# A short guide to the Tight-Binding FITting (TBFIT) package

Hyun-Jung Kim [Infant@kias.re.kr]
April 23, 2019

This document is to provide explanation for the input file arguments of the TBFIT package.

# System Requirements and installation

The program has been written by modern Fortran2008 language. If you want to deactivate the use of some module interfaces written in Fortran2008 syntax, please remove -DF08 option in your option tag of the makefile.

LAPACK library should be properly linked in the makefile. For the eigenvalue solver with sparse matrix, Inspector-executor Sparse BLAS Routines and Extended Eigensolver Routines in the Intel Math Kernel Library (Intel MKL) are referred. If the system size is very big, you can calculate band structure with energy window constraint. This is available with EWINDOW tag and -DMKL\_SPARSE option. To use -DMKL\_SPARSE option, make sure that mkl\_spblas.f90 file is located in your \$MKLPATH/include folder.

To list up the space group information for the given geometry in the initial stages of the calculations, one can activate the use of space group library (Spglib). For this, put -DSPGLIB in your OPTION tag of the makefile, and provide appropriate library path in SPGLIB tag.

```
#------|
# Compiler options and bin path |
#-------|

OPTIONS= -fpp -DMPI -DF08 -DSPGLIB -DMKL_SPARSE

F90 = mpif90 $(OPTIONS)

FFLAG = -03 -heap-arrays -nogen-interfaces

BIN = ~/code/bin
```

#### • How to install:

- > tar -xvf TBFIT-master.zip
- > cd TBFIT-master
- > make tbfit

#### • How to run:

In the Example directory, you can run a test cases, for example:

- > cd TBFIT-master/Example/1H-MoS2/SOC
- > tbfit < /dev/null | tee log.out</pre>

Note that the output log will be written in log.out file.

# Part I. User's Guide

# 1. INPUT tags of the INCAR-TB

**GET\_BAND** *logical* Default: .TRUE. If .TRUE. TBFIT will perform tight-binding calculations for band structure evaluation.

#### **TBFIT** logical Default: .FALSE.

.TRUE. : Perform tight-binding parameter fitting which is defined in PFILE. After fitting is completed, whatever it is converged or not, additional tight binding calculations as defined in the INCAR-TB will be performed.

.FALSE. : Do not perform fitting procedures. In this case, regular tight binding calculations will be performed.

#### MITER integer Default: 100

Maximum number of iteration for the fitting procedures. If GA is set for LSTYPE, MITER represents the maximum number of generations.

#### **LSTYPE** integer Default: LMDIF

Method for parameter fitting. Available tags are LMDIF and GA.

LMDIF method: Levenberg-Marquardt method<sup>1, 2</sup> using finite-difference for Jacobian.

GA method: Genetic Algorithm<sup>3</sup> based on PIKAIA library<sup>4,5,6,7</sup>. To setup control parameters for the GA, see Sec. GA.

#### PTOL & FTOL real Default: 0.00001

Tolerence of iteration of the fitting procedures for LMDIF method. FTOL is a tolerence for the difference between target and calculated data from tight binding method. PTOL is as tolerence for the tight binding parameters. Normally, both values below 0.00001 is sufficient to reach a local minima.

<sup>&</sup>lt;sup>1</sup> Kenneth Levenberg, "A Method for the Solution of Certain Non-Linear Problems in Least Squares" Quarterly of Applied Mathematics 2, 164 (1944).

<sup>&</sup>lt;sup>2</sup>Donald Marquardt, "An Algorithm for Least-Squares Estimation of Nonlinear Parameters" SIAM Journal on Applied Mathematics 11, 431 (1963).

<sup>&</sup>lt;sup>3</sup>D. E. Goldberg, "Genetic Algorithm in Search, Optimization, & Machine Learning" *Addison-Wesley* (1989).

<sup>&</sup>lt;sup>4</sup>P. Charbonneau and B. Knapp, "A user's guide to PIKAIA 1.0", (NCAR Technical Note 418+IA, 1995)

<sup>&</sup>lt;sup>5</sup>P. Charbonneau, "An introduction to genetic algorithm for numerical optimization" (NCAR Technical Note 450+IA, 2002)

<sup>&</sup>lt;sup>6</sup>P. Charbonneau, "Release notes for PIKAIA 1.2" (NCAR Technical Note 451+STR, 2002), http://www.hao.ucar.edu/modeling/pikaia/pikaia.php

<sup>&</sup>lt;sup>7</sup>Modern Fortran Edition of the Pikaia Genetic Algorithm. https://github.com/jacobwilliams/pikaia

## **K\_UNIT** string Default: ANGSTROM

ANGSTROM: the unit of the k-point will be written in  $Å^{-1}$  unit.

RECIPROCAL : the unit of the k-point will be written in reciprocal unit (fractional).

**PFILE** string File name for tight-binding parameters. Default: PARAM\_FIT.dat For the details, see Sec.4.

**POFILE** string Output file name for tight-binding parameters written after fitting procedures. Default: PARAM\_FIT.new.dat

#### IS\_SK or SLATER\_KOSTER logical

.TRUE. : Slater-Koster type of hopping parameters will be assumed.

.FALSE.: User defined or direct hopping parameters will be assumed. Warning: This is experimental feature and on the development stages (do not set to .FALSE.).

#### **SGPLIB** logical

.TRUE. : Write space group information to the output log.

.FALSE. : Do not write space group information to the output log.

Note that this option is only applicable if you have put -DSPGLIB option in your makefile. See the details in System Requirements and installation section.

#### **EFILE** string, integer

File name for the target band structure for the fitting procedures. If the second  $integer\ n$  is followed by, TBFIT will read n-th column as a target band. Default is n=2.

#### EFILE DFT\_BANDSTRUCTURE.dat 2

```
# 1st eigen value
# k-path energy(eV)
    0.00000   -12.36137
    0.01693   -12.36162
    0.03386   -12.36118
    [...]
    0.16932   -12.33324
    0.18625   -12.32696
    0.20319   -12.32014

# 2nd eigen value
# k-path energy(eV)
```

```
0.00000 -12.36137

0.01693 -12.36041

0.03386 -12.35875

[...]

0.16932 -12.32136

0.18625 -12.31394

0.20319 -12.30600

[...]

EFILE DFT_BANDSTRUCTURE.out example
```

#### **GFILE** string Default: POSCAR-TB

File name for the geometry and atomic orbital informations. The format is exactly same as POSCAR of VASP program. For the details of setting atomic orbitals, see Sec.3.

```
MoS2 # comment
  1.0000000000000 # scaling factor
                            0.00000 # lattice vector a1
    3.1716343
                0.000000
                 2.746715
                            0.00000 # lattice vector a2
    1.5858171
    0.0000000
                 0.000000
                           15.00000 # lattice vector a3
 Mo S
                                      # atomic species
    1
                                   # number of atoms per species
          # coordinate type (direct or cartesian)
0.00000 0.00000 0.50000 dz2 dxy dx2 dyz dxz # coord, orbital
0.33333 0.33333 0.60645 s px py pz
0.33333 0.33333 0.39354 s px py pz
         \_ POSCAR-TB example: MoS_2 with Mo-d and S-sp \_
```

#### KFILE string Default: KPOINTS\_BAND

File name for the k-point setting. The format is exactly same as KPOINTS of VASP program.

```
k-points line mode example
40 ! intersections
Line-mode
Reciprocal
0.50000000 0.5000000 0 M
0.3333333 0.6666666 0 K

0.00000000 0.0000000 0 G
```

```
0.00000000 0.0000000 0 G
0.66666666 0.33333333 0 K'
```

 ${\tt KPOINTS\_BAND}\ line\ mode\ {\tt example}$ 

```
k-points grid mode example

0

GMonkhorst-Pack #'G'amma centered grid mode

4 4 1 # grid nk_1 nk_2 nk_3

0 0 0 # shift

KPOINTS_BAND grid mode example
```

#### **LOCCHG** logical Default: .FALSE.

Setting tag for local potential. If .TRUE., one should give proper local potential parameter in your PFILE and should properly setup LOCAL.POT tag in your GFILE. For the details, see the explanation of LOCAL.POT in Sec.4.

#### **TYPMAG** string Default: NONMAG

Setting tag for magnetic moment: nonmagnetic, collinear, noncollinear If collinear and noncollinear tag is applied, MOMENT or MOMENT.C in the GFILE should be set up appropriately. For details, see MOMENT of the Sec.3.

#### **LSORB** logical Default: .FALSE.

Setting tag for spin-orbit coupling. If .TRUE.,  $lambda\_orb\_spec$  should be properly defined in the PFILE. For details, see Sec.4

#### **LORBIT** logical Default: .TRUE.

Setting tag for orbital decomposed output. If .TRUE. the local orbital contribution will be printed out in bandstructure\_TBA.dat file. If you write  $m_x$  or  $m_y$  or  $m_z$  next to the logical text with .TRUE., then, corresponding magnetization values will be printed out instead of local orbital contribution. For example,

```
LORBIT .TRUE. mz
```

If you write re or im next to the logical text with .TRUE., then, real or imaginary part of the wavefunction coefficient will be printed out. Note that this option only applicable with LSORB .FALSE. in the current version.

```
LORBIT .TRUE. re
```

#### LDOS or LDOS\_SUM logical, integers Default: .FALSE.

Setting tag for orbital/atom decomposed output. The output will be written in seperate file for each atom. The format is same as band\_structure\_TBA.dat but specified with atom index, for example,

#### LDOS .TRUE. 1:4 7

will create following files,

```
band_structure_atom.1.dat
band_structure_atom.2.dat
band_structure_atom.3.dat
band_structure_atom.4.dat
band_structure_atom.7.dat
```

where # indicates atom index you specified.

Instead use of LDOS, if you set with LDOS\_SUM as follows,

```
LDOS_SUM .TRUE. 1:4 7
```

then you can get band\_structure\_atom.#.dat file also, and additionally band\_structure\_atom.sum.dat is also printed out, where projected local DOS for those atoms  $(\{1,2,3,4,7\})$  are summed up in a single file.

#### **LOAD\_HOP** *logical*, *string* Default: .false.

If .true., one can load hopping file to read  $t_{ij}$  value. The following string should be the file name to be read. And the syntax of the file should be exactly same as the hopping.dat file, which is generated in the initial stages of the calculation. Hence, if you have pre-generated hopping.dat file (with LOAD\_HOP .FALSE.), you can copy it with a different name and modify the elements of  $t_{ij}$  column, and rerun the code with following tag (for example, if you have copied hopping.dat  $\rightarrow$  hopping\_modified.dat):

```
LOAD_HOP .TRUE. hopping_modified.dat
```

Below, you can see that the original hopping element can be modified by changing values of the t\_IJ(eV) column.

```
... ORB_I ... ORB_J ...
# Iatom Jatom
                       Rij
                                                                  t_IJ(eV)
                 0.0 0.0 0.0 ...
                                                                    -4.0
                 0.0 0.0 0.0 ...
                                               . . .
                                                                     0.0
                                          S
                                                      рх
                                                            . . .
                                                                               . . .
                -1.2 -0.7 0.0 ...
            1
                                          s
                                                       S
                                                                    -3.9
                                               . . .
                                                                               . . .
                -1.2 -0.7 0.0 ...
     1
                                          S
                                               . . .
                                                                     1.9
                                                      рх
                       _{	extstyle -} hopping.dat example file _{	extstyle -}
```

```
# Iatom Jatom
                                   ORB_I ... ORB_J ...
                                                           t_IJ(eV)
                    Rij
    1
           1
                0.0 0.0 0.0 ...
                                                             -2.0
                                                 S
                                                                       . . .
                0.0 0.0 0.0 ...
                                                              0.0
                                                 рх
              -1.2 -0.7 0.0 ...
                                                             -3.9
                                     s
                                          . . .
                                                 S
                                                      . . .
                                                                       . . .
              -1.2 -0.7 0.0 ...
                                     S
                                                              1.9
                                           . . .
                                                 рх
                                                                       . . .
                _ hopping_modified.dat example file _
```

#### **IBAND** integer Default: 1

IBAND is the first eigenstate of the target data of EFILE. This value will be used in the WEIGHT SET section.

#### FBAND integer Default: NEIG

NEIG: number of orbital basis of the system. FBAND is the last eigenstate of the target data of EFILE. This value will be used in the WEIGHT SET section.

#### SCISSOR integer, real

If set, in the fitting procedures, target energy EDFT(n,k) will be shift by amound of the scissor operation. This operation works as follows:  $E'_{target}(n,k) = E_{target}(n,k) + e_{scissor}$  if  $n >= i_{scissor}$ . Note that this operation is only valied if TBFIT is .TRUE..

#### **NN\_MAX** integer Default: 3

Determine how many times the cell will be repeated in searching hopping pairs. If your system is sufficiently larger than the maximal value of hopping distances of your system, this can be reduced to 1, otherwise just use default value.

 $NN\_MAX 3 3 3$ 

or

NN\_MAX 3

both settings will give  $3\times3\times3$  cell repeat.

#### **ERANGE** integer Default: 1 NEIG

If provided, the energy level between these energy window will be printed out in the bandstructure\_TBA.dat file.

ERANGE 4400 4700

Above example means that the energy level from  $4400^{th}$  to  $4700^{th}$  will be printed. This is particularly useful if you calculate very large systems. By setting ERANGE tag, you can save disk space a lot if LORBIT tag is turned on where orbital component information takes huge memory for larger systems.

#### **EWINDOW** real, integer Default: not activated

The eigenvalues within the energy window [emin:emax] will be calculated and stored. This option also useful in dealing with huge system. The usage for this tag is as follows:

EWINDOW -5.0:5.0 NE\_MAX 10

If provided, the energy level between these energy window will be printed out in the bandstructure\_TBA.dat file.

In the above setting, the eigenvalue ( $\{e\}$ ) within the energy window [-5.0:5.0] will be calculated and stored. The Ne\_Max represents the maximum number of eigenvalue to be searched within the window and usually should be larger than the number of actual eigenvalues (NE) within the range and should not exceed the total number of eigenvalue (Ne\_Tot) of the system. The optimal values for Ne\_max is about  $1.5 \times \text{Ne}^8$ . Since the Ne\_max is critical to the calculation speed, choosing the optimal values is essential. During the calculation, the program will find the optimal Ne\_max and update in every k-point loop.

Note 1: If the tag is specified in your input file, the Hamiltonian matrix will be constructed with the sparse matrix format rather than dense matrix format. The libraries to dealing with the sparse matrix is referred from Intel Math Kernel Library (MKL), please make sure that your library path is properly assigned. (suggest to use MKL version  $\geq 11.3$ )

Note 2: If NE\_MAX is not provided or exceeding NE\_TOT, i.e., NE\_MAX > NE\_TOT, NE\_MAX will be set to NE\_TOT by default.

#### **SET** string

Setting tag for various post processings, parameter constraints, and nearest neighbor setups, etc. Available list for the SET tags are as follows,

GA: for Genetic Algorithm setting

CONSTRAINT TBPARAM

 $<sup>^8{\</sup>rm Eric}$  Polizzi, "Density-matrix-based algorithm for solving eigenvalue problem" Physical Review B 79, 115112 (2009)

<sup>&</sup>lt;sup>9</sup>Though, one need to provide reasonable NE\_MAX to save the memory, since NE\_MAX is used to reserve memory space for the eigenvector store internally.

NN\_CLASS

RIBBON

BERRY\_CURVATURE

ZAK\_PHASE

WCC

Z2\_INDEX

PARITY\_CHECK

EFIELD

WEIGHT

DOS

EIGPLOT

STMPLOT

**EFFECTIVE** 

REPLOT

## 2. Details of the SET

Each SET tag should be ended up by END tag.

**GA** Setting of control parameters for the **Genetic Algorithm** used in parameter fitting procedures. This setting is only effective when LSTYPE is set to **GA**. Below you can check the default settings for GA procedures. You can modify as your purpose or comment out to use default setup as a input.

```
SET GA
 MGEN 100 # maximum number of iterations. (default:500)
 NPOP 100 # population in each generation. (default:100)
 NGENE 6 # number of genes in chromosomal encoding.
           # should be in between 2 to 9. (default:6)
 PCROSS 0.85 # crossover probability. [min:max]=[0.0:1.0]
 RMUTMIN 0.0005 # minimum mutation rate. [0.0:1.0]
 RMUTMAX 0.25
                # maximum mutation rate. [0.0:1.0]
 RMUTINI 0.005 # initial mutation rate. [0.0:1.0]
 MUT_MOD 2
                 # mutation with 1: fixed rage
                 # mutation
                                  with 2: fitness dependent
                 # mutation
                                  with 3: distance dependent
                 # mutation+creep with 4: fixed rate
                 # mutation+creep with 5: fitness dependent
                 # mutation+creep with 6: distance dependent
                # relative fitness differential [0.0:1.0]
 FDIF 1.0
  IREP 3
           # reproduction plan 1: Full generational replacement
           #
                               2: Steady-state-replace-random
                               3: Steady-state-replace-worst
             # elitism 0: off, 1: on
             # Note that this tag applies only if IREP=1 or 2.
 VERBOSE 1
             # printed output 0/1/2=None/Minimal/Verbose
  CONVTOL 0.0001 # convergence tolerance (must be > 0.0).
 CONVWIN 20 # convergence window.
             # If CONVWIN consecutive solutions are found
             # convergence will be declaired.
             # Hence, give larger convergence window to reach minima.
  IGUESSF 0.1 # fraction of the initial population to set equal
              #to the initial guess. [0.0:1.0]
  ISEED 999 # random seed value (must be > 0).
END GA
                   _ GA default setup example ____
```

**STMPLOT** Setting of integrated eigen state wavefunction  $\Sigma |\psi_{nk}(r)|^2$  plot. Here, the summation runs over the eigen states within the energy window specified by STM\_ERANGE or equivalently STM\_WINDOW.

```
SET STMPLOT

NGRID 40 40 80 # GRID for CHGCAR-STM output (default = 0.1 ang).

STM_ERANGE -1.0:0.0 # energy window

RCUT 6.0 # cut off radius(Å). Beyond this will not be calculated.

REPEAT_CELL T T T # repeat orbital for each lattice vector?

# this logical tag is especially useful if you only

#consider center region of the very large cell.

# If set "T T F", orbital contribution which is periodically

# repeated in a3 direction wll not be considered to calculate.

# Try this option if you have very large cell and you are

# especially interested unitcell ceter.

END STMPLOT

STMPLOT setup example
```

**EIGPLOT** Setting of eigen state wavefunction  $\psi_{nk}(r)$  or charge density  $|\psi_{nk}(r)|^2$  plot.

```
SET EIGPLOT

IEIG 3 5  # index(es) n of eigen state.

IKPT 1 10  # index(es) k of k-point.

NGRID 40 40 80  # GRID for CHGCAR output (default = 0.1 ang).

RORIGIN 0.0 0.0 0.0  # shift of the origin of the cube file.

WAVEPLOT .TRUE. # plot wavefunction (.true.) or charge density.

RCUT 6.0  # cut off radius(Å). Beyond this will not be calculated.

END EIGPLOT

EIGPLOT setup example
```

**DOS** Setting of Density of states (DOS).

```
SET DOS
 GKGRID 100 100 1 # set Gamma centered Monkhorst-Pack grid
 KSHIFT 0.0 0.0 0.0 # shift of k-grid (k-offset)
 PRINT_KPTS .TRUE. IBZKPT-DOS_TB # print k-point to the file
 PRINT_EIG .TRUE. 1:2 3 # print specified energy surface
 PRINT_UNIT RECIPROCAL # k-point unit (or ANGSTROM 1/A)
 SMEARING 0.03 # gaussian smearing. Default = 0.025
                # number of grid points in energy window (erange)
 NEDOS 2000
 DOS_EWINDOW -20.0:10.0 # energy window to be plotted
 DOS_NRANGE 1:NEIG # energy window to be calculated (integer)
 DOS_SPARSE .TRUE. # or .FALSE. use sparse matrix? Default=.FALSE.
 DOS_FNAME DOS_TB_projected.dat # output file name for DOS output
 PRINT_LDOS .TRUE. 1:8 12 # Print local density of states for given
                         # atoms. Here, 1 to 8-th atoms and 12-th
                         # atoms will be resolved.
 LDOS_FNAME LDOS_TB_projected # header for LDOS file name.
```

Note1: NEIG variable of the DOS\_NRANGE tag indicates total number of states, i.e.,  $N\_ORB \times ISPINOR$ , where  $N\_ORB$  is total number of atomic orbitals and ISPINOR = 1 (LSORB = .FALSE.) or 2 (LSORB = .TRUE.). If you want to reduce calculation loads, you can adjust DOS\_NRANGE.

Note2: DOS\_SPARSE tag is only available if -DMKL\_SPARSE option is activated in the makefile. If set to .TRUE., DOS\_NRANGE should be as following:

```
DOS_NRANGE 1:NE_MAX or DOS_NRANGE NE_MAX
```

Here, NE\_MAX is integer value larger than zero and less equal than total number of states NEIG. This setting will reduce the resources required for hamiltonian matrix construction and time consuming for the eigenvalue problem by the energy window constraint in the help of sparse matrix eigen solver. See EWINDOW for more informations.

Note3: PRINT\_EIG is only applicable if DOS\_SPARSE = .FALSE.

#### **EFIELD** Setting of E-field.

```
SET EFIELD

EFIELD 0.0 0.0 0.1 # Efield along z direction

EF_ORIGIN 0.0 0.0 0.345690593 # (in fractional coordinate)

#EF_CORIGIN 0 0 0 # (in cartesian coordinate)

END EFIELD

EFIELD setup example
```

**WEIGHT** Setting of weight factor for the fitting procedures.

KRANGE integer: range of k-point where the weight factor is applied TBABND integer: range of eigen states of the tight binding calculation DFTBND integer: range of eigen states of the target energy bands WEIGHT real: weighting factor

ORBT-I ineteger: orbital index.  $n^{th}$  orbital states will get a penalty

SITE\_I ineteger: site index. ORBT\_I<sup>th</sup> orbital state at SITE\_I atom will get a penalty. This prohibit certain orbital character to be stabilized from the fitting procedures.

```
SET WEIGHT

KRANGE : TBABND : DFTBND IBAND:FBAND WEIGHT 1

KRANGE : TBABND 17:20 DFTBND 17:20 WEIGHT 6

KRANGE 20:60 100:140 TBABND 17:20 DFTBND 17:20 WEIGHT 20

KRANGE 1 TBABND 7 ORBT_I 1 SITE_I Mo1 PENALTY 200

END WEIGHT

WEIGHT setup example
```

constraints for the fitting and calculation. The value of the specified two parameter will be kept same during the fitting and tight-binding calculations. If you are using GA method for the fitting procedures (LSTYPE), you are encouraged to give upper bound and lower bound for each parameters to minimize parameter search field in the randomize procedures of GA method. The default lower/upper bound for every parameter is -20.0/20.0. Note that imposing the upper/lower bound for the parameter is not supported for LMDIF method in the current version.

```
SET CONSTRAINT

e_py_S = e_px_S # e_py_S is enforced to be same as e_px_S.

e_px_S <= 5.0 # upper bound for e_px_S (applied in GA)

e_px_S >= -5.0 # lower bound for e_px_S (applied in GA)

END CONSTRAINT

CONSTRAINT setup example
```

If the second argument '=' is replaced by '==' and the third argument is not present, then this parameter will not be fitted and its initial guess as defined in PFILE will be fixed during the fitting procedures. Note that, exactly same effect can be achieved by putting 'FIXED' tag at the parameter specification line of the PFILE, and the detailed explanation can be found in Fixing parameter of Sec.4.

#### **NN\_CLASS** Setting for nearest neighbor set up.

If the distance between two atomic species (For example, Mo and S) are 1st nearest type, and its upper limit is 3.2 angstrom (e.g., below this value will be regarded as the pair), thene we can set as follows,

```
Mo-S: 3.2 RO 3.171634
```

Here, number of dash '-' occurance between two atomic species indicates the distance class n, and the above example represents 1st nearest hopping between Mo and S. The following R0 tag defines optimal bonding distance between two neighbor pair. This value will be used in calling the scaling function to get the distance dependent hopping parameter.

```
SET NN_CLASS

Mo-Mo : 3.2 R0 3.171634

S-S : 3.28 R0 3.171634

S--S : 3.2 R0 3.193724

Mo-S : 2.5 R0 2.429624

END NN_CLASS

NN_CLASS setup example
```

**RIBBON** Setting for nanoribbon calculations.

At the initial stages of the calculations, TBFIT will generate GFILE-ribbon with the settings bellow.

NSLAB integer: multiplication of unitcell along each direction

VACUUM real: vacuum spacing along each direction.

KFILE\_R real: KFILE for ribbon band structure. Default: KFILE

<code>PRINT\_ONLY\_R logical:</code> if <code>.TRUE.</code> the geometry file will be generated with <code>-ribbon</code> suffix to the <code>GFILE</code> and the program will imediatly stops. <code>Default:.FALSE.</code>

```
SET RIBBON

NSLAB 1 20 1

VACUUM 0 20 0

KFILE_R KPOINTS_RIBBON

PRINT_ONLY_R .FALSE. or . TRUE.

END RIBBON

Ribbon calculation setup
```

**Z2\_INDEX** Automatic calculations for topological index  $[\nu_0 \ \nu_1, \nu_2, \nu_3]$  for 3D or  $\mathbb{Z}_2$  for 2D via WCC method. The output will be written at Z2.WCC.plane\_index.dat and Z2.GAP.plane\_index.dat. Here, plane\_index indicates one of six  $B_i$ - $B_j$  plane with  $B_k = 0$  or  $\pi$ . For example, if plane\_index = 0.0-B3.B1\_B2-PLANE, then it contains WCC information of B1-B2 plane with  $k_z = \pi$ .

```
SET Z2_INDEX

Z2_ERANGE 1:28 # upto occupied

Z2_DIMENSION 3D # or 2D:kz (2D WCC plane perpendicular to kz)

Z2_NKDIV 21 21 # k-grid for KPATH and k-direction for WCC

Z2_CHERN .TRUE. # 1st Chern number of given bands with ERANGE

END Z2_INDEX

Z2 index calculation using WCC method
```

**WCC** Wannier Charge Center calculation settings

```
SET WCC
WCC_ERANGE 1:28 # upto occupied
```

```
WCC_FNAME WCC.OUT.dat

WCC_FNAME_GAP WCC.GAP.dat # largest gap will be written

WCC_KPATH 0 0 0 1 0 0 # k_init -> k_end (ex, along b1)

WCC_KPATH_SHIFT 0 0 0.5 # kpoint shift along b3 direction

WCC_DIREC 2 #k-direction for WCC evolution (1:b1,2:b2,3:b3)

WCC_NKDIV 21 21 # k-grid for KPATH and k-direction(odd number)

WCC_CHERN .TRUE. # 1st Chern number of given bands with ERANGE

END WCC

Wannier charge center (WCC) setup: kz 0.5 (shift)
```

#### **ZAK\_PHASE** Setting for Zak phase calculations.

```
SET ZAK_PHASE

ZAK_ERANGE 1:28 # upto occupied

ZAK_FNAME ZAK_PHASE.OUT.dat

ZAK_KPATH 0 0 0 1 0 0 # k_init -> k_end (ex, along b1)

ZAK_DIREC 2 #k-direction for Zak phase evolution (1:b1,2:b2,3:b3)

ZAK_NKDIV 21 21 # k-grid for KPATH and k-direction

END ZAK_PHASE

Zak phase setup
```

#### **BERRY\_CURVATURE** Setting for Berry curvature calculations.

```
SET BERRY_CURVATURE

BERRYC_METHOD KUBO # .or. RESTA(not yet supported)

BERRYC_ERANGE 17:18

BERRYC_FNAME BERRYCURV.17-18 # output will be BERRYC_FNAME.dat

BERRYC_DIMENSION 2D:B3 # 2D plane perpendicular to kz)

END BERRY_CURVATURE

Berrycurvature setup
```

#### **PARITY\_CHECK** Setting for Parity eigenvalue calculations for given k-points.

```
SET PARITY_CHECK
   PARITY_KP 0.0 0.0 0.0 G
                             # Gamma (reciprocal unit)
   PARITY_KP 0.5 0.0 0.0 M1
                              # M1 (reciprocal unit)
   PARITY_KP 0.0 0.5 0.0 M2
                                      (reciprocal unit)
                              # M2
   PARITY_KP 0.5 0.5 0.0 M3
                            # M3
                                      (reciprocal unit)
   ORIGIN_SHIFT 0.0 0.0 0.0 # origin of the system (direct coord)
   ROTATION1 -1 0 0 # Rotation matrix (R) for inversion
   ROTATION2 0 -1 0 # => R*X=-X (invert coordinate)
   ROTATION3 0 0 -1 # => X:direct coord ; R: integer 3x3 array
END PARITY_CHECK
                 _____ Parity check setup _____
```

#### Note:

• You can add (or remove) PARITY\_KP tag if you want to get the parity information

for another TRIM (time reversal invariant momenta: -k=k+G) point.

- To use this functionality and to get the meaningful results, your system should have inversion symmetry.
- The ROTATION tag is optional, the default is

$$R = \begin{bmatrix} ROTATION1 \\ ROTATION2 \\ ROTATION3 \end{bmatrix} = \begin{bmatrix} -1 & 0 & 0 \\ 0 & -1 & 0 \\ 0 & 0 & -1 \end{bmatrix}$$

**EFFECTIVE** Setting for evaluating effective hamiltonian and its eigenvalues. This job will be performed by the Löwdin downfolding technique<sup>10</sup>. Note that in the current version, only the energy-dependent effective Hamiltonian will be constructed, where the energy is representing one's interested region.

```
SET EFFECTIVE HAM

EFF_ORB C:pz # downfolding will be performed on these orbitals

EFF_EWINDOW -2:2 # energy window of interest (e_center=-2+2/2)

END EFFECTIVE HAM

Effective Hamiltonian construction
```

**REPLOT** Setting for replotting DOS/LDOS by reading band\_structure.dat or band\_structure.up(dn).dat file.

```
SET REPLOT
 REPLOT_DOS .TRUE. # Recalculate DOS using pre-calculated
                  # band_structure file, e.g.,
                  # band_structure.dat (nonmagnetic or
                  # non-collinear) or band_structure.up/dn.dat
                  # (spin polarized case).
 REPLOT_LDOS .TRUE. 1:8 12 # Print local density of states for
                           # given atoms. For example, here,
                           # 1st to 8-th atoms and 12-th
                           # atoms will be resolved.
 SMEARING 0.03 # gaussian smearing. Default = 0.025
           2000 # number of grid points in energy window (erange)
  DOS_EWINDOW -20.0:10.0 # energy window to be plotted
 REPLOT_SLDOS .TRUE. # spatial LDOS within EWINDOW
 REPEAT_CELL 20 20 1 # if REPLOT_SLDOS = .TRUE.,
                       # cell periodicity for visualization
 RORIGIN 0.0 0.0 0.0 # shift of origin of atomic coordinates
                       # (fractional to unit vector a1, a2, a3,
```

 <sup>10</sup> P.-O. Löwdin, J. Chem. Phys. 19, 1396 (1951)
 E. Zurek, O. Jepsen, O. K. Anderson, Chem. Phys. Chem. 6, 1934 (2005)

Note 1: This tag is useful if you want to get series of DOS/LDOS calculations with respect to the SMEARING and energy window. If this SET is activated, other calculations will be ignored and the program stops immediately after the calculation.

Note 2: If REPLOT\_DOS = .TRUE. or REPLOT\_LDOS = .TRUE. or REPLOT\_SLDOS = .TRUE., then it is encouraged to set SMEARING, NEDOS, DOS\_EWINDOW, otherwise the default values will be used.

Note 3: If REPLOT\_SLDOS = .TRUE., then, REPEAT\_CELL, RORIGIN, BOND\_CUT should be set together, otherwise the default values will be used.

Note 4: The output file names are as follows:

if REPLOT\_DOS = .TRUE.  $\rightarrow$  DOS.replot.dat,

if REPLOT\_LDOS = .TRUE.  $\rightarrow$  LDOS.replot.ATOM\_INDEX.dat, where ATOM\_INDEX is the atom number,

The example can be found in the "Example/Graphene/DENSITY\_OF\_STATE/replot" of your example folder.

if REPLOT\_DOS = .TRUE.  $\rightarrow$  SLDOS.replot.dat and BOND.replot.dat.

The example can be found in the "Graphene/QSH/NANORIBBON/

zigzag\_ribbon/SPATIAL\_LDOS\_REPLOT" of your example folder.

# 3. Details of the format of GFILE

#### Atomic orbital setup string

Hydrogen-like atomic orbital can be specified for the orbital basis. The possible orbital basises are <sup>11</sup>:

s px py pz dz2 dxy dx2 dxz dx2

```
0 0.0 0.0 s px py pz # s, px, py, and pz orbitals at ATOM_A
0 0.0 0.5 s px py pz # s, px, py, and pz orbitals at ATOM_B

setup of atomic orbital basis in GFILE
```

# Custumized atomic orbital setup string

If someone does not want to use Slater-Koster type interatomic hopping parameter, customized atomic orbital can be defined instead. In this case, distance

<sup>&</sup>lt;sup>11</sup>Please note that current version does not support the f orbitals. However, we will include f in the future release of TBFIT. For the Slater-Koster tables of f orbitals, please see [K. Lendi, Phys. Rev. B 9, 2433 (1974)].

and hopping pair dependent parameterization should be properly defined in the PFILE

Warning: This is experimental feature and on the development stages (do not use).

```
0 0.0 0.0 cp1 # cp1 orbital at ATOM_1
0 0.0 0.5 cp1 # cp1 orbital at ATOM_2
setup of custumized atomic orbital name cp1
```

#### **MOMENT** tag real

Magnetic moment for Each atomic orbital can be assigned as follows,

collinear case: 0.0

noncollinear case: 0.0 0.0 0.0 [M  $\theta$   $\phi$ ]

```
0 0.0 0.0 px py pz moment 0 0 1 # spin-up for pz
0 0.0 0.5 px py pz moment 0 0 -1 # spin-dn for pz

usage of moment tag in GFILE with collinear magnetism
```

```
0 0.0 0.0 px py pz moment 0 0 0 0 0 1 0 0 # spin-up for pz 0 0.0 0.5 px py pz moment 0 0 0 0 0 0 -1 0 0 # spin-dn for pz usage of moment tag in GFILE with noncollinear magnetism _____
```

#### **MOMENT.C** tag real

Similar to MOMENT but in noncollinear case, the  $1^{st}$ ,  $2^{nd}$ , and  $3^{rd}$  value represents,  $m_x$ ,  $m_y$ , and  $m_z$ , respectively. Here, x, y, and z represents the cartesian axis.

noncollinear case: 0.0 0.0 0.0 [ $M_x$   $M_y$   $M_z$ ]

```
0 0.0 0.0 px py pz moment.c 0 0 0 0 0 0 0 1 # spin-up for pz 0 0.0 0.5 px py pz moment.c 0 0 0 0 0 0 0 -1 # spin-dn for pz usage of moment.c tag in GFILE with noncollinear magnetism
```

# **4. Details of the format of PFILE**

#### **ONSITE** parameters real

Onsite prameters for each atomic orbital should have the prefix e\_ and joint with the name of the orbital. The suffix should be the atomic species where the orbital placed.

```
e_dx2_Mo -0.34
```

#### **HOPPING** parameters real

The tight binding hopping parameter used in the calculations.

```
case1.) IS_SK .TRUE.
```

In this case, Slater-Koster type parameter should be specified properly. The syntax is as follwos:

```
hopping-type_nn-class_AB
```

hopping-type will have one of following prefix:  $\{ss, sp, sd, pp, pd, dd\}$ , and one of following suffix:  $\{s, p, d\}$ , which implies  $\sigma$ -,  $\pi$ -, and  $\delta$ -type inteaction. nn-class specifies the distance class. See NN\_CLASS for the details. AB specifies the two atomic species (A and B atoms) where the orbital hopping take place. For example, for the  $dd\delta$  Slater-Koster parameter involved with the hopping process between the  $d_{z2}$  orbital in Mo atom and  $d_{yz}$  orbital in Mo, and they are  $2^{nd}$  neighbor pair, then the parameter should be the following form:

```
ddd_2_MoMo -0.2
```

```
case2.) IS_SK .FALSE.
```

Warning: This is experimental feature and on the development stages (do not set to .FALSE.).

In this case, the customized atomic orbital is assumed and the following scheme should be applied:

```
hopping-type_nn-class_AB
```

Here, the basic structure is same as case1.), however, the syntax of hopping-type is slightly different. That is: the prefix should have cc since this indicates customized hopping parameters. For the suffix, one should put user defined letter that characterize the hopping. For example,

```
cca_2_BiBi 0.01
```

represents the hopping between  $2^nd$  neighbor Bi atoms with the 'a' type of rule which characterizes hopping pair. If you want to setup the rule, you have to write the conditions to the source code: get\_cc\_param.f90.

```
# SET UP THE 'USER' DEFINED HOPPING 'RULE'
# NOTE: In THIS example, hopping between Bi-Bi atom along
# x-direction characterized by hopping distance at around
# 8.6 Å (cca_2_BiBi) with nn_class = 2 will be considered.
# Following 'if' routine will find the parameter named
# cca_2_BiBi in the 'PFILE' and will asign its number as
```

#### LOCAL POTENTIAL: LOCAL.POT parameters real

If you want to apply local potential to the particular atomic site or particular orbital, then you can simply turn on LOCCHG (.TRUE.) and write local.pot tag together with the amount of local potential to be applied for each atomic orbitals in the GFILE. Next, you have to provide proper scaling parameter ( $U^i_{onsite}$ ) for the local potential, since the local potential is applied on your Hamiltonian as:  $e^{i_i}_{onsite} = e^i_{onsite} + e^i_{loc.pot} \times U^i_{onsite}$ , i.e., it modifies onsite energy  $e^i_{onsite}$  to  $e^n_{onsite}$ . Here,  $U^i_{onsite}$  should be defined in your PFILE so that the syntax is local\_U\_orbital-type\_atom-name. orbital-type is one of s, p, or d type of orbital and atom-name is the name of atomic species you want to apply the local potential.

```
0 0.0 0.0 px py pz local.pot 1 1 1 1 # positive loc.pot
0 0.0 0.5 px py pz local.pot -1 -1 -1 -1 # negative loc.pot

example of local.pot tag in GFILE
```

```
local_U_p_S 1.0 example of local.pot parameter in PFILE _____
```

#### **SOC** parameters real

```
case1.) IS_SK .TRUE.
```

Every spin-orbit coupling parameters in Slater-Koster method should have the prefix with lambda\_ and proper orbital information  $p_{-}$ (as a joinder, for example p orbital) and species information  $_{-}$ S(as a suffix, for example Sulpur atom) to precisely indicating the atomic orbital where the SOC effect will be applied.

```
lambda_p_S 0.2
```

```
case2.) IS_SK .FALSE.
```

In the case of user defined hopping parameter (orbital prefix start with c, see Sec.3 for the details) has been defined in the GFILE, SOC can be considered by setting

up the Rashba and in-plane spin-orbit interaction. For Rashba type SOC, the prefix lrashba should be joint with nearest neighbor class n and hopping pair as follows.

lrashba\_c\_2\_BiBi 0.2

Above setting represents, Rashba type spin-orbit coupling between the custum type orbitals with c-prefix of the atom Bi and Bi.

#### **Fixing parmeter**

If one want some parameters not to be fitted during the fitting procedures, one can fix those parameters by adding FIXED or F. For example, if you want lambda\_p\_S to be kept as its initial value, then, set this parameter as follows,

lrashba\_c\_2\_BiBi 0.2 FIXED

#### **Example of PFILE**

```
e_dz2_Mo
                 -0.34636955
   e_dx2_Mo
                 -0.70447045
   e_dxy_Mo
                 -0.70447045
   e_dxz_Mo
                 -0.17913534
   e_dyz_Mo
                 -0.17913534
     e_pz_S
                 -2.96500556
     e_px_S
                 -1.47877518
     e_py_S
                 -1.47877518
      e_s_S
                -10.51138070
 dds_1_MoMo
                 -1.04598377
 ddp_1_MoMo
                  0.44731993
 ddd_1_MoMo
                  0.10237760
   pps_1_SS
                  0.62323972
                  0.03251328
   ppp_1_SS
  pds_1_MoS
                 -2.32384045
  pdp_1_MoS
                  0.97229680
   sss_1_SS
                 -0.57287106
   sps_1_SS
                 -0.33278732
   sss_2_SS
                 -0.45573348
   sps_2_SS
                 -0.21906117
  sds_1_MoS
                  2.66111706
lambda_d_Mo
                  0.08014531
                               Fixed
 lambda_p_S
                  0.07567002
                              Fixed
```

example of PFILE: PARAM\_FIT.dat for MoS2 (IS\_SK .TRUE.)

# Part II. Examples

# 1. Graphene with s and p orbitals

## 1.1. Parameter fitting

#### 1.1.1. Prepare main control file: INCAR\_TB

TBFIT reads INCAR\_TB in the initial stages of the calculations to set up basic control parameters. In addition, GFILE, KFILE, and PFILE is mandatory for the normal run, and it should be predefined in your INCAR\_TB. For the fitting procedures, TBFIT should be .TRUE.. Then, one has to choose the fitting algorithm LSTYPE among LMDIF and GA. In this example, we will take LMDIF as a fitting algorithm. For the GA method, please find the example in "Example/Graphene/BAND\_FIT/Step\_1.genetic\_algorithm/" of your example folder.

The users must pay some time to "SET WEIGHT" which is quite important in fitting procedures. If you want to fit more tightly than the other regions of your target band structure, you can put much higher value for that particular region. In this example, we have 16 atomic orbitals (2 atoms  $\times$  4 orbitals per atom  $\{s, p_x, p_y, p_z\} \times 2$  spinors) in total. The target band structure, which is calculated by VASP, also have 16 band structure. In the INCAR\_TB file below, we give 5 weights.

The first line,

```
KRANGE: TBABND: DFTBND 1:16 WEIGHT 1
```

indicates that the all the k-range (:), and all the tight binding band structure (:), and first sixteen bands (1:16) of DFT target band structure will be weighted with "1".

And the second line,

```
KRANGE: TBABND 1:8 DFTBND 1:8 WEIGHT 7
```

indicates that the all the k-range (:), and first eight tight binding bands (1:8) will be targeted to the first eight (1:8) of DFT band structure with weight of "7". Hence, the valence bands will be much more tightly fitted.

And the third line,

```
KRANGE 10:51 TBABND 5:10 DFTBND 5:10 WEIGHT 27
```

indicates that the particular k-range (10:51, around M-K rigion), and 5-th to 10-th tight binding bands (5:10) will be targeted to those of DFT band structure with much larger weight of "27". The bands near the Fermi level and near the Dirac point will be fitted tightly. For the other lines, the same rules can be applied.

Next, the basic control tags should be informed. For example, MITER, PTOL, FTOL, PFILE, POFILE, EFILE ..., etc.

And then, one should specify whether your system is one of followings: nonmagnetic, noncollinear, collinear, which can be defined by TYPMAG, together with LSORB which is for the spin-orbit coupling effect. If you have put some LOCAL.POT tag in your PFILE to consider some local potential, you should turn on LOCCHG to .TRUE., and add some relevant parameters (see LOCAL.POT for the details) into the PFILE to manage the strength of the local potential. The tag IS\_SK is to make sure that the hopping integral evaluation will follow the Slater and Koster's rule<sup>12</sup>. Note that in the current version, IS\_SK = .FALSE. is experimental and under developing for the ease of use, so recommend to leave it to .TRUE..

Now you have to make some rule for the nearest neighbor (nn) hoppings by setting up "SET NN\_CLASS" which defines interatomic hopping. Once you set nn pair, the necessary hopping parameter for those hopping will be automatically determined and TBFIT will trying to find those parameters in your PFILE. The detailed syntax for the naming of hopping parameters can be found in Section-4: PFILE-detail.

Finally, with "SET CONSTRAINT TBPARAM" tag, one can add some constraint rule between parameters or restrict the magnitude of the parameters by applying upper/lower bound to them. For example, here, we have assumed that every p orbitals shall have same onsite energy. So by setting "e\_px\_C = e\_pz\_C", during the calculations, e\_px\_C value will be kept same as e\_pz\_C.

#### **INCAR\_TB** : control tags

```
TBFIT
         .TRUE.
        LMDIF
LSTYPE
        300
MITER
PTOL
        0.00000001
FTOL
        0.00000001
GFILE
        POSCAR-TB
KFILE
        KPOINTS_BAND
PFILE
        PARAM_FIT.dat
EFILE
        DFT_BAND.dat
POFILE
        PARAM_FIT.new.dat
LOCCHG
        .TRUE.
TYPMAG
        noncollinear
LSORB
       .TRUE.
LORBIT .FALSE.
IS_SK
       .TRUE.
```

<sup>&</sup>lt;sup>12</sup>J. C. Slater and G. F. Koster, "Simplified LCAO Method for the Periodic Potential Problem", Phys. Rev. 94, 1498 (1954)

```
SET WEIGHT
   KRANGE:
                   TBABND :
                                 DFTBND 1:16 WEIGHT 1
   KRANGE :
                   TBABND 1:8
                                 DFTBND 1:8
                                             WEIGHT 7
   KRANGE 10:51
                   TBABND 5:10 DFTBND 5:10 WEIGHT 27
   KRANGE 20:40
                   TBABND 1:4
                                DFTBND 1:4
                                             WEIGHT 50
   KRANGE 1:8 53:80 TBABND 3:6 DFTBND 3:6
                                             WEIGHT 10
END WEIGHT
SET NN_CLASS
   C-C : 1.8 RO 1.4145
END NN_CLASS
SET CONSTRAINT TBPARAM
   e_px_C = e_pz_C
   e_py_C = e_pz_C
    e_s_C >= -10
   e_px_C >= -10
   e_py_C >= -10
   e_pz_C >= -10
 sss_1_CC >= -10
 sps_1_CC >= -10
 pps_1_CC >= -10
 ppp_1_CC >= -10
           >= -10
lambda_p_C
    e_s_C <= 10
   e_px_C <= 10
   e_py_C <= 10
   e_pz_C <= 10
 sss_1_CC <= 10
 sps_1_CC <= 10
           <= 10
 pps_1_CC
           <= 10
 ppp_1_CC
lambda_p_C  <= 10
END CONSTRAINT TBPARAM
          — example of INCAR-TB for Graphene —————
```

#### 1.1.2. Prepare parameter file: PARAM\_FIT

#### PARAM\_FIT.dat : PFILE

```
e_s_C 0.80302000
e_px_C 0.24526000
e_py_C 0.24526000
e_pz_C 0.24526000
```

```
      sss_1_CC
      -6.83068000

      sps_1_CC
      6.20074000

      pps_1_CC
      4.02474000

      ppp_1_CC
      -2.55074000

      lambda_p_C
      0.00000000

      example of PFILE for Graphene
```

#### **POSCAR-TB**: GFILE

```
# Graphene with honeycomb lattice
 1.000000000000000
 2.45
                        0.0000000000000000
                                              0.0
 1.2250000000000000
                        2.1217622392718746
                                              0.0
 0.0000000000000000
                       0.0000000000000000
                                             15.0
 2
 Direct coordinate
 0.16666666667 0.16666666667
                                 0.0
                                         рх
                                                  pz
                                 0.0
 -0.16666666667 -0.16666666667
                                       S
                                         рх ру
                                                  pz
             —— example of GFILE for Graphene
```

#### **KPOINTS\_BAND**: KFILE

```
# k-points along high symmetry lines
 20 # number of division between each line segment.
 Line-mode
 Reciprocal
                                     G
 0 0 0
 0.50000000 0.500000000 0
                                     М
 0.50000000 0.500000000 0
                                     М
 0.00000000 0.000000000 0
 0.00000000 0.000000000 0
                                     G
 0.00000000 0.000000000 0.5
          __ example of KFILE for Graphene
```

Note that the file syntax is exactly same as KPOINTS file of VASP program. See here for the details.

#### **DFT\_BAND.dat**: **EFILE**

For the details of the EFILE, please go to EFILE section and also please find the example file in "Example/Graphene/BAND\_FIT/Step\_2.lmdif\_method/" of your example folder.