Investigating rigorous combinations of wave function and density-functional theories

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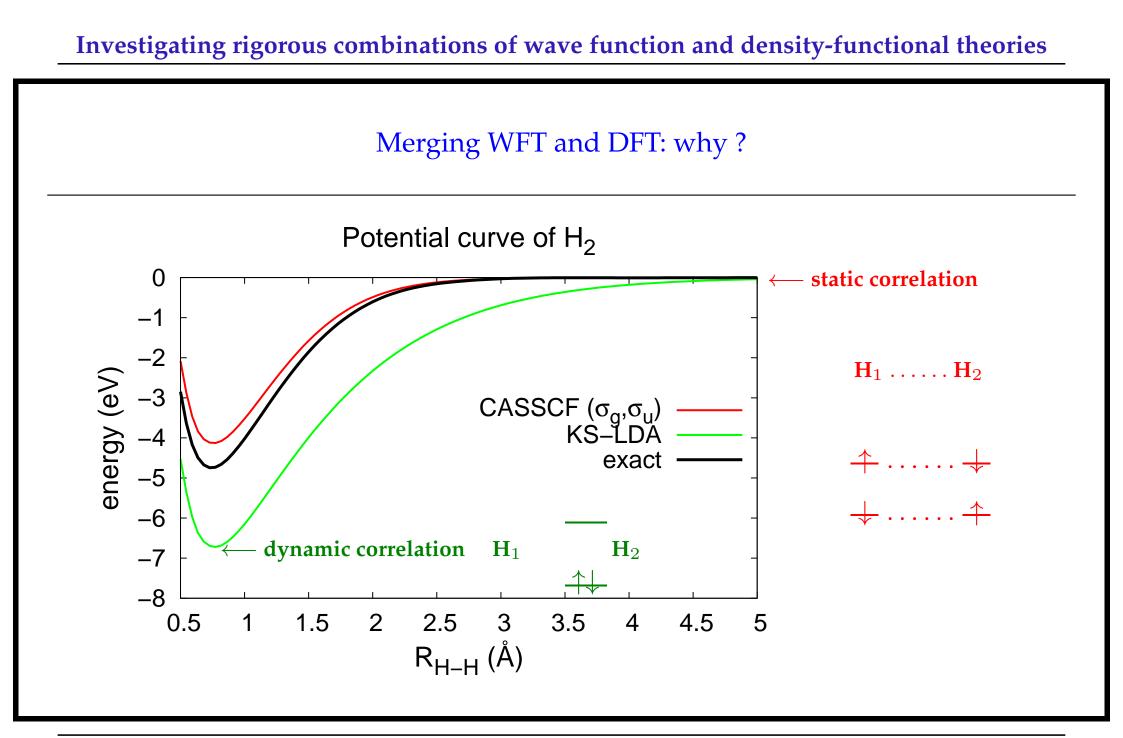
Outline

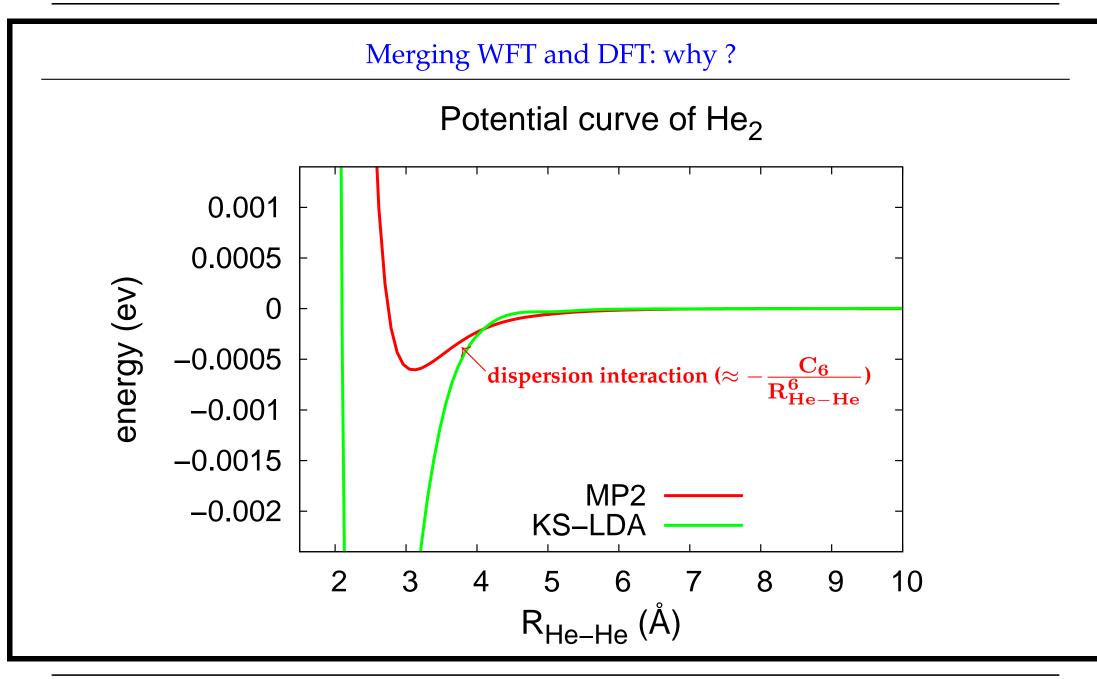
- Merging wave function (WFT) and density-functional (DFT) theories: why?
- Hohenberg-Kohn (HK) theorems
- HK theorems at work:

Kohn-Sham (pure functionals: LDA, PBE, ...)

hybrid HF-DFT (hybrid functionals: PBE0, B3LYP, CAMB3LYP, ...)

post-HF-DFT (double hybrids, range-separated schemes, ...)





Notations

• N-electron Hamiltonian within the Born-Oppenheimer approximation:

$$\begin{split} \hat{H} &= \hat{T} + \hat{W}_{ee} + \hat{V}_{ne} \\ \hat{T} &= \sum_{i=1}^{N} -\frac{1}{2} \nabla_{i}^{2} & \rightarrow \text{ kinetic energy} \\ \hat{W}_{ee} &= \frac{1}{2} \sum_{i \neq j}^{N} \hat{w}_{ee}(r_{ij}) & \text{ with } w_{ee}(r_{12}) = \frac{1}{r_{12}} & \rightarrow \text{ full electron-electron repulsion} \\ \hat{V}_{ne} &= \sum_{i=1}^{N} \hat{v}_{ne}(\mathbf{r}_{i}) & \text{ with } v_{ne}(\mathbf{r}) = -\sum_{A}^{\text{nuclei}} \frac{Z_{A}}{|\mathbf{r} - \mathbf{r}_{A}|} & \rightarrow \text{ electron-nuclei attraction} \\ \end{split}$$

$$electron \text{ density } n(\mathbf{r}) \text{ fulfills } \int d\mathbf{r} n(\mathbf{r}) = N \end{split}$$

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Notations

• Density operator in the 1-electron case: $\hat{n}(\mathbf{r}) = |\mathbf{r}\rangle \langle \mathbf{r}|$

$$n_{\psi}(\mathbf{r}) = \psi^{*}(\mathbf{r}) \,\psi(\mathbf{r}) = \langle \psi | \mathbf{r} \rangle \langle \mathbf{r} | \psi \rangle = \langle \psi | \hat{n}(\mathbf{r}) | \psi \rangle$$

• local nuclear potential operator:
$$\hat{v}_{ne}(\mathbf{r}) = \int d\mathbf{r} \; v_{ne}(\mathbf{r}) |\mathbf{r}\rangle \langle \mathbf{r}| = \int d\mathbf{r} \; v_{ne}(\mathbf{r}) \, \hat{n}(\mathbf{r})$$

• Generalization to the N-electron case (second quantization):

 $n_{\Psi}(\mathbf{r}) = \langle \Psi | \hat{n}(\mathbf{r}) | \Psi \rangle$ where Ψ is an N-electron wave function

$$\hat{V}_{\rm ne} = \sum_{i=1}^{N} \hat{v}_{\rm ne}(\mathbf{r}_i) = \int d\mathbf{r} \ v_{\rm ne}(\mathbf{r}) \ \hat{n}(\mathbf{r})$$
$$\langle \Psi | \hat{V}_{\rm ne} | \Psi \rangle = \int d\mathbf{r} \ v_{\rm ne}(\mathbf{r}) \ \langle \Psi | \hat{n}(\mathbf{r}) | \Psi \rangle = \int d\mathbf{r} \ v_{\rm ne}(\mathbf{r}) \ n_{\Psi}(\mathbf{r})$$

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HK1: There is a one to one correspondence between the local potential $v(\mathbf{r})$, up to a constant, and the non-degenerate ground-state density $n(\mathbf{r})$ of the electronic Hamiltonian

$$\hat{H}[v] = \hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r})\hat{n}(\mathbf{r})$$

Proof:

- $v(\mathbf{r}) \rightarrow \Psi[v]$ ground state of $\hat{H}[v] \rightarrow n_{\Psi[v]}(\mathbf{r}) = \langle \Psi[v] | \hat{n}(\mathbf{r}) | \Psi[v] \rangle$
- $n(\mathbf{r}) \rightarrow \text{unique } v(\mathbf{r})$ (up to a constant) so that the density of $\Psi[v]$ equals $n(\mathbf{r})$?

Let us assume that we can find two local potentials $v(\mathbf{r})$ and $v'(\mathbf{r})$ that differ from more than a constant and lead to the same ground-state density:

$$n_{\Psi[v]}(\mathbf{r}) = n_{\Psi[v']}(\mathbf{r}) = n(\mathbf{r})$$

• $\Psi[v]$ cannot be equal to $\Psi[v']$ otherwise

 $\hat{H}[v]|\Psi[v]\rangle = E[v]|\Psi[v]\rangle \quad \text{and} \quad \hat{H}[v']|\Psi[v']\rangle = E[v']|\Psi[v']\rangle$

leads to $\hat{H}[v]|\Psi[v]\rangle - \hat{H}[v']|\Psi[v']\rangle$

$$= \left(\hat{H}[v] - \hat{H}[v']\right) |\Psi[v]\rangle = \int d\mathbf{r} \underbrace{\left(v(\mathbf{r}) - v'(\mathbf{r})\right)}_{\neq \text{ constant}} \hat{n}(\mathbf{r}) |\Psi[v]\rangle = \left(E[v] - E[v']\right) |\Psi[v]\rangle \quad (!)$$

<u>Comment</u>: the eigenvectors of a local potential operator correspond to <u>electrons fixed at given</u> positions in space

• Non-degeneracy implies

 $\langle \Psi[v'] | \hat{H}[v] | \Psi[v'] \rangle > E[v] \quad \text{and} \quad \langle \Psi[v] | \hat{H}[v'] | \Psi[v] \rangle > E[v']$

$$\langle \Psi[v'] | \hat{T} + \hat{W}_{ee} | \Psi[v'] \rangle - \langle \Psi[v] | \hat{T} + \hat{W}_{ee} | \Psi[v] \rangle > \int d\mathbf{r} \ v(\mathbf{r}) \ \left(n_{\Psi[v]}(\mathbf{r}) - n_{\Psi[v']}(\mathbf{r}) \right) = 0$$

$$\langle \Psi[v'] | \hat{T} + \hat{W}_{ee} | \Psi[v'] \rangle - \langle \Psi[v] | \hat{T} + \hat{W}_{ee} | \Psi[v] \rangle < \int d\mathbf{r} \ v'(\mathbf{r}) \ \left(n_{\Psi[v]}(\mathbf{r}) - n_{\Psi[v']}(\mathbf{r}) \right) = 0$$

$$(!)$$

• Conclusion: $n_{\Psi[v]}(\mathbf{r}) \rightarrow v(\mathbf{r}) \rightarrow \Psi[v] \rightarrow E[v]$

the ground-state energy E[v] is a functional of the ground-state density $n_{\Psi[v]}(\mathbf{r})$

$$E[v] = E[n_{\Psi[v]}]$$

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HK2: The ground-state density $n_0(\mathbf{r})$ of the electronic Hamiltonian

$$\hat{H}[v_{\rm ne}] = \hat{T} + \hat{W}_{\rm ee} + \int d\mathbf{r} \ v_{\rm ne}(\mathbf{r}) \hat{n}(\mathbf{r})$$

minimizes the energy density-functional $E[n] = F[n] + \int d\mathbf{r} v_{ne}(\mathbf{r}) n(\mathbf{r}),$

where the Hohenberg and Kohn universal functional F[n] is defined as

$$F[n] = \langle \Psi[n] | \hat{T} + \hat{W}_{ee} | \Psi[n] \rangle,$$

and the minimum equals the exact ground-state energy E_0 :

$$\min_{n} E[n] = E[n_0] = E_0$$

<u>Comment</u>: we know from **HK1** that

$$n(\mathbf{r}) \rightarrow v[n](\mathbf{r}) \rightarrow \Psi[v[n]] = \Psi[n]$$

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Proof:

• for any density $n(\mathbf{r})$, $\Psi[n]$ is well defined according to **HK1** and

 $\langle \Psi[n] | \hat{H}[v_{\rm ne}] | \Psi[n] \rangle \ge E_0$

$$\underbrace{\langle \Psi[n] | \hat{T} + \hat{W}_{ee} | \Psi[n] \rangle}_{F[n]} + \int d\mathbf{r} \ v_{ne}(\mathbf{r}) \underbrace{n_{\Psi[n]}(\mathbf{r})}_{n(\mathbf{r})} \ge E_0$$

leading to $E[n] \ge E_0$

• When $n(\mathbf{r})$ equals the exact ground-state density $n_0(\mathbf{r})$:

$$n_0(\mathbf{r}) \rightarrow v_{\mathrm{ne}}(\mathbf{r}) \rightarrow \Psi[n_0] = \Psi[v_{\mathrm{ne}}] = \Psi_0$$

$$E[n_0] = \langle \Psi_0 | \hat{T} + \hat{W}_{ee} | \Psi_0 \rangle + \int d\mathbf{r} \ v_{ne}(\mathbf{r}) n_0(\mathbf{r}) = \langle \Psi_0 | \hat{T} + \hat{W}_{ee} + \hat{V}_{ne} | \Psi_0 \rangle = E_0$$

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Kohn-Sham DFT (KS-DFT)

• the energy density-functional

$$E[n] = F[n] + \int d\mathbf{r} \ v_{\rm ne}(\mathbf{r}) n(\mathbf{r})$$

is fully known from the HK functional F[n], for which the explicit expression is unknown (!)

unknown = known + (unknown - known)

- **HK1** was formulated for "fully-interacting" electrons described by the Hamiltonian $\hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) : n(\mathbf{r}) \rightarrow \Psi[n] \rightarrow F[n] = \langle \Psi[n] | \hat{T} + \hat{W}_{ee} | \Psi[n] \rangle$
- **HK1** is actually also valid for fictitious "non-interacting" electrons described by the Hamiltonian $\hat{T} + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) \qquad : n(\mathbf{r}) \rightarrow \Phi^{\mathrm{KS}}[n] \rightarrow T_S[n] = \langle \Phi^{\mathrm{KS}}[n] | \hat{T} | \Phi^{\mathrm{KS}}[n] \rangle$

Kohn-Sham DFT (KS-DFT)

• The Hamiltonian of "non-interacting" electrons is a one-electron operator:

$$H^{\mathrm{KS}} = \hat{T} + \int d\mathbf{r} \ v(\mathbf{r})\hat{n}(\mathbf{r}) = \sum_{i=1}^{N} -\frac{1}{2}\nabla_{i}^{2} + \hat{v}(\mathbf{r_{i}})$$

• Its exact ground state $\Phi^{KS}[n]$ is therefore a single Slater determinant:

$$\Phi^{\mathrm{KS}}[n] = |\varphi_1^2 \varphi_2^2 \dots \varphi_{\frac{N}{2}}^2|$$

where the Kohn-Sham orbitals φ_i fulfill

$$-\frac{1}{2}\nabla_i^2\varphi_i + v(\mathbf{r_i})\varphi_i = \varepsilon_i\varphi_i$$

• The "non-interacting" kinetic energy is then easy to calculate:

$$T_{S}[n] = \langle \Phi^{\mathrm{KS}}[n] | \hat{T} | \Phi^{\mathrm{KS}}[n] \rangle = -2 \times \frac{1}{2} \sum_{i=1}^{\frac{N}{2}} \int d\mathbf{r} \, \varphi_{i}(\mathbf{r}) \nabla^{2} \varphi_{i}(\mathbf{r})$$

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Kohn-Sham DFT (KS-DFT)

• The kinetic energy of non-interacting electrons being "known":

$$F[n] = T_S[n] + \left(\underbrace{F[n] - T_S[n]}_{}\right)$$

 $E_{\rm Hxc}[n]$

Page 14

- Hartree, exchange and correlation energy functional: $E_{\text{Hxc}}[n] = \frac{1}{2} \int \frac{n(\mathbf{r})n(\mathbf{r'})}{|\mathbf{r} \mathbf{r'}|} d\mathbf{r} d\mathbf{r'} + \mathbf{E}_{\text{xc}}[n]$
- Energy expression in KS-DFT deduced from HK2

$$E_0 = \min_{n} \left\{ T_S[n] + E_{\text{Hxc}}[n] + \int d\mathbf{r} \ v_{\text{ne}}(\mathbf{r}) n(\mathbf{r}) \right\}$$

• The exact explicit expression of $T_S[n]$ is unknown (!)

Kohn-Sham DFT (KS-DFT)

• Let us consider an arbitrary wave function Ψ of density $n_{\Psi}(\mathbf{r}) \rightarrow \Phi^{\mathrm{KS}}[n_{\Psi}]$ which is the ground state of a "non-interacting" Hamiltonian

$$\hat{H}^{\mathrm{KS}} = \hat{T} + \int d\mathbf{r} \ v(\mathbf{r})\hat{n}(\mathbf{r})$$

$$\langle \Psi | \hat{H}^{\mathrm{KS}} | \Psi \rangle \geq \langle \Phi^{\mathrm{KS}}[n_{\Psi}] | \hat{H}^{\mathrm{KS}} | \Phi^{\mathrm{KS}}[n_{\Psi}] \rangle$$

$$\langle \Psi | \hat{T} | \Psi \rangle - \langle \Phi^{\mathrm{KS}}[n_{\Psi}] | \hat{T} | \Phi^{\mathrm{KS}}[n_{\Psi}] \rangle \ge \int d\mathbf{r} \ v(\mathbf{r}) \left(n_{\Phi^{\mathrm{KS}}[n_{\Psi}]}(\mathbf{r}) - n_{\Psi}(\mathbf{r}) \right) = 0$$

leading to
$$\langle \Psi | \hat{T} | \Psi \rangle \geq T_S[n_{\Psi}]$$

<u>Conclusion</u>: the kinetic energy of a "fully interacting" electronic system is larger than the kinetic energy of the "non-interacting" electronic system which has the same electron density

Kohn-Sham DFT (KS-DFT)

• Consequence: minimization over densities $n(\mathbf{r}) \leftrightarrow \text{minimization over wave functions } \Psi$:

for any
$$\Psi$$
, $\langle \Psi | \hat{T} + \hat{V}_{ne} | \Psi \rangle \ge T_S[n_{\Psi}] + \int d\mathbf{r} \ v_{ne}(\mathbf{r}) n_{\Psi}(\mathbf{r})$

$$\langle \Psi | \hat{T} + \hat{V}_{ne} | \Psi \rangle + E_{Hxc}[n_{\Psi}] \ge \underbrace{T_S[n_{\Psi}] + E_{Hxc}[n_{\Psi}] + \int d\mathbf{r} \ v_{ne}(\mathbf{r}) n_{\Psi}(\mathbf{r})}_{E[n_{\Psi}] \ge E_0}$$

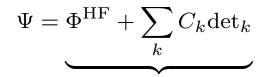
• When Ψ equals the non-interacting ground state $\Phi^{KS}[n_0]$ associated to the exact density $n_0(\mathbf{r})$

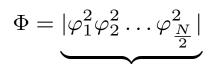
$$\langle \Phi^{\rm KS}[n_0] | \hat{T} + \hat{V}_{\rm ne} | \Phi^{\rm KS}[n_0] \rangle + E_{\rm Hxc}[n_{\Phi^{\rm KS}[n_0]}] = E[n_0] = E_0$$

$$E_0 = \min_{\Psi} \left\{ \langle \Psi | \hat{T} + \hat{V}_{\rm ne} | \Psi \rangle + E_{\rm Hxc}[n_{\Psi}] \right\}$$

Comparing WFT and KS-DFT

•
$$E_0 = \min_{\Psi} \left\{ \langle \Psi | \hat{T} + \hat{V}_{ne} + \hat{W}_{ee} | \Psi \rangle \right\} = \min_{\Phi} \left\{ \langle \Phi | \hat{T} + \hat{V}_{ne} | \Phi \rangle + E_{Hxc}[n_{\Phi}] \right\}$$





multideterminantal wave function

single determinant

approximations to *E*_{xc}[*n*]: LDA, PBE, ... known as pure functionals since they depend explicitly on the density *n*(**r**), its gradient |∇*n*(**r**)|, etc ... → problems with self-interaction error, charge transfers, ...

Merging Hartree-Fock (HF) and DFT

HK3: There is a one to one correspondence between the local potential $v(\mathbf{r})$, up to a constant, and the non-degenerate Hartree-Fock ground-state density $n^{\text{HF}}(\mathbf{r})$ of the electronic Hamiltonian

$$\hat{H}[v] = \hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r})\hat{n}(\mathbf{r})$$

• $v(\mathbf{r}) \rightarrow \Phi^{\mathrm{HF}}[v]$ HF approximation for $\hat{H}[v] \rightarrow n_{\Phi^{\mathrm{HF}}[v]}(\mathbf{r}) = \langle \Phi^{\mathrm{HF}}[v] | \hat{n}(\mathbf{r}) | \Phi^{\mathrm{HF}}[v] \rangle$

• $n(\mathbf{r}) \rightarrow \text{unique } v(\mathbf{r}) \text{ (up to a constant) so that the density of } \Phi^{\text{HF}}[v] \text{ equals } n(\mathbf{r}) ?$

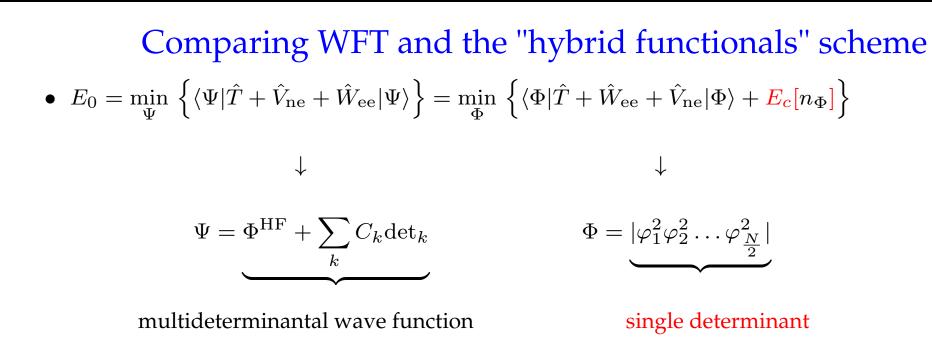
Assuming that we can find two local potentials $v(\mathbf{r})$ and $v'(\mathbf{r})$ that differ from more than a constant and lead to the same HF ground-state density is absurd !

- **HK1** was formulated for "fully-interacting" electrons described by the Hamiltonian $\hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) : n(\mathbf{r}) \rightarrow \Psi[n] \rightarrow F[n] = \langle \Psi[n] | \hat{T} + \hat{W}_{ee} | \Psi[n] \rangle$
- **HK3** is formulated at the HF level of approximation for electrons described by the Hamiltonian $\hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) \quad : n(\mathbf{r}) \rightarrow \Phi^{\mathrm{HF}}[n] \rightarrow F^{\mathrm{HF}}[n] = \langle \Phi^{\mathrm{HF}}[n] | \hat{T} + \hat{W}_{ee} | \Phi^{\mathrm{HF}}[n] \rangle$
- The Hartree-Fock energy of "fully-interacting" electrons being "known":

$$F[n] = F^{\rm HF}[n] + \left(\underbrace{F[n] - F^{\rm HF}[n]}_{E_c[n]}\right)$$

• Energy expression in the "hybrid functionals" scheme deduced from HK2

$$E_0 = \min_{n} \left\{ \langle \Phi^{\mathrm{HF}}[n] | \hat{T} + \hat{W}_{\mathrm{ee}} | \Phi^{\mathrm{HF}}[n] \rangle + E_{\mathrm{c}}[n] + \int d\mathbf{r} \ v_{\mathrm{ne}}(\mathbf{r}) n(\mathbf{r}) \right\}$$



- approximations to $E_{c}[n]$: LDA, PBE, ...
- A modified electron-electron interaction is used in practice: $\hat{W}_{ee} \rightarrow \hat{W}_{ee}^{m}$

 $\hat{W}_{ee}^m = a_x \hat{W}_{ee}$ $a_x = 25\%$ for PBE0 and $a_x = 20\%$ for B3LYP

 $\hat{W}_{ee}^m = \hat{W}_{ee}^{lr}$ long range part of the electron-electron repulsion \rightarrow CAMB3LYP, ...

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Merging *post*-HF methods with DFT

A proper description of multireference systems requires more than a single determinant
 → a complete active space (CAS) must be defined

H...H
$$CAS = |\sigma_g^2|, |\sigma_u^2|$$

Be
$$CAS = |1s^2 2s^2|, |1s^2 2p_x^2|, |1s^2 2p_y^2|, |1s^2 2p_z^2|$$

• Natural multireference extension of the hybrid functional scheme:

$$E_0 = \min_{\Phi} \left\{ \langle \Phi | \hat{T} + \hat{W}_{ee} + \hat{V}_{ne} | \Phi \rangle + E_c[n_{\Phi}] \right\} \rightarrow \min_{\Psi \in \mathbf{CAS}} \left\{ \langle \Psi | \hat{T} + \hat{V}_{ne} + \hat{W}_{ee} | \Psi \rangle + \underbrace{E_c^{\mathbf{CAS}}[n_{\Psi}]}_{\mathcal{CAS}} \right\}$$

leads to a "double counting problem"

not universal !

Merging *post*-HF methods with DFT

$$\hat{W}_{\text{ee}} = \hat{W}_{\text{ee}}^{m} + \left(\underbrace{\hat{W}_{\text{ee}} - \hat{W}_{\text{ee}}^{m}}_{\searrow}\right)$$

post-HF methods \hat{W}_{ee}^{cm} complement of $\hat{W}_{ee}^{m} \rightarrow E_{Hxc}^{cm}[n]$

- **HK1** was formulated for "fully-interacting" electrons described by the Hamiltonian $\hat{T} + \hat{W}_{ee} + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) : n(\mathbf{r}) \rightarrow \Psi[n] \rightarrow F[n] = \langle \Psi[n] | \hat{T} + \hat{W}_{ee} | \Psi[n] \rangle$
- **HK1** is also valid for fictitious electrons with modified interactions as described by the Hamiltonian $\hat{T} + \hat{W}_{ee}^m + \int d\mathbf{r} \ v(\mathbf{r}) \hat{n}(\mathbf{r}) \quad : \ n(\mathbf{r}) \rightarrow \Psi^m[n] \rightarrow F^m[n] = \langle \Psi^m[n] | \hat{T} + \hat{W}_{ee}^m | \Psi^m[n] \rangle$
- Assuming that it is possible to compute accurately correlation for \hat{W}_{ee}^m :

$$F[n] = F^{m}[n] + \left(\underbrace{F[n] - F^{m}[n]}_{E_{\text{Hxc}}^{cm}[n]}\right)$$

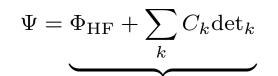
• Hybrid *post*-HF-DFT energy expression deduced from **HK2**

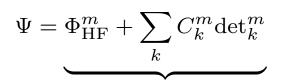
$$E_0 = \min_{n} \left\{ \langle \Psi^m[n] | \hat{T} + \hat{W}^m_{ee} | \Psi^m[n] \rangle + E^{cm}_{Hxc}[n] + \int d\mathbf{r} \ v_{ne}(\mathbf{r}) n(\mathbf{r}) \right\}$$

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Comparing WFT and combined post-HF-DFT

•
$$E_0 = \min_{\Psi} \left\{ \langle \Psi | \hat{T} + \hat{V}_{ne} + \hat{W}_{ee} | \Psi \rangle \right\} = \min_{\Psi} \left\{ \langle \Psi | \hat{T} + \hat{W}_{ee}^m + \hat{V}_{ne} | \Psi \rangle + E_{Hxc}^{cm}[n_{\Psi}] \right\}$$





multideterminantal wave function

multideterminantal character induced by $\hat{W}_{ ext{ee}}^m$

- approximations to $E_{\text{Hxc}}^{cm}[n]$: LDA-type, PBE-type, ...
- \hat{W}_{ee}^m can in principle be described with any *post*-HF method (MP2, CC, CI, CASSCF, CASPT2, ...)
- MP2 with $\hat{W}_{ee}^m = a_x \hat{W}_{ee} \rightarrow \text{double hybrid functionals of S. Grimme (J. Toulouse$ *et al.*)
- CASSCF with $\hat{W}_{ee}^m = \hat{W}_{ee}^{lr} \rightarrow$ multireference range-separated DFT schemes (see lecture 2)