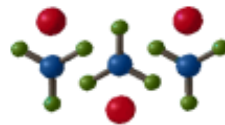




Stony Brook University



Oganov's

COMPUTATIONAL MATERIALS DISCOVERY LABORATORY

# Tutorial 8: Introduction to USPEX

Maksim Rakitin

[maksim.rakitin@stonybrook.edu](mailto:maksim.rakitin@stonybrook.edu)

Shengnan Wang

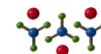
[shengnan.wang@stonybrook.edu](mailto:shengnan.wang@stonybrook.edu)

Stony Brook University  
Department of Geosciences



# Useful links:

- References, where the method was exhaustively described: <http://uspex.stonybrook.edu/uspex.html>
- USPEX manual:
  - HTML: [http://han.ess.sunysb.edu/uspex\\_manual/](http://han.ess.sunysb.edu/uspex_manual/)
  - PDF: [http://han.ess.sunysb.edu/uspex\\_manual/uspex\\_manual.pdf](http://han.ess.sunysb.edu/uspex_manual/uspex_manual.pdf)
- USPEX utilities: <http://han.ess.sunysb.edu/>



# How to start your calculations

1. Prepare INPUT.txt file.
2. Prepare files in **Specific/** directory (for VASP: INCAR\_1,...,INCAR\_N, POTCAR\_A, POTCAR\_B, etc.)
3. If necessary, prepare additional files, which are described in the manual.
4. Start calculation: **USPEX -r**

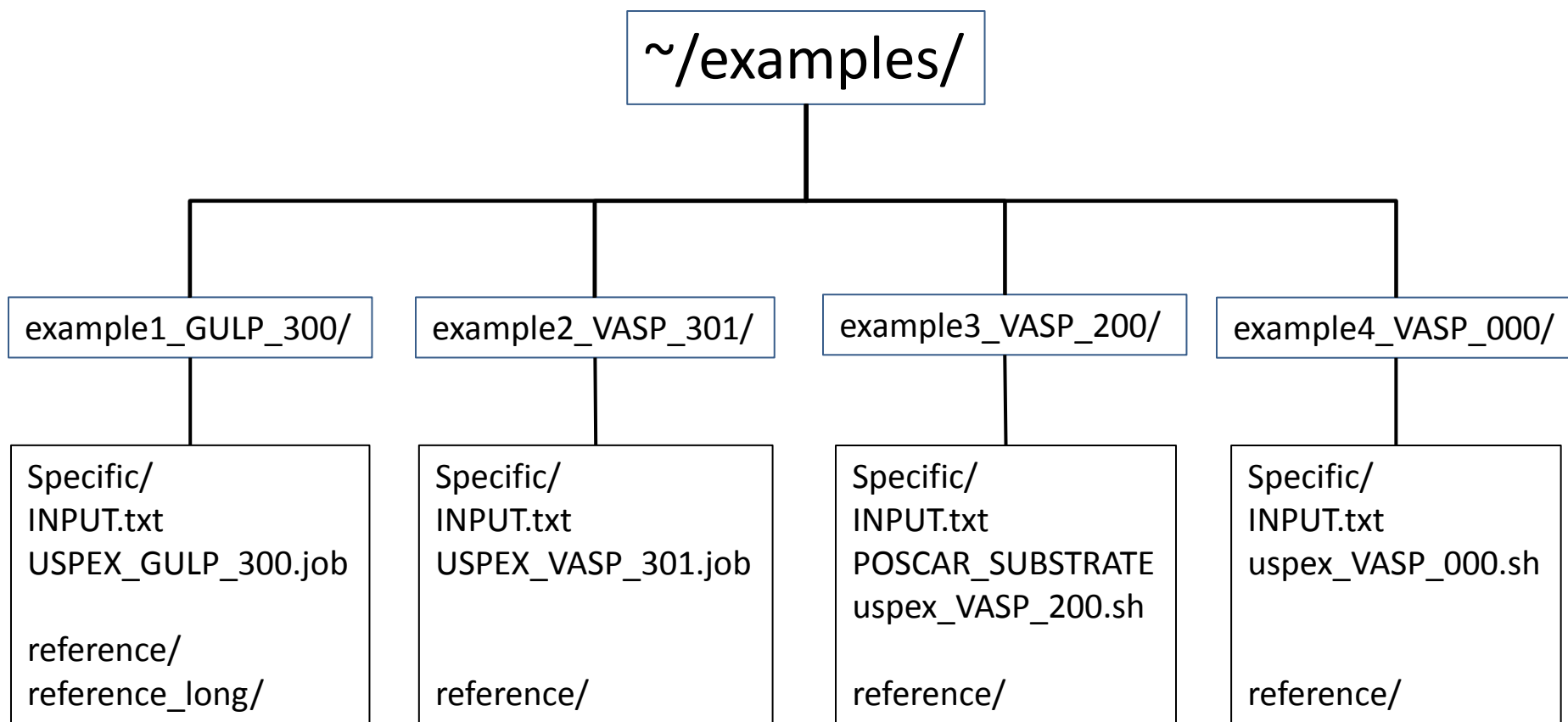
# Connection information:

- `ssh USPEXBNL@qsh.ess.sunysb.edu`  
Password: \*\*\*\*\* (please enter the password correctly, otherwise we will be blocked)
- `cd ~/workshop`
- `mkdir <your userid on nano.bnl.gov>`
- `cd <your userid on nano.bnl.gov>`
- `USPEX -h`

# Examples for today:

- Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (fixed composition, calculationType=300, GULP)
- Bulk Si-C (variable composition, calculationType=301, VASP)
- $\text{O}_2$  @ Si (100) (fixed composition, calculationType=200, VASP)
- $\text{C}_{13}$  nanoparticles (fixed composition, calculationType=000, VASP)

# Examples file system



# Examples for today:

- Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (fixed composition, calculationType=300, GULP)
- Bulk Si-C (variable composition, calculationType=301, VASP)
- $\text{O}_2$  @ Si (100) (fixed composition, calculationType=200, VASP)
- $\text{C}_{13}$  nanoparticles (fixed composition, calculationType=000, VASP)

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

$\text{MgAl}_2\text{O}_4$  (28 atoms/cell) at 100 GPa pressure.  
Variable-cell calculation using Buckingham potentials, GULP code. This test has direct bearing on the physics of the Earth's interior!



# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## INPUT.txt:

```
1 *****
2 *      TYPE OF RUN AND SYSTEM      *
3 *****
4 USPEX : calculationMethod (USPEX, VCNEB, META)
5 300   : calculationType (dimension: 0-3; molecule: 0/1;
6 1     : optType (1=enthalpy, 2=volume, 3=hardness, 4=structure)
7
8 % symmetries
9 2-230
10 % endSymmetries
11
12 % atomType
13 Mg Al O
14 % EndAtomType
15
16 % numSpecies
17 4 8 16
18 % EndNumSpecies
19
20 % valences
21 2 3 2
22 % endValences
```

### ▷ variable `optType`

Meaning: This variable allows you to specify the quantity to be optimized.

Possible values (characters):

- enthalpy (or "1") — to find the stable phases
- volume (or "2") — volume minimization (to find the ground state)
- hardness (or "3") — hardness maximization (to find the hardest material)
- struc\_order (or "4") — maximization of the degree of order in the structure
- aver\_dist (or "5") — maximization of average surface area
- diel\_sus (or "6") — maximization of the static dielectric susceptibility (only for VASP and GULP)
- gap (or "7") — maximization of the band gap (only for VASP)
- diel\_gap (or "8") — maximization of electrical energy storage capacity (only for VASP)
- mag\_moment (or "9") — maximization of the magnetization (only for VASP)
- quasientropy (or "10") — maximization of structural quasientropy

### ▷ variable `calculationType`

Meaning: Specifies type of calculation, i.e., whether the structure of a bulk crystal, nanoparticle, or surface is to be predicted. This variable consists of three indices: *dimensionality*, *molecularity*, and *compositional variability*:

- dimensionality:

"3" — bulk crystals

"2" — surfaces, "2" — 2D-crystals

"1" — polymers

"0" — nanoparticles

- molecularity:

"0" — non-molecular

"1" — molecular calculations

- variability of chemical composition in the calculation:

"0" — fixed composition

"1" — variable composition

Default: 300

Format:

301 : calculationType

**Note:** If `calculationType=310`, i.e., a prediction for a molecular crystal is to be performed, then USPEX expects you to provide files `MOL_1`, `MOL_2`, ... with molecular geometries for all types of molecules, and these molecules will be placed in the newly generated structures as whole objects. Available options: 300, 301, 310, 000, 200, 201, -200 (and not yet released: 110, 311.)

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

INPUT.txt:

Possible space groups for crystals

```

1 *****
2 *      TYPE OF RUN AND SYSTEM      *
3 *****
4 USPEX : calculationMethod (USPEX, VCNAB, META)
5 300   : calculationType (dimension: 0-3; molecule: 0/1; varcomp: 0/1)
6 1     : optType (1=enthalpy, 2=volume, 3=hardness, 4=struc_order, 5=aver_dist)
7
8 % symmetries
9 2-230
10 % endSymmetries
11
12 % atomType
13 Mg Al O
14 % EndAtomType
15
16 % numSpecies
17 4 8 16
18 % EndNumSpecies
19
20 % valences
21 2 3 2
22 % endValences

```

10 Appendix: List of 230 space groups

1	P1	2	P1	3	P2	4	P2 <sub>1</sub>	5	C2
6	Pm	7	Pc	8	Cm	9	Cc	10	P2/m
11	P2 <sub>1</sub> /m	12	C2/m	13	P2/c	14	P2 <sub>1</sub> /c	15	C2/c
16	P222	17	P222 <sub>1</sub>	18	P2 <sub>1</sub> 2 <sub>1</sub> 2	19	P2 <sub>1</sub> 2 <sub>1</sub> 2 <sub>1</sub>	20	C222 <sub>1</sub>
21	C222	22	F222	23	I222	24	I2 <sub>1</sub> 2 <sub>1</sub> 2	25	Pmm2
26	Pmc2 <sub>1</sub>	27	Pcc2	28	Pma2	29	Pca2 <sub>1</sub>	30	Pnc2
31	Pmm2	32	Pba2	33	Pna2 <sub>1</sub>	34	Pnn2	35	Cmm2
36	Cmc2 <sub>1</sub>	37	Ccc2	38	Amc2	39	Abc2	40	Amc2
41	Abc2	42	Fmm2	43	Fdd2	44	Imc2	45	Iba2
46	Ima2	47	Pmmm	48	Pmm	49	Pccm	50	Pbam
51	Pmma	52	Pma	53	Pma	54	Pcca	55	Pbam
56	Pbcm	57	Pbcm	58	Pmm	59	Pmm	60	Pbcm
61	Pbca	62	Pnma	63	Cmcm	64	Cmca	65	Cmmm
66	Cccm	67	Cmma	68	Ccca	69	Pmm	70	Fdd
71	Immm	72	Ibam	73	Iba	74	Imma	75	P4
76	P4	77	P4 <sub>1</sub>	78	P4 <sub>2</sub>	79	I4	80	I4 <sub>1</sub>
81	P4 <sub>1</sub>	82	I4	83	P4/m	84	P4 <sub>2</sub> /m	85	P4/n
86	P4 <sub>2</sub> /n	87	I4 <sub>1</sub> /n	88	I4 <sub>2</sub> /n	89	P4 <sub>2</sub>	90	P4 <sub>2</sub> 2
91	P4 <sub>1</sub> 2 <sub>1</sub> 2	92	P4 <sub>2</sub> 2 <sub>1</sub> 2	93	P4 <sub>2</sub> 2 <sub>2</sub>	94	P4 <sub>2</sub> 2 <sub>2</sub>	95	P4 <sub>2</sub> 2 <sub>2</sub>
96	P4 <sub>2</sub> 2 <sub>2</sub>	97	I4 <sub>2</sub> 2 <sub>2</sub>	98	I4 <sub>2</sub> 2 <sub>2</sub>	99	P4mm	100	P4mm
101	P4gm	102	P4gm	103	P4c	104	P4c	105	P4mc
106	P4g	107	I4mm	108	I4m	109	I4md	110	I4cd
111	P4g	112	P4g	113	P4g	114	P4g	115	P4m2
116	P4m2	117	P4m2	118	P4m2	119	P4m2	120	L4m2
121	L4m2	122	L4m2	123	L4m2	124	L4m2	125	L4m2
126	L4m2	127	L4m2	128	L4m2	129	L4m2	130	P4/mmm
131	P4/mmm	132	P4/mmm	133	P4/mmm	134	P4/mmm	135	P4 <sub>2</sub> /mnm
136	P4 <sub>2</sub> /mnm	137	P4 <sub>2</sub> /mnm	138	P4 <sub>2</sub> /mnm	139	P4 <sub>2</sub> /mnm	140	I4/mmm
141	I4/mmm	142	I4/mmm	143	I4/mmm	144	I4/mmm	145	P3
146	P3	147	P3	148	P3	149	P3	150	P3 <sub>1</sub>
151	P3 <sub>1</sub>	152	P3 <sub>2</sub>	153	P3 <sub>2</sub>	154	P3 <sub>2</sub>	155	R3
156	R3	157	P3 <sub>1</sub> 2	158	P3 <sub>1</sub> 2	159	P3 <sub>1</sub> 2	160	R3m
161	R3m	162	P3 <sub>1</sub> 2	163	P3 <sub>1</sub> 2	164	P3 <sub>1</sub> 2	165	P3 <sub>1</sub> 2
166	P3 <sub>1</sub> 2	167	P3 <sub>1</sub> 2	168	P3 <sub>1</sub> 2	169	P3 <sub>1</sub> 2	170	P6
171	P6	172	P6	173	P6	174	P6	175	P6/m
176	P6/m	177	P6/m	178	P6/m	179	P6/m	180	P6 <sub>2</sub> 2
181	P6 <sub>2</sub> 2	182	P6 <sub>2</sub> 2	183	P6 <sub>2</sub> 2	184	P6 <sub>2</sub> 2	185	P6 <sub>2</sub> 2
186	P6 <sub>2</sub> 2	187	P6 <sub>2</sub> 2	188	P6 <sub>2</sub> 2	189	P6 <sub>2</sub> 2	190	P6 <sub>2</sub> 2
191	P6 <sub>2</sub> 2	192	P6 <sub>2</sub> 2	193	P6 <sub>2</sub> 2	194	P6 <sub>2</sub> 2	195	P23
196	P23	197	P23	198	P23	199	P23	200	Pm-3
201	Pm-3	202	Pm-3	203	Pm-3	204	Pm-3	205	Pm-3
206	Pm-3	207	Pm-3	208	Pm-3	209	Pm-3	210	F432
211	F432	212	F432	213	F432	214	F432	215	P-43m
216	P-43m	217	P-43m	218	P-43m	219	P-43m	220	L43d
221	L43d	222	L43d	223	L43d	224	L43d	225	Pn-3m
226	Pn-3m	227	Pn-3m	228	Pn-3m	229	Pn-3m	230	Im-3d

▷ variable **atomType**

Meaning: Describes the identities of each type of atom.

Default: none, must specify explicitly

Format:

If you prefer to use the atomic numbers from Mendeleev's Periodic Table of the Elements, specify:

```
% atomType
12 14 8
% EndAtomType
```

Or, if you prefer to use atomic names, specify:

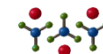
```
% atomType
Mg Si O
% EndAtomType
```

You can alternatively specify the full names of the elements, for example:

```
% atomType
Magnesium Silicon Oxygen
% EndAtomType
```

Number of atoms of each type

Valences of each type of atom



# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## INPUT.txt:

```
24 *****
25 *                POPULATION                *
26 *****
27 5      : populationSize (how many individuals per generation)
28 5      : initialPopSize (how many individuals in the first generation)
29 3      : numGenerations (how many generations shall be calculated)
30 3      : stopCrit (max number of generations with the same best structure)
31 0      : reoptOld (should the old structures be reoptimized?)
32 0.6    : bestFrac (What fraction of current generation shall be used to produce the next generation)
33
34 *****
35 *                VARIATION OPERATORS        *
36 *****
37 0.50   : fracGene (fraction of generation produced by heredity)
38 0.20   : fracRand (fraction of generation produced randomly)
39 0.05   : fracPerm (fraction of the generation produced by permutations)
40 0.25   : fracAtomsMut (fraction of the generation produced by softmutation)
41
42 *****
43 *                CONSTRAINTS                *
44 *****
45 % IonDistances
46 0.6 0.6 0.6
47 0.0 0.6 0.6
48 0.0 0.0 0.6
49 % EndDistances
```

### ▷ variable numGenerations

Meaning: Maximum number of generations allowed for the simulation. The simulation can terminate earlier, when the same best structure remains unchanged for stopCrit generations.

Default: 100

### ▷ variable stopCrit

Meaning: The simulation is stopped if the best structure did not change for stopCrit generations, or when numGenerations have expired — whichever happens first.

Default: total number of atoms for fixed-composition runs, maximum number of atoms maxAt for variable-composition runs.

### ▷ variable bestFrac

Meaning: Fraction of the current generation that shall be used to produce the next generation.

Default: 0.7

### ▷ variable IonDistances

Meaning: Sets the minimum inter-atomic distance matrix between different atom types.

Default: half of the covalent radii sum (in Å) for a corresponding atom pair.

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

INPUT.txt:

```
34 *****
35 *           VARIATION OPERATORS           *
36 *****
37 0.50 : fracGene (fraction of generation produced by heredity)
38 0.20 : fracRand (fraction of generation produced randomly from space groups specified by user)
39 0.05 : fracPerm (fraction of the generation produced by permutations)
40 0.25 : fracAtomsMut (fraction of the generation produced by softmutation)
```

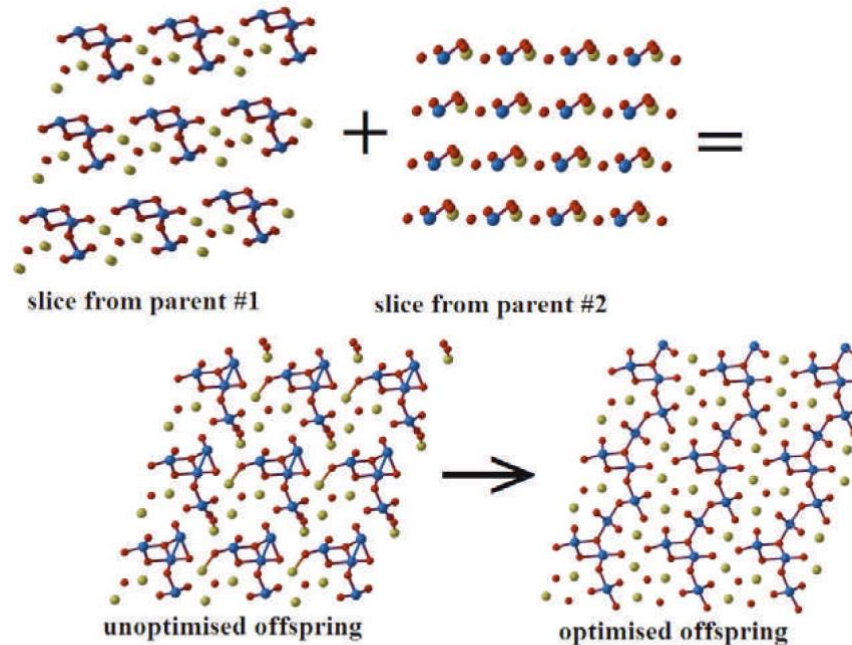


Figure 1. Heredity operator: slices of two parent structures, and the offspring structure before and after local optimization.

Picture from “Oganov A.R., Ma Y., Lyakhov A.O., Valle M., Gatti C. (2010). Evolutionary crystal structure prediction as a method for the discovery of minerals and materials. *Rev. Mineral. Geochem.* **71**, 271-298”

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

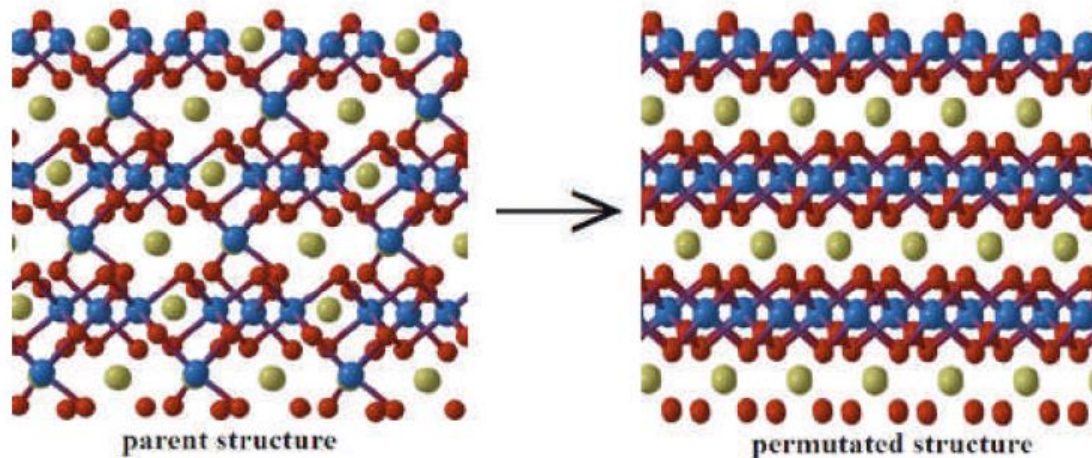
## INPUT.txt:

```
34 *****
35 *          VARIATION OPERATORS          *
36 *****
37 0.50 : fracGene (fraction of generation produced by heredity)
38 0.20 : fracRand (fraction of generation produced randomly from space groups specified by user)
39 0.05 : fracPerm (fraction of the generation produced by permutations)
40 0.25 : fracAtomsMut (fraction of the generation produced by softmutation)
```

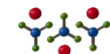
▷ variable `fracPerm`

*Meaning:* Percentage of structures obtained by permutation; 0.1 means 10%, etc.

*Default:* 0.1 if there is more than one type of atom/molecule; 0 otherwise.



Pictures from “Oganov A.R., Ma Y., Lyakhov A.O., Valle M., Gatti C. (2010). Evolutionary crystal structure prediction as a method for the discovery of minerals and materials. *Rev. Mineral. Geochem.* **71**, 271-298”





# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## INPUT.txt:

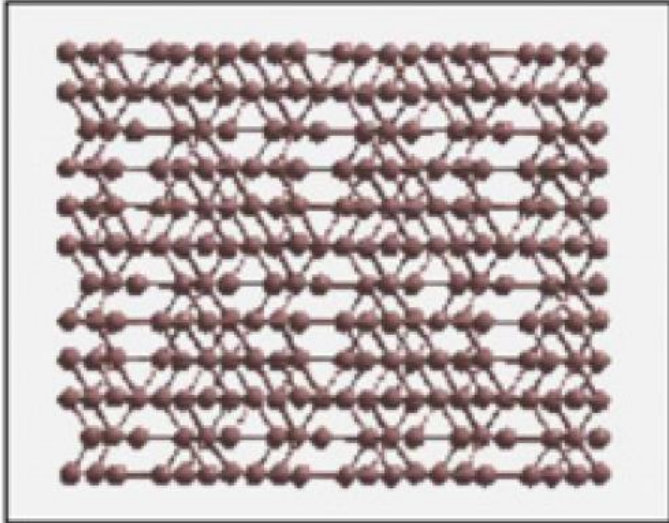
```
34 *****
35 *           VARIATION OPERATORS           *
36 *****
37 0.50 : fracGene (fraction of generation produced by heredity)
38 0.20 : fracRand (fraction of generation produced randomly from space groups specified by user)
39 0.05 : fracPerm (fraction of the generation produced by permutations)
40 0.25 : fracAtomsMut (fraction of the generation produced by softmutation)
```

▷ variable `fracAtomsMut`

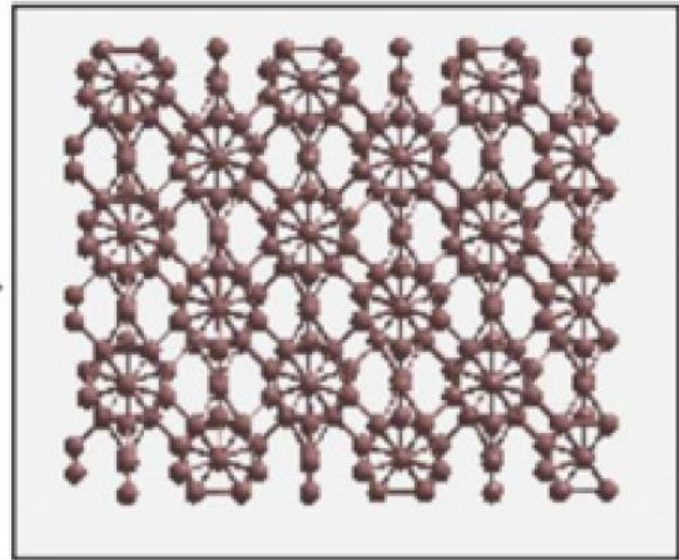
Meaning: Specifies the percentage of structures obtained by softmutation or coormutation.

Default: 0.1

1



2



Picture from “Lyakhov A.O., Oganov A.R., Stokes H.T., Zhu Q. (2013). New developments in evolutionary structure prediction algorithm USPEX. *Comp. Phys. Comm.* **184**, 1172-1182”

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

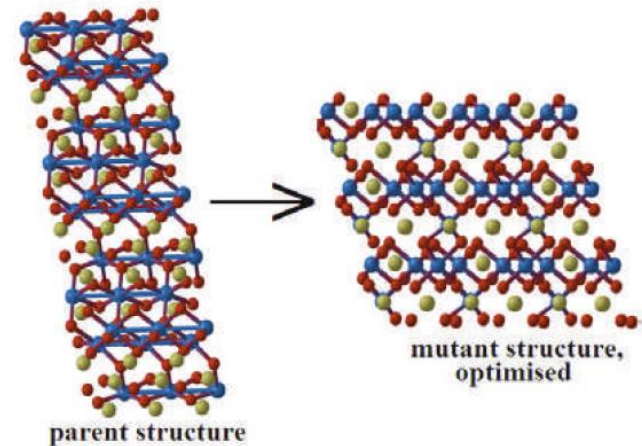
In results1/OUTPUT.txt you will notice:

▷ variable `fracLatMut`

Meaning: Percentage of structures obtained from lattice mutations; 0.1 means 10%, etc.

Default: 0 for fixed cell prediction; 0.1 otherwise.

```
----- VARIATION OPERATORS -----
The fittest 60 percent of the population used to produce next generation
fraction of generation produced by heredity      :    0.50
fraction of generation produced by random        :    0.20
fraction of generation produced by softmutation   :    0.25
fraction of generation produced by permutation   :    0.05
fraction of generation produced by latmutation   :    0.10
fraction of generation produced by rotmutation   :    0.00
fraction of generation produced by transmutation :    0.00
----- Variation operators applied -----
3 structures produced by heredity
1 structures produced by random
1 structures produced by softmutation
0 structures produced by permutation
0 structures produced by latmutation
1 structures kept as best from the previous generation
0 structures imported from the other USPEX Calculations
0 Seeds structures are added from Seeds/POSCARS
```



# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## INPUT.txt:

```
51 *****
52 *   DETAILS OF AB INITIO CALCULATIONS   *
53 *****
54 % abinitioCode
55 3 3 3
56 % ENDabinit
57
58 % KresolStart
59 0.16 0.14 0.12
60 % Kresolend
61
62 % commandExecutable
63 gulp < input > output
64 % EndExecutable
65
66 1      : numParallelCalcs (how many parallel calculations shall be performed)
67 0      : whichCluster (0: no-job-script, 1: local submission, 2: remote submission)
68 100    : ExternalPressure (GPa)
69
70 0      : pickUpYN (if pickUpYN~=0, then a previous calculation will be picked up)
71 0      : pickUpGen (at which generation shall the previous calculation be picked up)
72 0      : pickUpFolder (number of the results folder to be used)
```

### ▷ variable `abinitioCode`

Meaning: Defines the code used for every optimization step.

Default: 1 for every optimization step (VASP)

Format:

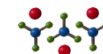
```
% abinitioCode
3 2 2 1 1
% ENDabinit
```

Note: Numbers indicate the code used at each step of structure relaxation: 1 — VASP, 2 — SIESTA, 3 — GULP, 4 — LAMMPS, 5 — Neural Networks code, 6 — DMACRYS, 7 — CP2K, 8 — Quantum Espresso, 9 — ASE, 10 — ATK, 11 — CASTEP.

### ▷ variable `KresolStart`

Meaning: Specifies the reciprocal-space resolution for  $k$ -points generation (units:  $2\pi\text{\AA}^{-1}$ ).

Default: from 0.2 to 0.08 linearly



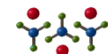


# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

Run the example:

- `cp -r ~/examples/example1_GULP_300/ .`
- `cd example1_GULP_300/`
- `bsub < USPEX_GULP_300.job`

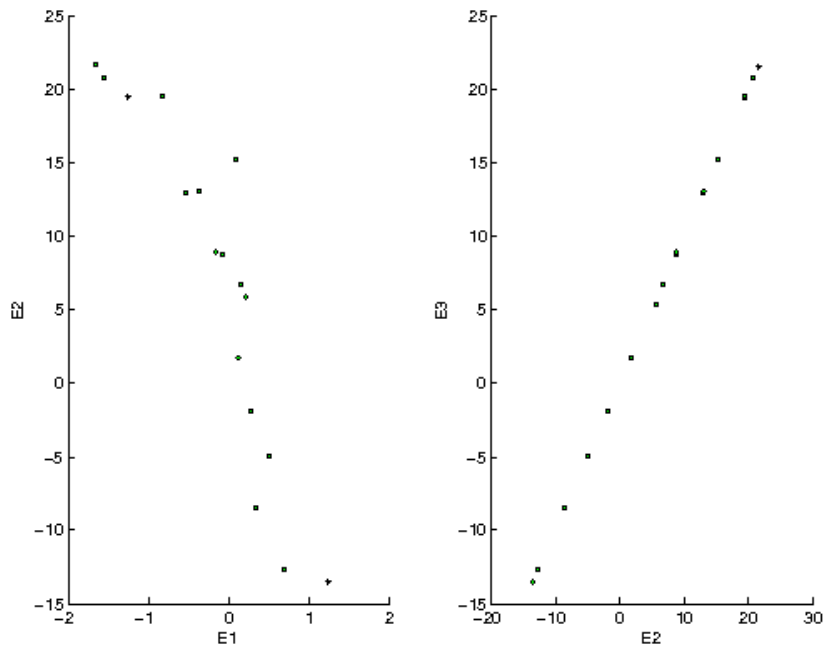
Monitor **log** file, check if **USPEX\_IS\_DONE** file appeared. Then cd to **results1/** to view results.



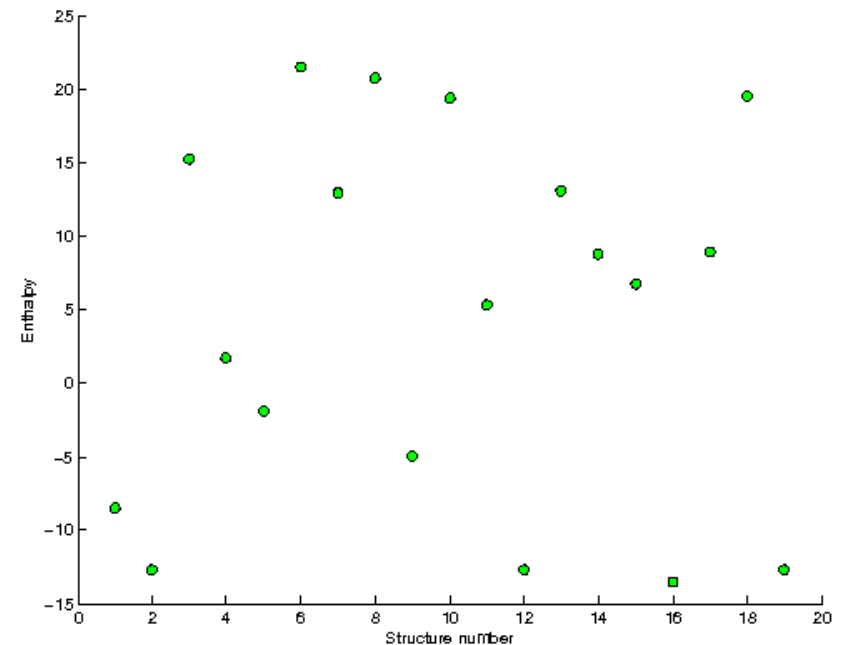
# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

Output files:

E\_series.tif



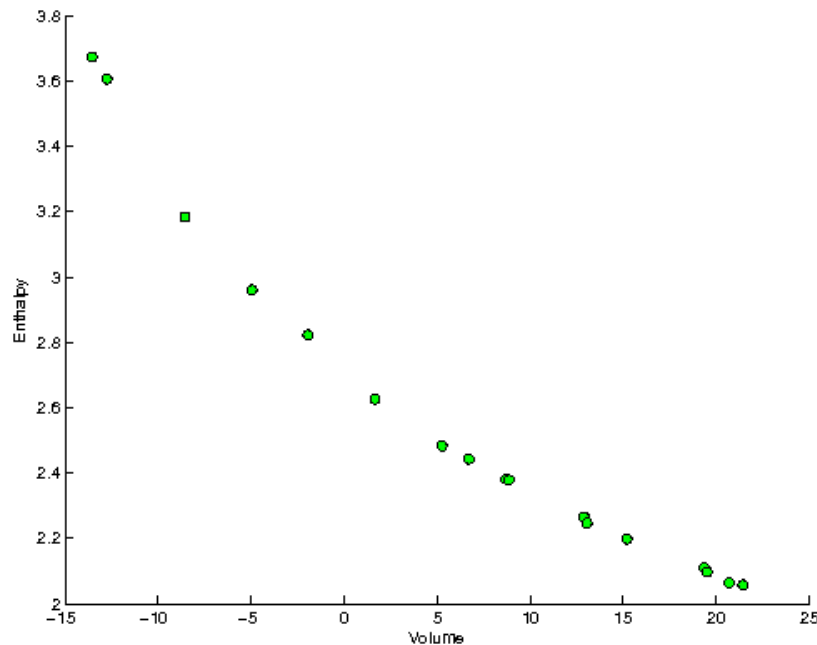
Energy\_vs\_N.tif



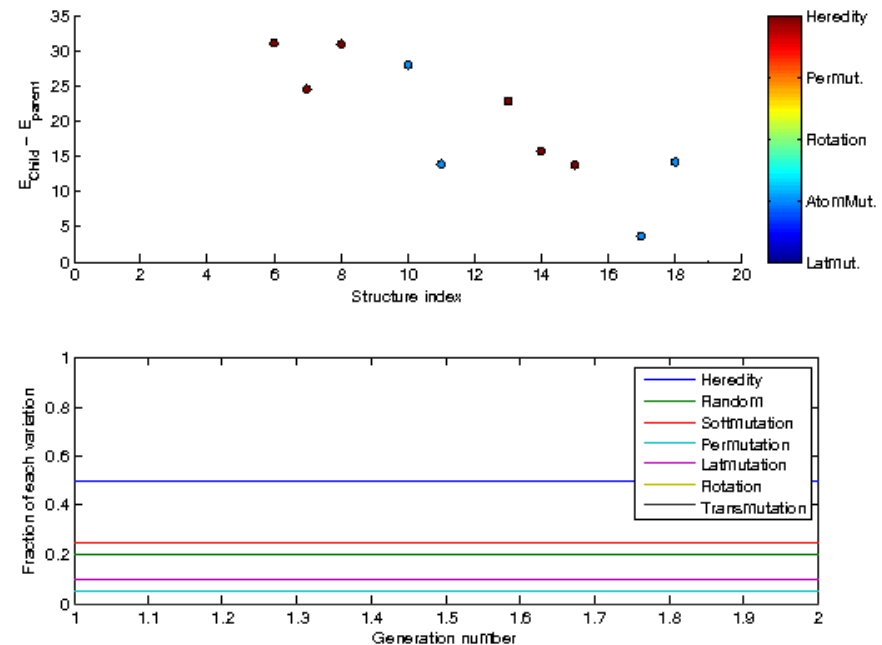
# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

Output files:

Energy\_vs\_Volume.tif



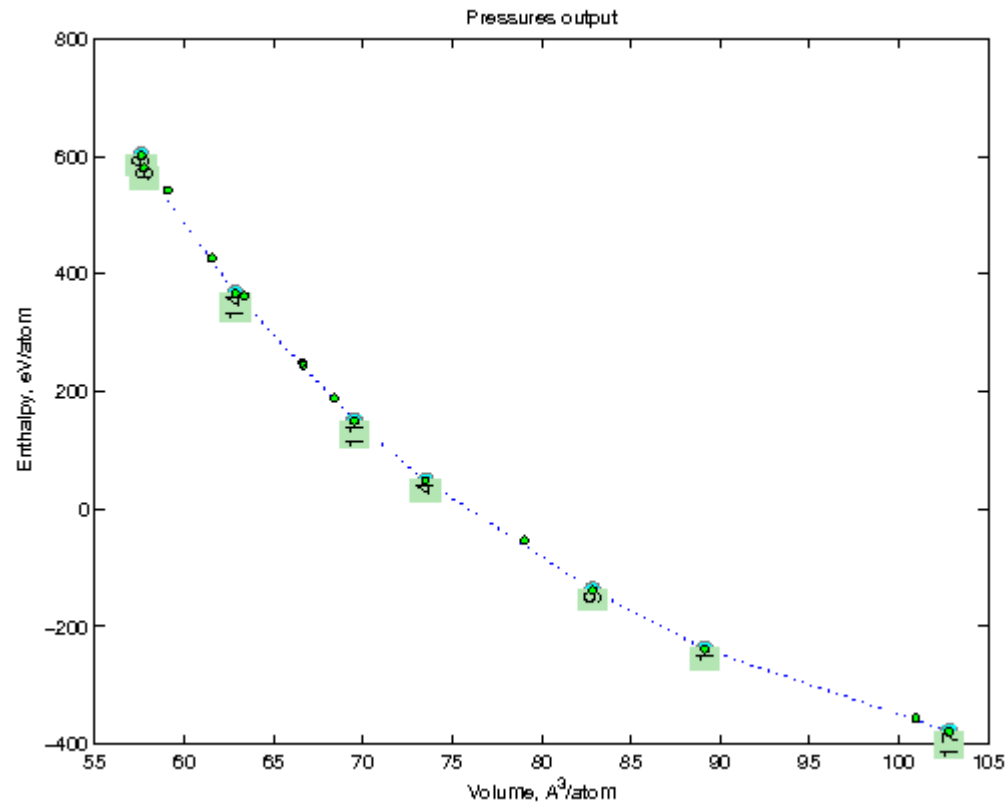
Variation-Operators.tif



Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (example1\_GULP\_300)

## Output files:

Pressures\_output.png



# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## Output files:

**log** – contains console output of USPEX

**results1/generation\*/ folders** – contain results in \*.mat files for the generations

**results1/OUTPUT.txt** – contains detailed information on each generation

**results1/Parameters.txt = INPUT.txt**

**Individuals** – summary file where you can find main results:

Gen	ID	Origin	Composition	Enthalpy (eV)	Volume (Å <sup>3</sup> )	Density (g/cm <sup>3</sup> )	Fitness	KPOINTS	SYMM	Q_entr	A_order	S_order
1	1	Random	[ 4 8 16 ]	-238.872	89.138	10.601	-238.872	[ 1 1 1]	1	0.207	0.887	1.782
1	2	Random	[ 4 8 16 ]	-356.267	100.939	9.362	-356.267	[ 1 1 1]	1	0.244	0.847	1.547
1	3	Random	[ 4 8 16 ]	427.272	61.546	15.354	427.272	[ 1 1 1]	8	0.227	0.868	1.645
1	4	Random	[ 4 8 16 ]	47.898	73.509	12.855	47.898	[ 1 1 1]	1	0.228	0.831	1.590
1	5	Random	[ 4 8 16 ]	-53.740	79.057	11.953	-53.740	[ 1 1 1]	1	0.221	0.807	1.577
2	6	Heredity	[ 4 8 16 ]	601.445	57.609	16.403	601.445	[ 1 1 1]	1	0.226	0.774	1.504
2	7	Heredity	[ 4 8 16 ]	362.394	63.374	14.911	362.394	[ 1 1 1]	1	0.226	0.801	1.541
2	8	Heredity	[ 4 8 16 ]	580.464	57.730	16.368	580.464	[ 1 1 1]	1	0.207	0.812	1.642

**BESTIndividuals** – gives this information for the best structures from each generation

**gatheredPOSCARS** – concatenated POSCAR files

**gatheredPOSCARS\_order** – same as gatheredPOSCARS, but with order parameter

**BESTgatheredPOSCARS** – the same data for the best structure in each generation

**BESTgatheredPOSCARS\_order** – same as BESTgatheredPOSCARS, but with order parameter

# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

## Output files:

**goodStructures** – like Individuals, but ordered by descending of stability

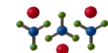
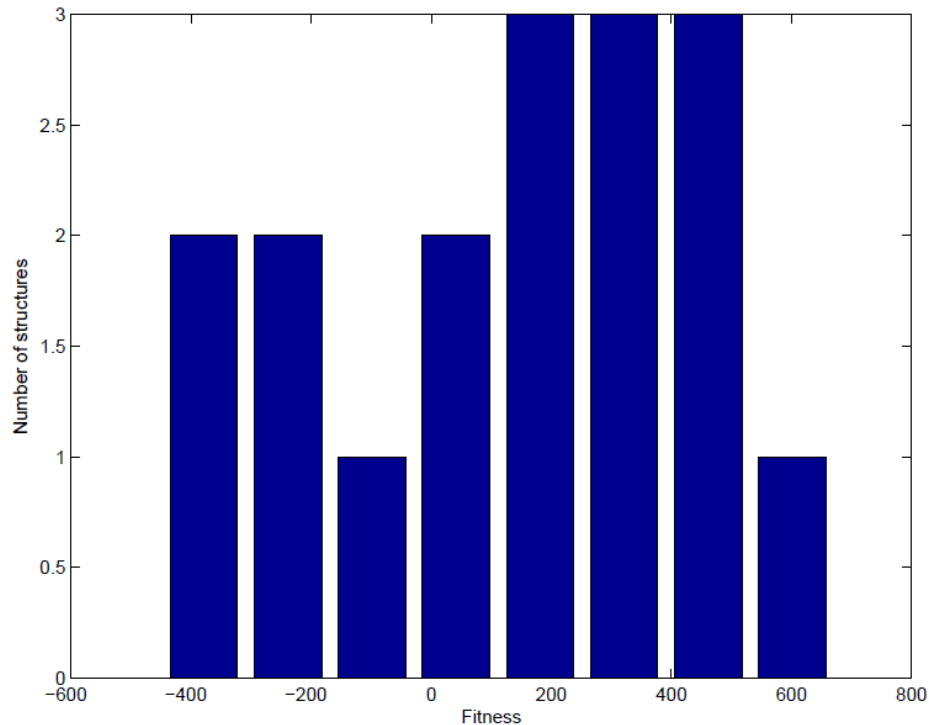
**goodStructures\_POSCARs** – concatenated POSCAR files ordered by descending of stability

**enthalpies\_complete.dat** – gives the enthalpies for all structures in each stage of relaxation

**non\_optimized\_structures** – gives all structures produced before relaxation

**origin** – shows which structures originated from which parents and through which variation operators

**fitnessStatistics.pdf:**

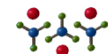


# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

View gathered POSCARs:

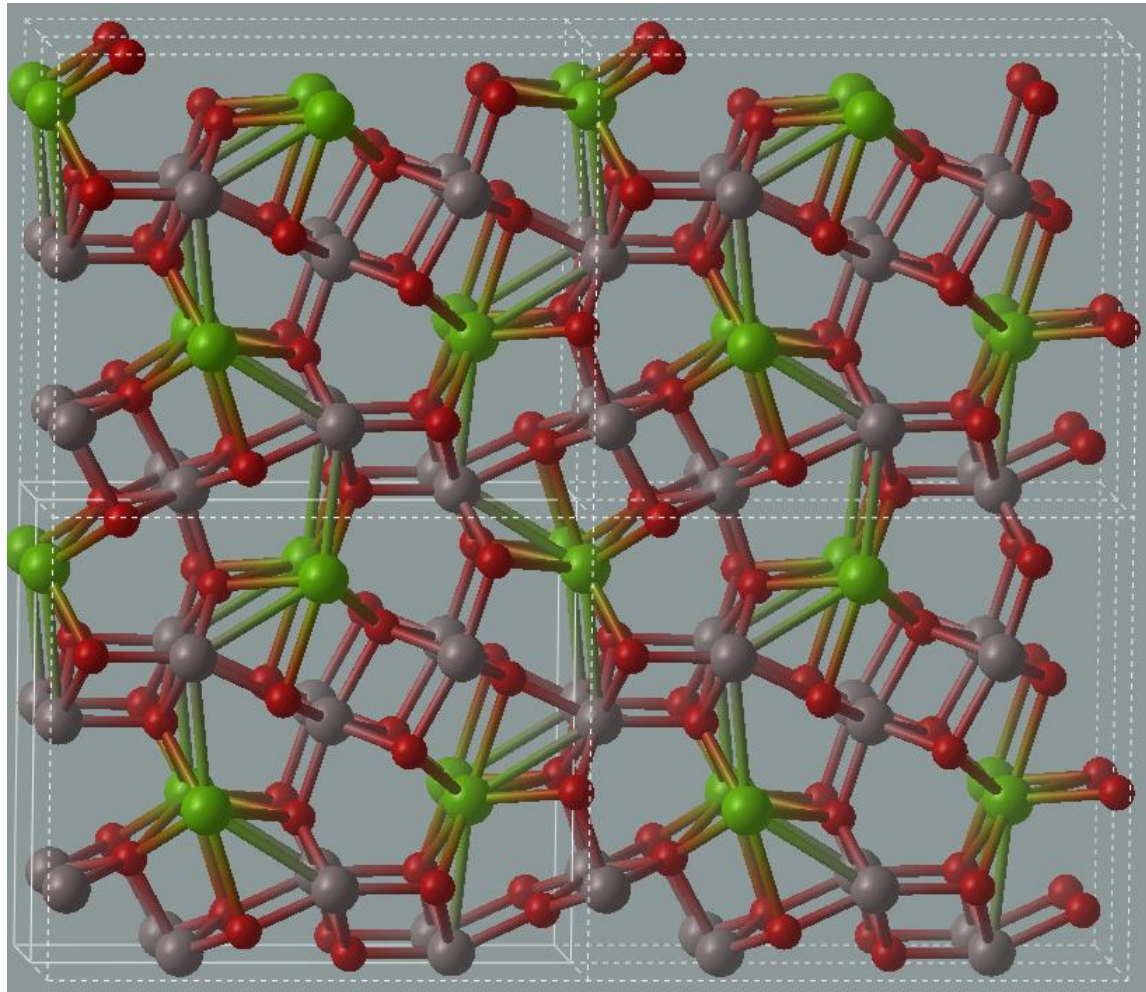
- `cd results1/`
- `python ~/examples/split_POSCARs.py`

This will produce **POSCAR\_files/** folder with splitted POSCAR files, which you can download on your computer and visualize using VESTA, VMD, etc.



# Bulk $\text{Mg}_4\text{Al}_8\text{O}_{16}$ (example1\_GULP\_300)

View **gatheredPOSCARS** (from reference\_long/):





# Examples for today:

- Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (fixed composition, calculationType=300, GULP)
- **Bulk Si-C (variable composition, calculationType=301, VASP)**
- $\text{O}_2$  @ Si (100) (fixed composition, calculationType=200, VASP)
- $\text{C}_{13}$  nanoparticles (fixed composition, calculationType=000, VASP)

# Bulk Si-C (example2\_VASP\_301)

## INPUT.txt:

```
1 % PARAMETERS EVOLUTIONARY ALGORITHM
2
3 USPEX : calculationMethod (USPEX, VCNEB, META)
4 301 : calculationType ← dimension: 0-3; molecule: 0/1; va
5 1 : optType (1=enthalpy, 2=volume, 3=hardness, 4=structu
6
7 % symmetries
8 2-230
9 % endSymmetries
10
11 % atomType
12 Si C
13 % EndAtomType
14
15 % numSpecies
16 1 0
17 0 1
18 % EndNumSpecies
19
20 % valences
21 4 4
22 % endValences
```

▷ variable `calculationType`

Meaning: Specifies type of calculation, *i.e.*, whether the structure of a bulk crystal, nanoparticle, or surface is to be predicted. This variable consists of three indices: *dimensionality*, *molecularity*, and *compositional variability*:

- dimensionality:

"3" — bulk crystals

"2" — surfaces, "2" — 2D-crystals

"1" — polymers

"0" — nanoparticles

- molecularity:

"0" — non-molecular

"1" — molecular calculations

- variability of chemical composition in the calculation:

"0" — fixed composition

"1" — variable composition

Default: 300

Format:

**Notes:** For variable-composition calculations, you have to specify the compositional building blocks as follows:

```
% numSpecies
2 0 3
0 1 1
% EndNumSpecies
```

This means that the first building block has formula  $A_2C_3$  and the second building block has formula  $BC$ , where A, B and C are described in the block `atomType`. All structures will then have the formula  $x A_2C_3 + y BC$  with  $x, y = (0, 1, 2, \dots)$  — or  $A_{2x}B_yC_{3x+y}$ . If you want to do prediction of all possible compositions in the A-B-C system, you should specify:

```
% numSpecies
1 0 0
0 1 0
0 0 1
% EndNumSpecies
```

molecular crystal is to be performed, ... with molecular geometries for all in the newly generated structures as 201, -200 (and not yet released: 110,



# Bulk Si-C (example2\_VASP\_301)

## INPUT.txt:

```
29 2      : minAt
30 4      : maxAt
31
32 0.6    : bestFrac
33
34 0.40   : fracGene (fraction of generation produced by heredity)
35 0.20   : fracRand (fraction of generation produced randomly from space groups)
36 0.20   : fracAtomsMut (fraction of the generation produced by softmutation)
37 0.20   : fracTrans
38
39 2.0    : minVectorLength ( minimal length of any lattice vector)
40
41 % ForDistances
42 Si 1.0 0.9
43 C 0.0 0.8
44 % EndDistances
45
46
47 abinitioCode (which code from CommandExecutable shall be used for calculation? )
48 1 1
49 ENDabinit
50
51 % KresolStart
52 0.15 0.12
53 % Kresolend
54
55 1      : numParallelCalcs (how many parallel calculations shall be performed)
56 0      : whichCluster (0: no-job-script, 1: local submission, 2: remote submission)
57 0.010 : toleranceFing (tolerance for identical structures)
58
59 0      : pickUpYN (if pickUpYN=0 , then a previous calculation will be picked
60 0      : pickUpGen (at which generation shall the previous calculation be picked
61 0      : pickUpFolder (number of the results folder to be used. If = 0 , then
62
63 % commandExecutable
64 vasp > output
65 % EndExecutable
```

▷ variable `minAt`

Meaning: Minimum number of atoms in the unit cell for the first generation.

Default: No default

▷ variable `maxAt`

Meaning: Maximum number of atoms in the unit cell for the first generation.

Default: No default

**Only for variable-composition calculations!**

▷ variable `minVectorLength`

Meaning: Sets the minimum length of a cell parameter of a newly generated structure.

Default:  $1.8 \times$  covalent diameter of the largest atom.

**1 for VASP**

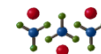


# Bulk Si-C (example2\_VASP\_301)

Run the example:

- `cd ~/workshop/<your directory>`
- `cp -r ~/examples/example2_VASP_301/ .`
- `cd example2_VASP_301/`
- `bsub < USPEX_VASP_301.job`

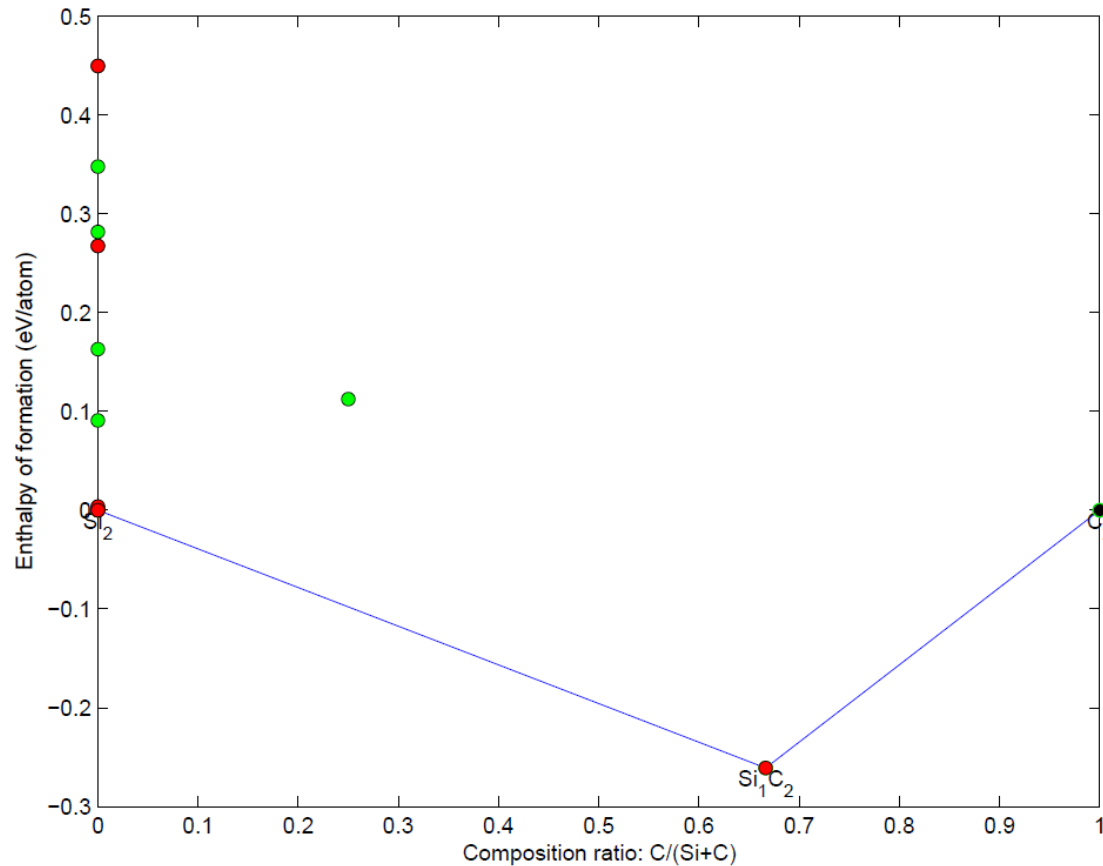
Monitor **log** file, check if **USPEX\_IS\_DONE** file appeared. Then cd to **results1/** to view results.



# Bulk Si-C (example2\_VASP\_301)

Output files:

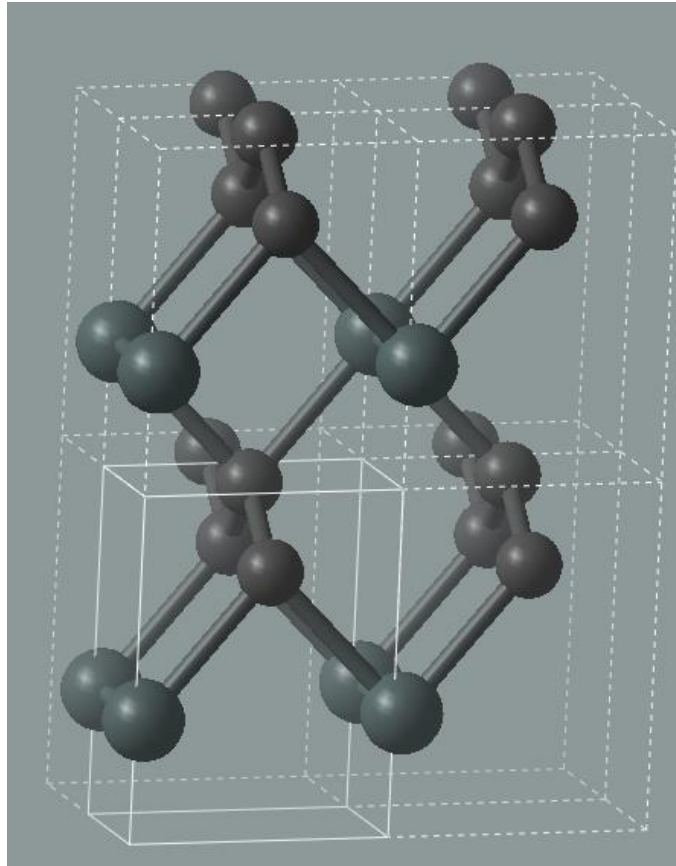
extendedConvexHull.pdf



# Bulk Si-C (example2\_VASP\_301)

## Output files:

**convex\_hull** – gives all thermodynamically stable compositions, and their enthalpies (per atom)  
**extended\_convex\_hull, extended\_convex\_hull\_POSCARS** – all unique low-energy compositions and structures



Your structures  
may be different!

# Examples for today:

- Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (fixed composition, calculationType=300, GULP)
- Bulk Si-C (variable composition, calculationType=301, VASP)
- **$\text{O}_2$  @ Si (100) (fixed composition, calculationType=200, VASP)**
- $\text{C}_{13}$  nanoparticles (fixed composition, calculationType=000, VASP)

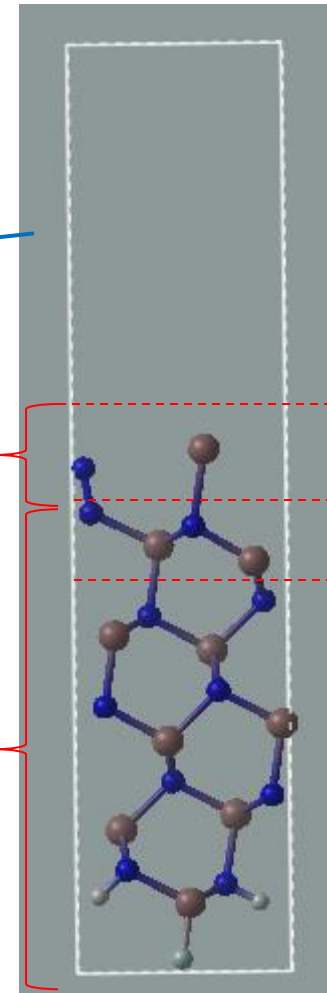
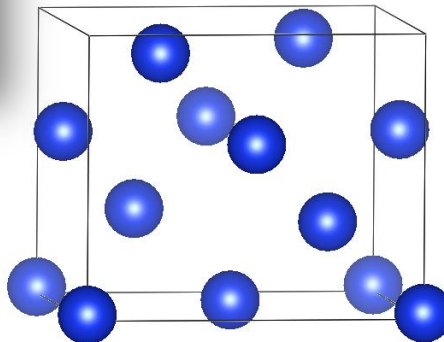
# O<sub>2</sub> @ Si (100) (example3\_VASP\_200)

## INPUT.txt:

```
1 *****
2 *      TYPE OF RUN AND SYSTEM      *
3 *****
4 *****
5 USPEX : calculationMethod (USPEX, VCNEB, META)
6 200   : calculationType (dimension: 0-3; molecule: 0/1; varcomp: 0/1)
7 1     : optType (1=enthalpy, 2=volume, 3=hardness, 4=struct_order, 5=aver_dist)
8 2.0   : thicknessS (thickness of surface region, 2 Å by default)
9 3.0   : thicknessB (thickness of buffer region in substrate, 3 Å by default)
10 1     : reconstruct (only used in surface)
11
12 % vacuumSize
13 5
14 % endVacuumSize
15
16 % atomType
17 Si O
18 % EndAtomType
19
20 % numSpecies
21 0 2
22 % EndNumSpecies
23
24 % symmetries
25 2-17
26 % endSymmetries
27
28 *****
29 *      POPULATION      *
30 *****
31
32 5     : populationSize (how many individuals per
33 5     : initialPopSize
34 4     : numGenerations (how many generations shall
35 4     : stopCrit
36 1     : AutoFrac
```

11 Appendix: List of plane groups

Number	Group
1	Group p1
2	Group p2
3	Group pm
4	Group pg
5	Group cm
6	Group pmm
7	Group pmg
8	Group pgg
9	Group cmm
10	Group p4
11	Group p4m
12	Group p4g
13	Group p3
14	Group p3m1
15	Group p31m
16	Group p6
17	Group p6m

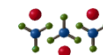


Vacuum layer

Add layer

Free part

Fixed part





# O<sub>2</sub> @ Si (100) (example3\_VASP\_200)

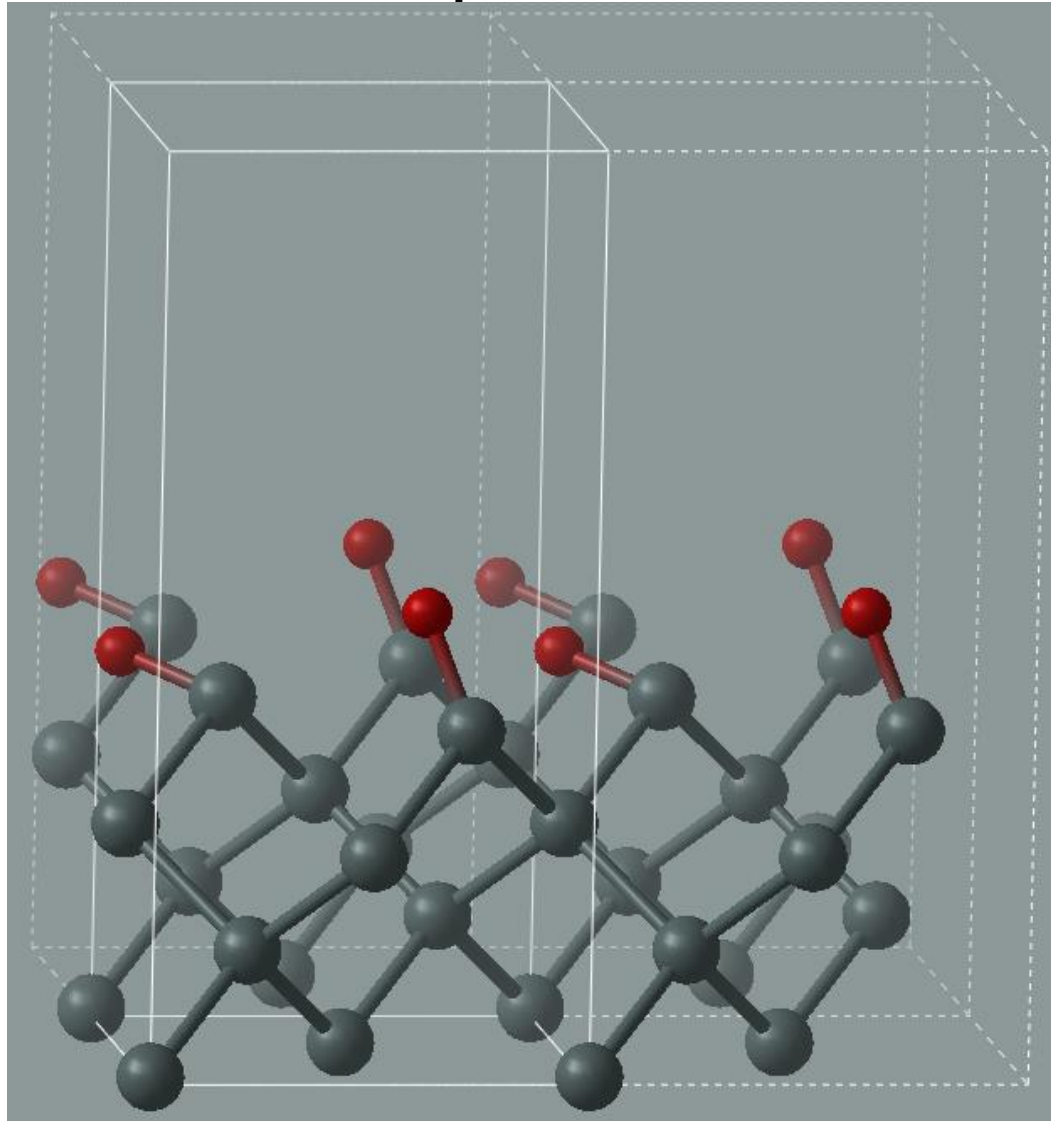
Run the example:

- `cd ~/workshop/<your directory>`
- `cp -r ~/examples/example3_VASP_200/ .`
- `cd example3_VASP_200/`
- `nohup ./uspex_VASP_200.sh > out 2>&1 &`

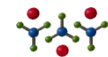
Monitor **log** file, check if **USPEX\_IS\_DONE** file appeared. Then cd to **results1/** to view results.

# O<sub>2</sub> @ Si (100) (example3\_VASP\_200)

Output files:

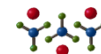


Your structures  
may be different!



# Examples for today:

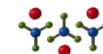
- Bulk  $\text{Mg}_4\text{Al}_8\text{O}_{16}$  (fixed composition, calculationType=300, GULP)
- Bulk Si-C (variable composition, calculationType=301, VASP)
- $\text{O}_2$  @ Si (100) (fixed composition, calculationType=200, VASP)
- **$\text{C}_{13}$  nanoparticles (fixed composition, calculationType=000, VASP)**



# C<sub>13</sub> nanoparticles (example4\_VASP\_000)

## INPUT.txt:

```
1 PARAMETERS EVOLUTIONARY ALGORITHM
2 *****
3 *****
4 *      TYPE OF RUN AND SYSTEM      *
5 *****
6 *****
7 USPEX : calculationMethod (USPEX, VCNEB, META)
8 000 : calculationType (dimension: 0-3; molecule: 0/1; varcomp: 0/1)
9 1 : optType (optimise by: 1=enthalpy, 2=volume, 3=hardness, 4=struc_order, 5=aver_dist, 6=mag_moment)
10
11 % vacuumSize
12 5
13 % endVacuumSize
14
15 % What symmetry(s) have to be satisfied by the randomly created structures
16 % symmetries
17 E C2 D2 C4 C3 C6 T S2 Ch1 Cv2 S4 S6 Ch3 Th Ch2 Dh2 Ch4 D3 Ch6 O D4 Cv3 D6 Td Cv4 Dd3 Cv6 Oh Dd2 Dh3 Dh4 Dh6 Oh C5 S5 S10 Cv5 Ch5 D5 Dd5 Dh5 I Ih
18 % endSymmetries
19
20 %~~~~~
21 % Here come the atomic numbers of the atoms involved
22 % atomType
23 C
24 % EndAtomType
25
26 % numbers of species (ions/molecules/blocks) of each type
27 % numSpecies
28 13
29 % EndNumSpecies
30
31
32 *****
33 *      POPULATION      *
34 *****
35 5 : populationSize (how many individuals per generation)
36 5 : initialPopSize
37 4 : numGenerations (how many generations shall be calculated)
38 4 : stopCrit
39
40 *****
41 *****
42 *      CELL      *
43 *****
44 % The following is what you know about the lattice. If you know the lattice
45 % vectors, type them in as 3x3 matrix. If not, type the estimated volume.
46 % For variable composition - type the estimated atomic volume for each element.
47 % Latticevalues (this word MUST stay here, type values below)
48 200
49 % Endvalues (this word MUST stay here)
```



# C<sub>13</sub> nanoparticles (example4\_VASP\_000)

Run the example:

- `cd ~/workshop/<your directory>`
- `cp -r ~/examples/example4_VASP_000/ .`
- `cd example4_VASP_000/`
- `nohup ./uspex_VASP_000.sh > out 2>&1 &`

Monitor **log** file, check if **USPEX\_IS\_DONE** file appeared. Then cd to **results1/** to view results.

# C<sub>13</sub> nanoparticles (example4\_VASP\_000)

Results:

