

# Electronic Correlations in Solids

Silke Biermann

*Centre de Physique Théorique  
Ecole Polytechnique, Palaiseau, France*

# “Correlations”?

What's that ?

# “Correlations”?

Ashcroft-Mermin, “Solid state physics” gives ...

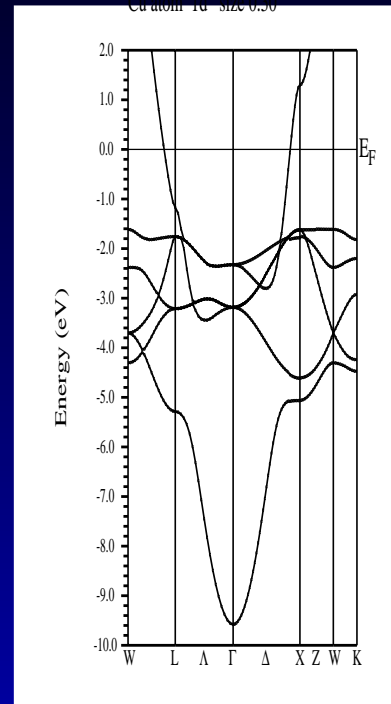
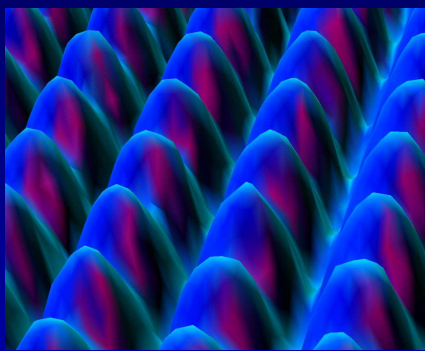
... the “beyond Hartree-Fock” definition”:

The **correlation energy** of an electronic system is the difference between the exact energy and its Hartree-Fock energy.

# “Correlations”?

- “Correlatio” (lat.): mutual relationship
  - The behavior of a given electron is not independent of the behavior of the others!

# The “standard model” of solids:



F. Bloch

## Electrons in a periodic potential

- occupy *one-particle* (Bloch) states, delocalised over the solid.
- feel each other only through an effective mean potential (and the Pauli principle).

→ *independent particle picture*

# “Correlations”?

- “Correlatio” (lat.): mutual relationship  
→ The behavior of a given electron is not independent of the behavior of the others!
- Mathematically:

$$\langle AB \rangle \neq \langle A \rangle \langle B \rangle \quad (1)$$

# “Correlations”?



50 % have blue eyes

50 % have yellow eyes

# “Correlations”?



50 % are left-handed  
50 % are right-handed



# “Correlations”?



What's the probability for a left-handed yellow-eyed kangaroo ???

# “Correlations”?



probability for a left-handed yellow-eyed kangaroo  
=  $1/2 \cdot 1/2 = 1/4$  **only if the two properties are uncorrelated**

Otherwise: anything can happen ....

# “Correlations”?

- “Correlatio” (lat.): mutual relationship  
→ The behavior of a given electron is not independent of the behavior of the others!
- Mathematically:

$$\langle AB \rangle \neq \langle A \rangle \langle B \rangle \quad (2)$$

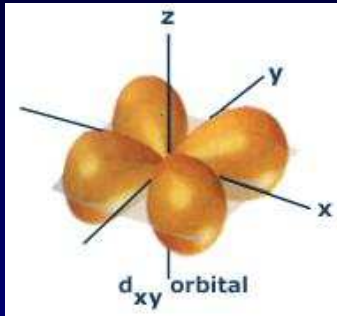
For electrons (in a given atomic orbital):

$$\langle n_{\uparrow} n_{\downarrow} \rangle \neq \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$$

$n_{\sigma}$  = number operator for electrons with spin  $\sigma$ .

# “Correlations”?

Count electrons on a given atom in a given orbital:



$n_{\sigma}$  = counts electrons with spin  $\sigma$

$n_{\uparrow}n_{\downarrow}$  counts “double-occupations”

$\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$  **only if the “second” electron does not care about the orbital being already occupied or not**

# Exercise (!):

Does

$$\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle \text{ hold?}$$

1. Hamiltonian:  $H_0 = \epsilon(n_{\uparrow} + n_{\downarrow})$
2. Hamiltonian:  $H = \epsilon(n_{\uparrow} + n_{\downarrow}) + Un_{\uparrow}n_{\downarrow}$

# Correlations $\langle n_{\uparrow} n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(1) Hamiltonian:  $H_0 = \epsilon(n_{\uparrow} + n_{\downarrow})$

Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

# Correlations $\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(1) Hamiltonian:  $H_0 = \epsilon(n_{\uparrow} + n_{\downarrow})$

Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

$$\begin{aligned}\langle n_{\uparrow}n_{\downarrow} \rangle &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1, n_{\downarrow}=0,1} n_{\uparrow}n_{\downarrow} e^{-\beta\epsilon(n_{\uparrow}+n_{\downarrow})} \\ &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1} n_{\uparrow} e^{-\beta\epsilon n_{\uparrow}} \sum_{n_{\downarrow}=0,1} n_{\downarrow} e^{-\beta\epsilon n_{\downarrow}} \\ &= \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle\end{aligned}$$

# Correlations $\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(1) Hamiltonian:  $H_0 = \epsilon(n_{\uparrow} + n_{\downarrow})$

Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

$$\begin{aligned}\langle n_{\uparrow}n_{\downarrow} \rangle &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1, n_{\downarrow}=0,1} n_{\uparrow}n_{\downarrow} e^{-\beta\epsilon(n_{\uparrow}+n_{\downarrow})} \\ &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1} n_{\uparrow} e^{-\beta\epsilon n_{\uparrow}} \sum_{n_{\downarrow}=0,1} n_{\downarrow} e^{-\beta\epsilon n_{\downarrow}} \\ &= \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle\end{aligned}$$

No correlations! (Hamiltonian separable)



# Correlations $\langle n_{\uparrow} n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(2) Hamiltonian:  $H = \epsilon(n_{\uparrow} + n_{\downarrow}) + U n_{\uparrow} n_{\downarrow}$

Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

# Correlations $\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(2) Hamiltonian:  $H = \epsilon(n_{\uparrow} + n_{\downarrow}) + Un_{\uparrow}n_{\downarrow}$   
Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

$$\begin{aligned}\langle n_{\uparrow}n_{\downarrow} \rangle &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1, n_{\downarrow}=0,1} n_{\uparrow}n_{\downarrow} e^{-\beta\epsilon(n_{\uparrow}+n_{\downarrow})-\beta Un_{\uparrow}n_{\downarrow}} \\ &\neq \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle\end{aligned}$$

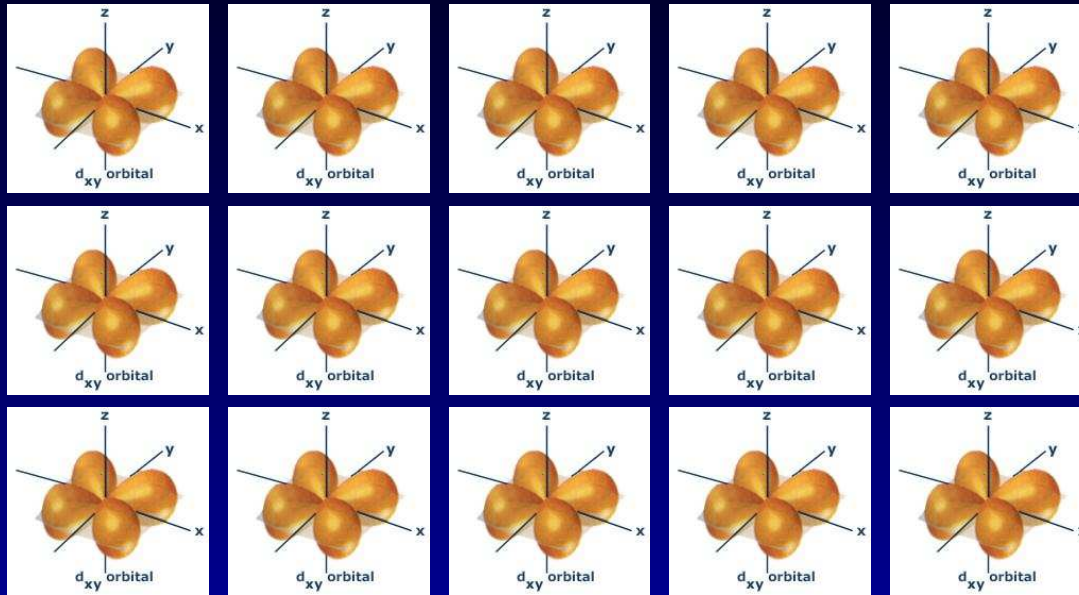
# Correlations $\langle n_{\uparrow}n_{\downarrow} \rangle = \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$ ?

(2) Hamiltonian:  $H = \epsilon(n_{\uparrow} + n_{\downarrow}) + Un_{\uparrow}n_{\downarrow}$   
Operators  $n_{\uparrow}$  and  $n_{\downarrow}$  have eigenvalues 0 and 1.

$$\begin{aligned}\langle n_{\uparrow}n_{\downarrow} \rangle &= \frac{1}{Z} \sum_{n_{\uparrow}=0,1, n_{\downarrow}=0,1} n_{\uparrow}n_{\downarrow} e^{-\beta\epsilon(n_{\uparrow}+n_{\downarrow})-\beta Un_{\uparrow}n_{\downarrow}} \\ &\neq \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle\end{aligned}$$

Correlations! (Hamiltonian not separable)

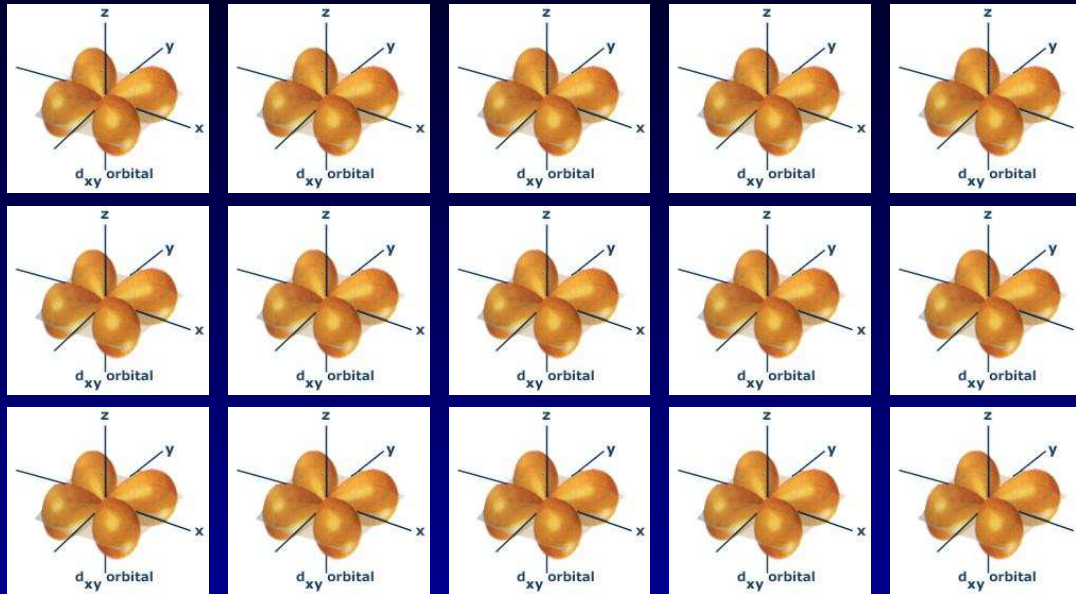
# Periodic array of sites with one orbital



We can have  $\langle n_{\uparrow} + n_{\downarrow} \rangle = 1$  for each site, but yet  $\langle n_{\uparrow} n_{\downarrow} \rangle = 0$  (insulator!)

Is this possible within a one-particle picture?

# Periodic array of sites with one orbital



$\langle n_{\uparrow} + n_{\downarrow} \rangle = 1$  for each site, and  $\langle n_{\uparrow} n_{\downarrow} \rangle = 0$   
→ only possible in a one-particle picture if we allow for symmetry breaking (e.g. magnetic), such that  $\langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle = 0$

# Mott's fictitious H-solid:

Hydrogen atoms with lattice spacing 1 m

H	H	H	H	H	H	H	H
H	H	H	H	H	H	H	H
H	H	H	H	H	H	H	H
H	H	H	H	H	H	H	H
H	H	H	H	H	H	H	H

(not to scale ...)

Metal or insulator?

# Mott's fictitious H-solid:

Hydrogen atoms with lattice spacing 1 m

H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	(not to scale ...)
H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	

Metal or insulator?

Band structure: → metal

Reality: → “Mott insulator”!

# Mott's fictitious H-solid:

Hydrogen atoms with lattice spacing 1 m

H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	(not to scale ...)
H	H	H	H	H	H	H	H	
H	H	H	H	H	H	H	H	

Metal or insulator?

Band structure:  $\rightarrow$  metal

Reality:  $\rightarrow$  “Mott insulator”!

Coulomb repulsion dominates over kinetic energy!



# What are the energy scales?

# What are the energy scales?

Compare

$$V_{m_1 m_2 m_3 m_4} \equiv \langle \phi_{m_1} \phi_{m_2} | \frac{1}{|r - r'|} | \phi_{m_3} \phi_{m_4} \rangle$$
$$= \iint dr dr' \phi_{m_1}^*(r) \phi_{m_3}(r) \frac{1}{|r - r'|} \phi_{m_2}^*(r') \phi_{m_4}(r').$$

and kinetic energy

# What are the energy scales?

Compare

$$V_{m_1 m_2 m_3 m_4} \equiv \langle \phi_{m_1} \phi_{m_2} | \frac{1}{|r - r'|} | \phi_{m_3} \phi_{m_4} \rangle$$
$$= \iint dr dr' \phi_{m_1}^*(r) \phi_{m_3}(r) \frac{1}{|r - r'|} \phi_{m_2}^*(r') \phi_{m_4}(r').$$

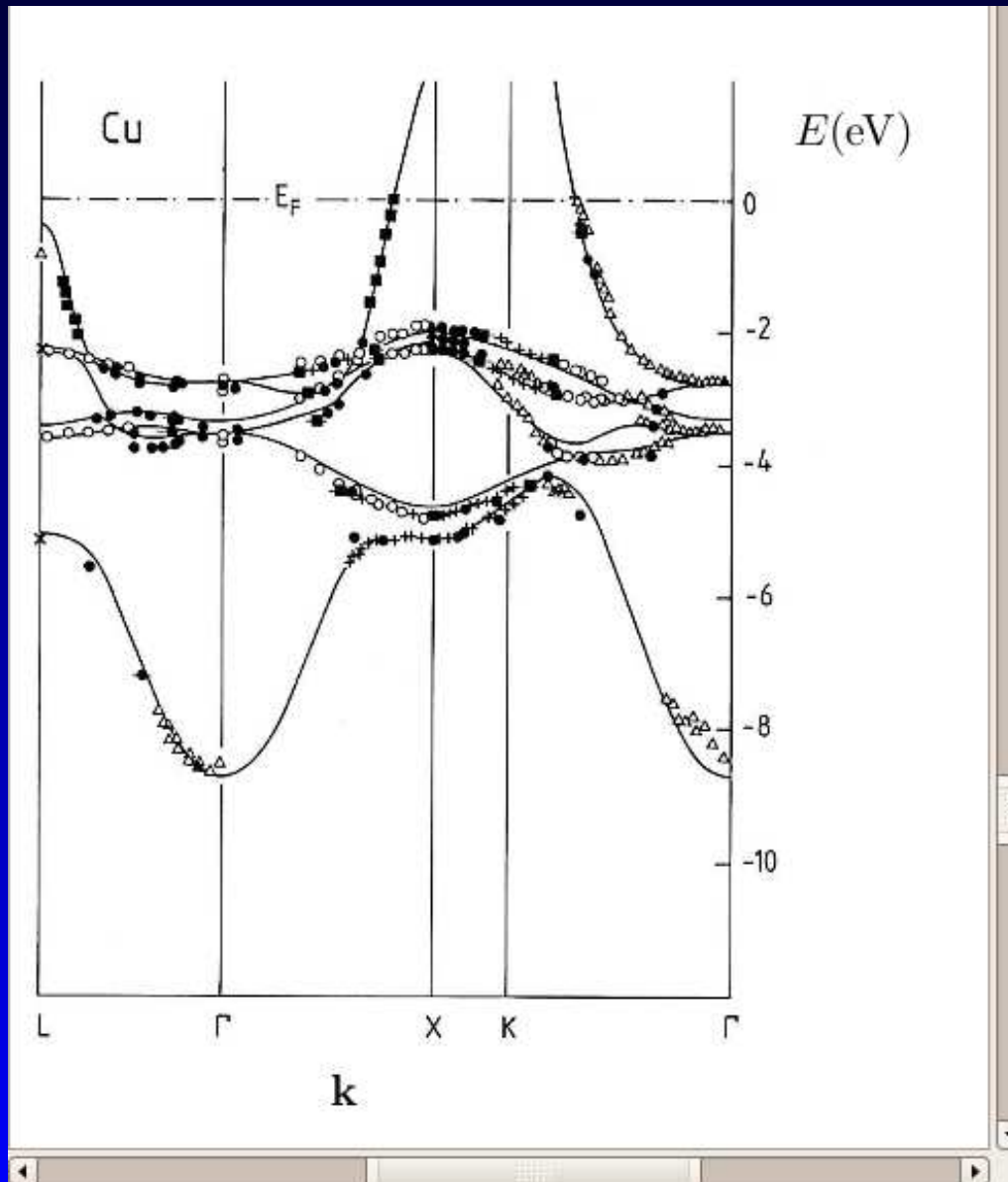
and kinetic energy

For 3d Wannier function of typical transition metals:  
30 eV versus 3 eV !!

# Why does band theory work at all?

# Band structure ...

... from photoemission – Example: Copper



# Why does band theory work at all?

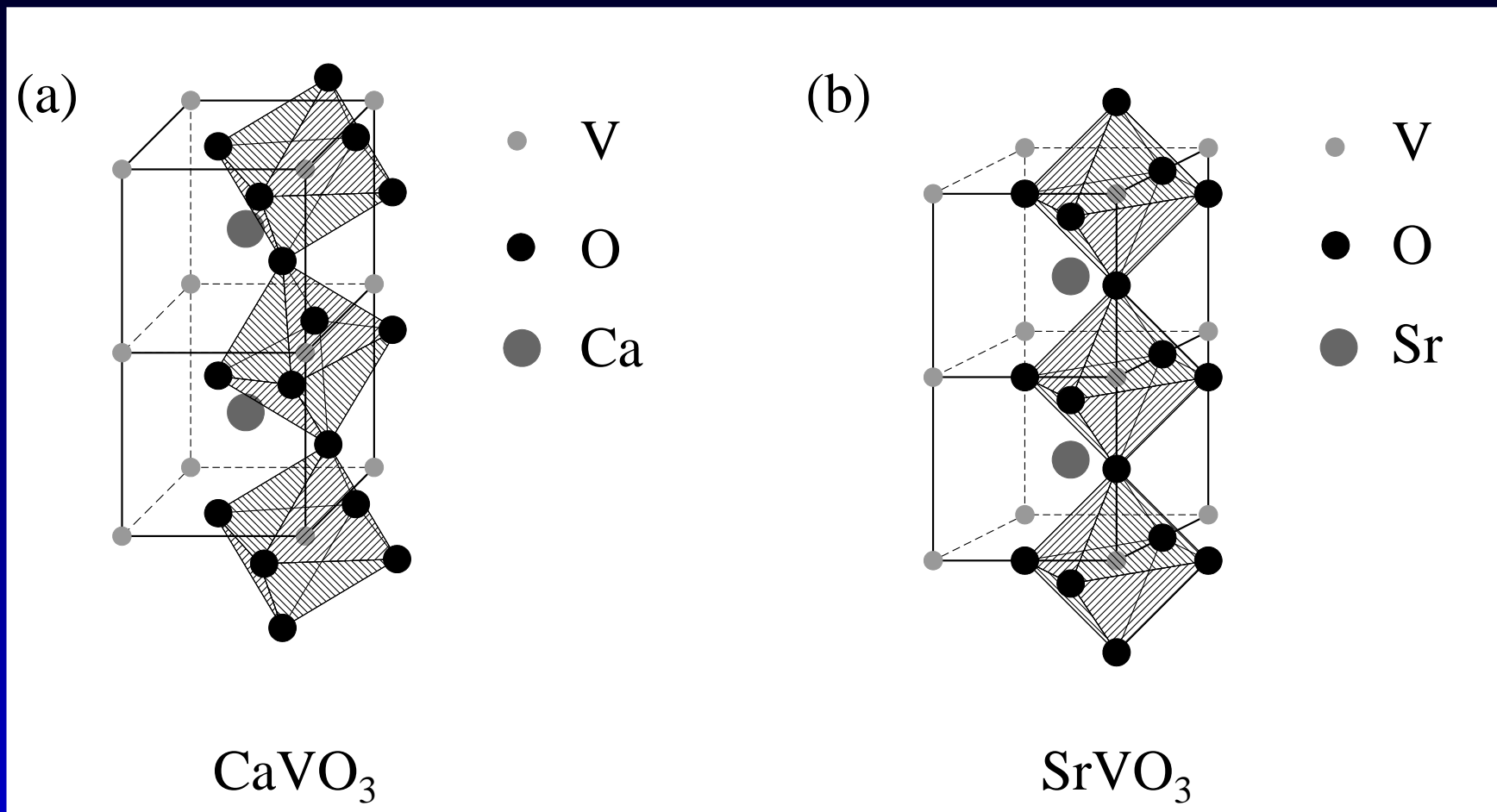
Band structure relies on *one-electron* picture  
But: electrons interact !

Several answers ...:

- Pauli principle }  
Screening } reduce effects of interactions

Landau's Fermi liquid theory: quasi-particles

# Structure of SrVO<sub>3</sub>

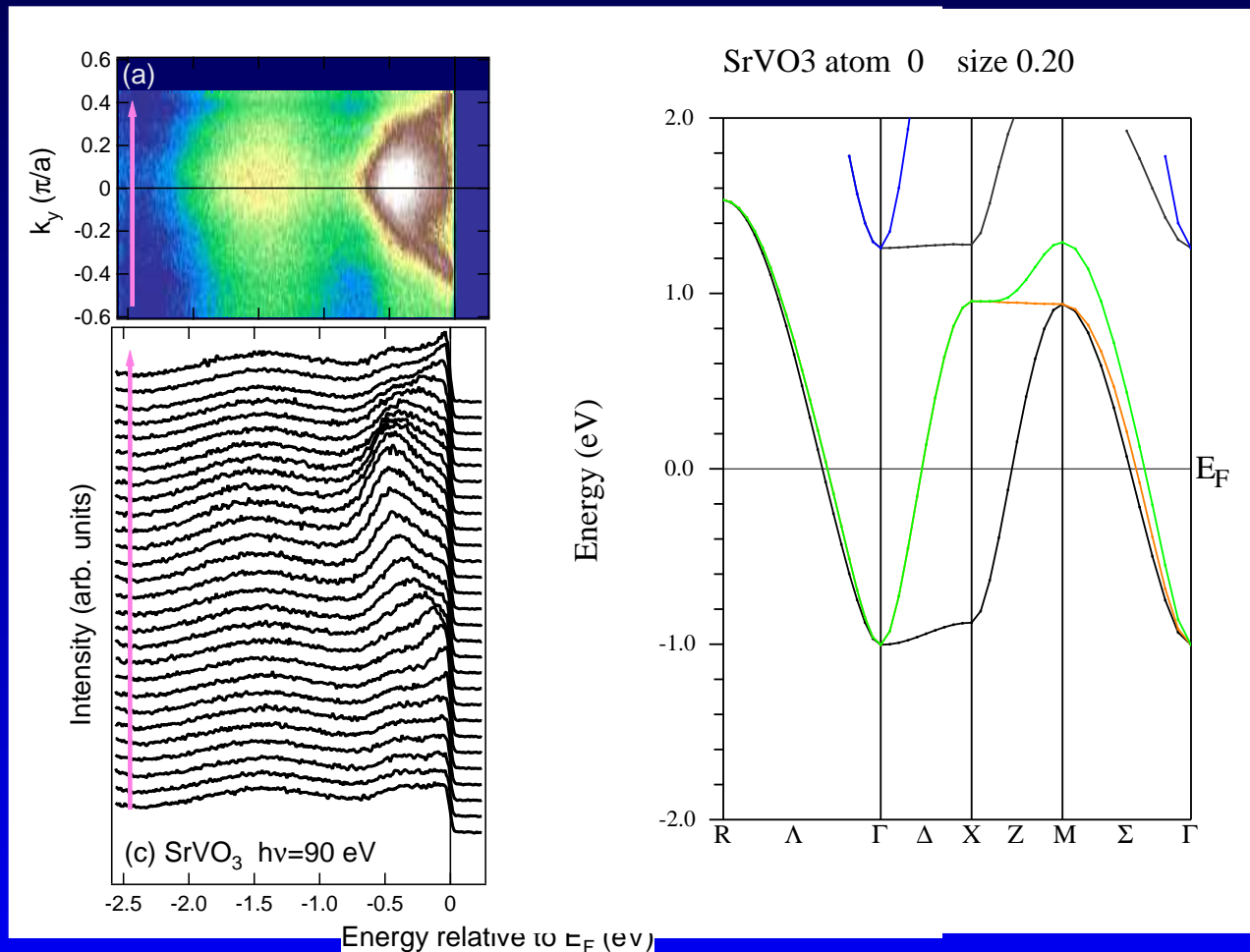


SrVO<sub>3</sub>: a cubic perovskite

# The “standard model” (contd.)

Landau theory of quasiparticles:

→ one-particle picture as a low-energy theory with renormalized parameters





# Why does band theory work at all?

Band structure relies on *one-electron* picture  
But: electrons interact !

Several answers ...:

- Pauli principle }  
Screening } reduce effects of interactions

Landau's Fermi liquid theory: quasi-particles

# Why does band theory work at all?

Band structure relies on *one-electron* picture  
But: electrons interact !

Several answers ...:

- Pauli principle } reduce effects of interactions  
Screening }

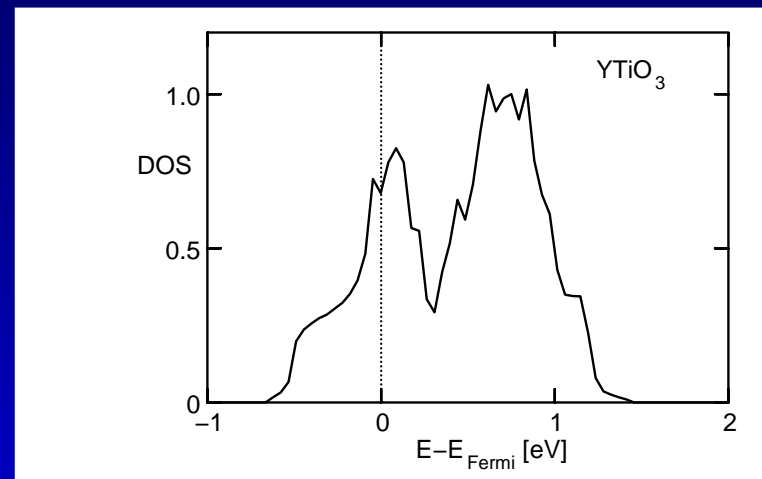
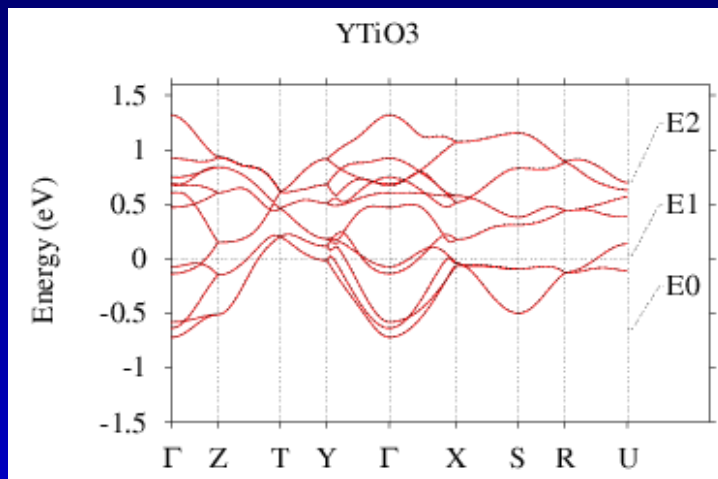
Landau's Fermi liquid theory: quasi-particles

- It does not always work ....

# YTiO<sub>3</sub> in band theory

YTiO<sub>3</sub>: a distorted perovskite compound with  $d^1$  configuration (i.e. 1 electron in  $t_{2g}$  orbitals), paramagnetic above 30 K.

Density Functional Theory calculations:

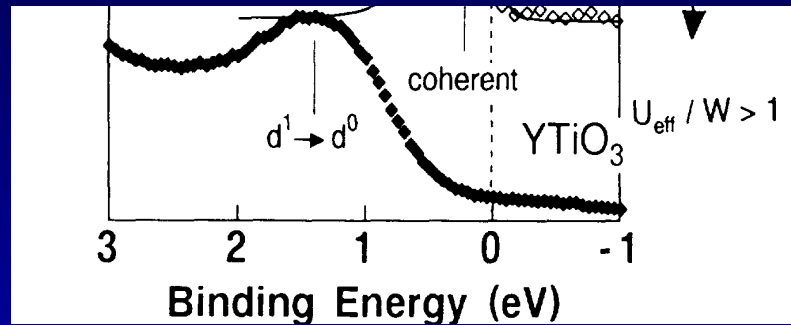


(\*) DFT-LDA = Density Functional Theory within the local density approximation

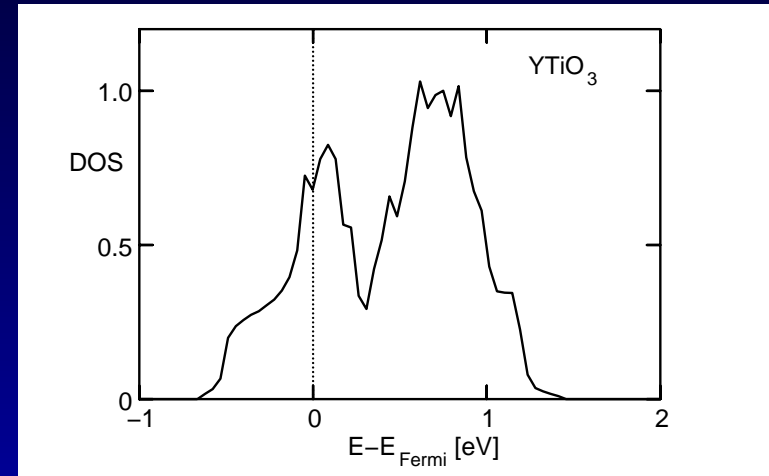
# YTiO<sub>3</sub>: in reality ...

Photoemission reveals a (Mott) insulator:

(Fujimori et al.)



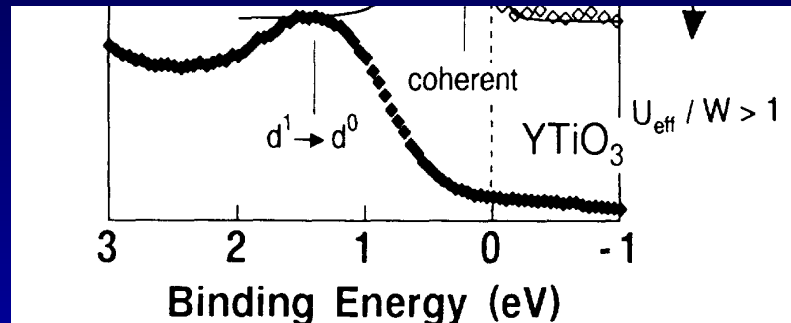
LDA



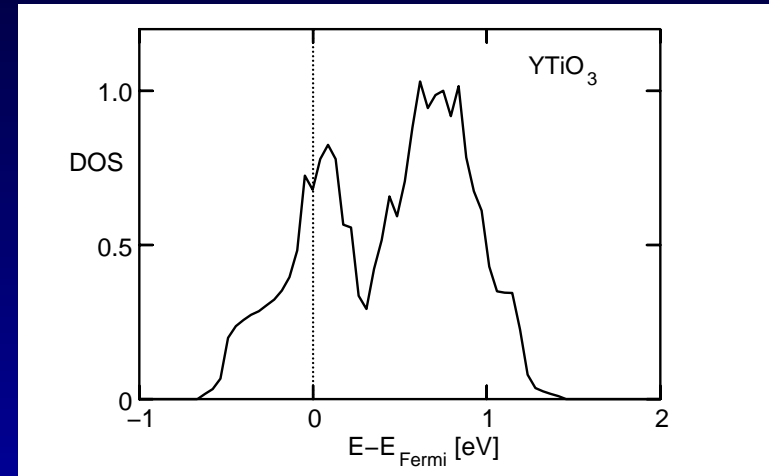
# YTiO<sub>3</sub>: in reality ...

Photoemission reveals a (Mott) insulator:

(Fujimori et al.)



LDA



How to produce a paramagnetic insulating state with 1 electron in 3 bands?

→ not possible in band theory

→ breakdown of independent particle picture



Can we understand correlated electronic behavior?

How to (quantitatively?) describe correlated materials?

# Further outline

- Correlated Materials – some (more) examples
- Modelling correlated electron: Hubbard model
- The Mott metal-insulator transition
- Dynamical mean field theory (DMFT)
- Density Functional Theory (DFT) within the Local Density Approximation (LDA)
- Dynamical mean field theory within electronic structure calculations (“LDA+DMFT”)
- Current questions in the field: what about  $U$ ? ...
- Beyond LDA+DMFT? – Functional approaches
- Conclusions

# Correlated Materials ...

... typically contain partially filled d- or f-shells

**WebElements**: the periodic table on the world-wide web

<http://www.shef.ac.uk/chemistry/web-elements/>

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
hydrogen 1 <b>H</b> 1.00794(7)																	helium 2 <b>He</b> 4.002602(2)	
lithium 3 <b>Li</b> 6.941(2)	beryllium 4 <b>Be</b> 9.012182(3)											boron 5 <b>B</b> 10.811(7)	carbon 6 <b>C</b> 12.0107(8)	nitrogen 7 <b>N</b> 14.00644(7)	oxygen 8 <b>O</b> 15.9994(3)	fluorine 9 <b>F</b> 18.9984032(5)	neon 10 <b>Ne</b> 20.1797(6)	
sodium 11 <b>Na</b> 22.989770(2)	magnesium 12 <b>Mg</b> 24.3050(6)											aluminum 13 <b>Al</b> 26.981538(2)	silicon 14 <b>Si</b> 28.0855(3)	phosphorus 15 <b>P</b> 30.973761(2)	sulfur 16 <b>S</b> 32.066(6)	chlorine 17 <b>Cl</b> 35.4527(9)	argon 18 <b>Ar</b> 39.948(1)	
potassium 19 <b>K</b> 39.0983(1)	calcium 20 <b>Ca</b> 40.078(4)		scandium 21 <b>Sc</b> 44.955910(6)	titanium 22 <b>Ti</b> 47.867(1)	vanadium 23 <b>V</b> 50.9415(1)	chromium 24 <b>Cr</b> 51.9961(6)	manganese 25 <b>Mn</b> 54.938044(9)	iron 26 <b>Fe</b> 55.845(2)	cobalt 27 <b>Co</b> 58.933200(9)	nickel 28 <b>Ni</b> 58.6934(2)	copper 29 <b>Cu</b> 63.546(3)	zinc 30 <b>Zn</b> 65.39(2)	gallium 31 <b>Ga</b> 69.723(1)	germanium 32 <b>Ge</b> 72.61(2)	arsenic 33 <b>As</b> 74.92160(2)	selenium 34 <b>Se</b> 78.96(3)	bromine 35 <b>Br</b> 79.904(1)	krypton 36 <b>Kr</b> 83.80(1)
rubidium 37 <b>Rb</b> 85.4678(3)	strontium 38 <b>Sr</b> 87.62(1)		yttrium 39 <b>Y</b> 88.90585(2)	zirconium 40 <b>Zr</b> 91.224(2)	niobium 41 <b>Nb</b> 92.90638(2)	molybdenum 42 <b>Mo</b> 95.94(1)	technetium 43 <b>Tc</b> [98.9063]	ruthenium 44 <b>Ru</b> 101.07(2)	rhodium 45 <b>Rh</b> 102.90550(2)	palladium 46 <b>Pd</b> 106.42(1)	silver 47 <b>Ag</b> 107.8682(2)	cadmium 48 <b>Cd</b> 112.411(8)	indium 49 <b>In</b> 114.818(3)	tin 50 <b>Sn</b> 118.710(7)	antimony 51 <b>Sb</b> 121.760(1)	tellurium 52 <b>Te</b> 127.60(3)	iodine 53 <b>I</b> 126.90447(3)	xenon 54 <b>Xe</b> 131.29(2)
caesium 55 <b>Cs</b> 132.90545(2)	barium 56 <b>Ba</b> 137.327(7)	57-70 *	lutetium 71 <b>Lu</b> 174.967(1)	hafnium 72 <b>Hf</b> 178.49(2)	tantalum 73 <b>Ta</b> 180.9479(1)	wolfram 74 <b>W</b> 183.84(1)	rehenium 75 <b>Re</b> 186.207(1)	osmium 76 <b>Os</b> 190.23(3)	iridium 77 <b>Ir</b> 192.217(3)	platinum 78 <b>Pt</b> 195.078(2)	gold 79 <b>Au</b> 196.96655(2)	mercury 80 <b>Hg</b> 200.59(2)	thallium 81 <b>Tl</b> 204.3833(2)	lead 82 <b>Pb</b> 207.2(1)	bismuth 83 <b>Bi</b> 208.98038(2)	polonium 84 <b>Po</b> [208.9824]	astatine 85 <b>At</b> [209.9871]	radon 86 <b>Rn</b> [222.0176]
francium 87 <b>Fr</b> [223.0197]	radium 88 <b>Ra</b> [226.0254]	89-102 **	lawrencium 103 <b>Lr</b> [262.110]	rutherfordium 104 <b>Rf</b> [261.1089]	dubnium 105 <b>Db</b> [262.1144]	seaborgium 106 <b>Sg</b> [263.1186]	bohrium 107 <b>Bh</b> [264.12]	hassium 108 <b>Hs</b> [265.1306]	meitnerium 109 <b>Mt</b> [268]	unnilium 110 <b>Uun</b> [269]	ununium 111 <b>Uuu</b> [272]	ununbium 112 <b>Uub</b> [277]						

**Key:**  
 element name  
 atomic number  
 element symbol  
 1995 atomic weight (mean relative mass)

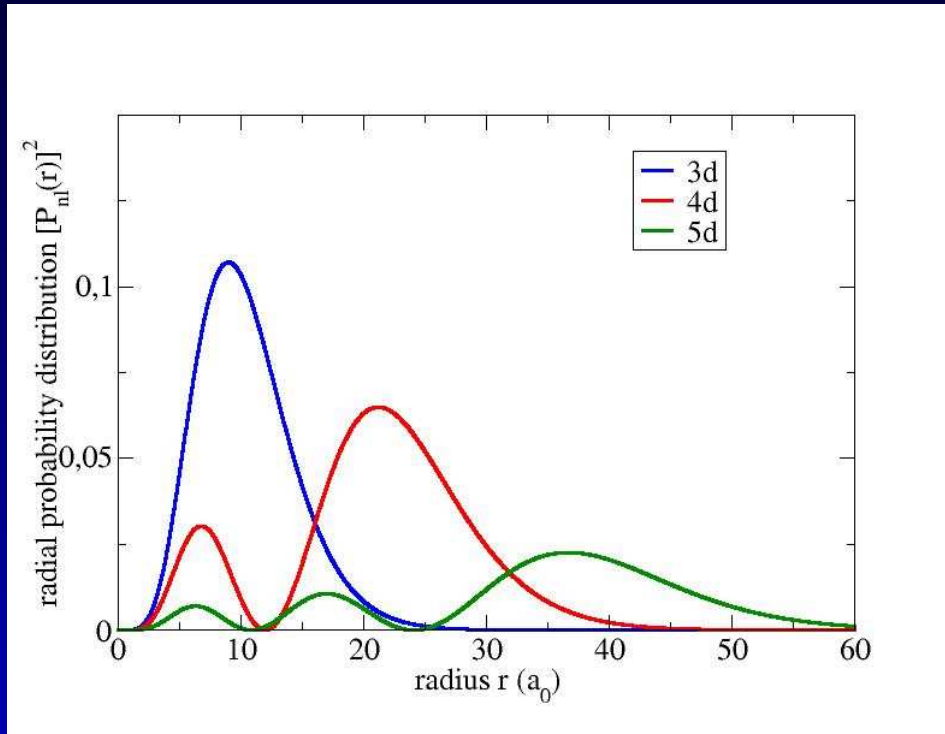
*lanthanides	lanthanum 57 <b>La</b> 138.905(2)	cerium 58 <b>Ce</b> 140.116(1)	praseodymium 59 <b>Pr</b> 140.90765(2)	neodymium 60 <b>Nd</b> 144.24(3)	promethium 61 <b>Pm</b> [144.9127]	samarium 62 <b>Sm</b> 150.36(3)	europium 63 <b>Eu</b> 151.964(1)	gadolinium 64 <b>Gd</b> 157.25(3)	terbium 65 <b>Tb</b> 158.92534(2)	dysprosium 66 <b>Dy</b> 162.50(3)	holmium 67 <b>Ho</b> 164.93032(2)	erbium 68 <b>Er</b> 167.26(3)	thulium 69 <b>Tm</b> 168.93421(2)	ytterbium 70 <b>Yb</b> 173.04(3)
**actinides	actinium 89 <b>Ac</b> [227.0277]	thorium 90 <b>Th</b> 232.0381(1)	protactinium 91 <b>Pa</b> 231.03588(2)	uranium 92 <b>U</b> 238.0289(1)	neptunium 93 <b>Np</b> [237.0482]	plutonium 94 <b>Pu</b> [244.0642]	americium 95 <b>Am</b> [243.0614]	curium 96 <b>Cm</b> [247.0703]	berkelium 97 <b>Bk</b> [247.0703]	californium 98 <b>Cf</b> [251.0796]	einsteinium 99 <b>Es</b> [252.0830]	fermium 100 <b>Fm</b> [257.0951]	mendelevium 101 <b>Md</b> [258.0984]	nobelium 102 <b>No</b> [259.1011]

Symbols and names: the symbols of the elements, their names, and their spellings are those recommended by IUPAC. After some controversy, the names of elements 101-109 are now confirmed; see Pure & Appl. Chem., 1997, 69, 2471-2473. Names have not been proposed as yet for the most recently discovered elements 110-112 so those used here are IUPAC's temporary systematic names; see Pure & Appl. Chem., 1979, 51, 381-384. In the USA and some other countries, the spellings aluminum and cesium are normal while in the UK and elsewhere the usual spelling is sulphur.  
 Periodic table organisation: for a justification of the positions of the elements La, Ac, Lu, and Lr in the WebElements periodic table see W.B. Jensen, "The positions of lanthanum (actinium) and lutetium (lawrencium) in the periodic table", J. Chem. Ed., 1982, 59, 634-636.  
 Group labels: the numeric system (1-18) used here is the current IUPAC convention. For a discussion of this and other common systems see: W.C. Fernelius and W.H. Powell, "Confusion in the periodic table of the elements", J. Chem. Ed., 1982, 59, 504-508.  
 Atomic weights (mean relative masses): see Pure & Appl. Chem., 1996, 68, 2339-2353. These are the IUPAC 1993 values. Elements for which the atomic weight is contained within square brackets have no stable nuclides and are represented by one of the element's more important isotopes. However, the three elements thorium, protactinium, and uranium do have characteristic terrestrial abundances and these are the values quoted. The last significant figure of each value is considered reliable to ±1 except where a larger uncertainty is given in parentheses.  
 ©1998 Dr Mark J Winter (University of Sheffield, webelements@sheffield.ac.uk). For updates to this table see <http://www.shef.ac.uk/chemistry/web-elements/pdf/periodic-table.html>. Version date: 1 March 1998.



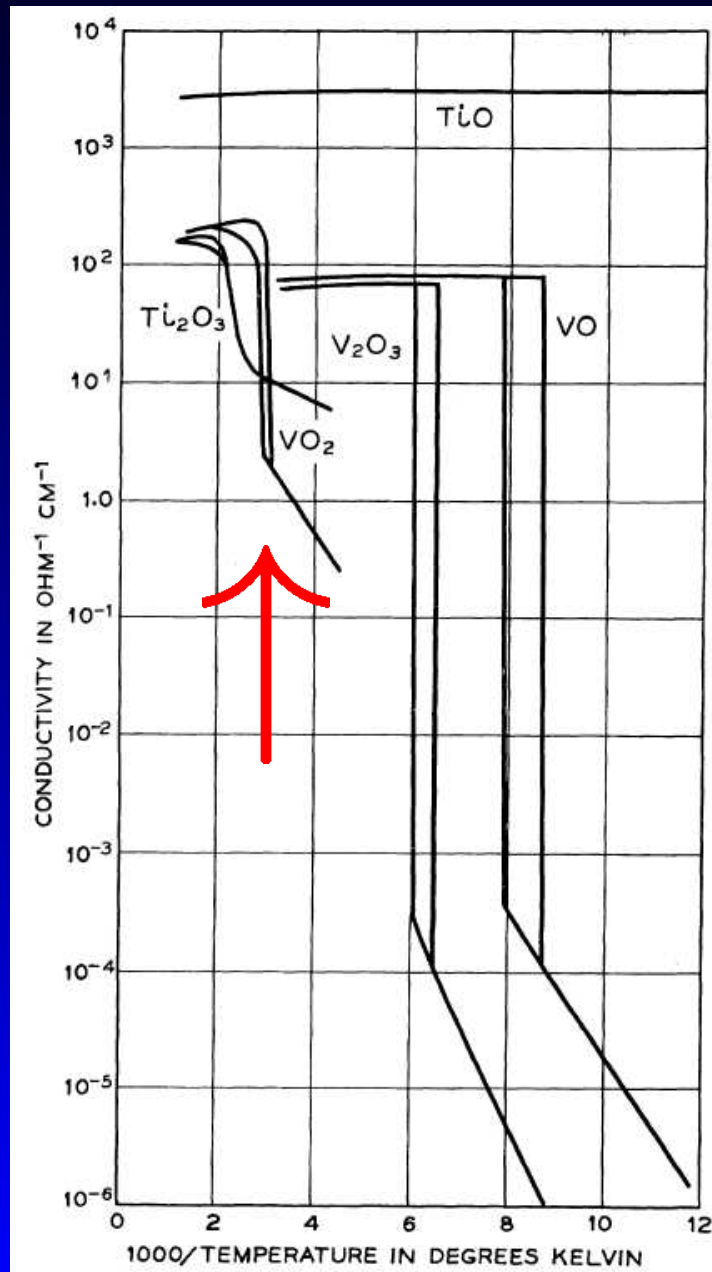
# Correlated Materials ...

... typically contain partially filled d- or f-shells



→ transition metal oxides/sulfides, rare earth or actinide compounds  
(but also: low-dimensional systems, organics ...)

# Metal-Insulator Transitions

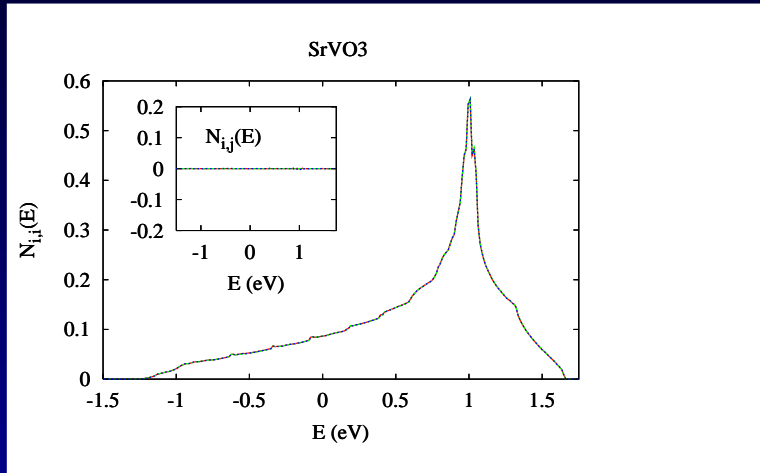


Metal-insulator transition: drop of conductivity by several orders of magnitude

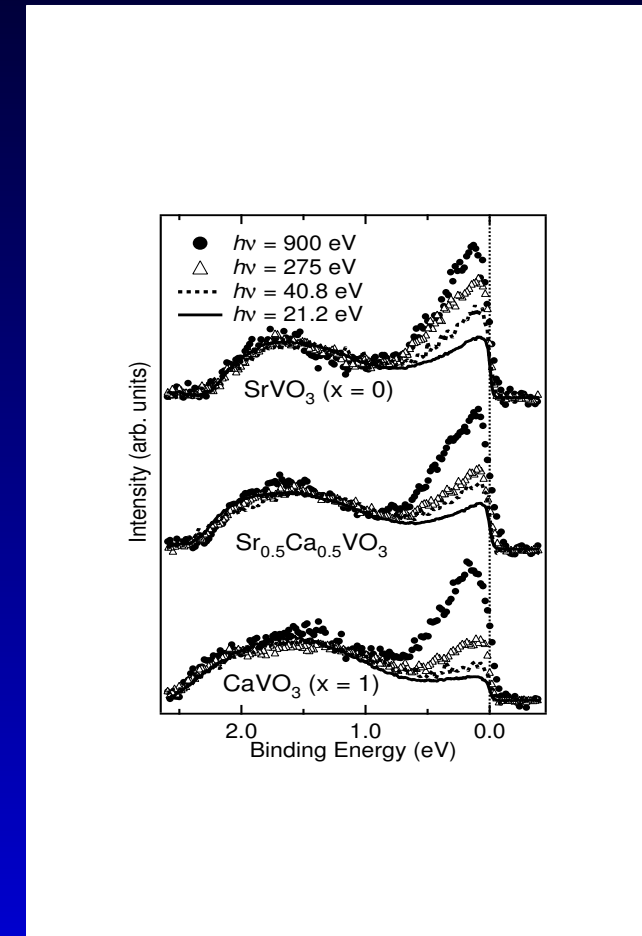
Morin et al., 1959

# SrVO<sub>3</sub> : a correlated metal

## SrVO<sub>3</sub> within DFT-LDA

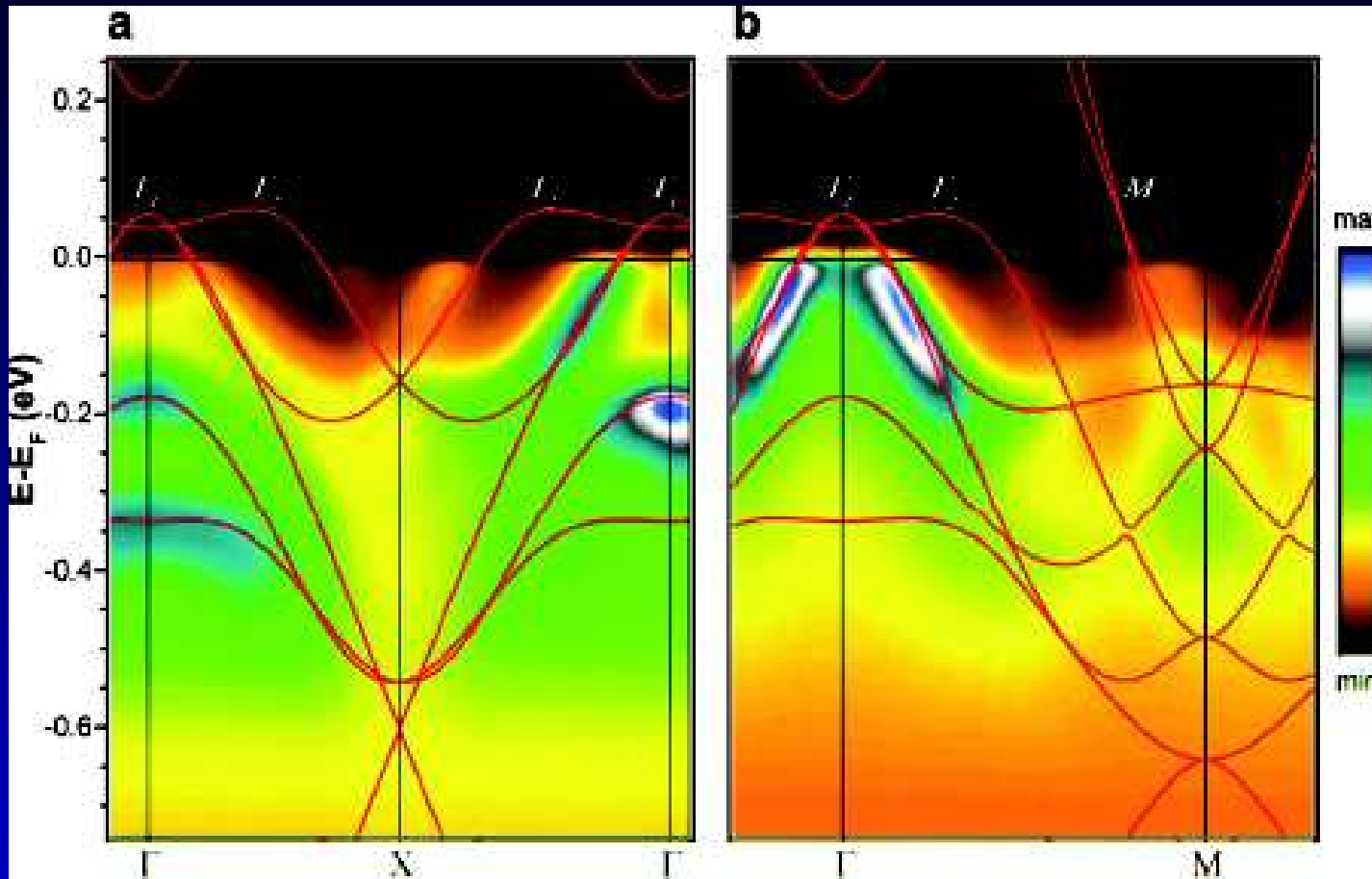


## Photoemission



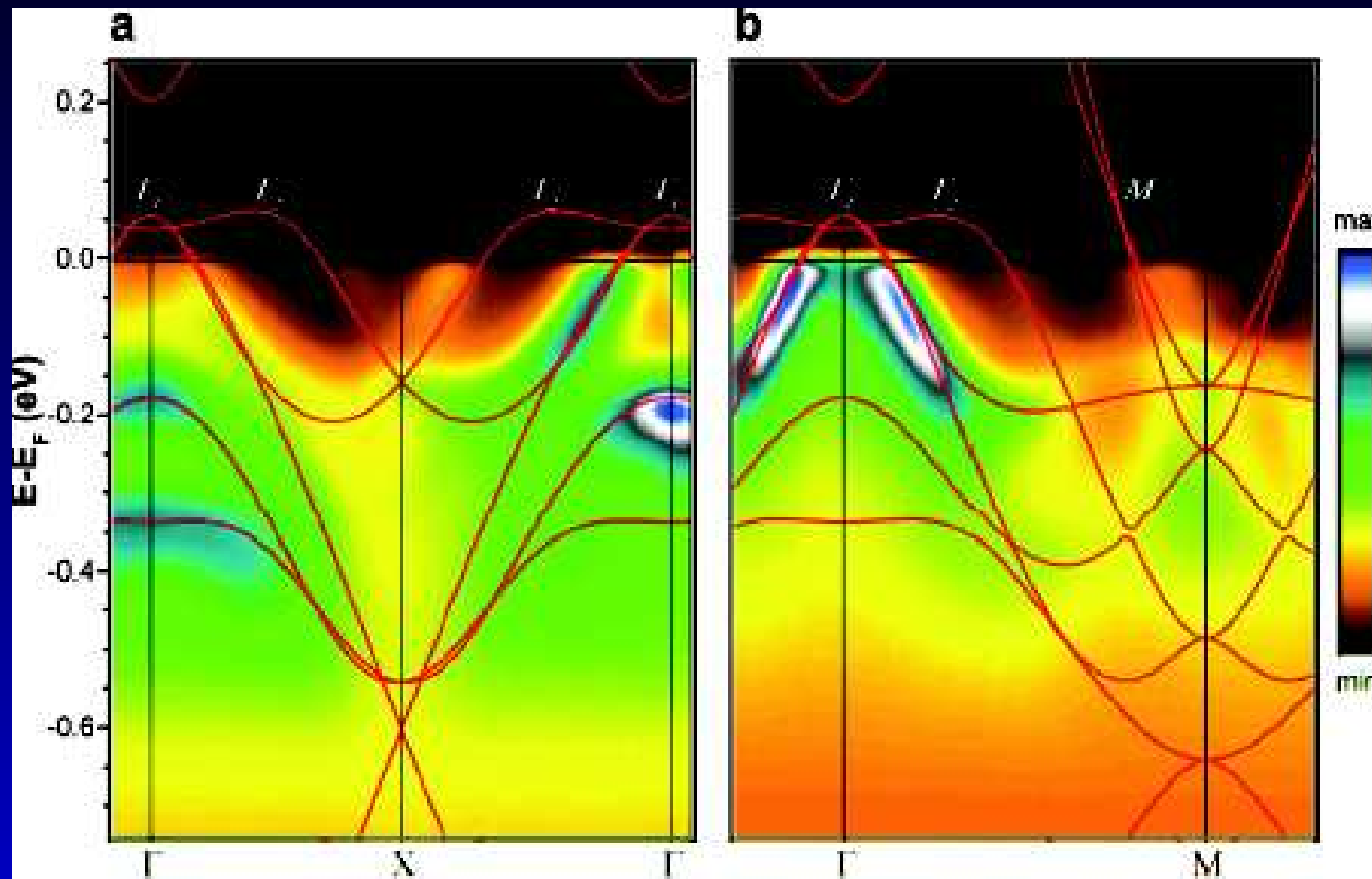
(Sekiyama et al. 2003)

# Iron pnictides



LaFePO: photoemission versus band structure  
(Lu et al., 2008)

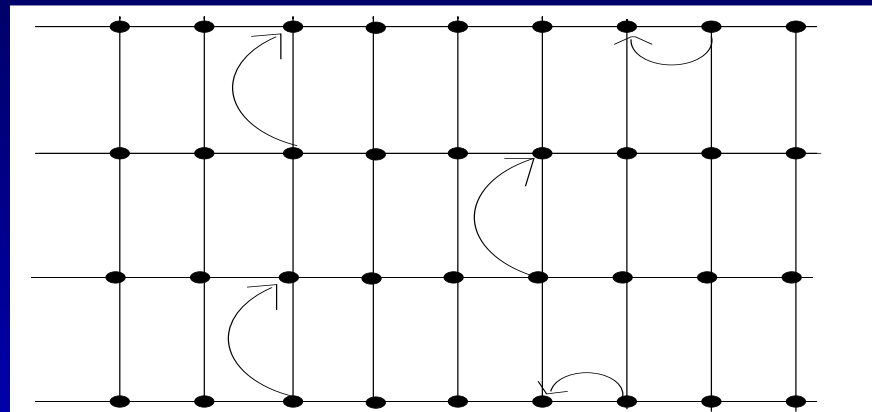
# Iron pnictides



LaFePO: photoemission versus band structure  
“after shifting the calculated bands up by 0.11 eV and  
then renormalizing by a factor 2.2” ...

# The Hubbard model

$$H = -\frac{D}{2} \sum_{\langle ij \rangle \sigma} \left( c_{i\sigma}^\dagger c_{j\sigma} + c_{j\sigma}^\dagger c_{i\sigma} \right) + U \sum_i n_{i\uparrow} n_{i\downarrow}$$

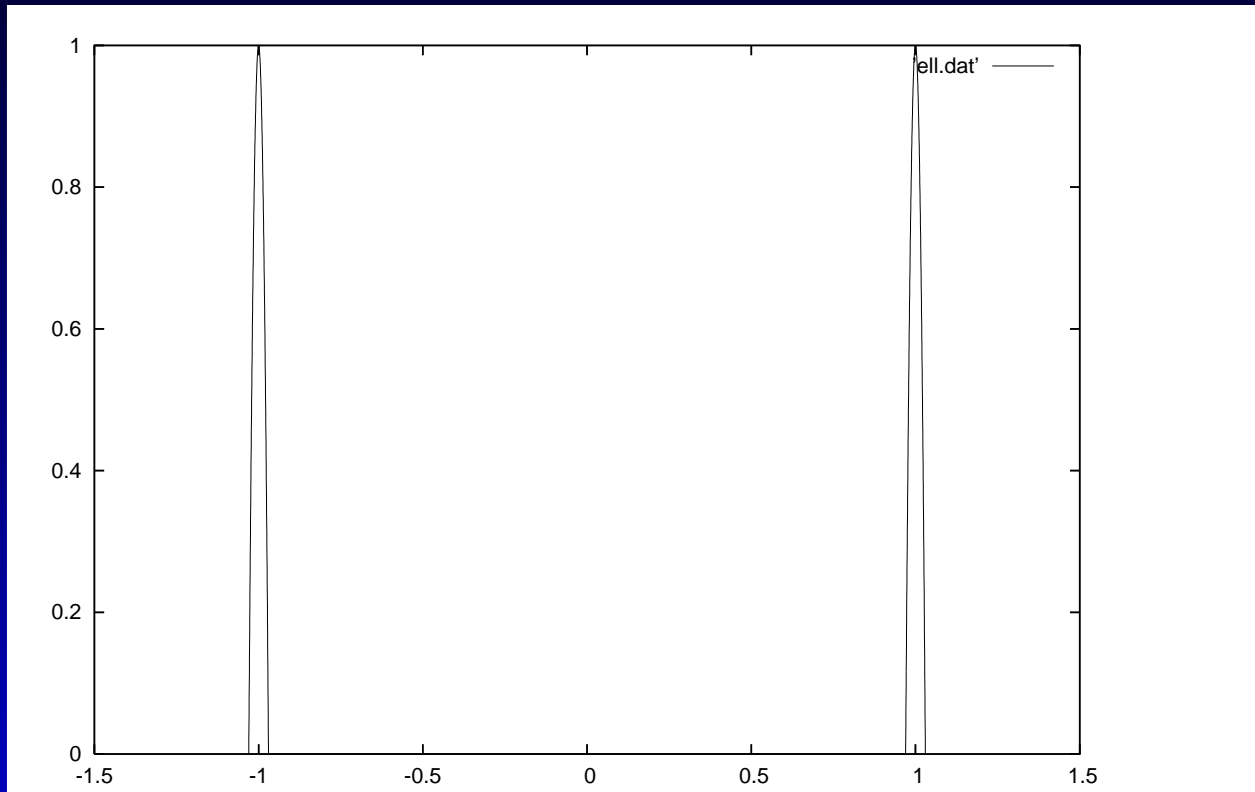


(Hubbard, 1963)

Ground state at half-filling and finite  $U$ : antiferromagnetic  
Frustrated model  $\rightarrow$  paramagnetic solution ?

# Spectra for one atom

Electron removal and addition spectra



$$E = \epsilon$$

$$E = \epsilon + U$$

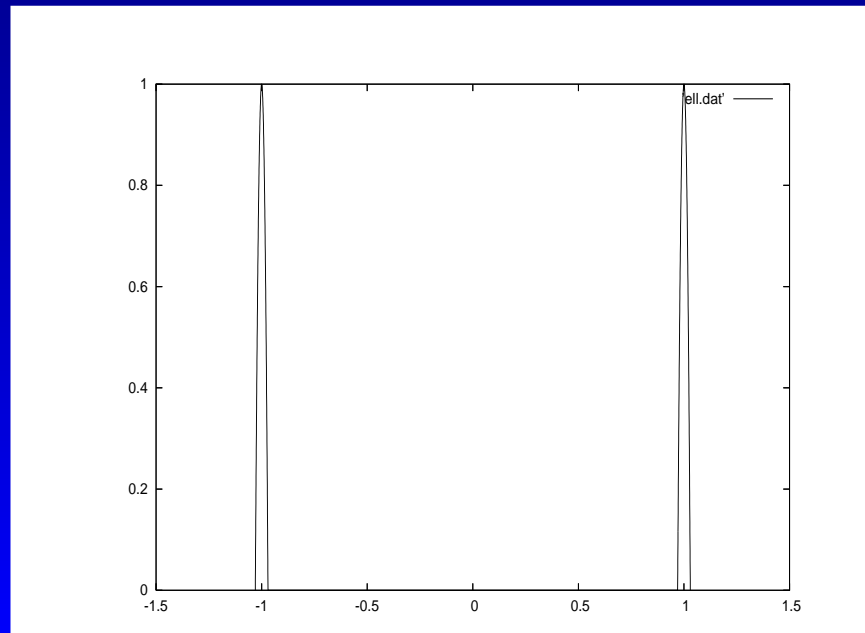
U=Coulomb interaction between two 1s electrons

# Atomic limit: $D=0$

$$H = U \sum_i n_{i\uparrow} n_{i\downarrow}$$

→ atomic eigenstates, localized in *real* space

Spectral function = discrete peaks separated by  $U$



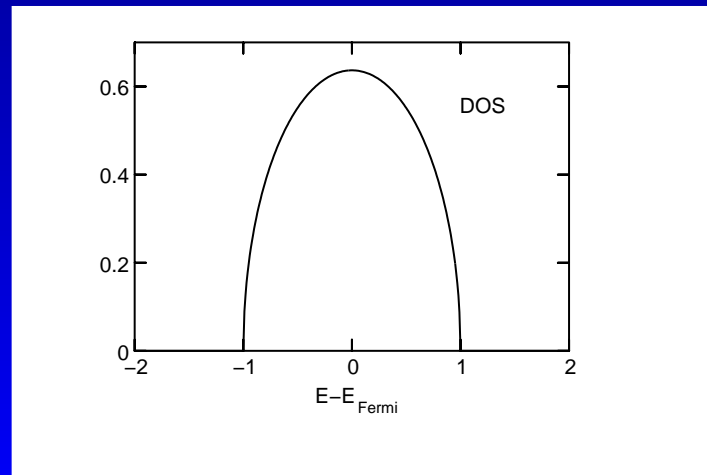


# Non-interacting limit: $U=0$

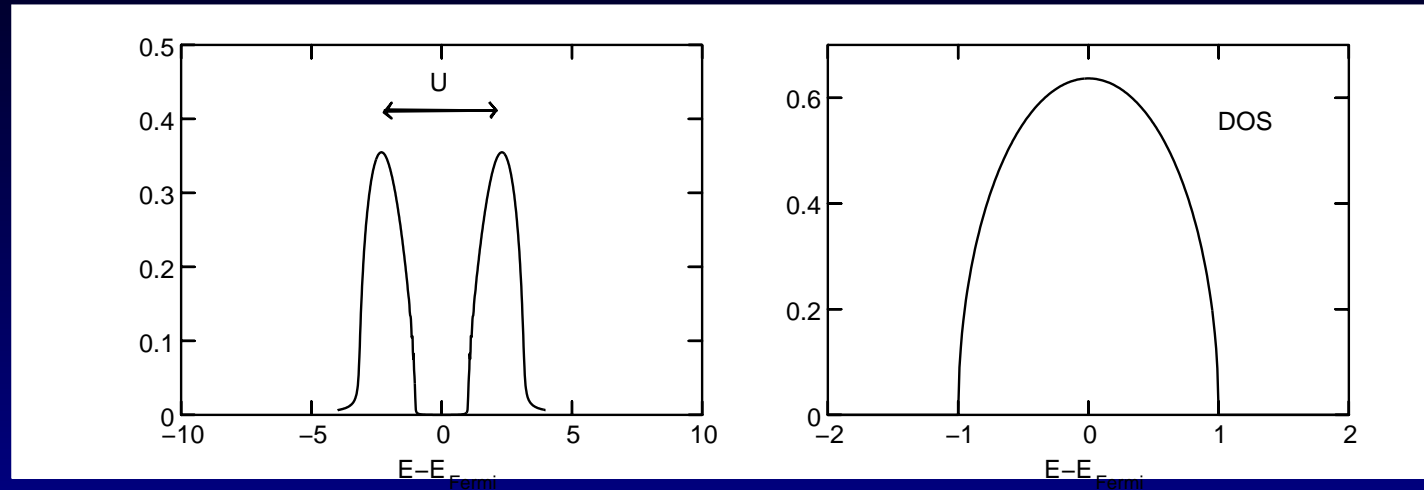
$$H = -\frac{D}{2} \sum_{\langle ij \rangle \sigma} \left( c_{i\sigma}^\dagger c_{j\sigma} + c_{j\sigma}^\dagger c_{i\sigma} \right) = \sum_{k\sigma} \epsilon_k c_{k\sigma}^\dagger c_{k\sigma}$$

with e.g.  $\epsilon_k = -D[\cos(k_x) + \cos(k_y) + \cos(k_z)]$  on a 3D square lattice (lattice constant 1) with nearest neighbor hopping.

Spectral function = non-interacting DOS



# “Atomic” and “band-like” spectra



“Spectral function”  $\rho(\omega)$  probes possibility of adding/removing an electron at energy  $\omega$ .

In non-interacting case:  $\rho(\omega) = \text{DOS}$ .

In general case: relaxation effects!

In “atomic limit”: probe local Coulomb interaction

# Hubbard model within DMFT<sup>(\*)</sup>

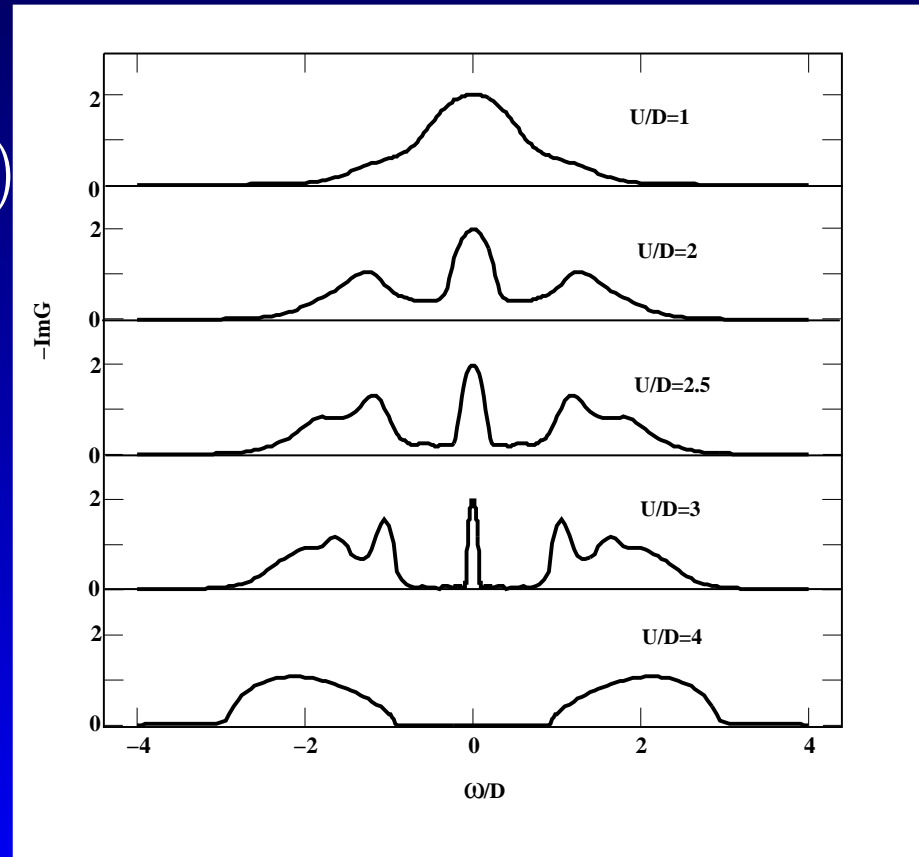
$$H = -\frac{D}{2} \sum_{\langle ij \rangle \sigma} \left( c_{i\sigma}^\dagger c_{j\sigma} + c_{j\sigma}^\dagger c_{i\sigma} \right) + U \sum_i n_{i\uparrow} n_{i\downarrow}$$

(Hubbard, 1963)

$\rho(\omega)$

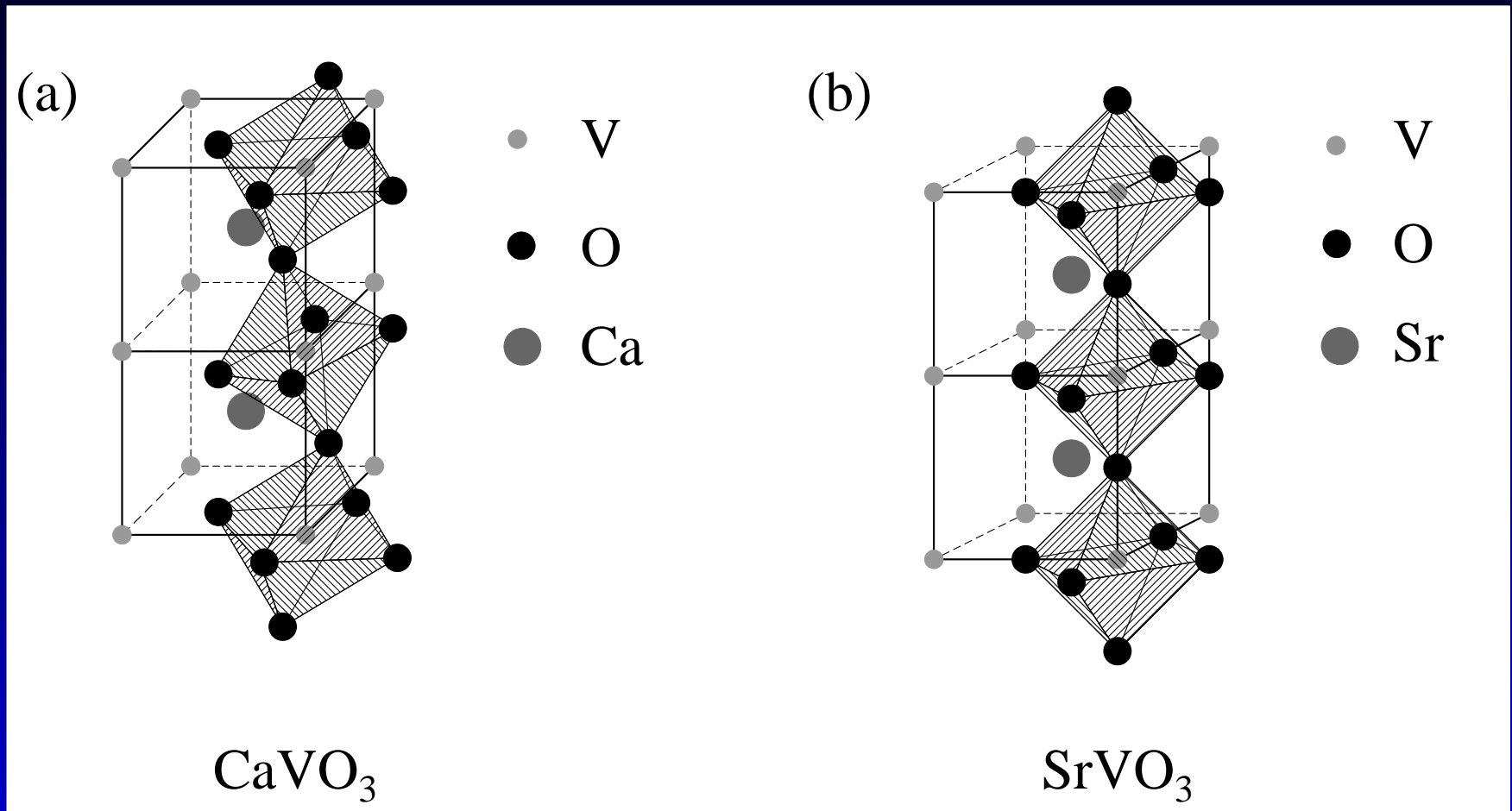
Quasi-particle peak  
Hubbard bands

Georges & Kotliar 1992



(\*) DMFT = Dynamical Mean Field Theory, paramagnetic solution

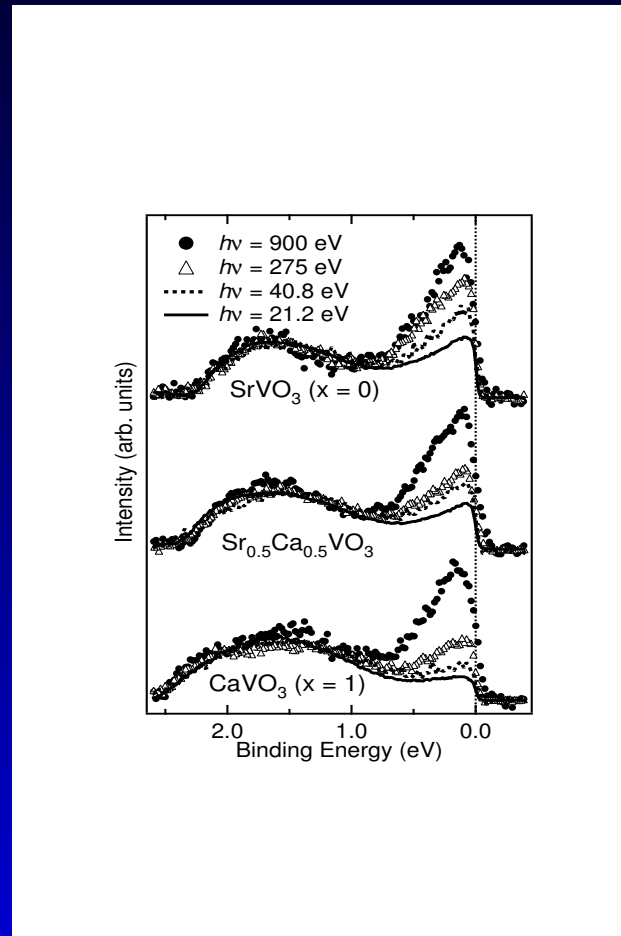
# Once more: SrVO<sub>3</sub>



SrVO<sub>3</sub>: cubic perovskite

# Spectra of perovskites

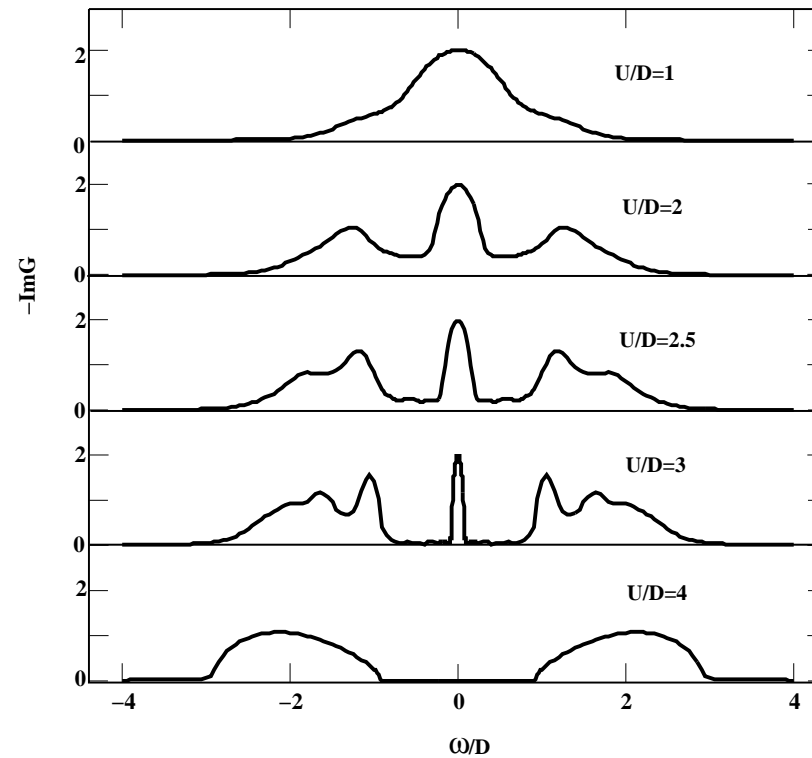
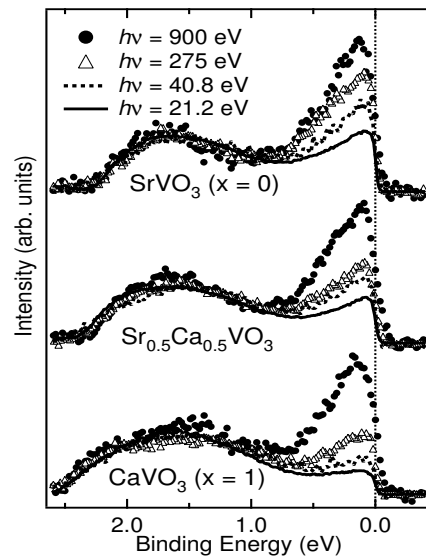
## Photoemission



(Sekiyama et al. 2003)

# Spectra of perovskites

## Photoemission



(Sekiyama et al. 2003)

# Green's function – survival kit

$$\rho(\omega) = -\frac{1}{\pi} \Im G_{ii}(\omega)$$

Definition of Green's function:

$$G_{ij}(t) = -\langle \hat{T} c_i(t) c_j^\dagger(0) \rangle$$

Quasi-particles are poles of

$$G(k, \omega) = \frac{1}{\omega + \mu - \epsilon_o(k) - \Sigma(k, \omega)}$$

All correlations are hidden in the *self-energy*:

$$\Sigma(k, \omega) = G_0^{-1}(k, \omega) - G^{-1}(k, \omega)$$

# Hubbard model within DMFT<sup>(\*)</sup>

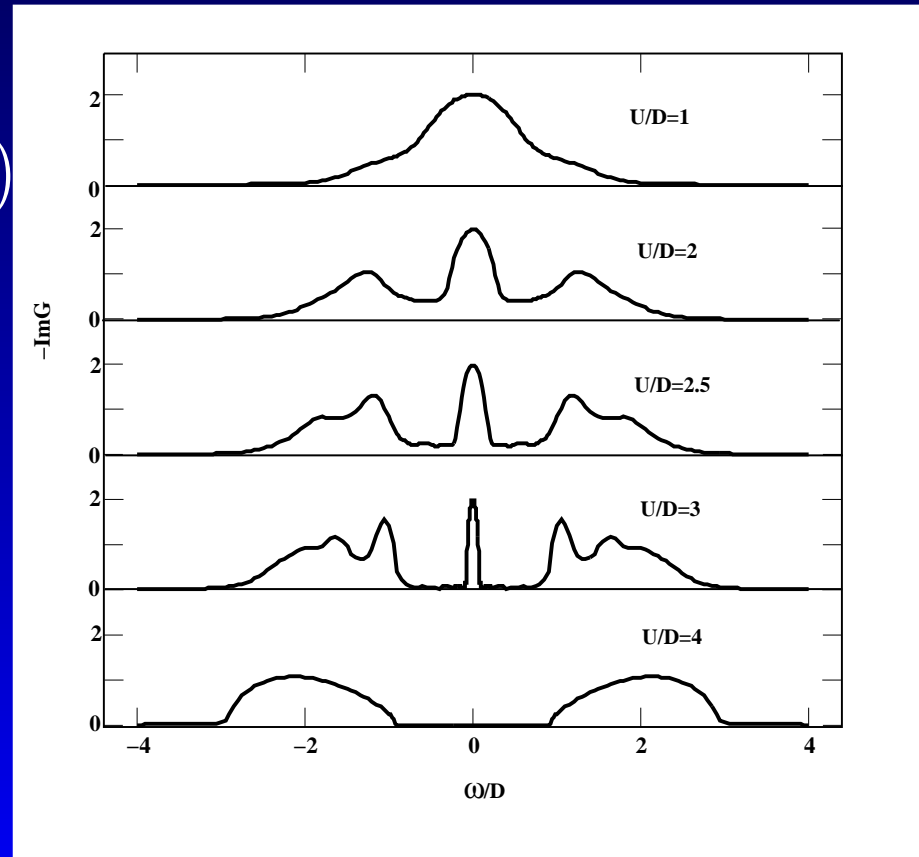
$$H = -\frac{D}{2} \sum_{\langle ij \rangle \sigma} \left( c_{i\sigma}^\dagger c_{j\sigma} + c_{j\sigma}^\dagger c_{i\sigma} \right) + U \sum_i n_{i\uparrow} n_{i\downarrow}$$

(Hubbard, 1963)

$\rho(\omega)$

Quasi-particle peak  
Hubbard bands

Georges & Kotliar 1992



(\*) DMFT = Dynamical Mean Field Theory, paramagnetic solution



# Spectral function

Quasi-particle lifetime ( $\sim 1/\Sigma''(\omega = 0)$ ) vanishes!  
→ Opening of a gap at the Fermi level  $\omega = 0$

$$\begin{aligned} A(k, \omega) &= \text{Im}G(k, \omega) \\ &= \text{Im} \frac{1}{\omega + \mu - \epsilon_o(k) - \Sigma(k, \omega)} \\ &= -\frac{1}{\pi} \frac{\Sigma''(k, \omega)}{(\omega + \mu - \epsilon_o(k) - \Sigma'(k, \omega))^2 + \Sigma''(k, \omega)^2} \end{aligned}$$

Here: self-energy purely local. Then:

$$A(k, \omega) = -\frac{1}{\pi} \frac{\Sigma''(\omega)}{(\omega + \mu - \epsilon_o(k)\Sigma'(\omega))^2 + \Sigma''(\omega)^2}$$

→  $\Sigma''(\omega) =$  inverse lifetime of excitation

# In a Fermi liquid:

(local self-energy, for simplicity ...):

$$\text{Im}\Sigma(\omega) = -\Gamma\omega^2 + O(\omega^3)$$

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

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

For small  $\text{Im} \Sigma$  (i.e. well-defined quasi-particles):  
Lorentzian of width  $Z\text{Im} \Sigma$ ,  
poles at renormalized quasi-particle bands  $Z\epsilon_0(k)$ ,  
weight  $Z$  (instead of 1 in non-interacting case)

# Hubbard model within DMFT<sup>(\*)</sup>

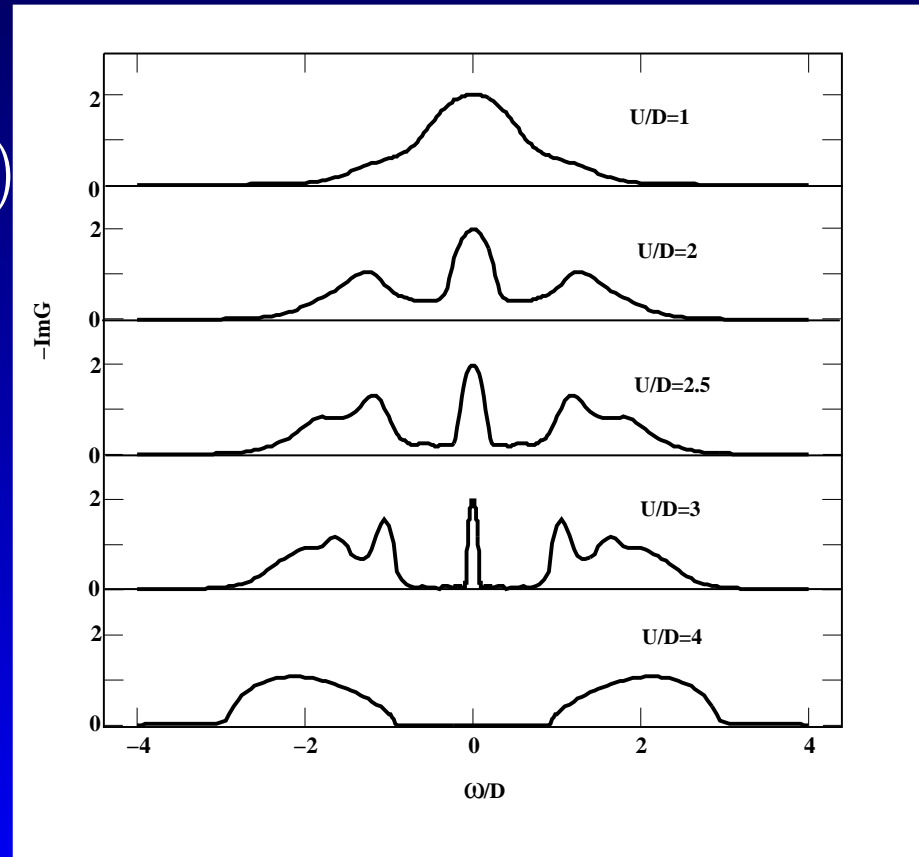
$$H = -\frac{D}{2} \sum_{\langle ij \rangle \sigma} \left( c_{i\sigma}^\dagger c_{j\sigma} + c_{j\sigma}^\dagger c_{i\sigma} \right) + U \sum_i n_{i\uparrow} n_{i\downarrow}$$

(Hubbard, 1963)

$\rho(\omega)$

Quasi-particle peak  
Hubbard bands

Georges & Kotliar 1992



(\*) DMFT = Dynamical Mean Field Theory, paramagnetic solution



# What's ...

... **Dynamical Mean Field Theory (DMFT)?**

# What's a mean field theory?

# What's a mean field theory?

Example of the Ising Model:

$$H = -J \sum_{ij} S_i^z S_j^z \quad (3)$$

Mean field theory: map onto single-spin problem in an effective field

$$H = -\mu_B B_{eff} S_o^z \quad (4)$$

with a self-consistency condition restoring translational invariance

# What's a mean field theory?

Two ingredients:

1. Reference system: single site (or cluster of sites) in an effective mean field
2. Self-consistency condition relating the effective problem to the original one

# ... a *dynamical* mean field theory?

Two ingredients:

1. Reference system: single site (or cluster of sites) in an effective mean field

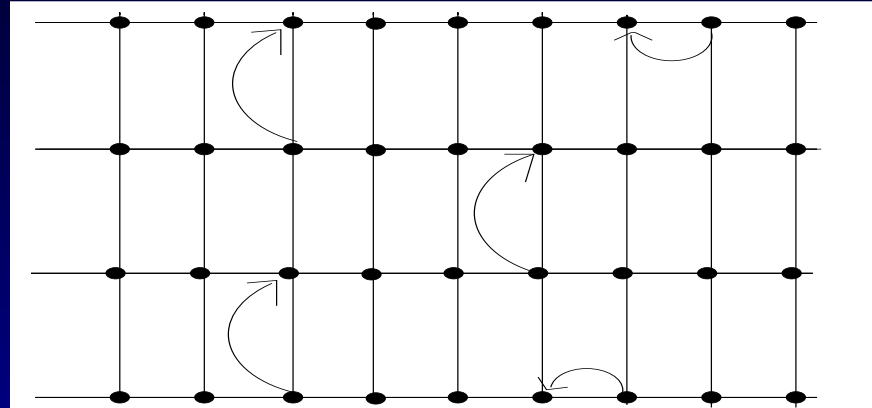
- Mean field can be **energy-dependent** ( $\rightarrow$  **dynamical**)
- Reference system can be **interacting**

2. Self-consistency condition relating the effective problem to the original one

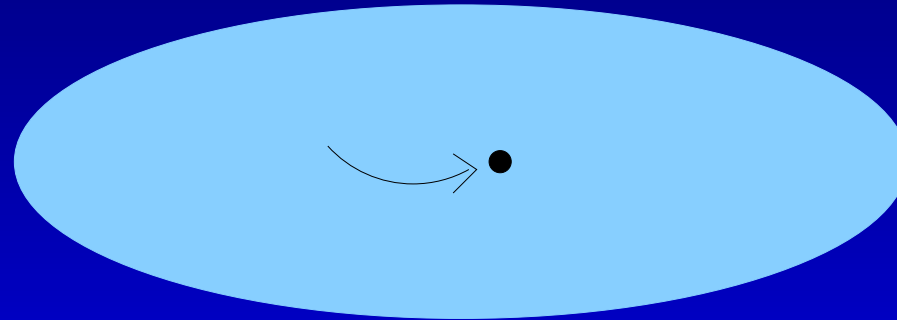


# Dynamical mean field theory ...

... maps a lattice problem



onto a single-site (Anderson impurity) problem



with a self-consistency condition

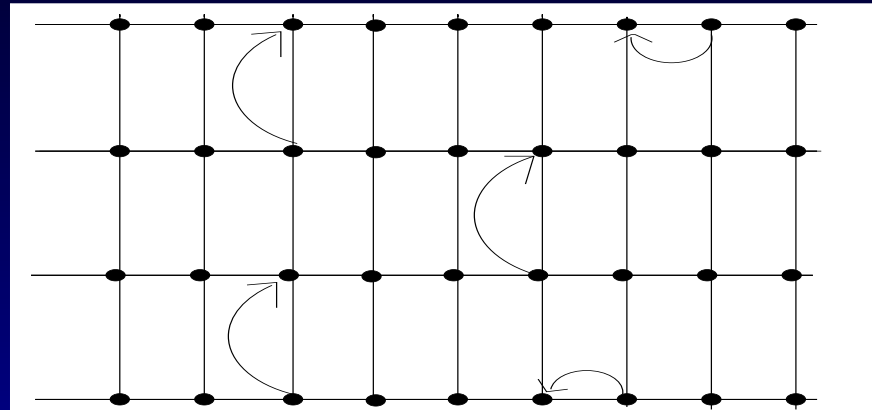
(for a review see Georges et al., Rev. Mod. Phys. 1996)

# Remarks

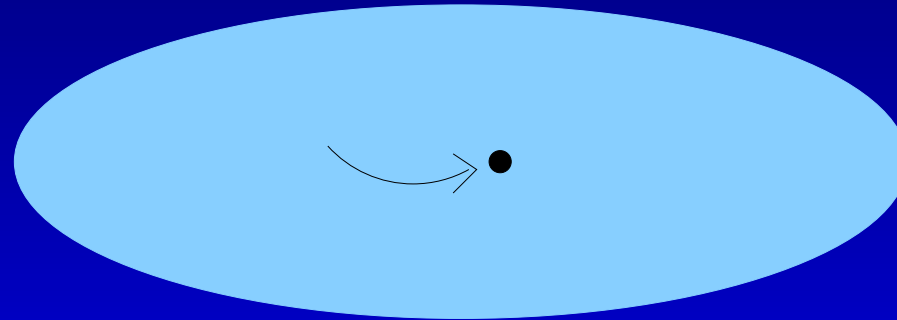
- Exact in the limit of infinite lattice coordination  
Metzner and Vollhardt, 1989
- In this limit, self-energy purely local  
Müller-Hartmann, 1989
- Local self-energy can be calculated from effective impurity model  
Georges, Kotliar, 1992
- Early work on lattice models (Andersen, Falicov-Kimbal)  
Brandt, Mielsch, Grewe, Keiter ...
- Non-local extensions (“cluster impurity models”)  
Lichtenstein, Jarrell, Kotliar ...

# Dynamical mean field theory ...

... maps a lattice problem



onto a single-site (Anderson impurity) problem



with a self-consistency condition

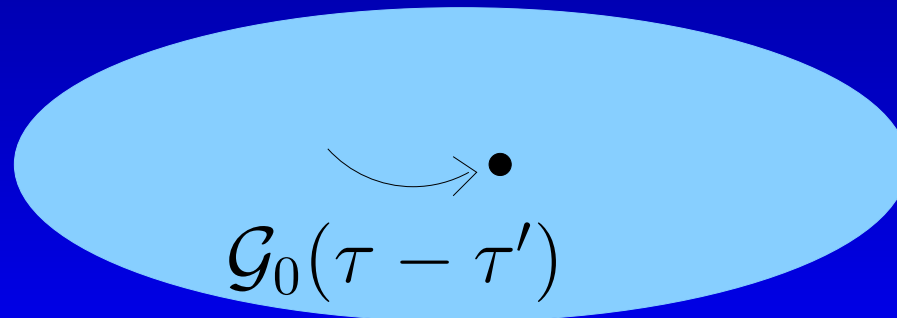
(see e.g. Georges et al., Rev. Mod. Phys. 1996)

# Effective dynamics ...

... for *single-site* problem

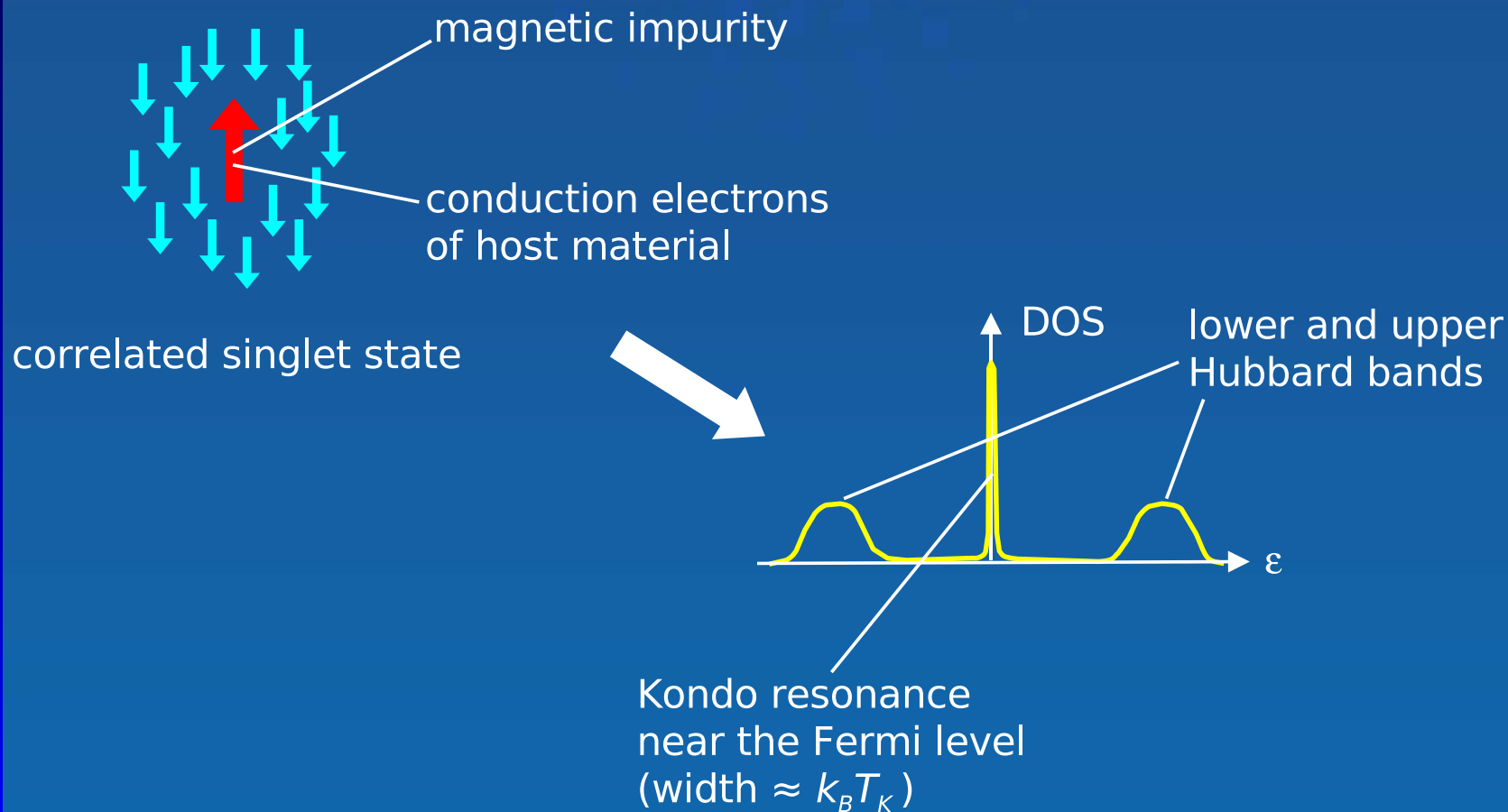
$$S_{eff} = - \int_0^\beta d\tau \int_0^\beta d\tau' \sum_{\sigma} c_{\sigma}^{\dagger}(\tau) \mathcal{G}_0^{-1}(\tau - \tau') c_{\sigma}(\tau')$$
$$+ U \int_0^\beta d\tau n_{\uparrow} n_{\downarrow}$$

with the dynamical mean field  $\mathcal{G}_0^{-1}(\tau - \tau')$



# Déjà vu !

## probing magnetic interactions by means of the Kondo effect



# DMFT (contd.)

Green's function:

$$G_{imp}(\tau) = -\langle \hat{T} c(\tau) c^\dagger(0) \rangle$$

Self-energy (k-independent):

$$\Sigma_{imp}(\omega) = \mathcal{G}_0^{-1}(\omega) - G_{imp}^{-1}(\omega)$$

DMFT assumption :

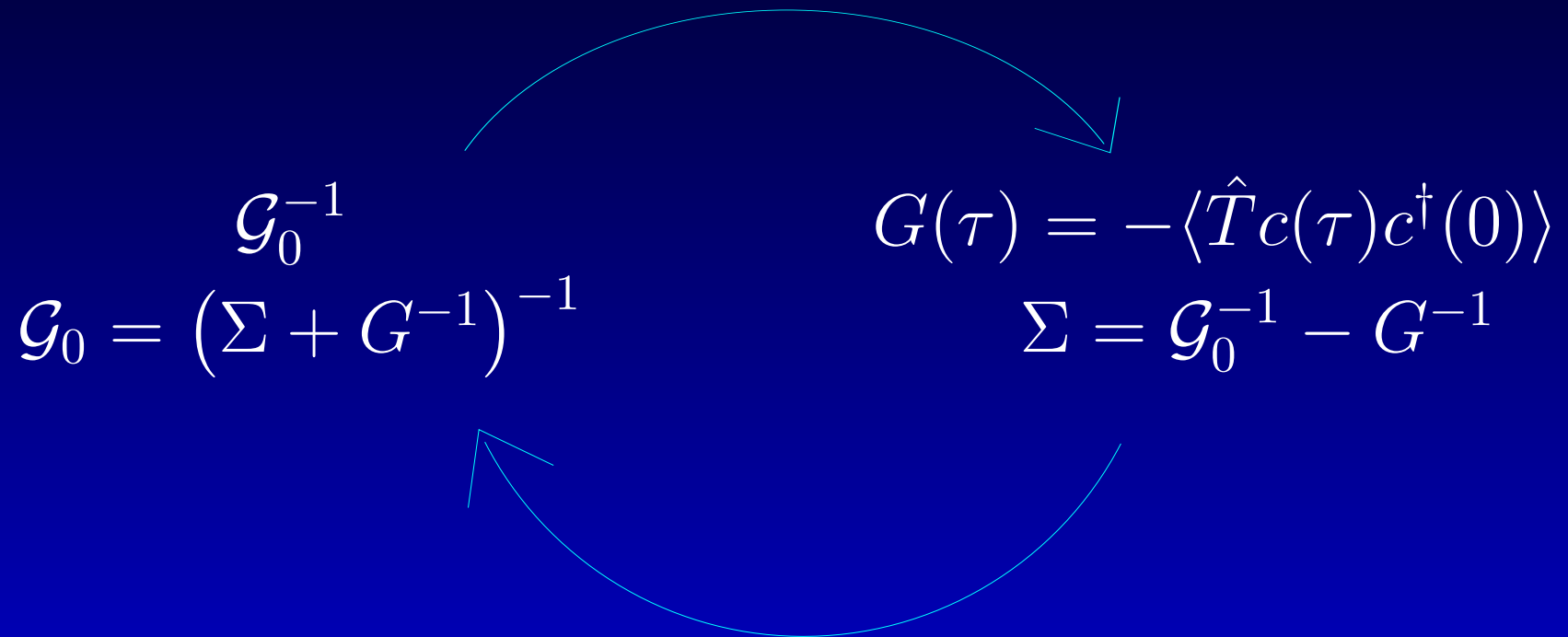
$$\Sigma_{imp} = \Sigma^{lattice}$$

$$G_{imp} = G_{local}^{lattice}$$

→ Self-consistency condition for  $\mathcal{G}_0^{-1}$

# The DMFT self-consistency cycle

## Anderson impurity model solver

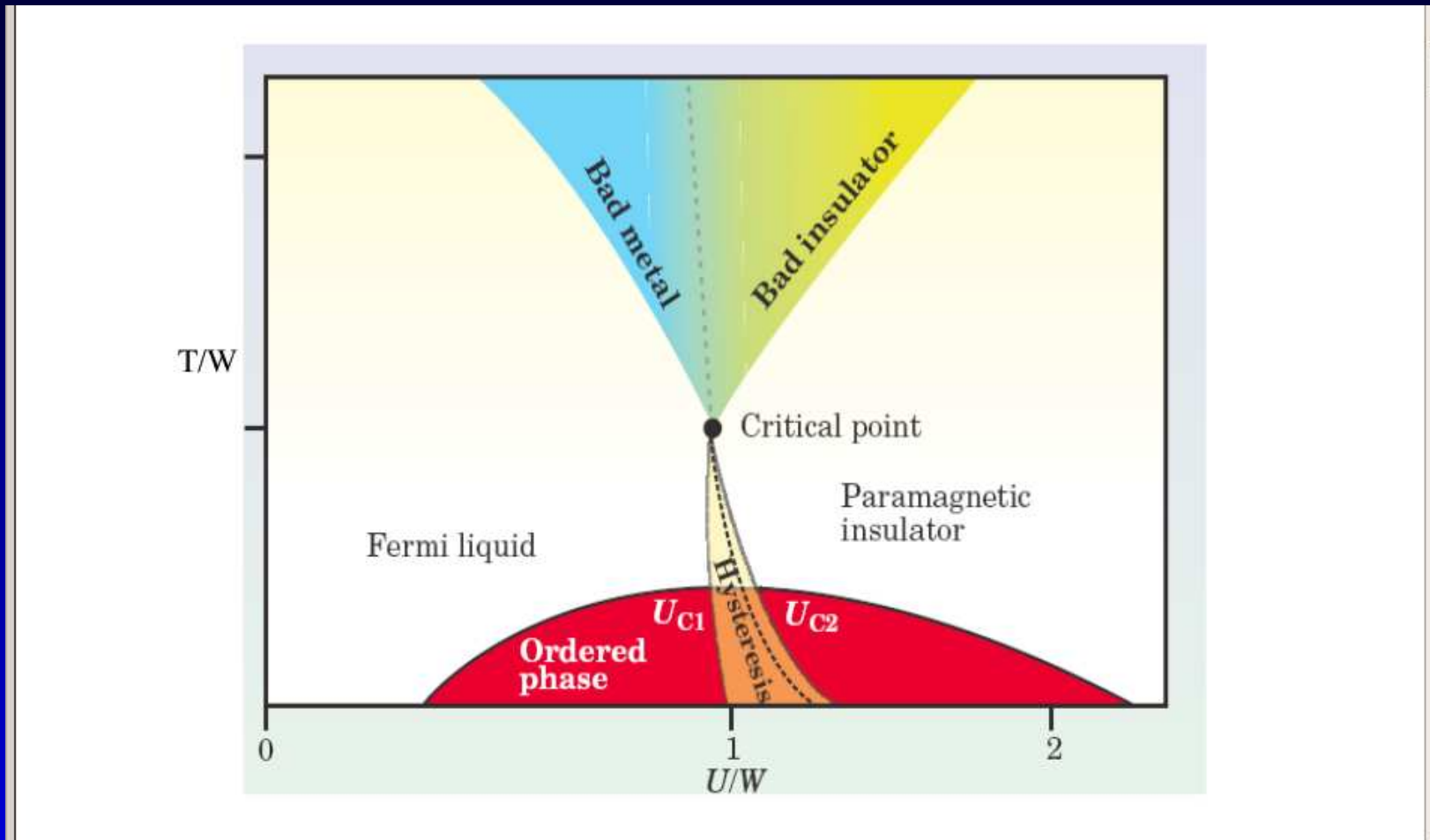


### Self-consistency condition:

$$G(\omega) = \sum_k \frac{1}{\omega + \mu - \epsilon_k - \Sigma(\omega)}$$

# Hubbard model – again

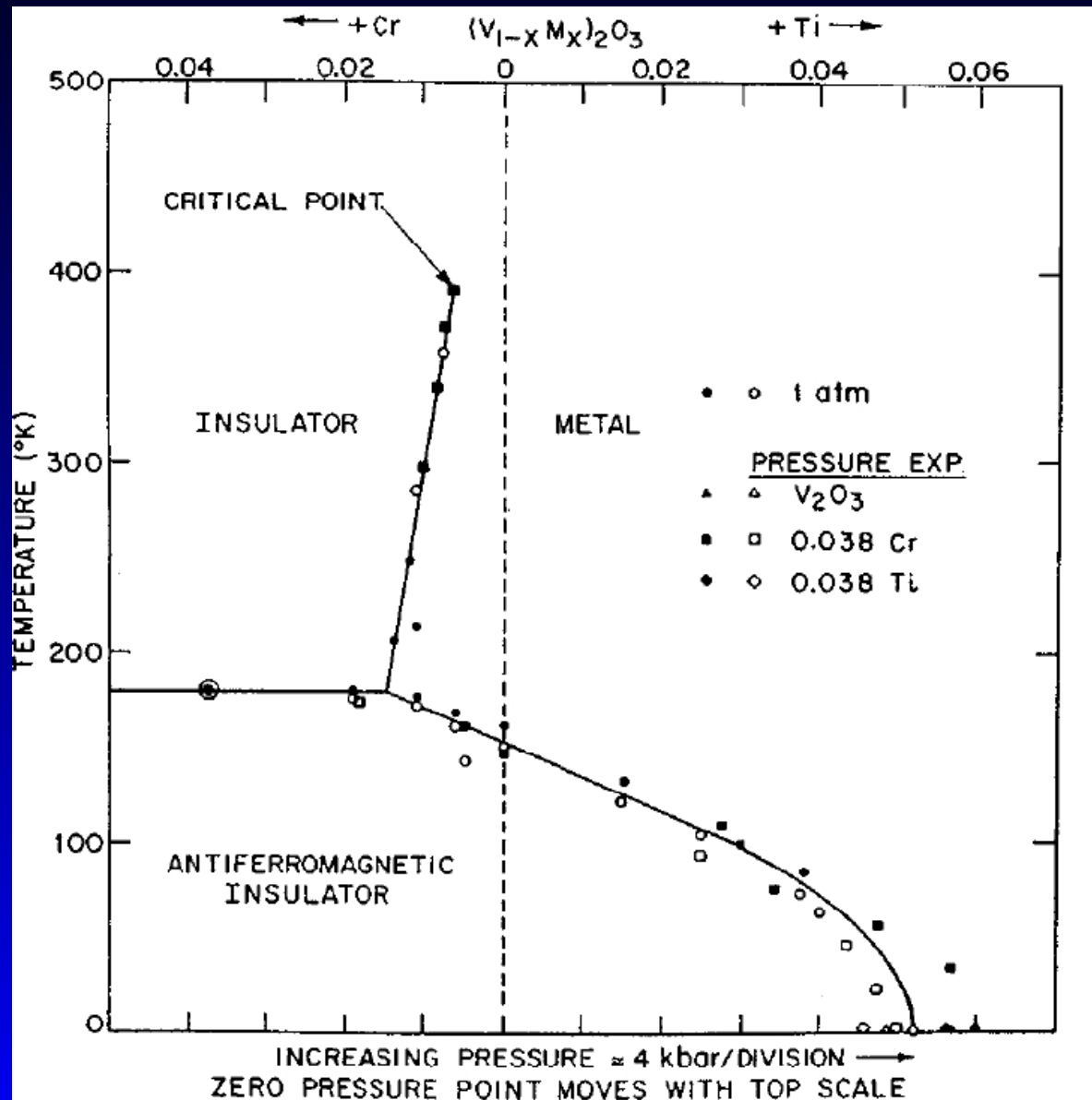
Phase diagram of half-filled model within DMFT:



First order metal-insulator transition (ending in 2nd order critical points)



# Real materials ... : $V_2O_3$



# Wanted: ...

... materials-specific calculations

# Nobel Price in Chemistry, 1998



## Nobel Lecture: Electronic structure of matter—wave functions and density functionals<sup>†</sup>

W. Kohn

Department of Physics, University of California, Santa Barbara, California 93106

[9801 30309303 X]

### CONTENTS

I. Introduction	1255
II. Schrödinger Wave Function—Four years after 1927	1255
A. Independent electrons—the Hartree ansatz	1256
B. Many electrons—many-body wave function and wall	1257
C. Spin and physical orbital wavefunctions	1257
III. Determination: Theory—Hohenberg	1261
IV. The Hohenberg-Kohn formulation of Density Theory Theory	1269
A. The basic of the variational principle	1269
B. The Hohenberg-Kohn second principle	1270
C. The fundamental non-vanishing theorem	1270
V. Applications to the Schrödinger Method and to Physical Science	1272
A. The local density approximation (LDA)	1272
B. Beyond the local density approximation	1273
C. Time-dependent Green's function approaches	1274
D. Time-dependent	1274
E. Applications	1275
VII. Concluding Remarks by Astumian	1280

### I. INTRODUCTION

The citation for my share of the 1998 Nobel Prize in Chemistry refers to the "development of the density-functional theory." The initial work on Density Functional Theory (DFT) was reported in two papers, first the first with Pierre Hohenberg (Hohenberg and Kohn, 1964) and the next with Lu J. Sham (Kohn and Sham, 1965). This was almost 40 years after L. Schrodinger (1926) published his first systematic paper marking the beginning of wave mechanics. The Thomas-Fermi theory, the most elementary form of DFT, was put forward shortly afterwards (Thomas, 1927; Thomas, 1927) and received only modest attention.

There is no need here for his story of how Schrödinger's equation for the electronic wave function  $\Psi$  had been put forward and spectacularly validated for small systems like  $\text{He}$  and  $\text{H}_2$ . P. M. Dirac did it and the chemistry had come to an end. Its content was suitably contained in their seminal equation 100 but, as is said to have added, that in almost all cases, the equation was too hard to solve to allow solutions.

<sup>†</sup>The 1998 Nobel Prize in Chemistry was shared by W. Kohn and John A. Pople. The lecture is the first of the two Kohn addresses at the occasion of the award.

In the intervening more than six decades entire progress has been made in finding approximations to  $\Psi$  or Schrödinger's wave equation for systems with several electrons, distinctively aided by modern mathematics and physics. The understanding and limitations of my Nobel Prize winner John Pople are in this area. The main obstacle of the recent massive file is electronic DFT, which in a technical context is the theory of electronic structure, in which the electron density distribution  $n(\mathbf{r})$  rather than  $\Psi$  is the fundamental wave function, playing central roles. I feel that it would be useful to do this comparative context; hence the wording "Wave Functions and Density Functionals" in the title.

In my view DFT makes two kinds of contribution: the solution of the finite and infinite systems, including the electronic structure of molecules and condensed matter.

The first is in the area of finite-molecule and condensed matter physics. Theoretical chemists and physicists, following the path of the Schrödinger equation, have become accustomed to the  $\Psi$  in terms of a truncated *Hilbert space of the particle orbitals*. The theoretical advances achieved this way are in the truthfulness of this process. However, when high accuracy is required, as in later computations are required (in some calculations to  $10^{-10}$ ) that computation becomes difficult. It provides a complementary perspective. It focuses attention in the real, three-dimensional real space, principally on the electron density  $n(\mathbf{r})$ . Of quantities of great interest are the exchange correlation density  $n(\mathbf{r})$  which describes the probability of finding the other electron at the point  $\mathbf{r}'$  and the linear square function  $g(\mathbf{r}, \mathbf{r}')$ , which case, on the electron density at the point  $\mathbf{r}'$  is a nontrivial part of the point  $\mathbf{r}'$ , with frequency as these quantities are physical, independent of representation, and are visually clear for any  $n(\mathbf{r})$  systems. Their understanding provides a complementary and complementary sight into the nature of many-body systems.

The second contribution is in the field of finite-molecule wave function methods when applied to systems of many particles, ones that why. For example, the essential wall when the number of atoms  $N$  exceeds critical value while the current is in the neighborhood  $\sim 10^4$ .  $R(\mathbf{r})$  is within a factor of about 2 for a system with octahedral symmetry. A major improvement in the analytical and computational aspects of these methods at present times will lead to only a modest increase in. Consequently problems requiring the simultaneous

# The density

as a basic variable:

Given a many-body wave function

$$\Psi(r_1, r_2, \dots, r_N) \quad (5)$$

the electronic density is given by

$$n(r) = N \int |\Psi(r, r_2, \dots, r_N)|^2 dr_2 \dots dr_N \quad (6)$$

# The Hohenberg-Kohn Theorem

The ground state density  $n(\mathbf{r})$  of a bound system of interacting electrons in some external potential  $v(\mathbf{r})$  determines this potential uniquely (up to a constant).

Remarks:

- In the case of a degenerate ground state: *any* ground state density
- Proof uses Rayleigh-Ritz variational principle: see Noble lecture in Rev. Mod. Phys. by W. Kohn or do it as an exercise!

# Interpretation

Two different external potentials, say  $v_{Cu}(r)$  and  $v_{Ni}(r)$ , cannot have the same ground state density.  
→ One-to-one-correspondance between the external potential and the ground state density:

$$v(\mathbf{r}) \leftrightarrow n(\mathbf{r})$$

Since  $v(\mathbf{r})$  determines the Hamiltonian:  
Ground state properties of an interacting many-electron system are *functionals of the density only*.

# Density functional theory

Variational principle:

Define the universal functional

$$F[n] = \min_{\Psi \rightarrow n} \langle \Psi | T + V_{ee} | \Psi \rangle \quad (7)$$

Hohenberg-Kohn variational principle:

$$E[n] = F[n] + \int dr V_{ext}(r)n(r) \geq E_0 \quad (8)$$

$$F[n_0] + \int dr V_{ext}(r)n_0(r) = E_0 \quad (9)$$

where  $n_0$  is the exact ground state density.

# Why is this useful?

Energy = functional of the density  $n(r)$ :

$$E[n(r)] = T_0[n(r)] + E_{external}[n(r)] + E_{Hartree}[n(r)] + E_{xc}[n(r)]$$

$T_0[n(r)]$  = kinetic energy of a **non-interacting reference system** (“Kohn-Sham system”) of density  $n(r)$

Schrödinger equation for the reference system (“Kohn-Sham equation”):  $(-\frac{1}{2}\Delta + v_{eff}) \phi_l(r) = \epsilon_l \phi_l(r)$

“Kohn-Sham orbitals”  $\phi_l$  parametrize the density:

$$\sum_{occ} |\phi_l(r)|^2 = n(r)$$

(Hohenberg & Kohn (1964), Kohn & Sham (1965))



Approximations for  $E_{xc}$  required, e.g. the “local density approximation” (LDA):

$$E_{xc}^{LDA}[n(r)] = \int dr n(r) \epsilon_{xc}^{HEG}(n(r))$$

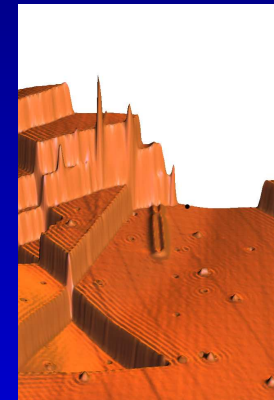
(Hohenberg & Kohn (1964), Kohn & Sham (1965))

# Density Functional Theory ...

... within the local density approximation (LDA)

→ most commonly used method in modern electronic structure calculations

- Band structures, densities of states, spectral properties
- Total energy calculations
- Phonons
- Magnetic exchange constants
- used within Molecular Dynamics
- ...



# Density functional theory ...

... achieves a mapping onto a separable system (mapping of interacting system onto non-interacting system of the same density *in an effective potential*) for the ground state.

- effective potential unknown => local density approximation
- strictly speaking: not for excited states

In practice (and with the above caveats):  
*DFT-LDA can be viewed as a specific choice for one-particle (band) theory*

# The N particle problem ...

and its mean-field solution:

N-electron Schrödinger equation

$$\mathcal{H}_N \Psi(r_1, r_2, \dots, r_N) = E_N \Psi(r_1, r_2, \dots, r_N)$$

with

$$\mathcal{H}_N = H_N^{kinetic} + H_N^{external} + \frac{1}{2} \sum_{i \neq j} \frac{e^2}{|r_i - r_j|}$$

becomes separable in mean-field theory:

$$\mathcal{H}_N = \sum_i h_i$$

For example, using the Hartree(-Fock) mean field:

$$h_i = h_i^{kinetic} + h_i^{external} + e^2 \int dr \frac{n(r)}{|r_i - r|}$$

Solutions are Slater determinants of *one-particle* states, fulfilling

$$h_i \phi(r_i) = \epsilon \phi(r_i)$$

Bloch's theorem  $\Rightarrow$  use quantum numbers  $k, n$  for 1-particle states

1-particle energies  $\epsilon_{kn} \Rightarrow$  band structure of the solid

# Density functional theory ...

... achieves a mapping onto a separable system (mapping of interacting system onto non-interacting system of the same density *in an effective potential*) for the ground state.

However:

- effective potential unknown => local density approximation
- strictly speaking: not for excited states

In practice (and with the above caveats):

*DFT-LDA can be viewed as a specific choice for a mean field*

# Electronic Correlations

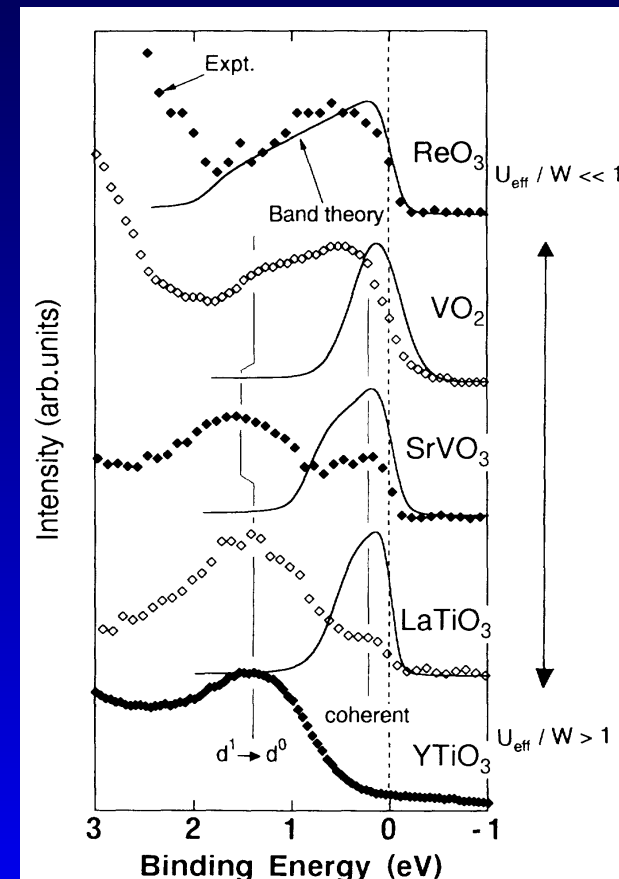
## General definition:

Electronic correlations are those effects of the interactions between electrons that cannot be described by a mean field.

## More specific definitions:

Electronic correlations are effects beyond

- ... Hartree(-Fock)
- ... DFT-LDA<sup>(\*)</sup>
- ... the “best possible” one-particle picture



# Two regimes of failures of LDA

1. “weak coupling”: moderate correlations, perturbative approaches work (e.g. “GW approximation”)
2. “strong coupling”: strong correlations, non-perturbative approaches needed (e.g dynamical mean field theory)

NB. Traditionally two communities, different techniques, but which in recent years have started to merge ...

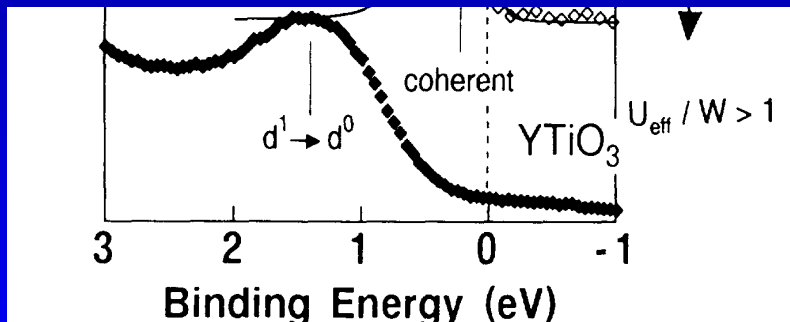
NB. Correlation effects can show up in some quantities more than in others!



# Problems of DFT-LDA...

- 30% error in volume of  $\delta$ -Pu by DFT-LDA<sup>(\*)</sup>
- $\alpha$ - $\gamma$  transition in Ce not described by LDA
- correlation effects in Ni, Fe, Mn ...
- LDA misses insulating phases of certain oxides ( $\text{VO}_2$ ,  $\text{V}_2\text{O}_3$ ,  $\text{LaTiO}_3$ ,  $\text{YTiO}_3$ ,  $\text{Ti}_2\text{O}_3$  ...)
- bad description of spectra of some metallic compounds ( $\text{SrVO}_3$ ,  $\text{CaVO}_3$  ...)

E.g. photoemission of  $\text{YTiO}_3$  :



# Realistic Approach to Correlations

Combine DMFT with band structure calculations  
(Anisimov et al. 1997, Lichtenstein et al. 1998)

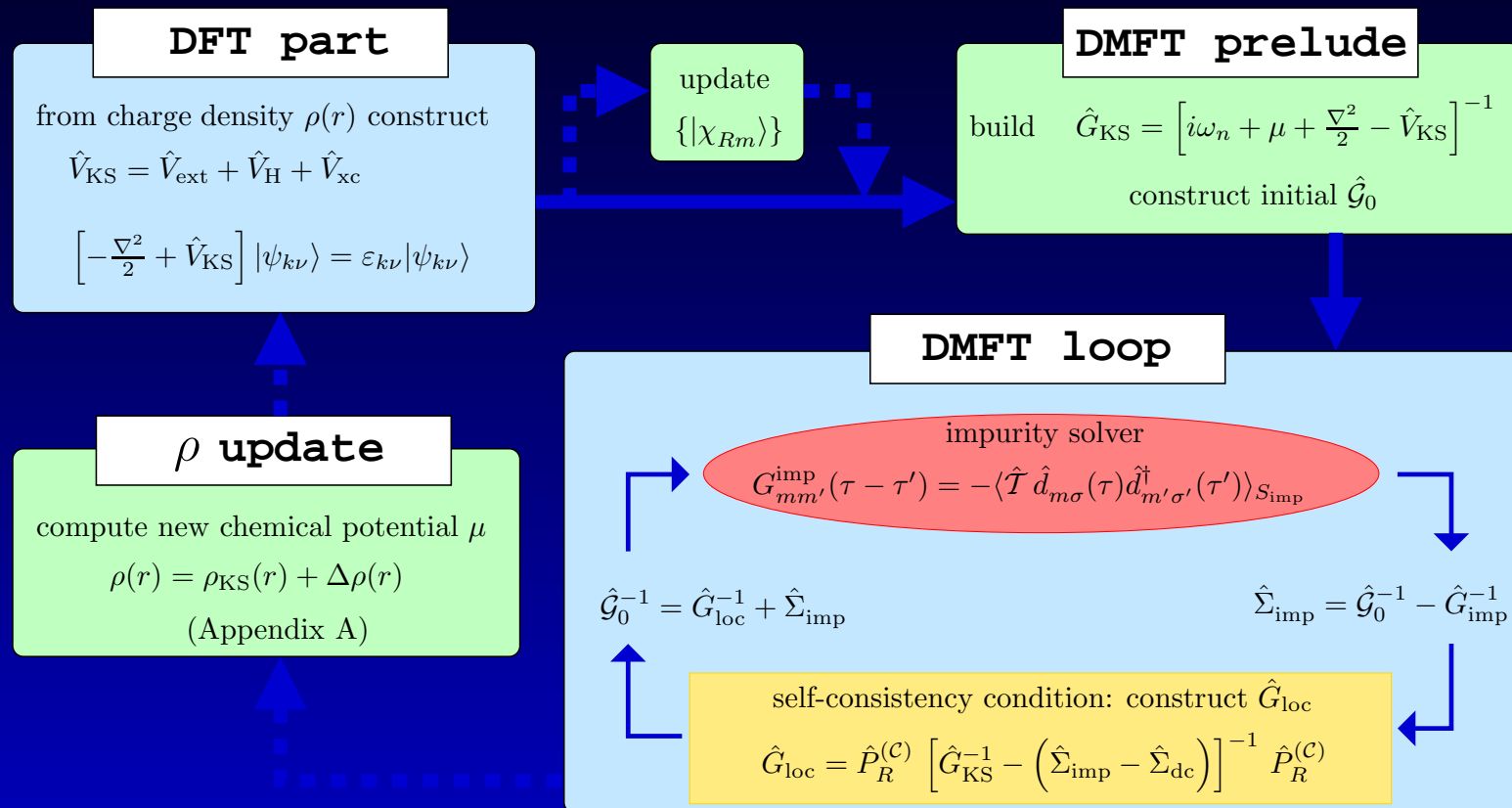
- effective one-particle Hamiltonian within LDA
- represent in localized basis
- add Hubbard interaction term for correlated orbitals
- solve within Dynamical Mean Field Theory

# LDA+DMFT

$$\begin{aligned} H &= \sum_{\{im\sigma\}} (H_{im,i'm'}^{LDA} - H_{im,i'm'}^{double\ counting}) a_{im\sigma}^+ a_{i'm'\sigma} \\ &+ \frac{1}{2} \sum_{imm'\sigma \text{ (correl. orb.)}} U_{mm'}^i n_{im\sigma} n_{im'-\sigma} \\ &+ \frac{1}{2} \sum_{im \neq m' \sigma \text{ (correl. orb.)}} (U_{mm'}^i - J_{mm'}^i) n_{im\sigma} n_{im'\sigma} \end{aligned}$$

→ solve withing DMFT

# LDA+DMFT – the full scheme



F. Lechermann, A. Georges, A. Poteryaev, S. B., M. Posternak, A. Yamasaki, O. K. Andersen,  
 Phys. Rev. B **74** 125120 (2006)

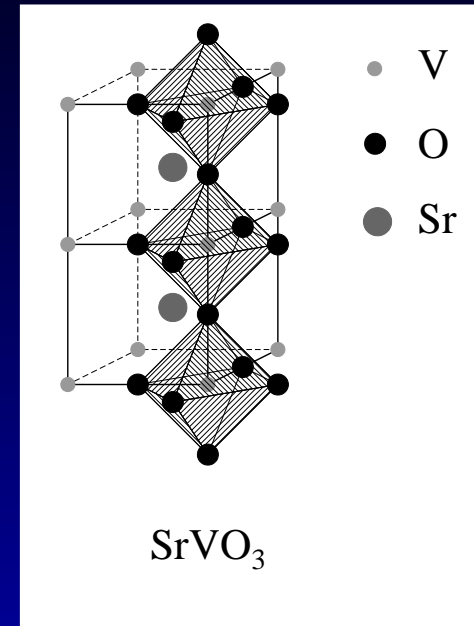
# Some examples

$\text{SrVO}_3$ : (correlated) metal

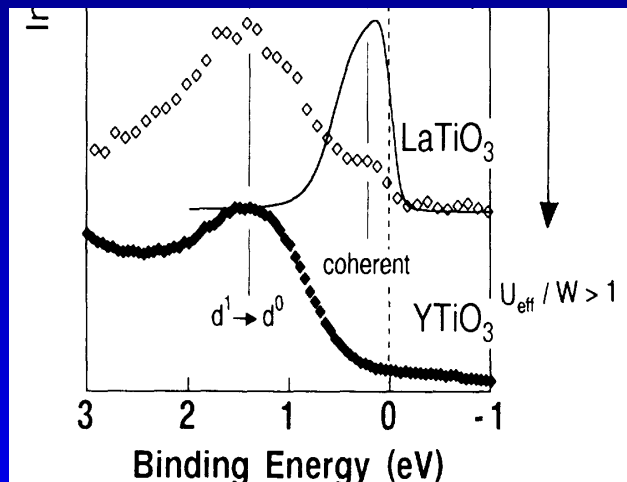
$\text{CaVO}_3$ : (correlated) metal

$\text{LaTiO}_3$ : at Mott transition

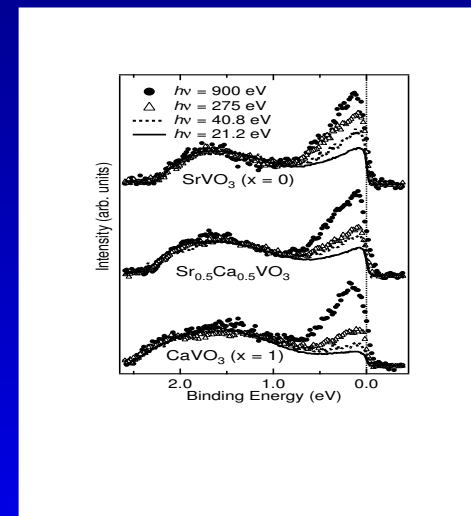
$\text{YTiO}_3$ : insulator



Photoemission spectra:

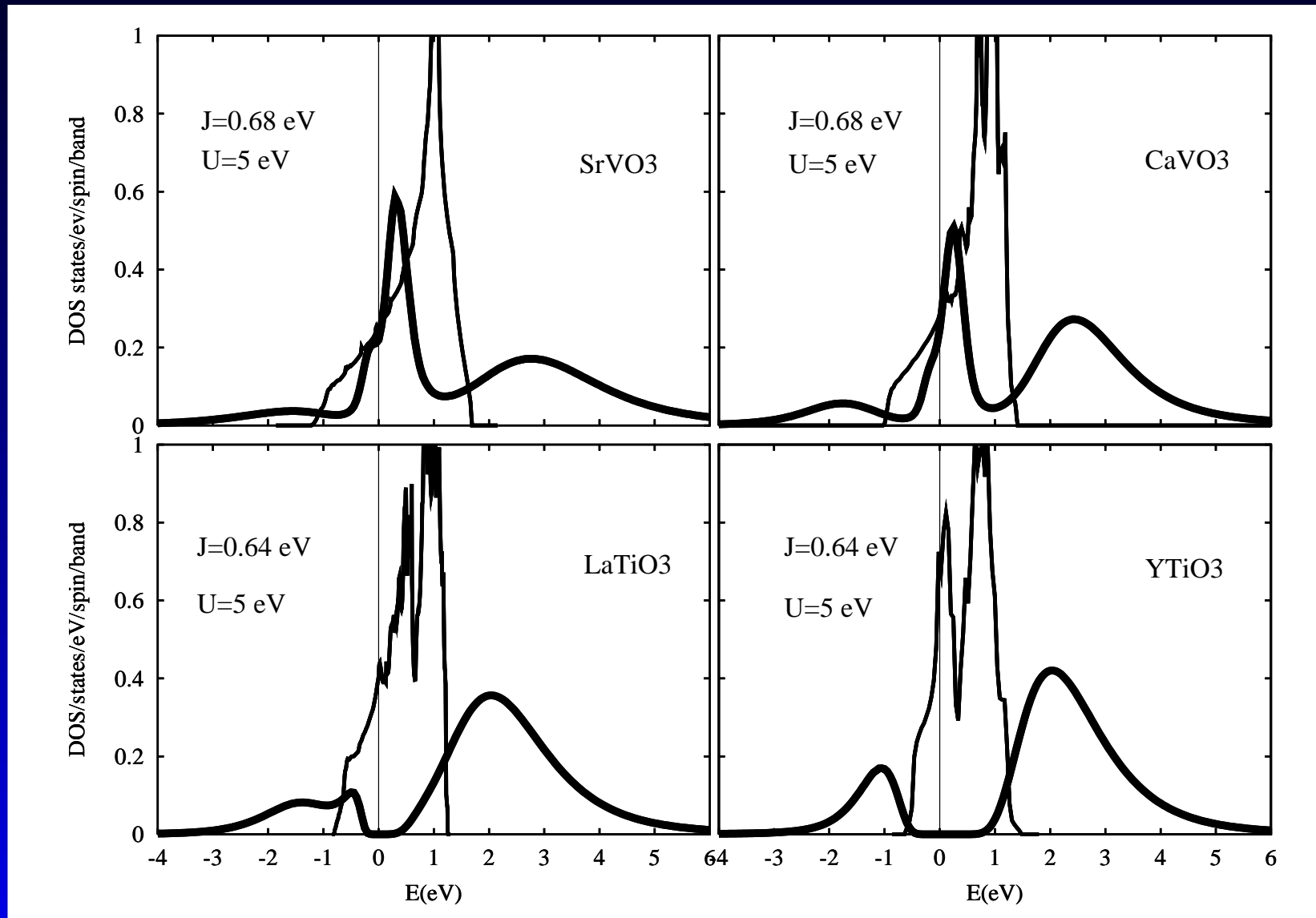


Fujimori et al. 1992



Sekiyama et al., 2002

# LDA+DMFT: spectra of perovskites

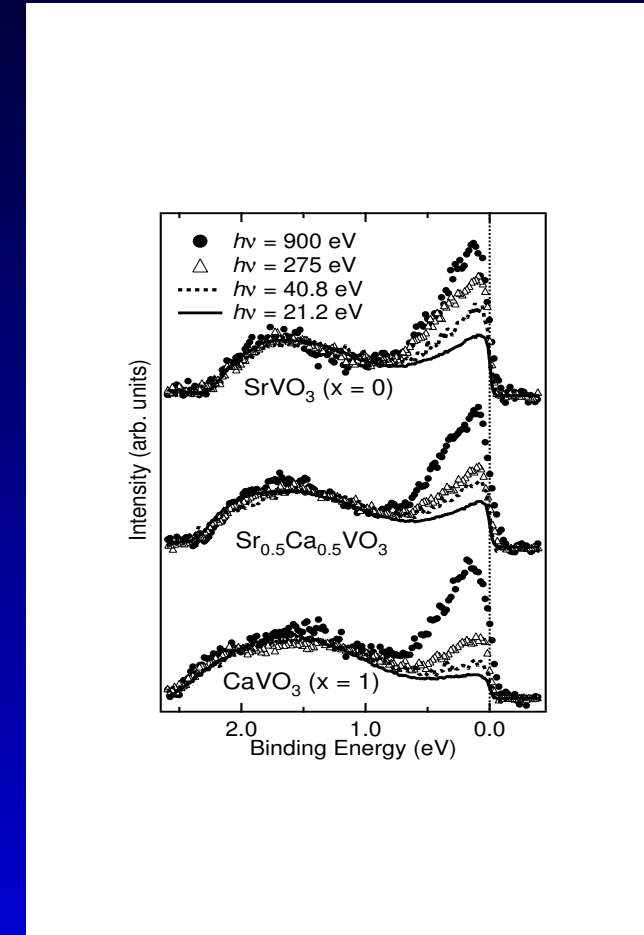
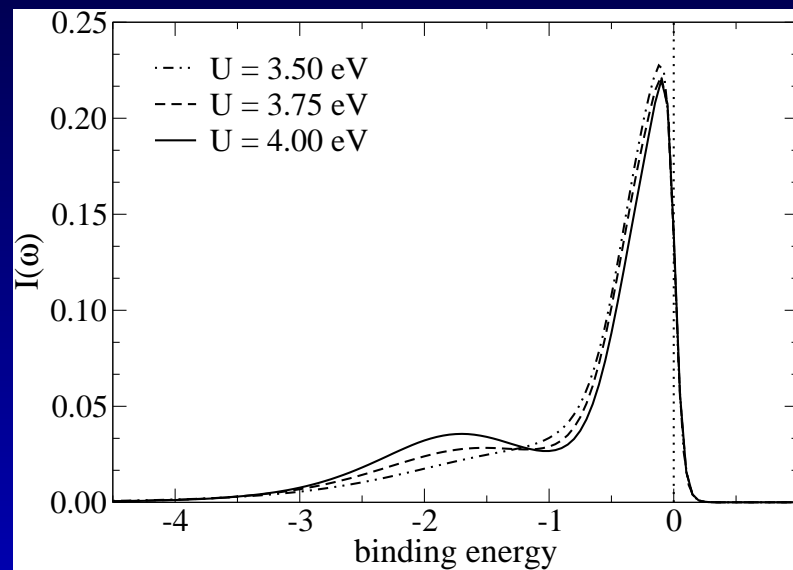


(E. Pavarini, S. B. et al., Phys. Rev. Lett. **92** 176403 (2004) )

# Spectra of perovskites

## Photoemission

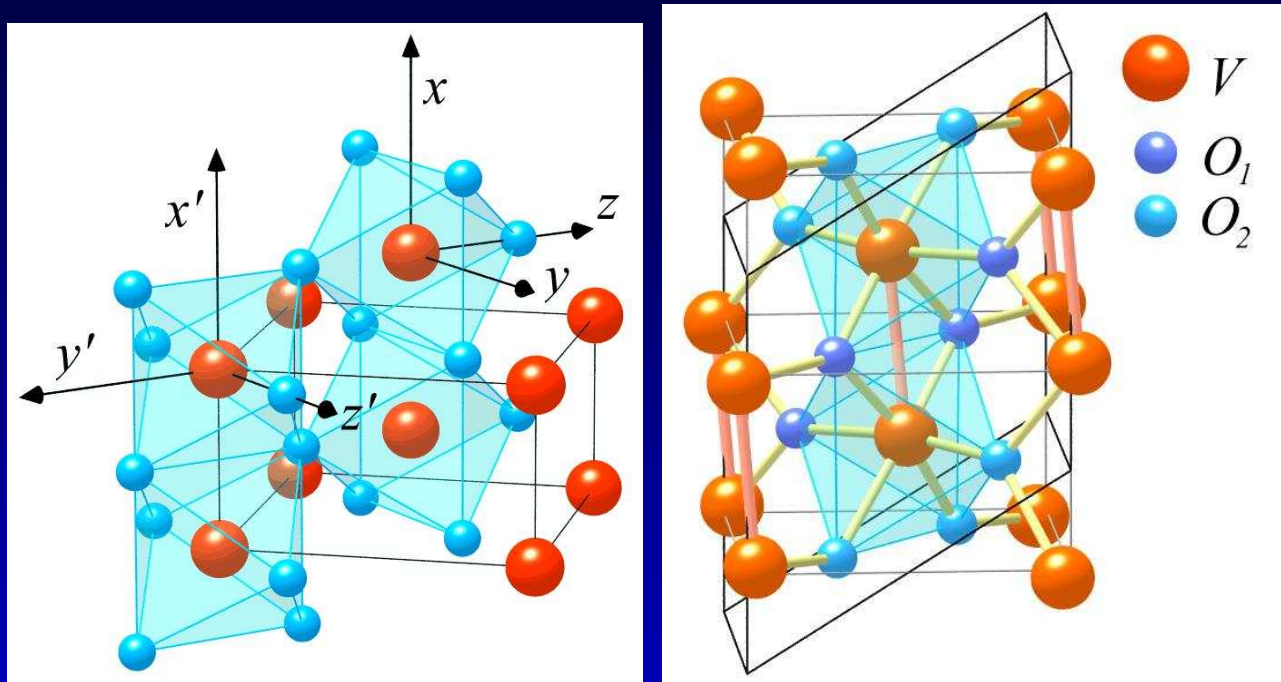
$\text{SrVO}_3$  LDA+DMFT



(see also Sekiyama et al. 2003,  
Lechermann et al. 2006)

# Vanadium dioxide: $\text{VO}_2$

Metal-insulator transition accompanied by dimerization of V atoms:





# VO<sub>2</sub>: Peierls or Mott ?

PHYSICAL REVIEW B

VOLUME 11, NUMBER 11

1 JUNE 1975

## Metal-insulator transition in vanadium dioxide\*

A. Zylbersztein

Laboratoire Central de Recherches, Thomson-C.S.F., 91401 Orsay, France

N. F. Mott

Cavendish Laboratory, University of Cambridge, Cambridge, England

(Received 27 November 1974)

VOLUME 35, NUMBER 13

PHYSICAL REVIEW LETTERS

29 SEPTEMBER 1975

### Electron Localization Induced by Uniaxial Stress in Pure VO<sub>2</sub>

J. P. Pouget and H. Launois

Laboratoire de Physique des Solides, Université Paris XI, 91405 Orsay, France

and

J. P. D'Haenens and P. Merenda

Laboratoire Central de Recherches, Thomson-CSF, 91401 Orsay, France

and

T. M. Rice

Bell Laboratories, Murray Hill, New Jersey 07974

(Received 7 August 1975)

VOLUME 72, NUMBER 21

PHYSICAL REVIEW LETTERS

23 MAY 1994

### VO<sub>2</sub>: Peierls or Mott-Hubbard? A View from Band Theory

Renata M. Wentzcovitch\*

Cavendish Laboratory, Madingley Road, Cambridge CB3 0HE, United Kingdom

Werner W. Schulz<sup>1</sup> and Philip B. Allen

Department of Physics, State University of New York at Stony Brook, Stony Brook, New York 11794-3800

(Received 24 November 1993)

The electronic and structural properties of VO<sub>2</sub> across its metal-insulator transition are studied using the local-density approximation. Band theory finds a monoclinic distorted ground state in good agreement with experiment, and an almost open gap to charge excitations. Although rigid criteria for distinguishing correlated from band insulators are not available, these findings suggest that VO<sub>2</sub> may be more bandlike than correlated.

PRL 97, 266401 (2006)

PHYSICAL REVIEW LETTERS

week ending  
31 DECEMBER 2006

### Evidence for a Mott-Hubbard metal-insulator transition in VO<sub>2</sub>

R. Eguchi,<sup>1,\*</sup> M. Taguchi,<sup>1</sup> M. Matsunami,<sup>1</sup> K. Horiba,<sup>1</sup> K. Yamamoto,<sup>1</sup> Y. Ishida,<sup>1</sup>  
A. Chainani,<sup>1</sup> Y. Takata,<sup>1</sup> M. Yabashi,<sup>2,3</sup> D. Miwa,<sup>2</sup> Y. Nishino,<sup>2</sup> K. Tamasaku,<sup>2</sup>  
T. Ishikawa,<sup>2,3</sup> Y. Senba,<sup>3</sup> H. Ohashi,<sup>3</sup> Y. Muraoka,<sup>4</sup> Z. Hiroi,<sup>4</sup> and S. Shin<sup>1,4</sup>

<sup>1</sup>Soft X-ray Spectroscopy Laboratory, RIKEN SPring-8 Center, Sayo-cho, Sayo-gun, Hyogo 679-5148, Japan

<sup>2</sup>Coherent X-ray Optics Laboratory, RIKEN SPring-8 Center, Sayo-cho, Sayo-gun, Hyogo 679-5148, Japan

<sup>3</sup>JASRI/SPring-8, Sayo-cho, Sayo-gun, Hyogo 679-5198, Japan

<sup>4</sup>Institute for Solid State Physics, University of Tokyo, Kashiwanoha, Kashiwa, Chiba 277-8581, Japan

(Dated: July 28, 2006)

### Monoclinic and Correlated Metal Phase in VO<sub>2</sub> as Evidence of the Mott Transition: Coherent Phonon Analysis

m-Tak Kim,<sup>1,\*</sup> Yong Wook Lee,<sup>1</sup> Bong-Jun Kim,<sup>1</sup> Byung-Gyu Chae,<sup>1</sup> Sun Jin Yun,<sup>1</sup> Kwang-Yong Kang,<sup>1</sup>  
Kang-Jeon Han,<sup>2</sup> Ki-Ju Yee,<sup>2</sup> and Yong-Sik Lim<sup>3</sup>

<sup>1</sup>IT Convergence and Components Research Laboratory, ETRI, Daejeon 305-350, Republic of Korea

<sup>2</sup>Department of Physics, Chungnam National University, Daejeon 305-764, Republic of Korea

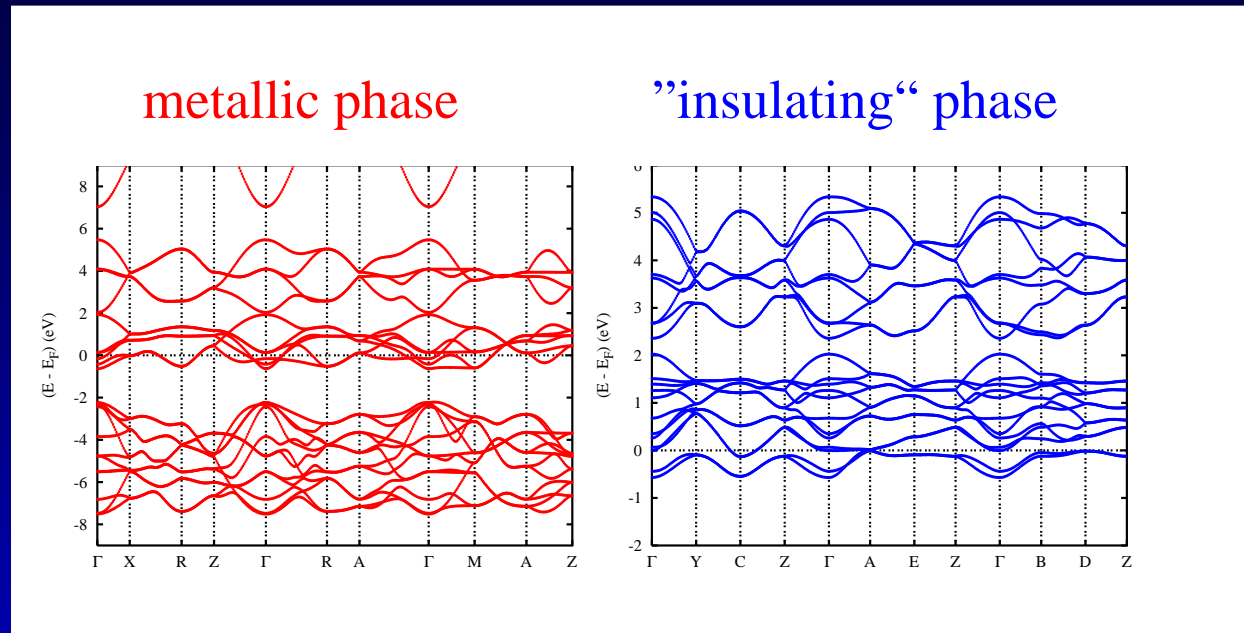
<sup>3</sup>Department of Applied Physics, Konkuk University, Chungju, Chungbuk 380-701, Republic of Korea

(Received 23 July 2006; published 26 December 2006)

In femtosecond pump-probe measurements, the appearance of coherent phonon oscillations at 4.5 and 6.0 THz indicating the rutile metal phase of VO<sub>2</sub> does not occur simultaneously with the first-order metal-insulator transition (MIT) near 68°C. The monoclinic and correlated metal (MCM) phase between the MIT and the structural phase transition (SPT) is generated by a photoassisted hole excitation, which is evidence of the Mott transition. The SPT between the MCM phase and the rutile metal phase occurs due to subsequent Joule heating. The MCM phase can be regarded as an intermediate nonequilibrium state.

# How far do we get ...

... using Density Functional Theory for VO<sub>2</sub> ?



DFT-LDA : no incoherent weight  
(from V. Eyert)

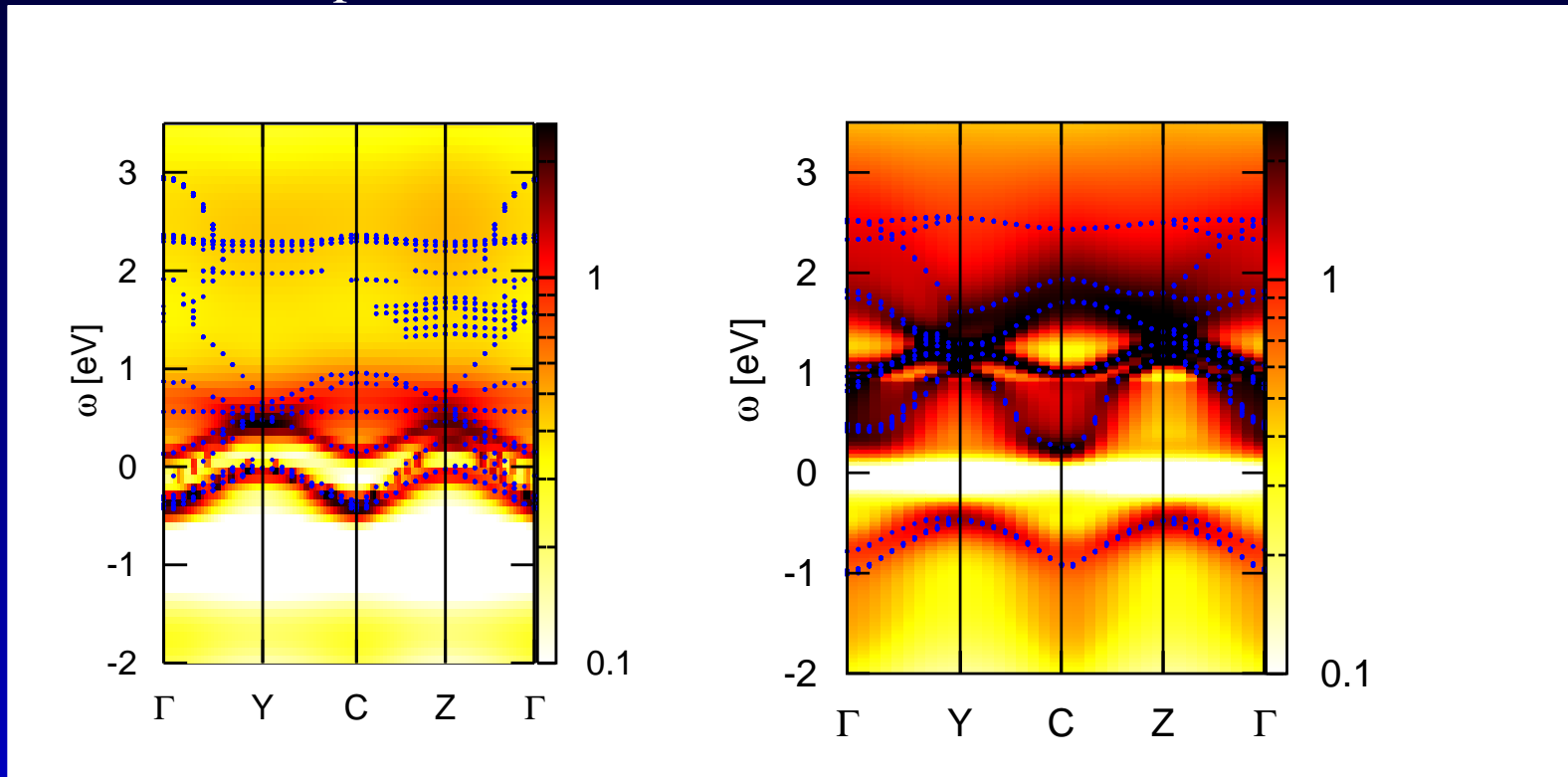
not insulating

# VO<sub>2</sub> : the physical picture

Charge transfer  $e_g^\pi \rightarrow a_{1g}$  and bonding-antibonding splitting

metallic phase:

insulating phase:

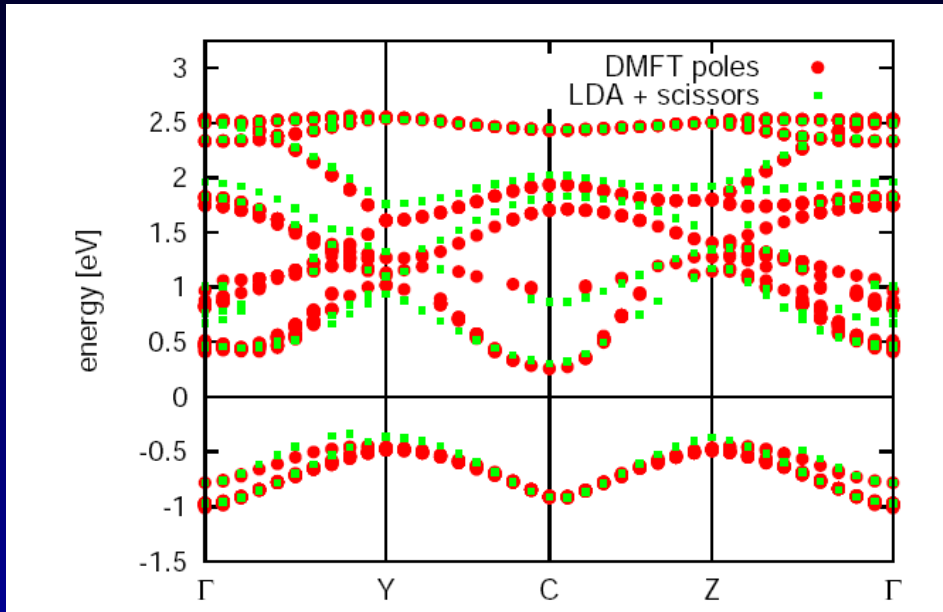


Spectral functions and “band structure”

$$\det (\omega_{\mathbf{k}} + \mu - H^{\text{LDA}}(\mathbf{k}) - \Re \Sigma(\omega_{\mathbf{k}})) = 0$$

J.M. Tomczak, S.B., J.Phys.:Cond.Mat. 2007; J.M. Tomczak, F. Aryasetiawan, S.B., PRB 2008

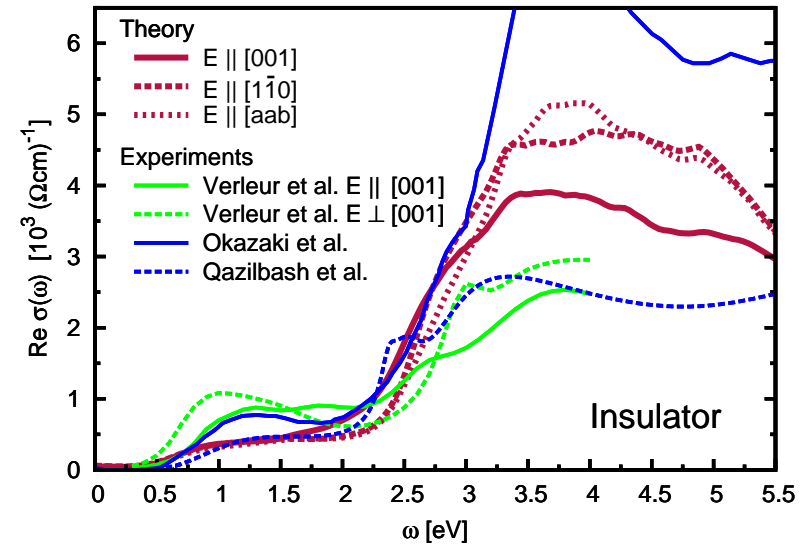
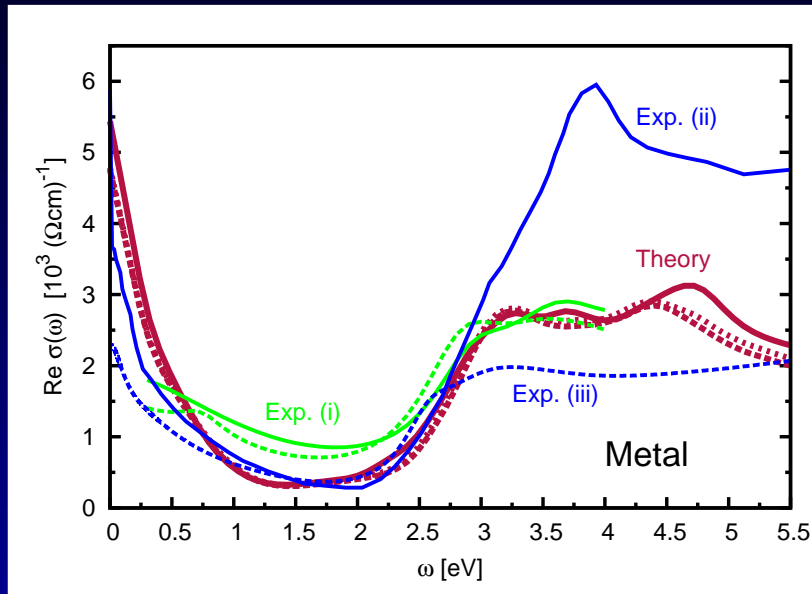
# VO<sub>2</sub> monoclinic phase



quasi-particle poles (solutions of  $\det[\omega + \mu - H(k) - \Sigma(\omega)]=0$ ) and band structure from effective (orbital-dependent) potential

( $\rightarrow$  for spectrum of insulating VO<sub>2</sub>: independent particle picture not so bad!! (but LDA is!))

# Optical Conductivity of VO<sub>2</sub>

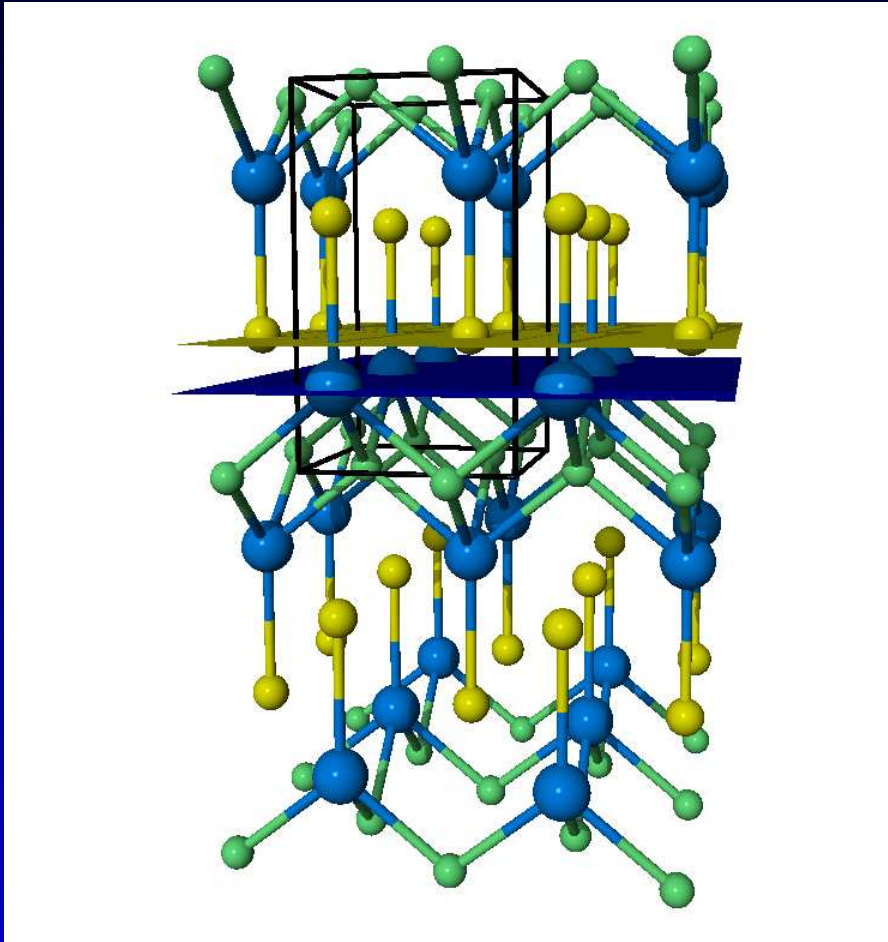


[Verleur *et al.*] : single crystals

[Okazaki *et al.*] : thin films  $E \perp [001]$ ,  $T_c=290$  K

[Qazilbash *et al.*] : polycrystalline films, preferential  
 $E \perp [010]$ ,  $T_c=340$  K

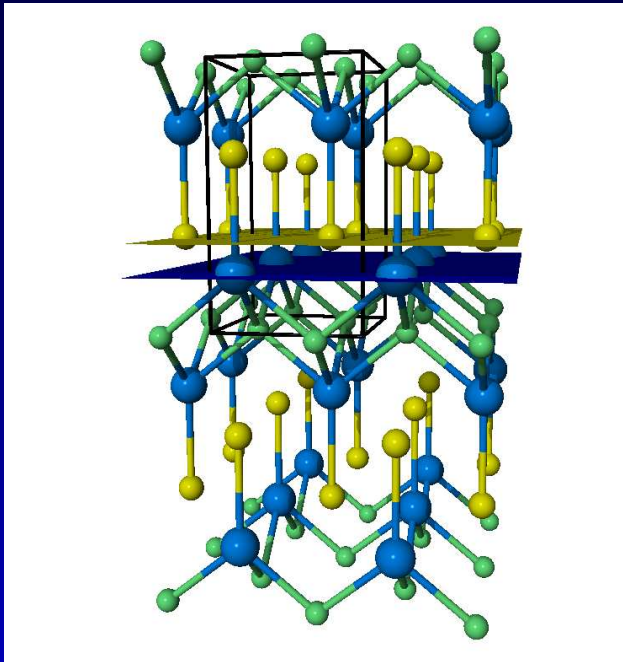
# Cerium fluorosulfide CeFS



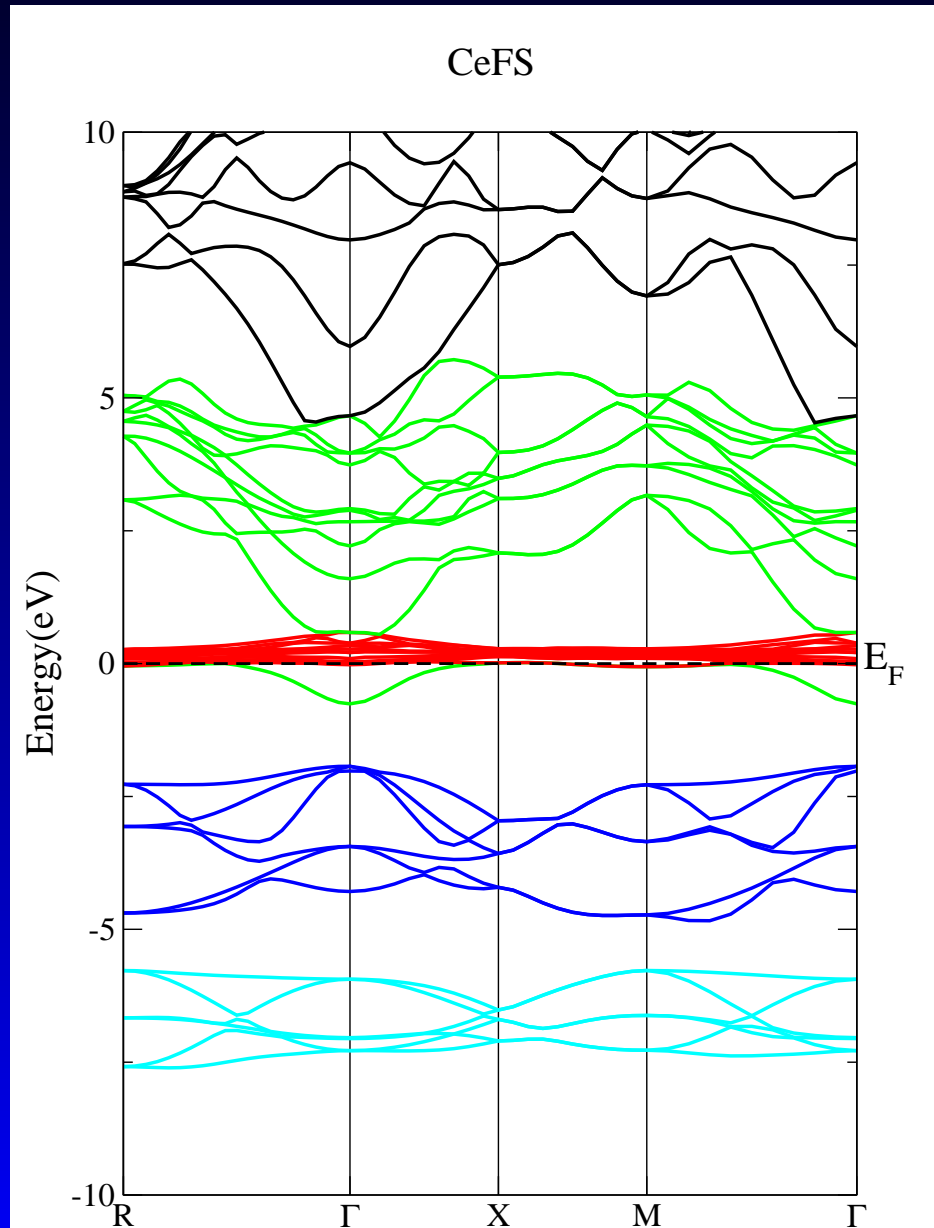
Mott insulator,  
paramagnetic

Need to treat both, localised f-states and delocalised p-electrons → How to incorporate atomic physics into electronic structure theory ?

# CeSF from Bloch's perspective



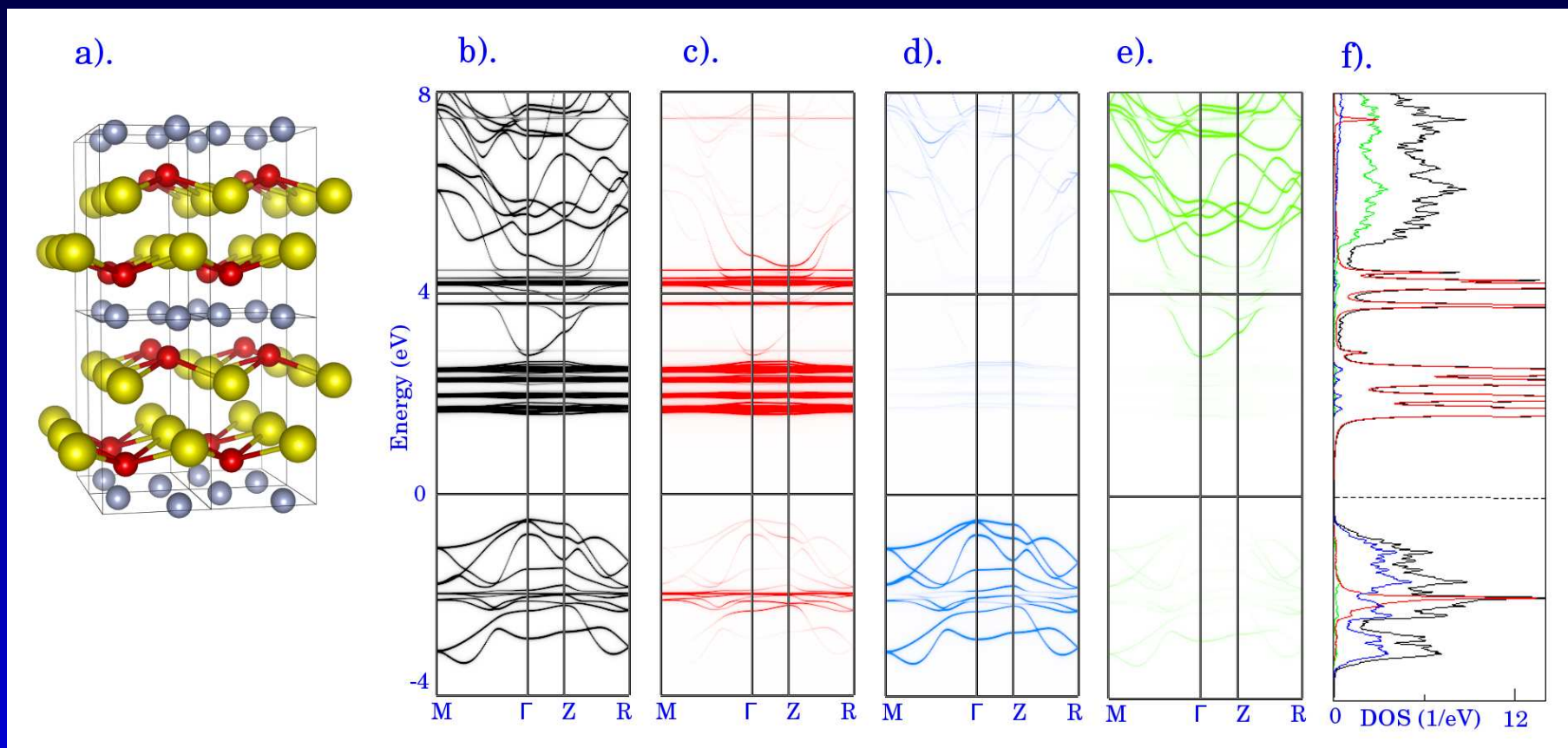
No gap!  
→ band picture  
gives a *metal* !





# Cerium fluorosulfide CeFS

Spectral function (LDA+DMFT<sup>(\*)</sup> within Hubbard-I approximation and scissor operator (d-shift)):



Tomczak, Purovskii, Vaugier, Georges, SB, PNAS 2013

(\*) LDA+DMFT = combination of DFT-LDA with dynamical mean field theory



# Beyond LDA+DMFT?

Motivations ...:

- Hubbard U ?
- double counting ?
- correction to LDA for “uncorrelated orbitals” ?
- non-local self-energy effects ?

→ “GW+DMFT” scheme

# Beyond LDA+DMFT?

Motivations ...:

- Hubbard U ?
- double counting ?
- correction to LDA for “uncorrelated orbitals” ?
- non-local self-energy effects ?

→ “GW+DMFT” scheme:

Baym-Kadanoff-like functional  $\Psi[G, W]$   
approximated by a combination of Hedin’s “GW”  
approximation for the non-local part and DMFT for  
the local part.

*S.B., Aryasetiawan, Georges PRL 2003 + cond-mat/0401653;  
Ayral, Werner, SB, PRL 2012, PRB 2013; Tomczak, Casula,  
Miyake, SB, arxiv2013*

# The representability point of view

*Represent* physical quantity of interest of real system by an effective model, with effective quantities

Quantity – Model – Auxiliary quantity:

- Density Functional Theory:  
Density – non-interacting system –  
(Kohn-Sham-) potential
- DMFT:  
local Green's function  $G$  – impurity model  
– Weiss field  $\mathcal{G}_0$
- GW+DMFT: as in DMFT, but in addition:  
screened local Coulomb interaction  $W_{loc}$  –  
impurity model with dynamical interaction –  
(dynamical) Hubbard  $\mathcal{U}$

# Can we calculate ...

...  $W_{local}$  from a (dynamical) impurity model?

→ Question of representability !

- DMFT:  $G_{local}$  calculated from impurity model
- What about  $W_{local}$  ?

Self-consistency requirement:

- $G_{impurity} = G_{local}$  of the solid
- $W_{impurity} = W_{local}$  of the solid

→ “GW+DMFT”

(S.B., F. Aryasetiawan, A. Georges *PRL* **90** 086402 (2003) +  
*cond-mat/0401653*)

# Beyond LDA+DMFT?

Motivations ...:

- Hubbard U ?
- double counting ?
- correction to LDA for “uncorrelated orbitals” ?
- non-local self-energy effects ?

→ “GW+DMFT” scheme:

Now only: dynamical screening and Hubbard U

# What's U in a solid?

A simpler answer ?

# What's U in a solid?

... an answer from RPA:

Divide  $P = P_d + P_r$  where  $P_d$  = polarization of the correlated orbitals (e.g. 3d orbitals)

Then:

$$\begin{aligned} W &= [1 - vP]^{-1}v \\ &= [1 - W_r P_d]^{-1}W_r \end{aligned}$$

where  $W_r$  that does not include 3d-3d screening:

$$W_r(\omega) = [1 - vP_r(\omega)]^{-1}v$$

Identify  $U = \langle |W_r(\omega = 0)| \rangle$  !

*F. Aryasetiawan, M. Imada, A. Georges, G. Kotliar, S.B., A. I. Lichtenstein PRB 70 195104 (2004)*

# What's U in a solid?

... an answer from RPA:

Divide  $P = P_d + P_r$  where  $P_d$  = polarization of the correlated orbitals (e.g. 3d orbitals)

Then:

$$\begin{aligned} W &= [1 - vP]^{-1}v \\ &= [1 - W_r P_d]^{-1}W_r \end{aligned}$$

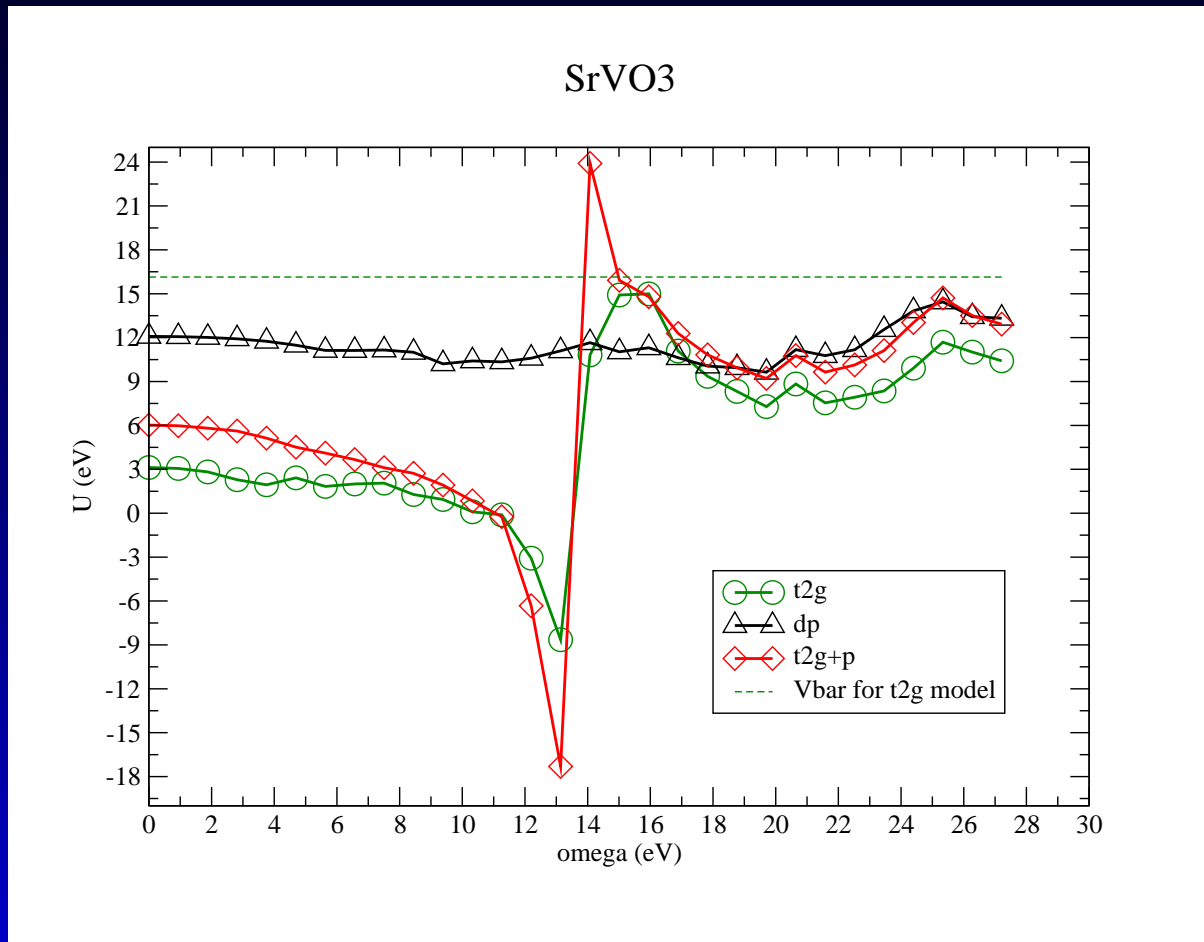
where  $W_r$  that does not include 3d-3d screening:

$$W_r(\omega) = [1 - vP_r(\omega)]^{-1}v$$

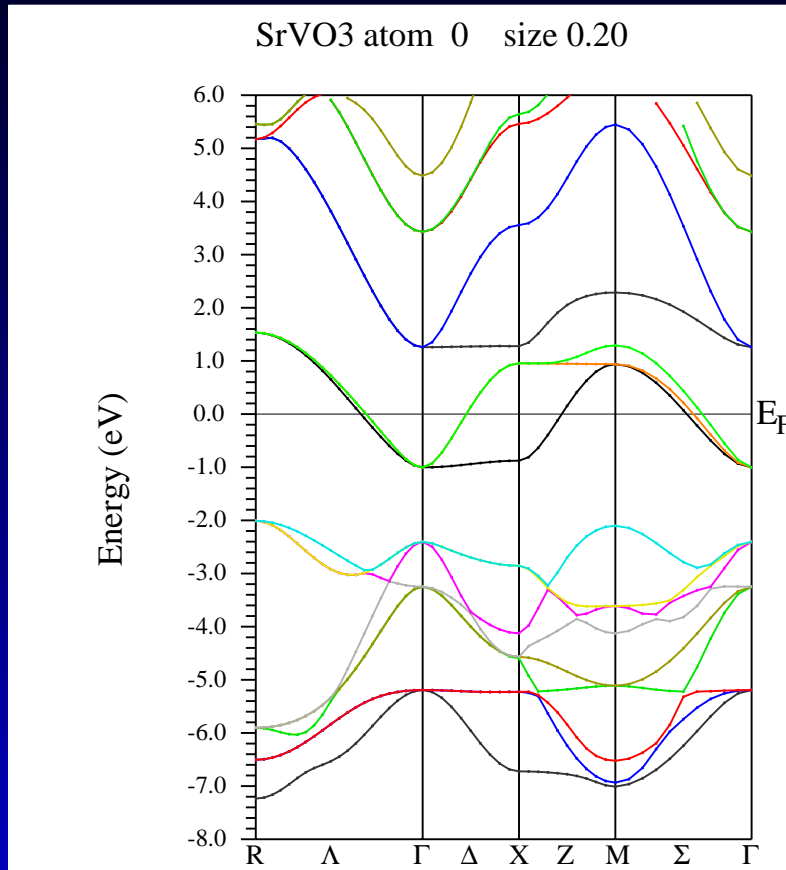
Identify  $U(\omega) = \langle |W_r(\omega)| \rangle$  !



# Example: SrVO<sub>3</sub>



# SrVO<sub>3</sub>: LDA bands



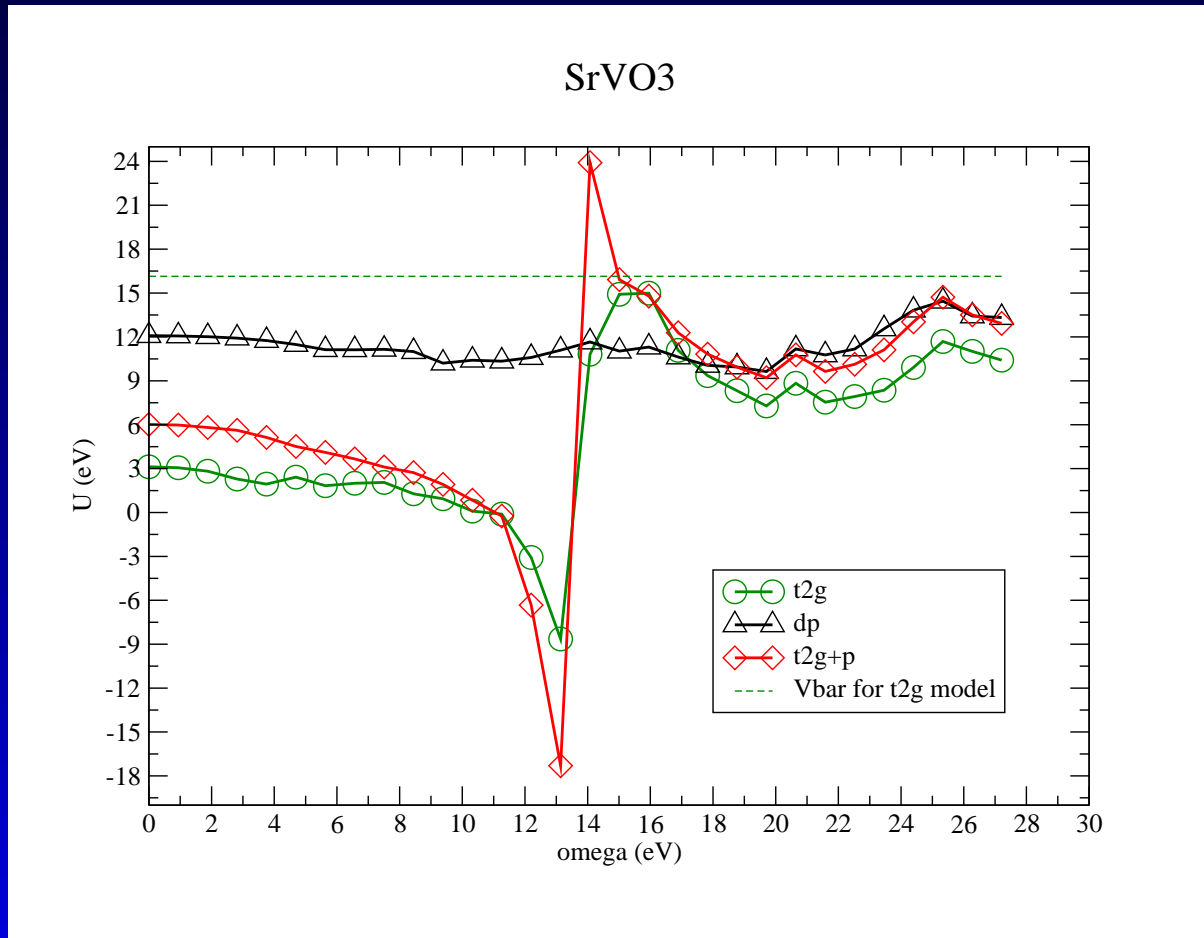
V d-states:  $e_g$

V d-states:  $t_{2g}$

O p-states

# Dependence on ...

... choice of orbitals:



**This is physical! U has to be basis-dependent!**

# CRPA

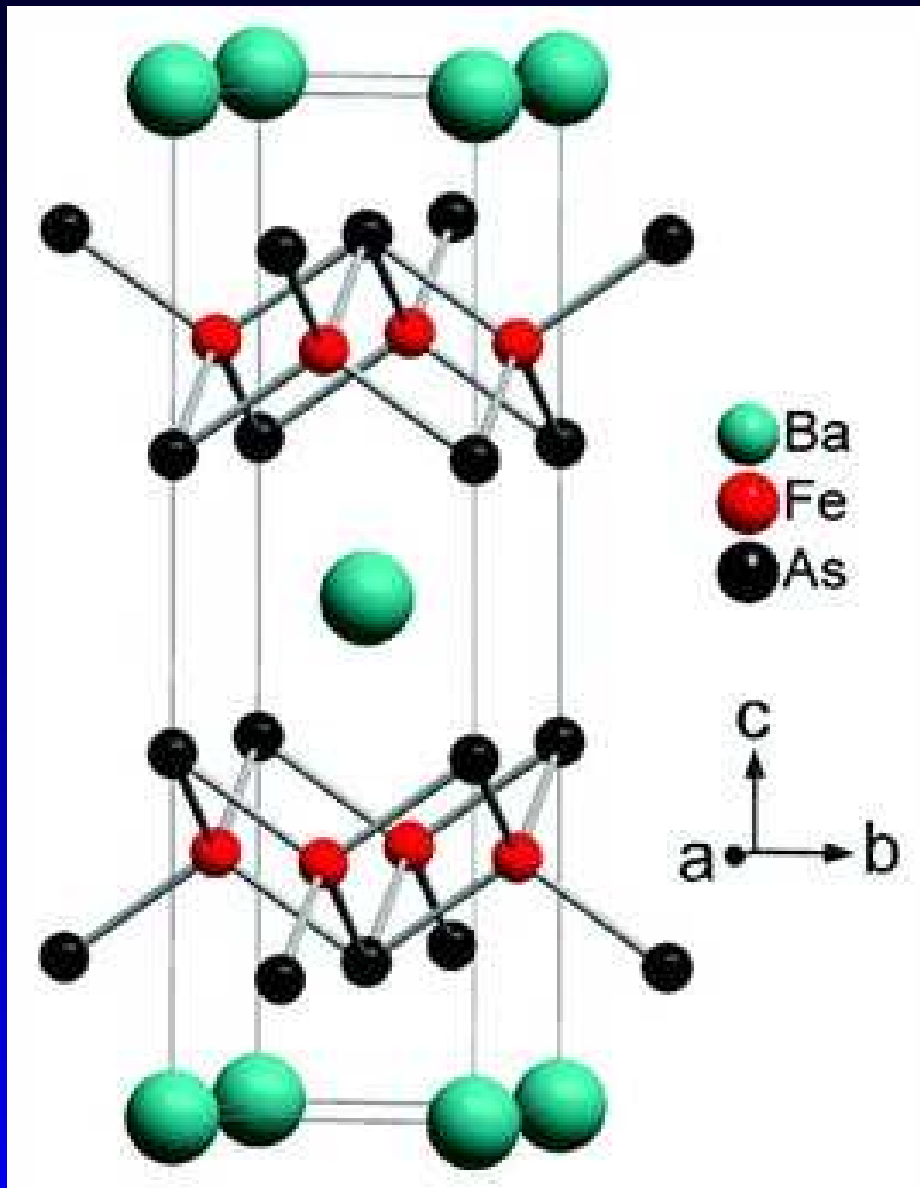
can be viewed as an approximation to the calculation of  $U$  within a full GW+DMFT scheme!

*(S.B., F. Aryasetiawan, A. Georges PRL 90 086402 (2003) + cond-mat/0401653)*

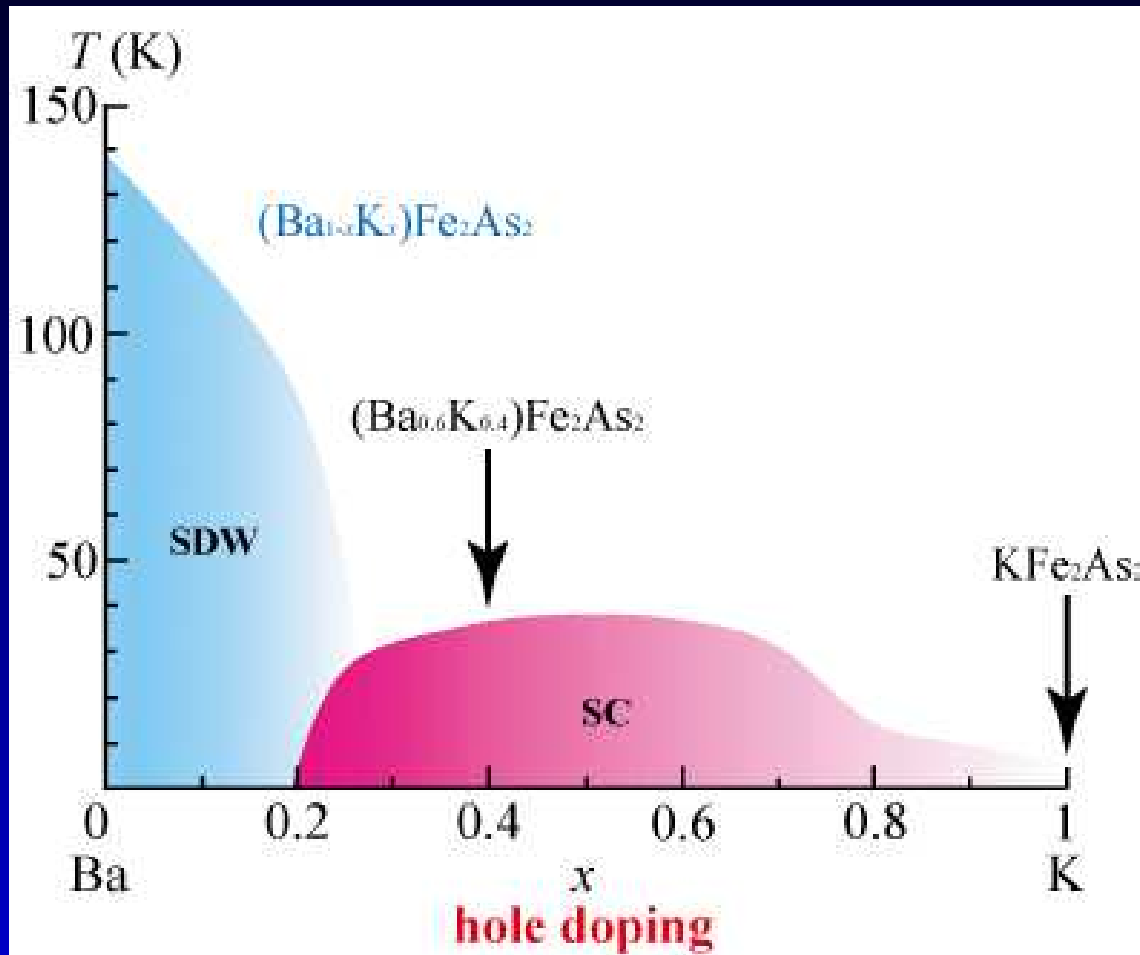
What about “LDA+ $\mathcal{U}(\omega)$ +DMFT”?

Casula, Rubtsov, SB., PRB 2012

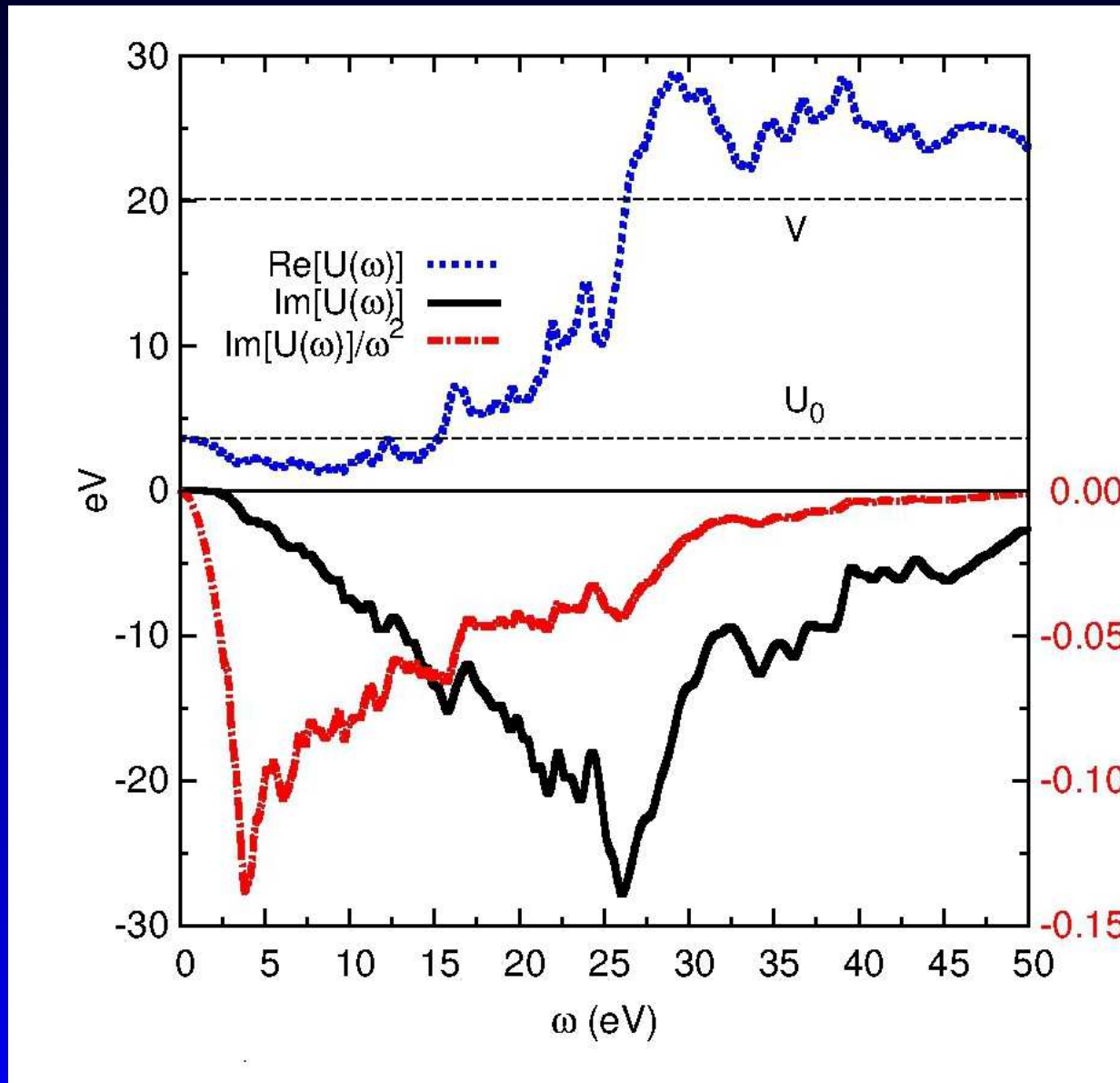
# BaFe<sub>2</sub>As<sub>2</sub>



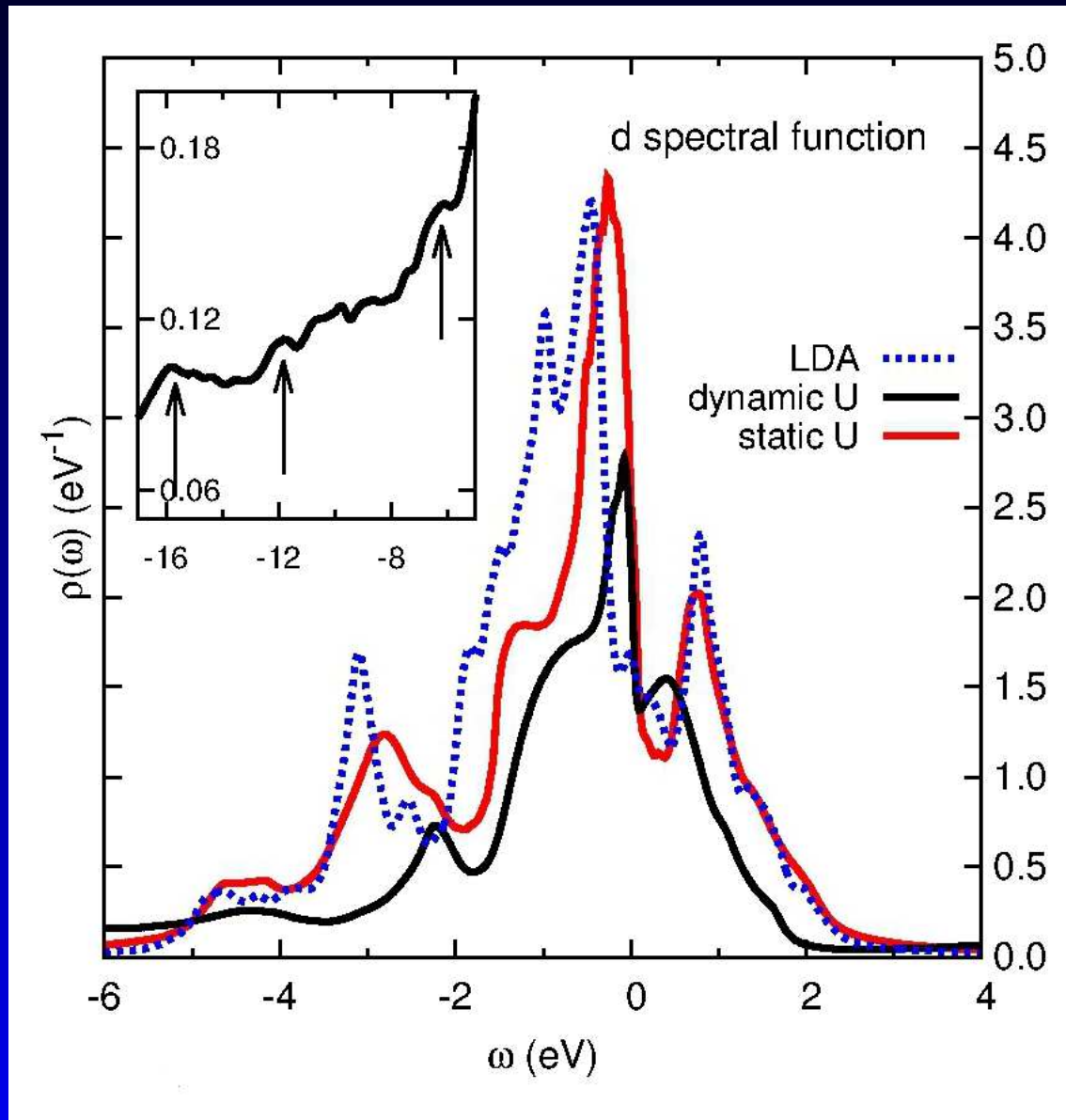
# BaFe<sub>2</sub>As<sub>2</sub>



# BaFe<sub>2</sub>As<sub>2</sub>: dynamical interaction

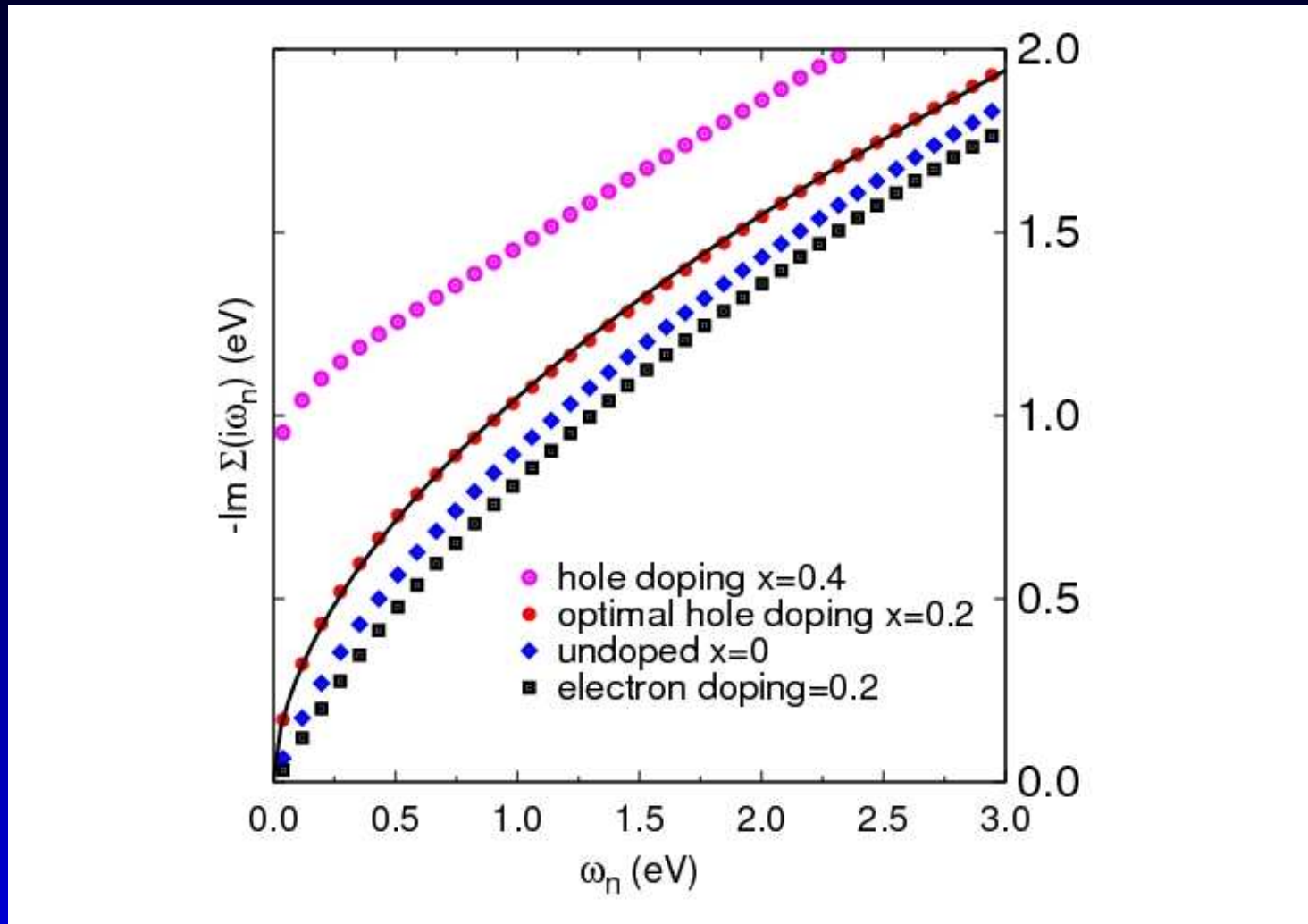


# Ba<sub>1-x</sub>K<sub>x</sub>Fe<sub>2</sub>As<sub>2</sub>: spectral function



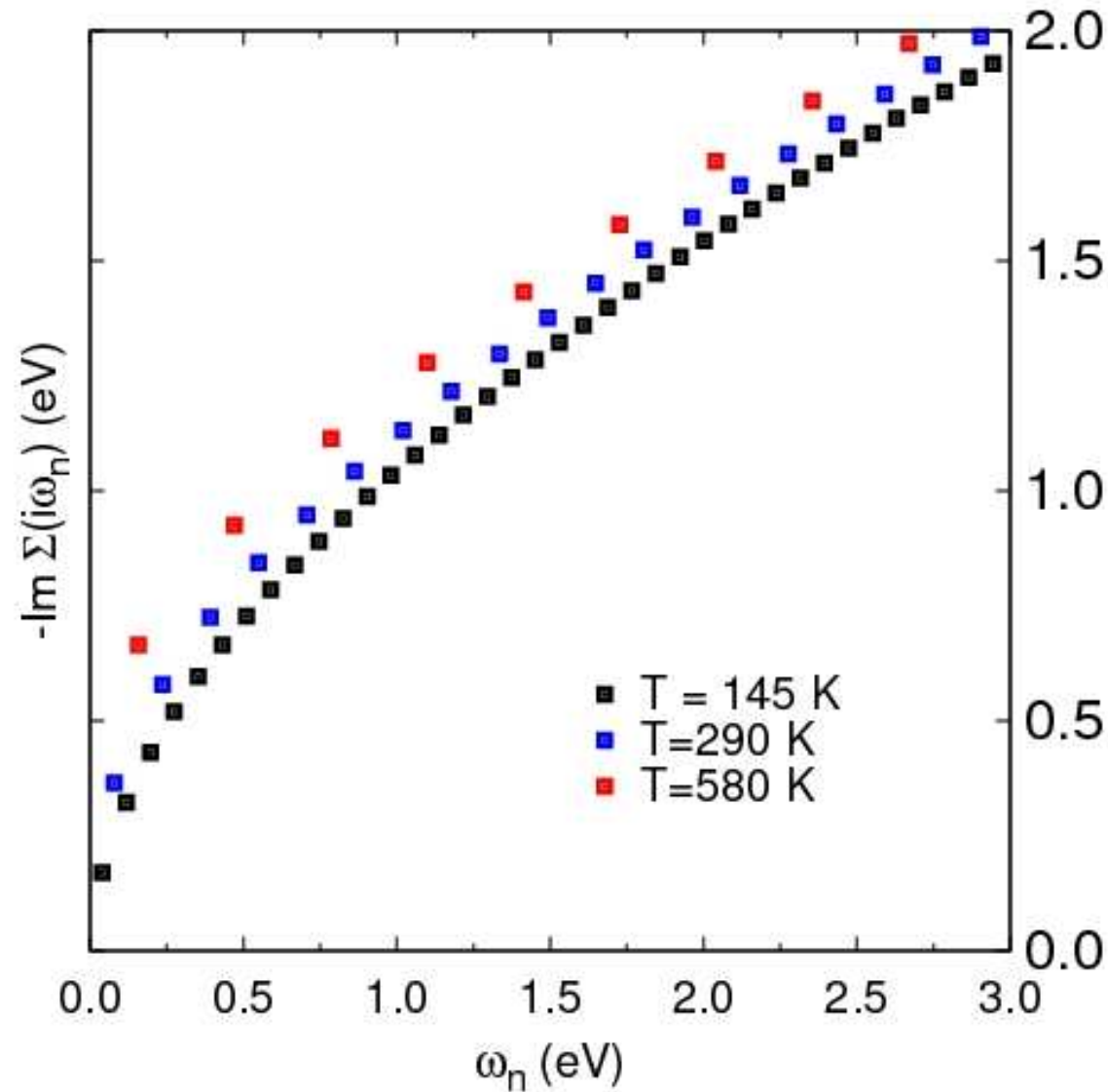


# Ba<sub>1-x</sub>K<sub>x</sub>Fe<sub>2</sub>As<sub>2</sub>: self-energies



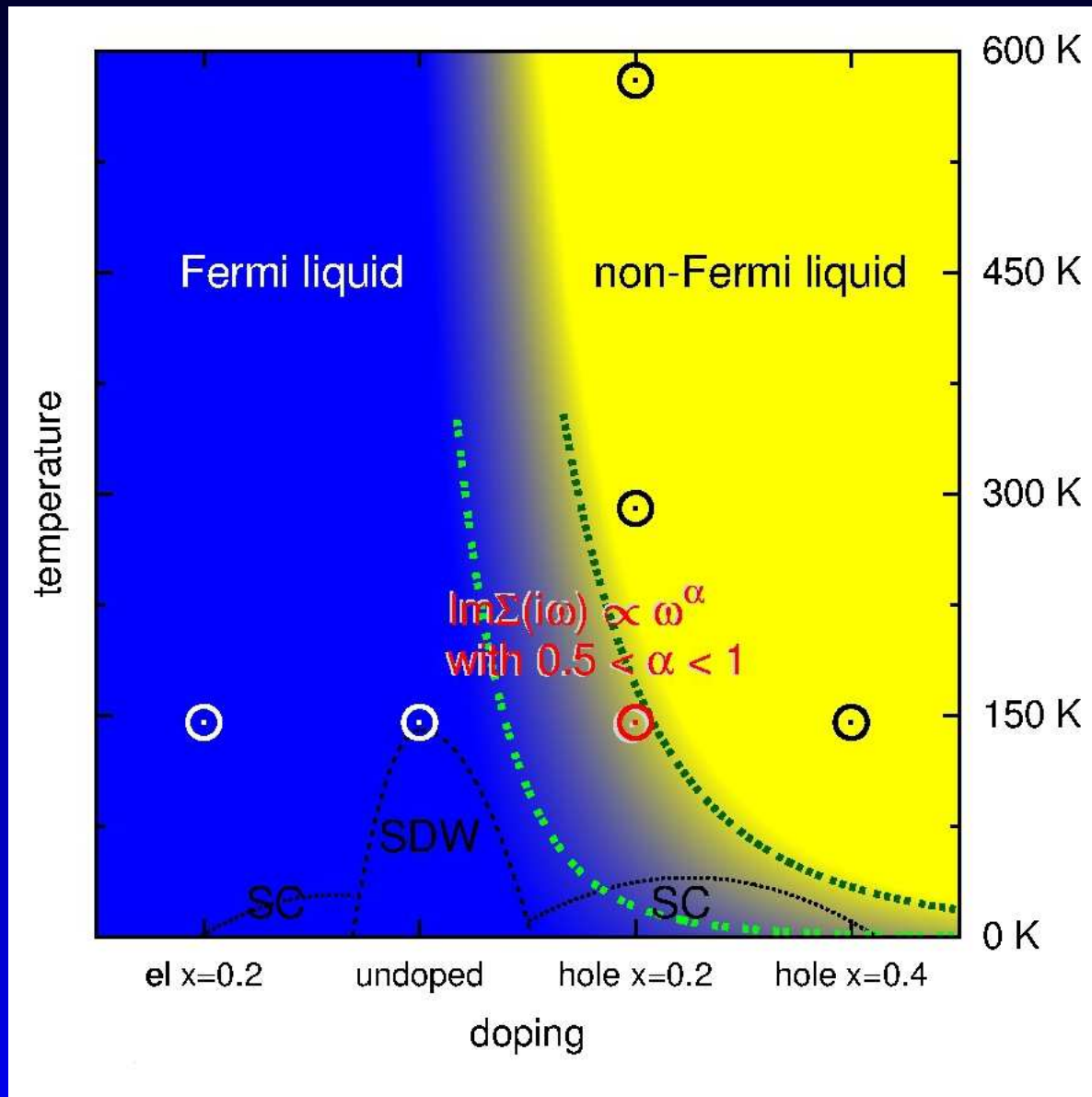
Optimally doped Ba<sub>1-x</sub>K<sub>x</sub>Fe<sub>2</sub>As<sub>2</sub>: at the onset of square-root self-energy behavior!

# Optimally doped $\text{Ba}_{1-x}\text{K}_x\text{Fe}_2\text{As}_2$

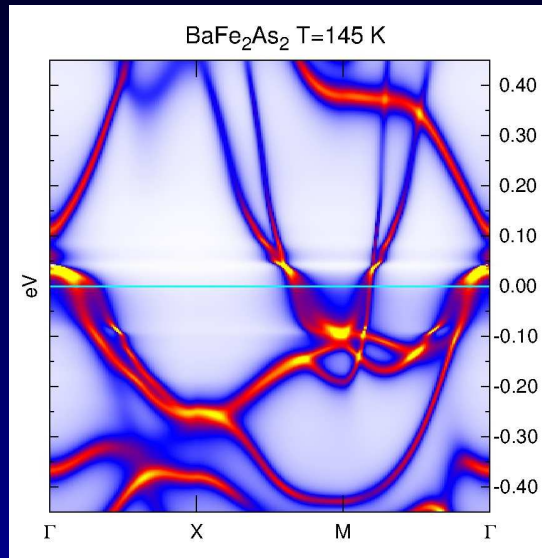


Huge T-dependence!

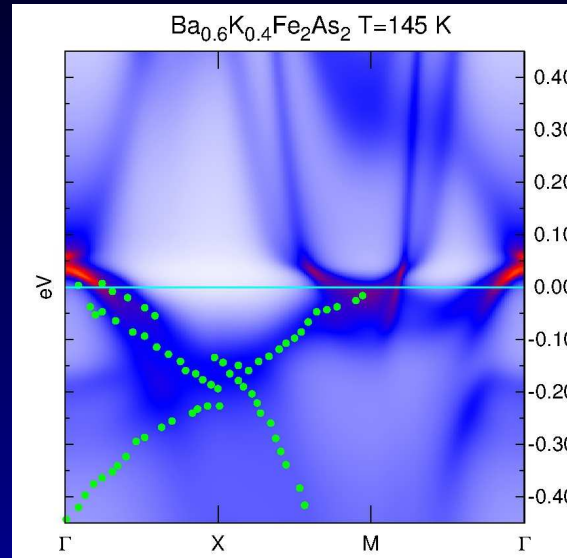
# BaFe<sub>2</sub>As<sub>2</sub>: doping and T-dependence



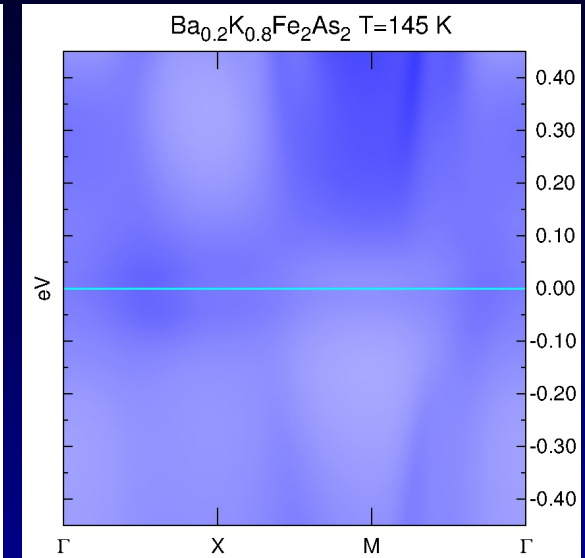
# $\text{Ba}_{1-x}\text{K}_x\text{Fe}_2\text{As}_2$ : k-resolved spectra



$x = 0$



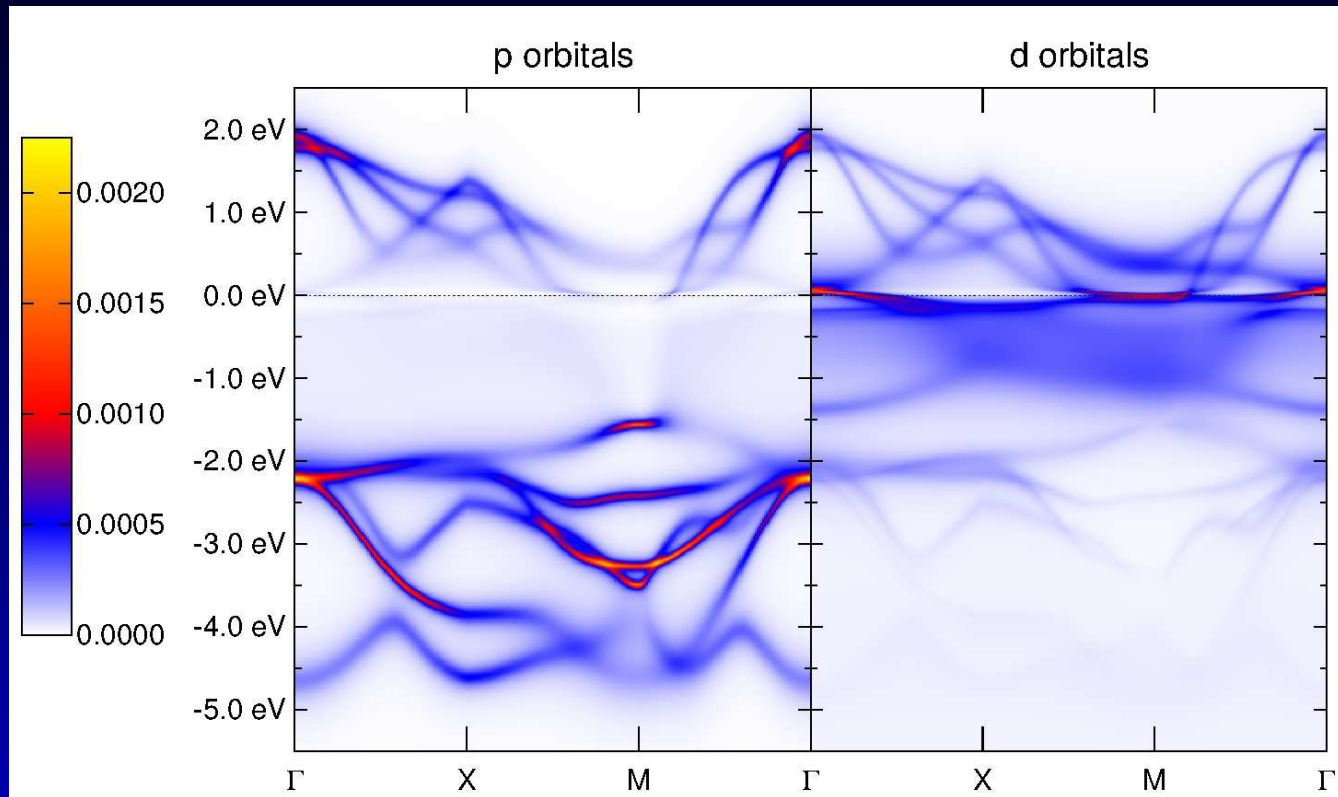
$x = 0.4$



$x = 0.8$

Werner, Casula, Miyake, Aryasetiawan, Millis, SB, Nature Physics 2012

# BaFe<sub>2</sub>As<sub>2</sub>: p and d character



Asymmetry in pd-hybridization between electron and hole states!

# Conclusions?

# Not everything ...

... depends only on the average occupation!

# Not everything ...

... depends only on the average occupation!





# Not everything ...

... depends only on the average occupation!



$$\langle n_{\uparrow} n_{\downarrow} \rangle \neq \langle n_{\uparrow} \rangle \langle n_{\downarrow} \rangle$$

# Conclusion and perspectives

There is a world beyond the one-electron approximation!

- Mott insulators
- Correlated metals (electrons become schizophrenic ...)

How to describe these phenomena on an equal footing?

- Hubbard model: kinetic energy  $\leftrightarrow$  Coulomb cost
- Hubbard goes realistic: “LDA+DMFT”  
→ correlated d- and f-electron materials accessible to first principles calculations!
- What’s next? → “GW+DMFT” (or on how to get rid off U – and LDA ...!)

# Useful Reading (not complete)

- DMFT - Review:  
A. Georges et al., Rev. Mod. Phys., 1996
- LDA+DMFT - Reviews:  
G. Kotliar et al., Rev. Mod. Phys. (2007)  
D. Vollhardt et al., J. Phys. Soc. Jpn. 74, 136 (2005)  
A. Georges, condmat0403123  
S. Biermann, in Encyclop. of Mat. Science. and Technol.,  
Elsevier 2005.  
F. Lechermann et al., Phys. Rev. B **74** 125120 (2006)

# References, continued

## Some recent applications of LDA+DMFT:

- VO<sub>2</sub>: J. Tomczak, S.B., Psik-Newsletter, Aug. 2008, J. Phys. Cond. Mat. 2007; EPL 2008, PRB 2008, Phys. stat. solidi 2009.  
J. Tomczak, F. Aryasetiawan, S.B., PRB 2008;  
S.B., A. Poteryaev, A. Georges, A. Lichtenstein, PRL 2005
- V<sub>2</sub>O<sub>3</sub>: A. Poteryaev, J. Tomczak, S.B., A. Georges, A.I. Lichtenstein, A.N. Rubtsov, T. Saha-Dasgupta, O.K. Andersen, PRB 2007.
- Cerium: Amadon, S. B., A. Georges, F. Aryasetiawan, PRL 2006
- d<sup>1</sup> Perovskites: E. Pavarini, S. B. et al., PRL 2004

Want to know more?



**Postdoc Openings ! -- Join the Crew ....**