

# Black-box inhomogeneous preconditioning for density-functional theory

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*Inria*



→ [https://michael-herbst.com/talks/2020.09.24\\_ldos\\_preconditioning.pdf](https://michael-herbst.com/talks/2020.09.24_ldos_preconditioning.pdf)

# Contents

- 1 High-throughput DFT and  **DFTK**
- 2 Self-consistent field iterations
- 3 SCF preconditioning based on the local density of states

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  - Start with structure / lattice
  - Select quantities of interest:
    - Free energy, band gap, excitation energies, ...
- 2 Choose DFT model
  - DFT functional
  - Pseudopotential
  - ...
- 3 Choose numerics
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- 5 If failure: Tweak numerics, repeat 4
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- Convergence thresholds: SCF, eigensolver, ...
- Algorithm: SCF guess, preconditioners, mixing, ...
- Floating point type

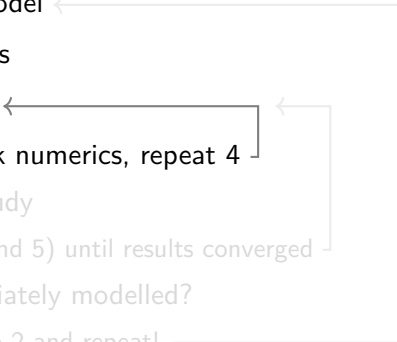
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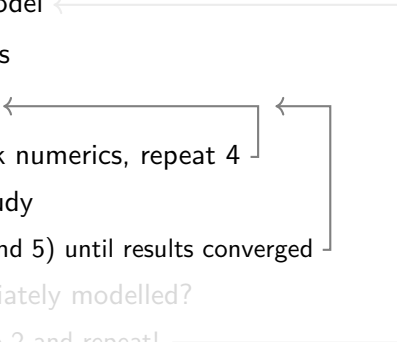
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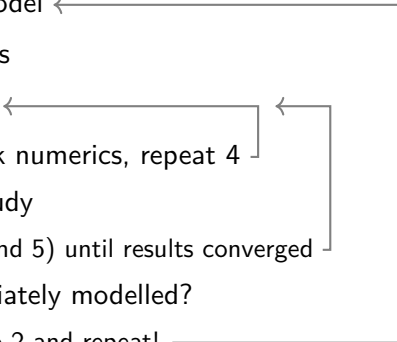
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    - Yes: Hooray! Done!
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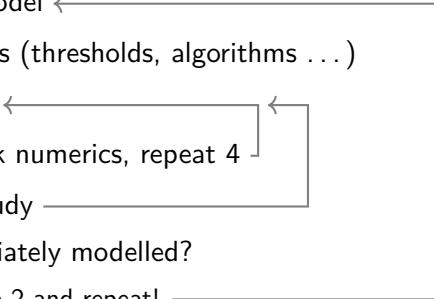
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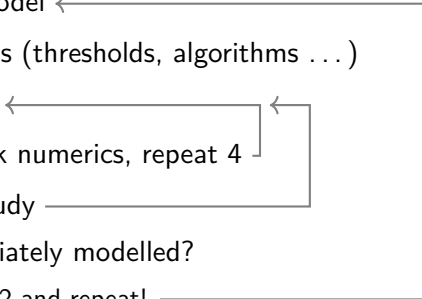
# High-throughput DFT applications

- **High-throughput screening:** Systematic computation
  - Narrow down 10k candidates to  $\mathcal{O}(10)$
- ⇒ Preselect for later investigation
- Applications:
    - *In silico* design of novel materials
    - Catalysis, battery research, structure determination
- ⇒ Reduce expensive experiments / manual work
- ⇒ Requires high degree of automation








## Typical DFT workflow (2)

- 1 Formulate research question
  - 2 Choose DFT model ←
  - 3 Choose numerics (thresholds, algorithms ...)
  - 4 Run calculation ←
  - 5 If failure: Tweak numerics, repeat 4
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## Typical DFT workflow (2)

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## Obstacles for high-throughput screening


- Accuracy-related parameters chosen by **experience**
  - Empirical balance: Accuracy *versus* speed *versus* reliability
- ⇒ Need to reduce number of parameters:
- Use physics: Reliable **black-box preconditioners** (this work)
  - Use maths: Error estimates and automatic **error balancing**
- ⇒ Requires code base to support developments *and* applications

## Demands for interdisciplinary software

- **Mathematicians:** Toy models and unphysical edge cases
- **High-performance person:** Exploit hardware specialities
- **Scientist:** Design new models, not tweak numerics
- **Practitioner:** Reliable, black-box code, high-level interface
-  **julia** for multidisciplinary research:
  - *Walks like Python, talks like Lisp, runs like FORTRAN*
  - Rich ecosystem (Optimisation, PDEs, stochastic processes, GPUs, Machine-Learning, Statistics, Linear Algebra ...)
  - No two-language problem (high-level, compiled and hackable)⇒ Write **code** once, **re-use** for many back ends / machines ...
- <https://michael-herbst.com/learn-julia>

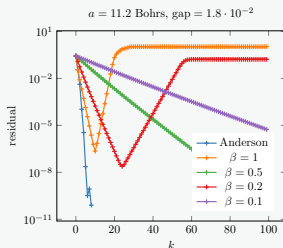



**DFTK** — <https://dftk.org>

- 16 months of development,  $\approx$  5000 lines of 
- Sizeable feature list (see <https://docs.dftk.org>):
  - Ground state and a bit of response theory
  - Compose your model: Gross-Pitaevskii, analytic potentials ...
  - Multitude of SCF approaches ( $> 800$  electrons possible)
  - Multi-level threading
  - 1D / 2D / 3D systems
  - Arbitrary floating point type
  - Integration with materials-related python modules
- **Performance:** Within factor 2 of established codes
- Platform for **multidisciplinary** collaboration
- Documentation and examples: <https://docs.dftk.org>

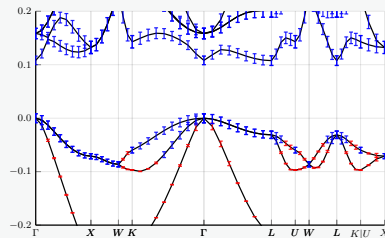
# A few recent DFTK projects

## Numerical analysis of SCF<sup>1</sup>



- SCF and direct minimisation
- Convergence wrt. spectral gap
- Numerical tests in  DFTK

## Error estimates for Kohn-Sham<sup>2</sup>



- A posteriori estimates for non-self-consistent Kohn-Sham
- Estimation of arithmetic error
- Elevated floating-point type
- Time to **publication**: 10 weeks

<sup>1</sup>E. Cancès, G. Kémlin, A. Levitt. arXiv 2004.09088 (2020)

<sup>2</sup>M. F. Herbst, A. Levitt and E. Cancès. Faraday Discuss. *In press.* (2020)

# Algorithm selection in self-consistent field iterations

- Screening studies: Crash of SCF not acceptable
  - What about challenging systems: Disorder, spin, ...?
  - Black-box and reliable SCF methods?
  - Systems with new physics can be the tough ones!
- Focus of this work: Algorithm selection for SCF
- Preconditioning of SCF iterations  $\equiv$  mixing

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# The essence of density-functional theory

$$\gamma_0 = \arg \min_{\gamma \in \mathcal{P}_N} \mathcal{E}_{\text{DFT}}(\gamma)$$

- Energy functional (LDA)

$$\begin{aligned} \mathcal{E}_{\text{DFT}}(\gamma) = & \text{tr}_{L^2} \left( -\frac{1}{2} \Delta \gamma \right) + \int \rho_\gamma(\underline{\mathbf{r}}) V_{\text{Nuc}}(\underline{\mathbf{r}}) \, d\underline{\mathbf{r}} \\ & + \frac{1}{2} \int \rho_\gamma(\underline{\mathbf{r}}) v_C(\underline{\mathbf{r}}, \underline{\mathbf{r}}') \rho_\gamma(\underline{\mathbf{r}}') \, d\underline{\mathbf{r}} \, d\underline{\mathbf{r}}' + E_{\text{xc}, \rho_\gamma} \end{aligned}$$

- Density matrix  $\gamma \in \mathcal{P}_N$
- Density  $\rho_\gamma(\underline{\mathbf{r}}) = \gamma(\underline{\mathbf{r}}, \underline{\mathbf{r}})$
- Coulomb kernel  $v_C(\underline{\mathbf{r}}, \underline{\mathbf{r}}') = 1 / \|\underline{\mathbf{r}} - \underline{\mathbf{r}}'\|$
- Exchange-correlation energy  $E_{\text{xc}, \rho_\gamma}$
- XC potential  $V_{\text{xc}, \rho}(\underline{\mathbf{r}}) = \frac{dE_{\text{xc}, \rho}}{d\rho(\underline{\mathbf{r}})}$  and kernel  $f_{\text{xc}, \rho}(\underline{\mathbf{r}}, \underline{\mathbf{r}}') = \frac{d^2 E_{\text{xc}, \rho}}{d\rho(\underline{\mathbf{r}}) d\rho(\underline{\mathbf{r}}')}$

# The self-consistent field procedure

- Euler-Lagrange equations (LDA):

$$\left\{ \begin{array}{l} \gamma_0 = f_{\varepsilon_F} \left( -\frac{1}{2}\Delta + V_{\gamma_0} \right) \quad \text{with } \varepsilon_F \text{ s.t. } \gamma_0 \in \mathcal{P}_N \\ V_\gamma = V_{\text{Nuc}} + \int (v_C \rho_\gamma) + V_{\text{xc}, \rho_\gamma}, \\ \rho_\gamma(\underline{\mathbf{r}}) = \gamma(\underline{\mathbf{r}}, \underline{\mathbf{r}}), \gamma \in \mathcal{P}_N \end{array} \right.$$

where

$$f_{\varepsilon_F}(\hat{\mathcal{F}}) = \sum_n f\left(\frac{\varepsilon_n - \varepsilon_F}{T}\right) |\psi_n\rangle \langle \psi_n| \quad \text{with} \quad \hat{\mathcal{F}}\psi_n = \varepsilon_n \psi_n$$

- Fermi-Dirac distribution

$$f(x) = \frac{1}{1 + \exp(x)}$$

# The self-consistent field procedure

- Euler-Lagrange equations (LDA):

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- Self-consistent field procedure:

- (1) Guess initial  $\rho_\gamma$
- (2) Build Kohn-Sham Hamiltonian  $-\frac{1}{2}\Delta + V_\gamma$
- (3) Diagonalise it to get new  $\{\psi_i\}_i$
- (4) Build new  $\rho_\gamma$ , go to (2).

# The SCF procedure as a fixed-point problem

- Euler-Lagrange equations (LDA)

$$\begin{cases} \gamma_0 = f_{\varepsilon_F} \left( -\frac{1}{2}\Delta + V_{\gamma_0} \right) & \text{with } \varepsilon_F \text{ s.t. } \gamma_0 \in \mathcal{P}_N \\ V_\gamma = V_{\text{Nuc}} + \int (v_C \rho_\gamma) + V_{\text{xc}, \rho_\gamma}, \\ \rho_\gamma(\underline{\mathbf{r}}) = \gamma(\underline{\mathbf{r}}, \underline{\mathbf{r}}), \gamma \in \mathcal{P}_N \end{cases}$$

- Define the potential-to-density map  $F$  by

$$F(V)(\underline{\mathbf{r}}) = \left[ f_{\varepsilon_F} \left( -\frac{1}{2}\Delta + V \right) \right] (\underline{\mathbf{r}}, \underline{\mathbf{r}})$$

and the density-to-potential map by

$$\mathcal{V}(\rho) = V_{\text{Nuc}} + \int (v_C \rho_\gamma) + V_{\text{xc}, \rho_\gamma}$$

$\Rightarrow$  SCF solves  $\rho = F(\mathcal{V}(\rho))$



# The SCF Jacobian

- SCF solves  $\rho = F(\mathcal{V}(\rho))$
- Consider damped fixed-point scheme:

$$\rho_{n+1} = \rho_n + \alpha [F(\mathcal{V}(\rho_n)) - \rho_n]$$

- Near a fixed-point the error goes as

$$e_{n+1} \simeq [1 - \alpha\epsilon^\dagger] e_n$$

where  $\epsilon^\dagger = 1 - \chi_0(v_C + f_{xc,\rho})$

- $\chi_0$ : Independent-particle susceptibility (derivative of  $F$ )

⇒ Jacobian  $J_\alpha = 1 - \alpha\epsilon^\dagger$  determines SCF convergence

- $\epsilon = 1 - (v_C + f_{xc,\rho})\chi_0$  is the dielectric matrix

⇒ Convergence of SCF linked to dielectric properties of material

## Dielectric matrix and SCF instabilities

- Dielectric adjoint:  $\epsilon^\dagger = 1 - \chi_0(v_C + f_{xc,\rho})$
- $f_{xc,\rho}$  usually small. If ignored  $\epsilon^\dagger \simeq 1 - \chi_0 v_C$  is positive.

⇒ Dampened iteration

$$\rho_{n+1} = \rho_n + \alpha [F(\mathcal{V}(\rho_n)) - \rho_n] \quad J_\alpha = 1 - \alpha \epsilon^\dagger$$

converges for small enough  $\alpha > 0$ .

- But: Required  $\alpha$  can be painfully small if
  - $\epsilon^\dagger$  has small eigenvalues (e.g. symmetry breaking)
  - $\chi_0$  has large eigenvalues (localised states)
  - Large charge-sloshing modes of  $v_C$  are uncompensated by  $\chi_0$ .
- This work: Only charge-sloshing

## Charge sloshing and mixing

- In Fourier space:  $\widehat{(v_C \rho)}(\underline{q}) = \frac{4\pi \hat{\rho}(\underline{q})}{|\underline{q}|^2}$

- Smallest  $q \sim 1/L$  where  $L$  is crystal length

$\Rightarrow \lambda_{\max}(v_C) \sim L^2$

$\Rightarrow$  condition number (roughly) grows as  $L^2$  (**charge sloshing**)

- Can imply  $\lambda_{\max}(\epsilon^\dagger) \sim L^2$  (e.g. in metals, next slide)

$\Rightarrow$  Infeasible to do some large systems with damped SCF

- **Mixing schemes:** Preconditioned quasi-Newton updates

$$\rho_{n+1} = \rho_n + \alpha P^{-1} [F(\mathcal{V}(\rho_n)) - \rho_n]$$

where  $P^{-1} \approx (\epsilon^\dagger)^{-1}$ .

## Construction of preconditioners: Bulk metals

- To prevent charge-sloshing need model in small- $q$  regime
- $\lim_{q \rightarrow 0} \chi_0(\underline{q}) \simeq -D$  with **density of states**  $D > 0$
- Approximate dielectric:

$$\epsilon(\underline{q}) = \frac{4\pi D + |q|^2}{|q|^2} \quad \lambda_{\max}(\epsilon) \sim L^2$$

- **Kerker mixing** ( $k_{\text{TF}} > 0$ )

$$P^{-1}(\underline{q}) = \frac{|q|^2}{|q|^2 + k_{\text{TF}}^2}$$

- Based on Thomas-Fermi theory (where  $k_{\text{TF}} = \sqrt{4\pi D}$ )

## Preconditioners: Bulk insulators / semiconductors

- $\lim_{q \rightarrow 0} \chi_0(\underline{q}) \simeq -\underline{q}^T \sigma_0 \underline{q}$  where  $\sigma_0$  is polarisability tensor
- Approximate dielectric:

$$\lim_{q \rightarrow 0} \epsilon(\underline{q}) = 1 + 4\pi \frac{\underline{q}^T \sigma_0 \underline{q}}{|q|^2}$$

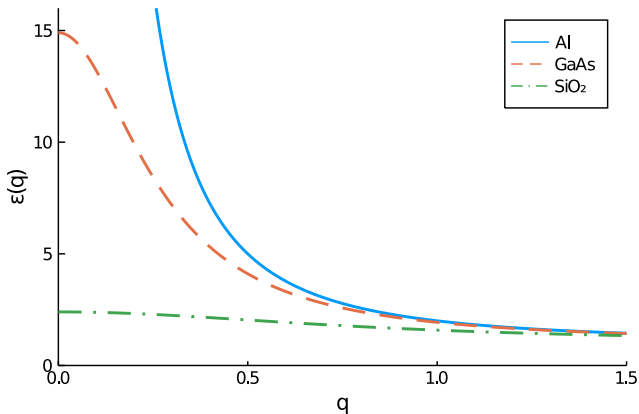
- $\sigma_0$  isotropic:  $\epsilon(0) = 1 + 4\pi\sigma_0 \equiv \epsilon_r$ , i.e. **dielectric constant**
- For larger  $q$ : Empirically interpolate to known behaviour  $q \rightarrow \infty^1$ :

$$\epsilon(\underline{q}) = \frac{\epsilon_r + (\epsilon_r - 1) \frac{|q|^2}{k_{\text{TF}}^2}}{1 + (\epsilon_r - 1) \frac{|q|^2}{k_{\text{TF}}^2}}$$

⇒ Construct **Dielectric mixing**

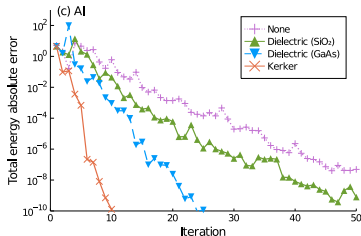
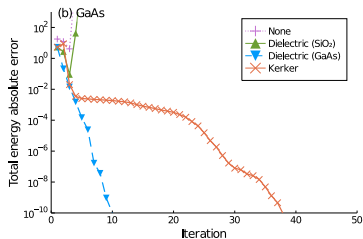
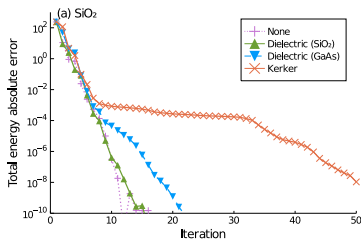
<sup>1</sup>M. F. Herbst, A. Levitt. arXiv 2009.01665 (2020)

# Comparison of model dielectric functions



- Differing behaviour for small  $q$
- Different preconditioning for each required

# Convergence results for bulk materials<sup>1</sup>



- silica (SiO<sub>2</sub>) insulator
- gallium arsenide (GaAs) semiconductor
- aluminium (Al) metal
- 40 randomised repeats
- Optimal damping
- Anderson acceleration

<sup>1</sup>M. F. Herbst, A. Levitt. arXiv 2009.01665 (2020)

## Problems with the discussed approaches

- Preconditioner / mixing scheme **manually chosen**
- What is in screening study material properties change?
- How to deal with unknown material?
- How to deal with inhomogeneous materials?



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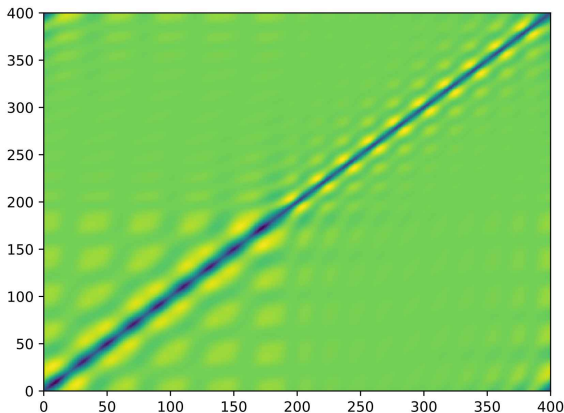
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# Approximating $\chi_0$

- $\epsilon^\dagger = 1 - \chi_0(v_C + f_{\mathbf{x}_C, \rho})$
- So far:
  - Closed-form approximation for  $\epsilon(\underline{q})$
  - Neglect of local field effects $\Rightarrow$  Closed form  $P^{-1}(\underline{q}) \simeq (\epsilon(\underline{q}))^{-1}$  in  $q$
- Now: Approximate  $\chi_0$  directly
- Try a *non-local* approximation  $\widetilde{\chi}_0(\underline{r}, \underline{r}') \simeq \chi_0(\underline{r}, \underline{r}')$
- Obtain iteratively

$$P^{-1} \delta \rho = (1 - \widetilde{\chi}_0 v_C)^{-1} \delta \rho$$

## Plot of (exact) $\chi_0$



- 1D system (Chain of 10 Sodium atoms and 10 helium atoms)

## Local density of states (LDOS)

- Kohn Sham eigenpairs  $(\varepsilon_n, \psi_n)$ , Fermi-Dirac distribution  $f$ , temperature  $T$ , Fermi level  $\varepsilon_F$
- Occupations and occupation derivative:

$$f_n = f\left(\frac{\varepsilon_n - \varepsilon_F}{T}\right) \quad f'_n = \frac{1}{T} f'\left(\frac{\varepsilon_n - \varepsilon_F}{T}\right)$$

- Local density of states

$$D_{\text{loc}}(\underline{\mathbf{r}}) = - \sum_n f'_n |\psi_n(\underline{\mathbf{r}})|^2$$

- Satisfies  $\int_{\Omega} D_{\text{loc}}(\underline{\mathbf{r}}) d\underline{\mathbf{r}} = D$

# LDOS approximation for $\chi_0^1$

- Adler-Wiser formula

$$\chi_0(\underline{\mathbf{r}}, \underline{\mathbf{r}}') = \sum_{n,m} \frac{f_n - f_m}{\varepsilon_n - \varepsilon_m} \psi_n(\underline{\mathbf{r}}) \psi_m^*(\underline{\mathbf{r}}) \psi_m(\underline{\mathbf{r}}') \psi_n^*(\underline{\mathbf{r}}') \\ + \frac{D_{\text{loc}}(\underline{\mathbf{r}}) D_{\text{loc}}(\underline{\mathbf{r}}')}{D}$$

- Main interest: Large-scale variations

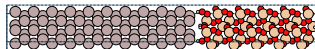
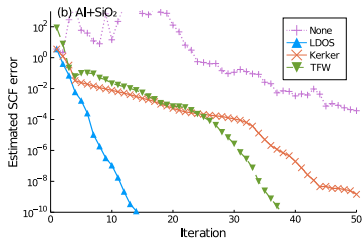
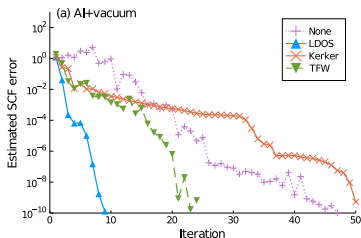
⇒ Argue  $\underline{\mathbf{r}}' \mapsto \chi_0^{(1)}(\underline{\mathbf{r}}, \underline{\mathbf{r}}')$  more localised around  $\underline{\mathbf{r}}$  than  $V(\underline{\mathbf{r}})$ :

$$\int \chi_0^{(1)}(\underline{\mathbf{r}}, \underline{\mathbf{r}}') V(\underline{\mathbf{r}}') d\underline{\mathbf{r}}' \simeq V(\underline{\mathbf{r}}) \int \chi_0^{(1)}(\underline{\mathbf{r}}, \underline{\mathbf{r}}') d\underline{\mathbf{r}}' \\ = V(\underline{\mathbf{r}}) \sum_{n,m} \frac{f_n - f_m}{\varepsilon_n - \varepsilon_m} \psi_n(\underline{\mathbf{r}}) \psi_m^*(\underline{\mathbf{r}}) \delta_{mn} \\ = V(\underline{\mathbf{r}}) D_{\text{loc}}(\underline{\mathbf{r}})$$

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# LDOS preconditioning (examples)

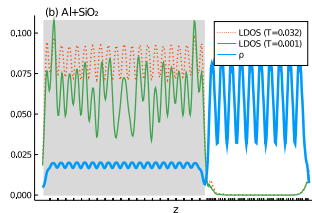
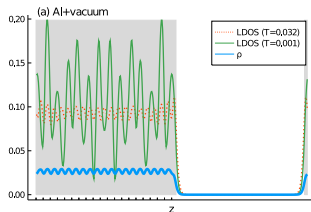
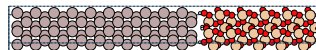
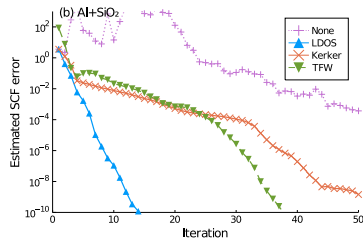
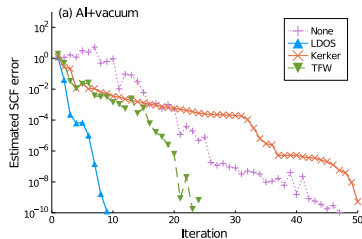


- 20 repeats of aluminium + 20 repeats vacuum / silica
- TFW: local Thomas-Fermi-von Weizsäcker mixing<sup>1</sup>
- LDOS **automatically interpolates** between Kerker mixing (in the metallic region) and no mixing (insulating region)

⇒ Parameter-free and black-box

<sup>1</sup>D. Raczowski, A. Canning, L. W. Wang, Phys. Rev. B. **64**, 121101 (2001).

# LDOS preconditioning (examples)



# LDOS preconditioning

- Advantages
  - Parameter-free, adaptive mixing for inhomogeneous systems
  - For metals, insulators and vacuum
  - Great for high-throughput studies on surfaces
- Disadvantages
  - Cannot treat semiconductors properly yet
  - LDOS quality depends on BZ / temperature (ok in practice)
- Ok-ish solution for semiconductors:
  - Just add models:  $\widetilde{\chi}_0 = \chi_0^{\text{LDOS}} + \chi_0^{\text{dielectric}}$
  - Introduces  $\varepsilon_r$  as a parameter (via Dielectric model)




# LDOS preconditioning results

	$\mathcal{N}$	None		Dielectric		Kerker		LDOS		LDOS+ Dielectric	
		it	$\kappa$	it	$\kappa$	it	$\kappa$	it	$\kappa$	it	$\kappa$
SiO <sub>2</sub> +vacuum	10	11	3.3	26	19.7	50	95.7	11	3.3	26	19.7
	20	12	3.4	30	24.4	n.c.	351.5	12	3.4	30	21.7
GaAs+vacuum	10	17	13.4	18	6.2	23	67.0	17	12.4	18	10.4
	20	20	15.5	22	12.9	n.c.	312.2	20	15.5	22	12.9
Al+vacuum	10	19	51.5	24	44.3	22	64.4	9	3.7	16	10.3
	20	47	170.8	49	168.5	n.c.	323.9	9	3.5	20	10.5
GaAs+SiO <sub>2</sub> <sup>a</sup>	10	45	13.7	19	8.9	34	52.4	45	13.4	19	8.8
	20	n.c.	18.2	20	10.2	n.c.	170.1	n.c.	18.2	20	10.2
Al+SiO <sub>2</sub>	10	43	93.1	29	33.6	30	50.9	17	6.1	20	9.2
	20	n.c.	316.6	n.c.	118.4	n.c.	159.4	14	5.4	20	10.1
Al+GaAs	10	n.c.	144.0	24	22.4	16	9.0	15	7.2	11	3.5
	20	n.c.	485.0	40	59.0	26	28.8	26	21.4	13	5.0
Al+GaAs+SiO <sub>2</sub>	10	n.c.	149.5	34	50.4	36	62.9	26	21.5	19	9.0

● Coloured: Condition number  $\kappa$  less than doubled on doubling system size

## Summary and outlook

- LDOS preconditioner:
  - Adaptive preconditioning for inhomogeneous systems
  - Parameter-free  $\Rightarrow$  Highly suitable for high-throughput
-  **DFTK** usage:
  - First develop LDOS scheme on test systems (1D, toy problems)
  - Test scheme on  $> 800$  electrons (in the same code!)
- Next steps for a full black-box SCF preconditioner:
  - Spin / XC term
  - Black-box model for semiconductors
  - Localised states

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