

# Details in *GW*-BSE

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# Infinitesimal

We all know the word “GW” means that  $\Sigma = i GW$  (of course we have Hartree term but it’s already in DFT)

$$\Sigma = \text{[Diagram 1]} + \text{[Diagram 2]}, \quad (1)$$

where  $W$  is the RPA-screened potential.

**Why some say  $\Sigma(1, 2) = i G(1, 2)W(1^+, 2)$ ?**

- $G(1, 2)$  is actually  $G(1, 2^+)$  (so when  $1 = 2$ ,  $G = n_{\text{occ}}$ : the loop in the Hartree term above)
- $\Sigma(1, 2) = i G(1, 2^+)W(1, 2) = i G(1^-, 2)W(1, 2) = i G(1, 2)(1^+, 2)$ .
- $1^+$  or  $2^+ \Leftrightarrow e^{\pm i\omega 0^+} \Leftrightarrow$  how to take contour

# Other tricky details in diagrammatics

## Time-reversal symmetry

- $W(-\mathbf{p}, -\omega) = W(\mathbf{p}, \omega)$  is always true (or otherwise we can symmetrize the Lagrangian)
- The real symmetry:

$$\begin{aligned} W(\omega, -\mathbf{k}) = W(\omega, \mathbf{k}) &\Leftrightarrow W(-\omega, \mathbf{k}) = W(\omega, \mathbf{k}) \\ &\Leftrightarrow W(\mathbf{r}, \mathbf{r}', \omega) = W(\mathbf{r}', \mathbf{r}, \omega) \Leftrightarrow W(\mathbf{r}, \mathbf{r}', \omega) = W(\mathbf{r}, \mathbf{r}', -\omega). \end{aligned} \quad (2)$$

**“Antiparticles”** You can treat holes as antiparticles (negative energy,  $\text{isgn}(\xi_{nk})$  in time-ordered Green function) but then corresponding electron modes have to be ignored.

# Other tricky details in diagrammatics

## Imaginary unit

$$iG = iG_0 + iG_0 \times \underbrace{\text{circle}}_{-i\Sigma} \times iG \Rightarrow G = \frac{1}{\omega - E^0 - \Sigma}. \quad (3)$$

$$-iW = -iv + (-iv) \times \underbrace{\text{circle}}_{i\chi} \times (-iW) \Rightarrow W = \epsilon^{-1}v, \quad \epsilon = 1 - v\chi. \quad (4)$$

## Minus sign

Note that when a closed fermionic loop is formed, a  $-1$  factor is needed.

Example: the loop in the Hartree term

$$\simeq (-1) \langle \psi \psi^\dagger \rangle \simeq \psi^\dagger \psi \simeq \text{number of particle}.$$

# Feynman rules I

Recall that we are working in a crystal – we need to talk about  $\mathbf{G}$  vectors  
One set of rules that work:

- Propagator:

$$\text{---}\overrightarrow{\hspace{1.5cm}}_{n,k} \text{---} = \frac{i}{\omega - \xi_{n\mathbf{k}} + i0^+ \text{sgn}(\omega)} =: i G_{n\mathbf{k}}^0(\omega). \quad (5)$$

- Interaction:

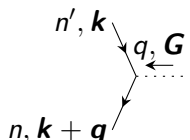
$$\text{.....}^{q, \mathbf{G}} \text{.....} = -i \frac{1}{V} v(\mathbf{q} + \mathbf{G}). \quad (6)$$

But the prefactor of the interaction Hamiltonian is still  $1/2V$ , and

$$v(\mathbf{q}) = \int d^3\mathbf{r} e^{-i\mathbf{q}\cdot\mathbf{r}} v(\mathbf{r}). \quad (7)$$

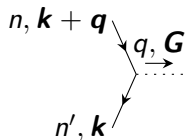
# Feynman rules II

- For vertex,



$$= \langle n, \mathbf{k} + \mathbf{q} | e^{i(\mathbf{q} + \mathbf{G}) \cdot \mathbf{r}} | n' \mathbf{k} \rangle =: M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G}). \quad (8)$$

Note that the momentum arrow attached to the interaction line only controls the sign before  $\mathbf{q}$  and  $\mathbf{G}$ ; we don't sum over possible directions of the arrow. Thus



$$= \langle n' \mathbf{k} | e^{-i(\mathbf{q} + \mathbf{G}) \cdot \mathbf{r}} | n, \mathbf{k} + \mathbf{q} \rangle =: M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G})^*. \quad (9)$$

Here is where the phase factor of each  $\phi_{n\mathbf{k}}$  enters the calculation:

# Feynman rules III

- Momentum conservation is enforced by  $\delta_{\mathbf{k}_1+\mathbf{k}_2+\mathbf{k}_3+\mathbf{k}_4,0}$ : no  $(2\pi)^3$  factor is needed.
- For internal lines, sum over  $\mathbf{k}, n, \mathbf{G}$ ; no additional  $1/(2\pi)^3$  factors are needed. For frequency, do  $\int d\omega/2\pi$ .
- For external lines:  $\mathbf{r} \leftarrow \text{blob}$  is  $\phi_{n\mathbf{k}}(\mathbf{r})$ , and  $\text{blob} \leftarrow \mathbf{r}'$  is  $\phi_{n\mathbf{k}}^*(\mathbf{r}')$ , as in:

$$G(\mathbf{r}, \mathbf{r}', \omega) = \sum_{n, \mathbf{k}} \frac{\phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}(\mathbf{r}')^*}{\omega - \xi_{n\mathbf{k}} + i \text{sgn}(\xi_{n\mathbf{k}})}, \quad (10)$$

where  $\mathbf{r}$  is the outgoing index and  $\mathbf{r}'$  is the incoming index. (When going from  $G(\mathbf{r}, \mathbf{r}')$  to  $G_{\mathbf{k}, nn'}$ , outgoing external line becomes  $\phi_{n\mathbf{k}}^*(\mathbf{r})^*$  and incoming external line becomes  $\phi_{n'\mathbf{k}}(\mathbf{r}')$ )

The normalization condition is

$$\int d^3\mathbf{r} \psi_{n\mathbf{k}}^*(\mathbf{r}) \psi_{n'\mathbf{k}'}(\mathbf{r}) = \delta_{nn'} \delta_{\mathbf{k}\mathbf{k}'}, \quad \psi_{n\mathbf{k}} \simeq \frac{1}{\sqrt{V}} e^{i(\mathbf{k}+\mathbf{G})\cdot\mathbf{r}}. \quad (11)$$



# The structure of $G$

- We *always* have Lehmann self-energy representations:

$$G(\mathbf{r}, \mathbf{r}', \omega) = \sum_n \frac{\langle \Omega | \phi(\mathbf{r}) | n \rangle \langle n | \phi^\dagger(\mathbf{r}') | \Omega \rangle}{\omega - E_n + i0^+ \text{sgn}(\omega)} = \sum_{n, \mathbf{k}} \frac{\phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}(\mathbf{r}')^*}{\omega - \text{Re} \xi_{n\mathbf{k}} - i \text{Im} \xi_{n\mathbf{k}}}. \quad (12)$$

$\mathbf{k}$  not necessarily good quantum number; no orthogonal conditions.

- In a Fermi liquid: since  $\tau \propto 1/T^2$  near  $\mu$ , for bands near the Fermi surface, approximately  $\text{Im} \xi_{n\mathbf{k}}$  is small and  $\{\phi_{n\mathbf{k}}\}$  is a good basis.
- Note: this only means  $|\Omega\rangle$  and  $|n\rangle$  look like Fock states when tested with  $G^{(2)}$  (hence clear-cut  $\mu$  in simulated ARPES spectrum, etc.); when tested with  $G^{(4)}$ , correlated effects still exist ( $\Rightarrow$  de-excitation terms in exciton  $\chi_S(\mathbf{r}, \mathbf{r}')$ )

# The structure of $G$

To avoid directly dealing with poles numerically (and getting stuck by things like how small  $i0^+$  should really be), we choose to carry out  $i$  GW analytically.

**Assumption: well-defined quasiparticles** So we assume

$$G(\mathbf{r}, \mathbf{r}', \omega) = \sum_{n, \mathbf{k}} \frac{\phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}^*(\mathbf{r}')}{\omega - \xi_{n\mathbf{k}} + i \operatorname{sgn}(\xi_{n\mathbf{k}})}. \quad (13)$$

**Spectral function**

$$A(\mathbf{r}, \mathbf{r}', \omega) = \sum_{n, \mathbf{k}} \delta(\omega - \xi_{n\mathbf{k}}) \phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}^*(\mathbf{r}'). \quad (14)$$

# The structure of $W$

**Time reversal symmetry** We assume

$$W(\mathbf{r}, \mathbf{r}', \omega) = W(\mathbf{r}, \mathbf{r}', -\omega). \quad (15)$$

**The explicit expression in terms of  $\phi_{nk}$**  (The  $-1$  factor comes from the fermion loop)

$$\begin{aligned} i\chi_{\mathbf{G}\mathbf{G}'}(\mathbf{q}, \omega) &= q, G \rightarrow \text{loop} \rightarrow q, G' \\ &= - \int \frac{d\omega'}{2\pi} \sum_{\mathbf{k}} \sum_{n, n'} \frac{i}{\omega' - \xi_{n'\mathbf{k}} + i0^+ \text{sgn}(\xi_{n'\mathbf{k}})} \\ &\quad \times \frac{i}{\omega + \omega' - \xi_{n, \mathbf{k}+\mathbf{q}} + i0^+ \text{sgn}(\xi_{n, \mathbf{k}+\mathbf{q}})} \\ &\quad \times M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G}) M_{nn'}^*(\mathbf{k}, \mathbf{q}, \mathbf{G}'). \end{aligned} \quad (16)$$

# The structure of $W$

After long and tedious contour integration ...

$$\chi_{\mathbf{G}\mathbf{G}'}(\mathbf{q}, \omega) = \sum_{\mathbf{k}} \sum_n^{\text{occ}} \sum_{n'}^{\text{emp}} M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G}) M_{nn'}^*(\mathbf{k}, \mathbf{q}, \mathbf{G}') \\ \times \left( \frac{1}{\omega + \xi_{n, \mathbf{k}+\mathbf{q}} - \xi_{n' \mathbf{k}} + i0^+} + \frac{1}{-\omega + \xi_{n, \mathbf{k}+\mathbf{q}} - \xi_{n' \mathbf{k}} + i0^+} \right). \quad (17)$$

Sketch of steps:

- When the signs of  $\xi_{n, \mathbf{k}+\mathbf{q}}$  and  $\xi_{n' \mathbf{k}}$  are different, the poles of the two propagators don't cancel.
- Time reversal symmetry allows swapping  $n$  and  $n'$  and adding necessary minus signs to momenta
- So now we can fix  $n$  to the occupied band and  $n'$  to the empty band and still have the shared  $MM^*$  factor for the two terms.

# Non-static COHSEX decomposition I

**Analytic structure of  $GW$**  Below  $\mathbf{r}$  and  $\mathbf{r}'$  indices are hidden;  $\text{Im}$  treats  $\phi_{n\mathbf{k}}$  as real numbers; positivity conditions are assumed for weight functions in spectral representations:

$$\Sigma(\omega) = i \int \frac{d\omega'}{2\pi} e^{-i0^+\omega'} G(\omega - \omega') W(\omega'), \quad (18)$$

$$G(\omega) = \int d\omega' \frac{A(\omega')}{\omega - \omega' + i \text{sgn}(\omega)}, \quad A(\omega) = -\frac{1}{\pi} |\text{Im } G(\omega)|, \quad (19)$$

$$W(\omega) = v + \int_0^\infty d\omega' \frac{2\omega'}{\omega^2 - (\omega' - i0^+)^2} B(\omega'), \quad \text{Im } W(\omega) = -\pi B(\omega). \quad (20)$$

**The decomposition** So in  $G(\omega - \omega')$  and  $W(\omega')$  we both have poles ...

- $\Sigma^{\text{COH}} = \Sigma^{\text{GW}}$  from poles of  $W$
- $\Sigma^{\text{SEX}} = \Sigma^{\text{GW}}$  from poles of  $G$

# Non-static COHSEX decomposition II

## Screened exchange term: $\Sigma^{\text{SEX}}$

- When  $\text{sgn}(\omega') < 0$  in  $G(\omega)$ , we have one pole in the lower plane, otherwise no pole exists. We need to integrate on the lower plane (due to  $e^{-i0^+\omega'}$  factor). Thus:

$$\begin{aligned}\Sigma^{\text{SEX}}(\mathbf{r}, \mathbf{r}', \omega) &= - \int_{-\infty}^0 d\omega' A(\mathbf{r}, \mathbf{r}', \omega') W(\mathbf{r}, \mathbf{r}', \omega - \omega') \\ &= - \sum_{n, \mathbf{k}}^{\text{occ}} \phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}^*(\mathbf{r}') W(\mathbf{r}, \mathbf{r}', \omega - \xi_{n\mathbf{k}}).\end{aligned}\tag{21}$$

# Non-static COHSEX decomposition III

- Inserting the definition of  $W$ , and switching to the  $n, \mathbf{k}$  basis:

$$\begin{aligned} & \langle n\mathbf{k} | \Sigma^{\text{SEX}}(\omega) | n'\mathbf{k} \rangle \\ &= - \sum_{n''}^{\text{occ}} \sum_{\mathbf{q} \mathbf{G} \mathbf{G}'} M_{n''n}^*(\mathbf{k}, -\mathbf{q}, -\mathbf{G}) M_{n''n'}(\mathbf{k}, -\mathbf{q}, -\mathbf{G}') \quad (22) \\ & \quad \times \epsilon_{\mathbf{G} \mathbf{G}'}^{-1}(\mathbf{q}, \omega - \xi_{n'', \mathbf{k}-\mathbf{q}}) v(\mathbf{q} + \mathbf{G}'). \end{aligned}$$

## Comments

- $\Sigma^{\text{SEX}}$  is the only term in Hartree-Fock approx.
- Easy to understand: “screened repulsive opens the band gap”

# Non-static COHSEX decomposition IV

## Coulomb hole term: $\Sigma^{\text{COH}}$

- Consider the poles from  $W$ , and insert the definition of  $A$ :

$$\begin{aligned}\Sigma^{\text{COH}}(\mathbf{r}, \mathbf{r}', \omega) &= \int_0^\infty d\omega'' \int_{-\infty}^\infty d\omega' \frac{A(\mathbf{r}, \mathbf{r}', \omega') B(\mathbf{r}, \mathbf{r}', \omega'')}{\omega - \omega' - \omega'' + i \operatorname{sgn}(\omega')} \\ &= \sum_{n, \mathbf{k}} \phi_{n\mathbf{k}}(\mathbf{r}) \phi_{n\mathbf{k}}^*(\mathbf{r}') \int_0^\infty d\omega' \frac{-\operatorname{Im} W(\mathbf{r}, \mathbf{r}', \omega')/\pi}{\omega - \xi_{n\mathbf{k}} - \omega' + i \operatorname{sgn}(\xi_{n\mathbf{k}})}.\end{aligned}\quad (23)$$

- Here the  $\epsilon^{-1}$  factor in  $W$  is always the same as  $\epsilon_r^{-1}$  since  $\omega' > 0$ .
- We can verify (recall that here  $\operatorname{Im}$  treats  $\phi_{n\mathbf{k}}$  as a real number and only considers the positions of the poles)

$$2i \operatorname{Im} \frac{1}{a + bi} = \frac{1}{a + bi} - \frac{1}{a - bi} \Rightarrow \operatorname{Im} \epsilon^{-1}(\omega') = \frac{1}{2i} (\epsilon_r^{-1} - \epsilon_a^{-1}).$$



# Non-static COHSEX decomposition V

- Switching to the  $n, \mathbf{k}$  basis:

$$\begin{aligned} & \langle n\mathbf{k} | \Sigma^{\text{COH}}(\omega) | n'\mathbf{k} \rangle \\ &= \frac{i}{2\pi} \sum_{n''} \sum_{\mathbf{q}, \mathbf{G}, \mathbf{G}'} M_{n''n}^*(\mathbf{k}, -\mathbf{q}, -\mathbf{G}) M_{n''n'}(\mathbf{k}, -\mathbf{q}, -\mathbf{G}') \\ & \times \int_0^\infty d\omega' \frac{[\epsilon_{\mathbf{G}\mathbf{G}'}^r]^{-1}(\mathbf{q}, \omega') - [\epsilon_{\mathbf{G}\mathbf{G}'}^a]^{-1}(\mathbf{q}, \omega')}{\omega - \xi_{n\mathbf{k}} - \omega' + i0^+ \text{sgn}(\xi_{n\mathbf{k}})} v(\mathbf{q} + \mathbf{G}'). \end{aligned} \quad (24)$$

## Comments

- TODO: why the name?

# Non-static COHSEX decomposition VI

- Now we switching back to the normal definition of the operator  $\text{Im}$  – note that

$$\text{Im } \epsilon_r^{-1} = \frac{1}{2i}(\epsilon_r^{-1} - \epsilon_a^{-1})$$

is only true for systems with inversion symmetry (real wave function, etc.).

- In Deslippe et al. 2012,  $\Sigma^{\text{COH}}$  and  $\Sigma^{\text{SEX}}$  are actually the retarded version (note that in (22)  $\epsilon$  is replaced by  $\epsilon_r$ , and in (24))  $i \text{sgn}(\xi_{n\mathbf{k}})0^+$  is replaced by  $i0^+$ .

# A brief summary of full frequency, non-diagonal GW I

## Key assumptions

- Well-defined quasiparticles labeled by  $\mathbf{k}$  and  $n$  (Fermi liquid theory; used everywhere)
- Time-reversal symmetry (used when deriving  $\chi$  and doing spectral representation of  $W$ )

**Input**  $\{\phi_{n\mathbf{k}}\}$ ,  $\{\varepsilon_{n\mathbf{k}}\}$ , occupation (from which  $\mu$  and hence  $\xi_{n\mathbf{k}} = \varepsilon_{n\mathbf{k}} - \mu$  are decided)

## Main procedures

- epsilon: input  $\{\phi_{n\mathbf{k}}\}$  and  $\{\varepsilon_{n\mathbf{k}}\}$ , output  $\epsilon_{\mathbf{G}\mathbf{G}'}^{-1}(\mathbf{q}, \omega)$ 
  - 1 From  $\{\phi_{n\mathbf{k}}\}$  to  $M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G})$  using (8).
  - 2 From  $\varepsilon_{n\mathbf{k}}$  to  $\chi_{\mathbf{G}\mathbf{G}'}(\mathbf{q}, \omega)$  using (17).
  - 3 From  $\chi$  to  $\epsilon$ .
  - 4 Finding  $\epsilon^{-1}$ .
- sigma: input  $\phi_{n\mathbf{k}}$ ,  $V_{\text{xc}}$  and  $\epsilon_{\mathbf{G}\mathbf{G}'}^{-1}(\mathbf{q}, \omega)$ , output  $\langle n\mathbf{k} | \Sigma^G W(E) | n'\mathbf{k} \rangle$  and  $\varepsilon_{n\mathbf{k}}^{\text{GW}}$

# A brief summary of full frequency, non-diagonal GW II

- 1 From  $\{\phi_{nk}\}$  to  $M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G})$  using (8).
- 2 From  $M_{nn'}(\mathbf{k}, \mathbf{q}, \mathbf{G})$  to  $\langle n\mathbf{k} | \Sigma^{\text{COH,SEX}} | n'\mathbf{k} \rangle$  using TODO
- 3 Finding  $Z$  using TODO

## Cutoff parameters

- In  $\phi_{nk}$ :
  - $N_{\text{bands}}$  (i.e. max  $n$ ),
  - $\mathbf{k}$ -grid density,
  - $E_{\text{cut}}$  (i.e.  $\mathbf{G}$ -grid size, i.e. spatial resolution)
- In  $\epsilon_{\mathbf{G}\mathbf{G}'}^{-1}(\mathbf{q}, \omega)$ :
  - $\mathbf{k}$ -grid from  $\{\phi_{nk}\}$
  - $N_{\text{bands}}$  (i.e. max  $n$  in summation in (17))
  - $E_{\text{cut}}$  (used to reduce the  $\mathbf{G}$ -grid in  $\{\phi_{nk}\}$ , which may be too large)
  - $\omega$ -grid

# Overview

Three levels of frequency dependence:

- 1 Static COHSEX
- 2 Generalized plasmon-pole model (GPP)
- 3 Full frequency

# The expression of $\epsilon_2$ I

- The SI version:

$$\epsilon_2 := \text{Im } \epsilon_r = \frac{\pi e^2}{\omega^2 \epsilon_0 V} \sum_S |\langle S | \mathbf{v} \cdot \hat{\mathbf{e}} | 0 \rangle|^2 \delta(\omega - \Omega_S). \quad (25)$$

- The Gaussian units version:

$$\epsilon_2 = \frac{4\pi^2 e^2}{\omega^2 V} \sum_S |\langle S | \mathbf{v} \cdot \hat{\mathbf{e}} | 0 \rangle|^2 \delta(\omega - \Omega_S). \quad (26)$$

The value of  $\epsilon$  doesn't change in unit conversion, but  $e^2/\epsilon_0$  should be replaced by  $4\pi e^2$ .

- With spin degeneracy we have an additional 2 factor (magnetic field not strong, no mechanism of spin splitting, so the input and output spins are the same)

# The expression of $\epsilon_2$ II

- In Rydberg units,  $e^2 = 2$
- So with spin degeneracy we have

$$\epsilon_2 = \frac{16\pi^2}{\omega^2 V} \sum_S |\langle S | \mathbf{v} \cdot \hat{\mathbf{e}} | 0 \rangle|^2 \delta(\omega - \Omega_S), \quad (27)$$

- and without spin degeneracy (or when SOC is strong and the spin index has been incorporated into  $S$ ) we have

$$\epsilon_2 = \frac{8\pi^2}{\omega^2 V} \sum_S |\langle S | \mathbf{v} \cdot \hat{\mathbf{e}} | 0 \rangle|^2 \delta(\omega - \Omega_S). \quad (28)$$

- This is the actual formula used in `absp0.f90`.

## Two sources of errors

- $k$ -grid sampling
- Finite number of bands (this can be systematically reduced: for *each*  $k$ ,  $\{u_{nk}\}_n$  is a complete basis of the space of possible  $u_{nk}$ .)



# References I



Deslippe, Jack et al. (2012). “BerkeleyGW: A massively parallel computer package for the calculation of the quasiparticle and optical properties of materials and nanostructures”. In: *Computer Physics Communications* 183.6, pp. 1269–1289. ISSN: 0010-4655. DOI: <https://doi.org/10.1016/j.cpc.2011.12.006>. URL: <https://www.sciencedirect.com/science/article/pii/S0010465511003912>.