A mathematical introduction to Density Functional Theory and Kohn-Sham models

Eric CANCES

Ecole des Ponts and INRIA Paris, France

Banff, January 28, 2019

Outline

- 1. Hohenberg-Kohn theorem
- 2. Constrained search
- 3. Kohn-Sham models
- 4. Homogeneous electron gas

Some references

- Hohenberg and Kohn, Inhomogeneous electron gas, Phys. Rev. 1964
- Kohn and Sham, Self-consistent equations including exchange and correlation effects, Phys. Rev. 1965
- Lieb, Density Functional for Coulomb systems, Int. J. Quant. Chem. 1983
- Dreizler and Gross, Density Functional Theory, Springer-Verlag, 1990

Density associated with a normalized wavefunction of $\mathcal{H}_N = \bigwedge^N L^2(\mathbb{R}^3, \mathbb{C})$

$$\rho_{\Psi}(\mathbf{r}) = N \int_{\mathbb{R}^{3(N-1)}} |\Psi(\mathbf{r}, \mathbf{r}_2, \cdots, \mathbf{r}_N)|^2 d\mathbf{r}_2 \cdots d\mathbf{r}_N$$

Density associated with a normalized wavefunction of $\mathcal{H}_N = \bigwedge^N L^2(\mathbb{R}^3, \mathbb{C})$

$$\rho_{\Psi}(\mathbf{r}) = N \int_{\mathbb{R}^{3(N-1)}} |\Psi(\mathbf{r}, \mathbf{r}_2, \cdots, \mathbf{r}_N)|^2 d\mathbf{r}_2 \cdots d\mathbf{r}_N$$

Definition. Let $\mathcal{V} \subset L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$ be a class of local potentials and

$$H_N(v) := -\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i} + \sum_{i=1}^N v(\mathbf{r}_i) + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|}$$

We will say that the Hohenberg-Kohn theorem is satisfied on \mathcal{V} if two potentials v_1 and v_2 in \mathcal{V} giving rise to the same ground-state density ρ only differ by an additive constant

Density associated with a normalized wavefunction of $\mathcal{H}_N = \bigwedge^N L^2(\mathbb{R}^3, \mathbb{C})$

$$\rho_{\Psi}(\mathbf{r}) = N \int_{\mathbb{R}^{3(N-1)}} |\Psi(\mathbf{r}, \mathbf{r}_2, \cdots, \mathbf{r}_N)|^2 d\mathbf{r}_2 \cdots d\mathbf{r}_N$$

Definition. Let $\mathcal{V} \subset L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$ be a class of local potentials and

$$H_N(v) := -\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i} + \sum_{i=1}^N v(\mathbf{r}_i) + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|}$$

We will say that the Hohenberg-Kohn theorem is satisfied on \mathcal{V} if two potentials v_1 and v_2 in \mathcal{V} giving rise to the same ground-state density ρ only differ by an additive constant

i.e.

if for any v_1 and v_2 in \mathcal{V} for which $H_N(v_1)$ and $H_N(v_2)$ admit ground state wavefunctions Ψ_1 and Ψ_2 respectively such that

$$\rho_{\Psi_1} = \rho_{\Psi_2},$$

then $v_2 - v_1$ is constant almost everywhere

Bright Wilson's argument for molecular potentials (reported by Löwdin)

Theorem. The Hohenberg-Kohn theorem is satisfied on

$$\mathcal{V} = \left\{ v(\mathbf{r}) = -\sum_{k=1}^{M} \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|}, \ (z_k, \mathbf{R}_k)_{1 \le k \le M} \in (\mathbb{N}^* \times \mathbb{R}^3)^M, \ \mathbf{R}_k \neq \mathbf{R}_l, \ \text{if} \ k \neq l \right\}$$

Bright Wilson's argument for molecular potentials (reported by Löwdin)

Theorem. The Hohenberg-Kohn theorem is satisfied on

$$\mathcal{V} = \left\{ v(\mathbf{r}) = -\sum_{k=1}^{M} \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|}, \ (z_k, \mathbf{R}_k)_{1 \le k \le M} \in (\mathbb{N}^* \times \mathbb{R}^3)^M, \ \mathbf{R}_k \neq \mathbf{R}_l, \ \text{if} \ k \ne l \right\}$$

Proof. Let $v \in V$ possessing a normalized ground state wavefunction Ψ . Let $\rho = \rho_{\Psi}$. The function ρ is smooth (actually analytic¹) away from the nuclei, and at each nucleus of charge z_k , it holds

$$\frac{d[\rho]_{\mathbf{R}_k}}{dr}(0) = -2z_k[\rho]_{\mathbf{R}_k}(0), \qquad \text{(Kato's cusp conditions)}$$

where

$$[\rho]_{\mathbf{R}_k}(r) = \frac{1}{4\pi r^2} \int_{S(\mathbf{R}_k, r)} \rho$$

is the average of ρ over the sphere $S(\mathbf{R}_k, r)$ of center \mathbf{R}_k of radius r. Therefore, there is a unique $v \in \mathcal{V}$ with density ρ .

 $^{1} \longrightarrow$ see Thomas Ostergaard Sorensen's talk

Extension to more general potentials

Denoting by $E_0(v)$ the ground-state energy of $H_N(v)$, we have

$$E_0(v_1) = \langle \Psi_1 | H_N(v_1) | \Psi_1 \rangle = \langle \Psi_1 | H_N(v_2) | \Psi_1 \rangle + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v$$

Extension to more general potentials

Denoting by $E_0(v)$ the ground-state energy of $H_N(v)$, we have

$$E_0(v_1) = \langle \Psi_1 | H_N(v_1) | \Psi_1 \rangle = \langle \Psi_1 | H_N(v_2) | \Psi_1 \rangle + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v$$

By symmetry, we also have

$$E_0(v_2) \ge E_0(v_1) + \int_{\mathbb{R}^3} \rho(v_2 - v_1)$$

Extension to more general potentials

Denoting by $E_0(v)$ the ground-state energy of $H_N(v)$, we have

$$E_0(v_1) = \langle \Psi_1 | H_N(v_1) | \Psi_1 \rangle = \langle \Psi_1 | H_N(v_2) | \Psi_1 \rangle + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v$$

By symmetry, we also have

$$E_0(v_2) \ge E_0(v_1) + \int_{\mathbb{R}^3} \rho(v_2 - v_1)$$

Therefore,

$$E_0(v_1) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_1)$$

Extension to more general potentials

Denoting by $E_0(v)$ the ground-state energy of $H_N(v)$, we have

$$E_0(v_1) = \langle \Psi_1 | H_N(v_1) | \Psi_1 \rangle = \langle \Psi_1 | H_N(v_2) | \Psi_1 \rangle + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{$$

By symmetry, we also have

$$E_0(v_2) \ge E_0(v_1) + \int_{\mathbb{R}^3} \rho(v_2 - v_1)$$

Therefore,

$$E_0(v_1) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_1)$$

Hence, the above inequalities are in fact equalities, which implies that Ψ_2 is a ground state of $H_N(v_1)$:

 $H_N(v_1)\Psi_2 = E_0(v_1)\Psi_2$ and $H_N(v_2)\Psi_2 = E_0(v_2)\Psi_2$

Extension to more general potentials

Denoting by $E_0(v)$ **the ground-state energy of** $H_N(v)$ **, we have**

$$E_0(v_1) = \langle \Psi_1 | H_N(v_1) | \Psi_1 \rangle = \langle \Psi_1 | H_N(v_2) | \Psi_1 \rangle + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) = E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) + \int_{\mathbb{R}^3} \rho(v$$

By symmetry, we also have

$$E_0(v_2) \ge E_0(v_1) + \int_{\mathbb{R}^3} \rho(v_2 - v_1)$$

Therefore,

$$E_0(v_1) \ge E_0(v_2) + \int_{\mathbb{R}^3} \rho(v_1 - v_2) \ge E_0(v_1)$$

Hence, the above inequalities are in fact equalities, which implies that Ψ_2 is a ground state of $H_N(v_1)$:

$$H_N(v_1)\Psi_2 = E_0(v_1)\Psi_2$$
 and $H_N(v_2)\Psi_2 = E_0(v_2)\Psi_2$

This implies,

$$\left(\sum_{i=1}^{N} (v_2 - v_1)(\mathbf{r}_i) + E_0(v_1) - E_0(v_2)\right) \Psi_2(\mathbf{r}_1, \cdots, \mathbf{r}_N) = 0 \quad \text{almost everywhere in } \mathbb{R}^{3N}$$

In order to infer from

$$\left(\sum_{i=1}^{N} (v_2 - v_1)(\mathbf{r}_i) + E_0(v_1) - E_0(v_2)\right) \Psi_2(\mathbf{r}_1, \cdots, \mathbf{r}_N) = 0 \quad \text{almost everywhere in } \mathbb{R}^{3N}$$

that

$$\sum_{i=1}^{N} (v_2 - v_1)(\mathbf{r}_i) + E_0(v_1) - E_0(v_2) = 0 \quad \text{almost everywhere in } \mathbb{R}^{3N},$$

from which we easily conclude that

$$(v_2 - v_1)(\mathbf{r}) = \frac{E_0(v_2) - E_0(v_1)}{N}$$
 almost everywhere in \mathbb{R}^3 ,

we need a unique continuation argument of the form

 $(H_N(v)\Psi = E\Psi \text{ and } \Psi = 0 \text{ on a set of positive measure}) \Rightarrow (\Psi = 0 \text{ a.e. in } \mathbb{R}^{3N})$ \longrightarrow see Louis Garrigue's talk

In order to infer from

$$\left(\sum_{i=1}^{N} (v_2 - v_1)(\mathbf{r}_i) + E_0(v_1) - E_0(v_2)\right) \Psi_2(\mathbf{r}_1, \cdots, \mathbf{r}_N) = 0 \quad \text{almost everywhere in } \mathbb{R}^{3N}$$

that

$$\sum_{i=1}^{N} (v_2 - v_1)(\mathbf{r}_i) + E_0(v_1) - E_0(v_2) = 0 \text{ almost everywhere in } \mathbb{R}^{3N},$$

from which we easily conclude that

$$(v_2 - v_1)(\mathbf{r}) = \frac{E_0(v_2) - E_0(v_1)}{N}$$
 almost everywhere in \mathbb{R}^3 ,

we need a unique continuation argument of the form

 $(H_N(v)\Psi = E\Psi \text{ and } \Psi = 0 \text{ on a set of positive measure}) \Rightarrow (\Psi = 0 \text{ a.e. in } \mathbb{R}^{3N})$ \longrightarrow see Louis Garrigue's talk

Extension of Hohenberg-Kohn theorem to other settings

 \rightarrow see Andre Laestadius's talk on HK for current densities

Let
$$\mathcal{H}_k := \bigwedge^k L^2(\mathbb{R}^3, \mathbb{C})$$
, $\Psi \in \mathcal{H}_N$ such that $\|\Psi\| = 1$, and $1 \le p \le N$

• the *p*-body (reduced) density matrix (*p*-RDM) associated with Ψ is $\gamma_{p,\Psi}(\mathbf{r}_{1}, \cdots, \mathbf{r}_{p}; \mathbf{r}'_{1}, \cdots, \mathbf{r}'_{p})$ $:= \binom{N}{p} \int_{\mathbb{R}^{3(N-p)}} \Psi(\mathbf{r}_{1}, \cdots, \mathbf{r}_{p}, \mathbf{r}_{p+1}, \cdots, \mathbf{r}_{N}) \Psi(\mathbf{r}'_{1}, \cdots, \mathbf{r}'_{p}, \mathbf{r}_{p+1}, \cdots, \mathbf{r}_{N})^{*} d\mathbf{r}_{p+1} \cdots d\mathbf{r}_{N}$

- the *p*-body reduced density operator (*p*-RDO) associated with Ψ is the bounded self-adjoint operator on \mathcal{H}_p with kernel $\gamma_{p,\Psi}$. It is also denoted by $\gamma_{p,\Psi}$ and sometimes called density matrix as well;
- the *p*-body density is

$$\rho_{p,\Psi}(\mathbf{r}_1,\cdots,\mathbf{r}_p) = \gamma_{p,\Psi}(\mathbf{r}_1,\cdots,\mathbf{r}_p;\mathbf{r}_1,\cdots,\mathbf{r}_p)$$
$$= \binom{N}{p} \int_{\mathbb{R}^{3(N-p)}} |\Psi(\mathbf{r}_1,\cdots,\mathbf{r}_p,\mathbf{r}_{p+1},\cdots,\mathbf{r}_N)|^2 d\mathbf{r}_{p+1}\cdots d\mathbf{r}_N$$

• for p = 1, $\gamma_{\Psi} := \gamma_{1,\Psi}$, $\rho_{\Psi} := \rho_{1,\Psi}$

Variational formulation of the ground-state energy

$$E_0 = \inf \left\{ \langle \Psi | H_N | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\}, \qquad \mathcal{W}_N = \left\{ \Psi \in \bigwedge^N L^2(\mathbb{R}^3) \cap H^1(\mathbb{R}^{3N}), \ \|\Psi\|_{L^2} = 1 \right\}$$

$$H_N = -\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i} + \sum_{\substack{i=1\\V_{\mathrm{ne}}}}^N V(\mathbf{r}_i) + \sum_{\substack{1 \le i < j \le N\\V_{\mathrm{ee}}}} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|}, \qquad V(\mathbf{r}) = -\sum_{k=1}^M \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|}$$

• kinetic energy:
$$\langle \Psi | T | \psi \rangle = \mathbf{Tr} \left(-\frac{1}{2} \Delta \gamma_{\psi} \right)$$

• interaction energy between electrons and nuclei: $\langle \Psi | V_{\rm ne} | \psi \rangle = \int_{\mathbb{R}^3} \rho_{\Psi} V$

• electron-electron interaction energy: $\langle \Psi | V_{\text{ee}} | \psi \rangle = \int_{\mathbb{R}^3 \times \mathbb{R}^3} \frac{\rho_{2,\Psi}(\mathbf{r},\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} d\mathbf{r} d\mathbf{r}'$

Variational formulation of the ground-state energy

$$E_0 = \inf \left\{ \langle \Psi | H_N | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\}, \qquad \mathcal{W}_N = \left\{ \Psi \in \bigwedge^N L^2(\mathbb{R}^3) \cap H^1(\mathbb{R}^{3N}), \ \|\Psi\|_{L^2} = 1 \right\}$$

$$H_N = \underbrace{-\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i}}_{T} + \underbrace{\sum_{i=1}^N V(\mathbf{r}_i)}_{V_{\text{ne}}} + \underbrace{\sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|}}_{V_{\text{ee}}}, \qquad V(\mathbf{r}) = -\sum_{k=1}^M \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|}$$

"Usual" splitting of the electronic Hamiltonian

$$H_N = \underbrace{T + V_{\text{ne}}}_{1-\text{body}} + \underbrace{V_{\text{ee}}}_{2-\text{body}}.$$

Hohenberg-Kohn splitting of the electronic Hamiltonian

$$H_N = \underbrace{T + V_{\text{ee}}}_{\text{Hee}} + \underbrace{V_{\text{ne}}}_{\text{Hee}}$$

generic specific (to the molecular system considered)

Levy-Lieb functional (Levy '79, Lieb '83, already discussed in previous talks)

$$H_{N} = H_{N}^{1} + V_{\text{ne}}, \qquad H_{N}^{1} = T + V_{\text{ee}} = -\frac{1}{2} \sum_{i=1}^{N} \Delta_{\mathbf{r}_{i}} + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_{i} - \mathbf{r}_{j}|}, \qquad V_{\text{ne}} = \sum_{i=1}^{N} V(\mathbf{r}_{i})$$
$$E_{0} = \inf \left\{ F_{\text{LL}}(\rho) + \int_{\mathbb{R}^{3}} \rho V, \ \rho \in \mathcal{R}_{N} \right\}$$

$$F_{\mathrm{LL}}(\rho) := \inf \left\{ \langle \Psi | H_N^1 | \Psi \rangle, \ \Psi \in \mathcal{W}_N \text{ s.t. } \rho_{\Psi} = \rho \right\},$$
$$\mathcal{R}_N := \left\{ \rho, \ \exists \Psi \in \mathcal{W}_N \text{ s.t. } \rho_{\Psi} = \rho \right\}$$

Levy-Lieb functional (Levy '79, Lieb '83, already discussed in previous talks)

$$\begin{split} H_N &= H_N^1 + V_{\rm ne}, \qquad H_N^1 = T + V_{\rm ee} = -\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i} + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|}, \qquad V_{\rm ne} = \sum_{i=1}^N V(\mathbf{r}_i) \\ E_0 &= \inf \left\{ F_{\rm LL}(\rho) + \int_{\mathbb{R}^3} \rho V, \ \rho \in \mathcal{R}_N \right\} \\ F_{\rm LL}(\rho) &:= \inf \left\{ \langle \Psi | H_N^1 | \Psi \rangle, \ \Psi \in \mathcal{W}_N \text{ s.t. } \rho_{\Psi} = \rho \right\}, \\ \mathcal{R}_N &:= \{ \rho, \ \exists \Psi \in \mathcal{W}_N \text{ s.t. } \rho_{\Psi} = \rho \} \end{split}$$

Theorem (pure-state *N*-representability of densities)

$$\mathcal{R}_N = \left\{ \rho \ge 0, \ \sqrt{\rho} \in H^1(\mathbb{R}^3), \ \int_{\mathbb{R}^3} \rho = N \right\}$$

 $F_{\rm LL}(\rho)$ is a "universal" functional of the density Problem: no easy-to-compute expression of $F_{\rm LL}(\rho)$ is known

Lieb functional (Legendre-Fenchel duality)

For any $v \in L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$, we can define

$$E_0(v) = \inf\left\{ \langle \Psi | H_N(v) | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\} = \inf\left\{ \langle \Psi | H_N^1 + \sum_{i=1}^N v(\mathbf{r}_i) | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\}$$

and $v \mapsto E_0(v)$ is a real-valued, concave, Lipschitz function on $L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$

Lieb functional (Legendre-Fenchel duality)

For any $v \in L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$, we can define

$$E_0(v) = \inf \left\{ \langle \Psi | H_N(v) | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\} = \inf \left\{ \langle \Psi | H_N^1 + \sum_{i=1}^N v(\mathbf{r}_i) | \Psi \rangle, \ \Psi \in \mathcal{W}_N \right\}$$

and $v \mapsto E_0(v)$ is a real-valued, concave, Lipschitz function on $L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)$

Theorem (Lieb '83)

$$E_0(v) = \inf\left\{F_{\mathcal{L}}(\rho) + \int_{\mathbb{R}^3} \rho v, \ \rho \in L^1(\mathbb{R}^3) \cap L^3(\mathbb{R}^3)\right\}$$

where $F_{\rm L}(\rho)$ is the convex w-l.s.c. function defined on $L^1(\mathbb{R}^3) \cap L^3(\mathbb{R}^3)$ by

$$F_{\mathcal{L}}(\rho) = \sup\left\{E(v) - \int_{\mathbb{R}^3} \rho v, \ v \in L^{3/2}(\mathbb{R}^3) + L^{\infty}(\mathbb{R}^3)\right\}$$

Physical interpretation of $F_{\rm L}(\rho)$

Mixed states of N-electron systems are described by N-electron density matrices of the form

$$\Gamma = \sum_{n=1}^{+\infty} p_n |\Psi_n\rangle \langle \Psi_n|, \ \Psi_n \in \bigwedge^N L^2(\mathbb{R}^3, \mathbb{C}), \ \langle \Psi_m |\Psi_n\rangle = \delta_{mn}, \ 0 \le p_n \le 1, \ \sum_{n=1}^{+\infty} p_n = 1$$

the density of Γ being given by

$$\rho_{\Gamma}(\mathbf{r}) = \sum_{n=1}^{+\infty} p_n \rho_{\Psi_n}(\mathbf{r}).$$

 $\Gamma \text{ is of finite energy if } \sum_{n=1}^{+\infty} p_n \|\nabla \Psi_n\|_{L^2}^2 < \infty \text{, its energy being then}$ $\mathbf{Tr} (H_N \Gamma) = \sum_{n=1}^{+\infty} p_n \langle \Psi_n | H_N | \Psi_n \rangle = \mathbf{Tr} (H_N^1 \Gamma) + \int_{\mathbb{R}^3} \rho_{\Gamma} V.$

Let us denote by \mathcal{D}_N the convex set of finite-energy *N*-electron density matrices Theorem (ensemble *N*-representation of densities). It holds

$$\{\rho \mid \exists \Gamma \in \mathcal{D}_N \text{ s.t. } \rho_{\Gamma} = \rho\} = \mathcal{R}_N = \left\{\rho \ge 0, \ \sqrt{\rho} \in H^1(\mathbb{R}^3), \ \int_{\mathbb{R}^3} \rho = N\right\}$$

Therefore (Valone '80)

$$E_{0}(v) = \inf \left\{ \mathbf{Tr} \left(H_{N}(v)\Gamma \right), \ \Gamma \in \mathcal{D}_{N} \right\} \\ = \inf \left\{ \mathbf{Tr} \left(H_{N}^{1}\Gamma \right) + \int_{\mathbb{R}^{3}} \rho_{\Gamma} v, \ \Gamma \in \mathcal{D}_{N} \right\} \\ = \inf \left\{ \inf \left\{ \mathbf{Tr} \left(H_{N}^{1}\Gamma \right), \ \Gamma \in \mathcal{D}_{N}, \ \rho_{\Gamma} = \rho \right\} + \int_{\mathbb{R}^{3}} \rho v, \ \rho \in \mathcal{R}_{N} \right\}.$$

It holds that $F_{L}(\rho) = \begin{vmatrix} \inf \{ \operatorname{Tr} (H_{N}^{1} \Gamma), \Gamma \in \mathcal{D}_{N}, \rho_{\Gamma} = \rho \} \\ +\infty & \text{if } \rho \in \mathcal{R}_{N}, \\ \operatorname{and that} F_{L} \text{ is the convex hull of } F_{LL} \text{ on the convex set } \mathcal{R}_{N} \end{vmatrix}$

No explicit expressions of the functionals $F_{\rm L}$ and $F_{\rm LL}$ are known Approximations are needed for numerical simulations

Two classes of approximate functionals are available, built from the exact functionals of simple reference systems:

- **orbital-free models:** reference system = homogeneous electron gas orbital-free functionals are cheap but inaccurate except in a few cases
- Kohn-Sham models: reference system = N non-interacting electrons Kohn-Sham functionals are much more accurate, but more expensive

In orbital-free models, the density functional is explicit in ρ Examples:

• Thomas-Fermi (TF) model

$$\mathcal{E}^{\mathrm{TF}}(\rho) = C_{\mathrm{TF}} \int_{\mathbb{R}^3} \rho^{5/3} + \int_{\mathbb{R}^3} \rho V + \frac{1}{2} \int_{\mathbb{R}^3} \int_{\mathbb{R}^3} \frac{\rho(\mathbf{r}) \,\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} \, d\mathbf{r} \, d\mathbf{r}'$$
$$E_0 \sim \inf \left\{ \mathcal{E}^{\mathrm{TF}}(\rho), \ \rho \ge 0, \ \rho \in L^1(\mathbb{R}^3) \cap L^{5/3}(\mathbb{R}^3), \ \int_{\mathbb{R}^3} \rho = N \right\}$$

• Thomas-Fermi-von Weizsäcker (TFW) model

$$\mathcal{E}^{\mathrm{TFW}}(\rho) = C_{\mathrm{W}} \int_{\mathbb{R}^3} |\nabla \sqrt{\rho}|^2 + C_{\mathrm{TF}} \int_{\mathbb{R}^3} \rho^{5/3} + \int_{\mathbb{R}^3} \rho V + \frac{1}{2} \int_{\mathbb{R}^3} \int_{\mathbb{R}^3} \frac{\rho(\mathbf{r}) \,\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} \, d\mathbf{r} \, d\mathbf{r}'$$
$$E_0 \sim \inf \left\{ \mathcal{E}^{\mathrm{TFW}}(\rho), \ \rho \ge 0, \ \sqrt{\rho} \in H^1(\mathbb{R}^3), \ \int_{\mathbb{R}^3} \rho = N \right\}$$

3 - Kohn-Sham models

Density functional theory for non-interacting electrons

	Hamiltonian	Levy-Lieb	Lieb	
Interacting e ⁻	H_N^1	$F_{ m LL}(ho)$	$F_{ m L}(ho)$	
Non-interacting e ⁻	H_N^0	$T_{ m LL}(ho)$	$T_{ m J}(ho)$	

$$H_N^1 = T + V_{\text{ee}} = -\sum_{i=1}^N \frac{1}{2} \Delta_{\mathbf{r}_i} + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|} \qquad \qquad H_N^0 = T = -\sum_{i=1}^N \frac{1}{2} \Delta_{\mathbf{r}_i}$$

Density functional theory for non-interacting electrons

	Hamiltonian	Levy-Lieb	Lieb
Interacting e ⁻	H^1_N	$F_{ m LL}(ho)$	$F_{ m L}(ho)$
Non-interacting e ⁻	H_N^0	$T_{ m LL}(ho)$	$T_{ m J}(ho)$

$$H_N^1 = T + V_{\text{ee}} = -\sum_{i=1}^N \frac{1}{2} \Delta_{\mathbf{r}_i} + \sum_{1 \le i < j \le N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|} \qquad \qquad H_N^0 = T = -\sum_{i=1}^N \frac{1}{2} \Delta_{\mathbf{r}_i}$$

Can $T_{\rm LL}(\rho)$ be "easily" computed? No Can $T_{\rm J}(\rho)$ be "easily" computed? Yes! \rightarrow (e

Yes! \rightarrow (extended) Kohn-Sham model

Kohn-Sham kinetic energy functional (Levy-Lieb approach for H_N^0 **)**

$$T_{\rm LL}(\rho) = \inf \{ \langle \Psi | T | \Psi \rangle, \ \Psi \in \mathcal{W}_N \text{ s.t. } \rho_{\Psi} = \rho \}$$

 $\leq \inf \{ \langle \Psi | T | \Psi \rangle, \Psi \in \mathcal{W}_N \text{ is a Slater determinant s.t. } \rho_{\Psi} = \rho \}$

$$= \inf \left\{ \sum_{i=1}^{N} \frac{1}{2} \int_{\mathbb{R}^{3}} |\nabla \phi_{i}|^{2}, \ \phi_{i} \in H^{1}(\mathbb{R}^{3}), \ \int_{\mathbb{R}^{3}} \phi_{i} \phi_{j} = \delta_{ij}, \ \sum_{i=1}^{N} |\phi_{i}|^{2} = \rho \right\}$$

=: $T_{s}(\rho)$ (Kohn & Sham '65)

A Slater determinant with finite kinetic energy is a wavefunction Ψ of the form

$$\Psi(\mathbf{r}_{1},\cdots,\mathbf{r}_{N}) = \frac{1}{\sqrt{N!}} \begin{vmatrix} \phi_{1}(\mathbf{r}_{1}) & \cdots & \phi_{1}(\mathbf{r}_{N}) \\ \vdots & \ddots & \vdots \\ \vdots & \ddots & \ddots \\ \phi_{N}(\mathbf{r}_{1}) & \cdots & \phi_{N}(\mathbf{r}_{N}) \end{vmatrix}, \qquad \phi_{i} \in H^{1}(\mathbb{R}^{3}), \qquad \int_{\mathbb{R}^{3}} \phi_{i}\phi_{j} = \delta_{ij}$$

3 - Kohn-Sham models

Kohn-Sham model ('65)

1. For N non interacting electrons, the density functional is (approximatively) given by

$$T_{\rm s}(\rho) = \inf\left\{\sum_{i=1}^{N} \frac{1}{2} \int_{\mathbb{R}^3} |\nabla \phi_i|^2, \ \phi_i \in H^1(\mathbb{R}^3) \ \int_{\mathbb{R}^3} \phi_i \phi_j = \delta_{ij} \ \sum_{i=1}^{N} |\phi_i|^2 = \rho\right\}$$

2. For a classical charge distribution of density ρ , the Coulomb interaction reads

$$J(\rho) \stackrel{\text{def}}{=} \frac{1}{2} \int_{\mathbb{R}^3} \int_{\mathbb{R}^3} \frac{\rho(x) \,\rho(y)}{|x-y|} \, dx \, dy$$

3. Kohn and Sham proposed the following decomposition of $F_{\rm LL}$

 $F_{\rm LL}(\rho) = T_{\rm s}(\rho) + J(\rho) + E_{\rm xc}(\rho) \quad \text{where} \quad E_{\rm xc}(\rho) \stackrel{\text{def}}{=} F_{\rm LL}(\rho) - T_{\rm s}(\rho) - J(\rho)$

 $E_{\rm xc}$ is called the exchange-correlation functional

3 - Kohn-Sham models

Exchange-correlation functional

Assuming that

- $F_{\text{LL}}(\rho) = \inf_{\Psi \mid \rho_{\Psi} = \rho} \langle \Psi \mid H_N^1 \mid \Psi \rangle$ has a unique minimizer Ψ_{ρ}^0 (up to a global phase)
- $T_{\rm s}(\rho) = \inf_{\Phi \text{ Slater det. } | \rho_{\Phi} = \rho} \langle \Phi | H_N^0 | \Phi \rangle$ has a unique minimizer Φ_{ρ}^0 (u.t.g.p.)

one can define

• the kinetic energy and electron-electron energy functionals

$$T(\rho) := \langle \Psi_{\rho}^{0} | T | \Psi_{\rho}^{0} \rangle, \qquad V_{\rm ee}(\rho) := \langle \Psi_{\rho}^{0} | V_{\rm ee} | \Psi_{\rho}^{0} \rangle$$

• the exchange energy functional

$$E_{\mathbf{x}}(\rho) := -\frac{1}{2} \int_{\mathbb{R}^3 \times \mathbb{R}^3} \frac{|\gamma_{\Phi^0_{\rho}}(\mathbf{r}, \mathbf{r}')|^2}{|\mathbf{r} - \mathbf{r}'|} \, d\mathbf{r} \, d\mathbf{r}'$$

• the kinetic and e-e contributions to the correlation energy functional

$$T_{\rm c}(\rho) := T(\rho) - T_{\rm s}(\rho) \quad \text{and} \quad U_{\rm c}(\rho) = V_{\rm ee}(\rho) - J(\rho) - E_{\rm x}(\rho)$$
$$E_{\rm xc}(\rho) = E_{\rm x}(\rho) + E_{\rm c}(\rho), \quad E_{\rm c}(\rho) = T_{\rm c}(\rho) + U_{\rm c}(\rho)$$

Orders of magnitude of the various components of the energy (in a.u.)

System	$E_{ m GS}$	$T(ho_{ m GS})$	$T_{ m s}(ho_{ m GS})$	$T_{ m c}(ho_{ m GS})$	$V_{ m ne}(ho_{ m GS})$	$V_{ m ee}(ho_{ m GS})$	$J(ho_{ m GS})$	$E_{\rm x}(ho_{\rm GS})$	$U_{ m c}(ho_{ m GS})$
He	-2.904	2.904	2.867	0.037	-6.753	0.946	2.049	-1.025	-0.079
Be	- 14.667	14.667	14.594	0.073	-33.710	4.375	7.218	-2.674	-0.169
Ne	-128.94	128.94	128.61	0.33	-311.12	53.24	66.05	-12.09	-0.39

$$E_{\rm GS} = T(\rho_{\rm GS}) + V_{\rm ne}(\rho_{\rm GS}) + V_{\rm ee}(\rho_{\rm GS})$$

=
$$\underbrace{T_{\rm s}(\rho_{\rm GS}) + V_{\rm ne}(\rho_{\rm GS}) + J(\rho_{\rm GS}) + E_{\rm x}(\rho_{\rm GS})}_{\textbf{could be "easily" computed from } \rho_{\rm GS}} + \underbrace{T_{\rm c}(\rho_{\rm GS}) + U_{\rm c}(\rho_{\rm GS})}_{E_{\rm c}(\rho_{\rm GS})}$$

In practice, because of error cancellations, it is better to split the energy as $E(\rho) = T_{\rm s}(\rho) + V_{\rm ne}(\rho) + J(\rho) + E_{\rm xc}(\rho)$ and approximate $E_{\rm xc}(\rho)$

3 - Kohn-Sham models

Local Density Approximation (LDA)

A possible approximation of $E_{\rm xc}(\rho)$ (Kohn and Sham '65) is

$$E_{\rm xc}^{\rm LDA}(\rho) = \int_{\mathbb{R}^3} e_{\rm xc}(\rho(x)) \, dx$$

where $e_{\rm xc}(\bar{\rho})$ is the exchange-correlation energy density in a homogeneous electron gas of density $\bar{\rho}$

Parametrization of e_{xc} : $\mathbb{R}_+ \to \mathbb{R}$ **: see Part 4: Homogeneous electron gas**

Beyond LDA

\rightarrow see Kieron's talk

Beyond-LDA Kohn-Sham models are poorly understood mathematically

Rewriting the minimization problem in terms of $\Phi = (\phi_1, \cdots, \phi_N)$, one obtains

$$E_0 \simeq \inf \left\{ E^{\text{KS,LDA}}(\Phi), \ \Phi = (\phi_1, \cdots, \phi_N) \in (H^1(\mathbb{R}^3))^N, \ \int_{\mathbb{R}^3} \phi_i \phi_j = \delta_{ij} \right\}$$

$$E^{\text{KS,LDA}}(\Phi) = \frac{1}{2} \sum_{i=1}^{N} \int_{\mathbb{R}^{3}} |\nabla \phi_{i}|^{2} + \int_{\mathbb{R}^{3}} \rho_{\Phi} V + \frac{1}{2} \int_{\mathbb{R}^{3}} \int_{\mathbb{R}^{3}} \frac{\rho_{\Phi}(\mathbf{r}) \rho_{\Phi}(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}' + \int_{\mathbb{R}^{3}} e_{\text{xc}}(\rho_{\Phi}(\mathbf{r})) d\mathbf{r}$$

with
$$V(\mathbf{r}) = -\sum_{k=1}^{M} \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|} \qquad \rho_{\Phi}(\mathbf{r}) = \sum_{i=1}^{N} |\phi_i(\mathbf{r})|^2$$

Existence of solutions for neutral and positively charged systems for the X α model ($e_{\rm xc}(\rho) = -C \int_{\mathbb{R}^3} \rho^{4/3}$): Le Bris '93

Kohn-Sham equations (Euler-Lagrange + gauge invariance + loc. min.)

$$\begin{cases} -\frac{1}{2}\Delta\phi_i + \mathcal{W}_{\Phi}\phi_i = \varepsilon_i\phi_i & 1 \le i \le N\\ \int_{\mathbb{R}^3}\phi_i\phi_j = \delta_{ij} & 1 \le i,j \le N \end{cases}$$

• In the Hartree-Fock model, the potential \mathcal{W}_{Φ} is nonlocal

$$\mathcal{W}_{\Phi}^{\mathrm{HF}}\phi = \left(V + \rho_{\Phi} \star \frac{1}{|\cdot|}\right)\phi - \int_{\mathbb{R}^3} \frac{\gamma_{\Phi}(\cdot, \mathbf{r}')}{|\cdot - \mathbf{r}'|} \phi(\mathbf{r}') \, d\mathbf{r}', \quad \gamma_{\Phi}(\mathbf{r}, \mathbf{r}') = \sum_{i=1}^N \phi_i(\mathbf{r})\phi_i(\mathbf{r}') \, d\mathbf{r}',$$

while it is local in the Kohn-Sham LDA model

$$\mathcal{W}_{\Phi}^{\mathrm{KS-LDA}}\phi = \left(V + \rho_{\Phi} \star \frac{1}{|\cdot|} + \frac{de_{\mathrm{xc}}}{d\rho}(\rho_{\Phi})\right)\phi$$

• In the Hartree-Fock model, $\varepsilon_1 \leq \varepsilon_2 \leq \cdots \leq \varepsilon_N$ are the lowest N eigenvalues of $-\frac{1}{2}\Delta + W_{\Phi}$, while it is not known whether this property holds true for the Kohn-Sham LDA model

3 - Kohn-Sham models

Lieb approach (minimizing over *N***-body density matrices)**

Let
$$\Gamma \in \mathcal{D}_N$$

 $\Gamma = \sum_{n=1}^{+\infty} p_n |\Psi_n\rangle \langle \Psi_n|, \quad \Psi_n \in \bigwedge^N L^2(\mathbb{R}^3), \quad \langle \Psi_m |\Psi_n\rangle = \delta_{mn}, \quad 0 \le p_n \le 1, \quad \sum_{n=1}^{+\infty} p_n = 1$

The first order reduced density operator associated with Γ is

$$\gamma_{\Gamma} = \sum_{n=1}^{+\infty} p_n \gamma_{\Psi_n}$$
 note that $\rho_{\Gamma}(\mathbf{r}) = \gamma_{\Gamma}(\mathbf{r}, \mathbf{r})$

It holds

$$\gamma_{\Gamma}^* = \gamma_{\Gamma}, \quad 0 \le \gamma_{\Gamma} \le 1, \quad \mathbf{Tr}(\gamma_{\Gamma}) = N, \quad \mathbf{Tr}(H_N^0 \Gamma) = \mathbf{Tr}\left(-\frac{1}{2}\Delta\gamma_{\Gamma}\right)$$

Theorem (ensemble *N*-representability of 1-RDM)

$$\mathcal{C}_{N} = \{ \gamma \mid \exists \Gamma \in \mathcal{D}_{N} \text{ s.t. } \gamma_{\Gamma} = \gamma \} \\ = \{ \gamma \in \mathcal{S}(L^{2}(\mathbb{R}^{3})) \mid 0 \leq \gamma \leq 1, \text{ } \mathbf{Tr}(\gamma) = N, \text{ } \mathbf{Tr}(-\Delta \gamma) < \infty \}$$

Janak functional (Lieb density functional for non-interacting electrons)

$$T_{J}(\rho) = \inf \left\{ \mathbf{Tr}(H_{N}^{0}\Gamma), \ \Gamma \in \mathcal{D}_{N} \text{ s.t. } \rho_{\Gamma} = \rho \right\}$$

$$= \inf \left\{ \mathbf{Tr}\left(-\frac{1}{2}\Delta\gamma_{\Gamma}\right), \ \Gamma \in \mathcal{D}_{N} \text{ s.t. } \rho_{\Gamma} = \rho \right\}$$

$$= \inf \left\{ \mathbf{Tr}\left(-\frac{1}{2}\Delta\gamma\right), \ \gamma \in \mathcal{C}_{N} \text{ s.t. } \rho_{\gamma} = \rho \right\} \text{ where } \rho_{\gamma}(\mathbf{r}) = \gamma(\mathbf{r}, \mathbf{r})$$

$$= \inf \left\{ \sum_{i=1}^{+\infty} \frac{1}{2}n_{i} \int_{\mathbb{R}^{3}} |\nabla\phi_{i}|^{2}, \quad \phi_{i} \in H^{1}(\mathbb{R}^{3}), \ \int_{\mathbb{R}^{3}} \phi_{i}\phi_{j} = \delta_{ij}, \right.$$

$$0 \le n_{i} \le 1, \ \sum_{i=1}^{+\infty} n_{i} |\phi_{i}|^{2} = \rho \right\}$$

3 - Kohn-Sham models

Extended Kohn-Sham LDA model

$$\inf \left\{ \mathcal{E}(\gamma), \ \gamma \in \mathcal{S}(L^2(\mathbb{R}^3)), \ 0 \le \gamma \le 1, \ \mathbf{Tr}(\gamma) = N, \ \mathbf{Tr}(-\Delta\gamma) < \infty \right\}$$
$$\mathcal{E}(\gamma) = \mathbf{Tr}\left(-\frac{1}{2}\Delta\gamma\right) + \int_{\mathbb{R}^3} \rho_{\gamma} V + J(\rho_{\gamma}) + \int_{\mathbb{R}^3} e_{\mathrm{xc}}(\rho_{\gamma}), \qquad \rho_{\gamma}(\mathbf{r}) = \gamma(\mathbf{r}, \mathbf{r})$$

The minimization set C_N is convex and any $\gamma \in C_N$ can be written as

$$\gamma = \sum_{i=1}^{+\infty} n_i |\phi_i\rangle \langle \phi_i|$$
$$\int_{\mathbb{R}^3} \phi_i \phi_j = \delta_{ij}, \qquad 0 \le n_i \le 1, \qquad \sum_{i=1}^{+\infty} n_i = N, \qquad \phi_i \in H^1(\mathbb{R}^3)$$

Existence of solutions for neutral and positively charged systems: Anantharaman-EC '09 for LDA and GGA 2e⁻, Gontier '15 for LSDA

3 - Kohn-Sham models

Extended Kohn-Sham LDA equations



Reference: Dreizler and Gross, Springer-Verlag 1990

Supercell model (useful for theoretical calculation and numerical simulations)

supercell $\Omega = [0, L)^3$, spin states $S = \{|\uparrow\rangle, |\downarrow\rangle\}$, periodic lattice $\mathcal{R}_L = L\mathbb{Z}^3$, dual lattice $\mathcal{R}_L^* = \frac{2\pi}{L}\mathbb{Z}^3$

Electronic Hamiltonian (second quantization formalism)

$$H_L = \sum_{\mathbf{k}\in\mathcal{R}_L^*,\sigma\in\mathbf{S}} \frac{\hbar^2}{2m_e} |\mathbf{k}|^2 a_{\mathbf{k},\sigma}^{\dagger} a_{\mathbf{k},\sigma} + \frac{e^2}{2L^3} \sum_{\mathbf{q}\in\mathcal{R}_L^*\setminus\{0\}} \sum_{\mathbf{k}\in\mathcal{R}_L^*,\sigma\in\mathbf{S}} \sum_{\mathbf{k}'\in\mathcal{R}_L^*,\sigma'\in\mathbf{S}} \frac{4\pi}{|\mathbf{q}|^2} a_{\mathbf{k}+\mathbf{q},\sigma}^{\dagger} a_{\mathbf{k}'-\mathbf{q},\sigma}^{\dagger} a_{\mathbf{k},\sigma} a_{\mathbf{k}',\sigma}^{\dagger} a_{\mathbf{k}',\sigma}^{\dagger}$$

 \rightarrow rigorous results on the TL by Lieb & Narnhofer '75

Remark. This is the jellium model, not clear mathematically that this coincides with the HEG (minimizer of the energy per unit volume at constant density)

 \rightarrow see Lewin & Lieb '15

Supercell model (useful for theoretical calculation and numerical simulations)

supercell $\Omega = [0, L)^3$, spin states $S = \{|\uparrow\rangle, |\downarrow\rangle\}$, periodic lattice $\mathcal{R}_L = L\mathbb{Z}^3$, dual lattice $\mathcal{R}_L^* = \frac{2\pi}{L}\mathbb{Z}^3$

Electronic Hamiltonian (second quantization formalism)

$$H_{L} = \sum_{\mathbf{k}\in\mathcal{R}_{L}^{*},\sigma\in\mathbf{S}} \frac{\hbar^{2}}{2m_{e}} |\mathbf{k}|^{2} a_{\mathbf{k},\sigma}^{\dagger} a_{\mathbf{k},\sigma} + \frac{e^{2}}{2L^{3}} \sum_{\mathbf{q}\in\mathcal{R}_{L}^{*}\setminus\{0\}} \sum_{\mathbf{k}\in\mathcal{R}_{L}^{*},\sigma\in\mathbf{S}} \sum_{\mathbf{k}'\in\mathcal{R}_{L}^{*},\sigma'\in\mathbf{S}} \frac{4\pi}{|\mathbf{q}|^{2}} a_{\mathbf{k}+\mathbf{q},\sigma}^{\dagger} a_{\mathbf{k}'-\mathbf{q},\sigma}^{\dagger} a_{\mathbf{k},\sigma} a_{\mathbf{k}',\sigma}^{\dagger}$$

Dimensional analysis: for the homogeneous electron gas of density $n \in \mathbb{R}^*_+$

$$a_{0} = \frac{\hbar^{2}}{m_{e}e^{2}} \text{ (Bohr radius)}, \quad r_{0} = \left(\frac{3}{4\pi n}\right)^{1/3} \text{ (Wigner-Seitz radius)}, \quad r_{s} = \frac{r_{0}}{a_{0}}$$

$$H_{La_{0}r_{s}} = \frac{e^{2}}{a_{0}r_{s}^{2}} \left(\sum_{\mathbf{k}\in\mathcal{R}_{L}^{*},\sigma\in\mathbf{S}} \frac{|\mathbf{k}|^{2}}{2}a_{\mathbf{k},\sigma}^{\dagger}a_{\mathbf{k},\sigma} + \frac{r_{s}}{2L^{3}}\sum_{\mathbf{q}\in\mathcal{R}_{L}^{*}}\sum_{\mathbf{k}\in\mathcal{R}_{L}^{*},\sigma\in\mathbf{S}}\sum_{\mathbf{k}'\in\mathcal{R}_{L}^{*},\sigma'\in\mathbf{S}} \frac{4\pi}{|\mathbf{q}|^{2}}a_{\mathbf{k}+\mathbf{q},\sigma}^{\dagger}a_{\mathbf{k}'-\mathbf{q},\sigma}^{\dagger}a_{\mathbf{k},\sigma}a_{\mathbf{k}',\sigma}\right)$$

 r_s small (high-density regime): kinetic energy \gg potential energy r_s large (low-density regime): potential energy \gg kinetic energy

High-density regime ($r_s \ll 1$)

• leading term in the limit $r_s \rightarrow 0$

$$H_L = \sum_{\mathbf{k}\in\mathcal{R}_L^*,\sigma\in\mathbf{S}} \frac{\hbar^2}{2m_e} |\mathbf{k}|^2 a_{\mathbf{k},\sigma}^{\dagger} a_{\mathbf{k},\sigma} \quad \xrightarrow{L\to\infty} \quad -\frac{\hbar^2}{2m_e} \Delta$$

The ground-state density matrix is not spin-polarized

$$\gamma_0 = \mathbb{1}_{(-\infty,\varepsilon_{\rm F}]} \left(-\frac{\hbar^2}{2m_e} \Delta \right), \qquad \varepsilon_{\rm F} \text{ such that } \underline{\mathrm{Tr}}(\gamma_0) = n$$

The ground-state energy per particle is given by

$$\widetilde{e}_{0}^{\text{HD},0}(r_{s}) = \frac{\widetilde{C}_{\text{TF}}}{r_{s}^{2}} = C_{\text{TF}}n^{2/3}, \quad \text{with } C_{\text{TF}} = \frac{3\hbar^{2}}{10m_{e}} \left(3\pi^{2}\right)^{\frac{2}{3}}, \quad \widetilde{C}_{\text{TF}} = \frac{3}{10} \left(\frac{9\pi}{4}\right)^{2/3} \frac{e^{2}}{a_{0}}$$

High-density regime ($r_s \ll 1$) (continued)

• 1st-order perturbation: let $n = n_{\uparrow} + n_{\downarrow}$ and $\zeta = \frac{n_{\uparrow} - n_{\downarrow}}{n}$ $\widetilde{e}_{0}^{\text{HD},0}(r_{s},\zeta) + \widetilde{e}_{0}^{\text{HD},1}(r_{s},\zeta) = \widetilde{C}_{\text{TF}} \frac{(1+\zeta)^{5/3} + (1-\zeta)^{5/3}}{2r_{s}^{2}} - \widetilde{C}_{\text{D}} \frac{(1+\zeta)^{4/3} + (1-\zeta)^{4/3}}{2r_{s}}$

 \rightarrow rigorous asymptotics when $r_s \rightarrow 0$ (Graf & Solovej '94)

According to this model, there is a phase transition at $r_s = r_s^{(1)} \simeq 5.45$: - $r_s < 5.45$: spin-unpolarized - $r_s > 5.45$: spin-polarized

According to numerical simulations (see below), the phase transition occurs at much lower density ($r_s^{(\infty)} \gg 5.45$)

For valence electrons in real metals, the local Wigner-Seitz radius is typically $1.8 \le r_s({\bf r}) \le 5.6$

ightarrow see David Gontier's talk on the Hartree-Fock approximation for the HEG

High-density regime ($r_s \ll 1$) (continued)

 $\bullet\ 2^{nd}\mbox{-}order$ perturbation: two diagrams contribute

– 2^{nd} -order exchange diagram:

$$\tilde{e}_{0,x}^{\text{HD},2}(r_s) = \left(\frac{1}{6}\ln 2 - \frac{3}{4\pi^2}\zeta(3)\right)\frac{e^2}{a_0} \simeq 0.024\frac{e^2}{a_0} \qquad \text{(Onsager et al. '66)}$$

 -2^{nd} -order ring diagram \longrightarrow divergent



$$\widetilde{e}_{0,\mathbf{x}}^{\mathrm{HD},2}(r_s) = \frac{3e^4}{16\pi^5} \int_{\mathbb{R}^3 \times \mathbb{R}^3 \times \mathbb{R}^3} \frac{f_{\mathbf{k}} f_{\mathbf{k}'} (1 - f_{\mathbf{k}+\mathbf{q}}) (1 - f_{\mathbf{k}'+\mathbf{q}})}{|\mathbf{q}|^2 |\mathbf{k} + \mathbf{k}' + \mathbf{q}|^2 \, \mathbf{q} \cdot (\mathbf{k} + \mathbf{k}' + \mathbf{q})} \, d\mathbf{k} \, d\mathbf{k}' \, d\mathbf{q}, \quad f_{\mathbf{k}} = \mathbbm{1}_{|\mathbf{k}| \le 1}$$

High-density regime ($r_s \ll 1$) (continued)

- 2nd-order perturbation: two diagrams contribute
 - 2nd-order exchange diagram:

 $\tilde{e}_{0,x}^{\text{HD},2}(r_s) = \left(\frac{1}{6}\ln 2 - \frac{3}{4\pi^2}\zeta(3)\right)\frac{e^2}{a_0} \simeq 0.024\frac{e^2}{a_0} \qquad \text{(Onsager et al. '66)}$

- 2^{nd} -order ring diagram \longrightarrow divergent
- Random Phase Approximation (RPA) = ring approximation

 $\tilde{e}_{0,c}^{ring}(r_s) = \left(\frac{(1-\ln 2)}{\pi^2} \ln r_s - 0.071 + o(1)\right) \frac{e^2}{a_0}$ (Gell-Mann & Brueckner '57)

(partial resummation of ring diagrams of any orders)

High-density regime ($r_s \ll 1$) (continued)

- 2nd-order perturbation: two diagrams contribute
 - 2nd-order exchange diagram:

 $\widetilde{e}_{0,x}^{\text{HD},2}(r_s) = \left(\frac{1}{6}\ln 2 - \frac{3}{4\pi^2}\zeta(3)\right)\frac{e^2}{a_0} \simeq 0.024\frac{e^2}{a_0} \qquad \text{(Onsager et al. '66)}$

– 2^{nd} -order ring diagram \longrightarrow divergent

• Random Phase Approximation (RPA) = ring approximation

 $\tilde{e}_{0,c}^{ring}(r_s) = \left(\frac{(1-\ln 2)}{\pi^2} \ln r_s - 0.071 + o(1)\right) \frac{e^2}{a_0}$ (Gell-Mann & Brueckner '57)

(partial resummation of ring diagrams of any orders)

• Correlation energy per particle in the high-density regime

$$\widetilde{e}_{0,c}^{\text{HD}}(r_s) = \left(\frac{(1-\ln 2)}{\pi^2}\ln r_s - 0.048 + 0.009\,r_s\ln r_s - 0.018\,r_s + o(r_s)\right)\frac{e^2}{a_0}$$

(last two explicit terms by du Bois '59 and Carr & Maradudin '65)

Low-density regime $(r_s \gg 1)$

- Wigner crystallization in a BCC lattice (conjecture supported by numerical simulations)
- Energy per particle in the high-density regime

$$\widetilde{e}_0^{\text{HD}}(r_s) = \left(-\frac{1.792}{r_s} + \frac{2.65}{r_s^{3/2}} - \frac{0.73}{r_s^2} + o\left(\frac{1}{r_s^2}\right)\right) \frac{e^2}{2a_0}$$

including

- the BCC lattice energy (first term, Wigner '34)
- the harmonic lattice vibrations (second term, Wigner '38)
- the first anharmonic corrections (third term, Carr-Coldwell et al. '61)

note that there is no consensus on the correctness of this expansion

Intermediate regime

Numerical approximation of the many-body problem

- coupled-clusters (Freeman '77)
- quantum Monte Carlo (VMC: Ceperley '78, GFMC: Ceperley & Alder '80)

Parameterization of the exchange-correlation energy per particle

Two popular parameterizations of $\widetilde{e}_{\mathrm{c}}(n,\zeta)$

- Vosko, Wilk & Nusain '80 (VWN)
- Perdew & Zunger '91 (PZ91)

both using

- the high-density expansion
- the QCM results by Ceperley & Alder '80

Perdew & Zunger parameterization (PZ91)

• exchange functional

$$\widetilde{e}_{\mathbf{x}}(r_s,\zeta) = \widetilde{e}_{\mathbf{x}}(r_s,0) + (\widetilde{e}_{\mathbf{x}}(n,1) - \widetilde{e}_{\mathbf{x}}(r_s,0)) \ f(\zeta)$$

$$\widetilde{e}_{\mathbf{x}}(r_s,0) = -\frac{3}{4\pi} \left(\frac{9\pi}{4}\right)^{\frac{1}{3}} \frac{1}{r_s} \left(\frac{e^2}{a_0}\right), \quad \widetilde{e}_{\mathbf{x}}(r_s,1) = 2^{1/3} \widetilde{e}_{\mathbf{x}}(r_s,0), \quad f(\zeta) = \frac{(1+\zeta)^{\frac{4}{3}} + (1-\zeta)^{\frac{4}{3}} - 2}{2(2^{\frac{1}{3}} - 1)}$$

Perdew & Zunger parameterization (PZ91)

• exchange functional

$$\widetilde{e}_{\mathbf{x}}(r_s,\zeta) = \widetilde{e}_{\mathbf{x}}(r_s,0) + \left(\widetilde{e}_{\mathbf{x}}(n,1) - \widetilde{e}_{\mathbf{x}}(r_s,0)\right) f(\zeta)$$

$$\widetilde{e}_{\mathbf{x}}(r_s,0) = -\frac{3}{4\pi} \left(\frac{9\pi}{4}\right)^{\frac{1}{3}} \frac{1}{r_s} \left(\frac{e^2}{a_0}\right), \quad \widetilde{e}_{\mathbf{x}}(r_s,1) = 2^{1/3} \widetilde{e}_{\mathbf{x}}(r_s,0), \quad f(\zeta) = \frac{(1+\zeta)^{\frac{4}{3}} + (1-\zeta)^{\frac{4}{3}} - 2}{2(2^{\frac{1}{3}} - 1)}$$

• correlation functional

$$\widetilde{e}_{c}^{PZ}(r_{s},\zeta) \simeq \widetilde{e}_{c}^{PZ}(r_{s},0) + \left(\widetilde{e}_{c}^{PZ}(n,1) - \widetilde{e}_{c}^{PZ}(r_{s},0)\right) f(\zeta)$$
with for $\zeta = 0$ or $\zeta = 1$

$$\widetilde{e}_{c}^{PZ91}(r_{s},\zeta) = \begin{vmatrix} \frac{\gamma_{\zeta}}{1+\beta_{1,\zeta} r_{s}^{1/2}+\beta_{2,\zeta} r_{s}} \left(\frac{e^{2}}{a_{0}}\right) & \text{for } r_{s} \ge 1\\ (A_{\zeta} \ln r_{s}+B_{\zeta}+C_{\zeta} r_{s} \ln r_{s}+D_{\zeta} r_{s}) \left(\frac{e^{2}}{a_{0}}\right) & \text{for } 0 \le r_{s} \le 1 \end{vmatrix}$$

Perdew & Zunger parameterization (PZ91) (continued)

 \bullet parameterization of the correlation functional: $\zeta=0$ or $\zeta=1$

$$\widetilde{e}_{c}^{\text{PZ91}}(r_{s},\zeta) = \begin{vmatrix} \frac{\gamma_{\zeta}}{1+\beta_{1,\zeta} r_{s}^{1/2}+\beta_{2,\zeta} r_{s}} \left(\frac{e^{2}}{a_{0}}\right) & \text{for } r_{s} \ge 1\\ (A_{\zeta} \ln r_{s}+B_{\zeta}+C_{\zeta} r_{s} \ln r_{s}+D_{\zeta} r_{s}) \left(\frac{e^{2}}{a_{0}}\right) & \text{for } 0 \le r_{s} \le 1 \end{vmatrix}$$
with

- $\gamma_{\zeta}, \beta_{1,\zeta}, \beta_{2,\zeta}, \zeta = 0, 1$: fit of Ceperley-Alder results
- A_0 and B_0 : first two terms of the high-density expansion (RPA resummation)
- A_1 and B_1 : use the scaling (exact for RPA, valid with a 1% accuracy)

$$\widetilde{e}_{\mathrm{c}}(r_s, 1) = \frac{1}{2} \widetilde{e}_{\mathrm{c}}(r_s/2^{4/3}, 0)$$

– C_{ζ} and D_{ζ} , $\zeta = 0, 1$: chosen so that $\widetilde{e}_{c}^{PZ91}(n, \zeta)$ is C^{1} on \mathbb{R}^{*}_{+}