

# Density Functional Theory from Effective Actions

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S. Puglia, S. Ramanan, A. Schwenk, B. Serot

# Outline

**Overview: Microscopic DFT**

**Effective Actions and DFT**

**Issues and Ideas and Open Problems**

**Summary**

# Outline

## **Overview: Microscopic DFT**

Effective Actions and DFT

Issues and Ideas and Open Problems

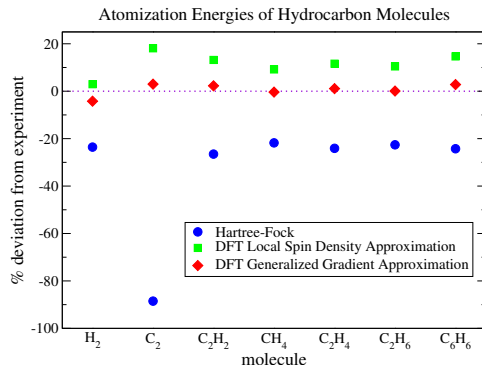
Summary

# DFT from Microscopic NN...N Interactions

- What?
  - *Constructive* density functional theory (DFT) for nuclei
- Why now?
  - Progress in chiral EFT
  - Application of RG (e.g., low-momentum interactions)
  - Advances in computational tools and methods
- How?
  - Use framework of effective actions with EFT principles
  - EFT interactions and operators evolved to low-momentum
    - Few-body input not enough (?)  $\implies$  input from many-body
  - Merge with other energy functional developments

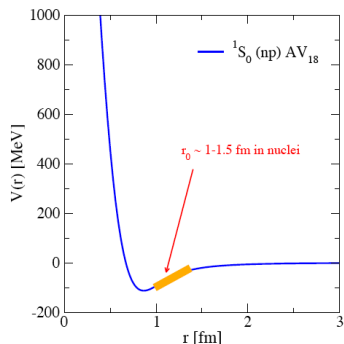
# Density Functional Theory (DFT) with Coulomb

- Dominant application: inhomogeneous electron gas
- Interacting point electrons in static potential of atomic nuclei
- “Ab initio” calculations of atoms, molecules, crystals, surfaces, ...
- HF is good starting point, DFT/LSD is better, DFT/GGA is better still, ...



# Sources of Nonperturbative Physics for NN

- 1 Strong short-range repulsion (“hard core”)
- 2 Iterated tensor ( $S_{12}$ ) interaction
- 3 Near zero-energy bound states

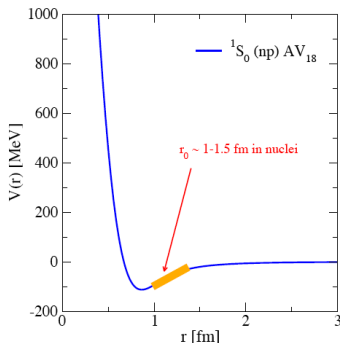


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 $\implies$  correlations are small corrections  $\implies$  DFT works!
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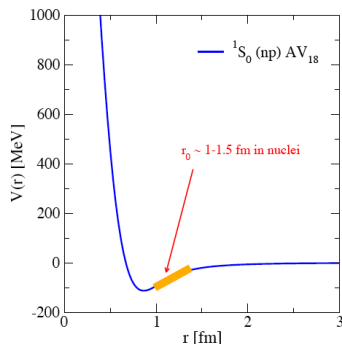
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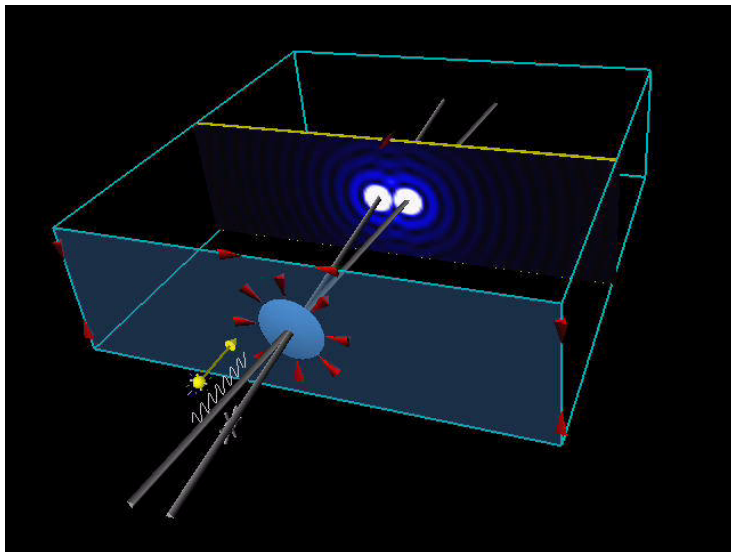
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- However ...

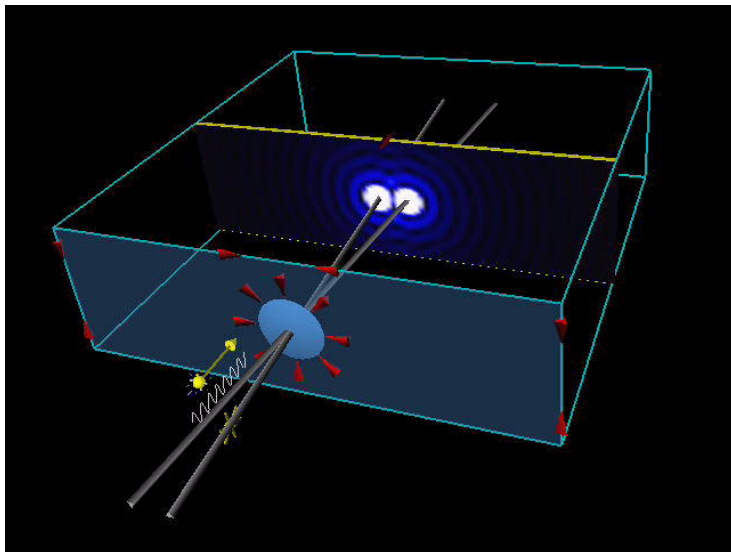
- the first two depend on the *resolution*  $\implies$  *different cutoffs*
- third one is affected by Pauli blocking



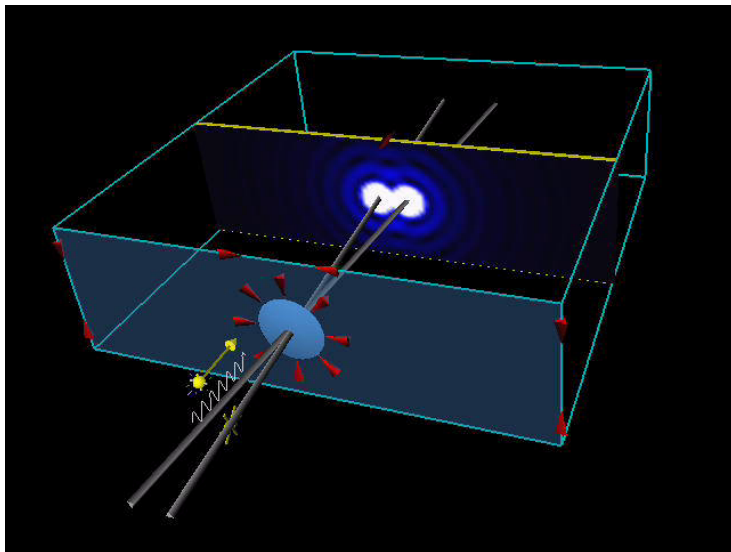
# Wavelength and Resolution



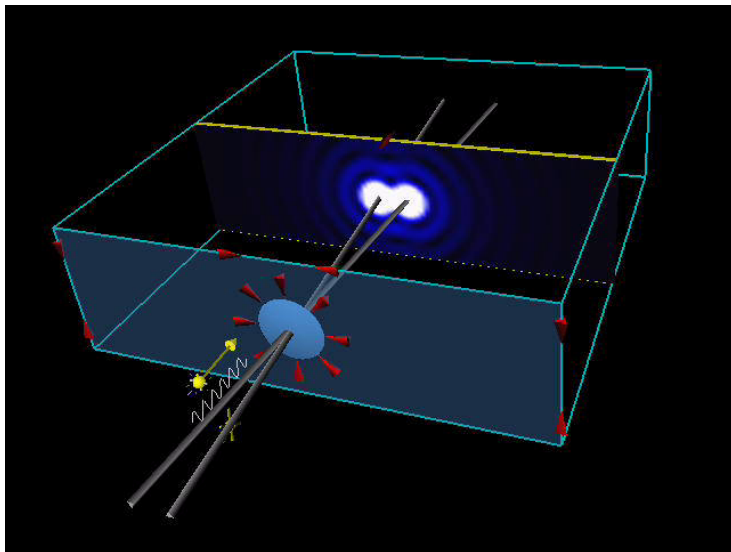
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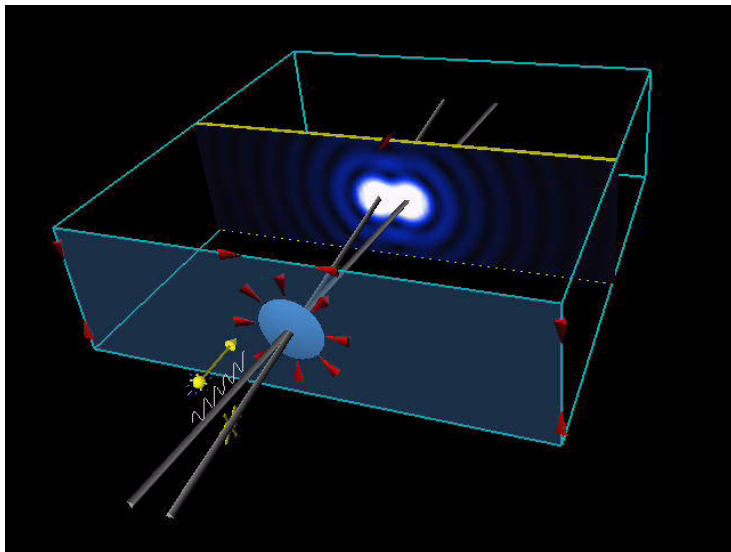
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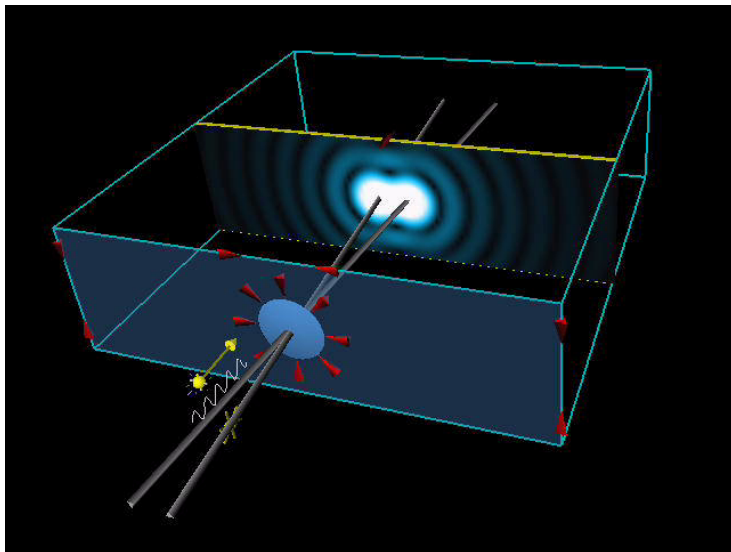
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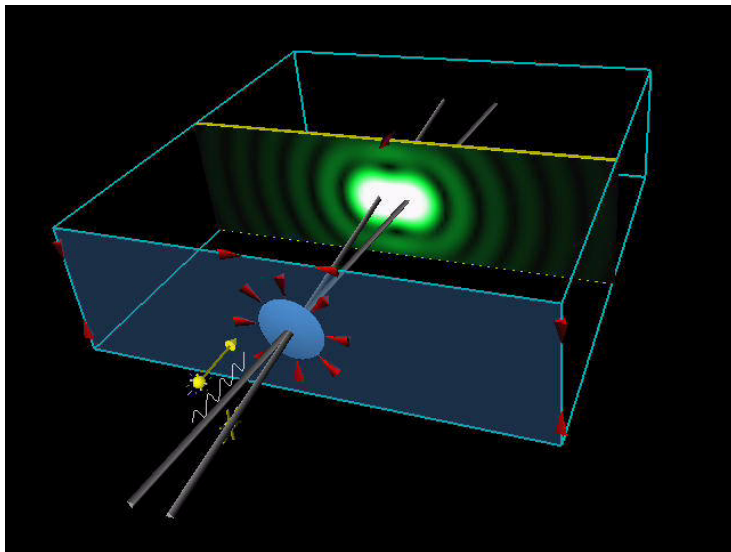
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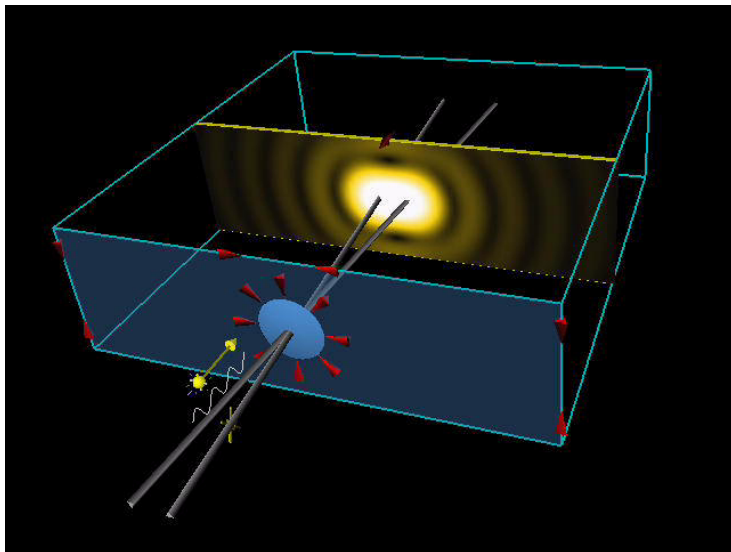
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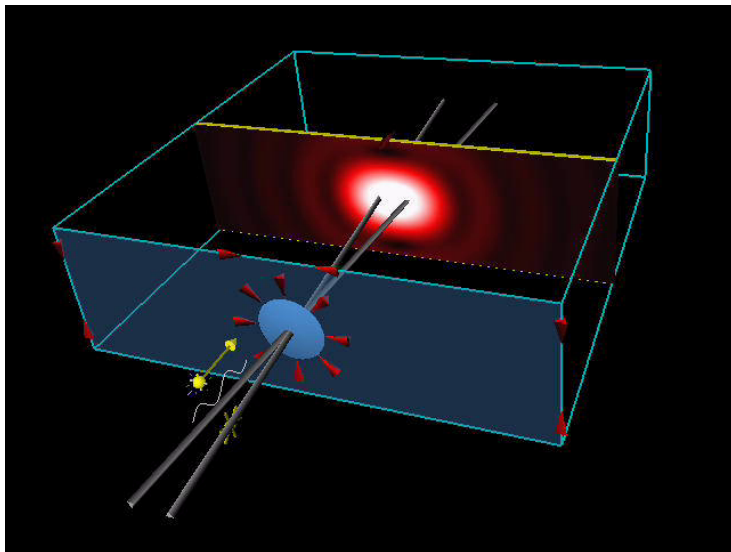
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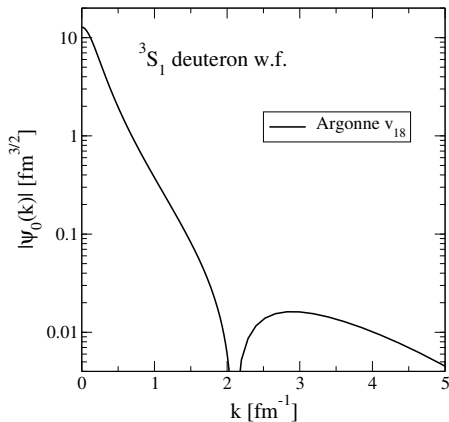
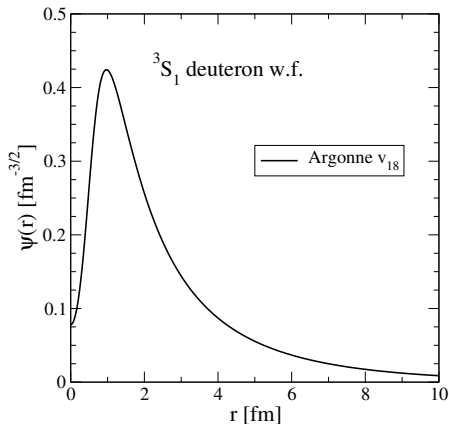
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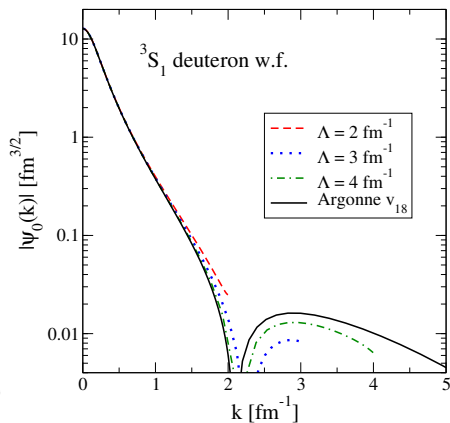
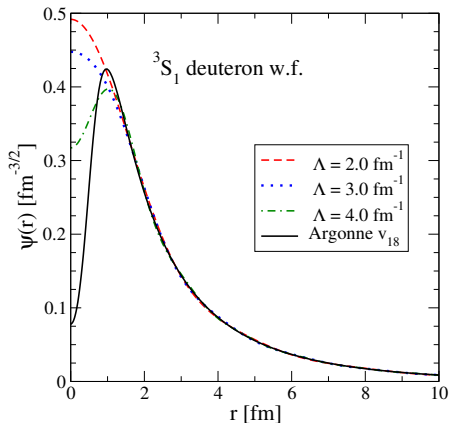


# The Deuteron at Different Resolutions



- Repulsive core  $\Rightarrow$  short-distance suppression  
 $\Rightarrow$  high-momentum components

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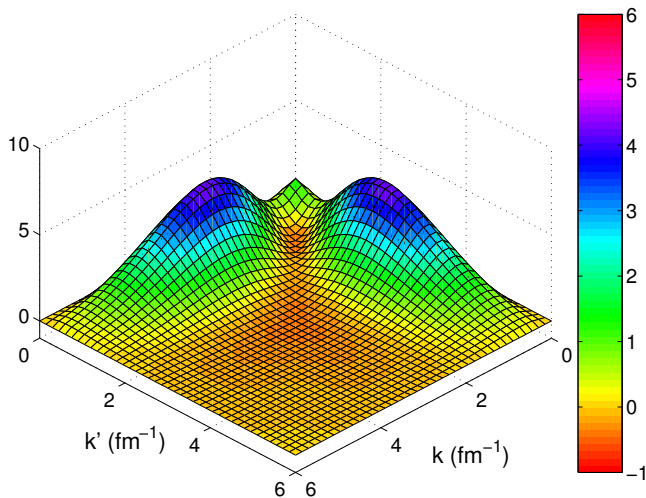


- Repulsive core  $\Rightarrow$  short-distance suppression  
 $\Rightarrow$  high-momentum components
- Low-momentum potential  $\Rightarrow$  much simpler wave function!

# The Deuteron at Different Resolutions

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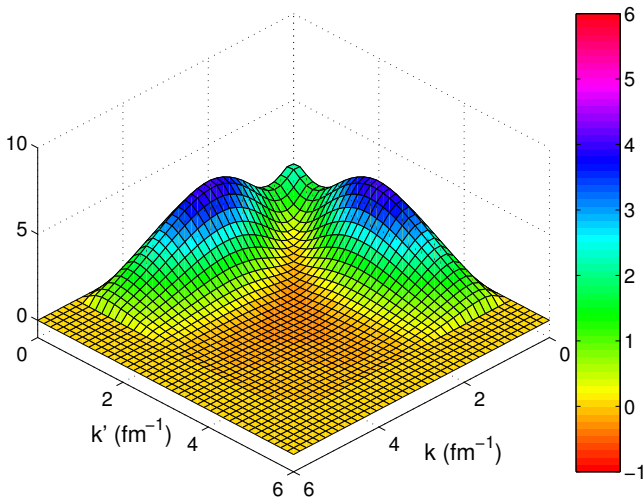
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 6.0 \text{ fm}^{-1}$



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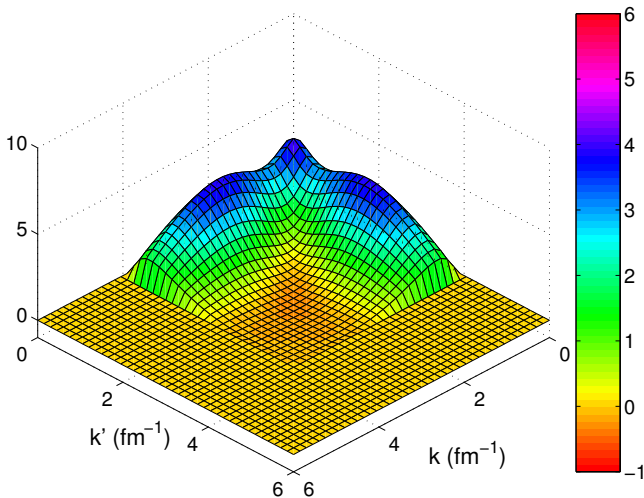
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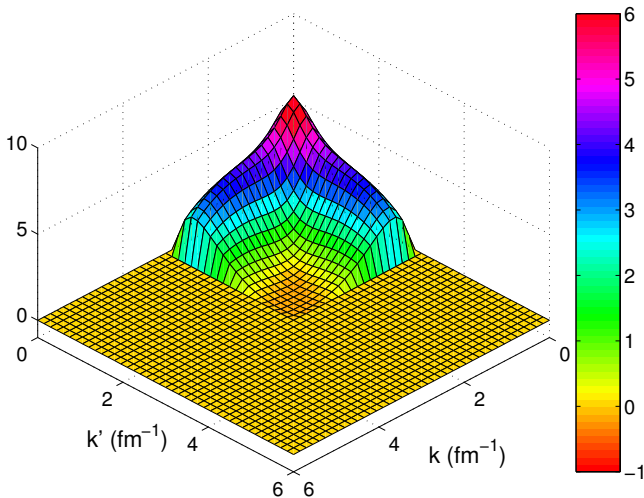
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 4.0 \text{ fm}^{-1}$



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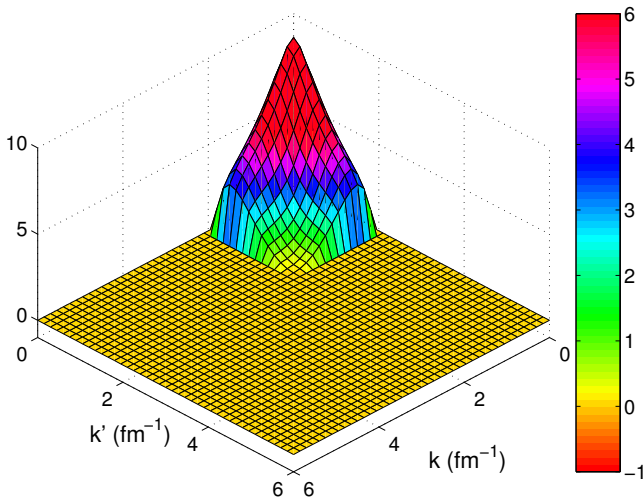
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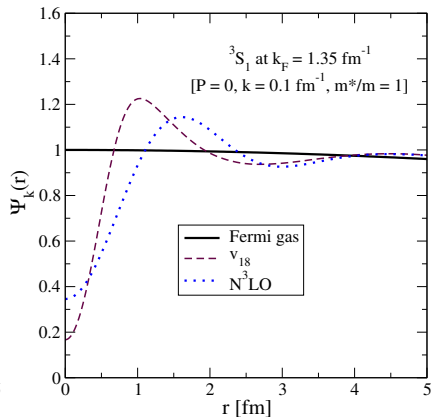
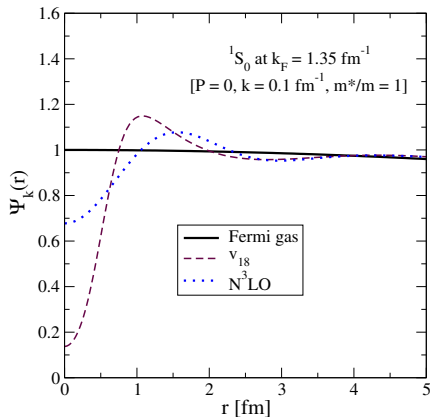
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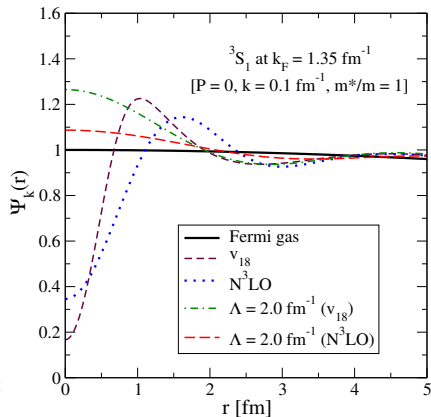
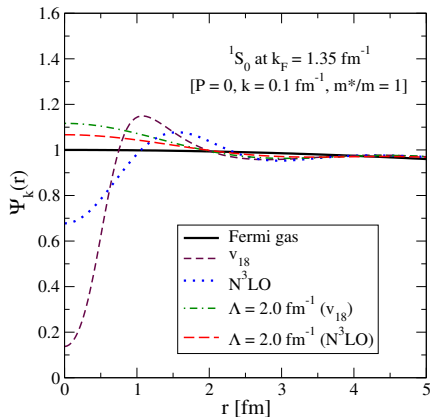
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 2.0 \text{ fm}^{-1}$



# In-Medium Wave Functions (NN Only)



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# Conventional Wisdom on Nuclear Many-Body

- Hans Bethe in review of nuclear matter (1971):

*“The theory must be such that it can deal with any nucleon-nucleon (NN) force, including hard or ‘soft’ core, tensor forces, and other complications. It ought not to be necessary to tailor the NN force for the sake of making the computation of nuclear matter (or finite nuclei) easier, but the force should be chosen on the basis of NN experiments (and possibly subsidiary experimental evidence, like the binding energy of  $H^3$ ).”*

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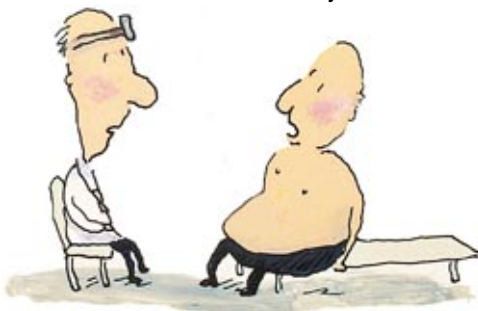
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*“Very soft potentials must be excluded because they do not give saturation; they give too much binding and too high density. In particular, a substantial tensor force is required.”*

# EFT and RG Make Physics Easier

- There's an old vaudeville joke about a doctor and patient . . .



**Patient:** Doctor, doctor, it hurts when I do this!

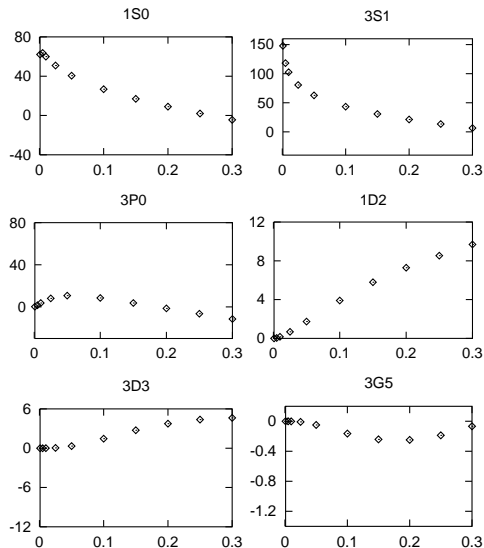
**Doctor:** Then don't do that.

- Weinberg's Third Law of Progress in Theoretical Physics:  
*"You may use any degrees of freedom you like to describe a physical system, but if you use the wrong ones, you'll be sorry!"*

# Chiral Effective Field Theory for Two Nucleons




- Epelbaum, Meißner, et al.
- Also Entem, Machleidt
- $\mathcal{L}_{\pi N}$  + match at low energy

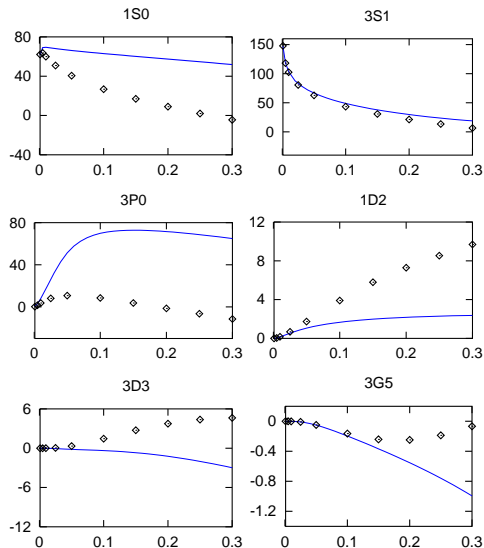
$Q^\nu$	$1\pi$	$2\pi$	$4N$



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


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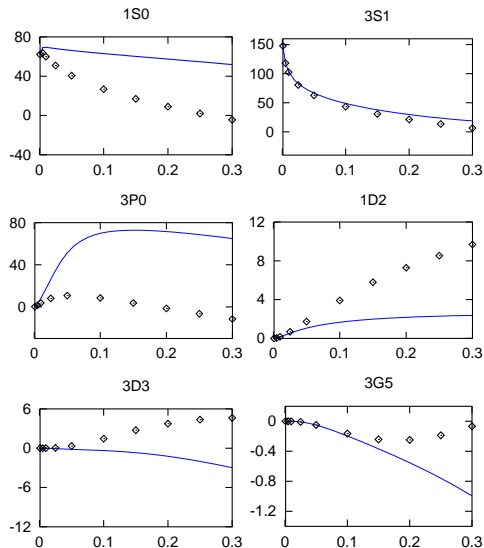
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$Q^0$			 (2)



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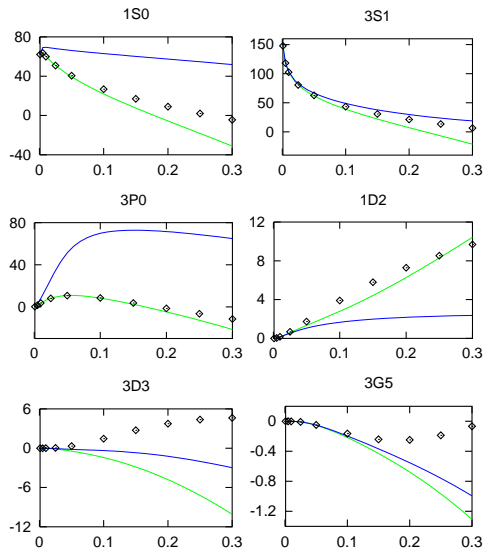
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




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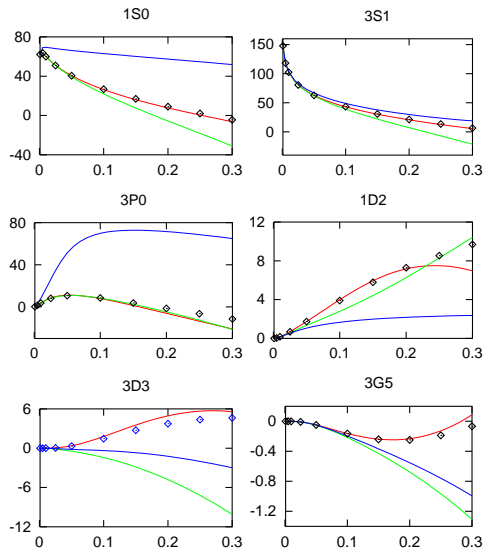
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$Q^0$			
$Q^1$			
$Q^2$			



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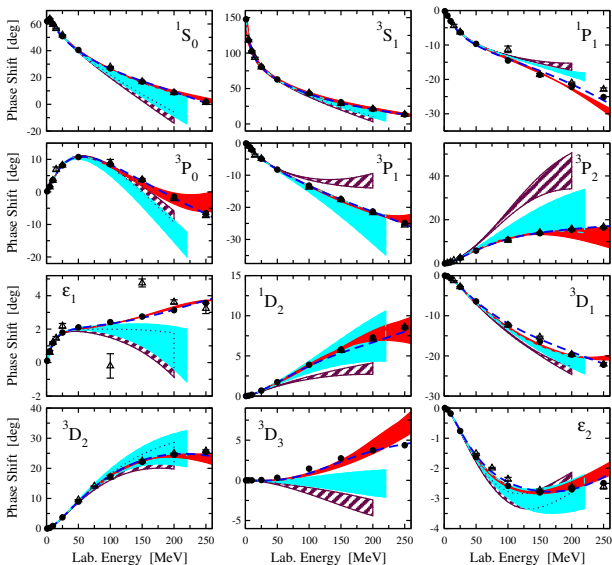
$Q^\nu$	$1\pi$	$2\pi$	$4N$
$Q^0$			 (2)
$Q^1$			
$Q^2$			 (7)
$Q^3$			



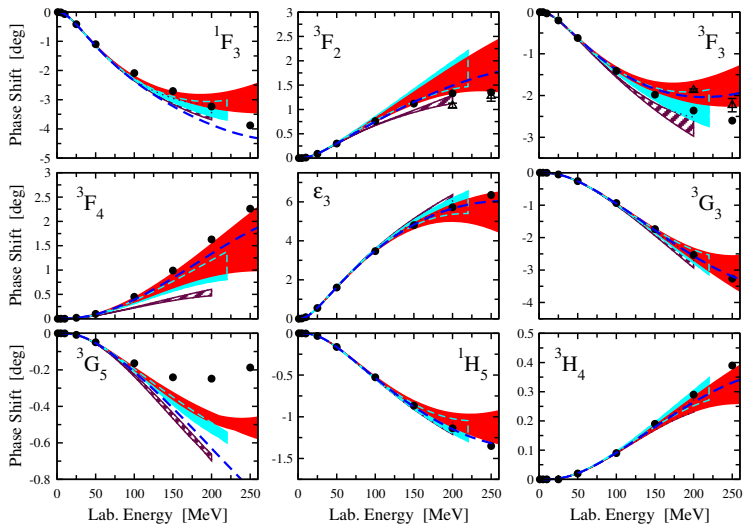
# How do you go from Chiral EFT to a Potential?

- E.g., see Evgeny Epelbaum review: nucl-th/0509032
- Method of unitary transformations (e.g., Okubo)
  - $P$  space has nucleons only,  $Q$  space has the pions
  - Use chiral expansion in  $\{\mathbf{p}, m_\pi\}/\Lambda$
  - Energy-independent potential
- Consistent operators constructed with power counting

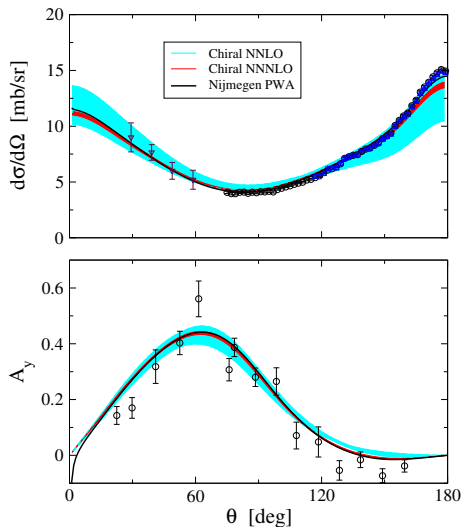
# State of the Art: $N^3\text{LO}$



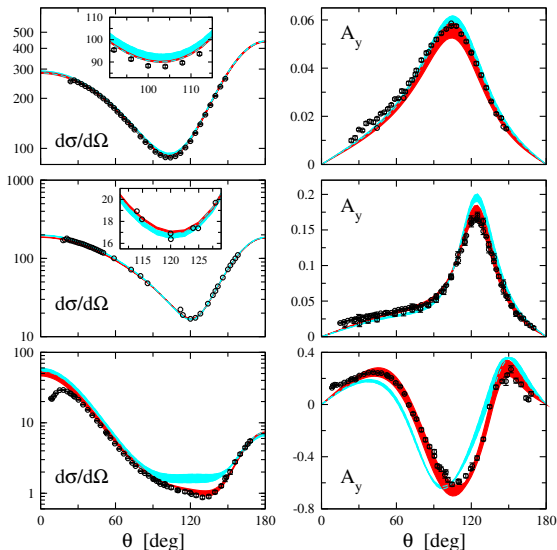
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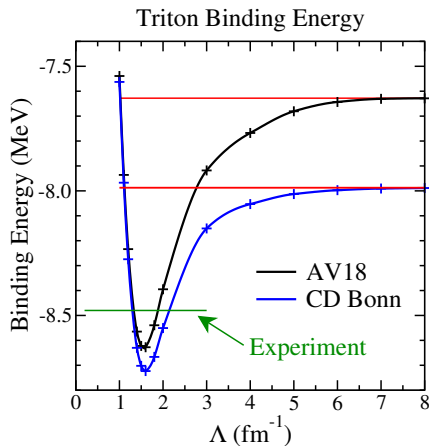
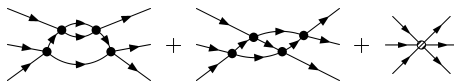


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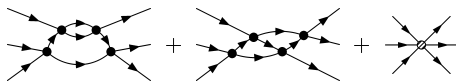
# Many-Body Forces are Inevitable!

- What if we have three nucleons interacting?
- Successive two-body scatterings with short-lived high-energy intermediate states unresolved  $\Rightarrow$  must be absorbed into three-body force

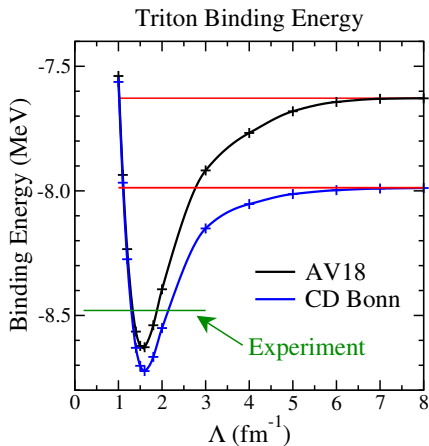


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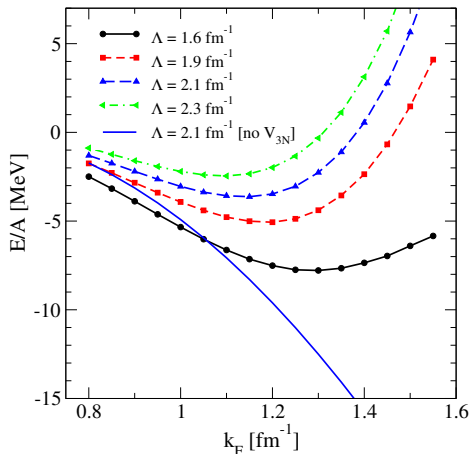
- How do we organize  $(3, 4, \dots)$ -body forces? **EFT!**



[Bogner, Nogga, Schwenk]

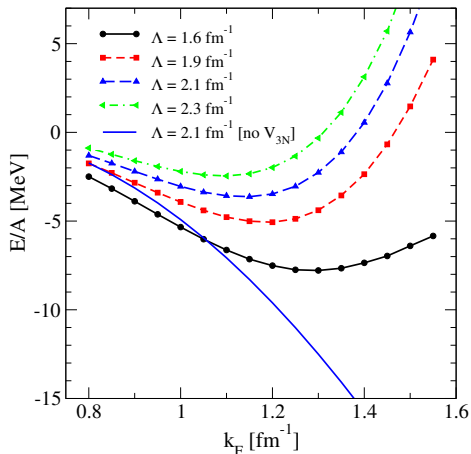
# (Approximate) Nuclear Matter with NN and NNN

## Hartree-Fock

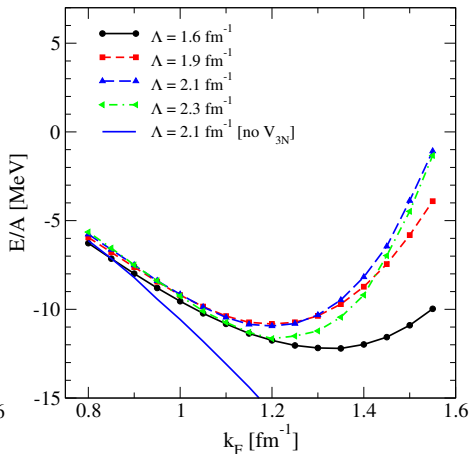


# (Approximate) Nuclear Matter with NN and NNN

## Hartree-Fock



## " $\approx$ 2nd Order"



# (Nuclear) Many-Body Physics: “Old” vs. “New”

One Hamiltonian for all problems and energy/length scales (not QCD!)	Infinite # of low-energy potentials; different resolutions $\Rightarrow$ different dof's and Hamiltonians
Find the “best” potential	There is no best potential $\Rightarrow$ use a convenient one!
Two-body data may be sufficient; many-body forces as last resort	Many-body data needed and many-body forces inevitable
Avoid (hide) divergences	Exploit divergences (cutoff dependence as tool)
Choose approximations (e.g., diagrams) by “art”	Power counting determines diagrams and truncation error

# My Favored Scenario for DFT (Today!)

- Construct a chiral EFT to a given order ( $N^3\text{LO}$  at present)
  - including many-body forces ( $N^3\text{LO}$  has leading 4-body)
  - choose cutoff regulator  $\Lambda$  as large as possible up to breakdown scale to minimize truncation error
- Evolve  $\Lambda$  down with RG (to  $\Lambda \approx 2\text{ fm}^{-1}$  for ordinary nuclei)
  - *all* interactions
  - *and* other operators
- Generate density functional in effective action form
  - direct construction (e.g., DME++)
  - *or* match to finite-density EFT expansion

# Outline

Overview: Microscopic DFT

## **Effective Actions and DFT**

Issues and Ideas and Open Problems

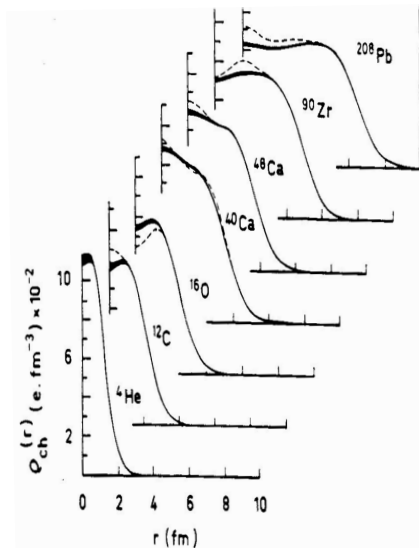
Summary

# Density Functional Theory (DFT)

- Hohenberg-Kohn: There **exists** an energy functional  $E_V[\rho]$  ...

$$E_V[\rho] = F_{\text{HK}}[\rho] + \int d^3x v(\mathbf{x})\rho(\mathbf{x})$$

- $F_{\text{HK}}$  is *universal* (same for any external  $v$ )  $\Rightarrow H_2$  to DNA!
- Introduce orbitals and minimize energy functional  $\Rightarrow E_{gs}, \rho_{gs}$
- Useful **if** you can approximate the energy functional



# DFT as Effective Action

- Effective action is generically the Legendre transform of a generating functional with external source
- Partition function in presence of  $J(x)$  coupled to **density**:

$$\mathcal{Z}[J] = e^{-W[J]} \sim \text{Tr} e^{-\beta(\hat{H} + J\hat{\rho})} \longrightarrow \int \mathcal{D}[\psi^\dagger] \mathcal{D}[\psi] e^{-\int [\mathcal{L} + J\psi^\dagger\psi]}$$

- The density  $\rho(x)$  in the presence of  $J(x)$  is [we want  $J = 0$ ]

$$\rho(x) \equiv \langle \hat{\rho}(x) \rangle_J = \frac{\delta W[J]}{\delta J(x)}$$

- Invert to find  $J[\rho]$  and Legendre transform from  $J$  to  $\rho$ :

$$\Gamma[\rho] = W[J] - \int J\rho \quad \text{and} \quad J(x) = -\frac{\delta \Gamma[\rho]}{\delta \rho(x)}$$

# Partition Function in Zero Temperature Limit

- Consider Hamiltonian with time-independent source  $J(\mathbf{x})$ :

$$\hat{H}(J) = \hat{H} + \int J \psi^\dagger \psi$$

- If* ground state is isolated (and bounded from below),

$$e^{-\beta \hat{H}} = e^{-\beta E_0} \left[ |0\rangle \langle 0| + \mathcal{O}(e^{-\beta(E_1 - E_0)}) \right]$$

- As  $\beta \rightarrow \infty$ ,  $\mathcal{Z}[J] \Rightarrow$  ground state of  $\hat{H}(J)$  with energy  $E_0(J)$

$$\mathcal{Z}[J] = e^{-W[J]} \sim \text{Tr} e^{-\beta(\hat{H} + J\hat{\rho})} \Rightarrow E_0(J) = \lim_{\beta \rightarrow \infty} -\frac{1}{\beta} \log \mathcal{Z}[J] = \frac{1}{\beta} W[J]$$

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- Substitute and separate out the pieces:

$$E_0(J) = \langle \hat{H}(J) \rangle_J = \langle \hat{H} \rangle_J + \int J \langle \psi^\dagger \psi \rangle_J = \langle \hat{H} \rangle_J + \int J \rho(J)$$

- Expectation value of  $\hat{H}$  in ground state generated by  $J[\rho]$

$$\langle \hat{H} \rangle_J = E_0(J) - \int J \rho = \frac{1}{\beta} \Gamma[\rho]$$

# Putting it all together ...

$$\frac{1}{\beta} \Gamma[\rho] = \langle \hat{H} \rangle_J \xrightarrow{J \rightarrow 0} E_0 \quad \text{and} \quad J(\mathbf{x}) = -\frac{\delta \Gamma[\rho]}{\delta \rho(\mathbf{x})} \xrightarrow{J \rightarrow 0} \left. \frac{\delta \Gamma[\rho]}{\delta \rho(\mathbf{x})} \right|_{\rho_{\text{gs}}(\mathbf{x})} = 0$$

$\Rightarrow$  For static  $\rho(\mathbf{x})$ ,  $\Gamma[\rho] \propto$  the DFT energy functional  $E_{\text{HK}}$ !

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- The true ground state (with  $J = 0$ ) is a variational minimum
  - So more sources should be better! (e.g.,  $\Gamma[\rho, \tau, \mathbf{J}, \dots]$ )
- Universal dependence on external potential is trivial:

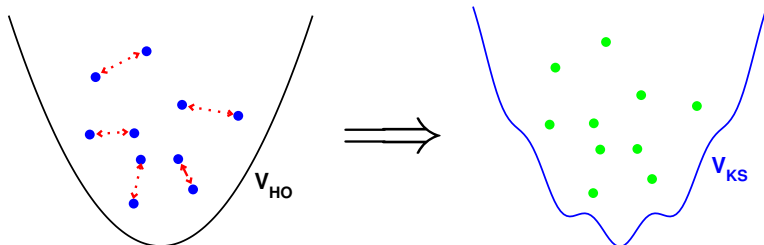
$$\Gamma[\rho] = W[J] - \int J \rho = W_{v=0}[J+v] - \int [(J+v) - v] \rho = \Gamma_{v=0}[\rho] + \int v \rho$$

- But functionals change with resolution or field redefinitions  
 ⇒ only stationary points are observables
- If uniform, find spontaneously broken ground state; if finite ...
- NOTE: Beware of new UV divergences!
- [For Minkowski-space version of this, see Weinberg Vol. II]

# Paths to the Effective Action Density Functional

- ➊ Follow Coulomb Kohn-Sham DFT
  - Calculate asymmetric nuclear matter as function of density  
     $\implies$  LDA functional + standard Kohn-Sham procedure
  - Add semi-empirical gradient expansion
- ➋ RG approach [Polonyi/Schwenk]
- ➌ Auxiliary field method [Faussurier, Valiev/Fernando]
  - Eliminate  $\psi^\dagger \psi$  in favor of auxiliary field  $\varphi$
  - Loop expansion about expectation value  $\phi$
  - Kohn-Sham: Use freedom to require density unchanged
- ➍ Inversion method [Fukuda et al., Valiev/Fernando]  
     $\implies$  systematic Kohn-Sham DFT

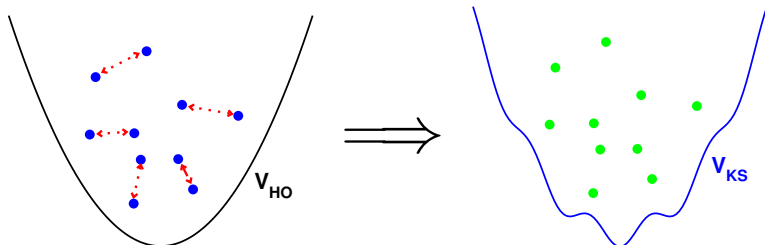
# Kohn-Sham DFT



- Interacting density in  $V_{\text{HO}} \equiv$  **Non-interacting** density in  $V_{\text{KS}}$
- Orbitals  $\{\phi_i(\mathbf{x})\}$  in **local** potential  $V_{\text{KS}}([\rho], \mathbf{x})$

$$[-\nabla^2/2m + V_{\text{KS}}(\mathbf{x})]\phi_i = \varepsilon_i \phi_i \implies \rho(\mathbf{x}) = \sum_{i=1}^A |\phi_i(\mathbf{x})|^2$$

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- **Plan: Make this work by *construction***
  - inversion method (“point-coupling”)
  - auxiliary fields (e.g., “mesons” in covariant DFT)

# What can Power Counting do for DFT?

- Given  $W[J]$  as an EFT expansion, how do we find  $\Gamma[\rho]$ ?

$$\Gamma[\rho] = W[J] - \int J\rho$$

- Inversion method: order-by-order inversion from  $W[J]$  to  $\Gamma[\rho]$ 
  - Decompose  $J(x) = J_0(x) + J_{\text{LO}}(x) + J_{\text{NLO}}(x) + \dots$
  - Two conditions on  $J_0$ :

$$\rho(x) = \frac{\delta W_0[J_0]}{\delta J_0(x)} \quad \text{and} \quad J_0(x)|_{\rho=\rho_{\text{gs}}} = \left. \frac{\delta \Gamma_{\text{interacting}}[\rho]}{\delta \rho(x)} \right|_{\rho=\rho_{\text{gs}}}$$

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- Interpretation:  $J_0$  is the external potential that yields for a noninteracting system the exact density
  - This is the Kohn-Sham potential!
  - Two conditions involving  $J_0 \implies$  Self-consistency

# Treat Source $J(\mathbf{x})$ as a Background Field

- Effective action as a path integral  $\implies$  construct  $W[J]$ , order-by-order in an expansion (e.g., EFT power counting)
- Propagators (lines) are in the background field  $J(\mathbf{x})$

$$G_J^0(\mathbf{x}, \mathbf{x}'; \omega) = \sum_{\alpha} \psi_{\alpha}(\mathbf{x}) \psi_{\alpha}^*(\mathbf{x}') \left[ \frac{\theta(\epsilon_{\alpha} - \epsilon_F)}{\omega - \epsilon_{\alpha} + i\eta} + \frac{\theta(\epsilon_F - \epsilon_{\alpha})}{\omega - \epsilon_{\alpha} - i\eta} \right]$$

where  $\psi_{\alpha}(\mathbf{x})$  satisfies:  $\left[ -\frac{\nabla^2}{2M} + v(\mathbf{x}) - J(\mathbf{x}) \right] \psi_{\alpha}(\mathbf{x}) = \epsilon_{\alpha} \psi_{\alpha}(\mathbf{x})$

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- E.g., apply to short-range LO contribution: Hartree-Fock



$$\begin{aligned} W_1[J] &= \frac{1}{2} \nu(\nu - 1) C_0 \int d^3\mathbf{x} \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \int_{-\infty}^{\infty} \frac{d\omega'}{2\pi} G_J^0(\mathbf{x}, \mathbf{x}; \omega) G_J^0(\mathbf{x}, \mathbf{x}; \omega') \\ &= -\frac{1}{2} \frac{(\nu - 1)}{\nu} C_0 \int d^3\mathbf{x} [\rho_J(\mathbf{x})]^2 \quad \text{where} \quad \rho_J(\mathbf{x}) \equiv \nu \sum_{\alpha}^{\epsilon_F} |\psi_{\alpha}(\mathbf{x})|^2 \end{aligned}$$

# Kohn-Sham Via Inversion Method (cf. K LW [1960])

- Inversion method for effective action DFT [Fukuda et al.]
  - order-by-order matching in  $\lambda$  (e.g., EFT expansion)

$$\text{diagrams} \implies W[J, \lambda] = W_0[J] + \lambda W_1[J] + \lambda^2 W_2[J] + \dots$$

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$$\text{derive} \implies \Gamma[\rho, \lambda] = \Gamma_0[\rho] + \lambda \Gamma_1[\rho] + \lambda^2 \Gamma_2[\rho] + \dots$$

- Start with exact expressions for  $\Gamma$  and  $\rho$

$$\Gamma[\rho] = W[J] - \int d^4x J(x)\rho(x) \implies \rho(x) = \frac{\delta W[J]}{\delta J(x)}$$

$\implies$  plug in expansions with  $\rho$  treated as order unity

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- Diagonalize  $W_0[J_0]$  by introducing KS orbitals  $\implies$  sum of  $\varepsilon_i$ 's
- Find  $J_0$  for the ground state via self-consistency loop:

$$J_0 \rightarrow W_1 \rightarrow \Gamma_1 \rightarrow J_1 \rightarrow W_2 \rightarrow \Gamma_2 \rightarrow \dots \implies J_0(x) = \sum_{i>0} \frac{\delta \Gamma_i[\rho]}{\delta \rho(x)}$$

# Kohn-Sham Potential

- Local  $J_0(\mathbf{x})$  [cf. non-local, state-dependent  $\Sigma^*(\mathbf{x}, \mathbf{x}'; \omega)$ ]

$$\text{e.g., } J_0(\mathbf{x}) = \frac{\delta \Gamma_{\text{int}}[\rho, \tau]}{\delta \rho(\mathbf{x})} \quad \text{and} \quad \eta_0(\mathbf{x}) = \frac{\delta \Gamma_{\text{int}}[\rho, \tau]}{\delta \tau(\mathbf{x})}$$

- Direct derivatives (e.g., DME++) are easiest, or use “inverse density-density correlator”

$$J_0(\mathbf{x}) = \frac{\delta \Gamma_{\text{int}}[\rho]}{\delta \rho(\mathbf{x})} = \int \left( \frac{\delta \rho(\mathbf{x})}{\delta J_0(\mathbf{y})} \right)^{-1} \frac{\delta \Gamma_{\text{int}}[\rho]}{\delta J_0(\mathbf{y})} = - \text{diagram 1} - \text{diagram 2} + \dots$$

$$= \text{diagram 3} - \text{diagram 4} + \dots$$

- New Feynman rules for  $\Gamma_{\text{int}} \Rightarrow$  anomalous diagrams

$$\Gamma_{\text{int}} = \text{diagram 1} + \text{diagram 2} + \text{diagram 3} + \text{diagram 4} + \dots$$



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The diagrams represent terms in the expansion of the Kohn-Sham potential. Diagram 1 is a bubble diagram with a wavy line. Diagram 2 is a bubble diagram with a wavy line and a loop. Diagram 3 is a bubble diagram with a wavy line. Diagram 4 is a bubble diagram with a wavy line and a loop.

- New Feynman rules for  $\Gamma_{\text{int}} \Rightarrow$  anomalous diagrams

$$\Gamma_{\text{int}} = \text{[diagram 5]} + \text{[diagram 6]} + \dots$$

The diagrams represent terms in the expansion of the internal energy functional. Diagram 5 is a bubble diagram with a wavy line. Diagram 6 is a bubble diagram with a wavy line and a loop.

# Example: Dilute EFT Ingredients

See “Crossing the Border” [nucl-th/0008064]

- 1 Use the most general  $\mathcal{L}$  with low-energy dof's consistent with global and local symmetries of underlying theory

- $\mathcal{L}_{\text{eft}} = \psi^\dagger \left[ i \frac{\partial}{\partial t} + \frac{\nabla^2}{2M} \right] \psi - \frac{C_0}{2} (\psi^\dagger \psi)^2 - \frac{D_0}{6} (\psi^\dagger \psi)^3 + \dots$

- 2 Declaration of regularization and renormalization scheme

- natural  $a_0 \implies$  dimensional regularization and min. subtraction

- 3 Well-defined power counting  $\implies$  small expansion parameters

- use the separation of scales  $\implies \frac{k_F}{\Lambda}$  with  $\Lambda \sim 1/R \implies k_F a_0$ , etc.

$$\mathcal{O}(k_F^6): \text{blue bubble diagram} \quad \mathcal{O}(k_F^7): \text{green bubble diagram} + \text{black bubble diagram}$$

$$\mathcal{E} = \rho \frac{k_F^2}{2M} \left[ \frac{3}{5} + \frac{2}{3\pi} (k_F a_0) + \frac{4}{35\pi^2} (11 - 2 \ln 2) (k_F a_0)^2 + \dots \right]$$

# Comparing Skyrme and Dilute Functionals

- Skyrme energy density functional (for  $N = Z$ )

$$E[\rho, \tau, \mathbf{J}] = \int d^3x \left\{ \frac{\tau}{2M} + \frac{3}{8} t_0 \rho^2 + \frac{1}{16} (3t_1 + 5t_2) \rho \tau + \frac{1}{64} (9t_1 - 5t_2) (\nabla \rho)^2 \right. \\ \left. - \frac{3}{4} W_0 \rho \nabla \cdot \mathbf{J} + \frac{1}{16} t_3 \rho^{2+\alpha} + \dots \right\}$$

- Dilute  $\rho\tau$  energy density functional for  $\nu = 4$  ( $V_{\text{external}} = 0$ )

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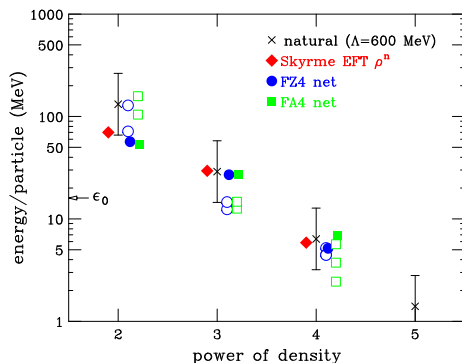
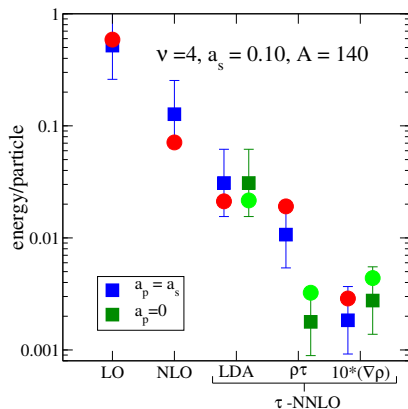
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- Same functional as dilute Fermi gas with  $t_i \leftrightarrow C_i$ 
  - equivalent  $a_0 \approx -2-3$  fm but  $|k_F a_p|, |k_F r_0| < 1$  (with  $a_p < 0$ )
  - missing non-analytic terms, NNN, ...

# Power Counting Terms in Energy Functionals

- Scale contributions according to average density or  $\langle k_F \rangle$



- Reasonable estimates  $\implies$  truncation errors understood
- Where to truncate for nuclei?

# Covariant DFT as Legendre Transformation

- To probe the system, add a source  $V^\mu(\mathbf{x})$  coupled to current operator  $\hat{j}^\mu(\mathbf{x}) \equiv \bar{\psi}(\mathbf{x})\gamma^\mu\psi(\mathbf{x})$  to the partition function:

$$\mathcal{Z}[V] = e^{-W[V]} \sim \text{Tr} e^{-\beta(\hat{H} + V \cdot \hat{j})} \longrightarrow \int \mathcal{D}[\psi^\dagger] \mathcal{D}[\psi] e^{-\int [\mathcal{L} + V_\mu \bar{\psi} \gamma^\mu \psi]}$$

- The (time-dependent) current  $j^\mu(\mathbf{x})$  in presence of  $V^\mu(\mathbf{x})$  is

$$j^\mu(\mathbf{x}) = (\rho_v(\mathbf{x}), \mathbf{j}_v(\mathbf{x})) \equiv \langle \bar{\psi}(\mathbf{x})\gamma^\mu\psi(\mathbf{x}) \rangle_V = \frac{\delta W[V]}{\delta V_\mu(\mathbf{x})}$$

- Invert to find  $V^\mu[j]$  and Legendre transform from  $V^\mu$  to  $j^\mu$ :

$$\Gamma[j] = -W[V] + \int V \cdot j \quad \text{with} \quad V^\mu(\mathbf{x}) = \frac{\delta \Gamma[j]}{\delta j_\mu(\mathbf{x})} \longrightarrow \left. \frac{\delta \Gamma[j]}{\delta j_\mu(\mathbf{x})} \right|_{j_{\text{gs}}(\mathbf{x})} = 0$$

$\implies$  For static  $j^\mu(\mathbf{x})$ ,  $\Gamma[j] \propto$  the DFT energy functional  $E[\rho_v]$

# What About the Scalar Density?

- Can add additional sources and Legendre transformations
- In nonrelativistic DFT, add to Lagrangian  $+ \eta(\mathbf{x}) \nabla \psi^\dagger \nabla \psi$

$$\Gamma[\rho, \tau] = W[J, \eta] - \int J(\mathbf{x}) \rho(\mathbf{x}) - \int \eta(\mathbf{x}) \tau(\mathbf{x})$$

$\implies$  Skyrme HF energy functional  $E[\rho, \tau, \mathbf{J}]$  of density *and* kinetic energy density (see A. Bhattacharyya talk)

- In covariant DFT, add to Lagrangian  $+ \mathbf{S}(\mathbf{x}) \bar{\psi} \psi$

$$\Gamma[j^\mu, \rho_s] = W[V^\mu, \mathbf{S}] - \int V(\mathbf{x}) \cdot j(\mathbf{x}) - \int \mathbf{S}(\mathbf{x}) \rho_s(\mathbf{x})$$

$\implies$  RMF energy functional  $E[\rho_v, \rho_s]$  [with  $j^\mu = (\rho_v, \mathbf{0})$ ]

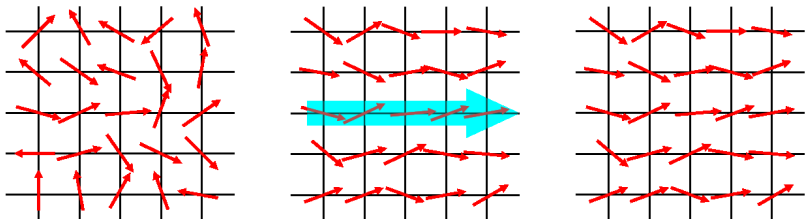
- Generates *point-coupling* functional

# Pairing in DFT/EFT from Effective Action

- Natural framework for spontaneous symmetry breaking
  - e.g., test for zero-field magnetization  $M$  in a spin system
  - introduce an external field  $H$  to break rotational symmetry
  - Legendre transform Helmholtz free energy  $F(H)$ :

$$\text{invert } M = -\partial F(H)/\partial H \implies \Gamma[M] = F[H(M)] + MH(M)$$

- since  $H = \partial\Gamma/\partial M$ , minimize  $\Gamma$  to find ground state



# Generalizing Effective Action to Include Pairing

- Generating functional with sources  $J, j$  coupled to densities:

$$Z[J, j] = e^{-W[J, j]} = \int D(\psi^\dagger \psi) e^{-\int d^4x [\mathcal{L} + J(x)\psi_\alpha^\dagger \psi_\alpha + j(x)(\psi_\uparrow^\dagger \psi_\downarrow^\dagger + \psi_\downarrow \psi_\uparrow)]}$$

- Densities found by functional derivatives wrt  $J, j$ :

$$\rho(x) \equiv \langle \psi^\dagger(x) \psi(x) \rangle_{J, j} = \left. \frac{\delta W[J, j]}{\delta J(x)} \right|_j$$

$$\phi(x) \equiv \langle \psi_\uparrow^\dagger(x) \psi_\downarrow^\dagger(x) + \psi_\downarrow(x) \psi_\uparrow(x) \rangle_{J, j} = \left. \frac{\delta W[J, j]}{\delta j(x)} \right|_J$$

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- Effective action  $\Gamma[\rho, \phi]$  by functional Legendre transformation:

$$\Gamma[\rho, \phi] = W[J, j] - \int d^4x J(x) \rho(x) - \int d^4x j(x) \phi(x)$$

- $\Gamma[\rho, \phi] \propto$  ground-state (free) energy functional  $E[\rho, \phi]$ 
  - at finite temperature, the proportionality constant is  $\beta$
- The sources are given by functional derivatives wrt  $\rho$  and  $\phi$

$$\frac{\delta E[\rho, \phi]}{\delta \rho(\mathbf{x})} = J(\mathbf{x}) \quad \text{and} \quad \frac{\delta E[\rho, \phi]}{\delta \phi(\mathbf{x})} = j(\mathbf{x})$$

- but the sources are zero in the ground state
- $\implies$  determine ground-state  $\rho(\mathbf{x})$  and  $\phi(\mathbf{x})$  by stationarity:

$$\left. \frac{\delta E[\rho, \phi]}{\delta \rho(\mathbf{x})} \right|_{\rho=\rho_{\text{gs}}, \phi=\phi_{\text{gs}}} = \left. \frac{\delta E[\rho, \phi]}{\delta \phi(\mathbf{x})} \right|_{\rho=\rho_{\text{gs}}, \phi=\phi_{\text{gs}}} = 0$$

- This is Hohenberg-Kohn DFT extended to pairing!

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- This is Hohenberg-Kohn DFT extended to pairing!
- We need a method to carry out the inversion
  - For Kohn-Sham DFT, apply inversion methods
  - We need to renormalize!

# Kohn-Sham Inversion Method Revisited

- Order-by-order matching in EFT expansion parameter  $\lambda$

$$W[J, j, \lambda] = W_0[J, j] + \lambda W_1[J, j] + \lambda^2 W_2[J, j] + \dots$$

$$J[\rho, \phi, \lambda] = J_0[\rho, \phi] + \lambda J_1[\rho, \phi] + \lambda^2 J_2[\rho, \phi] + \dots$$

$$j[\rho, \phi, \lambda] = j_0[\rho, \phi] + \lambda j_1[\rho, \phi] + \lambda^2 j_2[\rho, \phi] + \dots$$

$$\Gamma[\rho, \phi, \lambda] = \Gamma_0[\rho, \phi] + \lambda \Gamma_1[\rho, \phi] + \lambda^2 \Gamma_2[\rho, \phi] + \dots$$

- 0<sup>th</sup> order is Kohn-Sham system with potentials  $J_0(\mathbf{x})$  and  $j_0(\mathbf{x})$   
 $\implies$  yields the **exact** densities  $\rho(\mathbf{x})$  and  $\phi(\mathbf{x})$ 
  - introduce single-particle orbitals and solve (cf. HFB)

$$\begin{pmatrix} h_0(\mathbf{x}) - \mu_0 & j_0(\mathbf{x}) \\ j_0(\mathbf{x}) & -h_0(\mathbf{x}) + \mu_0 \end{pmatrix} \begin{pmatrix} u_i(\mathbf{x}) \\ v_i(\mathbf{x}) \end{pmatrix} = E_i \begin{pmatrix} u_i(\mathbf{x}) \\ v_i(\mathbf{x}) \end{pmatrix}$$

$$\text{where} \quad h_0(\mathbf{x}) \equiv -\frac{\nabla^2}{2M} + V(\mathbf{x}) - J_0(\mathbf{x})$$

with conventional orthonormality relations for  $u_i, v_i$

# Diagrammatic Expansion of $W_i$

- Same diagrams, but with Nambu-Gor'kov Green's functions

$$\Gamma_{\text{int}} = \text{[diagram 1]} + \text{[diagram 2]} + \text{[diagram 3]} + \text{[diagram 4]} + \dots$$

$$i\mathbf{G} = \begin{pmatrix} \langle T\psi_{\uparrow}(\mathbf{x})\psi_{\uparrow}^{\dagger}(\mathbf{x}')\rangle_0 & \langle T\psi_{\uparrow}(\mathbf{x})\psi_{\downarrow}(\mathbf{x}')\rangle_0 \\ \langle T\psi_{\downarrow}^{\dagger}(\mathbf{x})\psi_{\uparrow}^{\dagger}(\mathbf{x}')\rangle_0 & \langle T\psi_{\downarrow}^{\dagger}(\mathbf{x})\psi_{\downarrow}(\mathbf{x}')\rangle_0 \end{pmatrix} \equiv \begin{pmatrix} iG_{\text{ks}}^0 & iF_{\text{ks}}^0 \\ iF_{\text{ks}}^{0\dagger} & -iG_{\text{ks}}^0 \end{pmatrix}$$

- In frequency space, the Green's functions are

$$iG_{\text{ks}}^0(\mathbf{x}, \mathbf{x}'; \omega) = \sum_i \left[ \frac{u_i(\mathbf{x}) u_i^*(\mathbf{x}')}{\omega - E_i + i\eta} + \frac{v_i(\mathbf{x}') v_i^*(\mathbf{x})}{\omega + E_i - i\eta} \right]$$

$$iF_{\text{ks}}^0(\mathbf{x}, \mathbf{x}'; \omega) = - \sum_i \left[ \frac{u_i(\mathbf{x}) v_i^*(\mathbf{x}')}{\omega - E_i + i\eta} - \frac{u_i(\mathbf{x}') v_i^*(\mathbf{x})}{\omega + E_i - i\eta} \right]$$

# Kohn-Sham Self-Consistency Procedure

- Same iteration procedure as in Skyrme or RMF with pairing
- In terms of the orbitals, the fermion density is

$$\rho(\mathbf{x}) = 2 \sum_i |v_i(\mathbf{x})|^2$$

and the pair density is (warning: divergent!)

$$\phi(\mathbf{x}) = \sum_i [u_i^*(\mathbf{x})v_i(\mathbf{x}) + u_i(\mathbf{x})v_i^*(\mathbf{x})]$$

- The chemical potential  $\mu_0$  is fixed by  $\int \rho(\mathbf{x}) = A$
- Diagrams for  $\tilde{\Gamma}[\rho, \phi] = -E[\rho, \phi]$  (with LDA+) yields KS potentials

$$J_0(\mathbf{x}) \Big|_{\rho=\rho_{\text{gs}}} = \frac{\delta \tilde{\Gamma}_{\text{int}}[\rho, \phi]}{\delta \rho(\mathbf{x})} \Big|_{\rho=\rho_{\text{gs}}} \quad \text{and} \quad j_0(\mathbf{x}) \Big|_{\phi=\phi_{\text{gs}}} = \frac{\delta \tilde{\Gamma}_{\text{int}}[\rho, \phi]}{\delta \phi(\mathbf{x})} \Big|_{\phi=\phi_{\text{gs}}}$$

# Outline

Overview: Microscopic DFT

Effective Actions and DFT

**Issues and Ideas and Open Problems**

Summary

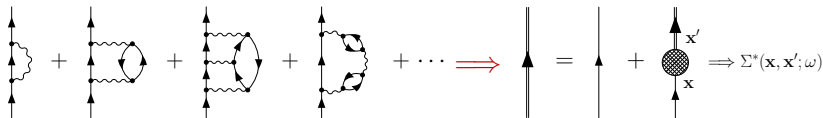
# Questions about DFT and Nuclear Structure

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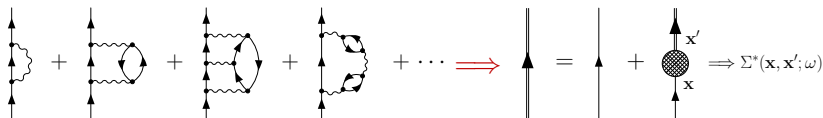
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# How is the Full $G$ Related to $G_{\text{KS}}$ ? [nucl-th/0410105]



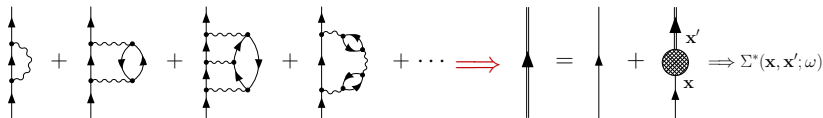
# How is the Full $G$ Related to $G_{\text{KS}}$ ? [nucl-th/0410105]



- Add a non-local source  $\xi(\mathbf{x}', \mathbf{x})$  coupled to  $\psi(\mathbf{x})\psi^\dagger(\mathbf{x}')$ :

$$Z[J, \xi] = e^{iW[J, \xi]} = \int D\psi D\psi^\dagger e^{i \int d^4x [\mathcal{L} + J(x)\psi^\dagger(x)\psi(x) + \int d^4x' \psi(x)\xi(x, x')\psi^\dagger(x')]}$$

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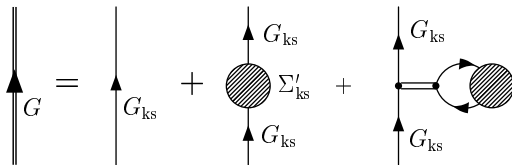


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$$Z[J, \xi] = e^{iW[J, \xi]} = \int D\psi D\psi^\dagger e^{i \int d^4x [\mathcal{L} + J(x)\psi^\dagger(x)\psi(x) + \int d^4x' \psi(x)\xi(x, x')\psi^\dagger(x')]}$$

- With  $\Gamma[\rho, \xi] = \Gamma_0[\rho, \xi] + \Gamma_{\text{int}}[\rho, \xi]$ ,

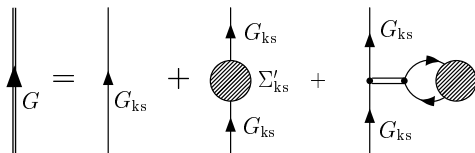
$$G(x, x') = \left. \frac{\delta W}{\delta \xi} \right|_J = \left. \frac{\delta \Gamma}{\delta \xi} \right|_\rho = G_{\text{ks}}(x, x') + G_{\text{ks}} \left[ \frac{1}{i} \frac{\delta \Gamma_{\text{int}}}{\delta G_{\text{ks}}} + \frac{\delta \Gamma_{\text{int}}}{\delta \rho} \right] G_{\text{ks}}$$



# $G$ and $G_{\text{KS}}$ Yield the Same Density by *Construction*

- Claim:  $\rho_{\text{KS}}(\mathbf{x}) = -i\nu G_{\text{KS}}^0(\mathbf{x}, \mathbf{x}^+)$  equals  $\rho(\mathbf{x}) = -i\nu G(\mathbf{x}, \mathbf{x}^+)$

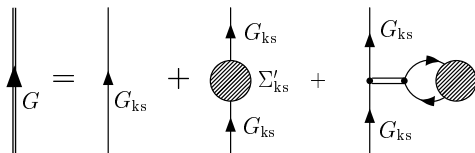
- Start with



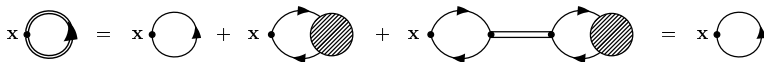
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- Simple diagrammatic demonstration:

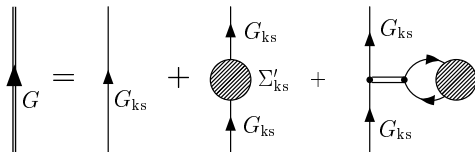


- Densities agree by construction!

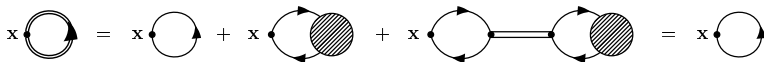
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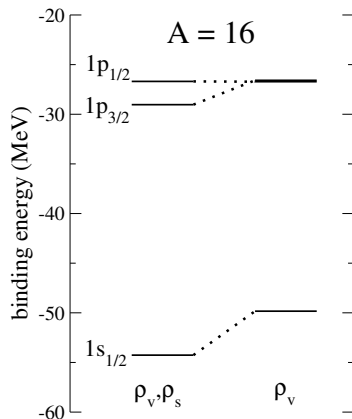
- Densities agree by construction!
- Is the Kohn-Sham basis a useful one for  $G$ ?

# How Close is $G_{\text{KS}}$ to $G$ ?

- It depends on what sources are used!

$$G(x, x') = \left. \frac{\delta W}{\delta \xi} \right|_J = \left. \frac{\delta \Gamma}{\delta \xi} \right|_\rho = G_{\text{KS}}(x, x') + G_{\text{KS}} \left[ \frac{1}{i} \frac{\delta \Gamma_{\text{int}}}{\delta G_{\text{KS}}} + \frac{\delta \Gamma_{\text{int}}}{\delta \rho} \right] G_{\text{KS}}$$

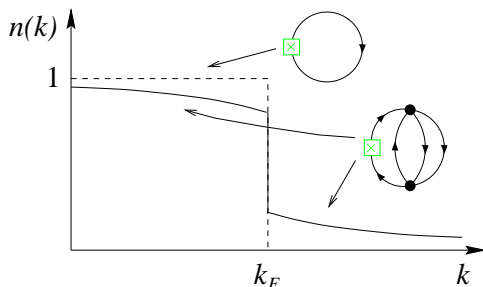
- Nonrel.  $M^*$  in  $\Gamma[\rho]$  vs.  $\Gamma[\rho, \tau]$  vs. ... (see Anirban's talk)
- Covariant case at LO:  
 $\Gamma[\rho_v]$  vs.  $\Gamma[\rho_v, \rho_s]$
- Higher orders?



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# Kohn-Sham DFT and “Mean-Field” Models



- ❶ Kohn-Sham propagator *a/lways* has “mean-field” structure  
 $\implies$  doesn't mean that correlations aren't included in  $\Gamma[\rho]$ !
- ❷  $n(\mathbf{k}) = \langle a_{\mathbf{k}}^\dagger a_{\mathbf{k}} \rangle$  is resolution dependent (not observable!)  
 $\implies$  operator related to experiment is more complicated
- ❸ Is the Kohn-Sham basis a useful one for other observables?

# Approximating and Fitting the Functional

- Need a truncated expansion to carry out inversion method
  - Chiral EFT expansion is well-defined
  - Power counting for low-momentum interactions?
- Gradient expansions?
  - Density matrix expansion
  - Semiclassical expansions used in Coulomb DFT
  - Derivative expansion techniques developed for (one-loop) effective actions?
- How should we “fine tune” a DFT functional?
  - What does EFT say about what knobs to adjust?
  - EFT tells about theoretical errors
    - ⇒ use in fits (e.g., Bayesian)

# Long-range Effects

- Long-range forces (e.g., pion exchange)  $\Rightarrow$  **limits of DME++**

$$J_0(\mathbf{x}) = - \text{[diagram 1]} + \text{[diagram 2]} + \dots$$

$$= \text{[diagram 3]} + \text{[diagram 4]} + \dots$$

The diagrams represent Feynman diagrams for the exchange current  $J_0(\mathbf{x})$ . The first row shows two terms: the first is a diagram with a horizontal line on the left, a loop with two vertices, a wavy line, and another loop with two vertices; the second is a diagram with a horizontal line on the left, a loop with two vertices, a wavy line, and a larger loop with four vertices. The second row shows two terms: the first is a diagram with a wavy line, a loop with two vertices, and a horizontal line on the right; the second is a diagram with a horizontal line on the left, a loop with two vertices, a wavy line, and a larger loop with four vertices.

- Non-localities from near-on-shell particle-hole excitations

$$\text{[diagram 1]} + \text{[diagram 2]} + \text{[diagram 3]} + \text{[diagram 4]} + \dots$$

The diagrams represent particle-hole excitations. The first diagram is a loop with two vertices and two arcs. The second diagram is a triangle with three vertices and three arcs. The third diagram is a hexagon with six vertices and six arcs. The fourth diagram is an octagon with eight vertices and eight arcs.

# Questions about DFT and Nuclear Structure

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# Symmetry Breaking and Zero Modes

- What about breaking of translational, rotational invariance, particle number?
- No guidance from Coulomb DFT (?)
- Effective action  $\implies$  zero modes
  - cf. soliton zero modes and projection methods
  - Fadeev-Popov games?
- Energy functional for the intrinsic density?  
 $\implies$  J. Engel: one-dimensional laboratory

# Questions about DFT and Nuclear Structure

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# UV Divergences in Nonrelativistic and Relativistic Effective Actions

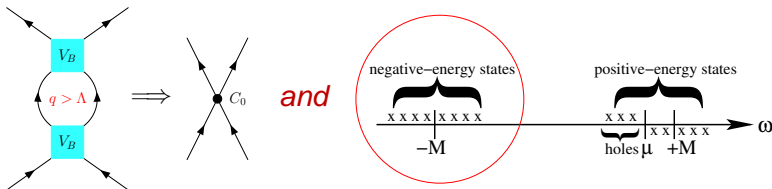
- *All low-energy effective theories have incorrect UV behavior*
- Sensitivity to short-distance physics signalled by divergences but finiteness (e.g., with cutoff) doesn't mean not sensitive!  
⇒ must absorb (and correct) sensitivity by renormalization
- Instances of UV divergences

nonrelativistic	covariant
scattering	scattering
pairing	pairing
	anti-nucleons

# Power Counting Lost / Power Counting Regained

- Gasser, Sainio, Svarc  $\Rightarrow$  ChPT for  $\pi N$  with relativistic  $N$ 's
  - loop and momentum expansions don't agree  
 $\Rightarrow$  systematic power counting lost
  - heavy-baryon EFT restores power counting by  $1/M$  expansion
- Hua-Bin Tang (1996) [and with Paul Ellis]:

*"... EFT's permit useful low-energy expansions only if we absorb **all** of the hard-momentum effects into the parameters of the Lagrangian."*



- Becher/Leutwyler **IR**  $\Rightarrow$  Schindler-Gegelia-Scherer version

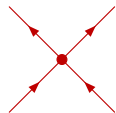
# Moving Dirac Sea Physics into Coefficients

- Absorb the “hard” part of a diagram into parameters,  
     $\implies$  the remaining “soft” part satisfies chiral power counting
  - original  $\pi N$  prescription by H.B. Tang (expand, integrate term-by-term, and resum propagators)
  - systematized for  $\pi N$  by Becher and Leutwyler: “infrared regularization” or IR
  - not unique; e.g., Fuchs et al. additional finite subtractions in DR
- Extension of IR to multiple heavy particles [Lehmann/Prézeau]
  - convenient reformulation by Schindler, Gegelia, Scherer
  - tadpoles,  $N\bar{N}$  loops in free space vanish!
  - particle-particle loop reduces to nonrelativistic DR/MS result

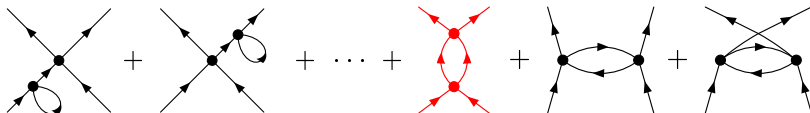
# Consequences for Free-Space Natural Fermions

- Tadpoles,  $N\bar{N}$  loops in free space vanish!
- Leading order (LO) has scalar, vector, etc. vertices

$$\mathcal{L}_{\text{eft}} = \cdots - \frac{C_s}{2} (\bar{\psi}\psi)(\bar{\psi}\psi) - \frac{C_v}{2} (\bar{\psi}\gamma^\mu\psi)(\bar{\psi}\gamma_\mu\psi) + \cdots \Rightarrow$$



- At NLO, only **particle-particle loop** survives IR



- Only forward-going nucleons contribute  
 $\Rightarrow$  same scattering amplitude as nonrel. DR/MS for small  $k$

# Comments on Vacuum Physics

- Unlike QED DFT, “no sea” for nuclear structure is a misnomer
  - include “vacuum physics” in coefficients via renormalization
- Renormalization versus Renormalizability
  - Renormalization is required to account for short-distance behavior but can be implicit
  - Renormalizability at the hadronic level corresponds to making a model for the short-distance behavior
    - not a good model phenomenologically
    - Please don't send me any more RHA papers to referee!
  - Fixing short-distance behavior is not the same thing as throwing away negative-energy states
- For a long time, we looked for *unique* “relativistic effects”; these were largely misguided efforts

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# Divergences: Dilute Fermi System

- Generating functional with constant sources  $\mu$  and  $j$ :

$$e^{-W} = \int D(\psi^\dagger \psi) e^{-\int d^4x [\psi^\dagger_\alpha (\frac{\partial}{\partial \tau} - \frac{\nabla^2}{2M} - \mu) \psi_\alpha + \frac{c_0}{2} \psi^\dagger_\uparrow \psi^\dagger_\downarrow \psi_\downarrow \psi_\uparrow + j(\psi^\dagger_\uparrow \psi_\downarrow + \psi^\dagger_\downarrow \psi_\uparrow)]}$$

- cf. adding integration over auxiliary field  $\int D(\Delta^*, \Delta) e^{-\frac{1}{|c_0|} \int |\Delta|^2}$   
 $\implies$  shift variables to eliminate  $\psi^\dagger_\uparrow \psi^\dagger_\downarrow \psi_\downarrow \psi_\uparrow$  for  $\Delta^* \psi_\uparrow \psi_\downarrow$

- New divergences because of  $j \implies$  e.g., expand to  $\mathcal{O}(j^2)$

$$W[\mu, j] = \cdots + \text{diagram} + \cdots$$

The diagram shows a bubble with two vertices connected by two curved lines with arrows. Each vertex is connected to an external dashed line labeled  $j$  with a cross at the end.

- Same linear divergence as in 2-to-2 scattering

# Divergences: Dilute Fermi System

- Generating functional with constant sources  $\mu$  and  $j$ :

$$e^{-W} = \int D(\psi^\dagger \psi) e^{-\int d^4x [\psi_\alpha^\dagger (\frac{\partial}{\partial \tau} - \frac{\nabla^2}{2M} - \mu) \psi_\alpha + \frac{c_0}{2} \psi_\uparrow^\dagger \psi_\downarrow^\dagger \psi_\downarrow \psi_\uparrow + j(\psi_\uparrow \psi_\downarrow + \psi_\downarrow^\dagger \psi_\uparrow^\dagger) + \frac{1}{2} \zeta j^2]}$$

- cf. adding integration over auxiliary field  $\int D(\Delta^*, \Delta) e^{-\frac{1}{|c_0|} \int |\Delta|^2}$   
 $\implies$  shift variables to eliminate  $\psi_\uparrow^\dagger \psi_\downarrow^\dagger \psi_\downarrow \psi_\uparrow$  for  $\Delta^* \psi_\uparrow \psi_\downarrow$

- New divergences because of  $j \implies$  e.g., expand to  $\mathcal{O}(j^2)$

$$W[\mu, j] = \cdots + \text{diagram} + \cdots$$

The diagram shows a bubble with two vertices connected by two curved lines with arrows. Each vertex is connected to an external dashed line labeled  $j$  with a cross at the end.

- Same linear divergence as in 2-to-2 scattering
- Strategy: Add counterterm  $\frac{1}{2} \zeta j^2$  to  $\mathcal{L}$ 
  - additive to  $W$  (cf.  $|\Delta|^2 \implies$  no effect on scattering)
  - Energy interpretation? Finite part?

# Renormalized Uniform System Observables

- To find the energy density, evaluate  $\Gamma$  at the stationary point:

$$\frac{E}{V} = (\Gamma_0 + \Gamma_1)|_{j_0 = -\frac{1}{2}|C_0|\phi} = \int \frac{d^3k}{(2\pi)^3} \left[ \xi_k - E_k + \frac{1}{2} \frac{j_0^2}{E_k} \right] + \left[ \mu_0 - \frac{1}{4}|C_0|\rho \right] \rho$$

with

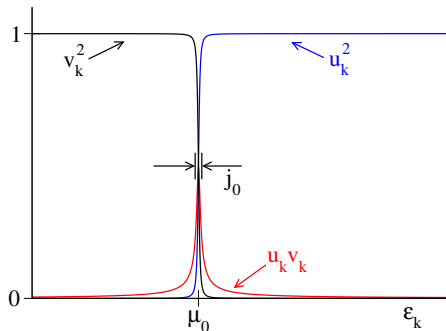
$$\rho = \int \frac{d^3k}{(2\pi)^3} \left( 1 - \frac{\xi_k}{E_k} \right) \quad \text{and} \quad \phi = - \int \frac{d^3k}{(2\pi)^3} \frac{j_0}{E_k} + \zeta^{(0)} j_0$$

- Explicitly finite and dependence on  $\zeta^{(0)}$  cancels out
- Finite system  $\implies$  optimize renormalization (see Bulgac et al.)

# Higher Order: Induced Interaction

- As  $j_0 \rightarrow 0$ ,  $u_k v_k$  peaks at  $\mu_0$
- Leading order  $T = 0$ :

$$\begin{aligned}\Delta_{LO}/\mu_0 &= \frac{8}{e^2} e^{-1/N(0)|C_0|} \\ &= \frac{8}{e^2} e^{-\pi/2k_F|a_s|}\end{aligned}$$



$$\Gamma_1 = \underbrace{\text{Diagram}}_{\Sigma_k u_k v_k \quad \Sigma_{k'} u'_k v'_k} + CTC + \dots \implies j_1 = \frac{\delta \Gamma_1}{\delta \phi} = \frac{1}{2} |C_0| \phi$$

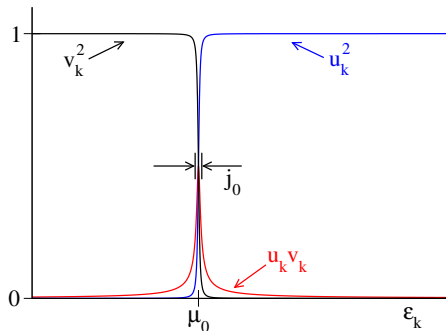
- Same renormalization works (Furnstahl/Hammer)  
 $\implies$  energy interpretation? finite system?

# Higher Order: Induced Interaction

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$$\Delta_{LO}/\mu_0 = \frac{8}{e^2} e^{-1/N(0)|C_0|}$$

$$= \frac{8}{e^2} e^{-\pi/2k_F|a_s|}$$
- NLO modifies exponent  
 $\Rightarrow$  changes prefactor
- $\Delta_{NLO} \approx \Delta_{LO}/(4e)^{1/3}$



$$\Gamma_1 + \Gamma_2 = \begin{array}{c} \text{Diagram 1: Two circles sharing a vertex, with arrows indicating a loop. Labels: } \Sigma u_k v_k \text{ and } \Sigma u'_k v'_k. \\ \text{Diagram 2: Two circles sharing a vertex, with arrows indicating a loop. Labels: } \Sigma u_k v_k \text{ and } \Sigma u'_k v'_k. \end{array} \Rightarrow j_1 + j_2 = \frac{1}{2} |C_0| \left[ 1 - |C_0| \langle \Pi_0 \rangle_{|\mathbf{k}|=|\mathbf{k}'|=k_F} \right] \phi$$

- Same renormalization works (Furnstahl/Hammer)  
 $\Rightarrow$  energy interpretation? finite system?

# Outline

Overview: Microscopic DFT

Effective Actions and DFT

Issues and Ideas and Open Problems

## **Summary**

# Summary

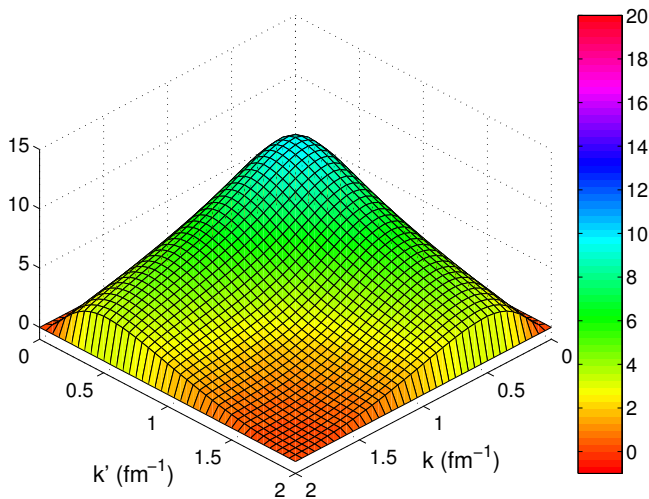
- Plan: Chiral EFT  $\longrightarrow$  low momentum  $V_{NN}$ ,  $V_{NNN}$ ,  $\dots$   
 $\longrightarrow$  DFT for nuclei
- Effective action formalism provides framework
- Many issues to resolve (my list for today)
  - gradient expansions (DME++,  $\dots$ ), long-range effects
  - isospin dependence, many-body contributions, low-density limit
  - symmetry breaking and restoration
  - higher-order pairing
  - how to fine-tune?
  - systematic covariant DFT
  - $\vdots$



# The Deuteron at Different Resolutions

[back](#)

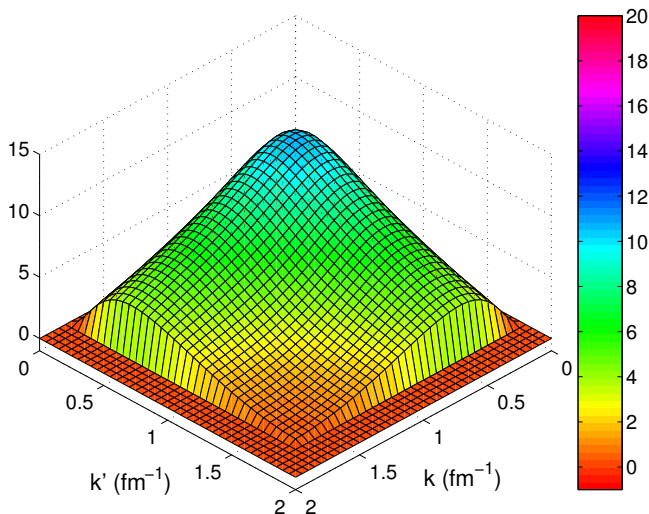
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 2.0 \text{ fm}^{-1}$



# The Deuteron at Different Resolutions

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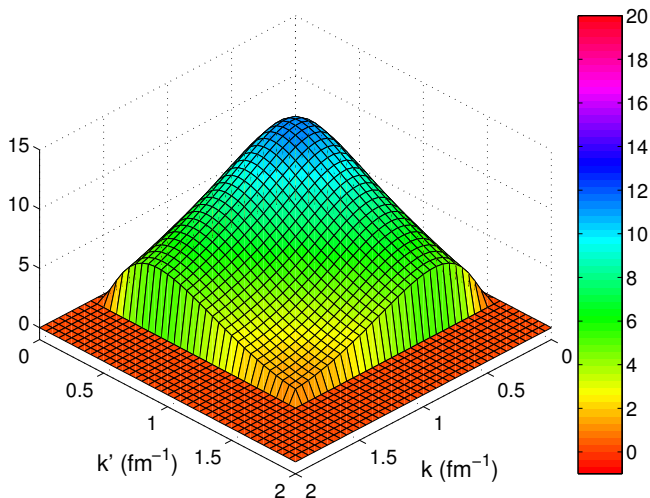
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 1.8 \text{ fm}^{-1}$



# The Deuteron at Different Resolutions

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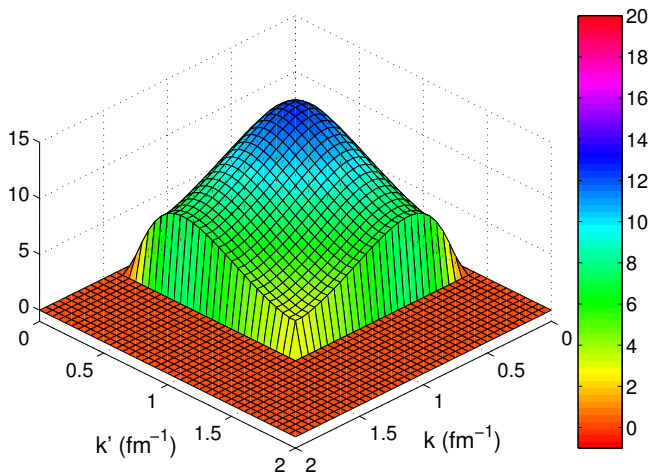
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 1.6 \text{ fm}^{-1}$



# The Deuteron at Different Resolutions

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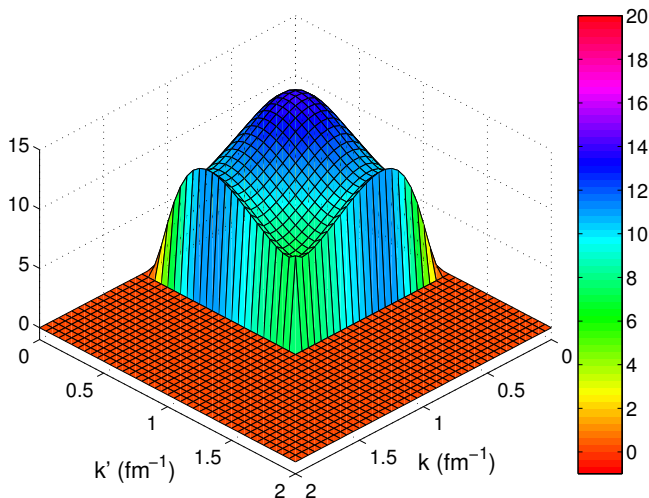
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 1.4 \text{ fm}^{-1}$



# The Deuteron at Different Resolutions

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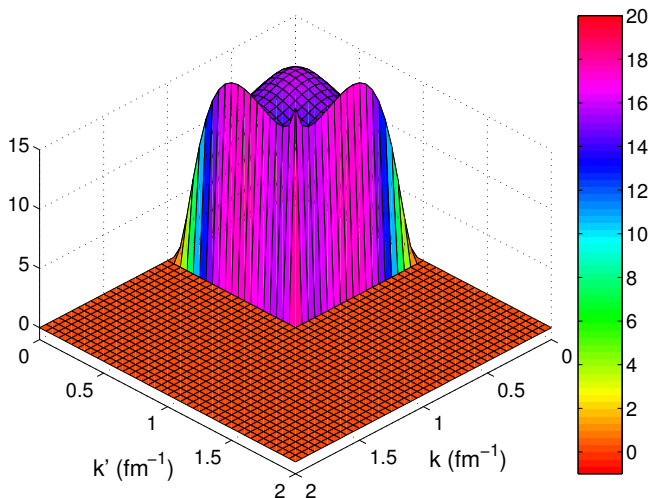
Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 1.2 \text{ fm}^{-1}$



# The Deuteron at Different Resolutions

[back](#)

Integrand of  $-\langle \psi_d | V_\Lambda | \psi_d \rangle$  for  $\Lambda = 1.0 \text{ fm}^{-1}$

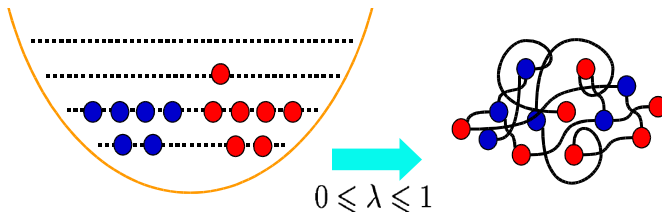


# Effective Action as Energy Functional: Minkowski

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- See, e.g., Weinberg, Vol. II

# Polonyi-Schwenk RG Approach to DFT

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Non-interacting fermions in background **mean-field potential**  $V$  at  $\lambda = 0$

Gradually switch off background potential and turn on the **microscopic interaction**  $U$  as  $\lambda \rightarrow 1$

$$S_{\lambda,1}[\psi^\dagger, \psi] = \int d\mathbf{x} \psi_\alpha^\dagger(\mathbf{x}) \left( \frac{\partial}{\partial t} - \frac{\nabla_{\mathbf{x}}^2}{2M} + (1 - \lambda) V_{\lambda;\alpha}(\mathbf{x}) \right) \psi_\alpha(\mathbf{x})$$

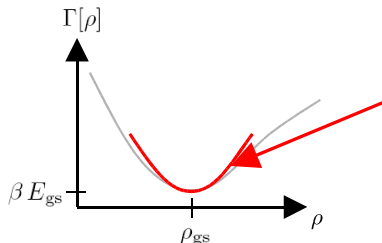
$$S_{\lambda,2}[\psi^\dagger, \psi] = \frac{\lambda}{2} \iint (\psi^\dagger \psi) \cdot \mathbf{U} \cdot (\psi^\dagger \psi)$$

# Density Functional = Effective Action for Density

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- Effective action  $\Gamma[\rho] = -W[J] + J \cdot \rho$  is minimal at the physical (zero source) ground state density:

$$\left. \frac{\delta \Gamma[\rho]}{\delta \rho} \right|_{\rho_{\text{gs}}} = 0 \quad \Rightarrow \quad E_{\text{gs}} = E[\rho_{\text{gs}}] = \lim_{\beta \rightarrow \infty} \frac{1}{\beta} \Gamma[\rho_{\text{gs}}]$$



Curvature will include correlations

$$\left( \left. \frac{\delta^2 \Gamma[\rho]}{\delta \rho \delta \rho} \right|_{\rho_{\text{gs}}} \right)^{-1} = \left. \frac{\delta^2 W[J]}{\delta J \delta J} \right|_{J=0}$$

$$= \text{diagram with two vertices } X \text{ and } Y \text{ connected by two curved arrows} + \text{interactions}$$

# Evolution of Effective Action with Parameter $\lambda$

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$\Delta$  background

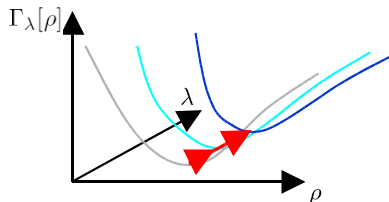
Hartree

exchange-correlations

$$\partial_\lambda \Gamma_\lambda[\rho] = \partial_\lambda [(1 - \lambda) V_\lambda] \cdot \rho + \frac{1}{2} \rho \cdot U \cdot \rho + \frac{1}{2} \text{Tr} \left[ U \cdot \left( \frac{\delta^2 \Gamma_\lambda[\rho]}{\delta \rho \delta \rho} \right)^{-1} \right]$$

Expand density functional about evolving **ground-state density**

$$\Gamma_\lambda[\rho] = \Gamma[\rho_{\text{gs},\lambda}]^{(0)} + \sum_{n \geq 2} \int \cdots \int \frac{1}{n!} \Gamma[\rho_{\text{gs},\lambda}]^{(n)} \cdot (\rho - \rho_{\text{gs},\lambda})_1 \cdots (\rho - \rho_{\text{gs},\lambda})_n$$



Evolution equations for expansion coefficients build up correlations through dressed ph propagator

# Auxiliary Fields [Faussurier]

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- Introduce scalar field  $\varphi$  coupled to  $\psi^\dagger \psi$
- Construct  $\tilde{S}[\psi^\dagger, \psi, \varphi]$  such that  $\psi, \psi^\dagger$  is only in  $\psi^\dagger[G^{-1}(\varphi)]\psi$  and

$$\int \mathcal{D}\varphi e^{i\tilde{S}[\psi^\dagger, \psi, \varphi]} \Longrightarrow e^{iS[\psi^\dagger, \psi]}$$

- Integrate out  $\psi^\dagger \psi \Longrightarrow$  determinant  $\Longrightarrow \text{Tr} \ln[G^{-1}(\varphi)] + \dots$
- Keep only leading saddle point  $\phi_0(\mathbf{x}) \Longrightarrow$  Hartree
  - fluctuation corrections generate loop expansion
  - freedom to choose mean field [Kerman et al. (1983)]  
cf.,  $H = (T + U) + (V - U)$  for arbitrary  $U$
- Kohn-Sham: choose special saddle-point evaluation
  - reference local potential  $\phi_{xc}$  such that  $-\text{Tr} G_{xc}(\mathbf{x}, \mathbf{x}^+) = n(\mathbf{x})$
  - expand  $\text{Tr} \ln[G_{xc}^{-1} + \delta\phi]$  in  $\delta\phi = \phi - \phi_{xc}$   
 $\Longrightarrow \Gamma_{xc}[n]$  with  $\phi_{xc}(\mathbf{x}) = \delta\Gamma_{xc}[n]/\delta n(\mathbf{x})$
  - introduce orbitals  $\{\psi_\alpha, \epsilon_\alpha\}$  to diagonalize  $\text{Tr} \ln[G_{xc}^{-1}]$

# Atomization Energies of Hydrocarbon Molecules

