Approximately Self-Consistent Ensemble Density Functional Theory With All Correlations

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Abstract

The ability to predict low-lying excited states with the same ease as ground-states would represent a major advance in understanding interactions between light and chemistry, e.g. for solar cells or photocatalysis. Recent theory developments in ensemble density functional theory (EDFT) promise to bring decades of work for ground-states to the practical resolution of excited-state problem – provided newly-discovered “density-driven correlations” can be dealt with and adequate effective potentials can be found. This Letter introduces simple approximations to both the density-driven correlations and the potential; and shows that EDFT with the ω B97X density functional approximation outperforms Δ SCF DFT for singlet–triplet gaps in small atoms and molecules. It thus establishes EDFT as a vitally promising tool for low-cost but high-accuracy studies of excited states; and provides a clear route to practical EDFT implementation of arbitrary functional approximations.

Graphical TOC Entry

Quantum chemistry has improved our understanding of an enormous range of chemical systems, from biomolecules to battery materials. (Hybrid) density functional theory^{1–3} (DFT) is the primary tool of quantum chemistry, due to its low computational cost and generally good accuracy. Recent developments have seen hybrid DFT calculations reach nearly chemical accuracy, across a wide range of tested systems.^{4,5}

Unfortunately, DFT only treats electronic ground-states. This hampers its application to systems involving excited state processes, including those involving interactions with light such as photactivation and charge transfer. Excited state processes are likely to become a vitally important part of future chemistry, due to increasing control over light and the consequent ability to open up new applications. Thus, there is significant work on modelling excitation processes (see, e.g. various recent review articles^{6–8}). Presently, however, much of this work is fairly high-level, in terms of its numerical cost and/or required expertise.

Time-dependent DFT (TDDFT), and Δ SCF DFT are two popular lower-level routes to excited states. In the latter case, ground-state calculations with restricted symmetries are used to find, e.g., the lowest-lying singlet and triplet energies, with the difference being the excitation energy; but this can be quite inaccurate because of “spin contamination” in triplet-states,^{9,10} and cannot handle excitations of the same symmetry. TDDFT gives a range of excitation energies; but is significantly more costly than DFT, and has some limitations in treating charge transfers^{11,12} and double excitations.¹³

Ensemble DFT (EDFT) for excited states^{14–16} has recently enjoyed a resurgence as a promising alternative to DFT or TDDFT for treating low-level excited states, including charge transfer and double excitations.^{17–33} In EDFT, the usual DFT approach of seeking a pure-state wavefunction $|\Phi\rangle$ and energy $E_\Phi = \langle\Phi|\hat{H}|\Phi\rangle$, is replaced by an equivalent quest for a statistical ensemble $\hat{\Gamma}^{\mathbf{w}} = \sum_{\kappa} w_{\kappa} |\kappa\rangle\langle\kappa|$ and its average energy $\mathcal{E}^{\mathbf{w}} = \sum_{\kappa} w_{\kappa} E_{\kappa} = \text{Tr}[\hat{\Gamma}^{\mathbf{w}}\hat{H}]$, for orthonormal quantum states $|\kappa\rangle$. ($\langle\kappa|\kappa'\rangle = \delta_{\kappa\kappa'}$). The set of weights $\mathbf{w} = \{w_{\kappa}\}$ obey $\sum_{\kappa} w_{\kappa} = 1$ and $w_{\kappa} \geq 0$.

EDFT is variational,^{14,15} just like pure-state DFT. In terms of the versatile Levy constrained minimization³⁴ and adiabatic connection³⁵ conceptual picture, EDFT simply involves replacing the usual universal functional $F^{\lambda}[n] = \min_{|\Phi\rangle \rightarrow n} \langle\Phi|\hat{T} + \lambda\hat{W}|\Phi\rangle$ by

$$\mathcal{F}^{\lambda, \mathbf{w}}[n] = \min_{\hat{\Gamma}^{\mathbf{w}} \rightarrow n} \text{Tr}[\hat{\Gamma}^{\mathbf{w}}(\hat{T} + \lambda\hat{W})], \quad (1)$$

where $\hat{T}$ is the usual kinetic energy operator and $\hat{W}$ is the electron-electron Coulomb interaction. The average energy $\mathcal{E}^{\mathbf{w}}$ in external potential v can then be found by solving, $\mathcal{E}^{\mathbf{w}}[v] = \min_n \{\mathcal{F}^{\lambda, \mathbf{w}}[n] + \int d\mathbf{r} n(\mathbf{r})v(\mathbf{r})\}$, where $n(\mathbf{r}) = \text{Tr}[\hat{\Gamma}^{\mathbf{w}}\hat{n}] = \sum_{\kappa} w_{\kappa} n_{\kappa}(\mathbf{r})$ is the average density of the ensemble. Variational principles give $E_{\kappa} \leq E_{\kappa'}$ for $w_{\kappa} > w_{\kappa'}$, i.e. the energies become ordered. Excitation energies can be found by varying weights, and taking differences or derivatives. Note, calligraphic letters indicate ensemble density functionals and explicit dependence on $\mathbf{w}$ is henceforth dropped for notational simplicity.

Recent work^{24,29} showed how Eq. (1) can be used to provide EDFT analogs for the usual DFT functionals. EDFT has a kinetic energy,

$$\mathcal{T}_s[n] = \mathcal{F}^0[n] \equiv \sum_{\kappa} w_{\kappa} T_{s, \kappa}, \quad (2)$$

and Hartree-exchange (Hx) functional,

$$\mathcal{E}_{\text{Hx}}[n] = \lim_{\lambda \rightarrow 0^+} \frac{F^{\lambda}[n] - \mathcal{T}_s[n]}{\lambda} \equiv \sum_{\kappa} w_{\kappa} \Lambda_{\text{Hx}, \kappa}, \quad (3)$$

like usual. Except: i) $T_{s, \kappa} = \langle\kappa_s|\hat{T}|\kappa_s\rangle$ and $\Lambda_{\text{Hx}, \kappa} = \langle\kappa_s|\hat{W}|\kappa_s\rangle$ differ for each member $|\kappa_s\rangle$ of the KS ensemble; and ii) $\Lambda_{\text{Hx}, \kappa}$ can inherit multi-configuration qualities to account for different spin symmetries.²⁴

It also has a correlation energy term $\mathcal{E}_c = \mathcal{F}^1 - \mathcal{T}_s - \mathcal{E}_{\text{Hx}}$. However, unlike pure state DFT,

$$\mathcal{E}_c[n] = \mathcal{E}_c^{\text{SD}}[n] + \mathcal{E}_c^{\text{DD}}[n], \quad (4)$$

involves two terms: $\mathcal{E}_c^{\text{SD}}[n] = \sum_{\kappa} w_{\kappa} E_{c, \kappa}^{\text{SD}}$ and $\mathcal{E}_c^{\text{DD}}[n] = \sum_{\kappa} w_{\kappa} E_{c, \kappa}^{\text{DD}}$. The state-driven (SD) correlation energy terms $E_{c, \kappa}^{\text{SD}}$ are like the usual

DFT correlation energy, and are invariant to $\mathbf{w}$ in certain cases, including those studied here. The density-driven (DD) terms $E_{c,\kappa}^{\text{DD}}$ are unique to EDFT (i.e., $\mathcal{E}_c^{\text{DD}} = 0$ in pure-states) and carry a non-trivial dependence on $\mathbf{w}$ due to the inability of the KS ensemble members to simultaneously reproduce the densities and orbitals of all interacting ensemble members.²⁹

Putting everything together gives,

$$\mathcal{E}[v] = \min_n \left\{ \mathcal{T}_s[n] + \mathcal{E}_{\text{Hxc}}[n] + \int d\mathbf{r} n(\mathbf{r}) v(\mathbf{r}) \right\}, \quad (5)$$

where $\mathcal{E}_{\text{Hxc}} = \mathcal{E}_{\text{Hxc}}^{\text{SD}} + \mathcal{E}_c^{\text{DD}}$ and

$$\mathcal{E}_{\text{Hxc}}^{\text{SD}} = \sum_{\kappa} w_{\kappa} [\Lambda_{\text{Hx},\kappa} + E_{c,\kappa}^{\text{SD}}] \equiv \sum_{\kappa} w_{\kappa} E_{\text{Hxc},\kappa}^{\text{SD}}, \quad (6)$$

Both $\Lambda_{\text{Hx},\kappa}$ and $E_{c,\kappa}$ are pure-state-like. Thus, a useful strategy is to adapt existing density functional approximations (DFAs) for use in $E_{\text{Hxc},\kappa}^{\text{SD}}$. The key outstanding challenges are then how to modify existing approximations to deal with different ensemble members, and how to evaluate $\mathcal{E}_c^{\text{DD}}$. Both will be tackled later.

Once approximated, the energy functional, (5), must then be minimized on the density. Minimization of (5) involves finding a set of KS orbitals ϕ_i that obey the usual spin-independent KS equation,

$$\left[-\frac{1}{2}\nabla^2 + v_s[n](\mathbf{r}) \right] \phi_i(\mathbf{r}) = \epsilon_i \phi_i(\mathbf{r}), \quad (7)$$

where $v_s = v + \frac{\delta \mathcal{E}_{\text{Hxc}}}{\delta n}$. Then, $n(\mathbf{r}) = \sum_i f_i \phi_i(\mathbf{r})^2$, where $0 \leq f_i \leq 2$ is the average occupation factor of orbital ϕ_i , which obey $\sum_i f_i = N$ for N electrons, and which depend on $\mathbf{w}$.^{24,36} Unfortunately, the EDFT density functional $\mathcal{E}_{\text{Hxc}}$ has non-trivial dependencies on orbitals, whether treated exactly or approximately. Thus, unlike conventional DFT, direct density functional derivatives $\delta \mathcal{E}_{\text{Hxc}} / \delta n$ cannot easily be found.

To circumvent this problem, one can use a generalized KS (GKS) formalism³⁷ or an optimized effective potential^{38,39} (OEP). Both approaches have challenges. This work adopts a different approach – any GKS treatment re-

quired by the DFA is done as per the ground-state case. An additional potential is then introduced, which is approximated by a super simple OEP (SSOEP), introduced later. Consequently, Eq. (7) can be solved using existing machinery implemented in any molecular code.

The rest of this Letter proceeds as follows. First, a methodology is introduced to adapt the successful ωB97X DFA⁴⁰ to EDFT. This necessitates dealing with the DD correlation energy and SSOEP, which are discussed. Next, the method is assessed on several tests to illustrate how EDFT usually outperforms DFT for excitations, even when treated at the same level of theory. Finally, some conclusions are drawn.

Theory: Application of EDFT relies on approximating $\mathcal{E}_{\text{Hxc}} = \mathcal{E}_{\text{Hx}} + \mathcal{E}_c^{\text{SD}}$, like DFT. Ideally, one would use existing approximations, which have already been optimized for ground-states. This work extends the successful ωB97X functional of Chai and Head-Gordon⁴⁰ to EDFT. Thus, one obtains,

$$\mathcal{E}^{\text{SD}} = \mathcal{T}_s + \sum_{\kappa} w_{\kappa} E_{\text{Hxc},\kappa}^{\omega\text{B97X}} + \int n v d\mathbf{r}. \quad (8)$$

for the SD energy, with Hxc terms,

$$E_{\text{Hxc},\kappa}^{\omega\text{B97X}} = \Lambda_{\text{Hx},\kappa} - 0.8423 \Lambda_{\text{x},\kappa}^{\text{sr}} + E_{\text{xc},\kappa}^{\text{DFA}}. \quad (9)$$

The use of $\Lambda_{\text{Hx},\kappa}$ indicates that spin symmetries are properly accounted for. The above and what follows can, of course, be adapted to any DFA of (hybrid) generalized-gradient approximation (GGA) character.

Any (range-separated) hybrid GGA requires three key inputs: densities n , spin-polarizations ζ , and (range-separated) Hartree and exchange energies Λ_{Hx} . Each KS state $|\kappa_s\rangle$ is trivially associated with a density $n_{s,\kappa} = \langle \kappa_s | \hat{n} | \kappa_s \rangle$. However, $\zeta = 0$ in a spin-restricted formalism. Instead, $\zeta_{s,\kappa} = (1 - 2P_{2,\kappa}/n_{s,\kappa}^2)^{\frac{1}{2}}$ is employed, per previous work,^{29,41} where $P_{2,\kappa}$ is the KS on-top pair-density. Together, these terms are used to semi-locally approximate $E_{\text{xc},\kappa}^{\text{DFA}} \equiv E_{\text{xc}}[n_{s,\kappa}, \zeta_{s,\kappa}]$ for short-range exchange and all correlations.

$\Lambda_{\text{Hx},\kappa}$ is an orbital functional defined in eq. (3). The range-separated Hartree-exchange energy $\Lambda_{\text{x},\kappa}^{\text{sr}}$ is found by adopting the same

functional form, but replacing the Coulomb potential $1/r$ by its short-range counterpart $\text{erfc}(\omega r)/r$ (with $\omega = 0.3 \text{ a.u.}^{-1}$). Then, $\Lambda_{\text{x},\kappa}^{\text{sr}} = \Lambda_{\text{Hx},\kappa}^{\text{sr}} - E_{\text{H}}^{\text{sr}}[n_{s,\kappa}]$ where E_{H} is the usual Hartree energy expression. Full details are in the Supporting Information.

Figure 1: Illustration of the extrapolation procedure applied to SiF_2 . The inset zooms into the DD contribution to the singlet–triplet gap. Light shading indicates the extrapolation region $W \geq 0.6$.

This establishes the SD energy approximation. However, DD correlations must also be accounted for. Previous work introduced a direct approximation for DD terms.²⁹ Here, $\mathcal{E}_c^{\text{DD}}$ is found by a parameter-free *extrapolation*, which is conceptually similar to a technique recently used to calculate DD correlations for S – P and S – S transitions in atoms.³⁰ A full derivation of the approach is rather long, so is left to the Supporting Information. Key steps are as follows: 1) Recognise that $\mathcal{E}^w = \mathcal{E}^{\text{SD},w} + \mathcal{E}_c^{\text{DD},w}$ is linear in w so that the excitation energy $\Delta E = E_{\text{ts}} - E_{\text{ss}} = \partial_w \mathcal{E}^w$, $\forall w$ – where $\mathcal{E}^w \equiv \mathcal{E}^{\{1-w,w\}}$, $\mathcal{E}^{\text{SD},w} \equiv \mathcal{E}^{\omega\text{B97X},w}$ is evaluated using eq. (8), and $\mathcal{E}_c^{\text{DD},w}$ is unknown; 2) Approximate the SD excitation energy as $\Delta E^{\text{SD}} = E_{\text{ts}}^{\text{SD}} - E_{\text{ss}}^{\text{SD}} = \partial_w \mathcal{E}^{\omega\text{B97X},w}|_{w=0}$ so that it corresponds to a “typical” EDFT calculation using orbitals of the singlet ground-state; 3) Recognise that $\mathcal{E}^0 = \mathcal{E}^{\omega\text{B97X},0}$ and $\mathcal{E}^1 = \mathcal{E}^{\omega\text{B97X},1}$ in the pure-state limits.

This gives singlet–triplet gaps

$$\Delta E = \lim_{w \rightarrow 1} \mathcal{E}^{\omega\text{B97X},w} - \lim_{w \rightarrow 0} \mathcal{E}^{\omega\text{B97X},w}, \quad (10)$$

$$\Delta E^{\text{SD}} = \partial_w \mathcal{E}^{\omega\text{B97X},w}|_{w=0}, \quad (11)$$

so that the total DD contribution to the excita-

tion is $\Delta \mathcal{E}_c^{\text{DD}} = \Delta E - \Delta E^{\text{SD}}$. Here, $\text{ext}_{w \rightarrow 1}$ involves fitting a quadratic (chosen to avoid over-fitting) to values of $\mathcal{E}^{\omega\text{B97X},w_i}$ found for $w_i \in [0, 0.6]$, then extrapolating to $w = 1$ (for numerical consistency, the same fit is also used to calculate the singlet state at $w = 0$). This division into SD/DD differs very slightly from the formal definition,²⁹ but may be more suited to studying DFAs. The extrapolation is illustrated in Figure 1.

The final approximation is the super simple OEP (SSOEP), to account for the effective potential. This involves two steps: 1) try a variety of conventional DFAs (here, PBE,⁴² PBE0⁴³ and ωB97X – in this last case, the effective Hamiltonian also includes GKS terms) to obtain a potential approximation $\tilde{v}_s^0$ (e.g., $\tilde{v}_s^0 = \tilde{v}_s^{\text{PBE0}}$) whose orbitals ϕ_i^0 [using (7)] and density n^0 give the lowest energy [using (8)]; 2) Find ξ such that the orbitals ϕ_i^ξ and density n^ξ [using (7)] from the potential

$$\tilde{v}_s^\xi(\mathbf{r}) = \tilde{v}_s^0(\mathbf{r}) + \xi \frac{n_{\text{gs}'}^0(\mathbf{r})}{n^0(\mathbf{r})} \quad (12)$$

minimize the energy $\mathcal{E}^\xi$ [using (8)]. Here, $n_{\text{gs}'}^0(\mathbf{r}) = \sum_{i \leq N/2} f_i \phi_i^0(\mathbf{r})^2$ is the ground-state-like density, with excited state orbitals excluded. This second step involves an ansatz for the potential inspired by a previous finding for *fractional* EDFT that the exact KS potential is approximately given by a similar expression – see eq. 15, of Gould and Toulouse.⁴⁴

This approach avoids spin contamination when treating singlet or triplet states – unlike ΔSCF DFT, because $\phi_{i\uparrow}(\mathbf{r}) = \phi_{i\downarrow}(\mathbf{r})$ for all orbitals. It thus follows that DFT and EDFT results for singlet ground-states are the same; but triplet- states differ. Implementation requires only small modification of existing code, and iterates to a solution in around five steps.

Together, our approximations for the DD correlation energy and effective potential provide an overarching methodology that lets a general DFA (here ωB97X) be applied to EDFT problems with the same scaling as conventional DFT, albeit with a larger pre-factor from the density-driven correlations ($\times 6$, here) and SSOEP ($\times 8$, here). It is much cheaper than

Figure 2: Errors [eV] in the triplet-singlet gap for the TS12 benchmark set in DFT (green), EDFT (blue) and sdEDFT (red).

the additional $O(N)$ overhead of TDDFT calculations. The approach is also “black box”, making it easy to use without specifying active states or intuiting the processes involved.

Results: With the theory established, the approach is validated by applying it to various tests on small molecules. Tests are restricted to singlet-triplet gaps, as these allow direct comparison with Δ SCF DFT at the same level of theory.

The TS12 benchmark set of small triplet-singlet gaps in small molecules forms the first test.⁴⁶ The small gaps in these systems make them particularly problematic for DFT, as symmetry breaking can lead to substantial errors. [Note, the triplet-state is the ground-state in these systems. This does not change the formalism.]

Figure 2 shows errors from DFT (using Δ SCF), EDFT and state-driven EDFT calculations without DD correlations (sdEDFT). Overall, EDFT, with a mean absolute error (MAE) of 0.25 eV offers a two-fold improvement over DFT, with MAE 0.52 eV. EDFT without DD correlations slightly out-performs the full EDFT treatment, with MAE 0.19 eV.

It is clear from these results that EDFT can appropriately deal with excitations, as one would expect from its consistent treatment of ground- and excited-states. What is notable is that including the DD correlation energy does not always improve things, despite its formal justification. However, this is easy to explain. In these molecules the DD correlation energy is typically small (< 0.2 eV), which is smaller

than the underlying error of the DFA. Thus, any small positive/negative DD correction to an over/underprediction by the DFAs will make things slightly worse. Importantly, in the one case (NO^-) where the DD term makes a big difference to the energy, it improves things.

To supplement TS12, vertical and adiabatic singlet-triplet gaps are calculated for three small molecules (SO_2 , SiF_2 , CHCl and CSHH) from the Loos-Jacquemin benchmark set⁴⁵ (LJ19). [Note, there is a mistake in the SO_2 triplet structure reported by Loos and Jacquemin. This work uses a structure provided by the authors.]

Results for vertical (using the ground-state geometry) and adiabatic (using the optimal geometries for ground- and excited states) excitations are reported in Table 1. On average, DFT slightly (by 0.06 eV on MAE) outperforms EDFT for vertical excitations. But, DFT does significantly better for adiabatic excitations (by 0.22 eV on MAE). The poor performance of EDFT for adiabatic excitations is mostly due to a very poor prediction for CSHH, which is out by around 40%. sdEDFT gives the worst results in all cases, meaning that, for these molecules, density-driven correlations are both quantitatively important and systematically beneficial.

Finally, a particularly challenging test is applied – predicting key excitations of strongly-correlated ozone. This involves computing singlet-triplet gaps at three selected geometries: open minimum (OM), transition state (TS) and ring minimum (RM). These represent key steps in the ozone excitation process that were recently benchmarked using high-level theory.⁴⁷ This problem represents the sort of application for which EDFT will likely prove most useful, e.g. to simultaneously predict multiple states for use in beyond-Born-Oppenheimer dynamics. The TS geometry is a very stringent test, due to the degeneracy of singlet- and triplet- states.

Figure 3 shows that EDFT clearly outperforms regular DFT and gives semi-quantitative agreement with the exact solution. EDFT almost predicts the degeneracy between the singlet- (ss) and triplet-states (ts) in TS, unlike DFT. By contrast, Δ SCF DFT does a poor job

Table 1: Vertical and adiabatic excitation energies [eV] from DFT, EDFT and sdEDFT (sdE). Benchmarks from LJ19.⁴⁵

	Vertical							Adiabatic						
	Bench	DFT	Err	EDFT	Err	sdE	Err	Bench	DFT	Err	EDFT	Err	sdE	Err
SiF ₂	3.30	3.76	0.46	3.50	0.20	3.76	0.46	3.20	3.26	0.06	3.38	0.18	3.63	0.43
SO ₂	3.45	3.37	-0.08	3.51	0.06	3.62	0.17	3.03	2.88	-0.15	3.22	0.19	3.32	0.29
CSHH	1.96	1.70	-0.26	2.47	0.51	2.58	0.62	1.86	1.62	-0.24	2.58	0.73	2.68	0.82
CHCl	0.58	0.46	-0.12	0.98	0.40	1.14	0.56	0.24	0.11	-0.13	0.59	0.35	0.73	0.49
MAE			0.23		0.29		0.45			0.14		0.36		0.51

Figure 3: Energy levels for three geometries of ozone in DFT (green) and EDFT (blue) and benchmark⁴⁷ (yellow) calculations. Lighter colours indicate the ground-state (singlet) and darker colours indicate the excited state (triplet). Geometries are also shown.

of the triplet state in all cases. EDFT, unlike DFT, is thus useable for estimating dynamics. All relevant energies are shown in the Supporting Information. Note, in nearly-degenerate TS there is also a small (0.2 eV) difference between singlet states calculated using DFT and EDFT, because the latter are obtained using a quadratic fit on w .

sdEDFT (not shown) gives very similar results to full EDFT for OM and RM geometries. But for TS it predicts a significant gap of 5.1 eV, compared to a zero gap in the benchmark, and gaps of 0.13 eV for full EDFT and 1.3 eV for DFT. Thus, inclusion of the DD correlation energy term is vital.

Conclusions: In summary, this letter reports approximately self-consistent and fully correlated ensemble DFT (EDFT) calculations using the ω B97X DFA, and including recently-discovered density-driven (DD) correlation energy terms.²⁹ Obtaining these results required the introduction of two methodological innova-

tions: 1) a way to deal with DD correlations [eq. (10)]; 2) a way to deal with self-consistency [eq. (12)].

Results showed that EDFT improved on Δ SCF DFT for the computation of low-lying excited states in almost all cases, and is thus a promising alternative for low-cost calculations. For the TS12 benchmark set, EDFT gave a two-fold improvement over DFT using the same ω B97X approximation. Small atom excitations (vertical and adiabatic) from LJ19 were reproduced reasonably well by both DFT and EDFT, except the latter failed badly for CSHH. Most promisingly, EDFT (but not sdEDFT) significantly out-performed DFT for difficult ozone excitations.

Including DD correlations in our ensembled ω B97X calculations is vital in some systems, (e.g., NO⁻, ozone TS) but slightly detrimental in others (e.g. Si, PF). Since these are small energies, and ω B97X is an “uncontrolled” (non-variational) approximation, some variation is to be expected. Results are certainly consistent with chemical intuition. A deeper conceptual understanding of DD terms (e.g., understanding when ground-state orbitals are poor for excited-states) might point the way to improved treatment of excitations generally, not just in EDFT – analogous to how a better understanding of dispersion corrections has improved treatment of weak binding generally. This problem should be investigated.

I speculate that the poor showing for EDFT in CSHH might reflect deficiencies in the super simple OEP. Better, low-cost solutions might be required for general cases. Theoretical and numerical work along these lines is being pursued.

Finally, unlike Δ SCF DFT, the EDFT

scheme proposed here can handle singlet–singlet excitations as readily as singlet–triplet excitations.³⁰ Their quality will be investigated in future work, which must accommodate recent developments in Hartree theory for ensembles.⁴⁸

Computational Methods

All calculations were performed in a custom Python3 code, based on Psi4/NumPy.^{49,50} The code used standard routines therefrom wherever possible. Both DFT and EDFT calculations of the TS12 benchmark set were performed with the aug-cc-pVQZ basis set.⁵¹ These calculations were repeated with aug-cc-pVTZ, which was found to give similar results (within 0.04 eV of aug-cc-pVQZ, except for NO[−]). Since no other anions were tested, aug-cc-pVTZ was thus used for the remaining calculations. Spatial symmetries were allowed to break, to avoid the additional ensemble effects required to preserve them.³⁰

EDFT calculations used ensemble weights $w \in \{0.0, 0.1, 0.2, 0.3, 0.4, 0.6\}$ in the quadratic extrapolation to $w = 1$. sdEDFT calculations used a finite difference $\partial_w E|_{w=0} \approx (E^{w=0.1} - E^{w=0.0})/0.1$ to approximate the gradient at $w = 0$.

Acknowledgement This work was supported by the Australian Research Council (DP200100033); the National Computational Merit Allocation Scheme (NCMAS project ca11) for National Computational Infrastructure, Australia; and the Queensland Cyber Infrastructure Foundation.

Supporting Information Available

Includes: 1) Full working for the implementation of the ω B97X density functional approximation for ensembles. 2) Details of the density-driven correlation calculation. 3) Tabulated data for calculations.

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Supplementary Material for “Approximately Self-Consistent Ensemble Density Functional Theory With All Correlations”

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Abstract

Supplementary material for “Approximately self-consistent ensemble density functional theory with all correlations”. Includes: 1) Full working for the implementation of the ω B97X density functional approximation for ensembles. 2) Details of the density-driven correlation calculation. 3) Tabulated data for calculations.

I. FULL WORKING FOR ω B97X

All tests involve an even number N of electrons, and a mixture of ground/singlet- and triplet-states. Thus, only these terms are considered here.

A. The ground-state terms

The ground/singlet-state Kohn-Sham wavefunction for N electrons is a Slater-determinant formed on $N/2$ doubly ($\uparrow/\downarrow$) occupied orbitals. This gives:

$$n_{s,\text{gs}}(\mathbf{r}) = 2 \sum_{i \leq h} \phi_i(\mathbf{r})^2, \quad (1)$$

$$P_{2,\kappa}(\mathbf{r}, \mathbf{r}') = n_{s,\text{gs}}(\mathbf{r})n_{s,\text{gs}}(\mathbf{r}') - \frac{1}{2}\gamma_{s,\text{gs}}(\mathbf{r}, \mathbf{r}')^2, \quad (2)$$

$$\zeta_{s,\text{gs}}(\mathbf{r}) = 0, \quad (3)$$

for the density, pair-density and spin-polarisation, respectively, where $h = N/2$ labels the highest occupied molecular orbital (HOMO). Here,

$$\gamma_{s,\text{gs}}(\mathbf{r}, \mathbf{r}') = 2 \sum_{i \leq h} \phi_i(\mathbf{r})\phi_i(\mathbf{r}'),$$

and $n_{s,\text{gs}}(\mathbf{r}) = \gamma_{s,\text{gs}}(\mathbf{r}, \mathbf{r})$ is used to find

$$\zeta = \sqrt{1 - 2P_{2,\text{gs}}(\mathbf{r}, \mathbf{r})/n_{s,\text{gs}}(\mathbf{r})^2} = \sqrt{1 - 2(n_{s,\text{gs}}^2/2)/n_{s,\text{gs}}^2} = 0.$$

The Hartree-exchange term,

$$\Lambda_{\text{Hx,gs}} = \int \frac{d\mathbf{r}d\mathbf{r}'}{2|\mathbf{r} - \mathbf{r}'|} P_{2,\text{gs}}(\mathbf{r}, \mathbf{r}'), \quad (4)$$

is defined by integrating $P_2(\mathbf{r}, \mathbf{r}')$ with the Coulomb potential. The pure Hartree term is the usual density functional, $E_{\text{H}}[n] = \frac{1}{2} \int d\mathbf{r}d\mathbf{r}'/|\mathbf{r} - \mathbf{r}'| n(\mathbf{r})n(\mathbf{r}')$. Then, swapping $1/r$ for $\text{erfc}(\omega r)/r$ (with $\omega = 0.3 \text{ bohr}^{-1}$) in Λ_{Hx} and E_{H} , gives the short-range exchange term:

$$\Lambda_{\text{x,gs}}^{\text{sr}} = -\frac{1}{2} \int \frac{\text{erfc}(\omega|\mathbf{r} - \mathbf{r}'|)}{2|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}d\mathbf{r}' \gamma_{s,\text{gs}}(\mathbf{r}, \mathbf{r}')^2. \quad (5)$$

B. The triplet-state terms

There are three triplet-state Kohn-Sham wavefunctions, all yielding the same density and energies. For convenience, pick the one involving $N/2 + 1$ electrons in the $\uparrow$ channel, and

$N/2 - 1$ electrons in the $\downarrow$ channel, which is (spatially) given by a trivial product of the respective Slater-determinants. This gives:

$$n_{s,\text{ts}}(\mathbf{r}) = 2 \sum_{i < h} \phi_i(\mathbf{r})^2 + \phi_h(\mathbf{r})^2 + \phi_l(\mathbf{r})^2, \quad (6)$$

$$P_{2,\text{ts}}(\mathbf{r}, \mathbf{r}') = n_{s,\text{ts}}(\mathbf{r})n_{s,\text{ts}}(\mathbf{r}') - \sum_{\sigma \in \{\uparrow, \downarrow\}} \gamma^\sigma(\mathbf{r}, \mathbf{r}')^2, \quad (7)$$

$$\zeta_{s,\text{ts}}(\mathbf{r}) = \frac{\phi_h(\mathbf{r})^2 + \phi_l(\mathbf{r})^2}{n_{s,\text{ts}}(\mathbf{r})}, \quad (8)$$

for the density, pair-density and spin-polarisation. Here $l = h + 1$ is the lowest unoccupied molecular orbital (LUMO). This involves,

$$\gamma^\uparrow(\mathbf{r}, \mathbf{r}') = \sum_{i \leq l} \phi_i(\mathbf{r})\phi_i(\mathbf{r}'), \quad \gamma^\downarrow(\mathbf{r}, \mathbf{r}') = \sum_{i < h} \phi_i(\mathbf{r})\phi_i(\mathbf{r}'). \quad (9)$$

Thus, $n \equiv n_{s,\text{ts}}(\mathbf{r}) = \sum_{\sigma} \gamma^\sigma(\mathbf{r}, \mathbf{r}) \equiv n^\uparrow(\mathbf{r}) + n^\downarrow(\mathbf{r})$, giving

$$\zeta = \frac{\sqrt{n^2 - 2(n^2 - n^{\uparrow 2} - n^{\downarrow 2})}}{n} = \frac{\sqrt{n^2 - 4n^\uparrow n^\downarrow}}{n} = \frac{|n^\uparrow - n^\downarrow|}{n} = \frac{\phi_h^2 + \phi_l^2}{n_{s,\text{ts}}}. \quad (10)$$

The Hartree-exchange term,

$$\Lambda_{\text{Hx},\text{ts}} = \int \frac{d\mathbf{r}d\mathbf{r}'}{2|\mathbf{r} - \mathbf{r}'|} P_{2,\text{ts}}(\mathbf{r}, \mathbf{r}'), \quad (11)$$

has the same form as for the ground-state. Again, subtract the short-range Hartree energy expression (again, $\omega = 0.3 \text{ bohr}^{-1}$) $E_{\text{H}}^{\text{sr}}[n_{s,\text{ts}}]$ to get

$$\Lambda_{\text{x,gs}}^{\text{sr}} = - \sum_{\sigma \in \{\uparrow, \downarrow\}} \int \frac{\text{erfc}(\omega|\mathbf{r} - \mathbf{r}'|)}{2|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}d\mathbf{r}' \gamma^\sigma(\mathbf{r}, \mathbf{r}')^2. \quad (12)$$

C. Putting it together

Using the results found in the previous subsections, gives the full ωB97X ensemble energy functional as:

$$\begin{aligned} \mathcal{E}_{\text{Hxc}}^{\omega\text{B97X}} = & w_{\text{gs}} E_{\text{Hx}}[n_{s,\text{gs}}] + w_{\text{ts}} E_{\text{Hx}}[n_{s,\text{ts}}] \\ & - 0.8423[w_{\text{gs}} \Lambda_{\text{x,gs}} + w_{\text{ts}} \Lambda_{\text{x,ts}}] \\ & + w_{\text{gs}} E_{\text{xc}}^{\text{DFA}}[n_{s,\text{gs}}, 0] + w_{\text{ts}} E_{\text{xc}}^{\text{DFA}}[n_{s,\text{ts}}, \zeta_{s,\text{ts}}]. \end{aligned} \quad (13)$$

Here, $0.8423 = 1 - c_{\text{x}} = 1 - 0.1577$ is the short-range exchange damping factor.

The semi-local term is

$$E_{xc}^{DFA}[n, \zeta] = E_x^{sr-DFA}[n_{\uparrow}, n_{\downarrow}] + E_c^{DFA}[n_{\uparrow}, n_{\downarrow}], \quad (14)$$

and is as given by Chai and Head-Gordon[1], for $n_{\uparrow/\downarrow} = n(1 \pm \zeta)/2$. Note, $\omega B97X$ is originally defined as, $E_{xc}^{\omega B97X} = E_x^{lr} + c_x E_x^{sr} + E_{xc}^{DFA}$. To obtain (13), use $E_x = E_x^{lr} + E_x^{sr}$ to write $E_{xc}^{\omega B97X} = E_x + (c_x - 1)E_x^{sr} + E_{xc}^{DFA}$, and then add E_H .

The ensemble density is,

$$n(\mathbf{r}) = w_{gs} n_{s,gs}(\mathbf{r}) + w_{ts} n_{s,ts}(\mathbf{r}) = \sum_i f_i \phi_i(\mathbf{r})^2, \quad (15)$$

where $f_i = 2$ for $i < h$, $f_h = 2 - w_{ts}$, $f_l = w_{ts}$ and $f_i = 0$ otherwise. The KS kinetic energy term is defined similarly, as

$$\mathcal{T}_s = \sum_i f_i \int \frac{1}{2} |\nabla \phi_i(\mathbf{r})|^2 d\mathbf{r} \quad (16)$$

The final quantity required for the super simple optimized effective potential (SSOEP) calculations is

$$\frac{n_{gs'}(\mathbf{r})}{n(\mathbf{r})} = \frac{\sum_{i \leq h} f_i \phi_i(\mathbf{r})^2}{\sum_{i \leq l} f_i \phi_i(\mathbf{r})^2} = 1 - \frac{w_{ts} \phi_l(\mathbf{r})^2}{n(\mathbf{r})}, \quad (17)$$

which is used to calculate $\tilde{v}_s(\mathbf{r})$ [Eq. (11) of the main text]. Note that this term is close to one in the core region of atoms, where neither the HOMO nor LUMO play much role. It also goes to zero for $\mathbf{r} \rightarrow \infty$ due to the slower decay of ϕ_l compared to ϕ_h .

II. DENSITY-DRIVEN CORRELATIONS

In recent work[2], Gould and Pittalis showed that EDFT introduces an additional density-driven correlation energy term to calculations, that is not present in pure-state calculations. This section summarises this formalism, and details the solution for dealing with density-driven correlations that is proposed in the main text. Similar arguments may also be found in Section IIIA of Ref. 3, but are restricted to exact exchange theory.

We begin by summarising the formal definition of state-driven and density-driven correlations. For a given external potential v , the true energy $\mathcal{E}^w$ of any ensemble system depends only trivially on the weights, via averaging, i.e.

$$\mathcal{E}^w[v] = \sum_{\kappa} w_{\kappa} E_{\kappa}[v]. \quad (18)$$

Formally, the state-driven energy of the systems studied in this work are defined as[2],

$$\mathcal{E}_c^{\text{SD},\mathbf{w}}[v] = \sum_{\kappa} w_{\kappa} E_{c,\kappa}[n_{\kappa}[v]] , \quad (19)$$

where $E_{c,\kappa}[n_{\kappa}] = E_{\kappa} - \int n_{\kappa} v d\mathbf{r} - T_{s,\kappa}[n_{\kappa}] - \Lambda_{\text{HX},\kappa}[n_{\kappa}]$ is the usual DFT correlation energy functional for density n_{κ} , with appropriate spin-symmetry accounted for. Eq. (19) involves only the density $n_{\kappa} = \langle \kappa | \hat{n} | \kappa \rangle$ of the *interacting* system. $E_{c,\kappa}$ is thus also only trivially dependent (i.e., explicitly through the terms w_{κ} but with no additional implicit dependence on $\mathbf{w}$) on the ensemble weights, since n_{κ} is obtainable directly from the external potential v . Note that, unlike the more general case, both $T_{s,\kappa}[n_{\kappa}]$ and $\Lambda_{\text{HX},\kappa}[n_{\kappa}]$ can be defined uniquely for either Coulomb systems or low-lying excitations. Both conditions are met in the current work. More generally, one must rely on a bifunctional formalism[2].

The Kohn-Sham kinetic $\mathcal{T}_s^{\mathbf{w}} = \sum_{\kappa} w_{\kappa} T_{s,\kappa}^{\mathbf{w}}$ and Hartree-exchange (Hx) $\mathcal{E}_{\text{HX}}^{\mathbf{w}} = \sum_{\kappa} w_{\kappa} \Lambda_{\text{HX},\kappa}^{\mathbf{w}}$ energy functionals have well-defined meanings in ensembles, but depend *non-trivially* on the full set of ensemble weights. This is because the Kohn-Sham densities $n_{s,\kappa}^{\mathbf{w}} = \langle \kappa_s^{\mathbf{w}} | \hat{n} | \kappa_s^{\mathbf{w}} \rangle$, and the orbitals $\phi_i^{\mathbf{w}}$ from which they are formed, carry a non-trivial dependence on $\mathbf{w}$. The density-driven correlation energy

$$\mathcal{E}_c^{\text{DD},\mathbf{w}} = \sum_{\kappa} w_{\kappa} E_{c,\kappa}^{\text{DD},\mathbf{w}} \equiv \mathcal{F}^1 - \mathcal{T}_s - \mathcal{E}_{\text{HX}} - \mathcal{E}_c^{\text{SD}} , \quad (20)$$

is then defined as the missing correlation energy. Matching terms gives[2]

$$E_{c,\kappa}^{\text{DD},\mathbf{w}} = T_{s,\kappa}[n_{\kappa}] - T_{s,\kappa}[n_{s,\kappa}^{\mathbf{w}}] + \Lambda_{\text{HX},\kappa}[n_{\kappa}] - \Lambda_{\text{HX},\kappa}[n_{s,\kappa}^{\mathbf{w}}]. \quad (21)$$

as the difference between the Hartree-Fock-like energy taken at the interacting density n_{κ} , and its equivalent taken at the corresponding Kohn-Sham density $n_{s,\kappa}^{\mathbf{w}}$. It thus inherits a non-trivial dependence on $\mathbf{w}$.

Now, let us move from formalism to practicalities. When a density functional approximation (DFA) is made for $E_{\text{HXC},\kappa}$, as done here for ωB97X , two correlation approximations are introduced in ensembles: (i) the DFA itself; (ii) that $E_{c,\kappa}^{\text{DFA}}[n_{\kappa}] \approx E_{c,\kappa}^{\text{DFA}}[n_{s,\kappa}^{\mathbf{w}}]$, because n_{κ} is unknown. It thus makes sense to redefine:

$$E_{\text{HXC},\kappa}^{\text{SD}',\mathbf{w}} = T_{s,\kappa} + \Lambda_{\text{HX},\kappa} + E_{c,\kappa}[n_{s,\kappa}^{\mathbf{w}}], \quad (22)$$

$$E_{c,\kappa}^{\text{DD}',\mathbf{w}} = E_{c,\kappa}^{\text{DD},\mathbf{w}} + E_{c,\kappa}[n_{\kappa}] - E_{c,\kappa}[n_{s,\kappa}^{\mathbf{w}}] \quad (23)$$

using the *practical* correlation terms, $E_{c,\kappa}[n_{s,\kappa}^{\mathbf{w}}]$, where $E_{c,\kappa}[n]$ is the DFA for correlation, adapted to state $|\kappa\rangle$. Thus, the additional error from (ii) is included in the DD' term, rather than the SD' term. The sum of the two terms remains the same, so nothing additional is lost.

This alternative definition is used in the main paper. In practice, the differences $E_{c,\kappa}[n_{\kappa}] - E_{c,\kappa}[n_{s,\kappa}^{\mathbf{w}}]$ between SD/SD' and DD/DD' terms (which are equal and opposite, meaning the DD physics is included regardless) are expected to be very small in most systems, due to the semi-local approximation employed in the correlation DFA. Certainly they are likely to be smaller than the error from (i). It thus makes sense to assume that primed and unprimed quantities are essentially equivalent, i.e. that $\mathcal{E}_{\text{Hxc}}^{\text{SD}} \approx \mathcal{E}_{\text{Hxc}}^{\text{SD}'}$ and $\mathcal{E}_{\text{c}}^{\text{DD}} \approx \mathcal{E}_{\text{c}}^{\text{DD}'}$ and drop primes.

Now, consider the two-state ensemble used in the main text. Its energy is $\mathcal{E}^w \equiv \mathcal{E}^{\mathbf{w}=\{1-w,w\}} = (1-w)E_{\text{ss}} + wE_{\text{ts}}$ (i.e. $w_{\text{gs}} = 1-w$ and $w_{\text{ts}} = w$). The energy, which is pure-state like for $w = 0$ and $w = 1$, has no DD correlations for these values. The state-driven energy, $\mathcal{E}^{\text{SD},w} = \mathcal{F}^{\text{SD},w} + \int n v d\mathbf{r}$, invokes

$$\mathcal{F}^{\text{SD},w} = \mathcal{T}_s^w + \mathcal{E}_{\text{Hxc}}^{\text{SD},w} \quad (24)$$

$$= w[T_{s,\text{gs}}[n_{s,\text{gs}}^{\mathbf{w}}] + E_{\text{Hxc,gs}}^{\omega\text{B97X}}[n_{s,\text{gs}}^{\mathbf{w}}]] + (1-w)[T_{s,\text{ts}}[n_{s,\text{ts}}^{\mathbf{w}}] + E_{\text{Hxc,ts}}^{\omega\text{B97X}}[n_{s,\text{ts}}^{\mathbf{w}}]]. \quad (25)$$

Therefore, $\mathcal{E}^{\text{SD},w}$ is directly calculable using the DFA machinery described in the previous section, using eq. (13). $\mathcal{E}^w$ is, in general, unknown but obeys (up to errors from the DFA) $\mathcal{E}^0 = \mathcal{E}^{\text{SD},0} = \mathcal{E}^{\omega\text{B97X},0}$ and $\mathcal{E}^1 = \mathcal{E}^{\text{SD},1} = \mathcal{E}^{\omega\text{B97X},1}$.

The energy difference $\Delta E = E_{\text{ts}} - E_{\text{ss}} = \mathcal{E}^1 - \mathcal{E}^0$ is the goal of these calculations. ΔE can be found (formally) by taking derivative $\partial_w \mathcal{E}^w$ at any w , since the energy is linear in w . The state-driven energy difference can be similarly defined by taking

$$\Delta E^{\text{SD},w=0} = \partial_w \mathcal{E}^{\text{SD},w=0} = \partial_w E^{\omega\text{B97X},w=0} \quad (26)$$

$$\equiv [T_{s,\text{ts}} + E_{\text{Hxc,ts}}^{\omega\text{B97X}}] - [T_{s,\text{gs}} + E_{\text{Hxc,gs}}^{\omega\text{B97X}}] + \int v[n_{s,\text{ts}} - n_{s,\text{ss}}] d\mathbf{r} \quad (27)$$

at $w = 0$, which is similar to the common practice of performing EDFT using the density and orbitals of the pure singlet-state ($w = 0$), where $n_{s,\text{gs}}^{w=0} = n_{\text{gs}}^{w=0}$. In practice, (26) is calculated by a finite difference between $w = 0$ and $w = 0.1$.

The final step is to use known quantities to obtain ΔE . $\mathcal{E}^{\text{SD},w} \equiv \mathcal{E}^{\omega\text{B97X},w}$ can be found for any $w \leq 0.75$, because of the ensemble minimization constraints and degeneracy ($w_{\text{ts},t} \leq w_{\text{gs}}$ gives $w_{\text{ts}} = 3w_{\text{ts},t} \leq 0.75$ across the three triplet states).[4] Thus, $\mathcal{E}^1 = \mathcal{E}^{\omega\text{B97X},1}$ cannot always

be calculated directly. However, fitting a quadratic to $\mathcal{E}^{\omega\text{B97X},w}$ for values of $w < 0.75$ allows for extrapolation to $w \rightarrow 1$ (shortened to $\mathcal{E}^1 \equiv \mathcal{E}^{\omega\text{B97X},1} = \text{ext}_{w \rightarrow 1} \mathcal{E}^{\omega\text{B97X},w}$). We choose a quadratic fit as a linear fit would miss the DD terms entirely, and a cubic or higher fit might lead to overfitting. Then,

$$\Delta E = \mathcal{E}^1 - \mathcal{E}^0 \equiv \text{ext}_{w \rightarrow 1} \mathcal{E}^{\omega\text{B97X},w} - \text{ext}_{w \rightarrow 0} \mathcal{E}^{\omega\text{B97X},w} \quad (28)$$

$$\equiv \Delta E^{\text{SD},w=0} + \Delta \mathcal{E}_c^{\text{DD}}. \quad (29)$$

Thus, the missing DD correlation energy contribution must be

$$\Delta \mathcal{E}_c^{\text{DD}} = \text{ext}_{w \rightarrow 1} \mathcal{E}^{\omega\text{B97X},w} - \mathcal{E}^{\omega\text{B97X},0} - \partial_w \mathcal{E}^{\omega\text{B97X},w}|_{w=0} \quad (30)$$

to ensure that $\partial_w \mathcal{E}^w|_{w=0} = \partial_w \mathcal{E}^w|_{w=1}$ is independent of w . This gives Eqs (9) and (10) of the main paper.

III. TABULATED DATA

Tables I and II show the data for the TS12 benchmark set. Table III shows the data for the Ozone molecules.

All data here is reported in kcal/mol, rather than eV, as this more closely aligns with numerical (rather than methodological) precision. Conversion to eV can be done by dividing numbers by 23.06035.

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TABLE I. TS12@aug-cc-pVQZ data [in kcal/mol]. Exact results from Ref. 5. Reports mean absolute error (MAE), mean signed error (MSE) and root mean square deviation (RMSD).

System	Exact	EDFT	Err	sdEDFT	Err	DFT	Err
C	29.14	31.89	2.75	35.14	6.00	40.16	11.02
NF	34.32	37.35	3.03	35.14	0.82	46.44	12.12
NH	35.93	43.28	7.35	39.53	3.60	53.34	17.41
NO ⁻	17.30	17.38	0.08	9.41	-7.89	28.87	11.57
O ₂	22.64	31.73	9.09	30.12	7.48	38.28	15.64
O	45.37	54.23	8.86	51.46	6.09	63.38	18.01
PF	20.27	26.91	6.64	23.22	2.95	29.49	9.22
PH	21.90	28.89	6.99	25.73	3.83	31.38	9.48
S ₂	13.44	17.21	3.77	16.32	2.88	23.22	9.78
S	26.41	33.15	6.74	32.00	5.59	38.28	11.87
SO	18.16	22.80	4.64	21.34	3.18	28.24	10.08
Si	18.01	26.62	8.61	21.34	3.33	25.10	7.09
MAE			5.71		4.47		11.94
MSE			5.71		3.15		11.94
RMSD			6.32		4.91		12.37

h!

TABLE II. As Table I but for aug-pVTZ [in kcal/mol].

System	Exact	EDFT	Err	sdEDFT	Err	DFT	Err
C	29.14	32.13	2.99	35.77	6.63	40.79	11.65
NF	34.32	37.56	3.24	35.14	0.82	45.81	11.49
NH	35.93	43.30	7.37	39.53	3.60	52.71	16.78
NO ⁻	17.30	19.52	2.22	15.69	-1.61	29.49	12.19
O ₂	22.64	31.54	8.90	30.75	8.11	37.65	15.01
O	45.37	54.15	8.78	52.08	6.71	62.75	17.38
PF	20.27	27.08	6.81	23.22	2.95	29.49	9.22
PH	21.90	28.83	6.93	25.73	3.83	31.38	9.48
S ₂	13.44	17.57	4.13	16.32	2.88	23.22	9.78
S	26.41	33.23	6.82	32.00	5.59	38.28	11.87
SO	18.16	23.28	5.12	21.34	3.18	28.24	10.08
Si	18.01	26.51	8.50	21.96	3.95	24.47	6.46
MAE			5.98		4.15		11.78
MSE			5.98		3.89		11.78
RMSD			6.40		4.65		12.18

TABLE III. Energetics of the open minimum (OM), transition state (TS) and ring minimum (RM) structures of ozone, shown relative to the TM groundstate. All energies in kcal/mol. Benchmark data from Ref. 6. Calculations used the aug-cc-pVTZ basis set. To maintain consistency, the EDFT gs and ts are both obtained using the same quadratic (with $w = 0$ and $w = 1$). This can lead to differences in the ground-state energy between DFT and EDFT.

	OM	Err	TS	Err	RM	Err
Benchmark						
gs	0	–	55.6	–	30.0	
ts	95.2	–	55.8	–	171	
EDFT						
gs	0	–	69.5	14.0	26.4	-3.6
ts	37.6	-57.6	58.6	2.8	121	-50.4
ts (sd)	37.7	-57.6	178	122	122	-49.6
DFT						
gs	0	–	64.6	9.1	26.4	-3.6
ts	20.7	-74.5	34.5	-21.3	94.8	-76.6