Elementary Band Representations and Group Theory from the Perspective of Condensed Matter Physics Aussois GDR School, May 2024

Benjamin J. Wieder





## **Outline**

#### 1. Basics of Group Theory and Point Groups

#### 2. Crystals and Space Groups in Real and Momentum Space

3. Elementary Band Representations and Topological Quantum Chemistry

#### Part 1: Basics of Group Theory and Point Groups

#### Sets

- g (or h) is an **<u>operator</u>** that acts on states and coordinates
  - Later: g will be a symmetry group element

- <u>CMT rules</u>: a <u>set</u> is a collection of <u>operators</u> (elements)
  - Implicit (sometimes unstated): Rules (<u>algebra</u> or relations) between elements
- **Ex:** {2,5,7,9} is a set of integers
  - Implicit algebra additivity:  $g_i g_j = g_{i+j}$
  - Algebra keeps *some* elements in set:  $g_1 = 2$ ,  $g_2 = 5 \rightarrow g_3 = 7 = 2 + 5$
  - But not every element:  $g_2 = 5$ ,  $g_3 = 7 \rightarrow g_4 = 9 \neq 5 + 7$ 
    - This set is **<u>open</u>** (not <u>**closed**</u>)

#### Groups

• A group G is a set (+ element algebra) with four constraints:

**<u>1. Closure</u>**: every product element is also in set:

• If  $g_1 \in G$ ,  $g_2 \in G$ , then  $g_1g_2 \in G$ 

#### 2. Associativity:

- Take 3 elements  $g_{1,2,3}$  and define  $g_i g_j = g_{ij}$
- Demand  $g_1g_{23} = g_{12}g_3$

#### **3. Unique Identity Element in Set**:

• There exists an element  $E \in G$  for which  $Eg_i = g_iE = g_i$  for all *i* 

#### **<u>4. Unique Inverse Elements in Set:</u>**

• For each  $g \in G$ , there also exists one  $h \in G$  for which hg = gh = E

<u>Note</u>: uniqueness of identity & identical left/right inverses not strictly required, see *Bradley & Cracknell, The Mathematical Theory of Symmetry in Solids, Chap.* 1

#### Group or Set?

- Even additive integers 2Z?
  - Yes, a group
- Odd additive integers?
  - No, just a set
  - Open, no identity

#### **Finite Groups**

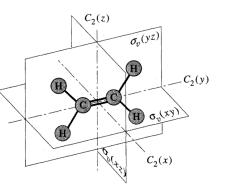
• Given a set or group H, the order |H| of H is the number of elements in H

- A **finite group** *G* has a finite order |*G*|
  - An *infinite group* does not
- Finer distinction of  $\infty$ :
  - A continuous group has infinite elements with infinitesimally spacing
    - *Example:* SO(3) rotations
  - A discrete infinite group has countably infinite discretely spaced elements
    - Example: additive integers  $\mathbb{Z}$

## Point Groups (finally something concrete)

- **Point groups** leave points in space invariant, contain symmetries of:
  - Molecules
  - Points (sites) in infinite crystals
- Molecular point groups can be *discrete* or *continuous* 
  - $\sigma_i$  is mirror in chemistry

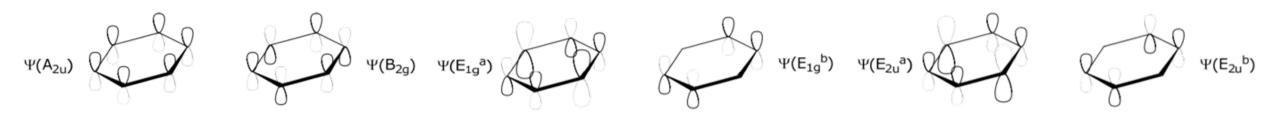
Discrete point group of ethene (C<sub>2</sub>H<sub>4</sub>) <u>McQuarrie and Simon, Chapter 12</u>



- Site-symmetry groups in 2D and 3D crystals are always finite groups
  - Isomorphic to the 2D and 3D crystallographic point groups
  - Isomorphic = same group elements and algebra under redefinition

#### **Representations of Finite Groups**

- The representations (reps) ho of groups are abstract mathematical objects
  - All molecular energy eigenstates "transform in" point group reps

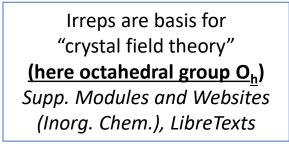


molecular WFs and reps of benzene (C<sub>6</sub>H<sub>6</sub>), *Nocera, Fundamentals of Inorg. Chem. II, LibreTexts* 

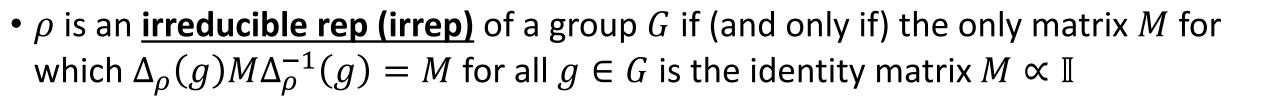
- Unitarity distinctions:
  - G contains <u>only unitary elements</u>:  $\rho$  is a representation
  - G contains unitary & antiunitary elements: ρ is a corepresentation (corep)
    - Nonmagnetic systems have time-reversal symmetry *T*, all group reps are coreps
      - Note: all nonmagnetic groups with symmetries like  $C_2$  and T also have product  $C_2T$
- Today, focus on groups with only unitary elements
  - "Type-I magnetic symmetry groups" See Bradley & Cracknell & L. Elcoro\*, BJW\* et al., Nat. Comm. (2021)

#### **Characters and Irreducible Representations**

- Matrices and characters define reps
  - $\Delta_{
    ho}(g)$  is the matrix representative of  $oldsymbol{g}$  in  $oldsymbol{
    ho}$
  - $\chi_{\rho}(g) = \operatorname{Tr}[\Delta_{\rho}(g)]$  is the **character of** g in  $\rho$ 
    - Unitary symmetry g eigenvalue sum
    - Crucial for detecting topology (later)



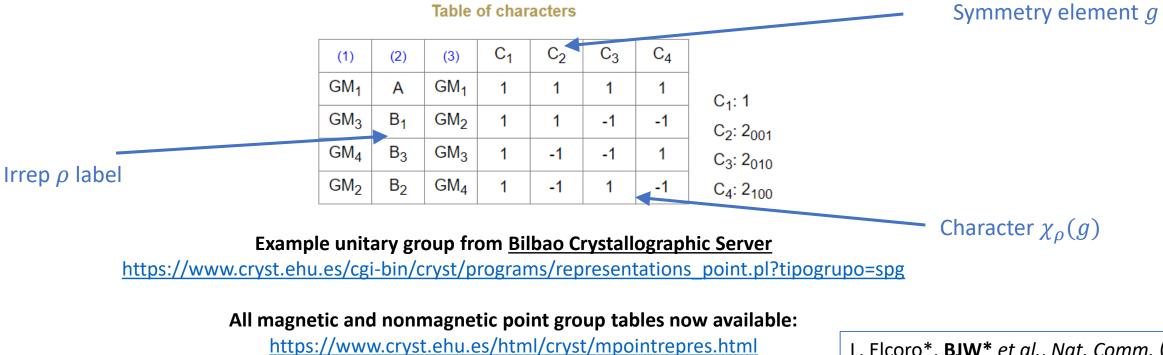
 $d_{xz}$ 



- **Physical consequence:** given a molecular Hamiltonian *H*, there is a 1:1 correspondence between **robust spectral degeneracies and irreps** 
  - Warmup for band degeneracies (later)

#### **Character Tables**

- Character tables define group irreps through symmetry eigenvalues
  - In groups with unitary and antiunitary elements, only unitary elements have characters
    - Because antiunitary elements  $g_A$  have  $\Delta_{\rho}(g_A) = UK$ , and Tr[K] is not defined
  - Rows and columns are orthogonal

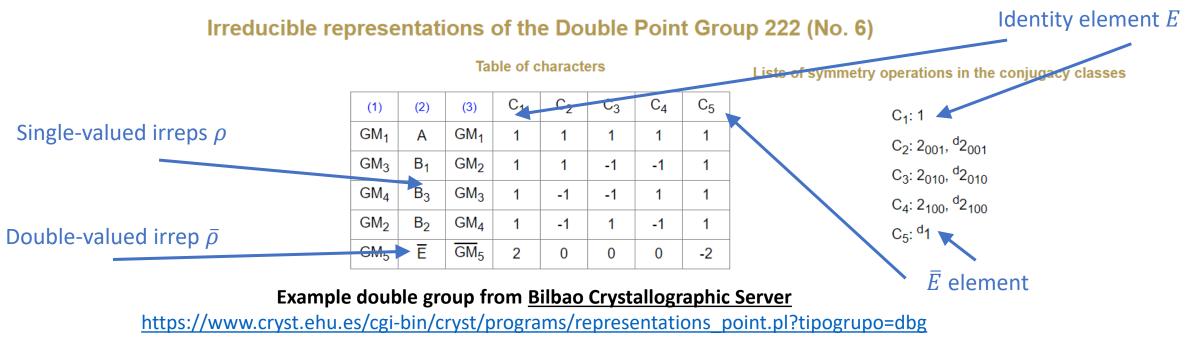


Irreducible representations of the Point Group 222 (No. 6)

L. Elcoro\*, BJW\* et al., Nat. Comm. (2021)

#### Single and Double Groups

- Same point group has two forms: single and double
  - Single group: twofold rotations  $C_{2,xyz}$  commute,  $\chi_{\rho}(C_{2i}^2) = \chi_{\rho}(E)$ 
    - For phonons, magnons, electrons with no spin-orbit coupling (per spin), "spinless fermions"
  - **Double group:** new element  $\overline{E}$ ,  $C_{2x}C_{2y} = \overline{E}C_{2y}C_{2x}$ ,  $\chi_{\overline{\rho}}(C_{2i}^2) = \chi_{\overline{\rho}}(\overline{E})$ 
    - Double-valued reps of double group:  $\chi_{\overline{\rho}}(\overline{E}) = -\chi_{\overline{\rho}}(E)$ , implies anticommutation
    - For electrons, "spinful fermions"

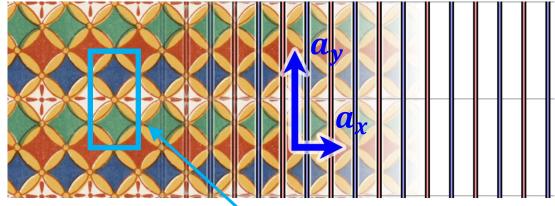


# Part 2: Crystals and Space Groups in Real and Momentum Space

## **Crystals and Translation Symmetry**

- **<u>Crystals</u>** are objects with discrete translation symmetry
  - Lattice vectors  $a_i$  shortest linearly independent translations





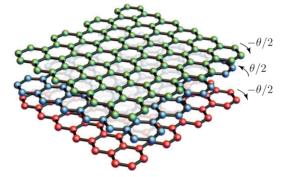
- Crystals have repeated periodic motifs termed <u>unit cells</u>
- Crystals are infinite and pristine <u>free of defects and boundaries</u>
  - Results derived from crystal models say *nothing* about boundaries and defects response without using other methods
    - e.g. topology, continuum field theory, long-wavelength semiconductor physics, chemistry, etc.

#### **Crystal Symmetry Groups**

#### • Crystals have infinite symmetry groups (SGs)

- Crystal symmetries have the form  $g = \{R | v\}$
- *R* is point group element, *v* is a translation
- Primitive (generating) lattice translations are  $t_{a_i} = \{E | a_i\}$
- SG defined by **dimensionality** of R, number of independent  $a_i$ 
  - If dim **R** > number of **a**<sub>i</sub>, group is **<u>subperiodic</u>**

Mirror-symmetric twisted trilayer graphene model has layer group symmetry *Khalaf et al., PRB* (2019)



See further reading in: Conway et al., The Symmetries of Things

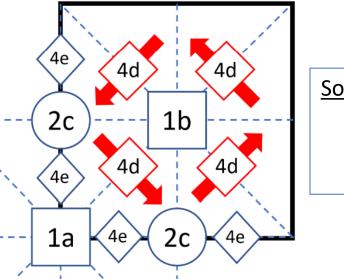
dim R	num $a_i$	Group Name	Subperiodic?	Physical System
1	1	Line		Toy model?
2	1	Frieze	$\checkmark$	Flat polymer on substrate
2	2	Wallpaper		Few-layer on substrate, TI surface
3	2	Layer	$\checkmark$	Floating few-layer (e.g. Moiré model)
3	3	Space		Bulk crystalline solid

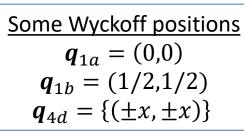
#### Wyckoff Positions

- Site-symmetry groups  $G_{q_{\alpha}}$  define finer unit cell structure of crystal w/ SG G
  - For a site with coordinates  $q_{\alpha}$ ,  $gq_{\alpha} = q_{\alpha}$  (in same unit cell) for each  $g \in G_{q_{\alpha}}$
  - $G_{q_{\alpha}} \subset G$ , but  $G_{q_{\alpha}}$  isomorphic to point group, has same irreps

- <u>Wyckoff orbit</u>: set  $\{q_{\alpha}\}$  in same unit cell permuted by  $g \in G, g \notin G_{q_{\alpha}}$ 
  - <u>Multiplicity</u> of orbit defined by size of set  $\{q_{\alpha}\}$

Unit Cell of Wallpaper group *p4m* **BJW** et al., Nat. Comm. (2020)





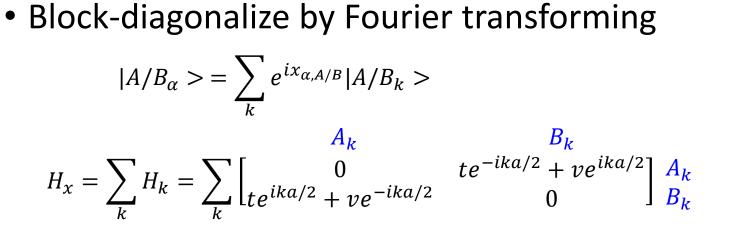
• <u>Wyckoff position</u>: set of Wyckoff orbits with same multiplicity related by smooth coordinate deformation (*e.g.* 4d and 4e above for all *x*)

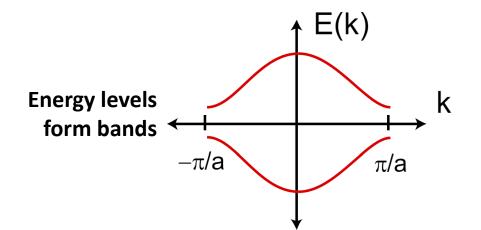
#### **Crystal Momentum Space**

- Typical Hamiltonians for crystals (*e.g.* real-material electrons) are <u>off-diagonal</u> in unit-cell indices
  - Note: unit cell origin and shape are choices

$$H_{\chi} = \begin{bmatrix} \ddots & \vdots \\ \cdots & 0 & t & 0 & 0 & \cdots \\ \cdots & t & 0 & v & 0 & \cdots \\ \cdots & 0 & v & 0 & t & \cdots \\ \cdots & 0 & 0 & t & 0 & \cdots \\ \vdots & \vdots & \vdots & \vdots & \vdots & \ddots \end{bmatrix} \begin{bmatrix} A_{1} \\ B_{1} \\ A_{2} \\ B_{2} \\ B_{2} \end{bmatrix}$$

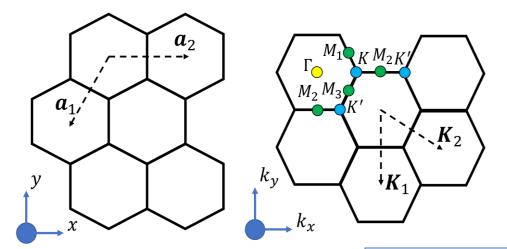
Nearest-neighbor hopping model of trans polyacetylene <u>https://en.wikipedia.org/wiki/Polyacetylene</u>





# Symmetry in *k* Space

- Unit cells in x are physically distinct, but only "1st unit cell in k" (BZ) is physical
  - k is just a Fourier parameter
  - k unit cells are Brillouin zones (BZs)
  - **Reciprocal lattice vectors** K<sub>i</sub> relate BZs
    - Orthogonality  $\boldsymbol{a}_i \cdot \boldsymbol{K}_j = 2\pi \delta_{ij}$



- **k** points can be related by symmetry
  - Termed "momentum stars" (k-space analog of Wyckoff orbit)
  - Stars & <u>multiplicities</u> in graphene:  $1: \Gamma$ ,  $2: K \otimes K'$ ,  $3: M_{1,2,3}$

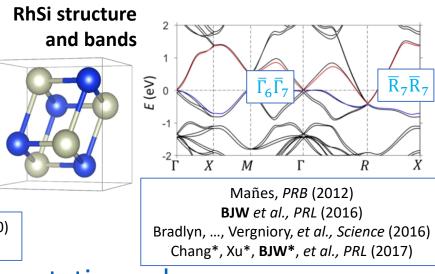
x-space unit cells and k-spaceBZs in grapheneBJW et al., Nat. Comm. (2020)

- Like sites in crystals, k points have symmetry
  - Given crystal SG G, <u>little group</u>  $G_k \subseteq G$  contains all symmetries g including translations that return k to itself up to a BZ: gk mod  $K_{1,2,3} = k$
  - $G_k$  is isomorphic to an SG, **not a point group** (unlike site-symmetry group  $G_{q_{\alpha}}$ )

## Irreducible Small Representations

- $G_k$  is an *infinite group* (contains translation group  $G_T$ ), implies infinite irreps
  - Could try constructing abstract "projective" point group from  $G_{k}$  see Bradley & Cracknell, Chapter 5
- For us: define finite number of <u>small irreps</u>  $\sigma_k$  of  $G_k$  by <u>coset decomposition</u>:
  - $G_{k} = G_{T} \cup g_{1}G_{T} \cup g_{2}G_{T} \cup \cdots$ , where each  $g_{i}$  is unique &  $g_{i} \neq G_{T}$
  - For pure translation  $t = \{E | t\} \in G_T$ , choose  $\Delta_{\sigma_k}(t) = e^{-ik \cdot t} \mathbb{I}$
  - Finite  $\{\sigma_k\}$  from <u>unique</u> matrix reps of coset symmetries using  $\Delta_{\sigma_k}(tg_i) = e^{-i\mathbf{k}\cdot t}\Delta_{\sigma_k}(g_i)$

- Most band degeneracies enumerable from  $\sigma_k$ 
  - Led to discovery of many topological semimetals



• Tool for all SG small (co)reps

Xu, Elcoro, Song, **BJW**, Vergniory *et al., Nature* (2020) Elcoro\*, **BJW\*** *et al., Nat. Comm.* (2021)

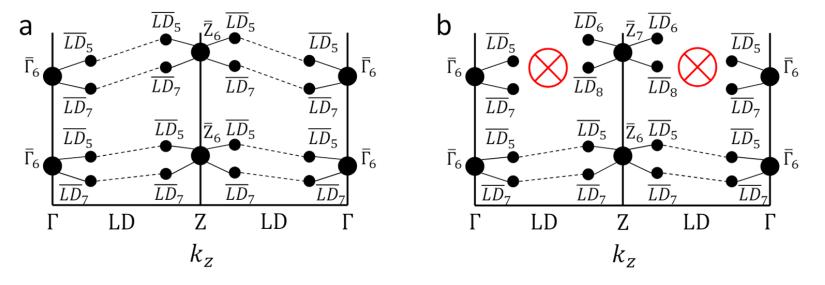
<u>https://www.cryst.ehu.es/cgi-bin/cryst/programs/corepresentations.pl</u>

#### **Compatibility Relations**

- Given  $k_1 \otimes k_2$  in <u>connected</u> momentum stars,  $G_{k_2} \subset G_{k_1}$ 
  - Small irreps are dependent by subduction:  $\sigma_{i,k_1} \downarrow G_{k_2} = \bigoplus_j n_{i,j}^{k_1,k_2} \sigma_{j,k_2}$
  - $n_{i,j}^{k_1,k_2}$  define the small irrep <u>compatibility relations</u>

- Compatibility relations can diagnose enforced semimetal (ES) states
  - "Occupied" high-symmetry-point small irreps termed symmetry data vector

**a (b)** Symmetry data vector (not) satisfying the compatibility relations *Elcoro\**, **BJW\*** *et al.*, *Nat. Comm. (2021)* 



## Bilbao Tools for Real and Momentum Space

• The **bilbao crystallographic server** (BCS) is the leading open-access tool for

symmetry group properties

• (Relatively) unified notation with



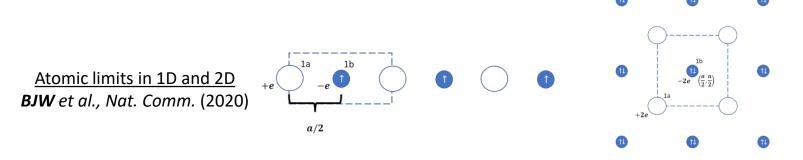
- Partial lists of Bilbao tools for point groups and 3D SGs
  - Symmetries and irreducible coreps of all <u>32 nonmagnetic and 90 magnetic point groups</u>: <u>https://www.cryst.ehu.es/html/cryst/mpointrepres.html</u>
  - Generating symmetries of all <u>230 nonmagnetic and 1,421 magnetic space groups (SGs):</u> <u>https://www.cryst.ehu.es/cgi-bin/cryst/programs/magget\_gen.pl</u>
  - Wyckoff positions and site-symmetry groups of all SGs: <u>https://www.cryst.ehu.es/cgi-bin/cryst/programs/magget\_wp.pl</u>
  - Momentum stars of all SGs: <u>https://www.cryst.ehu.es/cgi-bin/cryst/programs/magget\_wp.pl</u>

Xu, Elcoro, Song, **BJW**, Vergniory *et al., Nature* (2020) Elcoro\*, **BJW**\* *et al., Nat. Comm.* (2021)

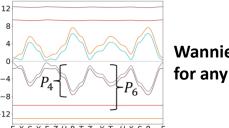
# Part 3: Elementary Band Representations and Topological Quantum Chemistry

### **Atomic Limits and Wannier Orbitals**

- An <u>atomic limit</u> is an insulator with (nearly) decoupled, exponentially localized orbitals in x-space in each unit cell
  - Define atomic limit to have trivial stable topology



- Separate question: given band(s) in k-space, can I inverse-Fourier-transform bands into an atomic limit of Wannier functions that:
  - Have exponential (and not power-law) tails?
  - Respect the system SG?



Wannierization can be attempted for any isolated bands

- If no, band(s) carry nontrivial stable topology (in a complicated, SG-dependent way)
  - Stable remains topological if atomic limit bands added to projector
- <u>Caution</u>: many properties of Wannier functions are gauge-dependent!
  - Stable topology is gauge-invariant

see Marzari et al., RMP (2012), Soluyanov and Vanderbilt, PRB (2012)

#### **Elementary Band Representations from Atomic Limits**

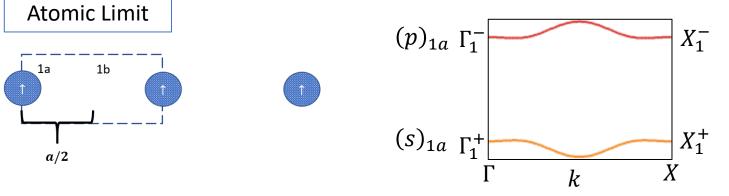
- Consider an atomic limit w/ orbitals at high-symmetry maximal Wyckoff positions
  - Not connected to a higher-symmetry Wyckoff position
  - Corresponds to a sum of small irreps  $\sigma_{i,k}$  in k space
  - Symmetry eigenvalues, but also more Berry phases BUW et

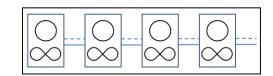
**BJW** et al., Nat. Comm. (2020) Cano et al., PRB (20202

- Formally, given SG *G* and site-symmetry group  $G_q$ , orbitals generate a **k**-space **band representation**  $\rho_q^G$  via induction:  $\rho_q \uparrow G = \rho_q^G = \bigoplus_k \sigma_{k,q}^G = \bigoplus_k \bigoplus_i a_i^{k,q} \sigma_{i,k}$
- Distinct maximal Wyckoff positions sometimes produce <u>equivalent band reps</u>, termed *exceptional cases* 
  - Deducible through "sliding" procedure termed Wannier center homotopy
- The inequivalent band reps are termed <u>elementary (EBRs)</u> J. Zak, PRB (1981)

# OAL Example 1: Rod Group $p\overline{1}$

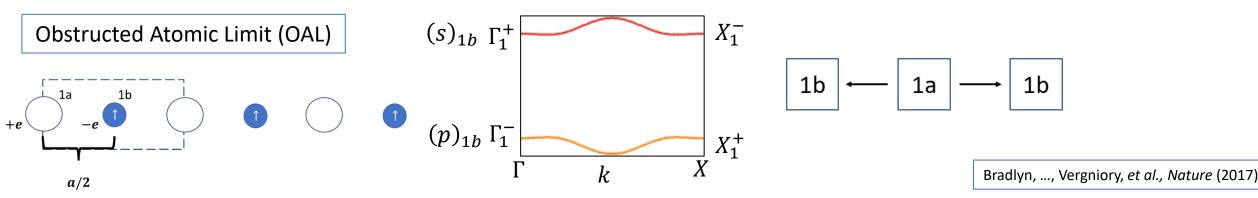
- Consider a 1D chain with inversion symmetry & spinless s and p orbitals at 1a
  - Characters are inversion eigenvalues





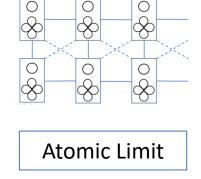
Orbital	Site- Symmetry Irrep	Wyckoff Position	Induced Small Irrep at Γ	Induced Small Irrep at X
S	$A_g$	1a	$\Gamma_1^+$	$X_1^+$
p	$A_u$	1a	$\Gamma_1^-$	$X_1^-$
S	$A_g$	1b	$\Gamma_1^+$	$X_1^-$
p	$A_u$	1b	$\Gamma_1^-$	$X_1^+$

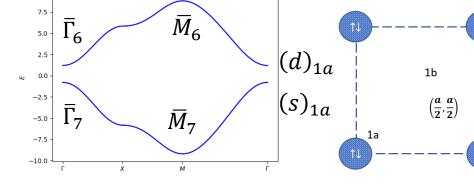
- Invert bands at k = 0 to slide Wannier orbitals
  - **Important:** single degeneracy at intermediate 2c position  $\pm x$
  - Important: OALs are not stable topological, dangerous to predict in real materials due to Wannier gauge issues



### OAL Example 2: Double Wallpaper Group p4m

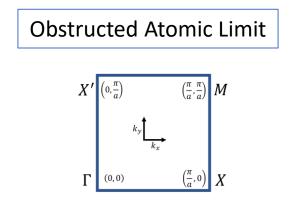
- Consider a 2D square lattice with mirror &  $C_{4z}$  & spinful pairs of s and d orbitals at 1a
  - Characters are (sums of) spinful  $C_{4z}$  eigenvalues

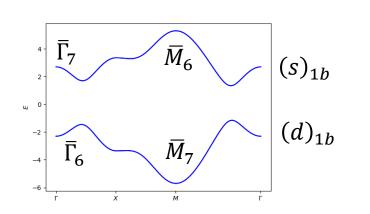


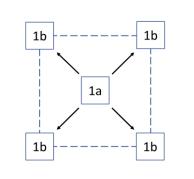


Orbital	Site- Symmetry Irrep	Wyckoff Position	Induced Small Irrep at Γ	Induced Small Irrep at <i>M</i>
S	$\overline{E}_1$	1a	$\overline{\Gamma}_7$	$\overline{M}_7$
d	$\overline{E}_2$	1a	$\overline{\Gamma}_6$	$\overline{M}_{6}$
S	$\overline{E}_1$	1b	$\overline{\Gamma}_7$	$\overline{M}_{6}$
d	$\overline{E}_2$	1b	$\overline{\Gamma}_6$	$\overline{M}_7$

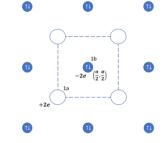
- Invert bands at  $m{k}=m{0}$  to slide Wannier orbitals
  - **Important:** single degeneracy at intermediate 4d position  $(\pm x, \pm x)$











BJW et al., Nat. Comm. (2020)

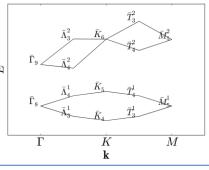
# Topological Quantum Chemistry (TQC)

- Complete theory of band topology in Classes A, AI, All with crystal symmetries
  - Both magnetic and nonmagnetic SGs

- Basic idea of TQC <u>topology by brute force</u>
  - Enumerate all possible EBRs for every SG
  - Pick out a band in a model or material
  - If band is not equivalent to integer linear combo of EBRs, it is stable topological
- Clarifies two routes towards stable topology in real materials
  - Band inversion
  - Fractionally fill a split EBR (not all EBRs are connected)



Bradlyn, ..., Vergniory, et al., Nature (2017) Elcoro\*, **BJW\***, et al., Nat. Comm. (2021)



A disconnected (split) EBR Frequently (but not always) stable topological For "fragile" case, see H. C. Po, et al., PRL (2018)

# **Symmetry-Based Indicators**

- If a set of bands P do not "transform" (eigenvalues and Berry phases) in an integer linear combination of EBRs, P is stable topological
- For just eigenvalues, some SGs support generalized Fu-Kane  $\mathbb{Z}_N$  formulas for topology termed Symmetry-Based Indicators (SIs)
  - Obtainable algorithmically via EBRs (Smith normal decomposition)
  - Nontrivial SI indicates either:
    - P is stable topological
    - *P* is semimetal satisfying compatibility relations

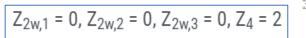


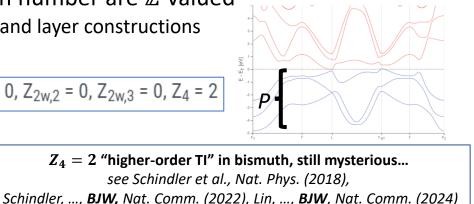
#### **Typical SI Computer Output**

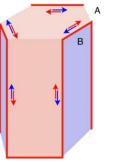
k point	Irreducible representations	
Γ	$2E_{\frac{1}{2}g} + E_{\frac{1}{2}u} + F_{\frac{3}{2}u}$	
L	$E_{\frac{3}{2}g} + 2E_{\frac{1}{2}g} + 2E_{\frac{1}{2}u}$	
W	2E <sub>3/2</sub> +3E1/2	
х	$2E_{\frac{1}{2}g} + 2E_{\frac{1}{2}u} + E_{\frac{3}{2}u}$	
$\checkmark$		
<i>z</i> <sub>8</sub> = 4		

#### Cons:

- Have to figure out the right linear combo of computer output for physical basis of SI formula
- **Only a partial classification** some invariants like Chern number are  $\mathbb{Z}$ -valued
  - Complete *P* diagnosis requires other tools like Wilson loops and layer constructions •





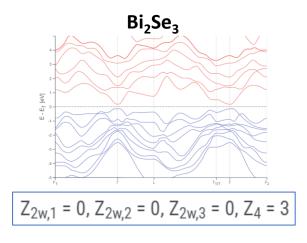


#### **Pros:**

- Reveal new topological states (*e.g.* bismuth)
- Numerically efficient *ab initio*

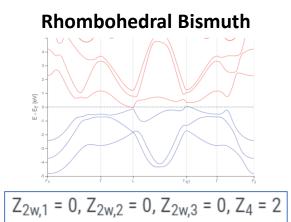
# High-Throughput Topological Materials Discovery

- SIs applied to high-throughput first principles (DFT) calculations reveal
   O(10,000) topological insulators, semimetals, flat bands, magnons, and phonons
  - Leading teams: <u>Bernevig</u> (Princeton), <u>Vishwanath</u> (Harvard), <u>Fang</u> (IOP China)
  - Confirm known examples and recontextualize others



SnTe

 $Z_{2w,1} = 0, Z_{2w,2} = 0, Z_{2w,3} = 0, Z_4 = 0, Z_2 = 0, Z_8 = 4$ 



Vergniory, ..., Regnault, Nature (2019) Tang, et al., Nature (2019) Zhang et al., Nature (2019) Xu, ..., BJW, Vergniory, ..., Nature (2020) Vergniory,\* BJW\*, ..., Regnault, Science (2022) BJW, ..., Vergniory, Regnault, ..., Nat. Rev. Mater. (2022) Regnault et al., Nature (2022) Karaki et al., Sci. Adv. (2023) Xu, Vergniory, et al., Science (2024)

Our results are freely available here:



www.topologicalquantumchemistry.com

Partial list of DFT papers Elementary Band Representations and Group Theory from the Perspective of Condensed Matter Physics Aussois GDR School, May 2024

Benjamin J. Wieder

# Fin. Merci!

