PRACE Spring School in Computational Chemistry 2019

## **Quantum Chemistry Workshop (Advanced)**

**Excitation Energies and Excited State Densities** 

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**Objective**: To learn how to compute electronic excitation energies at density functional theory and the coupled cluster levels using the NWChem program, as well as visualising how the total electron density is changed upon excitation

### **TD-DFT excitation energies**

- Computing electronic excitation spectra (UV/VIS) is these days possible for large molecules due to
  efficient implementations of time-dependent density functional theory (TD-DFT). Despite the name,
  the most common usage of TD-DFT is to compute excited state properties within the linear response
  framework. In the case of excitation energies, no time dependence is actually modelled.
- Note that with excitation energies available, also excited state potential energy surfaces are available.
- With modern software (and hardware), TD-DFT calculations can routinely be performed for molecules with hundreds of atoms.
- The quality of excitation energies obtained by TD-DFT depends on the exchange-correlation functional used.
  - Relative excitation energies are reproduced better than absolute values
  - Hybrid functionals usually perform better compared to GGA functionals. The part of exact exchange that hybrids include help correct for the wrong asymptotic behaviour that most functionals suffer from. Long-range corrected functionals (LC-DFT) usually fare even better.
- Generally, the results obtained by TD-DFT have been found to be satisfactory, especially considering how computationally cheap they are to compute.

### **TD-DFT excitation energies**

- There are some special categories of excitations that approximate functionals describe quite poorly:
  - Conical intersections at the excited PES (multi-reference treatment necessary)
  - Excitations that have double excitation character
  - Rydberg excited states
  - **o** Charge transfer excitations
- In CT excitations, the incoming photon excites an electron which then moves over a large distance in the molecule. *Standard TDDFT severely underestimates these excitation energies!*
- For a good overview with examples of this, see for example A. Dreuw, M. Head-Gordon, J. Am. Chem. Soc. 126 (2004) 4007. http://dx.doi.org/10.1021/ja039556n



### Self-interaction error / delocalisation error

• The Coulomb term in both **DFT** and **Hartree**—Fock contains an unphysical interaction between an electron and itself  $1 - f = -c(\vec{x}) \cdot c(\vec{x})$ 

$$J[\rho] = \frac{1}{2} \int d\vec{r_1} \int d\vec{r_2} \, \frac{\rho(\vec{r_1})\rho(\vec{r_2})}{r_{12}}$$

- With this unphysical interaction, the effective Hartree(-Fock)/KS potential is the same for all orbitals
- In HF, no problem, as this is **exactly cancelled** by the exchange term, when *i* = *j*

$$\begin{split} J[\rho] &= +\frac{1}{2} \sum_{ij} \int d\vec{r_1} \int d\vec{r_2} \, \frac{\psi_i^*(\vec{r_1})\psi_i(\vec{r_1})\psi_j^*(\vec{r_2})\psi_j(\vec{r_2})}{r_{12}} \\ E_{\mathsf{x}}^{\mathsf{HF}} &= -\frac{1}{2} \sum_{ij} \int d\vec{r_1} \int d\vec{r_2} \, \frac{\psi_i^*(\vec{r_1})\psi_j(\vec{r_1})\psi_j^*(\vec{r_2})\psi_i(\vec{r_2})}{r_{12}} \end{split}$$

• In KS-DFT, with approximate functionals, the XC-energy usually *does not* cancel the Coulomb selfinteraction!

### **One-electron SIE**

Consider the hydrogen atom with just one electron

$$E[\rho] = T_s[\rho] + J[\rho] + E_{xc}[\rho] + E_{ne}[\rho]$$

These should cancel for a one-electron system

	LDA PW92	PBE	LC-PBE	BP86	B3LYP	TPSS	M06-2X	HF
E(tot)	-0.478710	-0.499989	-0.494950	-0.500323	-0.502442	-0.500235	-0.499162	-0.499999
E(J)	0.298388	0.306818	0.301881	0.306362	0.308328	0.310512	0.306999	0.312499
E(xc)	-0.278121	-0.307457	-0.297570	-0.307144	-0.311174	-0.311018	-0.307387	-0.312499
SIE (a.u.)	0.020267	-0.000639	0.004311	-0.000783	-0.002846	-0.000505	-0.000388	0
(kcal/mol)	12.7	-0.4	2.7	-0.5	-1.8	-0.3	-0.2	0

#### • Almost all approximate functionals suffer from self-interaction error!

- Note energies below the correct answer of -0.5 Hartree
- Note different Coulomb energies between methods: different densities!
  - To minimise Coulombic self-repulsion, delocalised orbitals are unjustly favoured
  - Too diffuse orbitals with SIE
- SIE present in both exchange and correlation functionals

# Challenges in Theoretical Chemistry

### **Delocalisation error**

 Wrong behaviour of the energy of systems with partial number of electrons



#### PERSPECTIVE

# **Insights into Current Limitations of Density Functional Theory**

Aron J. Cohen, Paula Mori-Sánchez, Weitao Yang\*

Density functional theory of electronic structure is widely and successfully applied in simulations throughout engineering and sciences. However, for many predicted properties, there are spectacular failures that can be traced to the delocalization error and static correlation error of commonly used approximations. These errors can be characterized and understood through the perspective of fractional charges and fractional spins introduced recently. Reducing these errors will open new frontiers for applications of density functional theory.

Science 321 (2008) 792,

http://dx.doi.org/10.1126/science.1158722

- The energy should change linearly between N and N+1 electrons: derivative discontinuity
- Instead, **convex**, with **too low energy** for partial electrons
- Problematic with subsystems within the whole
- Wrong dissociaton of radicals (odd total electrons!)

### Dissociation of $H_2^+$

- A rather embarrassing case for DFT: qualitatively wrong dissociation of the 1-electron system H<sub>2</sub><sup>+</sup>
  - Energies in kcal/mol:



• In general, always a problem with dissociating radical ions!

### **Other practical consequences of SIE in DFT**

### Occupied orbital energies are too high

- IPs from HOMO too low
- Band gap too small
- Sometimes, aufbau principle *cannot* be satisfied!
- Problems with anions, HOMO orbital energy can become positive, that is, unbound!

### Self-interaction introduces nondynamic (left-right) correlation

- Exchange functionals in DFT have been found to introduce correlation that in WF terminology "should" not be treated by exchange
- Mild multireference systems can for this reason be treated quite well with DFT, much better than with lower order WF correlation methods!
- SIE-corrected exchange functionals seem to include *no* electron correlation

### More problems caused by SIE

- **Reaction barriers** can become too low, especially for atom-transfer reactions
- Wrong asymptotic behaviour of the XC potential
  - Approximate functionals vanish
    - exponentially (too fast) instead of:
  - Negative ions often unbound
  - $\circ~$  Occupied orbital energies too high
- **Polarizabilities** of long chains overestimated (conjugated π-systems, ...)

$$\lim_{r \to \infty} v_{\rm xc}(\mathbf{r}) = -\frac{1}{r} + I + \epsilon_{\rm HOMO}$$



### **TD-DFT excitation energies**

• The problems with **Rydberg excited states** and **charge transfer excitations** can be traced to the **selfinteraction** error and the **wrong asymptotic behaviour of the XC potential** 



- In molecules, the XC potential of (semi)local functionals decays exponentially
  - The exact XC potential should decay as -1/R
- Hybrid functionals a bit better, decay as  $-c_{HF}/R$ , where  $c_{HF}$  is the amount of exact HF exchange

### Long-range corrected functionals

- So, hybrid functionals improve the form of the XC potential at large R (as  $-c_{HF}/R$ )
- If  $c_{HF}$  would be 1 (pure HF exchange) the potential would be correct at large R
  - Pure HF exchange not a good idea, as discussed previously
- How about changing the amount of HF exchange depending on the inter-electronic distance?
  - This gives the long-range corrected version of DFT, LC-DFT
  - Also: range-separated functionals
- LC functionals partitions exchange into **short and long-range** terms smoothly using an error function
- **Short-range exchange** described mostly by the "normal" functional (typically 0–25 % HF exchange)
- Long-range exchange described mostly by exact HF exchange (typically 65—100 %)

### Long-range corrected functionals

- LC functionals partitions exchange into short and long-range terms smoothly using an error function
  - the **attenuation parameter**  $\mu$  (sometimes  $\omega$ ) defines how soon full HF exchange takes over (typically 0.3-0.5); usually fixed, better results when dynamic



• Leads to much improved CT excitation energies, among other things

### **Coupled Cluster excitation energies**

- The singles and approximate doubles coupled cluster model **CC2** is an alternative to TDDFT for computing excitation energies on large systems.
- While not (yet) as fast as TDDFT, quite large systems can already be studied. Of the wave-function based methods of computing excitation energies, it has, arguably, the best price/performance ratio.
  - It *can* describe charge transfer excitations
  - Still problems with double excitations, but you can get a diagnostic telling you if it's a problem!
- For a bit more background and an illustrative example, see C. Hättig, A. Hellweg, A. Köhn, "Intramolecular Charge-Transfer Mechanism in Quinolidines: The Role of the Amino Twist Angle", J. Am. Chem. Soc. 128 (2006) 15672. http://dx.doi.org/10.1021/ja0642010
- **Today** we will compute excitation energies with the full CCSD model, and at least in principle learn how to compute also CCSDT excitation energies

Without further ado, let's go through the basic usage of **NWChem**, the program of choice today.

### The NWChem Program — An Introduction

NWChem can compute a lot of stuff at HF, DFT, and correlated wave-function theory levels: Excitation energies, vibrational spectra, excited state geometries, *etc.* It has, from the outset, been written with scalability for supercomputers in mind.

### Web page:

- http://www.nwchem-sw.org/
  - Manual, downloads, a user forum
- https://github.com/nwchemgit/nwchem/wiki
  - New pages from version 6.8 onwards
- Here, we will not really go through how to use NWChem in general, but rather focus on how to get the program to compute excitation energies at DFT and CC levels.
- The input structure is quite clear
- There are, however, plenty of undocumented or poorly documented options

### Setting up the environment

- We will run NWChem on Sisu: https://research.csc.fi/sisu-user-guide
- You should have (received) a user name for the machine, use SSH or something else to login
- We will use the test or short queue to run our jobs; for today, a general jobfile like this should suffice:

```
#!/bin/sh
#SBATCH --job-name=excited
#SBATCH --output=jobfile.out
#SBATCH --error=jobfile.err
#SBATCH -N 4
#SBATCH --time=00:30:00
#SBATCH --partition=test
#SBATCH --no-requeue
SDIR=`pwd`
echo "Submission directory is: $SDIR"
echo "The job ID assigned by the Batch system is: $SLURM JOBID"
module unload PrgEnv-cray
module unload PrgEnv-intel
module unload PrgEnv-gnu
module load PrgEnv-intel
module load nwchem/6.8
(( ncores = SLURM NNODES * 24 ))
aprun -n $ncores -N 24 -S 12 -ss nwchem excited.nw > excited.out
```

• Submit using sbatch job-nwchem.job, after creating the excited.nw input file

### Setting up the calculations

- Let's first go through a few input examples "interactively", run them, and continue with the actual exercises
- Our example system today will be the ethene/fluoroethene "dimer", separated by an appreciable distance
  - A bit artificial, but contains a prototypical charge-transfer excitation between the HOMO and LUMO orbitals!
- Let's test how these three levels of theory describe the excitations in this system:
  - $\circ~$  Standard DFT
  - $\circ~$  Long-range corrected DFT
  - $\circ$  CCSD





### Example 1: TD-DFT energies at PBE/def2-SVP level

START etfet

TITLE "EtFEt charge transfer"

memory total 2000 mb

#### GEOMETRY

С	0.0000000	-0.67046000	-5.71886438
С	0.0000000	0.67046000	-5.71886438
Н	0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	1.25053000	-5.71913438
Н	0.93766000	1.25053000	-5.71913438
С	0.0000000	-0.67241000	1.90626563
С	0.0000000	0.67241000	1.90626563
F	1.10887000	-1.39635000	1.90632563
F	-1.10887000	-1.39635000	1.90632563
F	-1.10887000	1.39635000	1.90632563
F	1.10887000	1.39635000	1.90632563

Symmetry C2v

END

#### BASIS spherical

```
* library def2-SVP
END
basis "cd basis" spherical
 * library "Weigend Coulomb Fitting"
end
```

SCF direct End DFT xc xpbe96 cpbe96 Convergence Energy 1e-8 Vectors output etfet.movecs END TDDFT # RPA CIS NROOTS 10 SINGLET NOTRIPLET TARGETSYM b2 SYMMETRY b2 END

TASK TDDFT ENERGY

### Example 2: TD-DFT energy gradients at PBE/def2-SVP level

- For getting excited state densities (next example) we need to compute the gradients of the specific excited state in question
- Note: Only for one specified target excited state at a time
- Note: With gradients, one can also **optimise the excited state geometry** by changing
  - $\circ$  TASK TDDFT GRADIENT → TASK TDDFT OPTIMIZE
  - Optimising excited state geometries is *much* more complex than optimising GS structures, however
  - One difficulty is that one has to specify which excited state to optimise, *but the energy order of the excited states can (and often will) change* during the optimisation as the structure changes!

#### START etfet TITLE "EtFEt charge transfer" memory total 2000 mb

#### GEOMETRY

С	0.0000000	-0.67046000	-5.71886438
С	0.0000000	0.67046000	-5.71886438
Н	0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	1.25053000	-5.71913438
Н	0.93766000	1.25053000	-5.71913438
С	0.0000000	-0.67241000	1.90626563
С	0.0000000	0.67241000	1.90626563
F	1.10887000	-1.39635000	1.90632563
F	-1.10887000	-1.39635000	1.90632563
F	-1.10887000	1.39635000	1.90632563
F	1.10887000	1.39635000	1.90632563

Symmetry C2v

```
END
```

```
BASIS spherical
* library def2-SVP
END
```

```
basis "cd basis" spherical
 * library "Weigend Coulomb Fitting"
end
```

SCF direct End DFT xc xpbe96 cpbe96 Convergence Energy 1e-8 Vectors output etfet.movecs END TDDFT # RPA CIS NROOTS 2 SINGLET NOTRIPLET CIVECS GRAD ROOT 1 END TARGETSYM b2 SYMMETRY b2 END

TASK TDDFT GRADIENT

### **Example 3: Visualising the movement of the electron upon excitement**

- The DPLOT module takes care of preparing grid based 3D data
- We will use it to output Gaussian CUBE file format, as this format is widely recognised by many visualisation programs
- To get the electron density difference between the ground state and the excited state, we need to make two cube files, one with the GS density and the other with the ES density, and then take their difference
- To get NWChem to create the cube files, we need a few additional directives to the end of Example 2

### **Example 3a: Ground state density**

dplot TITLE Ground State Density vectors etfet.movecs spin total LimitXYZ -2.5 2.5 50 -2.0 3.0 50 -8.0 4.0 120 gaussian output gsdens.cube End task dplot

### **Example 3b: Excited state density**

dplot TITLE Excited State Density densmat etfet.dmat LimitXYZ -2.5 2.5 50 -2.0 3.0 50 -8.0 4.0 120 gaussian output exdens-1.cube end task dplot

- There's many tools that can manipulate CUBE files. Let's use one that works well for simple arithmetics, CubeDiff, by Iñaki Silanes wget http://isilanes.org/soft/cubediff/cubediff.r97 chmod 755 cubediff.r97
- ./cubediff.r97 +exdens-1.cube -gsdens.cube > ct.cube

### **Example 3: Visualising the movement of the electron upon excitement**

• Then let's load the resulting CUBE file with Jmol and look at the transition o Jmol ct.cube

Then, in the Jmol script window:

- o isosurface pos cutoff 0.01 ct.cube
- o isosurface neg cutoff -0.01 ct.cube





### **Example 4: Computing excitation energies using EOM-CCSD**

- EOM-CCSD calculations are rather memory intensive, so we will **increase the number of nodes to 8** in order to not run out of memory
- Another parameter that *heavily* influences performance and memory requirements is the tilesize parameter of the TCE block
  - The higher the value, the faster the calculation (usually), but the more memory the calculation will require!
  - The related parameter attilesize should be larger than tilesize
- EOM-CCSD is done with the Tensor Contraction Engince (TCE) module of NWChem
- Some comments on some parameters:
  - **eomsol 2** Faster and less memory intensive than the default solver **eomsol 1** but doesn't really work for double excitations (uses CIS for initial guess).
  - o thresh 1.0e-5 / set tce:thresheom 1.0d-4

CCSD ground state equations converged to  $10^{-5}$  (*quite sloppy!*) but the EOM excitation energies only to  $10^{-4}$ . The latter setting only works with eomsol 2.

- **DIIS 8** DIIS iterations for (excitation) amplitudes: Should be ≥ 5; sometimes playing around with this avoids convergence problems, *e.g.*, situations with  $E_{exc} \rightarrow 0$
- Plenty of other parameters to tweak and tune in the TCE!

#### START etfet TITLE "EtFEt charge transfer"

memory stack 800 mb heap 200 mb global 1000 mb

GEOMETRY

С	0.0000000	-0.67046000	-5.71886438
С	0.0000000	0.67046000	-5.71886438
Н	0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	1.25053000	-5.71913438
Н	0.93766000	1.25053000	-5.71913438
С	0.0000000	-0.67241000	1.90626563
С	0.0000000	0.67241000	1.90626563
F	1.10887000	-1.39635000	1.90632563
F	-1.10887000	-1.39635000	1.90632563
F	-1.10887000	1.39635000	1.90632563
F	1.10887000	1.39635000	1.90632563

Symmetry C2v

END

BASIS spherical \* library def2-SVP END SCF SINGLET RHF thresh 1.0e-10 tol2e 1.0e-10 END

TCE CCSD 2eorb eomsol 2 diis 8 tilesize 40 attilesize 50 DIPOLE FREEZE CORE ATOMIC NROOTS 1 thresh 1.0e-5 END

set tce:thresheom 1.0d-4

TASK TCE ENERGY

### Example 5: Computing electron densities at CCSD level

- This functionality is still quite preliminary, and almost undocumented
- Some apparent limitations:
  - Only works without symmetry (Symmetry C1)
  - Frozen orbitals cannot be used
  - Does not work with 2EORB two-electron integral scheme (= needs much more memory!)
- Let's have a look anyway

### **Example 5a: Computing the ground state CCSD density**

START etfet TITLE "EtFEt charge transfer"

memory stack 800 mb heap 200 mb global 1000 mb

#### GEOMETRY

С	0.0000000	-0.67046000	-5.71886438
С	0.0000000	0.67046000	-5.71886438
Н	0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	1.25053000	-5.71913438
Н	0.93766000	1.25053000	-5.71913438
С	0.0000000	-0.67241000	1.90626563
С	0.0000000	0.67241000	1.90626563
F	1.10887000	-1.39635000	1.90632563
F	-1.10887000	-1.39635000	1.90632563
F	-1.10887000	1.39635000	1.90632563
F	1.10887000	1.39635000	1.90632563

#### Symmetry C1

END

#### BASIS

\* library 6-31G

END

#### SCF SINGLET RHF thresh 1.0e-10 tol2e 1.0e-10 END

#### TCE

CCSD diis 5 tilesize 30 attilesize 40 thresh 1.0e-4 densmat etfet.densmat END TASK TCE ENERGY

DPLOT TITLE Ground State Density densmat etfet.densmat LimitXYZ -2.5 2.5 50 -2.0 3.0 50 -8.0 4.0 120 gaussian output gsdens.cube END TASK DPLOT

### Example 5b: Compute an excited state CCSD density

START etfet TITLE "EtFEt charge transfer"

memory stack 800 mb heap 200 mb global 1000 mb

#### GEOMETRY

С	0.0000000	-0.67046000	-5.71886438
С	0.0000000	0.67046000	-5.71886438
Н	0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	-1.25053000	-5.71913438
Н	-0.93766000	1.25053000	-5.71913438
Н	0.93766000	1.25053000	-5.71913438
С	0.0000000	-0.67241000	1.90626563
С	0.0000000	0.67241000	1.90626563
F	1.10887000	-1.39635000	1.90632563
F	-1.10887000	-1.39635000	1.90632563
F	-1.10887000	1.39635000	1.90632563
F	1.10887000	1.39635000	1.90632563

Symmetry C1

END

#### BASIS

\* library 6-31G END SCF SINGLET RHF thresh 1.0e-10 tol2e 1.0e-10 END

TCE CCSD eomsol 2 diis 8 tilesize 30 attilesize 40 NROOTS 2 thresh 1.0e-4 densmat etfet.densmat END TASK TCE ENERGY

DPLOT TITLE Excited State Density densmat etfet.densmat LimitXYZ -2.5 2.5 50 -2.0 3.0 50 -8.0 4.0 120 gaussian output exdens-2.cube END TASK DPLOT

### **Exercises, time allowing**

- 1. Compute the excitation energy of the "HOMO-LUMO" CT transition using the LC-ωPBEh functional
- 2. Compare the excitation energy of this transition with the energies of the DFT HOMO and LUMO orbitals. What do you observe?
- 3. Plot the HOMO and LUMO orbitals using appropriate DPLOT commands

### Some additional remarks

- If you need more than the default 2.6 GB/core for you NWChem calcs on Sisu, you need to edit you job script to use only a fraction of the cores per node. For around 5 GB/core, use for example:
   (( ncores = SLURM\_NNODES \* 12 ))
   aprun -n \$ncores -N 12 -S 6 -ss nwchem excited.nw > excited.out
- For large TCE calcs (larger systems, larger basis sets), more cores can help if memory is limiting
- There's also plenty of things to tune with the memory parameters. Beyond this tutorial, but adding these to the TCE block is a good start (uses more disk instead of in-core storage):

2eorb

2emet 6

idiskx 1

split 2