

Auxiliary-Field Conjugate-Gradient Calculation of Electronic Structures in Density Functional Theory

5/27/92

S. Kohn-Sham Scheme

$$E[\{\psi_i(r)\}] = \sum_i \int d\mathbf{r} \psi_i^*(\mathbf{r}) \left(-\frac{\hbar^2}{2m_e} \nabla^2 \right) \psi_i(\mathbf{r}) + \int d\mathbf{r} n(\mathbf{r}) V_{\text{ext}}(\mathbf{r}) \\ + \frac{1}{2} \int d\mathbf{r} n(\mathbf{r}) V_H(\mathbf{r}) + E_{xc}[n(\mathbf{r})] \quad (1)$$

$$\{n(\mathbf{r}) = \sum_i |\psi_i(\mathbf{r})|^2\} \quad (2)$$

$$\nabla^2 V_H(\mathbf{r}) = -\frac{4\pi e^2}{\epsilon} n(\mathbf{r}) \quad (\text{with a proper boundary condition}) \quad (3)$$

In the Kohn-Sham scheme, we minimize the energy functional,
Eq. (1), with constraints,

$$\int d\mathbf{r} \psi_i^*(\mathbf{r}) \psi_j(\mathbf{r}) = \delta_{ij} \quad (4)$$

With a boundary condition where the Hartree field due to a point charge becomes zero at infinity, we can solve the Hartree field as

$$V_H(\mathbf{r}) = \int d\mathbf{r}' \frac{e^2}{\epsilon |\mathbf{r} - \mathbf{r}'|} n(\mathbf{r}') \quad (5)$$

(Eular-Lagrange Equation)

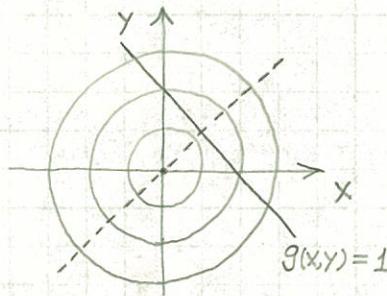
We minimize Eq.(1) with respect to $\psi_i(\mathbf{r})$ with constraints, Eq.(4), and using the Hartree field, Eq.(5),

$$\frac{\delta}{\delta \psi_i^*(\mathbf{r})} \left\{ E[\{\psi_i(\mathbf{r})\}] - \sum_{ij} \lambda_{ij} \left[\int d\mathbf{r} \psi_i^*(\mathbf{r}) \psi_j(\mathbf{r}) - \delta_{ij} \right] \right\} = 0 \quad (6)$$

where λ_{ij} are Lagrange multipliers.

- (example: Lagrange multiplier method)

Minimize $f(x,y) = x^2 + y^2$ with a constraint $g(x,y) = x+y=1$.



We instead minimize

$$f_\lambda(x,y) = f(x,y) - \lambda g(x,y)$$

i.e.,

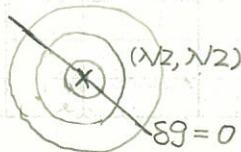
$$\begin{cases} \frac{\partial f_\lambda}{\partial x} = 2x - \lambda = 0 \\ \frac{\partial f_\lambda}{\partial y} = 2y - \lambda = 0 \end{cases} \rightarrow (x,y) = (\lambda/2, \lambda/2)$$

Let $(\delta x, \delta y)$ be an arbitrary displacement around $(\lambda/2, \lambda/2)$, then

$$\delta h_\lambda = \delta f - \lambda \delta g = 0 \quad \text{at } (\lambda/2, \lambda/2) \text{ for } \forall (\delta x, \delta y)$$

In particular, for a change which satisfies $\delta g = \delta x + \delta y = 0$, i.e.,

$$(\delta x, -\delta x), \quad \delta h_\lambda = \delta f = 0.$$



If we choose $\lambda = 1$, then $(1/2, 1/2)$ is a point around which $h_1(1/2 + \delta x, 1/2 + \delta y) = f(1/2 + \delta x, 1/2 + \delta y) - g(1/2 + \delta x, 1/2 + \delta y)$ is larger than $h_1(1/2, 1/2)$, including the direction $(\delta x, -\delta x)$ where $g(1/2 + \delta x, 1/2 - \delta x) = 1$ is always satisfied.

Substituting Eq. (1) in (6),

$$\begin{aligned}
 & -\frac{\hbar^2}{2m_*} \nabla^2 \psi_i(\mathbf{r}) + V_{\text{ext}}(\mathbf{r}) \psi_i(\mathbf{r}) + \underbrace{\frac{\delta}{8\psi_i^*(\mathbf{r})} \left[\frac{1}{2} \int d\mathbf{r} \int d\mathbf{r}' \frac{e^2}{\epsilon(|\mathbf{r}-\mathbf{r}'|)} n(\mathbf{r}) n(\mathbf{r}') + \frac{\delta E_{\text{xc}}}{8\psi_i^*(\mathbf{r})} \right]}_{\int d\mathbf{r}'' \frac{\delta n(\mathbf{r}'')}{8\psi_i^*(\mathbf{r})} \frac{\delta}{\delta n(\mathbf{r}')} \left[\frac{1}{2} \int d\mathbf{r} \int d\mathbf{r}' \frac{e^2}{\epsilon(|\mathbf{r}-\mathbf{r}'|)} n(\mathbf{r}) n(\mathbf{r}') + E_{\text{xc}} \right]} \\
 & \qquad \qquad \qquad \delta(\mathbf{r}-\mathbf{r}'') \psi_i(\mathbf{r}) \\
 & = \left[\int d\mathbf{r}' \frac{e^2}{\epsilon(|\mathbf{r}-\mathbf{r}'|)} n(\mathbf{r}') + \frac{\delta E_{\text{xc}}}{\delta n(\mathbf{r})} \right] \psi_i(\mathbf{r}) \\
 & - \sum_j \lambda_{ij} \psi_j(\mathbf{r}) = 0
 \end{aligned}$$

$$\underbrace{\left[-\frac{\hbar^2}{2m_*} \nabla^2 + V_{\text{ext}} + \int d\mathbf{r}' \frac{e^2}{\epsilon(|\mathbf{r}-\mathbf{r}'|)} n(|\mathbf{r}'|) + \frac{8E_{\text{xc}}}{8n(\mathbf{r})} \right]}_{\hat{H}_c(\mathbf{r})} \psi_i(\mathbf{r}) = \sum_j \lambda_{ij} \psi_j(\mathbf{r}) \quad (7)$$

$$\left\{ d\mathbf{l} \times \hat{\mathbf{r}}_k^*(\mathbf{r}) \right\} \times \mathbf{E}_q. (7)$$

$$\langle k | \hat{h} | i \rangle = \lambda_{ik} \quad (8)$$

After getting an orthonormal set, $\{\psi_i(r) | i=1, \dots, N\}$, which satisfy Eqs. (7) and (4), we can diagonalize the sub-space

Hamiltonian, Eq.(8).

$$\begin{bmatrix} \hat{h}_{11} & \dots & \hat{h}_{1N} \\ \vdots & \ddots & \vdots \\ \hat{h}_{NN} & \dots & \hat{h}_{NN} \end{bmatrix} \begin{bmatrix} u_1^{(1)} \\ \vdots \\ u_N^{(1)} \end{bmatrix} = \begin{bmatrix} \epsilon^{(1)} u_1^{(1)} \\ \vdots \\ \epsilon^{(N)} u_N^{(1)} \end{bmatrix} = \begin{bmatrix} u_1^{(1)} \\ \vdots \\ u_N^{(1)} \end{bmatrix} \begin{bmatrix} \epsilon^{(1)} & & & \\ & \ddots & & \\ & & \ddots & \\ & & & \epsilon^{(N)} \end{bmatrix} \quad (9)$$

i.e.,

$$\sum_k \hat{h}_{ik} u_k^{(j)} = \epsilon^{(j)} u_i^{(j)} = \sum_k u_i^{(k)} [\epsilon^{(k)} \delta_{kj}] \quad (10)$$

Since \hat{h}_{ik} is Hermitian, $\epsilon^{(j)}$ are real & $u_i^{(k)}$ can be unitary. Then, with a new set

$$\{\Psi_i(r) = \sum_j U_j^{(i)} \psi_j(r) \mid i=1,\dots,N\}, \quad (11)$$

$$\begin{aligned} \hat{h}(r) \Psi_i(r) &= \sum_j \underbrace{\hat{h}_j(r) U_j^{(i)}}_{\downarrow} \psi_j(r) \\ &= \sum_{jk} h_{kj} \psi_k(r) \\ &= \sum_k \epsilon^{(k)} U_k^{(i)} \psi_k(r) = \epsilon^{(i)} \Psi_i(r) \end{aligned} \quad (12)$$

Also, note that

$$\begin{aligned} \textcircled{1} \quad \sum_i |\Psi_i(r)|^2 &= \sum_{ijk} \underbrace{U_j^{(i)*} \psi_j^*(r)}_{U_i^{(j)*}} U_k^{(i)} \psi_k(r) \\ &= \sum_{jk} \delta_{jk} \psi_j^*(r) \psi_k(r) = \sum_i |\psi_i(r)|^2 \end{aligned} \quad (13)$$

$$\begin{aligned} \textcircled{2} \quad \int d\mathbf{r} \Psi_i^*(r) \Psi_j(r) &= \sum_{kl} \underbrace{U_k^{*(i)} U_l^{(j)}}_{U_{(i)}^{(k)}} \underbrace{\int d\mathbf{r} \psi_k^*(r) \psi_l(r)}_{\delta_{kl}} \\ &= \sum_k U_{(i)}^{(k)} U_k^{(j)} = \delta_{ij} \end{aligned} \quad (14)$$

We can rewrite the Euler-Lagrange equation as

$$\left[-\frac{\hbar^2}{2m_e} \nabla^2 + U_{\text{ext}}(\mathbf{r}) + U_H(\mathbf{r}) + U_{xc}(\mathbf{r}) \right] \psi_i(\mathbf{r}) = E^{(i)} \psi_i(\mathbf{r}) \quad (15)$$

$$U_H(\mathbf{r}) = \int d\mathbf{r}' \frac{e^2}{E|\mathbf{r}-\mathbf{r}'|} n(\mathbf{r}') \quad (16)$$

$$n(\mathbf{r}) = \sum_i |\psi_i(\mathbf{r})|^2 \quad (17)$$

$$U_{xc}(\mathbf{r}) = \frac{\delta}{\delta n(\mathbf{r})} E_{xc} \quad (18)$$

with constraints

$$\int d\mathbf{r} \psi_i^*(\mathbf{r}) \psi_j(\mathbf{r}) = \delta_{ij} \quad (19)$$

S. Auxiliary-Field Formulation

$$\begin{aligned} E[\{\psi_i(r)\}, V_H(r)] = & \sum_i \int d\mathbf{r} \psi_i(r) \left(-\frac{\hbar^2}{2m_e} \nabla^2 \right) \psi_i(r) + \int d\mathbf{r} n(r) V_{ext}(r) + E_{xc}[n(r)] \\ & + \frac{e}{8\pi e^2} \int d\mathbf{r} V_H(r) \nabla^2 V_H(r) + \int d\mathbf{r} n(r) V_H(r) \end{aligned} \quad (20)$$

Minimize the energy functional, Eq. (20), with respect to $\psi_i(r)$ and an auxiliary field $V_H(r)$, with constraints,

$$\int d\mathbf{r} \psi_i^*(r) \psi_j(r) = \delta_{ij} \quad (21)$$

The Euler-Lagrange equations are

$$\textcircled{1} \quad \frac{\delta}{\delta \psi_i^*(r)} \left\{ E[\{\psi_i(r)\}, V_H(r)] - \sum_{ij} \lambda_{ij} \left[\int d\mathbf{r} \psi_i^*(r) \psi_j(r) - \delta_{ij} \right] \right\} = 0 \quad (22)$$

$$\textcircled{2} \quad \frac{\delta}{\delta V_H(r)} E[\{\psi_i(r)\}, V_H(r)] = 0 \quad (23)$$

(Eular-Lagrange Equations for $\psi_i(\mathbf{r})$)

$$0 = -\frac{\hbar^2}{2m_*} \nabla^2 \psi_i(\mathbf{r}) + V_{ext}(\mathbf{r}) \psi_i(\mathbf{r}) + \frac{\delta E_{xc}}{\delta n(\mathbf{r})} \psi_i(\mathbf{r}) + V_H(\mathbf{r}) \psi_i(\mathbf{r}) - \sum_j \lambda_{ij} \psi_j(\mathbf{r}) \quad (24)$$

$\int d\mathbf{r} \psi_k^*(\mathbf{r}) \times \text{Eq. (24)} \text{ using Eq. (21)}$

$$\int d\mathbf{r} \psi_k^*(\mathbf{r}) \left[-\frac{\hbar^2}{2m_*} \nabla^2 + V_{ext}(\mathbf{r}) + V_{xc}(\mathbf{r}) + V_H(\mathbf{r}) \right] \psi_i(\mathbf{r}) = \lambda_{ik} \quad (25)$$

$$\therefore \underbrace{\left[-\frac{\hbar^2}{2m_*} \nabla^2 + V_{ext}(\mathbf{r}) + V_H(\mathbf{r}) + V_{xc}(\mathbf{r}) \right]}_{h(\mathbf{r})} \psi_i(\mathbf{r}) = \sum_j \lambda_{ij} \psi_j(\mathbf{r}) \quad (26)$$

where

$$\lambda_{ij} = \int d\mathbf{r} \psi_j^*(\mathbf{r}) h(\mathbf{r}) \psi_i(\mathbf{r}) = \langle j | h | i \rangle \quad (27)$$

Or we can perform a **subspace diagonalization** of $\langle ii | h | ij \rangle$, so that

$$\left[-\frac{\hbar^2}{2m_*} \nabla^2 + V_{ext}(\mathbf{r}) + V_H(\mathbf{r}) + V_{xc}(\mathbf{r}) \right] g_i(\mathbf{r}) = \epsilon_i g_i(\mathbf{r}) \quad (28)$$

where

$$\epsilon_i = \int d\mathbf{r} g_i^*(\mathbf{r}) h(\mathbf{r}) g_i(\mathbf{r}) = \langle ii | h | i \rangle \quad (29)$$

(Eular-Lagrange Equation for $V_H(r)$)

$$\begin{aligned}
 0 &= \frac{\epsilon}{8\pi e^2} \int d\mathbf{r}' [\delta(\mathbf{r}' - \mathbf{r}) \nabla^2 V_H(\mathbf{r}') + V_H(\mathbf{r}') \nabla^2 \delta(\mathbf{r}' - \mathbf{r})] + n(\mathbf{r}) \\
 &= \frac{\epsilon}{8\pi e^2} \nabla^2 V_H(\mathbf{r}) - \underbrace{\frac{\epsilon}{8\pi e^2} \int d\mathbf{r}' \nabla V_H(\mathbf{r}') \cdot \nabla \delta(\mathbf{r}' - \mathbf{r})}_{+ \frac{\epsilon}{8\pi e^2} \int d\mathbf{r}' \nabla^2 V_H(\mathbf{r}') \delta(\mathbf{r}' - \mathbf{r})} + n(\mathbf{r}) \\
 &= \frac{\epsilon}{4\pi e^2} \nabla^2 V_H(\mathbf{r}) + n(\mathbf{r})
 \end{aligned}$$

$$\therefore \nabla^2 V_H(\mathbf{r}) = -\frac{4\pi e^2}{\epsilon} n(\mathbf{r}) \quad (30)$$

S. Gradient w.r.t. $\psi_i(r)$

To deal with the orthonormality condition, it is convenient to express the problem in terms of non-orthonormal set $\{\varphi_i(r)\}$ which is related to the orthonormal set $\{\psi_i(r)\}$ as

$$\psi_i = \sum_j S_{ij}^{-1/2} \varphi_j \quad (31)$$

where

$$S_{ij} = \int d\mathbf{r} \varphi_j^*(\mathbf{r}) \varphi_i(\mathbf{r}) = \langle \varphi_j | \varphi_i \rangle \quad (32)$$

∴ Note that $S_{ij}^* = \langle \varphi_i | \varphi_j \rangle = S_{ji}$ (**unitary**), so is $S^{1/2}$.

$$\begin{aligned} \langle \psi_i | \psi_j \rangle &= \sum_{kl} \underbrace{S_{ik}^{*-1/2}}_{S_{ki}} \underbrace{S_{jl}^{-1/2}}_{S_{lk}} \underbrace{\langle \varphi_k | \varphi_l \rangle}_{S_{lk}} \\ &= \sum_{kl} S_{jl}^{-1/2} S_{lk} S_{ki}^{-1/2} = \delta_{ji} \quad // \end{aligned}$$

Energy functional Eq.(20) for $\{\psi_i(r)\}$ can be written as

$$\begin{aligned} E &= \sum_i \underbrace{\int d\mathbf{r} \psi_i^*(\mathbf{r}) h(\mathbf{r}) \psi_i(\mathbf{r})}_{\sum_j S_{ij}^{*-1/2} \varphi_j^*(\mathbf{r})} \\ &\quad \sum_k S_{ik}^{-1/2} \varphi_k(\mathbf{r}) \\ &= \sum_j S_{ji}^{-1/2} \varphi_j^*(\mathbf{r}) \\ &= \underbrace{\sum_{jk} \left(\sum_i S_{ji}^{-1/2} S_{ik}^{-1/2} \right)}_{S_{jk}^{-1}} \int d\mathbf{r} \varphi_j^*(\mathbf{r}) \varphi_k(\mathbf{r}) \end{aligned}$$

$$\begin{aligned}\therefore E[\{\varphi_i(r)\}, U_H(r)] &= \sum_{ij} \int d\mathbf{r} S_{ij}^{-1} \varphi_i^*(r) \left[-\frac{\hbar^2}{2m_e} \nabla^2 + U_{ext}(r) + U_H(r) + U_{xc}(r) \right] \varphi_j(r) \\ &\quad + \frac{e}{8\pi e^2} \int d\mathbf{r} U_H(r) \nabla^2 U_H(r)\end{aligned}\quad (33)$$

(Eular-Lagrange Equation w.r.t. $\varphi_i(r)$)

Now we can get the Eular-Lagrange equation without using Lagrange multipliers.

First, note that

$$\frac{\delta}{\delta \varphi_i^*(r)} \sum_k S_{jk}^{-1} S_{kl} = \frac{\delta}{\delta \varphi_i^*(r)} \delta_{jl} = 0$$

$$\sum_k \left[\frac{\delta}{\delta \varphi_i^*(r)} S_{jk}^{-1} \right] S_{kl} + \underbrace{\sum_k S_{jk}^{-1} \frac{\delta S_{kl}}{\delta \varphi_i^*(r)}}_{\frac{\delta}{\delta \varphi_i^*(r)} \int d\mathbf{r}' \varphi_l^*(r') \varphi_k(r)} = 0$$

$$\sum_k \left[\frac{\delta}{\delta \varphi_i^*(r)} S_{jk}^{-1} \right] S_{kl} + \delta_{il} \sum_k S_{jk}^{-1} \varphi_k(r) = 0$$

$\sum_l S_{lm}^{-1} \times (\text{above})$

$$\underbrace{\sum_k \left[\frac{\delta}{\delta \varphi_i^*(r)} S_{jk}^{-1} \right] \sum_l S_{kl} S_{lm}^{-1}}_{\delta_{km}} + \sum_k S_{jk}^{-1} \varphi_k(r) S_{im}^{-1}$$

$$\frac{\delta}{\delta \varphi_i^*(r)} S_{jk}^{-1} = - S_{ik}^{-1} \sum_l S_{jl}^{-1} \varphi_l(r) \quad (34)$$

Using Eq. (34),

$$\begin{aligned} \frac{\delta}{\delta \varphi_i^*(\mathbf{r})} E &= \sum_j S_{ij}^{-1} h(\mathbf{r}) \varphi_j(\mathbf{r}) + \sum_{jk} \frac{S S_{jk}^{-1}}{\delta \varphi_k^*(\mathbf{r})} \langle j | h | k \rangle \\ &= \sum_j S_{ij}^{-1} h(\mathbf{r}) \varphi_j(\mathbf{r}) - \sum_{jkl} \langle j | h | k \rangle S_{ik}^{-1} S_{jl}^{-1} \varphi_l(\mathbf{r}) \end{aligned} \quad (35)$$

At an orthonormal functional-space point,

$$\begin{aligned} \frac{\delta E}{\delta \varphi_i^*(\mathbf{r})} &= h(\mathbf{r}) \varphi_i(\mathbf{r}) - \underbrace{\sum_{jkl} \langle j | h | k \rangle S_{ik} S_{jl} \varphi_l(\mathbf{r})}_{\sum_j \langle j | h | i \rangle \varphi_j(\mathbf{r})} \end{aligned}$$

$$\begin{aligned} \therefore R_i(\mathbf{r}) &= - \frac{\delta E}{\delta \varphi_i^*(\mathbf{r})} \\ &= - \left\{ h(\mathbf{r}) \varphi_i(\mathbf{r}) - \sum_j \varphi_j(\mathbf{r}) \langle j | h | i \rangle \right\} \end{aligned} \quad (36)$$

where

$$h(\mathbf{r}) = -\frac{\hbar^2}{2m_e} \nabla^2 + V_{\text{ext}}(\mathbf{r}) + V_H(\mathbf{r}) + V_{\text{xc}}(\mathbf{r}) \quad (37)$$

If we perform a *subspace diagonalization* of $\langle j_i h_i | i \rangle$, then

$$R_i(r) = - [h_i(r) - \langle i | h_i | i \rangle] \varphi_i(r) \quad (38)$$

§. Gradient w.r.t. $U_H(r)$

$$G(r) \equiv -\frac{\partial E}{\partial U_H(r)}$$

$$= - \left[\frac{\epsilon}{8\pi e^2} \nabla^2 U_H(r) + n(r) \right] \quad (39)$$

S. Conjugate Gradient Method.

Start from $\{\psi_i^{(0)}(r)\}$ orthonormal, $V_H^{(0)}(r)$

$$n^{(0)}(r) = \sum_i |\psi_i^{(0)}(r)|^2, h^{(0)}(r) = -\frac{\hbar^2}{2m} \nabla^2 + V_{ext}(r) + V_H^{(0)}(r) + V_{xc}(r)$$

Subspace diagonalization, $\langle \psi_i^{(0)} | h^{(0)} | \psi_j^{(0)} \rangle$; get new $\{\psi_i^{(0)}(r)\}$ & $\varepsilon_i^{(0)}$

$$R_i^{(0)}(r) = -[h^{(0)}(r) - \varepsilon_i^{(0)}] \psi_i^{(0)}(r)$$

Gram-Schmidt orthogonalization, $R_i^{(0)}(r) \leftarrow R_i^{(0)}(r) - \sum_j \psi_i^{(0)}(r) \langle \psi_j^{(0)} | R_i^{(0)} \rangle$

$$Y_i^{(0)}(r) = R_i^{(0)}(r)$$

$$G^{(0)}(r) = -[\frac{e}{8\pi c^2} \nabla^2 V_H^{(0)}(r) + n^{(0)}(r)]$$

$$Z^{(0)}(r) = G^{(0)}(r)$$

do $n = 0, N_{\text{cgmax}}$

Line minimize $E[\{\psi_i^{(n)}(r) + \theta Y_i^{(n)}(r)\}, V_H^{(n)}(r) + \theta Z^{(n)}(r)]$

if $|E^{(n+1)} - E^{(n)}| < \epsilon$ return

Subspace diagonalization of $\langle \psi_i^{(n+1)} | h^{(n+1)} | \psi_i^{(n+1)} \rangle$, get new $\{\psi_i^{(n+1)}\}$ & $\varepsilon_i^{(n+1)}$

$$R_i^{(n+1)} = -[h^{(n+1)}(r) - \varepsilon_i^{(n+1)}] \psi_i^{(n+1)}(r)$$

Orthogonalize $R_i^{(n+1)} \leftarrow R_i^{(n+1)} - \sum_j \psi_j^{(n+1)}(r) \langle \psi_j^{(n+1)} | R_i^{(n+1)} \rangle$

$$Y_i^{(n+1)}(r) \leftarrow R_i^{(n+1)}(r) + \frac{\langle R_i^{(n+1)} | R_i^{(n+1)} \rangle}{\langle R_i^{(n)} | R_i^{(n)} \rangle} Y_i^{(n)}(r)$$

$$G^{(n+1)}(r) = -[\frac{e}{8\pi c^2} \nabla^2 V_H^{(n+1)}(r) + n^{(n+1)}(r)]$$

$$Z^{(n+1)}(r) \leftarrow G^{(n+1)}(r) + \frac{\langle G^{(n+1)} | G^{(n+1)} \rangle}{\langle G^{(n)} | G^{(n)} \rangle} Z^{(n)}(r)$$

enddo