

Symmetry Breaking with the SCAN Density Functional Describes Strong Correlation in the Singlet Carbon Dimer

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Abstract: The SCAN (strongly constrained and appropriately normed) meta-generalized gradient approximation (meta-GGA), which satisfies all 17 exact constraints that a meta-GGA can satisfy, accurately describes equilibrium bonds that are normally correlated. With symmetry breaking, it also accurately describes some *sd* equilibrium bonds that are strongly correlated. While *sp* equilibrium bonds are nearly always normally correlated, the C₂ singlet ground state is known from correlated wave-function theory to be a rare case of strong correlation in an *sp* equilibrium bond. Earlier work that calculated atomization energies of the molecular sequence B₂, C₂, O₂, and F₂ in the local spin density approximation (LSDA), the Perdew-Burke-Ernzerhof (PBE) GGA, and the SCAN meta-GGA, without symmetry breaking in the molecule, found that only SCAN was accurate enough to reveal an anomalous under-binding for C₂. This work shows that spin symmetry breaking in singlet C₂, the appearance of net up- and down-spin densities on opposite sides (not ends) of the bond, corrects that under-binding, with a small SCAN atomization-energy error more like that of the other three molecules, suggesting that symmetry-breaking with an advanced density functional might reliably describe strong correlation. This article also discusses some general aspects of symmetry breaking, and the insights into strong correlation that symmetry-breaking can bring.

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Introduction

The spin-density functional theory of Kohn and Sham^{1,2} is an exact in principle self-consistent-field formalism for the ground-state energy and spin densities of a system of interacting non-relativistic electrons in the presence of an external possibly-spin-dependent potential $v_\sigma(\mathbf{r})$. In practice, only the exchange-correlation energy as a functional of the spin densities must be approximated. The computationally-efficient approximations on the first three rungs of Jacob's Ladder³ are single integrals of the form

$$E_{xc}^{approx}[n_\uparrow, n_\downarrow] = \int d^3r n \varepsilon_{xc}^{approx}(n_\uparrow, n_\downarrow, \nabla n_\uparrow, \nabla n_\downarrow, \tau_\uparrow, \tau_\downarrow). \quad (1)$$

Here $n(\mathbf{r}) = n_\uparrow(\mathbf{r}) + n_\downarrow(\mathbf{r}) = \sum_{i\sigma}^{occup} |\psi_{i\sigma}(\mathbf{r})|^2$ is the total electron density, and

$$\tau_\sigma(\mathbf{r}) = \sum_i^{occup} \frac{1}{2} |\nabla \psi_{i\sigma}(\mathbf{r})|^2 \quad (2)$$

is the positive orbital kinetic energy density. Rung 1 of the ladder (e.g., LSDA^{1,2,4}) uses only the local spin densities, rung 2 (e.g., PBE⁵ GGA) adds the gradients of the spin densities, and rung 3 (e.g., SCAN⁶ or r²SCAN⁷ meta-GGA) adds the kinetic energy densities.

There is a nearly straight line⁸ from the exact density functional theory to its first-principles approximations (e.g., LSDA, PBE, or SCAN), which proceeds from exact (if impractical) expressions for $E_{xc}[n_\uparrow, n_\downarrow]$ to the derivation of mathematical properties of the exact functional that can be satisfied by an approximation on a given rung, and finally to imposing those constraints on the approximate functional. Appropriate norms, or systems in which a given rung can be accurate for the exchange energy alone and the correlation energy alone, can be safely fitted. Appropriate norms for all three rungs include electron gases of uniform spin densities. Appropriate norms for rung 3 include closed-subshell atoms. LSDA inherits 8 exact constraints from its uniform gas norm, PBE satisfies 11 exact constraints appropriate to the GGA level, and SCAN satisfies all 17 known exact constraints that a meta-GGA can satisfy. The energies of molecules and solids, often fitted by empirical functionals, are not appropriate norms, because of an understood but imperfect and uncontrolled cancellation between errors in the approximate exchange and correlation energies. While empirical functionals interpolate between bonds, first-principles approximations predict⁹ them, typically working better than empirical functionals for artificial molecules that are unlike those commonly fitted.

SCAN with a long-range van der Waals correction was more accurate than other tested functionals from the first three rungs, and more accurate than some hybrid functionals employing a fraction of exact exchange, in a 2017 test¹⁰ on the GMTKN55 suite of 55 molecular test sets. SCAN is also accurate for insulating solids. For some strongly-correlated *sd*-bound solids, such as the cuprates¹¹ and manganese dioxides¹², symmetry-broken SCAN is accurate without a “Hubbard-like:” $+U$ correction (sometimes interpreted as a self-interaction correction¹³). In other strongly-correlated transition-metal oxides, symmetry-broken SCAN requires a $+U$ correction, but one significantly smaller than PBE requires¹⁴. Range-separated GGA hybrid functionals with short-range exact exchange can describe¹⁵ many strongly-correlated solids better than LSDA or GGA and without a material-dependent parameter like U . Such functionals¹⁶ and other nonlocal functionals¹⁷ can also describe polaronic symmetry breaking.

For equilibrium bonds, a self-interaction correction seems to be much more needed for *sd* than for *sp* bonds. The Perdew-Zunger self-interaction correction¹⁸ is first-principles, but is not reliably accurate due to the lobedness of its localized one-electron densities¹⁹. Perhaps in the future an improved self-interaction correction to a SCAN-like functional will lead to a reliable and widely-useful description of strong correlation via symmetry breaking. For now, any strongly-correlated equilibrium *sp* bond is of special interest as a test of the ability of symmetry breaking to describe strong correlation. Such bonds are rare, but the singlet ground state of the molecule C_2 is known to be strongly correlated. This molecule has an avoided crossing of two energy surfaces near its equilibrium bond length, and has been studied carefully with the full configuration interaction quantum Monte Carlo (FCIQMC) correlated-wavefunction approach.²⁰

Symmetry breaking (in both wavefunction and density functional theories) and strong correlation have attracted the interest of many, notably Gustavo E. Scuseria and Richard L. Martin^{15,22,23}. Strong correlation arises when degenerate or nearly degenerate Slater determinants are strongly mixed by the electron-electron pair interaction. This leads to correlation or exchange-correlation energies more negative than those that a standard approximate density functional can produce. A standard approximate functional places the total energy of a strongly-correlated state too high, and can often lower its energy by breaking a symmetry. Breaking the symmetry can break the degeneracy and return the system to a normally-correlated state whose energy the approximate functional can properly describe. An alternative rationale²⁴ for spin-symmetry breaking re-interprets approximate spin-density

functional calculations as approximations to a nearly-exact theory for total energy, total electron density, and on-top pair density.

The importance of symmetry breaking was recognized²⁵ early in the history of density functional theory: For the singlet H_2 molecule at its equilibrium bond length, standard approximate functionals can be accurate for the energy. As the bond length is stretched toward infinity, preserving the correct singlet (hence spin-unpolarized) ground state requires a strongly negative correlation energy which the approximate functional cannot provide. In correlated-wavefunction language, the singlet ungerade excited state is dropping toward and becoming degenerate with the singlet gerade ground state. At a critical Coulson-Fischer bond length, the approximate functional starts to produce a spin-polarized (hence symmetry-broken) self-consistent density, which is needed for a realistic H_2 binding energy curve. As the bond length tends to infinity, one recovers an up-spin H atom on one end of the bond and a down-spin H atom on the other, which is actually correct in the sense that such a spin-density fluctuation freezes out, not on an infinite time scale but on a macroscopic one. Thus the symmetry-breaking provides a physical picture of the strong correlation present at large bond length. In this limit, the symmetry breaking has converted a strong correlation energy into zero correlation energy (literally zero in SCAN, which is self-correlation free).

For a given Hamiltonian, eigenstates of a complete set of commuting observables (including symmetry operators that leave the Hamiltonian invariant) can always be found. In this sense, symmetry breaking is not required in exact wavefunction and density functional theories. Approximate density functionals that avoid symmetry breaking have also been constructed^{26,27}. Still, as pointed out in the previous paragraph, symmetry breaking is sometimes fully real and perhaps more often revealing.

An interesting recent comment by Alex Zunger²⁸ suggests that all or at least many “quantum materials” (exotic extended systems, including strongly-correlated ones) can be well described by full symmetry breaking with standard approximate functionals (including in some cases $+U$ -style self-interaction corrections). Much is known about symmetry breaking^{29,30}, but much remains to be determined, including its reliability for the description of strong correlation with advanced constraint-based density functionals.

Open-shell atoms like B, C, O, and F have degenerate ground states that can be either symmetry-preserving or symmetry-breaking. LSDA, PBE, and SCAN

appear not to make significant differences in energy between them. *sp* atoms do not seem to exhibit strong correlation, although bonded systems can do so. The molecules B₂, C₂, O₂, and F₂ have closed-subshell non-degenerate ground states, A recent study³¹ of the atomization energies of B₂, C₂, O₂, and F₂ used symmetry-unbroken solutions for the molecules (Fig.1 of Ref. 31). The mean absolute errors for B₂, O₂, and F₂ were 1.7 eV in LSDA, 0.7 eV for PBE, and 0.1 eV for SCAN. The errors of LSDA and PBE were too large to permit the identification of singlet C₂ as the only strongly-correlated molecule in this set. But the much smaller errors of SCAN showed that singlet C₂ is strongly and uniquely under-bound (by 1.5 eV) in symmetry-unbroken SCAN. We will show here that this under-binding is corrected, and the error becomes similar to the errors for the other three molecules, within symmetry-broken SCAN. Thus we will show that the strong correlation in singlet C₂, which is far more subtle than that in highly-stretched H₂, can be captured by symmetry-broken SCAN.

Computational Details

The calculations in this study were performed with the pseudopotential plane-wave NWPW³² module implemented in the NWChem^{33,34} software package. The web application EMSL Arrows³⁵ was used to set up and perform all the calculations. The LSDA^{1,2} (in the parametrization of Ref. 4), PBE GGA⁵ and SCAN meta-GGA⁶ were employed to account for the exchange and correlation energy. In our plane-wave calculations, the valence electron interactions with the atomic core for carbon were approximated with generalized norm-conserving Hamann³⁶ pseudopotentials modified to the separable form suggested by Kleinman and Bylander³⁷. The pseudopotentials used in this study were constructed with the following core radii: $r_{cs} = 0.800$ bohr, $r_{cp} = 0.850$ bohr and $r_{cd} = 0.850$ bohr. The electronic wavefunctions were expanded using a plane-wave basis in a simple cubic box of $L = 26$ bohr with a wavefunction cutoff energy of 100 Ry and a density cutoff energy of 200 Ry.

Both restricted and unrestricted calculations with aperiodic free space boundary conditions^{38,39} were performed for the singlet electronic state of C₂. The spin-symmetry breaking was “nudged”. For the unrestricted calculations, the initial Kohn-Sham molecular orbitals were randomly generated with numerical noise to break the spin-symmetry. This is automatically done by default in NWChem.

Results and Discussion

Table I presents our calculated atomization energies for the strongly-correlated singlet state of the carbon dimer. The results without spin-symmetry breaking in the molecule show a familiar pattern in which the atomization energy is strongly reduced from LSDA to PBE GGA to SCAN meta-GGA. The atomization energy with spin-symmetry breaking is also reduced in the same order, but much less strongly. The error for symmetry-broken SCAN is 0.0 eV, in line with the 0.1 eV mean absolute error of SCAN for the normally-correlated and hence symmetry-unbroken dimers B_2 , O_2 , and F_2 discussed in the Introduction and in Ref. 31. Molecular spin-symmetry breaking in SCAN increases the atomization energy by 1.4 eV.

The last column or “difference” in Table I is the energy lowering due to the appearance of non-zero net spin density in a singlet state that in a symmetry-preserving theory would have zero net spin density everywhere. This difference increases strongly from 0.3 eV for LSDA to 0.7 eV for PBE GGA to 1.4 eV for SCAN meta-GGA. Compare Table I of Ref. 31, in which the energy difference between spherical and non-spherical density for open-subshell B, C, O, and F atoms also increases strongly from LSDA to PBE GGA to SCAN. Added ingredients in Eq. (1) can make an approximate functional much more sensitive to the density³¹, at least in some cases.

Figures 1, 2, and 3 show the calculated binding energy curves for singlet C_2 in LSDA, PBE GGA, and SCAN, respectively. The Coulson-Fischer point always occurs at a bond length much shorter than the equilibrium bond length (~ 1.25 Å for all three functionals, with or without symmetry breaking). The pattern of spin-symmetry breaking, as shown in these figures, is also similar for all three functionals, with up and down spin densities appearing on opposite sides (not opposite ends as in stretched H_2) of the bond (double in C_2 but single in H_2). The earliest spin-symmetry-broken solution in singlet C_2 was end-to-end⁴⁰. A side-to-side alternation of lower energy was found in Ref. 41 with the PW91 GGA (which preceded but is numerically similar to the PBE GGA). We suspect that the symmetry breaking is revealing low-frequency spin-density fluctuations that contribute to the strong correlation in C_2 .

The symmetry-unbroken singlet wavefunction of C_2 would have the total-spin quantum number $S = 0$ and thus $\langle \hat{S}^2 \rangle = S(S + 1) = 0$. Symmetry breaking of the Kohn-Sham non-interacting wavefunction increases from LSDA ($\langle \hat{S}^2 \rangle = 0.66$) to PBE GGA ($\langle \hat{S}^2 \rangle = 0.89$) to SCAN meta-GGA ($\langle \hat{S}^2 \rangle = 1.07$).

The calculated Kohn-Sham orbitals explain the complicated pattern of net spin density shown in the insets of Figs. 1-3. The net bonding in C_2 arises from four electrons in the higher-energy occupied molecular orbitals. In the symmetry-unbroken molecule, these are two degenerate π bonding orbitals. In the symmetry-broken molecule, these are a highest-occupied σ orbital that is the same for spin-up and spin-down, and two next-highest-occupied banana bonds, one for spin down with its banana lobe above the bond axis and one for spin up with its banana lobe below in the page of each figure. A larger banana lobe on one side of the bond axis is accompanied by a smaller and more compact lobe of the same orbital on the other side. The net spin density has an integrated net down (blue) spin density above the bond axis and an integrated net up (orange) spin density below the bond axis, as shown in the figures. The integral of the difference in spin-up and spin-down densities (net number of spin-up electrons) is 0.35 (-0.35) from unrestricted LSDA, 0.44 (-0.44) from unrestricted PBE GGA and 0.63 (-0.63) from unrestricted SCAN meta-GGA below (above) the bond axis in Figs. 1-3.

In summary, spin-symmetry breaking with the SCAN meta-GGA captures the energetics (and perhaps also the modality) of strong correlation in the singlet carbon dimer at its equilibrium geometry. Allowing for the possibility of symmetry breaking, SCAN provides an accurate description of the dimer sequence B_2 , C_2 , N_2 , and O_2 , in which only C_2 is strongly correlated. For these equilibrium sp bonds, no need for a self-interaction correction is expected. When a self-interaction correction to the SCAN-like functionals is perfected, symmetry breaking might provide a widely reliable description of strong correlation in molecules and solids.

Symmetry-broken states of finite systems may be “static or strong correlation” states that persist for a long-time (long enough to have well-defined energies), if not forever^{29,30}. Reliable access to such states is through the dynamic structure factor^{25,42} or spectral function^{29,30} describing the dynamic correlations that are hidden within a time-independent wavefunction, that are revealed in the expectation values of relevant time-dependent operators, and that are in fact responsible for the exchange-correlation energy that is approximated in ground-state density-functional theory.

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Table I. Atomization energy (eV) of singlet C₂ at its equilibrium bond length from several nonempirical density functionals, calculated without and with spin-symmetry breaking (SB) in the molecule. All the equilibrium bond distances were obtained by DFT geometry optimization ($R_{\text{eq}} = 1.24$ Å from restricted LSDA, 1.27 Å from unrestricted LSDA, 1.25 Å from restricted PBE GGA, 1.29 Å from unrestricted PBE GGA, 1.23 Å from restricted SCAN meta-GGA and 1.27 Å from unrestricted SCAN meta-GGA). The reference value is the FCIQMC value from Ref. 20, which found $R_{\text{eq}} = 1.24$ Å. (1 hartree = 27.21 eV = 627.5 kcal/mol)

Functional	without SB	with SB	difference
LSDA	7.19	7.47	0.28
PBE GGA	6.03	6.75	0.72
SCAN meta-GGA	4.76	6.19	1.43
reference		6.22	

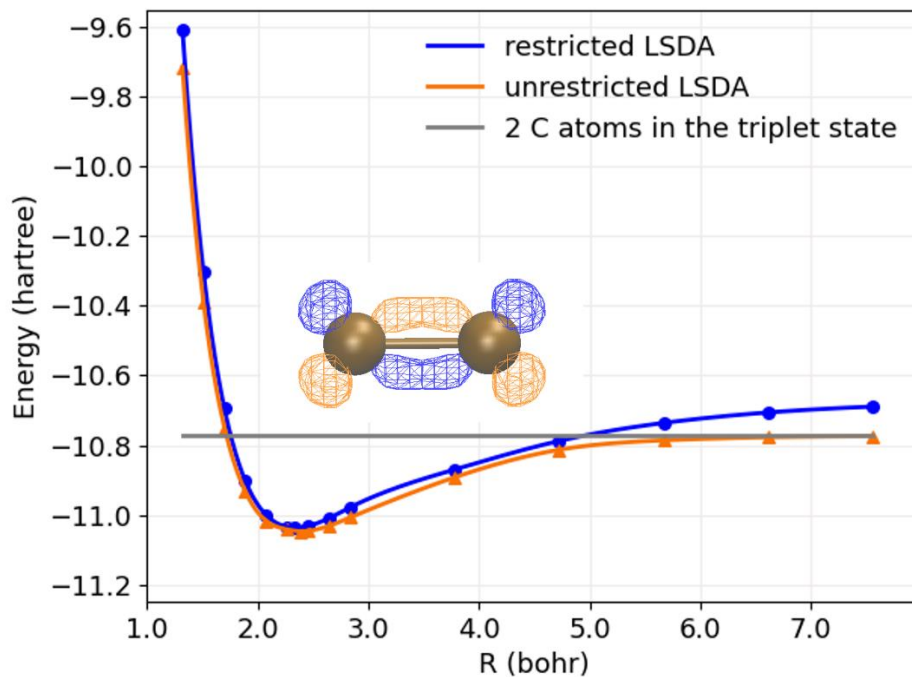


Fig. 1. LSDA binding energy curve for singlet C_2 . Pseudopotential energy in hartree vs. bond length in bohr. Blue: without symmetry breaking in the molecule. Orange: with spin-symmetry breaking in the molecule. The inset shows $+0.05$ (orange) and -0.05 au (blue) contour surfaces of $n_\uparrow - n_\downarrow$ for the symmetry-broken solution at the equilibrium bond length $R_{eq} = 2.39$ bohr (1.27 Å).

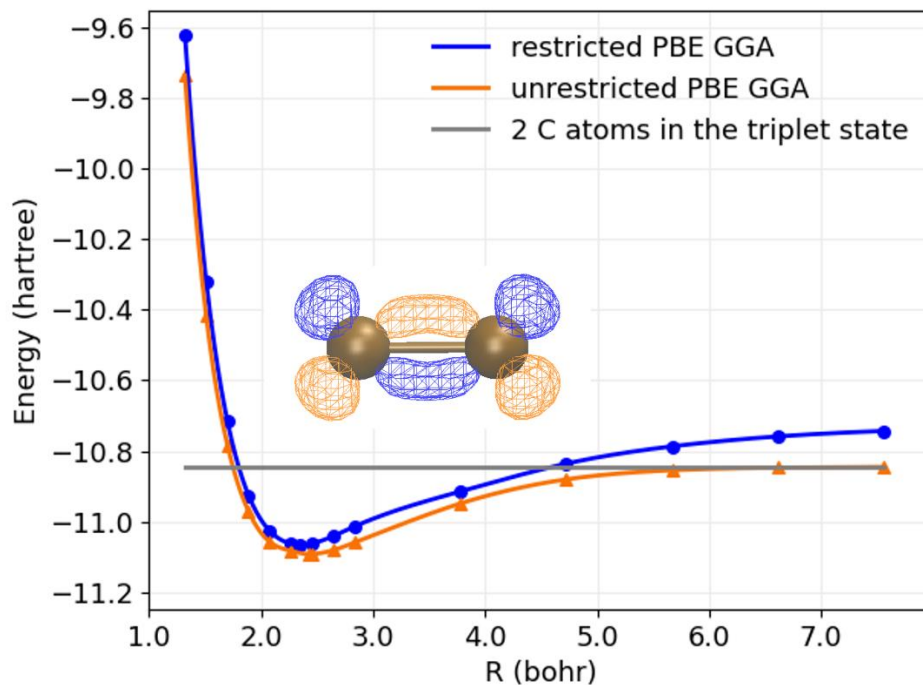


Fig. 2. PBE GGA binding energy curve for singlet C_2 . Pseudopotential energy in hartree vs. bond length in bohr. Blue: without symmetry breaking in the molecule. Orange: with spin-symmetry breaking in the molecule. The inset shows $+0.05$ (orange) and -0.05 au (blue) contour surfaces of $n_\uparrow - n_\downarrow$ at the equilibrium bond length $R_{eq} = 2.43$ bohr (1.29 Å).

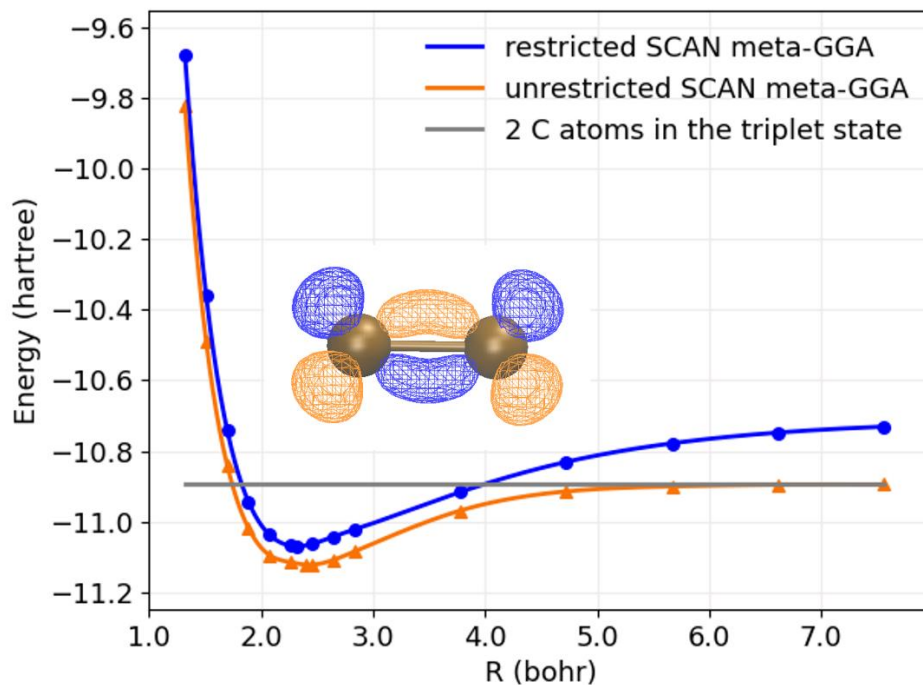


Fig. 3. SCAN meta-GGA binding energy curve for singlet C₂. Pseudopotential energy in hartree vs. bond length in bohr. Blue: without symmetry breaking in the molecule. Orange: with spin-symmetry breaking in the molecule. The inset shows +0.05 (orange) and -0.05 au (blue) contour surfaces of $n_{\uparrow} - n_{\downarrow}$ at the equilibrium bond length $R_{\text{eq}} = 2.41$ bohr (1.27 Å).