Army Research Laboratory



Trace Conserving Purification for Linear Scaling [O(N)] Methods: A First Enhancement to CP2K

by Jonathan Mullin

ARL-CR-0746

September 2014

prepared by

Jonathan Mullin

under contract

W911NF-12-2-0019

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theory calculations low	ers the me	mory and time to	solution for analy	sis of chemical	systems. There is some improvement for			
low-sparsity systems, b	out the high	est speed-up is se	en in low band g	ap and highly sp	barse matrix problems. This work has been			
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1. Introduction

A quantum mechanical (QM) approach to materials science provides a gold standard atomistic picture of the mechanisms responsible for a range of phenomena seen in macroscopic and experimental situations. The need to understand materials science problems from atomistic to macroscale was the impetus for the US Army Research Laboratory to initiate the Enterprise for Multiscale Material Research. This long-term project attempts to redefine how materials science questions are posed and solved. To support this goal, current state-of-the-art QM capabilities need to be extended in the number of atoms that can be treated and the length scale of the dynamics that can be simulated. This extension is referred to as large-scale QM—large both spatially and temporally. This will enable fundamental advances in the understanding of materials science problems.

This is the first in a series of reports that will be required to realize the new capabilities needed to model realistic materials science problems. There are several areas of QM theory that may be able to address these material properties, which present unique strengths. We hope to exploit these advantages to gain new insight into the basic physical processes governing macroscopic material properties from atomistic simulations. The first focus will be on expanding the linear scaling methods currently implemented within the atomistic simulation package CP2K.¹ Future work may expand on this work in linear scaling or adding functionality to the basic linear scaling approach. Other methods to achieve linear scaling involve orbital transform free methods, fragmentation methods, and new molecular dynamics ensembles. These may also be investigated as they present advantages outside the current focus.

In the past decade, CP2K has become a standard tool of the computational chemistry community for efficient QM molecular dynamics. One area where CP2K has been a leader in the field is in linear scaling methods. CP2K mixes plane waves and Gaussian descriptions of atoms and their interactions. This explicitly lends itself well to linear scaling methods based on sparse matrix density functional methods. One approach is to use purification of the Kohn-Sham matrix. This is currently implemented in CP2K, though there have been recent developments in this area that could provide significant advantages over the current state of the art.^{2,3}

Purification is analogous to preconditioning in linear algebra, but the transformation is intended to resolve the Kohn-Sham matrix such that it becomes idempotent. This relies on predefined polynomials, which must balance the order of the polynomial with the number of iterations needed to create an idempotent matrix. A higher-order polynomial requires more matrix-matrix multiplications but may allow for fewer iterations. It has been shown that relatively low-order polynomials perform well.⁴ CP2K currently employs a fourth-order polynomial, which monotonically transforms the matrix to idempotency and is known as the fourth-order trace resetting (TRS4) method.⁵

A recently published method provides a framework for using a chosen polynomial but with nonmonotonic constraints on the polynomial² that allow treatment of a low band gap system. The nonmonotonic approach we chose to implement in CP2K was based on the second-order trace conserving (TC2) method,⁶ which allows for weighting of the polynomials based on the highest occupied molecular orbital (HOMO) and lowest unoccupied molecular orbital (LUMO) energies. This allows the polynomials to adapt as the matrix approaches idempotentcy. The method implemented is a second-order polynomial reducing the amount of memory required and the matrix-matrix multiplications. This allows for a larger number of atoms to be treated than currently available methods in CP2K. The nonmonotonic nature allows the purification to perform as well as the higher-order methods and even outperform the current state of the art at low band gaps.

The nonmonotonic TC2 method therefore allows for a lower memory footprint for the calculation. The memory savings come from having to save each multiplication intermediate. Generally, for a given order of polynomial (N), N-1 intermediates must be saved. The benefit of this can be seen in the largest calculation capable of being run. A single molecular dynamics step on 100K atoms can be treated with TC2 but not using the current TRS4 method implemented in CP2K. Another advantage of nonmonotonic TC2 is the ability to adapt the purification to the band gap. This is important as the difference between the HOMO and LUMO orbitals becomes very small. As the band gap becomes small, the purification must differentiate how to spread out the values of matrix, which becomes difficult for an arbitrarily chosen polynomial. The nonmonotonic approach allows the flexibility in the transformation to resolve the small eigenvalues.

CP2K is a freely available program, combining several other open source libraries to form a complete simulation package. Our implementation of the TC2 method in CP2K is most easily understood by looking at the following pseudo code. A full subroutine is included in the appendix. However, it uses many conventions and variables specific to CP2K and is therefore hard to understand without context.

PSEUDO CODE

Initiate from self consistent field convergence INPUTS: Kohn Sham Matrix (KS matrix), # occupied orbitals (nelectron), value of highest occupied molecular orbital (homo) , value of lowest unoccupied molecular orbital (lumo) Initialize: X = (eps_n*I - H)/(eps_n - eps_0) ... H* = S^-1/2*H*S^-1/2 Get largest/smallest eigenvalues for scaling Scale KS matrix Get X*X Set alpha, beta and betaB = 1

```
DO I=1, Max iter
      IF (do non monotonic) THEN
         IF ( trace fx > nelectron ) THEN
           alpha=2/(2-beta)
           Xn+1 = (aX+ (1-a)I)^{2}
           beta =(alpha*beta +1-alpha)**2
           betaB=(alpha*betaB+1-alpha)**2
         ELSE
           alpha=2/(1+betaB)
           Xn+1 = 2aX-a^{2}X^{2}
           beta =2*alpha*beta -(alpha*beta)**2
           betaB=2*alpha*betaB-(alpha*betaB)**2
      ELSE
         IF (trace fx > nelectron) THEN
           Xn+1 = X X
         ELSE
           Xn+1 = 2X-X*X
         ENDIF
      ENDIF
  Evaluate error associated with purification step. If below
threshold, exit loop
  ENDDO
Compute homo/lumo
Export X to an updated density
Return to self consistent field convergence
```

In this report, the nonmonotonic TC2 method of purification is compared with the TRS4 method already in CP2K. A series of calculations were run to gauge how effective the TC2 is for low and high band gap systems. The TC2 method lowers the memory requirements compared with TRS4, which allows larger systems to be simulated, as the current limiting factor on a commodity supercomputer tends to be the amount of memory per core. The nonmonotonic nature of the TC2 allows for faster convergence over traditional TC2 methods and is competitive with the higher order polynomial method TRS4. Further, the nonmonotonic TC2 outperforms TRS4 for low band gap systems where the purification can be adjusted based on the HOMO-LUMO gap in nonmonotonic TC2, leading to quicker idempotency of the Kohn-Sham matrix.

2. Results and Conclusions

Figure 1 shows a comparison of TC2 and TRS4 in which the time for each band gap is normalized to TRS4. Two systems were used to span the range of band gaps shown with real chemical examples rather than artificial matrix inputs. These are shown in Fig. 2. The 0.X band gap was a 1024 water case. This water box was constructed by an NVT (number, volume, temperature) simulation of TIP4P waters at 300 K, part of the test cases for CP2K. Subsequent

calculations were performed for extensions of an alpha helix of alanine molecules. This was chosen because the band gap is lowered as the alpha helix is extended. This is an effect of the induced dipoles on the alanine aligning in the turns of the alpha helix. Therefore, by adding more repeating units, we can simulate a particular band gap. The chart represents a 20, 40, 80 alanine repeat. These timings were run on a CRAY XE6 on 512 processors. These represent the average of two runs for each system and may be influenced by normal variations in timings due to communication bottlenecks. Another test probed how large of a system was feasible. A test of 104K atoms was constructed by creating a supercell from multiples of the 1024 water box. Both TRS4 and TC2 were run on 2048 processors. The TRS4 method failed to run from an out-of-memory error, while the TC2 was able to complete an energy evaluation with a double-zeta valence polarized basis set. This stems from the fact that the TC2 method is able to use two fewer copies of the Kohn-Sham matrix to perform the purification, making a significant difference at high atom counts. It may also explain some of the timing differences.



Fig. 1 Comparison of TRS4 and TC2 purification scheme times in CP2K. Timings are normalized to TRS4 for each band gap.



Fig. 2 Graphical representation of the 1024 water box (left) and a 40-subunit repeat of alanine in an alpha helix (right)

The TC2 method has been shown to provide significant advancements to the state of art in CP2K. There are some issues with premature identification of an idempotent matrix for the water case resulting in a 4-kcal/mol error for any size of water cluster. By lowering the eps_threshold (a numerical threshold for when to drop elements from the sparse matrix representation) slightly compared with TRS4, the TC2 method reproduces the TRS4 result. The deviation was consistent over an eps_threshold range of 1E-5 to 1E-7. This deviation of accuracy between the methods was not seen on diamond, alpha helixes, or graphene. It may be that the small contributions of the hydrogen bonding network are not being preserved as well as in the nonmonotonic approach. Current error estimation is designed for speed over accuracy, and this may not be an acceptable trade-off for the nonmonotonic polynomials. Future work might explore possible improvements such a using a Euclidean norm rather than a Frobenius norm in error estimation to alleviate premature idempotency identification for the nonmonotonic method.

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Appendix. The Subroutine and Function Added to CP2K

This appendix appears in its original form, without editorial change.

Insignificant changes were made to input parsing routines to allow execution of these subroutines.

```
!\!\!> \brief compute the density matrix using a non monotonic trace conserving algorithm
   !> \par History
           2013.08 created [Jonathan Mullin]
   !>
   !> \author Jonathan Mullin
   ! ******
                                 SUBROUTINE density matrix tc2(matrix p, matrix ks, matrix s sqrt inv, &
                                    nelectron, threshold, e_homo, e_lumo, e_mu, &
                                    dynamic threshold, non monotonic, &
                                    matrix ks deviation, max iter lanczos, &
                                    eps lanczos, error)
       TYPE(cp_dbcsr_type), INTENT(INOUT)
                                                :: matrix p
       TYPE(cp dbcsr type), INTENT(IN)
                                               :: matrix ks, matrix s sqrt inv
                                               :: nelectron
       INTEGER, INTENT(IN)
       REAL(KIND=dp), INTENT(IN)
                                                :: threshold
       REAL(KIND=dp), INTENT(INOUT)
                                               :: e homo, e lumo, e mu
       LOGICAL, INTENT(IN), OPTIONAL
                                               :: dynamic threshold
       LOGICAL, INTENT(IN), OPTIONAL
TYPE(cp_dbcsr_type), INTENT(INOUT)
                                               :: non_monotonic
:: matrix_ks_deviation
       INTEGER, INTENT(IN)
                                               :: max iter lanczos
       REAL(KIND=dp), INTENT(IN)
                                               :: eps_lanczos
       TYPE(cp_error_type), INTENT(inout)
                                                :: error
       CHARACTER(LEN=*), PARAMETER :: routineN = 'density matrix tc2', &
         routineP = moduleN//':'//routineN
       INTEGER, PARAMETER
                                                :: max iter = 100
       INTEGER
                                                :: estimated_steps, nne, &
                                                   handle, i, j, unit nr
       INTEGER(kind=int 8)
                                                :: flop1, flop2
       LOGICAL
                                                :: converged, do dyn threshold, &
                                                 do non monotonic
       REAL(KIND=dp) :: current threshold, eps max, eps min, est threshold, &
         frob id, frob x, homo, lumo, max eig, max threshold, maxdev, &
         maxev, min_eig, minev, mmin, mu, mu_a, mu_b, mu_c, mu_fa, mu_fc, &
occ_matrix, scaled_homo_bound, scaled_lumo_bound, t1, t2, trace_fx, &
          xi, alpha, beta, betaB
       TYPE(cp dbcsr type)
                                                :: matrix k0, matrix x, &
                                                  matrix xidsq, matrix xsq
                                                :: logger
       TYPE(cp logger type), POINTER
       CALL timeset (routineN, handle)
       logger => cp_error_get_logger(error)
       IF (logger%para env%mepos==logger%para env%source) THEN
          unit_nr=cp_logger_get_default_unit_nr(logger,local=.TRUE.)
       ELSE
          unit nr=-1
       ENDIF
       do dyn threshold = .FALSE.
       do non monotonic = .TRUE.
       IF (PRESENT (dynamic threshold)) do dyn threshold = dynamic threshold
       IF (PRESENT (non monotonic)) do non monotonic = non monotonic
       ! init X = (eps n*I - H)/(eps n - eps 0) ... H^* = S^{-1/2*H*S^{-1/2}}
       CALL cp dbcsr init(matrix x, error=error)
       CALL cp_dbcsr_create(matrix_x, template=matrix_ks, matrix_type=dbcsr_type_no_symmetry,
error=error)
       CALL cp dbcsr multiply("N", "N", 1.0 dp, matrix s sqrt inv, matrix ks,&
                              0.0_dp, matrix_x, filter_eps=threshold,error=error)
       CALL cp_dbcsr_multiply("N", "N", 1.0_dp, matrix_x, matrix_s_sqrt_inv, &
                             0.0 dp, matrix x, filter eps=threshold, error=error)
```

```
CALL cp dbcsr init(matrix k0,error=error)
        CALL
cp dbcsr create(matrix k0,template=matrix ks,matrix type=dbcsr type no symmetry,error=error)
        CALL cp dbcsr copy(matrix k0, matrix x, error=error)
        ! compute the deviation in the mixed matrix, as seen in the ortho basis
        CALL cp dbcsr add(matrix ks deviation, matrix x , -1.0 dp, 1.0 dp, error=error)
        CALL lanczos alg serial (matrix ks deviation, maxev, minev, max iter=max iter lanczos,
threshold=eps_lanczos, &
                                 converged=converged, error=error)
        maxdev = MAX(ABS(maxev), ABS(minev))
        IF (unit nr>0) THEN
           WRITE(unit_nr, '(T6,A,1X,L12)') "Lanczos converged: ", converge
WRITE(unit_nr, '(T6,A,1X,F12.5)') "change in mixed matrix: ", maxdev
                                                                         ", converged
                                                                         ", e_homo+maxdev
", e_lumo-maxdev
", ((e_lumo-maxdev)-
           WRITE(unit nr, '(T6,A,1X,F12.5)') "HOMO upper bound:
           WRITE(unit_nr, '(T6,A,1X,F12.5)') "LUMO lower bound:
           WRITE(unit nr, '(T6, A, 1X, L12)') "Predicts a gap ?
(e homo+maxdev))>0
        ENDIF
        ! save the old mixed matrix
        CALL cp dbcsr copy(matrix ks deviation, matrix x , error=error)
        ! get largest/smallest eigenvalues for scaling
        CALL lanczos alg serial(matrix x, max eig, min eig, max iter=max iter lanczos,
threshold=eps lanczos,&
                                  converged=converged, error=error)
IF (unit_nr>0) WRITE(unit_nr,'(T6,A,1X,2F12.5,1X,A,1X,L1)') "Est. extremal eigenvalues",
& min_eig, max_eig," converged: ",converged
        eps max = max eig
        eps min = min eig
        ! scale KS matrix
        CALL cp dbcsr scale(matrix x, -1.0 dp, error=error)
        CALL cp dbcsr add on diag(matrix x, eps max, error=error)
        CALL cp dbcsr scale (matrix x, 1/(eps max-eps min), error=error)
        ! scale bounds for HOMO/LUMO
        scaled homo bound = (eps max-(e homo+maxdev))/(eps max-eps min)
        scaled lumo bound = (eps max-(e lumo-maxdev))/(eps max-eps min)
        current threshold = threshold
        CALL cp dbcsr init(matrix xsq,error=error)
        CALL
cp dbcsr create(matrix xsq,template=matrix ks,matrix type=dbcsr type no symmetry,error=error)
    cp_dbcsr_create(matrix_xidsq,template=matrix_ks,matrix_type=dbcsr_type_no_symmetry,error=erro
r)
        beta=e lumo
        betaB=e homo
        alpha=1.0 dp
        DO i=1, max iter
          t1 = m \text{ walltime}()
          flop1 = 0; flop2 = 0
          ! get X*X
          CALL cp dbcsr multiply("N", "N", 1.0 dp, matrix x, matrix x,&
                                   0.0 dp, matrix xsq, &
                                   filter eps=current threshold,flop=flop1,error=error)
          ! intermediate use matrix p to compute = X*X-X
          CALL cp dbcsr copy(matrix p, matrix x, error=error)
          CALL cp dbcsr add(matrix p, matrix xsq, -1.0 dp, 1.0 dp, error=error)
          frob_id = cp_dbcsr_frobenius_norm(matrix_p)
          frob x = cp dbcsr frobenius norm(matrix x)
```

```
CALL cp_dbcsr_trace(matrix_x, trace_fx, error=error)
         ! quantities used for dynamic thresholding, when the estimated gap is larger than zero
         xi = (scaled homo bound-scaled lumo bound)
         IF (do dyn threshold .AND. xi > 0.0 dp) THEN
           mmin = 0.5* (scaled homo bound+scaled lumo bound)
           max threshold = ABS(1-2*mmin)*xi
           scaled_homo_bound = evaluate_tc2_polynomial(scaled_homo_bound, trace_fx, nelectron)
           scaled lumo bound = evaluate tc2 polynomial (scaled lumo bound, trace fx, nelectron)
           estimated steps = estimate steps (scaled homo bound, scaled lumo bound, threshold)
           est threshold =
(threshold/(estimated steps+i+1))*xi/(1+threshold/(estimated steps+i+1))
           est threshold = MIN(max threshold, est threshold)
           IF (i > 1) est threshold = MAX(est threshold, 0.1 dp * current threshold)
           current threshold = est threshold
         ELSE
           current threshold = threshold
         ENDIF
        IF(do_non_monotonic) THEN
         IF ( trace fx > nelectron ) THEN
   ! Xn+1 = (aX+(1-a)I)^2
           alpha=2/(2-beta)
           CALL cp dbcsr scale(matrix xsq, alpha**2, error=error)
           CALL cp dbcsr add on diag(matrix xsq, 1.0-alpha**2, error=error)
           CALL cp_dbcsr_copy(matrix_x, matrix_xsq, error=error)
           CALL cp dbcsr filter(matrix x, current threshold, error=error)
           beta =(alpha*beta +1-alpha)**2
           betaB=(alpha*betaB+1-alpha)**2
         ELSE
   ! Xn+1 = 2aX-a^{2}X^{2}
           alpha=2/(1+betaB)
           CALL cp_dbcsr_add(matrix_x, matrix_xsq, 2.0_dp*alpha, -1.0_dp*alpha**2, error=error)
           CALL cp dbcsr filter(matrix x, current threshold, error=error)
           beta =2*alpha*beta -(alpha*beta )**2
           betaB=2*alpha*betaB-(alpha*betaB)**2
         ENDIF
        ELSE
   !
         IF (trace fx > nelectron) THEN
           ! Xn+1 = X*X
           CALL cp dbcsr copy(matrix x, matrix xsq, error=error)
         ELSE
           ! Xn+1 = 2X-X*X
           CALL cp dbcsr add(matrix x, matrix xsq, 2.0 dp, -1.0 dp, error=error)
           CALL cp dbcsr filter(matrix x, current threshold, error=error)
         ENDIF
        ENDIF
         occ matrix = cp dbcsr get occupation (matrix x)
         t2 = m \text{ walltime}()
         IF (unit nr>0) THEN
              WRITE (unit nr,&
                          '(T6,A,I3,1X,F10.8,E12.3,F12.3,F13.3,E12.3)') "TC2 it ", &
                         i, occ_matrix, t2-t1,&
                         (flop1+flop2)/(1.0E6 dp*(t2-t1)), current threshold
            CALL m_flush(unit_nr)
         ENDIF
```

```
IF (unit nr>0) WRITE(unit nr, '(T6, A, 5E12.3)')
"Err", frob id, frob x, threshold, ABS (frob id/frob x), SQRT (threshold)
          IF (ABS(frob id/frob x) < SQRT(threshold) ) EXIT</pre>
        END DO
        occ_matrix = cp_dbcsr_get_occupation(matrix_x)
        IF (unit nr>0) WRITE(unit nr, '(T6,A,I3,1X,F10.8)') 'Final TC2 iteration ', i,
occ_matrix
        ! free some memory
        CALL cp_dbcsr_release(matrix_xsq, error=error)
        CALL cp dbcsr release (matrix xidsq, error=error)
    1
        ! output to matrix p, P = inv(S)^{0.5} X inv(S)^{0.5}
        CALL cp_dbcsr_multiply("N", "N", 1.0_dp, matrix_x, matrix_s_sqrt_inv,&
        0.0_dp, matrix_p, filter_eps=threshold,error=error)
CALL cp_dbcsr_multiply("N", "N", 1.0_dp, matrix_s_sqrt_inv, matrix_p,&
                                 0.0 dp, matrix p, filter eps=threshold, error=error)
    compute_homo_lumo(matrix_k0,matrix_x,eps_min,eps_max,threshold,max_iter_lanczos,eps_lanczos,h
omo, lumo, unit nr, error)
        e homo = homo
        e lumo = lumo
        beta=lumo
        betaB=homo
        CALL cp_dbcsr_release(matrix_x, error=error)
        CALL cp_dbcsr_release(matrix_k0, error=error)
CALL timestop(handle)
      END SUBROUTINE density matrix tc2
      FUNCTION evaluate tc2 polynomial(x, trace fx, nelectron) RESULT (xr)
        REAL (KIND=dp)
                                                     :: x,trace fx
        INTEGER
                                                     :: i,nelectron
        REAL(KIND=dp)
                                                     :: xr
        INTEGER
                                                     :: k
        i=1
        xr = x
        DO k=1,i
          IF (trace_fx < nelectron) THEN
            xr = 2*xr - xr*2
          ELSE
           xr = xr^{*2}
          ENDIF
        ENDDO
```

```
END FUNCTION evaluate tc2 polynomial
```

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