

Title

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# Chapter 1

## lec01 202200204

*TODO before the lectures note, there are some content are from slides topics*

1. quantum harmonic oscillator
2. creation and annihilation operators
3. Fock space
4. real space wave functions
5. coherent state
6. propagator

goals

1. QM warm-up
2. do some Gaussian integrals
3. change some basis

As a warm-up, consider the QHO in one-dimension.

$$\hat{H} = \frac{\hat{p}^2}{2m} + \frac{1}{2}m\omega^2\hat{x}^2$$
$$[\hat{x}, \hat{p}] = i\hbar$$

in position basis,  $\hat{p} = -i\hbar\partial_x$ . check

$$[\hat{x}, \hat{p}] f(x) = -i\hbar x\partial_x f + i\hbar\partial_x(xf)$$
$$= -i\hbar x\partial_x f + i\hbar f + i\hbar x\partial_x f$$
$$= i\hbar f$$

In position basis, the eigenvalues satisfy

$$-\frac{\hbar^2}{2m}\partial_x^2\phi(x) + \frac{1}{2}m\omega^2x^2\phi(x) = E\phi(x)$$

We can, however, solve it algebraically (without going to the position basis). First, let's adopt some dimensionless coordinates. We know  $[\hat{H}] = [\hbar\omega]$ ; write

$$\hat{H} = \frac{\hbar\omega}{2} \left( \frac{m\omega}{\hbar}\hat{x}^2 + \frac{1}{m\hbar\omega}\hat{p}^2 \right)$$

Define

$$\hat{X} = \sqrt{\frac{m\omega}{\hbar}}\hat{x}, \quad \hat{P} = \frac{1}{\sqrt{m\hbar\omega}}\hat{p}$$

Then

$$[\hat{X}, \hat{P}] = \sqrt{\frac{m\omega}{\hbar}} \frac{1}{\sqrt{m\hbar\omega}} [\hat{x}, \hat{p}] = i$$

Let's now define

$$\hat{a}^\dagger = \frac{1}{\sqrt{2}} (\hat{X} - i\hat{P}), \quad \hat{a} = \frac{1}{\sqrt{2}} (\hat{X} + i\hat{P})$$

which gives

$$\begin{aligned} \hat{a}^\dagger \hat{a} &= \frac{1}{2} (\hat{X} - i\hat{P})(\hat{X} + i\hat{P}) = \frac{1}{2} (\hat{X}^2 + \hat{P}^2 + i[\hat{X}, \hat{P}]) \\ \hat{H} &= \frac{\hbar\omega}{2} (\hat{X}^2 + \hat{P}^2) = \hbar\omega \left( \hat{a}^\dagger \hat{a} + \frac{1}{2} \right) \end{aligned}$$

This gives a convenient way to construct the spectrum. First, check

$$[\hat{a}, \hat{a}^\dagger] = \frac{1}{2} [\hat{X} + i\hat{P}, \hat{X} - i\hat{P}] = \frac{1}{2}i [\hat{P}, \hat{X}] - \frac{1}{2}i [\hat{X}, \hat{P}] = 1$$

So, if  $\hat{H}|E\rangle = E|E\rangle$ , we have

$$\begin{aligned} \hat{H}(\hat{a}^\dagger|E\rangle) &= \hbar\omega \left( \hat{a}^\dagger \hat{a} + \frac{1}{2} \right) \hat{a}^\dagger|E\rangle \\ &= \hbar\omega \left( \hat{a}^\dagger \hat{a} \hat{a}^\dagger + \frac{1}{2} \hat{a}^\dagger \right) |E\rangle \\ &= \hbar\omega \left( \hat{a}^{\dagger 2} \hat{a} + \hat{a}^\dagger + \frac{1}{2} \hat{a}^\dagger \right) |E\rangle \\ &= \hat{a}^\dagger (\hat{H} + \hbar\omega) |E\rangle \\ &= \hat{a}^\dagger (E + \hbar\omega) |E\rangle \\ &= (E + \hbar\omega) (\hat{a}^\dagger|E\rangle) \end{aligned}$$

which means  $\hat{a}^\dagger|E\rangle$  is another eigenstate with energy  $E + \hbar\omega$ . This relates the different eigenstates. We just need to find the ground state. Since

$$\langle\phi|\hat{a}^\dagger\hat{a}|\phi\rangle = \|\hat{a}|\phi\rangle\|^2 \geq 0, \quad \forall|\phi\rangle$$

If  $\hat{a}$  has a null vector, then it will be the ground state. Let's just posit such a state exist, i.e.,

$$\exists|0\rangle \text{ s.t. } \hat{a}|0\rangle = 0$$

Then the eigen spectrum is given by

$$\left\{|n\rangle; E_n = \hbar\omega \left(n + \frac{1}{2}\right)\right\}$$

We can also find the matrix elements of  $\hat{a}, \hat{a}^\dagger$  in this eigen basis. Recall

$$|n+1\rangle = \mathcal{N}\hat{a}^\dagger|n\rangle$$

where  $\mathcal{N} \in \mathbb{R}^+$  is the normalization factor. Also, from the preceding discussion we have

$$\hat{a}^\dagger\hat{a}|n\rangle = n|n\rangle$$

The normalization is then

$$\begin{aligned} 1 &= \langle n+1|n+1\rangle = \mathcal{N}^2\langle n|\hat{a}\hat{a}^\dagger|n\rangle \\ &= \mathcal{N}^2\langle n|(\hat{a}^\dagger\hat{a} + 1)|n\rangle \\ &= (n+1)\mathcal{N}^2 \end{aligned}$$

$$\hat{a}^\dagger|n\rangle = \sqrt{n+1}|n+1\rangle$$

similar argument gives  $\hat{a}|n\rangle = \sqrt{n}|n-1\rangle$ . In a matrix picture.

$$\hat{a}^\dagger = \begin{bmatrix} 0 & & & & \\ 1 & 0 & & & \\ & \sqrt{2} & 0 & & \\ & & \sqrt{3} & 0 & \\ & & & \ddots & \ddots \end{bmatrix}, \quad \hat{a} = \begin{bmatrix} 0 & 1 & & & \\ 0 & \sqrt{2} & & & \\ 0 & 0 & \sqrt{3} & & \\ 0 & & 0 & \ddots & \\ & & & & \ddots \end{bmatrix}$$

This is a “number” basis. We call it the Fock space. It's separable (but infinite dimensional). We are only left with showing  $\hat{a}|0\rangle = 0$  *TODO-UNKNOWN-WORD* solution. To do so, let's go back to the position basis. Recall

$$\begin{aligned} \hat{a} &= \frac{1}{\sqrt{2}}\left(\hat{X} + i\hat{P}\right) = \frac{1}{\sqrt{2}}\left(X + i\left(-i\frac{\partial}{\partial X}\right)\right) = \frac{1}{\sqrt{2}}\left(X + \frac{\partial}{\partial X}\right) \\ \hat{a}|\phi_0\rangle &= 0 \\ \left(X + \frac{\partial}{\partial X}\right)\phi_0(X) &= 0 \end{aligned}$$

$$\int \frac{d\phi_0(X)}{\phi_0(X)} = - \int X dX$$

$$\phi_0(X) = \mathcal{N} e^{-X^2/2}$$

Which is a Gaussian. Recall  $X = \sqrt{\frac{m\omega}{\hbar}}x$ ,

$$\phi_0(x) = \mathcal{N} e^{-m\omega x^2/(2\hbar)}$$

To get the normalization,

$$\begin{aligned} 1 &= \int_{-\infty}^{\infty} |\phi_0(x)|^2 dx = \mathcal{N}^2 \int_{-\infty}^{\infty} e^{-m\omega x^2/\hbar} dx \\ &= \mathcal{N}^2 \sqrt{\frac{\hbar}{2m\omega}} \int_{-\infty}^{\infty} e^{-m\omega x^2/\hbar} \exp\left(-\left(\sqrt{\frac{\hbar}{2m\omega}}x\right)^2/2\right) d\left(\sqrt{\frac{\hbar}{2m\omega}}x\right) \\ &= \mathcal{N}^2 \sqrt{\frac{\hbar}{2m\omega}} \sqrt{2\pi} \\ \mathcal{N} &= \left(\frac{m\omega}{\pi\hbar}\right)^{1/4} \\ \phi_0(x) &= \left(\frac{m\omega}{\pi\hbar}\right)^{1/4} e^{-m\omega x^2/(2\hbar)} \end{aligned}$$

Side note: Gaussian integration

$$\int_{-\infty}^{\infty} e^{-ax^2/2} dx = \sqrt{\frac{2\pi}{a}}, \quad a > 0$$

A standard discussion will next introduce the real-space wave function of the excited states through the Hermite polynomial. Let's try to avoid that!

## 1.1 coherent state

We have seen that the creation and annihilation operators provides a simple way to analyze the QHO. Let's now take these as the “coordinates” for our problem. Recall position basis  $\hat{x}|x\rangle = x|x\rangle$ . Similarly, we consider the eigenstates of the form

$$\hat{a}|\alpha\rangle = \alpha|\alpha\rangle; \quad \alpha \in \mathbb{C}$$

E.g., The ground state  $\hat{a}|0\rangle = 0|0\rangle = 0$ . To solve for the eigenstate, write

$$|\alpha\rangle = \sum_{n=0} C_n(\alpha) |n\rangle$$

Then,

$$\begin{aligned}\hat{a}|\alpha\rangle &= \sum_{n=0} C_n(\alpha) \hat{a}|n\rangle \\ &= \sum_{n=0} C_n(\alpha) \sqrt{n}|n-1\rangle \\ &= \sum_{n=0} C_{n+1}(\alpha) \sqrt{n+1}|n\rangle\end{aligned}$$

versus

$$\alpha|\alpha\rangle = \sum_{n=0} C_n(\alpha) \alpha|n\rangle$$

we conclude

$$C_{n+1}(\alpha) = \frac{\alpha C_n(\alpha)}{\sqrt{n+1}} = \frac{\alpha^2 C_{n-1}(\alpha)}{\sqrt{(n+1)n}} = \dots = \frac{\alpha^{n+1} C_0(\alpha)}{\sqrt{(n+1)!}}$$

Note:  $|\alpha\rangle$  is a superposition of  $\{|n\rangle\}$ . It's not an energy eigenstate (unless  $\alpha = 0$ ).

We have

$$|\alpha\rangle = C_0(\alpha) \sum_{n=0} \frac{\alpha^n}{\sqrt{n!}} |n\rangle$$

Normalization:

$$\begin{aligned}1 &= \langle \alpha | \alpha \rangle = |C_0(\alpha)|^2 \sum_{m,n=0} \frac{(\alpha^*)^m \alpha^n}{\sqrt{m!} \sqrt{n!}} \langle m | n \rangle \\ &= |C_0(\alpha)|^2 \sum_{m=0} \frac{|\alpha|^{2m}}{m!} \\ &= |C_0(\alpha)|^2 e^{|\alpha|^2} \\ C_0(\alpha) &= e^{-|\alpha|^2/2} \\ |\alpha\rangle &= e^{-|\alpha|^2/2} \sum_{n=0} \frac{\alpha^n}{\sqrt{n!}} |n\rangle\end{aligned}$$

This looks almost like the exponential! Recall

$$|n\rangle = \frac{\hat{a}^\dagger}{\sqrt{n}} |n-1\rangle = \frac{\hat{a}^{\dagger 2}}{\sqrt{n(n-1)}} |n-2\rangle = \dots = \frac{\hat{a}^{\dagger n}}{\sqrt{n!}} |0\rangle$$

So,

$$\begin{aligned}|\alpha\rangle &= e^{-|\alpha|^2/2} \sum_{n=0} \frac{\alpha^n \hat{a}^{\dagger n}}{\sqrt{n!} \sqrt{n!}} |0\rangle \\ &= e^{-|\alpha|^2/2} e^{\alpha \hat{a}^\dagger} |0\rangle\end{aligned}$$



# Chapter 2

## lec02 202200209

topics:

1. QHO: displacement operator and propagator
2. Phonons: from QHO to second quantization

goals

1. continue with our QM warm-up
2. introduce the propagator, Green function
3. free phonons as our first “many-body” bosonic problem

### 2.1 QHO

Recall the QHO Hamiltonian

$$\begin{aligned}\hat{H} &= \frac{\hat{p}^2}{2m} + \frac{1}{2}m\omega^2\hat{x}^2 = \hbar\omega \left( \hat{a}^\dagger \hat{a} + \frac{1}{2} \right) \\ \hat{a} &= \frac{1}{\sqrt{2}} \left( \hat{X} + i\hat{P} \right) \\ \hat{X} &= \sqrt{\frac{m\omega}{\hbar}} \hat{x} \\ \hat{P} &= \frac{1}{\sqrt{m\hbar\omega}} \hat{p}\end{aligned}$$

Coherent states are labeled by  $\alpha \in \mathcal{C}$

$$\hat{a}|\alpha\rangle = \alpha|\alpha\rangle$$

Displacement operator: unitary to rotate between coherent states, let

$$\hat{D}(\alpha) = e^{\alpha\hat{a}^\dagger - \alpha^*\hat{a}}$$

where  $\alpha\hat{a}^\dagger - \alpha^*\hat{a}$  is anti-Hermitian.

Baker-Campbell-Hausdorff formula: for  $[\hat{A}, \hat{B}]$  central ( $[\hat{A}, \hat{B}]$  commutes with both  $\hat{A}\&\hat{B}$ )

$$e^{\hat{A}}e^{\hat{B}} = e^{\hat{A} + \hat{B} + \frac{1}{2}[\hat{A}, \hat{B}]}$$

By BCH, and noting  $[\alpha\hat{a}^\dagger, -\alpha^*\hat{a}] = |\alpha|^2$  is central,

$$\begin{aligned} e^{\alpha\hat{a}^\dagger}e^{-\alpha^*\hat{a}} &= e^{\alpha\hat{a}^\dagger - \alpha^*\hat{a}}e^{[\alpha\hat{a}^\dagger, -\alpha^*\hat{a}]/2} \\ \hat{D}(\alpha) &= e^{\alpha\hat{a}^\dagger - \alpha^*\hat{a}} = e^{-|\alpha|^2/2}e^{\alpha\hat{a}^\dagger}e^{-\alpha^*\hat{a}} \end{aligned}$$

Check

$$\hat{D}(\alpha)|0\rangle = e^{-|\alpha|^2/2}e^{\alpha\hat{a}^\dagger}e^{-\alpha^*\hat{a}}|0\rangle = e^{-|\alpha|^2/2}e^{\alpha\hat{a}^\dagger}|0\rangle = |\alpha\rangle$$

“Displacement”? compute (also using BCH formula)

$$\begin{aligned} \hat{D}^\dagger(\alpha)\hat{a}\hat{D}(\alpha) &= e^{-\alpha\hat{a}^\dagger + \alpha^*\hat{a}}\hat{a}e^{\alpha\hat{a}^\dagger - \alpha^*\hat{a}} \\ &= \hat{a} + [-\alpha\hat{a}^\dagger + \alpha^*\hat{a}, \hat{a}] \\ &= \hat{a} + \alpha \end{aligned}$$

$$\hat{D}^\dagger(\alpha)\hat{a}^\dagger\hat{D}(\alpha) = \hat{a}^\dagger + \alpha^*$$

E.g., 1. Average energy

$$\begin{aligned} \langle\alpha|\hat{H}|\alpha\rangle &= \langle 0|\hat{D}^\dagger(\alpha)\hbar\omega\left(\hat{a}^\dagger\hat{a} + \frac{1}{2}\right)\hat{D}(\alpha)|0\rangle \\ &= \langle 0|\hbar\omega\left((\hat{a}^\dagger + \alpha^*)(\hat{a} + \alpha) + \frac{1}{2}\right)|0\rangle \\ &= \frac{\hbar\omega}{2} + \hbar\omega\langle 0|\left(\hat{a}^\dagger\hat{a} + \hat{a}^\dagger\alpha + \alpha^*\hat{a} + |\alpha|^2\right)|0\rangle \\ &= \hbar\omega\left(|\alpha|^2 + \frac{1}{2}\right) \end{aligned}$$

Not an eigenstate, and has a continuously adjustable average energy.

E.g., 2. Expectation values for  $\langle\hat{x}\rangle$  and  $\langle\hat{p}\rangle$

$$\alpha = \langle\alpha|\left(\hat{X} + i\hat{P}\right)|\alpha\rangle = \frac{1}{\sqrt{2}}\langle\alpha|\hat{X}|\alpha\rangle + \frac{i}{\sqrt{2}}\langle\alpha|\hat{P}|\alpha\rangle$$

It's natural for us to parametrize the complex variable

$$\alpha = \frac{1}{\sqrt{2}}(X_\alpha + iP_\alpha), X_\alpha, P_\alpha \in \mathbb{R}$$

and simply the expectation values

$$\begin{aligned} X_\alpha &= \langle \alpha | \hat{X} | \alpha \rangle = \sqrt{\frac{m\omega}{\hbar}} \langle \alpha | \hat{x} | \alpha \rangle \\ P_\alpha &= \langle \alpha | \hat{P} | \alpha \rangle = \frac{1}{\sqrt{m\hbar\omega}} \langle \alpha | \hat{P} | \alpha \rangle \end{aligned}$$

In particular, the ground state for the shifted Hamiltonian

$$\hat{H}' = \frac{\hat{p}^2}{2m} + \frac{1}{2}m\omega^2(\hat{x} - x_0)^2$$

will be the coherent state  $\hat{D}(\sqrt{\frac{m\omega}{\hbar}}x_0)|0\rangle$ .

E.g., 3. Composition of displacement operator

We can think of  $\hat{D}(\alpha)$  as a “displacement” in the phase space. It is natural to look how such transformation compose.

$$\begin{aligned} \hat{D}(\alpha)\hat{D}(\beta) &= e^{\alpha\hat{a}^\dagger - \alpha^*\hat{a}}e^{\beta\hat{a}^\dagger - \beta^*\hat{a}} \\ &= e^{(\alpha+\beta)\hat{a}^\dagger - (\alpha^*+\beta^*)\hat{a}}e^{[\alpha\hat{a}^\dagger - \alpha^*\hat{a}, \beta\hat{a}^\dagger - \beta^*\hat{a}]/2} \\ &= \hat{D}(\alpha+\beta)e^{\frac{1}{2}(-\alpha^*\beta[\hat{a}, \hat{a}^\dagger] - \alpha\beta^*[\hat{a}^\dagger, \hat{a}])} \\ &= \hat{D}(\alpha+\beta)e^{(\alpha\beta^* - \alpha^*\beta)/2} \\ &= \hat{D}(\alpha+\beta)e^{i\text{Im}(\alpha\beta^*)} \end{aligned}$$

Note:

$$\hat{D}(\alpha)\hat{D}(-\alpha) = \hat{D}(0) = I \quad \Rightarrow \quad \hat{D}^\dagger(\alpha) = \hat{D}(-\alpha)$$

Overlap between coherent states: we now see that coherent states are *not* orthogonal:

$$\begin{aligned} \langle \alpha | \beta \rangle &= \langle 0 | \hat{D}^\dagger(\alpha) \hat{D}(\beta) | 0 \rangle \\ &= \langle 0 | \hat{D}(-\alpha + \beta) | 0 \rangle e^{-i\text{Im}(\alpha\beta^*)} \\ &= e^{-|\alpha-\beta|^2/2} e^{-i\text{Im}(\alpha\beta^*)} \\ &= e^{-(|\alpha|^2 + |\beta|^2)/2} e^{\alpha^*\beta} \end{aligned}$$

we usually say they form an over-complete basis.

Resolution of identity

$$\begin{aligned} \int d^2\alpha \langle n | \alpha \rangle \langle \alpha | m \rangle &= \int d^2\alpha \frac{(\alpha^*)^n \alpha^m}{\sqrt{n!m!}} e^{-|\alpha|^2} \\ &= \delta_{nm} \int d^2\alpha \frac{|\alpha|^{2n}}{n!} e^{-|\alpha|^2} \\ &= \pi \delta_{nm} \int d^2r \frac{r^{2n}}{n!} e^{-r^2} \\ &= \pi \delta_{nm} \end{aligned}$$

$$I = \frac{1}{\pi} \int d^2\alpha |\alpha\rangle\langle\alpha|$$

Now, the coherent states are not (generally) energy eigenstates, so they evolve under time:

$$\begin{aligned} e^{-i\hat{H}t/\hbar}|\alpha\rangle &= \sum_{n=0} |n\rangle\langle n|\alpha\rangle e^{-i\omega t(n+\frac{1}{2})} \\ &= \sum_{n=0} |n\rangle \frac{\alpha^n}{\sqrt{n!}} e^{-i\omega t(n+\frac{1}{2})} \\ &= e^{-i\omega t/2} \sum_{n=0} |n\rangle \frac{(\alpha e^{-i\omega t})^n}{\sqrt{n!}} \\ &= |\alpha e^{-i\omega t}\rangle e^{-i\omega t/2} \end{aligned}$$

And we can define the propagator

$$\begin{aligned} K(\beta, \alpha; t) &= \langle\beta|e^{-i\hat{H}t/\hbar}|\alpha\rangle \\ &= e^{-i\omega t/2} \langle\beta|\alpha e^{-i\omega t}\rangle \\ &= e^{-i\omega t/2} e^{-(|\alpha|^2 + |\beta|^2)/2} \exp(\alpha e^{-i\omega t} \beta^*) \end{aligned}$$

## 2.2 Propagator and Green's function

Why worry about the propagator?

Level 1: It allows us to solve for the general dynamics. Suppose we have an initial state  $|\phi\rangle$ . Its time evolution in Schrodinger's picture is

$$|\phi(t)\rangle = e^{-i\hat{H}t/\hbar}|\phi\rangle$$

If we specify our initial state in some basis, and suppose we have pre-computed the propagator in that basis, then we can readily compute the time evolved state through a “matrix multiplication”.

energy basis

$$\begin{aligned} |\phi\rangle &= \sum_{n=0} |n\rangle\langle n|\phi\rangle = \sum_{n=0} |n\rangle\phi_n \\ e^{-i\hat{H}t/\hbar} &= \sum_{n=0} |n\rangle\langle n|e^{-in\omega t}e^{-i\omega t/2} \\ |\phi(t)\rangle &= \sum_{n=0} |n\rangle\phi_n e^{-in\omega t}e^{-i\omega t/2} \end{aligned}$$

Coherent states

$$|\phi\rangle = \int \frac{d^2\alpha}{\pi} |\alpha\rangle\langle\alpha|\phi\rangle = \int \frac{d^2\alpha}{\pi} |\alpha\rangle\phi(\alpha)$$

$$\begin{aligned}
|\phi(t)\rangle &= \int \frac{d^2\alpha d^2\beta}{\pi^2} |\beta\rangle\langle\beta| e^{-i\hat{H}t/\hbar} |\alpha\rangle\phi(\alpha) \\
&= \int \frac{d^2\beta}{\pi} |\beta\rangle \int \frac{d^2\alpha}{\pi} K(\beta, \alpha; t) \phi(\alpha) \\
&= \int \frac{d^2\beta}{\pi} |\beta\rangle \phi(\beta; t)
\end{aligned}$$

position basis

$$\begin{aligned}
K(x', x; t) &= \langle x'|e^{-i\hat{H}t/\hbar}|x\rangle \\
|\phi\rangle &= \int dx|x\rangle\langle x|\phi\rangle = \int dx|x\rangle\phi(x) \\
\phi(x', t) &= \langle x'|t\rangle = \int dx K(x', x; t) \phi(x)
\end{aligned}$$

Level 2: It allows us to probe what are the excitations above the ground state, which are really what we are interested in (a system permanently stuck in the ground state has no dynamics and hence no physics). Start with the ground state  $|\Omega\rangle$ , we can consider doing two things.

1. perturbing the system by an operator (e.g., your finger)
2. time evolution for some time

We can do it in two orders:  $e^{-i\hat{H}t/\hbar}\hat{f}|\Omega\rangle$  versus  $\hat{f}e^{-i\hat{H}t/\hbar}|\Omega\rangle$ . How close are these two states? We can measure their overlap

$$\langle\Omega|e^{i\hat{H}t/\hbar}\hat{f}^\dagger e^{-i\hat{H}t/\hbar}\hat{f}|\Omega\rangle = e^{i\omega_\Omega t} \langle\Omega|\hat{f}^\dagger e^{-i\hat{H}t/\hbar}\hat{f}|\Omega\rangle$$

where  $\langle\Omega|\hat{f}^\dagger e^{-i\hat{H}t/\hbar}\hat{f}|\Omega\rangle$  is a “propagator” in some basis.

Notes

1. Some of you may already recognize we are really talking about an auto-correlation function in the Heisenberg picture, which is simply a “Green’s function”
2. How to extract the energies of the excitation? Fourier transform! We will be using that extensively later

Level 3: It allows us to treat perturbations to our system. The time-evolution operator solves the equation

$$\begin{aligned}
(i\hbar\partial_t - \hat{H}) e^{-i\hat{H}t/\hbar} &= 0 \\
K(x; t) &= \langle x|e^{-i\hat{H}t/\hbar}|0\rangle \\
(i\hbar\partial_t - \hat{H}(x, \partial_x, \partial_x^2)) K(x; t) &= 0
\end{aligned}$$

Now let's define

$$\Theta(t) = \begin{cases} 1, & t > 0 \\ 0, & t \leq 0 \end{cases}$$

$$G(x; t) = \frac{1}{i\hbar} \Theta(t) K(x; t)$$

where  $\Theta(t)$  is known as the Heaviside step function.

$$\frac{d}{dx} \Theta(x) = \delta(x)$$

Note: consider the integral with  $a < b$

$$\int_a^b dx \Theta(x - x_0) f(x) = \begin{cases} F(b) - F(a), & x_0 < a < b \\ F(b) - F(x_0), & a \leq x_0 \leq b \\ 0, & a < b < x_0 \end{cases}$$

$$\frac{d}{dx_0} \int_a^b dx \Theta(x - x_0) f(x)$$

$$= \begin{cases} 0, & x_0 \notin [a, b] \\ -f(x_0), & x_0 \in [a, b] \end{cases}$$

$$= - \int_a^b dx \delta(x - x_0) f(x)$$

These manipulation make sense when the “function” are used to weight an integral. One usually thinks of them as “distribution” method.

Now let's compute

$$\begin{aligned} & \left( i\hbar \partial_t - \hat{H}(x, \partial_x, \partial_x^2) \right) G(x, t) \\ &= \frac{1}{i\hbar} \left( i\hbar \partial_t - \hat{H}(x, \partial_x, \partial_x^2) \right) (\Theta(t) K(x; t)) \\ &= (\partial_t \Theta(t)) K(x, t) + \frac{1}{i\hbar} \Theta(t) \left( i\hbar \partial_t - \hat{H}(x, \partial_x, \partial_x^2) \right) K(x; t) \\ &= \delta(t) K(x; t) \\ &= \delta(t) K(x; 0) \\ &= \delta(t) \delta(x) \end{aligned}$$

I.e.,  $G$  solves the differential equation

$$\left( i\hbar \partial_t - \hat{H}(x, \partial_x, \partial_x^2) \right) G(x, t) = \delta(t) \delta(x)$$

It provides the basis for solving the more general inhomogeneous equation. If we have both space and time translation invariance (not true for QHO)

$$\begin{aligned} & \left( i\hbar \partial_t - \hat{H}(x, \partial_x, \partial_x^2) \right) G'(x, t) = f(x, t) \\ & G'(x, t) = \int dx' dt' G(x - x', t - t') f(x', t') \end{aligned}$$

Notes:

1. This is *THE* mathematical meaning of a “Green function”
2. In physics, the meaning and usage of “Green functions” and “propagator” are kind of messed up
3. As discussed in “level 2”, when we say “Green function” in our context we really refer to some correlation function

When does such an inhomogeneous equation show up? Imagine a perturbation to the system:

$$\begin{aligned}\hat{H} &= \hat{H}_0 + \hat{V} \\ (i\hbar\partial_t - \hat{H}) |\Psi\rangle &= 0 \\ (i\hbar\partial_t - \hat{H}_0) |\Psi\rangle &= \hat{V}|\Psi\rangle\end{aligned}$$

An “inhomogeneous” equation “solved” by the bare Green’s function!

Of course, the true story is (much) more complicated than that. Anyway this suggests the bare Green functions from the starting point for solving the perturbed system. This is the general theme of perturbative quantum many-body theory.

## 2.3 Free phonons

So, we have started our “many-body” course with exactly one particle in a harmonic trap. Let’s now see how we can build from there and go to a “many-body” setup. We set  $\hbar = 1$  from now on.

Note: this will be a review for those of you who have taken solid state / quantum statistics mechanics.

Consider a collection of atoms, with their real-space coordinates denoted by  $\vec{R}_i; i = 1, \dots, V; V \propto \text{volume}$ . The atoms will have some mutual repulsion / attraction, and we suppose they have a collective elastic energy  $\mathcal{V}$ . The physical origin of all these energy can be complicated, e.g., maybe it contains electronic contribution (since the electronic ground state energy would depend on the atom locations). We don’t worry about the “microscopic” details here. Instead, let’s just suppose a stable minimum energy configuration exists, and we study the deviation from the equilibrium.

$$\begin{aligned}\vec{R}_i &= \vec{R}_i^\circ + \vec{u}_i \\ \mathcal{V}(\{\vec{R}_i\}) &\approx \mathcal{V}(\{\vec{R}_i^\circ\}) + \frac{1}{2} \sum_{i,j,\alpha,\beta} \frac{\partial^2 \mathcal{V}}{\partial R_i^\alpha \partial R_j^\beta} u_i^\alpha u_j^\beta + O(u^3)\end{aligned}$$

The index  $\alpha, \beta$  go through  $1, \dots, d$ . Note: terms linear in  $u$  vanish at equilibrium.

Now, we can go quantum mechanical. The Hamiltonian is

$$\hat{H} = \sum_{i,\alpha} \frac{\hat{p}_i^{\alpha 2}}{2m_i} + \frac{1}{2} \sum_{i,j,\alpha,\beta} \hat{u}_i^\alpha \left( \frac{\partial^2 \mathcal{V}}{\partial R_i^\alpha \partial R_j^\beta} \right) \hat{u}_j^\beta$$

Here  $\hat{p}_i^\alpha$  and  $\hat{u}_i^\alpha$  are conjugate variables  $[\hat{u}_i^\alpha, \hat{p}_j^\beta] = i\delta_{\alpha\beta}\delta_{ij}$ . The masses  $m_i$  could be different for different  $i$ . Let's first rescale

$$\hat{\pi}_i^\alpha = \frac{\hat{p}_i^\alpha}{\sqrt{m_i}}; \quad \hat{\phi}_i^\alpha = \hat{u}_i^\alpha \sqrt{m_i}$$

which preserves the canonical commutation relation

$$[\hat{\phi}_i^\alpha, \hat{\pi}_j^\beta] = i\delta_{\alpha\beta}\delta_{ij}$$

Define

$$D_{ij}^{\alpha\beta} = \frac{1}{\sqrt{m_i m_j}} \frac{\partial^2 \mathcal{V}}{\partial R_i^\alpha \partial R_j^\beta}$$

which is called the “dynamical matrix”

$$\hat{H} = \frac{1}{2} \sum_{i,\alpha} \hat{\pi}_i^{\alpha 2} + \frac{1}{2} \sum_{i,j,\alpha,\beta} \hat{\phi}_i^\alpha D_{ij}^{\alpha\beta} \hat{\phi}_j^\beta$$

such a Hamiltonian can be solved by diagonalizing the dynamical matrix, which is real symmetric (and hence unitary). I.e., there exists an orthogonal matrix  $O$

$$ODO^T = \text{diag} \left\{ (\omega_1^1)^2, (\omega_1^2)^2, (\omega_1^3)^2, (\omega_2^1)^2, (\omega_2^2)^2, (\omega_2^3)^2, \dots, (\omega_V^3)^2 \right\}$$

here, we have used the stability assumption to write the eigenvalues as  $\omega_i^2 \geq 0$ . This is a “one-particle” diagonalization: we have so far only considered the dynamical matrix of size  $d \cdot V$ . But as is typical for such non-interacting problem, it's basically the same as solving the “many-body” problem. To see why, let's first transform the operators by the matrix

$$\hat{\Pi}_i^\alpha = O_{ij}^{\alpha\beta} \hat{\pi}_j^\beta, \quad \hat{\Phi}_i^\alpha = O_{ij}^{\alpha\beta} \hat{\phi}_j^\beta$$

where repeated indices are summed.

# Chapter 3

## lec03 202200211

topics:

1. free phonons: solving with (without) and with (without) invariance
2. acoustic versus optical phonons
3. finite temperature: density matrix

goals

1. getting used to Fourier transformation and canonical transformation
2. lightning review of quantum statistics mechanics

recall we have the phonon Hamiltonian

$$\hat{H} = \frac{1}{2} \prod_{i,\alpha} (\hat{\pi}_i^\alpha)^2 + \frac{1}{2} \sum_{i,j,\alpha,\beta} \hat{\phi}_i^\alpha D_{ij}^{\alpha\beta} \hat{\phi}_j^\beta$$

which we claim is diagonalized by

$$O O^T = \text{diag} \{ \omega_1^\alpha, \omega_2^\alpha, \dots \}, \quad \omega_i^\alpha \geq 0.$$

This basis rotation induces one on the the operators

$$\hat{\Pi}_i^\alpha = O_{ij}^{\alpha\beta} \hat{\pi}_j^\beta, \quad \hat{\Phi}_i^\alpha = O_{ij}^{\alpha\beta} \hat{\phi}_j^\beta$$

we can verify

$$\begin{aligned} [\hat{\Phi}_i^\alpha, \hat{\Phi}_j^\beta] &= O_{il}^{\alpha r} O_{jm}^{\beta s} [\hat{\phi}_l^r, \hat{\phi}_m^s] \\ &= i O_{il}^{\alpha r} O_{jm}^{\beta s} \delta_{lm} \delta_{rs} \\ &= i O_{il}^{\alpha r} (O^T)_{lj}^{r\beta} \\ &= i (O O^T)_{ij}^{\alpha\beta} \\ &= i \delta_{ij} \delta_{\alpha\beta} \end{aligned}$$

all other commutators vanish.

Note: we simply asserted that we are free to perform a linear transformation on the  $\hat{\pi}$  and  $\hat{\phi}$ . But it may be more pleasing to show that there exists a unitary operator (acting on the Hilbert space) which transforms the operators in the way described. This is usually called a canonical transformation and is generated by a bilinears of  $\hat{a}$ & $\hat{a}^\dagger$ .

As such, the transformed Hamiltonian reads

$$\begin{aligned}\hat{H}' &= \frac{1}{2} \sum_{i,\alpha} \left( \hat{\Pi}_i^\alpha \right)^2 + (\omega_i^\alpha)^2 \left( \hat{\Phi}_i^\alpha \right)^2 \\ &= \sum_{i,\alpha} \omega_i^\alpha \left( \hat{a}_i^{\alpha\dagger} \hat{a}_i^\alpha + \frac{1}{2} \right)\end{aligned}$$

The compound index  $i\alpha$  can be viewed as a collective mode index. The Hamiltonian is simply  $d \cdot V$  decoupled QHO, and the Hilbert space is now recognized with the tensor product of the  $d \cdot V$  Fock spaces associated with them.

**Summary:** The diagonalization of the one-particle “dynamical matrix” gives us the frequencies of the “normal modes”. This is the same as the classical problems. The quantum part simply comes from quantizing each of the individual harmonic oscillator, and recognizing they each come with a Fock space. The same is true for “free fermions”, e.g., tight-binding models or even BdG mean-field.

So far, we have not assumed anything about the phonon problem except that we keep only up to quadratic terms. This is sometimes called a “harmonic approximation”.

Let’s now go to the more conventional solid-state setup and assume we have lattice translation symmetry of a crystal, i.e.,  $D_{ij}^{\alpha\beta}$  depends only on the distance between the equilibrium positions  $\delta_{\vec{R}} = \vec{R}_j - \vec{R}_i$ . To this end, let’s switch notation slightly  $D_{ij}^{\alpha\beta} \rightarrow D_{\vec{R}\vec{R}'}^{\alpha\beta}$ .

Here, we let  $\vec{R}, \vec{R}'$  denote unit cell coordinates. There could be multiple atoms inside each unit cell, and we group all degrees of freedom inside a unit cell (spatial dimensions times number of atoms inside a unit cell) in the indices  $\alpha, \beta$ .

**Note:** This is a very solid-state-specific kind of worry. If you don’t want to worry about that, then don’t. Our approach works in the same way anyway.

The presence of (lattice) translation implies (crystal) momentum is a good quantum number. In other words, the eigenstates of the Hamiltonian can be labeled by their momenta. In our context, that’s just a verbal of saying we can

Block-diagonalize the dynamical matrix upon Fourier transform. Explicitly

$$\begin{aligned}
& \frac{1}{V} \sum_{\vec{R}, \vec{R}'} D_{\vec{R}\vec{R}'}^{\alpha\beta} e^{-i\vec{q}\cdot\vec{R}} e^{-i\vec{q}'\cdot\vec{R}'} \\
& \stackrel{\delta_{\vec{R}} = \vec{R}' - \vec{R}}{=} \frac{1}{V} \sum_{\vec{R}, \delta_{\vec{R}}} D_{\delta_{\vec{R}}}^{\alpha\beta} e^{-i\vec{q}\cdot\vec{R}} e^{-i\vec{q}'\cdot(\vec{R} + \delta_{\vec{R}})} \\
& = \sum_{\delta_{\vec{R}}} D_{\delta_{\vec{R}}}^{\alpha\beta} e^{-i\vec{q}'\cdot\delta_{\vec{R}}} \frac{1}{V} \sum_{\vec{R}} e^{-i(\vec{q} + \vec{q}')\cdot\vec{R}} \\
& = \sum_{\delta_{\vec{R}}} D_{\delta_{\vec{R}}}^{\alpha\beta} e^{i\vec{q}\cdot\delta_{\vec{R}}} \delta(\vec{q} + \vec{q}') \\
D_{\vec{q}}^{\alpha\beta} &= \sum_{\delta_{\vec{R}}} D_{\delta_{\vec{R}}}^{\alpha\beta} e^{i\vec{q}\cdot\delta_{\vec{R}}} = \left( D_{-\vec{q}}^{\alpha\beta} \right)^*
\end{aligned}$$

Note that the “Fourier transform” is nothing other than a unitary transformation. More explicitly, define the unitary matrix

$$U_{\vec{q}\vec{R}}^{\alpha\beta} = \frac{1}{\sqrt{V}} e^{i\vec{q}\cdot\vec{R}} \delta_{\alpha\beta}$$

check

$$(U^\dagger U)_{\vec{R}, \vec{R}'}^{\alpha\beta} = \frac{1}{V} \sum_q e^{-i\vec{q}\cdot\vec{R}'} e^{i\vec{q}\cdot\vec{R}} \delta_{\alpha\beta} = \delta(\vec{R} - \vec{R}') \delta_{\alpha\beta}$$

The block diagonalization of  $D$  suggests we should transform

$$\begin{aligned}
\hat{\phi}_i^\alpha D_{ij}^{\alpha\beta} \hat{\phi}_j^\beta &= \hat{\phi}^T \cdot D \cdot \hat{\phi} \\
&= (\hat{\phi}^T U^T) \cdot (U^* D U^\dagger) \cdot (U \hat{\phi}) \\
&= \sum_{\vec{q}, \vec{q}'} \hat{\phi}_{\vec{q}}^\alpha D_{\vec{q}}^{\alpha\beta} \delta(\vec{q} + \vec{q}') \hat{\phi}_{\vec{q}'}^\beta \\
&= \sum_{\vec{q}} \hat{\phi}_{\vec{q}}^\alpha D_{\vec{q}}^{\alpha\beta} \hat{\phi}_{-\vec{q}}^\beta
\end{aligned}$$

where

$$\hat{\phi}_{\vec{q}}^\alpha = \frac{1}{\sqrt{V}} \sum_{\vec{R}} e^{i\vec{q}\cdot\vec{R}} \hat{\phi}_{\vec{R}}^\alpha$$

similarly,

$$\hat{\pi}_{\vec{q}}^\alpha = \frac{1}{\sqrt{V}} \sum_{\vec{R}} e^{i\vec{q}\cdot\vec{R}} \hat{\pi}_{\vec{R}}^\alpha$$

Note that the pairing between  $\vec{q}$  and  $-\vec{q}$  is natural for a couple of reasons

1.  $\hat{\phi}_{\vec{q}}^{\alpha\dagger} = \frac{1}{\sqrt{V}} \sum_{\vec{R}} e^{-i\vec{q}\cdot\vec{R}} \hat{\phi}_{\vec{R}}^{\alpha} = \hat{\phi}_{-\vec{q}}^{\alpha}$
2.  $\hat{t}_{\vec{a}} \hat{\phi}_{\vec{q}}^{\alpha} \hat{t}_{\vec{a}}^{-1} = \frac{1}{\sqrt{V}} \sum_{\vec{R}} e^{i\vec{q}\cdot\vec{R}} \hat{\phi}_{\vec{R}+\vec{a}}^{\alpha} = e^{-i\vec{q}\cdot\vec{a}} \hat{\phi}_{\vec{q}}^{\alpha}$ , where  $\hat{t}_{\vec{a}}$  is lattice translation by  $\vec{a}$

So  $\hat{\phi}_{\vec{q}}^{\alpha}$  and  $\hat{\phi}_{-\vec{q}}^{\alpha}$  transform in opposite way under translation, and they have to appear in pairs to keep the Hamiltonian translation invariant. (Same story for non-FFLO superconductors: pairing  $\sim \Delta C_{\vec{q}}^{\dagger} C_{-\vec{q}}^{\dagger}$ )

Let's finish diagonalizing the Hamiltonian. First note that the Fourier transform is complex, so it's unitary (instead of orthogonal). This leads to a slightly different commutation relation.

$$\begin{aligned} [\hat{\phi}_{\vec{q}}^{\alpha}, \hat{\pi}_{\vec{q}'}^{\beta}] &= \frac{1}{V} \sum_{\vec{R}, \vec{R}'} e^{i\vec{q}\cdot\vec{R}} e^{i\vec{q}'\cdot\vec{R}'} [\hat{\phi}_{\vec{R}}^{\alpha}, \hat{\pi}_{\vec{R}'}^{\beta}] \\ &= \frac{1}{V} \sum_{\vec{R}, \vec{R}'} e^{i\vec{q}\cdot\vec{R}} e^{i\vec{q}'\cdot\vec{R}'} i\delta(\vec{R} - \vec{R}') \delta_{\alpha\beta} \\ &= \frac{i\delta_{\alpha\beta}}{V} \sum_{\vec{R}} e^{i(\vec{q} + \vec{q}')\cdot\vec{R}} \\ &= i\delta(\vec{q} + \vec{q}') \delta_{\alpha\beta} \end{aligned}$$

i.e., the canonical conjugate pairs are  $\hat{\phi}_{\vec{q}}^{\alpha}$  &  $\hat{\pi}_{-\vec{q}}^{\alpha}$ . The transformed Hamiltonian is now

$$\hat{H} = \frac{1}{2} \sum_{\vec{q}} \left( \sum_{\alpha} \hat{\pi}_{\vec{q}}^{\alpha} \hat{\pi}_{-\vec{q}}^{\alpha} + \sum_{\alpha\beta} \hat{\phi}_{\vec{q}}^{\alpha} D_{\vec{q}}^{\alpha\beta} \hat{\phi}_{-\vec{q}}^{\beta} \right)$$

We further diagonalize the block

$$S_{\vec{q}}^{\dagger} D_{\vec{q}} S_{\vec{q}} = \text{diag} \left\{ (\omega_{\vec{q}}^1)^2, (\omega_{\vec{q}}^2)^2, \dots \right\}$$

and transform  $\hat{\pi}_{\vec{q}}^{\alpha}$  and  $\hat{\phi}_{\vec{q}}^{\alpha}$  accordingly. This leads to

$$\hat{H} = \frac{1}{2} \sum_{\vec{q}, \alpha} \left( \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Pi}_{-\vec{q}}^{\alpha} + (\omega_{\vec{q}}^{\alpha})^2 \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} \right)$$

we should now define the creation and annihilation operators

$$\begin{aligned} \hat{a}_{\vec{q}}^{\alpha} &= \left( \sqrt{\omega_{\vec{q}}^{\alpha}} \hat{\Phi}_{\vec{q}}^{\alpha} + \frac{i}{\sqrt{\omega_{\vec{q}}^{\alpha}}} \hat{\Pi}_{\vec{q}}^{\alpha} \right) / \sqrt{2} \\ \hat{a}_{\vec{q}}^{\alpha\dagger} &= \left( \sqrt{\omega_{\vec{q}}^{\alpha}} \hat{\Phi}_{-\vec{q}}^{\alpha} - \frac{i}{\sqrt{\omega_{\vec{q}}^{\alpha}}} \hat{\Pi}_{-\vec{q}}^{\alpha} \right) / \sqrt{2} \end{aligned}$$

As usual, let's check

$$[\hat{a}_{\vec{q}}^{\alpha}, \hat{a}_{\vec{q}}^{\alpha\dagger}] = \frac{1}{2} [\hat{\Phi}_{\vec{q}}^{\alpha}, -i\hat{\Pi}_{-\vec{q}}^{\alpha}] + \frac{1}{2} [i\hat{\Pi}_{\vec{q}}^{\alpha}, \hat{\Phi}_{-\vec{q}}^{\alpha}] = 1$$

Anticipating the answer, let's compute

$$\hat{a}_{\vec{q}}^{\alpha\dagger} \hat{a}_{\vec{q}}^{\alpha} = \frac{1}{2} \left( \omega_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} + i \hat{\Phi}_{-\vec{q}}^{\alpha} \hat{\Pi}_{\vec{q}}^{\alpha} - i \hat{\Pi}_{-\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} + \hat{\Pi}_{-\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} / \omega_{\vec{q}}^{\alpha} \right)$$

$$\hat{a}_{-\vec{q}}^{\alpha\dagger} \hat{a}_{-\vec{q}}^{\alpha} = \frac{1}{2} \left( \omega_{\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} + i \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Pi}_{-\vec{q}}^{\alpha} - i \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} + \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} / \omega_{\vec{q}}^{\alpha} \right)$$

where we have used  $\omega_{\vec{q}}^{\alpha} = \omega_{-\vec{q}}^{\alpha}$  as  $D_{\vec{q}}^{\alpha\beta} = (D_{-\vec{q}}^{\alpha\beta})^*$ .

$$\begin{aligned} & \hat{a}_{\vec{q}}^{\alpha\dagger} \hat{a}_{\vec{q}}^{\alpha} + \hat{a}_{-\vec{q}}^{\alpha\dagger} \hat{a}_{-\vec{q}}^{\alpha} \\ &= \omega_{\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} + \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Pi}_{-\vec{q}}^{\alpha} / \omega_{\vec{q}}^{\alpha} + \frac{i}{2} [\hat{\Phi}_{-\vec{q}}^{\alpha}, \hat{\Pi}_{\vec{q}}^{\alpha}] + \frac{i}{2} [\hat{\Phi}_{\vec{q}}^{\alpha}, \hat{\Pi}_{-\vec{q}}^{\alpha}] \\ &= \omega_{\vec{q}}^{\alpha} \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} + \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Pi}_{-\vec{q}}^{\alpha} / \omega_{\vec{q}}^{\alpha} - 1 \end{aligned}$$

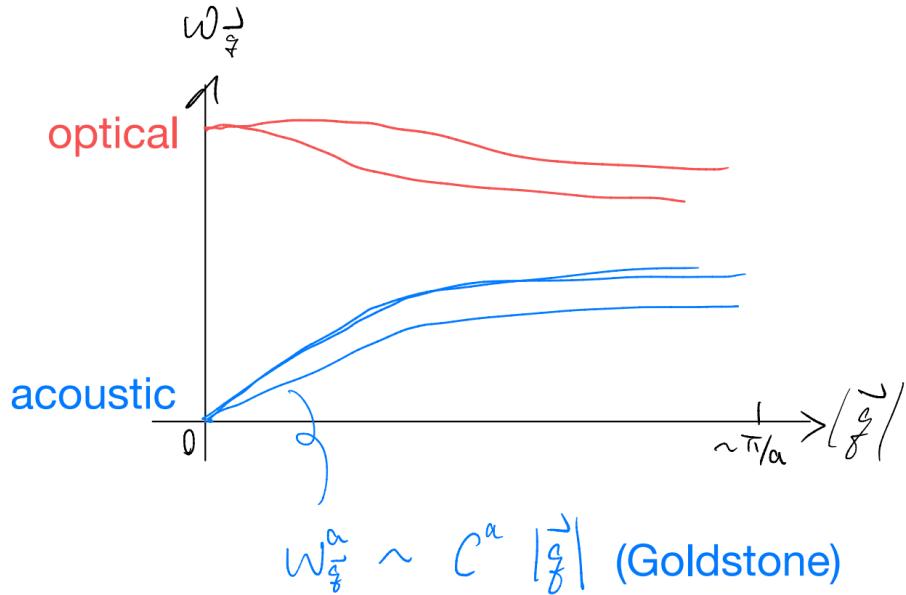
$$\begin{aligned} \hat{H} &= \frac{1}{2} \sum_{\alpha} \left( \hat{\Pi}_{\vec{0}}^{\alpha 2} + \omega_{\vec{0}}^{\alpha 2} \hat{\Phi}_{\vec{0}}^{\alpha 2} \right) + \sum_{\alpha, \vec{q}: q > 0} \left( \hat{\Pi}_{\vec{q}}^{\alpha} \hat{\Pi}_{-\vec{q}}^{\alpha} + \omega_{\vec{q}}^{\alpha 2} \hat{\Phi}_{\vec{q}}^{\alpha} \hat{\Phi}_{-\vec{q}}^{\alpha} \right) \\ &= \frac{1}{2} \sum_{\alpha} \left( \hat{\Pi}_{\vec{0}}^{\alpha 2} + \omega_{\vec{0}}^{\alpha 2} \hat{\Phi}_{\vec{0}}^{\alpha 2} \right) + \sum_{\alpha, \vec{q}: q > 0} \omega_{\vec{q}}^{\alpha} \left( \hat{a}_{\vec{q}}^{\alpha\dagger} \hat{a}_{\vec{q}}^{\alpha} + \hat{a}_{-\vec{q}}^{\alpha\dagger} \hat{a}_{-\vec{q}}^{\alpha} + 1 \right) \\ &= \frac{1}{2} \sum_{\alpha} \left( \hat{\Pi}_{\vec{0}}^{\alpha 2} + \omega_{\vec{0}}^{\alpha 2} \hat{\Phi}_{\vec{0}}^{\alpha 2} \right) + \sum_{\alpha, \vec{q}: q \neq 0} \omega_{\vec{q}}^{\alpha} \left( \hat{a}_{\vec{q}}^{\alpha\dagger} \hat{a}_{\vec{q}}^{\alpha} + \frac{1}{2} \right) \end{aligned}$$

Notice that we have treated  $\vec{q} = \vec{0}$  differently. This is more than a formality (e.g. we would have double counted if we simply group the sums for  $\vec{q}$  and  $-\vec{q}$ ). Physically, having crystal momentum of  $\vec{q} = \vec{0}$  implies

1. we specify a distortion of the atoms within one unit cell
2. we copy the distortion everywhere

One specific distortion we can obtain in this way is to shift every atom by the same amount in the same direction. Such uniform distortion is simply a center of mass motion, which should not cost any elastic energy.

In other words, we expect the lowest frequencies at  $\vec{q} = \vec{0}$  to be 0. We have as many of them as the spatial dimension  $d$ . In fact, we can say something stronger: a nearly uniform distortion should, by similar reasoning, takes very little energy. We can make the energy cost as small as we wish by taking  $|\vec{q}| \rightarrow 0$ . This implies we have  $d$  branches of low-lying phonon modes radiating out from the  $\Gamma$  point ( $\vec{q} = \vec{0}$ ). There are called “acoustic phonons”. There existence is a consequence of the spontaneously broken global continuous translation symmetry when we, say, go from a liquid of the same atoms to a crystal. They can be identified as examples of Goldstone modes. Recall, however, that in our current treatment the  $\alpha$  index ranges beyond  $1, 2, \dots, d$  if we have multiple atoms per unit cell. We argued the lowest  $d$  eigenvalues of  $D_{\vec{q}}^{\alpha\beta}$  will be 0, but we don't really have a constraint for the rest. These will generically have a finite frequency, and they are referred to as the “optical phonons”.



Goldstone modes:  $\omega_{vecq}^{\alpha} \sim C^{\alpha} |\vec{q}|$

Anyway, we can finally write the phonon Hamiltonian as (CM abbreviate for Classical Mechanics)

$$\hat{H} = \sum_{\alpha=1}^d \frac{\hat{\Pi}_{CM}^{\alpha 2}}{2M} + \sum_{\alpha, \vec{q}; q \neq 0} \omega_{\vec{q}}^{\alpha} \left( \hat{a}_{\vec{q}}^{\alpha \dagger} \hat{a}_{\vec{q}}^{\alpha} + \frac{1}{2} \right)$$

This isn't really any different from what we have without assuming translation symmetry! All we have gained is a more refined understanding on how the "modes" are organized with respect to the conserved crystal momentum.

Let's end this part by spending a bit of time thinking about the eigenstates, and then also what happens at finite temperature (as a quantum statistics mechanics review).

### 3.1 Q stat mech review

For simplicity, let's drop the CM motion piece. The phonon Hamiltonian is then

$$\hat{H} = \sum_{\vec{q}, \alpha} \omega_{\vec{q}}^{\alpha} \left( \hat{a}_{\vec{q}}^{\alpha \dagger} \hat{a}_{\vec{q}}^{\alpha} + \frac{1}{2} \right)$$

Each of the number operators  $\hat{n}_{\vec{q}} = \hat{a}_{\vec{q}}^{\dagger} \hat{a}_{\vec{q}}$  commutes with the Hamiltonian, and so the eigenstates are simply labeled by them

$$\hat{H} | \{n_{\vec{q}}^{\alpha}\} \rangle = \sum_{\vec{q}, \alpha} \omega_{\vec{q}}^{\alpha} \left( n_{\vec{q}}^{\alpha} + \frac{1}{2} \right) | \{n_{\vec{q}}^{\alpha}\} \rangle$$

The constant  $\omega_{\vec{q}}^{\alpha}/2$  in the Hamiltonian is problematic for two reasons

1. It's shared by all states, but physical processes can only probe energy differences between states
2. It scales with the number of atoms inside. If we wish to take a continuum limit, it diverges

It is customary to simply drop that overall constant in the Hamiltonian. So far, we have focused on the eigenstates. At zero temperature, we can simply state that the system is in the lowest energy state. At finite temperatures, however, we expect states within an energy scale of  $k_B T$  to be "populated". This is reflected in the density matrix.

$$\begin{aligned}\hat{\rho} &= \frac{e^{-\beta \hat{H}}}{Z} \\ Z &= \text{Tr} \left( e^{-\beta \hat{H}} \right) \\ \beta &= \frac{1}{k_B T} \\ \text{Tr} (\hat{\rho}) &= 1\end{aligned}$$

Expectation value for a physical observable is then given by

$$\langle \hat{A} \rangle = \text{Tr} (\hat{\rho} \hat{A})$$

For our free phonon problem, we know all the eigenstates and one can evaluate explicitly

$$\begin{aligned}Z(\beta) &= \text{Tr} \left( e^{-\beta \hat{H}} \right) = \sum_{\{n_{\vec{q}}^{\alpha}\}} \langle \{n_{\vec{q}}^{\alpha}\} | e^{-\beta \hat{H}} | \{n_{\vec{q}}^{\alpha}\} \rangle \\ &= \sum_{\{n_{\vec{q}}^{\alpha}\}} \exp \left( -\beta \sum_{\vec{q}, \alpha} \omega_{\vec{q}}^{\alpha} n_{\vec{q}}^{\alpha} \right) \\ &= \sum_{\{n_{\vec{q}}^{\alpha}\}} \prod_{\vec{q}, \alpha} \exp (-\beta \omega_{\vec{q}}^{\alpha} n_{\vec{q}}^{\alpha}) \\ &= \prod_{\vec{q}, \alpha} \sum_{n_{\vec{q}}^{\alpha}=0}^{\infty} \exp (-\beta \omega_{\vec{q}}^{\alpha} n_{\vec{q}}^{\alpha}) \\ &= \prod_{\vec{q}, \alpha} \frac{1}{1 - \exp (-\beta \omega_{\vec{q}}^{\alpha})} \\ \Rightarrow \ln Z(\beta) &= - \sum_{\vec{q}, \alpha} \ln \left( 1 - e^{-\beta \omega_{\vec{q}}^{\alpha}} \right)\end{aligned}$$

To find, e.g., the energy expectation value we notice

$$\langle H \rangle = \frac{\text{Tr}(\hat{H}\rho)}{Z} = -\partial_\beta \ln Z(\beta)$$

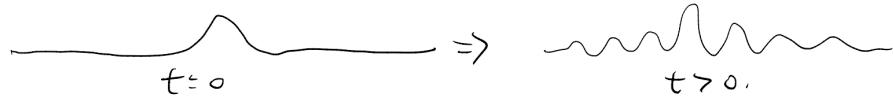
That's an awesome trick. What about computing some other expectation values? It's *tempting* to imaging generalizing

$$\begin{aligned} Z(\beta, J) &= \text{Tr}(e^{-\beta\hat{H}+J\hat{O}}) \\ \partial_J \ln Z(\beta, J) &= \frac{\partial_J \text{Tr}(e^{-\beta\hat{H}+J\hat{O}})}{Z(\beta, J)} \stackrel{?}{=} \frac{\text{Tr}(\hat{O}e^{-\beta\hat{H}+J\hat{O}})}{Z(\beta, J)} \\ \partial_J \ln Z(\beta, J)|_{J=0} &\stackrel{?}{=} \frac{\text{Tr}(\hat{O}e^{-\beta\hat{H}})}{Z(\beta, J)} = \langle \hat{O} \rangle \end{aligned}$$

*BUT*  $\hat{H}$ & $\hat{O}$  may not commute! The manipulation above is faulty in general. Nevertheless, the spirit above is great. We just need a more sophisticated formalism to make it work. That requires time-ordering, generating functional, path integral etc. More later.

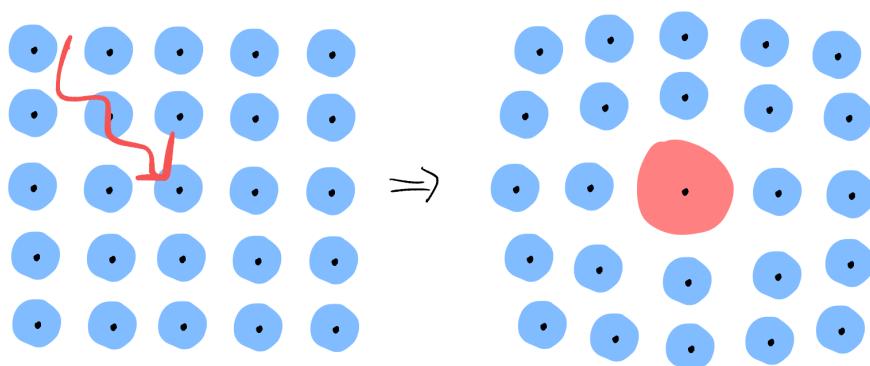
In any case, we have completely solved the free phonon problem, in the sense that for any observables we would want to compute, we have a way of doing so (by rotating to the decoupled QHO basis).

But let's pretend we are experimentalists. How do we even get to get to find the coupling coefficients etc in the first place? Without that, how do we find out the phonon frequencies etc? The natural approach is to perturb the system, and watches how it responds, e.g., If you have a guitar string, you probe its



frequency by plucking with your fingers. Too bad our fingers are too big for the microscopic crystal! Instead, we probe phonons with other tools, like photon, or more indirectly through electrons in the solid. E.g. We generally expect the equilibrium position of the atoms to shift depending on the electronic state. So, we can use the electron as our "phonon pick"!

To that end, let's now introduce the electron, a fermion.





# Chapter 4

## lec04 202200216

topics

1. particle statistics
2. localized electrons
3. Heisenberg picture
4. Green's and spectral functions: a primer

Goals

1. relate particle statistics to (anti-)commutation of second quantized operators
2. sharpening connection of Green's functions vs excitations

Reminder: PS1 due coming Fri 1 : 30pm – ε

### 4.1 particle statistics

We have mentioned on and off that phonon problem is a bosonic one. Recall from QM that boson vs fermion is a question about particle exchange statistics. In the so-called “first quantized” wave function, a two-particle wave function depends on two coordinate variables

$$\Psi(x_1, x_2) = \langle x_1, x_2 | \Psi \rangle$$

“Particle statistics” refers to what happen if we decide to relabel the two indistinguishable particles

$$\Psi(x_1, x_2) = \begin{cases} \Psi(x_2, x_1); & \text{boson} \\ -\Psi(x_2, x_1); & \text{fermion} \end{cases}$$

Generalization to an  $N$ -particle state is similar, noticing any permutation is a product of pair-wise exchanges. For our purpose, we just assert without any justification that one can relate the state with one boson at  $x_1$  and one at  $x_2$  can be identified with

$$|x_1, x_2\rangle = \hat{b}_{x_1}^\dagger \hat{b}_{x_2}^\dagger |0\rangle$$

where  $\hat{b}^\dagger$  is the creation operator we have written down countless time already from QHO. In essence, we associate to each point  $x$  in space a QHO. The vacuum  $|0\rangle$  is then the joint vacuum of all these QHO's.

Notes:

1. but (if) space is continuous, then we have uncountably many QHO's even in a finite volume of space! That sounds sick. That is sick. But that's okay.
2. We have implicitly promoted the single-particle wave function  $\delta(x)$  to an operator  $\hat{b}_x^\dagger$ . That's why this is called "second quantization".
3. implicitly, we have defined an object which maps space to quantum operators:  $\vec{r} \rightarrow \hat{b}_x^\dagger$ . Such maps are called "fields". (E.g., think about electric field  $\vec{r} \rightarrow \vec{E}$ ). Our fields here are quantum mechanical in that they do not have simple point-wise multiplication but instead canonical commutation). Whence the name "QFT"

Now, back to particle statistics. We have, for bosons,

$$\Psi_B(x_1, x_2) = \langle 0 | \hat{b}_{x_1}^\dagger \hat{b}_{x_2}^\dagger | 0 \rangle = \langle 0 | \hat{b}_{x_2}^\dagger \hat{b}_{x_1}^\dagger | 0 \rangle = \Psi_B(x_2, x_1)$$

So the exchange sign of +1 is really the commutation of among the creation(annihilation) operators. It is then natural to guess what should happen for fermions:

$$\Psi_F(x_1, x_2) = \langle 0 | \hat{c}_{x_1}^\dagger \hat{c}_{x_2}^\dagger | 0 \rangle = -\langle 0 | \hat{c}_{x_2}^\dagger \hat{c}_{x_1}^\dagger | 0 \rangle = \Psi_F(x_2, x_1)$$

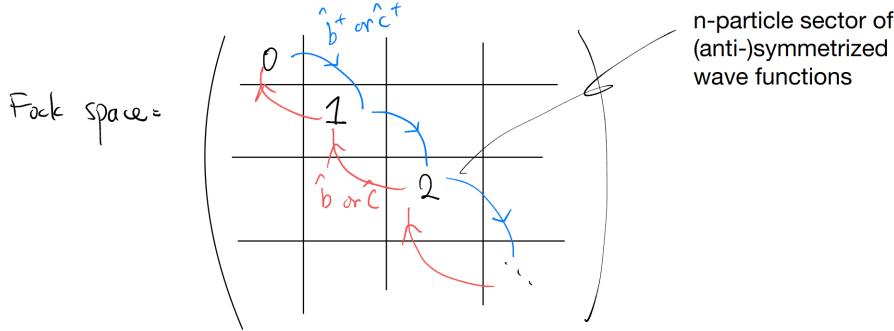
This implies the fermionic creation and annihilation operators should satisfy canonical anti-commutation relations. Let  $\{\hat{A}, \hat{B}\} = \hat{A}\hat{B} + \hat{B}\hat{A}$ . For fermions

$$\{\hat{c}_x, \hat{c}_y\} = \{\hat{c}_x^\dagger, \hat{c}_y^\dagger\} = 0$$

$$\{\hat{c}_x^\dagger, \hat{c}_y\} = \delta(x - y)$$

$$\{\hat{c}_x, \hat{c}_x\} = \{\hat{c}_x^\dagger, \hat{c}_x^\dagger\} = 0 \quad \Rightarrow \quad \hat{c}_x^2 = \hat{c}_x^{\dagger 2} = 0$$

Note: we take these as the practical definition for the "second-quantized" operators. One can also do it in the traditional way of making very explicit connections to the Hilbert space of symmetrized / anti-symmetrized wave functions. Schematically, The "first quantized" description focus on each particle sector individually. The "second quantized" description focus on how to relate the different sectors. In particular, we have a natural relation between the ground



state and a state in the  $n$ -particle sector. Consider putting  $n$  particles (bosons or fermions) into  $n$  “orbitals”  $\phi_1, \phi_2, \dots, \phi_n$

$$\Phi_{x_1, x_2, \dots, x_n}^{\phi_1, \phi_2, \dots, \phi_n} \xrightarrow{\text{sym}} \hat{b}_{\phi_1}^\dagger \hat{b}_{\phi_2}^\dagger \cdots \hat{b}_{\phi_n}^\dagger |0\rangle \quad \text{bosons}$$

$$\Phi_{x_1, x_2, \dots, x_n}^{\phi_1, \phi_2, \dots, \phi_n} \xrightarrow{\text{anti-sym}} \hat{c}_{\phi_1}^\dagger \hat{c}_{\phi_2}^\dagger \cdots \hat{c}_{\phi_n}^\dagger |0\rangle \quad \text{fermions}$$

where we assume the “orbitals” are distinct and orthogonal. (i.e., we are considering a canonical transformation on the defining modes of the system).

The above is rather schematic. In practice there are some factors of  $\sqrt{n!}$  etc. if one wants to relate first and second quantization. We won’t cover that here (usually covered in advanced QM), see e.g. Coleman Chapter-3 for more details.

Final note: so is QHO bosonic?

*It depends.* IF you have exactly one particle, there is no exchange and hence no statistics. If you have multiple particles, then the statistics is an “intrinsic” aspect of the problem in the sense that it defines the many-body Hilbert space, whereas being a QHO is “kinematic” in the sense that it’s just characterizing the Hamiltonian acting on the Hilbert space. E.g.,

1. Phonons: the momenta and displacements of different atoms commute, so we have a bosonic problem to start with. In the “harmonic approximation” we have a collection of coupled QHO
2. Electronic quantum Hall: we have fermions to start with, but the B-field enters the single particle problem as a spatially varying gauge field. That also leads to the QHO Hamiltonian for the single particle problem. But now the raising / lowering operators act between different *fermionic* modes that could be empty or filled

P.S. We can certainly have bosonic operators in a fermionic Hilbert space: combining an even number of fermionic operators leads to bosonic ones. For those of you who prefer a math-oriented language, the operator algebra is  $Z_2$ -graded and we have even=bosonic and odd=fermionic.

P.P.S. We can even have effectively fermionic operators in a bosonic Hilbert space. That’s the wonder of topological order...

## 4.2 Localized electrons

Let us now consider our very first electronic problem. Consider as a warm-up an electronic Hamiltonian

$$\begin{aligned}\hat{H} &= \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow) \quad \text{manybody} \\ &= (\hat{c}_\uparrow^\dagger, \hat{c}_\downarrow^\dagger) \begin{pmatrix} 0 & \varepsilon \\ \varepsilon & 0 \end{pmatrix} (\hat{c}_\uparrow, \hat{c}_\downarrow) \quad \text{singleparticle}\end{aligned}$$

Let's consider writing out the matrix elements in the Fock space

$$\hat{H}|0\rangle = \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow) |0\rangle = 0$$

$$\begin{aligned}\hat{H}\hat{c}_\uparrow^\dagger|0\rangle &= \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow) \hat{c}_\uparrow^\dagger|0\rangle \\ &= \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow \hat{c}_\uparrow^\dagger + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow \hat{c}_\uparrow^\dagger) |0\rangle \\ &= \varepsilon (-\hat{c}_\uparrow^\dagger \hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger (1 - \hat{c}_\uparrow^\dagger \hat{c}_\uparrow)) |0\rangle \\ &= \varepsilon (0 + \hat{c}_\downarrow^\dagger - \hat{c}_\downarrow^\dagger \hat{c}_\uparrow^\dagger \hat{c}_\uparrow) |0\rangle \\ &= \varepsilon (0 + \hat{c}_\downarrow^\dagger - 0) |0\rangle \\ &= \varepsilon \hat{c}_\downarrow^\dagger |0\rangle\end{aligned}$$

$$\hat{H}\hat{c}_\downarrow^\dagger|0\rangle = \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow) \hat{c}_\downarrow^\dagger|0\rangle = \varepsilon \hat{c}_\uparrow^\dagger |0\rangle$$

$$\hat{H}\hat{c}_\uparrow^\dagger \hat{c}_\downarrow^\dagger|0\rangle = \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow) \hat{c}_\uparrow^\dagger \hat{c}_\downarrow^\dagger|0\rangle = 0$$

$$\hat{H} = \begin{pmatrix} 0 & 0 & 0 & 0 \\ 0 & 0 & \varepsilon & 0 \\ 0 & \varepsilon & 0 & 0 \\ 0 & 0 & 0 & 0 \end{pmatrix}$$

in the basis  $\{|0\rangle, \hat{c}_\uparrow^\dagger|0\rangle, \hat{c}_\downarrow^\dagger|0\rangle, \hat{c}_\uparrow^\dagger \hat{c}_\downarrow^\dagger|0\rangle\}$  ( $\{\hat{c}_\uparrow^\dagger|0\rangle, \hat{c}_\downarrow^\dagger|0\rangle\}$  is single-particle basis). We know the single-particle eigenstates are

$$\varepsilon \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \begin{pmatrix} 1 \\ \pm 1 \end{pmatrix} = \pm \varepsilon \begin{pmatrix} 1 \\ \pm 1 \end{pmatrix}$$

It is natural to “rotate” in the eigenbasis

$$\hat{c}_+^\dagger = \frac{1}{\sqrt{2}} (\hat{c}_\uparrow^\dagger + \hat{c}_\downarrow^\dagger), \quad \hat{c}_-^\dagger = \frac{1}{\sqrt{2}} (\hat{c}_\uparrow^\dagger - \hat{c}_\downarrow^\dagger)$$

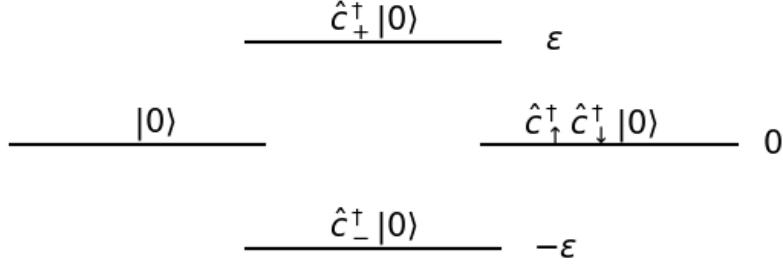
we may check

$$\begin{aligned} \left\{ \hat{c}_\pm^\dagger, \hat{c}_\pm \right\} &= \frac{1}{2} \left\{ \hat{c}_\uparrow^\dagger \pm \hat{c}_\downarrow^\dagger, \hat{c}_\uparrow \pm \hat{c}_\downarrow \right\} = \frac{1}{2} (1 \pm 0 \pm 0 + 1) = 1 \\ \left\{ \hat{c}_+^\dagger, \hat{c}_- \right\} &= \frac{1}{2} \left\{ \hat{c}_\uparrow^\dagger + \hat{c}_\downarrow^\dagger, \hat{c}_\uparrow - \hat{c}_\downarrow \right\} = \frac{1}{2} (1 + 0 - 0 - 1) = 0 \\ \Rightarrow \left\{ \hat{c}_\alpha^\dagger, \hat{c}_\beta \right\} &= \delta_{\alpha\beta} \\ \left\{ \hat{c}_\alpha^\dagger, \hat{c}_\beta^\dagger \right\} &= \{ \hat{c}_\alpha, \hat{c}_\beta \} = 0 \end{aligned}$$

Using which we have

$$\hat{H} = \varepsilon \hat{c}_+^\dagger \hat{c}_+ - \varepsilon \hat{c}_-^\dagger \hat{c}_-$$

We can schematically draw the spectrum as ( $\varepsilon > 0$ )



Side note: The calculation above can be readily generalized. Consider some Hamiltonian defined over  $N$  fermionic modes:

$$\hat{H} = \sum_{\alpha, \beta=1}^N \hat{c}_\alpha^\dagger h_{\alpha\beta} \hat{c}_\beta$$

Here,  $h$  is a Hermitian matrix and can be diagonalized by a unitary

$$h_{\alpha\beta} = \sum_i U_{\alpha i} \varepsilon_i (U^\dagger)_{i\beta}$$

$$\begin{aligned} \hat{H} &= \sum_i \left( \sum_\alpha \hat{c}_\alpha^\dagger U_{\alpha i} \right) \varepsilon_i \left( \sum_\beta (U^\dagger)_{i\beta} \hat{c}_\beta \right) \\ &= \sum_i \varepsilon_i \hat{c}_i^\dagger \hat{c}_i \quad \text{canonical transformation} \end{aligned}$$

(c.f. the phonon discussion)

Back to the two mode problem: this is again an exactly solved problem, which is in a way similar to the QHO / free phonon. We know all the eigenstates and eigen-energies. Yet, it is natural to ask how we can probe the “physics” of the system. Suppose we start with the ground state ( $t > 0$ ):

$$|\Omega\rangle = \hat{c}_-^\dagger |0\rangle = \frac{1}{\sqrt{2}} (\hat{c}_+^\dagger - \hat{c}_-^\dagger) |0\rangle$$

Recall our discussion on propagator / correlation functions / Green’s functions.  
Let us compare

1. create an up electron:  $\hat{c}_+^\dagger$

2. evolution for time  $t$ :  $e^{-i\hat{H}t}$

$$e^{-i\hat{H}t} \hat{c}_+^\dagger |\Omega\rangle \quad \text{vs} \quad \hat{c}_+^\dagger e^{-i\hat{H}t} |\Omega\rangle$$

$$G_{\uparrow\uparrow}(t) = -i \langle \Omega | e^{i\hat{H}t} \hat{c}_+ e^{-i\hat{H}t} \hat{c}_+^\dagger | \Omega \rangle$$

where  $e^{i\hat{H}t} \hat{c}_+ e^{-i\hat{H}t}$  is the conjugate action of time evolution on an operator. We claimed

1. Such functions contains important dynamical info about the system
2. It is natural to interpret it as a specific kind of correlation function

Let us now introduce these ideas more systematically

Heisenberg picture

So far, we have introduced time evolution of a quantum system through the evolution operator  $\hat{U} = e^{-i\hat{H}t}$ , which satisfies

$$i\partial_t \hat{U} = \hat{H} \hat{U}$$

Implicitly, we know that if a state satisfies the Schrodinger equation

$$i\partial_t |\Psi(t)\rangle = \hat{H} |\Psi(t)\rangle$$

then its time evolution can be expressed simply as

$$|\Psi(t)\rangle = \hat{U} |\Psi(0)\rangle = e^{-i\hat{H}t} |\Psi(0)\rangle$$

$$i\partial_t |\Psi(t)\rangle = i\partial_t (\hat{U} |\Psi(0)\rangle) = (i\partial_t \hat{U}) |\Psi(0)\rangle = \hat{H} (\hat{U} |\Psi(0)\rangle) = \hat{H} |\Psi(t)\rangle$$

Now imagine computing some observables as the state evolves

$$A(t) = \langle \Psi(t) | \hat{A} | \Psi(t) \rangle = \langle \Psi(0) | \hat{U}^\dagger \hat{A} \hat{U} | \Psi(0) \rangle$$

It's simply a matter of interpretation to say that the operator is evolving  $\hat{A} \rightarrow \hat{U}^\dagger \hat{A} \hat{U}$ , and we compute its expectation value with respect to a fixed state  $|\Psi\rangle(0)$ . This perspective is called the “Heisenberg picture”.

$$\text{Schrodinger} \begin{cases} |\Psi(0)\rangle_S \rightarrow |\Psi(t)\rangle_S = \hat{U}|\Psi(0)\rangle_S \\ \hat{A}_S \rightarrow \hat{A}_S \end{cases}$$

$$\text{Heisenberg} \begin{cases} |\Psi\rangle_H \rightarrow |\Psi\rangle_H \\ \hat{A}_H(0) \rightarrow \hat{A}_H(t) = \hat{U}^\dagger \hat{A}_H(0) \hat{U} \end{cases}$$

Here we assume the operator is time-independent in the Schrodinger picture. We can also check explicitly what is the equation governing the time evolution of Heisenberg-picture operators:

$$\begin{aligned} i\partial_t \hat{A}_H(t) &= i\partial_t (\hat{U}^\dagger \hat{A}_H(0) \hat{U}) \\ &= -\hat{H}\hat{A}_H(t) + \hat{A}_H(t)\hat{H} \\ &= [\hat{A}_H(t), \hat{H}] \end{aligned}$$

In fact, nothing in the check above demands that we use the actual Hamiltonian! One can imagine picking a “convenient” part of the actual Hamiltonian in defining the dynamics of the operators. Correspondingly, however, the state vectors are *not* static since we are not using the actual Hamiltonian. In this hybrid picture, both the operators and the state evolve. This is called the “interaction picture”; more later.

Note: for those of you who know quantum optics, think about rotating wave approximation.

### 4.3 One-particle Green’s function: a first example

In the following, we keep the subscript  $S$  vs  $H$  implicit. Whenever we write a time dependence for an operator, it is understood that we are in the Heisenberg picture.

Back to our example. Recall we were comparing

$$\hat{c}_\uparrow^\dagger e^{-i\hat{H}t} |\Omega\rangle \quad \text{vs} \quad e^{-i\hat{H}t} \hat{c}_\uparrow^\dagger |\Omega\rangle$$

where

$$\hat{H} = \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow)$$

$$|\Omega\rangle = \frac{1}{\sqrt{2}} (\hat{c}_\uparrow^\dagger - \hat{c}_\downarrow^\dagger) |0\rangle$$

In Heisenberg picture, we have defined

$$\begin{aligned} G_{\uparrow\uparrow}(t) &= -i\langle\Omega|e^{i\hat{H}t}\hat{c}_{\uparrow}e^{-i\hat{H}t}\hat{c}_{\uparrow}^{\dagger}|\Omega\rangle \\ &= -i\langle\Omega|\hat{c}_{\uparrow}(t)\hat{c}_{\uparrow}^{\dagger}(0)|\Omega\rangle \end{aligned}$$

which can be interpreted as a (quantum) auto-correlation function: we create an electron at time  $t = 0$ , and then annihilate it at time  $t$ . We are measuring correlation across time. Yet, this is *NOT* by itself a physical observable! We cannot understand it as the expectation value of some Hermitian operator. Nevertheless, “unphysical” expressions of such form provides the basis for computing actual observables. As one first check, let us investigate how  $G(t)$  reflects the energy scale of the problem. Noticing

$$\hat{H} = \varepsilon\hat{c}_{+}^{\dagger}\hat{c}_{+} - \varepsilon\hat{c}_{-}^{\dagger}\hat{c}_{-}$$

$$\hat{c}_{\pm}^{\dagger} = \frac{1}{\sqrt{2}}(\hat{c}_{\uparrow}^{\dagger} \pm \hat{c}_{\downarrow}^{\dagger})$$

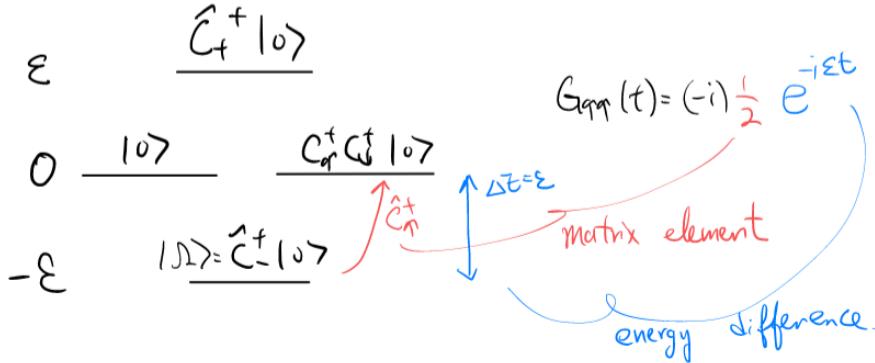
we first note that time evolution for  $\hat{c}_{\pm}^{\dagger}$  is simple. In the Heisenberg picture,

$$\begin{aligned} i\partial_t(\hat{c}_{\pm}^{\dagger}(t)) &= [\hat{c}_{\pm}^{\dagger}(t), \hat{H}] \\ &= \hat{U}^{\dagger}[\hat{c}_{\pm}^{\dagger}, \pm\varepsilon\hat{c}_{\pm}^{\dagger}\hat{c}_{\pm}]\hat{U} \\ &= \hat{U}^{\dagger}(\pm\varepsilon\hat{c}_{\pm}^{\dagger})[\hat{c}_{\pm}^{\dagger}, \hat{c}_{\pm}]\hat{U} \\ &= \hat{U}^{\dagger}(\pm\varepsilon\hat{c}_{\pm}^{\dagger})(2\hat{c}_{\pm}^{\dagger}\hat{c}_{\pm} - 1)\hat{U} \\ &= \mp\varepsilon\hat{c}_{\pm}^{\dagger}(t) \\ \hat{c}_{\pm}^{\dagger}(t) &= \hat{c}_{\pm}^{\dagger}(0)e^{\pm i\varepsilon t} \end{aligned}$$

With the blue symbols denoting Heisenberg picture and the red symbols Schrodinger picture. Noticing  $\hat{c}_{\uparrow}^{\dagger}(t) = \frac{1}{\sqrt{2}}(\hat{c}_{+}^{\dagger}(t) + \hat{c}_{-}^{\dagger}(t))$ ,

$$\begin{aligned} G_{\uparrow\uparrow}(t) &= -i\langle\Omega|\hat{c}_{\uparrow}(t)\hat{c}_{\uparrow}^{\dagger}(0)|\Omega\rangle \\ &= -\frac{i}{2}\langle\Omega|(\hat{c}_{+}(t) + \hat{c}_{-}(t))(\hat{c}_{+}^{\dagger}(0) + \hat{c}_{-}^{\dagger}(0))|\Omega\rangle \\ &= -\frac{i}{2}\langle 0|\hat{c}_{-}(\hat{c}_{+}e^{-i\varepsilon t} + \hat{c}_{-}e^{i\varepsilon t})(\hat{c}_{+}^{\dagger} + \hat{c}_{-}^{\dagger})\hat{c}_{-}^{\dagger}|0\rangle \\ &= -\frac{i}{2}\langle 0|\hat{c}_{-}\hat{c}_{+}e^{-i\varepsilon t}\hat{c}_{+}^{\dagger}\hat{c}_{-}^{\dagger}|0\rangle \\ &= -\frac{i}{2}e^{-i\varepsilon t}\langle 0|\left(1 - \hat{c}_{+}^{\dagger}\hat{c}_{+}\right)\left(1 - \hat{c}_{-}^{\dagger}\hat{c}_{-}\right)|0\rangle \\ &= -\frac{i}{2}e^{-i\varepsilon t} \end{aligned}$$

How to interpret this?



## 4.4 One-particle Green's function and spectral Lehmann representation

Our “single-site” example is designed to be simple (simple enough to solve everything exactly). Interestingly, the physical picture derived from above is actually very general, as we will see now.

Suppose we have an electronic problem with some many-body Hamiltonian  $\hat{H}$  and the ground state  $|\Omega\rangle$ . We consider the one-particle Green’s function as defined above:

$$\begin{aligned} G_{\alpha\alpha}(t) &= -i\langle\Omega|\hat{c}_\alpha(t)\hat{c}_\alpha^\dagger(0)|\Omega\rangle_H \\ &= -i\langle\Omega|e^{i\hat{H}t}\hat{c}_\alpha e^{-i\hat{H}t}\hat{c}_\alpha^\dagger|\Omega\rangle_S \end{aligned}$$

where we use one subscript to denote if the expression is understood in the Heisenberg or Schrodinger picture.

To probe the dynamics, it is natural to go to the eigenbasis of the Hamiltonian. We insert a complete set of basis

$$\begin{aligned} G_{\alpha\alpha}(t) &= -i\sum_n e^{iE_\Omega t}\langle\Omega|\hat{c}_\alpha|n\rangle_S e^{-iE_n t}\langle n|\hat{c}_\alpha^\dagger|\Omega\rangle_S \\ &= -i\sum_n |\langle n|\hat{c}_\alpha^\dagger|\Omega\rangle_S|^2 e^{-i(E_n - E_\Omega)t} \end{aligned}$$

where  $\langle n|\hat{c}_\alpha^\dagger|\Omega\rangle_S$  is the matrix element and  $e^{-i(E_n - E_\Omega)t}$  is the energy difference. This is practically identical to what we had, but we now know neither the matrix element nor the excitation energy (i.e., energy difference from the ground state)!

Importantly, the many-body spectrum is dense! Remember the number of quantum states scales exponentially with the system size  $\dim(\mathcal{H}) \sim 2^V$ .



# Chapter 5

## lec05 202200218

Topics

1. Spectral function
2. (Thought) experiment on spectroscopy
3. The zoo of Green's functions
4. Impurity-phonon coupling

Goals

1. developing intuition about Green's and spectral functions
2. Appreciating how they relate to physical problems
3. Applying the techniques to a less trivial and physically relevant problem

### 5.1 Spectral function

Last time, we were considering a “one-particle” Green’s function in a general quantum many-body problem

$$\begin{aligned} G_{\alpha\alpha}(t) &= (-i) \langle \Omega | \hat{c}_\alpha(t) \hat{c}_\alpha^\dagger(0) | \Omega \rangle_H \\ &= (-i) \sum_n |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 e^{-i(E_n - E_\Omega)t} \end{aligned}$$

$$\Delta E_n = (E_n - E_\Omega) \geq 0$$

where  $n$  labels the complete (but unknown) eigenstates of the Hamiltonian. We will continue analyzing how much information we can gain from considering such expressions. We would want to understand the excitation energies. However, in general it is hopeless to try to resolve each of the frequencies. Instead, we should

think of a distribution of frequencies, and prominent features will be “peaks” with some widths. This can be done systematically by Fourier transform with respect to time  $t$

$$\begin{aligned} G_{\alpha\alpha}(\omega) &\stackrel{?}{=} \int_{-\infty}^{\infty} dt G_{\alpha\alpha}(t) e^{i\omega t} \\ &= -i \sum_n \int_{-\infty}^{\infty} |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 e^{i(\omega - \Delta E_n)t} \end{aligned}$$

But there’s a serious issue: the integrand is oscillating as we attempt to Fourier transform with  $t \rightarrow \pm\infty$ . Clearly this is an artifact of our mathematical treatment: we don’t know if our universe existed or will exist all the way to  $t = \pm\infty$ !

Here, let us do two things to circumvent the problem

1. In our thought experiment, we always let the system evolve forward in time when we evaluate the auto-correlation. In other words, we restrict ourselves to  $t \geq 0$
2. we won’t be able to access  $t \rightarrow +\infty$  anyway. Let’s “damp” the contribution by adding a convergence factor  $e^{-\eta t}$  to the integrand, taking  $\eta \rightarrow 0^+$

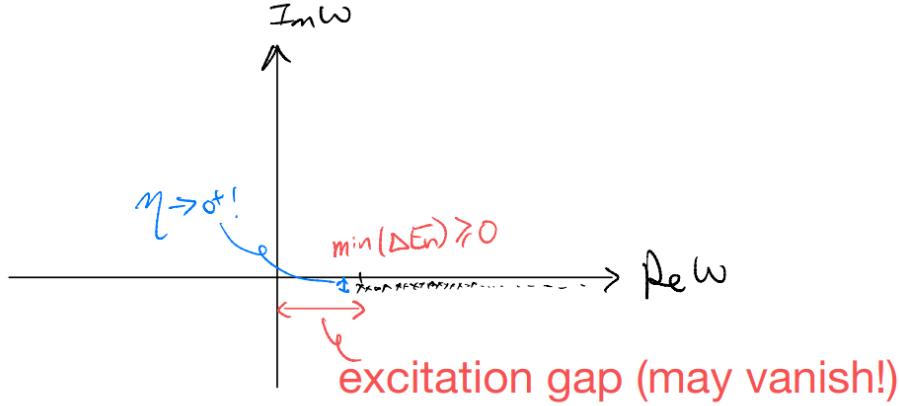
$$\begin{aligned} G_{\alpha\alpha}(\omega) &= \lim_{\eta \rightarrow 0^+} (-i) \int_0^{\infty} dt G_{\alpha\alpha}(t) e^{i\omega t} e^{-\eta t} \\ &= \lim_{\eta \rightarrow 0^+} (-i) \sum_n |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 \int_0^{\infty} e^{i(\omega - \Delta E_n + i\eta)t} \\ &= \lim_{\eta \rightarrow 0^+} \sum_n \frac{(-i) |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2}{i(\omega - \Delta E_n + i\eta)} (e^{-\eta(+\infty)} - 1) \\ &= \lim_{\eta \rightarrow 0^+} \sum_n \frac{|\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2}{\omega - \Delta E_n + i\eta} \end{aligned}$$

Notes:

1. this explains the convention of attaching  $(-i)$  to the definition of  $G_{\alpha\alpha}(t)$
2.  $G_{\alpha\alpha}(\omega)$  as a function over  $\omega$  has a (dense) series of poles at  $\omega = \Delta E_n - i\eta$

But this is still not something we can measure directly! The matrix element  $|\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2$  is physical: it corresponds to the transition probability of the ground state to some excited state when we add an electron to it. But energy information is hidden in the location of the poles which we displaced below the real line by a sleight of hand. We now claim that, in fact one can identify a “spectral function”, closely related to actual experiments, from the frequency-space Green’s function:

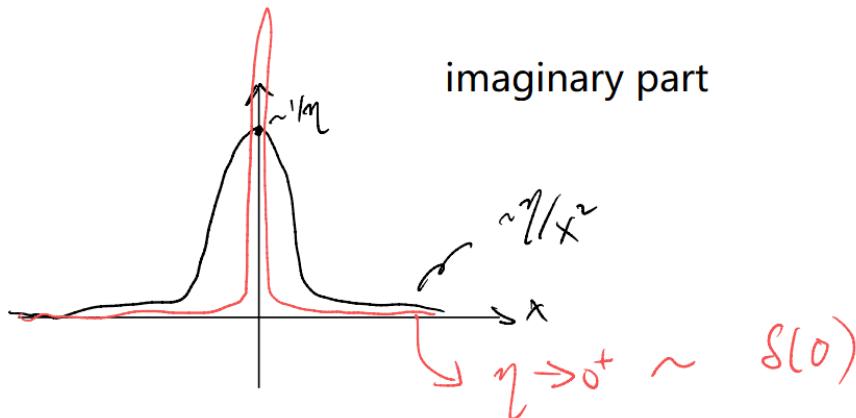
$$A_{\alpha\alpha}(\omega) = \frac{-1}{\pi} \text{Im} [G_{\alpha\alpha}(\omega)] = \sum_n |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 \delta(\omega - \Delta E_n)$$



where  $|\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2$  is the matrix element and  $\delta(\omega - \Delta E_n)$  is the density of states. We will give a “lousy” derivation here first; will revisit later. Noticing

$$\frac{1}{x + i\eta} = \frac{x}{x^2 + \eta^2} - i \frac{\eta}{x^2 + \eta^2}$$

We will handle the real part later. The imaginary part looks like



Normalization:

$$\int_{-\infty}^{\infty} dx \frac{\eta}{x^2 + \eta^2} = \pi$$

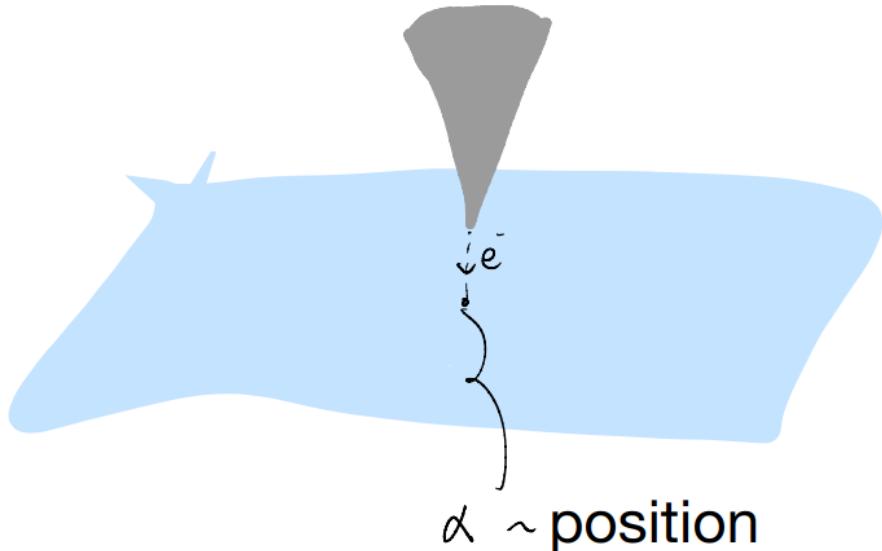
$$\Rightarrow \lim_{\eta \rightarrow 0^+} \text{Im} \left[ \frac{1}{x + i\eta} \right] = -\pi \delta(0)$$

This gives

$$\begin{aligned} A_{\alpha\alpha}(\omega) &= \frac{-1}{\pi} \lim_{\eta \rightarrow 0^+} \text{Im} \sum_n \frac{|\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2}{\omega - \Delta E_n + i\eta} \\ &= \sum_n |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 \delta(\omega - \Delta E_n) \end{aligned}$$

where  $|\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 \delta(\omega - \Delta E_n)$  is the probability of finding the system in the  $|n\rangle$  eigenstate when we add an electron  $\hat{c}_\alpha^\dagger$  to the ground state  $|\Omega\rangle$  with energy  $\omega$  matching  $\Delta E_n$ . How can we measure a quantity like that?

STM: trying to add electrons to the sample (approx. in the ground state at low temperature)



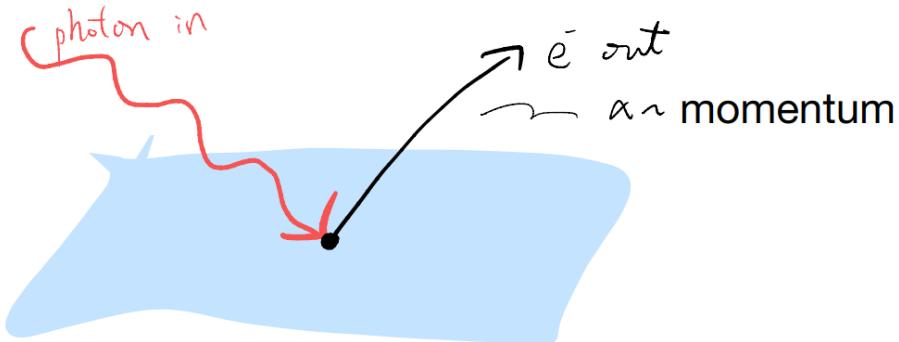
But STM doesn't only try to add electrons! The tip also tries to "pull" electrons out of the sample, i.e., remove electron from the ground state, Similarly for ARPES

Clearly, there are many more things one can do. We are only starting to see the tip of the iceberg.

## 5.2 Ground state deduction: a thought experiment

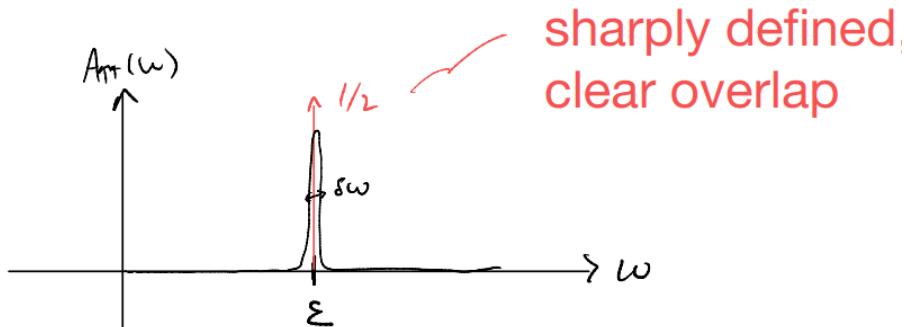
Now, let's imagine plotting this spectral function. First, let us revert to our simple "single-orbital" example

$$\hat{H} = \varepsilon (\hat{c}_\uparrow^\dagger \hat{c}_\downarrow + \hat{c}_\downarrow^\dagger \hat{c}_\uparrow)$$



$$G_{\uparrow\uparrow}(t) = -i\frac{1}{2}e^{-i\varepsilon t}$$

$$A_{\uparrow\uparrow}(t) = \frac{1}{2}\delta(\omega - \varepsilon)$$

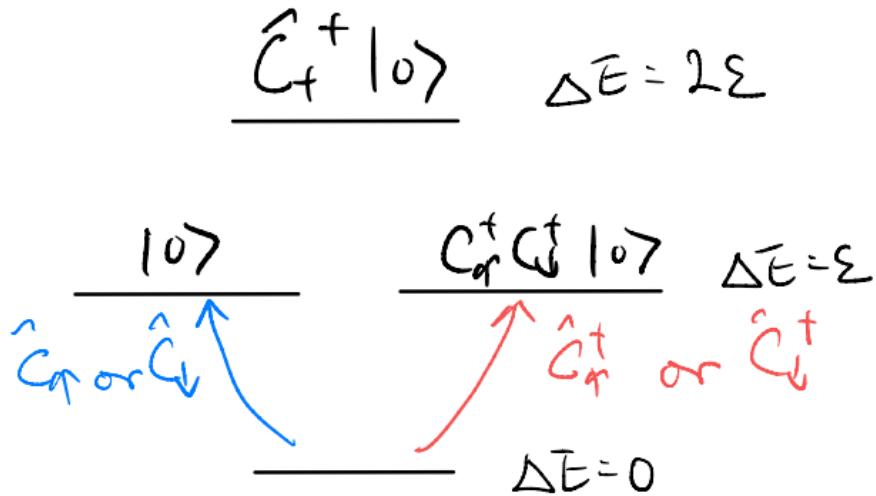


If this was an experimental result, how would we interpret it? There is a sharp “resonance” when we try to add an up electron with energy  $\varepsilon$  to the ground state. The overlap is  $\frac{1}{2}$ . Suppose we can do similar experiments and measure  $A_{\downarrow\downarrow}(\omega)$ , as well as those associated with electron-electron removal

we will conclude:

1. Adding  $\hat{c}_\uparrow^\dagger$ : sharp resonance with weight  $\frac{1}{2}$
2. Adding  $\hat{c}_\downarrow^\dagger$ : sharp resonance with weight  $\frac{1}{2}$
3. Removing  $\hat{c}_\uparrow$ : sharp resonance with weight  $\frac{1}{2}$
4. Removing  $\hat{c}_\downarrow$ : sharp resonance with weight  $\frac{1}{2}$

Further, IF we know the relevant Hilbert space is one orbital with spin- $\frac{1}{2}$  electrons, we can conclude



- (a) We can both add and remove electron from the ground state, it must have 1 electron
- (b) The one electron is in some half-half state between spins up and down (equal weights above)

$$|\Omega\rangle = \frac{1}{\sqrt{2}} (\hat{c}_\uparrow^\dagger + e^{i\phi} \hat{c}_\downarrow^\dagger) |0\rangle$$

i.e., we know the ground state up to an undetermined phase!

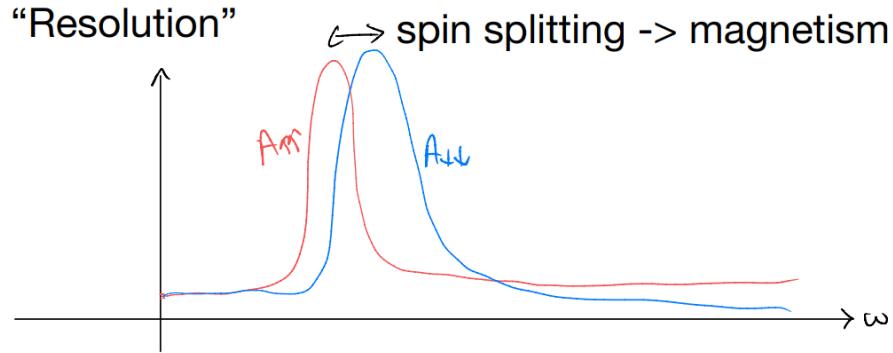
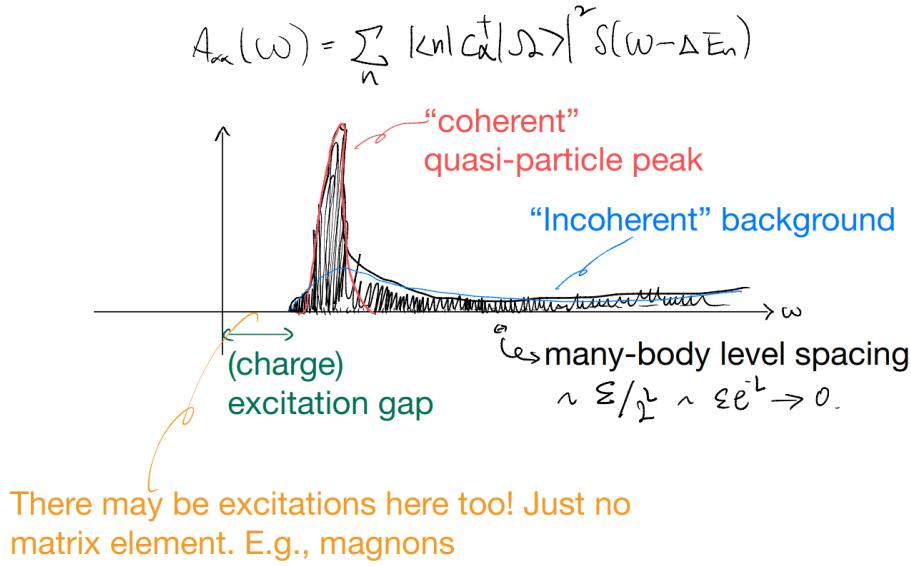
Notes:

1. We assumed above that we can choose to tunnel spin up versus down electrons independently. This is a kind of “resolution”, giving “spin-resolved” spectral function (e.g., spin-polarized STM tips). If we don’t have such spin resolution, we can only conclude (a) but not (b). More resolved means more knowledge
2. For such a “small” system, one can imagine cooking up fancier measurements to “better resolve” the system. That’s in the spirit of quantum tomography. We don’t usually have the luxury of such measurement capability in many-body quantum systems so we won’t go further down there.

Let us next imagine plotting the spectral function for a general interacting many-body Hamiltonian

$$A_{\alpha\alpha}(\omega) = \sum_n |\langle n | \hat{c}_\alpha^\dagger | \Omega \rangle|^2 \delta(\omega - \Delta E_n)$$

Strange situations: featureless over the energy range. If such a spectrum is observed, it suggests either



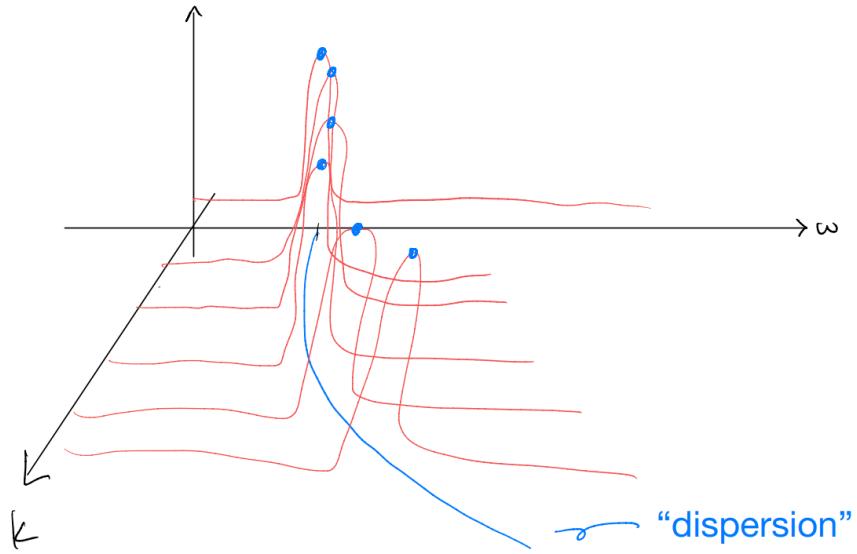
1. the excitations cannot be understood as quasi-particles
2. quasi-particles exist, but they have poor overlap with the physical electrons

Either will be very interesting! But beyond our scope...

### 5.3 A peek of the iceberg

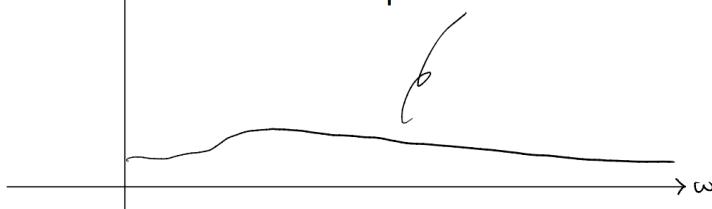
In the above, we chose in an ad hoc manner to consider the real-time Green's function

$$G_{\alpha\alpha}(t) = (-i) \langle \Omega | \hat{c}_\alpha(t) \hat{c}_\alpha^\dagger(0) | \Omega \rangle$$



Strange situations...

$A(\omega)$  featureless over the energy range  
one expects -> where's the electron?



Since our ground state will have a some finite density of electrons to start with, it will be equally natural to consider, e.g.,

$$G'_{\alpha\alpha}(t) = (-i) \langle \Omega | \hat{c}_\alpha^\dagger(t) \hat{c}_\alpha(0) | \Omega \rangle$$

which contains information about electron removal from  $|\Omega\rangle$ .

In addition, we don't necessarily have to commit to the "diagonal" form with matched indices. E.g., if  $\alpha$  denotes spatial indices, it would be natural to consider

$$G_{xy}(t, t') = (-i) \langle \Omega | \hat{c}_x(t) \hat{c}_y^\dagger(t') | \Omega \rangle$$

Our commitment above on  $t > 0$  is also a bit ad hoc anyway. We should be free ask what happens if we compute "negative time" correlation function, at least as a theoretical gadget. Also, why not do something more than single electron addition (removal)? E.g.,

$$G''_{\alpha\alpha\gamma\delta}(t_1, t_2, t_3, t_4) = (-i) \langle \Omega | \hat{c}_\alpha(t_1) \hat{c}_\beta(t_2) \hat{c}_\gamma^\dagger(t_3) \hat{c}_\delta^\dagger(t_4) | \Omega \rangle$$

These discussions suggest that there is a huge zoo of possible “Green’s functionS” to consider, and we need a way to organize them, e.g., fix some ordering on the time of “insertions”, etc.

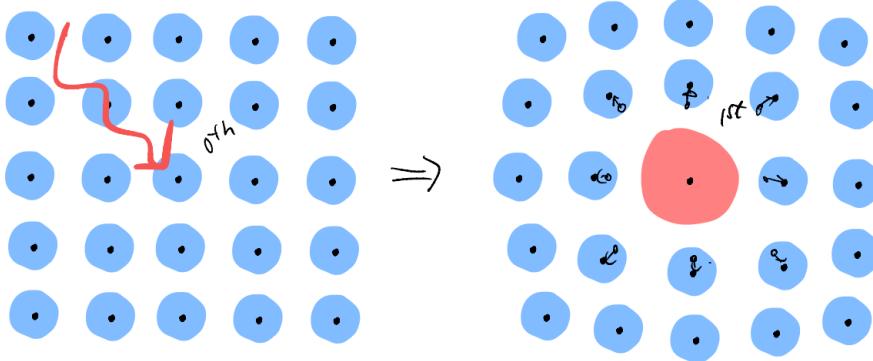
Such generalized Green’s functions appear under different considerations, and we may want to give them different names, Nevertheless, they are all variations on the same tune, much like Schubert’s trout quintet! More later...

## 5.4 Impurity phonon coupling

So far, we have discussed

1. QHO: coherent states, displacement operator,...
2. Free phonons: collection of decoupled QHOs
3. Localized electrons: a primer into “spectroscopy”

Let us now integrate all these into one single problem: how could we use electrons to probe phonons?



Similar to before, let us consider a single-site electronic problem:

$$\hat{H}_e = \sum_{i=1}^N \varepsilon_i \hat{c}_i^\dagger \hat{c}_i$$

let us interpret the index  $i$  as labeling some relevant orbitals  $s, p, d, \dots$  and for concreteness we suppose there are  $N$  relevant orbitals in our problem. We also consider the free phonon Hamiltonian

$$\hat{H}_{ph} = \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q$$

where we have dropped the zero-point energy for simplicity, and take a single branch with uniform masses.

Let us suppose the electronic Hamiltonian describes the electronic states of an impurity located at the origin. The size and shape of the electron cloud surrounding our impurity depends in general on the orbital index  $i$ . This, in turn, affect the equilibrium position of the neighboring atoms, e.g., a “fatter” electron cloud will push the neighboring atoms further away. We claim this coupling can be modelled as

$$\hat{H}_{e-ph} = \sum_{i,q} \hat{c}_i^\dagger \hat{c}_i M_{iq} (\hat{a}_q + \hat{a}_q^\dagger)$$

We will see why in the next class.

# Chapter 6

## lec06 20220223

Topics

1. impurity-phonon coupling
2. zero-temperature solution
3. impurity spectral function

Goals

1. Applying the techniques to a less trivial and physically relevant problem
2. Appreciating how we could probe phonons with electrons

Last time, we began introducing an impurity-phonon problem:

$$\hat{H} = \underbrace{\sum_{i=1}^N \varepsilon_i \hat{c}_i^\dagger \hat{c}_i}_{\hat{H}_e} + \underbrace{\sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q}_{\hat{H}_{ph}} + \underbrace{\sum_{i,q} \hat{c}_i^\dagger \hat{c}_i M_{iq} (\hat{a}_q + \hat{a}_q^\dagger)}_{\hat{H}_{e-ph}}$$

It describes a system of an electronic impurity, whose state (occupancy of the orbitals indexed by  $i$ ) affects the phonon through the last electron-phonon interaction term  $\hat{H}_{e-ph}$ . We will first sketch why  $\hat{H}_{e-ph}$  takes the stated form.

Recall that our phonon Hamiltonian resulted from an expansion of the elastic potential energy about the equilibrium

$$\hat{H}_{ph} = \sum_{r\alpha} \frac{\hat{p}_r^{\alpha 2}}{2m} + \frac{1}{2} \sum_{r,r'} \frac{\partial^2 \mathcal{V}}{\partial R_r \partial R_{r'}} \Big|_0 \left( \hat{R}_r - R_{r,0} \right) \left( \hat{R}_{r'} - R_{r',0} \right)$$

$$\hat{u}_r = \hat{R}_r - R_{r,0}$$

where  $\hat{R}_r$  is the actual position,  $R_{r,0}$  is the equilibrium position and  $\hat{u}_r$  is the deviation from the equilibrium. As discussed, the equilibrium positions are now dependent on the electronic state

$$R_{r,0} \rightarrow R_{r,0} + \delta R_{r,0}^i$$

where we expect  $\delta R_{r,0} \approx 0$  for  $r$  far from the impurity. To leading order, this leads to an  $i$ -dependent change of the phonon Hamiltonian

$$\begin{aligned} \delta \hat{H}_{ph}^i &\sim - \sum_{r,r'} \frac{\partial^2 \mathcal{V}}{\partial R_r \partial R_{r'}} \Big|_0 \hat{u}_r (\delta R_{r'}^i) + \delta E^i \\ &= \sum_r (M^i)_r \hat{u}_r + \delta E^i \end{aligned}$$

where the first term is linear in  $\hat{u}_r$  and  $\delta E^i$  absorbs the electronic energies  $\varepsilon_i$  (*TODO strange expression*). We should now recast the operators into the phonon creation and annihilation  $\hat{a}_q^\dagger$  and  $\hat{a}_q$ .

$$\begin{cases} \hat{a}_q = \frac{1}{\sqrt{2}} \left( \sqrt{m\omega_q} \hat{u}_q + \frac{i}{\sqrt{m\omega_q}} \hat{p}_q \right) \\ (\hat{a}_{-q})^\dagger = \frac{1}{\sqrt{2}} \left( \sqrt{m\omega_q} \hat{u}_q - \frac{i}{\sqrt{m\omega_q}} \hat{p}_q \right) \end{cases}$$

$$\Rightarrow \hat{u}_q = \frac{\hat{a}_q + \hat{a}_q^\dagger}{\sqrt{2m\omega_q}}$$

where we used

$$\hat{u}_{-q}^\dagger = \hat{u}_q$$

$$\hat{p}_{-q}^\dagger = \hat{p}_q$$

as one can see from the Fourier transform

$$\hat{u}_q = \frac{1}{\sqrt{V}} \sum_r e^{iq \cdot r} \hat{u}_r$$

$$\hat{u}_r = \frac{1}{\sqrt{V}} \sum_q e^{-iq \cdot r} \hat{u}_q$$

This gives the electron-dependent correction

$$\begin{aligned}
\delta \hat{H}_{ph}^i &= \sum_r M_r^i \hat{u}_r \\
&= \sum_r M_r^i \frac{1}{\sqrt{V}} \sum_q e^{-iq \cdot r} \frac{\hat{a}_q + \hat{a}_{-q}^\dagger}{\sqrt{2m\omega_q}} \\
&= \sum_q \underbrace{\frac{1}{\sqrt{2m\omega_q}} \left( \frac{1}{\sqrt{V}} \sum_r M_r^i e^{-iq \cdot r} \right)}_{M_q^i} (\hat{a}_q + \hat{a}_{-q}^\dagger) \\
&= \sum_q M_q^i (\hat{a}_q + \hat{a}_{-q}^\dagger) \\
&= \sum_q (M_q^i \hat{a}_q + M_{-q}^i \hat{a}_q^\dagger)
\end{aligned}$$

let us further assert that  $M_r^i = M_{-r}^i$  such that  $M_q^i = M_{-q}^i$

$$\Rightarrow \delta \hat{H}_{ph}^i = \sum_q M_q^i (\hat{a}_q + \hat{a}_q^\dagger)$$

Altogether, we have the impurity-phonon Hamiltonian (c.f. Mahan Chapter-4)

$$\hat{H} = \underbrace{\sum_{i=1}^N \varepsilon_i \hat{c}_i^\dagger \hat{c}_i}_{\hat{H}_e} + \underbrace{\sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q}_{\hat{H}_{ph}} + \underbrace{\sum_{i,q} \hat{c}_i^\dagger \hat{c}_i M_{iq} (\hat{a}_q + \hat{a}_q^\dagger)}_{\hat{H}_{e-ph}}$$

Note: is this a good approximation? Not necessarily. One should recognize what we have done above is quite schematic, and there are many possible reasons to object to our treatment, e.g.,

1. The shift in equilibrium position is probably not as simple as what we have assumed. E.g., the shift may not be simply the sum of the individual orbital contribution
2. There is no particular reason why terms like  $\hat{c}_i^\dagger \hat{c}_j (\hat{a}_q + \hat{a}_q^\dagger) + h.c.$  are absent

There are valid concerns. It's important to realize that, here, we are simply trying to motivate a toy model which is not crazy (doesn't mean it is directly applicable to any real problem). In particle, we will not dwell into details like the form of the coefficients  $M_q^i$  etc. Those are important for really modelling an actual system. But our goal is simply to show how such problems could be approached, and from this illustrates relevant aspects of the one-particle Greens' function and spectral function.

## 6.1 Exact solution

We have discussed how the problems of free phonons and localized electrons are both exactly soluble. In our current problem, we have introduced a coupling between the two. Generally speaking, we cannot find exact solutions for such coupled problem. But we will now see that our toy model is really designed to remain exactly soluble.

To this end, let us introduce  $\hat{n}_i = \hat{c}_i^\dagger \hat{c}_i$  being the electron number for the  $i$ -th orbital. It satisfies

$$\hat{n}_i^2 = \hat{c}_i^\dagger \hat{c}_i \hat{c}_i^\dagger \hat{c}_i = \hat{c}_i^\dagger \left(1 - \hat{c}_i^\dagger \hat{c}_i\right) \hat{c}_i = \hat{c}_i^\dagger \hat{c}_i = \hat{n}_i$$

$$\Rightarrow \text{eig}(\hat{n}_i) = 0 \quad \text{or} \quad 1$$

Also, notice that  $[\hat{n}_i, \hat{n}_j] = 0$ . We can write the Hamiltonian as

$$\hat{H} = \sum_{i=1}^N \varepsilon_i \hat{n}_i + \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q + \sum_{i,q} \hat{n}_i M_{iq} (\hat{a}_q + \hat{a}_q^\dagger)$$

We see readily that

$$[\hat{H}, \hat{n}_i] = 0, \quad \forall i = 1, \dots, N$$

As such, the electron numbers are good quantum numbers, and we can decompose the full Hilbert space into the  $2^N$  sectors labeled by

$$(n_1, n_2, \dots, n_N) = (0, 0, \dots, 0), (1, 0, \dots, 0), \dots, (1, 1, \dots, 1)$$

For simplicity, let us denote one such ‘‘configuration’’ by  $\{n_i\}$ . The Hamiltonian restricted to one such sector becomes

$$\begin{aligned} \hat{H}\Big|_{\{n_i\}} &= \sum_{i=1}^N \varepsilon_i n_i + \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q + \sum_q \left( \sum_i n_i M_{iq} \right) (\hat{a}_q + \hat{a}_q^\dagger) \\ &= \sum_{i=1}^N \varepsilon_i n_i + \sum_q \omega_q \left( \hat{a}_q^\dagger + \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) \left( \hat{a}_q + \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) \\ &\quad - \sum_q \frac{1}{\omega_q} \left( \sum_i n_i M_{iq} \right)^2 \end{aligned}$$

where we have used the usual trick of ‘‘completing square’’ ( $(a+b)^2 = a^2 + b^2 + 2ab$ )

In this restricted Hilbert space, the Hamiltonian acts only on the phonons. In addition, it contains only up to quadratic terms for the phonons, and so it remains exactly solvable. To construct the eigenstates, let us recall the displacement operator.

$$\hat{D}_q(\alpha) = e^{\alpha \hat{a}_q^\dagger - \alpha^* \hat{a}_q}$$

$$\Rightarrow \hat{D}_q(\alpha) \hat{a}_q \hat{D}_q^\dagger(\alpha) = \hat{a}_q - \alpha$$

$$\Rightarrow \hat{D}_q(\alpha) \hat{a}_q^\dagger \hat{D}_q^\dagger(\alpha) = \hat{a}_q^\dagger - \alpha^*$$

Recall that  $M_{iq}$  is real (TODO why), this gives

$$\begin{aligned} & \left[ \prod_q \hat{D}_q \left( \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) \right] \left( \hat{H} \Big|_{\{n_i\}} \right) \left[ \prod_q \hat{D}_q^\dagger \left( \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) \right] \\ &= \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q + \sum_{i=1}^N \varepsilon_i n_i - \sum_q \frac{1}{\omega_q} \left( \sum_i n_i M_{iq} \right)^2 \end{aligned}$$

where the first term is equivalent to the original phonon Hamiltonian, and other terms are just a number. We may define the energy

$$\Delta(\{n_i\}) = \sum_{i=1}^N \varepsilon_i n_i - \sum_q \frac{1}{\omega_q} \left( \sum_i n_i M_{iq} \right)^2$$

where the first term is the non-interacting orbital energy and the second term is the effective density-density interaction mediated by the phonons!

Note: this expression is slightly different from Mahan's who (somehow) assumed there is exactly one electron on the impurity, and so wrote  $n_i n_j = n_i \delta_{ij}$ .

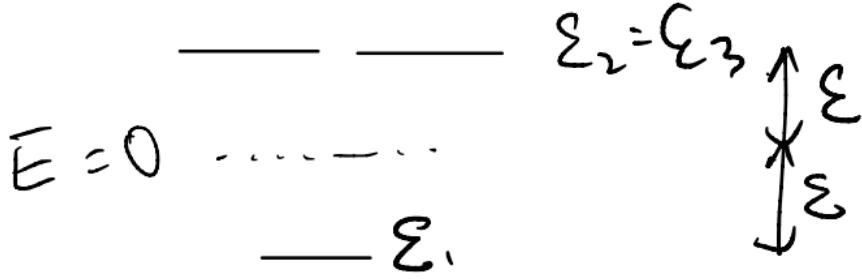
As such, we now know all the eigenstates and energy of our Hamiltonian. They can be labeled by two sets of integers

1.  $\{n_i\}$ : occupation of the  $i = 1, \dots, N$  electronic orbitals
2.  $\{m_q\}$ : number of quanta in each of  $q = 1, \dots, V$  phonon modes

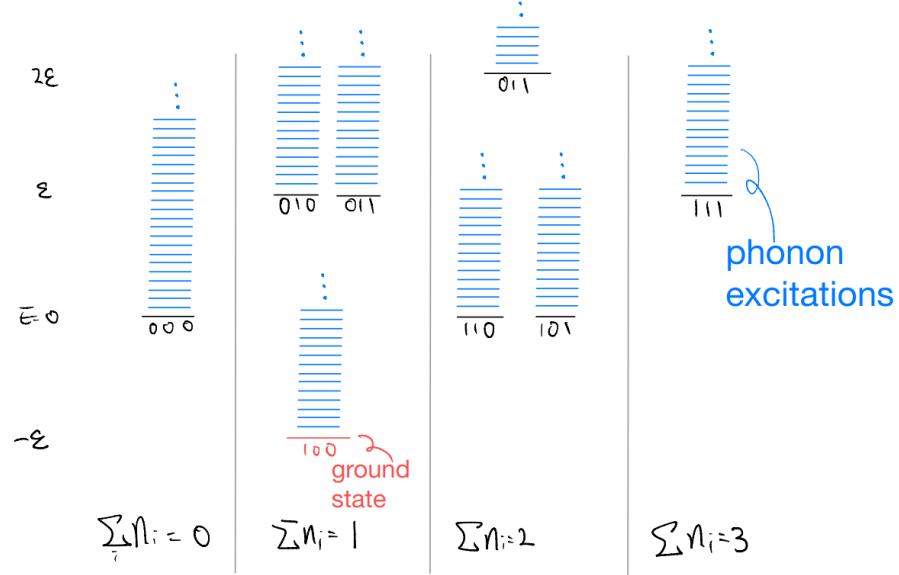
The energy is

$$|\{n_i\}, \{m_q\}\rangle : \Delta(\{n_i\}) + \sum_q \omega_q m_q$$

It may be instructive to sketch an energy level diagram corresponding to our solution. To illustrate the ideas, suppose we have three electronic orbitals in our problem, and they have "bare" orbital energy of  $-\varepsilon_1 = \varepsilon_2 = \varepsilon_3 = \varepsilon > 0$



Without electron-phonon coupling, we have the eigen-energies



where for simplicity we considered an “Einstein phonon” model in which  $\omega_q = \omega_E$  is  $q$ -independent. Otherwise, the phonon excitation should become a continuum as each mode (labeled by  $q$ ) can have a different excitation energy.

Now, consider the effect of  $\hat{H}_{e-ph}$ , which we may treat as a perturbation to the level diagram above. A key simplifying assumption in our model (which enabled exact solutions) is that  $[\hat{H}, \hat{n}_i] = 0$ . In other words, even with the  $e-ph$  coupling, we can think about each of the “sub-block” above individually.

But this looks deceptively simple! The phonon state  $|\{m_q\}\rangle$  actually depends on the electronic occupation in a concealed manner. To see this more explicitly, let us write the Hamiltonian as

$$\begin{aligned} \hat{H} &= \bigoplus_{\{n_i\}} \hat{H} \Big|_{\{n_i\}} \\ &= \bigoplus_{\{n_i\}} \left( \sum_q \hat{D}_q^\dagger \left( \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) \omega_q \hat{a}_q^\dagger \hat{a}_q \hat{D}_q \left( \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) + \Delta(\{n_i\}) \right) \end{aligned}$$

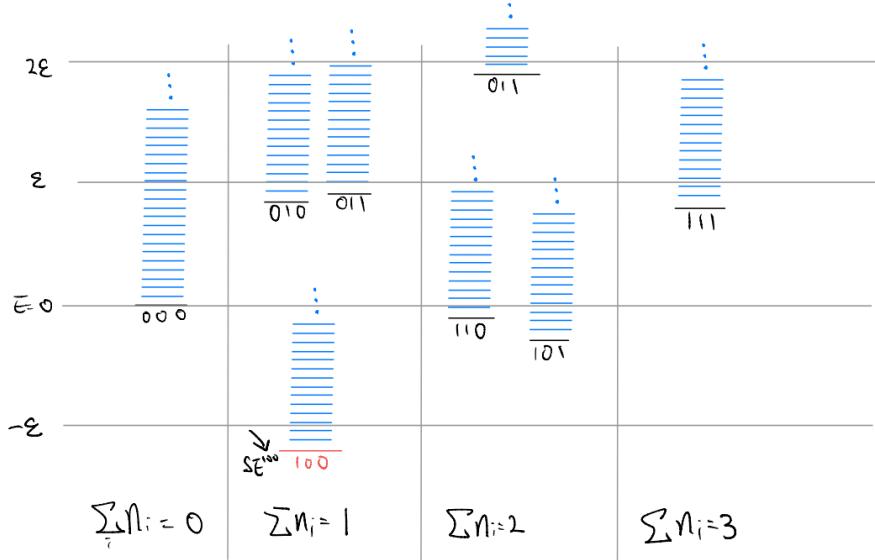
where  $\oplus$  is the direct sum over the  $2^N$  independent sectors. It’s still the “same” phonon Hamiltonian, but in different basis!

E.g., let  $|\{m_q\}\rangle$  be the “bare” phonon eigenstates with phonon occupancy

$$\hat{a}_q^\dagger \hat{a}_q \rightarrow m_q$$

Then the eigenstates of the Hamiltonian can be written as

$$|\{n_i\}, \{m_q\}\rangle = |\{n_i\}\rangle \otimes \left[ \prod_q \hat{D}_q^\dagger \left( \frac{1}{\omega_q} \sum_i n_i M_{iq} \right) |\{m_q\}\rangle_0 \right]$$



Does this “ $i$ -dependent basis rotation” of the phonon matter? After all, the phonon energies are independent on the electronic configuration! The short answer is yes. To see why, we look into the electron’s one-particle Green’s function.

## 6.2 Electron (impurity) Greens’ function

Let’s look at a real-time one-particle Greens’ function of the form

$$G_{ii}(t) = -i\langle \Omega | \hat{c}_i^\dagger(t) \hat{c}_i(0) | \Omega \rangle$$

where  $|\Omega\rangle$  is the ground state. We will compute  $G_{ii}(t)$  in two ways

1. Using the energy eigenstates we have derived. This is perhaps more transparent, but at the same time somewhat “brute force” and the solution approach looks a bit *ad hoc*, since we cannot expect to solve the many-body Hamiltonian in general
2. Solving the Heisenberg picture time evolution of the operator. This is probably the more systematic approach, and we will see that it allows for greater flexibility on the ground state

Let us start with the “brute force” approach. For concreteness, we suppose the level scheme is the one drawn before, and so the ground state is

$$|\Omega\rangle = |\{1, 0, 0\}\rangle \otimes \prod_q \hat{D}_q^\dagger \left( \frac{M_{1q}}{\omega_q} \right) |\{0_q\}\rangle_0$$

$$\hat{H}|\Omega\rangle = \Delta_{100}|\Omega\rangle$$
$$\Delta_{100} = \varepsilon_1 - \sum_q \frac{M_{1q}^2}{\omega_q}$$

# Chapter 7

## lec07 20220225

### Topics

1. Impurity spectral function: Einstein model and numerical experiment

### Goals

1. First example of a physically interesting spectral function
2. Appreciating how to “extract” physical info from spectral function

Consider the state with one electron removed:

$$\hat{c}_1|\Omega\rangle = |\{0,0,0\}\rangle \otimes \prod_q \hat{D}_q^\dagger \left( \frac{M_{1q}}{\omega_q} \right) |\{0_q\}\rangle_0$$

This is *not* an eigenstate of  $\hat{H}$ ! The eigenstates should have been

$$|\{0,0,0\}\rangle \otimes |\{m_q\}\rangle$$

Non-eigenstates means states with dynamics. So now we consider

$$\begin{aligned} G_{11}(t) &= (-i) \langle \Omega | \hat{c}_1^\dagger(t) \hat{c}_1(0) | \Omega \rangle \\ &= (-i) \langle \Omega | e^{i\hat{H}t} \hat{c}_1^\dagger e^{-i\hat{H}t} \hat{c}_1 | \Omega \rangle \\ &= (-i) e^{i\Delta_{100}t} \langle \Omega | \hat{c}_1^\dagger e^{-i\hat{H}t} \hat{c}_1 | \Omega \rangle \\ &= (-i) e^{i\Delta_{100}t} \left[ \langle 0_q |_0 \prod_q \hat{D}_q \left( \frac{M_{1q}}{\omega_q} \right) \right] \otimes \langle \{100\} | \hat{c}_1^\dagger e^{-i\hat{H}t} \hat{c}_1 \\ &\quad |\{100\}\rangle \otimes \prod_q \hat{D}_q^\dagger \left( \frac{M_{1q}}{\omega_q} \right) |\{0_q\}\rangle_0 \\ &= (-i) e^{i\Delta_{100}t} \left[ \langle 0_q |_0 \prod_q \hat{D}_q \left( \frac{M_{1q}}{\omega_q} \right) \right] \exp \left\{ -i \hat{H} \Big|_{\{000\}} t \right\} \prod_q \hat{D}_q^\dagger \left( \frac{M_{1q}}{\omega_q} \right) |\{0_q\}\rangle_0 \end{aligned}$$

But

$$\hat{H}\Big|_{\{000\}} = \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q + \Delta_{000}$$

$$\Delta_{000} = 0$$

We have

$$G_{11}(t) = (-i) e^{i\Delta_{100}t} \prod_q \left( \langle -\frac{M_{1q}}{\omega_q} | e^{-i\omega_q \hat{a}_q^\dagger \hat{a}_q t} | \frac{M_{1q}}{\omega_q} \rangle_0 \right)$$

where the state in the bra and ket is the coherent state. This is just the “propagator” in the coherent-state basis!

$$G_{11}(t) = (-i) e^{i\Delta_{100}t} \prod_q \left( \langle -\frac{M_{1q}}{\omega_q} | \frac{M_{1q}}{\omega_q} e^{-i\omega_q t} \rangle_0 \right)$$

$$= (-i) e^{i\Delta_{100}t} \prod_q \exp \left( \frac{M_{1q}^2}{\omega_q^2} e^{-i\omega_q t} \right) \exp \left( -\frac{M_{1q}^2}{\omega_q^2} \right)$$

Let's define  $g_q = \left(\frac{M_{1q}}{\omega_q}\right)^2$ , then

$$G_{11}(t) = (-i) e^{i\Delta_{100}t} \exp \left( \sum_q g_q (e^{-i\omega_q t} - 1) \right)$$

To make further progress, consider again the Einstein model with

$$\omega_q = \omega_E, \quad \forall q$$

Let  $g = \sum_q g_q$ , then

$$G_{11}(t) = (-i) e^{i\Delta_{100}t} \exp(g e^{-i\omega_E t} - g)$$

We can now consider the Fourier transform

$$G_{11}(\omega) = (-i) e^{-g} \lim_{\eta \rightarrow 0^+} \int_0^\infty dt e^{i\Delta_{100}t} e^{i\omega t} e^{-\eta t} \exp(g e^{-i\omega_E t})$$

$$= (-i) e^{-g} \sum_{l=0}^\infty \lim_{\eta \rightarrow 0^+} \int_0^\infty dt \frac{g^l}{l!} e^{i(\omega + \Delta_{100} - l\omega_E + i\eta)t}$$

$$= e^{-g} \sum_{l=0}^\infty \lim_{\eta \rightarrow 0^+} \frac{g^l}{l!} \frac{1}{\omega + \Delta_{100} - l\omega_E + i\eta}$$

and same as before we find the spectral function

$$A_{11}(\omega) = \frac{-1}{\pi} \text{Im} G_{11}(\omega)$$

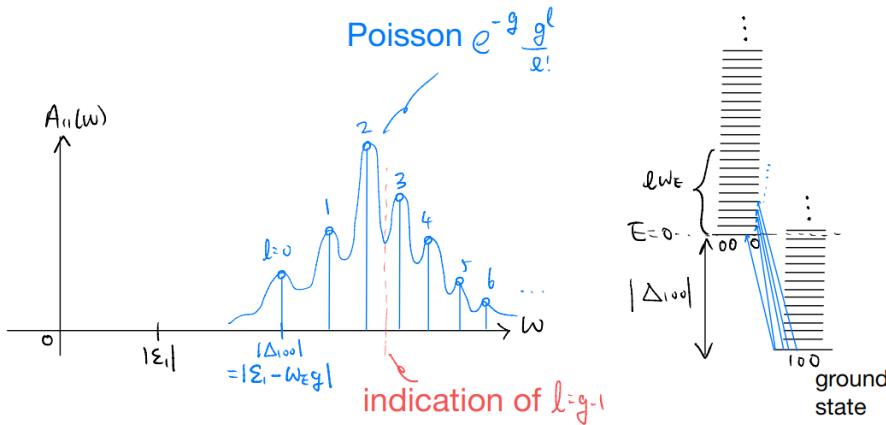
$$= \sum_{l=0}^\infty e^{-g} \frac{g^l}{l!} \delta(\omega - (-\Delta_{100} + l\omega_E))$$

$$\Delta_{100} = \varepsilon_1 - \sum_q \frac{M_{1q}^2}{\omega_q} = \varepsilon_1 - \omega_E g < 0$$

The spectral function is the sum of delta functions. For which  $l$  do we get the highest weight?

$$\frac{g^{l+1}}{(l+1)!} = \left(\frac{g}{l+1}\right) \left(\frac{g^l}{l!}\right)$$

increasing for  $l < g - 1$ , decreasing for  $l > g - 1$



Interpretation: when we try to remove an electron, we discover that in the ground state the "electron" is actually dressed by the phonons. With strong coupling ( $g \gg 1$ ), the dominant spectral peak is far from the bare electronic orbital contribution of  $|\Delta_{100}|$ .

Notes:

1. The Einstein model is simple by design, and enables very explicit computation of the frequency-space Green's function (and hence spectral function). Our real-time solution, however, holds for more general phonon dispersion. When we deviate from the Einstein model we should start seeing deviation from the "sum of delta function" form of the spectral function
2. More interestingly, one should ask what happens for acoustic phonons which have  $\omega_q \rightarrow 0$  as  $q \rightarrow 0$ . Recall the strength of the  $e - ph$  coupling was parameterized by  $g_q = \left(\frac{M_{iq}}{\omega_q}\right)^2$ . If  $M_{iq}$  stays finite and  $\omega_q \rightarrow 0$ , we have diverging coupling and hence energies etc.!

This is a rather general feature: low-energy modes are "dangerous" because they are easy to excite. In finding the ground state, one should, generally speaking, check how the "fluctuations" (lowest excitations) could destabilize the ground state. This amounts to a kind of self-consistency check. If the assumed ground state implies strong fluctuations which kills itself, the ground state does

not actually “form”. This is the key physical picture behind the Merlin-Wagner theorem on the absence of spontaneous continuous symmetry breaking in low dimensions.

Now, back to our impurity-phonon problem: physically, the acoustic phonons have vanishing frequency in the long-wavelength limit because they are Goldstone modes. The Goldstones exist because of symmetries, and are correspondingly constrained by symmetries. In our context, the catastrophe is avoided by having a “derivative coupling”, such that the  $e - ph$  coupling has a momentum dependence of  $M_{iq} \propto q$  as  $q \rightarrow 0$ . This gives a finite coupling strength as both  $M_{iq}$  and  $\omega_q$  vanish linearly in  $q$ .

Note: play with the uploaded Python code if you want to explore what happens beyond the Einstein model.

# Chapter 8

## lec08 20220302

### Topics

1. Impurity spectral function: solving again with Heisenberg
2. Dyson series, time ordering, and time-ordered exponential

### Goals

1. Learning how to deal with time-dependent perturbations

### 8.1 Solving again: Heisenberg picture

Our solution for the impurity (one-electron) spectral function was satisfactory (I think), in the sense that we have found a concrete expression which does encode a lot of interesting physics (e.g., enable numerical simulation, and analytical solution with the simplified Einstein phonons). Yet, it is also clear that our calculation approach worked because we have an exactly solved model. This is a luxury to have, and oftentimes people take “exactly solvability” to equate to “boring”. (Of course, this is subjected to personal taste)

The bottom line is, our problem was exactly solvable because it ultimately decouples into independent QHO (shifted phonon Hamiltonian) and fermions (individually conserved particle number). We only have a minimal degree of interactions in our model, namely, the phonon-mediated density-density interactions between the electrons.

Our course is called “Quantum many-body theory”, and apparently I cannot avoid introducing techniques for solving more general interacting many-body problems! This motivates to go through a more complicated approach of solving the same problem again, through the Heisenberg picture.

Recall in the Heisenberg picture the states are stationary, and the operators evolve according to

$$\hat{O}_H(t) = e^{i\hat{H}t} \hat{O}_S e^{-i\hat{H}t}$$

their time evolution is governed by the equation of motion

$$i\partial_t \hat{O}_H(t) = [\hat{O}_H(t), \hat{H}]_H$$

everything below will be in the Heisenberg picture, and we drop the subscript. Here we want to compute the real-time Green's function

$$G_{ii}(t) = \langle \Omega | \hat{c}_i^\dagger(t) \hat{c}_i(0) | \Omega \rangle$$

and so we would want to compute the time evolution of  $\hat{c}_i^\dagger(t)$  under the Hamiltonian

$$\hat{H} = \sum_{i=1}^N \varepsilon_i \hat{n}_i + \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q + \sum_{i,q} \hat{n}_i M_{iq} (\hat{a}_q + \hat{a}_q^\dagger)$$

So we first find the equation of motion for  $\hat{c}_i(t)$ . Notice

$$\begin{aligned} [\hat{c}_i^\dagger(t), \hat{n}_j(t)] &= [\hat{c}_i^\dagger(t), \hat{c}_j^\dagger(t) \hat{c}_j(t)] \\ &= \delta_{ij} \left( \hat{c}_i^\dagger(t) [\hat{c}_i^\dagger(t), \hat{c}_i(t)] \right) \\ &= \delta_{ij} \hat{c}_i^\dagger(t) (2\hat{c}_i^\dagger(t) \hat{c}_i(t) - 1) \\ &= -\delta_{ij} \hat{c}_i^\dagger(t) \end{aligned}$$

we then have

$$\begin{aligned} i\partial_t \hat{c}_i^\dagger(t) &= [\hat{c}_i^\dagger(t), \hat{H}] \\ &= \sum_j \left[ \hat{c}_i^\dagger(t), \varepsilon_j \hat{n}_j(t) + \hat{n}_j(t) \sum_q M_{jq} (\hat{a}_q(t) + \hat{a}_q^\dagger(t)) \right] \\ &= - \left( \varepsilon_i + \sum_q M_{iq} (\hat{a}_q(t) + \hat{a}_q^\dagger(t)) \right) \hat{c}_i^\dagger(t) \\ &= \hat{O}(t) \hat{c}_i^\dagger(t) \end{aligned}$$

$$\hat{O}(t) = -\varepsilon_i - \sum_q M_{iq} (\hat{a}_q(t) + \hat{a}_q^\dagger(t))$$

compared to our earlier “single-site” electronic model (c.f. Lecture-4), the difference is that the orbital energy  $\varepsilon_i$  is now promoted to a time-dependent operator. The “operators” act on the phonon Fock space, and reflects the electron-phonon coupling. The time-dependence comes from the time evolution of the phonon operators, which reflects their dynamics.

This, therefore, implies that we have to also solve for the time-evolution of the phonon operators. Again, we first notice

$$[\hat{a}_q(t), \hat{a}_{q'}^\dagger(t)] = \delta_{qq'}$$

$$\Rightarrow [\hat{a}_q(t), \hat{a}_{q'}^\dagger(t) \hat{a}_{q'}(t)] = \delta_{qq'} \hat{a}_q(t)$$

and so the equation of motion is

$$\begin{aligned} i\partial_t \hat{a}_q(t) &= \left[ \hat{a}_q(t), \sum_{q'} \left( \omega_{q'} \hat{a}_{q'}^\dagger \hat{a}_{q'} + \sum_i \hat{n}_i M_{iq'} (\hat{a}_{q'} + \hat{a}_{q'}^\dagger) \right) \right] \\ &= \omega_q \hat{a}_q(t) + \sum_i \hat{n}_i M_{iq} \end{aligned}$$

the  $e - ph$  coupling again leads to a new piece, which requires us to consider

$$i\partial_t \hat{n}_i(t) = [\hat{n}_i(t), \hat{H}] = 0$$

which means  $\hat{n}_i(t)$  is an “integral of motion” and stays constant  $\hat{n}_i(t) = \hat{n}_i$ .

Note: We have basically set up a hierarchy of equation of motions (EOM): when we try to solve for the evolution of an operator, we see that its EOM contains some other operators, and we have to proceed with finding the EOM of these other operators etc. Such hierarchy is not closed in general, which makes it impossible to write down a closed set of equations (and let alone finding the exact solution). From this lens, our model is exactly solved in that the hierarchy terminates, and we only need to consider the coupled equations for  $\hat{c}_i^\dagger(t)$  and  $\hat{a}_q(t)$ . We may first solve

$$i\partial_t \hat{a}_q(t) = \omega_q \hat{a}_q(t) + \sum_i \hat{n}_i M_{iq}$$

Let

$$\begin{aligned} \hat{a}_q(t) &= \hat{A} + \hat{B} e^{-i\omega_q t} \\ i\partial_t \hat{a}_q(t) &= \omega_q \hat{B} e^{-i\omega_q t} = \omega_q (\hat{a}_q(t) - \hat{A}) \end{aligned}$$

comparing the equations above,

$$\begin{aligned} -\omega_q \hat{A} &= \sum_i \hat{n}_i M_{iq} \\ \Rightarrow \hat{a}_q(t) &= - \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q} + \hat{B} e^{-i\omega_q t} \\ \hat{a}_q(0) &= - \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q} + \hat{B} \\ \Rightarrow \hat{B} &= \hat{a}_q(0) + \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q} \\ \Rightarrow \hat{a}_q(t) + \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q} &= \left( \hat{a}_q(0) + \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q} \right) e^{-i\omega_q t} \end{aligned}$$

Looks familiar? This simply reflects our earlier observation that, the “eigen” phonon operators in the  $\{n_i\}$  sector is related to the bare one (i.e., in the absence of  $e - ph$  coupling) by a shift using the displacement operator.

To simplify notation, let us define

$$\hat{a}_q^{\{n_i\}}(t) = \hat{a}_q(t) + \sum_i \hat{n}_i \frac{M_{iq}}{\omega_q}$$

Then we simply have

$$\hat{a}_q^{\{n_i\}}(t) = \hat{a}_q^{\{n_i\}}(0) e^{-i\omega_q t}$$

With this preparation we can go back to study the time-evolution of the fermion operator

$$i\partial_t \hat{c}_i^\dagger(t) = \hat{O}(t) \hat{c}_i^\dagger(t)$$

$$\begin{aligned} \hat{O}(t) &= -\varepsilon_i - \sum_q M_{iq} (\hat{a}_q(t) + \hat{a}_q^\dagger(t)) \\ &= -\varepsilon_i - \sum_q M_{iq} \left( \hat{a}_q^{\{n_i\}}(t) + \hat{a}_q^{\{n_i\}\dagger}(t) - 2 \sum_j \hat{n}_j \frac{M_{jq}}{\omega_q} \right) \end{aligned}$$

How do we solve this? Recall, if we have a simple function

$$\begin{aligned} i\partial_t f(t) &= g(t) f(t) \\ \Rightarrow f(t) &= f(0) \exp \left( -i \int_0^t g(t') dt' \right) \\ i\partial_t f(t) &= f(0) \left( i\partial_t \exp \left( -i \int_0^t g(t') dt' \right) \right) \\ &= f(0) \left( \partial_t \int_0^t g(t') dt' \right) \exp \left( -i \int_0^t g(t') dt' \right) \\ &= g(t) f(t) \end{aligned}$$

It is then tempting to declare our formal solution is simply

$$\hat{c}_i^\dagger(t) \stackrel{?}{=} \exp \left( -i \int_0^t \hat{O}(t') dt' \right) \hat{c}_i^\dagger(0)$$

But we should Remember the meaning of the exponential here is that it is a formal power series!

$$\begin{aligned} \hat{c}_i^\dagger &\stackrel{?}{=} \sum_{n=0}^{\infty} \frac{(-i)^n}{n!} \left[ \int_0^t dt' \hat{O}(t') \right]^n \hat{c}_i^\dagger(0) \\ &= \left( 1 - i \int_0^t dt_1 \hat{O}(t_1) + \frac{(-i)^2}{2} \int_0^t dt_1 \int_0^t dt_2 \hat{O}(t_1) \hat{O}(t_2) + \dots \right) \hat{c}_i^\dagger(0) \end{aligned}$$

$$i\partial_t \hat{c}_i^\dagger(t) \stackrel{?}{=} \left\{ \hat{O}(t) - \frac{i}{2} \left[ \hat{O}(t) \left( \int_0^t dt_2 \hat{O}(t_2) \right) + \left( \int_0^t dt_1 \hat{O}(t_1) \right) \hat{O}(t) \right] + \dots \right\} \hat{c}_i^\dagger(0)$$

versus

$$\hat{O}(t) \hat{c}_i^\dagger(t) = \hat{O}(t) \left( 1 - i \int_0^t dt_1 \hat{O}(t_1) + \dots \right) \hat{c}_i^\dagger(0)$$

the two expression agree to this order only if

$$\begin{aligned} \frac{1}{2} \left[ \hat{O}(t) \left( \int_0^t dt_2 \hat{O}(t_2) \right) + \left( \int_0^t dt_1 \hat{O}(t_1) \right) \hat{O}(t) \right] &= \hat{O}(t) \int_0^t dt_1 \hat{O}(t_1) \\ \Rightarrow \quad \left[ \int_0^t dt_1 \hat{O}(t_1), \hat{O}(t) \right] &= 0 \end{aligned}$$

But the “same” operator at different times may not commute with “itself”!  
E.g., consider a single QHO, let

$$\hat{O}(t) = \hat{a}(t) + \hat{a}^\dagger(t) = \hat{a}(0) e^{-i\omega t} + \hat{a}^\dagger(0) e^{i\omega t}$$

$$\begin{aligned} [\hat{O}(t_1), \hat{O}(t_2)] &= [\hat{a}(0) e^{-i\omega t_1} + \hat{a}^\dagger(0) e^{i\omega t_1}, \hat{a}(0) e^{-i\omega t_2} + \hat{a}^\dagger(0) e^{i\omega t_2}] \\ &= [\hat{a}^\dagger(0), \hat{a}(0)] e^{i\omega(t_1-t_2)} + [\hat{a}(0), \hat{a}^\dagger(0)] e^{-i\omega(t_1-t_2)} \\ &= -2i \sin \omega(t_1 - t_2) \end{aligned}$$

In other words, the “solution” we proposed is problematic when such non-commutation arises. To solve the problem, we have two (equivalent) pictures:

(1) Discretize then limit

Consider a small time interval  $\delta_t$ . To leading order in  $\delta_t$ , we may pretend  $\hat{O}(t) \approx \hat{O}(t + \delta_t)$  is constant. Then we have

$$\hat{c}_i^\dagger(t + \delta_t) \approx e^{-i\hat{O}\delta_t} \hat{c}_i^\dagger(t)$$

Doing this successively, we can approximate a long-time evolution

$$\hat{C}_i^\dagger(t) \simeq e^{-i\hat{O}(t_{N-1})\delta t} \dots e^{-i\hat{O}(t_3)\delta t} \dots e^{-i\hat{O}(t_1)\delta t} e^{-i\hat{O}(0)\delta t} \hat{C}_i^\dagger(0)$$

and we claim this becomes exact in the limit

$$\hat{c}_i^\dagger(t) = \lim_{N \rightarrow \infty} e^{-i\hat{O}(t_{N-1})t/N} \dots e^{-i\hat{O}(t_n)t/N} \dots e^{-i\hat{O}(t_1)t/N} e^{-i\hat{O}(0)t/N} \hat{c}_i^\dagger(0)$$

$$t_n = \frac{nt}{N}$$

Remarks:

1. This is quite intuitive, but at the same time we did not justify its validity (e.g., error estimate, convergence of limit etc.). We will not worry about these problems, and just declare it's okay.
2. How might one even try to evaluate this? In the case when the operators are more general (complicated), it may not be feasible to work out everything explicitly and exactly using only the abstract operator algebra.

One natural way forward is to go back to some explicit “basis”, e.g., in a coordinate-space basis we may replace  $\hat{x} \rightarrow x$ . Yet, in the same basis momentum  $\hat{p} \rightarrow -i\partial_x$  is still an operator. Rather, it becomes a number only if we go to a momentum basis. Such dichotomy of “what is easy” is the defining feature (trouble) of quantum mechanics.

But we are considering small time intervals! Their failure to commute enters in  $O(\delta_t^2)$ . In other words, we can insert resolutions of identity for both  $x$  and  $p$  at each time-slice, and then treat them as commuting variables (since they are now only real numbers) in the limit  $\delta_t \rightarrow 0$ ! This is the path integral picture.

(2) Fix the ordering up

Alternatively, we can also try to “repair” our good old solution

$$\hat{c}_i^\dagger(t) \sim \exp\left(-i \int_0^t dt' \hat{O}(t')\right) \hat{c}_i^\dagger(0)$$

after all, we know it is perfectly fine when  $\hat{O}(t)$  at different times commute. (In particular, when it is time-independent.)

To this end, we first notice if we write

$$\hat{c}_i^\dagger(t) = \hat{U}(t) \hat{c}_i^\dagger(0)$$

with the “initial condition”  $\hat{U}(0) = 1$ , and demand it to be a solution to

$$i\partial_t \hat{c}_i^\dagger(t) = \hat{O}(t) \hat{c}_i^\dagger(t)$$

$$\Rightarrow \quad \left(i\partial_t \hat{U}(t)\right) \hat{c}_i^\dagger(0) = \hat{O}(t) \hat{U}(t) \hat{c}_i^\dagger(0)$$

$$\Rightarrow \quad i\partial_t \hat{U}(t) = \hat{O}(t) \hat{U}(t)$$

We can as well go from the “differential” equation to an “integral” equation

$$\hat{U}(t) = \hat{U}(0) - i \int_0^t dt_1 \hat{O}(t_1) \hat{U}(t_1)$$

This isn't quite “solving”  $\hat{U}(t)$  yet, as it still appears on both left- and right-hand

sides. But we may now iterate

$$\begin{aligned}
\hat{U}(t) &= 1 - i \int_0^t dt_1 \hat{O}(t_1) \hat{U}(t_1) \\
&= 1 - i \int_0^t dt_1 \hat{O}(t_1) \left[ 1 - i \int_0^{t_1} dt_2 \hat{O}(t_2) \hat{U}(t_2) \right] \\
&= 1 - i \int_0^t dt_1 \hat{O}(t_1) + (-i)^2 \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) \hat{U}(t_2) \\
&= 1 - i \int_0^t dt_1 \hat{O}(t_1) + (-i)^2 \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) \\
&\quad + (-i)^3 \int_0^t dt_1 \int_0^{t_1} dt_2 \int_0^{t_2} dt_3 \hat{O}(t_1) \hat{O}(t_2) \hat{O}(t_3) \hat{U}(t_3) \\
&\quad \vdots
\end{aligned}$$

we thus also get a formal power series solution to  $\hat{U}(t)$ , with the general form of the  $n$ -th term given by

$$\hat{U}(t) = \sum_{n=0}^{\infty} (-1)^n \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{n-1}} dt_n \hat{O}(t_1) \hat{O}(t_2) \cdots \hat{O}(t_n)$$

This is called the “Dyson series”. We see that it is quite “close” to the expansion of the exponential. But with two important differences:

1. we are missing a factor of  $n!$  in the factorial.
2. the multiple time variables are ordered since each is bounded by the preceding one under the integral:

$$t_n < t_{n-1} < \cdots < t_2 < t_1 < t$$

such ordering is the key to repairing our “exponential solution” with regards to the non-commuting nature  $[\hat{O}(t), \hat{O}(t')] \neq 0$ .

Observation (1) invites us to “over count” the terms by treating the different  $\hat{O}(t_n)$  more equally, and in doing so we have to replace

$$\int_0^{t_{n-1}} dt_n \mapsto \int_0^t dt_n$$

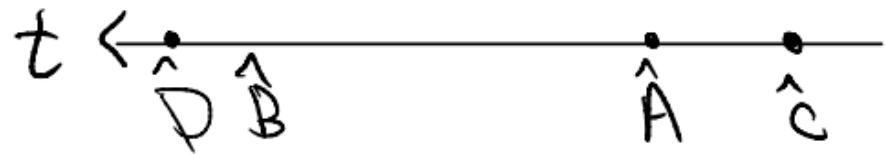
At the same time, observation (2) instructs us to be disciplined when we perform such over-counting, since otherwise we screw up with the ordering of the operators demanded by the non-commuting nature of  $\hat{O}(t)$  at different times. Combined, we claim

$$\begin{aligned}
\hat{U}(t) &= \sum_{n=0}^{\infty} \frac{(-1)^n}{n!} \mathcal{T} \left[ \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{n-1}} dt_n \hat{O}(t_1) \hat{O}(t_2) \cdots \hat{O}(t_n) \right] \\
&= \mathcal{T} \left[ \exp \left\{ -i \int_0^t dt' \hat{O}(t') \right\} \right]
\end{aligned}$$

called the “time-ordered exponential”. Here  $\mathcal{T}$  is the “time-ordering” operator

$$\mathcal{T} [\hat{A}\hat{B}\hat{C}\hat{D}] = \hat{D}\hat{B}\hat{A}\hat{C}$$

for



# Chapter 9

## lec09 20220302

### Topics

1. Impurity spectral function from the Heisenberg picture: Dyson series and time-ordered exponential
2. “Sub-problem” driven QHO
3. introduction to Normal order and Wick’s theorem

### Goals

1. Getting familiar with time-ordering
2. Starting to appreciate how to evaluate time-ordered exponential
3. A primer to many-body perturbation theory

Last lecture, we spend most of our time on the following equation of motion

$$i\partial_t \hat{c}_i^\dagger(t) = \hat{O}(t) \hat{c}_i^\dagger(t)$$

and we arrived at the formal solution

$$\hat{c}_i^\dagger(t) = \hat{U}(t) \hat{c}_i^\dagger(0)$$

$$\begin{aligned} \hat{U}(t) &= \mathcal{T} \left[ \exp \left( -i \int_0^t dt' \hat{O}(t') \right) \right] \\ &= \sum_{n=0}^{\infty} \frac{(-i)^n}{n!} \mathcal{T} \left[ \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{n-1}} dt_n \hat{O}(t_1) \hat{O}(t_2) \cdots \hat{O}(t_n) \right] \end{aligned}$$

we claimed this is simply the consequence of a “disciplined over-counting” of the Dyson series

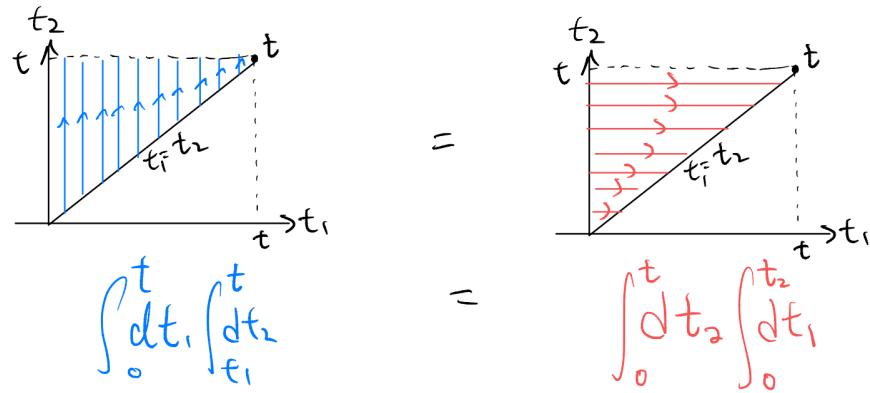
$$\hat{U}(t) = \sum_{n=0}^{\infty} (-i)^n \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{n-1}} dt_n \hat{O}(t_1) \hat{O}(t_2) \cdots \hat{O}(t_n)$$

To see why this “disciplined over-counting” makes sense, let us first consider the second-order term in the power series

$$\begin{aligned} & \frac{(-i)^2}{2!} \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \hat{O}(t_1) \hat{O}(t_2) \right] \\ &= \frac{(-i)^2}{2!} \mathcal{T} \left[ \int_0^t dt_1 \int_0^{t_1} dt_2 \underbrace{\hat{O}(t_1) \hat{O}(t_2)}_{t_1 > t_2} + \int_0^t dt_1 \int_{t_1}^t dt_2 \underbrace{\hat{O}(t_1) \hat{O}(t_2)}_{t_2 > t_1} \right] \\ &= \frac{(-i)^2}{2!} \left\{ \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) + \int_0^t dt_1 \int_{t_1}^t dt_2 \hat{O}(t_2) \hat{O}(t_1) \right\} \end{aligned}$$

Graphically, the domain of integration for the second term is

$$\int_0^t dt_1 \int_{t_1}^t dt_2 = \int_0^t dt_2 \int_0^{t_2} dt_1$$

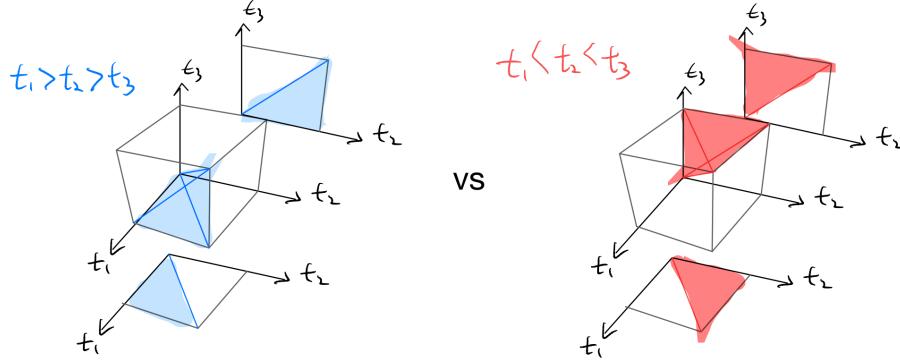


So we have

$$\begin{aligned} & \frac{(-i)^2}{2!} \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \hat{O}(t_1) \hat{O}(t_2) \right] \\ &= \frac{(-i)^2}{2!} \left\{ \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) + \int_0^t dt_2 \int_0^{t_2} dt_1 \hat{O}(t_2) \hat{O}(t_1) \right\} \\ &= \frac{(-i)^2}{2!} \left\{ \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) + \underbrace{\int_0^t dt_1 \int_0^{t_2} dt_2 \hat{O}(t_1) \hat{O}(t_2)}_{\text{relabel } t_1 \leftrightarrow t_2} \right\} \\ &= (-i)^2 \int_0^t dt_1 \int_0^{t_1} dt_2 \hat{O}(t_1) \hat{O}(t_2) \end{aligned}$$

this justifies our over-counting claim (to the second order).

The argument generalizes to higher orders. For instance consider



all these regions give the same term upon time-ordering and relabeling. All we need to do is to determine how many such regions are there. One way to see it is that each of the  $3!$  permutation of  $t_1, t_2, t_3$  corresponds to one region. E.g.,

$$(t_1, t_2, t_3) \Rightarrow t_1 < t_2 < t_3$$

$$(t_2, t_3, t_1) \Rightarrow t_2 < t_3 < t_1$$

$$(t_1, t_3, t_2) \Rightarrow t_1 < t_3 < t_2$$

$$\vdots \Rightarrow \vdots$$

More explicitly, we can also evaluate the volume of one region

$$\int_0^t dt_1 \int_0^{t_1} dt_2 \int_0^{t_2} dt_3 (1) = \int_0^t dt_1 \int_0^{t_1} dt_2 (t_2) = \int_0^t dt_1 \left( \frac{t_1^2}{2} \right) = \frac{t^3}{3 \cdot 2}$$

and so the number of regions is  $t^3 / \binom{t^3}{3 \cdot 2} = 3!$

Either of these arguments generalizes to the  $n$ -th order term. This establishes the equivalence of the Dyson series expansion and the time-ordered exponential.

Okay, great! With such a complicated preparation we can finally return to re-calculating the impurity Green's function (?)

$$\begin{aligned} G_{11}(t) &= -i\langle \Omega | \hat{c}_1^\dagger(t) \hat{c}_1(0) | \Omega \rangle \\ &= -i\langle \Omega | \mathcal{T} \underbrace{\left[ \exp \left( -i \int_0^t dt' \hat{O}(t') \right) \right]}_{\text{phonon only}} \hat{c}_1^\dagger(0) \hat{c}_1(0) | \Omega \rangle \\ &= (-i)_{100} \langle \{0_q\} | \mathcal{T} \left[ \exp \left( -i \int_0^t dt' \hat{O}(t') \right) \right] | \{0_q\} \rangle_{100} \end{aligned}$$

where

$$\begin{aligned}\hat{O}_{100}(t) &= -\varepsilon_1 - \sum_q M_{1q} \left( \hat{a}_q^{\{100\}}(t) + \hat{a}_q^{\{100\}\dagger}(t) - 2 \frac{M_{1q}}{\omega_q} \right) \\ &= -\varepsilon_1 + 2 \sum_q \frac{M_{1q}^2}{\omega_q} - \sum_q M_{1q} \left( \hat{a}_q^{\{100\}}(t) + \hat{a}_q^{\{100\}\dagger}(t) \right)\end{aligned}$$

and the phonon ground state in the  $\{100\}$  sector is defined by (verify!)

$$\hat{a}_q^{\{100\}}(t) | \{0\}_q \rangle_{100} = 0, \quad \forall q$$

To proceed, we make two observations:

1. the constant piece in  $\hat{O}(t)$  does not cause trouble, and we can just deal with it directly to get a phase;
2. The different phonon modes labeled by  $q$  do not interfere with each other, and so we can evaluate them “in parallel”

This gives

$$\begin{aligned}G_{11}(t) &= (-i) \exp \left[ -i \left( -\varepsilon_1 + 2 \sum_q \frac{M_{1q}^2}{\omega_q} \right) t \right] \\ &\times \prod_q |0_q\rangle_{100} \langle 0_q | \mathcal{T} \left[ \exp \left( i M_{1q} \int_0^t dt' \left( \hat{a}_q^{\{100\}}(t') + \hat{a}_q^{\{100\}\dagger}(t') \right) \right) \right] |0_q\rangle_{100}\end{aligned}$$

Neat, but how do we evaluate this???

## 9.1 Sub-problem: single QHO

After massaging, we are down to evaluating the expression

$$\sim \langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t))} \right] | 0 \rangle$$

once for each mode labeled by  $q$ , with both the phonon operators and the ground state defined by the electronic configuration  $\{100\}$ . We have also generalized the constant  $M_{iq}$  to a time-dependent function  $\zeta(t)$ . For simplicity, we consider here the equivalent problem of our good old single QHO. (Note: we mostly follow notations in Coleman Chapter-5 here)

how do we evaluate this? As we alluded to in the last lecture, we could employ path integral methods if we understand the time-ordered exponential as the time evolution of many small intervals; alternatively, we can try to evaluate it order-by-order if we take the Dyson-series like expansion.

Here, let us take the second route. (Check out Coleman 5.1.1 for an evaluation along the first route.)

Expanding up to first few terms,

$$\begin{aligned} & \langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t))} \right] | 0 \rangle \\ &= \langle 0 | 0 \rangle - i \langle 0 | \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t)) | 0 \rangle \\ &+ \frac{(-i)^2}{2} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t)) \right)^2 \right] | 0 \rangle + \dots \end{aligned}$$

where

$$\begin{aligned} \langle 0 | 0 \rangle &= 1 \\ \langle 0 | \hat{a}^\dagger(t) | 0 \rangle &= \langle 0 | \hat{a}(t) | 0 \rangle = 0 \\ \Rightarrow \quad \langle 0 | \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t)) | 0 \rangle &= 0 \end{aligned}$$

and so our first nontrivial term to evaluate is

$$\begin{aligned} & \frac{(-i)^2}{2} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t)) \right)^2 \right] | 0 \rangle \\ &= \frac{(-i)^2}{2} \langle 0 | \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \zeta(t_1) \zeta(t_2) \hat{a}^\dagger(t_1) \hat{a}^\dagger(t_2) + \zeta(t_1) \bar{\zeta}(t_2) \hat{a}^\dagger(t_1) \hat{a}(t_2) \right. \\ &\quad \left. + \bar{\zeta}(t_1) \zeta(t_2) \hat{a}(t_1) \hat{a}^\dagger(t_2) + \bar{\zeta}(t_1) \bar{\zeta}(t_2) \hat{a}(t_1) \hat{a}(t_2) \right] | 0 \rangle \end{aligned}$$

Noticing

$$\hat{a}(t) | 0 \rangle = 0, \quad \langle 0 | \hat{a}^\dagger(t) = 0$$

one may want to claim the only surviving term is

$$\sim \langle 0 | \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \bar{\zeta}(t_1) \zeta(t_2) \hat{a}(t_1) \hat{a}^\dagger(t_2) \right] | 0 \rangle$$

*But this is wrong!* Remember, the time-ordering operator upfront implies the actual order may not be what we have written down. Instead, let us impose the time-ordering explicitly the, we do have

$$\begin{aligned} & \frac{(-i)^2}{2} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' (\zeta(t) \hat{a}^\dagger(t) + \bar{\zeta}(t) \hat{a}(t)) \right)^2 \right] | 0 \rangle \\ &= (-i)^2 \langle 0 | \left[ \int_0^t dt_1 \int_0^{\textcolor{red}{t}_1} dt_2 \bar{\zeta}(t_1) \zeta(t_2) \hat{a}(t_1) \hat{a}^\dagger(t_2) \right] | 0 \rangle \\ &= (-i)^2 \langle 0 | \left[ \int_0^t dt_1 \int_0^{\textcolor{red}{t}_1} dt_2 \bar{\zeta}(t_1) \zeta(t_2) e^{-i\omega(t_1-t_2)} \hat{a}(0) \hat{a}^\dagger(0) \right] | 0 \rangle \\ &= (-i)^2 \int_0^t dt_1 \int_0^{\textcolor{red}{t}_1} dt_2 \bar{\zeta}(t_1) \zeta(t_2) e^{-i\omega(t_1-t_2)} \langle 0 | (\hat{a}^\dagger(0) \hat{a}(0) + 1) | 0 \rangle \\ &= (-i)^2 \int_0^t dt_1 \int_0^{\textcolor{red}{t}} dt_2 \Theta(\textcolor{red}{t}_1 - \textcolor{red}{t}_2) e^{-i\omega(t_1-t_2)} \bar{\zeta}(t_1) \zeta(t_2) \end{aligned}$$

where we have used the Heaviside step-function to restore the full integration domain for  $t_2$ . Let us define

$$\mathcal{G}(t - t') = (-i) \Theta(t - t') e^{-i\omega(t-t')}$$

then we see that

$$\langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t)\hat{a}^\dagger(t) + \bar{\zeta}(t)\hat{a}(t))} \right] | 0 \rangle = 1 - i \int_0^t dt_1 \int_0^t dt_2 \bar{\zeta}(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2) + \dots$$

where the second term is “number”, and no “ordering”! With a leap of faith, let us announce the answer

$$\langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t)\hat{a}^\dagger(t) + \bar{\zeta}(t)\hat{a}(t))} \right] | 0 \rangle = e^{-i \int_0^t dt_1 \int_0^t dt_2 \bar{\zeta}(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2)}$$

this is kind of natural: starting with the QHO in the ground state, we perturb it by a time-dependent linear term. So if at time  $t_2$  we create a quanta, let it time evolve for time  $t_1 - t_2$  and at time  $t_1$  we annihilate it to go back to the ground state. We need to allow for all such processes happening at different times  $t_1, t_2$ . This “explains” the expression.

Of course, we haven’t really proved the validity of our answer. More later.

## 9.2 Back to the main thread

As an indirect check of the expression we claimed, let us use it for the impurity-phonon problem:

$$\zeta(t) = \bar{\zeta}(t) = -M_{1q}$$

$$\begin{aligned} G_{11}(t) &= (-i) e^{-i \left( -\varepsilon_1 + 2 \sum_q \frac{M_{1q}^2}{\omega_q} \right)} \prod_q {}_{100} \langle 0_q | \mathcal{T} \left[ e^{i M_{1q} \int_0^t dt' (\hat{a}_q^{\{100\}}(t) + \hat{a}_q^{\{100\}\dagger}(t))} \right] | 0_q \rangle {}_{100} \\ &= (-i) e^{-i \left( -\varepsilon_1 + 2 \sum_q \frac{M_{1q}^2}{\omega_q} \right)} \prod_q e^{-i M_{1q}^2 \int_0^t dt_1 \int_0^t dt_2 \mathcal{G}_q(t_1 - t_2)} \end{aligned}$$

Evaluating the double integral

$$\begin{aligned} \int_0^t dt_1 \int_0^t dt_2 \mathcal{G}_q(t_1 - t_2) &= -i \int_0^t dt_1 \int_0^t dt_2 \Theta(t_1 - t_2) e^{-i\omega_q(t_1 - t_2)} \\ &= -i \int_0^t dt_1 \int_0^{t_1} dt_2 e^{-i\omega_q(t_1 - t_2)} \\ &= -i \int_0^t dt_1 \frac{1 - e^{-i\omega_q t_1}}{i\omega_q} \\ &= -\frac{t}{\omega_q} + \frac{e^{-i\omega_q t} - 1}{-i\omega_q^2} \end{aligned}$$

with this we conclude (recalling  $g_q = \frac{M_{1q}^2}{\omega_q^2}$ )

$$\begin{aligned} G_{11}(t) &= (-i) e^{-i(-\varepsilon_1 + 2 \sum_q \frac{M_{1q}^2}{\omega_q}) t} \prod_q e^{i \frac{M_{1q}^2}{\omega_q} t} e^{\frac{M_{1q}^2}{\omega_q^2} (e^{-i\omega_q t} - 1)} \\ &= (-i) \underbrace{e^{-i(-\varepsilon_1 + \sum_q \frac{M_{1q}^2}{\omega_q}) t}}_{e^{i\Delta_{100} t}} e^{\sum_q g_q (e^{-i\omega_q t} - 1)} \end{aligned}$$

This checks out! Whether this Heisenberg picture is clearer than the exact solution or not is a matter of taste: they do have a slightly different flavor nevertheless. In the exact solution, we relied heavily on the properties of the displacement operator which we discussed way back. In contrast, in the Heisenberg picture discussion, we see that we are implicitly attacking a much more general problem, namely, how to evaluate the time-evolution operator of a more general time-dependent Hamiltonian.



# Chapter 10

## lec10 20220309

Topics

1. Normal order
2. (Static) Wick's theorem

Goals

1. Learning how to compute ground state expectation values
2. Appreciating the what it means to be “free”, “Gaussian”, “non-interacting”

Remark: we will spend this week on a fairly technical (general) discussion.

### 10.1 Normal order

As discussed last time, we announced the answer

$$\langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t') \hat{a}^\dagger(t') + \zeta^*(t') \hat{a}(t'))} \right] | 0 \rangle = e^{-i \int_0^t dt_1 \int_0^t dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2)}$$
$$\mathcal{G}(t_1 - t_2) = (-i) \Theta(t_1 - t_2) e^{-i\omega(t_1 - t_2)}$$

simply by “checking” the lowest nontrivial term! It will make sense to demand that we do a more honest check by considering the general terms.

Let us expand the LHS

$$\text{LHS} = \sum_{n=0}^{\infty} \frac{(-i)^n}{n!} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' \hat{\phi}(t') \right)^n \right] | 0 \rangle$$
$$\hat{\phi}(t) = \zeta(t) \hat{a}^\dagger(t) + \zeta^*(t) \hat{a}(t)$$

First, we notice that the only non-vanishing terms have to come with the same number of  $\hat{a}$ & $\hat{a}^\dagger$ : otherwise we leave the ground state and will have zero overlap.

In particular, the odd-order terms vanish identically since there is no way to “balance”  $\hat{a}$ & $\hat{a}^\dagger$  there. In other words,

$$\text{LHS} = \sum_{n=0} \frac{(-i)^{2n}}{(2n)!} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' \hat{\phi}(t') \right)^{2n} \right] | 0 \rangle$$

Let us inspect the second nontrivial term now:

$$\begin{aligned} & \frac{(-i)^4}{4!} \langle 0 | \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \int_0^t dt_3 \int_0^t dt_4 \hat{\phi}(t_1) \hat{\phi}(t_2) \hat{\phi}(t_3) \hat{\phi}(t_4) \right] | 0 \rangle \\ &= \frac{(-i)^4}{4!} \langle 0 | \mathcal{T} \left[ \int_0^t dt_1 \int_0^t dt_2 \int_0^t dt_3 \int_0^t dt_4 (\zeta(t_1) \zeta(t_2) \zeta^*(t_3) \zeta^*(t_4) \hat{a}^\dagger(t_1) \hat{a}^\dagger(t_2) \hat{a}(t_3) \hat{a}(t_4) \right. \\ &\quad \left. + \zeta(t_1) \zeta^*(t_2) \zeta^*(t_3) \zeta(t_4) \hat{a}^\dagger(t_1) \hat{a}(t_2) \hat{a}(t_3) \hat{a}^\dagger(t_4) + \dots) \right] | 0 \rangle \end{aligned}$$

Ideally, we want to simplify our problem using

$$\hat{a}(t) | 0 \rangle = 0$$

$$\langle 0 | \hat{a}^\dagger(0) = 0$$

but, as we mentioned earlier, the precise ordering of the operators is to be determined by the time-ordering, which is “changing” as we perform the integrals! It is then not so obvious which terms survive and which do not.

Nevertheless, it is indeed correct that we could greatly simplify the calculation if we can bring the  $\hat{a}^\dagger$  to the left and  $\hat{a}$  to the right. This is called the “normal order”. The normal ordering of a time-ordered operator is the key to our evaluation, facilitated by what is usually called the Wick’s theorem / lemma.

Note: “the” normal order is defined with respect to the ground state. When we say we bring, e.g.,  $\hat{a}^\dagger$  to the left and  $\hat{a}$  to the right, it is implicitly assumed that our goal is to evaluate some expectation values with respect to the vacuum. Generally speaking, a different ground state calls for a different “normal” order.

## 10.2 Wick’s theorem

Imagine taking the product of a string of creation and annihilation operators, e.g.,

$$\hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \hat{a}_5 \hat{a}_6^\dagger$$

here, the subscripts are quite general, in that they may not only be referring to the “modes”, but could also be, e.g., indicating the time as in  $\hat{a}_i^\dagger = \hat{a}^\dagger(t_i)$ . We have defined the normal order to be

$$: \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \hat{a}_5 \hat{a}_6^\dagger : := \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_6^\dagger \hat{a}_1 \hat{a}_4 \hat{a}_5 \quad [\text{bosonic}]$$

where the notation  $\langle \rangle$  denotes normal ordering. A natural question here is, how different is an operator  $\hat{O}$  compared to its normal order  $\langle \hat{O} \rangle$ ? Relatedly, what is the ground state expectation value

$$\langle 0 | \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \hat{a}_5 \hat{a}_6^\dagger | 0 \rangle$$

provided that it is not obviously 0?

To develop some feeling for the problem, let's try to bring our example to the normal order

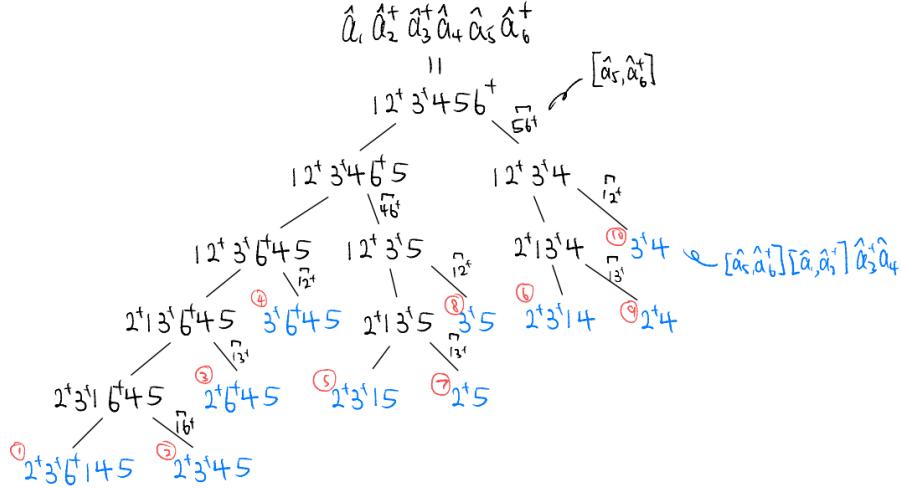
$$\begin{aligned} & \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \hat{a}_5 \hat{a}_6^\dagger \\ &= \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \left( \hat{a}_6^\dagger \hat{a}_5 + \underbrace{[\hat{a}_5, \hat{a}_6^\dagger]}_{\text{c-number}} \right) \\ &= \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \hat{a}_6^\dagger \hat{a}_5 + [\hat{a}_5, \hat{a}_6^\dagger] \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4 \\ &= \dots \end{aligned}$$

where the operators to be exchanged are in red color.

Some observations:

1. whenever we move an  $\hat{a}$  pass an  $\hat{a}^\dagger$ , we generate two terms. One now has the “right” order for the two operators involved, and the other leads to a commutator multiplied to a “shorter term” with fewer operators involved.
2. We can now imagine iterating the procedure. There will be a “long string” remaining which contains the same number of operators inside (6 in our example). But each of the “short strings” would also need to be brought to a normal order, and in doing so generate even shorter strings.
3. Importantly, the process terminates when everything is normal ordered!

Let's now proceed with our example in a visually more suggestive manner



we may rewrite this tree in a more conventional form

$$\begin{aligned}
& \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\dagger = \textcircled{1} : \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\dagger : \\
& + \textcircled{2} : \hat{a}_1^\bullet \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\bullet : + \textcircled{3} : \hat{a}_1^\bullet \hat{a}_2^\dagger \hat{a}_3^\dagger \bullet \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\dagger : \\
& + \textcircled{4} : \hat{a}_1^\bullet \hat{a}_2^\dagger \bullet \hat{a}_3^\dagger \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\dagger : + \textcircled{5} : \hat{a}_1^\dagger \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\bullet \hat{a}_5^\dagger \hat{a}_6^\bullet : \\
& + \textcircled{6} : \hat{a}_1^\dagger \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\bullet \hat{a}_5^\bullet \hat{a}_6^\bullet : \\
& + \textcircled{7} : \hat{a}_1^\bullet \hat{a}_2^\dagger \hat{a}_3^\dagger \bullet \hat{a}_4^\bullet \hat{a}_5^\dagger \hat{a}_6^{\bullet\bullet} : + \textcircled{8} : \hat{a}_1^\bullet \hat{a}_2^\dagger \bullet \hat{a}_3^\dagger \hat{a}_4^\bullet \hat{a}_5^\dagger \hat{a}_6^{\bullet\bullet} : \\
& + \textcircled{9} : \hat{a}_1^\bullet \hat{a}_2^\dagger \hat{a}_3^\dagger \bullet \hat{a}_4^\bullet \hat{a}_5^\bullet \hat{a}_6^\dagger : + \textcircled{10} : \hat{a}_1^\bullet \hat{a}_2^\dagger \bullet \hat{a}_3^\dagger \hat{a}_4^\bullet \hat{a}_5^\bullet \hat{a}_6^\dagger :
\end{aligned}$$

Notes from website builder: Since the notation for the Wick contraction used in class is hard to type in LATEX or HTML, here I use a different notation which is also widely used, like in Wikipedia wiki/Wick's theorem. Their mapping relations are

$$\begin{aligned}
& \overbrace{a_1 a_2 a_3 a_4} \Leftrightarrow a_1^\bullet a_2 a_3 a_4^\bullet \\
& \overbrace{a_1 a_2 a_3 a_4} \Leftrightarrow a_1^\bullet a_2^\bullet a_3^\bullet a_4^\bullet
\end{aligned}$$

In particular, by bringing it to normal order we may now conclude

$$\langle 0 | \hat{a}_1 \hat{a}_2^\dagger \hat{a}_3^\dagger \hat{a}_4^\dagger \hat{a}_5^\dagger \hat{a}_6^\dagger | 0 \rangle = 0$$

since no “constants” emerge in the ordered expansion, i.e., all terms contain an  $\hat{a}_i$  at the right-most end. This is not entirely obvious without calculating! Especially, given the generality of the statement: these could be acting on the same (different) modes at the same (different) times.

Suggested sanity check: try the simple case when all operators act on the same mode at the same times, i.e., evaluate  $\langle 0 | \hat{a} \hat{a}^\dagger 2 \hat{a}^2 \hat{a}^\dagger | 0 \rangle$

From this exercise we can distill out a few rules:

1. we can “expand” the original product into sum of sub-products, all of them in the normal order
2. the coefficients of the sub-products are determined by what gets removed (pairwise) when we move the operators around, these are indicated by the symbol  $a_i^\bullet a_j^\bullet$ . We call them “contractions”
3. we only contract  $\hat{a}_i^\bullet \hat{a}_j^\bullet$ , Terms like  $\hat{a}_i^\bullet \hat{a}_j^\bullet, \hat{a}_i^\dagger \hat{a}_j^\bullet, \hat{a}_i^\bullet \hat{a}_j^\dagger$  do not show up because we don’t need to commute them to reach normal order

In particular, points (2) and (3) above suggest a sharper definition of what a “contraction” is: it involves a pair of annihilation and creation operators, and it measures its mismatch from the normal-ordered form, i.e.,

$$\hat{\phi}_1^\bullet \hat{\phi}_2^\bullet = \hat{\phi}_1 \hat{\phi}_2 - : \hat{\phi}_1 \hat{\phi}_2 :$$

check that, e.g.,

$$\hat{a}_i^\bullet \hat{a}_j^\dagger = \hat{a}_i \hat{a}_j^\dagger - \hat{a}_j^\dagger \hat{a}_i = [\hat{a}_i, \hat{a}_j^\dagger]$$

$$\hat{a}_i^\dagger \hat{a}_j^\bullet = \hat{a}_i^\dagger \hat{a}_j - \hat{a}_i^\dagger \hat{a}_j = 0$$

Importantly, our definition extends to the case when  $\hat{\phi}_i$  is a linear superposition of  $\hat{a}_i$  and  $\hat{a}_i^\dagger$ , i.e., let

$$\hat{\phi}_i = u_i \hat{a}_i + v_i \hat{a}_i^\dagger$$

then,

$$\begin{aligned} \hat{\phi}_i^\bullet \hat{\phi}_j^\bullet &= (u_i \hat{a}_i + v_i \hat{a}_i^\dagger) (u_j \hat{a}_j + v_j \hat{a}_j^\dagger) - : (u_i \hat{a}_i + v_i \hat{a}_i^\dagger) (u_j \hat{a}_j + v_j \hat{a}_j^\dagger) : \\ &= u_i v_j \hat{a}_i \hat{a}_j^\dagger - u_i v_j \hat{a}_j^\dagger \hat{a}_i \\ &= u_i v_j [\hat{a}_i, \hat{a}_j^\dagger] \end{aligned}$$

We may now state Wick's theorem more generally:

$$\hat{\phi}_1 \hat{\phi}_2 \cdots \hat{\phi}_n = \sum : \text{all possible contractions} :$$

here, by “all” we mean everything from no contraction at all, to the case of everything grouped pairwise (if  $n$  is even) and contracted. As stated, it could be that many of the included terms are 0 identically. But that's okay because it gives us a simple way to state the theorem!

Remarks:

1. Contraction is not symmetric, i.e.,  $\hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \neq \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet$ . E.g.,  $\hat{a}_1^\dagger \hat{a}_2^\bullet = 0$  but  $\hat{a}_2^\bullet \hat{a}_1^\dagger = [\hat{a}_2, \hat{a}_1^\dagger]$ . The order is fixed by that in the original operator we are “expanding”

2. Wick's theorem as stated is an operator identity.

Evaluating vacuum expectation value is a special application. E.g., take four operators

$$\begin{aligned}\hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 &=: \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 : \\ &+ \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet : \hat{\phi}_3 \hat{\phi}_4 : + \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet : \hat{\phi}_2 \hat{\phi}_4 : + \hat{\phi}_1^\bullet \hat{\phi}_4^\bullet : \hat{\phi}_2 \hat{\phi}_3 : \\ &+ \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet : \hat{\phi}_1 \hat{\phi}_4 : + \hat{\phi}_2^\bullet \hat{\phi}_4^\bullet : \hat{\phi}_1 \hat{\phi}_3 : + \hat{\phi}_3^\bullet \hat{\phi}_4^\bullet : \hat{\phi}_1 \hat{\phi}_2 : \\ &+ \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet \hat{\phi}_2^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_4^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet\end{aligned}$$

which contains  $C_0^4 + C_2^4 + \frac{1}{2}C_2^4C_2^2$  terms. If we take the expectation value

$$\langle \Phi | \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 | \Psi \rangle = \langle \Phi | : \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 : | \Psi \rangle + \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \langle \Phi | : \hat{\phi}_3 \hat{\phi}_4 : | \Psi \rangle + \dots$$

there isn't much of a simplification as all the terms will contribute in general. Yet if we take the vacuum expectation value (VEV)

$$\langle 0 | \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 | 0 \rangle = \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet \hat{\phi}_2^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_4^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet$$

as all the other normal-ordered operators will annihilate the vacuum.

How many terms are there in this VEV? Consider the VEV of a string of  $2n$  operators. We are asking how many ways are there to group them in pairs, noticing that

1. the order within the pair is “unimportant”, since that has to be fixed by the order in which they appeared in the original string, and
2. once contracted, we get a c-number and it doesn't matter how we order these c-numbers.

So, the number of terms is successively choosing two out of the remaining

$$\begin{aligned}&\frac{1}{n!} C_2^{2n} C_2^{2n-2} \cdots C_2^4 C_2^2 \\&= \frac{1}{n!} \frac{(2n)(2n-1)}{2} \frac{(2n-2)(2n-3)}{2} \cdots \frac{4 \cdot 3}{2} \frac{2 \cdot 1}{2} \\&= (2n-1)(2n-3) \cdots 3 \cdot 1 \\&= (2n-1)!!\end{aligned}$$

where  $\frac{1}{n!}$  is the permutation of the contracted pairs.

Fun fact: you might think of the  $2n$  operators as the vertices of a  $2n$ -vertex complete graph, then a term in the VEV corresponds to a perfect matching on this graph. The number of such perfecting matching is, as argued,  $(2n-1)!!$ .

How fast does this grow? For the first few,

For large  $n$  we may estimate using Stirling's approximation

$$(2n-1)!! \sim \left( \frac{2n}{e} \right)^n$$

|             |           |           |            |             |             |                |
|-------------|-----------|-----------|------------|-------------|-------------|----------------|
| # operators | 2         | 4         | 6          | 8           | 10          | 12             |
| # of terms  | $1!! = 1$ | $3!! = 3$ | $5!! = 15$ | $7!! = 105$ | $9!! = 945$ | $11!! = 10395$ |

i.e., it grows super-exponentially! Combinatorial is hard... Yet, if many terms are the same then it maybe manageable

Note that the “normal order” is not uniquely defined. In the above, we defined it with respect to the vacuum, which instructs us to pull all the  $\hat{a}_i$  to the left and  $\hat{a}_i^\dagger$  to the right, as they annihilate the ket and bra correspondingly.

One could have *alternative* states which are annihilated by some transformed operators, e.g., we have saw that the “phonon vacuum” depends on the electronic configuration in the impurity-phonon problem. One can think of it simply as a “basis transformation”, and we can define “alternative” normal order with respect to such basis. The computation of expectation values then simplify in a similar manner.

These alternative normal orders correspond to alternative contractions, defined still as the the (c-number) mismatch between the operator and its normal ordered form. In fact, such contractions encode the pairwise correlation functions for the annihilation (creation) operators in the “alternative state”. (see below) Wick’s theorem then implies that, for such states for which a normal order could be defined,

general correlation functions = combinatorial product and sum of  
up to pairwise (two-point) correlation functions.

This is clearly very special, as generally speaking “higher order” correlation functions contain new data compared to the ones at “2nd order”. The absence of such “new data” is the defining feature of a Gaussian distribution. Such states admitting a normal order are “Gaussian” in this sense.

A powerful observation about such Gaussian state  $|GS\rangle$  is that we do not actually need to know how to perform the normal ordering! We just need to suppose a normal order exist such that

$$\langle GS| : \hat{\phi}_1 \hat{\phi}_2 \cdots \hat{\phi}_n : |GS\rangle = 0$$

It then follows that

$$\begin{aligned} \langle \hat{\phi}_1 \hat{\phi}_2 \rangle &= \langle GS| \hat{\phi}_1 \hat{\phi}_2 |GS\rangle, \quad \text{computable in any basis} \\ &= \langle GS| : \hat{\phi}_1 \hat{\phi}_2 : + \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet |GS\rangle \\ &= \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \end{aligned}$$

In the above, the second derivation requires rotating to the right basis to literally perform the normal order. In particular, the general correlation functions can now be expressed as, e.g., for four operators

$$\begin{aligned} \langle \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_4 \rangle &= \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet \hat{\phi}_2^\bullet \hat{\phi}_4^\bullet + \hat{\phi}_1^\bullet \hat{\phi}_4^\bullet \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \\ &= \langle \hat{\phi}_1 \hat{\phi}_2 \rangle \langle \hat{\phi}_3 \hat{\phi}_4 \rangle + \langle \hat{\phi}_1 \hat{\phi}_3 \rangle \langle \hat{\phi}_2 \hat{\phi}_4 \rangle + \langle \hat{\phi}_1 \hat{\phi}_4 \rangle \langle \hat{\phi}_2 \hat{\phi}_3 \rangle \end{aligned}$$

Looks familiar? Jumping ahead slightly, with *fermionic* operators, the corresponding expression is

$$\langle \hat{c}_1^\dagger \hat{c}_2^\dagger \hat{c}_3 \hat{c}_4 \rangle = \langle \hat{c}_1^\dagger \hat{c}_2^\dagger \rangle \langle \hat{c}_3 \hat{c}_4 \rangle + \langle \hat{c}_1^\dagger \hat{c}_4 \rangle \langle \hat{c}_2^\dagger \hat{c}_3 \rangle - \langle \hat{c}_1^\dagger \hat{c}_3 \rangle \langle \hat{c}_2^\dagger \hat{c}_4 \rangle$$

The first term is “condensation” which will vanish unless superconducting mean field (BdG), the second term is the direct “Hartree”, and the third term is the exchange “Fock” (recalling that fermions is anti-commuting). This is the famous Hartree-Fock approximation, namely, when we approximate the actual ground state with a Gaussian state, the interaction energy consists simply of the Hartree and Fock terms. (Assuming no superconductivity)

Lastly, we note that we did not actually prove Wick’s theorem. We just “motivated” and then “stated” it. For our purpose, it’s probably more important to understand what it means and how to use it, than to really prove it.

Instead, let us just sketch how it could be proved

1. In a “brute force” approach, we can establish Wick’s theorem by induction. The key step is to notice what happens when we “squeeze” a new operator into a normal-ordered one. Supposing

$$\begin{aligned} \hat{\phi}_1 : \hat{\phi}_2 \cdots \hat{\phi}_n := & : \hat{\phi}_1 \hat{\phi}_2 \cdots \hat{\phi}_n : + \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet : \hat{\phi}_3 \hat{\phi}_4 \cdots \hat{\phi}_n : \\ & + \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet : \hat{\phi}_2 \hat{\phi}_4 \cdots \hat{\phi}_n : + \cdots + \hat{\phi}_1^\bullet \hat{\phi}_n^\bullet : \hat{\phi}_2 \hat{\phi}_3 \cdots \hat{\phi}_{n-1} : \end{aligned}$$

is true for  $n$  operators, then we can show that it’s also true for  $n+1$  operators. With this established, the Wick’s theorem can again be proved by induction: supposing it holds for products of up to  $n$  operators, then we insert a new one from the left and all the “new contractions” are generated by the proposition above.

2. Another way to prove it is to first perform a path integral with sources inserted, and then take functional derivatives. This is perhaps the more popular “physicist” proof. See Coleman Chapter-5 for a discussion.
3. More interestingly still, in the “serious QFT” literature, there’s some known connection of the Wick’s theorem to what is called the “homological perturbation lemma”. Let me know if you think you could explain that to me.

# Chapter 11

## lec11 20220311

Topics

1. Wick's theorem and Gaussian states
2. Wicks' theorem, time-ordering and time-ordered exponential

Goals

1. Appreciating what it means to be “free”, “Gaussian”, “non-interacting” (mean-field)
2. Completing our explicit evaluation of the time-ordered exponential

### 11.1 Gaussian states

In introducing the normal ordering, we tried to emphasize that its definition is implicitly dependent on a reference state, and so, correspondingly, the value of the contraction also depends on the reference state. We had already argued that the contraction simply equals to the “two-point” correlation function of the reference state. Let us show this more explicitly in a single QHO example.

To this end, let us introduce the notion of a “squeezed state” (quantum optics terminology)

$$|\zeta\rangle = \underbrace{e^{i(\zeta\hat{a}^{\dagger 2} + \zeta^*\hat{a}^2)/2}}_{\hat{S}(\zeta)}|0\rangle$$

We see that the squeezed state is “rotated” from the vacuum by a unitary, called the “squeezed operator”

$$\hat{S}(\zeta) = e^{i(\zeta\hat{a}^{\dagger 2} + \zeta^*\hat{a}^2)/2}$$

Note: our notation here differs from the usual quantum optics discussion by a factor of  $i$ . This is done for our convenience in what follows.

We claim the squeezed state is “Gaussian”, and that the Wick’s theorem can be applied to facilitate the evaluation of expectation values. To that end, let us first consider how the squeeze operator transform the annihilation and creation operators:

$$\hat{S}(\zeta) \hat{a}^\dagger \hat{S}^\dagger(\zeta) = e^{i(\zeta \hat{a}^{\dagger 2} + \zeta^* \hat{a}^2)t/2} \hat{a}^\dagger e^{i(\zeta \hat{a}^{\dagger 2} + \zeta^* \hat{a}^2)t/2} \Big|_{t=1}$$

where instead of computing it directly (with BCH type formulas), we use a trick that the transformation can be interpreted as a kind of Heisenberg picture evolution with a “squeezing Hamiltonian”

$$\begin{aligned} i\partial_t \hat{a}^\dagger &= \left[ \hat{a}^\dagger, \frac{1}{2} (\zeta \hat{a}^{\dagger 2} + \zeta^* \hat{a}^2) \right] = -\zeta^* \hat{a} \\ \Rightarrow \quad \partial_t \begin{pmatrix} \hat{a} \\ \hat{a}^\dagger \end{pmatrix} &= i \begin{pmatrix} 0 & -\zeta \\ \zeta^* & 0 \end{pmatrix} \begin{pmatrix} \hat{a} \\ \hat{a}^\dagger \end{pmatrix} \\ \Rightarrow \quad \begin{pmatrix} \hat{a}(t) \\ \hat{a}^\dagger(t) \end{pmatrix} &= \exp \left( i \begin{pmatrix} 0 & -\zeta \\ \zeta^* & 0 \end{pmatrix} t \right) \begin{pmatrix} \hat{a}(0) \\ \hat{a}^\dagger(0) \end{pmatrix} \end{aligned}$$

For simplicity, let us further assume  $\zeta = i\theta$  is purely imaginary. Then

$$\begin{aligned} \exp \left( it \begin{pmatrix} 0 & -i\theta \\ -i\theta & 0 \end{pmatrix} \right) &= \exp(\theta t \sigma_x) \\ &= \sum_{n:\text{even}} \frac{1}{n!} (\theta t)^n + \sigma_x \sum_{n:\text{odd}} \frac{1}{n!} (\theta t)^n \\ &= \cosh(\theta t) + \sigma_x \sinh(\theta t) \\ \Rightarrow \quad \begin{pmatrix} \hat{a}(t) \\ \hat{a}^\dagger(t) \end{pmatrix} &= \begin{pmatrix} \cosh(\theta t) & \sinh(\theta t) \\ \sinh(\theta t) & \cosh(\theta t) \end{pmatrix} \begin{pmatrix} \hat{a}(0) \\ \hat{a}^\dagger(0) \end{pmatrix} \end{aligned}$$

Setting  $t = 1$ , we get

$$\hat{S}(i\theta) \hat{a} \hat{S}^\dagger(i\theta) = \cosh \theta \hat{a} + \sinh \theta \hat{a}^\dagger$$

Note: you might recognize this as a “Bogoliubov transformation”, usually discussed by asking what linear transformations of the bosonic operators will preserve the canonical commutation relations. We have, in fact, shown explicitly how the transformation can be achieved by the conjugate action of a unitary generated by a boson-bilinear.

With such preparation, let us verify that  $|\zeta = i\theta\rangle$  is indeed a Gaussian state. For simplicity, we define

$$\begin{aligned} \hat{b} &= \hat{S}(i\theta) \hat{a} \hat{S}^\dagger(i\theta) \\ &= \cosh \theta \hat{a} + \sinh \theta \hat{a}^\dagger \end{aligned}$$

and the canonical commutation relation is preserved:

$$[\hat{b}, \hat{b}^\dagger] = \hat{S}(i\theta) [\hat{a}, \hat{a}^\dagger] \hat{S}^\dagger(i\theta) = 1$$

These are annihilation and creation operators, in that

$$\hat{b}|i\theta\rangle = \hat{S}(i\theta) \hat{a} \hat{S}^\dagger(i\theta) |i\theta\rangle = \hat{S}(i\theta) \hat{a} |0\rangle = 0$$

With respect to  $|i\theta\rangle$ , therefore, it will be natural to define the normal order to be one in which  $\hat{b}^\dagger$  is always brought to the left of  $\hat{b}$ .

The “new” normal order is then, for instance,

$$\begin{aligned} :\hat{a}^\dagger \hat{a}: &= (-\sinh \theta \hat{b} + \cosh \theta \hat{b}^\dagger) (\cosh \theta \hat{b} - \sinh \theta \hat{b}^\dagger) : \\ &= -\sinh \theta \cosh \theta \hat{b}^2 + \cosh^2 \theta \hat{b}^\dagger \hat{b} + \sinh^2 \theta : \hat{b} \hat{b}^\dagger : - \sinh \theta \cosh \theta \hat{b}^{\dagger 2} \end{aligned}$$

correspondingly, the contraction becomes

$$\hat{a}^{\dagger \bullet} \hat{a}^\bullet = \hat{a}^\dagger \hat{a} - :\hat{a}^\dagger \hat{a} := \sinh^2 \theta [\hat{b}, \hat{b}^\dagger] = \sinh^2 \theta$$

Similarly,

$$\hat{a}^\bullet \hat{a}^{\dagger \bullet} = \hat{a} \hat{a}^\dagger - :\hat{a} \hat{a}^\dagger := \cosh^2 \theta$$

As argued, the contractions can be evaluated simply by looking at the “two-point” correlations. Explicitly, we have, e.g.,

$$\begin{aligned} \langle i\theta | \hat{a}^\dagger \hat{a} | i\theta \rangle &= \langle 0 | \hat{S}^\dagger(i\theta) \hat{a}^\dagger \hat{a} \hat{S}(i\theta) | 0 \rangle \\ &= \langle 0 | (-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger) (\cosh \theta \hat{a} - \sinh \theta \hat{a}^\dagger) | 0 \rangle \\ &= \sinh^2 \theta \\ &= \hat{a}^{\dagger \bullet} \hat{a}^\bullet \end{aligned}$$

Similarly, we can evaluate

$$\begin{aligned} \hat{a}^{\dagger \bullet} \hat{a}^{\dagger \bullet} &= \langle i\theta | \hat{a}^\dagger \hat{a}^\dagger | i\theta \rangle \\ &= \langle 0 | (-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger)^2 | 0 \rangle \\ &= -\sinh \theta \cosh \theta \end{aligned}$$

The power of the Wick’s theorem will be more apparent when we look at a longer string of operators. For instance, consider

$$\begin{aligned} \langle i\theta | (\hat{a}^\dagger \hat{a})^2 | i\theta \rangle &= \langle i\theta | [(-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger) (\cosh \theta \hat{a} - \sinh \theta \hat{a}^\dagger)]^2 | i\theta \rangle \\ &= \langle i\theta | (-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger) (\cosh \theta \hat{a} - \sinh \theta \hat{a}^\dagger) \\ &\quad \times (-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger) (\cosh \theta \hat{a} - \sinh \theta \hat{a}^\dagger) | i\theta \rangle \\ &= \sinh^2 \theta \langle i\theta | \hat{a} (\cosh \theta \hat{a} - \sinh \theta \hat{a}^\dagger) (-\sinh \theta \hat{a} + \cosh \theta \hat{a}^\dagger) \hat{a}^\dagger | i\theta \rangle \\ &= \sinh^2 \theta (\sinh^2 \theta \langle 0 | \hat{a} \hat{a}^\dagger \hat{a} \hat{a}^\dagger | 0 \rangle + \cosh^2 \theta \langle 0 | \hat{a} \hat{a} \hat{a}^\dagger \hat{a}^\dagger | 0 \rangle) \\ &= \sinh^2 \theta (\sinh^2 \theta + 2 \cosh^2 \theta) \end{aligned}$$

Alternatively, we can write down by wick's theorem

$$\begin{aligned}\langle i\theta | (\hat{a}^\dagger a)^2 | i\theta \rangle &= \langle \hat{a}^\dagger a \hat{a}^\dagger a \rangle \\ &= \langle \hat{a}^\dagger a \rangle^2 + \langle \hat{a}^\dagger a \rangle \langle a \hat{a}^\dagger \rangle + \langle \hat{a}^\dagger \hat{a}^\dagger \rangle \langle a a \rangle \\ &= \sinh^4 \theta + \sinh^2 \theta \cosh^2 \theta + (-\sinh \theta \cosh \theta)^2 \\ &= \sinh^2 \theta (\sinh^2 \theta + 2 \cosh^2 \theta)\end{aligned}$$

as promised.

## 11.2 Still remember the main thread?

time to add time back: T-contraction

If you still remember, our goal was to establish

$$\begin{aligned}\langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t') \hat{a}^\dagger(t') + \zeta^*(t') \hat{a}(t'))} \right] | 0 \rangle &= e^{-i \int_0^t dt_1 \int_0^t dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2)} \\ \mathcal{G}(t_1 - t_2) &= -i \Theta(t_1 - t_2) e^{-i\omega(t_1 - t_2)}\end{aligned}$$

and by noticing

$$\text{LHS} = \sum_{n=0} \frac{(-i)^{2n}}{(2n)!} \langle 0 | \mathcal{T} \left[ \left( \int_0^t dt' \hat{\phi}(t') \right)^n \right] | 0 \rangle$$

we wandered into a (long) discussion of how to compute such VEV through Wick's theorem. Now, with Wick's theorem under our belt, we would just need to consider how that “interacts” with the time-ordering upfront.

To see what the new feature is, let's start with the case of two operators:  $\hat{\phi}_1$  inserted at time  $t_1$  and  $\hat{\phi}_2$  inserted at time  $t_2$

$$\mathcal{T} [\hat{\phi}_1 \hat{\phi}_2] = \Theta(t_1 - t_2) \hat{\phi}_1 \hat{\phi}_2 + \Theta(t_2 - t_1) \hat{\phi}_2 \hat{\phi}_1$$

where we have used the Heaviside step function to explicitly select the correct ordering of the operators. Now we might apply Wick's theorem to the operators

$$\begin{aligned}\mathcal{T} [\hat{\phi}_1 \hat{\phi}_2] &= \Theta(t_1 - t_2) \left( : \hat{\phi}_1 \hat{\phi}_2 : + \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet \right) + \Theta(t_2 - t_1) \left( : \hat{\phi}_2 \hat{\phi}_1 : + \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet \right) \\ &=: \hat{\phi}_1 \hat{\phi}_2 : + \Theta(t_1 - t_2) \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet + \Theta(t_2 - t_1) \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet\end{aligned}$$

let us define a “T-contraction” (terminology from 1710.09248):

$$\begin{aligned}\overbrace{\hat{\phi}_1 \hat{\phi}_2}^{} &= \mathcal{T} [\hat{\phi}_1 \hat{\phi}_2] - : \hat{\phi}_1 \hat{\phi}_2 : \\ &= \Theta(t_1 - t_2) \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet + \Theta(t_2 - t_1) \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet\end{aligned}$$

We now claim the Wick's theorem applies in the same way for a time-ordered product simply by replacing all the contractions by T-contractions.

To illustrate this, suppose  $t_2 > t_3 > t_1$ , then

$$\begin{aligned}\mathcal{T}[\hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3] &= \hat{\phi}_2 \hat{\phi}_3 \hat{\phi}_1 \\ &=: \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 : + \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \hat{\phi}_1 + \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet \hat{\phi}_3 + \hat{\phi}_3^\bullet \hat{\phi}_1^\bullet \hat{\phi}_2\end{aligned}$$

and indeed we have

$$\begin{aligned}\overbrace{\hat{\phi}_1 \hat{\phi}_2}^{} &= \Theta(t_1 - t_2) \hat{\phi}_1^\bullet \hat{\phi}_2^\bullet + \Theta(t_2 - t_1) \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet = \hat{\phi}_2^\bullet \hat{\phi}_1^\bullet \\ \overbrace{\hat{\phi}_2 \hat{\phi}_3}^{} &= \Theta(t_2 - t_3) \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet + \Theta(t_3 - t_2) \hat{\phi}_3^\bullet \hat{\phi}_2^\bullet = \hat{\phi}_2^\bullet \hat{\phi}_3^\bullet \\ \overbrace{\hat{\phi}_1 \hat{\phi}_3}^{} &= \Theta(t_1 - t_3) \hat{\phi}_1^\bullet \hat{\phi}_3^\bullet + \Theta(t_3 - t_1) \hat{\phi}_3^\bullet \hat{\phi}_1^\bullet = \hat{\phi}_3^\bullet \hat{\phi}_1^\bullet\end{aligned}$$

So we have, explicitly,

$$\mathcal{T}[\hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3] =: \hat{\phi}_1 \hat{\phi}_2 \hat{\phi}_3 : + \overbrace{\hat{\phi}_2 \hat{\phi}_3}^{} \hat{\phi}_1 + \overbrace{\hat{\phi}_2 \hat{\phi}_1}^{} \hat{\phi}_3 + \overbrace{\hat{\phi}_3 \hat{\phi}_1}^{} \hat{\phi}_2$$

as claimed.

Long story short, no matter how the times are really ordered, we can apply the original Wick's theorem to the time-ordered product. However, the order of contraction might have been reversed if the two operators are swapped under the time ordering. The T-contraction takes care of such possible swapping (or not) using the Heaviside step function to toggle between the two.

In addition, we also inherit the general conclusion that the T-contraction can be computed as a “correlation function”

$$\langle GS | \mathcal{T}[\hat{\phi}_1 \hat{\phi}_2] | GS \rangle = \langle GS | : \hat{\phi}_1 \hat{\phi}_2 : | GS \rangle + \overbrace{\hat{\phi}_1 \hat{\phi}_2}^{} = \overbrace{\hat{\phi}_1 \hat{\phi}_2}^{} \quad$$

provided that the state is Gaussian such that there exists a definition of normal ordering with respect to that. We emphasize that we do not need to perform the actual normal ordering (basis rotation etc.) to evaluate the contraction. Its value is computed through

$$\overbrace{\hat{\phi}_1 \hat{\phi}_2}^{} = \langle \mathcal{T}[\hat{\phi}_1 \hat{\phi}_2] \rangle = \Theta(t_1 - t_2) \langle \hat{\phi}_1(t_1) \hat{\phi}_2(t_2) \rangle + \Theta(t_2 - t_1) \langle \hat{\phi}_1(t_2) \hat{\phi}_2(t_1) \rangle$$

where the first term is the Green's function!

### 11.3 Time-ordered exponential meets Green's functions

After 20 pages or so we are finally ready to evaluate the time-ordered exponential

$$\hat{\phi}(t') = \zeta(t') \hat{a}^\dagger(t') + \zeta^*(t') \hat{a}(t')$$

$$\begin{aligned}
& \langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' \hat{\phi}(t')} \right] | 0 \rangle \\
&= \sum_{n=0} \frac{(-i)^{2n}}{(2n)!} \langle 0 | \mathcal{T} \left[ \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{2n}} dt_n \hat{\phi}(t_1) \hat{\phi}(t_2) \cdots \hat{\phi}(t_{2n}) \right] | 0 \rangle \\
&= \sum_{n=0} \frac{(-i)^{2n}}{(2n)!} \int_0^t dt_1 \int_0^{t_1} dt_2 \cdots \int_0^{t_{2n}} dt_n \langle 0 | \mathcal{T} \left[ \hat{\phi}(t_1) \hat{\phi}(t_2) \cdots \hat{\phi}(t_{2n}) \right] | 0 \rangle
\end{aligned}$$

$$\begin{aligned}
& \langle 0 | \mathcal{T} \left[ \hat{\phi}(t_1) \hat{\phi}(t_2) \cdots \hat{\phi}(t_{2n}) \right] | 0 \rangle \\
&= \overbrace{\hat{\phi}(t_1) \hat{\phi}(t_2)} + \overbrace{\hat{\phi}(t_3) \hat{\phi}(t_4)} + \cdots + \overbrace{\hat{\phi}(t_{2n-1}) \hat{\phi}(t_{2n})} \\
&+ \overbrace{\hat{\phi}(t_1) \hat{\phi}(t_3) \hat{\phi}(t_2) \hat{\phi}(t_4)} + \cdots + \overbrace{\hat{\phi}(t_{2n-1}) \hat{\phi}(t_{2n})} \\
&+ \cdots ; \quad (2n-1)!! \text{ terms}
\end{aligned}$$

Now, we evaluate

$$\begin{aligned}
& \overbrace{\hat{\phi}(t_1) \hat{\phi}(t_2)} \\
&= \langle 0 | \mathcal{T} \left[ \hat{\phi}(t_1) \hat{\phi}(t_2) \right] | 0 \rangle \\
&= \Theta(t_1 - t_2) \langle 0 | (\zeta(t_1) \hat{a}^\dagger(t_1) + \zeta^*(t_1) \hat{a}(t_1)) \\
&\quad \times (\zeta(t_2) \hat{a}^\dagger(t_2) + \zeta^*(t_2) \hat{a}(t_2)) | 0 \rangle + (t_1 \leftrightarrow t_2) \\
&= \Theta(t_1 - t_2) \zeta^*(t_1) \zeta(t_2) \langle 0 | \hat{a} e^{-i\omega t_1} \hat{a}^\dagger e^{i\omega t_2} | 0 \rangle + (t_1 \leftrightarrow t_2) \\
&= \Theta(t_1 - t_2) \zeta^*(t_1) \zeta(t_2) e^{-i\omega(t_1 - t_2)} + (t_1 \leftrightarrow t_2)
\end{aligned}$$

We defined

$$\mathcal{G}(t_1 - t_2) = (-i) \Theta(t_1 - t_2) e^{-i\omega(t_1 - t_2)}$$

$$\begin{aligned}
& \Rightarrow \int_0^t dt_1 \int_0^{t_1} dt_2 \overbrace{\hat{\phi}(t_1) \hat{\phi}(t_2)} \\
&= \frac{1}{(-i)} \int_0^t dt_1 \int_0^{t_1} dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2) + (t_1 \leftrightarrow t_2) \\
&= (2i) \int_0^t dt_1 \int_0^{t_1} dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2)
\end{aligned}$$

In addition, all the other full contractions generated by Wick's theorem correspond to exactly the same expression but with some relabeling of the time indices. In other words, all the  $(2n-1)!!$  terms evaluate to the same answer.

We can finally write down

$$\begin{aligned}
& \langle 0 | \mathcal{T} \left[ e^{-i \int_0^t dt' (\zeta(t') \hat{a}^\dagger(t') + \zeta^*(t') \hat{a}(t'))} \right] | 0 \rangle \\
&= \sum_{n=0} \frac{(-i)^{2n}}{(2n)!} (2i)^n \left[ \int_0^t dt_1 \int_0^t dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2) \right]^n \times (2n - 1)!! \\
&= \sum_{n=0} (-i)^n \frac{2^n (2n - 1)!!}{(2n)!} \left[ \int_0^t dt_1 \int_0^t dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2) \right]^n \\
&= \exp \left( -i \int_0^t dt_1 \int_0^t dt_2 \zeta^*(t_1) \mathcal{G}(t_1 - t_2) \zeta(t_2) \right)
\end{aligned}$$

where we have used

$$\frac{2^n (2n - 1)!!}{(2n)!} = \frac{1}{n!}$$

Finally, we've established this honestly! (Again, see Coleman 5.1.1 if you want an alternative discussion)

Notes:

1. (For the QFT gurus in the audience) You may think that our approach to Wick's theorem is unnecessarily complicated: isn't it just taking functional derivative on the free-field S-matrix? You are right, but note that our "operator" form (as an identity) is actually a bit stronger than a relation between correlation and Green's function.
2. Our calculation above actually works more generally: we simply define

$$G(x, x'; t, t') = \langle \Omega | \mathcal{T} \left[ \hat{\phi}_x(t) \hat{\phi}_{x'}(t') \right] | \Omega \rangle$$

where  $\hat{\phi}_x(t), \hat{\phi}_{x'}(t')$  are the "field operators" creating or annihilating particles at different points in space-time, and denotes the many-body ground state which, generally speaking, is not Gaussian = free (why should it be?). We call this the "one-particle" Green's function.

The goal of a perturbation theory is to derive an expansion of the actual quantities in terms of those for an unperturbed problem. A useful unperturbed problem is one for which the same set of quantities could be computed. (Always attack a hard problem starting from an easier starting point, and work your way there!) In our context, we take the Gaussian theory as the starting point, and the perturbative expansions are then organized and computed in terms of "Feynman diagrams".



# Chapter 12

## Lec12 20220316

Topics

1. Propagators
2. Frequency space, contours and real-time Green functions

Goals

1. Arriving at a more systematic treatment of the various notion of Green's functions we have encountered

### 12.1 Bare phonon propagator

Let us revisit the free-phonon problem again from this lens of T-contractions and correlation functions. Consider again

$$\hat{H} = \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q$$

where for simplicity we have restricted ourselves to a single “branch” and so suppressed any additional indices which might be attached to the phonon operators aside from the (crystal) momentum  $q$ .

In the real space, the phonon operators are related to the actual position (deviation) operators of the atoms through

$$\hat{\phi}_r = \frac{1}{\sqrt{V}} \sum_q e^{-iqr} \left( \frac{\hat{a}_q + \hat{a}_{-q}^\dagger}{\sqrt{2m\omega_q}} \right) = \frac{1}{\sqrt{V}} \sum_q e^{-iqr} \hat{\phi}_q$$

In the Heisenberg picture, the phonon operators evolve in time according to

$$i\partial_t \hat{a}_q(t) = [\hat{a}_q(t), \omega_q \hat{a}_q^\dagger(t) \hat{a}_q(t)] = \omega_q \hat{a}_q(t)$$

$$\hat{a}_q(t) = \hat{a}_q(0) e^{-i\omega_q t}$$

And we may evaluate the one-particle Green's function with respect to the phonon vacuum (superscript  $t$  emphasize it corresponds to the time-ordered two-point function)

$$\begin{aligned}
G^t(r, r'; t, t') &= -i \langle \text{vac} | \mathcal{T} \left[ \hat{\phi}_r(t) \hat{\phi}_{r'}(t') \right] | \text{vac} \rangle \\
&= \frac{-i}{V} \sum_{qq'} \frac{e^{-iq \cdot r} e^{-iq' \cdot r'}}{2m\sqrt{\omega_q \omega_{q'}}} \langle \text{vac} | \mathcal{T} \left[ \overbrace{(\hat{a}_q(t) + \hat{a}_{-q}^\dagger(t))}^{\hat{\phi}_q(t)} (\hat{a}_{q'}(t') + \hat{a}_{-q'}^\dagger(t')) \right] | \text{vac} \rangle \\
&\quad (q = -q') \\
&= \frac{-i}{V} \sum_q \frac{e^{-iq \cdot (r-r')}}{2m\omega_q} \langle \text{vac} | \mathcal{T} \left[ \hat{a}_q(t) \hat{a}_q^\dagger(t') + \hat{a}_{-q}^\dagger(t) \hat{a}_{-q}(t') \right] | \text{vac} \rangle \\
\Rightarrow \quad \langle \text{vac} | \mathcal{T} \left[ \hat{a}_q(t) \hat{a}_q^\dagger(t') \right] | \text{vac} \rangle &= \Theta(t - t') \langle \text{vac} | \hat{a}_q(t) \hat{a}_q^\dagger(t') | \text{vac} \rangle \\
&= \Theta(t - t') e^{-i\omega_q(t-t')} \\
\Rightarrow \quad G^t(r, r'; t, t') &= \frac{-i}{V} \sum_q \frac{e^{-iq \cdot (r-r')}}{2m\omega_q} \left( \Theta(t - t') e^{-i\omega_q(t-t')} + \Theta(t' - t) e^{-i\omega_{-q}(t'-t)} \right)
\end{aligned}$$

which depends only on  $r - r'$  and  $t - t'$

$$G^t(r, t) = \frac{-i}{V} \sum_q \frac{e^{-iq \cdot r}}{2m\omega_q} (\Theta(t) e^{-i\omega_q t} + \Theta(-t) e^{i\omega_{-q} t})$$

The translation invariance, exposed in the fact that the two-point function depends only on  $r - r'$  implies  $q$  is a good quantum number and it is natural to Fourier transform

$$\begin{aligned}
G^t(q, t) &= \sum_r e^{iq \cdot r} G^t(r, t) \\
&= \frac{-i}{2m\omega_q} (\Theta(t) e^{-i\omega_q t} + \Theta(-t) e^{i\omega_{-q} t})
\end{aligned}$$

We may further Fourier transform to the frequency space, using our “exponential

damping trick”

$$\begin{aligned}
 G^t(q, \omega) &= \lim_{\eta \rightarrow 0^+} \int_{-\infty}^{\infty} dt G^t(q, t) e^{i\omega t - \eta|t|} \\
 &= \frac{-i}{2m\omega_q} \lim_{\eta \rightarrow 0^+} \left( \int_0^{\infty} dt e^{i(\omega - \omega_q + i\eta)t} + \int_{-\infty}^0 dt e^{i(\omega + \omega_q + i\eta)t} \right) \\
 &= \frac{-i}{2m\omega_q} \lim_{\eta \rightarrow 0^+} \left( \frac{0 - 1}{i(\omega - \omega_q + i\eta)} + \frac{1 - 0}{i(\omega + \omega_q + i\eta)} \right) \\
 &= \frac{1}{2m\omega_q} \lim_{\eta \rightarrow 0^+} \left( \frac{1}{\omega - \omega_q + i\eta} - \frac{1}{\omega + \omega_q + i\eta} \right) \\
 &= \frac{1}{2m\omega_q} \lim_{\eta \rightarrow 0^+} \frac{2\omega_q}{\omega^2 - (\omega_q - i\eta)^2}
 \end{aligned}$$

This is called the free/bare phonon “propagator”. It is customary to denote it by  $D$  (instead of  $G$ ), since in an electron-phonon problem one might want to reserve  $G$  for the electrons.

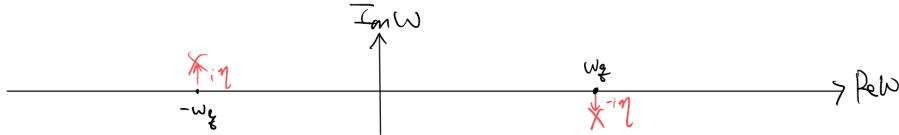
## 12.2 Contours, Green's function, Feynman's $i\epsilon$ prescription

Going from the real-time to frequency space, we have used an exponential damping term to regulate the oscillatory integral extending to  $t \rightarrow \pm\infty$ . In particular, the sign of the damping depends on the sign of  $t$ . We first introduced such tricks by alluding to the physical reality that our system cannot possibly exist all the way up to  $t \rightarrow \pm\infty$  anyway, and so it is natural to regulate the integral by damping it off. Here, we provide an alternative way to make sense of such treatment.

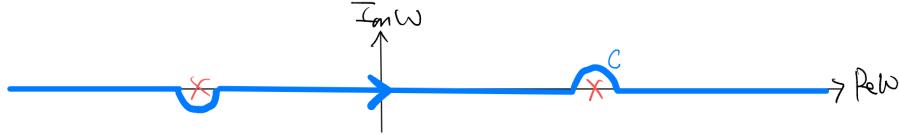
We first notice that the (bare) phonon Green's function  $D^t(q, \omega)$ , viewed as a complex function, contains two poles

$$D^+(q, \omega) = \frac{1}{2m\omega_q} \lim_{\eta \rightarrow 0^+} \left( \frac{1}{\omega - \omega_q + i\eta} - \frac{1}{\omega + \omega_q + i\eta} \right)$$

which are infinitesimally displaced from the real line.



Now, imagine Fourier transforming back to the real time, which calls for an integral along the real line, with the two poles approaching our integration contour. Such integrals could alternatively be computed by trading the  $\pm i\eta$  with



an infinitesimal deformation of the integration contour. As a sanity check, let us verify that we could indeed go back to the real-time Green's function by performing such contour integrals. Consider

$$\frac{1}{2m\omega_q} \int_C \frac{d\omega}{2\pi} \left( \frac{1}{\omega - \omega_q} - \frac{1}{\omega + \omega_q} \right) e^{-i\omega t}$$

Notice we have dropped the  $\pm i\eta$ , with the corresponding information encoded in how the contour  $C$  is specified.

One could evaluate this integral honestly, by splitting the contour  $C$  into 5 segments: three straight lines and two semi-circles. As the deformation is only infinitesimal, the “straight line” integrals return the Cauchy principal value whereas the “semi-circles” give half of the residues. In addition, for the principal part one ultimately gets the Dirichlet sinc integral, which gives  $\sim e^{\pm i\omega_q t} (i\pi \text{sgn}(t))$ . Combined with the partial residues, one does get back the original time-ordered real-time Green's function.

Instead of going through the details of the steps sketched above, let's use the usual “physicist's argument” to evaluate the integral. The main idea is to use the residue theorem, which states that (loosely) power series make sense except at the singularities (i.e., poles)

$$\oint \gamma d\zeta f(\zeta) = 2\pi i \sum \text{Res}(f, a_k)$$

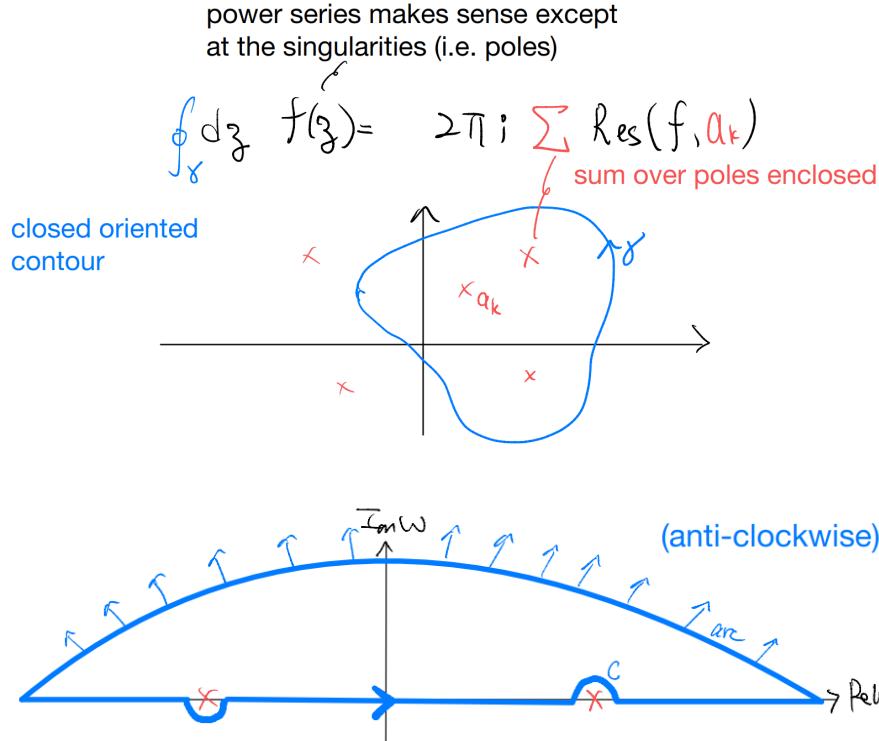
and for a meromorphic function with a simple pole, taking the form

$$\begin{aligned} f(\zeta) &= \frac{g(\zeta)}{\zeta - a_k} = \frac{\sum_{n=0} g_n (\zeta - a_k)^n}{\zeta - a_k} \\ &= \frac{g_0}{\zeta - a_k} + g_1 + g_2 (\zeta - a_k) + \dots \end{aligned}$$

the residue is simply the coefficient  $g_0$ .

Now, back to our problem: to take advantage of the residue theorem we would want to “close” our contour. The natural choice will be to complete it with an arc which we send off to infinity, e.g., We then see that, by the residue theorem, only one of the poles contribute:

$$\begin{aligned} \int_{C+arc} \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} &= \frac{1}{2m\omega_q} \frac{2\pi i}{2\pi} \text{Res} \left( \frac{-e^{-i\omega t}}{\omega + \omega_q}, \omega = \omega_q \right) \\ &= \frac{-i}{2m\omega_q} e^{i\omega_q t} \end{aligned}$$



$$\Rightarrow \int_C \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} = \frac{-i}{2m\omega_q} e^{i\omega_q t} - \int_{arc} \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t}$$

almost! But we need to know what is the contribution from the arc. In what we considered above, we let  $\omega$  go to infinity on the upper complex plane. In other words, we consider

$$\text{Im}(\omega) \rightarrow +\infty$$

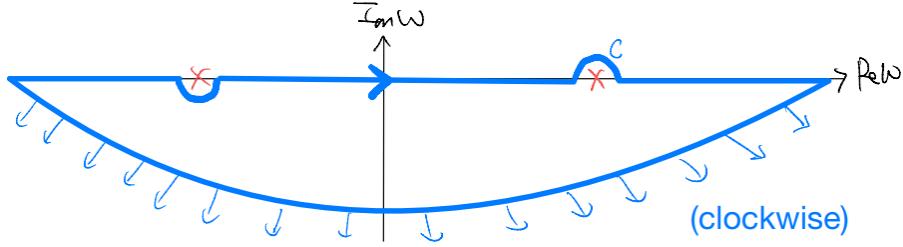
as such, in the integrand we have

$$e^{-i\omega t} = e^{-i\text{Re}(\omega)t} e^{\text{Im}(\omega)t}$$

and it is well-behaved (and exponentially suppressed) only if we have  $t < 0$  to start with. Provided  $t < 0$ , the arc contribution goes to zero as the integrand is now exponentially suppressed. This gives

$$\int_C \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} = \frac{-i}{2m\omega_q} e^{i\omega_q t}, \quad t < 0$$

Now, to obtain the result for  $t > 0$ , we should consider the alternative way of closing off our contour (clockwise) which now encloses the other pole at  $\omega = \omega_q$ .



The same calculation as before then gives

$$\begin{aligned} \int_C \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} &= \frac{-1}{2m\omega_q} \frac{2\pi i}{2\pi} \text{Res} \left( \frac{e^{-i\omega t}}{\omega - \omega_q}, \omega = \omega_q \right) - \int_{arc} \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} \\ &= \frac{-i}{2m\omega_q} e^{-i\omega_q t}, \quad t > 0 \end{aligned}$$

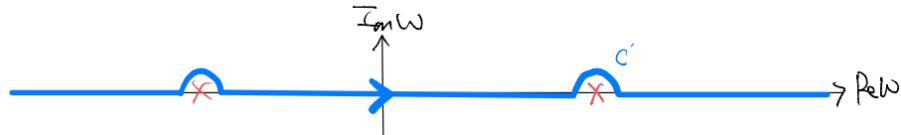
We may then combine the two cases into

$$\int_C \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} = \frac{-i}{2m\omega_q} (\Theta(t) e^{-i\omega_q t} + \Theta(-t) e^{i\omega_q t}) = D^t(q, t)$$

as promised. We note in passing that, this is also commonly referred to as the (Feynman) “propagator”.

Such time-ordered correlation function shows up in perturbation expansion (Feynman diagrams etc.), and we will see that they can be interpreted as the free propagation of phonons, whence the name.

One may wonder what's the significance of undergoing such a lengthy discussion in order to simply Fourier transform back to the real time. The catch is that, in the calculation above, it will be natural to consider alternative contours which circumvent the two poles in some other means. For instance, consider the contour It doesn't encircle any poles if we complete it in the upper complex



plane (Fourier transform with  $t < 0$ ), and enclose both poles when we complete in the lower complex plane. This gives

$$\int_{C'} \frac{d\omega}{2\pi} D(q, \omega) e^{-i\omega t} = -i\Theta(t) (e^{-i\omega_q t} - e^{i\omega_q t}) = -2\Theta(t) \sin(\omega_q t)$$

What is the process corresponding to this real-time Green's function? Notice that, what we have changed is really the integration around the pole at  $\omega = -\omega_q$ . First consider

$$\begin{aligned}
 & \text{Diagram: A blue contour in the complex plane with a pole at } -i\omega_q. \text{ A red arrow labeled } \frac{-1}{\omega + i\omega_q} \text{ points from the pole to the contour.} \\
 & \text{Equation: } \frac{1}{2\pi} \oint \frac{-e^{-i\omega t}}{\omega + i\omega_q} = (-i) e^{i\omega_q t} = (-i) \langle \hat{a}_{-q}(0) \hat{a}_{-q}^\dagger(t) \rangle \\
 & \quad = (-i) \langle \hat{\phi}_{-q}(0) \hat{\phi}_{-q}^\dagger(t) \rangle
 \end{aligned}$$

$$\oint \frac{d\omega}{2\pi} \frac{-e^{-i\omega t}}{\omega + \omega_q} = (-i) e^{i\omega_q t} = (-i) \langle \hat{a}_{-q}(0) \hat{a}_{-q}^\dagger(t) \rangle = (-i) \langle \hat{\phi}_{-q}(0) \hat{\phi}_{-q}^\dagger(t) \rangle$$

Now, we can compare the two contours considered

$$\begin{aligned}
 & \text{Diagram: Two blue contours in the complex plane, each with a pole at } -i\omega_q. \text{ Red arrows labeled } \frac{-1}{\omega + i\omega_q} \text{ point from the poles to the contours.} \\
 & \text{Equation: } (-i) \langle \mathcal{T}[\hat{\phi}_q(t) \hat{\phi}_q^\dagger(0)] \rangle - (-i) \langle \hat{\phi}_q(0) \hat{\phi}_q^\dagger(t) \rangle
 \end{aligned}$$

$$\begin{aligned}
 & (-i) \langle \mathcal{T}[\hat{\phi}_q(t) \hat{\phi}_{-q}(0)] \rangle - (-i) \langle \mathcal{T}[\hat{\phi}_{-q}(0) \hat{\phi}_q(t)] \rangle \\
 & = (-i) \Theta(t) \langle \hat{\phi}_q(t) \hat{\phi}_{-q}(0) \rangle + (-i) \Theta(-t) \langle \hat{\phi}_{-q}(0) \hat{\phi}_q(t) \rangle \\
 & \quad - (-i) \Theta(t) \langle \hat{\phi}_{-q}(0) \hat{\phi}_q(t) \rangle - (-i) \Theta(-t) \langle \hat{\phi}_{-q}(0) \hat{\phi}_q(t) \rangle \\
 & = (-i) \Theta(t) \langle [\hat{\phi}_{-q}(0), \hat{\phi}_q(t)] \rangle
 \end{aligned}$$

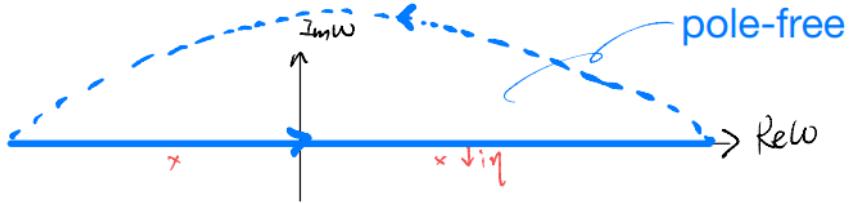
i.e., it is the expectation value of a commutator with time  $t > 0$ .

By closing the contour on the lower complex plane, our real-time Green's function is non-vanishing only for  $t > 0$ , which suggests a kind of causality, in the sense that we only allow time to move "forward" but not backward. Indeed, this is known as the causal / retarded Green's function of the phonons, and is closely related to the response of a system when we perturb it (and the system can only respond after we perturb it, by causality). More later.

Lastly, a comment on contours vs  $i\eta$ : in the above, we see that the same frequency space Green's function, combined with different contour prescription (for avoiding the singularities on the real axis), gives rise to different real-time Green's functions. Yet, we also argued (heuristically) that, the contour prescription can be understood simply by the small shifts  $\pm i\eta$  kicking the poles off the real axis. So, instead of specifying different contours, we can also stick with the real line (and leave the "arc" part implicit, dependent on the sign of time), and instead assign the  $\pm i\eta$  as the definition for different Green's functions.

This latter perspective is perhaps more popular among physicists, and this is called "Feynman's  $i\epsilon$  prescription". (Probably he used  $\epsilon$  for what we denoted by  $\eta$  here.)

A particularly important “pole structure” for our next topic (linear response) is as follows: where the  $i\eta$  displaces the poles to the lower complex plane. This



corresponds to the contours we considered just now for the phonons: When

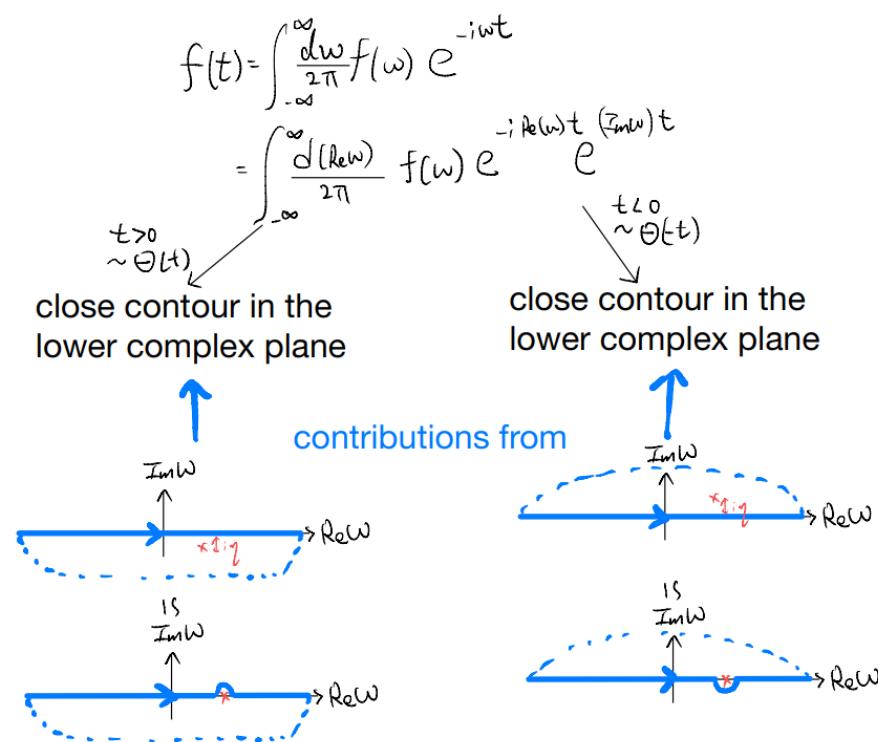


we Fourier transform back to real time, the integral vanishes when we close the contour on the upper complex plane, i.e., the only contribution comes from  $t > 0$ , and the real-time Green’s function is “retarded” in the sense that

$$G_{\text{ret}}(t, t') \propto \Theta(t - t')$$

To summarize, when we consider Fourier transform back to real time

$$\begin{aligned} f(t) &= \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} f(\omega) e^{-i\omega t} \\ &= \int_{-\infty}^{\infty} \frac{d\text{Re}(\omega)}{2\pi} f(\omega) e^{-i\text{Re}(\omega)t} e^{i\text{Im}(\omega)t} \\ &\sim \begin{cases} \Theta(t), & t > 0 \\ \Theta(-t), & t < 0 \end{cases} \end{aligned}$$





# Chapter 13

## Lec13 20220318

Topics

1. Linear response
2. Susceptibility and retarded Greens' function

Goals

1. Establishing a more precise connection between Green's function and experimental observables

### 13.1 Recap: reasons for thinking about Green's functions

Let us briefly recap what we have learnt about (zero-temperature) Green's functions.

1. We argued that, in real time, they could be understood simply as the matrix-element of the time-evolution operator evaluated in the ground state ("Level I")
2. We also showed that, in the frequency space, the Green's function contains important physical information about the ground state and its excitations ("Level II")
3. We then see that specific "time-ordered" combination of the real-time Green's function form the basic ingredients when we try to solve equation of motion with time-dependent operator "coefficients", which leads to the time-ordered exponential ("Level III")
4. We just saw that, in fact, all these Green's functions are really the same in the frequency space, but just with different contour prescription in going to the real time (at least for free phonons)!

In particular, we saw that when we close the contour on the lower complex plane, we get the “retarded Green’s function” taking the form

$$G^{\text{ret}}(q, t) = (-i) \Theta(t) \left\langle \left[ \hat{A}(t), \hat{B}(0) \right] \right\rangle$$

It has a sense of causality, in that it is non-vanishing only for  $t > 0$ . Furthermore, when  $\hat{A}$  and  $\hat{B}$  are Hermitian,

$$\begin{aligned} \left( -i \left[ \hat{A}(t), \hat{B}(0) \right] \right)^\dagger &= \left( -i \hat{A}(t) \hat{B}(0) + i \hat{B}(0) \hat{A}(t) \right)^\dagger \\ &= i \hat{B}(0) \hat{A}(t) - i \hat{A}(t) \hat{B}(0) \\ &= -i \left[ \hat{A}(t), \hat{B}(0) \right] \end{aligned}$$

this implies our retarded Green’s function could be measurable! Note how things start to fall into place: the mysterious “conventional factor”  $(-i)$  now makes sense too!

## 13.2 Linear response

Let us now consider a general problem and see how, indeed, the retarded Green’s functions appear as the response of a system to perturbations.

Consider a static Hamiltonian  $\hat{H}_0$  which we disturb at some time by a perturbation  $\hat{V}(t)$ . The full Hamiltonian is given by

$$\hat{H}(t) = \hat{H}_0 + \hat{V}(t)$$

in the Schrodinger picture, i.e., the Schrodinger states evolve as

$$i\partial_t |\Psi_S(t)\rangle = \hat{H}(t) |\Psi_S(t)\rangle$$

Taking the perspective that “the system” is simply described by  $\hat{H}_0$  and  $\hat{V}(t)$  is only “a probe”, it will be natural to try going into a Heisenberg picture defined using  $\hat{H}_0$  (instead of  $\hat{H}(t)$ ). Consider an operator  $\hat{O}$  which is time-independent in the Schrodinger picture:

$$\begin{aligned} \langle \Psi_S(t) | \hat{O}_S | \Psi_S(t) \rangle &= \langle \Psi_S(t) | e^{-i\hat{H}_0 t} \left( e^{i\hat{H}_0 t} \hat{O}_S e^{-i\hat{H}_0 t} \right) e^{i\hat{H}_0 t} | \Psi_S(t) \rangle \\ \hat{O}_I(t) &= e^{i\hat{H}_0 t} \hat{O}_S e^{-i\hat{H}_0 t} \end{aligned}$$

where  $\hat{O}_I(t)$  is equivalently Heisenberg picture for  $\hat{O}$  defined using  $\hat{H}_0$ . Of course, this is something like a hybrid picture, because ultimately our full Hamiltonian (and so the “true” Heisenberg picture) also contains the perturbation.

We call this the “interaction picture”. The equations of motions are now

$$i\partial_t \hat{O}_I(t) = [\hat{O}_I(t), \hat{H}_0]$$

same as the Heisenberg picture for the unperturbed system.

$$\begin{aligned}
i\partial_t |\Psi_I(t)\rangle &= i\partial_t \left( e^{i\hat{H}_0 t} |\Psi_S(t)\rangle \right) \\
&= -\hat{H}_0 \left( e^{i\hat{H}_0 t} |\Psi_S(t)\rangle \right) + e^{i\hat{H}_0 t} (i\partial_t |\Psi_S(t)\rangle) \\
&= -\hat{H}_0 |\Psi_I(t)\rangle + e^{i\hat{H}_0 t} (\hat{H}_0 + \hat{V}(t)) e^{-i\hat{H}_0 t} |\Psi_I(t)\rangle \\
&= \hat{V}_I(t) |\Psi_I(t)\rangle
\end{aligned}$$

$$\hat{V}_I(t) = e^{i\hat{H}_0 t} \hat{V}(t) e^{-i\hat{H}_0 t}$$

i.e., the “effective Hamiltonian” for  $|\Psi_I(t)\rangle$  is simply the perturbation, but with the operators acquiring additional time-dependence according to the Heisenberg picture of the unperturbed system. (Note: this holds even if  $\hat{V}$  itself is time-independent to start with.)

We have seen already how such equation of motion could be solved: the (formal) solution is simply the time-ordered exponential:

$$|\Psi_I(t)\rangle = \mathcal{T} \left[ e^{-i \int_{t_0}^t dt' \hat{V}_I(t')} \right] |\Psi_I(t_0)\rangle$$

In particular, at  $t_0 \rightarrow -\infty$  we simply have the original ground state  $|\Omega\rangle$  of the unperturbed system  $\hat{H}_0$ , so

$$|\Psi_I(t)\rangle = \mathcal{T} \left[ e^{-i \int_{-\infty}^t dt' \hat{V}_I(t')} \right] |\Omega\rangle$$

We are now all set-up to consider how the system responds to the perturbations! As discussed, the expectation value of a physical observable is

$$O(t) = \langle \Psi_I(t) | \hat{O}_I(t) | \Psi_I(t) \rangle$$

We could evaluate it as a perturbation series in powers of  $\hat{V}$ . Recall,  $\hat{O}_I(t)$  is simply equivalently to the unperturbed Heisenberg operator, and so the lowest order term comes from

$$\begin{aligned}
|\Psi_I(t)\rangle &= \mathcal{T} \left[ e^{-i \int_{-\infty}^t dt' \hat{V}_I(t')} \right] |\Omega\rangle \\
&= \left( I - i \int_{-\infty}^t dt' \hat{V}_I(t') + \dots \right) |\Omega\rangle
\end{aligned}$$

$$\begin{aligned}
O(t) &= \langle \Omega | \left( I + i \int_{-\infty}^t dt' \hat{V}_I(t') + \dots \right) \hat{O}_I(t) \left( I - i \int_{-\infty}^t dt' \hat{V}_I(t') + \dots \right) |\Omega\rangle \\
&\approx \langle \Omega | \hat{O}_I(t) |\Omega\rangle - i \langle \Omega | \left[ \hat{O}_I(t), \int_{-\infty}^t dt' \hat{V}_I(t') \right] |\Omega\rangle
\end{aligned}$$

$$\begin{aligned}\delta O(t) &= O(t) - \langle \Omega | \hat{O}_S | \Omega \rangle \\ &= O(t) - \langle \Omega | \hat{O}_I(t) | \Omega \rangle \\ &= -i\langle \Omega | \left[ \hat{O}_I(t), \int_{-\infty}^t dt' \hat{V}_I(t') \right] | \Omega \rangle\end{aligned}$$

This relates the change in the observable to the lowest (linear) order in the perturbation  $\hat{V}$ . Let us further assume the perturbation takes the form

$$\begin{aligned}\hat{V}_S(t) &= \hat{O}'_S f(t) \\ \Rightarrow \hat{V}_I(t) &= \hat{O}'_I f(t)\end{aligned}$$

i.e., its only time-dependence in the Schrodinger picture comes solely from a time-dependent “driving force”  $f(t)$ .

Our discussions simplify further in the frequency space. Consider the Fourier transform of the force

$$f(t) = \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} f(\omega) e^{-i\omega t}$$

$$\begin{aligned}\Rightarrow \delta O(t) &= (-i) \int_{-\infty}^t dt' \langle \Omega | \left[ \hat{O}_I(t), \hat{O}'_I(t') \right] | \Omega \rangle \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} f(\omega) e^{-i\omega t'} \\ &= \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} f(\omega) (-i) \int_{-\infty}^t dt' \langle \Omega | \left[ \hat{O}_I(t), \hat{O}'_I(t') \right] | \Omega \rangle e^{-i\omega t'} \\ \langle \Omega | \left[ \hat{O}_I(t), \hat{O}'_I(t') \right] | \Omega \rangle &= \langle \Omega | \left[ \hat{O}_I(t-t'), \hat{O}'_I(0) \right] | \Omega \rangle\end{aligned}$$

where the time-translation invariance follows from a static non-perturbed  $\hat{H}_0$ , and that our interaction picture operators are simply the Heisenberg picture operators with respect to  $\hat{H}_0$ . Let  $\delta_t = t - t' > 0$ , then

$$\begin{aligned}&\int_{-\infty}^t dt' (-i) \langle \Omega | \left[ \hat{O}_I(t-t'), \hat{O}'_I(0) \right] | \Omega \rangle e^{-i\omega t'} \\ &= \left( \int_0^{\infty} d\delta_t (-i) \langle \Omega | \left[ \hat{O}_I(\delta_t), \hat{O}'_I(0) \right] | \Omega \rangle e^{i\omega \delta_t} \right) e^{-i\omega t}\end{aligned}$$

Let us define the susceptibility

$$\chi(\omega) = \int_{-\infty}^{\infty} d\delta_t (-i) \Theta(\delta_t) \langle \Omega | \left[ \hat{O}_I(\delta_t), \hat{O}'_I(0) \right] | \Omega \rangle e^{i\omega \delta_t}$$

where we have again traded the integration bound with the Heaviside step function.

Importantly, notice that  $\chi(\omega)$  is simply the frequency-space version of some retarded Green’s function!

When the dust settles, we arrive at

$$\delta O(t) = \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \chi(\omega) f(\omega) e^{-i\omega t}$$

and so, when we Fourier transform the observable, we get

$$\delta O(\omega) = \chi(\omega) f(\omega)$$

$$\Rightarrow \chi(\omega) = \frac{\delta O(\omega)}{f(\omega)}$$

i.e., the susceptibility is measurable simply as the ratio of the Fourier component of the (change in the) observable and the driving force we used to perturb the system, and it is given by

$$\chi(\omega) = \int_{-\infty}^{\infty} dt \chi_R(t) e^{i\omega t}$$

$$\chi_R(t) = (-i) \Theta(t) \langle \Omega | [\hat{O}_I(t), \hat{O}'_I(0)] | \Omega \rangle, \quad \text{retarded}$$

Such relationships (linear-response susceptibilities to retarded Green's functions) are called "Kubo formulas". It is customary to split it into real and imaginary parts:

$$\chi(\omega) = \Re[\chi(\omega)] + i\Im[\chi(\omega)]$$

$$\Re[\chi(\omega)] = \int_{-\infty}^{\infty} \chi_R(t) \cos(\omega t)$$

$$\Im[\chi(\omega)] = \int_{-\infty}^{\infty} \chi_R(t) \sin(\omega t)$$

From which we see that the real part is an even function of  $\omega$ , whereas the imaginary part is odd. Therefore, we may also simply write

$$\Re[\chi(\omega)] = \frac{\chi(\omega) + \chi(-\omega)}{2}$$

$$\Im[\chi(\omega)] = \frac{\chi(\omega) - \chi(-\omega)}{2i}$$

You might recall that, the imaginary susceptibility corresponds to energy dissipation / absorption. To see why, let us consider a "monochromatic" drive

$$f(t) = f_0 \cos(\Omega t)$$

$$f(\omega) = \pi f_0 \delta(\omega + \Omega) + \pi f_0 \delta(\omega - \Omega)$$

Correspondingly, the change in the physical observable is

$$\begin{aligned}\delta O(t) &= \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \chi(\omega) f(\omega) e^{-i\omega t} \\ &= \int_{-\infty}^{\infty} \frac{d\omega}{2} f_0 \chi(\omega) (\delta(\omega + \Omega) + \delta(\omega - \Omega)) e^{-i\omega t} \\ &= \frac{f_0}{2} \chi(\Omega) e^{-i\Omega t} + \frac{f_0}{2} \chi(-\Omega) e^{i\Omega t} \\ &= f_0 \cos(\Omega t) \Re[\chi(\Omega)] + f_0 \sin(\Omega t) \Im[\chi(\Omega)]\end{aligned}$$

In other words, the real part  $\Re[\chi(\omega)]$  corresponds to the in-phase (also known as reactive) response, whereas the imaginary part  $\Im[\chi(\omega)]$  corresponds to the out-of-phase response. As you might recall, the out-of-phase response corresponds to energy dissipation / absorption. To see that, let us consider a generalized power

$$\begin{aligned}P(t) &= f(t) \frac{d}{dt} \delta O(t), \quad \left( \text{c.f. } P = Fv = F \frac{dx}{dt} \right) \\ &= f_0^2 \cos(\Omega t) \frac{d}{dt} (\Re[\chi(\Omega)] \cos(\Omega t) + \Im[\chi(\Omega)] \sin(\Omega t)) \\ &= f_0^2 \Omega (-\Re[\chi(\Omega)] \cos(\Omega t) \sin(\Omega t) + \Im[\chi(\Omega)] \cos^2(\Omega t)) \\ &= \frac{f_0^2 \Omega}{2} (-\Re[\chi(\Omega)] \sin(2\Omega t) + \Im[\chi(\Omega)] \cos(2\Omega t) + \Im[\chi(\Omega)])\end{aligned}$$

When we average the power over one period of the drive, the only survive piece is

$$\langle P(t) \rangle = \pi f_0^2 \Im[\chi(\Omega)]$$

this shows explicitly the imaginary (the odd-in-frequency) part of the susceptibility captures the dissipation / absorption of the system.

These are very general conclusions, and, in fact, apply similarly even to systems at finite temperature. In particular, it provides a general platform for understanding the response, fluctuation, and dissipation in a system.

Let us now unpack these formal calculations by considering a “canonical” example.

### 13.3 Driven QHO

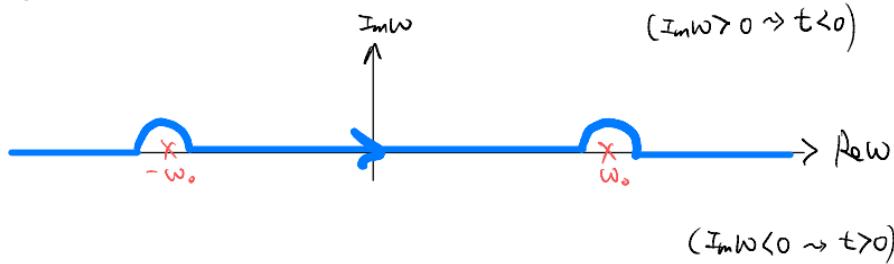
As our first example, let us consider again our old friend now perturbed by a driving term

$$\begin{aligned}\hat{H}_0 &= \frac{\hat{p}^2}{2m} + \frac{1}{2} m \omega_0^2 \hat{x}^2 - \frac{1}{2} \omega_0 = \omega_0 \hat{a}^\dagger \hat{a} \\ \hat{a} &= \frac{1}{\sqrt{2}} \left( \sqrt{m\omega_0} \hat{x} + i \frac{\hat{p}}{\sqrt{m\omega_0}} \right) \\ \hat{V}_s &= f(t) \hat{x}\end{aligned}$$

Let us consider how the position of the particle responds to the drive, i.e., we look at the susceptibility

$$\begin{aligned}\chi(t) &= (-i)\Theta(t)\langle 0 | [\hat{x}(t), \hat{x}(0)] | 0 \rangle \\ &= \frac{(-i)\Theta(t)}{2m\omega_0} \langle 0 | [\hat{a}(t) + \hat{a}^\dagger(t), \hat{a}(0) + \hat{a}^\dagger(0)] | 0 \rangle \\ &= \frac{(-i)\Theta(t)}{2m\omega_0} (e^{-i\omega_0 t} - e^{i\omega_0 t}) \\ &= -\frac{\Theta(t)}{m\omega_0} \sin(\omega_0 t)\end{aligned}$$

Hopefully this looks familiar. We already saw that it corresponds to the frequency-space pole structure



In the  $i\eta$  prescription, we have

$$\begin{aligned}\chi(\omega) &= \frac{1}{2m\omega_0} \lim_{\eta \rightarrow 0^+} \left( \frac{1}{\omega - \omega_0 + i\eta} - \frac{1}{\omega + \omega_0 + i\eta} \right) \\ &= \frac{1}{2m\omega_0} \lim_{\eta \rightarrow 0^+} \frac{2\omega_0}{(\omega + i\eta)^2 - \omega_0^2} \\ &= \frac{1}{m} \lim_{\eta \rightarrow 0^+} \frac{1}{\omega^2 - \omega_0^2 + 2i\omega\eta}\end{aligned}$$

This may look familiar to you: the response has a strong peak at the natural frequency, with the peak width controlled by  $i\eta$ .

Furthermore, we can extract the imaginary part. Recall the Sokhotski-Plemelj theorem

$$\lim_{\eta \rightarrow 0^+} \frac{1}{x \pm i\eta} = P \frac{1}{x} \mp i\pi\delta(x)$$

$$\begin{aligned}\Rightarrow \quad \Im[\chi(\omega)] &= \frac{1}{2m\omega_0} \Im \left[ \lim_{\eta \rightarrow 0^+} \left( \frac{1}{\omega - \omega_0 + i\eta} - \frac{1}{\omega + \omega_0 + i\eta} \right) \right] \\ &= \frac{\pi}{2m\omega_0} (-\delta(\omega - \omega_0) + \delta(\omega + \omega_0))\end{aligned}$$

Earlier, we introduced this as the “spectral” function, obtained by the spectral decomposition for a general many-body Hamiltonian, which could be understood

as the matrix-element-weighed density of states. Here, we see that, indeed, it corresponds to experimental observables.

# Chapter 14

## Lec14 20220323

### Topics

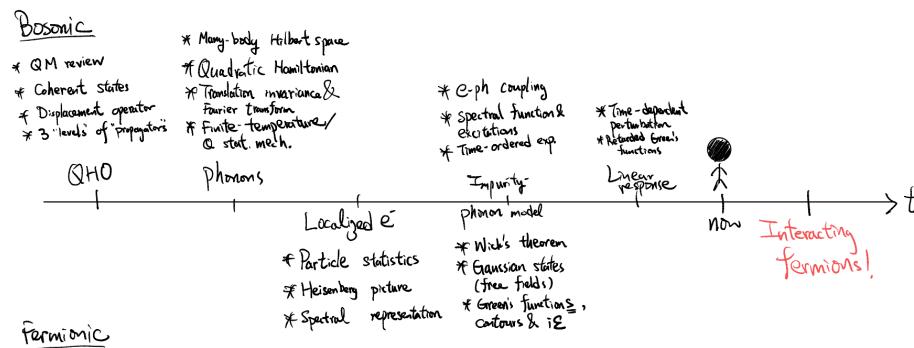
1. Recap of what we have learnt
2. Adiabatic turning on, Gell-Mann-Low theorem
3. Primer into interacting electrons

### Goals

1. Introducing many-body perturbation theory
2. Setting up methods for treating interacting electrons

### 14.1 Recap: what have we learnt so far?

Today happens to be the mid-way point of our course: let's quickly recap what we've covered



## 14.2 Adiabatic turning on & Gell-Mann-Low Theorem

Suppose we have a Hamiltonian

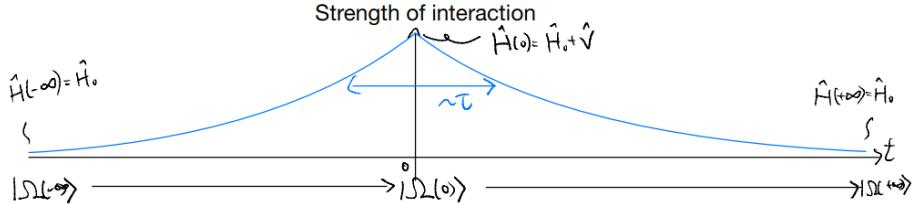
$$\hat{H} = \hat{H}_0 + \hat{V}$$

where we view  $\hat{V}$  as a perturbation and  $\hat{H}_0$  defines the “unperturbed” problem. As the name suggests, we consider the scenario in which the unperturbed problem is solvable, such that we can attempt to systematically add the corrections from  $\hat{V}$  to our physical observables. The typical setup is that  $\hat{H}_0$  is a free theory (with Gaussian ground states), and  $\hat{V}$  is an interaction. We will refer to  $\hat{V}$  as the “interaction” as such.

One clever trick for developing such a perturbation theory is to imagine turning on the perturbation  $\hat{V}$  “slowly”. Imagine modifying our Hamiltonian into (in Schrodinger picture)

$$\hat{H}(t) = \hat{H}_0 + e^{-|t|/\tau} \hat{V}$$

such that it interpolates from  $\hat{H}_0$  to  $\hat{H} = \hat{H}_0 + \hat{V}$  as go from  $t = -\infty$  to  $t = 0$ , and interpolates back to  $\hat{H}_0$  as we further send  $t \rightarrow +\infty$



Now, let us suppose we start with the ground state  $|\Omega_0\rangle$  of  $\hat{H}_0$  at  $t \rightarrow -\infty$ . In the Schrodinger's picture, the state evolve according to

$$i\partial_t |\Omega(t)\rangle = \hat{H}(t) |\Omega(t)\rangle$$

with the initial value

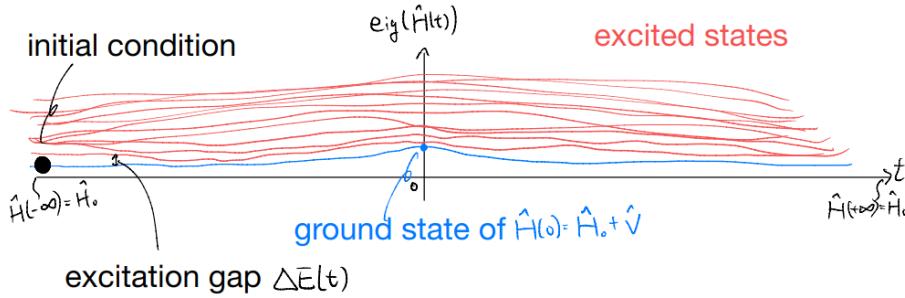
$$|\Omega(-\infty)\rangle = |\Omega_0\rangle$$

We (probably) don't know how to solve the time-evolution of the state exactly. If we knew, we could have solved  $\hat{H}$  directly! Instead, let us imagine plotting the many-body eigen-energies as a function of  $t$ :

Suppose the excitation gap remains finite for all values of  $t$ . This sets a timescale

$$\tau_A \sim \frac{1}{\min(\Delta E(t))}$$

The adiabatic theorem then states that, so long as the dynamics in  $\hat{H}(t)$  is slow compared to  $\tau_A$ , i.e.,  $\tau \gg \tau_A$ , then our “black dot” stays in the lowest branch to good approximation.



Heuristically, this could be understood from energy considerations: to transit from the ground state to the excited state, we need to supply energy. In our setup, the only possible energy source is the dynamics in  $\hat{H}(t)$ , with scale set by  $1/\tau$ . If we keep that arbitrarily slow, i.e., take  $\tau \rightarrow \infty$ , then we are not giving energy to the system to make a transition to the excited states. In other words, we stay in the instantaneous ground state.

We caution that the adiabatic limit is tricky for two reasons

1. For a many-body system in the thermodynamic limit, there may be gapless excitations directly above the ground state. As such there is no reason to expect the adiabatic theorem to hold at all. However, one might imagine circumventing the difficulty by considering a finite system and taking the adiabatic limit first, before taking the thermodynamic limit. In practice, of course, these are subtle problems, and we will not address them carefully here.
2. More importantly, the interaction may be strong enough that a quantum phase transition occurs as we crank the interaction strength up to its full value. Such quantum phase transitions are characterized by a crossing of the energy levels as a function of the interpolation time  $t$ . In that case, the adiabatic theorem also fails. And, indeed, one should not hope to get a satisfactory perturbation theory starting from a “wrong”  $\hat{H}_0$ !

Setting the subtleties aside, let us now consider taking expectation values (with a goal of finally computing some physical observables). We can choose to work in the Heisenberg picture of  $\hat{H}(t)$ , and consider the time-ordered Green’s functions, i.e., quantities of the form

$$\langle \Omega_H(-\infty) | \mathcal{T} [\hat{O}_H^{(1)}(t_1) \hat{O}_H^{(2)}(t_2) \cdots \hat{O}_H^{(n)}(t_n)] | \Omega_H(-\infty) \rangle$$

The motivation for specializing to time-ordered operators will be clear in a moment, and we consider times  $t_i$  which remain finite even as  $\tau \rightarrow \infty$ , i.e., we stay near  $t = 0$  in the adiabatic limit.

In the above, we take advantage of the fact that, in the Heisenberg picture, the state is stationary and all the time-dependence is assigned to the operators. One may for a moment revert back to the Schrodinger picture, supposing for

simplicity that  $t_1 > t_2 > \dots > t_n$  such that the time-ordering does nothing. The quantity we wrote down can be understood as

$$\langle \Omega_S(t_1) | \mathcal{T} \left[ \hat{O}_S^{(1)}(t_1) \hat{U}_S(t_1, t_2) \hat{O}_S^{(2)}(t_2) \cdots \hat{U}_S(t_{n-1}, t_n) \hat{O}_S^{(n)}(t_n) \right] | \Omega_S(t_n) \rangle$$

where  $\hat{U}_S$  is the time-evolution operator in the Schrodinger picture

$$\hat{U}_S(t_i, t_j) = \mathcal{T} \left[ \exp \left( -i \int_{t_i}^{t_j} dt' \hat{H}_S(t') \right) \right]$$

In the adiabatic limit, for finite times  $t_i$ , we have

$$\hat{H}_S(t_i) \rightarrow \hat{H}$$

$$|\Omega_S(t_i)\rangle \rightarrow |\Omega\rangle$$

where  $|\Omega\rangle$  denotes the many-body ground state of full Hamiltonian  $\hat{H} = \hat{H}_0 + \hat{V}$ . As such, we see that, in the adiabatic limit, we are simply computing some sort of correlation functions for the interacting ground state.

At the same time, we know that the “initial state”

$$|\Omega_H(-\infty)\rangle = |\Omega_S(-\infty)\rangle = |\Omega_0\rangle$$

is simply the ground state of the unperturbed Hamiltonian  $\hat{H}_0$ . This connects the “hard problems” of interest (concerning the interacting system) to those in our “simple starting point”.

To show this more explicitly, we recall the interaction picture introduced in the last lecture. For our problem, it is natural to use  $\hat{H}_0$  to define the dynamics of the operators, such that the interaction-picture operators (for the full problem with adiabatic turning on) evolve in time according to the Heisenberg picture defined with respect to  $\hat{H}_0$ . Starting from the reference time of  $t \rightarrow -\infty$ , the quantum states evolve in the interaction picture according

$$|\Omega_I(t)\rangle = \hat{S}(t, -\infty) |\Omega_0\rangle$$

$$\hat{S}(t, -\infty) = \mathcal{T} \left[ \exp \left( -i \int_{-\infty}^t dt' \hat{V}_I(t') \right) \right]$$

where  $\hat{V}_I(t)$  is the interaction Hamiltonian (perturbation) in the interaction picture. The “S-matrix” is unitary and could be related to backward time evolution

$$\hat{S}^\dagger(t_1, t_2) \hat{S}(t_1, t_2) = I$$

$$\hat{S}^\dagger(t_1, t_2) = \hat{S}(t_2, t_1)$$

Now, in computing observables we know that

$$\langle \Omega_0 | \hat{O}_H(t) | \Omega_0 \rangle = \langle \Omega_I(t) | \hat{S}(t, -\infty) \hat{O}_H(t) \hat{S}^\dagger(t, -\infty) | \Omega_I(t) \rangle$$

$$\hat{O}_I(t) = \hat{S}(t, -\infty) \hat{O}_H(t) \hat{S}^\dagger(t, -\infty)$$

where the state  $|\Omega_0\rangle$  doesn't evolve in the Heisenberg picture. i.e., we have

$$\hat{O}_H(t) = \hat{S}^\dagger(t, -\infty) \hat{O}_I(t) \hat{S}(t, -\infty) = \hat{S}(-\infty, t) \hat{O}_I(t) \hat{S}(t, -\infty)$$

Supposing for the moment that  $t_1 > t_2 > \dots > t_n$ , in the interaction picture we have

$$\begin{aligned} & \langle \Omega_0 | \mathcal{T} \left[ \hat{O}_H^{(1)}(t_1) \hat{O}_H^{(2)}(t_2) \cdots \hat{O}_H^{(n)}(t_n) \right] | \Omega_0 \rangle \\ &= \langle \Omega_0 | \hat{O}_H^{(1)}(t_1) \hat{O}_H^{(2)}(t_2) \cdots \hat{O}_H^{(n)}(t_n) | \Omega_0 \rangle \\ &= \langle \Omega_0 | \hat{S}(-\infty, t_1) \hat{O}_I^{(1)}(t_1) \hat{S}(t_1, -\infty) \hat{S}(-\infty, t_2) \hat{O}_I^{(2)}(t_2) \hat{S}(t_2, -\infty) \\ &\quad \cdots \hat{S}(t_{n-1}, -\infty) \hat{S}(-\infty, t_n) \hat{O}_I^{(n)}(t_n) \hat{S}(t_n, -\infty) | \Omega_0 \rangle \\ &= \langle \Omega_0 | \hat{S}(-\infty, t_1) \hat{O}_I^{(1)}(t_1) \hat{S}(t_1, t_2) \hat{O}_I^{(2)}(t_2) \cdots \hat{O}_I^{(n)}(t_n) \hat{S}(t_n, -\infty) | \Omega_0 \rangle \\ &= \langle \Omega_0 | \hat{S}(-\infty, +\infty) \mathcal{T} \left[ \hat{S}(+\infty, t_1) \hat{O}_I^{(1)}(t_1) \hat{S}(t_1, t_2) \hat{O}_I^{(2)}(t_2) \cdots \hat{O}_I^{(n)}(t_n) \hat{S}(t_n, -\infty) \right] | \Omega_0 \rangle \\ &= \langle \Omega_I(+\infty) | \mathcal{T} \left[ \hat{S}(+\infty, -\infty) \hat{O}_I^{(1)}(t_1) \hat{O}_I^{(2)}(t_2) \cdots \hat{O}_I^{(n)}(t_n) \right] | \Omega_I(-\infty) \rangle \end{aligned}$$

when the dust settles, we see that the final expression is independent on the initial time-ordering. In other words, even if the times were ordered differently in the beginning, we still get the same expression at the end. Importantly, all the insertion of the S-matrix can be lumped into a single one going  $-\infty$  to  $+\infty$ . The time-ordering ensures that we break it down into pieces in the actual expression.

The only problem left is that what we have is not an “expectation value” with respect to a given state. This can be fixed by noticing that, in the adiabatic limit, the state  $|\Omega_0\rangle$  is both the initial and final state. Yet, in the interaction picture the states have to evolve, and so we can only reconcile the initial and final states up to a phase in the interaction picture:

$$\begin{aligned} |\Omega_I(-\infty)\rangle &= |\Omega_0\rangle \\ |\Omega_I(+\infty)\rangle &= \hat{S}(+\infty, -\infty) |\Omega_I(-\infty)\rangle = e^{2i\delta} |\Omega_0\rangle \end{aligned}$$

In particular, the phase can be understood as the overlap

$$\begin{aligned} \langle \Omega_0 | \Omega_I(+\infty) \rangle &= \langle \Omega_0 | \hat{S}(+\infty, -\infty) | \Omega_0 \rangle = e^{2i\delta} \\ \langle \Omega_I(+\infty) | &= e^{-2i\delta} \langle \Omega_0 | = \frac{\langle \Omega_0 |}{\langle \Omega_0 | \hat{S}(+\infty, -\infty) | \Omega_0 \rangle} \end{aligned}$$

Altogether, we conclude

$$\begin{aligned} & \langle \Omega_H(-\infty) | \mathcal{T} \left[ \hat{O}_H^{(1)}(t_1) \hat{O}_H^{(2)}(t_2) \cdots \hat{O}_H^{(n)}(t_n) \right] | \Omega_H(-\infty) \rangle \\ &= \frac{\langle \Omega_0 | \mathcal{T} \left[ \hat{O}_I^{(1)}(t_1) \hat{O}_I^{(2)}(t_2) \cdots \hat{O}_I^{(n)}(t_n) \hat{S}(+\infty, -\infty) \right] | \Omega_0 \rangle}{\langle \Omega_0 | \hat{S}(+\infty, -\infty) | \Omega_0 \rangle} \end{aligned}$$

where

$$\hat{S}(+\infty, -\infty) = \mathcal{T} \left[ \exp \left( -i \int_{-\infty}^{+\infty} dt' \hat{V}_I(t') \right) \right]$$

and the interaction-picture operators evolve according to the Heisenberg picture with respect to  $\hat{H}_0$ . Furthermore, we end up with an expression involving only the ground-state expectation value of the unperturbed problem. This fulfills our promise of relating the interacting problem to the unperturbed one. The remaining task is “simply” to expand in powers  $\hat{V}_I$  and we would get a perturbation series!

Remark: the final expression obtained above is highly reminiscent of what we have learnt in statistics mechanics. Recall, for instance, that the average energy

$$\langle \hat{H} \rangle = \frac{\text{Tr}(\hat{H} e^{-\beta \hat{H}})}{\mathcal{Z}(\beta)} = -\partial_\beta \ln \mathcal{Z}(\beta)$$

This suggests that we can define

$$\mathcal{Z}[J^\alpha(t)] = \langle \Omega_0 | \mathcal{T} \left[ \exp \left( -i \int_{-\infty}^{+\infty} dt' (\hat{V}_I(t') + J^\alpha(t) \hat{O}^\alpha(t)) \right) \right] | \Omega_0 \rangle$$

such that our expression can be simplified further into something like

$$\frac{\langle \Omega_0 | \mathcal{T} \left[ \hat{O}_I^{(1)}(t_1) \hat{O}_I^{(2)}(t_2) \cdots \hat{O}_I^{(n)}(t_n) \hat{S}(+\infty, -\infty) \right] | \Omega_0 \rangle}{\langle \Omega_0 | \hat{S}(+\infty, -\infty) | \Omega_0 \rangle} \sim \partial_{J_1} \partial_{J_2} \cdots \partial_{J_n} \ln \mathcal{Z}[J^\alpha(t)]|_{J=0}$$

this is the spirit of a generating functional (c.f. PS3). In any case, we see that a close parallel with statistics mechanics emerges.

### 14.3 Interacting electrons

Let us be brave and go straight now to a problem of interacting electrons. Consider a fermionic problem with the full Hamiltonian

$$\begin{aligned} \hat{H} &= \hat{H}_0 + \hat{V} \\ \hat{H}_0 &= \sum_{x,y,\sigma,\sigma'} \hat{c}_{x\sigma}^\dagger h_{xy}^{\sigma\sigma'} \hat{c}_{y\sigma'} \\ \hat{V} &= \sum_{x,y} V(|x-y|) : \hat{n}_x \hat{n}_y : \end{aligned}$$

where  $\hat{n}_x = \sum_\sigma \hat{c}_{x\sigma}^\dagger \hat{c}_{x\sigma}$  denotes the on-site density of the electrons. Notice that the interaction term is normal-ordered, such that

$$\begin{aligned} : \hat{n}_x \hat{n}_y : &= \sum_{\sigma\sigma'} : \hat{c}_{x\sigma}^\dagger \hat{c}_{x\sigma} \hat{c}_{y\sigma'}^\dagger \hat{c}_{y\sigma'} : \\ &= \sum_{\sigma\sigma'} \hat{c}_{x\sigma}^\dagger \hat{c}_{y\sigma'}^\dagger \hat{c}_{y\sigma'} \hat{c}_{x\sigma} \end{aligned}$$

and the last line holds even if  $x = y \ \& \ \sigma = \sigma'$ , in which case the term vanishes. This ensures

$$\begin{aligned}\hat{V}|0\rangle &= 0 \\ \hat{V}(c_{x\sigma}^\dagger|0\rangle) &= 0\end{aligned}$$

i.e., there is no interaction when we have zero or one electron.

Of course, it's quite meaningless if we just state the Hamiltonian and leave it there. Let us attempt to evaluate some physical quantities, say the dielectric function. (The full problem is more complicated, with distinctions between longitudinal vs transverse response and DC versus AC etc. In the following, we only sketch a simplified version of the key points.)

Recall, in a medium the EM scalar potential is modified into

$$\phi_0(r) = \frac{\rho_{\text{ext}}}{4\pi\epsilon_0 r} \rightarrow \phi(r) = \frac{\rho_{\text{ext}}}{4\pi\epsilon r}$$

In momentum space, we have

$$\phi(q) \sim \frac{\rho_{\text{ext}}(q)}{q^2\epsilon(q)}$$

The modification to the dielectric “constant” (which is  $q$  dependent here) can also be understood as a modification of the “true” charge density in the medium, due to the screening from the system. I.e., we can consider

$$\begin{aligned}\phi(q) &\sim \frac{\rho_{\text{tot}}(q)}{q^2\epsilon_0} \\ \rho_{\text{tot}}(q) &= \rho_{\text{ext}}(q) + \rho_{\text{sc}}(q)\end{aligned}$$

Comparing the two, we find

$$\begin{aligned}\frac{\rho_{\text{ext}}(q) + \rho_{\text{sc}}(q)}{\epsilon_0} &= \frac{\rho_{\text{tot}}(q)}{\epsilon_0} \\ \Rightarrow \frac{\epsilon_0}{\epsilon(q)} &= 1 + \frac{\rho_{\text{sc}}(q)}{\rho_{\text{ext}}(q)}\end{aligned}$$

Now, within linear response, the screening charges appear as a response to the external potential

$$\rho_{\text{sc}}(q) \sim -\chi(q, \omega = 0) \frac{\rho_{\text{ext}}(q)}{4\pi\epsilon_0 q^2}$$

where

$$\chi(q, \omega) = i \int_{-\infty}^{\infty} dt \Theta(t) \langle [\hat{\rho}(q, t), \hat{\rho}(-q, 0)] \rangle e^{i\omega t}$$

is the density-density response function (maybe up to the sign). This gives

$$\frac{\epsilon_0}{\epsilon(q)} = 1 - \frac{\chi(q)}{4\pi\epsilon_0 q^2}$$

So we could determine the dielectric function by evaluating the density-density response function! But, how do we relate that to the Gell-Mann-Low formula (and hence perturbation theory)?



# Chapter 15

## Lec15 20220325

Topics

1. What's so hard about interaction?
2. Bare electron propagator
3. Full electron propagator

Goals

1. Appreciating the steps it takes to develop perturbation theory
2. Familiarizing with the one-particle Green's function

### 15.1 Interacting, so what?

Let's first recall where we were last time. We considered an interacting problem of electrons, given schematically by

$$\hat{H} = \hat{H}_0 + \hat{V}$$

$$\hat{H}_0 \sim t\hat{c}^\dagger \hat{c}$$

$$\hat{V} \sim V\hat{c}^\dagger \hat{c}^\dagger \hat{c} \hat{c}$$

and we asked what is, for instance, the dielectric function of the system. The key point to note is that

$$\phi(r) \sim \frac{\rho_{\text{ext}}}{\varepsilon r} \sim \frac{\rho_{\text{tot}}}{\varepsilon_0 r}$$

$$\rho_{\text{tot}} = \rho_{\text{ext}} + \rho_{sc}$$

where  $\rho_{sc}$  encodes how the system responds to the external potential, and in linear response is given by

$$\delta\rho(t) \sim -\chi^{\text{ret}}(t)\rho_{\text{ext}}$$

$$\chi^{\text{ret}}(t) = i\Theta(t)\langle[\hat{\rho}(t), \hat{\rho}(0)]\rangle$$

is the retarded density-density response function of the interacting problem.  
(Note: we have deliberately kept the discussion schematic above, and ignored all the spatial / momentum dependence etc.)

In principle, we can go ahead and compute the expectation value. Before attempting that, however, let us make a clarification remark about the interaction pictures involved:

1. Linear response: Full, interacting Hamiltonian as the unperturbed problem and the external “probe” as the perturbation. The susceptibility are understood to be in the Heisenberg picture with respect to the full interacting Hamiltonian
2. Adiabatic turning on: “Bare”, solvable (non-interacting / free / Gaussian) Hamiltonian as the unperturbed problem and “adiabatic turning on of interactions” as the perturbation.

These two are really quite different. In particular, we bear in mind that the susceptibility (is equal to retarded density-density response function) is a Heisenberg picture quantity with respect to the full Hamiltonian

$$\chi^{\text{ret}}(t) = i\Theta(t)\langle\Omega_H|[\hat{\rho}_H(t), \hat{\rho}_H(0)]|\Omega_H\rangle$$

We also call this a retarded two-particle Green’s function. “Two-particle” because each density operator  $\hat{\rho} \sim \hat{c}^\dagger \hat{c}$ .

Here, the ground state  $|\Omega_H\rangle$  is that of the interacting problem  $\hat{H} = \hat{H}_0 + \hat{V}$ .

Furthermore, we do not immediately know how to evaluate this expression! Recall, to take advantage of the magic of the S-matrix, time-ordering, and adiabatic turning on, we focused on the time-ordered Green’s function, so the closest analog we have is

$$\chi^T(t) = \langle\Omega_H|\mathcal{T}[\hat{\rho}_H(t)\hat{\rho}_H(0)]|\Omega_H\rangle$$

which can now be rewritten, though the adiabatic turning on, into a formal expression

$$\chi^T(t) = \frac{\langle\Omega_0|\mathcal{T}\left[\hat{\rho}_I(t)\hat{\rho}_I(0)\exp\left(-i\int_{-\infty}^{\infty}dt'\hat{V}_I(t')\right)\right]|\Omega_0\rangle}{\langle\Omega_0|\mathcal{T}\left[\exp\left(-i\int_{-\infty}^{\infty}dt'\hat{V}_I(t')\right)\right]|\Omega_0\rangle}$$

The numerator can be expanded in a Dyson’s series

$$\begin{aligned} & \langle\Omega_0|\mathcal{T}\left[\hat{\rho}_I(t)\hat{\rho}_I(0)\exp\left(-i\int_{-\infty}^{\infty}dt'\hat{V}_I(t')\right)\right]|\Omega_0\rangle \\ &= \sum_{n=0}^{\infty} \frac{(-i)^n}{n!} \int_{-\infty}^{\infty} dt_1 dt_2 \cdots dt_n \langle\Omega_0|\mathcal{T}\left[\hat{\rho}_I(t)\hat{\rho}_I(0)\hat{V}_I(t_1)\hat{V}_I(t_2)\cdots\hat{V}_I(t_n)\right]|\Omega_0\rangle \end{aligned}$$

where the expectation value to take is, schematically,

$$V^n \langle \Omega_0 | \mathcal{T} \left[ \hat{c}_t^\dagger \hat{c}_t \hat{c}_0^\dagger \hat{c}_0 \hat{c}_{t_1}^\dagger \hat{c}_{t_1} \hat{c}_{t_1} \hat{c}_{t_1} \hat{c}_{t_2}^\dagger \hat{c}_{t_2} \hat{c}_{t_2} \hat{c}_{t_2} \cdots \hat{c}_{t_n}^\dagger \hat{c}_{t_n} \hat{c}_{t_n} \hat{c}_{t_n} \right] | \Omega_0 \rangle$$

where, for sanity's sake, we have dropped all labels and instead used the subscript to denote the time. Bear in mind that, here,  $t$  and  $0$  are “external” and  $t_1, t_2, \dots, t_n$  are all integrated over.

We know how to evaluate such an expression. It's “just” Wick's theorem and contractions! We know that the answer will be some combinatorial product of our basic building block

$$G_0(q, t) = \langle \Omega_0 | \mathcal{T} [\hat{c}_q(t) \hat{c}_q^\dagger(0)] | \Omega_0 \rangle$$

known as the (bare) Feynman propagator.

A brute force evaluation for the lowest orders, say up to  $V^2$ , may seem perhaps tedious but possibly doable. But, it is wrong to think that such a calculation will suffice for finding the lowest order interaction corrections: we have to remember there is also a denominator, which is essentially the same power series but without the “density-density” part! Fortunately, as we have seen from the statistics mechanics correspondence, there is a way to handle both the numerator and the denominator in one-shot: by taking  $\log!$

In the following, we address these challenges, one at a time. Before we lose sight of the picture and get buried in the technical details, it may be good to first summarize how we will attack the problem

1. Evaluate the “bare” (Feynman) propagator
2. Attempt to evaluate the Dyson's series by “brute force”, through Wick's theorem to Feynman diagrams as a mnemonic
3. Take care of the denominator: linked cluster theorem
4. Dyson's equation and dressed propagators: resummation of series and 1PI
5. Partial resummation and approximations
6. Analytic continuation and going back to real time

## 15.2 Bare (Feynman) propagator

The starting point of our perturbation theory is, of course, the unperturbed problem. Here, we consider the “free” part of the problem, with the Hamiltonian

$$\hat{H}_0 = \sum_{x,y,\sigma,\sigma'} \hat{c}_{x\sigma}^\dagger h_{xy}^{\sigma\sigma'} \hat{c}_{y\sigma'}$$

As discussed briefly (c.f. lecture on localized electrons), we can define “eigenmodes” such that

$$\hat{H}_0 = \sum_i \varepsilon_i \hat{c}_i^\dagger \hat{c}_i = \sum_i \varepsilon_i \hat{n}_i$$

is readily diagonalized, with all the eigenstates built by specifying the values  $\hat{n}_i = 0, 1$  for the full set of mutually commuting number operators.

The ground state, i.e., the lowest energy state, is constructed by setting

$$\tilde{n}_i = \begin{cases} 1, & \text{if } \varepsilon_i < 0 \\ 0, & \text{if } \varepsilon_i > 0 \end{cases}$$

and occupation of modes with exactly  $\varepsilon_i = 0$  does not affect the energy of the state. Such zero modes, if exist, lead to ground-state degeneracy.

Furthermore, these are eigenmodes, in the sense that their equations of motion are simply

$$\begin{aligned} i\partial_t \hat{c}_i^\dagger(t) &= [\hat{c}_i^\dagger(t), \hat{H}_0] = -\varepsilon_i \hat{c}_i^\dagger(t) \\ \Rightarrow \quad \hat{c}_i^\dagger(t) &= e^{i\varepsilon_i t} \hat{c}_i^\dagger(0) \end{aligned}$$

Let us now assume the system has translation invariance, such that we can further Fourier transform

$$\begin{aligned} \hat{c}_{k\sigma}^\dagger &= \frac{1}{\sqrt{V}} \sum_x \hat{c}_{x\sigma}^\dagger e^{ik \cdot x} \\ \Rightarrow \quad \hat{H}_0 &= \sum_k \hat{c}_{k\sigma}^\dagger h^{\sigma\sigma'}(k) \hat{c}_{k\sigma'} \end{aligned}$$

The momentum-space singular particle Hamiltonian is customary called the Bloch Hamiltonian. Its eigenvalues  $\text{eig}(h(k))$  form energy bands which, for local Hamiltonian, are continuous in the (quasi-)momentum  $k$ . The number of bands equals to the dimension of the Bloch Hamiltonian, which in turns is given by the number of fermion modes we retain in each unit cell. For simplicity, let us take that we only have one orbital per cell, such that  $h(k)$  is  $2 \times 2$  because of the spin- $\frac{1}{2}$  nature of electrons.

For spin-rotation invariant systems,  $h(k) = \varepsilon_k \sigma^0$  and we have a single band (which is doubly degenerate). Our earlier discussion applies equally well, but now the energy is labeled by the momentum  $k$  (instead of a generic index).

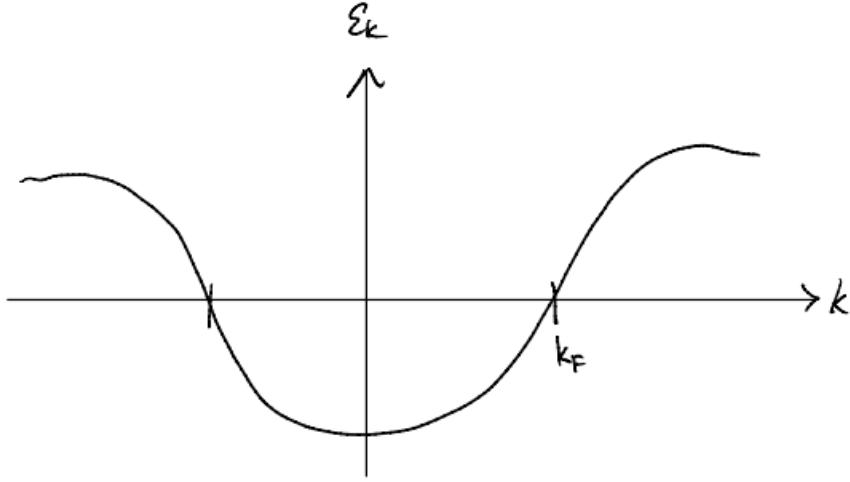
For a simple dispersion, say a “cosine band”, there is a single Fermi surface defined by  $\varepsilon_k = 0$ . The ground state is then the filled Fermi sea

$$|\Omega_0\rangle = \prod_{|k| < |k_F|} \hat{c}_k^\dagger |0\rangle$$

With this setup we can now evaluate the “bare propagator”. Remember, the building block of our perturbation theory is the “basic T-contraction”.

$$iG_0^F(k, t) = \left\langle \mathcal{T} \left[ \hat{c}_k(t) \hat{c}_k^\dagger(0) \right] \right\rangle_0$$

where we have used the fact that our ground state is translation invariant in both space and time (in particular, we used  $\langle \hat{c}_k \hat{c}_{k'}^\dagger \rangle \propto \delta_{kk'}$  to focus on a single



momentum). Evaluating

$$\begin{aligned} iG_0^F(k, t) &= \Theta(t) \left\langle \hat{c}_k(t) \hat{c}_k^\dagger(0) \right\rangle - \Theta(-t) \left\langle \hat{c}_k^\dagger(0) \hat{c}_k(t) \right\rangle \\ &= \Theta(t) \Theta(|k| - |k_F|) e^{-i\varepsilon_k t} - \Theta(-t) \Theta(|k_F| - |k|) e^{-i\varepsilon_k t} \end{aligned}$$

where the first term is the electron-excitation above the Fermi sea and the second term is the hole-excitation within the Fermi sea. Going to frequency space, we have

$$\begin{aligned} iG_0^F(k, \omega) &= \int_{-\infty}^{\infty} dt G_0^F(k, t) e^{i\omega t} \\ &= \Theta(|k| - |k_F|) \lim_{\eta \rightarrow 0^+} \frac{(e^{-\infty} - 1)}{i(\omega - \varepsilon_k + i\eta)} - \Theta(|k_F| - |k|) \lim_{\eta \rightarrow 0^+} \frac{(1 - e^{-\infty})}{i(\omega - \varepsilon_k - i\eta)} \\ G_0^F(k, \omega) &= \lim_{\eta \rightarrow 0^+} \left( \frac{\Theta(|k| - |k_F|)}{\omega - \varepsilon_k + i\eta} + \frac{\Theta(|k_F| - |k|)}{\omega - \varepsilon_k - i\eta} \right) \end{aligned}$$

Noticing that the Heaviside step function is simply an “on-off switch”, it will be natural to further define

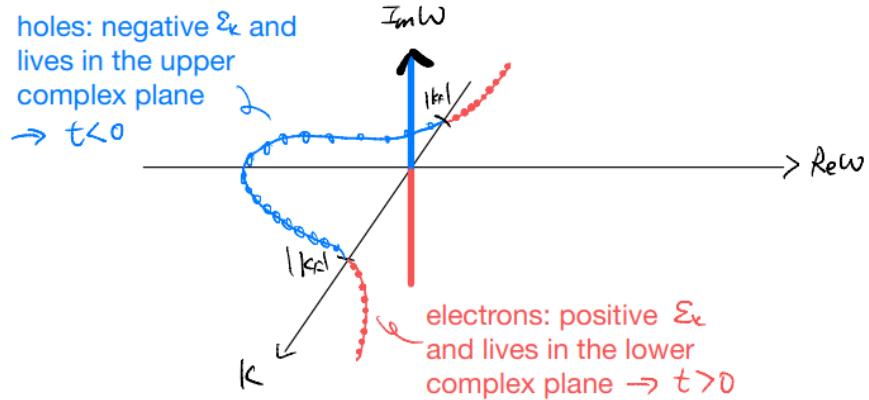
$$\eta_k = \text{sign}(|k| - |k_F|) \eta$$

and we might write

$$G_0^F(k, \omega) = \lim_{\eta_k \rightarrow 0^\pm} \frac{1}{\omega - \varepsilon_k + i\eta_k}$$

we call this the (Feynman) propagator.

Notice that, in our single band problem, we have a single pole at each momentum  $k$ . (Contrast with the phonon propagator, which have two poles for



each momentum  $k$ .) In particular, we see that a single Green's function capture both the electron and hole excitations. The union of the two comes about in an interesting way, with the nature of the excitation (electron versus hole) encoded in the location of the pole (lower versus upper complex plane). In fact, going back to the real-time expression, we see that:

1. Electron piece  $\Theta(t) \langle \hat{c}_k(0) \hat{c}_k^\dagger(t) \rangle$ :  $t > 0$ , forward in time
2. Hole piece  $\Theta(-t) \langle \hat{c}_k^\dagger(0) \hat{c}_k(t) \rangle$ :  $t < 0$ , backward in time

Remarks: The problem of QED electron is completely analogous. The only changes are

1. the Fermi “wave vector” happens to be  $k_F = 0$
2. the “filled Fermi sea” is the whole set of negative energy solutions to Dirac equation
3. we call the “holes” positrons

What we mentioned above is a paraphrasing of Feynman's famous interpretation that positron (electron traveling backward in time). (There is a second part of the interpretation: there is only one electron in the universe and it keeps traveling forward and backward. This “one-electron universe” is attributed to Wheeler, Feynman's PhD advisor.)

Let us clarify two points before moving on:

1. What happened to the spin index? In principle, the one-particle propagator (two-point Green's function) should be a matrix, since each of the two fermions carries an index. (E.g., we simplify the momentum part using  $\langle \hat{c}_k \hat{c}_{k'}^\dagger \rangle \sim \delta_{kk'}$ ) Correspondingly, when we restore spin indices, we simply have

$$G_{\sigma\sigma'}^F(k, t) = -i \langle \mathcal{T} [\hat{c}_{k\sigma}(t) \hat{c}_{k\sigma'}^\dagger(t)] \rangle$$

for spin-rotation-invariant system, we also have  $\langle \hat{c}_\sigma \hat{c}_{\sigma'}^\dagger \rangle \sim \delta_{\sigma\sigma'}$

$$G_{\sigma\sigma'}^F(k, t) = G^F(k, t) \delta_{\sigma\sigma'}$$

and so we could focus on the “single band” discussion as if the spin did not exist. The spin, however, will actually still be important in giving “overall factors” for the different terms in the perturbation expansion.

2. Some of you might notice that the way we defined the propagator is actually ad hoc in a sense. Let us consider, instead, the contraction

$$\begin{aligned} & (-i) \left\langle \mathcal{T} \left[ \hat{c}_k^\dagger(t) \hat{c}_k(0) \right] \right\rangle \\ &= (-i) \left[ \Theta(t) \left\langle \hat{c}_k^\dagger(t) \hat{c}_k(0) \right\rangle - \Theta(-t) \left\langle \hat{c}_k(0) \hat{c}_k^\dagger(t) \right\rangle \right] \\ &= -ie^{i\varepsilon_k t} [\Theta(t)\Theta(|k_F| - |k|) - \Theta(-t)\Theta(|k| - |k_F|)] \\ &= -G_0^F(k, -t) \end{aligned}$$

and, as such, we see that this alternative contraction does not provide us with additional data. (But, as a corollary, it also suggest that the “arrow of time” we assigned to electrons versus holes is not entirely unambiguous.) Similarly, we may go to frequency space and get

$$(-i) \int_{-\infty}^{\infty} dt \left\langle \mathcal{T} \left[ \hat{c}_k^\dagger(t) \hat{c}_k(0) \right] \right\rangle e^{i\omega t} = - \int_{-\infty}^{\infty} dt G_0^F(k, -t) e^{i\omega t} = -G_0^F(k, -\omega)$$



# Chapter 16

## Lec16 20220330

### Topics

1. Interacting electron propagator: qualitative picture
2. Spectral function (again) and Landau Fermi liquid
3. Full propagator and Feynman diagrams

### Goals

1. Appreciating the qualitative features of the interacting propagator and their relation to Fermi liquids
2. Connecting perturbative expansion to Feynman diagrams

### 16.1 Spectral function yet again: let's go interacting!

Having evaluated the bare propagator, let us consider the actual one-particle propagator in the interacting problem. It is defined in exactly the same way (suppressing the spin index):

$$G^F(k, t) = -i\langle \Omega | \mathcal{T} [\hat{c}_k(t) \hat{c}_k^\dagger(0)] | \Omega \rangle$$

where we emphasize that the expectation value is taken with respect to the interacting ground state. Note that this is *not* a “contraction”: the interacting ground state is not Gaussian in general. Instead, we should think of this propagator as a two-point correlation function (in space-time, and Fourier-transformed).

Before we dwell into the technical calculation (through Gell-Mann-Low, perturbative expansion etc.), it may be good to highlight how interaction modifies

the propagator. To this end we revisit the “spectral decomposition”.

$$\begin{aligned}
& iG^F(k, t) \\
&= \langle \Omega | \mathcal{T} \left[ \hat{c}_k(t) \hat{c}_k^\dagger(0) \right] | \Omega \rangle \\
&= \Theta(t) \sum_n \langle \Omega | e^{i\hat{H}t} \hat{c}_k e^{-i\hat{H}t} | n \rangle \langle n | \hat{c}_k^\dagger | \Omega \rangle - \Theta(-t) \sum_n \langle \Omega | \hat{c}_k^\dagger | n \rangle \langle n | e^{i\hat{H}t} \hat{c}_k e^{-i\hat{H}t} | \Omega \rangle \\
&= \Theta(t) \sum_n \left| \langle n | \hat{c}_k^\dagger | \Omega \rangle \right|^2 e^{-i(E_n - E_\Omega)t} - \Theta(-t) \sum_n \left| \langle n | \hat{c}_k | \Omega \rangle \right|^2 e^{i(E_n - E_\Omega)t} \\
G^F(k, \omega) &= \lim_{\eta \rightarrow 0^+} \sum_n \left( \frac{\left| \langle n | \hat{c}_k^\dagger | \Omega \rangle \right|^2}{\omega - (E_n - E_\Omega) + i\eta} + \frac{\left| \langle n | \hat{c}_k | \Omega \rangle \right|^2}{\omega + (E_n - E_\Omega) - i\eta} \right)
\end{aligned}$$

Let us simplify the expression by making a few definitions.

1. if  $\langle n | \hat{c}_k^\dagger | \Omega \rangle \neq 0$ ,

$$\begin{cases} M_n(k) = \langle n | \hat{c}_k^\dagger | \Omega \rangle \\ \varepsilon_n = E_n - E_\Omega > 0 \\ \eta_n = \eta \rightarrow 0^+ \end{cases}$$

2. else if  $\langle n | \hat{c}_k | \Omega \rangle \neq 0$ ,

$$\begin{cases} M_n(k) = \langle n | \hat{c}_k | \Omega \rangle \\ \varepsilon_n = -(E_n - E_\Omega) < 0 \\ \eta_n = -\eta \rightarrow 0^- \end{cases}$$

3. else,

$$M_n(k) = 0$$

$$\Rightarrow G^F(k, \omega) = \lim_{\eta_n \rightarrow 0^\pm} \sum_n \frac{|M_n(k)|^2}{\omega - \varepsilon_n + i\eta_n}$$

We might connect to physical observables by looking at the spectral function. However, the propagator, being the a T-ordered two-point function, is not an observable directly. Instead, we could look at its retarded version, the trick, as usual, is to shift the poles to the lower complex plane. Consider

$$G^F(k, \omega + i\delta) = \lim_{\eta_n \rightarrow 0^\pm} \sum_n \frac{|M_n(k)|^2}{\omega - \varepsilon_n + i(\delta + \eta_n)}$$

and we take the limit in which  $\delta$  overrides  $\eta_n$  such that all the poles are now in the lower complex plane. We may now consider the spectral function again by

looking at the imaginary part

$$\begin{aligned} A(k, \omega) &= -\frac{1}{\pi} \Im \left[ \lim_{\delta \rightarrow 0^+} G^F(k, \omega + i\delta) \right] \\ &= \sum_n |M_n(k)|^2 \delta(\omega - \varepsilon_n) \end{aligned}$$

(Note: Coleman 5.3.3 considers shifting the poles to the upper complex plane instead, and so a sign difference from the above.)

Importantly, the spectral function enjoys a “normalization”:

$$\begin{aligned} \int_{-\infty}^{\infty} d\omega A(k, \omega) &= \sum_n |M_n(k)|^2 \\ &= \sum_n \left( \left| \langle n | \hat{c}_k^\dagger | \Omega \rangle \right|^2 + \left| \langle n | \hat{c}_k | \Omega \rangle \right|^2 + 0 \right) \\ &\quad \text{one term per } n, \text{ among these three possibilities} \\ &= \sum_n \left( \langle \Omega | \hat{c}_k | n \rangle \langle n | \hat{c}_k^\dagger | \Omega \rangle + \langle \Omega | \hat{c}_k^\dagger | n \rangle \langle n | \hat{c}_k | \Omega \rangle \right) \\ &= \langle \Omega | \hat{c}_k \hat{c}_k^\dagger + \hat{c}_k^\dagger \hat{c}_k | \Omega \rangle \\ &= 1 \end{aligned}$$

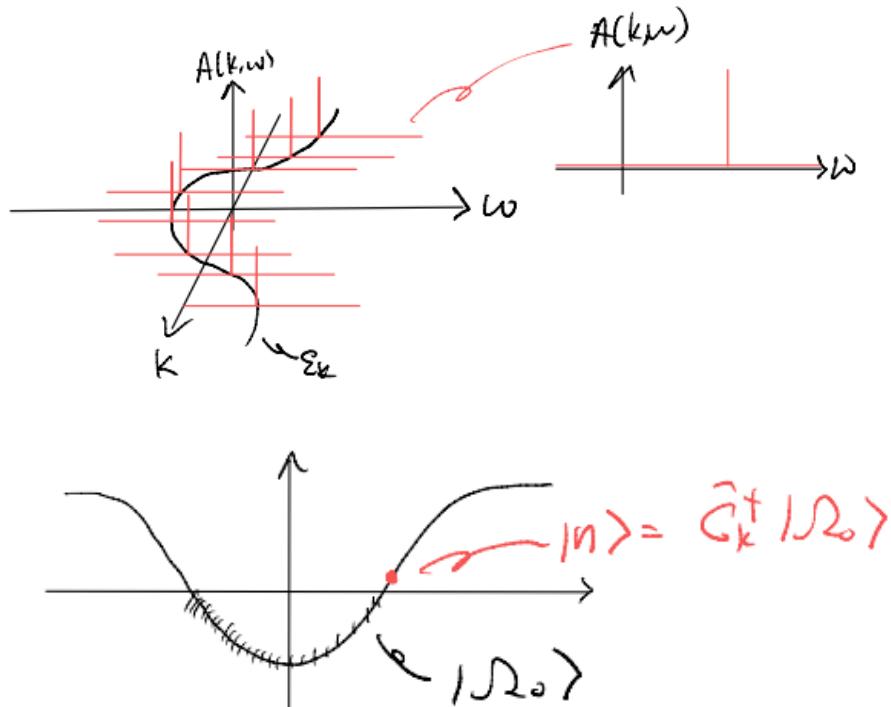
Therefore, it is common to talk about the “transfer of spectral weight”: the area under the spectral function a conserved quantity, and so it is meaningful to talk about its “transfer”.

From the spectral function, we can already picture what should happen when interaction kicks in. Let's start with the non-interacting limit (i.e., the spectral function corresponding to the bare propagator)

$$\begin{aligned} A_0(k, \omega) &= \frac{-1}{\pi} \Im \left[ \lim_{\delta \rightarrow 0^+} G_0(k, \omega + i\delta) \right] \\ &= \frac{-1}{\pi} \Im \left[ \lim_{\delta \rightarrow 0^+} \frac{1}{\omega - \varepsilon_k + i\delta} \right] \\ &= \delta(\omega - \varepsilon_k) \end{aligned}$$

In particular, the delta function has weight 1, as all the “area under the curve” has been hidden under the delta function. From the spectral decomposition itself, we see that this happens because there is exactly one eigenstate of  $\hat{H}_0$  which is reached by one electron addition / removal with the right momentum.

One may wonder what happens beyond the simple single-band picture. Generally speaking, even in the non-interacting limit one can get a few delta functions, with their respective weight corresponding to the overlap of the “test” electron compared to the eigenbasis. This is essentially the idea of a projected density-of-states in, e.g., DFT calculations.



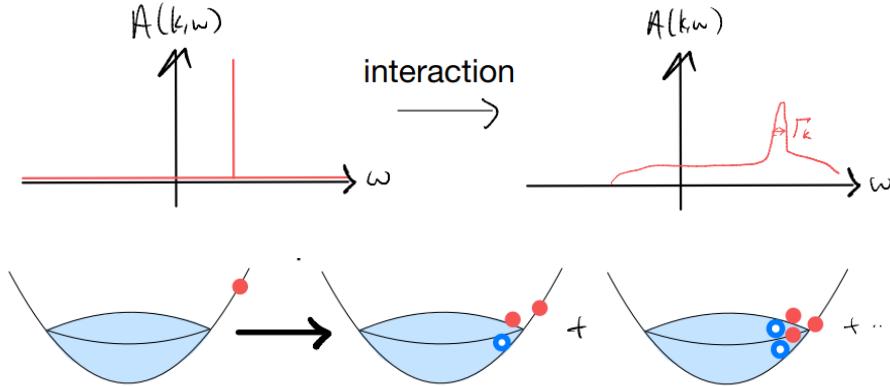
Now, let's ask what happens when we add interaction. As we have seen from the impurity-phonon problem already (beyond the Einstein model), we expect the delta functions to be smeared out into a continuous background:

What is the physical meaning of  $\Gamma_k$ ? From the uncertainty principle, we know that  $\Delta E \& \Delta t$  form a canonical pair. In other words, an infinitely sharp (i.e., a delta function), with an infinite precision in energy, corresponds to an infinite lifetime (indeed, that happens when one can construct an eigenstate of the Hamiltonian with exact that energy on top of the ground state). Alternatively, with a finite  $\Gamma_k$ , there is a finite uncertainty in  $E$ , and so we also expect a finite uncertainty in  $\Delta t$ . This suggests  $\frac{1}{\Gamma_k}$  corresponds to the lifetime of the quasi-particle.

How does interaction lead to a finite lifetime? Imagine creating an excitation on top of the Fermi sea:

In other words, as interaction mixes the states with the same number of electrons (one extra compared to the ground state), the state with “one electron added” becomes superposed with configuration like (1 hole + 2 electrons), (2 holes + 3 electrons) etc.

Now imagine an excitation with an infinitesimal energy compared to the ground state, and so infinitesimally close to the Fermi surface. In our cartoon above, such an excitation has “no where to go” since the particle-hole pair created accompanying its scattering will have to be even closer to the Fermi



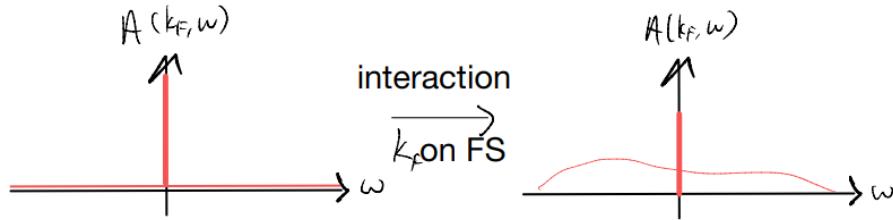
surface.

Heuristically, one expects the quasi-particle decay to be suppressed for excitations close to the Fermi surface. In 3D, the lifetime is given by

$$\tau_k \sim \frac{1}{\Gamma_k} \sim \frac{1}{\varepsilon_k^2}$$

where  $\varepsilon_k$  is the excitation energy. (A more accurate description requires a phase-space analysis, and in fact our hand-waving arguments fails in 1D.)

This observation implies that, in fact, our picture for the spectral function is qualitatively different when we consider momenta lying on the Fermi surface: in that case, we recover a delta function on top of a broad background:



Furthermore, by our “spectral weight conservation” argument, the area under the broad “incoherent” background consumes the weight of the delta function. This is usually denoted by the quasi-particle weight

$$\begin{cases} A(k_F, \omega) = Z_k \delta(\omega - \varepsilon_k) + A_{int} \\ Z_k \leq 1 \end{cases}$$

Physically, such a delta function manifests as a jump when the quantity is integrated. As it turns out, this quantity is simply the electron occupation

number (momentum distribution function). Consider

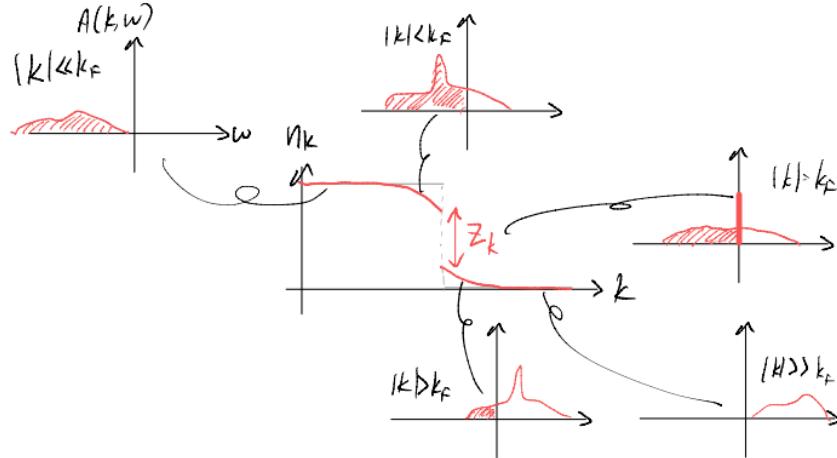
$$n_k = \langle \Omega | \hat{c}_k^\dagger \hat{c}_k | \Omega \rangle = \sum_n |\langle n | \hat{c}_k | \Omega \rangle|^2 = \sum_n |M_n(k)|^2$$

for the “1 hole” states. Comparing with the spectral function

$$A(k, \omega) = \sum_n |M_n(k)|^2 \delta a(\omega - \varepsilon_n)$$

where  $\varepsilon_n$  is positive (negative) for “1 electron (1 hole)” states

$$\Rightarrow n_k = \int_{-\infty}^0 d\omega A(k, \omega)$$



Such jump indicates the presence of infinitely long-lived electron-like quasi particle on the Fermi surface. This is the hallmark of a Landau Fermi liquid.

## 16.2 Interacting propagator: attempting a perturbative expansion

Having explored the qualitative features of the propagator, let us attempt to evaluate it. Recall

$$\begin{aligned} G_{\sigma\sigma}^F(k, t) &= (-i) \langle \Omega | \mathcal{T} \left[ \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \right] | \Omega \rangle_H \\ &= (-i) \frac{\langle \Omega_0 | \mathcal{T} \left[ \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \hat{S}(\infty, -\infty) \right] | \Omega_0 \rangle_I}{\langle \Omega_0 | \hat{S}(\infty, -\infty) | \Omega_0 \rangle_I} \end{aligned}$$

where the interaction-picture operator evolution is determined by that of the unperturbed, non-interacting problem  $\hat{H}_0$  (and so it is solvable). The interaction is all “hidden” in the S-matrix

$$\hat{S}(\infty, -\infty) = \mathcal{T} \left[ \exp \left( -i \int_{-\infty}^{\infty} dt' \hat{V}_I(t') \right) \right]$$

Assuming translation invariance, consider interaction of the form (c.f. PS4)

$$\hat{V} = \frac{1}{2} \sum_{pp'q} V(q) \sum_{\sigma\sigma'} \hat{c}_{p+q,\sigma}^\dagger \hat{c}_{p'-q,\sigma'}^\dagger \hat{c}_{p',\sigma'} \hat{c}_{p,\sigma}$$

here,  $q$  has the interpretation of a momentum transfer. Note also that, since the term is normal-ordered, it vanishes automatically if  $p = p'$  or  $2q = p' - p$ .

Let us now attempt to expand the numerator directly in a power series of  $V$  (through the Dyson's series for the S-matrix):

0th:

$$(-i) \langle \Omega_0 | \mathcal{T} \left[ \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \right] | \Omega_0 \rangle = G_0^F(k, t)$$

1st:

$$\frac{(-i)^2}{2} \sum_{pp'q} V(q) \sum_{\mu\mu'} \int_{-\infty}^{\infty} dt_1 \langle \Omega_0 | \mathcal{T} \left[ \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \hat{c}_{p,\mu}(t_1) \right] | \Omega_0 \rangle$$

The core part of the evaluation is the time-ordered expectation value for the product of three fermion creation and three annihilation operators. Since our unperturbed ground state is a Gaussian state, we can use Wick's theorem

$$\langle \cdots \rangle_{\mathcal{T}} \mapsto \langle \Omega_0 | \mathcal{T}[\cdots] | \Omega_0 \rangle$$

$$\begin{aligned} & \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \sim (123) - (132) + (312) - (321) + (231) - (213) \\ & = \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \quad - \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \quad + \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{p+q,\mu}^\dagger(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \quad - \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{p+q,\mu}^\dagger(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \quad + \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{p'-q,\mu'}^\dagger(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \\ & \quad - \left\langle \hat{c}_{k\sigma}(t) \hat{c}_{p'-q,\mu'}^\dagger(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{p+q,\mu}^\dagger(0) \hat{c}_{p',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{k\sigma}^\dagger(0) \hat{c}_{p,\mu}(t_1) \right\rangle_{\mathcal{T}} \end{aligned}$$

Imagine writing down all these without copy-and-pasting! Certainly it calls for a more paper-saving representation. If you still remember, performing the “full contraction” is closely related to problem of “matching” on a graph.

$$\hat{C}_{k\sigma}(t)$$

$$\hat{C}_{p,q,\mu}(t_i)$$

$$\hat{C}_{p',q',\mu}(t_i)$$

$$\hat{C}_{k\sigma}^+(0)$$

$$\hat{C}_{p+q,\mu}^+(t_i)$$

$$\hat{C}_{p'+q',\mu}^+(t_i)$$

Along the same line, let us use six vertices to represent the six operators we need to contract

For instance, the first of the six terms above becomes

$$\begin{aligned} & \langle \hat{C}_{k\sigma}(t) \hat{C}_{k\sigma}^+(0) \rangle_P \langle \hat{C}_{p,q,\mu}^+(t_i) \hat{C}_{p',\mu}(t_i) \rangle_P \langle \hat{C}_{p+q,\mu}^+(t_i) \hat{C}_{p,\mu}(t_i) \rangle_P \\ &= \begin{array}{ccc} \hat{C}_{k\sigma}(t) & \hat{C}_{p,\mu}(t_i) & \hat{C}_{p',\mu}(t_i) \\ \uparrow & \downarrow & \downarrow \\ \hat{C}_{k\sigma}^+(0) & \hat{C}_{p+q,\mu}^+(t_i) & \hat{C}_{p'+q',\mu}^+(t_i) \end{array} \quad (1) \end{aligned}$$

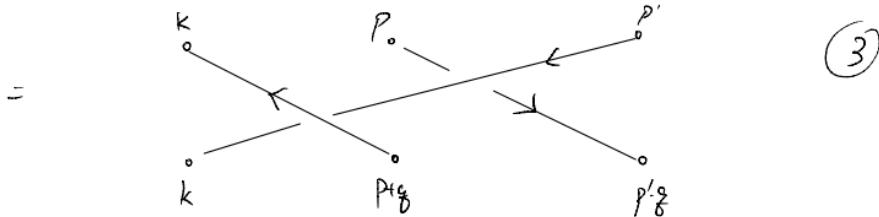
By the same token, the second term becomes

$$\begin{aligned} & - \langle \hat{C}_{k\sigma}(t) \hat{C}_{k\sigma}^+(0) \rangle_P \langle \hat{C}_{p+q,\mu}^+(t_i) \hat{C}_{p',\mu}(t_i) \rangle_P \langle \hat{C}_{p',q',\mu}^+(t_i) \hat{C}_{p,\mu}(t_i) \rangle_P \\ &= - \begin{array}{ccc} k & p & p' \\ \uparrow & \searrow & \swarrow \\ k & p+q & p'+q' \end{array} \quad (2) \end{aligned}$$

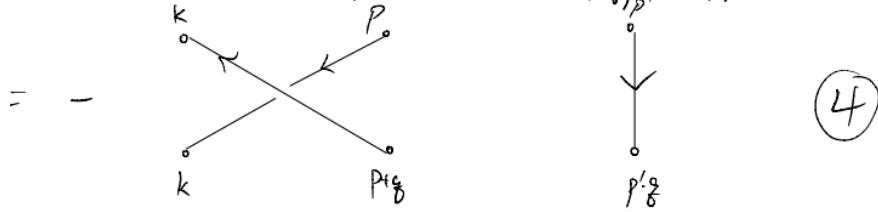
The reset follow similarly:

Note that some relative sign changes appear in the diagrams above. Here, essentially one sign change accompanies every crossing off the lines: starting from one crossing-free diagram, every crossing corresponds to an exchange of two fermion positions, which leads to a sign change. Furthermore, recall that

$$+ \langle \hat{C}_{k\sigma}(t) \hat{C}_{p'q'\mu}^\dagger(t_i) \rangle_p \langle \hat{C}_{k\sigma}^\dagger(0) \hat{C}_{p'\mu}(t_i) \rangle_p \langle \hat{C}_{p'q'\mu}^\dagger(t_i) \hat{C}_{p'\mu}(t_i) \rangle_p$$

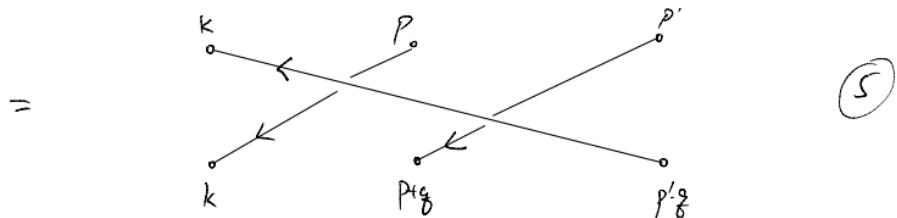


$$- \langle \hat{C}_{k\sigma}(t) \hat{C}_{p'q'\mu}^\dagger(t_i) \rangle_p \langle \hat{C}_{k\sigma}^\dagger(0) \hat{C}_{p'\mu}(t_i) \rangle_p \langle \hat{C}_{p'q'\mu}^\dagger(t_i) \hat{C}_{p'\mu}(t_i) \rangle_p$$

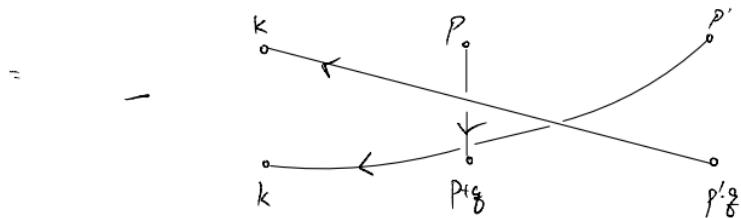


when we reverse the arrow of the propagator, we also acquire sign changes. At this stage it seems quite annoying to keep track of the overall sign. We will later see that, fortunately, there is a simple way to keep track.

$$+ \langle \hat{C}_{k\sigma}(t) \hat{C}_{p'q'\mu}^+(t) \rangle_P \langle \hat{C}_{p'q'\mu}^+(t) \hat{C}_{p',\mu}(t) \rangle_P \langle \hat{C}_{k\sigma}^+(0) \hat{C}_{p',\mu}(t) \rangle_P$$



$$- \langle \hat{C}_{k\sigma}(t) \hat{C}_{p'q'\mu}^+(t) \rangle_P \langle \hat{C}_{p'q'\mu}^+(t) \hat{C}_{p',\mu}(t) \rangle_P \langle \hat{C}_{k\sigma}^+(0) \hat{C}_{p',\mu}(t) \rangle_P$$



# Chapter 17

## Lec17 20220401

Topics

1. Feynman diagrams
2. Linked cluster theorem

Goals

1. Understanding the relation between diagrams and Green's functions
2. Introducing common techniques in diagrammatic

Last time, we discussed how one might use diagrams to organize the (many) contractions one obtains when evaluating a Dyson's series expansion of the full propagator. Recall, to the first order in  $V$ , we have six possible contraction patterns, which can be conveniently indicated by "matching" vertices in a pairwise manner.

However, we should not forget that our terms come with "coefficients" and integrals. E.g., focusing

$$\begin{aligned}
 & \frac{(-i)^2}{2} \sum_{\mathbf{p}\mathbf{p}'\mathbf{q}} V(\mathbf{q}) \sum_{\mu\mu'} \int_{-\infty}^{\infty} dt_1 \left\langle \hat{c}_{\mathbf{k}\sigma}(t) \hat{c}_{\mathbf{k}\sigma}^\dagger(0) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{\mathbf{p}'-\mathbf{q},\mu'}^\dagger(t_1) \hat{c}_{\mathbf{p}',\mu'}(t_1) \right\rangle_{\mathcal{T}} \left\langle \hat{c}_{\mathbf{p}+\mathbf{q},\mu}^\dagger(t_1) \hat{c}_{\mathbf{p},\mu}(t_1) \right\rangle_{\mathcal{T}} \\
 &= (-i) \left\langle \hat{c}_{\mathbf{k}\sigma}(t) \hat{c}_{\mathbf{k}\sigma}^\dagger(0) \right\rangle_{\mathcal{T}} \int_{-\infty}^{\infty} dt_1 \sum_{\mathbf{q}} \frac{(-i)V(\mathbf{q})}{2} \sum_{\mu'\mu'} \left\langle \hat{c}_{\mathbf{p}'-\mathbf{q},\mu'}^\dagger(t_1) \hat{c}_{\mathbf{p}',\mu'}(t_1) \right\rangle_{\mathcal{T}} \sum_{\mathbf{p}\mu} \left\langle \hat{c}_{\mathbf{p}+\mathbf{q},\mu}^\dagger(t_1) \hat{c}_{\mathbf{p},\mu}(t_1) \right\rangle_{\mathcal{T}} \\
 &= G_{\sigma\sigma}^F(k, t) \int_{-\infty}^{\infty} dt_1 \frac{(-i)V(q=0)}{2} \left( \sum_p \text{Tr}((-i)G_0^F(p, 0^-)) \right)^2
 \end{aligned}$$

where the internal and summed / integrated over variables are colored in red and external variables in blue. note that

$$\left\langle \hat{c}_{\mathbf{p}+\mathbf{q},\mu}^\dagger(t_1) \hat{c}_{\mathbf{p},\mu}(t_1) \right\rangle_{\mathcal{T}} = -\delta(q) \lim_{t \rightarrow 0^-} G_{0\mu}^F(p, t) = \delta(q) \hat{n}_p$$

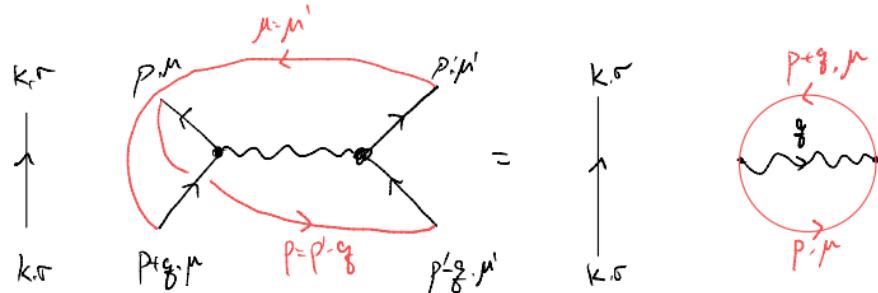
and that the integral  $\int_{-\infty}^{\infty} dt_1$  has nothing to integrate!

Instead of interpreting that as infinity, which is not very helpful, we can instead “regularize” it by claiming  $\int dt_1 = T$ , the duration of time in which we turn on the interaction.

Staring at the expression above, we see that the three propagators in the expression actually do rather different things. In particular, one of them is completely external (and has nothing to do with the interaction), whereas the other two effectively “caps” the interaction and gives us some integrals to do. In the same spirit as the diagrams we have drawn above, it will be natural to “complete” the diagram by indicating more clearly which of the propagators are related to the interaction:

$$\begin{aligned}
 & \text{loop} = \text{integral/ sum/ trace of the internal indices} \\
 & \text{disconnected} \\
 & G_{0,F}(k,t) \times \int dt_1 \times \sum_{\substack{P, P' \\ \mu, \mu'}} \sum_i (-G_{0,F}(p, 0^-)) \cdot \underbrace{(-i)^2}_{i} \underbrace{(-i)}_{\text{Tr}} \sqrt{g} \left( -G_{0,F}(p, 0^-) \right) \\
 & \quad \text{Tr} \rightarrow (2s+1) \text{ per loop} \\
 & = T \cdot G_{0,F}(k, t) (2s+1)^2 \left( \sum_p \bar{n}_p \right)^2 (-i) \sqrt{g} (q=0)
 \end{aligned}$$

Similarly, we may now draw / write down the second term



notice that we have traded the crossing with a loop, this suggests the sign

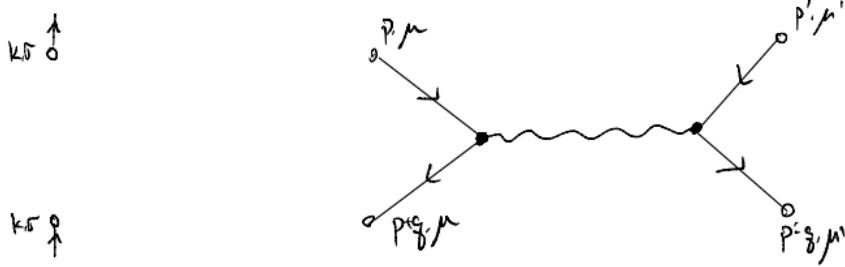
is now given by a loop counting (not proven here), and the term is

$$\begin{aligned} G_{0\sigma}^F(k, t) &\times \int dt_1 \sum_{pq} G_{0\mu}^F(p, 0^-) \frac{iV(q)}{2} G_{0\mu}^F(p+q, 0^-) \times (-2S-1) \\ &= -(2S+1) T G_{0\sigma}^F(k, t) \sum_{pq} \frac{-iV(q)}{2} n_{p+q} n_p \end{aligned}$$

Indeed, let us verify

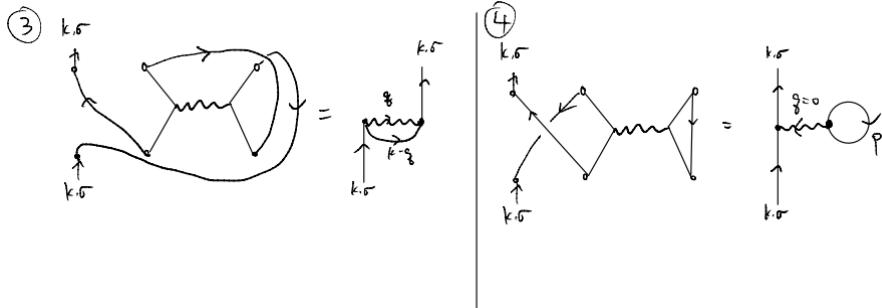
$$\begin{aligned} &-(-i)^2 \sum_{pp'q} \frac{V(q)}{2} \sum_{\mu\mu'} \int_{-\infty}^{\infty} dt_1 \underbrace{\left\langle \hat{c}_{k\sigma}(t) \hat{c}_{k\sigma}^\dagger(0) \right\rangle_T}_{iG_{0\sigma}^F(k, t)} \underbrace{\left\langle \hat{c}_{p+q,\mu}^\dagger(t_1) \hat{c}_{p',\mu'}(t_1) \right\rangle_T}_{\delta_{\mu\mu'} \hat{n}_{p+q} \delta(p+q-p')} \underbrace{\left\langle \hat{c}_{p'-q,\mu'}^\dagger(t_1) \hat{c}_{p,\mu}(t_1) \right\rangle_T}_{\hat{n}_p} \\ &= -\sum_{pq} \frac{-iV(q)}{2} T (2S+1) G_{0\sigma}^F(k, t) \hat{n}_{p+q} \hat{n}_p \end{aligned}$$

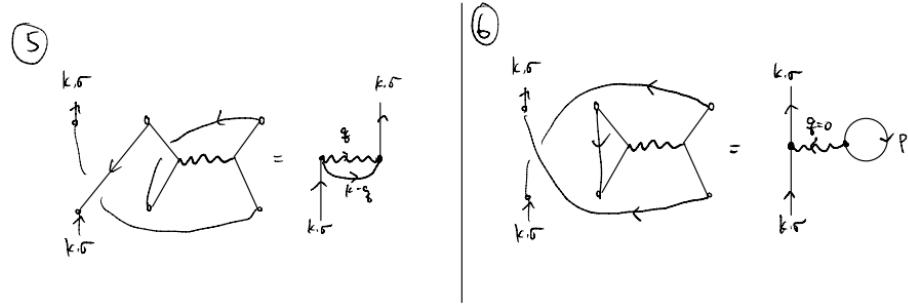
Hopefully, the idea is now clear: starting with the operator to be contracted, which we represent diagrammatically as



we “connect the dots” in all possible ways, as instructed by the Wick’s theorem. All terms here will lead to, schematically,  $\sim G \cdot G \cdot V \cdot G$ , but the contraction can pair various internal indices and so some parts may get combined. Furthermore, we have to keep track of the sign and multiplicity factors (in our context, one sign change and one factor of  $(2S+1)$  per fermion loop).

For instance, the rest of our terms become

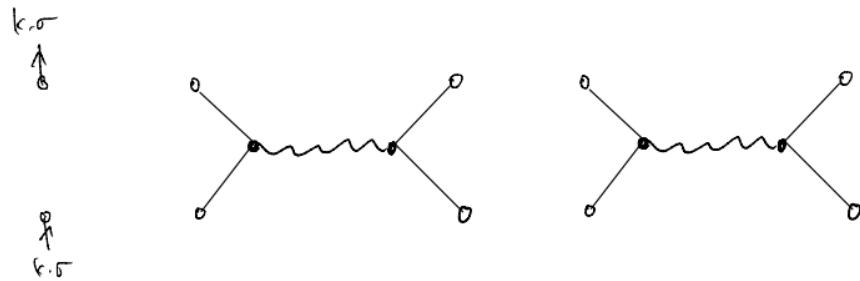




Combined, we see that these four diagrams, correspondingly initially to four distinct contraction patterns, actually give only two distinct terms. One could, and should, check that the prefactors and signs all agree, and as such we may write schematically that

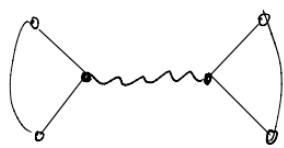
$$\begin{aligned}
 & (-i) \langle \mathcal{D}_0 | T[\hat{c}_{k,\sigma}(t) \hat{c}_{k,\sigma}^\dagger(t) e^{-i\int dt \sqrt{V(t)}}] | \mathcal{D}_0 \rangle \\
 &= \uparrow + \uparrow \times \left( \underbrace{\text{Diagram } 5 + \text{Diagram } 6}_{\sim V/2} \right) + \left( \underbrace{\text{Diagram } 7 + \text{Diagram } 8}_{\sim V} \right) + \dots
 \end{aligned}$$

Now we may start to guess how the higher order terms look like. For instance, suppose we consider a  $V^2$  term. We will begin by drawing what we ought to connect



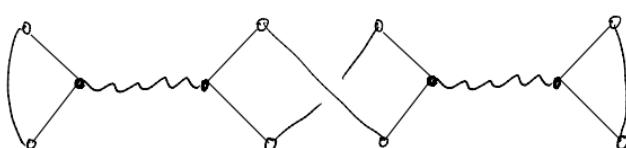
where we leave the internal variables implicit. For our current problem, we have 10 “vertices” (5 for  $\hat{c}$  and 5 for  $\hat{c}^\dagger$ ) to connect. For instance, one can have (skipping the directions)

$k, \sigma$



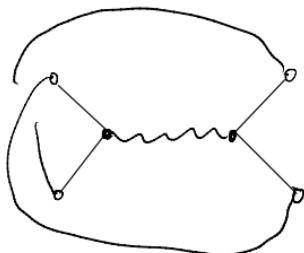
(a)

$k, \sigma$



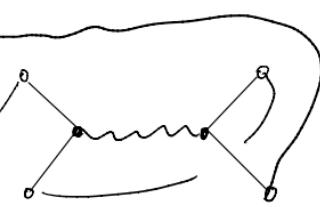
(b)

$k, \sigma$



(c)

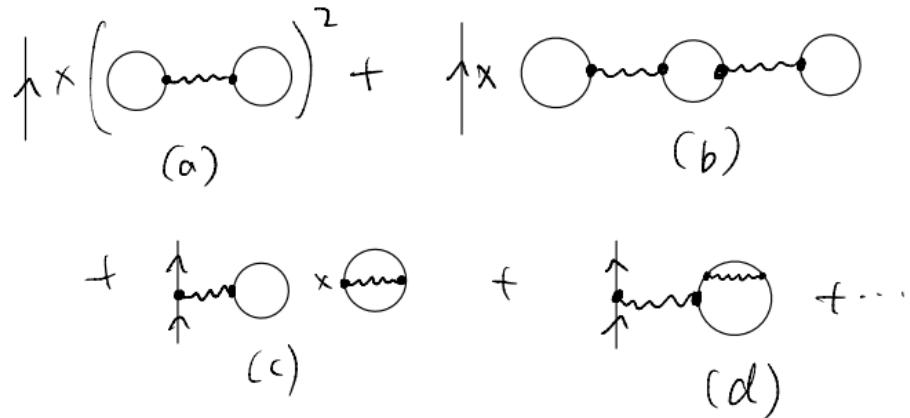
$k, \sigma$



(d)

...

We may clean up the drawings and arrive at a more compact form



Now, instead of what we have been doing, namely, first consider all the possible contractions, one could as well start directly with the “compact” diagrams and ask the reverse question of what the corresponding contraction is, and how many contractions are there which will give the same diagram. This “reversed” approach is essentially called “Feynman diagrams”, and the rules for converting the diagrams back to some integrals (corresponding to an actual term in the perturbative expansion) are called Feynman rules.

## 17.1 Linked-cluster theorem

In this process, a question naturally arises: how do we organize the diagrams? So far, we have only considered the order-by-order expansion in powers of  $V$ . That, however, is not necessarily the best organization principle. Instead, we could notice that,

$$\begin{aligned}
 & \left\langle T \left[ \hat{C}_k(\tau) \hat{C}_k^\dagger(\tau') e^{-i \int dt \tilde{V}(t)} \right] \right\rangle_T \\
 &= \underbrace{\uparrow + \uparrow \times \text{---} \circ \text{---} \circ + \uparrow \times \text{---} \circ \text{---} \circ}_{O(V^0)} + \underbrace{\uparrow \times \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ}_{O(V')} \\
 &+ \underbrace{\uparrow \times \text{---} \circ \text{---} \circ^2 + \uparrow \times \text{---} \circ \text{---} \circ^2 + \uparrow \times \text{---} \circ \text{---} \circ \times \text{---} \circ \text{---} \circ}_{O(V^2)} \\
 &+ \underbrace{\uparrow \times \text{---} \circ \text{---} \circ \text{---} \circ + \uparrow \times \text{---} \circ \text{---} \circ + \uparrow \times \text{---} \circ \text{---} \circ}_{O(V^2)} \\
 &+ \underbrace{\text{---} \circ \text{---} \circ \times \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ \times \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ \times \text{---} \circ \text{---} \circ}_{O(V^3)} \\
 &+ \underbrace{\text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \dots}_{O(V^3)} \\
 &= \uparrow \times (1 + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ^2 + \dots) \\
 &+ \text{---} \circ \text{---} \circ \times (1 + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ^2 + \dots) \\
 &+ \text{---} \circ \text{---} \circ \times (1 + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ^2 + \dots) \\
 &+ \text{---} \circ \text{---} \circ \times (1 + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ^2 + \dots) \\
 &+ \dots \\
 &= \left( \uparrow + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \dots \right) \\
 &\quad \times (1 + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ + \text{---} \circ \text{---} \circ^2 + \dots)
 \end{aligned}$$

In other words, in our brute-force expansion, many of the diagrams actually consist of disconnected pieces. Out of these disconnected pieces, exactly one depends on the external variables. The rest are all “(linked) loops” and so whatever variables they carry are dummy and eventually integrated / summed over. As such, we see that it is natural to factor out the “linked-cluster” terms,

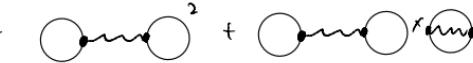
which get multiplied to all possible ways of forming “disconnected clusters of loops” which do not depend on our external variables.

What are these “purely internal” diagrams? Remember, from Gell-Mann-Low, we see that the full propagator takes the form of

$$\langle \Omega | \mathcal{T} [\hat{c}_k(t) \hat{c}_k^\dagger(0)] | \Omega \rangle = \frac{\langle \Omega_0 | \mathcal{T} [\hat{c}_k(t) \hat{c}_k^\dagger(0) \exp(-i \int_{-\infty}^{\infty} dt \hat{V}_I(t))] | \Omega_0 \rangle}{\langle \Omega_0 | \mathcal{T} [\exp(-i \int_{-\infty}^{\infty} dt \hat{V}_I(t))] | \Omega_0 \rangle}$$

So far, we only focused on the numerator. Let us imagine performing the same kind of perturbative expansion for the denominator.

$$\langle \Omega_0 | \mathcal{T} [e^{-i \int dt \hat{V}(t)}] | \Omega_0 \rangle = 1 + \text{Diagram 1} + \text{Diagram 2} + \dots$$

+  + 

+ ...

Diagrammatically, we see that we necessarily get what we have factored out above! This is almost a consequence of tautology: in the numerator, we factor out everything that is “purely internal”, and the denominator is, indeed, “purely internal”. On top of that, they follow the same set of contraction / diagram-drawing rules, and so they must look the same.

The only question, therefore, is whether or not all the details like signs and coefficients will exactly agree with each other. The answer is a reassuring yes, and we conclude

$$\begin{aligned} \langle \Omega | \mathcal{T} [\hat{c}_k(t) \hat{c}_k^\dagger(0)] | \Omega \rangle &= \frac{(1 + \text{Diagram 1} + \text{Diagram 2} + \dots) \times (\cancel{1 + \text{Diagram 1} + \text{Diagram 2} + \dots})}{(\cancel{1 + \text{Diagram 1} + \text{Diagram 2} + \dots})} \\ &= \underbrace{1 + \text{Diagram 1} + \text{Diagram 2} + \dots}_{\text{the linked clusters!}} \end{aligned}$$

i.e., although we worried about how to properly count powers of  $V$  given the cancellation from the denominator, this can be fixed by simply focusing on the diagrams which do not contain any disconnected pieces! This is called the linked-cluster theorem. Of course we only motivated why the linked-cluster theorem makes sense, and didn’t actually prove it. There are usually two approaches to prove it:

1. Show that, indeed, these terms in the numerator and denominator cancel out with all the signs and factors agreeing with each other;
2. Go back to the statistics mechanics correspondence, in which the linked-cluster diagrams emerge naturally upon taking the log (and in the statistics mechanics context this is called the cumulant expansion)

In the interest of time, we will not prove it here (we are not in a position to do so anyway: the heuristic discussion above doesn't contain enough details to really establish the theorem). If you are interested, you can consult Coleman-7.2 for a cool argument along route(2), through introducing the generating functional and a replica trick for  $\ln(S)$



# Chapter 18

## lec18 20220407

### Topics

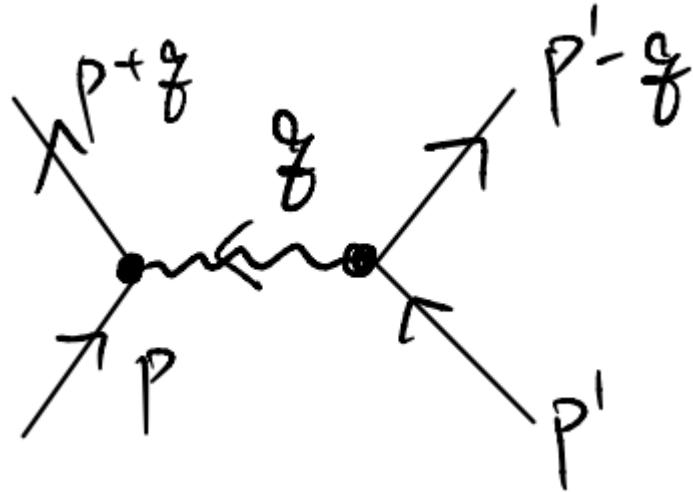
1. Frequency space Feynman diagrams
2. Self-energy
3. Jellium Hamiltonian

### Goals

1. Getting familiarized with how to translate Feynman diagrams to expressions / integrals in the frequency-momentum space
2. Appreciating how the interaction correction to the propagator can be grouped into one single quantity, the self-energy

### 18.1 Going to frequency space

So far, we have used a “hybrid” discussion with momentum and real time. We have seen that momentum is conserved at each vertex, e.g.,



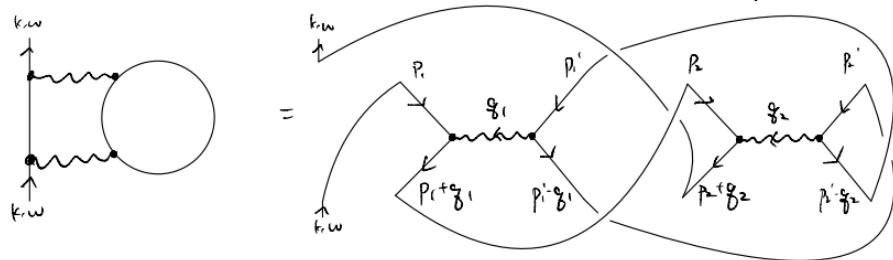
which is a consequence of the translation invariance of the full interacting Hamiltonian.

It will be natural to ask if a similar conservation holds for frequency (energy). We expect the answer to be yes, since we are considering a time-independent Hamiltonian. Let us just go through an example in some details to see how that comes about, which hopefully also helps us build up our technical muscle in translating diagrams into expressions.

Recall, the Fourier transform for the (bare) propagator is

$$G^F(k, \omega) = \int_{-\infty}^{\infty} dt G^F(k, t) e^{i\omega t} e^{-\eta|t|}$$

Consider a slightly more complicated diagram in  $G^F(k, \omega)$



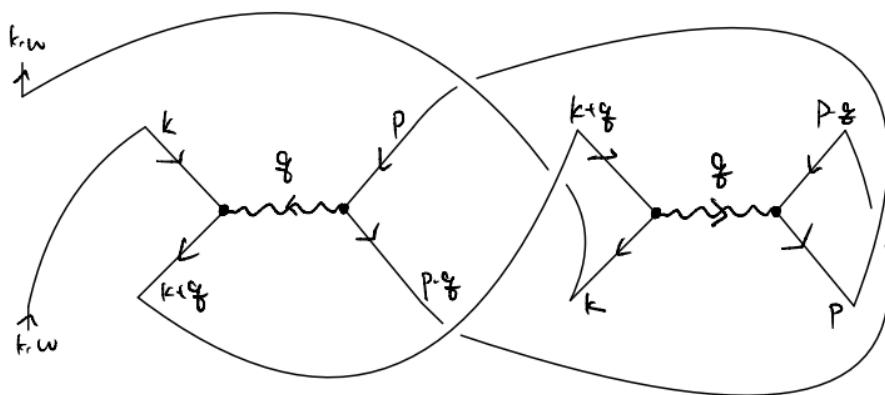
The contraction imposes delta-functions in the momenta, and it will be con-

venient to first consider the effects of that

$$\begin{cases} p_1 = k \\ p_2 = p_1 + q_1 \\ p_2 + q_2 = k \\ p_2' - q_2 = p_1' \\ p_1' - q_1 = p_2' \end{cases} \Rightarrow \begin{cases} p_1 = k \\ p_2 = k + q_1 \\ q_2 = -q_1 \\ p_2' = p_1' - q_1 \end{cases}$$

$$\Rightarrow \sum_{p_1 p_1' q_1 p_2 p_2' q_2} = \sum_{p_1' q_1}$$

i.e., there are only two independent internal momenta. In fact, it will be convenient (and more conventional) to label the diagram using these two momenta



This corresponds to the expression (suppressing spin)

$$\begin{aligned}
& \# \int dt dt_1 dt_2 e^{i\omega t} \sum_{pq} V(q) V(-q) \\
& \quad \times \left\langle \hat{c}_k(t) \hat{c}_k^\dagger(0) \hat{c}_{k+q}^\dagger \hat{c}_{p-q}^\dagger \hat{c}_p^\dagger \hat{c}_k^\dagger \hat{c}_p^\dagger \hat{c}_{p-q}^\dagger \hat{c}_{k+q}^\dagger \right\rangle_T \\
= & \# \int dt dt_1 dt_2 e^{i\omega t} \sum_{pq} V(q) V(-q) \\
& \quad \times \left\langle \hat{c}_k(t) \hat{c}_k^\dagger(0) \hat{c}_k^\dagger(0) \hat{c}_p^\dagger \right\rangle_T \left\langle \hat{c}_{k+q}^\dagger \hat{c}_{k+q}^\dagger \right\rangle_T \left\langle \hat{c}_{p-q}^\dagger \hat{c}_{p-q}^\dagger \right\rangle_T \left\langle \hat{c}_p^\dagger \hat{c}_p^\dagger \right\rangle_T \\
\sim & \# \int dt dt_1 dt_2 e^{i\omega t} \sum_{pq} V(q) V(-q) \\
& \quad \times G_0^F(k, t - t_2) (-G_0^F(k, t_1)) (-G_0^F(k + q, t_2 - t_1)) (-G_0^F(p - q, t_2 - t_1)) G_0^F(p, t_1 - t_2) \\
& \quad \Downarrow G_0^F(k, t) = \int \frac{d\omega}{2\pi} G_0^F(k, \omega) e^{-i\omega t} \\
= & \# \int dt dt_1 dt_2 \sum_{pq} e^{i\omega t} e^{-i\omega_1(t-t_2)} e^{-i\omega_2 t_1} e^{-i\omega_3(t_2-t_1)} e^{-i\omega_4(t_2-t_1)} e^{-i\omega_5(t_1-t_2)} \\
& \quad \times V(q) V(-q) G_0^F(k, \omega_1) G_0^F(k, \omega_2) G_0^F(k + q, \omega_3) G_0^F(p - q, \omega_4) G_0^F(p, \omega_5)
\end{aligned}$$

Let's focus on the phases

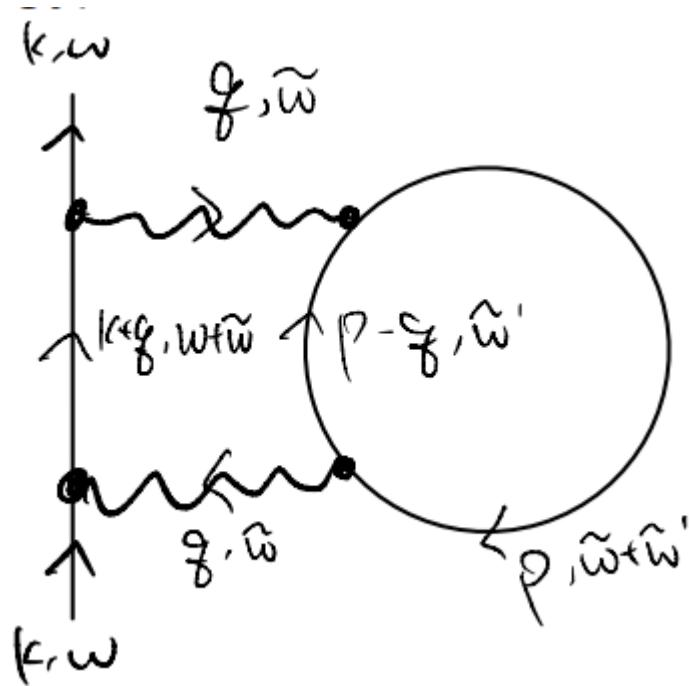
$$\int dt dt_1 dt_2 e^{i(\omega - \omega_1)t} e^{i(-\omega_2 + \omega_3 + \omega_4 - \omega_5)t_1} e^{i(\omega_1 - \omega_3 - \omega_4 + \omega_5)t_2}$$

$$\Rightarrow \begin{cases} \omega_1 = \omega \\ \omega_2 = \omega_3 + \omega_4 - \omega_5 \\ \omega_5 = \omega_3 + \omega_4 - \omega_1 \end{cases} \Rightarrow \begin{cases} \omega_1 = \omega \\ \omega_2 = \omega \\ \omega_3 = \omega + \omega_5 - \omega_4 \end{cases}$$

i.e., there are only two independent internal frequencies, which we may choose to parameterize as

$$\begin{aligned}
& \# \int \frac{d\tilde{\omega} d\tilde{\omega}}{(2\pi)^2} \sum_{pq} V(q) V(-q) \\
& \quad V(q) V(-q) G_0^F(k, \omega) G_0^F(k, \omega) G_0^F(k + q, \omega + \tilde{\omega}) G_0^F(p - q, \tilde{\omega}') G_0^F(p, \tilde{\omega} + \tilde{\omega}'')
\end{aligned}$$

Of course, it would have been much easier to label the frequency in the original diagram, simply by imposing a “frequency (i.e., energy) conservation at every vertex”:



(Note: the wavy lines do not actually depend on the frequency we attached to them, since we considered instantaneous interactions)

Now it should be clearer how to translate the diagram into an expression: we first label all the lines with momentum and frequencies (i.e., 4-momentum in the relativistic case), with the understanding that any internal variables are integrated / summed over. Then each fermion line corresponds to a bare fermion propagator  $G_0^F(k, \omega)$ , whereas each wavy line corresponds to an interaction term  $V(q)$ .

The remaining question, important for actual calculations, concerns the prefactor which we did not keep track of (deliberately). It is affected by

1. factors of  $-i$ : this can be absorbed into the “dictionary”
2. fermionic sign and spin degeneracy: each fermion loop contributes a factor of  $-(2S + 1)$
3. “symmetry factor”: generally speaking, different contraction patterns can lead to the same diagram up to relabeling, and this cancels (partly) the combinatorial factors appearing in the expansion of the exponential. However, high-symmetry diagrams generally appear a fewer number of times than a “generic” diagram, since some “relabelings” collide. This gives a symmetry factor for the diagram.

At this stage, almost every field-theory textbook contains a box (or two) called “the Feynman rules”. Let us not repeat them here beyond the sketch

above. Instead, see, e.g., Coleman 7.2.

## 18.2 Dyson's equation and self-energy

Clearly, it was very tedious to keep track of all these factors. It makes sense for us to abstract the expression a bit by writing / drawing

$$G_0^F(k, \omega) \left( \int \dots \right) G_0^F(k, \omega) = G_0^F(k, \omega) \Sigma(k, \omega) G_0^F(k, \omega)$$

Furthermore, we have only considered one particular term in the perturbative expansion among the many. One can imagine having arbitrarily complicated diagrams. It will be natural to group all these possibilities into some general blob. That brings us to the notion of Dyson's equation and self-energy.

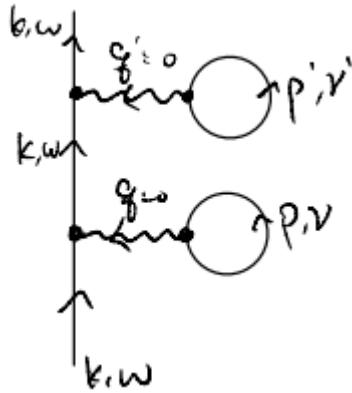
Our general goal will, again, be ensuring that redundant pieces in the perturbative analysis can be simplified as much as possible. To appreciate how, let us consider expanding the full propagator in terms of the connected diagrams:

$$\begin{array}{c} \parallel \\ \parallel \end{array} = \begin{array}{c} \uparrow \\ \downarrow \end{array} + \begin{array}{c} \text{wavy line} \\ \text{circle} \end{array} + \begin{array}{c} \text{blob} \\ \text{circle} \end{array} + \begin{array}{c} \text{blob} \\ \text{circle} \end{array} + \begin{array}{c} \text{circle} \\ \text{wavy line} \end{array} + \begin{array}{c} \text{circle} \\ \text{wavy line} \end{array} + \dots \\ + \begin{array}{c} \text{two circles} \\ \text{wavy line} \end{array} + \begin{array}{c} \text{two circles} \\ \text{wavy line} \end{array} + \begin{array}{c} \text{two circles} \\ \text{wavy line} \end{array} + \dots \end{array}$$

We see that the higher-order terms are basically built around the basic first-order terms taking the form

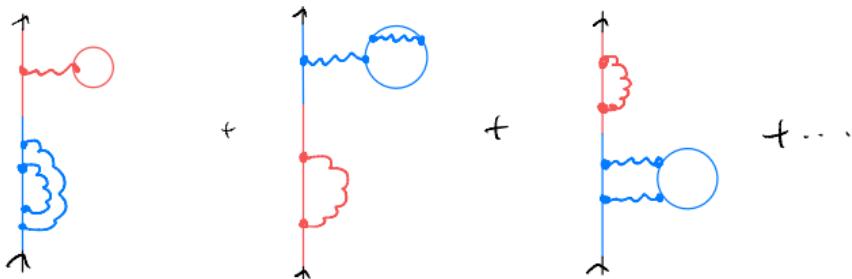


Of course, “built” is a vague word to use here. To be more precise, we see that the last two terms are special, in that they are the only ones (among the ones drawn) for which three out of the five bare propagators are at momentum  $k$ . Indeed, let us translate one of them into explicit expressions

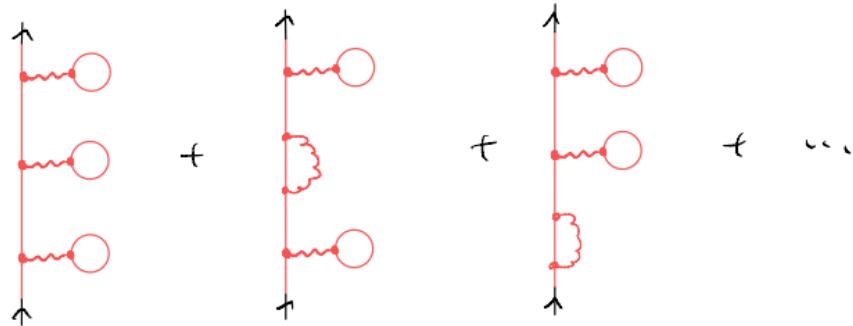


$$\begin{aligned}
 & G_0^F(k, \omega) \left( V(q=0) \int \frac{d\nu dp}{(2\pi)^{d+1}} \text{Tr}(G_0^F(p, 0^-)) \right) \\
 & \times G_0^F(k, \omega) \times \left( V(q'=0) \int \frac{d\nu' dp'}{(2\pi)^{d+1}} \text{Tr}(G_0^F(p', 0^-)) \right) \times G_0^F(k, \omega) \\
 & = G_0^F(k, \omega) \blacksquare G_0^F(k, \omega) \blacksquare G_0^F(k, \omega)
 \end{aligned}$$

These kind of terms exist at all orders. E.g., keeping the same form of  $G_0^F(k, \omega) \blacksquare G_0^F(k, \omega) \blacksquare G_0^F(k, \omega)$  but at order  $V^3$ :



Notice how the blue parts correspond to the “non-simple” terms in our  $O(V^2)$  discussion. And, Also at order  $V^3$ , we can have terms of the form  $G_0^F(k, \omega) \blacksquare G_0^F(k, \omega) \blacksquare G_0^F(k, \omega) \blacksquare G_0^F(k, \omega)$

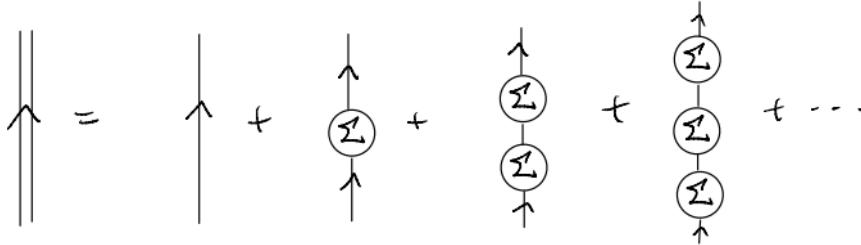


Hopefully we have grasped the pattern emerging: the expansion of the full propagator in terms of the connected diagrams can be rewritten schematically as

$$\begin{aligned}
 \overleftrightarrow{\Gamma} &= \overleftrightarrow{\Gamma}_0 + \Sigma_1 + \Sigma_2 + \Sigma_3 + \dots \\
 \Sigma_i &= \underbrace{\text{wavy circle}}_{\mathcal{O}(V)} + \underbrace{\text{loop}}_{\mathcal{O}(V^2)} + \underbrace{\text{loop}}_{\mathcal{O}(V^2)} + \underbrace{\text{loop}}_{\mathcal{O}(V^2)} + \underbrace{\text{loop}}_{\mathcal{O}(V^2)} + \underbrace{\text{loop}}_{\mathcal{O}(V^2)} + \dots \\
 &\quad + \underbrace{\text{loop}}_{\mathcal{O}(V^3)} + \dots
 \end{aligned}$$

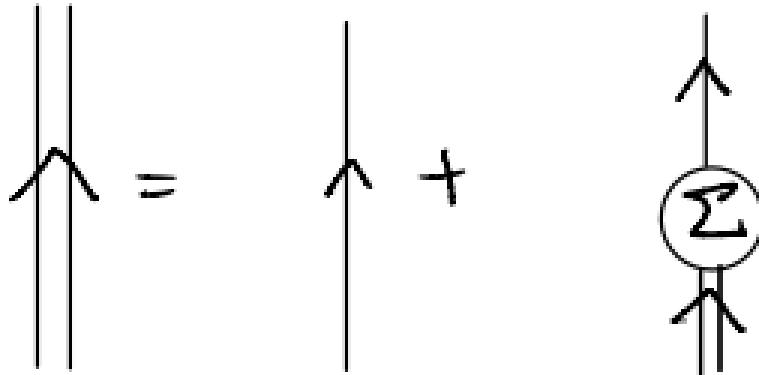
From this, we see that we can further restrict our attention to some special classes of diagrams: instead of considering all connected diagrams, it suffices to consider those diagrams which have the following property: it stays connected even if we cut one “internal” fermion line open. We call them “one-particle irreducible”, abbreviated as 1PI.

As promised, we arrive at yet another great simplification of the (formal) analysis by introducing  $\Sigma$ . Translating the diagrams back to equations (suppressing the frequency-momentum dependence)



$$G^F = G_0^F + G_0^F \Sigma G_0^F + G_0^F (\Sigma G_0^F)^2 + G_0^F (\Sigma G_0^F)^3 + \dots$$

As written, it is suggestive that we are simply summing over a geometric series. Indeed, using essentially the same old trick, we see that the expansion above can be drawn / written succinctly as



$$\begin{aligned} G^F &= G_0^F + G_0^F \Sigma G^F \\ \Rightarrow (1 - G_0^F \Sigma) G^F &= G_0^F \\ \Rightarrow G^F(k, \omega) &= \frac{1}{1 - G_0^F(k, \omega) \Sigma(k, \omega)} G_0^F(k, \omega) \end{aligned}$$

where in the last line, we reinstate the  $(k, \omega)$  dependence.

To summarize, although we claimed it would be a hard task to compute the “full propagator” in an interacting problem, we can actually condense the entire calculation to that of computing the self-energy  $\Sigma(k, \omega)$ . Contrast this with the naive approach, in which we expand the numerator and denominator separately, order-by-order!

### 18.3 Jellium, or, homogeneous electron gas

Having built the machinery needed to tackle interacting quantum many-body problems (perturbatively), let us go back to our motivating example: electrons in free space interacting with each other through Coulomb interaction.

Instead of just having the electrons all by themselves at zero temperature, however, we know that, in practice, almost all “low temperature” systems are electrically neutral. Otherwise, the Coulomb energy diverges as we inter-particle spacing approaches zero. As such, let us instead imagine a homogenous system in which we have a uniform background charge distribution which cancels exactly the charge of the charge of the electron.

The modified interaction is now (passing to a continuum description)

$$\hat{V} = \frac{e^2}{2} \int d^3r d^3r' \frac{(\hat{\rho}(r) - \rho(0))(\hat{\rho}(r') - \rho(0))}{|r - r'|}$$

$$\rho_0 = \langle \hat{\rho}(r) \rangle$$

where the electron density is

$$\hat{\rho}(r) = \sum_{\sigma} \hat{\Psi}_{r\sigma}^{\dagger} \hat{\Psi}_{r\sigma}$$

# Chapter 19

## lec19 20220408

### Topics

1. Jellium: positive background charge
2. Hartree-Fock (self-)energy
3. Dielectric function, effective interaction, and RPA

### Goals

1. Putting our formalism to use
2. A first taste on physics of interacting electrons

Recall the jellium model Hamiltonian

$$\hat{H} = \int \frac{d^3 p}{(2\pi)^3} \varepsilon_p \sum_{\sigma} \hat{\psi}_{p\sigma}^\dagger \hat{\psi}_{p\sigma} + \frac{e^2}{2} \int d^3 r d^3 r' \frac{(\hat{\rho}(r) - \rho(0)) (\hat{\rho}(r') - \rho(0))}{|r - r'|}$$

in which we assumed the presence of a positive, neutralizing background uniform charge of  $e\rho_0$  such that the Coulomb energy only depends on the variation of local charge density, and equals to zero when we replace  $\langle \hat{\rho}(r) \rangle \rightarrow \rho_0$ . As the ground state is uniform (or, at least, we assume that is the case), it will be interesting to ask the following: is there an interaction energy in the ground state?

To answer this question, it will be helpful to first Fourier transform into the momentum space. Here we define

$$\hat{\psi}_{r\sigma}^\dagger = \int \frac{d^3 k}{(2\pi)^3} \hat{\psi}_{k\sigma}^\dagger e^{-ikr}$$

$$\hat{\psi}_{k\sigma}^\dagger = \int d^3 r \hat{\psi}_{r\sigma}^\dagger e^{ikr}$$

where we used the “plane-wave” normalization

$$\int d^3r e^{ikr} = (2\pi)^3 \delta(k)$$

In momentum space, the density operator reads

$$\hat{\rho}(r) = \int \frac{d^3k d^3p}{(2\pi)^6} \sum_{\sigma} \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{p\sigma} e^{-i(k-p)r}$$

and the number of electrons is

$$\begin{aligned} N_e &= \int d^3r \hat{\rho}(r) \\ &= \int d^3r \frac{d^3k d^3p}{(2\pi)^6} \sum_{\sigma} \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{p\sigma} e^{-i(k-p)r} \\ &= \int \frac{d^3k}{(2\pi)^3} \sum_{\sigma} \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{k\sigma} \\ \hat{n}_k &= \sum_{\sigma} \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{k\sigma} \end{aligned}$$

The interaction term is now given by

$$\begin{aligned} \hat{V} &= \frac{e^2}{2} \int d^3r d^3r' : (\hat{\rho}(r) - \rho(0)) (\hat{\rho}(r') - \rho(0)) : V(r - r') \\ &= \frac{e^2}{2} \int d^3r d^3r' : \hat{\rho}(r) \hat{\rho}(r') : V(r - r')^{(1)} \\ &\quad - e^2 \rho_0 \int d^3r d^3r' \hat{\rho}(r) V(r - r')^{(2)} + \frac{e^2 \rho_0^2}{2} \int d^3r d^3r' V(r - r')^{(3)} \end{aligned}$$

Let us look at these three terms one-by-one

$$\begin{aligned} (1) &= \frac{e^2}{2} \int d^3r d^3r' \frac{d^3k d^3p d^3k' d^3p'}{(2\pi)^{12}} \\ &\quad \times \sum_{\sigma\sigma'} e^{-i(k-p)r} e^{-i(k'-p')r} V(r - r') : \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{p\sigma} \hat{\psi}_{k'\sigma'}^{\dagger} \hat{\psi}_{p'\sigma'} : \end{aligned}$$

Let  $R = r + r'$  and  $\delta_r = r - r'$

$$\begin{aligned} (1) &= \frac{e^2}{16} \int d^3R d^3\delta_r \frac{d^3k d^3p d^3k' d^3p'}{(2\pi)^{12}} \\ &\quad \times \sum_{\sigma\sigma'} e^{-i(k-p+k'-p')R/2} e^{-i(k-p-k'+p')\delta_r/2} V(\delta_r) : \hat{\psi}_{k\sigma}^{\dagger} \hat{\psi}_{p\sigma} \hat{\psi}_{k'\sigma'}^{\dagger} \hat{\psi}_{p'\sigma'} : \end{aligned}$$

Integrating over the center of mass  $R$  gives

$$\int d^3R e^{-i(k-p+k'-p')R/2} = 8(2\pi)^3 \delta(k - p + k' - p')$$

$$\Rightarrow \begin{cases} k = p + q \\ k' = p' - q \end{cases}$$

$$V(q) = \int d^3 \delta_r V(\delta_r) e^{-iq\delta_r}$$

$$(1) = \frac{e^2}{2} \int \frac{d^3 p d^3 p' d^3 q}{(2\pi)^9} V(q) \sum_{\sigma\sigma'} : \hat{\psi}_{p+q,\sigma}^\dagger \hat{\psi}_{p'-q,\sigma'}^\dagger \hat{\psi}_{p'\sigma'} \hat{\psi}_{p\sigma} :$$

It will be instructive to look at the piece contributed by  $q = 0$ :

$$\begin{aligned} &\Rightarrow \frac{e^2}{2} \int \frac{d^3 p d^3 p'}{(2\pi)^6} \frac{V(q=0)}{\mathcal{V}} \sum_{\sigma\sigma'} : \hat{\psi}_{p,\sigma}^\dagger \hat{\psi}_{p\sigma} \hat{\psi}_{p',\sigma'}^\dagger \hat{\psi}_{p'\sigma'} : \\ &= \frac{e^2}{2} \frac{V(q=0)}{\mathcal{V}} : \left( \int \frac{d^3 p}{(2\pi)^3} \hat{n}_p \right)^2 : \\ &= \frac{e^2}{2} V(q=0) N_e \rho_0 \end{aligned}$$

$$\begin{aligned} (2) &= -e^2 \rho_0 \int d^3 r d^3 r' \frac{d^3 k d^3 p}{(2\pi)^6} \frac{\sum_\sigma \hat{\psi}_{k\sigma}^\dagger \hat{\psi}_{p\sigma} e^{-i(k-p)r}}{|r - r'|} \\ &= -8e^2 \rho_0 \int d^3 R d^3 \delta_r \frac{d^3 k d^3 p}{(2\pi)^6} \frac{\sum_\sigma \hat{\psi}_{k\sigma}^\dagger \hat{\psi}_{p\sigma} e^{-i(k-p)R/2} e^{-i(k-p)\delta_r/2}}{|\delta_r|} \\ &= -e^2 \rho_0 \int \frac{d^3 k}{(2\pi)^3} \sum_\sigma \hat{\psi}_{k\sigma}^\dagger \hat{\psi}_{k\sigma} \int d^3 \delta_r V(\delta_r) \\ &= -e^2 \rho_0 N_e V(q=0) \end{aligned}$$

$$\begin{aligned} (3) &= \frac{e^2 \rho_0^2}{2} \int d^3 r d^3 r' V(r - r') \\ &= \frac{e^2 \rho_0^2 \mathcal{V}}{2} \int d^3 \delta_r V(\delta_r) \\ &= \frac{e^2 \rho_0 N_e}{2} V(q=0) \end{aligned}$$

Combined, we have

$$(2) + (3) = -\frac{e^2 \rho_0 N_e}{2} V(q=0)$$

But this is, as anticipated, exactly the  $q = 0$  piece in (2). This gives

$$\hat{V} = \frac{1}{2} \int \frac{d^3 p d^3 p' d^3 q}{(2\pi)^9} V^*(q) \sum_{\sigma\sigma'} : \hat{\psi}_{p+q,\sigma}^\dagger \hat{\psi}_{p'-q,\sigma'}^\dagger \hat{\psi}_{p'\sigma'} \hat{\psi}_{p\sigma} :$$

where, using the Fourier transform of the Coulomb potential, we have

$$V^*(q) = \begin{cases} \frac{4\pi e^2}{q^2}, & \text{if } q \neq 0 \\ 0, & \text{if } q = 0 \end{cases}$$

In other words, the positive background charge precisely cancels the  $q = 0$  piece of the Coulomb potential. As we will soon see this is intuitive.

For simplicity, we simply write  $V(q)$  instead of  $V^*(q)$  in the following, with the understanding that the  $q = 0$  piece has been removed.

## 19.1 Hartree-Fock (self-)energy

As an application of the perturbative theory we discussed, let's look at the self-energy of the electron in the jellium model.

As mentioned, the self-energy consist of all 1PI diagram

$$\Sigma(k, \omega) = \text{[diagram]} + \text{[diagram]} + \text{[diagram]} + \text{[diagram]} + \dots$$

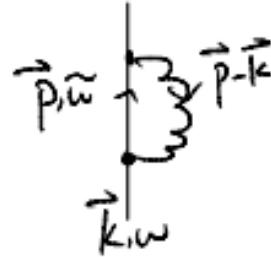
Keeping the lowest order contributions, we have only two terms:

$$\text{[diagram]} \sim V(q=0) \int \frac{d^3 p}{(2\pi)^3} G_0^F(p, \tilde{\omega})$$

$$V(q=0) \int \frac{d^3 p}{(2\pi)^3} G_0^F(p, \tilde{\omega})$$

But we have  $V(q=0) = 0$ ! In other words, this Hartree term vanishes identically in the jellium model. One way to phrase this is that, the positive background charges contribute a potential term which precisely cancel the Hartree term in the e-e interaction. (c.f. Coleman 7.7.1)

What about the Fock term? We have (restoring vector notation for clarity)

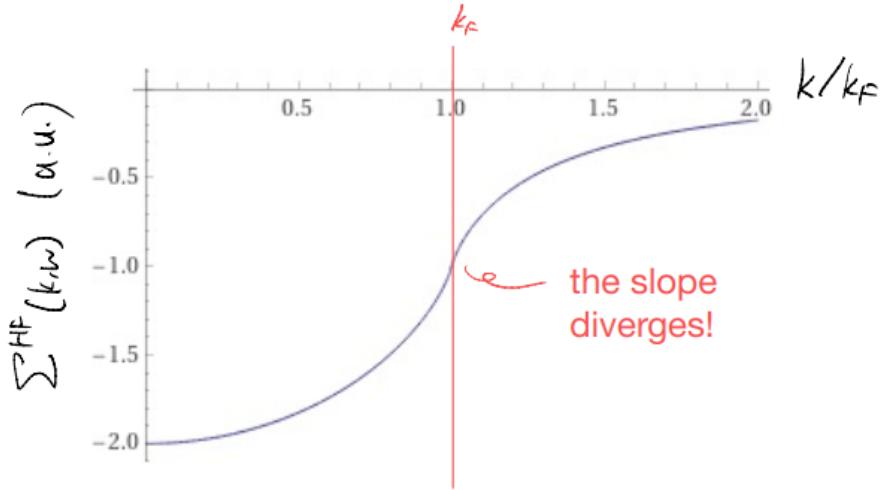


$$\begin{aligned}
&= \int \frac{d^3 \vec{p} d\tilde{\omega}}{(2\pi)^4} \left( iV(\vec{p} - \vec{k}) \right) G_0^F(\vec{p}, \tilde{\omega}) e^{i\omega_0^+} \\
&= \int \frac{d^3 \vec{p} d\tilde{\omega}}{(2\pi)^3} \frac{4\pi e^2}{(\vec{p} - \vec{k})^2} \int \frac{d\tilde{\omega}}{2\pi} iG_0^F(\vec{p}, \tilde{\omega}) e^{i\omega_0^+} \\
&\Downarrow iG_0^F(\vec{p}, t \rightarrow 0^-) = \lim_{t \rightarrow 0^-} \langle \mathcal{T} [\hat{c}_{\vec{p}}(t) \hat{c}_{\vec{p}}^\dagger(0)] \rangle_0 = -n_{\vec{p}} \\
&= - \int \frac{d^3 \vec{p} d\tilde{\omega}}{(2\pi)^3} \frac{4\pi e^2}{(\vec{p} - \vec{k})^2} n_{\vec{p}} \\
&= - \frac{4\pi e^2}{(2\pi)^3} \int_0^{k_F} p^2 dp \int_0^\pi \sin \theta d\theta \int_0^{2\pi} d\phi \frac{1}{p^2 + k^2 - 2pk \cos \theta} \\
&\Downarrow u = \cos \theta \\
&= - \frac{e^2}{\pi} \int_0^{k_F} p^2 dp \int_{-1}^1 \frac{du}{p^2 + k^2 - 2pk u} \\
&= - \frac{e^2}{2\pi k} \int_0^{k_F} dp \left( p \ln \frac{(k+p)^2}{(k-p)^2} \right) \\
&= - \frac{e^2}{\pi k} \int_0^{k_F} dp \left( p \ln \left| \frac{k+p}{k-p} \right| \right) \\
&= - \frac{e^2 k_F}{\pi} \left( 1 + \frac{k_F^2 - k^2}{2kk_F} \ln \left| \frac{k_F + k}{k_F - k} \right| \right)
\end{aligned}$$

$$\left| \frac{k_F + k}{k_F - k} \right| \geq 1$$

As such, we have  $\Sigma^{\text{HF}}(k, \omega) < 0$ , due to the Fock / exchange piece!

We might plot the self-energy as a function of  $k$  (Plot by Wolfram alpha)



We can also compute the Hartree-Fock ground state energy. Recall, the full propagator is

$$G \simeq \frac{1}{G_0^{-1} - \Sigma_k^{\text{HF}}} = \frac{1}{\omega - \varepsilon_k - \Sigma_k^{\text{HF}} + i\eta}$$

and so we could simply interpret the self-energy as an interaction correction to the dispersion. The ground state energy per particle is

$$E = \frac{2 \cdot 4\pi}{N_e} \int_0^{k_F} \frac{dk}{(2\pi)^3} k^2 (\varepsilon_k + \Sigma_k^{\text{HF}})$$

Instead of computing this seriously (doable, just some integrals), let us simply compare the competition between the two terms.

First, the kinetic energy

$$E_{\text{kinetic}} \sim \frac{1}{N_e} \int_0^{k_F} dk \left( \frac{k^4}{2m} \right) \sim \frac{k_F^5}{N_e}$$

The number of electrons equals to the volume inside the Fermi surface, and so

$$N_e \sim k_F^3 \Rightarrow E_{\text{kinetic}} \sim K_F^2$$

In contrast, the exchange energy scales as

$$\begin{aligned} E_{\text{ex}} &\sim -\frac{k_F}{N_e} \int_0^{k_F} k^2 dk \left( 1 + \frac{k_F^2 - k^2}{2kk_F} \ln \left| \frac{k_F + k}{k_F - k} \right| \right) \\ &= -\frac{k_F^4}{N_e} \int_0^1 dy y^2 \left( 1 + \frac{1 - y^2}{2y} \ln \left| \frac{1+y}{1-y} \right| \right) \\ &\sim -\frac{k_F^4}{N_e} \\ &\sim -k_F \end{aligned}$$

The inverse of the Fermi wave vector is a length scale characterizing the inter-particle spacing (i.e., the density of the electrons), and this is typically parameterized by

$$\frac{4\pi(r_s a_0)^3}{3} \rho_0 = 1$$

$$\Rightarrow k_F \sim \frac{1}{r_s a_0}$$

where  $a_0$  is the Bohr radius. In other words,  $r_s$  is the radius, in terms of the Bohr radius, of a sphere containing one electron. A high density electron gas has a small  $r_s$ . This implies the ground state energy of the jellium model is, within the Hartree-Fock approximation

$$E \simeq \frac{\#}{r_s^2} - \frac{\#1}{r_s} + \dots$$

It turns out that, in the “standard” units, the energy is

$$E \simeq \frac{2.2099}{r_s^2} - \frac{0.9163}{r_s} + \dots$$

(c.f. Mahan Eq.(5.28)).

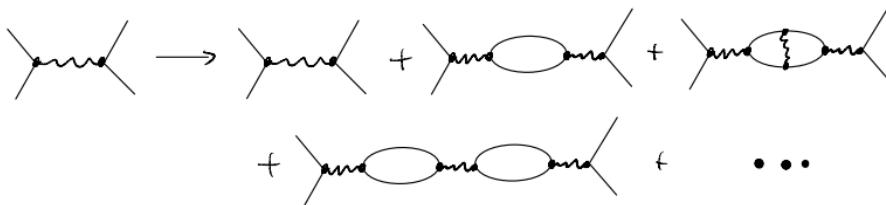
An important observation to make is that the kinetic energy dominates for small  $r_s$ ! L.e., the interaction correction is small for a high-density gas. In contrast, at low density the interaction effects become more important.

## 19.2 Dielectric function and RPA

After 5 lectures or so we are finally ready to tackle our “humble” motivating question: how do we compute the basic quantities of an interacting electronic system, like the dielectric function? Recall, the key insight is that the system could respond to the external perturbation and screen part of that. Such response leads to an effective dielectric function in the medium (restoring units for highlight)

$$V(q) = \frac{e^2}{\epsilon_0 q^2} \rightarrow \frac{e^2}{(\epsilon \epsilon_0) q^2}$$

Equivalently, we can also think of the response of the system as modifying the effective interaction between the electrons. In our perturbative theory, such modification comes from processes like



Of course more distinct terms appear as we go to higher orders in the interaction strength. In the same spirit as the 1PI discussion, it makes sense to organize the diagrams as

$$\begin{aligned} \text{wavy line} &= \text{wavy line} + \text{wavy line with one bubble} + \text{wavy line with two bubbles} + \dots \\ \text{bubble} &= \text{bubble} + \text{bubble with wavy line} + \text{bubble with two wavy lines} + \dots \end{aligned}$$

such terms are called the “polarization bubble”. Physically, they represent (virtual) processes in which electron-hole pairs emerge, interact, and then disappear. In fact, our “wavy line” could be recognized as the photon (although we didn’t keep their dynamics in the theory), and such diagrams are simply the self-energy for the photon. correspondingly, we also have a Dyson’s equation

$$\text{wavy line} = \text{wavy line} + \text{wavy line with one bubble}$$

$$iV_{\text{eff}} = iV + (iV)(i\chi)(iV_{\text{eff}})$$

$$\Rightarrow V_{\text{eff}}(q, \omega) = \frac{V(q)}{1 + V(q)\chi(q, \omega)}$$

As with the earlier discussion on electron self-energy, we see that all the correction to the interaction has been encapsulated in the bubble

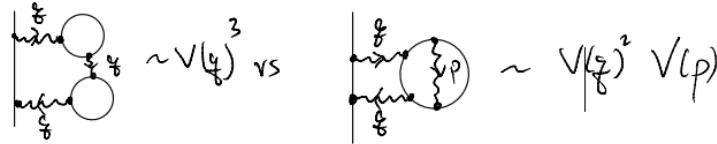
$$\therefore \chi(q, \omega) = \text{bubble} = \text{bubble} + \text{bubble with wavy line} + \text{bubble with two wavy lines} + \dots$$

In the simplest approximation we simply drop all the higher order terms

$$\therefore \chi_{\text{RPA}}(q, \omega) = \text{bubble}$$

this is called the “random phase approximation”. Of course, in the way we introduced it, the approximation seems rather ad hoc. The name “RPA” is also quite mysterious. This can be better justified by

1. In the original treatment, the RPA was introduced by looking at the equation of motion and assuming certain terms with non-cancelling momentum average to zero. This is (?) the origin of the name “random phase” (I think??). See Mahan 5.5.2.
2. One can also ask more seriously which terms in the electronic self-energy, at every order of interaction  $V$ , diverges most significantly with the Coulomb potential. E.g., compare



from this analysis, the key divergence comes from terms with the maximal number of interaction depending on one single momentum  $q \rightarrow 0$ . I.e., in the polarization bubble we ignore diagrams with wavy lines featuring internal momentum. This corresponds to the RPA (discussed in a seminal paper by Gell-Mann and Brueckner)

3. From yet another angle, the RPA can also be justified as the exact (mean-field) result in the large- $N$  limit, if we promote the “flavor” symmetry of the electron from  $SU(2) \rightarrow SU(N)$ : recall each fermion loop corresponds to a trace over the spin indices. At the same order of  $V$ , diagrams with the maximum number of fermion loops dominate in the large- $N$  limit. This again implies the RPA approximation.

In any case, within the RPA and for the Coulomb potential, we have

$$V_{\text{eff}}(q, \omega) = \frac{V(q)}{1 + V(q)\chi_{\text{RPA}}(q, \omega)} = \frac{4\pi e^2}{q^2 \left(1 + \frac{4\pi e^2}{q^2} \chi_{\text{RPA}}(q, \omega)\right)}$$

$$\varepsilon_{\text{RPA}} = 1 + \frac{4\pi e^2}{q^2} \chi_{\text{RPA}}(q, \omega)$$



# Chapter 20

## Lec20 20220420

Topics

1. Jellium in RPA, Lindhard function
2. Screening
3. Plasmon

Goals

1. Computing the dielectric function in RPA
2. Appreciating how screening and plasmons in metals arise in our formalism

### 20.1 RPA: recap

Let us recap what we last considered before the one-week break. We consider the electrons in 3D continuum space interacting with the “neutralized” Coulomb

$$\hat{V} = \frac{1}{2} \int \frac{d^3 p d^3 p' d^3 q}{(2\pi)^9} V(q) : \hat{\psi}_{p+q,\sigma}^\dagger \hat{\psi}_{p'-q,\sigma'}^\dagger \hat{\psi}_{p'\sigma'} \hat{\psi}_{q\sigma} :$$

$$V(q) = \begin{cases} \frac{4\pi e^2}{q^2}, & \text{if } q \neq 0 \\ 0, & \text{if } q = 0 \end{cases}$$

where  $V(q=0) = 0$  follows from the cancellation from the uniform positive background, and corresponding the Hartree term



We motivated the RPA by asking how we might incorporate screening into our evaluation of the (finite-frequency) dielectric function. This could be understood by considering the Dyson's equation for the "photon"

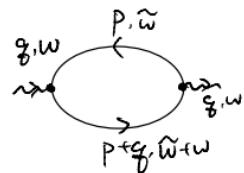
$$\text{wavy line} = \text{wavy line} + \text{wavy line with shaded loop}$$

$$V_{\text{eff}}(q, \omega) = \frac{V(q)}{1 + V(q)\chi(q, \omega)}$$

$$\text{wavy line with shaded loop} = \text{loop with wavy line} + \text{loop with wavy line} + \dots$$

$$i\chi(q, \omega) = i\chi_{\text{RPA}}(q, \omega) + \dots$$

Our main task for "performing the RPA" is, therefore, to evaluate



$$\begin{aligned} i\chi_{\text{RPA}}(q, \omega) &= - \int \frac{d\tilde{\omega}}{2\pi} \int \frac{d^3 p}{(2\pi)^3} \sum_{\sigma} G_{\sigma}(p+q, \tilde{\omega} + \omega) G_{\sigma}(p, \tilde{\omega}) \\ &= -(2S+1) \int \frac{d\tilde{\omega} d^3 p}{(2\pi)^4} \frac{1}{\omega + \tilde{\omega} - \varepsilon_{p+q} + i\eta_{p+q}} \frac{1}{\tilde{\omega} - \varepsilon_p + i\eta_p} e^{i\tilde{\omega}0^+} \end{aligned}$$

We could perform the frequency integral by noticing the function contains two poles, and closing the contour in the upper complex plane



In particular, we enclose the poles only if they correspond to “hole” excitations (which live in the upper complex plane), i.e., the pole contribution is proportional to  $n_k$ :

$$\begin{aligned} i\chi_{\text{RPA}}(q, \omega) &= -(2S+1) \frac{2\pi i}{2\pi} \int \frac{d^3 p}{(2\pi)^3} \left( \frac{n_{\vec{p}}}{\omega + \varepsilon_{\vec{p}} - \varepsilon_{\vec{p}+\vec{q}}} + \frac{n_{\vec{p}+\vec{q}}}{\varepsilon_{\vec{p}+\vec{q}} - \omega - \varepsilon_{\vec{p}}} \right) \\ \Rightarrow \chi_{\text{RPA}}(q, \omega) &= (2S+1) \int \frac{d^3 p}{(2\pi)^3} \frac{n_{\vec{p}} - n_{\vec{p}+\vec{q}}}{\varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}} - \omega} \end{aligned}$$

Note that we have, with a sleight of hand, dropped the  $i\eta$  factors. More later.

The integral above is called Lindhard function. Its evaluation is very similar to what we have seen for the Fock / exchange self-energy:

$$\begin{aligned} \chi_{\text{RPA}}(q, \omega) &= (2S+1) \int \frac{d^3 p}{(2\pi)^3} \left( \frac{n_{\vec{p}}}{\varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}} - \omega} - \frac{n_{\vec{p}}}{\varepsilon_{\vec{p}} - \varepsilon_{\vec{p}-\vec{q}} - \omega} \right) \\ &= \frac{2S+1}{(2\pi)^3} \int_0^{k_F} dp \int_0^\pi d\theta p^2 \sin \theta \int_0^{2\pi} d\phi \\ &\quad \times \left( \frac{2m}{q^2 + 2pq \cos \theta - 2m\omega} - \frac{2m}{2pq \cos \theta - q^2 - 2m\omega} \right) \\ \int_0^\pi d\theta \sin \theta \frac{1}{a + b \cos \theta} &= \int_{-1}^1 du \frac{1}{a + bu} = \frac{1}{b} \ln \left( \frac{a + bu}{a - bu} \right) \end{aligned}$$

$$\begin{aligned} \chi_{\text{RPA}}(q, \omega) &= \frac{2S+1}{4\pi^2} \int_0^{k_F} dp \frac{p^2 m}{pq} \left[ \ln \left( \frac{-2m\omega + q^2 + 2pq}{-2m\omega + q^2 - 2pq} \right) - \ln \left( \frac{-2m\omega - q^2 + 2pq}{-2m\omega - q^2 - 2pq} \right) \right] \\ &= \frac{(2S+1) m k_F}{4\pi^2 \tilde{q}} \int_0^1 d\tilde{p} \tilde{p} \left[ \ln \left( \frac{-\tilde{\omega}/\tilde{q} + \tilde{q} + 2\tilde{p}}{-\tilde{\omega}/\tilde{q} + \tilde{q} - 2\tilde{p}} \right) - \ln \left( \frac{-\tilde{\omega}/\tilde{q} - \tilde{q} + 2\tilde{p}}{-\tilde{\omega}/\tilde{q} - \tilde{q} - 2\tilde{p}} \right) \right] \end{aligned}$$

$$\tilde{p} = \frac{p}{k_F}, \tilde{q} = \frac{q}{k_F}, \tilde{\omega} = \frac{\omega}{k_F^2/2m}$$

$$\begin{aligned} \int_0^1 dx x \ln \left( \frac{a+x}{a-x} \right) &= \frac{x^2}{2} \ln \left( \frac{a+x}{a-x} \right) \Big|_0^1 - \int_0^1 \frac{x^2}{2} \frac{2a}{a^2 - x^2} dx \\ &= \frac{1}{2} \ln \left( \frac{a+1}{a-1} \right) + a \int_0^1 \left( 1 - \frac{a^2}{a^2 - x^2} \right) dx \\ &= \frac{1}{2} \ln \left( \frac{a+1}{a-1} \right) + a - \frac{a^2}{2} \int_0^1 \left( \frac{1}{a+x} + \frac{1}{a-x} \right) dx \\ &= \frac{1}{2} \ln \left( \frac{a+1}{a-1} \right) + a - \frac{a^2}{2} \ln \left( \frac{a+x}{a-x} \right) \Big|_0^1 \\ &= \frac{1}{2} (1 - a^2) \ln \left( \frac{a+1}{a-1} \right) + a \end{aligned}$$

$$\chi_{\text{RPA}}(q, \omega) = \frac{(2S+1) m k_F}{4\pi^2 \tilde{q}} \left( a_+ + \frac{1}{2} (1 - a_+^2) \ln \left( \frac{a_+ + 1}{a_+ - 1} \right) - (a_+ \leftrightarrow a_-) \right)$$

$$a_{\pm} = \pm \frac{\tilde{q}}{2} - \frac{\tilde{\omega}}{2\tilde{q}}$$

The prefactor could be simplified further using the 3D density of states (per spin)

$$\begin{aligned} N_0 &= \frac{d}{d\varepsilon_k} \left( \frac{4\pi}{3} \frac{(2m\varepsilon_k)^{3/2}}{(2\pi)^3} \right) \Big|_{k=k_F} \\ &= 2\pi \left( \frac{\sqrt{2m}}{2\pi} \right)^3 \sqrt{\varepsilon_{k_F}} \\ &= \frac{2mk_F}{4\pi^2}; \quad \varepsilon_k = \frac{k^2}{2m} \end{aligned}$$

$$\begin{aligned} \chi_{\text{RPA}}(q, \omega) &= \frac{(2S+1) N_0}{2\tilde{q}} \left( \frac{1}{2} (1 - a_+^2) \ln \left( \frac{a_+ + 1}{a_+ - 1} \right) - (a_+ \leftrightarrow a_-) + \tilde{q} \right) \\ &= (2S+1) N_0 F(\tilde{q}, \tilde{\omega}) \end{aligned}$$

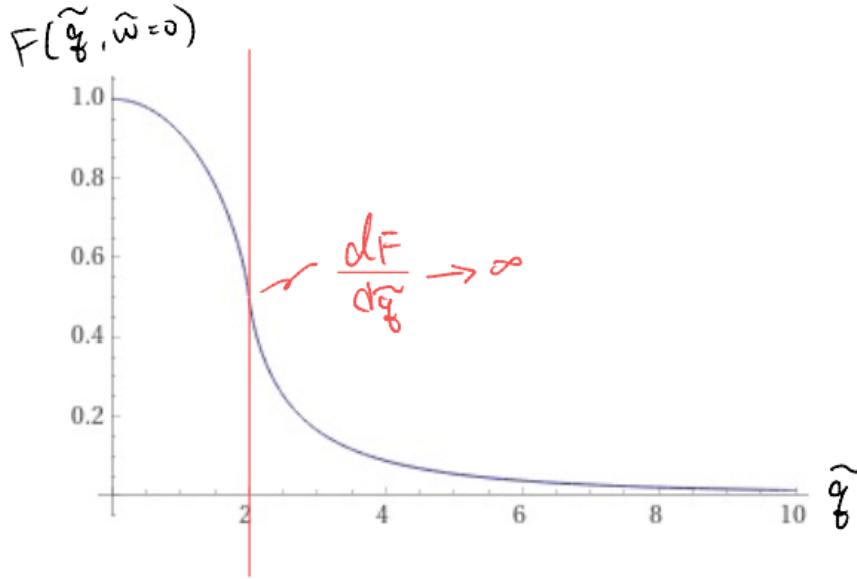
$$F(\tilde{q}, \tilde{\omega}) = \frac{1}{4\tilde{q}} (1 - a_+^2) \ln \left( \frac{a_+ + 1}{a_+ - 1} \right) - (a_+ \leftrightarrow a_-) + \frac{1}{2}$$

The function  $F(\tilde{q}, \tilde{\omega})$  is known as the Lindhard function. Let us first consider its static limit

$$\lim_{\omega \rightarrow 0} a_{\pm} = \lim_{\omega \rightarrow 0} \left( \pm \frac{\tilde{q}}{2} - \frac{\tilde{\omega}}{2\tilde{q}} \right) = \pm \frac{\tilde{q}}{2}$$

$$\begin{aligned} F(\tilde{q}, \tilde{\omega} = 0) &= \frac{1}{4\tilde{q}} \left( 1 - \frac{\tilde{q}^2}{4} \right) \left[ \ln \left( \frac{\tilde{q}+2}{\tilde{q}-2} \right) - \ln \left( \frac{-\tilde{q}+2}{-\tilde{q}-2} \right) \right] + \frac{1}{2} \\ &= \frac{1}{2\tilde{q}} \left( 1 - \frac{\tilde{q}^2}{4} \right) \ln \left| \frac{\tilde{q}+2}{\tilde{q}-2} \right| + \frac{1}{2} \end{aligned}$$

Notice that, this time, we have a singularity at  $\tilde{q} = 2 \Rightarrow q = 2k_F$  when the absolute value inside the log changes sign. We may plot it (the following by Wolfram alpha)



More generally, we obtain the RPA result for the dielectric function

$$V_{\text{eff}}(q, \omega) = \frac{V(q)}{1 + V(q)\chi_{\text{RPA}}(q, \omega)} = \frac{1}{\varepsilon_{\text{RPA}}(q, \omega)} V(q)$$

$$\begin{aligned} \Rightarrow \varepsilon_{\text{RPA}}(q, \omega) &= 1 + V(q)\chi_{\text{RPA}}(q, \omega) \\ &= 1 + \frac{4\pi e^2}{q^2} (2S+1) N_0 F\left(\frac{q}{k_F}, \frac{\omega}{k_F^2/2m}\right) \end{aligned}$$

## 20.2 Screening

One interesting observation now is that, in the static limit,

$$\lim_{q \rightarrow 0} \varepsilon_{\text{RPA}}(q, \omega = 0) = \lim_{q \rightarrow 0} \left( 1 + \frac{4\pi e^2}{q^2} (2S+1) N_0 F\left(\frac{q}{k_F}, \frac{\omega}{k_F^2/2m}\right) \right) \rightarrow +\infty$$

such divergence of the dielectric constant is characteristic of a metal, in which the charges always move to shield the interior from any possible external, static

electric field. The picture may be clearer if we instead consider the effective interaction

$$\begin{aligned} V_{\text{eff}}(q, \omega = 0) &\stackrel{\text{RPA}}{=} \frac{V(q)}{1 + V(q)(2S+1)N_0 F\left(\frac{q}{k_F}, 0\right)} \\ &= \frac{4\pi e^2}{q^2 + 4\pi e^2(2S+1)N_0 F\left(\frac{q}{k_F}, 0\right)} \\ &\stackrel{q \rightarrow 0}{\approx} \frac{4\pi e^2}{q^2 + k^2} \end{aligned}$$

We may Fourier transform back to the real space, which gives (c.f. PS4)

$$V_{\text{eff}}^{\text{static}} \stackrel{\text{RPA}}{=} \frac{e^2 e^{-kr}}{r}$$

and we could interpret  $k^{-1} = \frac{1}{\sqrt{4\pi e^2(2S+1)N_0}}$  as the length scale characterizing the screening of any stray charges in the metal. This is known as the Thomas-Fermi screening length.

### 20.3 Plasmon

As a second interesting observation, we consider the other order of the limits, in which we first send  $q \rightarrow 0$  and keep  $\omega$  finite. This order of limit might be considered by expanding the integrand directly

$$\begin{aligned} \chi^{\text{RPA}}(q, \omega) &= \frac{(2S+1)N_0}{2\tilde{q}} \int_0^1 d\tilde{p}\tilde{p} \left[ \ln\left(\frac{-\tilde{\omega}/\tilde{q} + \tilde{q} + 2\tilde{p}}{-\tilde{\omega}/\tilde{q} + \tilde{q} - 2\tilde{p}}\right) - \ln\left(\frac{-\tilde{\omega}/\tilde{q} - \tilde{q} + 2\tilde{p}}{-\tilde{\omega}/\tilde{q} - \tilde{q} - 2\tilde{p}}\right) \right] \\ &= \frac{(2S+1)N_0}{2\tilde{q}} \int_0^1 d\tilde{p}\tilde{p} \ln\left(\frac{(\tilde{\omega}/\tilde{q})^2 - (\tilde{q} + 2\tilde{p})^2}{(\tilde{\omega}/\tilde{q})^2 - (\tilde{q} - 2\tilde{p})^2}\right) \\ &\Downarrow \omega \neq 0; q \rightarrow 0 \\ &= \frac{(2S+1)N_0}{2} \int_0^1 d\tilde{p}\tilde{p} \left( -\frac{8\tilde{p}\tilde{q}^2}{\tilde{\omega}^2} + O(\tilde{q}^4) \right) \\ &\approx -\frac{4(2S+1)N_0}{3} \frac{\tilde{q}^2}{\tilde{\omega}^2} + O(\tilde{q}^4) \\ &= -\frac{4(2S+1)N_0}{3} \frac{q^2}{k_F^2 \omega^2} \frac{k_F^4}{4m^2} + O(\tilde{q}^4) \\ &= -\frac{(2S+1)k_F^2}{3m} \frac{mk_F}{2\pi^2} \frac{q^2}{m\omega^2} + O(\tilde{q}^4) \\ &= -n_0 \frac{q^2}{m\omega^2} + O(\tilde{q}^4) \\ n_0 &= \frac{(2S+1)}{(2\pi)^3} \frac{4}{3} \pi k_F^3 \end{aligned}$$

where  $n_0$  is the electron density. This gives the dielectric function

$$\lim_{q \rightarrow 0} \varepsilon_{\text{RPA}}(q, \omega) = 1 + \frac{4\pi e^2}{q^2} \left( -n_0 \frac{q^2}{m\omega^2} + O(\tilde{q}^4) \right) = 1 - \frac{\omega_p^2}{\omega^2} (1 + O(q^2))$$

where

$$\omega_p = \sqrt{\frac{4\pi e^2 n_0}{m}}$$

is the plasma frequency. This characterizes the time it takes for the electrons to respond to an oscillating electric field: while they screen stray charges completely in the static limit, such screening is ineffective when the field is changing at frequencies  $\omega > \omega_p$  such that the electron distribution is not able to follow.

To get a more physical sense, let us try to put in some numbers. First we go from the CGS-ESU units to SI:

$$\omega_p = \sqrt{\frac{4\pi e^2 n_0}{m}} \rightarrow \sqrt{\frac{e^2 n_0}{\varepsilon_0 m}}$$

As an example, consider sodium

$$\begin{cases} n_0 = 2.65 \times 10^{22} \text{ cm}^{-3} = 2.65 \times 10^{28} \text{ m}^{-3} \\ m = 1.06 m_e = 9.656 \times 10^{-31} \text{ kg} \end{cases}$$

and putting in

$$\begin{cases} e^2/\varepsilon_0 = 0.29 \times 10^{-26} \text{ kg m}^3 \text{ s}^{-2} \\ \hbar = 6.58 \times 10^{-16} \text{ eV} \cdot \text{s}^{-1} \end{cases}$$

We find

$$\hbar\omega_p = 5.87 \text{ eV}$$

In comparison, the visible spectrum is around  $\sim 1.6 - 3.3 \text{ eV}$ . This explains why metals are shiny: visible light is not oscillating fast enough to penetrate, and it gets reflected.



# Chapter 21

## Lec21 20220422

### Topics

1. Last words on Jellium: particle-hole excitations
2. Finite temperature: imaginary time, thermal Green's functions

### Goals

1. Connecting the dielectric function to collective excitations
2. Appreciating the (striking) similarity between zero and finite temperature physics

### 21.1 Complex dielectric function and particle-hole excitations

In the last class, we have treated the frequency  $\omega$  as a real number when we interpret the results for the dielectric function. There is, however, an important subtlety which we glossed over: as reasoned earlier, physical observables correspond to retarded Green's functions, whereas Gell-Mann-Loww and its associated diagrammatic expansion gives us the time-ordered Green's functions. The two are related by an analytic continuation

$$\chi^{\text{ret}}(q, \omega) = \lim_{\delta \rightarrow 0^+} \chi^T(q, \omega + i\delta)$$

which guarantees that, in the spectral decomposition, we shift all the poles to the negative complex plane and therefore respects causality when Fourier transformed back to real time. Correspondingly, in the above we have implicitly focused only on the real part of the true RPA dielectric function. The full expression should have been

$$\varepsilon_{\text{RPA}}(q, \omega) = 1 + \frac{4\pi e^2}{q^2} (2S + 1) N_0 \lim_{\delta \rightarrow 0^+} F\left(\frac{q}{k_F}, \frac{\omega + i\delta}{k_F^2/2m}\right)$$

One could anticipate a nontrivial imaginary part given the branch cuts associated with the natural log in the Lindhard function. Instead of analyzing the function directly, however, it is a bit less tedious to revert back to the integral itself:

$$\chi_{\text{RPA}}^{\text{ret}}(q, \omega) = \lim_{\delta \rightarrow 0^+} (2S + 1) \int \frac{d^3 \vec{p}}{(2\pi)^3} \frac{n_{\vec{p}} - n_{\vec{p}+\vec{q}}}{\varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}} - \omega - i\delta}$$

we again use the “Cauchy-Dirac” relation

$$\lim_{\delta \rightarrow 0^+} \frac{1}{x - i\delta} = P \frac{1}{x} + i\pi\delta(x)$$

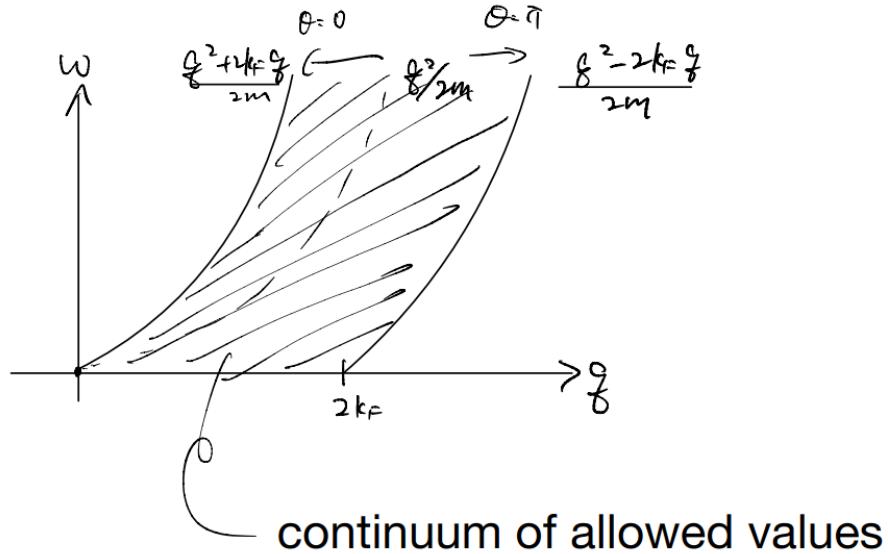
to tease out the imaginary part

$$\begin{aligned} \Im [\chi_{\text{RPA}}^{\text{ret}}(q, \omega)] &= \pi (2S + 1) \int \frac{d^3 \vec{p}}{(2\pi)^3} (n_{\vec{p}} - n_{\vec{p}+\vec{q}}) \delta(\varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}} - \omega) \\ &= \frac{2S + 1}{4\pi} \int_0^{k_F} dp \int_0^\pi d\theta p^2 \sin \theta \\ &\quad \times [\delta(\omega - (\varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}})) - \delta(\omega - (\varepsilon_{\vec{p}} - \varepsilon_{\vec{p}-\vec{q}}))] \end{aligned}$$

the delta functions could be interpreted as a density of states of the particle-hole excitations. The energy is

$$\begin{aligned} \varepsilon_{\vec{p}+\vec{q}} - \varepsilon_{\vec{p}} &= \frac{2pq \cos \theta + q^2}{2m} \\ \varepsilon_{\vec{p}} - \varepsilon_{\vec{p}-\vec{q}} &= \frac{2pq \cos \theta - q^2}{2m} \end{aligned}$$

with  $\vec{p}$  restricted inside the Fermi sea. It is helpful to try plotting the “dispersion”



To really relate to the excitation energies in the electron gas, we recall the two-particle Green's function / density-density response function

$$\Theta(t) \langle [\hat{\rho}(t), \hat{\rho}(0)] \rangle$$



and its spectral function is

$$S(q, \omega) = -\frac{q^2}{4\pi e^2 n_0} \Im \left[ \frac{1}{\varepsilon^{\text{ret}}(q, \omega)} \right]$$

(c.f. Mahan Eqs.(5.111)-(5.119) for a derivation)

Writing the dielectric function as

$$\begin{aligned} \varepsilon^{\text{ret}}(q, \omega) &= \varepsilon_1(q, \omega) + i\varepsilon_2(q, \omega) \\ \Rightarrow S(q, \omega) &= \frac{q^2}{4\pi e^2 n_0} \frac{\varepsilon_2(q, \omega)}{\varepsilon_1^2(q, \omega) + i\varepsilon_2^2(q, \omega)} \end{aligned}$$

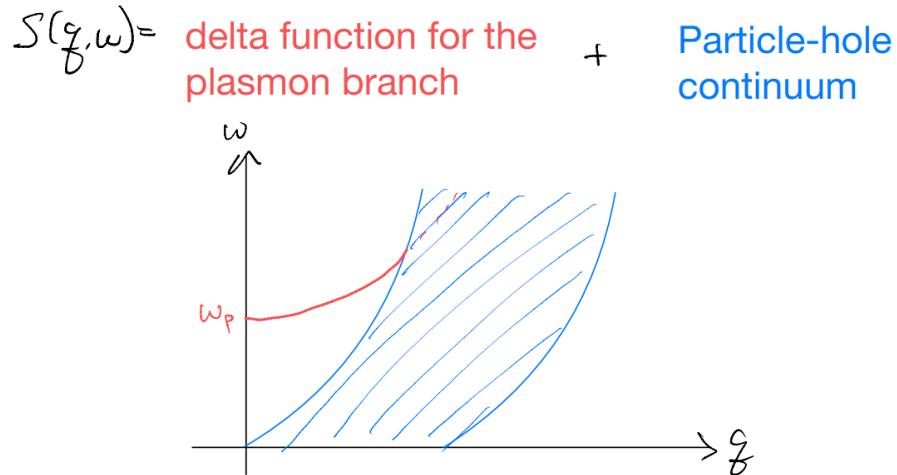
This suggests the excitation spectral function is non-zero precisely when  $\varepsilon_2(q, \omega) \sim \Im[\chi_{\text{RPA}}^{\text{ret}}(q, \omega)]$  is non-zero. But there is a catch: the expression above is ill-defined when both  $\varepsilon_1$  and  $\varepsilon_2$  vanish. This happens when we hit the plasmon frequency, for which  $\varepsilon_1 = 0$  in a region with  $\varepsilon_2 = 0$ . More concretely,

$$\begin{aligned} \lim_{q \rightarrow 0} \varepsilon_1(q, \omega) &= 1 - \frac{\omega_p^2}{\omega^2} (1 + \#q^2) = 0 \\ \Rightarrow \omega &= \omega_p \sqrt{1 + \#q^2} \\ &= \omega_p \left( 1 + \frac{\#}{2} q^2 + \dots \right) \end{aligned}$$

Along this plasmon branch, we have

$$\lim_{\delta \rightarrow 0^+} \Im \left[ \frac{1}{\varepsilon_{\text{RPA}}(q, \omega + i\delta)} \right] = \lim_{\delta \rightarrow 0^+} \Im \left[ \frac{1}{\varepsilon_1(q, \omega) + i\delta} \right] = -\pi\delta(\varepsilon_1(q, \omega))$$

and so, schematically, we have



(c.f. Coleman Fig-7.8 for a fancier color plot)

Notice that the spectral isolation of the plasmon is critical for its identity as a well-defined excitation: otherwise, it can readily decay into lower-energy particle-hole excitations. This indeed happens at higher momentum when it merges with the continuum.

This concludes our discussion for the dielectric function of an interacting electron gas (in RPA). Let us just remark that we have barely scratched the surface: for instance, instead of simply considering the EM scalar potential one could have considered the more complete discussion with the vector potential, and consider current-current response functions. What we discussed corresponds only to what is called the “longitudinal dielectric function”.

Along another direction, one can naturally ask how one might improve beyond the RPA. C.f. Mahan Chapter-5 for a detailed discussions on the more popular schemes.

## 21.2 Turning the heat on: finite temperature as imaginary time

So far, we have focused quite exclusively on the quantum many-body ground state, which one could argue capture the physics at temperature  $T = 0$ . As our last topic on perturbative quantum many-body theory, we go back to the physical reality of a finite-temperature problem.

Before we go into the details, let us highlight two “conclusions”:

1. The finite-temperature calculation is not any harder
2. The repeatedly mentioned “Statistics Mechanics” correspondence will become clearer

Let us recall some quantum Statistics mechanics. Given a Hamiltonian  $\hat{H}$ , an inverse temperature  $\beta = \frac{1}{k_B T}$ , the expectation value of an observable  $\hat{O}$  is

$$\langle \hat{O} \rangle = \text{Tr} (\hat{O} \hat{\rho}) = \frac{\text{Tr} (\hat{O} e^{-\beta \hat{H}})}{\text{Tr} (e^{-\beta \hat{H}})}$$

In particular, the partition function

$$\mathcal{Z} = \text{Tr} (e^{-\beta \hat{H}}) = \text{Tr} (e^{-i(-i\beta) \hat{H}}) = \text{Tr} (\hat{U} (-i\beta))$$

can be recognized as the trace of the time-evolution operator  $\hat{U}$  (in the Schrodinger picture), but with an imaginary time  $-i\beta$ .

In this notation, the expectation value is simply

$$\langle \hat{O} \rangle = \frac{\text{Tr} [\hat{O} \hat{U} (-i\beta)]}{\text{Tr} [\hat{U} (-i\beta)]}$$

as we mentioned earlier, this is very similar in form to the Gell-Mann-Low formula, with the key differences

1. S matrix (evolution in the interaction picture) vs  $\hat{U} \sim e^{-i\hat{H}t}$
2. evaluating the ground-state expectation value with respect to the unperturbed ground state vs trace
3. infinite time  $t : -\infty \rightarrow +\infty$  vs  $t : 0 \rightarrow -i\beta$

This suggests the following modifications are needed in order to tackle finite temperature

1. We should reconsider the Schrodinger vs Heisenberg vs interaction picture with imaginary time
2. We should replace our definition of expectation value by the thermal one
3. We should consider a finite imaginary time interval

Let us consider these one by one. (Essentially following Coleman)

### 21.3 Schrodinger vs Heisenberg vs Interaction with finite temperature

Starting with the Schrodinger equation

$$i\partial_t|\Psi(t)\rangle = \hat{H}|\Psi(t)\rangle$$

we now consider imaginary time by a change of variable

$$\tau = it \quad \Rightarrow \quad -\partial_\tau|\Psi(t)\rangle = \hat{H}|\Psi(t)\rangle$$

This is still solved, formally, by

$$|\Psi(t)\rangle = e^{-\hat{H}\tau}|\Psi(0)\rangle$$

Accordingly, to go to the Heisenberg picture, we instead keep the state fixed and ascribe the dynamics to that of the operators:

$$\hat{O}_H(\tau) = e^{\hat{H}\tau}\hat{O}_H(0)e^{-\hat{H}\tau}$$

we can then verify that its equation of motion is

$$-\partial_\tau\hat{O}_H(\tau) = [\hat{O}_H(\tau), \hat{H}]$$

Lastly, to go to the interaction picture, we evolve the operators according to the “unperturbed” Hamiltonian  $\hat{H}_0$ , evolve the state in such a way that it would be consistent with the full Hamiltonian

$$\begin{aligned} \hat{H} &= \hat{H}_0 + \hat{V} \\ \Rightarrow \left\{ \begin{array}{l} \hat{O}_I(\tau) = e^{\hat{H}_0\tau}\hat{O}_I(0)e^{-\hat{H}_0\tau} \\ |\Psi_I(\tau)\rangle = e^{\hat{H}_0\tau}e^{-\hat{H}\tau}|\Psi_I(0)\rangle \end{array} \right. \\ \Rightarrow -\partial_\tau|\Psi_I(\tau)\rangle &= -\left(e^{\hat{H}_0\tau}\hat{H}_0e^{-\hat{H}\tau} - e^{\hat{H}_0\tau}\hat{H}e^{-\hat{H}\tau}\right)|\Psi_I(0)\rangle \\ &= \hat{V}_I(\tau)|\Psi_I(\tau)\rangle \\ \hat{V}_I(\tau) &= e^{\hat{H}_0\tau}\hat{V}e^{-\hat{H}_0\tau} \end{aligned}$$

The imaginary time evolution of the state is again solved by a time-ordered exponential

$$\begin{cases} |\Psi_I(\tau_1)\rangle = \hat{S}(\tau_1, \tau_2)|\Psi_I(\tau_2)\rangle \\ \hat{S}(\tau_1, \tau_2) = \mathcal{T}\left[\exp\left(-\int_{\tau_1}^{\tau_2}\hat{V}_I(\tau)d\tau\right)\right] \end{cases}$$

We will also need to know how to relate the Heisenberg-picture operators (with respect to the full Hamiltonian) to the interaction-picture ones

$$\begin{aligned} \hat{O}_H(\tau) &= e^{\hat{H}\tau}\hat{O}_S e^{-\hat{H}\tau} \\ &= \left(e^{\hat{H}\tau}e^{-\hat{H}_0\tau}\right)e^{\hat{H}_0\tau}\hat{O}_S e^{-\hat{H}_0\tau}\left(e^{\hat{H}_0\tau}e^{-\hat{H}\tau}\right) \\ &= \hat{U}(\tau)^{-1}\hat{O}_I(\tau)\hat{U}(\tau) \end{aligned}$$

$$\hat{U}(\tau) = \hat{S}(\tau, 0)$$

So far, it looks like we are just doing a revision, and nothing seems to be different. If you have keen eyes, however, you would have noticed that we wrote  $-1$  instead of  $\dagger$  above: it's important to notice that with an imaginary time the "evolution" is no longer unitary. Correspondingly, one now has to be careful with how Hermitian conjugate pairs "evolve". For instance, let us take the unperturbed part to be that of non-interacting electrons:

$$\hat{H}_0 = \sum_k \varepsilon_k \hat{c}_k^\dagger \hat{c}_k$$

The interaction-picture equations of motion for the fermion operators are

$$\begin{aligned} & \begin{cases} -\partial_\tau \hat{c}_k = \varepsilon_k \hat{c}_k \\ -\partial_\tau \hat{c}_k^\dagger = -\varepsilon_k \hat{c}_k^\dagger \end{cases} \\ \Rightarrow & \begin{cases} \hat{c}_k(\tau) = e^{-\varepsilon_k \tau} \hat{c}_k(0) \\ \hat{c}_k^\dagger(\tau) = e^{\varepsilon_k \tau} \hat{c}_k^\dagger(0) \end{cases} \end{aligned}$$

Importantly, notice that

$$(\hat{c}_k(\tau))^\dagger = e^{-\varepsilon_k \tau} \hat{c}_k^\dagger(0) = \hat{c}_k^\dagger(-\tau) \neq \hat{c}_k^\dagger(\tau)$$

where  $-\varepsilon_k \tau$  is real.



# Chapter 22

## Lec22 20220427

Topics

1. Matsubara Green's functions and frequencies
2. Periodicity and anti-periodicity in Euclidean time

Goals

1. Gather the ingredients required for developing the perturbation theory at finite temperature
2. Reconcile the finite vs zero temperature results on the complex frequency plane

### 22.1 Finite-temperature Green's functions

As our second step, we consider expectation values for system in thermal equilibrium. In parallel with the zero-temperature discussion, we expect that, ultimately, the perturbation theory will be built upon the various Green's functions. Here, the natural extension is to simply replace the meaning of  $\langle \cdots \rangle$  from a ground state expectation value to that of the thermal ensemble in the Heisenberg picture:

$$\begin{aligned}\mathcal{G}_{\sigma\sigma'}(\tau - \tau') &= -\left\langle \mathcal{T} \left[ \hat{\psi}_\sigma(\tau) \hat{\psi}_{\sigma'}^\dagger(\tau') \right] \right\rangle \\ &= -\text{Tr} \left[ e^{-\beta(\hat{H}-F)} \mathcal{T} \left[ \hat{\psi}_\sigma(\tau) \hat{\psi}_{\sigma'}^\dagger(\tau') \right] \right]\end{aligned}$$

where

$$e^{\beta F} = \frac{1}{Z} \Rightarrow F = -\frac{1}{\beta} \ln Z$$

is the free energy, and  $\mathcal{T}$  denotes the (Euclidean) time-ordering operator as usual. Explicitly,

$$\mathcal{G}_{\sigma\sigma'}(\tau - \tau') = -\Theta(\tau - \tau') \left\langle \hat{\psi}_\sigma(\tau) \hat{\psi}_{\sigma'}^\dagger(\tau') \right\rangle - \zeta \Theta(\tau' - \tau) \left\langle \hat{\psi}_{\sigma'}^\dagger(\tau') \hat{\psi}_\sigma(\tau) \right\rangle$$

and we add a variable  $\zeta = \pm 1$  to facilitate a unified treatment for both bosons ( $\zeta = +1$ ) and fermions ( $\zeta = -1$ )

In the above, the LHS suggests that the expression depends only on the difference  $\tau - \tau'$ . Previously we said that it follows from the time-translation symmetry associated with the static Hamiltonian. With Euclidean time, it will be good to check that explicitly too (for one of the two terms; the other follows similarly):

$$\begin{aligned} \langle \hat{\psi}_\sigma(\tau) \hat{\psi}_{\sigma'}^\dagger(\tau') \rangle &= \text{Tr} \left( e^{-\beta(\hat{H}-F)} e^{\hat{H}\tau} \hat{\psi}_\sigma(0) e^{-\hat{H}\tau} e^{\hat{H}\tau'} \hat{\psi}_{\sigma'}^\dagger e^{-\hat{H}\tau'} \right) \\ &= \text{Tr} \left( e^{-\beta(\hat{H}-F)} e^{\hat{H}(\tau-\tau')} \hat{\psi}_\sigma(0) e^{-\hat{H}(\tau-\tau')} \hat{\psi}_{\sigma'}^\dagger \right) \\ &= \langle \hat{\psi}_\sigma(\tau - \tau') \hat{\psi}_{\sigma'}^\dagger(0) \rangle \end{aligned}$$

where we assumed the cyclic property of the trace. (If you care about rigor, this is more subtle than it might appear: the Hilbert space is very often infinite dimensional!)

Following the same program (as in the zero-temperature case), we can now consider the relation between the Heisenberg and interaction picture, from which tease out a perturbation theory building upon the unperturbed Hamiltonian.

Let us restrict our attention to  $\tau > 0$  (suppressing subscripts)

$$\begin{aligned} \mathcal{G}(\tau) &\stackrel{\tau \geq 0}{=} -\text{Tr} \left[ e^{-\beta(\hat{H}-F)} \hat{\psi}_H(\tau) \hat{\psi}_H^\dagger(0) \right] \\ &= \frac{-\text{Tr} \left[ e^{-\beta\hat{H}} \hat{U}(\tau)^{-1} \hat{\psi}_I(\tau) \hat{U}(\tau) \hat{\psi}_I^\dagger(0) \right]}{\text{Tr} \left[ e^{-\beta\hat{H}} \right]} \end{aligned}$$

Now we notice that the “thermal” factor of  $e^{-\beta\hat{H}}$  can be absorbed into the S-matrix

$$\begin{aligned} \hat{U}(\tau) &= \hat{S}(\tau, 0) = \mathcal{T} \left[ e^{-\int_0^\tau d\tau' \hat{V}_I(\tau')} \right] = e^{\hat{H}_0\tau} e^{-\hat{H}\tau} \\ &\Rightarrow \hat{S}(\beta, 0) = e^{\beta\hat{H}_0} e^{-\beta\hat{H}} \\ &\Rightarrow e^{-\beta\hat{H}} = e^{-\beta\hat{H}_0} \hat{S}(\beta, 0) \\ \Rightarrow \mathcal{G}(\tau) &\stackrel{\tau \geq 0}{=} \frac{-\text{Tr} \left[ e^{-\beta\hat{H}_0} \hat{S}(\beta, 0) \hat{S}(0, \tau) \hat{\psi}_I(\tau) \hat{\psi}_I^\dagger(0) \right]}{\text{Tr} \left[ e^{-\beta\hat{H}_0} \hat{S}(\beta, 0) \right]} \\ &= \frac{-\text{Tr} \left[ e^{-\beta\hat{H}_0} \mathcal{T} \left[ \hat{\psi}_I(\tau) \hat{\psi}_I^\dagger(0) \hat{S}(\beta, 0) \right] \right]}{\text{Tr} \left[ e^{-\beta\hat{H}_0} \hat{S}(\beta, 0) \right]} \end{aligned}$$

This is basically Gell-Mann-Low: to make it even more explicit, we define

$$\langle \dots \rangle_0 = \frac{\text{Tr} \left[ e^{-\beta\hat{H}_0} \dots \right]}{\text{Tr} \left[ e^{-\beta\hat{H}_0} \right]}$$

(note: Mahan chose to not include the bare partition function  $\mathcal{Z}_0 = \text{Tr} [e^{-\beta \hat{H}_0}]$  in Eq.(3.184))

When the dust settles, we may simply write

$$\mathcal{G}(\tau) \stackrel{\tau \geq 0}{=} \frac{-\langle \mathcal{T} [\hat{\psi}_I(\tau) \hat{\psi}_I^\dagger(0) \hat{S}(\beta, 0)] \rangle}{\langle \hat{S}(\beta, 0) \rangle_0}$$

$$\hat{S}(\beta, 0) = \mathcal{T} \left[ e^{-\int_0^\beta d\tau \hat{V}_I(\tau)} \right]$$

This, of course, is only one particular expectation value. The more general discussion for any expectation values follows similarly, just like what we have seen for the zero-temperature formulation.

## 22.2 Bare Matsubara Green's functions

To gain some experience, and also in anticipation of a perturbation theory, let us evaluate the Matsubara Green's functions for non-interacting fermions and bosons.

First, consider the free fermion Hamiltonian (from last lecture)

$$\hat{H}_0 = \sum_k \varepsilon_k \hat{c}_k^\dagger \hat{c}_k$$

$$\Rightarrow \begin{cases} \hat{c}_k(\tau) = e^{-\varepsilon_k \tau} \hat{c}_k(0) \\ \hat{c}_k^\dagger(\tau) = e^{\varepsilon_k \tau} \hat{c}_k^\dagger(0) \end{cases}$$

Here, for simplicity we absorb the chemical potential (which affects the Fermi wave vector) into the definition of  $\varepsilon_k$ .

$$\begin{aligned} \Rightarrow \mathcal{G}_0(k, \tau) &= -\langle \mathcal{T} [\hat{c}_k(\tau) \hat{c}_k^\dagger(0)] \rangle \\ &= -\Theta(\tau) e^{-\varepsilon_k \tau} \langle \hat{c}_k(0) \hat{c}_k^\dagger(0) \rangle - \Theta(-\tau) e^{-\varepsilon_k \tau} \langle \hat{c}_k^\dagger(0) \hat{c}_k(0) \rangle \\ &= -e^{-\varepsilon_k \tau} [\Theta(\tau)(1 - f(\varepsilon_k)) + \Theta(-\tau)f(\varepsilon_k)] \end{aligned}$$

where (TODO, strange subscription below)

$$\begin{aligned} f(\varepsilon_k) &= \langle \hat{c}_k^\dagger \hat{c}_k \rangle \\ &= \frac{\text{Tr} [\hat{n}_k e^{-\beta \sum_s \varepsilon_s \hat{n}_s}]}{\text{Tr} [e^{-\beta \sum_s \varepsilon_s \hat{n}_s}]} \\ &= \frac{0 + e^{-\beta \varepsilon_k}}{1 + e^{-\beta \varepsilon_k}} \\ &= \frac{1}{e^{\beta \varepsilon_k} + 1} \end{aligned}$$

The discussion for bosons follows in the same way

$$\hat{H}_0 = \sum_k \omega_k \hat{a}_k^\dagger \hat{a}_k$$

$$\begin{cases} -\partial_\tau \hat{a}_k = [\hat{a}_k, \hat{H}_0] = \omega_k \hat{a}_k \\ -\partial_\tau \hat{a}_k^\dagger = [\hat{a}_k^\dagger, \hat{H}_0] = -\omega_k \hat{a}_k^\dagger \end{cases} \Rightarrow \begin{cases} \hat{a}_k(\tau) = e^{-\omega_k \tau} \hat{a}_k(0) \\ \hat{a}_k^\dagger(\tau) = e^{\omega_k \tau} \hat{a}_k^\dagger(0) \end{cases}$$

$$\begin{aligned} \mathcal{G}'(k, \tau) &= -\left\langle \mathcal{T} \left[ \hat{a}_k(\tau) \hat{a}_k^\dagger(0) \right] \right\rangle \\ &= -e^{-\omega \tau} \left[ \Theta(\tau) \left\langle \hat{a}_k(0) \hat{a}_k^\dagger(0) \right\rangle + \Theta(-\tau) \left\langle \hat{a}_k^\dagger(0) \hat{a}_k(0) \right\rangle \right] \\ &= -e^{-\omega \tau} [\Theta(\tau) (1 + n(\omega_k)) + \Theta(-\tau) n(\omega_k)] \end{aligned}$$

$$\begin{aligned} n(\omega_k) &= \frac{\text{Tr} \left[ \hat{a}_k^\dagger \hat{a}_k e^{-\beta \hat{H}_0} \right]}{\text{Tr} \left[ e^{-\beta \hat{H}_0} \right]} \\ &= \frac{\sum_{s=0} \omega_k s e^{-\beta \omega_k s}}{\sum_{s=0} e^{-\beta \omega_k s}} \\ &= \frac{1}{e^{\beta \omega_k} - 1} \end{aligned}$$

For bosons, however, it is also typical to consider the Green's functions associated with

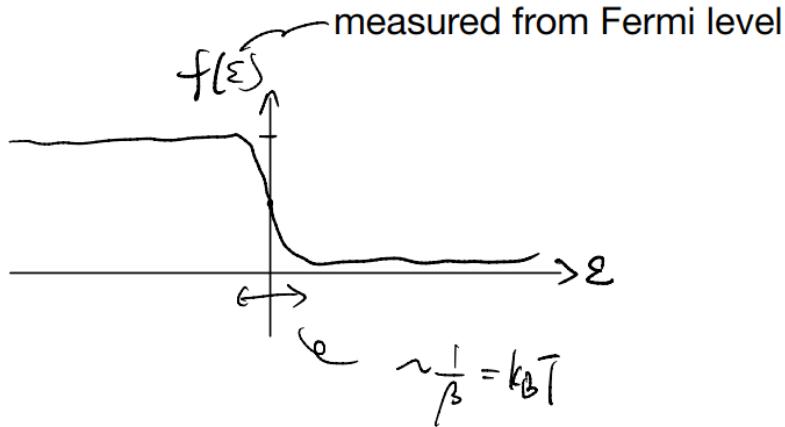
$$\hat{\phi}_k = \frac{1}{\sqrt{2m\omega_k}} (\hat{a}_k + \hat{a}_{-k}^\dagger)$$

(e.g., for phonons this corresponds to the Fourier transform of the atomic position)

$$\begin{aligned} \mathcal{D}(k, \tau) &= -\left\langle \mathcal{T} \left[ \hat{\phi}_k(\tau) \hat{\phi}_{-k}(0) \right] \right\rangle \\ &= \frac{-1}{2m\omega_k} \left\{ \Theta(\tau) \left\langle \left( e^{-\omega_k \tau} \hat{a}_k + e^{\omega_k \tau} \hat{a}_{-k}^\dagger \right) \left( \hat{a}_{-k} + \hat{a}_k^\dagger \right) \right\rangle \right. \\ &\quad \left. + \Theta(-\tau) \left\langle \left( \hat{a}_{-k} + \hat{a}_k^\dagger \right) \left( e^{-\omega_k \tau} \hat{a}_k + e^{\omega_k \tau} \hat{a}_{-k}^\dagger \right) \right\rangle \right\} \\ &= \frac{-1}{2m\omega_k} [\Theta(\tau) (e^{-\omega_k \tau} (1 + n(\omega_k)) + e^{\omega_k \tau} n(\omega_k)) + (\tau \leftrightarrow -\tau)] \end{aligned}$$

For both fermions and bosons, we see that the thermal occupation numbers  $f(\varepsilon)$  &  $n(\omega)$  appear, as expected. Since we will eventually think about complex frequencies when we Fourier transform the Matsubara Green's functions, it will be interesting to consider  $f(\varepsilon)$  &  $n(\omega)$  as a complex function of the single-particle energies.

For instance, consider



While it is a positive and non-singular over real  $\varepsilon$ , it can develop more interesting features when understood as a complex function. In particular, we can ask where the poles are

$$f(\varepsilon) = \frac{1}{e^{\beta\varepsilon} + 1}$$

A pole at  $\varepsilon^*$  if

$$e^{\beta\varepsilon^*} + 1 = 0$$

$$\Rightarrow \varepsilon^* = i(2n+1)\pi/\beta, \quad n \in \mathbb{Z}$$

Similarly, for bosons we have

$$n(\omega) = \frac{1}{e^{\beta\omega} - 1}$$

A pole at  $\omega^*$  if

$$e^{\beta\omega^*} - 1 = 0$$

$$\Rightarrow \omega^* = i2\pi n/\beta, \quad n \in \mathbb{Z}$$

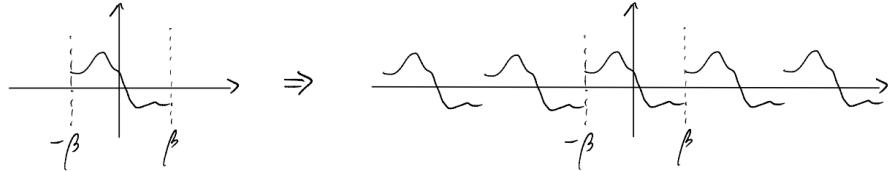
We make one curious observation here: the thermal occupation function for fermions and bosons are highly similar, and they both have an evenly spaced series of poles, it's just that the fermion ones are shifted by  $\pi/\beta$ . If we let  $\omega_\beta = \pi/\beta$ , then we can conclude the “boson frequencies” are even multiples of  $\omega_\beta$ , whereas the “fermion frequencies” are odd multiples.

## 22.3 Euclidean time is a loop

At long last, let's explore the consequences of the third required modification mentioned in the last lecture, namely, that the temporal direction is now finite.

Let us make two observations before doing the math:

1. While the Euclidean time is restricted to  $\tau \in [0, \beta]$ , in discussing the Green's function we allow for  $\tau < 0$  under the time-ordering operator. This implies the Green's function is now defined over the interval  $\tau \in [-\beta, \beta]$ , but at the same time, the negative part is not independent of the positive one (the two related by a switch of operator ordering)
2. (Recap of discrete Fourier) Given a function defined over a finite interval, we can always choose to repeat it to obtain a periodic function defined over the full range. This extended function has, by definition, a period of  $2\beta$ . Correspondingly, its Fourier series only contains frequencies at integer multiple of the fundamental frequency  $\omega_\beta = \frac{2\pi}{2\beta} = \frac{\pi}{\beta}$



In other words, the Fourier transform of the Matsubara Green's functions could only contain frequencies which are at integer multiples of  $\omega_\beta$ . Furthermore, we have seen a hint from the thermal occupation numbers that bosons and fermions respectively correspond to the even and odd multiples. This is related to observation (1) above, as we now show.

For this purpose, let us consider a somewhat general setup of some (interacting) Hamiltonian  $\hat{H}$ . We consider a pair of operators  $\hat{A}$  &  $\hat{B}$  such that the corresponding Matsubara Green's function reads

$$\begin{aligned}\mathcal{G}_{AB}(\tau) &= -\left\langle \mathcal{T} [\hat{A}(\tau) \hat{B}(0)] \right\rangle \\ &= -\Theta(\tau) \left\langle \hat{A}(\tau) \hat{B}(0) \right\rangle - \zeta_{A,B} \Theta(-\tau) \left\langle \hat{B}(0) \hat{A}(\tau) \right\rangle\end{aligned}$$

where  $\zeta_{A,B} = \pm 1$  encodes whether the two operators are mutually bosonic or fermionic

By observation (1) above, it should suffice to consider only half of the interval and recover the other. Let us focus on

$$\tau \in [-\beta, 0]$$

$$\begin{aligned}
\mathcal{G}_{AB}(\tau) &\stackrel{\tau \leq 0}{=} -\zeta_{A,B} \left\langle \hat{B}(0) \hat{A}(\tau) \right\rangle \\
&= -\zeta_{A,B} \text{Tr} \left[ e^{-\beta(\hat{H}-F)} \hat{B}(0) e^{\tau \hat{H}} \hat{A}(0) e^{-\tau \hat{H}} \right] \\
&\Downarrow \text{cyclic trace} \\
&= -\zeta_{A,B} e^{\beta F} \text{Tr} \left[ e^{\tau \hat{H}} \hat{A}(0) \color{blue}{e^{-\tau \hat{H}}} e^{-\beta \hat{H}} \hat{B}(0) \right] \\
&= -\zeta_{A,B} e^{\beta F} \text{Tr} \left[ e^{-\beta \hat{H}} \left( e^{(\tau+\beta)\hat{H}} \hat{A}(0) \color{blue}{e^{-(\tau+\beta)\hat{H}}} \right) \hat{B}(0) \right] \\
&= -\zeta_{A,B} \left\langle \hat{A}(\color{red}{\tau+\beta}) \hat{B}(0) \right\rangle \\
&\quad (\tau + \beta) \in [0, \beta]
\end{aligned}$$

This, indeed, recovers the Green's function in the segment  $\tau \in [0, \beta]$ , but with a possible “twist”  $\zeta_{A,B}$ . As such, we conclude

$$\mathcal{G}_{AB}(\tau + \beta) = \zeta_{A,B} \mathcal{G}_{AB}(\tau)$$

In particular, we could check that

$$\mathcal{G}_{AB}(\tau + 2\beta) = \zeta_{A,B} \mathcal{G}_{AB}(\tau + \beta) = \zeta_{A,B}^2 \mathcal{G}_{AB}(\tau) = \mathcal{G}_{AB}(\tau)$$

So, indeed, this defines an extended function over  $\tau \in \mathbb{R}$  which is periodic in  $2\beta$ . Yet, it is perhaps more natural (and popular) to think of the Matsubara Green's function as one with “period”  $\beta$ , but subjected to

1. periodic boundary condition  $\mathcal{G}_{AB}(\tau + \beta) = \mathcal{G}_{AB}(\tau)$  for bosonic operators with  $\zeta_{A,B} = 1$
2. anti-periodic boundary condition  $\mathcal{G}_{AB}(\tau + \beta) = -\mathcal{G}_{AB}(\tau)$  for fermionic operators with  $\zeta_{A,B} = -1$



# Chapter 23

## Lec23 20220429

Topics

1. Matsubara Green's functions in frequency space
2. Electron-phonon problem
3. Electron self-energy

Goals

1. Understand the new features of the finite-T problem in frequency space
2. Demonstrate the formalism in the electron-phonon problem

### 23.1 Matsubara Green's functions in frequency space

As usual, let us now Fourier transform to the frequency space. Since all data is contained within the interval  $\tau \in [0, \beta]$ , we have

$$\mathcal{G}_{AB}(i\omega_n) = \int_0^\beta d\tau \mathcal{G}_{AB}(\tau) e^{i\omega_n \tau}$$

where the Matsubara frequencies for  $n \in \mathbb{Z}$  are

$$\omega_n = \begin{cases} 2\pi n/\beta, & \text{bosonic, periodic} \\ (2n+1)\pi/\beta, & \text{fermionic, anti-periodic} \end{cases}$$

verify that, for the fermionic one, the phase factor satisfies

$$e^{i\omega_n(\tau+\beta)} = e^{i\omega_n\beta} e^{i\omega_\tau} = e^{i(2n+1)\pi} e^{i\omega_\tau} = -e^{i\omega_\tau}$$

as desired.

The inverse transform is now given by

$$\mathcal{G}_{AB}(\tau) = \frac{1}{\beta} \sum_n \mathcal{G}_{AB}(i\omega_n) e^{-i\omega_n \tau}$$

As a quick demonstration, let us now apply the general discussions above to the bare Matsubara Green's functions.

Free fermions:

$$\mathcal{G}(k, \tau) = -e^{-i\varepsilon_k \tau} [\Theta(\tau)(1 - f(\varepsilon_k)) + \Theta(-\tau)f(\varepsilon_k)]$$

$$\begin{aligned} \mathcal{G}(k, i\omega_n) &= \int_0^\beta d\tau \mathcal{G}(k, \tau) e^{i\omega_n \tau} \\ &= - \int_0^\beta d\tau e^{-i\varepsilon_k \tau} e^{i\omega_n \tau} (1 - f(\varepsilon_k)) \\ &= - \left(1 - \frac{1}{e^{\beta\varepsilon_k} + 1}\right) \frac{e^{i(\omega_n - \varepsilon_k)\beta} - 1}{i\omega_n - \varepsilon_k} \\ &\Downarrow e^{i\omega_n \beta} = -1 \\ &= \frac{-1}{e^{-\beta\varepsilon_k} + 1} \frac{-(e^{-\beta\varepsilon_k} + 1)}{i\omega_n - \varepsilon_k} \\ &= \frac{1}{i\omega_n - \varepsilon_k} \end{aligned}$$

Free bosons

$$\mathcal{D}(k, \tau) = \frac{-1}{2m\omega_k} [\Theta(\tau)(e^{-\omega_k \tau}(1 + n(\omega_k)) + e^{\omega_k \tau}n(\omega_k)) + (\tau \leftrightarrow -\tau)]$$

$$\begin{aligned} \mathcal{D}(k, i\nu_n) &= \frac{-1}{2m\omega_k} \int_0^\beta d\tau e^{i\nu_n \tau} (e^{-\omega_k \tau}(1 + n(\omega_k)) + e^{\omega_k \tau}n(\omega_k)) \\ &= \frac{-1}{2m\omega_k} \left[ (1 + n(\omega_k)) \frac{e^{i(\nu_n - \omega_k)\beta} - 1}{i\nu_n - \omega_k} + n(\omega_k) \frac{e^{i(\nu_n + \omega_k)\beta} - 1}{i\nu_n + \omega_k} \right] \\ &\Downarrow e^{i\nu_n \beta} = 1 \\ &= \frac{-1}{2m\omega_k} \left[ \frac{e^{-\beta\omega_k}}{e^{\beta\omega_k} - 1} \frac{e^{-\beta\omega_k} - 1}{i\nu_n - \omega_k} + \frac{1}{e^{\beta\omega_k} - 1} \frac{e^{\beta\omega_k} - 1}{i\nu_n + \omega_k} \right] \\ &= \frac{1}{2m\omega_k} \left[ \frac{1}{i\nu_n - \omega_k} - \frac{1}{i\nu_n + \omega_k} \right] \end{aligned}$$

Notice how the expressions resemble the zero-temperature results we have derived! In fact, the zero-temperature limit can be recovered by simply “Wick rotation” back to real frequencies (and real time):

$$i\omega_n \rightarrow \omega$$

$$i\nu_n \rightarrow \omega$$

In this sense, when defined on the complex plane there is only “one” propagator, although to differentiate, e.g., the retarded vs Feynman propagator, one needs to specify the frequency integral contour (typically through Feynman’s  $i\varepsilon$  prescription, i.e., for retarded Green’s function we Wick rotate by  $i\omega_n \rightarrow \omega + i\delta$  etc.)

But where is the temperature? In the Matsubara formalism, it is encoded in the spacing between the allowed frequencies. In other words, it is encoded in the sum over frequencies.

Having developed the basic formalism, let’s put it to use in a physical problem.

## 23.2 Electron-phonon problem

Recall the impurity-phonon problem we studied a couple of months ago, which served as our first nontrivial, but still exactly solved problem. After half a semester, let us “promote” our problem to a general quantum many-body problem, and see how we could attack it perturbative.

Consider electrons and phonons described respectively by (here, we roughly follow the notations in Coleman)

$$\begin{aligned}\hat{H}_e &= \sum_{k\sigma} \varepsilon_k \hat{c}_{k\sigma}^\dagger \hat{c}_{k\sigma}; \quad \varepsilon_k \sim \frac{k^2}{2m} - \mu \\ \hat{H}_{\text{ph}} &= \sum_q \omega_q \hat{a}_q^\dagger \hat{a}_q; \quad \omega_q \sim c|q|\end{aligned}$$

where for simplicity we have restricted our model to a single phonon mode, say the longitudinal acoustic mode. Let us now consider the possible form of the electron-phonon coupling. As fermion parity is conserved (or, one can say the Hamiltonian is always a bosonic operator) we have to start with a minimum of two fermion operators. In our problem, the electron number is conserved, so we consider some  $\hat{c}_{k'\sigma}^\dagger, \hat{c}_{k\sigma}$  to start with. Spin rotation invariance requires spin to be a spectator, “dummy” index, and so we have  $\sum_\sigma \hat{c}_{k'\sigma}^\dagger \hat{c}_{k\sigma}$ . In contrast, the phonon operators can enter “alone” into the Hamiltonian, and so the minimal coupling takes the form

$$g_{k'kq} \sum_\sigma \hat{c}_{k'\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q + \text{h.c.}$$

Under (discrete) translation, the momentum-space operators pick up phases

$$\begin{cases} \hat{t}_R \hat{c}_{k\sigma}^\dagger \hat{t}_R^{-1} = e^{-ik \cdot R} \hat{c}_{k\sigma}^\dagger \\ \hat{t}_R \hat{a}_q \hat{t}_R^{-1} = e^{-iq \cdot R} \hat{a}_q \end{cases}$$

$$\Rightarrow \hat{t}_R \hat{c}_{k'\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q \hat{t}_R^{-1} = e^{-i(k' - k - q) \cdot R} \hat{c}_{k'\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q$$

and so translation invariance fixes  $k' = k + q$

We also assume time-reversal symmetry,

$$\begin{aligned} \sum_{kq} g_{kq} \hat{c}_{k+q}^\dagger \hat{c}_k \hat{a}_q &\xrightarrow{\text{TR}} \sum_{kq} g_{kq}^* \hat{c}_{k+\bar{q}}^\dagger \hat{c}_{\bar{k}} \hat{a}_{\bar{q}} \\ \bar{q} &= -q \\ \Rightarrow g_{\bar{k}\bar{q}} &= g_{kq}^* \end{aligned}$$

Lastly, for simplicity let us assume  $g_{kq}$  is independent of  $k$ . This cannot be easily justified based on the “symmetry principles” we are using here, but can be motivated from a more microscopic treatment (similar to our earlier discussion in the impurity-phonon model; see e.g. Coleman 8.7 for details).

These considerations / assumptions bring us down to

$$\begin{aligned} \hat{H}_{\text{e-ph}} &= \sum_{kq} g_q \sum_{\sigma} \hat{c}_{k+q,\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q + \text{h.c.} \\ &= \sum_{kq} \left( g_q \sum_{\sigma} \hat{c}_{k+q,\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q + g_q^* \sum_{\sigma} \hat{c}_{k\sigma}^\dagger \hat{c}_{k+q,\sigma} \hat{a}_q^\dagger \right) \\ &= \sum_{kq} g_q \sum_{\sigma} \hat{c}_{k+q,\sigma}^\dagger \hat{c}_{k\sigma} \hat{a}_q + \sum_{kq} g_{\bar{q}}^* \sum_{\sigma} \hat{c}_{k\sigma}^\dagger \hat{c}_{k+\bar{q},\sigma} \hat{a}_{\bar{q}}^\dagger \\ &= \sum_{kq} g_q \sum_{\sigma} \hat{c}_{k+q,\sigma}^\dagger \hat{c}_{k\sigma} \left( \hat{a}_q + \hat{a}_{\bar{q}}^\dagger \right) \end{aligned}$$

The full Hamiltonian  $\hat{H} = \hat{H}_e + \hat{H}_{\text{ph}} + \hat{H}_{\text{e-ph}}$  is slightly simplified version of what is known as the “Frohlich Hamiltonian”. This can be viewed as the solid analog of QED, in which the role of the EM gauge field is played by the phonons. Note that we ignore e-e interactions here.

Unlike the impurity-phonon model, the current model is not (known to be) exactly solvable. To appreciate why, recall our solution to the impurity-phonon problem relied on the observation that the electron-number operators  $\hat{n}_i$  for each orbital commute with the Hamiltonian, i.e.,  $[\hat{n}_i, \hat{H}] = 0$ . Such conservation of the occupation numbers, however, are not “protected” by any physical principles, and so was instead a special feature of the model we wrote down. Such conservation is absent in the present problem, and as such we can only solve the physical properties perturbatively.

To be more concrete, we split the Hamiltonian into

$$\begin{aligned} \hat{H}_0 &= \hat{H}_e + \hat{H}_{\text{ph}} \\ \hat{V} &= \hat{H}_{\text{e-ph}} \end{aligned}$$

and the perturbation theory is obtained by going to the interaction picture with respect to  $\hat{H}_0$ . For instance, let us compute the Matsubara electron propagator. Suppressing the spin indices,

$$\mathcal{G}(k, i\omega_n) = \int_0^\beta d\tau e^{i\omega_n \tau} \mathcal{G}(k, \tau)$$

$$\begin{aligned}\mathcal{G}(k, \tau) &= -\left\langle \mathcal{T} \left[ \hat{c}_k(\tau) \hat{c}_k^\dagger(0) \right] \right\rangle \\ &= \frac{-\left\langle \mathcal{T} \left[ \hat{c}_{I,k}(\tau) \hat{c}_{I,k}^\dagger(0) \hat{S}(\beta, 0) \right] \right\rangle_0}{\left\langle \hat{S}(\beta, 0) \right\rangle_0}\end{aligned}$$

where

$$\begin{aligned}\langle \cdots \rangle_0 &= \frac{\text{Tr} \left[ e^{-\beta \hat{H}_0} \cdots \right]}{\text{Tr} \left[ e^{-\beta \hat{H}_0} \right]} \\ \hat{S}(\beta, 0) &= \mathcal{T} \left[ e^{-\int_0^\beta d\tau \hat{V}_I(\tau)} \right]\end{aligned}$$

as we have mentioned repeatedly, the expression above is essentially identical with the Gell-Mann-Low formula, except for the Euclidean time (and factors of  $i$ ), and the definition of the expectation value (which is thermal).

We now claim without proof that the perturbation expansion is essentially identical to that we have discussed for the zero-temperature problem, in particular

1. Wick's theorem still applies, and so the expectation value  $\langle \cdots \rangle_0$  can be evaluated through the combinatorial product and some of the basic contractions
2. The contractions can be organized through diagrams, i.e., we can still use Feynman diagrams
3. The linked cluster theorem holds, and so the presence of the denominator simply instructs us to focus on the connected diagrams
4. Dyson's equation holds, and so we can encode all the interaction correction to the self-energy.

Although we will not prove the validity of the treatment (neither did we really “prove” it for the zero-temperature case; we just tried to explain why it is plausible), it may be good to briefly discuss how one could establish that.

First, for the Wick's theorem, we note that the version needed is a “weaker” version concerning only the expectation values. In the modern treatment this is usually established through a path integral treatment with “sources” inserted, followed by taking functional derivatives. See, e.g., Coleman 8.4 for a discussion.

Alternatively, as a slightly less popular approach one can actually (formally) map the finite-temperature physics to the zero-temperature case by “purifying” the thermal density matrix into a pure state defined on a doubled system. This is called the thermal field dynamics / double. One can then imply that the thermal expectation value form of Wick's theorem through that of the TFD.

One might wonder about the operator version though, which is apparently stronger. Indeed, according to hep-ph/9601268 this was a topic of confusion. The conclusion from that paper is that, the operation form still holds, but

with a suitably generalized notion of path ordering (replacing time and normal ordering).

Given the Wick's theorem continues to hold, the rest of the discussion follows in essentially the same way. Long story short, we can simply treat the present perturbation theory in the same way as we did. There are two main differences in practice:

1. The Feynman rules (i.e. transcribing diagrams into mathematical expressions) have some modifications on factors of  $i$  versus  $-i$  etc.
2. The frequency integrals now become sums over the discrete Matsubara frequencies

Modification (1) is mild; in this course we didn't pay too much attention to those factors anyway (in practice, of course, it is important to get all the factors right in any serious calculation). Modification (ii), in contrast, is more profound. We will see how that is achieved in the following.

### 23.3 Electron self-energy

Compared to the jellium model, the present perturbation theory is modified in two ways:

1. We have another particle, the phonon, which comes with its own propagator
2. Instead of a (normal ordered) density-density interaction between the electrons, we have a coupling between electrons and phonons.

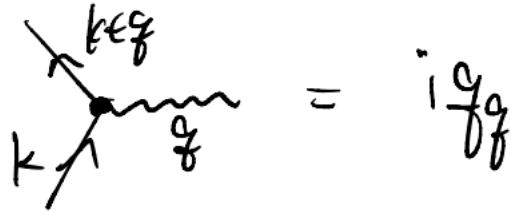
Diagrammatically, we can represent them by

(1) phonon propagator

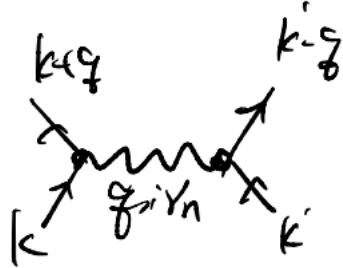


$$\begin{aligned}
&= \mathcal{D}(q, i\nu_n) \\
&= - \int_0^\beta d\tau e^{i\nu_n \tau} \left\langle \mathcal{T} [\hat{\phi}_q(\tau) \hat{\phi}_q(0)] \right\rangle \\
&= \frac{1}{i\nu_n - \omega_q} - \frac{1}{i\nu_n + \omega_q} \\
&= \frac{2\omega_q}{(i\nu_n)^2 - \omega_q^2}
\end{aligned}$$

(2) e-ph coupling vertex  $ig_q$



As one might anticipate from the notations, the phonons can be viewed as mediation interactions between the electrons. Indeed, the following diagram



$$= (ig_q)^2 \mathcal{D}_0(q, i\nu_n) = -g_q^2 \frac{2\omega_q}{(i\nu_n)^2 - \omega_q^2}$$

can be understood as an effective interaction. In particular, notice that while  $i\nu_n$  corresponds to the energy difference  $\sim \varepsilon_{k+q} - \varepsilon_k$ ,  $\omega_q$  is at the phonon energy scale  $\omega_D$ . Curiously the effective interaction changes sign for  $\delta\varepsilon \gtrsim \omega_D$  vs  $\delta\varepsilon \lesssim \omega_D$ : in particular, the interaction is attractive as  $\delta\varepsilon \rightarrow 0$ . This corresponds to the celebrated phonon-mediated attraction!

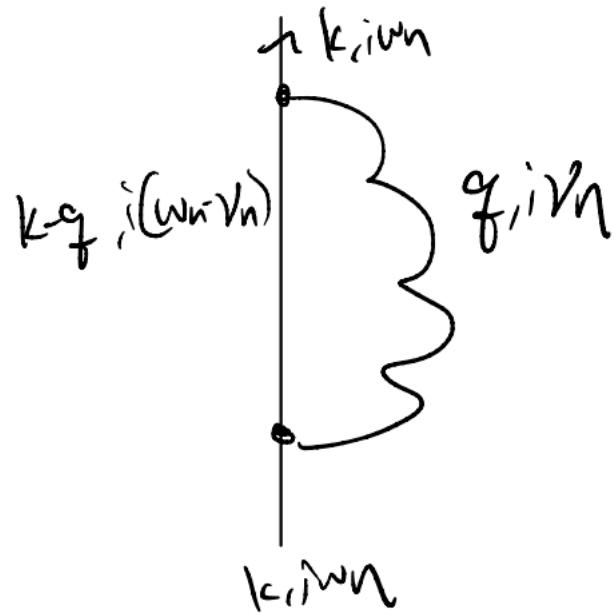
There are of course many questions one could investigate within the electron-phonon model. In the interest of time let us focus on the electron self-energy. Similar to before, we can reconcile the self-energy with the 1PI diagrams:

$$\Sigma = \text{diagram} + \text{diagram} + \text{diagram} + \text{diagram} + \dots$$

Let us focus on the lowest order diagram

$$\Sigma \approx \text{diagram}$$

This is actually fairly well-justified as an approximation, but we will not discuss why here in the interest of time (see, e.g., Coleman 8.7.3). Translating our diagram into an expression



$$\begin{aligned}
 &= \frac{1}{\beta} \sum_{q\nu_n} -g_q^2 \mathcal{D}(q, i\nu_n) \mathcal{G}_0(k - q, i(\omega_n - \nu_n)) \\
 &= \frac{1}{\beta} \sum_{q\nu_n} -g_q^2 \frac{2\omega_q}{(i\nu_n)^2 - \omega_q^2} \frac{1}{i(\omega_n - \nu_n) - \varepsilon_{k-q}}
 \end{aligned}$$

Now we “only” need to evaluate the sum over the Matsubara frequencies—but how do we do that?



# Chapter 24

## lec24 20220504

### Topics

1. Contour integral for Matsubara frequency summation
2. Phonon effects on electron self-energy
3. Recovering the zero-temperature limit and Fermi-liquid

### Goals

1. Learning how to evaluate diagrams in the Matsubara formalism
2. Providing a microscopic model for Fermi liquid behavior

### 24.1 Contour integral for frequency summation

Generally speaking, finding the closed form solution of an infinite sum is quite challenging. But in our context, such closed forms are especially desirable since we will oftentimes be interested in analytically continuing the results to find, e.g., the retarded Green's functions (c.f. PS6)

Thankfully, there's a smart trick for evaluating such infinite series: If the summands could be understood as the residues of a meromorphic function, then we could "reverse" the residue theorem and recast the sum into a contour integral! Importantly, the contours integral might be much easier to evaluate when deformed, which them allows us to evaluate the series.

Now, in our context, we need to pose the following question: which function has poles at exactly the Matsubara frequencies.

$$\begin{cases} i\omega_n = i(2n+1)\pi/\beta, & \text{fermionic} \\ i\nu_n = i2n\pi/\beta, & \text{bosonic} \end{cases}$$

If you still remember how we introduced these frequencies in the first place, you might recall the answer: these are exactly the poles for the respective thermal

distribution functions! In other words, we expect (taking the bosonic case for instance)

$$n(\omega) = \frac{1}{e^{\beta\omega} - 1} = c + \sum_{n=-\infty}^{\infty} \frac{r_n}{\omega - i\nu_n}$$

First, we can determine the residues  $r_n$  by letting  $\omega = i\nu_n + \delta$  with  $|\delta| \rightarrow 0$

$$\Rightarrow n(i\nu_n + \delta) = \frac{1}{e^{i\beta\nu_n} e^{\beta\delta} - 1} = \frac{1}{e^{\beta\delta} - 1} = \frac{1}{\beta\delta + O(\delta^2)}$$

$$\Rightarrow r_n = \frac{1}{\beta}$$

Now suppose we have some function  $F(\zeta)$  which can have some simple poles but is analytic along the entire imaginary axis (this is stronger than needed; imposed for simplicity here). We now consider the contour integral

$$\int_C \frac{d\zeta}{2\pi i} F(\zeta) n(\zeta) = \text{[Handwritten]} \quad ||$$

$$\int_C \frac{d\zeta}{2\pi i} F(\zeta) n(\zeta) = \frac{1}{\beta} \sum_n F(i\nu_n) \quad ||$$

$$\int_C \frac{d\zeta}{2\pi i} F(\zeta) n(\zeta) = \frac{1}{\beta} \sum_n F(i\nu_n)$$

Now further assuming that the function  $F(\zeta)n(\zeta)$  decays faster than  $\frac{1}{|\zeta|}$  as  $|\zeta| \rightarrow \infty$ , we use the usual trick of “adding arcs at infinity” to close the contours

$$Ae_\zeta = \int_C F(\zeta) n(\zeta) d\zeta = \sum_{i \in \text{poles}(F)} \text{Res}(F(\zeta) n(\zeta))$$

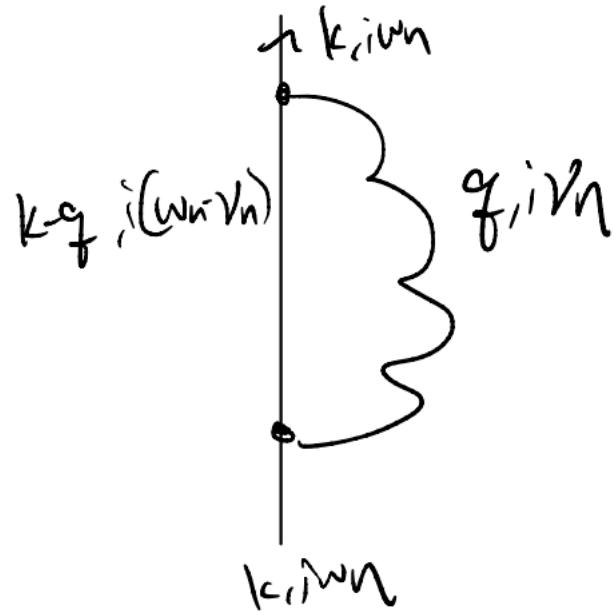
$$\int_C \frac{d\zeta}{2\pi i} F(\zeta) n(\zeta) = - \sum_{i \in \text{poles}(F)} \text{Res}[F(\zeta) n(\zeta)]$$

In other words, we can trade the infinite sum over the Matsubara frequencies with a sum over the (typically only a) handful of poles of  $F(\zeta)$ !

Note that, in the above, we argued the technique only for the case of summing bosonic frequencies for a function  $F(\zeta)$  with simple poles. The generalization to the fermionic case is anticipated simply through replacing  $n(\omega) \rightarrow f(\varepsilon)$ . (In that case, though, note that there will be a change of sign in the pole strengths.) However, for more general  $F(\zeta)$ , one has to also handle potential branch cuts. These are discussed, e.g., in Coleman 8.3 (also Bruus-Flensberg if you want more details)

## 24.2 Evaluating the electron self-energy

With such preparation, we may now go back to evaluating the electron self-energy



$$\begin{aligned}
 &= \frac{1}{\beta} \sum_{qn} -g_q^2 \frac{2\omega_q}{(i\nu_n)^2 - \omega_q^2} \frac{1}{i(\omega_n - \nu_n) - \varepsilon_{k-q}} \\
 &= - \sum_q g_q^2 \frac{1}{\beta} \sum_n F(i\nu_n)
 \end{aligned}$$

where

$$F(\zeta) = \frac{2\omega_q}{\zeta^2 - \omega_q^2} \frac{1}{i\omega_n - \varepsilon_{k-q} - \zeta}$$

which has poles at

$$\zeta^* = \omega_q, -\omega_q, i\omega_n - \varepsilon_{k-q}$$

To find out the residues it will be convenient to massage it slightly further

$$F(\zeta) = \left( \frac{1}{\zeta + \omega_q} - \frac{1}{\zeta - \omega_q} \right) \frac{1}{\zeta - (i\omega_n - \varepsilon_{k-q})}$$

and so we have

$$\begin{aligned}
\Sigma(k, i\omega_n) &\approx - \sum_q g_q^2 \frac{1}{\beta} \sum_n F(i\nu_n) \\
&= \sum_q g_q^2 \sum_i \text{Res}[F(\zeta) n(\zeta)] \\
&= \sum_q g_q^2 \left( \frac{-n(-\omega_q)}{\omega_q + i\omega_n - \varepsilon_{k-q}} + \frac{-n(\omega_q)}{\omega_q - i\omega_n + \varepsilon_{k-q}} \right. \\
&\quad \left. + n(i\omega_n - \varepsilon_{k-q}) \left( \frac{1}{i\omega_n + \omega_q - \varepsilon_{k-q}} - \frac{1}{i\omega_n - \omega_q - \varepsilon_{k-q}} \right) \right) \\
&= \sum_q g_q^2 \left( \frac{-n(-\omega_q) + n(i\omega_n - \varepsilon_{k-q})}{i\omega_n + \omega_q - \varepsilon_{k-q}} + \frac{n(\omega_q) - n(i\omega_n - \varepsilon_{k-q})}{i\omega_n - \omega_q - \varepsilon_{k-q}} \right)
\end{aligned}$$

the appearance of the fermionic frequencies  $i\omega_n$  inside the bosonic  $n(\omega)$  is a bit peculiar. Indeed, we can verify

$$\begin{aligned}
n(i\omega_n - \varepsilon_{k-q}) &= \frac{1}{e^{i\omega_n \beta} e^{-\beta \varepsilon_{k-q}} - 1} = \frac{-1}{e^{-\beta \varepsilon_{k-q}} + 1} = f(\varepsilon_{k-1}) - 1 \\
\Rightarrow \Sigma(k, i\omega_n) &= \sum_q g_q^2 \left( \frac{n(\omega_q) + f(\varepsilon_{k-q})}{i\omega_n - (\varepsilon_{k-q} - \omega_q)} + \frac{n(\omega_q) + 1 - f(\varepsilon_{k-q})}{i\omega_n - (\omega_q + \varepsilon_{k-q})} \right)
\end{aligned}$$

While this expression could be readily evaluated numerically, it would be helpful to analyze it slightly further within some approximations and limits. We will use the “density of states” trick, which convert (e.g.) momentum integrals into energy ones. To this end, we first notice that it suffices to focus on the effect of e-ph coupling near the Fermi surface: for electrons deep inside (far outside) the Fermi surface, i.e., with energy  $\varepsilon \gg \omega_D$ , the Debye frequency setting the energy scale of the phonons, we do not expect them to be affected by the e-ph coupling. Now, we observe that the only momentum dependence of  $\Sigma$  comes from its dependence on  $\varepsilon_{k-q}$ . By definition,  $\varepsilon_{k-q} \approx 0$  near the Fermi surface. In other words, to good approximation we can drop the momentum dependence

$$\Sigma(k, \zeta) \approx \Sigma(\zeta)$$

where we have also replace the Matsubara frequency  $i\omega_n$  by a more general complex variable  $\zeta$ .

More concretely, this can be achieved by explicitly averaging over the Fermi surface:

$$\Sigma(\zeta) = \frac{\int dS \Sigma(k_F \hat{k}, \zeta)}{\int dS}$$

where

$$\int dS = \int_0^\pi k_F^2 \sin \theta d\theta \int_0^{2\pi} d\phi$$

for a spherical Fermi surface. Next, we trade the sum over the (internal) integral by an energy integral. Rewrite

$$\begin{aligned}\Sigma(k, \zeta) &= \sum_q g_q^2 \left( \frac{n(\omega_q) + f(\varepsilon_{k-q})}{\zeta - (\varepsilon_{k-q} - \omega_q)} + \frac{n(\omega_q) + 1 - f(\varepsilon_{k-q})}{\zeta - (\omega_q + \varepsilon_{k-q})} \right) \\ &= \sum_{k'} g_{k-k'}^2 \left( \frac{n_{k-k'} + f_{k'}}{\zeta - (\varepsilon_{k'} - \omega_{k-k'})} + \frac{n_{k-k'} + 1 - f_{k'}}{\zeta - (\varepsilon_{k'} + \omega_{k-k'})} \right)\end{aligned}$$

and the sum over  $k'$  may be approximated by

$$\sum_{k'} \sim \int dS' dk'_\perp = \int dS' \frac{1}{|d\varepsilon_{k'}/dk'|} d\varepsilon_{k'} \approx \int \frac{dS' d\varepsilon_{k'}}{V_F(S')}$$

where in the last step we essentially linearized the bare electronic dispersion around the Fermi surface. This allows us to trade the momentum integral with a Fermi surface integral, together with one over the electronic energy. Lastly, we may also trade phonon dispersion with an integral over some dummy frequency together with a delta-function

$$h(\omega_q) = \int_0^\infty d\nu h(\nu) \delta(\nu - \omega_q)$$

Altogether, we have

$$\begin{aligned}\Sigma(\zeta) &= \int_{-\infty}^\infty d\varepsilon' \int_0^\infty d\nu \frac{1}{\int dS} \int \frac{dS dS'}{V_F(S')} g_{k-k'}^2 \delta(\nu - \omega_{k-k'}) \\ &\quad \times \left( \frac{n(\nu) + f(\varepsilon')}{\zeta - (\varepsilon' - \nu)} + \frac{n(\nu) + 1 - f(\varepsilon')}{\zeta - (\nu + \varepsilon')} \right)\end{aligned}$$

It is customary to denote the Fermi surface integral by

$$\alpha^2(\nu) F(\nu) = \frac{1}{\int dS} \int \frac{dS dS'}{V_F(S')} g_{k-k'}^2 \delta(\nu - \omega_{k-k'})$$

which can be viewed as a Fermi surface average of the e-ph coupling weighted by the density of states. We then arrive at

$$\Sigma(\zeta) = \int_{-\infty}^\infty d\varepsilon' \int_0^\infty d\nu \alpha^2(\nu) F(\nu) \left( \frac{n(\nu) + f(\varepsilon')}{\zeta - (\varepsilon' - \nu)} + \frac{n(\nu) + 1 - f(\varepsilon')}{\zeta - (\nu + \varepsilon')} \right)$$

To probe the physical properties of the system, let us go to the retarded version by setting  $\zeta \rightarrow \omega + i\delta$  (c.f. PS6)

$$\begin{aligned}\Sigma^{\text{ret}}(\omega) &= \lim_{\delta \rightarrow 0^+} \Sigma(\omega + i\delta) \\ &= P \int_{-\infty}^\infty d\varepsilon' \int_0^\infty d\nu \alpha^2(\nu) F(\nu) \left( \frac{n(\nu) + f(\varepsilon')}{\omega - (\varepsilon' - \nu)} + \frac{n(\nu) + 1 - f(\varepsilon')}{\omega - (\nu + \varepsilon')} \right) \\ &\quad - i\pi \int_{-\infty}^\infty d\varepsilon' \int_0^\infty d\nu \alpha^2(\nu) F(\nu) [(n(\nu) + f(\varepsilon')) \delta(\omega - \varepsilon' + \nu) \\ &\quad + (n(\nu) + 1 - f(\varepsilon')) \delta(\omega - \varepsilon' - \nu)]\end{aligned}$$

Furthermore, consider the low-temperature limit in which

$$n(\nu) \rightarrow 0, \quad f(\varepsilon) = \Theta(-\varepsilon)$$

We could evaluate the  $\varepsilon'$  integral and find

$$\begin{aligned} \Re[\Sigma_{\tau=0}^{\text{ret}}(\omega)] &= P \int_{-\infty}^{\infty} d\varepsilon' \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \left( \frac{\Theta(-\varepsilon')}{\omega - \varepsilon' + \nu} + \frac{\Theta(\varepsilon')}{\omega - \nu - \varepsilon'} \right) \\ &= \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \lim_{R \rightarrow \infty} \left[ \int_{-R}^0 \frac{d\varepsilon'}{\omega - \varepsilon' + \nu} + \int_0^R \frac{d\varepsilon'}{\omega - \varepsilon' - \nu} \right] \\ &= \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \lim_{R \rightarrow \infty} \left[ \ln \left( \frac{\omega + R + \nu}{\omega + \nu} \right) + \ln \left( \frac{\omega - \nu}{\omega - \nu - R} \right) \right] \\ &= \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \lim_{R \rightarrow \infty} \ln \left( \frac{R + \nu + \omega}{R + \nu - \omega} \frac{\nu - \omega}{\nu + \omega} \right) \\ &= \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \ln \left( \frac{\nu - \omega}{\nu + \omega} \right) \end{aligned}$$

In the low-frequency limit, we might expand

$$\begin{aligned} \Re[\Sigma_{\tau=0}^{\text{ret}}(\omega)] &\approx \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \left( -\frac{2\omega}{\nu} + \cdot s \right) \\ &= -2 \left[ \int_0^{\infty} d\nu \frac{\alpha^2(\nu) F(\nu)}{\nu} \right] \omega \\ &= -\lambda \omega \end{aligned}$$

As we will soon see, such frequency dependence ultimately translates into a reduction of the quasi-particle weight.

The meaning of the parameter  $\lambda$  will become clearer if we recast it back into the full form

$$\begin{aligned} \lambda &= 2 \int_0^{\infty} d\nu \frac{1}{\int dS} \int \frac{dS dS'}{V_F(S')} \delta(\nu - \omega_{k-k'}) \frac{g_{k-k'}^2}{\nu} \\ &= \frac{2}{\int dS} \int \frac{dS dS'}{V_F(S')} \frac{g_{k-k'}^2}{\omega_{k-k'}} \\ &> 0 \end{aligned}$$

This combination may look familiar: back in the impurity-phonon problem, we found that the energy correction to the impurity takes the form  $\sim \sum_q M_{iq}^2 / \omega_q$ , where  $M_{iq}$  is e-ph coupling parameter there. Here, what we have is essentially a Fermi-surface averaging of the coupling!

Next, let us look into the imaginary part

$$\begin{aligned}\Im[\Sigma_{\tau=0}^{\text{ret}}(\omega)] &= -\pi \int_{-\infty}^{\infty} d\varepsilon' \int_0^{\infty} d\nu \alpha^2(\nu) F(\nu) \\ &\quad \times [\Theta(-\varepsilon') \delta(\omega - \varepsilon' + \nu) + \Theta(\varepsilon') \delta(\omega - \varepsilon' - \nu)] \\ &= -\pi \int_{-\infty}^{\infty} d\varepsilon' [\Theta(-\varepsilon') \Theta(\varepsilon' - \omega) \alpha^2(\varepsilon' - \omega) F(\varepsilon' - \omega) \\ &\quad + \Theta(\varepsilon') \Theta(\omega - \varepsilon') \alpha^2(\omega - \varepsilon') F(\omega - \varepsilon')] \\ &= -\pi \left[ \int_{\min(0, \omega)}^0 d\varepsilon' \alpha^2(\varepsilon' - \omega) F(\varepsilon' - \omega) + \int_0^{\max(0, \omega)} d\varepsilon' \alpha^2(\omega - \varepsilon') F(\omega - \varepsilon') \right]\end{aligned}$$

Notice the interesting feature that  $\Im[\Sigma_{\tau=0}^{\text{ret}}(\omega \rightarrow 0)] \rightarrow 0$ ! We may now tie all these discussions together by looking at the electron spectral function, which is given by the imaginary part of the retarded propagator:

$$\begin{aligned}A(k, \omega) &= \frac{-1}{\pi} \Im[G^{\text{ret}}(k, \omega)] \\ &= \frac{-1}{\pi} \lim_{\delta \rightarrow 0^+} \Im[G(k, \omega + i\delta)] \\ &= \frac{-1}{\pi} \lim_{\delta \rightarrow 0^+} \Im \left[ \frac{1}{G_0^{-1}(k, \omega + i\delta) - \Sigma(\omega + i\delta)} \right] \\ &= \frac{-1}{\pi} \lim_{\delta \rightarrow 0^+} \Im \left[ \frac{1}{\omega + i\delta - \varepsilon_k - \Re[\Sigma^{\text{ret}}(\omega)] - i\Im[[\Sigma^{\text{ret}}(\omega)]]} \right] \\ &\Downarrow \omega \sim 0 \\ &\approx A_{\text{coh}}(k, \omega) + \dots \\ A_{\text{coh}}(k, \omega) &= \frac{-1}{\pi} \lim_{\delta \rightarrow 0^+} \Im \left[ \frac{1}{\omega - \varepsilon_k + \lambda\omega + i\delta - i\Im[[\Sigma^{\text{ret}}(\omega)]]} \right]\end{aligned}$$

where we have given a name to the leading piece (will be clearer later). Let's further clean it up by defining

$$\begin{aligned}\mathcal{Z} &= \frac{1}{1 + \lambda} \\ \varepsilon_k^* &= \frac{\varepsilon_k}{1 + \lambda} \\ \Gamma_\omega^* &= -\frac{2\Im[\Sigma^{\text{ret}}(\omega)]}{1 + \lambda} \geq 0 \\ \Rightarrow A_{\text{coh}} &\stackrel{\omega \sim 0}{\approx} \frac{-1}{\pi} \lim_{\delta \rightarrow 0^+} \Im \left[ \frac{\mathcal{Z}}{\omega - \varepsilon_k^* + i\Gamma_\omega^*/2 + i\delta} \right] \\ &= \begin{cases} \frac{1}{2\pi} \frac{\mathcal{Z}\Gamma_\omega^*}{(\omega - \varepsilon_k^*)^2 + (\Gamma_\omega^*)^2/4}, & \text{if } \Gamma_\omega^* > 0 \\ \mathcal{Z}\delta(\omega - \varepsilon_k^*), & \text{if } \Gamma_\omega^* = 0 \end{cases}\end{aligned}$$

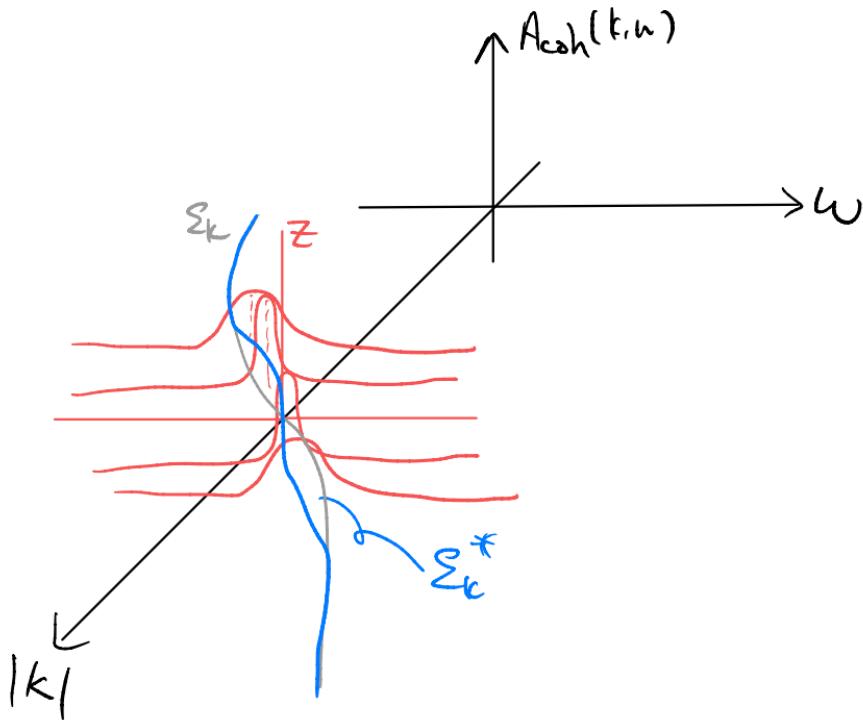
The piece corresponding to  $\Gamma_\omega^* > 0$  is simply the Lorentzian, which is normalized as

$$\frac{1}{2\pi} \int_{-\infty}^{\infty} d\omega \frac{\Gamma_\omega^*}{(\omega - \varepsilon_k^*)^2 + (\Gamma_\omega^*)^2 / 4} = 1$$

and since it recovers the delta function in the limit  $\Gamma_\omega^* \rightarrow 0^*$ , we may combine the two pieces simply as

$$A_{\text{coh}} = \frac{1}{2\pi} \frac{Z\Gamma_\omega^*}{(\omega - \varepsilon_k^*)^2 + (\Gamma_\omega^*)^2 / 4}$$

We may now sketch it schematically

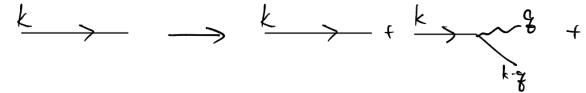


If you still recall, this is exactly the Fermi-liquid behavior we mentioned!

Note: but our zero-temperature calculation is a bit of a lie: in reality there's a superconducting instability!

To unpack the physics further, we note that:

1. We lose the delta-function spectral function characteristic of the free-fermion problem in the present case, due to a generally finite particle decay



rate, which can be represented schematically as  
in other words, as the electron moves, it drags around it a cloud of phonons. Such dressing modifies the properties of the electron!

2. Nevertheless, exactly on the Fermi surface we have no “room” to decay, and that recovers a sharp delta function. However, the quasi-particle weight  $\mathcal{Z} = \frac{1}{1+\lambda} < 1$  (with the rest of the spectral weight transferred to the “incoherent” background)
3. The dressing also modifies the effective mass of the electrons as

$$\begin{aligned}\varepsilon_k^* &= \frac{\varepsilon_k}{1+\lambda} = \frac{k^2}{2m^*} - \frac{\mu}{1+\lambda} \\ m^* &= (1+\lambda)m \\ \Rightarrow \frac{m^*}{m} &= 1 + \lambda > 1\end{aligned}$$

i.e., the electrons become effectively more massive due to the dressing by phonons! A simple physical picture is that, within an energy windows of size  $\omega_D$  or so, the e-ph coupling renormalizes the electronic energy towards 0. This leads to a smaller effective Fermi velocity, and bigger effective mass, and a bigger effective density of states.

For an illustration in a specific model, see, e.g. Coleman Example 8.7.

# Chapter 25

## Lec25 20220506

Topics

1. Recap of the course so far
2. Intro to strongly correlated quantum many-body problems
3. Hubbard model and quantum magnets
4. Magnetic order and magnons

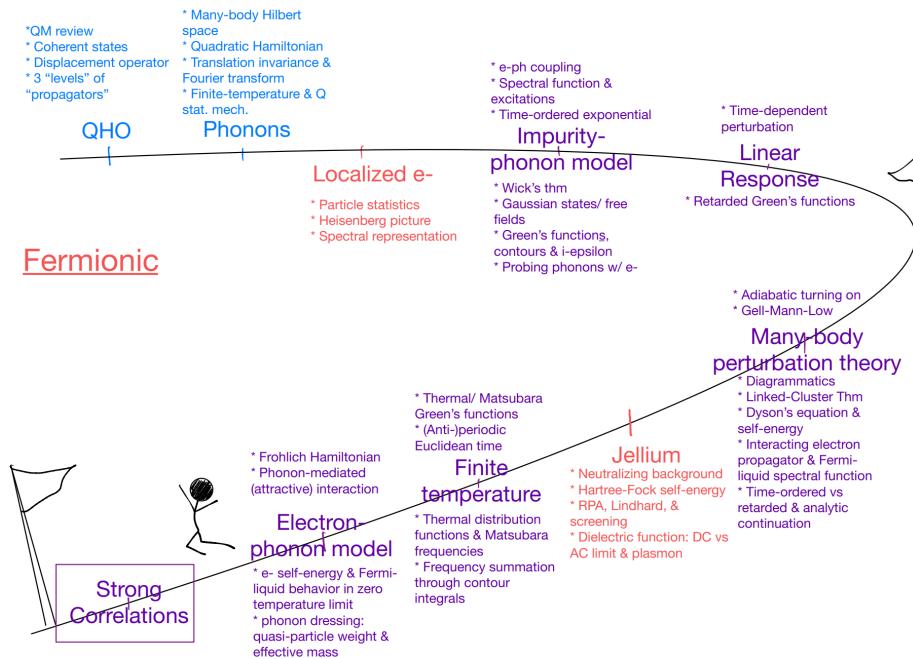
Goals

1. A taste of how interactions can change what we see from what we started with

### 25.1 Finally, we are in count-down mode!

For these last two lectures, let's do something a bit different: for the previous classes we have tried to stay relatively "pedagogical", in the sense that we tried to elaborate on every detail of the calculations (e.g., doing integrals, discussing how to take limits, crank through most of the steps etc.). The idea was that, alongside the discussion on the physical pictures, these lectures would hopefully provide you with a starting point for really learning how to do related calculations in quantum many-body theory (e.g., to complete the problems sets). For these last two lectures, however, let's switch to a "topic course" style in which we will skip all the steps in calculations and instead try to highlight only the physics!

Let's begin by recapping (again!) what we've covered

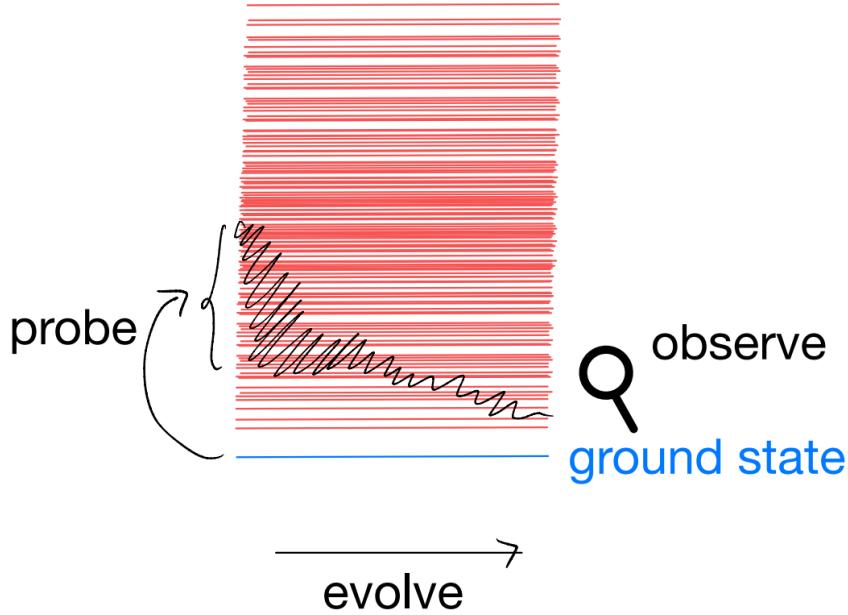


For this very last stretch of the course, let's focus on strong-correlation problems! Of course, you can skip this if you prefer (it's not like you can't skip any of the parts before... This is a grad-school course, and you learn what you want :)

## 25.2 When are electrons electrons?

Quantum many-body problems are usually specified in two steps: first, we gather the actresses / actors; second, we give them a script. For instance, in the electron-phonon problem we first specify the degrees of freedom being a collection of electrons and phonons, and then describe their dynamics (both individually, and also their interplay) with a Hamiltonian.

In practice, however, one really only cares about the dynamics which is accessible on experimentally relevant time / energy scale. For instance, recall our “three levels” of reasons why the Green’s functions are physically significant: the ground state itself, in complete isolation, has no dynamics and so no physics. It is only when we “probe” the system that we have anything interesting happening. Schematically, one can imagine drawing the many-body energy levels



In particular, our observation results depend on what we use to probe (e.g., one- vs two-particle Green's functions), as well as how we measure (e.g., AC vs DC). In any case, we are mostly interested only in the low-energy degrees of freedom. So far in this course, we have assumed that these relevant degrees of freedom are well-described by the microscopic ones which enter into the Hamiltonian: the actors / actresses may be dressed but they retain their identities. That is, in fact, an implicit assumption of a perturbative treatment: by definition one cannot go too far from where we started (of course, one could also consider non-perturbative effects in the same framework).

The preceding discussion then suggests that we could have alternative scenarios in which the effective degrees of freedom do not need to resemble the microscopic ones. This, by definition, does not happen when the Hamiltonian is non-interacting. As such, this alternative scenario is usually referred to as “strongly correlated”. In the following we will attempt to take a quick tour on some of the possible physics happening in such problems.

### 25.3 Hubbard model

As the “standard” model for strongly correlated electrons, let us consider the single-band Hubbard model of the form

$$\hat{H} = -t \sum_{\langle i,j \rangle} \sum_{\sigma=\uparrow,\downarrow} \hat{c}_{i\sigma}^\dagger \hat{c}_{j\sigma} + U \sum_i (\hat{n}_i - 1)^2$$

where the onsite number operator

$$\hat{n}_i = \sum_{\sigma} \hat{c}_{i\sigma}^{\dagger} \hat{c}_{i\sigma}$$

takes values of 0, 1, 2. We take the interaction to be repulsive, i.e.,  $U > 0$ . The spatial indices  $i, j$  usually correspond to sites on some lattices, and  $\langle i, j \rangle$  denotes some bonds (say nearest neighbors). For our purpose here, we will just keep them generic. (Note: it is more standard to include a chemical potential term which can be tuned to adjust the electron filling, i.e., average number of electrons per site. We have implicitly absorbed that into the interaction piece here.)

The strongly correlated limit is obtained when we consider  $t/U \ll 1$ . In that limit, we can as well just start with  $t = 0$ . When  $t = 0$ , the Hamiltonian simply reads

$$\hat{H} = U \sum_i (\hat{n}_i - 1)^2$$

and since the number operators commute  $[\hat{n}_i, \hat{n}_j] = 0$ , the eigenstates of the Hamiltonian are specified by their eigenvalues  $|n_1, n_2, \dots\rangle$ , giving

$$\hat{H}|n_1 n_2 \dots\rangle = U \sum_i (n_i - 1)^2 |n_1 n_2 \dots\rangle$$

The ground state is obtained by setting  $n_i = 1, \forall i$ , which has eigenenergy 0. The spectrum is then equally spaced at intervals of  $U$ .

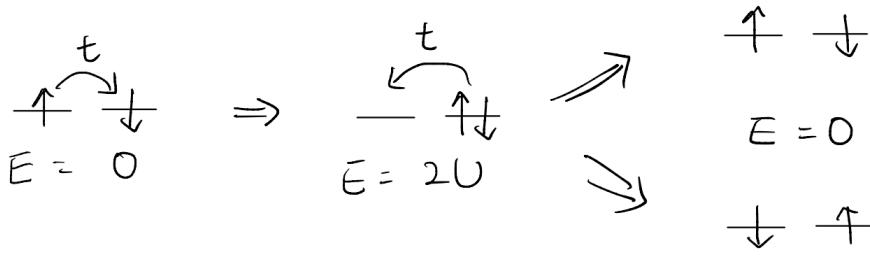


note that we have color-coded the fermion parity of the states, i.e., lines with same color represent states with the same number of electrons mod 2 (e.g., blue=even and red=odd). The fermion parity is an important aspect of a (many-body) fermionic problem, since the Hamiltonian is always bosonic and therefore conserves the number of fermions mod 2.

However, this  $t = 0$  limit is deceptively simple: on every site there are two states with  $n = 1$ :  $\hat{c}_{i\uparrow}^\dagger |0\rangle, \hat{c}_{i\downarrow}^\dagger |0\rangle$ . The interaction alone does not differentiate between these two states, and so far a system with  $V$  sites we actually have  $2^V$  ground states which are all at zero energy! Of course, this exact degeneracy is rather unphysical: we expect any perturbation to split it. The highly nontrivial question now is how the degeneracy is split.

To this end, let us turn on the electron hopping  $t$ . In the limit  $t/U \ll 1$ , we expect the lowest energy states to stay within the sector one electron per site. The effect of the kinetic energy parametrized by  $t$  can then be understood perturbatively. We claim its main effect is to factor anti-parallel alignment of neighboring electrons.

To see why, let us consider a simplified problem with only two sites. Let us contrast how the perturbation could affect two different initial states:



vs



as such, while the energy of the anti-parallel arrangement could be lowered in second-order perturbation by  $O(t^2/U)$ , the parallel-spin arrangement does not. Combining with the presence of the spin-rotation symmetry in our model, we see that the ground state of the system will be the spin singlet state  $(|\uparrow\downarrow\rangle - |\downarrow\uparrow\rangle)/\sqrt{2}$ . (One may wonder what happens to the “even” combination: that is part of the spin triplet, and by symmetry has to be degenerate with the “parallel-spin” states. Consistently, one can verify that the second-order perturbation actually vanishes for the even combination.)

Extending the argument to a lattice, we expect the effective Hamiltonian to look like

$$\hat{H}_{\text{eff}} = J \sum_{\langle i,j \rangle} \sum_{\alpha=x,y,z} \hat{S}_i^\alpha \hat{S}_j^\alpha$$

where  $J \sim \frac{t^2}{U} > 0$  is anti-ferromagnetic, in that it favors the spin-singlet configuration across nearest neighbors. Such spin-rotation invariant model is usually

called the “Heisenberg model”. In terms of the electrons, the spin operators are given by

$$\hat{S}_i^\alpha = \frac{1}{2} \begin{pmatrix} \hat{c}_{i\uparrow}^\dagger & \hat{c}_{i\downarrow}^\dagger \end{pmatrix} \sigma^\alpha \begin{pmatrix} \hat{c}_{i\uparrow} \\ \hat{c}_{i\downarrow} \end{pmatrix}$$

where  $\sigma^\alpha$  denotes the Pauli matrices. E.g.,

$$\hat{S}_i^x = \frac{1}{2} \left( \hat{c}_{i\uparrow}^\dagger \hat{c}_{i\downarrow} + \hat{c}_{i\downarrow}^\dagger \hat{c}_{i\uparrow} \right)$$

In particular, notice that these “spin operators” do not change the site occupancy, and so they manifestly stay within the ground-state sector defined by the  $U \rightarrow \infty$ . Indeed, we have (dropping the site index)

$$\hat{S}^x \hat{c}_\uparrow^\dagger |0\rangle = \frac{1}{2} (\hat{c}_\downarrow^\dagger |0\rangle)$$

implements a spin-flip for the electron on the site (and similarly for  $\hat{S}^y$ ). Furthermore, and importantly,

$$(1 - \delta_{ij}) [\hat{S}_i^\alpha, \hat{S}_j^\beta] = 0$$

And as such we can make the following conclusions concerning the “strong coupling”  $t/U \ll 1$  limit:

1. The relevant Hilbert space (defined by single occupancy on every site) is  $2^V$  dimensional, with  $V$  being the number of sites in the system
2. The effective operators (observables) are the spin operators, which are microscopically bilinears of the electrons on the same site
3. Operators localized to different sites simply commute, and this defines a (effective) bosonic Hilbert space

In other words, this gives one example in which the “relevant” states are bosonic in nature, although microscopically we start with the fermionic electrons!



## 25.4 Magnons: bosonic excitations from fermions

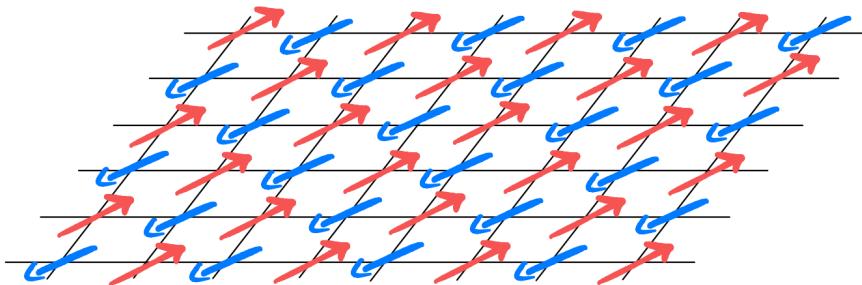
Let us now take the perspective that the relevant Hilbert space is that of the localized spin moments, and as such is bosonic. We call such systems “quantum magnets”. Given this setup, our next question would be to ask what is the ground state of the effective Hamiltonian, and, correspondingly, what are the low-energy excitations.

Generally speaking, predicting the ground state for an interacting, quantum many-body system is an extremely hard problem. In contrast, experiments can often give us a clear physical picture. As the name suggests, one possible outcome of a quantum magnet is the development of magnetism, i.e., the spin moments spontaneously pick an axis and point in that direction in the ground state. (There can be many varieties, for instance, maybe the system has some anisotropy to start with and prefer one direction over the two others, which leads to an Ising-like model; alternatively, maybe one direction is disfavored over the two others, which gives an “easy-plane” model. The magnetic ordering itself can also be very diverse. For instance, maybe all moments are pointing in the same direction leading to a ferromagnet. Alternatively, maybe they alternate and form an anti-ferromagnet. More exotic properties could involve spin textures which vary in space with some wavelength.)

To be concrete, let us suppose we have the following setup

1. A quantum magnet with one spin-half localized to each site on a 2D square lattice (e.g., one electron per site)
2. An anti-ferromagnetic ground state in which nearest neighbors point in opposite directions

Pictorially, the ground state can be pictured as follows:



Such ground state is usually called the Neel order. Supposing this is indeed the ground state, we can choose to pick the spin ordering direction as the “z axis” (which doesn’t need to be out-of-plane). Furthermore, it will be convenient for us to perform a “basis rotation” (i.e., unitary rotations) on half of the sites,

say the blue ones, such that

$$\left(\hat{S}_i^x, \hat{S}_i^y, \hat{S}_i^z\right) \rightarrow \left(\hat{S}_i^x, -\hat{S}_i^y, -\hat{S}_i^z\right)$$

(Recall the magnetic moments transform as a vector under SO(3) rotation. We see that the above can be achieved through a  $\pi$  rotation about the x-axis.)

The nearest-neighbor square lattice Heisenberg model can then be written as

$$\hat{H} = J \sum_{\langle i,j \rangle} \sum_{\alpha} \hat{S}_i^{\alpha} \hat{S}_j^{\alpha}; \quad J > 0$$

$$\Rightarrow \quad \hat{H} = J \sum_{\langle i,j \rangle} \hat{S}_i^x \hat{S}_j^x - J \sum_{\langle i,j \rangle} \hat{S}_i^y \hat{S}_j^y - J \sum_{\langle i,j \rangle} \hat{S}_i^z \hat{S}_j^z$$

where we have used the property that any “bond” is between a red site and a blue site. In this rotated basis, the anti-ferromagnetic order can be described as one in which all spins are points “up”!

Since the spin operators define a bosonic Hilbert space, it will be tempting to describe our local two-level system using canonical bosonic creation and annihilation operators. In particular, it will be natural to let the bosonic vacuum be our asserted ground state, i.e., the all-up state in the rotated basis. Indeed, using a bosonic occupancy basis we have

$$\hat{S}^z \Rightarrow \frac{1}{2} (|0\rangle\langle 0| - |1\rangle\langle 1|) = \frac{1}{2} - \hat{n}_0$$

$$\hat{S}^x \Rightarrow \frac{1}{2} (|0\rangle\langle 1| + |1\rangle\langle 0|) = \frac{1}{2} (\hat{b}^\dagger + \hat{b})$$

$$\hat{S}^y \Rightarrow \frac{1}{2} (i|0\rangle\langle 1| - i|1\rangle\langle 0|) = \frac{i}{2} (\hat{b}^\dagger - \hat{b})$$

there is a big problem though: the bosonic occupancy goes off to infinity, and so the bosonic problem has an infinite dimensional Hilbert space. In contrast, the original spin-1/2 problem is a two level system! One way to go around this conceptual difficulty will be to impose a hardcore constraint, namely, we kick out all states in the bosonic Hilbert space with  $n_b > 1$ . This could be energetically enforced by adding a “constraint” in the effective Hamiltonian

$$\hat{H}_{\text{hardcore}} = \tilde{U} \sum_i \hat{n}_{b,i} (\hat{n}_{b,i} - 1)$$

and send  $\tilde{U} \rightarrow \infty$ . Alternatively, one can consider a more proper transformation in which the  $n_b = 0, 1$  states are guaranteed to be decoupled from the  $n_b > 1$  sector. This latter option is called the “Holstein-Primakoff” bosons (which works for general spin  $S$ ); see, e.g., Auerbach for a discussion.

Setting aside the constraint, we might now rewrite the (rotated) Hamiltonian in terms of  $\hat{b}$  &  $\hat{b}^\dagger$ :

$$\begin{aligned}\hat{H} &= J \sum_{\langle i,j \rangle} \hat{S}_i^x \hat{S}_j^x - J \sum_{\langle i,j \rangle} \hat{S}_i^y \hat{S}_j^y - J \sum_{\langle i,j \rangle} \hat{S}_i^z \hat{S}_j^z \\ &\Rightarrow \frac{J}{4} \sum_{\langle i,j \rangle} \left[ (\hat{b}_i^\dagger + \hat{b}_i) (\hat{b}_j^\dagger + \hat{b}_j) - i^2 (\hat{b}_i^\dagger - \hat{b}_i) (\hat{b}_j^\dagger - \hat{b}_j) \right] \\ &\quad - J \sum_{\langle i,j \rangle} \left( \frac{1}{2} - \hat{n}_{b,i} \right) \left( \frac{1}{2} - \hat{n}_{b,j} \right) \\ &= \frac{J}{2} \sum_{\langle i,j \rangle} (\hat{b}_i^\dagger \hat{b}_j^\dagger + b_i b_j) + 4J \sum_i \frac{1}{2} \hat{n}_{b,i} + \frac{J}{4} \sum_{\langle i,j \rangle} \hat{n}_{b,i} \hat{n}_{b,j} + \text{constant}\end{aligned}$$

Introducing Fourier transform as usual

$$\hat{b}_k = \frac{1}{\sqrt{V}} \sum_i \hat{b}_i e^{-ik \cdot r}; \quad k = (k_x, k_y); r_i = (x_i, y_i)$$

and in momentum space we have

$$\hat{H}_b = \frac{J}{2} \sum_k \hat{b}_k^\dagger \hat{b}_{-k}^\dagger (e^{ik_x} + e^{ik_y}) + \text{h.c.} + 2J \sum_k \hat{b}_k^\dagger \hat{b}_k + \text{interactions}$$

Now, if our ground state was a good starting point, we expect  $n_b \sim 0$  to be small. That then suggests the interaction term  $\sim \hat{n}_{b,i} \hat{n}_{b,j}$  to be “doubly small” and so might be neglected. Similar argument applies to the hardcore constraint. (Admittedly, these are pretty hand-waving and are not truly justified. For a more careful treatment, see, e.g., Auerbach, for how the mean-field approximation can be justified in the large-S limit. Note that we have the smallest possible  $S$  of  $\frac{1}{2}$  in the present problem!)

We are then left with the quadratic Hamiltonian

$$\hat{H}_b \simeq J \sum_k \left[ \frac{\cos k_x + \cos k_y}{2} (\hat{b}_k^\dagger \hat{b}_{-k}^\dagger + \hat{b}_{-k} \hat{b}_k) + 2\hat{b}_k^\dagger \hat{b}_k \right]$$

which can be diagonalized by some Bogoliubov transform

$$\hat{\alpha}_k = \cosh \theta_k \hat{b}_k - \sinh \theta_k \hat{b}_{-k}^\dagger$$

$$\hat{b}_k = \cosh \theta_k \hat{\alpha}_k + \sinh \theta_k \hat{\alpha}_{-k}^\dagger$$

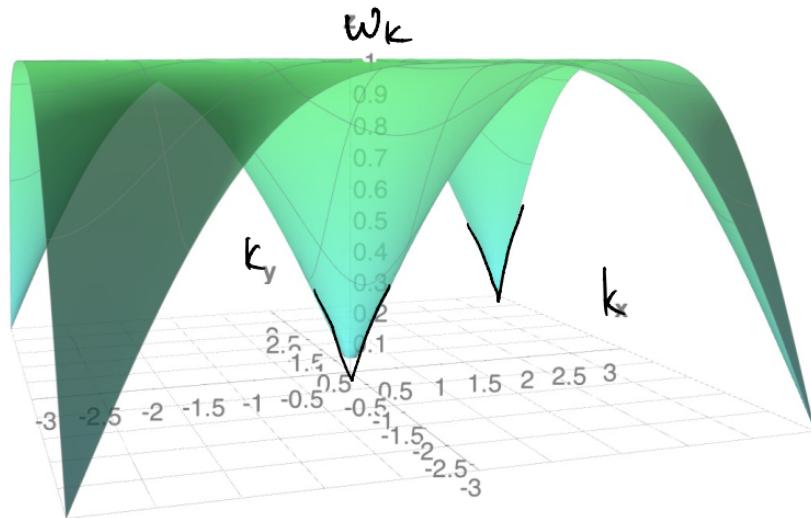
with  $\theta_k$  real and even in  $k$ . The Hamiltonian can then be diagonalized by choosing  $\theta_k$  such that the anomalous terms  $\hat{\alpha}_k^\dagger \hat{\alpha}_{-k}^\dagger$  &  $\hat{\alpha}_k \hat{\alpha}_{-k}$  vanish. This gives the result

$$\hat{H}_b \simeq \sum_k \omega_k \left( \hat{\alpha}_k^\dagger \hat{\alpha}_k + \frac{1}{2} \right)$$

where

$$\omega_k = 2J \sqrt{1 - \left( \frac{\cos k_x + \cos k_y}{2} \right)^2}$$

is the dispersion of the bosonic quasiparticle. Let's try to plot it (the following by Math3D.org)



Notice that  $\omega_k \rightarrow 0$  linearly at both  $k = (0, 0)$  and  $k = (\pi, \pi)$ . These are the lowest energy excitations in our model (starting from the Neel order ground state). They are examples of Goldstone modes: low-energy excitations guaranteed by the spontaneous breaking of a continuous global symmetry. Note that these excitations are physically created by acting  $\hat{a}_k^\dagger$  on the vacuum (i.e., the state annihilated by  $\hat{a}_k |\Omega\rangle = 0$ )

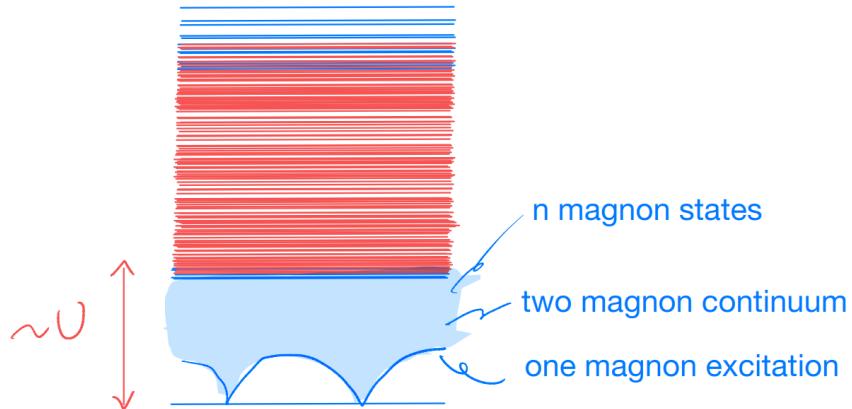
Since

$$\hat{a}_k^\dagger = \cosh \theta_k \hat{b}_k^\dagger - \sinh \theta_k \hat{b}_{-k} \sim \cosh \theta_k \hat{S}_k^+ - \sinh \theta_k \hat{S}_{-k}^\dagger$$

the excitation can be physically interpreted as the creation of spin flips on top of the ground state. Considering the quantum numbers

$$\downarrow S^z = -\frac{1}{2} \quad \xrightarrow{\Delta S=1} \quad \uparrow S^z = +\frac{1}{2}$$

In other words, our lowest-energy excitations have integer spin! Also, the spin flip clearly carries no electric charge (recall, charged excitations are very costly in the  $U \rightarrow \infty$  limit). We call such collective excitations “magnons”, and our system is eventually described by



Notice that, starting with a model of electrons, we ended up with a system in which the lowest-energy excitations do not resemble the electron at all! (fermion vs boson, charge-e vs neutral, and spin-1/2 vs integer spin).



# Chapter 26

## Lec25 20220511

### Topics

1. Fermions to bosons, and back
2. 1D quantum magnet and Jordan-Wigner
3. Spin liquids

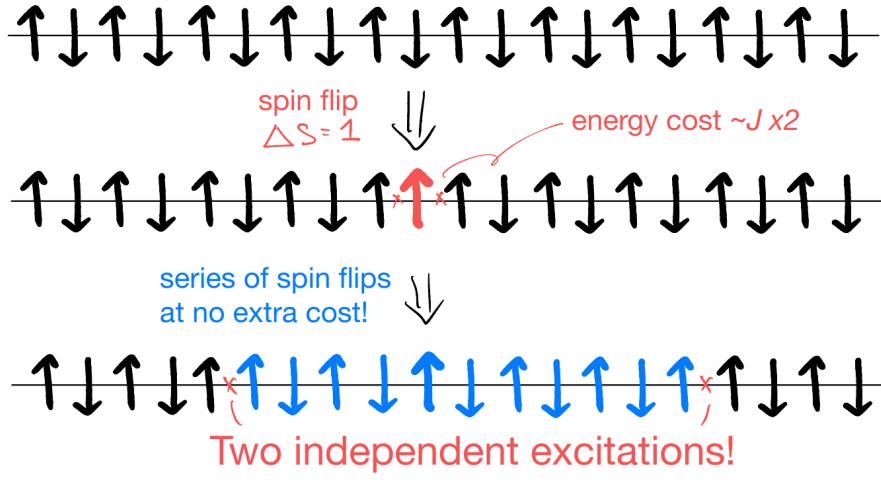
### Goals

1. Appreciating how the emergent degrees of freedom can be vastly different from the microscopic ones
2. Introducing the ideas of fractionalization

### 26.1 Fermions become bosons, and the story continues...

In the magnon problem, we obtain bosonic excitation from fermionic (electronic) building blocks. While that is interesting, it might not be too surprising after all: combining an even number of fermions lead to a boson. In fact, we already encountered one such collective excitation in the jellium model, namely, the plasmon.

Conversely, can we get fermions out of bosonic building blocks? (The bosons need not be “microscopic”, as in the quantum magnets.) At a glance, this may seem pretty impossible: bosons stay as bosons no matter how we combine them. Yet, let’s imagine what happens in a 1D Neel magnet:



Importantly, the original spin flip of  $\Delta S = 1$  is now shared by two independent excitations. Each of them can only carry half of that, i.e.,  $\Delta S_x = \frac{1}{2}$ . This is superficially like an electron, but in our quantum magnet model the low-energy excitations must be charge neutral! We call this phenomenon “spin-charge separation”.

## 26.2 1D quantum magnets with a Z<sub>2</sub> symmetry

To investigate how such interesting physics could arise, let us consider a 1D quantum magnet with a spin- $\frac{1}{2}$  moment on each site. For simplicity, we let  $\hat{X}_i, \hat{Y}_i, \hat{Z}_i$  be the respective “Pauli operators” on site  $i$ , which differ by the earlier spin operator only by a factor of  $\frac{1}{2}$  and satisfies

$$\hat{X}_i^2 = \hat{Y}_i^2 = \hat{Z}_i^2 = 1$$

$$\hat{X}_i \hat{Y}_i = -\hat{Y}_i \hat{X}$$

$$[\hat{X}_i, \hat{Y}_i] = 2i\hat{Z}_i$$

Consider the Hamiltonian

$$\hat{H} = J \sum_i \hat{X}_i \hat{X}_{i+1} + h \sum_i \hat{Z}_i$$

with  $J > 0$ . If we had  $h = 0$ , it will be the AFM Ising model. The Ising model is classical, in the sense that all the eigenstates of the Hamiltonian are necessarily specified by the simultaneous eigenstates of  $\{X_i = \pm 1\}$ . The term proportional to  $h$  breaks such property, and so serves to introducing some “quantumness” into the problem. This model is usually called the transverse-field Ising model.

First, we notice that the model has a Z2 spin-flip symmetry, given by

$$\hat{G} = \prod_i \hat{Z}_i$$

since

$$\hat{G} (\hat{X}_i \hat{X}_{i+1}) \hat{G}^\dagger = (-\hat{X}_i) (-\hat{X}_{i+1}) = \hat{X}_i \hat{X}_{i+1}$$

as it turns out, this global symmetry has an interesting interpretation in our solution to the problem.

Let us now try to solve the Hamiltonian exactly (unlike the magnon mean-field discussion, which was only approximate given the bosons are interacting). At first sight, it is not obvious that it could be solved, afterall this is not a “quadratic” boson / fermion Hamiltonian. Also, the terms in the Hamiltonian do not commute with each other and so we cannot readily write down their joint eigenstates. Nevertheless ,this model is exactly solved, through the “Jordan-Wigner transformation” which relates fermions to hardcore bosons (spin- $\frac{1}{2}$  moments).

To motivate the transformation, we first notice that, for a single site, there's no difference between hardcore boson (two-level system) and spinless fermion: in all cases the Hilbert space is two-dimensional. Now we may denote

$$\hat{Z}_i = \begin{cases} |+\rangle \Rightarrow |\hat{n}_i = 1\rangle \\ |-\rangle \Rightarrow |\hat{n}_i = 0\rangle \end{cases}$$

If we interpret the local Hilbert space as that of a fermion, we have

$$|\hat{n}_i = 1\rangle = \hat{c}_i^\dagger |0\rangle$$

which seems fine. In addition, the action of the Pauli operators can now be reconciled with

$$\hat{X}_i \mapsto \hat{c}_i^\dagger + \hat{c}_i$$

$$\hat{Y}_i \mapsto i(\hat{c}_i - \hat{c}_i^\dagger)$$

$$\hat{Z}_i \mapsto -e^{i\pi\hat{n}_i}$$

note that

$$-e^{i\pi\hat{n}_i} = -\left(1 + (e^{i\pi} - 1)\hat{n}_i\right) = 2\hat{c}_i^\dagger \hat{c}_i - 1$$

It will be good to verify that the algebraic relations between the Pauli operators are preserved. For instance, check that

$$\hat{X}_i^2 \mapsto \left(\hat{c}_i^\dagger + \hat{c}_i\right)^2 = \hat{c}_i^\dagger \hat{c}_i + \hat{c}_i \hat{c}_i^\dagger = I$$

$$\hat{X}_i \hat{Y}_i \mapsto \left(\hat{c}_i^\dagger + \hat{c}_i\right) \left(i\hat{c}_i - i\hat{c}_i^\dagger\right) = -i\hat{c}_i \hat{c}_i^\dagger + i\hat{c}_i^\dagger \hat{c}_i = i(2\hat{c}_i^\dagger \hat{c}_i - 1)$$

it will be natural to give these even and odd combinations of the fermion operators a symbol. Define

$$\hat{X}_i \mapsto \hat{\gamma}_i = \hat{c}_i^\dagger + \hat{c}_i$$

$$\hat{Y}_i \mapsto \hat{\gamma}'_i = i \left( \hat{c}_i - \hat{c}_i^\dagger \right)$$

which anti-commutes  $\{\hat{\gamma}_i, \hat{\gamma}'_j\} = 0$ , and we may as well write

$$\hat{c}_i = \frac{1}{2} (\hat{\gamma}_i - i \hat{\gamma}'_i)$$

$$\hat{c}_i^\dagger = \frac{1}{2} (\hat{\gamma}_i + i \hat{\gamma}'_i)$$

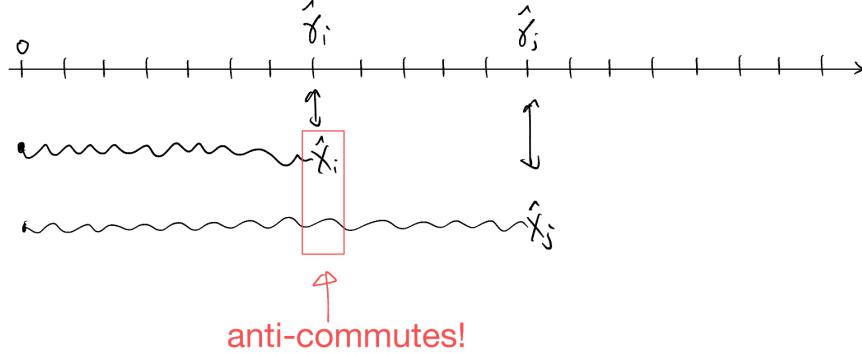
the operators  $\hat{\gamma}_i$  and  $\hat{\gamma}'_i$  can therefore be viewed as the “real and imaginary parts” of the complex fermions, analogous to representing a complex number as a pair of real numbers. These “real fermions” are called Majorana, which have famously disappeared multiple times in history (if you get the joke here, you know too much :)

So far, we have seen that it is completely consistent to describe the single two-level system with these fermionic operators. But the very notion of fermions requires that we consider what happens when we have a collection of them, i.e., when we have multiple sites. Here we see a major problem with our identification. E.g., consider, for  $i, j$

$$[\hat{X}_i, \hat{X}_j] = 0 \quad \text{vs} \quad [\hat{\gamma}_i, \hat{\gamma}_j] = 2\hat{\gamma}_i \hat{\gamma}_j$$

In other words, our fermionic interpretation of the quantum magnet Hilbert space is inconsistent once we have more than one site! The root of the problem is the following observation: in the quantum magnet Hilbert space, which is a tensor product of the local Hilbert spaces, operators localized to different sites necessarily commute. However, fermions at different sites anti-commute by definition, and so we can never consistently identify all of the local fermion operators with local spin operators.

The discussion above also suggests immediately how we could circumvent the problem: we just need to invoke some non-locality! That’s the idea behind the Jordan-Wigner transformation. Starting from a reference site (call that 0), we attach a string to all operators to the right of the site such that



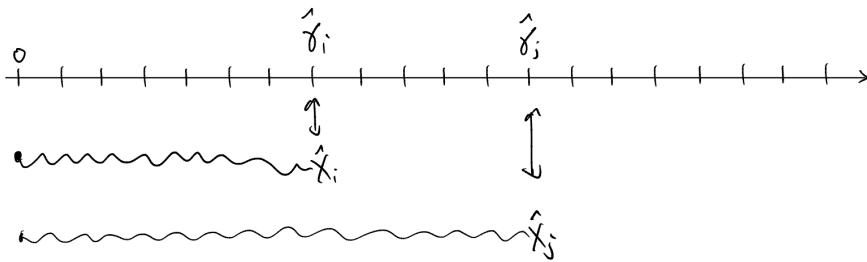
Similar requirement applies to  $\hat{\gamma}'_i \leftrightarrow \sim \hat{Y}_i$ . In addition, notice that the product  $i\hat{\gamma}_i\hat{\gamma}'_i \sim -\hat{Z}_i$  commutes with the other fermions  $\hat{\gamma}_j, \hat{\gamma}'_j$  at  $j \neq i$ . Combined, we see that it will be natural to identify the “string” with a product of  $\hat{Z}$  operators, up to a phase. Let us pick

$$\begin{aligned}\hat{\gamma}_i &\leftrightarrow \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \hat{X}_i \\ \hat{\gamma}'_i &\leftrightarrow \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \hat{Y}_i\end{aligned}$$

And we may now toy with some fermionic terms and see how they translate into spin operators:

$$\begin{aligned}i\hat{\gamma}_i\hat{\gamma}'_i &\leftrightarrow i \left( \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \hat{X}_i \right) \left( \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \hat{Y}_i \right) \\ &= i \left( \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \right)^2 \hat{X}_i \hat{Y}_i \\ &= -\hat{Z}_i \\ i\hat{\gamma}'_i\hat{\gamma}_{i+1} &\leftrightarrow i \left( \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{i-1} \hat{Y}_i \right) \left( \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_i \hat{X}_{i+1} \right) \\ &= i \hat{Y}_i \hat{Z}_i \hat{X}_{i+1} \\ &= -\hat{X}_i \hat{X}_{i+1}\end{aligned}$$

Notice how the string cancels! Such cancellation is general for any product of an even number of fermionic operators. Schematically,



$$\Rightarrow i\hat{\gamma}_i\hat{\gamma}_j \leftrightarrow \hat{Y}_i\hat{Z}_{i+1}\hat{Z}_{i+2}\cdots\hat{Z}_{j-1}\hat{X}_j$$

So a local fermionic Hamiltonian gets transformed into a local (bosonic) quantum magnet problem! The only cost is that there would generally be a string connecting the two end points of the fermionic process.

The converse question is also interesting: what kind of quantum magnet Hamiltonian will become a local fermionic problem under the inverse transformation?

One could, indeed, write down the inverse transform for which the string operator become  $\sim \exp(i\pi \prod_{j < i} \hat{n}_j)$ . Since the string appears only for the inverse transform of  $\hat{X}, \hat{Y}$ , but not  $\hat{Z}$ , we conclude locality is preserved so long as the  $\hat{X}, \hat{Y}$  operators always appear in pairs. Now, notice that the spin flip symmetry

$$\begin{aligned}\hat{G}\hat{X}_i\hat{G} &= -\hat{X}_i \\ \hat{G}\hat{Y}_i\hat{G} &= -\hat{Y}_i \\ \hat{G}\hat{Z}_i\hat{G} &= +\hat{Z}_i\end{aligned}$$

imposes the same condition! This tells us that the mapping between fermions and bosons (spin- $\frac{1}{2}$ ) with a Z2 spin-flip symmetry is actually very general, and the cancellation of the string in 1D implies locality is also preserved.

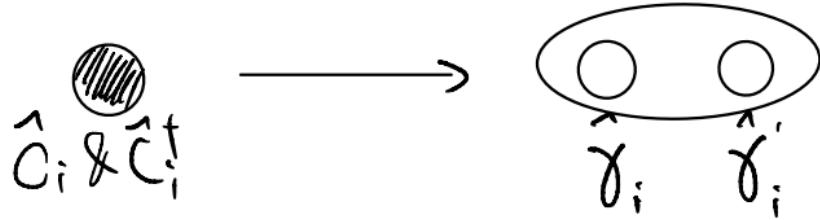
Finally, back to the main thread: by looking at the terms  $i\hat{\gamma}_i\hat{\gamma}'_i$  and  $i\hat{\gamma}'_i\hat{\gamma}_{i+1}$  above, we see that

$$\begin{aligned}\hat{H} &= J \sum_i \hat{X}_i \hat{X}_{i+1} + h \sum_i \hat{Z}_i \\ \leftrightarrow \hat{H}_\gamma &= -J \sum_i i\hat{\gamma}'_i\hat{\gamma}_{i+1} - h \sum_i i\hat{\gamma}_i\hat{\gamma}'_i + \text{boundary problems}\end{aligned}$$

where we have added a warning that the mapping actually becomes more subtle in the presence (or not) of a boundary. The main reason is the need of defining a string starting with a “reference site”. When we have an open chain, it will be natural to use the left-most site as our reference. For a closed chain (i.e. a circle), any choice of reference is arbitrary and indeed the interpretation of the transformation becomes more subtle. Depending on taste, such “boundary problem” is the most interesting / annoying part of the discussion. In any case, it will be more involved than what we would want to cover here.

Instead, we simply emphasize that  $\hat{H}_\gamma$  above is quadratic in the (Majorana) fermions, and so we should have the confidence that it will be an exactly solvable problem. (There are some small generalizations required, like  $U(n) \rightarrow SO(2n)$  etc., but the diagonalization is fundamentally similar to that of the free-fermion tight-binding like models.) It would be a good question for a problem set but we have no PS left. So, let us be content with simply drawing some pictures.

Recall the Majorana fermions are like “half” of the regular fermion, in that a pair of them make a fermion (with occupancy state of 0 and 1). It is typical to represent them as splitting a site (with one fermion mode) into two dots:



where the oval emphasizes that the two Majorana fermions belonged to the same site. Now, we can try to compare the two terms we have in  $\hat{H}_\gamma$ :

$$h \sum_i \hat{Z}_i \rightarrow -h \sum_i i \hat{\gamma}_i \hat{\gamma}'_i$$

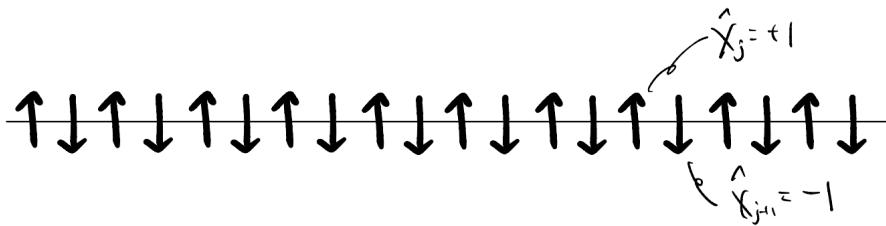


$$J \sum_i \hat{X}_i \hat{X}_{i+1} \rightarrow -J \sum_i i \hat{\gamma}'_i \hat{\gamma}_{i+1}$$



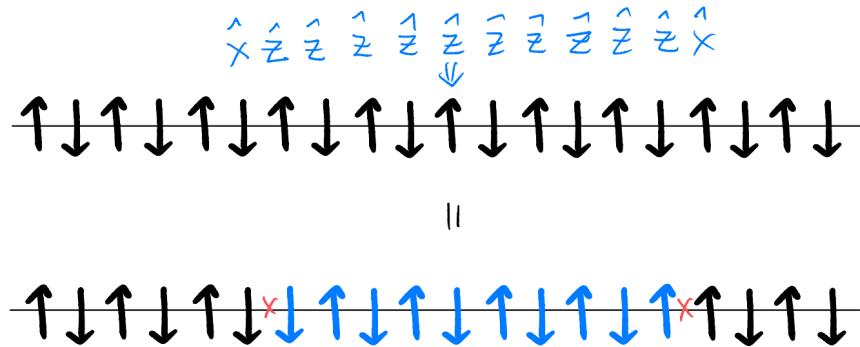
If you have heard about the Kitaev chain / 1D topological superconductors, you most likely have seen these pictures before. Our transverse field Ising model is essentially the same problem in disguise! In particular, the competition between the AFM coupling  $J$  and the transverse field  $h$  becomes that between the inter-site (p-wave) pairing and an on-site term.

To finish up the story, let us imagine starting with the large  $J > 0$  limit, for which we expect the ground state to be



(This is an example of spontaneous symmetry breaking; there are actually a pair of ground states differing by a flip of all spins. On a finite ring the true ground state becomes the even / odd combination of them, usually called cat states. Those are interesting problems but unfortunately we don't have the time to cover any of them. Anyway, for our picture we simply use one of the symmetry-broken ground states to illustrate the idea.)

Now, recall our discussion on the excitations on top of the ordered ground state. While it takes an energy cost of  $4J$  to create a single localized spin flip, it takes little energy (if  $h$  is small) to separate the two “wrong bonds” apart. What operator might create such a pair of well-separated excitations? Consider



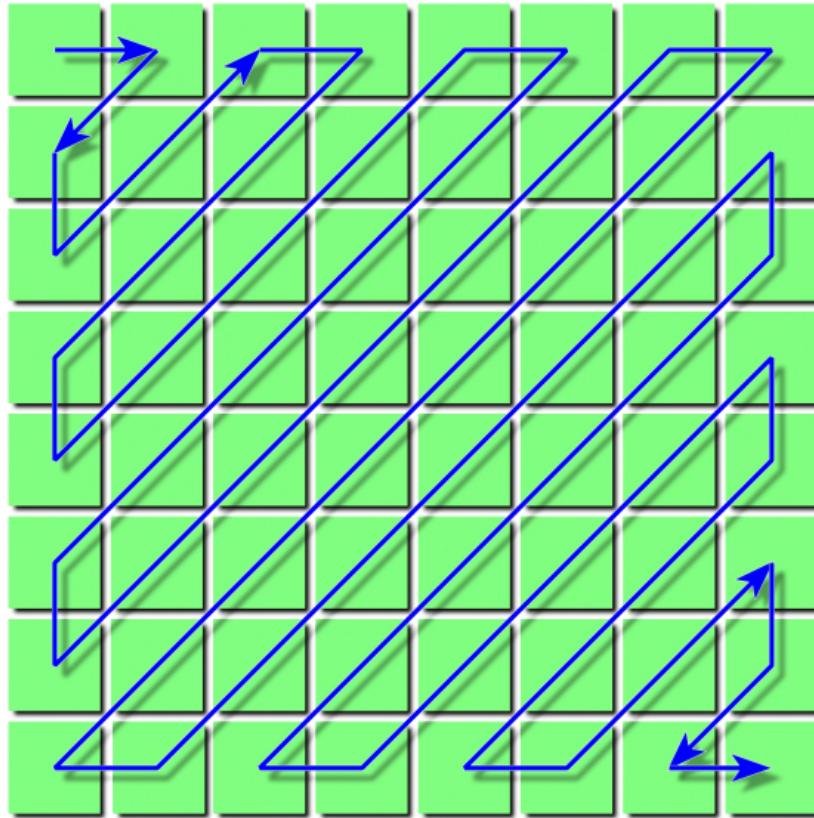
What is this “string of spin flip” operator? Under the Jordan-Wigner transformation, we have

$$\hat{X}_i \hat{Z}_{i+1} \hat{Z}_{i+2} \cdots \hat{Z}_{j-1} \hat{Z}_j \mapsto i \hat{\gamma}'_i \hat{\gamma}_j$$

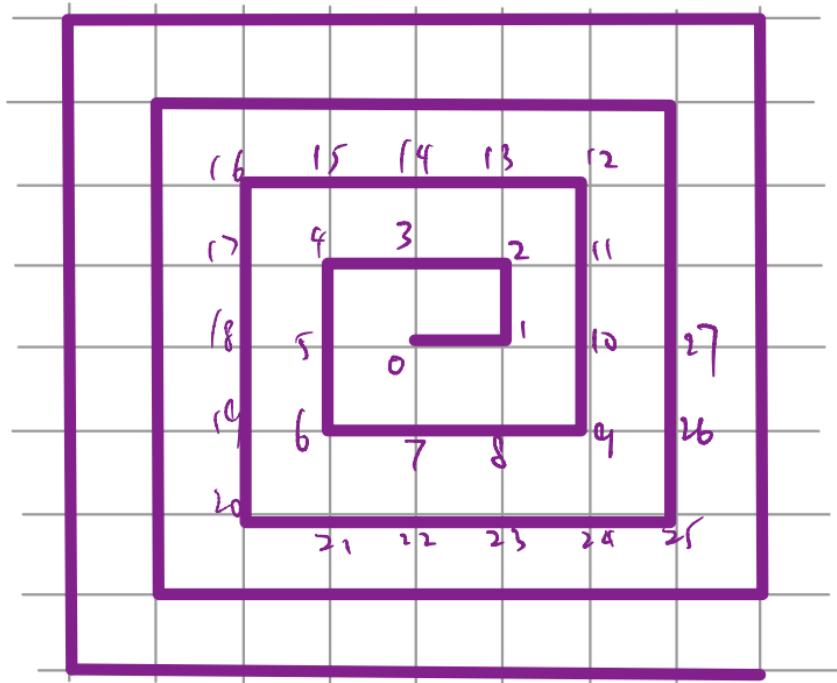
and so, in fact, our lowest-energy excitations have a fermionic interpretation. This is remarkable, considering we have gone from strongly interacting electrons (fermions) to an effective quantum magnet problem (bosons), and finally back to fractionalized low-energy fermionic excitations!

### 26.3 1D is special ... or not

According to the standard lore, I should end here by declaring that the Jordan-Wigner transformation is nice and powerful, but its utility is sort of restricted to (quasi-)1D. The main problem is one on locality: We could always perform the transformation in any dimension, but in doing so one needs to pick a one-dimensional ordering of the sites in order to define the string operator. For instance, on a 2D lattice it is common to pick a “snake” (zigzag) ordering, e.g., (Wiki page on JPEG encoding),



For our purpose, however, it will be more convenient to pick a “spiral” ordering, i.e., starting with a reference site (say at the center), we order other sites according to an anti-clockwise spiral



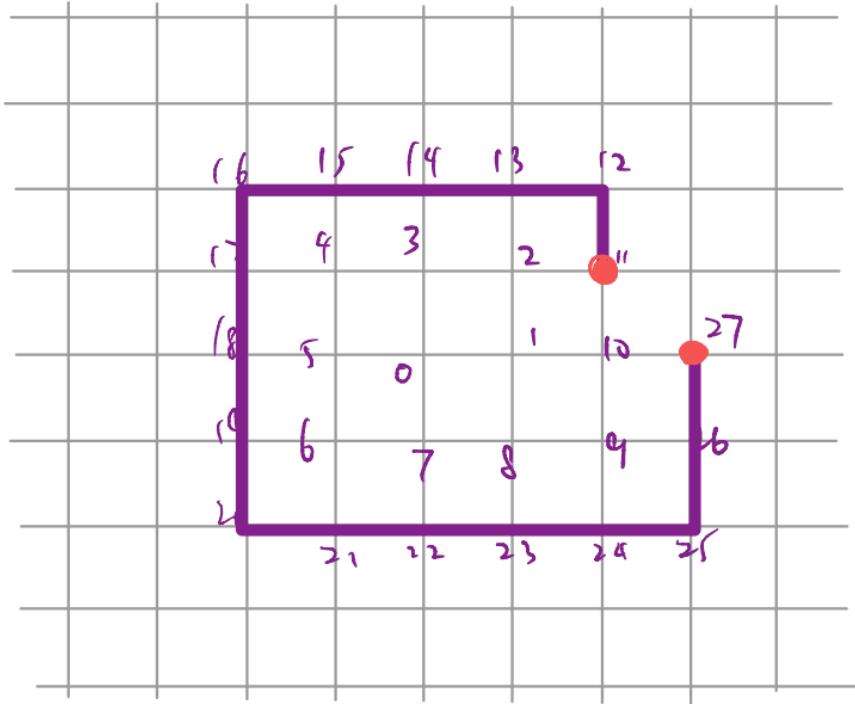
Now, imagine performing the classic Jordan-Wigner transformation in this scheme. Consider, for instance, a fermion bilinear involving the sites labeled by 11 and 27. In terms of the operators, we have

$$\hat{\gamma}'_{11} \leftrightarrow \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{10} \hat{Y}_{11}$$

$$\hat{\gamma}_{27} \leftrightarrow \hat{Z}_0 \hat{Z}_1 \cdots \hat{Z}_{26} \hat{X}_{27}$$

$$\Rightarrow i\hat{\gamma}'_{11}\hat{\gamma}_{27} \leftrightarrow -\hat{X}_{11}\hat{Z}_{12}\hat{Z}_{13} \cdots \hat{Z}_{26}\hat{X}_{27}$$

while the string cancellations work in the same way as in the 1D problem, when we draw it in the 2D space the problem becomes apparent:



therefore, although on the fermionic side we considered a local operator (next-nearest neighbor), after Jordan-Wigner the string part becomes non-local. In other words, while the transformation continues to provide an exact rewriting of the original fermionic problem, on the bosonic side it ceases to be a reasonable “quantum magnet” Hamiltonian.

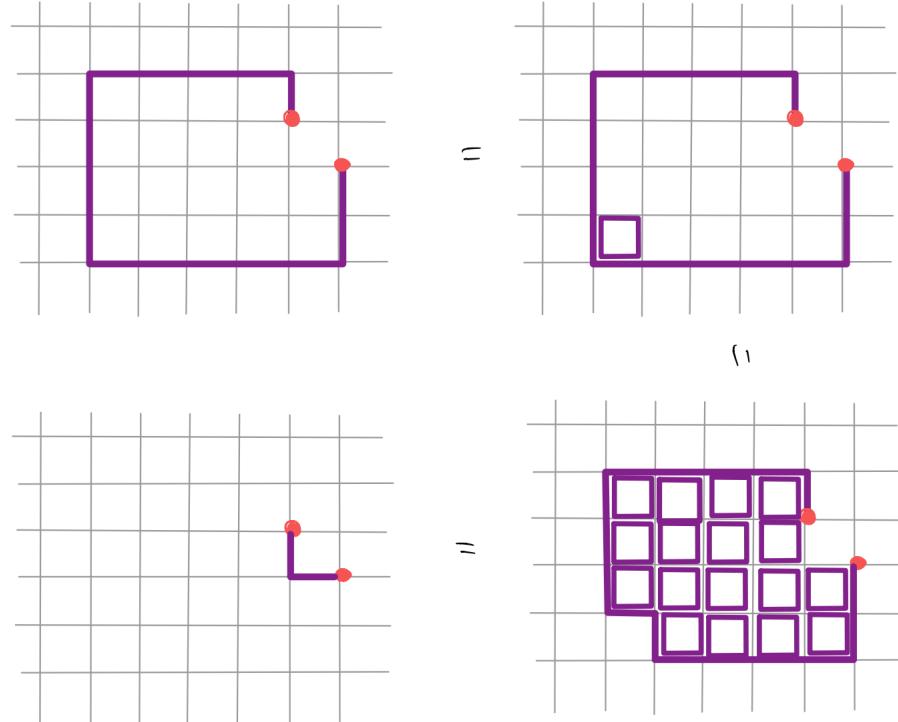
Can we do better? The short answer is a reassuring yes! Of course this “higher-dimensional Jordan-Wigner” problem has been investigated for decades from multiple angles (lattice vs field theory vs quantum information). In the following we offer a sketch of a solution based on the recent decades of research on topological orders.

Our strategy is simple: if you dislike something, get rid of it. In our context, we hope to get rid of the non-local part of the Jordan-Wigner string. This can be sharpened as follows: starting with a hardcore boson (spin- $\frac{1}{2}$ ) qubit per site, we consider states  $|\Psi\rangle$  in the Hilbert space for which

$$\square|\Psi\rangle = |\Psi\rangle$$

where  $\square$  denotes a small, closed loop of JW string (say around a plaquette).

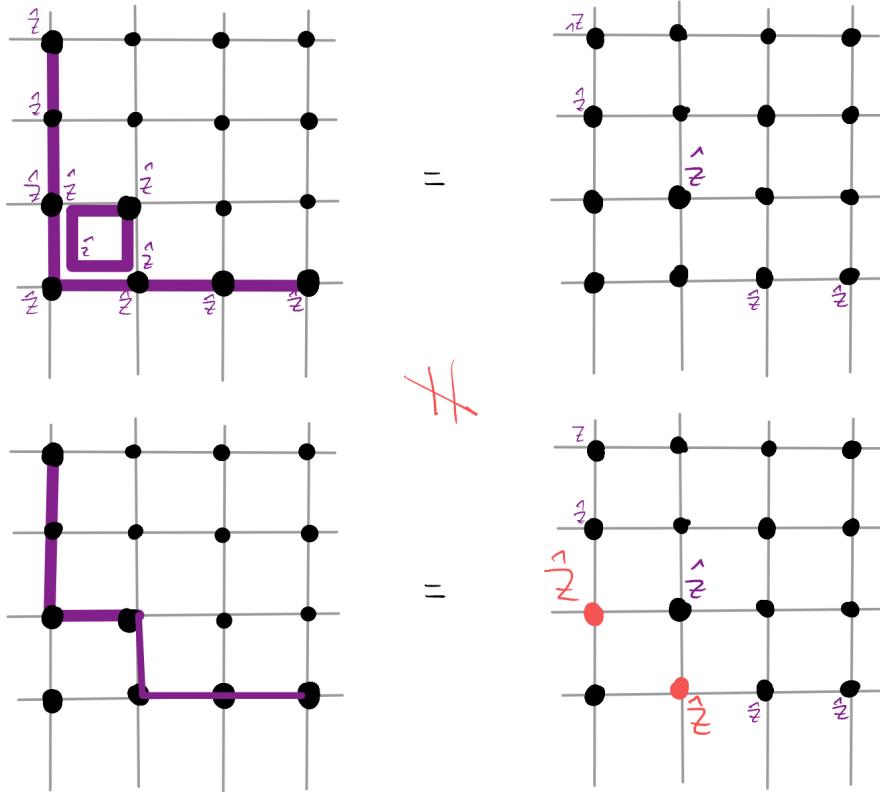
Now, restricting our attention to these states (which span a sub-Hilbert space), we can deform the “non-local” operators as follows



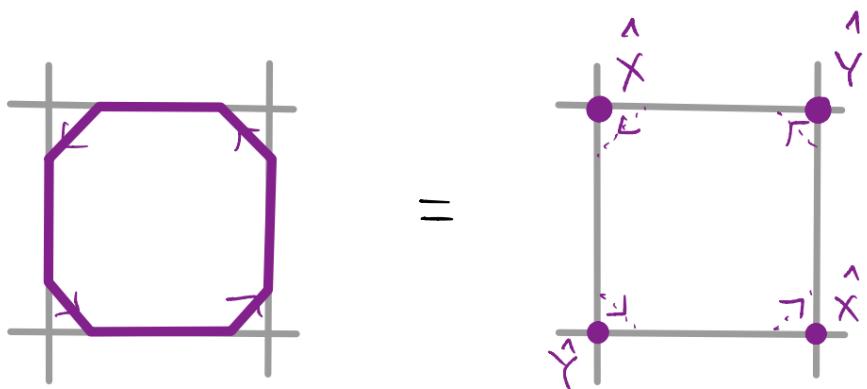
In other words, we define the restricted Hilbert space such that the states inside are capable of “dissolving” the small JW loops. Now acting on this restricted sub-Hilbert space, the JW transformed fermionic Hamiltonian can stay local! As the JW string we saw was simply a product of  $\hat{Z}$ , our constraint reads

$$\boxed{\text{Plaquette}} \mid \bar{\Psi} \rangle = \begin{array}{c} \text{Plaquette} \\ \text{with} \\ \text{JW} \\ \text{string} \end{array} \mid \bar{\Psi} \rangle = \mid \bar{\Psi} \rangle$$

for all plaquettes on the lattice. Nice and easy! Except that it doesn’t work... To see why, consider the “basic” deformation procedure we discussed



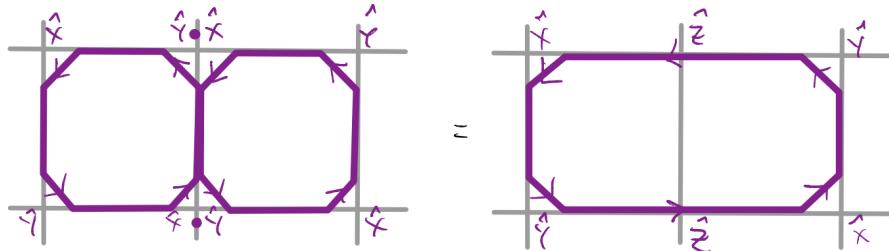
So, for our idea to work we need to find an alternative way to define the JW string! Turns out the solution is just round the corner. More specifically, we consider



where we associate either  $\hat{X}$  or  $\hat{Y}$  to the site depending on the direction of the segment there. Note that we have added an orientation to the loop, which

is required to keep track of signs: if we reverse the arrow compared to what we draw above, we add a  $-1$  sign.

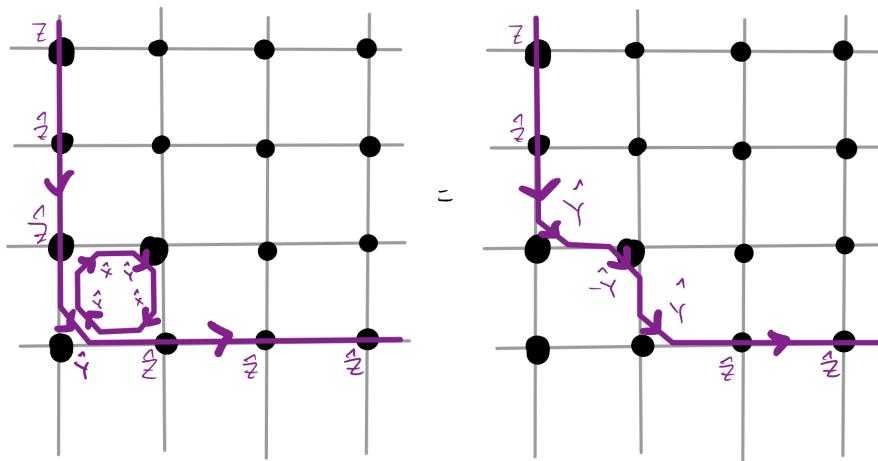
At a first sight, it might seem a bit odd that we are using  $\hat{X}$  and  $\hat{Y}$  but not  $\hat{Z}$ . This could be resolved by considering the product of two adjacent loops:



Furthermore, one could verify that these two loops commute, and so their associated constraints are consistent. As such, along a straight segment we do recover



confirming expectations. Furthermore, we can now verify that the “loop dissolution” story works

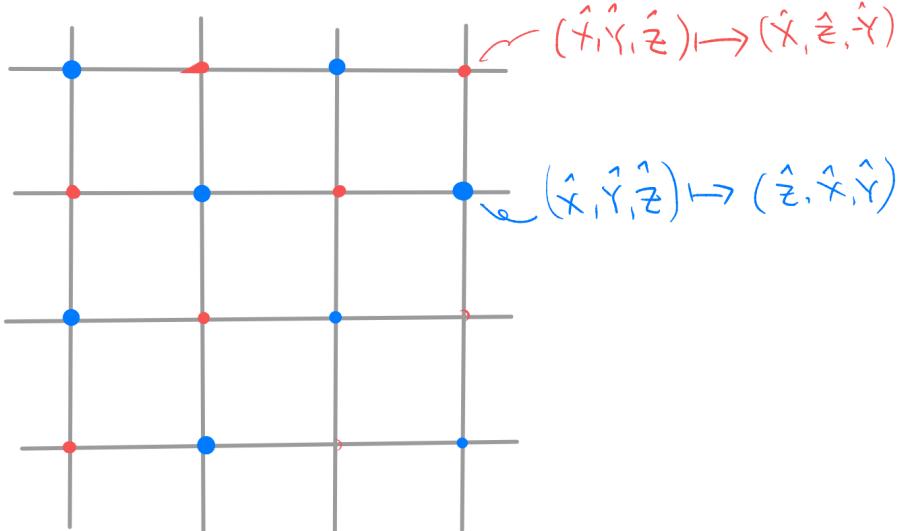


and so, to perform the JW transformation, we can restrict our attention to the sub-space satisfying the loop constraint. These constraints can again be

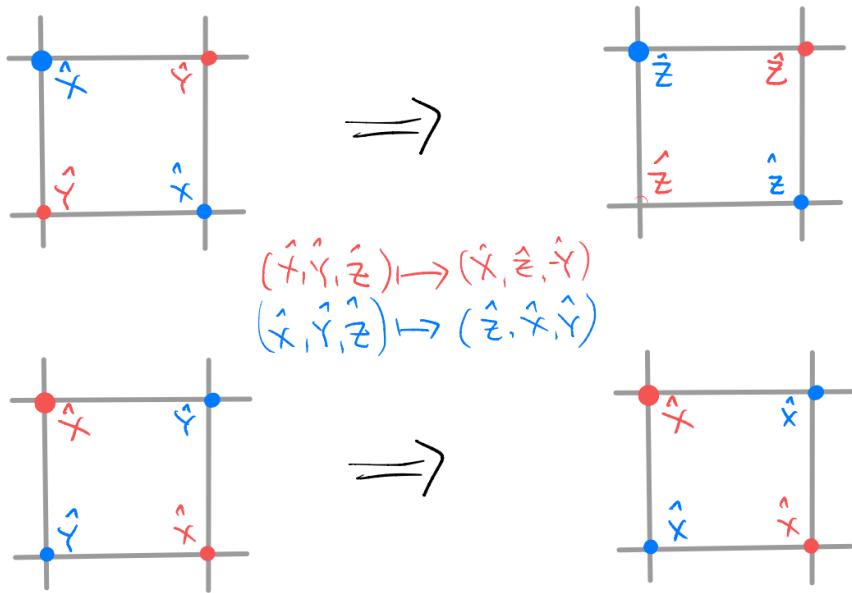
imposed energetically through

$$\hat{H}_{\text{constraint}} = -\tilde{U} \sum_r \hat{Y}_r \hat{X}_{r+x} \hat{Y}_{r+x+y} \hat{X}_{r+y}, \quad \tilde{U} \rightarrow +\infty$$

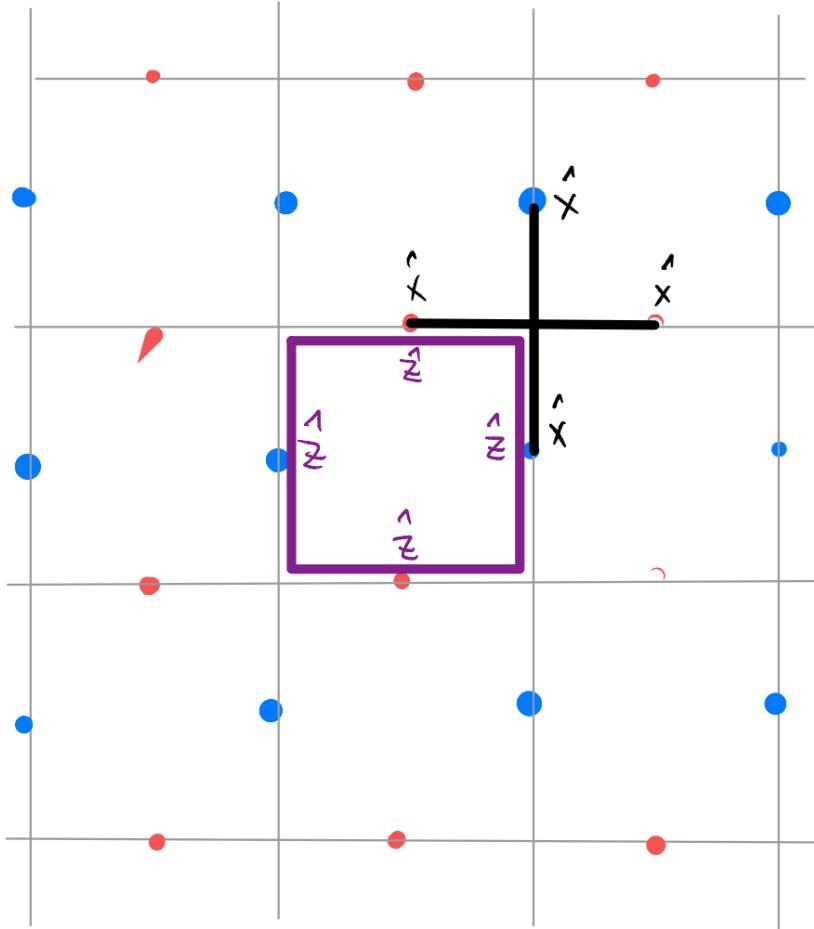
this is known as the “Wen’s plaquette model”. One can also perform a basis rotation on half of the sites in the following way



After this basis rotation, we get two different looking terms for the constraints



It is customary to redraw our model in a rotated manner, using an enlarged unit cell



and one typically call the ZZZZ term the “plaquette operator”, and the XXXX term the “star operator” (as reflected by the shape above). This is known as the (Kitaev’s) toric code. (The terminology here descends from the picture of a lattice  $Z_2$  gauge theory.)

## 26.4 Topological order, spin liquids, and what not

So, at long last, we have achieved our lofty goal of generalizing JW transformation to 2D... or have we?

As argued, local fermionic operators should now act locally in the constrained Hilbert space, which we impose energetically by the constraint Hamiltonian. But, in “rounding the corner” we use  $\hat{X}$  and  $\hat{Y}$  as part of the string and so

lost the original identification of the fermionic operators! Furthermore, one can inspect the dimension of the constrained Hilbert space, and it turns out to be basically picking up a unique state in the full quantum magnet Hilbert space.

(More accurately, the number of states is intensive, and depends on the topology of the space we define the model on. E.g., with periodic boundary conditions in both directions in the toric code setup, the constrained Hilbert space is 4 dimensional. This is the famous topological ground state degeneracy, into which one can encode quantum information which is immune to local perturbations. That's why the toric code is called a "code".)

If we were performing an honest JW transformation, the constrained subspace should resemble the fermionic Fock space, i.e., of dimension  $2^V$  when we have  $V$  sites and one fermionic mode per site. In contrast, in our construction above one could say we only capture the fermionic vacuum in our constrained subspace! Nevertheless, once we allow for constraint violation with a finite value  $\tilde{U}$ , we would find that fermionic excitations do exist at energy cost of  $O(\tilde{U})$  (alongside with other anyons).

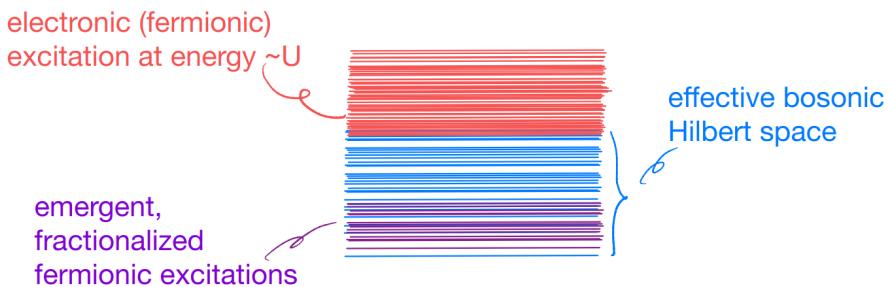
In this sense, we do manage to obtain emergent fermionic excitations out of a bosonic problem (i.e., a quantum magnet). We call this "fractionalization", it that the emergent excitations carry quantum numbers which are only fractions of the microscopic building block. Such phases of matter are frequently called "spin liquids", and the examples above are known as "Z2 spin liquids".

Along this line, we'd also mention that the fractional quantum Hall effect is another prototypical setup in which electrons get fractionalized. When electrons are subjected to a strong magnetic field, their kinetic energy becomes quenched and get organized into dispersion-less Landau levels. This effectively put the system into the  $\frac{t}{U} \rightarrow 0$  limit, but with the important differences rooting in the nontrivial topology of the Landau levels. As such, the "highly degenerate Hilbert space" does not have a description of localized electronic modes! This serves as a fruitful breeding ground for many interesting phenomena.

in any case, it is impressive that, beyond the JW blurring of boson vs fermion in 1D, we can still obtain fermionic excitations out of a bosonic model. Still, can we do better? In particular, can we really generalize the JW transformation and capture a fermionic model (i.e., not just the vacuum) in a bosonic quantum magnet? The short answer is yes, and indeed Kitaev's honeycomb model can be viewed as an early example along this line. Now we do understand this problem much better, but that's going to be a topic for another day.

## 26.5 That's it!

This concludes our lightning introduction to some strongly correlated phenomena in quantum many-body physics. Let us summarize it again with the schematic many-body energy spectrum:



The distinction between fermions and bosons is one of the most fundamental aspects of quantum mechanics, and in quantum many-body theory (hopefully experiments too!) we can even tamper with such fundamental distinctions. More is different.

What is this course about?

“Survey”  $\hbar > 0$

**Introduction to Quantum  
Many-body Theory**

$n > 2$  It's easier said than done :)

## 26.6 One last time...

