Geometry Optimisation

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Overview

o   Geometry optimisation in the bulk

- Theory

- Geometry optimisation in VASP

o   Theory *vs.* experiment

- Choice of exchange-correlation functional

o   Troubleshooting: what to do when things go wrong

o   Phonon calculations (if time permits)

- Imaginary modes, dynamical stability and mode mapping

Problem:

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

Key parameters:

$$\boldsymbol{F}_N = -\frac{\partial E_0}{\partial \boldsymbol{r}_N} = -\left\langle \Psi_0(\boldsymbol{R}, \boldsymbol{a}) \left| \frac{\partial H(\boldsymbol{R}, \boldsymbol{a})}{\partial \boldsymbol{r}_N} \right| \Psi_0(\boldsymbol{R}, \boldsymbol{a}) \right\rangle$$

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

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

trial-charge ρ_{in} and trial-wavevectors ψ_n

set up Hamiltonian $H(\rho_{in})$

iterative refinements of wavefunctions $\{\psi_n\}$

new charge density $\rho_{out} = \sum_n f_n |\psi_n(\mathbf{r})|^2$

refinement of density $\rho_{in}, \rho_{out} \Rightarrow$ new ρ_{in}

no $\quad \Delta E < E_{\text{break}}$

calculate forces, update ions

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

Problem:

Follow the forces/stresses to the nearest minimum

Solution 1 - Steepest Descent:

$$R_{n+1} = R_n - \gamma \nabla E(R_n) = R_n + \gamma F(R_n)$$

Pros and cons:

Slow "zig-zag" convergence to the minimum; requires many iterations
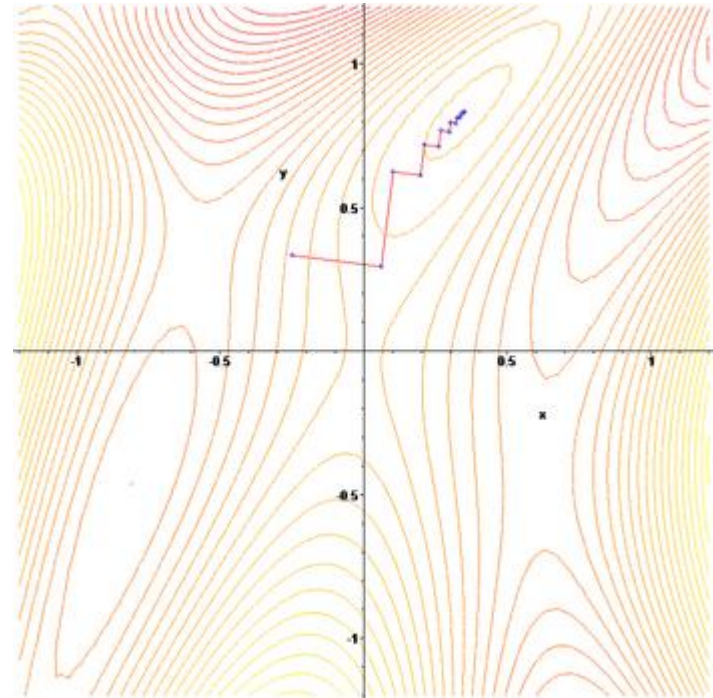
https://en.wikipedia.org/wiki/Gradient_descent

The Newton-Rhapson method

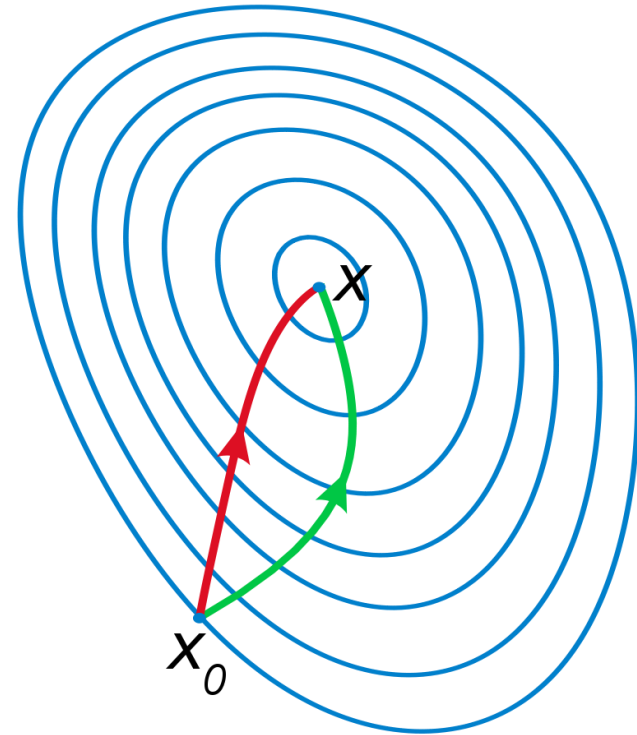Problem:

  Follow the forces/stresses to the nearest minimum

Solution 2 - Newton-Rhapson:

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

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

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

The conjugate-gradient algorithm

Problem:

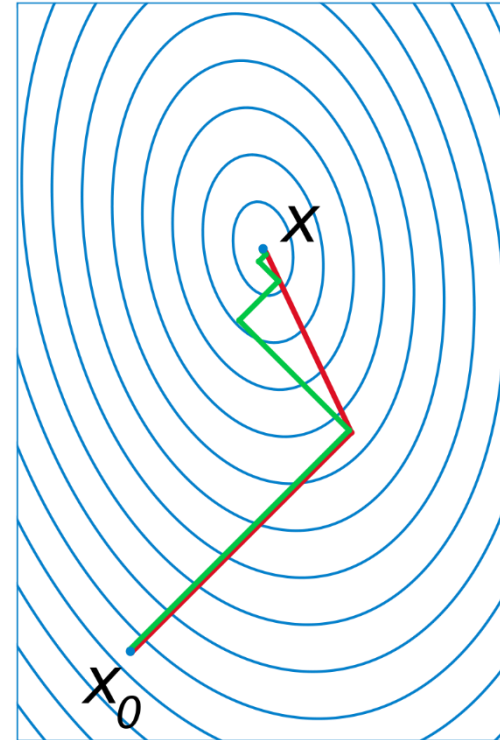Follow the forces/stresses to the nearest minimum

Solution 3 - Conjugate Gradient:

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

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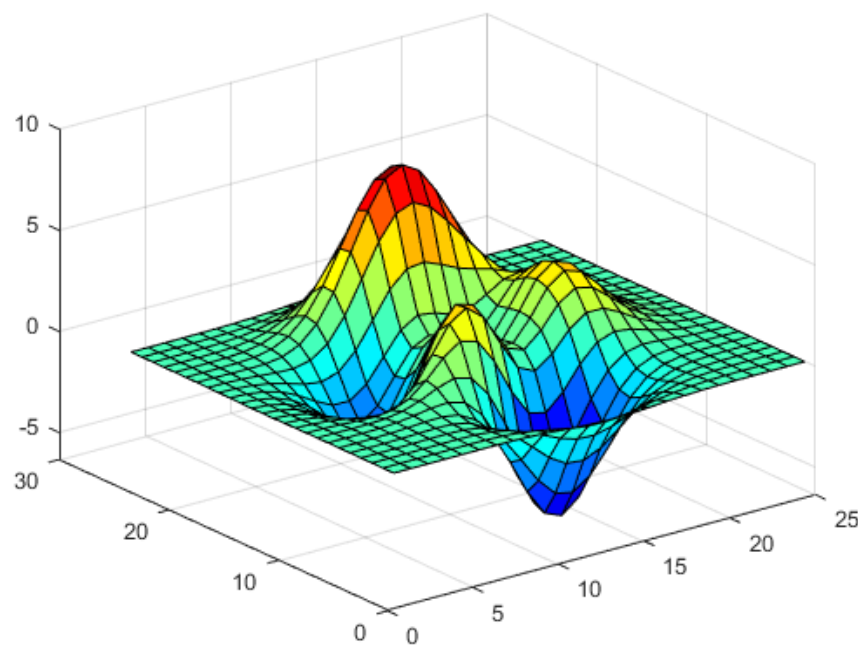
Pros and cons:

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/cqc_lecture_6.pdf

Optimisation and symmetry

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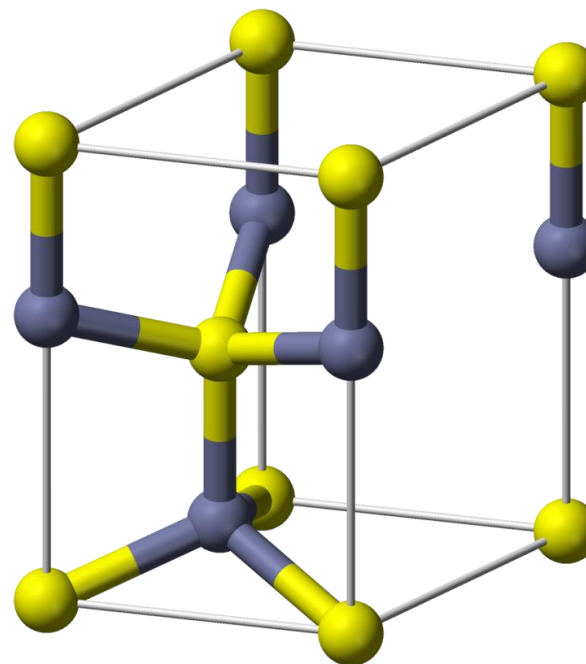

https://www.mathworks.com/help/matlab/visualize/creating-3-d-plots.html

Optimisation and symmetry

o Crystal symmetry can significantly reduce the number of degrees of freedom

o NaCl ($Fm\bar{3}m$):

- Atoms fixed at $(0, 0, 0)$ and $\left(\frac{1}{2}, \frac{1}{2}, \frac{1}{2}\right)$

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

- One DoF: the lattice constant a
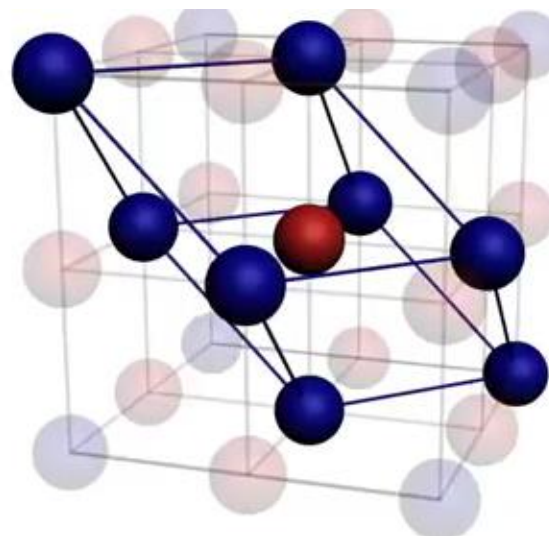
Physics-Animations.com: https://www.youtube.com/watch?v=lmQlxbU9CEI

o Crystal symmetry can significantly reduce the number of degrees of freedom

o Wurtzite ZnS ($P6_3mc$):

- Positions in the a/b plane fixed

- $a = b \neq c$, $\alpha = \beta = 90$ and $\gamma = 120$

- Three DoFs: a, c and u

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

Important INCAR tags

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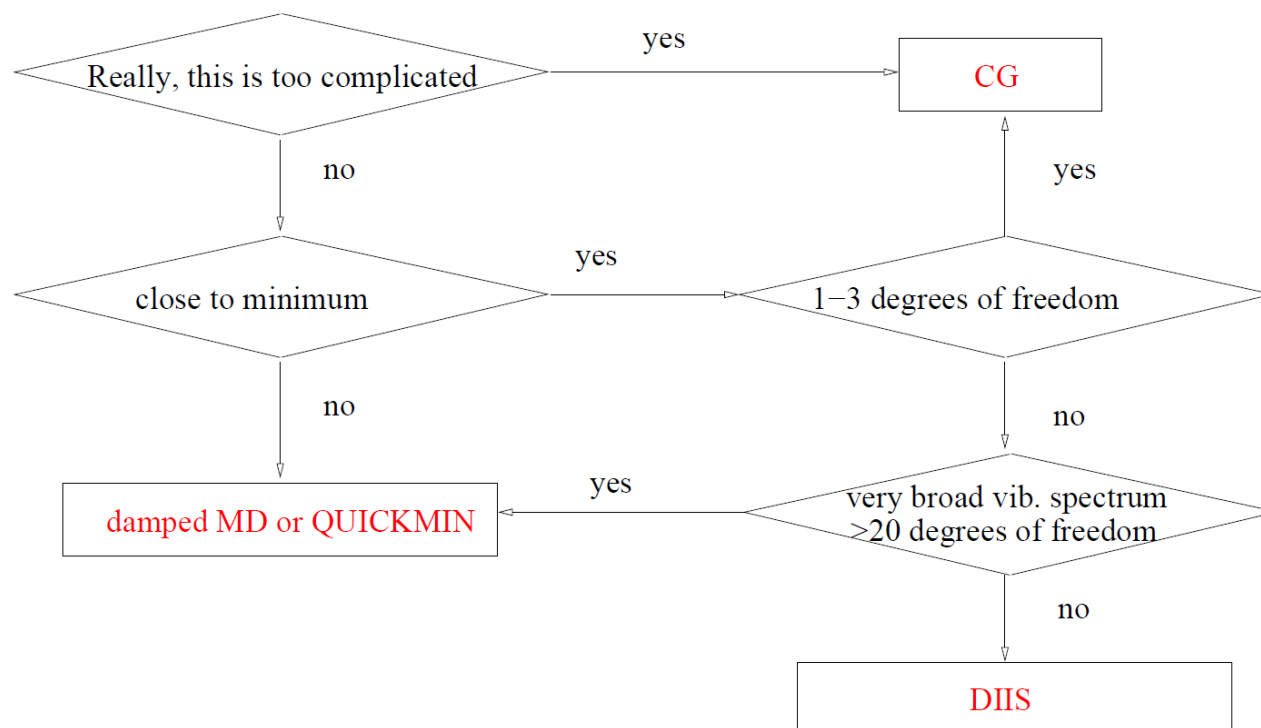
https://www.vasp.at/vasp-workshop/lectures/VASP_lecture_Basics3.pdf

o 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	✓	✓	✓
ISIF = 4	✓	✓	✗
ISIF = 5	✗	✓	✗
ISIF = 6	✗	✓	✓
ISIF = 7	✗	✗	✓

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

Important INCAR tags

o   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 $F_{\max} <$ |`EDIFFG`|

o   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)

o `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)

Pulay stress

The University of 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
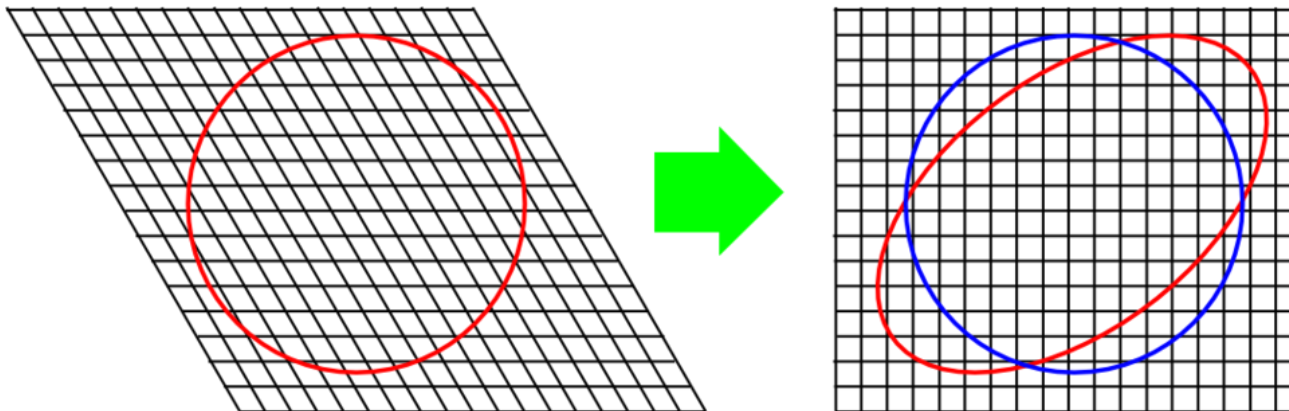
○ To mitigate this:

- 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

o Download directly…:

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

o … or download manually…:

Slides and examples for the 2019 VASP Workshop held in Chester, UK

🕑 4 commits	⎇ 1 branch	⬨ 0 releases	👥 1 contributor	⚖ CC-BY-4.0

Branch: master ▾   New pull request   Find file   Clone or download ▾

⠿ JMSkelton Update presentation and add examples …   Latest commit 5d85a0b 1 minute ago

📁 Ex01_Cu2ZnSnS4	Update presentation and add examples	1 minute ago
📁 Ex02_b-SuccinicAcid	Update presentation and add examples	1 minute ago
📁 Ex03_ZnO	Update presentation and add examples	1 minute ago

o … or download from the VASP Wiki

o 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

o If you find these useful, feel free to take them and adapt them to your own materials.

o (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.)

```
! 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
```
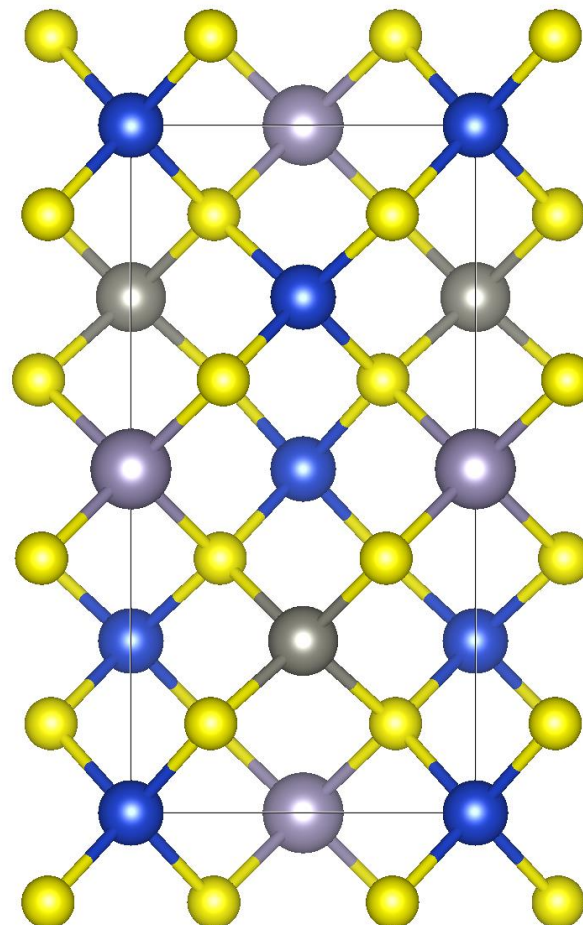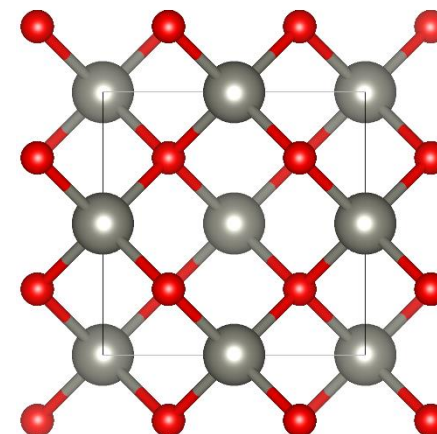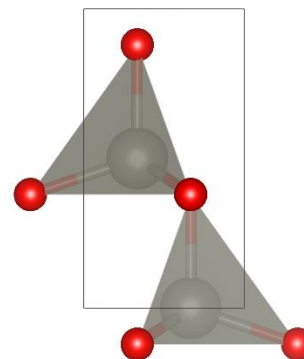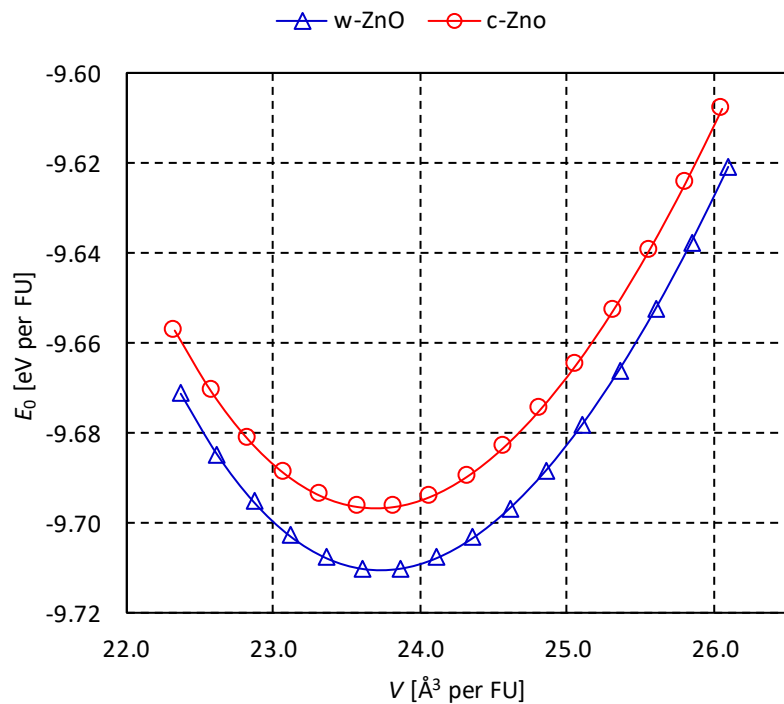
```
! Technical.

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-2
IBRION = 2
ISIF = 4
NSW = 25
```
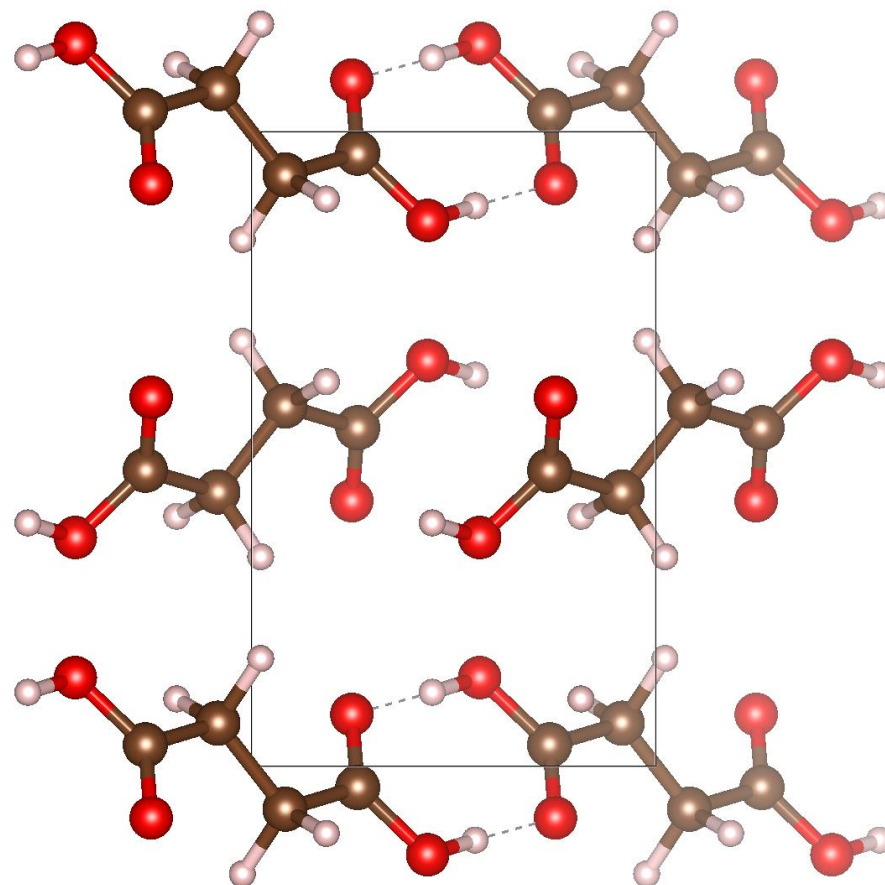
o An alternative way to obtain the equilibrium volume is to calculate an $E(V)$ curve:

- 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:

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

o 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)
   1.0000000000000000
    11.2804000000000002      0.0000000000000000      0.0000000000000000
     0.0000000000000000     11.2804000000000002      0.0000000000000000
     0.0000000000000000      0.0000000000000000     31.9206000000000003
   Na    Cl    K
   47    48     1
Selective Dynamics
Direct
     0.0000000000000000      0.0000000000000000      0.2791316579262295    T  T  T
     0.0000000000000000      0.0000000000000000      0.4558263315852459    F  F  F
     0.0000000000000000      0.0000000000000000      0.6325210052442624    T  T  T
     0.0000000000000000      0.2500000000000000      0.3674789947557377    T  T  T
     0.0000000000000000      0.2500000000000000      0.5441736684147541    F  F  F
     0.0000000000000000      0.2500000000000000      0.7208683420737706    T  T  T
     0.0000000000000000      0.4999999999999999      0.2791316579262295    T  T  T
     0.0000000000000000      0.4999999999999999      0.4558263315852459    F  F  F
     0.0000000000000000      0.4999999999999999      0.6325210052442624    T  T  T
     0.0000000000000000      0.7500000000000000      0.3674789947557377    T  T  T
     0.0000000000000000      0.7500000000000000      0.5441736684147541    F  F  F
```

Example #4: NaCl <100> with K defect

```
NaCl <100> (Na -> K)
   1.0000000000000000
    11.2804000000000002      0.0000000000000000      0.0000000000000000
     0.0000000000000000     11.2804000000000002      0.0000000000000000
     0.0000000000000000      0.0000000000000000     31.9206000000000003
   Na   Cl    K
   47   48    1
Selective Dynamics
Direct
   0.00000...      0.00000...      0.27913...      T   T   T
   0.00000...      0.00000...      0.45582...      F   F   F
   0.00000...      0.00000...      0.63252...      T   T   T
   0.00000...      0.25000...      0.36747...      T   T   T
   0.00000...      0.25000...      0.54417...      F   F   F
   0.00000...      0.25000...      0.72086...      T   T   T
   0.00000...      0.49999...      0.27913...      T   T   T
   0.00000...      0.49999...      0.45582...      F   F   F
   0.00000...      0.49999...      0.63252...      T   T   T
   0.00000...      0.75000...      0.36747...      T   T   T
   0.00000...      0.75000...      0.54417...      F   F   F
   0.00000...      0.75000...      0.72086...      T   T   T
   0.25000...      0.00000...      0.36747...      T   T   T
   0.25000...      0.00000...      0.54417...      F   F   F
   0.25000...      0.00000...      0.72086...      T   T   T
   0.25000...      0.25000...      0.27913...      T   T   T
   0.25000...      0.25000...      0.45582...      F   F   F
   0.25000...      0.25000...      0.63252...      T   T   T
   0.25000...      0.49999...      0.36747...      T   T   T
   0.25000...      0.49999...      0.54417...      F   F   F
   0.25000...      0.49999...      0.72086...      T   T   T
   0.25000...      0.75000...      0.27913...      T   T   T
   0.25000...      0.75000...      0.45582...      F   F   F
   0.25000...      0.75000...      0.63252...      T   T   T
   0.49999...      0.00000...      0.27913...      T   T   T
   0.49999...      0.00000...      0.45582...      F   F   F
   0.49999...      0.00000...      0.63252...      T   T   T
```
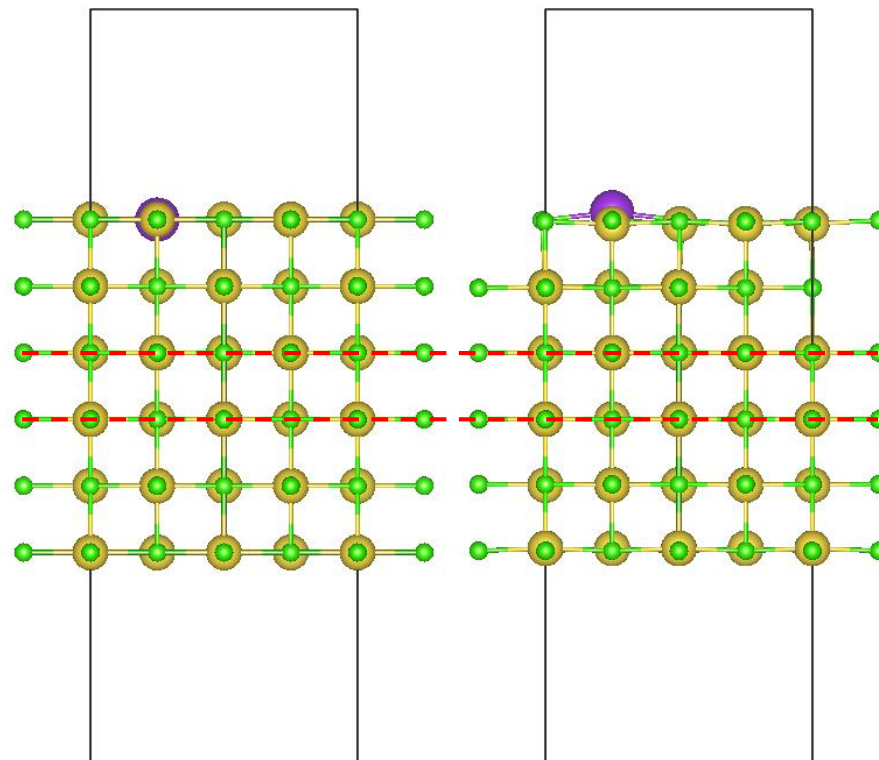
Choosing an XC functional

o Provided other technical parameters - `ENCUT`, `KPOINTS`, `PREC` - are converged, the choice of XC functional is the most important factor for getting a good geometry

o Although LDA and PBE are very widely used in the literature, they are not always the best for geometry optimisation (!)

o 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)
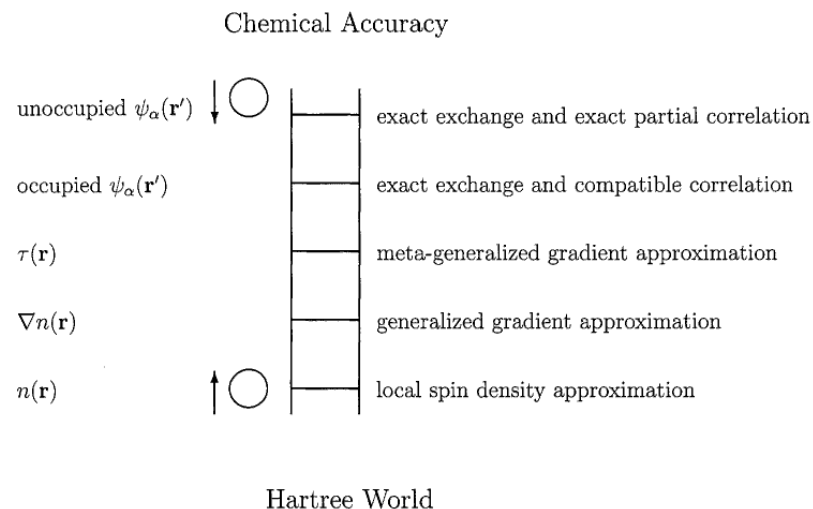
Chemical Accuracy

unoccupied $\psi_\alpha(\mathbf{r}')$ — exact exchange and exact partial correlation

occupied $\psi_\alpha(\mathbf{r}')$ — exact exchange and compatible correlation

$\tau(\mathbf{r})$ — meta-generalized gradient approximation

$\nabla n(\mathbf{r})$ — generalized gradient approximation

$n(\mathbf{r})$ — local spin density approximation

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: 10.1063/1.1390175

Some useful XC functionals

o LDA:

- Selected automatically when using `POTCAR` files from the `potpaw_LDA.*` set

o PBE (standard GGA):

- Set `GGA = PE` or use the `potpaw_PBE.*` set.

o PBEsol (improved GGA for solids):

- Set `GGA = PS`

o PBE + D3 (PBE GGA with the D3 dispersion correction):

- Add `IVDW = 11` to a PBE calculation

o SCAN (modern meta-GGA):

- Add `METAGGA = SCAN` to a PBE calculation
- Usually best to use `ALGO = Normal` and `LMIXTAU = .TRUE.`
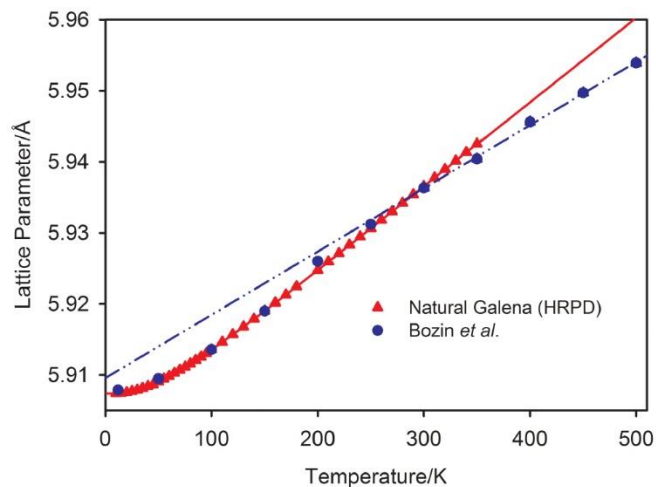
$$a(T) = a_0 + k \frac{1}{[\exp(E/T) - 1]}$$
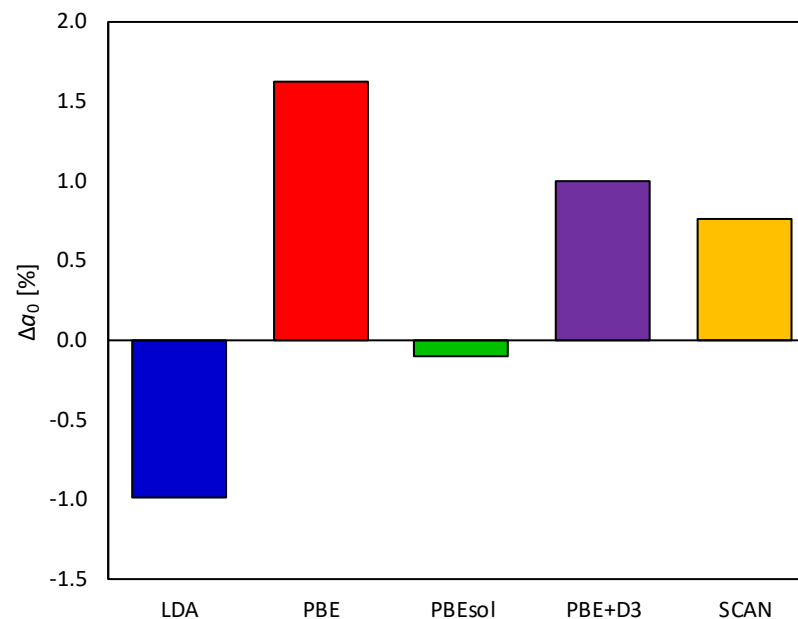
Knight, *J. Phys.: Condens. Matter* **26**, 385403 (**2014**), DOI: 10.1088/0953-8984/26/38/385403

Geometry optimisation: summary

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`)

3. Choose your `ISIF`:

   - `ISIF = 2`: internal coordinates (atom positions) only

   - `ISIF = 4`: cell shape with fixed volume

   - `ISIF = 3`: full variable-cell optimisation

4. Adjust your `ENCUT` if required:

   - 1.3-2 × 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

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

Troubleshooting
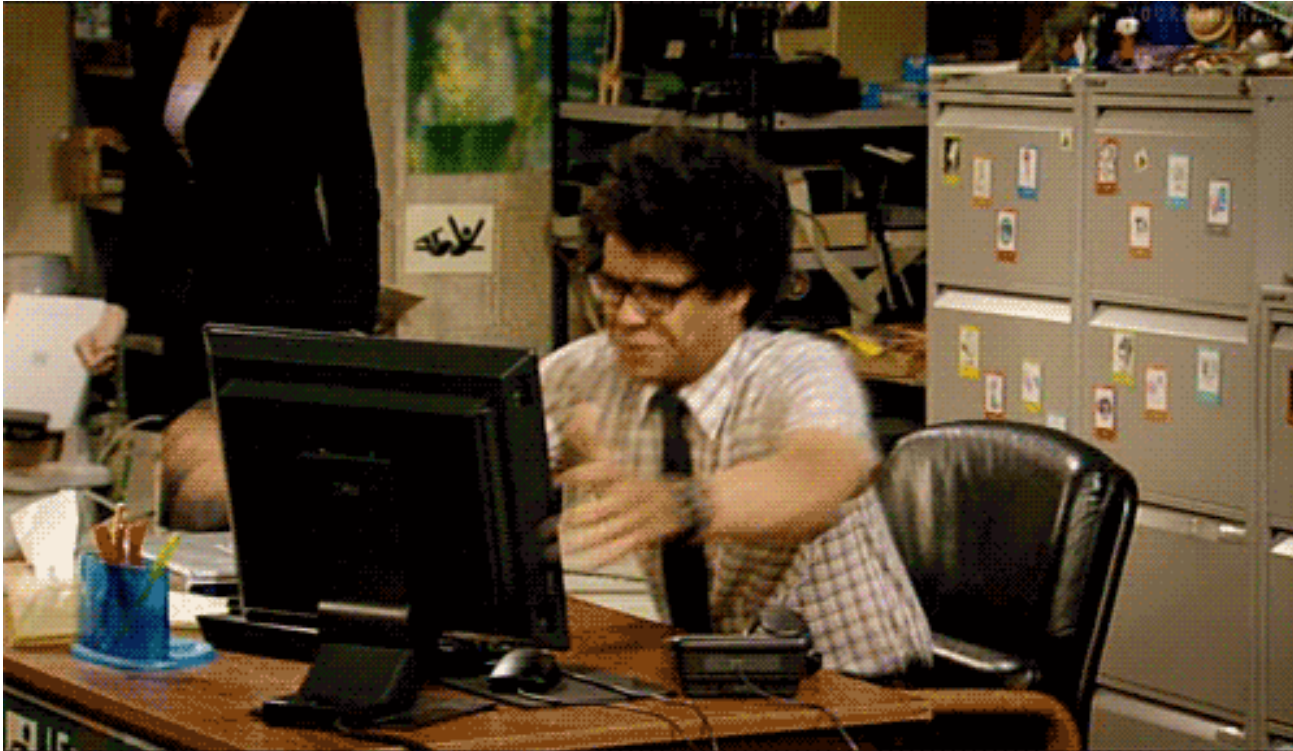
Problem:

    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?

2. Is your input structure reasonable? (Experimental structures are definitely *not* infallible - check for guesstimated H positions, partial occupancies, and dodgy CIF files.)

3. 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 $\boldsymbol{R} = \{\boldsymbol{r}_1, \boldsymbol{r}_2, \dots, \boldsymbol{r}_N\}$ and lattice vectors $\boldsymbol{a} = \{\boldsymbol{a}_1, \boldsymbol{a}_2, \boldsymbol{a}_3\}$ that define the minimum (a stationary point) on the potential-energy surface.
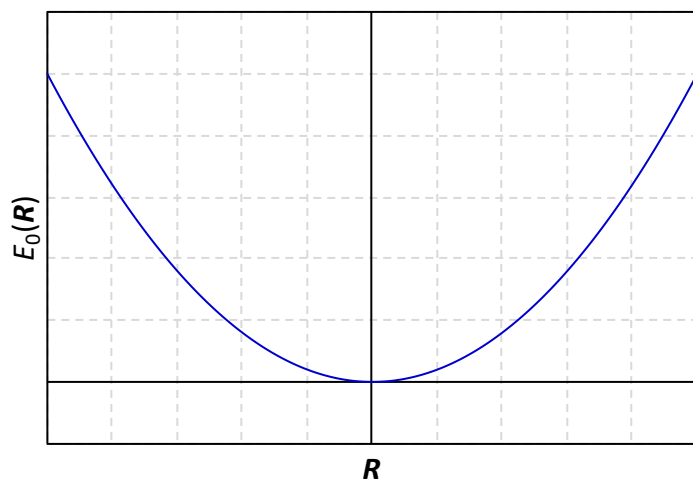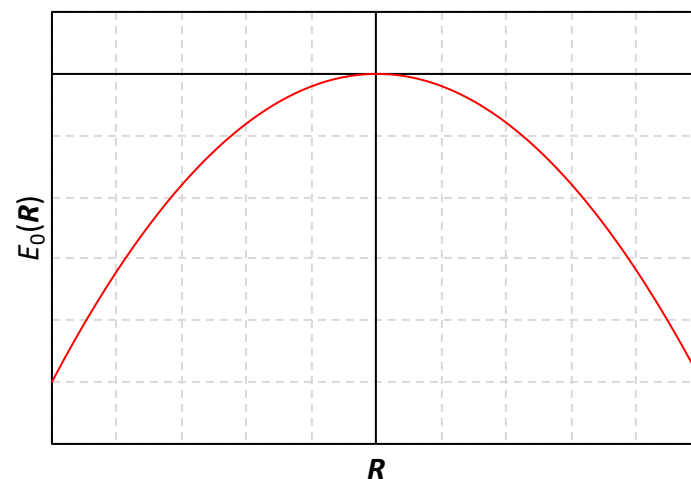
$$\text{Minimum: } \frac{\partial^2 E}{\partial \boldsymbol{R}^2} > 0 \qquad\qquad \text{Maximum: } \frac{\partial^2 E}{\partial \boldsymbol{R}^2} < 0$$

Solution:

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

$$D_{\alpha\beta}\,(jj',\mathbf{q}) = \frac{1}{\sqrt{m_j m_{j'}}}\sum_{l'} \Phi_{\alpha\beta}(j0,j'l')\exp[i\mathbf{q}\cdot\{\boldsymbol{r}(j'l') - \boldsymbol{r}(j'l')\}]$$
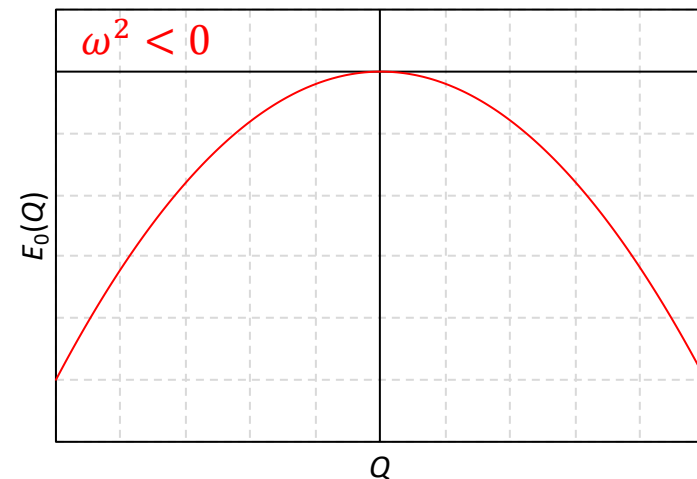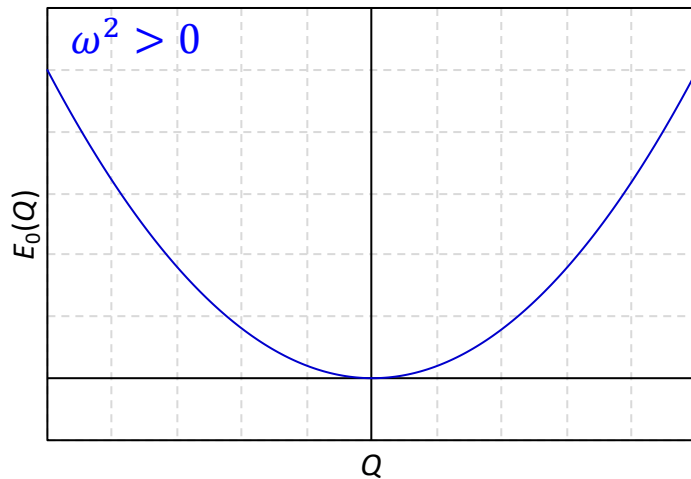
o Phonon calculations are activated by setting `IBRION = 5-8`:

- `IBRION = 5/6`: calculate force constants and determine $\boldsymbol{D}(\mathbf{q} = \Gamma)$ using finite differences

- `IBRION = 7/8`: evaluate $\boldsymbol{D}(\mathbf{q} = \Gamma)$ 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: 1.5×10^{-2} Å)

- `NFREE` sets the number of steps in the central difference scheme (default: 2)

o 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)
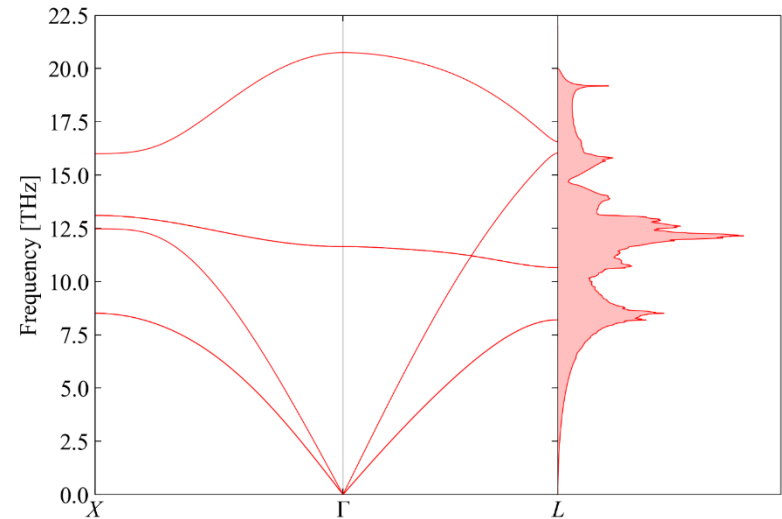
o   The major drawback is that at present the VASP routines only calculate $D(\mathbf{q} = \Gamma)$...

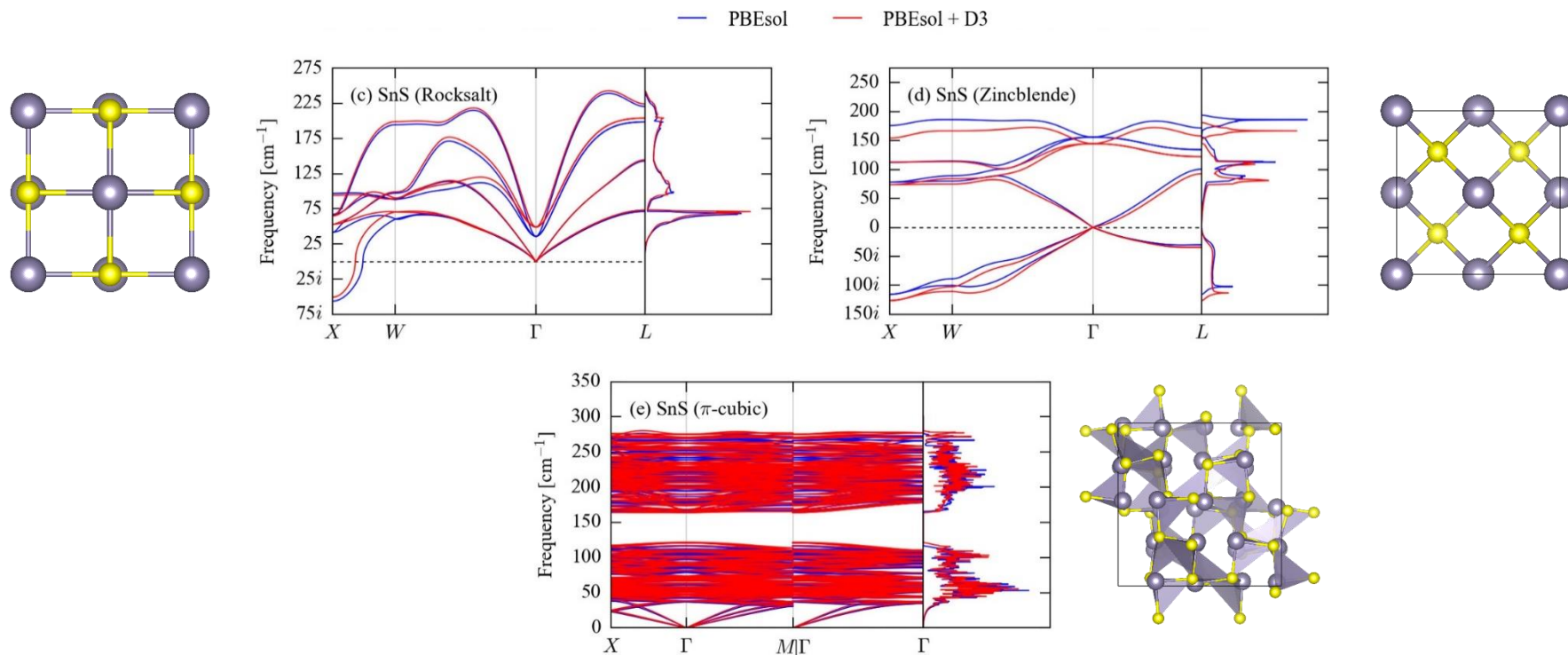o   ... but the Phonopy package provides a full set of functionality and works very well with VASP as a force calculator: https://atztogo.github.io/phonopy/
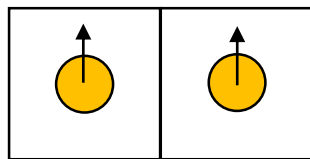
Zone centre (Γ)   Zone boundary
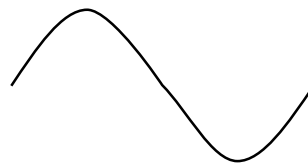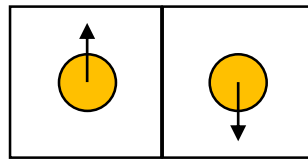
Skelton *et al.*, *J. Phys. Chem. C* **121** (*12*), 6446 (**2017**), DOI: 10.1021/acs.jpcc.6b12581

○ 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
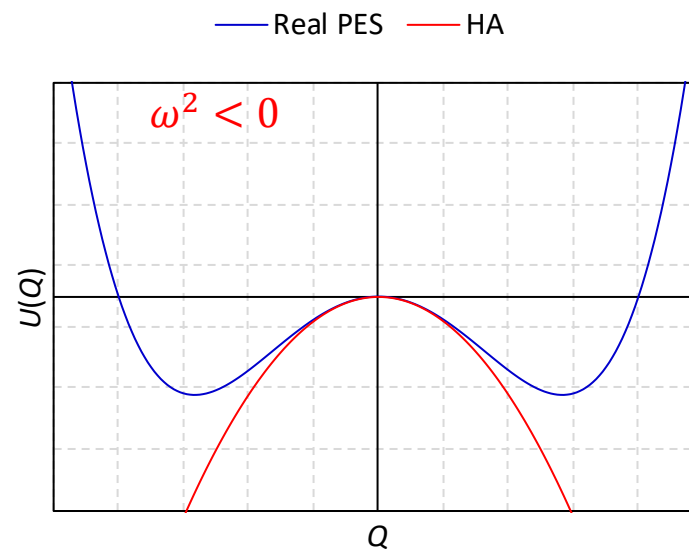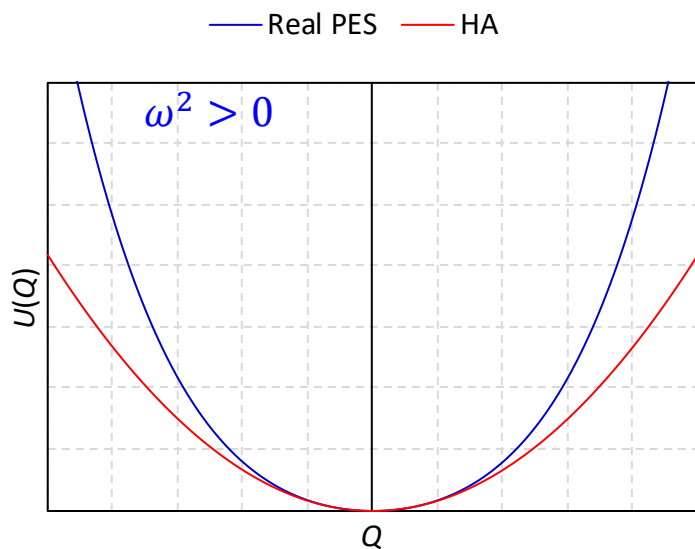
o   Many examples of this phenomenon in real materials:

  - Octahedral rotation and cation off-centering in cubic perovskites

  - *Pnma ↔ Cmcm* phase transition in SnS/SnSe

  - The paraelectric ↔ ferroelectric phase transition in ferroelectrics
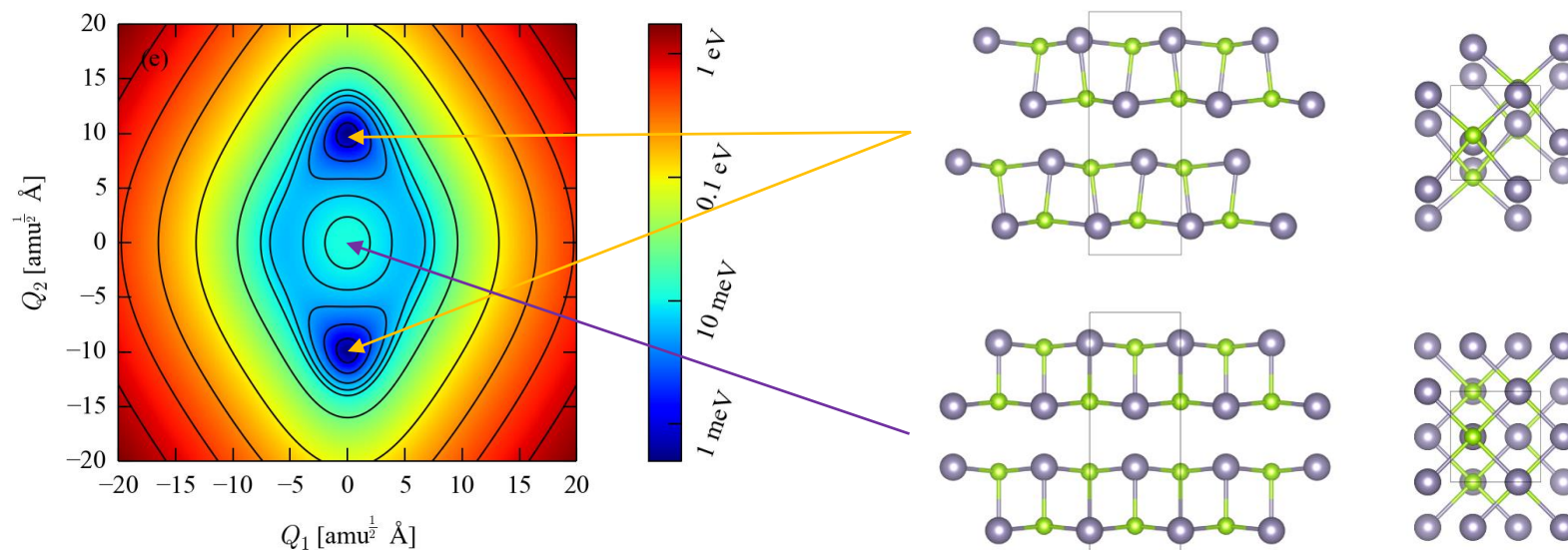
Skelton *et al.*, *Phys. Rev. Lett.* **117**, 075502 (**2016**), DOI: 10.1103/PhysRevLett.117.075502

o   *c*-BaTiO$_3$ displays a spontaneous off-centring of the Ti^{4+} cation within the TiO$_6$ octahedral cage - manifests as a triply-degenerate imaginary mode with $v \approx 200i$ cm^{-1}
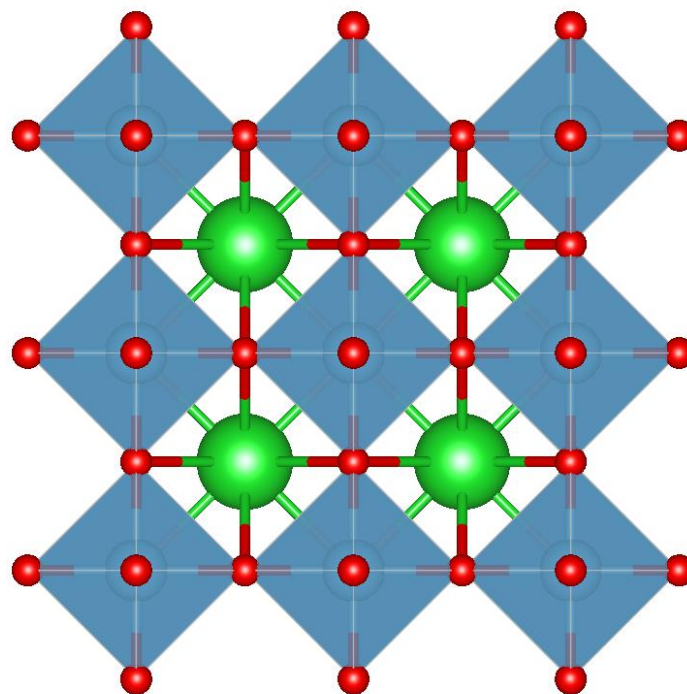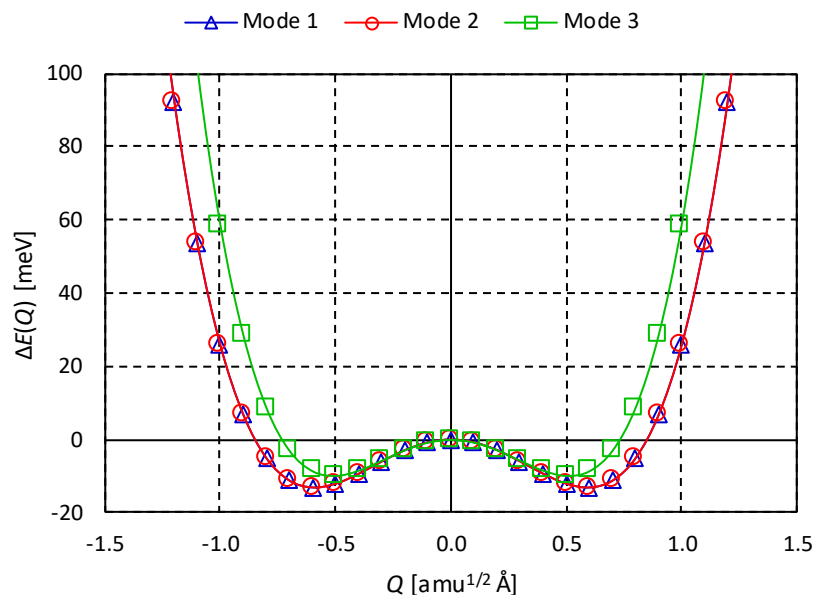
Thankyou for listening!

Any questions?