
Summer School on First Principles Calculations for Condensed Matter and Nanoscience

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IMPLEMENTATION OF THE PAW FORMALISM IN ABINIT

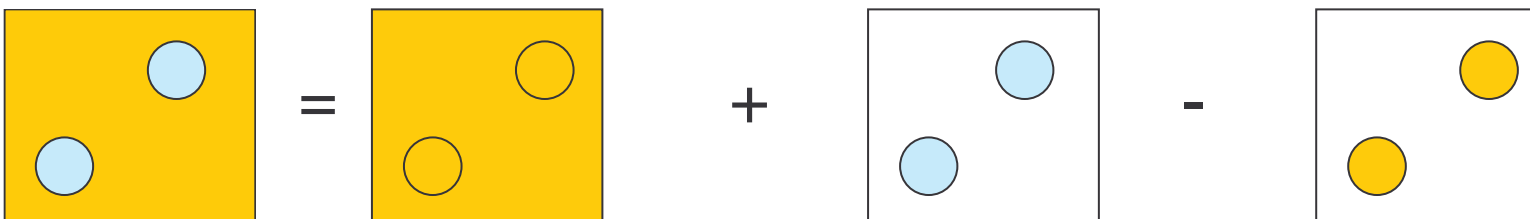
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The PAW method - summary

Wavefunction:

$$|\Psi_n\rangle = |\tilde{\Psi}_n\rangle + \sum_i \left(|\phi_i\rangle - |\tilde{\phi}_i\rangle \right) \langle \tilde{p}_i | \tilde{\Psi}_n \rangle = \tau |\tilde{\Psi}_n\rangle$$



Operators:

$$\langle A \rangle = \sum_n f_n \langle \Psi_n | A | \Psi_n \rangle = \sum_n f_n \langle \tilde{\Psi}_n | \tau^* A \tau | \tilde{\Psi}_n \rangle$$

Density:

$$n(\mathbf{r}) = \tilde{n}(\mathbf{r}) + \sum_R \left(n_R^1(\mathbf{r}) - \tilde{n}_R^1(\mathbf{r}) \right)$$

Energy:

$$E = \tilde{E} + \sum_R \left(E_R^1 - \tilde{E}_R^1 \right)$$

The PAW hamiltonian - summary

We have to solve: $\tilde{H} \tilde{\Psi}_n = \epsilon_n S \tilde{\Psi}_n$

with

$$\tilde{H} = \frac{dE}{d\tilde{n}} = -\frac{1}{2} \Delta + \tilde{v}_{eff} + \sum_{i,j} |\tilde{p}_i\rangle D_{ij} \langle \tilde{p}_j|$$

and

$$S = 1 + \sum_{R,ij} |\tilde{p}_i^R\rangle \left(\langle \phi_i^R | \phi_j^R \rangle - \langle \tilde{\phi}_i^R | \tilde{\phi}_j^R \rangle \right) \langle \tilde{p}_j^R|$$

where

$$\begin{aligned} \tilde{v}_{eff} &= v_H [\tilde{n} + \hat{n} + \tilde{n}_{Zc}] + v_{xc} [\tilde{n} + \hat{n} + \tilde{n}_c] \\ D_{i,j} &= \sum_L \int \tilde{v}_{eff}(\mathbf{r}) Q_{ij}^L(\mathbf{r}) d\mathbf{r} \\ &+ \langle \phi_i | -\frac{\Delta}{2} + v_H [n^1 + n_{Zc}] + v_{xc} [n^1 + n_c] \phi_j \rangle \\ &- \langle \tilde{\phi}_i | -\frac{\Delta}{2} + v_H [\tilde{n}^1 + \hat{n} + \tilde{n}_{Zc}] + v_{xc} [\tilde{n}^1 + \hat{n} + \tilde{n}_c] \tilde{\phi}_j \rangle \\ &- \sum_L \int \tilde{v}_{eff}^1(\mathbf{r}) \hat{Q}_{ij}^L(\mathbf{r}) d\mathbf{r} \end{aligned}$$

Other formulation (implemented in ABINIT):

$$\begin{aligned} D_{ij} &= D_{ij}^0 + \sum_{kl} \rho_{kl} E_{ijkl} + D_{ij}^{xc} + \sum_L \int \tilde{v}_{eff}(\mathbf{r}) \hat{Q}_{ij}^L(\mathbf{r}) d\mathbf{r} \\ \rho_{i,j} &= \sum_n f_n \langle \tilde{\Psi}_n | \tilde{p}_j \rangle \langle \tilde{p}_i | \tilde{\Psi}_n \rangle \end{aligned}$$

Toward PAW in ABINIT...

- ABINIT has been first developed in the framework of NORM-CONSERVING pseudopotentials
- To take full benefit of PAW formalism it was necessary to use ULTRASOFT pseudopotentials.
...implying the introduction of a « compensation charge » in the formalism.
- Implement PAW in ABINIT is long task:
 - The first stage was to introduce PAW formalism into « ground state » part of ABINIT.
 - This is fully available from ABINIT v4.6.x.
 - Translation of « Response function » part of ABINIT is in progress...

Modifications of H in ABINIT needed by PAW

From...

Norm conserving

$$\tilde{H} \tilde{\Psi}_i = \varepsilon_i \tilde{\Psi}_i$$

$$\tilde{H} = \frac{dE}{d\tilde{n}} = -\frac{1}{2}\Delta + \tilde{v}_{eff} + \sum_i |p_i\rangle D_i^0 \langle p_i| \quad \boxtimes$$

D_i^0 is constant (KB energy)

i over quantum numbers l, n

...to...

PAW

$$\tilde{H} \tilde{\Psi}_i = \varepsilon_i S \tilde{\Psi}_i \quad (*)$$

$$\boxtimes S = 1 + \sum_{R,ij} |\tilde{p}_i^R\rangle S_{ij}^R \langle \tilde{p}_j^R|$$

$$\tilde{H} = \frac{dE}{d\tilde{n}} = -\frac{1}{2}\Delta + \tilde{v}_{eff} + \sum_{i,j} |\tilde{p}_i\rangle D_{ij} \langle \tilde{p}_j| \quad \boxtimes$$

$D_{i,j}$ is updated at each iteration

i over quantum numbers l, n and m

\boxtimes symbol points out similar quantities

(*) Two generalized eigenvalue algorithms have been implemented:

- ✓ Generalized conjugate gradient by Payne, Teter, Allan... (**cgwf.F90**)
- ✓ Locally optimal block preconditioned conjugate gradient (**lobpcgwf.F90**) (possibility of parallelization over bands)

Modifications of E in ABINIT needed by PAW

From...

Norm conserving

$$E^{total} = E^{Ewald} + E^K + E^{local}[\tilde{n}] + E^{Hartree}[\tilde{n}] + E^{xc}[\tilde{n} + \tilde{n}_c] + E^{non-local}$$

Non-local energy term

$$\boxed{\times} E^{Non-local} = \sum_{n,k} f_{nk} \sum_{R,ln} \langle \tilde{\Psi}_{nk} | \tilde{p}_{ln}^R \rangle E_{ln}^{KB} \langle \tilde{p}_{ln}^R | \tilde{\Psi}_{nk} \rangle$$

...to...

PAW

$$E^{total} = E^{Ewald} + E^K + E^{local}[\tilde{n} + \hat{n}] + E^{Hartree}[\tilde{n} + \hat{n}] + E^{xc}[\tilde{n} + \hat{n} + n_c] + E^{PAW}$$

« Spherical part » of energy

$$E^{PAW} = \sum_R (E_R^1 - \tilde{E}_R^1) = \sum_R ((E_R^{K1} + E_R^{H1} + E_R^{xc1}) - (\tilde{E}_R^{K1} + \tilde{E}_R^{H1} + \tilde{E}_R^{xc1}))$$

Modifications of n (density) in ABINIT needed by PAW

From...

Norm conserving

$$n^{total}(r) = \tilde{n}(r) = \sum_{n,k} f_{nk} |\tilde{\Psi}_{nk}|^2$$

...to...

PAW

$$\begin{aligned} n^{total}(r) &= \tilde{n}(r) + \sum_R (n_R^1(r) - \tilde{n}_R^1(r)) \\ &= \sum_{n,k} f_{nk} |\tilde{\Psi}_{nk}|^2 + \sum_R \sum_{i,j} \rho_{ij}^R \left(\langle \phi_i^R | \phi_j^R \rangle - \langle \tilde{\phi}_i^R | \tilde{\phi}_j^R \rangle \right) \end{aligned}$$

⊗ $\rho_{ij}^R = \sum_{n,k} f_{nk} \langle \tilde{\Psi}_{nk} | \tilde{p}_i^R \rangle \langle \tilde{p}_j^R | \tilde{\Psi}_{nk} \rangle$

Analogous to a non-local energy term

Ultrasoft pseudization implies:

$$\int n^{total}(r) \cdot dr = \int \tilde{n}(r) \cdot dr + \int \hat{n}(r) \cdot dr$$

Compensation charge

Norm-conserving vs ultrasoft PAW

	Norm conserving		PAW
Wave functions expressed on plane waves	$\tilde{\Psi}_{nk}$		Wave functions expressed on plane waves (only part of total WF) $\tilde{\Psi}_{nk}$
Total density	$\tilde{n}(r)$		Total density $\tilde{n}(r) + \hat{n}(r)$
Total energy	$E^{total} = \tilde{E}$		Total energy $E^{total} = \tilde{E} + E^{PAW}$
KB energies	E_{nl}^{KB}		Psp strengths $D_{lmn,l'm'n'}^R$
One FFT grid			Two FFT grids (<i>see later</i>) One radial grid for spheres

[...]

Conventions in spherical part formulation

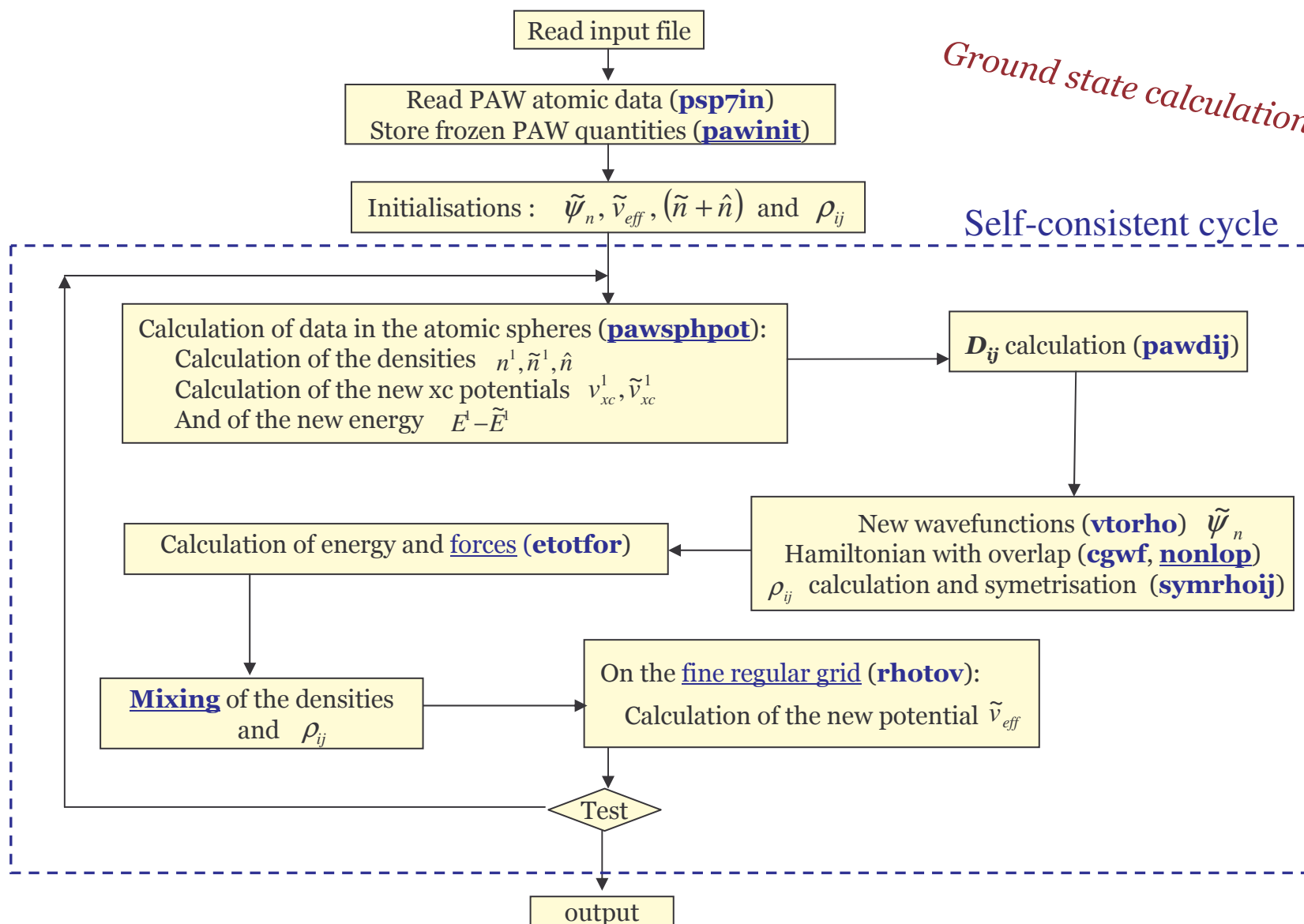
- Partial waves and projectors: $\phi_{lmn}(\mathbf{r}) = \frac{\phi_{ln}(r)}{r} S_{lm}(\hat{r})$
where $S_{lm}(\hat{r})$ are the **real** spherical harmonics
- Real Gaunt coefficients are: $RG_{l_i m_i, l_j m_j}^{LM} = \int_{\Omega} S_{l_i m_i}(\hat{r}) S_{LM}(\hat{r}) S_{l_j m_j}(\hat{r}) d\Omega$
- Important relations: $e^{i\mathbf{k}\cdot\mathbf{r}} = 4\pi \sum_{l=0}^{\infty} \sum_{m=-l}^l i^l S_{lm}(\hat{r}) S_{lm}(\hat{k}) j_l(kr)$
 $\frac{1}{|\mathbf{r}-\mathbf{r}'|} = \sum_{l=0}^{\infty} \sum_{m=-l}^l \frac{4\pi}{2l+1} \frac{r_{<}^l}{r_{>}^{l+1}} S_{lm}(\hat{r}) S_{lm}(\hat{r}')$

Example of formal calculation

$$\begin{aligned} \langle \phi_i | v_H(n^1) | \phi_j \rangle &= \iint_R \phi_i^*(\mathbf{r}) \frac{n^1(\mathbf{r}')}{|\mathbf{r}-\mathbf{r}'|} \phi_j(\mathbf{r}') d\mathbf{r} d\mathbf{r}' \\ &= \iint_R \frac{\phi_i(r)}{r} S_{l_i m_i}(\hat{r}) \left(\sum_{i'j'} \rho_{i'j'} \frac{\phi_{i'}(r')}{r'} S_{l_i m_{i'}}(\hat{r}') \frac{\phi_{j'}(r')}{r'} S_{l_j m_{j'}}(\hat{r}') \right) \left(\sum_{l=0}^{\infty} \sum_{m=-l}^l \frac{4\pi}{2l+1} \frac{r_{<}^l}{r_{>}^{l+1}} S_{lm}(\hat{r}) S_{lm}(\hat{r}') \right) \frac{\phi_j(r)}{r} S_{l_j m_j}(\hat{r}) r^2 dr d\Omega r'^2 dr' d\Omega' \\ &= \sum_l \sum_m \sum_{i'j'} \rho_{i'j'} RG_{l_i m_i, l_j m_j}^{lm} RG_{l_i m_{i'}, l_j m_{j'}}^{lm} V_{l_i, l_j, l_i, l_j}^l \end{aligned}$$

with $V_{l_i, l_j, l_i, l_j}^l = \int_0^R \int_0^R \frac{4\pi}{2l+1} \phi_{l_i}(r) \phi_{l_j}(r) \phi_{l_i}(r') \phi_{l_j}(r') \frac{r_{<}^l}{r_{>}^{l+1}} dr dr'$

PAW in ABINIT – overview



Efficiency

In ABINIT we choose to...

- ☺ Have good ultrasoft PAW atomic data (downloadable on web site)
- ☺ Store as much frozen atomic data as possible (see [pawinit](#))
- ☺ Use several adapted radial grids (see [psp7in](#))
- ☺ Exploit symetries to compute only the non-zero radial moments of the densities (see [pawdens](#))
- ☺ Develop the radial XC potentials in moments and compute only the first ones (see [pawxcm](#))
- ☺ Exploit symetries of the system to symetrize ρ_{ij} (see [symrhoij](#))
- ☺ Mix effectively the spherical part of the density (mix ρ_{ij})
- ☺ Have efficient algorithms to solve generalized eigenproblem

Accuracy

In ABINIT you can...

- ☺ Have good ultrasoft PAW atomic data (downloadable on web site)
- ☺ Adjust sharpness of grids in real space (spheres) or reciprocal space *pawntheta, pawnphi*
mqgriddg
- ☺ Choose to compute XC potential exactly (LDA only) or with a development over few moments *pawxcdev*
- ☺ Use two adjustable Fourier grids:
 - a « coarse » grid for wave functions development
 - a « fine » grid (double grid) for densities description inside spheres*ecut, ecutdg*
nfft, nfftdg
- ☺ Choose order of development of densities in spherical harmonics *pawlcutd*
- ☺ And also use all adjustable convergence parameters (same as in *norm-conserving* case)...

How does a PAW calculation work in ABINIT ?

- **At first order** **Mandatory**
 - Only change **all** the pseudopotential files
- **At second order** **Always**
 - Test the convergency of the fine grid (**ecutdg** or **ngfftdg**)
- **At third order** **Rarely**
 - (De)activate second order expansion of XC potentials (**pawxcdev**) and eventually adjust sharpness of spherical grids (**pawntheta**, **pawnphi**)
 - Cut or not spherical harmonics expansion (**lcutd**)
 - Adjust sharpness of grid used to express atomic data in reciprocal space (**pawmqgrid**)
 - Use only main part of ρ_{ij} in mixing scheme of SC cycle (**pawlmix**)
 - ... and other adjustable parameters (see PAW chapter of input variables manual)

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Initial storage of frozen atomic data (*pawinit*)

Initialization of some starting values for several arrays used by PAW calculation

1-Initialize data related to angular mesh (Gaunt coefficients, ...)

2-Tabulate normalized shape function $g(r)$ (for compensation charge)

3-Compute:

$$q_{ij}^{lm} = \int_R [\phi_i^*(\mathbf{r})\phi_j(\mathbf{r}) - \tilde{\phi}_i^*(\mathbf{r})\tilde{\phi}_j(\mathbf{r})] r^l S_{lm}(\hat{r}) d\mathbf{r} = RG_{l_i m_i, l_j m_j}^{lm} \int_0^R (\phi_i(r)\phi_j(r) - \tilde{\phi}_i(r)\tilde{\phi}_j(r)) r^l dr$$

$$s_{ij} = \sqrt{4\pi} q_{ij}^{00}$$

$E_{ij,kl}$ *Involved in computation of Hartree potential inside spheres*

5-Compute Ex-correlation energy for the core density

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Computation of data inside PAW spheres (*pawsphpot*)

➤ Calculation of spherical densities (*pawdens*)

$$n(r, \theta, \varphi) = \sum_{LM} n_{LM}(r) S_{LM}(\theta, \varphi)$$

Compute : $n_{LM}^1(r)$, $\tilde{n}_{LM}^1(r)$, $\hat{n}_{LM}(r)$

- Possibility to compute $n(r, \theta, \varphi)$ or $n_{LM}(r)$
- Possibility to compute all LM moments or only the first ones (having the main contribution)

➤ Calculation of the spherical potentials (*pawxc* & *pawxcm*)

$$v_{xc}(r, \theta, \varphi) = \sum_{LM} v_{LM}^{xc}(r) S_{LM}(\theta, \varphi) = v_{xc}[n_0(\vec{r})] + [n(\vec{r}) - n_0(\vec{r})] \frac{dv_{xc}}{dn}[n_0] + \frac{[n(\vec{r}) - n_0(\vec{r})]^2}{2} \frac{d^2 v_{xc}}{dn^2}[n_0]$$

↓
*Direct computation
 on spherical grid
 (LDA only)*

OR

↓
*Development in moments
 stopped at first moment*

*Accurate
 CPU expensive*

Approximated

≥

The non local operator (*nonlop*)

The nonlocal operator has the form $v_{NL} = \sum_{R,lmn,l'm'n'} |\tilde{p}_{lmn}^R\rangle \mathbf{O}_{lmn,l'm'n'}^R \langle \tilde{p}_{l'm'n'}^R|$

$$v_{NL}(G, G') = \sum_{R,lmn,l'm'n'} \langle G | \tilde{p}_{lmn}^R \rangle \mathbf{O}_{lmn,l'm'n'}^R \langle \tilde{p}_{l'm'n'}^R | G' \rangle$$

$$= (4\pi)^2 \sum_R e^{iR(G'-G)} \sum_{lmn,l'm'n'} [H_{lmn}^R(G)] \mathbf{O}_{lmn,l'm'n'}^R [H_{l'm'n'}^R(G')]^*$$

$$H_{lmn}^R(G) = (-i)^l S_{lm}(\hat{G}) \int_0^R j_l(Gr) \tilde{p}_{ln}^R(r) r dr$$

As mentioned by symbols \boxtimes , several quantities have this form:

- If $O_{lmn,l'm'n'}^R = D_{ij}^R$, we get the non-local part of Hamiltonian
- If $O_{lmn,l'm'n'}^R = S_{ij}^R$, we get operator **S**
- If $O_{lmn,l'm'n'}^R = 1$, we get ρ_{ij}^R

All these quantities are computed in the same routine (**nonlop**)

How to retrieve norm-conserving expression

$$v_{NL}(G, G') = (4\pi)^2 \sum_R e^{iR(G'-G)} \sum_{lmn} H_{lmn}^R(G) E_{ln}^{KB} [H_{lmn}^R(G')]^*$$

$$= (4\pi)^2 \sum_R e^{iR(G'-G)} \sum_{ln} \left[\int_0^R (-i)^l j_l(Gr) \tilde{p}_{ln}^R(r) r dr \right] E_{ln}^{KB} \left[\int_0^R (-i)^l j_l(G'r) \tilde{p}_{l'n'}^R(r) r dr \right]^* \sum_m S_{lm}(\hat{G}) S_{lm}(\hat{G}')$$

$$\geq (4\pi)^2 \sum_R e^{iR(G'-G)} \sum_{l,n} f_{nl}^R(G) \cdot E_{ln}^{KB} \cdot f_{nl}^R(G') \cdot \left[\frac{2l+1}{4\pi} P_l(\cos \theta_{G,G'}) \right]$$

Forces

Forces in PAW have been implemented as sum of the following terms:

$$\mathbf{F}_1 = -\int (\tilde{n} + \hat{n})(\mathbf{r}) \frac{\partial v_H(\tilde{n}_{zc})}{\partial \mathbf{R}} d\mathbf{r}$$

$$\mathbf{F}_{xc} = -\int v_{xc} [\tilde{n} + \hat{n} + \tilde{n}_c] \frac{\partial \tilde{n}_c}{\partial \mathbf{R}} d\mathbf{r}$$

In pawcorloc

$$\mathbf{F}_2 = -\sum_{ijlm} \int \tilde{v}_{eff}(\mathbf{r}) \rho_{ij} q_{ij}^{lm} \frac{\partial [g_l(|\mathbf{r}-\mathbf{R}|) S_{lm}(r-R)]}{\partial \mathbf{R}} d\mathbf{r}$$

In pawgrnhat

In nhatgrid

$$\mathbf{F}_3 = -\sum_{ij} \sum_n \frac{\partial \rho_{ij}^n}{\partial \mathbf{R}} [D_{ij} - \epsilon_n \sqrt{4\pi} q_{ij}^{00}]$$

In pawmkrhoij

In nonlop

Stress tensor

Stresses in PAW have been implemented as sum of the following terms:

$$\sigma_{\alpha\beta} = \frac{1}{\Omega} \frac{\partial E}{\partial \varepsilon_{\alpha\beta}} = \underbrace{kinstr + ewstr + lpstr(\tilde{n} + \hat{n}) + harstr(\tilde{n} + \hat{n}) + strxc(\tilde{n} + \hat{n} + \tilde{n}_c) + strsii}_{\text{Norm - conserving like terms}} + \sigma_1 + \sigma_2 + \sigma_3 + \sigma_4$$

$$\begin{aligned} \sigma_1 &= \frac{1}{\Omega} \delta_{\alpha\beta} \int \tilde{v}_{eff}(\mathbf{r}) \hat{n}(\mathbf{r}) d\mathbf{r} \\ \text{In pawgrnhat} & \leftarrow \sigma_1 \\ \sigma_2 &= \frac{1}{\Omega} \sum_{ij} \rho_{ij} \sum_{lm} \int \tilde{v}_{eff}(\mathbf{r}) q_{ij}^{lm} \frac{\partial(g_l S_{lm})}{\partial \varepsilon_{\alpha\beta}} d\mathbf{r} \\ \text{In pawgrnhat} & \leftarrow \sigma_2 \quad \text{In nhatgrid} \rightarrow \\ \sigma_3 &= \frac{1}{\Omega} \sum_{ijn} \frac{\partial \rho_{ij}^n}{\partial \varepsilon_{\alpha\beta}} (D_{ij} - \varepsilon_n \sqrt{4\pi} q_{ij}^{00}) \\ \text{In pawmkrhoij} & \leftarrow \sigma_3 \quad \text{In nonlop} \rightarrow \\ \sigma_4 &= \frac{1}{\Omega} \delta_{\alpha\beta} \int v_{xc} [\tilde{n} + \hat{n} + \tilde{n}_c] \tilde{n}_c d\mathbf{r} + \frac{1}{\Omega} \int v_{xc} [\tilde{n} + \hat{n} + \tilde{n}_c] \frac{\partial \tilde{n}_c}{\partial \varepsilon_{\alpha\beta}} d\mathbf{r} \\ \text{In pawcorloc} & \leftarrow \sigma_4 \end{aligned}$$

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Mixing during electronic iterations

Mixing is available either on \tilde{v}_{eff} or on $\tilde{n} + \hat{n}$.
 In PAW, mixing on densities seems to be more suitable.

The spherical part (ρ_{ij} quantities) has also to be mixed !
 Their mixing scheme is adjusted on the density (or potential) mixing scheme.

	Mixing on potential	Mixing on densities
Simple mixing	<i>iscf=2</i>	<i>iscf=12</i>
Anderson mixing	<i>iscf=3</i>	<i>iscf=13</i>
Anderson mixing (order 2)	<i>iscf=4</i>	<i>iscf=14</i>
Conjugate-gradient mixing	<i>iscf=5</i>	<i>Not yet available</i>
Pulay mixing	<i>iscf=7</i>	<i>iscf=17</i>

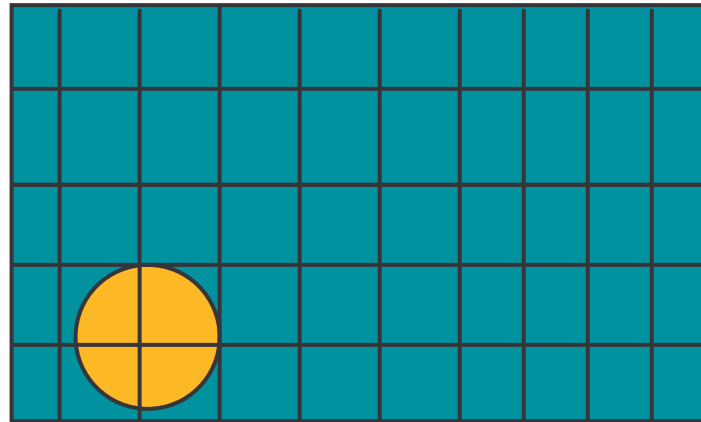
Exemple, with a simple mixing:
$$n_{n+1}^{mix}(r) = n_n^{in}(r) + \alpha \cdot \underbrace{(n_n^{out}(r) - n_n^{in}(r))}_{resid_n^{PC}(r)}^{PC}$$

$$\geq [\rho_{ij}]_{n+1}^{mix} = [\rho_{ij}]_n^{in} + \alpha \cdot \underbrace{([\rho_{ij}]_n^{out} - [\rho_{ij}]_n^{in})}_{resid[\rho_{ij}]_n^{PC}}^{PC}$$
 PC means « preconditionned »

The fine regular grid

- A coarse grid is used to obtain wavefunctions $\tilde{\Psi}_n$
- We need \hat{n} on the regular **and** on the radial grid
- For accuracy, a fine grid is used to compute $\tilde{v}_{eff} = v_H [\tilde{n} + \hat{n} + \tilde{n}_{zc}] + v_{xc} [\tilde{n} + \hat{n} + \tilde{n}_c]$

If only the « coarse » FFT grid is used, not enough points are in PAW spheres



See variable *pawecutdg*

« Double FFT » technique is used to transfer densities (potentials) between grids:

$$\tilde{n}_{coarse}(\vec{r}) \xrightarrow{FFT} \tilde{n}_{coarse}(\vec{G}) \longrightarrow \tilde{n}_{fine}(\vec{G}) \xrightarrow{FFT} \tilde{n}_{fine}(\vec{r})$$

Conclusion

- What is done in ABINIT v4.6.x:
 - Calculation of the total energy, forces and stresses
 - Atomic data generators
- What is to be done:
 - Calculation of linear response
 - Spin orbit coupling
 - Detailed Latex Documentation
- What is to be improved
 - Introduce PAW formalism in the whole GS code (some restrictions still remain)
 - Parallelize (on atoms ?)