhushan's comprehensive book is intended to serve both as a textbook for university courses as well as a reference for researchers. The first and second editions were timely additions to the literature on nanotechnology and stimulated further interest in this important new field, while serving as invaluable resources to members of the international scientific and industrial community. The increasing demand for up-to-date information on this fast moving field led to this

third edition. It is increasingly important that scientists and engineers, whatever their specialty, have a solid grounding in the fundamentals and potential applications of nanotechnology. This third edition addresses that need by giving particular attention to the widening audience of readers. It also includes a discussion of the social, ethical and political issues that tend to surround any emerging technology.

The editor and his team are to be warmly congratulated for bringing together this exclusive, timely, and useful nanotechnology handbook.

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 1990s 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 e-mail 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 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 than what was required for the IT revolution. In effect, the IT revolution was based on the advanced engineering of two-dimensional digital cir-

cuits 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 into 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, nanotech 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 even perhaps likely, that in 20 years we may be speaking of the nanotech revolution.

The first edition of Springer Handbook of Nanotechnology was timely to assemble chapters in the broad field of nanotechnology. Given the fact that the second edition was in press one year after the publication of the first edition in April 2004, it is clear that the handbook has shown to be a valuable reference for experienced researchers as well as for a novice in the field. The third edition has one Part added and an expanded scope should have a wider appeal.



Prof. James R. Heath

Department of Chemistry
California Institute of Technology
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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 to the 3rd Edition

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 of the 20th century classic science lectures, 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 testament to his vision. In recognition of this reality, National Science and Technology Council (NSTC) of the White House created the Interagency Working Group on Nanoscience, Engineering and Technology (IWGN) in 1998. 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 technology, more broadly. Later that month, he announced in his State of the Union Address an ambitious US\$ 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. The objective of this initiative was to form a broad-based coalition in which the academe, the private sector, and local, state, and federal governments work together to push the envelop of nanoscience and nanoengineering to reap nanotechnology's potential social and economic benefits.

The funding in the US has continued to increase. In January 2003, the US senate introduced a bill to establish a National Nanotechnology Program. On December 3, 2003, President George W. Bush signed into law the 21st Century Nanotechnology Research and Development Act. The legislation put into law programs and activities supported by the National Nanotechnology Initiative. The bill gave nanotechnology a permanent home in the federal government and authorized US\$ 3.7 billion to be spent in the four year period beginning in October 2005, for nanotechnology initiatives at five federal agencies. The funds would provide grants to researchers, coordinate R&D

across five federal agencies (National Science Foundation (NSF), Department of Energy (DOE), NASA, National Institute of Standards and Technology (NIST), and Environmental Protection Agency (EPA)), establish interdisciplinary research centers, and accelerate technology transfer into the private sector. In addition, Department of Defense (DOD), Homeland Security, Agriculture and Justice as well as the National Institutes of Health (NIH) also fund large R&D activities. They currently account for more than one-third of the federal budget for nanotechnology.

European Union (EU) made nanosciences and nanotechnologies a priority in Sixth Framework Program (FP6) in 2002 for a period of 2003–2006. They had dedicated small funds in FP4 and FP5 before. FP6 was tailored to help better structure European research and to cope with the strategic objectives set out in Lisbon in 2000. Japan identified nanotechnology as one of its main research priorities in 2001. The funding levels increases sharply from US\$ 400 million in 2001 to around US\$ 950 million in 2004. In 2003, South Korea embarked upon a ten-year program with around US\$ 2 billion of public funding, and Taiwan has committed around US\$ 600 million of public funding over six years. Singapore and China are also investing on a large scale. Russia is well funded as well.

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 scales, ranging from individual atoms or molecules to submicron dimensions, 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, comparable to that of semiconductor technology, information technology, or cellular and molecular biology. Science and technology research in nanotechnology promises 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 be the next industrial revolution.

There is an increasing need for a multidisciplinary, system-oriented approach to design and manufactur-

ing of 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. Reliability is a critical technology for many micro- and nanosystems and nanostructured materials. A broad based handbook was needed, and the first edition of Springer Handbook of Nanotechnology was published in April 2004. It presented an overview of nanomaterial synthesis, micro/nanofabrication, micro- and nanocomponents and systems, scanning probe microscopy, reliability issues (including nanotribology and nanomechanics) for nanotechnology, and industrial applications. When the handbook went for sale in Europe, it was sold out in ten days. Reviews on the handbook were very flattering.

Given the explosive growth in nanoscience and nanotechnology, the publisher and the editor decided to develop a second edition after merely six months of publication of the first edition. The second edition (2007) came out in December 2006. The publisher and the editor again decided to develop a third edition after six month of publication of the second edition. This edition of the handbook integrates the knowledge from nanostructures, fabrication, materials science, devices, and reliability point of view. It covers various industrial applications. It also addresses social, ethical, and political issues. Given the significant interest in biomedical applications, and biomimetics a number of additional chapters in this arena have been added. The third edition consists of 53 chapters (new 10, revised 28, and as is 15). The chapters have been written by 139 internationally recognized experts in the field, from academia,

national research labs, and industry, and from all over the world.

This handbook 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 the development of third edition in June 2007, and we worked very hard to get all the chapters to the publisher in a record time of about 12 months. 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. Last but not the least, I would like to thank my secretary Caterina Runyon-Spears for various administrative duties and her tireless efforts are highly appreciated.

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

February 2010

Bharat Bhushan
Editor

Preface to the 2nd Edition

On 29 December 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 of the 20th century classic science lectures, 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 the fabrication of nanoobjects have been a testament to his vision. In recognition of this reality, the National Science and Technology Council (NSTC) of the White House created the Interagency Working Group on Nanoscience, Engineering and Technology (IWGN) in 1998. 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, more broadly, technology. Later that month, he announced in his State of the Union Address an ambitious \$497 million federal, multiagency national nanotechnology initiative (NNI) in the fiscal year 2001 budget, and made the NNI a top science and technology priority. The objective of this initiative was to form a broad-based coalition in which the academe, the private sector, and local, state, and federal governments work together to push the envelope of nanoscience and nanoengineering to reap nanotechnology's potential social and economic benefits.

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May 2005

Bharat Bhushan
Editor

Preface to the 1st Edition

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.

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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 National Academy of Sciences at Gomel, Belarus in 2000. He is a registered professional engineer. He is presently an Ohio Eminent Scholar and The Howard D. Winbigler Professor in the College of Engineering, and the Director of the Nanoprobe Laboratory for Bio- and Nanotechnology and Biomimetics (NLB²) at the Ohio State University, Columbus, Ohio. His research interests include fundamental studies with a focus on scanning probe techniques in the interdisciplinary areas of bio/nanotribology, bio/nanomechanics and bio/nanomaterials characterization, and applications to bio/nanotechnology and biomimetics. He is an internationally recognized expert of bio/nanotribology and bio/nanomechanics using scanning probe microscopy, and is one of the most prolific authors. He is considered by some a pioneer of the tribology and mechanics of magnetic storage devices. He has authored 6 scientific books, more than 90 handbook chapters, more than 700 scientific papers (*h* factor – 45+; ISI Highly Cited in Materials Science, since 2007), and more than 60 technical reports, edited more than 45 books, and holds 17 US and foreign patents. He is co-editor of Springer NanoScience and Technology Series and co-editor of Microsystem Technologies. He has given more than 400 invited presentations on six continents and more than 140 keynote/pleinary addresses at major international conferences.

Dr. Bhushan is an accomplished organizer. He organized the first symposium on Tribology and Me-

chanics 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 two dozen awards for his contributions to science and technology from professional societies, industry, and US 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), Byelorussian 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, STLE, and the New York Academy of Sciences, and a member of 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. He has held visiting professor appointments at University of California at Berkeley, University of Cambridge, UK, Technical University Vienna, Austria, University of Paris, Orsay, ETH Zurich and EPFL Lausanne.



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