

物質科学のための計算数理 II

Numerical Analysis for Material Science II

10th: Density Functional Theory (3)

Dec. 14 (Fri)

Lecturer: Mitsuaki Kawamura (河村光晶)

Schedule (This semester W1, W2)

1. Sep. 28 (Fri) Guidance Y
2. Oct. 5 (Fri) Monte Carlo method O
3. Oct. 12 (Fri) Monte Carlo method O
4. Oct. 19 (Fri) Monte Carlo method O
5. Oct. 26 (Fri) Exact diagonalization Y
6. Nov. 2 (Fri) Exact diagonalization Y
7. Nov. 9 (Fri) Molecular dynamics O (1st report problem will be announced.)
8. Nov. 30 (Fri) Standard DFT code K
9. Dec. 7 (Fri) Density functional theory K
10. Dec. 14 (Fri) Density functional theory K
11. Dec. 21 (Fri) Density functional theory K
12. Dec. 25 (Tue) Density functional theory K (遠隔講義室)
13. Jan. 11 (Fri) (2nd)Report problem K

※ Lecturers: Y ... Yamaji, K ... Kawamura, O... Ohgoe

Schedule in this section (DFT)

1. Nov. 30 (Fri) Standard DFT code
 - First-principles calculation and Density functional theory (Lecture)
 - One-body Schrödinger eq. for periodic system and Bloch theorem (L)
 - Numerical solution of Kohn-Sham (one-body Schrödinger) eq. (L)
 - Hands-on DFT code (Tutorial)
 - Version control system : Git (T)
2. Dec. 7 (Fri) Kohn-Sham eq.
 - Plane-wave basis and Pseudopotentials (L)
 - Iterative eigenvalue solution method (L & T)
3. Dec. 14 (Fri) Self-Consistent loop
 - Hartree potential (Poisson eq.), Atomic potential, XC potential
 - Update (Broyden's method)
 - Visualization of grid data (T)
4. Dec. 21 (Fri) Total Energy
 - Total energy
 - Brillouin-zone integral (Tetrahedron method)
 - Coulomb potential for periodic point charge (Ewald sum)
5. Dec. 25 ([Tue](#)) Advanced subjects for productive calculation ([遠隔講義室](#))
 - Generalized gradient correction
 - Non-local pseudopotentials (Norm-conserving, ultrasoft, PAW)
 - Procedure
6. Jan. 11 (Fri) (2nd) Report problem, Question time

Today's Schedule

Kohn–Sham potential

Hartree term

(Pseudo) atomic potential

Exchange–correlation term

SCF loop (Solution of non–linear equation)

(Quasi) newton method

Broyden's method

Visualization of grid data

Xcrysden structure format (XSF)

DFT loop

Unit lattice vector
atomic position
pseudopotential file

$$\rho(r) = \frac{N}{V_{uc}}$$

Initial density is
uniform

$$v_{KS}[\rho](\mathbf{r})$$

$$\left(-\frac{(\nabla + \mathbf{k})^2}{2} + v_{KS}(\mathbf{r}) \right) u_{nk}(\mathbf{r}) = \varepsilon u_{nk}(\mathbf{r})$$

$$N = \frac{1}{V_{BZ}} \int_{BZ} d^3k \sum_{n=1}^{\infty} \theta(\varepsilon_F - \varepsilon_{nk})$$

$$\rho(\mathbf{r}) = \frac{1}{V_{BZ}} \int_{BZ} d^3k \sum_{n=1}^{\infty} |u_{nk}(\mathbf{r})|^2 \theta(\varepsilon_F - \varepsilon_{nk})$$

$|v_{KS,out}(\mathbf{r}) - v_{KS,in}(\mathbf{r})|^2$ is small ?

No

Yes

End
Output $v_{KS}(\mathbf{r})$
for post process

Kohn–Sham potential

$$\left(-\frac{(\nabla + \mathbf{k})^2}{2} + v_{KS}(\mathbf{r}) \right) u_{n\mathbf{k}}(\mathbf{r}) = \varepsilon u_{n\mathbf{k}}(\mathbf{r})$$

$$v_{KS}[\rho](\mathbf{r}) = v(\mathbf{r}) + v_H(\mathbf{r}) + v_{XC}[\rho](\mathbf{r})$$

Atomic (pseudo) potential :
$$v(\mathbf{r}) = \sum_{L=1}^{N_C} \sum_{s=1}^{N_s} \sum_{a=1}^{N_{s,a}} v_s(|\mathbf{r} - \boldsymbol{\tau}_{s,a} - \mathbf{R}_L|)$$

Hartree potential :
$$v_H(\mathbf{r}) = \int d^3r' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|}$$

Exchange–correlation potential :
$$v_{XC}[\rho](\mathbf{r}) = \frac{\delta E_{XC}[\rho]}{\delta \rho(\mathbf{r})}$$

Hartree potential (hartree_pot@rho_v.F90)

$$v_H(\mathbf{r}) = \int d^3r' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} = \sum_{L=1}^{N_C} \int_{uc} d^3r' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}' - \mathbf{R}_L|}$$

$$\tilde{v}_H(\mathbf{G}) = \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot\mathbf{r}}}{V_{uc}}} v_H(\mathbf{r}) = \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot\mathbf{r}}}{V_{uc}}} \sum_{L=1}^{N_C} \int_{uc} d^3r' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}' - \mathbf{R}_L|}$$

$$= \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot(\mathbf{r}-\mathbf{r}'-\mathbf{R}_L)}}{V_{uc}}} \sum_{L=1}^{N_C} \int_{uc} d^3r' \frac{\rho(\mathbf{r}') e^{-i\mathbf{G}\cdot\mathbf{r}'}}{|\mathbf{r} - \mathbf{r}' - \mathbf{R}_L|}$$

$$= \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot\mathbf{r}'}}{V_{uc}}} \rho(\mathbf{r}') \int d^3\mathbf{r} \frac{e^{-i\mathbf{G}\cdot\mathbf{r}}}{|\mathbf{r}|} = \tilde{\rho}(\mathbf{G}) \frac{4\pi}{|\mathbf{G}|^2}$$

$$v_H(\mathbf{r}) = \sum_{\mathbf{G}} e^{i\mathbf{G}\cdot\mathbf{r}} \tilde{v}_H(\mathbf{G})$$

8/23 Periodic atomic potential
(generate_vps@rho_v.F90)

$$v(\mathbf{r}) = \sum_{L=1}^{N_C} \sum_{s=1}^{N_s} \sum_{a=1}^{N_{s,a}} v_s(|\mathbf{r} - \boldsymbol{\tau}_{s,a} - \mathbf{R}_L|)$$

$$\tilde{v}(\mathbf{G}) = \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot\mathbf{r}}}{V_{uc}}} v(\mathbf{r}) = \int_{uc} d^3r e^{\frac{e^{-i\mathbf{G}\cdot\mathbf{r}}}{V_{uc}}} \sum_{L=1}^{N_C} \sum_{s=1}^{N_s} \sum_{a=1}^{N_{s,a}} v_s(|\mathbf{r} - \boldsymbol{\tau}_{s,a} - \mathbf{R}_L|)$$

$$= \sum_{s=1}^{N_s} \sum_{a=1}^{N_{s,a}} \frac{e^{-i\mathbf{G}\cdot\boldsymbol{\tau}_{s,a}}}{V_{uc}} \sum_{L=1}^{N_C} \int_{uc} d^3r e^{-i\mathbf{G}\cdot(\mathbf{r}-\boldsymbol{\tau}_{s,a}-\mathbf{R}_L)} v_s(|\mathbf{r} - \boldsymbol{\tau}_{s,a} - \mathbf{R}_L|)$$

$$= \sum_{s=1}^{N_s} F_s(\mathbf{G}) \tilde{v}_s(\mathbf{G}) \quad F_s(\mathbf{G}) \equiv \sum_{a=1}^{N_{s,a}} \frac{e^{-i\mathbf{G}\cdot\boldsymbol{\tau}_{s,a}}}{V_{uc}}$$

$$\tilde{v}_s(\mathbf{G}) \equiv \int d^3r e^{-i\mathbf{G}\cdot\mathbf{r}} v_s(|\mathbf{r}|) = 4\pi \int_0^\infty dr r^2 \frac{\sin(|\mathbf{G}|r)}{|\mathbf{G}|r} v_s(r)$$

$$v(\mathbf{r}) = \sum_{\mathbf{G}} e^{i\mathbf{G}\cdot\mathbf{r}} \tilde{v}(\mathbf{G})$$

Exchange-correlation potential in LDA (xc_pot@rho_v.F90)

$$v_{XC}^{LDA}(\rho(\mathbf{r})) = \varepsilon_{XC}(\rho(\mathbf{r})) + \rho(\mathbf{r}) \left. \frac{d\varepsilon_{XC}(\rho)}{d\rho} \right|_{\rho=\rho(\mathbf{r})} = \varepsilon_{XC}(\rho(\mathbf{r})) - \frac{r_s}{3} \frac{d\varepsilon_{XC}(\rho)}{dr_s}$$

$$\varepsilon_{XC}(\rho) = \varepsilon_X(\rho) + \varepsilon_C(\rho) \qquad \frac{4\pi}{3} r_s^3 = \frac{1}{\rho}$$

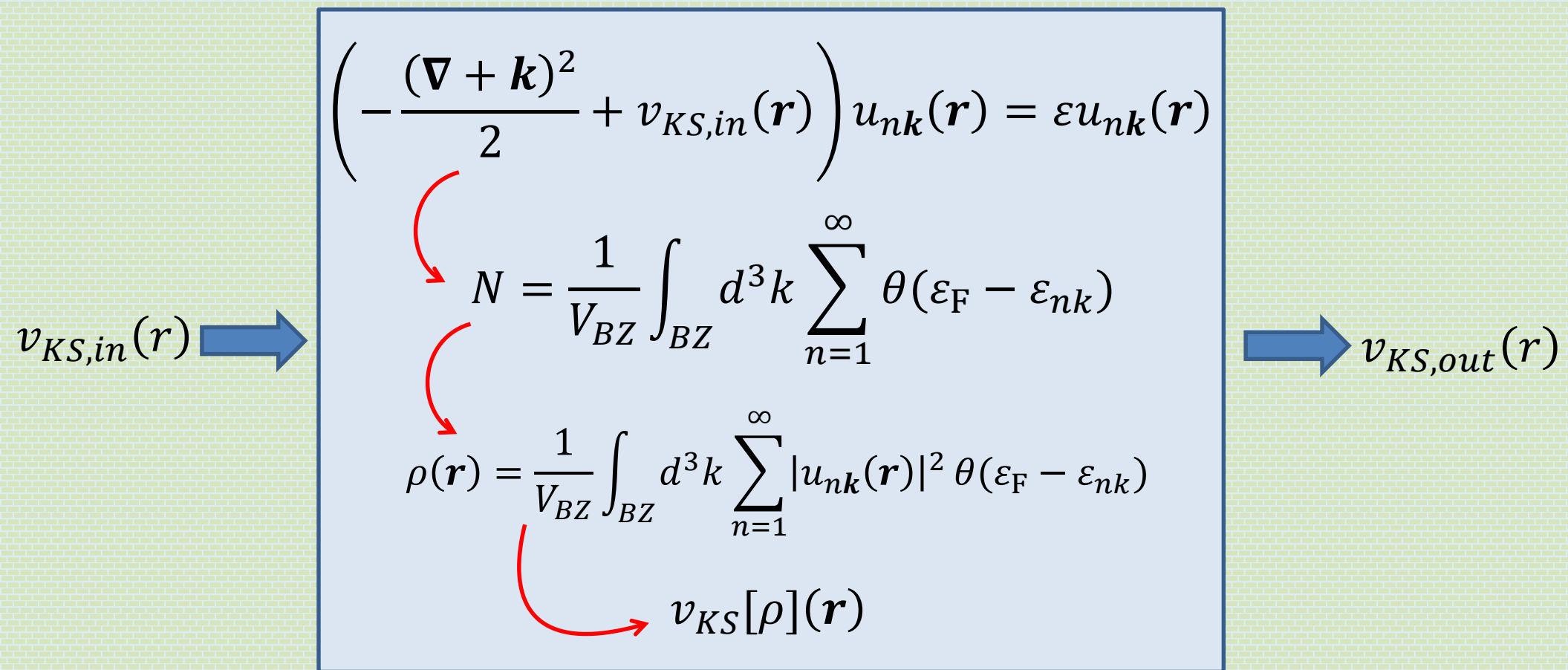
$$\varepsilon_X(\rho) = -\frac{3}{4\pi} \left(\frac{9\pi}{4} \right)^{1/3} \frac{1}{r_s}$$

$$\varepsilon_C(\rho) = -0.0480 + 0.031 \ln r_s - 0.0116 r_s + 0.0020 r_s \ln r_s \quad (r_s \leq 1)$$

$$= -\frac{0.1423}{1 + 1.0529\sqrt{r_s} + 0.3334r_s} \quad (r_s \geq 1)$$

J. P. Perdew and A. Zunger, Phys. Rev. B 23, 5048 (1981).

Update $v_{KS}(\mathbf{r})$



Plane mixing

$$v_{KS,new}(\mathbf{r}) = v_{KS,in}(\mathbf{r}) + \beta \left(v_{KS,out}(\mathbf{r}) - v_{KS,in}(\mathbf{r}) \right)$$

$$0 < \beta \leq 1$$

Broyden's method

$$F[v_{in}](\mathbf{r}) = v_{out}[v_{in}](\mathbf{r}) - v_{in}(\mathbf{r})$$

$$\mathbf{F}(\mathbf{v}) = \mathbf{v}_{out}(\mathbf{v}) - \mathbf{v}$$

$$\text{Solve } \mathbf{F}(\mathbf{v}) = \mathbf{0}$$

$$\mathbf{F}(\mathbf{v}) + \hat{\mathbf{J}}\Delta\mathbf{v} = \mathbf{0} \quad J_{ij} \equiv \frac{\partial F_i}{\partial v_j}$$

$$\Delta\mathbf{v}^{(m)} = -(\hat{\mathbf{J}}^{-1})^{(m)} \mathbf{F}^{(m)}$$

$$\mathbf{v}^{(m+1)} = \mathbf{v}^{(m)} + \Delta\mathbf{v}^{(m)}$$

Newton's method

Approximate $\hat{\mathbf{J}}^{-1}$, and update it iteratively \rightarrow Quasi Newton's method

$$\mathbf{F}^{(m)} - \mathbf{F}^{(m-1)} = (\hat{\mathbf{J}}_{approx}^{-1})^{(i)} (\mathbf{v}^{(m)} - \mathbf{v}^{(m-1)})$$

$$\text{Minimize } \left| (\hat{\mathbf{J}}_{approx}^{-1})^{(m)} - (\hat{\mathbf{J}}_{approx}^{-1})^{(m-1)} \right|^2$$

C. G. Broyden, Math. Comput. **19**, 577 (1965).

$$(\hat{\mathbf{J}}_{approx}^{-1})^{(m)} = (\hat{\mathbf{J}}_{approx}^{-1})^{(m-1)} + \frac{\left(\mathbf{v}^{(m+1)} - \mathbf{v}^{(m)} - (\hat{\mathbf{J}}_{approx}^{-1})^{(m-1)} (\mathbf{F}^{(m)} - \mathbf{F}^{(m-1)}) \right)}{(\mathbf{F}^{(m)} - \mathbf{F}^{(m-1)}) \cdot (\mathbf{F}^{(m)} - \mathbf{F}^{(m-1)})} (\mathbf{F}^{(m)} - \mathbf{F}^{(m-1)})^T$$

Practical algorithm (scf_loop@scf.F90)

do iteration : $m = 1, 2, 3, \dots$

 Compute $\mathbf{F}(\mathbf{v})$

 if $|\mathbf{F}|^2$ is small \rightarrow exit

 if $m > 1$

$$\Delta \mathbf{F} = \mathbf{F} - \mathbf{F}_{old}$$

$$\mathbf{J}_1^{(m)} = \beta \Delta \mathbf{F} + \Delta \mathbf{v} - \sum_{n=2}^{m-1} \left(\mathbf{J}_2^{(n)} \cdot \Delta \mathbf{F} \right) \mathbf{J}_1^{(n)}$$

$$\mathbf{J}_2^{(m)} = \frac{\Delta \mathbf{F}}{\Delta \mathbf{F} \cdot \Delta \mathbf{F}}$$

end if

$$\Delta \mathbf{v} = \beta \mathbf{F} - \sum_{n=2}^m \left(\mathbf{J}_2^{(n)} \cdot \mathbf{F} \right) \mathbf{J}_1^{(n)}$$

$$\mathbf{F}_{old} = \mathbf{F}$$

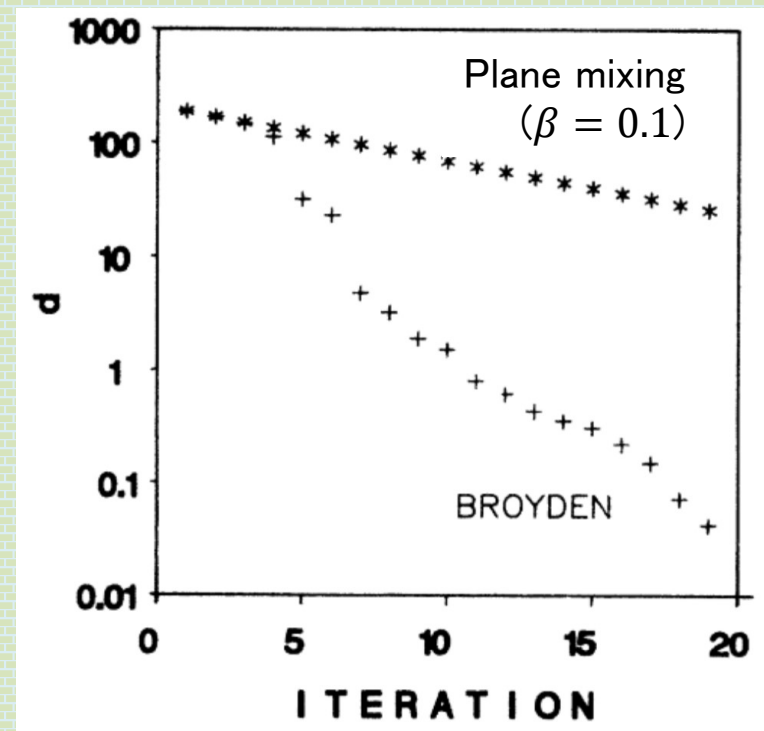
$$\mathbf{v} = \mathbf{v} + \Delta \mathbf{v}$$

end do

G. P. Srivastava, J. Phys. A: Math. Gen. 17, L317 (1984).

G. P. Srivastava J. Phys. A: Math. Gen. 17, 2737 (1984).

$$\left(\hat{J}_{approx}^{-1} \right)^{(m)} = -\beta + \sum_{n=2}^m \mathbf{J}_1^{(n)} \mathbf{J}_2^{(n)T}$$



W(001) surface

D. Singh, *et al*, Phys. Rev. B 34, 8391, (198).

Tutorial

```
$ cd ~/pwdft/
$ git checkout master
$ git pull
$ make clean; make
$ cd sample/Al/
$ ../../src/pwdft.x < scf.in
```

```
Iteration           1
  Average LOBPCG steps :           20
  delta Vks [eV] :    2.7895180896787383E-003
Iteration           2
  Average LOBPCG steps :           8
  delta Vks [eV] :    1.9722767387705393E-003
Iteration           3
  Average LOBPCG steps :           9
  delta Vks [eV] :    3.3737045076316851E-005
Iteration           4
  Average LOBPCG steps :           1
  delta Vks [eV] :    2.3594012412709303E-005
Iteration           5
  Average LOBPCG steps :           2
  delta Vks [eV] :    1.0001898370361127E-006
```

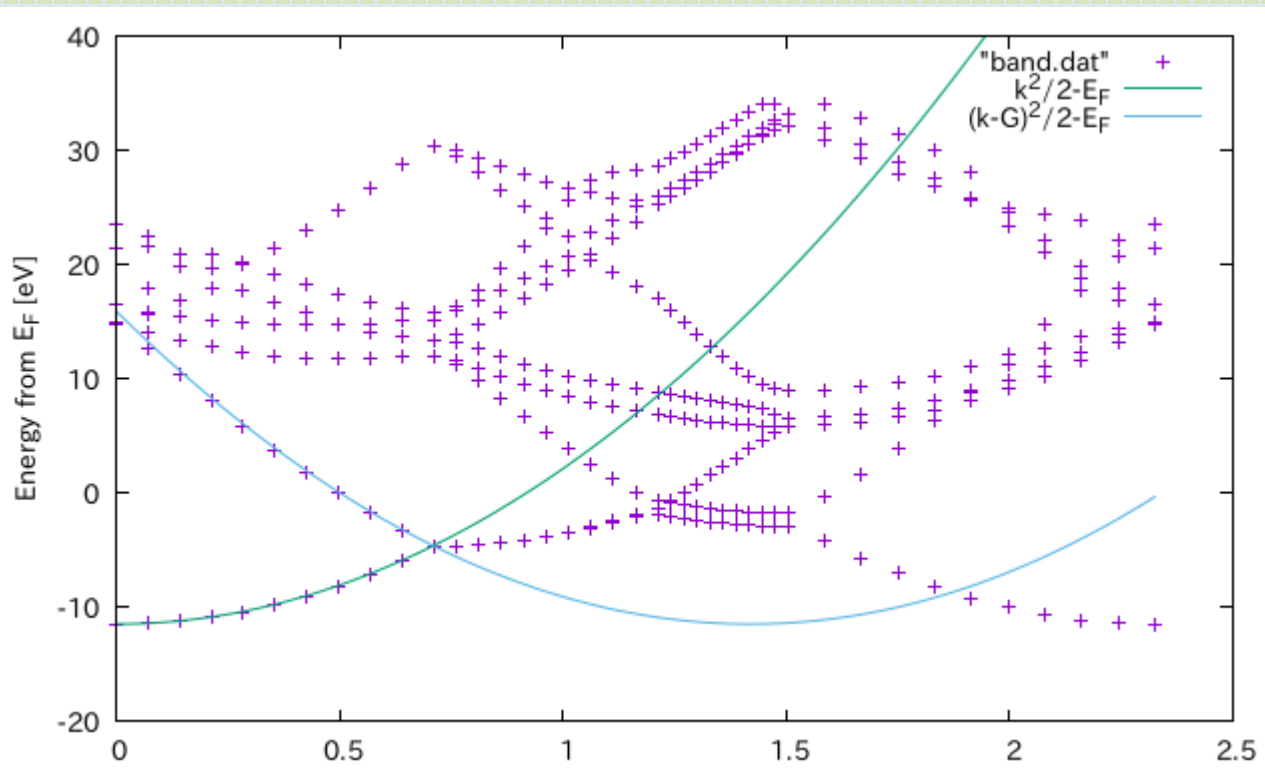
Converged ! iter = 5

```
&CONTROL
  calculation = 'scf'
/
&SYSTEM
nbnd = 5
      nat = 1
      ntyp = 1
      ecutwfc =30.000000
      ecutrho = 120.000000
/
&ELECTRONS
  mixing_beta = 0.3
  conv_thr = 1.000000e-5
  electron_maxstep = 100
/
CELL_PARAMETERS
  0.000000  2.024700  2.024700
  2.024700  0.000000  2.024700
  2.024700  2.024700  0.000000
ATOMIC_SPECIES
  Al al.lda.lps
ATOMIC_POSITIONS
  Al 0.000000 0.000000 0.000000
K_POINTS
  8 8 8
```

Band structure plot

One-shot calculation with previously computed $v_{KS}(\mathbf{r})$

```
$ ../../src/pwdft.x < band.in
$ gnuplot
gnuplot> set ylabel "Energy from E_F [eV]"
gnuplot> unset xlabel
gnuplot> plot [][:40] "band.dat", ¥
x**2*0.5*27.21138456-11.514956871425214 tit "k^2/2-E_F", ¥
(x-1.42)**2*0.5*27.2-11.5 tit "(k-G)^2/2-E_F"
```



Band structure of Aluminum
 → Free electron
 + Brillouin-zone periodicity (folding)
 + small potential effect

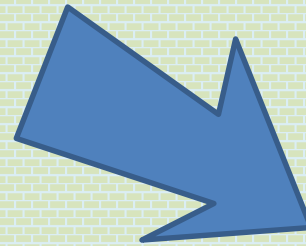
Visualization of grid data

Real-space grid data

- Potential $v_{KS}(\mathbf{r}), v(\mathbf{r}), v_H(\mathbf{r}), v_{XC}(\mathbf{r})$
- Charge density $\rho(\mathbf{r})$
- Kohn-Sham orbital $u_{nk}(\mathbf{r})$
- Etc.

Reciprocal-space grid data

- Kohn-Sham energy ε_{nk}
- Fermi velocity $\nabla_{\mathbf{k}}\varepsilon_{nk}$
- Berry connection $\langle u_{nk} | i\nabla_{\mathbf{k}} | u_{nk} \rangle$
- Berry curvature $\nabla_{\mathbf{k}} \times \langle u_{nk} | i\nabla_{\mathbf{k}} | u_{nk} \rangle$
- Etc.



- Isosurface
- Section

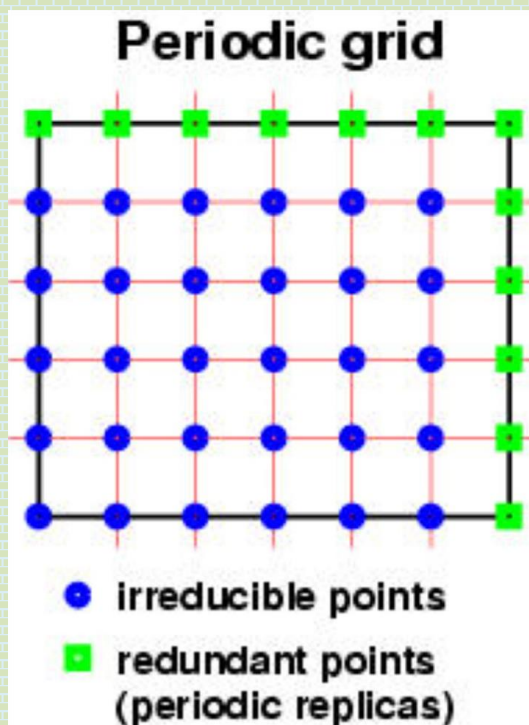
Real space : XSF

XCrysDen : Crystalline structure viewer (like VESTA) <http://www.xcrysden.org/>

XCrysden Structure File (XSF) format <http://www.xcrysden.org/doc/XSF.html>

Unit cell + Atomic position (structure) + Volume (grid) data

Unit : Angstrom



The grid data should include data at **all** edge of the unit cell.

We need additional data at these points : copy from original points

XSF format

Unit lattice vectors [\AA]

Number of atoms in unit cell
The second number is always "1"

Atomic position in [\AA]
Not fractional coordinate

Data grid number. FFT grid + 1
(Including all edge of unit cell)

Grid shift from atomic position (usually 0)

Cell of grid data (usually the same as u.c.)

Volume data

```

CRYSTAL
PRIMVEC
    0.00000E+00    0.20247E+01    0.20247E+01
    0.20247E+01    0.00000E+00    0.20247E+01
    0.20247E+01    0.20247E+01    0.00000E+00
PRIMCOORD
    1 1
A1 0.00000E+00    0.00000E+00    0.00000E+00
BEGIN_BLOCK_DATAGRID_3D
3D_PWSCF
DATAGRID_3D_UNKNOWN
    21 21 21
    0.00000E+00    0.00000E+00    0.00000E+00
    0.00000E+00    0.20247E+01    0.20247E+01
    0.20247E+01    0.00000E+00    0.20247E+01
    0.20247E+01    0.20247E+01    0.00000E+00
    0.76311E+02    0.67851E+02    0.45909E+02    0.18866E+02    -0.39980E+01    -0.16986E+02
   -0.20120E+02   -0.17490E+02   -0.13890E+02   -0.11749E+02   -0.11130E+02   -0.11749E+02
   -0.13890E+02   -0.17490E+02   -0.20120E+02   -0.16986E+02   -0.39980E+01    0.18866E+02
    0.45909E+02    0.67851E+02    0.76311E+02    0.67851E+02    0.52697E+02    0.28399E+02
    0.40345E+01   -0.12896E+02   -0.19773E+02   -0.19031E+02   -0.15398E+02   -0.12470E+02
    :
END_DATAGRID_3D
END_BLOCK_DATAGRID_3D

```

Input/Output grid data (griddata.F90)

```
module griddata
contains
  subroutine read_griddata(filename, gdata)
    use gvec, only : g_rh
    character(*),intent(in) :: filename
    real(8),intent(out) :: gdata(g_rh%nft(1),g_rh%nft(2),g_rh%nft(3))
  end subroutine read_griddata
  subroutine write_griddata(filename, gdata)
    use gvec, only : g_rh
    character(*),intent(in) :: filename
    real(8),intent(in) :: gdata(g_rh%nft(1),g_rh%nft(2),g_rh%nft(3))
  end subroutine write_griddata
end module griddata
```

In pwdft.F90,

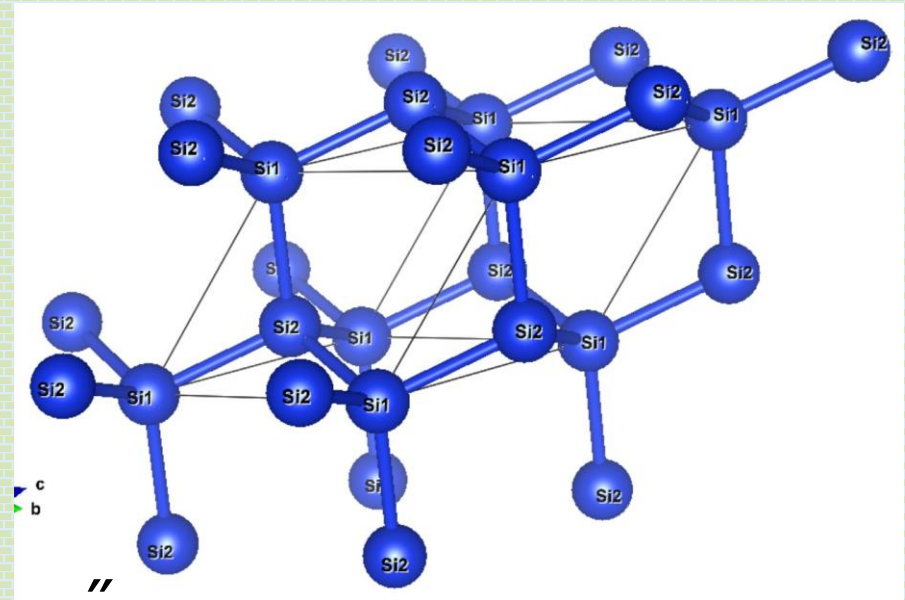
```
program pwdft
  use griddata, only : read_griddata, write_griddata
  if(calculation == "scf") then
    call write_griddata("vks.xsf", Vks)
  else
    call read_griddata("vks.xsf", Vks)
  end if
end program pwdft
```

Display $v_{KS}(\mathbf{r})$ with VESTA

```
$ cd ~/pwdft/sample/Si/
$ ../../src/pwdft.x < scf.in
$ vesta vks.xsf
```

- Semiconductor
- Diamond structure (lattice is FCC)
- Each Si atom has 4 bonds.

“Objects” → “Properties” → “Isosurfaces...”



Isosurfaces

F(min) = -30.3541; F(max) = 117.654;

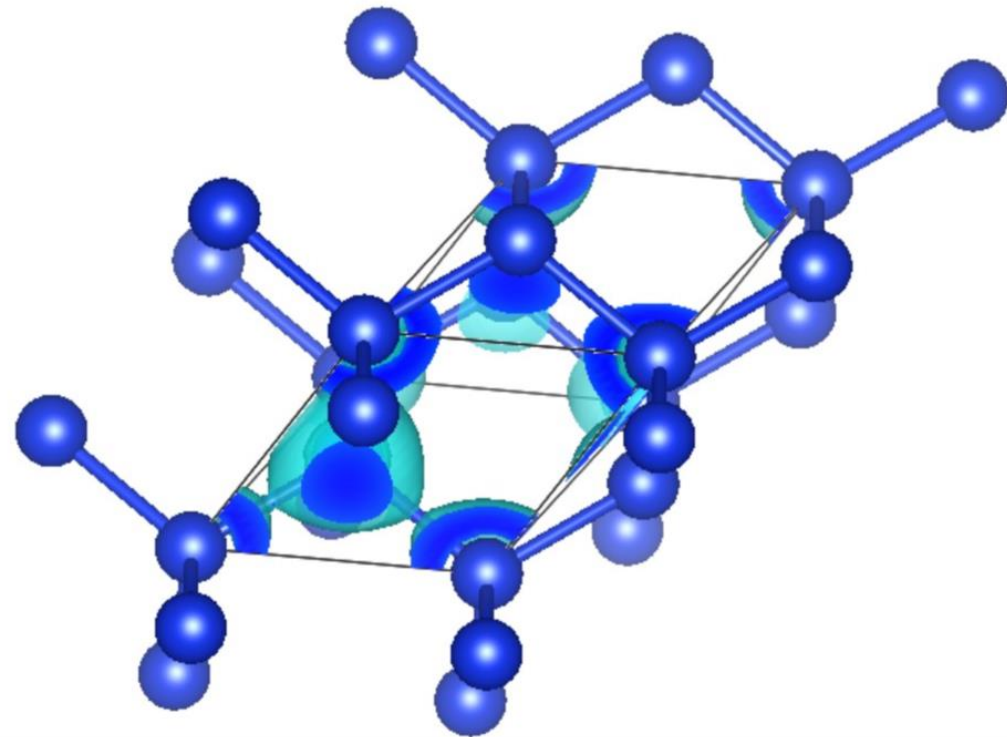
Render from front to back

Positive and negative Opacity 1 (0~255): 127

Isosurface level: 20 Opacity 2 (0~255): 255

Color: 255 255 0

No.	level	mode	color
1	20	Positive and negative	<input type="button" value="v"/>



Cross section

Add lattice planes

Miller indices (hkl):

Distance from origin: Å (x d)

Color (RGBA):

Calculate the best plane for the selected atoms

No.	h	k	l	d (Å)
1	2	-1	-1	0

New
Delete
Clear

"Objects" → "Properties" → "Sections..."

Sections and slices

B-G-R %

Absolute values

Assign colors recursively

Saturation levels

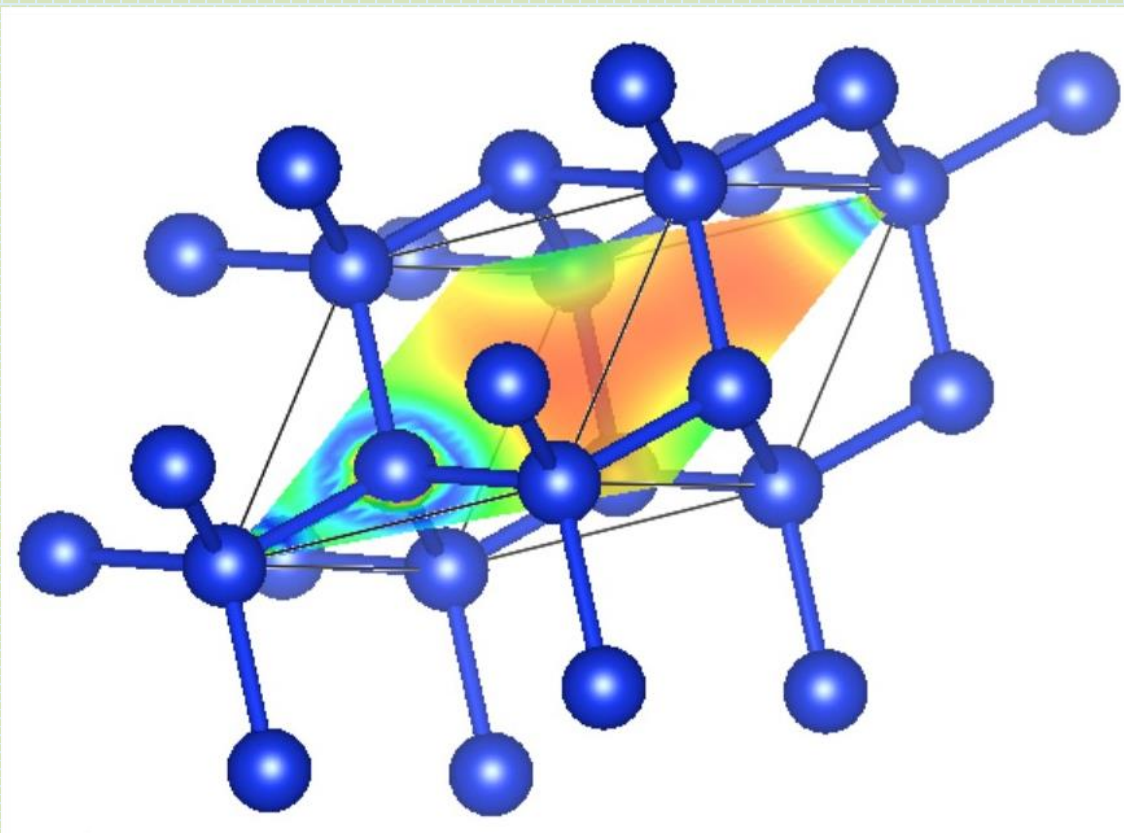
Max.: (%)

Min.: (%)

Opacity of drawn sections (%):

Cutoff level of lattice plane:

"Edit" → "Lattice Planes..."



Report problem 2

Modify `pwdft.F90` to output the grid data of charge density $\rho(\mathbf{r})$ as a file "rho.xsf".

Then plot the charge density of Si.

Explain the shape of $\rho(\mathbf{r})$ (where do the electrons locate?).

Hint : $\rho(\mathbf{r})$ is stored in the following variable

```
module rho_v
  !
  implicit none
  !
  real(8),allocatable :: &
  & Vks(:), & !< (g_rh%nr) Kohn-Sham potential [Htr]
  & Vps(:), & !< (g_rh%nr) Pseudopotential [Htr]
  & rho(:) !< (g_rh%nr) Charge density
```

Modified code should be submitted as a diff file generated by

```
$ cd ~/pwdft/
$ git add src
$ git commit
$ git show > 12142018.diff
```

Today's summary

- Kohn–Sham potential
 - Hartree potential is computed with FFT
 - Charge compensation of Hartree and ionic potential
 - Exchange correlation potential
- SCF loop = Solving non-linear equation
 - Broyden's method
- Visualize grid data (Potential, charge density Kohn–Sham orbital) as a XSF data.