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:

$$
\hat{H} = \hat{T} + \hat{W}_{ee} + \hat{V}_{ne}
$$
\n
$$
\hat{T} = \sum_{i=1}^{N} -\frac{1}{2} \nabla_i^2
$$
\n
$$
\hat{W}_{ee} = \frac{1}{2} \sum_{i \neq j}^{N} \hat{w}_{ee}(r_{ij}) \qquad \text{with } w_{ee}(r_{12}) = \frac{1}{r_{12}} \qquad \to \qquad \text{full electron-electron repulsion}
$$
\n
$$
\hat{V}_{ne} = \sum_{i=1}^{N} \hat{v}_{ne}(\mathbf{r}_i) \qquad \text{with } v_{ne}(\mathbf{r}) = -\sum_{A}^{nuclei} \frac{Z_A}{|\mathbf{r} - \mathbf{r}_A|} \qquad \to \qquad \text{electron-nuclei attraction}
$$
\n• electron density $n(\mathbf{r})$ fulfills $\int d\mathbf{r} \, n(\mathbf{r}) = N$

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

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

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

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

Proof:

- $v(\mathbf{r}) \rightarrow \Psi[v]$ ground state of $\hat{H}[v] \rightarrow n_{\Psi[v]}(\mathbf{r}) = \langle \Psi[v] | \hat{n}(\mathbf{r}) | \Psi[v] \rangle$
- $n(\mathbf{r}) \rightarrow$ 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

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

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

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

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

• Non-degeneracy implies

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

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

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

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

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

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

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

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

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

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

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

$$
\min_n E[n] = E[n_0] = E_0
$$

Comment: we know from $HK1$ that n

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

Proof:

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

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

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

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

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

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

Kohn-Sham DFT (KS-DFT)

• the energy density-functional

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

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 $\hat{T}+\hat{W}_{\rm ee}+\int d{\bf r}\;v({\bf r})\hat{n}({\bf r})\;\;:\;\;n({\bf r})\;\;\rightarrow\;\;\Psi[n]\;\;\rightarrow\;\;F[n]=\langle\Psi[n]|\hat{T}+\hat{W}_{\rm ee}|\Psi[n]\rangle$
- **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:

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

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

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

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:

$$
T_S[n] = \langle \Phi^{\rm KS}[n] | \hat{T} | \Phi^{\rm KS}[n] \rangle = -2 \times \frac{1}{2} \sum_{i=1}^{\frac{N}{2}} \int d{\bf r} \; \varphi_i({\bf r}) \nabla^2 \varphi_i({\bf r})
$$

Kohn-Sham DFT (KS-DFT)

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

$$
F[n] = T_S[n] + \left(E[n] - T_S[n]\right)
$$

$$
E_{\rm Hxc}[n]
$$

• Hartree, exchange and correlation energy functional: $E_{Hxc}[n] = \frac{1}{2}$ 2 $\int n(\mathbf{r})n(\mathbf{r}')$ $|\mathbf{r} - \mathbf{r}'|$ d r d r' + $E_{\rm xc}[n]$

• 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 $n_{\Psi}(\mathbf{r}) \rightarrow \Phi^{KS}[n_{\Psi}]$ which is the ground state of a "non-interacting" Hamiltonian

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

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

$$
\langle\Psi|\hat{T}|\Psi\rangle-\langle\Phi^{\rm KS}[n_\Psi]|\hat{T}|\Phi^{\rm KS}[n_\Psi]\rangle\geq\int d{\bf r}\;v({\bf r})\left(n_{\Phi^{\rm KS}[n_\Psi]}({\bf r})-n_\Psi({\bf r})\right)=0
$$

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

Conclusion: 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 $n(\mathbf{r}) \leftrightarrow$ minimization over wave functions Ψ :

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

$$
\langle \Psi | \hat{T} + \hat{V}_{\text{ne}} | \Psi \rangle + E_{\text{Hxc}}[n_{\Psi}] \ge T_{S}[n_{\Psi}] + E_{\text{Hxc}}[n_{\Psi}] + \int d\mathbf{r} \, v_{\text{ne}}(\mathbf{r}) n_{\Psi}(\mathbf{r})
$$

$$
E[n_{\Psi}] \ge E_0
$$

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

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

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

Comparing WFT and KS-DFT

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

↓ ↓

multideterminantal wave function single determinant

• approximations to $E_{\text{xc}}[n]$: LDA, PBE, ... known as pure functionals since they depend explicitly on the density $n(\mathbf{r})$, its gradient $|\nabla n(\mathbf{r})|$, etc ... \rightarrow 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 ${\rm Hartree}$ -Fock ground-state density $n^{\rm HF}({\bf r})$ of the electronic Hamiltonian

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

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

• $n(\mathbf{r}) \rightarrow$ unique $v(\mathbf{r})$ (up to a constant) so that the density of $\Phi^{\text{HF}}[v]$ 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 $\hat{T}+\hat{W}_{\rm ee}+\int d{\bf r} \;v({\bf r})\hat{n}({\bf r}) \;\; : \;\; n({\bf r}) \;\; \rightarrow \;\; \Psi[n] \;\; \rightarrow \;\; F[n]=\langle \Psi[n]|\hat{T}+\hat{W}_{\rm ee}|\Psi[n]\rangle$
- **HK3** is formulated at the HF level of approximation for electrons described by the Hamiltonian $\hat{T}+\hat{W}_{\mathrm{ee}}+$ $d{\bf r} \; v({\bf r}) \hat{n}({\bf r}) \quad : \;\; n({\bf r}) \; \rightarrow \; \; \Phi^{\rm HF}[n] \; \rightarrow \; \; F^{\rm HF}[n] = \langle \Phi^{\rm HF}[n] | \hat{T} + \hat{W}_{\rm ee} | \Phi^{\rm HF}[n] \rangle$
- The Hartree-Fock energy of "fully-interacting" electrons being "known":

$$
F[n] = F^{\text{HF}}[n] + \left(E[n] - F^{\text{HF}}[n]\right)
$$

$$
E_c[n]
$$

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

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

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

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

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

Merging *post*-HF methods with DFT

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

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

Be
$$
CAS = |1s^22s^2|, |1s^22p_x^2|, |1s^22p_y^2|, |1s^22p_z^2|
$$

• Natural multireference extension of the hybrid functional scheme:

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

leads to a "double counting problem" and the set of the s

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 $E_{\rm ee}^{cm}$ complement of $\hat{W}_{\rm ee}^{m}$ $\;\rightarrow\;\;E_{\rm Hxc}^{cm}[n]$

- **HK1** was formulated for "fully-interacting" electrons described by the Hamiltonian $\hat{T}+\hat{W}_{\rm ee}+\int d{\bf r} \;v({\bf r})\hat{n}({\bf r}) \;\; : \;\; n({\bf r}) \;\; \rightarrow \;\; \Psi[n] \;\; \rightarrow \;\; F[n]=\langle \Psi[n]|\hat{T}+\hat{W}_{\rm ee}|\Psi[n]\rangle$
- **HK1** is also valid for fictitious electrons with modified interactions as described by the Hamiltonian $\hat{T}+\hat{W}_{\mathrm{ee}}^{m}+$ Z $d{\bf r} \; v({\bf r}) \hat{n}({\bf r}) \quad : \;\; n({\bf r}) \; \rightarrow \; \; \Psi^m[n] \; \rightarrow \; \; F^m[n] = \langle \Psi^m[n] | \hat{T} + \hat{W}_{\rm ee}^m| \Psi^m[n] \rangle$
- 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**

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

Comparing WFT and combined *post*-HF-DFT

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

↓ ↓

multideterminantal wave function $\quad \qquad \qquad \text{multideterminantal character induced by } \hat{W}_{\mathrm{ee}}^m$

- approximations to $E^{cm}_{\text{Hxc}}[n]$: 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 $\hat{W}_{ee}^m = a_x \hat{W}_{ee} \rightarrow$ 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)