Ab initio electronic structure theory of extended systems: periodicity and electron repulsion

Emmanuel Fromager

Laboratoire de Chimie Quantique, Université de Strasbourg, France

fromagere@unistra.fr

Electronic structure theory

• Solving the electronic structure problem for molecules or solids consists in solving the electronic *Schrödinger equation*,

 $\hat{H}\Psi_I = E_I\Psi_I.$

- The electronic wavefunction $\Psi_I \equiv \Psi_I (\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N)$ depends on the position (and spin) of the (N) electrons.
- \hat{H} is the *Hamiltonian* operator.
- There is in principle an infinite number of solutions.
- The solution with the *lowest energy* (usually labelled as I = 0) is referred to as the *ground-state* solution.
- The higher-energy solutions (I > 0) are the excited-state solutions.
- In this course, we will work within the *Born–Oppenheimer approximation*.

- 4 同 6 4 日 6 4 日 6

Electronic structure theory

- In other words, the positions of the nuclei will be *fixed* while we are solving the Schrödinger equation for the electrons.
- Vibronic effects will not be discussed.
- The $N\text{-}{\rm electron}$ Hamiltonian reads $\hat{H}=\hat{T}+\hat{W}_{\rm ee}+\hat{V}_{\rm ne}$ where

$$\hat{T} \equiv -\frac{\hbar^2}{2m_{\rm e}} \sum_{i=1}^{N} \nabla_{\mathbf{r}_i}^2 = -\frac{\hbar^2}{2m_{\rm e}} \sum_{i=1}^{N} \left(\frac{\partial^2}{\partial x_i^2} + \frac{\partial^2}{\partial y_i^2} + \frac{\partial^2}{\partial z_i^2} \right) \longrightarrow \quad \textit{kinetic energy}$$

$$\hat{W}_{\rm ee} \equiv \sum_{i < j}^{N} \frac{e^2}{4\pi\varepsilon_0 |\mathbf{r}_i - \mathbf{r}_j|} \times \quad \longrightarrow \quad \text{two-electron repulsion}$$

$$\hat{V}_{ne} \equiv \sum_{i=1}^{N} v_{ne}(\mathbf{r}_i) \times \longrightarrow electron-nuclei attraction$$

where $v_{ne}(\mathbf{r}) = -\sum_{A}^{nuclei} \frac{Z_A e^2}{4\pi\varepsilon_0 |\mathbf{r} - \mathbf{R}_A|}$

• Note that the operators are written in *SI units*.

Atomic units

• It is convenient to use *unitless* coordinates and energies where the *Bohr radius*

$$a_0 = \frac{4\pi\varepsilon_0\hbar^2}{m_{\rm e}e^2} \approx 0.529 \text{\AA}$$

and twice the *ionization* energy of the *hydrogen atom*

$$E_{\rm I} = \frac{m_{\rm e} e^4}{2(4\pi\varepsilon_0)^2\hbar^2} \approx 13.6\,{\rm eV}$$

are used as *reference*:

$$\begin{array}{rccc} x & \rightarrow & \tilde{x} = x/a_0 \\ y & \rightarrow & \tilde{y} = y/a_0 \\ z & \rightarrow & \tilde{z} = z/a_0 \\ E & \rightarrow & \tilde{E} = E/(2E_I) \end{array}$$

• This is the system of so-called *atomic units* (a.u.).

Emmanuel Fromager (UdS)

イロト イポト イヨト イヨト

Atomic units

- In practice, the "tilde" symbol is dropped.
- It can be shown that, when atomic units are employed, the Hamiltonian looks like if " $\hbar = m_{\rm e} = e^2/(4\pi\varepsilon_0) = 1$ ".
- As a result, the operators will be written as follows from now on:

$$\begin{split} \hat{T} &\equiv -\frac{1}{2} \sum_{i=1}^{N} \nabla_{\mathbf{r}_{i}}^{2} = -\frac{1}{2} \sum_{i=1}^{N} \left(\frac{\partial^{2}}{\partial x_{i}^{2}} + \frac{\partial^{2}}{\partial y_{i}^{2}} + \frac{\partial^{2}}{\partial z_{i}^{2}} \right) \\ \hat{W}_{ee} &\equiv \sum_{i < j}^{N} \frac{1}{|\mathbf{r}_{i} - \mathbf{r}_{j}|} \times \end{split}$$

$$v(\mathbf{r}) = -\sum_{A}^{ ext{nuclei}} rac{Z_A}{|\mathbf{r}-\mathbf{R}_A|}.$$

(日) (周) (三) (三)

1D extended system: linear chain of hydrogen atoms



• Nuclear potential energy (in atomic units) for a linear and *periodic* chain of atoms:

$$v_{\rm ne}(\mathbf{r}) \equiv v_{\rm ne}(x, y, z) = -\sum_{n \in \mathbb{Z}} \frac{Z}{\sqrt{(x - na)^2 + y^2 + z^2}} = v_{\rm ne}(x + a, y, z)$$

where $\mathbb{Z} = \{0, \pm 1, \pm 2, \ldots\}$ and *a* is the *lattice constant*.

• For simplicity, we will consider a chain of hydrogen atoms (Z = 1) in the following. Emmanuel Fromager (UdS) Modelling 2: Extended systems in DFT 6/46

Nuclear potential for M hydrogen atoms and a = 3.0 a.u.





Nuclear potential for M hydrogen atoms and a = 3.0 a.u.

Emmanuel Fromager (UdS)

- 一司

Nuclear potential for M hydrogen atoms and a = 3.0 a.u.





Nuclear potential for M hydrogen atoms and a = 3.0 a.u.



Nuclear potential for M hydrogen atoms and a = 3.0 a.u.

The Chemist's approach to periodic systems

- In order to get some insight into the effect of a periodic nuclear potential on the wavefunction we will (for now) restrict the discussion to one-electron systems.
- By analogy with chemistry, we can use, as a starting point, the concept of *linear* combination of atomic orbitals (LCAO).
- Let's start with a single atom at position x = 0:



Bonding orbital in the diatomic (M = 2)



Bonding/antibonding orbitals in the diatomic (M = 2)



Bonding/antibonding densities in the diatomic (M = 2)











Hückel (or tight-binding) model

- Let us try to rationalize our chemical approach from *first principles*.
- How can we generate (approximate) solutions to the Schrödinger equation?
- We can *project* the latter *onto a basis* of (localized) 1s atomic orbitals:

$$\phi_n(\mathbf{r}) = \frac{1}{\sqrt{\pi}} e^{-\sqrt{(x-na)^2 + y^2 + z^2}}$$

• The (one-electron) Hamiltonian matrix elements are

$$h_{nm} = \left\langle \phi_n \left| \hat{h} \right| \phi_m \right\rangle = \int d\mathbf{r} \; \phi_n^*(\mathbf{r}) imes \hat{h} \phi_m(\mathbf{r}),$$

where $\hat{h} \equiv -\frac{1}{2} \nabla_{\mathbf{r}}^2 + v_{ne}(\mathbf{r}) imes.$

Hückel (or tight-binding) model

EXERCISE [solution available here]

(1) Show that the diagonal elements h_{nn} have the same value (the " α " of Hückel theory).

(2) Show that the matrix elements $h_{n(n+1)}$ between two neighboring 1s orbitals have the same value (the " β " of Hückel theory, also denoted "t" or "-t").

(3) Show that, if we neglect the overlap between non-neighboring 1s orbitals in the calculation of the Hamiltonian matrix elements, then the latter can be written as follows,

$$h_{nm} = \frac{\alpha}{\delta_{nm}} + \frac{\beta}{\delta_{n(m+1)}} + \delta_{n(m-1)}$$

<u>Comment 1</u>: for sake of simplicity, the overlap between neighboring orbitals is usually neglected when diagonalizing the one-electron Hamiltonian matrix. In other words, the orbital basis is assumed to be orthonormal.

<u>Comment 2</u>: α and β are often used as *parameters*. They might be optimized in order to reproduce experimental data. In the latter case, they will also simulate (some part of) the effect of the two-electron repulsion.

From 3D to 1D

• Let us now return to the *exact* one-electron Schrödinger equation:

$$-\frac{1}{2}\nabla_{\mathbf{r}}^{2}\Psi(\mathbf{r}) + v_{\mathrm{ne}}(\mathbf{r}) \times \Psi(\mathbf{r}) = E\Psi(\mathbf{r})$$

• The potential exhibits periodicity along the x axis (symmetry property):

$$v_{\rm ne}(x+a, y, z) = v_{\rm ne}(x, y, z)$$

• We would like to transform the initial three-dimensional problem into the following *one-dimensional* one,

$$\left[-\frac{1}{2}\frac{\mathrm{d}^2}{\mathrm{d}x^2} + v(x)\times\right]\varphi(x) = \varepsilon\varphi(x)$$

where $v(x + \mathbf{a}) = v(x)$.

From 3D to 1D

EXERCISE

Let us consider the exact wavefunction separation

$$\Psi(\mathbf{r}) \equiv \Psi(x, y, z) = \varphi_{yz}(x) \times \chi(x, y, z),$$

where the wavefunction $\varphi_{yz}(x)$, which is *parameterized* by the coordinates y and z, fulfills the following *one-dimensional* Schrödinger equation,

$$\left[-\frac{1}{2}\frac{\mathrm{d}^2}{\mathrm{d}x^2} + v_{yz}(x)\times\right]\varphi_{yz}(x) = \varepsilon_{yz}\varphi_{yz}(x) \qquad \text{with} \quad v_{yz}(x) = v_{\mathrm{ne}}(x, y, z).$$

Note that the above equation describes a one-dimensional periodic problem since $v_{yz}(x + a) = v_{yz}(x)$.

3

(1) Show that the complementary wavefunction χ fulfills

$$\begin{pmatrix} -\frac{1}{2}\frac{\partial^2\chi(x,y,z)}{\partial x^2} + \frac{1}{\varphi_{yz}(x)} \left[-\frac{1}{2}\frac{\partial^2}{\partial y^2} - \frac{1}{2}\frac{\partial^2}{\partial z^2} \right] \left(\varphi_{yz}(x)\chi(x,y,z) \right) \\ -\frac{1}{\varphi_{yz}(x)}\frac{\partial\varphi_{yz}(x)}{\partial x}\frac{\partial\chi(x,y,z)}{\partial x} \right) + \varepsilon_{yz} \times \chi(x,y,z) = E\chi(x,y,z).$$

(2) Show that, if (i) we neglect the variation in both y and z of φ_{yz} , and (ii) χ does not vary with x, then the above equation becomes

$$\left[-\frac{1}{2}\frac{\partial^2}{\partial y^2}-\frac{1}{2}\frac{\partial^2}{\partial z^2}\right]\chi(y,z)+\varepsilon_{yz}\times\chi(y,z)\approx E\chi(y,z).$$

3

イロト イポト イヨト イヨト

• Our task is now to solve

$$\left[-\frac{1}{2}\frac{\mathrm{d}^2}{\mathrm{d}x^2}+v(x)\times\right]\varphi(x)=\varepsilon\varphi(x)\qquad \text{where } v(x+\mathbf{a})=v(x).$$

• Let us warm up with the *free particle* problem [v(x) = 0]:

(i) the solution reads $\varphi(x) = C_{\varphi} e^{ikx}$ and its energy $\varepsilon(k) = k^2/2$ is a *function* of k.

(ii) Note that
$$\frac{1}{\frac{d^2 \varepsilon(k)}{dk^2}} = 1$$
 is the mass of the electron in atomic units*.

(iii) The variation of $\varepsilon(k)$ with k, which will be modified by the nuclear potential, is referred to as the *dispersion relation*.

* In SI units,
$$\varepsilon(k) = \frac{\hbar^2 k^2}{2m_e}$$
 thus leading to $m_e^{-1} = \frac{1}{\hbar^2} \frac{d^2 \varepsilon(k)}{dk^2}$.
Emmanuel Fromager (UdS) Modelling 2: Extended systems in DFT 25 / 46

• In the presence of the atoms the wavefunction will have the more general form

$$\varphi(x) = \int_{-\infty}^{+\infty} \mathrm{d}k \ C_{\varphi}(k) \, e^{\mathrm{i}kx}$$

• The function $C_{\varphi}(k)$ is the *Fourier transform* of the wavefunction φ .

Maths: Note that $\varphi(x) = 0 \quad \forall x \quad \Leftrightarrow \quad C_{\varphi}(k) = 0 \quad \forall k.$

3

イロト イポト イヨト イヨト

EXERCISE [partial solution available here]

Let us introduce the Fourier transform of the nuclear potential:

$$v(x) = \int_{-\infty}^{+\infty} \mathrm{d}k \ C_v(k) \ e^{\mathrm{i}kx}$$

(1) Show that the periodicity condition, $v(x + a) = v(x) \quad \forall x$, implies

$$C_v(k)\Big(1-e^{\mathrm{i}k\mathbf{a}}\Big)=0 \quad \forall k.$$

(2) Deduce that the potential can be written as

$$\overline{v(x)} = \sum_{K \in \frac{2\pi}{a} \mathbb{Z}} V_K e^{iKx} \equiv \sum_{m = -\infty}^{+\infty} C_v \left(\frac{2\pi m}{a}\right) e^{i\frac{2\pi m}{a}x}$$

The ensemble of K values is called the *reciprocal lattice space*. \mathbb{R}

(3) Show, from the Fourier transform expressions of the potential and the wavefunction, that the Schrödinger equation can be rewritten as follows

$$\left(\frac{k^2}{2} - \varepsilon\right) C_{\varphi}(k) + \sum_{K \in \frac{2\pi}{a} \mathbb{Z}} V_K C_{\varphi}(k - K) = 0, \quad \forall k$$
(1)

or, equivalently $(k \rightarrow k - K')$,

$$\left(\frac{\left(k-K'\right)^2}{2}-\varepsilon\right)C_{\varphi}(k-K')+\sum_{K''\in\frac{2\pi}{a}\mathbb{Z}}V_{(K''-K')}C_{\varphi}(k-K'')=0,\quad\forall k,\;\;\forall K'\quad(2)$$

(4) Check that the free-particle solutions are recovered from Eq. (1).

(5) Show that, if Eq. (2) is solved for a *given and fixed* k value, it becomes equivalent to the following diagonalization problem

$$\mathbf{H}(k)\mathbf{X}(k) = \varepsilon(k)\mathbf{X}(k) \tag{3}$$

where

$$\mathbf{X}(k) \equiv X_{K'}(k) = C_{\varphi}(k - K')$$
$$\mathbf{H}(k) \equiv H_{K'K"}(k) = \frac{(k - K')^2}{2} \delta_{K'K"} + V_{(K"-K')}$$

(6) Eq. (3) has in principle an infinite number of solutions $\{\mathbf{X}^{(n)}(k)\}_n$ with the corresponding energies $\{\varepsilon^{(n)}(k)\}_n$ where n is a quantum number. Show that the corresponding wavefunction reads

$$\varphi^{(n)}(k,x) = \sum_{K' \in \frac{2\pi}{a} \mathbb{Z}} C_{\varphi}^{(n)}(k-K') e^{i(k-K')x}$$
(4)

・ロト ・回ト ・ヨト ・ヨト

29 / 46

Interlude on the first Brillouin zone

$$\varphi^{(n)}(k,x) = \sum_{K' \in \frac{2\pi}{a} \mathbb{Z}} C_{\varphi}^{(n)}(k-K') e^{\mathrm{i}(k-K')x}$$

Note that

$$\varphi^{(n)}\left(\boxed{k+\frac{2\pi}{a}},x\right) = \sum_{\substack{K^{"} \in \left(\frac{2\pi}{a}\mathbb{Z}-\frac{2\pi}{a}\right)\\ K^{"} \in \left(\frac{2\pi}{a}\mathbb{Z}-\frac{2\pi}{a}\right)}} C_{\varphi}^{(n)}(k-K^{"})e^{i(k-K^{"})x}$$

$$= \sum_{\substack{K^{'} \in \frac{2\pi}{a}\mathbb{Z}\\ \varphi^{(n)}(\boxed{k},x).}$$
(5)

Conclusion: The solutions to the *k*-dependent Schrödinger equation (3) are periodic in k with the period $\frac{2\pi}{a}$. Therefore we only need to solve Eq. (3) for k values that belong to an interval of length $\frac{2\pi}{a}$. We usually consider the range $-\frac{\pi}{a} < k \leq +\frac{\pi}{a}$, which is referred to as the *first Brillouin zone*.

(7) Bloch's theorem states that the wavefunction can be written as follows,

$$\varphi^{(n)}(k, \mathbf{x}) = e^{\mathrm{i}k\mathbf{x}} \times u^{(n)}(k, \mathbf{x})$$

where $u^{(n)}(k, x + a) = u^{(n)}(k, x) \quad \leftarrow \text{ periodicity of the lattice!}$

Show that this theorem is indeed recovered from Eq. (4).

Let us recall our chemical approach:

$$u^{(n)}(k,x) \quad \longleftarrow \quad \lim_{M \to +\infty} \left(\frac{1}{\sqrt{\pi M}} \sum_{n=-(M-1)/2}^{(M-1)/2} e^{-|x+n \times a|} \right)$$
$$e^{ikx} \quad \stackrel{k=0}{\longrightarrow} \quad +1 \text{ for } any x \text{ (bonding!)}$$
$$e^{ikx} \quad \stackrel{k=\frac{\pi}{q}}{\longrightarrow} \quad +1 \text{ for } x=0 \text{ and } -1 \text{ for } x=a \text{ (antibonding!)}$$

$$\varphi^{(n)}(k, \mathbf{x}) = e^{\mathrm{i}k\mathbf{x}} \times u^{(n)}(k, \mathbf{x})$$

Note that, unlike the wave function, the density has the periodicity of the lattice:

$$\left|\varphi^{(n)}(k,x)\right|^{2} = \left|e^{\mathbf{i}kx}\right|^{2} \times \left|u^{(n)}(k,x)\right|^{2} = \left|u^{(n)}(k,x)\right|^{2},$$

so that

$$\left|\varphi^{(n)}(k, x+a)\right|^2 = \left|u^{(n)}(k, x+a)\right|^2 = \left|u^{(n)}(k, x)\right|^2 = \left|\varphi^{(n)}(k, x)\right|^2.$$

< m

.∋...>

One-electron picture of the many-electron problem

• The one-electron picture consists in (i) calculating the energy levels of a *single electron* and (ii) distributing all the electrons among them (*Aufbau principle*).



 As you know, this picture does not give an exact description of the true electronic structure because of the two-electron repulsion. It becomes formally exact in Kohn-Sham DFT as, in this case, the one-electron picture reproduces the exact ground-state density.

Emmanuel Fromager (UdS)

Concept of band structure

PHYSICAL REVIEW B 93, 205205 (2016)

More realistic band gaps from meta-generalized gradient approximations: Only in a generalized Kohn-Sham scheme

Zeng-hui Yang, Haowei Peng, Jianwei Sun, and John P. Perdew Department of Physics, Temple University, Philadelphia, Pennsylvania 19122, USA (Received 1 March 2016; revised manuscript received 6 May 2016; published 24 May 2016)



FIG. 3. The band structure of Si calculated with PBE, gKS SCAN, and KS(KLI) SCAN.

Emmanuel Fromager (UdS)

Modelling 2: Extended systems in DFT

Simplification of the many-electron problem

- The exact ground-state electronic structure is in principle described by a many-electron wavefunction Ψ₀ (x₁, x₂,..., x_N).
- When it comes to describe an *extended system*, where the number of electrons N may go to infinity, it is natural to wonder if the wave function is actually a well defined and reachable mathematical object.
- From a practical point of view, this is for sure *not the way to go*.
- State-of-the-art methods in condensed matter physics do not rely on many-electron wavefunctions.
- They use *reduced* quantities instead.
- The most famous one (in the physics community) is the time-ordered one-electron *Green function* $G(\mathbf{x}, t_1; \mathbf{x}', t_2)$.
- Another important (and simpler) quantity is the electron *density*

$$n(\mathbf{r}) = -\mathrm{i} \sum_{\sigma=\pm\frac{1}{2}} \lim_{t_2 \to t_1, t_1 < t_2} G(\mathbf{x}, t_1; \mathbf{x}, t_2), \quad \text{ where } \ \mathbf{x} \equiv (\mathbf{r}, \sigma).$$

• The latter is the basic variable in *density-functional theory*.

(B)

$G(\mathbf{x},t_1;\mathbf{x}',t_2) =$

$$-i\langle \Psi_0 | \hat{\Psi}(\mathbf{x}, t_1) \hat{\Psi}^{\dagger}(\mathbf{x}', t_2) | \Psi_0 \rangle$$

$$\boxed{t_1 > t_2}$$

$$G(\mathbf{x}, t_1; \mathbf{x}', t_2) =$$



090



39 / 46



40 / 46





Emmanuel Fromager (UdS)

42 / 46





44 / 46

If
$$\mathbf{x} = \mathbf{x}' \dots$$



45 / 46

$$G(\mathbf{x}, t_1; \mathbf{x}, t_2) = \mathbf{1}$$

$$\mathbf{t}_2 \xrightarrow{t_2 \ge t_1} \mathbf{t}_1$$

$$\mathbf{i} \langle \Psi_0 | \hat{\Psi}^{\dagger}(\mathbf{x}, t_1) \hat{\Psi}(\mathbf{x}, t_1) | \Psi_0 \rangle = \mathbf{i} \, n(\mathbf{x}) \text{ Density!}$$

nan