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# Connecting the one-band and three-band Hubbard models of cuprates via spectroscopy and scattering experiments

K. Sheshadri<sup>1</sup>, D. Malterre<sup>2</sup>, A. Fujimori<sup>3,4,5</sup> and A. Chainani<sup>5</sup>

<sup>1</sup>226, Bagalur, Bangalore North, Karnataka State, 562149, India

<sup>2</sup>Institut Jean Lamour, Université de Lorraine, UMR 7198 CNRS, BP70239, 54506 Vandoeuvre lés Nancy, France

<sup>3</sup>Department of Physics, The University of Tokyo, 7-3-1 Hongo, Bunkyo-ku, Tokyo 113-0033, Japan

<sup>4</sup>Center for Quantum Science and Technology and Department of Physics, National Tsing Hua University, Hsinchu 30013, Taiwan

<sup>5</sup>Condensed Matter Physics Group, National Synchrotron Radiation Research Center, Hsinchu 30076, Taiwan



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The one- and three-band Hubbard models which describe the electronic structure of cuprates indicate very different values of effective electronic parameters, such as the on-site Coulomb energy and the hybridization strength. In contrast, a comparison of electronic parameters of several cuprates with corresponding values from spectroscopy and scattering experiments indicates similar values in the three-band and cluster model calculations used to simulate experimental results. The Heisenberg exchange coupling  $J$  obtained by a downfolding method in terms of the three-band parameters is used to carry out an optimization analysis consistent with  $J$  from neutron scattering experiments for a series of cuprates. In addition, the effective one-band parameters  $\tilde{U}$  and  $\tilde{t}$  are described using the three-band parameters, thus revealing the hidden equivalence of the one- and three-band models. The ground-state singlet weights obtained from an exact diagonalization elucidates the role of Zhang-Rice singlets in the equivalence. The results provide a consistent method to connect electronic parameters obtained from spectroscopy and the three-band model with values of  $J$  obtained from scattering experiments, band dispersion measurements, and the effective one-band Hubbard model.

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## I. INTRODUCTION

The mechanism of high-temperature superconductivity exhibited by the copper-oxide families of layered compounds remains one of the most intriguing and challenging topics in condensed matter physics [1], nearly 36 years after its discovery [2]. The discovery of copper-oxide-based superconductivity led to unprecedented theoretical and experimental efforts to understand the phenomenon. While there have been innumerable models put forth to understand the mechanism of high-temperature superconductivity, it still remains an open problem. On the other hand, nearly all the models agree that superconductivity in copper-oxide-based materials is intimately associated with quasi-two-dimensionality (2D) and strong electron-electron correlations [1]. This is based on the fact that the  $\text{CuO}_2$  planes are the main source of the electronic states which undergo the superconducting transition. At a very broad level, the possible mechanisms discussed in the literature span over various models including the effective one-band Hubbard model [3,4], resonating valence bond theory [5], the three-band Hubbard model [6,7], the t-J model [8], spin-fluctuation-driven pairing [9], marginal Fermi liquid [10], pair density wave model [11], and electron-phonon coupling-induced pairing which goes beyond the BCS model [12].

The simplest parent compound  $\text{La}_2\text{CuO}_4$  is a good antiferromagnetic insulator and, upon hole-doping, undergoes a transition to a dome-shaped superconducting phase with

an optimal  $T_c \sim 38$  K [2]. While the long-range order is lost,  $\text{La}_{2-x}\text{Sr}_x\text{CuO}_4$ , as well as several other copper oxide superconductors, continues to exhibit antiferromagnetic correlations in the form of resonant modes and paramagnons in the superconducting phase [13–15]. In fact, along with superconductivity, all the families of copper-oxide superconductors also show spin- and charge-ordering phenomena [16–25] which suggests a complex coexistence of electron-phonon coupling, spin fluctuations, and electron-electron correlation effects [26,27].

The basic starting point to understand cuprate properties is often considered the 2D Hubbard model involving strong electron-electron correlations with strong Cu-O hybridization leading to the Zhang-Rice singlet (ZRS) ground state (GS) [4]. It is well known and well accepted that the parent copper-oxide materials are best described as charge-transfer insulators in the Zaanen-Sawatzky-Allen scheme [28], where the copper on-site Coulomb energy  $U_d \gg \Delta$ , the charge-transfer energy, and the lowest energy excitations involve the strongly hybridized Cu  $3d$  and O  $2p$  ZRS states. Further, hole doping in the parent compound results in oxygen hole carriers retaining the ZRS character of the lowest energy excitations [29–31].

A very important issue involves how to quantify electron-electron correlations in any transition metal compound, in general, and the cuprates, in particular [32,33]. Depending on the theoretical model, the values of electron-electron correlation strength can be very different for the same material. A

comparison of the effective one-band Hubbard model [3,4] consisting of the single antibonding band made up of the Cu  $d_{x^2-y^2}$  and O  $p_x, p_y$  orbitals, and the effective three-band Hubbard model [6,7] which describes the cuprate electronic structure in terms of the Cu-O bonding, nonbonding, and antibonding bands show significantly different values of on-site Coulomb energy in the Cu  $d$  states. In the following, to distinguish the one- and three-band parameters, we use the notation  $U_d/U_p$  and  $t_{pd}$  for the Cu/O on-site Coulomb energies and hopping in the three-band model, while  $\tilde{U}$  and  $\tilde{t}$  are used for the one-band Hubbard model, respectively. Thus, for example, while early studies of the three-band model estimated  $U_d \sim 7\text{--}10$  eV and  $U_p \sim 3\text{--}6$  eV [34–36], typical values of  $\tilde{U} \sim 3\text{--}4$  eV are known for the effective one-band model [37,38].

It is noted that, while several theoretical studies have included the oxygen on-site Coulomb energy  $U_p$ , there are also some studies which have neglected  $U_p$ . For example, early theory [7] and cluster model calculations of core-level photoemission and optical absorption [39–42] could explain experimental results fairly well but in the absence of  $U_p$ . In a study using the coherent potential approximation, an effective one-band model was obtained from the three-band model including the intersite Coulomb energy  $U_{pd}$  treated in the Hartree-Fock approximation, but with  $U_p = 0$  [43,44]. The authors showed that the effective  $\tilde{U}$  increased on increasing  $U_{pd}$ , and they could obtain a metal-insulator phase diagram as a function of  $U_d$  and  $\Delta$ . In a three-band Hubbard model using the constrained-path Monte Carlo method, the binding energy of a pair of holes and the symmetry of superconducting pairing correlation functions was investigated but in the absence of  $U_p$  [45]. Cluster perturbation theory applied to calculate spectral functions of cuprates also did not include  $U_p$  but could show spin-charge separation in the one-dimensional (1D) Hubbard model, as well as momentum-dependent spectral-weight in the 2D Hubbard model [46]. Cluster dynamical mean field theory approximation was used to investigate the three-band Hubbard model in the absence of  $U_p$  and showed that the cuprates can be described as magnetically correlated Mott insulators [47]. More recently, quantum Monte Carlo calculations demonstrated dynamical stripe correlations in the three-band Hubbard model without  $U_p$  and explained experimental observations such as the hourglass magnetic dispersion [48]. The three-band Hubbard model using the auxiliary-field quantum Monte Carlo method, but without  $U_p$ , was used to show the importance of  $\Delta$  and a quantum phase transition from an antiferromagnetic insulator to paramagnetic metal for  $\Delta < 3$  eV [49].

However, electron spectroscopy studies in conjunction with cluster model calculations or using the Cini-Sawatzky method [50,51] have estimated  $U_d \sim 6\text{--}8$  eV [39,40,52] and  $U_p \sim 5\text{--}6$  eV [53–55]. Thus,  $U_d$  and  $U_p$  are comparable and needed for describing the electronic states derived from Cu-O planes, particularly in the charge transfer limit, as  $U_p$  gets close to or larger than  $\Delta$ . Further, an *ab initio* method with dynamical screening [37] applied to the one-band model for  $\text{La}_2\text{CuO}_4$  estimated a static  $\tilde{U}(w=0) \sim 3.65$  eV, while for the three-band model, it gave  $U_d(w=0) \sim 7.0$  eV and  $U_p(w=0) \sim 4.64$  eV. Another very recent multiscale *ab initio* method [38] applied to the one-band model for  $\text{La}_2\text{CuO}_4$

estimated  $\tilde{U} \sim 5.0$  eV, while for the three-band model, it estimated  $U_d \sim 9.6$  eV and  $U_p \sim 6.1$  eV. It is noted that the models have also estimated the intersite Coulomb energies, as well as the nearest-neighbor (NN) and next-NN hopping ( $t$  and  $t'$ ) which also show differences depending on the method [34–38].

Very interestingly, Hubbard-type cluster models employing  $d_{x^2-y^2}$ ,  $p_x$ , and  $p_y$  levels have been extensively used for calculating spectra in high-energy spectroscopies like core-level photoemission (PES) and x-ray absorption, and resonant inelastic x-ray scattering (RIXS) structure factors, and the obtained electronic parameters [53–71] are quite close to the theoretical estimates from the effective three-band model [34–36,38,72] (see Tables I and II). It is noted that the effective three-band model parameters were also used to calculate the dynamical spin structure factor of  $\text{Bi2201}$  measured by RIXS [65]. On the other hand, analysis of neutron scattering measurements of magnon dispersions [73] and angle-resolved PES (ARPES) band dispersions [74,75] of parent cuprates have employed the extended one-band Hubbard model or the extended  $t - J$  model to study the NN exchange interaction and correlation effects, and they obtained electronic parameter values close to the values obtained from the effective one-band theoretical models.

For example, it was shown that neutron scattering of  $\text{La}_2\text{CuO}_4$  provided a dominant NN hopping  $t = 0.33$  eV and an effective  $U/t = 8.8$  with  $U = 2.9$  eV but also showed that, in addition to the NN exchange  $J = 138$  meV, it was important to include ring exchange  $J_c = 38$  meV, while  $J' = J'' = 2$  meV were small [73]. Similarly, for  $\text{Sr}_2\text{CuO}_2\text{Cl}_2$ , the  $t - t' - t'' - J$  model showed  $t = 0.35$  eV, while  $t' = 0.12$  eV, and  $t'' = 0.08$  eV, and with a  $J = 0.14$  eV [75], it implied an effective  $\tilde{U}/t = 10$  with  $\tilde{U} = 3.5$  eV. Thus, in these cases, the results suggest that the NN hopping  $t$  and  $U$  can be considered the  $\tilde{t}$  and  $\tilde{U}$  of the one-band model. For  $\text{CuO}$ , a recent study showed that a linear spin-wave model for a Heisenberg antiferromagnet provided a good description of the neutron scattering results [76]. The relevant exchange constants could be accurately determined and showed that the dominant exchange interaction  $J = 91$  meV, which coupled antiferromagnetically along the  $[10\bar{1}]$  chain direction, while the NN interchain interactions were very weak ( $J_{ac} = 3.9$  meV and  $J_b = 0.39$  meV) and coupled ferromagnetically [76].

Given the differences in electronic parameters between the theoretical one-band vs the three-band models and the corresponding experimental high-energy spectroscopies vs the low-energy magnon and band dispersion measurements, we felt it important to address a possible connection between them. In this paper, we have found an equivalence by using the NN Heisenberg exchange interaction  $J$  obtained from neutron scattering and RIXS experiments [59–65,73,76] as a bridge to connect electronic parameters known from experiment (high-energy spectroscopy, RIXS, and neutron scattering) and theoretical estimates obtained from the one- and three-band Hubbard models. The results show that the three-band Hubbard model parameters can be used to describe  $J$  in terms of the well-known one-band Hubbard model form of  $J = 4\tilde{t}^2/\tilde{U}$  with renormalized parameters  $\tilde{U}$  and  $\tilde{t}$ .

We now summarize our main results. We calculate  $J$ , the strength of the Heisenberg coupling between Cu moments in

TABLE I. Electronic parameters ( $U_d$ ,  $t_{pd}$ ,  $\Delta$ , and  $U_p$ ) for cuprates from the three-band Hubbard model (theory) and from cluster model calculations (spectroscopy and RIXS). The table also shows two optimized parameter sets ( $\Delta_1$ ,  $U_{p1}$  and  $t_{pd2}$ ,  $\Delta_2$ ) with their cost functions  $f_1$  and  $f_2$ , respectively.  $J$  is the NN Heisenberg exchange deduced from scattering experiments. See text for details.

Compound [Ref.]	$U_d$ ( $\pm 0.5$ eV)	$t_{pd}$ ( $\pm 0.2$ eV)	$\Delta$ ( $\pm 1.0$ eV)	$U_p$ ( $\pm 0.5$ eV)	Optimization-1			$J$ [Ref.] ( $\pm 5$ meV)	Optimization-2		
					$\Delta_1$ (eV)	$U_{p1}$ (eV)	$f_1$		$t_{pd2}$ (eV)	$\Delta_2$ (eV)	$f_2$
Theory											
La <sub>2</sub> CuO <sub>4</sub> [34]	9.4	1.5	3.5	4.7	5.7	4.9	5.09	140 [73]	1.1	3.7	0.96
La <sub>2</sub> CuO <sub>4</sub> [35]	10.5	1.3	3.6	4.0	4.5	4.1	1.01	140 [73]	1.2	3.7	0.4
La <sub>2</sub> CuO <sub>4</sub> [36]	8.8	1.3	3.5	6.0	4.5	6.1	0.98	140 [73]	1.2	3.7	0.38
La <sub>2</sub> CuO <sub>4</sub> [38]	9.61	1.37	3.7	6.1	4.6	6.2	0.79	140 [73]	1.2	3.9	0.36
Hg1201 [38]	8.84	1.26	2.42	5.3	4.4	5.4	3.78	135 [64]	0.9	2.6	0.75
Bi2212 [72]	8.5	1.13	3.2	4.1	3.5	4.1	0.06	161 [64]	1.1	3.5	0.06
Spectroscopy											
CuO [54,69]	7.7	1.55	2.5	5	7.6	5.4	25.9	91 [76] <sup>a</sup>	0.8	2.6	1.72
Sr <sub>2</sub> CuO <sub>3</sub> [66,67]	8.8	1.45	2.5	4.4	4.4	4.6	3.62	241 [59]	1.1	2.8	0.96
Sr <sub>2</sub> CuO <sub>2</sub> Cl <sub>2</sub> [68]	8.8	1.5	3.5	4.4	6.0	4.6	6.45	130 [74,75]	1.1	3.7	1.04
La <sub>2</sub> CuO <sub>4</sub> [69,70]	7.0	1.5	3.5	6.0	6.0	6.2	6.49	140 [73]	1.13	3.7	1.0
Nd <sub>2</sub> CuO <sub>4</sub> [71]	8.0	1.1	3.0	4.1	3.6	4.1	0.41	133 [60]	1.0	3.2	0.21
Pr <sub>2</sub> CuO <sub>4</sub> [71]	8.0	1.1	3.0	4.1	3.8	4.2	0.62	121 [60]	1.0	3.2	0.26
YBCO [53,55]	7.0	1.2	1.5	5.0	4.4	5.2	8.2	125 [61]	0.7	1.7	0.99
Bi2212 [58]	7.7	1.5	3.5	6.0	5.6	6.1	4.3	161 [64]	1.2	3.7	0.88
RIXS											
Bi2201 [65]	10.2	1.35	3.9	5.9	4.5	5.9	0.34	153 [64,65]	1.3	4.1	0.22

<sup>a</sup>For CuO, the dominant exchange interaction  $J$  which couples antiferromagnetically is the one along the  $[10\bar{1}]$  chain direction and considered here, while the NN spins exhibit a weak ferromagnetic coupling.

a Cu<sub>2</sub>O cluster, using the downfolding method discussed by Koch [33]. For several compounds, neutron scattering data for  $J$  and spectroscopic data for  $U_d$ ,  $U_p$ ,  $\Delta$ , and  $t_{pd}$  are

available. Directly using the spectroscopic parameter values in the downfolding expression for  $J$  leads to deviations from the experimental  $J$  values. We therefore use two estimation

TABLE II. Renormalized electronic parameters  $\tilde{U}$  and  $\tilde{t}$  for cuprates in the one-band Hubbard model along with the GS singlet weights  $c_{21}$  (between the two Cu sites) and  $c_{13}$  (between the Cu and O site). Optimization-1 uses  $U_d$ ,  $t_{pd}$ ,  $\Delta_1$ , and  $U_{p1}$ ; and Optimization-2 uses  $U_d$ ,  $t_{pd2}$ ,  $\Delta_2$ , and  $U_p$  from Table I to obtain corresponding  $\tilde{U}$  and  $\tilde{t}$ .

Compound [Ref.]	Optimization-1			$J$ (meV)	Optimization-2			$c_{21}$	$c_{13}$
	$\tilde{U}$ (eV)	$\tilde{t}$ (eV)	$\tilde{U}/\tilde{t}$		$\tilde{U}$ (eV)	$\tilde{t}$ (eV)	$\tilde{U}/\tilde{t}$		
Theory									
La <sub>2</sub> CuO <sub>4</sub> [34]	4.38	0.39	11.18	140	3.68	0.36	10.26	0.65	0.2
La <sub>2</sub> CuO <sub>4</sub> [35]	4.03	0.37	10.73	140	3.7	0.36	10.28	0.65	0.2
La <sub>2</sub> CuO <sub>4</sub> [36]	4.05	0.38	10.76	140	3.81	0.37	10.42	0.64	0.2
La <sub>2</sub> CuO <sub>4</sub> [38]	4.27	0.41	10.43	140	4.05	0.4	10.16	0.64	0.2
Hg1201 [38]	3.93	0.36	10.79	135	3.3	0.33	9.89	0.63	0.21
Bi2212 [72]	3.35	0.37	9.13	161	3.34	0.37	9.11	0.64	0.2
Spectroscopy									
CuO [54,69]	4.39	0.32	13.87	91	3.09	0.27	11.62	0.64	0.2
Sr <sub>2</sub> CuO <sub>3</sub> [66,67]	3.79	0.48	7.94	241	3.17	0.44	7.25	0.62	0.23
Sr <sub>2</sub> CuO <sub>2</sub> Cl <sub>2</sub> [68]	4.28	0.37	11.47	130	3.53	0.34	10.42	0.65	0.19
La <sub>2</sub> CuO <sub>4</sub> [69,70]	3.96	0.37	10.64	140	3.42	0.34	9.89	0.64	0.2
Nd <sub>2</sub> CuO <sub>4</sub> [71]	3.33	0.33	10.01	133	3.17	0.32	9.75	0.64	0.2
Pr <sub>2</sub> CuO <sub>4</sub> [71]	3.38	0.32	10.58	121	3.16	0.31	10.23	0.64	0.2
YBCO [53,55]	3.49	0.33	10.56	125	2.61	0.29	9.14	0.62	0.23
Bi2212 [58]	4.07	0.4	10.05	161	3.59	0.38	9.44	0.64	0.2
RIXS									
Bi2201 [65]	4.31	0.41	10.61	153	4.18	0.4	10.45	0.65	0.2

procedures, referred to as Optimization-1 and Optimization-2 in the following, to modify a subset (different in the two procedures) of the spectroscopic data, so that there is good agreement with experimental  $J$  values using the procedure described in Sec. II. We identify effective parameters  $\tilde{t}$  and  $\tilde{U}$  so that the downfolding expression for  $J$  becomes equal to  $4\tilde{t}^2/\tilde{U}$ . The estimated values of  $\tilde{t}$  and  $\tilde{U}$  are found to be consistently smaller than  $t_{pd}$  and  $U_d$  in all cases but lead to a larger  $\tilde{U}/\tilde{t}$  in the one-band case compared with  $U_d/t_{pd}$  of the three-band case, in good agreement with theoretical estimates reported in the literature. The results indicate that stronger effective correlations, arising from a combination of  $U_d$ ,  $U_p$ ,  $\Delta$ , and  $t_{pd}$  are hidden in the effective one-band Hubbard model. In this paper, we provide a consistent method to connect electronic parameters obtained from spectroscopy and the three-band model with effective parameters obtained from neutron scattering, ARPES measurements, and the one-band Hubbard model.

## II. CALCULATIONS

We consider a  $\text{Cu}_2\text{O}$  cluster with site labels  $i = 1, 2$  [for Cu(1) and Cu(2) atoms] and  $i = 3$  (for the O atom). The cluster Hamiltonian is

$$\hat{H} = \frac{\Delta}{2}(n_3 - n_1 - n_2) - t_{pd} \sum_{i\sigma} (d_{i\sigma}^\dagger p_\sigma + \text{H.c.}) + U_d(n_{1\uparrow}n_{1\downarrow} + n_{2\uparrow}n_{2\downarrow}) + U_p n_{3\uparrow}n_{3\downarrow}, \quad (1)$$

where  $n_{i\sigma}^\dagger = d_{i\sigma}^\dagger d_{i\sigma}$  ( $i = 1, 2$ ),  $n_{3\sigma} = p_\sigma^\dagger p_\sigma$ , and  $n_i = n_{i\uparrow} + n_{i\downarrow}$ . Here,  $d_{i\sigma}^\dagger$  creates a hole with a  $z$  component of spin  $\sigma = \pm\frac{1}{2}$  in the Cu  $d$  orbital at site  $i$  ( $= 1, 2$ ), and  $p_\sigma^\dagger$  creates a hole with a  $z$  component of spin  $\sigma = \pm\frac{1}{2}$  in the O  $p$  orbital at the site located in between the two Cu sites. Here,  $\Delta$  is the charge-transfer energy; the parameters  $U_p$  and  $U_d$  are on-site Coulomb energies at the O and Cu sites, respectively; and finally,  $t_{pd}$  is the strength of hopping between neighboring O and Cu sites.

In this paper, we consider a filling fraction corresponding to undoped cuprates, in which the outermost  $p$  orbital on the O site is filled with two electrons (i.e., empty in the hole picture), and the outermost  $d$  orbital on the Cu site has one electron (i.e., one hole), in the absence of hopping. For our cluster with three atoms, this corresponds to a total occupancy of four electrons or two holes. The two holes can be selected in three ways: both with  $\sigma = -\frac{1}{2}$  (the ferromagnetic down case), both with  $\sigma = \frac{1}{2}$  (the ferromagnetic up case), and finally, one hole with  $\sigma = \frac{1}{2}$  and another with  $\sigma = -\frac{1}{2}$  (the antiferromagnetic case).

We will consider only the antiferromagnetic case henceforth. In this case, there are nine basis states  $|i, j\rangle$ ,  $i, j = 1, 2, 3$ . In state  $|i, j\rangle$ ,  $i$  and  $j$  are the Cu ( $i, j = 1, 2$ ) or O ( $i, j = 3$ ) sites with up and down holes, respectively. In the basis  $\{|1, 2\rangle, |2, 1\rangle, |1, 3\rangle, |3, 1\rangle, |2, 3\rangle, |3, 2\rangle, |1, 1\rangle, |2, 2\rangle, |3, 3\rangle\}$ , the Hamiltonian in Eq. (1) becomes a  $9 \times 9$  matrix:

$$H = \begin{bmatrix} H_{00} & H_{01} & H_{02} \\ H_{10} & H_{11} & H_{12} \\ H_{20} & H_{21} & H_{22} \end{bmatrix}, \quad (2)$$

in which the blocks are

$$\begin{aligned} H_{00} &= -\Delta \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}, & H_{01} &= \begin{bmatrix} t_{pd} & 0 & 0 & -t_{pd} \\ 0 & t_{pd} & -t_{pd} & 0 \end{bmatrix}, \\ H_{02} &= O_{2 \times 3}, & H_{11} &= O_{4 \times 4}, \\ H_{12} &= \begin{bmatrix} t_{pd} & 0 & t_{pd} \\ -t_{pd} & 0 & -t_{pd} \\ 0 & t_{pd} & t_{pd} \\ 0 & -t_{pd} & -t_{pd} \end{bmatrix}, \\ H_{22} &= \begin{bmatrix} U_d - \Delta & 0 & 0 \\ 0 & U_d - \Delta & 0 \\ 0 & 0 & U_p + \Delta \end{bmatrix}. \end{aligned} \quad (3)$$

In the above,  $O_{m \times n}$  denotes an  $m \times n$  matrix of zeros. We calculate the Heisenberg antiferromagnetic coupling  $J$  between the Cu(1) and Cu(2) spins based on the downfolding fourth-order perturbation method described by Koch [33] and Zurek [77]. Accordingly, the effective Hamiltonian is

$$\begin{aligned} \tilde{H} &= H_{00} + H_{01} \{ \epsilon - [H_{11} + H_{12}(\epsilon - H_{22})^{-1}H_{21}]^{-1} \}^{-1} \\ &\approx H_{00} + H_{01}(\epsilon - H_{11})^{-1}H_{10} + H_{01}(\epsilon - H_{11})^{-1} \\ &\quad \times H_{12}(\epsilon - H_{22})^{-1}H_{21}(\epsilon - H_{11})^{-1}H_{10}, \end{aligned} \quad (4)$$

where we have used the approximation  $(A + B)^{-1} \approx A^{-1}(1 - BA^{-1})$ . We now take  $\epsilon = -\Delta$  and perform the matrix products above. The result is

$$\tilde{H} \approx -\frac{2t_{pd}^2}{\Delta} \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} - \frac{J}{2} \begin{bmatrix} 1 & -1 \\ -1 & 1 \end{bmatrix}, \quad (5)$$

where the Heisenberg coupling is

$$J = 4 \frac{t_{pd}^4}{\Delta^2} \left[ \frac{1}{U_d} + \frac{1}{\Delta + U_p/2} \right]. \quad (6)$$

The result we have obtained for  $J$  using the downfolding approximation is the same as that reported in earlier studies [32,78,79] using a fourth-order perturbation theory. If we now define  $\tilde{t}$  and  $\tilde{U}$  using

$$\tilde{t} = \frac{t_{pd}^2}{\Delta}, \quad \frac{1}{\tilde{U}} = \frac{1}{U_d} + \frac{1}{\Delta + U_p/2}, \quad (7)$$

then  $J = 4\tilde{t}^2/\tilde{U}$ . This is the expression for  $J$  we would get if we used a one-band Hubbard model with a hopping strength  $\tilde{t}$  and an on-site repulsion  $\tilde{U} \gg \tilde{t}$ , using second-order perturbation theory. In this sense, we consider  $\tilde{U}$  and  $\tilde{t}$  as the parameters of an effective one-band Hubbard model corresponding to the model in Eq. (1).

We find that using the spectroscopic values on the right-hand side and the experimental  $J$  values on the left-hand side of Eq. (6) does not satisfy the equation with sufficient accuracy. We therefore modify, in an optimal manner described below, a subset of the spectroscopic parameter values so that the agreement is good.

We now describe two such simple optimization procedures. We define the parameter  $R = \tilde{U}/\tilde{t}$  to obtain the parametric forms  $\tilde{t} = RJ/4$ ,  $\tilde{U} = R^2J/4$  for the effective parameters. These are the expressions that we use below for  $\tilde{t}$ ,  $\tilde{U}$ .

TABLE III. Examples of one-band model electronic parameters estimated independently from magnon dispersion in neutron scattering, band dispersion in ARPES, and from *ab initio* theory.

Compound [Ref.]	$\tilde{U}$ (eV)	$\tilde{t}$ (eV)	$\tilde{U}/\tilde{t}$	Method
La <sub>2</sub> CuO <sub>4</sub> [79]	2.9	0.33	8.8	Neutron scattering
Sr <sub>2</sub> CuO <sub>2</sub> Cl <sub>2</sub> [73,80]	3.5	0.35	10.0	ARPES
La <sub>2</sub> CuO <sub>4</sub> [38]	5.0	0.48	10.4	<i>Ab initio</i> theory
Hg1201 [38]	4.4	0.46	9.5	<i>Ab initio</i> theory

In the Optimization-1 procedure, we modify  $(\Delta, U_p)$ . We solve the relations in Eq. (7) to obtain  $\Delta_1(R) = t_{pd}^2/\tilde{t}$  and  $U_{p1}(R)/2 = U_d\tilde{U}/(U_d - \tilde{U}) - \Delta_1(R)$ . We then minimize a cost function  $f_1(R) = [\Delta_1(R) - \Delta]^2 + [U_{p1}(R) - U_p]^2$  with respect to  $R$  to obtain the minimum  $R^*$ , using the spectroscopic values for  $U_d$ ,  $U_p$ ,  $\Delta$ , and  $t_{pd}$  and neutron scattering values for  $J$ . This estimates  $\Delta_1(R^*)$ ,  $U_{p1}(R^*)$ ,  $\tilde{U}(R^*)$ , and  $\tilde{t}(R^*)$ .

In the Optimization-2 procedure, we modify  $(\Delta, t_{pd})$ . We solve the relations in Eq. (7) to obtain  $t_{pd2}(R)^2 = \Delta_2(R)\tilde{t}$  and  $\Delta_2(R) = U_d\tilde{U}/(U_d - \tilde{U}) - U_p/2$ . We then minimize a cost function  $f_2(R) = [\Delta_2(R) - \Delta]^2 + |[t_{pd2}(R)^2 - t_{pd}^2]|$  with respect to  $R$  to obtain the minimum  $R^*$ , using the spectroscopic values for  $U_d$ ,  $U_p$ ,  $\Delta$ , and  $t_{pd}$  and neutron scattering values for  $J$ . This estimates  $\Delta_2(R^*)$ ,  $t_{pd2}(R^*)$ ,  $\tilde{U}(R^*)$ , and  $\tilde{t}(R^*)$ .

### III. RESULTS AND DISCUSSION

The results are summarized in Tables I and II for a variety of CuO-based materials. Table I presents our estimates of the theoretical and spectroscopic three-band model parameters, while Table II presents our estimates of effective one-band parameters. Both tables contain results of the two optimization procedures that we discussed above.

In Table I, columns 5–7 present results of the Optimization-1 procedure: These are values of  $\Delta_1$ ,  $U_{p1}$ , and  $f_1$ . Columns 9–11 present results of the Optimization-2 procedure: These are values of  $t_{pd2}$ ,  $\Delta_2$ , and  $f_2$ . We can see from the cost function values that Optimization-2 is better than Optimization-1; this is also reflected in the greater closeness of  $(t_{pd2}, \Delta_2)$  estimates to measured values than that of  $(\Delta_1, U_{p1})$  estimates to measured values. Considering that  $J$  depends on  $t_{pd}^4$  in Eq. (6), it can be seen that a smaller spread in  $t_{pd}$  across compounds provides a better description of parameter values; further, since  $\Delta$  and  $t_{pd}$  are intimately related through the first relation in Eq. (7), it makes sense to optimize with respect to these two parameters as is done in Optimization-2. This has the result of reducing the spread in estimated  $t_{pd2}$  values compared with reported spectroscopic  $t_{pd}$  values. This also improves the estimates of  $\Delta$  compared with  $\Delta_1$  in Optimization-1. For these reasons, we can understand that Optimization-2 is better than not only Optimization-1 but also other possible optimization choices, namely,  $(\Delta, U_d)$ ,  $(t_{pd}, U_p)$ , and  $(t_{pd}, U_d)$ . We therefore do not present the results of these latter procedures.

Since  $R = \tilde{U}/\tilde{t} \sim 10$  in most cases (see columns 4 and 8 in Table II), we can see that it makes sense to treat  $\tilde{U}$ ,  $\tilde{t}$  as effective one-band parameters, as is known from earlier work (Table III). We observe that  $R \sim 10$  not only in cases

where spectroscopic three-band parameter values are reported but also for theoretical as well as RIXS three-band parameter values (see Table II).

Secondly,  $\tilde{U}$  is roughly half of  $U_d$  in almost all cases. This shows that the effective model is not a simple Cu  $d$ -band model, but possibly a more hybrid one involving Cu  $d$  and O ( $p_x, p_y$ ) orbitals. To understand this better, we have looked at the nature of the GS obtained by exactly diagonalizing the cluster Hamiltonian in Eq. (1) for each compound in Table I using our Optimization-2 estimates of the three-band parameters. The GS we obtain,  $|G\rangle = \sum_{ij} c_{ij}|i, j\rangle$ , always has the property  $c_{12} = -c_{21}$ ,  $c_{13} = -c_{31} = c_{23} = -c_{32}$ ,  $c_{11} = c_{22}$  by symmetry, which shows that it is a singlet of Cu and O orbitals. We can thus completely characterize the GS with the two distinct singlet weights  $c_{21}$  and  $c_{13}$  and the two distinct hole double-occupancy weights  $c_{11}$  and  $c_{33}$ . Since our focus is primarily on the singlet nature of  $|G\rangle$ , we present  $c_{21}$  and  $c_{13}$  in Table II (see columns 9 and 10). The singlet weights of the Cu-Cu and Cu-O sectors confirm that the GS is a ZRS. The effective interaction  $\tilde{U}$  is thus not between purely Cu  $d$  holes but represents the hybrid ZR singlets and is therefore significantly smaller than  $U_d$ . However, it must also be noted from Tables I and II that  $\tilde{U}/\tilde{t} \simeq 10$ , satisfying the strong correlation condition in the effective one-band model. In Table III, we list a few examples of one-band model electronic parameters estimated independently, from magnon dispersion in neutron scattering, band dispersion in ARPES, and from *ab initio* theory. It is clear that the values of  $\tilde{U}/\tilde{t}$  in all the cases are close to the values in Table II and validate our analysis.

Finally, in Figs. 1(a)–1(d), we present plots of various  $|c_{ij}|^2$  as a function of  $t_{pd}$ , for  $U_p = 1, 3$ , and 5 eV; we have fixed the values  $U_d = 8$  eV and  $\Delta = 3.3$  eV (=average  $\Delta$  of values obtained by Optimization-2 shown in Table I) in these plots. Figure 1(a) shows that the pure Cu(1)-Cu(2) singlet weight  $2|c_{12}|^2 \sim 1$  obtained for  $t_{pd} = 0$  systematically reduces in weight on increasing  $t_{pd}$ . Simultaneously, the total Cu(1)-O(3) singlet weight  $4|c_{13}|^2$  increases systematically on increasing  $t_{pd}$ , indicating the role of Cu-O hybridization in forming the ZRS state for the cuprates. Thus, the O  $p$  orbital plays an increasingly important role on increasing  $t_{pd}$  to  $\sim 1$  eV, typical of the cuprates. Further, the on-site double occupancy weights  $|c_{ii}|^2$ ,  $i = 1 - 3$ , are quite small [Figs. 1(c) and 1(d)]. However, on increasing  $U_p$  from 1 to 5 eV, while there is hardly any change in the total double occupancy weight  $2|c_{11}|^2$  on the Cu sites, the double occupancy weight  $|c_{33}|^2$  on the O site gets suppressed to nearly half its value for  $t_{pd} > 1$  eV. This behavior of the O site double occupancy is closely related to the reduction of  $J$  by  $U_p$  according to Eq. (6). Thus,  $U_p$  plays an important role in tuning the value of  $J$ , which is considered one of the most important parameters to achieve high-temperature superconductivity exhibited by the family of cuprates [1,59–65,73,81–84].

### IV. CONCLUDING REMARKS

In this paper, we have presented a data analysis of spectroscopic parameters and neutron scattering parameters for a variety of cuprates based on a theoretical relationship between the parameters of a three-band model and effective one-band Heisenberg antiferromagnetic coupling, using a cluster model

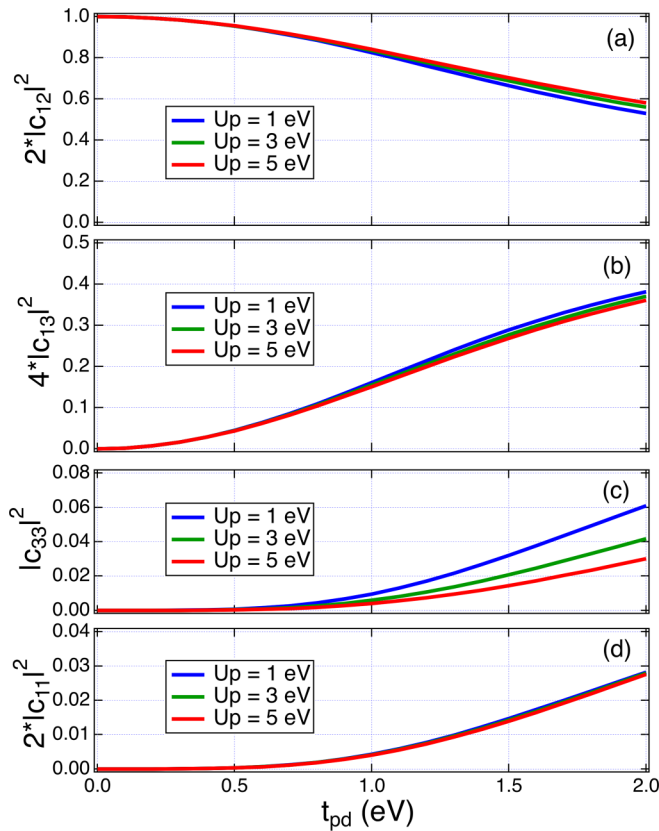


FIG. 1. Plots of various calculated total weights  $|c_{ij}|^2$  as a function of  $t_{pd}$ , for  $U_d = 8$  eV,  $\Delta = 3.3$  eV, and  $U_p = 1, 3,$  and  $5$  eV. (a) Total Cu(1)-Cu(2) singlet weight  $2|c_{12}|^2$ . (b) Total Cu(1)-O(3) singlet weight  $4|c_{13}|^2$ . (c) and (d) On-site double occupancy weights  $|2c_{11}|^2$  [total for the Cu(1) and Cu(2) sites] and  $|c_{33}|^2$  for the O(3) site.

calculation. We have also performed an exact diagonalization of the cluster Hamiltonian to understand the nature of the GS.

Our analysis shows  $\tilde{U} < U_d$  always. In addition to agreeing with estimates of  $\tilde{U}$  from the one-band model applied to

neutron scattering or ARPES experiments, this inequality is a direct consequence of Eq. (7).

Here,  $U_p$  is significant in magnitude, both in measurements and in our estimates, and is not small compared with  $U_d$ . While  $U_p$  has been neglected in some studies on cuprates, we believe it is as important as  $U_d$ . Further, the second relation in Eq. (7) shows that the effective interaction  $\tilde{U}$  is enhanced by  $U_p$  and  $\Delta$ .

The GS singlet weights from our exact diagonalization show the importance of O moments and ZRS in the effective description. We also observe that the singlet weights change very little across the family of compounds, despite a variation in the three-band spectroscopic parameters that are used to calculate them. This holds for the ratio  $\tilde{U}/\tilde{t}$  as well.

Here,  $\tilde{U}/\tilde{t} \sim 10$  in all cases, pointing to the effective one-band model being strongly correlated.

As to the spectroscopic values of the three-band parameters, it is generally believed that  $\Delta$  and  $t_{pd}$  measurements are less reliable than those of  $U_d$  and  $U_p$ . Our estimation procedure Optimization-2 attempts to offer a reasonable description of the spectroscopic and neutron scattering data by reducing the spread in the values of  $\Delta$  and  $t_{pd}$  across the family of cuprates.

In conclusion, we have performed a perturbative and exact diagonalization study of a model of a  $\text{Cu}_2\text{O}$  cluster that connects electronic parameters obtained from spectroscopy and the three-band model with values of  $J$  obtained from scattering, band dispersion measurements, and the effective one-band Hubbard model.

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