



Summer Workshop 2023 @ HUST, Hanoi

Introduction to Density-Functional Theory with Quantum ESPRESSO

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FRIS, Tohoku University Department of Physics, Tohoku University



Self-Introduction



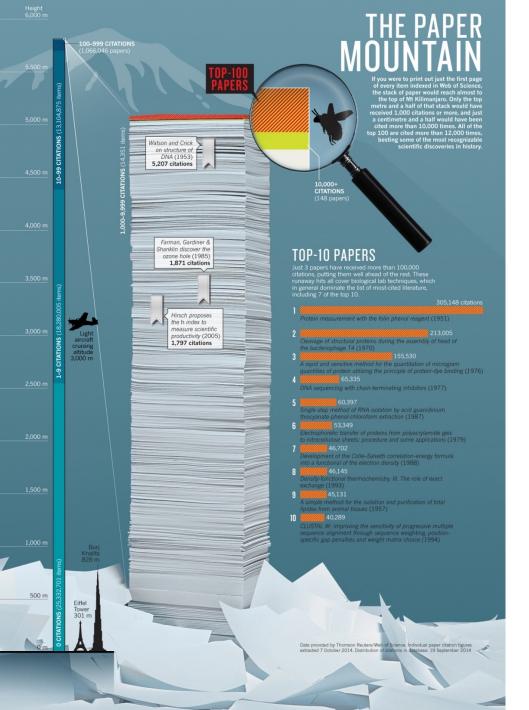
- 10/2014 09/2016: M.Sc. in Physics, Tohoku University
- 10/2016 03/2019: Ph.D. in Physics (JSPS DC), Tohoku University
- 04/2019 now: Assistant Professor, FRIS, Tohoku University
- 07/2021 now: Prominent Research Fellow, Tohoku University
- 2018: Visiting Scholar, IMR, CAS, China
- 2023-2024: Visiting Scholar, QMG, MIT, USA

Our office





- What is density-functional theory (DFT)?
- How to run an example by using DFT?
- Some applications of the DFT from my research
- Challenge and future of the DFT



Impact of DFT

THE TOP 10 PAPERS: 2 papers on density-functional theory (DFT) in the top 10 most cited papers in the entire scientific literature, ever. **NATURE, OCT 2014**

46,702

Development of the Colle–Salvetti correlation-energy formula into a functional of the electron density (1988)



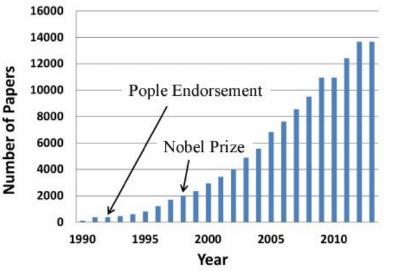
Density-functional thermochemistry. III. The role of exact exchange (1993)

The Nobel Prize in Chemistry 1998





Walter Kohn Prize share: 1/2 John A. Pople Prize share: 1/2



MOST CITED PAPERS IN THE HISTORY OF APS

	Journal	# cites	Title	Author(s)
1	PRL (1996)	78085	Generalized Gradient Approximation Made Simple Perdew, Burke, Err	
2	PRB (1988)	67303	Development of the Colle-Salvetti Correlation-Energy	Lee, Yang, Parr
3	PRB (1996)	41683	Efficient Iterative Schemes for Ab Initio Total-Energy	Kresse and Furthmuller
4	PR (1965)	36841	Self-Consistent Equations Including Exchange and Correlation 🛁	Kohn and Sham
5	PRA (1988)	36659	Density-Functional Exchange-Energy Approximation	Becke
6	PRB (1976)	31865	Special Points for Brillouin-Zone Integrations	Monkhorst and Pack
7	PRB (1999)	30940	From Ultrasoft Pseudopotentials to the Projector Augmented	Kresse and Joubert
8	PRB (1994)	30801	Projector Augmented-Wave Method	Blochl
9	PR (1964)	30563	Inhomogeneous Electron Gas	Hohenberg and Kohn
10	PRB (1993)	19903	Ab initio Molecular Dynamics for Liquid Metals	Kresse and Hafner
11	PRB (1992)	17286	Accurate and Simple Analytic Representation of the Electron	Perdew and Wang
12	PRB (1990)	15618	Soft Self-Consistent Pseudopotentials in a Generalized	Vanderbilt
13	PRB (1992)	15142	Atoms, Molecules, Solids, and Surfaces - Applications of the	Perdew, Chevary,
14	PRB (1981)	14673	Self-Interaction Correction to Density-Functional Approx	Perdew and Zunger
15	PRB (1986)	13907	Density-Functional Approx. for the Correlation-Energy	Perdew
16	RMP (2009)	13513	The Electronic Properties of Graphene	Castro Neto et al.
17	PR (1934)	12353	Note on an Approximation Treatment for Many-Electron Systems	Moller and Plesset
18	PRB (1972)	11840	Optical Constants on Noble Metals Johnson and Christy	
19	PRB (1991)	11580	Efficient Pseudopotentials for Plane-Wave Calculations Troullier and Martins	
20	PRL (1980)	10784	Ground-State of the Electron-Gas by a Stochastic Method	Ceperley and Alder

Generalized Gradient Approximation Made Simple

John P. Perdew, Kieron Burke, and Matthias Ernzerhof Phys. Rev. Lett. **77**, 3865 – Published 28 October 1996; Erratum Phys. Rev. Lett. **78**, 1396 (1997)



130,981 citations (2023) GGA made the DFT possible for practice.

Self-Consistent Equations Including Exchange and Correlation Effects

W. Kohn and L. J. Sham Phys. Rev. **140**, A1133 – Published 15 November 1965

Physics

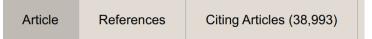
Article References Citing Articles (46,542) PDF Export Citation

Kohn-Sham equation Numerical codes for DFT is possible

Inhomogeneous Electron Gas

P. Hohenberg and W. Kohn Phys. Rev. **136**, B864 – Published 9 November 1964





Hohenberg–Kohn theorems Starting point of the concepts of DFT

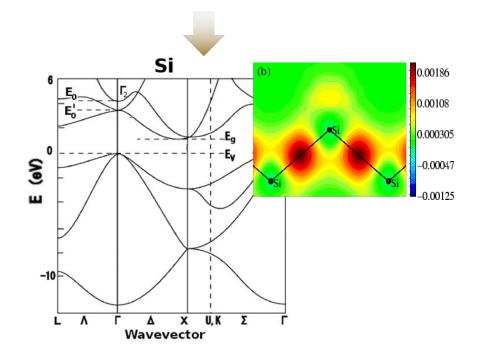
Red colors are papers related to DFT

Apr 2019

What is DFT?

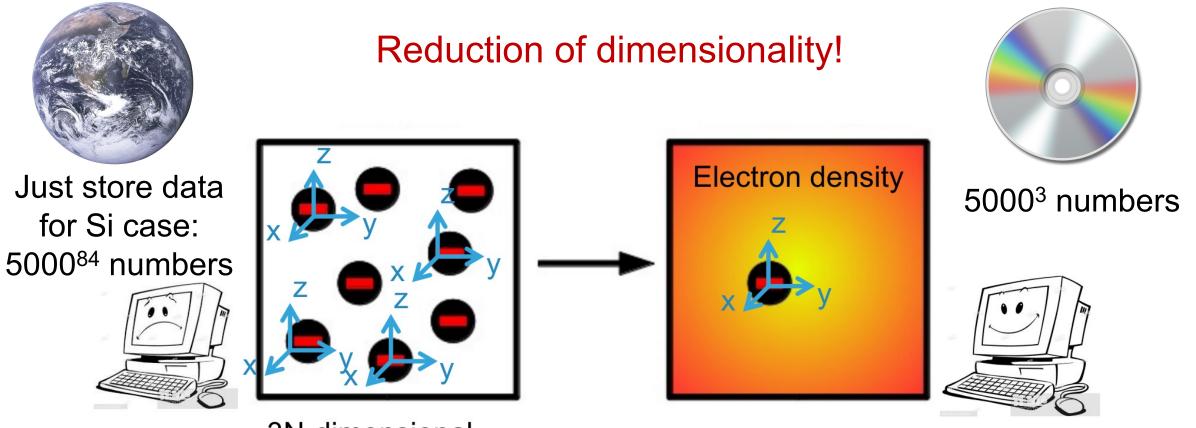
DFT is a method for solving the Schrödinger equation

$\hat{\mathcal{H}}\Psi = E\Psi$



The Newton equation F = ma

The Idea of DFT - Electron Density



3N-dimensional partial differential equation (PDE)

3-dimensional PDE

The idea can work with only the case that two models are equivalent

The Hohenberg-Kohn (H-K) Theorems

The H-K existence theorem

Theorem: There is a one-to-one correspondence between an external potential $\mathcal{V}_{en}(\mathbf{r})$ and an electron density $n(\mathbf{r})$ [Hohenberg and Kohn (1964)].

The H-K variational theorem

• A universal functional for the energy E[n(r)] can be defined in terms of the density. The exact ground state is the global minimum value of this functional.

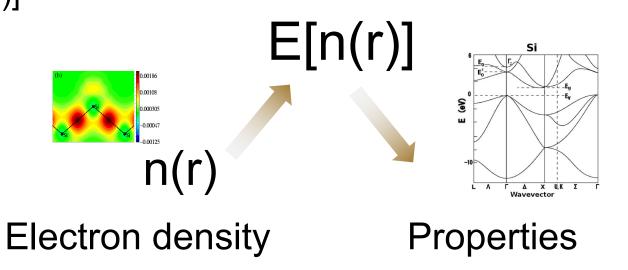
Inhomogeneous Electron Gas

P. Hohenberg and W. Kohn Phys. Rev. **136**, B864 – Published 9 November 1964

Physics

Article References Citing Articles (38,993)	Article	References	Citing Articles (38,993)	
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Density-functional theory



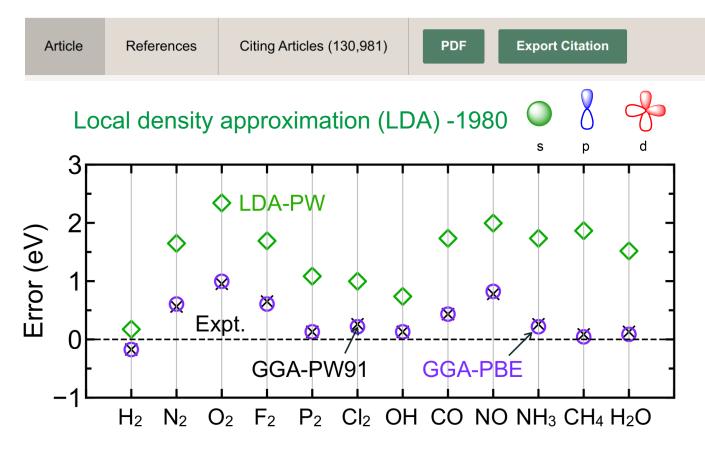
How to Know n(r)?

Self-consistent field (SCF) method Self-Consistent Equations Including Exchange and Correlation Effects "Guess" initial density $n(\mathbf{r})$ W. Kohn and L. J. Sham Phys. Rev. 140, A1133 - Published 15 November 1965 Physics $\alpha)n^{\mathrm{new}}(\mathbf{r})$ The Poisson equation $\nabla^2 \mathcal{V}_H(\mathbf{r}) = -4\pi n(\mathbf{r})$ **Export Citation** Citing Articles (46,542) Article References PDF С with The single-particle Schrödinger equation, (1The Kohn-Sham equation Mixing + $-\frac{\nabla_{\mathbf{r}}^{2}}{2} + \mathcal{V}_{en}(\mathbf{r}) + \mathcal{V}_{H}(\mathbf{r}) | \phi(\mathbf{r}) = \epsilon \phi(\mathbf{r})$ $\alpha n(\mathbf{r})$ The Pauli principle to avoid overlap (exchange - V_x) "New" electron density $n(\mathbf{r})$ $n^{\text{new}}(\mathbf{r}) = \sum \left[\phi(\mathbf{r}) \right]^2$ Keeping to lower the **Coulomb repulsion** Comparison, if $n^{\text{new}}(\mathbf{r})$ and $n(\mathbf{r})$ differ (correlation - V_c) Yes Exchange-correlation potential End No (Unknown functional)

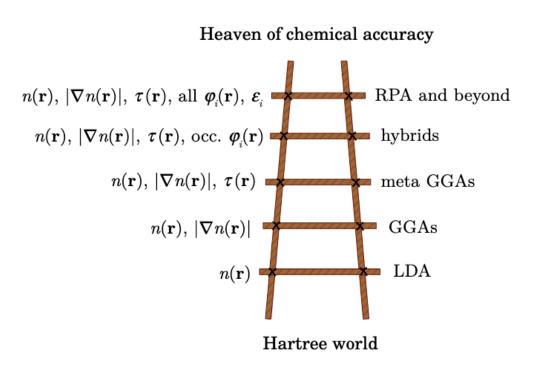
How to Deal with Unknown Functional?

Generalized Gradient Approximation Made Simple

John P. Perdew, Kieron Burke, and Matthias Ernzerhof Phys. Rev. Lett. **77**, 3865 – Published 28 October 1996; Erratum Phys. Rev. Lett. **78**, 1396 (1997)



It takes 30 years to introduce a good approximation functional

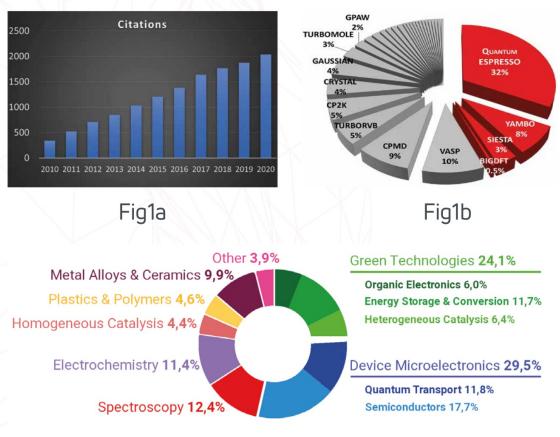


Errors of atomization energies

Which Codes for DFT?

Trends in atomistic simulation engines Citation Data 2022 ~ Q ഹ Ŧ DFT 🗙 Code Methods Tags Installation Cost Source Citations ↓ Trend PBC WFM AE ð Ŝ Source Binary 14700 N Gaussian DFT <u>GTO</u> PP PBC DFT ð \$ VASP PAW <u>13100</u> N Source WFM PP PW Source NGC Easy to install conda DNF Macports APT **Quantum** PBC Ż R DFT S SingularityHub 3380 N PP PW **ESPRESSO** AUR Nix **Spack** Free EasyBuild Yum PBC DFT 3 😒 6 N CASTEP PAW 2820 Source Binary WFM PP PW AE WFM 12 😒 Ô <u>2570</u> N <u>ORCA</u> <u>GTO</u> **Binary** DFT PP PBC DFT ð \$ <u>1460</u> N WIEN2k AE Source WFM LAPW • \$ **Discovery Studio** FF DFT Binary 1220 N

Chemical Sciences and Materials @ 2022 (PRACE)



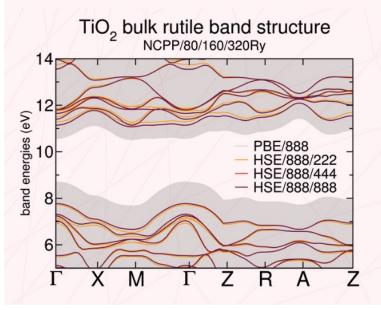
https://atomistic.software/

Some Features of QE

Quantum ESPRESSO is a bundle of codes (DFT and beyond DFT)

PWSCF:

- Solution of Kohn-Sham equations with different methods
- Energies, forces, stress of molecules and materials
- Born-Oppenheimer molecular dynamics
- Band structures (e.g. Fig2a) and DOS
- Magnetic properties

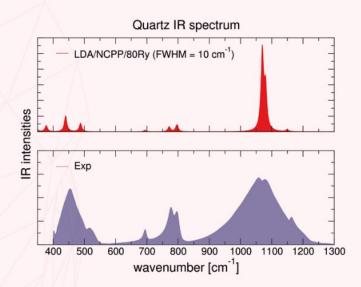


CP:

Car-Parrinello molecular dynamics

Phonon:

- Phonon frequencies
- IR and Raman spectra (e.g. Fig2b, Fig2c)
- Dielectric properties

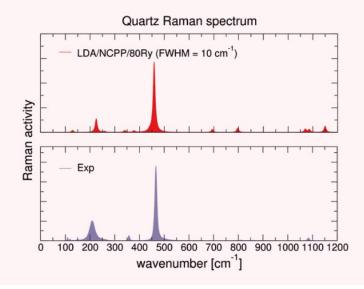


TDDFPT:

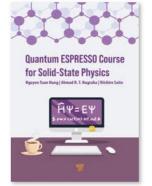
- UV-Vis absorption
- Electron energy loss spectroscopy
- Spin wave spectroscopy

NEB:

Reaction paths



Is It Easy to Learn QE?



Book

Quantum ESPRESSO Course for Solid-State Physics

By Nguyen Tuan Hung, Ahmad R.T. Nugraha, Riichiro Saito

Edition	1st Edition
First Published	2022
eBook Published	29 December 2022
Pub. Location	New York
Imprint	Jenny Stanford Publishing
DOI	https://doi.org/10.1201/9781003290964
Pages	372
eBook ISBN	9781003290964
Subjects	Engineering & Technology, Mathematics & Statistics, Physical Sciences

- ❑ How to install & run softwares in a personal PC.
- 23 tutorials for many physical properties: electron, phonon, optic, superconductivity, Raman, (can download free at GitHub: https://github.com/nguyen-group/QE-SSP)
- □ Thoery for DFT & solid-state physics for Quantum ESPRESSO





66

Citation

Many workshops about Quantum-ESPRESSO are organized by us.

- 2016: Tohoku Univerisity (Japan)
- 2019: Zhejiang University (China)
- 2019: Vietnam School of Physics (Vietnam)
- 2022: HUST (Vietnam), Tokyo Metropolitan
 University (Japan)

How to Install QE





Quick installation of Quantum Espresso:



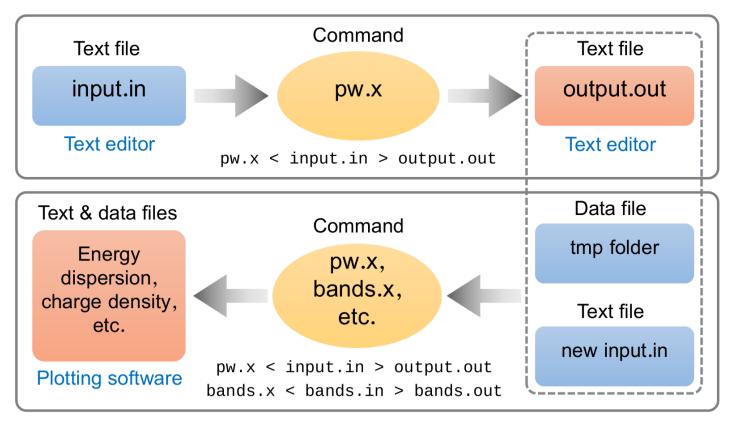
Step 1: Update system:

\$ sudo apt-get update

Step 2: Install: quantum-espresso \$ sudo apt-get install quantum-espresso

You also can install easy in MacOS or Window

Quantum ESPRESSO Workflow



Command	Purpose
pw.x	SCF and NSCF calculations
bands.x	band structure post-processing
dos.x	DOS postprocessing
epsilon.x	optical properties calculation
ph.x	phonon calculation

Download input files for examples

\$ git clone https://github.com/nguyen-group/QE-SSP.git

Let's Do An Example without Knowing Everything

Go to folder of the example

\$ cd ~/QE-SSP/gr/scf/

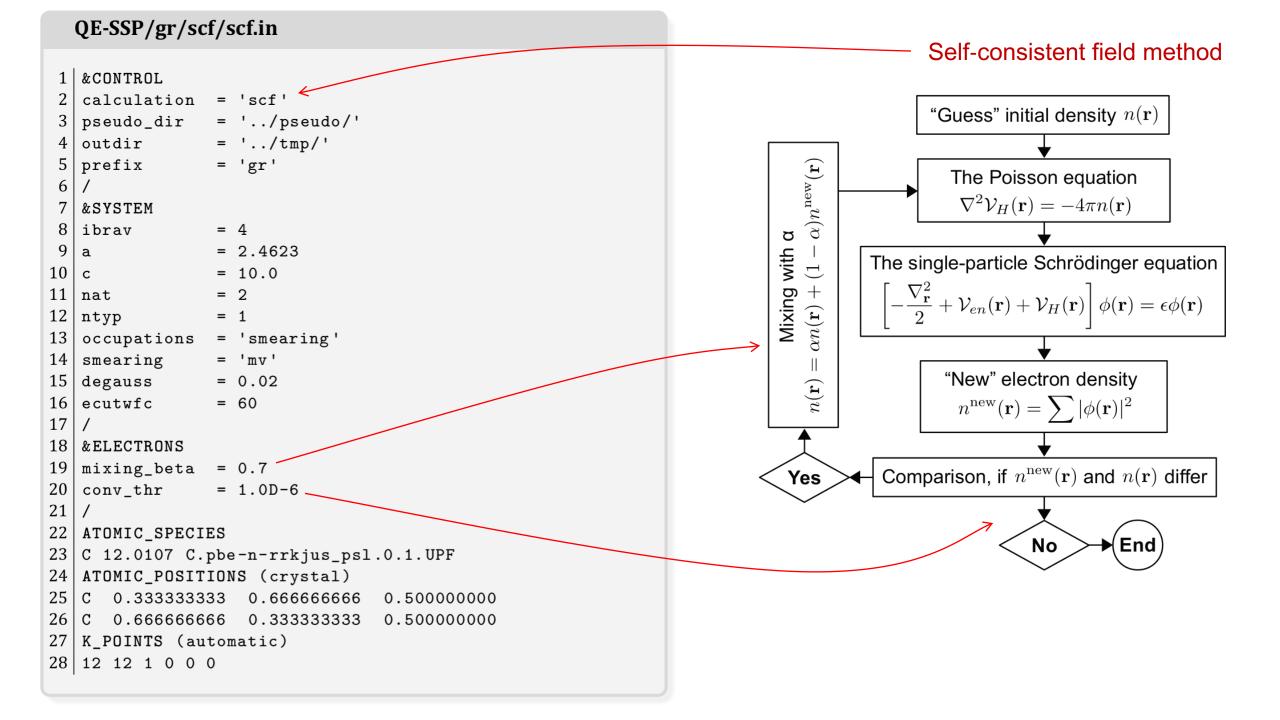
Run the example

\$ pw.x < scf.in > scf.out &

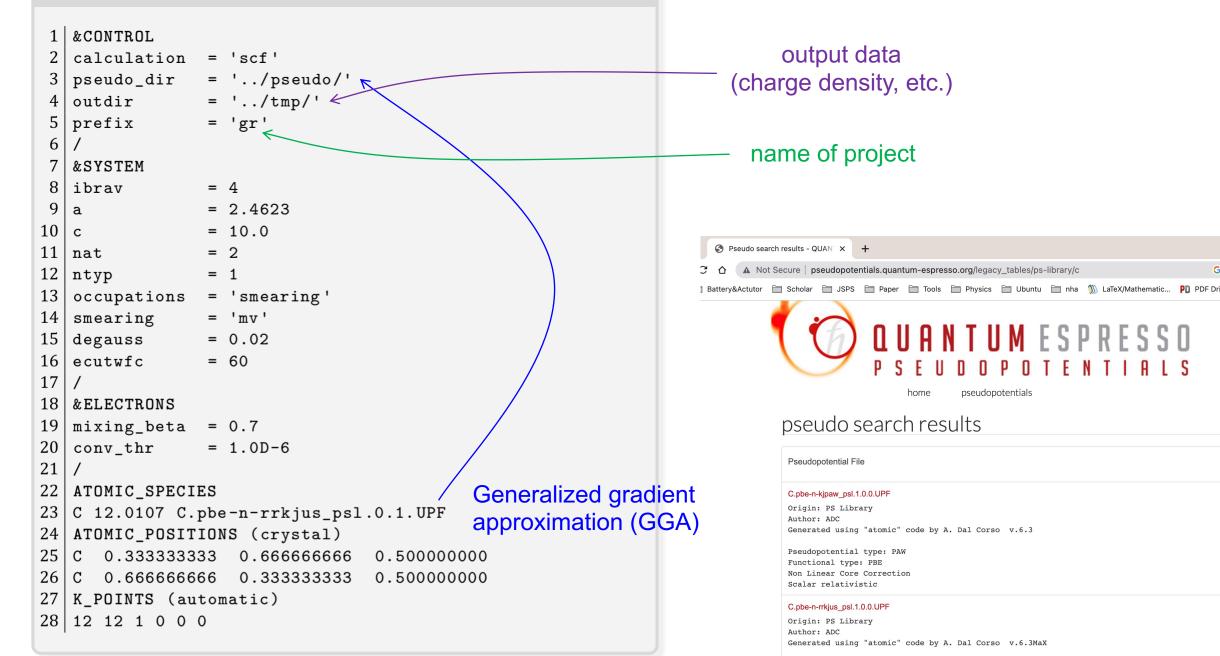
QE-SSP/gr/scf/scf.out				
!	<pre>total energy = -23.90991271 Ry Harris-Foulkes estimate = 23.90991328 Ry estimated scf accuracy < 0.00000084 Ry The total energy is the sum of the following terms:</pre>			
	<pre>one-electron contribution = -90.80734321 Ry hartree contribution = 47.24141117 Ry xc contribution = -8.30684749 Ry ewald contribution = 27.96304915 Ry smearing contrib. (-TS) = -0.00018232 Ry convergence has been achieved in 13 iterations</pre>			

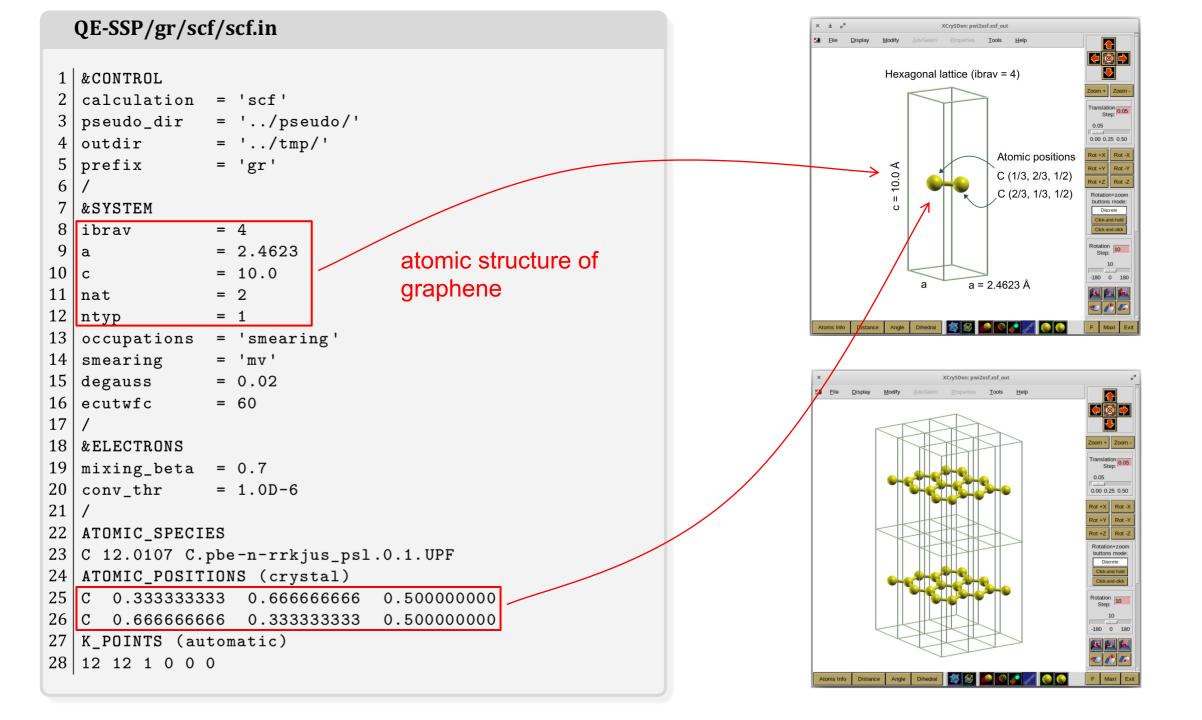
QE-SSP/gr/scf/scf.in

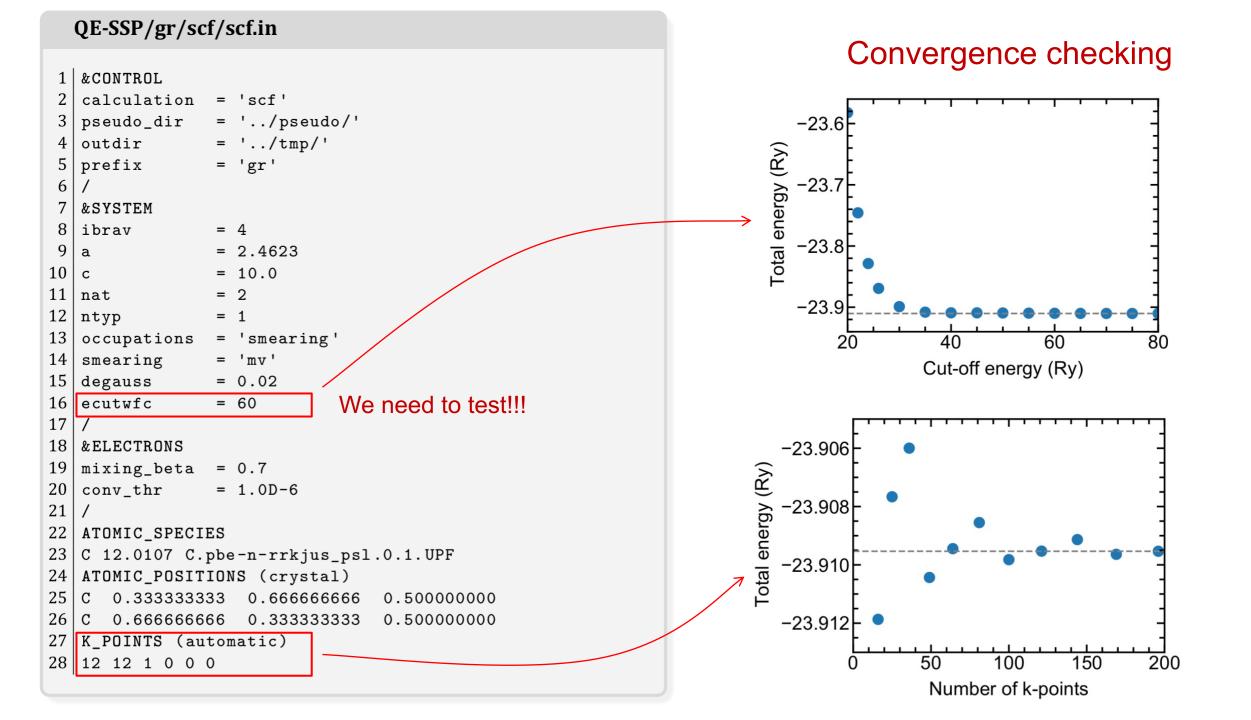
1	&CONTROL				
2	calculation	=	'scf'		
3	pseudo_dir	=	'/pseudo/'		
4	pseudo_dir outdir	=	'/tmp/'		
5	prefix	=	'gr'		
6	1				
7	&SYSTEM				
8	ibrav	=	4		
9	a	=	2.4623		
10	с	=	10.0		
11	nat	=	2		
12	ntyp	=	1		
13	occupations	=	'smearing'		
14	smearing	=	'mv'		
15	degauss	=	0.02		
16	ecutwfc	=	60		
17	1				
18	&ELECTRONS				
19	mixing_beta	=	0.7		
20	conv_thr	=	1.0D-6		
21	1				
22	ATOMIC_SPECIES				
	C 12.0107 C.pbe-n-rrkjus_psl.0.1.UPF				
24	ATOMIC_POSITIONS (crystal)				
25	C 0.33333333	33	0.666666666	0.50000000	
			0.333333333	0.50000000	
27	K_POINTS (automatic)				
28	12 12 1 0 0 0)			



QE-SSP/gr/scf/scf.in







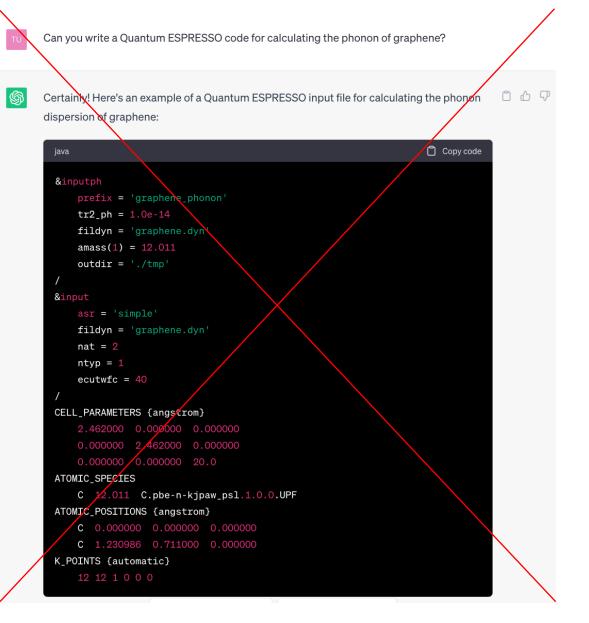
You can ask ChatGPT

Can you write a Quantum ESPRESSO code for calculating the total energy of graphene?

\$

Certainly! Here's an example of a Quantum ESPRESSO input file for calculating the total energy of graphene:

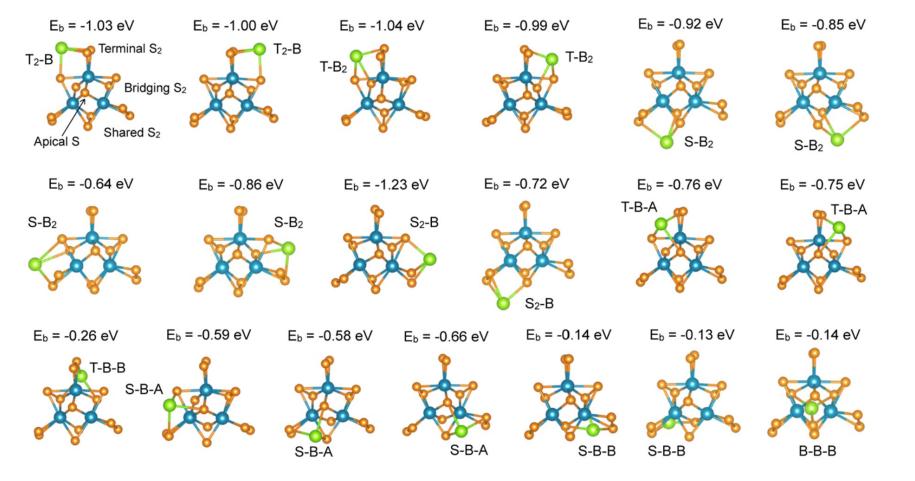
Copy code java &control calculation = 'scf' prefix = 'graphene_energy' pseudo_dir = '/path/to/pseudopotentials' outdir = './tmp' &system celldm(1) = 2.462nat = 2 ntyp = 1ecutwfc = 40&electrons ATOMIC_SPECIES C 12.011 C.pbe-n-kjpaw_psl.1.0.0.UPF ATOMIC_POSITIONS (angstrom) C 1.230986 0.711000 0.000000 K_POINTS automatic 10 10 1 0 0 0



Applications: Battery

Binding energy:

 $E_b = E(Na+Mo_3S_{11}) - E(Na) - E(Mo_3S_{11})$

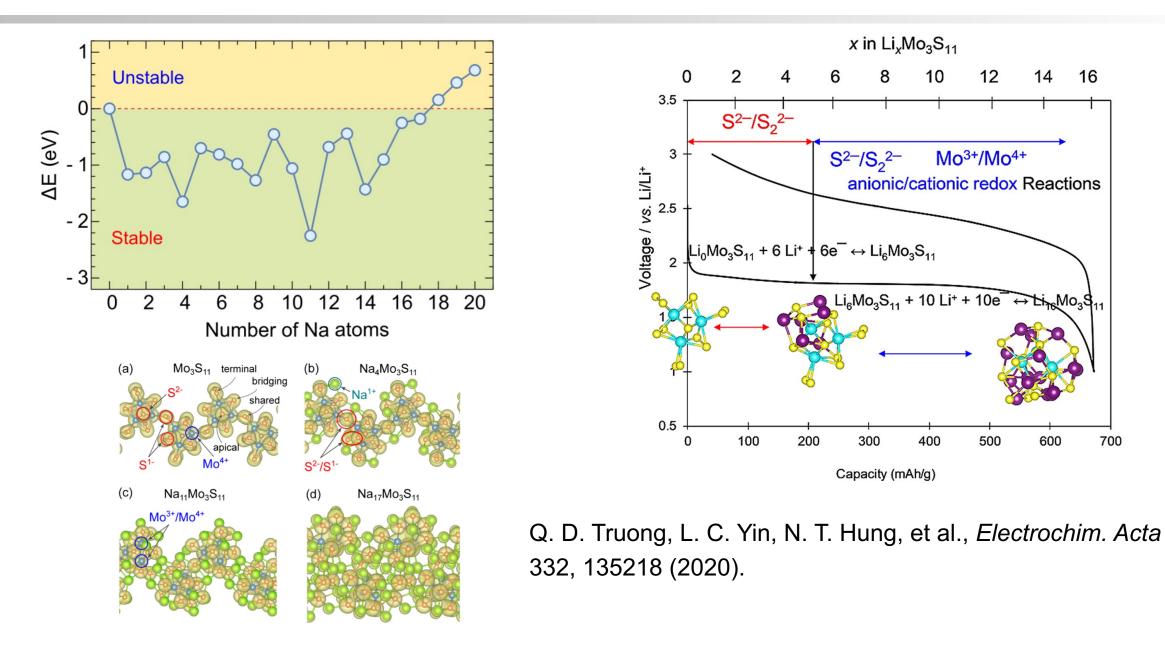


 $E_b < 0$: Binding

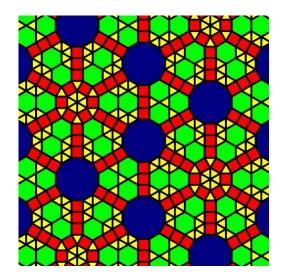
E_b > 0: No binding

N. T. Hung et al., *J. Phys. Chem. C* 123, 30856 (2019)

Applications: Battery



Applications: Designing New Materials

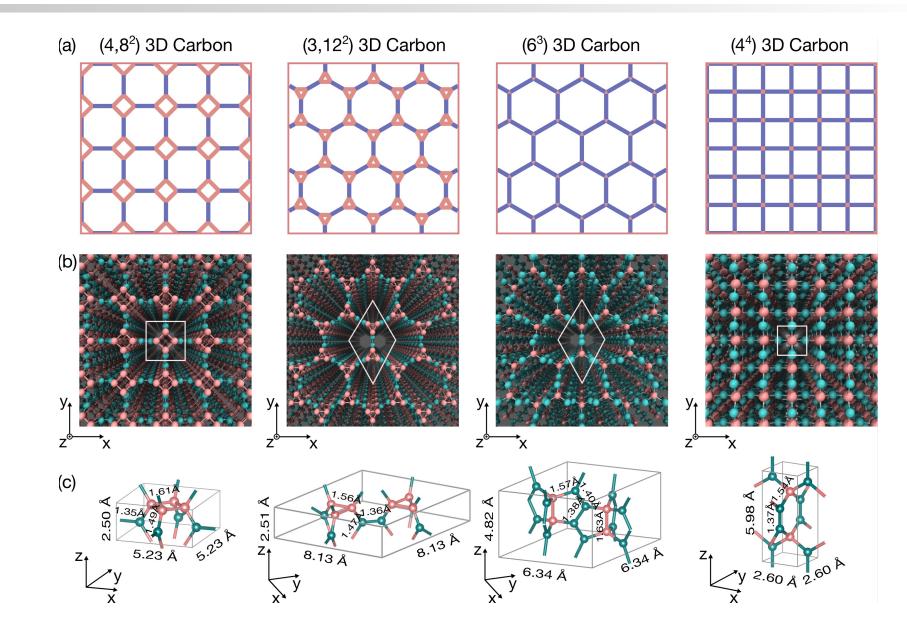


Archimedean lattice

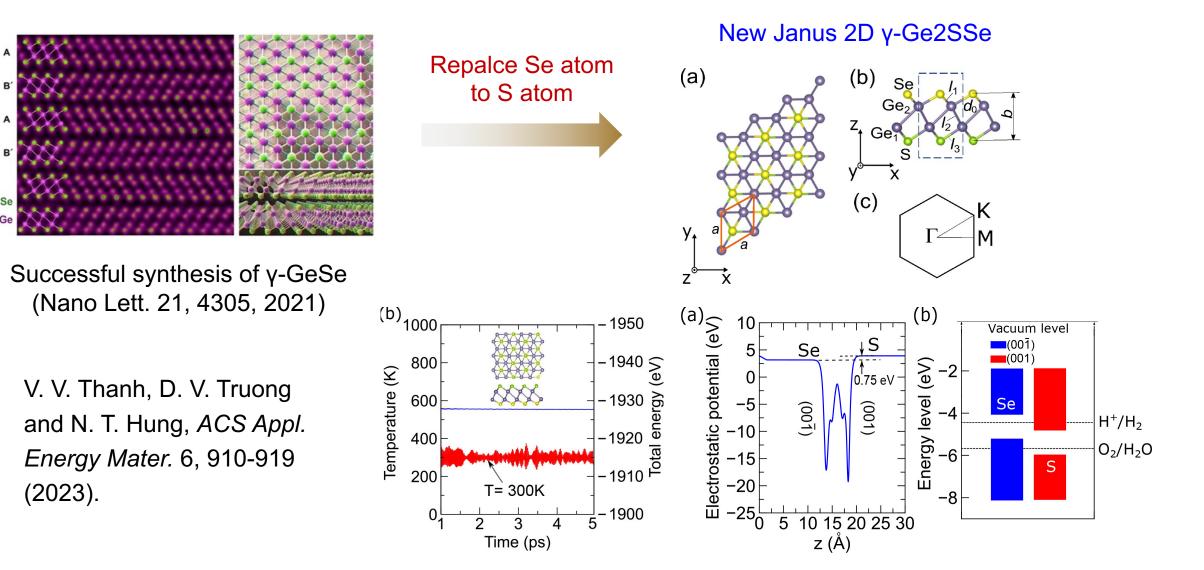


New 3D Carbon networks

N. T. Hung, et al., *Carbon* 125, 472-479 (2017).



Applications: Designing New Materials



High-performance material for photocatalysis and thermoelectricity

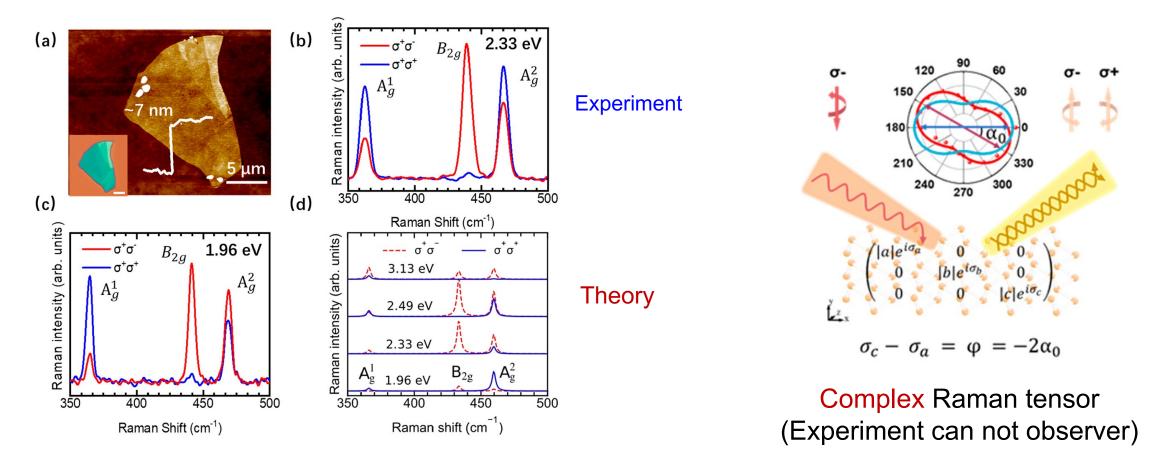
Applications: Understading Raman spectra

The Raman caclcualtion is not easy in the theory

Resonant Raman scattering Intermediate state m E_L E_L Initial state i Final state f Raman intensity is given by the third-order perturbation: $electron-photon \ electron-phonon$ $electron-photon \ electron-phonon$ $M_{opt}^{m' \to i}(\mathbf{k}) M_{ep}^{m \to m'}(\mathbf{k}, \nu) M_{opt}^{i \to m}(\mathbf{k}) | E_L - \Delta E_{m'i}(\mathbf{k}) - \hbar \omega_{\nu} |$ $\times \delta(E_{RS} - \hbar \omega_{\nu}),$

Applications: Understading Raman spectra

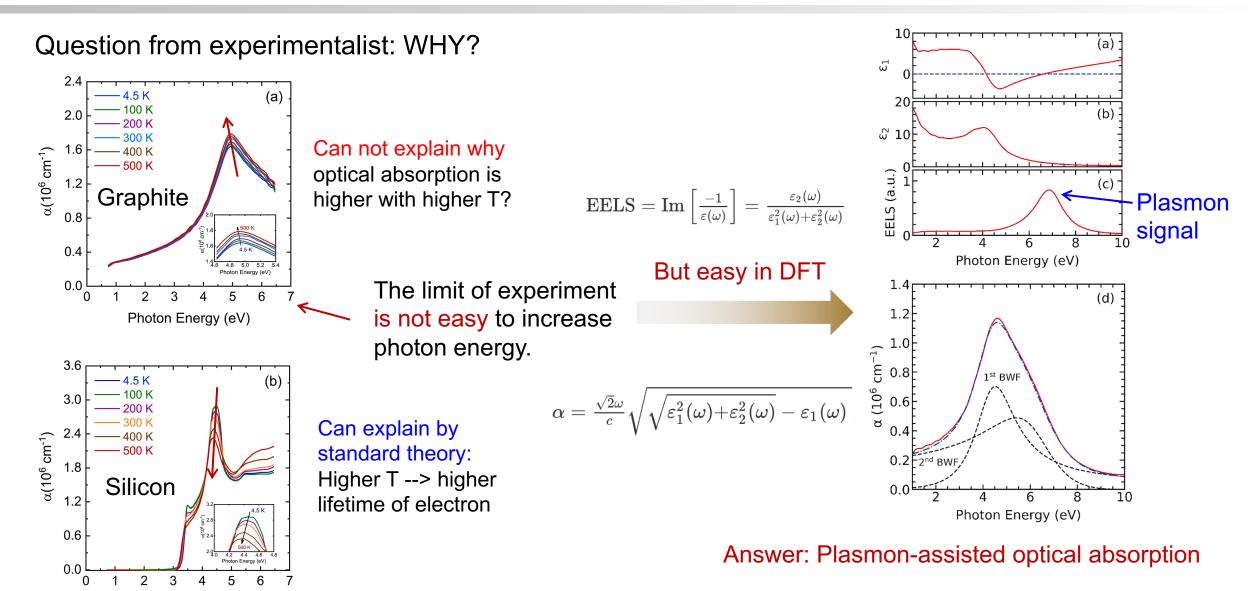
Helicity-changing Raman spectra of black phosphorus under circularly polarized light



S. Han, Y. Zhao, N. T. Hung, et al., *J. Phys. Chem. Lett.* 13, 1241–1248 (2022)

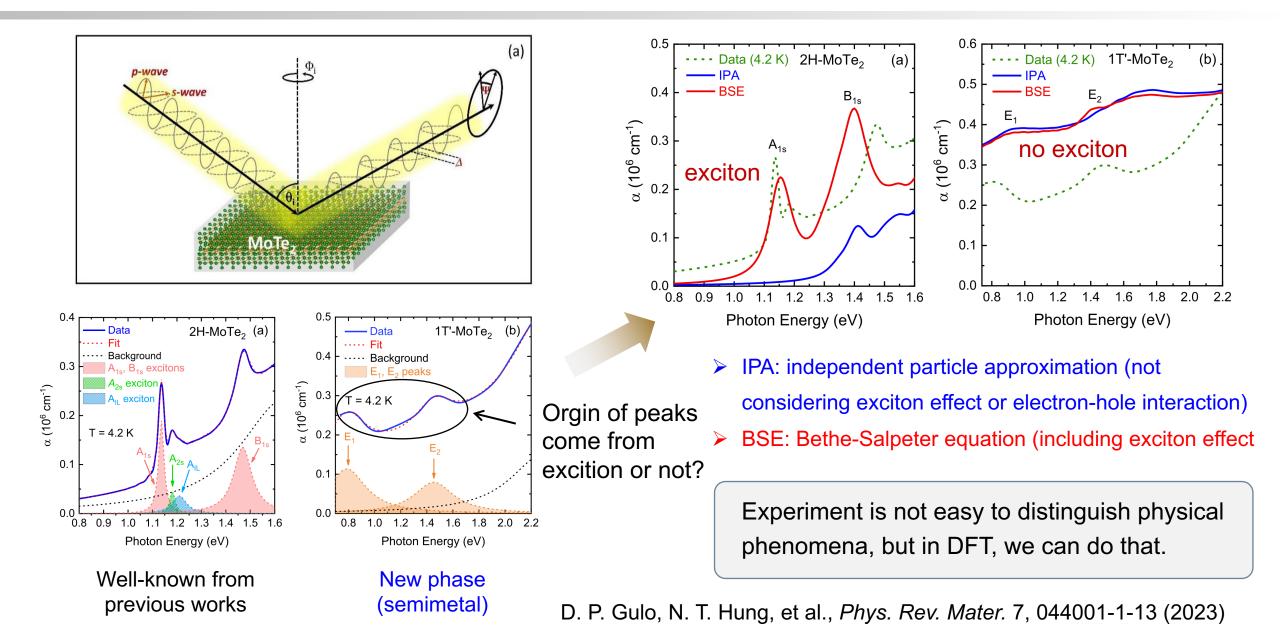
Applications: Understading optical spectra

Photon Energy (eV)

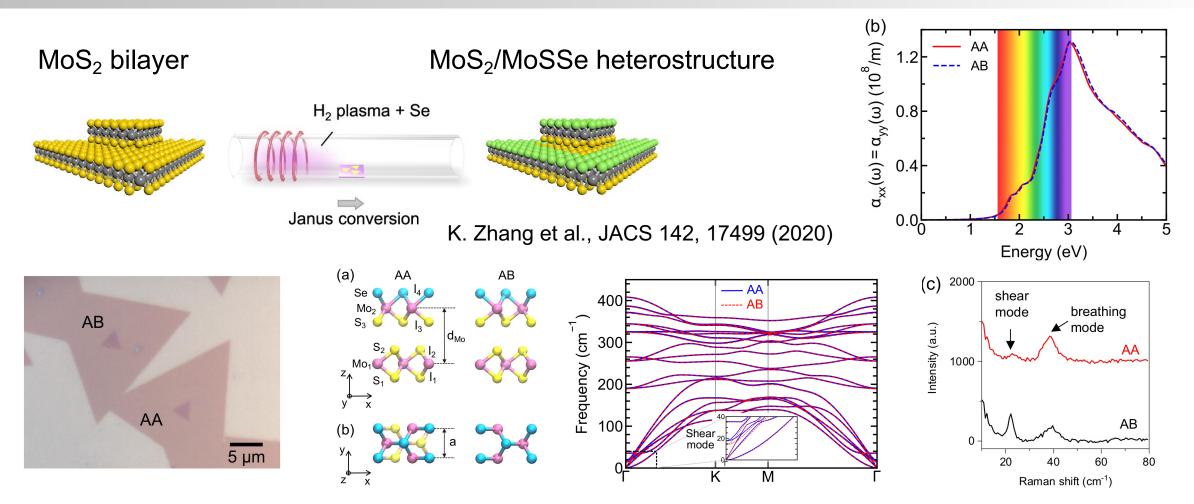


D. P. Gulo, N. T. Hung, et al., Carbon 197, 485-493 (2022)

Applications: Understading exciton effect



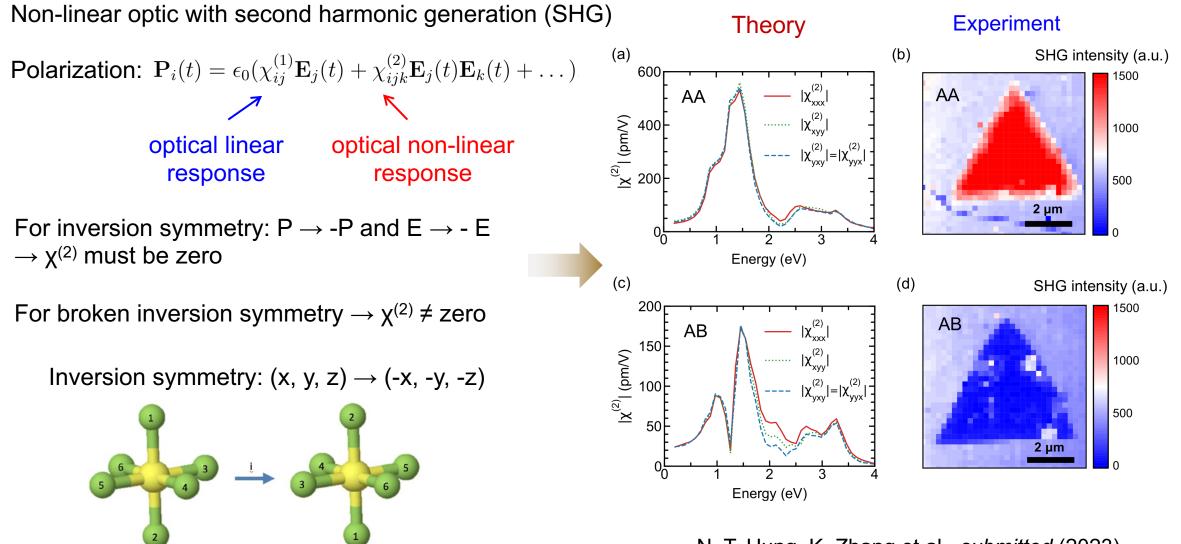
Applications: Can DFT be first?



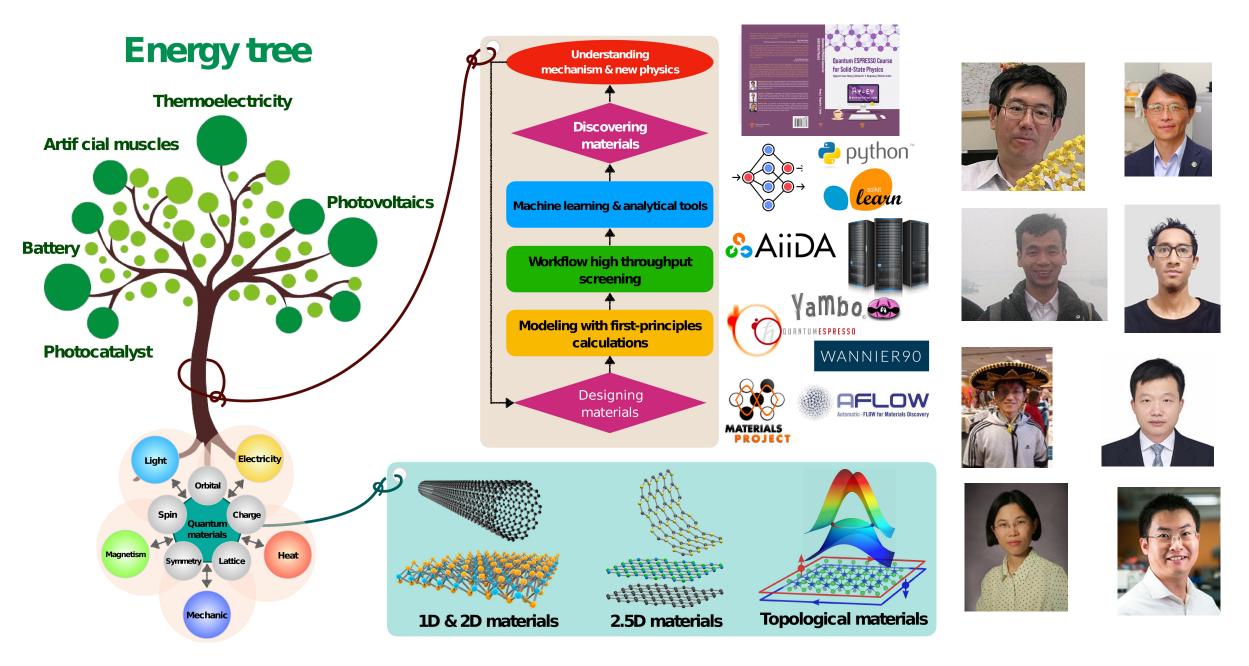
Both AA and AB stakings exist BUT electronic, phonon, liner optical properites are almost similar expect the Raman of shear mode at low frequency (not easy to observe)

 \rightarrow How to distinguish the AA and AB structure of heterostructure by other way?

Applications: Can DFT be first?

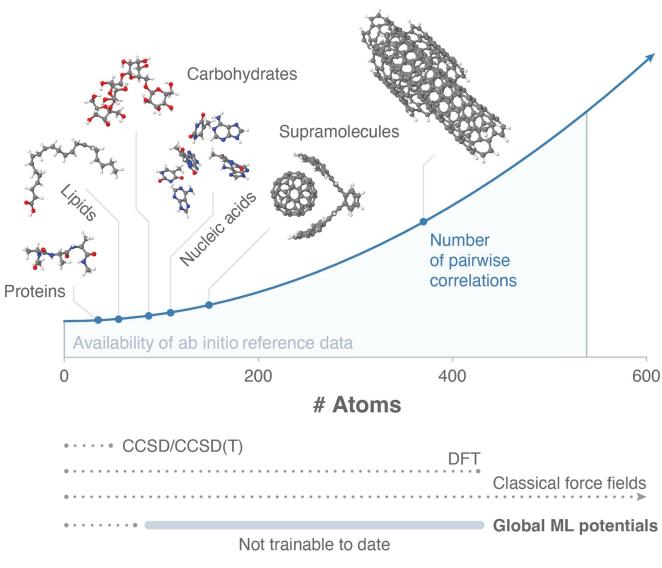


N. T. Hung, K. Zhang et al., *submitted* (2023)



For detail: https://nguyen-group.github.io

Large-scale DFT Calculations and Moving to GPUs



Chmiela et al., Sci. Adv. 9, eadf0873 (2023)





DFT on a handful of atoms (three to ~100)

DFT or better on three thousand atoms!

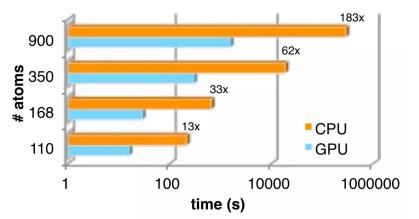
now:

GPU clusters

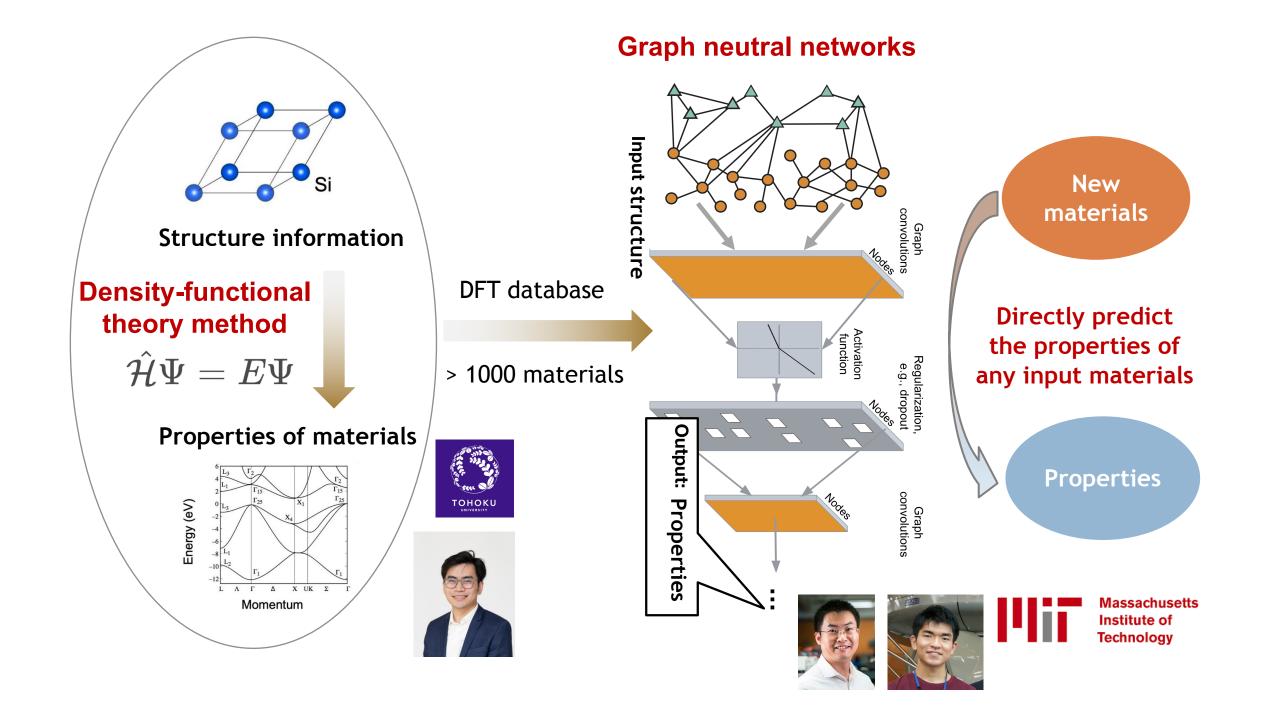
TeraChem: see

http://petachem.com





I.S. Ufimtsev and T. J. Martinez J. Chem. Theory Comput. 5, 1004 (2009).





Please enjoy running Quantum ESPRESSO!

Many Other Examples

