

State of the basis in electronic structure theory

Sketching the scene beyond Gaussian-type orbitals

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MathCCES lunch seminar

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Electronic structure theory

- N_{elec} electrons in chemical system
- Spectrum of $\hat{\mathcal{H}}_{N_{\text{elec}}}$

$$\hat{\mathcal{H}}_{N_{\text{elec}}} \equiv \sum_{i=1}^{N_{\text{elec}}} -\frac{1}{2}\Delta_i + \sum_{i=1}^{N_{\text{elec}}} \hat{v}_{\text{Nuc},i} + \sum_{i=1}^{N_{\text{elec}}} \sum_{j=i+1}^{N_{\text{elec}}} \frac{1}{r_{ij}}$$

with

$$-\frac{1}{2}\Delta_i$$

Kinetic energy of electrons

$$\hat{v}_{\text{Nuc},i}$$

Electron-nuclear interaction

$$\frac{1}{r_{ij}}$$

Electron-electron interaction

Schrödinger operator domain

- N_{elec} electrons $\Rightarrow 3N_{\text{elec}}$ coords
- Electrons are fermions:

$$D(\hat{\mathcal{H}}_{N_{\text{elec}}}) = H^2(\mathbb{R}^{3N_{\text{elec}}}, \mathbb{C}) \cap \bigwedge^{N_{\text{elec}}} L^2(\mathbb{R}^3, \mathbb{C})$$

where

$$\bigwedge^{N_{\text{elec}}} L^2(\mathbb{R}^3, \mathbb{C}) \equiv \text{span} \left\{ \psi_1 \wedge \psi_2 \wedge \cdots \wedge \psi_{N_{\text{elec}}} \mid \right. \\ \left. \psi_i \in L^2(\mathbb{R}^3, \mathbb{C}) \forall i = 1, \dots, N_{\text{elec}} \right\}$$

- **One-particle** function ψ_i (orbitals)

Schrödinger operator discretisation (1)

- HVZ theorem
- Ritz-Galerkin / Courant-Fischer
- Ground state (lowest eigenvalue):

$$E_0 \leq \min_{\Phi \in \text{span } \mathbb{B}_{N_{\text{elec}}}} \frac{\langle \Phi | \hat{\mathcal{H}}_{N_{\text{elec}}} \Phi \rangle}{\langle \Phi | \Phi \rangle}$$

where

$$\mathbb{B}_{N_{\text{elec}}} \subset \bigwedge^{N_{\text{elec}}} H^1(\mathbb{R}^3, \mathbb{C}) \subset H^1(\mathbb{R}^{3N_{\text{elec}}}, \mathbb{C})$$

is N_{elec} -particle basis

Schrödinger operator discretisation (2)

- Choose one-particle basis

$$\mathbb{B}_1 = \{\varphi_\nu\}_{\nu \in \mathcal{I}_{\text{bas}}} \subset H^1(\mathbb{R}^3, \mathbb{C})$$

- Construct N_{orb} orthonormal orbitals

$$\{\psi_i\}_{i=1,\dots,N_{\text{orb}}} \subset \text{span } \mathbb{B}_1$$

- Construct Slater determinants

$$\mathbb{B}_{N_{\text{elec}}} = \left\{ \psi_{\sigma(1)} \wedge \psi_{\sigma(2)} \wedge \cdots \wedge \psi_{\sigma(N_{\text{elec}})} \mid \right. \\ \left. \sigma \text{ permutation from } \{1 \dots N_{\text{elec}}\} \text{ to } \{1 \dots N_{\text{orb}}\} \right\}$$

as N_{elec} -particle basis.

Questions

- $\mathbb{B}_{N_{\text{elec}}}$ grows as $O(N_{\text{bas}}^{N_{\text{elec}}})$
 - ⇒ Use $\{\psi_i\}_i$ to construct subset
- How to construct ψ_i ?
 - Yield best single determinant
 - ⇒ Hartree-Fock (HF) or density-functional theory (DFT)
- Construction of subset of $\mathbb{B}_{N_{\text{elec}}}$?
 - e.g. Post-HF
- Which functions to choose in \mathbb{B}_1 ?

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Self-consistent field methods (HF and DFT)

- Single determinant minimiser to trial energy functional
- Euler-Lagrange equations:

$$\underbrace{\left(-\frac{1}{2}\Delta + \hat{\mathcal{V}}_{\text{Nuc}} + \hat{\mathcal{V}}_{2e}[\{\psi_i\}_{i \in I}] \right)}_{=\hat{\mathcal{F}}} \psi_i = \varepsilon_i \psi_i$$

$$\langle \psi_i | \psi_j \rangle = \delta_{ij}$$

with

$$-\frac{1}{2}\Delta$$

Kinetic energy of electrons

$$\hat{\mathcal{V}}_{\text{Nuc}}$$

Electron-nuclear interaction

$$\hat{\mathcal{V}}_{2e}[\{\psi_i\}_{i \in I}]$$

Electron-electron interaction

- Non-linear system of partial differential equations

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An ideal basis

- Represents physics well
 - Results reliable
 - Error margin known
 - Systematic improvement possible
 - Prior knowledge
 - Little required
 - If available: Can be incorporated
 - Integrals and eigenproblem are feasible
- ⇒ In reality need a good compromise

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An ideal basis

- E.g. hydrogen atom ground state

$$\Psi_{1s}(r, \theta, \phi) = \sqrt{\frac{Z^3}{\pi}} \exp(-Zr)$$

- Kato's electron-nuclear cusp condition¹:

$$\left. \frac{\partial \langle \Psi(\underline{x}) \rangle}{\partial r_i} \right|_{\underline{r}_i = \underline{R}_A} = -Z_A \langle \Psi(\underline{x}) \rangle|_{\underline{r}_i = \underline{R}_A}$$

where $\langle \Psi(\underline{x}) \rangle|_{\underline{r}_i = \underline{R}_A}$ is the average value if $\underline{r}_i = \underline{R}_A$ fixed.

- electron-electron cusp¹ as $r_{ij} \rightarrow 0$
- Energy-dependent exponential decay¹

¹Kato 1957

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An ideal basis

Matrix representation of $\hat{\mathcal{H}}_{N_{\text{elec}}}$ involves integrals

$$(\mu\nu|\kappa\lambda) = \int_{\mathbb{R}^3} \int_{\mathbb{R}^3} \frac{\varphi_{\mu}^*(\underline{\mathbf{r}}_1) \varphi_{\nu}(\underline{\mathbf{r}}_1) \varphi_{\kappa}^*(\underline{\mathbf{r}}_2) \varphi_{\lambda}(\underline{\mathbf{r}}_2)}{\|\underline{\mathbf{r}}_1 - \underline{\mathbf{r}}_2\|_2} d\underline{\mathbf{r}}_1 d\underline{\mathbf{r}}_2.$$

An ideal basis

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- 1 contracted Gaussian-type orbitals
 - Explicitly correlated methods
- 2 Exponential orbitals
 - Slater-type orbitals
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Atom-centred basis functions

- Molecular density to good approximation sum of atomic densities
- Typical ansatz

$$\varphi(\underline{r}_\mu) = R(r_\mu)Y_l^m(\theta_\mu, \phi_\mu)$$

where

$$(r_\mu, \theta_\mu, \phi_\mu) \equiv \underline{r}_\mu = \underline{r} - \underline{R}_\mu$$

- \underline{R}_μ is the centre, i.e. atom position
- ⇒ Intrinsic assumption: Electrons close to atoms

Gaussian-type orbitals

- Use Gaussian radial part

$$R_{\mu}^{\text{GTO}}(r) = N_{\mu} r^{l_{\mu}} \exp(-\alpha_{\mu} r^2)$$

- Dense in H^1 , but slow convergence
- Not physical
- Very feasible integrals $(\mu\nu|\kappa\lambda)$
- Not used in practice

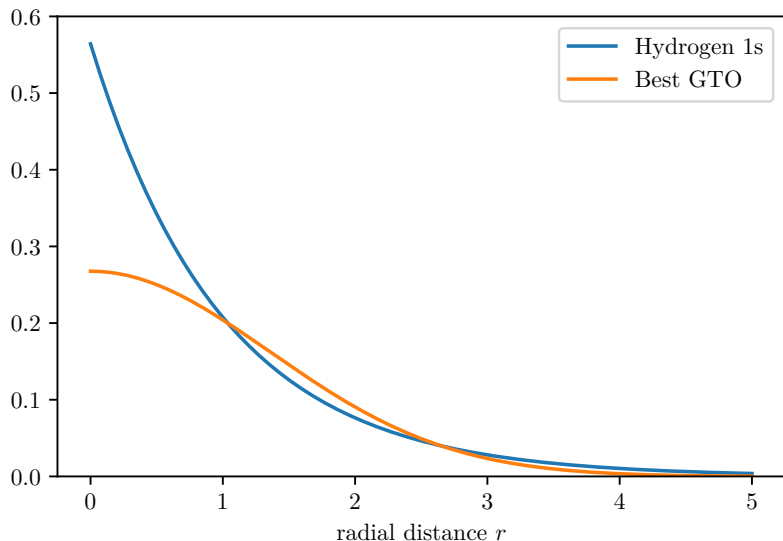
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contracted Gaussian-type orbitals

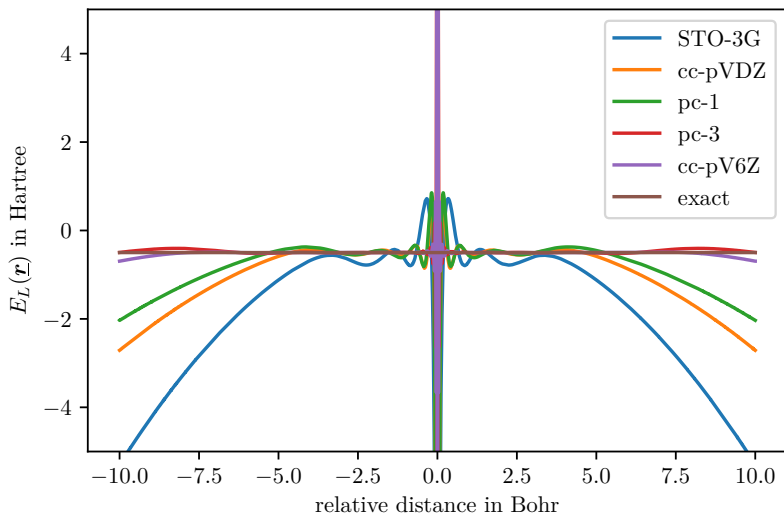
- *Fixed* linear combination of primitive Gaussians

$$R_{\mu}^{\text{cGTO}}(r) = r^{l_{\mu}} \sum_i^{N_{\text{contr}}} c_{\mu,i} \exp(-\alpha_{\mu,i} r^2)$$

- Integrals still feasible
- Fitted to
 - exponential shape
 - achieve best energies
 - achieve best properties

⇒ Effectively split parameter space

Discretising hydrogen

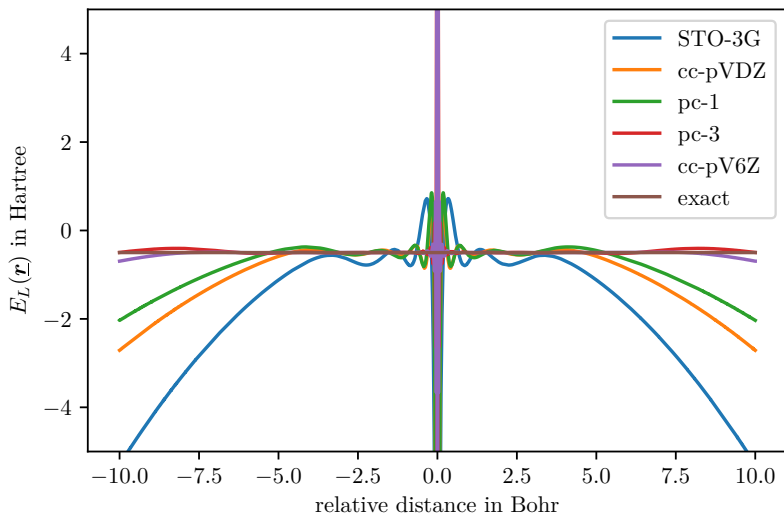


Discretising hydrogen

Local energy

$$E_L(\underline{\mathbf{r}}) = \frac{\left(\hat{\mathcal{H}}_{N_{\text{elec}}} \Phi\right)(\underline{\mathbf{r}})}{\Phi(\underline{\mathbf{r}})}$$

Discretising hydrogen



Notes and observations

- Pragmatic compromise:
 - Not physical
 - Chemistry is about energy differences
 - Mostly work by error compensation
- Special basis sets for special use cases:
 - correlation-consistent construction
 - Core polarisation
 - Augmentation
- Over-complete:
 - Numerical issues

Explicitly correlated methods

- Fundamental problem of one-electron basis functions:
 - electron-electron cusp *not* taken into account

⇒ Slow convergence of Post-HF methods

⇒ Include dependency r_{ij} in basis

- Boys, Singer: Exponentially correlated Gaussians (ECG):

$$\Phi_k(\underline{\mathbf{x}}) = \exp \left(- \sum_{i=1}^{N_{\text{elec}}} \alpha_{k,i} \left\| \underline{\mathbf{r}}_i - \underline{\mathbf{R}}_{k,i} \right\|^2 - \sum_{i < j} \gamma_{k,ij} r_{ij}^2 \right)$$

where $\underline{\mathbf{R}}_{k,i}$ are Gaussian centres

Properties of ECGs

- Analytically evaluable many-electron integrals
- Dense N_{elec} -electron basis
- Cusp condition not perfect
- Many non-linear parameters $\gamma_{k,ij}$

⇒ Only keep one $\gamma_{k,ij}$ per k .

⇒ Gaussian-type geminals:

$$g_k(\underline{\mathbf{r}}_1, \underline{\mathbf{r}}_2) = \exp \left(-\alpha_{k,1} \left\| \underline{\mathbf{r}}_1 - \underline{\mathbf{R}}_{k,1} \right\| - \alpha_{k,2} \left\| \underline{\mathbf{r}}_2 - \underline{\mathbf{R}}_{k,2} \right\| - \gamma_k r_{12}^2 \right)$$

- Maximal 4-electron integrals

Geminal methods

$$g_k(\underline{\mathbf{r}}_1, \underline{\mathbf{r}}_2) = f(\underline{\mathbf{r}}_1, \underline{\mathbf{r}}_2) \exp(-\alpha_{k,1} \|\underline{\mathbf{r}}_1 - \underline{\mathbf{A}}_k\|) \exp(-\alpha_{k,2} \|\underline{\mathbf{r}}_2 - \underline{\mathbf{B}}_k\|)$$

- Generalised geminal:
 - linear $f(\underline{\mathbf{r}}_1, \underline{\mathbf{r}}_2) = r_{12}$
 - Slater-type $f(\underline{\mathbf{r}}_1, \underline{\mathbf{r}}_2) = \exp(-\gamma_k r_{12})$
- Introduced in context of *pair theories*
 - Post-HF methods: MP2, CCD, CCSD(T)
 - R12 or F12 methods
- Lead to additional terms and geminal parameters
- Optimised alongside vs. predetermined

Notes and observations

- Leads to challenging equations
- 4-electron integrals are very expensive
 - ⇒ Approximations allow factorisation into one- and two-electron integrals
- Effect diminishes for:
 - large Gaussian basis sets
 - higher-order Post-HF methods
- Minor effect on fundamental cGTO issues

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Exponential-type orbitals (ETO)

- Hydrogen-atom radial part

$$R_{nl}(r) = N_{nl} \left(\frac{2Zr}{n} \right)^l \exp \left(-\frac{Zr}{n} \right) {}_1F_1 \left(l + 1 - n \middle| 2l + 2 \middle| \frac{2Zr}{n} \right)$$

- Not used as basis:
 - Classical turning point: $O(n^2)$
 - Too fast expansion
 - Not complete
- Template for exponential-type orbitals

Slater-type orbitals

- Functional form:

$$R_{\mu}(r) = N_{\mu} r^{n_{\mu}-1} \exp(-\zeta_{\mu} r)$$

- ζ_{μ} : Fitted / predetermined atomic exponents
- Physical shape
- BUT: Integrals difficult
- Not complete
- Fast convergence of e.g. NMR properties¹

¹Hoggan 2009

Coulomb-Sturmians

- Iso-energetic solutions φ_{nlm} to hydrogen-like equation¹

$$\left(-\frac{1}{2}\Delta - \beta_n \frac{Z}{r}\right) \varphi_{nlm}(\underline{\mathbf{r}}) = E \varphi_{nlm}(\underline{\mathbf{r}})$$

- Scaling factor β_n chosen to uniform energy:

$$\beta_n = \frac{kn}{Z} \quad \Rightarrow \quad E = -\frac{k^2}{2}$$

- φ_{nlm} look like hydrogenic orbitals with $\frac{Z}{n}$ replaced by k
- Radial part R_{nl} satisfies

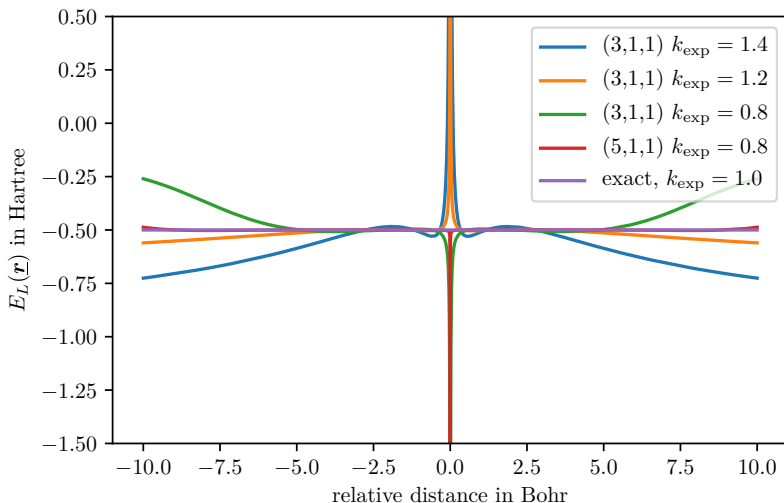
$$\left(-\frac{1}{2r^2} \frac{\partial}{\partial r} \left(r^2 \frac{\partial}{\partial r}\right) + \frac{l(l+1)}{2r^2} - \frac{nk_{\text{exp}}}{r} - E\right) R_{nl}(r) = 0.$$

\Rightarrow Sturm-Liouville equation²

¹Shull and Löwdin 1959

²Rotenberg 1962, Rotenberg 1970

Discretising hydrogen



Coulomb-Sturmians properties

- Only atoms: Different Sturmians for molecules required
- Complete (Schauder) basis for $H^1(\mathbb{R}^3)^1$
- Correctly represent nuclear cusp
- Proper exponential decay for large r
- All functions have the same k_{exp}
- One-electron integrals sparse and analytic
- Two-electron integrals sparse tensor contraction

¹Klahn and Bingel 1977

Other Sturmian-type orbitals

- Molecular Sturmians
 - One-to-one onto hyperspherical harmonics¹
- Generalised Sturmians²
 - Geometry built into basis (N_{elec} -particle basis)
- d -dimensional hyperspherical harmonic basis sets³
 - Strongly interacting few-body systems
- Ionising Sturmians⁴

¹Aquilanti 1992, Aquilanti 2003, Coletti 2013, Calderini 2012

²Avery 2012

³Avery 2018

⁴Mitnik 2011, Randazzo 2015, Granados 2016

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Grid-based approaches

- Fully numerical vs. radial only
- Challenges:
 - Discontinuity at nuclei
 - Non-locality of $\hat{\mathcal{H}}_{N_{\text{elec}}}$
 - Basis size
- Perspectives:
 - Error control
 - No implicit bias

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Finite elements

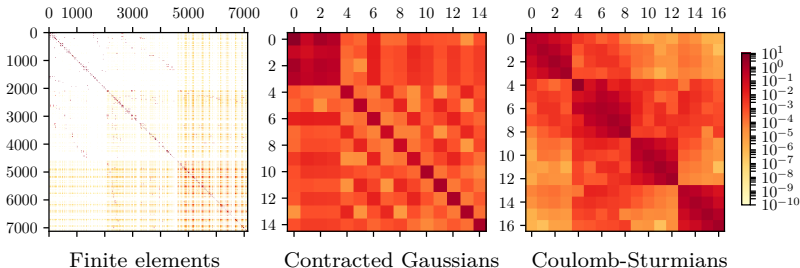
- Affine, conformal mesh, continuous FEs
- Example: Hartree-Fock problem
- After discretisation:

$$\mathbf{F}[\mathbf{C}] \mathbf{C} = \text{diag}(\varepsilon_1, \dots, \varepsilon_n) \mathbf{S} \mathbf{C}$$

Finite elements

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$$\mathbf{F}[\mathbf{C}] \mathbf{C} = \text{diag}(\varepsilon_1, \dots, \varepsilon_n) \mathbf{S} \mathbf{C}$$



Example: Evaluating the Coulomb integral

$$J_{jk} = \int_{\Omega} \varphi_j(\underline{\mathbf{r}}) \hat{\mathcal{V}}_H(\underline{\mathbf{r}}) \varphi_k(\underline{\mathbf{r}}) d\underline{\mathbf{r}}$$

$$\hat{\mathcal{V}}_H(\underline{\mathbf{r}}_1) = \sum_{i \in \text{occ}} \int_{\Omega} \frac{|\psi_i(\underline{\mathbf{r}}_2)|^2}{r_{12}} d\underline{\mathbf{r}}_2$$

- $\hat{\mathcal{V}}_H(\underline{\mathbf{r}})$ is a local potential
- Obtained by solving Poisson eqⁿ:

$$-\Delta \hat{\mathcal{V}}_H(\underline{\mathbf{r}}) = 4\pi\rho(\underline{\mathbf{r}}) \quad \underline{\mathbf{r}} \in \Omega$$

- Need higher polynomial degree for Poisson problem
- Which boundary conditions?
- Hartree-Fock exchange non-local \Rightarrow More challenging

Notes and observations

- Non-locality of HF exchange:
 - Contraction-based ansatz
 - Focus on density-functional theory
- No general rigorous error estimates (yet):
 - Use simple heuristics
 - ⇒ Adaptive refinement
 - Error controllable
- Discontinuity at nuclei
 - Employ effective core potentials
 - But: No longer fully black box

Multi-resolution analysis (MRA)

- Sequence of subspaces

$$0 \subset V_0 \subset V_1 \subset \cdots \subset V_n \subset L^2([0, 1])$$

- Necessary to form MRA:

- For all $m \in \mathbb{Z}$: $f \in V_i \Rightarrow f(x - m2^{-i})$ in V_i
- $j > i \Rightarrow \forall f \in V_i \exists g \in V_j : \forall x \in \mathbb{R} g(x) = f(2^{j-i}x)$
- $j > i \Rightarrow V_i \subset V_j$
- $\bigcup_{i=0}^n V_i \subset L^2([0, 1])$ dense

- Telescoping series:

$$V_n = V_0 \oplus \underbrace{(V_1 \ominus V_0)}_{=W_1} \oplus \underbrace{(V_2 \ominus V_1)}_{=W_2} \oplus \cdots \oplus \underbrace{(V_n \ominus V_{n-1})}_{=W_n}$$

where \oplus is direct sum, \ominus is orthogonal complement

Multiwavelets

- MRA for solving PDEs¹

$$V_0^k \subset V_1^k \subset \dots \subset V_n^k \subset L^2([0, 1])$$

where

$$V_n^k = \left\{ f \mid \forall l = 0, \dots, 2^n - 1 : \text{Restriction of } f \text{ to } (2^{-n}l, 2^{-n}(l+1)) \right. \\ \left. \text{is polynomial with degree less than } k \right\}$$

- Computational domain mapped to $[0, 1]$
- Tensor-product generalisation
- Systematic construction for V_n^k and W_n^k
- Discontinuous polynomials on grid: In V_0^k : Roughly DG FE

¹Alpert 2002

Multiwavelets: Systematic construction

- Basis for V_0^k : $\{\phi_j\}_j$ where

$$\phi_j = \sqrt{2i+1} P_i(2x+1)$$

scaled Legendre polynomials

- **Mother scaling functions**

- $\{\phi_{jl}^n\}_{jl}$ basis for V_n^k with $j = 0, \dots, k-1$, $l = 0, \dots, 2^n - 1$,

$$\phi_{jl}^n = 2^{n/2} \phi_j(2^n x - l)$$

- **Mother wavelets**: Basis to W_1^k

- First k moments are zero

- Bases for W_n^k analogous to V_n^k

- V_n^k and W_n^k of dimension $2nk$

Multiwavelets: Properties

- Function has two discrete representations:
 - On finest V_n^k
 - On V_0^k plus corrections via W_1^k, \dots, W_n^k
 - **Multiwavelets**: Basis organised in groups of functions
 - Error estimate:
 - Based on moments of interpolated
 - Can always increase n
 - Local refinement and coarsening
- ⇒ Adaptive refinement strategy
- ⇒ Adaptive, sparse, hierarchical decomposition

Notes and observations

- Fully hidden numerics¹
- ⇒ Simple error control and no bias
- Massively parallel
- Regularisation of nuclear cusp²
 - Related to explicitly correlated methods
- ⇒ Multiple electronic structure theory methods with guaranteed accuracy

¹Harrison 2016

²Bischoff 2014

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Plane waves

- Modelling solid-state / condensed matter physics
- Periodic boundary conditions
- Plane-wave expansion

$$\psi_i(\underline{x}) = \frac{1}{\sqrt{\Omega}} \sum_{\underline{G}} c_{\underline{G}} e^{i\underline{G} \cdot \underline{x}}$$

where

- Unit cell volume Ω
- Reciprocal lattice vectors \underline{G}
- Range of \underline{G} limited by kinetic energy cutoff

$$\frac{G^2}{2} < E_{\text{cut}}$$

Pseudopotentials (Problem)

- Core orbitals:
 - Localised in atomic sphere
 - Largely unaffected by chemistry
- Valence orbitals:
 - Interstitial region: Rather regular
 - Atomic sphere: Oscillations
 - Small energy gaps (e.g. metals)
 - Pauli exclusion / orthogonality

⇒ Need larger energy cutoff

Pseudopotentials (Idea)¹

- Remove core orbitals by projection
- Use repulsive potential term \hat{V}_{PP}
 - Model Pauli exclusion
 - Smoother valence orbitals
 - Lower energy cutoff
- Pseudopotentials generated from atomic calculations
- Valence orbital energies should stay unchanged

¹Hamann 1979, Bachelet 1982, Vanderbilt 1990, Kresse 1999

Pseudopotentials (Mechanism)

- Original SCF problem $\hat{\mathcal{F}}\psi_i = \varepsilon_i\psi_i$
- Introduce pseudo wavefunction (and orbitals)

$$\psi_i = \tilde{\psi}_i - \sum_{c \in \text{core}} \psi_c \langle \psi_c | \psi_i \rangle$$

where ψ_c Atomic core orbital inside cutoff

- Construct

$$\hat{\mathcal{V}}_{\text{PP}}\tilde{\psi}_i = \sum_c (\varepsilon_i - \varepsilon_c) \psi_c \langle \psi_c | \tilde{\psi}_i \rangle$$

- Solve

$$(\hat{\mathcal{F}} + \hat{\mathcal{V}}_{\text{PP}}) \tilde{\psi}_i = \varepsilon_i \tilde{\psi}_i$$

- Outside cutoff radius: All-electron and pseudo wavefunction identical

Projector-augmented wave method

- Generalisation of pseudopotentials¹
- Smoothening is linear transformation

$$\psi = \hat{\mathcal{T}} \tilde{\psi}$$

transforms pseudo orbital to all-electron orbital

- Augmentation region Ω_M around nuclei
- Obtain

$$\hat{\mathcal{T}} = 1 + \sum_{\nu} \left(\phi_{\nu} - \tilde{\phi}_{\nu} \right) p_{\nu}$$

- ϕ_{ν} : Set of all-electron partial waves
- $\tilde{\phi}_{\nu}$: Set of pseudo partial waves
- p_{ν} : Set of projector functions

¹Kresse 1999

PAW parameters¹

- ϕ_ν determined by atomic DFT
- Inside Ω_M : $\tilde{\phi}_\nu$ chosen smooth (Polynomial or Bessel)
- Outside Ω_M : $\tilde{\phi}_\nu = \phi_\nu$
- $\langle p_\nu | \tilde{\phi}_\mu \rangle = \delta_{\mu\nu}$
- p_ν determined by solving correction equation in Ω_M

¹Enkovaara 2010

Notes and observations

- Pseudopotentials:
 - Not all-electron: Core and virtuals altered
 - State-of-the-art
- Projector-augmented wave:
 - Usually combined with frozen core
 - Fully grid based implementations¹
 - Resemblance with regularisation of electron-nuclear cusp in MRA

¹Enkovaara 2010

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Other approaches worth mentioning

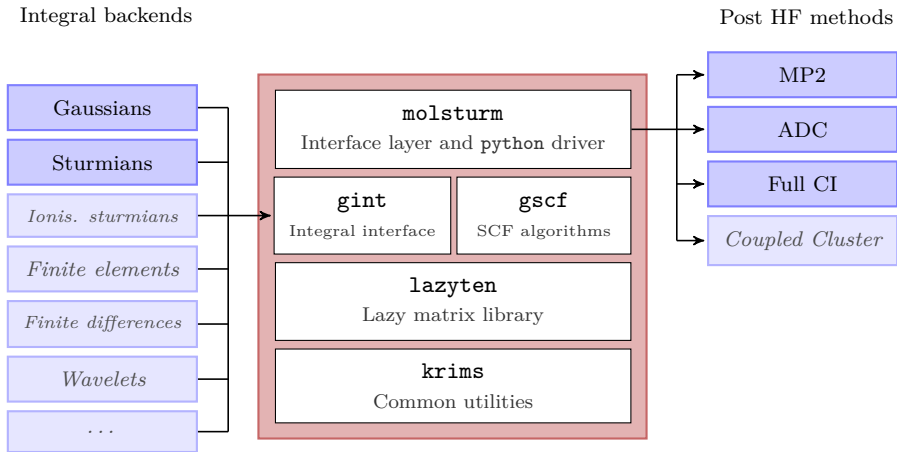
- Grid-based fast multipole method¹
- Finite-differences²
- Dual grids and mixed bases³

¹Toivanen 2015

²Soler 2002

³Yamakawa 2005, Kurashige 2007, Watson 2008

molsturm structure



Conclusions

- Contracted Gaussian-type orbitals
 - well-established
- Exponential-type orbitals
 - physical for bound systems
- Grid-based approaches
 - Error control and no bias
 - Locality built into basis
- Plane wave basis
 - Physical for extended systems

Outlook

- Massively parallel architectures:
 - Grid-based approaches
 - Contraction-based methods
- Highly accurate calculations:
 - Grid-based approaches challenging beyond single determinant
- Probing nucleus-electron interaction:
 - Exponential-type orbitals
- Exploring further basis functions
 - Molecular Sturmians
 - Mixed basis sets

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