## Challenges to the shell model

Calvin W. Johnson

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## Configuration-interaction shell model

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$\underset{\text { expand in some (many-body) basis }}{\text { Matrix formalism: }} \quad \hat{\mathbf{H}}|\Psi\rangle=E|\Psi\rangle$

$$
|\Psi\rangle=\sum_{\alpha} c_{\alpha}|\alpha\rangle \quad H_{\alpha \beta}=\langle\alpha| \hat{\mathbf{H}}|\beta\rangle
$$

Disadvantage:

- not size-extensive, basis grow exponentially

Advantages:

- Excited states easy to generate
- Direct access to wave function allows for detailed analysis


## Outline of talk

- The rise and fall and rise of the shell model
- The challenge of intruders
- ${ }^{11} \mathrm{Li} \&{ }^{29} \mathrm{~F}$ as case studies
- Possible paths forward


## A brief and incomplete history

1949: Goeppert-Mayer and Axel, Jensen \& Suess show spin-orbit splitting explain magic numbers. Single-particle picture describes many measured magnetic moments.
(Non-interacting shell model)
1956: Edith Halbert and J. B. French perform early configuration-interaction (interacting shell model) calculations.

1965: Cohen-Kurath empirical interaction for valence $p$-shell 1977: Whitehead introduces Lanczos method 1984: Wildenthal interaction for valence $s d$-shell 1991: FPD6 interaction for valence $p f$ shell

## A brief and incomplete history

But....

1970 Barrett and Kirson, 1972 Schucan and Weidenmuller: intruder states can cause perturbative expansions to ultimately diverge.

This in particular applies to particle-hole states.
This makes expanding beyond the valence space problematic, and almost kills the field (except for a stubborn few) for twenty years.

## A brief and incomplete history

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1991-1993: Barrett and Vary introduce the no-core shell model:
Without a core, there is no "particle-hole" expansion.

Around this same time high-precision phase shift data from NN scattering became available.

Fitted to this data, the Argonne potential showed one could reproduce nuclear many-body data.

Then chiral EFT gave a systematic way to characterize nuclear forces

The field lurches back to life!

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Modern many-body calculations

No-core shell model: in harmonic oscillator basis, "all" particles active (up to $\mathrm{N}_{\text {max }}$ h.o. excitation quanta), with high-precision interaction (e.g. chiral EFT, HOBET, etc.) fit to few-body data
e.g. $p$-shell nuclides up to $\mathrm{N}_{\max }=10 \ldots 22$
(cf talks by Anna McCoy and Mark Caprio)

## Some highlight achievements:

- Can get spectra of light nuclei "from first principles"


Maris , Vary, Navratil PRC 87, 014327 (2013)
chiral $2+3$ body forces

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## Some highlight achievements:

- Can get spectra of light nuclei "from first principles"


Maris et al PRC 90, 014314 (2014)
${ }^{12} \mathrm{C}$ with chiral $2+3$ body forces

## ${ }^{20} \mathrm{Ne}$


${ }^{20} \mathrm{Ne}$


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By looking at the grouptheoretical decomposition, we can even show that the valence-space empirical and ab initio multi-shell wave functions have similar structure!




Maris et al PRC 90, 014314 (2014)
${ }^{12} \mathrm{C}$ with chiral $2+3$ body forces

## The Hoyle state in ${ }^{12} \mathrm{C}$ is a problem!




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Haxton and Johnson, PRL 65, 1325 (1990)


## There's a similar state in ${ }^{16} \mathrm{O}$

## There's a similar state in ${ }^{16} \mathrm{O}$

## One can think of

 these as alphacluster states

These cluster states are not easy to reproduce in the NCSM.
They may require as much as $30 h \omega$ excitations in a h.o. basis (T. Neff), yet they appear low in the spectrum


$$
\text { T. Neff, J. Phys. Conf. Ser. } 403012028 \text { (2012) }
$$

Journal of Physics: Conference Series 403 (2012) 012028


Figure 6. Decomposition of the ${ }^{12} \mathrm{C}$ ground state and the Hoyle state into $N \hbar \Omega$ components for oscillator constants of 20 MeV (left) and 12 MeV (right).

Fermionic molecular dynamics calculation with Argonne V18 potential

${ }^{12} \mathrm{C}$ g.s. (fermionic molecular dynamics FMD calculation)

${ }^{12} \mathrm{C}$ Hoyle state main FMD configurations.


See also: S. Shen, D. Lee, et al, Nat. Commun. 14 (2023) 2777 (arXiv:2202.13596 ) for similar results on the lattice

${ }^{12} \mathrm{C}$ Hoyle state main FMD configurations.

## So basically we have the intruder state problem all over again!



One can phenomenologically reproduce spectra for example, by adjusting single particle energies

${ }^{16} \mathrm{O}$ Haxton \& CWJ, PRL 65 (1990) 1325

## One can phenomenologically reproduce spectra

 for example, by adjusting single particle energies

One can phenomenologically reproduce spectra or by adjusting the strength of an $\mathrm{SU}(3)$ Casimir


Expt.

NCSpM
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Expt. NCSpM
Expt. NCSpM

$$
\begin{aligned}
H_{\gamma}= & \sum_{i=1}^{A}\left(\frac{\mathbf{p}_{i}^{2}}{2 m}+\frac{m \Omega^{2} \mathbf{r}_{i}^{2}}{2}\right)+\frac{\chi}{2} \frac{\left(e^{-\gamma Q \cdot Q}-1\right)}{\gamma} \\
& -\kappa \sum_{i=1}^{A} l_{i} \cdot s_{i} .
\end{aligned}
$$



# Furthermore, the islands of inversions and halo nuclei <br> form a similar challenge to standard shell-model pictures 



## CASE STUDY: ${ }^{11}$ LI

${ }^{11} \mathrm{Li}$ makes for an excellent case study:

- Example of "island of inversion"
- Halo or extended state
- Small enough to be tackled numerically
- Testbed for techniques


## CASE STUDY: ${ }^{11}$ LI



One proton outside a filled shell

+ filled neutron shell


One proton outside a filled shell

+ neutron 2 p-2h


## "island of inversion"

## CASE STUDY: ${ }^{11}$ LI

${ }^{11} \mathrm{Li}$ makes for an excellent case study
(The following results are preliminary)

3/2- g.s. is a halo state and on an island of inversion

## CASE STUDY: ${ }^{11}$ LI

${ }^{11} \mathrm{Li}$ makes for an excellent case study

Calculations with Entem-Machleidt N3LO chiral (no 3-body) at $\mathrm{h} \Omega=20 \mathrm{MeV}$.

Also computed with natural orbitals

## CASE STUDY: ${ }^{11}$ LI



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Mark Caprio


## CASE STUDY: ${ }^{11}$ LI



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Mark Caprio

## CASE STUDY: ${ }^{11}$ LI



## CASE STUDY: ${ }^{11}$ LI



Grouptheoretical Decomposition

Elliot SU(3)

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## CASE STUDY: ${ }^{11}$ LI



Grouptheoretical Decomposition

Symplectic Sp(3,R)

## CASE STUDY: ${ }^{11}$ LI


"E2" response
Probably not expt measurable, but double-hump illuminates deformation

## CASE STUDY: ${ }^{29} \mathrm{~F}$

${ }^{29} \mathrm{~F}$ is an analog of ${ }^{11} \mathrm{Li}$


One proton outside a filled shell

+ filled neutron shell


One proton outside a filled shell + neutron $2 \mathrm{p}-2 \mathrm{~h}$

## "island of inversion"

## CASE STUDY: ${ }^{29} \mathrm{~F}$

${ }^{29} \mathrm{~F}$ is an analog of ${ }^{11} \mathrm{Li}$ (calculations done this week!)

$\mathrm{N}_{\max }=4$, natural orbitals

## CASE STUDY: ${ }^{29} \mathrm{~F}$

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${ }^{29} \mathrm{~F}$ is an analog of ${ }^{11} \mathrm{Li}$ (calculations done this week!)

$\mathrm{N}_{\max }=4$, natural orbitals

## CASE STUDY: ${ }^{29}$ F

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Grouptheoretical
Decomposition

Symplectic Sp(3,R)
$\mathrm{N}_{\max }=4$, natural orbitals

## CASE STUDY: ${ }^{29}$ F

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Grouptheoretical decomposition

SU(4)
$\mathrm{N}_{\max }=4$, natural orbitals

## CASE STUDIES: ${ }^{11}$ LI, ${ }^{29}$ F

I suggest ${ }^{11} \mathrm{Li},{ }^{29} \mathrm{~F}$ as case studies for other methods (coupled cluster, IM-SRG, symmetry adapted, lattice, etc.).

## CASE STUDIES: ${ }^{11}$ LI, ${ }^{29} \mathrm{~F}$

I suggest ${ }^{11} \mathrm{Li},{ }^{29} \mathrm{~F}$ as case studies for other methods (coupled cluster, IM-SRG, symmetry adapted, lattice, etc.).

We should also look for experimental observables to test our calculations (since the quadrupole moment, in ${ }^{11} \mathrm{Li}$ at least, does not differentiate between states).

So what have we learned?

The no-core shell model reproduces some features easily
but others are very challenging!


## These calculations were performed with an M-scheme (fixed-Jz) on-the-fly code.

Such on-the-fly codes (ANTOINE, BIGSTICK, etc) are extremely efficient (CWJ et al, Comp. Phys.Comm. 184, 2761(2013) )

But even those codes have their limits

## What are possible strategies for extending the reach of the shell model?

## Strategies for moving forward

- Many-body bases: algebraic and other cluster bases (see talks by (Caprio?) McCoy, Volya)
- Many-body bases from single-particle: projected Hartree-Fock + GCM (see talk by Nowacki)
- Proton-neutron truncated basis
- Energy-truncation of shell-model basis


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## Symplectic Sp(3,R) Symmetry



## Collectivity features



## Group theory may be a natural framework for cluster physics

Kravvaris \& Volya, PRL 119, 062501 (2017)


FIG. 1. Spectrum of RGM Hamiltonian with the SRG softened N3LO interaction ( $\lambda=1.5 \mathrm{fm}^{-1}$ ) and $\hbar \Omega=25 \mathrm{MeV}$ for a $2 \alpha$ system. Zero on the energy scale is set by the $\alpha+\alpha$ breakup threshold of the corresponding model. Levels are marked by spin and parity and by an absolute binding energy in units of MeV . The $\alpha$ binding energies for the $\alpha[0]$ and $\operatorname{NCSM}(\alpha[4])$ calculations are -26.08 and -28.56 MeV , respectively. The inset shows the relative wave function of the two $\alpha$ clusters.

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- Proton-neutron truncated basis - Energy-truncat


These alternatives are not without challenges!

J-scheme matrices are smaller but much denser than M-scheme, and "symmetry-adapted" (i.e. SU(3)) matrices are smaller (and denser) still.

```
example: \({ }^{12} \mathrm{C} \mathrm{N}_{\max }=8\)
```

scheme basis dim

| M | $6 \times 10^{8}$ |
| :--- | :--- |
| $J(J=4)$ | $9 \times 10^{7}$ |
| $S U(3)$ | $9 \times 10^{6}$ |

(truncated)
From Dytrych, et al, arXiv:1602.02965

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```
example: \({ }^{12} \mathrm{C} \mathrm{N}_{\max }=8\)
```

scheme basis dim \# of nonzero matrix elements

| $M$ | $6 \times 10^{8}$ | $5 \times 10^{11}$ |
| :--- | :--- | :--- |
| $J(J=4)$ | $9 \times 10^{7}$ | $3 \times 10^{13}$ |
| $S U(3)$ | $9 \times 10^{6}$ | $2 \times 10^{12}$ |

(truncated)
From Dytrych, et al, arXiv:1602.02965

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J-scheme matrices are smaller but much denser than M-scheme, and "symmetry-adapted" (i.e. SU(3)) matrices are smaller (and denser) still.
example: ${ }^{12} \mathrm{C} \mathrm{N}_{\max }=8$
scheme basis dim \# of nonzero matrix element least amount of work!

| M | $6 \times 10^{8}$ | $5 \times 10^{11}$ 4 Tb of memory! <br> $\mathrm{J}(\mathrm{J}=4)$ $9 \times 10^{\prime}$ <br> $\mathrm{SU}(3)$ $9 \times 10^{6}$ | $2 \times 10^{10}$ |
| :--- | :--- | ---: | :--- |
| (truncated) |  | $2 \times 10^{12}$ | 16 Tb of memory! |
|  |  |  |  |

From Dytrych, et al, arXiv:1602.02965

## Choice of wave function basis

One chooses between a few, complicated states or many simple states


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## Choice of wave function basis

One ch Are there ways we can
ed states or ma harness the efficiency of on-the-fly but still get to

M-scheme J-scheme $\operatorname{SU}(3)$ GCM coupled-cluster (not really diagonalization)

## Strategies for moving forward

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Alternate approach for medium/heavy nuclei:
Proton-neutron factorization

$$
|\Psi\rangle=\sum_{\mu v} c_{\mu v}\left|p_{\mu}\right\rangle\left|n_{v}\right\rangle
$$

Can we truncate to just a few components?

Gorton and CWJ, J. Phys. G 50, 045110 (2023).

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Alternate approach for medium/heavy nuclei:
Proton-neutron factorization

$$
\begin{gathered}
|\Psi\rangle=\sum_{\mu v} c_{\mu v}\left|p_{\mu}\right\rangle\left|n_{v}\right\rangle \\
\left(a_{1}|010110 \ldots\rangle+a_{2}|110010 \ldots\rangle+a_{3}|001011 \ldots\rangle+\ldots \ldots\right)
\end{gathered}
$$

No longer single "Slater determinants" but linear combinations...

Alternate approach for medium/heavy nuclei:
Proton-neutron factorization

$$
|\Psi\rangle=\sum_{\mu v} c_{\mu v}\left|p_{\mu}\right\rangle\left|n_{v}\right\rangle
$$

Can we truncate to just a few components?
Priori work by Papenbrock, Juodagalvis, Dean, Phys. Rev. C 69, 024312 (2004), focused on $\mathbf{N}=\mathbf{Z}$
similar to DMRG (density-matrix renormalization group) (but not exactly)

## Why we think this could work:

Decompose full wfn into proton, neutron components

$$
|\Psi\rangle=\sum_{\mu v} c_{\mu v}\left|p_{\mu}\right\rangle\left|n_{v}\right\rangle
$$

$f r a c_{\mu}=\sum_{\nu}\left|c_{\mu \nu}\right|^{2} \quad \begin{aligned} & =\text { fraction of full wave function with } \\ & \text { proton (eigen)state } \mu\end{aligned}$
(one can compute this very efficiently with the Lanczos algorithm, using just the proton part of the full Hamiltonian)
${ }^{52} \mathrm{Fe}$ in $p f$-shell with GX1A interaction
decomposition of g.s.


These energies are the eigenenergies of 6 valence protons in the $p f$ shell
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$p f$-shell with GX1A interaction
decomposition into proton components


Note exponential
(Boltzmann) fall-off
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Example application:
shells between 50 and $82\left(0 g_{7 / 2} 2\right.$ s $\left.1 \mathrm{~d} 0 \mathrm{~h}_{11 / 2}\right)$
${ }^{129} \mathrm{Cs}: \mathrm{M}$-scheme dim 50 billion (haven't tried!)

Proton Slater determinant dimension: 14,677 Neutron Slater determinant dimension: 646,430

## We have written a code (O. Gorton) <br> Proton And Neutron Approximate Shell model: PANASh

We want to find solutions to
$\hat{H}|\Psi\rangle=E|\Psi\rangle$ where $\quad \hat{H}=\hat{H}_{p p}+\hat{H}_{n n}+\hat{H}_{p n}$
We solve $\quad \hat{H}_{p p}\left|\Psi_{p}\right\rangle=E_{p}\left|\Psi_{p}\right\rangle \quad \hat{H}_{n n}\left|\Psi_{n}\right\rangle=E_{n}\left|\Psi_{n}\right\rangle$
and choose certain $\left|\Psi_{p}\right\rangle\left|\Psi_{n}\right\rangle$ as basis for diagonalization;

Using BIGSTICK we construct many-proton states of good J

$$
\left|\Psi_{p}, J_{p} M\right\rangle=\sum_{\mu} c_{\mu}\left|p_{\mu}, M\right\rangle
$$

and the same for many-neutron states; these we couple together in a $J$-scheme code with fixed $J$ for basis:
Oliver Gorton

$$
\left.\left|\Psi_{J}\right\rangle=\sum_{a b} c_{a b}\left\langle\Psi_{p} a, J_{p}\right\rangle \otimes\left(\Psi_{n} b, J_{n}\right\rangle\right) \quad \begin{aligned}
& \text { same here, } \\
& \text { only for neutrons }
\end{aligned} \quad \begin{aligned}
& \text { we don't take all possible of these, } \\
& \text { but choose those lowest in energy } \\
& \text { when solving the proton-only system }
\end{aligned}
$$

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Oliver Gorton

 energies + densities

## PANASh

couples through
p-n interaction
proton+neutron energies and densities

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## We can also compute EM and weak transitions

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## We can also compute EM and weak transitions



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## Moving forward

Can we apply to the no-core shell model?


## Summary

The configuration-interaction shell model remains useful despite its ups and downs.

The no-core shell model can describe many features naturally, but some 'intruder' states-such as halos, configuration inversion, the Hoyle state \& analogsare a challenge.

While M-scheme, on-the-fly codes are extremely efficient, alternative modalities-algebraic, GCM, proton-neutronmay be needed to correctly describe these 'intruder' states.

## Extra slides

## Strategies for moving forward

- Many-body bases: algebraic and other cluster bases (see talks by McCoy, Volya)
- Many-body bases from single-particle: projected Hartree-Fock + GCM (see talk by Nowacki)
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## "Phenomenological" calculations work An Difgo State "Phenomenological" calculations work UNIVERSITY in a fixed space, usually with a core



# However even valence space calculations can still become intractable 



This is particularly true in calculations with two major shells, such as the sd-pf space

## M-scheme dimension

${ }^{40} \mathrm{Mg}: 286$ billion
${ }^{40} \mathrm{Ar}$ : 927 trillion!


Often we truncate by particle-hole excitations


2 particles, 2 holes

## M-scheme dimensions

full space $0 p-0 h \quad 2 \mathrm{p}-2 \mathrm{~h} \quad 4 \mathrm{p}-4 \mathrm{~h}$
${ }^{40} \mathrm{Mg}: 286$ billion 5 million 1.3 billion 28 billion
${ }^{40} \mathrm{Ar}: 927$ trillion! $1566 \quad 9$ million $\quad 4.6$ billion

## 2p, 2h excitations



Not all single-particle energies are the same! (and single-particle energies are not the whole story)

## Instead, we truncate based upon shell model 'configurations'

In particular, truncate on the configuration centroid (average) (Horoi, Brown, and Zelevinsky, PRC 50, R2274(R) (1994))

A configuration (or partition) is:
the set of all many-body states with a fixed occupation of shell model orbitals, i.e.,
$\left(0 \mathrm{~d}_{5 / 2}\right)^{2}\left(1 \mathrm{~s}^{1 / 2}\right)^{1}\left(0 \mathrm{~d}_{3 / 2}\right)^{1}$
$\left(0 d_{5 / 2}\right)^{3}\left(1 \mathrm{~s}^{1 / 2}\right)^{1}\left(0 \mathrm{~d}_{3 / 2}\right)^{0}$
etc.

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$\left(0 d_{5 / 2}\right)^{3}\left(1 \mathrm{~s}^{1 / 2}\right)^{1}\left(0 \mathrm{~d}_{3 / 2}\right)^{0}$
The configuration centroid is the average energy of all the states in a configuration

Duflo and Zuker,
PRC 59, R2347(R) (1999)
etc.

A configuration (or partition) is:
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The configuration centroids depend only upon the single-particle energies and the monopoles, and can be easily computed without constructing the entire Hamiltonian matrix.

The configuration centroid is the average energy of all the states in a configuration

Duflo and Zuker, PRC 59, R2347(R) (1999)

## Example: ${ }^{40} \mathrm{Ar}$ in $s d-p f$ space



> You can think of this as averages over blocks (configurations) of the diagonal of the
> Hamiltonian (but very fast!)

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## One can truncate the model space

 on the configuration centroidHoroi, Brown, and Zelevinsky, PRC 50, R2274(R) (1994)

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## One can truncate the model space

 on the configuration centroidHoroi, Brown, and Zelevinsky, PRC 50, R2274(R) (1994)

This is a little nontrivial in BIGSTICK.

BIGSTICK is organized around quantum numbers, including a fake integer quantum number, ' $w$ ' (or weight), assigned to each orbital. (For the no-core shell model, this is then principal quantum number N ).

BIGSTICK truncates by restricting to a maximum total $W$. This is very fast!

## But BIGSTICK's truncation is linear in the orbitals,

while configuration centroids are quadratic

Nonetheless I had a master's student (A. Keller) write a code using simulated annealing to optimize the single-particle weights, based upon some targeted cutoff in centroids

Nonetheless I had a master's student (A. Keller) write a code using simulated annealing to optimize the single-particle weights.

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targeted cutoff
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${ }^{34} \mathrm{Mg}$ in $s d-p f$

Full space: 587 billion! 2p,2h: 19.6 million 4p,4p: 2.3 billion

New : 146 million

New weights:
$l_{1 / 2}: 4$
$0 f_{5 / 2}$ : 4
$\operatorname{lp}_{3 / 2}: 3$
$0 f_{7 / 2}: 3$
$0 \mathrm{~d}_{3 / 2}$ : 3
$1_{s_{1 / 2}}: 2$
$0 \mathrm{~d}_{5 / 2}: 1$

Nonetheless I had a master's student (A. Keller) write a code using simulated annealing to optimize the single-particle weights.

Si41, negative parity


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${ }^{41} \mathrm{Si}$ in $s d-p f$

Full space: 10.3 trillion! 2p,2h:3.1 billion!

New : 136 million

New weights:
$l_{1 / 2}: 4$
$0 f_{5 / 2}$ : 4
$\operatorname{lp}_{3 / 2}: 3$
$0 f_{7 / 2}: 3$
$0 \mathrm{~d}_{3 / 2}$ : 3
$1_{s_{1 / 2}}: 2$
$0 \mathrm{~d}_{5 / 2}: 1$

This is work in progress!

- To reduce spurious center-of-mass motion, can add $+\lambda \mathrm{H}_{\mathrm{cm}}$ (Lawson method)-reduces to $<1 \%$.
- Still have yet to study convergence with basis dimension

