Electronic Structure Calculations using Dynamical Mean Field Theory

Silke Biermann

Ecole Polytechnique, Palaiseau, France Centre de Physique Théorique,

(*) DMFT = Dynamical Mean Field Theory

The Menu

- **Correlations in Condensed Matter -- Modeling** Correlated Electron Behavior
- What's a mean field theory?
- Dynamical mean field theory (DMFT) and "DFT+DMFT"
- Beyond "DFT+DMFT": functional approaches, GW+DMFT ...
- Conclusions/perspectives



... the electrons live in the periodic potential

From your solid state physics lecture ...:

In a perfect cristal, the atoms form a periodic lattice ...

created by the ions

plane waves modulated by periodic function Bloch's theorem: Electronic eigenstates are



$$|\Psi_{kn}(r)|^2 = |e^{ikx}u_{kn}(r)|^2 = |u_{kn}(r)|^2$$



Where are the electrons?



Question: "H-solid"

atoms occupying the sites of a 2d periodic lattice. Describe the electronic eigenstates ! Consider an hypothetical Hydrogen solid, with H



[Let's consider 1s orbital only, forget about molecule formation (ions are fixed!), magnetic solutions and assume nearest neighbor hopping only

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Question: "H-solid"

atoms occupying the sites of a 2d periodic lattice. Describe the electronic eigenstates ! Consider an hypothetical Hydrogen solid, with Т



lattice constant a = 8 km

Additional information:



The independent electron picture consequences: I



- waves N-electron state = Slater determinant of Bloch
- quantum number Momentum k of single electron a good
- Spectrum = band structure
- Products of expectation values factorize !

Back to the H-"solid" with a=8km ...

of kilometers In reality: The "independent particle picture" predicts a band metal with very small but finite bandwidth of a half-filled band and electrons delocalised over hundreds

- Atoms independent
- numbers => think in real space! Atomic occupations are good quantum
- Insulator not because of interference effects opening the band gap, but Coulomb blocking
- "Double occupancy" is suppressed! -- E.g.:

 $0 = \langle n_{R\uparrow} n_{R\downarrow} \rangle \neq \langle n_{R\uparrow} \rangle \langle n_{R\downarrow} \rangle$

Correlations?

- "Correlatio" (lat.) = interrelation
- Two entities are "correlated" if there exists a mutual relationship
- Mathematically:

Correlations: $\langle AB \rangle \neq \langle A \rangle \langle B \rangle$

Example: $A = n_{\uparrow}$, $B = n_{\downarrow}$, eigenvalues 0 or 1 Hamiltonian: $H = \epsilon(n_{\uparrow} + n_{\downarrow}) + Un_{\uparrow}n_{\downarrow}$ Correlations: $\langle AB \rangle \neq \langle A \rangle \langle B \rangle$ $\langle n_{\uparrow}n_{\downarrow} angle \ = \ rac{1}{Z} \sum_{n_{\uparrow}=0,1, \ n_{\downarrow}=0,1} n_{\bullet}$ $\neq \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ $n_{\uparrow}n_{\downarrow}e^{-eta\epsilon(n_{\uparrow}+n_{\downarrow})-eta Un_{\uparrow}n_{\downarrow}}$

In general: correlations = effects beyond mean field theory

Correlations! (Hamiltonian not separable)

Some orders of magnitude

- Kinetic energy of an electron in the solid?
- Wannier functions? Coulomb matrix element between localised

Why does band theory work?????



- typically by an order of magnitude Screening reduces Coulomb interactions,
- Landau theory! [Band theory not as a single particle theory, but as a description of low-energy excitations in the solid => "Quasi-particles"]
- It does not always work



Tomczak, Pourosvkii, Vaugier, Georges, Biermann, PNAS (2013)



"Mott insulators"

- are metallic in band theory, but insulating in nature Examples: paramagnetic YTiO3, CeSF, Ce2O3
- but a failure of the single particle picture itself! choice of the effective single particle potential) Note: This is not a failure of DFT (or the specific
- occupation without the need for correlations! picture, e.g. magnetism suppresses double Note: symmetry breaking helps the single particle

A note on magnetism ...

- solid Example: ferro- or antiferromagnetic ordered
- At each site R either

$$0=\langle n_{R\uparrow}
angle$$
 or $0=\langle n_{R\downarrow}
angle$

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Then, trivially: $0=\!\langle n_{R\uparrow}n_{R\downarrow}
angle$:

Seemingly, no need for correlations:

$$\langle n_{R\uparrow}n_{R\downarrow}
angle = \langle n_{R\uparrow}
angle \langle n_{R\downarrow}
angle$$

Side remark: "LDA+U"

- the magnetic phases! dependent effective potential to the single-Static mean field theories that apply a spinparticle band structure can open the gap in
- reason for the gap Note however: mismatch in energy scales magnetic order is likely not the primary (Neel temperature << gap !) indicates that
- Needed: true finite temperature description!



The Mott transition



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- Beyond "DFT+DMFT": functional approaches, GW+DMFT ...
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Example: Ising model H = - $-\sum_{(ij)} J_{ij}S_iS_j$

effective magnetic field Map lattice model onto a single spin in an

$$H_{eff} = -\sum_{i} h_i^{eff} S_i$$

consistently Determine magnetic field ("mean field") self-

$$h_i^{eff} \simeq h + \sum_j J_{ij} m_j = h + z J m_j$$

$$m = \tanh\left(\beta h + z\beta Jm\right)$$

What's a mean field theory?

- Two ingredients:
- can be solved Auxiliary system ("reference system"), that
- to restore symmetries of the original problem Self-consistency condition for the mean field



Calculate Gloc from an impurity problem (that is, a

Anderson impurity problem:



Integration over bath degrees of freedom gives hybridisation function

$$\Delta(i\omega_n) = \sum_l \frac{|V_l|^2}{i\omega_n - \widetilde{\varepsilon}_l}$$

Equivalent formulation of Andersen impurity problem:

Impurity action:

DMFT – one slide for experts ...

Impurity action:

Calculate Green's function G and deduce self-energy:

$$\Sigma_{imp}(i\omega_n) \equiv \mathscr{G}_0^{-1}(i\omega_n) - G^{-1}(i\omega_n)$$

approximation: $\Sigma_{ii} \simeq \Sigma_{imp}$, $\Sigma_{i \neq i} \simeq 0$

DMFT ap

proximation:
$$\Sigma_{ii}\simeq \Sigma_{imp}~,~\Sigma_{i
eq j}\simeq 1$$

$$G(\mathbf{k}, i\omega_n) = \frac{1}{i\omega_n + \mu - \varepsilon_0 - \varepsilon_{\mathbf{k}} - \Sigma(\mathbf{k}, i\omega_n)}$$

and self-consist ...

Standard MFT vs. DFT vs. DMFT

"Weiss field" Effectiv	Auxiliary System Spin in	Physical Magne quantity	Standa Theory
re magnetic field	effective field	tisation	rd Mean Field / – ex.: Ising Model
Kohn-Sham potential	Electrons in effective potential	Density	DFT
Dynamical mean field (effective hybridisation)	Quantum impurity problem (interacting!)	Local Green's function	DMFT

DMFT in a nutshell ...

- Non-perturbative.
- Captures weak and strong coupling limits on equal footing; gives a picture of the Mott transition
- Incorporates "atomic physics" of localised degrees of freedom into the itinerant band picture
- Describes correlation effects on different energy scales Hubbard bands in the correlated metallic state) (=> coexistence of quasi-particle excitations and
- fluctuations cluster extensions required Self-energy is taken to be purely local – for non-local
- Finite temperatures well described

DMFT as the infinite dimensional solution

- coordination number stays non-trivial mode Hubbard model in the limit of infinite (Metzner and Vollhardt, 1989)
- energy purely local (Mueller-Hartmann, 1989) In that limit, perturbation theory simplifies, self-
- 1992) A constructive solution can be obtained from mapping onto impurity problem (Georges, Kotliar,
- al., Rev. Mod. Phys. 1996 Mielsch, Keiter, ... For bibliography see Georges et Further contributions by: Ohkawa, Brandt,

"Ab initio" modeling of materials ...?



Density Functional Theory Cf. Matthias Scheffler's lecture

Chemistry, 1998 **Nobel Price in**

Interacting electron gas



W. Kohn, L. Sham, 1965

P. Hohenberg, W. Kohn, 1964,

the same for the two systems

such that the ground state density is

Non-interacting electrons

Mapping

in effective potential

Density Functional Theory

Chemistry, 1998 **Nobel Price in** Interacting electron gas





Non-interacting electrons in effective potential

such that the ground state density is the same for the two systems

part of a many-body Hamiltonian DFT used here as a means to generate the one-body





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=> "LDA+DMFT" (Ansimov et al., Lichtenstein et al., 1997/98)

electronic structure calculations: "DFT+DMFT" Dynamical mean field theory within realistic



Lichtenstein, Katsnelson, 1998 Anisimov, ... Kotliar, 1997



See also: various authors, Pavarini et al, 2004, Nekrasov et al. 2005, Lechermann, et al. PRB 2006 From: Tomczak, Casula, Miyake, Biermann, arXiv 2013.





(Inverse) Photoemission spectrum From: Morikawa et al. 1995

DFT+DMFT calculation From: Pavarini, SB, Poteryaev, Lichtenstein, Georges, PRL 2004











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Photoemission: the case of SrVO3 **Comparison to Angle-Resolved**









"Hubbard band"

DFT+DMFT ... a story of success!

Applications to

- 3d transition metal oxides, sulphides [CaVO3, LaTiO3, YTiO3, VO2, V2O3, BaVS3, ...]
- Transition metals [Mn, Ni, ...]
- f-electron elements and compounds [Ce, CeSF, RE203]
- Iron Pnictides [LaFeAsO, FeSe, BaFe2As2, BaCo2As2]
- Spin-orbit materials [Sr2lr04, Sr2Rh04]
- Low-dimensional systems (organics)
- •





A. Van Roekeghem
 IOP-CAS & Ecole
 Polytechnique

See also: PES by Dhaka et al. al., PRL 2014

Xu et al., PRX (2013) & A. van Roekeghem et

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Towards a first-principles scheme for correlated materials: GW+DMFT

Formulated in functional language

Free energy of a solid as a functional $\Gamma[G,W]$ of

- the Green's function G and
- the screened Coulomb interaction W.
- [Almbladh et al., Int J. Qu. Chem. 1999]
- $\Gamma[G,W] = Hartree part + \Psi[G,W]$
- $\Psi \approx \Psi^{\text{EDMFT}}[G_{ii}, W_{ii}] + \Psi^{GW}_{\text{nonloc}}[G_{ij}, W_{ij}],$

where
$$\Psi_{number}^{GW} = \Psi^{GW} - \Psi_{loc}^{GW}$$
.

Biermann, Aryasetiawan, Georges, PRL 2003

Hubbard U becomes an auxiliary quantity that is self-consistently determined!



interaction in the continuum and Hubbard physics: "GW+DMFT" as a bridge between Coulomb

 $G_{imp} \equiv 0$ $\mathcal{G}^{-1} = G_{loc}^{-1} + \Sigma_{imp}$ $\mathcal{U}^{-1} = W_{loc}^{-1} + P_{imp}$ $W_{imp} = \mathcal{U} - \mathcal{U}\chi\mathcal{U}$ $\mathcal{G}(\tau), \mathcal{U}(\tau)$ Update $G_{loc} = \sum_{\mathbf{k}} [G_H^{-1} - \Sigma^{xc}]^{-1}$ $-\langle T_{\tau} c c^{\dagger} \rangle_S$ $W_{loc} = \sum_{\mathbf{q}} [V_{\mathbf{q}}^{-1} - P]^{-1}$ Self – consistency $P = P_{imp} + P_{GW}^{nonlocal}$ $\Sigma = \Sigma_{imp} + \Sigma_{GW}^{nonlocal}$ $P_{imp} = \mathcal{U}^{-1}$ $\Sigma_{imp}^{xc} = \mathcal{G}^{-1}$ Combine : $-W_{imp}$ G_{imp}^{-1} P_nonlocal and Σnonlocal over GW calculation: update + outer loop: self-consistency

Impurity model :

GW+DMFT Eqs.

What GW+DMFT is supposed to do for

you .

- correlation strength Describe correlated states with arbitrary local
- Include exchange beyond DFT-LDA (!)
- Make the link between 1/|r-r'| and an auxiliary quantity U(w) (not a parameter any more!) screening from first principles!
- Charge ordering instabilities [cf. Ayral et al., PRL 2012]
- Describe "uncorrelated states" beyond DFT
- Get rid off double counting (Caveat: in orbital-separated scheme, need to take care of " Σ_{pd} ")
- Solve issue of self-consistency/starting point of GW

For applications to real solids, see eg. Hansmann et al, PRL 2013, Tomczak et al, EPL 2012,

For extended model stuides, see: Ayral et al., PRL 2012, PRB 2013, Li et al., PRB 2014.

Conclusions

Electronic correlations

 $\langle n_{R\uparrow} n_{R\downarrow} \rangle \neq \langle n_{R\uparrow} \rangle \langle n_{R\downarrow} \rangle$ \Rightarrow need to incorporate "atomic-like" physics

- auxiliary system, self-consistency General concepts of mean field theories:
- Examples: Ising, DFT, DMFT
- DMFT: mapping of the solid onto interacting quantum impurity problem with effective hybridisation function (dynamical mean field)

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- \Rightarrow suitable for strong/weak coupling & intermediate correlated metal regime

properties of a wide range of materials

Successful to describe spectroscopic Sell bath -consistent atom



Perspectives

- Non-local extensions of DMFT ("Cluster-DMFT")
- structure techniques (GW, basis sets ...) Improved interfacing of DMFT and electronic
- More quantities: transport, forces ...
- Bigger systems ...

Electron addition ...

... - theoretician's point of view

electron with quantum numbers m, σ : Consider many-body ground state $|\Psi^N_{GS}
angle$ and add an

$$c^{\dagger}_{m\sigma}|\Psi^N_{GS}\rangle$$

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$$\begin{array}{l} \textbf{Electron addition ...}\\ \textbf{...-theoretician's point of view}\\ \textbf{Consider many-body ground state } |\Psi_{CS}^N\rangle \text{ and add an electron with quantum numbers } m, \sigma: \\ c_{m\sigma}^{\dagger}|\Psi_{CS}^N\rangle \text{ and add an electron with quantum numbers } m, \sigma: \\ c_{m\sigma}^{\dagger}|\Psi_{CS}^N\rangle \text{ (2)} \\ \textbf{Let state evolve in time:} \\ e^{\textit{IIII}} e^{\textit{IIII}} c_{m\sigma}^{\dagger}|\Psi_{CS}^N\rangle \text{ (3)} \\ \textbf{At time } t, \text{ does the state still ressemble the initial state } \\ c_{m\sigma}^{\dagger}|\Psi_{CS}^N\rangle \text{ (2)} \\ \textbf{Consider overlap} \\ \langle \Psi_{CS}^N|c_{m\sigma}^{\bullet}e^{\textit{IIII}} c_{m\sigma}^{\dagger}|\Psi_{CS}^N\rangle \text{ (5)} \end{array}$$

NB. k from Fourier transform with respect to Bravais lattice. Additional quantum numbers $\rightarrow G$ matrix in orbital space	$\langle angle$ denotes the expectation value in the ground state.	$c_k(t) = exp(-iHt)c_k exp(iHt)$ and the time-ordering operator \hat{T} .	with	$G(k,t) = -\langle \hat{T}c_k(t)c_k^{\dagger}(0) \rangle$	Definition of (zero-temperature) Green's function:	Green's function – survival kit		In the case of a non-interacting system: $\sim \exp(i \text{ Energy } t)$ In an interacting system: electron decays	$\langle \Psi^N_{GS} c_{m\sigma} \; e^{iHt} \; c^\dagger_{m\sigma} \Psi^N_{GS} angle$	Consider overlap	$c^{\dagger}_{m\sigma} \Psi^N_{GS} angle$?	At time t , does the state still ressemble the initial state
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Green's function – properties

$$A(k,\omega) = -\frac{1}{\pi}Tr\Im G(k,\omega)$$
Non-interacting case:

$$G_0(k,\omega) = \frac{1}{\omega + \mu - \epsilon_o(k) + i\eta}$$
General case: define self-energy Σ such that

$$G(k,\omega) = \frac{1}{\omega + \mu - \epsilon_o(k) - \Sigma(k,\omega)}$$
All interaction effects are hidden in the *self-energy*:

$$\Sigma(k,\omega) = G_0^{-1}(k,\omega) - G^{-1}(k,\omega)$$
One-particle excitations \leftrightarrow poles of $G(k,\omega)$

$$A(k,\omega) = \frac{1}{\pi} \frac{-\Im\Sigma(k,\omega)}{(\omega - \epsilon_0(k))^2 + (-\Im\Sigma(\omega))^2}$$
Well-defined band-like states if $\Im\Sigma$ small.

Fermi liquids

 $\mu = 0$, for simplicity ...): In a Fermi liquid (local (i.e. k-independent) self-energy and

$$Im\Sigma(\omega) = -\Gamma\omega^2 + O(\omega^3)$$
$$Re\Sigma(\omega) = Re\Sigma(0) + (1 - Z^{-1})\omega + O(\omega^2)$$

$$A(k,\omega) = \frac{Z^2}{\pi} \frac{-\Im\Sigma(\omega)}{(\omega - Z\epsilon_0(k))^2 + (-Z\Im\Sigma(\omega))^2} + A_{inkoh}$$

For small Im Σ (i.e. well-defined quasi-particles): Lorentzian of width ZIm Σ ,

Weight Z (instead of 1 in non-interacting case) Poles at renormalized quasi-particle bands $Z_{\epsilon_0}(k)$,

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hat about finite temperatures?

Define thermal Green's function!

Idea: thermal weight $exp(-\beta H)/Z$ ressembles $exp(-iHt) \rightarrow$ Notion of "imaginary time"

hat about finite temperatures?

Definition of Green's function:

$$G(k,\tau) = -\langle \hat{T}_{\tau} c_k(\tau) c_k^{\dagger}(0) \rangle$$

with

$$c_k(\tau) = exp(-\tau H)c_k exp(\tau H)$$

and the time-ordering operator \hat{T}_{τ} in imaginary time T, related to β by $\beta = 1/k_BT$. $\langle ...
angle$ denotes the thermal expectation value at temperature

In practice:

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(where $\omega_n = (2n+1)\pi/\beta$ are the "fermionic Matsubara frequencies") Obtain $G(k, i\omega_n)$ by Fourier transform from $G(k, \tau)$.

Need to make "analytic continuation" of $G(k, i\omega_n)$ to obtain $G(k,\omega)$ for real frequencies, and calculate spectra.



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materials

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