

## Hydrogen-molecule : 1-electron theory

Direct Exchange [see also Ashcroft & Mermin ch.32]

- \* 2 sites : a and b
- \* basis functions : s-like orbitals  $|a\rangle, |b\rangle$
- \*  $\langle a|a\rangle = 1, \langle b|b\rangle = 1, \langle a|b\rangle = 0, \langle b|a\rangle = 0$
- \*  $\langle a|H|a\rangle = E_0, \langle b|H|b\rangle = E_0$  : on-site energy.
- \*  $\langle a|H|b\rangle = t, \langle b|H|a\rangle = t$  : hopping integral ( $t < 0$ )

$$H\psi = E\psi : H = \begin{bmatrix} E_0 & t \\ t & E_0 \end{bmatrix}, \psi = \alpha a + \beta b, \alpha^2 + \beta^2 = 1$$

$$\psi_+ = \frac{a+b}{\sqrt{2}} \quad E_+ = -|t| \quad (t < 0) : \text{lowest state}$$

$$\psi_- = \frac{a-b}{\sqrt{2}} \quad E_- = +|t|$$

Remark: a, b,  $\psi_+, \psi_-$  are all 1-electron orbitals.

The hydrogen molecule contains 2 electrons.

In the 1-electron theory, one takes the calculated 1-electron orbitals and fill these with 2 electrons.

The ground state will then be 2 electrons residing both in the  $\psi_+$  orbitals, one with spin up ( $\uparrow$ ) and one with spin-down ( $\downarrow$ ). The ground state will be a singlet:

$$\psi_s = \psi_+ \uparrow \psi_+ \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} \frac{a(1)+b(1)}{\sqrt{2}} \uparrow(1) & \frac{a(2)+b(2)}{\sqrt{2}} \uparrow(2) \\ \frac{a(1)+b(1)}{\sqrt{2}} \downarrow(1) & \frac{a(2)+b(2)}{\sqrt{2}} \downarrow(2) \end{vmatrix}$$

$$= \frac{a(1)+b(1)}{\sqrt{2}} \cdot \frac{a(2)+b(2)}{\sqrt{2}} \cdot \frac{\uparrow(1)\downarrow(2) - \downarrow(1)\uparrow(2)}{\sqrt{2}}$$

$$= \frac{1}{2} \left\{ a(1)a(2) + \frac{a(1)b(2)}{2} + \frac{b(1)a(2)}{2} + \frac{b(1)b(2)}{2} \right\} \cdot \frac{\uparrow(1)\downarrow(2) - \downarrow(1)\uparrow(2)}{\sqrt{2}}$$

The probability to find 2 electrons on site a is:

$$|\langle a(1)a(2) | \psi_s \rangle|^2 = \left| \frac{1}{2} \right|^2 = \frac{1}{4}$$

The probability to find 2 electrons on site b is:

$$|\langle b(1)b(2) | \psi_s \rangle|^2 = \left| \frac{1}{2} \right|^2 = \frac{1}{4}$$

The probability to find 1 electron on a and 1 on b is:

$$|\langle a(1)b(2) | \psi_s \rangle|^2 + |\langle b(1)a(2) | \psi_s \rangle|^2 = \left| \frac{1}{2} \right|^2 + \left| \frac{1}{2} \right|^2 = \frac{1}{2}$$

The first excited state will have one electron in the  $\varphi_+$  orbital and one in the  $\varphi_-$  orbital. This can be a triplet or a singlet. Let us consider the triplet:  $\uparrow\uparrow$  (or  $\downarrow\downarrow$ ).

$$\begin{aligned} \psi_T &= \varphi_+ \uparrow \varphi_- \uparrow = \frac{1}{\sqrt{2}} \begin{vmatrix} \frac{a(1)+b(1)}{\sqrt{2}} \uparrow(1) & \frac{a(2)+b(2)}{\sqrt{2}} \uparrow(2) \\ \frac{a(1)-b(1)}{\sqrt{2}} \uparrow(1) & \frac{a(2)-b(2)}{\sqrt{2}} \uparrow(2) \end{vmatrix} \\ &= \frac{1}{\sqrt{2}} \left\{ \frac{a(1)+b(1)}{\sqrt{2}} \cdot \frac{a(2)-b(2)}{\sqrt{2}} - \frac{a(1)-b(1)}{\sqrt{2}} \cdot \frac{a(2)+b(2)}{\sqrt{2}} \right\} \uparrow(1)\uparrow(2) \\ &= \frac{1}{\sqrt{2}} \left\{ \frac{-a(1)b(2) + b(1)a(2) - a(1)b(2) + b(1)a(2)}{\sqrt{2} \cdot \sqrt{2}} \right\} \uparrow(1)\uparrow(2) \\ &= \frac{b(1)a(2) - a(1)b(2)}{\sqrt{2}} \cdot \uparrow(1)\uparrow(2) \quad (\text{and } \downarrow\downarrow \text{ equivalently}) \end{aligned}$$

The probability to find 2 electrons on site a is zero

The probability to find 2 electrons on site b is zero

The probability to find 1 electron on a and 1 on b is 100%.

Remark: the state  $\varphi_+ \uparrow \varphi_- \downarrow$  or  $\varphi_+ \downarrow \varphi_- \uparrow$  is

partly a singlet and partly a triplet.

Within the 1-electron theory these two

are indistinguishable!  $m_s=0$  belongs to  $S=0$  and  $S=1$

The highest excited state will have the 2 electrons residing in the  $\psi_-$  orbital: one with spin  $\uparrow$  and one with spin  $\downarrow$ . Let us label this singlet state as  $\psi_s^*$ .

$$\begin{aligned} \psi_s^* &= \psi_- \uparrow \psi_- \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} \frac{a(1)-b(1)}{\sqrt{2}} \uparrow(1) & \frac{a(2)-b(2)}{\sqrt{2}} \uparrow(2) \\ \frac{a(1)-b(1)}{\sqrt{2}} \downarrow(1) & \frac{a(2)-b(2)}{\sqrt{2}} \downarrow(2) \end{vmatrix} \\ &= \left\{ \frac{a(1)a(2)}{2} - \frac{a(1)b(2)}{2} - \frac{b(1)a(2)}{2} + \frac{b(1)b(2)}{2} \right\} \cdot \frac{\uparrow(1)\downarrow(2) - \downarrow(1)\uparrow(2)}{\sqrt{2}} \end{aligned}$$

The probability to find 2 electrons on site a =  $\frac{1}{4}$

The probability to find 2 electrons on site b =  $\frac{1}{4}$

The probability to find 1 electron on a and 1 on b =  $\frac{1}{2}$ .

Remark:  $\psi_s \equiv \psi_+ \uparrow \psi_+ \downarrow$ ,  $\psi_t \equiv \psi_+ \uparrow \psi_- \uparrow$  or  $\psi_+ \downarrow \psi_- \downarrow$  and  $\psi_s^* \equiv \psi_- \uparrow \psi_- \uparrow$  are all single Slater-determinant wavefunctions!

in other words: they are all one-electron theory wavefunctions! (we have constructed them as such).

How about the energies?

→ We have to evaluate  $\langle \psi_s | H | \psi_s \rangle$ ,  $\langle \psi_t | H | \psi_t \rangle$  and  $\langle \psi_s^* | H | \psi_s^* \rangle$ .

→ from the one-electron wavefunctions  $\psi_+$  and  $\psi_-$  with eigen energies  $E_+ = E_0 - |t|$  and  $E_- = E_0 + |t|$ , respectively,

$$\text{we get: } E(\psi_s) = E(\psi_+ \psi_+) = 2E_+ = 2E_0 - 2|t| \quad (t < 0)$$

$$E(\psi_t) = E(\psi_+ \psi_-) = E_+ + E_- = 2E_0$$

$$E(\psi_s^*) = E(\psi_- \psi_-) = 2E_- = 2E_0 + 2|t| \quad (t < 0)$$

Within this 1-electron theory, the hydrogen molecule will have 3 possible energies:

$$2E_0 - 2|t| \quad (1 \text{ state, the lowest singlet, } t < 0)$$

$$2E_0 \quad (4 \text{ states, the triplet plus one singlet})$$

$$2E_0 + 2|t| \quad (1 \text{ state, the highest singlet, } t < 0)$$

The singlet-triplet splitting is:  $E(\psi_t) - E(\psi_s) = +2|t|$

This is a useful quantity to describe the low energy excitations of the system:

$$H^{\text{spin}} = -J \cdot s_1 \cdot s_2 \quad \text{with } J = -2|t| \quad (t < 0 \rightarrow -J > 0)$$

→ "anti-parallel" spin alignment (singlet) is favoured.

Remark: alternatively, one may wish to evaluate

$$\langle \psi_s | H | \psi_s \rangle, \langle \psi_t | H | \psi_t \rangle \text{ or } \langle \psi_s^* | H | \psi_s^* \rangle \text{ using}$$

$$\psi_s = \frac{1}{\sqrt{2}} \{ a(1)a(2) + a(1)b(2) + b(1)a(2) + b(1)b(2) \} \frac{1(1)\uparrow(2) - 1(1)\downarrow(2)}{\sqrt{2}}$$

and  $\psi_t = \dots, \psi_s^* = \dots$

This means that we have to evaluate terms like

$$\langle a(1)a(2) | H | a(1)a(2) \rangle, \langle a(1)a(2) | H | a(1)b(2) \rangle,$$

$$\langle a(1)a(2) | H | b(1)a(2) \rangle, \langle a(1)a(2) | H | b(1)b(2) \rangle,$$

and 12 more other terms (16 terms in total).

Here we have to be accurate in how to "label" H.

$H = H(1) + H(2)$  with  $H(1)$  working only on electron 1  
and  $H(2)$  working only on electron 2

$$H(1): \langle a(1) | H(1) | a(1) \rangle = E_0 \quad \langle b(1) | H(1) | b(1) \rangle = E_0$$

$$\langle a(1) | H(1) | b(1) \rangle = t \quad \langle b(1) | H(1) | a(1) \rangle = t$$

$$H(2): \langle a(2) | H(2) | a(2) \rangle = E_0 \quad \langle b(2) | H(2) | b(2) \rangle = E_0$$

$$\langle a(2) | H(2) | b(2) \rangle = t \quad \langle b(2) | H(2) | a(2) \rangle = t$$

Thus:

$$\langle a(1)a(2) | H | a(1)a(2) \rangle = \langle a(1)a(2) | H(1) + H(2) | a(1)a(2) \rangle =$$

$$\langle a(1)a(2) | H(1) | a(1)a(2) \rangle + \langle a(1)a(2) | H(2) | a(1)a(2) \rangle =$$

$$\langle a(1) | H(1) | a(1) \rangle \langle a(2) | a(2) \rangle + \langle a(1) | a(1) \rangle \langle a(2) | H(2) | a(2) \rangle =$$

$$E_0 \cdot 1 + 1 \cdot E_0 = 2E_0$$

$$\langle a(1)a(2) | H | a(1)b(2) \rangle = \langle a(1)a(2) | H(1) + H(2) | a(1)b(2) \rangle =$$

$$\langle a(1)a(2) | H(1) | a(1)b(2) \rangle + \langle a(1)a(2) | H(2) | a(1)b(2) \rangle =$$

$$\langle a(1) | H(1) | a(1) \rangle \langle a(2) | b(2) \rangle + \langle a(1) | a(1) \rangle \langle a(2) | H(2) | b(2) \rangle =$$

$$E_0 \cdot 0 + 1 \cdot t = t$$

$$\langle a(1)a(2) | H | b(1)a(2) \rangle = \dots = t$$

$$\begin{aligned} \langle a(1)a(2) | H | b(1)b(2) \rangle &= \langle a(1)a(2) | H(1) + H(2) | b(1)b(2) \rangle = \\ &= \langle a(1)a(2) | H(1) | b(1)b(2) \rangle + \langle a(1)a(2) | H(2) | b(1)b(2) \rangle = \\ &= \langle a(1) | H(1) | b(1) \rangle \langle a(2) | b(2) \rangle + \langle a(1) | b(1) \rangle \langle a(2) | H(2) | b(2) \rangle = \\ &= t \cdot 0 + 0 \cdot t = 0 \end{aligned}$$

$$\begin{aligned} \langle a(1)b(2) | H | b(1)a(2) \rangle &= \langle a(1)b(2) | H(1) + H(2) | b(1)a(2) \rangle = \\ &= \langle a(1)b(2) | H(1) | b(1)a(2) \rangle + \langle a(1)b(2) | H(2) | b(1)a(2) \rangle = \\ &= \langle a(1) | H(1) | b(1) \rangle \langle b(2) | a(2) \rangle + \langle a(1) | b(1) \rangle \langle b(2) | H(2) | a(2) \rangle = \\ &= t \cdot 0 + 0 \cdot t = 0. \end{aligned}$$

etc

So one must realize here that  $H = H(1) + H(2)$  can only couple states which have the same orbitals or differ only in 1 orbital. In other words, this Hamiltonian can only transfer at most one electron at a time (and not two).

$$\begin{aligned} \text{Show that } \langle \psi_s | H | \psi_s \rangle &= 2E_0 - 2|t| \quad (t < 0) \quad (16 \text{ terms}) \\ \langle \psi_t | H | \psi_t \rangle &= 2E_0 \quad (4 \text{ terms}) \\ \langle \psi_s^* | H | \psi_s^* \rangle &= 2E_0 + 2|t| \quad (t < 0) \quad (16 \text{ terms}) \end{aligned}$$

# Hydrogen-molecule: Hubbard Model

Direct Exchange [see also Ashcroft & Mermin, ch 32, 33]

- \* 2 sites; s-like orbitals  $a, b$ ; spin  $\uparrow, \downarrow$ ; 2 electrons.
- \* hopping integral  $t \equiv \langle a|H|b \rangle$        $\langle a|b \rangle = \langle b|a \rangle = 0$
- \* on-site energy  $E_0 \equiv \langle a|H|a \rangle = \langle b|H|b \rangle$        $\langle a|a \rangle = \langle b|b \rangle = 1$
- \* Coulomb energy  $U$  for doubly occupied site:  
 $U = \langle a \uparrow a \downarrow | H | a \uparrow a \downarrow \rangle = \langle b \uparrow b \downarrow | H | b \uparrow b \downarrow \rangle$  : 2 electron operator

## Basis set:

$$\uparrow \uparrow : a \uparrow b \uparrow = \frac{1}{\sqrt{2}} \begin{vmatrix} a(1)\uparrow(1) & a(2)\uparrow(2) \\ b(1)\uparrow(1) & b(2)\uparrow(2) \end{vmatrix} = \frac{1}{\sqrt{2}} \{ \frac{a(1)b(2) - a(2)b(1)}{\sqrt{2}} \} \uparrow(1)\uparrow(2)$$

$$\downarrow \downarrow : a \downarrow b \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} a(1)\downarrow(1) & a(2)\downarrow(2) \\ b(1)\downarrow(1) & b(2)\downarrow(2) \end{vmatrix} = \frac{1}{\sqrt{2}} \{ \frac{a(1)b(2) - a(2)b(1)}{\sqrt{2}} \} \downarrow(1)\downarrow(2)$$

$$\uparrow \downarrow : a \uparrow b \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} a(1)\uparrow(1) & a(2)\uparrow(2) \\ b(1)\downarrow(1) & b(2)\downarrow(2) \end{vmatrix} = \frac{a(1)b(2)\uparrow(1)\downarrow(2) - a(2)b(1)\downarrow(1)\uparrow(2)}{\sqrt{2}}$$

$$\downarrow \uparrow : a \downarrow b \uparrow = \frac{1}{\sqrt{2}} \begin{vmatrix} a(1)\downarrow(1) & a(2)\downarrow(2) \\ b(1)\uparrow(1) & b(2)\uparrow(2) \end{vmatrix} = \frac{a(1)b(2)\downarrow(1)\uparrow(2) - a(2)b(1)\uparrow(1)\downarrow(2)}{\sqrt{2}}$$

$$\uparrow \uparrow - : a \uparrow a \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} a(1)\uparrow(1) & a(2)\uparrow(2) \\ a(1)\downarrow(1) & a(2)\downarrow(2) \end{vmatrix} = a(1)a(2) \left\{ \frac{\uparrow(1)\downarrow(2) - \downarrow(1)\uparrow(2)}{\sqrt{2}} \right\}$$

$$- \uparrow \uparrow : b \uparrow b \downarrow = \frac{1}{\sqrt{2}} \begin{vmatrix} b(1)\uparrow(1) & b(2)\uparrow(2) \\ b(1)\downarrow(1) & b(2)\downarrow(2) \end{vmatrix} = b(1)b(2) \left\{ \frac{\uparrow(1)\downarrow(2) - \downarrow(1)\uparrow(2)}{\sqrt{2}} \right\}$$

## Hamiltonian:

$a \uparrow b \uparrow$	$2E_0$					<ul style="list-style-type: none"> <li><math>\bullet = 0</math> (no spin-flip in Hamiltonian)</li> <li><math>- = 0</math> (no hopping for 2 electrons at the same time)</li> </ul>
$a \downarrow b \downarrow$	$\bullet$	$2E_0$				
$a \uparrow b \downarrow$	$\bullet$	$\bullet$	$2E_0$			
$a \downarrow b \uparrow$	$\bullet$	$\bullet$	$\bullet$	$2E_0$		
$a \uparrow a \downarrow$	$\bullet$	$\bullet$	$t$	$t$	$2E_0 + U$	
$b \uparrow b \downarrow$	$\bullet$	$\bullet$	$t$	$t$	$- 2E_0 + U$	

$a \uparrow b \uparrow, a \downarrow b \downarrow$  : triplet : antisymmetric in orbital and symmetric in spin upon interchange of particle coordinates

$a \uparrow a \downarrow, b \uparrow b \downarrow$  : singlet : symmetric in orbital and antisymmetric in spin.

How about  $a \uparrow b \downarrow$  and  $a \downarrow b \uparrow$  ?

Let us make the following linear combinations:

$$\begin{aligned} \frac{a^\dagger b \downarrow + a \downarrow b^\dagger}{\sqrt{2}} &= \frac{a(1)b(2) \uparrow(1) \downarrow(2) - a(2)b(1) \downarrow(1) \uparrow(2) + a(1)b(2) \downarrow(1) \uparrow(2) - a(2)b(1) \uparrow(1) \downarrow(2)}{\sqrt{2} \cdot \sqrt{2}} \\ &= \frac{\{a(1)b(2) - a(2)b(1)\} \uparrow(1) \downarrow(2) + \{a(1)b(2) - a(2)b(1)\} \downarrow(1) \uparrow(2)}{\sqrt{2} \cdot \sqrt{2}} \\ &= \left\{ \frac{a(1)b(2) - a(2)b(1)}{\sqrt{2}} \right\} \left\{ \frac{\uparrow(1) \downarrow(2) + \downarrow(1) \uparrow(2)}{\sqrt{2}} \right\} \end{aligned}$$

= "ab-triplet"

→ question: is this a single Slater-determinant?

$$\frac{a^\dagger b \downarrow - a \downarrow b^\dagger}{\sqrt{2}} = \left\{ \frac{a(1)b(2) + a(2)b(1)}{\sqrt{2}} \right\} \left\{ \frac{\uparrow(1) \downarrow(2) - \downarrow(1) \uparrow(2)}{\sqrt{2}} \right\}$$

= "ab-singlet"

→ question: is this a single Slater-determinant?

The Hamiltonian is then:

$a^\dagger b \uparrow$	$2E_0$				
$a \downarrow b^\dagger$	•	$2E_0$			
ab-triplet	•	•	$2E_0$		
ab-singlet	•	•	•	$2E_0$	
$a^\dagger a b$	•	•	0	$\sqrt{2}t$	$2E_0 + U$
$b^\dagger b a$	•	•	0	$\sqrt{2}t$	$-2E_0 + U$

The 6x6 Hamiltonian falls apart into three 1x1 Hamiltonians and one 3x3 Hamiltonian.

The three 1x1 Hamiltonians are all triplet in character and have the same energy  $E_0$ . This 3-fold degeneracy is after all the reason to call these states triplets.

The 3x3 Hamiltonian belongs to the singlet Hilbert space.

Remark: The factor  $\sqrt{2}$  in the hopping matrix element basically indicates that there are two ways to let an electron hop from a doubly occupied site to a neighbor while being in the singlet state: namely with spin  $\uparrow$  or  $\downarrow$ .



For the 3x3 Hamiltonian can be simplified further by taking the following linear combinations of the singlet states  $a\uparrow a\downarrow$  and  $b\uparrow b\downarrow$ , namely  $\frac{a\uparrow a\downarrow + b\uparrow b\downarrow}{\sqrt{2}}$  and  $\frac{a\uparrow a\downarrow - b\uparrow b\downarrow}{\sqrt{2}}$  (these are still singlets):

$$\begin{array}{l}
 \text{ab-singlet} \\
 \frac{a\uparrow a\downarrow + b\uparrow b\downarrow}{\sqrt{2}} \\
 \frac{a\uparrow a\downarrow - b\uparrow b\downarrow}{\sqrt{2}}
 \end{array}
 \begin{bmatrix}
 2E_0 & & \\
 2t & 2E_0 + U & \\
 0 & 0 & 2E_0 + U
 \end{bmatrix}$$

The 2x2 submatrix will have  $2E_0 - \frac{(2t)^2}{U}$  as the lowest energy (for  $t \ll U$ ), and  $2E_0 + \frac{(2t)^2}{U}$  as the highest. The 1x1 submatrix keeps  $2E_0 + U$  as energy eigenvalue.

Conclusion:

The spins on the two sites will form a singlet state, since the lowest singlet state has an energy which is lower by  $\frac{4t^2}{U}$  as compared to the triplets.

$\rightarrow H^{\text{spin}} = -J \cdot S_1 \cdot S_2$ ,

$J = E_{\text{singlet}} - E_{\text{triplet}} = -4t^2/U$

$\rightarrow$  anti parallel spins are favored

Remarks: in the Hubbard model, the H<sub>2</sub> molecule will have 4 energies:  $2E_0 - \frac{4t^2}{U}$ ,  $2E_0$ ,  $2E_0 + U$ ,  $2E_0 + \frac{4t^2}{U}$ .

- : for  $U=0 \rightarrow$  singlet state = a single Slater determinant
- for  $U \neq 0 \rightarrow$  singlet state = combination of 3 Slater Det.

## Hydrogen molecule: anti-ferromagnetic vs. singlet

### Anti-ferromagnetic state:

- we have to choose between  $\uparrow \downarrow = a\uparrow b\downarrow$  or  $\downarrow \uparrow = a\downarrow b\uparrow$ .
- this means that we can no longer make the linear combination "ab-singlet" =  $\frac{1}{\sqrt{2}}(a\uparrow b\downarrow - a\downarrow b\uparrow)$  or "ab-triplet" =  $\frac{1}{\sqrt{2}}(a\uparrow b\downarrow + a\downarrow b\uparrow)$ .

- remark:  $a\uparrow b\downarrow$  is thus not a singlet nor a triplet.  
 $a\downarrow b\uparrow$  is thus not a singlet nor a triplet.

- let us make the choice  $a\uparrow b\downarrow$  for our anti-ferromagnetic state.  
The states which couple to this is  $a\uparrow a\downarrow$  and  $b\uparrow b\downarrow$ .

$$\begin{array}{l} a\uparrow b\downarrow \\ a\uparrow a\downarrow \\ b\uparrow b\downarrow \end{array} \begin{bmatrix} 2E_0 & & \\ t & 2E_0 + U & \\ t & & -2E_0 + U \end{bmatrix}$$

This can be rewritten to:

$$\begin{array}{l} a\uparrow b\downarrow \\ \frac{1}{\sqrt{2}}(a\uparrow a\downarrow + b\uparrow b\downarrow) \\ \frac{1}{\sqrt{2}}(a\uparrow a\downarrow - b\uparrow b\downarrow) \end{array} \begin{bmatrix} 2E_0 & & \\ \sqrt{2}t & 2E_0 + U & \\ 0 & & -2E_0 + U \end{bmatrix}$$

The energy of the anti-ferromagnetic is then ( $t \ll U$ ):

$$E_{AF} = 2E_0 - \left(\frac{\sqrt{2}t}{U}\right)^2 = 2E_0 - \frac{t^2}{U}$$

Compare this to  $E_{\text{singlet}} = 2E_0 - \frac{2t^2}{U}$  :  $\rightarrow$  see next page

There is a factor of two difference: this has to do with the fact that there are two ways to hop away from a singlet, while there is only one way to hop from an AF state to a singlet.

An example for hopping from or to site a:

$a\uparrow a\downarrow \rightarrow a\uparrow b\downarrow$  hopping away from a singlet,  
 $\rightarrow b\uparrow a\downarrow = -a\downarrow b\uparrow$

$a\uparrow b\downarrow \rightarrow a\uparrow a\downarrow$  hopping from a AF to a singlet,

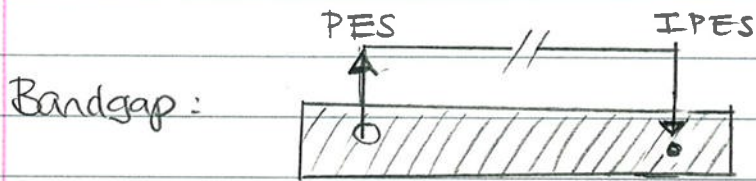
PES/IPES - Bandgaps - energy reference - chemical potential  $\mu$

system with N-electrons:

PES:  $N \rightarrow N-1$  initial:  $E_N^{GS}$  final:  $E_{N-1}^i + E_{ref}$  }  $E_{PES}^i = E_{N-1}^i - E_N^{GS} + E_{ref}$

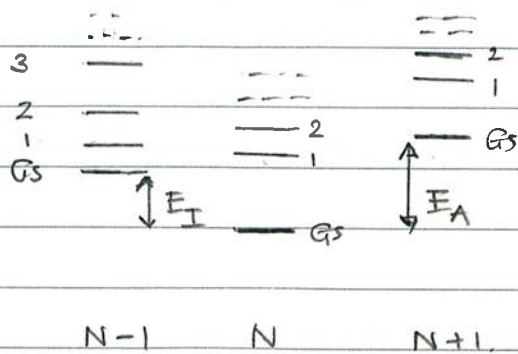
IPES:  $N \rightarrow N+1$  initial:  $E_N^{GS}$  final:  $E_{N+1}^i - E_{ref}$  }  $E_{IPES}^i = E_{N+1}^i - E_N^{GS} - E_{ref}$

[GS = Ground state,  $i = GS, 1, 2, 3, \dots$  (excited states)]



$$E_{gap} = E_{PES}^{GS} + E_{IPES}^{GS} = E_{N-1}^{GS} - E_N^{GS} + E_{N+1}^{GS} - E_N^{GS}$$

$$= E_{N-1}^{GS} + E_{N+1}^{GS} - 2E_N^{GS}$$



$$E_{gap} = E_I + E_A$$

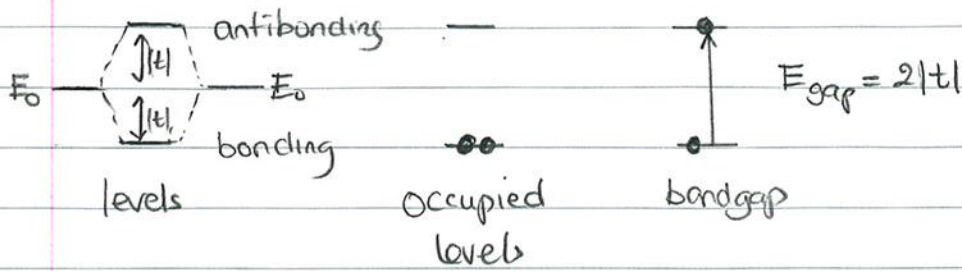
( $E_I \equiv E_{PES}^{GS}$ ,  $E_A \equiv E_{IPES}^{GS}$ )

$E_I =$  ionization energy

$E_A =$  affinity energy

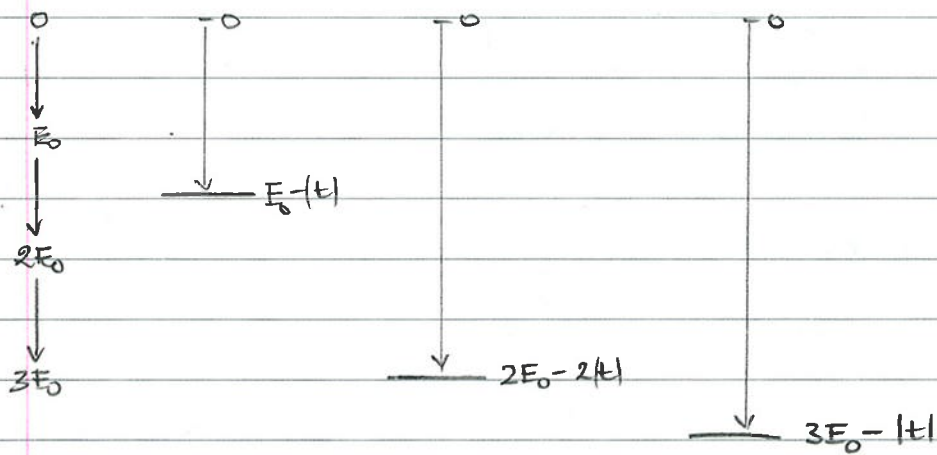
example 1: H<sub>2</sub>-molecule, 1 electron theory.

\* description in terms of 1-electron energy diagram:

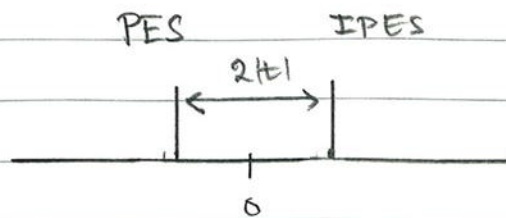


\* description in terms of total energy diagram:

$E_{N+1}^0 = E_0 - |t|$        $E_N^0 = 2(E_0 - |t|)$        $E_{N+1}^{G_0} = 2(E_0 - |t|) + (E_0 + |t|)$   
 1 electron in the bonding state      2 electron in the bonding state      3 electrons: 2 in the bonding and 1 in the antibonding state



Bandgap:  $E_{gap} = E_0 - |t| + 3E_0 - |t| - 2\{2E_0 - 2|t|\} = 2|t|$



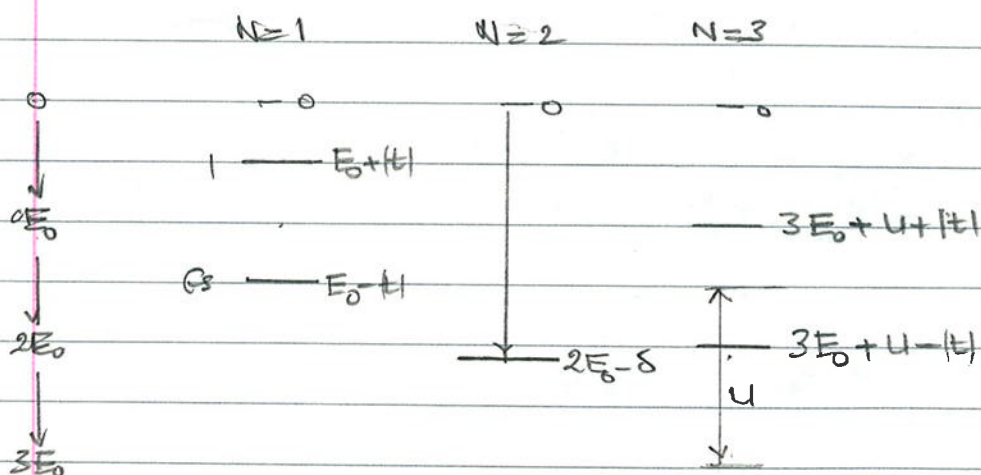
example 2 :  $H_2$ -molecule, Hubbard model with  $U \gg t$

\* description in terms of total energy diagram:

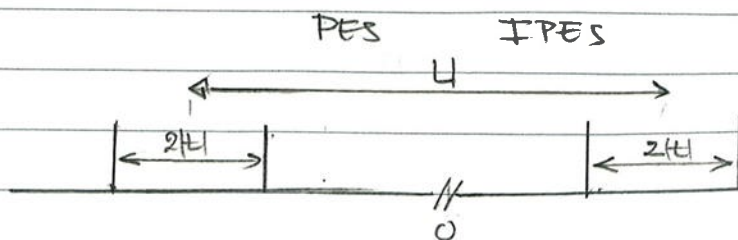
$N=2$  : for  $U \gg t \rightarrow E_N^{GS} \approx 2E_0 - \delta$        $\delta \approx 4t^2/U$

$N=1$  : PES has 2 states :  $E_{N-1}^{GS} = E_0 - |t|$ ,  $E_{N-1}^1 = E_0 + |t|$

$N=3$  : IPES has 2 states :  $E_{N+1}^{GS} = 3E_0 + U - |t|$ ,  $E_{N+1}^1 = 3E_0 + U + |t|$



Bandgap :  $E_{gap} = E_0 - |t| + 3E_0 + U - |t| - 2\{2E_0 - \delta\} = U - 2|t| + 2\delta$



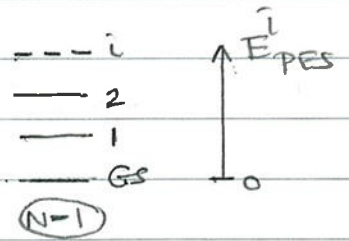
Thermodynamics : Internal Energy

$$dU = Tds - pdV + \mu dN \rightarrow \mu = \frac{dU}{dN}$$

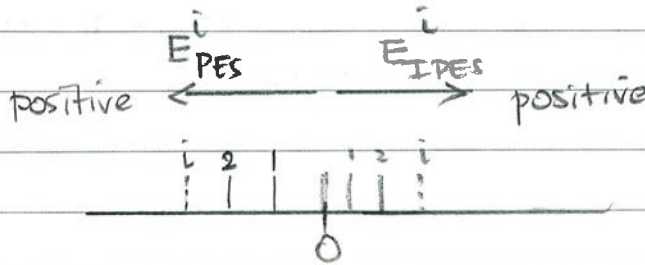
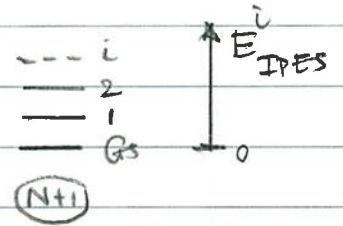
$$\mu = \frac{dE}{dN}; dN=1 \rightarrow \mu = E_{N+1}^{GS} - E_N^{GS} = E_N^{GS} - E_{N-1}^{GS} \text{ (for metals)}$$

PES/IPES experiments : choose  $E_{ref} = \mu$  (also possible :  $E_{ref} = E_{vac}$ )

$$\begin{aligned} \text{PES: } E_{PES}^i &= E_{N-1}^i - E_N^{GS} + E_{ref} \\ &= E_{N-1}^i - E_N^{GS} + E_N^{GS} - E_{N-1}^{GS} \\ &= E_{N-1}^i - E_{N-1}^{GS} \end{aligned}$$



$$\begin{aligned} \text{IPES: } E_{IPES}^i &= E_{N+1}^i - E_N^{GS} - E_{ref} \\ &= E_{N+1}^i - E_N^{GS} - (E_N^{GS} - E_{N-1}^{GS}) \\ &= E_{N+1}^i - E_{N+1}^{GS} \end{aligned}$$

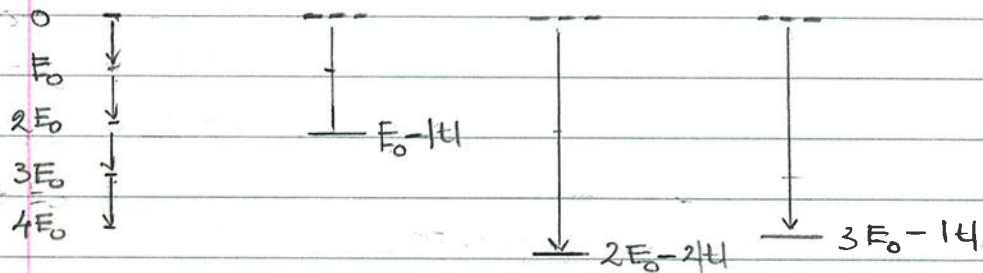


## Energy referencing in Total Energy diagrams.

If the system has  $N$  electrons in its most stable state, then adjust the 1-electron potential " $E_0$ " such that the groundstate of the  $N$  electron system has a lower energy than the groundstate of the  $N-1$  and  $N+1$  system:

$$E_N^{GS} < E_{N-1}^{GS}, \quad E_N^{GS} < E_{N+1}^{GS}$$

example 1<sup>2</sup> (see example 1:  $E_0$  is reduced by a factor  $2\frac{1}{2}$ )



$E_0$  is a 1-electron potential by the charge of the atom core and by the crystal (e.g. Madelung potential).

- Example: Mn can be  $2+$ ,  $3+$ ,  $4+$  depending on the compound  $\rightarrow$   $d^5, d^4, d^3 \rightarrow N=5, N=4, N=3$ .

$E_0$  is different for each compound  $\rightarrow$  Madelung potential.

- example:  $E(n) = n \cdot E_0 + \frac{1}{2} n \cdot (n-1) \cdot U$ .

If  $n_0$  is to be the most stable situation then:

$$\frac{\partial E}{\partial n} = 0 \text{ for } n=n_0 \Leftrightarrow E_0 = -(n_0 - \frac{1}{2}) U$$

- Remark:  $\frac{\partial^2 E(n)}{\partial n^2} = U \quad \nabla \rightarrow$  (constraint LDA+U calculations)

To determine  $U$  one must do an experiment involving a change of 2 particles, e.g.  $\text{Bandgap} = (E_{N+1}^{GS} - E_N^{GS}) - (E_N^{GS} - E_{N-1}^{GS})$ .



$H_2$  molecule, Hubbard Model, PES/IPES weights.

$$N=2 \quad \begin{array}{l} \frac{1}{\sqrt{2}}(a^\dagger b^\downarrow - a^\downarrow b^\dagger) \\ \frac{1}{\sqrt{2}}(a^\dagger a^\downarrow + b^\dagger b^\downarrow) \end{array} \quad \begin{bmatrix} 2E_0 & 2t \\ 2t & 2E_0 + U \end{bmatrix} \quad \begin{bmatrix} 0 & t \\ t & \Delta \end{bmatrix} \rightarrow E_{\pm} = \frac{\Delta \pm \sqrt{\Delta^2 + 4t^2}}{2}$$

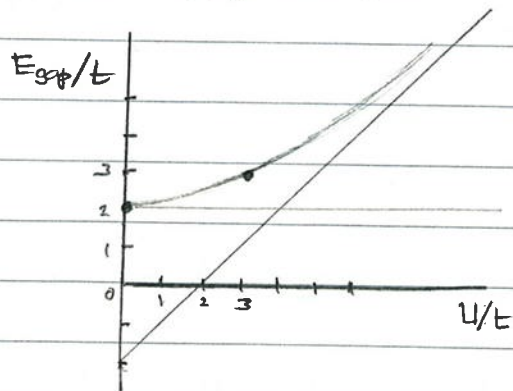
$$E_{N=2}^{GS} = 2E_0 + \frac{U - \sqrt{U^2 + 16t^2}}{2}$$

$$N=1 \quad \begin{array}{l} a^\dagger \\ b^\dagger \end{array} \quad \begin{bmatrix} E_0 & t \\ t & E_0 \end{bmatrix} \quad E_{N=1}^{GS} = E_0 - |t|, \quad E'_{N=1} = E_0 + |t|$$

$$N=3 \quad \begin{array}{l} a^\dagger \\ b^\dagger \end{array} \quad \begin{bmatrix} 3E_0 + U & t \\ t & 3E_0 + U \end{bmatrix} \quad E_{N=3}^{GS} = 3E_0 + U - |t|, \quad E'_{N=3} = 3E_0 + U + |t|$$

$$E_{gap} = E_0 - |t| + 3E_0 + U - |t| - 2 \left\{ 2E_0 + \frac{U - \sqrt{U^2 + 16t^2}}{2} \right\} = \sqrt{U^2 + 16t^2} - 2|t|$$

$$U=0 \rightarrow E_{gap} = 2|t|, \quad U=3t \rightarrow E_{gap} = 3t, \quad U \gg t \rightarrow E_{gap} \approx U - 2|t|$$



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$$\psi_{N=2}^{GS} = \alpha \left| \frac{1}{\sqrt{2}} (a^\uparrow b^\downarrow - a^\downarrow b^\uparrow) \right\rangle + \beta \left| \frac{1}{\sqrt{2}} (a^\uparrow a^\downarrow + b^\uparrow b^\downarrow) \right\rangle.$$

$$\psi_{N=1}^{GS} = \frac{1}{\sqrt{2}} |a^\uparrow\rangle + \frac{1}{\sqrt{2}} |b^\uparrow\rangle \quad (\text{bonding}) \quad (\text{also for } \downarrow)$$

$$\psi_{N=1}^I = \frac{1}{\sqrt{2}} |a^\uparrow\rangle - \frac{1}{\sqrt{2}} |b^\uparrow\rangle \quad (\text{anti-bonding}) \quad (\text{also for } \downarrow)$$

Spectral weight  $\rightarrow$  PES at site @, e.g. remove  $a^\downarrow$  electron.

$$\begin{aligned} I_{PES}^{GS} &= \left| \left\langle \frac{1}{\sqrt{2}} \langle a^\uparrow | + \frac{1}{\sqrt{2}} \langle b^\uparrow | \left| a^\downarrow \left[ \alpha \frac{|a^\uparrow b^\downarrow - a^\downarrow b^\uparrow\rangle}{\sqrt{2}} + \beta \frac{|a^\uparrow a^\downarrow + b^\uparrow b^\downarrow\rangle}{\sqrt{2}} \right] \right\rangle \right|^2 \\ &= \frac{1}{4} \left| \langle a^\uparrow | a^\downarrow | \beta | a^\uparrow a^\downarrow \rangle + \langle b^\uparrow | a^\downarrow | -\alpha | a^\downarrow b^\uparrow \rangle \right|^2 \\ &= \frac{1}{4} |\beta + \alpha|^2 \end{aligned}$$

$$\begin{aligned} I_{PES}^I &= \left| \left\langle \frac{1}{\sqrt{2}} \langle a^\uparrow | - \frac{1}{\sqrt{2}} \langle b^\uparrow | \left| \dots \right. \right\rangle \right|^2 \\ &= \frac{1}{4} |\beta - \alpha|^2 \end{aligned}$$

$$\times U=0 \rightarrow \alpha = \beta = \frac{1}{\sqrt{2}} \rightarrow I_{PES}^{GS} = \frac{1}{4} \left| \frac{1}{\sqrt{2}} + \frac{1}{\sqrt{2}} \right|^2 = \frac{1}{2}, \quad I_{PES}^I = 0.$$

$$\times U \rightarrow \infty \rightarrow \alpha = 1, \beta = 0 \rightarrow I_{PES}^{GS} = \frac{1}{4} |0 + 1|^2 = \frac{1}{4}, \quad I_{PES}^I = \frac{1}{4} |0 - 1|^2 = \frac{1}{4}.$$

The total PES intensity is  $\frac{1}{4} |\beta + \alpha|^2 + \frac{1}{4} |\beta - \alpha|^2 =$   
 $\frac{1}{4} \{ \beta^2 + \alpha^2 + 2\alpha\beta + \beta^2 + \alpha^2 - 2\alpha\beta \} = \frac{1}{2} (\beta^2 + \alpha^2) = \frac{1}{2}$

Considering also the PES in which a spin up is annihilated, (ending up with a spin down final state), one also has a total PES intensity of  $\frac{1}{2}$ .

So in total we can remove  $\frac{1}{2} + \frac{1}{2} = 1$  electron.

2x2 Hamiltonian: addendum

$$H = \begin{bmatrix} 0 & t \\ t & \Delta \end{bmatrix} \quad \psi = \begin{bmatrix} \alpha \\ \beta \end{bmatrix} \quad \varphi_1 = \begin{bmatrix} 1 \\ 0 \end{bmatrix} \quad \varphi_2 = \begin{bmatrix} 0 \\ 1 \end{bmatrix}$$

$$H\psi = E\psi, \quad \psi = \alpha\varphi_1 + \beta\varphi_2, \quad \alpha^2 + \beta^2 = 1, \quad E_{\pm} = \frac{\Delta \pm \sqrt{\Delta^2 + 4t^2}}{2}$$

$$\Rightarrow \alpha \equiv \cos \theta, \quad \beta \equiv \sin \theta, \quad 0 \leq \theta \leq \frac{\pi}{2}$$

$$\tan 2\theta = \frac{\sin 2\theta}{\cos 2\theta} = \frac{2\sin\theta\cos\theta}{\cos^2\theta - \sin^2\theta} = \frac{2\alpha\beta}{\alpha^2 - \beta^2}$$

$$\begin{bmatrix} -E & t \\ t & \Delta - E \end{bmatrix} \begin{bmatrix} \alpha \\ \beta \end{bmatrix} = 0 \rightarrow -E\alpha + t\beta = 0 \rightarrow \beta = \frac{E}{t}\alpha$$

$$\begin{aligned} \tan 2\theta &= \frac{2 \cdot \frac{E}{t} \cdot \alpha^2}{\alpha^2 - \left(\frac{E}{t}\right)^2 \alpha^2} = \frac{2E/t}{1 - (E/t)^2} = \frac{2tE}{t^2 - E^2} = \frac{t(\Delta \pm \sqrt{\Delta^2 + 4t^2})}{t^2 - \frac{1}{4}\Delta^2 - \frac{1}{4}(\Delta^2 + 4t^2) \pm \frac{1}{2}\Delta\sqrt{\Delta^2 + 4t^2}} \\ &= t(\Delta \pm \sqrt{\Delta^2 + 4t^2}) / \left(-\frac{1}{2}\Delta^2 \pm \frac{1}{2}\Delta\sqrt{\Delta^2 + 4t^2}\right) = \pm \frac{2t}{\Delta} \end{aligned}$$

If  $t < 0$  then ground state is  $\psi = \cos\theta \cdot \varphi_1 + \sin\theta \cdot \varphi_2$   
with  $0 \leq \theta \leq \frac{\pi}{2}$

↑  
Bonding state

$$\Rightarrow \tan 2\theta = \frac{2|t|}{\Delta}$$

(62)

Spectral weights

$$\psi_{\alpha} = \alpha |d^9 p^6\rangle + \beta |d^{10} p^5\rangle \quad \alpha = \cos \theta, \beta = \sin \theta$$

$$\psi_{\epsilon,1} = \alpha' |e d^9 p^6\rangle + \beta' |e d^{10} p^5\rangle \quad \alpha' = \cos \theta', \beta' = \sin \theta'$$

$$\psi_{\epsilon,2} = \beta' |e d^9 p^6\rangle - \alpha' |e d^{10} p^5\rangle$$

$$I_{\epsilon,1} = \langle \psi_{\epsilon,1} | \psi_{\alpha} \rangle = |\alpha' \alpha + \beta' \beta|^2$$

$$I_{\epsilon,2} = \langle \psi_{\epsilon,2} | \psi_{\alpha} \rangle = |\beta' \alpha - \alpha' \beta|^2$$

$$\frac{I_{\epsilon,2}}{I_{\epsilon,1}} = \left| \frac{\sin \theta' \cos \theta - \cos \theta' \sin \theta}{\cos \theta' \cos \theta + \sin \theta' \sin \theta} \right|^2 = \left| \frac{\sin(\theta' - \theta)}{\cos(\theta' - \theta)} \right|^2 = \tan^2(\theta' - \theta)$$

→ If  $\theta' = \theta$  Then  $I_{\epsilon,2}/I_{\epsilon,1} = 0$

→ If  $\theta \gg \Delta, (\theta - \Delta) \gg \Delta$  Then  $(\alpha' = 0, \beta' = 1) \hat{=} (\theta' = 90^\circ) \rightarrow \frac{I_{\epsilon,2}}{I_{\epsilon,1}} = \tan^2(90^\circ - \theta)$

$$\tan^2(90^\circ - \theta) = \frac{\sin^2(90^\circ - \theta)}{\cos^2(90^\circ - \theta)} = \frac{\cos^2 \theta}{\sin^2 \theta} = \frac{\alpha^2}{\beta^2} = \frac{1}{\tan^2 \theta}$$

$$\sin 2\theta = 2 \sin \theta \cos \theta$$

$$\sin^2 \theta + \cos^2 \theta = 1$$

$$\cos 2\theta = \cos^2 \theta - \sin^2 \theta$$

$$\sin(\alpha \pm \beta) = \sin \alpha \cos \beta \pm \cos \alpha \sin \beta$$

$$\cos(\alpha \pm \beta) = \cos \alpha \cos \beta \mp \sin \alpha \sin \beta$$

$$\sin \alpha \pm \sin \beta = 2 \sin \frac{1}{2}(\alpha \pm \beta) \cos \frac{1}{2}(\alpha \mp \beta)$$

$$\cos \alpha + \cos \beta = 2 \cos \frac{1}{2}(\alpha + \beta) \cos \frac{1}{2}(\alpha - \beta)$$

$$\cos \alpha - \cos \beta = -2 \sin \frac{1}{2}(\alpha + \beta) \sin \frac{1}{2}(\alpha - \beta)$$

## Electronic Structure of $\text{Cu}_2\text{O}$ and $\text{CuO}$



Remark: The Cu 4s plays an important role for the bonding, in fact, it gives the main contribution for the formation of  $\text{Cu}_2\text{O}$ . Nevertheless, we will ignore its role for the excitation spectra of  $\text{Cu}_2\text{O}$  and  $\text{CuO}$ , thereby assuming that most of its effect can be taken into account in a "mean field manner", as a "background". So for the next sections we will continue with:



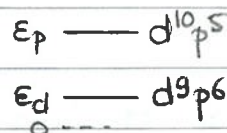
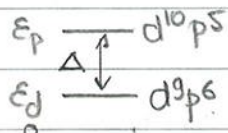
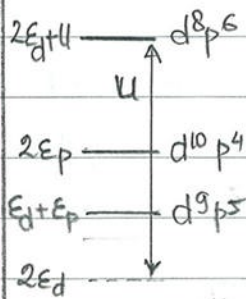
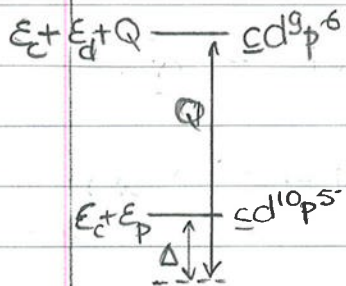
We now will look into the valence band spectra and the Cu 2p core level spectra. The Cu 2p is split by the large spin-orbit interaction into  $2p_{3/2}$  and  $2p_{1/2}$ , and in the following we will denote each of them as  $\subseteq$  (core hole). We will neglect the multiplet splitting for simplicity.

See J. Ghysen et al., Phys. Rev. B 38, 11322 (1988)

G. van der Laan et al., Phys. Rev. B 23, 4369 (1981)

CuO

Cu<sub>2</sub>O



N-1

N

N-1

N

PES

GS, XAS

PES

GS, XAS

OPTICS

OPTICS

CuO:  $\Delta \approx 3 \text{ eV}$ ,  $\Delta = \epsilon_p - \epsilon_d$

Cu<sub>2</sub>O:  $\epsilon_d \approx 3 \text{ eV}$

$U \approx 8 \text{ eV}$

$\epsilon_p \approx 6 \text{ eV}$

$Q \approx 9 \text{ eV}$

$\epsilon_c \approx 930 \text{ eV}$  ( $2p_{3/2}$ )

$\approx 950 \text{ eV}$  ( $2p_{1/2}$ )

remark: no correlations on the oxygen in this simplified model.

Cu<sub>2</sub>O:

The electronic structure of Cu<sub>2</sub>O is rather simple (in this model): the ground state is made out of 1 configuration, namely the full-shell state  $d^{10}p^6$ . The valence band photoemission spectrum will show 2 peaks, reflecting the  $d^9p^5$  and  $d^{10}p^6$  final states. In terms of 1 electron theories (band theory) these 2 states represent the Cu-3d and O-2p partial density of states, respectively. The Cu 2p core level photoemission spectrum consists of only 1 peak for each of the spin-orbit split levels: 1 peak for the Cu  $2p_{3/2}$  and 1 peak for the Cu  $2p_{1/2}$ , each denoted as  $\underline{c}d^{10}p^6$  in this model.

CuO:

The electronic structure of CuO is "richer" in comparison with Cu<sub>2</sub>O. The ground state of CuO is formed out of 2 configurations:

$$\Psi_{GS} = \alpha |d^9p^6\rangle + \beta |d^{10}p^5\rangle \quad H = \begin{bmatrix} \epsilon_d & t \\ t & \epsilon_p \end{bmatrix} = \begin{bmatrix} \epsilon_d & 0 \\ 0 & \epsilon_d \end{bmatrix} + \begin{bmatrix} 0 & t \\ t & \Delta \end{bmatrix}$$

$$E_{GS} = \epsilon_d + \frac{\Delta - \sqrt{\Delta^2 + 4t^2}}{2}$$

The valence band photoemission spectrum consist of 3 peaks and the calculation of their relative weights will be discussed later.

The Cu 2p core level spectrum consists of 2 peaks:

$$\begin{aligned} \Psi_{\epsilon,1} &= \alpha' |c d^9 p^6\rangle + \beta' |c d^{10} p^5\rangle \\ \Psi_{\epsilon,2} &= \beta' |c d^9 p^6\rangle - \alpha' |c d^{10} p^5\rangle \end{aligned} \quad H = \begin{bmatrix} \epsilon_c + \epsilon_d + Q & t \\ t & \epsilon_c + \epsilon_p \end{bmatrix} =$$

$$E_{\epsilon,1,2} = \epsilon_c + \epsilon_d + Q + \frac{(\Delta - Q) \pm \sqrt{(\Delta - Q)^2 + 4t^2}}{2} \quad \begin{bmatrix} \epsilon_c + \epsilon_d + Q & 0 \\ 0 & \epsilon_c + \epsilon_d + Q \end{bmatrix} + \begin{bmatrix} 0 & t \\ t & \Delta - Q \end{bmatrix}$$

approximations for CuO

$$t \ll \Delta \rightarrow E_{cs} \approx \epsilon_d - t^2/\Delta$$

$$t \ll |\Delta - Q| \left. \begin{array}{l} \} \\ \Delta < Q \end{array} \right\} \rightarrow E_{s,1} \approx \epsilon_c + \epsilon_d + Q - \frac{t^2}{\Delta - Q} = \epsilon_c + \epsilon_d + Q + \frac{t^2}{|\Delta - Q|}$$

$$E_{s,2} \approx \epsilon_c + \epsilon_d + Q + (\Delta - Q) + \frac{t^2}{\Delta - Q} = \epsilon_c + \epsilon_d + \Delta - \frac{t^2}{|\Delta - Q|}$$

$E_{s,2}$  will be lower than  $E_{s,1}$  ( $\Delta < Q$ )

Cu<sup>2+</sup> spectral weights for CuO

$$I_{s,1} = |\langle \psi_{s,1} | \epsilon | \psi_{cs} \rangle|^2 = |\alpha' \alpha + \beta' \beta|^2$$

$$I_{s,2} = |\langle \psi_{s,2} | \epsilon | \psi_{cs} \rangle|^2 = |\beta' \alpha - \alpha' \beta|^2$$

example 1

$$Q = 0 \rightarrow \alpha' = \alpha, \beta' = \beta \rightarrow I_{s,1} = 1, I_{s,2} = 0$$

remark: independent of  $\alpha, \beta$  values!

example 2

$$Q \gg \Delta, (Q - \Delta) \gg t \rightarrow \alpha' \approx 0, \beta' = 1 \rightarrow I_{s,1} \approx \beta^2, I_{s,2} \approx \alpha^2$$

$$\downarrow \qquad \qquad \qquad \downarrow$$

$$\psi_{s,1} \approx |\epsilon d^{10} p^5 \rangle \qquad \psi_{s,2} \approx |\epsilon d^9 p^6 \rangle$$

$$E_{s,1} \approx \epsilon_c + \epsilon_p \qquad E_{s,2} \approx \epsilon_c + \epsilon_d + Q$$

$$E_{s,1} - E_{cs} \approx \epsilon_c + \Delta \qquad E_{s,2} - E_{cs} \approx \epsilon_c + Q$$

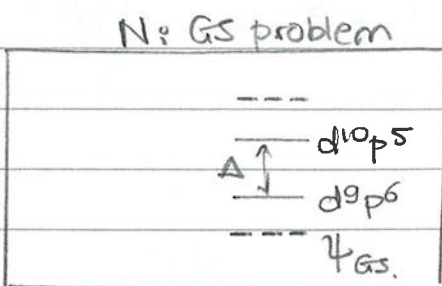
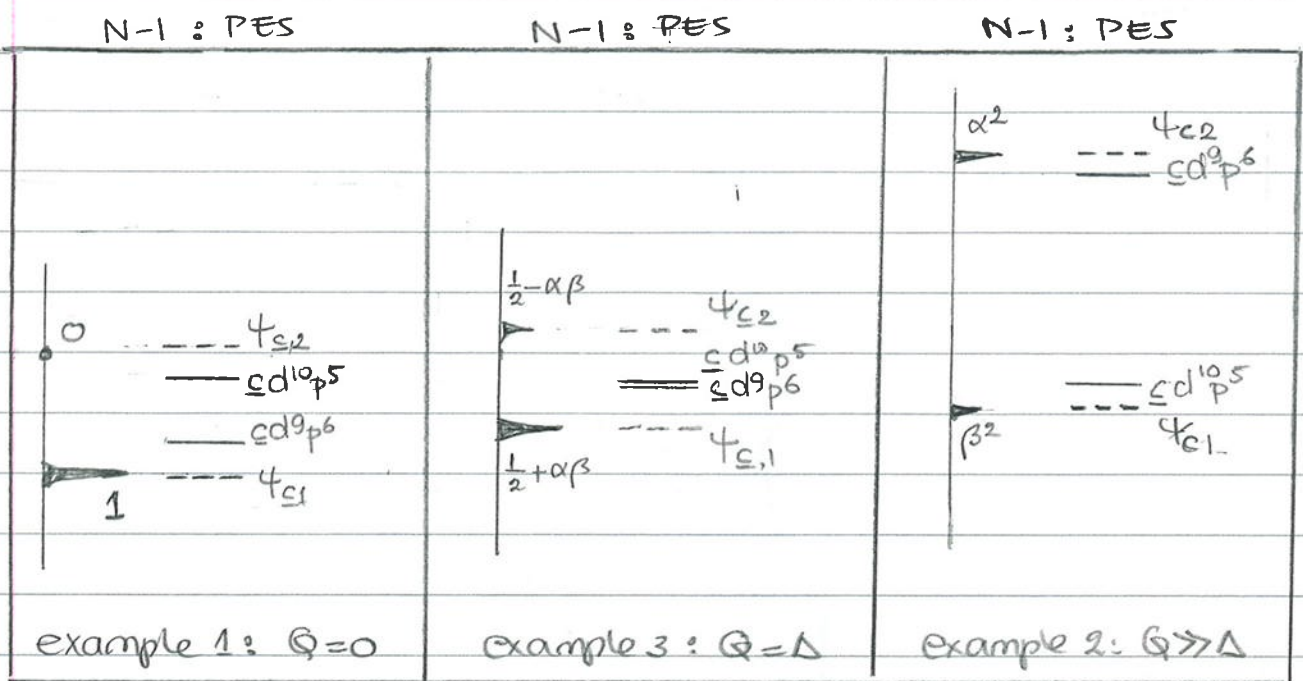
(lower in energy)

Remark: ↙

$\alpha^2$  = component of  $\text{Cu}^{2+} (d^9 p^6)$  in ground state

$\beta^2$  = component of  $\text{Cu}^+ (d^{10} p^5)$  in ground state.





example 3

$$Q = \Delta \rightarrow \alpha' = \beta' = \frac{1}{\sqrt{2}} \rightarrow I_{c1} = \frac{1}{2} |\alpha + \beta|^2 = \frac{1}{2} |\alpha^2 + \beta^2 + 2\alpha\beta| = \frac{1}{2} |1 + 2\alpha\beta|$$

$$I_{c2} = \frac{1}{2} |\alpha - \beta|^2 = \frac{1}{2} |\alpha^2 + \beta^2 - 2\alpha\beta| = \frac{1}{2} |1 - 2\alpha\beta|$$

$$\Delta > 0, t < 0, \alpha > \beta > 0 \rightarrow I_{c1} = \frac{1}{2} + \alpha\beta, I_{c2} = \frac{1}{2} - \alpha\beta$$