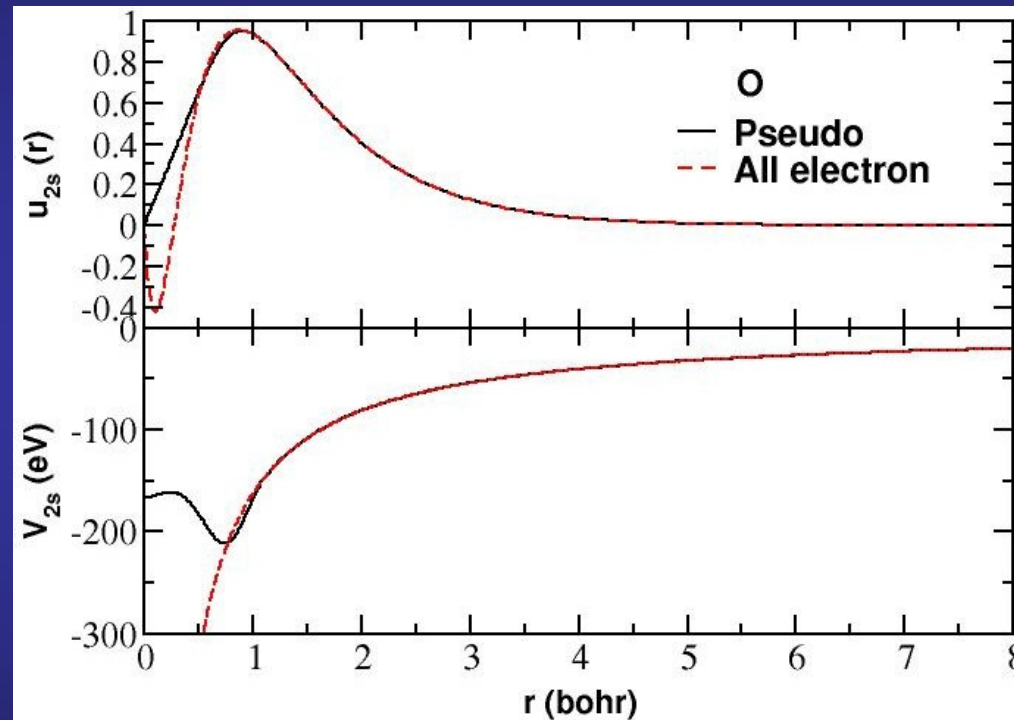


# Norm-conserving pseudopotentials and basis sets in electronic structure calculations



**Javier Junquera**  
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UNIVERSIDAD DE CANTABRIA

# Outline

## Pseudopotentials

Why pseudopotential approach is useful

Orthogonalized Plane Waves (1940)

Pseudopotential transformation (1959)

Norm-conserving pseudopotentials (1979)

## Basis sets

Plane Waves


Localized Orbitals

Numerical Atomic Orbitals

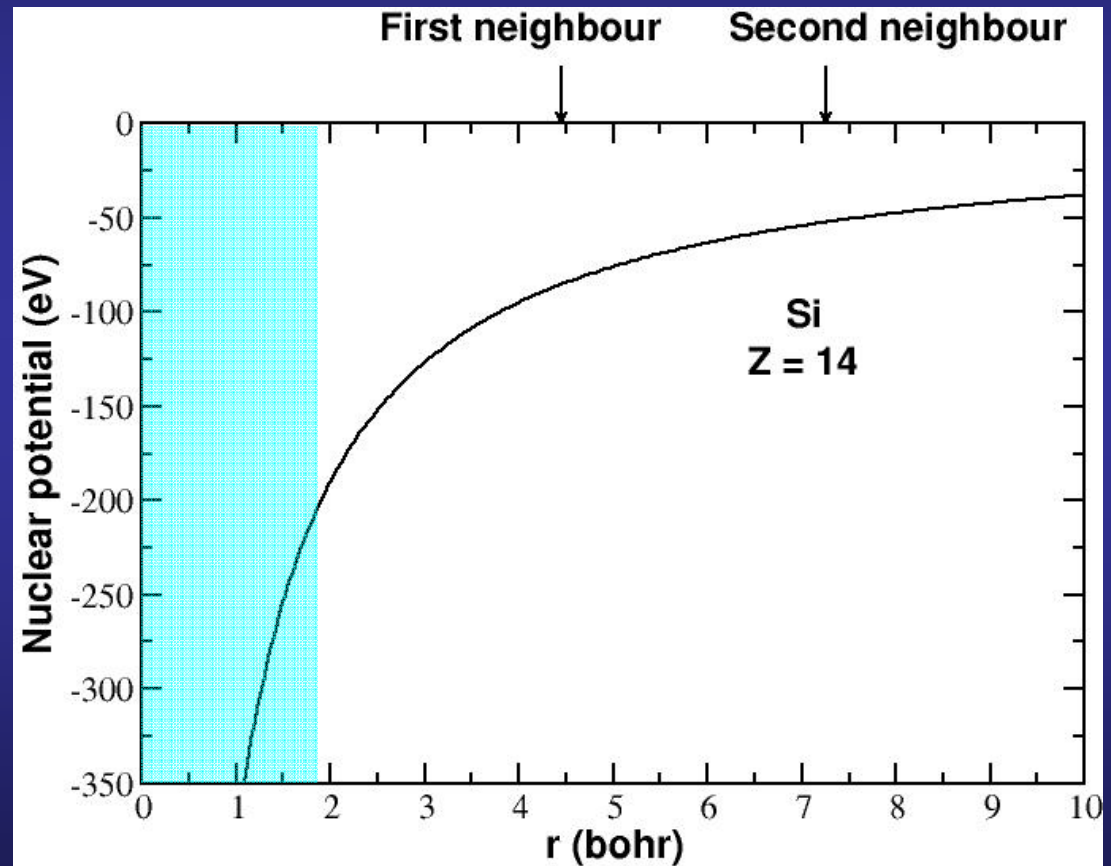
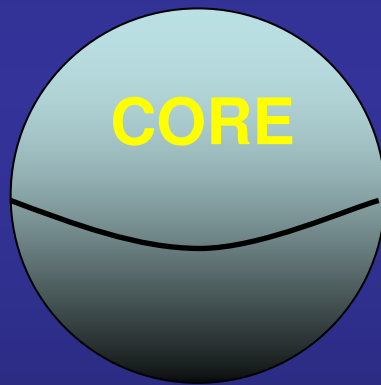
# Atomic calculation using DFT: Solving the Schrodinger-like equation

One particle Kohn-Sham equations

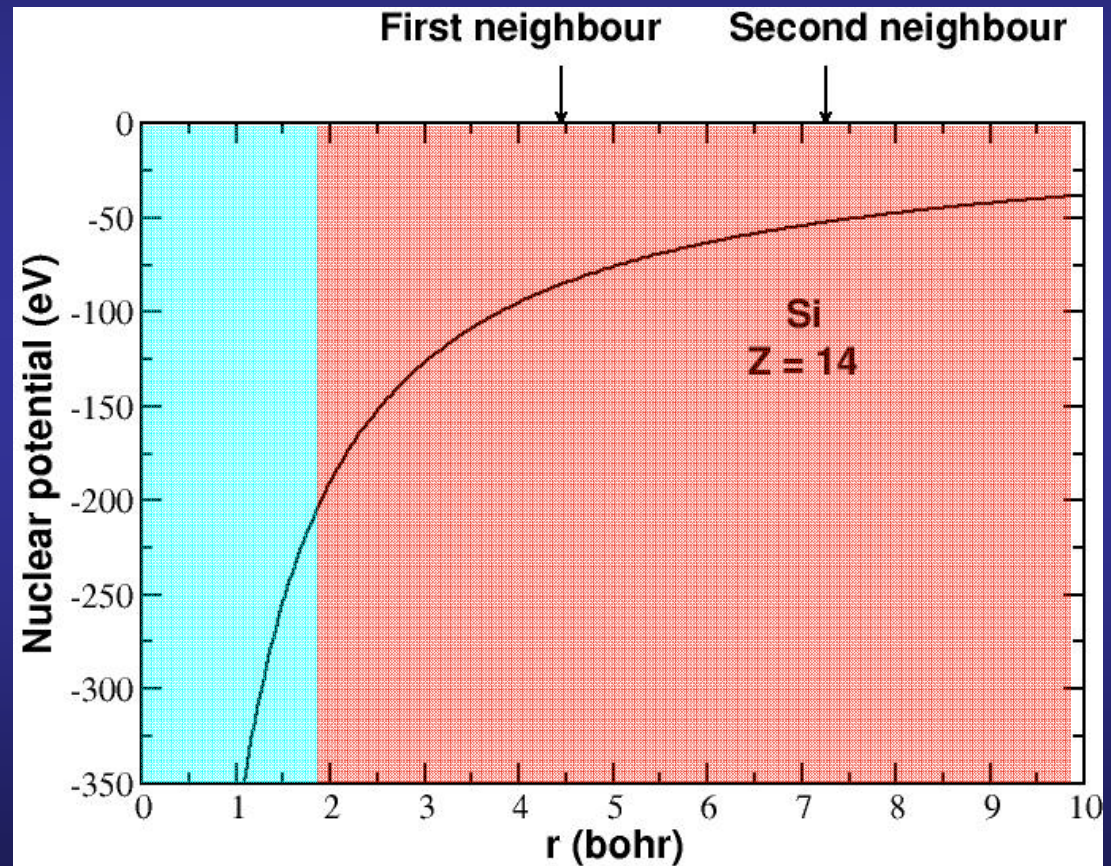
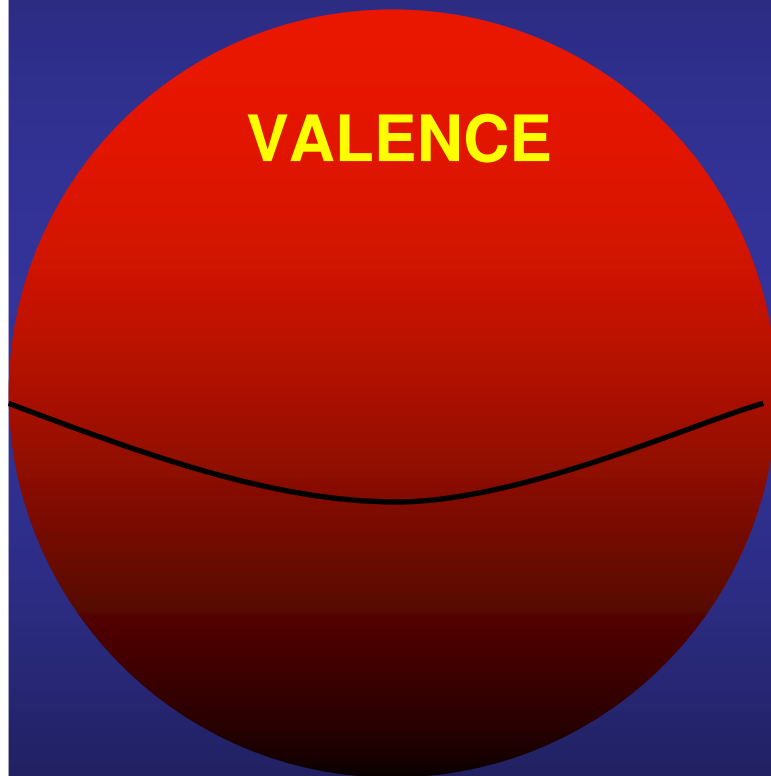
$$\left( \hat{T} + \hat{V}_{ion-e} + \hat{V}_H + \hat{V}_{xc} \right) \psi_i = \varepsilon_i \psi_i$$


$$-\frac{Ze}{r}$$

# Difficulty: how to deal accurately with both the core and valence electrons



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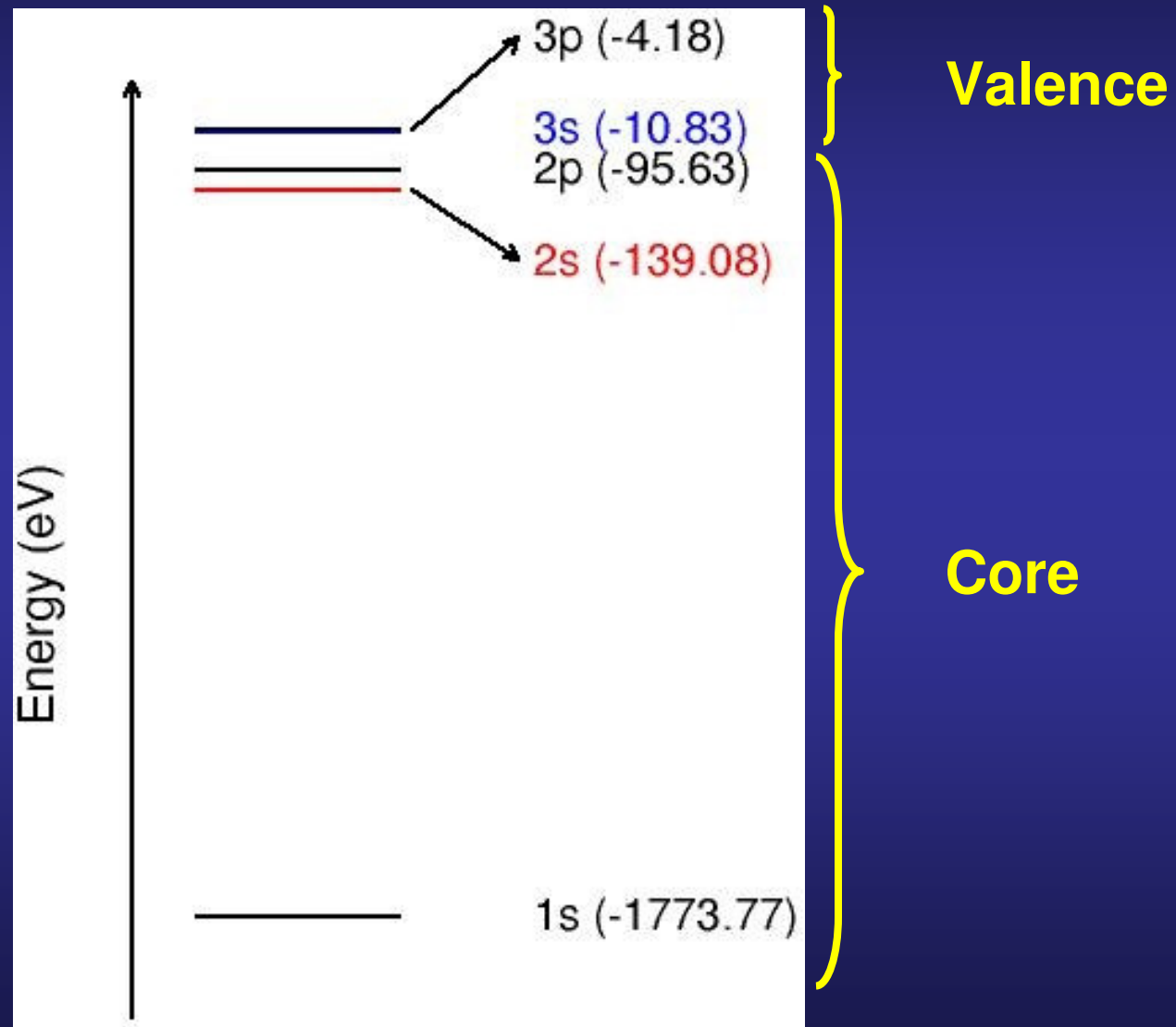


Si atomic configuration:  $1s^2 2s^2 2p^6$   $3s^2 3p^2$

core
valence

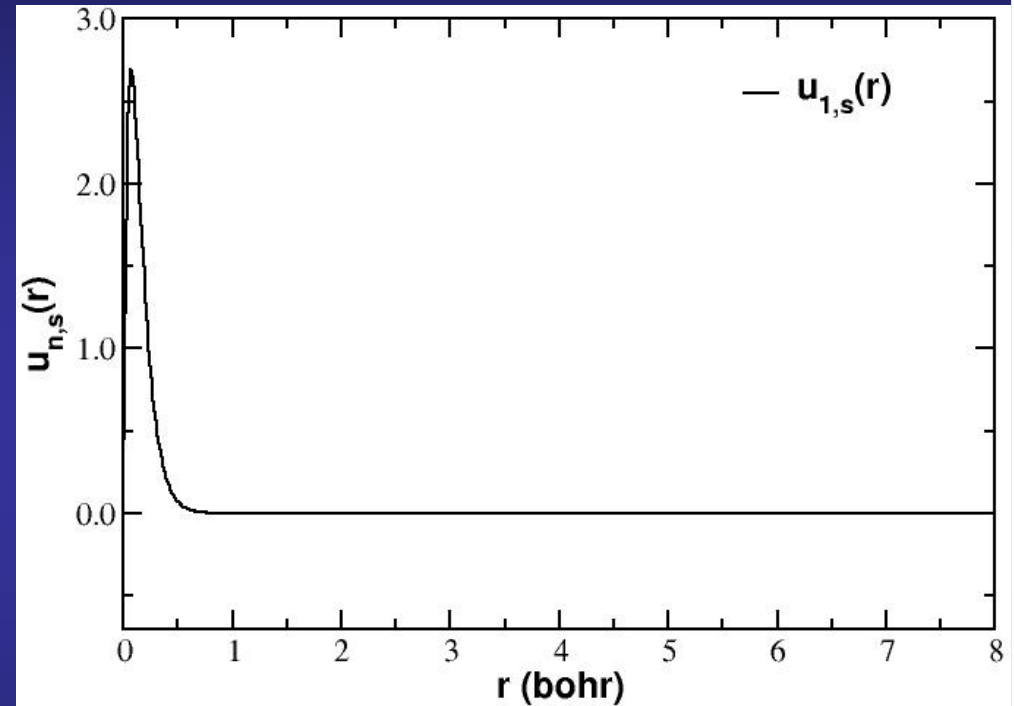
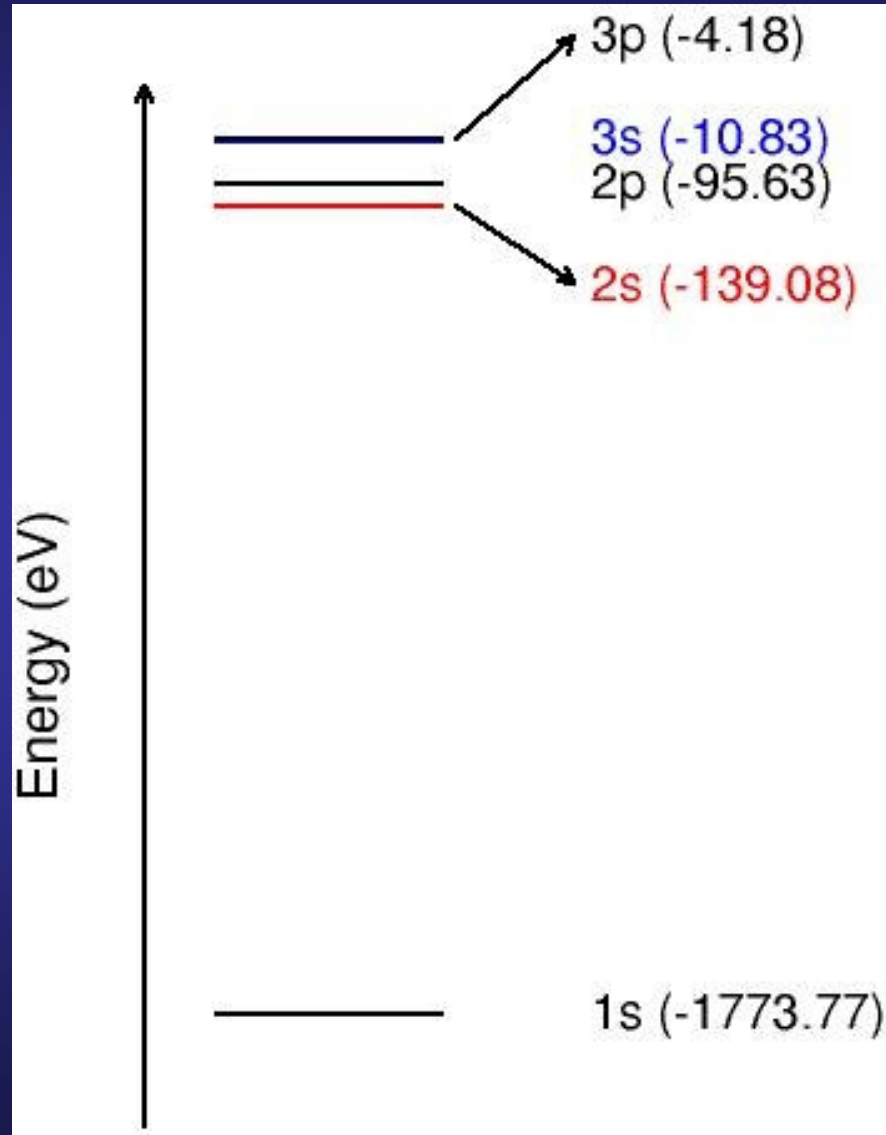
H																He	
Li	Be											B	C	N	O	F	Ne
Na	Mg											Al	Si	P	S	Cl	Ar
K	Ca	Sc	Ti	V	Cr	Mn	Fe	Co	Ni	Cu	Zn	Ga	Ge	As	Se	Br	Kr
Rb	Sr	Y	Zr	Nb	Mo	Tc	Ru	Rh	Pd	Ag	Cd	In	Sn	Sb	Te	I	Xe
Cs	Ba		Hf	Ta	W	Re	Os	Ir	Pt	Au	Hg	Tl	Pb	Bi	Po	At	Rn
Fr	Ra		Rf	Db	Sg	Bh	Hs	Mt	Uun	Uuu	Uub						
			La	Ce	Pr	Nd	Pm	Sm	Eu	Gd	Tb	Dy	Ho	Er	Tm	Yb	Lu
			Ac	Th	Pa	U	Np	Pu	Am	Cm	Bk	Cf	Es	Fm	Md	No	Lr

# Core eigenvalues are much deeper than valence eigenvalues



Atomic Si

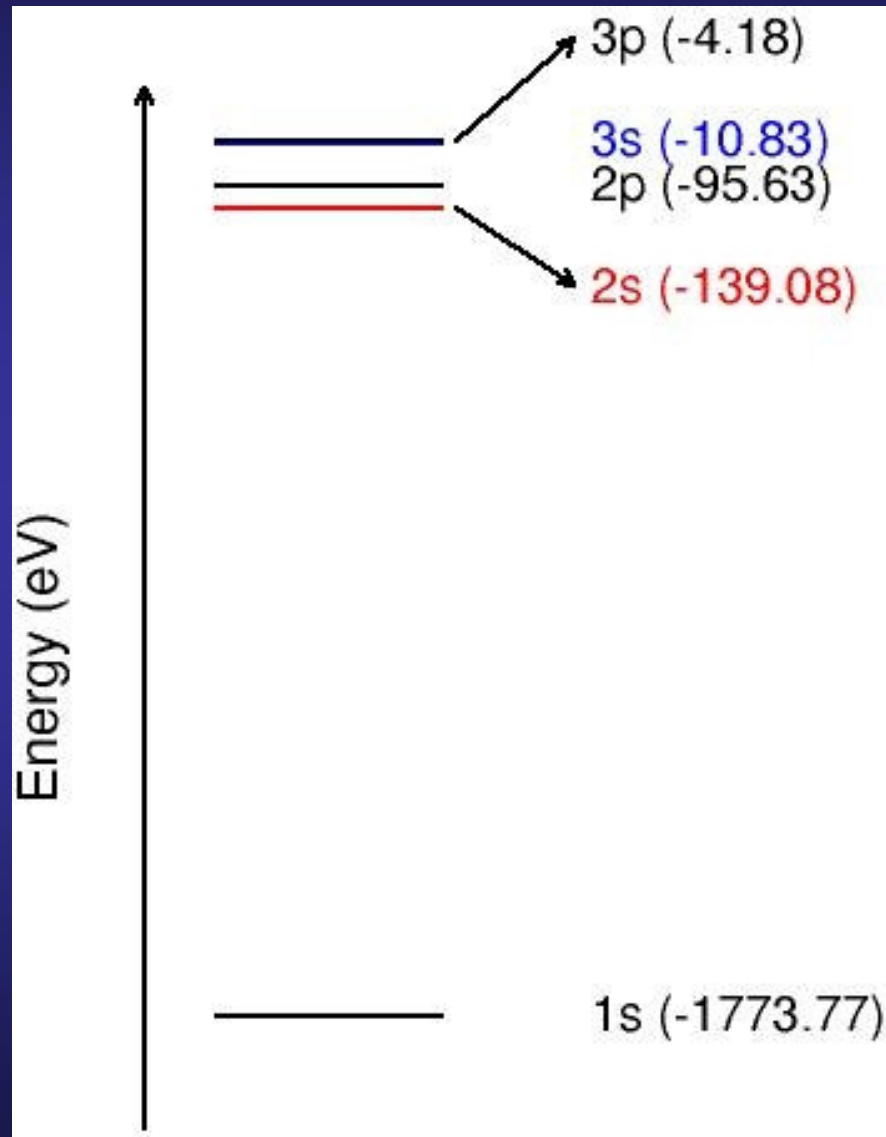
# Core wavefunctions are very localized around the nuclei



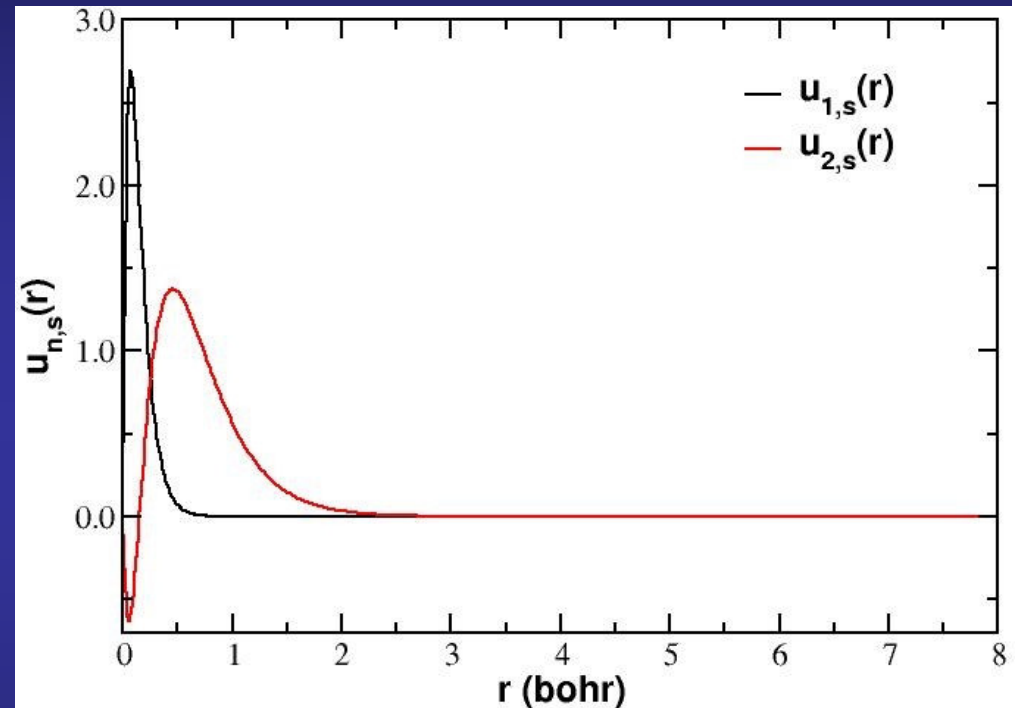
Atomic Si



# Core wavefunctions are very localized around the nuclei



Atomic Si



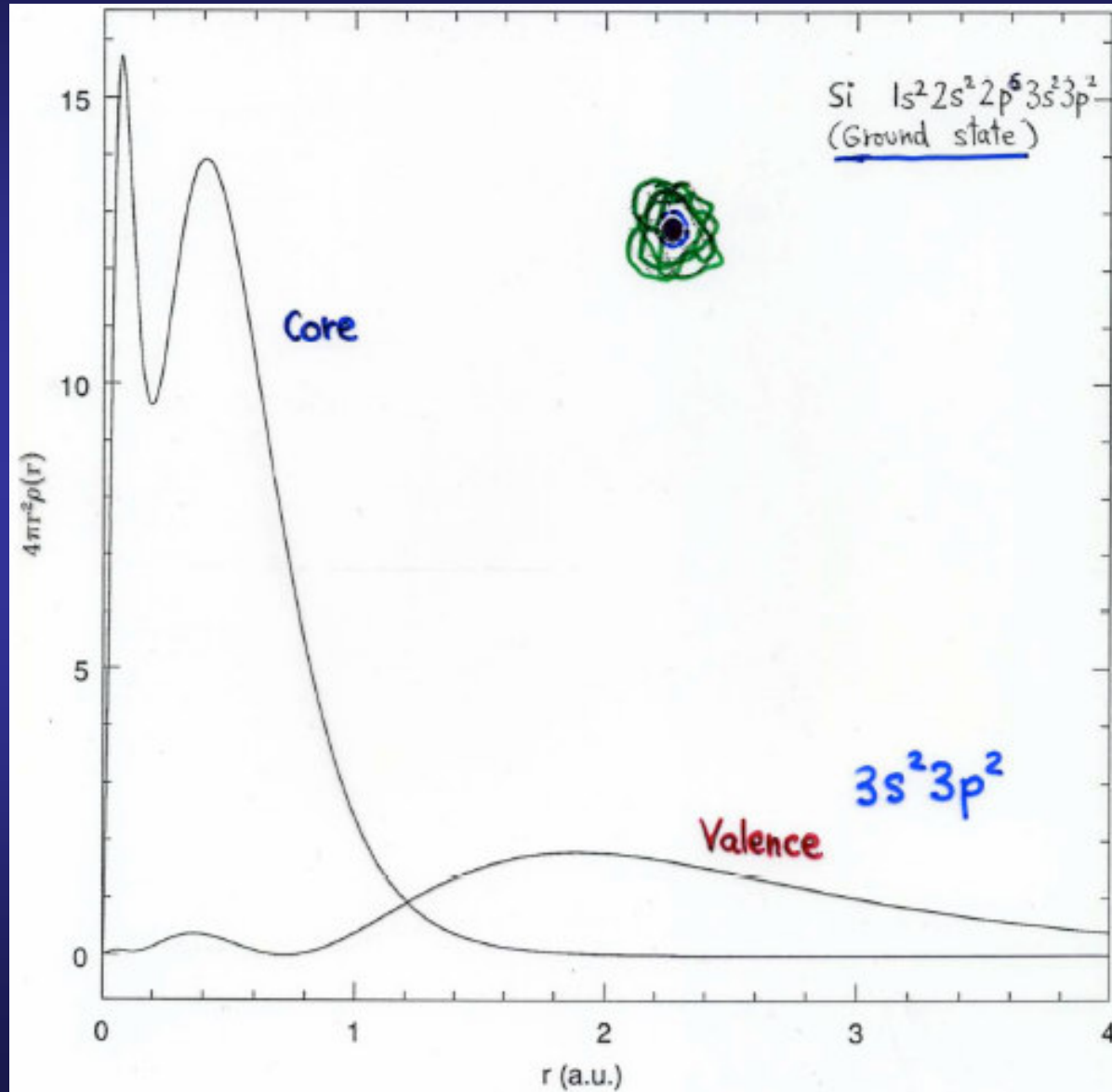
## Core electrons...

highly localized

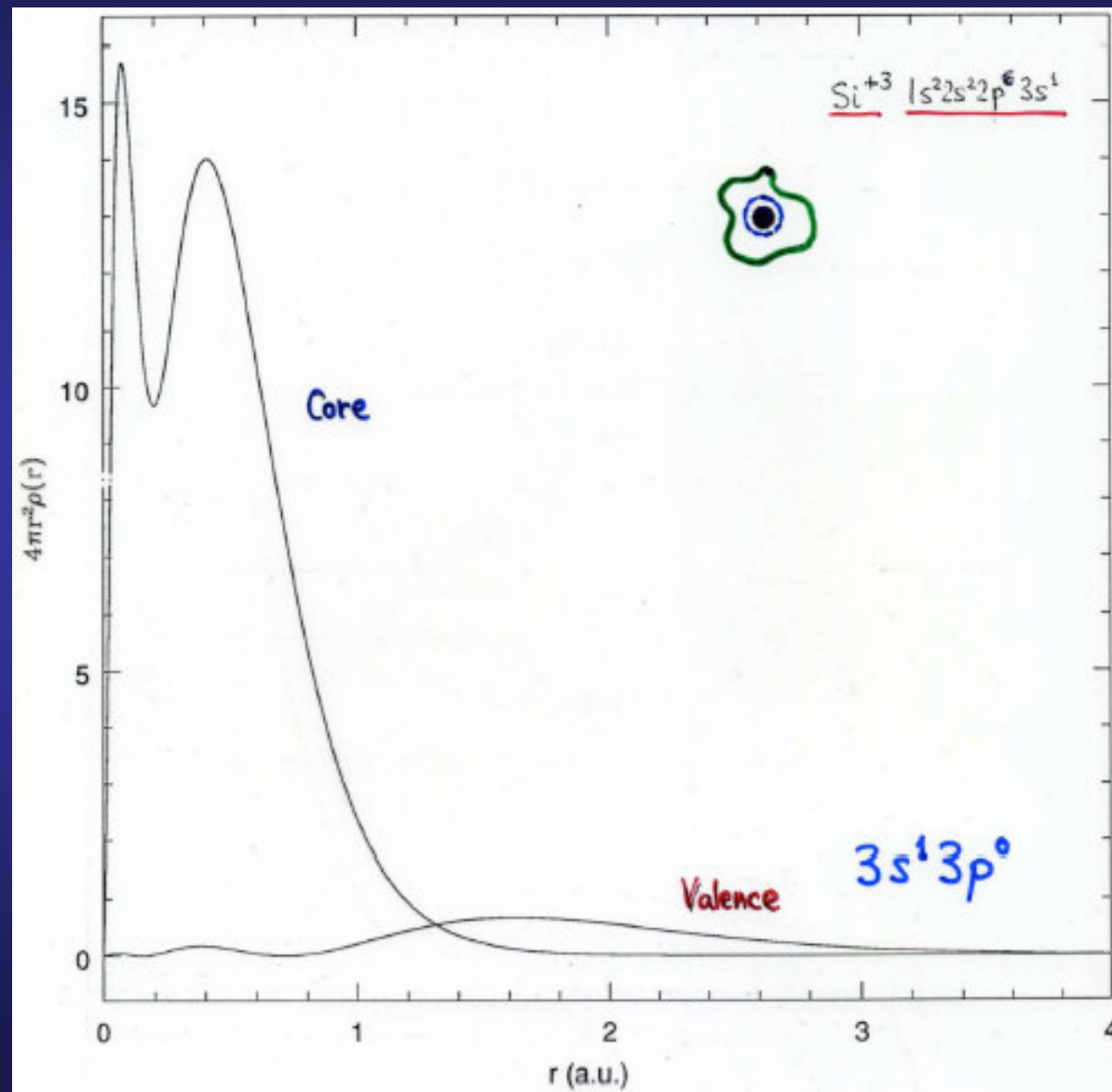
very depth energy

... are chemically inert

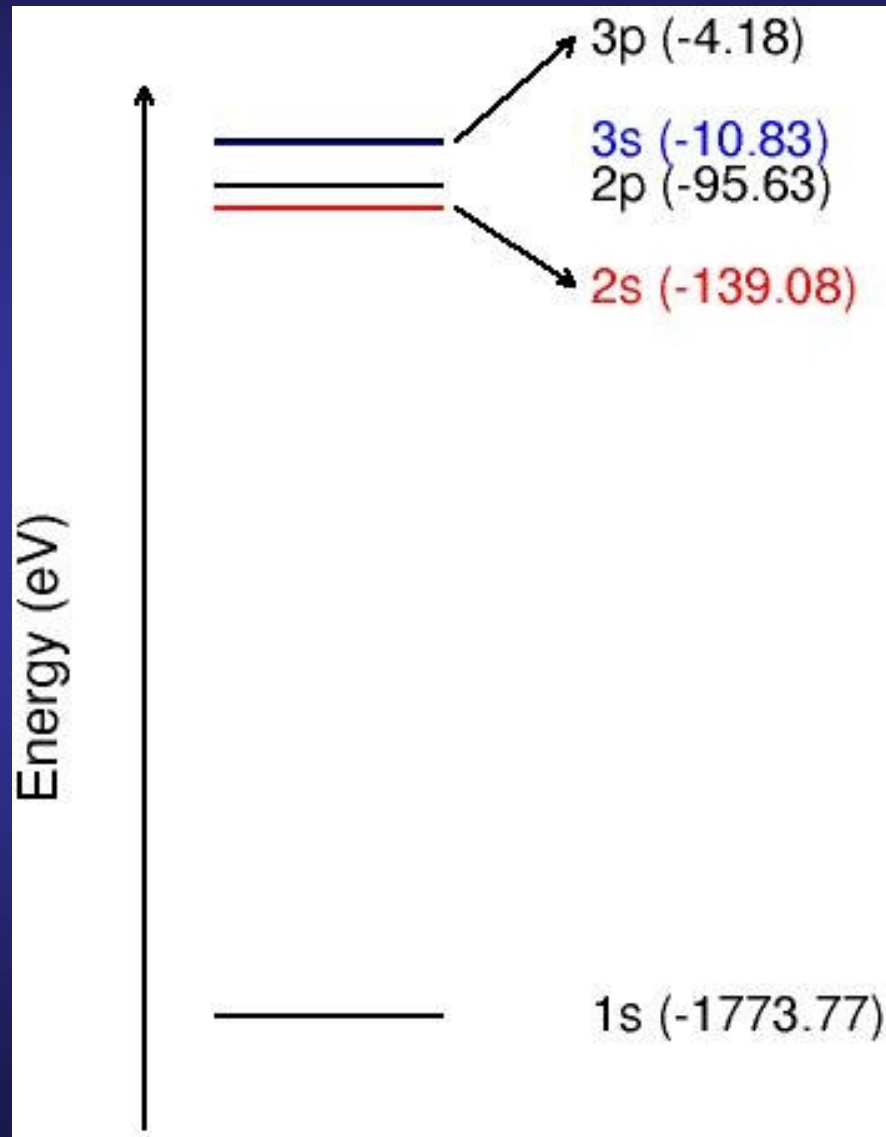
# Core electrons are chemically inert



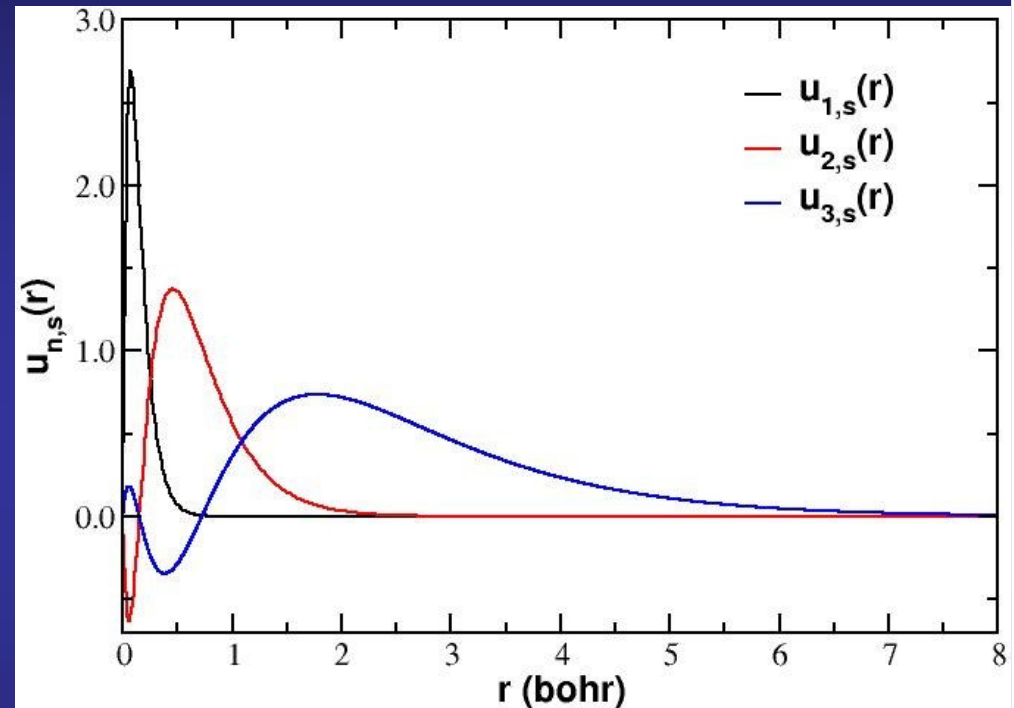
# Core electrons are chemically inert



# Valence wave functions must be orthogonal to the core wave functions



Atomic Si

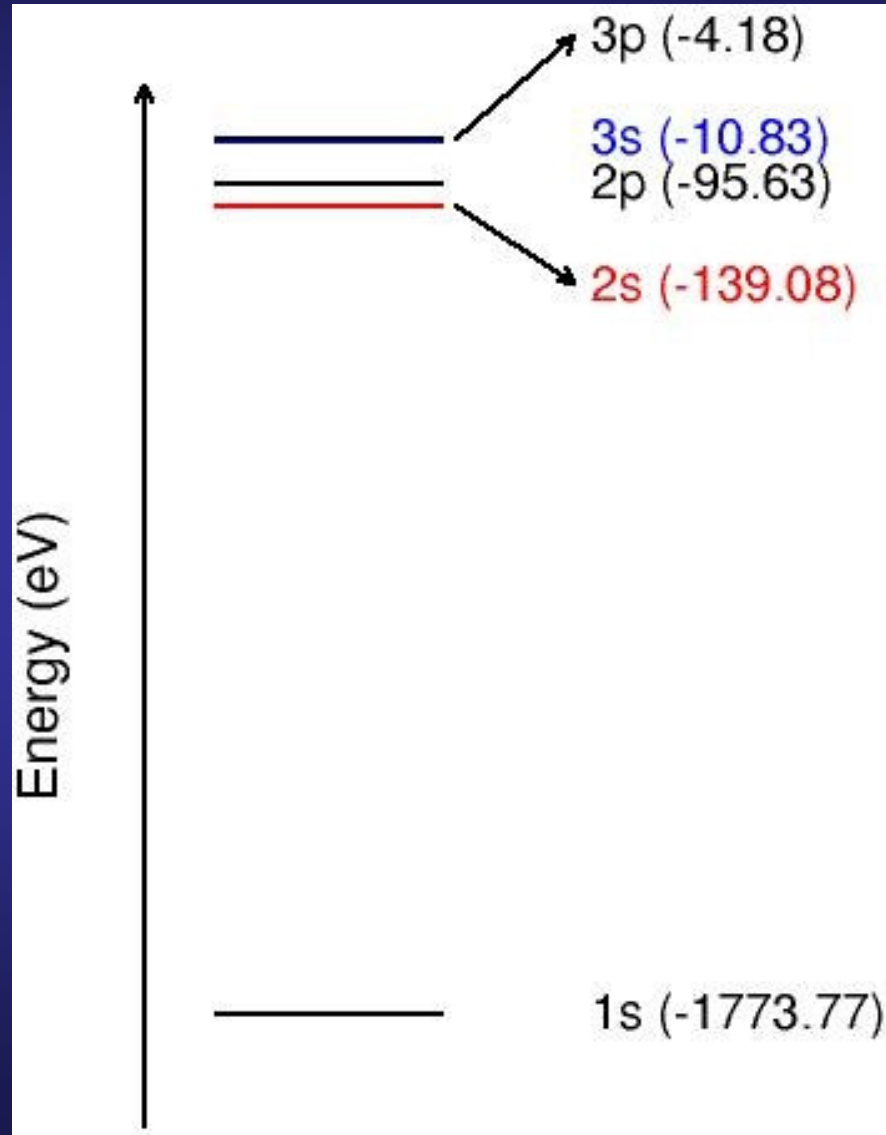


## Core electrons...

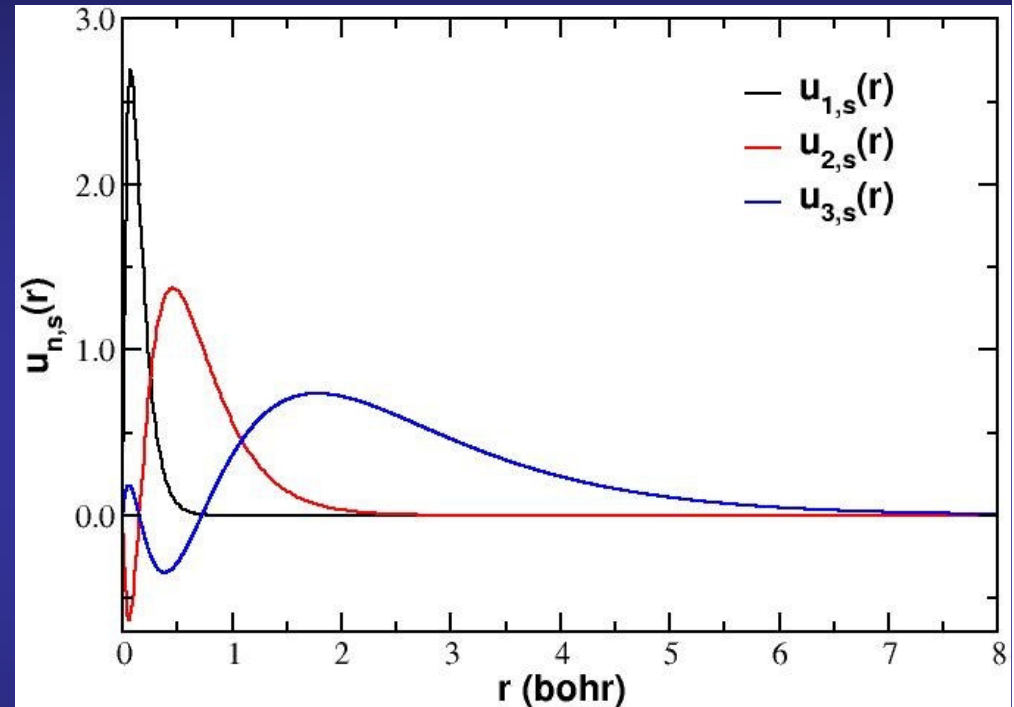
highly localized  
very depth energy

... are chemically inert

# Valence wave functions must be orthogonal to the core wave functions



Atomic Si



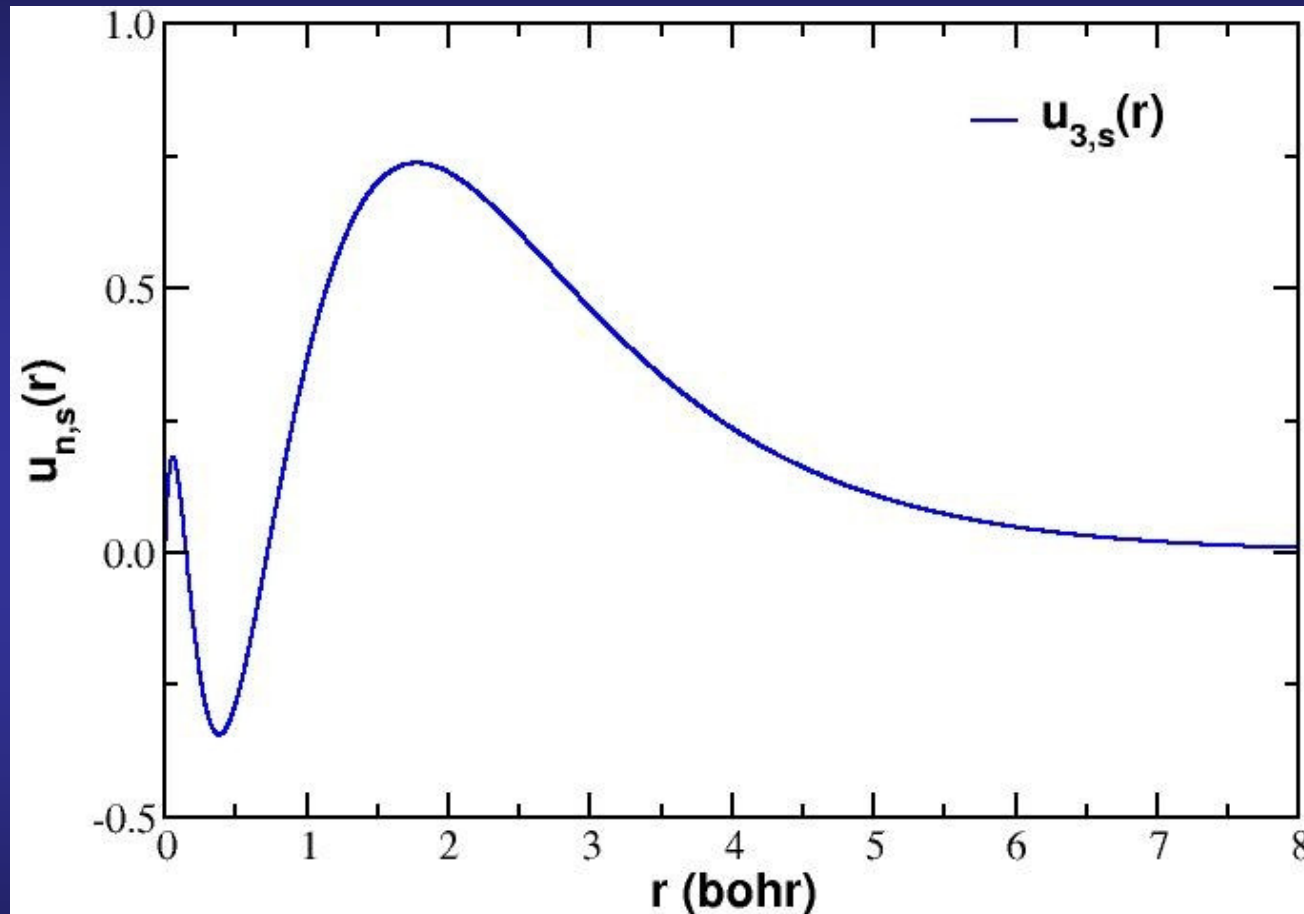
## Core electrons...

highly localized

very depth energy

... are chemically inert

## Fourier expansion of a valence wave function has a great contribution of short-wave length



To get a good approximation we would have to use a large number of plane waves.

## **Pseudopotential idea:**

**Core electrons are chemically inert**

**(only valence electrons involved in bonding)**

**Core electrons make the calculation more expensive**

**more electrons to deal with**

**orthogonality with valence  $\Rightarrow$  poor convergence in PW**

**Core electrons main effect: screen nuclear potential**

**Idea:**

**Ignore the dynamics of the core electrons (freeze them)**

**And replace their effects by an effective potential**

# Orthogonalized Plane Waves (OPW) take into account effects of the cores upon valence electrons

C. Herring, Phys. Rev. 57, 1169 (1940)

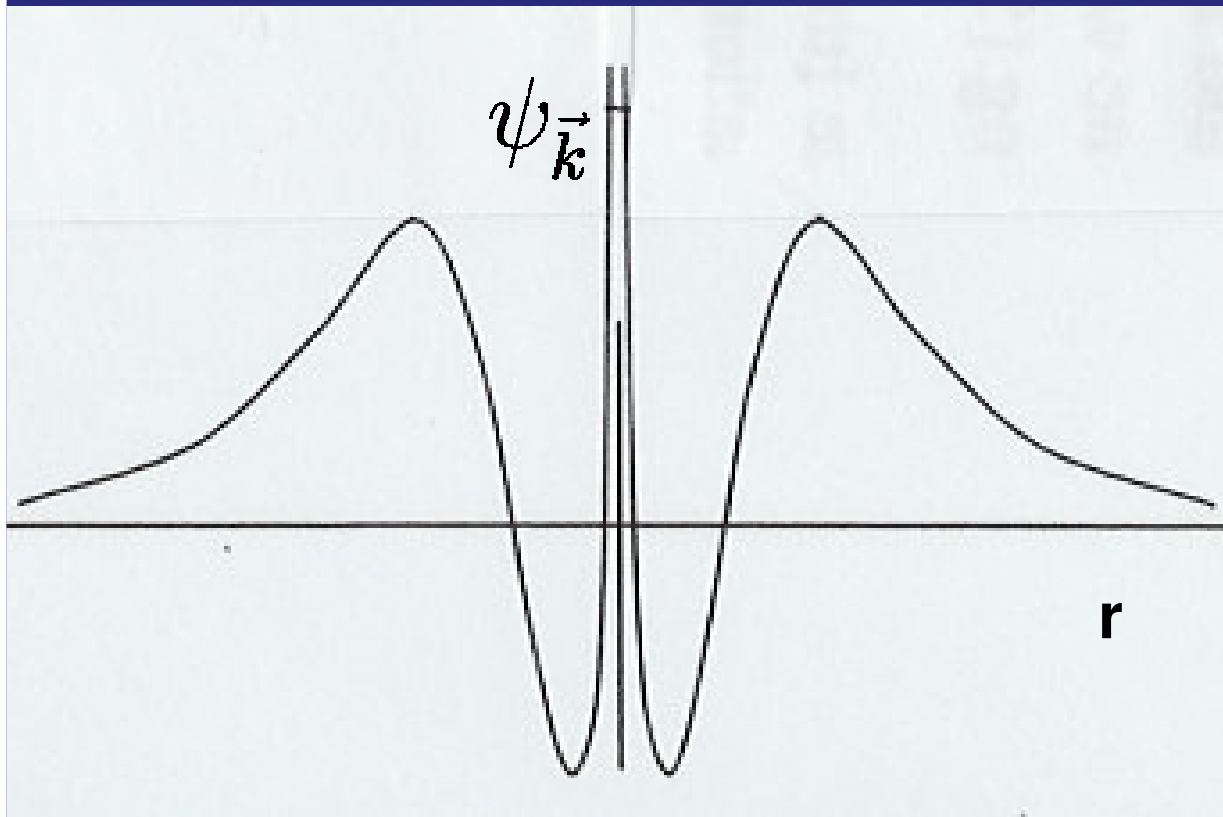
$$\chi_{\vec{k}}^{OPW}(\vec{r}) = \frac{1}{\sqrt{\Omega}} \left[ e^{i\vec{k}\cdot\vec{r}} - \sum_j \langle v_j | \vec{k} \rangle v_j(\vec{r}) \right]$$

$$\langle v_j | \vec{k} \rangle \equiv \int d\vec{r} v_j(\vec{r}) e^{i\vec{k}\cdot\vec{r}}$$

$v_j(\vec{r})$  are functions localized around each nucleus  
(typically the core orbitals)



## Example of the OPW method: Valence function with a 3s character close to the nucleus



Orthogonal to 1s and 2s

Rapidly varying function  
close to the nuclei



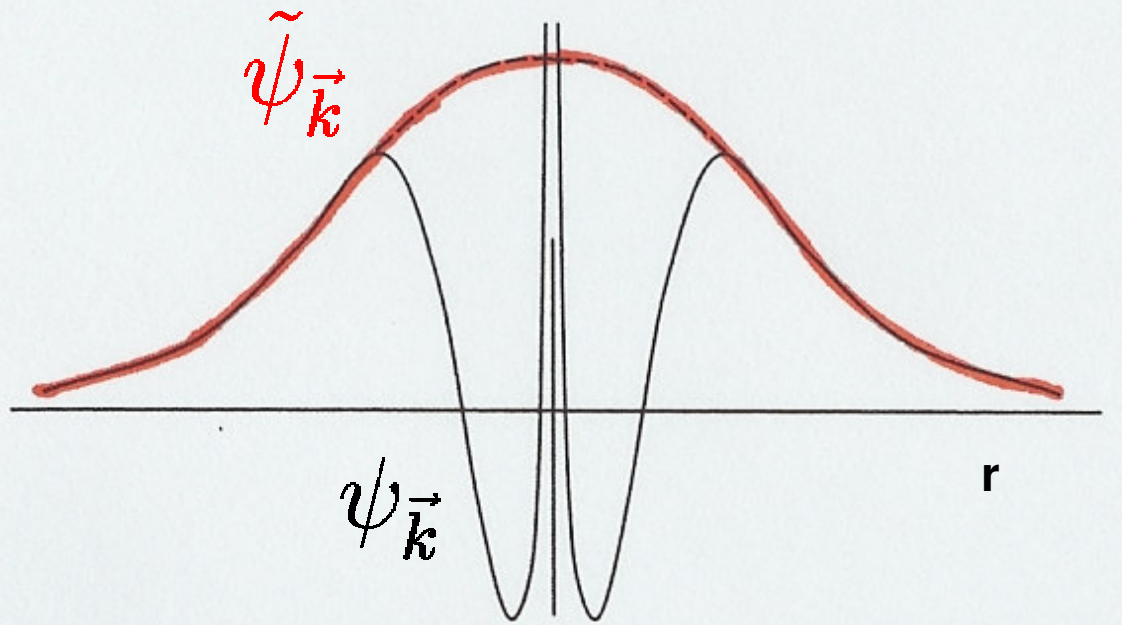
Poor convergence in PW

R. M. Martin, *Electronic structure, Basic Theory and Practical Methods*,  
Cambridge University Press, Cambridge, 2004

Orthogonalizing the function to the core functions we get a smoother wave function.

$$\tilde{\psi}_{\vec{k}}(\vec{r}) = \psi_{\vec{k}}(\vec{r}) - \sum_{j,\nu} \alpha_{j,\nu} v_j(\vec{r} - \vec{R}_\nu)$$

Atomic core functions



Fourier series for  
converge rapidly

$\tilde{\psi}_{\vec{k}}$

**The wave function can be expanded in a rapidly convergent series of orthogonalized plane waves!!**

$$\tilde{\psi}_{\vec{k}}(\vec{r}) = \psi_{\vec{k}}(\vec{r}) - \sum_{j,\nu} \alpha_{j,\nu} v_j(\vec{r} - \vec{R}_\nu)$$

$$\tilde{\psi}_{\vec{k}}(\vec{r}) = \sum_{\vec{g}} \frac{\beta_{\vec{g}}}{\sqrt{\Omega}} e^{i(\vec{k} + \vec{g}) \cdot \vec{r}}$$

$$\Downarrow \quad \langle v_l | \psi_{\vec{k}} \rangle \approx 0$$

$$\psi_{\vec{k}}(\vec{r}) \approx \sum_{\vec{g}} \beta_{\vec{g}} \chi_{\vec{k} + \vec{g}}^{OPW}(\vec{r})$$

# **The OPW method is the prescience of all the modern pseudopotential and PAW methods**

**Distinguishes between core and valence electrons**

**Divides the space into a smooth part and a localized part**

**Requires the solution of the Schrodinger equation for the isolated atom**

**Much rapid convergence of the wave functions with the number of plane waves**

# The pseudopotential transformation: Seeking for the wave equation of the “smooth”

J. C. Phillips and L. Kleinman, Phys. Rev. 116, 287 (1959)

Replace the OPW form of the wave function into the Schrödinger equation

$$\psi_i^v(\vec{r}) = \tilde{\psi}_i^v(\vec{r}) - \sum_j \langle \psi_j^c | \tilde{\psi}_i^v \rangle \psi_j^c(\vec{r})$$

$$\hat{H} \psi_i^v(\vec{r}) = \left[ -\frac{1}{2} \nabla^2 + V(\vec{r}) \right] \psi_i^v(\vec{r}) = \varepsilon_i^v \psi_i^v(\vec{r})$$

⇓

Equation for the smooth part, with a non local operator

$$\hat{H}^{PKA} \tilde{\psi}_i^v(\vec{r}) \equiv \left[ -\frac{1}{2} \nabla^2 + \hat{V}^{PKA} \right] \tilde{\psi}_i^v(\vec{r}) = \varepsilon_i^v \tilde{\psi}_i^v(\vec{r})$$

# The original potential is replaced by a weaker non-local pseudopotential

J. C. Phillips and L. Kleinman, Phys. Rev. 116, 287 (1959)

$$\hat{V}^{PKA} = V + \hat{V}^R$$
$$\hat{V}^R \tilde{\psi}_i^v(\vec{r}) = \sum_j (\epsilon_i^v - \epsilon_j^c) \langle \psi_j^c | \tilde{\psi}_i^v \rangle \psi_j^c(\vec{r})$$

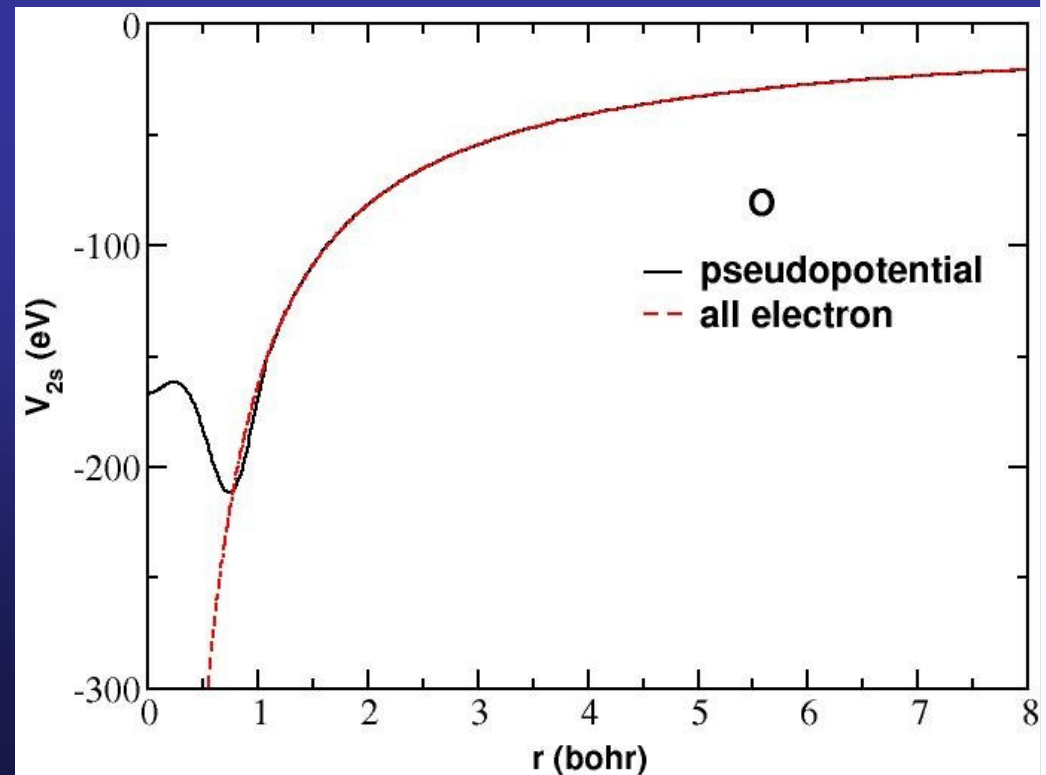
## Advantages

Repulsive

$$\epsilon_i^v - \epsilon_j^c > 0$$



VPKA is much weaker than the original potential  $V(r)$



# The original potential is replaced by a weaker non-local pseudopotential

J. C. Phillips and L. Kleinman, Phys. Rev. 116, 287 (1959)

$$\hat{V}^{PKA} = V + \hat{V}^R$$
$$\hat{V}^R \tilde{\psi}_i^v(\vec{r}) = \sum_j (\epsilon_i^v - \epsilon_j^c) \langle \psi_j^c | \tilde{\psi}_i^v \rangle \psi_j^c(\vec{r})$$

## Advantages

Repulsive

$$\epsilon_i^v - \epsilon_j^c > 0$$



$\hat{V}^{PKA}$  is much weaker than the original potential  $V(r)$

Spatially localized

vanishes where  $\psi_j^c = 0$

## Disadvantages

Non-local operator

$$\langle \psi_j^c | \tilde{\psi}_i^v \rangle = \int d\vec{r}' \psi_j^c(\vec{r}') \tilde{\psi}_i^v(\vec{r}')$$

# The original potential is replaced by a weaker non-local pseudopotential

J. C. Phillips and L. Kleinman, Phys. Rev. 116, 287 (1959)

$$\hat{V}^{PKA} = V + \hat{V}^R$$
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## Advantages

Repulsive

$$\epsilon_i^v - \epsilon_j^c > 0$$



$\hat{V}^{PKA}$  is much weaker than the original potential  $V(r)$

Spatially localized

vanishes where  $\psi_j^c = 0$

## Disadvantages

Non-local operator

$\tilde{\psi}_i^v$  are not orthonormal

$\hat{V}^R$  is not smooth

I-dependent



# **Fundamental idea of pseudopotential: “Replace one problem with another”**

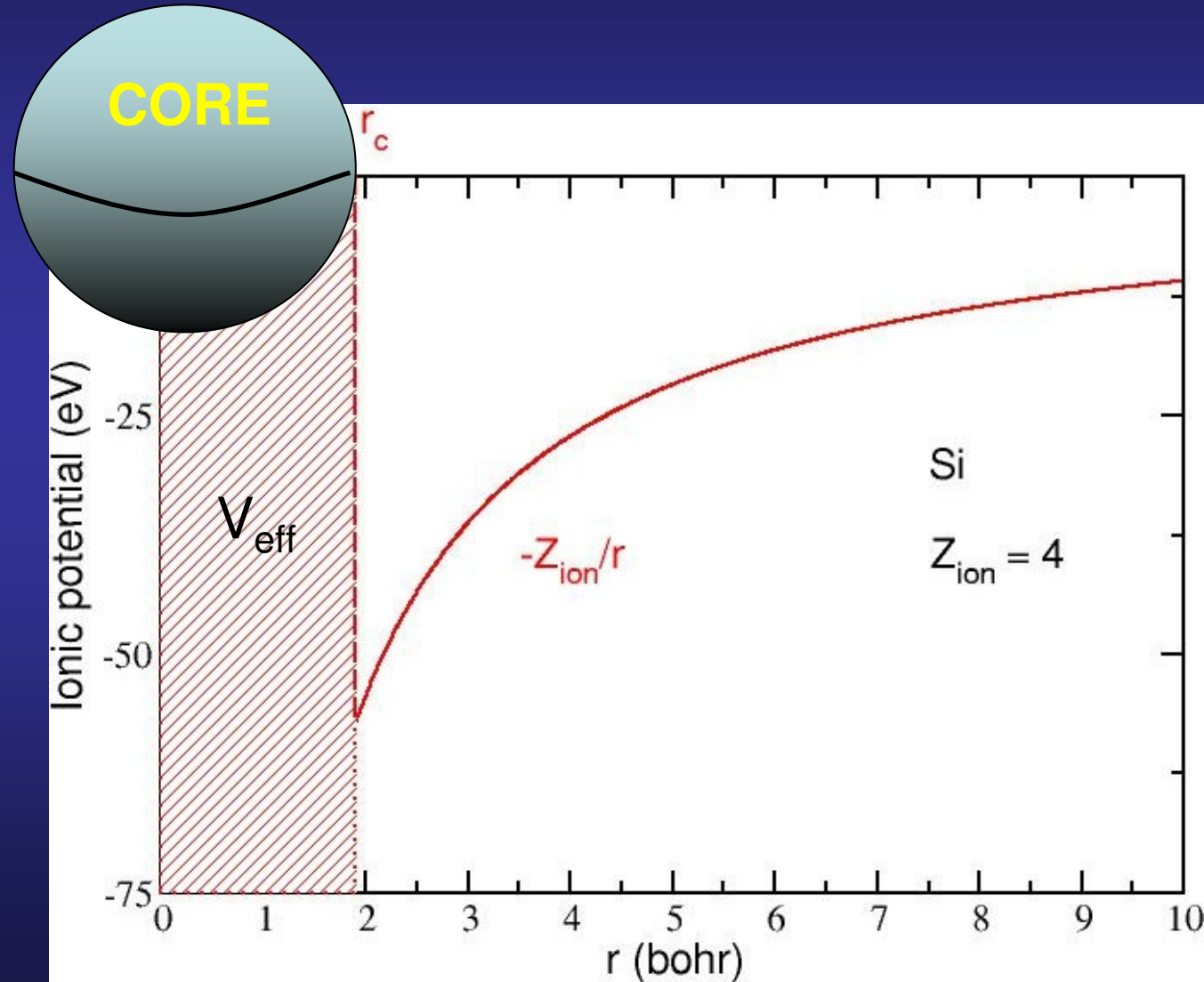
**The properties of the wave function outside the scattering region can be reproduced over a wide range of energies by another potential chosen to have more desirable properties.**

**The pseudopotential can be chosen to be both weaker and smoother**

**The pseudopotential is not unique.**

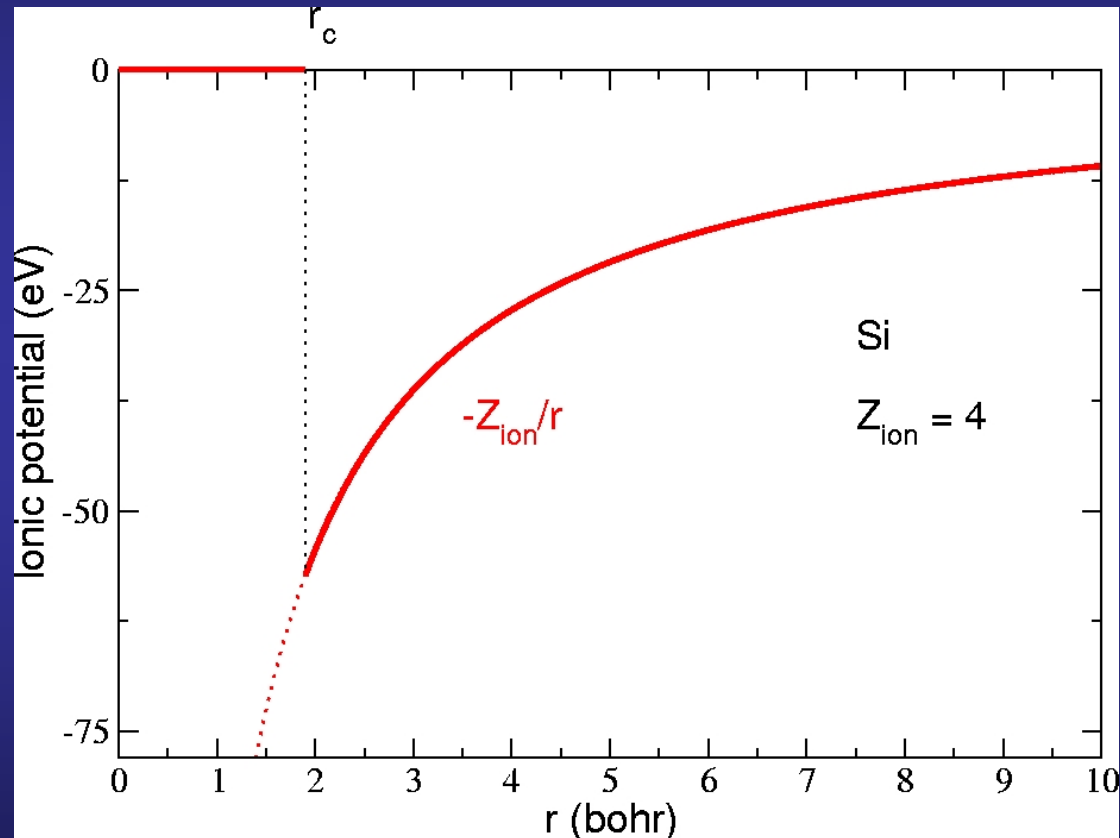
**There exists many different pseudopotential**

# Model ion potential constructed by fitting experiments or from first-principles



# Model ion potential constructed by fitting experiments or from first-principles

## Model potentials



Empty core

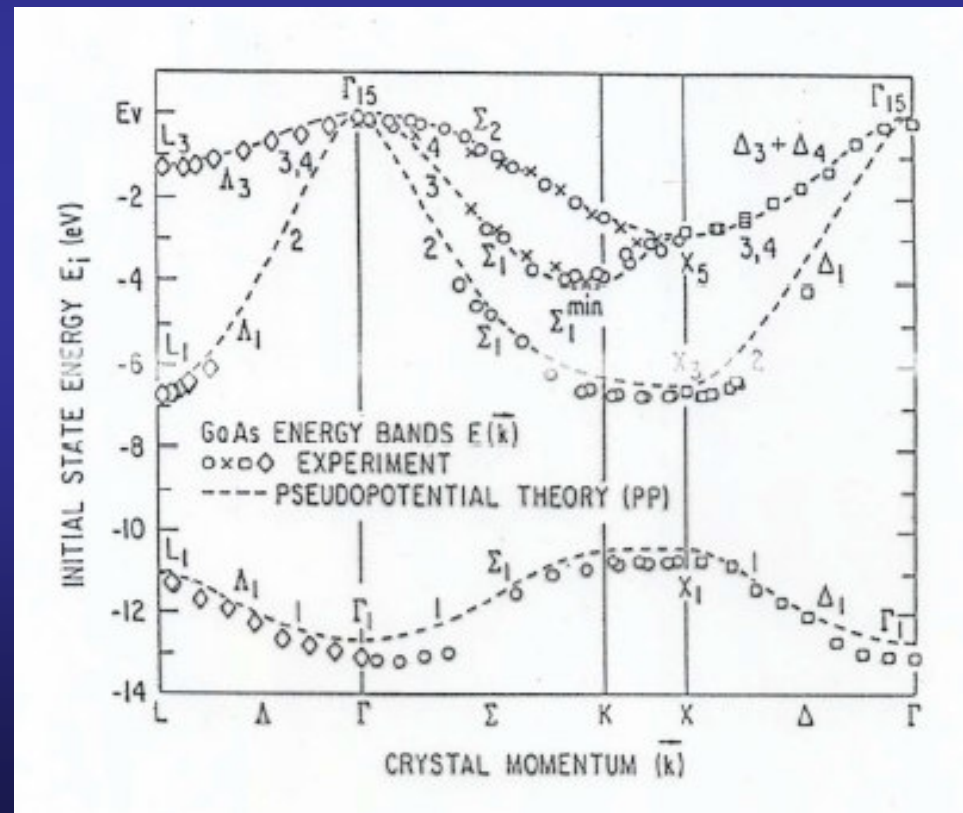
N. W. Ashcroft, Phys. Lett. 23, 48 (1966)

# Empirical pseudopotential method (EPM): from expt. input to the whole band structure

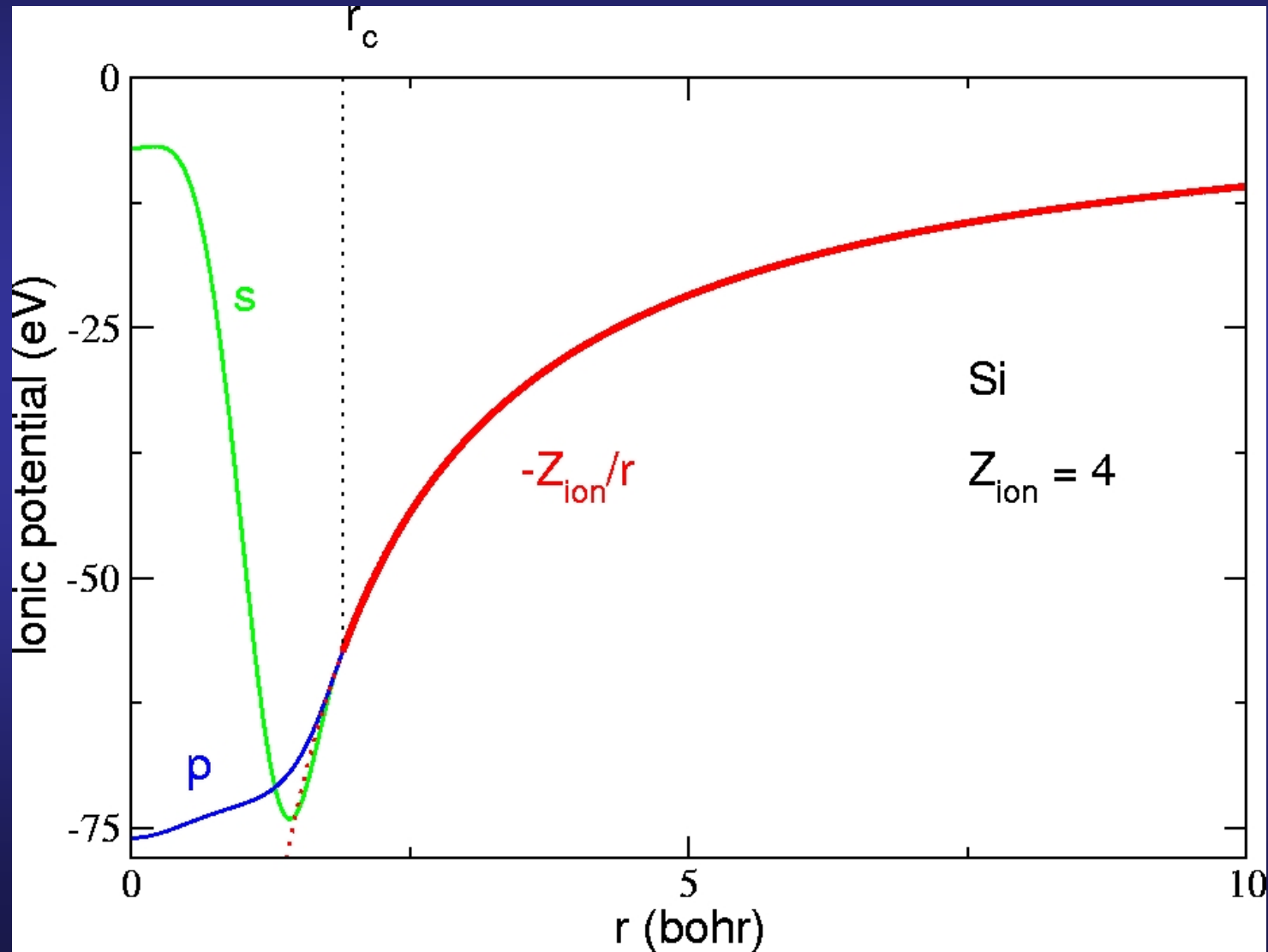
## Band structure of GaAs

-adsorption edge

-reflectivity features



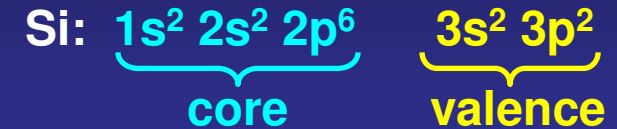
# ***Ab-initio* pseudopotential method: fit the valence properties calculated from the atom**



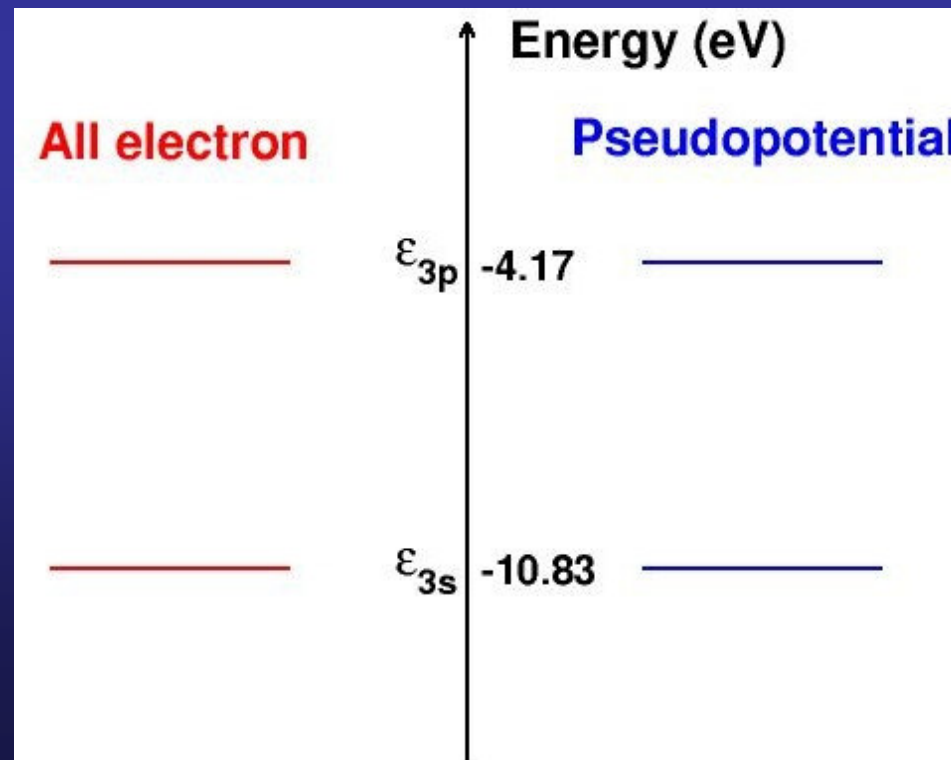
# List of requirements for a good norm-conserving pseudopotential:

D. R. Hamann *et al.*, Phys. Rev. Lett. 43, 1494 (1979)

Choose an atomic reference configuration



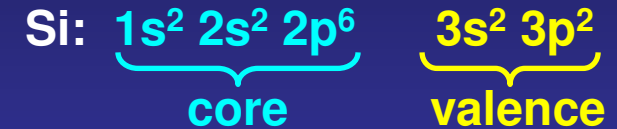
1. All electron and pseudo valence **eigenvalues agree** for the chosen reference configuration



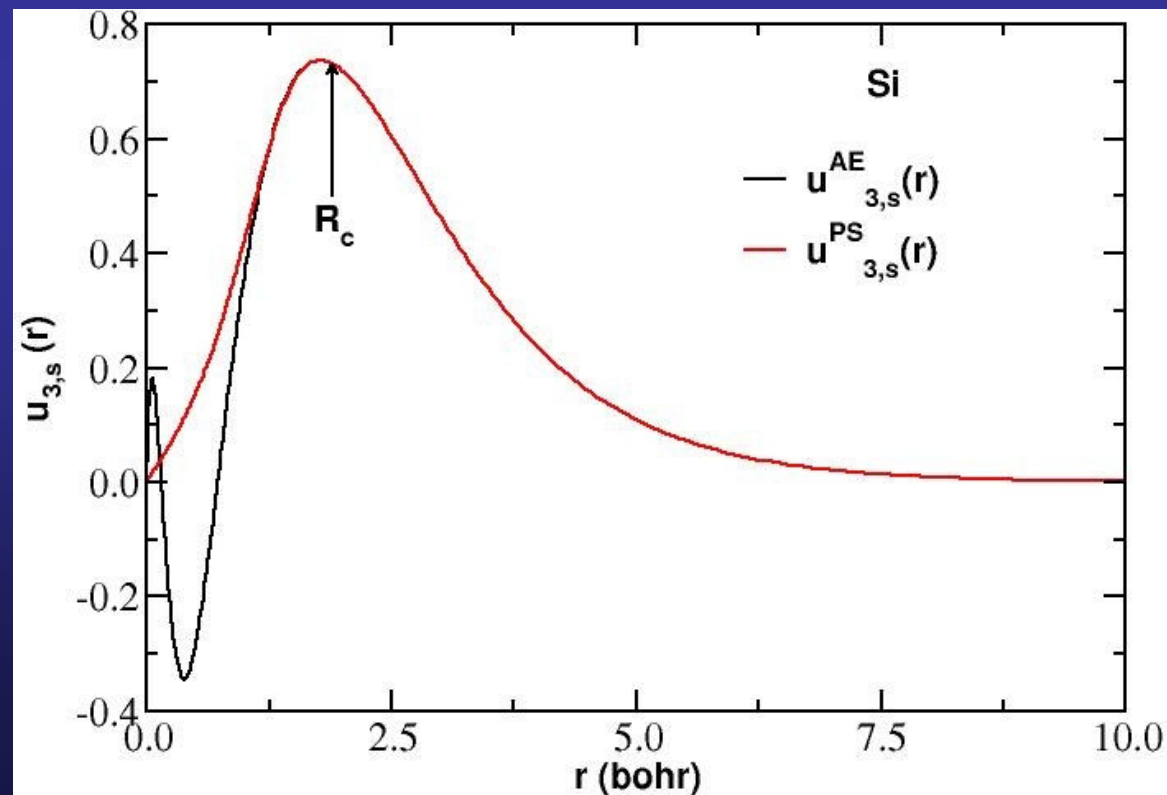
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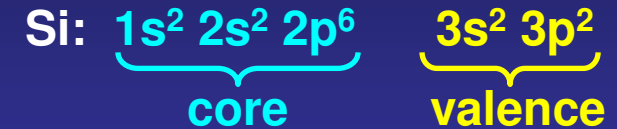
2. All electron and pseudo valence **wavefunctions agree beyond** a chosen cutoff radius  $R_c$  (might be different for each shell)



# List of requirements for a good norm-conserving pseudopotential:

D. R. Hamann *et al.*, Phys. Rev. Lett. 43, 1494 (1979)

Choose an atomic reference configuration



3. The **logarithmic derivatives** of the all-electron and pseudowave functions **agree** at  $R_c$

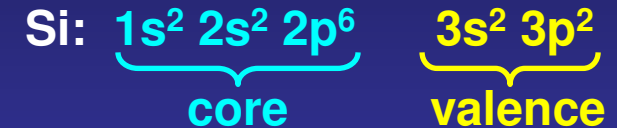
$$D_l(\varepsilon, r) \equiv r \frac{\psi_l'(\varepsilon, r)}{\psi_l(\varepsilon, r)} = r \frac{d}{dr} \ln [\psi_l(\varepsilon, r)]$$



# List of requirements for a good norm-conserving pseudopotential:

D. R. Hamann *et al.*, Phys. Rev. Lett. 43, 1494 (1979)

Choose an atomic reference configuration



4. The **integrals** from 0 to  $r$  of the real and pseudo **charge densities** agree for  $r > R_c$  for each valence state

$$Q_l = \int_0^{R_c} dr r^2 |\psi_l(r)|^2$$

$Q_l$  is the same for  $\psi_l^{PS}$  as for the all electron radial orbital  $\psi_l$

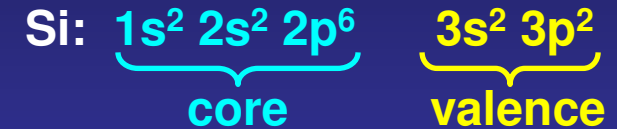


- Total charge in the core region is correct
- Normalized pseudoorbital is equal to the true orbital outside of  $R_c$

# List of requirements for a good norm-conserving pseudopotential:

D. R. Hamann *et al.*, Phys. Rev. Lett. 43, 1494 (1979)

Choose an atomic reference configuration



5. The **first energy derivative** of the **logarithmic derivatives** of the all-electron and pseudo wave functions **agrees** at  $R_c$

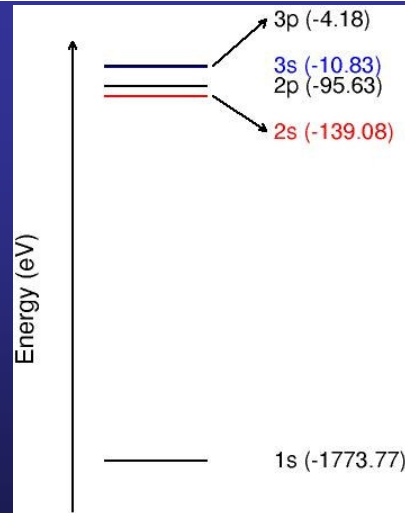
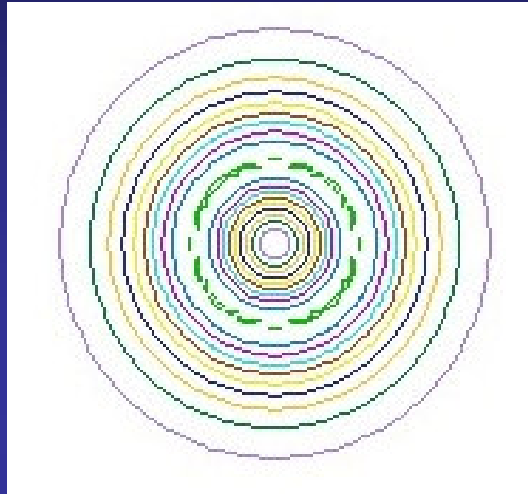
Central point due to Hamann, Schlüter and Chiang:

**Norm conservation [(4)]  $\Rightarrow$  (5)**

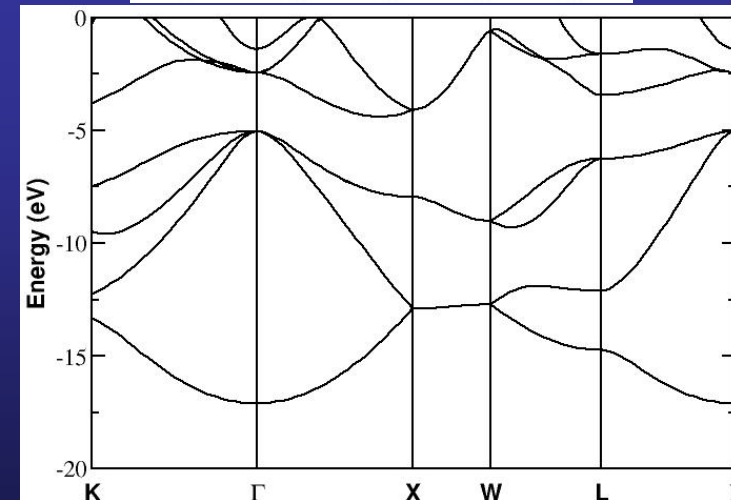
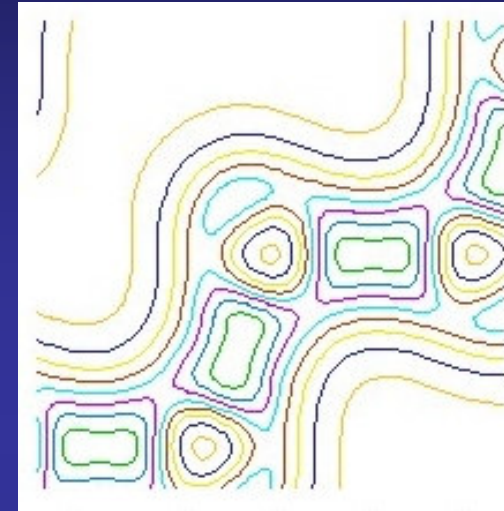
$$2\pi \left[ (r\psi)^2 \frac{d}{d\varepsilon} \frac{d}{dr} \ln\psi \right]_R = 4\pi \int_0^R r^2 \psi^2 dr$$

# Equality of AE and PS energy derivatives of the logarithmic derivatives essential for transferability

Atomic Si



Bulk Si



If condition 5 is satisfied, the change in the eigenvalues to linear order in the change in the potential is reproduced

# Generation of $l$ -dependent norm-conserving pseudopotential

All electron self consistent atomic calculation  
Each state  $l,m$  treated independently

Identify the valence states

Freedom (different approaches)

Generate the pseudopotential  $V_{l,total}(r)$  and pseudoorbitals  $\psi_l^{PS}(r)$

$V_{l,total}(r)$  screened pseudopotential acting on valence electrons

“Unscreened” by subtracting from the total potential  $V_{Hxc}^{PS}(r)$

$$V_l(\vec{r}) \equiv V_{l,total}(\vec{r}) - V_{Hxc}^{PS}(\vec{r})$$

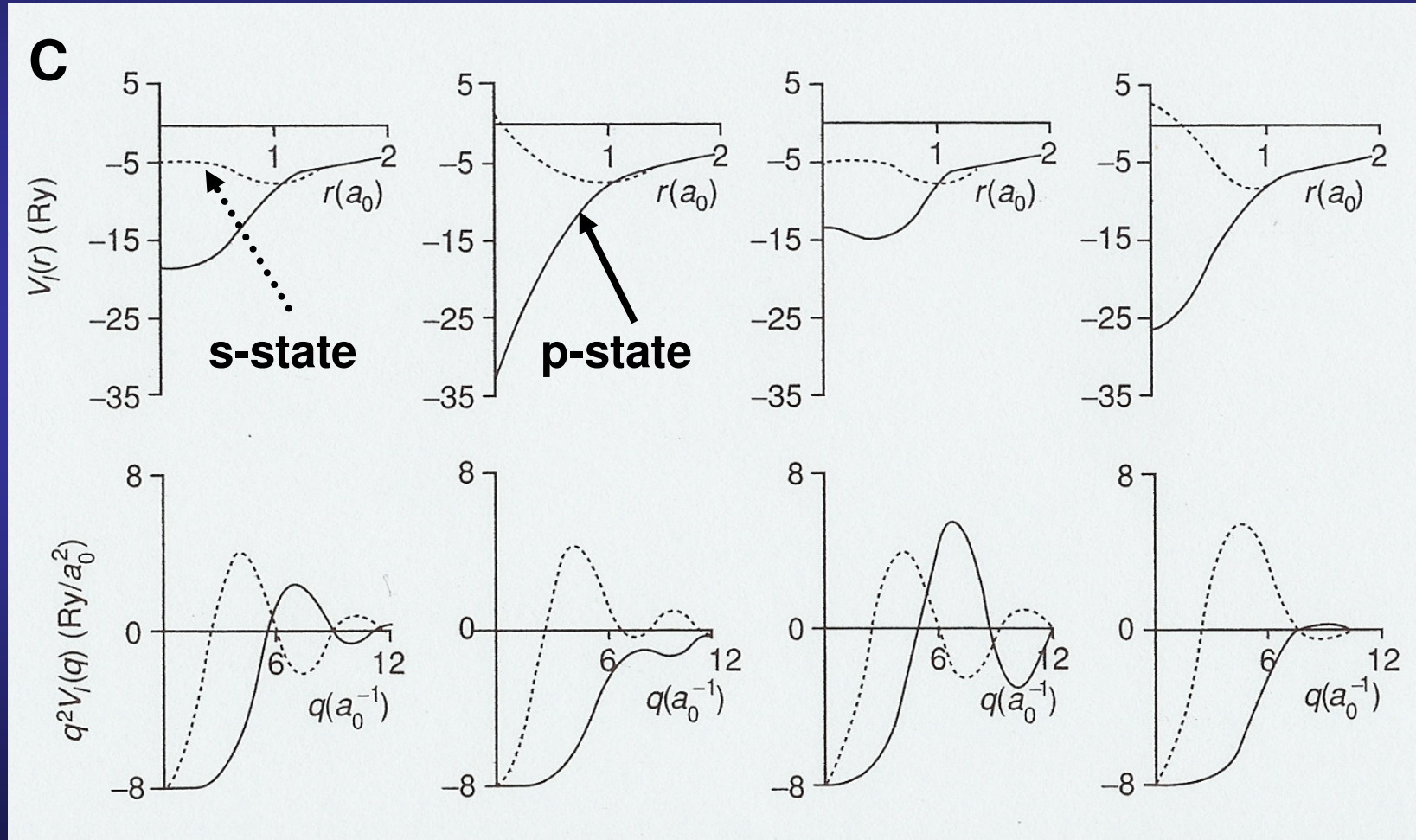
# Different methods to generate norm-conserving pseudopotential

Troullier-Martins

Kerker

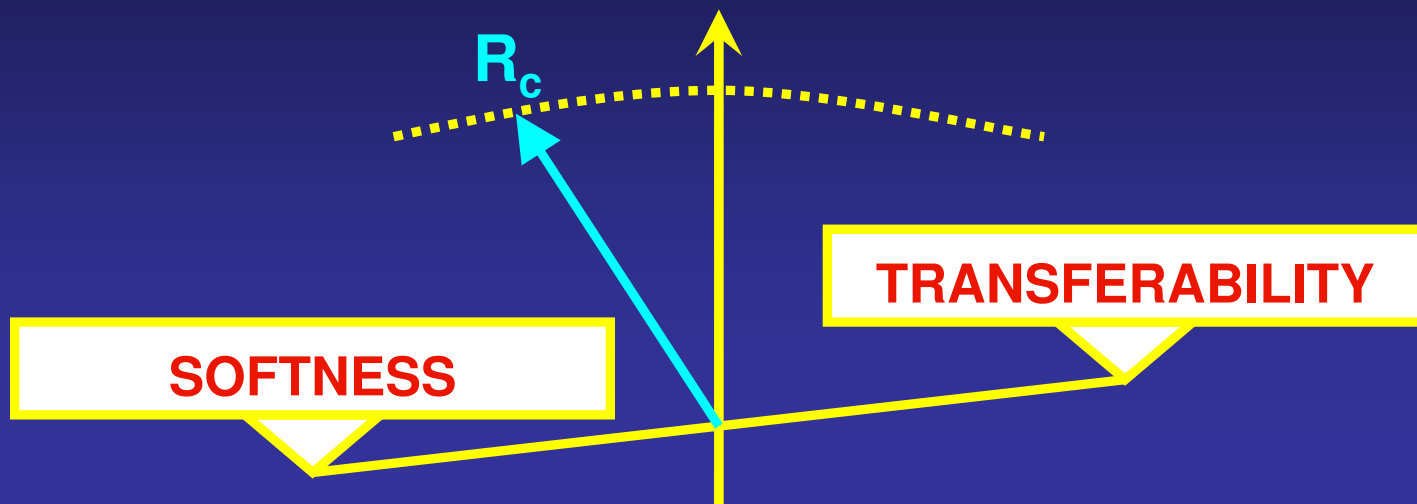
Haman-Schlüter-Chiang

Vanderbilt



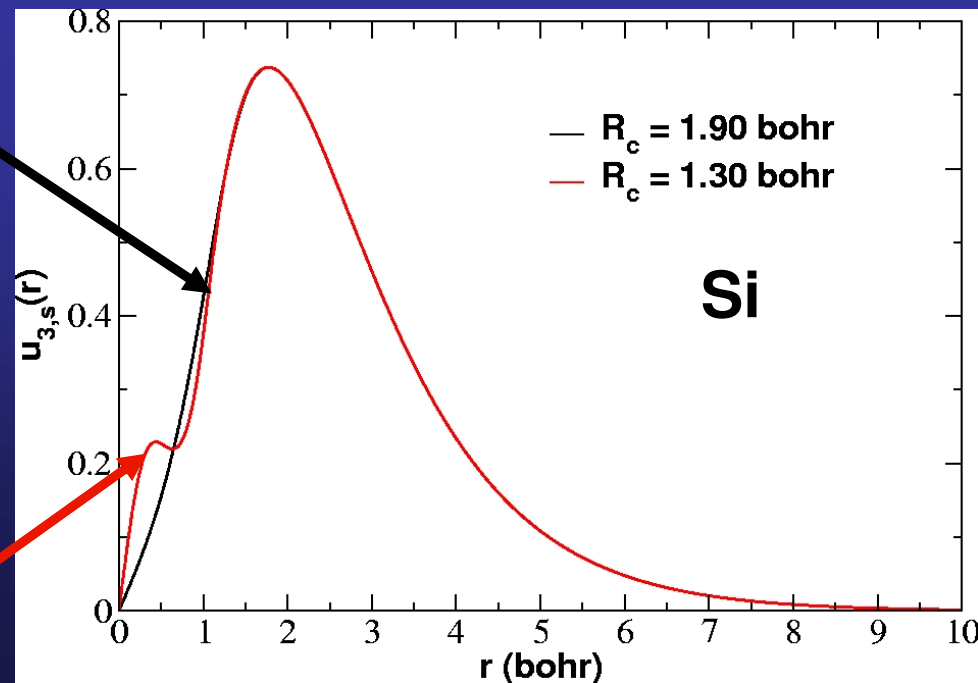
R. M. Martin, Electronic structure, Basic Theory and Practical Methods, Cambridge University Press, Cambridge, 2004

# Balance between softness and transferability controlled by $R_c$



Larger  $R_c$ : softer pseudo

Shorter  $R_c$ : harder pseudo



# A transferable pseudo will reproduce the AE energy levels and wave functions in arbitrary environments

- Compute the energy of two different configurations  $E_{C1}$   $E_{C2}$
- Compute the difference in energy  $\Delta E = E_{C2} - E_{C1}$
- For the pseudopotential to be transferable:  $\Delta E^{AE} = \Delta E^{PS}$

total energy differences in series

	1	2	3	4	5
1	0.0000				
2	0.4308	0.0000			
3	0.4961	0.0653	0.0000		
4	0.9613	0.5305	0.4652	0.0000	
5	1.4997	1.0689	1.0036	0.5384	0.0000

$\Delta E^{AE}$

3s<sup>2</sup> 3p<sup>2</sup> (reference)

3s<sup>2</sup> 3p<sup>1</sup> 3d<sup>1</sup>

3s<sup>1</sup> 3p<sup>3</sup>

3s<sup>1</sup> 3p<sup>2</sup> 3d<sup>1</sup>

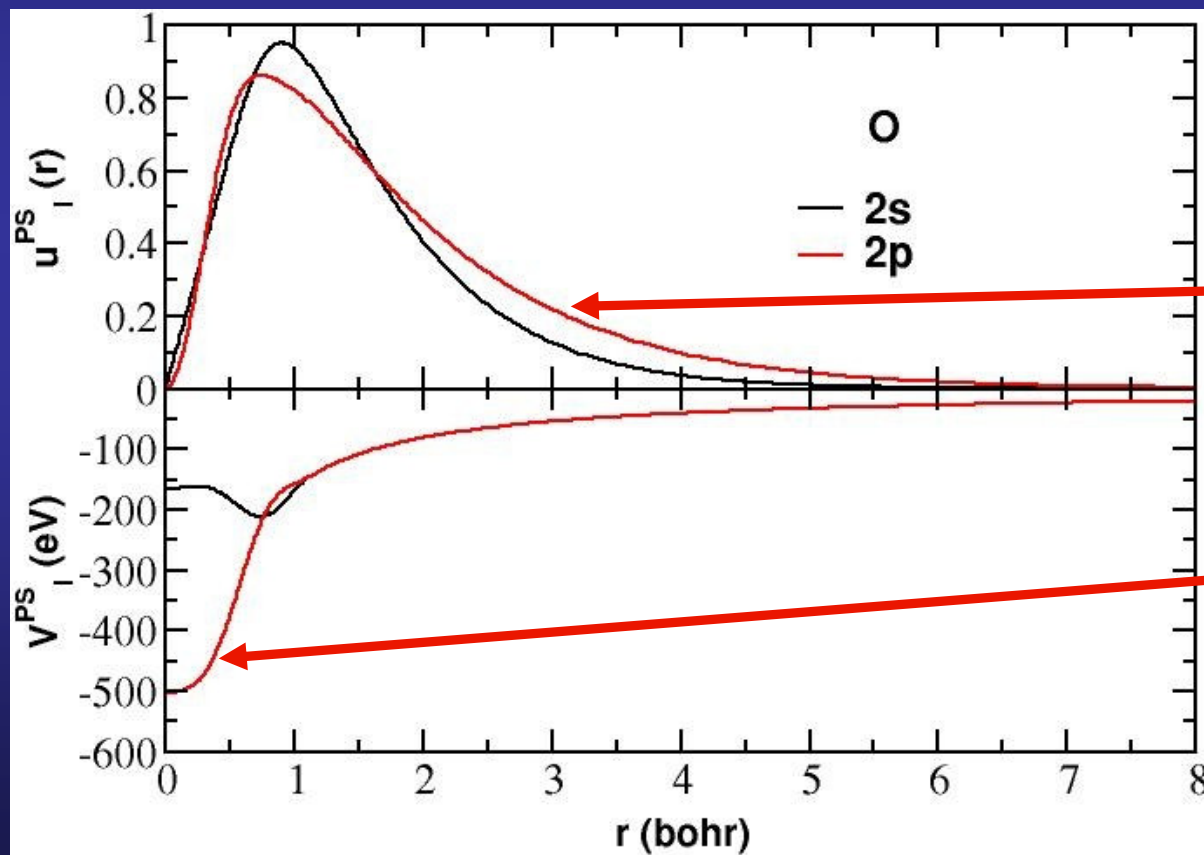
3s<sup>0</sup> 3p<sup>3</sup> 3d<sup>1</sup>

total energy differences in series

	1	2	3	4	5
1	0.0000				
2	0.4304	0.0000			
3	0.4958	0.0654	0.0000		
4	0.9602	0.5297	0.4643	0.0000	
5	1.4970	1.0666	1.0012	0.5369	0.0000

$\Delta E^{PS}$

# Problematic cases: first row elements 2p and 3d elements



No nodes because there are no p states to be orthogonal to

pseudopotential is hard



# Conclusions

- **Core electrons...**

  - highly localized and very depth energy

  - ... are chemically inert**

- **Pseudopotential idea**

  - Ignore the dynamics of the core electrons (freeze them)

  - And replace their effects by an effective potential

- **Pseudopotentials are not unique**

  - there might be many “best choices”

- **Two overall competing factors: transferability vs hardness**

- **Norm conservation helps transferability**

- **Always test the pseudopotential in well-known situations**

# Outline

## Pseudopotentials

Why pseudopotential approach is useful

Orthogonalized Plane Waves (1940)

Pseudopotential transformation (1959)

Norm-conserving pseudopotentials (1979)

## Basis sets

Plane Waves

Localized Orbitals

Numerical Atomic Orbitals

# Any function can be expanded as a sum of plane waves (Fourier expansion)

$$\psi_{i,\vec{k}}(\vec{r}) = \sum_{\vec{g}} c_{i,\vec{g}} \left[ \frac{1}{\sqrt{\Omega}} e^{i(\vec{k}+\vec{g})\cdot\vec{r}} \right]$$

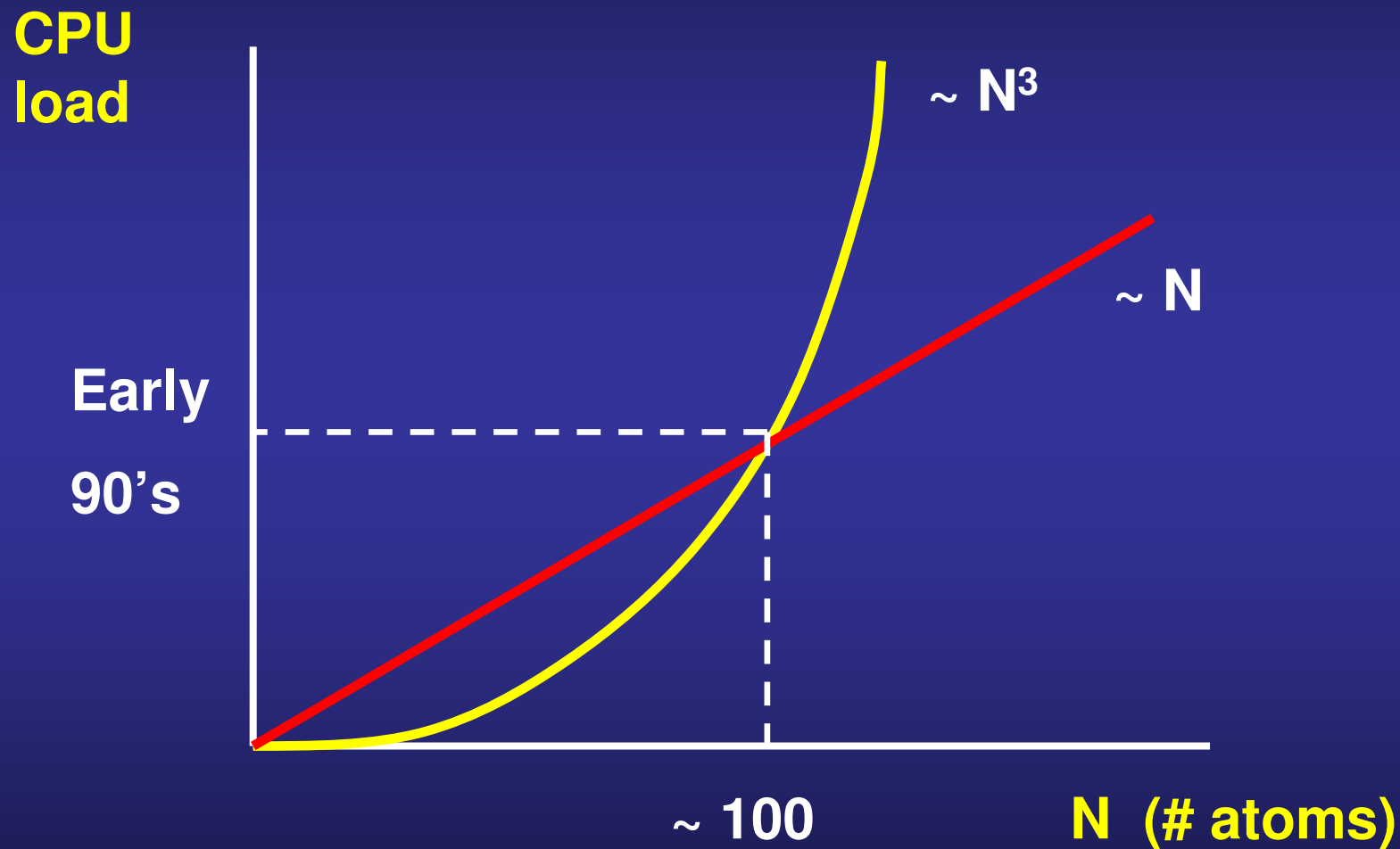
## ADVANTAGES

- Conceptually simple
- Asymptotically complete
- Allow systematic convergence
- “Easy” to implement (FFT)

## DISADVANTAGES

- Not suited to represent any function in particular
- Hundreths of wave functions per atom to achieve a good accuracy
- Not well suited for Order-N methods

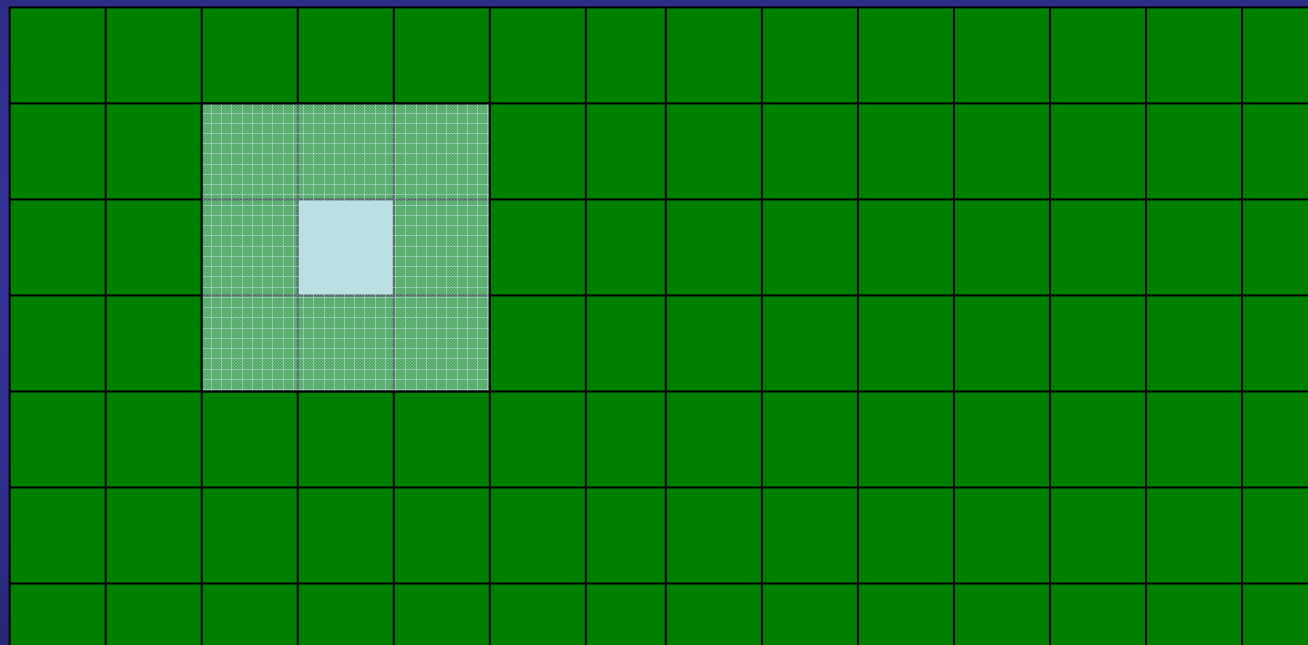
# Order-N methods: The computational load scales linearly with the system size



G. Galli and M. Parrinello, Phys. Rev Lett. 69, 3547 (1992)

# Locality is the key point to achieve linear scaling

Large system

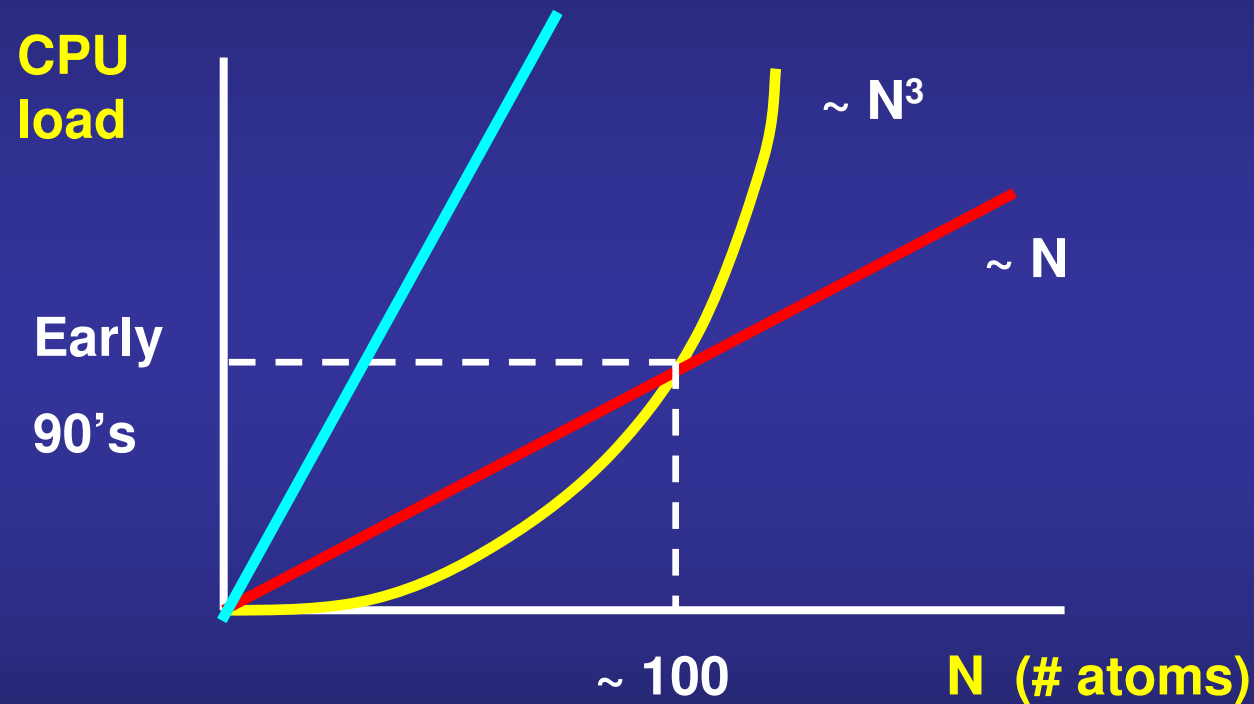


"Divide and Conquer"

W. Yang, Phys. Rev. Lett. 66, 1438 (1992)

# Efficient basis set for linear scaling calculations: localized, few and confined

Locality  $\Rightarrow$  Basis set of localized functions



Regarding **efficiency**, the important aspects are:

- **NUMBER** of basis functions per atom
- **RANGE** of localization of these functions

# Basis sets for linear-scaling DFT

## Different proposals in the literature

- **Bessel functions in overlapping spheres**  
P. Haynes & M. Payne
- **B-splines in 3D grid**  
D. Bowler & M. Gillan
- **Finite-differences (nearly  $O(N)$ )**  
J. Bernholc
- **Linear Combination of Atomic Orbitals**

# Main features of the Atomic Orbitals: the pros and the cons

$$\phi_{llm}(\vec{r}) = R_{ll}(r_I) Y_{lm}(\hat{r}_I) \quad \vec{r}_I = \vec{r} - \vec{R}_I$$

- Very efficient
- Lack of systematic for convergence
- Main features:
  - Size
  - Range
  - Shape



# Atomic Orbitals: different representations

- Gaussian based + QC machinery

G. Scuseria (GAUSSIAN),

M. Head-Gordon (Q-CHEM)

R. Orlando, R. Dobesi (CRYSTAL)

- Numerical atomic orbitals (NAO)

SIESTA

S. Kenny & A Horsfield (PLATO)

T. Ozaki (ABRED)

O. Sankey (FIREBALL)

**Numerical solution** of the Kohn-Sham Hamiltonian for the **isolated pseudoatom** with the **same approximations** (xc,pseudos) as for the condensed system

## Our method

### Linear-scaling DFT based on NAOs (Numerical Atomic Orbitals)



P. Ordejon, E. Artacho & J. M. Soler , Phys. Rev. B 53, R10441 (1996)

J. M.Soler *et al.*, J. Phys.: Condens. Matter 14, 2745 (2002)

- Born-Oppenheimer (relaxations, mol.dynamics)
- DFT (LDA, GGA)
- Pseudopotentials (norm conserving, factorised)
- Numerical atomic orbitals as basis (finite range)
- Numerical evaluation of matrix elements (3D grid)

*Implemented in the **SIESTA** program*

J. M. Soler *et al.*, J. Phys.: Condens. Matter 14, 2745 (2002)

# Size (number of basis set per atom)

Depending on the required accuracy and  
available computational power

*Quick and dirty*  
calculations

Highly converged  
calculations



Minimal basis set  
(single- $\zeta$ ; SZ)

Multiple- $\zeta$

+

Polarization

+

Diffuse orbitals

# Converging the basis size: from quick and dirty to highly converged calculations

## Single- $\zeta$ (minimal or SZ)

One single radial function per angular  
momentum shell occupied in the free -atom

Improving the quality



### Radial flexibilization:

Add more than one radial  
function within the same  
angular momentum than SZ

Multiple- $\zeta$

### Angular flexibilization:

Add shells of different atomic  
symmetry (different  $l$ )

Polarization

## Examples of different sizes of basis sets

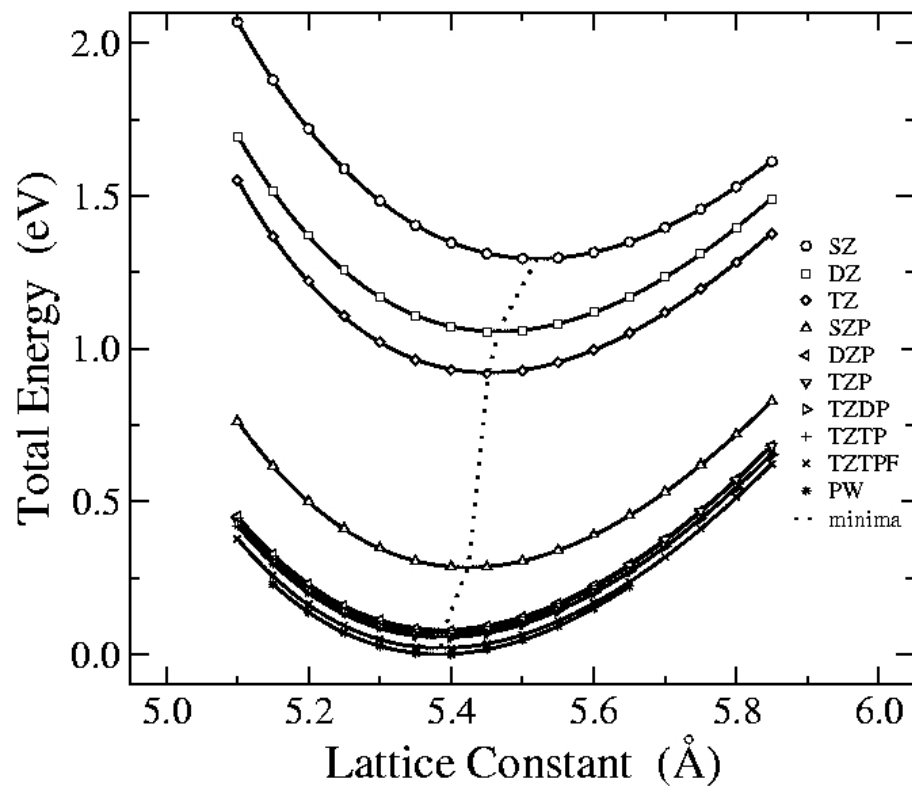
Atom	Valence configuration	SZ		DZ		P	
		# orbitals	symmetry	# orbitals	symmetry	# orbitals	symmetry
Si	$3s^2 3p^2$	1	$s$	2	$s$	1	$d_{xy}$
		1	$p_x$	2	$p_x$	1	$d_{yz}$
		1	$p_y$	2	$p_y$	1	$d_{zx}$
		1	$p_z$	2	$p_z$	1	$d_{x^2-y^2}$
						1	$d_{3z^2-r^2}$
	Total	4		8		(DZ+P) 13	

Atom	Valence configuration						
		# orbitals	symmetry	# orbitals	symmetry	# orbitals	symmetry
Fe	$4s^2 3d^6$	1	$s$	2	$s$	1	$p_x$
		1	$d_{xy}$	2	$d_{xy}$	1	$p_y$
		1	$d_{yz}$	2	$d_{yz}$	1	$p_z$
		1	$d_{zx}$	2	$d_{zx}$		
		1	$d_{x^2-y^2}$	2	$d_{x^2-y^2}$		
		1	$d_{3z^2-r^2}$	2	$d_{3z^2-r^2}$		
	Total	6		12		(DZ+P) 15	

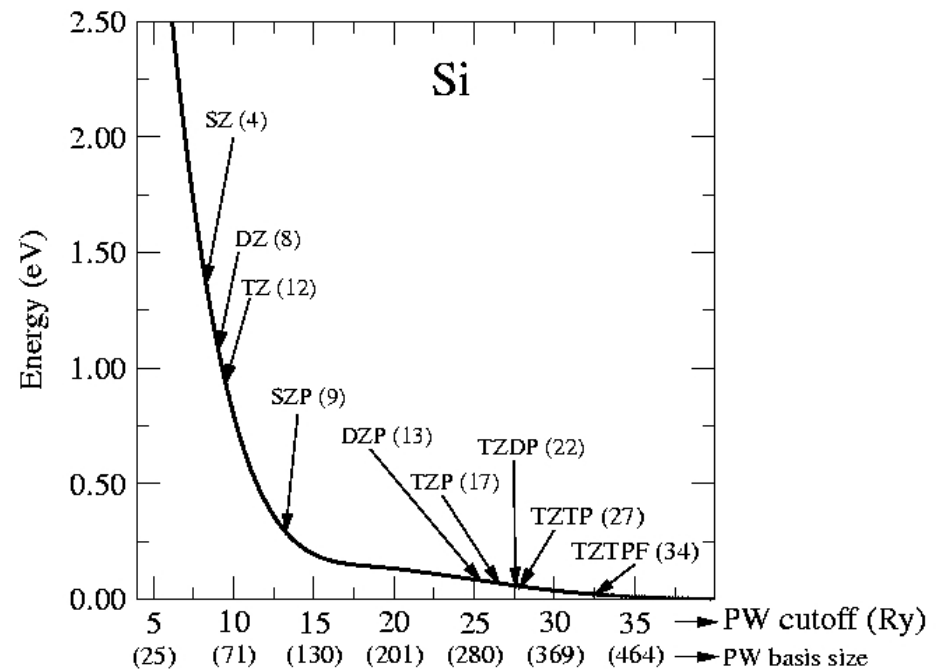
# Convergence of the basis set with Si

## Bulk Si

### Cohesion curves



### PW and NAO convergence



# Convergence of the basis set with Si

## Bulk Si

	SZ	DZ	TZ	SZP	DZP	TZP	TZDP	PW	APW	Exp
a (Å)	5.52	5.46	5.45	5.42	5.39	5.39	5.39	5.38	5.41	5.43
B (GPa)	89	96	98	98	97	97	96	96	96	98.8
E <sub>c</sub> (eV)	4.72	4.84	4.91	5.23	5.33	5.34	5.34		5.28	4.63

SZ = single- $\zeta$

DZ= doble-  $\zeta$

TZ=triple-  $\zeta$

P=Polarized

DP=Doble-  
polarized

PW: Converged Plane Waves (50 Ry)

APW: Augmented Plane Waves

# Range (spatial length of the basis functions)

- How to get sparse matrix for  $O(N)$ 
  - Neglecting interactions below a tolerance or beyond some scope of neighbours  $\Rightarrow$  numerical instabilities for high tolerances.
  - Strictly localized atomic orbitals (zero beyond a given cutoff radius,  $r_c$ )

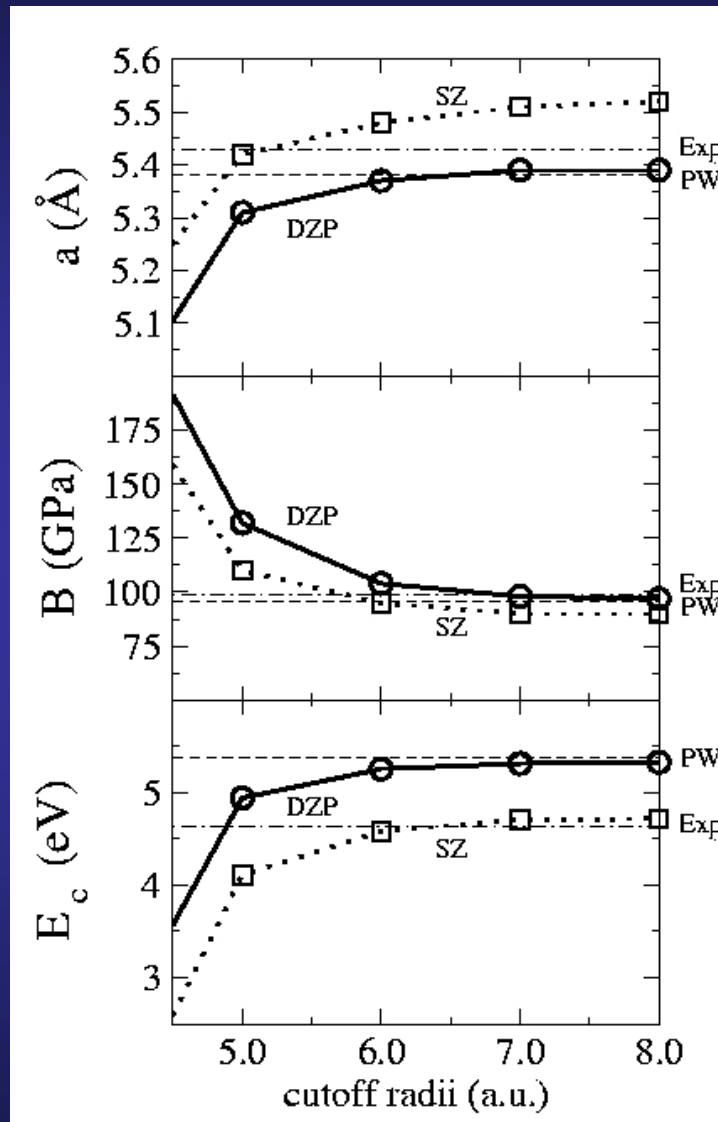


- Accuracy and computational efficiency depend on the range of the atomic orbitals
  - Way to define all the cutoff radii in a balanced way



# Convergence with the range

Bulk Si  
equal  $s, p$   
orbitals radii



## Equivalent PW cutoff ( $E_{\text{cut}}$ ) to optimal DZP

System	DZP # funct. per atom	PW # funct. per atom	$E_{\text{cut}}$ (Ry)
H <sub>2</sub>	5	11296	34
O <sub>2</sub>	13	45442	86
Si	13	227	22
diamond	13	284	59
$\alpha$ -quartz	13	923	76

For molecules: cubic unit cell 10 Å of side

(J. Junquera *et al*, Phys. Rev. B, 64, 23511 (2001))

System		Exp	LAPW	PW (Literature)	PW (same ps)	DZP
Au	a	4.08	4.05	4.07	4.05	4.07
	B	173	198	190	191	188
	E <sub>c</sub>	3.81	-	-	4.19	4.03
C	a	3.57	3.54	3.54	3.53	3.54
	B	442	470	436	466	453
	E <sub>c</sub>	7.37	10.13	8.96	8.90	8.81
Na	a	4.23	4.05	3.98	3.95	3.98
	B	6.9	9.2	8.7	8.8	9.2
	E <sub>c</sub>	1.11	1.44	1.28	1.22	1.22
Cu	a	3.60	3.52	3.56	-	3.57
	B	138	192	172	-	165
	E <sub>c</sub>	3.50	4.29	4.24	-	4.37

a (Å)      B(GPa)      E<sub>c</sub>(eV)

# Conclusions

- Within the pseudopotential framework, many different choices of basis:
  - PW
  - Real space grids
  - Localized basis sets
- Plane waves (PW):
  - Asymptotically complete with systematic convergence.
  - Easy to implement
  - Not suited for Order-N
- Atomic orbitals:
  - No systematic convergence.
  - From “quick and dirty” to highly converged
  - Order-N

# Different schemes to double the basis set

- **Quantum Chemistry: Split Valence**

$$\phi_{\mu}^{CGF}(\vec{r}) = \sum_i c_{i,\mu} \phi_i(\zeta_i, \vec{r})$$

Slowest decaying (most extended) gaussian ( $\phi$ )

- **Nodes:**

Use **excited states** of atomic calculations

Orthogonal, asymptotically complete but inefficient

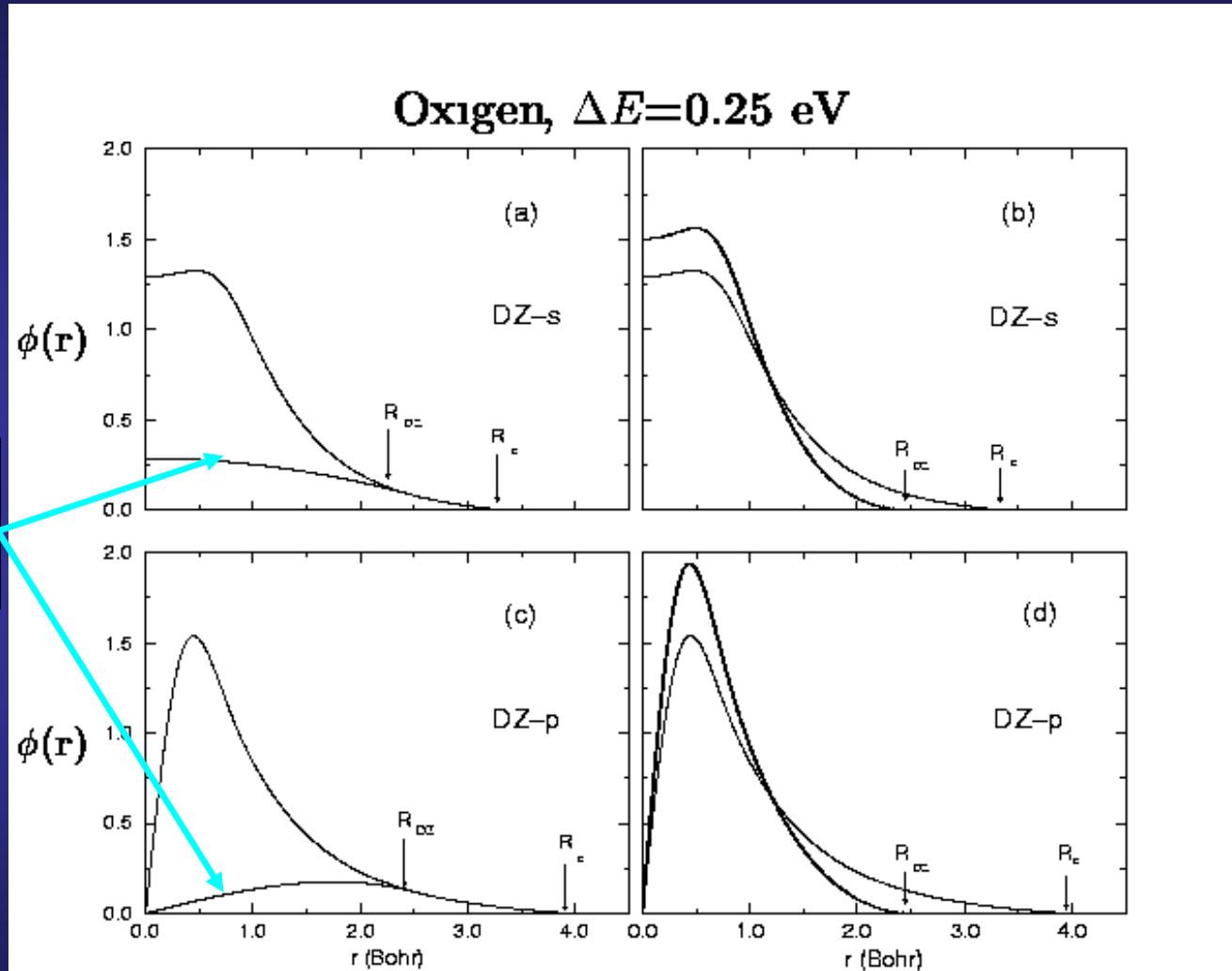
Only works for tight confinement

- **Chemical hardness:**

Derivative of the first- $\zeta$  respect **the atomic charge**.

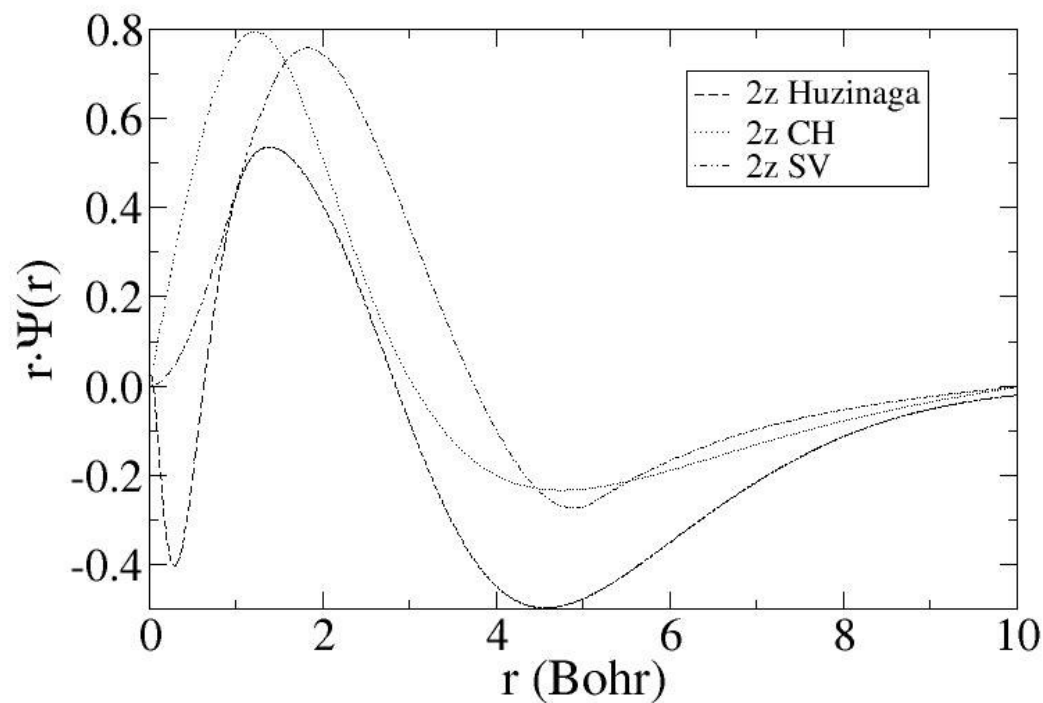
- **SIESTA:** extension of the Split Valence to NAO.

# Split valence in NAO formalism



$$r^l(a-br^2)$$

# Split valence - Chemical hardness



- Similar shapes

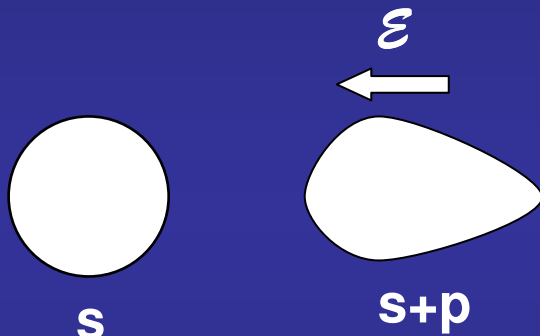
- **SV: higher efficiency**  
(radius of second- $\zeta$  can be restricted to the inner matching radius)

E. Anglada, J. Junquera, J. M. Soler, E. Artacho,  
Phys. Rev. B 66, 205101 (2002)

# Two different ways of generate polarization orbitals

## Perturbative polarization

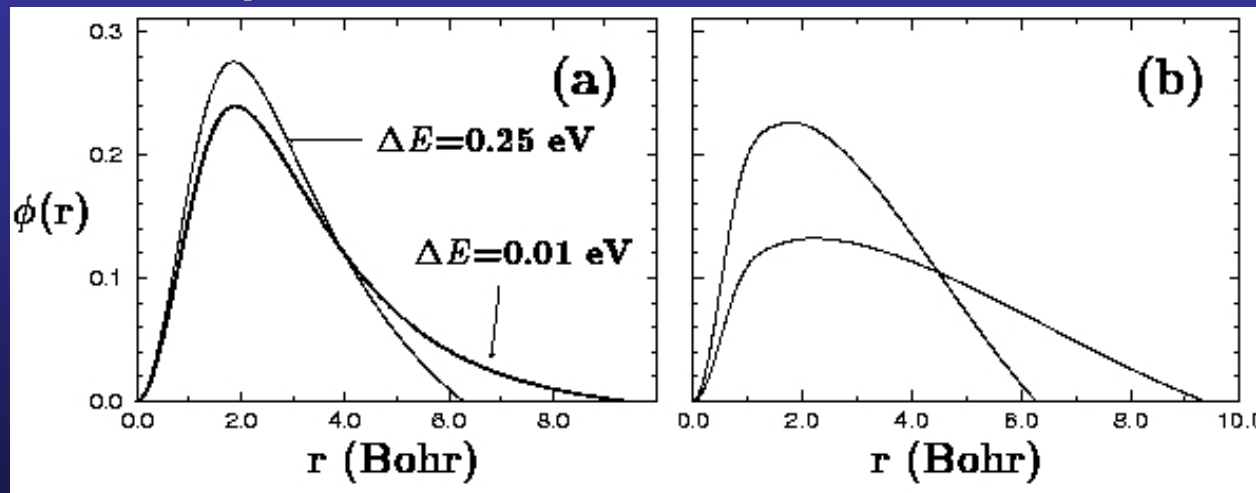
Apply a **small electric field** to the orbital we want to polarize



## Atomic polarization

Solve **Schrödinger equation** for **higher angular momentum**

unbound in the free atom  $\Rightarrow$   
require short cut offs

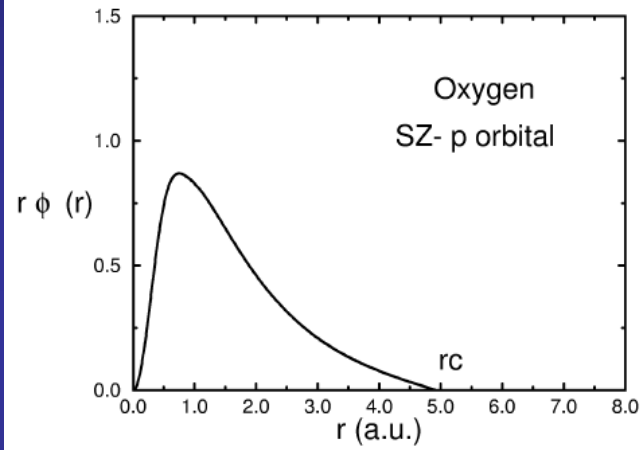


Si 3d  
orbitals



# Energy shift: cutting the orbitals in a balance way

$$\left( -\frac{1}{2r} \frac{d^2}{dr^2} r + \frac{l(l+1)}{2r^2} + V_l(r) \right) \phi_l(r) = (\epsilon_l + \delta\epsilon_l) \phi_l(r)$$



## A single parameter for all cutoff radii

E. Artacho *et al.*, Phys. Stat. Solidi (b) 215, 809 (1999)

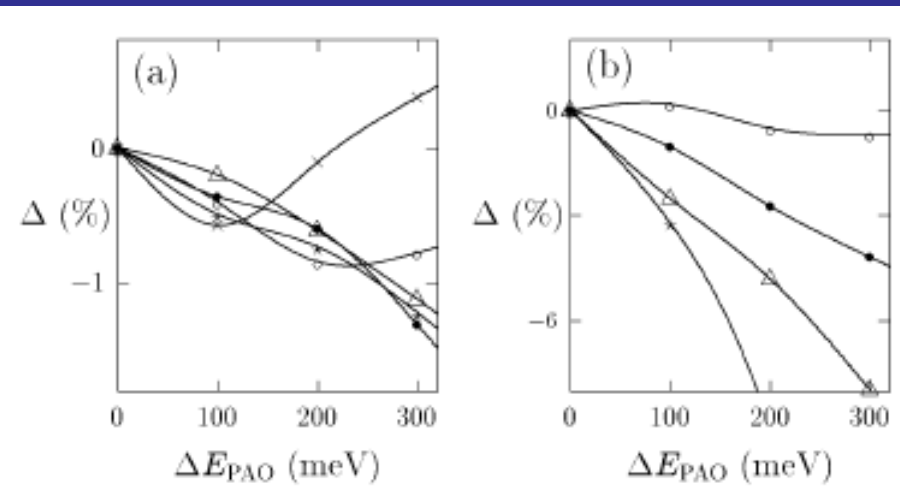
## Convergence vs Energy shift of Bond lengths Bond energies

### Fireballs

O. F. Sankey & D. J. Niklewski,  
Phys. Rev. B 40, 3979 (1989)

**But:**

A different cut-off radius  
for each orbital



## Transferability: $\alpha$ -quartz

	Exp <sup>a</sup>	PW <sup>b</sup>	PW <sup>c</sup>	PW <sup>d</sup>	PW <sup>e</sup>	DZP
a(Å)	4.92	4.84	4.89	4.81	4.88	4.85
c(Å)	5.41	5.41	5.38	5.32	5.40	5.38
d <sup>1</sup> <sub>Si-O</sub> (Å)	1.605	1.611	1.60	1.605	-	1.611
d <sup>1</sup> <sub>Si-O</sub> (Å)	1.614	1.617	1.60	1.605	-	1.611
$\alpha_{\text{Si-O-Si}}$ (deg)	143.7	140.2	-	139.0	-	140.0

Si basis set optimized in c-Si

O basis set optimized in water molecule

a Levien *et al*, Am. Mineral, 65, 920 (1980)

b Hamann, Phys. Rev. Lett., 76, 660 (1996)

c Sautet (using VASP, with ultrasoft pseudopotential)

d Rignanese *et al*, Phys. Rev. B, 61, 13250 (2000)

e Liu *et al*, Phys. Rev. B, 49, 12528 (1994) (ultrasoft pseudopotential)

System	Basis	Properties		
MgO		a (Å)	B(GPa)	E <sub>c</sub> (eV)
	Transfer	4.13	157	11.81
	Opt	4.10	167	11.87
	PW	4.10	168	11.90
	Exp	4.21	152	10.30
Graphite		a (Å)	c (Å)	ΔE(meV)
	Transfer	2.456	6.50	38
	Exp	2.456	6.674	23
H <sub>2</sub> O		d <sub>O-H</sub> (Å)	θ <sub>H-O-H</sub> (deg)	E <sub>b</sub> (eV)
	Transfer	0.975	105.0	12.73
	Opt	0.972	104.5	12.94
	PW	0.967	105.1	13.10
	LAPW	0.968	103.9	11.05
	Exp	0.958	104.5	10.08