

Generalized Gradient Approximation Exchange Energy Functional with Near-Best Semilocal Performance

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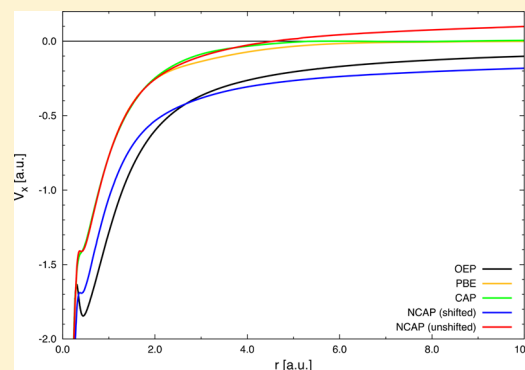
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S Supporting Information

ABSTRACT: We develop and validate a nonempirical generalized gradient approximation (GGA) exchange (X) density functional that performs as well as the SCAN (strongly constrained and appropriately normed) meta-GGA on standard thermochemistry tests. Additionally, the new functional (NCAP, nearly correct asymptotic potential) yields Kohn–Sham eigenvalues that are useful approximations of the density functional theory (DFT) ionization potential theorem values by inclusion of a systematic derivative discontinuity shift of the X potential. NCAP also enables time-dependent DFT (TD-DFT) calculations of good-quality polarizabilities, hyper-polarizabilities, and one-Fermion excited states without modification (calculated or ad hoc) of the long-range behavior of the exchange potential or other patches. NCAP is constructed by reconsidering the imposition of the asymptotic correctness of the X potential ($-1/r$) as a constraint. Inclusion of derivative discontinuity and approximate integer self-interaction correction treatments along with first-principles determination of the effective second-order gradient expansion coefficient yields a major advance over our earlier correct asymptotic potential functional [CAP; *J. Chem. Phys.* **2015**, *142*, 054105]. The new functional reduces a spurious bump in the CAP atomic exchange potential and moves it to distances irrelevantly far from the nucleus (outside the tail of essentially all practical basis functions). It therefore has nearly correct atomic exchange-potential behavior out to rather large finite distances r from the nucleus but eventually goes as $-c/r$ with an estimated value for the constant c of around 0.3, so as to achieve other important properties of exact DFT exchange within the restrictions of the GGA form. We illustrate the results with the Ne atom optimized effective potentials and with standard molecular benchmark test data sets for thermochemical, structural, and response properties.



I. INTRODUCTION

Pursuit of balance between accuracy and computational cost has driven the development of constraint-based exchange–correlation (XC) functionals to an emphasis on meta-generalized gradient approximation (meta-GGA) functionals, i.e., functionals that depend upon the electron density $n(\mathbf{r})$, its gradient, and the positive-definite Kohn–Sham (KS) kinetic energy density. Apparently, the most successful meta-GGA so far is SCAN (strongly constrained and appropriately normed).¹ A comparatively unexplored issue is to what extent a simple GGA functional can meet or exceed the performance of such a high-quality meta-GGA on standard tests. We and colleagues^{2–5} have explored the GGA rung of the Perdew–Schmidt ladder XC functionals⁶ because such functionals have great computational utility, they are intrinsically relevant to

orbital-free density functional theory,⁷ and they typically are an essential ingredient in higher rung XC functionals. By now it is incontrovertible that a constraint-based, nonempirical GGA can be constructed which is substantially superior^{8–12} to the most popular one¹³ on many standard molecular tests and always is competitive on such tests.

Heretofore no one has found rational design principles which yield a GGA that performs systematically almost as well as a modern meta-GGA on those common benchmarks. In this work, we achieve that goal. In the bargain, we provide a functional that also supports time-dependent DFT (TD-DFT) calculations of response properties (e.g., polarizabilities and

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hyper-polarizabilities) and one-electron excited states without alteration or long-range patching. The new functional also provides highest occupied molecular orbital (HOMO) energies that are reasonable approximations of the DFT ionization potential theorem.^{14–17} To our knowledge no existing constraint-based meta-GGA achieves all three of those objectives. (Semiempirical XC functionals are not included in this discussion.)

Prior exploration^{2–5} of GGA performance limitations has brought inherent ambiguities into focus. No GGA X functional can satisfy all the known X functional constraints, so progress depends on insightful choice. Furthermore, most constraints are for arbitrarily small or asymptotically large values of the reduced density gradient s in the usual GGA X expression¹⁸

$$E_X^{\text{GGA}}[n] = \int n(\mathbf{r}) \varepsilon_X^{\text{LDA}}(n(\mathbf{r})) F_X(s) d\mathbf{r} \quad (1)$$

Here $\varepsilon_X^{\text{LDA}}(n(\mathbf{r})) = A_X(n(\mathbf{r}))^{1/3}$ is the LDA¹⁹ for the exchange energy per particle, $A_X = -3(3\pi^2)^{1/3}/4\pi$, and $s(\mathbf{r}) = |\nabla n(\mathbf{r})|/2k_F(\mathbf{r})n(\mathbf{r})$, is the exchange reduced density gradient with $k_F = (3\pi^2 n(\mathbf{r}))^{1/3}$. For both small- and large- s regimes, there are incompatible constraints. Most relevant to the present discussion, there are contradictory constraints for $s \rightarrow \infty$.^{2,4,5,13,18,20–26} Interpolation of $F_X(s)$ between the small- and large- s limits thus is inherently ambiguous; hence, many different GGAs have been contrived.

In ref 2 we presented the CAP (correct asymptotic potential) GGA. It was designed to achieve a balanced description of thermodynamic, kinetic, and structural molecular properties, and also of excitation energies, polarizabilities, and hyper-polarizabilities as measured by errors relative to standard data sets. For brevity we call the latter group “response properties and excitation energies”. Popular GGA X functionals, e.g., PBE,¹³ were designed primarily for the former properties, hence, on details of $F_X(s)$ on $0 \leq s \leq 3$. Such functionals have atomic X potentials that vanish improperly rapidly with radial distance. But response properties and excitation energies calculated via TD-DFT^{27,28} require proper $-1/r$ decay. That forces $F_X(s)$ to diverge as $s \rightarrow \infty$. Therefore, the CAP enhancement factor was constructed to have a strong resemblance to the PBE enhancement factor on $0 \leq s \leq 3$ coupled with $F_X(s) \rightarrow (4\pi/3)s$ as $s \rightarrow \infty$.

The CAP X functional combined with the PBE C functional (“CAP-PBE”) gives quite good performance on a wide variety of standard molecular tests.² Even better, when used with Born–Oppenheimer MD to treat temperature effects, it also does well on molecular response properties.³ But it has two peculiarities that actually open a route to major improvement. First, the CAP X potential goes positive for moderately large distances (of the order 5–6 au) from an atomic nucleus; then it goes back to negative and evolves to the asymptotic $-1/r$ far from the origin (see figures in ref 2). In a finite \mathcal{L}^2 basis set, that positive bump stabilizes the lowest unoccupied molecular orbital (LUMO) even though it actually is a scattering state. Relative to an ordinary GGA value (e.g., from PBE), the LUMO energy thus goes up and the HOMO–LUMO gap is enlarged. That helps to improve the description of response properties and excitation energies. A similarly unphysical bump occurs in a GGA functional reported²⁶ shortly after ref 2. That functional scales the PBE GGA enhancement factor by an s -dependent factor that conforms to the $-1/r$ constraint. The scale factor was parametrized to experimental data on formaldehyde. In addition to having a bump, the resulting

GGA X potential v_X also goes positive at large r . Earlier, Armiento and Kümmel²⁵ had introduced a GGA X functional, AK13, also designed to recover $-1/r$ behavior, hence also with a divergent enhancement factor, namely

$$F_X^{\text{AK13}}(s) = 1 + B_1^{\text{AK13}} s \ln(1 + s) + B_2^{\text{AK13}} s \ln[1 + \ln(1 + s)] \quad (2)$$

The KS orbitals and X potential from AK13 (used with PBE C) have several desirable properties but the AK13 energetics errors (e.g., in heats of formation) are not competitive with ordinary GGAs,^{29–32} much less with highly evolved ones such as lsRBE-PW91.⁴ AK13 also generates a small upward bump in, for example, the H atom v_X about where the v_X^{CAP} bump is but it comes from the $B_2^{\text{AK13}} s \ln[1 + \ln(1 + s)]$ term, a form not in F_X^{CAP} . Somewhat related behavior was found in the construction³³ of an approximate X hole via analysis of the weighted density approximation. When evaluated in the X-only case, the asymptotic behavior of the exchange potential they obtained goes as $(-\text{constant}/r)$ with the constant in the range (0.5, 1].

The ambiguity of near-optimal GGA choice also has obscured an opportunity. For example, lsRPBE-PW91⁴ is a PW91-like GGA X functional that, together with PW91 C,³⁴ delivers thermochemistry benchmark performance generally competitive with CAP-PBE. But for heats of formation, lsRPBE-PW91 is superior: mean absolute deviation (MAD) of 7.51 kcal/mol versus 9.23 kcal/mol for CAP-PBE. Thus, lsRPBE-PW91 is competitive with meta-GGAs and some semiempirical hybrid functionals: PBE and B3LYP values are 21.2 and 5.7 kcal/mol, respectively. But the lsRPBE-PW91 parametrization did not use the large- s constraint that corresponds to the $-1/r$ decay of $v_X(r)$, so lsRPBE-PW91 response property errors are like those of other GGAs parametrized with the same design choice and thus are inferior to CAP-PBE errors; see ref 3. The second unresolved issue therefore is if a GGA functional can combine the successes of lsRPBE-PW91 and CAP-PBE or whether, instead, one must have one type of GGA for response properties and excitation energies, and another for thermodynamic, kinetic, and structural molecular properties.

The functional presented here resolves both issues. In what follows, we outline the analysis of GGA sources of asymptotic $-1/r$ behavior, the prioritization and use of applicable constraints (including approximate correction for derivative discontinuity and imposition of the DFT ionization potential theorem^{14–17}), details of computational methods for testing, and outcomes of testing.

II. EXCHANGE ENERGY FUNCTIONAL CONSTRUCTION

As discussed in the Supporting Information, $-1/r$ behavior in an atomic GGA X potential arises both structurally from the spherical coordinate Jacobian and from the asymptotic form of the atomic density,^{16,35,36} which very far from the nucleus is dominated by the exponential decay,

$$n(r) \xrightarrow[r \rightarrow \infty]{} n_0 e^{-\lambda r} \quad \lambda = 2\sqrt{-2\varepsilon_{\text{HOMO}}} \quad (3)$$

where n_0 is a system-dependent normalization constant and $\varepsilon_{\text{HOMO}}$ is the HOMO eigenvalue. Substitution of this density form in the GGA $v_X^{\text{GGA}}([n]; \mathbf{r})$ expression, retention of leading derivative terms, and imposition of equality with $-1/r$ give a

second-order differential equation for F_X at large s . A structural contribution arises from the simplest candidate solution, $F_X(s) \xrightarrow{s \rightarrow \infty} C_0 s$ with C_0 a constant,²¹

$$v_X^{\text{GGA}}([n]; \mathbf{r}) \xrightarrow{r \rightarrow \infty} -\frac{3C_0}{4\pi r} \quad (4)$$

independent of the asymptotic density decay. A second candidate is $F_X(s) \xrightarrow{s \rightarrow \infty} C_1 s \ln s$. With $C_1 = C_0$ and λ from (3), one has

$$v_X^{\text{GGA}}([n]; \mathbf{r}) \xrightarrow{r \rightarrow \infty} \left(\frac{\sqrt{-2\varepsilon_{\text{HOMO}}}}{3} - \frac{1 + C_A}{r} \right) \quad (5)$$

where $C_A = \ln(\sqrt{-2\varepsilon_{\text{H}}}/(3\pi^2 n_0)^{1/3})$.

The potential shift in (5) has been discussed for the AK13 functional.^{25,29–32} It is related in both cases to the derivative discontinuity of the KS potential.^{14,15,17,37,38} Note that the actual $-(1 + C_A)/r$ has two contributions, $-1/r$ that has a structural origin and $-C_A/r$ that comes from the asymptotic behavior of the density.

The most obvious enhancement factor obtainable from eqs 4 and 5 is a simple linear combination

$$F_X^{\text{trial}}(s) = \frac{4\pi}{3} [(1 - \zeta)s \ln(1 + s) + \zeta s] \quad (6)$$

$$v_X^{\text{trial}}([n]; \mathbf{r}) \xrightarrow{r \rightarrow \infty} v_X^{\text{trial}}(\varepsilon_{\text{HOMO}}, \zeta) - \frac{(1 - \zeta)C_A}{r} - \frac{1 - \zeta}{r} - \frac{\zeta}{r} \quad (7)$$

with ζ a constant. This form is set entirely by asymptotics without regard to small- s behavior, in particular the coefficient in $F_X^{\text{trial}}(s) = 1 + \mu s^2 + \dots$. It is unsurprising therefore that (6) does badly on standard thermochemistry tests.

A GGA enhancement factor form that incorporates the foregoing limiting behavior approximately yet behaves like a successful GGA (e.g., lsRPBE) at small and intermediate s and has the proper small- s limit is

$$F_X^{\text{NCAP}}(s) = 1 + \mu \tanh(s) \sinh^{-1}(s) \times \frac{1 + \alpha((1 - \zeta)s \ln(1 + s) + \zeta s)}{1 + \beta \tanh(s) \sinh^{-1}(s)} \quad (8)$$

with ζ , μ , α , and β all to be fixed. To have the proper constants asymptotically in s requires

$$\alpha = \frac{4\pi\beta}{3\mu} \quad (9)$$

There are several constraint-based values of μ , ranging from^{13,39,40} $10/81 = 0.12345679$ to 0.26 . For brevity we refer to ref 2 and choose the PBE value¹³ $\mu = 0.219514973$ on the basis of its performance in predicting the G3/99 test set⁴¹ heats of formation (see below). The parameters β and ζ are determined by appealing to two exact DFT results imposed for the exact H atom density n_{H} . First, exact X must cancel the classical Coulomb repulsion,⁴²

$$E_X[n_{\text{H}}] = -E_{\text{Coul}}[n_{\text{H}}] = -0.3125 \quad (10)$$

to remove the integer self-interaction error exactly for H and approximately otherwise. Second, the H eigenvalue must satisfy the DFT ionization potential theorem¹⁷

$$\varepsilon_{\text{H}} = -1/2 = \varepsilon_{\text{u,HOMO}}^{\text{NCAP}}[n_{\text{H}}] - v_X^{\text{NCAP}}(\varepsilon_{\text{u,HOMO}}^{\text{NCAP}}, \zeta) \quad (11)$$

Here the “u” subscript denotes the value from the unshifted potential (for general β and ζ), which in agreement with eq 7 goes to the asymptotic constant²⁵

$$\lim_{|r| \rightarrow \infty} v_X^{\text{NCAP}}([n]; \mathbf{r}) = \frac{A_X^2 Q_X^2}{2} \left(1 + \sqrt{1 - \frac{4\varepsilon_{\text{u,HOMO}}^{\text{NCAP}}}{A_X^2 Q_X^2}} \right) \quad (12)$$

with A_X as defined in eq 1, $Q_X = (2^{1/2}/3(3\pi^2)^{1/3})C$, and $C = 4\pi(1 - \zeta)/3$. The shift is the H atom derivative discontinuity.¹⁷ These constraints yield $\beta = 0.018085697$ and $\zeta = 0.304121419$.

With this value of ζ one finds, according to eq 7 with $v_X^{\text{NCAP}}(\varepsilon_{\text{u,HOMO}}, \zeta)$ instead of $v_X^{\text{trial}}(\varepsilon_{\text{HOMO}}, \zeta)$, that for the hydrogen atom ground state

$$v_X^{\text{NCAP}}([n]; \mathbf{r}) \xrightarrow{r \rightarrow \infty} 0.23196 - 0.31885/r \quad (13)$$

It is expected that for any finite system in the far asymptotic region the values of these constants will be around the hydrogen atom values. Thus, the new exchange enhancement factor is denoted NCAP (nearly correct asymptotic potential) because it goes as $-c/r$ with an estimated value for the constant c of about 0.3. In Figure 1 we present the plot of

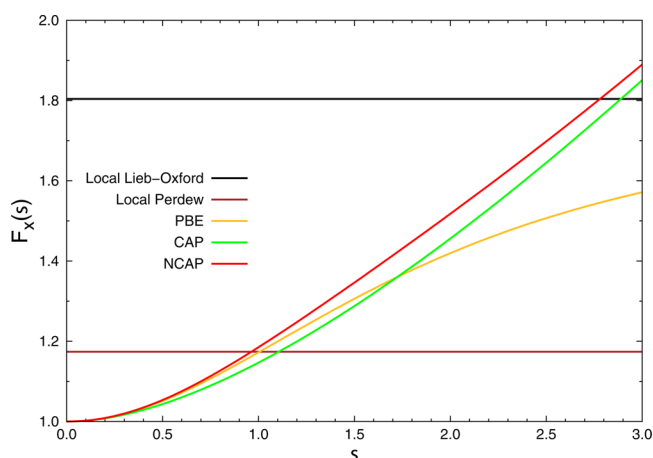


Figure 1. Comparison of $F_X^{\text{NCAP}}(s)$ enhancement factor with the original CAP version and that of PBE. Also shown are the values of the local Lieb–Oxford⁶³ and Perdew et al.⁶⁴ bounds.

several enhancement factors in the interval $0 \leq s \leq 3$, which corresponds to the physically important region for the total energy.^{5,43–45} One can see that in this interval $F_X^{\text{NCAP}}(s)$ generally lies modestly above the original $F_X^{\text{CAP}}(s)$, while below $s \approx 1.25$, $F_X^{\text{NCAP}}(s)$ closely resembles $F_X^{\text{PBE}}(s)$.

The unshifted and shifted X potentials are $v_{X,u}^{\text{NCAP}}([n]; \mathbf{r}) = \delta E_X[n]/\delta n(\mathbf{r})$ and $v_X^{\text{NCAP}}([n]; \mathbf{r}) = v_{X,u}^{\text{NCAP}}([n]; \mathbf{r}) - v_X^{\text{DD}}(\varepsilon_{\text{u,HOMO}}^{\text{NCAP}}, \zeta)$. Figure 2 displays both of those together with the PBE X potential (the three of them calculated numerically with a modified version of the Herman–Skillman⁴⁶ code) for Ne compared to an optimized effective potential (OEP).^{47,48} There is a clear improvement compared to PBE in both shape and absolute magnitudes, especially around the shell-structure kink. Note, however, that the NCAP potential tends to $-1/r$ behavior more slowly than the OEP. A proof⁴⁹ that the X potential must go asymptotically to zero substantiates the correctness of the NCAP shift. In contrast, the so-called potential adjusters (e.g., ref 50) introduce only a shift and do

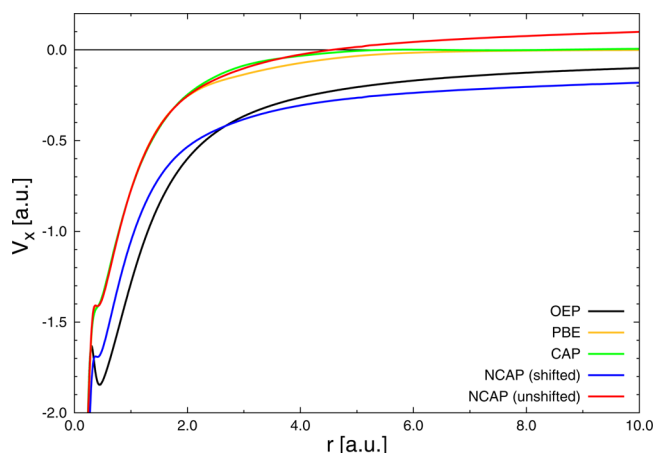


Figure 2. Exchange potential for Ne atom before and after shift of NCAP compared with the OEP, PBE, and original CAP (all unshifted).

not alter the shape of v_X . Regional splicing procedures^{51–53} and Fermi–Amaldi based schemes^{54,55} both shift and alter v_X but at the cost of it not being a functional derivative of a proper E_X .

An interesting comparison involves the hydrogen atom, for which Gill and Pople⁵⁶ gave a GGA with correct v_X . In Figure 3

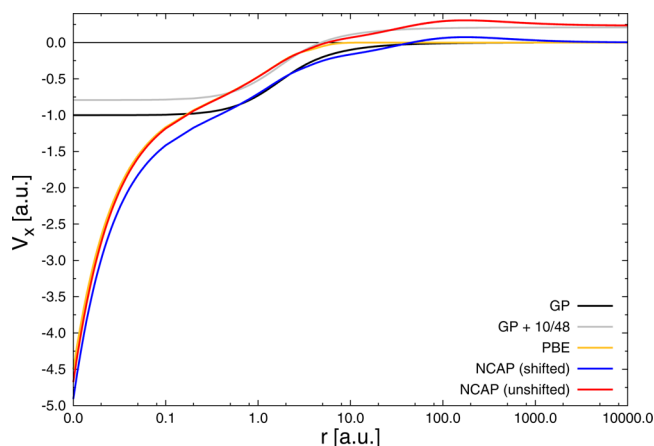


Figure 3. Comparison of the Gill and Pople exact exchange potential for the hydrogen atom with PBE and NCAP unshifted and shifted. In the plot one can also see the modification of Tozer to the Gill and Pople exchange potential (see text).

it can be seen that from about $r \sim 0.5$ au there is good agreement with the shifted NCAP v_X . In this figure one also can recognize that the new functional reduces a spurious bump in the CAP atomic exchange potential (see Figure 8b in ref 2) and moves it to distances irrelevantly far from the nucleus ($r \sim 100.0$ au). However, the X enhancement factors differ critically: $F_X^{\text{Gill–Pople}}$ is negative for s below about 0.1 and above about 1.8. The dominant contributions for an X GGA come in the region $0 \leq s \leq 3$.^{5,43–45} For more than half that region, therefore, $F_X^{\text{Gill–Pople}}$ is qualitatively wrong. This illustrates the limitations arising when incompatible exact constraints are enforced in designing a GGA. The Gill–Pople functional works for the H atom but is completely incorrect for all other systems.

Tozer⁵⁷ considered a local hydrogenic and a Fermi–Amaldi model to obtain positive shifts of $10Z/48$ and $5Z/16$, respectively (Z is the nuclear charge), of the Gill–Pople

potential for the H isoelectronic series. This was done to obtain an asymptotically nonvanishing potential. His first scheme, which gives $10/48$ hartree for the atomic H shift, agrees rather well with the nonvanishing unshifted NCAP potential, as shown in Figure 3.

NCAP nearly meets a sum-rule constraint that most GGA X functionals do not,⁵⁸ namely, $\int \nabla^2 v_X([n]; \mathbf{r}) d\mathbf{r} = 4\pi$. The reason is that this sum rule is essentially electrostatic in character.⁵⁹ However, as we have discussed, the asymptotic behavior of the exchange potential is given by $v_X([n]; \mathbf{r}) \xrightarrow{r \rightarrow \infty} -c/r$, where c has a value around 0.3, and because NCAP is singular at the nucleus, which implies that there is an additional point charge contribution,⁶⁰ in the present case, the sum rule is given by $\int \nabla^2 v_X([n]; \mathbf{r}) d\mathbf{r} = 4\pi(c + c_{\text{nuc}})$, where $c_{\text{nuc}} = -\lim_{r \rightarrow 0} r v_X([n]; \mathbf{r})$. Thus, while for most GGAs this integral is equal to zero, because their exchange potential decays faster than r^{-1} , in the case of NCAP the constraint is nearly satisfied, since the integral is equal to a constant but not the exact one.

Having imposed constraints and behaviors solely related to X, what is needed for correlation is a GGA developed with regard to constraints on correlation alone. The Perdew-86 functional⁶¹ fills that need; hence we adopt it without change. For brevity, throughout the remaining discussion “NCAP” denotes the combination of NCAP X and Perdew-86 C.

III. RESULTS AND VALIDATION

Values reported here were calculated with a modified version of NWChem 6.5⁶² with the basis set choices, and databases described in refs 2 and 42, unless otherwise noted.

Because $F_X^{\text{NCAP}}(s)$ diverges as $s \rightarrow \infty$, it is possible that $E_{\text{XC}}^{\text{NCAP}}$ energy could violate the Lieb–Oxford bound.⁶³ As detailed in the Supporting Information, for none of a set of 492 molecules does that happen for the global bound. In fact, even the far stricter bound of ref 64 is obeyed.

For comparison of the performance of the new XC functional with respect to others, we followed Jacob’s ladder.⁶ Thus, we included the LSDA^{19,65} at the first level, two additional GGAs, the original CAP² and PBE,¹³ at the second, SCAN¹ at the meta-GGA level, and B3LYP^{20,66–69} and CAM-B3LYP⁷⁰ at the hyper-GGA level. The first four together with NCAP are nonempirical, while the last two are empirical.

Table 1 shows the mean average deviation (MAD) for some noble gas atoms (mean deviations, MD, are given in the Supporting Information), with respect to accurate values of the X and C energies from refs 71 and 72. The X energy values were determined through an XC calculation using the universal Gaussian basis set.⁷³ One sees that NCAP yields a better

Table 1. MAD for the Exchange, Correlation, and Exchange–Correlation Energies of the Noble Gas Atoms Ne, Ar, Kr, and Xe in Hartrees

	E_X	E_C	E_{XC}
LSDA	4.35	1.17	3.18
PBE	0.41	0.06	0.46
CAP	0.98	0.06	1.04
NCAP	0.20	0.14	0.07
SCAN	0.14	0.07	0.08
B3LYP	0.38	0.27	0.11
CAM-B3LYP	0.17	0.16	0.02

description of the X energies by approximately a factor of 2 with respect to PBE and B3LYP and comes very close to the CAM-B3LYP, SCAN, and exact values.

Table 2 shows the MADs for several molecular properties using test sets designed specifically for each of them. For heats

Table 2. MAD for the Heats of Formation of the G3 Set in kcal/mol (223 Molecules), Barrier Heights of the BH76 Set of Reactions in kcal/mol, Binding Energy of Weakly Bonded Systems of the WB31 Set in kcal/mol, Bond Distances of the T-96R Set in Å, and Dipole Moments of the Hait and Head-Gordon Set in Debyes (144 Molecules)

	G3	BH	WB	BD	DM
LSDA	118.3	15.5	3.6	0.082	0.159
PBE	21.2	9.9	1.6	0.018	0.153
CAP	9.2	7.6	2.7	0.022	0.141
NCAP	6.0	8.0	2.4	0.025	0.143
SCAN	5.1	8.6	1.6	0.009	0.089
B3LYP	5.7	5.9	1.2	0.011	0.075
CAM-B3LYP	3.2	3.7	1.0	0.014	0.067

of formation we used the G3/99 test set⁴¹ composed of 223 molecules. The NCAP, SCAN, and B3LYP heat of formation values are rather close; hence, NCAP provides a significantly better description than the other GGA functionals considered. For the barrier heights we used the forward and backward data for 19 hydrogen and 19 non-hydrogen transfer reactions in the HTBH38/04 and the NHTBH38/04 data sets, respectively.^{74–77} The MAD results for NCAP and SCAN are very similar. Both lie about 2 kcal above the B3LYP value. For the weakly bonded systems, we used the HB6/04,⁷⁸ CT7/04,⁷⁸ DI6/04,⁷⁸ WI7/05,⁷⁶ and PPS5/05⁷⁶ data sets (31 systems), NCAP does slightly worse (about 1 kcal above) than PBE and SCAN, which are close to B3LYP and CAM-B3LYP. Bond distances from the T-82F⁷⁹ data set show that NCAP is slightly worse than PBE and SCAN, which leads to the best values for this property, even better than B3LYP and CAM-B3LYP, which are slightly better than the GGAs. Finally, Hait and Head-Gordon⁸⁰ recently have suggested that the dipole moment can be used to assess the quality of the electronic density and developed a data set with 152 molecular values for that purpose. With an aug-pc-4 basis set, in the last column of Table 2 one can see that NCAP behavior on this test is only slightly worse than SCAN, which is very close to B3LYP and CAM-B3LYP. In the Supporting Information we report the results for each molecule considered in Table 2. Also we include other properties and other tests for the density.⁸¹

An important test of the eigenvalues is related to the ionization potential theorem,^{16,17} which states that for the exact XC functional, the KS HOMO eigenvalue of a finite system is the negative of the ionization potential, $\epsilon_{\text{HOMO}} = -I$. Table 3 displays results for this test on the noble gas atoms. Hartree–Fock HOMO eigenvalues and experimental first *I* values^{82–85} also are shown. The NCAP eigenvalues correspond to the shifted potential. On this test, the NCAP MAD is better than for any other functional, by slightly more than 30% against CAM-B3LYP and by more than a factor of 2 for all the others. A related comparison with a system-dependent XC functional with the correct asymptotic behavior developed by Gledhill and Tozer⁸⁶ is shown in the Supporting Information.

The other major aspect of interpretation and use of KS eigenvalues comes from the fact that NCAP is parametrized to

Table 3. Comparison of the HOMO Eigenvalue with the Experimental Ionization Potential (IP) in eV for Some of the Noble Gases^a

	Ne	Ar	Kr	Xe	MAD
LSDA	13.56	10.40	9.42	8.42	5.41
PBE	13.35	10.29	9.28	8.28	5.57
CAP	13.11	10.13	9.15	8.17	5.73
NCAP	21.19	17.44	16.19	14.92	1.76
SCAN	14.00	10.73	9.69	8.62	5.11
B3LYP	15.65	11.67	10.47	9.28	4.10
CAM-B3LYP	17.67	13.48	12.19	10.89	2.31
Hartree–Fock	23.14	16.08	14.26	12.44	0.62
exp IP	21.57	15.76	14.00	12.13	

^aThe values for NCAP correspond to the shifted exchange potential.

treat the H atom derivative discontinuity correctly and the resulting NCAP potential shift applies to all its eigenvalues. Thus, the unphysical positive LUMO energies that plague all the other functionals are absent in shifted NCAP (See Supporting Information), although HOMO–LUMO eigenvalue differences are similar to those predicted by the other functionals.

In addition, an advantage over all other GGAs is the concurrent applicability of NCAP, *unaltered*, to accurate molecular excitation energies and response property calculations such as static and dynamic polarizabilities and hyperpolarizabilities, determined from TDDFT.^{27,28}

In Table 4 we present the MAD with respect to experimental values^{87–91} that results from the calculation for valence and

Table 4. MAD for 17 Valence and 23 Ry Excitation Energies in eV for a Test Set with Four Molecules^a

	valence	Rydberg	total
LSDA	0.30	1.29	0.87
PBE	0.35	1.47	1.00
CAP	0.32	1.25	0.86
NCAP	0.26	0.64	0.48
B3LYP	0.40	0.88	0.68
CAM-B3LYP	0.42	0.46	0.44

^aThe values for NCAP correspond to the unshifted exchange potential.

Rydberg excitation energies. The molecules considered were N₂ (8 v, 2 R), CO (4 v, 6 R), CH₂O (3 v, 7 R), and C₂H₄ (2 v, 8 R); the quantities in parentheses indicate the number of valence and Rydberg states calculated. One can see that NCAP leads to a better description than the other GGAs and B3LYP, and a description similar to that from CAM-B3LYP. Recent calculations of Rydberg states with SCAN⁹² show trends very similar to the ones obtained with NCAP with respect to the ones obtained with other GGA functionals.

For the static and dynamic polarizabilities we have done calculations using time-dependent auxiliary density perturbation theory^{93–97} with a locally modified version of the code deMon2k 4.4.4,⁹⁸ on a test set formed by 12 molecules with a total of 62 values, 12 for the static case, and 50 for the dynamic case (see Supporting Information) for which there are accurate wave function-based calculations reported.^{99,100} The MAD in au with respect to those accurate values is 4.44 for LSDA, 2.25 for PBE, 1.92 for CAP, and 1.74 for NCAP, which shows that the proposed X functional leads to the best results.

It is important to note that while there is some resemblance of NCAP design objectives and choices with those relevant to the AK13 functional,^{25,29–32} there are major differences in the two enhancement factors: compare eq 8 with eq 2. The consequence is that NCAP is a high-quality density functional in and of itself, as illustrated by the performance successes presented above in detail. In contrast, the AK13 functional does not deliver good energetics on its own and therefore must be used as a KS orbital generator for post-SCF LDA calculations.³⁰ NCAP achieves the goals of AK13 without its limitations.

IV. CONCLUDING REMARKS

To summarize, the NCAP GGA X functional requires no experimental parametrization, delivers a physically sensible X potential with approximately correct behavior at large finite distances, respects the global Lieb–Oxford bound in all cases considered thus far, delivers a potential shift that moves KS HOMO eigenvalues substantially closer to satisfaction of the ionization potential theorem than any other system-independent GGA, provides superior or competitive performance on standard thermochemical test sets, and provides performance on TD-DFT response properties equal to or better than GGAs patched for use in such calculations.

■ ASSOCIATED CONTENT

Supporting Information

The Supporting Information is available free of charge on the ACS Publications website at DOI: 10.1021/acs.jctc.8b00998.

Details of the derivation and characteristics of the exchange functional, augmented versions of the tables that appear in the article to report the MD and MAD, plot of satisfaction of the Lieb–Oxford bound by NCAP, comparison of NCAP-shifted HOMO eigenvalue with a system-dependent XC functional, comparison of the NCAP HOMO and LUMO shifted eigenvalues with those from other XC functionals, results for the individual molecules including enthalpies of formation, ionization potentials, electron and proton affinities, binding energies for weakly bonded systems, forward and backward H and non-H transfer reactions, bond lengths, vibrational frequencies, TDDFT valence and Rydberg excited states, integrated errors of density, gradient norm of the density, and Laplacian of the density, dipole moments, and polarizabilities (PDF)

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Notes

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