

# *Electronic Structure Theory*

## *TSTC Session 7*



1. Born-Oppenheimer approx.- energy surfaces
2. Mean-field (Hartree-Fock) theory- orbitals
3. Pros and cons of HF- RHF, UHF
4. Beyond HF- why?
5. First, one usually does HF-how?
6. Basis sets and notations
7. **MPn, MCSCF, CI, CC, DFT**
8. Gradients and Hessians
9. Special topics: accuracy, metastable states

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Now that the use of AO bases for determining HF MOs has been discussed, let's return to discuss **how one includes electron correlation** in a calculation using a many-determinant wave function

$$\psi = \sum_L C_{L1,L2,\dots,LN} |\phi_{L1} \phi_{L2} \phi_{L3} \dots \phi_{LN}|$$

There are **many ways** for finding the  $C_{L1,L2,\dots,LN}$  coefficients, and each has certain **advantages and disadvantages**.

## Do we really have to go beyond HF?

Interested in energy differences of the "reaction"  $A \rightarrow B$  and not the total energy of system A and system B

$$\Delta E = E_A - E_B$$

Hartree Fock gives a reasonable description when there is no large change in the electron structure during the "reaction"

Examples:

Rotation barriers, proton affinities, equilibrium geometry

Reactions that cannot be described by Hartree-Fock

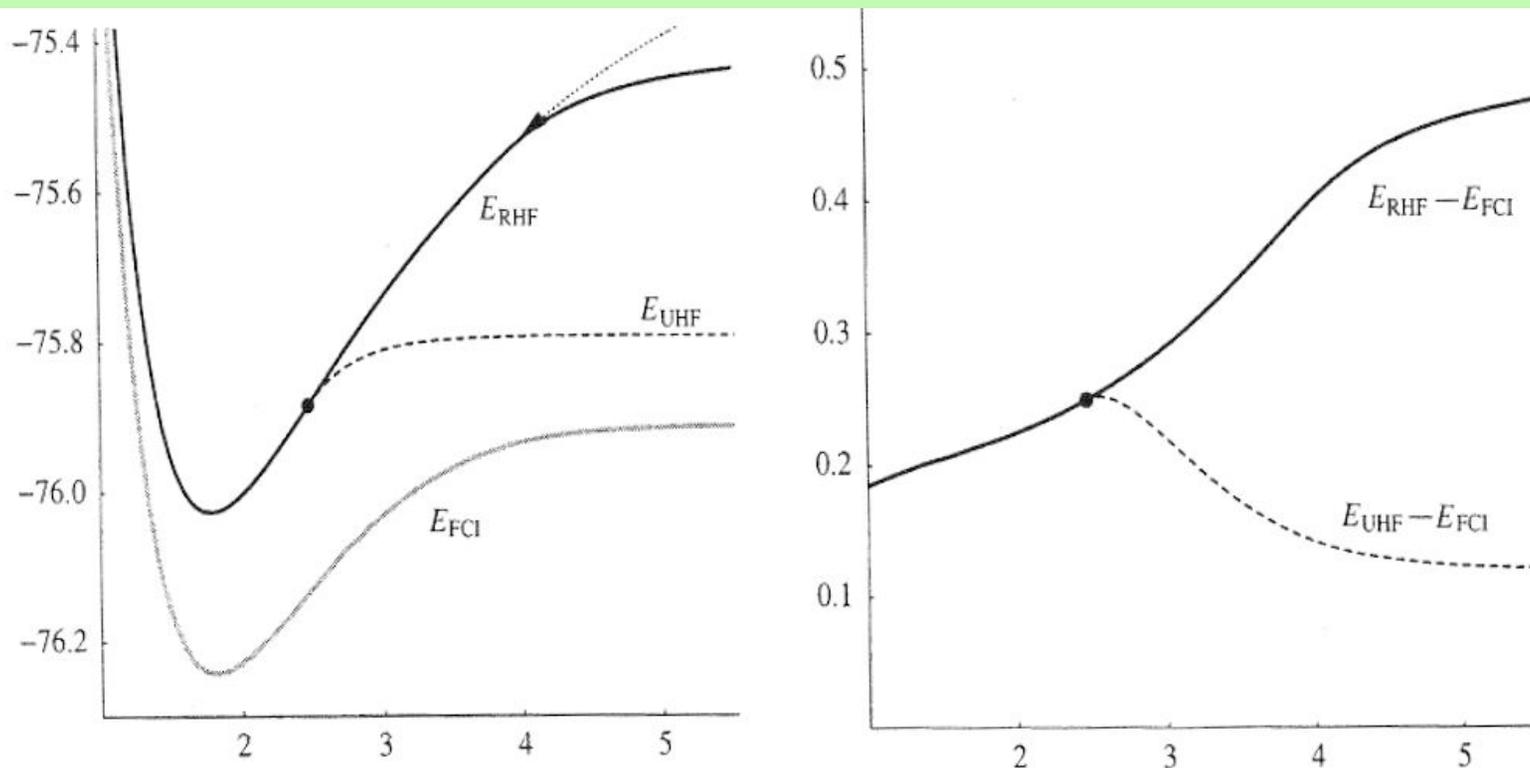
Examples:

Singlet excitation energies, the homolytic formation and breaking of bonds

Hartree-Fock gives a reasonable description of the electron structure  
 $\Rightarrow$  Post Hartree-Fock models can be used to determine correlation energies (dynamical correlation)

The Hartree-Fock model breaks down  
 $\Rightarrow$  Multiconfiguration models necessary (static correlation)

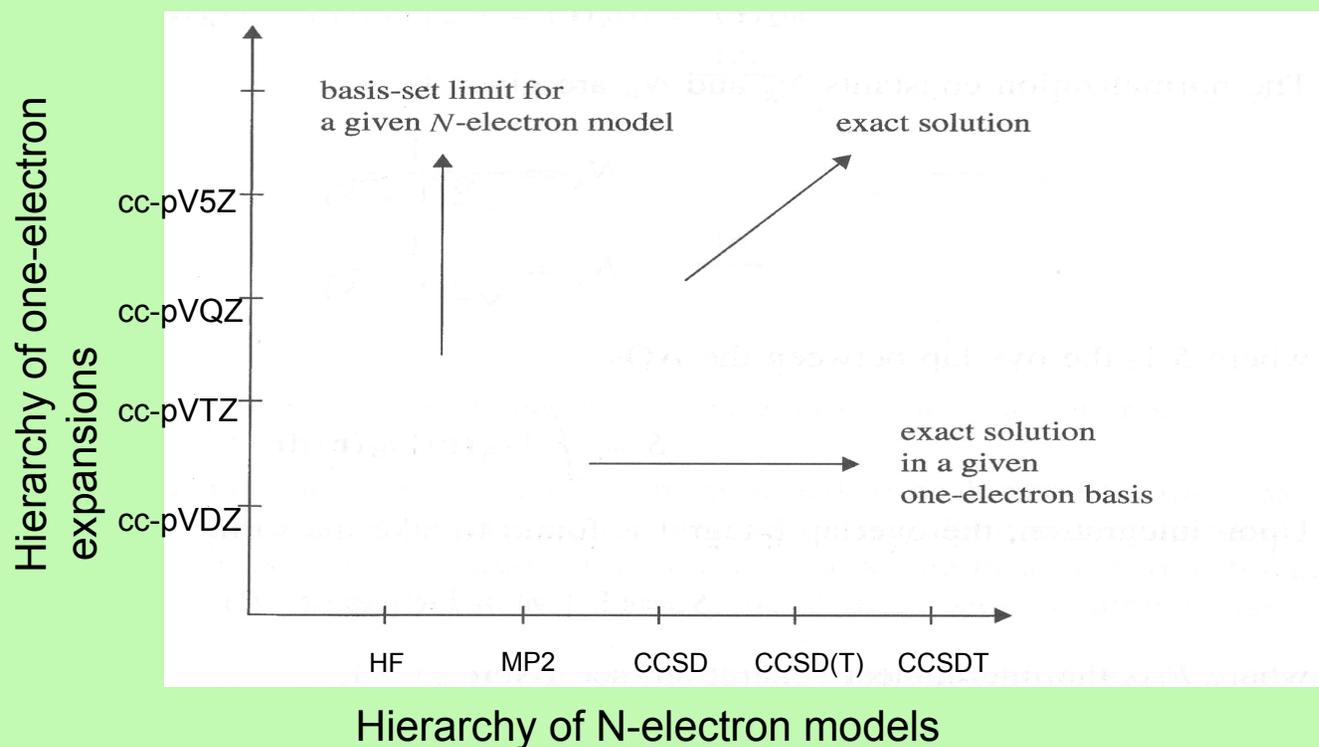
Energy of  $\text{H}_2\text{O}$  as both bonds are stretched (R in Bohrs) to homolytically cleave both bonds showing problems with UHF and RHF

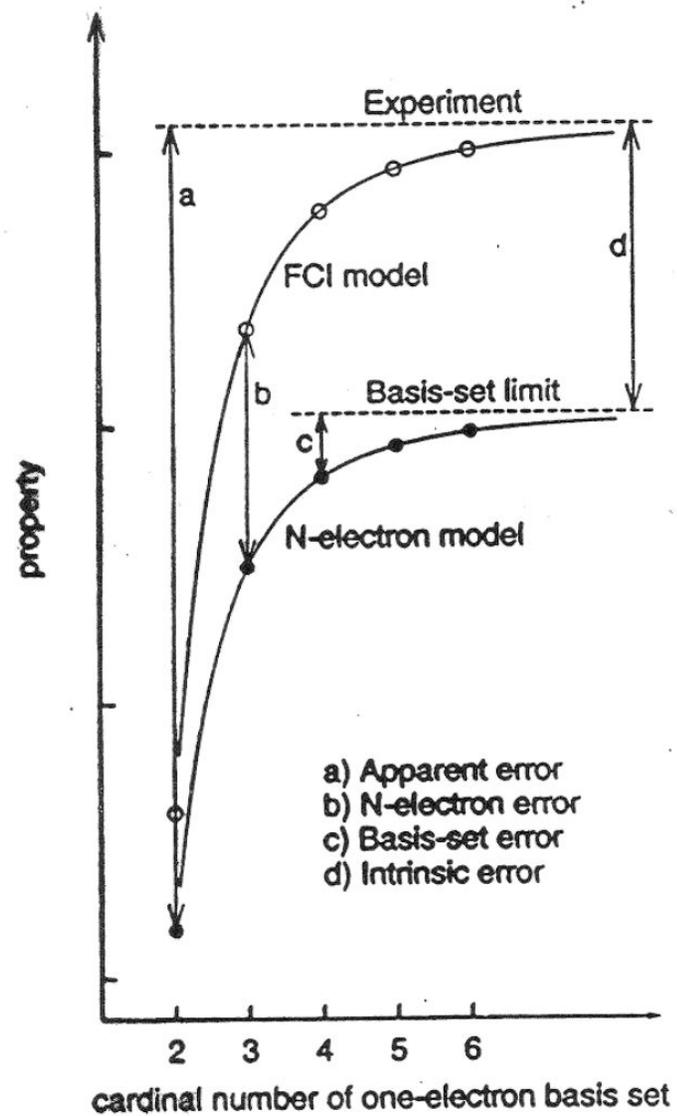


**Fig. 5.13.** The Hartree-Fock dissociation of the  $C_{2v}$  water molecule in the cc-pVDZ basis for a fixed HOH bond angle of  $110.565^\circ$  (atomic units). On the left, we have plotted energies on an absolute scale; on the right, we have plotted energies relative to that of the FCI wave function. The FCI curve is plotted in grey, the RHF curves are represented by full black lines and the UHF curves by dashed black lines. In the figure on the left, we have also indicated (with a dotted line) the presence of a second RHF solution of  $^1A_1$  symmetry.

There are **two independent aspects** to any electronic structure calculation- **AO basis** and method for **correlation**.

**Solve the electronic Schrödinger equation  
in a systematic fashion**

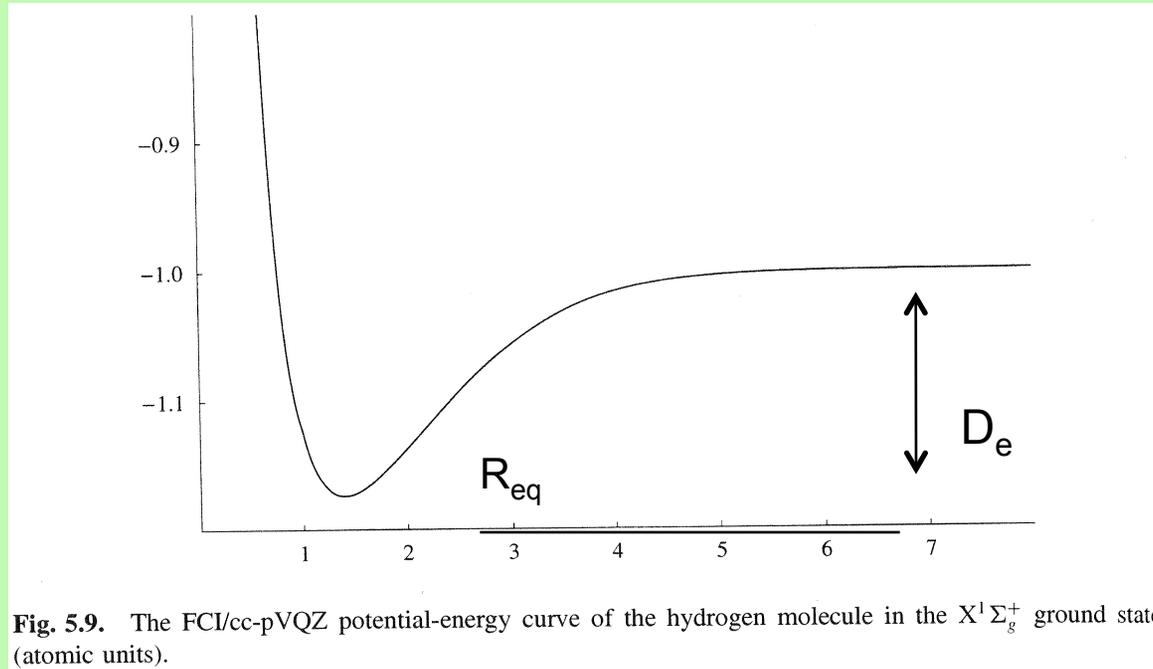




**FIG. 1.** Schematic definition of the errors occurring in *ab initio* calculations with finite basis sets and approximative *N*-electron wave functions models.

Does it do much good? Yes, **one can obtain “correct” answers.**

Here are some results for cc-pVQZ basis, full CI for H<sub>2</sub>



**Fig. 5.9.** The FCI/cc-pVQZ potential-energy curve of the hydrogen molecule in the  $X^1\Sigma_g^+$  ground state (atomic units).

Dissociation energy  $D_e = 0.1739$  a.u.

Equilibrium distance  $R_{eq} = 1.402$  a.u.

Both values are close to experiment, differ in last digit

## Møller-Plesset perturbation (MPPT)

One uses a **single-determinant SCF** process to determine a set of orthonormal spin-orbitals  $\{\phi_i\}$ .

Then, using  $H^0$  equal to the sum of the N electrons' **Fock operators**

$$H^0 = \sum_{i=1,N} F(i),$$

**perturbation theory** is used to determine the  $C_I$  amplitudes for the CSFs.

The amplitude for the reference determinant  $\psi^0$  is taken as unity and the other determinants' amplitudes are determined by Rayleigh-Schrödinger perturbation using  $H-H^0$  (the fluctuation potential) **as the perturbation**.

$$H^0 = \sum_{i=1,N} F(i) \quad \psi^0 = |\phi_1 \phi_2 \phi_{L3} \dots \phi_N| \quad E^0 = \sum_{i=1,N} \epsilon_i$$

$$(H^0 - E^0) \psi^n = \sum_{k=1,n} E^k \psi^{n-k} - V \psi^{n-1}$$

The **first (and higher) order corrections** to the wave function are then expanded in terms of Slater determinants. For example,

$$\psi^1 = \sum_{L1,L2,L2,\dots,LN} C_{L1,L2,\dots,LN} |\phi_{L1} \phi_{L2} \phi_{L3} \dots \phi_{LN}|$$

$$(H^0 - E^0) \psi^1 = (E^1 - V) \psi^0$$

and Rayleigh-Schrödinger perturbation theory is used to solve for

$$E^1 = \int \psi^{0*} V \psi^0 d\tau = \int \psi^{0*} (H - H^0) \psi^0 d\tau = -1/2 \sum_{k,l=\text{occ.}}$$

$$[ \langle \phi_k(1) \phi_l(2) | 1/r_{1,2} | \phi_k(1) \phi_l(2) \rangle - \langle \phi_k(1) \phi_l(2) | 1/r_{1,2} | \phi_l(1) \phi_k(2) \rangle ]$$

which **corrects for the double counting** that is wrong in  $E^0$

$$\psi^1 = \sum_{i < j(\text{occ})} \sum_{m < n(\text{virt})}$$

$$[\langle \phi_i \phi_j | 1/r_{1,2} | \phi_m \phi_n \rangle - \langle \phi_i \phi_j | 1/r_{1,2} | \phi_n \phi_m \rangle]$$

$$[\epsilon_m - \epsilon_i + \epsilon_n - \epsilon_j]^{-1} |\psi_{i,j}^{m,n}\rangle$$

where  $\psi_{i,j}^{m,n}$  is a Slater determinant formed by replacing  $\phi_i$  by  $\phi_m$  and  $\phi_j$  by  $\phi_n$  in the zeroth-order Slater determinant. Notice that **double excitations** appear in the first-order wave function. Let's prove that there are **no single excitations**.

Multiply  $(H^0 - E^0) \psi^1 = (E^1 - V) \psi^0$  on the left by  $\langle \psi_i^m |$ , a singly excited determinant:

$$\langle \psi_i^m | (H^0 - E^0) \psi^1 \rangle = \langle \psi_i^m | (E^1 - V) \psi^0 \rangle$$

$$(\epsilon_m - \epsilon_i) \langle \psi_i^m | \psi^1 \rangle = - \langle \psi_i^m | V | \psi^0 \rangle$$

$$V = \sum_{j < k=1,N} \frac{1}{r_{j,k}} - \sum_{j=1,N} [J_j - K_j]$$

$$\langle \psi_i^m | V | \psi^0 \rangle = \langle \psi_i^m | \sum_{j < k=1,N} \frac{1}{r_{j,k}} - \sum_{j=1,N} [J_j - K_j] | \psi^0 \rangle = \sum_{j=1,N} [\langle m, j | i, j \rangle - \langle m, j | j, i \rangle - \langle m | J_j - K_j | i \rangle]$$

$$= 0 !$$

The fact that there are no singly excited determinants in  $\psi^1$  is called the **Brillouin theorem**. But, **why** are the **singly excited determinants** not there (i.e., why are they **less important than doubly excited determinants**)?

Consider the zeroth-order HF determinant:  $|\phi_1 \phi_2 \phi_3 \dots \phi_N|$ . Now, think about taking say the  $j^{\text{th}}$  spin-orbital  $\phi_j$  and adding to it a sum of coefficients times virtual spin-orbitals:  $\sum_{m=N+1,M} C_m \phi_m$  to form a new  $j^{\text{th}}$  spin-orbital  $\phi'_j = \phi_j + \sum_{m=N+1,M} C_m \phi_m$ . A Slater determinant which is the same as the original HF determinant except that  $\phi_j$  is replaced by  $\phi'_j$ ,  $|\phi_1 \phi_2 \phi'_j \dots \phi_N|$  can be written as

$$|\phi_1 \phi_2 \phi'_j \dots \phi_N| = |\phi_1 \phi_2 \phi_j \dots \phi_N| + \sum_{m=N+1,M} C_m |\phi_1 \phi_2 \phi_m \dots \phi_N|$$

so **singly excited determinants** do nothing but **allow the occupied spin-orbitals**  $\{\phi_j\}$  **to be changed** (i.e., have their LCAO-MO coefficients changed) into different spin-orbitals  $\{\phi'_j\}$ . But the **HF occupied spin-orbitals** were variationally optimized, so they **don't need to be changed**.

There are **no singly excited determinants**  $\psi_i^m$  in  $\psi^1$  because

$$\int \psi_i^{m*} (\mathbf{H} - \mathbf{H}^0) \psi^0 d\tau = 0$$

according to **Brillouin's theorem** (if **HF spin-orbitals** are used to form  $\psi^0$  and to define  $\mathbf{H}^0$ ).

So,  $\mathbf{E}^1$  just corrects  $\mathbf{E}^0$  for the **double-counting** error that summing the occupied orbital energies gives.

$\psi^1$  contains **no singly excited** Slater determinants, but has only **doubly excited determinants**.

*Recall that doubly excited determinants can be thought of as allowing for dynamical correlation as **polarized orbital pairs** are formed.*

The second order energy correction from RSPT is obtained from

$$(H^0 - E^0) \psi^2 = (E^1 - V) \psi^1 + E^2 \psi^0.$$

Multiplying this on the left by  $\psi^{0*}$

and integrating over all of the N electrons's coordinates gives

$$E^2 = \int \psi^{0*} V \psi^1 d\tau.$$

Using the earlier result for  $\psi^1$  gives:

$$E^2 = \sum_{i < j (\text{occ})} \sum_{m < n (\text{virt})} [\langle \phi_i \phi_j | 1/r_{1,2} | \phi_m \phi_n \rangle - \langle \phi_i \phi_j | 1/r_{1,2} | \phi_n \phi_m \rangle]^2 \\ [\epsilon_m - \epsilon_i + \epsilon_n - \epsilon_j]^{-1}$$

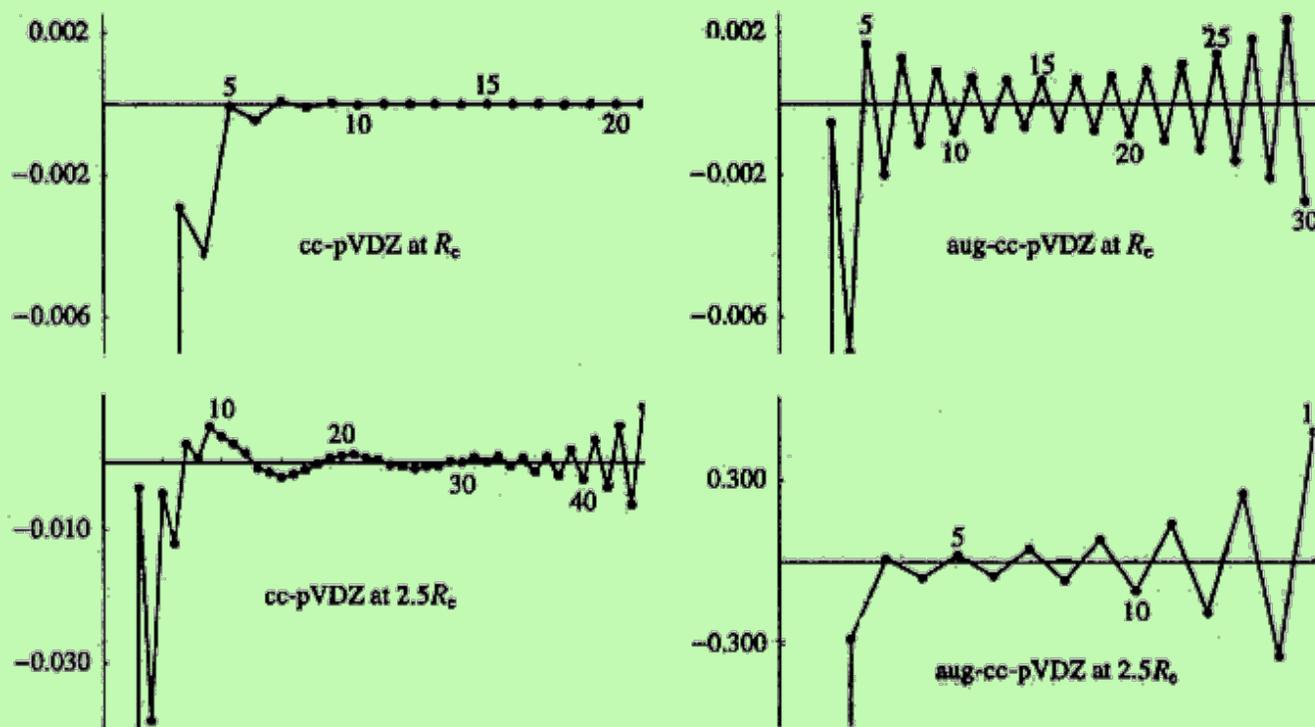
Thus at the **MP2** level, the correlation energy is a sum of spin-orbital pair correlation energies. Higher order corrections (MP3, MP4, etc.) are obtained by using the RSPT approach.

*Note that **large correlation energies** should be expected whenever one has **small occupied-virtual orbital energy gaps** for occupied and virtual orbitals that occupy the same space.*

*MPn has strengths and weaknesses.*

1. Should not use if more than one determinant is important because it assumes the reference determinant is dominant.

2. The MPn energies often **do not converge**



Energies of **HF molecule** as a function of n in MPn.

## Why does it not converge?

Writing the n-th order perturbation equations as

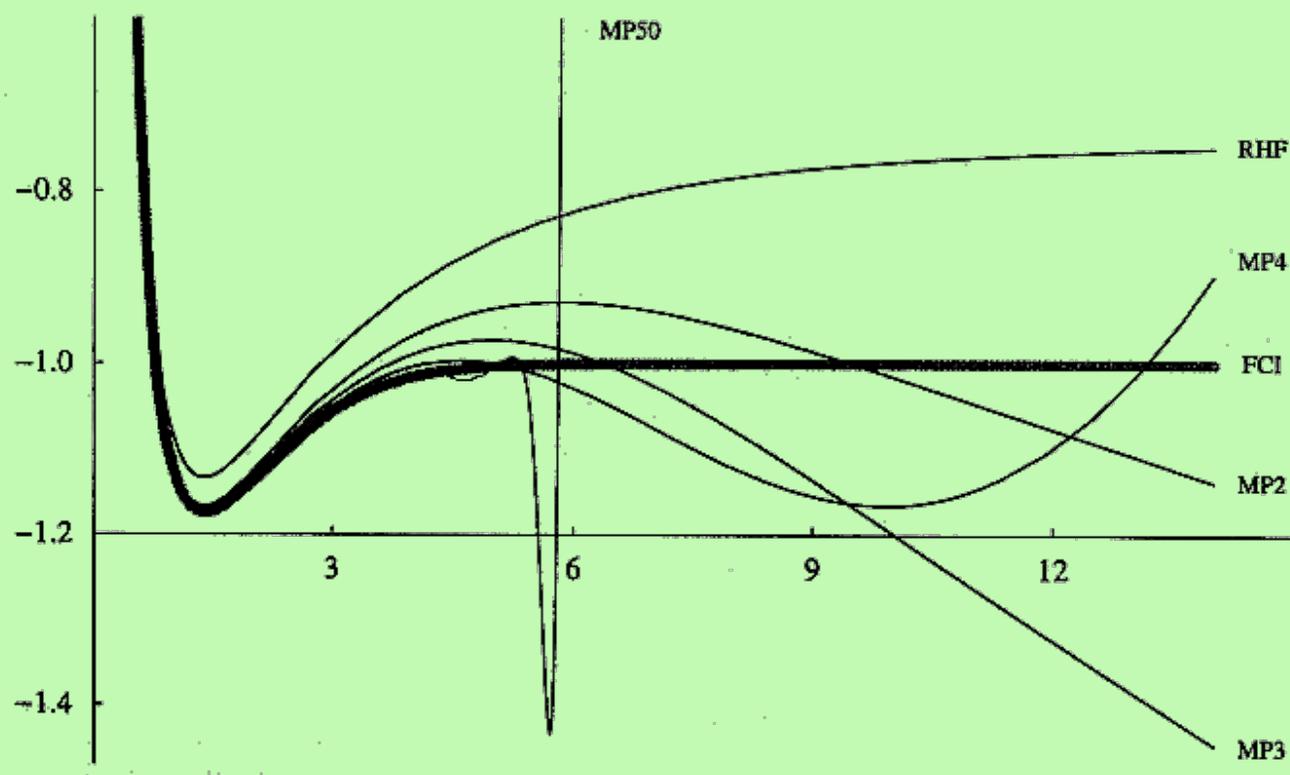
$$(H^0 - E^0) \psi^n = \sum_{k=1, n} E^k \psi^{n-k} - V \psi^{n-1}$$

and multiplying by  $\langle \psi^0 |$  gives  $E^n = \langle \psi^0 | V | \psi^{n-1} \rangle$

One can see from these expressions that each higher order  $\psi^n$  will have one more power of  $V$  in its numerator and one more denominator (arising from  $(H^0 - E^0)^{-1}$ ). So, if the magnitudes of the  $V$  matrix elements (i.e., the  $\langle \phi_i \phi_j | 1/r_{1,2} | \phi_l \phi_k \rangle$ ) become larger or comparable to the  $\epsilon_m + \epsilon_n - \epsilon_i - \epsilon_j$  denominators, the series may blow up.

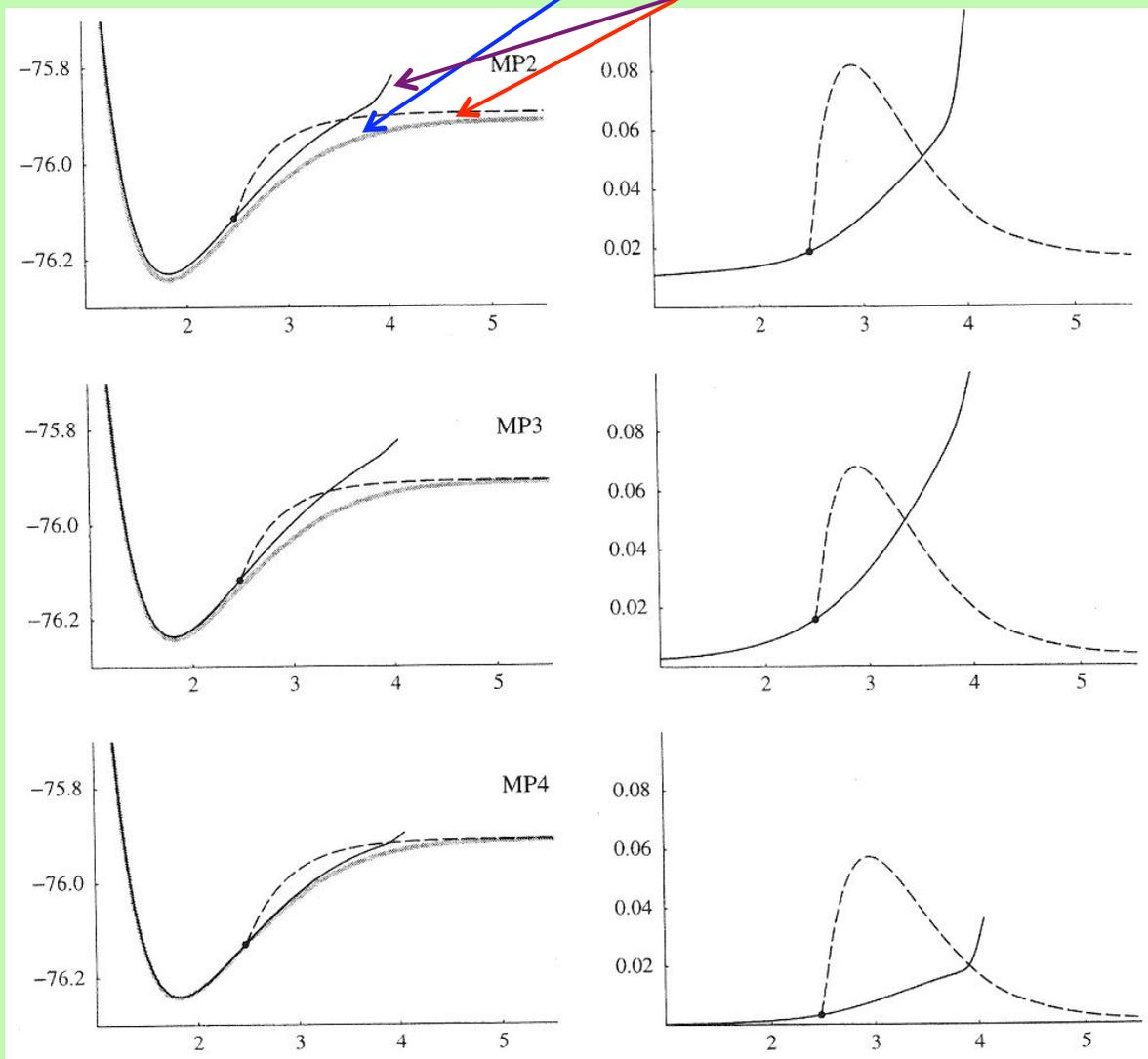
The problem can be worse with larger more diffuse basis sets (more finely spaced virtual orbital energies and orbital energies that are close to the higher occupied orbital energies).

The lack of convergence can give rise to “crazy” potential curves  
(this is the energy of  $H_2$  as a function of  $R$ )



3. Advantage: the MPn energies are **size extensive**.
4. **No choices** of “important” determinants beyond  $\psi^0$  needed, and **decent scaling** at low order ( $M^5$  for MP2).

# MPn energies of H<sub>2</sub>O (both bonds stretched) at full CI, UMPn, and RMPn.



## What is size-extensivity?

$$\begin{array}{c} \text{System A} \\ \hline H_A |A\rangle = E_A |A\rangle \end{array}$$

$$\begin{array}{c} \text{System B} \\ \hline H_B |B\rangle = E_B |B\rangle \end{array}$$

If system A and B do not interact

$$(H_A + H_B) |AB\rangle = (E_A + E_B) |AB\rangle$$

Size extensivity is achieved by

Exact theory

Coupled cluster theory (CC)

MP perturbation theory (PT)

But, these are **single-determinant based** methods.

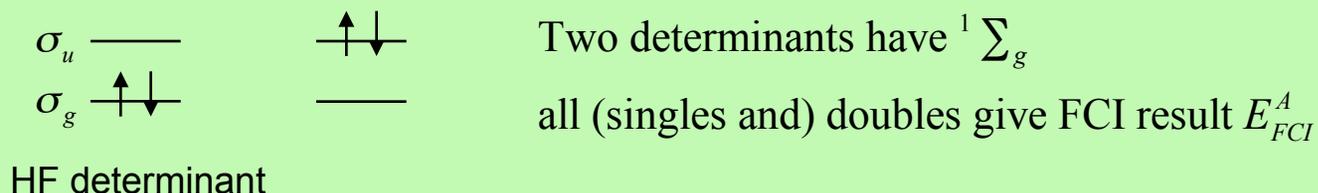
And not achieved by

Configuration interaction theory (CI).

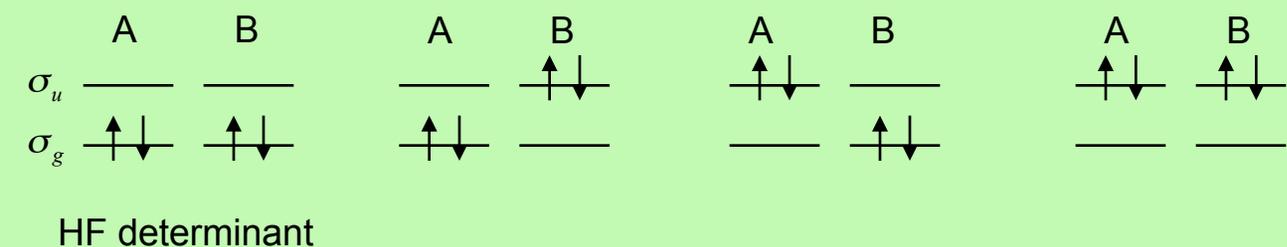
But, this method **can handle more than one dominant determinant**.

## Example of non size extensivity

A single H<sub>2</sub> system



Two H<sub>2</sub> systems A and B at infinite separation:



Up to all quadruples required to get FCI

- A singles and doubles calculation on A and B *separately* gives the FCI answer for the separated molecules

$$E_{AB} = E_{FCI}^A + E_{FCI}^B$$

However, a singles and doubles calculation on the compound system A+B does not give

$$E_{AB} = E_{FCI}^A + E_{FCI}^B$$

since a FCI calculation requires the inclusion of the quadruple configuration.

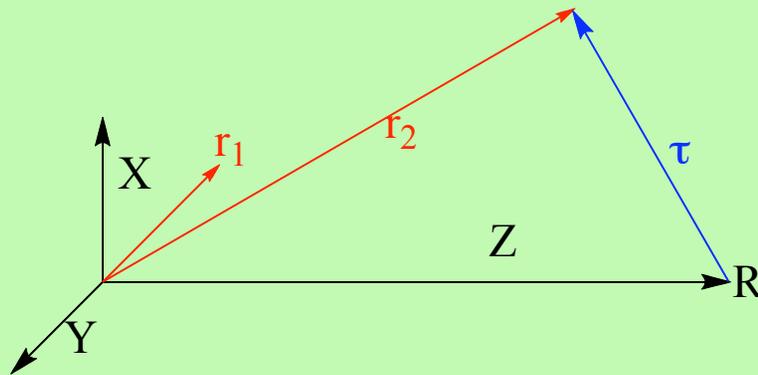
Consequently, the singles and doubles CI model (CISD) is **not size-extensive**.

5. **MPn** includes **dispersion** (van der Waals) energies.

$$E^2 \text{ has } \frac{\langle m(1)n(2) | \frac{1}{r_{1,2}} | i(1)j(2) \rangle - \langle m(1)n(2) | \frac{1}{r_{1,2}} | j(1)i(2) \rangle^2}{\varepsilon_i + \varepsilon_j - \varepsilon_m - \varepsilon_n}$$

Consider two He atoms  $R$  apart, and consider the terms  $j = 1s_R, n = 2p_R, i = 1s_L, m = 2p_L$ . The integral  $\int 2p_L(1)1s_L(1) \frac{1}{r_{1,2}} 2p_R(2)1s_R(2) d2d1$  is larger than the integral  $\int 2p_L(1)1s_R(1) \frac{1}{r_{1,2}} 2p_R(2)1s_L(2) d2d1$ , so we only need to consider the first.

To evaluate how this integral depends on the distance  $R$  between the L and R He atoms, we introduce this **coordinate system** and use it to express  $r_{1,2}$  in terms of  $R$ .



The Cartesian coordinates of electrons 1 and 2 can be denoted

$$x_1, y_1, \text{ and } z_1 \\ x_2, y_2, \text{ and } z_2 \text{ or } x_2 = \tau_x, y_2 = \tau_y \text{ and } z_2 = R + \tau_z$$

The distance  $r_{1,2}$  between the two electrons can be written as

$$r_{1,2} = [(\tau_x - x_1)^2 + (\tau_y - y_1)^2 + (R + \tau_z - z_1)^2]^{1/2} \\ = [(\tau_x - x_1)^2 + (\tau_y - y_1)^2 + R^2 + 2(\tau_z - z_1)R + (\tau_z - z_1)^2]^{1/2}$$

So,  $1/r_{1,2} = R^{-1}[1 - 1/2\{(\tau_x - x_1)^2/R^2 + (\tau_y - y_1)^2/R^2 + (\tau_z - z_1)^2/R^2 + 2(\tau_z - z_1)/R\} + \dots]$

In the integral  $\int \frac{1}{r_{1,2}} 2p_L(1)1s_L(1) 2p_R(2)1s_R(2) d\tau_2 d\tau_1$  the orbital products  $2p(1)1s(1)$  and  $2p(2)1s(2)$  have the symmetry that the 2p orbital has (x, y, or z). So, only terms in  $1/r_{1,2}$  that have the same symmetries will contribute to this integral. These are terms like  $\tau_x x_1$ ,  $\tau_y y_1$  or  $\tau_z z_1$ . Note that all of these terms scale as  $R^{-3}$ .

This causes the integral to scale as  $R^{-3}$  and this the energy to scale as  $R^{-6}$  as expected for dispersion.

### **Multiconfigurational self-consistent field (MCSCF):**

the expectation value

$$\langle \psi | H | \psi \rangle / \langle \psi | \psi \rangle,$$

with

$$\psi = \sum_{L=1, N_C} C_{L1, L2, \dots, LN} |\phi_{L1} \phi_{L2} \phi_{L3} \dots \phi_{LN}|$$

is treated **variationally** and made stationary with respect to **variations** in both the  $C_I$  and the LCAO-MO  $C_{v,i}$  coefficients giving a matrix eigenvalue problem of **dimension**  $N_C$

$$\sum_{J=1, N_C} H_{I,J} C_J = E C_I : \text{with}$$

$$H_{I,J} = \langle |\phi_{I1} \phi_{I2} \phi_{I3} \dots \phi_{IN}| H | \phi_{J1} \phi_{J2} \phi_{J3} \dots \phi_{JN} \rangle$$

and a set of **HF-like equations for the**  $C_{v,i}$  (but with more complicated density matrix appearing in the Coulomb and exchange terms).

**Slater-Condon rules** are used to evaluate the Hamiltonian matrix elements  $H_{I,J}$  between pairs of Slater determinants in terms of the  $\langle \phi_k(1) \phi_l(2) | 1/r_{1,2} | \phi_l(1) \phi_k(2) \rangle$ .

**Iterative SCF-like equations** are solved to determine the  $C_{\mu,j}$  coefficients of all the spin-orbitals appearing in any Slater determinant.

One complication is that you must specify **what determinants to include** in the MCSCF wave function. Generally, one includes all determinants needed to form a spin- and spatial- symmetry-correct configuration state function (CSF) or to allow for qualitatively correct bond dissociation: recall the  $^1S$  function for carbon atom and the need for  $\pi^2$  and  $\pi^{*2}$  determinants in olefins. This set of determinants form what is called a “**reference space**”.

One then usually adds determinants that are **doubly excited** relative to any of the determinants in the reference space. The doubly excited determinants we know will be the most crucial for handling dynamical electron correlation.

One can then add determinants that are singly, triply, etc. excited relative to those in the reference space.

Given **M orbitals** and **N electrons**, there are of the order of  **$N(M-N)$  singly** excited,  **$N^2(M-N)^2$  doubly** excited, etc. determinants. So, the number of determinants can quickly get out of hand.

In what is called a **complete active space (CAS)** MCSCF, one selects a set of “active” orbitals and a number of “active” electrons and one distributes the electrons among these orbital in all possible ways. The table below shows how many determinants can be formed when one distributes **2k electrons** among **2k orbitals** (4k spin-orbitals). Clearly, it is not feasible or wise to try to include in the MCSCF expansion all Slater determinants that can possibly be formed.

$2k$	$N_{\text{det}}$
2	4
4	36
6	400
8	4 900
10	63 504
12	853 776
14	11 778 624
16	165 636 900
18	2 363 904 400
20	34 134 779 536

Instead, one usually includes only determinants that are doubly or singly excited relative to any of the reference function’s determinants.

The  $H_{I,J}$  matrix elements and the elements of the Fock-like matrix are expressed in terms of two-electron integrals

$$\langle \phi_i \phi_j | 1/r_{1,2} | \phi_k \phi_l \rangle$$

that are more general than the Coulomb and exchange integrals.

These integrals must be generated by “transforming” the AO-based integrals

$$\langle \chi_i \chi_j | 1/r_{1,2} | \chi_k \chi_l \rangle$$

using  $\phi_j = \sum_{\mu} C_{j,\mu} \chi_{\mu}$  four times:

$$\langle \chi_i \chi_j | 1/r_{1,2} | \chi_k \phi_m \rangle = \sum_l C_{m,l} \langle \chi_i \chi_j | 1/r_{1,2} | \chi_k \chi_l \rangle$$

$$\langle \chi_i \chi_j | 1/r_{1,2} | \phi_n \phi_m \rangle = \sum_k C_{n,k} \langle \chi_i \chi_j | 1/r_{1,2} | \chi_k \phi_m \rangle$$

$$\langle \chi_i \phi_a | 1/r_{1,2} | \phi_n \phi_m \rangle = \sum_j C_{a,j} \langle \chi_i \chi_j | 1/r_{1,2} | \phi_n \phi_m \rangle$$

$$\langle \phi_b \phi_a | 1/r_{1,2} | \phi_n \phi_m \rangle = \sum_i C_{b,i} \langle \chi_i \phi_a | 1/r_{1,2} | \phi_n \phi_m \rangle$$

This integral transformation step requires of the order of  $4 M^5$  steps and disk space to store the

$$\langle \phi_b \phi_a | 1/r_{1,2} | \phi_n \phi_m \rangle.$$

The solution of the matrix eigenvalue problem

$$\sum_{J=1, N_C} H_{I,J} C_J = E C_I$$

of dimension  $N_C$  requires of the order of  $N_C^2$  operations for each eigenvalue (i.e., state whose energy one wants).

The solution of the Fock-like SCF equations of dimension  $M$  requires of the order of  $M^3$  operations because one needs to obtain most, if not all, orbitals and orbital energies.

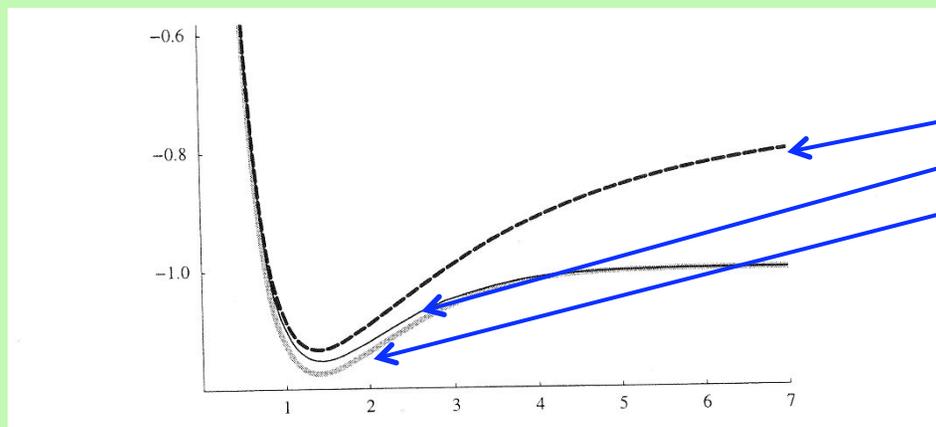
### Advantages:

MCSCF can adequately describe bond cleavage, can give compact description of  $\psi$ , can be size extensive (give  $E(AB) = E(A) + E(B)$  when A and B are far apart) if CSF list is properly chosen, and gives upper bound to energy because it is variational.

### Disadvantages:

The coupled orbital ( $C_{i,\mu}$ ) and  $C_I$  optimization is a very large dimensional (iterative) optimization with many local minima, so convergence is often a problem; unless the CSF list is large, not much dynamical correlation is included.

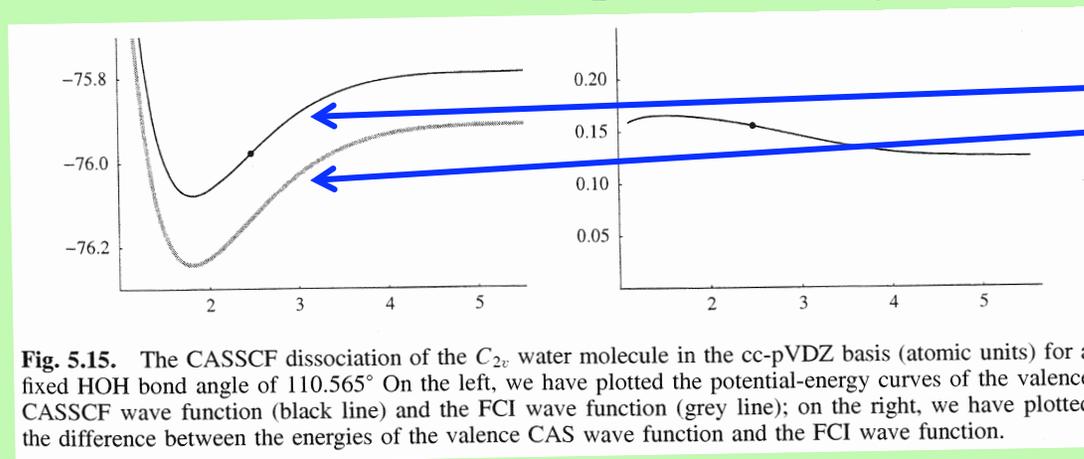
MCSCF offers improvement over RHF, UHF, ROHF, and can be accurate



RHF, 2-CSF MCSCF, and FCI on  $H_2$

**Fig. 5.14.** The cc-pVQZ potential-energy curve of the hydrogen molecule for a two-configuration MCSCF wave function (solid line) compared with the potential-energy curves of the FCI wave function (thick grey line) and the RHF wave function (dashed line). Atomic units are used.

But, unless many double and single excitations out of the reference CSFs are included, it does **not** capture much **dynamical correlation**.



CASMCSCF and FCI for  $H_2O$  with both bonds stretched.

**Fig. 5.15.** The CASSCF dissociation of the  $C_{2v}$  water molecule in the cc-pVDZ basis (atomic units) for a fixed HOH bond angle of  $110.565^\circ$ . On the left, we have plotted the potential-energy curves of the valence CASSCF wave function (black line) and the FCI wave function (grey line); on the right, we have plotted the difference between the energies of the valence CAS wave function and the FCI wave function.

## Configuration interaction (CI):

The LCAO-MO coefficients of all the **spin-orbitals** are **determined** first via a single-configuration **SCF** calculation or an **MCSCF** calculation using a small number of CSFs.

The  **$C_I$  coefficients** are subsequently determined by making stationary the energy expectation value

$$\langle \Psi | H | \Psi \rangle / \langle \Psi | \Psi \rangle$$

which gives a matrix eigenvalue problem:

$$\sum_{J=1, N_C} H_{I,J} C_J = E C_I \text{ of dimension } N_C.$$

### Advantages:

Energies give **upper bounds** because they are variational, one can obtain **excited states** from the CI matrix eigenvalue problem.

### Disadvantages:

Must choose “important” determinants, **not size extensive**, scaling grows rapidly as the level of “excitations” in CSFs increases ( $M^5$  for integral transformation;  $N_C^2$  per electronic state),  $N_C$  must be larger than in MCSCF because the orbitals are optimized for the SCF (or small MCSCF) function not for the CI function.

CI can produce high accuracy, but one has to go to high levels of “excitations”. Here are some data for H<sub>2</sub>O at the HF and CI (with single, double, up to 6-fold excited determinants).  $E-E_{FCI}$  is the energy error (in Hartrees) and  $W$  is the overlap of the HF or CI wave function with the FCI wave function.

### H<sub>2</sub>O cc-pVDZ calculation

	$R_{ref}$		$2R_{ref}$	
	$E-E_{FCI}$	$W$	$E-E_{FCI}$	$W$
HF	0.217822	0.9411	0.363954	0.589
CISD	0.012024	0.99805	0.072015	0.9487
CISDT	0.009043	0.99860	0.050094	0.9591
CISDTQ	0.000327	0.999964	0.005871	0.99875
CISDTQ	0.000139	0.999985	0.002234	0.99955
5CISDTQ	0.000003	1.000000	0.000074	0.99999

## Coupled-Cluster Theory (CC):

Instead of writing the wave function as

$$\psi = \sum_{L=1, N_C} C_{L1, L2, \dots, LN} |\phi_{L1} \phi_{L2} \phi_{L3} \dots \phi_{LN}|$$

one expresses it as

$$\psi = \exp(T) \Phi,$$

where  $\Phi$  is a single CSF (usually a single determinant) used in the SCF process to generate a set of spin-orbitals.

The operator  $T$  is given in terms of operators that generate spin-orbital excitations:

$$T = \sum_{i,m} t_i^m m^+ i + \sum_{i,j,m,n} t_{i,j}^{m,n} m^+ n^+ j i + \dots,$$

Here  $m^+ i$  denotes creation of an electron in spin-orbital  $\phi_m$  and removal of an electron from spin-orbital  $\phi_i$  to generate a single excitation.

The operation  $m^+ n^+ j i$  represents a double excitation from  $\phi_i \phi_j$  to  $\phi_m \phi_n$ .

Note that if one includes in  $T$  **only double excitations**  $\{ m^+ n^+ j i \}$ , the **CC wave function**  $\exp(T) \Phi$  **contains** contributions from **double**, **quadruple**, **sextuple**, etc. excited determinants:

$$\begin{aligned} \exp(T) \Phi = & \{ 1 + \sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i + 1/2 (\sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i) \\ & (\sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i) \\ & + 1/6 (\sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i) (\sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i) \\ & (\sum_{m,n,ij} t_{m,n,ij} m^+ n^+ j i) + \dots \} \Phi. \end{aligned}$$

*But note that the amplitudes of the higher excitations are given as products of amplitudes of lower excitations (unlinked).*

If one were to include **single  $T_1$**  and **double  $T_2$**  excitations in  $T$ , again there are higher excitations in  $\exp(T)|HF\rangle$ :

Coupled cluster singles and doubles model

$$\begin{aligned} |CCSD\rangle &= \exp(T_1 + T_2)|HF\rangle \\ &= \left(1 + (T_1 + T_2) + \frac{1}{2!}(T_1 + T_2)^2 + \frac{1}{3!}(T_1 + T_2)^3 + \dots\right)|HF\rangle \\ &= |HF\rangle + T_1|HF\rangle + \left(\frac{1}{2}T_1^2 + T_2\right)|HF\rangle + \left(T_1T_2 + \frac{1}{6}T_1^3\right)|HF\rangle \\ &\quad + \left(\frac{1}{2}T_2^2 + \frac{1}{2}T_2T_1^2 + \frac{1}{24}T_1^4\right)|HF\rangle + \dots \end{aligned}$$

Note that the exponential function automatically truncate at  $T_N$

The **most commonly used** approximations in CC theory are:

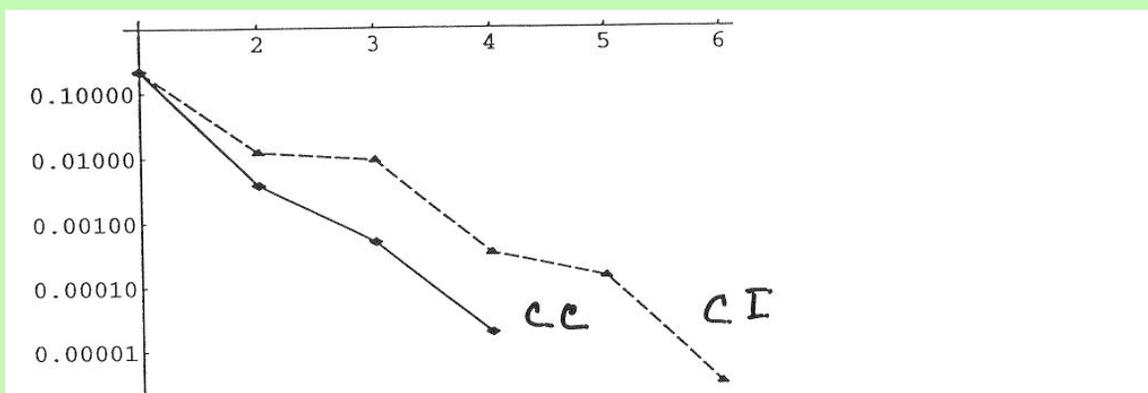
$$|CCS\rangle = \exp(T_1)|HF\rangle$$

$$|CCSD\rangle = \exp(T_1 + T_2)|HF\rangle$$

$$|CCSDT\rangle = \exp(T_1 + T_2 + T_3)|HF\rangle$$

$CCSD(T)$ : approximate treatment of triples in  $|CCSDT\rangle$

The CC approximation of higher excitations as products of lower ones seems to work.



**Figure 10.1** The error (with respect to full CI) in the total energy (a.u.) of CC wave functions (full line) and CI wave functions (dashed line) at different excitation levels for the water molecule at the equilibrium geometry using the cc-pVDZ basis.

H<sub>2</sub>O energy errors  
(Hartrees) for CI  
and CC at various  
levels of excitation.

Where does this exponential thinking come from? You may recall from your studies in statistical mechanics the so-called Mayer-Mayer cluster expansion in which the potential energy's contribution to the partition function

$$Q = \int \exp(-U/kT) dr_1 dr_2 \dots dr_N \text{ is approximated.}$$

$$\begin{aligned} Q &= \int \exp(-U/kT) dr_1 dr_2 \dots dr_N = \int \exp(-\sum_{J<K} U(|r_J - r_K|) / kT) dr_1 dr_2 \dots dr_N \\ &= \int \prod_{J<K} \exp(-U(|r_J - r_K|) / kT) dr_1 dr_2 \dots dr_N \\ &= \int \prod_{J<K} (1 + \{\exp(-U(|r_J - r_K|) / kT) - 1\}) dr_1 dr_2 \dots dr_N \\ &= \int (1 + \sum_{J<K} (\exp(-U(|r_J - r_K|) / kT) - 1) dr_1 dr_2 \dots dr_N \\ &\quad + \sum_{J<K} \sum_{I<L} (\exp(-U(|r_J - r_K|) / kT) - 1) (\exp(-U(|r_I - r_L|) / kT) - 1) dr_1 dr_2 \dots dr_N + \dots \\ &= V^N + V^{N-1} N(N-1)/2 \int (\exp(-U(r) / kT) - 1) dr \\ &\quad + V^{N-2} N(N-1)(N-2)(N-3)/4 \int (\exp(-U(r) / kT) - 1) dr \int (\exp(-U(r') / kT) - 1) dr' \\ &\quad + V^{N-3} N(N-1)(N-2)/2 \int (\exp(-U(r_{1,2}) / kT) - 1) (\exp(-U(r_{1,3}) / kT) - 1) dr_1 dr_2 dr_3 \end{aligned}$$

The unlinked terms are more in number and are important at lower densities.

To obtain the equations of CC theory, one writes:

$$H \exp(T) \Phi = E \exp(T) \Phi, \text{ then}$$

$$\exp(-T) H \exp(T) \Phi = E \Phi, \text{ then}$$

uses the Baker-Campbell-Hausdorff expansion:

$$\exp(-T) H \exp(T) = H - [T, H] + 1/2 [[T, T, H]] - 1/6 [[[[T, T, T, H]]]] + \dots$$

The equations one must solve for the  $t$  amplitudes are quartic:

$$\langle \Phi_i^m | H + [H, T] + 1/2 [[H, T], T] + 1/6 [[[[H, T], T], T]] + 1/24 [[[[[H, T], T], T], T]] | \Phi \rangle = 0;$$

$$\langle \Phi_{i,j}^{m,n} | H + [H, T] + 1/2 [[H, T], T] + 1/6 [[[[H, T], T], T]] + 1/24 [[[[[H, T], T], T], T]] | \Phi \rangle = 0;$$

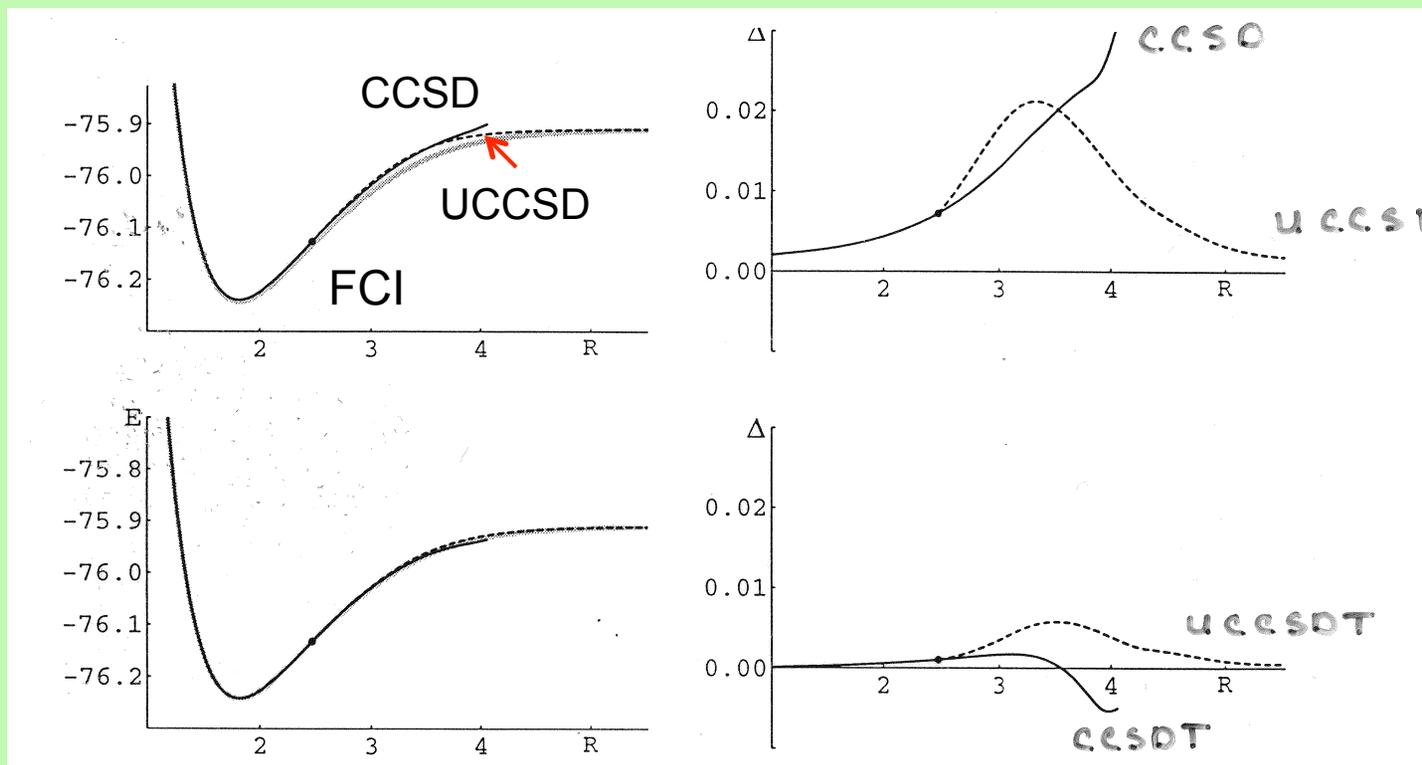
$$\langle \Phi_{i,j,k}^{m,n,p} | H + [H, T] + 1/2 [[H, T], T] + 1/6 [[[[H, T], T], T]] + 1/24 [[[[[H, T], T], T], T]] | \Phi \rangle = 0,$$

The amplitudes of the double excitations that arise in the lowest approximation are identical to those of MP2

$$t_{i,j}^{m,n} = - \langle i,j | 1/r_{1,2} | m,n \rangle / [ \epsilon_m - \epsilon_i + \epsilon_n - \epsilon_j ].$$

CC theory can give high accuracy (if the wave function is single-determinant dominant) and is size-extensive.

Here are some potential curves and energy errors (vs. FCI) for  $\text{H}_2\text{O}$  with both bonds stretched.



## Density functional theory (DFT)

It is “fast” (scales like SCF), includes dynamical correlation, and does not “need” wave functions. WOW!

$$\begin{aligned}\langle \psi | H | \psi \rangle &= \int \psi^*(r_1, r_2, \dots, r_N) H \psi(r_1, r_2, \dots, r_N) dr_1 dr_2 \dots dr_N \\ &= N \int \psi^*(r_1, r_2, \dots, r_N) [T(1) + V_{e,n}(1)] \psi(r_1, r_2, \dots, r_N) dr_1 dr_2 \dots dr_N \\ &\quad + N(N-1)/2 \int \psi^*(r_1, r_2, \dots, r_N) 1/r_{1,2} \psi(r_1, r_2, \dots, r_N) dr_1 dr_2 \dots dr_N.\end{aligned}$$

So, one can really evaluate E if one knew just

$$\Gamma(r'_1, r'_2, r_1, r_2) = \int \psi^*(r'_1, r'_2, \dots, r_N) \psi(r_1, r_2, \dots, r_N) dr_3 dr_4 \dots dr_N.$$

But there is the **N-representability** problem, meaning how does one know a given (e.g., parameterized)  $\Gamma(r'_1, r'_2, r_1, r_2)$  arose from an antisymmetric wave function?

DFT says you can evaluate  $E$  if you just know

$$\rho(\mathbf{r}_1) = \int \psi^*(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N) \psi(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N) d\mathbf{r}_2 d\mathbf{r}_3 d\mathbf{r}_4 \dots d\mathbf{r}_N.$$

Recall when we discussed nuclear cusps of the wave function, we saw that the corresponding ground-state density  $\rho(\mathbf{r})$  also has cusps at the nuclei:

$$\partial/\partial r \rho(\mathbf{r}) = -2m_e Z_A e^2/\hbar^2 \rho(\mathbf{r}) \text{ (as } \mathbf{r} \rightarrow \mathbf{R}_A)$$

This means that, given the true ground-state  $\rho$ , one can evaluate  $N$  by integrating  $\rho$  over all space, one can find where the nuclei sit  $\{\mathbf{R}_K\}$ , but locating the cusps in  $\rho$ , and one can know the charges  $\{Z_K\}$  of the nuclei by calculating the strengths of the cusps. Thus, the true ground-state  $\rho(\mathbf{r})$  is enough information to determine the full electronic Hamiltonian of the molecule which, in principle, can be used to find all electronic states and all their properties.

What is the “catch”? Let’s say one had the true  $\rho(\mathbf{r})$  for the ground state of the OH radical. Let me multiply this  $\rho(\mathbf{r})$  by 10/9 to form a new  $\rho'(\mathbf{r}) = 10/9 \rho(\mathbf{r})$ . This new  $\rho'(\mathbf{r})$  would, upon integration, give  $N = 10$ , and would have cusps at the H and O nuclei just as  $\rho(\mathbf{r})$  did. Moreover, the strengths of its cusps would tell me  $Z_1 = 8$  and  $Z_2 = 1$  (i.e., that there is an O and an H nucleus).

However,  $\rho'(\mathbf{r})$  is not the true ground-state density of the  $\text{OH}^-$  anion; it is just 10/9 the density of the OH radical.

So, the true densities have the nice properties (integrating to  $N$ , having cusps at the nuclei and having cusps whose strengths tell the nuclear charges), but there are also other densities that have these same properties. So, one can not use an arbitrary density that has the right  $N$ ,  $\mathbf{R}_K$  and  $Z_K$  as a reasonable approximation to the true density.

In **density functional theory (DFT)**, we are going to see equations for determining spin-orbitals that look like

$$\left[ -\frac{\hbar^2}{2m}\nabla^2 - \sum_A Z_A e^2/|\mathbf{r}-\mathbf{R}_A| + e^2 \int \rho(\mathbf{r}') 1/|\mathbf{r}-\mathbf{r}'| d\mathbf{r}' + U(\mathbf{r}) \right] \phi_i(\mathbf{r}) = \varepsilon_i \phi_i(\mathbf{r})$$

Compare this to what we saw in Hartree-Fock theory

$$\left[ -\frac{\hbar^2}{2m}\nabla^2 - \sum_A Z_A e^2/|\mathbf{r}-\mathbf{R}_A| + \sum_{j=\text{occ}} (J_j - K_j) \right] \phi_i = \varepsilon_i \phi_i$$

$\sum_{j=\text{occ}} J_j$  can be written as

$$\sum_{j=\text{occ}} J_j = \int \rho(\mathbf{r}') e^2/|\mathbf{r}-\mathbf{r}'| d\mathbf{r}'$$

if the term  $j = i$  is included (this is called the **self-interaction** term).

But, then in the exchange term

$$\sum_{j=\text{occ}} -K_j \phi_i,$$

the  $j = i$  (**self-interaction**) term must also be included.

This is **difficult to do in DFT** because DFT expresses the Coulomb interaction as above in terms of the density but it does not express the exchange term in a way that allows one to make sure the **self-interaction** term is exactly accounted for.

**Hohenberg-Kohn theorem:** the ground-state electron density  $\rho(\mathbf{r})$  describing any N-electron system uniquely determines the potential  $V(\mathbf{r})$  in the Hamiltonian (which is the only place the nuclear positions and charges appear) and thus determines the Hamiltonian:

$$H = \sum_j \left\{ -\frac{\hbar^2}{2m} \nabla_j^2 + V(r_j) + \frac{e^2}{2} \sum_k \frac{1}{r_{j,k}} \right\}.$$

Because  $H$  determines all the energies and wave functions of the system, the ground-state density  $\rho(\mathbf{r})$  thus determines all the properties of the system.

**Seems plausible:**  $\rho$  can be integrated to give  $N$ ; the cusps in  $\rho$  tell us where the nuclei are and the steepness of the cusps tell us the nuclear charges.

*Alternative proof*: Suppose one knows  $\rho(\mathbf{r})$  at all points  $\mathbf{r}$ . Then,

$$\rho(\mathbf{r}) \text{ can determine } N \text{ by } \int \rho(\mathbf{r}) d^3r = N.$$

If one knows  $N$ , one can write the kinetic and electron-electron repulsion parts of  $H$  as

$$\sum_{j=1,N} \left\{ -\frac{\hbar^2}{2m_e} \nabla_j^2 + \frac{e^2}{2} \sum_k \frac{1}{r_{j,k}} \right\}$$

Assume that there are two distinct potentials  $V(\mathbf{r})$  and  $V'(\mathbf{r})$  which form two Hamiltonians  $H$  and  $H'$ , respectively having the same number of electrons but differing only in  $V$  and  $V'$ .

Finally, assume that the ground states  $\psi$  and  $\psi'$  of  $H$  and  $H'$  have the same one-electron density:

$$\int |\psi|^2 dr_2 dr_3 \dots dr_N = \rho(\mathbf{r}) = \int |\psi'|^2 dr_2 dr_3 \dots dr_N.$$

If we think of  $\psi'$  as **trial variational** wave function for the Hamiltonian  $H$ , we know that

$$\begin{aligned} E_0 < \langle \psi' | H | \psi' \rangle &= \langle \psi' | H' | \psi' \rangle + \int \rho(\mathbf{r}) [V(\mathbf{r}) - V'(\mathbf{r})] d^3r \\ &= E_0' + \int \rho(\mathbf{r}) [V(\mathbf{r}) - V'(\mathbf{r})] d^3r. \end{aligned}$$

Similarly, taking  $\psi$  as a **trial function** for the  $H'$  Hamiltonian, one finds that

$$E_0' < E_0 + \int \rho(\mathbf{r}) [V'(\mathbf{r}) - V(\mathbf{r})] d^3r.$$

Adding these equations gives

$$E_0 + E_0' < E_0 + E_0',$$

a clear contradiction.

So, *there can not be two distinct  $V(r)$  potentials that give the same  $N$  and the same ground-state  $\rho$ .* Hence, for any given exact ground-state  $\rho$ , there can be **at most one  $V(r)$ .**

So, there may be just **one  $V(\mathbf{r})$**  for a given  $\rho$ , or there may be no  **$V(\mathbf{r})$**  corresponding to that  $\rho$ .

This means that an exact ground-state  $\rho(\mathbf{r})$  determines  $N$  and a unique  $V$ , and thus determines  $H$ , and therefore all  $\psi_s$  and all  $E_s$ .

*What is the functional relation between  $\rho$  and  $H$ ? That is the big problem.*

Also, it is easy to see that

$$\int \rho(\mathbf{r}) V(\mathbf{r}) d^3r = V[\rho]$$

gives the average value of the electron-nuclear interaction, but how are the kinetic energy  $T[\rho]$  and the electron-electron interaction  $V_{ee}[\rho]$  energy expressed in terms of  $\rho$ ?

**Careful!** If you write the Coulomb e-e energy as

$$\frac{e^2}{2} \int \rho(\mathbf{r}') \rho(\mathbf{r}) \frac{1}{|\mathbf{r}-\mathbf{r}'|} d\mathbf{r}' d\mathbf{r}$$

the exchange energy better cancel the self-interaction.

But, how can the kinetic, exchange, and correlation energies be written in terms of  $\rho(\mathbf{r})$ ?

Consider the **kinetic energy** for **non-interacting** electrons in a box

$$E = (h^2/8m L^2) (n_x^2 + n_y^2 + n_z^2)$$

Within a 1/8 sphere in  $n_x, n_y, n_z$  space of radius  $R$ ,

$$\Phi(E) = 1/8 (4\pi/3) R^3 = (\pi/6) (8mL^2E/h^2)^{3/2}$$

is the number of quantum states. **Between  $E$  and  $E + dE$** , there are

$$g(E) = d\Phi/dE = (\pi/4) (8mL^2/h^2)^{3/2} E^{1/2} \text{ states.}$$

The energy of the **ground state** with two electrons in each of the lowest orbitals (up to the **Fermi energy**  $E_F$ ) is

$$E_0 = 2 \int g(E) E dE = (8\pi/5) (2m/h^2)^{3/2} L^3 E_F^{5/2}$$

And the **number of electrons**  $N$  is

$$N = 2 \int g(E) dE = (8\pi/3) (2m/h^2)^{3/2} L^3 E_F^{3/2}.$$

Solving for  $E_F$  in terms of  $N$ , one can express  $E_0$  in terms of  $N$ .

$$E_0 = (3h^2/10m) (3/8\pi)^{2/3} L^3 (N/L^3)^{5/3}$$

or in terms of the density  $\rho = N/L^3$  (which, in this case, is spatially uniform).

This suggests that the **kinetic energy** for **non-interacting** electrons be computed in the **local density approximation (LDA)** by using this form of the kinetic energy functional locally, but then integrated over all points in space:

$T_{TF}[\rho] = (3h^2/10m) (3/8\pi)^{2/3} \int [\rho(\mathbf{r})]^{5/3} d^3r = C_F \int [\rho(\mathbf{r})]^{5/3} d^3r$   
( $C_F = 2.8712$  atomic units) and the **total energy** could then be expressed in terms of  $\rho$  as

$$E_{0,TF}[\rho] = C_F \int [\rho(\mathbf{r})]^{5/3} d^3r + \int V(\mathbf{r}) \rho(\mathbf{r}) d^3r \\ + e^2/2 \int \rho(\mathbf{r}) \rho(\mathbf{r}')/|\mathbf{r}-\mathbf{r}'| d^3r d^3r'$$

in this so-called **Thomas-Fermi** model; it is the **most elementary LDA** within DFT.

Within this **TF theory**, the total energy is given as

$$E_{0,TF}[\rho] = C_F \int [\rho(\mathbf{r})]^{5/3} d^3r + \int V(\mathbf{r}) \rho(\mathbf{r}) d^3r + e^2/2 \int \rho(\mathbf{r}) \rho(\mathbf{r}')/|\mathbf{r}-\mathbf{r}'|$$

**exchange does not occur**. By analyzing the **uniform electron gas**, **Dirac** arrived at a **local** approximation to the **exchange** energy

$$E_{\text{ex,Dirac}}[\rho] = - C_x \int [\rho(\mathbf{r})]^{4/3} d^3r$$

$$(C_x = (3/4) (3/\pi)^{1/3} = 0.7386 \text{ au}).$$

To account for the fact that  $\rho(\mathbf{r})$  varies strongly in some regions (i.e., near nuclei), **Becke** introduced a **gradient-correction** to Dirac exchange

$$E_{\text{ex}}(\text{Becke88}) = E_{\text{ex,Dirac}}[\rho] - \gamma \int x^2 \rho^{4/3} (1 + 6 \gamma x \sinh^{-1}(x))^{-1} d\mathbf{r}$$

where  $x = \rho^{-4/3} |\nabla \rho|$  and  $\gamma = 0.0042$

and **Weizsacker** came up with a **gradient correction** to the kinetic energy

$$\delta T_{\text{Weizsacker}} = (1/72)(\hbar/m) \int |\nabla \rho(\mathbf{r})|^2 / \rho(\mathbf{r}) d\mathbf{r}$$

Again, by analyzing the **uniform electron gas**, it was found that the **correlation energy** could be solved for analytically in the **low- $\rho$**  and **high- $\rho$**  limits. For interpolating between these limits, people have suggested various approximate local **correlation functionals** such as

$$E_C[\rho] = \int \rho(\mathbf{r}) \varepsilon_c(\rho) \mathbf{d}\mathbf{r}$$

$$\varepsilon_c(\rho) = A/2 \{ \ln(x/X) + 2b/Q \tan^{-1}(Q/(2x+b)) - bx_0/X_0 [\ln((x-x_0)^2/X) + 2(b+2x_0)/Q \tan^{-1}(Q/(2x+b))] \}$$

Where  $x = r_s^{1/2}$ ,  $X = x^2 + bx + c$ ,  $X_0 = x_0^2 + bx_0 + c$  and  $Q = (4c - b^2)^{1/2}$ ,  $A = 0.0621814$ ,  $x_0 = -0.409286$ ,  $b = 13.0720$ , and  $c = 42.7198$ .

The parameter  $r_s$  is how  $\rho$  enters since  $4/3 \pi r_s^3$  is equal to  $1/\rho$ . The numerical values of the parameters are determined by fitting to a data base of atomic energies.

So, one can write each of the pieces in the **total energy** (kinetic, nuclear attraction, Coulomb, exchange, correlation) **in terms of  $\rho(\mathbf{r})$**  as, for example,

$$E_{0,TF}[\rho] = C_F \int [\rho(\mathbf{r})]^{5/3} d^3r + \int V(\mathbf{r}) \rho(\mathbf{r}) d^3r + e^2/2 \int \rho(\mathbf{r}) \rho(\mathbf{r}')/|\mathbf{r}-\mathbf{r}'|$$

$$E_{ex,Dirac}[\rho] = - C_x \int [\rho(\mathbf{r})]^{4/3} d^3r$$

$$E_{ex}(Becke88) = E_{ex,Dirac}[\rho] - \gamma \int x^2 \rho^{4/3} (1+6 \gamma x \sinh^{-1}(x))^{-1} d\mathbf{r}$$

$$\delta T_{Weizsacker} = (1/72)(\hbar/m) \int |\nabla \rho(\mathbf{r})|^2/\rho(\mathbf{r}) d\mathbf{r}$$

$$E_C[\rho] = \int \rho(\mathbf{r}) \varepsilon_c(\rho) d\mathbf{r}$$

$$\varepsilon_c(\rho) = A/2 \{ \ln(x/X) + 2b/Q \tan^{-1}(Q/(2x+b)) - bx_0/X_0 [\ln((x-x_0)^2/X) + 2(b+2x_0)/Q \tan^{-1}(Q/(2x+b))] \}$$

*But, how do you get  $\rho(\mathbf{r})$ ?*

Kohn and Sham realized one could introduce an orbital-like equation

$$\{-\hbar^2/2m^2 + V(\mathbf{r}) + e^2 \int \rho(\mathbf{r}')/|\mathbf{r}-\mathbf{r}'| d\mathbf{r}' + U_{xc}(\mathbf{r})\} \phi_j = \varepsilon_j \phi_j$$

by defining a one-electron potential  $U_{xc}(\mathbf{r})$ , to handle the exchange and correlation, as the derivative of  $E_{xc}$  with respect to  $\rho(\mathbf{r})$ .

$$U_{xc}(\mathbf{r}) = \delta E_{xc}[\rho]/\delta \rho(\mathbf{r}).$$

For example, for the term  $E_{ex,Dirac}[\rho] = -C_x \int [\rho(\mathbf{r})]^{4/3} d^3r$ ,

$$\delta E_{xc}[\rho]/\delta \rho(\mathbf{r}) = -4/3 C_x [\rho(\mathbf{r})]^{1/3}.$$

Of course,  $U_{xc}(\mathbf{r})$  is more complicated for more complicated  $E_{xc}(\rho)$ .

*But, how does this help determine  $\rho(\mathbf{r})$ ?*

The K-S process allows you to solve such orbital equations to get  $\phi_j$ 's whose density

$$\rho(\mathbf{r}) = \sum_{j=occ} n_j |\phi_j(\mathbf{r})|^2$$

K-S showed gives the same density as would minimization of  $E_{xc}[\rho]$  directly with respect to  $\rho(\mathbf{r})$ .

The **K-S procedure** is followed:

1. An atomic orbital **basis** is chosen.
2. An initial **guess** is made for the **LCAO-KS** expansion coefficients

$$C_{j,a}: \phi_j = \sum_a C_{j,a} \chi_a.$$

3. The **density** is computed as  $\rho(\mathbf{r}) = \sum_{j=\text{occ}} n_j |\phi_j(\mathbf{r})|^2$ . {What are the  $n_j$  when, for example, one has a **mixed  $\pi^2 \pi^{*2}$  wavefunction?**}

5. This **density** is used in the KS equations

$$\left\{ -\frac{\hbar^2}{2m^2} + V(\mathbf{r}) + e^2 \int \frac{\rho(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} d\mathbf{r}' + U_{xc}(\mathbf{r}) \right\} \phi_j = \varepsilon_j \phi_j$$

to find new **eigenfunctions  $\{\phi_j\}$**  and **eigenvalues  $\{\varepsilon_j\}$** .

5. These **new  $\phi_j$**  are used to compute a **new density**, which is used to solve a **new set of KS equations**. This process is continued **until convergence** is reached

7. Once the converged  $\rho(\mathbf{r})$  is determined, the **energy** can be **computed** using

$$E[\rho] = \sum_j n_j \langle \phi_j(\mathbf{r}) | -\frac{\hbar^2}{2m} \nabla^2 | \phi_j(\mathbf{r}) \rangle + \int V(\mathbf{r}) \rho(\mathbf{r}) d\mathbf{r} + e^2/2 \int \rho(\mathbf{r}) \rho(\mathbf{r}') / |\mathbf{r}-\mathbf{r}'| d\mathbf{r} d\mathbf{r}' + E_{xc}[\rho]$$

## *Pros and cons:*

Solving the K-S equations **scales like HF** ( $M^3$ ), so DFT is “cheap”.

Current functionals seem to be pretty good, so results can be good.

Unlike variational and perturbative wavefunction methods, there is **no agreed-upon systematic scheme for improving functionals**.

Most current **functionals do not include** terms to describe **dispersion interactions** between electrons.

Most current **functionals do not** contain exchange terms that properly **cancel the self-interaction** contained in the Coulomb term.

How do you specify the  $n_j$  to “represent” the fact that you have a mixed  $\pi^2$   $\pi^{*2}$  wavefunction?

## Summary of correlated methods:

- 1. Basis sets* should be used that
  - (i) are **flexible** in the **valence region** to allow for the different radial extents of the neutral and anion's orbitals,
  - (ii) include **polarization functions** to allow for good treatment of **geometrical distortion** (e.g., ring strain) and **dynamical electron correlations**, and,
  - (iii) include extra **diffuse functions** if very weak electron binding is anticipated. For high precision, it is useful to carry out CBS **basis set extrapolations** using results calculated with a range of basis sets (e.g., VDZ, VTZ, VQZ).
- 2. Electron correlation* should be included because correlation energies are significant (e.g., 0.5 eV per electron pair). Correlation allows the electrons to avoid one another by forming **polarized orbital pairs**. There are many ways to handle electron correlation (e.g., CI, MPn, CC, DFT, MCSCF).
- 3. Single determinant* zeroth order wave functions **may not be adequate** if the spin and space symmetry adapted wave function requires more than one determinant. **Open-shell singlet** wave functions (e.g., as in homolytic cleavage) are the most common examples for which a single determinant can not be employed. In such cases, methods that assume dominance of a single determinant should be avoided.
- 4. The computational cost* involved in various electronic structure calculations **scales** in a **highly non-linear fashion** with the size (**M**) of the AO basis, so careful basis set choices must be made.

5. Some methods are *size-extensive*, some are not. Generally, those who obtain the energy  $E$  as an expectation value  $\langle \psi | H | \psi \rangle / \langle \psi | \psi \rangle$  are not; those that use  $\langle \psi^0 | H | \psi \rangle$  to evaluate  $E$  are. CAS MCSCF and FCI are.
5. DFT is “*computationally cheap*” and treats *dynamical correlation*, but it is still *undergoing qualitative development* (i.e., be careful), it is *not clear* how it handles *essential correlation*, and it still needs to have a *better framework* for systematic improvements.

Integral calculation:  $\langle \chi_a \chi_b | g | \chi_c \chi_d \rangle$  -  $M^4/8$  to be calculated and stored- **linear scaling** is being pursued to reduce this.

HF:  $\sum_{\nu=1,M} F_{\mu,\nu} C_{i,\mu} = \epsilon_i \sum_{\nu} S_{\mu,\nu} C_{i,\mu}$   $M^3$  operations to find all  $M$   $\epsilon_i$  and  $C_{i,\mu}$ , but  $M^4$  because of integral evaluation.

Integral transformation:  $\langle \phi_i \phi_j | g | \phi_k \phi_l \rangle$  -  $M^4$  of them each needing  $M^5$  steps.

Configuration interaction:  $\sum_{J=1,N_C} H_{I,J} C_J = E C_I$  -requires  $N_C^2$  operations to get one  $E$

MP2- scales as  $M^5$

CCSD-  $M^6$

CCSD(T)-  $M^7$

CCSDT-  $M^8$

DFT-  $M^{3-4}$