



Scientific Computing & Modelling

# **BAND Manual**

**ADF Program System  
Release 2014**

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# Table of Contents

<b>BAND Manual</b> .....	<b>1</b>
<b>Table of Contents</b> .....	<b>2</b>
<b>Preface</b> .....	<b>5</b>
Release 2014.01 .....	5
<b>1 General</b> .....	<b>6</b>
<b>1.1 Introduction</b> .....	<b>6</b>
Characterization of BAND .....	6
Functionality .....	6
Analysis .....	6
Technical .....	6
Changed defaults in the 2014 release.....	7
<b>2 Input</b> .....	<b>8</b>
<b>2.1 Introduction</b> .....	<b>8</b>
Format of the Input file .....	8
Examples.....	8
Setting up an Input File .....	9
<b>2.2 Structure of the input</b> .....	<b>9</b>
General Input Features .....	9
Title, Comments and Ignore .....	10
Defining variables and functions .....	11
Units .....	11
Execution flow* .....	12
<b>2.3 Geometry</b> .....	<b>12</b>
Lattice vectors .....	12
Coordinates of atoms in the unit cell .....	13
Natural coordinates .....	13
Labels for points in k space .....	13
Selected atoms.....	14
<b>2.4 Model Hamiltonian</b> .....	<b>14</b>
Density Functional .....	14
XC functionals .....	14
Spin polarization .....	18
GGA+U .....	19
Relativistic Effects .....	20
Solvation.....	20
COSMO: Conductor like Screening Model .....	20
Static electric field .....	24
Finite nucleus .....	24
<b>2.5 Precision and Performance</b> .....	<b>25</b>
General Numerical Quality .....	25
Defaults Convention .....	25
Fine tuning integration in real space .....	25
Becke grid for numerical integration .....	26
Voronoi grid (deprecated).....	26
Numerical integration in reciprocal space .....	26
Using a regular grid .....	27
Old way.....	27
Density fitting .....	27
Basis and fit set .....	28
Using the database: BasisDefaults .....	28
Manually specifying AtomTypes .....	29
Confinement of basis functions .....	31
Soft confinement .....	31
Technical Settings* .....	32

Self-consistency .....	32
SCF key .....	32
Convergence key .....	33
DIIS key .....	34
DIRIS key* .....	35
Linear Scaling .....	35
Dependency .....	36
Screening .....	36
Fit Method .....	37
Direct (on the fly) calculation of basis and fit .....	38
Radial grid .....	38
Elliptic integrals .....	38
Fermi energy search .....	39
IO settings* .....	39
IO block size .....	39
File limit .....	39
Block size .....	39
<b>2.6 Restarts .....</b>	<b>40</b>
Restart key .....	40
Plots of the density, potential, and many more properties .....	40
Orbital plots .....	41
Grid .....	42
LDOS (STM) .....	42
Complete example scripts for visualisation .....	43
<b>2.7 Structure and Reactivity .....</b>	<b>45</b>
Nuclear energy gradients* .....	45
Lattice gradients* .....	46
Geometry optimization .....	46
GeoOpt key .....	46
Numerical frequencies (Hessian) .....	47
Transition state search .....	48
Partial Hessian and (pre)optimizations .....	48
Constrained optimization .....	48
Selected atoms .....	49
Phonons and thermodynamics .....	49
PhononConfig .....	49
<b>2.8 Spectroscopic properties .....</b>	<b>50</b>
Time-dependent DFT .....	50
Response key .....	51
Limitations .....	52
Time-dependent DFT for metals .....	52
Frequency dependent kernel .....	53
EELS .....	53
ESR .....	53
Electric Field Gradient (EFG) .....	54
NMR .....	55
<b>2.9 Printed Output .....</b>	<b>55</b>
Print key .....	55
Thresholds .....	56
More options .....	56
Debug key* .....	57
<b>2.10 More Analysis .....</b>	<b>57</b>
Charges .....	57
Bader Analysis (AIM) .....	57
Density of States .....	58
DOS .....	58
Gross populations .....	59

Overlap populations .....	59
Band structure .....	60
Band structure interpolation .....	60
Effective mass .....	61
Properties at nuclei .....	62
Form factors .....	62
Fragments .....	62
Fragment key .....	63
<b>2.11 Expert options*</b> .....	<b>63</b>
Symmetry .....	63
Excited states .....	64
The programmer key .....	65
<b>3 Recommendations, Problems, Questions</b> .....	<b>67</b>
<b>3.1 Recommendations</b> .....	<b>67</b>
Model Hamiltonian .....	67
Relativistic model .....	67
XC functional .....	67
Technical Precision .....	67
Performance .....	68
Reduced precision .....	68
Memory usage .....	68
Reduced basis set .....	69
Frozen core for <i>5d</i> elements .....	69
<b>3.2 Trouble Shooting</b> .....	<b>70</b>
SCF does not converge .....	70
Geometry does not converge .....	71
Negative frequencies phonon spectrum .....	71
Basis set dependency .....	71
Using confinement .....	71
Removing basis functions .....	72
Frozen core too large .....	73
<b>3.3 Various issues</b> .....	<b>73</b>
Understanding the logfile .....	73
Breaking the symmetry .....	75
Labels for the basis functions .....	75
Reference and Startup Atoms .....	76
Numerical Atoms, Basis functions, and Fit functions .....	76
<b>4 References</b> .....	<b>78</b>
<b>Keywords</b> .....	<b>82</b>
<b>Index</b> .....	<b>83</b>

# Preface

The installation of the Amsterdam Density Functional band-structure program (BAND) on a computer is explained in the Installation manual, where you can also find information about the license file(s) that you need to run the program. This User's Guide describes how to use the program, how input is structured, what files are produced, and so on. The Examples document, also available on the SCM web site, explains the most popular features in detail, by commenting on the input and output files in the \$ADFHOME/examples/band directory.

Where references are made to the operating system (OS) and to the file system on your computer the terminology of UNIX type OSs is used and a hierarchical structure of *directories* is assumed. The Mac OS X platform, Linux, and all popular Windows platforms are supported.

This guide and other documentation is available at <http://www.scm.com>. As mentioned in the license agreement, it is mandatory, for publications in which BAND has been used, to cite the lead references given in the References document, which can be found on the SCM website.

## Release 2014.01

The 2014 version is all about new defaults to improve the performance for larger systems and at the same time simplifying the usage

- A NumericalQuality key
- Automatic quality of the k-space grid
- Automatic quality of the Becke grid
- Automatic quality of the zlm fit
- Automatic confinement of the orbitals

Apart from this it features

- Non-collinear spin magnetization
- LISTi and LISTb SCF convergence accelerator
- Smaller RUNKF files
- Atom dependent (local) quality for fit and grid
- DZP basis set H-Ca, Ga-Kr

Removed features

- NONORTHOGONALFIT
- Numerical fit functions

# 1 General

## 1.1 Introduction

BAND is a program for calculations on periodic systems, i.e. polymers, slabs and crystals, and is supplemental to the molecular ADF program for non-periodic systems. It employs density functional theory in the Kohn-Sham approach. BAND is very similar to ADF in the chosen algorithms, although important differences remain. Like ADF, BAND makes use of atomic orbitals, it can handle elements throughout the periodic table, and has several analysis options available. Unlike ADF, BAND can use numerical atomic orbitals, so that the core is described very accurately. Because of the numerical orbitals BAND can calculate accurate *total* energies. Furthermore it can handle basis functions for arbitrary *l* values.

## Characterization of BAND

### Functionality

- Automatic geometry optimization
- Formation energy with respect to isolated atoms that are computed with a fully numerical Herman-Skillman type subprogram
- A choice of density functionals, including LDA (Local Density Approximation), GGA (Generalized Gradient Approximation), and meta GGA (with kinetic energy density dependence) formulas
- Time-dependent DFT for calculation of frequency-dependent dielectric functions of systems periodic in one or three dimensions.
- The ZORA method for scalar relativistic effects is available (also for the TDDFT option). Spin-orbit coupling can be taken into account, including non-collinear magnetization.
- Phonon spectrum.
- Electric field perpendicular to the periodic direction(s)

### Analysis

- Mulliken populations for basis functions, overlap populations between atoms or between basis functions.
- Hirshfeld charge analysis
- Densities-of-States: DOS, PDOS and OPWDOS/COOP
- Local Densities-of-States: LDOS (STM images)
- Form factors (X-ray structures)
- Charge analysis using Voronoi cells (yielding Voronoi Deformation Charges)
- Orbital plots
- Deformation density plots
- Band structure plots along the edges of the Brillouin zone
- One-electron energies and orbitals at the Brillouin Zone sample points
- Fragment orbitals and a Mulliken type population analysis in terms of the fragment orbitals
- QT-AIM (Quantum Theory of Atoms In Molecules). Atomic charges and critical points.
- ELF: Electron Localization Function (understand bonding).

### Technical

- Linear scaling techniques are used to speed up calculations on large unit cells

- SCF convergence based on a Direct Inversion of Iterative Subspace (DIIS) method. For problematic systems also LIST is available.
- The implementation is built upon a highly optimized numerical integration scheme for the evaluation of matrix elements of the Hamiltonian, property integrals involving the charge density, etc.  
This is the same numerical integration scheme as used in ADF.
- Basis functions are Slater-Type Orbitals (STOs) and/or Numerical Orbitals (NOs).
- The ZlmFit is used to fit the deformation density, which is the difference between the final density and the startup density. The deformation density has zero charge and will in general be small. The fitted deformation density is used for the calculation of the Coulomb potential and the derivatives of the total density (needed for the gradient corrections in the exchange-correlation functionals). In both cases the main part, due to the startup density, is calculated accurately by a numerical procedure, and only the small part from the deformation density is obtained via the fit.
- A frozen core facility is provided to allow efficient treatment of the inner atomic shells.
- Space group symmetry is used to reduce the computational effort in the integrals over the Brillouin zone.

## Changed defaults in the 2014 release

- NumericalQuality concept. Now the precision of all key algorithms can be controlled with a simple Quality key, and the overall NumericalQuality sets the default for these. Similar in spirit to the old Accuracy keyword. Does not affect the basis set or model Hamiltonian.
- Fit method: ZlmFit (was STO fit). This has two advantages, namely that the performance scales much better with system size, and secondly that the accuracy can be systematically improved (or worsened). Although the STO fit was quite accurate, especially when using the QZ4P fit, this was not so for the Lanthanide and Actinide series, for which the standard STO fit sets lacked functions with extra high  $l$  to describe partially filled  $f$  shells. Finally the screening function is no longer needed to calculate the Coulomb potential. This is now obtained via a proper summation of the multipole terms. The screening was inefficient with stretched unit cells, and not so accurate when having a dipole in the  $z$ -direction in a slab or linear chain calculation.
- Grid: Becke grid (was Voronoi grid). The advantage is that the error of the Becke grid is more smooth as a function of geometry, thus stabilizing geometry optimizations.
- KSpace: use a regular grid with a possibly different mesh per direction. The underlying algorithm is unchanged, namely the quadratic analytical tetrahedron method. The default sampling now depends on the size of the lattice vectors: the bigger the real space lattice, the smaller the number of  $k$ -points.
- Confinement: at lower levels of NumericalQuality use smooth confinement, for better localization of the basis functions. In principle this changes a bit (the radial behavior of) the basis set.
- Direct: no more reading/writing of basis functions from/to the disk. Does not affect the results.
- For NMR, and Response calculations the old defaults are used. The same is true for systems with cylinder symmetry.

To revert to the old-style use the DefaultsConvention keyword.

## 2 Input

### 2.1 Introduction

When the program has been installed properly on your machine, you should be able to run it by supplying appropriate input. This document describes how input is organized. A few sample runs are contained in the distribution, see the Examples document on the SCM website for a description.

Input is structured by keywords, or keys. A key is a string of letters, dollar signs (\$), and digits. It must not start with a digit. It must not contain any other character, in particular not any blank.

Key-controlled input occurs in two forms: either one record (which contains both the key and/or associated data) or a sequence of records, collectively denoted as a key *block*. The first record of the block specifies the key (and may supply additional information); the block is closed by the 'end-key' code: a record containing only the word 'End'. The other records in the block provide data associated with the key.

The form to be used for a key is not optional: each admissible key corresponds to a particular form. The block form is used for keys that relate to 'lists' of data, such as atomic coordinates or basis functions.

As is the case in the molecular code, the 'title' must be specified explicitly with the key 'Title' and may be put on any record of the input file. The input file should end with a record `End Input`, that is, the program reads input until such a record is encountered or until the Fortran end-of-file condition becomes true, whichever comes first.

`End Input` is not a key.

Summarizing, the input file must have the following format:

### Format of the Input file

```
TITLE jobname
  key-controlled data
  key-controlled data
  (et cetera...)
End Input
```

The ordering of keys in input is free and has no consequences.

All numerical information is 'free format': the absolute positions of numbers and the format of reals is irrelevant.

In most cases lowercase characters and capitals can both be used and the program will not discriminate between them, except in filenames.

### Examples

A few of examples are available in the `$ADFHOME/examples/band` directory: for each sample run a run script and the output file. You may rerun the sample runs and compare your results with the provided output files to check that your BAND version has been installed correctly. This will also help you to get familiar with using the program. See the Examples document for a brief discussion of the available sample runs. The examples typically take a few minutes of CPU time.



For new users it may be convenient to have at least one of the example outputs at hand when reading the next parts, so that remarks and instructions can be compared to an actual case.

## Setting up an Input File

We now give a brief guide to set up input.

You first specify the minimally required information: the geometric structure and the definition of the atoms (positions and function sets) that constitute the system. Then you add keys for all aspects for which you don't want to use the defaults.

1. Specify a title using the key `Title`.
2. Define the structure of periodicity with the key `Lattice`.
3. Give the positions of the atoms with the key `Atoms`.  
All atoms specified in the corresponding data block belong to one *type* of atom. Consequently, the key `Atoms` must be repeated as many times as there are different types of atoms. Different chemical elements necessarily belong to different types. The reverse is not true: it is allowed to define more than one 'type' of Carbon atom, for instance to equip them with different basis sets.
4. Specify the `BasisDefaults` key. With this you can set the quality of the basis set to be used, and the size of the frozen core. Given your settings the program will look up an appropriate basis set for each type from the database. This replaces the old style `AtomType` key that needed to be specified for each type.
5. Add further keys for features you don't want to be defaulted, for instance `Unrestricted` (if you want to do a spin-*unrestricted* calculation), `Accuracy` (general precision parameter), `KSpace` (parameter for numerical integration over the Brillouin Zone), `DOS` (generation of the density-of-states), and so on.
6. Terminate the input file by typing `End Input`
7. Comments: everything behind a exclamation mark "!" is treated as comment. If you put it behind a key, leave some space between it, otherwise it will be seen as part of the key.

Consult the sample runs and description below, to see how you may use the various keys (`Lattice`, `Atoms`, `BasisDefaults`).

## 2.2 Structure of the input

### General Input Features

The program supports the following features to enhance user-friendliness of input:

- Arithmetic *expressions* can be used (wherever numbers are required) involving the standard arithmetic operands in Fortran (+ - \* / \*\*), together with parentheses where necessary or convenient. Blanks are allowed in expressions and ignored, but they are interpreted as separators, i.e. as denoting the end of an expression, whenever the part before the blank can be evaluated as a correct expression. For instance '3\* 4' will be interpreted as 12, but '3 \*4' will be interpreted as 3, followed by a character \*, followed in turn by the number 4. All numbers and results are interpreted and handled as being of type real, but whenever the result

- is a whole number (allowing for small round-off deviations), it will be recognized as possibly denoting an integer.
- (Single) quotes can be used to designate strings, i.e. (parts of) records which are not to be parsed for expressions, but which are to be taken as they are. The quotes themselves are ignored. Double quotes inside a string are understood to denote the single quote character (as part of the string).
  - Empty records and starting blanks in records are allowed (and ignored), and can be used to enhance clarity and readability of the input file for human readers by structuring its layout.
  - A double colon :: is interpreted as an end of line character, hence the double colon and anything after it is ignored

## Title, Comments and Ignore

Title

Specifies the title of this run. The title is used for identification of the result files.

Comment (block-type), and line oriented

The content of this key is a text that will be copied to the output header, where general program information is also printed. The exclamation mark can also be used to add comment to you input that should not interpreted by BAND. Example

```

Comment ! here are my comments
Description of the calculation
Some more description
End

Lattice ! FCC lattice
0 a a
a 0 a
a a 0
End

...

! Here are my defines

Define
...
End

```

Finally it is possible to let BAND ignore parts of the input

Ignore (block-type)

Suppress reading of input until the next end-key code (END).

## Defining variables and functions

The user may define *variables* and *functions* in the input file, and apply them subsequently in expressions. The input file is read sequentially and variables and functions must be defined before they can be used. Note carefully that replacement of a variable (or function) by its value will occur wherever possible (textually), even if it leads to non-sense input. A frequently occurring mistake is that the user defines a variable 'C' in his (her) input and then gets his input corrupted because of subsequent isolated C characters are replaced by the defined numerical value. *Therefore: avoid single-character variables and function names.* Always check carefully that the identifier you introduce is not 'used' already in the input file.

A few variables and functions are pre-defined:

(variables):

pi = 3.1415....

(functions):

sin, cos, tan, asin, acos, atan, exp, log, sqrt, nint.

The argument list of a function must be enclosed in parentheses, and the arguments (in case of more than one) must be separated by commas.

Defining variables and/or functions is done with the block-type key `define`.

Example (part of input):

```
DEFINE
ab = sin(pi/3)
s13 = 14*sqrt(2)
func(x,y,z) = x*ab+y**2-y*z
End
AKEY = FUNC (S13/5, S13/7, SIN(PI/6))
```

Here a function `func` and variables `ab` and `s13` are defined, using the pre-defined functions `sin` and `sqrt`, as well as the pre-defined variable `pi`. These are then applied to assign a value to the (hypothetical) key `AKEY`.

Note 1: the variable `ab` is also used in the definition of `func`; this is allowed because `ab` is defined before `func`.

Note 2: variable- and function *names* must have the same form as keywords, i.e. only certain characters are allowed.

Note 3: in the definition of variables and functions blanks are ignored altogether (in the value part) and will not be interpreted as possible separators of the expression that defines the variable or function.

`Define` (block-type)

Definition of user-supplied functions and variables that can subsequently be used in the input file. (see the note on auxiliary input features)

## Units

Geometric data (atomic positions and lattice vectors) are by default understood to be in atomic units (bohr). Alternatively one may supply data in angstroms by setting the key `Units` (see below). Internally the program will then convert the input data into a.u.

`Units`

Units of length and angle Geometric lengths and angles are in units defined by this key.

```

| UNITS
|   {LENGTH {Angstrom | Bohr}}
|   {ANGLE {Degree | Radian}}
| End

```

*Angstrom* and *Bohr*, respectively *Degree* and *Radian*, are recognized strings. Each of the subkeys is optional, as is the key UNITS itself. Defaults: Bohr for lengths, and Degree for angles.

The position of this key in the input is not important. It always applies to **all input**.

To avoid mistakes one should place UNITS as early as possible in input (if at all).

## Execution flow\*

There are a few ways to alter the standard execution flow, which may be useful to developers or expert users.

StopAfter

Specifies that the program is stopped after execution of a specified program-part (subroutine). The specified name should be one of a pre-defined list. The most relevant ones are `gentry` (all geometrical aspects are checked, symmetry analysis is carried out, and numbers of (symmetry-unique) integration points in real space and in k-space are determined; this part takes only little cpu-time) and `atomic` (in addition to the geometry-part all radial parts of basis- and fit functions are generated, and the spherically symmetric atoms are computed and inserted in the crystal; the initial charge density is defined and integrated (check on integration-precision), and the electrostatic interaction is computed between the unrelaxed free atoms).

SKIP

followed by any number of strings (separated by blanks or commas) tells the program to skip certain parts. Should only be used by those who know what they're doing. Recognized are certain pre-defined strings. Useful argument may be `DOS` when that part of the program takes a long time (usually not), or `eigenvalues` (to suppress printing the eigenvalues at the (first and last) SCF cycles).

ALLOW

debugging feature to let the program continue even when intermediate results seem to be wrong or very inaccurate. Currently there are only few places in the program where this key is used. Argument to the key is what should be allowed (possible arguments: `BadIntegration`, `OCC`, `CHARGEERROR`, `DEPENDBASIS`).

## 2.3 Geometry

### Lattice vectors

Lattice (block-type)

Vectors defining the Bravais lattice, one vector per line. The number of lines defines the periodicity of the system: 1: polymer, 2: slab, 3: bulk crystal. Each vector has three coordinates (Cartesian), in atomic units. To specify coordinates in Angstrom, use the `Units` key.

## Coordinates of atoms in the unit cell

Atoms (block-type)

Nuclear coordinates. The chemical symbol (H, C, Cu, etc.), which defines the atom *type*, must be given on the keyword-line. The data-records contain the coordinates, one atom per line. The coordinates are in cartesian representation unless the key `Coordinates` has been given in input with the value `natural`, in which case the numbers are interpreted as expansion coefficients in the Bravais lattice vectors (see key `Lattice`). In case of the cartesian representation the values are in atomic units (angstroms if the unit of length has been changed with key `Units`). The `atoms` key must occur once for every atom type, i.e. the number of atom types is *defined* as the number of occurrences of this key.

You can add the following subkeys that override the behavior of the `BasisDefaults` key

`BasisType`

This overrides the setting of the `BasisDefaults%AtomType` key for this atom type.

`Core`

This overrides the setting of the `BasisDefaults%Core` key.

`File`

Specify a full path to a basis set file.

## Natural coordinates

`Coordinates`

The only sensible value for this key is: `natural`, which specifies that nuclear coordinates (key `atoms`) are given as expansions in the Bravais lattice vectors, rather than in a Cartesian representation.

## Labels for points in k space

`KLabels` (block-type)

With this key you assign names to symmetry unique k-points. In general you do not know in advance how many k-points will be used, nor the number of points that are symmetry unique among them. Therefore you should first add to your input file the option `StopAfter gemtry`, which causes the program to stop after the k-points have been generated. In the output you will see under the header `k-space` integration a numbered list of the k-points, with their, symmetry-unique-index number, and coordinates. In the next run you may then give the symmetry unique k-points symbolic names.

Example:

```
KLabels
  GAMMA
  X
  M
End
```

According to this example all k-points with symmetry unique number 1, will be labeled `gamma`, those with symmetry unique number 2 `X`, and those with symmetry unique number 3 `M`.

## Selected atoms

`SelectedAtoms`

With this key you can select atoms. This has an effect on a couple of options, like for instance the `Gradients`, `Hessian` (`FREQUENCIES`), `NMR`, and `EFG` options. In these cases, the properties will only be calculated for the selected atoms, which can make the job faster.

| `SelectedAtoms` *n1, n2, n...*

The numbers of the atoms are as on input. If the selection breaks the symmetry the program will stop. Leaving out this key in general selects *all* atoms.

## 2.4 Model Hamiltonian

The program calculates by default the non relativistic self-consistent field solution from the potential in the spin-restricted local density approximation (LDA) to the exchange-correlation (XC) potential. The post-SCF generalized gradient (GGA) corrections for the exchange and the correlation energies (each for a few different functionals) are calculated and printed on output. The program can be instructed to use the GGA corrections in the potential during the SCF as well. This will in general have little effect on the formation energy, but it may affect the Density of States (DOS).

## Density Functional

The starting point for the xc functional is usually the result for the homogeneous electron gas, after which so called nonlocal or generalized gradient corrections (GGA: Generalized Gradient Approximation) are added.

## XC functionals

The density functional approximation is controlled by the `XC` key.

`XC`

Three classes of exchange-correlation functionals are supported: LDA, GGA, and meta-GGA. There is also the option to add an empirical dispersion correction. The only ingredient of the LDA energy density is the (local) density, the GGA depends additionally on the gradient of the density, and the meta GGA has an extra dependency on the kinetic energy density.

In principle you may specify different functionals to be used for the *potential*, which determines the self-consistent charge density, and for the *energy* expression that is used to evaluate the (XC part of the) energy of the charge density. This is not so important for a single point calculation as Band prints the bonding energies of a set of common functionals, but the *energy* functional is used for the nuclear gradients (geometry optimization). To be consistent, one should generally apply the same functional to evaluate the potential and energy respectively. Two reasons, however, may lead one to do otherwise: 1. The evaluation of the GGA part (especially for Meta GGAs) in the *potential* is rather time-consuming. The effect of the GGA term in the potential on the self-consistent charge density is often not very large. From the point of view of computational efficiency it may, therefore, be attractive to solve the SCF equations at the LDA level (i.e. not including GGA terms in the potential), and to apply the full expression, including GGA terms, to the energy evaluation *a posteriori*: post-SCF.

2. A particular XC functional may have only an implementation for the potential, but not for the energy (or vice versa). This is a rather special case, intended primarily for fundamental research of Density Functional Theory, rather than for run-of-the-mill production runs.

The key that controls the Density Functional is `xc`, with sub keys `LDA` and *(meta)GGA* to define the LDA and (meta)GGA parts of the functional. All subkeys are optional (need not be used) and may occur twice in the data block: if one wants to specify different functionals for potential and energy evaluations respectively, see above.

```
XC
{LDA {Apply} LDA {Stoll}}
{GGA {Apply} GGA}
{DiracGGA GGA}
{MetaGGA {Apply} GGA}
{Dispersion {s6scaling} {RSCALE=r0scaling} {Grimme3/dDsC} {BJDAMP}
{PAR1=par1} {PAR2=par2} {PAR3=par3} {PAR4=par4}
{Model} {LB94/TB-mBJ/KTB-mBJ/JTS-MTB-MBJ/GLLB-SC}}
{SpinOrbitMagnetization}
{None|NonCollinear|CollinearX|CollinearY|CollinearZ}
End
```

The common use is to specify either an LDA, line or a (meta)GGA line. (Technically it is possible to have an LDA line *and* a GGA line, in which case the LDA part of the GGA functional (if applicable) is replaced by what is specified by the LDA line.)

#### Apply

States whether the functional defined on the pertaining line will be used self-consistently (in the SCF-potential), or only post-SCF, i.e. to evaluate the XC energy corresponding to the charge density. The value of apply must be SCF or POSTSCF. For each record separately the default (if no Apply value is given in that record) is SCF.

#### LDA

Defines the LDA part of the XC functional and can be any of the following:

`Xonly`: The pure-exchange electron gas formula. Technically this is identical to the Xalpha form (see next) with a value 2/3 for the X-alpha parameter.

`Xalpha`: the scaled (parameterized) exchange-only formula. When this option is used you may (optionally) specify the X-alpha *parameter* by typing a numerical value after the string Xalpha (separated by a blank). If omitted this parameter takes the default value 0.7

`VWN`: the parameterization of electron gas data given by Vosko, Wilk and Nusair (ref [1], formula version V). Among the available LDA options this is the more advanced one, including correlation effects to a fair extent.

`Stoll`: For the VWN or GL variety of the LDA form you may include Stoll's correction [2] by typing `Stoll` on the same line, after the main LDA specification. You must not use Stoll's correction in combination with the Xonly or the Xalpha form for the Local Density functional.

#### GGA

Specifies the GGA part of the XC Functional, in earlier times often called the 'non-local' correction to the LDA part of the density functional. It uses derivatives (gradients) of the charge density. Separate choices can be made for the GGA exchange correction and the GGA correlation

correction respectively. Both specifications must be typed (if at all) on the same line, after the GGA subkey.

For the exchange part the options are:

**Becke**: the gradient correction proposed in 1988 by Becke [3].  
**PW86x**: the correction advocated in 1986 by Perdew-Wang [4].  
**PW91x**: the exchange correction proposed in 1991 by Perdew-Wang [5]  
**mPWx**: the modified PW91 exchange correction proposed in 1998 by Adamo-Barone [27]  
**PBEx**: the exchange correction proposed in 1996 by Perdew-Burke-Ernzerhof [12]  
**HTBSx**: the HTBS exchange functional [45]  
**RPBEx**: the revised PBE exchange correction proposed in 1999 by Hammer-Hansen-Norskov [13]  
**revPBEx**: the revised PBE exchange correction proposed in 1998 by Zhang-Wang [28]  
**mPBEx**: the modified PBE exchange correction proposed in 2002 by Adamo-Barone [29]  
**OPTX**: the OPTX exchange correction proposed in 2001 by Handy-Cohen [30]

For the correlation part the options are:

**Perdew**: the correlation term presented in 1986 by Perdew [6].  
**PBec**: the correlation term presented in 1996 by Perdew-Burke-Ernzerhof [12].  
**PW91c**: the correlation correction of Perdew-Wang (1991), see [5].  
**LYP**: the Lee-Yang-Parr 1988 correlation correction [7-9].

Some GGA options define the exchange and correlation parts in one stroke. These are:

**BP86**: this is equivalent to Becke + Perdew together.  
**PW91**: this is equivalent to pw91x + pw91c together.  
**mPW**: this is equivalent to mPWx + pw91c together.  
**PBE**: this is equivalent to PBEx + PBec together  
**HTBS**: this is equivalent to HTBSx + PBec together  
**RPBE**: this is equivalent to RPBEx + PBec together  
**revPBE**: this is equivalent to revPBEx + PBec together  
**mPBE**: this is equivalent to mPBEx + PBec together  
**BLYP**: this is equivalent to Becke (exchange) + LYP (correlation).  
**OLYP**: this is equivalent to OPTX (exchange) + LYP (correlation).  
**OPBE**: this is equivalent to OPTX (exchange) + PBec (correlation) [31].

#### DiracGGA

(Expert option.) Sometimes it is better to use the LDA potential for the Numerical atoms, when the exact solutions are too wild. We found this to be the case for the PBE functional (and its variations). In that case the matrix elements of the Kinetic energy operator converged very slowly with the Accuracy parameter.

#### MetaGGA

Key to select the evaluation of a meta GGA. A byproduct of this option is that the bonding energies of all known functionals are printed (using the same density). Meta GGA calculations can be quite a bit more time consuming, especially when active during the SCF.

Self consistency of the meta GGA is implemented as suggested by Neuman, Nobes, and Handy. [11]

The available functionals of this type are:

**M06L**: The Meta GGA as developed by the Minesota group [16]  
**TPSS**: The 2003 Meta GGA [15]  
**revTPSS**: The 2009 revised Meta GGA [26]

DISPERSION Grimme3 BJDAMP



If `DISPERSION Grimme3` is present a dispersion correction (DFT-D3-BJ) by Grimme [44] will be added to the total bonding energy, gradient and second derivatives, where applicable. This is the latest dispersion correction in the DFTB-D family. Parametrizations are implemented for the functionals: B3LYP, TPSS, BP86, BLYP, PBE, PBEsol, and RPBE. It has four parameter. One can override this using `PAR1=.`, `PAR2=.`, etc. In the table the relation is shown between the parameters and the real parameters in the Dispersion correction.

variable	variable on Bonn website
PAR1	s6
PAR2	a1
PAR3	s8
PAR4	a2

`DISPERSION Grimme3`

If `DISPERSION Grimme3` is present a dispersion correction (DFT-D3) by Grimme [42] will be added to the total bonding energy, gradient and second derivatives, where applicable. Parametrizations are available for: B3LYP, TPSS, BP86, BLYP, revPBE, PBE, PBEsol, and RPBE, and will be automatically set if one of these functionals is used. For all other functionals, PBE-D3 parameters are used as default. You can explicitly specify the three parameters

variable	variable on Bonn website
PAR1	s6
PAR2	sr,6
PAR3	s8

`Dispersion`

If the `DISPERSION` keyword is present a dispersion correction will be added to the total bonding energy, where applicable. By default the correction of Grimme [32]. The term is added to the bonding energies of all printed functionals, standard the LDA and a couple of GGAs. The global scaling factor with which the correction is added depends on the exchange-correlation functional used at SCF but it can be modified using the `s6scaling` parameter. The following scaling factors are used (with the XC functional in parantheses): 1.20 (BLYP), 1.05 (BP), 0.75 (PBE), 1.05 (B3LYP). In all other cases a factor 1.0 is used unless modified via the `s6scaling` parameter.

The van der Waals radii used in this implementation are hardcoded. However, it is possible to modify the global scaling parameter for them using the `RSCALE=r0scaling` argument. The default value is 1.1 as proposed by Grimme [32].

With the extra option `Grimme3` the latest dispersion correction, known as D3, will be used. [42]

`Model`

Some functionals give only a potential and have no energy expression. We call such functionals model potentials. In band there are two available. With `Model LB94` the asymptotically correct potential of van

Leeuwen and Baerends is invoked. [10] To fix the band gap in bulk systems you can use `Model TB-mBJ`, see ref [46]. This potential depends on a c-factor for which there is a density dependent automatic expression. However you can override the automatic value by specifying `XC%TB_mBJCFactor cfac`. In principle: the bigger the value the larger the gap. Variations on this functional are the `Model KTB-mBJ`, and `Model JTS-MTB-MBJ`. The formula for C contains three parameters: A,B, and E. The logic is as follows

potential	A	B	E
TB-mBJ[46]	-0.012	1.023	0.5
KTB-mBJ[56]	0.267	0.656	1.0
JTS-mTB-mBJ[57]	0.4	1.0	0.5

All the three parameters (A,B, and E) can be explicitly set with the keys `XC%TB_mBJAFactor`, `XC%TB_mBJBFactor`, and `XC%TB_mBJEFactor`

From a theoretical point of view the the GLLB-SC is the best, because it models the derivative discontinuity [51].

#### SpinOrbitMagnetization

Most XC functionals have as one ingredient the spin polarization. Normally the direction of the spin quantization axis is arbitrary and conveniently chosen to be the z-axis. However, in a spin-orbit calculation the direction matters, and it is arbitrary to put the z-component of the magnetization vector into the XC functional. It is also possible to plug the size of the magnetization vector into the XC functional. This is called the non-collinear approach. There is also the exotic option to choose the quantization axis along the x or y axis. To summarize, the value `NonCollinear` invokes the non-collinear method. The other three option `CollinearX`, `CollinearY`, and `CollinearZ` causes either the x, y, or z component to be used as spin polarization for the XC functional.

#### Defaults and special cases

- If the XC key is not used, the program will apply only the Local Density Approximation (no GGA terms).  
The chosen LDA form is then VWN.
- If only a GGA part is specified, omitting the *LDA* sub key, the LDA part defaults to VWN, except when the LYP correlation correction is used: in that case the LDA default is Xonly: pure exchange.
- The reason for this is that the LYP formulas assume the pure-exchange LDA form, while for instance the Perdew-86 correlation correction is a correction to a *correlated* LDA form.  
The precise form of this correlated LDA form assumed in the Perdew-86 correlation correction is not available as an option in ADF but the VWN formulas are fairly close to it.
- Be aware that typing only the sub key *LDA*, without an argument, will activate the VWN form (also if LYP is specified in the GGA part).

## Spin polarization

#### Unrestricted

If this key occurs (no additional data needed), a spin-*unrestricted* calculation will be carried out.

```
UNRESTRICTED { Reference }
```

#### Reference

Default the formation energy is calculated with respect to the spherically symmetric spin-*restricted* atoms. If you want to do an *unrestricted* calculation for the atoms, you may include this keyword as argument to key `Unrestricted`. This will only yield the true ground state density for atoms with a spherical (spin polarized) ground state like H, Li, N, Cr, Cu, ... In other words: this key does not provide a general solution for atomization energies.

#### Defaults and special cases

A calculation is default *restricted*.

#### General remarks

Be aware that cpu-time may be approximately doubled!

## GGA+U

A special way to treat correlation is with so-called LDA+U, or GGA+U calculations. It is intended to solve the band-gap problem of traditional DFT, the problem being an underestimation of band gaps for transition-metal complexes. A Hubbard like term is added to the normal Hamiltonian, to model on-site interactions. In its very simplest form it depends on only one parameter, U, and this is the way it has been implemented in band. The energy expression is equation (11) in the work of Cococcioni [49]. See also the review article [48]

HubbardU (block-type)

Key to control the GGA+U calculation

```
HubbardU
  Enabled {true | false}
  PrintOccupations {true | false}
  UValue u1, u2, ...
  LValues l1, l2, ...
End
```

`Enabled`: Whether or not to apply the Hubbard Hamiltonian

`PrintOccupations`: Whether or not to print the occupations during the SCF.

`UValue`: For each atom type specify the U value. A value of 0.0 is interpreted as no U

`LValue`: For each atom type specify the I value. A negative value is interpreted as no I-value

A typical example to apply LDA+U to the d-orbitals of NiO looks like

```
HubbardU
  printOccupations true
  Enabled true
  uvalue 0.3 0.0
  lvalue 2 -1
End

ATOMS Ni
0.0 0.0 0.0
END
```

```
ATOMS O
2.085 2.085 2.085
END
```

## Relativistic Effects

Relativistic effects are treated with the accurate and efficient ZORA approach [17-18], controlled by the `Relativistic` keyword. Relativistic effects are negligible for light atoms, but grow to dramatic changes for heavy elements. A rule of thumb is: Relativistic effects are quite small at row 4, but very large at row 6 (and later).

`Relativistic`

Includes a relativistic correction in the Hamiltonian.

```
Relativistic {level}
```

```
Level {None | ZORA | ZORA Spin}
```

`NONE`: no relativistic effects

`ZORA`: scalar relativistic ZORA. This option comes at very little cost, and is advised when you want to compare to experimental results.

`ZORA Spin`: Spin-orbit coupled ZORA. This is the best level of theory, but it is much more (4-8 times) expensive than a normal calculations. Spin-orbit effects are generally quite small, unless there are very heavy atoms in your system, especially with p valence electrons (like Pb). See also `XC%SpinOrbitMagnetization`.

## Solvation

### COSMO: Conductor like Screening Model

You can study chemistry in solution, as contrasted to the gas phase, with the implementation in BAND of the Conductor like Screening Model (COSMO) of solvation [36].

In the COSMO model all solvents are roughly the same, and approximated by an enveloping metal sheet. One explicit dependency on the solvent is that the solvation energy is scaled by

$$f(\epsilon) = (\epsilon-1)/(\epsilon+x)$$

and this depends on the dielectric constant of the solvent, and an empirical factor  $x$ . The other is that shape of the surface is influenced by the `RAD` parameter, see below.

```
SOLVATION
{Surf Esurf}
{Solv {Name=solvent} {Eps=78.4}{Rad=1.4} {Del=1.4}
{Emp=0.0} }
{Div {Ndiv=3} {NFdiv=1} {Min=0.5} {OFAC=0.8}}
```

```

        {leb1=23} {leb2=29}{rleb=1.5} }
    {RADII
    name1=value1
    name2=value2
    ...
    subend }
    {Charged {Method=meth} {Conv=1e-10} (Iter=1000) {NoCorr} }
    {Cvec {Exact | FitPot}
    {SCF {Var | Pert}
End

```

Presence of the SOLVATION key block triggers the solvent calculation and does not require additional data. With subkeys you can customize various aspects of the model, for instance to specify the type of solute. None of the subkeys is obligatory

See also the key `GeoOpt%StaticCosmoSurface` and `Frequencies%StaticCosmoSurface`.

Follows a description of the subkeys

Surf {Wsurf|Asurf|**Esurf**|Klamt|Delley}

Five different cavity types are available. The Wsurf, Asurf, and Esurf surfaces are constructed with the GEPOL93 algorithm [38].

Wsurf

Wsurf triggers the Van der Waals surface (VdW), which consists of the union of all atomic spheres.

Asurf

Asurf gives the Solvent-Accessible-Surface (SAS). This is similar to VdW but consists of the path traced by the center of a spherical solvent molecule rolling about the VdW surface or, equivalently, a VdW surface created by atomic spheres to which the solvent radius has been added. These two surface types contain cusps at the intersection of spheres.

Esurf

Esurf (the default) gives the Solvent-Excluding-Surface (SES), which consists of the path traced by the *surface* of a spherical solvent molecule rolling about the VdW surface. Primarily, this consists of the VdW surface but in the regions where the spheres would intersect, the concave part of the solvent sphere replaces the cusp. This SES surface is the default.

Klamt

The fourth surface option is Klamt as described in [39]. It excludes the cusp regions also.

Delley

The fifth surface is the so called Delley surface, see also Ref. [40].

Solv

Solvent details.

Name, Eps, Rad

Eps specifies the dielectric constant (the default relates to water). An infinite value for Eps is chosen if Eps is specified to be lower than 1.0. Rad specifies the radius of the (rigid sphere) solvent molecules, in angstrom. Instead of specifying Eps and Rad one can specify a solvent name or

formula after 'name='. The following table lists names and formulas that are recognized with the corresponding values for Eps and Rad. The names and formulas are case-insensitive.

Name	Formula	Eps	Rad
AceticAcid	CH3COOH	6.19	2.83
Acetone	CH3COCH3	20.7	3.08
Acetonitrile	CH3CN	37.5	2.76
Ammonia	NH3	16.9	2.24
Aniline	C6H5NH2	6.8	3.31
Benzene	C6H6	2.3	3.28
BenzylAlcohol	C6H5CH2OH	13.1	3.45
Bromoform	CHBr3	4.3	3.26
Butanol	C4H9OH	17.5	3.31
isoButanol	(CH3)2CHCH2OH	17.9	3.33
tertButanol	(CH3)3COH	12.4	3.35
CarbonDisulfide	CS2	2.6	2.88
CarbonTetrachloride	CCl4	2.2	3.37
Chloroform	CHCl3	4.8	3.17
Cyclohexane	C6H12	2	3.5
Cyclohexanone	C6H10O	15	3.46
Dichlorobenzene	C6H4Cl2	9.8	3.54
DiethylEther	(CH3CH2)2O	4.34	3.46
Dioxane	C4H8O2	2.2	3.24
DMFA	(CH3)2NCHO	37	3.13
DMSO	(CH3)2SO	46.7	3.04
Ethanol	CH3CH2OH	24.55	2.85
EthylAcetate	CH3COOCH2CH3	6.02	3.39
Dichloroethane	ClCH2CH2Cl	10.66	3.15
EthyleneGlycol	HOCH2CH2OH	37.7	2.81
Formamide	HCONH2	109.5	2.51
FormicAcid	HCOOH	58.5	2.47
Glycerol	C3H8O3	42.5	3.07
HexamethylPhosphoramide	C6H18N3OP	43.3	4.1
Hexane	C6H14	1.88	3.74
Hydrazine	N2H4	51.7	2.33
Methanol	CH3OH	32.6	2.53
MethylEthylKetone	CH3CH2COCH3	18.5	3.3
Dichloromethane	CH2Cl2	8.9	2.94
Methylformamide	HCONHCH3	182.4	2.86
Methylpyrrolidinone	C5H9NO	33	3.36
Nitrobenzene	C6H5NO2	34.8	3.44
Nitrogen	N2	1.45	2.36
Nitromethane	CH3NO2	35.87	2.77
PhosphorylChloride	POCl3	13.9	3.33
IsoPropanol	(CH3)2CHOH	19.9	3.12
Pyridine	C5H5N	12.4	3.18
Sulfolane	C4H8SO2	43.3	3.35
Tetrahydrofuran	C4H8O	7.58	3.18
Toluene	C6H5CH3	2.38	3.48
Triethylamine	(CH3CH2)3N	2.44	3.81
TrifluoroaceticAcid	CF3COOH	42.1	3.12

Water                      H2O                      78.39 1.93

Del

Del is the value of Klamt's delta\_sol parameter, only relevant in case of Klamt surface.

Emp

Emp addresses the empirical scaling factor  $x$  for the energy scaling.

DIV

Ndiv, NFdiv

Ndiv controls how fine the spheres that in fact describe the surface are partitioned in small surface triangles, each containing one point charge to represent the polarization of the cavity surface. Default division level for triangles Ndiv=3. Default final division level for triangles NFdiv=1 (NFdiv≤Ndiv).

Min

Min specifies the size, in angstrom, of the smallest sphere that may be constructed by the SES surface. For VdW and SAS surfaces it has no meaning. Default Min=0.5

Ofac

Ofac is a maximum allowed overlap of new created spheres, in the construction procedure. Default Ofac=0.8.

leb1, leb2, rleb

For the Delley type of construction one needs to set the variables leb1 (default value 23), leb2 (default value 29), and rleb (default value 1.5 Angstrom) to set the number of surface points. If the cavity radius of an atom is lower than rleb use leb1, otherwise use leb2. These values can be changed: using a higher value for leb1 and leb2 gives more surface points (maximal value leb1, leb2 is 29). A value of 23 means 194 surface points in case of a single atom, and 29 means 302 surface points in case of a single atom. Typically one could use leb1 for the surface point of H, and leb2 for the surface points of other elements.

Radii

In the Radii data block you give a list of atom types and values.

```
SOLVATION
...
Radii
H 0.7
C 1.3
...
Subend
...
End
```

The values are the radii of the atomic spheres, in the default unit of length (angstrom or bohr). If not specified the default values are those by Allinger. [41]

Charge

This addresses the determination of the (point) charges that model the cavity surface polarization. In COSMO calculations you compute the surface point charges  $q$  by solving the equation  $Aq=-f$ , where  $f$  is the molecular potential at the location of the surface charges  $q$  and  $A$  is the self-interaction matrix of the charges. The number of charges can be substantial and the matrix  $A$  hence very large. A direct method, i.e. inversion of  $A$ , may be very cumbersome or even impossible due to memory limitations, in which case you have to resort to an iterative method.

Meth specifies the equation-solving algorithm. Meth=INVER (default) requests direct inversion. Meth=CONJ uses the preconditioned biconjugate gradient method. This is guaranteed to converge and does not require huge amounts of memory.

CONV and ITER are the convergence criterion and the maximum number of iterations for the iterative method.

In periodic calculations the unit cell needs to be neutral. Therefore, by default the COSMO charges are forced to sum to zero. When NOCORR is present, this constraint is not applied.

CVec

There are two ways to calculate the molecule- (COSMO)surface interaction.

EXACT (default): Consider the interactions between the electron density and the potential due to the COSMO points.

FITPOT: Use the COSMO point charges in the potential of the molecule (obtained by density fitting).

The EXACT option is exact on paper, but in reality numerical integration is used to get the energy. The standard grid is formally not suitable to handle the cusps at the COSMO points. Still this option works well because the singularity is softened by the smallness of the electronic density at the COSMO points. The EXACT option is much faster when doing a geometry optimization.

SCF

The default (VAR) is to apply the external potential of the COSMO surface during the SCF. To apply COSMO only post SCF you can use the PERT option.

## Static electric field

For systems not having 3D periodic symmetry it is possible to specify an external electric field in the z-direction.

EField

Include a homogeneous static electric field in the z-direction.

```
EField
Ez ez
Unit {a.u. | Volt/bohr | Volt/Angstrom | Volt/Meter}
End
```

and here *ez* is the electric field in the unit specified by *unit*. The default unit is Volt/Angstrom.

The static field is explicitly handled in the determination of the orbital coefficients, energy, and gradients. If you apply it to any other property, such as the NMR shielding tensor, dielectric function, solvation energy, etc., the result is probably not entirely correct. In case of doubt contact the SCM staff.

## Finite nucleus

Normally the nucleus is modelled as a point charge.



NuclearModel

Specify what model to use for the nucleus.

```
| NuclearModel {PointCharge | Gaussian | Uniform}
```

and here one can choose between the standard point charge model and a Gaussian model. For the Gaussian model the nuclear radius is calculated according to the work of Visscher and Dyll [52].

The static field is explicitly handled in the determination of the orbital coefficients, energy, and gradients. If you apply it to any other property, such as the NMR shielding tensor, dielectric function, solvation energy, etc., the result is probably not entirely correct. In case of doubt contact the SCM staff.

## 2.5 Precision and Performance

Given a chosen model Hamiltonian (discussed elsewhere), the three main issues that influence the accuracy of a calculation are: integration in real space, integration in  $k$ -space, and the quality of the basis set and density fit.

The key NumericalQuality controls the accuracy of the numerical integration in real and reciprocal space, and the quality of the density fit.

### General Numerical Quality

NumericalQuality

General numerical quality. This key sets the default Quality of the Becke grid, ZlmFit,  $k$ -space integration, and SoftConfinement. Possible values are Basic, Normal, Good, VeryGood, and Excellent. For the user this is the most convenient way to influence the precision, and estimate the error. It is always possible to tweak things more, as is explained below.

### Defaults Convention

DefaultsConvention

There has been a big change in many default settings with the 2014 release. To switch between the two styles

```
DefaultsConvention {Pre2014 | 2014}
```

With the pre2014 settings, you will get STO fitting, the Voronoi grid, the old  $k$ -points, and no confinement, resembling the behavior of the 2013 version.

### Fine tuning integration in real space

Many of the integrals are obtained by numerical integration. Two grids are available: the old Voronoi scheme (deprecated) and the Becke grid (the default). One can switch between the two using:

```
| IntegrationMethod {Voronoi | Becke}
```

## Becke grid for numerical integration

The Becke grid is a refined version of the fuzzy cells integration scheme developed by Becke, see Ref. [54]. The Becke grid is better suited for geometry optimization and TS search compared to the Voronoi scheme. The Becke integration scheme leads to a smoother behavior of the relative integration error as a function of the nuclear coordinates, which consequently results in more reliable optimizations and higher achievable convergence. The Becke grid is not very well suited to calculate Voronoi deformation density (VDD) charges. For accurate calculation of VDD charges the Voronoi integration scheme is recommended.

The default quality of the Becke grid is normal. It can be changed with the block key BECKEGRID:

```
IntegrationMethod Becke
BeckeGrid
  Quality {Basic|Normal|Good|VeryGood|Excellent}
  AtomDepQuality
    n1      {Basic|Normal|Good|VeryGood|Excellent}
    n2      {Basic|Normal|Good|VeryGood|Excellent}
    ...
  SubEnd
End
```

Note that it is possible to change the quality per atom. A Becke grid of normal quality is roughly equivalent (in both absolute accuracy and computation time) to INTEGRATION 4 (Voronoi scheme), and a Becke grid of good quality is roughly equivalent to INTEGRATION 6 (Voronoi scheme).

## Voronoi grid (deprecated)

INTEGRATION (block-type)

parameter-specifications for the generation of numerical integration points and weights. Most data records must be of the form 'parameter value'. The most important parameter is `accint`, which is defaulted to the value of key `Accuracy`. Unless one is very familiar with the details of the numerical integration package, we strongly recommend not to use the `INTEGRATION`-key, and to specify only `Accuracy`. More information can be found in the literature.

## Numerical integration in reciprocal space

KSpace

Per 2014 band uses a regular grid to sample the reciprocal space. The simplest way to use it is this

```
KSpace
  Grid Automatic
  Quality {Basic|Normal|Good|VeryGood|Excellent}
End
```

With the automatic grid, the program will look at the size of a lattice vector. A big vector in real space, means a small one in reciprocal space. Thinking in real space lattice vectors band distinguishes these intervals: 0-5 bohr, 5-10 bohr, 10-20 bohr, 20-50 bohr, and beyond. Here is the table explaining how many points will be used along a lattice vector.

range	Basic	Normal	Good	VeryGood	Excellent
0-5	5	9	13	17	21
5-10	3	5	9	13	17
10-20	1	3	5	9	13
20-50	1	1	3	5	9
50-...	1	1	1	3	5

Using the above logic the automatic grid determines what values to use for the regular grid. By preferring values out of the series 1, 3, 5, 9, 13 we can use the quadratic method, and also have the gamma point in the grid. It is then reasonable to assume a decaying error when going to a better setting.

## Using a regular grid

```

| KSpace
|   Grid n1 n2 n3
| End

```

With this subkey you will get a simple regular grid in k-space. There are two benefits: you can make the sampling direction dependent (if one of the reciprocal lattice vectors is much shorter you can use fewer points in that direction). The second is that the number of k-points will always be the same, which may be useful during geometry optimizations with lattice optimization.

The normal method samples the irreducible wedge of the Brillouin zone, whereas the regular grid samples the whole BZ. As a rule of thumb you need to choose roughly twice the value. For example `kpace 2` corresponds to grid 4 4 4, `kpace 3` to grid 5 5 5, etc.. Sticking to this rule the number of unique k-points will be roughly similar.

## Old way

Parameter for numerical integration over the Brillouin Zone (k-space). An integer value should be supplied. 1=absolutely minimal (only the G-point is used), 2=linear tetrahedron method, coarsest possible spacing, 3=quadratic tetrahedron method, coarsest spacing. Higher values should be chosen odd (5, 7,...) to use the *quadratic* method; even values (4,6,...) trigger the linear tetrahedron method, which is usually by far inferior. cpu-time increases very rapidly with higher `kpace`-values: try 3 for a reasonable result, or 5 for higher precision. The key may occur as a block key, the contents of the key are options that handle in more detail the integration of the Brillouin zone. E.g. the subkey `Kinteg` takes over the simple key `Kspace`. Default depends on `Accuracy`, the integration parameter in real space.

## Density fitting

```
ZlmFit
```

The basic ideas behind the so-called Zlm Fit can be described as follows. The total electron-density is split into atomic densities (in a similar way as the volume is partitioned for the Becke grid). These atomic densities are then approximated by a combination of radial spline functions and real spherical harmonics (Zlm). The implementation in Band is described in Ref. [55].

```
ZlmFit
  Quality {Basic|Normal|Good|VeryGood|Excellent}
  AtomDepQuality
    1   Basic   ! atom one at basic level
    7   Good    ! atom seven at Good Quality
  SubEnd
End
```

The presence or absence of this key block by itself does not enforce the use of the ZlmFit. For that one should use `Programmer%UseZlmFit` key

## Basis and fit set

With the key `BasisDefaults` you can control the quality of the basis set, and the level of frozen core approximation. Given your preferences the basis and fit sets are retrieved from the database. The output starts with a copy of your input, but with the basis and fit sets inserted from the database: there you can exactly see what values are used. You can always override the defaults by specifying the `AtomType` keyword. There is no need for special basis sets for relativistic calculations.

## Using the database: BasisDefaults

`BasisDefaults` (block-type)

This key allows you to generate automatically the required `AtomType` blocks (i.e. basis and fit sets) from the database. The database is located in "\$ADFHOME/atomicdata/Band". *You can always see what has been generated at the beginning of the output file, where your input is echoed with the `AtomType` blocks expanded.* It shows as a comment from which file each `AtomType` has been copied.

```
! --- basis from file /path/to/TZ2P/C.1s---

AtomType C
....
End
! --- basis from file /path/to/DZ/H---

AtomType H
....
End
```

The block has the following sub keys.

`BasisType`

The following basis sets are available.

- DZ: Double zeta. Adapted from the ADF basis set of the same name. The smallest basis set. The results are most likely not so accurate
- V: the original band basis set. Similar to the TZ2P basis set.
- TZ2P: Adapted from the ADF basis set of the same name. This is a good basis set.

- QZ4P: Quadruple zeta plus quadrupole polarization. The biggest basis set. For benchmark purposes only.

If you have a large unit cell, you could start with the DZ basis, to see if it will be feasible at all. For reliable results, use the V or the TZ2P basis. You can override the defaults per type by specifying `Atoms%Core` and `Atoms%BasisType`, or `Atoms%Path` (sub)keys.

#### FitType

Normally the fit set is determined by the `BasisType`. With this key can choose the fit independently from the `BasisType` key.

#### Core

This influences the size of the frozen core used. Possible values are "None", "Small", "Medium", "Large". You should be aware that a change of this parameter does not necessarily mean that a different frozen core is used. You can again check in the output what file was really used. You can see it from the extension in the comment line preceding the `AtomType` key

```
| ! --- basis from file /path/to/TZ2P/C.1s---
```

or from the `Dirac` block in the `AtomType` key.

## Manually specifying AtomTypes

#### AtomType (block-type)

Description of the atom type. (For convenience you might prefer to generate them automatically with the `BasisDefaults` key.) Contains the block keys `Dirac`, `BasisFunctions` and `FitFunctions`. The key corresponds to one atom type. The ordering of the `AtomType` keys (in case of more than one atom type) is not arbitrary. It is interpreted as corresponding to the ordering of the `Atoms` keys. The  $n$ -th `AtomType` key supplies information for the numerical atom of the  $n^{\text{th}}$  type, which in turn has atoms at positions defined by the  $n^{\text{th}}$  `Atoms` key.

```
| AtomType Symbol
|   Dirac ChemSym
|       {option}
|       ...
|       shells cores
|       shell_specification {occupation_number}
|       ...
|   SubEnd
|   {BasisFunctions
|       shell_specification STO_exponent
|       ...
|   SubEnd}
|   FitFunctions
|       shell_specification STO_exponent
|       ...
|   SubEnd
| END
```

The argument `Symbol` to `AtomType` is the symbol that is used in the `Atoms` key block.

#### Dirac (block-type)

Specification of the numerical ('Herman-Skillman') free atom, which defines the initial guess for the SCF density, and which also (optionally) supplies Numerical Atomic Orbitals (NOs) as basis functions, and/or as fit functions for the crystal calculation. The argument *ChemSym* of this option is the chemical symbol of the atom type.

The data records of the `Dirac` key are: 1.the number of atomic shells (1s,2s,2p,etc.) and the nr. of core-shells (two integers on one line). 2,3 specification of the shell and its electronic occupation. This specification can be done via quantum numbers or using the standard designation (e.g. '1 0' is equivalent to '1s'). Optionally one may insert anywhere in the `Dirac` block a record `Valence`, which signifies that all numerical valence orbitals will be used as basis functions (NOs) in the crystal calculation.

You can also insert `NumericalFit` followed by a number (max. l-value) in the key block, which causes the program to use numerical fit functions. For example `NumericalFit 2` means that the squares of all s,p, and d NOs will be used as fit functions with l=0, since the NOs are spherically symmetric.

If you insert `Spinor`, a spin-orbit relativistic calculation for the single-atom will be carried out.

The Herman-Skillman program generates all its functions (atomic potential, charge density, one-electron states) as tables of values in a logarithmic radial grid. The number of points in the grid, and the min. and max. r-value are defaulted at 3000, 0.000001, and 100.0 (a.u.) respectively. These defaults can be overwritten by specifying anywhere in the `dirac` block the (sub)keys `radial`, `rmin` and `rmax`.

The program will do a spin-unrestricted calculation for the atoms in addition to the restricted one. The occupation of the spin-orbitals will be of maximum spin-multiplicity and cannot be controlled in the `Dirac` key-block.

#### BasisFunctions (block-type)

Slater-type orbitals, specified by quantum numbers n,l or by the letter designation (e.g. 2p) and one real (alpha) per sto. One sto per record. Use of this key is optional in the sense that Slater-type functions are not needed if other basis functions have been specified (i.e. the numerical atomic orbitals, see key `Dirac`).

#### FitFunctions (block-type)

Slater-type fit functions, described in the same way as in `basisfunctions`. Each `fitfunctions` key corresponds to one atom type, the type being the one of the preceding `Dirac` key.

The selection choice of a 'good' fit set is a matter of experience. Fair quality sets are included in the database of the molecular program ADF.

Example:

```
AtomType C :: Carbon atom
  Dirac C
    3 1
  VALENCE
    1s
    2s
    2p 2.0
  SubEnd
  BasisFunctions
    1s 1.7
    ...
  SubEnd
```

```

FitFunctions
  1s 13.5
  2s 11.0
  ...
SubEnd
End

```

TestFunctions (block-type)

An optional subkey of the AtomType key block is TestFunctions that has the same format as the BasisFunctions and FitFunctions blocks. The TestFunctions block specifies STOs to be used as test functions in the numerical integration package. For the time being the *l* value is ignored. A possible application is to include a very tight function, to increase the accuracy near a nucleus.

## Confinement of basis functions

It is possible to alter the radial part of the basis functions in order to make them more compact.

### Soft confinement

SOFTCONFINEMENT (block-type)

With soft confinement the radial part of the basis functions is multiplied with a Fermi-Dirac (FD) function. A FD function goes from one to zero, controlled by two parameters. It has a value 0.5 at 'Radius', and the decay width is 'Delta'.

```

SoftConfinement
  Quality {Basic|Normal|Good|VeryGood|Excellent}
  Radius r
  Delta d
End

```

This will set the confinement for all atoms. (How to set this individually per atom type, see below.) The most convenient way is to specify the Quality sub key. The resulting confinement parameters are

Quality	Radius	Delta
Basic	7.0	0.7
Normal	10.0	1.0
Good	20.0	2.0
VeryGood	-	-

Specifying the Radius or Delta sub key will override the defaults. A negative value means no confinement.

CONFINEMENT (block-type): subkey of atomtype

You can also control the soft confinement at the atom type level. In a slab calculation this allows one to use different settings for surface atoms than for those in inner layers. You can specify the range and the decay speed of the FD function like

```
Confinement
  Radius 7
  Delta 0.7
SubEnd
```

If the decay 'Delta' is not specified it defaults to  $0.1 \times \text{Radius}$ . Relativistic effects are treated correctly. If the confinement option is used in combination with the TAILS option, the calculation may run significantly faster. The `confinement` option can also be useful without the tails option in cases where near linear dependency reduces the numerical reliability of the results (cf. `dependency` keyword). This typically occurs for highly coordinated systems with large basis sets containing diffuse functions. For such cases, the `confinement` option (possibly in combination with the `dependency` keyword) reduces the numerical problems.

NB: does not work with the `BasisDefaults` key (because it is a sub key of `AtomType`).

## Technical Settings\*

There are of course many other settings influencing the precision and performance. Usually the user does not need to care about them.

## Self-consistency

The SCF procedure searches for a self-consistent density. The self-consistent error is the square root of the integral of the squared difference between the input and output density of the cycle operator. When the SCF error is below a certain criterion, controlled by subkey `Criterion` of block key `Convergence`, convergence is reached. In case of bad convergence the SCF look at the subkeys `Mixing`, and `Degenerate`, and the subkey block `DIIS`.

## SCF key

SCF

Contains the same data as the ADF key with the same name (except for DIIS procedure parameters).

Mixing

Initial 'damping' parameter in the SCF procedure, for the iterative update of the potential:  $\text{new potential} = \text{old potential} + \text{mix} (\text{computed potential} - \text{old potential})$ . Default=0.075.

Note: the program automatically adapts `Mixing` during the SCF iterations, in an attempt to find the optimal mixing value.

Iterations

The maximum number of SCF iterations to be performed. If zero (default value) termination of the SCF procedure will depend only on other aspects (convergence, time-out, insufficient progress towards convergence, ...).

EigenStates



The program knows two alternative ways to evaluate the charge density iteratively in the SCF procedure: from the P-matrix, and directly from the squared occupied eigenstates. By default the program actually uses both at least one time and tries to take the most efficient. `Eigenstates` turns off this comparison and lets the program stick to one method (from the eigenstates).

`Pmatrix`

Evaluate the charge density from the P-matrix. See also the subkey `Eigenstates`.

`Rate`

Minimum rate of convergence for the SCF procedure. If progress is too slow the program will take measures (such as smearing out occupations around the Fermi level, see subkey `degenerate` of key `convergence`) or, if everything seems to fail, it will stop. Default=0.99

`VSPLIT`

To disturb degeneracy of alpha and beta spin MOs the value of this key is added to the beta spin potential at the startup. Default is 5E-2.

## Convergence key

`Convergence` (block-type)

All options and parameters related to the convergence behavior of the SCF are defined in this block key. Also the finite temperature distribution is part of this. See also second list.

`Criterion`

Criterion for termination of the SCF procedure. Default depends on `Accuracy`, for instance 3e-4 for `Accuracy 4.0`

`ElectronicTemperature`

(Slabs only) Requires a numerical argument, which is an energy width, in a.u.. It simulates a finite-temperature electronic distribution. By default, zero temperature is assumed. The key may be used to achieve convergence in an otherwise problematically converging system (slabs, typically). The energy of a finite-T distribution is different from the T=0 value, but for small T a fair approximation of the zero-T energy is obtained by extrapolation. The extrapolation energy correction term is printed with the survey of the bonding energy in the output file. Check that this value is not too large. Build experience yourself how different settings may affect the outcomes. Remember that this key is meant to help you overcome convergence problems, not to do finite-T research: only the electronic distribution is computed T-dependent, other aspects are not accounted for!

`Degenerate`

Smooths (slightly) occupation numbers around the Fermi level, so as to insure that nearly-degenerate states get (nearly-) identical occupations. Default=off, but in case of problematic SCF convergence the program will turn this key on automatically, unless the key `Nodegenerate` is set in input. The smoothing depends on the argument to this key, which can be considered a 'degeneration width'. When the argument reads 'default', the program will use a default value for the energy width (1e-4).

`SpinFlip`

List here the atoms for which you want the initial spin polarization to be flipped. This way you can distinguish between ferromagnetic and anti ferromagnetic states. Currently, it is not allowed to give symmetry equivalent atoms a different spin orientation. To achieve that you have to break the symmetry.

StartWithMaxSpin *{true|false}*

To break the initial perfect symmetry of up and down densities there are two strategies. One is to occupy the numerical orbitals in a maximum spin configuration. The alternative is to add a constant to the potential. The default is *true*. See also SCF%vsplit.

InitialDensity *{rho|psi}*

The SCF is started with a guess of the density. There are the following choices

RHO: the sum of atomic density.

PSI: construct an initial eigensystem by occupying the atomic orbitals. The guessed eigensystem is orthonormalized, and from this the density is calculated.

## DIIS key

DIIS (block-type)

The diis procedure to obtain the SCF solution in the crystal depends on several parameters. Default values can be overruled with this key-block. Each option must be specified, it at all, on a separate record in the data block:

```
DIIS
  option1  value1
  option2  value2
  ...
END
```

Recognized options are:

condition: the condition number of the DIIS matrix, the largest eigenvalue divided by the smallest, must not exceed this value; default 1e6

variant: if specified, you can invoke one of the LIST methods, possible values are LISTi, LISTb, and LISTd. It appears that among these LISTi is the advised method. This can be tried if SCF convergence turns out to be problematic. As it requires an extra fitting step, it is more expensive per SCF iteration.

clarge: when the largest coefficient in the DIIS expansion exceeds this value, damping is applied; default 20

chuge: when the largest DIIS coefficient exceeds this value, the oldest DIIS vector is removed and the procedure re-applied. Default 50

dimix: mixing parameter when damping is used, rather than the DIIS procedure. By default off (dimix=1.0): result is taken as dimix\*value + (1-dimix)\*previous

adaptable: (true/false) change automatically the value of dimix during the SCF. By default this is true.

nvctx: maximum number of DIIS expansion vectors. Default 20

ncycledamp: number of initial iterations where damping is applied, before any DIIS is considered.  
Default 5

potential: (no argument): presence of this string means that the DIIS method will be applied to the *potential*, rather than to the valence density (default). It excludes the competing option deformationdensity.

deformationdensity: (no argument): presence of this string means that the DIIS method will be applied to the *deformation density*, rather than to the valence density (default). This option excludes the potential option, see previous.

print: turns on a print switch to report details of the used DIIS procedure. Default off.

special: (no argument) will let the program try to optimize the mixing parameter (dimix) and adjust it when difficulties occur. It is not certain that this may not make things worse!

comstr: its argument is only a string to be printed as label to output, if any, of the DIIS parameter.

### DIRIS key\*

DIRIS (block-type)

Completely similar to the DIIS key, except that this one applies to the DIIS procedure used in the Dirac subprogram, for numerical single atom calculations, which constructs the radial tables for the NAOs.

## Linear Scaling

Tails

Ignore function tails. By default no tails are ignored. Both CPU time and disk space can be saved by using the TAILS option. This option is most effective when combined with the Confine suboption, as explained in the Examples document.

```
| TAILS {bas crbas} (core crcore) {fit crfit}
```

One real argument for keys basis and core, which should be a small value; default *crbas*=1e-6. The core criterion defaults to the bas criterion (if set). The tail criterion specifies that tails of exponentially decaying (basis) functions are ignored, in the construction of Bloch functions, beyond the point where the remaining part of the function tail (radially) integrates to less than the criterion, relative to the integral of the function from zero to infinity. Also for the fit one can specify a cutoff, but this is turned off by default: *crfit*=1e-15. Here we advise to use a more strict criterion than for *crbas* (because the fit is usually much more dependent than the basis). This option has some refinements. For example

```
Tails confine=1e-2 bas=1e-5 Rosa
```

As you see there are two new elements ('confine' and 'Rosa'). The first (confine =) specifies that all basis functions are optimized for the tails option, by multiplying the tail of the function with a rapidly decaying function. This step affects the shape of all functions outside the radius where the relative norm of the function is smaller than 1e-2. The effects on the shape of the functions are typically very small. The second new entry (Rosa) has the effect that the criterion becomes more strict for tight functions. For safer (but slower) calculations, specify smaller values for confine and bas, such as confine=1e-3 bas=1e-6.

The "Rosa" key works as follows. Determine the radius R where according to the normal criterion the function is negligible. Next substitute  $R \rightarrow R + 3 \cdot \exp(-R/3)$ . This means that for tight functions the tails radius is replaced by 3, and for diffuse functions this modifier has no effect.

Tentatively, based on the work by Rosa Bulo, we suggest to use

```
Tails bas=1e-3 Rosa
```

The `TAILS` keyword works most effectively when combined with the `confinement` keyword, described elsewhere in this document. The `confine` key described here should not be confused with the `confinement` option for each atom type. The `confine` option here affects functions in the region where they become very small, independent of the distance to the nucleus. The `confinement` option introduces a soft cut-off for all functions of a particular atom type, at a specific distance from the nucleus.

## Dependency

DEPENDENCY

Criterion for dependency of the basis and fit set.

```
| DEPENDENCY {basis tolbas} {core tolcor} {fit tolfit} {corevalence tolovl}
```

basis

Smallest eigenvalue of the overlap matrix of normalized bloch functions. Default 1e-8. See also the discussion in 'Recommendations & Problems' about basis set dependency.

core

The program verifies that the frozen core approximation is reasonable, by checking the smallest value of the overlap matrix of the core (bloch) orbitals against this criterion. Default: 0.98

fit

Criterion for dependency of the total set of fit functions. The value monitored is the smallest eigenvalue of the overlap matrix of normalized bloch sums of symmetrized fit functions. Default=1e-6.

corevalence

Criterion for dependency of the core functions on the valence basis. The maximum overlap between any two normalized functions in the two respective function spaces should not exceed  $1.0 - \text{coreval}(\dots)$ . Default=1e-5.

## Screening

The program BAND performs many lattice summations which are in practice truncated. The two prime examples are the construction of the Bloch basis (and also the fit) and the construction of the Coulomb potential of the fit functions. The precision of the lattice summations is controlled by the `SCREENING` key

SCREENING (block)

Parameters that influence the screening and tails of basis functions. Recognized options are

CUTOFF

Criterion for negligibility of tails in the construction of Bloch sums. Default depends on *Accuracy*.

DMADEL

One of the parameters that define the screening of Coulomb-potentials in lattice sums. Depends by default on *Accuracy*, *rmadel*, and *rcelx*. One should consult the literature for more information.

RCELX

Max. distance of lattice site from which tails of atomic functions will be taken into account for the bloch sums. Default depends on *Accuracy*.

RMADEL

One of the parameters that define screening of the Coulomb potentials in lattice summations. Depends by default on *Accuracy*, *dmadel*, *rcelx*. One should consult the literature for more information.

NODIRECTIONALSCREENING

Real space lattice sums of slowly (or non-) convergent terms, such as the Coulomb potential, are computed by a screening technique. In previous releases, the screening was applied to all (long-range) Coulomb expressions. Starting from BAND98 screening is only applied in the periodicity directions. This key restores the original situation: screening in all directions.

## Fit Method

With this keyword the fit method can be influenced. Normally band tries to guess the best choice.

```
FitMethod
  Method {Auto | Inverse | Divide | CONJUGATEGRADIENT}
  Divide {lvalue | atom | pair | cluster}
  UseSharedArrays {true | false}
  ConstrainWithS {true | false}
  RScale rscale
End
```

**Method:** With *Auto* band will do what it thinks is best. With *Inverse* global fitting is enforced. The choice *Divide* invokes the Divide and Fit method. Finally, setting it to *CONJUGATEGRADIENT* the global fit will be used without inverting the overlap matrix.

**Divide:** Applies to Divide and fit method. *LVALUE*: split fit set per l-value, going from high to low l. *ATOM*: divide per atom. *PAIR*: divide per pair. *CLUSTER*: divide in overlapping cluster. This is the most accurate choice. The size of the cluster is controlled by *RSCALE*

**UseSharedArrays:** Whether or not to use shared arrays. Works only with Divide option.

**ConstrainWithS:** Works only with Divide option. The charge constraint is always done with the last division. With this option the set of s functions is added as the last division.

**RScale:** Works only with Divide option. Controls the size of the cluster. Default value is 1.3.

## Direct (on the fly) calculation of basis and fit

Band normally writes the basis functions (and derivatives if needed), and the fit functions (and potential plus derivatives if need) to disk. Usually it pays off to do this because calculating them is slower than reading them. However, whether or not that is the case depends strongly on the type of calculation and on the type of hardware. Here follow some considerations.

Systems: Basically what we need to look at is the number of cells that needs to be summed over. For chains (1D periodicity) there are few, and for bulk (3D) there are many. With a bigger unit cell, the number of cells also decreases. Fewer cells are in favor of the direct option.

Hardware: Many cores and slow disks are in favor of the direct option.

You can invoke the direct option like this

```
| Programmer  
| DirectBas true  
| DirectFit true  
| End
```

## Radial grid

With this keyword the radial grid can be controlled.

```
| RadialDefaults  
| NR nr  
| RMin rmin  
| RMax rmax  
| End
```

The number of radial points is *nr* (default=3000). With very high values like 30.000 the Dirac subprogram may not converge. The logarithmic grid runs from *rmin* (default 1e-6) to *rmax* (default 100)

## Elliptic integrals

The integration of the electrostatic interaction between spherical atoms is done very precisely in an elliptic grid, which depends on `NUELSTAT` and `NVELSTAT`

`NUELSTAT`

Electrostatic interaction integrals between spherical atomic densities are computed by numerical integration over an elliptic grid. `Nuelstat` is the outward (parabolic) coordinate number of integration points.  
Default: 50

`NVELSTAT`

Electrostatic interaction integrals between spherical atomic densities are computed by numerical integration over an elliptic grid. `Nvelstat` is the angular (elliptic) coordinate number of integration points.  
Default: 80

## Fermi energy search

Fermi (block type)

This key sets technical parameter used in the search for the Fermi energy, which is carried out at each cycle of the SCF procedure. All applicable options must be specified, if at all, in separate records in the data block.

MaxTry

Maximum number of attempts to locate the Fermi energy accurately. Default 50. The procedure is iterative in nature, narrowing the energy band in which the Fermi energy must lie, between an upper and a lower bound. If the procedure has not sufficiently converged within maxtry iterations, the program takes a reasonable value and constructs the charge density by interpolation between the functions corresponding to the last used upper and lower bounds for the Fermi energy

Delta

Converge criterion: upper and lower bounds for the Fermi energy and the corresponding integrated charge volumes must be equal within delta. Default 1e-4

Eps

After convergence of the Fermi energy search procedure, a final estimate is defined by interpolation and the corresponding integrated charge volume is tested. It should be exact, to machine precision. Tested is that it deviates not more than eps. Default 1e-10

## IO settings\*

### IO block size

IOVECTOR

I/O actions to and from files is segmented in blocks of `iovector`. Default depends on the machine and should be set at the installation of the program.

### File limit

FILELIMIT

maximum amount of data (in bytes) on one logical file. Default depends on the machine and should be set at the installation of the program. Advise: Choose as large as possible, to keep the number of files limited. The automatic algorithm that cuts the files to pieces does not work flawlessly. Using a high file limit effectively disables the use of this mechanism. Be aware however of the maximum integer value on your machine!

### Block size

Efficiency and memory usage depend on how large the vector size of the program is

CPVECTOR

The code is vectorized and this key can be used to set the vector length. Default depends on the machine and should be set at the installation of the program.

KGRPX

is an absolute upper bound on the number of k-points processed together. Specifying this key *and* CPVector you can override bands defaults.

## 2.6 Restarts

The main results of a band calculation are stored in the RUNKF file. If you save this file you can use it to restart your calculation. The input for the restart calculation is essentially the same, except for some extra keys, like Restart, Grid, and DensityPlot

The DOS section that outputs information of the SCF solution can be executed with key Restart, subkey DOS and orbital plots can be obtained with subkey OrbitalPlot. Likewise, plots of the density (and many other symmetric properties) can be obtained with the key DensityPlot. Density and orbital plot restarts require the specification of the Grid key. With the subkey SCF you can start the SCF procedure with the last solution from the restart file. This can be useful if the SCF did not converge. Also if you have changed some settings that should have little effect, like the integration accuracy, the restart SCF option can help you to save a few cycles. Similarly, a geometry optimization can be restarted with the subkey GeometryOptimization You can use the geometry of a previous calculation with the GeometryOptimization subkey.

### Restart key

Restart

Tells the program that it should restart with the restart file.

```
Restart filename {&  
    option  
End}
```

where *filename* is the name of the restart file and *option* is the program part to do a restart for (SCF, GeometryOptimization, Geometry, DOS, OrbitalPlot, or DensityPlot). See also keys OrbitalPlot and DensityPlot. Usually the input for a restart is the same as for the original calculation, where you add some extra options.

### Plots of the density, potential, and many more properties

DensityPlot (block-type)

Goes together with the Restart%DensityPlot and Grid options.

Example input

```
...  
Restart my.runkf &  
DensityPlot  
End  
  
Grid
```



```

Type Coarse
End

DensityPlot
FITDENSITY_total_scf
XCPOTENTIAL_scf
End
...

```

After such a run you get a TAPE41 file that you should rename to my.t41, and view with advview.

The most common properties to plot are:

```

FITDENSITY_total_scf: The fitted density.
COULOMBPOTENTIAL_scf: The Coulomb potential.
XCPOTENTIAL_scf: the XC potential (using the fitted density)
XCPOTENTIAL_scf_exact: XC potential of the exact density
DENSITY_total_scf: The density
DENSITY_agrad_total_scf: The norm of the gradient of the density
TAU_total_scf: The symmetric kinetic energy density
LDOS_scf: The local density of states (at the fermi level). The bias can be controlled with the LDOS
block
ELF_total_scf: The electron localization function

```

Some more specialized options are:

```

FITDENSITY_deformation_scf: the fitted deformation density
ATOMIC_density: The density of the startup atoms
ATOMIC_coulombPot: The Coulomb potential of the start density

```

In the band example directory there is the Frags\_COCu example that shows how this can be used in combination with the fragment option.

## Orbital plots

OrbitalPlot (block-type)

Goes together with the `Restart%OrbitalPlot` and `Grid` options. In the band example directory there is the `Cu_slab` example that shows how this can be used. Example input

```

...
Restart my.runkf &
OrbitalPlot
End

Grid
Type Coarse
End

OrbitalPlot
1 Band 5 8 ! k-point 1 bands 5 to 8
5 Band 6 ! k-point 5 band 6
6 -0.2 +0.3 ! k-point 6 bands between -0.2 and +0.3 Hartree from the
fermi level
End
...

```

After such a run you get a TAPE41 file that you should rename to my.t41, and view with advview.

## Grid

Grid (block-type)

Used for restart options `Restart%OrbitalPlot`, and `Restart%DensityPlot`. There are two ways to define your grid. The most easy way is to use the `Type` key which can have the values `Coarse`, `Medium`, and `Fine`, for example

```
Grid
Type Coarse
End
```

This generates automatically a grid around the atoms in the unit cell. The alternative is to specify everything by hand. The following input would create a cube from (-1,-1,-1) to (1,1,1)

```
Grid
-1 -1 -1 ! Starting point
1 0 0 0.1 ! vec1 and dvec1
0 1 0 0.1 ! vec2 and dvec2
0 0 1 0.1 ! vec3 and dvec3
20 20 20 ! nr. of steps along three directions
End
```

## LDOS (STM)

LDOS (block-type)

Local Density-Of-States information. This can be used to generate STM images in the Tersoff-Hamann approximation [35].

```
LDOS
{ Shift eshift }
{ DeltaNeg deneg }
{ DeltaPos depos }
End
```

`Shift`: The energy bias with respect to the fermi level in a.u.. Default = 0.0

`DeltaNeg` Default = 1e-4 a.u.

`DeltaPos` Default = 1e-4

The local density of states is integrated over the interval *eshift-deneg* through *eshift+depos*.

Example of an LDOS restart:

```
...
Restart my.runkf &
DensityPlot
End

Grid
```

```

Type Coarse
End

DensityPlot
LDOS_scf
End

LDOS
  Shift      0.1
  DeltaNeg  .001
  DeltaPos   0
End

```

According to this example, we restart from the result file of a previous calculation. The calculation will generate a file TAPE41 which can be viewed with adfview. (Rename the file to my.t41)

See also [Restart](#), and [DensityPlot](#).

## Complete example scripts for visualisation

Below follows a complete example how to use band for visualising. We start with the normal calculation for e.g. a Li slab

```

#!/bin/sh
# Contents of the file LiSlab.job

"$ADFBIN/band" << eor
TITLE Li Slab

UNITS
  length Angstrom
  angle Degree
END

ATOMS Li
0.0 0.0 0.0
-1.745 -1.745 -1.745
END

Lattice
  3.49 0.000000 0
  0.000000 3.49 0
End

BasisDefaults
BasisType DZ
Core Large
End

XC
LDA SCF VWN
END

end input
eor

```

```
# store the result file
mv RUNKF LiSlab.runkf
```

Note that we store the result file in "LiSlab.runkf". In the next run we use this file to generate the plot file. The job is essentially a copy of the first job with some extra lines. In this case we instruct the program to generate plot information for the density and the LDOS

```
#!/bin/sh
# Contents of the file LiSlab_restart.job

"$ADFBIN/band" << eor
TITLE Li Slab

UNITS
    length Angstrom
    angle Degree
END

Restart LiSlab.runkf &
DensityPlot
End

Grid
Type Coarse
End

DensityPlot
FITDENSITY_total_scf
LDOS_scf
End

LDOS
shift 0.0
End

ATOMS Li
0.0 0.0 0.0
-1.745 -1.745 -1.745
END

Lattice
3.49 0.000000 0
0.000000 3.49 0
End

BasisDefaults
BasisType DZ
Core Large
End

XC
LDA SCF VWN
END
```

```

end input
eor

# Store the result file, and more importantly, the plot file (.t41)
mv RUNKF LiSlab_restart.runkf
mv TAPE41 LiSlab.t41

```

And then you can visualize the result with adfview.

```
| $ADFBIN/adfview LiSlab.runkf
```

It is most convenient to start adfview from the .runkf file rather than from the .t41.

## 2.7 Structure and Reactivity

To study structure and reactivity common tasks are geometry optimization, transition state search and a frequency run. A frequency run can be done to obtain a good initial Hessian for a geometry optimization, or to check whether a proper minimum or transition state has been found.

The basis for locating stationary points on the PES are the nuclear gradients. (The user may assume that the program does that automatically when needed.)

### Nuclear energy gradients\*

If you want the program to calculate the gradient of the energy with respect to nuclear displacements you should add the `Gradients` keyword. If the `SelectedAtoms` key is present, only the gradient of the selected atoms will be evaluated, and the rest set to zero.

#### References

Details about the theory of the analytical gradients within the BAND program can be found in the work of Kadantsev and coworkers [19]

`Gradients` (block-type)

Key to control the automatic geometry optimization.

```

Gradients
  oldio {0 | 1}
  LatticeStepSize step
  UseRelativeLatticeStep (true | false)
End

```

`oldio`: There are two slightly different implementations. The `oldio=1` implementation has a better scaling behavior for large systems, although it can be a bit slower for small ones. When used with MetaGGAs `oldio=1` is required. (default = 1)

`latticeStepSize`: The lattice gradients are obtained by numerical differentiation. With this keyword the step size can be changed. (default = 0.012 bohr). When `UseRelativeLatticeStep` is set to true the step will be relative to the size of the displacement.

The user rarely needs to specify this key as it is automatically added for geometry optimizations and frequency runs.

This options honors the `SelectedAtoms` key, in which case only the forces will be calculated for the selected atoms.

## Lattice gradients\*

Band currently has a numerical implementation of the forces that act on the lattice vectors. The only way to invoke this is to do a geometry optimization, including lattice vectors, see the `GeoOpt%OptimizeLattice` key. The step size is controlled with `Gradients%latticeStepSize`, and `Gradients%UseRelativeLatticeStep`.

## Geometry optimization

The geometry can be optimized by adding the `GeoOpt` key block. Within the block you can specify the maximum number of cycles and the convergence criterion. The optimizer works with Cartesian coordinates and a Quasi Newton stepper. The initial Hessian is by default the unit matrix, but can also be loaded from a previous geometry optimization or frequency run. Various constraints are possible such as bond distances and angles. The GDIIIS convergence accelerator is available but is disabled by default. A geometry optimization can be restarted from a previous result (.runkf) file. The geometry can be optimized non-relativistically, with scalar relativistic ZORA, or with spin-orbit coupling.

## GeoOpt key

`GeoOpt` (block-type)

Key to control the automatic geometry optimization.

```
GeoOpt
  OptimizeLattice {true | false}
  Iterations n
  Converge {Grad=tolgrad} {E=tolE} {Step=tolStep}
  TrustRadius radius
  UseVariableTrustRadius var
  InitialHessian filename | UnitMatrix | Swart
  RestartSCF {true | false}
  RestartFit {true | false}
  GDIIIS {true | false}
  StaticCosmoSurface {true | false}
  TSMODE mode
End
```

`OptimizeLattice`: Whether or not to optimize the lattice vectors. (default = false). The lattice gradients are obtained by numerical differentiation, see `GRADIENTS%LatticeStepSize`.

`Iterations`: the maximum number of cycles: default 50

`Converge {Grad=tolgrad} {E=tolE} {Step=tolStep}`: various criteria to determine the convergence can be specified on line. Here *tolGrad* is the maximum gradient allowed (default=1.0e-2 Hartree per Angstrom), *tolE* is the maximum energy change allowed (default 1.0e-3 Hartree), *tolStep* is the maximum step size (default 3e-2 bohr)

`TrustRadius`: The step sizes taken by the optimizer will be limited to this value (default = 0.2 bohr). If the proposed step is larger it will be scaled back.

`UseVariableTrustRadius`: Automatic adjustment of the trust radius based on the observed energy changes. Default: false.

`InitialHessian`: The initial hessian is read from a "RUNKF" file *filename* of a previous frequency calculation. By default the unit Hessian will be used. Another option is to use the empirical force field derived Swart Hessian.

`RestartSCF`: During the optimization try to restart the SCF from the previous geometry step. (default = true)

`RestartFit`: During the optimization try to restart the SCF from fit coefficients of the previous geometry step. (default = false). Can not be used simultaneously with `RestartSCF`.

`GDIIS`: Use the GDIIS convergence accelerator (default = false)

Note that a (failed) geometry optimization can be continued with the `Restart` key by specifying as option `GeometryOptimization`.

`StaticCosmoSurface`: Keep the Cosmo surface (if any) constant. (default = false)

`TSMODE`: Hessian normal mode index to follow during transition state search. The specified mode is selected on the first iteration and is followed regardless of its index on subsequent iterations. Modes with zero frequencies are not counted.

## Numerical frequencies (Hessian)

By specifying the runtime `Frequencies` you can calculate the Hessian which in turn yields the harmonic frequencies and vibrational modes. The Hessian is an important product that can be used in a geometry optimization, and in particular to start a transition state search. The second derivative of the energy (i.e. the Hessian) is obtained by numerically differentiating the analytical gradients. When your unit cell has N atoms in the unit cell and no symmetry (other than translational symmetry) the number of displacements is  $2 \times 3 \times N$ . For large systems this can be very time consuming, and you could consider to calculate only a partial Hessian. If you have a very symmetric unit cell, but are interested in asymmetric modes, set the subkeys `useAllDisplacements` and `doAllProjection` to false. NB: the lattice vectors are assumed to be fixed.

A frequency run is invoked with

```
| RunType  
| Frequencies  
| End
```

The rest is controlled by the `Frequencies` key.

`Frequencies` (block-type)

Key to control the numerical frequency run

```
| Frequencies  
| Step size  
| useAllDisplacements {true | false}  
| doAllProjection {true | false}  
| StaticCosmoSurface {true | false}  
| End
```

`Step`: The step size (angstrom) for the numerical differentiation

`useAllDisplacements`: Determine only the total symmetric modes (default = true). When disabled, NOSYM calculations will be performed.

`doAllProjection`: Symmetrize the Hessian (default = true). For most users the only sensible setting is to make it equal to the value of `useAllDisplacements`.

`StaticCosmoSurface`: Keep Cosmo surface (if any) constant. Default = true. Although this is an approximation it is numerically much more stable. If you set it to *false* there is the risk that the number of Cosmo points is not constant for all finite displacements.

This options honors the `SelectedAtoms` key, in which case only the hessian will be calculated for the selected atoms.

## Transition state search

A transition state search is technically a geometry optimization. It is a search in the 3xN space for a point with vanishing gradients. The only difference is that it will try to go uphill in the direction of the lowest vibrational mode. The normal procedure is to guess a point that is as close as possible to the transition state. In that point you do a frequency run, which should hopefully produce a lowest vibrational mode in the direction of the transition state. You then start the Transition state search from that point, using the hessian of the frequency run. At the end you can do again a frequency run to check that there is indeed a single negative vibrational mode.

The transition state is invoked like this

```
| RunType  
| TS  
| End
```

The rest is controlled by the `GeoOpt` key as in a normal geometry optimization.

## Partial Hessian and (pre)optimizations

If you consider the interaction of a molecule with a surface it may be initially convenient to freeze some of the lower layers in the slab, making calculations much cheaper. This can be done for the evaluation of the hessian (see `SelectedAtoms`) and during a geometry optimization or transition state search (see `Constraints`). When using a partial hessian to start a geometry optimization note this. The atoms that you select during the frequency run, are the ones that should not be frozen in the geometry optimization. In a way the selection needs to be inverted.

## Constrained optimization

During a geometry optimization certain constraints can be enforced with the `Constraints` key. The constraints refer to the coordinates of the unit cell as specified on input.

`Constraints` (block-type)

Key to control constraints during a geometry optimization.

```
| Constraints  
| Atom a1 {x y z}
```



```
Dist a1 a2 distance
Angle a1 a2 a3 angle
Dihed a1 a2 a3 a4 angle
End
```

**Atom:** Freeze the position of atom *a1* to the current coordinate, or if specified to  $(x,y,z)$ . This constraint will make the calculation cheaper, because the gradients of frozen atoms need not be calculated.

**Dist:** Constrain the distance between atoms *a1* and *a2* to *distance*

**Angle:** Constrain the angle between atoms *a1*, *a2*, and *a3* to *angle*

**Dihed:** Constrain the dihedral angle between atoms *a1*, *a2*, *a3*, and *a4* to *angle*

## Selected atoms

When doing a frequency run you can restrict it to a limited number of selected nuclei. The selection may not break the symmetry.

```
| SelectedAtoms a1 a2 ... an
```

The list of atoms with indices *a1 a2 ... an* are considered selected. Currently this option only has effect in a numerical frequency run and with the `Gradients` keyword.

## Phonons and thermodynamics

Atoms vibrate about their equilibrium positions, giving rise to lattice vibrations called phonons. Band can calculate phonon dispersion curves within standard harmonic theory, implemented with a finite difference method in the spirit of the program `PHON`, described in Ref. [47]. Within the harmonic approximation we can calculate the partition function and from that thermodynamic properties such as the specific heat and the free energy. Our implementation can also handle 1D and 2D periodic systems.

Essentially you need to do the following steps.

- Optimize the structure, including the lattice vectors. The resulting geometry is the starting geometry for the phonon run
- Specify a super cell transformation. In principle this should be as large as possible. In practice one may want to start with a 2x2x2 cell. Set the runtime to `Phonon`
- Examine with the GUI the dispersion curves, and check for negative frequencies. If these exist then either the geometry was not close enough to the minimum, or the precision of the phonon run was not enough.

## PhononConfig

PhononConfig (block-type)

Key to control the phonon run.

```
| PhononConfig
|   SuperCell Sub block type
|   StepSize step
|   MinTempKelvin tmin
```

```

MaxTempKelvin tmax
NumTemperatures ntemp
End

```

`SuperCell`: This subblock key should hold the supercell transformation, which expresses the lattice vectors in terms of the vectors of the primitive cell.

`StepSize`: The step size taken to obtain all force constants.

`MinTempKelvin`: Minimum temperature for thermodynamic plots.

`MaxTempKelvin`: Maximum temperature for thermodynamic plots.

`NumTemperatures`: Number of temperatures for thermodynamic plots.

Here is an example input

```

phononConfig
  stepSize 0.0913
  superCell
    2 0 0
    0 2 0
    0 0 2
  subend
end

```

In the regular output the thermodynamic functions are printed

```

=====
Thermo Dynamic Properties
=====
Zero-point Energy (hartree)      0.00448537
Zero-point Energy (eV)          0.12205313

```

```

=====
Temperature(K) Internal energy(Hartree)      Entropy(kB)  Free Energy(Hartree)  Specific
Heat(kB)
0.000000E+00      0.448537E-02      0.000000E+00      0.448537E-02
0.000000E+00
0.100100E+01      0.448540E-02      0.116921E-01      0.448536E-02
0.329896E-01
0.200200E+01      0.448566E-02      0.643295E-01      0.448525E-02
0.138532E+00
...

```

## 2.8 Spectroscopic properties

### Time-dependent DFT

In this section, the time-dependent density functional theory implementation in BAND is described. How to do a response calculation in BAND (which input keys to use), can be found in the list of keywords, see the key [Response](#). The TDDFT module enables the calculation of real and imaginary parts of the material

property tensor  $\chi_e(\omega)$  called the electric susceptibility, and the macroscopic dielectric function  $\epsilon_e(\omega)$ . These are mutually related,

$$\epsilon_e(\omega) = 1 + 4\pi\chi_e(\omega).$$

In general  $\chi_e(\omega)$  and  $\epsilon_e(\omega)$  are tensors, which, however, simplify to scalars in isotropic systems. The above formula is valid in the case of insulators and semiconductors, where the bands are either fully occupied or fully unoccupied. It is defined as the interband part of the dielectric function and it is due to transitions from occupied bands to unoccupied bands. Also in the metallic case similar expressions can be found, the main difference is that there now is also an intraband contribution. Some examples are available in the [\\$ADFHOME/examples/band](#) directory and are discussed in the Examples document.

### References

The three related Ph.D. theses, due to F. Kootstra (on TD-DFT for insulators), P. Romaniello (on TD-CDFT for metals), and A. Berger (on the Vignale-Kohn functional in extended systems) contain much background information, and can be downloaded from the SCM website.

The most relevant publications on this topic due to the former "Groningen" group of P.L. de Boeij are [\[22-25\]](#)

### Response key

Response

Perform a time-dependent DFT calculation to obtain real and imaginary parts of frequency-dependent dielectric function.

```
Response
  nfreq  5
  strtfr 0.0
  endfr  0.01
  cnvi   0.001
  cnvj   0.001
  ebndtl 0.001
  ifxc   0
  isz    0
  iyxc   0
End
```

Omitting the specific options in the `Response` block will cause default setting to be used during the calculation, as given above.

`nfreq` the number of frequencies in a.u. for which a TDDFT calculation is performed when calculating the dielectric function  $\epsilon_e(\omega)$  of a system (default=5).

`strtfr` is the start frequency in a.u. of the frequency range over which the dielectric function is calculated (default=0d0).

`endfr` is the end frequency in a.u. of the frequency range over which the dielectric function is calculated (default=1d-2).

`cnvi` the first convergence criterion for the change in the fitcoefficients for the fitfunctions, when fitting the density (default=1d-3).

`cnvj` the second convergence criterion for the change in the fitcoefficients for the fitfunctions, when fitting the density (default=1d-3).

`ebndt1` the energy band tolerance, for determination which routines to use for calculating the numerical integration weights, when the energy band posses no or to less dispersion (default=1d-3).

`ifxc` integer indicating which fxc kernel is used (default=0).

0 = Adiabatic Local Density Approximation (ALDA) (Can. J. Phys. 58, 1200 (1985)).

1 = Gross-Kohn, frequency dependent fxc kernel (PRL 55, 2850 (1985), 57, 923 (1986)),

2 = van Leeuwen-Baerends (LB94) (PRA 49, 2421 (1994)),

**Only the default option for `ifxc` is implemented at the moment.**

`isz` integer indicating whether or not scalar zeroth order relativistic effects are included in the TDDFT calculation (default=0).

0 = relativistic effects are not included,

1 = relativistic effects are included.

`iyxc` integer for printing yxc-tensor (default=0) (JCP 115, 1995 (2001)).

0 = not printed,

1 = printed

`static` An alternative method that allows an analytic evaluation of the static response (Normally the static component is approximated by a finite small value). This option should only be used only for (non relativistic calculations on) insulators, and it has no effect on metals. Experience shows that KSPACE convergence can be slower, and this is why it is not the default.

`newvk` Use the slightly modified version of the VK kernel (Phys. Rev. B 74, 245117). When using this option one uses effectively the `>static` option, even for metals, so one should check carefully the convergence with the KSPACE parameter. An example response block for a vignale kohn calculation looks like

```
Response
  nfreq  2
  strtfr 0.10d0
  endfr  0.25d0
  newvk
  iyxc   1
  cnt
  END
```

`qv/cnt` Use the QV or CNT parametrization for the longitudinal and transverse kernels of the xc-kernel of the homogeneous electron gas. Use this in conjunction with the `newvk` option. (Refs: PRB 65, 235121 (QV); J. Phys. Condens. Matter 9, L475 (CNT))

## Limitations

The method has not been implemented for slabs, so it can only be used for chains and 3d bulk systems.

## Time-dependent DFT for metals

For metals the interband part of the dielectric function is due to transitions from (partially)-occupied bands to (partially)-unoccupied bands. Now there is also a term, which is called the intraband part of the dielectric function, which is due to transitions within the same partially-occupied band. The macroscopic dielectric function  $\epsilon_e(\omega)$  is now calculated as

$$\epsilon_e(\omega) = 1 + 4\pi\chi_e(\omega) - 4\pi\sigma_e(\omega)/\omega.$$

*Convergence and reproducibility:* For TD-DFT calculations on metals a dense sampling of reciprocal space is required, i.e. the results converge slowly with the KSPACE parameter. The dielectric function might even not reproduce well across different machines. (Usually results that are not yet converged with the KSPACE parameter, like the energy, are reproducible across different platforms). Nevertheless, when the KSPACE parameter is chosen sufficiently high, the same result will be obtained on all machines. For instance for Cu the machine dependence was less than 0.01 for the dielectric function with KSPACE=11. In short: check for the convergence of the dielectric function with respect to the KSPACE parameter.

## Frequency dependent kernel

It is known that the exact Vignale Kohn kernel greatly improves the static polarizabilities of infinite polymers and nanotubes (see JCP 123 174910), but gives bad results for the optical spectra of semiconductors and metals. For the low frequency part one needs a frequency dependent kernel, because Drude-like tails are completely absent in the ALDA. With a modified Vignale Kohn kernel, neglecting  $\mu_{xc}$  so that it reduces to the ALDA form in the static limit (see PRB 74 245117) much better results can be obtained. Band currently only supports the modified VK kernel in either the QV or CNT parametrization, and it should only be used for metals.

## EELS

Once the macroscopic dielectric function is known it is possible to calculate the electron energy loss function (EELS). In transmission electron energy loss spectroscopy one studies the inelastic scattering of a beam of high energy electrons by a target. The scattering rates obtained in these experiments is related to the dynamical structure factor  $S(\mathbf{q},\omega)$  [1]. In the special case with wavevector  $\mathbf{q}=0$ ,  $S(\mathbf{q},\omega)$  is related to the longitudinal macroscopic dielectric function. This is the long-wave limit of EELS. For isotropic system the dielectric function is simply a scalar ( $1/3 \text{ Tr } \epsilon_e(\omega)$ ). In this case the long-wave limit of the electron energy loss function assumes the trivial form

$$\text{Lim}(q \rightarrow 0) 2\pi S(\mathbf{q},\omega)/(q^2V) = \epsilon_2/(\epsilon_1^2 + \epsilon_2^2)$$

with  $\epsilon_1$  and  $\epsilon_2$ , respectively, the real and imaginary part of the dielectric function.

[1] S. E. Schnatterly, in Solid State Physics Vol.34, edited by H. Ehrenreich, F. Seitz, and D. Turnbull (Academic Press, Inc., New York, 1979).

[2] P. Romaniello, and P. L. de Boeij, Phys. Rev. B (accepted).

## ESR

Band is able to calculate electron paramagnetic resonance parameters of paramagnetic defects in solids: hyperfine A-tensor and the Zeeman g-tensor.

The implementation of EPR parameters in BAND are described in the publications by Kadantsev and coworkers [20] and [21]

### Hyperfine A-tensor

The A-tensor is implemented within the nonrelativistic and scalar relativistic spin-polarized Kohn-Sham scheme. The A-tensor calculation is invoked by block

```
| ATENSOR
| END
```

Also, note that "Unrestricted" keyword should be present.

Two methods are used for A-tensor calculation.

Method 1 involves gradient of spin-polarization density and integration by parts. The isotropic component of A-tensor is obtained through integration, in a "nonlocal fashion".

In Method 2, the A-tensor is computed from spin-polarization density. Method 2 does not rely on the integration by parts. The isotropic component is obtained in a "local fashion" from the value of spin-polarization density on the grid points near the nuclei.

The user should be aware that numerical integration in A- and g-tensor routines is carried out over Wigner-Seitz (WS) cell, and, therefore, to obtain a meaningful result, the defect in question should lie at or, very close to, WS cell origin. This might require, on the user's part, some modification of the input geometry.

It also might happen that the size of the WS cell is not large enough for the adequate description of the paramagnetic defect in question. In this case, Method 1, which relies on the integration by parts and assumes that the spin-polarization density is localized inside the WS cell will fail. For the same reason, We recommend that the user removes diffuse basis set functions that describe the defect subsystem.

Finally, we note that the final result for A-tensor as presented by BAND is not scaled by the nuclear spin (as it is done in ADF) and the user is responsible for making necessary adjustments.

### **g-tensor**

The calculation of Zeeman g-tensor is invoked with block

```
| ESR  
| END
```

The Zeeman g-tensor is implemented using two-component approach of Van Lenthe and co-workers in which the g-tensor is computed from a pair of spinors related to each other by time-reversal symmetry. The keyword "Relativistic zora spin" should be present to invoke calculations with spin-orbital coupling. The user also has to specify

```
| Kspace 1
```

(Gamma-point calculation). The g-tensor is then computed from the HOMO spinor at the gamma point. In the output, the user can find two-contributions to g-tensor: one that stems from  $K\sigma$  operator and a second one, that stems from orbital angular momentum. By default, GIAO and spin-Zeeman corrections are not included, from our experience these corrections are quite small.

## **Electric Field Gradient (EFG)**

```
| EFG (block type)
```

The electronic charge density causes an electric field, and the gradient of this field couples with the nuclear quadrupole moment, that some (non-spherical) nuclei have and can be measured by several spectroscopic techniques. The EFG tensor is the second derivative of the Coulomb potential at the nuclei. For each atom it is a 3x3 symmetric and traceless matrix. Diagonalization of this matrix gives three eigenvalues, which are usually ordered by their decreasing absolute size and denoted as  $|V_{zz}|$ ,  $|V_{yy}|$ ,  $|V_{xx}|$ . The result is summarized by the largest eigenvalue and the asymmetry parameter.

This options honors the `SelectedAtoms` key, in which case only the EFG will be calculated for the selected atoms.

## NMR

```
NMR (block type)
SuperCell true/false
nmratom atom number
End
```

With the NMR option the shielding tensor is calculated. There are essentially two methods: the super cell method and the single-dipole method.

I) The super cell method is according to the implementation by Skachkov *et al.*[37]. The symmetry will automatically be set to NOSYM. The unit cell should not be chosen too small. Generating super cells can be conveniently done with the GUI.

II) The other method is the single-dipole method. In principle one can now use the primitive cell [50]. In practice also this method needs to be converged with super cell size. However, depending on the system the required super cell may be much smaller. At a given super cell size this method is more expensive than the super cell method.

```
SuperCell
```

This is the switch between the two methods, either the super cell, or the single-dipole method.

```
nmratom
```

Determines for which atom the shielding tensor is calculated. If you want more than one atom (or all) leave this line out. In that case the atoms for which to do NMR is controlled by the `SelectedAtoms` key. Here is an example how to select three atoms for NMR:

```
nmr
end

SelectedAtoms 3, 5, 9 ! leave this out to get NMR for ALL atoms
```

## 2.9 Printed Output

The amount of output in different stages of the program is controlled by print keys, that can be toggled with the key `Print` followed by a key (see description of `Print` key).

### Print key

```
Print
```

One or more strings (separated by blanks or comma's) from a pre-defined set may be typed after the key. This induces printing of various kinds of information, usually only used for debugging and checking. The set of recognized strings frequently changes (mainly expands) in the course of software-developments. Useful arguments may be `symmetry`, and `fit`. A list of all important arguments to this key follows:

```
Eigens
```

Prints the (complex) coefficients in the form (norm, phase factor) of the eigenvectors with respect to the valence basis. Coefficients with a norm smaller than `eigthreshold` will be skipped. This threshold can be set with the option `eigthreshold x`, default `x=.01`.

`MullikenOverlapPopulations`

Prints overlap population of all basis functions.

`OrbitalLabels`

Prints the labels of the orbitals. If you are interested in the labels of an old calculation and you don't want to repeat it completely, you can add the option `StopAfter gentry` to your input file.

`OrbPop`

Prints the Mulliken population per orbital, for all eigenstates. This is the most detailed population analysis that you can get, one for all k-points and for each band. Populations below a certain threshold are ignored. This threshold can be set with the option `popthreshold x`. By default `x=.01`.

`BLCKAT`

Print the information about the distance effects used in the numerical integrals.

`Fit`

Print more details about the fitting procedure, such as the fit coefficients at each SCF cycle.

`Symmetry`

Print the symmetry operators.

## Thresholds

`POPTHRESHOLD`

Threshold for printing Mulliken population terms. Default 1e-2. Works with `print orbpop`.

`EIGTHRESHOLD`

Components smaller (absolute value) than this parameter (default 1e-2) are not printed in the output of the DOS section, where the breakdown of crystal orbitals in the primitive basis is printed. Works with `print eigens`.

## More options

The following print options only make sense when debugging the code.

`Print`

One or more strings (separated by blanks or comma's) from a pre-defined set may be typed after the key. The following names replace the `IRPNT[IPRSE]` keys of the previous versions of BAND

`PrepNone, PrepMore, PrepDetail` replace `IPRNTP 0, 2, 5`

`IntNone, IntMore, IntDetail` replace `IPRNTP 0, 2, 5`



```
FrmNone, FrmMore, FrmDetail replace IPRNTR 0, 2, 5
```

```
SCFNone, SCFMore, SCFDetail replace IPRNTS 0, 2, 5
```

```
EigNone, EigMore, EigDetail replace IPRNTE 0, 2, 5
```

## Debug key\*

(programmers only)

DEBUG

The argument is usually a (list of) subroutine names that you want to debug. (The programmer can check for this in the same way as PRINT or ALLOW keys.)

## 2.10 More Analysis

If you are interested in the DOS or a partitioning of the DOS or a partitioning of the DOS, look for the description of the keys `DOS`, `GrossPopulations` for partial DOS, and `OverlapPopulations` for overlap DOS.

The eigen system can be printed with `Print Eigens` and the Mulliken populations per orbital per k-point can be printed with `Print OrbPop`.

A list of the basis functions will be printed with `Print OrbLabels`.

## Charges

Band prints always three charge analyses. Namely the Voronoi charges, the Mulliken analysis, and the Hirshfeld charges (see the ADF documentation on more details). The calculation comes at virtually no cost, so there are no keys associated with it. This is different for the Bader analysis.

## Bader Analysis (AIM)

GridBasedAIM (block-type)

Invoke the ultra fast grid based Bader analysis [33,34].

```
GridBasedAIM
  { SmallDensity rhosmall }
  { Iterations n }
  { UseStartDensity true/false }
End
```

Where *rhosmall* (default 1e-6) is the value below which the density is ignored. This should not be chosen too small because it may lead to un-assignable grid points. The number *n* (default 40) determines the maximum number of steps that may be taken to find the nuclear attractor for a grid point. Finally, the analysis can be performed on the startup density rather than on the final density with the `UseStartDensity` sub key.

Also the critical points of the density can be determined. The algorithm starts from a regular mesh of points, and from each of these it walks towards its corresponding critical point.

```

AIMCriticalPoints
  { GridPadding pad }
  { GridSpacing space }
  { eqvPointsTol tol }
End

```

Where *pad* (default 0.7 bohr) determines how much extra space is added to the starting guess domain in the search for the critical points. The variable *space* (default 0.5 bohr) determines the distance between the initial trial points. Finally, *tol* (default 0.27 bohr) is used as a criterion to whether or not to critical points are the same.

## Density of States

### DOS

DOS (block-type)

General Density-Of-States information.

```

DOS
  { File filename }
  { Energies n }
  { Min emin }
  { Max emax }
End

```

Where *n* is the number of (equidistant) energy-values, *emin*, *emax* the minimum and maximum energy values (with respect to the Fermi energy), and *filename* the (formatted) file on which the DOS-information will be written. If the file is omitted, the information will be printed in the output file.

Example:

```

DOS
  FILE          plotfile
  ENERGIES      500
  MIN           -.35
  MAX           1.05
End

```

According to this example, density-of-states values will be generated in an equidistant mesh of 500 energy values, ranging from 0.35 below the Fermi level to 1.05 above it (atomic units). All information will be written to a file *plotfile*. The information on the plot file is a long list of pairs of values (energy and DOS), with some informative text-headers and general information; since the file is formatted one can easily inspect its contents; it should be suitable for graphical software like *IGOR*.

Density-of-states values are generated for the *total* D.O.S. and optionally also for some partial densities of states (see the keys *GrossPopulations* and *OverlapPopulations*).

If the key `DOS` is omitted, no Density-of-States information is generated at all. If the key is given, but one or more of the 'subkeys' (file, energies, min, max) are omitted, default values are inserted (: direct printing on output, 300, -0.75, 0.75).

## Gross populations

GrossPopulations (block-type)

*Partial* densities-of-states are generated for the gross populations listed under this key.

```
GrossPopulations
  { iat lq }
  { FragFun jat ifun }
  { Frag kat }
  { Sum
    ...
  EndSum }
End
```

Each line contains a PDOS instruction. There are three possibilities:

- 1) Line contains two integers, the first specifying the atom (*iat*) (numbered according to the total list comprised from all `atoms`-keys), the second the *l*-value (*lq*) (0:s, 1:p, 2:d, and so on). Partial densities of states are generated for all real spherical harmonics belonging to the specified *l*-value.
- 2) Line is of the form: `Frag kat`, which means that the PDOS of the functions belonging to atom *kat* will be calculated.
- 3) Line is of the form `fragfun jat ifun`, which refers to the function *ifun* of atom *jat*, including core states of that atom.

You can sum PDOS commands with a sum-block, i.e. specify any number of any of the three PDOS specifications in a block that starts with `Sum` and ends with `EndSum`.

Example:

```
GrossPopulations
  FragFun 1 2:: Second function of first atom
  Frag 2 :: Sum of all functions from second atom
  SUM:: sum following PDOSes
    Frag 1::Atom nr.1
    FragFun 2 1::First function of second atom
    5 1:: All p functions of fifth atom
  EndSum
End
```

## Overlap populations

OverlapPopulations (block-type)

*Overlap population weighted* densities-of-states are generated for the overlap populations listed

```
OVERLAPPOPULATIONS
  Left
    { iat lq }
    { FragFun jat ifun }
    { Frag kat }
  Right
    ...
End
```

You can use this to get the overlap population weighted densities-of-states (OPWDOS), also known as the crystal orbital overlap population (COOP), of two functions, or, if you like, one bunch of functions with another bunch of functions. The key-block should consist of left-right pairs. After a line with `left` you enter lines that specify one or more functions (see `GrossPopulations`), followed by a similar structure beginning with `right`, which will produce the OPWDOS of the left functions with the right functions.

Example:

```
OVERLAPPOPULATIONS
  LEFT::First OPWDOS
    Frag 1
  RIGHT
    Frag 2
  LEFT:: Next OPWDOS
    FragFun 1 1
  RIGHT
    2 1
    FragFun 3 5
End
```

## Band structure

The band structure is best examined with the GUI module "bandstructure". The band gap (if any) is printed in the output. Here is an example for the NaCl crystal

-----  
Band gap information  
-----

Number of valence electrons	16
Valence band index	8
Top of valence band (a.u.)	-0.192
Bottom of conduction band (a.u.)	-0.039
Band gap (a.u.)	0.153
Band gap (eV)	4.173
Band gap (kcal)	96.235

With the normal k-points the band structure looks rather coarse. The brute force solution is simply to crank up the KSPACE parameter, but this is very expensive and not needed for the precision. Band has an option to interpolate the band curves for the path through the Brillouin zone.

## Band structure interpolation

BZStruct (block-type)

Influences how band outputs the band structure to the RUNKF file.

```
BZStruct
  Interpol ipol
  Enabled {true/false}
  Automatic {true/false}
End
```

Enabled: Whether or not to generate band structure data

Interpol: The higher the value of *ipol* the more refined the interpolation

Automatic: Whether or not to use the automatic path along high symmetry lines in the BZ

BZPath (block-type)

User defined path through the Brillouin zone.

```
BZPath
  kmesh mesh
  path
End
```

When `BZStruct%Automatic` is false you can specify manually a path. Increasing *mesh* leads to more points per line segment. The line segments are specified by some path sub keys. The coordinates are in terms of reciprocal lattice vectors. If you want to make a jump in the BZ, you need to specify a new path. Here is an example

```
bzpath
  kmesh 2
  path
    0.25 0.25 0.25
    0 0 0.5
    0 0 0
    0.5 -0.5 0.5
    0.25 0.25 0.25
    0 0 0
  subend
  path
    0 0 0.5
    0.5 -0.5 0.5
  subend
end
```

## Effective mass

EffectiveMass

EffectiveMass (block-type)

In a semi conductor the mobility of the electrons and holes is related to the curvature of the bands at the top of the valence band and the bottom of the conduction band. With the effective mass option, this curvature is obtained with numerical differentiation. The estimation is done with the specified step size, and twice the specified step size, and both results are printed to give a hint on the accuracy. By far the most convenient way to use this key is without specifying any subkeys.

```
EffectiveMass
  StepSize step
  NumAbove na
  NumBelow nb
  UniqueKPoints k1, k2, ...
End
```

StepSize: Size of the step taken in reciprocal space to perform the numerical differentiation.

NumAbove: Number of bands to take into account above the Fermi level.

NumBelow: Number of bands to take into account below the Fermi level.

UniqueKPoints: List of unique k-points where to print the effective mass. Omitting this, it will use the top of valence band and the bottom of the conduction band.

## Properties at nuclei

PropertiesAtNuclei

A number of properties can be obtained near the nucleus. An average is taken over a tiny sphere around the nucleus. Technically the following properties are available.

```
PropertiesAtNuclei
  vxc[rho(fit)]
  rho(fit)
  rho(scf)
  v(coulomb/scf)
  rho(deformation/fit)
  rho(deformation/scf)
End
```

Physically  $\rho(\text{scf})$ , being the electronic density, is the most relevant one.

## Form factors

FormFactors

X-ray structure factors (Fourier analysis of the charge density) are computed after termination of the SCF procedure; the key should be followed by an integer specifying the number of stars of K-vectors for which the structure factors are computed. Default (omission of the key): 3 stars.

## Fragments

A fragment feature is available albeit rather primitive. It allows for the analysis of the DOS in a fragment basis and for the calculation of the deformation density with respect to fragment densities. A typical application is the periodical adsorption of one or more molecules on a surface. For instance, consider periodic adsorption of hydrogen molecules over a surface. First you calculate the free molecule in the same orientation as when adsorbed to the substrate. Since you would like to use a molecular fragment, it makes sense to put the molecules far apart (large lattice spacing) and force dispersion to be neglected (KSPACE 1). To use the fragment in the next run you need to rename the result file ("RUNKF"), to something like "frag.runkf", see the example script discussed below.

Specifying

```
| Print Eigens
```

for this calculation produces output concerning the eigen states, thereby providing a means to identify the eigen states (e.g. to be sigma, pi, et cetera).

Next, prepare the input for the overlayer with the substrate. With one or more `Fragment` keys you specify which fragment file(s) to use and to which atoms they should be mapped. It is allowed to have more than one fragment. The sub key `Labels` of a `Fragment` gives you the possibility to introduce labels for the fragment orbitals. Finally you can specify which fragments to use in the DOS analysis, via the `DosBas` key.

An example of using the fragments feature in BAND is provided in one of the sample runs (CO on a Cu surface) in the directory `$ADFHOME/examples/band/e_Frags_COCu`, see the Examples document. The provided example is a slab calculation of Cu with a CO molecule adsorbed. A DOS analysis is performed in terms of the Cu atomic orbitals and the CO molecular orbitals. Note in the first step the use of `KSPACE 1`, together with a large lattice spacing. In this way a 'molecular' solution is obtained, which can be used as a fragment. This fragment is saved as `CO.runkf`, and is input for the second step of this example. Some of the orbital labels are adapted by specifying `Labels`. In the remaining steps this example demonstrates how to obtain the deformation density with respect to the sum of fragments (CO molecule + bare Cu slab) densities.

## Fragment key

`Fragment` (block-type)

Define a fragment. This key takes as argument the fragment file name (absolute path or path relative to the executing directory) and its contents are for each atom in the fragment two integers: atom number in the fragment versus atom number in this calculation. It has a subkey `Labels` so that you can assign meaningful names to the orbitals. You can define several fragments. Example

```
Fragment
  1 3 ! atom 1 of this fragment is assigned to third atom
  2 4 ! atom 2 of this fragment is assigned to fourth atom
Labels
  Sigma
  Sigma*
  Pi_x
  Pi_y
  Pi_x*
  Pi_y*
Subend
End
```

In this example the first four fragment orbitals will be labeled as stated in the body of this key. The remaining orbitals are labeled by the default labeling system (e.g. `1/FO/5`, etc.). The labels are used in combination with options like `Print Eigens` and `Print OrbPop`. (See also `Print OrbLabels`). This key can be given once for each fragment.

## 2.11 Expert options\*

### Symmetry

The symmetry of the system is automatically detected. Normally the symmetry of the initial system is maintained. One can lower the symmetry with the `Symmetry` key. In such cases the keyword `POTENTIALNOISE` can force the solution away from the initial symmetry.

`SYMMETRY`

The most common option is `NOSYM` forcing the program to run without any symmetry.

It is also possible to run in a lower symmetry other than NOSYM but this is more involved (i.e. for experts only). The argument should be a list of numbers, representing the operators to maintain. The way to proceed is as follows. First run the calculation with the following added to your input

```
| print symmetry
| stopafter gemtry
```

and then you look in the output for (here the first four operators are listed)

64 SYMMETRY OPERATORS:							
NO		MATRIX			TRANSL	AXIS	DET
ROTATION							
-----							
1)		1.000	0.000	0.000	0.000	0.000	1.0
1		0.000	1.000	0.000	0.000	0.000	
		0.000	0.000	1.000	0.000	1.000	
2)		1.000	0.000	0.000	0.000	0.000	1.0
1		0.000	1.000	0.000	5.400	0.000	
		0.000	0.000	1.000	0.000	1.000	
3)		1.000	0.000	0.000	5.400	0.000	1.0
1		0.000	1.000	0.000	0.000	0.000	
		0.000	0.000	1.000	0.000	1.000	
4)		1.000	0.000	0.000	5.400	0.000	1.0
1		0.000	1.000	0.000	5.400	0.000	
		0.000	0.000	1.000	0.000	1.000	
...							

from this list you should select the desired operators and use that in your final calculation, for example

```
| Symmetry 1 7 21 31
```

#### POTENTIALNOISE

The initial potential for the SCF procedure is constructed from a sum-of-atoms density. Added to this is some small noise in the numerical values of the potential in the points of the integration grid. The purpose of the noise is to help the program break the initial symmetry, if that would lower the energy, by effectively inducing small differences between (initially) degenerate orbitals. The noise in the potential is randomly generated between zero and an upper limit, which is 1e-4 a.u. by default. The key, which must have a numerical argument, adjusts this upper limit. This can be used therefore to suppress the noise by choosing zero, or to increase it by specifying some large number.

## Excited states

By default the levels are occupied according to the aufbau principle. In some cases it is possible to create holes below the fermi level with the `Occupations` key



OCCUPATIONS (block-type)

Allows to input specific occupations numbers. Applies only for calculations that use only one k-point (i.e. pseudo-molecule calculations).

```
OCCUPATIONS
  irrepro occupations_alpha {// occupations_beta}
  ...
End
```

the *irrepro* must be 1, unless symmetry is used (an unsupported option, currently). *occupations\_beta*, and the separating double slash (//) must not be used in a spin-restricted calculation. *occupations\_alpha/beta* is a sequence of values assigned to the states ('bands') in energy ordering. This allows you, for instance, to specify an empty state below occupied ones.

## The programmer key

The programmer has many options, most of which are set automatically. However, with the programmer key you can override many default behaviors. An overview is printed early in the output, and looks like

```
=====
R U N   C O N F I G
=====

Calculate gradient of basis . . . . . T
Calculate sec. der. of basis . . . . . F
Calculate operator T working on basis . . . . . T
Calculate gradient of fit . . . . . T
Calculate sec. der. of fit. . . . . F
Calculate gradient of fit pot. . . . . T
Kin. energy via grad. . . . . F
Calculate gradient of energy . . . . . T
Calculate kin. energy density. . . . . F
Calculate nuc. grad of kin. energy density . . . . . F
Calculate der. of density . . . . . T
Calculate second der. of density. . . . . F
Calculate nuc. grad. of density . . . . . T
Calculate nuc. grad. of grad. density . . . . . F
Exact rho during SCF. . . . . T
Exact grad. rho during SCF. . . . . F
Exact grad. rho post SCF . . . . . T
Store history of dens. matrix. . . . . F
Store original Bloch functions . . . . . T
Direct . . . . . F
Direct fit . . . . . F
Direct basis . . . . . F
Calculate DOS . . . . . T
Calculate band structure . . . . . T
Calculate EFG . . . . . F
```

Some of these option are controllable via the Programmer key.

Programmer (block-type)

```
UseZlmFit {true|false}
```

Determines whether or not to use ZlmFit. When using this the DirectBas key will be enabled.

FlioSinglePrecision *{true|false}*

The basis and fit functions are written and read to so-called FLIO files. With this option the double precision numbers can be converted to single precision, saving half of the IO. The results tend to be still fairly accurate. SCF convergence is usually possible to 1e-5. For deeper convergence disable this option.

DirectBas *{true|false}*

Normally basis functions (and possibly derivatives) are calculated once and stored on disk. Enabling this option causes band not to store the basis functions but to recalculate them when needed. This reduces the amount of IO, at the cost of increased CPU. Also disables FlioSinglePrecision

DirectFit *{true|false}*

Normally the fit functions, their Coulomb potentials (and possibly first and second derivatives) are calculated once and stored on disk. Enabling this option causes band not to store the first and derivatives but to recalculate them when needed. This reduces the amount of IO, at the cost of increased CPU. Note that the fitfunctions and potentials are currently always stored, so the fit is not yet completely direct.

ExactGradRho *{true|false}*

The gradient (and second derivative) of the density are usually obtained via the fitted density. With this option you force the program to use the exact density gradient. This requires the calculation of basis set derivatives.

KinViaGrad *{true|false}*

Matrix elements of the kinetic energy operator are normally calculated as

$$T_{ij} = \int \psi_i \frac{1}{2} \nabla \cdot \nabla \psi_j$$

Using partial integration this can be rewritten as

$$T_{ij} = - \int (\nabla \psi_i) \frac{1}{2} \cdot \nabla \psi_j$$

and requires the calculation of the gradient of the basis functions.

UseSharedMemory *{true|false}*

Whether or not to use shared memory in a band calculation. Doing so might reduce the memory requirement. A reason to disable it might be a bug (like a hangup or race condition) due to this feature.

DidervCompat *{true|false}*

Originally all radial derivatives of NAOs were done numerically. However, more accurate derivatives are available from the DIRAC subroutine. To get the old (and slightly worse) derivatives set this option to *true*.

## 3 Recommendations, Problems, Questions

### 3.1 Recommendations

#### Model Hamiltonian

The most important ingredients are the kinetic energy (relativistic effects) and the XC functional.

#### Relativistic model

By default we do not use relativistic effects. The best approximation is to use spin-orbit coupling, however that is very expensive. The scalar relativistic option comes for free, and for light elements will give very similar results as non-relativistic theory, and for heavy ones better results compared to experiment. We recommend to always use this (scalar ZORA). To go beyond to the spin-orbit level can be important when there are heavy elements with  $p$  valence electrons. Also the band gap appears quite sensitive for the spin-orbit effect.

#### XC functional

The default functional is the LDA, that gives quite good geometries but terrible bonding energies. GGA functionals are usually better at bonding energies, and among all possibilities the PBE is a common choice. Using a GGA is not much more expensive than using plain LDA. This is not so for the metaGGAs (such as TPSS), they require significantly more time. For the special problem of band gaps there two model Hamiltonians available (TB-mBJ and GLLC-SC). The Unrestricted option will be needed when the system is not closed shell. For systems interacting through dispersion interactions it is advised to use the Grimme corrections. Unfortunately there is no clear-cut answer to this problem, and one has to try in practice what works best.

#### Technical Precision

In principle it is simple to control the technical precision with the NumericalQuality key. Here is an example how you could tweak a bit more

NumericalQuality Normal ! this is the easy knob, sets the default quality for the keys below

```
BeckeGrid
  Quality Basic ! tweak the grid
End
KSpace
  Quality Good ! tweak the k-space grid
End
ZlmFit
  Quality Basic ! tweak the density fit
End
SoftConfinement
  Quality VeryGood ! tweak the radial confinement of basis functions
End
```

Here are per issue hints for when to go for a better quality (but it is by no means complete)

- BeckeGrid: when there are geometry convergence problems. Also negative frequencies can be caused by the grid.
- KSpace: for metals
- ZlmFit: when the SCF does not converge.
- SoftConfinment: weakly bonded systems, such as layered materials

The other important issue is the basis set. For geometry optimization the TZP is advised. For properties TZ2P. The best available basis set is QZ4P. All these are quite big, and therefore the DZ basis set is an attractive basis set for quick scans. For geometry optimization the DZP basis works quite well, but it is available only for light elements, and defaults to the TZP basis for other elements. The SZ is the smallest, and very bad basis set.

## Performance

The performance is influenced by the model Hamiltonian and basis set, discussed above. Here follow more technical tips.

### Reduced precision

One of the simplest things to try is to run your job with NumericalQuality Basic. For many systems this will work well, and it can be used for instance to pre-optimize a geometry. However, it can also cause problems such as problematic SCF convergence, geometry optimization, or simply bad results. See above how to tweak more finely the [Technical Precision](#).

### Memory usage

Another issue that can be important is the choice `CPVector` (say the vector length of your machine) and the number of k-points processed together during the calculation of the parameters. In the output you see the used value

```

=====
= Numerical Integration =
=====

TOTAL NR. OF POINTS                4738
BLOCK LENGTH                    256
NR. OF BLOCKS                       20
MAX. NR. OF SYMMETRY UNIQUE POINTS PER BLOCK 35
NR. OF K-POINTS PROCESSED TOGETHER IN BASPNT 5
NR. OF SYMMETRY OPERATORS (REAL SPACE) 48
SYMMETRY OPERATORS IN K-SPACE        48

```

If you want to change the default settings you can specify the `CPVector` and `KGRPX` keywords. The optimal combination depends on the calculation and on the machine and bigger is not necessarily better. Example

```

| CPVector 512
| KGRPX 3

```

## Reduced basis set

When starting work on a large unit cell it is wise to start with a DZ basis. With such a basis, one can test for instance the quality of the k-space integration. However, for most properties, the DZ basis is probably not very accurate. You can next go for the DZP (if available) or TZP basis set, but that may be a bit of overkill.

## Frozen core for 5d elements

The standard basis sets TZ2P are not optimal for third-row transition elements. The V basis offers the possibility to freeze the 4f, 5s, and 5p functions. With this you can usually still get quite good results. Sometimes you need to relax the frozen core dependency criterion

```
| Dependency Core=0.8 ! The frozen core overlap may not be exactly 1
```

If you want to use the TZ2P you can change it like this one for Au

```
| AtomType Au
| DIRAC Au
| 14 12 ! note: now 12 core functions, was 10
| VALENCE
| 1S
| 2S
| 2P
| 3S
| 3P
| 3D
| 4S
| 4P
| 4D
| 4F
| 5S
| 5P
| 5D ! from here on valence
| 6S 1
| SubEnd
| BasisFunctions
| ! 5S 4.600000
| 6S 3.150000
| 6S 1.210000
| ! 5P 6.650000
| ! 5P 3.100000
| 5D 5.050000
| 5D 1.500000
| 6P 1.950000
| 5F 2.500000
| SubEnd
| ...
```

## 3.2 Trouble Shooting

### SCF does not converge

Some systems are more difficult to converge than others. A Pd slab for instance is much more easy to converge than an Iron slab. Generally what you do in a problematic case is to go for more conservative settings. The two main option are to decrease `SCF%Mixing` and/or `DIIS%Dimix`.

```
SCF
  Mixing 0.05 ! more conservative mixing
End

Diis
  DiMix 0.1 ! also more conservative strategy for DIIS procedure
  Adaptable false ! disable automatic changing of dimix
End

Convergence
  Degenerate Default ! For most calculations this is quite a good idea
  anyway
End
```

Sometimes SCF convergence problems are caused by bad precision. An indication of this is when there are many iteration after the HALFWAY message. The simplest thing to try is to see whether increasing the `NumericalAccuracy` helps. Specifically an insufficient quality of the density fit may cause problems. For systems with heavy elements the quality of the Becke grid may also play a role. Another potential problem when only one k-point is used. The following could be a typical example

```
NumericalQuality Basic ! this is an expensive calculation, like to keep
it basic

KSpace
  Quality Normal ! add this when basic gives you only one k-point
End

ZlmFit
  Quality Normal ! but we do a better density fit (you can also try
Good)
End

BeckeGrid
  Quality Normal ! better grid especially for heavy atoms (you can also
try Good)
End
```

An alternative is to try the LIST method. For sure the cost of a single SCF iteration will increase, but it may reduce the number of SCF cycles, see `Diis%Variant`.

```
Diis
  Variant LISTi ! invoke the LISTi method
End
```

For heavy elements the use of a small or no frozen core may complicate the SCF convergence.

## Geometry does not converge

One thing that you should make sure that at least the SCF converges. If that is so, then maybe the gradients are not accurate enough. Here are some settings to improve the accuracy of the gradients

```
RadialDefaults
  NR 10000 ! more radial points
End

NumericalQuality Good
```

## Negative frequencies phonon spectrum

When doing a phonon calculation one sometimes encounters unphysical negative frequencies. There are two likely causes: either the geometry was not in the minimum geometry (see `GeoOpt%Converge`), or the step size used in the Phonon run is too large (see `PhononConfig%StepSize`). Also general accuracy issues may be the cause, such as numerical integration, k-space integration and fit error.

## Basis set dependency

A calculation aborts with the message: dependent basis. It means that for at least one k-point in the BZ the set of Bloch functions, constructed from the elementary basis functions is so close to linear dependency that the numerical accuracy of results is in danger. To check this, the program computes, for each k-point separately, the overlap matrix of the Bloch basis (normalized functions) and diagonalizes it. If the smallest eigenvalue is zero, the basis is linearly dependent. (Negative values should not occur at all!). Given the limited precision of numerical integrals and other aspects in the calculation, you are bound for trouble already if the smallest eigenvalue is very small, even if not exactly zero. The program compares it against a criterion that can be set in input (key `Dependency` option `Basis`).

If you encounter such an error abort, you are strongly advised not to adjust the criterion so as to pass the internal test: there were good reasons to implement the test and to set the default criterion at its current value. Rather, you should adjust your basis set. There are two ways out: using confinement or removing basis functions.

## Using confinement

Usually the dependency problem is due to the diffuse basis functions. This is especially so for highly coordinated atoms. One way to reduce the range of the functions is to use the `Confinement` key. In a slab you could consider to use confinement only in the inner layers, and to use the normal basis to the surface layers. The idea is that basis functions of the surface atoms can describe the decay into the vacuum properly, and that inside the slab the diffuseness of the functions is not needed. If all the atoms of the slab are of the same type, you should make a special type for the inner layers: simply put them in a separate `Atoms` block. The confinement can be specified per type.

## Removing basis functions

You should remove one or more basis functions and maybe modify some of the (other) STO basis functions. The program prints information that helps you determine which basis functions should be modified/removed. Another way to modify your basis set, is to use the confinement keyword. This has the effect of making the diffuse basis functions more localized, thus reducing problematically large overlap with similar functions on neighboring atoms.

In the standard output file, after the error message, you will find a list of eigenvalues of the overlap matrix. If only the first is smaller than the threshold, you should remove one basis function. If more eigenvalues are very small, it is likely that you have to remove more than one function, although you can of course try how far you can get by eliminating just one.

Next the program prints the so-called Dependency Coefficients: a list of numbers, one for each basis function. Those with a large value are the suspicious ones. If you find two coefficients that are significantly larger than the others, you should replace the two corresponding functions by one. Easiest is to remove one of them (take the one with the bigger coefficient). If one of them is a numerical orbital from Dirac and the other an STO, remove the STO. If both are STOs, remove one and replace the other by some kind of average (regarding the radial characteristic: exponential factor and power of radial coordinate).

To identify how the functions in your input correspond to the list the underlies the series of Dependency Coefficients, you have to set up the list of basis functions as follows:

- Consider an outer loop over all atom TYPES. These correspond, in order as well as in number, to the sequence of `AtomType` keys in your input file.
- For each type, consider a loop over all atoms of that type, i.e. the atoms in the ATOM block corresponding to the `AtomType` key at hand.
- For each atom (each `AtomType` key), first write down all DIRAC basis functions, then all STOs. When writing down the functions, be aware that each entry in your input file specifies a function set, by the quantum number L and hence corresponds to  $2L+1$  actual basis functions.
- Regarding the DIRAC basis functions: they belong to the list of basis functions only if the key `Valence` occurs in the pertaining DIRAC input block. If not, no DIRAC functions of that type are included in the basis.  
*If* the Dirac functions are included, you must omit the Core functions and include only the Valence functions from that DIRAC block. The first record in your DIRAC block with two numbers defines (by the first number) the total number of function sets in the DIRAC block (which you can verify by simple counting) and (by the second number) the number of Core function sets among them.  
The Core function sets, if any, are always the first so many in the list in the DIRAC block.

The program stops as soon as it encounters a dependency problem. This may happen for the first k-point. After you have adjusted the basis set following the above guidelines, you will have solved it. However, it may easily happen that the problem shows up again, but now for another (later) k-point, where other entries in the basis set may cause trouble. Do not think you have repaired the first problem incorrectly. Just repeat the procedure until you pass all k-points in the basis set construction without errors. Typically (as a last remark), although not necessarily, the first k-point may have a dependency problem from too many s-type functions, while other k-points may be more sensitive to the series of p-functions in your basis.



## Frozen core too large

Band calculates the overlap matrix of the core functions, and this should approximate the unit matrix. When the deviation is larger than the frozen-core overlap criterion the program stops. The default criterion (0.98) is fairly strict. The safest solution is to choose a smaller frozen core. For performance reasons, however, this may not be the preferred option. In practice you might still get reliable results by setting the criterion to 0.8, see the `Dependency` keyword. For the  $5d$  transition metals, for instance, you can often freeze the  $4f$  orbital, thus reducing the basis set considerably. We strongly advise you to compare these results to a calculation with a smaller core. Such tests can be performed with a smaller unit cell or with a smaller `KSPACE` parameter.

## 3.3 Various issues

### Understanding the logfile

In practice you will look often at the logfile to see whether the calculation is going fine. Here is a logfile for a single point calculation.

```
<Sep30-2014> <10:04:09> >>>> INIT
<Sep30-2014> <10:04:09> BAND development version RunTime: Sep30-2014 10:04:09 Nodes: 1
Procs: 8
<Sep30-2014> <10:04:09> Specify title in input
<Sep30-2014> <10:04:09> using 2014 defaults convention
<Sep30-2014> <10:04:09> All basis functions smoothly confined at radius: 7.0
<Sep30-2014> <10:04:10> >>>> RADIAL
<Sep30-2014> <10:04:10> >>>> POINTS
<Sep30-2014> <10:04:11> >>>> CELLS
<Sep30-2014> <10:04:11> >>>> NUMGRD
<Sep30-2014> <10:04:11> >>>> ELSTAT
<Sep30-2014> <10:04:11> >>>> ATMFNC
<Sep30-2014> <10:04:11> CalcAtomicProperties
<Sep30-2014> <10:04:11> >>>> PREPAREBAS
<Sep30-2014> <10:04:11> ----- K .. 6
<Sep30-2014> <10:04:12> >>>> PREPAREHAM
<Sep30-2014> <10:04:12> ----- K .. 6
<Sep30-2014> <10:04:12> >>>> PREPAREFIT
<Sep30-2014> <10:04:13> start of SCF loop
<Sep30-2014> <10:04:13> initial density from psi
<Sep30-2014> <10:04:14> cyc= 0 err=0.00E+00 cpu= 1s ela= 2s
<Sep30-2014> <10:04:16> cyc= 1 err=7.83E-01 meth=m nvec= 1 mix=0.0750 cpu= 1s ela= 2s
fit=5.02E-02
<Sep30-2014> <10:04:17> cyc= 2 err=7.14E-01 meth=d nvec= 2 mix=0.2000 cpu= 1s ela= 1s
fit=2.12E-02
<Sep30-2014> <10:04:19> cyc= 3 err=9.39E-02 meth=d nvec= 3 mix=0.2000 cpu= 1s ela= 2s
fit=2.72E-02
<Sep30-2014> <10:04:20> cyc= 4 err=2.82E-02 meth=d nvec= 3 mix=0.2200 cpu= 1s ela= 1s
fit=2.92E-02
<Sep30-2014> <10:04:22> cyc= 5 err=4.48E-03 meth=d nvec= 3 mix=0.2420 cpu= 1s ela= 2s
fit=2.92E-02
<Sep30-2014> <10:04:23> HALFWAY
<Sep30-2014> <10:04:23> cyc= 6 err=3.07E-03 meth=d nvec= 4 mix=0.2420 cpu= 1s ela= 1s
fit=2.93E-02
<Sep30-2014> <10:04:25> cyc= 7 err=6.90E-04 meth=d nvec= 4 mix=0.2662 cpu= 1s ela= 1s
```

```

fit=2.93E-02
<Sep30-2014> <10:04:26> cyc= 8 err=2.68E-04 meth=d nvec= 4 mix=0.2928 cpu= 1s ela= 2s
fit=2.93E-02
<Sep30-2014> <10:04:28> cyc= 9 err=1.28E-04 meth=d nvec= 4 mix=0.3221 cpu= 1s ela= 1s
fit=2.93E-02
<Sep30-2014> <10:04:29> cyc= 10 err=6.90E-05 meth=d nvec= 4 mix=0.3543 cpu= 1s ela= 1s
fit=2.93E-02
<Sep30-2014> <10:04:30> SCF CONVERGENCE
<Sep30-2014> <10:04:31> cyc= 11 err=3.43E-06 meth=d nvec= 5 mix=0.3543 cpu= 1s ela= 1s
fit=2.93E-02
<Sep30-2014> <10:04:32> cyc= 12 err=3.43E-06 meth=d nvec= 1 mix=1.0000 cpu= 1s ela= 1s
fit=2.93E-02
<Sep30-2014> <10:04:32> ----- K .. 6
<Sep30-2014> <10:04:34>
<Sep30-2014> <10:04:34> Max. cycle time CP: 1.379
<Sep30-2014> <10:04:34> IO: 0.309
<Sep30-2014> <10:04:34>
<Sep30-2014> <10:04:34> Mean cycle time CP: 1.459
<Sep30-2014> <10:04:34> IO: 0.151
<Sep30-2014> <10:04:34> EL: 1.636
<Sep30-2014> <10:04:34>
<Sep30-2014> <10:04:34> final mix.par. 0.083
<Sep30-2014> <10:04:34> Approx. conv.rate: 0.000
<Sep30-2014> <10:04:34>
<Sep30-2014> <10:04:34> FERMI ENERGY: -0.2198 A.U.
<Sep30-2014> <10:04:34> -5.9802 E.V
<Sep30-2014> <10:04:34> Band gap: 0.1394 A.U.
<Sep30-2014> <10:04:34> 3.7943 E.V
<Sep30-2014> <10:04:34> >>>> ENERGY
<Sep30-2014> <10:04:34> ENERGY OF FORMATION: -1.3496 A.U.
<Sep30-2014> <10:04:34> -36.7236 E.V.
<Sep30-2014> <10:04:34> -846.8654 KCAL/MOL
<Sep30-2014> <10:04:34> >>>> CHARGE
<Sep30-2014> <10:04:34> >>>> HIRSH
<Sep30-2014> <10:04:34> >>>> CM5CHARGES
<Sep30-2014> <10:04:34> >>>> GRADIENTS
<Sep30-2014> <10:04:38> >>>> DOS
<Sep30-2014> <10:04:38> cannot use good scaling dos routines
<Sep30-2014> <10:04:38> storing all partial DOS
<Sep30-2014> <10:04:38> integrate over delta E
<Sep30-2014> <10:04:39> >>>> BZSTRUCT
<Sep30-2014> <10:04:39> >>>> PREPAREBAS
<Sep30-2014> <10:04:39> ----- K .. 6
<Sep30-2014> <10:04:39> >>>> PREPAREHAM
<Sep30-2014> <10:04:39> ----- K .. 6
<Sep30-2014> <10:04:41> copy T(V/VOC)
<Sep30-2014> <10:04:41> copy eigensystem
<Sep30-2014> <10:04:41> NORMAL TERMINATION
<Sep30-2014> <10:04:41> END

```

There are three different phases. The red phase is the preparation phase. The blue phase is the SCF procedure. The green part is the properties phase. Particularly important are the SCF CONVERGENCE and NORMAL TERMINATION messages.

Let us take a closer look at a line during the SCF.

```
<Sep30-2014> <10:04:19> cyc= 3 err=9.39E-02 meth=d nvec= 3 mix=0.2000 cpu= 1s ela= 2s  
fit=2.72E-02
```

The meaning of cyc is the iteration number, so it is the third iteration. The self consistent error (err) is  $9.4 \times 10^{-2}$ . The method (meth) to guess the density for the next cycle is d, meaning DIIS, being a linear combination (nvec) of three vectors. The density is biased (mix) by 0.2 towards output densities. The SCF cycle took 1 second of cpu time (per core), and needed 2 seconds of real time. Finally the error of the density fitting was  $2.7 \times 10^{-2}$ .

## Breaking the symmetry

In some cases you want to break the symmetry. An example of this is when you want to get the anti-ferromagnetic state of Fe. Another common example is when you want to apply geometry constraints on atoms.

The easiest way to do this is of course to disable all symmetry, see `SYMMETRY%NOSYM`, but this might make your calculation more expensive than is needed. A bit more elegant way is to define separate types for the equivalent atoms. Here follows example input for antiferromagnetic iron

```
ATOMS Fe  
0.0 0.0 0.0  
end  
  
! second iron as new type to break the symmetry  
atoms Fe  
-1.435 -1.435 1.435  
END  
  
Lattice  
-1.435 1.435 1.435  
1.435 -1.435 1.435  
2.87 2.87 -2.87  
End  
  
CONVERGENCE  
CRITERION 1.0e-4  
Degenerate default  
SpinFlip 2 ! Flip (startup) spin density at second atom  
END
```

Another solution is to use the expert `SYMMETRY` keyword.

## Labels for the basis functions

You see the labels for the basis functions in for instance the DOS section of the output. The labels are also used in combination with options like `Print Eigens` and `Print OrbPop`. (See also `Print Orbitallabels`).

What do the labels look like? A normal atomic basis function, i.e. a numerical orbital or a Slater type orbital, gets a label like

`<atom number>/<element>/<orbital type>/<quantum numbers description>/<exp in sto>`

Example with a Li and a H atom:

```
1/LI/NO/1s
1/LI/NO/2s
1/LI/STO/2s/1.4
1/LI/STO/2p_y/1.3
1/LI/STO/2p_z/1.3
1/LI/STO/2p_x/1.3
2/H/NO/1s
2/H/STO/1s/1.9
...
```

Core states will just get simple numbers as labels:

```
CORE STATE 1
CORE STATE 2
```

With the fragment option you can give meaningful names to the fragment option, see `Fragment%Labels` and `DosBas`.

## Reference and Startup Atoms

The formation energy of the crystal is calculated with respect to the reference atoms. BAND gives you the formation energy with respect to the spherically symmetric spin-*restricted* LDA atoms. If you want the program to do the spin-unrestricted calculation for the atoms you can give key `Unrestricted` the extra option `Reference`. We do not recommend this as it would give you the false (except in special cases) feeling that you've applied the right atomic correction energy so as to obtain the 'true' bonding energy with respect to isolated atoms. The true atomic correction energy is the difference in energy between the used artificial object, i.e. the spherically symmetric, spin-*restricted* atom with possibly fractional occupation numbers, and the appropriate multiplet state. The spin-*unrestricted* reference atom would still be spherically symmetric, with possibly fractional occupations: it would only have the probably correct (Hund's rule) net spin polarization.

The startup density is normally the sum of the restricted atoms. In case you do an unrestricted calculation you may want to get the sum of the unrestricted atoms as startup density by giving key `Unrestricted` the extra option `Startup`. This does not always provide a better startup density since all atoms will have their net-spins pointing up. If a frozen core is used this option can sometimes lead to a negative valence density, because the frozen core is derived from the restricted atom. The program will stop in such a case.

No matter what reference or startup atoms you use, core orbitals and NOs originate always from the restricted free-atom calculation, because we don't want a spatial dependence of the *basis functions* on spin.

## Numerical Atoms, Basis functions, and Fit functions

The program starts with a calculation of the free atoms, assuming spherical symmetry. The formation energy is calculated w.r.t such atoms. You have to specify the configuration (i.e. which orbitals are occupied) in the `Dirac` subkey of the block key `AtomType`, and you can for instance use the experimental configuration. Keep in mind, however, that this is not necessarily the optimal configuration for your density functional. For instance, Ni has experimentally two electrons in the 4s shell, but with LDA you will find that it is energetically more profitable to move one electron from the 4s to the 3d. The configuration of the reference atoms does not (i.e. should not) affect the final (SCF) density.

Besides the available basis sets in `$ADFHOME/atomicdata/Band`, you could in principle use the basis functions from the database of the molecular ADF program (see the documentation of ADF for how this database is organized). The functions you will find there are `STOs`, which is not optimal since BAND offers

you the option to use `NOs` from the numerical atom. The most efficient approach is to use the `NOs` and remove from the ADF basis set those `STOs` that are already well described by the `NOs`.

As an example we will construct a basis for the Ni atom with orbitals frozen up to the  $2p$  shell, derived from a triple-zeta ADF basis. In the `Dirac` subkey of the block key `AtomType` you specify that the `NOs` up to  $2p$  should be kept frozen and that the  $3d$  and  $4s$  `NOs` be included in the valence basis. Copy from the ADF database all  $3d$ ,  $4s$  and the polarization functions into the `BasisFunctions` subkey of the block key `AtomType` and remove the middle `STOs` of the  $3d$  and the  $4s$ .

Usually it is already quite adequate for a good-quality basis to augment each `NO` with one `STO`. You could then take a double zeta ADF basis and remove one of the  $3d$  and one of the  $4s$  `STOs`. We often find that such a basis, with one `STO` added per `NO`, has a quality that is comparable to *triple* zeta `STO` sets. We strongly recommend that you use combined `NO/STO` bases. Of course, you may want to verify the quality of the basis set by calculations on a few simple systems.

You can copy the fit functions from the ADF database into the `FitFunctions` subkey of the block key `AtomType`. As a matter of experience (and justified by a somewhat different handling of fit functions between the two programs), `BAND` is in most cases (we have not yet seen an exception) less sensitive to the quality of the fit set than ADF is.

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# Keywords

AIMCriticalPoints 57  
ALLOW 12  
ANGSTROM 12  
ATENSOR 53  
ATOM\_SCORE 13  
ATOMS 13  
ATOMS\_BASISTYPE 13  
ATOMS\_FILE 13  
ATOMTYPE 29  
BASISDEFAULTS 28  
BASISFUNCTIONS 30  
BASISTYPE 28  
BECKEGRID 26  
BLCKAT 56  
BZPATH 61  
BZSTRUCT 60  
COMMENT 10  
CONFINEMENT 31  
CONSTRAINTS 48  
CONVERGENCE 33  
COORDINATES 13  
CORE 29  
CPVECTOR 39  
CRITERION 33  
CUTOFF 36  
DEBUG 57  
DEFAULTSCONVENTION 25  
DEFINE 11  
DEGENERATE 33  
DELTA 39  
DENSITYPLOT 40  
DEPENDENCY 36  
DidervCompat 66  
DIIS 34  
DIRAC 30  
DiracGGA 16  
DirectBas 66  
DirectFit 66  
DIRIS 35  
Dispersion 17  
DMADEL 37  
DOS 58  
EFFECTIVEMASS 61  
EFG 54  
EField 24  
EIGENS 55  
EIGENSTATES 32  
EIGHTHRESHOLD 56  
ELECTRONICTEMPERATURE 33  
EPS 39  
ESR 54  
ExactGradRho 66  
FERMI 39  
FILELIMIT 39  
FIT 56  
FITFUNCTIONS 30  
FITMETHOD 37  
FITTYPE 29  
FlioSinglePrecision 66  
FORMFACTORS 62  
FRAGMENT 63  
FREQUENCIES 47  
GEOOPT 46  
GGA 15  
GRADIENTS 45  
GRID 42  
GridBasedAIM 1  
GROSSPOPULATIONS 59  
HUBBARDU 19  
IGNORE 10  
InitialDensity 34  
INTEGRATION 26  
INTEGRATIONMETHOD 25  
IOVECTOR 39  
ITERATIONS 32  
KGRPX 40  
KinViaGrad 66  
KLABELS 13  
KSPACE 26  
LATTICE 12  
LDA 15  
LDOS 42  
MAXTRY 39  
MetaGGA 16  
MIXING 32  
MULLIKENOVERLAPPOPULATIONS 56  
NMR 55  
NODIRECTIONALSCREENING 37  
NuclearModel 25  
NUELSTAT 38  
NUMERICALQUALITY 25  
NVELSTAT 38  
OCCUPATIONS 65  
ORBITALLABELS 56  
ORBITALPLOT 41  
ORBPOP 56  
OVERLAPPOPULATIONS 59  
PhononConfig 49  
PMATRIX 33  
POPTHRESHOLD 56  
POTENTIALNOISE 64  
PRINT 55, 56  
PROGRAMMER 65  
PROPERTIESATNUCLEI 62  
RadialDefaults 38  
RATE 33  
RCELX 37  
REGULARKGRID 26  
RELATIVISTIC 20  
RESPONSE 51  
RESTART 40  
RMADEL 37  
SCF 32  
SCREENING 36  
SelectedAtoms 14  
SOFTCONFINEMENT 31  
SOLVATION 20  
SpinFlip 33  
StartWithMaxSpin 34  
STM 42  
STOPAFTER 12  
SYMMETRY 56, 63  
TAILS 35  
TESTFUNCTIONS 31  
TITLE 10  
UNITS 11  
UNRESTRICTED 18  
UseSharedMemory 66  
UseZlmFit 65  
VSPLIT 33  
XC 15, 14  
ZLMFIT 27

# Index

- A-tensor [53](#)
- Analysis [1](#)
- Anti ferro magnetism [33](#)
- Atom selection [14](#)
- Bader analysis [57](#)
- Band gap [1](#)
- Band structure [1](#)
- Band structure interpolation [60](#)
- Broken symmetry [75](#)
- Charges [57](#)
- Collinear [14](#)
- Constrained optimization [48](#)
- COOP [1](#)
- COSMO [20](#)
- Density at nuclei [1](#)
- Direct method [38](#)
- DOS [1](#)
- EELS [1](#)
- Effective mass [1](#)
- EFG [54](#)
- Electric field [24](#)
- Electric field gradient [54](#)
- ELF [40](#)
- ESR [53](#)
- Exchange-correlation [14](#)
- Ferro magnetism [33](#)
- Finite nucleus [24](#)
- Fit method [37](#)
- Form factors [1](#)
- Free energy [49](#)
- Frequencies [47](#)
- G-tensor [54](#)
- Geometry optimization [46](#)
- GGA+U [19](#)
- Gradients [45](#)
- Hirshfeld charges [1](#)
- Lattice gradients [46](#)
- LDOS [42](#)
- Magnetization [14](#)
- Mobility [1](#)
- Mulliken analysis [1](#)
- NMR [55](#)
- Non-collinear [14](#)
- NQCC [54](#)
- Nuclear Magnetic Resonance [55](#)
- OPWDOS [1](#)
- PDOS [1](#)
- Phonons [49](#)
- precision [1](#)
- Q-tensor [54](#)
- QTAIM [57](#)
- Radial grid [38](#)
- Relativistic effects [20](#)
- Restarts [1](#)
- Selected atoms [49](#)
- Solvent effects [20](#)
- Specific heat [49](#)
- STM [42](#)
- TDDFT [1](#)
- Technical precision [1](#)
- Thermodynamics [49](#)
- Transition state search [48](#)
- Unrestricted calculation [18](#)
- VDD charges [1](#)
- XC [14](#)
- ZORA [20](#)