

1.021, 3.021, 10.333, 22.00 : Introduction to Modeling and Simulation : Spring 2011

Part II – Quantum Mechanical Methods : Lecture 3

From Many-Body to Single-Particle: Quantum Modeling of Molecules

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Part II Outline

theory & practice

example applications

1. It's A Quantum World: The Theory of Quantum Mechanics
2. Quantum Mechanics: Practice Makes Perfect
3. From Many-Body to Single-Particle; Quantum Modeling of Molecules
4. From Atoms to Solids
5. Quantum Modeling of Solids: Basic Properties
6. Advanced Prop. of Materials: What else can we do?
7. Nanotechnology
8. Solar Photovoltaics: Converting Photons into Electrons
9. Thermoelectrics: Converting Heat into Electricity
10. Solar Fuels: Pushing Electrons up a Hill
11. Hydrogen Storage: the Strength of Weak Interactions
12. Review

Motivation

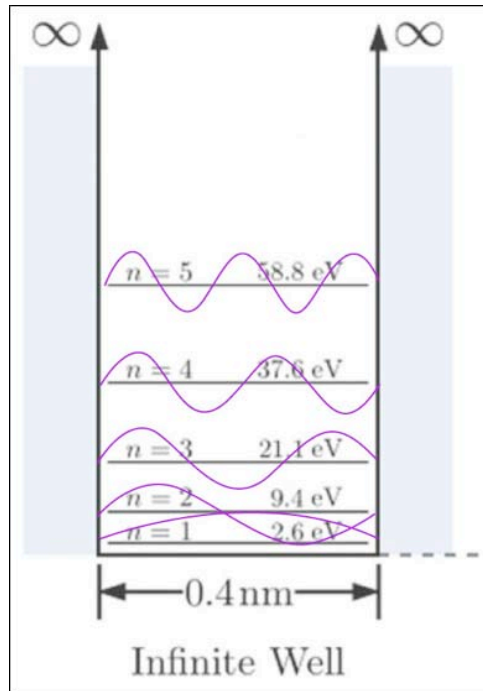
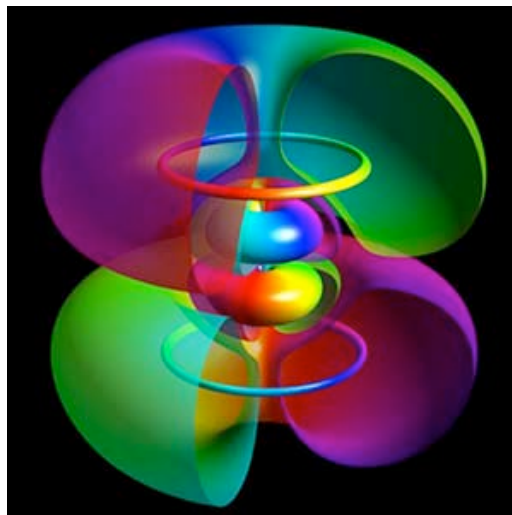


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Last time: 1-electron quantum mechanics to describe spectral lines

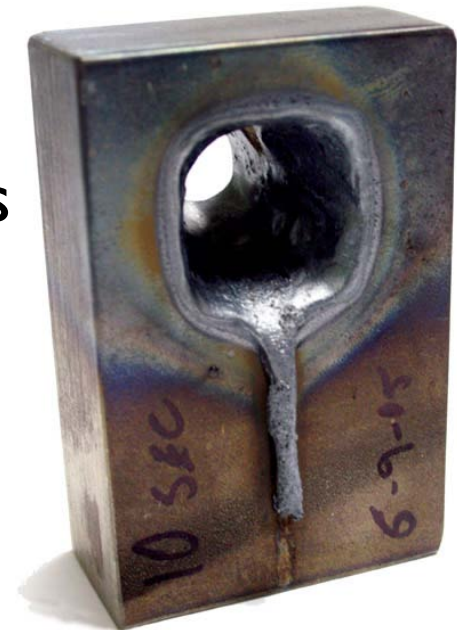


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Courtesy of Bernd Thaller. Used with permission.

Today: many electrons to describe materials.



Lesson outline

- Review
- The Many-body Problem
- Hartree and Hartree-Fock
- Density Functional Theory
- Computational Approaches
- Modeling Software
- PWscf

Review: Schrödinger equation

H time independent: $\psi(\vec{r}, t) = \psi(\vec{r}) \cdot f(t)$

$$i\hbar \frac{\dot{f}(t)}{f(t)} = \frac{H\psi(\vec{r})}{\psi(\vec{r})} = \text{const.} = E$$

$$H\psi(\vec{r}) = E\psi(\vec{r})$$

$$\psi(\vec{r}, t) = \psi(\vec{r}) \cdot e^{-\frac{i}{\hbar}Et}$$

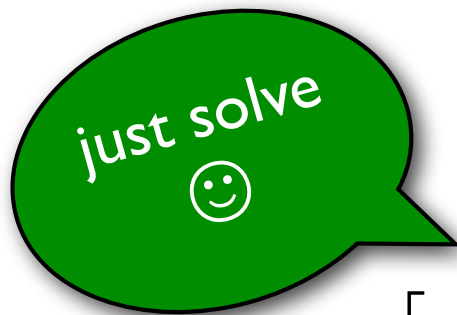
time independent Schrödinger equation
stationary Schrödinger equation

Review: The hydrogen atom

stationary
Schrödinger equation

$$H\psi = E\psi$$

$$[T + V]\psi = E\psi$$



$$\left[-\frac{\hbar^2}{2m} \nabla^2 + V \right] \psi(\vec{r}) = E\psi(\vec{r})$$

$$\left[-\frac{\hbar^2}{2m} \nabla^2 - \frac{e^2}{4\pi\epsilon_0 r} \right] \psi(\vec{r}) = E\psi(\vec{r})$$

Radial Wavefunctions for a Coulomb $V(r)$

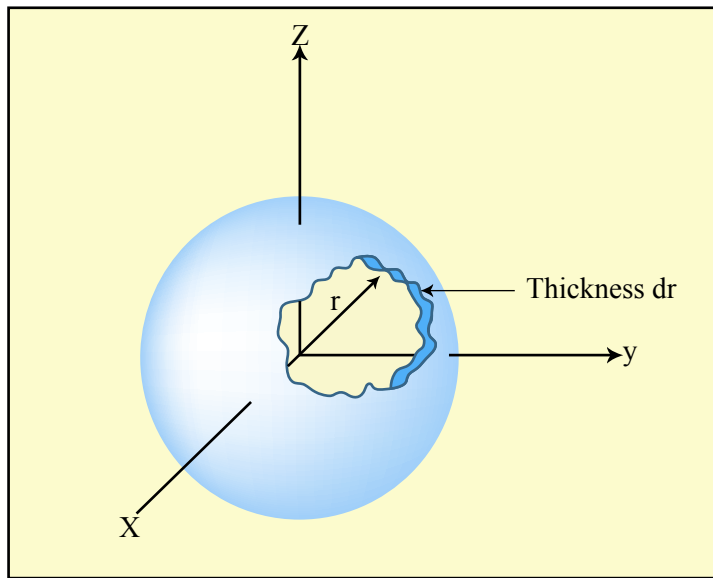


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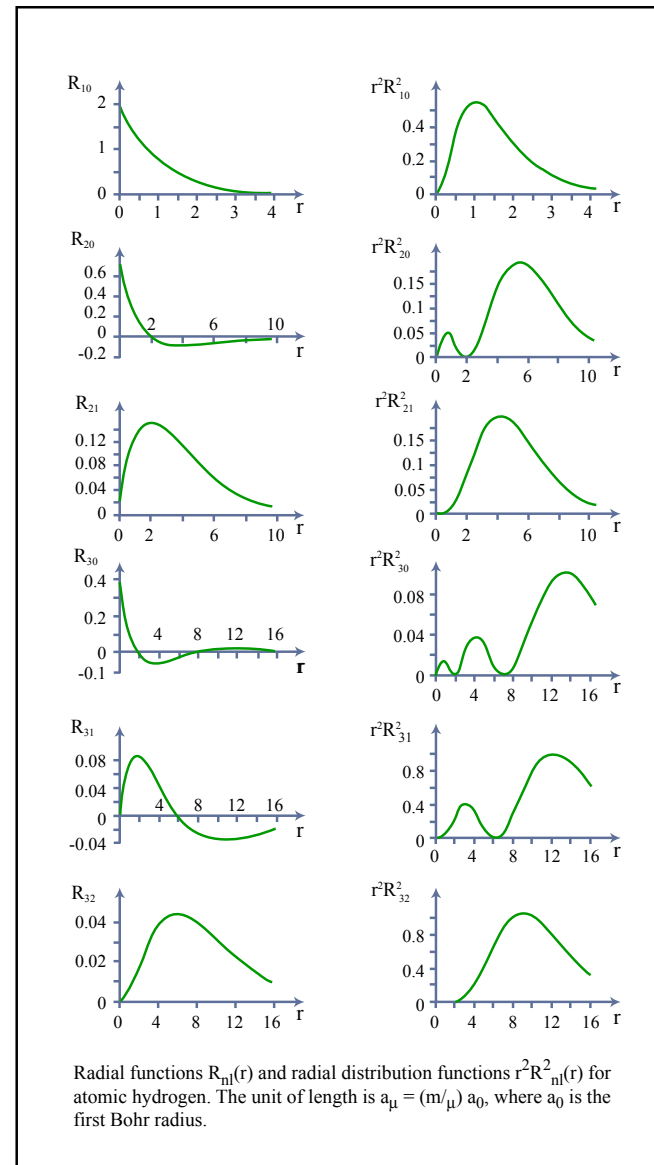


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Angular Parts

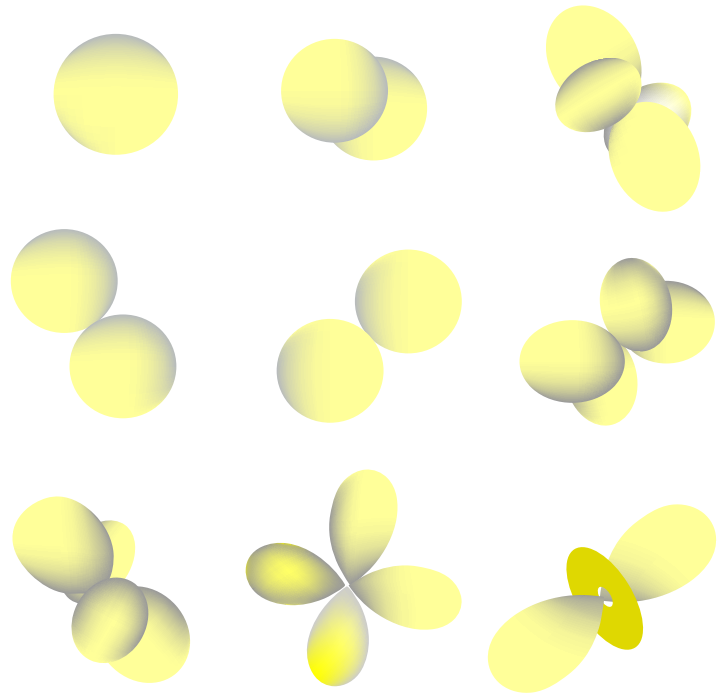


Image by MIT OpenCourseWare.

$$Y_0^0(\theta, \varphi) = \frac{1}{\sqrt{4\pi}}$$

$$Y_1^{\pm 1}(\theta, \varphi) = \mathbf{m} \sqrt{\frac{3}{8\pi}} \sin \theta e^{\pm i\varphi}$$

$$Y_1^0(\theta, \varphi) = \sqrt{\frac{3}{4\pi}} \cos \theta$$

$$Y_2^{\pm 2}(\theta, \varphi) = \sqrt{\frac{15}{32\pi}} \sin^2 \theta e^{\pm 2i\varphi}$$

$$Y_2^{\pm 1}(\theta, \varphi) = \mathbf{m} \sqrt{\frac{15}{8\pi}} \sin \theta \cos \theta e^{\pm i\varphi}$$

$$Y_2^0(\theta, \varphi) = \sqrt{\frac{5}{16\pi}} (3 \cos^2 \theta - 1)$$

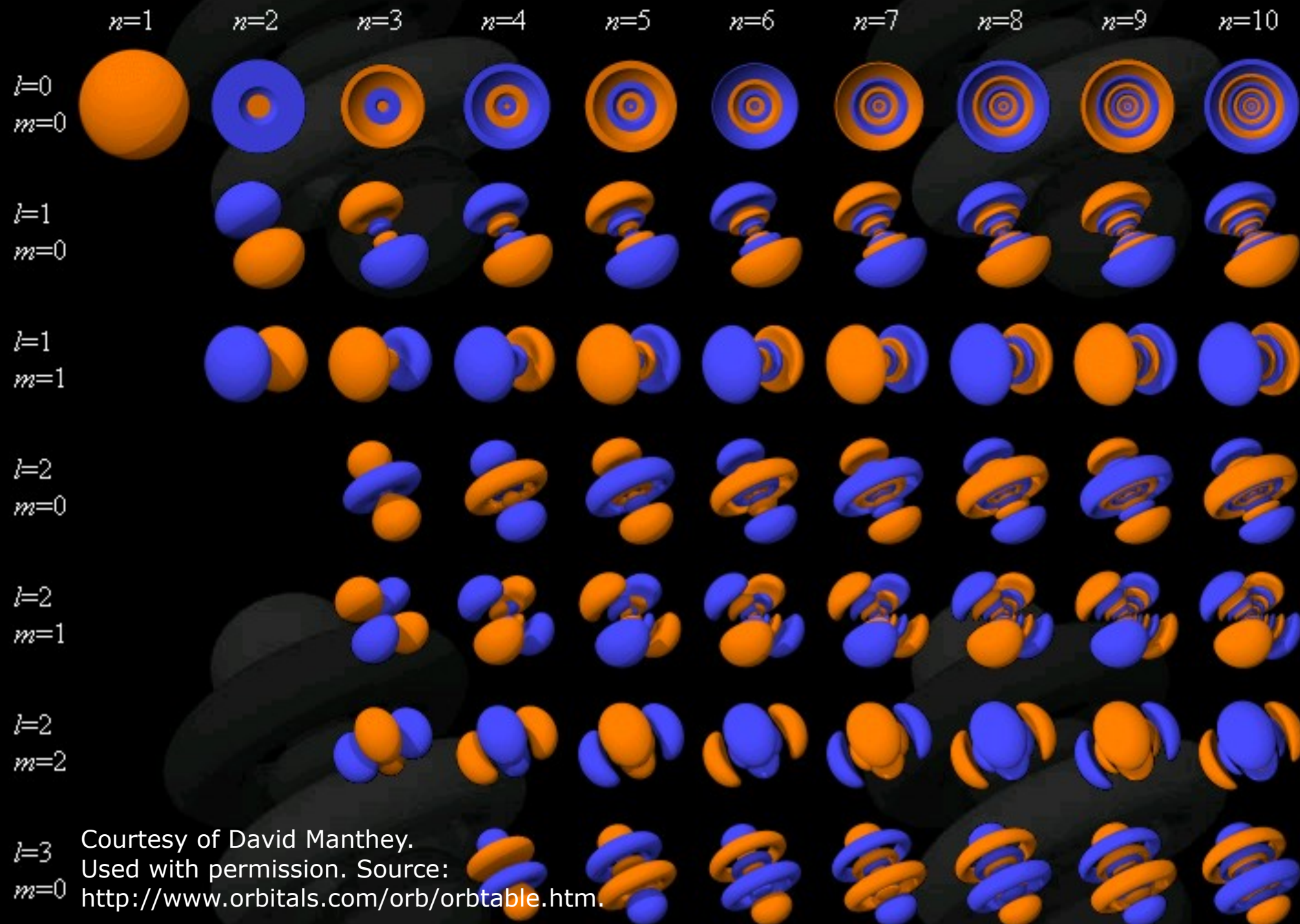
Review: The hydrogen atom

quantum numbers

n	l	m_l	Atomic Orbital	$\Psi_{n/m_l}(r, \theta, \phi)$
1	0	0	1s	$\frac{1}{\sqrt{\pi} a_0^{3/2}} e^{-r/a_0}$
2	0	0	2s	$\frac{1}{4\sqrt{2\pi} a_0^{3/2}} \left[2 - \frac{r}{a_0} \right] e^{-r/2a_0}$
2	1	0	2p	$\frac{1}{4\sqrt{2\pi} a_0^{3/2}} \frac{r}{a_0} e^{-r/2a_0} \cos\theta$
2	1	± 1	2p	$\frac{1}{8\sqrt{\pi} a_0^{3/2}} \frac{r}{a_0} e^{-r/2a_0} \sin\theta e^{\pm i\phi}$

$a_0 = \frac{\hbar^2}{me^2} = .0529 \text{ nm} = \text{first Bohr radius}$

l and m versus n

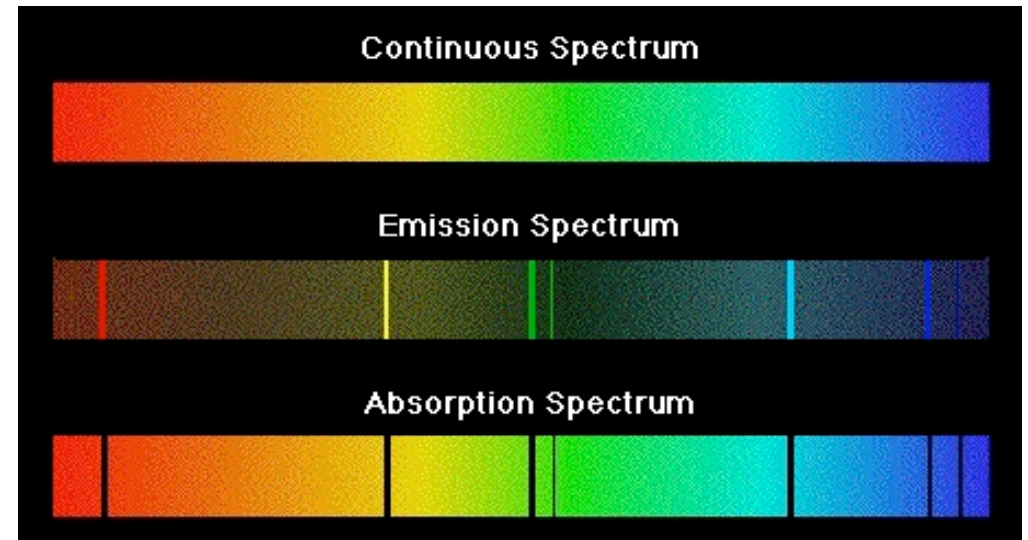
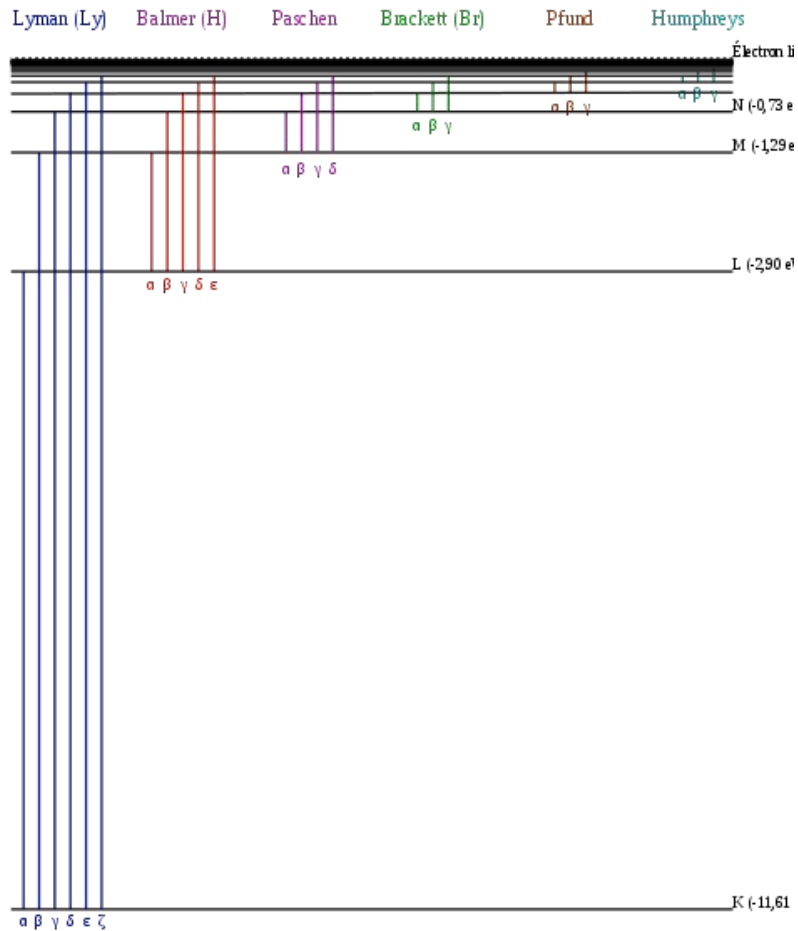


Courtesy of David Manthey.
Used with permission. Source:
<http://www.orbitals.com/orb/orbtable.htm>.

Review: The hydrogen atom

Please see <http://hyperphysics.phy-astr.gsu.edu/hbase/imgmod/hydspe.gif>.

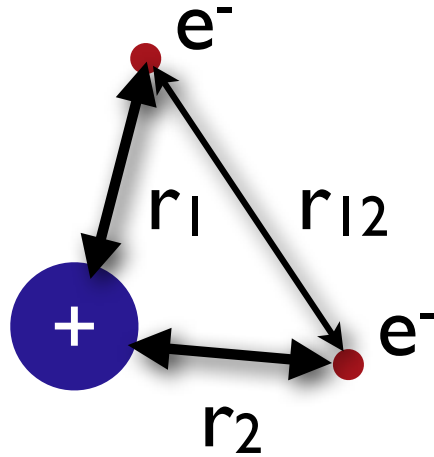
Review: The hydrogen atom



Courtesy of the Department of Physics and Astronomy at the University of Tennessee. Used with permission.

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Review: Next? Helium



$$H\psi = E\psi$$

$$\left[H_1 + H_2 + W \right] \psi(\vec{r}_1, \vec{r}_2) = E\psi(\vec{r}_1, \vec{r}_2)$$

$$\left[T_1 + V_1 + T_2 + V_2 + W \right] \psi(\vec{r}_1, \vec{r}_2) = E\psi(\vec{r}_1, \vec{r}_2)$$

$$\left[-\frac{\hbar^2}{2m} \nabla_1^2 - \frac{e^2}{4\pi\epsilon_0 r_1} - \frac{\hbar^2}{2m} \nabla_2^2 - \frac{e^2}{4\pi\epsilon_0 r_2} + \frac{e^2}{4\pi\epsilon_0 r_{12}} \right] \psi(\vec{r}_1, \vec{r}_2) = E\psi(\vec{r}_1, \vec{r}_2)$$

cannot be solved analytically

problem!

Review: Spin

new quantum number: spin quantum number

for electrons: spin quantum number can ONLY be



up



down

Everything is spinning ...

Stern–Gerlach experiment (1922)

$$\begin{aligned}\vec{F} &= -\nabla E \\ &= \nabla \vec{m} \cdot \vec{B}\end{aligned}$$

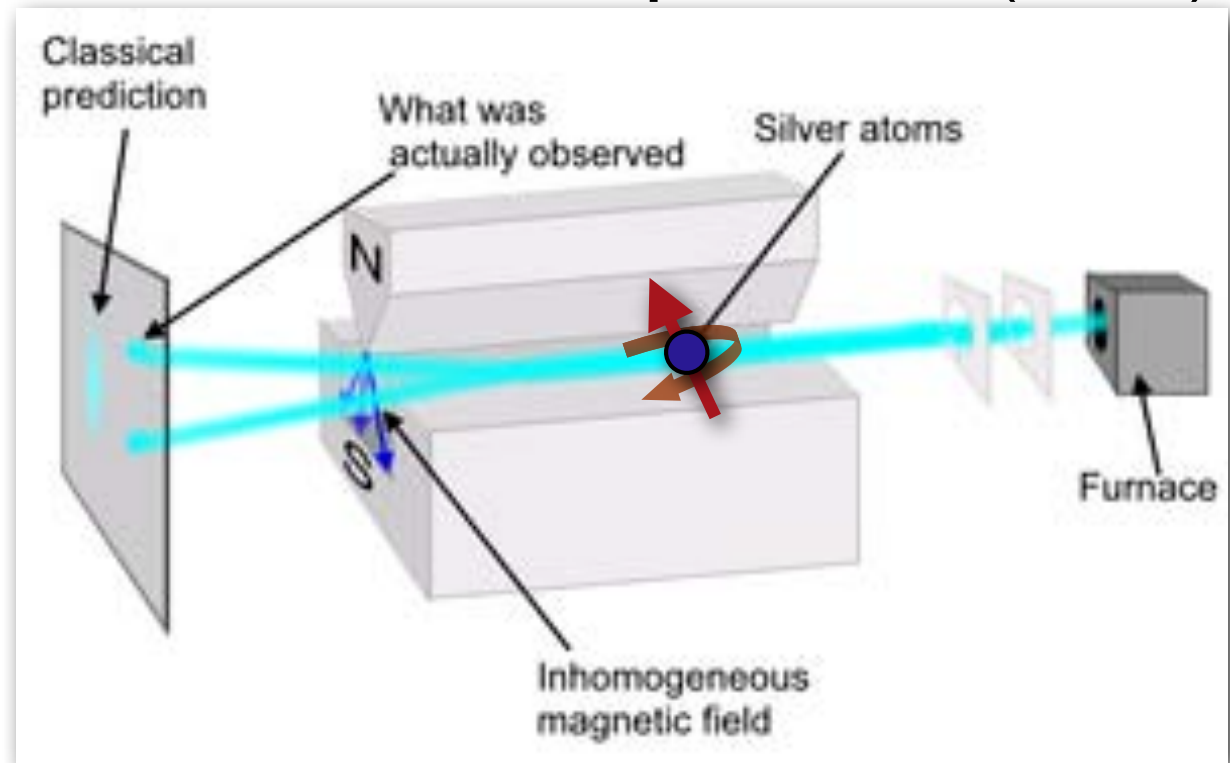
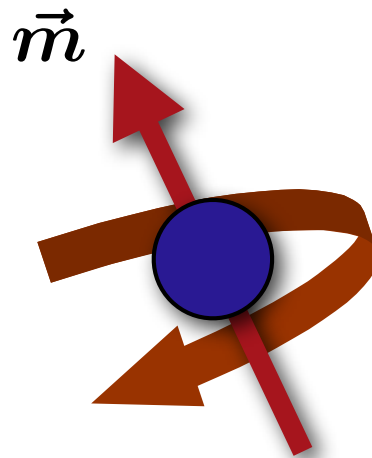


Image courtesy Teresa Knott.

Everything is spinning ...

In quantum mechanics particles can have
a **magnetic moment** and a "spin"

magnetic
moment



spinning
charge

Everything is spinning ...

conclusion from the
Stern-Gerlach experiment

for electrons: spin can ONLY be



up



down

Spin History

Discovered in 1926 by
Goudsmit and Uhlenbeck

Part of a letter by L. H. Thomas to Goudsmit on March 25, 1926:
<http://www.lorentz.leidenuniv.nl/history/spin/thomas.gif>.

Pauli's exclusions principle

Two electrons in a system cannot have the same quantum numbers!

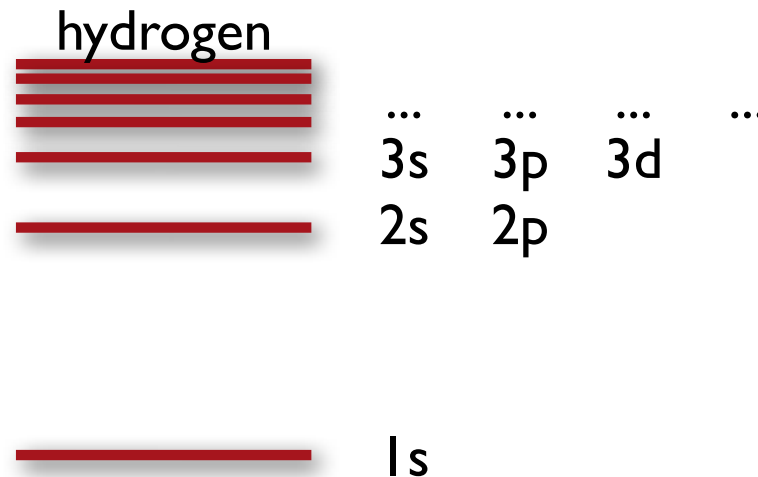
quantum numbers:

main n : 1, 2, 3 ...

orbital l : 0, 1, ..., $n-1$

magnetic m : $-l, \dots, l$

spin: up, down



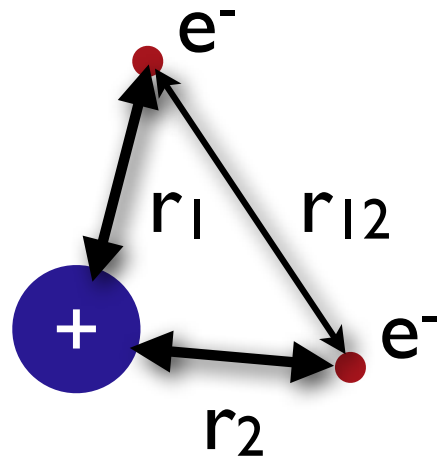
Periodic table

Group →	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
↓ Period																		
1	1 H																	2 He
2	3 Li	4 Be											5 B	6 C	7 N	8 O	9 F	10 Ne
3	11 Na	12 Mg											13 Al	14 Si	15 P	16 S	17 Cl	18 Ar
4	19 K	20 Ca	21 Sc	22 Ti	23 V	24 Cr	25 Mn	26 Fe	27 Co	28 Ni	29 Cu	30 Zn	31 Ga	32 Ge	33 As	34 Se	35 Br	36 Kr
5	37 Rb	38 Sr	39 Y	40 Zr	41 Nb	42 Mo	43 Tc	44 Ru	45 Rh	46 Pd	47 Ag	48 Cd	49 In	50 Sn	51 Sb	52 Te	53 I	54 Xe
6	55 Cs	56 Ba		72 Hf	73 Ta	74 W	75 Re	76 Os	77 Ir	78 Pt	79 Au	80 Hg	81 Tl	82 Pb	83 Bi	84 Po	85 At	86 Rn
7	87 Fr	88 Ra		104 Rf	105 Db	106 Sg	107 Bh	108 Hs	109 Mt	110 Ds	111 Rg	112 Cn	113 Uut	114 Uuq	115 Uup	116 Uuh	117 Uus	118 Uuo
			Lanthanides	57 La	58 Ce	59 Pr	60 Nd	61 Pm	62 Sm	63 Eu	64 Gd	65 Tb	66 Dy	67 Ho	68 Er	69 Tm	70 Yb	71 Lu
			Actinides	89 Ac	90 Th	91 Pa	92 U	93 Np	94 Pu	95 Am	96 Cm	97 Bk	98 Cf	99 Es	100 Fm	101 Md	102 No	103 Lr

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The many-body problem

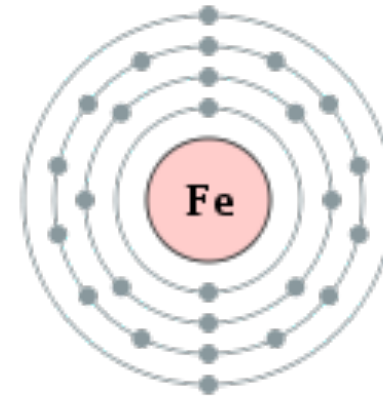
helium: $2e^-$



iron: $26e^-$

26: Iron

2,8,14,2



$$\psi = \psi(\vec{r}_1, \dots, \vec{r}_n)$$

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Dirac Quotes

Year 1929...

The underlying physical laws necessary for the mathematical theory of a large part of physics and the whole of chemistry are thus completely known, and the difficulty is only that the exact application of these laws leads to equations much too complicated to be soluble.

P.A.M. Dirac, Proc. Roy. Soc. 123, 714 (1929)

...and in 1963

If there is no complete agreement [...] between the results of one's work and the experiment, one should not allow oneself to be too discouraged [...]

P.A.M. Dirac, Scientific American, May 1963

The Multi-Electron Hamiltonian

$$H\psi = E\psi$$

Remember
the good old days of the
1-electron H-atom??

$$\left[-\frac{\hbar^2}{2m} \nabla^2 - \frac{e^2}{4\pi\epsilon_0 r} \right] \psi(\vec{r}) = E\psi(\vec{r})$$

They're
over!

$$H = -\sum_{i=1}^N \frac{\hbar^2}{2M_i} \nabla_{\mathbf{R}_i}^2 + \frac{1}{2} \sum_{i=1}^N \sum_{\substack{j=1 \\ i \neq j}}^N \frac{Z_i Z_j e^2}{|\mathbf{R}_i - \mathbf{R}_j|} - \frac{\hbar^2}{2m} \sum_{i=1}^n \nabla_{\mathbf{r}_i}^2 - \sum_{i=1}^N \sum_{j=1}^n \frac{Z_i e^2}{|\mathbf{R}_i - \mathbf{r}_j|} + \frac{1}{2} \sum_{i=1}^n \sum_{\substack{j=1 \\ i \neq j}}^n \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$$

kinetic energy of ions

potential energy of ions

kinetic energy of electrons

electron-electron interaction

electron-ion interaction

Multi-Atom-Multi-Electron Schrödinger Equation

$$H(\mathbf{R}_1, \dots, \mathbf{R}_N; \mathbf{r}_1, \dots, \mathbf{r}_n) \Psi(\mathbf{R}_1, \dots, \mathbf{R}_N; \mathbf{r}_1, \dots, \mathbf{r}_n) = E \Psi(\mathbf{R}_1, \dots, \mathbf{R}_N; \mathbf{r}_1, \dots, \mathbf{r}_n)$$

Born-Oppenheimer Approximation

Screenshot of article removed due to copyright restrictions; see the article online: <http://blogs.discovermagazine.com/loom/2009/05/23/sigmas-from-shoulder-to-shoulder-science-tattoos/>.

Born-Oppenheimer Approximation (skinless version)

- mass of nuclei exceeds that of the electrons by a factor of 1000 or more
- we can neglect the kinetic energy of the nuclei
- treat the ion-ion interaction classically
- significantly simplifies the Hamiltonian for the electrons:



Born

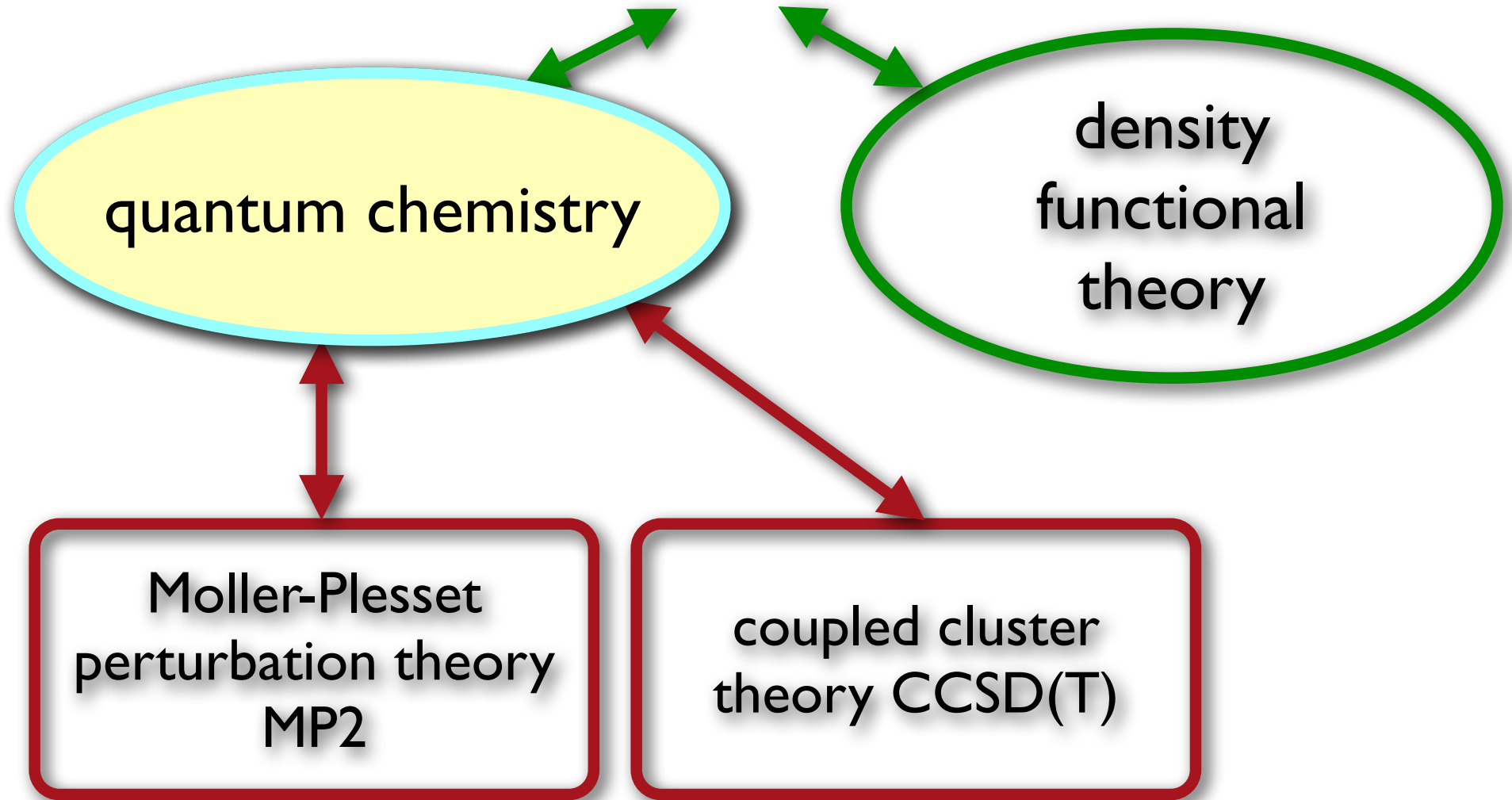


Oppenheimer

This term is just an external potential $V(\mathbf{r}_j)$

$$H = -\frac{\hbar^2}{2m} \sum_{i=1}^n \nabla_{\mathbf{r}_i}^2 - \sum_{i=1}^N \sum_{j=1}^n \frac{Z_i e^2}{|\mathbf{R}_i - \mathbf{r}_j|} + \frac{1}{2} \sum_{i=1}^n \sum_{\substack{j=1 \\ i \neq j}}^n \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$$

Solutions



Hartree Approach

Write wavefunction as a simple product of **single** particle states:

$$\Psi(\mathbf{r}_1, \dots, \mathbf{r}_n) = \psi_1(\mathbf{r}_1) \psi_2(\mathbf{r}_2) \dots \psi_n(\mathbf{r}_n)$$

Hard

Product of Easy

Leads to an equation we can solve on a computer!

$$\left\{ -\frac{\hbar^2}{2m} \nabla^2 + V_{\text{ext}}(\mathbf{r}) + \sum_{\substack{j=1 \\ j \neq i}}^n \int d\mathbf{r} \frac{e^2 |\psi_j(\mathbf{r})|^2}{|\mathbf{r}_j - \mathbf{r}|} \right\} \psi_i(\mathbf{r}) = \varepsilon_i \psi_i(\mathbf{r})$$

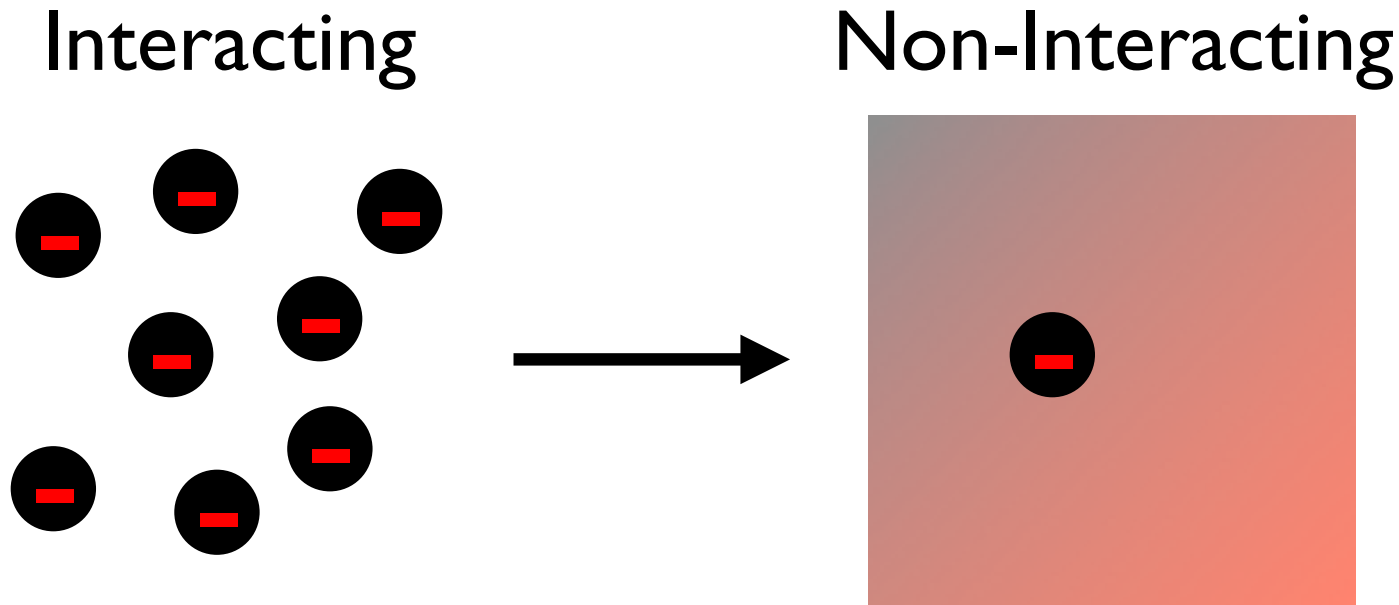
Hartree Approach

$$\left\{ -\frac{\hbar^2}{2m} \nabla^2 + V_{\text{ext}}(\mathbf{r}) + \sum_{\substack{j=1 \\ j \neq i}}^n \int d\mathbf{r}' \frac{e^2 |\psi_j(\mathbf{r}')|^2}{|\mathbf{r} - \mathbf{r}'|} \right\} \psi_i(\mathbf{r}) = \varepsilon_i \psi_i(\mathbf{r})$$

The solution for each state depends on all the other states (through the Coulomb term).

- we don't know these solutions a priori
- must be solved iteratively:
 - guess form for $\{ \Psi_i^{\text{in}}(\mathbf{r}) \}$
 - compute single particle Hamiltonians
 - generate $\{ \Psi_i^{\text{out}}(\mathbf{r}) \}$
 - compare with old
 - if different set $\{ \Psi_i^{\text{in}}(\mathbf{r}) \} = \{ \Psi_i^{\text{out}}(\mathbf{r}) \}$ and repeat
 - if same, you are done
- obtain the self-consistent solution

Simple Picture...But...



After all this work, there is still one major problem:
the solution is fundamentally wrong

The fix brings us back to spin!

Symmetry Holds the Key

Speculation: everything we know with scientific certainty is somehow dictated by symmetry.

The relationship between symmetry and quantum mechanics is particularly striking.

Exchange Symmetry

- all electrons are *indistinguishable*
 - electrons that made da Vinci, Newton, and Einstein who they were, are *identical* to those within our molecules
a bit humbling...
- so if
 - I show you a system containing electrons
 - you look away
 - I exchange two electrons in the system
 - you resume looking at system
 - there is no experiment that you can conduct that will indicate that I have switched the two electrons

Mathematically

- define the exchange operator:

$$\chi_{12}\psi_1(r_1)\psi_2(r_2) = \psi_1(r_2)\psi_2(r_1)$$

- exchange operator eigenvalues are ± 1 :

$$\text{suppose } \hat{\chi}_{12} \phi = \chi \phi$$

$$\hat{\chi}_{12} \hat{\chi}_{12} \phi = \chi^2 \phi = \phi$$

$$\chi^2 = 1, \text{ or } \chi = \pm 1.$$

Empirically

- all quantum mechanical states are also eigenfunctions of exchange operators
 - those with eigenvalue 1 (symmetric) are known as Bosons
 - those with eigenvalue -1 (antisymmetric) are known as Fermions
- profound implications for materials properties
 - wavefunctions for our many electron problem must be anti-symmetric under exchange
 - implies Pauli exclusion principle

Hartree-Fock

- Employing Hartree's approach, but
 - enforcing the anti-symmetry condition
 - accounting for spin
- Leads to a remarkable result:

$$\left\{ -\frac{\hbar^2}{2m} \nabla^2 + V_{\text{ext}}(\mathbf{r}) + \sum_{\substack{j=1 \\ j \neq i}}^n \int d\mathbf{r}' \frac{e^2 |\psi_j(\mathbf{r}')|^2}{|\mathbf{r}' - \mathbf{r}|} \right\} \psi_i(\mathbf{r}) - \sum_{\substack{j=1 \\ j \neq i}}^n \delta_{s_i, s_j} \int d\mathbf{r}' \frac{e^2}{|\mathbf{r}' - \mathbf{r}|} \psi_j^*(\mathbf{r}') \psi_i(\mathbf{r}') \psi_j(\mathbf{r}) = \varepsilon_i \psi_i(\mathbf{r})$$

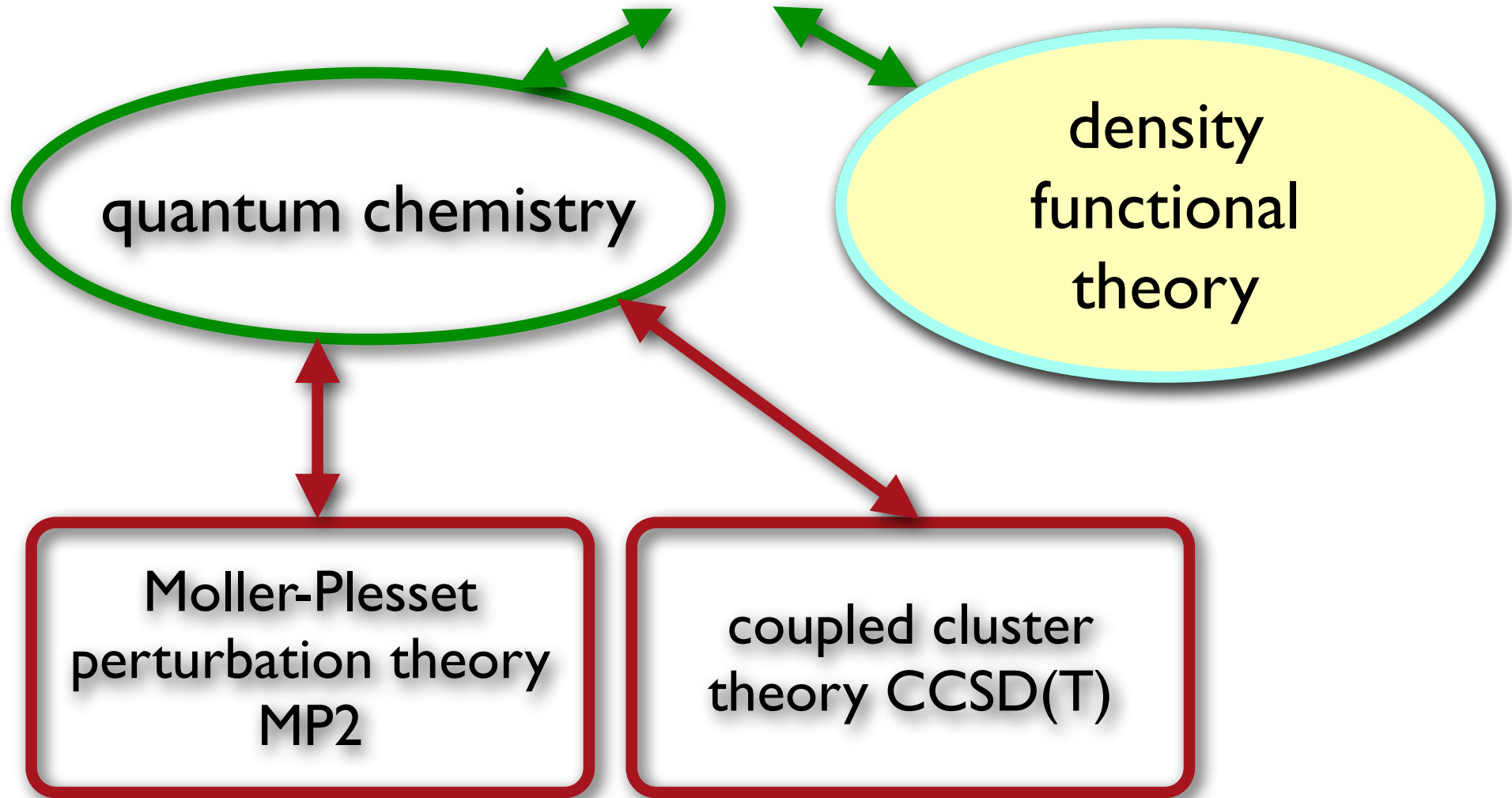
- Hartree-Fock theory is the foundation of molecular orbital theory.
- It is based upon a choice of wavefunction that guarantees antisymmetry between electrons.

it's an emotional moment....

But...Hartree-Fock

- neglects important contribution to electron energy (called “correlation” energy)
- difficult to deal with: integral operator makes solution complicated
- superceded by another approach: density functional theory

Solutions



Solving the Schrodinger Equation

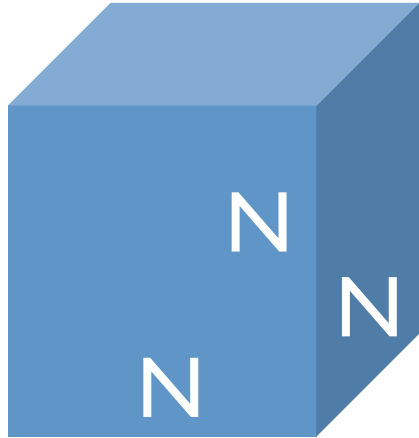
No matter how you slice it, the wavefunction is a beast of an entity to have to deal with.

For example: consider that we have n electrons populating a 3D space.

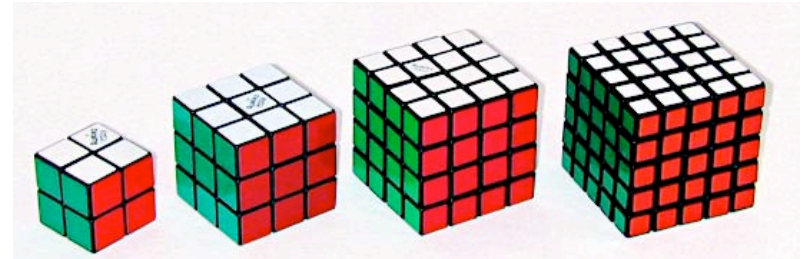
Let's divide 3D space into $N \times N \times N = 2 \times 2 \times 2$ grid points.

To reconstruct $\Psi(r)$, how many points must we keep track of?

Solving the Schrodinger Eq.



divide 3D space into
 $N \times N \times N = 2 \times 2 \times 2$ grid
points



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$$\Psi = \Psi(r_1, \dots, r_n) \quad \# \text{ points} = N^{3n}$$

n=# electrons	$\Psi(N^{3n})$
1	8
10	10^9
100	10^{90}
1,000	10^{900}

Working with the Density

The electron density seems to be a more manageable quantity.

Wouldn't it be nice if we could reformulate our problem in terms of the density, rather than the wavefunction?

Energy \longleftrightarrow Electron Density

$$E_0 = E[n_0]$$

Why DFT?

Quantum Chemistry
methods; MP2, CCSD(T)

computational expense
for system size N:

→ $O(N^5-N^7)$

Density Functional Theory

→ $O(N^3); O(N)$

Example

silicon
2 atoms/unit cell

DFT: 0.1 sec CCSD(T): 0.1 sec

MP2: 0.1 sec

silicon
100 atoms/unit cell

DFT: 5 hours CCSD(T): 2000 years!!!

MP2: 1 year

Why DFT?

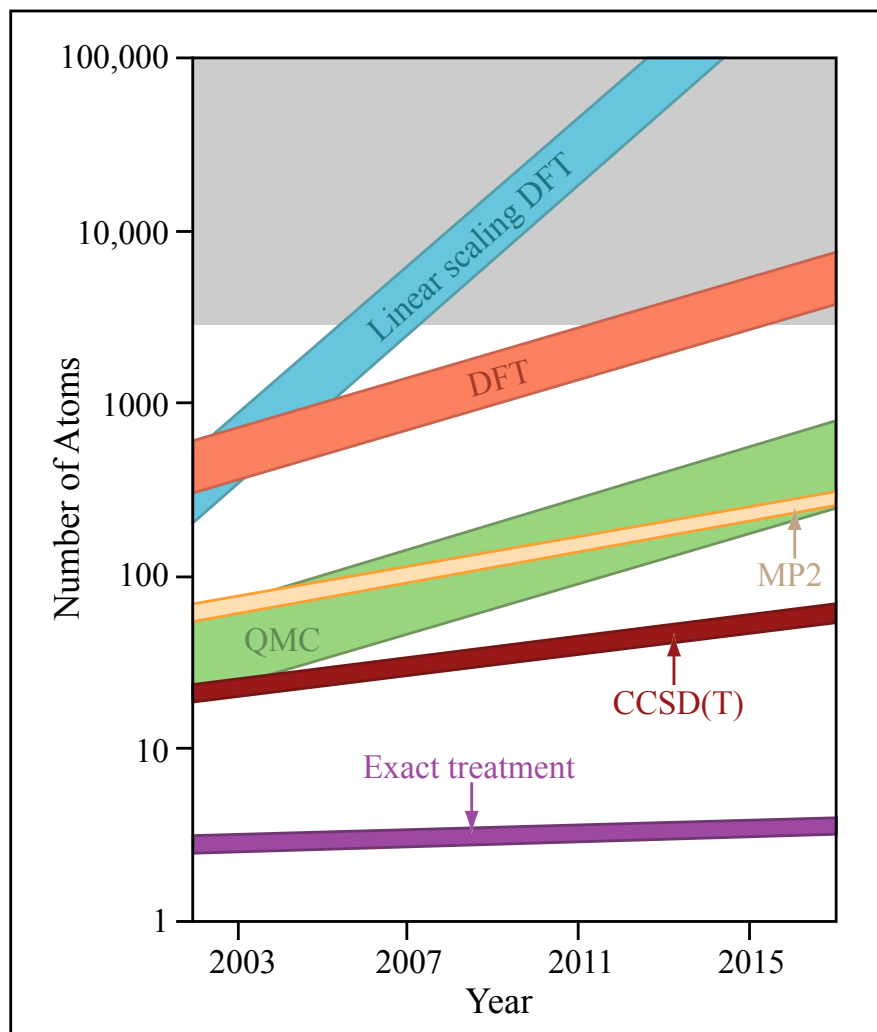


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Density functional theory

$$\psi = \psi(\vec{r}_1, \vec{r}_2, \dots, \vec{r}_N)$$

wave function:
complicated!

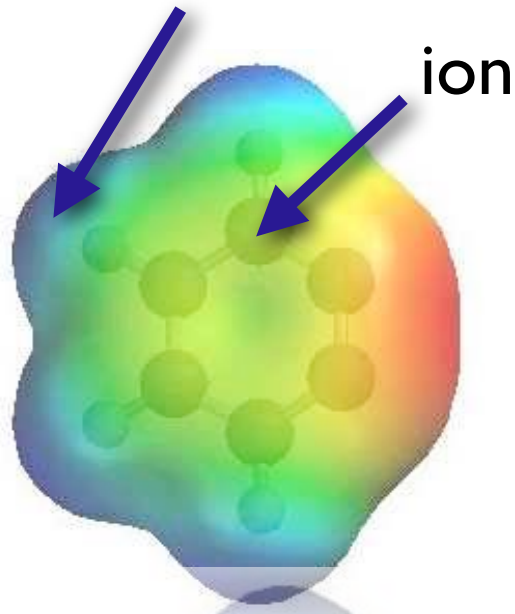
$$n = n(\vec{r})$$

electron
density:
easy!

Walter Kohn
DFT, 1964

Density functional theory

electron density n



Total energy is a functional of the electron density.

$$E[n] = T[n] + V_{ii} + V_{ie}[n] + V_{ee}[n]$$

kinetic ion-ion ion-electron electron-electron

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Density functional theory

$$E[n] = T[n] + V_{ii} + V_{ie}[n] + V_{ee}[n]$$

kinetic ion-ion ion-electron electron-electron

electron density

$$n(\vec{r}) = \sum_i |\phi_i(\vec{r})|^2$$

$$E_{\text{ground state}} = \min_{\phi} E[n]$$

Find the wave functions that minimize the energy using a functional derivative.

Density Functional Theory

Finding the minimum leads to
Kohn-Sham equations

$$\left[-\frac{\hbar^2}{2m} \nabla^2 + V_s(\vec{r}) \right] \phi_i(\vec{r}) = \epsilon_i \phi_i(\vec{r}),$$

$$V_s = V + \int \frac{e^2 n_s(\vec{r}')}{|\vec{r} - \vec{r}'|} d^3 r' + V_{\text{XC}}[n_s(\vec{r})],$$

ion potential

Hartree potential

exchange-correlation
potential

equations for non-interacting electrons

Density functional theory

$$V_s = V + \int \frac{e^2 n_s(\vec{r}')}{|\vec{r} - \vec{r}'|} d^3 r' + V_{\text{XC}}[n_s(\vec{r})],$$

Only one problem: v_{xc} not known!

approximations necessary



local density
approximation
LDA

general gradient
approximation
GGA

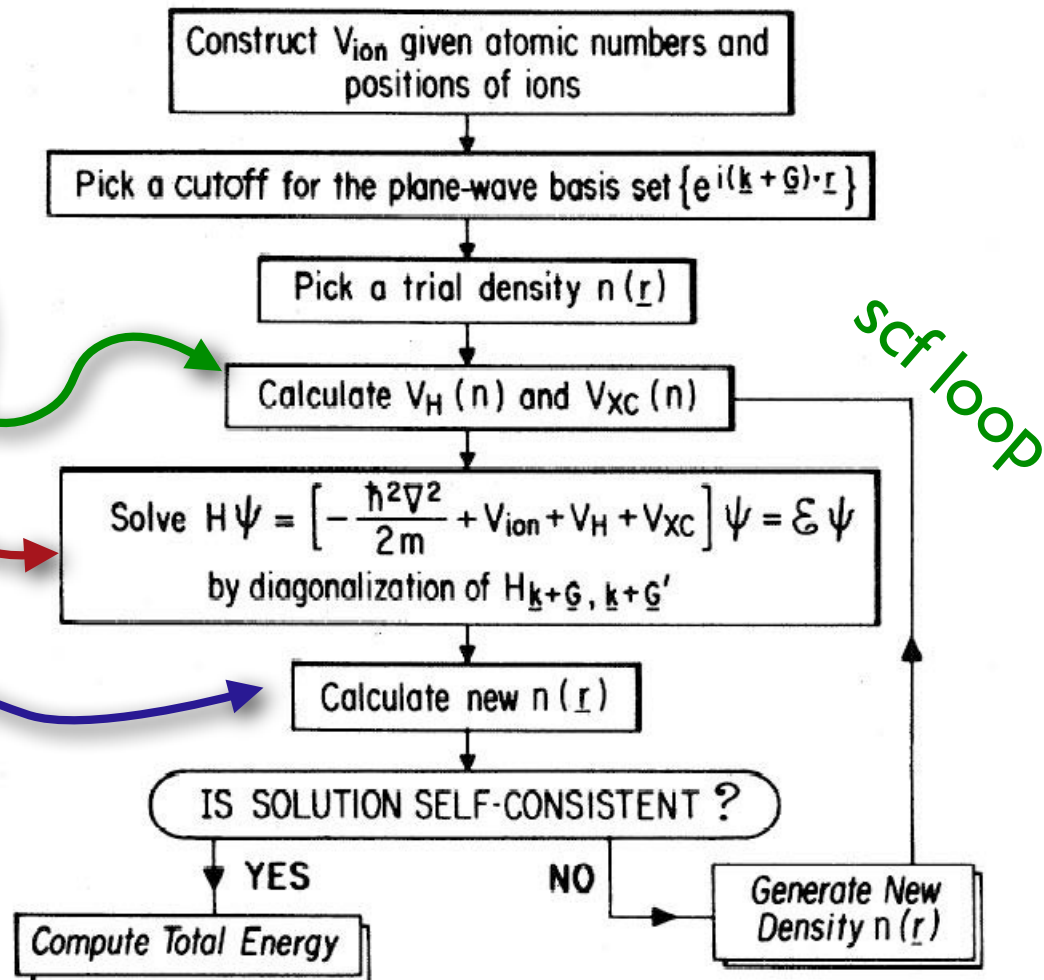
Self-consistent cycle

Kohn-Sham equations

$$\left[-\frac{\hbar^2}{2m} \nabla^2 + V_s(\vec{r}) \right] \phi_i(\vec{r}) = \epsilon_i \phi_i(\vec{r}),$$

$$V_s = V + \int \frac{e^2 n_s(\vec{r}')}{|\vec{r} - \vec{r}'|} d^3 r' + V_{XC}[n_s(\vec{r})],$$

$$n(\vec{r}) = \sum_i |\phi_i(\vec{r})|^2$$



Modeling software

name	license	basis functions	pro/con
ABINIT	free	plane waves	very structured
ONETEP	pay	Wannier functions	linear scaling
Wien2k	pay	Υ_{Im} + plane waves	very accurate
VASP	pay	plane waves	fast
PWscf	free	plane waves	fast

Basis functions

Matrix eigenvalue equation:

$$H\psi = E\psi$$

$$\psi = \sum_i c_i \phi_i$$

expansion in
orthonormalized basis
functions

$$H \sum_i c_i \phi_i = E \sum_i c_i \phi_i$$
$$\int d\vec{r} \phi_j^* H \sum_i c_i \phi_i = E \int d\vec{r} \phi_j^* \sum_i c_i \phi_i$$

$$\sum_i H_{ji} c_i = E c_j$$

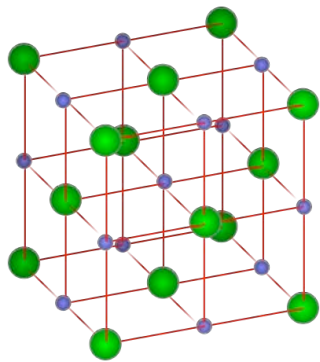
$$\mathcal{H}\vec{c} = E\vec{c}$$

Plane waves as basis functions

plane wave expansion: $\psi(\vec{r}) = \sum_j c_j e^{i\vec{G}_j \cdot \vec{r}}$

plane wave

Cutoff for a maximum G is necessary and results in a finite basis set.



periodic crystals:
Perfect!!! (next lecture)

Plane waves are periodic,
thus the wave function is periodic!



atoms, molecules:
be careful!!!

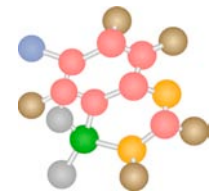
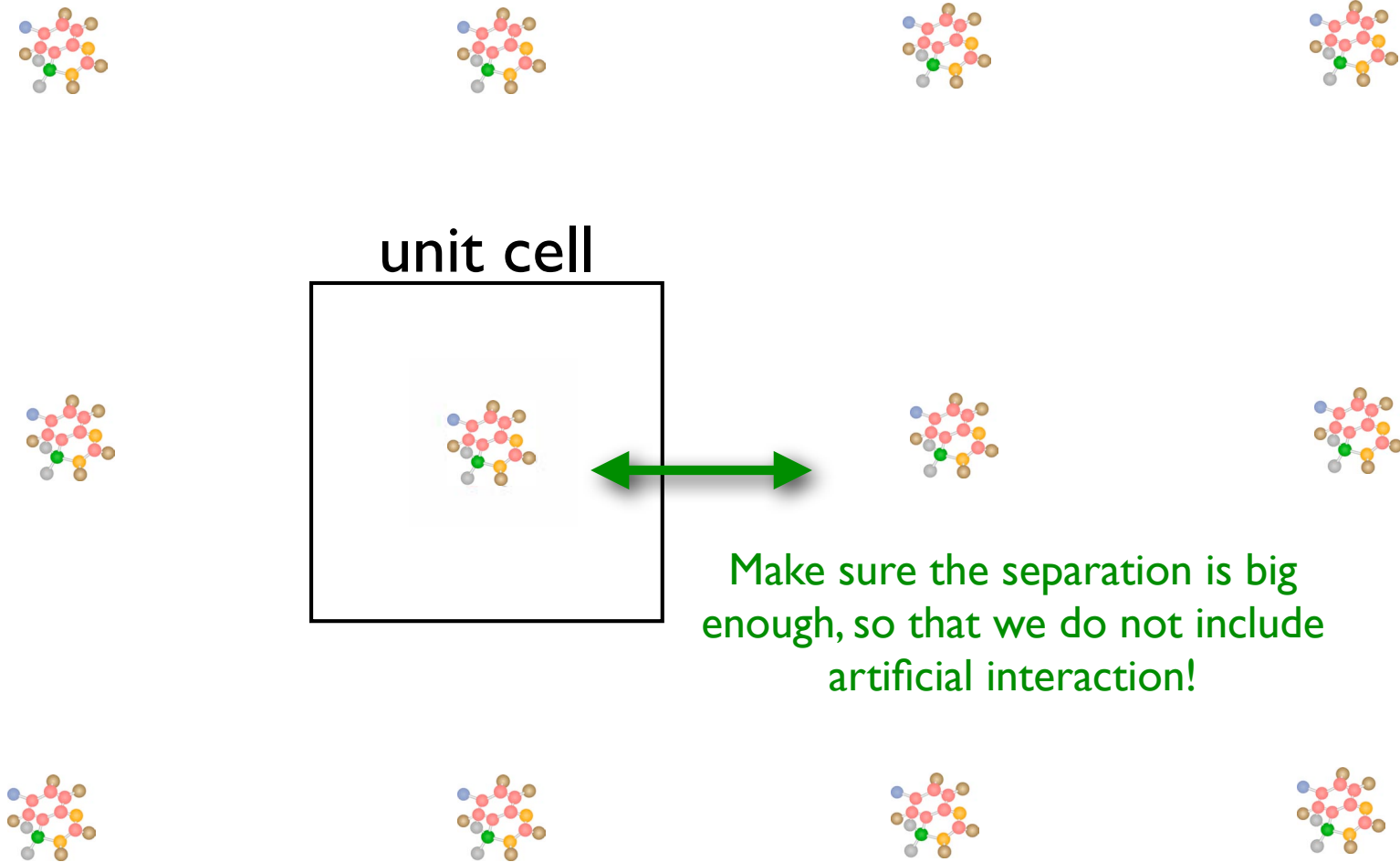


Image by MIT OpenCourseWare.

Put molecule in a big box



DFT calculations

scf loop

total energy =	-84.80957141 Ry
total energy =	-84.80938034 Ry
total energy =	-84.81157880 Ry
total energy =	-84.81278531 Ry
total energy =	-84.81312816 Ry
total energy =	-84.81322862 Ry
total energy =	-84.81323129 Ry

exiting loop;
result precise enough



At the end we get:

- 1) electronic charge density
- 2) total energy

- structure
- bulk modulus
 - binding energies
 - reaction paths
 - forces
 - pressure
 - stress
 - ...
- shear modulus
- elastic constants
- vibrational properties
- sound velocity

Convergence

Was my box big enough?

Was my basis big enough?



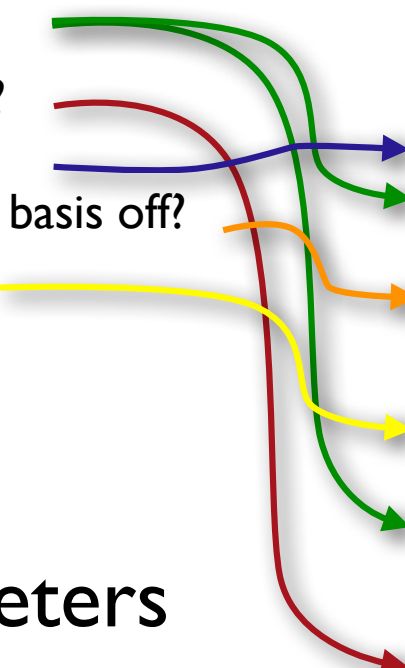
Did I exit the scf loop at the right point?

PWscf input

water.input

- What atoms are involved?
- Where are the atoms sitting?
- How big is the unit cell?
- At what point do we cut the basis off?
- When to exit the scf loop?

All possible parameters
are described in
INPUT_PW.



```
&control
  pseudo_dir = ""
/
&system
  lbray = 1
  celldm(1) = 15.0
  nat = 3
  ntyp = 2
  occupations = 'fixed'
  ecutwfc = 60.0
/
&electrons
  conv_thr = 1.0d-8
/
ATOMIC_SPECIES
  H 1.00794 hydrogen.UPF
  O 15.9994 oxygen.UPF
ATOMIC_POSITIONS {bohr}
  O 0.0 0.0 0.0
  H 2.0 0.0 0.0
  H 0.0 3.0 0.0
K_POINTS {gamma}
```


Review

- Review
- The Many-body Problem
- Hartree and Hartree-Fock
- Density Functional Theory
- Computational Approaches
- Modeling Software
- PWscf

Literature

- **Richard M. Martin**, Electronic Structure
- **Kieron Burke**, The ABC of DFT
chem.ps.uci.edu/~kieron/dft/
- **wikipedia**, “many-body physics”, “density functional theory”, “pwscf”, “pseudopotentials”, ...

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Spring 2011

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