No-Core Shell Model

and Related Areas (NCSM*)



Lecture 1: Hamiltonian

Robert Roth



Overview

Lecture 1: Hamiltonian

Prelude • Nuclear Hamiltonian • Matrix Elements • Two-Body Problem • Correlations & Unitary Transformations

Lecture 2: Light Nuclei

Lecture 3: Beyond Light Nuclei

Normal Ordering • Coupled-Cluster Theory • In-Medium Similarity Renormalization Group

Hands-On: Do-It-Yourself NCSM

Prelude

Theoretical Context

oetter resolution / more fundamental

Quantum Chromodynamics





finite nuclei

few-nucleon systemsnuclear interaction

- hadron structure
- quarks & gluons
- deconfinement

QCD at low energies

improved understanding through lattice simulations & effective field theories





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quantum many-body methods

advances in ab initio treatment of the nuclear many-body problem



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experimental facilities

amazing perspectives for the exploration of nuclei far-off stability

The Problem

$\mathsf{H} | \Psi_n \rangle = E_n | \Psi_n \rangle$

Assumptions

- use nucleons as effective degrees of freedom
- use non-relativistic framework, relativistic corrections are absorbed in Hamiltonian
- use Hamiltonian formulation, i.e., conventional many-body quantum mechanics
- focus on bound states, though continuum aspects are very interesting

The Problem

$\mathsf{H} | \Psi_n \rangle = E_n | \Psi_n \rangle$

What is this many-body Hamiltonian?

nuclear forces, chiral effective field theory, three-body interactions, consistency, convergence,...

What about these many-body states?

many-body quantum mechanics, antisymmetry, second quantisation, many-body basis, truncations,...

How to solve this equation?

ab initio methods, correlations, similarity transformations, largescale diagonalization, coupledcluster theory,...

Many-Body Quantum Mechanics

... a very quick reminder

Single-Particle Basis

effective constituents are nucleons characterized by position, spin and isospin degrees of freedom

 $|\alpha\rangle = |\text{position}\rangle \otimes |\text{spin}\rangle \otimes |\text{isospin}\rangle$

typical basis choice for configuration-type bound-state methods

| $ position\rangle = nlm_l\rangle$ | spherical harmonic oscillator or other spherical single-particle potential |
|--|--|
| $ \operatorname{spin} angle = s = \frac{1}{2}, m_s angle$ | eigenstates of s^2 and s_z with $s=1/2$ |
| $ \operatorname{isospin} angle = t = rac{1}{2}, m_t angle$ | eigenstates of t^2 and t_3 with $t=1/2$ |

use spin-orbit coupling at the single-particle level

$$|n(l\frac{1}{2})jm;\frac{1}{2}m_t\rangle = \sum_{m_l,m_s} c \begin{pmatrix} I & 1/2 \mid j \\ m_l & m_s \mid m \end{pmatrix} |nlm_l\rangle \otimes |\frac{1}{2}m_s\rangle \otimes |\frac{1}{2}m_t\rangle$$

Identical Particles & Spin-Statistics Theorem

systems of identical particles: many-body states have to be eigenstates of the transposition operator for any particle pair with eigenvalues ±1

| $T_{ij} \Psi \rangle = + 1 \Psi \rangle$ | states symmetric under transposition of any pair of particle indices |
|--|--|
| $T_{ij} \ket{\Psi} = - 1 \ket{\Psi}$ | states antisymmetric under transposition of any pair of particles |

simple product states are not suitable for systems of identical particles

 $|\Phi\rangle = |\alpha_1\rangle \otimes |\alpha_2\rangle \otimes \cdots \otimes |\alpha_A\rangle$

spin-statistics theorem connects transposition symmetry to particle spin:

- bosons = integer spin = symmetric states
- fermions = half-integer spin = antisymmetric states

focus on fermions, i.e., antisymmetric states in the following

Slater Determinants

antisymmetric states can be constructed via the antisymmetrization operator



- technically it is a projection operator onto the antisymmetric A-body Hilbert space and has the same structure as a general determinant
- Slater determinants: antisymmetrized product states

$$|\alpha_{1}\alpha_{2}...\alpha_{A}\rangle = \sqrt{A!} \mathcal{A} (|\alpha_{1}\rangle \otimes |\alpha_{2}\rangle \otimes \cdots \otimes |\alpha_{A}\rangle)$$

= $\frac{1}{\sqrt{A!}} \sum_{\pi} \operatorname{sgn}(\pi) P_{\pi} (|\alpha_{1}\rangle \otimes |\alpha_{2}\rangle \otimes \cdots \otimes |\alpha_{A}\rangle)$

Pauli principle is a consequence of antisymmetry: you cannot antisymmetrize a product state that contains two identical single-particle states

Slater Determinants as Basis

- given a complete single-particle basis { |α⟩ } then the set of Slater determinants formed by all possible combinations of A different single-particle states is a complete basis of the antisymmetric A-body Hilbert space
- resolution of the identity operator

$$1 = \sum_{\alpha_1 < \alpha_2 < \dots < \alpha_A} |\alpha_1 \alpha_2 \dots \alpha_A\rangle \langle \alpha_1 \alpha_2 \dots \alpha_A| = \frac{1}{A!} \sum_{\alpha_1, \alpha_2, \dots, \alpha_A} |\alpha_1 \alpha_2 \dots \alpha_A\rangle \langle \alpha_1 \alpha_2 \dots \alpha_A|$$

careful with double counting: Slater determinants that differ only by the order of the single-particle states are identical up to a sign...

expansion of general antisymmetric state in Slater determinant basis

$$|\Psi\rangle = \sum_{\alpha_1 < \alpha_2 < \dots < \alpha_A} C_{\alpha_1 \alpha_2 \dots \alpha_A} |\alpha_1 \alpha_2 \dots \alpha_A\rangle = \sum_i C_i |\{\alpha_1 \alpha_2 \dots \alpha_A\}_i\rangle$$

Second Quantization: Basics

define Fock-space as direct sum of A-particle Hilbert spaces

 $\mathcal{F} = \mathcal{H}_0 \oplus \mathcal{H}_1 \oplus \mathcal{H}_2 \oplus \cdots \oplus \mathcal{H}_A \oplus \cdots$

vacuum state: the only state in the zero-particle Hilbert space

 $|0\rangle \in \mathcal{H}_0$ $\langle 0|0\rangle = 1$ $|0\rangle \neq 0$

• creation operators: add a particle in single-particle state $|\alpha\rangle$ to an A-body Slater determinant yielding an (A+1)-body Slater determinant

 $a^{\dagger}_{\alpha} |0\rangle = |\alpha\rangle$

$$\alpha_{\alpha}^{\dagger} | \alpha_{1} \alpha_{2} \dots \alpha_{A} \rangle = \begin{cases} |\alpha \alpha_{1} \alpha_{2} \dots \alpha_{A} \rangle & ; & \alpha \notin \{\alpha_{1} \alpha_{2} \dots \alpha_{A} \} \\ 0 & ; & \text{otherwise} \end{cases}$$

- resulting states are automatically normalized and antisymmetrized
- new single-particle state is added in the first slot, can be moved elsewhere through transpositions

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Second Quantization: Basics

 annihilation operators: remove a particle with single-particle state |α) from an A-body Slater determinant yielding an (A-1)-body Slater determinant

 $\alpha_{\alpha} |0\rangle = 0$

$$\alpha_{\alpha} | \alpha_{1} \alpha_{2} \dots \alpha_{A} \rangle = \begin{cases} (-1)^{i-1} | \alpha_{1} \alpha_{2} \dots \alpha_{i-1} \alpha_{i+1} \dots \alpha_{A} \rangle &; \quad \alpha = \alpha_{i} \\ 0 &; \quad \text{otherwise} \end{cases}$$

- annihilation operator acts on first slot, need transpositions to get correct singleparticle state there
- based on these definitions one can easily show that creation and annihilations operators satisfy anticommutation relations

$$\{\alpha_{\alpha}, \alpha_{\alpha'}\} = 0 \qquad \qquad \{\alpha_{\alpha}^{\dagger}, \alpha_{\alpha'}^{\dagger}\} = 0 \qquad \qquad \{\alpha_{\alpha}, \alpha_{\alpha'}^{\dagger}\} = \delta_{\alpha\alpha'}$$

complication of handling permutations in "first quantization" are translated to the commutation behaviour of strings of operators

Second Quantization: States

Slater determinants can be written as string of creation operators acting on vacuum state

$$|\alpha_1 \alpha_2 \dots \alpha_A\rangle = \alpha_{\alpha_1}^{\dagger} \alpha_{\alpha_2}^{\dagger} \cdots \alpha_{\alpha_A}^{\dagger} |0\rangle$$

alternatively one can define an A-body reference Slater determinant

$$|\Phi\rangle = |\alpha_1 \alpha_2 \dots \alpha_A\rangle = \alpha_{\alpha_1}^{\dagger} \alpha_{\alpha_2}^{\dagger} \cdots \alpha_{\alpha_A}^{\dagger} |0\rangle$$

and construct arbitrary Slater determinants through **particle-hole excitations** on top of the reference state

$$\begin{split} |\Phi_{a}^{p}\rangle &= \alpha_{\alpha_{p}}^{\dagger} \alpha_{\alpha_{a}} |\Phi\rangle \\ |\Phi_{ab}^{pq}\rangle &= \alpha_{\alpha_{p}}^{\dagger} \alpha_{\alpha_{q}}^{\dagger} \alpha_{\alpha_{b}} \alpha_{\alpha_{a}} |\Phi\rangle \\ &\vdots \end{split}$$

index convention:

a,*b*,*c*,... : hole states, occupied in reference state *p*,*q*,*r*,... : particle state, unoccupied in reference states

Second Quantization: Operators

operators can be expressed in terms of creation and annihilation operators as well, e.g., for one-body kinetic energy and two-body interactions:

`first quantization'

second quantization

 $T = \sum_{i=1}^{A} t_{i} \qquad T = \sum_{\alpha \alpha'} \langle \alpha | t | \alpha' \rangle a_{\alpha}^{\dagger} a_{\alpha'}$

$$V = \sum_{i < j=1}^{A} v_{ij} \qquad \qquad V = \frac{1}{4} \sum_{\alpha_1 \alpha_2 \alpha'_1 \alpha'_2} \langle \alpha_1 \alpha_2 | v | \alpha'_1 \alpha'_2 \rangle \alpha^{\dagger}_{\alpha_1} \alpha^{\dagger}_{\alpha_2} \alpha_{\alpha'_1} \alpha_{\alpha'_2} \rangle$$

- set of one or two-body matrix elements fully defines the one or two-body operator in Fock space
- second quantization is extremely convenient to compute matrix elements of operators with Slater determinants

Nuclear Hamiltonian

Nuclear Hamiltonian

general form of many-body Hamiltonian can be split into a center-of-mass and an intrinsic part

$$H = T + V_{NN} + V_{3N} + \dots = T_{cm} + T_{int} + V_{NN} + V_{3N} + \dots$$
$$= T_{cm} + H_{int}$$

Intrinsic Hamiltonian is invariant under translation, rotation, Galilei boost, parity, time evolution, time reversal,...

$$H_{int} = T_{int} + V_{NN} + V_{3N} + \cdots$$

= $\sum_{i < j}^{A} \frac{1}{2mA} (\vec{p}_i - \vec{p}_j)^2 + \sum_{i < j}^{A} V_{NN,ij} + \sum_{i < j < k}^{A} V_{3N,ijk} + \cdots$

these symmetries constrain the possible operator structures that can appear in the interaction terms...

... but how can we really **determine the nuclear interaction**?



~ 1.6fm

 $\rho_0^{-1/3} = 1.8 \text{fm}$

nuclear interaction is not fundamental

- residual force analogous to van der Waals interaction between neutral atoms
- **based on QCD** and induced via polarization of quark and gluon distributions of nucleons
- encapsulates all the complications of the QCD dynamics and the structure of nucleons
- acts only if the nucleons overlap, i.e. at short ranges
- irreducible three-nucleon interactions are important

Yesterday... from Phenomenology

Wiringa, Machleidt,...

- until 2005: high-precision phenomenological NN interactions were stateof-the-art in ab initio nuclear structure theory
 - Argonne V18: long-range one-pion exchange plus phenomenological parametrization of medium- and short-range terms, local operator form
 - CD Bonn 2000: more systematic one meson-exchange parametrization including pseudo-scalar, scalar and vector mesons, inherently nonlocal
- parameters of the NN potential (~40) fit to NN phase shifts up to ~300 MeV and reproduce them with high accuracy
- supplemented by phenomenological 3N interactions consisting of a Fujita-Miyazawa-type term plus various handpicked contributions

■ fit to ground states and spectra of light nuclei, sometimes up to A≤8



Argonne V18 Potential

Wiringa, et al., PRC 51, 38 (1995)





- first attempts towards construction of nuclear interactions directly from lattice QCD simulations
- compute relative two-nucleon wave function on the lattice
- Invert Schrödinger equation to extract effective two-nucleon potential
- only schematic results so far (unphysical masses and mass dependence, model dependence,...)
- alternatives: phase-shifts or lowenergy constants from lattice QCD

Today... from Chiral EFT

Weinberg, van Kolck, Machleidt, Entem, Meißner, Epelbaum, Krebs, Bernard,...

- low-energy effective field theory for relevant degrees of freedom (π,N) based on symmetries of QCD
- explicit long-range pion dynamics
- unresolved short-range physics absorbed in contact terms, low-energy constants fit to experiment
- systematic expansion in a small parameter with power counting enable controlled improvements and error quantification
- hierarchy of consistent NN, 3N, 4N,... interactions
- consistent electromagnetic and weak operators can be constructed in the same framework



Momentum-Space Matrix Elements

$\langle q(LS)JM;TM_T|v_{NN}|q'(L'S)JM;TM_T\rangle$

Argonne V18



chiral NN



Matrix Elements

Partial-Wave Matrix Elements

- relative partial-wave matrix elements of NN and 3N interaction are universal input for many-body calculations
- selection of relevant partial-wave bases in two and three-body space with all M quantum numbers suppressed:

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two-body relative momentum:|q(LS)JT\rangleIntwo-body relative HO:|N(LS)JT\rangle|\pi_1\pi_2;[(L_1S_1)J_1,(L_2\frac{1}{2})J_2]J_{12};(T_1\frac{1}{2})T_{12}\ranglethree-body Jacobi momentum:|\pi_1\pi_2;[(L_1S_1)J_1,(L_2\frac{1}{2})J_2]J_{12};(T_1\frac{1}{2})T_{12}\ranglethree-body Jacobi HO:|N_1N_2;[(L_1S_1)J_1,(L_2\frac{1}{2})J_2]J_{12};(T_1\frac{1}{2})T_{12}\rangleantisym. three-body Jacobi HO:|E_{12}iJ_{12}^{\pi}T_{12}\rangle
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- Iots of transformations between the different bases are needed in practice
- exception: Quantum Monte Carlo methods working in coordinate representation need local operator form

Symmetries and Matrix Elements

relative partial-wave matrix elements make maximum use of the symmetries of the nuclear interaction

consider, e.g., the relative two-body matrix elements in HO basis

 $\langle N(LS) JM; TM_T | v_{NN} | N'(L'S') J'M'; T'M'_{\tau} \rangle$

- the matrix elements of the NN interaction
 - ... do not connect different J
 - ... do not connect different M and are independent of M
 - ... do not connect different parities
 - ... do not connect different S
 - ... do not connect different T
 - ... do not connect different M_T

 $\Rightarrow \langle N(LS)J;TM_T|v_{NN}|N'(L'S)J;TM_T\rangle$

relative matrix elements are efficient and simple to compute

Transformation to Single-Particle Basis

most many-body calculations need matrix elements with single-particle quantum numbers (cf. second quantization)

$$\langle \alpha_1 \alpha_2 | v_{NN} | \alpha'_1 \alpha'_2 \rangle = = \langle n_1 l_1 j_1 m_1 m_{t1}, n_2 l_2 j_2 m_2 m_{t2} | v_{NN} | n'_1 l'_1 j'_1 m'_1 m'_{t1}, n'_2 l'_2 j'_2 m'_2 m'_{t2} \rangle$$

• obtained from relative HO matrix elements via Moshinsky-transformation



Matrix Element Machinery

beneath any ab initio many-body method there is a machinery for computing, transforming and storing matrix elements of all operators entering the calculation

compute and store relative two-body HO matrix elements of NN interaction compute and store Jacobi three-body HO matrix elements of 3N interaction

perform unitary transformations of the two- and three-body relative matrix elements (e.g. Similarity Renormalization Group)

same for 4N with four-body matrix elements

transform to single-particle JT-coupled two-body HO matrix elements and store transform to single-particle JT-coupled three-body HO matrix elements and store

Two-Body Problem

Solving the Two-Body Problem

- simplest ab initio problem: the only two-nucleon bound state, the deuteron
- start from Hamiltonian in two-body space, change to center of mass and intrinsic coordinates

$$H = H_{cm} + H_{int} = T_{cm} + T_{int} + V_{NN}$$
$$= \frac{1}{2M} \vec{P}_{cm}^2 + \frac{1}{2\mu} \vec{q}^2 + V_{NN}$$

separate two-body state into center of mass and intrinsic part

$$|\psi\rangle = |\Phi_{cm}\rangle \otimes |\phi_{int}\rangle$$

solve eigenvalue problem for intrinsic part (effective one-body problem)

$$\mathsf{H}_{\mathsf{int}} \ket{\phi_{\mathsf{int}}} = E \ket{\phi_{\mathsf{int}}}$$

Solving the Two-Body Problem

expand eigenstates in a relative partial-wave HO basis

$$|\phi_{\text{int}}\rangle = \sum_{NLSJMTM_T} C_{NLSJMTM_T} |N(LS)JM;TM_T\rangle$$

$$|N(LS)JM;TM_{T}\rangle = \sum_{M_{L}M_{S}} c\left(\begin{smallmatrix} L & S \\ M_{L} & M_{S} \end{smallmatrix} \Big|_{M}^{J} \right) |NLM_{L}\rangle \otimes |SM_{S}\rangle \otimes |TM_{T}\rangle$$

symmetries simplify the problem dramatically:

- H_{int} does not connect/mix different J, M, S, T, M_T and parity π
- angular mom. coupling only allows J=L+1, L, L-1 for S=1 or J=L for S=0
- total antisymmetry requires *L*+*S*+*T*=odd
- for given Jⁿ at most two sets of angular-spin-isospin quantum numbers contribute to the expansion

Deuteron Problem

assume Jⁿ = 1⁺ for the deuteron ground state, then the basis expansion reduces to

$$|\phi_{\text{int}}, J^{\pi} = 1^{+}\rangle = \sum_{N} C_{N}^{(0)} |N(01) 1M; 00\rangle + \sum_{N} C_{N}^{(2)} |N(21) 1M; 00\rangle$$

inserting into Schrödinger equation and multiplying with basis bra leads to matrix eigenvalue problem



Deuteron Solution



- deuteron wave function show two characteristics that are signatures of correlations in the two-body system:
 - suppression at small distances due to short-range repulsion
 - L=2 admixture generated by tensor part of the NN interaction

Correlations & Unitary Transformations

Correlations

correlations: everything beyond the independent particle picture

- many-body eigenstates of independent-particle models described by one-body Hamiltonians are Slater determinants
- thus, a single Slater determinant does not describe correlations
- but Slater determinants are a basis of the antisym. A-body Hilbert space, so any state can be expanded in Slater determinants
- to describe short-range correlations, a superposition of many Slater determinants is necessary

Why Unitary Transformations ?

realistic nuclear interactions generate strong short-range correlations in many-body states

Unitary Transformations

- adapt Hamiltonian to truncated lowenergy model space
- improve convergence of many-body calculations
- preserve the physics of the initial Hamiltonian and all observables

many-body methods rely on truncated Hilbert spaces not capable of describing these correlations

Unitary Transformations

- unitary transformations conserve the spectrum of the Hamiltonian, with a unitary operator U we get
 - $\begin{array}{l} \mathsf{H} |\psi\rangle = E \, |\psi\rangle & 1 = \mathsf{U}^{\dagger} \mathsf{U} = \mathsf{U}\mathsf{U}^{\dagger} \\ \mathsf{U}^{\dagger} \mathsf{H} \mathsf{U} \, \mathsf{U}^{\dagger} \, |\psi\rangle = E \, \mathsf{U}^{\dagger} \, |\psi\rangle & \text{with} & \tilde{\mathsf{H}} = \mathsf{U}^{\dagger} \mathsf{H} \mathsf{U} \\ \tilde{\mathsf{H}} \, |\tilde{\psi}\rangle = E \, |\tilde{\psi}\rangle & |\tilde{\psi}\rangle = \mathsf{U}^{\dagger} \, |\psi\rangle & |\tilde{\psi}\rangle = \mathsf{U}^{\dagger} \, |\psi\rangle \end{array}$
- for other observables defined via matrix elements of an operator A with the eigenstates we obtain

$$\langle \psi | A | \psi' \rangle = \langle \psi | U U^{\dagger} A U U^{\dagger} | \psi' \rangle = \langle \tilde{\psi} | \tilde{A} | \tilde{\psi}' \rangle$$

unitary transformations conserve all observables as long as the Hamiltonian and all other operators are transformed consistently

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Similarity Renormalization Group • Many-Body Problem • Configuration Interaction • No-Core Shell Model • Hypernuclei

Lecture 3: Beyond Light Nuclei

Normal Ordering • Coupled-Cluster Theory • In-Medium Similarity Renormalization Group

Hands-On: Do-It-Yourself NCSM

Three-Body Problem

• Numerical SRG Evolution

• NCSM Eigenvalue Problem

Lanczos Algorithm