

SOLID-STATE SCIENCES

P. Fulde

ELECTRON CORRELATIONS IN MOLECULES AND SOLIDS

Third Enlarged Edition

分子和固体中的电子关联

第3版

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Peter Fulde

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Preface

Since its first publication in 1991, sufficient time has elapsed for this book to undergo a number of improvements, extensions and updates made desirable by progress in the field. In particular, the projection and partitioning technique can now be formulated in a simple and appealing way that also enables us to easily derive the standard quantum-chemical approximations. Thus, extensive rewriting of Chaps. 4 and 5 was imperative. Chapter 6 now contains an extension of the cumulant formalism to excited states, while Chap. 7 formulates the projection method for finite temperature calculations.

The second part of the book, which presents various applications of the theory, also includes a number of extensions. Chapter 9, which deals with semiconductors, presents new and highly accurate results for the ground state based on the method of increments. In Chap. 11 the treatment of excitations in transition metals has been improved. Chapter 12 on strong correlations has been thoroughly rewritten to take account of new developments and insights. Chapters 13 and 14 have likewise been extended and modified; in particular, the section on high- T_c superconducting materials has been updated.

Without the immense support of Dr. H. Lotsch, the spiritus rector of the physical science program of Springer-Verlag, it would have taken far longer for this edition to appear. I am very grateful to him.

Dresden
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Preface to the First Edition

Any participant in a quantum chemistry meeting will notice that the attendance of solid-state physicists is rather sparse, and the reverse holds true for solid-state physics conferences, where one will meet hardly any quantum chemists. This shows how little contact exists between these two very active and important fields of condensed matter research. This is regrettable because, as solid-state physics becomes more and more a materials science and as quantum chemists are able to treat larger and larger molecules, the topics of mutual interest in these two fields are rapidly increasing. In order to change this situation, monographs are required that emphasize the features common to quantum chemistry and solid-state physics. It is the aim of this book to make a contribution here. An attempt is made to present the problem of electron correlations in molecules and solids in a unified form. For that we need a framework within which we can treat not only molecules and solids but also weakly and strongly correlated electrons. Such a framework is provided here. Because the terminology is often quite different in quantum chemistry and solid-state physics we have tried to compromise by using vocabulary and notation which should be reasonably familiar to scientists in both fields.

The book is divided into two parts. The first seven chapters concentrate on the various methods and techniques which are used to treat electron correlations in molecules and solids, whereas Chaps. 8–14 deal mainly with applications. They range from atoms and molecules to semiconductors and metals, with special emphasis on transition metals. Particular attention is paid to strongly correlated electron systems, a topic to which the last three chapters are devoted. The Kondo effect and in particular heavy-fermion systems and the new high-temperature superconducting materials fall into that category.

Without the fine cooperation and the support of Dr. H. Lotsch of Springer-Verlag this book would have taken much longer to complete. Ms. D. Hollis, also of Springer-Verlag, made important improvements to the manuscript. I am thankful to both of them.

Contents

1. Introduction	1
2. The Independent-Electron Approximation	5
2.1 Starting Hamiltonian	6
2.2 Basis Functions and Basis Sets	8
2.3 Self-Consistent Field Approximation	10
2.4 Simplified SCF Computational Schemes	18
2.4.1 Semi-empirical SCF Methods	18
2.4.2 Pseudopotentials	21
2.5 Koopmans' Theorem	24
2.6 Homogeneous Electron Gas	25
2.7 Local Exchange Potential – The X_α Method	32
2.8 Shortcomings of the Independent-Electron Approximation	33
2.9 Unrestricted SCF Approximation	36
3. Density Functional Theory	39
3.1 Thomas-Fermi Method	40
3.2 Hohenberg-Kohn-Sham Theory	41
3.3 Local-Density Approximation	44
3.4 Results for Atoms, Molecules, and Solids	49
3.5 Extensions and Limitations	52
4. Quantum-Chemical Approach to Electron Correlations	61
4.1 Configuration Interactions	63
4.1.1 Local and Localized Orbitals	66
4.1.2 Selection of Double Substitutions	68
4.1.3 Multireference CI	75
4.2 Many-Body Perturbation Theory	76
5. Cumulants, Partitioning, and Projections	81
5.1 Cumulant Representation	82
5.1.1 Ground-State Energy	83
5.1.2 Perturbation Expansion	87
5.2 Projection and Partitioning Techniques	88
5.2.1 Coupled-Electron-Pair Approximations	90
5.2.2 Projections Based on Local Operators	93

5.2.3 Method of Increments	94
5.3 Coupled-Cluster Method	96
5.4 Comparison with Various Trial Wavefunctions	100
5.5 Simplified Correlation Calculations	103
6. Excited States	107
6.1 CI Calculations and Basis Set Requirements	108
6.2 Excitation Energies in Terms of Cumulants	110
6.3 Green's Function Method	112
6.3.1 Perturbation Expansions	117
6.3.2 The Projection Method	122
6.4 Local Operators	126
7. Finite-Temperature Techniques	129
7.1 Approximations for Thermodynamic Quantities	130
7.1.1 Temperature Green's Function	133
7.1.2 The Projection Method for $T \neq 0$	135
7.2 Functional-Integral Method	138
7.2.1 Static Approximation	140
7.3 Monte Carlo Methods	143
7.3.1 Sampling Techniques	144
7.3.2 Ground-State Energy	146
8. Correlations in Atoms and Molecules	151
8.1 Atoms	152
8.2 Hydrocarbon Molecules	156
8.2.1 Analytic Expressions for Correlation-Energy Contributions	159
8.2.2 Simplified Correlation Calculations	161
8.3 Molecules Consisting of First-Row Atoms	170
8.4 Strength of Correlations in Different Bonds	173
8.5 Polymers	177
8.5.1 Polyethylene	177
8.5.2 Polyacetylene	178
8.6 Photoionization Spectra	183
9. Semiconductors and Insulators	189
9.1 Ground-State Correlations	190
9.1.1 Semi-empirical Correlation Calculations	190
9.1.2 Ab Initio Calculations	197
9.2 Excited States	202
9.2.1 Role of Nonlocal Exchange	204
9.2.2 The Energy Gap Problem	207
9.2.3 Hedin's GW Approximation	215

10. Homogeneous Metallic Systems	223
10.1 Fermi-Liquid Approach	224
10.2 Charge Screening and the Random-Phase Approximation	233
10.3 Spin Fluctuations	242
11. Transition Metals	253
11.1 Correlated Ground State	254
11.2 Excited States	262
11.3 Finite Temperatures	266
11.3.1 Single-Site Approximation	271
11.3.2 Two-Sites Approximation	277
11.3.3 Beyond the Static Approximation	278
12. Strongly Correlated Electrons	281
12.1 Molecules	284
12.2 Anderson Hamiltonian	288
12.2.1 Calculation of the Ground-State Energy	290
12.2.2 Excited States	295
12.2.3 Noncrossing Approximation	296
12.3 Effective Exchange Hamiltonian	302
12.3.1 Schrieffer–Wolff Transformation	302
12.3.2 Kondo Divergency	304
12.3.3 Fermi-Liquid Description	308
12.4 Magnetic Impurity in a Lattice of Strongly Correlated Electrons	311
12.5 Hubbard Hamiltonian	314
12.5.1 Ground-State: Gutzwiller’s Wavefunction and Spin-Density Wave State	314
12.5.2 Excitation Spectrum	323
12.5.3 The Limits of One Dimension and Infinite Dimensions	329
12.6 The $t - J$ Model	334
12.7 Slave Bosons in the Mean-Field Approximation	341
12.8 Kanamori’s t -Matrix Approach	343
13. Heavy-Fermion Systems	347
13.1 The Fermi Surface and Quasiparticle Excitations	351
13.1.1 Large Versus Small Fermi Surface	356
13.2 Model Hamiltonian and Slave Bosons	359
13.3 Application of the Noncrossing Approximation	365
13.4 Variational Wavefunctions	368
13.5 Quasiparticle Interactions	370
13.6 Quasiparticle-Phonon Interactions Based on Strong Correlations	373

14. Superconductivity and the High-T_c Materials	377
14.1 The Superconducting State	378
14.1.1 Pair States	381
14.1.2 BCS Ground State	386
14.1.3 Pair Breaking	390
14.2 Electronic Properties of the High- T_c Materials	394
14.2.1 Electronic Excitations in the Cu-O Planes	399
14.2.2 Calculation of the Spectral Weight by Projection Techniques	402
14.2.3 Size of the Fermi Surface	405
14.3 Other Properties of the Cuprates	408
14.3.1 Loss of Antiferromagnetic Order	409
14.3.2 Optical Conductivity	410
14.3.3 Magnetic Response	414
14.4 Heavy Fermions in $\text{Nd}_{2-x}\text{Ce}_x\text{CuO}_4$	417
Appendix	423
A. Relation Between $E_{xc}[\rho]$ and the Pair Distribution Function	423
B. Derivation of Several Relations Involving Cumulants	424
C. Projection Method of Mori and Zwanzig	426
D. Cross-Over from Weak to Strong Correlations	428
E. Derivation of a General Form for $ \Omega\rangle$	431
F. Hund's Rule Correlations	432
G. Cumulant Representation of Expectation Values and Correlation Functions	436
H. Diagrammatic Representation of Certain Expectation Values	439
I. Derivation of the Quasiparticle Equation	442
J. Coherent-Potential Approximation	444
K. Derivation of the NCA Equations	447
L. Ground-State Energy of a Heisenberg Antiferromagnet on a Square Lattice	449
M. The Lanczos Method	453
References	455
Subject Index	469

List of Abbreviations

AD	average density
AF	antiferromagnet
ARPES	angular resolved photoelectron spectroscopy
BCS	Bardeen, Cooper, Schrieffer
BIS	bremsstrahlung isochromat spectroscopy
BOA	bond orbital approximation
CEF	crystalline electric field
CEPA	coupled electron pair approximation
CGTO	contracted Gauss-type orbital
CI	configuration interaction
CI-SD	configuration interaction with single and double substitutions
CMO	canonical molecular orbital
CNDO	complete neglect of differential overlap
CPA	coherent potential approximation
DZ	double zeta
DZ + P	double zeta plus polarization function
EELS	electron energy loss spectroscopy
GTO	Gauss-type orbital
HF	Hartree-Fock
HOMO	highest occupied molecular orbital
INDO	intermediate neglect of differential overlap
LDA	local density approximation
LMO	localized molecular orbital
LSD	local spin density
MC-SCF	multiconfiguration self-consistent field
MNDO	modified neglect of differential overlap
MO	molecular orbital
MP-2(4)	Møller-Plesset perturbation expansion including second (fourth) order terms
MR-CI-SD	multireference configuration interactions using single and double excitations
NCA	noncrossing approximation
NO	natural orbital
OLRO	off-diagonal long range order
PCILO	perturbation configuration interaction using localized orbitals

PNO	pair natural orbital
RKKY	Ruderman, Kittel, Kasuya, Yoshida
RPA	random phase approximation
SCF	self-consistent field
SCR	self-consistent renormalization theory
SDW	spin density wave
SIC	self-interaction correction
STO	Slater-type orbital
TDA	Tamm-Dancoff approximation
TZ + P	triple-zeta plus polarization function
ZDO	zero differential overlap
1D (2D)	one (two) dimensional
2ph-TDA	two-particle hole Tamm-Dancoff approximation

Fourier Transforms

of operators: $a_{i\sigma} = \frac{1}{\sqrt{N_0}} \sum_{\mathbf{k}} a_{\mathbf{k}\sigma} e^{-i\mathbf{k} \cdot \mathbf{R}_i}$

N_0 = number of sites

of functions: $F_i = \frac{1}{N_0} \sum_{\mathbf{k}} F_{\mathbf{k}} e^{-i\mathbf{k} \cdot \mathbf{R}_i}$

1. Introduction

This book aims at bridging the gap between two active fields of research, i.e., quantum chemistry and solid-state theory. Soon after the development of quantum mechanics by *Heisenberg* [1.1], *Schrödinger* [1.2], *Born and Jordan* [1.3], *Dirac* [1.4], and others, the paper by *Heitler and London* [1.5] on the ground state of the H_2 molecule opened the way to a theoretical understanding of chemical bonding. Their work marks the beginning of quantum chemistry. The Heitler–London ansatz for the ground-state wavefunction of H_2 treats the two electrons as being strongly correlated, i.e., by excluding ionic configurations the two electrons stay completely out of each other's way. The ground state is a singlet and has the form

$$\psi_{HL}^S(\mathbf{r}_1, \mathbf{r}_2) = \frac{1}{2}[\phi_1(\mathbf{r}_1)\phi_2(\mathbf{r}_2) + \phi_2(\mathbf{r}_1)\phi_1(\mathbf{r}_2)](\alpha_1\beta_2 - \beta_1\alpha_2). \quad (1.0.1)$$

The functions $\phi_{1,2}(\mathbf{r})$ are centered on atoms 1 and 2, and the spinors α and β refer to spin up and spin down, respectively.

A distinctly different approach to the problem of interacting electrons was taken shortly thereafter by *Hartree* [1.6], *Fock* [1.7], and *Slater* [1.8], who treated the electrons as being independent of each other and introduced the idea of the self-consistent field. The latter is the interaction field an electron experiences when we take a spatial average over the positions of all the other electrons. Within the independent-electron approximation, the ground-state wavefunction of H_2 is of the form

$$\begin{aligned} \psi_{HF}^S(\mathbf{r}_1, \mathbf{r}_2) = & \frac{1}{2^{3/2}}[\phi_1(\mathbf{r}_1)\phi_1(\mathbf{r}_2) + \phi_1(\mathbf{r}_1)\phi_2(\mathbf{r}_2) + \phi_2(\mathbf{r}_1)\phi_1(\mathbf{r}_2) \\ & + \phi_2(\mathbf{r}_1)\phi_2(\mathbf{r}_2)](\alpha_1\beta_2 - \beta_1\alpha_2). \end{aligned} \quad (1.0.2)$$

One notices that the ionic configuration $\phi_1\phi_1$ and $\phi_2\phi_2$ in (1.0.2) enter with equal weight when compared with the nonionic configurations. Thus, when the two hydrogen atoms are pulled apart, the wavefunction does not reduce properly to the atomic limit. On the other hand, (1.0.1) does not reduce properly to the correct wavefunction in the limit of small atomic distances. As one might expect, the true ground state lies between the two extremes (1.0.1) and (1.0.2). Electron correlations reduce the ionic configuration relative to the nonionic ones, but they do not reduce them to zero as (1.0.1) suggests.

The forms (1.0.1) and (1.0.2) are prototypes of wavefunctions which apply not only to the H_2 molecule but, more generally, to both quantum chemistry

and to solid-state physics. They stand for localized versus delocalized electrons and have been the subject of countless discussions and controversies. Whether an improved calculation should start from a wavefunction of the Heitler–London (strong-correlation limit) or the Hartree–Fock form (limit of independent electrons) depends on how strong electron correlations become in a given molecule or solid. In principle, one would like to have a quantity which specifies the correlation strength in different bonds or atoms in a given chemical environment. This textbook intends to provide this information in a systematic fashion.

Two different roads have been pursued in quantum chemistry towards a qualitative and quantitative understanding of chemical bonding. *Pauling* [1.9] introduced and developed one of those approaches, basing it on the concept of resonance and resonance structures and essentially using the Heitler–London picture. The other one, the molecular orbital theory, was first developed by *Hund* [1.10] and *Mulliken* [1.11] and elaborated by *Slater* [1.8], *Hückel* [1.12], and others. It is based on the idea of independent electrons and hence corresponds to (1.0.2). When formulated broadly enough, both approaches described above are equivalent. In practice, however, often only the lowest-order corrections can be calculated for the two limiting cases. The molecular orbital theory has had great success, since most chemical bonds are relatively weakly correlated. It has failed, however, with certain metal-organic complexes or, as far as solids are concerned, with the copper-based high-temperature superconducting oxides, in which electron correlations are strong. The independent-electron approximation proves in those cases an inappropriate starting point.

This leads us to the theory of solids. *Sommerfeld* and *Bethe* [1.13] offered the first coherent presentation of a microscopic theory of solids. In particular, their theory of metals is based on *free* electrons. In view of the strong electron interactions, the fact that a theory of free electrons was so successful remained a puzzle for a long time. It was resolved only after the development of the concept of quasiparticles in Fermi liquids by *Landau* [1.14]. From his contribution we have gained the insight that the low-energy excitations of a metal can be described by quasiparticles which behave like electrons with renormalized mass, Fermi velocity, etc. This concept holds even for metals with strongly correlated electrons like the heavy-fermion systems. Whether it holds in all cases remains an open problem. As regards the high- T_c superconducting materials, for example, *Anderson* [1.15] has claimed that this is not the case.

The competition between the Heitler–London and independent-electron descriptions played an important role in the development of the theory of transition metals. Prominent representatives of the two approaches were *Van Vleck* [1.16] and *Slater* [1.17]. There is general consent today that in transition metals the *d* electrons are delocalized; it is also clear, however, that correlations among them are far from weak. Thus a number of atomic features – like Hund’s rule coupling – persist despite delocalization. Correlations are particularly strong in some of the transition metal oxides; a well-known example is CoO. Were it not for the strong correlations, this substance would be