

Exact density-functional energy gaps without derivative discontinuities

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Ionization potential (IP) theorem in DFT

Janak's theorem:

$$E_0^{N-1} - E_0^N = I^N = -\epsilon_{i=N}^N$$

*Ionisation potential
of the N -electron system*

Ionization potential (IP) theorem in DFT

*Number of electrons
in the DFT calculation*

$$E_0^{N-1} - E_0^N = I^N = -\epsilon_{i=N}^N$$

Orbital index

Ionization potential (IP) theorem in DFT

$$E_0^{N-1} - E_0^N = I^N = -\epsilon_{i=N}^N$$

***Kohn-Sham HOMO energy
of the N -electron system***

Ionization potential (IP) theorem in DFT

$$I^N = -\epsilon_{i=N}^N$$
$$E_0^N - E_0^{N+1} = A^N = I^{N+1} = -\epsilon_{i=N+1}^{N+1}$$

*Electron affinity
of the N -electron system*

$N \rightarrow N+1$

Ionization potential (IP) theorem in DFT

$$I^N = -\epsilon_{i=N}^N$$

$$E_0^N - E_0^{N+1} = A^N = I^{N+1} = -\epsilon_{i=N+1}^{N+1}$$

$$E_g = I^N - A^N = \epsilon_{i=N+1}^{N+1} - \epsilon_{i=N}^N$$

***Fundamental energy gap
of the N -electron system***

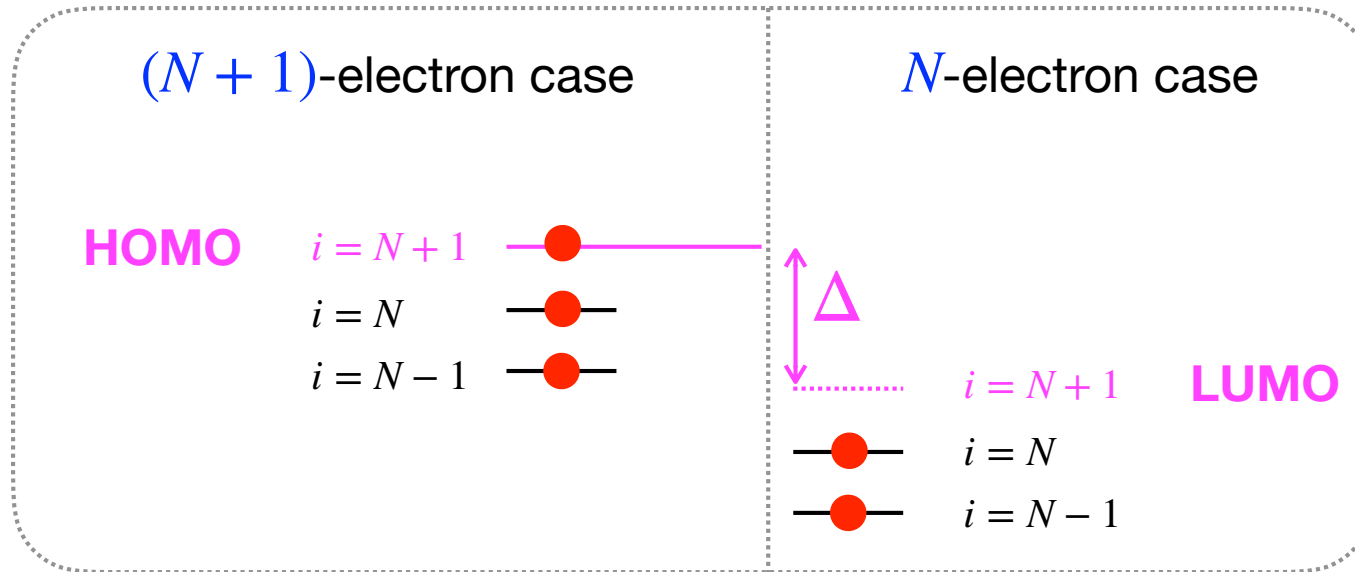
HOMO energies

Ionization potential (IP) theorem in DFT

Extractable from the N -calculation?

$$E_g = I^N - A^N = \boxed{\varepsilon_{i=N+1}^{N+1}} - \varepsilon_{i=N}^N$$

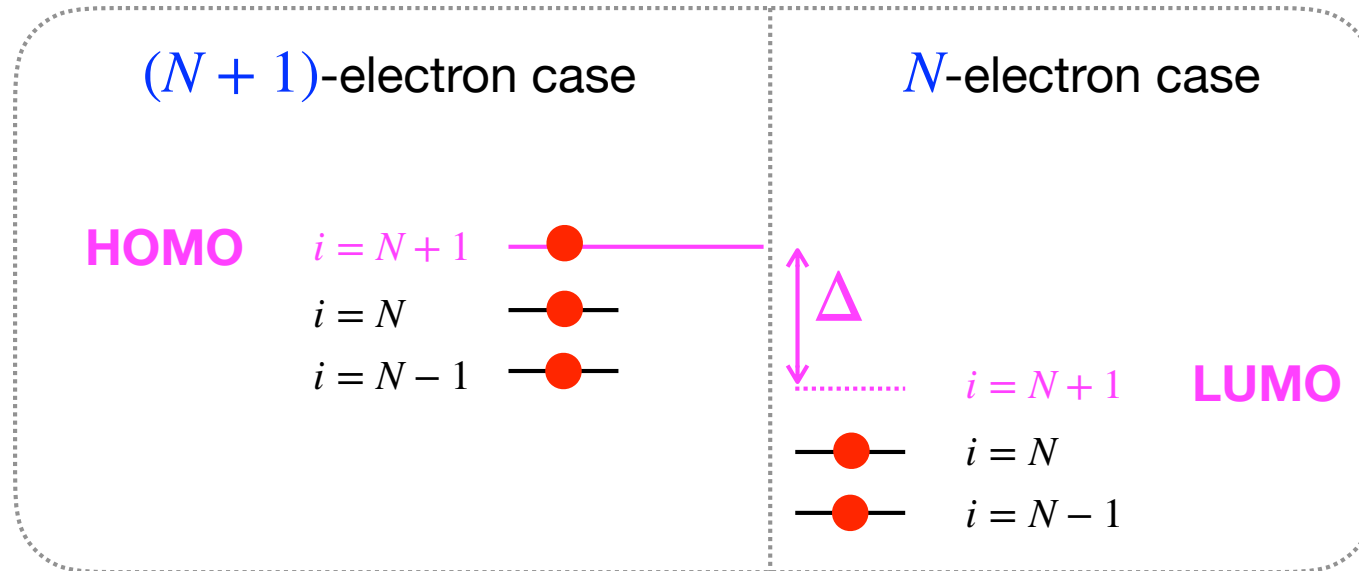
Ionization potential (IP) theorem in DFT



Extractable from the N -calculation?

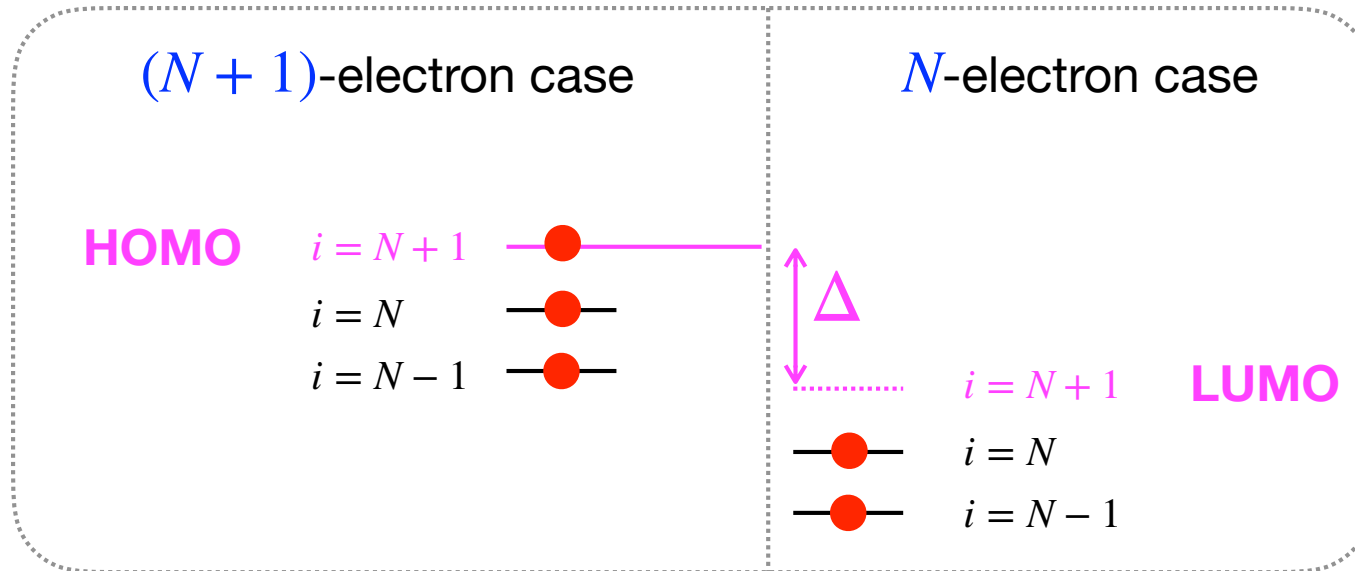
$$E_g = I^N - A^N = \boxed{\epsilon_{i=N+1}^{N+1}} - \epsilon_{i=N}^N$$

Ionization potential (IP) theorem in DFT



$$E_g = I^N - A^N = \left(\varepsilon_{i=N+1}^N + \Delta \right) - \varepsilon_{i=N}^N$$

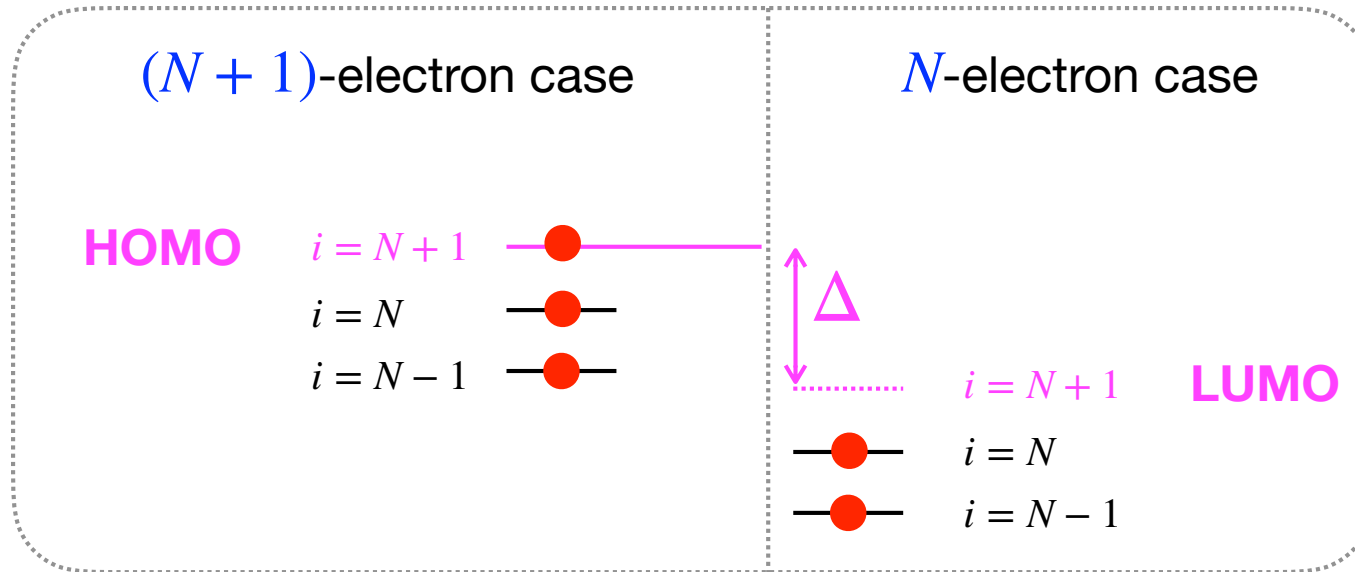
Ionization potential (IP) theorem in DFT



$$E_g = I^N - A^N = \boxed{\varepsilon_{i=N+1}^N - \varepsilon_{i=N}^N} + \Delta$$

Kohn-Sham **HOMO-LUMO** gap
of the N -electron system

Ionization potential (IP) theorem in DFT



$$E_g = I^N - A^N = \epsilon_{i=N+1}^N - \epsilon_{i=N}^N + \Delta$$

↓
 “derivative discontinuity”



Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

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Ensemble density

$$n_0^{\xi_-}(\mathbf{r}) = \xi_- n_0^{N-1}(\mathbf{r}) + \left[1 - \frac{\xi_- (N-1)}{N} \right] n_0^N(\mathbf{r})$$

Ionized density

Neutral density

Electron removal

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

Ensemble density

$$n_0^{\xi_-}(\mathbf{r}) = \xi_- n_0^{N-1}(\mathbf{r}) + \left[1 - \frac{\xi_-(N-1)}{N} \right] n_0^N(\mathbf{r})$$



Ensemble weight

Electron removal

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

Ensemble density

$$n_0^{\xi_-}(\mathbf{r}) = \xi_- n_0^{N-1}(\mathbf{r}) + \left[1 - \frac{\xi_- (N-1)}{N} \right] n_0^N(\mathbf{r})$$

$$\xi_- = 0$$

Neutral system

Electron removal

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

Ensemble density

$$n_0^{\xi_-}(\mathbf{r}) = \xi_- n_0^{N-1}(\mathbf{r}) + \left[1 - \frac{\xi_- (N-1)}{N} \right] n_0^N(\mathbf{r})$$

$$\xi_- > 0$$

Electron removal

Partially-ionised system

Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$\int d\mathbf{r} n_0^{\xi_-}(\mathbf{r}) = N$

by construction

Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$\int d\mathbf{r} n_0^{\xi_-}(\mathbf{r}) = N$$

***N-centered
ensemble formalism***

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

Exchange-correlation (xc)
energy of the ensemble

Alternative formulation of the IP theorem

ensemble KS orbital energy

ensemble xc potential

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$\varepsilon_i^{\xi_-} \varphi_i^{\xi_-}(\mathbf{r}) = \left[-\frac{\nabla_{\mathbf{r}}^2}{2} + v_{\text{ne}}(\mathbf{r}) + v_{\text{Hxc}}^{\xi_-}(\mathbf{r}) \right] \varphi_i^{\xi_-}(\mathbf{r})$

Kohn-Sham equations
for the ensemble

Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

xc ensemble weight derivative

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$A^N = -\varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

Ensemble density

$$n_0^{\xi_+}(\mathbf{r}) = \xi_+ n_0^{N+1}(\mathbf{r}) + \left[1 - \frac{\xi_+(N+1)}{N} \right] n_0^N(\mathbf{r})$$

Anionic density

Electron addition

Alternative formulation of the IP theorem

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-} [n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-} [n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$
$$A^N = - \varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+} [n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+} [n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$A^N = -\varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$



$$\xi_- = \xi_+ = 0$$

Regular N -electron DFT

$$I^N - A^N = \varepsilon_{i=N+1}^N - \varepsilon_{i=N}^N + \left. \frac{\partial E_{\text{xc}}^{\xi_-}[n_0^N]}{\partial \xi_-} \right|_{\xi_- = 0} + \left. \frac{\partial E_{\text{xc}}^{\xi_+}[n_0^N]}{\partial \xi_+} \right|_{\xi_+ = 0}$$

Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$A^N = -\varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

$$\xi_- = \xi_+ = 0$$

Regular N -electron DFT

$$I^N - A^N = \underbrace{\varepsilon_{i=N+1}^N - \varepsilon_{i=N}^N}_{\text{KS gap}} + \underbrace{\left. \frac{\partial E_{\text{xc}}^{\xi_-}[n_0^N]}{\partial \xi_-} \right|_{\xi_-=0} + \left. \frac{\partial E_{\text{xc}}^{\xi_+}[n_0^N]}{\partial \xi_+} \right|_{\xi_+=0}}_{\text{“derivative discontinuity” } \triangle}$$

True gap

KS gap

“derivative discontinuity” \triangle

Alternative formulation of the IP theorem

A proper modelling of $E_{xc}^{\xi-}[n]$ and $E_{xc}^{\xi+}[n]$ gives access to the “derivative discontinuity”.

Where is the discontinuity?

$$I^N = - \varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-} [n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-} [n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$A^N = - \varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+} [n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+} [n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

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If, like in *regular DFT*, we impose $v_{\text{Hxc}}^{\xi_{\pm}}(\mathbf{r}) \xrightarrow{|\mathbf{r}| \rightarrow +\infty} 0$

Where is the discontinuity?

$$I^N = -\epsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$A^N = -\epsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

If we impose $v_{\text{Hxc}}^{\xi_{\pm}}(\mathbf{r}) \xrightarrow{|\mathbf{r}| \rightarrow +\infty} 0$

$$I^N \stackrel{\xi_- \geq 0}{=} -\epsilon_{i=N}^{\xi_-} \quad \text{and} \quad A^N \stackrel{\xi_+ > 0}{=} -\epsilon_{i=N+1}^{\xi_+}$$

Regular IP theorem

Where is the discontinuity?

If we impose $v_{\text{Hxc}}^{\xi_{\pm}}(\mathbf{r}) \xrightarrow{|\mathbf{r}| \rightarrow +\infty} 0$

$$0 = \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$0 = \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

Where is the discontinuity?

If we impose $v_{\text{Hxc}}^{\xi_{\pm}}(\mathbf{r}) \xrightarrow{|\mathbf{r}| \rightarrow +\infty} 0$

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Regular N -electron DFT limit

$$\xi_- = 0 \Leftrightarrow \xi_+ = 0 \text{ and } \xi_+ \rightarrow 0^+$$

$$\int d\mathbf{r} n_0^N(\mathbf{r}) \left(v_{\text{xc}}^{\xi_+ \rightarrow 0^+}(\mathbf{r}) - v_{\text{xc}}^{\xi_+ = 0}(\mathbf{r}) \right) = N\Delta$$

Infinitesimal addition of an electron

Neutral system

Where is the discontinuity?

If we impose $v_{\text{Hxc}}^{\xi_{\pm}}(\mathbf{r}) \xrightarrow{|\mathbf{r}| \rightarrow +\infty} 0$

$$0 = \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

$$0 = \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$



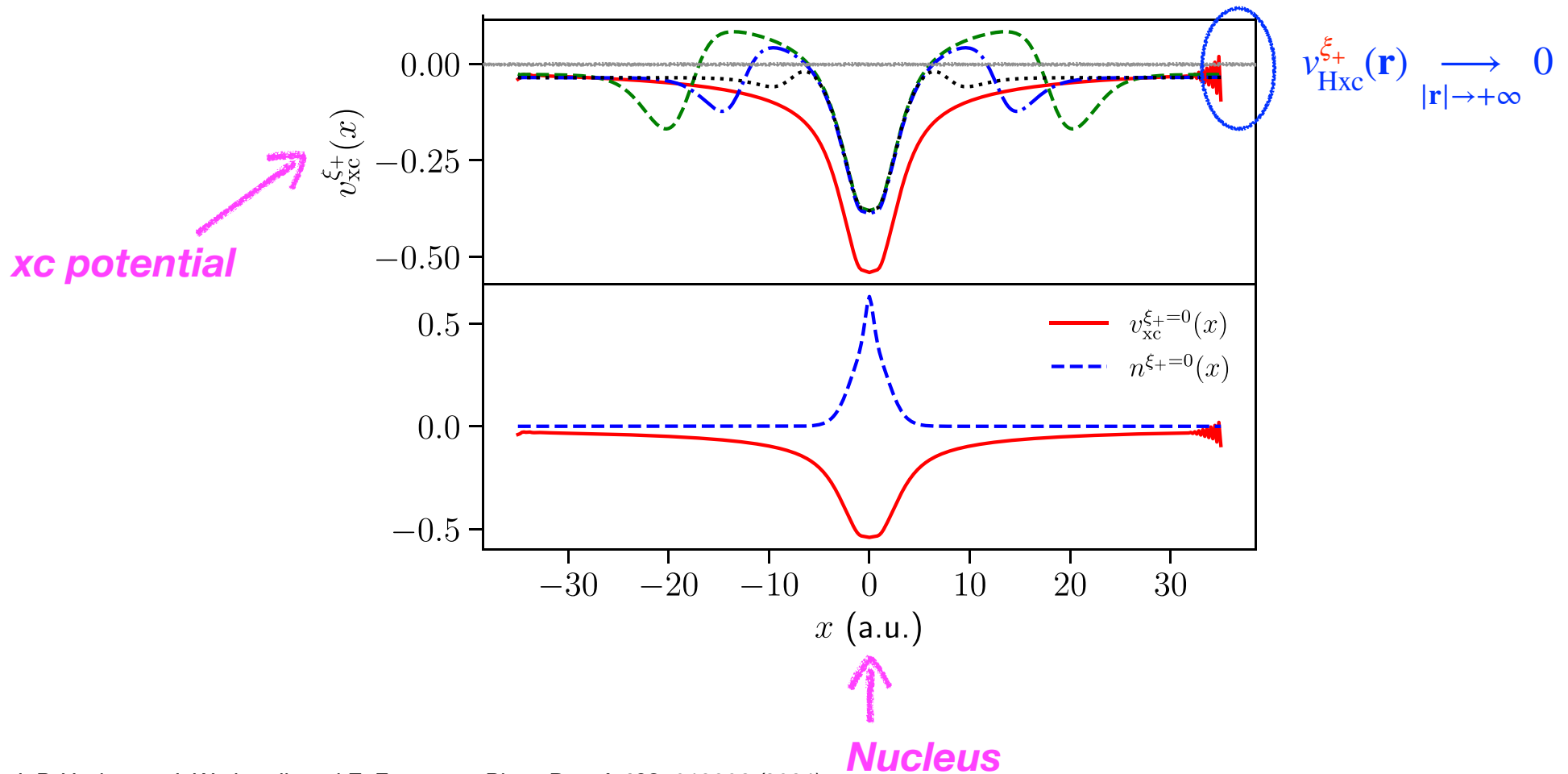
$$\int d\mathbf{r} n_0^N(\mathbf{r}) \left(v_{\text{xc}}^{\xi \rightarrow 0^+}(\mathbf{r}) - v_{\text{xc}}^{\xi=0}(\mathbf{r}) \right) = N\Delta$$

$\neq 0$

Application: Two-electron spin-polarised 1D atom

$$\hat{H} \equiv -\frac{1}{2} \sum_{i=1}^{N=2} \frac{d^2}{dx_i^2} + \left(-\sum_{i=1}^{N=2} \frac{3}{1+|x_i|} + \sum_{i<j}^{N=2} \frac{1}{1+|x_i-x_j|} \right) \times$$

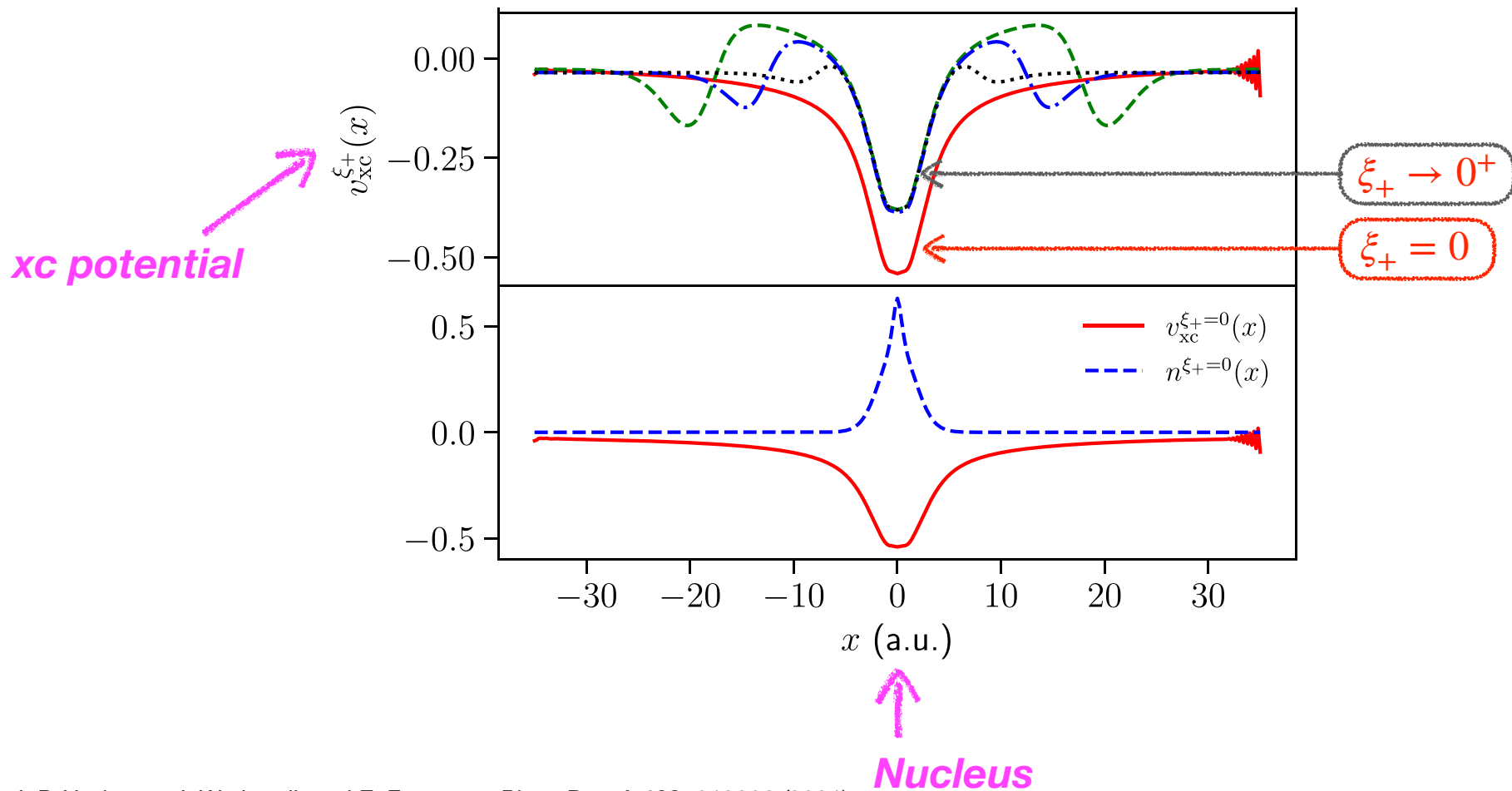
— $\xi_+ = 0$
 - - - $\xi_+ = 10^{-8}$
 - · - · - $\xi_+ = 10^{-6}$
 ····· $\xi_+ = 10^{-4}$



Application: Two-electron spin-polarised 1D atom

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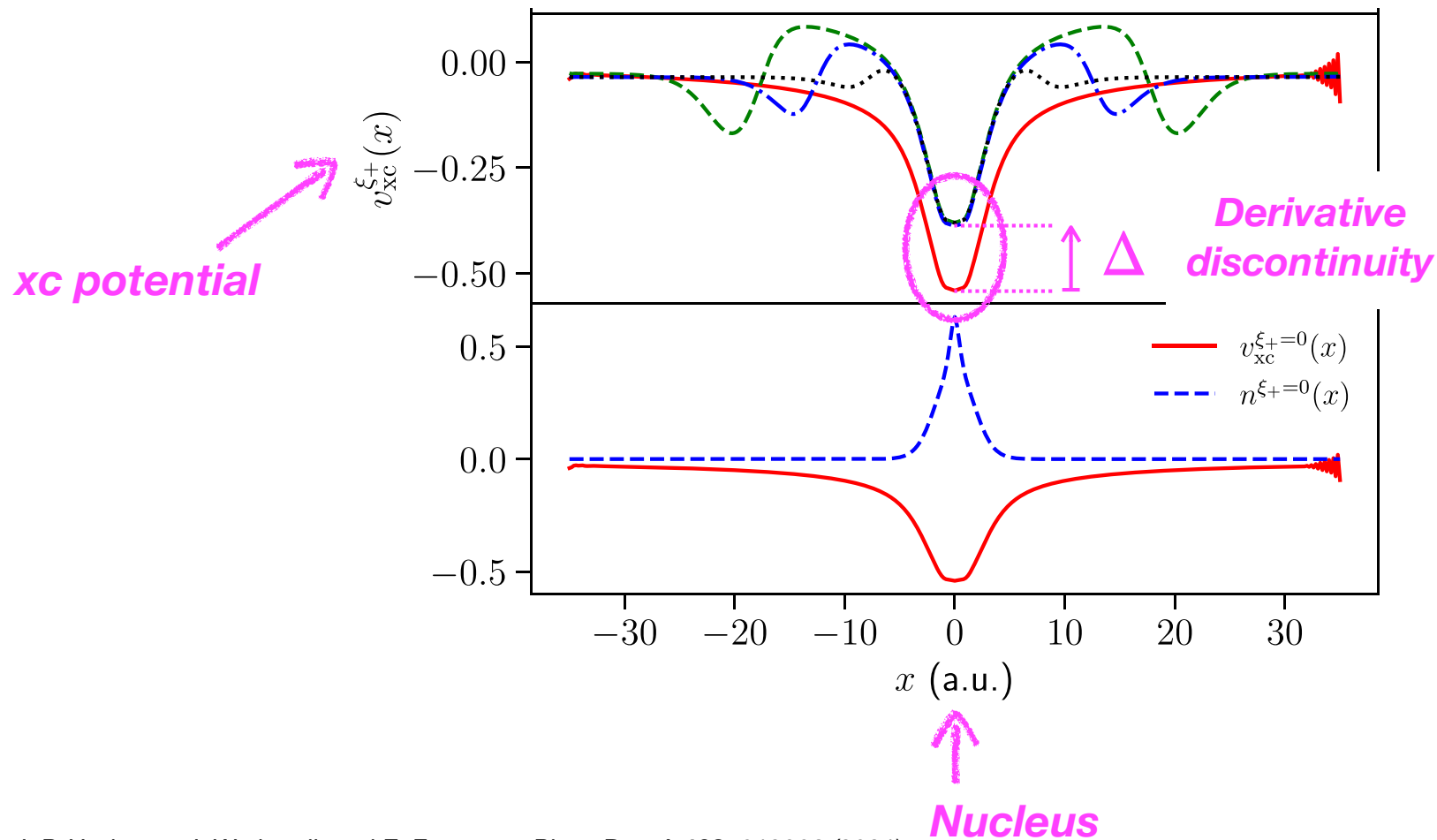
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Application: Two-electron spin-polarised 1D atom

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Moving the discontinuity away from the system

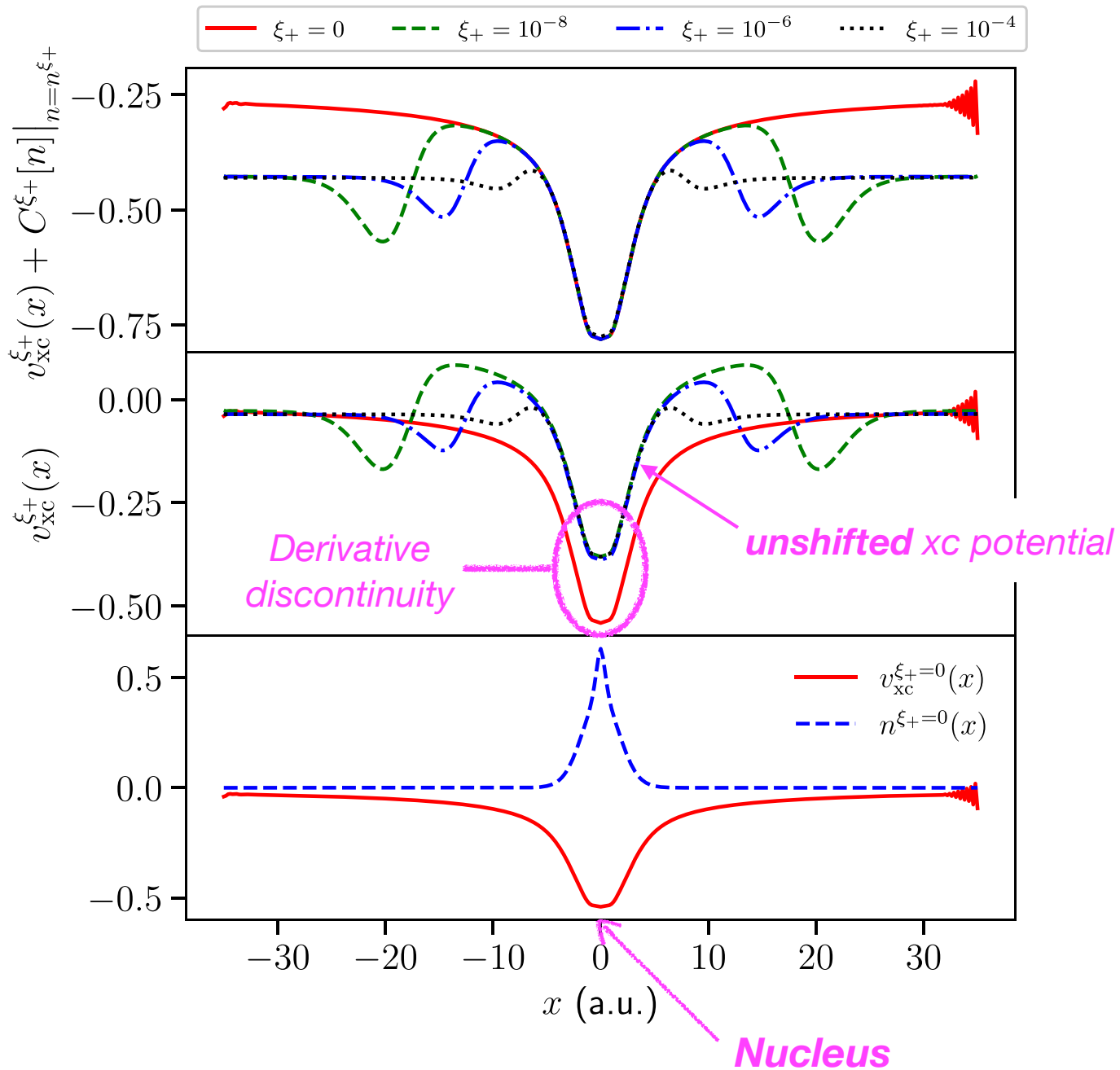
$$A^N = -\varepsilon_{i=N+1}^{\xi_+} - \left[\frac{E_{\text{Hxc}}^{\xi_+}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_+}(\mathbf{r})}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+}[n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

Moving the discontinuity away from the system

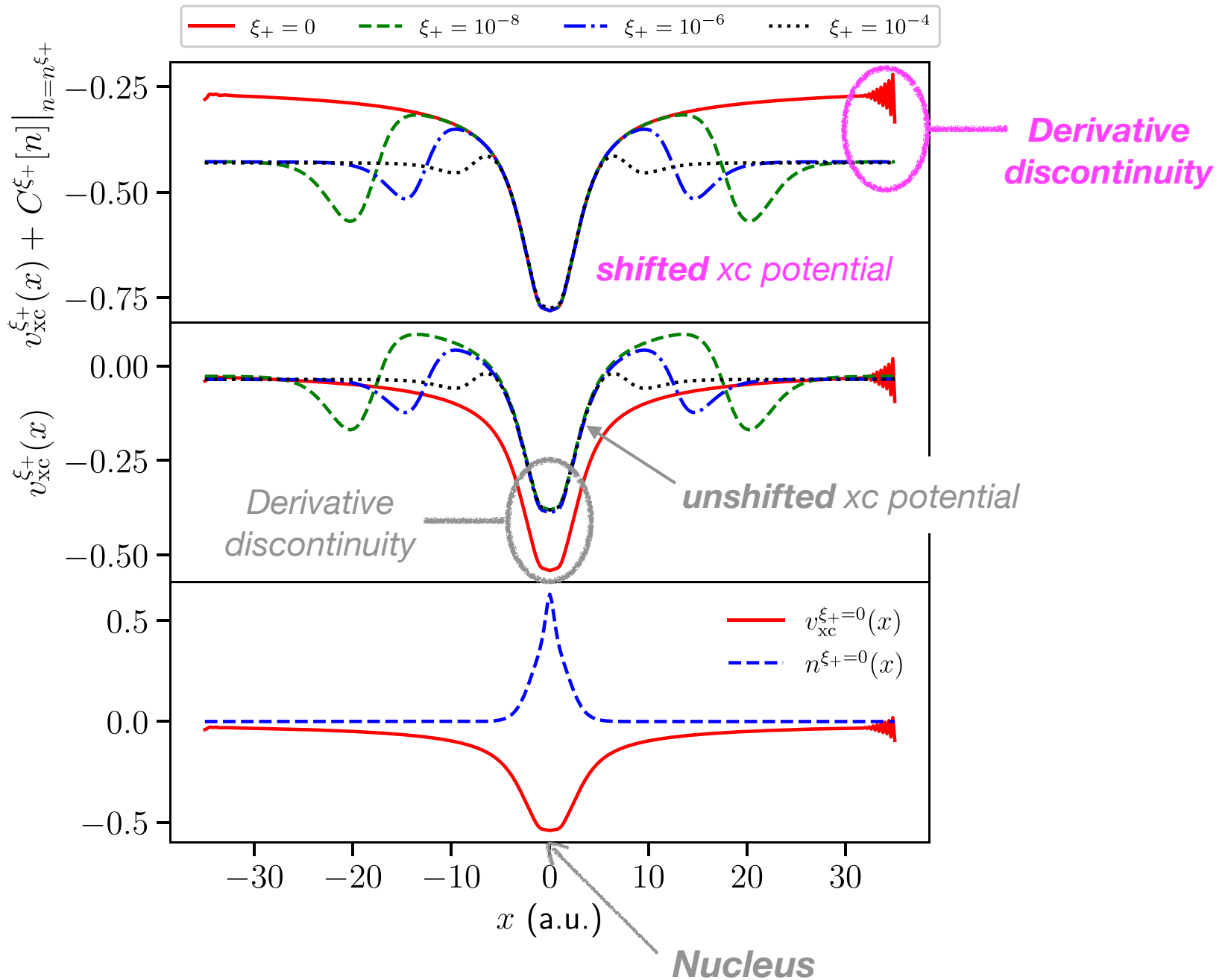
Constant shift applied to the xc potential

$$A^N = - \left(\varepsilon_{i=N+1}^{\xi_+} + c \right) - \left[\frac{E_{\text{Hxc}}^{\xi_+} [n] - \int d\mathbf{r} n(\mathbf{r}) \left(v_{\text{Hxc}}^{\xi_+}(\mathbf{r}) + c \right)}{N} - \left(\frac{\xi_+}{N} - 1 \right) \frac{\partial E_{\text{xc}}^{\xi_+} [n]}{\partial \xi_+} \right]_{n=n_0^{\xi_+}}$$

Moving the discontinuity away from the system



Moving the discontinuity away from the system



Exact gap from ensemble weight derivatives

$$I^N - A^N = \varepsilon_{i=N+1}^N - \varepsilon_{i=N}^N + \left. \frac{\partial E_{\text{xc}}^{\xi_-} [n_0^N]}{\partial \xi_-} \right|_{\xi_- = 0} + \left. \frac{\partial E_{\text{xc}}^{\xi_+} [n_0^N]}{\partial \xi_+} \right|_{\xi_+ = 0}$$

Take-home messages

- *Fundamental gaps* can be described exactly in DFT *without derivative discontinuities*.
- Instead, *N-centered ensemble* xc density functionals must be modelled.
- Their ensemble *weight dependence* is the key ingredient*.

B. Senjean and E. Fromager, *Phys. Rev. A* **98**, 022513 (2018).

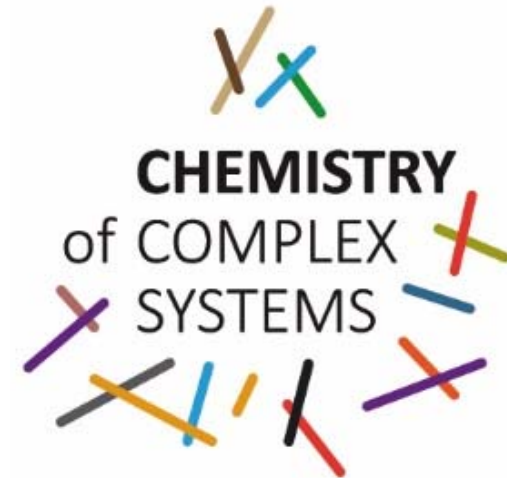
B. Senjean and E. Fromager, *Int. J. Quantum Chem.* 2020; **120**:e26190.

M. J. P. Hodgson, J. Wetherell, and E. Fromager, *Phys. Rev. A* **103**, 012806 (2021).

*P.-F. Loos and E. Fromager, *J. Chem. Phys.* **152**, 214101 (2020).

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CoLab ANR project



Alternative formulation of the IP theorem

$$I^N = -\varepsilon_{i=N}^{\xi_-} - \left[\frac{E_{\text{Hxc}}^{\xi_-}[n] - \int d\mathbf{r} n(\mathbf{r}) v_{\text{Hxc}}^{\xi_-}(\mathbf{r})}{N} - \left(\frac{\xi_-}{N} + 1 \right) \frac{\partial E_{\text{xc}}^{\xi_-}[n]}{\partial \xi_-} \right]_{n=n_0^{\xi_-}}$$

*Levy-Zahariev shift**