Ground-state DFT, an unconventional overview



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Many-Body Schrödinger Equation

$$\hat{H}\Psi(r_1, r_2, ..., r_N) = E\Psi(r_1, r_2, ..., r_N)$$

$$\hat{H} = \hat{T} + \hat{V} + \hat{W}$$

$$\hat{T} = \sum_{j=1}^{N} - \frac{\hbar^2 \nabla_j^2}{2m}$$

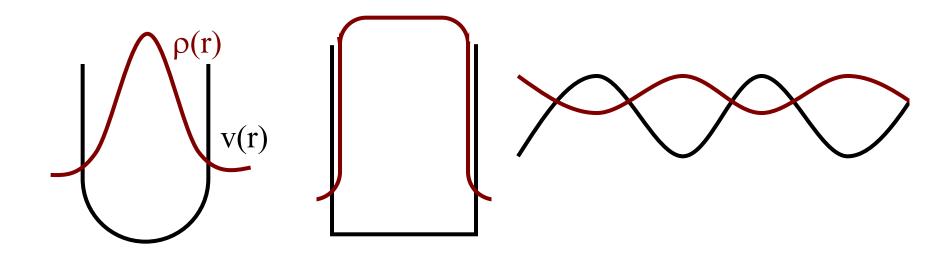
$$\hat{\mathbf{V}} = \sum_{j=1}^{N} \mathbf{v}(\mathbf{r}_{j})$$

$$\hat{W} = \frac{1}{2} \sum_{\substack{j,k=1 \ j \neq k}}^{N} \frac{e^{2}}{\left|r_{j} - r_{k}\right|}$$

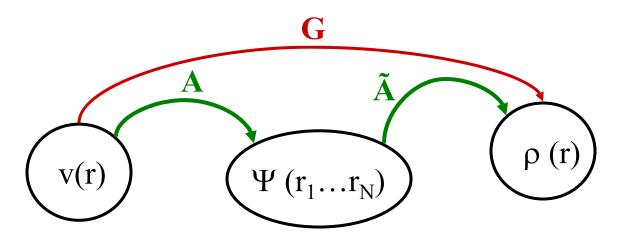
ESSENCE OF DENSITY-FUNTIONAL THEORY

- Every observable quantity of a quantum system can be calculated from the ground-state density of the system ALONE
- The ground-state density of particles interacting with each other can be calculated as the ground-state density of an auxiliary system of noninteracting particles

compare ground-state densities $\rho(\mathbf{r})$ resulting from different external potentials $v(\mathbf{r})$.



QUESTION: Are the ground-state densities coming from different potentials always different?



single-particle potentials having nondegenerate ground state

ground-state wavefunctions ground-state densities

Hohenberg-Kohn-Theorem (1964)

G: v(r) $\rightarrow \rho$ (r) is invertible

Proof

Step 1: Invertibility of map A

Solve many-body Schrödinger equation for the external potential:

$$\hat{\mathbf{V}} = \frac{\left(\mathbf{E} - \hat{\mathbf{T}} - \hat{\mathbf{W}}_{ee}\right)\Psi}{\Psi}$$
$$\sum_{j=1}^{N} \mathbf{v}(\mathbf{r}_{j}) = -\frac{\hat{\mathbf{T}}\Psi}{\Psi} - W_{ee}(\vec{r}_{1}...\vec{r}_{N}) + \text{constant}$$

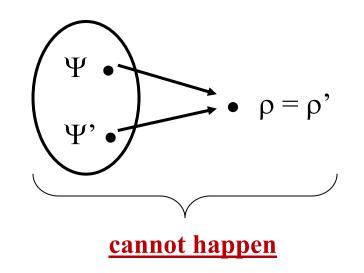
This is manifestly the inverse map: A given Ψ uniquely yields the external potential.

Step 2: Invertibility of map Ã

Given: two (nondegenerate) ground states Ψ , Ψ ' satisfying

$$\hat{H}\Psi = E\Psi \qquad \text{with} \qquad \hat{H} = \hat{T} + \hat{W} + \hat{V}$$
$$\hat{H}'\Psi' = E'\Psi' \qquad \hat{H}' = \hat{T} + \hat{W} + \hat{V}'$$

to be shown: $\Psi \neq \Psi' \implies \rho \neq \rho'$



Use Rayleigh-Ritz principle:

★ E = ⟨Ψ|Ĥ|Ψ⟩ < ⟨Ψ'|Ĥ|Ψ'⟩ = ⟨Ψ'|H'+V - V'|Ψ'⟩
$$= E' + \int d^{3}r\rho'(r)[v(r) - v'(r)]$$
★ E' = ⟨Ψ'|Ĥ'|Ψ'⟩ < ⟨Ψ|Ĥ'|Ψ⟩
$$= E + \int d^{3}r\rho(r)[v'(r) - v(r)]$$

Reductio ad absurdum:

Assumption $\rho = \rho'$. Add \bigstar and $\bigstar \Rightarrow E + E' < E + E'$

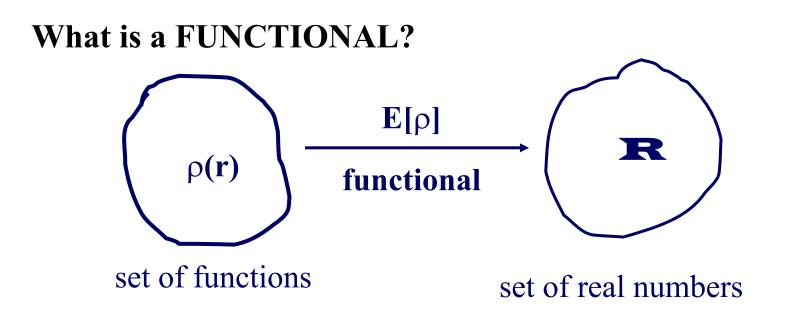
Consequence

Every quantum mechanical observable is completely determined by the ground state density.

Proof:
$$\rho \xrightarrow{G^{-1}} v[\rho] \xrightarrow{\text{solve S.E.}} \Phi_i[\rho]$$

Hermitian operator \hat{B} $B_i[\rho] = \langle \Phi_i[\rho] |\hat{B}| \Phi_i[\rho] \rangle$

e.g. excitation spectrum: $E_i[\rho]$



Generalization of terminology:

 $v_{\vec{r}}[\rho] = v[\rho](\vec{r})$ functional depending parametrically on \vec{r}

 $\Psi_{\vec{r}_1...\vec{r}_N}[\rho] = \Psi[\rho](\vec{r}_1...\vec{r}_N)$ depending parametrically on $(\vec{r}_1...\vec{r}_N)$

Explicit construction of the HK map $v_s \leftrightarrow \rho$ for <u>non</u>-interacting particles

$$(-\frac{h^2 \nabla^2}{2m} + v_s(r)) \quad \varphi_i = \epsilon_i \varphi_i \qquad \qquad \sum_i \varphi_i^* \cdot \frac{\sum_i \varphi_i^*}{p_i^*} (-\frac{h^2 \nabla^2}{2m}) \varphi_i + v_s(r) \rho(r) = \sum_{i=1}^N \epsilon_i |\varphi_i(r)|^2$$
$$\Rightarrow v_s(r) = \frac{1}{\rho(r)} \cdot \sum_{i=1}^N (\epsilon_i |\varphi_i(r)|^2 - \varphi_i^* (-\frac{h^2 \nabla^2}{2m}) \varphi_i)$$

Iterative procedure

 $\rho_0(r)$ given (e.g. from experiment) Start with an initial guess for $v_s(r)$ (e.g. GGA potential)

solve
$$\left(-\frac{\hbar^2 \nabla^2}{2m} + v_s(r)\right) \phi_i = \epsilon_i \phi_i$$

 $v_s^{\text{new}}(r) = \frac{1}{\rho_0(r)} \cdot \sum_{i=1}^{N} \epsilon_i |\phi_i(r)|^2 - \phi_i^* \left(-\frac{\hbar^2 \nabla^2}{2m}\right) \phi_i^2$

solve SE with v_s^{new} and iterate, keeping $\rho_0(r)$ fixed

QUESTION:

How to calculate ground state density $\rho_o(\vec{r})$ of a <u>given</u> system (characterized by the external potential $V_o = \sum v_o(\vec{r})$) without recourse to the Schrödinger Equation?

Theorem:

There exists a density functional $E_{HK}[\rho]$ with properties *i*) $E_{HK}[\rho] > E_o$ for $\rho \neq \rho_o$ *ii*) $E_{HK}[\rho_o] = E_o$ where E_o = exact ground state energy of the system Thus, Euler equation $\frac{\delta}{\delta\rho(\vec{r})}E_{HK}[\rho] = 0$ yields exact ground state density ρ_o .

proof:

formal construction of $E_{HK}[\rho]$:

for arbitrary ground state density $\rho(\vec{r}) \xrightarrow{\tilde{A}^{-1}} \Psi[\rho]$

define:
$$E_{HK}[\rho] \equiv \left\langle \Psi[\rho] \middle| \hat{T} + \hat{W} + \hat{V}_{o} \middle| \Psi[\rho] \right\rangle$$

>
$$\mathbf{E}_{\mathbf{o}}$$
 for $\rho \neq \rho_{\mathbf{o}}$
= $\mathbf{E}_{\mathbf{o}}$ for $\rho = \rho_{\mathbf{o}}$ q.e.d.

$$\mathbf{E}_{\mathbf{HK}}[\rho] = \int \mathbf{d}^{3}\mathbf{r} \ \rho(\mathbf{r}) \ \mathbf{v}_{0}(\mathbf{r}) + \left\langle \Psi[\rho] \middle| \hat{\mathbf{T}} + \hat{W} \middle| \Psi[\rho] \right\rangle$$
$$\mathbf{F}[\rho] \ \mathbf{is} \ \mathbf{universal}$$

HOHENBERG-KOHN THEOREM

1.
$$v(r) \leftarrow 1 \longrightarrow \rho(r)$$

one-to-one correspondence between external potentials v(r) and ground-state densities $\rho(r)$

2. <u>Variational principle</u>

Given a particular system characterized by the external potential $v_0(\mathbf{r})$. Then the solution of the Euler-Lagrange equation

$$\frac{\delta}{\delta\rho(\mathbf{r})} \mathbf{E}_{\mathrm{HK}}[\rho] = 0$$

yields the exact ground-state energy E_0 and ground-state density $\rho_0(r)$ of this system

3.
$$E_{HK}[\rho] = F[\rho] + \int \rho(r) v_0(r) d^3r$$

F[ρ] is <u>UNIVERSAL</u>. **In practice, F**[ρ] **needs to be approximated**

Can one approximate the functional F[ρ] in a systematic (controlled) way?

YES!

Expansion of $F[\rho]$ in powers of e^2

 $F[\rho] = F^{(0)}[\rho] + e^2 F^{(1)}[\rho] + e^4 F^{(2)}[\rho] + \cdots$

where: $F^{(0)}[\rho] = T_s[\rho]$ (kinetic energy of <u>non</u>-interacting particles)

$$e^{2}F^{(i)}[\rho] = \frac{e^{2}}{2} \iint \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} d\mathbf{r}^{3}d^{3}\mathbf{r}' + E_{x}[\rho] \quad (\text{Hartree} + \text{exchange energies})$$
$$\sum_{i=2}^{\infty} (e^{2})^{i}F^{(i)}[\rho] = E_{c}[\rho] \quad (\text{correlation energy})$$

$$\Rightarrow F[\rho] = T_s[\rho] + \frac{e^2}{2} \iint \frac{\rho(r)\rho(r')}{|r-r'|} d^3r d^3r' + E_s[\rho] + E_c[\rho]$$

Systematic approach to construct E_{xc} using KS-MBPT

$$H_{KS} \longrightarrow$$
 unperturbed system

H = H_{KS} +
$$\lambda$$
 H₁,
where H₁ = W_{ee} - $\int d^3r \rho(r)(v_H(r) + v_{xc}(r))$

$$E_{x}^{exact}[\rho] = \underbrace{\left\{ \phi_{k\sigma}^{*}(\mathbf{r})\phi_{k\sigma}(\mathbf{r})\phi_{j\sigma}^{*}(\mathbf{r})\phi_{j\sigma}(\mathbf{r}')\right\}}_{\sigma=\uparrow\downarrow j,k} \frac{\phi_{k\sigma}^{*}(\mathbf{r}')\phi_{k\sigma}(\mathbf{r})\phi_{j\sigma}^{*}(\mathbf{r})\phi_{j\sigma}(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} d^{3}\mathbf{r}d^{3}\mathbf{r}'$$

 $E_c[\rho] = sum of all higher-order diagrams in terms of the Green's function$

$$G_{s\sigma}(\mathbf{r},\mathbf{r'}) = \sum_{k} \frac{\phi_{k\sigma}(\mathbf{r})\phi_{k\sigma}^{*}(\mathbf{r'})}{\omega - \varepsilon_{k\sigma}} \implies \text{The exact } E_{xc}[\rho] \text{ is an orbital functional}$$

TOWARDS THE EXACT FUNCTIONAL
$$F[\rho] = T_{s}[\rho] + \frac{1}{2} \int d^{3}r \int d^{3}r' \frac{\rho(r)\rho(r')}{|r-r'|} + E_{x}[\rho] + E_{c}[\rho]$$

<u>1st generation of DFT</u>: Use approximate functionals (LDA/GGA) for T_s, E_x and E_c e.g. $T_{s}[\rho] = \int d^{3}r \left(a\rho(r)^{5/3} + b\frac{(\nabla\rho)^{2}}{\rho} + \cdots \right)$

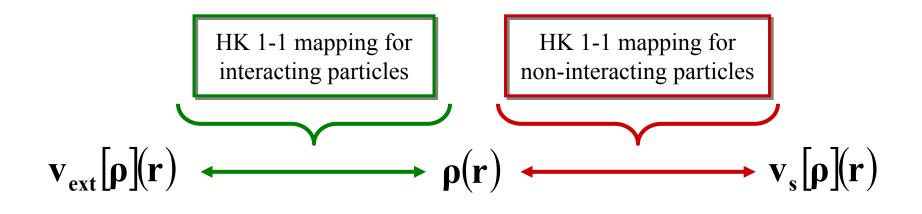
 \Rightarrow Thomas-Fermi-type equation has to be solved

<u>2nd generation of DFT</u>: Use <u>exact</u> functional $T_s^{exact}[\rho]$ and LDA/GGA for E_x and E_c $T_s^{exact}[\rho] = \sum_i \int d^3 r \phi_j^*[\rho](r) \left(-\frac{\nabla^2}{2}\right) \phi_j[\rho](r)$

 \Rightarrow KS equations have to be solved

<u>3rd generation of DFT</u>: Use $T_s^{exact}[\rho]$, and an orbital functional $E_{xc}[\phi_1, \phi_2, ...]$ e.g. $E_x^{exact}[\rho] = -\sum_{\sigma=\uparrow\downarrow} \sum_{j,k}^{N\sigma} \int \frac{\phi_{k\sigma}^*[\rho](r')\phi_{k\sigma}(r)\phi_{j\sigma}^*(r)\phi_{j\sigma}(r')}{|r-r'|} d^3r d^3r'$

 \Rightarrow KS equations have to be solved self-consistently with OEP integral equation



Kohn-Sham Theorem

Let $\rho_0(r)$ be the ground-state density of <u>interacting</u> electrons moving in the external potential $v_0(r)$. Then there exists a unique local potential $v_{s,0}(r)$ such that non-interacting particles exposed to $v_{s,0}(r)$ have the ground-state density $\rho_0(r)$, i.e.

$$\left(-\frac{\nabla^2}{2} + \mathbf{v}_{s,o}(\mathbf{r})\right) \phi_j(\mathbf{r}) = \in_j \phi_j(\mathbf{r}) , \qquad \rho_o(\mathbf{r}) = \sum_{\substack{j \text{ (with lowest } \in_i)}}^N \left|\phi_j(\mathbf{r})\right|^2$$

<u>**proof</u>:** $\mathbf{V}_{s,o}(\mathbf{r}) = \mathbf{V}_{s}[\boldsymbol{\rho}_{o}](\mathbf{r})$ </u>

Uniqueness follows from HK 1-1 mapping Existence follows from V-representability theorem By construction, the HK mapping is well-defined for all those functions $\rho(r)$ that are ground-state densities of some potential (so called V-representable functions $\rho(r)$).

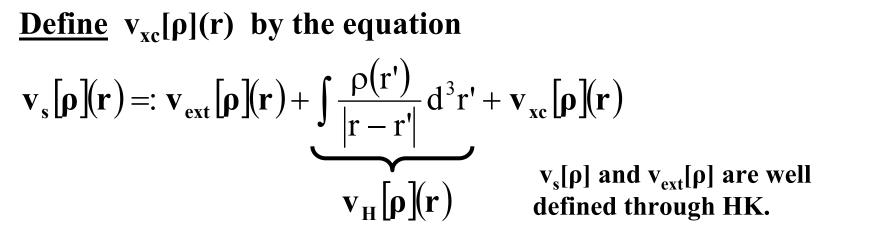
<u>QUESTION</u>: Are all "reasonable" functions $\rho(r)$ V-representable?

V-representability theorem (Chayes, Chayes, Ruskai, J Stat. Phys. <u>38</u>, 497 (1985))

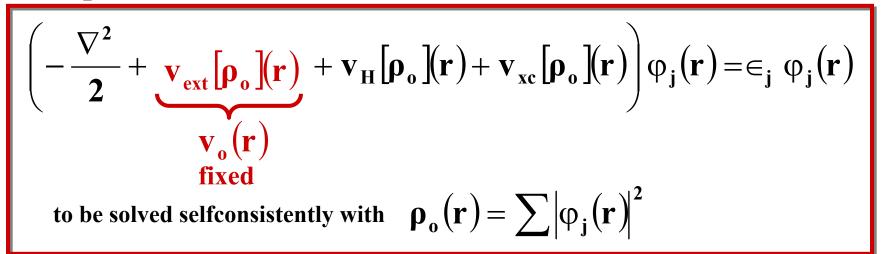
On a lattice (finite or infinite), any normalizable positive function $\rho(r)$, that is compatible with the Pauli principle, is (both interacting and non-interacting) <u>ensemble</u>-V-representable.

In other words: For any given $\rho(r)$ (normalizable, positive, compatible with Pauli principle) there exists a potential, $v_{ext}[\rho](r)$, yielding $\rho(r)$ as interacting ground-state density, and there exists another potential, $v_s[\rho](r)$, yielding $\rho(r)$ as non-interacting ground-state density.

In the worst case, the potential has degenerate ground states such that the given $\rho(r)$ is representable as a linear combination of the degenerate ground-state densities (<u>ensemble</u>-V-representable).



KS equations



<u>Note</u>: The KS equations do <u>not</u> follow from the variational principle. They follow from the HK 1-1 mapping and the V-representability theorem.

Time-dependent density-functional formalism (first: electrons only, nuclei are fixed or treated classically)

(E. Runge, E.K.U.G., PRL 52, 997 (1984))

Basic 1-1 correspondence:

The time-dependent density determines uniquely $v(rt) \xleftarrow{1-1}{\leftarrow} \rho(rt)$ the time-dependent external potential and hence all physical observables for fixed initial state.

KS theorem:

The time-dependent density of the <u>interacting</u> system of interest can be calculated as density 12

$$\varphi(\mathbf{rt}) = \sum_{j=1}^{N} \left| \varphi_{j}(\mathbf{rt}) \right|^{2}$$

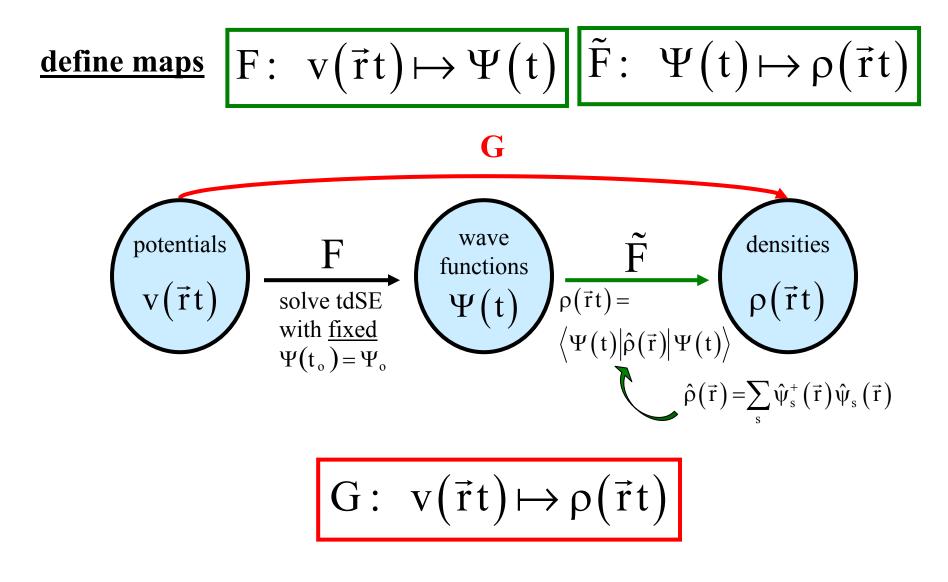
of an auxiliary non-interacting (KS) system

$$i\hbar \frac{\partial}{\partial t} \varphi_{j}(rt) = \left(-\frac{\hbar^{2}\nabla^{2}}{2m} + v_{s}[\rho](rt)\right) \varphi_{j}(rt)$$

with the local potential

$$\mathbf{v}_{s}\left[\rho(\mathbf{r}'\mathbf{t}')\right](\mathbf{rt}) = \mathbf{v}(\mathbf{rt}) + \int d^{3}\mathbf{r}' \frac{\rho(\mathbf{r}'\mathbf{t})}{|\mathbf{r}-\mathbf{r}'|} + \mathbf{v}_{xc}\left[\rho(\mathbf{r}'\mathbf{t}')\right](\mathbf{rt})$$

Proof of basic 1-1 correspondence between $v(\vec{r}t)$ **and** $\rho(\vec{r}t)$



The TDKS equations follow (like in the static case) from:

- i. the basic 1-1 mapping and
- ii. the TD V-representability theorem (R. van Leeuwen, PRL <u>82</u>, 3863 (1999)).

A TDDFT variational principle exists as well, but this is more tricky (R. van Leeuwen, PRL <u>80</u>, 1280 (1998)).

<u>complete</u> 1 - 1 correspondence <u>not</u> to be expected!

$$i\frac{\partial}{\partial t}\Psi(t) = \left(\hat{T} + \hat{V}(t) + \hat{W}\right)\Psi(t) \qquad \Psi(t_{o}) = \Psi_{o}$$

$$i\frac{\partial}{\partial t}\Psi'(t) = \left(\hat{T} + \hat{V}'(t) + \hat{W}\right)\Psi'(t) \qquad \Psi'(t_{o}) = \Psi_{o}$$

$$\hat{V}'(t) = \hat{V}(t) + C(t) \iff \Psi'(t) = e^{-i\alpha(t)}\Psi(t)$$

$$\uparrow \qquad \text{``no operator''} \qquad \text{with} \qquad \dot{\alpha}(t) = C(t)$$

$$\Rightarrow \underline{\rho'(\vec{r}t)} = \rho(\vec{r}t)$$
i.e. $\left\{\hat{V}(t) + C(t)\right\} \rightarrow \rho(\vec{r}t)$

If G invertible up to within time-dependent function C(t)

 $\Rightarrow \Psi = FG^{-1}\rho$ fixed up to within time-dependent phase

i.e.
$$\Psi = e^{-i\alpha(t)}\Psi[\rho]$$

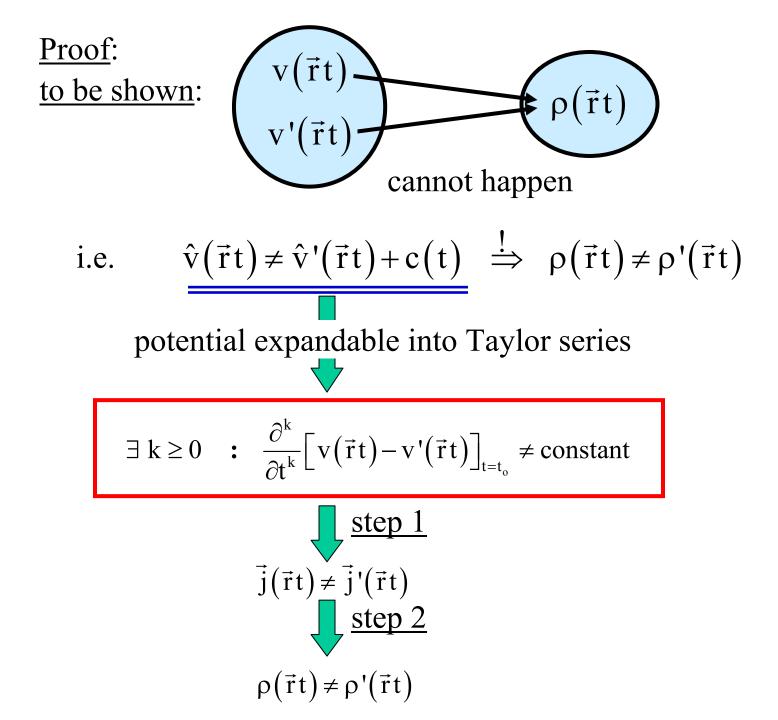
For any observable \hat{O} $\langle \Psi | \hat{O} | \Psi \rangle = \langle \Psi [\rho] | \hat{O} | \Psi [\rho] \rangle = O[\rho]$ is functional of the density <u>THEOREM</u> (time-dependent analogue of Hohenberg-Kohn theorem)

The map

$$G: v(\vec{r}t) \mapsto \rho(\vec{r}t)$$

defined for all single-particle potentials $v(\vec{r}t)$ which can be expanded into a Taylor series with respect to the time coordinate around t_o

is invertible up to within an additive merely time-dependent function in the potential.



Step 1: Current densities

$$\vec{j}(\vec{r}t) = \left\langle \Psi(t) \middle| \hat{\vec{j}}(\vec{r}) \middle| \Psi(t) \right\rangle$$

with $\hat{\vec{j}}(\vec{r}) = -\frac{1}{2i} \sum_{s} \left(\left[\vec{\nabla} \hat{\psi}_{s}^{\dagger}(\vec{r}) \right] \hat{\psi}_{s}(\vec{r}) - \hat{\psi}_{s}^{\dagger}(\vec{r}) \left[\vec{\nabla} \hat{\psi}_{s}(\vec{r}) \right] \right)$

Use equation of motion:

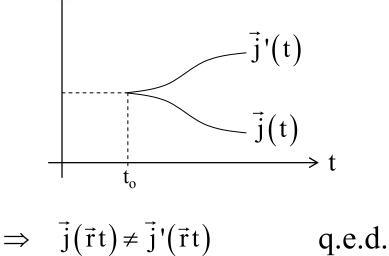
$$\begin{split} \mathbf{i} \frac{\partial}{\partial t} \left\langle \Psi(t) \left| \hat{O}(t) \right| \Psi(t) \right\rangle &= \left\langle \Psi(t) \left| \mathbf{i} \frac{\partial}{\partial t} \hat{O}(t) + \left[\hat{O}(t), \hat{H}(t) \right] \right| \Psi(t) \right\rangle \\ \Rightarrow \quad \mathbf{i} \frac{\partial}{\partial t} \mathbf{j} (\mathbf{r}t) &= \left\langle \Psi(t) \left[\left[\mathbf{j} (\mathbf{r}), \hat{H}(t) \right] \right] \Psi(t) \right\rangle \\ \quad \mathbf{i} \frac{\partial}{\partial t} \mathbf{j} ' (\mathbf{r}t) &= \left\langle \Psi'(t) \left[\left[\mathbf{j} (\mathbf{r}), \hat{H}'(t) \right] \right] \Psi'(t) \right\rangle \end{split}$$

note:

$$\vec{j}(\vec{r}\underline{t_{o}}) = \vec{j}'(\vec{r}\underline{t_{o}}) = \left\langle \Psi_{o} \middle| \hat{\vec{j}}(\vec{r}) \middle| \Psi_{o} \right\rangle \equiv \vec{j}_{o}(\vec{r})$$
$$\rho(\vec{r}\underline{t_{o}}) = \rho'(\vec{r}\underline{t_{o}}) = \left\langle \Psi_{o} \middle| \hat{\rho}(\vec{r}) \middle| \Psi_{o} \right\rangle \equiv \rho_{o}(\vec{r})$$

$$\begin{split} i\frac{\partial}{\partial t}\left[\vec{j}(\vec{r}t) - \vec{j}'(\vec{r}t)\right]_{t=t_{o}} &= \left\langle \Psi_{o} \left[\left[\hat{\vec{j}}(\vec{r}), \hat{H}(t_{o}) - \hat{H}'(t_{o})\right]\right] \Psi_{o} \right\rangle \\ &= \left\langle \Psi_{o} \left[\left[\hat{\vec{j}}(\vec{r}), V(t_{o}) - V'(t_{o})\right]\right] \Psi_{o} \right\rangle \\ &= i\rho_{o}\left(\vec{r}\right) \vec{\nabla} \left(v(\vec{r}t_{o}) - v'(\vec{r}t_{o})\right) \end{split}$$

if $\frac{\partial^{k}}{\partial t^{k}} \left[v(\vec{r}t) - v'(\vec{r}t) \right]_{t=t_{o}} \neq \text{constant}$ holds for k=0 then $i \frac{\partial}{\partial t} \left[\vec{j}(\vec{r}t) - \vec{j}'(\vec{r}t) \right]_{t=t_{o}} \neq 0$



 $\Rightarrow \quad \underline{\vec{j}(\vec{r}t)} \neq \vec{j}'(\vec{r}t) \qquad q.e.d.$

Step 2: densities

Use continuity equation:

$$\frac{\partial}{\partial t} \left[\rho(\vec{r}t) - \rho'(\vec{r}t) \right] = -\operatorname{div} \left[\vec{j}(\vec{r}t) - \vec{j}'(\vec{r}t) \right]$$

$$\Rightarrow \frac{\partial^{k+2}}{\partial t^{k+2}} \Big[\rho(\vec{r}t) - \rho'(\vec{r}t) \Big]_{t=t_o} = -\operatorname{div} \frac{\partial^{k+1}}{\partial t^{k+1}} \Big[\vec{j}(\vec{r}t) - \vec{j}'(\vec{r}t) \Big]_{t=t_o}$$
$$= -\operatorname{div} \rho_o(\vec{r}) \vec{\nabla} \left(\frac{\partial^k}{\partial t^k} \Big[v(\vec{r}t) - v'(\vec{r}t) \Big]_{t=t_o} \right)$$

≠ constant

remains to be shown:

div
$$\left[\rho_{o}\left(\vec{r}\right)\vec{\nabla}u\left(\vec{r}\right)\right] \neq 0$$
 if $u\left(\vec{r}\right)\neq \text{constant}$

<u>Proof</u>: by reductio ad absurdum

Assume:
$$\operatorname{div}\left[\rho_{o}\left(\vec{r}\right)\vec{\nabla}u\left(\vec{r}\right)\right] = 0$$
 with $u\left(\vec{r}\right) \neq \text{constant}$
$$\int dr^{3}\rho_{o}\left(\vec{r}\right) \left(\vec{\nabla}u\left(\vec{r}\right)\right)^{2}$$
$$= -\int dr^{3}u\left(\vec{r}\right) \operatorname{div}\left[\rho_{o}\left(\vec{r}\right)\vec{\nabla}u\left(\vec{r}\right)\right] + \oint \rho_{o}\left(\vec{r}\right)u\left(\vec{r}\right)\vec{\nabla}u\left(\vec{r}\right) \cdot d\vec{S} = 0$$

$$\Rightarrow \rho_{o}(\vec{r})(\vec{\nabla}u(\vec{r}))^{2} \equiv 0 \longrightarrow \text{contradiction to} u(\vec{r}) \neq \text{constant}$$

