Geometry Optimisation

Dr Jonathan Skelton

Department of Chemistry, University of Manchester (jonathan.skelton@manchester.ac.uk)

Overview



- Geometry optimisation in the bulk
 - Theory
 - Geometry optimisation in VASP
- Theory vs. experiment
 - Choice of exchange-correlation functional
- Troubleshooting: what to do when things go wrong
- Phonon calculations (if time permits)
 - Imaginary modes, dynamical stability and mode mapping

Slides online: https://tinyurl.com/y6l6r6jg



The University of Manchester



Problem:

Find the set of atomic positions $\mathbf{R} = \{\mathbf{r}_1, \mathbf{r}_2, ..., \mathbf{r}_N\}$ and lattice vectors $\mathbf{a} = \{\mathbf{a}_1, \mathbf{a}_2, \mathbf{a}_3\}$ that define the minimum (a stationary point) on the potential-energy surface

Key parameters:

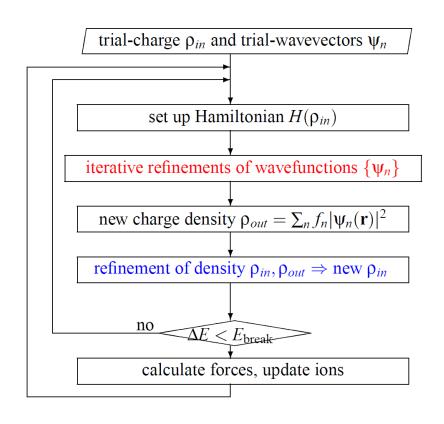
$$\boldsymbol{F}_{N} = -\frac{\partial E_{0}}{\partial \boldsymbol{r}_{N}} = -\left\langle \Psi_{0}(\boldsymbol{R}, \boldsymbol{a}) \left| \frac{\partial H(\boldsymbol{R}, \boldsymbol{a})}{\partial \boldsymbol{r}_{N}} \right| \Psi_{0}(\boldsymbol{R}, \boldsymbol{a}) \right\rangle$$

$$\sigma_{ij} = -\frac{\partial E_0(\boldsymbol{a})}{\partial \epsilon_{ij}} = -\left| \Psi_0(\boldsymbol{R}, \boldsymbol{a}) \left| \frac{\partial H(\boldsymbol{R}, \boldsymbol{a})}{\partial \epsilon_{ij}} \right| \Psi_0(\boldsymbol{R}, \boldsymbol{a}) \right|$$

Approach:

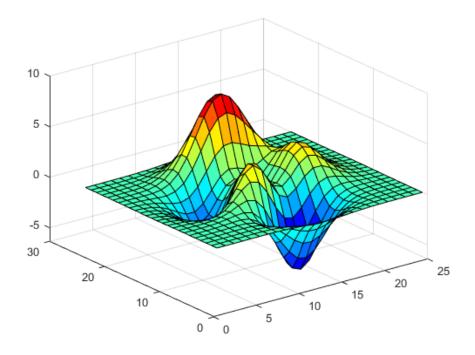
Adjust an initial \boldsymbol{R} and \boldsymbol{a} to minimise E_0 , \boldsymbol{F}_N and/or σ_{ij} via an optimisation algorithm

https://www.vasp.at/vasp-workshop/slides/dft_introd.pdf



https://www.vasp.at/vasp-workshop/slides/optelectron.pdf

 In general, performing a geometry optimisation involves using an algorithm to locate a minimum on a multidimensional potential-energy surface (PES)



https://www.mathworks.com/help/matlab/visualize/creating-3-d-plots.html

Problem:

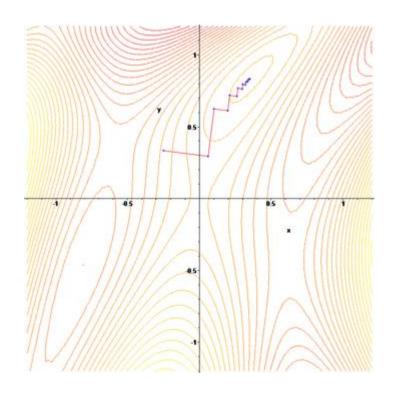
Follow the forces/stresses to the nearest minimum

Solution 1 - Steepest Descent:

$$\mathbf{R}_{n+1} = \mathbf{R}_n - \gamma \nabla E(\mathbf{R}_n) = \mathbf{R}_n + \gamma \mathbf{F}(\mathbf{R}_n)$$

Pros and cons:

Slow "zig-zag" convergence to the minimum; requires many iterations



https://en.wikipedia.org/wiki/Gradient descent

Problem:

Follow the forces/stresses to the nearest minimum

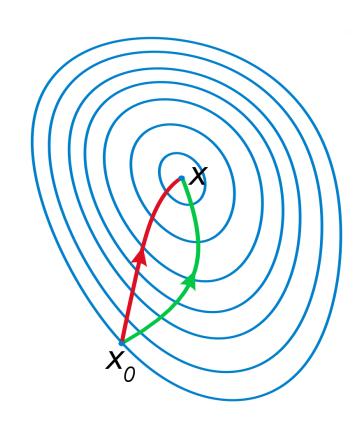
Solution 2 - Newton-Rhapson:

$$\mathbf{R}_{n+1} = \mathbf{R}_n - \gamma [\mathbf{H}(\mathbf{R}_n)]^{-1} \times \nabla E(\mathbf{R}_n)$$

$$H(\mathbf{R}_n) = \partial^2 E / \partial \mathbf{R}_n^2$$

Pros and cons:

Fast convergence to nearest stationary point but requires a cheap (approximate) inverse Hessian



https://en.wikipedia.org/wiki/Newton%27s method in optimization

Problem:

Follow the forces/stresses to the nearest minimum

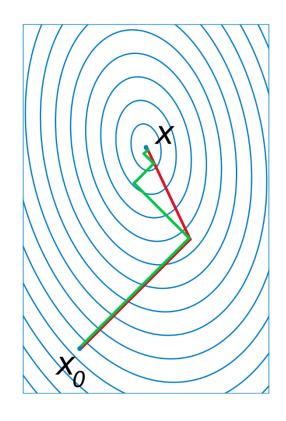
Solution 3 - Conjugate Gradient:

$$\boldsymbol{R}_{n+1} = \boldsymbol{R}_n - k_n \boldsymbol{h}_n$$

$$\boldsymbol{h}_n = \frac{\partial E(\boldsymbol{R}_n)}{\partial \boldsymbol{R}_n} + \gamma_n \boldsymbol{h}_{n-1}$$

Pros and cons:

A good middle ground between steepest descent and Newton-Rhapson for convergence speed and cost

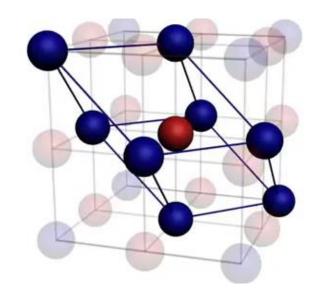


https://en.wikipedia.org/wiki/Gradient_descent http://spindynamics.org/documents/cgc_lecture_6.pdf

- Crystal symmetry can significantly reduce the number of degrees of freedom
- NaCl $(Fm\overline{3}m)$:
 - Atoms fixed at (0,0,0) and $(\frac{1}{2},\frac{1}{2},\frac{1}{2})$

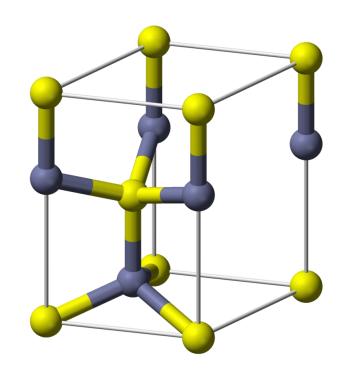
•
$$a = b = c$$
 and $\alpha = \beta = \gamma = 90$

One DoF: the lattice constant a



Physics-Animations.com: https://www.youtube.com/watch?v=lmQlxbU9CEI

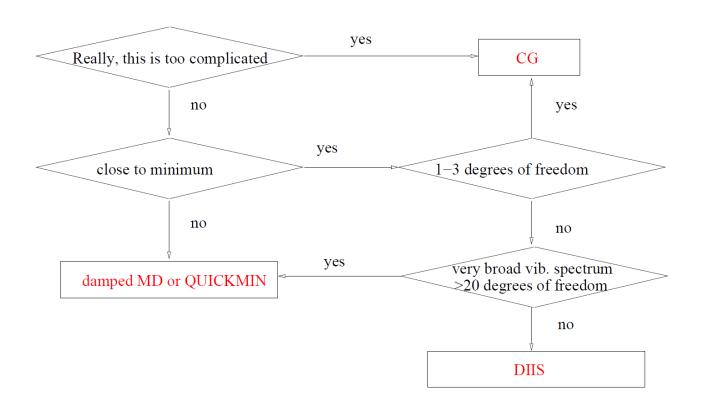
- Crystal symmetry can significantly reduce the number of degrees of freedom
- O Wurtzite ZnO ($P6_3mc$):
 - Atoms at (0,0,0) and $\left(\frac{1}{2},\frac{1}{2},\frac{1}{2}\right)$
 - $a = b \neq c$, $\alpha = \beta = 90$ and $\gamma = 120$
 - Three DoFs: a, c and u



https://en.wikipedia.org/wiki/Wurtzite#/media/File:Wurtzite-unit-cell-3D-balls.png

- Geometry optimisation is activated by specifying the IBRION tag:
 - IBRION = 0 performs ab initio MD
 (Not strictly geometry optimisation, but a few ps of high-temperature MD can help with structures that are trapped in a local minimum.)
 - IBRION = 1 relaxes the ions and/or cell using a Quasi-Newtonian algorithm
 (Useful for geometries that are close to a minimum.)
 - IBRION = 2 relaxes using the conjugate gradient algorithm
 (Good general choice, particularly for initial geometries that are away from a minimum.)
 - IBRION = 3 relaxes with damped MD or the steepest-descent algorithm
 (I have never used this so I have no experience with it...)

https://cms.mpi.univie.ac.at/wiki/index.php/IBRION



https://www.vasp.at/vasp-workshop/lectures/VASP_lecture_Basics3.pdf

The ISIF tag sets the details of what to optimise - choose between different combinations of the atom positions, the cell shape and the cell volume:

	Pos.	Shape	Vol.
ISIF = 2	✓	×	×
ISIF = 3	\checkmark	\checkmark	\checkmark
ISIF = 4	✓	✓	×
ISIF = 5	×	✓	×
ISIF = 6	×	✓	✓
ISIF = 7	×	×	✓

https://cms.mpi.univie.ac.at/wiki/index.php/ISIF

- The break criterion for the optimisation loop is set by the EDIFFG tag:
 - EDIFFG > 0: break when change in energy between successive ionic steps falls below $E_0(N)-E_0(N-1)<$ EDIFFG
 - EDIFF = 0: no break criterion run for NSW steps
 - EDIFFG < 0: break when maximum force $F_{\text{max}} < |\text{EDIFFG}|$
- The number of steps in the optimisation is controlled by NSW:
 - Should be set to a relatively small value (e.g. NSW = 10-25) for ISIF > 2
- O POTIM controls how far the atoms move between ionic steps:
 - For relaxations (IBRION = 1-3), specifies a scaling constant (default: POTIM = 0.5)
 - For MD simulations (IBRION = 0), POTIM sets the MD timestep (no default must be specified)

Important INCAR tags

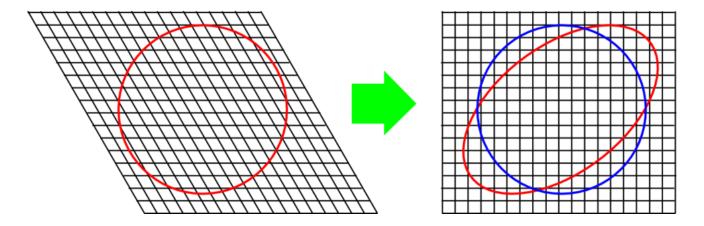


The University of Manchester

- ISYM can be used to control symmetry handling
 - For optimisations, usually helpful to leave ISYM = 2/3 (on default)
 - For MD simulations, almost certainly want to set ISYM = 0 (off)

MANCHESTER

 The plane-wave basis depends on the reciprocal lattice vectors and hence the cell shape/volume: during a variable-cell optimisation the basis set becomes incomplete and leads to artificial Pulay forces



- To mitigate this:
 - Increase ENCUT to 1.3-2 × the max(ENMAX) in the POTCAR files
 - Perform variable-cell optimisations as a series of shorter steps (NSW = 10-25)

https://howlingpixel.com/i-en/Pulay stress

Examples: https://tinyurl.com/y37naf92

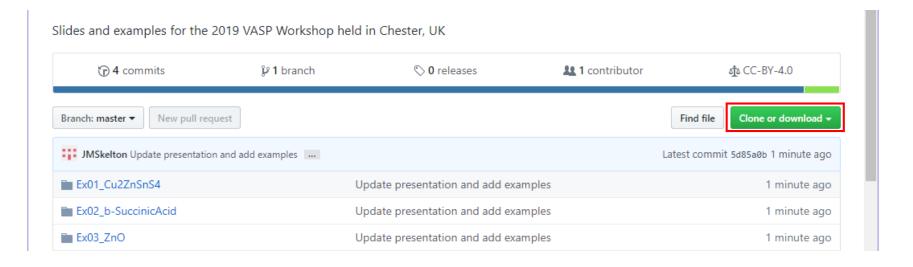


The University of Manchester

Download directly...:

git clone https://github.com/skelton-group/VASP-Workshop-Chester-2019

... or download manually...:



... or download from the VASP Wiki

- Most of the examples include job files and Python scripts to automate some tasks:
 - Opt.py

Repeats a VASP calculation until a run completes in N < NSW steps - useful for variable-cell optimisations

• Opt-EV.py

Performs a series of geometry optimisations, as in Opt.py, starting from a POSCAR file and scaling the volume, and outputs an E/V curve.

ModeMap.py

Reads phonon eigenvectors from an OUTCAR file, sets up and runs a series of single-point energy calculations on displacements of a reference POSCAR along a selected mode, and generates a mode PES

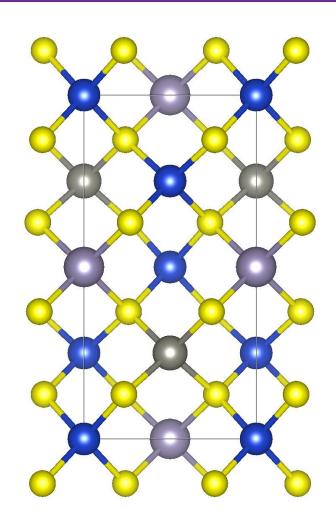
- If you find these useful, feel free to take them and adapt them to your own materials.
- (Disclaimer: The Python scripts should work for the workshop examples I hope! but they are not "bulletproof", so check they will work for what you need to do and note any warnings in the files.)

Example #1: Cu₂ZnSnS₄ (CZTS)



The University of Manchester

```
! Technical.
ENCUT = 600
GGA = PS
LASPH = .TRUE.
LREAL = .FALSE.
PREC = Accurate
! Electronic SCF.
ALGO = Normal
EDIFF = 1e-8
ISMEAR = 0
SIGMA = 0.01
! Geometry optimisation.
EDIFFG = -1e-2
IBRION = 1
ISIF = 3
NSW = 25
```



Example #2: β -succinic acid



The University of Manchester

```
! Technical.
```

ENCUT = 800

GGA = PE

IVDW = 11

LASPH = .TRUE.

LREAL = .FALSE.

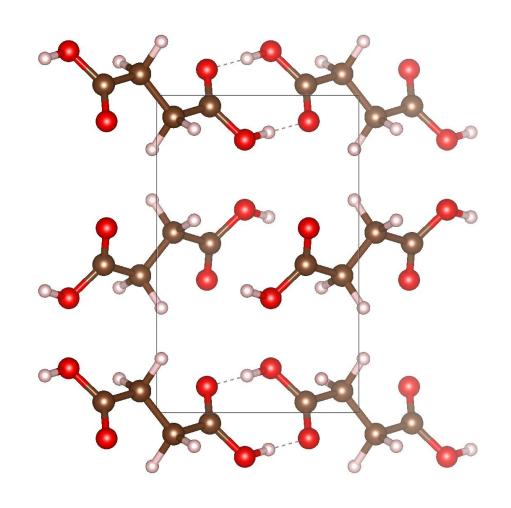
PREC = Accurate

! Electronic SCF.

ALGO = Normal EDIFF = 1e-8 ISMEAR = 0 SIGMA = 0.01

! Geometry optimisation.

EDIFFG = -1e-2IBRION = 2 ISIF = 4 NSW = 25



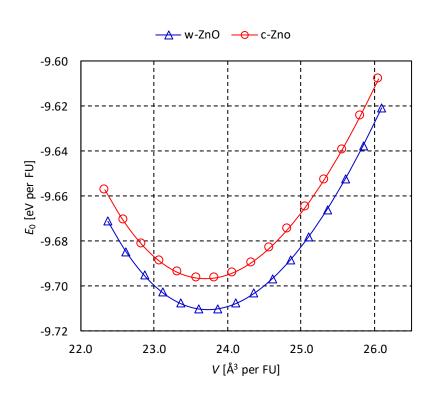
- \circ An alternative way to obtain the equilibrium volume is to calculate an E(V) curve:
 - Perform a series of constant-volume relaxations
 - Locate minimum by fitting to an equation of state (EoS) such as Birch-Murnaghan EoS gives equilibrium volume V_0 , energy E_0 and also bulk modulus B_0 :

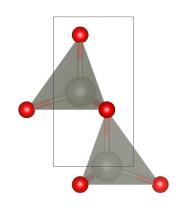
$$E(V) = E_0 + \frac{9V_0B_0}{16} \left\{ \left[\left(\frac{V_0}{V} \right)^{\frac{2}{3}} - 1 \right]^3 B_0' + \left[\left(\frac{V_0}{V} \right)^{\frac{2}{3}} - 1 \right]^2 \left[6 - 4 \left(\frac{V_0}{V} \right)^{\frac{2}{3}} \right] \right\}$$

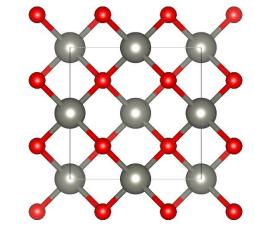
Example #3: c-ZnO vs. w-ZnO



The University of Manchester







The Selective Dynamics keyword in the POSCAR file can be used to freeze atomic positions during geometry optimisations (or MD simulations)

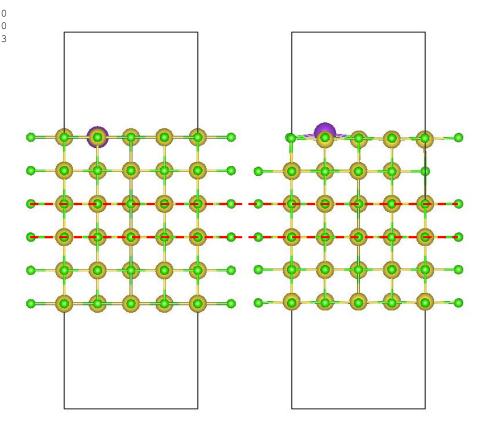
```
NaCl < 100 > (Na -> K)
   1.00000000000000000
    11.2804000000000002
                             0.0000000000000000
                                                     0.0000000000000000
     0.0000000000000000
                            11.28040000000000002
                                                     0.0000000000000000
     0.0000000000000000
                             0.0000000000000000
                                                    31.9206000000000003
        Cl
   Na
              K
   47
        48
Selective Dynamics
Direct
     0.0000000000000000
                             0.0000000000000000
                                                     0.2791316579262295
                                                                                   Т
                             0.00000000000000000
     0.0000000000000000
                                                     0.4558263315852459
                                                                                   F
     0.0000000000000000
                             0.0000000000000000
                                                     0.6325210052442624
                                                                                   Τ
     0.0000000000000000
                             0.2500000000000000
                                                     0.3674789947557377
                                                                                   Τ
     0.0000000000000000
                             0.2500000000000000
                                                     0.5441736684147541
                                                                                   F
                                                                                F
                             0.2500000000000000
     0.0000000000000000
                                                     0.7208683420737706
                                                                                   Т
     0.0000000000000000
                             0.499999999999999
                                                     0.2791316579262295
                                                                                   Τ
     0.0000000000000000
                             0.499999999999999
                                                     0.4558263315852459
                                                                                   F
     0.0000000000000000
                             0.499999999999999
                                                     0.6325210052442624
                                                                                   Τ
     0.0000000000000000
                             0.7500000000000000
                                                     0.3674789947557377
                                                                                   Т
     0.0000000000000000
                             0.7500000000000000
                                                     0.5441736684147541
                                                                                F
```

Example #4: NaCl <100> with K defect



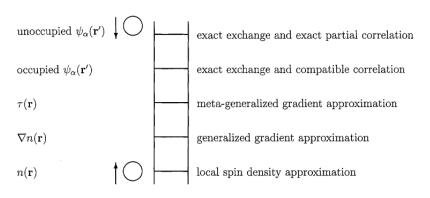
The University of Manchester

```
NaCl <100> (Na -> K)
   1.00000000000000000
   11.28040000000000002
                            0.0000000000000000
                                                    0.0000000000000000
     0.0000000000000000
                            11.28040000000000002
                                                    0.0000000000000000
     0.0000000000000000
                            0.0000000000000000
                                                   31.92060000000000003
        Cl
              K
   Na
        48
              1
Selective Dynamics
Direct
     0.00000...
                    0.00000...
                                    0.27913...
                                    0.45582...
     0.00000...
                    0.00000...
                                                      F
     0.00000...
                    0.00000...
                                    0.63252...
     0.00000...
                    0.25000...
                                    0.36747...
     0.00000...
                    0.25000...
                                    0.54417...
                    0.25000...
     0.00000...
                                   0.72086...
     0.00000...
                    0.49999...
                                    0.27913...
                    0.49999...
                                    0.45582...
     0.00000...
     0.00000...
                    0.49999...
                                    0.63252...
                                                     T
     0.00000...
                    0.75000...
                                   0.36747...
     0.00000...
                    0.75000...
                                    0.54417...
     0.00000...
                    0.75000...
                                    0.72086...
                                                     Т
     0.25000...
                    0.00000...
                                    0.36747...
     0.25000...
                    0.00000...
                                    0.54417...
     0.25000...
                    0.00000...
                                    0.72086...
                                                   T T
     0.25000...
                    0.25000...
                                    0.27913...
                                    0.45582...
     0.25000...
                    0.25000...
     0.25000...
                    0.25000...
                                    0.63252...
                                                     Т
                                    0.36747...
     0.25000...
                    0.49999...
     0.25000...
                    0.49999...
                                    0.54417...
                    0.49999...
     0.25000...
                                    0.72086...
                                                   T T
     0.25000...
                    0.75000...
                                    0.27913...
     0.25000...
                    0.75000...
                                    0.45582...
     0.25000...
                    0.75000...
                                   0.63252...
                                                   T T
     0.49999...
                    0.00000...
                                    0.27913...
     0.49999...
                    0.00000...
                                    0.45582...
                                                   F F F
     0.49999...
                    0.00000...
                                    0.63252...
                                                   T T T
```



- Provided other technical parameters -ENCUT, KPOINTS, PREC - are converged, the choice of XC functional is the most important factor for getting good results
- Although LDA and PBE are very widely used in the literature, they are not always the best for geometry optimisation (!)
- It is fairly common practice to optimise the geometry with one XC functional and model the electronic structure with another (e.g. PBEsol → HSE 06)

Chemical Accuracy

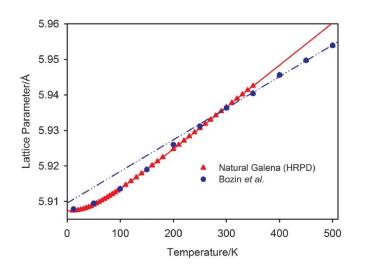


Hartree World

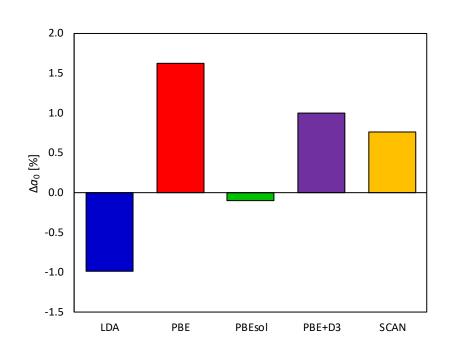
FIGURE 1. Jacob's ladder of density functional approximations. Any resemblance to the Tower of Babel is purely coincidental. Also shown are angels in the spherical approximation, ascending and descending. Users are free to choose the rungs appropriate to their accuracy requirements and computational resources. However, at present their safety can be guaranteed only on the two lowest rungs.

Perdew and Schmidt, AIP Conf. Proc. **577**, 1 (**2001**), DOI: <u>10.1063/1.1390175</u>

- o LDA:
 - Selected automatically when using POTCAR files from the potpaw LDA.* set
- PBE (standard GGA):
 - Set GGA = PE or use the potpaw PBE.* set.
- PBEsol (improved GGA for solids):
 - Set GGA = PS
- PBE + D3 (PBE GGA with the D3 dispersion correction):
 - Add IVDW = 11 to a PBE calculation
- SCAN (modern meta-GGA):
 - Add METAGGA = SCAN to a PBE calculation
 - Usually best to use ALGO = Normal and LMIXTAU = .TRUE.



$$a(T) = a_0 + k \frac{1}{[\exp(E/T) - 1]}$$



Knight, J. Phys.: Condens. Matter 26, 385403 (2014), DOI: 10.1088/0953-8984/26/38/385403

Geometry optimisation: summary



The University of Manchester

- 1. Obtain a good starting structure:
 - Preferably choose a high-quality single-crystal X-ray or neutron structure collected at low T
 - Be careful with structures containing disorder/partial occupancies
 - The Materials Project website (https://materialsproject.org) is a good alternative to the ICSD for downloading initial structures
- 2. Choose a good XC functional:
 - Hard bulk materials (e.g. oxides): try PBEsol (GGA = PS)
 - Layered or molecular materials: try PBE + D3 (GGA = PE with IVDW = 11)
- Choose your ISIF:
 - ISIF = 2: internal coordinates (atom positions) only
 - ISIF = 4: cell shape with fixed volume
 - ISIF = 3: full variable-cell optimisation

Geometry optimisation: summary



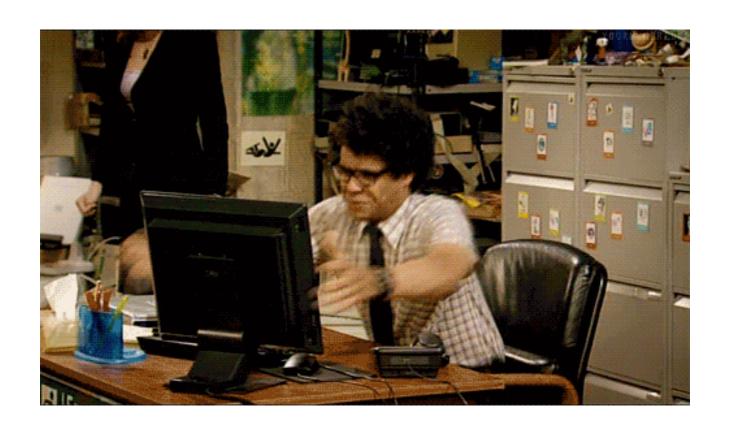
The University of Manchester

- 4. Adjust your ENCUT if required:
 - 1.3-2 \times max(ENMAX) for accurate forces and stresses especially important for variable-cell optimisations
- 5. Choose your IBRION:
 - Start with IBRION = 2 and change to IBRION = 1 as the ionic energy begins to converge
- 6. Make sure your electronic structure is well converged:
 - If the electronic SCF fails to converge, the forces will probably not be accurate -> try ALGO = Normal/All and increase NELM if required
 - If using a loose EDIFF, the forces might not be accurate enough to converge to a tight EDIFFG (e.g. EDIFF = 1e-4 with EDIFFG = -1e-2)
 - A failed SCF step in the middle of an optimisation could easily undo several prior successful minimisation steps

What to do when things go wrong?



The University of Manchester



Source: MovieGif.com via http://gph.is/1xzJdX3

Problem:

My optimisation is taking a long time to converge.

Things to check:

- 1. Are your electronic SCF steps converging consistently? One failed SCF can undo several optimisation steps.
- 2. Is your EDIFFG sane? Reaching EDIFFG = -1e-3 in a large, low-symmetry structure is hard, and rarely actually necessary.
- 3. Are your EDIFF and EDIFFG compatible? (See summary slides.)

Things to try:

- 1. Change IBRION (IBRION = 1/2).
- 2. For systems with H atoms or a relatively flat PES, try POTIM = 0.25).

Problem:

My optimisation is diverging.

Things to check:

- 1. Are your electronic SCF steps converging?
- Is your input structure reasonable? (Experimental structures are definitely not infallible check for guesstimated H positions, partial occupancies, and dodgy CIF files.)
- Is your POTCAR file ordered correctly?
- 4. If using spin polarisation, are your MAGMOM/NUPDOWN set correctly?

Things to try:

1. Start with ISIF = 2 to constrain volume/shape and/or do a few ionic steps with a very small POTIM (e.g. POTIM = 0.05) to constrain initial explosion.

Troubleshooting



Problem:

My optimised structure doesn't match experiment/previous calculations.

Things to check:

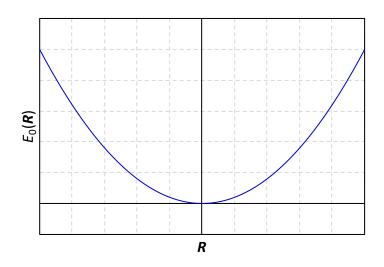
- 1. If comparing to experiment:
 - Is the experimental structure good quality?
 - Have you considered thermal expansion?
 - Ideally want single-crystal X-ray or neutron data recorded close to 0 K.
- 2. If comparing to other calculations:
 - Are you using a comparable setup? (XC functional, cutoff, k-point sampling, ...)
 - Are your chosen parameters more appropriate than those used in previous work?

Things to try:

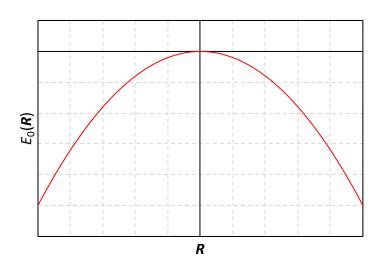
1. Try different XC functionals - PBEsol or PBE-D3 instead of PBE.

Problem:

Find the set of atomic positions $\mathbf{R} = \{\mathbf{r}_1, \mathbf{r}_2, ..., \mathbf{r}_N\}$ and lattice vectors $\mathbf{a} = \{\mathbf{a}_1, \mathbf{a}_2, \mathbf{a}_3\}$ that define the minimum (a stationary point) on the potential-energy surface.



Minimum:
$$\frac{\partial^2 E}{\partial R^2} > 0$$

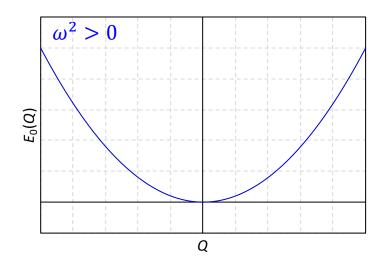


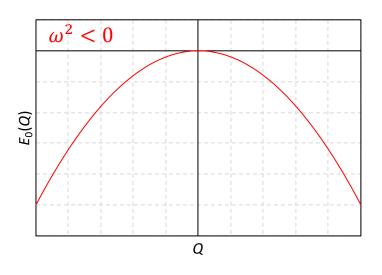
Maximum:
$$\frac{\partial^2 E}{\partial R^2} < 0$$

Solution:

Computing the force constants $\Phi = \partial^2 E/\partial R^2$ and obtaining the harmonic phonon frequencies from the dynamical matrix $D(\mathbf{q})$ allows us to confirm we have located a minimum

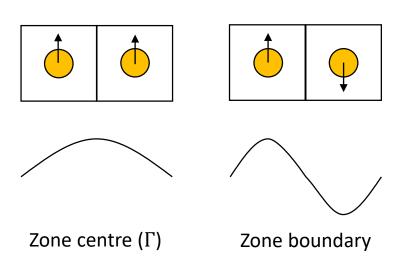
$$D_{\alpha\beta}(jj',\mathbf{q}) = \frac{1}{\sqrt{m_j m_{j'}}} \sum_{l'} \Phi_{\alpha\beta}(j0,j'l') \exp[i\mathbf{q} \cdot \{r(j'l') - r(j'l')\}]$$

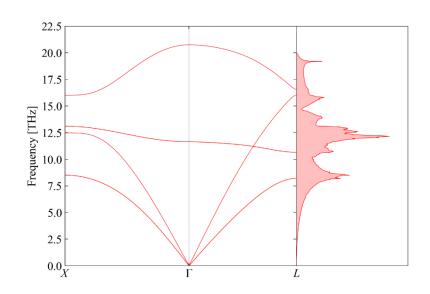




- \circ Phonon calculations are activated by setting IBRION = 5-8:
 - IBRION = 5/6: calculate force constants and determine $D(\mathbf{q} = \Gamma)$ using finite differences
 - IBRION = 7/8: evaluate $D(q = \Gamma)$ using DFPT (not available for all functionals)
 - IBRION = 6/8 take into account symmetry, whereas IBRION = 5/7 do not
- o For finite differences calculations (IBRION = 5/6):
 - POTIM sets the finite difference step (default: $1.5 \times 10^{-2} \text{ Å}$)
 - NFREE sets the number of steps in the central difference scheme (default: 2)
- \circ For at least some versions of VASP it is also necessary to specify NSW = 1
- o In a finite-differences calculation (IBRION = 5/6), adding ISIF = 3 determines the elastic constant matrix and the ionic contribution to the dielectric constant ε
- O In either calculation, Born charges and the polarisation contribution to ε can be obtained using LEPSILON (DFPT) or LCALCEPS (finite field)

- The major drawback is that at present the VASP routines only calculate $D(q = \Gamma)$...
- ... but the Phonopy package provides a full set of functionality and works very well with VASP as a force calculator: https://atztogo.github.io/phonopy/

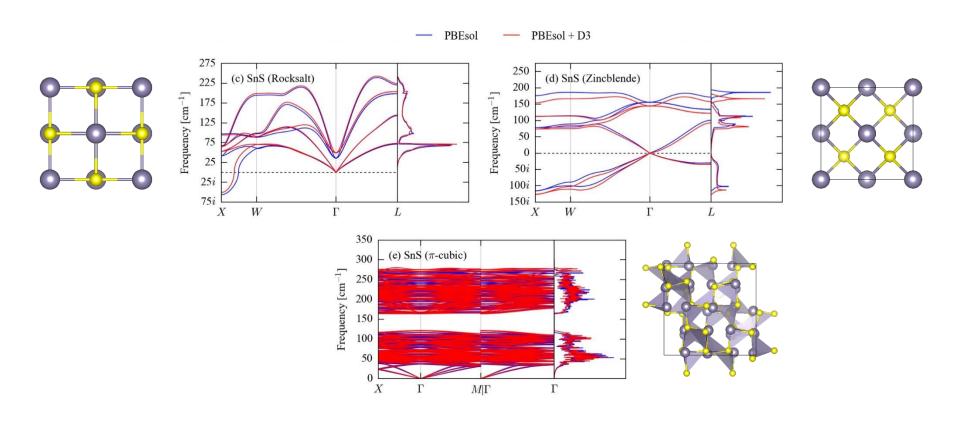




Structural instabilities: "cubic" SnS

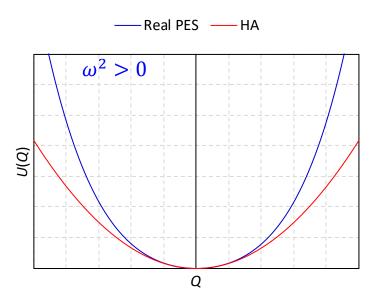


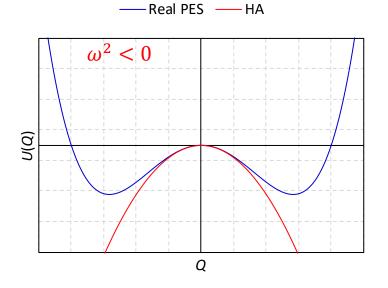
The University of Manchester



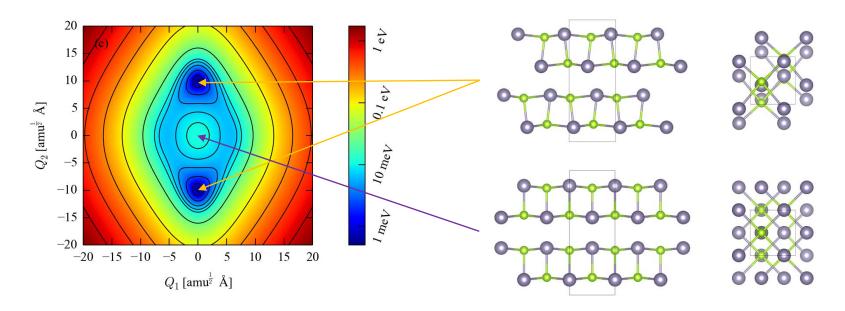
Skelton et al., J. Phys. Chem. C 121 (12), 6446 (2017), DOI: 10.1021/acs.jpcc.6b12581

 In some systems, equivalent energetic minima are separated by a shallow energy barriers - at high temperatures, sufficient thermal energy is available to hop between minima on a short timescale, and crystallography measures the average structure



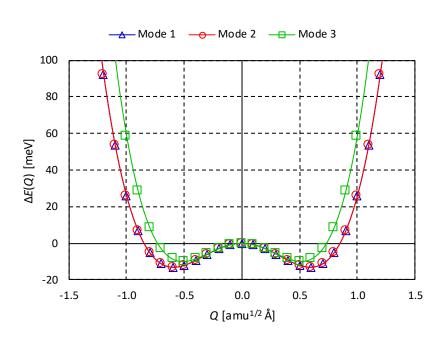


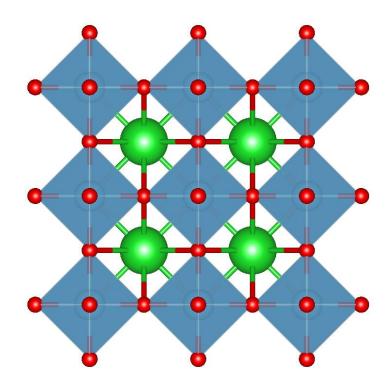
- Many examples of this phenomenon in real materials:
 - Octahedral rotation and cation off-centering in cubic perovskites
 - Pnma ↔ Cmcm phase transition in SnS/SnSe
 - The paraelectric ↔ ferroelectric phase transition in ferroelectrics



Skelton et al., Phys. Rev. Lett. 117, 075502 (2016), DOI: 10.1103/PhysRevLett.117.075502

o c-BaTiO₃ displays a spontaneous off-centring of the Ti⁴⁺ cation within the TiO₆ octahedral cage - manifests as a triply-degenerate imaginary mode with $v \approx 200i$ cm⁻¹





Thankyou for listening!

Any questions?