Improved self-consistency for SCED-LCAO.

Lyle C. Smith
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IMPROVED SELF-CONSISTENCY FOR SCED-LCAO

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May 2015
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This dissertation is lovingly dedicated to my wife, Erin Smith. Her support, encouragement, and constant love have sustained me throughout my life. Together with my children, she has shown patience and love when none was deserved. She never wavered in her belief in me and for that I cannot offer sufficient thanks.
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ABSTRACT
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In this document I describe a novel implementation of the generalized bisection method for finding roots of highly non-linear functions of several variables. Several techniques were optimized to reduce computation time. The implementation of the bisection method allows for the calculation of heterogeneous systems with SCED-LCAO, since derivative-based methods often fail for these systems.

Systems composed of Gallium and Nitrogen are currently receiving much interest due to their behavior as semi-conductors and their ability to form nano-wires. The methods developed here were employed to create a set of SCED-LCAO parameters for homogeneous Gallium and heterogeneous Gallium Nitride systems. These parameters were shown to provide SCED-LCAO with predictive power for future Gallium Nitride systems.
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CHAPTER 1

INTRODUCTION

1.1 – Motivating Applications

As physics pushes into the nano scale and begins to create objects on the order of $10^{-9}$ meters, classical modeling of these atomic systems begins to break down. Numerous solid state phenomena can be predicted only with quantum mechanics. The creation of complex machinery comprised of only hundreds of atoms is rapidly becoming a reality. Recent research has seen the creation of a nanocar by a research group at Rice University (see figure 1.1)[1] that can crawl along material surfaces. Exciting opportunities exist in manufacturing, medicine, electronics, and other areas for this emerging technology.

Figure 1.1: Nanocar

The rediscovery of Carbon Nanotubes (CNTs) in 1991 has resulted in a blossoming field of applications. Along with this renewed interest, there is a great need for modeling capable of predicting electrical, chemical, thermal, and other properties of these structures (see figure 1.2). New applications for CNTs are being discovered at a rapid pace. These include photo-voltaic cells, transistors, chemical sensors, and protective clothing.
Another focus of recent research is with heterogeneous gallium nitride structures. Gallium nitride is a semiconductor that is known to be able to handle high thermal stress and high voltage. Thus, it is ideal for power amplifiers, especially when operating at high frequencies. As the structural limit of silicon manufacturing of microchips becomes a larger factor, gallium nitride is seen as a possible substitute that should allow higher frequency computing. Gallium nitride is also resistant to ionizing radiation, making it an excellent choice for electronics operating in space. Enhancement mode GaN transistors are poised to replace standard MOSFETs, providing improved efficiency under higher load. This technology is proving invaluable for the construction of the Smart Power Grid. Gallium Nitride has also been shown to form nanotubes\(^2\). These have been employed to create blue and ultraviolet light emitting diodes and for stimulated emission in blue lasers. Gallium nitride is proving to be a versatile and valuable material. Research into its various properties is rapidly expanding.

Given the many and emerging technologies that rely heavily on nano-scale architectures and quantum mechanical effects, there exists a need for a computation scheme that can accurately model these systems quickly. Even systems as large as thousands of atoms will behave in strictly quantum mechanical ways. In order to explain and predict this behavior,
we need a method that can calculate properties for thousands of atoms while maintaining
the salient quantum mechanical flavor.

1.2 – Basics of the Problem

Quantum Mechanics has shown itself to be an invaluable framework for understanding
physics at the atomic and molecular levels. Modern physics relies on the assumptions and
conclusions of quantum mechanics in nearly every field. While the results of quantum me-
chanics have proven to be very reliable, the mathematics employed often leads to highly
complex and intractable problems.

The Schrödinger Equation is used analogously to Newton’s Second Law ($F = ma$) and
thus forms the basis of most quantum mechanical calculations. It is a partial differential
equation relating the time derivative of the wave function to the energy operator (Hamilt-
onian) operating on the wave function. The wave function $\psi$ itself is a mathematical construct
that when multiplied by its complex conjugate yields the probability density function for the
system. For example, if $\mathbf{r}$ represents the position vector of the particles in the system, then
the Schrödinger Equation has the form

$$i\hbar \frac{\partial}{\partial t} \psi(\mathbf{r}, t) = \hat{H} \psi(\mathbf{r}, t),$$

where $i = \sqrt{-1}$, $\hbar$ is Planck’s constant divided by $2\pi$, $t$ is time, and $\hat{H}$ is the Hamiltonian of
the system. For a system of many particles, this becomes

$$i\hbar \frac{\partial}{\partial t} \psi(\mathbf{r}_1, \mathbf{r}_2, \ldots, t) = -\frac{\hbar^2}{2m} \nabla^2 \psi(\mathbf{r}_1, \mathbf{r}_2, \ldots, t) + V(\mathbf{r}) \psi(\mathbf{r}_1, \mathbf{r}_2, \ldots, t)$$

where the Hamiltonian has been expressed in terms of its kinetic operator ($-\frac{\hbar^2}{2m} \nabla^2$) and po-
tential ($V(\mathbf{r})$) component. The solution of this equation is intractable for all but the simplest
problems. Therefore, simplifications and approximations are necessary to tackle many of the
problems in solid state physics.
The field of computational material science is the branch of physics that attempts to predict chemical, electrical, structural, and other properties of a system of atomic particles. As with most fields of computational science, there is an inherent trade-off between computational speed and accuracy. Increases in speed come with additional assumptions and approximations that often reduce accuracy. Since the nuclear mass is orders of magnitude larger than the electron mass, we can apply the Born-Oppenheimer Approximation and solve the wave function for the electrons while treating the nucleus classically. We also assume that the system is non-relativistic. Then we employ the variational principle to calculate the stationary state associated with the lowest total energy of the system, since this will be favored by nature. A stationary state is an eigenvector of the Hamiltonian, i.e. $\hat{H}\Psi = E\Psi$, where the energy (the eigenvalue) is independent of time. This leads to the Many-Body Schrödinger Equation, with potential given by

$$V = \frac{1}{2} \sum_{n \neq m} \frac{1}{|r_n - r_m|} - \sum_{n, m} \frac{Z_m}{|r_n - \bar{R}_m|} + \frac{1}{2} \sum_{n \neq m} \frac{Z_n Z_m}{|\bar{R}_n - \bar{R}_m|}.$$ 

A variety of different approximations are employed at this point. Nearly all of them restrict the solutions to the ground state of the system. Hartree-Fock Theory was developed early in the history of quantum mechanics, but was not widely used until the advent of computers. This method approximates the many-body wave function with a Slater Determinant of single orbital functions. Here we express the total wave function of the system as a product of one-electron atomic orbitals (AO). An atomic orbital is a stationary state of a one-electron atom, whereas a molecular orbital is a stationary state for an electron in a molecule. For a many-electron system, a molecular orbital is very different from a total stationary state. The Hartree-Fock Method uses the atomic orbitals to approximate the molecular orbitals and then combines the molecular orbitals to find a total stationary state of the system through a linear combination of atomic orbitals (LCAO). The wave function is found through an anti-symmetrized (to account for fermions) determinantal product of atomic orbitals known
as the “Slater” determinant. In this way, Schrodinger’s equation is transformed into a set of Hartree-Fock equations.

The Hartree-Fock method was ground-breaking in that it allowed the calculation of wave functions for many-body systems. It is a self-consistent field (SCF) method in that the final result is required to be consistent with the initial field. In practice, this means that Hartree-Fock calculations are performed iteratively until the output field matches the input field. The accuracy of the representation of the true molecular orbital increases with the size of the basis set. Therefore, there is a wide array of basis sets with varying degrees of computational expense. However, the concept of a one-electron atomic orbital is only meaningful if we ignore the electron-electron repulsion terms in the Hamiltonian. Due to this Coulomb correlation, the total Hartree-Fock electronic energy is always higher (less negative) than the actual electronic energy. The difference is called the correlation energy. This rather large omission limits the accuracy of Hartree-Fock. Other methods and refinements were developed to provide more accurate results.

Another approximation is Density Functional Theory (DFT), which transforms the problem by operating on the electron density function rather than the wave function itself. DFT, after refinement to better model the exchange and correlation interactions, provides highly accurate results for most systems, but still struggles in some areas, such as modeling Van der Waals forces. When DFT is employed with a large basis set and a modern correlation-exchange functional, it is computationally expensive and is limited to smaller atomic systems for practical calculations.

At the opposite extreme is classical potential modeling, which models only pairwise atomic interactions using a classical energy potential. The Lennard-Jones potential and its refinements have proven useful for modeling very large systems, but at the expense of removing any quantum mechanical flavor. Tight-Binding methods attempt to provide additional accuracy, but still only deal with two-center interactions.
1.3 – SCED-LCAO Theory

The Self-Consistent Environment Dependent Linear Combination of Atomic Orbitals (SCED-LCAO) approach was developed by Dr. Shi-Yu Wu in order to provide a reliable and transferable semi-empirical method for quantum-mechanics based simulations of materials. Charge redistributions are calculated through the use of a Self-Consistent (SC) iteration and the effects of electron screening and electron-electron correlation are contained in Environment-Dependent (ED) multi-center terms which handle two-center and three-center interactions explicitly and four-center interactions implicitly.

In the framework of a semi-empirical LCAO-based approach, we seek to find functions which adequately model the interactions between electrons for each atomic orbital $\alpha$ and for each atom $i$. We define $\mathbf{R}_{ij} = R_i - R_j$ to be the relative position vector from atom $i$ to atom $j$ and solve the matrix form of the Schrödinger Equation

$$Hc_\lambda = E_\lambda Sc_\lambda,$$  \hspace{1cm} (1.1)

where $H$ is the SCED Hamiltonian and $S$ is the overlap matrix corresponding to the basis functions $\phi_{i\alpha}(\mathbf{r})$ used. It is important to note that this formulation admits a range of basis functions, thus providing flexibility. This forms a general eigenvalue problem where we solve for the eigenvectors $c_\lambda$, which define the coefficients of expansion of the eigenfunction $\psi_\lambda$ in terms of the basis functions $\phi_{i\alpha}$, and $E_\lambda$ which corresponds to the energy of each orbital. The geometrical configuration of the atomic nuclei for which the energy is minimized gives the equilibrium structure, from which we find bond lengths, bond angles, the lattice parameters, etc.

What makes SCED unique is the construction of the Hamiltonian for Equation (1.1). The Hamiltonian matrix for the many-body system can be written as

$$H = -\sum_i \frac{\hbar^2}{2m} \nabla_i^2 + \sum_{i\beta} v(\mathbf{r}_i - \mathbf{R}_i) + \sum_{i\beta} \frac{e^2}{4\pi\varepsilon_0 r_{i\beta}} + \sum_{i\beta} \sum_{i'\beta'} \frac{Z_i Z_{i'} e^2}{4\pi\varepsilon_0 R_{ij}}$$
where the summations over \( l \) and \( l' \) are taken over all valence electrons, \( r_{l',l} = |\vec{r}_{l} - \vec{r}_{l'}| \), \( R_{i,j} = |\vec{R}_{i} - \vec{R}_{j}| \), and \( Z_{i} \) is the number of valence electrons associated with the ion at \( \vec{R}_{i} \). The first term captures the kinetic energy of the electron, the second term is the potential energy between an electron at \( r_{l} \) and the ion (nucleus and inner electrons) at \( R_{i} \), the third term represents the electron-electron interaction, and the last term represents the ion-ion interaction.

The SCED Hamiltonian diagonal (on-site) elements are rewritten as

\[
H_{i\alpha,i\alpha} = \epsilon_{i\alpha}^{0} + u_{i\alpha}^{\text{intra}} + u_{i\alpha}^{\text{inter}} + v_{i\alpha}.
\]

For the electron in orbital \( i\alpha \), \( \epsilon_{i\alpha}^{0} \) is the kinetic energy and the interaction with its own ionic core, \( u_{i\alpha}^{\text{intra}} \) is the interaction with other electrons from the same atom, \( u_{i\alpha}^{\text{inter}} \) is the interaction with electrons in orbital \( j\beta \) (from other atoms), and \( v_{i\alpha} \) is the interaction with off-site ions. More specifically, we let \( \epsilon_{i\alpha}^{0} = \epsilon_{i\alpha} - Z_{i}U_{i} \), where \( \epsilon_{i\alpha} \) is the energy of the orbital \( \alpha \) for the isolated atom at \( i \). For the SCED formulation, we take this to be the value of the Hartree-Fock calculated energy for the orbital. Again \( Z_{i} \) is the positive charge of the ion at \( i \) (nucleus and inner electrons) and also the number of valence electrons associated with the uncharged atom at \( i \). The term \( U_{i} \) is a Hubbard-like term representing the effective energy of electron-electron interactions for electrons associated with the atom at site \( i \). This Hubbard term is allowed to vary when optimizing the parameters, but we restrict its values to be near the Hubbard calculated value. We let \( u_{i\alpha}^{\text{intra}} = N_{i}U_{i} \), where \( N_{i} \) is the number of valence electrons associated with the atom at \( i \) when the atom is in self-consistent equilibrium within the system (also called the Self-Consistency vector). We also rewrite

\[
u_{i\alpha}^{\text{inter}} + v_{i\alpha} = \sum_{k \neq i} \left[ N_{k}V_{N}(R_{ik}) - Z_{k}V_{Z}(R_{ik}) \right].
\]

Here \( N_{k}V_{N} \) represents the effective energy of interaction between an electron associated with an atom at site \( i \) and electrons associated with an atom at \( k \), and \( Z_{k}V_{Z} \) models the effective energy of interaction between an electron associated with an atom at \( i \) and an ion at site \( k \). The terms \( V_{N} \) and \( V_{Z} \) are treated as
parametrized exponential functions that will be optimized for each elemental species.

The addition of a $W$ term models the spread shift in the energy of the electron orbitals due to the effects of electrons from neighboring atoms. Especially with atomic species which are prone to de-localizing electrons, the electronic environment can push the local electrons into higher orbitals. This effect could be captured by adding higher energy orbitals ($d$, for instance), but it is more efficiently modeled with this $W$ term. We model each type of orbital with a separate short-ranged function. For instance, for $sp^3$ bonding, we have

\[ W_s(R_{ik}) = w_{as} \cdot e^{-w_{es} R_{ik}} \]
\[ W_p(R_{ik}) = w_{ap} \cdot e^{-w_{ep} R_{ik}} \]

where $w_{as}$, $w_{es}$, $w_{ap}$, and $w_{ep}$ are taken to be parameters which will be optimized.

Therefore, the diagonal elements are

\[ H_{ia,ia} = \epsilon_{ia} + \sum_{k \neq i} W_{ia}(R_{ik}) + (N_i - Z_i) U_i + \sum_{k \neq i} [N_k V_N(R_{ik}) - Z_k V_Z(R_{ik})]. \]

Similarly, we defined the off-diagonal (off-site) elements of the SCED Hamiltonian as

\[ H_{ia,\beta} = \frac{1}{2} \left\{ \epsilon'_{ia} + \epsilon'_{\beta} + \sum_{k \neq i} W_{ia}(R_{ik}) + \sum_{k \neq \beta} W_{\beta}(R_{kj}) K(R_{ij}) \right. \]
\[ + \left[ (N_i - Z_i) U_i + (N_j - Z_j) U_j \right] + \sum_{k \neq i} [N_k V_N(R_{ik}) - Z_k V_Z(R_{ik})] \]
\[ + \sum_{k \neq j} [N_k V_N(R_{jk}) - Z_k V_Z(R_{jk})] \right \} S_{ia,\beta}(R_{ij}). \] (1.2)

Once again, $N_i$ and $Z_i$ are the number of electrons at site $i$ and for a neutral site $i$. The first term is related to the Wolfsberg-Helmholtz relation in the extended Hückel theory. The coefficient is given by $K(R_{ij}) = e^{a_k R_{ij}}$. The term $V_Z(R_{ik})$ models the interaction between site $k$ ion and site $i$ electrons. Together with $V_Z$, $V_N(R_{ik})$ forms the environment-dependent multi-center terms. Thus, the off-site Hamiltonian elements include three-center interactions.
explicitly \((i, j, \text{ and } k)\) and four-center interactions implicitly. From Equation (1.2), it can be seen that the environment-dependent multi-center interactions are dependent on \(V_N\) and \(V_Z\). More precisely, the interactions are governed by the difference \(\Delta V_N = V_N - V_Z\). Since \(V_Z\) is defined as the energy of effective interaction per ionic charge between an ion at site \(k\) and an electron associated with the atom at site \(i\), we may model \(V_Z\) by the following parametrized function

\[
V_Z(R_{ik}) = \left(\frac{e^2}{4\pi\varepsilon_0}\right) \frac{1}{R_{ik}} \left[1 - (1 + B_Z R_{ik}) e^{-\alpha Z R_{ik}}\right].
\]

Similarly, we define

\[
\Delta V_N(R_{ik}) = (A_N + B_N R_{ik}) \frac{\left[1 + e^{-\alpha_N d_N}\right]}{\left[1 + e^{-\alpha_N (d_N - R_{ik})}\right]}.
\]

The overlap matrix \(S_{ij,\alpha\beta}(R_{ij})\) is comprised of mixing factors for each pair of orbitals in the system. Typically, each atom is represented by its valence electrons in their \(sp^3\) orbitals, although \(d\) orbitals and higher are possible with SCED. In this case, each atom contributes four rows and four columns for the \(ss\sigma, sp\sigma, pp\sigma\) and \(pp\pi\) valence orbitals. Each is a short-ranged function of the distance between the two atoms \(R_{ij}\) represented by

\[
S_{ij,\tau} = (A_\tau + B_\tau R_{ij}) \frac{1 + e^{-\alpha_{1d}\tau}}{1 + e^{-\alpha_{1d}(d_\tau - R_{ab})}}
\]

where \(\tau\) runs over the four orbitals. Based on the orthogonality of the \(s\) and \(p\) orbitals of the same atom, we have \(A_{ss\sigma} = A_{pp\sigma} = A_{pp\pi} = 1\) and \(A_{spo} = 0\).

With these functions, the SCED-LCAO Hamiltonian is completely defined. In total, we have 25 parameters, using \(sp^3\) bonding, which will need to be optimized for each elemental species. There are 12 overlap \((S_{ij})\) parameters, three each for the four orbitals. In addition, we have \(U, w_{as}, w_{es}, w_{ap}, w_{ep}, a_K, B_Z, \alpha_Z, B_N, \alpha_N, d_N, e'_s, \text{ and } e'_p\).

The Hamiltonian and overlap matrix elements constructed using the SCED-LCAO for-
mulation can then be used to solve the general eigenvalue Equation (1.1) for a given system of atoms to yield a set of SCED–LCAO band structure eigen-values $E_\lambda$ and the corresponding eigen-vectors $c_{\lambda}$. Once the eigenvector coefficients are known, one can determine the total number of electrons $N_i$ associated with an atom at site $i$ through the expression

$$N_i = \sum_\lambda \sum_{\alpha} \sum_{j\beta} (c_{\lambda,\alpha})^* c_{\lambda,j\beta} n_\lambda S_{i\alpha,j\beta},$$

where $n_\lambda$ is the electron occupation number determined by the Fermi–Dirac distribution function for the specified temperature of the system. The total charge at each site ($-eN_i$) is calculated self-consistently through an iterative procedure and is subsequently used in the evaluation of the total energy and the atomic forces.

For a given system of atoms, the total energy consistent with the SCED-LCAO Hamiltonian is given by $E = E_{BS} - E_{dbc} + E_{ion-ion}$. Here $E_{BS}$ is the band-structure energy, $E_{dbc}$ is the correction to the double counting of the electron-electron interactions between the valence electrons in the band structure energy calculation, and $E_{ion-ion}$ is the repulsive interaction between ions. Using the notation above for the SCED-LCAO formulation, this can be rewritten as

$$E = \sum_\lambda n_\lambda E_\lambda + \frac{1}{2} \sum_i (Z_i^2 - N_i^2) U_i - \frac{1}{2} \sum_i \sum_{j \neq i} N_i N_j V_N(R_{ij}) + \frac{1}{2} \sum_i \sum_{j \neq i} Z_i Z_j E_0 R_{ij},$$

where $E_0 = \frac{e^2}{4\pi\varepsilon_0}$, $E_{BS}$ is the first term, $E_{dbc}$ is terms two and three, and $E_{ion-ion}$ is the final term.

### 1.4 – Previous SCED Work

Much work has already been done to create a working collection of SCED-LCAO tools. In 2006, Leahy et.al.[3] presented the initial findings from the first element to be fully modeled – Silicon. This included modeling binding energy for Si bulk, intermediate size clusters,
the Silicon (100) surface, and the adsorption of a Si atom on the Si (111) surface. SCED-LCAO was found for silicon to be reliable and highly transferable, thus providing predictive power for future studies. In 2009, Yu, et.al. [4], [5] extended SCED-LCAO to carbon, with special emphasis on the modeling of small carbon clusters, specifically comparing stability of fullerene, bucky-diamond, and other geometries developed by relaxing sections of bulk carbon. Also in 2009, the condensed matter theory group at University of Louisville also published a review article [6] detailing the development of SCED-LCAO theory and application. In this article, we find the modeling of the first heterogeneous systems composed of Silicon and Carbon. Unique and stable heterogeneous bucky-diamond and cage structures were discovered. This was later extended [7], [8] to include SiC tubular and graphitic structures, as well as SiC nanowires [9]. Additional results [10] extend SCED-LCAO further to include Boron and Phosphorous.

In this work, I generate parameters for Gallium and Nitrogen. This represents the first effort of constructing a SCED-LCAO parameter set for an element (Nitrogen) based on a heterogeneous database. Special care is required when dealing with self-consistency on heterogeneous systems because of the higher degree of charge transfer among the atoms in a cluster. This is especially true when pairing column III elements with column V elements, such as Gallium and Nitrogen.

1.5 – Heterogeneous Systems

For SCED-LCAO to be truly transferable and applicable to a wide range of elemental types, it needs to accurately calculate results for heterogeneous systems. True transferability requires that we use the same set of parameters for each element regardless of the environment created by the surrounding atoms of the system. However, the interaction of two different types of atoms will require a mixing of the two sets of parameters. The simplest approach would be to simply average the two parameter sets to calculate the interactions between the two elements. However, it seems more natural to allow for a weighting of one
element more heavily. This is due to the fact that some elements are significantly more chemically active than others. For example, we expect a column III element to interact with a column V element in such a way as to emphasize one parameter set more than the other. To this end, we introduce a mixing term that depends on the two elements used. For example, to determine a parameter $p$ for Ga and N, we introduce $\alpha_{Ga,N}$ and mix each parameter as

$$p_{Ga,N} = \alpha_{Ga,N}p_{Ga} + (1 - \alpha_{Ga,N})p_N.$$ 

In this way, the two elemental species retain their original parameters, but share a unique mixing term, as outlined in [6].
CHAPTER 2

SELF-CONSISTENCY

2.1 – The Self-Consistent Problem

Solving the generalized Schrödinger Equation (1.1) with the SCED-LCAO Hamiltonian yields a set of eigenvalues $E_\lambda$ and eigenvectors $c_\lambda$ for the molecular orbitals. These eigenvalues are then ordered and electrons are assigned to them starting with the lowest energy. The assignment algorithm allows for non-integer electron values at each atomic site. This distribution of electrons to each atomic site is stored in the vector $\vec{N}$. The sum of these electron values over the atomic sites ($\sum_i N_i$) is constant, i.e. the total charge is conserved at each iteration. We will denote this total charge by $T$. While physically meaningless, the computer algorithm allows for the possibility of a negative number of electrons at a given atomic site. Therefore each entry in $\vec{N}$ can be any real number, i.e. for a system of $n$ atoms $\vec{N}$ is an element of $\mathbb{R}^n$ with each entry being the number of electrons on one atom. However, the self-consistent solution will only contain non-negative real numbers.

SCED-LCAO is a self-consistent field formulation. For a given system, the first solution of Equation (1.1) will likely yield a charge distribution that, if used to solve the system a second time, will produce different results. The self-consistent solution will produce a charge distribution that yields identical results each time Equation (1.1) is solved. Therefore, we must solve iteratively for the self-consistent charge vector $\vec{N}^*$. That is, we seek to find $\vec{N}^*$ such that Equation (1.1) becomes $\hat{H}_\lambda(\vec{N}^*)c_\lambda(\vec{N}^*) = E_\lambda S(\vec{N}^*)c_\lambda(\vec{N}^*)$. Since the solution of the charge vector depends on the charge vector itself, this process can be viewed as solving for the steady state, or fixed point, of a discrete system of $n$ equations. The equations are transformed into a root finding problem in the usual way. We rewrite the equation so that we want to find $\vec{N}^*$ such that $\hat{H}_\lambda(\vec{N}^*)c_\lambda(\vec{N}^*) - E_\lambda S(\vec{N}^*)c_\lambda(\vec{N}^*) = 0$. 
A large body of literature exists concerning the self-consistency problem, but nearly all publications deal with the continuous case [11], [12]. As a result, we choose to deal with the system as if it were a black box. We know only the values of the input and output vectors. A typical Self-Consistency iteration consists of the following for a fixed set of parameters and fixed geometry.

1. Calculate \( \hat{H}_\lambda(N_{in};i) \), the SCED Hamiltonian for step \( i \).
2. Solve the general eigenvalue problem, Equation (1.1),
   \[
   \hat{H}_\lambda(N_{in};i)c_\lambda(N_{in};i) = E_\lambda S(N_{in};i)c_\lambda(N_{in};i)
   \]
   for \( E_\lambda \) and \( c_\lambda \).
3. Calculate the new charge vector \( \tilde{N}_{out,i} \).
4. Apply root-finding algorithm to choose \( \tilde{N}_{in,i+1} \) based on previous step(s).

We continue this process until the norm of the difference \( |\tilde{N}_{out,i} - \tilde{N}_{in,i}| \) is satisfactorily small. The final charge vector is then the steady state solution \( \tilde{N}^* \). The system solution then consists of the eigen-values \( E_\lambda \) and eigen-vectors \( c_\lambda \) found by solving Equation (1.1) using \( \tilde{N}^* \) as the charge distribution. This is of course just the last solution found in the iterative process. Note that each step involves the computationally expensive solution of the general eigenvalue problem, including a matrix inversion on the order of \( (4n)^2 \) for only \( sp^3 \) bonding, where \( n \) is the number of atoms. For this reason, we would like to find the solution in a minimum number of self-consistency steps.

### 2.2 – System Characteristics

In its simplest form, the self-consistent problem is only an \( n \)-dimensional root-finding problem. Much work has been done to solve these types of systems so that typically one would use a readily-available numerical recipe to find the solution. However, this self-consistent problem has proven resistant to these algorithms. This is largely due to the nature of the problem – it is highly non-linear. In one dimension with one unknown atomic charge, the function for a typical dimer closely resembles the Fermi-Dirac function (see
This is largely due to the use of the Fermi-Dirac function in determining the occupation of each orbital. The difficulty in solving this system is that near the solution, the self-consistency (SC) curve is highly non-linear, having the shape of a step function.

Given the physical origin of the system, we expect the SC curve to be continuous and differentiable. In practice, we have found that the SC curve is continuous, but with some systems the SC curve can become a step function to within computer accuracy. Thus, differentiating the function $\vec{N}_{out} - \vec{N}_{in}$ accurately is sometimes difficult or impossible. This will be a determining factor in our choice of solution algorithms. The curve is also found to be monotone decreasing in each component, with $\vec{N}_{out} - \vec{N}_{in}$ steadily decreasing with increasing $N_{in}$ in all $n$ components. This feature is present throughout all the SC curves we found. Essentially, this results from the self-consistent nature of SCED-LCAO. An increase in the input number of electrons $N_{in}$ on a given atomic site will decrease the additional electrons assigned to that site $N_{out} - N_{in}$.

### 2.3 – Reducing System Size

Much effort was spent to precondition the system to simplify the calculations. First, we invoke the conservation of charge for a given atomic configuration. That is, the total number of electrons is fixed. For the self-consistent problem, that means we require the sum of the components of $\vec{N}$ to remain constant, i.e. $\sum_{i=1}^{n} N_i = T$, a constant. This enables us to remove one of the dimensions from the problem. We use our self-consistency algorithms to solve...
for the first \( n - 1 \) entries and then set the final entry to be whatever number of electrons are remaining (possible negative), \( N^n = T - \sum_{i=1}^{n-1} N^i \).

Further reductions in the dimensions of the self-consistent problem can be obtained by exploiting the symmetry of the atomic cluster. The effect of symmetry is to define two or more atomic sites to have the same characteristics. We take this to encompass the charge on the atoms. In other words, the physics of the system requires two or more components of \( \vec{N} \) to always be equal.

![Figure 2.2: Ga\textsubscript{1}N\textsubscript{2} cluster with D\textsubscript{∞h} symmetry.](image)

In figure 2.2 the two Nitrogen atoms (1N and 3N) are at equal distances from the central Gallium atom (2Ga). Thus, we assume that they will have equal charge for every solution for this geometry. Therefore, there are only two unknowns for this cluster – the charge on the central Gallium atom and the charge on either Nitrogen atom. Combine this with the conservation of charge, and we can reduce the self-consistent problem for this cluster to one dimension.

Unfortunately, while the reduction in size for the SC problem will greatly speed up the computational process, it does not improve the shape of the curve. For example, we found that for one 8-atom gallium cluster with one degree of freedom in the self-consistency problem, the resulting SC curve is highly non-linear near the root, as shown in figure 2.3. The behavior near the solution is still nearly a step function, but the behavior away from the root is more complex. Indeed, it is nearly ideal for frustrating derivative-based root-finding methods as we will see.
2.4 – Higher Dimensions

Moving to higher dimensions introduces additional complexity. Let \( f = \vec{N}_{\text{out}} - \vec{N}_{\text{in}} \). In two dimensions, we are looking for the fixed point of a function \( f : \mathbb{R}^2 \rightarrow \mathbb{R}^2 \). If we consider each component of \( f = (f_1, f_2) \) as a separate function, \( f_1 : \mathbb{R}^2 \rightarrow \mathbb{R}^1 \) and \( f_2 : \mathbb{R}^2 \rightarrow \mathbb{R}^1 \), then we examine each as a three-dimensional surface above the domain. Then \( z = f_1(x, y) \) and \( z = f_2(x, y) \) can be plotted to find the points where \( z = 0 \).

Consider a 5-atom cluster composed of boron and nitrogen, B\(_2\)N\(_3\) C\(_2v\). The resulting self-consistency problem can be reduced from five unknowns to two unknowns using charge conservation and exploiting symmetry. Thus \( \vec{N}_{\text{out}} - \vec{N}_{\text{in}} \) forms a function from \( \mathbb{R}^2 \) to \( \mathbb{R}^2 \). Breaking this into \( f_1 \) and \( f_2 \), we create heat plots for each. In these heat plots in figure 2.4 and figure 2.5, the domain \([0, 8] \times [0, 8]\) is plotted with various colors representing the value of \( z_1 = f_1(x, y) \) and \( z_2 = f_2(x, y) \). The \( x \) and \( y \) axes represent the number of electrons in the two-dimensional input vector \( \vec{N}_{\text{in}}(x, y) \) and the color of the plot displays the change in the number of electrons in each component of the output vector, \( z_1 = (N_{\text{out}}^1 - N_{\text{in}}^1)(x, y) \) and \( z_2 = (N_{\text{out}}^2 - N_{\text{in}}^2)(x, y) \).

The surfaces are far from flat, but they appear to be monotonically decreasing, i.e. \( z_1 \) decreases monotonically with increasing \( N_{\text{in}}^1 \) for every value of \( N_{\text{in}}^2 \) and \( z_2 \) decreases mono-
tonically with increasing $N_m^2$ for every value of $N_m^1$. This is a feature we will exploit to slightly reduce the number of calculations needed to find the root.

Figure 2.4: SC heat plot for dimension one of $B_{2N_3} C_{2v}$.

Figure 2.5: SC heat plot for dimension two of $B_{2N_3} C_{2v}$.

To better visualize the solutions to two-dimensional SC problems, isocline plots are often helpful. In an isocline plot, a curve is plotted showing all values where $z$ is equal to some desired value. For our purposes, we want to plot all values where $z_1 = 0$ and where
\( z_2 = 0 \). In the heat plots, this would be the curve where the plot is a medium red color, corresponding to \( z = 0 \).

Since these are now just curves in the same plane, we can plot both on the same axes. The self-consistent solution is then the point of intersection of these two curves. This is where \( z_1 = z_2 = 0 \) and thus \( \vec{N}_{out} - \vec{N}_{in} = (0, 0) \).

Computationally, these isocline plots were constructed by fixing one dimension and generating a solution for the root in the other dimension. For example, fix \( N_{in}^1 = 2 \) and solve for \( y^* \) where \( z_2 = (N_{out}^2 - N_{in}^2)(2, y^*) = 0 \). Then \( (2, y^*) \) is plotted in the isocline. The first dimension is incrementally varied throughout its domain to produce a curve representing the fixed points of the function \( f_1 \). The second dimension is then varied to plot the fixed points of the second function \( f_2 \). An example isocline plot is given in figure 2.6. While it appears from this plot that the uniqueness of the solution has been lost, a closer examination reveals that the single root is preserved. Figure 2.7 illustrates a closer look at another isocline, this time for the \( Ga_7 C_3 v \) cluster. The solution was also found numerically through the iterative process and plotted with an \( \times \) in the figure. Isoclines with this behavior are

![Figure 2.6: Isocline plot for Ga\(_4\)C\(_2\)v.](image-url)
Figure 2.7: Isocline plot for Ga$_7$ C$_3$v.

typical for two-dimensional self-consistent systems in the author’s experience.
2.5 – Derivative Methods

Newton’s Method is the prototypical derivative method. At an initial point, the derivative is calculated (or Jacobian matrix in more than one dimension) and the next point of evaluation is derived from the direction of the derivative. Newton’s method requires that the function being evaluated is continuous with continuous first derivative. Since our SC curves are often approximately discontinuous, Newton’s method may not be the best choice.

In more than one dimension, Newton’s method requires the inversion of an $n \times n$ matrix. Broyden’s method eliminates this inversion and modifies the calculation to speed up computation time, but it also requires the function to have continuous first derivatives. Many other methods have been developed to reduce calculation time and to improve reliability [13], [14], but all require continuous first derivatives. Some hybrid of these derivative methods, such as Brent’s Method, is usually employed for multi-dimensional root finding, including self-consistency [15], [16].

As an example of the failure of derivative methods in self-consistency algorithms, consider the self-consistency curve for the Ga$_8$ D$_4$h cluster given in figure 2.8. If given an initial point $a$ on the curve, we calculate the derivative and use Newton’s method to follow to point $b$. Applying Newton’s method at point $b$, the derivative leads us back to a point near $a$. This

![Figure 2.8: Charge Sloshing for Ga$_8$ D$_4$h.](image-url)
system using Newton’s method will oscillate between two or more points, never reaching the root. When this occurs in the context of the self-consistency problem, this phenomenon is known as “Charge Sloshing” due to the pattern of back-and-forth movement of the electrons in the system between a few points in the domain. Thus, derivative methods often fail to converge to a solution when applied to the self-consistency problem, even when a root is known to exist.

2.6 – Generalized Bisection

An efficient form of the bisection method generalized to higher dimensions was first described by B. Kearfott [17] and refined by M.N. Vrahatis [18], [19]. An excellent description of the Generalized Bisection and the associated issues was given by G. R. Wood [20]. Building on the research in degree theory, this method removes the need to compute the topological degree of the system (the number of times a function crosses zero along a curve), instead opting to remove the certainty of finding a root in order to greatly reduce computation time. It was later shown to provide solutions in a variety of problems where derivative-based methods had failed [21]–[23].

To develop the Generalized Bisection method, first consider the one-dimensional bisection method. The bisection method is a root finding algorithm for functions \( f : \mathbb{R}^1 \rightarrow \mathbb{R}^1 \). If for some interval \([a, b]\) in the domain of \( f \), the product \( f(a)f(b) < 0 \) and \( f \in C^0[a, b] \) then the Intermediate Value Theorem guarantees that a root of \( f \) exists in \([a, b]\). There are less requirements on \( f \), only that \( f \) be continuous in the region of interest and \( f \) must attain opposite signs on the boundary. The highly non-linear behavior of the SC curves at the root do not cause the bisection method to fail. This is largely because most of the computation for the algorithm is performed in the domain of the function. For the self-consistency problem, the domain \((\mathbb{R}^n \times \mathbb{R}^n)\) is smooth and continuous.

Moving to higher dimensions poses challenges. Begin by considering the simplest domain in two dimensions, a rectangle. While degree theory guarantees a root in the domain
if the component functions change sign only once on the boundaries, this requirement is nearly impossible to check numerically. Attempting to check this requirement would also be very computationally expensive. Therefore, we proceed with the assumption that the signs change only once along the edge and develop a routine for when this assumption fails. We will also make the assumption that the function is continuous on the entire domain. In the context of the self-consistency problem, this assumption is believed to be valid.

Consider the signs (positive or negative) of the component functions on the corners of the region. If the two-dimensional root lies within the box and the component functions have exactly one root on each side, we expect two opposite corners to have opposite signs for the two component functions $f_1$ and $f_2$ as shown in figure 2.9. There will be one pair that is positive-positive and one that is negative-negative. The assumption is that $f_1$ and $f_2$ change only once on the edge if the endpoints are of opposite sign and do not change if the endpoints are of same sign. It is recognized that this may not be true, but a relaxation procedure (described below) will be performed when this assumption breaks down. In figure 2.9, $f_1$ will have one root along the top and bottom edges while $f_2$ will have one root along the left and right edges. As we will see, this is generally the case for the self-consistency problem.

![Figure 2.9: Initial domain for two-dimensional Generalized Bisection.](image)
To proceed with the Generalized Bisection, we first choose a side and test its midpoint. If the functions at the midpoint are found to have the same sign as one of the endpoints of that side, that endpoint is removed and the midpoint becomes the new corner point representing that sign configuration. We then proceed to the next edge (or line segment in higher dimensions) and test its midpoint. Continuing with this procedure reduces the size of the domain where we believe the root exists. In figure 2.10, we see the first five steps of Generalized Bisection for the Ga4 C2v cluster. The isocline plot for this cluster was plotted in figure 2.6. The shaded areas are regions of the domain that have been excluded. Notice how the unshaded region matches the part of the isocline plot (figure 2.6) where both isoclines run together. In general, Generalized Bisection works well up to this point.

The Generalized Bisection continues until the desired accuracy is achieved. While this may be changed in the program, it is set to $10^{-10}$ by default. Thus, when the norm of $\vec{N}_{out} - \vec{N}_{in}$ is sufficiently small,

$$\|\vec{N}_{out} - \vec{N}_{in}\| < 10^{-10},$$

the root $\vec{N}_{out}$ is passed to the next step in the SCED-LCAO system. This same criterion is
also employed for Broyden’s Method.

2.7 – An Example Using Generalized Bisection

Consider for example the function \( f : [0, 1] \times [0, 1] \to \mathbb{R}^2 \) defined by

\[
f(x, y) = \left( \frac{\pi}{12} + x - 2y, xy + x - \frac{1}{2} \right).
\]

Here \( f_1 = \frac{\pi}{12} + x - 2y \) and \( f_2 = xy + x - \frac{1}{2} \). Since we have the algebraic form of the function, we can solve this system algebraically. Solving \( f_1 = 0 \) and \( f_2 = 0 \) yields the equations for the isoclines, \( y_1 = \frac{\pi}{24} + \frac{1}{2} x \) and \( y_2 = \frac{1}{24} - 1 \). The equations for the isoclines can then be used to find the steady state solution of the function by equating \( y_1 = y_2 \). We find \((x^*, y^*) \approx (0.3787, 0.3203)\). We can check our answer by plugging back into the original function to find \( f(x^*, y^*) = (0, 0) \). These isoclines and the steady state solution are plotted in figure 2.11.

If we instead use Generalized Bisection to find the solution, we begin by finding the signs of the functions \( f_1 \) and \( f_2 \) at each of the four corners of the domain. We check to make sure that each corner has a unique pair of signs and that \((-,-)\) and \((+,+)\) are not connected.
by an edge. In SCED-LCAO, this is a direct result of the monotonicity of the component functions. Next we find the signs of the functions at the mid-point of one of the edges. It does not matter which edge is chosen as the initial edge, so we will start on the edge along the $y$-axis. Here we find the signs of the functions at $(0, 0.5)$ are $(-, -)$. Thus we remove the corner $(0, 1)$ since it has the same set of signs. The result is a set of four corner sharing the same set of signs for the component functions as the initial corners.

We then proceed to the next edge. The algorithm used in SCED-LCAO chooses edges in a clockwise manner, although it need not choose them in that order. The next edge would then be the newly created edge from $(0, 0.5)$ to $(1, 1)$. We evaluate the signs at the edge midpoint $(0.5, 0.75)$ to find $(-, +)$. Thus, we replace $(1, 1)$ with $(0.5, 0.75)$ and proceed to the next edge. This is then repeated until the norm of the function at an edge midpoint is less than the desired accuracy $A$, $|f(x_k, y_k)| < A$. The initial bisection and several following steps are shown in figure 2.12.

![Example of Two-dimensional Generalized Bisection](image)

Figure 2.12: Example of Two-dimensional Generalized Bisection.

### 2.8 – Generalized Bisection Relaxation

However, there are some issues that need to be addressed. First, we would like to avoid the situation where the acceptable region of the domain becomes very narrow or distorted. Repeated attempts to force uniform convergence rates on all sides were met with failure. This
is what prompted the creation of the isocline plots. The isocline in figure 2.6 makes it clear that this is a problem inherent to the SC solution. Secondly, we would like to maintain the quadrilateral shape of the acceptable region. This will ensure that the acceptable region does not become a triangle to within computer accuracy (which does happen), thus destroying our ability to further bisect. This was successfully enforced by skipping over any line segment that is 50 times smaller than the longest line segment.

If the functions at the midpoint are found to have a different sign configuration then either of the endpoints of the line segment, we cannot remove either end point. It’s likely at this point that multiple functions are changing sign along this line segment. This implies that our assumption that the root is contained in the acceptable region is false. Therefore, we pursue a relaxation of the acceptable region, expanding its size to encompass the root once again. As shown in the example in figure 2.13, the sign configuration of the midpoint is matched with the (unique) corner point of the acceptable region which has the same sign configuration. Then the acceptable region is expanded by “pushing” the midpoint away from this corner point. A straight line is drawn from the matching corner point to the tested midpoint. A new point is created along this line 25% further away from the matching corner point. The new point is tested and if found to be matching one of the endpoints, it replaces the matching corner point and Generalized Bisection continues as before. If the new point
still does not match one of the endpoints in sign configuration, the point is further moved further along the line by 50% and tested again. The point is moved in this direction until its sign configuration matches an adjacent corner point and Generalized Bisection continues with the next line segment.

2.9 – Initial Vector

The importance of the initial guess for derivative methods cannot be understated. An initial vector near the solution will allow for very fast convergence, while starting points further away can lead to very slow convergence or even Charge Sloshing. The Generalized Bisection method is also sensitive to the initial point. I modified the algorithm to try to create an initial box in the domain which is as small as possible. It takes the initial point and adds a small $\delta = 10^{-3}$ to each coordinate. Then the corner points of this region are tested to verify that the signs match the required signs for Generalized Bisection. If successful, the algorithm proceeds with this small box. If unsuccessful, the box is enlarged by a factor of 10 until the required signs are found. Therefore, either type of method can be greatly aided by a wise choice of initial vector.

Initially, the program simply sets the initial guess to be the number of valence electrons on the neutral atom; i.e., 3 for Gallium, 5 for Nitrogen, etc. This method is sufficiently close to the solution for most homogeneous systems so as to provide an excellent initial vector. However, with heterogeneous systems charge transfer in the SC solution is a key feature of molecular bonding. Therefore self-consistency is essential to calculate accurate solutions. Hence using the electrons count for neutral atoms is unlikely to yield an initial vector that is near the self-consistent solution for heterogeneous systems.

The first step in improving the initial guess requires a good understanding of the algorithm used in fitting. In figure 2.14, the hierarchical structure of the fitting procedure is outlined. The parameters for the SCED Hamiltonian are fit to a set of reference values using a gradient method. The reference values are a list of geometry and energy values obtained for
clusters using DFT methods, ab initio, experimental, or other methods. They also include information for homogeneous bulk structures, such as relaxation curves and band energy data. For each reference value, the fitting procedure uses the current set of parameters to reproduce the value.

For a specific cluster, the geometry is varied to find the set of geometric values that provide the minimum energy (produced with SCED and the current parameter set). Once the minimum energy for the cluster is determined, the geometric values and energy value are compared with the reference values and a weighted “residual” is calculated for each reference value. This residual represents a measure of the percentage difference between the reference value and the calculated value. All of these “local residuals” are averaged together to produced a “global residual” for that parameter set using a square root of the sum of the squares. The fitting procedure can be viewed as a functional operating on the system to produce a single positive value which represents the error in the parameter set; i.e., the system residual becomes a functional $R : \mathbb{R}^x \rightarrow \mathbb{R}^{1,+}$, where $x$ is the number of parameters, typically 24. The parameters are fit to the reference values in such a way as to minimize this residual.

As can be seen from the outline in figure 2.14, the self-consistency procedure is performed very many times for even a single set of parameters. For this reason, the self-consistent solution needs to be produced in as few steps as possible. Because the solutions are being used for two additional levels of optimization, accuracy cannot be sacrificed to
speed the calculations. Attempts to raise the accuracy threshold above $10^{-10}$ caused the geometry optimization to fail.

However, the hierarchy of optimization can be exploited to garner initial guesses very near to the solution. The geometry optimization uses a gradient method which calculates the derivative (or Jacobian) for the geometry values using a double difference method. The very small changes in geometry used to calculate the derivatives have very little effect on the self-consistent solution. Therefore, for any given cluster, we use the previous SC solution as the initial value for the current calculations. This resulted in huge increases in efficiency, as can be seen from Table 2.1. This table lists the resulting number of SC steps used during one parameter loop for a typical fitting procedure. Here we are fitting 25 parameters to 132 reference values for a heterogeneous set of clusters including Boron, Carbon, and Nitrogen. Using the previous SC solution for each cluster results in a 92% reduction in the number of SC steps used. This situation still uses the neutral atom electron count for the initial vector each time a new geometry optimization is begun. Replacing this with a known solution for each cluster (with similar, but not identical parameters) results in a further 1% reduction in steps, as shown in the third row of Table 2.1. The reductions shown are for a combination of Broyden’s Method and the Generalized Bisection Method described below.

### 2.10 – Comparison of Methods

Three methods were employed to find the root in the SCED-LCAO self-consistency problem. The initial method was a simple Newton method using the inverse of the Jacobian matrix. This was replaced with the faster and more accurate Broyden’s method. Broyden’s method and the Generalized Bisection method were compared, as well as a hybrid method.

<table>
<thead>
<tr>
<th>Initial Vector</th>
<th>SC Steps for 1 Parameter Loop</th>
</tr>
</thead>
<tbody>
<tr>
<td>Neutral Atom</td>
<td>824,197</td>
</tr>
<tr>
<td>Previous Solution</td>
<td>63,476</td>
</tr>
<tr>
<td>Known Solution</td>
<td>59,966</td>
</tr>
</tbody>
</table>

| Table 2.1: Comparison of Initial Vectors. |
which made use of both.

We note with some displeasure that the guaranteed convergence seen in the one-dimensional bisection method is lost when moving to the Generalized Bisection method. In this regard, Generalized Bisection is equal to Broyden’s Method, which also does not guarantee a solution. Given the much less stringent continuity requirements, Generalized Bisection often converges when Broyden’s Method will not. However, Generalized Bisection is much slower than derivative methods. While Broyden’s method can converge on the order of $2n$, Generalized Bisection converges on the order of $2^n$, where $n$ is the size of the system under consideration (the length of $\mathcal{N}$ for SCED-LCAO self-consistency). This makes Generalized Bisection a particularly poor choice for systems with higher self-consistency degrees of freedom. This suggests that we try Broyden’s Method first and then switch to Generalized Bisection should Charge Sloshing be detected. This method was employed for the final version of the SC algorithm.
CHAPTER 3
GALLIUM NITRIDE

SCED-LCAO is a semi-empirical method, meaning that its predictive power relies on a set of parameters that are acquired from empirical data. In the case of SCED-LCAO we use the fitting procedure described previously in this work to develop these parameters. This fitting procedure is based on a set of test clusters, which are described by their properties. These properties include the geometrical degrees of freedom within the given symmetry and the total energy of the cluster. In addition to these clusters, we also use data from bulk phases and the dimer energy curve.

Unfortunately, very little experimental data exists for small clusters of atoms beyond the dimer so we will use a very accurate ab initio calculation to obtain these properties. We have chosen Gaussian™ to perform calculations in the Density Functional Theory (DFT) formalism. In DFT, one of the most common forms of the exchange-correlation energy functional is the Becke, 3-parameter, Lee-Yang-Parr (B3LYP) treatment. This hybrid approach was introduced by Axel Becke in 1993 [24] and incorporates a portion of the exact exchange from Hartree-Fock theory with the exchange and correlation from other sources (ab initio or empirical). The result is an improvement in many of the predicted molecular properties such as atomization energies, bond lengths, and vibration frequencies.

The form of the functional must be paired with a set of basis functions to allow for computation. Gaussian™ provides an array of different basis sets, although not all of them are compatible with Gallium. We tried several basis sets, but eventually settled on the Dunning correlation-consistent triple zeta basis set \textbf{cc-pVTZ} [25]. This basis set “has had redundant functions removed and has been rotated in order to increase computational efficiency.” [26] It also includes polarization functions, which are additional functions added to the minimal
basis set to model unfilled atomic orbitals. For instance, for Gallium the \textbf{cc-pVTZ} basis set includes six $s$-type orbital functions, five $p$-type orbital functions, three $d$-type orbital functions, and one $f$-type orbital function for polarization. We also decided to include diffuse functions, which aid in calculating long-range interactions, such as Van der Waals forces. In Gaussian™, the addition of diffuse functions is denoted by the \textbf{aug} prefix. All calculations included in the database were thus performed with \textbf{aug-cc-pVTZ} basis sets for consistency. This represents the current state of the art in DFT calculations.

Typically when the geometry of the structure was unknown, we would employ a “lighter,” and therefore faster computationally, basis set such as \textbf{LanL2DZ} or \textbf{STO-3G} to arrive at an approximate set of properties and then use \textbf{aug-cc-pVTZ} to verify the stability of the structure and fine-tune the properties. This provides a catalog of cluster geometries and energies against which we fit the SCED parameters.

Bulk data often exists for many forms of periodic systems. For homogeneous systems we will also leverage this crystal structure information to improve our parameters. We use the Vienna Ab-Initio Simulation Package (\textbf{VASP™}) to calculate energy curves as the geometry is varied.

Figure 3.1: Ga$_4$N$_4$ D$_3d$ cluster found with Gaussian™.
Residual Scaling

When searching for an optimal set of parameters, we need to have a measure of how well the current parameter set results in calculations which match the reference values. This is accomplished through the use of a simple residual. The difference between the calculated value $T^C$ and the reference value $T^R$ is calculated for each fitting property and the residual $R$ is given for $N$ atoms as

$$R^2 = \frac{1}{N} \sum_{i=1}^{N} (T^C_i - T^R_i)^2.$$ 

Unfortunately, this formula will result in weighting all of the reference values equally. Since a typical set of reference values consists of both geometries and energies which are on vastly different scales, this will result in some reference values becoming insignificant in the residual calculation. A possible solution would be to divide the differences by the reference values to provide a percentage difference in each value, but a more general approach is to introduce a scaling factor $S_i$ as discussed in [27] for each reference value,

$$R^2 = \frac{1}{N} \sum_{i=1}^{N} \left( \frac{T^C_i - T^R_i}{S_i} \right)^2.$$ 

Now different types of data can be scaled to allow for equal weighting or perhaps some other weighting system better suited to the system.

One additional problem encountered with the geometry is that the choice of coordinate system can greatly affect the residual. Consider the simple cluster with three atoms and $D_{\infty h}$ symmetry shown in figure 3.2.

If we set the origin of the coordinate system to be at an end atom, the two geometric degrees of freedom will be different from a system with the origin at the center atom. This is represented in the figure by the solid and dashed arrows. If we take the residual to be percentage changes, we obtain two different results for the residual. Assume that the measurements are as in the figure and that atom 3 is calculated to be at 3.2 (with reference value
Figure 3.2: Three-atom cluster with $D_{\infty h}$ symmetry.

3.0). The residual for the position of atom 3 in the dashed coordinate system is

$$R^2 = \left( \frac{T^C_i - T^R_i}{S_i} \right)^2 = \left( \frac{3.2 - 3.0}{3.0} \right)^2 = 0.004$$

while the residual in the solid coordinate system is

$$R^2 = \left( \frac{T^C_i - T^R_i}{S_i} \right)^2 = \left( \frac{5.2 - 5.0}{5.0} \right)^2 = 0.00016$$

Certainly we want the residual to be based on the difference in the position, but independent of the coordinate system used.

This problem is avoided with the energies since the energies are all relative to some fixed value, typically the ground state energy of a single atom. So our first inclination is to use one standard scaling factor for all reference geometries. This would give equal residuals in the example above. The most obvious choice for a scaling factor would be the bond length of the dimer (for homogeneous calculations).

However, given the physics of the situation we may want to weight some geometric references more than others. For instance, we may desire to capture the angular flavor of $p$-bonding or perhaps focus only on inter-atomic distances. We would then choose to weight differences in directions that are tangential to the inter-atomic distances more heavily than in differences in the distances between the atoms. A reasonable compromise is to use some set reference value for each type of distance. After careful consideration, we chose five reference values for five types of measurements. These are given for each element discussed below.
The residual is then multiplied by 10 to yield a scale that is more readable.

### 3.1 – Gallium

Neutral Gallium atoms contain 31 electrons, making it very expensive computationally to form clusters. A typical calculation of a high-symmetry cluster consisting of eight Gallium atoms will take approximately a week of computer time. For this reason, we created our database of fitting properties using smaller clusters and supplemented this with energy curve data from the dimer and bulk phases.

**Database Generation**

The energy curve for the Ga\(_2\) dimer is shown in figure 3.3. This was created by varying the separation distance of the two atoms using a small mesh of 0.1 Angstroms and calculating the resulting energy in Gaussian™.

![Figure 3.3: Gallium dimer energy versus atomic separation.](image)

Gallium bulk data was included for both the alpha \(\alpha\) and beta \(\beta\) phases. The most common solid form of gallium is the \(\alpha\)-gallium phase. The fitting program allows for the inclusion of a simple expansion (“breathing”) mode energy curve where all degrees of freedom in the lattice are increased by the same scaling factor. The structure for the unit scaling
(scale=1.00) was based upon the experimentally-observed lattice vectors. This was scaled by multiplying all three dimensions of the unit cell vectors by 0.98, 0.99, 1.01, 1.02, etc. We then fit the parameters for gallium against the resulting energies from these VASP™ calculations. This energy curve from VASP™ is given in figure 3.4, along with the results using the final SCED parameters for gallium.

![Graph showing energy versus lattice scaling](image)

**Figure 3.4: β-gallium energy versus lattice scaling.**

For clusters, a thorough search of every symmetry was performed for clusters consisting of up to four gallium atoms. Convergence was tested for each degree of freedom by testing the cluster in Gaussian™ starting both above and below the convergence value. Since Gaussian™ forces clusters to retain the input symmetry, test clusters were also converged after the symmetry was broken by moving an atom slightly out of position. For example, in figure 3.5 there are two degrees of freedom in the Ga$_3$C$_2$ cluster, namely the distance from 1Ga to 3Ga and the horizontal distance from 2Ga to the line connecting 1Ga and 3Ga. Each of these was tested above and below the equilibrium value.

Stable clusters ranging in size from five to seven atoms were found using high-symmetry geometrical configurations. Others were suggested by literature [28]–[31]. One cluster of eight gallium atoms was considered, the D$_{2h}$ structure in figure 3.6. This structure has only three degrees of freedom and will therefore converge quickly enough to allow for parameter fitting.

Once a collection of stable structures was generated, a subset was selected to comprise
the database properties. Preference was given to the lowest energy clusters for each stoichiometry (the number of each element present), but others were also included. Each cluster was tested at the three lowest spin multiplicity states and the lowest energy of those three was used. Since SCED-LCAO does not incorporate spin in this version, we included only those clusters with minimal spin contamination.

**Fitting Procedure**

The choice of initial parameters is extremely important. We are attempting to perform a global optimization on a function of 24 variables, i.e. we wish to find the values of the 24 parameters that result in a minimum residual. The domain of some variables is limited, e.g. we expect $a_K$ to be positive, but less than one half. Other parameters have a much wider
range of possible values. No method exists to arrive quickly at the global minimum residual, so we are employing a random search pattern (see [27]). A poor choice of initial parameters could result in years of additional calculations.

The initial gallium parameters were chosen as shown in table 3.1. All units are in angstroms and electron volts. The initial overlap parameters are generated by producing overlap curves in Gaussian™ for the Ga$_2$ dimer and using a fitting algorithm to arrive at parameters to match these curves with the form of our overlap functions. We used the freely available plotting program XMGrace™ to calculate these fits. The values for $\epsilon_s$ and $\epsilon_p$ are standard results for the Hartree-Fock atomic orbital energies for the 4s and 4p valence orbitals from Atomic Structure Calculations by Joseph B. Mann [32]. These were simply doubled for the initial $\epsilon'$ values. It is important that these be set at least 50% below the values for $\epsilon$ since it is the difference between them that allows for bonding in SCED-LCAO. The value for $A_K$ will typically vary from -0.5 to 0.5, so any value near zero will suffice. The inter-atomic Coulomb repulsion term $U$ is given by Walter A. Harrison in Elementary Electronic Structure [33]. This value was fixed initially, but allowed to vary slightly once the residual was less than 80.

The $V_N$ and $Z$ terms were initially set to zero. However, if values from another column of the inner element were available, they would be a better choice for the starting parameters. The distance parameter $d_N$ was set to the dimer bond length, as were the reciprocal length parameters $w_{es}$ and $w_{ep}$ since we expect the effect to occur on that distance scale. The other parameters for the $W$ term were initially fixed at zero and then allowed to vary once the residual was below 100 since we expect them to be fine-tuning values. Finally, the energy constant value is fixed at $E_{const}$ to allow the reference properties to be given in Hartrees as output from Gaussian™ while the SCED-LCAO parameters and output will be in electron volts.

We decided to use the scaling weights for homogeneous Gallium shown in table 3.2. The energies for the reference gallium clusters vary from -0.024 for the dimer to -0.061 for the Ga$_8$ $D_{4h}$ cluster. Therefore, a scale value of 0.045 is reasonable. The bulk energy values vary across a large range, with the minimum set to exactly zero. They also don’t vary evenly
<table>
<thead>
<tr>
<th>Name</th>
<th>Value</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>$A_{ss\sigma}$</td>
<td>1</td>
<td>XMGrace fit to dimer overlap; fixed.</td>
</tr>
<tr>
<td>$B_{ss\sigma}$</td>
<td>-0.0798843</td>
<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$\alpha_{ss\sigma}$</td>
<td>1.472260</td>
<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$d_{ss\sigma}$</td>
<td>1.977800</td>
<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$A_{sp\sigma}$</td>
<td>0</td>
<td>XMGrace fit to dimer overlap; fixed.</td>
</tr>
<tr>
<td>$B_{sp\sigma}$</td>
<td>0.484434</td>
<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$\alpha_{sp\sigma}$</td>
<td>1.719130</td>
<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$d_{sp\sigma}$</td>
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<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
<td>$A_{pp\sigma}$</td>
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<td>XMGrace fit to dimer overlap; fixed.</td>
</tr>
<tr>
<td>$B_{pp\sigma}$</td>
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<tr>
<td>$\alpha_{pp\sigma}$</td>
<td>2.112320</td>
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</tr>
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<td>$d_{pp\sigma}$</td>
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<td>XMGrace fit to dimer overlap.</td>
</tr>
<tr>
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<td>XMGrace fit to dimer overlap; fixed.</td>
</tr>
<tr>
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<td>XMGrace fit to dimer overlap.</td>
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<td>$d_{pp\pi}$</td>
<td>1.27176</td>
<td>XMGrace fit to dimer overlap.</td>
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<tr>
<td>$\varepsilon_s$</td>
<td>-11.55396</td>
<td>Atomic Structure Calculations \cite{32}; fixed.</td>
</tr>
<tr>
<td>$\varepsilon_p$</td>
<td>-5.673576</td>
<td>Atomic Structure Calculations \cite{32}; fixed.</td>
</tr>
<tr>
<td>$\varepsilon'_s$</td>
<td>-23.10792</td>
<td>twice $\varepsilon_s$.</td>
</tr>
<tr>
<td>$\varepsilon'_p$</td>
<td>-11.34715</td>
<td>twice $\varepsilon_p$.</td>
</tr>
<tr>
<td>$A_K$</td>
<td>0.000001</td>
<td>$\approx 0$.</td>
</tr>
<tr>
<td>$U$</td>
<td>6.701734</td>
<td>Elementary Electronic Structure \cite{33}; fixed.</td>
</tr>
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<td>$B_Z$</td>
<td>0</td>
<td>Start at zero.</td>
</tr>
<tr>
<td>$A_N$</td>
<td>0</td>
<td>Start at zero.</td>
</tr>
<tr>
<td>$B_N$</td>
<td>0</td>
<td>Start at zero.</td>
</tr>
<tr>
<td>$\alpha_N$</td>
<td>0</td>
<td>Start at zero.</td>
</tr>
<tr>
<td>$d_N$</td>
<td>2.52000</td>
<td>Set to dimer bond length.</td>
</tr>
<tr>
<td>$w_{as}$</td>
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<td>Start at zero.</td>
</tr>
<tr>
<td>$w_{es}$</td>
<td>2.52000</td>
<td>Set to dimer bond length.</td>
</tr>
<tr>
<td>$w_{ap}$</td>
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<td>Start at zero.</td>
</tr>
<tr>
<td>$w_{ep}$</td>
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<td>Set to dimer bond length.</td>
</tr>
<tr>
<td>$E_{\text{const}}$</td>
<td>14.3996</td>
<td>For Angstroms and electron volts; fixed.</td>
</tr>
</tbody>
</table>

Table 3.1: Initial SCED-LCAO parameters for gallium.
due to the fact that the length scale was varied in DFT, but the property scale is based on the volume. Therefore, we use the DFT value for scaling the bulk, i.e. we scale by percentage.

The dimer energy curve and the dimer cluster property were used to begin the parameter search. However, once a rough estimate was achieved, these were removed from the reference properties. The dimer curve contains a cusp-like (non-differentiable) point where there is a transition in the lowest energy eigenvalue curve from DFT. The Ga$_2$ dimer cluster was also shown to have a high degree of spin contamination. It was decided that these features were not something we desired to capture in our model. The ultimate goal of SCED-LCAO is to quickly model systems of many atoms, so the behavior of a naked dimer is not something upon which we will focus.

Initially, the overlap curves were fixed, along with $U$ and the $W$ terms. Once the dimer had provided a rough estimate of the best parameters, we gradually added in additional clusters starting with two of the largest and a second small cluster. The goal is to allow the fitting code to run quickly by only computing a small number of clusters while capturing the behavior of the range of clusters in the database. Once the residual had reached a relatively low value of 100 and most of the clusters were included, we began to optimize the overlap curves, $U$, and $W$ as well. This process was also expedited by optimizing only the overlap parameters or the only other half of the parameters at any given time, e.g. we would first optimize the non-overlap parameters, second optimize the overlap parameters, then repeat. Eventually, we arrived at a residual of 71.2. The resulting parameters for both Gallium and Nitrogen are given in table 3.3. The residuals for each fitting property can be found in the

<table>
<thead>
<tr>
<th>Name</th>
<th>Value</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bond</td>
<td>2.6 Å</td>
<td>Bond length</td>
</tr>
<tr>
<td>Half-bond</td>
<td>1.3 Å</td>
<td>Half bond length</td>
</tr>
<tr>
<td>Angular</td>
<td>2.0 Å</td>
<td>Lengths directly affecting bond angle.</td>
</tr>
<tr>
<td>Cluster Energy</td>
<td>0.045 Har.</td>
<td>Energy per atom of clusters</td>
</tr>
<tr>
<td>Bulk Energy</td>
<td>0.002 Har.</td>
<td>Energy per atom</td>
</tr>
</tbody>
</table>

Table 3.2: Scale weight factors for gallium.
<table>
<thead>
<tr>
<th>Name</th>
<th>Gallium</th>
<th>Nitrogen</th>
</tr>
</thead>
<tbody>
<tr>
<td>$\epsilon_s$</td>
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<td>-26.23360000</td>
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<tr>
<td>$\epsilon_p$</td>
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<td>-13.84240000</td>
</tr>
<tr>
<td>$\epsilon'_s$</td>
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<td>-34.67487053</td>
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<tr>
<td>$\epsilon'_p$</td>
<td>-9.78502345</td>
<td>-20.28141541</td>
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<td>$\alpha_K$</td>
<td>0.09070368</td>
<td>0.25788710</td>
</tr>
<tr>
<td>$U$</td>
<td>13.66059628</td>
<td>15.88403566</td>
</tr>
<tr>
<td>$B_Z$</td>
<td>1.57855854</td>
<td>3.84869042</td>
</tr>
<tr>
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<td>-3.50765478</td>
</tr>
<tr>
<td>$B_N$</td>
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<td>-0.40115070</td>
</tr>
<tr>
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</tr>
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</tr>
<tr>
<td>$d_{pp\pi}$</td>
<td>1.29280440</td>
<td>0.74092947</td>
</tr>
</tbody>
</table>

Table 3.3: Final SCED-LCAO parameters.

appendices. In total, there were 35 gallium cluster properties and 16 bulk properties used.

During this fitting process, it is important to maintain a minimum gap between $\epsilon'_s$ and $\epsilon'_p$. Since the difference between $\epsilon_s$ and $\epsilon_p$ is approximately 6 eV, we chose to enforce a minimum $\epsilon'$ gap of 6 eV while both values were allowed to vary.

3.2 – Nitrogen

Nitrogen poses a much more difficult problem. Nitrogen forms no known homogeneous molecular structures beyond the dimer N$_2$. Rather than try to form artificial clusters in DFT
– a task that is likely to fail – we chose to generate the Nitrogen parameters using a database of heterogeneous clusters containing Nitrogen atoms. In addition, the version of the fitting code used for this work does not allow for the inclusion of heterogeneous bulk in the database. Such heterogeneous bulk structures require a formulation that can capture long-range interactions. This is typically done through the use of an Ewald summation, which uses a Fourier transform to perform the calculations for long-range periodic forces. The version of the fitting code used here does not incorporate Ewald sums.

Since the ultimate goal is to model GaN systems, we created a database of clusters containing both gallium and nitrogen. For this nitrogen parameter generation, the gallium parameters are treated as being fixed. They are not allowed to vary from the values found in the previous section.

While nitrogen is a much lighter atom than gallium with only seven electrons in the neutral atom, there are still limitations on the size of the clusters that can be included in the database. Stoichiometries with many more nitrogen atoms than gallium tend to separate into individual N$_2$ pieces. Elemental formulas with many more gallium atoms than nitrogen would tend to over emphasize the gallium parameters, leading to little benefit for nitrogen fitting. Therefore, we chose a database that emphasizes stoichiometries with approximately the same number of gallium and nitrogen atoms. In this situation, computation time limits the size of the clusters to approximately twelve atoms – six nitrogen and six gallium.

Again, a thorough search of every symmetry was performed for clusters consisting of up to four atoms. Convergence was rigorously tested for each degree of freedom. The clusters found were also tested for convergence after the symmetry was broken. Some clusters ranging in size from five to ten atoms were found using high-symmetry geometrical configurations. Others were suggested by previous work [34]–[46].

In addition, several clusters were attempted by modeling a small chunk of the hexagonal gallium nitrogen bulk structure and allowing it to relax to a new geometry. Using this method, only the Ga$_6$N$_6$ D$_{3d}$ cluster shown in figure 3.7 was found to be stable.
Once a collection of stable structures was generated, a subset was again selected to comprise the database properties. Preference was given to the lowest energy clusters for each elemental formula, but others were also included. We included more clusters with approximately equal numbers of gallium and nitrogen atoms in an attempt to focus on the interaction between the two atomic species. Each cluster was tested at the three lowest spin multiplicity states and the lowest energy of those three was used. Once again, we included only those clusters with minimal spin contamination.

**Fitting Procedure**

The initial nitrogen parameters were chosen in the same way as for gallium. The initial overlap parameters were generated by producing N$_2$ dimer overlap curves in Gaussian™ and using XMGrace™ to create parameters to match these curves with the form of the SCED overlap functions. The values for $\epsilon_s = -26.2336$ eV and $\epsilon_p = -13.8424$ eV were again pulled from Mann [32] and doubled for the initial $\epsilon'$ values. The inter-atomic Coulomb repulsion term $U = 13.15$ eV is given by Harrison [33]. This value was fixed initially, but allowed to vary slightly once the residual was less than 150. The $V_N$ and $V_Z$ terms were initially copied from the carbon values given by Yu [4].
Table 3.4: Scale weight factors for gallium nitride.

<table>
<thead>
<tr>
<th>Name</th>
<th>Value</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ga-Ga bond</td>
<td>2.8 Å</td>
<td>Ga\textsubscript{2} bond length</td>
</tr>
<tr>
<td>Ga-N bond</td>
<td>2.0 Å</td>
<td>GaN dimer bond length</td>
</tr>
<tr>
<td>N-N bond</td>
<td>1.1 Å</td>
<td>N\textsubscript{2} bond length</td>
</tr>
<tr>
<td>Angular</td>
<td>2.0 Å</td>
<td>Lengths directly affecting bond angle.</td>
</tr>
<tr>
<td>Cluster Energy</td>
<td>0.10 Har.</td>
<td>Energy per atom of clusters</td>
</tr>
</tbody>
</table>

There is more to consider when deciding on a set of scaling weights for gallium nitride systems. For example, the GaN dimer characteristic bond length is significantly different from the characteristic N\textsubscript{2} dimer bond length. Most of the scaling weights were set as the characteristic bond length for that interaction. However, the ring structures Ga\textsubscript{4}N\textsubscript{4} D\textsubscript{4h} and Ga\textsubscript{5}N\textsubscript{5} D\textsubscript{5h} are described by the ring radii. Therefore, the weights for those were set at the reference values for the radii. A list of the weights is given in table 3.4.

The N\textsubscript{2} dimer energy curve and the dimer cluster properties were not used in the parameter search. The lowest energy dimer occurs for multiplicity three and has a high degree of spin contamination. The same is true for the GaN dimer cluster.

We began by fitting to the largest cluster Ga\textsubscript{6}N\textsubscript{6} D\textsubscript{3d} and the smallest cluster Ga\textsubscript{3}N\textsubscript{1} while holding the overlap fixed. Experience has shown that fitting to only a handful of clusters can lead to an unproductive search once more clusters are added. So we included every GaN cluster that would converge quickly. We allowed $\varepsilon', A_K, B_Z, A_N, B_N, \alpha_N$, and $d_N$ to vary, along with the mixing parameter for Gallium and Nitrogen $\alpha_{Ga-N}$. Then we gradually began filling in additional Gallium-Nitrogen clusters as the residual improved. Once most of the GaN clusters were included, we began to optimize the overlap parameters simultaneously with the $V_N$ and $V_Z$ parameters until all GaN clusters in the database were included. Finally, we also allowed the $W$ terms to vary, as well as the $U$ term.

Eventually, we arrived at a residual of 93.19. The resulting parameters and residuals for each fitting property are given in the appendices.
3.3 – Gallium Validation

Care must be taken to ensure that the generated parameters indeed have predictive power for further systems. The goal of SCED-LCAO is to quickly calculate previously unknown atomic configurations.

Therefore, two large homogeneous gallium clusters were chosen to validate the gallium SCED-LCAO parameters. The first is a nearly symmetric 13-atom ball. The $D_{5h}$ symmetry is slightly broken due to the Jahn-Teller effect. H.A. Jahn and E. Teller used group theory to analyze the perturbation calculation on the position of the nucleus to prove that "All non-linear nuclear configurations are therefore unstable for an orbitally degenerate electronic state [47].” The addition of an electron to the system results in the perfectly symmetrical $\text{Ga}_{13}^-\text{D}_{5h}$ ball [48]. However, we modeled the neutral off-symmetric structure.

An initial structure was generated by guessing the necessary bond lengths and allowed to relax using the VASP™ program with the GGA gallium potential. The structure that was produced nearly possesses the $D_{5h}$ symmetry as predicted by Drebov, et.al. [48]. This geometry was then introduced into the SCED-LCAO molecular dynamics routine using the gallium parameters previously produced. After 50,000 time steps, the structure has completely relaxed into a structure that matches the geometry of the VASP™ calculations, as seen in figure 3.8. Note that the lines joining the atoms are generated by the visualization software and do not indicate bonding or lack of bonding, but rather are based on pair distance alone.

The second validation cluster is a 20-atom with no discernible symmetry. An initial structure was again generated and allowed to relax using the VASP™ program with the GGA gallium potential. However, the symmetry of the initial guess was retained in this calculation, so the cluster was first relaxed using the SCED-LCAO molecular dynamics routine using the gallium parameters. Again we used 50,000 time steps and found that the structure was completely relaxed into a structure that matches the structure pictured in Drebov, et.al. [48]. This non-symmetrical structure was further relaxed in the VASP™ program and pro-
duced a structure very similar to the SCED-LCAO prediction, as seen in figure 3.9.

Both of these validation clusters were further analyzed by plotting the pair-distribution function and the angle-distribution function for both the SCED and VASP™ results. The plots are given in figure 3.12.
Given the good agreement in both validation clusters, we are confident that the gallium parameters have the predictive power to correctly model other homogeneous gallium structures. Therefore, these gallium parameters also form a solid base upon which to build Nitrogen parameters, fitting them against gallium nitride clusters.

![Figure 3.10](image)

Figure 3.10: Pair-Distribution functions for Ga$_{13}$ (a) and Ga$_{20}$ (c) and angle-distribution functions for Ga$_{13}$ (b) and Ga$_{20}$ (d).

### 3.4 – Nitrogen Validation

While matching the properties in the database for GaN structures is extremely important for forming a useful set of SCED-LCAO parameters, SCED-LCAO should be able to accurately predict results for larger systems. To demonstrate that our results provide this pre-
dictive power, we will use the SCED-LCAO formalism and the parameters we calculated to predict properties for a larger symmetric cluster and a large periodic system.

For the larger cluster, we chose a highly symmetric 24-atom cluster that was first modeled in [34]. Again, an initial structure was created using approximate GaN bond lengths and then relaxed in both VASP™ and SCED-LCAO. The resulting structures are given in figure 3.11. The pair-distribution and angle-distribution functions are given in ??.

There is very good agreement between the two results, although the SCED results have a slightly larger bond lengths.

We chose to test our SCED-LCAO parameters with the most common form of GaN bulk crystal structure. While the cubic zinc-blende is also discussed in the literature, the hexagonal wurtzite most commonly occurs in nature and is the form used in semiconductor manufacturing. Both structures form planar hexagonal layers of gallium with a closely bonded hexagonal layer of nitrogen at the triangle centers and offset by a small amount in the direction of the $z$ [001] axis. This pair of layers is repeated with a larger separation between layer pairs. The only difference between zinc-blende and wurtzite is in the layer packing. The zinc-blende structure has layers organized as AaBbCc where the capital letters represent gallium layers and the lowercase represent the nitrogen layers. In contrast, the wurtzite
structure has layers stacked as AaBbAa, where the every other layer is identical in the \(xy\) plane. An illustration is given in figure 3.13.

We will predict the geometrical configuration for minimum energy. For the wurtzite structure, three parameters are needed to completely describe the crystal lattice. We will use the ABA layer distance \(c\) between the two aligned gallium layers, the Aa layer separation distance \(d\) between a gallium layer and its nearest nitrogen layer, and the planar hexagon side length \(a\). These have known values of 5.185 Å, 0.643 Å, and 3.189 Å respectively [Vurgaftman2003, Bernardini1997].

Our SCED-LCAO predictions were made with the molecular dynamics program developed in [3]. We began with the known geometries for a block of GaN bulk as shown in figure 3.14. We applied periodic boundary conditions and used the parameters for gallium and nitrogen that we found earlier. The structure was allowed to completely relax to its
stable structure using the powerquenching technique. As before, a breathing mode was accomplished by scaling all three unit cell vectors and finding the energy for each scaling. The same procedure was performed using the VASP™ program for comparison. These results are plotted in figure 3.15.

While the minimum energy for the SCED-LCAO results occurs at a scaling factor of 1.02, the 2% error is considered well within the acceptable range.
Figure 3.15: GaN bulk energy versus lattice scaling.

Thus, there is excellent agreement for both the Ga$_{12}$N$_{12}$ cluster and the bulk properties. This demonstrates that SCED-LCAO can accurately predict large GaN structures with the parameters given. We can now be confident that SCED-LCAO with the parameters produced here can accurately predict structures involving Gallium and Nitrogen.
CHAPTER 4
PREDICTION OF GALLIUM NITRIDE STRUCTURES

Having validated the Gallium and Nitrogen SCED-LCAO parameters, we will now turn our attention to the prediction of larger structures. The true power of SCED-LCAO lies in its ability to accurately predict structures and properties where ab-initio methods are too costly computationally. SCED-LCAO is able to give accurate predictions in situations where the multi-center interactions are important.

We continue our study of Gallium Nitride cage structures by considering two additional clusters – Ga\textsubscript{16}N\textsubscript{16} and Ga\textsubscript{24}N\textsubscript{24}. These were studied in depth by Brena and Ojamae [46] using Gaussian™ with a light basis set. We extend our study beyond cluster geometries to also include electronic structure. These clusters were allowed to relax in the SCED-LCAO molecular dynamics simulation to find the lowest energy state. The Pair-Distribution functions and Angle-Distribution functions are given for Ga\textsubscript{16}N\textsubscript{16} and Ga\textsubscript{24}N\textsubscript{24} in figure 4.1 and figure 4.2, respectively. As expected, the results from SCED are a very close match with those of VASP™ for Ga\textsubscript{16}N\textsubscript{16}. The Ga\textsubscript{24}N\textsubscript{24} was too large to model in VASP™ with our current machines. This confirms that the current parameters in SCED-LCAO provide a firm foundation for additional studies.

We also explored the electronic structure of Ga\textsubscript{12}N\textsubscript{12}, Ga\textsubscript{16}N\textsubscript{16}, and Ga\textsubscript{24}N\textsubscript{24}. The electronic density of states (DoS) was calculated and plotted for each, along with the DoS for GaN bulk. These results are summarized in figure 4.3.

One quantity of interest is the band gap for these structures. This is the gap in the energy of the highest occupied molecular orbital (HOMO) and the lowest unoccupied molecular orbital (LUMO). For semi-conductors such as GaN, we expect a small, but distinct gap. This gap allows for the electrical behavior that makes transistors possible. As seen in figure 4.3, in
in each case we found such a gap. These gaps also matched very closely with the results from Brena and Ojamae [46] using the 6-31G(d,p) basis sets in Gaussian™. These results are plotted in figure 4.4. The gap for Ga$_{24}$N$_{24}$ is significantly different since the SCED cluster relaxed into a non-symmetric structure, while the Gaussian™ result maintained symmetry.

![Diagram](image)

Figure 4.1: Pair-Distribution and Angle-Distribution functions for Ga$_{16}$N$_{16}$.

These results are encouraging and are but a glimpse of the power of SCED-LCAO.
**Figure 4.2:** Pair-Distribution and Angle-Distribution functions for Ga$_{24}$N$_{24}$.

**Figure 4.3:** Density of States results for SCED results.
Figure 4.4: GaN band gap versus number of GaN pairs $N$. 

![Graph showing GaN band gap versus number of GaN pairs N.](image)
CHAPTER 5

CONCLUSION

5.1 – Comparison of Methods

The self-consistency problem provides an unusual challenge for computational solution. Within the framework of SCED-LCAO, the SC problem is often highly non-linear in multiple dimensions, especially surrounding the root – a veritable nightmare scenario for root-finding algorithms. The Generalized Bisection method provides solutions in many cases where derivative-based methods fail due to charge sloshing. This is tremendously important for the task of generating parameters for SCED-LCAO. During this fitting procedure, failure to converge to a root can be catastrophic. The only way to deal with a self-consistency failure in the fitting procedure is to abandon the entire set of parameters. While the optimal parameter set usually converges to a root with derivative methods, the process of arriving at this optimal set often requires the calculation of many self-consistent systems with the Generalized Bisection method.

The Generalized Bisection method will often provide a solution when the Broyden method fails, but it is comparatively very slow in its convergence to the root. Our goal is to decrease the computational time required for generating parameters, so we need to minimize number of steps in this process. Given a series of timing runs, it was determined that the optimal way to find roots was to employ the gradient methods whenever possible and to switch to the Generalized Bisection method when the derivative method fails. Since even one root-finding failure can result in discarding hundreds of thousands of successful solutions, the added expense of the Generalized Bisection method is more than justified in this case.
5.2 – Gallium Nitride

Gallium and nitrogen form strong bonds with significant electron transfer in SCED-LCAO. For this heterogeneous system, an improvement to the self-consistency algorithm was necessary to find parameters to describe this bonding. In addition, our work represents the first attempt to fit parameters for an entire elemental species using only heterogeneous properties. Since heterogeneous nitrogen forms only dimers (N$_2$) under most natural conditions, it was not profitable to attempt to create a homogeneous nitrogen database of clusters and bulk. Therefore, we used only heterogeneous clusters to fill out the property database (along with the nitrogen dimer), namely those clusters consisting of gallium and nitrogen, carbon and nitrogen, and boron and nitrogen. Given this situation, the burden on the self-consistency algorithm was especially high, increasing the likelihood of failures. The inclusion of the Generalized Bisection method as a “safety net” for when the Broyden method failed was essential to the successful generation of SCED-LCAO parameters for nitrogen.

5.3 – Direction for Future Work

While the Generalized Bisection method allows for successful root finding in most SC problems, it does not always converge. The particularly devilish nature of the SCED-LCAO self-consistency problem will occasionally lead to failure. Given the importance of finding the solution for every case in the fitting procedure, more work should be done to eliminate this small percentage of failures. One possible route of investigation would be to improve the Generalized Bisection method by optimizing the size of the relaxation factor after a corner sign failure. Perhaps even a randomly generated relaxation factor would prevent Generalized Bisection failures. Hybrid methods combining Newton’s method and the bisection method are easy to envision in one dimension. Perhaps these can be generalized to higher dimensions using techniques from Generalized Bisection.

Gallium nitride has been a hot topic for research in recent years. The crystal properties of gallium nitride have been shown to be superior to other semi-conductors in heat and
radiation sensitivity, voltage handling, and in the production of violet laser diodes. Recent research has been shifting to the nano-scale. Gallium nitride has been shown to form nanowires and nanotubes, which have the potential to provide next-generation semiconductors and optical devices.

The inclusion of the Generalized Bisection method opens the door for a wide array of other studies with SCED-LCAO. Parameters can be generated for many additional elements. As demonstrated in this work, elemental species need not form their own homogeneous crystal structure or small clusters to provide a sufficient database of properties. Since boron has already been studied, boron nitride can be quickly investigated. Perhaps it too will form nanowires with interesting properties.
REFERENCES


[38] A. K. Kandalam, M. A. Blanco, and R. Pandey, “Theoretical study of Al\textsubscript{n}N\textsubscript{m}, Ga\textsubscript{n}N\textsubscript{m}, and In\textsubscript{n}N\textsubscript{m} (n=4, 5, 6) clusters,” *J. Phys. Chem. B*, vol. 6, no. 8, pp. 1945–1953, 2002. DOI: 10.1021/jp0140062.


APPENDIX A

GALLIUM CLUSTER DATABASE

The following is a list of clusters used to create the Gallium database. The geometries and cluster energies were produced using Guassian™.

Figure A.1: Ga₃ D₃h

Figure A.2: Ga₅ D₅h

Figure A.3: Ga₅ D₄h

Figure A.4: Ga₅ C₂v
Figure A.11: Ga$_7$ Cs

Figure A.12: Ga$_8$ D$_2$h
APPENDIX B
NITROGEN CLUSTER DATABASE

The Nitrogen SCED-LCAO parameters were found by fitting against the following heterogeneous clusters, pairing Nitrogen with Gallium.

Figure B.1: \( \text{Ga}_1\text{N}_3 \text{ C}_2v \text{ b} \)

Figure B.2: \( \text{Ga}_1\text{N}_3 \text{ Pyramidal} \)

Figure B.3: \( \text{Ga}_1\text{N}_3 \text{ C}_\infty \text{ h} \)

Figure B.4: \( \text{Ga}_3\text{N}_1 \text{ C}_\infty \text{ h} \)

Figure B.5: \( \text{Ga}_3\text{N}_1 \text{ D}_3\text{h} \)

Figure B.6: \( \text{Ga}_1\text{N}_4 \text{ C}_\infty \text{ h} \)
Figure B.7: Ga$_2$N$_3$ $C_\infty h$

Figure B.8: Ga$_2$N$_3$ $D_\infty h$

Figure B.9: Ga$_3$N$_2$ $D_\infty h$

Figure B.10: Ga$_4$N$_1$ $C_2v$

Figure B.11: Ga$_4$N$_1$ $C_\infty h$

Figure B.12: Ga$_6$N$_6$ $D_3d$
APPENDIX C

GENERALIZED BISECTION COMPUTER CODE

The Self-Consistency routines were written into the pre-existing structure of the fitting code. The fitting code executes the many fitting loops using a reverse communication technique. Flags are used in the code to determine which parts need to be run. This allows the program to determine optimization controls without knowing the function that is being optimized.

Total Cluster

=================================
Fortran source code subroutines.
Filename: total_cluster.F

Description: <fitting-doc-tag-short> <need-file-description>
Documentation: <fitting-doc-tag-short> <need-doc-description>

Arranged by: Lyle Smith rev. 1 July 1, 2010
rev. 2 Jan. 19, 2011
rev. 2.1 Jan. 31, 2011
rev. 2.2 Mar. 21, 2011 - improved error output.
rev. 2.3 May 24, 2011 - fixed a bug in error output.
rev. 2.3.1 July 12, 2011 - include cheats for all.

There are 2 self-consistency schemes included in this version:
1. the Broyden Method
2. Generalized Bisection (limited to 8 or less degrees of freedom)

It was determined that greatest efficiency was achieved by using the Broyden method. This is true for large systems (5+ DoFs) even when a large amount of charge sloshing occurred. Therefore, the Broyden method is always used initially. If the Broyden method exceeds the maximum number of steps, then the routine will switch to the Generalized Bisection method. Preliminary tests show this to find the root in excess of 99.999\% of systems.

=================================

subroutine total_cluster( E_tot, size_R, charge_config, spin_config,&
elem_R, sites_X_R, Free_R, size_MP, curr_EP, err_tot )

<fitting-doc-tag-begin> <supported-use-block>
!!> use alloc_module
!!> use global_module
!!> use clust_wrap_module
!!> <fitting-doc-tag-end> <supported-use-block>
!!> =============== declarations
!!> ============= arguments
!!> -------- input
!!> <fitting-doc-tag-begin> <unsupported-arg-block>
integer( kind = 4 ) :: old_dec_EIG
integer( kind = 4 ) :: old_dec_HS
integer( kind = 4 ) :: size_R
character( len = length__elem ) :: elem_R( size_R )
real( kind = 8 ) :: sites_X_R( fix__X, size_R )
integer( kind = 4 ) :: spin_config
integer( kind = 4 ) :: charge_config
integer( kind = 4 ) :: Free_R( size_R )
integer( kind = 4 ) :: old_short_R_R( alloc__R, alloc__R )
integer( kind = 4 ) :: size_MP
real( kind = 8 ) :: curr_EP( size_MP )
!!> <fitting-doc-tag-end> <unsupported-arg-block>
!!> -------- output
!!> <fitting-doc-tag-begin> <unsupported-arg-block>
real( kind = 8 ) :: E_tot
integer( kind = 4 ) :: old_size_EIG
real( kind = 8 ) :: old_energy_EIG( alloc__clust_HS )
integer( kind = 4 ) :: old_size_HS
real( kind = 8 ) :: old_C_HS_qHS( alloc__clust_HS, alloc__clust_HS )
character( len = * ) :: err_tot
!!> <fitting-doc-tag-end> <unsupported-arg-block>
!!> ============= local variables
!!> <fitting-doc-tag-begin> <unsupported-local-block>
integer( kind = 4 ), parameter :: MODEL_neutral_SC = 1
integer( kind = 4 ), parameter :: fix_EL = 4
real( kind = 8 ), parameter :: tune_elec_N_change = 1.0E-2_8
real( kind = 8 ), parameter :: tune_elec_N_toler = 1.0E-12_8
integer( kind = 4 ) :: size_RF, size_RF1, i_EIG
real( kind = 8 ) :: X_eval_RF( alloc__R )
real( kind = 8 ) :: G_eval_RF( alloc__R )
real( kind = 8 ) :: X_best_RF( alloc__R )
real( kind = 8 ) :: G_best_RF( alloc__R )
real( kind = 8 ) :: sites_prev_R( fix__X, alloc__R ); save sites_prev_R
integer( kind = 4 ) :: n_eval
integer( kind = 4 ) :: rev_eval
integer( kind = 4 ) :: save_iso ; save save_iso
real( kind = 8 ) :: X_init_RF( alloc__R ) ; save X_init_RF
real( kind = 8 ) :: X_change
real( kind = 8 ) :: X_scale_RF( alloc__R )
real( kind = 8 ) :: G_scale_RF( alloc__R )

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real(kind = 8) :: X_toler
real(kind = 8) :: G_toler
real(kind = 8) :: G_accur
real(kind = 8) :: Ln_this_R(alloc__R)
real(kind = 8) :: Ln_next_R(alloc__R)
real(kind = 8) :: Lz_this_R(alloc__R)
integer(kind = 4) :: act_EIG
real(kind = 8) :: energy_E(alloc__clust_HS)
real(kind = 8) :: occupy_E(alloc__clust_HS)
real(kind = 8) :: E_band
real(kind = 8) :: E_cor
real(kind = 8) :: R_scale
real(kind = 8) :: E_scale
integer(kind = 4) :: flag_SC
integer(kind = 4) :: i_R, i_RF, n_RF, i_M
real(kind = 8) :: X_init, X_scale, G_scale
real(kind = 8) :: E_tract, F_set, G_norm
integer(kind = 4) :: i_R_RF(alloc__R)
integer(kind = 4) :: i_RF_R(alloc__R)
integer(kind = 4) :: flag_free, k_R
real(kind = 8) :: Ln_allbutlast, float_tot
integer(kind = 4) :: int_elec, flag_occ, degen_last
integer(kind = 4) :: get_n_val
real(kind = 8) :: f_int
real(kind = 8) :: f_invert
real(kind = 8) :: f_float_accur, max_SC_steps
integer(kind = 4) :: index_from_nat
integer(kind = 4) :: SC_method, switcher, n_eval_int
integer(kind = 4) :: n_eval_tot ; save n_eval_tot
integer(kind = 4) :: clust_curr ; save clust_curr

old_dec_EIG = 0
old_dec_HS = 0
call int_matrix_set(alloc__R, alloc__R, size_R, size_R, old_short_R_R, 1)
R_scale = global__R_scale
E_scale = global__E_scale
flag_SC = 0
if (MODEL_neutral_SC /= 0) flag_SC = 1
if (charge_config /= 0) flag_SC = 1
n_RF = 0
do i_R = 1, size_R
  flag_free = 1
  do k_R = i_R - 1, 1, -1
    if (Free_R(k_R) == Free_R(i_R)) then
      flag_free = 0
    end if
  end do
  if (flag_free == 1) then
    n_RF = n_RF + 1
  end if
end do
size_RF = n_RF
do i_RF = 1, size_RF
  i_R_RF(i_RF) = -1
end do
float_tot = 0.000_8
degen_last = 0

d = i_R = 1, size_R
i_RF_R( i_R ) = Free_R( i_R )
if ( i_R_RF( i_RF_R( i_R ) ) == -1 ) then
  i_R_RF( i_RF_R( i_R ) ) = i_R
end if
float_tot = float_tot + f_int( get_n_val( elem_R( i_R ) ) )
if ( Free_R( i_R ) == size_RF ) then
  degen_last = degen_last + 1
end if
end do

float_tot = float_tot - f_int( charge_config )
size_RF1 = size_RF - 1
if ( size_RF1 == 0 ) flag_SC = 0
X_init = f_int( fix_EL )
X_change = tune_elec_N_change

if ( wrap__index_iso /= save_iso ) then
  do i_RF = 1, size_RF
    X_init_RF( i_RF ) = f_int( get_n_val( elem_R( i_R_RF( i_RF ) ) ) )
  end do
if ( wrap__index_iso == 82 ) then
  X_init_RF( 1 ) = 3.87721401_8
  X_init_RF( 2 ) = 4.12054316_8
  X_init_RF( 3 ) = 3.89416424_8
  X_init_RF( 4 ) = 3.97334306_8
  X_init_RF( 5 ) = 4.08827692_8
  X_init_RF( 6 ) = 3.6599226_8
endif
if ( wrap__index_iso == 84 ) then
  X_init_RF( 1 ) = 5.23366689_8
endif
if ( wrap__index_iso == 85 ) then
  X_init_RF( 1 ) = 5.26165340_8
  X_init_RF( 2 ) = 3.69281565_8
endif
if ( wrap__index_iso == 87 ) then
  X_init_RF( 1 ) = 5.31224911_8
  X_init_RF( 2 ) = 3.69416810_8
  X_init_RF( 3 ) = 4.03936440_8
endif
if ( wrap__index_iso == 88 ) then
  X_init_RF( 1 ) = 5.46332360_8
  X_init_RF( 2 ) = 3.049098541_8
endif
if ( wrap__index_iso == 89 ) then
  X_init_RF( 1 ) = 5.29908537_8
  X_init_RF( 2 ) = 3.66869170_8
  X_init_RF( 3 ) = 3.93112135_8
endif
if ( wrap__index_iso == 90 ) then
  X_init_RF( 1 ) = 5.06291869_8
  X_init_RF( 2 ) = 4.08676190_8
  X_init_RF( 3 ) = 3.5998425_8
endif
if ( wrap__index_iso == 91 ) then
  X_init_RF( 1 ) = 4.76712786_8
  X_init_RF( 2 ) = 5.26680042_8
  X_init_RF( 3 ) = 4.07296647_8
  X_init_RF( 4 ) = 3.62357902_8
endif
if ( wrap__index_iso == 92 ) then
  X_init_RF( 1 ) = 4.32355135_8

X_init_RF( 2 ) = 3.55442722_8
endif
if (wrap__index_iso == 95 ) then
  X_init_RF( 1 ) = 2.61471199_8
endif
if (wrap__index_iso == 96 ) then
  X_init_RF( 1 ) = 5.17036085_8
endif
if (wrap__index_iso == 97 ) then
  X_init_RF( 1 ) = 5.08522652_8
  X_init_RF( 2 ) = 5.01177907_8
endif
if (wrap__index_iso == 98 ) then
  X_init_RF( 1 ) = 2.73883116_8
endif
if (wrap__index_iso == 99 ) then
  X_init_RF( 1 ) = 2.67278652_8
endif
if (wrap__index_iso == 101 ) then
  X_init_RF( 1 ) = 5.34017854_8
  X_init_RF( 2 ) = 2.65564190_8
endif
if (wrap__index_iso == 102 ) then
  X_init_RF( 1 ) = 2.56369328_8
  X_init_RF( 2 ) = 5.44609954_8
endif
if (wrap__index_iso == 104 ) then
  X_init_RF( 1 ) = 5.34017854_8
  X_init_RF( 3 ) = 3.67571873_8
endif
if (wrap__index_iso == 105 ) then
  X_init_RF( 1 ) = 5.36659982_8
  X_init_RF( 2 ) = 2.71147968_8
  X_init_RF( 3 ) = 4.95702874_8
endif
if (wrap__index_iso == 106 ) then
  X_init_RF( 1 ) = 2.96089655_8
  X_init_RF( 2 ) = 2.78469856_8
endif
if (wrap__index_iso == 109 ) then
  X_init_RF( 1 ) = 5.11887889_8
  X_init_RF( 2 ) = 5.33782679_8
endif
if (wrap__index_iso == 110 ) then
  X_init_RF( 1 ) = 5.49707771_8
  X_init_RF( 2 ) = 2.76778807_8
endif
if (wrap__index_iso == 111 ) then
  X_init_RF( 1 ) = 5.34709904_8
  X_init_RF( 2 ) = 2.63194784_8
endif
if (wrap__index_iso == 112 ) then
  X_init_RF( 1 ) = 5.49707771_8
  X_init_RF( 2 ) = 2.76778807_8
endif
if (wrap__index_iso == 116 ) then
  X_init_RF( 1 ) = 5.11887889_8
  X_init_RF( 2 ) = 5.33782679_8
endif
if (wrap__index_iso == 117 ) then
  X_init_RF( 1 ) = 5.34709904_8
  X_init_RF( 2 ) = 2.63194784_8
endif
if (wrap__index_iso == 118 ) then
  X_init_RF( 1 ) = 5.51914985_8
  X_init_RF( 2 ) = 2.52686358_8
endif
if (wrap__index_iso == 119) then
    X_init_RF(1) = 2.91638028_8
    X_init_RF(2) = 2.78975179_8
endif
if (wrap__index_iso == 120) then
    X_init_RF(1) = 2.55051764_8
    X_init_RF(2) = 5.49216826_8
endif
if (wrap__index_iso == 122) then
    X_init_RF(1) = 2.41893401_8
endif
if (wrap__index_iso == 123) then
    X_init_RF(1) = 2.46083473_8
endif
if (wrap__index_iso == 124) then
    X_init_RF(1) = 2.36275454_8
endif
if (wrap__index_iso == 125) then
    X_init_RF(1) = 2.32790471_8
endif
if (wrap__index_iso == 126) then
    X_init_RF(1) = 4.51277470_8
    X_init_RF(2) = 3.49856210_8
endif
save_iso = wrap__index_iso
endif

X_scale = f_int( fix_EL )
G_scale = tune_elec_N_change * f_int( fix_EL )
do i_RF = 1, size_RF
    X_scale_RF( i_RF ) = f_int( get_n_val( elem_R( i_R_RF( i_RF ) ) ) )
    G_scale_RF(i_RF)=tune_elec_N_change*f_int(get_n_val(elem_R(i_R_RF(i_RF))))
end do

X_toler = tune_elec_N_toler
G_toler = tune_elec_N_toler
G_accur = f_invert( tune_elec_N_change ) * f_float_accur( )
n_eval = 0
n_eval_int = 0
rev_eval = 1
X_change = 0.0_8
sites_prev_R=sites_X_R

!******************** Self Consistency Controls **********************
max_SC_steps = 500*((size_RF1-1)**2)+150
!!!!!!!!!!!!!!!!!!!!!!!!!!! MAIN SC LOOP !!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!
n_eval_int=0
endif
endif
call root_TEST_REVX( size_RF1, X_eval_RF, G_eval_RF, &
X_best_RF, G_best_RF, n_eval_int, rev_eval, err_tot, X_init_RF, &
SC_method, X_scale, G_scale, G_accur )
if ( err_tot(1:1) == '-'' ) then
  err_tot="--Backout: total_cluster >> << root_multi_rev.@@"<cat>TRIM(err_tot)
  write(*,'(A29,I6,A19,I4,A1)') 'Self-consistency error after ',n_eval_int, &
  ' steps on cluster #',wrap__index_iso,'.'
endif
write(*,'(A18)') 'Elem Positions'
do i_R = 1, size_R
  write(*,'(A1,A2,F18.12,F18.12,F18.12)') ' ', elem_R(i_R),&
sites_X_R(1,i_R),sites_X_R(2,i_R),sites_X_R(3,i_R)
end do
return
end if
if ( .NOT. flag_SC /= 0 ) then
  call float_array_set( size_RF1, X_eval_RF, float_tot / size_R )
  rev_eval = 1
  if ( n_eval + 1 > 1 ) rev_eval = 0
end if
if ( rev_eval /= 0 ) then
  Ln_allbutlast = 0.000_8
  do i_R = 1, size_R
    if ( i_RF_R( i_R ) /= size_RF ) then
      Ln_this_R( i_R ) = X_eval_RF( i_RF_R( i_R ) )
      Ln_allbutlast = Ln_allbutlast + Ln_this_R( i_R )
    end if
  end do
  do i_R = 1, size_R
    Ln_this_R( i_R ) = ( float_tot - Ln_allbutlast ) / degen_last
  end do
  do i_R = 1, size_R
    Lz_this_R( i_R ) = f_int( get_n_val( elem_R( i_R ) ) )
  end do
  call model_eig_clust( alloc__clust_HS, act_EIG, energy_E, old_dec_HS, &
old_size_HS, old_C_HS_qHS, size_R, elem_R, sites_X_R, &
charge_config, Free_R, alloc__R, old_short_R_R, size_MP, &
curr_EP, err_tot, n_eval, Ln_next_R, Ln_this_R, Lz_this_R )
  if ( err_tot(1:1) == '-' ) then
    write(*,* ) "err_eig", err_tot
    write( *, * ) "err_eig", err_tot
    err_tot="--Backout: total_cluster >> << model_eig_clust.@@"<cat>TRIM(err_tot)
  return
end if
int_elec = 0
do i_R = 1, size_R
  int_elec = int_elec + get_n_val( elem_R( i_R ) )
end do
int_elec = int_elec - charge_config
flag_occ = 1
if ( int_elec <= 2 ) then
  do i_EIG = 1, act_EIG
    occupy_E( i_EIG ) = 0.000_8
  end do
  occupy_E( 1 ) = int_elec
  flag_occ = 0
end if
if ( int_elec >= 2 * ( act_EIG - 1 ) ) then
  do i_EIG = 1, act_EIG
    occupy_E( i_EIG ) = 2.000_8
  end do
occupy_E(act_EIG) = int_elec - 2 * (act_EIG - 1)
flag_occ = 0
end if
if (flag_occ == 1) then
call occ_clust_front(act_EIG, occupy_E, energy_E, size_R, elem_R,&
charge_config, E_scale, err_tot)
if (err_tot(1:1) == '-') then
write(*,*) "err_occ"
err_tot = "--Backout: total_cluster >> << occ_clust_front.@@
return
end if
do i_RF = 1, size_RF
G_eval_RF(i_RF) = Ln_next_R(i_R_RF(i_RF)) - Ln_this_R(i_R_RF(i_RF))
end do
n_eval = n_eval + 1
n_eval_int = n_eval_int + 1
n_eval_tot = n_eval_tot + 1
end if
!!!!!!!!!!!!!!! End of Main SC Loop !!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!
!if (clust_curr .NE. wrap_index_iso) then
! write(*,*) 'SC finished on cluster #', wrap_index_iso
! write(*,*) 'Used ',n_eval_int, ' steps for a total of ',n_eval_tot, ' steps.'
! do i_RF = 1, size_RF1
! write(*,'(F12.8)') X_eval_RF(i_RF)
! end do
! if (wrap_index_iso == 2) Pause
! clust_curr = wrap_index_iso
!endif

X_init_RF=X_eval_RF
call sum_A_A(E_tract, act_EIG, occupy_E, energy_E)
E_band = E_tract / f_int(size_R)
call cor_cluster(E_cor, size_R, elem_R, sites_X_R, alloc_R, old_short_R_R,&
size_MP, curr_EP, err_tot, Ln_this_R, Lz_this_R)
if (err_tot(1:1) == '-') then
write(*,*) "err_cor"
err_tot = "--Backout: total_cluster >> << cor_cluster.@@" <cat>TRIM(err_tot)
return
end if
E_tot = E_band + E_cor
if (old_dec_EIG /= 0) then
call check_index(index_from_nat(act_EIG),old_dec_EIG,"act_EIG",&
"total_cluster")
call float_array_copy(act_EIG, old_energy_EIG, energy_E)
old_size_EIG = act_EIG
end if
!if (size_RF1 > 0) PAUSE
Root Multi

Fortran source code subroutines.
Filename: root_multi.F

Description: <SC routines> <need-file-description>

Documentation: <fitting-doc-tag-short> <need-doc-description>

Arranged by: Lyle Smith rev. 1 July 1, 2010
rev. 2 Jan. 19, 2010
rev. 2.2 Mar. 21, 2011 - replace STOP with RETURN
rev. 2.3 May 24, 2011 - fixed a bug in error output.
rev. 2.3.1 July 12, 2011 - now runs on the CRC.

There are 2 self-consistency schemes included in this version:
1. the Broyden Method
2. Generalized Bisection (limited to 8 or less degrees of freedom)
Which method is used is controlled by the variable 'SC_method',
with 1 for Broyden and 2 for Bisection.
rev. 2 implements the bisection method up to 8 dimensions. Higher
dimensions can be solved by increasing the size of the storage
matrices.

There are 2 self-consistency schemes included in this version:

subroutine root_TEST_REVX( ord_M, X_eval_M, G_eval_M, X_best_M,&
G_best_M,n_eval,continue_eval, err_root, X_init_M,&
SC_method,X_scale, G_scale, G_accur)
use global_module
subroutine root_TEST_REVX( ord_M, X_eval_M, G_eval_M, X_best_M,&
G_best_M,n_eval,continue_eval, err_root, X_init_M,&
SC_method,X_scale, G_scale, G_accur)

IMPLICIT NONE

integer( kind = 4 ) :: ord_M
real( kind = 8 ) :: G_eval_M( ord_M )
integer( kind = 4 ) :: n_eval
real( kind = 8 ) :: X_init_M( ord_M )
integer( kind = 4 ) :: SC_method
real( kind = 8 ) :: X_scale
real( kind = 8 ) :: G_scale
real( kind = 8 ) :: G_accur

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real( kind = 8 ) :: X_eval_M( ord_M )
real( kind = 8 ) :: X_best_M( ord_M )
real( kind = 8 ) :: G_best_M( ord_M )
integer( kind = 4 ) :: continue_eval
character( len = * ) :: err_root

integer( kind = 4 ), parameter :: alloc_M = 20
integer( kind = 4 ), parameter :: SPEC_done_Jac = 2
integer( kind = 4 ), parameter :: SPEC_done_Rone = 3
integer( kind = 4 ), parameter :: SPEC_done_dir = 4
integer( kind = 4 ), parameter :: SPEC_done_fwd = 3
integer( kind = 4 ), parameter :: SPEC_done_init = 2
integer( kind = 4 ), parameter :: SPEC_done_none = 1
integer( kind = 4 ), parameter :: SPEC_done_opt = 5
integer( kind = 4 ), parameter :: SPEC_done_rev = 4
integer( kind = 4 ), parameter :: SPEC_need_Jac = 1
integer( kind = 4 ), parameter :: SPEC_need_Rone = 2
integer( kind = 4 ), parameter :: SPEC_need_dir = 3
integer( kind = 4 ), parameter :: SPEC_need_fwd = 2
integer( kind = 4 ), parameter :: SPEC_need_init = 1
integer( kind = 4 ), parameter :: SPEC_need_opt = 4
integer( kind = 4 ), parameter :: SPEC_need_rev = 3
integer( kind = 4 ), parameter :: SPEC_need_inbx = 1
integer( kind = 4 ), parameter :: SPEC_need_main = 2
integer( kind = 4 ), parameter :: SPEC_need_relx = 3
integer( kind = 4 ), parameter :: SPEC_need_diag = 4
integer( kind = 4 ), parameter :: SPEC_need_side = 5
integer( kind = 4 ), parameter :: SPEC_done_inbx = 1
integer( kind = 4 ), parameter :: SPEC_done_main = 2
integer( kind = 4 ), parameter :: SPEC_done_relx = 3
integer( kind = 4 ), parameter :: SPEC_done_diag = 4
integer( kind = 4 ), parameter :: SPEC_done_side = 5
integer( kind = 4 ), parameter :: alloc_M = 20
integer( kind = 4 ), parameter :: alloc_M = 20
real( kind = 8 ) :: J_calc_M_M( alloc_M, alloc_M ) ; save J_calc_M_M
real( kind = 8 ) :: J_vtile_M_M( alloc_M, alloc_M ) ; save J_vtile_M_M
real( kind = 8 ) :: J_vttwo_M_M( alloc_M, alloc_M ) ; save J_vttwo_M_M
real( kind = 8 ) :: X_Jac_M( alloc_M ) ; save X_Jac_M
real( kind = 8 ) :: G_Jac_M( alloc_M ) ; save G_Jac_M
real( kind = 8 ) :: X_dir_M( alloc_M ) ; save X_dir_M
real( kind = 8 ) :: X_opt_M( alloc_M ) ; save X_opt_M
real( kind = 8 ) :: XG_vtile_M( alloc_M ) ; save XG_vtile_M
real( kind = 8 ) :: XG_vttwo_M( alloc_M ) ; save XG_vttwo_M
real( kind = 8 ) :: X_delta_M( alloc_M ) ; save X_delta_M
real( kind = 8 ) :: G_delta_M( alloc_M ) ; save G_delta_M
real( kind = 8 ) :: X_prev_M( alloc_M ) ; save X_prev_M
real( kind = 8 ) :: G_prev_M( alloc_M ) ; save G_prev_M
real( kind = 8 ) :: G_best ; save G_best
real( kind = 8 ) :: G_Jac ; save G_Jac
real( kind = 8 ) :: G_eval ; save G_eval
real( kind = 8 ) :: P_eval ; save P_eval
real( kind = 8 ) :: P_opt, G_opt ; save P_opt, G_opt
real( kind = 8 ) :: P_init ; save P_init
real( kind = 8 ) :: P_change ; save P_change
real( kind = 8 ) :: P_scale ; save P_scale
real( kind = 8 ) :: Jac_scale ; save Jac_scale
real( kind = 8 ) :: P_toler ; save P_toler
real( kind = 8 ) :: X_left ; save X_left
real( kind = 8 ) :: X_right ; save X_right
real( kind = 8 ) :: G_left ; save G_left
real( kind = 8 ) :: G_right ; save G_right
real( kind = 8 ) :: X_corners( 256, 8 ) ; save X_corners
real( kind = 8 ) :: G_corners( 256, 8 ) ; save G_corners
integer( kind = 4 ) :: M_corners( 256, 8 ) ; save M_corners
integer( kind = 4 ) :: Ord_corners( 1024, 2 ) ; save Ord_corners
integer( kind = 4 ) :: Ord_diag( 128, 2 ) ; save Ord_diag
integer( kind = 4 ) :: init_corner ; save init_corner
integer( kind = 4 ) :: bigger_box ; save bigger_box
integer( kind = 4 ) :: loop_Rone ; save loop_Rone
integer( kind = 4 ) :: point_Rone ; save point_Rone
integer( kind = 4 ) :: cor_match ; save cor_match
integer( kind = 4 ) :: Ord_curr ; save Ord_curr
integer( kind = 4 ) :: tot_SC_num ; save tot_SC_num
integer( kind = 4 ) :: main_loop_number ; save main_loop_number
integer( kind = 4 ) :: relx_loop_number ; save relx_loop_number
integer( kind = 4 ) :: diag_loop_number ; save diag_loop_number
integer( kind = 4 ) :: i_M,j_M,k_M,i_dist,Ord_min_diag,Ord_max_diag
integer( kind = 4 ) :: t_M,m_M,good_corner,left_corner,right_corner
integer( kind = 4 ) :: Ord_next, i_Ord, max_SC_steps
real( kind = 8 ) :: G_norm, F_scale, MaxStepSize, JacScale
real( kind = 8 ) :: X_dist( ord_M*2**(ord_M-1) )
real( kind = 8 ) :: X_diag( 2**(ord_M-1) )
integer( kind = 4 ) :: Perm_M( alloc_M )
integer( kind = 4 ) :: LWORK
integer( kind = 4 ) :: WORK ( ord_M*5 )
integer( kind = 4 ) :: errc_DGESV
integer( kind = 4 ) :: errc_DGETRI
integer( kind = 4 ) :: errc_DGETRF
integer( kind = 4 ) :: query_backout
integer( kind = 4 ) :: deb
real( kind = 8 ) :: f_int
real( kind = 8 ) :: f_frac
real( kind = 8 ) :: f_sqrt_f
real( kind = 8 ) :: f_float_accur
real( kind = 8 ) :: SC_min_val, SC_max_val,G_toler
real(kind = 8) :: X_norm, X_relax
real(kind = 8) :: X_eval_temp( ord_M )

***Initialize Variables to prevent NSLEF***********

***** Output Variables *****
G_best_M( ord_M ) = 0.0_8
continue_eval = 0
err_root = '0'

***** Saved Local Variables *****
if ( n_eval == 0 ) then
	 tot_SC_num = tot_SC_num + 1
	 spec_done = SPEC_done_none ; spec_need = SPEC_need_Jac
	 n_Jac = 0 ; n_opt = 0 ; n_Rone = 0 ; n_Rone_reset = 7
	 flag_Rone = 0 ; flag_prev = 0
	 n_steps = 0 ; M_corners=0 ; Ord_corners=0
	 continue_Jac = 1 ; continue_opt = 1
	 Ord_diag = 0 ; init_corner = 0 ; bigger_box = 0
	 loop_Rone = 0 ; point_Rone = 0 ; cor_match = 0
	 Ord_curr = 0 ; deb = 0 ; diag_loop_number = 0

main_loop_number = 0 ; relax_loop_number = 0
end if

***** Unsaved Local Variables *****
Perm_M = 0 ; WORK = 0
i_M = 0 ; j_M = 0 ; k_M = 0 ; t_M = 0 ; m_M = 0
i_dist = 0 ; i_Ord = 0 ; LWORK = 0
Ord_min_diag = 0 ; Ord_max_diag = 0 ; Ord_next = 0
good_corner = 0 ; left_corner = 0 ; right_corner = 0
errc_DGESV = 0 ; errc_DGETRI = 0 ; errc_DGETRF = 0
query_backout = 0 ; deb = 0 ; max_SC_steps = 0
X_dist = 0.0_8 ; X_diag = 0.0_8 ; X_eval_temp = 0.0_8
G_norm = 0.0_8 ; F_scale = 0.0_8 ; MaxStepSize = 0.0_8
JacScale = 0.0_8
SC_min_val = 0.0_8 ; SC_max_val = 0.0_8
X_norm = 0.0_8 ; X_relax = 0.0_8

All Variables Initialized **********

******** Self Consistency Controls **********
max_SC_steps = 500*((ord_M-1)**2)+700
G_tol = 8.0_8 ! accuracy = 1/(10^G_toler)
deb = 0 ! set to 1 for verbose output.
SC_min_val = -1.0_8 ! starting boundary for bisection box
SC_max_val = 16.0_8 ! starting boundary for bisection box
! minimum number of electrons on an atom.
! maximum number of electrons on an atom.

!****************************************************************
!if (n_eval >= 885 .AND. tot_SC_num==22 ) deb=1
if ( n_eval + 1 > max_SC_steps ) then
G_norm = 0.0_8
do i_M=1,ord_M
   G_norm = G_norm + (1/(1.0_8*ord_M))*G_eval_M(i_M)**2
enddo
write(*,*)'SC fail on cluster ',tot_SC_num,' with G_norm = ',G_norm
call term_string_void( "ERR_TEST_steps"
err_root = "--Backout: root_TEST_REVX >> << n_steps."<<n_steps.<<"TRIM(err_root)
return
end if
!if (tot_SC_num==4602) deb =1
!****************** One-dimensional Bisection *******************
if ( SC_method == 2 .AND. ord_M == 1 ) then
if ( n_eval >= 1 ) then
   if (G_left*G_eval_M(1) > 0 )then
      X_left = X_eval_M(1)
      X_eval_M(1) = X_eval_M(1) + 0.05
   elseif (G_left*G_eval_M(1) < 0 ) then
      X_right = X_eval_M(1)
      X_eval_M(1) = X_eval_M(1) - 0.05
   else
      X_right = X_eval_M(1) + 0.05
      X_left = X_eval_M(1) - 0.05
   endif
else
   X_left = X_eval_M(1)
endif
G_norm = G_eval_M(1)**2
if ( n_eval > 0 ) then
   continue_eval = 1
   if ( G_norm < 10**(-2 * G_toler ) ) then
      continue_eval = 0
   endif
endif
end if
!****************** N-dimensional Bisection *********************
elseif ( SC_method == 2 .AND. ord_M > 1 ) then
if ( n_eval == 0 ) then !initial setup
   if (deb==1) write(*,*)'X_corners Matrix = '
do j_M=1,2**ord_M
      do i_M=1,ord_M
         M_corners(j_M,i_M)=(-1)**((j_M-1)/(2**(ord_M-i_M))+1)
      enddo
   enddo
   if(M_corners(j_M,i_M)<0) then
      X_corners(j_M,i_M)=SC_min_val
      G_corners(j_M,i_M)=-1.0_8 * SC_max_val
   else
      X_corners(j_M,i_M)=SC_max_val
      G_corners(j_M,i_M)=SC_max_val
endif
enddo
! if (deb==1) write(*,'(F9.5,F9.5,F9.5,F9.5)') X_corners(j_M,1),&
  X_corners(j_M,2),X_corners(j_M,3),X_corners(j_M,4)
enddo
! if (deb==1) then
! write(*,*)'M_corners Matrix = '
! do j_M=1,2**ord_M
! write(*,'(I5,I5,I5,I5)') M_corners(j_M,1),M_corners(j_M,2), &
! M_corners(j_M,3),M_corners(j_M,4)
! enddo! write(*,*)'Ord_corners Matrix = '
!endif
i_M=0
do j_M=1,ord_M
do t_M=1,(2**j_M)-1,2
do m_M=1,2**(ord_M-j_M)
i_M=i_M+1
Ord_corners(i_M,1)=(t_M-1)*(2**(ord_M-j_M))+m_M
Ord_corners(i_M,2)=Ord_corners(i_M,1)+(2**(ord_M-j_M))
!if (deb==1) write(*,'(I4.1,I4.1)') Ord_corners(i_M,1),&
! Ord_corners(i_M,2)
enddoenddo
!if (deb==1) write(*,*)'Ord_diag Matrix = '
do j_M=1,2**(ord_M-1)
Ord_diag(j_M,1)=j_M
Ord_diag(j_M,2)=(2**ord_M)+1-j_M
!if (deb==1) write(*,'(I4.1,I4.1)') Ord_diag(j_M,1),Ord_diag(j_M,2)
enddo
Ord_curr = 0 ; Ord_next = 1 ; main_loop_number = 0 ; loop_Rone = 2
cor_match = 0 ; spec_need = SPEC_need_inbx ; spec_done = 0
relx_loop_number = 0 ; diag_loop_number = 0
Ord_min_diag=0;Ord_max_diag=0
init_corner = 1; good_corner = 0
bigger_box = 0
X_dist = 100.0_8
do i_M=1,ord_M
  X_eval_M(i_M) = X_init_M(i_M) - 0.00001_8*M_corners(1,i_M)
enddoendif !end of initial setup
if ( n_eval > 0 ) then
!if (spec_need /= SPEC_need_inbx .AND. deb==1) then ! write data
  ! PAUSE
  ! write(*,*),'n_eval = ',n_eval
  ! write(*,'(A15,F15.11,F15.11,F15.11)')'prev X_eval_M = ', X_eval_M
  ! write(*,'(A15,F15.11,F15.11,F15.11)') G_eval_M = ', G_eval_M
  ! write(*,'(A12,F9.5,F9.5,F9.5)')'X_corners = ',X_corners(1,1),&
  ! X_corners(1,2),X_corners(1,3)
  ! do i_M=2,2**ord_M
  ! write(*,'(A12,F9.5,F9.5,F9.5)') ','X_corners(i_M,1),&
  ! X_corners(i_M,2),X_corners(i_M,3)
  ! enddo
  !write(*,'(A12,F9.5,F9.5,F9.5)') G_corners = ', G_corners(1,1), &
  ! G_corners(1,2),G_corners(1,3),G_corners(1,4)
  !do i_M=2,2**ord_M
  ! write(*,'(A12,F9.5,F9.5,F9.5)') ','G_corners(i_M,1), &
  ! G_corners(i_M,2),G_corners(i_M,3),G_corners(i_M,4)
  !enddo!
endif ! end of write data
if ( spec_need == SPEC_need_inbx ) then ! initial box setup
  ! Test corner against M matrix
  ! if (deb==1) write(*,'(A12,F9.5,F9.5,F9.5)') 'X_eval_M = ',X_eval_M(1),&
! X_eval_M(2),X_eval_M(3)
!if (deb==1) write(*,'(A12,F9.5,F9.5,F9.5)') 'G_eval_M = ',G_eval_M(1),&
! G_eval_M(2),G_eval_M(3)
!if (deb==1) write(*,'(A12,I5,I5,I5)') 'M_corners = ', &
! M_corners(init_corner,1),M_corners(init_corner,2),&
! M_corners(init_corner,3)
good_corner=0
do i_M=1,ord_M
  if (G_eval_M(i_M)*M_corners(init_corner,i_M)>0)good_corner=good_corner+1
enddo
if (good_corner == ord_M ) then
  do i_M=1,ord_M
    X_corners(init_corner,i_M) = X_eval_M(i_M)
    G_corners(init_corner,i_M) = G_eval_M(i_M)
  enddo
  init_corner = init_corner + 1
!bigger_box = 0 !optimize each corner separately.
else
  bigger_box = bigger_box + 1
endif
do i_M=1,ord_M
  if (bigger_box < 6 ) then
    X_eval_M(i_M) = X_init_M(i_M)&
    -(10**(bigger_box))*0.00001_8*M_corners(init_corner,i_M)
  elseif(bigger_box == 6) then
    X_eval_M(i_M) = X_init_M(i_M)-5.0_8*M_corners(init_corner,i_M)
  elseif(bigger_box == 7) then
    X_eval_M(i_M) = X_init_M(i_M)-10.0_8*M_corners(init_corner,i_M)
  elseif(bigger_box > 7 ) then
    if (M_corners(init_corner,i_M) <0) then
      X_eval_M(i_M) = SC_max_val
    else
      X_eval_M(i_M) = SC_min_val
    endif
  endif
enddo
if ( bigger_box > 8 ) then
  write(*,*)'Initial box is not big enough.'
  continue_eval = 0
  return
endif
if ( init_corner > 2**ord_M ) then ! initial box setup is complete
  spec_done = SPEC_done_inbx
  Ord_curr = 1
  X_eval_M = 0.5_8*( X_corners(1,:) + X_corners(5,:) ) ! First bisection
  !if (deb==1) then
  !  write(*,*)'steps used for initial box = ',bigger_box,n_eval
  !  write(*,'(A12,F9.5,F9.5,F9.5,F9.5)') 'X_corners = ', X_corners(1,1), &
  !  X_corners(1,2),X_corners(1,3),X_corners(1,4)
  !  do i_M=2,2**ord_M
  !    write(*,'(A12,F9.5,F9.5,F9.5,F9.5)') ',X_corners(i_M,1), &
  !    X_corners(i_M,2),X_corners(i_M,3),X_corners(i_M,4)
  !  enddo
  !  write(*,'(A13,I7)') ' spec_need = ', spec_need
  !  write(*,'(A13,I7)') ' spec_done = ', spec_done
  !endif
  !endif ! initial box setup
! Test box to determine next X_eval_M
if ( spec_need > 1 ) then
  !if (deb == 1) then
  !  write(*,*)'Test current bisection point.'
  !  write(*,*)'Ord_curr = ',Ord_curr
  !do j_M=1,ord_M*(ord_M-1)
  !  write(*,'(I4.1,I4.1)') Ord_corners(j_M,1),Ord_corners(j_M,2)
!enddo !write(*,*)'Current corners', Ord_corners(Ord_curr,1),Ord_corners(Ord_curr,2) !write(*,'(A12,I9,I9,I9)') 'M_corner(1)=',& M_corners(Ord_corners(Ord_curr,1),1), M_corners(Ord_corners(Ord_curr,1),2), M_corners(Ord_corners(Ord_curr,1),3) !write(*,'(A12,I9,I9,I9)') 'M_corner(2)=',& M_corners(Ord_corners(Ord_curr,2),1), M_corners(Ord_corners(Ord_curr,2),2), M_corners(Ord_corners(Ord_curr,2),3) !write(*,'(A12,F9.3,F9.3,F9.3)') 'G_eval_M = ', & G_eval_M(1),G_eval_M(2),G_eval_M(3) !endif good_corner=0; left_corner = 0 do i_M=1,ord_M if(G_eval_M(i_M)*M_corners(Ord_corners(Ord_curr,1),i_M)>0)& left_corner=left_corner+1 if(G_eval_M(i_M)*M_corners(Ord_corners(Ord_curr,2),i_M)>0)& right_corner=right_corner+1 enddo if (left_corner == ord_M ) then !************** Signs match first corner in Ord_corners matrix ************** !if( deb==1 ) write(*,*)'Signs match first corner in Ord_corners matrix' cor_match = Ord_corners(Ord_curr,1) X_corners(Ord_corners(Ord_curr,1),:) = X_eval_M G_corners(Ord_corners(Ord_curr,1),:) = G_eval_M spec_need = SPEC_need_main elseif (right_corner == ord_M) then !************** Signs match second corner in Ord_corners matrix ************** !if( deb==1 ) write(*,*)'Signs match second corner in Ord_corners matrix' X_corners(Ord_corners(Ord_curr,2),:) = X_eval_M G_corners(Ord_corners(Ord_curr,2),:) = G_eval_M cor_match = Ord_corners(Ord_curr,2) spec_need = SPEC_need_main else !************** No sign match - relax needed. ************** !if( deb==1 ) write(*,*)'No sign match - relax needed.' spec_need = SPEC_need_relx if (spec_done /= SPEC_done_relx) relx_loop_number = 0 endif do i_dist=1,ord_M*2**(ord_M-1) X_dist(i_dist)=(X_corners(Ord_corners(i_dist,1),1)& -X_corners(Ord_corners(i_dist,2),1))**2& +(X_corners(Ord_corners(i_dist,1),2)& -X_corners(Ord_corners(i_dist,2),2))**2 enddo do i_dist=1,2**(ord_M-1) X_diag(i_dist)=(X_corners(Ord_diag(i_dist,1),1)& -X_corners(Ord_diag(i_dist,2),1))**2& +X_corners(Ord_diag(i_dist,1),2) & -X_corners(Ord_diag(i_dist,2),2))**2 !X_diag(i_dist)=SQRT( X_diag(i_dist)) enddo !if (maxval(X_diag)/minval(X_diag) > 7 ) then ! !spec_need = SPEC_need_diag ! diagonal fix routine currently off ! ! if (spec_done /= SPEC_done_diag) diag_loop_number = 0 !endif !if( deb==1 ) then ! write(*,*)'Distance Ratio = ',maxval(X_dist)/minval(X_dist) ! write(*,*)'Distance Matrix = ' ! write(*,'(F19.15,F19.15,F19.15,F19.15)') & ! X_dist(1),X_dist(2),X_dist(3),X_dist(4) ! write(*,'(A19,F19.15,F19.15)') ' ',X_diag(1),X_diag(2) ! write(*,*)'X_corners = ', X_corners(1,:) !enddo
! write(*,*) ', X_corners(2,:)'
! write(*,*) ', X_corners(3,:)'
! write(*,*) ', X_corners(4,:)
! write(*,'(A13,I7)') ' spec_need = ', spec_need
! write(*,'(A13,I7)') ' spec_done = ', spec_done
! PAUSE
! endif
endif

if ( spec_need == SPEC_need_main ) then
! if( deb==1 ) write(*,*)'Entering main subroutine.'
main_loop_number = main_loop_number + 1
Ord_next = mod(main_loop_number,ord_M*2**(ord_M-1)) + 1
! if( deb==1 ) write(*,*)'Main Loop Number = ',main_loop_number
! if( deb==1 ) write(*,*)'Ord_next = ',Ord_next
do while ( maxval(X_dist)/X_dist(Ord_next) > 50 )
! if( deb==1 ) write(*,*)'Skipping simplex #',Ord_next
main_loop_number = main_loop_number + 1
Ord_next = mod(main_loop_number,ord_M*2**(ord_M-1)) + 1
! endif
enddo
Ord_curr = Ord_next
X_eval_M = 0.5_8*(X_corners(Ord_corners(Ord_next,1,:)&
+X_corners(Ord_corners(Ord_next,2,:)))
! if( deb==1 ) then
! write(*,'(A30,I7,I7,I7)') ' n_eval, Ord_curr, Corner # = ', n_eval,Ord_curr,main_loop_number
! endif
G_eval_M = ', G_eval_M
! write(*,'(A15,F9.5,F9.5,F9.5)')'next X_eval_M = ', X_eval_M
! endif
spec_done = SPEC_done_main
endif

if ( spec_need == SPEC_need_relx ) then
! if( deb==1 ) write(*,*)'Entering relaxation subroutine.'
! if(relx_loop_number==0)then !find reflection point on first relax only.
! if( deb==1 ) write(*,*)'Finding new reflection point.'
do i_Ord=1,2**ord_M
left_corner =0
do i_M=1,ord_M
if (G_eval_M(i_M)*M_corners(i_Ord,i_M)>0) left_corner =left_corner+1
enddo
if (left_corner == ord_M) then
point_Rone = i_Ord
endif
loop_Rone = loop_Rone + 1
X_relax = 0.5_8
relx_loop_number = relx_loop_number + 1
! if( deb==1 ) then
! write(*,'(A15,F9.5,F9.5,F9.5)')'Reflection point = ',point_Rone
! write(*,*)'X_relax = ', X_relax
! write(*,*)'relx_loop_number = ', relx_loop_number
! endif
X_eval_M = X_eval_M + X_relax*(X_eval_M - X_corners(point_Rone,:))
spec_done = SPEC_done_relx
if (relx_loop_number > 7 ) then !skip relax; go to next simplex
main_loop_number = main_loop_number + 1
Ord_next = mod(main_loop_number,ord_M*2**(ord_M-1)) + 1
Ord_curr = Ord_next
X_eval_M = 0.5_8*(X_corners(Ord_corners(Ord_next,1,:)&
+X_corners(Ord_corners(Ord_next,2,:)))
spec_done = SPEC_done_main
! if( deb==1 ) write(*,*)'Skipping simplex #',Ord_curr,'. Bad relax.'
G_norm = 0.0_8
do i_M=1,ord_M
    G_norm = G_norm + (1/(1.0_8*ord_M))*G_eval_M(i_M)**2 !
endo
X_norm = 0.0_8
do i_M=1,2**(ord_M-1)
    X_norm = (1/2**(1.0_8*ord_M-1))* &
    (X_corners(Ord_diag(i_M,1),1)-X_corners(Ord_diag(i_M,2),1))**2 &
    + (X_corners(Ord_diag(i_M,1),2) &
    -X_corners(Ord_diag(i_M,2),2))**2)
endo
!if(spec_need/=SPEC_need_inbx .AND. deb==1)write(*,*)'G_norm,X_norm = ',&
G_norm, X_norm
if ( spec_done == SPEC_done_inbx ) spec_need = SPEC_need_main
if ( spec_done == SPEC_done_main ) spec_need = SPEC_need_main
! if ( spec_done == SPEC_done_relx ) spec_need = SPEC_need_main
! if ( spec_done == SPEC_done_side ) spec_need = SPEC_need_main
endif ! n_eval > 0 block
!if (deb == 1 ) then
! write (*,*) X_init_M(1)
! write(*,'(A22,I7,I7,I7)') ' n_eval, Ord_curr, Corner # = ', n_eval,&
! Ord_curr,main_loop_number
! write(*,'(A22,I7,I7,I7)') ' X_eval_M = ', X_eval_temp
! write(*,'(A22,I7,I7,I7)') ' G_eval_M = ', G_eval_M
! write(*,'(A22,I7,I7,I7)') ' X_corners = ', X_corners(1,:)
! write(*,'(A22,I7,I7,I7)') ' , X_corners(2,:)
! write(*,'(A22,I7,I7,I7)') ' , X_corners(3,:)
! write(*,'(A22,I7,I7,I7)') ' , X_corners(4,:)
! write(*,'(A22,I7,I7,I7)') ' next X_eval_M = ', X_eval_M
! write(*,'(A22,I7,I7,I7)') ' n_eval,G_norm,X_norm
! write(*,'(A22,I7,I7,I7)') 'Distance Matrix = ' 
! write(*,'(F18.15,F18.15,F18.15,F18.15)') X_dist(1),X_dist(2),&
! X_dist(3),X_dist(4)
! write(*,'(A18,F18.15,F18.15)') ' ,X_diag(1),X_diag(2)
! write(*,'(A18,F18.15,F18.15)') 'Distance Ratio = ',maxval(X_dist)/minval(X_dist)
! PAUSE
!endif
if ( n_eval > 0 ) then
    continue_eval = 1
    if ( G_norm < 10**(-2 * G_toler ) ) then
        X_eval_M = X_eval_temp
        continue_eval = 0
    endif
!PAUSE
end if
elseif ( SC_method == 1 ) then ! Broyden ************************************************
!******************************************************************************
if ( n_eval == 1 ) then
    call float_array_norm( G_norm, ord_M, G_eval_M, 'yes-mean' )
    G_best = G_norm
    call float_array_copy( ord_M, X_best_M, X_eval_M )
call float_array_copy( ord_M, G_best_M, G_eval_M )
call float_array_copy( ord_M, G_prev_M, G_eval_M )
end if
if ( n_eval > 1 ) then
    call float_array_norm( G_norm, ord_M, G_eval_M, 'yes-mean' )
    if ( G_norm < G_best ) then
G_best = G_norm
    call float_array_copy( ord_M, X_best_M, X_eval_M )
    call float_array_copy( ord_M, G_best_M, G_eval_M )
end if
end if
if ( spec_need == SPEC_need_Jac ) then
    call float_array_copy( ord_M, X_Jac_M, X_opt_M )
    call Jac_double_REVX(alloc_M,ord_M,X_eval_M,G_eval_M,J_calc_M_M,n_Jac, &
        continue_Jac, G_Jac_M, X_Jac_M, Jac_scale, G_accur )
    n_Jac = n_Jac + 1
    if ( .NOT. continue_Jac /= 0 ) then
        n_Jac = 0
        spec_done = SPEC_done_Jac ; spec_need = SPEC_need_dir
    end if
end if
if ( spec_need == SPEC_need_dir ) then
    call float_matrix_copy(alloc_M,alloc_M,ord_M,ord_M,J_vtile_M_M,J_calc_M_M)
    call float_array_copy( ord_M, XG_vtile_M, G_Jac_M )
    call DGESV( &ord_M, 1, &
        J_vtile_M_M, alloc_M, &
        Perm_M, &
        XG_vtile_M, alloc_M, &
        errc_DGESV )
    if ( errc_DGESV /= 0 ) then
        err_root = "--Backout: root_TEST_REVX >> << DGESV.@@" <cat> TRIM( err_root )
        call term_string_void( "ERR_TEST_DGESV" )
        Print*, "Jacobian is singular:"
        return
    end if
    LWORK =5*ord_M
    call DGETRI( ord_M, &
        J_vtile_M_M, alloc_M, Perm_M, &
        WORK, LWORK, &
        errc_DGETRI )
    if ( errc_DGETRI /= 0 ) then
        err_root = "--Backout: root_TEST_REVX >> << DGETRI.@@" <cat> TRIM( err_root )
        call term_string_void( "ERR_TEST_DGETRI" )
        return
    end if
    call float_matrix_copy(alloc_M,alloc_M,ord_M,ord_M,J_calc_M_M,J_vtile_M_M)
    call float_array_copy( ord_M, X_dir_M, XG_vtile_M )
    F_scale = - f_int( 1 )
    call float_array_scale( ord_M, X_dir_M, F_scale )
    spec_done = SPEC_done_dir ; spec_need = SPEC_need_opt
end if
if ( spec_need == SPEC_need_opt ) then
    P_init = global__float_zero
    P_change = f_int( 1 )
    P_scale = f_int( 1 )
    if ( G_norm < 1.0E-9_8 ) P_scale = 0.1d0
    P_toler = f_sqrt_f( f_float_accur( ) )
    G_toler = f_float_accur( )
    call sum_A_A( G_Jac, ord_M, G_Jac_M, G_Jac_M )
    G_Jac = f_frac( 1, 2 ) * G_Jac
    if ( n_opt > 0 ) then
        call sum_A_A( G_eval, ord_M, G_eval_M, G_eval_M )
        G_eval = f_frac( 1, 2 ) * G_eval
    end if
end if
if ( spec_need == SPEC_need_opt ) then
    call opt_Nash_REVX( P_eval, G_eval, P_opt, G_opt, n_opt, continue_opt,&
err_root, P_init, P_change, P_scale, G_scale, P_toler, &
G_toler )
if ( err_root( 1:1 ) == '-' ) then
err_root = "--Backout: root_TEST_REVX >> << opt_Nash_REVX.@@" &
<cat> TRIM( err_root )
return
end if
if ( n_opt == 0 .AND. P_eval /= global__float_zero ) then
call bailout_string( "n_opt and P_eval in root_TEST_REVX." )
end if
if ( n_opt == 1 .AND. P_eval /= f_int( 1 ) ) then
call bailout_string( "n_opt and P_eval in root_TEST_REVX." )
end if
if ( P_eval == global__float_zero ) then
G_eval = G_Jac
n_opt = n_opt + 1
end if
if ( spec_need == SPEC_need_opt ) then
if ( G_eval < 0.990_8 * G_Jac ) then
continue_opt = 0
if ( ord_M >=2 ) then
Jac_scale = SQRT( G_eval )
if ( Jac_scale < 1.0E-11_8 ) Jac_scale = 1.0E-10_8
end if
endif
do i_M = 1, ord_M
X_eval_M( i_M ) = X_Jac_M( i_M ) + P_eval * X_dir_M( i_M )
X_opt_M( i_M ) = X_Jac_M( i_M ) + P_opt * X_dir_M( i_M )
end do
n_opt = n_opt + 1
if ( .NOT. continue_opt /= 0 ) n_opt = 0
if ( .NOT. continue_opt /= 0 ) then
spec_done = SPEC_done_opt ; spec_need = SPEC_need_Jac
if ( ord_M > 1 ) spec_need = SPEC_need_Rone
endif
if ( .NOT. continue_opt /= 0 ) then
n_steps = n_steps + 1
endif
endif
if ( n_Rone >= n_Rone_reset ) then
spec_need = SPEC_need_Jac
n_Rone = 0
endif
if ( spec_need == SPEC_need_Rone ) then
call float_array_copy( ord_M, X_Jac_M, X_opt_M )
call float_matrix_copy(alloc_M,alloc_M,ord_M,ord_M,J_vtile_M_M,J_calc_M_M)
X_delta_M = X_opt_M - X_prev_M
G_delta_M = G_eval_M-G_prev_M
call sum_R_A( ord_M, ord_M, XG_vtile_M, J_vtile_M_M, G_delta_M )
call sum_A_A( JacScale, ord_M, XG_vtile_M, X_delta_M )
XG_vtile_M = X_delta_M - XG_vtile_M
call sum_L_A( alloc_M, ord_M, XG_vttwo_M, J_vtile_M_M, X_delta_M )
call outer_A_A( alloc_M, ord_M, J_vttwo_M_M, XG_vtile_M, XG_vttwo_M )
J_calc_M_M = J_vtile_M_M + ( 1/JacScale )*J_vttwo_M_M
call sum_R_A( ord_M, ord_M, XG_vtile_M, J_calc_M_M, G_Jac_M )
call float_array_copy( ord_M, X_dir_M, XG_vtile_M )
F_scale = -f_int( 1 )
call float_array_scale( ord_M, X_dir_M, F_scale )
call float_array_copy( ord_M, G_Jac_M, G_eval_M )
G_prev_M = G_eval_M
X_prev_M = X_opt_M
spec_done = SPEC_done_Rone ; spec_need = SPEC_need_opt
if ( JacScale == 0.0d0 ) spec_need = SPEC_need_Jac
n_Rone = n_Rone + 1
end if
if ( n_eval > 0 ) then
  continue_eval = 1
  call float_array_norm( G_norm, ord_M, G_eval_M, 'yes-mean' )
  if ( G_norm < 1.0E-8_8 ) then
    continue_eval = 0
  end if
end if
else
  write(*,*) 'no SC method selected.'
  STOP
endif !************************** not bisection **************************
!*************************************************************************
if ( n_eval == 0 ) then
  continue_eval = 1
end if

!<>!<> <fitting-doc-tag-end> <unsupported-body-block>
|<>|== root_TEST_REVX ==
|<>|=======================================================================
|<>|=======================================================================
end subroutine

!<>!<> <fitting-doc-tag-short> <unsupported-sub-declare>
subroutine Jac_double_REVX( dec_M, ord_M, X_eval_XM, G_eval_GM,&
  J_calc_GM_XM, n_eval,continue_eval, G_Jac_GM, X_Jac_XM,&
  X_scale, G_accur )

|<>|== global_module ==
|<>|== root_TEST_REVX ==
|<>|=======================================================================
|<>|=======================================================================
end subroutine

|<>|== declarations ==
|<>|== arguments ==
|<>|-- input ==
|<>|== supported-arg-block ==
integer( kind = 4 ) :: dec_M
integer( kind = 4 ) :: ord_M
real( kind = 8 ) :: G_eval_GM( dec_M )
integer( kind = 4 ) :: n_eval
real( kind = 8 ) :: X_Jac_XM( dec_M )
real( kind = 8 ) :: X_scale
real( kind = 8 ) :: G_accur
real( kind = 8 ) :: X_eval_XM( dec_M )
real( kind = 8 ) :: J_calc_GM_XM( dec_M, dec_M )
integer( kind = 4 ) :: continue_eval

integer( kind = 4 ), parameter :: alloc_M = 20
integer( kind = 4 ) :: spec_need ; save spec_need
integer( kind = 4 ) :: spec_done ; save spec_done
real( kind = 8 ) :: v_XM ; save v_XM
real( kind = 8 ) :: X_step ; save X_step
real( kind = 8 ) :: G_fwd_GM( alloc_M ) ; save G_fwd_GM
real( kind = 8 ) :: G_rev_GM( alloc_M ) ; save G_rev_GM

integer( kind = 4 ), parameter :: SPEC_done_Jac = 2
integer( kind = 4 ), parameter :: SPEC_done_Rone = 3
integer( kind = 4 ), parameter :: SPEC_done_dir = 4
integer( kind = 4 ), parameter :: SPEC_done_fwd = 3
integer( kind = 4 ), parameter :: SPEC_done_init = 2
integer( kind = 4 ), parameter :: SPEC_done_none = 1
integer( kind = 4 ), parameter :: SPEC_done_opt = 5
integer( kind = 4 ), parameter :: SPEC_done_rev = 4
integer( kind = 4 ), parameter :: SPEC_need_Jac = 1
integer( kind = 4 ), parameter :: SPEC_need_Rone = 2
integer( kind = 4 ), parameter :: SPEC_need_dir = 3
integer( kind = 4 ), parameter :: SPEC_need_fwd = 2
integer( kind = 4 ), parameter :: SPEC_need_init = 1
integer( kind = 4 ), parameter :: SPEC_need_opt = 4
integer( kind = 4 ), parameter :: SPEC_need_rev = 3
integer( kind = 4 ) :: i_GM
real( kind = 8 ) :: J_build
real( kind = 8 ) :: f_frac
real( kind = 8 ) :: f_pow_frac
real( kind = 8 ) :: f_float_accur

if ( n_eval == 0 ) then
spec_done = SPEC_done_none
spec_need = SPEC_need_init
v_XM = 1
end if

if ( n_eval == 0 ) then
X_step = f_pow_frac( f_float_accur( ), 1, 3 ) * X_scale
end if
if ( spec_done == SPEC_done_init ) then
call float_array_copy( ord_M, G_Jac_GM, G_eval_GM )
spec_need = SPEC_need_fwd
end if
if ( spec_done == SPEC_done_fwd ) then
call float_array_copy( ord_M, G_fwd_GM, G_eval_GM )
spec_need = SPEC_need_rev
end if
if ( spec_done == SPEC_done_rev ) then
call float_array_copy( ord_M, G_rev_GM, G_eval_GM )
spec_need = SPEC_need_fwd
end if
if ( spec_done == SPEC_done_rev ) then
do i_GM = 1, ord_M
J_build = f_frac(1,2) *(G_fwd_GM(i_GM) - G_rev_GM(i_GM))/X_step
J_calc_GM_XM( i_GM, v_XM ) = J_build
end do
end if
if ( spec_done == SPEC_done_rev ) then
v_XM = v_XM + 1
end if
continue_eval = 1
if ( .NOT. ( v_XM <= ord_M ) ) continue_eval = 0
if ( continue_eval /= 0 ) then
if ( spec_need == SPEC_need_init ) then
call float_array_copy( ord_M, X_eval_XM, X_Jac_XM )
spec_done = SPEC_done_init
end if
if ( spec_need == SPEC_need_fwd ) then
call float_array_copy( ord_M, X_eval_XM, X_Jac_XM )
X_eval_XM( v_XM ) = X_eval_XM( v_XM ) + X_step
spec_done = SPEC_done_fwd
end if
if ( spec_need == SPEC_need_rev ) then
call float_array_copy( ord_M, X_eval_XM, X_Jac_XM )
X_eval_XM( v_XM ) = X_eval_XM( v_XM ) - X_step
spec_done = SPEC_done_rev
end if
end if
!<>!<> <fitting-doc-tag-end> <unsupported-body-block>
!<>!<> <fitting-doc-tag-short> <need-sub-description>
!<>!<> <fitting-doc-tag-short> <unsupported-sub-declare>
subroutine opt_Nash_REVX( X_eval, G_eval, X_best, G_best, n_eval,&
continue_eval,err_opt, X_init, X_change, X_scale, G_scale,&
X_toler, G_toler )
!<>!<> <fitting-doc-tag-begin> <supported-use-block>
use global_module
!<>!<> <fitting-doc-tag-end> <supported-use-block>
!<>!<> <fitting-doc-tag-end> arguments
real( kind = 8 ) :: G_eval
integer( kind = 4 ) :: n_eval
real( kind = 8 ) :: X_init
real( kind = 8 ) :: X_change
real( kind = 8 ) :: X_scale
real( kind = 8 ) :: G_scale
real( kind = 8 ) :: X_toler
real( kind = 8 ) :: G_toler

real( kind = 8 ) :: X_eval
real( kind = 8 ) :: X_best
real( kind = 8 ) :: G_best
integer( kind = 4 ) :: continue_eval
character( len = * ) :: err_opt

integer( kind = 4 ) :: n_expand ; save n_expand
real( kind = 8 ) :: X_step ; save X_step

real( kind = 8 ), parameter :: tune_Nash_contract_factor = 0.25_8
real( kind = 8 ), parameter :: tune_Nash_expand_factor = 0.60_8
integer( kind = 4 ), parameter :: tune_Nash_max_eval = 9
integer( kind = 4 ), parameter :: tune_Nash_max_expand = 5
integer( kind = 4 ) :: flag_bootstrap
integer( kind = 4 ) :: flag_success
integer( kind = 4 ) :: flag_expand
real( kind = 8 ) :: X_residual
real( kind = 8 ) :: expand_factor, contract_factor
integer( kind = 4 ) :: max_expand
integer( kind = 4 ) :: max_eval
integer( kind = 4 ) :: n_expand_safe
real( kind = 8 ) :: X_step_safe
real( kind = 8 ) :: f_abs

expand_factor = tune_Nash_expand_factor
contract_factor = tune_Nash_contract_factor
max_expand = tune_Nash_max_expand
max_eval = tune_Nash_max_eval
flag_bootstrap = 0
if ( n_eval == 0 ) then
flag_bootstrap = 1
X_best = X_init
X_step = global__float_zero
flag_expand = 0
end if
if ( n_eval == 1 ) then
flag_bootstrap = 1
X_best = X_eval
G_best = G_eval
X_step = X_change
flag_expand = 1
end if
if ( .NOT. flag_bootstrap /= 0 ) then
flag_success = 0
if ( G_eval < G_best ) then
flag_success = 1
end if
X_step_safe = X_step
X_step = - contract_factor * X_step_safe
flag_expand = 0
if ( flag_success /= 0 ) then
X_best = X_eval
G_best = G_eval
X_step = + expand_factor * X_step_safe
flag_expand = 1
end if
end if
n_expand_safe = n_expand
n_expand = n_expand_safe + 1
if ( .NOT. flag_expand /= 0 ) then
n_expand = 0
end if
continue_eval = 1
if ( n_eval > 0 ) then
X_residual = f_abs( X_step ) / X_scale
if ( X_residual < X_toler ) continue_eval = 0
end if
if ( continue_eval /= 0 ) then
if ( n_expand > max_expand ) then
continue_eval = 0
return
end if
if ( n_eval + 1 > max_eval ) then
continue_eval = 0
return
end if
end if
end if
X_eval = X_best + X_step
!<>!<> <fitting-doc-tag-end> <unsupported-body-block>
!<>!<>================================ opt_Nash_REVX
end subroutine!<>!<>!<>!<>
APPENDIX D

FINAL RESIDUALS

The final Gallium bulk properties used and the residual for each are given in table D.1.

<table>
<thead>
<tr>
<th>Property</th>
<th>fitted value</th>
<th>reference value</th>
<th>weight</th>
<th>residual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00108891</td>
<td>0.00150928</td>
<td>0.002</td>
<td>-211.86053983</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00048555</td>
<td>0.00067317</td>
<td>0.002</td>
<td>-94.55887350</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00013033</td>
<td>0.00018363</td>
<td>0.002</td>
<td>-26.86049887</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00000000</td>
<td>0.00000000</td>
<td>0.002</td>
<td>0.00000000</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00007054</td>
<td>0.00008642</td>
<td>0.002</td>
<td>-8.00164586</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00032298</td>
<td>0.00041180</td>
<td>0.002</td>
<td>-44.76338915</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00074298</td>
<td>0.00094515</td>
<td>0.002</td>
<td>-101.8899631</td>
</tr>
<tr>
<td>Ga-(\alpha) Bulk</td>
<td>0.00131307</td>
<td>0.00165605</td>
<td>0.002</td>
<td>-172.85675153</td>
</tr>
</tbody>
</table>

Table D.1: Final bulk property residuals.

The final Gallium cluster properties used and the residual for each are given in table D.2 and table D.3.

<table>
<thead>
<tr>
<th>Property</th>
<th>fitted value</th>
<th>reference value</th>
<th>weight</th>
<th>residual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00096709</td>
<td>0.00109701</td>
<td>0.002</td>
<td>-65.47820889</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00041535</td>
<td>0.00042990</td>
<td>0.002</td>
<td>-7.33176424</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00009297</td>
<td>0.00007599</td>
<td>0.002</td>
<td>8.55923426</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00000000</td>
<td>0.00000000</td>
<td>0.002</td>
<td>0.00000000</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00013604</td>
<td>0.00016614</td>
<td>0.002</td>
<td>-15.17001649</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00049068</td>
<td>0.00054712</td>
<td>0.002</td>
<td>-28.44370394</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00102741</td>
<td>0.00111581</td>
<td>0.002</td>
<td>-44.55335841</td>
</tr>
<tr>
<td>Ga-(\beta) Bulk</td>
<td>0.00174131</td>
<td>0.00185373</td>
<td>0.002</td>
<td>-56.65945091</td>
</tr>
</tbody>
</table>

Table D.2: Final Gallium cluster property residuals.
<table>
<thead>
<tr>
<th>Property</th>
<th>fitted value</th>
<th>reference value</th>
<th>weight</th>
<th>residual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ga₅ C₂, r₁</td>
<td>1.21486480</td>
<td>1.263048</td>
<td>1.3</td>
<td>-37.35970732</td>
</tr>
<tr>
<td>Ga₅ C₂, r₂</td>
<td>1.22085794</td>
<td>1.283961</td>
<td>1.3</td>
<td>-48.92808619</td>
</tr>
<tr>
<td>Ga₅ C₂, z₁</td>
<td>2.37134197</td>
<td>2.466808</td>
<td>2.6</td>
<td>-37.01064586</td>
</tr>
<tr>
<td>Ga₅ C₂, z₂</td>
<td>2.35985813</td>
<td>2.533019</td>
<td>2.6</td>
<td>-67.1368551</td>
</tr>
<tr>
<td>Ga₅ C₂, Energy</td>
<td>-0.05173958</td>
<td>-0.049683</td>
<td>0.045</td>
<td>-46.06648618</td>
</tr>
<tr>
<td>Ga₆ C₂, a z</td>
<td>2.40543072</td>
<td>2.615500</td>
<td>2.6</td>
<td>-81.44048449</td>
</tr>
<tr>
<td>Ga₆ C₂, a r₁</td>
<td>1.99663562</td>
<td>1.994878</td>
<td>2.0</td>
<td>0.88582179</td>
</tr>
<tr>
<td>Ga₆ C₂, a r₂</td>
<td>1.45284734</td>
<td>1.636769</td>
<td>1.3</td>
<td>-142.60694404</td>
</tr>
<tr>
<td>Ga₆ C₂, a Energy</td>
<td>-0.05959073</td>
<td>-0.0550119</td>
<td>0.045</td>
<td>-45.89061844</td>
</tr>
<tr>
<td>Ga₆ D₃d z</td>
<td>2.19784791</td>
<td>2.600000</td>
<td>2.6</td>
<td>-155.90790319</td>
</tr>
<tr>
<td>Ga₆ D₃d r</td>
<td>1.53888498</td>
<td>1.570000</td>
<td>1.3</td>
<td>-24.12558836</td>
</tr>
<tr>
<td>Ga₆ D₃d Energy</td>
<td>-0.05795073</td>
<td>-0.05592004</td>
<td>0.045</td>
<td>-45.89061844</td>
</tr>
<tr>
<td>Ga₆ C₂, b r₁</td>
<td>1.76406275</td>
<td>1.911780</td>
<td>2.0</td>
<td>-74.44788619</td>
</tr>
<tr>
<td>Ga₆ C₂, b r₂</td>
<td>1.70684369</td>
<td>1.721574</td>
<td>1.3</td>
<td>-11.42141083</td>
</tr>
<tr>
<td>Ga₆ C₂, b r₃</td>
<td>1.30134698</td>
<td>1.371567</td>
<td>1.3</td>
<td>-54.4557542</td>
</tr>
<tr>
<td>Ga₆ C₂, b z₁</td>
<td>0.13990359</td>
<td>0.239604</td>
<td>2.0</td>
<td>-50.24792034</td>
</tr>
<tr>
<td>Ga₆ C₂, b z₂</td>
<td>2.49130495</td>
<td>2.577068</td>
<td>2.6</td>
<td>-33.24895483</td>
</tr>
<tr>
<td>Ga₆ C₂, b Energy</td>
<td>-0.05558643</td>
<td>-0.0551013</td>
<td>0.045</td>
<td>-10.87337068</td>
</tr>
<tr>
<td>Ga₆ D₃d z</td>
<td>1.62185035</td>
<td>1.765801</td>
<td>1.3</td>
<td>-111.61470727</td>
</tr>
<tr>
<td>Ga₆ D₃d r</td>
<td>1.86542318</td>
<td>1.894614</td>
<td>2.0</td>
<td>-14.71185600</td>
</tr>
<tr>
<td>Ga₆ D₃d Energy</td>
<td>-0.05520248</td>
<td>-0.0548868</td>
<td>0.045</td>
<td>-7.08907091</td>
</tr>
<tr>
<td>Ga₆ D₂d r₁</td>
<td>1.20431976</td>
<td>1.230612</td>
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<tr>
<td>Ga₆ D₂d r₂</td>
<td>2.28962801</td>
<td>2.265730</td>
<td>2.0</td>
<td>12.04433889</td>
</tr>
<tr>
<td>Ga₆ D₂d z</td>
<td>1.05579194</td>
<td>1.243194</td>
<td>1.3</td>
<td>-145.30553645</td>
</tr>
<tr>
<td>Ga₆ D₂d Energy</td>
<td>-0.0495038</td>
<td>-0.0456464</td>
<td>0.045</td>
<td>-91.53300052</td>
</tr>
<tr>
<td>Ga₇ C₃, r₁</td>
<td>1.69920581</td>
<td>1.767103</td>
<td>1.3</td>
<td>-52.64530106</td>
</tr>
<tr>
<td>Ga₇ C₃, r₂</td>
<td>1.59802688</td>
<td>1.617807</td>
<td>1.3</td>
<td>-15.33687261</td>
</tr>
<tr>
<td>Ga₇ C₃, z₁</td>
<td>2.03090797</td>
<td>2.078788</td>
<td>2.0</td>
<td>-24.13101157</td>
</tr>
<tr>
<td>Ga₇ C₃, z₂</td>
<td>1.93661231</td>
<td>1.993268</td>
<td>2.0</td>
<td>-28.55385310</td>
</tr>
<tr>
<td>Ga₇ C₃, Energy</td>
<td>-0.05749826</td>
<td>-0.0592150</td>
<td>0.045</td>
<td>38.45413787</td>
</tr>
<tr>
<td>Ga₇ C₄ r₁</td>
<td>0.23181712</td>
<td>0.265887</td>
<td>2.0</td>
<td>-17.1084934</td>
</tr>
<tr>
<td>Ga₇ C₄ r₂</td>
<td>1.43264180</td>
<td>1.681425</td>
<td>1.3</td>
<td>-192.89849695</td>
</tr>
<tr>
<td>Ga₇ C₄ r₃</td>
<td>2.32856692</td>
<td>2.513624</td>
<td>2.6</td>
<td>-71.74365818</td>
</tr>
<tr>
<td>Ga₇ C₄ r₄</td>
<td>1.33383421</td>
<td>1.313252</td>
<td>1.3</td>
<td>15.95878367</td>
</tr>
<tr>
<td>Ga₇ C₄ r₅</td>
<td>2.17027601</td>
<td>2.341020</td>
<td>2.6</td>
<td>-66.19470343</td>
</tr>
<tr>
<td>Ga₇ C₄ r₆</td>
<td>0.68161157</td>
<td>0.694996</td>
<td>2.6</td>
<td>-5.18892837</td>
</tr>
<tr>
<td>Ga₇ C₄ z₁</td>
<td>2.10267701</td>
<td>1.942529</td>
<td>2.6</td>
<td>62.08681071</td>
</tr>
<tr>
<td>Ga₇ C₄ z₂</td>
<td>2.22966546</td>
<td>2.371415</td>
<td>2.6</td>
<td>-54.95401806</td>
</tr>
<tr>
<td>Ga₇ C₄ z₃</td>
<td>2.20791812</td>
<td>1.998043</td>
<td>2.6</td>
<td>81.36521323</td>
</tr>
<tr>
<td>Ga₇ C₄ Energy</td>
<td>-0.05886136</td>
<td>-0.0606020</td>
<td>0.045</td>
<td>38.98938985</td>
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<tr>
<td>Ga₈ D₂ₙ r₁</td>
<td>1.42813867</td>
<td>1.405199</td>
<td>2.0</td>
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</tr>
<tr>
<td>Ga₈ D₂ₙ r₂</td>
<td>2.16986894</td>
<td>2.371196</td>
<td>2.0</td>
<td>-101.46664559</td>
</tr>
<tr>
<td>Ga₈ D₂ₙ z₁</td>
<td>1.21837079</td>
<td>1.267377</td>
<td>1.3</td>
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<tr>
<td>Ga₈ D₂ₙ z₂</td>
<td>1.19556857</td>
<td>1.279033</td>
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</tr>
<tr>
<td>Ga₈ D₂ₙ Energy</td>
<td>-0.06253196</td>
<td>-0.0626383</td>
<td>0.045</td>
<td>2.37528981</td>
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</tbody>
</table>

Table D.3: Final Gallium cluster property residuals.
The final Gallium Nitride cluster properties used and the residual for each are given in Table D.4 and Table D.5.

<table>
<thead>
<tr>
<th>Property</th>
<th>fitted value</th>
<th>reference value</th>
<th>weight</th>
<th>residual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ga₃N₃ C₂v r₁</td>
<td>1.96107874</td>
<td>1.896811</td>
<td>1.4</td>
<td>45.93400039</td>
</tr>
<tr>
<td>Ga₃N₃ C₂v r₂</td>
<td>1.29373921</td>
<td>1.397985</td>
<td>1.4</td>
<td>-74.50746174</td>
</tr>
<tr>
<td>Ga₁N₃ C₂v z</td>
<td>0.62911387</td>
<td>0.594313</td>
<td>1.4</td>
<td>24.87317960</td>
</tr>
<tr>
<td>Ga₃N₃ C₂v Energy</td>
<td>-0.09068114</td>
<td>-0.10365850</td>
<td>0.10</td>
<td>129.85405272</td>
</tr>
<tr>
<td>Ga₁N₃ C₉ch r₁</td>
<td>2.01779008</td>
<td>1.912230</td>
<td>1.4</td>
<td>75.44682276</td>
</tr>
<tr>
<td>Ga₁N₃ C₉ch r₂</td>
<td>1.22065495</td>
<td>1.201475</td>
<td>1.4</td>
<td>13.70845980</td>
</tr>
<tr>
<td>Ga₁N₃ C₉ch r₃</td>
<td>1.16599979</td>
<td>1.136267</td>
<td>1.4</td>
<td>21.25087925</td>
</tr>
<tr>
<td>Ga₁N₃ C₉ch Energy</td>
<td>-0.12997784</td>
<td>-0.13104750</td>
<td>0.10</td>
<td>10.70326728</td>
</tr>
<tr>
<td>Ga₁N₃ Pyr. r₁</td>
<td>1.03573571</td>
<td>1.190017</td>
<td>1.4</td>
<td>-110.26927042</td>
</tr>
<tr>
<td>Ga₁N₃ Pyr. r₂</td>
<td>1.30329321</td>
<td>1.448884</td>
<td>1.4</td>
<td>-104.05792083</td>
</tr>
<tr>
<td>Ga₁N₃ Pyr. r₃</td>
<td>0.62478750</td>
<td>0.589452</td>
<td>1.4</td>
<td>25.25529321</td>
</tr>
<tr>
<td>Ga₁N₃ Pyr. z</td>
<td>1.81052627</td>
<td>1.558995</td>
<td>1.4</td>
<td>179.77662549</td>
</tr>
<tr>
<td>Ga₁N₃ Pyr. Energy</td>
<td>-0.06486886</td>
<td>-0.07495350</td>
<td>0.10</td>
<td>100.90891815</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₁</td>
<td>2.46234324</td>
<td>2.704187</td>
<td>1.4</td>
<td>-172.85268088</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₂</td>
<td>1.70791602</td>
<td>1.725278</td>
<td>1.4</td>
<td>-12.40910433</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₃</td>
<td>1.90968009</td>
<td>1.845941</td>
<td>1.4</td>
<td>45.55615626</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch Energy</td>
<td>-0.06486886</td>
<td>-0.07495350</td>
<td>0.10</td>
<td>100.90891815</td>
</tr>
<tr>
<td>Ga₃N₁ D₃h r</td>
<td>1.91206761</td>
<td>1.915125</td>
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<td>-2.18520640</td>
</tr>
<tr>
<td>Ga₃N₁ D₃h Energy</td>
<td>-0.06997367</td>
<td>-0.09120750</td>
<td>0.10</td>
<td>212.47004297</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₁</td>
<td>1.81798028</td>
<td>1.767594</td>
<td>1.4</td>
<td>36.01252052</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₂</td>
<td>1.86623543</td>
<td>1.782539</td>
<td>1.4</td>
<td>59.82039222</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₃</td>
<td>1.24076908</td>
<td>1.197856</td>
<td>1.4</td>
<td>30.67120839</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch r₄</td>
<td>1.16775707</td>
<td>1.130722</td>
<td>1.4</td>
<td>26.47003018</td>
</tr>
<tr>
<td>Ga₃N₁ C₉ch Energy</td>
<td>-0.13245292</td>
<td>-0.10910380</td>
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<td>-233.63597668</td>
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<td>Ga₃N₁ D₃h r₁</td>
<td>2.48401855</td>
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<td>Ga₂N₃ C₉ch r₂</td>
<td>1.90510833</td>
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<td>1.18046492</td>
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<tr>
<td>Ga₂N₃ C₉ch Energy</td>
<td>-0.11399023</td>
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<td>-61.09417268</td>
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<td>Ga₂N₃ D₉ch r₁</td>
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<td>Ga₂N₃ D₉ch Energy</td>
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Table D.4: Final Gallium Nitride cluster property residuals.
<table>
<thead>
<tr>
<th>Property</th>
<th>fitted value</th>
<th>reference value</th>
<th>weight</th>
<th>residual</th>
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<tbody>
<tr>
<td>Ga$_3$N$<em>2$ D$</em>{oc8h}$ $r_1$</td>
<td>1.74979945</td>
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<td>Ga$_3$N$<em>2$ D$</em>{oc8h}$ $r_2$</td>
<td>1.78835803</td>
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<td>-0.07944046</td>
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<tr>
<td>Ga$_4$N$<em>1$ C$</em>{2v}$ $r_1$</td>
<td>3.39992022</td>
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<td>-214.88445997</td>
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<td>1.27831495</td>
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<td>48.85095619</td>
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<td>Ga$_4$N$<em>1$ C$</em>{2v}$ $r_3$</td>
<td>1.91893693</td>
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<td>11.90375879</td>
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<td>Ga$_4$N$<em>1$ C$</em>{2v}$ $z$</td>
<td>1.43383416</td>
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<td>-33.92305214</td>
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<td>1.90520958</td>
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<td>Ga$_4$N$<em>1$ C$</em>{oc8h}$ Energy</td>
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<tr>
<td>Ga$_6$N$<em>6$ D$</em>{3d}$ $r_G$</td>
<td>1.83431304</td>
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<tr>
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<td>-0.10289000</td>
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<td>-69.31900864</td>
</tr>
</tbody>
</table>

Table D.5: Final Gallium Nitride cluster property residuals.
CURRICULUM VITÆ

Lyle C. Smith, III

Education

2015 University of Louisville
Ph.D. in Applied and Industrial Mathematics

2005 University of Louisville
M.S. in Physics

2005 The Southern Baptist Theological Seminary, Louisville, KY
M.Div. in Christian Ministry

1997 Virginia Tech, Blacksburg, VA
M.S. in Mathematics

1995 Virginia Tech, Blacksburg, VA
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Publications


“Application of a High-Energy Density Permanent Magnet Material in Underwater Propulsion Systems,” Dr. C. Peter Cho, Andrew Kim, and Lyle Smith III, Fifteenth International
Workshop on Rare-Earth Magnets.

“Techniques for Modeling Motors in ANSYS,” Dr. Mike Yaksh, EMAG Specialist and Lyle Smith III, Naval Undersea Warfare Center, ANSYS Users’ Conference and Exhibition.