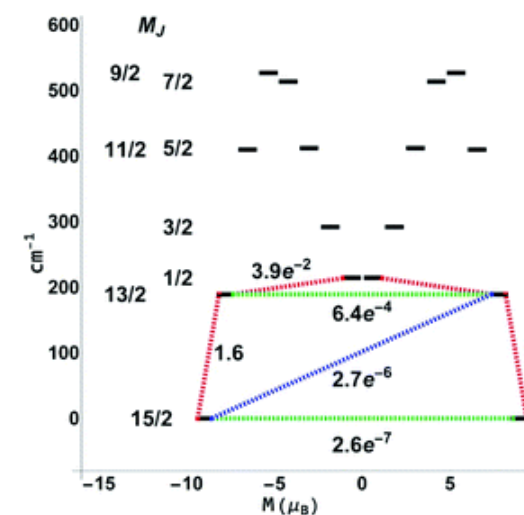
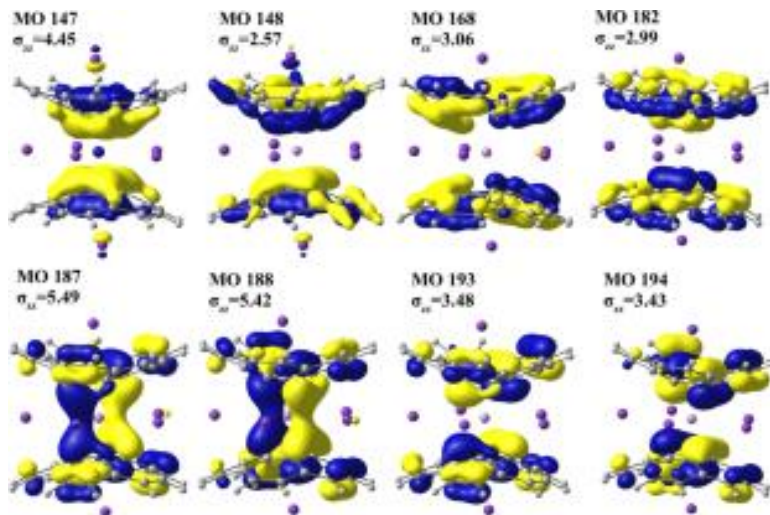
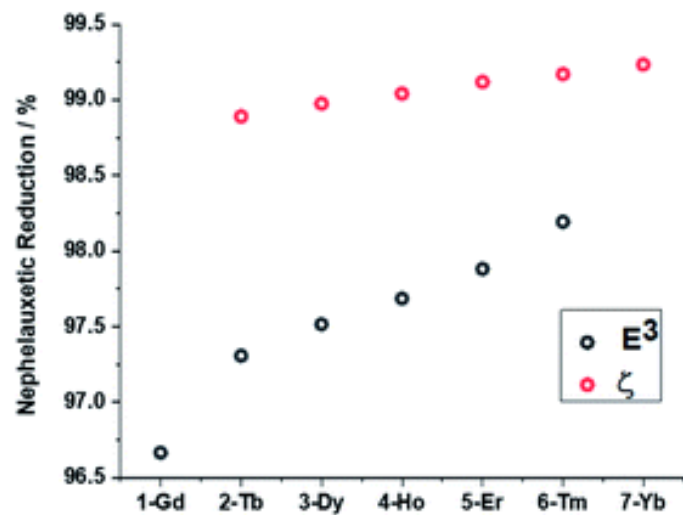




Orca

TD-DFT
NMR





Double Perturbation Theory

If we're looking for the linear response of our molecule to two different perturbations, we can recast our Schrödinger equation using the following:

$$E = E^0 + \lambda_1 E^{10} + \lambda_2 E^{01} + \lambda_1 \lambda_2 E^{11}$$

$$\hat{H} = \hat{H}^0 + \lambda_1 \hat{H}^{10} + \lambda_2 \hat{H}^{01} + \lambda_1 \lambda_2 \hat{H}^{11}$$

$$\psi = \psi^0 + \lambda_1 \psi^{10} + \lambda_2 \psi^{01} + \lambda_1 \lambda_2 \psi^{11}$$

Also note that the perturbed wavefunctions are orthogonal to the ground state wavefunction



Double Perturbation Theory

We're looking for a stationary state of E^{11} , so at first we can use the Time-Independent Schrödinger equation to find:

$$E^{11} = \frac{\partial^2 E}{\partial \lambda_1 \partial \lambda_2}$$

Plugging our perturbative expansion into the TISE, and only keeping terms in $\lambda_1 \lambda_2$ followed by left multiplication and integration:

$$E^{11} = \langle \psi^0 | \hat{H}^{11} | \psi^0 \rangle + \langle \psi^{01} | \hat{H}^{10} | \psi^0 \rangle + \langle \psi^0 | \hat{H}^{10} | \psi^{01} \rangle$$

The Time-Dependent Perturbation Theory gives us:

$$E^{11} = \lim_{\eta \rightarrow \infty} \sum_{j \neq 0} \left[\frac{\langle \Psi_0 | \hat{B} | \Psi_j \rangle \langle \Psi_j | \hat{A} | \Psi_0 \rangle}{\omega + i\eta - \Delta E_{0j}} - \frac{\langle \Psi_j | \hat{B} | \Psi_0 \rangle \langle \Psi_0 | \hat{A} | \Psi_j \rangle}{\omega + i\eta + \Delta E_{0j}} \right]$$

If we first invoke the independent particle model (IPM) and assume the operators are 1-electrons operators, then:

$$E^{11} = \lim_{\eta \rightarrow \infty} \sum_k^{occ} \sum_{a \neq k} \left[\frac{\langle \phi_k | \hat{B} | \phi_a \rangle \langle \phi_a | \hat{A} | \phi_k \rangle}{\omega + i\eta - \Delta E_{ka}} - \frac{\langle \phi_a | \hat{B} | \phi_k \rangle \langle \phi_k | \hat{A} | \phi_a \rangle}{\omega + i\eta + \Delta E_{ka}} \right]$$

$$= \lim_{\eta \rightarrow \infty} \sum_{ka} (n_k - n_a) \frac{\langle \phi_k | \hat{B} | \phi_a \rangle \langle \phi_a | \hat{A} | \phi_k \rangle}{\omega + i\eta - \Delta E_{ka}}$$

We now allow the operator \hat{A} to respond to the changes that the perturbation makes in the orbitals, rather than changing the orbitals themselves:

$$\hat{A}^{(1)} = \hat{A} + \hat{V}^{(1)C} + \hat{V}^{(1)XC}$$

If we first invoke the independent particle model (IPM) and assume the operators are 1-electrons operators, then:

$$E^{11} = \lim_{\eta \rightarrow \infty} \sum_{ka} (n_k - n_a) \frac{\langle \phi_k | \hat{B} | \phi_a \rangle \langle \phi_a | \hat{A} + \hat{V}^{(1)C} + \hat{V}^{(1)XC} | \phi_k \rangle}{\omega + i\eta - \Delta E_{ka}}$$

To solve this equation, we now work with the perturbed first-order density matrix, which is easier to work with and can still be used to evaluate matrix elements:

$$E^{11}(\omega) = \int d\mathbf{x} \cdot \left[\hat{B}(\mathbf{x}) \Gamma_{\hat{A}^{(1)}_0}^{(1)} \right]$$

$$P_{ak}^{(1)}(\omega) = \frac{n_k - n_a}{\omega - \Delta E_{ka}} \langle \phi_a | \hat{A}^{(1)} | \phi_k \rangle$$

$$\Gamma_{\hat{A}^{(1)}_0}^{(1)} = \sum_{ka} P_{ak}^{(1)}(\omega) \phi_a^*(\tilde{\mathbf{x}}) \phi_k(\mathbf{x})$$

Note that $\langle \phi_a | \hat{A}^{(1)} | \phi_k \rangle$ also depends on $P_{ak}^{(1)}(\omega)$ (it's self-consistent), so we can't solve directly...

To get the $P_{ak}^{(1)}(\omega)$, we explicitly write out the dependence of $\hat{A}^{(1)}$ on $P_{ak}^{(1)}(\omega)$:

$$\hat{V}_{ak}^{(1)C} + \hat{V}_{ak}^{(1)XC} = \sum_{bj} (K_{ak,bj}^C + K_{ak,bj}^{XC}) P_{bj}^{(1)}(\omega)$$

$$K_{ak,bj}^C = \langle \phi_a \phi_b | |r_{12}|^{-1} | \phi_k \phi_j \rangle$$

$$K_{ak,bj}^{XC} = \langle \phi_a \phi_b | f_{XC}(\mathbf{x}_1, \mathbf{x}_2, \omega) | \phi_k \phi_j \rangle$$

Plugging the correlation functions into the expression for $P_{ak}^{(1)}(\omega)$, we get the following for $P_{ak}^{(1)}(\omega)$:

$$\sum_{b \neq j} \left[\delta_{ab} \delta_{kj} \frac{\omega - \Delta E_{jb}}{n_j - n_b} - K_{ak,bj} \right] P_{bj}^{(1)}(\omega) = \langle \phi_a | \hat{A} | \phi_k \rangle$$



TD-DFT

We can now imagine breaking this equation up...

If b,a is virtual and j,k is occupied:

$$[\delta_{ab}\delta_{kj}(\omega - \Delta E_{jb}) - K_{ak,bj}]P_{bj}^{(1)} = A_{ak}$$

If j,k is virtual and b,a is occupied:

$$[-\delta_{ab}\delta_{kj}(\omega - \Delta E_{jb}) - K_{ak,bj}]P_{bj}^{(1)} = A_{ak}$$

If b,k is virtual and j,a is occupied or j,a is virtual and b,k is occupied:

$$-K_{ak,bj}P_{bj}^{(1)} = A_{ak}$$



TD-DFT

If we now split into two parts, with $X = P_{bj}^{(1)}$ (b vir, j occ) and $Y = P_{bj}^{(1)}$ (b occ, j vir); and also $Q = A_{ak}$ (a vir, k occ) and $R = A_{ak}$ (a occ, k vir) :

$$\begin{pmatrix} A + \omega & B \\ B & A - \omega \end{pmatrix} \begin{pmatrix} X \\ Y \end{pmatrix} = \begin{pmatrix} Q \\ R \end{pmatrix}$$

We can look back to see why this is true...



TD-DFT

We can now imagine breaking this equation up...

If b,a is virtual and j,k is occupied:

$$[\delta\delta(\omega - \Delta E) - K]X = Q$$

If j,k is virtual and b,a is occupied:

$$[-\delta\delta(\omega - \Delta E) - K]Y = R$$

If b,k is virtual and j,a is occupied or j,a is virtual and b,k is occupied:

$$-KX = R$$

$$-KY = Q$$

$$A = \frac{-\delta_{ab}\delta_{kj}\Delta E_{jb}}{n_b - n_j} - K_{ak,bj}$$

$$B = -K_{ak,bj}$$



TD-DFT

Our task is now to find the excitation energies using this equation:

$$\begin{pmatrix} A + \omega & B \\ B & A - \omega \end{pmatrix} \begin{pmatrix} X \\ Y \end{pmatrix} = \begin{pmatrix} Q \\ R \end{pmatrix}$$

It's important to recognize now that Q is simply the complex conjugate of R . $\langle \phi_a | \hat{A} | \phi_k \rangle = \langle \phi_a | \hat{A} | \phi_k \rangle^*$

Because the MOs are real, we can say that for real operators \hat{A} we can represent $(Q + R)$ with $(X + Y)$, and with imaginary operators, $(Q + R)$ is represented with $(X - Y)$ (because everything on the left-hand side is real)

Thus, after working out the algebra:

$$(X + Y) = S^{-1/2} [\omega^2 + S^{-1/2}(A + B)S^{-1/2}]^{-1} S^{-1/2}(Q + R)$$

$$S = I(A - B)^{-1}(-I)$$

For a singularity in $P^{(1)}$, therefore, it is clear that we need:

$$\omega^2 + S^{-1/2}(A + B)S^{-1/2} = 0$$

Now we have an eigenvalue equation, that we can use Davidson Diagonalization on:

$$\omega_{0j}^2 F_{0j} = -S^{-1/2}(A + B)S^{-1/2} F_{0j}$$



TD-DFT (TDA)

In the TDA, our B term is approximated as zero:

$$\begin{pmatrix} A + \omega & 0 \\ 0 & A - \omega \end{pmatrix} \begin{pmatrix} X \\ Y \end{pmatrix} = \begin{pmatrix} Q \\ R \end{pmatrix}$$

Why is this valid? Remember that our first-order density matrix is self-consistent, and as a first guess, it would be reasonable for us to assume that the density change is comprised entirely of excitations from the occupied to virtual orbitals (X) with $Y=0$. We don't expect Y to get very large because it is entirely a correlation effect which ideally will have been appropriately treated in the ground state calculation



TD-DFT in Orca

- ORCA uses TDA by default in all TD-DFT equations, but it can be turned off if necessary.
- TD-DFT can be GREATLY sped up (up to 15) in ORCA with the use of an auxiliary basis set.

This is similar to the RIJCOSX approximation in the ground state, but here a new auxiliary basis is introduced to fit densities of the excited states.
- Almost all DFT functionals have analytic gradients implemented for TD-DFT, so geometry optimization can be performed.



Let's Run One

```
! WB97X-D3BJ DEF2-TZVP DEF2-TZVP/C TightSCF RIJCOSX
%pal nprocs 16 end
%maxcore 4500
%tddft
  nroots 10
end
*xyzFile 0 1 betaine30.xyz
```




My Recommendations

These are my personal functional recommendations:

- ω B97X-D3BJ has been shown to be very good for TD-DFT. A recent benchmark showed a RMSE of 0.29 eV which was the best among the tested functionals (B3LYP was worst, followed by PBE0, M06-2X, CAM-B3LYP, then ω B97X-D)
- PBE0 is still pretty reliable
- If you have the resources, there are new double-hybrid functionals specifically designed for excited states:
 - I have personally used wPBEPP86, and it is very good!

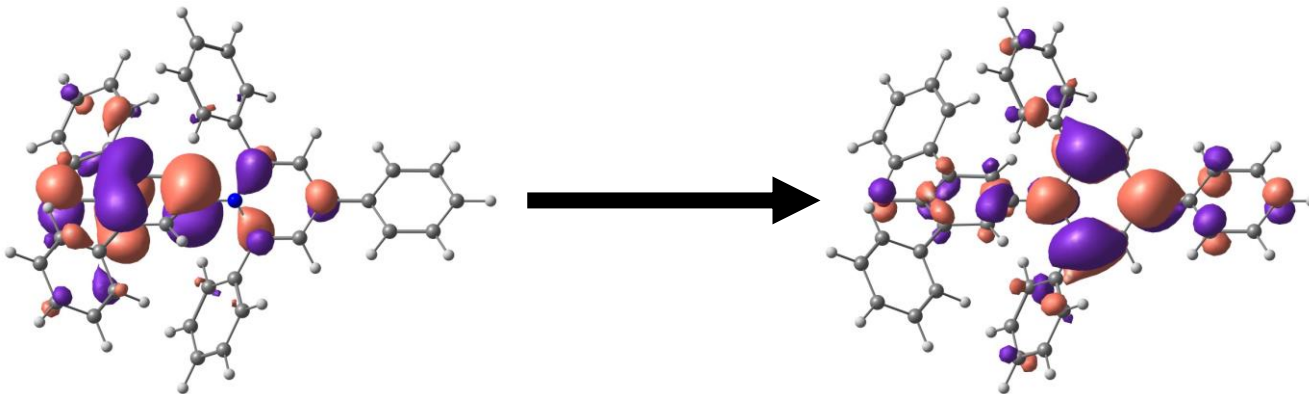


A Double-Hybrid Run

```
! RI-WPBEPP86 DEF2-TZVP DEF2-TZVP/C TightSCF RIJCOSX  
%pal nprocs 8 end  
%maxcore 17000  
%tddft  
  roots 10  
end  
*xyzFile 0 1 betaine30.xyz
```

Natural orbitals are eigenvectors of the first-order perturbed density matrix:

- We already saw this matrix!
$$\Gamma_{\hat{A}^{(1)}_0}^{(1)} = \sum_{ka} P_{ak}^{(1)}(\omega) \phi_a^*(\tilde{\mathbf{x}}) \phi_k(\mathbf{x})$$
- When visualized, these orbitals focus in on the regions of the molecule that are important for a given transition.





Generating NTOs

```
! WB97X-D3BJ DEF2-TZVP DEF2-TZVP/C TightSCF RIJCOSX
%pal nprocs 16 end
%maxcore 4500
%tddft
  nroots 10
  DoNTO True
end
*xyzFile 0 1 betaine30.xyz
```



Optimizing an Excited State

```
! R2SCAN-3C AutoAux OPT
%pal nprocs 16 end
%maxcore 4500
%tddft
  roots 10
  iroot 1
end
*xyzFile 0 1 betaine30.xyz
```

```
! R2SCAN-3C AutoAux OPT
%pal nprocs 16 end
%maxcore 4500
%tddft
  roots 10
  iroot 2
end
*xyzFile 0 1 betaine30.xyz
```



Looking at the results

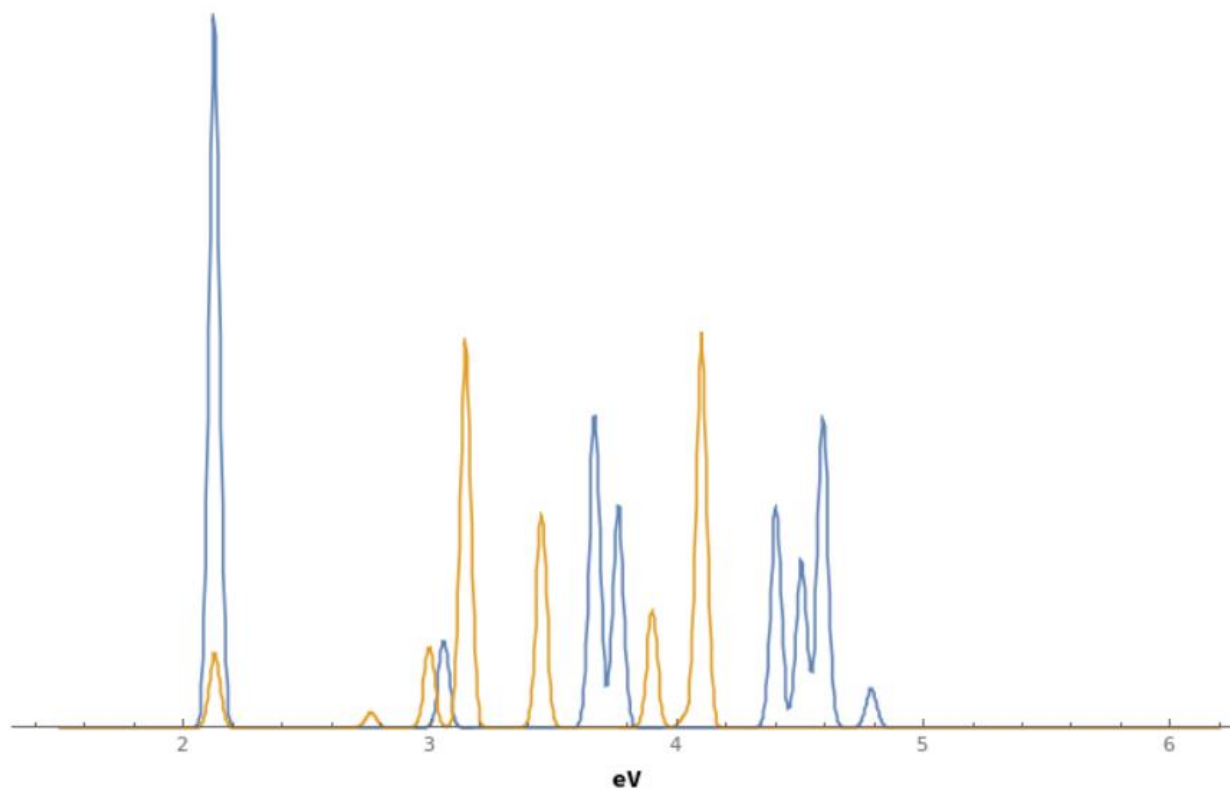
```
grep -A 15 ELECTRIC\ DIPOLE tddft.out | head -n16
```

ABSORPTION SPECTRUM VIA TRANSITION ELECTRIC DIPOLE MOMENTS										
Transition		Energy (eV)	Energy (cm-1)	Wavelength (nm)	fosc(D2)	D2 (au**2)	DX (au)	DY (au)	DZ (au)	
0-1A	-> 1-1A	2.124663	17136.6	583.5	0.477191811	9.16737	3.02777	-0.00247	0.00072	
0-1A	-> 2-1A	3.054652	24637.4	405.9	0.058251115	0.77837	-0.00113	-0.52023	-0.71255	
0-1A	-> 3-1A	3.666428	29571.7	338.2	0.210305741	2.34126	0.00088	1.33748	0.74324	
0-1A	-> 4-1A	3.762226	30344.4	329.6	0.149514379	1.62211	0.00028	1.26287	0.16514	
0-1A	-> 5-1A	3.824184	30844.1	324.2	0.000008280	0.00009	-0.00933	-0.00107	0.00045	
0-1A	-> 6-1A	4.401299	35498.9	281.7	0.147836093	1.37101	-1.17090	0.00004	-0.00031	
0-1A	-> 7-1A	4.505171	36336.7	275.2	0.112603992	1.02020	0.00067	0.51539	0.86866	
0-1A	-> 8-1A	4.592003	37037.0	270.0	0.207157718	1.84137	-0.00015	0.11707	1.35191	
0-1A	-> 9-1A	4.624888	37302.2	268.1	0.000910251	0.00803	0.08960	0.00014	-0.00215	
0-1A	-> 10-1A	4.788048	38618.2	258.9	0.026366240	0.22477	-0.47409	0.00066	0.00107	



Plot Spectra

```
/projectnb/webmo/orca/6_0_0/orca_mapspc tddft.out ABS  
-eV -x01.5 -x16.2 -w0.05
```



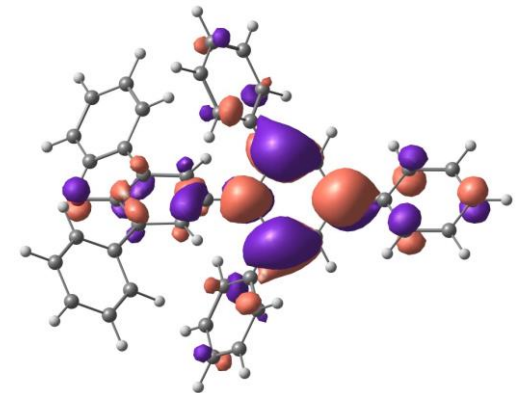
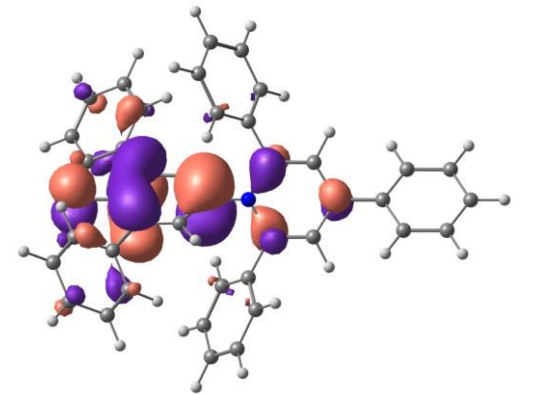
```
grep -n NATURAL\ TRAN tddft.out
less +3735 tddft.out
```

```
NATURAL TRANSITION ORBITALS FOR STATE 1
-----
Making the (pseudo)densities ... done
Solving eigenvalue problem for the occupied space ... done
Solving eigenvalue problem for the virtual space ... done
Natural Transition Orbitals were saved in tddft.s1.nto
Threshold for printing occupation numbers 0.001000

E= 0.078080 au      2.125 eV      17136.6 cm**-1
144a -> 145a : n= 0.97372613
143a -> 146a : n= 0.00575811
142a -> 147a : n= 0.00344202
141a -> 148a : n= 0.00202830
140a -> 149a : n= 0.00179824
139a -> 150a : n= 0.00161313
138a -> 151a : n= 0.00135448
137a -> 152a : n= 0.00110436
```

```
/projectnb/webmo/orca/6_0_0/orca
_plot tddft.s1.nto -i << END
```

```
2
144
4
100
5
7
11
2
145
11
12
END
```




```
/projectnb/webmo/orca/6_0_0/orca_plot tddft.gbw -I << END
```

```
4
```

```
100
```

```
5
```

```
7
```

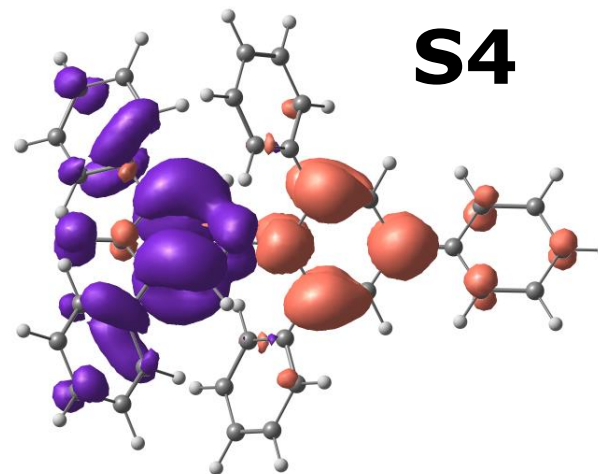
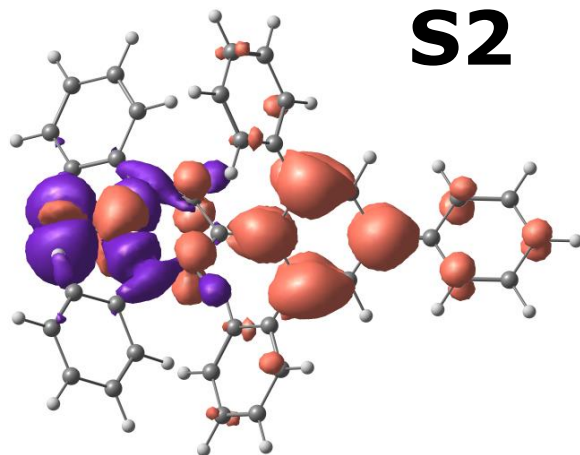
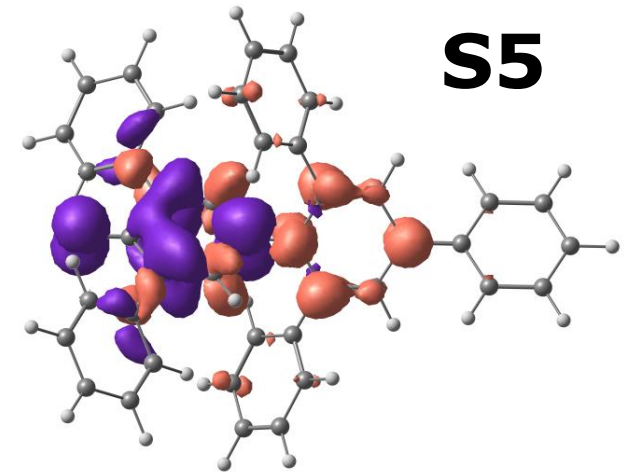
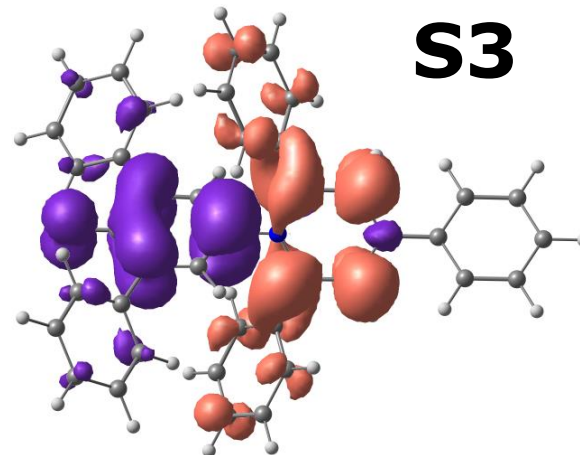
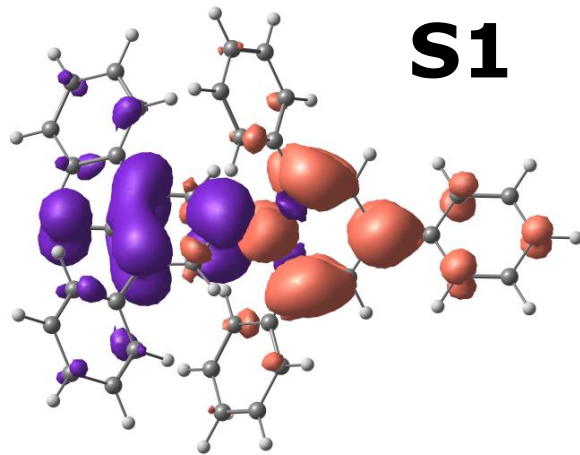
```
6
```

```
y
```

```
1 2 3 4 5
```

```
12
```

```
END
```





NMR Theory

For the chemical shift, we have:

$$\sigma_A = \left. \frac{\partial^2 E}{\partial \mathbf{B} \partial \mu_A} \right|_{\mathbf{B}=0, \mu_A=0}$$

The operators that end up contributing are the orbital Zeeman, paramagnetic orbital, and diamagnetic terms:

$$E^{11} = \langle \psi^0 | \hat{H}^{11} | \psi^0 \rangle + \langle \psi^{01} | \hat{H}^{10} | \psi^0 \rangle + \langle \psi^0 | \hat{H}^{10} | \psi^{01} \rangle$$



NMR Theory - Nonrelativistic

The following operators can be derived from Maxwell's Equations:

$$\hat{h}^{mag} = \mathbf{A}^{ext2} + \hat{h}^{OZ} + \hat{h}^{SZ} + \hat{h}^{OP} + \hat{h}^{DS} + \hat{h}^{FC} + \hat{h}^{SD} + \hat{h}^{OD}$$

$$\hat{h}^{DS} = \frac{1}{2c^2} \sum_A \left[(\boldsymbol{\mu}_A \cdot \mathbf{B}^{ext}) \left(\frac{\mathbf{r}_A}{r_A^3} \cdot \mathbf{r} \right) - (\boldsymbol{\mu}_A \cdot \mathbf{r}) \left(\mathbf{B}^{ext} \cdot \frac{\mathbf{r}_A}{r_A^3} \right) \right]$$

$$\hat{h}^{OP} = \frac{1}{c^2} \sum_A \boldsymbol{\mu}_A \left(\frac{\mathbf{r}_A}{r_A^3} \times \hat{\mathbf{p}} \right) \quad \hat{h}^{SZ} = -\hat{\boldsymbol{\mu}}_s \cdot \mathbf{B}^{ext} \quad \hat{h}^{OZ} = -\hat{\boldsymbol{\mu}}_e \cdot \mathbf{B}^{ext}$$

$$\hat{h}^{FC} = \frac{8\pi}{3c^2} \delta(\mathbf{r}_A) \hat{\boldsymbol{\mu}}_A \cdot \mathbf{S} \quad \hat{h}^{SD} = \frac{1}{c^2} \cdot \frac{3(\hat{\mathbf{S}} \cdot \mathbf{r}_A)(\boldsymbol{\mu}_A \cdot \mathbf{r}_A) - r_A^2 \boldsymbol{\mu}_A \cdot \hat{\mathbf{S}}}{r_A^5}$$



NMR Theory - Nonrelativistic

The terms linear in $\boldsymbol{\mu}_A$, \mathbf{B} , and $\boldsymbol{\mu}_A \mathbf{B}$

$$\hat{h}^{DS} = \frac{1}{2c^2} \sum_A \left[(\boldsymbol{\mu}_A \cdot \mathbf{B}^{ext}) \left(\frac{\mathbf{r}_A}{r_A^3} \cdot \mathbf{r} \right) - (\boldsymbol{\mu}_A \cdot \mathbf{r}) \left(\mathbf{B}^{ext} \cdot \frac{\mathbf{r}_A}{r_A^3} \right) \right]$$

$$\hat{h}^{OP} = \frac{1}{c^2} \sum_A \boldsymbol{\mu}_A \left(\frac{\mathbf{r}_A}{r_A^3} \times \hat{\mathbf{p}} \right)$$

Doesn't contribute for diamagnetic molecules

$$\hat{h}^{OZ} = -\hat{\boldsymbol{\mu}}_e \cdot \mathbf{B}^{ext}$$

$$\hat{h}^{SZ} = -\hat{\boldsymbol{\mu}}_s \cdot \mathbf{B}^{ext}$$



NMR Theory – The Gauge

The magnetic field used in those operators has a problem, in that it has a “location” or an origin. This causes a problem for incomplete basis sets.

Orca by default uses so-called GIAO, or gauge-independent atomic orbitals to get over this problem.

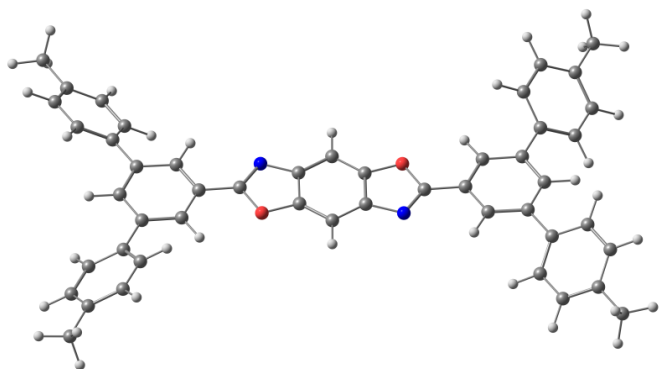
This adds a lot of math to the Coupled Perturbed equations but is worth the result!

For more information, see here:

McNeely, J., Rogachev, A.Y. Theoretical investigation of the record ^7Li -NMR chemical shift in new sandwich-like aggregates of corannulene. *Theor Chem Acc* 139, 35 (2020). <https://doi-org.ezproxy.bu.edu/10.1007/s00214-020-2549-4>



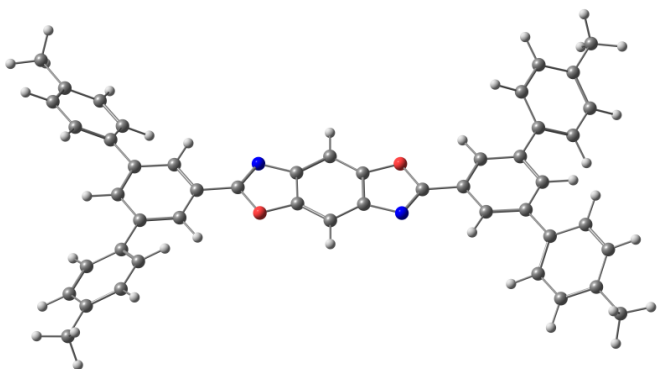
Running a Shielding Calculation (H)



```
! TPSSH DEF2-TZVP DEF2-TZVP/C TightSCF NMR
%pal nprocs 16 end
%maxcore 4500
*xyzFile 0 1 26m.xyz
%eprnmr
  NUCLEI = ALL H {SHIFT}
end
```



Running a Shielding Calculation (C)



```
! TPSSh DEF2-TZVP DEF2-TZVP/C TightSCF NMR  
%pal nprocs 16 end  
%maxcore 4500  
*xyzFile 0 1 26m.xyz  
%eprnmr  
  NUCLEI = ALL C {SHIFT}  
end
```



NMR Theory

For the J-coupling, we have:

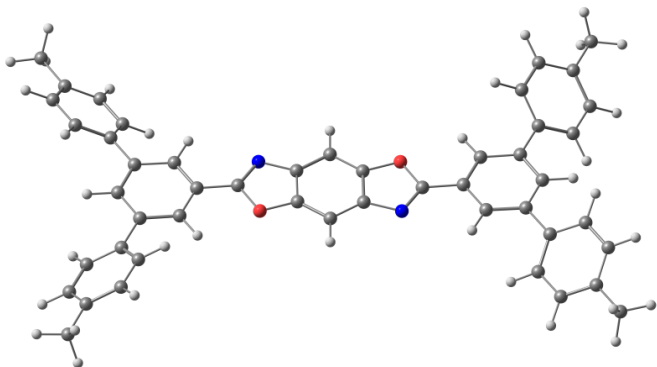
$$E = \boldsymbol{\mu}_A K_{AB} \boldsymbol{\mu}_B \quad K_{AB} = \left. \frac{\partial^2 E}{\partial \boldsymbol{\mu}_B \partial \boldsymbol{\mu}_A} \right|_{\boldsymbol{B}=0, \boldsymbol{\mu}_A=0}$$

The operators that end up contributing are the orbital paramagnetic, Fermi contact, and spin dipole, and orbital diamagnetic:

$$E^{11} = \langle \psi^{01} | \hat{H}^{10} | \psi^0 \rangle + \langle \psi^0 | \hat{H}^{10} | \psi^{01} \rangle$$



Running a Coupling Calculation (H)



```
! TPSSh DEF2-TZVP DEF2-TZVP/C TightSCF NMR
%pal nprocs 16 end
%maxcore 4500
*xyzFile 0 1 26m.xyz
%eprnmr
  NUCLEI = ALL H {SSALL}
end
```



Looking at Results

less +G nmr.out

```
-----  
NUCLEUS A = H      82  NUCLEUS B = H      83  
(  1H  gnA =  5.586   1H  gnB =  5.586) r(AB) =      3.1909  
-----  
  
Diamagnetic contribution to J (Hz):  
   -0.7048         2.9982         0.7767  
    0.7144         1.4881         1.6823  
   -0.1263        -1.8876        -1.4957  
  
Paramagnetic contribution to J (Hz):  
    0.4298        -2.2123        -0.6554  
   -0.4226        -0.8766        -1.4357  
    0.1363         1.4003         1.0288  
  
Fermi-contact contribution to J (Hz):  
   -1.5955         0.0000         0.0000  
    0.0000        -1.5955         0.0000  
    0.0000         0.0000        -1.5955  
  
Spin-dipolar contribution to J (Hz):  
   -0.0003         0.0247        -0.0066  
    0.0053         0.0220         0.0256  
   -0.0238        -0.0247         0.0300  
  
Spin-dipolar/Fermi contact cross term contribution to J (Hz):  
   -0.1448         0.1304         0.1839  
    0.1304         0.2825        -0.0536  
    0.1839        -0.0536        -0.1381  
  
Total spin-spin coupling tensor J (Hz):  
   -2.0156         0.9410         0.2986  
    0.4275        -0.6795         0.2186  
    0.1700        -0.5657        -2.1704
```



Looking at Results

less +G nmr.out

```
-----  
Nucleus  87H :  
-----  
  
Diamagnetic contribution to the shielding tensor (ppm) :  
      32.610      0.866      -0.099  
      0.663      50.505      0.135  
      1.340      0.242      52.357  
  
Paramagnetic contribution to the shielding tensor (ppm):  
      -4.282      -1.146      0.148  
      -0.958      -24.620     -0.127  
      -1.593      -0.240     -34.891  
  
Total shielding tensor (ppm):  
      28.327      -0.280      0.049  
      -0.294      25.886      0.008  
      -0.253      0.002      17.466  
  
Diagonalized sT*s matrix:  
  
sDS0      52.364      50.443      32.665  iso=  45.157  
sPS0      -34.899     -24.591     -4.304  iso= -21.264  
-----  
Total      17.465      25.852      28.361  iso=  23.893  
  
Orientation:  
X      0.0060639    -0.1150740    0.9933384  
Y     -0.0003356    -0.9933569   -0.1150741  
Z      0.9999816     0.0003644   -0.0060622
```



Recommendations for NMR Calculations

These are my personal functional recommendations:

- PBE0 has long been recommended for NMR.
- Many groups also like the TPSSh functional.
- If you have the resources:
 - DSD-PBEP86 with the pcSseg-2 basis set