

# Linearized density-matrix as an approximation to the self-consistent GW total energy

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The linearized  $GW$  density matrix ( $\gamma^{GW}$ ) is an efficient method to improve the static portion of the self-energy compared to ordinary  $G_0W_0$  while keeping the single-shot simplicity of the calculation. Previous work has shown that  $\gamma^{GW}$  gives an improved Fock operator and total energy components that approach self-consistent  $GW$  quality. Here, we test  $\gamma^{GW}$  for dimer dissociation for the first time by studying  $N_2$ ,  $LiH$ , and  $Be_2$ . We also calculate a set of self-consistent  $GW$  results in identical basis sets for a direct and consistent comparison.  $\gamma^{GW}$  approaches self-consistent  $GW$  total energies for a starting point based on a high amount of exact exchange. We also compare the accuracy of different total energy functionals, which differ when evaluated with a non-self-consistent density or density matrix. While the errors in total energies among different functionals and starting points are small, the individual energy components show noticeable errors when compared to reference data. The energy component errors of  $\gamma^{GW}$  are smaller than functionals of the density and we suggest that the linearized  $GW$  density matrix is a route to improving total energy evaluations in the adiabatic connection framework.

## I. INTRODUCTION

The  $GW$  approximation to the many-electron problem<sup>1</sup> earned its reputation as a successful method for solids with accurate band structure predictions.<sup>2-5</sup> Despite its development in the 1960's and early considerations in the context of propagator theory<sup>6</sup>,  $GW$  has only recently gained popularity in chemistry for its accurate predictions of orbital energies.<sup>7-20</sup> A lesser known fact is that  $GW$  is also a ground state theory since the total energy can be obtained from the Green's function.<sup>21-24</sup> The  $GW$  total energy and the closely related Random-Phase Approximation (RPA) energy capture non-local correlation effects, such as the van der Waals interactions,<sup>25-31</sup> which makes them attractive as advanced exchange-correlation functionals in density-functional theory (DFT) or Green's function methods.

The  $GW$  equations are meant to be solved self-consistently as the solution to Dyson's equation. In practice, self-consistent solutions are still rare, though increasing in frequency. A non-self-consistent evaluation of the self-energy based on a mean-field Green's function is much more common and far less computationally expensive. As a compromise, one of us recently introduced the linearized  $GW$  density matrix, denoted  $\gamma^{GW}$ .<sup>32,33</sup>  $\gamma^{GW}$  is evaluated in a single-shot way, as with  $G_0W_0$ , but its off-diagonal elements give an update to the static portion of the self-energy that is not accessible with ordinary  $G_0W_0$ . Initial calculations show that the resulting total energies are in better agreement with reference data than ordinary  $G_0W_0$ .

To develop a better understanding of Green's-function-based total energy methods, systematic tests are required. However, such systematic benchmarking is met by several challenges. The first challenge is concep-

tual. Many nonequivalent total energy functionals of the Green's function have been proposed, e.g., RPA (or Klein functional),<sup>34</sup> Luttinger-Ward,<sup>35</sup> or Galitskii-Migdal<sup>36</sup> (GM), that only agree for the fully self-consistent  $G$ . The simple one-shot procedure, which is commonly used, is therefore problematic as it leads to functional dependent  $GW$  total energies. In the 2000's,  $GW$  total energy functionals were investigated that can be evaluated with a one-shot Green's function  $G_0$  and still retain some similarity with the fully self-consistent result.<sup>37-41</sup> Furthermore, we notice that today adiabatic-connection total energies are experiencing a renewed interest.<sup>42-44</sup> These methods go beyond  $GW$  in terms of Feynman diagrams. However, in most cases, they are implemented in a non-self-consistent fashion. A careful assessment of their performance for non-self-consistent Green's functions is therefore timely and valuable.

The second challenge relates to conservation laws that could be violated when using a one-shot procedure. For example, the electron number is not conserved in non-self-consistent  $GW$  calculations<sup>45,46</sup>. A loss or surplus of electrons leads to large changes in the electrostatic repulsion energy (Hartree energy) and subsequent total energy errors. Conversely, self-consistent  $GW$  calculations based on the Dyson equation obey the conservation laws by construction.

The last challenge involves benchmarking data. Ideally, we would test non-self-consistent total energy methods against fully self-consistent  $GW$  calculations. However, such fully self-consistent  $GW$  calculations are a numerical challenge of their own and thus rare in the literature.<sup>24,40,46-50</sup> Owing to the slow basis set convergence of  $GW$  total energy methods, all benchmarking calculations should be performed with the same basis sets. This requirement aggravates systematic benchmarking

considerably, since almost all self-consistent  $GW$  reference studies employ different basis sets.

In this work, we assess the accuracy of different total energy functionals for dimer dissociation with emphasis on the performance of the linearized  $GW$  density matrix. Recognizing the difficulty of obtaining unambiguous self-consistent  $GW$  (sc $GW$ ) data, we also perform our own sc $GW$  calculations in identical basis sets for a consistent comparison. We reach a complete picture of the performance of one-shot  $GW$  total energies, the linearized  $GW$  density matrix, and their starting point dependencies for the evaluation of total energies in critical dissociation problems. Our results allow us to perform a detailed energy component analysis on the performance of the various methods. We conclude that  $\gamma^{GW}$  corrects some of the error in energy components that appears in energy evaluations based on the non-self-consistent Green's function.  $\gamma^{GW}$  therefore shows promise as an improved single-shot total energy method.

This article is organized as follows: In Section II, we recap the different energy expressions that can be used in the context of  $GW$  total energies: sc $GW$ , RPA, and linearized  $GW$  density-matrix. We derive an analytic proof of the electron conservation of the latter. In Section III, we describe the critical steps and settings to obtain the numerical results. Then, studying molecular bond dissociations, we address the quality of the different functionals as compared to self-consistent  $GW$  in Section IV. The approximations of one-shot adiabatic-connection calculations are explored in the final results section, Section V. Conclusions are given in Section VI. Hartree atomic units are used everywhere in the manuscript. Real wave functions are assumed.

## II. GW TOTAL ENERGIES

### A. Many-body perturbation theory

Many-body perturbation theory considers the Green's function  $G$  as its central object.<sup>51</sup> The single-particle Green's function is

$$G(\mathbf{r}, \mathbf{r}', t - t') = -i \langle N | \hat{T} [\hat{\psi}(\mathbf{r}, t) \hat{\psi}^\dagger(\mathbf{r}', t')] | N \rangle \quad (1)$$

for field creation (annihilation) operator  $\hat{\psi}^\dagger(\mathbf{r}')$  ( $\hat{\psi}(\mathbf{r})$ ), time-ordering operator  $\hat{T}$ , and ground state  $|N\rangle$  (we suppress spin variables). The Green's function contains a great deal of information. For instance, at time zero the Green's function yields the so-called one-particle reduced density matrix:

$$\gamma(\mathbf{r}, \mathbf{r}') = -iG(\mathbf{r}, \mathbf{r}', 0^-), \quad (2)$$

where  $0^-$  stands for the left-hand-side limit to time 0 ( $t'$  is infinitesimally later than  $t$ ,  $t' \rightarrow t^+$ ). Going even further, contracting the spatial indices yields the electronic density:

$$\rho(\mathbf{r}) = -iG(\mathbf{r}, \mathbf{r}, 0^-). \quad (3)$$

These will be useful quantities when evaluating the total energy later.

The Green's function obeys the Dyson equation

$$G = G_0 + G_0(\Sigma_{xc}[G] - v_{xc})G. \quad (4)$$

The Dyson equation connects a non-interacting Green's function  $G_0$  obtained with the exchange-correlation potential  $v_{xc}$ <sup>52</sup> to the fully interacting Green's function  $G$  that corresponds to the self-energy  $\Sigma_{xc}$ . Space and time variables have been omitted for simplicity. Equation 4 is perhaps the best way to explain the self-energy, as the connection between  $G_0$  and  $G$ . The self-energy itself is a functional of  $G$  and therefore the Dyson equation must be solved self-consistently.

Here, we focus on the  $GW$  approximation to the self-energy. By subtracting the bare Coulomb interaction  $v$ , which gives rise to the exact-exchange operator  $\Sigma_x$ , we obtain the correlation part of the self-energy,  $\Sigma_c$ , that reads in the  $GW$  approximation<sup>1,53</sup>

$$\Sigma_c(\mathbf{r}, \mathbf{r}', t - t') = iG(\mathbf{r}, \mathbf{r}', t - t') \times [W(\mathbf{r}, \mathbf{r}', t - t') - v(\mathbf{r} - \mathbf{r}')], \quad (5)$$

with  $W$ , the screened Coulomb interaction. The  $GW$  approximation obviously depends on the Green's function  $G$  and therefore should be calculated self-consistently to satisfy the Dyson equation, in theory. But as the expression shows,  $\Sigma_c$  is dynamic and non-local, which makes the self-consistent calculations numerically involved. It is then very tempting to skip the self-consistency and evaluate the  $GW$  self-energy only once using a generalized Kohn-sham Green's function  $G_0$ .

The self-consistent  $GW$  approach has a major advantage over non-self-consistent calculations, which is that it conserves particle number. sc $GW$  is conservative according to the Baym-Kadanoff criterium:<sup>54</sup> The  $GW$  self-energy can be formally obtained from a functional derivative of a correlation functional with respect to  $G$ . This ensures that the density calculated from the resulting Green's function conserves the number of electrons.

### B. Self-consistent GW energies with Galitskii-Migdal

A general way of calculating the total energy from the Green's function is with the Galitskii-Migdal formula,

$$E_{\text{total}}^{\text{GM}}[G] = T[G] + V_{ne}[G] + E_H[G] + E_x[G] + E_c[G] + V_{nn} \quad (6)$$

for kinetic energy  $T$ , external potential energy  $V_{ne}$ , Hartree energy  $E_H$ , exchange energy  $E_x$ , correlation energy  $E_c$ , and nuclei repulsion  $V_{nn}$ . All of these energy components are functionals of the Green's function and can be evaluated with any given candidate  $G$ .

However, only the correlation energy itself actually depends on the full dynamical Green's function  $G(\mathbf{r}, \mathbf{r}', t -$

$t'$ ). All the other components just need the time zero Green's function. For instance, let us show this statement for the kinetic energy, whose definition as a functional of  $G$  reads<sup>55</sup>

$$T[G] = -i \int d\mathbf{r} \lim_{t' \rightarrow t^+} \lim_{\mathbf{r}' \rightarrow \mathbf{r}} \left( -\frac{\nabla_{\mathbf{r}}^2}{2} \right) G(\mathbf{r}, \mathbf{r}', t - t'). \quad (7)$$

The kinetic operator  $-\nabla_{\mathbf{r}}^2/2$  does not act on the time variables so that the limit  $t' \rightarrow t^+$  and the kinetic operator can be swapped. With this, the kinetic energy becomes an explicit functional of the sole one-particle reduced density matrix  $\gamma$  introduced in Eq. (2):

$$T[\gamma] = \int d\mathbf{r} \lim_{\mathbf{r}' \rightarrow \mathbf{r}} \left( -\frac{\nabla_{\mathbf{r}}^2}{2} \right) \gamma(\mathbf{r}, \mathbf{r}'). \quad (8)$$

Similar arguments can be used to demonstrate that the exchange energy is also a functional of  $\gamma$ :

$$E_x[\gamma] = -\frac{1}{2} \int d\mathbf{r} \int d\mathbf{r}' \gamma(\mathbf{r}, \mathbf{r}') \frac{1}{|\mathbf{r} - \mathbf{r}'|} \gamma(\mathbf{r}', \mathbf{r}) \quad (9)$$

and that the electrostatic energies  $V_{ne}$  and  $E_H$  are functionals of the even simpler electronic density  $\rho(\mathbf{r})$ .

To summarize these remarks, we explicitly introduce  $\gamma$  and  $\rho$  in the Galitskii-Migdal total energy expression introduced in Eq. (6):

$$E_{\text{total}}^{\text{GM}}[G] = T[\gamma] + V_{ne}[\rho] + E_H[\rho] + E_x[\gamma] + E_c[G] + V_{nn}. \quad (10)$$

Our total energy calculations based on scGW follow this Galitskii-Migdal procedure. Just the correlation energy  $E_c[G]$  is not defined yet. The general correlation energy in the Galitskii-Migdal formalism is

$$E_c[G] = \frac{1}{2} \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \text{Tr}\{G(\mu + i\omega)\Sigma_c(\mu + i\omega)\}, \quad (11)$$

where the Tr operator implies an integral over the spatial coordinates. In the previous expression, we have introduced the Fourier transform of the correlation self-energy  $\Sigma_c$  and of the Green's function  $G$  for imaginary frequencies  $\mu + i\omega$  with  $\mu$  a real-valued energy that separates occupied and empty electronic states. Our own Galitskii-Migdal energies are numerically evaluated with Eq. 11.

The correlation energy can be transformed in an equivalent expression that is numerically simpler and more similar to the adiabatic-connection correlation energy as we will see. Let us introduce in Eq. (11) the irreducible polarizability  $\chi_0 = -iGG$ , the  $GW$  correlation self-energy from Eq. (5), the expression of the screened Coulomb interaction  $W = v + v\chi v$  as a function of the reducible polarizability  $\chi = \chi_0 + \chi_0 v\chi$  to obtain

$$E_c[G] = \frac{1}{2} \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \text{Tr}\{v\chi_0(i\omega) - v\chi(i\omega)\}. \quad (12)$$

Eq. 12 is the Galitskii-Migdal correlation energy in the  $GW$  approximation.

In practical calculations,  $GW$  total energies are known to precisely capture the correlation energy of the homogeneous electron gas.<sup>22,23,37,48</sup> However, the correlation energy is found to be too negative for molecules.<sup>24,41</sup> Higher-order terms are necessary to fix this shortcoming.<sup>56</sup>

### C. Non-self-consistent Klein functional or random-phase approximation

As the self-consistent evaluation of the  $GW$  self-energy and Green's function is very challenging, it is common to use single-shot calculations of  $G$  when evaluating the total energy. This introduces both a dependence on the mean-field starting point *and* a dependence on the choice of energy functional. As mentioned previously, different expressions for the total energy do not agree for non-self-consistent Green's functions.

The most widely used approximation in this context is certainly the Klein functional<sup>34</sup> and its DFT counterpart, RPA. The Klein functional is obtained from the adiabatic connection of a non-interacting and a fully interacting system with the same (exact) electronic density. The Hohenberg-Kohn theorem<sup>57</sup> guarantees that a local potential that produces the exact density can always be found irrespective of the Coulomb interaction strength  $\lambda$ .

Hence, with this constant density, the different components of the total energy can be integrated over the coupling constant  $\lambda$  from zero (non-interacting electrons) to one (fully interacting electrons). The obtained expression contains functionals with logarithms of the self-energy, which would be rather difficult to evaluate for general Green's functions  $G$  and is of no use to us here (See Appendix B of Ref. 40, for instance).

However, the Klein functional simplifies much when evaluated with a Green's function  $G_0$  produced from a one-electron self-consistent field (SCF). In this case,  $G_0$  reads

$$G_0(\mathbf{r}, \mathbf{r}', \omega) = 2 \sum_n \frac{\varphi_n(\mathbf{r})\varphi_n^*(\mathbf{r}')}{\omega - \epsilon_n \pm i\eta}, \quad (13)$$

where  $\varphi_n(\mathbf{r})$  and  $\epsilon_n$  are the eigenfunctions and eigenvalues obtained for the SCF.  $\eta$  is a vanishing positive real number. Then the Klein functional becomes<sup>39</sup>

$$E_K[G_0] = T_s[\varphi] + V_{ne}[\rho^{\text{SCF}}] + E_H[\rho^{\text{SCF}}] + E_x[\varphi] + \Phi_c[G_0] + V_{nn}, \quad (14)$$

where we stress with the notation  $T_s[\varphi]$  that the kinetic energy is evaluated with Kohn-Sham orbitals and hence does not contain the correlation part of the kinetic energy. The SCF density is denoted  $\rho^{\text{SCF}}$ .

Finally, the correlation functional  $\Phi_c[G_0]$  introduced in Eq. (14) is identical to the one coined RPA in the framework of the adiabatic-connection fluctuation-dissipation

approach to DFT:<sup>58</sup>

$$\Phi_c[G_0] = \frac{1}{2} \int_{-\infty}^{\infty} \frac{d\omega}{2\pi} \text{Tr} \{v\chi_0(i\omega) + \ln[1 - v\chi_0(i\omega)]\}. \quad (15)$$

In this work, energies denoted RPA are calculated with Eqs. 14 and 15. Notice the differences and similarities between the correlation energy functionals  $E_c$  defined in Eq. (12) and  $\Phi_c$  defined in Eq. (15). The difference between  $\Phi_c$  and  $E_c$  is usually interpreted as the kinetic correlation energy that  $\Phi_c$  should contain whereas  $E_c$  should not.

In non-self-consistent calculations, the RPA functional and the Klein functional give the same total energy. However, the agreement is lost at self-consistency.<sup>47</sup> Remember that the RPA functional is defined in the framework of Kohn-Sham DFT and that the self-consistent cycles are performed to obtain a *local* Kohn-Sham potential. The Klein functional is a Green's function approach and will converge to the self-consistent *GW* result. As the vast majority of the practical cases use a non-self-consistent approach, we will consider RPA or Klein functional as synonyms in the following.

#### D. Linearized *GW* density matrix

Recently, the linearized *GW* density-matrix ( $\gamma^{GW}$ ) was introduced. It provides a third option to compute the total energy in our study, the other two being Galitskii-Migdal and the Klein functional.<sup>32,33</sup> This density matrix is obtained from the linearized Dyson equation

$$G = G_0 + G_0(\Sigma_{xc}[G_0] - v_{xc})G_0, \quad (16)$$

where all Green's functions  $G$  on the right-hand side of the equation have been replaced with a non-interacting  $G_0$ . This linear approximation is customary in the context of the Sham-Schlüter equation,<sup>59,60</sup> where a local potential is derived from a non-local dynamical self-energy.

The linearized *GW* density matrix has several interesting properties, despite the fact that it is obtained from a linearized approximation. First,  $\gamma^{GW}$  has a closed expression in the Kohn-Sham orbital basis:

$$\gamma_{ij}^{GW} = 2\delta_{ij} - 2 \sum_{as} \frac{w_{ia}^s w_{ja}^s}{(\epsilon_i - \epsilon_a - \Omega_s)(\epsilon_j - \epsilon_a - \Omega_s)} \quad (17a)$$

$$\gamma_{ab}^{GW} = 2 \sum_{is} \frac{w_{ai}^s w_{bi}^s}{(\epsilon_i - \epsilon_a - \Omega_s)(\epsilon_i - \epsilon_b - \Omega_s)} \quad (17b)$$

$$\begin{aligned} \gamma_{ib}^{GW} = & 2 \frac{\langle i | \Sigma_x - v_{xc} | b \rangle}{\epsilon_i - \epsilon_b} \\ & + 2 \frac{1}{\epsilon_i - \epsilon_b} \left[ \sum_{as} \frac{w_{ia}^s w_{ba}^s}{(\epsilon_i - \epsilon_a - \Omega_s)} \right. \\ & \left. - \sum_{js} \frac{w_{ij}^s w_{bj}^s}{(\epsilon_j - \epsilon_b - \Omega_s)} \right], \quad (17c) \end{aligned}$$

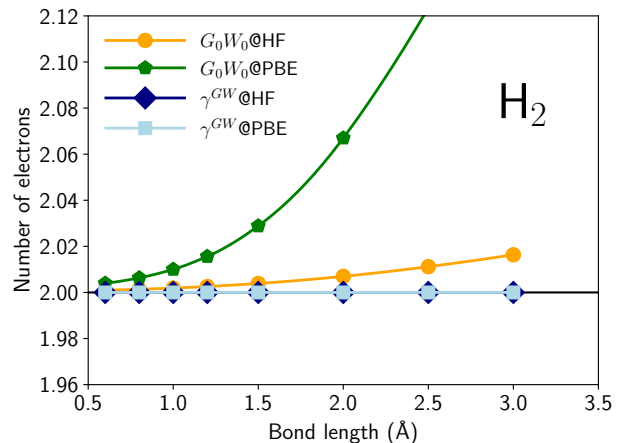


FIG. 1. Number of electrons as a function of the bond length in  $H_2$  for different approximations.  $G_0W_0$  stands for a one-shot evaluation of the Dyson equation, whereas  $\gamma^{GW}$  stands for the linearized *GW* density-matrix. Calculations are performed in aug-cc-pV5Z basis set.

where  $i, j$  indices run over occupied orbitals and  $a, b$  over empty orbitals. The virtual-occupied terms  $\gamma_{bi}^{GW}$  can be readily obtained thanks to the symmetry of the density matrix. The poles  $\Omega_s$  and the residues  $w^s$  of the reducible polarizability  $v\chi v$  can be obtained analytically<sup>61–63</sup> solving Casida-like equations.<sup>64,65</sup> A detailed derivation and the generalization of spin-unrestricted case for these equations can be found in Ref. 33.

Second, the linearized *GW* density matrix conserves the number of electrons, which is not the case for regular non-self-consistent Green's functions. The number of electrons is obtained from the trace of  $\gamma^{GW}$ , which we can perform analytically by considering the diagonal terms in Eqs. (17a)-(17c):

$$\begin{aligned} \text{Tr}\gamma^{GW} &= \sum_i \gamma_{ii}^{GW} + \sum_{a\sigma} \gamma_{aa\sigma}^{GW} \\ &= \sum_i 2\delta_{ii} = N. \end{aligned} \quad (18)$$

We have used the symmetry  $w_{ia}^s = w_{ai}^s$  to arrive at the final result.

In Fig. 1, we illustrate the gain of electrons with ordinary  $G_0W_0$  and conservation of electrons with  $\gamma^{GW}$  by studying the stretched  $H_2$  molecule. The one-shot Dyson equation is solved numerically for imaginary frequencies. The Hartree-Fock (HF) based  $G_0$  reproduces earlier calculations and gives a relatively small error.<sup>41,66</sup> Conversely, for PBE-based  $G_0W_0$  calculations, the electron number is already too high at equilibrium and then increases further as the hydrogen atoms move apart from each other. As expected from the formal derivation in Eq. (18), the linearized density-matrix  $\gamma^{GW}$  always perfectly conserves the number of electrons, irrespective of the SCF starting point.

Finally, we propose an alternative expression for the total energy that equals the scGW total energy when evaluated with a self-consistent Green’s function<sup>33</sup>

$$E_{\text{total}}^{\gamma^{GW}} = T[\gamma^{GW}] + V_{ne}[\rho^{GW}] + E_H[\rho^{GW}] + E_x[\gamma^{GW}] + E_c[G_0] + V_{nn}. \quad (19)$$

In Eq. (19), the correlation energy  $E_c$  is the Galistkii-Migdal expression shown in Eq. (12) but evaluated with a non-interacting Green’s function  $G_0$ . This expression is different from the correlation energy of the RPA/Klein functional ( $\Phi_c$ ) in that it does not include the kinetic correlation energy, which is already included in the kinetic energy term  $T[\gamma^{GW}]$ . As a side note we like to reiterate that  $\gamma^{GW}$  is a correlated density matrix with occupation numbers that depart from 0 or 1 (non-idempotency). In previous work, one of us has shown that the occupation numbers of  $\gamma^{GW}$  approximate those obtained from scGW for the stretched  $\text{H}_2$  molecule.<sup>33</sup>

Now we need to evaluate the different total energy expressions for realistic molecules. We first present in the following sections the technical details for the numerical implementations.

### III. GW TOTAL ENERGIES IN GAUSSIAN BASIS WITH MOLGW AND FHI-AIMS

To compare the different total energy expressions in practice, we have used two computer codes that have GW capabilities for molecules, namely MOLGW<sup>63</sup> and FHI-AIMS.<sup>11,67</sup> Both codes can use the same Gaussian basis sets. Nevertheless, some important technical details vary.

MOLGW uses analytic Gaussian-type orbitals, as is customary in quantum chemistry. With this choice of orbitals, the integrals in the Hamiltonian can be evaluated analytically with recursive formulas.<sup>68,69</sup> FHI-AIMS uses numeric atomic-centered orbitals. This approach is more versatile as any type of atomic-centered orbital can be used, in principle. However, the integrals have to be computed using a quadrature.<sup>67</sup> In the present study, we employ spherical Gaussian orbitals from the Dunning family.<sup>70</sup> The discretization and quadrature errors in FHI-AIMS are known to be negligible. We use the same settings for the basis and numerical quadrature as determined in Ref. 71 for Gaussian-type orbitals in FHI-AIMS.

Both codes use the resolution of the identity approximation in order to eliminate the two-electron 4-center repulsion integrals.<sup>72,73</sup> This approximation has been shown to be extremely efficient and accurate for the GW self-energy.<sup>9,11,74</sup> In MOLGW and FHI-AIMS, an atomic-centered auxiliary basis is introduced to split the 4-center integrals into 2-center and 3-center integrals using the so-called Coulomb metric. For our present purpose of total energy comparisons, we have used much more complete auxiliary basis sets than usually needed

for GW orbital energies. In MOLGW, we have used the “PAUTO” recipe as described in Ref. 75 and implemented in GAUSSIAN.<sup>76</sup> This technique automatically generates an auxiliary basis set corresponding to an input basis set. Its accuracy in the context of GW calculations has already been assessed in Ref. 77. In FHI-AIMS, the RI basis is initialized with all possible on-site products of the chosen numeric atomic-centered orbitals which, in this work, are the Gaussian-type orbitals. The set of these auxiliary basis functions centered on a chosen atomic site are reduced with a Gram-Schmidt-like orthogonalization procedure. FHI-AIMS further reduces the auxiliary basis through a singular value decomposition to orthogonalize auxiliary basis functions centered on different atoms.

In Table I, we show the HF total energy at the micro-Hartree accuracy for three systems: the helium atom, the neon atom, and ethene ( $\text{C}_2\text{H}_4$ ). The error induced by the two different auxiliary bases can be measured by the difference in their HF energies. It is always lower than 0.1 mHa, which is more than sufficient for all the results that will be reported in the following.

Finally, the two codes treat the GW self-energy differently. In scGW calculations, FHI-AIMS fits all dynamical quantities needed for the self-consistent calculation on an additional auxiliary basis of Lorentzians in order to perform Fourier transforms analytically.<sup>78</sup> As shown in Eq. (12), the Green’s function  $G(\mu+iu)$  is only needed for imaginary frequencies to calculate the correlation energy. The same statement holds for the density and the density matrix entering the other parts of the energy expression in Eq. (10). As a consequence, the entire total energy can be evaluated from the sole knowledge of  $G(\mu+iu)$  at the expense of a quadrature on the imaginary axis. FHI-AIMS uses an exponentially spaced imaginary frequency grid so that grid point  $k$  is placed at

$$\omega_k = \omega_0[e^{(k-1)h} - 1] \quad (20)$$

for a constant  $h$  that determines the maximum frequency. Our calculations are converged with 60 frequency points, in agreement with previous convergence studies.<sup>78</sup>

MOLGW takes an alternative route to calculating the self-energy, as it is mostly devoted to “one-shot” calculations. When a non-interacting Green’s function  $G_0$  is used, a simple spectral decomposition of the self-energy can be obtained, as shown in Ref. 63, but at the expense of a large diagonalization. With this spectral decomposition, the correlation energy is calculated analytically.

The “one-shot” GM  $G_0W_0$  correlation energy based on a HF starting point computed with both codes is given in Table I for the same three electronic systems. The difference between FHI-AIMS and MOLGW quantifies the quadrature error. In all cases, the error remains well below 0.1 mHa. In the end, the GM total energy  $E_{\text{total}}^{\text{GM}}$ , which is the sum of the two previous columns, varies very little when comparing the two codes. Therefore, we have verified the consistency of the results obtained with MOLGW and FHI-AIMS.

TABLE I. Hartree-Fock,  $G_0W_0$ @HF GM correlation and total energies in cc-pVQZ basis obtained in FHI-AIMS and MOLGW codes (Ha).

	HF	$E_c[G_0]$	$E_{\text{total}}^{\text{GM}}$
He			
FHI-AIMS	-2.861514	-0.120551	-2.982065
MOLGW	-2.861514	-0.120554	-2.982068
Diff.	$2.3 \times 10^{-7}$	$2.5 \times 10^{-6}$	$2.7 \times 10^{-6}$
Ne			
FHI-AIMS	-128.543452	-0.759737	-129.303189
MOLGW	-128.543470	-0.759780	-129.303250
Diff.	$1.8 \times 10^{-5}$	$4.4 \times 10^{-5}$	$6.1 \times 10^{-5}$
$\text{C}_2\text{H}_4$			
FHI-AIMS	-78.068893	-0.997408	-79.066301
MOLGW	-78.068823	-0.997380	-79.066203
Diff.	$7.0 \times 10^{-5}$	$2.8 \times 10^{-5}$	$9.8 \times 10^{-5}$

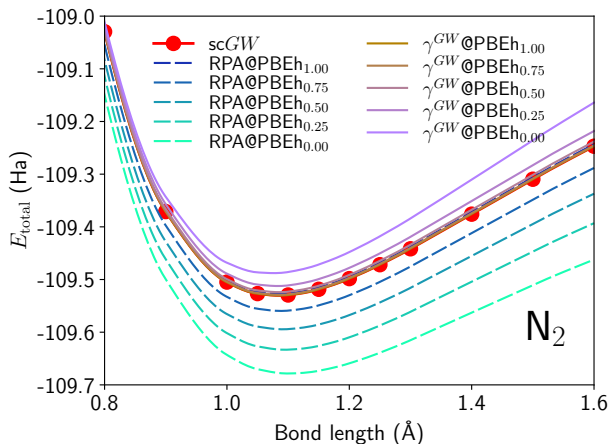


FIG. 2.  $\text{N}_2$  dissociation curve obtained with scGW and different one-shot evaluations in cc-pVQZ basis. RPA or Klein functional total energies are shown with dashed lines. Linearized GW total energies are shown with solid lines.

#### IV. DISSOCIATION CURVES

We can now evaluate the performance of the different GW total energies for realistic situations. Diatomic molecules are very often considered as a benchmark for computational chemistry methods. Here, we treat three molecules that have very different types of bond:  $\text{N}_2$ , a covalently bonded molecule, LiH, an ionic molecule, and  $\text{Be}_2$ , a van der Waals bonded dimer.

In the following, we compare the scGW total energy to the one-shot evaluations in the RPA/Klein functional, labeled RPA, or in the GM functional based on the linearized GW density-matrix, denoted  $\gamma^{GW}$ . As the latter two formulas are not self-consistent, they necessarily depend on the SCF approximation on which they are based.

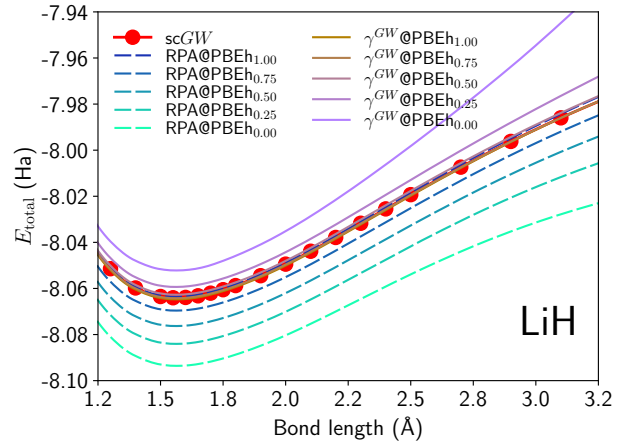


FIG. 3. LiH dissociation curve obtained with scGW and different one-shot evaluations in cc-pVQZ basis. RPA or Klein functional total energies are shown with dashed lines. Linearized GW total energies are shown with solid lines.

TABLE II. Equilibrium bond lengths in Angstrom for  $\text{N}_2$ , LiH, and  $\text{Be}_2$ . Below the scGW results, rows correspond to the starting self-consistent mean-field inputs, whereas columns show the two energy formulas, RPA or  $\gamma^{GW}$ .

	$\text{N}_2$		LiH		$\text{Be}_2$	
scGW	1.0865		1.5627		2.6567	
	RPA	$\gamma^{GW}$	RPA	$\gamma^{GW}$	RPA	$\gamma^{GW}$
PBEh <sub>1.00</sub>	1.0859	1.0861	1.5604	1.5631	2.6838	2.6844
PBEh <sub>0.75</sub>	1.0886	1.0861	1.5611	1.5619	2.5953	2.6773
PBEh <sub>0.50</sub>	1.0914	1.0855	1.5617	1.5612	2.5328	2.6817
PBEh <sub>0.25</sub>	1.0946	1.0836	1.5632	1.5580	2.4655	2.8269
PBEh <sub>0.00</sub>	1.0985	1.0767	1.5674	1.5616	2.3683	3.2400

We use the notation “RPA@” and “ $\gamma^{GW}$ @” to highlight the starting point dependence.

A convenient way of exploring the starting point dependence is to play with the exact-exchange content  $\alpha$  in the PBEh hybrid functional.<sup>79</sup> Within this approach, the standard PBE functional<sup>80</sup> is denoted PBEh<sub>0.00</sub> and the PBE0 functional<sup>81</sup> PBEh<sub>0.25</sub>.

Figure 2 shows the dissociation curves for the  $\text{N}_2$  molecule. The equilibrium bond lengths are summarized in Table II. Even though all the curves have a very similar minimum, the  $\gamma^{GW}$  total energy is less sensitive to the starting point than RPA. For PBEh<sub>1.00</sub>, both RPA and  $\gamma^{GW}$  agree remarkably well with the scGW curve. However, when decreasing the amount of exact-exchange, the RPA energies continuously go down. On the contrary, the  $\gamma^{GW}$  energies are much less sensitive to the SCF starting point and slowly go up when decreasing  $\alpha$ .

The very same conclusions can be drawn from the analysis of LiH dissociation in Fig. 3: Both expressions agree

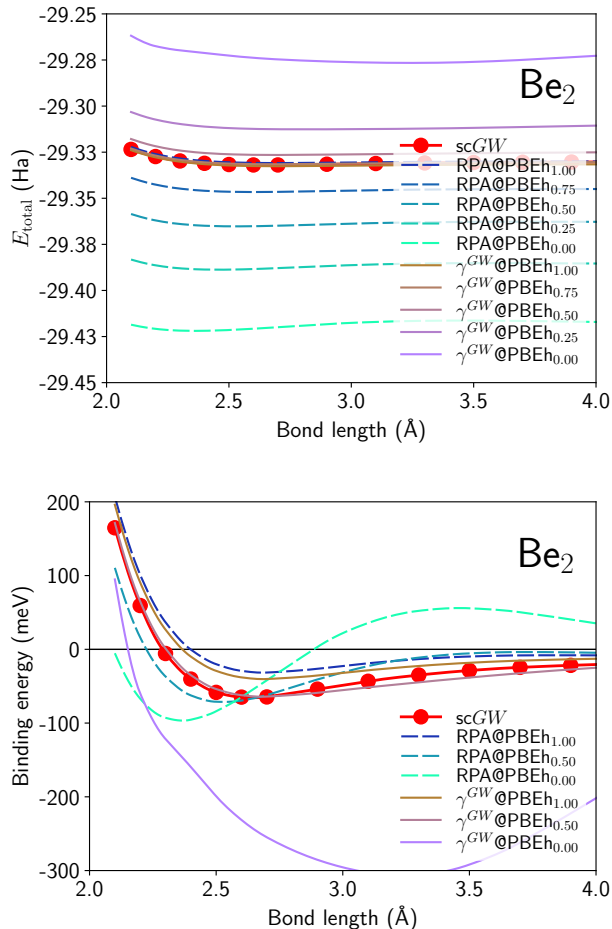


FIG. 4.  $\text{Be}_2$  dissociation curve with scGW and different one-shot evaluations in cc-pV5Z basis (upper panel).  $\text{Be}_2$  binding energy with scGW and different one-shot evaluations in cc-pV5Z basis (lower panel).

for  $\text{PBEh}_{1.00}$ , and  $\gamma^{GW}$  is less sensitive to the starting point than RPA. Here, for LiH, a pathological behavior of  $\gamma^{GW}@PBEh_{0.00}$  can be observed: The total energy rises too rapidly as the bond length increases. The weird behavior happens in the region where the transition from an ionic bonding  $\text{Li}^+ \text{H}^-$  to an atomic limit  $\text{Li} \cdot \text{H} \cdot$  starts.<sup>82</sup>

Then we turn to the delicate case of  $\text{Be}_2$ , which has been carefully investigated in the past to determine the ability of the RPA functional to capture the elusive van der Waals interactions.<sup>83–85</sup>  $\text{Be}_2$  is interesting for another reason: its binding energy curve often exhibits a large positive bump at intermediate bond lengths.

The upper panel of Fig. 4 shows the total energy along the  $\text{Be}_2$  dissociation. Again, the RPA dependence on the SCF starting point is worrying, whereas the  $\gamma^{GW}$  expression is much less sensitive. However, the binding energy of the beryllium dimer is so weak that it is better to inspect the binding energy curves instead, in which the energy of the two isolated beryllium atoms has been subtracted from the total energy.

The lower panel of Fig. 4 shows the binding energy curves of  $\text{Be}_2$ . First of all, scGW produces a smooth binding energy curve with a minimum and no bump at intermediate bond lengths. This in itself is a remarkable result, which has, to our knowledge, not been reported, yet. This behavior contrasts with the huge positive bump found for  $\text{RPA}@PBEh_{0.00}$  and the huge negative bump observed for  $\gamma^{GW}@PBEh_{0.00}$ . However when the exact-exchange amount is increased, both functionals behave much better. In particular,  $\gamma^{GW}@PBEh_{0.50}$  is a very convincing approximation to scGW.

Across these dissociation curves, one can draw the general conclusion that the PBE starting point should be avoided for molecules. Additionally, hybrid functionals with a large content of exact-exchange are a better SCF starting point for both RPA and  $\gamma^{GW}$  in the sense that they better approach the scGW result. The  $\gamma^{GW}$  total energy appears less sensitive to the starting point and might be thought of as a reliable way to avoid the heavy fully self-consistent GW calculations.

## V. ENERGY COMPONENT COMPARISON

In the previous Section, we discussed the quality of total energies in the non-self-consistent approximations to scGW. However, even when they agree, these approximations are built with different energy components. For instance, the Hartree energy in the RPA functional is constructed directly from a DFT electronic density, whereas in the  $\gamma^{GW}$  functional, it is obtained from the linearized GW density matrix. Even when the total energies match between RPA,  $\gamma^{GW}$  and scGW, it is very much possible that the individual components of the total energy differ.

In our study, the individual parts of the scGW total energy are available, which provides us with a unique opportunity to appraise the quality of each component of the total energy. This analysis is instructive not only for the approximation to the GW total energy itself, but for the general framework of adiabatic-connection fluctuation-dissipation (ACFD). Indeed, the vast majority of the ACFD approaches rely on a non-self-consistent calculation, in which the electronic density is kept constant and equal to the underlying SCF starting point.

In this section, we consider the examples of water and methane, whose energy components are shown in Figs. 5 and 6. In these series of plots, we provide the total energy, the kinetic energy, the electron-nucleus energy, the Hartree energy, the exchange energy, and the sum of the latter three as a function of the starting SCF method. To span a wide range of starting points, we give the results for all the tuned PBEh functionals from  $\alpha = 0$  to  $\alpha = 1$  and also for pure HF. As reference, we also provide the scGW and the coupled-cluster (CCSD) results. The latter ones have been calculated with Gaussian16.<sup>76</sup> Note that for comparison purposes, we have enforced the same energy scale on the y-axis and the data sometimes fall outside the graph.



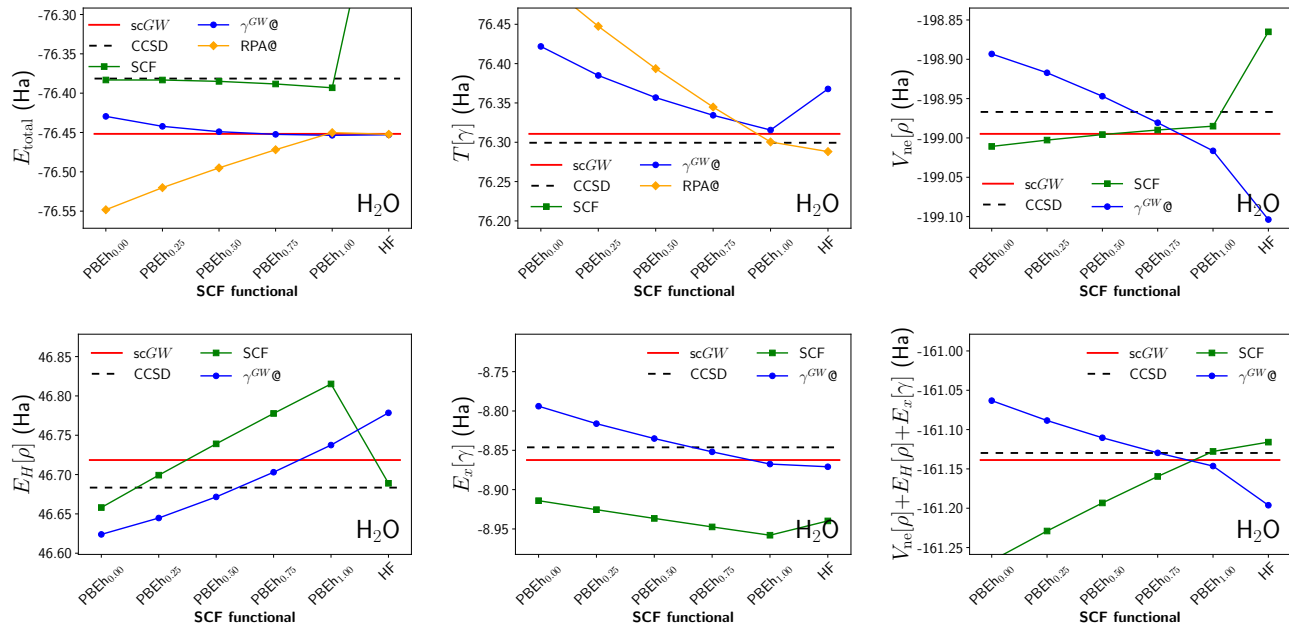


FIG. 5.  $\text{H}_2\text{O}$  energy decomposition as a function of the starting SCF functional in cc-pVQZ basis. Energy parts are given for SCF, RPA,  $\gamma^{GW}$ , scGW, and CCSD. Results for scGW and CCSD are independent from the starting point. Upper left panel is the total energy, upper central panel the kinetic energy, and upper right panel the electron-nucleus energy. Lower left panel is the Hartree energy, lower central panel the exchange energy, and lower right the sum of electron-nucleus, Hartree and exchange energies.

The upper left panels of Fig. 5 and 6 represent the total energy of  $\text{H}_2\text{O}$  and  $\text{CH}_4$ . They confirm the previous conclusions:  $\gamma^{GW}$  reproduces quite well the scGW total energy irrespective of the starting point. RPA is more sensitive to the starting point, but with high amounts of exact exchange in the starting point both RPA and  $\gamma^{GW}$  reproduce the scGW total energy well. We also see that the scGW total energy is too low compared to CCSD.

Turning to the kinetic energy  $T[\gamma]$  in the upper central panels of Fig. 5 and 6, the explanation requires some additional details. scGW, CCSD, and  $\gamma^{GW}$  methods give direct access to the reduced density matrix and therefore the kinetic energy can be calculated directly. This kinetic energy readily incorporates the so-called correlation part of the kinetic energy. The SCF kinetic energy is calculated from the Kohn-Sham orbitals and misses this correlation part. This explains why the SCF kinetic energies are way too low and the curve does not even appear on the graph. Finally, the RPA kinetic energy is defined indirectly:

$$T^{\text{RPA}} = T_s[\varphi_i] + E_c[G_0] - \Phi_c[G_0], \quad (21)$$

as the adiabatic-connection in  $\Phi_c[G_0]$  is meant to capture the pure correlation energy together with the kinetic energy correlation. From the upper central panels of Figs. 5 and 6, we observe that both RPA and  $\gamma^{GW}$  kinetic energies are very sensitive to the starting SCF functional.

For the next energies in Figs. 5 and 6, namely the

electron-nucleus  $V_{\text{ne}}$ , Hartree  $E_H$ , and exchange  $E_x$  energies, the RPA values are identical to the SCF energies in the “one-shot” approach. For the other methods, one can first note the astonishing agreement of those energies within scGW and CCSD. Then, both RPA and  $\gamma^{GW}$  energies are rather sensitive to the chosen starting point.

However, the different deviations may compensate to some extent. Let us quantify this with the lower right panels of Figs. 5 and 6. There we draw the sum  $V_{\text{ne}} + E_H + E_x$  that is not updated in a “one-shot” adiabatic-connection approach. For the SCF calculations alone, a large amount of exchange is required to match scGW or CCSD for  $\text{H}_2\text{O}$ , whereas for  $\text{CH}_4$  SCF always remains too low. Conversely,  $\gamma^{GW}$  agrees well with scGW and CCSD for large amounts of exchange for both molecules.

We conclude that the “one-shot” adiabatic-connection approach can be problematic since simple parts of the total energy, such as the electrostatic and the exchange components, are kept unchanged and equal to their SCF starting point. Hence, improving the adiabatic connection total energy would imply compensating the “one-shot” error with the correlation energy. This could, in turn, worsen the correlation energy component by itself. Working with an improved density matrix, such as  $\gamma@PBEh_{0.75}$  would accurately separate the necessary improvement to the correlation energy from the improvement to the electrostatic and exchange energies. Com-



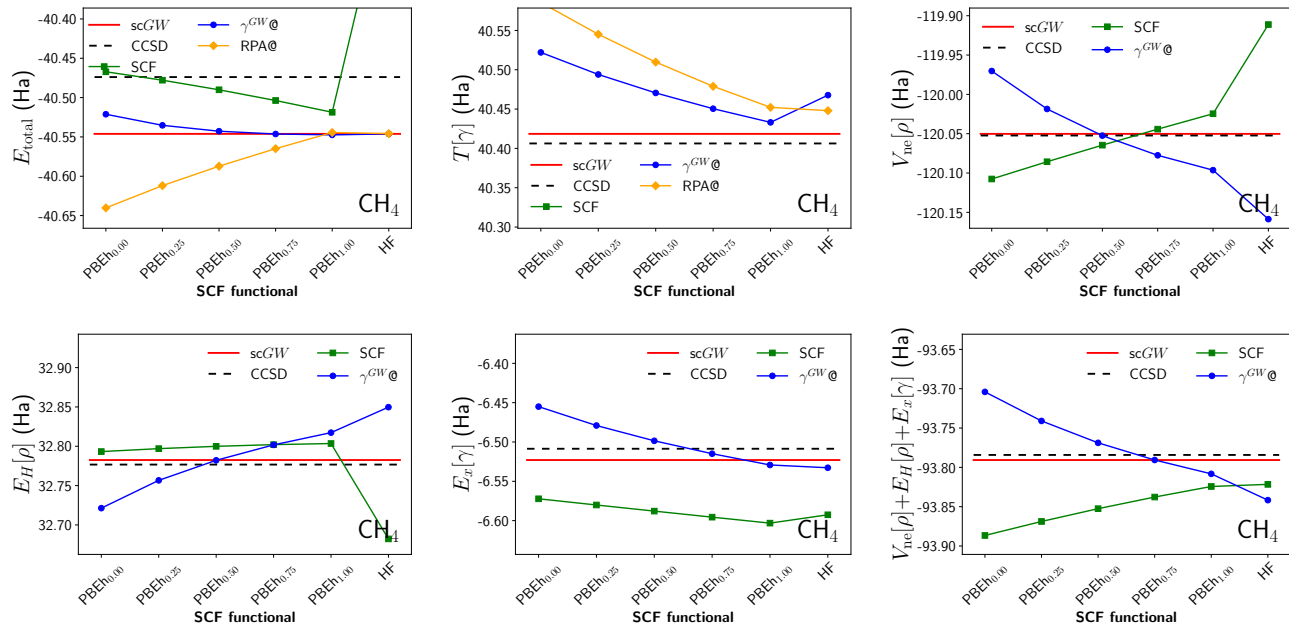


FIG. 6.  $\text{CH}_4$  energy decomposition as a function of the starting SCF functional in cc-pVQZ basis. Energy parts are given for SCF, RPA,  $\gamma^{GW}$ , scGW, and CCSD. Results for scGW and CCSD are independent from the starting point. Upper left panel is the total energy, upper central panel the kinetic energy, and upper right panel the electron-nucleus energy. Lower left panel is the Hartree energy, lower central panel the exchange energy, and lower right the sum of electron-nucleus, Hartree and exchange energies.

pared with scGW and CCSD,  $\gamma$ @PBEh<sub>0.75</sub> gives good total energies and total energy components.

## VI. CONCLUSION

In this article, we have compared the performance of approximated  $GW$  total energy functionals to the self-consistent reference value. We have especially studied the RPA functional (also named Klein functional) and the recently proposed linearized density matrix total energy. We have shown analytically and numerically that the linearized  $GW$  density matrix conserves the number of electrons, an important property which is violated by the usual one-shot Dyson equation.

We have shown that the linearized density-matrix total energy is less sensitive to the starting SCF functional than the regular RPA when studying dissociation of diatomic molecules, including the famously difficult example of  $\text{Be}_2$ . Both RPA and  $\gamma^{GW}$  total energies better approach scGW when starting from hybrid functionals with a high content of exact-exchange (0.75-1.00). This gives us a hint that those SCF functionals produce Green's functions which are reasonably close to that obtained with scGW.

With a term by term comparison of the total energy components for water and methane, we have appraised the intrinsic error introduced when performing a one-shot adiabatic-connection calculation. In one-shot cal-

culations, the electron-nucleus, the Hartree and the exchange energies are kept equal to the SCF starting point. For methane, we show that no simple hybrid functional correctly produces these energy components and no error cancellation occurs in their sum, which is not accurate when compared to the reference data. Therefore, the error in these energies permeates up to the final total energy. These findings show that the quest for a better adiabatic-connection correlation energy should come along with a quest for a better density matrix. The linearized  $GW$  density matrix may be a rung towards achieving that goal.

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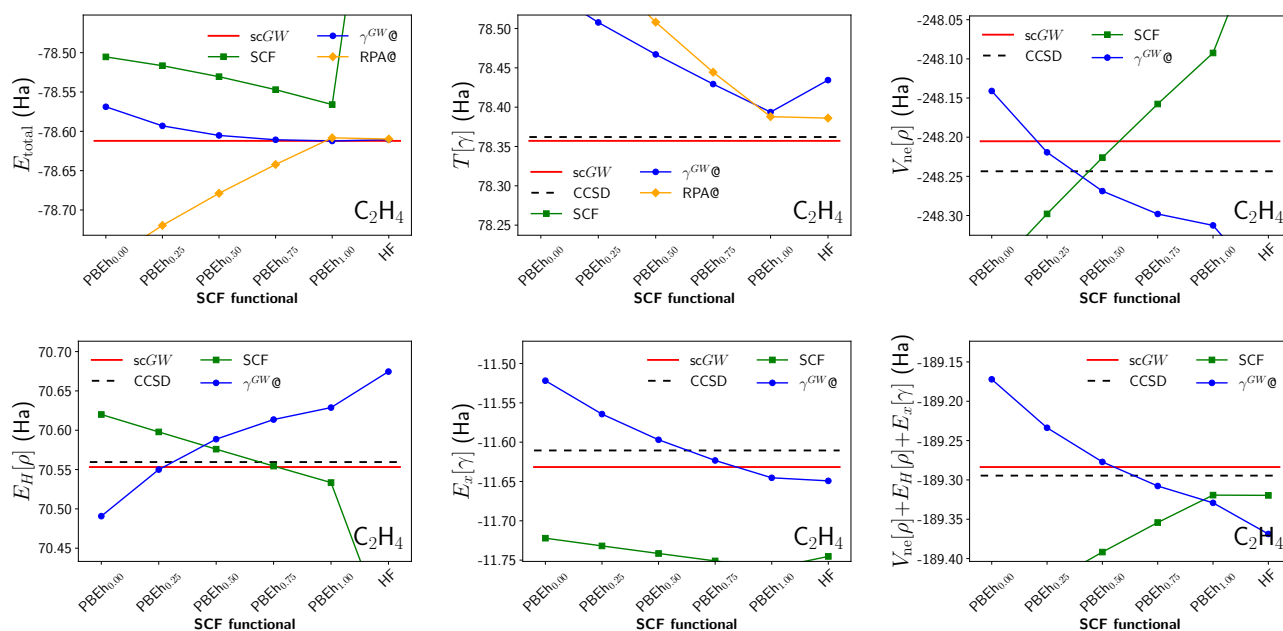


FIG. 7.  $C_2H_4$  energy decomposition as a function of the starting SCF functional in cc-pVQZ basis. Energy parts are given for SCF, RPA,  $\gamma^{GW}$ , scGW, and CCSD. Results for scGW and scGW are independent from the starting point. Upper left panel is the total energy, upper central panel the kinetic energy, and upper right panel the electron-nucleus energy. Lower left panel is the Hartree energy, lower central panel the exchange energy, and lower right the sum of electron-nucleus, Hartree and exchange energies.

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