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Electronic structure of strongly correlated materials with dynamical mean-field theory: Challenges and Perspectives

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These are preliminary lecture notes, intended only for distribution to participants

Electronic structure of strongly correlated materials with Dynamical Mean-Field Theory: Challenges and Perspectives





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http://www.cpht.polytechnique.fr/cpht/correl/mainpage.htm

Status report on recent achievements

- Flexible implementations within basically any electronic structure method (in progress)
- Calculation of quasiparticle band-structure (momentum-resolved spectral density) and of Fermi surfaces
- Optical spectra, Phonons
- Total energy
- Significant recent progress in computational efficiency of DMFT from alternative forms of QMC algorithms

Aim of this lecture...

- DMFT will be only briefly introduced and motivated
- In this talk I want to point out a few issues, both conceptual and practical, regarding implementation within electronic structure methods, e.g:
- Conceptual difference between correlated orbitals and basis set
- Choice of basis set and implementation in any electronic structure method, Wannier functions.

Illustrated by some recently studied physical examples

• Frontier of the field: challenges ahead.

I. MOTIVATIONS: DMFT aims at overcoming some of the limitations of DFT-LDA for correlated materials, which are twofold:

• A) Ground-state issues

When some of the electrons are rather well localized in certain orbitals (typically, d- and f-orbitals), LDA has a tendency to **OVERBIND**

i.e the participation of those electrons in the electronic cohesive energy of the solid is overestimated, resulting in a too small (sometimes MUCH too small) value of the unit-cell volume at equilibrium

Example (a dramatic one): delta-Plutonium

GGA underestimates unit-cell volume by ~ 30 % !

(cf. work of several groups)

Bulk modulus one order of magnitude too large



Figure 1. The total energy of δ -Pu versus the volume calculated using the LDA, the GGA and the LSDA + U method.

L(S)DA+U corrects the volume Savrasov&k but leads to long-range magnetic order, in contradiction to experiments

Bouchet et al. J.Phys.C 2000 Savrasov&Kotliar, PRL 2000 When the electrons are well localized, the problem can be fixed (to some extent) by **treating these orbitals as core**. However:

-Generally leads to underestimate of cohesive energy -Hence, too large volumes (cf. rare-earths)

The problem becomes crucial when electrons are in *an intermediate regime between being localized and being itinerant*, and especially when a phase transition takes place from one behaviour to the other (as a function of e.g pressure)

Well-known examples:

f-states: alpha-gamma transition of Cerium,Americium under pressure, etc...d-states: metal- Mott insulator transition

Delocalization/localization transition in rare-earths (e.g cerium α-γ)



B) Difficulties with excited states

The interpretation of Kohn-Sham spectra as excitations is in serious trouble in the case of correlated materials

- The most dramatic examples are Mott insulators:





Correlated metals:

Even when ground-state is indeed metallic, KS spectra from LDA fail to reproduce:

SrVO₂

Narrowing of quasiparticle bands due to correlations (the Brinkman-Rice phenomenon)
Hubbard satellites (i.e extension to the solid of atomic-like transitions)





II. Main concept behind DMFT: *Replace the full solid by an effective atom hybridized, in a self-consistent manner, to an energy-dependent environment (effective medium)*



Think of the local spectral function as that of of an **effective atom** hybridised to a well-chosen bath of free electrons



 $H = -\sum t_{ij} c_{i\sigma}^{\dagger} c_{j\sigma} + U \sum n_{i\uparrow} n_{i\downarrow} + \varepsilon_0 \sum n_{i\sigma}$

Effective hybridisation function, chosen such as to reproduce local Green's function

$$H_{atom} = U n^{c}_{\uparrow} n^{c}_{\downarrow} + (\varepsilon_{0} - \mu) \left(n^{c}_{\uparrow} + n^{c}_{\downarrow} \right)$$

$\begin{array}{l} Self-consistency\\ condition which fully determines both\\ the local G and \Delta: \end{array}$

$$G_{\rm imp}[\Delta(\omega)] = \sum_{\mathbf{k}} \frac{1}{\omega + \mu - \Sigma_{\rm imp}[\Delta(\omega)] - \varepsilon_{\mathbf{k}}}$$

EFFECTIVE LOCAL IMPURITY PROBLEM



(Kotliar&A.G, PRB 1992)

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In the large-d limit pioneered by Metzner&Vollhardt (PRL 1989) this construction becomes exact

``Impurity solvers'' (Key to DMFT computational efficiency)

- Many established algorithms (eg Hirsch-Fye QMC, NRG, etc...)

- Recent breakthrough: continuous-time QMC method starting from strong-coupling side

(P.Werner, M.Troyer, A.Millis)

III. The (happy) marriage of DFT-LDA and DMFT. **Extending the DMFT construction** to a real solid: - Basis-set independent formulation - Flexible implementation within any kind of electronic structure code (eg plane wave) using e.g Wannier functions with a high degree of localization (we used: LMTO/NMTO, FLAPW, mixed-basis pseudo MBPP) cf: F.Lechermann, AG, S.Biermann, A.Poteryaev,

M.Posternak, O.K. Andersen, A. Yamazaki PRB 74, 125120 (2006)

Identify set of ``correlated'' orbitals for which many-body effects will be treated w/DMFT, beyond LDA: e.g d- or f- subset denoted $\{|\chi_{Rm}\rangle\}$





In practice:e.g t_{2g} Wannier functions for SrVO3-e.g LMTOs, or LMTO heads only (not necessarily
basis functions !)-Or Wannier functions e.g NMTOs, or maximally
localized, etc..cf. Pavarini et al, Anisimov et al

* Focus on two key quantities:

- Total charge density in the solid (all orbitals) $\rho(\mathbf{r})$
- Components of on-site Green's function (and self-energy) *projected on the correlated subset:*

$$G_{mm'}^{\text{loc}}(i\omega_n) = \int \int d\mathbf{r} d\mathbf{r}' \chi_m^*(\mathbf{r} - \mathbf{R}) \chi_{m'}(\mathbf{r}' - \mathbf{R}) G(\mathbf{r}, \mathbf{r}'; i\omega_n).$$

$$= \hat{P}_{\mathbf{R}}^{(\mathcal{C})} \hat{G} \hat{P}_{\mathbf{R}}^{(\mathcal{C})}$$

projection on correlated space

* Add to the exchange-correlation functional $E^{xc}_{LDA}[\rho]$ on-site many-body terms of the form:

$$\sum_{\mathbf{R}} \left(\Phi_{\mathsf{imp}}[G_{ab}^{\mathbf{RR}}] - \Phi_{\mathsf{dc}}[G_{ab}^{\mathbf{RR}}] \right)$$

Calculated from an effective embedded atom, defined by **on-site interaction parameters** U_{abcd} . (The 2nd term is a double-counting correction, cf. LDA+U)

* The `impurity' self-energy is upfolded to the whole solid:

$$\Delta \Sigma(\mathbf{r}, \mathbf{r}'; i\omega_n) = \sum_{\mathbf{T}mm'} \chi_m^* (\mathbf{r} - \mathbf{R} - \mathbf{T}) \chi_{m'} (\mathbf{r}' - \mathbf{R} - \mathbf{T}) \Delta \Sigma_{mm'} (i\omega_n)$$

Incidentally: what is really the (in)famous Hubbard U in a solid ?

~ something like :

$$U \sim \int d\mathbf{r} d\mathbf{r}' |\chi_m(\mathbf{r})|^2 W_{\mathsf{screened}}^{\mathsf{int}}(\mathbf{r} - \mathbf{r}') |\chi_m(\mathbf{r}')|^2$$

SCREENING plays a key role

Naive –unscreened- value is **HUGE** (10-20 eV !) and applies at high-energy while in fact low-energy U is a few eV's

Hence U is in fact an energy scale-dependent notion: $U(\omega)$

This is an important question: see recent work by F.Aryasetiawan et al. I.Solovyev and M.Imada, *and full GW+DMFT formalism*

Realistic DMFT, in a nutshell...



NOTE: No basis set has been specified

Question:

How sensitive are the results to the choice of the correlated orbitals? (e.g for a simple case like SrVO3, LMTO in full spd formulation, or LMTO head, or more extended $t_{2\sigma}$ Wannier function -NMTO or `maximally localized'-

More work needed on this issue (in progress) ...

Example: SrVO₃ Wannier functions



O2p+Vt2g and eg



t2g only

$$\begin{array}{l} \text{Implementation in practice:}\\ \text{introducing a basis set} \\ B_{\mathbf{k},\alpha} \hspace{0.2cm}; \hspace{0.2cm} \alpha = \mathbf{R}, l, m, \text{etc...} \\ \text{Can be any preferred basis: Bloch, LMTO, mixed (FLAPW)} \\ \hat{H}_{\text{KS}}(\mathbf{k}) = \sum_{\alpha\alpha'} |B_{\mathbf{k}\alpha}\rangle\langle B_{\mathbf{k}\alpha'}| \left(\sum_{\nu} \varepsilon_{\mathbf{k}\nu}\langle B_{\mathbf{k}\alpha}|\psi_{\mathbf{k}\nu}\rangle\langle\psi_{\mathbf{k}\nu}|B_{\mathbf{k}\alpha'}\rangle\right) \\ \Delta\Sigma_{\alpha\alpha'}(\mathbf{k},i\omega_n) = \sum \langle B_{\mathbf{k}\alpha}|\chi_m^{\mathbf{k}}\rangle\langle\chi_m^{\mathbf{k}}|B_{\mathbf{k}\alpha'}\rangle \\ \end{array}$$

DMFT self-consistency condition reads:

$$\begin{split} G_{mm'}^{\text{imp}}(i\omega_n) &= \sum_{\mathbf{k}} \sum_{\alpha\alpha'} \langle \chi_m^{\mathbf{k}} | B_{\mathbf{k}\alpha} \rangle \langle B_{\mathbf{k}\alpha'} | \chi_{m'}^{\mathbf{k}} \rangle \\ &\times \{ [i\omega_n + \mu - \mathbf{H}_{\text{KS}}(\mathbf{k}) - \Delta \Sigma(\mathbf{k}, i\omega_n)]^{-1} \}_{\alpha\alpha'} \end{split}$$

mm'

 $\times [\Sigma_{mm'}^{imp}(i\omega_n) - \Sigma_{mm'}^{dc}]$

Inversion of matrix of size $N_B * N_B$ at each k-point and each frequency !

The Wannier route

 Perform Wannier construction for some set of bands W (aka some energy window)

$$w_{\alpha}(\mathbf{r} - \mathbf{T}) = \frac{V}{(2\pi)^3} \int_{\mathrm{BZ}} d\mathbf{k} \mathrm{e}^{-i\mathbf{k}\cdot\mathbf{T}} \sum_{\nu \in \mathcal{W}} U_{\alpha\nu}^{(\mathbf{k})} \psi_{\mathbf{k}\nu}(\mathbf{r}),$$

- Select a subset C of W as defining the correlated orbitals:

$$G_{mm'}^{\text{imp}}(i\omega_n) = \sum_{\mathbf{k}} \{ [(i\omega_n + \mu)\mathbb{1} - \mathbf{H}_{\text{KS}}^{(\mathcal{W})}(\mathbf{k}) - \Delta \Sigma^{(\mathcal{C})}(i\omega_n)]^{-1} \}_{mm'}$$

W=C most economical choice when possible (e.g isolated set of `correlated' bands), but perhaps more localised C-set preferable ??

Photoemission spectra of correlated metals and (paramagnetic) Mott insulators







E.Pavarini et al., PRL 2004 cf. also Sekiyama et al. (Ca/SrVO3) PRL 2004 **3-peak structure clearly revealed in recent high-photon energy PES experiments** w/relative intensities between QP and Hubbard satellites in good agreement w/DMFT



FIG. 4: Comparison of the calculated, parameter-free LDA+DMFT(QMC) spectra of SrVO₃ (solid line) and CaVO₃ (dashed line) with bulk-sensitive high-resolution PES (SrVO₃: circles; CaVO₃: rectangles) [4]. Horizontal line: experimental subtraction of the background intensity.

Sekiyama et al, Ca/SrVO3



Mo et al, V2O3 (DMFT calculations by Keller, Held et al. cf. also Poteryaev et al.

Correlation-induced inter-orbital charge transfers and modifications of the Fermi surface w.r.t LDA: the example of BaVS3

Lechermann, Biermann and A.G, PRL 2005



Correlation-induced nesting of the Fermi surface:







LDA

Correlated

More generally, competition between:
-Crystal field splitting (considerably enhanced by
correlations) >> orbital polarization
- Hund's rule >> orbital compensation



Cf. Manini et al. PRB 66, 115107 (2002)

$Na_x CoO_2$: do the hole pockets exist?

LDA: ves

- [Zhang et al., PRL 93 236402] LDA+U calculation: no magnetic order, double-counting correction
- [Ishida et al., PRL 94 196401] LDA+DMFT calculation: yes orbital compensation effect, i.e., interorbital charge transfer from E_q to A_{1q} ARPES: no
 - [Zhou et al., PRL 94 206401] LDA+Gutzwiller approach: no $U \rightarrow \infty$, J=0, Δ =0.01 eV

remark on importance of crystal-field splitting ...



Lechermann, 2005

0.20



V2O3: correlationenhanced Xtal field splitting and short-lived Egpi quasiparticles



Total energy: the LDA+DMFT free-energy functional

$$\begin{split} & \Gamma[\rho, G_{mm'}] = \\ &= T[\rho, G_{mm'}] + E_H[\rho] + E_{\mathsf{XC}}[\rho, G_{mm'}] \\ &- \operatorname{tr} \ln[i\omega_n + \mu + \frac{1}{2}\nabla^2 - v_{KS}(\mathbf{r}) - \chi^* \cdot \Delta\Sigma \cdot \chi] - \int d\mathbf{r} (v_{KS} - v_c)\rho(\mathbf{r}) - \operatorname{tr}[G \cdot \Delta\Sigma] + \\ &+ \frac{1}{2}\int d\mathbf{r} d\mathbf{r}' \rho(\mathbf{r}) U(\mathbf{r} - \mathbf{r}')\rho(\mathbf{r}') + E_{xc}[\rho(\mathbf{r})] + \sum_{\mathbf{R}} \left(\Phi_{imp}[G_{ab}^{\mathbf{RR}}] - \Phi_{DC}[G_{ab}^{\mathbf{RR}}] \right) \end{split}$$

In these expressions, V_{KS} is the Kohn-Sham potential and $\Delta\Sigma$ is the (dc-corrected) local self-energy in ``correlated'' subset

Finally, total energy is calculated as:

$$E_{LDA+DMFT} = E_{DFT} - \sum_{\lambda}' \varepsilon_{\lambda}^{KS} + \langle H_{KS} \rangle + \langle H_{U} \rangle - E_{DC}$$
$$= E_{DFT} + \sum_{\mathbf{k},LL'} h_{LL'}^{KS} [\langle c_{L\mathbf{k}}^{\dagger} c_{L'\mathbf{k}} \rangle_{DMFT} - \langle c_{L\mathbf{k}}^{\dagger} c_{L'\mathbf{k}} \rangle_{KS}] + \langle H_{U} \rangle - E_{DC}$$



KS system is updated and modified by many-body effects...

Update of charge density

Construct G_{KS} and back to DMFT

$$\rho(\mathbf{r}) = \sum_{\mathbf{k}\nu\nu'} D_{\nu'\nu}^{(\mathbf{k})}(\mathbf{r}) \Delta N_{\nu\nu'}^{(\mathbf{k})} + \sum_{\nu} \Theta(\mu - \varepsilon_{\mathbf{k}\nu}) D_{\nu\nu}^{(\mathbf{k})}(\mathbf{r}).$$

KS density matrix:

$$D_{\nu'\nu}^{(\mathbf{k})}(\mathbf{r}) = \psi_{\mathbf{k}\nu}(\mathbf{r})\psi_{\mathbf{k}\nu'}^{*}(\mathbf{r}).$$

Many-body correction:

$$\Delta N_{\alpha\alpha'}^{(\mathbf{k})} \equiv \frac{1}{\beta} \sum_{nmm'} G_{\alpha m}^{\mathrm{KS}}(\mathbf{k}, i\omega_n) \Delta \Sigma_{mm'}(i\omega_n) G_{m'\alpha'}(\mathbf{k}, i\omega_n)$$

The α - γ transition of cerium is entropy-driven...





Entropic stabilisation of gamma phase





Optical spectra from DMFT



Haule et al, PRL 2005 Expts: van der Eeb, PRL 2001

Drude peak in the α -phase, not in γ

FIG. 1 (color online). The top panel shows the calculated optical conductivity for both α and γ phase of cerium. The temperature used in calculation is 580 K while the volume of α and γ phase is 28.06 Å³ and 34.37 Å³, respectively. The bottom panel shows experimental results measured by the group of van der Marel [2]. The measurements for α phase were done at 5 K and for γ phase at 400 K.

Phonons in fcc δ -Pu PREDICTED from DMFT



	C ₁₁ (GPa)	C ₄₄ (GPa)	C ₁₂ (GPa)	C'(GPa)
Theory	34.56	33.03	26.81	3.88
Experiment	36.28	33.59	26.73	4.78

[Squares]

[Open dots]

CONCLUSION / OVERVIEW

- DMFT is an energy-dependent mean-field approach aimed at treating strong correlation effects
- The frequency-dependent on-site self-energy is calculated through an effective atomic problem embedded in a self-consistent medium
- Quasiparticle excitations (and bandwidth narrowing) as well as Hubbard satellites are treated on equal footing
- The method has been happily blended with DFT-LDA, and applied to long-standing problems in electronic structure calculations of strongly correlated materials

Frontiers (I)

- Fully first-principle scheme: ab-initio calculation of (frequency-dependent) U, GW-functionals
- ``Optimal'' choice of correlated orbitals ?
- More flexible implementations within electronic structure codes: in progress

Frontiers (II) ...

Beyond a purely-local self-energy: restoring some momentum-dependence

>> CLUSTER extensions of DMFT: C-DMFT

This is needed both in the context of MODELS of strongly-correlated electrons, to explain some of the key aspects of the cuprates (differentiation of the Fermi surface into **hot and cold regions**, cf. work by Sherbrooke and Rutgers/Saclay/Rome group) AND in a realistic electronic-structure context, for some materials e.g w/ Peierls insulator character

(cf. recent work on Ti2O3 and VO2, Poteryaev, Biermann et al.)



Senechal, A.M Tremblay, PRL 2004



FIG. 4: $A(k, \omega = 0^+)$ in the first quadrant of the Brillouin zone. From the top: in the first row t' = -0.3t, n = 0.73, 0.89, 0.96, color scale x = 0.28, 0.22, 0.12; in the second t' = +0.3t, n = 0.70, 0.90, 0.95, color scale x = 0.82, 0.34, 0.27; in the lowest row t' = +0.9t, n = 0.69, 0.92, 0.96, color scale x = 0.90, 0.32, 0.22. The white dashed line is the FS given by $t_{\text{eff}}(k) = \mu$.

Civelli et al., PRL 2005, Cluster-DMFT

Some general references...

- Lecture notes (A.G) cond-mat/0403123

Strongly Correlated Electron Materials: Dynamical Mean-Field Theory and Electronic Structure

[published as: Lectures on the Physics of Highly Correlated Electron Systems VIII (2004) 3, American Institute of Physics Conference Proceedings Vol. 715]

- Review articles: A.G, G.Kotliar, W.Krauth and M.Rozenberg, Rev.Mod.Phys. 68 (1996) 13; G.Kotliar et al. (2006), K.Held (2006)
- **Overview article:** G.Kotliar and D.Vollhardt, Physics Today, March 2004

http://www.cpht.polytechnique.fr/cpht/correl/mainpage.htm

Illustrate first on simple one-band lattice model:

$$H = -\sum_{\mathbf{RR'}\sigma} t_{\mathbf{RR'}} f_{\mathbf{R}\sigma}^{\dagger} f_{\mathbf{R'}\sigma} + \sum_{\mathbf{R}} H_{\text{atom}}^{\mathbf{R}} \quad \mathbf{R}=\text{lattice (atomic) sit}$$

e.g Hubbard model: $H_{\text{atom}}^{\mathbf{R}} = U \hat{n}_{\mathbf{R}\uparrow}^{f} \hat{n}_{\mathbf{R}\downarrow}^{f} + \epsilon_0 [\hat{n}_{\mathbf{R}\uparrow}^{f} + \hat{n}_{\mathbf{R}\downarrow}^{f}]$

Focus on key observable: on-site Green's function (of the whole lattice model): $G_{RR}(\omega)$

Introduce a **REFERENCE SYSTEM** in order to represent G_{RR} : we are familiar with this concept from DFT in which a reference system of non-interacting electrons is introduced, with a well-chosen (Kohn-Sham) potential such as to reproduce the local density $\rho(\vec{r})$, the key observable of DFT.

In DMFT, the REFERENCE SYSTEM is the atom coupled to a bath of (free) electrons, with appropriate energy levels E_p 's and hybridization V_p 's to the atomic orbital, chosen such that the Green's function of this embedded atom reproduces G_{RR}

For the simple Hubbard case, this yields:

$$H_{\text{imp}} = H_{\text{atom}}[f_{\sigma}, f_{\sigma}^{\dagger}] + \sum_{p\sigma} [V_p f_{\sigma}^{\dagger} a_{p\sigma} + h.c] + \sum_{p\sigma} E_p a_{p\sigma}^{\dagger} a_{p\sigma}$$

This is the Anderson model of a magnetic ``impurity'' in a solid !

Ep's and Vp's can be recast into a hybridization function:

$$\Delta(\omega) = \sum_{p} \frac{|V_p|^2}{\omega - E_p}$$

It plays the role of an **ENERGY-DEPENDENT mean-field**, (Weiss field, conjugate to GRR) which must be chosen such that:

$$G_{\rm imp}[\Delta(\omega)] = G_{\rm RR}(\omega)$$

On the other hand, G_{RR} is related to the self-energy of the lattice (solid) by Dyson's equation:

$$G_{\mathbf{RR}}(\omega) = \sum_{\mathbf{k}} \frac{1}{\omega + \mu - \varepsilon_{\mathbf{k}} - \Sigma(\mathbf{k}, \omega)}$$

In which \mathcal{E}_k is the tight-binding band (FT of the hopping $t_{RR'}$) At this point, no approximation has been made: we have just used a reference system to represent G_{RR}

Let us now make the **APPROXIMATION** that the lattice self-energy is **k-independent** and coincides with that of the effective impurity problem:

$$\Sigma({
m k},\omega)\simeq \Sigma_{
m imp}(\omega)$$