

Methods for Hartree–Fock and Kohn–Sham calculations on large molecular systems

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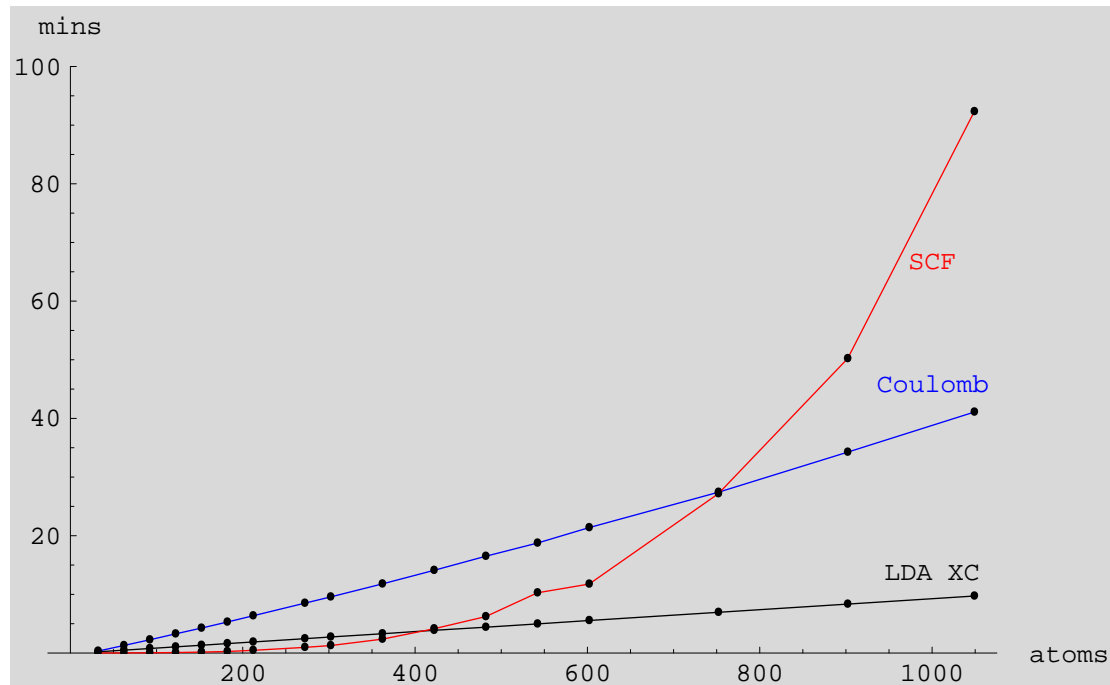
Self-consistent field (SCF) theory

- Consider the optimization of the SCF energy (here LDA) of molecular systems:

- small systems dominated by KS-matrix evaluation, with **linear scaling**
- large systems dominated by SCF diagonalization, with **cubic scaling**

$$\mathbf{FC} = \mathbf{SC}\epsilon$$

$$\mathbf{D}_{\text{new}} = \mathbf{C}_{\text{occ}} \mathbf{C}_{\text{occ}}^{\text{T}}$$



- To achieve linear scaling, we must avoid diagonalization and MOs!
- We shall here consider an **alternative to diagonalization**:
 - it optimizes the density matrix directly, avoiding MOs
 - involves only additions and multiplications of (sparse) one-electron matrices
 - for large (sparse systems), the calculations scale linearly with system size

Direct optimization of the density matrix

- Consider the direct optimization of the density matrix:

$$E(\mathbf{D}) = \text{Tr } \mathbf{D}\mathbf{h} + \text{2-el. part}$$

- there are constraints on the density matrix:

$$\underbrace{\mathbf{D} = \mathbf{D}^T}_{\text{symmetry}}, \quad \underbrace{\text{Tr } \mathbf{D} = N}_{\text{trace}}, \quad \underbrace{\mathbf{D}^2 = \mathbf{D}}_{\text{idempotency}} \quad (\text{orthonormal basis})$$

- any optimization must obey these constraints

- Many strategies are based on purification of the density matrix

$$\tilde{\mathbf{D}} = 3\mathbf{D}^2 - 2\mathbf{D}^3 \quad (\text{McWeeny purification, 1960})$$

- Li, Nunes and Vanderbilt (1993)

$$\tilde{E} = \text{Tr } \tilde{\mathbf{D}}\mathbf{h} + \mu(\text{Tr } \mathbf{D} - N) + \text{2-el. part}$$

- Millam and Scuseria (1997), Challacombe (1999)
- Palser and Manolopoulos (1998), Niklasson (2002)

- We shall pursue a different approach, based on an explicitly parameterization of \mathbf{D}

Exponential parameterization of the density matrix

- In a real, nonorthogonal AO basis, with $\mathbf{S} \neq \mathbf{I}$, let \mathbf{D} be a valid HF/KS matrix:

$$\underbrace{\mathbf{D} = \mathbf{D}^T}_{\text{symmetry}}, \quad \underbrace{\text{Tr} \mathbf{D} \mathbf{S} = N}_{\text{trace}}, \quad \underbrace{\mathbf{D} \mathbf{S} \mathbf{D} = \mathbf{D}}_{\text{idempotency}}$$

- Any other valid density matrix $\mathbf{D}(\mathbf{X})$ can then be generated from this matrix:

$$\underbrace{\mathbf{D}(\mathbf{X}) = \exp(-\mathbf{X} \mathbf{S}) \mathbf{D} \exp(\mathbf{S} \mathbf{X})}_{\text{exponential parameterization}}, \quad \underbrace{\mathbf{X}^T = -\mathbf{X}}_{\text{antisymmetric}}$$

- Helgaker, Jørgensen and Olsen: *Molecular Electronic-Structure Theory* (Wiley, 2000)
- Head-Gordon and coworkers, MolPhys **101**, 37 (2003), JCP **118**, 6144 (2003)
- We can obtain any valid density matrix, in the AO basis, without recourse to MOs!
 - in particular, we may optimize the energy by freely varying $X_{\mu\nu}$ with $\mu > \nu$:

$$E_{\min}(\mathbf{X}) = \min_{\mathbf{X}} [\text{Tr} \mathbf{D}(\mathbf{X}) \mathbf{h} + \text{2-el. part}]$$

- Is the use of $\mathbf{D}(\mathbf{X})$ a practical proposition?
 - we shall in this talk demonstrate that it is indeed so
 - we shall consider energy optimizations and property calculations

Two questions about $\mathbf{D}(\mathbf{X}) = \exp(-\mathbf{X}\mathbf{S})\mathbf{D}\exp(\mathbf{S}\mathbf{X})$

- Can it be evaluated efficiently?
 - we use a generalized Baker–Campbell–Hausdorff (BCH) expansion:

$$\mathbf{D}(\mathbf{X}) = \mathbf{D} + [\mathbf{D}, \mathbf{X}]_S + \frac{1}{2} [[\mathbf{D}, \mathbf{X}]_S, \mathbf{X}]_S + \dots$$

- we have here introduced the S commutator

$$[\mathbf{D}, \mathbf{X}]_S = \mathbf{D}\mathbf{S}\mathbf{X} - \mathbf{X}\mathbf{S}\mathbf{D}$$

- converges rapidly (purification may be necessary), in about 10 matrix multiplications

- Are redundancies a problem?

- the AO space consists of two parts: the occupied space and the virtual space

$$\mathbf{P} = \mathbf{D}\mathbf{S} \text{ (onto occupied space), } \quad \mathbf{Q} = \mathbf{I} - \mathbf{D}\mathbf{S} \text{ (onto virtual space)}$$

- only rotations between the occupied and virtual spaces are nonredundant:

$$\mathbf{X} = \underbrace{\mathbf{P}\mathbf{X}\mathbf{P}^T + \mathbf{Q}\mathbf{X}\mathbf{Q}^T}_{\text{redundant}} + \underbrace{\mathbf{P}\mathbf{X}\mathbf{Q}^T + \mathbf{Q}\mathbf{X}\mathbf{P}^T}_{\mathbf{X}_{\text{ov}}}$$

- to avoid problems with redundancies, we use the projected parameterization

$$\mathbf{D}(\mathbf{X}) = \exp(-\mathbf{X}_{\text{ov}}\mathbf{S})\mathbf{D}\exp(\mathbf{S}\mathbf{X}_{\text{ov}}), \quad \mathbf{X}^T = -\mathbf{X}$$

Diagonalization-free Roothaan–Hall SCF optimization

- The SCF (Fock or Kohn–Sham) energy may, in principle, be optimized directly:

$$E_{\min} = \min_{\mathbf{X}} E(\mathbf{X}) \quad \Leftrightarrow \quad \underbrace{\mathbf{F}(\mathbf{D})\mathbf{D}\mathbf{S} = \mathbf{S}\mathbf{D}\mathbf{F}(\mathbf{D})}_{\text{stationary condition}}$$

– a difficult global minimization problem!

- In MO theory, the Roothaan–Hall SCF scheme works well, especially with DIIS:

$$\mathbf{F} = \mathbf{h} + \mathbf{g}(\mathbf{D}) \quad \begin{matrix} \xrightarrow{F} \\ \xleftrightarrow{D} \\ \xleftarrow{D} \end{matrix} \quad \mathbf{F}\mathbf{C} = \mathbf{S}\mathbf{C}\epsilon; \quad \mathbf{D}_{\text{new}} = \mathbf{C}_{\text{occ}}\mathbf{C}_{\text{occ}}^T$$

– each diagonalization is equivalent to minimizing the sum of the (occ.) orbital energies

$$\epsilon(\mathbf{X}) = \sum_I \epsilon_I = \text{Tr } \mathbf{D}(\mathbf{X})\mathbf{F}$$

- By analogy with MO theory, we set up the following Roothaan–Hall SCF scheme:

$$\mathbf{F} = \mathbf{h} + \mathbf{g}(\mathbf{D}) \quad \begin{matrix} \xrightarrow{F} \\ \xleftrightarrow{D} \\ \xleftarrow{D} \end{matrix} \quad \epsilon_{\min} = \min_{\mathbf{X}} \text{Tr } \mathbf{D}(\mathbf{X})\mathbf{F}; \quad \mathbf{D}_{\text{new}} = \mathbf{D}(\mathbf{X}_*)$$

– at each SCF iteration, we minimize $\text{Tr } \mathbf{D}(\mathbf{X})\mathbf{F}$ with respect to \mathbf{X}

– the new density is then obtained by expansion of $\mathbf{D}(\mathbf{X})$ with the minimizer \mathbf{X}_*

- We thus avoid MOs and diagonalization but retain the SCF iterations

Newton minimization of the Roothaan–Hall energy function

- At each SCF iteration, our task is to minimize the Roothaan–Hall energy function

$$\varepsilon(\mathbf{X}) = \text{Tr} \mathbf{D}(\mathbf{X})\mathbf{F} = \text{Tr} \mathbf{D}\mathbf{F} + \text{Tr} [\mathbf{D}, \mathbf{X}]_S \mathbf{F} + \frac{1}{2} \text{Tr} [[\mathbf{D}, \mathbf{X}]_S, \mathbf{X}]_S \mathbf{F} + \dots$$

- Truncating to second order and setting the gradient to zero, we obtain the Newton step:

$$\mathbf{HXS} + \mathbf{SXH} = \mathbf{G} \leftarrow \text{the Roothaan–Hall Newton equation}$$

- where the (negative) gradient and Hessian matrices are given by

$$\mathbf{G} = \mathbf{F}^{\text{vo}} - \mathbf{F}^{\text{ov}}$$

$$\mathbf{H} = \mathbf{F}^{\text{vv}} - \mathbf{F}^{\text{oo}}$$

$$\mathbf{F} = \mathbf{F}^{\text{oo}} + \mathbf{F}^{\text{ov}} + \mathbf{F}^{\text{vo}} + \mathbf{F}^{\text{vv}}$$

- A RH diagonalization corresponds to an exact minimization (many Newton steps)
 - however, a **partial minimization** will do
 - in fact, one RH Newton step is usually sufficient
- Because of their large dimensions, the Newton equations cannot be solved directly
 - we use an iterative scheme: **the conjugate-gradient method**
 - key step: repeated evaluation of the residual $\mathbf{R} = \mathbf{G} - \mathbf{HXS} - \mathbf{SXH}$
 - all operations are elementary (sparse) matrix manipulations

Solution of the Roothaan–Hall Newton equations

- At each SCF iteration, we solve the Roothaan–Hall Newton equations

$$\mathbf{HXS} + \mathbf{SXH} = \mathbf{G}$$

- a naïve application of the CG method converges slowly
- the equations are ill-conditioned since $\kappa(\mathbf{H})\kappa(\mathbf{S}) \gg 1$ (κ is the condition number)

- The equations may be made well-conditioned by a **Löwdin orthonormalization**

$$\tilde{\mathbf{H}}\mathbf{Z} + \mathbf{Z}\tilde{\mathbf{H}} = \tilde{\mathbf{G}}, \quad \tilde{\mathbf{A}} = \mathbf{S}^{-1/2}\mathbf{A}\mathbf{S}^{-1/2}$$

- convergence is greatly improved since $\kappa(\tilde{\mathbf{H}}) = \kappa(\mathbf{S}^{-1/2}\mathbf{H}\mathbf{S}^{-1/2}) \ll \kappa(\mathbf{H})\kappa(\mathbf{S})$
- we obtain $\mathbf{S}^{-1/2}$ by an iterative scheme (B. Jansík)
- orthogonalization is also possible by **Cholesky decomposition** $\mathbf{S} = \mathbf{U}^T\mathbf{U}$
- Millam and Scuseria (1996), Challacombe (1998), Head-Gordon *et al.* (2003)

- Further **diagonal preconditioning** cuts the number of iterations by one half

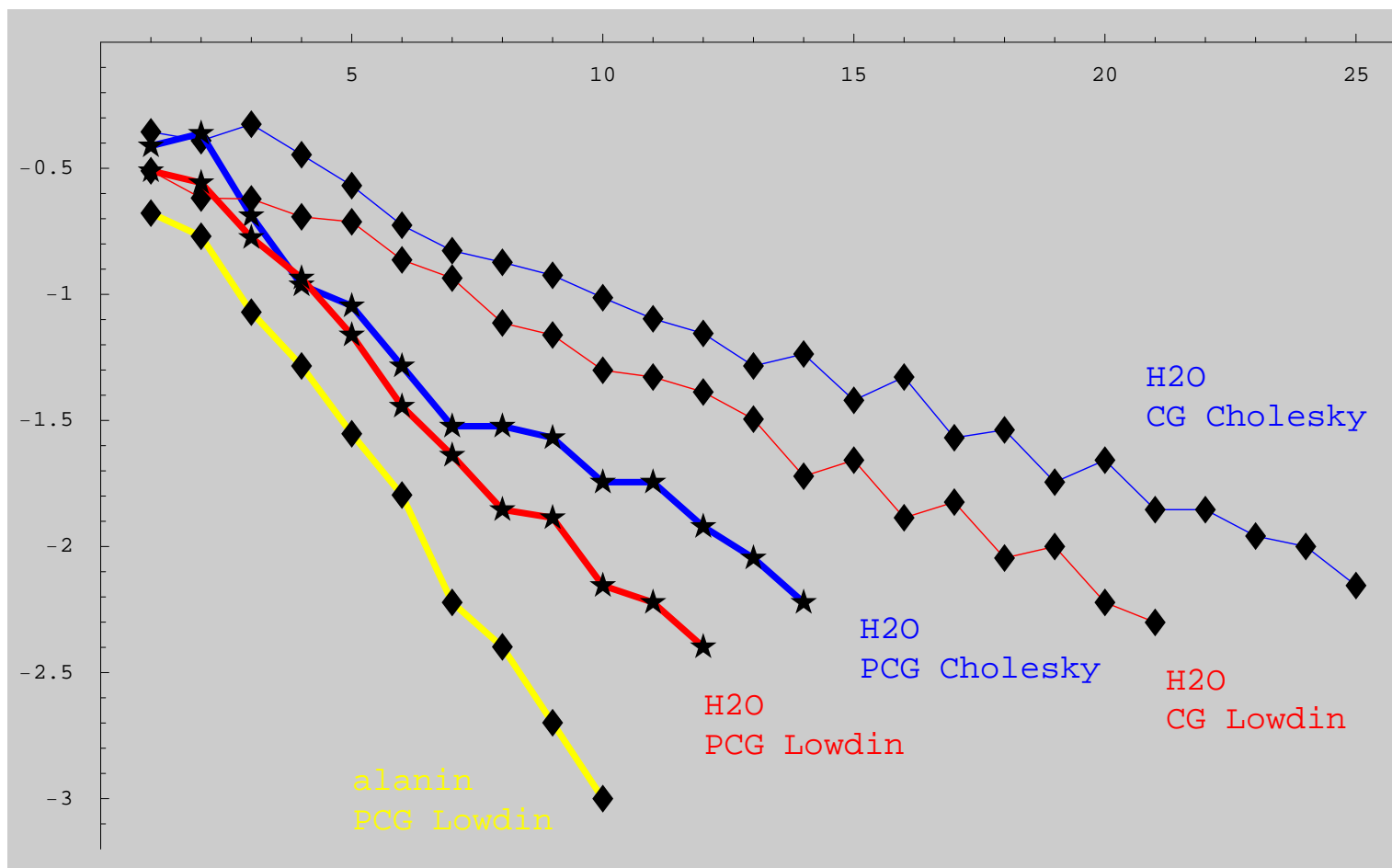
$$\tilde{\tilde{\mathbf{H}}} = \tilde{\mathbf{H}}_{\text{diag}}^{-1} \tilde{\mathbf{H}}$$

- 10 iterations typically reduce the residual by two orders of magnitude

- About 70 multiplications needed for one Newton iteration with density-matrix generation

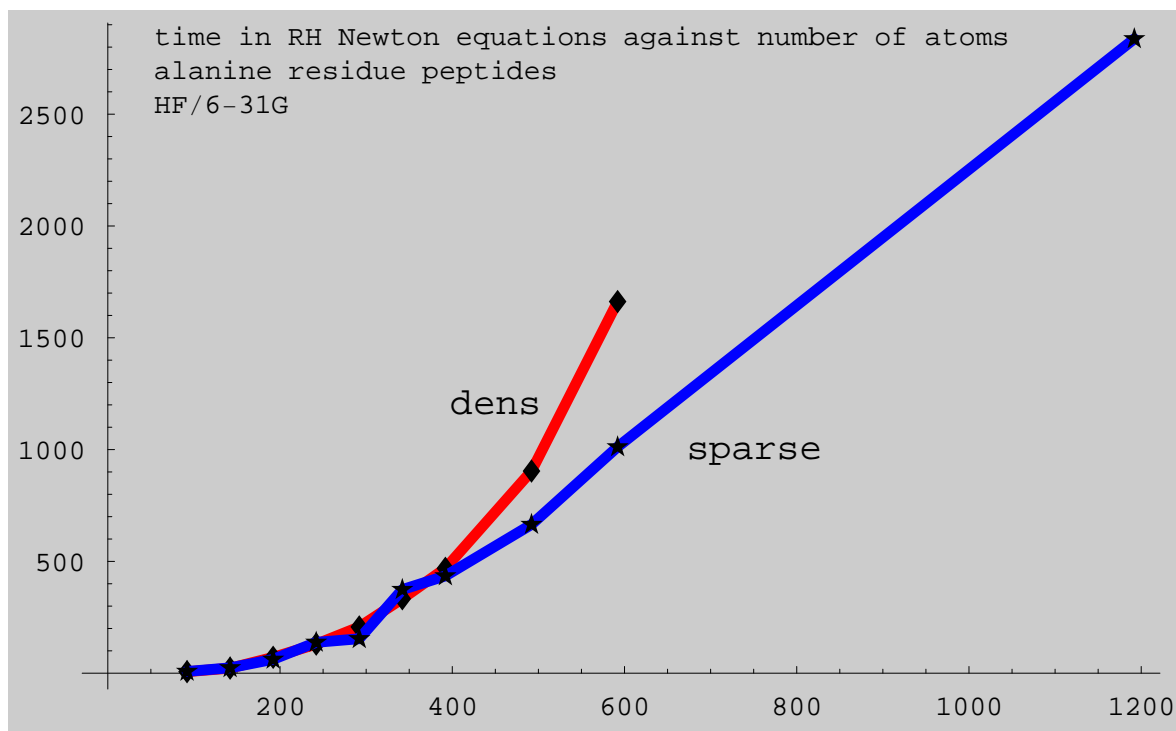
Iterative solution of Roothaan–Hall Newton equations

- Logarithmic plots of the residual against the number of iterations
 - H₂O, LDA/t-aug-cc-pVTZ
 - 99 alanine residue peptides, LDA/6-31G (5449 AOs)



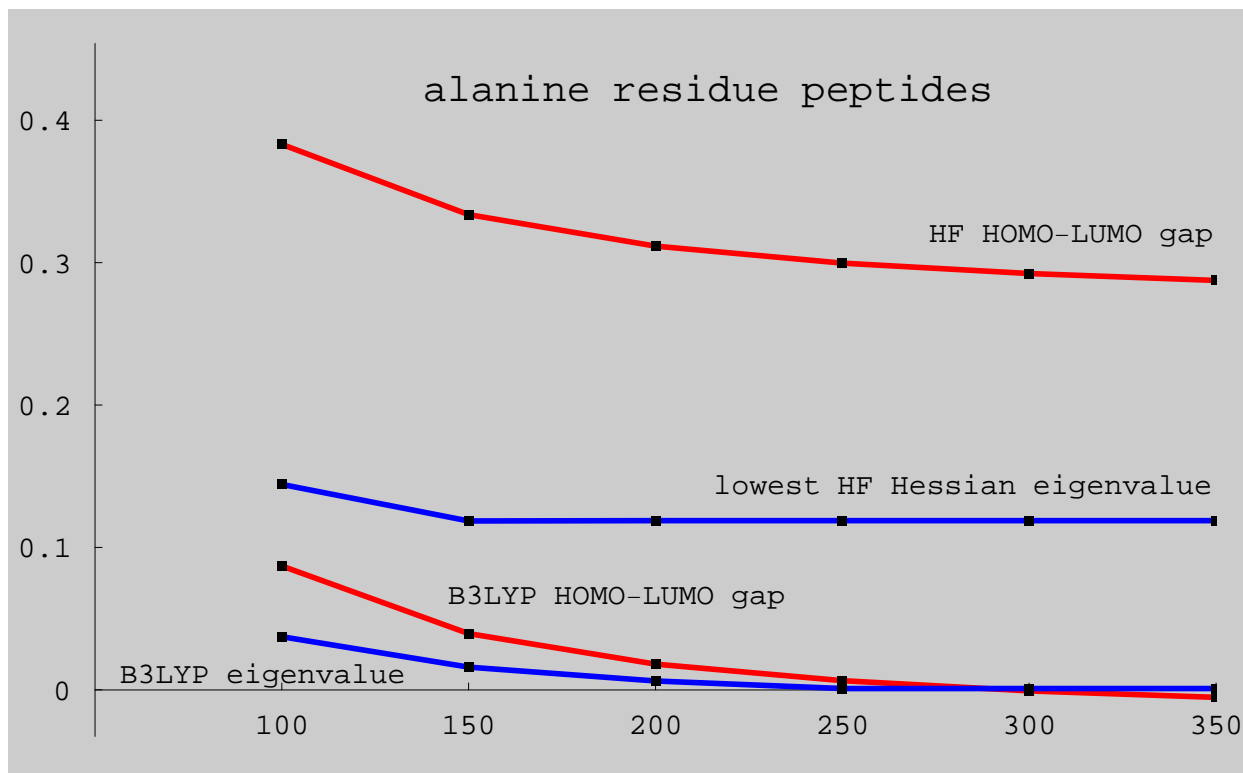
CPU time spent in Roothaan–Hall Newton equations

- We have successfully avoided Fock/Kohn–Sham diagonalization
 - minimization rather than the solution of a generalized eigenvalue problem
 - rapidly convergent: 50–100 sparse matrix multiplications needed
- Linear scaling is obtained by employing sparse-matrix algebra
 - compressed sparse-row (CSR) representation of few-atom blocks



SCF optimizations in small and large molecules

- Diagonalization can be avoided by solving Newton equations
- However, SCF convergence is typically more difficult in larger systems
 - small (or negative) HOMO-LUMO gaps and small Hessian eigenvalues in DFT
 - lowest Hessian eigenvalue and HOMO-LUMO gap in alanine residue peptides (6-31G)



- We have modified the standard SCF scheme, to make it more robust

The trust-region self-consistent field (TRSCF) method

- SCF optimizations have two ingredients
 1. Roothaan–Hall minimization (diagonalization): $\min_{\mathbf{X}} \text{Tr } \mathbf{D}(\mathbf{X})\mathbf{F}$
 2. DIIS-type averaging of density matrices: $\bar{\mathbf{D}} = \sum_{i=0}^n c_i \mathbf{D}_i$, $\sum_i c_i = 1$
- In the Roothaan–Hall step, we minimize subject to a constraint on the step size:
 - this amounts to a simple level shifting of the Fock/Kohn–Sham matrix

$$\mathbf{F} \rightarrow \mathbf{F}(\mu) = \mathbf{F} - \mu \mathbf{S}^{\text{oo}} \quad (\text{only occupied–occupied part shifted})$$

- for $\mu > 0$, the HOMO–LUMO gap increases, making large steps unfavourable
 - μ is adjusted until step is of desired length, during the iterative solution
- In the averaging step, we construct a second-order model of the SCF energy

$$E_{\text{DSM}}(c_i) \approx E_{\text{SCF}}(3\bar{\mathbf{D}}\mathbf{S}\bar{\mathbf{D}} - 2\bar{\mathbf{D}}\mathbf{S}\bar{\mathbf{D}}\mathbf{S}\bar{\mathbf{D}})$$

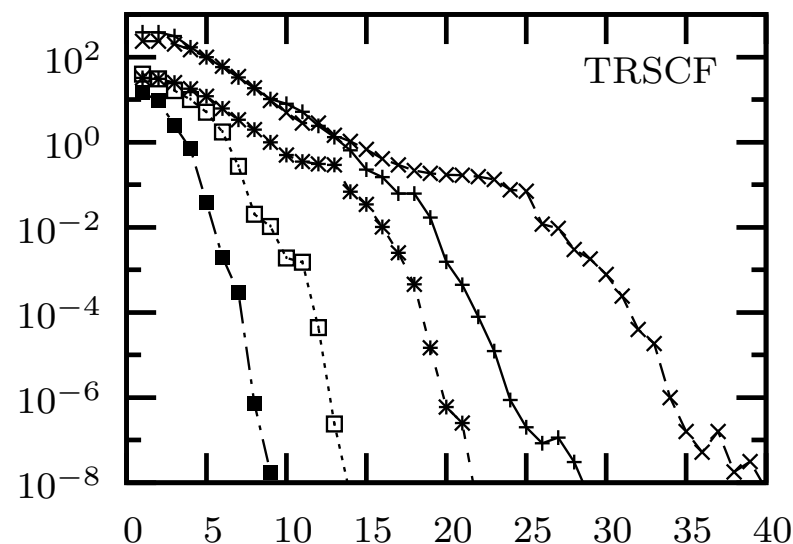
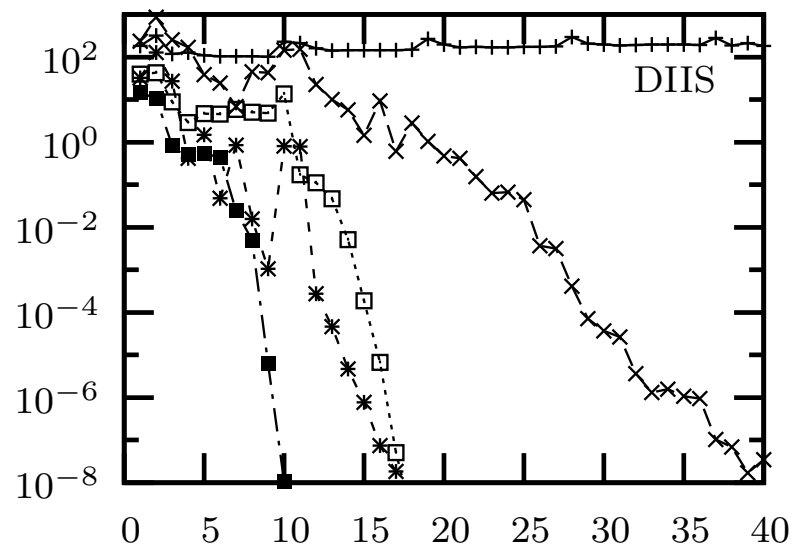
- it has the correct gradient but an approximate Hessian
 - the best density matrix is obtained by minimization, subject to a step-size constraint

$$\min_{c_i} E_{\text{DSM}}(c_i) \leftarrow \text{density-subspace minimization (DSM)}$$

- JCP **121**, 15 (2004); JCP **123**, 074103 (2005)

The TRSCF method (continued)

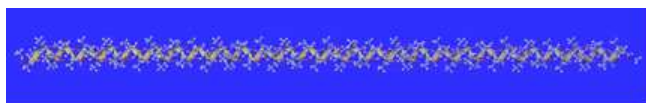
- The TRSCF method gives a stable and uniform convergence towards the SCF minimum
- Convergence of LDA calculations for a variety of molecules
 - zinc complex(+), rhodium complex(\times), cadmium complex(*), CH_3CHO (\square) and H_2O (\blacksquare)



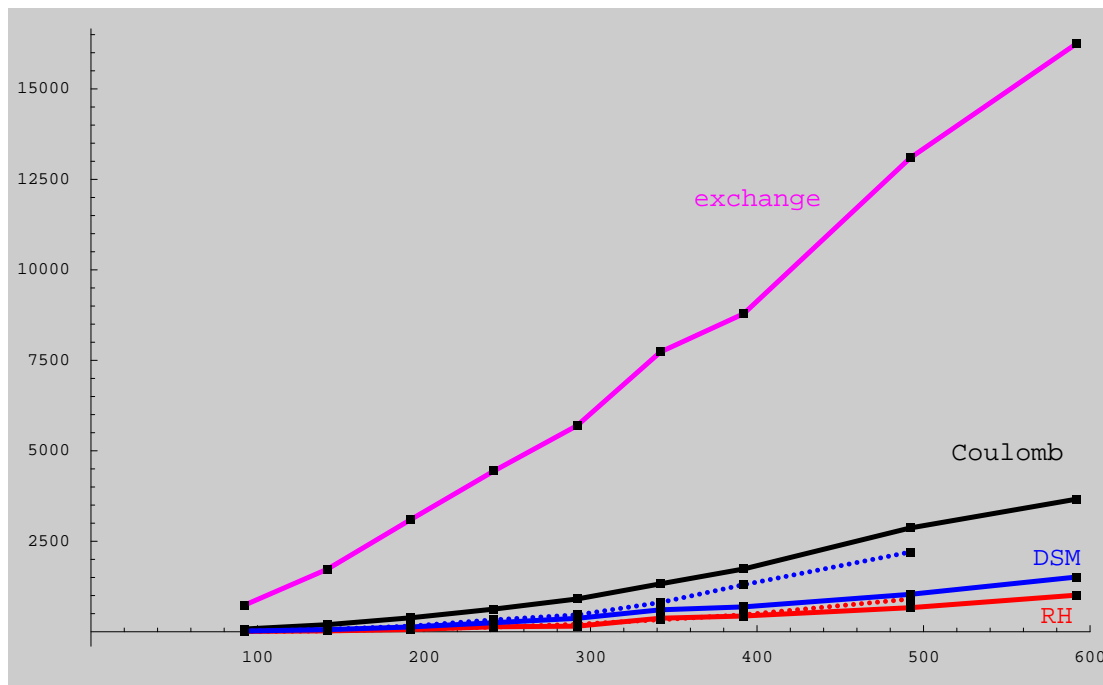
- Problems arise with small Hessian eigenvalues and small (negative) HOMO–LUMO gaps
 - Note: a Newton step of $\text{Tr } \mathbf{FD}$ is a quasi-Newton step of $E_{\text{SCF}}(\mathbf{D})$
 - we are doing a quasi-Newton optimization of the energy
 - the quasi-Newton step is poor for small or negative HOMO–LUMO gaps
 - revert to full Newton if necessary: $\min \text{Tr } \mathbf{FD} \rightarrow \min E_{\text{SCF}}(\mathbf{D})$

Illustration: alanine residue peptides

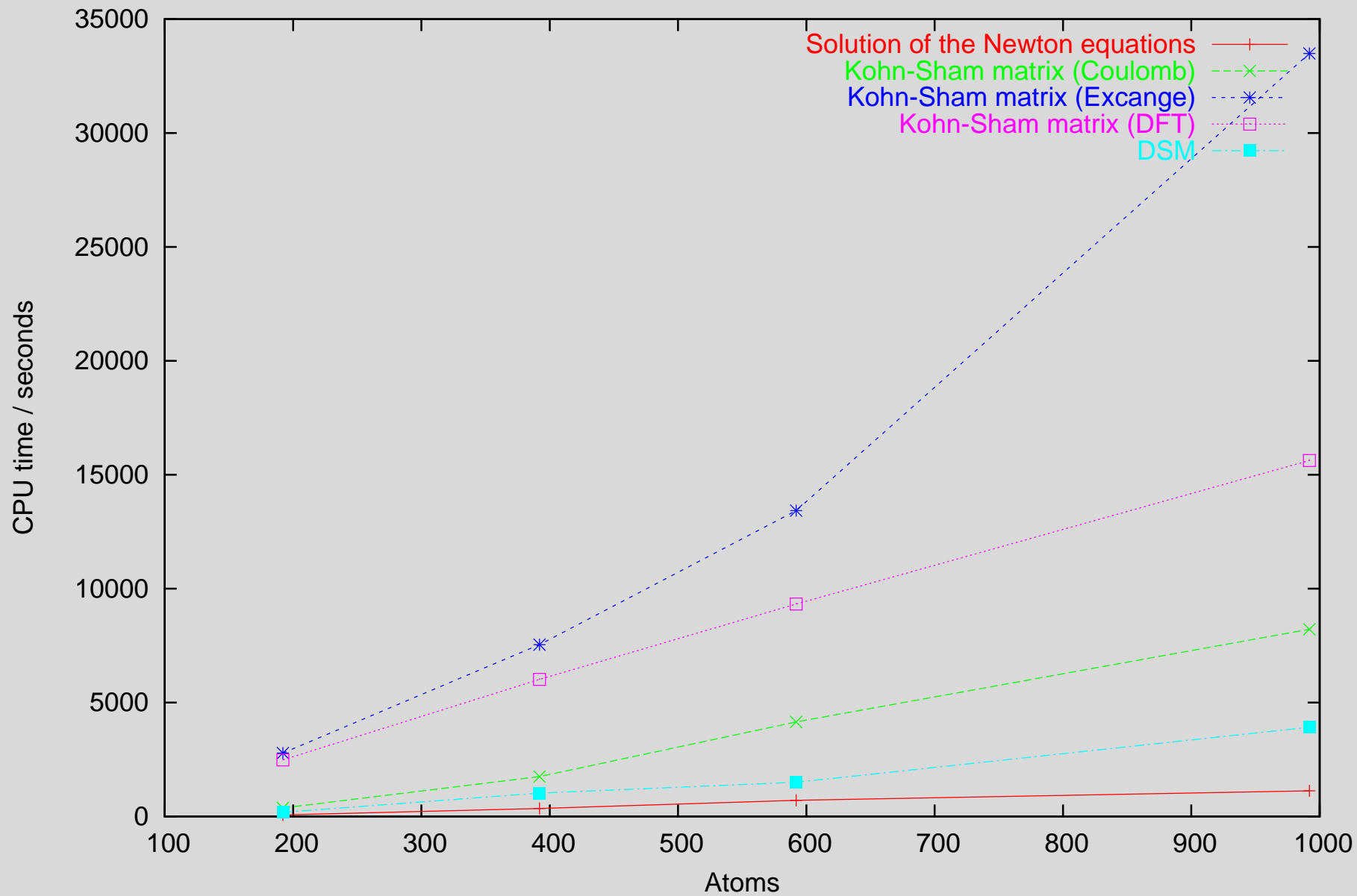
- Features of the code
 - diagonalization-free trust-region Roothaan–Hall (TRRH) energy minimization
 - trust-region density-subspace minimization (TRDSM) for density averaging
 - boxed density-fitting with FMM for Coulomb evaluation (Simen Reine)
 - LinK for exact exchange, linear-scaling exchange-correlation evaluation
 - compressed sparse-row (CSR) representation of few-atom blocks



- alanine residue peptides
 - CPU time against atoms
 - HF/6-31G
 - 5th SCF iteration
 - dominated by exchange
 - RH step least expensive
 - full lines: sparse algebra
 - dashed lines: dens algebra



DFT(B3LYP): first local SCF iteration (BSM)



Response theory

- The expectation value of \hat{A} in the presence of a perturbation \hat{V}_ω of frequency ω :

$$\langle t | \hat{A} | t \rangle = \langle 0 | \hat{A} | 0 \rangle + \int \langle\langle \hat{A}; \hat{V}_\omega \rangle\rangle_\omega \exp(-i\omega t) d\omega + \dots$$

- the linear-response function $\langle\langle \hat{A}; \hat{V}_\omega \rangle\rangle_\omega$ carries information about the first-order change in the expectation value

- The linear-response function may be represented compactly as:

$$\langle\langle \hat{A}; \hat{V}^\omega \rangle\rangle_\omega = -\mathbf{A}^{[1]T} \underbrace{(\mathbf{E}^{[2]} - \omega \mathbf{S}^{[2]})^{-1} \mathbf{V}_\omega^{[1]}}_{\text{linear equations}} \leftarrow \begin{cases} \mathbf{E}^{[2]} & \text{electronic Hessian} \\ \mathbf{S}^{[2]} & \text{metric matrix} \\ \mathbf{A}^{[1]} = \text{vec}(\mathbf{ADS} - \mathbf{SDA}) \end{cases}$$

- In practice, the response functions are evaluated by solving a set of linear equations

$$\begin{aligned} (\mathbf{E}^{[2]} - \omega \mathbf{S}^{[2]}) \mathbf{N}^{[1]} &= -\mathbf{V}_\omega^{[1]} \\ \langle\langle \hat{A}; \hat{V}^\omega \rangle\rangle_\omega &= \mathbf{A}^{[1]T} \mathbf{N}^{[1]} \end{aligned}$$

- can this be accomplished efficiently in the AO basis?

Solution of the response equations

- The response equations are solved in the same manner as the RH Newton equations:

$$(\mathbf{E}^{[2]} - \omega \mathbf{S}^{[2]}) \mathbf{x} = \mathbf{V}^{[1]}$$

- transformation to orthogonal basis (Cholesky or Löwdin)
- generation of an iterative subspace until the residual is sufficiently small

$$\mathbf{R} = (\mathbf{E}^{[2]} - \omega \mathbf{S}^{[2]}) \mathbf{x} - \mathbf{V}^{[1]}$$

- Key step: multiplication of Hessian and metric matrices with trial vectors

$$\mathbf{E}^{[2]}(\mathbf{X}) = \mathbf{HXS} + \mathbf{SXH} + \mathbf{g}^{\text{vo}}([\mathbf{D}, \mathbf{X}]_s) - \mathbf{g}^{\text{ov}}([\mathbf{D}, \mathbf{X}]_s)$$

$$\mathbf{S}^{[2]}(\mathbf{X}) = \mathbf{S}^{\text{oo}} \mathbf{XS}^{\text{vv}} - \mathbf{S}^{\text{vv}} \mathbf{XS}^{\text{oo}}$$

- requires recalculation of Fock/Kohn–Sham matrix with modified AO density matrix

- For rapid convergence, the residual vector is preconditioned

$$\tilde{\mathbf{R}} = \mathbf{M}^{-1} \mathbf{R}, \quad \mathbf{M} = \mathbf{E}^{[2]} - \omega \mathbf{S}^{[2]} - \text{expensive parts}$$

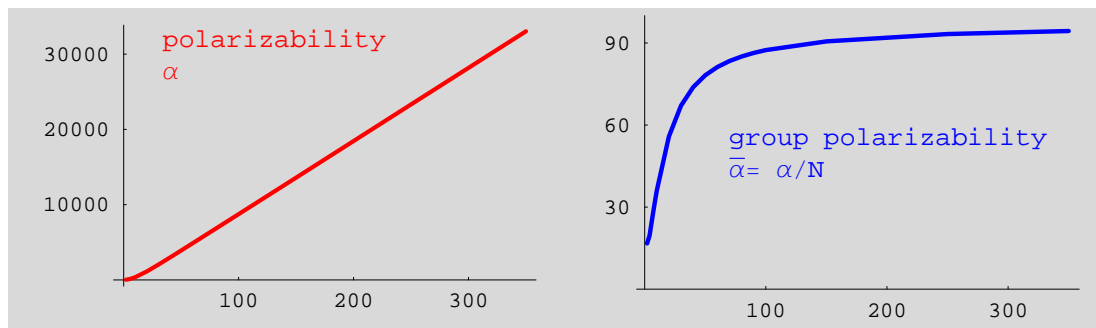
- nondiagonal preconditioning requires about 5 conjugate-gradient steps

- With this preconditioner, the response equations converge in about 4 iterations

- indeed, this is the same convergence as in the canonical MO basis
- total cost: 4 Fock/Kohn–Sham evaluations, 100 matrix multiplications

Longitudinal polarizability of long polymeric chains

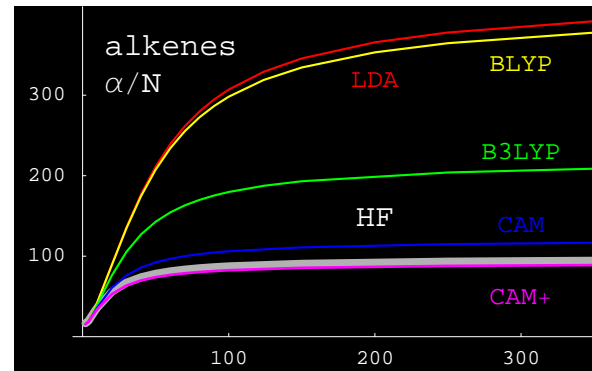
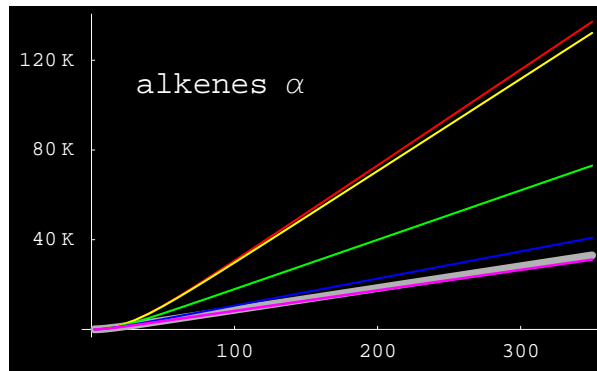
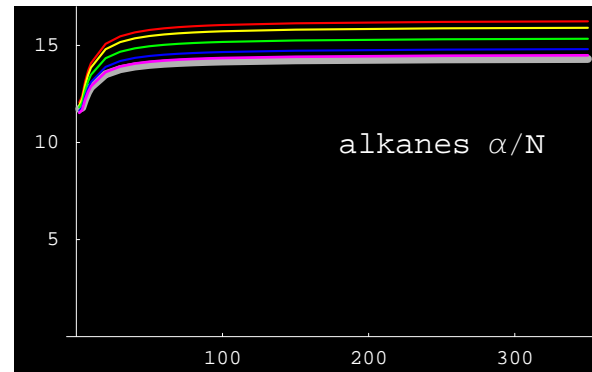
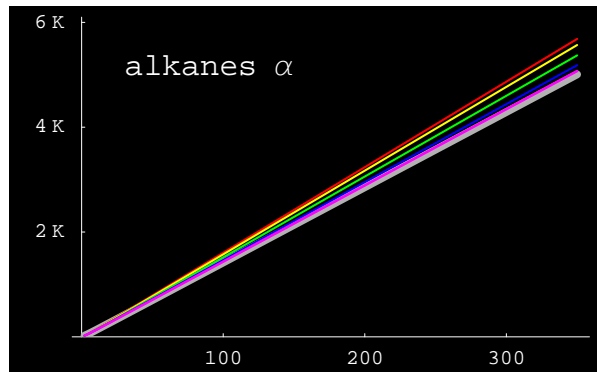
- Consider the longitudinal polarizability of a polymeric chain



- the polarizability $\alpha(N)$ is an extensive property, proportional to N
- the group polarizability $\bar{\alpha} = \alpha(N)/N$ is an intensive quantity
- Why does the group polarizability increase with increasing chain length?
 - each monomer experiences a **local field** different from the external field, arising from the induced dipoles of the neighboring monomers
 - with increasing chain length, more dipoles contribute to the local field
 - the chain acts essentially like a one-dimensional dielectric
- How do standard SCF models handle this induced field?
 - we have calculated longitudinal polarizabilities of polymeric chains
 - trans-polyethylenes (alkanes) and trans-polyacetylenes (alkenes)
 - all calculations have been carried out using the AO methods described above

Polarizabilities of linear alkanes and alkenes

- To illustrate, we have calculated longitudinal polarizabilities in linear polymeric chains
 - HF and DFT α and α/N in 6-31G basis, plotted against the number of carbons N



- The alkenes are about an order of magnitude more polarizable than the alkanes
 - all models agree on alkanes (α/N -limit: HF 14.4; LDA 16.3)
 - widely different results for alkenes (α/N -limit: HF 97; LDA 427)

Long-range behaviour of the effective one-electron potential

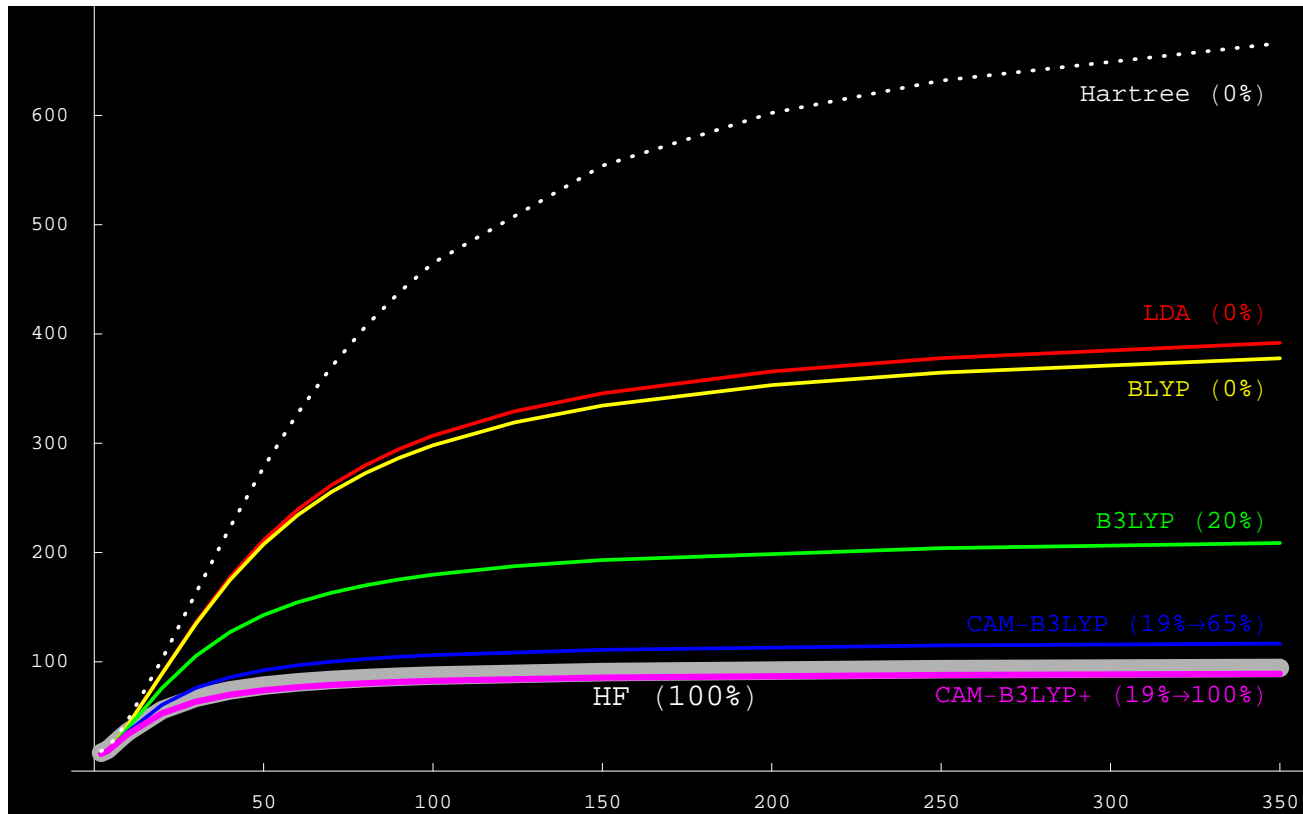
- The standard functionals provide an incorrect description of exchange at long range
 - the exchange potentials fall off exponentially and not like $-r^{-1}$
 - affects Rydberg and charge-transfer excitations, polarizability of long chains
- Many solutions have been proposed over the years
 - asymptotic correction (AC) of Tozer and Handy (1998)
 - time-dependent current-DFT (TDCDFT) of Snijders and coworkers (2002)
- Hartree–Fock theory, with its exact treatment of exchange, has none of these problems
 - at long range, the exchange potential decays like $-r^{-1}$
- Hirao and coworkers (2001) introduced an Ewald split of r_{12}^{-1}

$$\frac{1}{r_{12}} = \frac{1 - \operatorname{erf}(\mu r_{12})}{r_{12}} + \frac{\operatorname{erf}(\mu r_{12})}{r_{12}}$$

- the first part is treated functionally, the second exactly
- corrects the asymptotic behaviour, retaining the good DFT behaviour at short range
- some exact exchange may be good at short range: CAM-B3LYP, Yanai *et al.* (2004)
- infinitely many combinations are possible

The importance of exact exchange for longitudinal polarizabilities

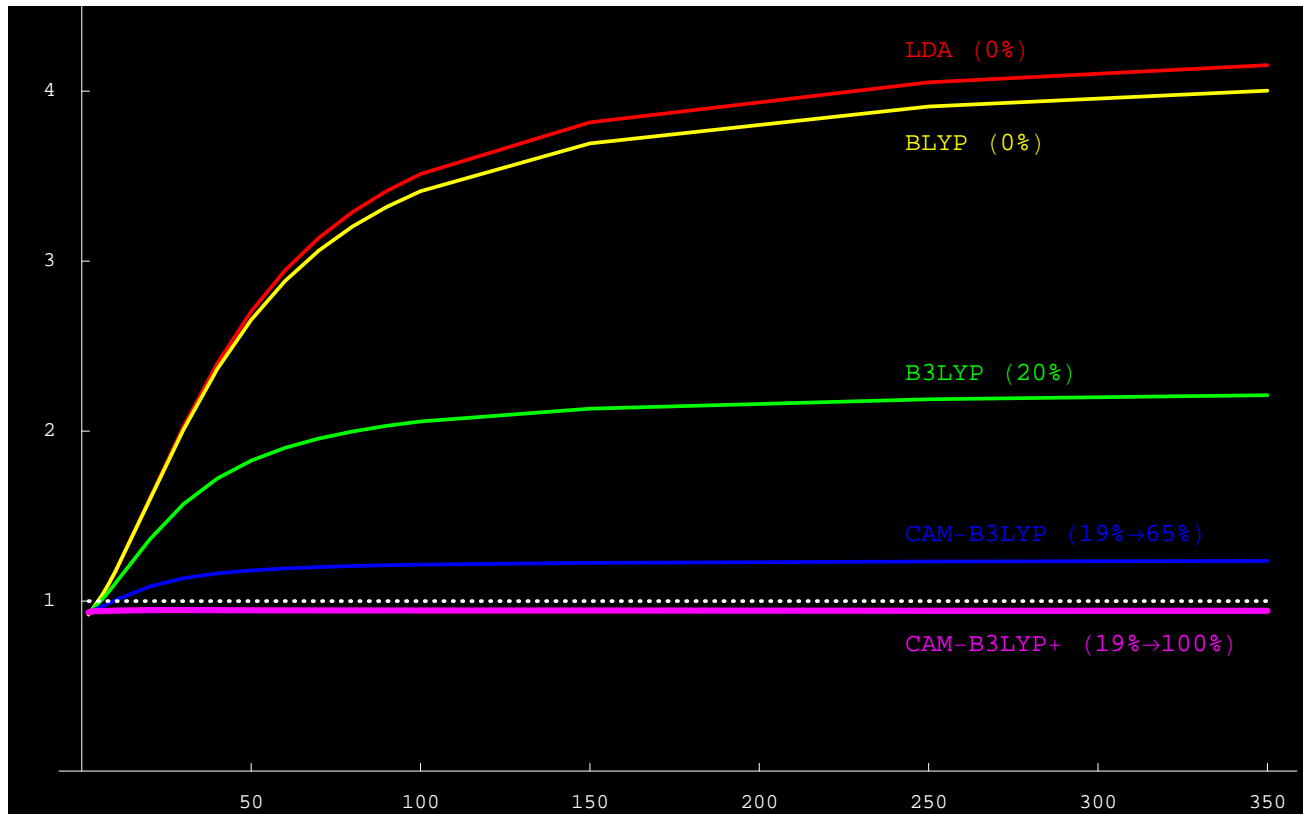
- Without a good description of long-range exchange, the systems become too polarizable



- the Hartree model neglects all exchange and overestimates by a factor of eight
- pure DFT has a poor long-range exchange and overestimates by a factor of four
- hybrid functionals improve the situation, introducing some exact exchange
- compromise solution: standard DFT at short range, full exchange at long range

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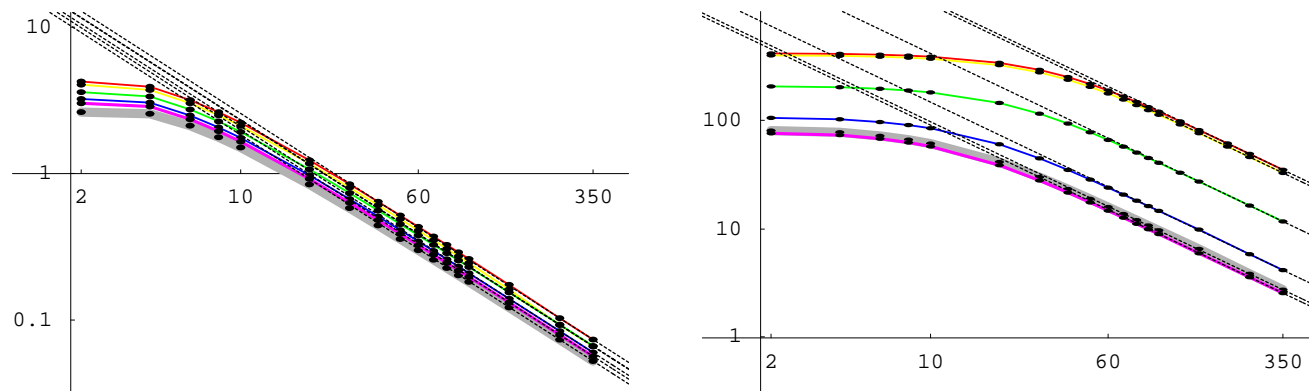
Asymptotic behaviour of group polarizabilities

- How does the group polarizability converge towards the infinite limit?

$$\bar{\alpha}_{\infty} - \bar{\alpha}_N = eN^{-1} + \mathcal{O}(N^{-2}) \quad \text{Kudin *et al.*, JCP **122**, 134907 (2005)}$$

– this behaviour is universal, holding at all levels of theory

- Log–log plots of $\bar{\alpha}_{\infty} - \bar{\alpha}_N$ for alkanes and alkenes:



– limit obtained by extrapolation $\bar{\alpha}_{\infty} = (\alpha_N - \alpha_M)/(N - M)$

– straight lines of slope -1 superimposed through the points at $N = 350$

- The asymptotic region is reached with $\text{C}_{30}\text{H}_{62}$ (alkanes) and $\text{C}_{60}\text{H}_{62}$ (alkenes)

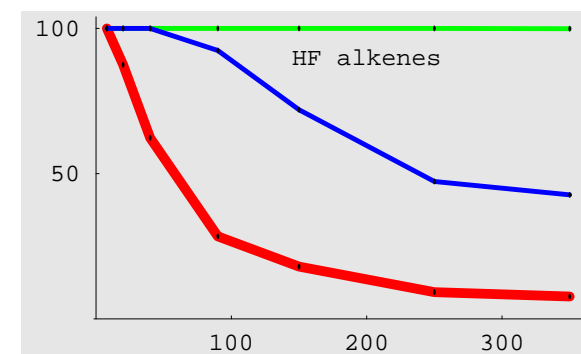
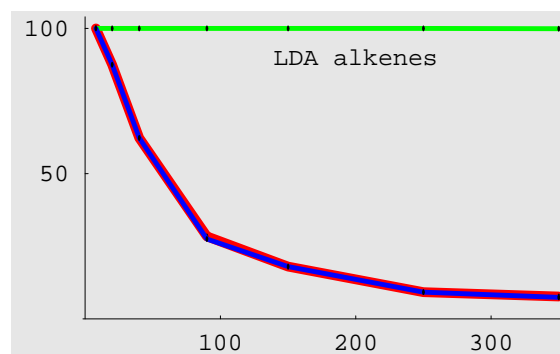
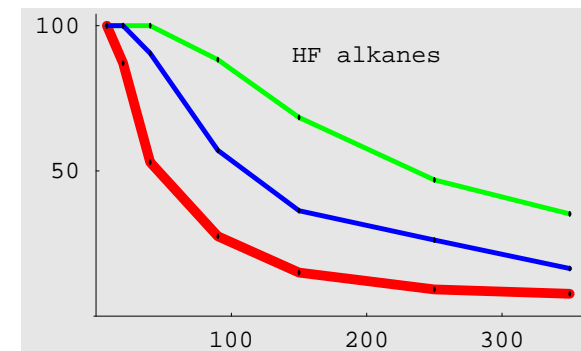
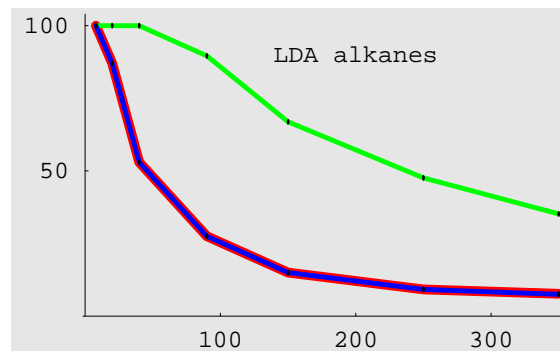
– alkane $\bar{\alpha}_{\infty}$ predicted to within 1% from $\text{C}_{30}\text{H}_{62}$

– alkene $\bar{\alpha}_{\infty}$ predicted to within 1% from $\text{C}_{60}\text{H}_{62}$ for HF and from $\text{C}_{150}\text{H}_{152}$ for LDA

Sparsity of linear alkanes and alkenes

- Each energy optimization was converged in 6–14 SCF iterations
 - about 70 matrix multiplications for each TRRH step (diagonalization)
 - about 50 matrix multiplications for each TRDMS step (DIIS)
- Each polarizability component required 3–4 response iterations
 - about 20 matrix multiplications in each iteration
- Percentage of matrix elements greater than 10^{-6} in alkane and alkene chains

- **overlap matrix:**
 - sparse
- **density matrix:**
 - nonsparse for alkenes
 - sparse for alkanes
- **Fock/KS matrices:**
 - KS matrix like overlap
 - Fock matrix intermediate between overlap and density matrices



Conclusions

- We have discussed the optimization of SCF energies without MOs
 - in each SCF iteration, we replace diagonalization by minimization
 - minimization by Newton's method, one step is usually enough
 - minimization stable and fast, highly competitive with diagonalization
 - 50–100 sparse matrix multiplications required
- Large molecules represent a more difficult minimization problem
 - small Hessian eigenvalues for pure DFT
 - trust-region SCF: careful step-size control
 - revert to second-order if necessary
- Linear-response is straightforward in the AO basis
 - one Fock/Kohn–Sham matrix build and 20 matrix multiplications pr. iteration
 - stable convergence in 3–5 iterations