

# ERKALE Users' Guide

Susi Lehtola

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## 1 Introduction

### 1.1 What is ERKALE?

ERKALE is a code for Hartree-Fock and density-functional theory calculations for atoms and molecules. It uses a Gaussian basis set for representing the molecular orbitals. ERKALE is written in C++ and uses the Armadillo template library for linear algebra operations. ERKALE is designed to be as easily maintained and user friendly as possible, but also to try to be reasonably fast for calculations to take place in practice.

The speciality of ERKALE is the computation of x-ray properties, such as electron momentum densities and Compton profiles, x-ray absorption (XAS) and x-ray Raman scattering (XRS) spectra for core electron excitations through the transition potential approximation, and valence electron excitation spectra through the Casida method.

ERKALE is also the leading program used for completeness-optimization of basis sets.

### 1.2 Why another code?

I wanted to do some research on the modeling of inelastic x-ray scattering. This would require low-level access to a quantum chemical code. The code would need to have a gentle learning curve, be reasonably fast for "production" use - and be free, so that I and others could use the code anywhere they liked.

As I did not find suitable existing programs on the market, I decided to write my own program. This would mean spending more time in development, although with the benefit of getting to grips with low level stuff. The decision was made a lot simpler due to the availability of fast, free libraries for computing electron repulsion integrals (LIBINT[1]) and exchange-correlation functionals (LIBXC[2, 3]), which meant that most of the requisite, but rather time consuming work was already done by others.

Being free is also important because scientific results need to be reproducible. The path from equations to results is often very long in computational science; the code used to implement the equations is (at least!) as important as the equations themselves. To guarantee that the code stays available, I have chosen the GNU General Public License (GPL), which is commonly used in other scientific software as well.

## 1.3 Citation

The recommended citation for the use of ERKALE in scientific publications is

S. Lehtola, ERKALE - HF/DFT from Hel, 2016.  
URL <http://github.com/susilehtola/erkale>

There is also a scientific publication describing ERKALE [4], which you should cite as well, in addition to further publications relevant to the pertinent functionality in ERKALE [5, 6, 7, 8, 9, 10, 11, 12, 13], as detailed below. If you run density functional calculations in ERKALE, you should cite LIBXC as well [20].

## 2 Usage

ERKALE is divided into a set of programs, which each are designed to perform a specific task.

**erkale** is the main program, which is mainly used for performing ground-state SCF calculations.

**erkale\_bastool** is a utility program for working with basis set and can be used to decontract a basis, dump the basis for the wanted element or plot completeness profiles.

**erkale\_casida** performs time-dependent density-functional theory (TDDFT) calculations in the Casida formalism as a postprocessing tool for ERKALE.

**erkale\_copt** creates completeness-optimized primitive basis sets.

**erkale\_emd** is the electronic momentum density (EMD) program that postprocesses the results produced by ERKALE.

**erkale\_xrs** performs XAS/XRS calculations in the transition potential approximation.

### 2.1 erkale

The first step in computing ground-state electronic momentum density properties and Compton profiles, or non-resonant inelastic x-ray scattering (NRIXS) spectra using time-dependent density-functional theory (DFT) through the Casida method, or the transition potential (TP) approximation in ERKALE is the solution of the ground-state electron density. This is performed by the *erkale* program (*erkale\_omp* for the OpenMP parallelized version).

The SCF solver is run with the syntax

```
$ erkale runfile
```

where *runfile* is the file containing the specifics of the calculation to run.

The only keyword that you **have to** define is *Method*, which specifies the type of calculation you wish to run,

everything else is defaulted. The full list of keywords is given below.

**AtomGuess** What method to use for the separated atoms when using the atomic guess (see *Guess* section). The default is *Auto*, in which case *Method* will be used for the atomic guess as well. In some cases (e.g. meta-GGA functionals) the atomic calculations may not converge, and specifying a different *AtomGuess* may prove helpful.

**Basis** The basis set to use. This actually is the file name that ERKALE will look for, and can be given with or without the *.gbs* filename extension. ERKALE will search for the file in the following order:

1. In the current directory.
2. In the directory specified by the environmental variable *ERKALE\_LIBRARY*.
3. In the system-wide basis set directory, defined at compile-time. By default this is */usr/share/erkale/basis*.

By default, the used basis set is aug-cc-pVTZ.

**BasisCutoff** When P-orthogonalization is enabled, the cutoff to use to drop small primitives from contracted functions (in the intermediate normalization). The default is  $10^{-8}$ .

**BasisOrth** The method used to orthonormalize the basis set. Can be *Can* for Canonical orthonormalization, *Sym* for symmetric orthonormalization, *Chol* for full Cholesky orthonormalization, or *PartialCholesky* for the partial Cholesky orthonormalization procedure [5] that tolerates pathological linear dependencies in the basis. The default is *Auto*, which uses symmetric orthonormalization if possible (no near-linear dependencies), partial Cholesky orthogonalization if pathological dependencies are detected, and otherwise canonical orthonormalization. You probably don't want to modify this setting.

**BasisRotate** Perform P-orthogonalization [14] of basis set? Default is *true*. To restore functionality to that before revision 1181, set this to *false*.

**C1-DIIS** When DIIS is used, use the original C1 formulation instead of the newer, more flexible C2 formulation? False by default.

**Charge** The charge of the system, in units of elementary charge. By default 0.

**Cholesky** Use the Cholesky decomposition [15] to treat two-electron integrals?

**CholeskyMode** Mode to run the Cholesky decomposition in, specified with an integer. The default is 0, indicating no special action. Setting the value to 1 will save

the generated Cholesky decomposition on disk. Setting the value to -1 will load the decomposition from disk, skipping the potentially time consuming formation. This option is useful for, e.g., running benchmarks on different functionals using the same basis set and geometry.

**CholeskyThr** The threshold to use for the Cholesky decomposition. The default is  $10^{-7}$ .

**CholeskyShThr** The same-shell threshold to use in the Cholesky decomposition [16]. The program calculates all two-electron integrals for a given shell, and reuses the same integrals until the maximum Cholesky residual on the shell  $r_{\text{shell}}$  is smaller than the global maximum  $r_{\text{max}}$  by the set threshold  $\epsilon$ :  $r_{\text{shell}} < \epsilon r_{\text{max}}$ .

**ConvThr** The orbital gradient convergence threshold. This is the same as the DIIS error,  $\max \|[\mathbf{F}, \mathbf{P}]\|$ .

**DecFock** When forming the Fock matrix in direct SCF, calculate the contributions in the decontracted basis. This may be useful when you have a small system with a very large contracted basis set. *False* by default.

**Decontract** Indices of the atoms to decontract the basis set for, for example 1,2,6-8, or \* for all atoms. Empty by default, meaning no decontraction.

**DensityFitting** Use density fitting to evaluate the Coulomb term (and exact exchange if needed)? Default is *true* for DFT calculations and *false* for HF calculations. When calculation of the exact exchange is needed, you need to define the *FittingBasis* explicitly.

**DFTDelta** Defines when to switch to final integration grid, as a multiple **ConvThr**. The default value is 100.

**DFTGrid** Integration grid to use for DFT calculations. Can be *Auto* for adaptive grid (thus controlled by **DFTInitialTol** and **DFTFinalTol**), or manually defined by *nrad lmax*, *nrad* being the amount of radial shells and *lmax* the maximum order integrated exactly. For Lobatto grids there is no limitation for *lmax*; for Lebedev grids see Table 1 for supported values. You can also define the angular quadrature with *-npts*, where *npts* is the amount of points in the Lebedev quadrature of the wanted order. The default is 75 -302, for a (75,302) grid.

The default should be sufficient for most types of calculations **except those with self-interaction corrections** and some types of exchange-correlation functionals. If you want to run a new functional, you should always check that the grid is converged for your calculation! If the basis set is large like UGBS, you may also need more radial points to ensure that the quadrature is sufficiently accurate for all basis

$l_{\text{max}}$	$n_{\text{points}}$	$l_{\text{max}}$	$n_{\text{points}}$
3	6	41	590
5	14	47	770
7	26	53	974
9	38	59	1202
11	50	65	1454
13	74	71	1730
15	86	77	2030
17	110	83	2354
19	146	89	2702
21	170	95	3074
23	194	101	3470
25	230	107	3890
27	266	113	4334
29	302	119	4802
31	350	125	5294
35	434	131	5810

Table 1: Supported Lebedev grids.  $l_{\text{max}}$  is the order of the rule, while  $n_{\text{points}}$  gives the amount of points on the grid.

functions.

For convenience, the grid can also be specified as “SG-0” for a (25,170) grid, “Coarse” for a (35,110) grid, “SG-1” for a (50,194) grid, “SG-2” or “Fine” for a (75,302) grid, “SG-3” for a (100,590) grid, and “SuperFine” for a (250,974) grid. These have a similar number of unpruned points as in other common approaches; however, the grids aren’t pruned in ERKALE. Note also that the radial scheme used in ERKALE is different. However, the differences in the radial schemes shouldn’t be of practical importance, since you should always check that the calculation is converged to the grid limit, i.e. that the quadratures are essentially exact.

Calculations with meta-GGAs (especially Minnesota functionals) should use at least a SG-2 grid. Some functionals like SCAN require even larger grids to attain a sufficient level of convergence.

**DFTFinalTol** (Available only when *Method* has been set to a DFT keyword) The final tolerance for the DFT exchange-correlation integration grid, as determined by the convergence of the diagonal values of the Kohn-Sham Fock matrix [17]. By default  $10^{-5}$ . **N.B.** The grid is tailored for well-behaving LDA and GGA functionals, and will probably yield unreliable results for newer GGAs and meta-GGAs. I recommend using a static grid.

**DFTInitialTol** (Available only when *Method* has been set to a DFT keyword) The initial tolerance for the DFT exchange-correlation integration grid, as determined by the convergence of the diagonal values of the Kohn-Sham Fock matrix [17]. By default  $10^{-4}$ . **N.B.** The grid is tailored for well-behaving LDA and GGA

functionals, and will probably yield unreliable results for newer GGAs and meta-GGAs. I recommend using a static grid.

**DFTLobatto** (Available only when *Method* has been set to a DFT keyword) Use Lobatto grids instead of Lebedev grids for angular quadrature. False by default.

**DIISEps** Start to mix in a DIIS update when the error is smaller than this threshold. By default  $10^{-1}$

**DIISOrder** When DIIS is used, how many Fock matrices to use for the interpolation? By default 10.

**DIISThr** Error threshold for using DIIS interpolated Fock matrices exclusively. By default  $10^{-2}$ .

**DimerSymmetry** If running on a diatomic molecule placed along the  $z$  axis, this makes the calculation enforce the known orbital symmetries for diatomic molecules, i.e. that the orbital behaves as  $e^{im\phi}$  with respect to the angle  $\phi$  around the bond. This option may be useful for setting up fully numerical calculations with x2DHF or HELFEM, as the calculation yields the occupations for the different  $m$  values.

**Direct** Compute two-electron integrals on-the-fly? You need to enable this in order to compute large systems. False by default.

**FittingBasis** The auxiliary basis set to use for density fitted calculation of the Coulomb and exact exchange (for HF and hybrid DFT) matrices. *Auto* for automatic formation. **N.B.** automatic formation is only supported for pure DFT calculations, as exchange fitting necessary for HF and hybrid DFT has more stringent requirements for the auxiliary basis set. The default is *Auto*.

**Guess** (If an initial wavefunction was not given to the solver via *LoadChk*) Which guess to use for the calculation? The default is *Atomic*; good alternatives are *NO*, *Huckel*, as well as *SAP* that needs precomputed atomic radial potentials, see below. Valid options are

**Core** for the core guess (very bad for polyatomic systems, especially in the presence of heavy atoms),

**Huckel** for a Hückel-type guess [6, 18], where the program employs the orbital coefficients and energies from a set of spin-averaged fractionally occupied atomic calculations to build the guess orbitals,

**SAD** for the superposition of atomic densities (SAD) guess [19], which also employs spin-averaged fractionally occupied atomic calculations,

**SAP** for the superposition of atomic potentials (SAP) [6], which needs precomputed radial potentials, the location for which must be specified with

the `ERKALE_SAP_LIBRARY` environment variable. The quadrature grid is determined with the **SAPGrid** keyword.

**SAPfit** for the fitted version [7] of the SAP guess [6], which avoids numerical quadrature by fitting the atomic potentials to a Gaussian expansion. The fitting basis is given with the **SAPBasis** keyword.

**NO** for the purified SAD guess [6].

**InputBohr** Specifies that the geometry in the xyz file is in Bohr instead of Ångström.

**LoadChk** Initialize calculation with orbitals from checkpoint file.

**Logfile** Redirect standard output to file. Set as *stdout* to retain in standard output. By default *erkale.log*.

**MaxIter** Maximum number of SCF steps to perform before giving up. By default 100.

**Method** Can be *HF* for (restricted or unrestricted) Hartree-Fock, *ROHF* for restricted open-shell Hartree-Fock or a keyword specifying the used exchange-correlation functional.

The evaluation of the exchange-correlation functionals is performed by the LIBXC library [20], so for a list of supported exchange, correlation and exchange-correlation functionals please refer to the attached list or the LIBXC documentation (e.g. the file *xc\_funcs.h* included in the LIBXC installation).

The exchange-correlation functionals are given in the format *exchange-correlation*, for instance *lda\_x-lda\_c\_vwn* for LDA exchange and Vosko-Wilk-Nusair correlation. If you want, you can also give this in the format 1-7, where the numbers are the relevant LIBXC functional identifiers.

If you want to run a calculation with just exchange, or just correlation, you can do this by specifying, e.g., *lda\_x-none* and *none-lda\_c\_vwn*, respectively, as the method. If you set the method to *none* or *none-none* (or substitute 0 for *none*), you will get a calculation corresponding to Hartree level of theory.

**Multiplicity** Spin multiplicity  $2S + 1$  of the system. 1 by default (singlet  $S = 0$ ).

**NLGrid** The grid used to evaluate the non-local correlation contribution in VV10. Same syntax as for *DFTGrid*. The default is a (50,194) grid, which typically gives results converged to the grid limit. Note that you will want to use a much bigger *DFTGrid*.

**Occupancies** Orbital occupancies, given in the format  $n_1 n_2 n_3 \dots n_N$  for closed shell and  $n_{1\alpha} n_{1\beta} n_{2\alpha} n_{2\beta} \dots$

- $n_{N\alpha}$   $n_{N\beta}$  for open shell systems. If occupancies are not specified, the Aufbau principle is used to form the occupancies.
- PZ** Use Perdew–Zunger self-interaction correction (PZ-SIC) [21, 8, 9]? Default is *No*.
- PZEthr** The threshold for energy convergence in the line search procedure.
- PZimag** Enable imaginary rotations? The default is *Auto*, indicating the imaginary degrees are turned on by stability analysis (if it is enabled).
- PZiter** The number of consecutive line search iterations to take in the occupied–occupied and occupied–virtual blocks. The default is 20.
- PZIThr** The threshold for the initial localization procedure specified by *PZlocmet*. The default is  $10^{-3}$ .
- PZloc** Initial localization of the orbitals? The default is *Auto*, meaning that canonical orbitals will be localized, but if a previous PZ calculation is loaded in, the orbitals will not be touched.
- PZlocmet** The method used in the initial localization of the orbitals. The possibilities are the same as for the *Method* keyword of *erkale\_loc*.
- PZmode** The interactions to apply the PZ correction to. The default is *XC*, standing for exchange and correlation. Any combination of *X*, *C*, and *D* is allowed, where *X* stands for exchange, *C* for correlation and *D* for dispersion (i.e. VV10 non-local correlation).
- PZNRthr** The gradient threshold to use to switch to a Newton–Raphson method in the occupied–occupied optimization. The default is 0, meaning that the Newton–Raphson procedure will not be used. Since the Hessian is evaluated seminumerically, the procedure is rather costly.
- PZoo** Enable rotations in the occupied–occupied block? *True* by default. You can turn this off if you set *PZW* to 0 (with *PZScale Constant*), in which case the model is invariant to rotations in the occupied–occupied block.
- PZOOThr** The convergence threshold for the occupied–occupied gradient. The default is  $10^{-4}$ .
- PZov** Enable rotations in the occupied–virtual (and virtual–occupied) block? *True* by default. Turning this off is primarily useful if you use the PZ code to run Edmiston–Ruedenberg localization.
- PZOVThr** The convergence threshold for the occupied–virtual gradient. The default is  $10^{-5}$ .
- PZprec** Preconditioning of the occupied–virtual block in PZ-SIC calculations [9]. Can be 0 for no preconditioning, 1 for preconditioning with the unified Hamiltonian, or 2 for preconditioning with the orbital-dependent Hamiltonian.
- PZScale** Scaling of the Perdew–Zunger self-interaction correction. Can be *Constant* (default), *Kinetic* or *Density*.
- PZScaleExp** The exponent in the kinetic or density scaling equation. The default is 1.0.
- PZseed** The random seed to use for the initial localization. The default is 0.
- PZstab** Run stability analysis on the found solution [9]? Can be 0 for no stability analysis, 1 for stability analysis in the occupied–occupied block, or 2 for stability analysis in the occupied–occupied and occupied–virtual blocks. The orbital Hessian is formed by finite difference of analytic gradients, and is diagonalized using dense matrix algebra. The eigenvalues of the Hessian will be printed out. The program also accepts negative values which trigger following the instability. E.g., -1 means that stability analysis is run in the occupied–occupied block, and if negative eigenvalues are found the solution will be displaced on the direction of the largest instability and the optimization is restarted.
- PZstabThr** The threshold  $\epsilon$  for a negative eigenvalue  $\omega$ , interpreted as  $\omega < -\epsilon$ . If this inequality holds, the wave function is deemed unstable.
- PZW** The weight used for the Perdew–Zunger self-interaction correction. The default is 1.0.
- SAPBasis** Auxiliary basis set for the SAPfit initial guess. Default is *helfem\_large.gbs* that corresponds to the “large” fit of [7].
- SaveChk** Save results to checkpoint file. Default is *erkale.chk*.
- Shift** Level shift in Hartree to use when solving the SCF equations. The default is 0, i.e. no level shift.
- System** The xyz file containing the nuclear coordinates of the system to calculate. By default *atoms.xyz*. Additionally, the fifth column in the file may be used to specify atomic charges for the initial atomic guess, which may be useful for obtaining different classes of solutions (e.g. ionic vs non-ionic). The file is searched in the current directory, and then in the directory specified by the environment variable *ERKALE\_SYSDIR*. The molecular geometry can also be specified as a Z matrix; in this case the xyz file should start with the line *#ZMATRIX*.



**StrictIntegrals** Do tight screening of two-electron integrals in on-the-fly calculations of the Hartree-Fock Coulomb and/or exchange matrices. *False* by default, meaning that adaptive screening based on the change of the density matrix is used to skip small products.

**UseADIIS** Use the ADIIS convergence acceleration algorithm? *True* by default.

**UseDIIS** Use the DIIS convergence acceleration algorithm? (Once the DIIS error has dropped below **DIISThr**.) *True* by default.

**UseBroyden** Use the Broyden convergence accelerator algorithm? *False* by default.

**UseLM** Use pure spherical harmonics in the basis set, *i.e.*, 5 *d* functions instead of the 6 cartesian, 7 *f* functions instead of the 10 cartesian, *etc.* *True* by default.

**UseTRRH** Use the Trust Region Roothaan-Hall method for orbital updates instead of diagonalization of the Fock matrix. *False* by default.

**Verbose** Be verbose in the calculation? *True* by default.

**VV10** Add in VV10 non-local correlation [22]? *True* or *false*. The default is *Auto*, triggering VV10 contributions when toggled by the functional definition in LIBXC. If you set “VV10 *True*”, you need to specify the parameters to be used with *VV10Pars*. Whether VV10 is enabled by *True* or *Auto*, you need to check that the *NLGrid* is suitable.

**VV10Pars** The *b* and *C* parameters for the VV10 non-local correlation functional. This is only used if VV10 is set to *True*, if VV10 is *Auto* the parameters will be read in from LIBXC.

## 2.2 erkale\_bastool

The basis set tool can be used to prepare basis sets for calculations by decontracting the basis set (you can, however, accomplish the same thing with the *Decontract* setting in the runfile) or dumping a specific element from the library. The tool can also be used to plot the completeness profile of an element in the basis set.

To examine the composition of a basis set, use, *e.g.*,

```
$ erkale_bastool aug-cc-pVTZ composition
```

which will print out the contraction scheme of the basis set.

To plot the completeness profile [23] of a basis set use, *e.g.*,<sup>1</sup>

```
$ erkale_bastool aug-cc-pVTZ completeness \
0 0-prof.dat
```

which computes the completeness profile of the aug-cc-pVTZ oxygen basis set and save it to the file *O-prof.dat*. The first column in the file contains the 10-base logarithm of the scanning exponent,  $\lg \alpha$ , whereas the following columns contain the *s*, *p*, *d*, ... space completeness of the basis set.

To decontract a basis set, use

```
$ erkale_bastool input.gbs decontract \
output.gbs
```

which will save the input basis set in decontracted form in the file *output.gbs*.

To dump the basis set for a specific element use

```
$ erkale_bastool input.gbs dump element \
output.gbs
```

Or, to dump the basis set for all the elements in a xyz file, use

```
$ erkale_bastool input.gbs genbas system.xyz \
output.gbs
```

To convert a basis set file into Dalton format, use

```
$ erkale_bastool input.gbs savedalton \
output.dal
```

To perform P-orthogonalization[14] of a basis set, use

```
$ erkale_bastool input.gbs Porth cutoff \
Cortho output.gbs
```

Here, *cutoff* is the cutoff for primitive coefficients in the intermediate normalization (largest coefficient normalized to unity), and *Cortho* is the  $C_{\text{ortho}}$  parameter used in the rotation which controls linear dependencies,  $C_{\text{ortho}} = 0$  being equivalent to Davidson rotation.

## 2.3 erkale\_casida

To compute NRIXS spectra with the Casida tool, you need to do first a ground-state calculation.

The runfile format for a Casida calculation is as follows:

**CasidaC** The correlation functional to be used for the Casida calculation. Only LDA functionals are currently supported. By default *lda\_c*.

**CasidaCoupling** The coupling mode for the Casida calculation. Can be 0 for the independent particle approximation (IPA), 1 for the random phase approximation (RPA) or 2 for the time-dependent local density approximation (TDLDA). By default 2.

**CasidaPol** Force a polarized Casida calculation, even if a restricted ground-state calculation is used. *False* by default.

<sup>1</sup>\ denotes line continuation; write the commands on a single line.

**CasidaQval** The values of momentum transfer that the spectra should be computed for. For example *0.1:0.1:1.0,2.5,7.4*

**CasidaStates** The states to include in the Casida calculation, for instance *1:10,14,16:48*. For unrestricted calculations the alpha and beta states need to be specified separately (alpha first, then beta). You can also use “HOMO” and “LUMO” as specifiers, e.g., *1:homo+20*, which will include all of the occupied orbitals and the 20 lowest unoccupied ones as well.

**CasidaX** The exchange functional to be used for the Casida calculation. Only LDA functionals are currently supported. By default *lda\_x*.

**DFTFittingBasis** The basis set to use as the fitting basis. Auto for automatical formation.

**LoadChk** The file containing the ground-state density. By default *erkale.chk*.

As a result from the Casida executable you will get the file *casida.dat* that contains the dipole NRIXS spectrum. The first column gives the transition energy and the second gives the transition speed. If you also specified *CasidaQ-Val*, then you will also get files named *casida-x.yy.dat* that contain the momentum transfer dependent spectra.

If default settings are enough for you, you don’t need to specify a runfile.

## 2.4 erkale\_copt

The completeness optimization tool can be used to create completeness-optimized [24, 10] primitive basis sets. The optimization uses conjugate gradients with finite difference gradients [10].

The measure to optimize is

$$\tau_n = \left( \frac{1}{\lg \alpha_{\text{high}} - \lg \alpha_{\text{low}}} \int_{\alpha_{\text{low}}}^{\alpha_{\text{high}}} [1 - Y(\alpha)]^n d \lg \alpha \right)^{1/n}, \quad (1)$$

where  $n = 1$  corresponds to maximizing the area of completeness

$$\tau_{\text{area}} = 1 - \frac{1}{\lg \alpha_{\text{high}} - \lg \alpha_{\text{low}}} \int_{\alpha_{\text{low}}}^{\alpha_{\text{high}}} Y(\alpha) d \lg \alpha$$

and  $n = 2$  to minimizing the rms deviation from completeness

$$\tau_{\text{rms}} = \sqrt{\frac{1}{\lg \alpha_{\text{high}} - \lg \alpha_{\text{low}}} \int_{\alpha_{\text{low}}}^{\alpha_{\text{high}}} [1 - Y(\alpha)]^2 d \lg \alpha}.$$

Here  $Y(\alpha)$  is the completeness profile, which measures the capability of the basis set to represent the primitive Gaussian basis function the set is scanned with,

$$Y(\alpha) = \sum_{\mu\nu} \langle \alpha | \mu \rangle S_{\mu\nu}^{-1} \langle \nu | \alpha \rangle.$$

When  $|\alpha\rangle$  can be expanded exactly in the basis set,  $Y(\alpha) = 1$ .

The syntax of the program is

```
$ erkale_copt runfile
```

where *runfile* is the file that contains the wanted parameters:

**LinDepThresh** the linear dependence cutoff,  $10^{-5}$  by default

**am** the angular momentum of the shell to optimize (0 for S, 1 for P, etc.)

**coulomb** use the Coulomb metric instead of the overlap metric? False by default. Use True for optimizing auxiliary basis sets for density fitting.

**max** the upper limit of the range of  $\lg \alpha$  to optimize for

**min** the lower limit of the range of  $\lg \alpha$  to optimize for

**n** the measure to use:  $n = 0$  for maximal area or  $n = 1$  for minimal rms deviation

**nfull** the number of functions on each side to fully optimize, the exponents in the middle being represented by an even-tempered expansion. 4 by default, which yields practically fully converged results

**nfunc** the number of primitives to use

**output** file to save the resulting basis to. Default is *optimized.gbs*.

To generate basis sets for practical calculations you should use the optimization scheme detailed in reference [24] to generate sufficient sets for all shells of all elements. Note that will need to concatenate the shells by hand for each element.

Note that you should not in general generate basis sets by hand, but use an automated procedure such as the one I’ve used [10, 25, 26]. The ERKALE source code includes the algorithms I’ve used, under *src/contrib*.

## 2.5 erkale\_copt\_plateau

This is another variant of the completeness optimization program, where instead of defining a number of functions and limits for the wanted completeness plateau, the width of the plateau is determined automatically by targeting exact satisfaction of the specified value for the metric  $\tau_n$ . This is achieved in the program by adjustment of the width of the plateau by changing the upper limit of the integral [10]. The syntax of the program is

```
$ erkale_copt_plateau runfile
```

where *runfile* is the file that contains the wanted parameters:

**LinDepThresh** the linear dependence cutoff,  $10^{-5}$  by default

**am** the angular momentum of the shell to optimize (0 for S, 1 for P, etc.)

**coulomb** use the Coulomb metric instead of the overlap metric? False by default. Use True for optimizing auxiliary basis sets for density fitting.

**min** the lower limit of the range of  $\lg \alpha$

**n** the measure to use:  $n = 0$  for maximal area or  $n = 1$  for minimal rms deviation

**nfull** the number of functions on each side to fully optimize, the exponents in the middle being represented by an even-tempered expansion. 4 by default, which yields practically fully converged results

**nfunc** the number of primitives to use

**output** file to save the resulting basis to. Default is *optimized.gbs*.

Like *erkale\_copt*, this program also generates functions one shell at a time and so you will need to concatenate the basis sets by hand.

## 2.6 erkale\_cube

*erkale\_cube* can calculate the electron density and/or the molecular orbitals on a grid. To compute the electron momentum density on a grid, use *erkale\_emd* (section 2.9).

*erkale\_cube* generates a file in the GAUSSIAN cube format, which can be visualized, e.g., with Avogadro [27] or JMol [28]. The settings are

**AutoBuffer** Buffer in Ångström to add in each side of the cube determined by the extremal locations of the atoms. The default is 2.5.

**AutoSpacing** Grid spacing in Ångström to use in automatic grid generation. The default is 0.1.

**Cube** The geometry of the cube, same syntax as for **EMD-Cube** in section 2.9. Alternatively, can be Auto for automatic generation (default).

**Density** A boolean stating whether the densities are to be calculated. Output saved to *density.cube*; if spin unrestricted also alpha and beta densities are computed and saved in *density-a.cube* and *density-b.cube*, respectively.

**ELF** Compute the electron localization function [29]? The default is *false*.

**LoadChk** File to load orbitals and densities from

**OrbIdx** Indices of orbitals to plot. Same syntax as for **CasidaStates** in section 2.3, but the HOMO and LUMO specifiers are not supported.

**Potential** Compute the electrostatic potential? Saved in *potential.cube*. Default is *false*.

**SplitOrbs** A boolean stating whether the orbitals are to be saved in a single file *orbital.cube* (*false*, default), or to be split into single orbital-specific files *orbital.N.cube*, where  $N$  is the orbital index. If spin unrestricted, the corresponding files are *orbital-a.cube* and *orbital-b.cube*, or *orbital-a.N.cube* and *orbital-b.N.cube*.

## 2.7 erkale\_fchkpt

For compatibility with other software, ERKALE includes a tool for converting formatted checkpoint files into ERKALE format, and vice versa: *erkale\_fchkpt*.

The main purpose of this tool is to enable visualization of calculations performed with ERKALE using Avogadro[27] (doesn't support spin polarized calculations) or IQmol[30], and to analyze calculations performed with GAUSSIAN™ or Q-CHEM™.

The accepted keywords for *erkale\_fchkpt* are as follows:

**LoadChk** Load checkpoint in ERKALE format from file.

**LoadFchk** Load formatted checkpoint from file.

**SaveChk** Save checkpoint in ERKALE format in file.

**SaveFchk** Save formatted checkpoint from file.

**FchkTol** Tolerance for deviation of norm of density matrix. The default is  $10^{-8}$ . (Only applicable to fchk → chk)

**Renormalize** A boolean stating whether the density matrix should be renormalized to the correct amount of electrons. (Only applicable to fchk → chk)

**Reorthonormalize** A boolean stating whether the orbitals are to be reorthonormalized. (Only applicable to fchk → chk)

## 2.8 erkale\_geom

*erkale\_geom* performs ground-state geometry optimizations, using analytical derivatives. The program is ran similar to the main executable *erkale*. Upon execution, the electronic structure is first solved in the starting point structure verbosely, after which the executions proceeds in non-verbose mode. The optimization is performed in cartesian coordinates, which is suboptimal for large molecules due to the suboptimal choice of the degrees of freedom. ROHF geometry optimization is not currently supported.

**N.B. Analytic VV10 forces are currently incorrect in ERKALE. You should use numerical gradients instead for VV10 calculations, as well as for PZ-SIC calculations.**

Additional settings compared to *erkale* are



**Criterion** The convergence criterion to use: LOOSE, NORMAL, TIGHT or VERYTIGHT. The default is *NORMAL*.

**CGReset** If using conjugate gradients, reset the search direction every N steps. The default is 5.

**MaxSteps** The maximum amount of geometry optimization steps to take. Default is 256.

**NumGrad** Use numerical gradients instead of analytic gradients? Default is *False*. You may want to set the *Stencil* and the *Stepsize* as well.

**Optimizer** The optimization algorithm to use. Currently supported options are

CGFR	Fletcher–Reeves conjugate gradients
CGPR	Polak–Ribière conjugate gradients
BFGS	Broyden–Fletcher–Goldfarb–Shanno optimizer (default)
SD	Steepest descent

**OptMovie** The file to store the progress of the optimization in. The file contains xyz snapshots of the system, and can be played as a movie in, e.g., Jmol. Default is *optimize.xyz*.

**Result** The file to store the final geometry in. Default is *optimized.xyz*.

**Stencil** The finite difference stencil to use for numerical gradients. The default is 2, for a two-point central difference stencil.

**Stepsize** The step size for the finite difference stencil in bohr. The default is  $10^{-6}$ .

It is also possible to fix atoms during the geometry optimization. This is done by adding a *-Fx* suffix to the element symbol in the input geometry file.

## 2.9 erkale\_emd

The EMD executable can be used to calculate the electron momentum density and the Compton profile.

To calculate the radial electron momentum density (isotropic EMD) and the isotropic Compton profile with the algorithm from reference [11] from the checkpoint file called *erkale.chk*, the runfile format is

```
LoadChk erkale.chk
DoEMD true
```

The default relative tolerance for the radial  $p$  integral is  $10^{-8}$ , which can be modified with the *EMDTol* keyword.

As a result of the calculation, you will get the following files:

*emd.txt* The radial EMD. The first column is  $p$ , the second is the EMD  $n(p)$ .

*moments.txt* The moments of the radial EMD,  $\langle p^k \rangle$  for  $k = -2, \dots, 4$ .  $\langle p^0 \rangle$  is simply the number of electrons.

*compton.txt* The isotropic Compton profile  $J(q)$ . The first column is  $q$ , the second is  $J(q)$  and the third gives the error estimate of the numerical integration.

*compton-interp.txt* The isotropic Compton profile, interpolated on a fixed grid. Contents otherwise same as in *compton.txt*.

Correspondingly, if you want to compute the EMD on a grid, you need to add the *EMDCube* keyword. The syntax is

```
EMDCube -10:.1:10
```

for a cube from -10 bohr to 10 bohr with spacing 0.1 bohr in  $p_x$ ,  $p_y$  and  $p_z$ , or, if you want a non-isotropic grid, the syntax is

```
EMDCube -3:.2:5 -2:.5:3 -1:.01:1
```

where the spacings are given separately for  $p_x$ ,  $p_y$  and  $p_z$ . The result will then be saved in the file *emdcube.dat*, where the first three columns contain  $p_x$ ,  $p_y$  and  $p_z$  and the fourth one contains the value of the EMD.

You can also calculate momentum density overlap integrals

$$S_{AB}(k) = \int p^{2k} n_A(\mathbf{p}) n_B(\mathbf{p}) d^3p$$

as well as the related similarity measures

$$I_{AB}(k) = \int p^{2k} \pi_A(\mathbf{p}) \pi_B(\mathbf{p}) d^3p,$$

where the momentum shape functions are defined as

$$\pi_A(\mathbf{p}) = n_A(\mathbf{p}) / N_A,$$

$N_A$  being the amount of electrons

$$N_A = \int n_A(\mathbf{p}) d^3p.$$

Also the similarity integral

$$D_{AB}(k) = \sqrt{I_{AA}(k) + I_{BB}(k) - 2I_{AB}(k)}$$

is calculated. The reference is given with the *LoadChk* keyword, and the similarity calculation is triggered with the *Similarity* keyword, with an argument specifying the checkpoint used for the comparison. The integrals are performed on a grid with 500 point radial points (Chebyshev rule), and 2030 angular points (Lebedev), analogously to [31].

### 2.9.1 erkale\_adf\_emd

As a supplementary feature, ERKALE can also calculate momentum densities from calculations performed with the Amsterdam Density Functional program (ADF) in the Slater type orbital (STO) basis. However, we do not recommend the use of ADF for EMD calculations as better results can be obtained faster using GTO basis sets.

### 2.10 erkale\_loc

This is a tool for orbital localization. The used algorithms are described in [12], please cite it when you use the program. Accepted keywords

**LoadChk** Checkpoint to load calculation from.

**SaveChk** Checkpoint to which save calculation with localized orbitals.

**Maxiter** Maximum amount of iterations to take in the unitary optimization. Default is 50000.

**Method** Method to use for orbital localization. Can be:

ER	Edmiston–Ruedenberg localization. [32]
FB	Foster–Boys, <i>i.e.</i> , second moment [33]
FB2	FB with penalty exponent $p = 2$ [34]
FB3	FB with penalty exponent $p = 3$ [34]
FM	fourth moment [35]
FM2	FM with penalty exponent $p = 2$ [35]
FM3	FM with penalty exponent $p = 3$ [35]
MU	Pipek–Mezey (PM) with Mulliken charges [36]
MUH	PM with Mulliken charges, but with exponent $p = 1.5$ instead of $p = 2$ [37]
MU2	PM with Mulliken charges, but with exponent $p = 4$ instead of $p = 2$ [37]
LO	PM with Löwdin charges [37]
LOH	PM with Löwdin charges, but with exponent $p = 1.5$ instead of $p = 2$ [37]
LO2	PM with Löwdin charges, but with exponent $p = 4$ instead of $p = 2$ [37]
BA	PM with Bader charges [13, 38]
BAH	PM with Bader charges, but with exponent $p = 1.5$ instead of $p = 2$ [13, 38]
BA2	PM with Bader charges, but with exponent $p = 4$ instead of $p = 2$ [13, 38]
BE	PM with Becke charges [13]
BEH	PM with Becke charges, but with exponent $p = 1.5$ instead of $p = 2$ [13]
BE2	PM with Becke charges, but with exponent $p = 4$ instead of $p = 2$ [13]

HI	PM with Hirshfeld charges [13, 39]
HIH	PM with Hirshfeld charges, but with exponent $p = 1.5$ instead of $p = 2$ [13, 39]
HI2	PM with Hirshfeld charges, but with exponent $p = 4$ instead of $p = 2$ [13, 39]
IHI	PM with iterative Hirshfeld charges [13, 40, 41]
IHIH	PM with iterative Hirshfeld charges, but with exponent $p = 1.5$ instead of $p = 2$ [13, 40, 41]
IHI2	PM with iterative Hirshfeld charges, but with exponent $p = 4$ instead of $p = 2$ [13, 40, 41]
IAO	PM with intrinsic atomic orbital charges [42] (This yields intrinsic bond orbitals, IBOs, in the nomenclature of [42])
IAOH	PM with intrinsic atomic orbital charges [13, 42], but with exponent $p = 1.5$ instead of $p = 2$ (This yields intrinsic bond orbitals, IBOs, in the nomenclature of [42])
IAO2	PM with intrinsic atomic orbital charges [42], but with exponent $p = 4$ instead of $p = 2$ (This yields intrinsic bond orbitals, IBOs, in the nomenclature of [42])
ST	PM with iterative Stockholder charges [13, 43, 44, 45]
STH	PM with iterative Stockholder charges [13, 43, 44, 45], but with exponent $p = 1.5$ instead of $p = 2$
ST2	PM with iterative Stockholder charges [13, 43, 44, 45], but with exponent $p = 4$ instead of $p = 2$
VO	PM with Voronoi charges [13]
VOH	PM with Voronoi charges [13], but with exponent $p = 1.5$ instead of $p = 2$
VO2	PM with Voronoi charges [13], but with exponent $p = 4$ instead of $p = 2$

The default is FB.

**Virtual** In addition to occupied orbitals, localize virtual orbitals as well? Default is *false*.

**Logfile** Where the progress report is saved to. The default is the standard output.

**Accelerator** The convergence accelerator to use. Can be SDSA for steepest descent / steepest ascent, CGPR for Polak–Ribière conjugate gradients, or CGFR for Fletcher–Reeves conjugate gradients. The default is CGPR. The use of CGFR is discouraged.

**LineSearch** Method to use for line searches. Can be `poly_df` for fitting the derivative of the cost function, `poly_fdf` for fitting both cost function and its derivative, `armijo` for an Armijo line search or `fourier_df` for a Fourier transform method.

**StartingPoint** Where to start the optimization from. Possibilities: *CAN* for canonical orbitals, *ORTH* for a random orthogonal matrix (default), or *UNIT* for a random complex unitary matrix.

**Delocalize** Instead of localizing, delocalize orbitals? Default is *false*.

**Seed** The random seed to use when starting from a random matrix.

**FThreshold** Determine convergence when relative change in function value is less than this. Default is  $10^{-7}$ .

**GThreshold** Determine convergence when absolute value of the Riemannian derivative is smaller than this. Default is  $10^{-7}$ .

## 2.11 erkale\_pop

To perform additional population analyses in addition to the Mulliken analysis ran by *erkale* by default, you can use *erkale\_pop*. The accepted keywords are

**LoadChk** Checkpoint file to load densities from. Default is *erkale.chk*.

**Bader** Calculate Bader charges, along the lines of reference [46]. Default is *false*.

**Becke** Calculate Becke charges. **N.B. These are dependent on the used weighting scheme, which is not physical!** Default is *false*.

**DensThr** Compute total density thresholds for orbital visualization[13, 42]. Default is *false*.

**Hirshfeld** Calculate Hirshfeld charges [39]. Default is *false*.

**HirshfeldMethod** Method to use in computing reference densities for Hirshfeld or iterative Hirshfeld analysis. Default is *HF*. It is also possible to load reference densities from checkpoint files with *Load*, so the use of post-HF densities is also possible. The checkpoint files should be in the current working directory and be named `el_Q.chk`, `el` being the element symbol and `Q` the charge (only 0 for Hirshfeld,  $Q \in [-2, 2]$  for iterative Hirshfeld).

**IterativeHirshfeld** Calculate iterative Hirshfeld charges[40, 41]. Default is *false*.

**IAO** Calculate intrinsic atomic orbital charges[42]. Default is *false*.

**IAOBasis** (Minimal) basis set to use for intrinsic atomic orbital analysis. Default is *MINAO.gbs*.

**Mulliken** Calculate Mulliken charges. Default is *false*.

**Lowdin** Calculate Löwdin charges. Default is *false*.

**OrbThr** Compute orbital density thresholds for orbital visualization[13, 42]. Default is *false*.

**OrbThrVal** Orbital density thresholds for orbital or total density visualization[13, 42]. Default is 0.85, corresponding to 85% of total charge within the threshold.

**OrbThrGrid** DFT grid tolerance for numerical overlap matrix, for determining orbital or density thresholds for visualization[13, 42]. Default is  $10^{-3}$ .

**Stockholder** Calculate iterative Stockholder charges [43, 44, 45]. Default is *false*.

**Voronoi** Calculate Voronoi charges. Default is *false*.

**Tol** Integration grid tolerance for the diagonal element of the overlap matrix [47]. Default is  $10^{-5}$ .

## 2.12 erkale\_xrs

The runfile for the XRS executable contains the same directives as that of the SCF executable (since the TP calculation involves an SCF calculation), and in addition some directives that are specific to the XRS/XAS calculation. To perform a XAS/XRS calculation, you first need to do a ground-state calculation, from which the initial core state is then identified by localization.

*Note:* in contrast to the other executables, *erkale\_xrs* will check the *SaveChk* file whether a calculation has been already performed. This can be used to initialize an XCH calculation with a TP calculation (copy TP checkpoint to the *SaveChk* file of the XCH run), or to compute more TP spectra (e.g., different augmentation scheme, different *Q* values or different *QMethod*).

*Note:* The current implementation (since revision 1262) of the localization of the core hole is based on an algorithm similar to the one by Iannuzzi and Hütter [48], instead of the one described in [4]. This enables

**XRSAugment** Asks for the double basis set method to be used: after the TP calculation has converged, augment the basis set with diffuse functions on the given atoms to improve the description of virtual orbitals, e.g., 1,2,5-10,13. You should always augment the excited atom; others aren't normally necessary. None by default.

**XRSDoubleBasis** (If the double basis set method is used) The basis set to add on the augmented centers. The default is *X-AUTO*, which is *X-FIRST* for first-row atoms and *X-SECOND* for second-row atoms.

**XRSGridTol** The XC integration grid tolerance for the double basis set calculation.  $10^{-4}$  by default.

**XRSInitialState** The core state to excite. Default is *1s*. The program localizes a set of orbitals on the excited atom, from which the core state is identified. Only the inner core can be excited; the orbital must not be in the valence or the iteration will not converge.

**XRSInitialOrbital** Index of initial orbital on the wanted shell. Default is 1. For excitations from higher than *s* shells, can be chosen from the range  $1, \dots, 2l + 1$ .

**XRSLmax** (If the local expansion method is used.) Defines the order of expansion in the angular integrals. 5 by default.

**XRSLquad** (If the local expansion method is used.) Determines how many points are used in the angular integrals. 30 by default.

**XRSMMethod** Which type of calculation to run. Can be *TP* for transition potential (for x-ray Raman and x-ray absorption spectra), *FCH* for full core-hole (for computing vertical photoionization energy), or *XCH* (for computing absolute energy correction to TP spectrum). The default is *TP*.

**XRSNrad** (If the local expansion method is used.) Gives the number of points used in the radial integrals. 200 by default.

**XRSSpin** Which spin to excite? Alpha by default. (This setting is relevant for open-shell ground state systems.)

**XRSQval** The values of momentum transfer *q* the spectra should be calculated for. For example *0.1:0.1:1.0,2.5,7.4*

**XRSQMethod** The method of computing the *q* dependent spectra. Can be *Local* for the local expansion method [49], *Fourier* for the Fourier transform based method or *Series* for a moment matrix based method (not recommended). The default is *Fourier*, which is also used for *q* dependent Casida.

The excited atom is specified for *erkale\_xrs* in the xyz file with the -Xc suffix. You can use the same ground state calculation for studying excitations at different centers, e.g., the nonequivalent carbons on phenol.

## 2.13 Checkpoint files

ERKALE uses the HDF5 library <http://www.hdfgroup.org/HDF5/> to perform checkpointing. The method has both the advantage of the speed and accuracy of binary I/O, and the cross-platform compatibility and easy visual inspection that formatted text I/O is conventionally used for.

You can inspect ERKALE checkpoint files with the *h5dump* utility of HDF5. For instance, you can see what entries the checkpoint file *erkale.chk* contains with

```
$ h5dump -n erkale.chk
```

Sometimes you might want to get a hold on the orbital energies. These are saved in the *E* entry (restricted runs) or the *Ea* and *Eb* entries (unrestricted runs), e.g.,

```
$ h5dump -d E erkale.chk
```

will give you the orbital energies in Hartree.

If you want just the orbital energies in eV, you can use, e.g.,

```
$ h5dump -d E -m "%.10e" erkale.chk | \
awk '{if(NR>5 && NF==2) {print $2*27.21138505}}'
```

Here, the -m "%.10e" option defines that the output from *h5dump* is to be in scientific notation with 10 decimals – the default precision of *h5dump* may not be enough for all purposes.

## 3 Basis set format

The basis set files use GAUSSIAN '94 format. As an example, the cc-pVDZ basis for hydrogen is

```
H      0
S      3      1.00
      13.010000      0.0196850
      1.9620000      0.1379770
      0.4446000      0.4781480
S      1      1.00
      0.1220000      1.0000000
P      1      1.00
      0.7270000      1.0000000
****
```

The first row contains the element the basis is for (H) and the atom number for the specific entry (0 for the default basis). The second line indicates that an S shell is to follow with 3 primitives and norm 1.00. The next lines then contain the exponent and the contraction coefficient of the normalized primitive, respectively. \*\*\*\* on the last line marks that there are no more shells in the basis set.

**N.B.** The convention used in ERKALE for the angular momenta symbols is: S (*l* = 0), P (*l* = 1), D (*l* = 2), F (*l* = 3), G (*l* = 4), H (*l* = 5), I (*l* = 6), J (*l* = 7), K (*l* = 8), L (*l* = 9), M (*l* = 10), N (*l* = 11). **Basis sets from the EMSL basis set exchange don't have J shells, but denote l=7 with K.** To cope with this, you can also define the angular momentum of the shell with, e.g.,

```
l=1  1      1.00
      0.7270000      1.0000000
```

If you want to mix basis sets in a calculation, e.g., in order to use a bigger basis set for the excited atom in a XAS/XRS calculation, you can do this quite easily by preparing your own basis set file, which contains a general basis (index 0) for all the atoms in the system, and a specific basis for the atom(s) you want to treat differently. For instance the basis set

```

H      0
S      3      1.00
13.0100000      0.0196850
1.9620000      0.1379770
0.4446000      0.4781480
****
H      1
S      3      1.00
13.0100000      0.0196850
1.9620000      0.1379770
0.4446000      0.4781480
S      1      1.00
0.1220000      1.0000000
P      1      1.00
0.7270000      1.0000000
****

```

would define a minimal basis set (1 *s* function) to be used for hydrogen by default, except for atom number 1 for which a 2*s*1*p* basis is used. ERKALE will refuse to calculate if you screw up the index blatantly, e.g., in this case if atom number 1 in the xyz file is not hydrogen but, say, oxygen.

If you want to perform counterpoise calculations, then you simply mark the ghost atoms with the *-Bq* suffix in the geometry file.

## 4 Parallelization

The routines in ERKALE are parallelized using OpenMP statements in the source code. This allows for efficient use of multicore workstations and compute nodes. The number of threads used by ERKALE is controlled as usual with the OMP\_NUM\_THREADS environment variable. By default, the OpenMP executables will use all the cores available.

It is recommended you compile ERKALE both as a sequential version and as a parallel version, as the OpenMP version includes unnecessary overhead for calculations running on a single core.

## 5 Examples

The geometry and the runfiles for the examples given here are shipped with the ERKALE source code.

### 5.1 SCF calculation

As an example we compute the water dimer with the coordinates given by the following xyz file at Hartree-Fock level of theory and the aug-cc-pVTZ basis set.

```

6
Water dimer
O      -1.464      0.099      0.300
H      -1.956      0.624     -0.340
H      -1.797     -0.799      0.206

```

```

O      1.369      0.146     -0.395
H      1.894      0.486      0.335
H      0.451      0.165     -0.083

```

This is a rather small system, so using the core guess with

```
Guess Core
```

in the runfile is usually beneficial. The default, using the atomic guess [19], is better in larger systems. However, for demonstration purposes we use a third initialization method - that of a “minimal” basis - with even a completely different method!

```

System h2o-dimer.xyz
Method lda_x-lda_c_vwn
Basis cc-pVDZ
SaveChk lda.chk
Guess Core

```

and run it with *erkale*; on my desktop computer the calculation took a few seconds. Out of the calculation we get the checkpoint file *lda.chk*.

Next, we use the minimal basis DFT calculation to seed the full HF calculation, where we use the runfile

```

System h2o-dimer.xyz
Method HF
Basis aug-cc-pVTZ
LoadChk lda.chk
SaveChk hf.chk

```

and run it once again. For this example, HF converges with 16 iterations starting from the core guess, in 15 iterations starting from atomic densities, and in 13 iterations starting from the cc-pVDZ LDA calculation.

#### 5.1.1 Tough convergence cases

For cases that fail to converge using the default convergence settings, you may want to try using the code developed for PZ-SIC calculations[8, 9] by using the settings

```

PZ true
PZscale const
PZw 0.0
PZoo false
PZov true
PZimag false

```

The first line tells ERKALE to use the the PZ-SIC code, whereas the second and third lines make sure that the PZ-SIC correction is turned off. The fourth line turns off occupied-occupied rotations, which are unnecessary for HF and Kohn-Sham DFT, and the fifth line makes sure that occupied-virtual rotations are enabled, the last line making sure imaginary rotations are not enabled.

With these settings, the program will run using the given settings for PZ-SIC. The orbitals saved to disk at every iteration are canonicalized orbitals.

**N.B.** ROHF and XAS/XRS calculations aren’t currently supported with the PZ-SIC code.



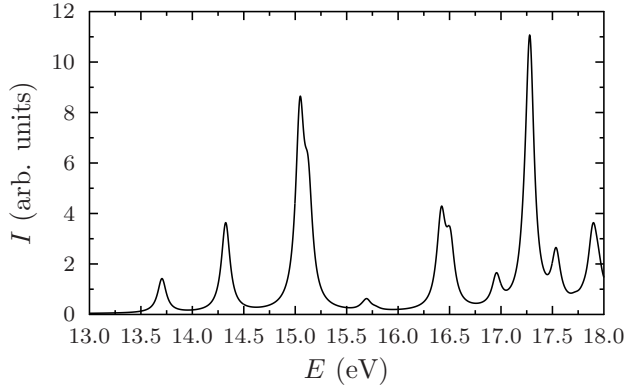


Fig. 1: Photoabsorption spectrum.

## 5.2 Casida

We compute the valence photoabsorption spectrum of the water dimer with

```
LoadChk hf.chk
CasidaStates 1:70
```

where we have only included the first 70 states in the calculation, giving 600 pairs of occupied and unoccupied orbitals, whereas the full calculation would have 1740 pairs.

The Casida calculation gives the dipole NRIXS intensity, which can be converted into the photoabsorption spectrum by multiplying the dipole intensity with the energy.

Furthermore, the calculation gives just delta peaks, so for plotting purposes we have broadened the peaks with a Lorentzian with a FWHM of 0.05 eV. The result is shown in Fig. 1.

## 5.3 EMD

We compute the isotropic Compton profile by running *erkale\_emd* with the runfile

```
LoadChk hf.chk
DoEMD true
```

Out of the calculation we get the electron momentum density and Compton profile shown in Figs. 2 and 3.

## 5.4 XAS/XRS

Next, we compute the x-ray Raman spectrum. First, we need to define which atom is excited. This we do by creating a new xyz file

```
6
Water dimer
O      -1.464  0.099  0.300
H      -1.956  0.624 -0.340
H      -1.797 -0.799  0.206
O-Xc   1.369  0.146 -0.395
H       1.894  0.486  0.335
H       0.451  0.165 -0.083
```

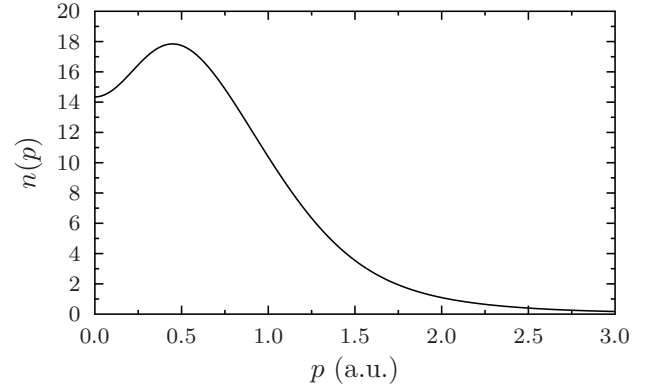


Fig. 2: The electron momentum density.

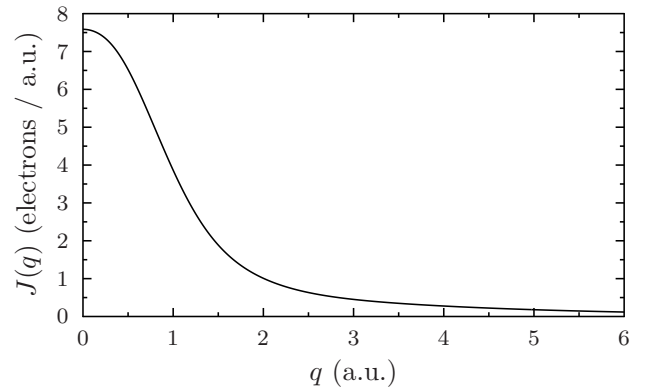


Fig. 3: The Compton profile.

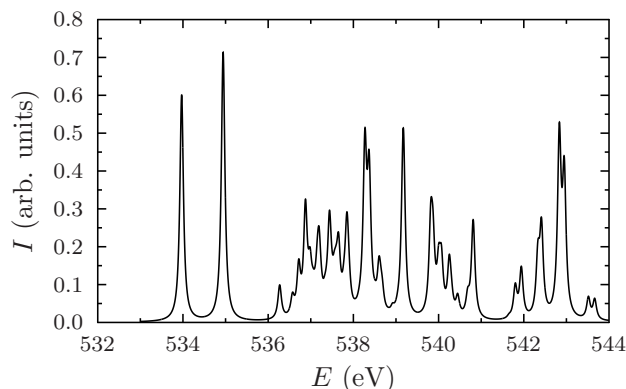


Fig. 4: XAS spectrum of donor oxygen.

where we have defined the donor oxygen as the excited atom.

As the input for the XAS/XRS calculation, we use the following input (in reality, you *may* want to use a bigger basis set):

```
System h2o-dimer-xrs.xyz
Method lda_x-lda_c_vwn
Basis cc-pVDZ
LoadChk lda.chk
XRSAugment 4
XRSInitialState 1s
```

The *XRSAugment* keyword asks for a double-basis set calculation to be performed. Once the TP calculation has converged, you can play with the double basis set method or the *q* values used for computing the spectra.

The resulting XAS spectrum<sup>2</sup> is shown in Fig. 4.

To perform an absolute energy scale correction, do another run with the *XRSMethod XCH* setting. You can use the TP result to initialize the calculation by copying the TP checkpoint to the *SaveChk* file of the XCH run.

Vertical photoionization energies can be obtained with the *XRSMethod FCH* setting.

## 6 Interfacing with formatted checkpoint files

### 6.1 Reading in results from other codes

ERKALE can read in results from formatted checkpoint files produced by other codes. Once you have the formatted checkpoint file (per-code instructions below),

1. Convert the formatted checkpoint file into ERKALE format with

```
$ erkale_fchkpt runfile
```

<sup>2</sup>As for Casida, *dipole.dat* contains the XRS spectrum, which you need to multiply with the transition energy to get the XAS spectrum!

where *runfile* contains the relevant *LoadFchk* and *SaveChk* directives. Since the formatted checkpoint files may be quite big, you may want to compress them with *gzip*, *bzip2* or *xz* to save disk space; ERKALE can read compressed formatted checkpoint files as well, the need for decompression is determined by the filename extension.

2. Calculate the properties as you usually would using the newly obtained ERKALE checkpoint file.

#### 6.1.1 GAUSSIAN™

To compute, e.g., EMD properties from calculations performed with GAUSSIAN™, do the following:

1. At the beginning of the GAUSSIAN™ run input file, specify the keyword

```
%Chk=chkpt
```

which will give you a binary checkpoint file, *chkpt.chk*, as a result of the GAUSSIAN™ run.

2. If you use a post-HF level of theory, you need to specify in the route section that the density matrix needs to be computed with *Density=Current*, e.g.,

```
#P CCSD/aug-cc-pVTZ Density=Current
```

3. Run the calculation with GAUSSIAN™.
4. Convert the binary file into formatted checkpoint format (i.e. an ASCII file) with the GAUSSIAN™ *formchk* utility

```
$ formchk chkpt.chk chkpt.fchk
```

#### 6.1.2 Q-CHEM™

Specify “GUI 2” in the Q-CHEM™ runfile. **N.B.** Presently, the usefulness of formatted checkpoint files produced by Q-CHEM™ are limited to SCF (HF/DFT) level results.

#### 6.1.3 Psi4™

An example partial Psi4™ input file to save the results in a formatted checkpoint file is as follows:

```
energy, wfn = energy('scf', return_wfn=True)
fchk_writer = psi4.core.FCHKWriter(wfn)
fchk_writer.write('output.fchk')
```

### 6.2 Saving results from ERKALE for use in other codes

Many visualization programs, such as AVOGADRO or IQ-MOL, support the use of formatted checkpoint files for visualization of e.g. electron densities and molecular orbitals. To achieve this, use the *erkale\_fchkpt* tool as in section 6.1, only now *LoadChk* the ErKale checkpoint and

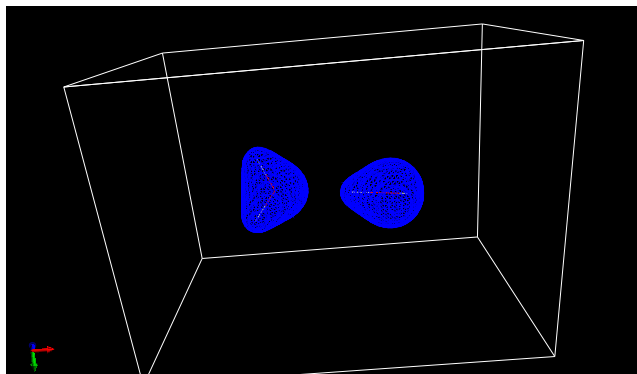


Fig. 5: Electron density plot using Avogadro.

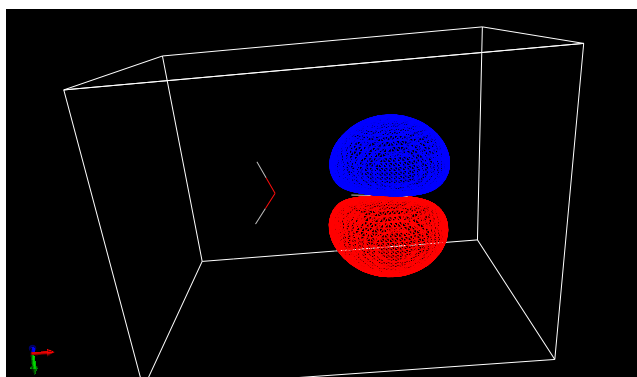


Fig. 6: Orbital plot using Avogadro.

*SaveFchk* a formatted checkpoint. Note that alternatively, electron densities and molecular orbitals can also be visualized in AVOGADRO or Jmol using cube files which were described above in section 2.6.

As an example, we visualize the aug-cc-pVTZ -level Hartree-Fock calculation of the water dimer presented above in section 5.1 using AVOGADRO 1.0.3. Saving a formatted checkpoint and loading it in AVOGADRO, setting the resolution to “High” and leaving the isosurface value at 0.1 in AVOGADRO, we obtain the graphics shown in Fig. 5. Correspondingly, plotting the HOMO using “High” resolution and the default isosurface value of 0.02, we obtain the plot shown in Fig. 6.

## 7 Questions?

If you want to know more about how ERKALE works, or you are interested in contributing, you can contact me via email at [susi.lehtola \(at\) alumni.helsinki.fi](mailto:susi.lehtola@alumni.helsinki.fi). As the code is on GitHub, patches can be easily proposed using pull requests.

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[2.12](#)

## Changes

- 2021-01-27 Document the SAP guesses, and partial Cholesky orthogonalization. Updated default grid, and added new grid shorthands.
- 2019-07-02 Update documentation on the completeness-optimization tools.
- 2018-03-18 Better document visualization of orbitals.
- 2018-01-07 Documented change of convergence thresholds (DeltaPmax, DeltaEmax, DeltaPrms → ConvThr). Documented new SCF guesses.
- 2016-08-01 Dropped removed keywords Linesearch and UseTRDSM from manual. TightIntegrals should be StrictIntegrals. Document how to use PZ-SIC code for hard to converge cases.
- 2016-07-14 Specify charge can be specified for atomic guess in the xyz file. Specify geometries can be loaded from ERKALE\_SYSDIR. Geometry can also be specified as a Z Matrix. Document VV10 non-local correlation. Documented *AtomGuess*. Documented the Cholesky decomposition. Documented the new Perdew–Zunger self-interaction correction code. XC fitting has been removed.
- 2015-01-22 Can define angular quadrature by amount of points in rule. Documented Perdew–Zunger stability analysis.
- 2014-12-18 Documented more changes in the XRS calculation. Documented Perdew–Zunger calculations.
- 2014-05-16 XRS calculations can now be done with non-1s initial states.
- 2014-05-03 Added orbital threshold calculations and P-orthogonalization.
- 2014-02-14 Added iterative Hirshfeld charges and localization.
- 2013-12-22 Added note about basis set angular momentum.
- 2013-12-13 Added citation to unitary optimization algorithm, and to Pipek–Mezey methods. Added mention of similarity integrals, and electrostatic potential cubes.
- 2013-11-06 Added intrinsic atomic orbital charges.
- 2013-11-05 Added Voronoi charges.
- 2013-10-30 Added genbas option of *erkale\_bastool*.
- 2013-09-30 Added entry on *erkale\_pop*. Updated entries on *erkale* and *erkale\_loc*.
- 2013-07-24 Updated entries on *erkale\_cube* and *erkale\_fchkpt*.
- 2013-06-05 Added the DFTGrid keyword for the use of a manually defined integration grid (mainly for more exact comparison to literacy values).
- 2013-05-18 Added the geometry optimizer *erkale\_geom*.
- 2013-01-19 Can now initialize *erkale\_xrs* runs by copying a previously computed checkpoint to the SaveChk file before running. Added section explaining checkpoint files.
- 2013-01-07 Added exchange-correlation fitting.
- 2012-09-04 TRDSM and line search minimization are now implemented.



- 2012-08-28 Changes to *erkale\_xrs*. The *FullHole* keyword is now obsolete, having been replaced by the *XRSMethod* keyword.
- 2012-08-23 Added mention about *erkale\_cube*, *erkale\_adf\_emd* and customizable tolerance for the radial integrals in *erkale\_emd*. RI-HF is now supported.
- 2012-07-30 Added basis set composition and tight integrals, updated orthogonalization method.
- 2012-06-21 Fixed syntax for *CasidaStates*.
- 2012-03-02 The *DFTDirect* setting is now deprecated, as starting from revision 428 all DFT calculations are done on-the-fly.
- 2012-02-23 Added *UseTRRH* setting for trust-region Roothaan-Hall updates.
- 2012-01-13 Choosing the density-fitting basis is now possible.
- 2012-01-06 Updated completeness-optimization section.