

Many-Body Perturbation Theory:

(1) The GW Approximation

Michael Rohlfing

Fachbereich Physik
Universität Osnabrück

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- Motivation
- Excited states: electrons, holes
- Equation of motion
- Approximations and tricks
- Examples

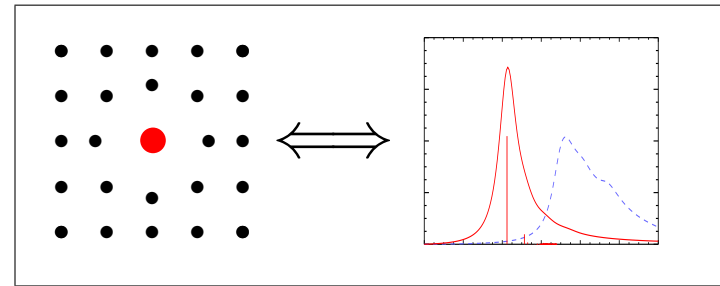
Relevance of excited electronic states

- Spectroscopy:

- Electrons: Photoemission / Inverse PE / Tunneling spectroscopy
- Light / Electron-hole pairs: Absorption / Emission / Reflectivity

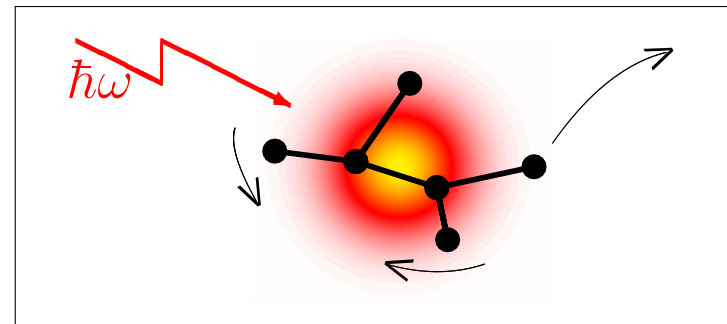
- Characterisation of systems:

- Geometric Structure
- Defects / interfaces / ...
- Macroscopic signature of microscopic details



- Short-time dynamics:

- Electrons (femtoseconds)
- Atomic structure (picoseconds)



- Technological relevance / Materials science:

- Optoelectronics / Molecular electronics / Photovoltaics
- Manipulation of bonds / Photochemistry

Density-Functional Theory: from 1960's until today

1950's/60's: Energy of electronic systems (homogeneous electron gas, inhomogeneous systems), including many-body effects (exchange, correlation)

Hohenberg, Kohn, Sham and others 1960's: interrelation between wave function, potential, energy, **single-particle density** $\rho(\mathbf{r}) = \int |\Psi(\mathbf{r}, \mathbf{r}_2, \dots, \mathbf{r}_N)|^2 d^3r_2 \dots d^3r_N$,
"single-particle orbitals" $\psi_n(\mathbf{r})$ and **"single-particle energies"** ϵ_n
 \implies Intuitive understanding via effective single-particle quantum mechanics

Technical issues (1970's-today):

Pseudopotentials, basis sets, iterations, geometry optimization, molecular dynamics, ...

Approximation of Exchange+Correlation (1970's-today):

Local-density approximation (LDA), Generalized gradient approximation (GGA),

"Hybrid functionals" (including Hartree-Fock exchange) PBE0-BLYP-B3LYP-HSE-... , ...

Today: 50-100 codes + 100-1000 developers + 1000-10000 users

Total energy $E_{\text{tot}}[\mathbf{R}]$, Geometric structure, vibrations, chemical reactions, ...

Physics + Chemistry

SIESTA, VASP, ABINIT, CRYSTAL, GAUSSIAN, TURBOMOLE, ...

Interpretation of ϵ_n as "single-particle energies" without formal justification

DFT = "ground-state method": not suited for electronic excitation processes

Density-Functional Theory (DFT)

[Hohenberg, Kohn, Sham (1964)]

- Atomic positions $\{\mathbf{R}\}$, Electron density $\rho(\mathbf{r})$

- $E_{\text{tot}}[\mathbf{R},\rho] = E_{\text{kin}}[\rho] + E_{\text{Coul}}[\rho] + E_{\text{xc}}[\rho] + E_{\text{ext,e}}[\mathbf{R},\rho] + E_{\text{nucl,nucl}}$

E_{kin} kinetic energy of the electrons

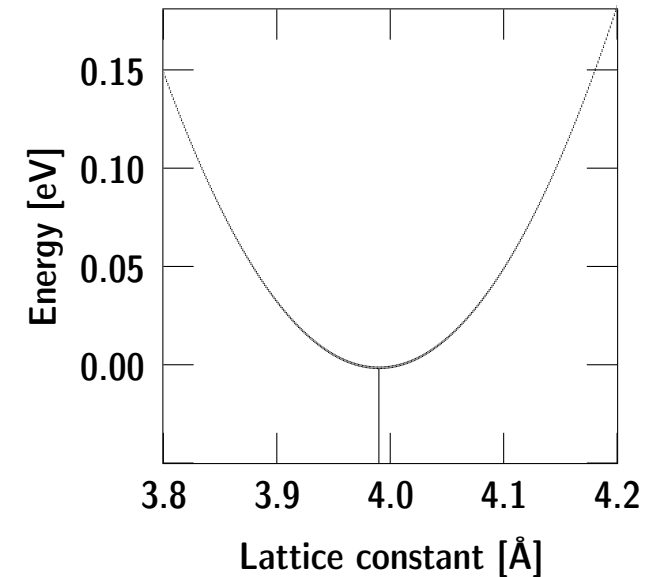
$E_{\text{Coul}}[\rho]$ classical Coulomb energy of the electrons

$E_{\text{xc}}[\rho]$ Exchange-correlation functional
(Local-density approx., gradient corrections)

$E_{\text{ext,e}}$ Nucl.-electron interaction (+ ext. fields)

$E_{\text{nucl,nucl}}$ Nucl-Nucl interaction

Aluminium: $E_{\text{tot}}(a_{\text{latt}})$



- Optimize $E_{\text{tot}}[\mathbf{R},\rho]$ w.r.t. $\rho(\mathbf{r}) = \sum |\psi_m^{\text{DFT}}(\mathbf{r})|^2$

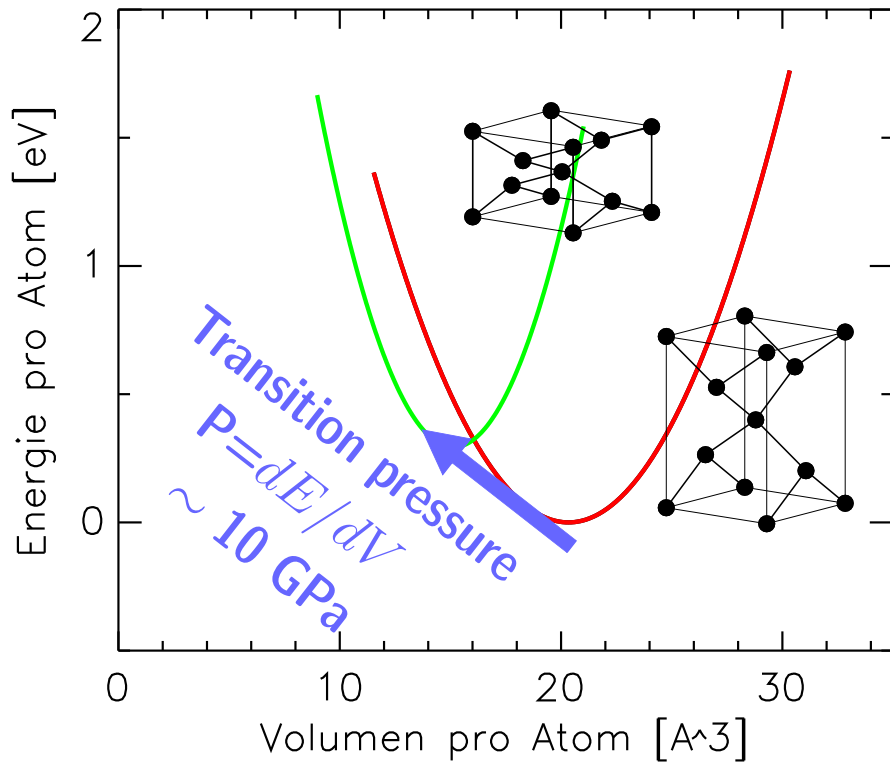
\implies Kohn-Sham equations:
$$\left(\frac{p^2}{2m} + V_{\text{Coul}}^{[\rho]}(\mathbf{r}) + V_{\text{xc}}^{[\rho]}(\mathbf{r}) + V_{\text{ext,e}}(\mathbf{r}) \right) \psi_m^{\text{DFT}}(\mathbf{r}) = \epsilon_m^{\text{DFT}} \psi_m^{\text{DFT}}(\mathbf{r})$$

\implies Total energy $E_{\text{tot}}[\mathbf{R}]$ and forces $\partial E_{\text{tot}}/\partial R_{i\alpha} \longleftrightarrow$ Geometry, bonds, phonons, ...

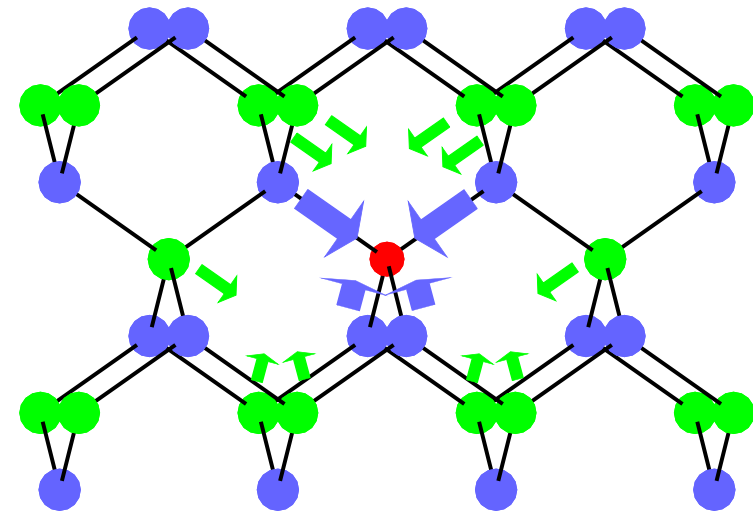
"Wave functions" $|\psi_m^{\text{DFT}}\rangle$, "Band-structure energies" ϵ_m^{DFT} (often not really reliable...)

DFT for bulk systems

Phase transition of silicon under pressure:
Diamond \rightarrow β -Sn



N in GaAs: Forces on atoms



● Ga ● As ● N

Ga (1.Nb.): 2.0 eV/Å

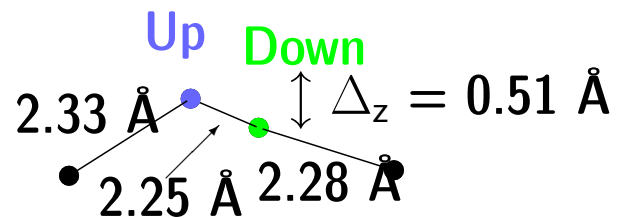
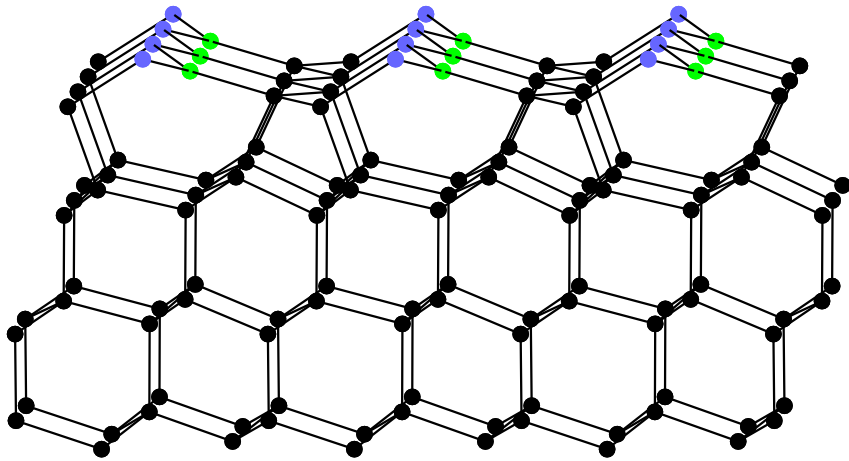
As (2.Nb.): 0.1 eV/Å

⇒ Relaxations at defect

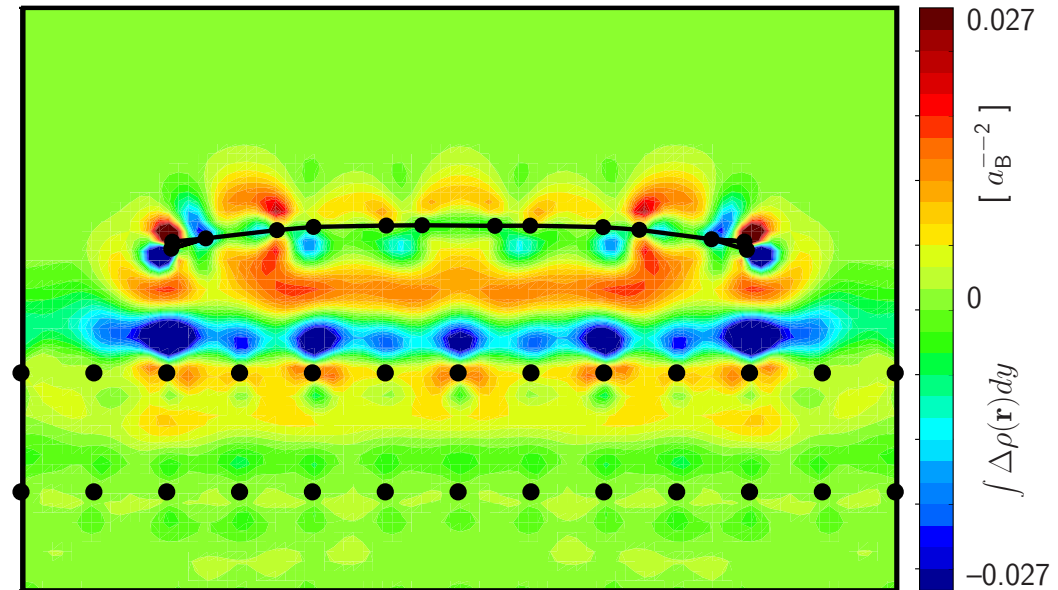
Surfaces geometries from DFT

Si(111)-(2×1) surface: π -bonded chains

K.C. Pandey, Phys. Rev. Lett. 49, 223 (1982)



Adsorbed molecules: PTCDA on Ag(111)



Change of charge density during adsorption:

Red: charge accumulation

Blue: charge depletion

Many-Body Perturbation Theory: from 1960's until today

Key Idea of Many-Body Perturbation Theory:

- $H^{(0)}$ (including simplified el.-el. interac.) $\implies G_1^{(0)}(E) = (E - H^{(0)})^{-1}$ (exact)
- plus rest of electron-electron interaction (= "perturbation"):
 $\implies G_1(E) = G_1^{(0)}(E) + G_1^{(0)}(E) \Sigma(E) G_1(E)$
 $\Sigma(E) = \text{Self-energy operator}$ (=single-particle signature of remaining interaction)

1950's/60's: Spectra of electronic systems (homogeneous electron gas)

[Hedin and others, 1960's]

"Forgotten" (success of DFT; computational effort), "recovered" due to DFT band-gap problem.

Band structure of bulk semiconductors (1980's): Hybertsen, Louie, Godby, Schlüter, Sham, ...

Surfaces, nanostructures (1980's/90's)

Optical spectra (1990's/2000's): Onida, Reining, Benedict, Shirley, Rohlfing, Louie, ...

Technical issues (1980's-today):

Basis sets, frequency integration, eigenvalue decomposition, self consistency, ...

Today: 10-20 codes + 30-50 developers + 50-100 users

Band structures + optical excitations

Crystals, surfaces, molecules, polymers, ...

States of a many-electron system

N Electrons

$|N, 0\rangle$

1. Ground state $|N, 0\rangle$:

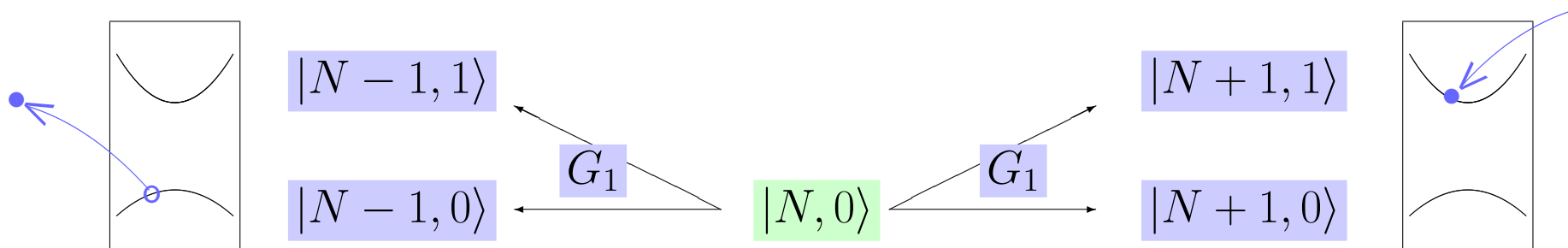
Density-functional theory \implies Geometry

States of a many-electron system

$N - 1$ Electrons

N Electrons

$N + 1$ Electrons



$G_1 =$ Single-particle Green function

1. Ground state $|N, 0\rangle$:

Density-functional theory \implies Geometry

Many-body perturbation theory:

2. $|N, 0\rangle \rightarrow |N \pm 1, m\rangle$:

$$G_1(\mathbf{x}t, \mathbf{x}'t') = -i \langle N, 0 | T (\psi(\mathbf{x}, t) \psi^\dagger(\mathbf{x}', t')) | N, 0 \rangle$$

(Propagation of electron or hole between (\mathbf{x}, t) and (\mathbf{x}', t'))

Hedin's equations

[L. Hedin, Phys. Rev. 139, A796 (1965), L. Hedin and S. Lundqvist, Sol.St.Phys. 23, 1 (1969).]

- EOM of G_1 : $\left\{ i \frac{\partial}{\partial t} + \nabla^2 - V_{\text{ext}}(\mathbf{r}) - V_{\text{Coul}}(\mathbf{r}) \right\} G_1(\mathbf{x}t, \mathbf{x}'t') + i \int \frac{e^2}{|\mathbf{r} - \mathbf{r}''|} G_2(\mathbf{x}''t, \mathbf{x}''t, \mathbf{x}t, \mathbf{x}'t') d\mathbf{x}'' = \delta(\mathbf{x}, \mathbf{x}') \delta(t, t')$

- Decoupling by self-energy operator Σ :

$$\{ \partial_t + \nabla^2 - V_{\text{ext+Coul}}(\mathbf{r}) \} G_1(12) - \int \Sigma(13) G_1(32) d(3) = \delta(12)$$

$$\Sigma(12) = i \int W(1^+3) G_1(14) \Gamma(42; 3) d(34)$$

$$W(12) = \int \epsilon^{-1}(13) v(32) d(3)$$

$$\epsilon(12) = \delta(12) + \int v(13) \chi_0(32) d(3)$$

$$\chi_0(12) = -i \int G_1(23) G_1(42) \Gamma(34; 1) d(34)$$

$$\Gamma(12; 3) = \delta(12) \delta(13) + \int \frac{\delta \Sigma(12)}{\delta G_1(45)} G_1(46) G_1(75) \Gamma(67; 3) d(4567)$$

Σ = Self energy

W = Screened Coulomb interaction

ϵ = Dielectric function

χ_0 = Polarizability

G_1 = Single-particle Green function

Γ = Vertex function

(1) = $(\mathbf{r}_1, \sigma_1, t_1)$ Position/Spin/Time

"GW approximation":

$$\Gamma(12; 3) = \delta(12) \delta(13)$$

\Rightarrow

$$\{ \partial_t + \nabla^2 - V_{\text{ext+Coul}}(\mathbf{r}) \} G_1(12) - \int \Sigma(13) G_1(32) d(3) = \delta(12)$$

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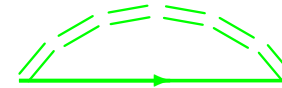
$$\chi_0(12) = -i G_1(21) G_1(12)$$

Physical significance of Σ :

- in **vacuum**: $\chi_0=0, \epsilon=1, \epsilon^{-1}=1, W=v$
 $\implies \Sigma = iG_1v$ Exchange (Fock) operator / Hartree-Fock theory

- in **matter**: Dielectric polarizability $\chi_0 \implies "W < v"$ (weaker)

- $\implies \Sigma = iG_1W$ "Screened Exchange"



- Nomenclature:

$$\Sigma = iG_1v + iG_1(W - v) = \text{"Exchange"} + \text{"Correlation"}$$

$$\Gamma(12; 3) = \delta(12)\delta(13) + \int \frac{\delta\Sigma(12)}{\delta G_1(45)} G_1(46) G_1(65) \Gamma(67; 3) d(4567)$$

Γ = vertex function
 $(1) = (\mathbf{r}_1, \sigma_1, t_1)$ Position/Spin/Time

"GW approximation":

$$\Gamma(12; 3) = \delta(12)\delta(13) \implies$$

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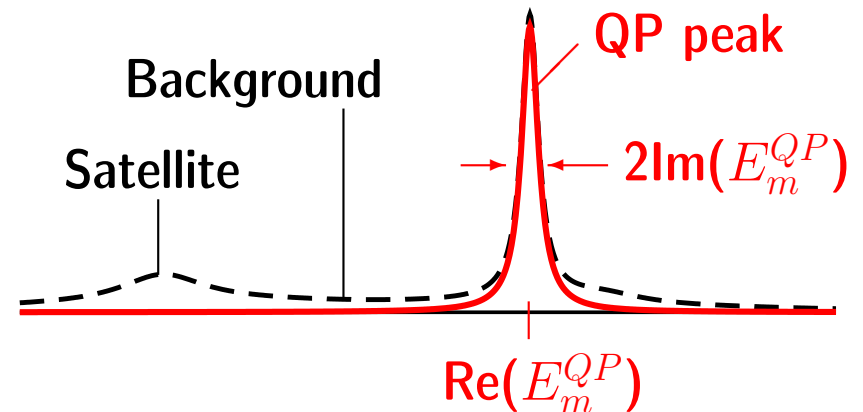
Some pragmatic issues

- Time homogeneity: $G_1(t, t') = G_1(t - t')$; Fourier transform to energy: $G_1(E)$, $\Sigma(E)$ etc.

- "Quasiparticle (QP) approximation":

Ignore background, satellites, etc. in $G_1(E)$

$$\implies G_1(\mathbf{x}, \mathbf{x}', E) = \sum_m \frac{\phi_m^{QP}(\mathbf{x})(\phi_m^{QP}(\mathbf{x}'))^*}{E - E_m^{QP} \pm i0^+}$$



$\text{Re}(E_m^{QP}) = \text{QP band-structure energy,}$

$\text{Im}(E_m^{QP}) = \text{spectral width, } 1/\text{Im}(E_m^{QP}) = \text{lifetime}$

- EOM: $\{ -\nabla^2 + V_{\text{ext}}(\mathbf{r}) + V_{\text{Coul}}(\mathbf{r}) \} \phi_m^{QP}(\mathbf{x}) + \int \Sigma(\mathbf{x}, \mathbf{x}', E_m^{QP}) \phi_m^{QP}(\mathbf{x}') d\mathbf{x}' = E_m^{QP} \phi_m^{QP}(\mathbf{x})$

- Self-consistency problem similar to DFT, Hartree-Fock, etc.

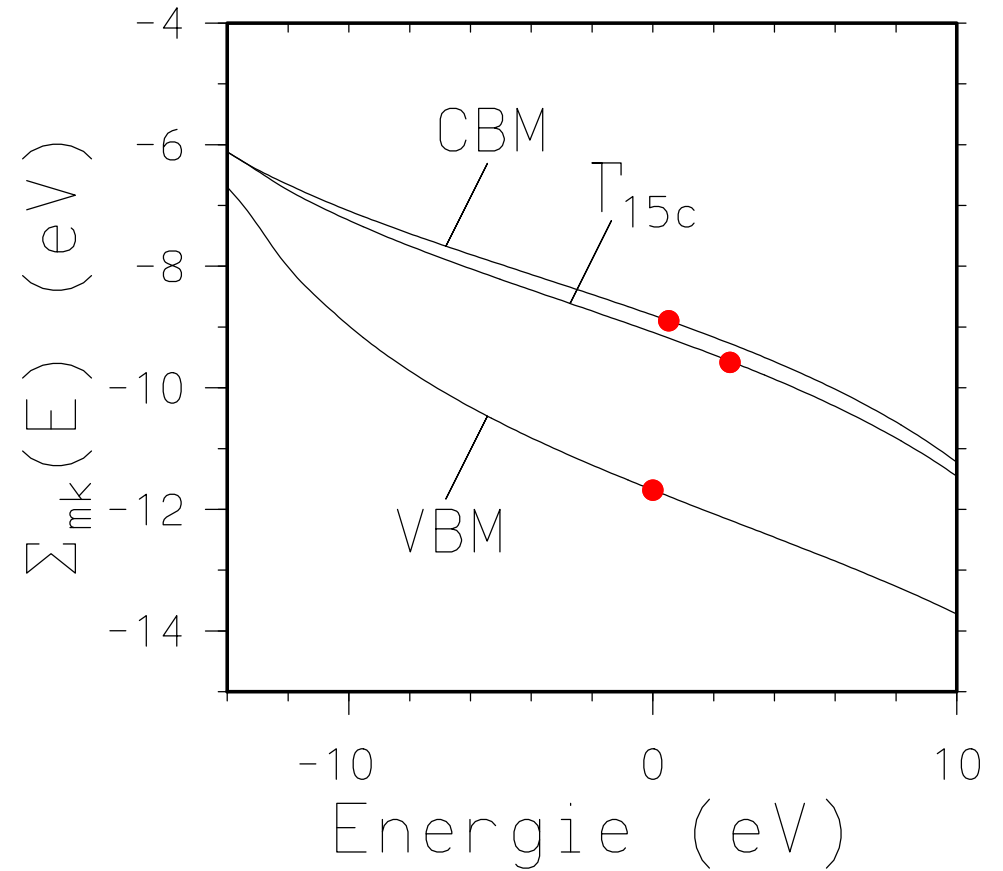
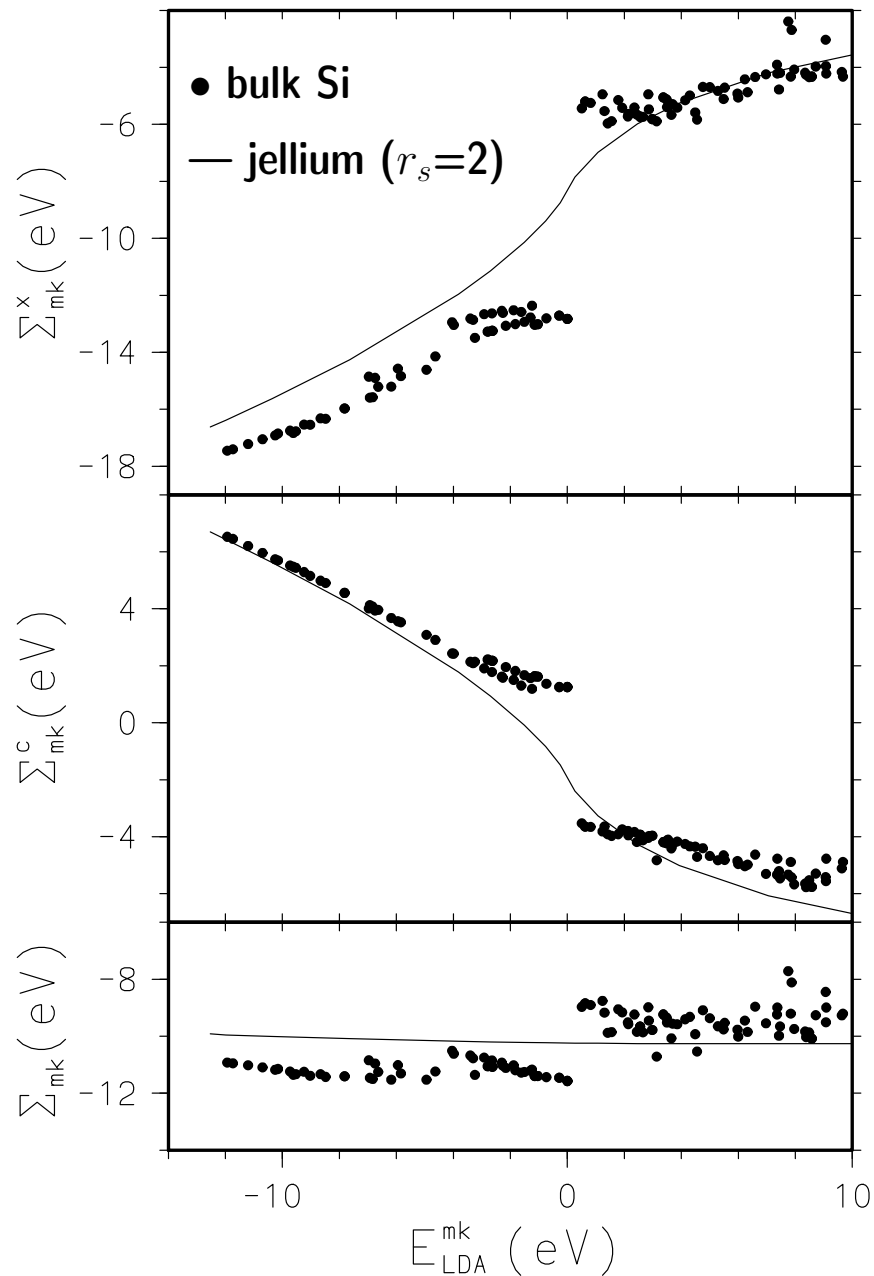
\implies either iterate, or use another method as starting point, e.g. DFT:

$$\phi_m^{DFT}(\mathbf{x}), E_m^{DFT} \implies G_1^{DFT} \implies \chi_0, \epsilon, W, \Sigma(E)$$

$$\implies \text{Perturbation } (\Sigma(E) - V_{xc}^{DFT}): \quad \{ \hat{H}^{DFT} + \underbrace{(\Sigma(E_m^{QP}) - V_{xc}^{DFT})}_{\text{QP correction to DFT}} \} |\phi_m^{QP}\rangle = E_m^{QP} |\phi_m^{QP}\rangle$$

"QP correction to DFT"

Self-energy data

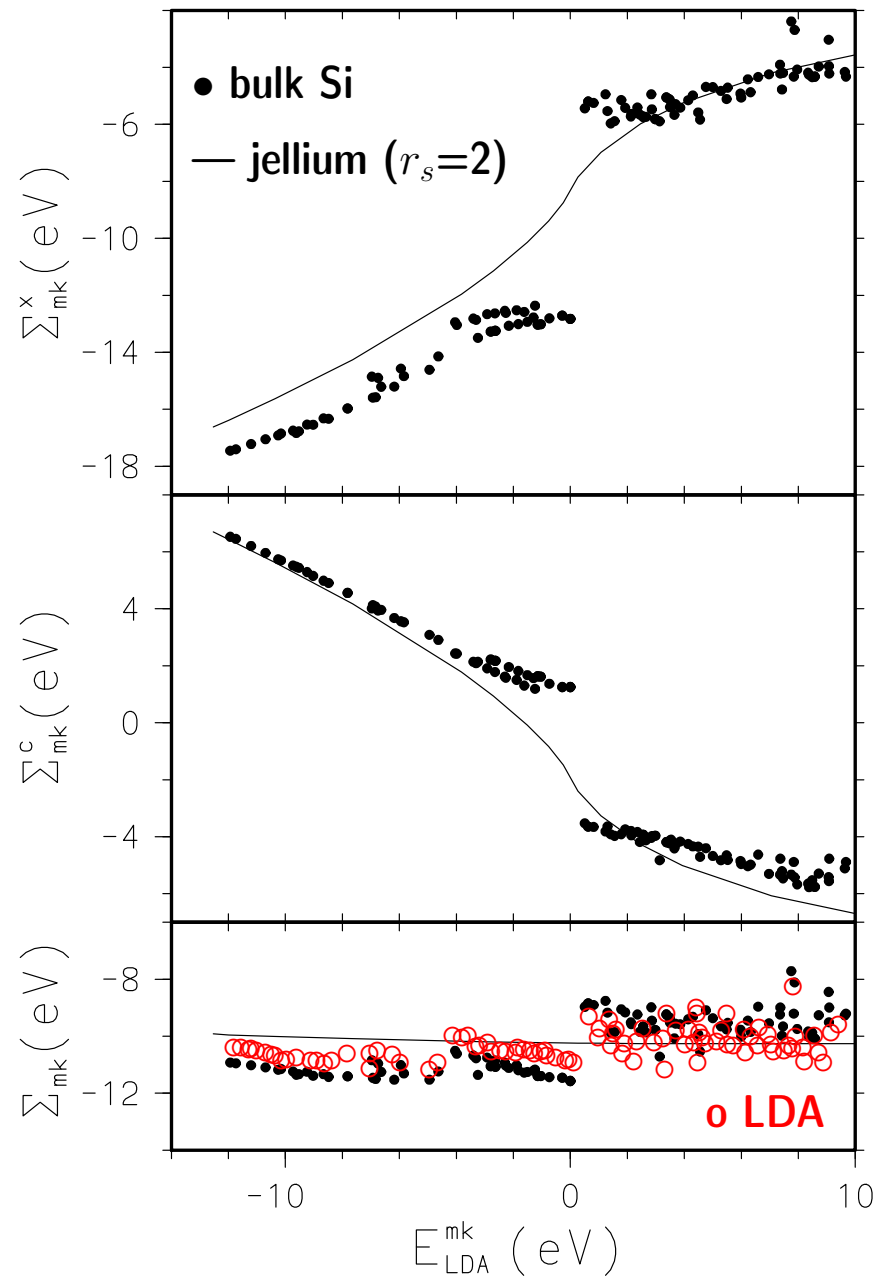


— $\Sigma(E)$

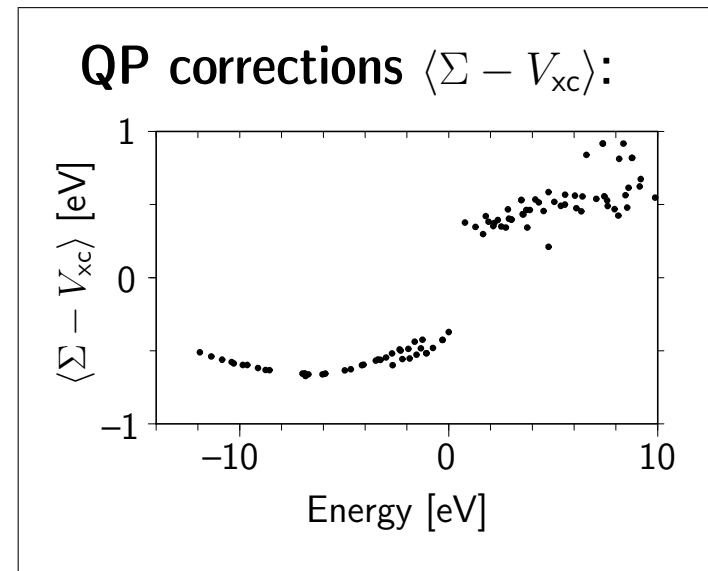
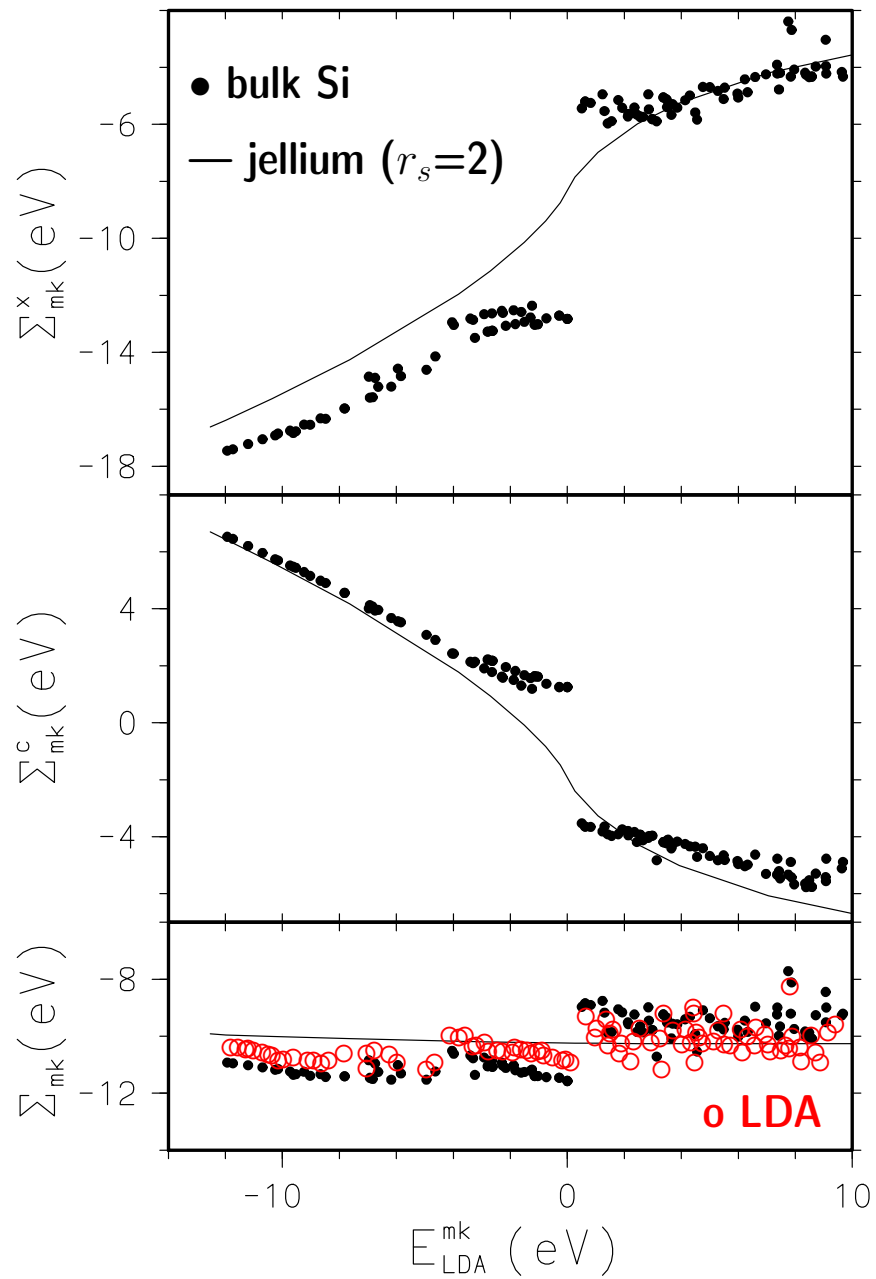
• Solution E_{mk} of

$$(H^{DFT} + \Sigma(E_{mk}) - V_{xc})|\phi_{m\mathbf{k}}\rangle = E_{mk}|\phi_{m\mathbf{k}}\rangle$$

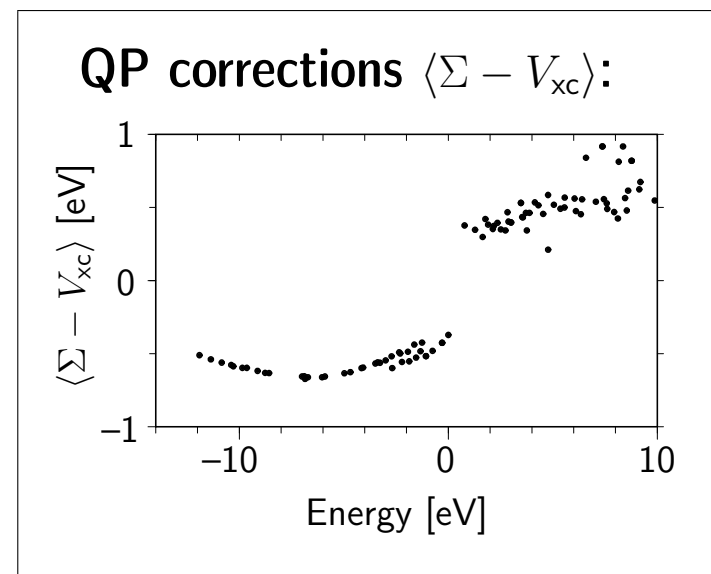
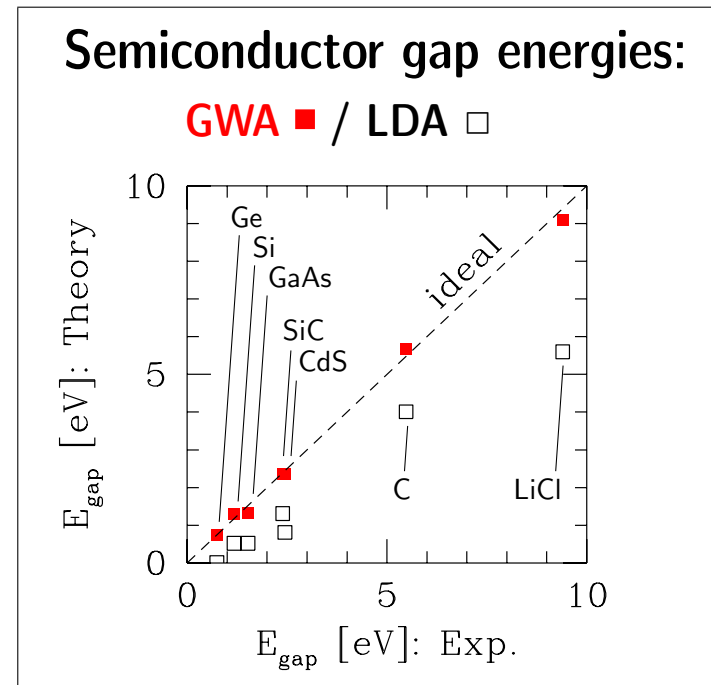
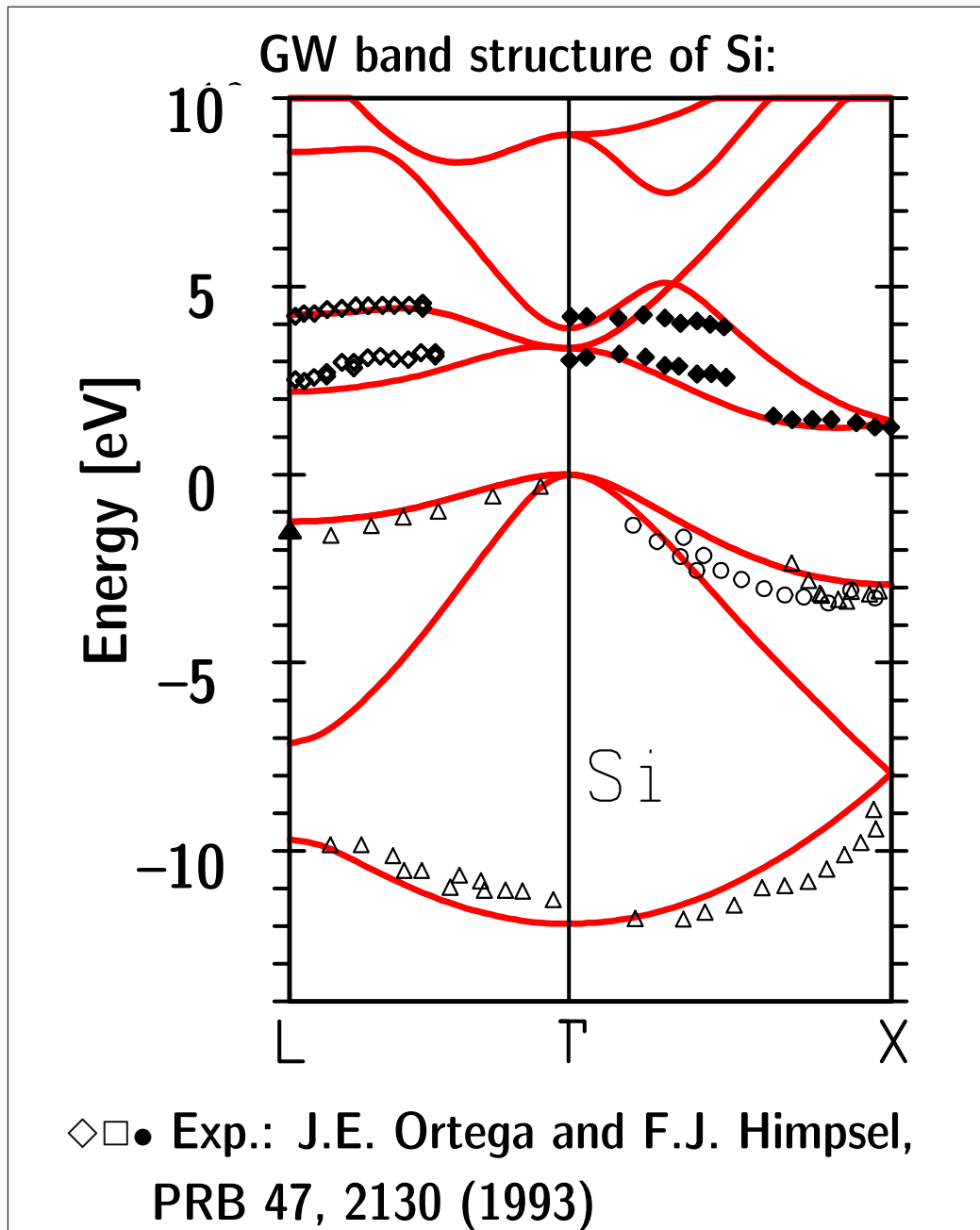
Self-energy data



Self-energy data



GW band structure: Bulk crystals



GW band structure: Molecules / Clusters

Ionisation energies:

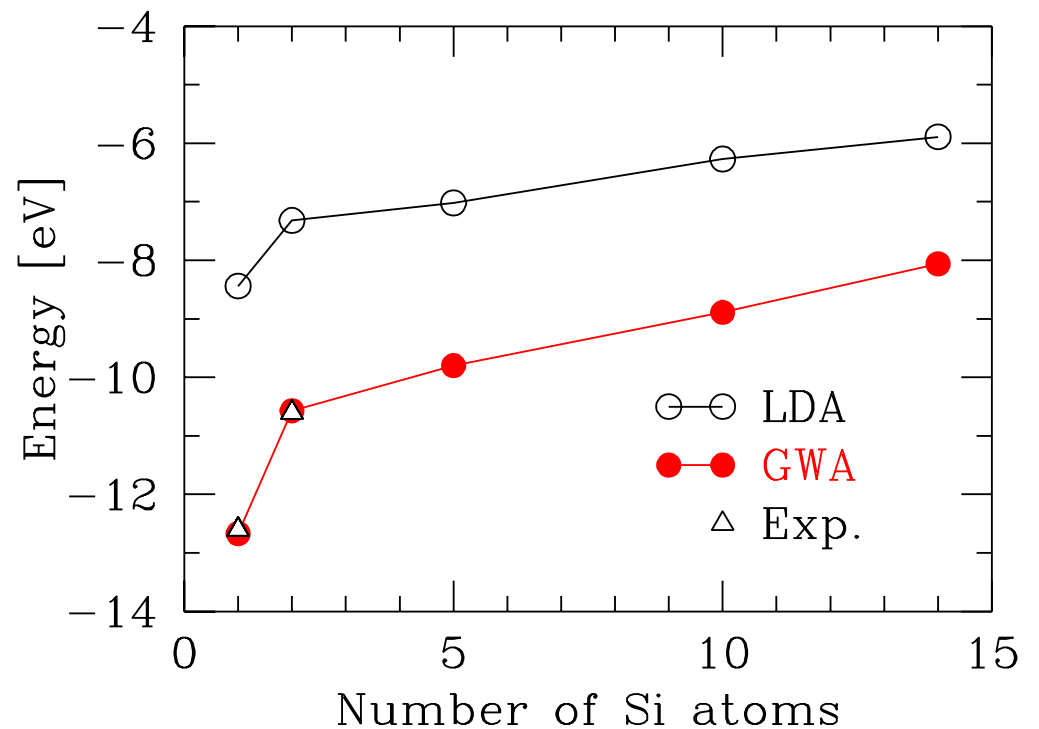
[eV]	LDA ^a	GWA	Exp. ^b
He	15.48	24.68	24.586
Ne	13.06	21.47	21.564
Ar	10.35	15.94	15.759
CO	9.1	14.3	14.01
HCl	8.0	12.6	12.75
CH ₄	9.3	12.5	12.99
C ₂ H ₄	6.9	10.4	10.5
Si ₂ H ₆	7.3	10.5	10.6

^aLDA: $-E_{\text{HOMO}}$

^bExp.: Landolt-Börnstein, Vol. I-1;
G. Herzberg, "Molecular Spectra";
U. Itoh et al., JCP 85, 4867 (1986).

Si_mH_n: QP HOMO Energies:

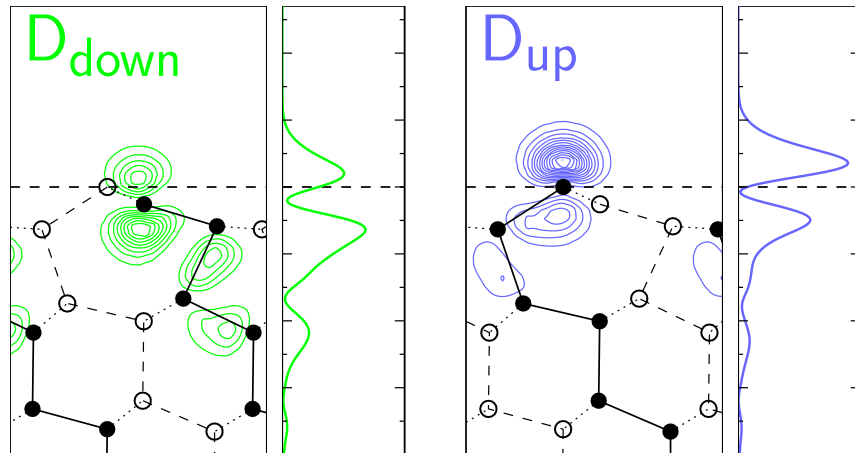
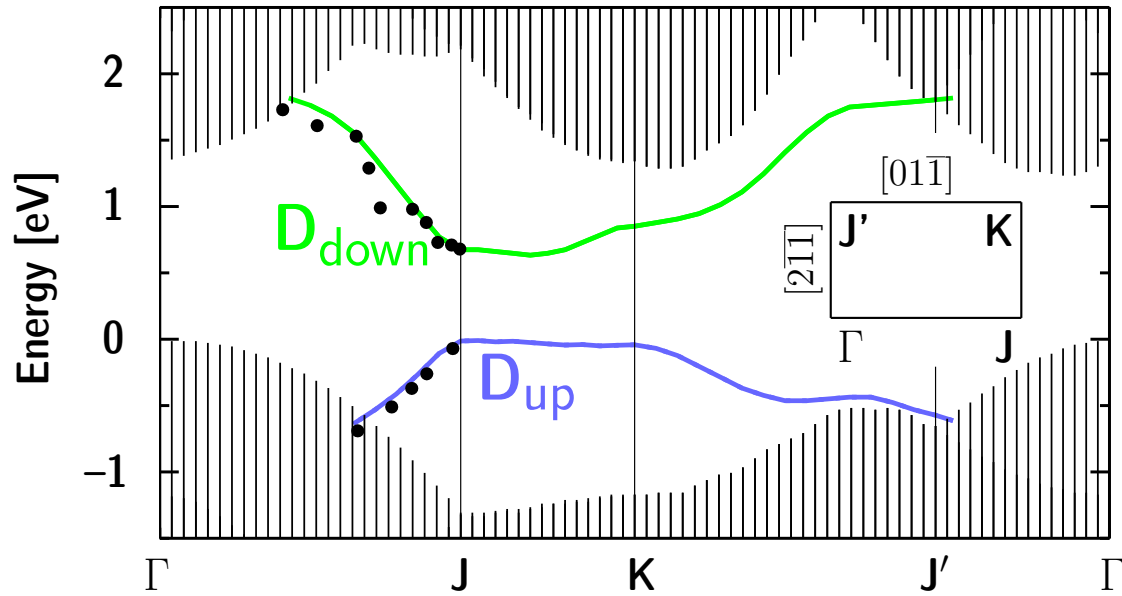
Size dependence / Quantum confinement



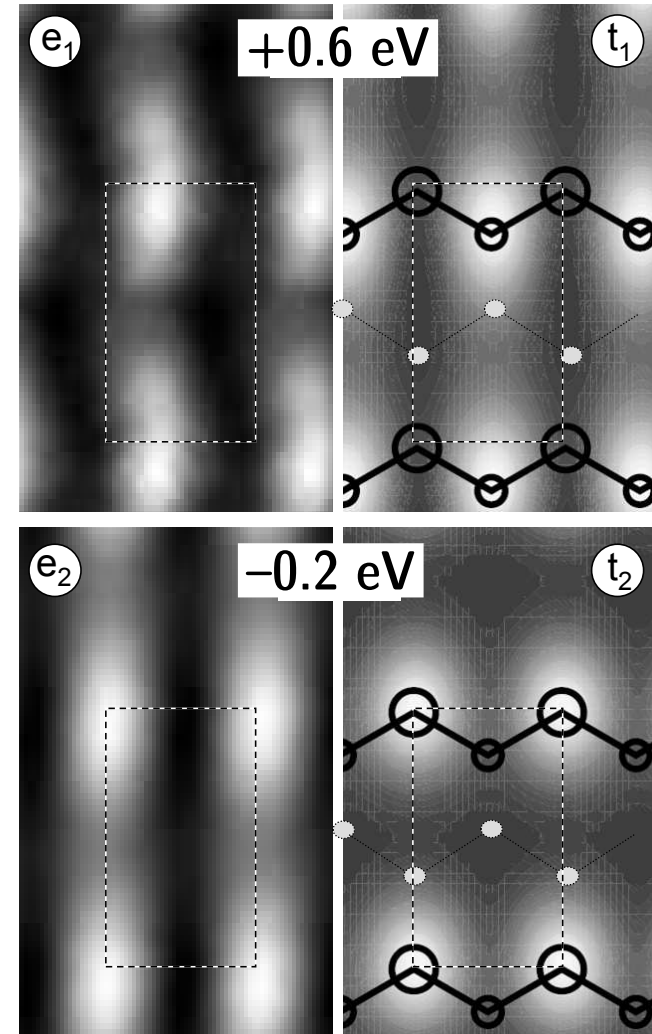
Exp.: U. Itoh et al., JCP 85, 4867 (1986).

GW band structure: Si(111)-(2x1) Surface

Si(111)-(2x1): Surface band structure:



Measured / simulated STM image:



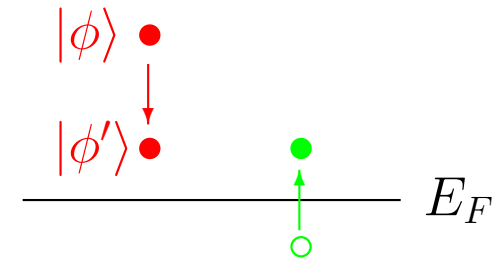
J.Garleff et al., PRB 70, 245424 (2004).

Lifetimes from scattering due to Coulomb-interaction

See, e.g., P.M. Echenique et al., Chemical Physics 251, 1 (2000).

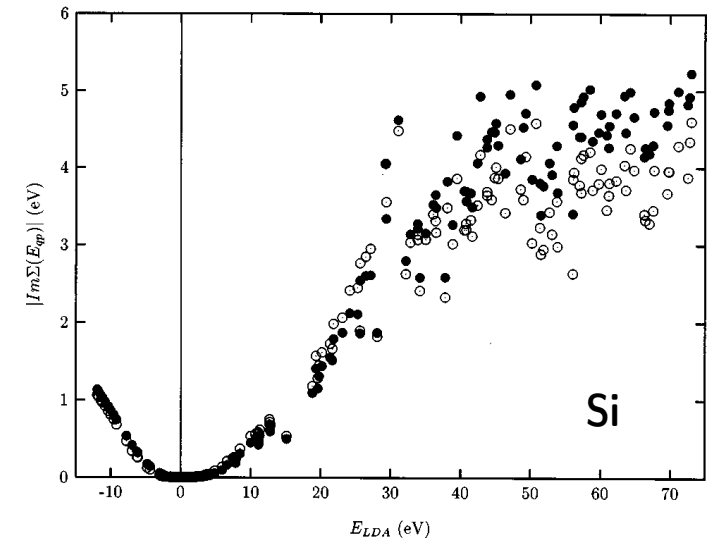
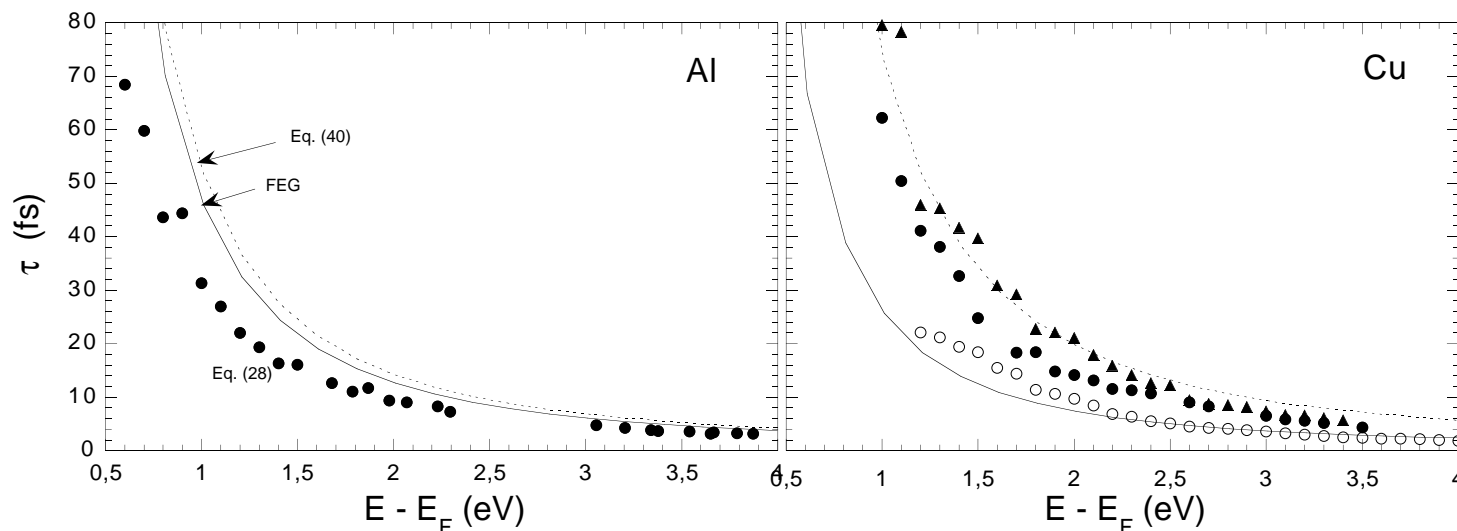
- Scattering of additional electron by other electrons:

$|\phi\rangle$ at $E \longrightarrow |\phi'\rangle$ at $E' < E$ plus electron-hole pair(s)



(Conservation of energy + momentum)

- In QP language: "the particle in state $|\phi\rangle$ is gone \implies it had a finite lifetime!"
- Coulomb-scattering is included in $\Sigma^{GWA} \implies$ Lifetime = Inverse of $\text{Im}\langle\phi|\Sigma^{GWA}|\phi\rangle$
- Two-photon photoemission; finite mean-free path of (high-energy) electrons ; ...



[P.M. Echenique et al., Chemical Physics 251, 1 (2000); A. Fleszar and W. Hanke, PRB 56, 10228 (1997).]

Dielectric screening within the random-phase approximation

- Key element of many-body perturbation theory: **Response function** $\chi(\mathbf{r}, \mathbf{r}', \omega)$
- Here: simple notation within classical electrodynamics, without exchange-correlation effects
- ... charge response to an external perturbing field: $\partial\rho_{ind} = \chi\partial V_{ext}$
- ... charge response to the total perturbing field, $\partial V = \partial V_{ext} + \partial V_{ind}$: $\partial\rho_{ind} = \chi_0\partial V$
- Relationship with dielectric function $\epsilon(\mathbf{r}, \mathbf{r}', \omega)$: $\epsilon = 1 - v\chi_0$ / $\epsilon^{-1} = 1 + v\chi$
- Approx. evaluation from DFT: $G_1^{(0)}(\mathbf{x}, \mathbf{x}', E) = \sum_m \frac{\psi_m^{\text{DFT}}(\mathbf{x})\psi_m^{\text{DFT}}(\mathbf{x}')^*}{E - E_m^{\text{DFT}} \pm i0^+}$, $\chi_0 = iG_1G_1$
- Dyson equation $\chi = \chi_0 + \chi_0v\chi$ or, more general: $\chi_\lambda = \chi_0 + \chi_0(\lambda v)\chi_\lambda$ $\lambda=0\dots 1$
- Screened Coulomb potential $W(\mathbf{r}, \mathbf{r}', \omega)$ between charged particles: $W = \epsilon^{-1}v$
 - $W(\omega) \implies \Sigma = iG_1W$ QP band structure
 - $W(\omega = 0) \implies K^{eh}$; $K^{eh} + \text{QP band structure} \rightarrow \text{Optical spectrum}$
 - $\chi_\lambda(iu) \implies \text{Correlation energy beyond DFT; Van der Waals interaction etc.}$

Dielectric screening within the random-phase approximation (2)

- Explicit expression, e.g. in plane waves:

$$\chi_{\mathbf{G}\mathbf{G}'}^{(0)}(\mathbf{q}, \omega) = 2 \frac{1}{V} \sum_{\mathbf{k}} \sum_{m \in \text{Val}} \sum_{n \in \text{Con}} M_{\mathbf{G}}^{\text{mn}}(\mathbf{k}, \mathbf{q}) [M_{\mathbf{G}'}^{\text{mn}}(\mathbf{k}, \mathbf{q})]^* \\ \times \left[\frac{1}{E_{m\mathbf{k}} - E_{n, \mathbf{k}+\mathbf{q}} - \omega + i0^+} + \frac{1}{E_{m\mathbf{k}} - E_{n, \mathbf{k}+\mathbf{q}} + \omega + i0^+} \right]$$

- Double summation over occupied and empty states: extremely time consuming
- Recent progress in simplification (Galli et al., Reining et al.,...)

with matrix elements $M_{\mathbf{G}}^{\text{mn}}(\mathbf{k}, \mathbf{q}) = \int \phi_{m\mathbf{k}}^*(\mathbf{r}) e^{-i(\mathbf{q}+\mathbf{G})\mathbf{r}} \phi_{n, \mathbf{k}+\mathbf{q}}(\mathbf{r}) d^3r$

- $\epsilon_{\mathbf{G}\mathbf{G}'}(\mathbf{q}, \omega) = \delta_{\mathbf{G}\mathbf{G}'} - \frac{1}{|\mathbf{q} + \mathbf{G}|} \chi_{\mathbf{G}\mathbf{G}'}^{(0)}(\mathbf{q}, \omega) \frac{1}{|\mathbf{q} + \mathbf{G}'|}$

- After matrix inversion: macroscopic dielectric constant $\epsilon_M(\mathbf{q}, \omega) = [\epsilon_{00}(\mathbf{q}, \omega)]^{-1}$
e.g. bulk silicon $\epsilon_M(0, 0) = 12$, SiO_2 $\epsilon_M(0, 0) = 2$

- Homogeneous system: $\epsilon_{\mathbf{G}\mathbf{G}'}(\mathbf{q}, \omega) \longrightarrow \epsilon(|\mathbf{q} + \mathbf{G}|, \omega)$

- jellium: Lindhard formula for $\epsilon(|\mathbf{q} + \mathbf{G}|, \omega)$: $\epsilon(0, \omega \approx 0) = 1 - \frac{\omega_P^2}{\omega^2}$ $\epsilon(q \approx 0, 0) = 1 + \frac{q_{TF}^2}{q^2}$

- anisotropic non-cubic systems: 3x3 tensor $\epsilon_M(\mathbf{q}, \omega) \longrightarrow \epsilon_{ij}(\mathbf{q}, \omega)$ $i, j = x, y, z$

Self-energy operator / Numerical issues

- Matrix elements (i.e., between DFT states $|m\mathbf{k}\rangle$ and $|m'\mathbf{k}\rangle$) of self-energy operator:

$$\Sigma_{m,m'}(\mathbf{k}, E) = \sum_n \sum_{\mathbf{q}, \mathbf{G}, \mathbf{G}'} M_{\mathbf{G}}^{mn}(\mathbf{k}, \mathbf{q}) \left[M_{\mathbf{G}'}^{m'n}(\mathbf{k}, \mathbf{q}) \right]^* \frac{i}{2\pi} \int d\omega \frac{W_{\mathbf{G}, \mathbf{G}'}(\mathbf{q}, \omega)}{E - E_{n\mathbf{k}+\mathbf{q}} - \omega \pm i0^+}$$

- Band summation \sum_n very demanding [about (10-20) \times (Number of valence bands)]
... can be avoided/circumvented: see, e.g., Reining et al.
- Sum over \mathbf{G}, \mathbf{G}' / Representation of χ_0, ϵ etc.:
... replace by localized orbitals (Gaussians, numerical orbitals, SIESTA, ...)
... mixed basis: localized orbitals PLUS plane waves
(see, e.g., Blase et al., Rinke+Scheffler, Rohlfiing et al., ...)
- Frequency integration $\int d\omega$:
 - numerical integration: Garcia-Gonzalez, Rubio and many others
 - imaginary frequency (or time): Godby, Rinke, Schindlmayr, and others
 - Plasmon-Pole Model for $W(\omega)$: $\int d\omega$ becomes analytic: most authors

$$W(\omega) \rightarrow 1 + \frac{A}{(\omega^2 - \Omega^2) \pm i0^+} \quad \Longrightarrow \quad \frac{i}{2\pi} \int d\omega(\dots) \rightarrow -\Theta_{E_n < E_F} \pm \frac{A\Omega}{2(E - E_n \pm \Omega)}$$

Summary: Many-body perturbation theory for $|N, 0\rangle \rightarrow |N \pm 1, m\rangle / G_1$

- $H^{(0)}$ (simplified el.-el. interac., here: DFT) $\implies G_1^{(0)}(E) = (E - H^{(0)})^{-1}$ (exact)

- plus rest of electron-electron interaction (= "perturbation"):

$$\implies G_1(E) = G_1^{(0)}(E) + G_1^{(0)}(E) d\Sigma(E) G_1(E) \quad (\text{Dyson eq.})$$

$$d\Sigma(E) = \text{remaining self-energy operator (here: } (\Sigma(E) - V_{xc}^{DFT}) \text{)}$$

(=single-particle signature of remaining interaction)

- Equation of motion for a single **quasiparticle** (= excited electron / hole):

$$\{H^{(0)} + d\Sigma(E_m^{\text{QP}})\} \phi_m^{\text{QP}} = E_m^{\text{QP}} \phi_m^{\text{QP}}$$

\implies **Quasiparticle wave functions** $\phi_m^{\text{QP}}(\mathbf{r})$

QP energies $E_m^{\text{QP}} = \text{Re}E_m^{\text{QP}} + i \cdot \text{Im}E_m^{\text{QP}}$

$$\phi_m(t) \sim \exp(i\text{Re}E_m^{\text{QP}}t) \cdot \exp(-\text{Im}E_m^{\text{QP}}t)$$

$\text{Re}E_m^{\text{QP}}$ = Energy level /
Band-structure energy

$\text{Im}E_m^{\text{QP}}$ = Spectral width /
Inverse lifetime