# ecalj — Get statrted (aug2013)

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#### 1 Introduction

The "ecalj" package is for first-principle electronic structure calculation for DFT and GW. It has unique features. Especially, we can perform the quasiparticle self-consistent GW (QSGW) calculations based on the PMT method (=Linearized APW+MTO method). We name this as the PMT-QSGW. Introduction to the PMT-QSGW is given in Sec.1.1. We can easily plot energy band dispersion curve in QSGW in whole Brillouin zone(BZ), easy to calculate effective mass.

Search papers with keywords 'self-consistent GW'. Or many of T.Kotani's papers at https://www.zotero.org/groups/takaokotani\_paper/items/ are related to the QSGW. In addition, there are papers which use previous version of GW code mainly written by T.Kotani. The PMT-QSGW method described here in ecalj is quite new (now preparing a manuscript for its methodology), and is based on the previous developments. Now the GW code has long history; I learned so much from the Ferdi Aryasetiawan's GW code, and Mark van Schilfgaarde helped a part of its development.

The ecalj web site is at https://github.com/tkotani/ecalj Free to download ecalj package from it, and use it. The QSGW code is version controlled by git, thus your obtained results are reproducible by others easily (need to specify version number and input files). Install and minimum tests are easily possible even in a note PC (I use Ubuntu 12.04 on Thinkpad T420s. One advantage of Ubuntu is nothing need to buy. You can reproduce things in this manual in a day, or hopefully in half a day). For productive calculations, it is apparently better to use a node with 16 core, or something. Current implementation for parallelization by MPI is limited; So, probably, it is not so efficient to use multiple nodes now. We also have a web site at http://pmt.sakura.ne.jp/wiki/, however, most of all are in Japanese and not organized well. We expect you to clarify acknowledgment to ecalj in your publications.

The ecalj is related to another FP-LMTO package lmv7 seen at http://titus.phy.qub.ac.uk/packages/LMTO/fp.html. The lmv7 and ecalj are branched off at year 2009. After branched, contributions are due to T.Kotani and Hiori Kino (NIMS) until now. We added new features: all codes are in f90; new methods are added, especially PMT-QSGW; MPI parallelization for QSGW; quite simplified usage.

Read this EcaljGetStarted.pdf first. It shows minimum to plot energy band, density of states, and partial dos after the LDA/QSGW calculations.

If you have something, let takaokotani(at)gmail.com know it. I may help you to do something, or it help us to make this text better. Furthermore, with your ideas, we like to have collaborations and add newer development on it. I may say the ecalj itself is still in a research stage (writing papers by applying to materials, and compare with experiments), although it becomes rather stable <sup>1</sup>

<sup>&</sup>lt;sup>1</sup>In cases to treat magnetic systems which have intrinsic magnetic fluctuations, we may need to be careful about initial condition or mixing procedure to get convergence. In cases,

#### 1.1 Features of the ecalj package.

Central part in any electronic structure packages is one-body problem solver. It means how to calculate eigenvalues and eigenfunctions for a given one-body potential. Inversely, we have to generate new one-body potential for given eigenfunctions and eigenvalues based on the density functional theory (DFT) in the LDA or GGA (In the followings, LDA means both of LDA and GGA). Then we can make the electron density self-consistent by iterations until converged, and obtain total energy of ground states. Then we can also calculate atomic forces by perturbation. Based on such an one-body problem solver, we can implement kinds of methods; e.g, dielectric function, magnetic susceptibility, transport and so on. Furthermore, we can implement higher-level approximations such as the QSGW method explained below.

An one-body problem solver (in linear methods) are characterized by

- (i) linear combinations of what basis set to represent eigenfunctions;
- (ii) how to represent electron density and one-body potential.

In the ecalj, we use the PMT method [?] as the one-body problem solver. The PMT method is a new all-electron full potential method. It uses not only the augmented plane waves (APW) but also the muffin-tin orbitals (MTO) together, in addition to the local orbital (lo), to represent the eigenfunctions (within our knowledge, no other methods in the world use two kinds of augmented waves simultaneously). Thus eigenfunctions are represented by linear combinations of the APWs, MTOs, and the lo's. For electron density and the one-body potential, they are represented by three components representation. These are divided into three components; "smooth part + onsite muffin-tin (MT) part - counter part". Here the counter part is in order to remove smooth part within MTs. This formalism (Soler-Williams formalism) is also used in the projected augmented wave (PAW) method [?].

In ecalj, we can perform the GW calculation. The usual GW approximation is so-called "one-shot GW" starting from LDA. It is usually only calculating differences between the quasiparticle energies (QPEs) and the LDA eigenvalues by a perturbation (only diagonal part of self energy for the LDA eigenfunctions). Its ability is limited; it can fail when its starting point (eigenfunctions and eigenvalues supplied by LDA) is problematic. Thus T.Kotani with collaborators developed the QSGW method. The QSGW now becomes popular, performed by other researchers. In principle, results by QSGW do not depend on LDA anymore; the LDA are only used to prepare initial condition for self-consistency iteration cycle of the QSGW calculation <sup>2</sup>.

Usually the QPEs obtained by QSGW reproduce experiments better than LDA. For example, the band gap by GGA for GaAs is about  $0.5~\rm eV$  in contrast to the experimental value of  $1.6\rm eV$  (If we undo electron-phonon effects from the

we need to start from LDA+U results as initial condition from which we start QSGW. Let me know about such trouble.

 $<sup>^2</sup>$ Exactly speaking, we use LDA idea for efficient implementation of QSGW; thus obtained results are slightly dependent on the choice of LDA

experimental value, it becomes about 1.7eV). On the other hand, the QSGW predict about 1.9eV, a few tenth of eV larger than experiment (for practical use, we sometimes need to use "hybrid functional between QSGW and LDA"; this is in contract to the hybrid between Hartree-Fock and LDA). Even in the case of NiO and so on, the QSGW gives reasonable results (it tends to give a little larger band gaps than experiments). This is in contrast to the case of the one-shot GW applied to NiO; in such a case, not good results because the stating points in LDA is problematic.

The ecalj package can also have other functions. LDA+U, atomic forces and relaxation (in GGA/LDA), core level spectroscopy and so on. In addition, we can calculate dielectric functions and magnetic responses from QPEs and the quasiparticle eigenfunctions given by LDA/QSGW. But total energy in QSGW is still in research (shown total energies in QSGW calculations are dummy now).

Recent development of "dual-MTO prescription" allows us to use very localized MTOs (with damping factors  $\exp(-r/(1a.u.))$  and  $\exp(-r/(1.4a.u.))$ ), together with APWs of low energy cutoff (3 ~ 4 Ry).<sup>3</sup> I think this is promising not only for efficient DFT/QSGW scheme, but also for kinds of applications in future. The MTOs can be used instead of the Wannier functions, but not so much research on it yet.

The QSGW calculation requires so much computational time: roughly speaking, it takes 10 or more times expensive than usual one-shot GW (although we can reduce computational time by choosing computational conditions). Thus the size of systems which we can treat is limited to ten atom in a cell or something, say, with a node of 16 cores; computation may require a week or so to have reasonable convergence. (heavy atoms require longer computational efforts, light atoms faster; non-magnetic systems are easier. We still have much room to accelerate the method, but not have done yet so much. Minimum MPI parallelization is implemented). The computational effort is  $\propto N^4$  in the most time-consuming part of QSGW.

#### 1.2 What do we expect for QSGW?

In the hybrid functional methods, which use Vxc = (1-alpha)\*LDA+alpha\*(Fock exchange), where alpha is taken to be  $\sim 0.25$  usually. The alpha can be dependent on materials; for metals alpha should be almost zero. For larger band gap insulator, alpha becomes larger. (NOTE: if you use alpha=1 (Hartree-Fock limit), the band gap of Si becomes 20eV or something). Despite of some success of the functional, its ability is limited. For example, it is known that hybrid functionals fail to describe metals such as bcc Fe. On the other hand, we have LDA+U method which succeeded to describe materials including localized electrons. However, it contains kinds of ambiguity and U is chosen by hand.

The important part of the hybrid functional methods and LDA+U is the non-local potential. It is missing in the DFT. As we discussed above, they

 $<sup>^3\</sup>mathrm{current}$  implementation have not yet efficiently use this locality; this must allow us to speed up one-body problem solver.

give some success but not satisfactory. We somehow need to have a method to determine high-quality non-local potential (a substitution of the exchange-correlation potential). It is the QSGW method.

In advance, let me point out two important aspects of non-local potential (missing in the local potential used in DFT). One is the onsite non-locality; it is also taken into account by LDA+U model. However, note that relative shift of O(2p) band with respect to the center of 3d band is not in LDA+U. The other is the off-site non-locality (mainly between nearest neighbors), which gives LUMO-HOMO gap. A non-local potential can behave a projector which push down only the HOMO states (valence band) to lower energy. This can be in the hybrid functional but not in LDA+U.

In the QSGW, we determine such a non-local potential with the calculation of the GW method, in a self-consistent manner (we repeat GW calculations until converged). We can expect QSGW much more than hybrid methods/LDA+U. Very roughly speaking, because the QSGW automatically determine U of LDA+U, or alpha of the hybrid functionals. More accurately speaking, we determine not only  $G_0$  but also W (the screened Coulomb interaction) self-consistently. Here W corresponds to U and alpha. Thus QSGW gives reasonable results even if it is applied to metals such as Fe. For systems with metallic screening, it gives small non-locality (results are close to those of LDA). For systems with large band gap, QSGW gives large enough non-locality (like 0.25\*(Fock exchange)).

Since we now need to treat complex systems, e.g, metal on insulator, it is very essential to treat kinds of materials on a same footing.

The main purpose of QSGW is to determine "best  $H_0$ ", on which we describe one-particle picture to describe theories. In addition, W is determined consistently. In this sense, the QSGW is a method to convert the full many-body Hamiltonian into the renormalized many-body Hamiltonian (low energy Hamiltonian) based on the quasiparticle picture (or independent particle picture). Its non-interacting part is the quasiparticle (or independent particle) part called as  $H_0$  (people read this "H-naught").

In comparison with LDA, we see differences;

- Band gap. QSGW tends to give slightly larger than experiments. It looks systematic.
- Band width. Usually, sp bands are enlarged (except very low density case such as Na). This is the case for homogeneous electron gas. As for localized bands like 3d electrons, they can be narrowed.
- Relative position of bands. e.g. O(2p) v.s. Ni(3d). More localized bands tends to get more deeper. Exchange splitting between up and down (like LDA+U) get larger. In cases such as NiO, magnetic moment become larger; closer to experimental values.

Hybridization of 3d bands with others. QSGW tends to make eigenfunctions localized.

However, reality is complexed, and not so simple in cases.

#### 1.3 What is in this booklet?

Here we show minimum on the ecalj package. We will explain:

- How to perform self-consistent calculations by the density functional theory (DF) in the LDA.
- How to plot energy bands (BAND), total density of states (DOS), and the partial density of states (PDOS).
- How to perform the QSGW calculations. (above plot are possible in the same manner).
- Minimum about how to read input and outputs.

After we prepare a crystal structure file named as ctrls.\*, we run a script (ctrlgenM1.py) to generate ctrl.\* It contains (reasonable) default setting to do following calculations. To help writing ctrls.\*, ecalj contains samples and a converter between POSCAR(vasp format) and ctrls(ecalj format).

**NOTE**: After this manual, read EcaljUsage.pdf. It contains details of usage. For LDA/GGA part, relaxation of atomic positions, LDA+U, core-spectroscopy and so on. For GW part, we show how to plot dielectric functions, non-interacting spin susceptibility  $\chi_0^{+-}$ , and so on. In principle, we can calculate the RPA total energy, but not yet implemented (we had it; but need to renew it and test it again). We will add new features.

#### 2 Install

Look into ecalj/README. It is also shown at https://github.com/tkotani/ecalj. Installation of ecalj is not so difficult (especially for gfortran and ifort). I myself use Ubuntu12.04+gfortran+note PC for development of ecalj. After install procedure finished, we will have all required binaries and shell scripts in your ~/bin/ directory. (or somewhere else where you specified in Makfile and make.inc(BINDIR)). We have automatic installation checker.

#### 3 LDA calculations and Plots

Calculations are performed by following steps. These steps are detailed in the following sections.

To identify files used for a material we calculate, we add an extension to files. For example, files explained below are with extensions (only lower case allowed) of materials. For example, ctrls.cu and ctrl.cu. In this case cu is the extension. Any extension works. Other possible examples are ctrls.lagao3, ctrl.wgantest1, and so on.

- 1. Write crystal structure file ctrls.\*, which contains crystal structure. It can be by hand, or convert it from POSCAR (in vasp). There is a tool to convert between POSCAR and ctrls. (ecalj/StructureTool/README).
- 2. Generate ctrl.\* from ctrls.\* by a script ctrlgenM1.py. Here ctrl.\* is the main control file which contains all required information to perform calculations. the content in ctrls.\* in included in the ctrls.\* as a part. If necessary, we edit the generated ctrl.\* file before next step. There is a checker, lmchk, to confirm the crystal structure (space-group symmetry and so on); this is applied not to ctrls.\* but to ctrl.\*. ctrls.\* is not used in the following steps.
- 3. Run lmfa (just calculate spherical atoms (MT sites) placed in the cell). It also calculates core eigenfunctions and valence electron charge to set up initial condition. Then we run main calculation of LDA by lmf. It repeats iterations, and end up with converged results in LDA. Main result (electron density satisfying self-consistency) is stored in restart file rst.\* (binary file).
- 4. Plot energy band, DOS, PDOS, by running scripts. It is quite easy. Since we use gnuplot to plot them, meanings of obtained data is apparently clear.

#### 3.1 Write crystal structure file, ctrls

Let me show some samples of crystal structure files ctrls.\*.

```
Cu: ~/ecalj/lm7K/TESTsamples/Cu/ctrls.cu
     -----from here ------
     % const da=0 alat=6.798
     STRUC ALAT={alat} DALAT={da}
           PLAT= 0.0 0.5 0.5
                              0.5 0.0 0.5
                                            0.5 0.5 0.0
     SITE
            ATOM=Cu POS=0 0 0
     -----to here ------
GaAs: ecalj/lm7K/TESTsamples/GaAs/ctrl.gaas
     -----from here ------
     #id = GaAs
     %const bohr=0.529177 a=5.65325/bohr
     STRUC
          ALAT=\{a\}
         PLAT=0 0.5 0.5 0.5 0.5 0.5 0.5 0
     SITE
          ATOM=Ga POS=0.0 0.0 0.0
```

```
ATOM=As POS=0.25 0.25 0.25
       -----to here ------
SrTiO3: ecalj/lm7K/TESTsamples/SrTiO3/ctrls.srtio3
       -----from here -----
      %const da=0 au=0.529177
      %const d0=1.95/au a0=2*d0 v=a0^3 a1=v^(1/3)
      HEADER
             SrTiO3 cubic
      STRUC
              ALAT={a1} DALAT={da}
              PLAT=1 0 0 0 1 0 0 0 1
      SITE
            ATOM=Sr POS=1/2 1/2 1/2
            ATOM=Ti POS= 0
            O=MOTA
                   POS=1/2
                           0
            O=MOTA
                   POS= 0
                          1/2 0
                   POS= 0
            O=MOTA
       -----to here -----
```

Lines starting from '#' are neglected as comment lines. Lines starting from '% const' define variables and set values (in these cases, da, alat, and bohr, and so on). Then the variable alat is referred to as {alat}; in the cu case, {alat} means 6.798. Lines not start from "#" nor "%" are main content in the ctrls file. <sup>4</sup>

Note that we have two tags of "categories" "STRUC" and "SITE". ("HEADER" tag is also; but it is just for user's memo shown in console output). These tags should start from the first column. Thus ctrls is divided into multiple "categories". In a category, we have "tokens" such as ALAT, DLAT, PLAT. These under STRUC category. ALAT+DALAT specify unit of length in this ctrl file. These are in a.u. (= bohr radius=0.529177Å).

The unit cell is given by PLAT (as noted, ALAT+DALAT as unit). In the above example of GaAs, three primitive cell vectors specified by nine numbers after PLAT=; they give three primitive vectors; PLAT1=(0,0,0.5), PLAT2=(0.5, 0.0, 0.5), and PLAT3=(0.5, 0.5, 0). DALAT is convenient to change lattice constant; but it is fixed to be zero here; thus no effect in this example.

Note that SITE category can have multiple ATOM tokens. The number of ATOM token under SITE should be the same as number of atoms in the primitive cell. In the case of GaAs; SITE contain multiple ATOM tokens. POS= just next to ATOM is taken as subtokens under ATOM token. <sup>5</sup> In cases, we specify such subtokens as SITE\_ATOM\_POS.

In the SITE category, we place atoms (MT names) in the primitive cell. In these cases we use defaults atomic symbol (MT names) for ATOM. POS is in the Cartesian coordinate (in the unit of ALAT+DALAT).

<sup>&</sup>lt;sup>4</sup>For these variables, we can overlaid values when we start programs. E.g, 'lmf-vdalat=0.1 si'; this alat is recorded in save.si file.

<sup>&</sup>lt;sup>5</sup>This may looks slightly uncomfortable since the end of range of ATOM is not clearly shown; it end just at the next ATOM token or new category.

To test ecalj, you may make a test directory and copy a ctrls.\* to your directory. If you have VESTA and ecalj/StructureTool/ installed, you can see its structure by

#### \$ viewvesta ctrls.cu

(here \$ means command prompt).

NOTE: As written in ecalj/README, you have to install VESTA and viewvesta. Then set VESTA= at the top of ecalj/Structure/viewvesta, and make softlink to it. The command viewvesta(~/ecalj/StructureTool/viewvesta.py) generate POSCAR\_cu.vasp first, then send it to VESTA. viewvesta also accept POSCAR\_cu.vasp directly. Except names starting from ctrl and ctrls, viewvesta sends the name to VESTA directly. We need extension '.vasp' to recognize it is written in VASP format. We have samples in ~/ecalj/StructureTool/sample.

A tool vasp2ctrl converts POSCAR\_.vasp to ctrls.. "-help" show a small help.

• ecalj/StructureTool/ is not tested well. Not believe it so much... We will fix it on your request.

In ctrls.srtio3, we use an expression 1/2 to give POS. We can use mathematical expression instead of values. Mathematical expressions such as "+-\*/ sqrt(...)" are recognized. (instead of 3\*\*2, use  $3^2$ . You can use parenthesis, but no space for separation). We can use default atomic symbols (to check default atom name (MT name) type ctrlgenM1.py --showatomlist). Instead of such default symbols, we can use your own symbol as

```
SITE

ATOM=M1 POS=1/2 1/2 1/2

ATOM=M2 POS= 0 0 0

ATOM=0 POS=1/2 0 0

ATOM=0 POS= 0 1/2 0

ATOM=0 POS= 0 0 1/2

SPEC

ATOM=M1 Z=38

ATOM=M2 Z=22

ATOM=0 Z=8
```

. Then we have to add extra category SPEC where we set Z number. (You can use Z=37.5 for virtual crystal approximation, however, you can not do it in ctrls now. Edit it in ctrl file. Such a procedure will be explained in EcaljUsage.pdf[?].)

This is an example for Antiferro NiO:

```
#id = NiO
# NOTE set MMOM. (it will be included in this...)
%const bohr=0.529177 a=7.88
```

```
STRUC ALAT={a} PLAT= 0.5 0.5 1.0 0.5 1.0 0.5 0.5

SITE ATOM=Niup POS= .0 .0 .0

ATOM=Nidn POS= 1.0 1.0 1.0

ATOM=0 POS= .5 .5 .5

ATOM=0 POS= 1.5 1.5 1.5

SPEC

ATOM=Niup Z=28 MMOM=0 0 1.2 0

ATOM=Nidn Z=28 MMOM=0 0 -1.2 0

ATOM=0 Z=8 MMOM=0 0 0
```

In this case, we define Niup and Nidn sites. These are recognized as Ni atom because of given Z number in SPEC. The subtoken MMOM=Ms,Mp,Md,Mf... are to specify number of magnetic moments ( $\mu_B$ ) for s,p,d,f channels (difference of up - down electrons within MT sites) as initial condition. In this case, we set n(up)-n(down)=1.2 for Niup site for d channel. Even just one ATOM name is given by yourself, all ATOM in SPEC should be given (in this case SPEC for O should be given).

We can see other samples in ~/ecalj/lm7K/TESTsamples/\*/ctrls.\*. (we also have a sample generator. See later section.) Note that ctrls file is jut in order to generate default ctrl file in the followings. Not from ctrls but from ctrl, we can start calculations. (thus ctrls is not needed if we prepare ctrl file directory).

It is possible to add RELAX= 0 0 1 after SITE\_ATOM\_POS; this means structure relaxation along z-axis (also need to set DYN category (http://titus.phy.qub.ac.uk/packages/LMTO/token but its defaults are given (but commented out) automatically in the ctrl file generated by the procedure described in the following section). We detail it in EcaljUsage.pdf.

After ctrl.\* is generated as shown below, we can run a quick command lmchk to check weather crystal structure is correctly given or not. And show symmetry information, and so on.

#### 3.2 Generate default ctrl from ctrls by ctrlgenM1.py

To run programs of lm7K (lmfa, lmf, lmchk) in ecalj, we need an input file ctrl.\*, which contains many other settings. To generate ctrl.\* from ctrls.\*, we have a command "ctrlgenM1.py" (written in python 2.x and call fortran code internally). Two steps required to complete ctrl file: (i) we give reasonable options when we run ctrlgenM1.py. Then (ii) we may need to edit the ctrl file afterward.

At first, try ctrlgenM1.py without arguments. It shows help. To generate ctrl from ctrl, type

```
$ ctrlgenM1.py cu --nk1=8
```

Here cu specify ctrls.cu. The option -nk1=8 means the number of division of the Brillouin zone for integration. It means 8x8x8 division. If we like to use

8x8x4, we have to supply three arguments -nk1=8 -nk2=8 -nk3=4. The above command gives following console output.

```
$ ctrlgenM1.py cu --nk1=8
=== INPUT arguments (--help gives default values) ===
--help Not exist
--showatomlist Not exist
--nspin=1
--nk=8
--xcfun=vwn !(bh,vwn,pbe)
--systype=bulk !(bulk,molecule)
--insulator Not exist !(do not set for --systype=molecule)
...
```

 ${\tt OK!}$  A template of ctrl file, ctrlgen2.ctrl.cu, is generated.

As we see above, options which you specified are shown at the beginning of the console output (in this case -nk1=8). Others such as -nspin=1 are default settings. If we like to perform spin-polarized calculations, we add other option '-nspin=2' as

```
ctrlgenM1.py nio --nspin=2 --nk1=6
```

(NOTE: In the spin-polarized case, we need to set initial condition of size of magnetic moment at each atoms. Set it in ctrls.\* as in the previous section, or edit MMOM of ctrl file (MMOM=s p d f ...) to be like MMOM=0 0 1.2.). The ctrlgenM1.py generates ctrl file named as ctrlgenM1.ctrl.cu. To do calculations, copy it to ctrl.cu so that lmf can recognize it.

```
cp ctrlgenM1.ctrl.cu ctrl.cu
```

#### 3.3 crystal structure checker: lmchk

Do lmchk to confirm correct crystal structure is really given or not.

```
lmchk --pr60 cu
```

Then it reads ctrl.cu. --pr60 is an option of verbose. Bigger number gives more information.

- Lattice info, Space group symmetry operations (in lmf format), and their generators (these operations can be generated from a few of them.) See http://titus.phy.qub.ac.uk/packages/LMTO/tokens.html#SYMGRPcat+about how to represent the operations.
- Show atomic positions in ctrl file.
- Tabulate MT radius and distance between atomic sites.

(lmchk -help shows help, but difficult to see. Not need to read it first.)

lmchk is also shows atom (MT site) id (position and class(equivalent positions). This is needed to interpret PDOS.

#### 3.4 ctrl file

It is not necessary to look into ctrl file first, although some details are explained in the generated ctrl file. Please compare obtained results by lmf with those by other packages or literatures; let me know if you find something strange or your questions.

It is necessary to edit ctrl file to use full ability of lmf. For example, LDA+U, atomic position relaxation, core level spectroscopy, Change setting of default MTO and lo, better mixing procedure for stable convergence; higher accuracy, and so on.

But a few of ctrl file is easy to modify. Search these words and read explanations embedded in ctrl file.

- (1)XCFUN (choice of XC—it is not need to repeat ctrlgenM1.py). It is also possible to change number of k points for sampling, to modify crystal structure slightly, and so on; all things needed are in ctrl. It is not needed to repeat ctrlgenM1.py again.
- (2)SO (to obtain correct dispersion around top of valence at Gamma for GaAs, we need to set SO=1 and NSPIN=2; it is possible to run it as one-shot after convergence with OPTIONS\_Q=band. and run by lmf gaas --rs=1,0).

lmf --input shows what can we write in ctrl file. But more than half are not for users, but for developers (or irrelevant now).

#### 3.5 Do LDA/GGA calculations, and get convergence

Here we show how to get converged results from a ctrl file.

At first, we need initial guess of charge density. It can be given by a super position of atomic charge density. To obtain the charge density, we solve atoms first. It is by

#### \$ lmfa gaas | tee llmfa

It takes just a few seconds. Here tee is a command of Linux. It keeps console output (standard output) to a file (llmfa in this case).

Then try

```
$ grep conf llmfa
```

. Then you see a key point that

```
12.000 \Rightarrow 2,3,
          1
                       4
                          0
                                      1.000
conf:
             1
          1
             2
                          3
                                     10.000
                                                0.000 =>
conf:
                      4
             3
                          0
                                      0.000
                                                0.000 =>
conf:
          1
                      5
                                      0.000
                                                0.000 =>
conf:
          1
                         0
conf:----
conf:SPEC_ATOM= As : --- Table for atomic configuration ---
                 int(P) int(P)z
                                      Qval
                                                Qcore
                                                         CoreConf
conf:
       isp
             1
conf:
          1
             0
                       4
                          0
                                      2.000
                                                6.000 \Rightarrow 1,2,3,
                                               12.000 => 2,3,
                       4
                          0
                                      3.000
conf:
          1
             1
conf:
          1
             2
                      4
                          3
                                     10.000
                                                0.000 =>
conf:
             3
                          0
                                      0.000
                                                0.000 =>
          1
                       4
conf:
          1
                      5
                         0
                                      0.000
                                                0.000 =>
conf:----
```

This is an initial electron distribution, and how we divide core and valence. In this case core charge Qcore are (6 electron for s channel=1s,2s,3s and 12 electron for 2s and 3p). Core is not treated separately from valence electrons (frozen core approximation; we superpose rigid core density to make all-electron density). Qval means electrons for each s,p,d channels. The valence channels are 4s,4p,4d,4f (when we set EH=s,p,d,f). The int(P)z column is for local orbital. Thus we have 3d treated as local orbital. (ecalj can add one local orbital per l.)

isp means spin (1 or 2), since –nspin=1 for Ga and As, no isp=2 exist. In summary we have 4s,4p,4d,3d,4f as valence. This means we use corresponding number of MTOs and local orbitals.

After lmfa, let us start main calculation.

#### \$ lmf cu

In unix, we can save console output to llmf by \$ lmf cu | tee llmf. As it starts iteration calculations, it shows similar output again and again (it is a little too noisy now). Then you end up with self-consistent result as

```
it 8 of 30
                           -3304.895853
                                          ehk=
                                                  -3304.895853
                    ehf=
From last iter
                    ehf=
                           -3304.895856
                                          ehk=
                                                  -3304.895855
 diffe(q) = 0.000003 (0.000007)
                                    tol= 0.000010 (0.000010)
                                                                 more=F
c ehf=-3304.8958531 ehk=-3304.8958529
 Exit O LMF
 CPU time:
              7.024s
                          Mon Aug 19 02:03:19 2013
```

it 8 of 30 means it stop at 8th iteration, although we set maximum number of iteration 30. Note that this number is given by ITER\_NIT=30 in ctrl.cu). ehf and ehk are the ground state energy in Ry. They are calculated in a little different procedure. Although they are different during iterations, it finally get to be the almost the same number. (But they can be slightly different even converged for large systems. But you don't need to care it so much). NOTE: ehk:Hohenberg-Kohn energy, ehf: Harris-Faulkner energy.

"grep diffe lllmf" shows how the changed of total energy (and charges) during iteration. diffe mean changes of energy with previous iteration, (q) is for electron density difference as well. See also save.\* file, which only show ehk and ehk obtained by each iteration.

"grep gap llmf" shows how the band gap changes (in the usual setting), two same numbers per iteration are shown now.

Thus we do have ground state energy. Although output of lmf is long, most of all are to monitor convergence (we will shrink it). As long as it converged well, you don't need to look into it in detail. Eigenvalues are shown as

```
bndfp: kpt 1 of 4, k= 0.00000 0.00000 0.00000 ndimh = 122
-1.2755 -1.2008 -1.2008 -0.2052 -0.2052 -0.2052 -0.0766 -0.0766 -0.0766
-0.0174 -0.0174 -0.0174 0.1094 0.1095 0.1095 0.2864 0.2864 0.4170
0.4170 0.4736 0.6445 0.6445 0.6445
```

This is at  $k=0.00000\ 0.00000\ 0.00000$ . (because of historical reason, two same bndfp: are shown in each iteration; two band path method). "Imf cu| grep -A6 BZWTS" shows the Fermi energy (for insulator, we see band gap). Deep levels which gives little dependence on k are core like levels. These are in Ry; zero level is not so meaningful (for convenience, it is simply determined from the potential at MT boundaries).

rst.\* contains is the main output which contains electron density. mix.\* is a mixing file (which keeps iteration history). When you restart lmf again, it read rst.cu and mix.cu. If you start from lmfa result, please remove them. We can do parallel calculation with lmf-MPIK, we can invoke it with mpirun -np 8 lmf-MPIK cu. It should give the same answer.

#### 3.6 DOS, Band, PDOS plot

We already have script to plot dos, band, and pdos from the result of lmf selfconsistent calculations. We have scripts

```
job_tdos, job_band_nspin1, job_band_nspin2, job_pdos
```

. Look into these scripts, and then you see how to plot them.

For total DOS plot, it is better to check ctrl file; BZ\_TETRA=1(this is default; thus make sure that BZ\_TETRA do not exist or BZ\_TETRA=1). In addition, it might be better to enlarge number of k point NKABC in ctrl file to have smooth curve. Then we do

```
job_tdos cu
```

This shows total DOS as

For band plot, we have to set symmetry lines along which we plot eigenvalues. Collections syml.\* are in ecalj/MATERIALS/. Choose and modify one of them and rename it. I will gather other samples soon. 'BZ wikipedia' or something else will help you to interpret it.

To do band plot, we need syml.cu in your directory.

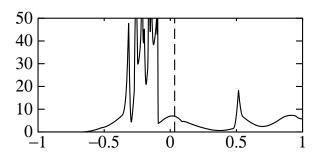


Figure 1: DOS(Cu)

#### \$ cp ~/ecalj/MATERIALS/Cu/syml.cu .

Then check syml.cu; it is

21	.5	.5	.5	0	0	0	L to Gamma
21	0	0	0	1	0	0	${\tt Gamma}$ to ${\tt X}$
0	0	0 (	0	0 0			

First line means, we calculate eigenvalues for  ${\bf k}$  points from  ${\bf k}{=}(0.5,0.5,0.5)$  to  ${\bf k}{=}(0,0,0)$ . "L to Gamma" is just a comment since program only read seven numbers for each line. Second line means, we calculate eigenvalues for k points from  ${\bf k}{=}(0,0,0)$  to  ${\bf k}{=}(1,0,0)$ . 3rd line means calculation just stop here. Units of  ${\bf k}$  are in  $2\pi/{\tt ALAT}$  (or  $2\pi/({\tt ALAT+DALAT})$  if DALAT exist.). A line starting from '#' is neglected (comment line).

To do band plot, run

#### \$ job\_band\_nspin1 cu

. This is for nspin=1. job\_band\_nspin2 is for nspin=2 (These scripts try to determine the Fermi energy first. You may skip it in cases (but need to change the script)).

For PDOS plot,

#### job\_pdos cu

It shows figures (number of figures are number of atoms in the cell) in gnuplot (they are written in the same position on X-window; move top one a little). The command  $job\_pdos$  is a little time-consuming because we use no symmetry to distinguish all lm channels. (PDOS is not yet implemented for SO=1 case; spin-orbit coupling  $\dot{L}\dot{S}$  is added.) We can edit script of gnuplot (pdos.site\*.\*.glt) for your purpose. In principle, meanings of all data files are shown (see at the bottom of console output about lm ordering in a line), thus not so difficult to rewrite \*.glt. For example, to plot eg and t2g separately. (NOTE: site id is shown by lmchk).

**WARNING**: Usually lmf and so on recognize options such as -v option. For example, 'lmf gaas -vnspin=2' or 'lmf gaas -vso=1'. This option changes values

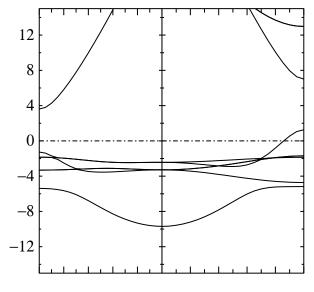


Figure 2: band plot(Cu)

of variables defined in % const section. This is recorded in save.\* file, and also shown at the top of console output. However, job\_tdos and so on, do not yet accept these options. Thus we need to modify ctrl file without using -v option. Or you need to write these option to these command by hand (we will fix this problem in future.)

## 3.7 Useful samples: ecalj/MATERIAL/

Not only ecalj/lm7K/TestSamples (some of them are by older version), We have a material database in ecalj/MATERIALS/. Move to the directory, and type

### \$ ./job\_materials.py

Then it shows a help. You see

. . .

=== Materials in Materials.ctrls.database are:=== Bi2Te3 C 2hSiC 3cSiC 4hSiC AlAs AlN AlNzb AlP AlSb CdO CdS Се Cu Fe CdSe CdTeGaAs GaAs\_so GaN GaNzb GaP GaSb Ge HfO2 HgO HgS HgSe HgTe InAs InNInNzb InP InSb LaGaO3 Li MgO MgS MgSe MgTe

```
Ni NiO PbS PbTe Si SiO2c Sn SrTiO3 SrVO3 YMn2
ZnO ZnS ZnSe ZnTe ZrO2 wCdS wZnS
```

. . .

. For these simple materials (now 57 materials), input files can be generated, and run them automatically by a command ./job\_materials.py below. The ctrls are stored in ecalj/MATERIALS/Materials.ctrls.database in a compact manner (in addition, options passed to ctrlgenM1.py and options to lmf-MPIK are included). See ecalj/MATERIALS/README about how to add new material to it; it is not difficult. The command ./job\_materials.py gives ctrls.\* for these materials from descriptions in the Materials.ctrls.database. And then it generates ctrl file by calling ctrlgenM1.py internally, and run lmfa lmf-MPIK successively (when no -noexec).

Try ./job\_materials.py Fe --noexec. (not fe but Fe as it shown above) at ecalj/MATERIALS/. Then it makes a directory Fe/ and set ctrl.fe (also ctrls.fe) in the directory. Without '-noexec', it does calculation for Fe successively. As for NiO and Fe, we see that ./job\_materials.py gives SPEC\_ATOM\_MMOM in generated ctrls and ctrl files. (Look into ctrls.fe; we need SPEC section when we add MMOM.)

Try job\_materials.py GaAs Si.

Then directories GaAs/ and Si/ are generated. See save.\* files containing total energies iteration by iteration. Starting from ctrl.\* in these directory, the command perform DFT calculations (Console output is stored in llmf, save.\* gives total energies. rst.\* contains self-consistent density, from which we can calculate energy bands and so on).

"./job\_materials --all --noexec" generates ctrls and ctrl files of these materials. "./job\_materials --all" do self-consistent LDA calculations for materials (it takes an hour or more. To change the number of cores for lmf-MPIK, set option -np (number of core). See help of ./job\_materials (type this without arguments).

To make band plot and so on for Fe, follow instructions already explained.

```
options to lmf. Look into the script).
     (This calculate fermi energy first for safe; it takes
     some time)
$ job_tdos fe
$ job_pdos fe (as I said, this supress space-group symmetry, thus time consuming).
```

At the end of job\_pdos, we show a help which pdos data is where (In pdos file, we have 26 numbers a line; first is energy, 2-26 are pdos for s,p,d,f,g; which is which are shown in the help). See joblmf file also (it contains options to invoke lmf. This is shown in save.\*. In principle, options in joblmf should be passed to band plot and so on. But not yet implemented (it is not so difficult; I have to do it).

After doing ./job\_materials foobar, you may like move it back to original...

In such a case, git works. At ecalj/, do

```
$ mv MATERIALS MATERIALS.bk
$ git checkout MATERIALS
```

Then you can see MATERIALS/ is moved back to just downloaded one.

## 4 QSGW calculation

In the QSGW, we calculate a kind of non-local exchange-correlation potential  $V^{\text{xc}}(\mathbf{r}, \mathbf{r}')$ , by a procedure of GW calculation (it is quite time-consuming part). Then difference  $V^{\text{xc}}(\mathbf{r}, \mathbf{r}')V - V^{\text{LDA}}_{\text{xc}}(\mathbf{r})\delta(\mathbf{r} - \mathbf{r}')$  is stored into sigm file. Then, we again do one-body calculation by lmf (or lmf-MPIK) where we add this sigm to one-body potential. Thus this means that we replace  $V^{\text{LDA}}_{\text{xc}}(\mathbf{r})\delta(\mathbf{r} - \mathbf{r}')$  with  $V^{\text{xc}}(\mathbf{r}, \mathbf{r}')V$ . This iteration cycle is performed by a script "gwsc" as we explain later on. (In the default setting of ctrl.\* file, lmf try to read sigm.\* file as long as it exists. If not, do lmf or lmf-MPIK calculation. Note that gwsc makes a

### 4.1 GWinput

In order to perform QSGW, one another input file GWinput (no extension) is necessary in addition to ctrl.\*. Thus all input files for QSGW is just two files, ctrl.\* and GWinput. A template GWinput can be generated by a script mkGWIN\_lmf2. You may have to modify it in cases for your purpose.

Let us start from ctrls.si;

```
#id = Si
%const bohr=0.529177 a= 5.43095/bohr
STRUC
     ALAT={a}
     PLAT=0 0.5 0.5 0.5 0.5 0.5 0.5 0.5 0
SITE
     ATOM=Si POS=0.0 0.0 0.0
ATOM=Si POS=0.25 0.25 0.25
```

. Do ctrlgenM1.py si --tratio==1.0 --nk1=6 and copy ctrlgenM1.ctrl.si to ctrl.si. NOTE: the option --tratio=1.0 means we use touching MT; this can be checked by lmchk si; since defaults is almost unity (--tratio=0.97), this is irrelevant, just to explain options.

We have to write GWinput. The default is given automatically by a command mkGWIN\_lmf2;

```
$ lmfa si (lmfa is needed to do in advance).
$ mkGWIN_lmf2 si
.....
== Type three integers n1 n2 n3 for Brillowin Zone meshing for GW! ==
n1=
```

Then it pause and ask numbers. You have to type three numbers as 2+ return + 2+ return + 2+ return.

```
== Type three integers n1 n2 n3 for Brillowin Zone meshing for GW! ==
n1= 2
n2= 2
n3= 2
2 2 2
...(skip)...
OK! GWinput.tmp is generated!
```

Generated file is GWinput.tmp; you have to copy it to GWinput.

```
$ cp GWinput.tmp GWinput
```

These '2 2 2' you typed is reflected in a section 'n1n2n3 2 2 2' in GWinput. This means 2x2x2 (8 points in 1st BZ). You can edit it, and change it to e.g. 'n1n2n3 4 4 4' if you like to calculate self-energy on dense BZ mesh 8x8x8.

The template of GWinput is usually not so bad. But it may give a little expensive setting (or not very good enough in cases). Read EcaljUsage.pdf.

#### 4.2 do QSGW calculation

Let us perform QSGW calculation. For this purpose, we use a script gwsc. We need to do lmfa in advance. Then do (not need to do lmf);

```
gwsc (number of iteration+1) -np (number of nodes) (id of ctrl)
```

If (number of iteration+1)=0, it gives one-shot calculation from LDA. But it is different from the usual one-shot; since it calculates off-diagonal elements of self-energy also, we can plot energy band dispersion. In cases (for usual semiconductors), it can give rather reasonable results in comparison with experiments from practical point of view.

This is an example of one iteration of QSGW cycle. (now a little different but essentially similar)

```
takao@TT4:~/ecalj/test1$ gwsc 0 -np 2 si
gwsc 0 -np 2 si
### START gwsc: ITER= 0, MPI size= 2, TARGET= si
--- No sigm nor sigm. $TARGET files for starting ---
---- goto sc calculation with given sigma-vxc --- ix=,0
No sigm ---> LDA caculation for eigenfunctions
       Start mpirun -np 2 /home/takao/ecalj/TestInstall/bin/lmf-MPIK si > llmf_lda
OK! --> Start echo 0 | /home/takao/ecalj/TestInstall/bin/lmfgw si > llmfgw00
OK! --> Start echo 1|/home/takao/ecalj/TestInstall/bin/qg4gw > lqg4gw
OK! --> Start echo 1|mpirun -np 2 /home/takao/ecalj/TestInstall/bin/lmfgw-MPIK si> llmfgw01
OK! --> Start /home/takao/ecalj/TestInstall/bin/lmf2gw >llmf2gw
OK! --> Start echo O|/home/takao/ecalj/TestInstall/bin/rdata4gw_v2 > lrdata4gw_v2
OK! --> Start echo 1 | /home/takao/ecalj/TestInstall/bin/heftet > leftet
OK! --> Start echo 1 | /home/takao/ecalj/TestInstall/bin/hchknw > lchknw
OK! --> Start echo 3| /home/takao/ecalj/TestInstall/bin/hbasfp0 > lbasC
OK! --> Start echo 3| mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hvccfp0 > lvccC
OK! --> Start echo 3 | mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hsfp0_sc > lsxC
OK! --> Start echo O|/home/takao/ecalj/TestInstall/bin/hbasfp0 > 1bas
OK! --> Start echo O| mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hvccfp0 > lvcc
OK! --> Start echo 1 | mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hsfp0_sc > lsx
OK! --> Start echo 11| mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hx0fp0_sc > 1x0
OK! --> Start
              echo 2 | mpirun -np 2 /home/takao/ecalj/TestInstall/bin/hsfp0_sc > lsc
OK! --> Start echo 0| /home/takao/ecalj/TestInstall/bin/hqpe_sc > lqpe
OK! --> == 0 iteration over ==
OK! --> Start mpirun -np 2 /home/takao/ecalj/TestInstall/bin/lmf-MPIK si > llmf_gwscend.0
OK! ==== All calclation finished for gwsc 0 -np 2 si ====
```

Here echo (integer) is readin in at the beginning of the code. To see it, please look into gwsc script (gwsc is at ecalj/fpgw/exec/ and copied to your bin/ by make install2). In anyway, this console output shows calculations finished normally.

Now we get rst.si and sigm.si file which contains (static version of) self-energy minims  $V_{\rm xc}^{\rm LDA}$ . What we did is the one-shot GW from LDA result; but note that we calculate not only diagonal elements but also off-diagonal elements.

We can write energy dispersion (band plot) in the same manner in LDA. To do it, we need rst.si, sigm.si, ctrl.si, QGpsi, and ESEAVR. (but QGpsi and ESEAVR are quickly reproduced). After you have syml.si (e.g. in ecalj/MATERIALS/), Do

#### \$ job\_band\_nspin1 si

You can observe large band gap as shown in the Fig.4.2. (To see it again, gnuplot bnds.gnu.si -p. All plots are in gnuplot, thus it is easy to replot it as you like).

We have QPU file (and also QPD for spin=2), which contains content of the diagonal part of self-energy. It will be explained elsewhere.

You can make total DOS and PDOS plot by

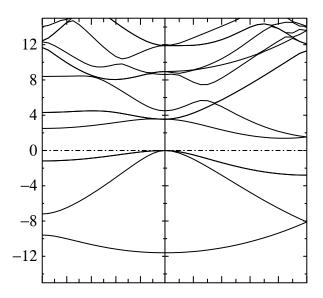


Figure 3: Si, one-shot GW with off-diagonal elements

```
$ job_tdos si
$ job_pdos si
```

CAUTION:pdos plot is not allowed for so=1. (even tdos-; ask to t.kotani.)

To get final QSGW results, we have to repeat iteration until eigenvalues are converged. Note that total energy shown by console output llmf (and also shown in save file) is not so meaningful in the QSGW; we just take it as an indicator to check convergence. Let us repeat 5 iteration more. "-np 2" means one core to use.

```
$ gwsc 5 -np 2 si
### START gwsc: ITER= 5, MPI size= 2, TARGET= si
--- sigm is used. sigm.$TARGET is softlink to it ---
--- goto sc calculation with given sigma-vxc --- ix=,0
we have sigm already, skip iter=0
--- goto sc calculation with given sigma-vxc --- ix=,1
...(skeip here) ...

OK! --> == 5 iteration over ==
OK! --> Start mpirun -np 2 /home/takao/ecalj/TestInstall/bin/lmf-MPIK si > llmf_gwscend.0
OK! ==== All calclation finished for gwsc 0 -np 2 si ====
```

Note that we do skip 0th iteration (it is for one-shot from LDA) since we start from rst.si and sigm.si given by one-shot LDA. Thus we do just five iterations. Information of eigenvalues are in QPU. (number)run files. (for magnetic systems with nspin=2), wee have QPD. (number)run also). Check it by ls;

```
$ 1s QPU.*run QPU.1run QPU.2run QPU.3run QPU.4run QPU.5run
```

(These are overwritten when we again repeat gwsc; be careful.) Note that QPUO.run was old one when you did 1-shot GW from LDA at the beginning. In anyway \*.0run are confusing files; remove them).

In order to check convergence calculations going well during iteration, do

```
$ grep gap llmf*
```

This shows how band gap changes in llmf.\*run files. In metal cases, we need to compare QPU file, magnetic moment or grep '[xc] save.\*; this shows end of lmf iteration. Energy is not so meaningful but can be indicator to convergence.

Let us check convergence of the QSGW calculations. For this purpose, it is convenient to take a difference of QPU(QPD) files by a script dqpu. These files are human readable. To compare QPU4.run and QPU5.run, do

```
$ dqpu QPU.3run QPU.4run
```

Then we see a list of numbers (these are the differences of values in QPU files). Then it shows at the bottom as

```
Error! Difference>2e-2 between: QPU.4run and QPU.5run
: sum(abs(QPU-QPD)) = 0.05736
```

but you don't need to care it so much. You rather need to check the difference of values. I can say most of all difference (especially around the Fermi energy are ) are almost 0.00eV or 0.01eV, we can judge QPEs are converged. If not converged well, you may need to repeat <code>gwsc</code> again. (when the size of two QPU files are different, dqpu stops.)

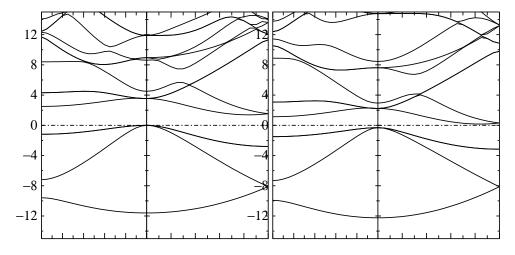


Figure 4: band plot(Si, QSGW one-shot test) and band(Si) (GGA)

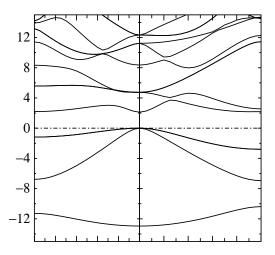


Figure 5: band(GaAs), QSGW (test case)

## 5 How to add spin-orbit coupling

```
Do LDA and/or QSGW with SO=0 first.
Then apply the spin-orbit coupling by perturbation.
After converged with nspin=1 (or 2), create new directory and copy
 ctrl.gas, rst.gas, sigm.gas, QGpsi, ESEAVR
to it. Then we set
 nspin=2
 METAL=3 (usually it is default)
 {\tt S0=1} (this is ldots calculation off-diagonal elements included).
 Q=band (we do not change potential.)
in ctrl.gas.
Then run
>lmf gas >& llmf_SO
You can see "band gap with SO" by
> grep gap llmf_SO.
Then you can see two same lines.
 VBmax = 0.101949 CBmin = 0.236351 gap = 0.134402 Ry = 1.82786 eV
 (two lines per iteration is shown in metel mode).
This is the band gap with SO as a first-order perturbation
on top of the "QSGW without SO". When you use ctrl file generated by
ctrlgenM1.py. You can do the above procedure with
>lmf --rs=1,0 gas -vnit=1 -vso=1 -vnspin=2 -vmetal=3 --quit=band
(--rs=1,0 read rst.gas but not write rst.gas. Run lmf --help.
The switch -v (-vso=1 in this case) replaces so=0 with so=1.
This is recorded in save.gas file).
```

```
For band plot, you can use the same procedure for the case without SO. (Look into the shell script job_band_nspin1. You have to modify it so that '--rs=1,0 gas -vnit=1 -vso=1 -vnspin=2 -vmetal=3 --quit=band' is added to arguments for >lmf --band:syml ...).

(this will be simplified in future...)

---
For given sigm file, it seems possible to do self-consisent SO calculations with keeping sigm (then we do not set Q=band).

However, note that Vxc is fixed in QSGW, it is not necessary better than the above procedure.

==== Here is the end of EcaljGetStarted. Thanks! ====
```