

## Exam in advanced quantum chemistry

January 2018

duration of the exam session: 2h

*Neither documents nor calculators are allowed.*

*The grading scale might be changed.*

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### 1. Questions about the lectures (10 points)

- a) [2 pts] What is the Born–Oppenheimer approximation ? Are the nuclei treated in classical mechanics within such an approximation ? How are vibrational energies and electronic energies related ?
- b) [1 pt] Give the main difference between variational and non-variational quantum chemical methods.
- c) [2 pts] Explain why the Hartree–Fock (HF) method can be formulated as an orbital rotation problem. How can the HF orbitals be optimized ? How can we verify in a CI calculation that the determinants are constructed from HF orbitals ? If we perform a FCI calculation with molecular orbitals that are *not* the HF orbitals (let us consider Kohn–Sham orbitals for example), do we obtain a different FCI energy ?
- d) [2 pts] Define the concept of static correlation. What is the appropriate method for its description ? How is the wavefunction parameterized within this method ? Is it possible to describe excited states with this method ? Does it provide accurate results ?
- e) [1 pt] Does the energy depend explicitly on the electron density ?
- f) [2 pts] What are the differences and similarities between HF and Kohn–Sham (KS) density-functional approaches ?

### 2. Beyond the Hartree–Fock approximation: the fluctuation-dissipation theorem (14 points)

Let  $\hat{H} = \sum_{PQ} h_{PQ} \hat{a}_P^\dagger \hat{a}_Q + \frac{1}{2} \sum_{PQRS} \langle PQ|RS \rangle \hat{a}_P^\dagger \hat{a}_Q^\dagger \hat{a}_S \hat{a}_R$  be the electronic Hamiltonian (we work within the Born–Oppenheimer approximation) written in second quantization.

- a) [1 pt] What do the indices  $P, Q, R$  and  $S$  refer to ? Which name is usually given to  $h_{PQ}$  and  $\langle PQ|RS \rangle$ , respectively ? Give their physical meaning.

- b) [1 pt] Let  $\Psi_0$  denote the exact normalized  $N$ -electron ground-state wavefunction of  $\hat{H}$  with energy  $E_0$ . Explain why  $E_0 = \langle \Psi_0 | \hat{H} | \Psi_0 \rangle$  and deduce that  $E_0 = \sum_{PQ} h_{PQ} D_{PQ}^{\Psi_0} + \frac{1}{2} \sum_{PQRS} \langle PQ | RS \rangle D_{PQRS}^{\Psi_0}$  where the one- and two-electron density matrices are defined as follows for *any* normalized  $N$ -electron wavefunction  $\Psi$ :  $D_{PQ}^{\Psi} = \langle \Psi | \hat{a}_P^\dagger \hat{a}_Q | \Psi \rangle$  and  $D_{PQRS}^{\Psi} = \langle \Psi | \hat{a}_P^\dagger \hat{a}_Q^\dagger \hat{a}_S \hat{a}_R | \Psi \rangle$ .
- c) [1.5 pts] Show that  $D_{PQRS}^{\Psi} = \Gamma_{PQRS}^{\Psi} - \delta_{QR} D_{PS}^{\Psi}$ , where  $\Gamma_{PQRS}^{\Psi} = \langle \Psi | \hat{a}_P^\dagger \hat{a}_R \hat{a}_Q^\dagger \hat{a}_S | \Psi \rangle$  will be referred to as the *reordered two-electron density matrix* in the following. **Hint:** use the anti-commutation rules of second quantization.
- d) [1 pt] Show that the one-electron density matrix is completely known from the reordered two-electron one. **Hint:** Explain physically why  $\left( \sum_R \hat{a}_R^\dagger \hat{a}_R \right) |\Psi\rangle = N |\Psi\rangle$  and deduce that  $\sum_R \Gamma_{PQRR}^{\Psi} = N D_{PQ}^{\Psi}$ . Conclude.
- e) [1 pt] Conclude from questions 2. b), c), and d) that the ground-state energy is an explicit functional of the ground-state reordered two-electron density matrix.

In the rest of the problem we focus on the calculation of  $\Gamma_{PQRS}^{\Psi_0}$ .

- f) [1 pt] Explain why  $|\hat{a}_R^\dagger \hat{a}_P \Psi_0\rangle$  and  $|\hat{a}_Q^\dagger \hat{a}_S \Psi_0\rangle$  are  $N$ -electron quantum states.
- g) [2 pts] Let  $\{\Psi_i\}_{i=0,1,2,\dots}$  be the complete orthonormal basis of  $N$ -electron ground and excited states of  $\hat{H}$  with energies  $\{E_i\}_{i=0,1,2,\dots}$ . Show that  $\langle \hat{a}_R^\dagger \hat{a}_P \Psi_0 | \hat{\mathbb{1}}_N | \hat{a}_Q^\dagger \hat{a}_S \Psi_0 \rangle = \Gamma_{PQRS}^{\Psi_0} = D_{PR}^{\Psi_0} D_{QS}^{\Psi_0} + \sum_{i \geq 1} D_{PR}^{0 \rightarrow i} D_{SQ}^{0 \rightarrow i}$ , where, for any  $N$ -electron wavefunction  $\Psi$ ,  $\hat{\mathbb{1}}_N |\Psi\rangle = |\Psi\rangle$ , and the so-called *transition* one-electron density matrix elements are defined for any spin-orbitals  $U$  and  $V$  as  $D_{UV}^{0 \rightarrow i} = \langle \Psi_0 | \hat{a}_U^\dagger \hat{a}_V | \Psi_i \rangle$ . **Hint:** use real algebra and the resolution of the identity formula  $\hat{\mathbb{1}}_N = |\Psi_0\rangle \langle \Psi_0| + \sum_{i \geq 1} |\Psi_i\rangle \langle \Psi_i|$ .
- h) [1.5 pts] Show that, when the summation over excited states is neglected in the expression of  $\Gamma_{PQRS}^{\Psi_0}$ , the (approximate) ground-state energy can be expressed explicitly in terms of the ground-state one-electron density matrix as  $E_0 \approx \sum_{PQ} h_{PQ} D_{PQ}^{\Psi_0} + \frac{1}{2} \sum_{PQRS} \langle PQ | RS \rangle \left( D_{PR}^{\Psi_0} D_{QS}^{\Psi_0} - \delta_{QR} D_{PS}^{\Psi_0} \right)$ . Show that if, in addition, we approximate the exact ground-state wavefunction  $\Psi_0$  by the Hartree-Fock (HF) Slater determinant  $\Phi_0$ , whose occupied spin-orbitals are denoted  $\{I\}_{I=1,\dots,N}$ , and we sum over spin-orbitals occupied in  $\Phi_0$  only, then we recover the HF energy expression  $E_{\text{HF}} = \sum_I^{\text{occupied}} h_{II} + \frac{1}{2} \sum_{IJ}^{\text{occupied}} \left( \langle IJ | IJ \rangle - \langle IJ | JI \rangle \right)$ . **Hints:** First, use questions 2. b), c) and g). Then, explain why  $D_{IJ}^{\Phi_0} = \delta_{IJ}$  where  $I$  and  $J$  denote occupied spin-orbitals in  $\Phi_0$ . Conclude.

## BONUS

Let us return to the exact theory. Even though the problem we are interested in, namely the calculation of the ground-state energy, has in appearance nothing to do with a time-dependent problem, it is possible to establish mathematically a connection between the response of the molecule to a time-dependent perturbation (which plays a crucial role in the interpretation of spectroscopy experiments) and the exact calculation of  $E_0$ . For convenience, we will rewrite the energy contribution that was neglected in question 2. h) as follows,

$$\frac{1}{2} \sum_{PQRS} \langle PQ|RS \rangle \sum_{i \geq 1} D_{PR}^{0 \rightarrow i} D_{SQ}^{0 \rightarrow i} = \frac{1}{8} \sum_{PQRS} \langle PQ|RS \rangle \sum_{i \geq 1} \left( D_{PR}^{0 \rightarrow i} + D_{RP}^{0 \rightarrow i} \right) \left( D_{SQ}^{0 \rightarrow i} + D_{QS}^{0 \rightarrow i} \right). \quad (1)$$

- i) [2 pts] Let us imagine that the molecule is in the presence of an external *time-dependent perturbation* with frequency  $\omega$  and strength  $\epsilon$  which is described by the operator  $\hat{V}_\epsilon(t) = \epsilon \cos \omega t \times (\hat{a}_S^\dagger \hat{a}_Q + \hat{a}_Q^\dagger \hat{a}_S)$ . Since the total Hamiltonian  $\hat{H}(t) = \hat{H} + \hat{V}_\epsilon(t)$  is now time-dependent, the wavefunction  $\Psi(t)$  becomes time-dependent (and complex). It is possible to show that the real part of the one-electron density matrix, which is also time-dependent, can be expanded as follows through first order in  $\epsilon$ ,

$$\text{Re} \left[ \langle \Psi(t) | \hat{a}_P^\dagger \hat{a}_R | \Psi(t) \rangle \right] = \text{Re} \left[ D_{PR}^{\Psi(t)} \right] = D_{PR}^{\Psi_0} + 2\epsilon \cos \omega t \times \mathcal{R}_{PR,SQ}(\omega) + \dots, \quad (2)$$

where the so-called frequency-dependent *linear response function* equals

$$\mathcal{R}_{PR,SQ}(\omega) = -\frac{1}{4} \sum_{i \geq 1} \left( D_{PR}^{0 \rightarrow i} + D_{RP}^{0 \rightarrow i} \right) \left( D_{SQ}^{0 \rightarrow i} + D_{QS}^{0 \rightarrow i} \right) \times \left[ \frac{1}{\omega_i - \omega} + \frac{1}{\omega_i + \omega} \right], \quad (3)$$

and  $\omega_i = E_i - E_0$  is the exact *excitation energy* for the transition  $\Psi_0 \rightarrow \Psi_i$ .

We now employ a mathematical trick which consists in using a pure imaginary frequency  $i\omega$  [where  $i^2 = -1$ ] instead of a real one. Give a simplified expression for  $\mathcal{R}_{PR,SQ}(i\omega)$  and conclude that

$$-\frac{1}{\pi} \int_0^{+\infty} \mathcal{R}_{PR,SQ}(i\omega) d\omega = \frac{1}{4} \sum_{i \geq 1} \left( D_{PR}^{0 \rightarrow i} + D_{RP}^{0 \rightarrow i} \right) \left( D_{SQ}^{0 \rightarrow i} + D_{QS}^{0 \rightarrow i} \right). \quad (4)$$

This important result is known as the *fluctuation-dissipation theorem*.

**Hint:** use the formula  $\int_0^{+\infty} \frac{\omega_i}{\omega_i^2 + \omega^2} d\omega = \frac{\pi}{2}$  and note that the result does not depend on  $\omega_i$ .

- j) [2 pts] Conclude from Eqs. (1) and (4), and questions 2. b), c), g) that, even though the one-electron density matrix is not sufficient for calculating the ground-state energy  $E_0$ , its time-dependent version, which describes the response of the electrons to a time-dependent perturbation, gives access, in principle exactly, to  $E_0$ .

a) P, Q, R and S refer to spin-orbitals.  
 $h_{PQ}$  ← one-electron integral;  $\langle PR|RS\rangle$  → two-electron integral  
 ↓ describes the kinetic energy of the electron and the attraction between the electron and the nu  
 ↓ describes the repulsion between two electrons

b)  $\hat{H}|\psi_0\rangle = E_0|\psi_0\rangle$  so that  
 $\langle \psi_0 | \hat{H} | \psi_0 \rangle = E_0 \langle \psi_0 | \psi_0 \rangle = E_0$   
 Thus leading to  
 $E_0 = \sum_{PQ} h_{PQ} \langle \psi_0 | \hat{a}_P^\dagger \hat{a}_Q | \psi_0 \rangle + \frac{1}{2} \sum_{PQRS} \langle PR|RS\rangle \langle \psi_0 | \hat{a}_P^\dagger \hat{a}_Q^\dagger \hat{a}_S \hat{a}_R | \psi_0 \rangle$

c)  $D_{PQRS}^\psi = \langle \psi | \hat{a}_P^\dagger \hat{a}_Q^\dagger \hat{a}_S \hat{a}_R | \psi \rangle = - \langle \psi | \hat{a}_P^\dagger \hat{a}_Q^\dagger \hat{a}_R \hat{a}_S | \psi \rangle$   
 $= -\delta_{QR} \langle \psi | \hat{a}_P^\dagger \hat{a}_S | \psi \rangle + \langle \psi | \hat{a}_P^\dagger \hat{a}_R \hat{a}_Q^\dagger \hat{a}_S | \psi \rangle$   
 $D_{PS}^\psi$        $D_{PQRS}^\psi$

→  $\sum_R \Gamma_{PQR}^\psi = \sum_R \langle \psi | \hat{a}_P^\dagger \hat{a}_R \hat{a}_R^\dagger | \psi \rangle = \langle \psi | \hat{a}_P^\dagger \hat{a}_R (\sum_R \hat{a}_R^\dagger \hat{a}_R) | \psi \rangle = \langle \psi | \hat{a}_P^\dagger \hat{a}_R \hat{N} | \psi \rangle = N \langle \psi | \hat{a}_P^\dagger \hat{a}_R | \psi \rangle = D_{PR}^\psi$

d)  $\sum_R \hat{a}_R^\dagger \hat{a}_R = \hat{N}$  → counting operator  
 ↓ removes an electron in spin-orbital R  
 ↓ "restores" the electron  
 ↓ counts the number of electrons that occupy the spin-orbital R.  
 $\hat{N}|\psi\rangle = N|\psi\rangle$  → number of electrons

Thus leading to  $D_{PR}^\psi = \frac{1}{N} \sum_R \Gamma_{PQR}^\psi$

e)  $E_0 = \sum_{PQ} h_{PQ} D_{PQ}^\psi + \frac{1}{2} \sum_{PQRS} \langle PR|QS\rangle \times (\Gamma_{PQRS}^\psi - \delta_{QR} D_{PS}^\psi) = \sum_{PQ} h_{PQ} D_{PQ}^\psi - \frac{1}{2} \sum_{PQRS} \langle PR|QS\rangle D_{PS}^\psi + \frac{1}{2} \sum_{PQRS} \langle PR|RS\rangle \Gamma_{PQRS}^\psi$   
 $E_0 = \sum_{PQ} (h_{PQ} - \frac{1}{2} \sum_{R} \langle PR|RQ\rangle) D_{PQ}^\psi + \frac{1}{2} \sum_{PQRS} \langle PR|RS\rangle \Gamma_{PQRS}^\psi$   
 or, equivalently,  $E_0 = \frac{1}{N} \sum_{PQRS} (h_{PQ} - \frac{1}{2} \sum_{R} \langle PR|RQ\rangle) \Gamma_{PQRS}^\psi + \frac{1}{2} \sum_{PQRS} \langle PR|RS\rangle \Gamma_{PQRS}^\psi$   
 $\sum_{PQRST} \delta_{ST} (h_{PQ} - \frac{1}{2} \sum_{R} \langle PR|RQ\rangle) \Gamma_{PQRS}^\psi$        $\sum_{PQRST} \frac{1}{2} \langle PR|RS\rangle \Gamma_{PQRS}^\psi$

Thus leading to the final expression  
 $E_0 = \frac{1}{2} \sum_{PQRST} \left( \langle PR|QS\rangle - \left[ \sum_R \langle PR|RQ\rangle - 2h_{PQ} \right] \times \frac{\delta_{ST}}{N} \right) \Gamma_{PQRS}^\psi$   
 The ground-state energy  $E_0$  is an explicit functional of  $\{\Gamma_{PQRS}^\psi\}$

f)  $|\hat{a}_R^\dagger \hat{a}_P \psi_0\rangle = \hat{a}_R^\dagger |\hat{a}_P \psi_0\rangle$  → N-electron state!  
 ↓ removes an electron (N-1)-electron state  
 ↓ creates an electron N-electron state

g)  $\Gamma_{PQRS}^\psi = \langle \psi | \hat{a}_P^\dagger \hat{a}_R \hat{a}_Q^\dagger \hat{a}_S | \psi \rangle = \langle \hat{a}_R^\dagger \hat{a}_P \psi_0 | \hat{a}_Q^\dagger \hat{a}_S \psi_0 \rangle$   
 N-electron state      N-electron state

Thus leading to  $\Gamma_{PQRS}^\psi = \langle \hat{a}_R^\dagger \hat{a}_P \psi_0 | (|\psi_0\rangle \langle \psi_0| + \sum_{i>1} |\psi_i\rangle \langle \psi_i|) \hat{a}_Q^\dagger \hat{a}_S \psi_0 \rangle$   
 $= \underbrace{\langle \psi_0 | \hat{a}_R^\dagger \hat{a}_P | \psi_0 \rangle}_{D_{PR}^\psi} \underbrace{\langle \psi_0 | \hat{a}_Q^\dagger \hat{a}_S | \psi_0 \rangle}_{D_{QS}^\psi} + \sum_{i>1} \underbrace{\langle \psi_0 | \hat{a}_R^\dagger \hat{a}_P | \psi_i \rangle}_{D_{PR}^{0 \rightarrow i}} \underbrace{\langle \psi_i | \hat{a}_Q^\dagger \hat{a}_S | \psi_0 \rangle}_{\langle \psi_i | \hat{a}_R^\dagger \hat{a}_S | \psi_0 \rangle^*}$   
 real algebra!  
 $\langle \psi_0 | \hat{a}_R^\dagger \hat{a}_P | \psi_i \rangle = \langle \psi_0 | \hat{a}_R^\dagger \hat{a}_P \hat{a}_S^\dagger \hat{a}_Q | \psi_i \rangle = \langle \psi_0 | \hat{a}_R^\dagger \hat{a}_S^\dagger \hat{a}_Q \hat{a}_P | \psi_i \rangle = \langle \psi_0 | \hat{a}_S^\dagger \hat{a}_Q | \psi_i \rangle = D_{SQ}^{0 \rightarrow i}$

$\Gamma_{PQRS}^\psi = D_{PR}^\psi D_{QS}^\psi + \sum_{i>1} D_{PR}^{0 \rightarrow i} D_{SQ}^{0 \rightarrow i}$

h) Approximations:  $\sum_{PRAS} \psi_0 \approx D_{PR}^{\psi_0} D_{AS}^{\psi_0}$   
 $E_0 \approx \sum_{PR} h_{PR} D_{PR}^{\psi_0} + \frac{1}{2} \sum_{PQRS} \langle PQRS \rangle \times (D_{PR}^{\psi_0} D_{QS}^{\psi_0} - \delta_{QR} D_{PS}^{\psi_0})$

$\psi_0 \approx \Phi_0 \rightarrow D_{PR}^{\psi_0} \approx D_{PR}^{\Phi_0} = \langle \Phi_0 | \hat{a}_p^\dagger \hat{a}_r | \Phi_0 \rangle$   
 $= \langle \hat{a}_p^\dagger \Phi_0 | \hat{a}_r \Phi_0 \rangle$

We will only keep indices referring to occupied spin-orbitals in  $\Phi_0$ .

Combining the two approximations leads to  
 $E_0 \approx \sum_{IJ} h_{IJ} \delta_{IJ} + \frac{1}{2} \sum_{IJKL} \langle IJ|KL \rangle \times \begin{pmatrix} \delta_{IK} & \delta_{JL} \\ -\delta_{JK} & \delta_{IL} \end{pmatrix}$

must be occupied in  $\Phi_0$  otherwise it gives 0.  
 and  $D_{IJ} = \langle \Phi_0 | \hat{a}_I^\dagger \hat{a}_J | \Phi_0 \rangle = \delta_{IJ} \langle \Phi_0 | \Phi_0 \rangle$

or, equivalently,  
 $-\langle \Phi_0 | \hat{a}_J \hat{a}_I^\dagger | \Phi_0 \rangle$   
 Since I is already occupied in  $\Phi_0$ .

$E_0 \approx \sum_I h_{II} + \frac{1}{2} \sum_{IJ} \langle IJ|IJ \rangle - \frac{1}{2} \sum_{IJ} \langle IJ|JI \rangle \leftarrow \text{Hartree-Fock energy!}$

i)  $\mathcal{R}_{PR,SR}(i\omega) = -\frac{1}{4} \sum_{|i\rangle_1} (D_{PR}^{0 \rightarrow i} + D_{RL}^{0 \rightarrow i}) (D_{SR}^{0 \rightarrow i} + D_{QS}^{0 \rightarrow i}) \times \left[ \frac{1}{\omega_i - i\omega} + \frac{1}{\omega_i + i\omega} \right]$

thus leading to

$\int_0^{+\infty} \mathcal{R}_{PR,SR}(i\omega) d\omega = -\frac{1}{4} \sum_{|i\rangle_1} \times \int_0^{+\infty} \frac{2\omega_i}{\omega_i^2 + \omega^2} d\omega$

or, equivalently,  
 $\frac{1}{4} \sum_{|i\rangle_1} (D_{PR}^{0 \rightarrow i} + D_{RL}^{0 \rightarrow i}) (D_{SR}^{0 \rightarrow i} + D_{QS}^{0 \rightarrow i}) = -\frac{1}{\pi} \int_0^{+\infty} \mathcal{R}_{PR,SR}(i\omega) d\omega$

j)  $E_0 = \sum_{PR} h_{PR} D_{PR}^{\psi_0} + \frac{1}{2} \sum_{PQRS} \langle PQRS \rangle (D_{PR}^{\psi_0} D_{QS}^{\psi_0} - \delta_{QR} D_{PS}^{\psi_0})$

$+ \frac{1}{2} \sum_{PQRS} \langle PQRS \rangle \sum_{|i\rangle_1} D_{PR}^{0 \rightarrow i} D_{SQ}^{0 \rightarrow i}$   
 $= \sum_{PQ} h_{PQ} D_{PQ}^{\psi_0} + \frac{1}{2} \sum_{PQRS} \langle PQRS \rangle D_{PR}^{\psi_0} D_{QS}^{\psi_0} - \frac{1}{2} \sum_{PAS} \langle PAS \rangle D_{PS}^{\psi_0}$

$-\frac{1}{2\pi} \sum_{PQRS} \langle PQRS \rangle \int_0^{+\infty} \mathcal{R}_{PR,SR}(i\omega) d\omega$   
 $\frac{1}{2} \sum_{PQRS} \langle PR|QS \rangle D_{PR}^{\psi_0} D_{RS}^{\psi_0} - \frac{1}{2} \sum_{PRQ} \langle PR|RQ \rangle D_{PQ}^{\psi_0}$

thus leading to

$E_0 = \sum_{PQ} (h_{PQ} + \frac{1}{2} \sum_{RS} \langle PR|QS \rangle D_{RS}^{\psi_0} - \frac{1}{2} \sum_R \langle PR|RQ \rangle D_{PQ}^{\psi_0})$   
 $-\frac{1}{2\pi} \int_0^{+\infty} \sum_{PQRS} \langle PQRS \rangle \mathcal{R}_{PR,SR}(i\omega) d\omega$

unperturbed one-electron density matrix.

linear response function

Both are given by the time-dependent one-electron density matrix (which is connected to the one-electron Green function)