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Probing the stability of the spin-liquid phases in the Kitaev-Heisenberg model using tensor network algorithms

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We study the extent of the spin liquid phases in the Kitaev-Heisenberg model using infinite projected entangled-pair states tensor network ansatz wave functions directly in the thermodynamic limit. To assess the accuracy of the ansatz wave functions, we perform benchmarks against exact results for the Kitaev model and find very good agreement for various observables. In the case of the Kitaev-Heisenberg model, we confirm the existence of six different phases: Néel, striped, ferromagnetic, zigzag, and two spin liquid phases. We find finite extents for both spin liquid phases and discontinuous phase transitions connecting them to symmetry-broken phases.

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I. INTRODUCTION

The field of frustrated magnets is arguably one of the most exciting areas of research in modern condensed matter physics. The competing interactions in these systems give rise to a rich variety of remarkable states of matter. In some cases, strong quantum fluctuations will preclude the formation of any conventional symmetry-breaking order, even in the limit of zero temperature, giving rise to so-called quantum spin liquids (QSL) [1–3]. Interestingly enough, certain instances of phases lacking a Landau-type description may give rise to so-called topological order [4,5], possibly hosting exotic anyonic excitations.

The possibility of finding novel materials exhibiting such exotic phases has motivated the search for QSLs from several directions [3,6,7]. Among others, interesting proposals have been developed based on so-called iridate compounds of the form $A_2$IrO$_3$ ($A =$ Na, Li). Even though these compounds are now known to be magnetically ordered at low temperatures [8–10] and the question of which effective model underlies their low-energy physics remains under debate with ideas ranging from spin-orbit coupled Mott insulators [11,12] to the formation of quasimolecular orbitals [13], there appears to be consensus on the fact that anisotropic exchange interactions play a key role. In particular, Na$_2$IrO$_3$ being an insulator with Curie-type magnetic susceptibility as well as a large spin-orbit splitting strongly suggests that it may belong to the category of spin-orbit coupled Mott insulators with well-localized magnetic moments [12]. These compounds have sparked an interest in the possibility of finding anisotropic Kitaev-type physics [14] in these and related compounds [15,16].

However, the study of such highly correlated systems has posed tremendous challenges to their understanding as Monte Carlo based methods may fail to provide accurate results due to the infamous sign problem arising in generic fermionic or strongly frustrated spin models.

Over recent years, the development of so-called tensor network algorithms (TNA) opened the doors to a new approach towards understanding the physics of novel strongly correlated phases based on the notion of entanglement. One of the earliest triumphs of such entanglement-based algorithms was the development of the density matrix renormalization group [17] (DMRG) based on renormalization group ideas originally developed by Wilson [18]. The DMRG is now understood to produce variational wave functions belonging to the class of so-called matrix product states (MPS) which have been rigorously shown to provide efficient approximations to the ground states of one-dimensional (1D) gapped local Hamiltonians [19]. By now, two decades after its development, MPS (or the DMRG) have become the golden standard for the simulation of 1D lattice models. Furthermore, their two-dimensional (2D) generalizations known as projected entangled-pair states (PEPS) [20,21] and their thermodynamic limit version infinite PEPS or iPEPS [22,23] have been successfully used to study both fermionic systems as well as frustrated magnets [24–28], with a notable example being the lowest variational energies for the t-J model available to date for large systems [29].

In what follows, we will make use of the iPEPS ansatz to study the simple yet remarkably rich Kitaev-Heisenberg model [11,12] originally developed to encode the low-energy degrees of freedom in the iridates. In particular, we will focus on the stability of the spin-liquid phases around the Kitaev points in the model and we will provide strong evidence for their survival over a considerable extent of the phase diagram in the thermodynamic limit.

II. KITAEV-HEISENBERG MODEL

A very interesting proposal was recently put forward by Chaloupka et al. [12] based on the Kitaev-Heisenberg model [11] yet extended to its full parameter space, i.e.,

$$H_{ij}^{(γ)} = A \left( \cos ϕ \vec{S}_i \cdot \vec{S}_j + 2 \sin ϕ \vec{s}_i^{(γ)} \vec{s}_j^{(γ)} \right),$$

with $(i,j)$ labeling nearest-neighbor sites of a honeycomb lattice, the first term being an isotropic Heisenberg interaction, the second an anisotropic Kitaev interaction in which $γ \in \{x,y,z\}$ determines the spin components interacting along a given bond, $ϕ \in [−π, ω)$, and $A$ an overall scaling factor which we set to one.
This model has been tackled in the past using a variety of approaches in different regions of its full parameter regime [11,12,30–32]. In its original formulation [11] (covering only the region $\varphi \in [-\pi/2,0]$), small system studies [11,31] found either a second- or weak first-order phase transition joining a spin liquid phase to a so-called stripy regime [11,31] found either a second- or weak first-order phase transition joining a spin liquid phase to a so-called stripy phase at roughly $\varphi \approx -76^\circ$ (or $\alpha \approx 0.8$ in the original formulation) (see Fig. 4). This value is also reported in the extended formulation on a 24-site system [12]. The restricted formulation was also studied from a slave-particle mean field approach [30] where the behavior of the order parameter itself showed a discontinuity, yet it was suggested that the transition could indeed be of either second- or weak first-order type at a value of $\varphi \approx -72^\circ$ ($\alpha \approx 0.76$), owing to the lack of quantum fluctuations beyond the mean field level in their approach. Finally, a so-called mixed PEPS approach found a phase transition at $\varphi \approx -89^\circ$ ($\alpha \approx 0.99$) [32].

In this study, we approach the model directly in the thermodynamic limit and provide results that go systematically beyond the mean field level using iPEPS.1

III. THE METHOD (IPEPS)

In general, TNA rely on the use of tensors as variational parameters used for the optimization of the ansatz wave function, i.e., in the TNA approach ansatz wave functions take on the form

$$|\psi\rangle = \sum_{\{S_r\}} \text{Tr} \prod_r A[r]_{S_r} |\{S_r\}\rangle,$$

where $A[r]$ are tensors of rank $k + 1$, with $k$ (typically) the coordination number of the lattice and an additional index labeling the local basis elements, with $|\{S_r\}\rangle = |S_{r_1}, S_{r_2}, \ldots, S_{r_N}\rangle$ a many-body basis state ($r$ labeling the different lattice sites) and Tr symbolizing the contraction of all auxiliary (also called virtual) indices between adjacent tensors (see Fig. 1).

The dimension of the virtual indices is referred to as the bond dimension and is usually denoted by $D$. The bond dimension determines the amount of entanglement that can be encoded in the wave function and controls the underlying accuracy of the algorithm. At the heart of the efficiency of the algorithms lies the fact that the number of variational parameters only scales polynomially with $D$ and linearly with the system size for finite systems.

A. Ansatz

In this study, we formulate the iPEPS ansatz on the honeycomb lattice by mapping it onto a brick-wall lattice in which the connectivity of the honeycomb lattice is reproduced exactly by introducing a trivial index on each tensor [26]. We have studied wave functions made of up to $2 \times 2$ unit cells with all four (rank-5) tensors being independent (see Fig. 1). Despite the increase in computational complexity, tensors with complex entries were employed as these yielded the best results.

1Here, however, we do not claim that the iPEPS mean field ansatz provides a quality equivalent to the slave-particle mean field study in Ref. [30] which was designed to represent the Kitaev point exactly.

\[\text{FIG. 1. (Color online) Top: four-site unit cell iPEPS ansatz on the brick-wall lattice. Introducing trivial (dashed) bonds in a square lattice leads to a so-called brick-wall lattice reproducing the connectivity of the honeycomb lattice. The blue, red, green, and purple tensors (circles) in the unit cell (highlighted cluster) provide the variational parameters. Bottom: effective mapping used for the evaluation of observables. On the left, the ket portion of the network prior to contraction. On the right, a contracted bra-ket network is shown from the top with tensors labeled by lowercase letters representing a bra-ket pair contracted. The orange tensors (squares) labeled by $E$ represent environment tensors, obtained, e.g., via the CTM algorithm, accounting for an effectively infinite environment. Thick lines (bonds) correspond to indices of dimension $\chi$, solid lines to indices of dimension $D$, and dashed lines represent trivial bonds. Bond labeling convention adopted is given by the $x,y,z$ labels.}\]
observables. In this scheme, the contraction of the infinite bra and ket tensor networks surrounding a unit cell is effectively represented by introducing a boundary made up of so-called environment tensors (see Fig. 1). The environment tensors are constructed via iterative absorption and renormalization of unit-cell tensors into the boundary tensors in Fig. 1. Importantly, the accuracy of the contraction is controlled by the bond dimension of the environment tensors, usually denoted by $\chi$. For the data presented here, $\chi$ was chosen to be larger than $D^2$ in all cases and large enough to yield negligible variations in the energies. For a more precise description of the details involved in the contraction scheme, we refer the reader to Ref. [34].

C. Optimization

Optimization of the tensors generating the ansatz wave functions is typically performed using either direct energy minimization or imaginary-time evolution. Here, we have used the latter combined with the so-called full update scheme [23]. In the imaginary-time evolution procedure by starting from some initial state $|\psi_0\rangle$ of the form (2) we perform subsequent projection steps

$$|\psi_{k+1}\rangle = \frac{e^{-\tau \hat{H}} |\psi_k\rangle}{\|e^{-\tau \hat{H}} |\psi_k\rangle\|},$$

so provided that the initial state $|\psi_0\rangle$ had some overlap with the ground state of the model enough iterations will eventually converge to the ground state.

For the data presented it was observed that values below $\tau = 0.01$ for the imaginary-time evolution did not provide a significant improvement in the quality of the data. In all cases, the number of cumulative iterations was such that it led to values of at least $\beta = 20$ and in all cases it was found to be large enough to achieve convergence of the variational energies. Here, we point out that lower-cost variants such as the simple update [41], in which an explicit construction of the environment is omitted, failed to yield good results in the Kitaev limit and thus we opted for performing all the simulations using the full update, in spite of its significantly larger computational cost [23].

IV. KITAEV LIMIT BENCHMARKS

In the limits $\varphi = \pm 90^\circ$, the model in Eq. (1) becomes the well-known Kitaev honeycomb model [14] with equal bond couplings (B phase). Indeed, even though the interactions on each bond are of Ising type, the fact that different bonds correspond to different quantization axes makes the Kitaev model a highly frustrated one, even classically, since it is impossible to satisfy all energy constraints simultaneously. From the exact solution of the Kitaev model [14] it is known that inside the B phase two different types of excitations arise: magnetic vortices which are gapped and localized in the absence of an external magnetic field and gapless Majorana fermions moving in the static background field of the vortices. Perhaps more interestingly, these excitations can be gapped into a topological phase exhibiting non-Abelian anyonic statistics [14].

From both Kitaev’s seminal paper [14] as well as later work [42] it can be gathered that the energy per site for this model at the equal coupling limit considered here is $E_{\text{site}} = -0.3936$ independent of the nature of the couplings, i.e., for both ferromagnetic as well as antiferromagnetic couplings. Our best variational approximations to the energy per site are $E_{\text{FM}} = -0.3931$ and $E_{\text{AFM}} = -0.3933$ with a bond dimension $D = 7$ ($\chi = 60$), yielding good agreement with the exact value (see Fig. 2).

A feature of the Kitaev model is that the ground state is known to be a $Z_2$ spin liquid and as such develops no local order parameter. In our case, we find variational states exhibiting a strongly suppressed magnetization, with the largest values of the magnetization being around 0.03 and 0.02 in the ferromagnetic and antiferromagnetic cases, respectively, with a bond dimension $D = 4$. The level of symmetry breaking is observed to decrease in general as a function of increasing $D$ (entanglement), and for our best variational states the magnetization reaches a minimum of approximately 0.02 for the ferromagnetic case and 0.01 for the antiferromagnetic case, with $D = 7$. See Eqs. (4)–(8) for our definition of magnetization as well as similar magnetic order parameters.

The fact that the model is strongly frustrated and exhibits gapless excitations turns it into a formidable challenge for numerical methods in general. In what follows, we will show that iPEPS ansatz wave functions are capable of capturing the essential features of this model quite well, even in the...
absence of an energy gap, using only a modest value of the bond dimension $D$.

As mentioned above, the bond dimension $D$ controls the amount of entanglement in the wave functions. This means that one may systematically tune the degree to which quantum fluctuations manifest themselves in the ansatz state. In particular, the case $D = 1$ represents a product state and as such leads to a mean field level ansatz potentially overestimating the degree of symmetry breaking inside a phase. Upon increasing $D$, additional quantum fluctuations allow for a renormalization of observables such as the magnetization and thus lead to the observed suppression above.

Another remarkable feature of the Kitaev model has to do with the peculiar form of the spin-spin correlators, for which it is known that only spin components matching the type of a given bond will exhibit nonvanishing correlations $[42]$, i.e., $\langle \sigma_i^{(y)} \sigma_j^{(y')} \rangle = 0.525$ iff $y = (i,j)$. Examining the spin correlators we find that the correlator structure is well represented by our ansatz wave functions with all correlators heading towards the exact values monotonically as the bond dimension increases (see Fig. 3). Here, a curious stronger deviation for the $Z$-type correlators can be initially observed. This is nothing but a consequence of the way we map the honeycomb lattice onto a brick-wall lattice when constructing the environment. Importantly, this feature is systematically reduced as we increase the amount of variational parameters nicely reflecting the putative nonsymmetry-broken nature of our wave functions.

Indeed, the quality of our data could be improved even further by increasing the value of the bond dimension $D$. We have, however, not pushed our simulations beyond this point as we believe the current data already provide strong support for the spin liquid character of our variational wave functions.

V. KITAEV-HEISENBERG RESULTS

Having established the accuracy of our ansatz wave functions in the Kitaev limit, we proceed to evaluate the stability of the spin liquid phases in the Kitaev-Heisenberg model of Eq. (1). In their proposal, Chaloupka et al. $[12]$ performed a 24-site Lanczos diagonalization study of this model in which six different phases were identified, namely, antiferromagnetically coupled QSL (ASL), ferromagnetic-Heisenberg (FSL), Néel, stripy, ferromagnetic, and zigzag. We have found the same phases using iPEPS (see Figs. 4 and 5).

In the study by Chaloupka et al., the phase transitions between symmetry-broken phases (striped/Néel and ferromagnetic/zigzag) were found to be of first order, whereas the FSL to ordered transitions were found to be of either second
or weak first order [12]. In the case of the ASL phase, the nature of the transitions to the ordered zigzag and Néel phases was not directly identified but observed to correspond to level crossings, thus pointing towards first-order-type transitions. For a summary of the locations of the phase transitions found in the small cluster, see Table I.

Here, in order to capture the different types of magnetic order, we define five different order parameters, i.e.,

\[ O_{\text{mag}} = \frac{1}{4} (\langle \vec{\sigma}_A \rangle^2 + \langle \vec{\sigma}_B \rangle^2 + \langle \vec{\sigma}_C \rangle^2 + \langle \vec{\sigma}_D \rangle^2), \]
\[ O_{\text{ferro}} = \frac{1}{4} (\langle \vec{\sigma}_A \rangle + \langle \vec{\sigma}_B \rangle + \langle \vec{\sigma}_C \rangle + \langle \vec{\sigma}_D \rangle)^2, \]
\[ O_{\text{stripy}} = \frac{1}{4} (\langle \vec{\sigma}_A \rangle - \langle \vec{\sigma}_B \rangle - \langle \vec{\sigma}_C \rangle + \langle \vec{\sigma}_D \rangle)^2, \]
\[ O_{\text{zigzag}} = \frac{1}{4} (\langle \vec{\sigma}_A \rangle + \langle \vec{\sigma}_B \rangle - \langle \vec{\sigma}_C \rangle - \langle \vec{\sigma}_D \rangle)^2, \]
\[ O_{\text{Néel}} = \frac{1}{4} (\langle \vec{\sigma}_A \rangle - \langle \vec{\sigma}_B \rangle + \langle \vec{\sigma}_C \rangle - \langle \vec{\sigma}_D \rangle)^2, \]

with the first one providing a signature for any form of magnetic order and the rest being designed to identify the different types of order expected inside different regions of the phase diagram.

To locate different phase transitions, we proceed as follows. Starting from a set of preliminary runs across the phase diagram in which the different competing phases are identified by performing imaginary-time evolution for all angles \( \varphi \in [-\pi, \pi] \), we locate regions far away from potential, yet to be accurately determined, phase transitions. Once we have optimized tensors well inside each phase we use these tensors as starting states for a second set of imaginary-time evolution runs across a given range of \( \varphi \) values and compare the energies of the two (competing) phases inside this angle window.

The reasoning behind this procedure relies on the fact that in the presence of a first-order phase transition we expect to observe a certain amount of hysteresis as we cross the transition point. This should allow us to evaluate the energies of two different (competing) phases across a (possibly narrow) parameter range, thus making a potential level crossing visible. This, together with the behavior of the different order parameters as the transition is crossed, should allow us to identify the type of the transition.

### A. FSL-stripy transition

In order to illustrate the procedure proposed above, let us consider the region corresponding to FM Kitaev couplings and AFM Heisenberg couplings defined by \( \varphi \in [-90^\circ, 0] \). After a preliminary set of runs, we find three different phases in this quadrant: FSL, stripy, and Néel as one moves from \( \varphi = -90^\circ \) to 0. Noting that this matches the results from previous studies [11,12,30–32], it remains to verify how our results agree with the transition points found previously. Having obtained tensors representing the phases at the two extremes of the angle window shown in Fig. 6, we perform imaginary-time evolution on these states for all values of \( \varphi \) in this window.

There, an energy crossing at a finite angle is clearly observed for a value of \( \varphi \approx -80^\circ \) with \( D = 6 \). We argue that this is an actual level crossing in the system. Moreover, the magnetization data show a pronounced jump consistent with a first-order phase transition (see bottom plot in Fig. 6). Here, all order parameters remain remarkably close to zero within...
the bond dimension \(D\) becomes very large, the bond energies from the mean value normalized to the mean value. Bottom: \(O_{\text{mag}}\) within each phase (green circles: stripy/blue squares: FSL) and the reconstructed ground-state curve (red diamonds). The inset shows the behavior of \(O_{\text{mag}}\) over the same range of angles. Order parameters are normalized to one. Dashed orange lines indicate the estimated location of the phase transition for \(D = 6\).

**B. FSL-ferromagnetic transition**

Keeping the sign of the couplings for the Kitaev term and flipping the interaction from AFM to FM for the Heisenberg term (this puts us in the third quadrant of the phase diagram, see Fig. 4), we find two phases: ferromagnetic and FSL, with the phase boundary being located at \(\phi \approx -102^\circ\) for \(D = 6\) and \(D \rightarrow \infty\) extrapolated value of \(\phi_{\text{extrap}} \approx -106^\circ\). An energy crossing at a finite angle together with a discontinuity in the order parameters \(O_{\text{mag}}\) and \(O_{\text{spin}}\) of comparable magnitude to that of the FSL-stripy transition again indicate that this is a first-order phase transition (see Fig. 7 and the bottom plot in Fig. 5).

**C. ASL-zigzag transition**

Switching the character of the interaction of the Kitaev term to AFM brings us to the second quadrant of the phase diagram where we find three phases: ferromagnetic, zigzag, and ASL with the zigzag phase in-between the ASL and ferromagnetic phases (see Fig. 4). The transition from ASL to zigzag is located at \(\phi \approx 92^\circ\) with \(D = 6\) (a \(D \rightarrow \infty\) extrapolation increases this value only very slightly to \(\phi_{\text{extrap}} \approx 93^\circ\)) (see Fig. 7), whereas that from ferromagnetic to zigzag is found to be at \(\phi \approx 161^\circ\). These transitions also exhibit energy crossings at finite angles with the angle (strength of the transition) being significantly enhanced between the symmetry-broken phases. Discontinuities in the order parameters \(O_{\text{mag}}/O_{\text{zigzag}}\) in the first case (see the top plot in Fig. 5) and \(O_{\text{ferro}}/O_{\text{zigzag}}\) in the second (data not shown) again allow us to infer that these transitions are of first-order type.

**D. ASL-Néel transition**

Finally, in the regime with all antiferromagnetic couplings \(\phi \in [0^\circ, 90^\circ]\), we find two phases: ASL and Néel. The phase transition is located at \(\phi \approx 88^\circ\) with \(D = 6\) (extrapolating \(D \rightarrow \infty\) again brings only a very slight lowering to \(\phi_{\text{extrap}} \approx 87^\circ\)) and an energy crossing at a finite angle together with discontinuities in \(O_{\text{mag}}/O_{\text{Néel}}\) tell us that this transition is of first-order type as well (see Fig. 7). It should be said that the magnitude of the jumps in the ASL-Néel and ASL-zigzag cases is somewhat weaker than in the lower half of the phase diagram (see top plot in Fig. 5).

As noted previously, the regions corresponding to Néel and zigzag phases are connected via a four-sublattice transformation [11]. The same transformation connects the stripy phase to the ferromagnetic phase. As is well known, stronger quantum fluctuations in the Néel phase lead to a suppression in the order parameters compared to the ferromagnetic phase thus yielding weaker discontinuities in the phase transitions in the upper half of the phase diagram as compared to those found in the lower half. This is also nicely reflected in the order parameters shown in Fig. 5 as their magnitudes at the phase transition points match quite well.

As a concluding remark, we note that a weak suppression in the order parameters as a function of bond dimension \(D\) both for the spin liquid (as in Fig. 2) as well as the symmetry-broken phases (data not shown) is observed, albeit small so that ultimately we expect the discontinuities found to persist in the large-\(D\) limit. For a graphical summary of the results...
pertaining to the span of the spin liquid phases, see Figs. 4 and 5.

VI. SUMMARY AND DISCUSSION

In summary, we have complemented previous studies [11,12,30–32] with accurate iPEPS simulations of the Kitaev-Heisenberg model in the thermodynamic limit. We have found excellent results when comparing with the pure Kitaev model even for moderate bond dimensions.\(^2\) The full ground-state phase diagram of the Kitaev-Heisenberg model was obtained where we were able to identify spin liquid phases covering regions of finite span.

In the case of the spin liquid with antiferromagnetic couplings, we found first-order phase transitions into symmetry-broken Néel and zigzag phases, thus clarifying the nature of these transitions in the thermodynamic limit. In the case of the spin liquid with ferromagnetic couplings, we have also found first-order phase transitions leading to ferromagnetic and stripy ordered phases in contrast with results from previous small system studies [11,12,31] and a reduced extent compared to these previous results. Given that the phase boundaries showed a systematic shift as a function of \(D\) effectively increasing the size of the QSL phases, we conclude that our \(D = 6\) results correspond to lower bounds. This means that upon increasing the bond dimension in our ansatz beyond \(D = 6\), we expect the FSL to span at least a region \(\varphi \in [-102^\circ, -80^\circ]\), whereas the ASL is expected to cover at least the region \(\varphi \in [88^\circ, 92^\circ]\). The effect being more noticeable in the former case can be related to the nature of the competing phases (ferromagnetic and stripy) allowing the ferromagnetic spin liquid phase to profit more effectively from additional quantum fluctuations introduced as the bond dimension is increased.

Interesting future directions extending this study could involve a tensor network approach to the doped system, a direction which even at the mean field level has brought to light an interesting variety of superconducting phases arising in the model [43–45].

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\(^2\)This shows that contrary to recent claims in Ref. [32], the iPEPS ansatz can in fact properly encode the basic features of the Kitaev honeycomb model ground state.


