

Non-empirical energy functionals from low-momentum interactions

I. Introduction to Energy Density Functional methods

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Lecture series

Outline

- ➊ Introduction to energy density functional methods
 - Basics of formalism
 - Empirical energy functionals: form, performances and limitations
 - Towards non-empirical energy functionals
- ➋ Low-momentum interactions from renormalization group methods
- ➌ The building of non-empirical energy functionals

Take-away message

Theoretical methods

- 1 Ab-initio methods = A -body problem solved in terms of vacuum $H(\Lambda)$
- 2 Ab-initio methods limited to $A \leq 16$ plus a few doubly-magic nuclei
- 3 Approaches to heavier nuclei need to be benchmarked by ab-initio methods

Energy density functional method

- 1 Two successive levels of implementation: single reference and multi reference
- 2 Empirical energy functionals successful but lack predictive power
- 3 Need to connect the energy functional to vacuum $H(\Lambda)$ = non-empirical EDF

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- Basic facts about low-energy nuclear physics
- Theoretical methods

2 Energy density functional methods

- Sketch of the overall EDF formalism
- Single-reference implementation: elements of formalism
- Empirical energy functionals
- Performances and limitations
- Towards non-empirical energy functionals

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What is low-energy nuclear physics interested in?

In generic terms

- **Spectrum** of $H|\Psi_i^A\rangle = E_i^A|\Psi_i^A\rangle$ for all $A = N + Z$
- Observables for each state, e.g. $r^2 \equiv \langle\Psi_i^A|\sum_k^A\hat{r}_k^2|\Psi_i^A\rangle/A$
- **Decays** between $|\Psi_i\rangle$, i.e. **nuclear, electromagnetic, electro-weak**

Ground state

Mass, deformation



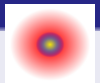
Spectroscopy

Excitations modes



Limits

Drip-lines, halos



Reaction properties

Fusion, transfer...



Heavy elements

Fission, fusion, SHE



Astrophysics

NS, SN, r-process



How does that translate to low-energy nuclear theory?

Goals for low-energy nuclear theory

- 1 Model the unknown nuclear Hamiltonian H
- 2 Solve A -body problem and describe properties of nuclei
- 3 Understand states of nuclear matter in astrophysical environments

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Which theoretical method(s)?

Ab-initio methods

- Solve the N-body problem in terms of **point-like nucleons** + $H(\Lambda)$

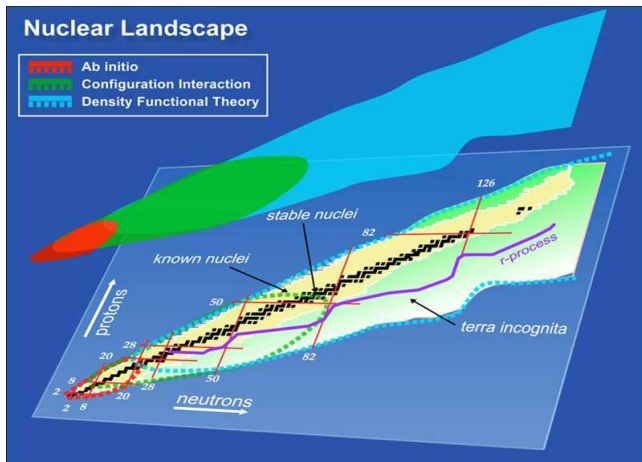
Name	Short description	Variational	Scale as	Up to
Few-body (Faddeev...)	$H\Psi = E\Psi$ 	Yes	M^A	$A = 2-4$
Green-Function Monte-Carlo (GFMC)	$\Psi(\tau) = e^{-(H-E_0)\tau}\Psi_T$ $= [e^{-(H-E_0)\Delta\tau}]^N \Psi_T$ + auxiliary field 	Yes	$\frac{M!}{(M-A)!A!}$	$A < 12$
No-core Shell Model	$H\Psi = E\Psi$ 	Yes	4^A	$A < 16$
Coupled-Cluster (CC)	$ \Psi\rangle = e^S \Psi_0\rangle$ $S = S_1 + S_2 + \dots$ 	No	$(M-A)^4 A^2$	$A < 100$ Only doubly-magic for now

M : configuration space size

From D. Lacroix

- Limited reach over the mass table

Which theoretical method(s)?



- No “one size fits all” theory for nuclei
- All theoretical approaches need to be linked

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Energy Density Functional method

Basic elements

- Approaches **not based on a correlated wave-function**
- Energy is postulated to be a functional of one-body density (matrices)
- **Symmetry breaking is at the heart of the method**
- Two formulations (i) Single-Reference (ii) Multi-Reference

Pros

- Use of full single-particle space
- Collective picture but fully quantal
- Universality of the EDF ($A \gtrsim 16$)
- Ground-state description
- Smoothly varying correlations

Difficulties

- No universal parametrization
- Empirical $\neq$ predictive power
- Spectroscopy
- Fluctuating correlations with A
- Limited accuracy ($\sigma_{2135}^{mass} \approx 700$ keV)

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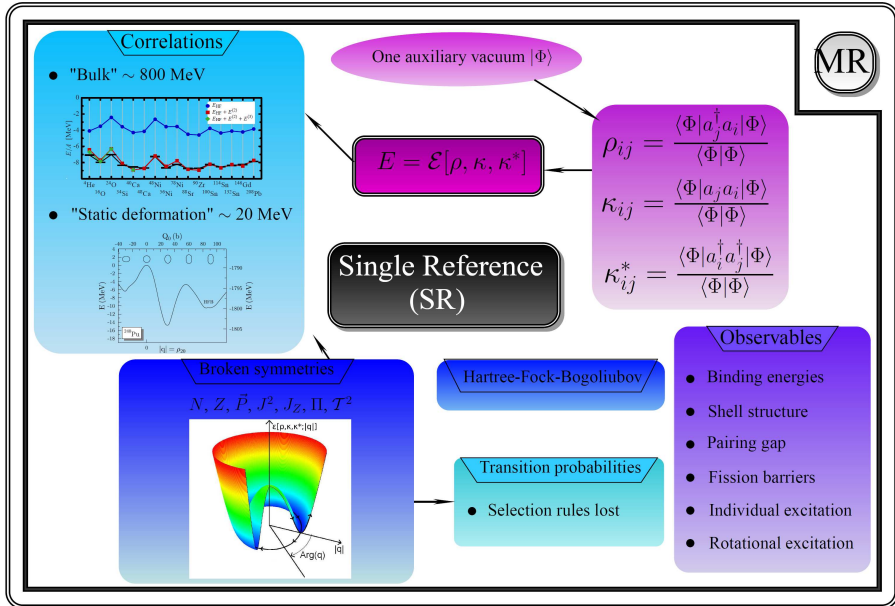
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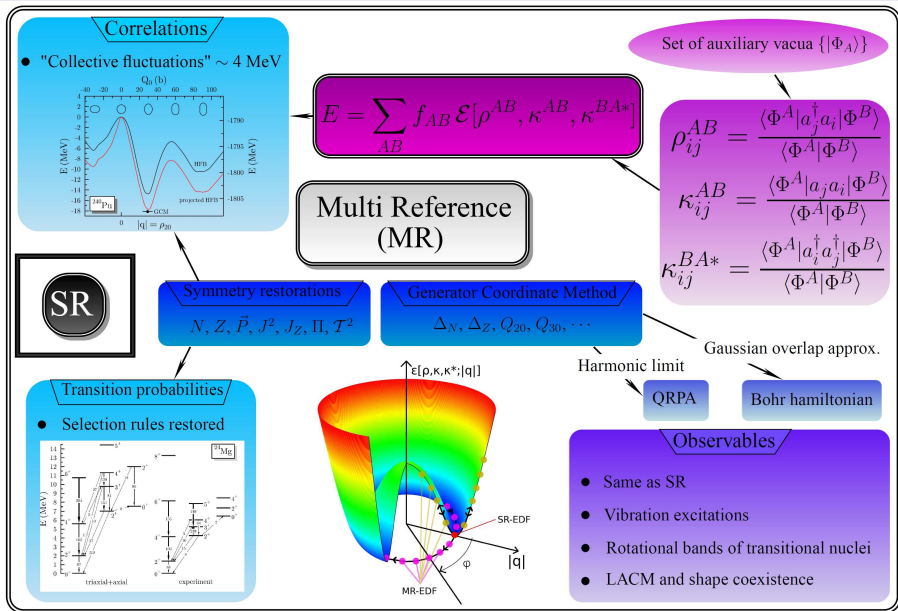
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Energy Density Functional method: single-reference implementation



Energy Density Functional method: multi-reference implementation



Energy Density Functional method: some relevant questions

Single Reference

Multi Reference

$$\mathcal{E}[\rho, \kappa, \kappa^*]$$

Empirical
 $V_{Sk.}, V_{Gog.}$

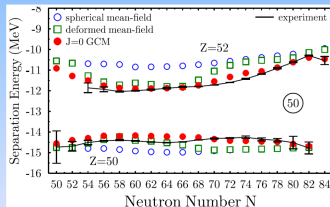
Vacuum
 H

Non empirical ?

- What form of vacuum H ?
- Can we relate $\mathcal{E}[\rho, \kappa, \kappa^*]$ to H ?
- Needed to go through $V_{eff.}$?

Empirical knowledge

- $\mathcal{E}[\rho, \kappa, \kappa^*]$ built empirically so far
- Effective separation of scales for correlations
 - ▲ Bulk $\sim 800 \text{ MeV} \propto A$
 - ▲ Collective def. $\leq 20 \text{ MeV} = F(N_{val}, G_{deg})$
 - ▲ Collective fluct. $\leq 4 \text{ MeV} = G(N_{val}, G_{deg})$
- Observables impacted by correlation
 - ▲ Symmetry breaking
 - ▲ Collective fluctuation



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Single-reference EDF method

Elements of formalism

- $\mathcal{E}[\rho, \kappa^*, \kappa] = \text{functional of one-body density matrices}$

$$\rho_{ji} \equiv \langle \Phi | b_i^\dagger b_j | \Phi \rangle \quad ; \quad \kappa_{ji} \equiv \langle \Phi | b_i b_j | \Phi \rangle$$

defined in an arbitrary single-particle basis $\{b_i^\dagger; b_i\}$

Single-reference EDF method

Elements of formalism

- $\mathcal{E}[\rho, \kappa^*, \kappa] =$ functional of one-body density matrices
- $|\Phi\rangle =$ auxiliary **symmetry-breaking** product state of reference

$$|\Phi\rangle \equiv \prod_i \beta_i |0\rangle$$

$$\beta_i \equiv \sum_j U_{ji}^* b_j + V_{ji}^* b_j^\dagger$$

and is a vacuum, i.e. $\beta_i |\Phi\rangle = 0 \quad \forall i$

Single-reference EDF method

Elements of formalism

- $\mathcal{E}[\rho, \kappa^*, \kappa]$ = functional of one-body density matrices
- $|\Phi\rangle$ = auxiliary symmetry-breaking product state of reference
- Minimizing $\mathcal{E}[\rho, \kappa^*, \kappa]$ leads to **Hartree-Fock-Bogoliubov-like equations**

$$\begin{pmatrix} h - \lambda & \Delta \\ -\Delta^* & -h^* + \lambda \end{pmatrix} \begin{pmatrix} U_i \\ V_i \end{pmatrix} = E_i \begin{pmatrix} U_i \\ V_i \end{pmatrix}$$

- Effective potentials and vertices are defined through

$$h_{ij} \equiv \frac{\delta \mathcal{E}}{\delta \rho_{ji}} \equiv t_{ij} + \sum_{kl} \bar{v}_{ikjl}^{ph} \rho_{lk} \quad ; \quad \Delta_{ij} \equiv \frac{\delta \mathcal{E}}{\delta \kappa_{ij}^*} \equiv \frac{1}{2} \sum_{kl} \bar{v}_{ijkl}^{pp} \kappa_{kl}$$

- $\bar{v}^{ph} / \bar{v}^{pp}$ = **Consistent many-body expansion in terms of NN/NNN**
- Quasiparticle w.f. (U_i, V_i) , energy E_i , densities...

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Empirical parameterizations of $\mathcal{E}[\rho, \kappa, \kappa^*]$; e.g. Skyrme or Gogny

Local Skyrme EDF for even-even nuclei ground-state

- Density matrices expressed in position $\otimes$ spin $\otimes$ isospin s.p. basis

$$\rho_{\vec{r}\sigma q \vec{r}'\sigma' q} \equiv \langle \Phi | c^\dagger(\vec{r}'\sigma' q) c(\vec{r}\sigma q) | \Phi \rangle$$

$$\kappa_{\vec{r}\sigma q \vec{r}'\sigma' q} \equiv \langle \Phi | c(\vec{r}'\sigma' q) c(\vec{r}\sigma q) | \Phi \rangle$$

- Local densities

$$\rho_q(\vec{r}) \equiv \sum_{\sigma} \rho_{\vec{r}\sigma q \vec{r}\sigma q}$$

Matter

$$\tau_q(\vec{r}) \equiv \sum_{\sigma} \nabla \cdot \nabla' \rho_{\vec{r}\sigma q \vec{r}'\sigma' q} \Big|_{\vec{r}'=\vec{r}}$$

Kinetic

$$J_{q,\mu\nu}(\vec{r}) \equiv \frac{i}{2} \sum_{\sigma\sigma'} (\nabla' - \nabla)_{\mu} \rho_{\vec{r}\sigma q \vec{r}'\sigma' q} \sigma_{\nu}^{\sigma'\sigma} \Big|_{\vec{r}'=\vec{r}}$$

Spin-current tensor

$$J_{q,\kappa}(\vec{r}) \equiv \sum_{\mu,\nu=x}^z \epsilon_{\kappa\mu\nu} J_{q,\mu\nu}(\vec{r})$$

Spin-orbit

$$\tilde{\rho}_q(\vec{r}) \equiv \sum_{\sigma} \kappa_{\vec{r}\sigma q \vec{r}\bar{\sigma} q} \sigma_z^{\bar{\sigma}\sigma}$$

Pair

- Build **scalar** EDF from such densities, e.g. at 2^{nd} order in σ_{ν} and ∇

Empirical parameterizations of $\mathcal{E}[\rho, \kappa, \kappa^*]$; e.g. Skyrme or Gogny

Local Skyrme EDF for even-even nuclei ground-state

- Universal form ($A \gtrsim 16$) but no universal parametrization

$$\begin{aligned} \mathcal{E}[\rho, \kappa, \kappa^*] = & \sum_{qq'} \int d\vec{r} \left[C_{qq'}^{\rho\rho} \rho_q(\vec{r}) \rho_{q'}(\vec{r}) + C_{qq'}^{\rho\Delta\rho} \rho_q(\vec{r}) \Delta\rho_{q'}(\vec{r}) + C_{qq'}^{\rho\tau} \rho_q(\vec{r}) \tau_{q'}(\vec{r}) \right. \\ & + C_{qq'}^{\rho\nabla J} \rho_q(\vec{r}) \vec{\nabla} \cdot \vec{J}_{q'}(\vec{r}) + C_{qq'}^{JJc} \sum_{\mu, \nu=x}^z J_{q, \mu\nu}(\vec{r}) J_{q', \mu\nu}(\vec{r}) \\ & \left. + C_{qq'}^{JJt} \sum_{\mu, \nu=x}^z \left[J_{q, \mu\mu}(\vec{r}) J_{q', \nu\nu}(\vec{r}) + J_{q, \mu\nu}(\vec{r}) J_{q', \nu\mu}(\vec{r}) \right] \right] \\ & + \sum_q \int d\vec{r} C_{qq}^{\tilde{\rho}\tilde{\rho}} |\tilde{\rho}_q(\vec{r})|^2 + \text{additional terms involving gradients} \end{aligned}$$

- Density-dependent couplings, i.e. $C_{qq'}^{\tilde{\rho}\tilde{\rho}}$ may depend on $\vec{r}$ as well
- Fitted on INM OES and selection of finite nuclei data
- Usually derived from the density-dependent Skyrme+DDD "interaction"

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Empirical parameterizations of $\mathcal{E}[\rho, \kappa, \kappa^*]$; e.g. Skyrme or Gogny

Density-dependent Skyrme "force" for the particle-hole part

- Schematic effective vertex, i.e. a **convenient intermediate** to generate $\mathcal{E}^{\rho\rho^{1+\alpha}}$

$$\begin{aligned}
 v_{\text{cent}} &= t_0 (1 + x_0 P_\sigma) \delta(\vec{r}) \\
 &+ \frac{1}{2} t_1 (1 + x_1 P_\sigma) [\delta(\vec{r}) \vec{k}^2 + \overleftarrow{k'}^2 \delta(\vec{r})] \\
 &+ t_2 (1 + x_2 P_\sigma) \overleftarrow{k'} \cdot \delta(\vec{r}) \vec{k} \\
 &+ \frac{1}{6} t_3 (1 + x_3 P_\sigma) \rho_0^\alpha(\vec{r}) \delta(\vec{r}) \\
 v_{\text{ls}} &= i W_0 (\vec{\sigma}_1 + \vec{\sigma}_2) \overleftarrow{k'} \wedge \delta(\vec{r}) \vec{k} \\
 v_{\text{tens}} &= \frac{t_e}{2} \left\{ [3 (\vec{\sigma}_1 \cdot \overleftarrow{k'}) (\vec{\sigma}_2 \cdot \overleftarrow{k'}) - (\vec{\sigma}_1 \cdot \vec{\sigma}_2) \overleftarrow{k'}^2] \delta(\vec{r}) \right. \\
 &\quad \left. + \delta(\vec{r}) [3 (\vec{\sigma}_1 \cdot \vec{k}) (\vec{\sigma}_2 \cdot \vec{k}) - (\vec{\sigma}_1 \cdot \vec{\sigma}_2) \vec{k}^2] \right\} \\
 &+ t_o \left\{ 3 (\vec{\sigma}_1 \cdot \overleftarrow{k'}) \delta(\vec{r}) (\vec{\sigma}_2 \cdot \vec{k}) - (\vec{\sigma}_1 \cdot \vec{\sigma}_2) \overleftarrow{k'} \cdot \delta(\vec{r}) \vec{k} \right\}
 \end{aligned}$$

- Only $C_{qq'}^{\rho\rho}$ depends on the density

Empirical parameterizations of $\mathcal{E}[\rho, \kappa, \kappa^*]$; e.g. Skyrme or Gogny

Density-dependent Skyrme "force" for the particle-hole part

- Schematic effective vertex, i.e. a convenient intermediate to generate $\mathcal{E}\rho\rho^{1+\alpha}$

Density-dependent delta "interaction" for the particle-particle part

- Schematic effective vertex, i.e. a **convenient intermediate** to generate $\mathcal{E}\kappa\kappa$

$$\tilde{v}_{\text{cent}} = \frac{1}{2} \tilde{t}_0 \left(1 - \eta \frac{\rho_0(\vec{r})}{\rho_{\text{sat}}} \right) (1 - P_\sigma) \delta(\vec{r})$$

- $C_{qq}^{\tilde{\rho}\tilde{\rho}}(\vec{r})$ is constant over the "Volume" ($\eta = 0$) or "Surface"-peaked ($\eta = 1$)
- Pairing correlations
 - ① Are characterized by the dependence of the EDF on $\kappa/\tilde{\rho}$
 - ② Are responsible for the superfluid nature of (most of the) nuclei
 - ③ Impact low-energy properties of finite nuclei and neutron stars
 - ④ Reflect (mostly) the strong NN attraction in the 1S_0 channel

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- Schematic effective vertex, i.e. a convenient intermediate to generate $\mathcal{E}^{\kappa\kappa}$

Energy density functional $\mathcal{E}[\rho, \kappa, \kappa^*]$

- Does NOT mimic a Hartree-Fock approximation in terms of NN+NNN
- Mocks up correlations BEYOND Hartree-Fock (see Lecture 3)
 - ❶ Through rich (enough?) functional form
 - ❷ Through fitting of parameters
- Not all correlations are easily resummed into $\mathcal{E}[\rho, \kappa, \kappa^*]$ itself
 - ❶ Symmetry breaking captures important correlations
 - ❷ Need for explicit configuration mixing = Multi-reference EDF method

Single-particle field h^q

h^q from the Skyrme EDF

$$h_{ij}^q \equiv \frac{\delta \mathcal{E}}{\delta \rho_{ji}^q} = \int d\vec{r} \, \varphi_i^\dagger(\vec{r}) h^q(\vec{r}) \varphi_j(\vec{r})$$

where the local field takes the form

$$h_q(\vec{r}) \equiv -\nabla \cdot B_q(\vec{r}) \nabla + U_q(\vec{r}) - \frac{i}{2} \sum_{\mu, \nu=x}^z \left[W_{q, \mu\nu}(\vec{r}) \nabla_\mu + \nabla_\mu W_{q, \mu\nu}(\vec{r}) \right] \sigma_\nu$$

with multiplicative potentials defined as

$$\begin{aligned} U_q(\vec{r}) &\equiv \frac{\delta \mathcal{E}}{\delta \rho_q(\vec{r})} \\ B_q(\vec{r}) &\equiv \frac{\delta \mathcal{E}}{\delta \tau_q(\vec{r})} \\ W_{q, \mu\nu}(\vec{r}) &\equiv \frac{\delta \mathcal{E}}{\delta J_{q, \mu\nu}(\vec{r})} \end{aligned}$$

Single-particle field h^q

h^q drives the correlated (!) s.p. motion

- h^q provides the "shell structure"

$$h^q(\vec{r}) \varphi_i(\vec{r}) \equiv \epsilon_i \varphi_i(\vec{r})$$

- ① Separation energies

- $\epsilon_p \approx \mathcal{E}_p^{N+1} - \mathcal{E}_0^N \approx E_p^{N+1} - E_0^N$

- $\epsilon_h \approx \mathcal{E}_0^N - \mathcal{E}_h^{N-1} \approx E_0^N - E_h^{N-1}$

- ② Excitation energies

- $\epsilon_p - \epsilon_h \approx \mathcal{E}_{ph}^N - \mathcal{E}_0^N \approx E_{ph}^N - E_0^N$

- Keep in mind missing correlations

- ① Symmetry breaking

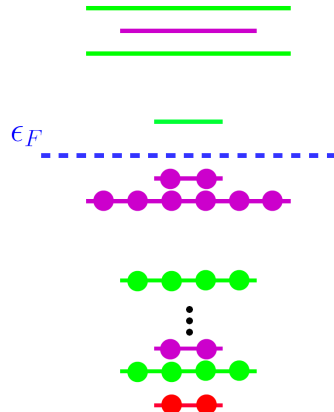
- Pairing via breaking of N

- Quadrupole via breaking of J^2

- ② Configuration mixing

- Symmetry restorations

- Dynamical part-vib coupling



Pairing field Δ^q Δ^q from the Skyrme EDF

$$\Delta_{ij}^q \equiv \frac{\delta \mathcal{E}}{\delta \kappa_{ij}^{q*}} = \int d\vec{r} \left[\varphi_i^\dagger(\vec{r}q) \Delta_q(\vec{r}) \varphi_j^*(\vec{r}q) - \varphi_j^\dagger(\vec{r}q) \Delta_q(\vec{r}) \varphi_i^*(\vec{r}q) \right]$$

where the local field takes the form

$$\Delta_q(\vec{r}) = -\tilde{U}_q(\vec{r}) i\sigma_y + \dots$$

with multiplicative potentials defined as

$$\begin{aligned} \tilde{U}_q(\vec{r}) &\equiv \frac{\delta \mathcal{E}}{\delta \tilde{\rho}_q^*(\vec{r})} \\ &\vdots \end{aligned}$$

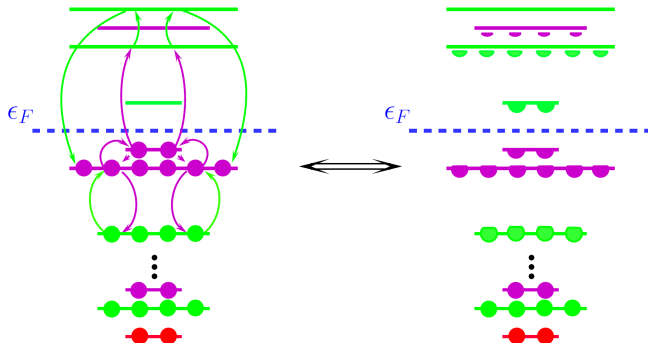
- UV divergence of local pairing EDF must be regularized/renormalized

Pairing field Δ^q

Δ^q drives pair scattering

- Correlates nucleon pairs in time-reversal states
- Results in smoothed-out single-particle occupations (canonical basis)

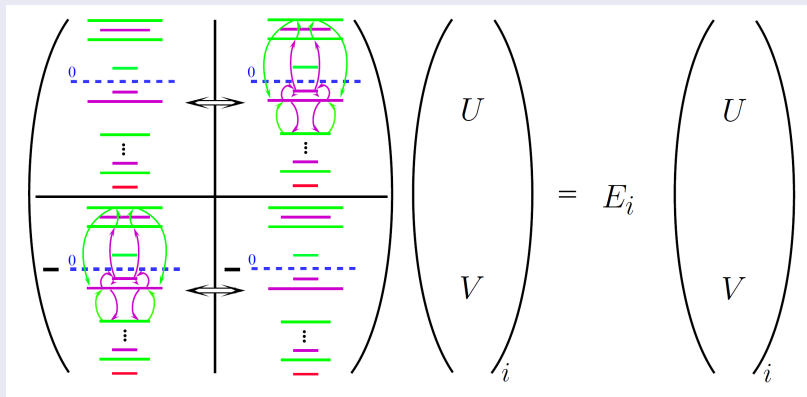
$$\rho_{ii} = v_i^2 = \frac{1}{2} \left[1 - \frac{\epsilon_i - \epsilon_F}{\sqrt{(\epsilon_i - \epsilon_F)^2 + \Delta_{ii}^2}} \right]$$



Hartree-Fock-Bogoliubov scheme

Hartree-Fock-Bogoliubov eigenvalue problem

- Modified v_i^2 feedback onto h^q which feeds back onto pair scattering...



- Quasi-particle energy $E_i \approx \sqrt{(\epsilon_i - \epsilon_F)^2 + \Delta_{ii}^2} \geq \Delta_F$

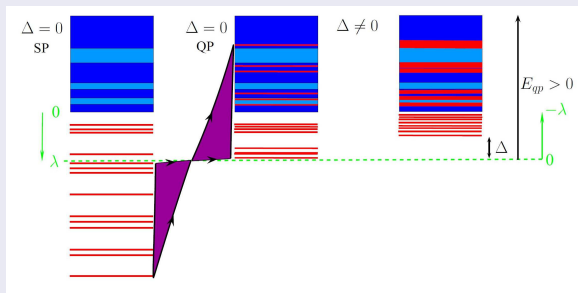
Hartree-Fock-Bogoliubov scheme

Hartree-Fock-Bogoliubov eigenvalue problem

- Pairing changes the nature of elementary excitations $|\Phi_{ij}\rangle = \beta_i^\dagger \beta_j^\dagger |\Phi\rangle$

$$\mathcal{E}_{ij}^{\langle N \rangle} - \mathcal{E}_0^{\langle N \rangle} = E_i + E_j \xrightarrow{\Delta=0} |\epsilon_p - \epsilon_F| + |\epsilon_h - \epsilon_F| = \epsilon_p - \epsilon_h$$

- Spectrum E_i versus $|\epsilon_i - \epsilon_F|$



- Gap opens at low energy + mix of hole- and particle-like excitations

Outline

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3 Bibliography

Performance of empirical EDFs (spherical HFB calculations)

Performance of existing EDFs

- Tremendous over known nuclei
- Especially for bulk properties
- Role of symmetry breaking

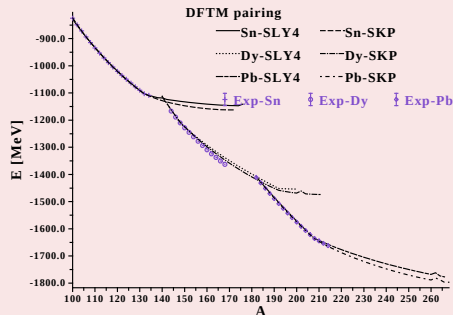
"Asymptotic freedom"

- Into "the next major shell"
- For most observables
- Signals poor predictive power

Spectroscopy

- The real challenge for the future...

Binding energy in Sn, Dy and Pb isotopes



[J. Sadoudi, T. D., unpublished]

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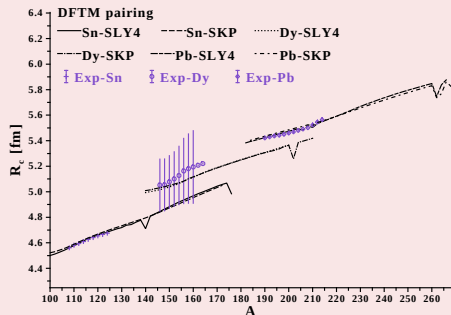
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Charge radius in Sn, Dy and Pb isotopes



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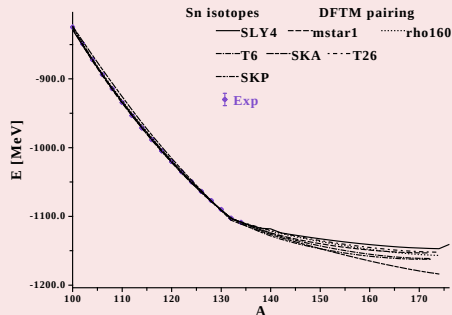
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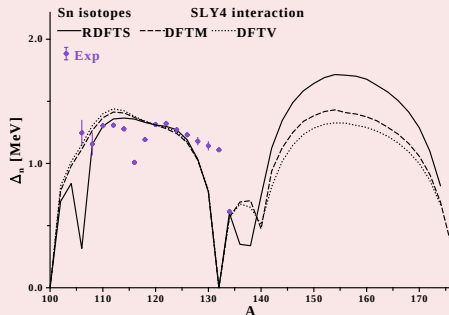
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Pairing gaps in Sn isotopes



[J. Sadoudi, T. D., unpublished]

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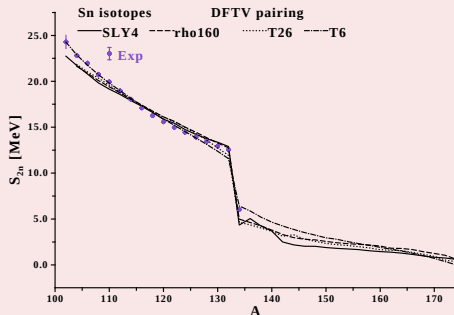
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Two-neutron sep. energy in Sn isotopes



Performance of empirical EDFs

Performance of existing EDFs

- Tremendous successes for known nuclei
- "Asymptotic freedom" as one enters "the next major shell"

Crucial undergoing works

- **Enrich the analytical structure of empirical functionals**
 - ① Tensor terms, e.g. [T. Lesinski et al., PRC76, 014312]
 - ② Higher-order derivatives [B. G. Carlsson et al., PRC78, 044326]
 - ③ $\rho_n - \rho_p$ dependence to $C_{qq}^{\tilde{\rho}\tilde{\rho}}(\vec{r})$, e.g. [J. Margueron et al., PRC77, 054309]
- Improve fitting protocols = data, algorithm and post-analysis

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One can also propose a complementary approach...

- Data not always constrain unambiguously non-trivial characteristics of EDF
- Interesting not to rely entirely on trial-and-error and fitting data

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Constructing non-empirical EDFs for nuclei

Long term objective

Build non-empirical EDF in place of existing models

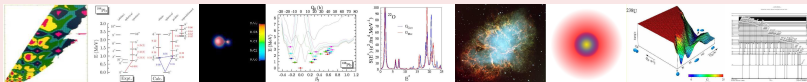
Empirical



Predictive?



Finite nuclei and extended nuclear matter



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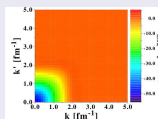
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Non-empirical

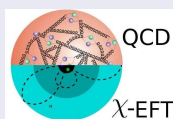


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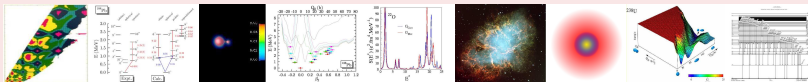
Low- k NN+NNN



QCD / χ -EFT



Finite nuclei and extended nuclear matter



Long term project and collaboration

Design *non-empirical* Energy Density Functionals

- Bridge with *ab-initio* many-body techniques
- Calculate properties of heavy/complex nuclei from NN+NNN
- Controlled calculations with theoretical error bars



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NSCL	S. K. Bogner, B. Gebremariam
OSU	R. J. Furnstahl, L. Platter
ORNL	T. Lesinski
JULICH	A. Nogga

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