TDDFT for extended systems II: Excitons

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- A brief introduction to excitons
- TDDFT for periodic systems
- Exciton binding energies for solids
- The bootstrap kernel and other functionals
- Simplified BSE: the SXX approach
- Summary



Optical excitations in bulk Insulators





Interband optical transitions are challenging for ab initio methods:

<u>band gap opening</u>
<u>excitons</u>





Band gap: $E_g = E_{g,KS} + \Delta_{xc}$

Optical gap: $E_g^{optical} = E_g - E_0^{exciton}$



Hybrid functionals for the band gap



see also Skone, Govoni and Galli, PRB 93, 235106 (2016)



Bound electron-hole pairs created in optical excitations of insulators.





weakly bound, delocalized over many lattice constants

In semiconductors with small band gap and large ε



Frenkel exciton:

tightly bound, localized on a single (or a few) atoms

In large-gap insulators, or in low-ε organic materials



Excitonic features in the absorption spectrum



- Sharp peaks below the onset of the single-particle gap
- Redistribution of oscillator strength: enhanced absorption close to the onset of the continuum



Wannier equation and excitonic Rydberg Series

$$\left(-\frac{\hbar^2 \nabla_r^2}{2m_r} - \frac{e^2}{\varepsilon r}\right) \phi(\mathbf{r}) = E \phi(\mathbf{r})$$

- $\phi(\mathbf{r})$ is exciton wave function
- includes dielectric screening
- derived from Bethe-Salpeter eq. Sham and Rice, Phys. Rev. **144**, 708 (1966)



R.J. Uihlein, D. Frohlich, and R. Kenklies, PRB **23**, 2731 (1981)

GaAs



R.G. Ulbrich, Adv. Solid State Phys. **25**, 299 (1985)



Excitons in nanoscale systems

G. D. Scholes and G. Rumbles, Nature Mater. 5, 683 (2006)



Excitons: comparison of first-principles methods*

L. J. Sham and T. M. Rice, Phys. Rev. **144**, 708 (1966) M. Rohlfing and S. Louie, PRB **62**, 4927 (2000) G. Onida, L. Reining, R. Rubio, RMP **74**, 601 (2002)

Many-body perturbation theory: Based on Green's functions

- moves (quasi)particles around
- one-particle G: electron addition and removal GW ground state
- two-particle L: electron-hole excitation Bethe-Salpeter equation
- <u>intuitive</u>: contains the right physics (screened e-h interaction) by direct construction

Time-dependent DFT: Based on the electron density

- moves the density around
- Ground state: Kohn-Sham DFT
- response function χ : neutral excitations of the KS system
- <u>efficient</u> (all interactions are local), but less intuitive how the right physics is built in

* Matteo Gatti, TDDFT School 2010, Benasque

TDDFT Linear response in periodic systems

$$\chi(\mathbf{r},\mathbf{r}',\omega) = \chi_s(\mathbf{r},\mathbf{r}',\omega) + \int d^3x \int d^3x' \chi_s(\mathbf{r},\mathbf{x},\omega)$$
$$\times \left\{ \frac{1}{|\mathbf{x}-\mathbf{x}'|} + f_{xc}(\mathbf{x},\mathbf{x}',\omega) \right\} \chi(\mathbf{x}',\mathbf{r}',\omega)$$

Periodic systems: $\chi(\mathbf{r},\mathbf{r}',\omega) = \chi(\mathbf{r}+\mathbf{R},\mathbf{r}'+\mathbf{R},\omega)$

Therefore, we can Fourier transform the response function:

$$\chi(\mathbf{r},\mathbf{r}',\omega) = \sum_{\mathbf{k}\in BZ} \sum_{\mathbf{G},\mathbf{G}'} e^{-i(\mathbf{k}+\mathbf{G})\cdot\mathbf{r}} e^{i(\mathbf{k}+\mathbf{G}')\cdot\mathbf{r}'} \chi(\mathbf{k}+\mathbf{G},\mathbf{k}+\mathbf{G}',\omega)$$

$$\chi_{\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega) = \chi_{s\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega) + \sum_{\mathbf{G}_{1}\mathbf{G}_{2}} \chi_{s\mathbf{G}\mathbf{G}_{1}}(\mathbf{k},\omega)$$
$$\times \left\{ V_{\mathbf{G}_{1}}(\mathbf{k})\delta_{\mathbf{G}_{1}\mathbf{G}_{2}} + f_{xc\mathbf{G}_{1}\mathbf{G}_{2}}(\mathbf{k},\omega) \right\} \chi_{\mathbf{G}_{2}\mathbf{G}'}(\mathbf{k},\omega)$$



The dielectric tensor

$$\nabla \cdot \mathbf{D} = n_{free} \qquad \nabla \times \mathbf{E} = -\frac{\partial \mathbf{B}}{\partial t} \qquad \mathbf{M}_{ec}$$
$$\nabla \cdot \mathbf{B} = 0 \qquad \nabla \times \mathbf{H} = \mathbf{j}_{free} + \frac{\partial \mathbf{D}}{\partial t}$$

Maxwell equations

Def. of dielectric tensor:

$$\mathbf{D}(\mathbf{r},\omega) = \int d^3 r' \underline{\varepsilon}(\mathbf{r},\mathbf{r}',\omega) \mathbf{E}(\mathbf{r}',\omega)$$

In periodic solids:

$$\mathbf{D}_{\mathbf{G}}(\mathbf{k},\omega) = \sum_{\mathbf{G}'} \underbrace{\mathcal{E}}_{\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega) \mathbf{E}_{\mathbf{G}'}(\mathbf{k},\omega)$$

This is the **microscopic** dielectric tensor. But for comparison with spectroscopy, we would like the **macroscopic** dielectric function:

$$\mathbf{D}_{mac}(\omega) = \underbrace{\varepsilon}_{mac}(\omega) \mathbf{E}_{mac}(\omega)$$

Problem: we cannot calculate the macroscopic dielectric function directly! This would ignore the **local-field effects** (microscopic fluctuations).



In a homogeneous, isotropic system, things would be easy:

$$\underbrace{\varepsilon}_{mac}^{\text{hom}}(\omega) = \lim_{q \to 0} \underbrace{\varepsilon}_{q \to 0}^{\text{hom}}(\mathbf{q}, \omega)$$

and
$$\underline{\underline{\varepsilon}}^{\text{hom}}(\mathbf{q},\omega) = \varepsilon_L^{\text{hom}}(\mathbf{q},\omega)\hat{q}\hat{q}^T + \varepsilon_T^{\text{hom}}(\underline{1} - \hat{q}\hat{q}^T)$$

and
$$\mathcal{E}_L^{\text{hom}}(0,\omega) = \mathcal{E}_T^{\text{hom}}(0,\omega)$$

The connection to optics is via the refractive index:

$$\mathcal{E}_{mac}(\omega) = \tilde{n}^2$$

Re $\mathcal{E}_{mac} = n^2 + \kappa^2$
Im $\mathcal{E}_{mac} = 2n\kappa$



For cubic symmetry, one can prove that $\mathcal{E}_{mac}(\omega) = \lim_{k \to 0} \left| \left| \mathcal{E}_{\mathbf{G}\mathbf{G}'}^{-1}(\mathbf{k}, \omega) \right|_{\mathbf{G}=0} \right|^{-1}$

 $\mathcal{E}_{GG'}(\mathbf{k}, \omega)$: longitudinal component of dielectric tensor (a.k.a. dielectric matrix)

To make progress, we need a connection with response theory:

$$V_1(\mathbf{r},\omega) = \int d^3 r' \varepsilon(\mathbf{r},\mathbf{r}',\omega) \left[V_1(\mathbf{r},\omega) + \int d^3 r'' \frac{n_1(\mathbf{r}'',\omega)}{|\mathbf{r}'-\mathbf{r}''|} \right]$$

so that
$$\mathcal{E}^{-1}(\mathbf{r},\mathbf{r}',\omega) = \delta(\mathbf{r}-\mathbf{r}') + \int d^3 r'' \frac{\chi(\mathbf{r}'',\mathbf{r}',\omega)}{|\mathbf{r}-\mathbf{r}''|}$$

and for a periodic system,

$$\varepsilon_{\mathbf{G}\mathbf{G}'}^{-1}(\mathbf{k},\omega) = \delta_{\mathbf{G}\mathbf{G}'} + V_{\mathbf{G}}(\mathbf{k})\chi_{\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega)$$



The macroscopic dielectric function

From this, one obtains

$$\varepsilon_{mac}(\omega) = 1 - \lim_{k \to 0} V_0(\mathbf{k}) \overline{\chi}_{00}(\mathbf{k}, \omega)$$

There is a subtle, but very important point to be noted. Here we use a modified response function $\overline{\chi}_{GG'}(\mathbf{k},\omega)$:

$$\overline{\chi}_{\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega) = \chi_{s\mathbf{G}\mathbf{G}'}(\mathbf{k},\omega) + \sum_{\mathbf{G}_{1}\mathbf{G}_{2}} \chi_{s\mathbf{G}\mathbf{G}_{1}}(\mathbf{k},\omega)$$
$$\times \left\{ \overline{V}_{\mathbf{G}_{1}}(\mathbf{k})\delta_{\mathbf{G}_{1}\mathbf{G}_{2}} + f_{xc\mathbf{G}_{1}\mathbf{G}_{2}}(k,\omega) \right\} \overline{\chi}_{\mathbf{G}_{2}\mathbf{G}'}(\mathbf{k},\omega)$$

where the long-range part of the Coulomb interaction has been removed:

$$\overline{V}_{\mathbf{G}}(\mathbf{k}) = \begin{cases} 0 & \text{for } \mathbf{G} = 0\\ \frac{4\pi}{|\mathbf{k} + \mathbf{G}|^2} & \text{for } \mathbf{G} \neq 0 \end{cases}$$

G. Onida, L. Reining, and A. Rubio, Rev. Mod. Phys. 74, 601 (2002)



Optical absorption in Insulators: TDDFT



G. Onida, L. Reining, A. Rubio, RMP **74**, 601 (2002) S. Botti, A. Schindlmayr, R. Del Sole, L. Reining, Rep. Prog. Phys. **70**, 357 (2007)



$$f_{xc}(\mathbf{r},\mathbf{r}',\omega) = \sum_{\mathbf{q}\in FBZ} \sum_{\mathbf{G},\mathbf{G}'} e^{i(\mathbf{q}+\mathbf{G})\mathbf{r}} f_{xc,\mathbf{G}\mathbf{G}'}(\mathbf{q},\omega) e^{-i(\mathbf{q}+\mathbf{G}')\mathbf{r}}$$

TDDFT requires the following matrix elements as input:

$$K_{ia,i'a'}^{\mathbf{G}_{0}\mathbf{G}'_{0}} = \sum_{\mathbf{q}\in FBZ} \sum_{\mathbf{G}\mathbf{G}'} \langle i\mathbf{k}_{i} \left| e^{i(\mathbf{q}+\mathbf{G})\mathbf{r}} \right| a\mathbf{k}_{a} \rangle f_{xc,\mathbf{G}\mathbf{G}'}(\mathbf{q},\omega) \langle a'\mathbf{k}_{a'} \left| e^{-i(\mathbf{q}+\mathbf{G}')\mathbf{r}'} \right| i'\mathbf{k}_{i'} \\ \times \delta_{\mathbf{k}_{a}-\mathbf{k}_{i}+\mathbf{q},\mathbf{G}_{0}} \ \delta_{\mathbf{k}_{a'}-\mathbf{k}_{i'}+\mathbf{q},\mathbf{G}'_{0}}$$

Most important: long-range $(\mathbf{q} \rightarrow 0)$ limit of "head" $(\mathbf{G} = \mathbf{G}' = 0)$:
 $\langle i\mathbf{k}_{i} \left| e^{i\mathbf{q}\mathbf{r}} \right| a\mathbf{k}_{a} \rangle \xrightarrow{\mathbf{q}\rightarrow 0} \mathbf{q} \qquad f_{xc,\mathbf{00}}^{exact}(\mathbf{q},\omega) \xrightarrow{\mathbf{q}\rightarrow 0} \frac{1}{q^{2}}$

but
$$f_{xc,00}^{ALDA}(\mathbf{q},\omega) \xrightarrow{\mathbf{q} \to 0} \text{const.}$$
 Therefore, no excitons in ALDA!



 LRC (long-range corrected) kernel (with fitting parameter α): (L. Reining et al., 2002)

$$f_{xc,\mathbf{GG'}}^{LRC}(\mathbf{q}) = -\frac{\alpha}{|\mathbf{q}+\mathbf{G}|^2} \delta_{\mathbf{GG'}}$$

• "bootstrap" kernel (S. Sharma et al., PRL 107, 186401 (2011)

$$f_{xc,\mathbf{GG'}}^{boot}(\mathbf{q},\omega) = \frac{\varepsilon_{\mathbf{GG'}}^{-1}(\mathbf{q},0)}{\chi_{s00}(\mathbf{q},0)}$$

(depends on unoccupied bands, may need large number of bands)

• Functionals from many-body theory: (requires matrix inversion)





(L. Reining et al., 2002)



- Local functionals (ALDA/GGA) don't work
- Nanoquanta kernel: accurate but expensive Reining, Olevano, Rubio, Onida, PRL 88, 066404 (2002)
- Long-range corrected (LRC) kernel: simple but ad-hoc Botti et al., PRB 69, 155112 (2004)
- Bootstrap kernel: several versions Sharma, Dewhurst, Sanna and Gross, PRL 107, 186401 (2011)
- Jellium with a gap: Trevisanutto et al., PRB 87, 205143 (2013)
- Hybrid functionals, meta-GGAs: much activity lately B3LYP: Bernasconi et al. PRB 83, 195325 (2011)
 HSE: Paier, Marsman and Kresse, PRB 78, 121201 (2008)
 VS98/TPSS: Nazarov and Vignale, PRL 107, 216401 (2011)
 Range separated: Refaely-Abramson et al., PRB 92, 081204 (2015)

Optical spectra with range-separated hybrid





S. Refaely-Abramson, M. Jain, S. Sharifzadeh, J.B. Neaton, and L. Kronik, PRB **92**, 081204 (2015)

Contains adjustable range separation parameter

Optical spectra with TDDFT: "bootstrap" xc kernel



S. Sharma et al., PRL **107**, 186401 (2011)

Excitons with TDDFT: "bootstrap" xc kernel

S. Sharma, J.K. Dewhurst, A. Sanna & E.K.U. Gross, PRL 107, 186401 (2011)



Original bootstrap kernel: self-consistent iteration





Rigamonti et al., PRL 114, 146402 (2015)

$$f_{xc}^{RPA-boot} = \frac{[\varepsilon^{RPA}]^{-1}}{\chi^{RPA}}$$

S. Sharma, unpublished (2015)

$$f_{xc}^{0-boot} = \frac{[\varepsilon^{RPA}]^{-1}}{\chi_s}$$

See also TDCDFT: J.A. Berger, PRL **115**, 137402 (2015)



Excitation energies from TDDFT

Excitation energies follow from eigenvalue problem (Casida 1995):

$$\begin{pmatrix} \mathbf{A} & \mathbf{K} \\ \mathbf{K}^* & \mathbf{A}^* \end{pmatrix} \begin{pmatrix} \mathbf{X} \\ \mathbf{Y} \end{pmatrix} = \Omega \begin{pmatrix} -\mathbf{1} & \mathbf{0} \\ \mathbf{0} & \mathbf{1} \end{pmatrix} \begin{pmatrix} \mathbf{X} \\ \mathbf{Y} \end{pmatrix}$$

$$\begin{aligned} A_{ia\sigma,i'a'\sigma'} &= \delta_{ii'}\delta_{aa'}\delta_{\sigma\sigma'} \left(\varepsilon_{a\sigma} - \varepsilon_{i\sigma}\right) + K_{ia\sigma,i'a'\sigma'} \\ K_{ia\sigma,i'a'\sigma'} &= \int d^3r \int d^3r' \varphi_{i\sigma}^* \left(\mathbf{r}\right) \varphi_{a\sigma} \left(\mathbf{r}\right) \left[\frac{1}{|\mathbf{r} - \mathbf{r}'|} + f_{xc,\sigma\sigma'} \left(\mathbf{r},\mathbf{r}',\omega\right)\right] \varphi_{i'\sigma'} \left(\mathbf{r}'\right) \varphi_{a'\sigma'} \left(\mathbf{r}'\right) \end{aligned}$$

For real orbitals we can rewrite this as

$$\sum_{i'a'\sigma'} \left[\delta_{ii'} \delta_{aa'} \delta_{\sigma\sigma'} \omega_{ai\sigma}^2 + 2\sqrt{\omega_{ai\sigma}} \omega_{a'i'\sigma'} K_{ia\sigma,i'a'\sigma'} \right] Z_{i'a'\sigma'} = \Omega^2 Z_{i'a'\sigma'}$$



Casida equation of TDDFT (1995):

$$\sum_{jb\mathbf{k}'} \left[\delta_{i\mathbf{k},j\mathbf{k}'} \delta_{a\mathbf{k},b\mathbf{k}'} \omega_{ai\mathbf{k}} + K_{ia\mathbf{k},jb\mathbf{k}'}^{Hxc} \right] X_{jb\mathbf{k}'} + \sum_{jb\mathbf{k}'} K_{ia\mathbf{k},jb\mathbf{k}'}^{Hxc} Y_{jb\mathbf{k}'} = -\Omega X_{ia\mathbf{k}}$$

$$\sum_{jb\mathbf{k}'} K_{ia\mathbf{k},jb\mathbf{k}'}^{Hxc} X_{jb\mathbf{k}'} + \sum_{jb\mathbf{k}'} \left[\delta_{i\mathbf{k},j\mathbf{k}'} \delta_{a\mathbf{k},b\mathbf{k}'} \omega_{ai\mathbf{k}} + K_{ia\mathbf{k},jb\mathbf{k}'}^{Hxc} \right] Y_{jb\mathbf{k}'} = \Omega Y_{ia\mathbf{k}}$$

$$\mathsf{TDA}$$

Full Casida equation can be transformed (using time-reversal symmetry)

$$\sum_{jb\mathbf{k}'} \left[\delta_{i\mathbf{k},j\mathbf{k}'} \delta_{a\mathbf{k},b\mathbf{k}'} \omega_{ai\mathbf{k}}^2 + 2\sqrt{\omega_{ai\mathbf{k}} \omega_{jb\mathbf{k}'}} K_{ia\mathbf{k},jb\mathbf{k}'}^{Hxc} \right] Z_{jb\mathbf{k}'} = \Omega^2 Z_{jb\mathbf{k}'}$$

Same computational cost as TDA!.

T. Sander, E. Maggio & G. Kresse, PRB **92**, 045209 (2015): TDA in Bethe-Salpeter equation makes only tiny difference, but in TDDFT it makes a difference for large-gap insulators



$$\sum_{(mn\mathbf{k}')} \left[\delta_{i\mathbf{k},m\mathbf{k}'} \delta_{j\mathbf{k},n\mathbf{k}'} (\varepsilon_{j\mathbf{k}} - \varepsilon_{i\mathbf{k}}) + F_{Hxc}^{(ij\mathbf{k})(mn\mathbf{k}')} \right] \rho_{\lambda}^{(mn\mathbf{k}')} = \omega_{\lambda} \rho_{\lambda}^{(ij\mathbf{k})}$$

TDDFT coupling matrix:

$$F_{xc}^{(ij\mathbf{k})(mn\mathbf{k}')} = \frac{2}{V_{crys}} \sum_{\mathbf{GG}'} f_{xc,\mathbf{GG}'}(\mathbf{q}=0) \langle j\mathbf{k} | e^{i\mathbf{G}\cdot\mathbf{r}} | i\mathbf{k} \rangle \langle m\mathbf{k}' | e^{-i\mathbf{G}'\cdot\mathbf{r}} | n\mathbf{k}' \rangle$$

- Exciton binding energy from diagonalizing the TDDFT excitonic Hamiltonian
- More expensive than calculating Im $\epsilon(\omega)$, but more precise



TDDFT vs MBPT

$$\sum_{(mn\mathbf{k}')} \left[\delta_{i\mathbf{k},m\mathbf{k}'} \delta_{j\mathbf{k},n\mathbf{k}'} (\varepsilon_{j\mathbf{k}} - \varepsilon_{i\mathbf{k}}) + F_{Hxc}^{(ij\mathbf{k})(mn\mathbf{k}')} \right] \rho_{\lambda}^{(mn\mathbf{k}')} = \omega_{\lambda} \rho_{\lambda}^{(ij\mathbf{k})}$$

TDDFT coupling matrix: **xc kernel** $F_{xc}^{(ij\mathbf{k})(mn\mathbf{k}')} = \frac{2}{V_{crys}} \sum_{\mathbf{GG}'} f_{xc,\mathbf{GG}'}(\mathbf{q}=0) \langle j\mathbf{k} | e^{i\mathbf{G}\cdot\mathbf{r}} | i\mathbf{k} \rangle \langle m\mathbf{k}' | e^{-i\mathbf{G}'\cdot\mathbf{r}} | n\mathbf{k}' \rangle$

BSE coupling matrix:

$$F_{xc}^{(ij\mathbf{k})(mn\mathbf{k}')} = \frac{1}{V_{crys}} \sum_{\mathbf{GG}'} g_{\mathbf{GG}'}(\mathbf{q}) \langle j\mathbf{k} | e^{i(\mathbf{q}+\mathbf{G})\cdot\mathbf{r}} | n\mathbf{k}' \rangle \langle m\mathbf{k}' | e^{-i(\mathbf{q}+\mathbf{G}')\cdot\mathbf{r}} | n\mathbf{k}' \rangle \delta_{\mathbf{q},\mathbf{k}-\mathbf{k}'}$$
screened Coulomb interaction



Screened exact exchange (SXX)

BSE:
$$g_{\mathbf{GG'}}(\mathbf{q}) = -4\pi \frac{\mathcal{E}_{\mathbf{GG'}}^{-1}(\mathbf{q},\omega=0)}{|\mathbf{q}+\mathbf{G'}|^2} \leftarrow \text{full dielectric matrix}$$

TDHF:
$$g_{\mathbf{GG'}}(\mathbf{q}) = -4\pi \frac{1}{|\mathbf{q} + \mathbf{G'}|^2} \delta_{\mathbf{GG'}}$$
 unscreened

SXX:
$$g_{\mathbf{GG'}}(\mathbf{q}) = -4\pi \frac{\gamma}{|\mathbf{q} + \mathbf{G'}|^2} \delta_{\mathbf{GG'}}$$
 simple param

$$\gamma = \mathcal{E}_{00}^{-1}(0,0)$$
 Calculated with RPA

Z.-h. Yang, F. Sottile, and C.A. Ullrich, PRB 92, 035202 (2015)









Absorption spectrum of LiF



good oscillator strength
second excitonic peak

Absorption spectra of AIN and Si





Summary

- TDDFT methods can describe excitons very accurately, but difficult to get good exciton BE <u>and</u> good oscillator strengths. No exciton Rydberg series with adiabatic xc kernels.
- Challenges: xc kernel that works for small-gap semiconductors and for large-gap insulators; numerically very sensitive.
- ► Alternative to BSE: SXX kernel same accuracy but cheaper
- SXX works very well for exciton binding energies for large- and small-gap materials (still room for improvement). Promising goal: excitonic hybrid kernel
- Challenge: real-time TDDFT description of excitonic effects

G. Onida, L. Reining, A. Rubio, Rev. Mod. Phys. 74, 601 (2002)
S. Botti, A. Schindlmayr, R. Del Sole, L. Reining,
Rep. Prog. Phys. 70, 357 (2007)
C.A. Ullrich and Z.-H. Yang, Topics in Current Chem. 368 (2015)