Quantum phase transition and underscreened Kondo effect in electron transport through parallel double quantum dots

Guo-Hui Ding\textsuperscript{1}, Fei Ye\textsuperscript{2} and Bing Dong\textsuperscript{1}

\textsuperscript{1} Department of Physics, Shanghai Jiao Tong University, Shanghai 200240, People’s Republic of China
\textsuperscript{2} Center for Advanced Study, Tsinghua University, Beijing 100084, People’s Republic of China

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Abstract

We investigate electronic transport through a parallel double quantum dot (DQD) system with strong on-site Coulomb interaction and capacitive interdot coupling. By applying the numerical renormalization group (NRG) method, the ground state of the system and the transmission probability at zero temperature have been obtained. For a system of quantum dots with degenerate energy levels and small interdot tunnel coupling, the spin correlations between the DQDs is ferromagnetic and the ground state of the system is a spin-1 triplet state. The linear conductance will reach the unitary limit ($2e^2/h$) due to the underscreened Kondo effect at low temperature. As the interdot tunnel coupling increases, there is a quantum phase transition from ferromagnetic to antiferromagnetic spin correlation in DQDs and the linear conductance is strongly suppressed.

(Some figures in this article are in colour only in the electronic version)

1. Introduction

In recent years considerable research attention has been paid to electron transport through double quantum dot (DQD) systems\cite{1}, which are artificial small quantum systems that can be readily controlled by external gate voltage and also exhibit a variety of interesting strongly correlated electron behaviors. Basically, there are two different experimental realizations of DQD systems: DQDs connected in serial\cite{2} or in parallel configurations\cite{3}. Electron transport through both configurations has been studied in experiments, and the molecular states of the double dots and also the competition between the Kondo effect and the RKKY interaction have been observed\cite{2, 3}.

The theoretical studies on electron transport through DQDs are largely devoted to the system in the Kondo regime. For DQDs connected in serial, the antiferromagnetic correlations between two single-level coupled QDs are in competition with Kondo correlations between the QDs and the electrons in the leads. Therefore it gives rise to rich ground state physical properties at zero temperature\cite{4–7}. For DQDs with large capacitive coupling, the simultaneous appearance of the Kondo effect in the spin and charge sectors results in an $SU(4)$ Fermi liquid ground state\cite{8}. By increasing interdot capacitive coupling, a quantum phase transition of Kosterlitz–Thouless-type to a non-Fermi-liquid state with anomalous transport properties is predicted\cite{9}. Martins et al argued that the ferromagnetic state cannot be realized in two single-level QDs connected in serial, but they predict that the FM state can be developed in two double-level QDs\cite{10}. For the DQD system in parallel configuration, the physical properties can be quite different, since the interference effect will play an important role in its transport properties. The Fano effect for electron transport through bonding and antibonding channels in the DQD system has been studied\cite{11–13}.

Due to the strong correlation of electrons in the QDs, it is a non-trivial problem to treat those systems theoretically. It is well known that Wilson’s numerical renormalization group\cite{14–17} method is a nonperturbative approach to the quantum impurity problem, which can take into account the on-site Coulomb repulsion and the spin exchange interaction.
between the electrons in DQDs exactly, in contrast to the slave boson mean-field theory or the equation of motion method within the Hartree–Fock approximation. The NRG method has already been applied to investigate a lot of problems in the electron transport through QD systems: for instance, DQDs connected in serial [18], the quantum phase transition in multilevel QD [19], Kondo effect in coupled DQDs with RKKY interaction in external magnetic field [20], the side-local density of state in this system are obtained.

in multilevel QD [19], Kondo effect in coupled DQDs with interdot magnetic exchange term [19] neglected in the Hamiltonian. Following the standard NRG lead orbitals are totally decoupled with the QDs, they can be symmetric combination of the lead orbitals, the Hamiltonian in DQD system, we adopt Wilson’s NRG approach. By

\[ H_{\text{DQD}} = \sum_{\sigma} \left( \frac{\epsilon_{i} c_{i\sigma}^\dagger c_{i\sigma} + V_{i1} n_{i1\downarrow} + V_{i2} n_{i2\downarrow}}{2} + \frac{t_{i} (d_{i\sigma}^\dagger d_{2\sigma} + d_{2\sigma}^\dagger d_{i\sigma}) + \sum_{\nu \nu' \sigma} (v_{\nu\nu'} d_{i\sigma}^\dagger c_{\nu\sigma} + \text{h.c.})}{2} \right) \]

where \(c_{i\sigma}^\dagger\) (\(c_{i\sigma}\)) denote annihilation (creation) operators for electrons in the leads (\(\eta = L, R\)) and \(d_{i\sigma} (d_{i\sigma}^\dagger)\) those of the single-level state in the \(i\)th dot (\(i = 1, 2\)). \(n_{i\sigma}\) denotes the electron number operator with spin index \(\sigma\) in the \(i\)th dot and \(n_{i\sigma} = \sum_{\sigma} n_{i\sigma} \). \(U\) is the interdot Coulomb interaction between electrons, \(V\) is the interdot capacitive coupling. \(t_{i}\) is the interdot tunnel coupling and \(v_{\nu\nu'}\) is the tunnel matrix element between lead \(\eta\) and dot \(i\). It should be noted that an interdot magnetic exchange term \(J\) is not explicitly included in this Hamiltonian since it is not an independent parameter but a function of the interdot tunneling (\(J \sim t_{i}^2 / U\)). We consider the symmetric coupling case with \(\Gamma_{1} = \Gamma_{2} = \Gamma_{1}\), where \(\Gamma_{1} = 2\pi \sum_{\nu \sigma} |v_{\nu\sigma}|^2 \delta (\omega - \epsilon_{\nu\sigma})\) is the hybridization strength between the \(i\)th dot and the lead \(\eta\).

In order to access the low energy physics of this DQD system, we adopt Wilson’s NRG approach. By symmetric combination of the lead orbitals, the Hamiltonian in equation (1) can be mapped to a single-channel two-impurity Anderson model. Because the antisymmetric combination of lead orbitals are totally decoupled with the QDs, they can be neglected in the Hamiltonian. Following the standard NRG method, one defines a series of rescaled Hamiltonian \(H_{N}\) as follows:

\[ H_{N} = \Lambda^{(N-1)/2} \left[ \sum_{\sigma} \left( \frac{\epsilon_{i} c_{i\sigma}^\dagger c_{i\sigma} + V_{i1} n_{i1\downarrow} + V_{i2} n_{i2\downarrow}}{2} + \frac{t_{i} (d_{i\sigma}^\dagger d_{2\sigma} + d_{2\sigma}^\dagger d_{i\sigma}) + \sum_{\nu \nu' \sigma} (v_{\nu\nu'} d_{i\sigma}^\dagger c_{\nu\sigma} + \text{h.c.})}{2} \right) \right] + \sum_{i\sigma} (\tilde{\epsilon}_{i} + \frac{i}{\Lambda} \tilde{U}) d_{i\sigma}^\dagger d_{i\sigma} + \frac{i}{\Lambda} \tilde{U} (n_{i1} - 1)^{2} \]

where \(\Lambda\) is the renormalization parameter and \(\tilde{\epsilon}_{i} \approx 1\) [17]. The other parameters are \(\tilde{\epsilon}_{i} = \frac{\epsilon_{i}}{\Lambda^{1/2} \tilde{U}}, \tilde{U} = \frac{\Lambda^{1/2} U}{\Lambda^{1/2} \tilde{U}}\), \(\tilde{U} = \frac{2}{\Lambda^{1/2} \tilde{U}}, \tilde{\epsilon}_{i} = \frac{\Lambda^{1/2} \tilde{U}}{\Lambda^{1/2} \tilde{U}}\) and \(\tilde{\tilde{U}} = \left(\frac{\Lambda^{1/2} U}{\Lambda^{1/2} \tilde{U}}\right)^{2} \tilde{U}\), with \(D\) being the bandwidth of electrons in the leads. The above one-dimensional lattice model is iteratively diagonalized by using the recursion relation:

\[ H_{N+1} = \Lambda^{1/2} H_{N} + \xi_{n} \sum_{\sigma} (f_{N\sigma}^\dagger f_{N+1\sigma} + f_{N+1\sigma}^\dagger f_{N\sigma}). \]

The basis set in each iteration step is truncated by retaining only those states with low-lying energies. In our numerical calculation, we take into account the spin SU(2) symmetry group and keep a total of 600 low-lying energy states in each step without counting the \(S\) degeneracy.

The current formula through the DQDs is given by the generalized Landauer formula [24]:

\[ I = \frac{e}{h} \sum_{\sigma} \int \omega |n_{L\sigma}(\omega) - n_{R\sigma}(\omega)| T(\omega), \]

where the transmission probability \(T(\omega) = -\text{Tr}[\hat{\Gamma} \hat{G}^{\dagger}(\omega)]\), with \(\hat{\Gamma} = \hat{\Gamma}_{L} = \hat{\Gamma}_{R} = \left(\frac{1}{\Lambda^{1/2} \tilde{U}}, \tilde{U}\right)\). The retarded/advanced Green’s functions (GF) \(G^{R/A}(\omega)\) have \(2 \times 2\) matrix structures, which account for the double dot structure of the system. The matrix elements of the retarded GF are defined in spacetime as \(G^{R}_{ij}(t - t') = -i\theta(t - t') \langle \{ d_{i\sigma}(t), d_{j\sigma}^\dagger(t') \} \rangle\). Therefore, the transmission probability \(T(\omega)\) can be obtained by calculating the imaginary parts of the GF of DQDs or the spectral density \(\rho_{\sigma}(\omega) = -\frac{1}{\pi} \text{Im} G_{ij}^{\sigma}(\omega)\). Then, the linear conductance at absolute zero temperature can be given by taking the zero-frequency limit of the transmission probability \(G = \frac{dI}{dT}|_{T=0} = \frac{2e^{2}}{h} T(\omega = 0)\). One advantage of the NRG is accurate determination of the low energy spectral density of the quantum impurity model. By a standard procedure in NRG [17], the spectral density at zero temperature can be calculated according to the following formula:

\[ \rho_{\sigma}(\omega) = \frac{1}{Z(0)} \sum_{\lambda} M_{\sigma,0}(M_{0,\lambda})^{\ast} \delta (\omega - (E_{\lambda} - E_{0})), \]

\[ + \frac{1}{Z(0)} \sum_{\lambda} M_{\sigma,\lambda}(M_{\lambda,0})^{\ast} \delta (\omega + (E_{\lambda} - E_{0})) \]

where the matrix element \(M_{\sigma,0} = \langle \lambda | d_{\sigma} | 0 \rangle\), with \(|0\rangle\) and \(|\lambda\rangle\) being the ground state and excited eigenstate of the impurity model Hamiltonian, respectively.

3. Results and discussions

In the following, we will present the results of our NRG calculation. For the sake of simplicity, we only consider the symmetric coupling case with the hybridization strength \(\Gamma_{1} = \Gamma_{2} = \Gamma\). It should be noticed that for QD with multi-orbitals the hybridization strength usually corresponds to the
asymmetry coupling case in the experiment. Since the physical properties in the asymmetric coupling case can be quite rich and different from the symmetric coupling case, we will restrict our calculation to the symmetric coupling case in the present paper.

We take the bandwidth \( D = 1 \) as the energy unit, the renormalization parameter \( \Lambda = 1.5 \), and the other parameters \( \Gamma = 0.01, U = 10\Gamma \) and \( V = U/2 \). One can define the averaged energy level of QDs as \( \epsilon_{\text{d}} = (\epsilon_{1} + \epsilon_{2})/2 \), and the energy level difference \( \Delta \epsilon_{\text{d}} = \epsilon_{2} - \epsilon_{1} \). Both of them can be tuned experimentally by external gate voltages.

At first, we consider DQDs without interdot tunneling \( (t_{c} = 0) \). In figure 1(a) the occupation number of electrons \( (n_i) \) in each QD is plotted as a function of the average energy level \( \epsilon_{\text{d}} \). The electron occupation number increases consecutively by tuning the QD level below the Fermi energy. For this DQDs with interdot capacitive interaction, one can easily discern the different regions of occupation states: from empty occupation to the state with a total of four electrons in DQDs. In the case of two identical QDs \( (\Delta \epsilon_{\text{d}} = 0) \), abrupt jumps of the occupation number are observed at some particular gate voltage. One can see that the position of jumps can be identified as the region where the DQDs have odd numbers of electrons. For DQDs with different energy levels \( (\Delta \epsilon_{\text{d}} \neq 0) \), the QD with low energy level is occupied first, and because of interdot capacitive interaction, it will greatly suppress the occupation of electrons in another QD compared with the two identical QDs’ case. The interdot spin correlation \( \langle S_{i} \cdot S_{j} \rangle \) as a function of energy level \( \epsilon_{\text{d}} \) is shown in figure 1(b), where the spin operators in the \( i \)th QD are defined by \( S_{i} = 1/2 \sum_{\sigma \sigma'} d_{i \sigma}^{\dagger} \sigma_{\sigma \sigma'} d_{i \sigma'} \). It shows that the interdot spin correlation is antiferromagnetic in the mixed valence regime and is ferromagnetic in the doubly occupied regime, where each QD is occupied by one electron. For DQDs with energy level difference, the spin correlation in the mixed valence regime is greatly suppressed, but there are still large ferromagnetic spin correlations in the doubly occupied regime. In the identical QDs’ \( (\Delta \epsilon_{\text{d}} = 0) \) case, the abrupt jumps in occupancy and the spin correlation turn from FM to AFM have also been found in [23] for the \( N \)-QD system \( (N \geq 2) \) without interdot capacitive coupling, and this phenomenon is interpreted as a kind of quantum phase transition. However, one can see from the dashed line in figure 1 that the abrupt jumps both in occupancy and spin correlation disappear when \( \Delta \epsilon_{\text{d}} \neq 0 \); hence this kind of phase transition is unstable with respect to the perturbation by gate voltage difference in QDs. We attribute this kind of abrupt jump as a result of Fano resonance and the crossing of the antibonding state energy level with the Fermi energy.

Next, we calculate the electron conductance through DQDs when a small bias voltage is applied to the leads. In figure 2 the linear conductance \( G \) at zero temperature versus the average QD energy level \( \epsilon_{\text{d}} \) is depicted. As shown in figure 2(a), the Kondo effects are manifested by peaks in the curve of the linear conductance, where the conductances approach the unitary limit \( (G = 2e^{2}/h) \). In the regime of odd electron occupation, the DQDs act as a localized spin \( (s = 1/2) \) and the Kondo effect arose from the spin exchange interaction between the localized electron spin and that of the electrons in the leads. Whereas, in the doubly occupied regime, the unitary conductance is due to the underscreened spin-1 Kondo effect. It will be shown in the following that in this regime the two electrons confined in the DQDs form a spin triplet state in the ground state. In the presence of sufficient interdot tunneling \( t_{c} \), the Kondo effect in the singly occupied regime and spin-1 Kondo effect is strongly suppressed, but some asymmetrical peaks of conductance appear in the mixed valence regime. This can be attributed to the Fano resonance for the electron transport through the bonding and antibonding channels in this system. It is interesting to notice that in the triply occupied regime the conductance still achieves the unitary limit even in the presence of strong interdot tunnel coupling.

In the following, we will focus our attention on the properties in the doubly occupied regime. In order to illustrate
the effect of interdot tunneling, the transmission probability at different tunneling coupling \( t_c \) is shown in figure 3(a). Without direct interdot tunneling \( (t_c = 0) \), one can see that the transmission probability has the particle–hole symmetry, and the spin exchange effect between the electrons localized in the quantum dots and that in the leads gives rise to a sharp peak in the transmission probability at the Fermi surface. Therefore the linear conductance at zero temperature reaches the unitary limit \( G = 2e^2/h \) as a result of the underscreened spin-1 Kondo effect. In the presence of the interdot coupling \( t_c \neq 0 \), the particle–hole symmetry of the transmission probability is broken. This is due to the following fact: in equation (2), in the presence of interdot capacitive coupling and interdot tunneling, the Hamiltonian is not invariant under particle–hole symmetry operation \( f_{\sigma \uparrow} \rightarrow (−1)^n f_{\sigma \downarrow}^\dagger, d_{\sigma \uparrow} \rightarrow −d_{\sigma \downarrow}^\dagger \) [15]. It is noted that the operator \( f_{\sigma \sigma} \) can be related to the conduction electron operator \( c_{\sigma \sigma} \) by following the procedure in [15]. When \( t_c \) increases beyond a quantum critical point, a sharp dip in the transmission probability is observed. It suggests that the Kondo effect and the linear conductance in this regime is strongly suppressed. Therefore, there is a quantum phase transition between the underscreened Kondo phase and the local spin singlet phase in the ground state of this system. For a two-impurity Anderson model without interdot capacitive coupling, this quantum phase transition has been predicted by Nishimoto et al by using the dynamic density matrix renormalization group [25] and Žitko et al have obtained its thermodynamic properties, such as the temperature dependence of magnetic susceptibility and entropy by the NRG method [26]. It is noted that a similar quantum phase transition is also observed in the two-level single QD system with intradot spin exchange coupling by Hund’s rule [19]. For DQDs with RKKY interaction coupled to a two-channel lead, Chung et al [20] found the quantum phase transition is from the Kondo screened phase to the spin singlet phase. In figure 3(a), by further increasing the interdot coupling \( t_c \), a broad peak of transmission probability with the lineshape of Breit–Wigner resonance is developed around the energy \( \epsilon \approx U/2 \). We attribute this broad transmission peak to the electron transmission through the bonding channel of electrons in the quantum dots.

In figure 3(b) the transmission probability \( T(\omega) \) at different values of on-site Coulomb interaction \( U \) is depicted. It shows that the lineshape of the \( T(\omega) \) changes significantly by varying the Coulomb interaction strength \( U \). The lineshape becomes more cusplike with decreasing \( U \) and it reveals that the physical properties of this underscreened Kondo effect in the DQD system is quite different from the spin-1/2 Kondo effect. For the spin-1/2 Kondo effect in the single-impurity Anderson model, one can estimate the Kondo temperature \( T_K \) by using the formula \( T_K = \frac{\hbar}{k_B} \exp[\epsilon_d(\epsilon_d + U)/UT]\). For this underscreened Kondo effect case, we make the following approximation to estimate the Kondo temperature: at the frequency of \( \omega = T_K \) the transmission probability \( T(\omega = T_K) = 0 \approx 0.978 \). For the single-impurity Anderson model, \( T_K \) obtained by this approximation agrees well with the above formula. The inset of figure 3(b) shows the estimated \( T_K \) at several values of the Coulomb interaction strength \( U \) for the DQD system. For the system with the parameters used in our calculation, the Kondo temperature \( T_K \) is of the order of \( 10^{-3}\Gamma \).

In order to get a better understanding of the electron state in the system, we investigate the local density of states (DOS) in the DQDs. One can define the even orbital (bonding state) operator as \( d_{\sigma \uparrow} = (d_{\uparrow \sigma} + d_{\downarrow \sigma})/\sqrt{2} \) and the odd orbital (antibonding state) operator \( d_{\sigma \downarrow} = (d_{\uparrow \sigma} − d_{\downarrow \sigma})/\sqrt{2} \). The local density of state for the bonding and antibonding states is depicted in figure 4. As shown in figures 4(a) and (c), in the absence of interdot coupling \( t_c = 0 \), the local DOS of even and odd orbitals retain the particle–hole symmetry of the system. It is noticed that the transmission probability is proportional to the DOS for the bonding state; therefore a Kondo peak around the Fermi energy is observed in its DOS. Some new features are also manifested in DOS for this system. One can see that the DOS for the antibonding state has two side peaks near the Fermi energy, which can be understood as a result of the effective spin exchange interaction between the electrons in DQDs by tunneling through the leads, and this feature cannot be found in DQDs in a serial configuration [18]. As the interdot coupling \( t_c \) is larger than some critical value (see figures 4(b) and (d)), the Kondo effect on the DOS of the bonding state is greatly suppressed and a broad peak around the energy \( \omega \approx U/2 \) is developed. For the DOS of the antibonding state, a sharp peak is developed slightly below the Fermi energy. This is due to the fact that the antibonding state of electrons in DQDs seems like a quasi-localized state. Increasing the interdot coupling \( t_c \), further, the sharp peak is broadened and shifts away from the Fermi surface to a lower energy. For DQDs with different energy levels, the characteristic features of the DOS remain unchanged.

To gain more insight into the spin entanglement and the effect of spin exchange interaction for the electrons localized in different QDs, we have also calculated the interdot spin states.
Figure 4. The density of state of the local bonding and antibonding states in the quantum dot at different values of energy level difference: $\Delta \varepsilon_d / \Gamma = 0.0$ (solid line), 2.0 (dashed line) and 4.0 (dotted line). (a), (b) correspond to the bonding state with $t_c / \Gamma = 0.0$, 2.0, respectively, (c), (d) are that of the antibonding states. The other parameters used are the same as in figure 3.

correlation $\langle S_1 \cdot S_2 \rangle$ as a function of temperature for several values of interdot tunneling $t_c$ as shown in figure 5(a). When interdot tunneling $t_c$ is zero or has a small value, one can see that the spin correlation converges to a positive value as temperature decreases. It is easy to notice that the positive value of $\langle S_1 \cdot S_2 \rangle$ reveals that the spin correlation in this case is a ferromagnetic type in the ground state. As we know, when two ideal spin $s = 1/2$ electrons form a spin triplet, the spin correlation will be $\langle S_1 \cdot S_2 \rangle = 1/4$. The rather high positive value of spin correlation indicates that electrons localized in QDs still have a high probability to form a spin triplet even though they are coupled with the electrons in the leads in the Kondo regime. By increasing the interdot coupling $t_c$, they exhibit a quantum phase transition from the triplet state to the singlet state in the ground state. The spin correlation approaches a negative value $\langle S_1 \cdot S_2 \rangle \approx -0.50$, as we know that for two electrons forming an ideal spin singlet $\langle S_1 \cdot S_2 \rangle = -0.75$. Therefore the electrons in DQDs are largely in a singlet state. In order to determine the critical value of $t_c$, we have calculated the spin correlation $\langle S_1 \cdot S_2 \rangle$ at zero temperature for different values of $t_c$. The result is shown in figure 5(b). We find that, at the quantum critical point $t_c \approx 0.7$, there is an abrupt jump of the spin correlation $\langle S_1 \cdot S_2 \rangle$. It indicates that the quantum phase transition from the triplet to singlet state is of first-order kind. According to a previous study on the two-impurity Kondo model \cite{27}, we may expect that in the case of DQDs with energy level difference, this kind of first-order transition will become a Kosterlitz–Thouless type. One may understand this quantum phase as follows: by Schrieffer–Wolff-type transformation, one can obtain the effective Kondo model with antiferromagnetic spin exchange terms between the electron spin in QDs and that of the conduction electrons \cite{28, 29}. Therefore the effective spin coupling between electron spin in two QDs is of ferromagnetic type. However, the direct interdot tunneling will generate an antiferromagnetic spin exchange term between electron spin in QDs. The quantum phase transition can be attributed to the competition of this antiferromagnetic coupling induced...
by direct interdot tunneling with the effective ferromagnetic coupling induced by tunneling through the leads. It is easy to understand that the exact quantum critical value of $t_c$ will depend on the interaction parameters, such as the on-site Coulomb repulsion $U$, interdot capacitive coupling $V$, the energy level $\epsilon_d$, etc.

4. Summary

In summary, we have studied the ground state and the electron transport properties of the system with DQDs in parallel configuration. The strong on-site Coulomb repulsion and the interdot capacitive coupling is taken into account by the nonperturbative NRG technique. It is shown that the large interdot tunneling will drastically change the transport properties in this system. The ground state of DQDs exhibits a quantum phase transition from triplet state to singlet state by increasing the interdot tunneling amplitude. In the case of no interdot tunneling, the linear conductance approaches the unitary limit in the doubly occupied regime due to the underscreened Kondo effect, whereas it is greatly suppressed when the electrons in DQDs form a singlet state, with the interdot coupling $t_c$ being larger than the critical value. For the DQDs with strong interdot tunneling, the Fano resonance can be observed in the linear conductance when the system is in the mixed valence regime. One may expect that the underscreened Kondo effect can be observed in future experiments on the DQD system without direct interdot tunneling. In the out-of-equilibrium case, the multi-orbital Anderson model has interesting physical properties, such as the flanking inelastic cotunneling steps or peaks in the differential conductance [29]. It is highly expected that further development of the NRG method can address the nonequilibrium problem of the multi-orbital Anderson model [30].

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