# Linear-scaling, tensorially invariant, self-consistent projector constrained Density Functional Theory in ONETEP

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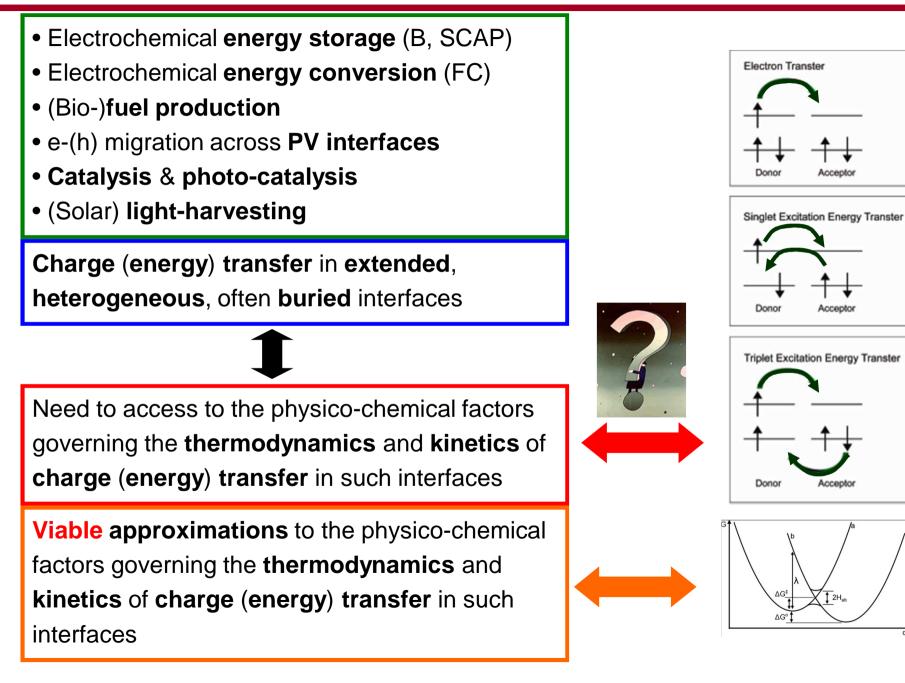




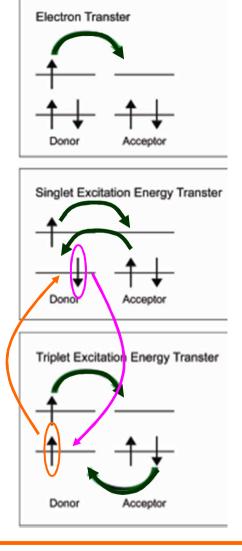
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Pioneering research and skills

### Motivation: need of atomic-level insight in energy materials & interfaces

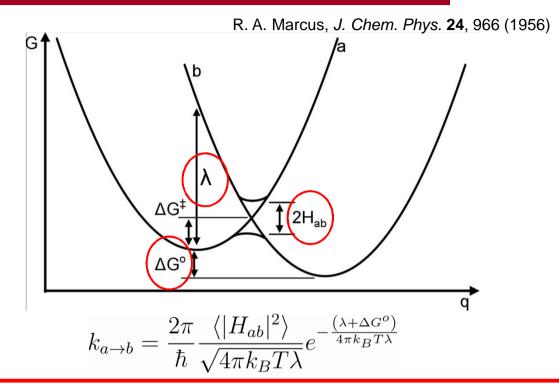


#### Electron coupling and e-, h-, energy-transfer (in condensed phases)



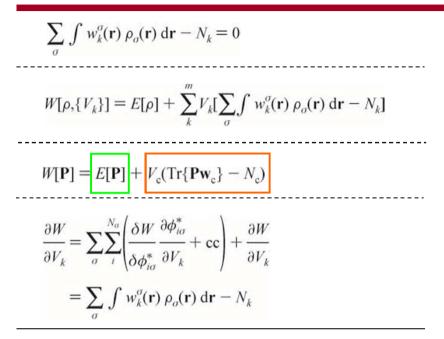
#### $S \leftrightarrow T$ inter-system crossing

Acc. Chem. Res. 42, 509 (2009)



- Selectively localise e/h/e-h pair on 'a' and 'b'
- Optimise (the geometry of the) system on the 'a' and 'b' diabatic) electronic potential energy surfaces  $\rightarrow$  evaluate  $\Delta G^{o}$ ,  $\lambda$
- $\bullet$  Approximate many-body electronic wave-functions  $\Psi_{a},\,\Psi_{b}$
- Approximate non-adiabatic coupling  $H_{ab} = \langle \Psi_a | H_{el} | \Psi_b \rangle$ ( $H_{el}$  is not diagonal in the {a,b} diabatic representation)

#### Constrained-DFT [and (approximated) diabatic states: $\tau_{ij} = \langle \psi_i | \nabla_R \psi_j \rangle = 0; \quad \nabla \times \tau = \tau \times \tau$ ]



$$\frac{\partial^2 W}{\partial V_k \partial V_l} = \sum_{\sigma} \sum_{i}^{N_{\sigma}} \int w_k^{\sigma}(\mathbf{r}) \, \phi_{i\sigma}^*(\mathbf{r}) \frac{\delta \phi_{i\sigma}(\mathbf{r})}{\delta [V_l \, w_l^{\sigma}(\mathbf{r}')]} w_l^{\sigma}(\mathbf{r}') \, \mathrm{d}\mathbf{r} \, \mathrm{d}\mathbf{r}' + \mathrm{cc}$$
$$= \sum_{\sigma} \sum_{i}^{N_{\sigma}} \int w_k^{\sigma}(\mathbf{r}) \, \phi_{i\sigma}^*(\mathbf{r}) \sum_{a \neq i} \frac{\phi_{a\sigma}^*(\mathbf{r}') \, \phi_{i\sigma}(\mathbf{r}'')}{\epsilon_{i\sigma} - \epsilon_{a\sigma}} \phi_{a\sigma}(\mathbf{r})$$
$$w_l^{\sigma}(\mathbf{r}') \, \mathrm{d}\mathbf{r} \, \mathrm{d}\mathbf{r}' + \mathrm{cc}$$
$$= \frac{N_{\sigma}}{2} \sum_{i}^{N_{\sigma}} \sum_{\sigma} \frac{\langle \phi_{i\sigma} | w_k^{\sigma} | \phi_{a\sigma} \rangle \langle \phi_{i\sigma} | w_l^{\sigma} | \phi_{a\sigma} \rangle}{k_i^{\sigma} | \phi_{a\sigma} \rangle}$$

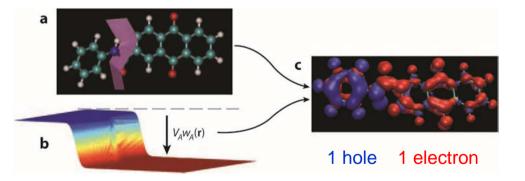
$$=2\sum_{\sigma}\sum_{i}^{N_{\sigma}}\sum_{a>N_{\sigma}}\frac{\langle\phi_{i\sigma}|w_{k}^{\circ}|\phi_{a\sigma}\rangle\langle\phi_{i\sigma}|w_{l}^{\circ}|\phi_{a\sigma}\rangle}{\epsilon_{i\sigma}-\epsilon_{a\sigma}}$$
(6)

 $\nabla_{\mathbf{A}}W = \nabla_{\mathbf{A}}E + V_{\mathbf{c}}\sum_{\lambda\nu}P_{\lambda\nu}\nabla_{\mathbf{A}}W_{\mathbf{c}\lambda\nu}$ 

- 1. Add constrain on the (e) density [electron/spin-density localisation...]
- **2. Build a constrained functional W** [via the Lagrange multipliers  $V_k$ ]

3. Reformulate W in terms of the density matrix (P)

4. Maximize W (concave) WRT P & V<sub>k</sub>



#### 5. atomic forces

[various definition of w<sub>c</sub>: Löwdin, Becke, Bader, etc population analysis)]

B. Kaduk et al. Chem. Rev 112, 321 (2012)

# Linear-scaling Density Functional Theory in ONETEP

- State-of-the art linear-scaling DFT code, <u>capable of treating tens</u> of thousands of atoms.
- Reformulates Kohn-Sham DFT in terms of the single-particle density matrix.
- Uses localized functions (NGWFs or Non-orthogonal Generalized Wannier Functions).
- Linear scaling is achieved by exploiting
  - the sparsity of the density kernel, and
  - the exponential decay of the density matrix.
  - ... by the introduction of spatial cutoffs for the kernel and the NGWFs.
- Achieves near-complete basis set accuracy.
- Fully parallel, portable.

$$\rho\left(\mathbf{r},\mathbf{r}'\right) = \sum_{\alpha\beta} \phi_{\alpha}\left(\mathbf{r}\right) K^{\alpha\beta} \phi_{\beta}^{*}\left(\mathbf{r}'\right)$$

$$\rho\left(\mathbf{r},\mathbf{r}'\right) \to 0 \text{ as } |\mathbf{r}-\mathbf{r}'| \to \infty$$

$$\phi_{\alpha}(\mathbf{r}) = \sum_{i} D_{i}(\mathbf{r}) C_{i,\alpha}$$

psinc functions, equivalent to plane waves

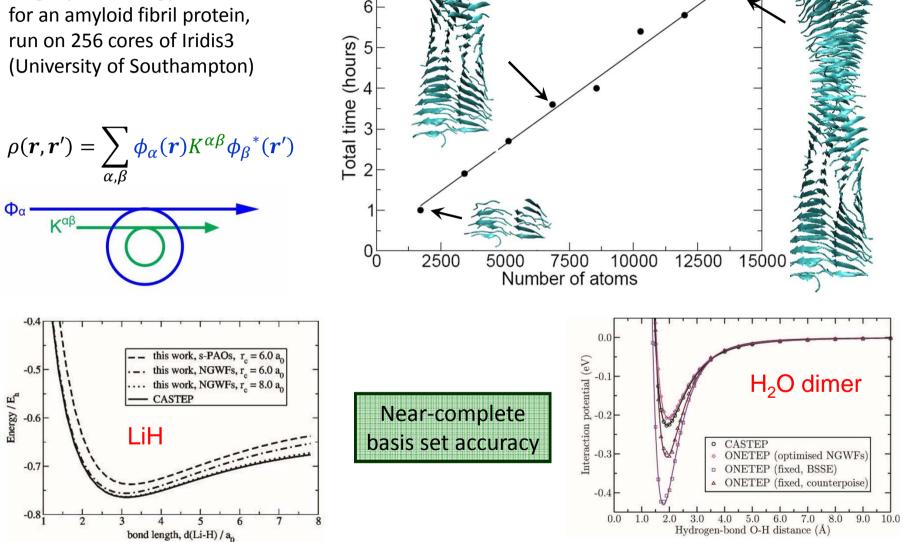
C.-K. Skylaris, P. D. Haynes, A. A. Mostofi and M. C. Payne, J. Chem. Phys. 122, 084119 (2005)

#### Linear-scaling Density Functional Theory in ONETEP

# www.onetep.org

Single-point energy calculation for an amyloid fibril protein, run on 256 cores of Iridis3 (University of Southampton)

Energy / E<sub>h</sub>



a) Comp. Phys. Comm. 180, 1041 (2009),b) Phys. Rev. B 66, 035119 (2002)

#### Projector constrained-DFT in ONETEP

**1.** For each spin-channel  $\sigma$ , and cDFT-site *I*, augment the DFT energy by the difference from the **targeted electronic population** [( $\Delta$ )N<sub>(I)( $\sigma$ )</sub>] times the **constraining potential** (U<sub>q/s</sub>)

$$E_{cDFT} = E_{DFT} + \sum_{I=1}^{N_{sites}} \sum_{\sigma=1}^{2} \underbrace{U_q^{(I)(\sigma)}}_{q} \left( Tr \left[ n^{(I)(\sigma)} \right] - \underbrace{N_{(I)(\sigma)}}_{I} \right) + \sum_{I=1}^{N_{sites}} \underbrace{U_s^{(I)}}_{s} \left( Tr \left[ n^{(I)(\uparrow)} \right] - Tr \left[ n^{(I)(\downarrow)} \right] - \underbrace{\Delta N_{(I)}}_{I} \right)$$

where the tensorially invariant<sup>1</sup> subspace occupancy of the *I*<sup>th</sup> cDFT-site reads:

$$n^{(I)(\sigma)} = n^{(I)(\sigma)m}{}_{m'} = O^{(I)mm''} \langle \varphi_{m''}^{(I)} \mid \phi_{\alpha} \rangle K^{(\sigma)\alpha\beta} \langle \phi_{\beta} \mid \varphi_{m'}^{(I)} \rangle$$

with

$$O_{mm'}^{(I)} = \langle \varphi_m^{(I)} \mid \varphi_{m'}^{(I)} \rangle, \qquad \mid \varphi^{(I)m} \rangle = \mid \varphi_{m'}^{(I)} \rangle O^{(I)m'm}, \qquad O_{mm''}^{(I)} O^{(I)m''m'} = \delta_m^{m'}$$

**2.** Augment ( $\sigma$ -dependent) DFT Hamiltonian with ( $\sigma$ -dependent) cDFT contributions, calculated as derivative of the cDFT correction with respect to an arbitrary density Kernel:

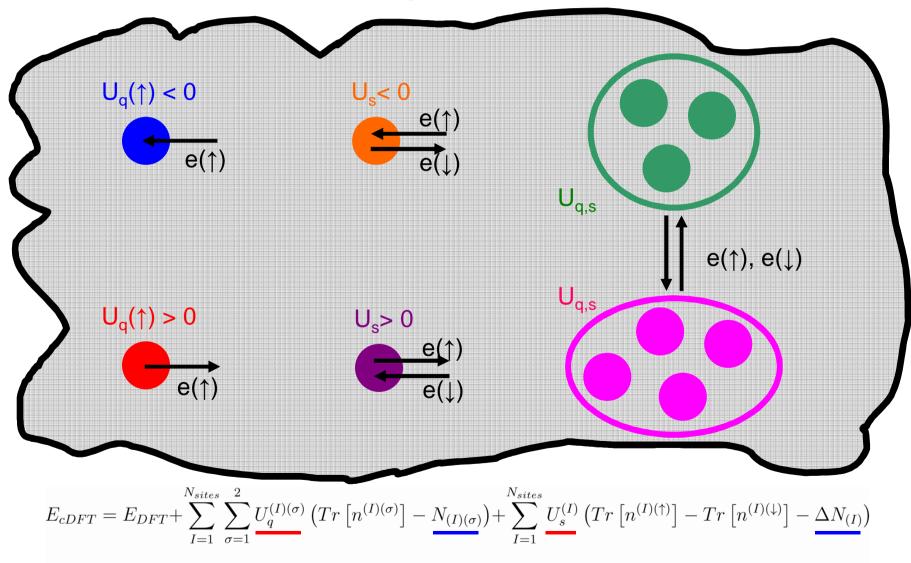
$$H_{\beta\alpha}^{cDFT(\sigma)} = \left[\underline{U_q^{(\sigma)}} + (-1)^{1+\sigma} \underline{U_s}\right] \left[\frac{\partial n^m {m^{(\sigma)}}}{\partial K^{\alpha\beta(\sigma)}}\right] = \left[\underline{U_q^{(\sigma)}} + (-1)^{1+\sigma} \underline{U_s}\right] \left[V_{\beta m} O^{mm''} W_{m''\alpha}\right]$$

$$V_{\beta m} = \langle \phi_{\beta} \mid \varphi_{m} \rangle, \qquad W_{m''\alpha} = V_{\alpha m''}^{\dagger} = \langle \varphi_{m''} \mid \phi_{\alpha} \rangle$$

[1] a) D. D. O'Regan *et al.*, *Phys. Rev. B* 82, 081102 (2010); b) D. D. O'Regan *et al.*, *ibid.* 83, 245124 (2011);
c) D. D. O'Regan *et al.*, *ibid.* 85, 085108 (2012).

### So, what are we doing in practice?

...(just) adding attractive/repulsive potentials to **constrain** subspace **populations**, **population differences**, and/or **magnetic moments** (**differences**)



#### Choosing the projectors for the cDFT-subspaces

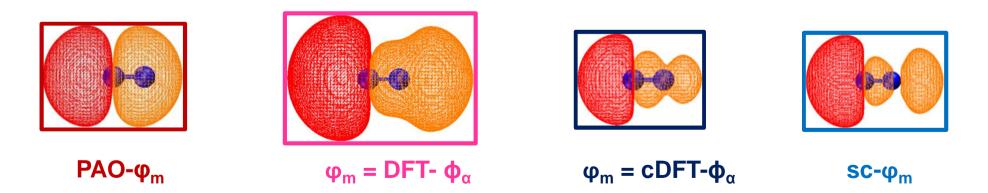
• The cDFT functional is constructed using the occupancy matrix (*n*) of the localised cDFT-projectors  $\varphi_m$ 

 $n^{(I)(\sigma)} = n^{(I)(\sigma)m}{}_{m'} = O^{(I)mm''} \langle \varphi_{m''}^{(I)} \mid \phi_{\alpha} \rangle K^{(\sigma)\alpha\beta} \langle \phi_{\beta} \mid \varphi_{m'}^{(I)} \rangle$ 

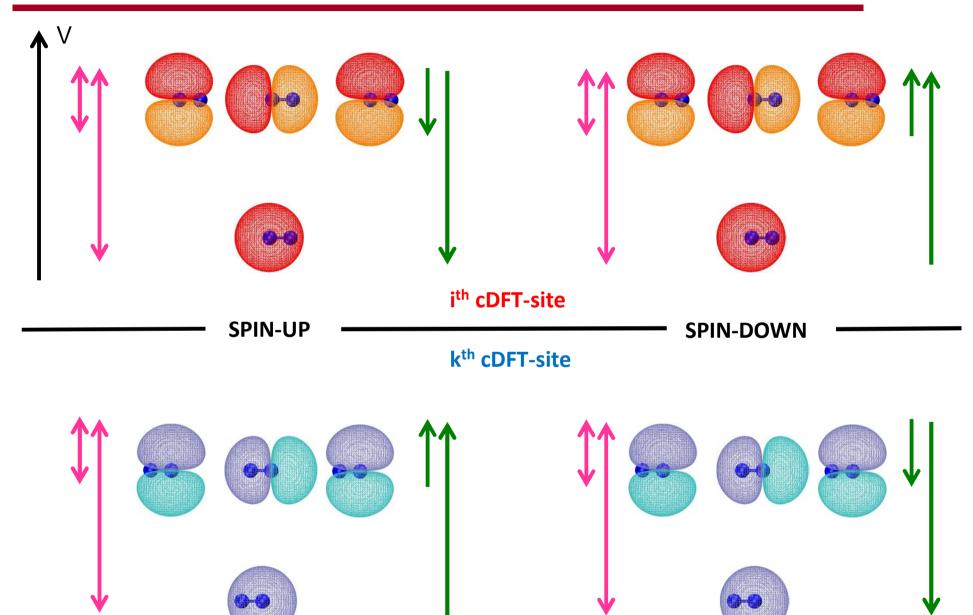
 $O_{mm'}^{(I)} = \langle \varphi_m^{(I)} \mid \varphi_{m'}^{(I)} \rangle, \qquad \mid \varphi^{(I)m} \rangle = \mid \varphi_{m'}^{(I)} \rangle O^{(I)m'm}, \qquad O_{mm''}^{(I)} O^{(I)m''m'} = \delta_m^{m'}$ 

#### • What to use as cDFT-projectors?

LCAO basis function, valence pseudo-orbitals, hydrogenic wavefunctions, Maximally Localised Wannier Function (MLWF), in situ optimised DFT-NGWFs, in situ optimised cDFT-NWGFs, self-consistent cDFT-NGWFs?

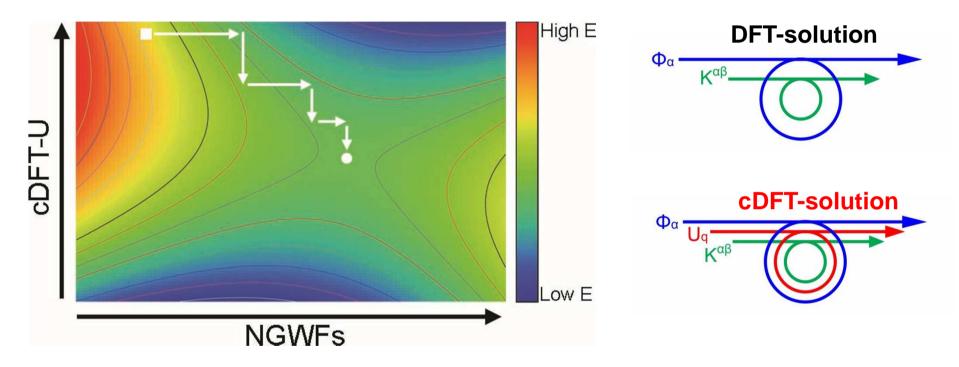


# Choosing between the implemented (8x2x2=32) flavours of cDFT



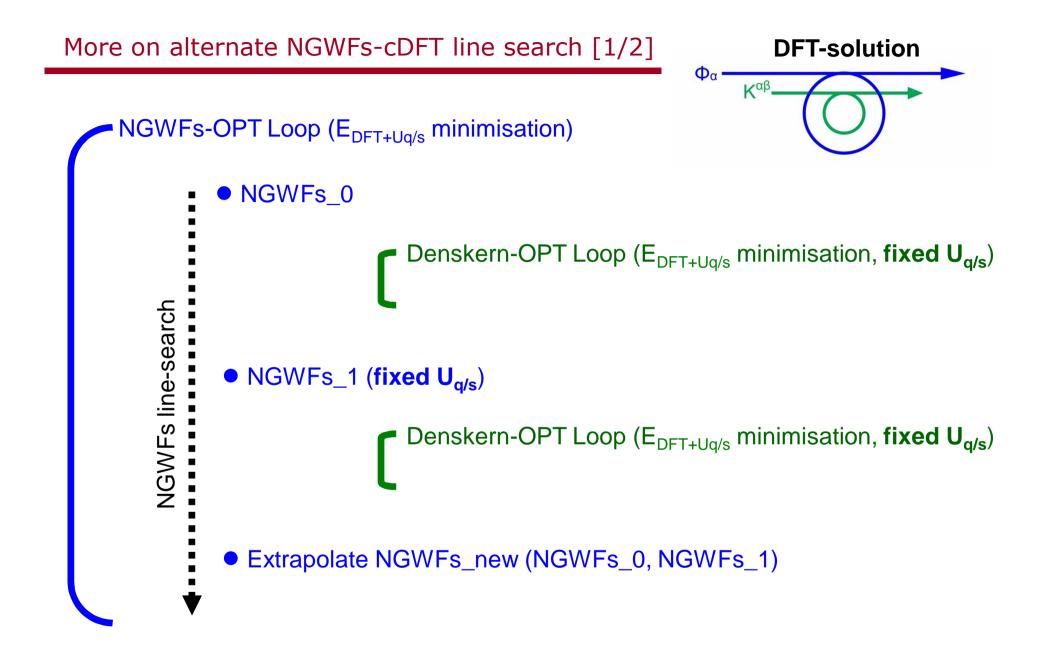
#### How to optimise the cDFT-potentials with just one NGWFs-optimisation...

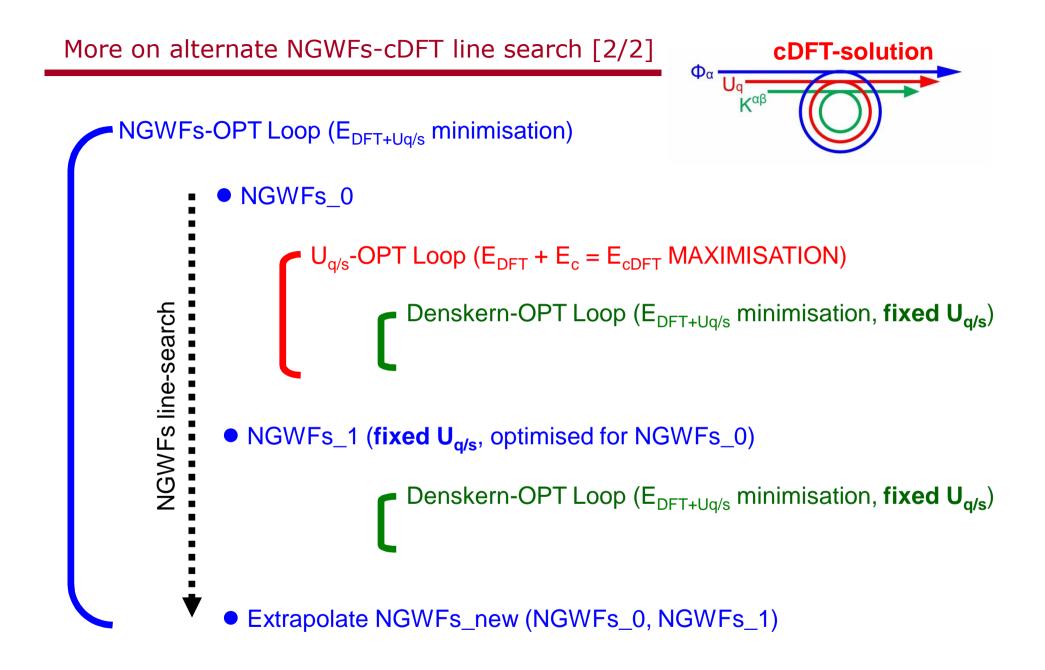
- Kohn-Sham DFT: minimum of  $E_{DFT}$  with respect to NGWFs for idempotent  $K^{\alpha\beta}$
- cDFT: maximum of  $E_{cDFT}$  with respect to constraining potentials ( $U_{q/s}$ )



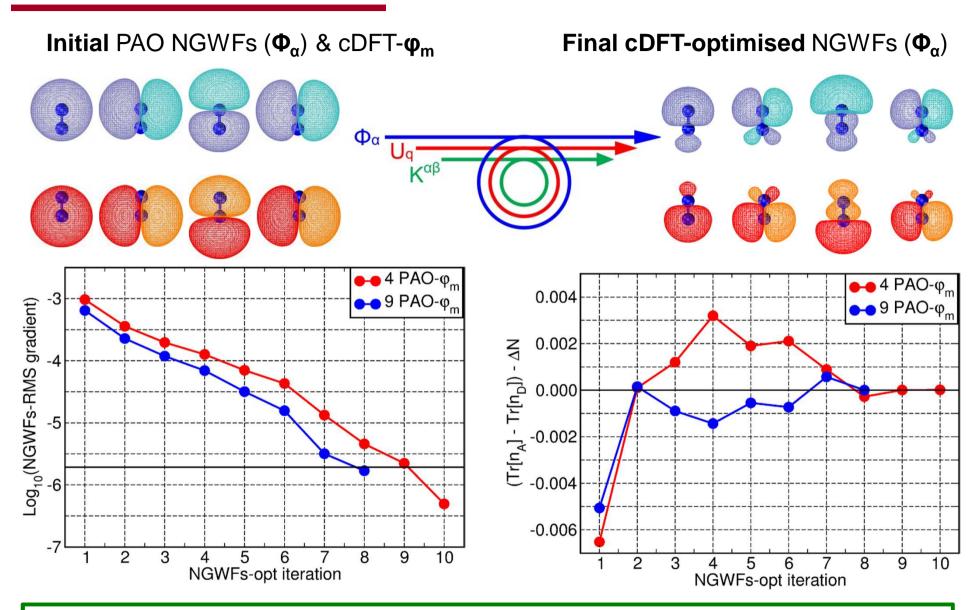
• Can the problem be solved by alternating NWGFs and  $U_{q/s}$  optimisation steps? (having 'only'  $\partial E_{cDFT} / \partial \Phi_{\alpha}$ ,  $\partial E_{cDFT} / \partial K^{\alpha\beta}$ , and  $\partial E_{cDFT} / \partial U_{q/s}$  available)

$$\frac{\partial E_{cDFT}}{\partial U_s^{(I)}} = Tr\left[n^{(I)(\uparrow)}\right] - Tr\left[n^{(I)(\downarrow)}\right] - \Delta N_{(I)} \qquad \frac{\partial E_{cDFT}}{\partial U_q^{(I)(\sigma)}} = Tr\left[n^{(I)(\sigma)}\right] - N_{(I)(\sigma)}$$

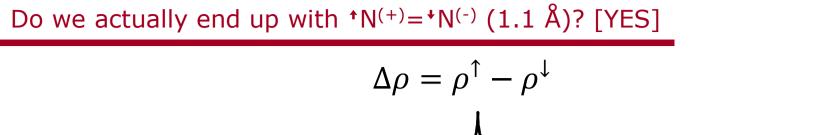


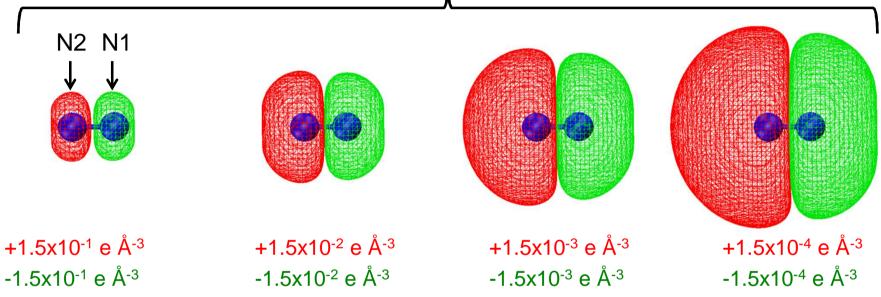


In action on  $N^{(+)}=N^{(-)}$  (1.1 Å)

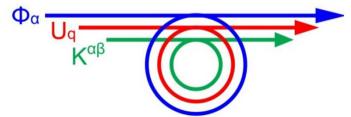


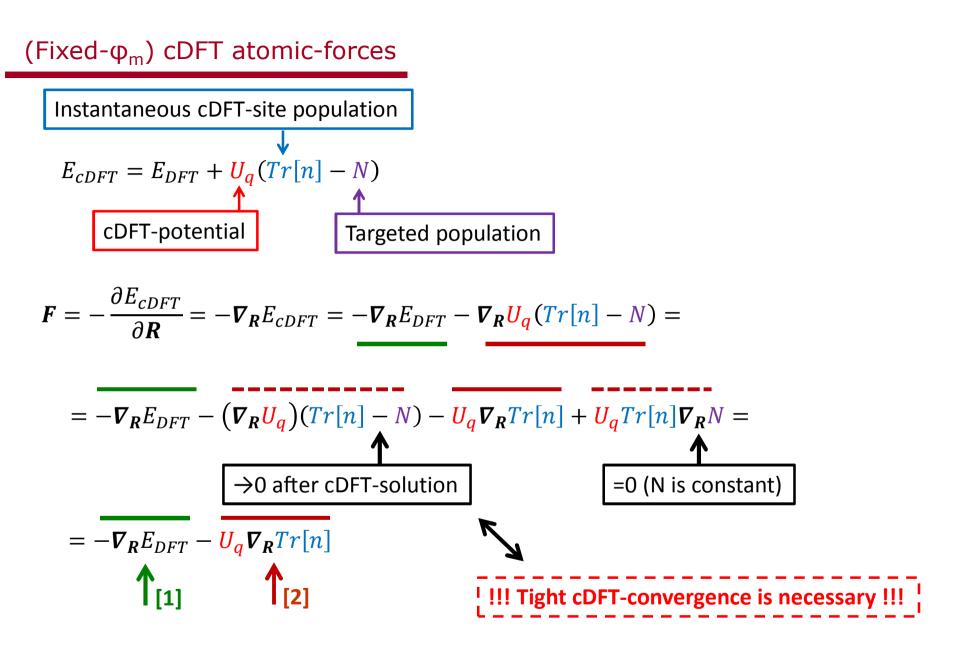
**Fast convergence** within the requested 2x10<sup>-6</sup> (NGWFs-RMS) and 10<sup>-5</sup> (cDFT-RMS) thresholds





- Noticeably sharp separation of  $\rho^{\uparrow}$  and  $\rho^{\downarrow}$  in spite of 5Å-radius NGWFs and PAO- $\phi_{m}$
- How is it possible? Because  $K^{\alpha\beta}$ , the NGWFs  $\{\varphi_{\alpha}\}$ , and  $U_{q}$  have **been optimised for the** given cDFT-problem.

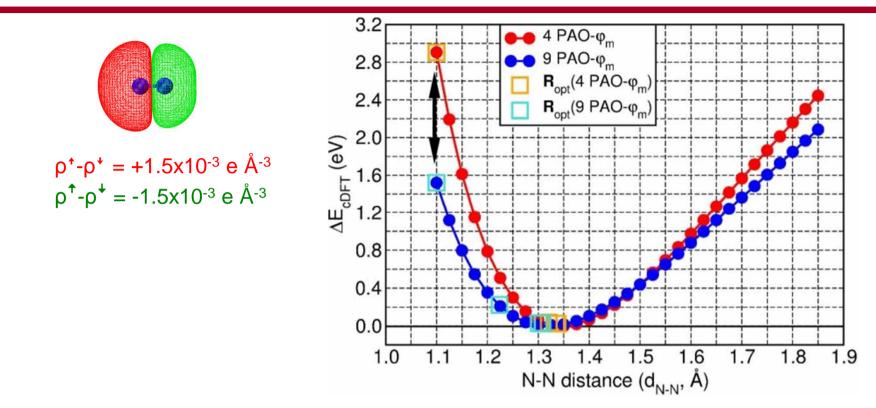




[1] a) N. D. M. Hine et al., Phys. Rev. B 83, 195102 (2011);

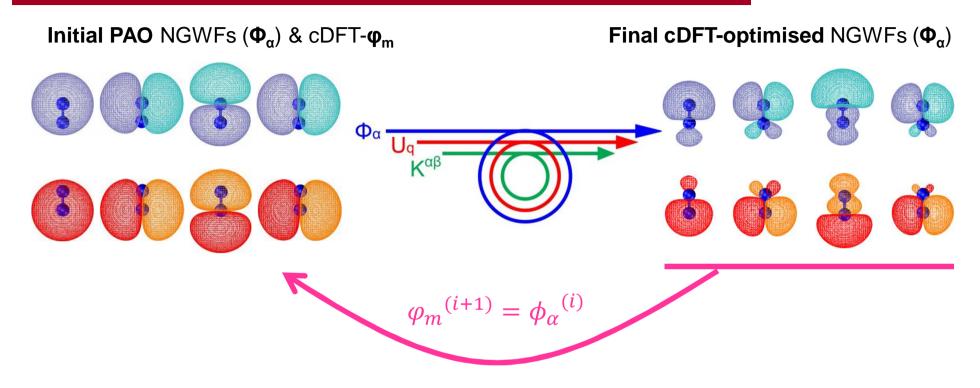
- b) A. Ruiz-Serrano et al., J. Chem. Phys. **136**, 234101 (2012).
- [2] D. D. O'Regan et al., Phys. Rev. B 85, 085107 (2012) and references therein.

#### (Fixed- $\phi_m$ ) cDFT atomic-forces and geometry optimisation for N<sup>(+)</sup>=N<sup>(-)</sup>



- Fast-convergence of BFGS optimisation algorithm: F<sub>max</sub> <0.01 eV/Å in 4 BFGS iterations
- Spin-decoupling of two  $\pi$ -electrons in  ${}^{*}N^{(+)} = {}^{*}N^{(-)} \rightarrow$  elongation of optimum bond-distance
- 4 PAO- $\phi_m$ : 1.10 Å  $\rightarrow$  1.35 Å
- 9 PAO- $\phi_m$ : 1.10 Å  $\rightarrow$  1.33 Å
- Different set of cDFT-projectors ( $\phi_m$ )  $\rightarrow$  different constraints  $\rightarrow$  different cDFT-solutions
- How to reduce cDFT-ambiguities?

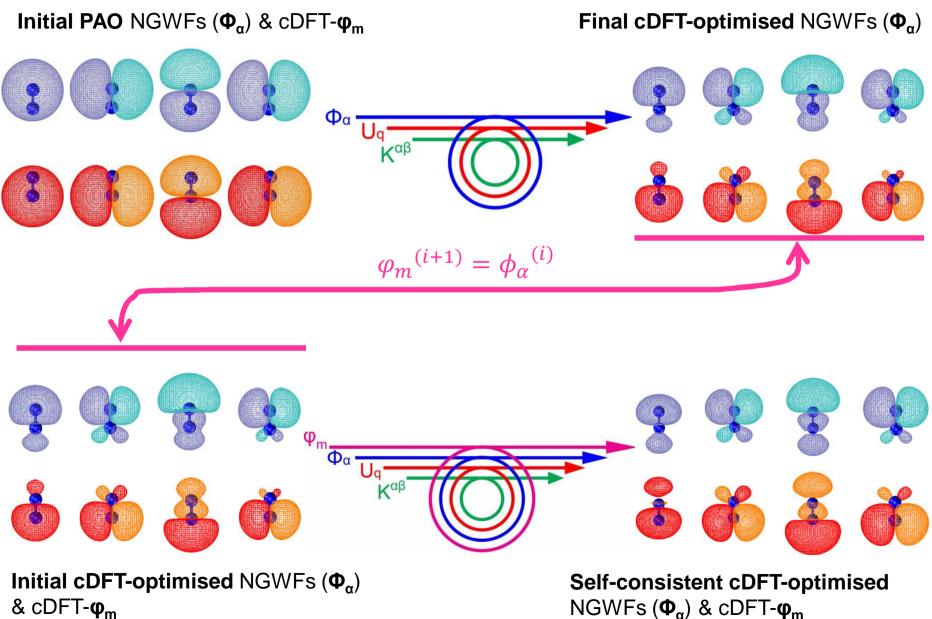
### Optimised cDFT-NGWFs ( $\Phi_a$ ) as new cDFT-projectors ( $\phi_m$ )



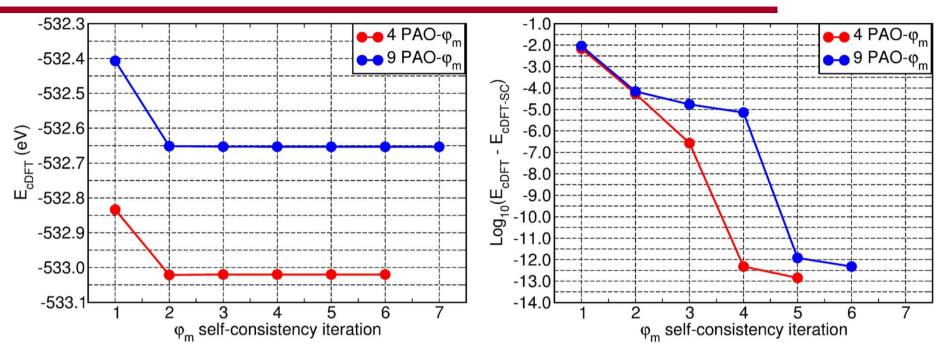
•Use cDFT-optimised NGWFs ( $\phi_{\alpha}$ ) at iteration (i) as new cDFT-projectors ( $\phi_{m}$ ) for iteration (i+1), and re-solve the cDFT problem by optimising the cDFT-NGWFs ( $\phi_{\alpha}$ ) for iteration (i+1).

• Iterate until  $E_{cDFT}$  (i.e.  $\phi_{\alpha}$ ,  $K^{\alpha\beta}$ , and  $\phi_m$ ) do not change within given threshold.

### Optimised cDFT-NGWFs ( $\Phi_a$ ) as new cDFT-projectors ( $\phi_m$ )

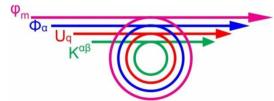


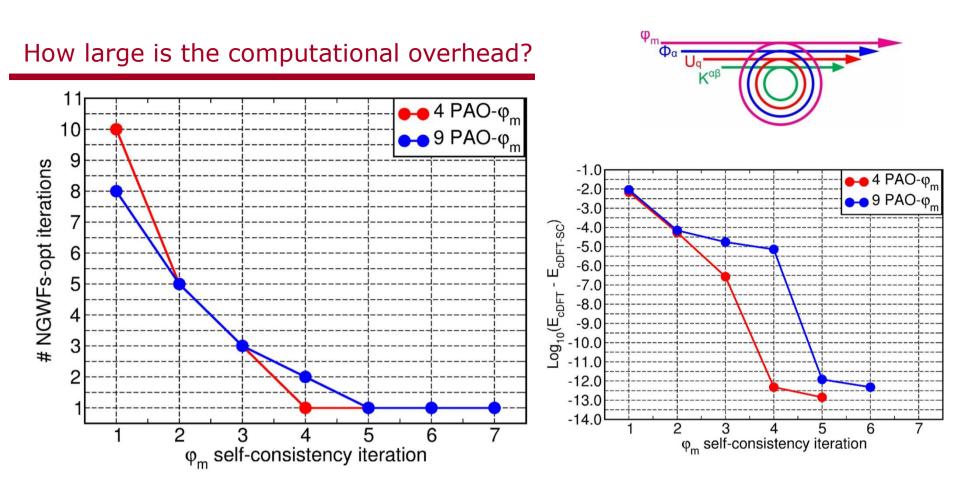
& cDFT-φ<sub>m</sub>



#### How fast/tight is the convergence of the cDFT-projectors ( $\phi_m$ )?

- Fast convergence (≤7 iterations), even for a tightly-constrained problem [N-N: 1.35 Å (1.33 Å)]
- Tight convergence (≤10<sup>-12</sup> eV), even for reasonable kinetic-energy cutoffs (1000 eV)
- As the cDFT-projectors ( $\phi_m$ ) reach self-consistency, energy of cDFT-solution is lowered
- Best cDFT-projectors as those yielding the lowest-energy cDFT solution [for the same targeted constraint]





• 4 PAO- $\phi_m$ . 1<sup>st</sup> cDFT-solution: **10** NWGFS-opt iterations; sc- $\phi_m$  procedure: **12** 

• 9 PAO- $\phi_m$ . 1<sup>st</sup> cDFT-solution: 8 NGWFs-opt iterations; sc- $\phi_m$  procedure: 13

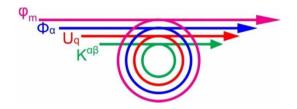
• ~x2 increase of computation cost, for a convergence tighter than 10<sup>-12</sup> eV

• ~x0.5 increase of computation cost, for a convergence tighter than 10<sup>-4</sup> eV

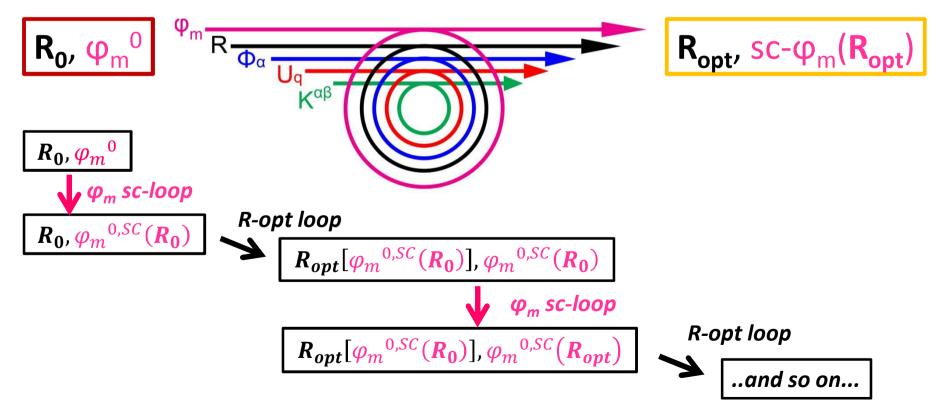
# Self-consistency of system-geometry (**R**) and cDFT-projectors ( $\phi_m$ )

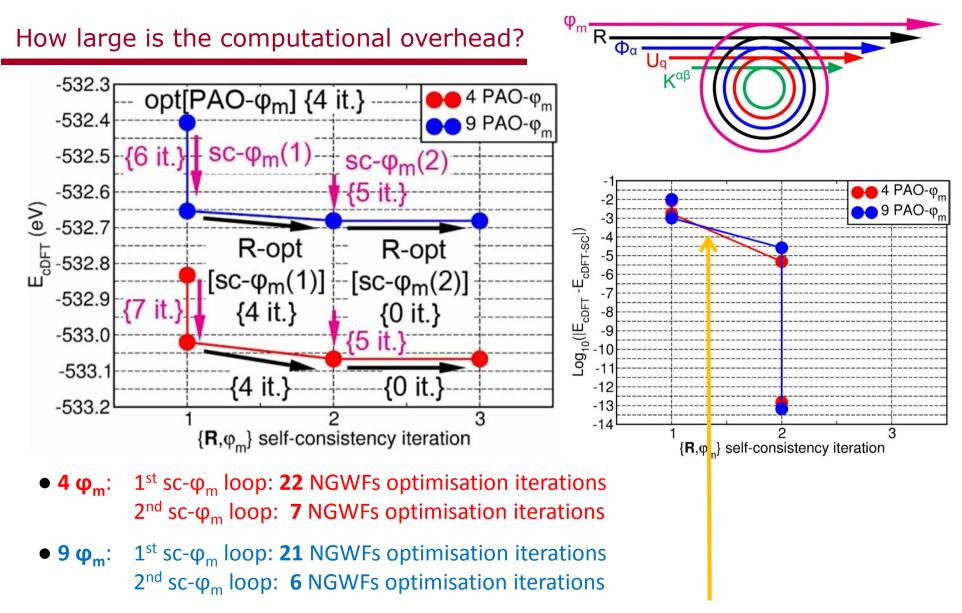
• sc-cDFT-projectors (sc- $\phi_m$ ) depend on system-geometry **R** 





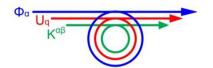
 'Solution': perform optimisation of both φ<sub>m</sub> and R, alternating self-consistency cDFT-projector (φ<sub>m</sub>) optimisation (at fixed-R) and geometry (R) optimisation (with fixed-sc-φ<sub>m</sub>) loops.

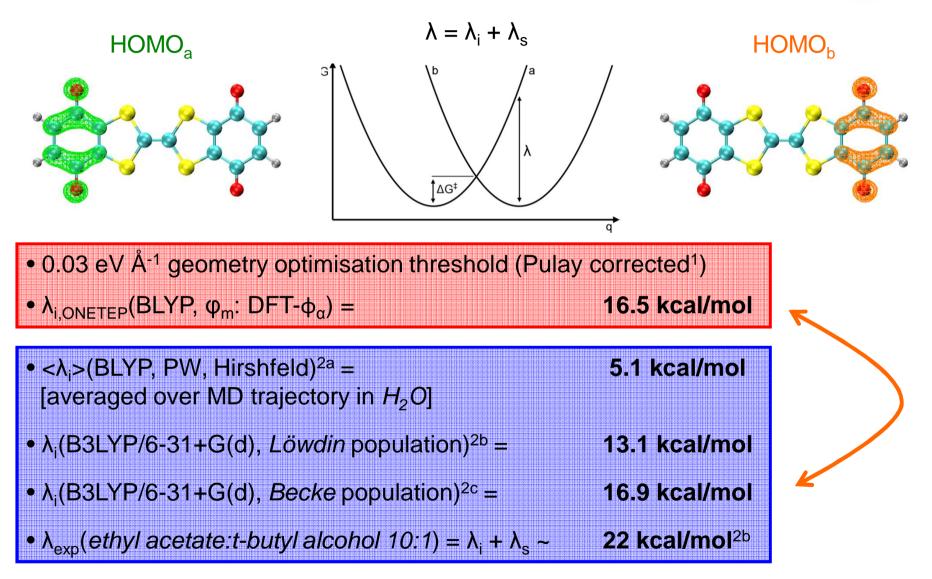




 Largest computational overhead from extra R<sub>opt</sub> loop (4 BFGS-iterations) [if interested in improving convergence of E<sub>cDFT</sub> from 10<sup>-3</sup> to 10<sup>-5</sup> eV]

#### Intra-molecular e-transfer in Q-TTF-Q<sup>(-)</sup>





[1] A. Ruiz-Serrano *et al.*, *J. Chem. Phys.* 136, 234101 (2012);
[2] a) H. Oberhofer *et al.*, *J. Chem. Phys.* 133, 244105 (2010);
b) Q. Wu *et al.*, *J. Phys. Chem. A* 110, 9212 (2006);
c) Q. Wu *et al.*, *J. Phys. Chem.* 125, 164105 (2006)

