Quantum Chemistry NWI-MOL406

, HG00.108, 8.30h-11.30h, 17 January 2017

For each question you can get the same number of points (so **1a** has the same number of points as **1b** and as **2a** and as **3c**, etc.). There is one exception: for **4b** you can get three times more.

Question 1: Wave functions and charge densities

A three-electron, normalized Slater determinant is given by

$$\Phi_a = \frac{1}{\sqrt{3!}} |\psi_1 \psi_2 \psi_3| ,$$

where $\{\psi_1, \psi_2, \psi_3, \psi_4, \psi_5\}$ is an orthonormal set of spin-orbitals.

1a. Write out the complete wave function, i.e., complete the following:

$$\Phi_a = \frac{1}{\sqrt{3!}} [\psi_1(1)\psi_2(2)\psi_3(3) + \dots] .$$

> Answer: *There have to be 3! = 6 terms. Interchanging two particles gives a minus. Cyclic permutations are all positive.*
>
> $$\Phi_a = \frac{1}{\sqrt{6}}[\psi_1(1)\psi_2(2)\psi_3(3) - \psi_1(1)\psi_2(3)\psi_3(2) - \psi_1(2)\psi_2(1)\psi_3(3)$$
> $$- \psi_1(3)\psi_2(2)\psi_3(1) + \psi_1(3)\psi_2(1)\psi_3(2) + \psi_1(2)\psi_2(3)\psi_3(1)].$$

1b. Show that your result for Φ_a is properly normalized, i.e. that $\langle \Phi_a | \Phi_a \rangle = 1$.

> Answer: *We have to calculate $\iiint \Phi^* \Phi \, d\mathbf{r}_1 \, d\mathbf{r}_2 \, d\mathbf{r}_3$. There are 6 terms on the left hand side, and 6 on the right. For each of the six terms on the left there is only one on the right (the c.c.) that survives integration and yields 1. So we get $6/\sqrt{6}/\sqrt{6} = 1$.*

We now turn our attention to another Slater determinant:

$$\Phi_b = \frac{1}{\sqrt{6!}} |\phi_1 \bar{\phi}_1 \phi_2 \bar{\phi}_2 \phi_3 \bar{\phi}_3| .$$

Here $\{\phi_1, \phi_2, \phi_3\}$ are orthonormal spatial orbitals.

1c. Give an expression for the charge density $n(\mathbf{r})$ in terms of the orbitals $\phi_1(\mathbf{r})$, $\phi_2(\mathbf{r})$ and $\phi_3(\mathbf{r})$. Briefly motivate your answer.

> Answer: *Φ_b is properly normalized. Because the density is a one-electron property we get:*
>
> $$n(\mathbf{r}) = 2|\phi_1(\mathbf{r})|^2 + 2|\phi_2(\mathbf{r})|^2 + 2|\phi_3(\mathbf{r})|^2$$
>
> *Factors 2 are for spin.*

Question 2: From Hartree-Fock and Roothaan to DFT

In (restricted closed-shell) Hartree-Fock, one has to minimize the energy expression:

$$E = 2 \sum_k^{N/2} h_{kk} + \sum_k^{N/2} \sum_l^{N/2} (2J_{kl} - K_{kl}). \tag{1}$$

There h_{kk}, J_{kl} and K_{kl} are one- and two-electron matrix elements involving the spatial molecular orbitals ϕ_1, ϕ_2, ..., $\phi_{N/2}$.

2a. Give expressions for the integrals J_{kk} and K_{kl} in terms of the orbitals ϕ_k and ϕ_l.

Answer:

$$J_{ij} = \int\int \frac{\phi_i^*(1)\phi_i(1)\phi_j^*(2)\phi_j(2)}{|\mathbf{r}_1 - \mathbf{r}_2|} d\mathbf{r}_1 d\mathbf{r}_2$$

$$K_{ij} = \int\int \frac{\phi_i^*(1)\phi_j(1)\phi_j^*(2)\phi_i(2)}{|\mathbf{r}_1 - \mathbf{r}_2|} d\mathbf{r}_1 d\mathbf{r}_2$$

2b. Why is there no factor 2 in front of K_{kl}? Explain briefly.

Answer: *Because there is only a non-vanishing exchange between spatial orbitals with the same spin.*

The above expression (formula 1) needs to be minimized with the constraints that the molecular orbitals are orthonormal. In practice this is achieved by introducing Lagrange multipliers Λ_{kl} and minimizing a modified energy expression:

$$E' = 2 \sum_k^{N/2} h_{kk} + \sum_k^{N/2} \sum_l^{N/2} (2J_{kl} - K_{kl}) + \dots \tag{2}$$

2c. What is the modified energy expression, i.e. what is on the "..." in formula (2)?

Answer:

$$E' = 2 \sum_k^{N/2} h_{kk} + \sum_k^{N/2} \sum_l^{N/2} (2J_{kl} - K_{kl}) - \sum_k^{N/2} \sum_l^{N/2} \Lambda_{lk}(\langle \phi_k | \phi_l \rangle - \delta_{lk})$$

On a computer, the molecular orbitals are expanded in atomic orbitals χ_λ:

$$\phi_k(\mathbf{r}) = \sum_\lambda^M C_{\lambda k} \chi_\lambda(\mathbf{r}) = \sum_\lambda^M \chi_\lambda(\mathbf{r}) C_{\lambda k}. \tag{3}$$

So $\mathbf{C}$ is an $M \times N/2$ matrix.

2d. Suppose were are doing a calculation on the fluorine dimer, i.e., on F_2, and we use a minimal STO (Slater type orbital) basis. How large are M and $N/2$? Explain briefly. In case you forgot: fluorine has atomic number 9.

> Answer: *Fluorine has $2 + 2 + 5 = 9$ electrons. So F_2 has 18, to be accommodated in $N/2 = 9$ spatial orbitals.*
> *The minimal basis has, for one F, a 1s, a 2s and 3 2p-like functions. So 5 per F which gives $M = 10$ for F_2.*

Inserting equation (3) into equation (2) and demanding that $\partial E'/\partial C_{pm}^* = 0$ yields the Roothaan equations. After diagonalization these are

$$\mathbf{FC} = \mathbf{SC}\boldsymbol{\epsilon}, \tag{4}$$

which can also be written as

$$\mathbf{Fc}_k = \epsilon_k \mathbf{Sc}_k. \tag{5}$$

Here $\mathbf{F}$ and $\mathbf{S}$ are the Fock and overlap matrix, respectively [$\boldsymbol{\epsilon}$ is the matrix with the ϵ_k on the diagonal, and 0 elsewhere].

2e. Solving equations (4) and (5) requires so-called *self-consistent* calculations. Explain what this means. Also explain, in words, what this is done.

> Answer: *The Fock matrix $\mathbf{F}$ depends on the coefficients in $\mathbf{C}$. Eq. 4 is solved for fixed $\mathbf{F}$, yielding new coefficients $\mathbf{C}$. These new coefficients are used to build $\mathbf{F}$. Again solving Eq. 4, with fixed $\mathbf{F}$, yields again new coefficients $\mathbf{C}$. This process continues until the input (into $\mathbf{F}$) and output (after solving Eq. 4) coefficients are the same (within some tolerance). In that case the solution is "self-consistent".*

Naively one would expect that the total ground state energy E can be written as a sum of all eigenvalues ϵ_k. However that is not true. You still need to add a correction.

2f. Provide this correction, i.e., what is on the "..." below. No proof needed.

$$E = 2 \sum_k^{N/2} \epsilon_k + \dots$$

Answer: *This is the "famous" double counting correction:*

$$E = 2 \sum_k^{N/2} \epsilon_k - \sum_k^{N/2} \sum_l^{N/2} (2 J_{kl} - K_{kl})$$

The Fock matrix is, in principle, straightforwardly calculated by inserting expansion (3) into the expression for E of equation (1) and using:

$$\frac{\partial E}{\partial C_{\rho m}^*} = 2 \sum_\nu^M F_{\rho \nu} C_{\nu m}.$$

There are single electron contributions and two-electron contributions deriving from J_{kl} and K_{kl}. In DFT the term $-K_{kl}$ in (1) is replaced by a density dependent exchange-correlation functional $E_{\text{XC}}[n(\mathbf{r})]$ of the electron density $n(\mathbf{r})$. In this Question we choose:

$$E_{\text{XC}} = A \int n(\mathbf{r}) \, d\mathbf{r}.$$

This is not a realistic functional. We choose it for computational convenience. A is a known constant. We obtain a modified energy expression:

$$E = 2 \sum_k^{N/2} h_{kk} + \sum_k^{N/2} \sum_l^{N/2} 2 J_{kl} + E_{\text{XC}} \tag{6}$$

Assume we have a working Hartree-Fock program. We want to convert this to DFT. So in the following we want to find an expression for the contribution of E_{X} to the "Fock" matrix that replaces the contribution due to K_{ij}. Of course the resulting matrix is not a true Fock matrix anymore, hence the quotes.

2g. Provide an expression for the density $n(\mathbf{r})$ in terms of the elements of the matrix $\mathbf{C}$. Use this result to obtain an expression for E_{XC} in terms of elements of the matrices $\mathbf{C}$ and $\mathbf{S}$.

Answer: *The density is*

$$n(\mathbf{r}) = 2\sum_{k}^{N/2} \phi_k^*(\mathbf{r})\phi_k(\mathbf{r}) = 2\sum_{k}^{N/2}\sum_{\mu}^{M}\sum_{\lambda}^{N} C_{\mu k}^* \chi_\mu^*(\mathbf{r}) C_{\lambda k}\chi_\lambda(\mathbf{r})$$

This goes into the expression for E_{XC}:

$$E_{\mathrm{XC}} = A\int n(\mathbf{r})\,d\mathbf{r} = A\int 2\sum_{k}^{N/2}\sum_{\mu}^{M}\sum_{\lambda}^{M} C_{\mu k}^*\chi_\mu^*(\mathbf{r})C_{\lambda k}\chi_\lambda(\mathbf{r})\,d\mathbf{r} =$$

$$2A\sum_{k}^{N/2}\sum_{\mu}^{M}\sum_{\lambda}^{M} C_{\mu k}^* C_{\lambda k}\int \chi_\mu^*(\mathbf{r})\chi_\lambda(\mathbf{r})\,d\mathbf{r} = 2A\sum_{\mu}^{M}\sum_{\lambda}^{M}\sum_{k}^{N/2} C_{\mu k}^* C_{\lambda k}S_{\mu\lambda} =$$

$$2A\sum_{\mu}^{M}\sum_{\lambda}^{M} P_{\lambda\mu}S_{\mu\lambda}$$

2h. Use the result of **2g** to obtain the exchange contribution to the modified $F_{\rho\nu}$.

Answer: *For convenience we take the route via the density matrix. We know:*

$$\frac{\partial P_{\lambda\mu}}{\partial C_{\rho m}^*} = \delta_{\mu\rho}C_{\lambda m}$$

so that:

$$\frac{\partial E_{\mathrm{XC}}}{\partial C_{\rho m}^*} = 2A\sum_{\mu}^{M}\sum_{\lambda}^{M}\frac{\partial P_{\lambda\mu}}{\partial C_{\rho m}^*}S_{\mu\lambda} = 2A\sum_{\lambda}^{M} C_{\lambda m}S_{\rho\lambda} =$$

$$2A\sum_{\nu}^{M} S_{\rho\nu}C_{\nu m} = 2\sum_{\nu}^{M} F_{\rho\nu}^{\mathrm{XC}}C_{\nu m} \Rightarrow \mathbf{F}^{\mathrm{XC}} = A\mathbf{S}$$

Question 3: Gaussian basis sets

Atomic basis sets are available online in the "EMSL basis set exchange" database. Ariane has downloaded a basis set for fluorine (F) from the EMSL web site. It is listed below:

```
#BASIS SET: (11s,5p,1d) -> [4s,3p,1d]
F    S
   11427.1000000              0.00180093
    1722.3500000              0.0137419
     395.7460000              0.0681334
     115.1390000              0.2333250
      33.6026000              0.5890860
       4.9190100              0.2995050
F    SP
      55.4441000              0.1145360            0.0354609
      12.6323000              0.9205120            0.2374510
       3.7175600             -0.00337804           0.8204580
F    SP
       1.1654500              1.0000000            1.0000000
F    SP
       0.3218920              1.0000000            1.0000000
F    D
       1.7500000              1.0000000
```

Unfortunately, Ariane forgot what type of Gaussian basis set this actually is.

3a. You have to help Ariane, and say what type of split valence basis set this is. It is 3-21+G, or is it 9-631G*, or - if it is neither of these - what else? Motivate your answer!

> Answer: *The 1s core is described by a contraction of 6 Gaussians → "6-?G?"*
>
> *The valence has three blocks of contractions 3, 1 and 1 → "6-311G?"*
> *There is also a (single) d function. That has $l = 2$ whereas the fluorine atom has $l = 1$ occupied max. So we have a polarization function. → "6-311G*"*
>
> *Note: Also correct: 6-31+G*. It's not this, but you cannot see whether the thrid valence sp channel is diffuse.*

Ariane does two calculations on F_2 with this basis set. One calculation uses a basis set with the real spherical harmonics s, p_x, p_y, p_z, d_{xy}, d_{yz}, d_{zx}, $d_{x^2-y^2}$ and

$d_{3z^2-r^2}$. The other uses so-called Cartesian spherical harmonics which can be written as

$$x^l y^m z^n \times \text{"some radial function with an exponent"}.$$

She is surprised that the calculations yield slightly different ground state energies.

3b. Explain what happened here, i.e. why the energies are different and which is lowest.

Answer: *With cartesian spherical harmonics the d shell is described by all 6 functions which have $l + m + n = 2$. Five linear combinations make up the usual 5 (real) spherical harmonics. The linear combination $x^2 + y^2 + z^2$ gives another function with s symmetry, i.e. the variational freedom for the s channel is enlarged. So with the cartesian spherical harmonics we calculate a somewhat lower ground state energy.*

3c. Give an expression for the "radial function with an exponent" for the d-channel. This function not only features some kind of exponent (obviously) but has an other r-dependent factor.

Answer:

$$e^{-\alpha r^2} \; , \;\; \alpha = 1.75$$

The r^2 in the exponent makes this a Gaussian. α comes from the last line of the basis set. No additional factors r are needed.

Note: there is not "other r-dependent factor". So this was not considered for the marks.

Question 4: Basics of Density Functional Theory

The formal basis of Density Functional Theory (DFT) is provided by the Hohenberg-Kohn (HK) theorems. The 1th HK theorem is about the electronic ground state density $n(\mathbf{r})$ and the so-called "external potential" $V_{\text{ext}}(\mathbf{r})$. It says that $V_{\text{ext}}(\mathbf{r})$ is unique (besides an additive constant) given $n(\mathbf{r})$.

4a. Explain what is meant with the "external potential" V_{ext}, i.e. what does it represent in a DFT calculation on a molecule or a crystal?

Answer: *It's the potential due to the (bare) atomic nuclei.*

4b. [**This question gives triple points**] Prove the 1th Hohenberg-Kohn theorem. The standard prove shows that a non-unique V_{ext} for a given (unique) density $n(\mathbf{r})$ results in an absurdity. It assumes the ground state to be non-degenerate. You may do the same.

Answer: *The following is from the online lecture notes: Suppose there are 2 different external potentials for the same g.s. density $n(\mathbf{r})$. For the normalized g.s. wave functions:*

$$E = \langle \Psi | H | \Psi \rangle \quad \text{and} \quad E' = \langle \Psi' | H' | \Psi' \rangle$$

Apply the variational principle twice (at "RR", i.e. Rayleigh-Ritz), and convert Hamiltonians by swapping the external potentials:

$$E \overset{\mathrm{RR}}{<} \langle \Psi' | H | \Psi' \rangle = \langle \Psi' | H + \overbrace{V' - V'}^{0} | \Psi' \rangle = \langle \Psi' | H' + V - V' | \Psi' \rangle = E' + \langle \Psi' | V - V' | \Psi' \rangle$$

$$E' \overset{\mathrm{RR}}{<} \langle \Psi | H' | \Psi \rangle = \langle \Psi | H' + \underbrace{V - V}_{0} | \Psi \rangle = \langle \Psi | H + V' - V | \Psi' \rangle = E - \langle \Psi | V - V' | \Psi \rangle$$

We used: $H^{(\prime)} = T + W + V^{(\prime)}$ with T the kinetic energy operator, W the electron-electron repulsion and V and $V^{(\prime)}$ the external potentials. Now add:

$$E + E' < E + E' + \langle \Psi' | V - V' | \Psi' \rangle - \langle \Psi | V - V' | \Psi \rangle$$

The densities $n(\mathbf{r})$ and $n'(\mathbf{r})$ are identical, but the matrix elements depend on the density only, i.e.:

$$\langle \Psi | V | \Psi \rangle = \int n(\mathbf{r}) V(\mathbf{r}) \, d\mathbf{r}$$

But we have assumed the densities to be unique, so the matrix elements of $V - V'$ cancel, i.e.

$$E + E' < E + E'$$

which disqualifies our assumption that V and V' are different. Proof complete.

Question 5: Practical aspects of DFT

This questions deals with several aspects of DFT.

5a. In DFT the energy functional is (in atomic units $m_e = 1$ and $e = 1$):

$$E[n] = \sum_i^{\mathrm{occ}} \langle \psi_i | \frac{p^2}{2m_e} | \psi_i \rangle + \frac{e^2}{2} \iint \frac{n(\mathbf{r})n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}' + \int V_{\mathrm{ext}}(\mathbf{r}) n(\mathbf{r}) \, d\mathbf{r} + E^{\mathrm{XC}}[n]$$

Write down the Kohn-Sham equation. Note that $V^{\mathrm{XC}}(\mathbf{r}) = \dfrac{\delta E^{\mathrm{XC}}[n(\mathbf{r})]}{\delta n(\mathbf{r})}$.

Answer: *The corresponding Kohn-Sham equation are:*

$$\left\{ \frac{p^2}{2m} + e^2 \int \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + V_{\text{ext}}(\mathbf{r}) + V^{\text{XC}}[n] \right\} \phi_i(\mathbf{r}) = \epsilon_i \phi_i(\mathbf{r})$$

5b. In DFT the functional $E_{\text{XC}}[n(\mathbf{r})]$ has to account for several effects. One is exchange. What are the others?

Answer: *Correlation and the difference between "interacting" and "non-interacting" kinetic energy.*

5c. Explain what the acronym "LDA" stands for, and what this actually means.

Answer: *LDA = "local density approximation". For each point in space we calculate a local exchange energy density (which we obtain from the uniform electron gas). The energy in an infinitesimal volume is the energy density times the number of electrons in that volume, i.e.*

$$E_{\text{X}} = \int e_{\text{X}}^{\text{LDA}}[n] \, n(\mathbf{r}) \, d\mathbf{r}$$

5d. Given that the exchange energy density of the uniform electron gas is

$$\frac{E^X}{N} = -\frac{3}{4}e^2 \sqrt[3]{\frac{3}{\pi}} \, n^{1/3} \quad ,$$

write the explicit LDA expression for the exchange energy.

Answer:
$$E_{\text{X}} = \int e_{\text{X}}^{\text{LDA}}[n] \, n(\mathbf{r}) \, d\mathbf{r} = -\frac{3}{4}e^2 \sqrt[3]{\frac{3}{\pi}} \int n(\mathbf{r})^{4/3} \, d\mathbf{r}$$

5e. The LDA (and many density functionals), contrary to Hartree-Fock, is plagued with imperfect "self-interaction" cancellation. Explain what this is, i.e. why it happens.

Answer: *In Hartree-Fock the self-coulomb interaction and the self-exchange cancel exactly. Because LDA uses an approximation for the exchange, the cancellation is not perfect anymore.*

5f. The "LDA" is one of the oldest, but also one of the least accurate DFT functionals. Later so-called GGAs and hybrid functionals have been developed. Briefly explain what are GGAs and hybrid functionals.

Answer: *GGA = "generalized gradient expansion". These are semi-local functionals that try to incorporate the information on the gradient of the density, i.e. better account for charge densities that are not slowly varying. Hybrid functionals combine DFT exchange with HF exchange.*

5g. The "LDA", GGAs and hybrid functionals all are unsuitable for calculations on molecular complexes that are held together by dispersion interactions (although the LDA sometimes gives good results, for bad reasons). Recently, so-called "vdW-DF" functionals have been developed, that do a reasonable job in describing dispersion. Briefly mention the key improvement that makes that vdW-DF functionals work for dispersion.

Answer: *The functional is non-local, i.e. it simultaneously uses information on two densities situated a two different sites. This is needed as the dispersion interaction depends on polarizabilities of both interacting molecules.*

5h. Suppose you want to study a molecular crystal that is kept to together by inter-molecular hydrogen bonds. Do you use LDA or GGA? Why?

Answer: *LDA has trouble with localized charges of the hydrogen bond. GGAs tend to perform quite well.*

5i. Suppose are studying a semi-conducting crystal, like, e.g., zincblende GaAs. You want to study the optical properties, so you need to attain realistic values for excitation across the band gap from the valence to the conduction band. Would you use PBE or PBE0?

Answer: *(semi)local functionals severely underestimate the band gap. Better use a hybrid, i.e. PBE0.*

5j. The electron-electron interaction energy can be written as:[1]

$$E_{\text{e}-\text{e}} = \frac{e^2}{2} \iint \frac{n(\mathbf{r})n(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} \, d\mathbf{r} \, d\mathbf{r}' + \frac{e^2}{2} \iint \frac{n(\mathbf{r})n(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} \left\{ g(\mathbf{r},\mathbf{r}') - 1 \right\} \, d\mathbf{r} \, d\mathbf{r}'.$$

Here $g(\mathbf{r},\mathbf{r}')$ is the electron-electron pair correlation function. Give an expression for the XC-hole and identify it in the above expression. LDA (and many post-LDA functionals) typically yield a very bad description of $g(\mathbf{r},\mathbf{r}')$. However, the energies calculated with the LDA are often reasonably accurate. This is related to an important observation on the behaviour of the LDA XC-hole. Briefly summarize that observation. Also use the above formula to explain why that observation makes that LDA energies are reasonable nevertheless.

[1]In DFT this is not quite true, but that subtlety is now neglected.

Answer: *The exchange correlation hole is $n(\mathbf{r}')\{g(\mathbf{r}, \mathbf{r}') - 1\}$. The formule above says that the exchange & correlation energy depend only on the spherical average of the XC hole. Whereas this actual XC hole is often entirely wrong in LDA, the spherical average has been observed to be pretty accurate.*