

Introduction to the Reduced Density Matrix Functional Theory

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Outline

- 1 Connection to Hartree Fock
- 2 Density matrices
- 3 Reduced Density Matrix Functional Theory (RDMFT)
- 4 Functionals and Minimization
- 5 Application to prototype systems: H_2 dissociation,
Homogeneous electron gas
- 6 Total and atomization energies
- 7 Fundamental gap
- 8 Size consistency / Fractional spin

Hartree Fock

- Wave function is one Slater Determinant:

$$\Phi(\mathbf{x}_1, \mathbf{x}_2, \dots, \mathbf{x}_N) = \begin{vmatrix} \varphi_1(\mathbf{x}_1) & \varphi_1(\mathbf{x}_2) & \cdots & \varphi_1(\mathbf{x}_N) \\ \varphi_2(\mathbf{x}_1) & \varphi_2(\mathbf{x}_2) & \cdots & \varphi_2(\mathbf{x}_N) \\ \vdots & \vdots & \ddots & \vdots \\ \varphi_N(\mathbf{x}_1) & \varphi_N(\mathbf{x}_2) & \cdots & \varphi_N(\mathbf{x}_N) \end{vmatrix}$$

- We need to minimize:

$$E_{\text{tot}} = \frac{\langle \Phi | \hat{H} | \Phi \rangle}{\langle \Phi | \Phi \rangle}$$

- Minimization chooses N orbitals out an infinite dimension space (or of dimension $M > N$ for practical applications).

Energy in Hartree-Fock

Spin-orbitals $\varphi(\mathbf{x}) = \varphi(\mathbf{r})\alpha(\omega)$. For spin compensated systems:

$$E_{\text{tot}} = 2 \sum_{j=1}^{N/2} h_{jj}^{(1)} + 2 \sum_{j,k=1}^{N/2} J_{jk} - \sum_{j,k=1}^{N/2} K_{jk}$$

$$h_{jj}^{(1)} = \int d^3\mathbf{r} \varphi_j^*(\mathbf{r}) \left[-\frac{1}{2} \nabla_{\mathbf{r}}^2 + V(\mathbf{r}) \right] \varphi_j(\mathbf{r})$$

$$J_{jk} = \int d^3\mathbf{r} \int d^3\mathbf{r}' \frac{|\varphi_j(\mathbf{r})|^2 |\varphi_k(\mathbf{r}')|^2}{|\mathbf{r} - \mathbf{r}'|}$$

$$K_{jk} = \int d^3\mathbf{r} \int d^3\mathbf{r}' \frac{\varphi_j(\mathbf{r}) \varphi_j^*(\mathbf{r}') \varphi_k(\mathbf{r}') \varphi_k^*(\mathbf{r})}{|\mathbf{r} - \mathbf{r}'|}$$

Energy in Hartree-Fock

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$$E_{\text{tot}} = 2 \sum_{j=1}^{\infty} n_j h_{jj}^{(1)} + 2 \sum_{j,k=1}^{\infty} n_j n_k J_{jk} - \sum_{j,k=1}^{\infty} n_j n_k K_{jk}$$

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Where n_j and n_k occupation numbers

Hartree Fock Functional in RDMFT

$$E_{\text{tot}} = 2 \sum_{j=1}^{\infty} n_j h_{jj}^{(1)} + 2 \sum_{j,k=1}^{\infty} n_j n_k J_{jk} - \sum_{j,k=1}^{\infty} n_j n_k K_{jk}$$

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- Assume that this functional is minimized w.r.t. n_j, φ_j .

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- **It is not bound!**
 n_j should satisfy extra conditions.

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- Assume that this functional is minimized w.r.t. n_j, φ_j .
- N-representability conditions of Coleman:

$$0 \leq n_j \leq 1, \quad \text{and} \quad 2 \sum_{j=1}^{\infty} n_j = N$$

The first reflects the Pauli principle and the second fixes the number of particles.

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- There no extrema between 0 and 1. It is monotonous selecting either 0 or 1.

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- There no extrema between 0 and 1. It is monotonous selecting either 0 or 1.
- This functional collapses to Hartree-Fock Theory

Density matrices

- N -body density matrix

$$\Gamma^{(N)}(\mathbf{r}_1, \mathbf{r}_2 \dots \mathbf{r}_N; \mathbf{r}'_1, \mathbf{r}'_2 \dots \mathbf{r}'_N) = \Psi^*(\mathbf{r}'_1, \mathbf{r}'_2 \dots \mathbf{r}'_N) \Psi(\mathbf{r}_1, \mathbf{r}_2 \dots \mathbf{r}_N)$$

- Reduce the order of the density matrix

$$\Gamma^{(p)}(\mathbf{r}_1, \dots \mathbf{r}_p; \mathbf{r}'_1, \dots \mathbf{r}'_p) = \binom{N}{p} \int d^3 r_{p+1} \dots d^3 r_N \Psi^*(\mathbf{r}'_1, \dots \mathbf{r}'_p, \mathbf{r}_{p+1} \dots \mathbf{r}_N) \Psi(\mathbf{r}_1, \dots \mathbf{r}_N)$$

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- Recurrence relation

$$\Gamma^{(p-1)}(\mathbf{r}_1, \dots \mathbf{r}_{p-1}; \mathbf{r}'_1, \dots \mathbf{r}'_{p-1}) = \frac{p}{N - p + 1} \int d^3 r_p \Gamma^{(p)}(\mathbf{r}_1, \dots \mathbf{r}_p; \mathbf{r}'_1, \dots \mathbf{r}'_{p-1}, \mathbf{r}_p)$$

Total energy

- One-body density matrix

$$\Gamma^{(1)}(\mathbf{r}; \mathbf{r}') = \frac{2}{N-1} \int d^3 r_2 \Gamma^{(2)}(\mathbf{r}, \mathbf{r}_2; \mathbf{r}', \mathbf{r}_2) =: \gamma(\mathbf{r}; \mathbf{r}')$$

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$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{int}}$$

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- Total energy

$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{int}}$$

$$E_{\text{kin}} = \int d^3 r d^3 r' \delta(\mathbf{r} - \mathbf{r}') \left(-\frac{\nabla^2}{2} \right) \gamma(\mathbf{r}; \mathbf{r}')$$

Total energy

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- Total energy

$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{int}}$$

$$E_{\text{ext}} = \int d^3 r v_{\text{ext}}(\mathbf{r}) \gamma(\mathbf{r}; \mathbf{r})$$

Total energy

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- Total energy

$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{int}}$$

$$E_{\text{int}} = \int d^3 r d^3 r' \frac{\Gamma^{(2)}(\mathbf{r}, \mathbf{r}'; \mathbf{r}, \mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|}$$

Total energy

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Total energy

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- Total energy

$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{int}}$$

is a functional of $\Gamma^{(2)}$

- Why don't we minimize the total energy with respect to $\Gamma^{(2)}$?

N -representability

- Remember

$$\Gamma^{(2)}(\mathbf{r}_1, \mathbf{r}_2; \mathbf{r}'_1, \mathbf{r}'_2) = \frac{N(N-1)}{2} \int d^3r_3 \dots d^3r_N \Psi^*(\mathbf{r}'_1, \mathbf{r}'_2, \mathbf{r}_3 \dots \mathbf{r}_N) \Psi(\mathbf{r}_1 \dots \mathbf{r}_N)$$

with an **antisymmetric, normalized wave function Ψ**

- For $\Gamma^{(2)}$ only several **necessary** N -representability conditions are known¹
- Not sufficient** leading to too small total energies in the minimization

¹JCP **128**, 164113 (2008)

N -representability

- For γ the N -representability conditions are known and quite simple
- **Diagonalization** of γ

$$\gamma(\mathbf{r}; \mathbf{r}') = \sum_{j=1}^{\infty} n_j \varphi_j^*(\mathbf{r}') \varphi_j(\mathbf{r})$$

Occupation numbers: $0 \leq n_j \leq 1$, $\sum_j n_j = N$

Natural orbitals:

$$\int d^3r \varphi_j(\mathbf{r}) \varphi_k^*(\mathbf{r}) = \delta_{jk}$$

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- **Choice** between knowing the functional dependence and knowing the N -representability conditions

RDMFT Foundations

- **Gilbert's Theorem:**² Every ground-state observable is a functional of the ground-state one-body reduced density matrix

$$\gamma_{gs}(\mathbf{r}; \mathbf{r}') \overset{1-1}{\longleftrightarrow} \Psi_{gs}(\mathbf{r}_1, \mathbf{r}_2 \dots \mathbf{r}_N)$$

- No 1-1 correspondence to external potential as in DFT
- **Idempotency:** for non-interacting particles $n_j = 0, 1$, **no** Kohn-Sham system

²T. Gilbert Phys. Rev. B **12**, 2111 (1975)

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- **Total energy**

$$E_{\text{tot}} = E_{\text{kin}} + E_{\text{ext}} + E_{\text{H}} + E_{\text{xc}}$$

Exchange-correlation energy does not contain any kinetic energy contributions

²T. Gilbert Phys. Rev. B **12**, 2111 (1975)

Müller type functionals

$$E_{xc} = -\frac{1}{2} \sum_{j,k=1}^{\infty} f(n_j, n_k) \int d^3r d^3r' \frac{\varphi_j(\mathbf{r})\varphi_j^*(\mathbf{r}')\varphi_k(\mathbf{r}')\varphi_k^*(\mathbf{r})}{|\mathbf{r} - \mathbf{r}'|}$$

- Hartree-Fock: $f(n_j, n_k) = n_j n_k$
- Müller functional³: $f(n_j, n_k) = \sqrt{n_j n_k}$
- Goedecker-Umrigar⁴: $f(n_j, n_k) = \sqrt{n_j n_k}(1 - \delta_{jk}) + n_j^2 \delta_{jk}$

³A. Müller, Phys. Lett. A **105**, 446 (1984); M. A. Buijse, E. J. Baerends, Mol. Phys. **100**, 401 (2002)

⁴S. Goedecker, C. J. Umrigar, Phys. Rev. Lett. **81**, 866 (1998).

Müller type functionals

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- Goedecker-Umrigar: $f(n_j, n_k) = \sqrt{n_j n_k}(1 - \delta_{jk}) + n_j^2 \delta_{jk}$
- BBC1⁴:

$$f(n_j, n_k) = \begin{cases} -\sqrt{n_j n_k} & j \neq k \text{ both weakly occupied} \\ \sqrt{n_j n_k} & \text{otherwise.} \end{cases}$$

⁴O. Gritsenko, K. Pernal, E.J. Baerends, J. Chem. Phys. **122**, 204102 (2005)

Müller type functionals

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- BBC2⁴:

$$f(n_j, n_k) = \begin{cases} -\sqrt{n_j n_k} & j \neq k \text{ both weakly occupied} \\ n_j n_k & j \neq k \text{ both strongly occupied} \\ \sqrt{n_j n_k} & \text{otherwise.} \end{cases}$$

⁴O. Gritsenko, K. Pernal, E.J. Baerends, J. Chem. Phys. **122**, 204102 (2005)

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- BBC3⁴:

$$f(n_j, n_k) = \begin{cases} -\sqrt{n_j n_k} & j \neq k \text{ both weakly occupied} \\ n_j n_k & \begin{cases} j \neq k \text{ both strongly occupied} \\ j(k) \text{ anti-bonding, } k(j) \text{ not bonding} \end{cases} \\ n_j^2 & j = k \\ \sqrt{n_j n_k} & \text{otherwise.} \end{cases}$$

⁴O. Gritsenko, K. Pernal, E.J. Baerends, J. Chem. Phys. **122**, 204102 (2005)

Müller type functionals

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- BBC1, BBC2, and BBC3
- PNOF0: Cummulant expansion; BBC1 with removal of $j = k$ terms
PNOF: additional term to avoid pinned states;
PNOF1-5 ⁵

⁵Piris, Int. J. Quant. Chem. **106**, 1093 (2006); Piris, et al, JCP **134**, 164102 (2011)

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- BBC1, BBC2, and BBC3
- PNOF0: BBC1 with removal of $j = k$ terms
- AC3: Similar to BBC3 with C2,C3 corrections analytic⁶

⁶Rohr, et al, JCP **129**, 164105 (2008).

Müller type functionals

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- BBC1, BBC2, and BBC3
- PNOF0: BBC1 with removal of $j = k$ terms
- AC3: Similar to BBC3 with C2,C3 corrections analytic
- ML: Pade approximation for f , fit for a set of molecules⁷

⁷Marques, Lathiotakis, PRA **77**, 032509 (2008).

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- ML: Pade approximation for f , fit for a set of molecules.
- Power Functional⁸: $f(n_j, n_k) = (n_j n_k)^\alpha$

⁸S. Sharma et al, PRB, **78**, 201103(R) (2008).

Müller type functionals

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- Power Functional: $f(n_j, n_k) = (n_j n_k)^\alpha$
- Range separated hybrid GGA-Müller functional¹⁰

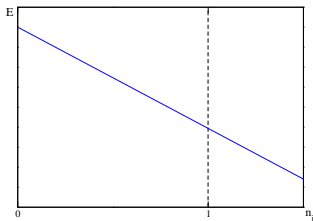
¹⁰D.R. Rohr, J. Toulouse, K. Pernal, PRA, **82**, 052502 (2010).

Minimization

- Minimize

$$F = E_{\text{tot}} - \mu \left(\sum_{j=1}^{\infty} n_j - N \right) - \sum_{j,k=1}^{\infty} \epsilon_{jk} \left(\int d^3r \varphi_j^*(\mathbf{r}) \varphi_k(\mathbf{r}) - \delta_{jk} \right)$$

- Minimize with respect to n_j and φ_j
- Minimization with respect to n_j can have **border minima**



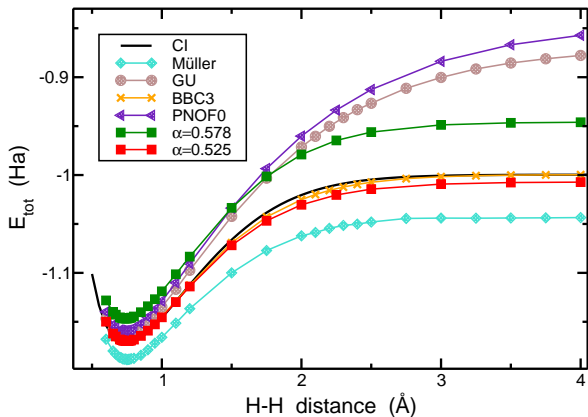
Minimization

- Minimize

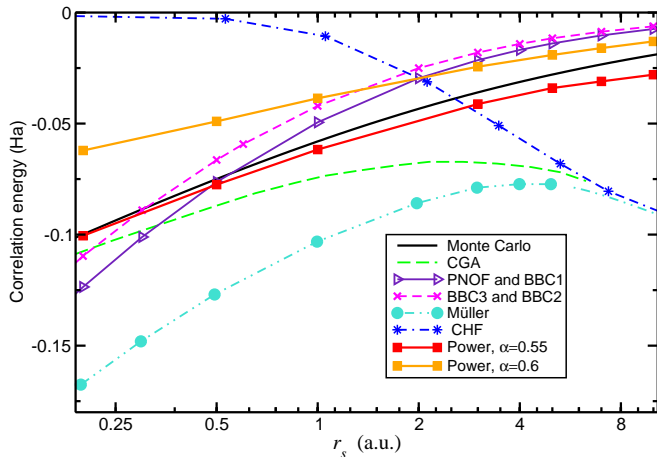
$$F = E_{\text{tot}} - \mu \left(\sum_{j=1}^{\infty} n_j - N \right) - \sum_{j,k=1}^{\infty} \epsilon_{jk} \left(\int d^3r \varphi_j^*(\mathbf{r}) \varphi_k(\mathbf{r}) - \delta_{jk} \right)$$

- Minimize with respect to n_j and φ_j
- Minimization with respect to n_j can have **border minima**
- Minimization with respect to φ_j is complicated; not a diagonalization problem.

H₂ dissociation



Homogeneous Electron Gas



PRB 75, 195120 (2007); PRA 79, 040501(R) (2009)

Benchmark for finite systems

- Benchmark for 150 molecules and radicals (G2/97 test set)¹¹
- 6-31G* basis set, Comparison with CCSD(T)

¹¹JCP **128**, 184103 (2008)

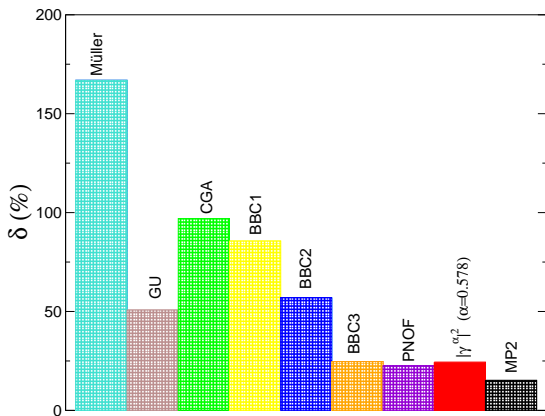
Benchmark for finite systems

- Benchmark for 150 molecules and radicals (G2/97 test set)¹¹
- 6-31G* basis set, Comparison with CCSD(T)

Method	$\bar{\Delta}$	Δ_{\max}	$\bar{\delta}$	δ_{\max}	$\bar{\delta}_e$
Müller	0.55	1.23 (C ₂ Cl ₄)	135.7%	438.3% (Na ₂)	0.0193
GU	0.26	0.79 (C ₂ Cl ₄)	51.63%	114.2% (Si ₂)	0.0072
BBC1	0.29	0.75 (C ₂ Cl ₄)	69.91%	159.1% (Na ₂)	0.0098
BBC2	0.18	0.50 (C ₂ Cl ₄)	45.02%	125.0% (Na ₂)	0.0058
BBC3	0.068	0.27 (SiCl₄)	18.37%	50.8% (SiH₂)	0.0017
PNOF	0.102	0.42 (SiCl ₄)	20.84%	59.1% (SiCl ₄)	0.0021
PNOF0	0.072	0.32 (SiCl₄)	17.11%	46.0% (Cl₂)	0.0015
ML (cl. shell)	0.059	0.18 (pyridine)	11.02%	35.7% (Na₂)	0.0015
MP2	0.040	0.074 (C ₂ Cl ₄)	11.86%	35.7% (Li ₂)	0.0015
B3LYP	0.75	2.72 (SiCl ₄)	305.0%	2803.7% (Li ₂)	0.022

¹¹JCP **128**, 184103 (2008)

E_c for finite systems



Error in correlation energy (reference CCSD(T))

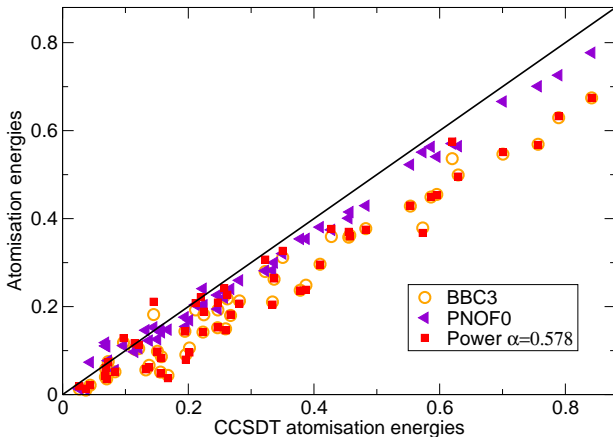
Atomization energies

	set 1		set 2	
	$\bar{\delta}$ (%)	δ_{\max} (%)	$\bar{\delta}$ (%)	δ_{\max} (%)
R(O)HF	42.4	195 (F ₂)	53.8	233(F ₂)
Mueller	32.7	138 (Na ₂)	40.6	130(Na ₂)
GU	43.7	239 (ClF ₃)	50.4	180(F ₂)
BBC1	31.0	107 (ClF ₃)	34.8	75(O ₂)
BBC2	26.9	142 (ClO)	40.1	142(F ₂)
BBC3	18.0	117 (Li₂)	25.6	103(Li₂)
PNOF	25.5	161 (ClF ₃)	30.4	127(F ₂)
PNOF0	17.5	76 (Li₂)	23.9	73(Cl₂)
MP2	6.24	34 (Na ₂)	7.94	35(Na ₂)
B3LYP	11.7	40 (BeH)	12.1	38(F ₂)

set 1: G2/97 test set, 6-31G*-basis

set 2: subset of 50 molecules, cc-pVDZ-basis

Atomization energies



Fundamental gap

- **Fundamental gap: related to the behavior of total energy for fractional total number of particles**

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- **The domain of γ that can be written as ensembles is identical to those satisfying:**

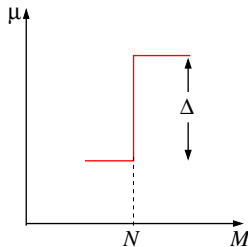
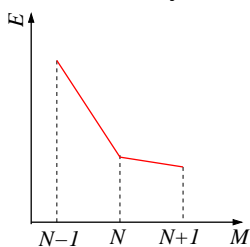
$$\sum_i n_i = M, \quad 0 \leq n_i \leq 1$$

- We can find the optimal γ^M by minimizing E under the above condition.

Fundamental gap

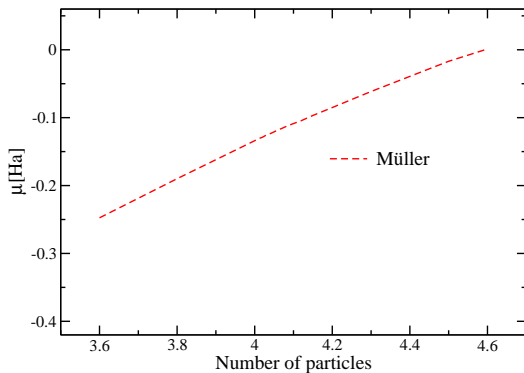
$$F = E_{\text{tot}} - \mu(M) \left(\sum_{j=1}^{\infty} n_j - M \right) - \sum_{j,k=1}^{\infty} \epsilon_{jk} \left(\int d^3r \varphi_j^*(\mathbf{r}) \varphi_k(\mathbf{r}) - \delta_{jk} \right)$$

- μ is the chemical potential, dE/dM .¹²
- In the exact theory, $\mu(M)$ is discontinuous and the gap equals its discontinuity



¹²Europhys. Lett. **77**, 67003 (2007)

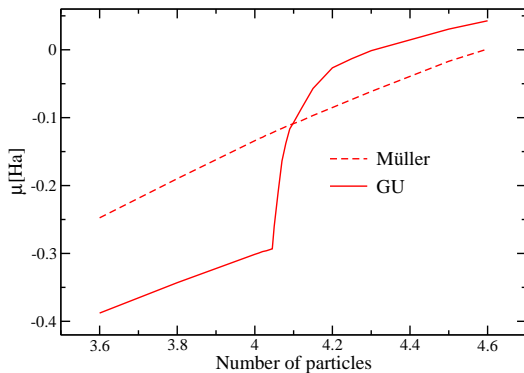
Results for LiH



The discontinuity of μ at $N = 4$ electrons for LiH¹³

¹³Europhys. Lett., **77**, 67003 (2007)

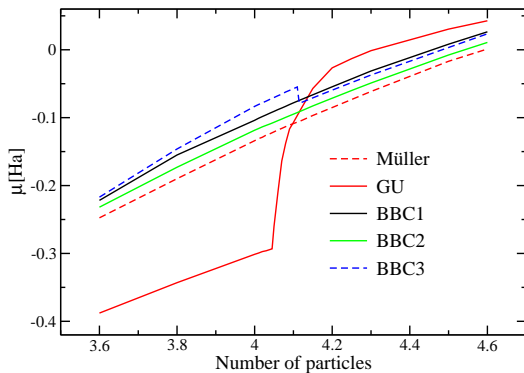
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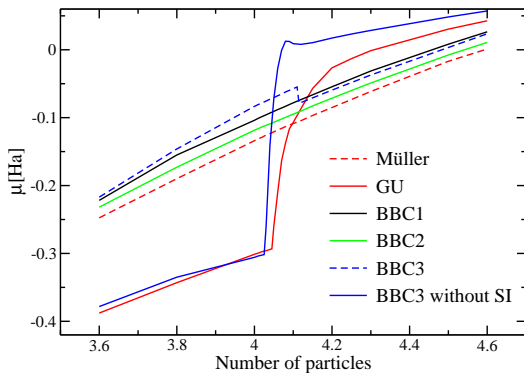
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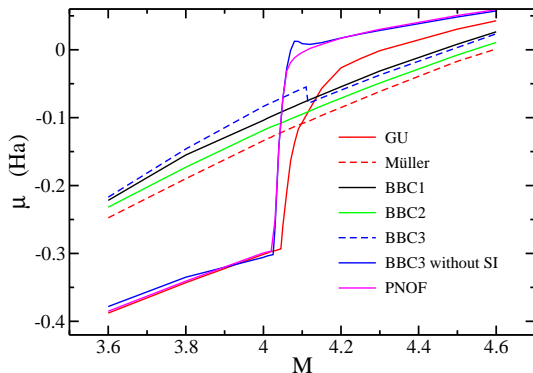
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The discontinuity of μ at $N = 4$ electrons for LiH^{13}

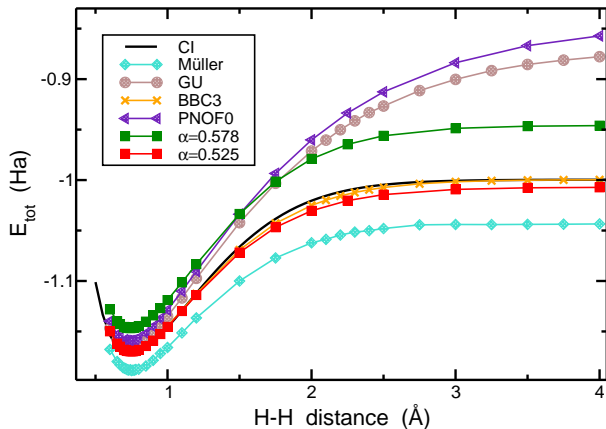
Fundamental gap

System	RDMFT $\mu(M)$ step	RDMFT $I - A$	Other theoretical	Experiment
Li	0.177	0.202	0.175	0.175
Na	0.175	0.198	0.169	0.169
F	0.538	0.549		0.514
LiH	0.269, 0.293	0.271	0.286	0.271

Application to solids

- RDMFT is implemented in the Elk code.
- Very promising results for fundamental gaps of semiconductors/insulators.
- Strongly correlated materials - Transition metal oxides.

Why functionals fail for H_2 dissociation?



Unitary Transformations of degenerate ϕ_i

- Explicit functionals of $\{n_i\}, \{\phi_i\}$:

$$E[\{n_i\}, \{\phi_i\}] \stackrel{?}{=} E[\gamma]$$

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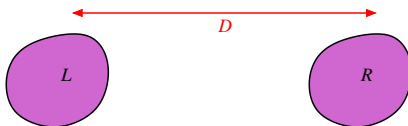
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- True functionals of γ : Invariant under unitary transformations (Müller, power).
- For not invariant functionals we can define

$$E[\gamma] = \min_{\{\phi_i\} \rightarrow \gamma} \{E[\{n_i\}, \{\phi_i\}]\}$$

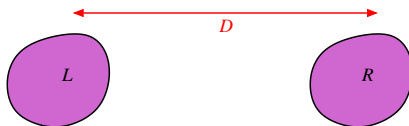
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- Delocalization Unitary Transformation (DUT):

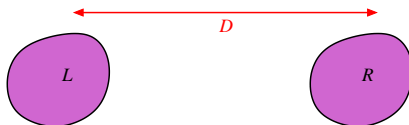
$$\tilde{\phi}_j^L(\mathbf{r}) = \sqrt{1 - \xi_j} \phi_j^L(\mathbf{r}) + \sqrt{\xi_j} \phi_j^R(\mathbf{r}),$$

$$\tilde{\phi}_j^R(\mathbf{r}) = -\sqrt{\xi_j} \phi_j^L(\mathbf{r}) + \sqrt{1 - \xi_j} \phi_j^R(\mathbf{r}),$$

where $0 \leq \xi_j \leq 1/2$ is the delocalization parameter:

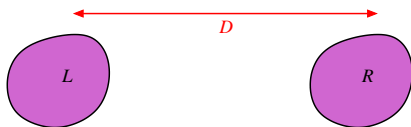
- ★ $\xi_j = 0$: Localized natural orbitals.
- ★ $\xi_j = 1/2$: Fully delocalized natural orbitals.

Unitary Transformations of degenerate ϕ_i



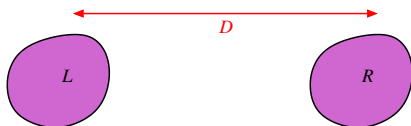
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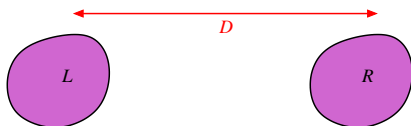
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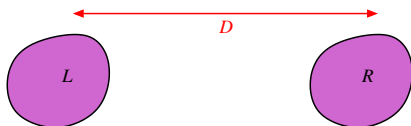
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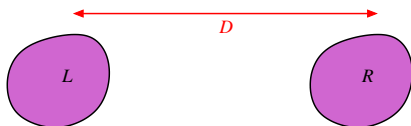
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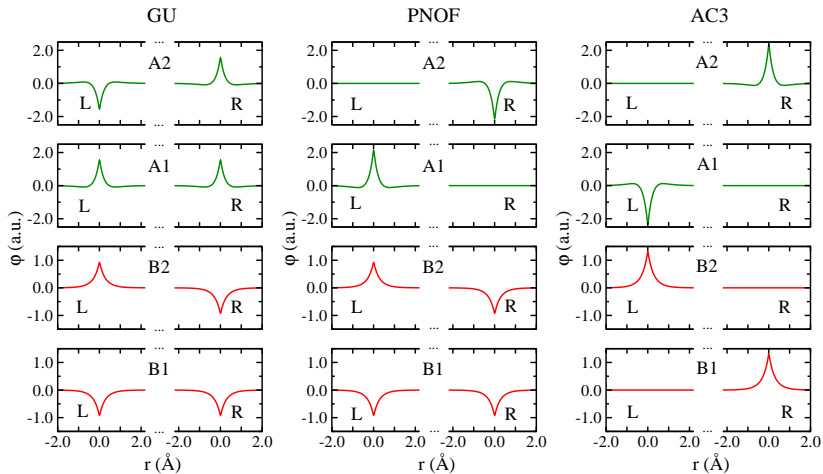
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- **Cases 1,2: size consistent; Case 3: size inconsistent**

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Functional	He		Ne	
	$-E_{\text{cor}}$ (Ha)	Δ (%)	$-E_{\text{cor}}$ (Ha)	Δ (%)
Müller	0.0481	0.0	0.3848	0.0
GU	0.0333	-17.3	0.2940	-12.57
BBC1	0.0409	0.0	0.3203	0.0
BBC2	0.0409	0.0	0.3052	0.0
BBC3	0.0373	4.02	0.2715	0.495
PNOF	0.0294	-16.8	0.2572	-12.01
PNOF0	0.0294	-7.48	0.2534	-3.68
ML	0.0418	0.0	0.3253	0.0
BBC++	0.0403	0.0	0.2645	0.0
Power	0.0116	0.0	0.1127	0.0
AC3	0.0323	0.0	0.2715	0.0

JCP, **132**, 084105 (2010).

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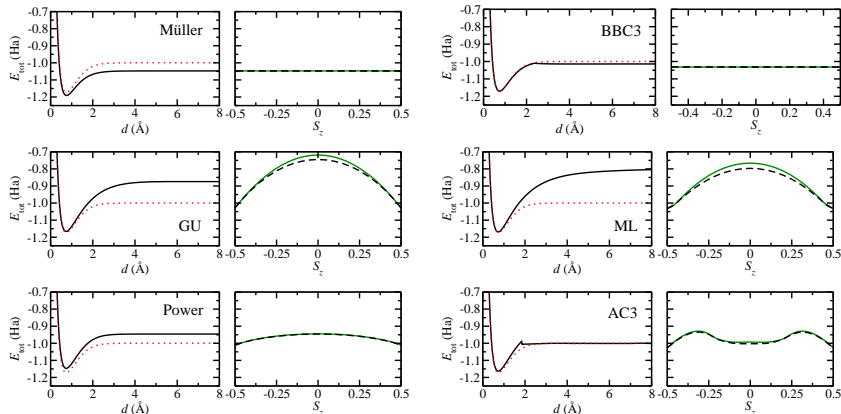
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- We can find optimal γ^s by minimizing the total energy under the above conditions
- Alternatively we can build the ensemble using the optimal $\gamma^{1/2}, \gamma^{-1/2}$.
- Spin constancy error: $2(E(s=0) - E(s=1/2))$
- If the aforementioned size inconsistency is not present:
Dissociation error = Spin constancy error

Spin constancy



Left panels: H_2 dissociation (black: RDMFT, red dotted: MRDCI).

Right panels: $E(s)$ (dotted: minimization, green: ensemble).

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- **Gaps for solids (including Mott insulators)** are well reproduced