Universal Structure Predictor:
Evolutionary Xtallography

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1 Features, aims and history of USPEX

1.1 Overview

USPEX stands for Universal Structure Predictor: Evolutionary Xtallography... and in Russian “успех” means “success”, which is appropriate given the high success rate and many useful results produced by this method! The USPEX code possesses many unique capabilities for computational materials discovery. Here is a list of features: ...

From the beginning in 2004, non-empirical crystal structure prediction was the main aim of the USPEX project. In addition to this, USPEX also allows one to predict a large set of robust metastable structures and perform several types of simulations using various degrees of prior knowledge. Starting from 2010, our code explosively expanded to other types of problems, and from 2012 includes many complementary methods.

The problem of crystal structure prediction is very old and does, in fact, constitute the central problem of theoretical crystal chemistry. In 1988 John Maddox wrote that:

“One of the continuing scandals in the physical sciences is that it remains in general impossible to predict the structure of even the simplest crystalline solids from a knowledge of their chemical composition... Solids such as crystalline water (ice) are still thought to lie beyond mortals’ ken”.

It is immediately clear that the problem at hand is that of global optimization, i.e., finding the global minimum of the free energy of the crystal (per mole) with respect to variations of the structure. To get some feeling of the number of possible structures, let us consider a simplified case of a fixed cubic cell with volume \( V \), within which one has to position \( N \) identical atoms. For further simplification let us assume that atoms can only take discrete positions on the nodes of a grid with resolution \( \delta \). This discretization makes the number of combinations of atomic coordinates \( C \) finite:

\[
C = \frac{1}{(V/\delta^3)!} \frac{(V/\delta^3)!}{[(V/\delta^3) - N]!N!} \tag{1}
\]

If \( \delta \) is chosen to be a significant fraction of the characteristic bond length (e.g., \( \delta = 1 \, \text{Å} \)), the number of combinations given by eq. 1 would be a reasonable estimate of the number of local minima of the free energy. If there are more than one type of atoms, the number of different structures significantly increases. Assuming a typical atomic volume \( \sim 10 \, \text{Å}^3 \), and taking into account Stirling’s formula \( (n!) \approx \sqrt{2\pi n}(n/e)^n \), the number of possible structures for an element A (compound AB) is \( 10^{11} \) (\( 10^{14} \)) for a system with 10 atoms in the unit cell, \( 10^{25} \) (\( 10^{30} \)) for a system with 20 atoms in the cell, and \( 10^{39} \) (\( 10^{47} \)) for a system with 30 atoms in the unit cell. These numbers are enormous and practically impossible to deal with even for small systems with a total number of atoms \( N \sim 10 \).
Even worse, complexity increases exponentially with $N$. It is clear then, that point-by-point exploration of the free energy surface going through all possible structures is not feasible, except for the simplest systems with $\sim$1-5 atoms in the unit cell.

USPEX\textsuperscript{2,3} employs an evolutionary algorithm devised by A.R. Oganov and C.W. Glass, with major subsequent contributions by A.O. Lyakhov and Q. Zhu. Its efficiency draws from the carefully designed variation operators, while its reliability is largely due to the use of state-of-the-art \textit{ab initio} simulations inside the evolutionary algorithm. The strength of evolutionary simulations is that they do not require any system-specific knowledge (except the chemical composition) and are self-improving, i.e. in subsequent generations increasingly good structures are found and used to generate new structures. This allows a “zooming in” on promising regions of the energy (or property) landscape (Fig. 1). Furthermore, by carefully designing variation operators, it is very easy to incorporate additional features into an evolutionary algorithm.

![Figure 1: 2D projection of the reduced landscape of Au$_8$Pd$_4$, showing clustering of low-energy structures in one region. The landscape was produced using the method of Oganov & Valle (2009).](image)

A major motivation for the development of USPEX was the discovery of the post-perovskite phase of MgSiO$_3$ (Fig. 2), which was made in 2004\textsuperscript{4,5} and has significantly changed models of the Earth’s internal structure. In mid-2005 we had the first working version of USPEX. By September 2010, when USPEX was publicly released, the user community numbered nearly 200, over 800 users in May 2012, and over 2100 in December 2014.

The popularity of USPEX is due to its extremely high efficiency and reliability. This was shown in the First Blind Test for Inorganic Crystal Structure Prediction\textsuperscript{6} where USPEX outperformed the other methods it was tested against (simulated annealing and random sampling). Random sampling (a technique pioneered for structure prediction by Freeman and Schmidt in 1993 and 1996, respectively, and since 2006 revived by Pickard\textsuperscript{7} under the name AIRSS) is the simplest, but also the least successful and computationally the most expensive strategy. Even for small systems, such as GaAs with 8 atoms/cell, these
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Figure 2: Prediction of the crystal structure of MgSiO$_3$ at 120 GPa (20 atoms/cell). Enthalpy of the best structure as a function of generation is shown. Between the 6$^{th}$ and 12$^{th}$ generations the best structure is perovskite, but at the 13$^{th}$ generation the global minimum (post-perovskite) is found. This simulation was performed in 2005 using one of the first versions of USPEX combined with ab initio calculations. It used no experimental information and illustrates that USPEX can find both the stable and low-energy metastable structures in a single simulation. Each generation contains 30 structures. This figure illustrates the slowest of $\sim$10 calculations performed by the very first version of USPEX — and even that was pretty fast!

advantages are large (random sampling requires on average 500 structure relaxations to find the ground state in this case, while USPEX finds it after only $\sim$30 relaxations! (Fig. 3)). Due to the exponential scaling of the complexity of structure search (eq. 1), the advantages of USPEX increase exponentially with system size. For instance, 2 out of 3 structures of SiH$_4$ predicted by random sampling to be stable, turned out to be unstable, and similarly random sampling predictions were shown to be incorrect for nitrogen and for SnH$_4$ (compare predictions of USPEX and of random sampling).

For larger systems, random sampling tends to produce almost exclusively disordered structures with nearly identical energies, which decreases the success rate to practically zero, as shown in the example of MgSiO$_3$ post-perovskite with 40 atoms/supercell — random sampling fails to find the correct structure even after 120,000 relaxations, whereas USPEX finds it after several hundred relaxations (Fig. 4).

Random sampling runs can easily be performed with USPEX — but we see this useful mostly for testing. Likewise, the Particle Swarm Optimization (PSO) algorithm for cluster and crystal structure prediction (developed by A.I. Boldyrev and re-implemented by Wang, Lu, Zhu and Ma) has been revamped and implemented on the basis of USPEX with minor programming work as a corrected PSO (corPSO) algorithm, which outperforms previous versions of PSO. Still, any version of PSO is rather weak and we see the PSO approach suitable mostly for testing purposes, if anyone wants to try. A very powerful new method, complementary to our evolutionary algorithm, is evolutionary metadynamics, a hybrid of Martoňák’s metadynamics and the Oganov-Glass evolutionary approach. This method is powerful for global optimization and for harvesting low-energy metastable structures, and even for finding possible phase transition pathways. For detailed investiga-
Figure 3: Structure prediction for GaAs. a) Energy distribution for relaxed random structures, b) progress of an evolutionary simulation (thin vertical lines show generations of structures, and the grey line shows the lowest energy as a function of generation). All energies are relative to the ground-state structure. The evolutionary simulation used 10 structures per generation. In addition, the lowest-energy structure of the previous generation survived into the next generation.

Figure 4: Sampling of the energy surface: comparison of random sampling and USPEX for a 40-atom cell of MgSiO$_3$ with cell parameters of post-perovskite. Energies of locally optimized structures are shown. For random sampling, 1.2 x 10$^5$ structures were generated (none of which corresponded to the ground state). For USPEX search, each generation included 40 structures and the ground-state structure was found within 15 generations. The energy of the ground-state structure is indicated by the arrow. This picture shows that “learning” incorporated in evolutionary search drives the simulation towards lower-energy structures.
tions of phase transition mechanisms, additional methods are implemented: variable-cell NEB method\textsuperscript{14} and transition path method\textsuperscript{19} in the version\textsuperscript{10}.

### 1.2 Features of USPEX

- Prediction of the stable and metastable structures knowing only the chemical composition. Simultaneous searches for stable compositions and structures are also possible.

- Incorporation of partial structural information is possible:
  - constraining search to fixed experimental cell parameters, or fixed cell shape, or fixed cell volume (Subsection \textsuperscript{4.6});
  - starting structure search from known or hypothetical structures (Subsection \textsuperscript{8.3});
  - assembling crystal structures from predefined molecules, including flexible molecules (Subsection \textsuperscript{5.1}).

- Efficient constraint techniques, which eliminate unphysical and redundant regions of the search space. Cell reduction technique (Oganov & Glass, 2008).

- Niching using fingerprint functions (Oganov & Valle, 2009; Lyakhov, Oganov, Valle, 2010). Subsection \textsuperscript{4.9} for details.

- Initialization using fully random approach, or using space groups and cell splitting techniques (Lyakhov, Oganov, Valle, 2010).

- On-the-flight analysis of results — determination of space groups (and output in CIF-format) (Subsection \textsuperscript{4.11}), calculation of the hardness, order parameters, \textit{etc}.

- Prediction of the structure of nanoparticles and surface reconstructions. See Section \textsuperscript{5.3} for details.

- Restart facilities, enabling calculations to be continued from any point along the evolutionary trajectory (Subsection \textsuperscript{4.7}).

- Powerful visualization and analysis techniques implemented in the STM4 code (by M. Valle), fully interfaced with USPEX (Subsection \textsuperscript{8.1}).

- USPEX is interfaced with VASP, SIESTA, GULP, LAMMPS, DMACRYS, CP2K, Quantum Espresso, FHI-aims, ATK, CASTEP, Tinker, MOPAC codes. See full list of supported codes in Subsection \textsuperscript{2.5}. Interfacing with other codes is easy.

- Submission of jobs from local workstation to remote clusters and supercomputers is possible. See Section \textsuperscript{8.10} for details.
• Options for structure prediction using the USPEX algorithm (default), random sampling, corrected particle swarm optimization (Subsection 5.7), evolutionary metadynamics (Subsection 5.6), minima hopping-like algorithm. Capabilities to predict phase transition mechanisms using evolutionary metadynamics, variable-cell NEB method (Subsection 6.1), and TSP method (Subsection 6.2).

• Options to optimize physical properties other than the energy — *e.g.*, hardness (Lyakhov & Oganov, 2011), density (Zhu et al., 2011), band gap and dielectric constant (Zeng et al., 2014), and many other properties.

• For ease of programming and use, USPEX is written in MATLAB and it also works under Octave (a free MATLAB-like environment) — you do not need to compile anything, just plug and play! To enhance MATLAB-version compatibility, only basic MATLAB commands have been used. The code has been developed and tested under Matlab 2012 to 2015 and Octave 3.4 (*newer Octave versions are not supported yet!*).

• Starting from version 9.4.1, USPEX has an installer (*install.sh* file) and a Python-based runner of MATLAB code (*USPEX* Python module), providing a number of useful command line options.

### 1.3 Key USPEX papers


1.4 Version history


**v.3** — Evolutionary algorithm with local optimization.

**v.3.1** — Working versions, sequential. Major basic developments.

3.1.4-3.1.5 — First production version. Based largely on heredity with slice-shifting and with minimum-parent contribution (hard-coded to be 0.25). May 2005.

3.1.8 — Adaptive $k$-point grids. 15/10/2005.


3.1.12 — Production version based on v.3.1.11, variable slice-shift mutation. 11/11/2005.


**v.3.2** — Massively parallel version.

**v.4** — Unified parallel/sequential version.

4.1.1 — Lattice mutation. 20/12/2005 (debugged 10/01/2006).

4.2.1 — Interfaced with SIESTA. Initial population size allowed to differ from the running population size. 24/01/2006 (debugged 20/04/2006).


4.4.1 — Interfaced with GULP. 08/05/2006.

**v.5** — Completely rewritten and debugged version, clear modular structure of the code.

5.1.1 — Atom-specific permutation, code interoperability, on-the-fly reading of parameters from INPUT_EA.txt. 20/12/2006.

5.2.1 — SIESTA-interface for Z-matrix, rotational mutation operator. 01/03/2007.

**v.6** — Production version.

6.1.3 — To efficiently fulfill hard constraints for large systems, an optimizer was implemented within USPEX. 07/06/2007.
6.2 — Development version.
6.3.1–6.3.2 — Introduced angular constraints for cell diagonals. Completely rewritten remote submission. Improved input format. Further extended standard tests. 07/12/2007.
6.3.3 — X-com grid interface (with participation of S. Tikhonov and S. Sobolev). 05/03/2008.
6.4.1 — Fingerprint functions for niching. 07/04/2008.
6.4.4 — Space group recognition. Fast fingerprints (from tables). 05/05/2008.
6.6.3 — Heredity with multiple parents implemented. 01/10/2008.
6.6.4 — Added a threshold for parents participating in heredity (niching). 03/10/2008.
6.6.6 — First implementation of multicomponent fingerprints. 04/12/2008.
6.6.7, 6.7.1 and 6.7.2 — Implemented quasi-entropy to measure the diversity of the population. 10/12/2008.

v.7 — Production version, written to include variable composition.
7.1.1–7.1.7 — Series of improved versions. Version 7.1.7 has been distributed to ~200 users. Variable composition partly coded, most known bugs fixed, improved tricks based on energy landscapes. Improved cell splitting, implemented pseudo-subcells. Implemented multicomponent fingerprints (much more sensitive to the structure than one-component fingerprints). 28/04/2009 (version finalized 28/05/2009).
7.2.5 — First fully functional version of the variable-composition method. Introduced transmutation operator and compositional entropy. 06/09/2009.
7.2.7 — Thoroughly debugged, improved restart capabilities, improved seeding, introduced perturbations within structure relaxation. 25/09/2009, further improved in versions 7.2.8/9.
7.3.0 — Full fingerprint support in the variable-composition code, including niching. “Fair” algorithm for producing the first generation of compositions. 22/10/2009.
7.4.1 — Introduced coordinate mutation based on local order. Heredity and transmutation are also biased by local order. Introduced computation of the hardness and new types of optimization by hardness and density. 04/01/2010.
7.4.2 — Implementation of multiple-parents heredity biased by local order. 15/01/2010.
7.4.3 — Implementation of new types of optimization (to maximize structural order and diversity of the population). Implemented antiseeds, eliminated parameters \texttt{volTimeConst}, \texttt{volBestHowMany}. 24/01/2010.

v.8 — Production version, written to include new types of optimization.
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recommended for applications, due to PSO’s inferior efficiency — so use only for testing purposes). Parameter \texttt{goodBonds} transformed into a matrix and used for building nanoparticles. 22/09/2010.

8.3.1 — Optimization of dielectric constants, cleaned-up input. 08/10/2010.

8.3.2 — For clusters, introduced a check on connectivity (extremely useful), \texttt{dynamicalBestHM}=2 option improved, as well as mechanism for producing purely softmutated generations. Improved fingerprints for clusters. Interface to Quantum Espresso and CP2K codes. 11/10/2010.

8.4 — Improved antiseed functionalities and several improvements for nanoparticles. Development branches for surface reconstructions, pseudo-metadynamics, molecular crystals.

8.5.0 — Initialization of the first random generation using the space group code of H. Stokes added. New formulation of metadynamics implemented and finalized, for now in a separate code. Several debugs for \texttt{varcomp}, antiseeds, nanoparticles, computation of hardness. 18/03/2011.

8.5.1 — Space group initialization implemented for cases of fixed unit cell, variable composition, and subcells. 20/04/2011.

8.6.0 — Added space group determination program from H. Stokes. Merger with the updated code for molecular crystals (including space group initialization). Fixed a bug for SIESTA (thanks to D. Skachkov). 06/05/2011.

8.6.1–8.7.2 — Improved symmetric initialization for the case of a fixed cell. Implemented optimization of dielectric constants (using GULP and VASP), band gap (using VASP), and DOS at the Fermi level (VASP). Graphical output enabled. Improved softmutation (by using better criteria for mode and directional degeneracies) and heredity (by using energy-order correlation coefficient and cosine formula for the number of trial slabs) operators. Most variables now have default values, which enables the use of very short input files. Shortened and improved the format of log-files. 13/11/2011.

8.7.5 — Graphical output now includes many extra figures. Added utility to extract all structures close to convex hull for easier post-processing. 21/03/2012.

v.9 — Production version, made more user-friendly and written to include new types of functionality and to set the new standard in the field.

9.0.0 — Evolutionary metadynamics and VCNEB codes added to USPEX package, added tensor version of metadynamics, added additional figures and post-processing tools, cleaned the code output. A few parameters removed from the input. Improved softmutation. April 2012.

9.1.0 — Release version. Cleaned up, documented. The user community is >800 people. Released 28/05/2012.

9.2.0 — Working GEM. Constant development of the GEM code. Space group determination tolerance is now an input parameter. Improved default for number of permutations. July-August 2012.

9.2.1–9.2.3 — Improved GEM, more diverse populations and supercell sizes, improved mode selection. September-October 2012.

9.2.4–9.2.6 — (9.2.4 is a release version). Intelligent defaults for most input parameters. Improved symmetric initialization for clusters. Order-enhanced heredity for nanoparticles. New
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Parameter to tune the tolerance for the space group determination. New property (quasientropy) can be optimized. Fully integrated VCNEB code. November-December 2012.

9.2.7. — Release version. Enabled optimization of order for alloys, without structure relaxation (for easy creation of quasirandom structures, based on the more general definition than the so-called “special quasi-random structures”). Symmetry generation was improved (particularly important for fixed-cell calculations). For fixed-cell calculations, one can now specify the cell parameters, not only in the form of a $3 \times 3$ matrix, but also as a row of six values (three lengths in Angstroms and three angles in degrees). For the maximum number of permutation swaps (parameter `howManySwaps`), we have introduced an intelligent default. Added new tests, and cleaned and reran the old ones. Added interface to CASTEP (thanks to Z. Raza, X. Dong and AL). User community 1160 people. 30/12/2012.

9.3.0—9.3.3 — Fixed a bug in generation of random symmetric structures (this bug appeared in 9.2.7). Significantly simplified input and output. Created file `OUTPUT.txt` with the most important information. Enabled split-cell trick for molecular crystals. Improved variable-composition calculations by allowing one to specify initial compositions. Added interface to CASTEP and LAMMPS. Added new test cases. 20/03/2013.

9.3.4 — Release version, cleaned up. 25/03/2013.

9.3.5 — Added code for prediction of 2D-crystals. 19/04/2013.

9.3.6 — Incorporated plane groups for 2D-crystals. 29/04/2013.

9.3.8 — Incorporated plane groups for 1D-polymer crystals, improved variables of stoichiometry for surfaces. 19/06/2013.

9.3.9 — Released version. Significantly improved version, improved user-friendliness, new functionalities (2D-crystals, GEM) made more robust, improvements in the variable-composition algorithm (and enabled support for single-block calculations, i.e. fixed-composition searches with variable number of atoms in the cell), fully functional surface calculations, new optimization types (can optimize band gaps, dielectric constants, and newly invented figure of merit of dielectric materials). Interfaces with LAMMPS and ATK are documented in new test cases. Continuously updated with minor debugs (last debug 10/02/2014). 19/07/2013.

9.4.1 — A major upgrade, greatly improved user-friendliness (automatic estimate of volumes and of percentages of variation operators for each case), new functionalities (optimization of elastic properties and Chen’s model of hardness, prediction of polymeric structures, anti-compositions, automatic analysis of statistics, improved seed technique), first release of GEM (generalized evolutionary metadynamics), provided a set of real-life examples of USPEX calculations, test cases, documentation. More than 2100 users. Released 30/12/2014.


9.4.3 — Release version. It includes fixing a number of bugs (which should slightly speed up performance), interface with MOPAC, improved documentation. Released 10/08/2015.

9.4.4 — Release version. It includes fix for space group determination and other problems
reported by users, improved documentation and examples, full Octave 3.4 compatibility and partial Octave 3.6/3.8/4.0 support. This version should be nearly bug-free and is a milestone towards a very major upgrade, which will be made available in version 10. Released 05/10/2015.
2 Getting started

2.1 How to obtain USPEX

USPEX is an open source code, and can be downloaded at:

http://uspex-team.org

In the download page, there are separate packages for USPEX source code, examples and manual files.

2.2 Necessary citations

Whenever using USPEX, in all publications and reports you must cite the original papers, for example, in the following way:

“Crystal structure prediction was performed using the USPEX code\cite{21,31,35}, based on an evolutionary algorithm developed by Oganov, Glass, Lyakhov and Zhu and featuring local optimization, real-space representation and flexible physically motivated variation operators”.

Consult the OUTPUT.txt file for some of the most important references.

2.3 Bug reports

Like any large code, USPEX may have bugs. If you see strange behavior in your simulations, please report it to us in USPEX Google group at:

https://groups.google.com/forum/#!forum/uspex

Please describe your problem in details and attach INPUT.txt, OUTPUT.txt, log and other related files when you report a problem. You can also send the questions or problem descriptions to USPEX master (currently — Zahed Allahyari (zahed.allahyari@gmail.com)).

2.4 On which machines USPEX can be run

USPEX can be used on any unix-based platform — all you need is one CPU where MATLAB or Octave can be run under Linux, Unix or Mac OS X— using its special remote submission mechanism, USPEX will be able to connect to any remote machine (regardless of whether MATLAB is installed there) and use it for calculations.
2.5 Codes that can work with USPEX

Trial structures generated by USPEX are relaxed and then evaluated by an external code interfaced with USPEX. Based on the obtained ranking of relaxed structures, USPEX generates new structures — which are again relaxed and ranked. Our philosophy is to use existing well-established \textit{ab initio} (or classical forcefield) codes for structure relaxation and energy calculations. Currently, USPEX is interfaced with:

- VASP — \url{https://www.vasp.at/}
- SIESTA — \url{http://departments.icmab.es/leem/siesta/}
- GULP — \url{http://nanochemistry.curtin.edu.au/gulp/}
- LAMMPS — \url{http://lammps.sandia.gov/}
- DMACRYS — \url{http://www.chem.ucl.ac.uk/basictechorg/dmacry/index.html}
- CP2K — \url{http://www.cp2k.org/}
- Quantum Espresso — \url{http://www.quantum-espresso.org/}
- FHI-aims — \url{https://aimsclub.fhi-berlin.mpg.de/}
- ATK — \url{http://quantumwise.com/}
- CASTEP — \url{http://www.castep.org/}
- Tinker — \url{http://dasher.wustl.edu/tinker/}
- MOPAC — \url{http://openmopac.net/}
- Gaussian — \url{http://www.gaussian.com/index.htm}
- ORCA — \url{https://orcaforum.cec.mpg.de}
- SCPH — \url{http://www.uquantchem.com/scaild.html}
- BoltzTraP — \url{http://www.imc.tuwien.ac.at/forschungsbereich_theoretische_chemie/forschungsgruppen/prof_dr_gkh_madsen_theoretical_materials_chemistry/boltztrap/}
- DFTB — \url{http://www.dftb-plus.info}

The choice of these codes was based on 1) their efficiency for structure relaxation; 2) robustness; and 3) popularity. Of course, there are other codes that can satisfy these criteria, and in the future we can interface USPEX to them.
2.6 How to install USPEX

After you download the archive with USPEX, you need to unpack it and run the following command to install USPEX to a user’s or system-wide location:

```
bash ./install.sh
```

The installer does not require root privileges. You will be asked to select MATLAB or Octave (if it is found in the system), installation directory and to confirm creation/using of that directory. Then you will be provided with information about environmental variables, which must be set to make USPEX available in the system. For example:

For Bash shell system, add these lines in "/.bashrc or "/.profile or /etc/profile:
```
export PATH=/home/user/bin/USPEX:$PATH
export USPEXPATH=/home/user/bin/USPEX/src
```

For C shell system, add these lines in "/.cshrc or "/.profile or /etc/profile:
```
setenv PATH "/home/user/bin/USPEX:$PATH"
setenv USPEXPATH "/home/user/bin/USPEX/src"
```

If you want to change the path of MATLAB or Octave, you can edit the file CODEPATH in the installation directory of USPEX.

2.7 How to run USPEX

To run USPEX, you need to have MATLAB (preferred) or Octave and to have the executable of the external code on the compute nodes that you use for relaxing structures and computing their energies (see Subsection 2.5 for a list of supported codes). To set up your calculation, find an example (see Appendix 9.1 for a list of examples), similar to what you want to do, and start by editing INPUT.txt. The variables of this crucial file are described in Section 4 below. Then, gather the files needed for the external code performing structure relaxation in the Specific/ folder — the executable (e.g., vasp), and such files as INCAR_1, INCAR_2, ..., INCAR_N, and POTCAR_A, POTCAR_B, ..., where A, B, ... are the symbols of the chemical elements of your compound.

There are two ways to run the code — old and new, and both work.

(i) In the old way, you need to have the entire USPEX code (file USPEX.m, directory FunctionFolder, etc.) in your execution folder. Then type

```
nohup matlab < USPEX.m > log &
```

or, if you use Octave, type

```
nohup octave < USPEX.m > log &
```
(ii) In the new way, if you used the USPEX installer for the Python-based runner, all you need to execute the code is just type:

```
nohup USPEX -r > log &
```

or, if you use Octave, type

```
nohup USPEX -r -o > log &
```

File `log` will contain information on the progress of the simulation and, if any, errors (send these to us, if you would like to report a bug).

File `OUTPUT.txt` will contain details of the calculation and an analysis of each generation.

For the USPEX runner, we have a number of user-friendly options:

- **-v, --version**: show program’s version number and exit
- **-h, --help**: show help message and exit
- **-p, --parameter**: specify parameter to get help. If no value or ‘all’ value is specified, all INPUT.txt parameters will be shown
- **-e, --example**: show USPEX example details. If no value or ‘all’ value is specified, all examples will be shown
- **-c NUM, --copy=NUM**: copy the INPUT.txt file and Specific Folder of ExampleXX.
- **-g, --generate**: generate directories for preparing USPEX calculation, including AntiSeeds, Seeds, Specific, Submission folders
- **-r, --run**: run USPEX calculation
- **-o, --octave**: run USPEX calculation with Octave instead of MATLAB
- **--clean**: clean calculation folder

When running USPEX in the massively parallel mode, the user needs to do minimal work to configure files to the user’s computers.

There are two modes for job submission — (1) local submission and (2) remote submission, depending on whether you submit *ab initio* calculations on the same machine where you run USPEX and MATLAB, or if you send your jobs to a remote supercomputer. See the keyword `whichCluster` and Section [8.10](#) of this Manual.

Please note, that you should have `bash` shell set by default to make USPEX working correctly. Users frequently report issues when running USPEX on a machine with `csh` shell, where “`echo -e ...`” command might not be supported.
2.8 Running USPEX examples: a mini-tutorial

Once you have downloaded the USPEX package and installed it, you can run the first USPEX example. The description of the examples is listed in Appendix 9.1. The required external codes to run the examples (except EX13) are shown below:

- GULP: EX02, EX03, EX08, EX12, EX15 (VCNEB), EX16
- VASP: EX01, EX07, EX09, EX14 (META)
- LAMMPS: EX04
- ATK: EX05
- CASTEP: EX06
- DMACRYS: EX10
- Tinker: EX11

Now, let us start our first USPEX experience:

2.8.1 Test the USPEX python runner

To get the version information, you can use the following command:

```bash
>> USPEX -v
```

You should get something like this:

```
USPEX Version 9.4.2 (19/03/2015)
```

If it does not work, please check your installation procedure and environment settings as described above.

2.8.2 Run the EX13-3D_special_quasirandom_structure_TiCoO2

EX13 does not require any external code, you can run it to get familiar with the USPEX running procedure. The calculation would take \(~30\) minutes. To start the calculation, first create a test folder, copy the example files and then run the calculation through the USPEX Python runner, with the following commands:

```bash
>> mkdir EX13
>> cd EX13
>> USPEX -c 13
>> USPEX -r
```
Meanwhile you have some time to get more details about example EX13. In EX13, the structural order is optimized (minimized) with the evolutionary algorithm to yield a generalized special quasirandom structure (gSQS). Therefore in INPUT.txt the following is set:

```
USPEX : calculationMethod
% optType
-4
% EndOptType
```

and these parameters are used below:

```
300 : calculationType

% atomType
Co Ti O
% EndAtomType

% numSpecies
16 16 64
% EndNumSpecies
```

which specifies that we deal with the $\text{Co}_{16}\text{Ti}_{16}\text{O}_{64}$ system. To reduce computing time of EX13, you can reduce populationSize and numGenerations, for example:

```
5 : populationSize
5 : numGenerations
```

However, with such a small populationSize and numGenerations, you cannot expect optimal results. Since you do not need to use any external code, you can simply set

```
% abinitioCode
0
% ENDabinit
```

The Seeds/POSCARS file contains the initial $\text{Ti}_{16}\text{Co}_{16}\text{O}_{64}$ structure.

When you find the USPEX_IS_DONE file, congratulations, you have successfully finished your first USPEX example. Next, you can run calculations which require external codes.

### 2.8.3 Run an example using external code

In this step, we suggest to run examples interfaced with GULP or VASP, starting from EX02 or EX01. Use USPEX runner to get the example information of EX02, create a separate folder and copy the files, with commands:


```bash
>> mkdir EX02
>> cd EX02
>> USPEX -c 2
```

Since in example EX02 GULP code is used, set:

```bash
% abinitioCode
3 3 3 3
% ENDabinit
```

To run a serial job without a job batch system, you should change the following parameters in the `INPUT.txt` below:

```bash
0  : whichCluster
1  : numParallelCalcs
```

In the example `INPUT.txt`, you will see `whichCluster=QSH`, where QSH is name of our group's cluster name. User can specify their own cluster: for the details, please see Section 8.10.

In `INPUT.txt`, we do not specify how to run GULP, because we assume all users use the same command:

```bash
% commandExecutable
gulp < input > output
% EndExecutable
```

But make sure, that this command also works on your machine. If you want to run EX01 with a parallel version of VASP, you should set something like:

```bash
% abinitioCode
1 1 1 1
% ENDabinit

% commandExecutable
mpirun -np 8 vasp
% EndExecutable
```

With wrong `commandExecutable` settings, you will not able to run your calculation. When everything is set correctly, we can run the calculation through USPEX runner using the command:

```bash
>> USPEX -r
```
2.8.4 Checking the results

After starting the command, you can check the output files in results1/ folder.

Now, you have a basic experience of using USPEX to run simple calculations. Please read the following sections of this manual to get more insight into USPEX. When analyzing results, it is essential that you visualize the structures (for visualization, see section 8.1).
3 Overview of input and output files

Input/output files depend on the external code used for structure relaxation.

An important technical element of our philosophy is the multi-stage strategy for structure relaxation. Final structures and energies must be high-quality, in order to correctly drive evolution. Most of the newly generated structures are far from local minimum and their high-quality relaxation is extremely expensive. This cost can be avoided if the first stages of relaxation are done with cruder computational conditions — only at the last stages of structure relaxation there is a need for high-quality calculations. The first stages of structure relaxation can be performed with cheaper approaches or lower computational conditions (basis set, $k$-points sampling, pseudopotentials or PAW potentials) or the level of approximation (interatomic potentials vs. LDA vs. GGA) and even different structure relaxation code (see Subsection 2.5 for a list of supported codes) during structure relaxation of each candidate structure. We strongly suggest that you initially optimize the cell shape and atomic positions at constant unit cell volume, and only then perform full optimization of all structural variables. While optimizing at constant volume, you do not need to worry about Pulay stresses in plane-wave calculations — thus it is OK to use a small basis set; however, for variable-cell relaxation you will need a high-quality basis set. For structure relaxation, you can often get away with a small set of $k$-points — but don’t forget to sufficiently increase this at the last stage(s) of structure relaxation, to get accurate energies.

3.1 Input files

Suppose that the directory where the calculations are performed is $\sim$/StructurePrediction. This directory will contain:

- file INPUT.txt, thoroughly described in Section 4
- Subdirectory $\sim$/StructurePrediction/Specific/ with VASP, SIESTA or GULP (etc.) executables, and enumerated input files for structure relaxation — INCAR_1, INCAR_2, ..., and pseudopotentials.
- Subdirectory $\sim$/StructurePrediction/Seeds — contains files with seed structures and with a list of compositions/anti-compositions. Seed structures should be in VASP5 POSCAR format and concatenated in a file called POSCARS or POSCARS_gen (gen is the generation number). The compositions and Anti-compositions files are used to control the compositions during variable-composition or single-block calculations.
- Subdirectory $\sim$/StructurePrediction/AntiSeeds — you may put here particular structures that you wish to penalize, or use antiseed technique without specifying any structures explicitly (and penalize structures found during the run).
3 Overview of input and output files

3.1.1 Specific/ folder

Executables and enumerated input files for structure relaxation (using external codes, like VASP, SIESTA, GULP, ...) should be put in subdirectory ~/StructurePrediction/Specific/

- For VASP, files INCAR_1, INCAR_2, ... , etc., defining how relaxation and energy calculations will be performed at each stage of relaxation (we recommend at least 3 stages of relaxation), and the corresponding POTCAR_* files with pseudopotentials. E.g., INCAR_1 and INCAR_2 perform very crude structure relaxation of both atomic positions and cell parameters, keeping the volume fixed, INCAR_3 performs full structure relaxation under constant external pressure with medium precision, INCAR_4 performs very accurate calculations. Each higher-level structure relaxation starts from the results of a lower-level optimization and improves them. POTCAR files can alternatively be defined by just putting the files for the elements in Specific/ folder, for instance POTCAR_C, POTCAR_O, etc.

- For SIESTA, you need the pseudopotentials files and input files input_1.fdf, input_2.fdf, ...

- For GULP, files goptions_1, goptions_2, ..., and ginput_1, ginput_2, ... must be present. The former specify what kind of optimization is performed, the latter specify the details (interatomic potentials, pressure, temperature, number of optimization cycles, etc.).

- For DMACRYS, fort.22 is the file for general control parameters. The classical force field is given by the file of fit.pots. File cutoff defines the maximum bond length of the intra-molecular bonds.

- For CASTEP, structural files are given by cell_1, cell_2, ..., while the computational parameters are given by param_1, param_2, .... The corresponding pseudopotential files must be present as well.

- For CP2K, files cp2k_options_1, cp2k_options_2, ..., must be present. All files should be normal CP2K input files with all parameters except atomic coordinates and cell parameters (these will be written by USPEX together with the finishing line “&END FORCE_EVAL”). The “name of the project” should always be USPEX, since the program reads the output from files USPEX-1.cell and USPEX-pos-1.xyz. We recommend performing relaxation at least in three steps (similarly to VASP) — first optimize only the atom positions with the lattice fixed, and then do a full relaxation.

- For Quantum Espresso, files qEspresso_options_1, qEspresso_options_2, ..., must be present. All files should be the normal QE input files with all parameters except atom coordinates, cell parameters and k-points (these will be written by USPEX at the end of the file). We recommend performing a multi-step relaxation.
For instance, \texttt{qEspresso.options.1} does a crude structure relaxation of atomic positions with fixed cell parameters, \texttt{qEspresso.options.2} does full structure relaxation under constant external pressure with medium precision; and \texttt{qEspresso.options.3} does very accurate calculations.

\textbf{INCAR\_* files in Specific/ folder for VASP} To run USPEX correctly, there are some hints on the files in \texttt{Specific/} folder to control the structure relaxation in USPEX. We take example of VASP as an external code:

- Your final structures have to be well relaxed, and energies — precise. The point is that your energy ranking has to be correct (to check this, look at \texttt{E\_series.pdf} file in the output).

- Your \texttt{POTCAR} files: To yield correct results, the cores of your pseudopotentials (or PAW potentials) should not overlap by more than 10–15\%.

- To have accurate relaxation at low cost, use the multistage relaxation with at least three stages of relaxation for each structure, \textit{i.e.} at least three \texttt{INCAR} files (\texttt{INCAR.1, INCAR.2, INCAR.3, ...}). We usually set 4–5 stages of relaxation.

- Your initial structures will be usually very far from local minima, in such cases it helps to relax atoms and cell shape at constant volume first (\texttt{ISIF=4} in \texttt{INCAR.1,2}), then do full relaxation (\texttt{ISIF=3} in \texttt{INCAR.3,4}), and finish with a very accurate single-point calculation (\texttt{ISIF=2 and NSW=0} in \texttt{INCAR.5}).

**Exceptions:** when you do fixed-cell predictions, and also in evolutionary metadynamics (except full relaxation) you must have \texttt{ISIF=2}.

- When your volume does not change, you can use default plane wave cutoff. When you use \texttt{ISIF=3}, you must increase it by 30–40\%, otherwise you get a large Pulay stress. Also your convergence criteria can be loose in the beginning, but have to be tight in the end: \textit{e.g.}, \texttt{EDIFF=1e-2} and \texttt{EDIFFG=1e-1} in \texttt{INCAR.1}, gradually tightening to \texttt{EDIFF=1e-4} and \texttt{EDIFFG=1e-3} in \texttt{INCAR.4}. The maximum number of timesteps (\texttt{NSW}) should be sufficiently large to enable good relaxation, but not too large to avoid wasting computer time on poor configurations. The larger your system, the larger \texttt{NSW} should be.

- Choosing an efficient relaxation algorithm can save a lot of time. In VASP, we recommend to start relaxation with conjugate gradients (\texttt{IBRION=2} and \texttt{POTIM=0.02}) and when the structure is closer to local minimum, switch to \texttt{IBRION=1} and \texttt{POTIM=0.3}.

- Even if you study an insulating system, many configurations that you will sample are going to be metallic, so to have well converged results, you must use “metallic” treatment — which works both for metals and insulators. We recommend the Methfessel-Paxton smearing scheme (\texttt{ISMEAR=1}). For a clearly metallic system,
use ISMEAR=1 and SIGMA=0.1–0.2. For a clearly insulating system, we recommend ISMEAR=1 and SIGMA starting at 0.1 (INCAR_1) and decreasing to 0.03–0.04.

Here we provide an example of INCAR files for carbon with 16 atoms in the unit cell, with default ENCUT=400 eV in POTCAR:

<table>
<thead>
<tr>
<th>INCAR_1</th>
<th>INCAR_2</th>
<th>INCAR_3</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREC=LOW</td>
<td>PREC=NORMAL</td>
<td>PREC=NORMAL</td>
</tr>
<tr>
<td>EDIFF=1e-2</td>
<td>EDIFF=1e-3</td>
<td>EDIFF=1e-3</td>
</tr>
<tr>
<td>EDIFFG=1e-1</td>
<td>EDIFFG=1e-2</td>
<td>EDIFFG=1e-2</td>
</tr>
<tr>
<td>NSW=65</td>
<td>NSW=55</td>
<td>ENCUT=520.0</td>
</tr>
<tr>
<td>ISIF=4</td>
<td>ISIF=4</td>
<td>NSW=65</td>
</tr>
<tr>
<td>IBRION=2</td>
<td>IBRION=1</td>
<td>ISIF=3</td>
</tr>
<tr>
<td>POTIM=0.02</td>
<td>POTIM=0.30</td>
<td>IBRION=2</td>
</tr>
<tr>
<td>ISMEAR=1</td>
<td>ISMEAR=1</td>
<td>POTIM=0.02</td>
</tr>
<tr>
<td>SIGMA=0.10</td>
<td>SIGMA=0.08</td>
<td>ISMEAR=1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>SIGMA=0.07</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INCAR_4</th>
<th>INCAR_5</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREC=NORMAL</td>
<td>PREC=NORMAL</td>
</tr>
<tr>
<td>EDIFF=1e-4</td>
<td>EDIFF=1e-4</td>
</tr>
<tr>
<td>EDIFFG=1e-3</td>
<td>EDIFFG=1e-3</td>
</tr>
<tr>
<td>ENCUT=600.0</td>
<td>ENCUT=600.0</td>
</tr>
<tr>
<td>NSW=55</td>
<td>NSW=0</td>
</tr>
<tr>
<td>ISIF=3</td>
<td>ISIF=2</td>
</tr>
<tr>
<td>IBRION=1</td>
<td>IBRION=2</td>
</tr>
<tr>
<td>POTIM=0.30</td>
<td>POTIM=0.02</td>
</tr>
<tr>
<td>ISMEAR=1</td>
<td>ISMEAR=1</td>
</tr>
<tr>
<td>SIGMA=0.06</td>
<td>SIGMA=0.05</td>
</tr>
</tbody>
</table>

The philosophy of input files for the evolutionary metadynamics (calculationMethod=META) is very similar to USPEX, except that we DO NOT change the cell shape during the META evolution. Therefore, we need to put ISIF=2 for all META steps. If the full relaxation mode is on, we can put ISIF=3 for the steps of full relaxation. Therefore, if we have the following set up:

```
% abinitioCode
1 1 1 (1 1)
% ENDabinit
```

the ISIF should be “2 2 2 3 3” for INCAR_1, . . . , INCAR_5 correspondingly.

Different from USPEX, VCNEB method doesn’t need a structure relaxation from the external codes, and itself makes use of the forces from external code calculation. Thus,
there are some differences in the files. Take VASP INCAR files for example, we need to set $\text{NSW}=0$ to avoid the structure relaxation, but with $\text{ISIF}=2$ or 3 to extract the forces on the atoms, and the stress tensor in VASP. We also suggest to use $\text{PREC}=\text{Accurate}$ to have a good estimation of the forces and stress for VCNEB. An example of INCAR file for VCNEB is presented below:

```
INCAR_1:
  PREC=Accurate
  EDIFF=1e-4
  EDIFFG=1e-3
  ENCUIT=600.0
  NSW=0
  ISIF=2
  IBRION=2
  POTIM=0.02
  ISMEAR=1
  SIGMA=0.05
```

### 3.2 Output files

These are stored in the folder $\sim/\text{StructurePrediction/results1}$. If this is a new calculation, $\text{results2, results3, ...}$ (if the calculation has been restarted or run a few times), there will be a separate $\text{results*}$ folder for each calculation. When looking at space groups in the file Individuals, keep in mind that USPEX often underdetermines space group symmetries, because of finite precision of structure relaxation and relatively tight space group determination tolerances. You should visualize the predicted structures. To get full space group, either increase symmetry tolerances (but this can be dangerous), or re-relax your structure with increased precision.

The subdirectory $\sim/\text{StructurePrediction/results1}$ contains the following files:

- **OUTPUT.txt** — summarizes input variables, structures produced by USPEX, and their characteristics.

- **Parameters.txt** — this is a copy of the **INPUT.txt** file used in this calculation, for your reference.

- **Individuals** — gives details of all produced structures (energies, unit cell volumes, space groups, variation operators that were used to produce the structures, $k$-points mesh used to compute the structures’ final energy, degrees of order, etc.). File **BESTIndividuals** gives this information for the best structures from each generation. Example of **Individuals** file:
Overview of input and output files

**USPEX 10.1**

**USPEX** originated from the project BACH (Basis for Ab-initio Calculations in Materials) at the Swiss Federal Institute of Technology (ETH) Zurich. It is based on the science of density-functional theory (DFT). USPEX provides an in-memory database that is mainly used for bulk materials. During the calculation, USPEX builds a so-called convex hull — only for variable-composition calculations, where it gives all thermodynamically stable compositions, and their enthalpies (per atom). Example:

```
---- generation 1 -------
10 0 -8.5889
0 14 -8.5893
11 3 -8.7679

---- generation 2 -------
10 0 -8.5889
0 14 -8.5893
11 3 -8.8204

---- generation 3 -------
10 0 -8.5889
0 14 -8.5893
12 4 -8.9945
```

**gatheredPOSCARS** — relaxed structures (in the VASP5 POSCAR format). Example:

```
EA1 9.346 8.002 2.688 90.000 90.000 90.000 Sym.group: 1
1.0000
9.34156 0.00000 0.00000
0.00000 8.02218 0.00000
0.00000 0.00000 2.68836
Mg Al O
4 8 16
Direct
0.48756 0.50386 0.51644
0.77756 0.00732 0.01644
0.98756 0.50732 0.01644
0.27756 0.00386 0.01644
0.01694 0.17875 0.01644
0.01929 0.83243 0.51644
0.74527 0.33730 0.51644
0.74577 0.67875 0.01644
0.51694 0.83243 0.51644
0.51929 0.17455 0.01644
0.24627 0.77455 0.01644
0.24677 0.32431 0.51644
0.41667 0.24177 0.51644
0.55987 0.67413 0.01644
0.20560 0.17471 0.01644
0.34884 0.74177 0.51644
0.61397 0.38034 0.01644
0.80694 0.62164 0.51644
0.11397 0.63084 0.51644
0.30494 0.48921 0.01644
0.48945 0.26941 0.01644
0.70565 0.83647 0.51644
0.05987 0.38472 0.51644
0.91676 0.75941 0.01644
0.65156 0.13084 0.51644
0.46147 0.96902 0.01644
0.15156 0.88034 0.01644
0.96147 0.04216 0.51644

EA2 9.487 4.751 4.580 90.243 90.188 89.349 Sym.group: 1
1.0000
9.48693 0.00000 0.00000
0.05494 4.75679 0.00000
-0.01499 -0.01924 4.57985
Mg Al 0
4 8 16
Direct
0.49937 0.63375 0.01136
0.50082 0.13139 0.48501
0.81357 0.25769 0.49452
```

May 21, 2018
3 Overview of input and output files

- **BESTgatheredPOSCARS** — the same data for the best structure in each generation.

- **gatheredPOSCARS_unrelaxed** — gives all structures produced by USPEX before relaxation.

- **enthalpies_complete.dat** — gives the enthalpies for all structures in each stage of relaxation.

- **origin** — shows which structures originated from which parents and through which variation operators. Example:

<table>
<thead>
<tr>
<th>ID</th>
<th>Origin</th>
<th>Enthalpy</th>
<th>Parent-E</th>
<th>Parent-ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Random</td>
<td>-23.395</td>
<td>-23.395</td>
<td>[ 0]</td>
</tr>
<tr>
<td>2</td>
<td>Random</td>
<td>-23.228</td>
<td>-23.228</td>
<td>[ 0]</td>
</tr>
<tr>
<td>3</td>
<td>Random</td>
<td>-23.078</td>
<td>-23.078</td>
<td>[ 0]</td>
</tr>
<tr>
<td>4</td>
<td>Random</td>
<td>-23.195</td>
<td>-23.195</td>
<td>[ 0]</td>
</tr>
<tr>
<td>5</td>
<td>Random</td>
<td>-23.155</td>
<td>-23.155</td>
<td>[ 0]</td>
</tr>
<tr>
<td>6</td>
<td>Random</td>
<td>-22.970</td>
<td>-22.970</td>
<td>[ 0]</td>
</tr>
<tr>
<td>7</td>
<td>Random</td>
<td>-23.131</td>
<td>-23.131</td>
<td>[ 0]</td>
</tr>
<tr>
<td>8</td>
<td>Random</td>
<td>-23.017</td>
<td>-23.017</td>
<td>[ 0]</td>
</tr>
<tr>
<td>9</td>
<td>Random</td>
<td>-23.117</td>
<td>-23.117</td>
<td>[ 0]</td>
</tr>
<tr>
<td>10</td>
<td>Random</td>
<td>-23.195</td>
<td>-23.195</td>
<td>[ 0]</td>
</tr>
</tbody>
</table>

- **gatheredPOSCARS_order** — gives the same information as **gatheredPOSCARS**, and in addition for each atom it gives the values of local order parameters (Ref. [17]).

  Example:

  | EA1 | 9.346 8.002 2.688 90.000 90.000 90.000 Sym.group: 1 1.0000 |
  |-----|-------------------|-----------------|----------------|---------------|
  | 9.346156 | 0.000000 | 0.000000  |
  | 0.000000 | 8.002181 | 0.000000  |
  | 0.000000 | 2.688367 | 0.000000  |
  | Mg | Al | O 4 8 16 Direct |
  | 0.487956 | 0.503856 | 0.516443 | 1.1399  |
  | 0.777565 | 0.007329 | 0.16443 | 1.1399  |
  | 0.987956 | 0.503856 | 0.516443 | 1.1399  |
  | 0.277565 | 0.503856 | 0.516443 | 1.1399  |
  | 0.016944 | 0.178753 | 0.016443 | 1.1915  |
  | 0.019294 | 0.833730 | 0.516443 | 1.2474  |
  | 0.746227 | 0.333730 | 0.516443 | 1.2474  |
  | 0.748577 | 0.678753 | 0.016443 | 1.1915  |
### Overview of input and output files

**USPEX 10.1**

#### goodStructures_POSCARS

- The `goodStructures_POSCARS` file contains all of the different structures in order of decreasing stability, starting from the most stable structure and ending with the least stable.

#### compositionStatistics

- The `compositionStatistics` file contains statistics of the compositions in terms of which variation operators produced these compositions. Example:*

```
<table>
<thead>
<tr>
<th>Comp/Ratio</th>
<th>Total</th>
<th>Random Heredity Mutation Seeds</th>
<th>COPEX</th>
<th>Best/Convex</th>
</tr>
</thead>
<tbody>
<tr>
<td>[0.0000 1.0000]</td>
<td>30( 63)</td>
<td>21</td>
<td>8</td>
<td>1</td>
</tr>
</tbody>
</table>
```

---

*May 21, 2018 Page 31*
<p>| | | | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>7</td>
<td>20</td>
<td>20</td>
<td>4</td>
<td>8</td>
<td>8</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>14</td>
<td>32</td>
<td>32</td>
<td>28</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1</td>
<td>8</td>
<td>25</td>
<td>25</td>
<td>9</td>
<td>14</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1</td>
<td>9</td>
<td>16</td>
<td>16</td>
<td>9</td>
<td>5</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1</td>
<td>10</td>
<td>11</td>
<td>11</td>
<td>5</td>
<td>4</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1</td>
<td>11</td>
<td>14</td>
<td>14</td>
<td>8</td>
<td>2</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>22</td>
<td>3</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

- graphical files (*.pdf) — for rapid analysis of the results:

  - **Energy_vs_N.pdf (Fitness_vs_N.pdf)** — energy (fitness) as a function of structure number;
  - **Energy_vs_Volume.pdf** — energy as a function of volume;
  - **Variation-Operators.pdf** — energy of the child vs. parent(s) energy; different operators are marked with different colors (this graph allows one to assess the performance of different variation operators) also show evolution of each operator’s strength.
  - **E_series.pdf** — correlation between energies from relaxation steps \(i\) and \(i+1\); helps to detect problems and improve structure relaxation.
  - For variable compositions there is an additional graph **extendedConvexHull.pdf**, which shows the enthalpy of formation as function of composition.
4 Input options. The INPUT.txt file

Typical INPUT.txt files are given in the Appendix 9.3. Below we describe the most important parameters of the input. Most of the parameters have reliable default values, which will be used if you skip them in the input file (this allows you to have extremely short input files!). Those options that have no default, and should always be specified. Please consult online utilities at http://han.ess.sunysb.edu — these help to prepare the INPUT.txt file, molecular files, and analyze some of results. Section 7 of this Manual briefly discusses these utilities.

4.1 Type of calculation and system specification

\( \text{variable calculationMethod} \)

*Meaning:* Specifies the method of calculation

Possible values (characters):

- USPEX — evolutionary algorithm for crystal structure prediction
- META — evolutionary metadynamics
- VCNEB — transition path determination using the variable-cell nudged elastic band method
- PSO — corrected PSO algorithm
- TPS — transition path sampling method
- MINHOP — minima hopping method
- COPEX — coevolutionary technique for reliable variable-composition ternary runs

*Default:* USPEX

*Format:*

\[
\text{USPEX} : \text{calculationMethod}
\]

\( \text{variable calculationType} \)
Meaning: Specifies type of calculation, *i.e.*, whether the structure of a bulk crystal, nanoparticle, or surface is to be predicted. This variable consists of three indices: *dimensionality*, *molecularity* and *compositional variability*, and the spin option with character “s” or “S”:

- **dimensionality**:
  
  “3” — bulk crystals
  “2” — surfaces, “–2” — 2D-crystals
  “1” — polymers
  “0” — nanoparticles

- **molecularity**:
  
  “0” — non-molecular
  “1” — molecular calculations

- **variability of chemical composition in the calculation**:
  
  “0” — fixed composition
  “1” — variable composition

- **magnetic calculation**:
  
  “s” or “S” — enable the magnetic calculation

Default: 300

Format:

301 : calculationType

**Note:** If `calculationType=310`, *i.e.*, a prediction for a molecular crystal is to be performed, then USPEX expects you to provide files `MOL_1`, `MOL_2`, . . . with molecular geometries for all types of molecules, and these molecules will be placed in the newly generated structures as whole objects. Available options: 300 (s300), 301 (s301), 310, 000 (s000), 200 (s200), 201 (s201), –200 (–s200) (and not yet released: 110, 311).

▼ **variable optType**

Meaning: This keyblock specifies the property (or properties) that you want to optimize. Default is minimization for enthalpy (and finite-temperature free energy) and volume, and maximization for the rest of `optType` — but you can explicitly specify whether you want minimization or maximization. You can also optimize properties to the target value (e.g., band gaps close to 1.34 eV are interesting for photovoltaics).

Possible values (characters):
4 Input options. The INPUT. txt file

<table>
<thead>
<tr>
<th>Value</th>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>enthalpy</td>
<td>1</td>
<td>to find the stable phases</td>
</tr>
<tr>
<td>volume</td>
<td>2</td>
<td>volume minimization</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(to find the densest structure)</td>
</tr>
<tr>
<td>hardness</td>
<td>3</td>
<td>hardness maximization</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(to find the hardest phase)</td>
</tr>
<tr>
<td>struc_order</td>
<td>4</td>
<td>maximization of the degree of order</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(to find the most ordered structure)</td>
</tr>
<tr>
<td>density</td>
<td>5</td>
<td>maximization of density</td>
</tr>
<tr>
<td>diel_sus</td>
<td>6</td>
<td>maximization of the static dielectric susceptibility (only for VASP and GULP)</td>
</tr>
<tr>
<td>bandgap</td>
<td>7</td>
<td>maximization of the band gap</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(only for VASP)</td>
</tr>
<tr>
<td>diel_gap</td>
<td>8</td>
<td>maximization of electrical energy storage capacity (only for VASP)</td>
</tr>
<tr>
<td>mag_moment</td>
<td>9</td>
<td>maximization of the magnetization</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(only for VASP)</td>
</tr>
<tr>
<td>quasientropy</td>
<td>10</td>
<td>maximization of structural quasientropy</td>
</tr>
<tr>
<td>birefringence</td>
<td>11</td>
<td>difference between largest and smallest eigenvalues of the refractive index tensor</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(only for VASP)</td>
</tr>
<tr>
<td>TE_property</td>
<td>14</td>
<td>thermoelectric figure of merit ZT</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(only for VASP)</td>
</tr>
<tr>
<td>Fphon</td>
<td>17</td>
<td>free energy at finite temperature</td>
</tr>
</tbody>
</table>

Elasticity-related properties (“11**”):

<table>
<thead>
<tr>
<th>Value</th>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>K, Bulk Modulus</td>
<td>1101</td>
<td>maximization of bulk modulus</td>
</tr>
<tr>
<td>G, Shear Modulus</td>
<td>1102</td>
<td>maximization of shear modulus</td>
</tr>
<tr>
<td>E, Young’s Modulus</td>
<td>1103</td>
<td>maximization of Young’s modulus</td>
</tr>
<tr>
<td>v, Poisson’s ratio</td>
<td>1104</td>
<td>maximization of Poisson’s ratio</td>
</tr>
<tr>
<td>G/K, Pugh’s modulus ratio</td>
<td>1105</td>
<td>maximization of Pugh’s modulus ratio</td>
</tr>
<tr>
<td>Hv, Vickers hardness</td>
<td>1106</td>
<td>maximization of Vickers hardness</td>
</tr>
<tr>
<td>Kg, Fracture toughness</td>
<td>1107</td>
<td>maximization of fracture toughness</td>
</tr>
<tr>
<td>D, Debye temperature</td>
<td>1108</td>
<td>maximization of Debye temperature</td>
</tr>
<tr>
<td>Vm, sound velocity</td>
<td>1109</td>
<td>maximization of sound velocity</td>
</tr>
<tr>
<td>S-wave velocity</td>
<td>1110</td>
<td>maximization of S-wave velocity</td>
</tr>
<tr>
<td>P-wave velocity</td>
<td>1111</td>
<td>maximization of P-wave velocity</td>
</tr>
</tbody>
</table>

**Note:** Elasticity-related properties are supported only for VASP (starting from VASP 5.1) and GULP. For VASP users, you need to add one more INCAR.* file to the Specific/ folder with the parameters IBRION=6, ISIF≥3 and NFREE=4. The estimates of bulk, shear
and Young’s moduli are the Voigh-Reuss-Hill (VRH) averages. The Vickers hardness is calculated with the Chen-Niu model\textsuperscript{19}. Fracture toughness optimization uses the lowest theoretical fracture toughness as fitness.

Default: enthalpy

Format:

\begin{verbatim}
% optType
enthalpy (equivalent to Min_enthalpy)
% EndOptType
\end{verbatim}

another example:

\begin{verbatim}
% optType
Min_((bandgap-1.34)^2
% EndOptType
\end{verbatim}

Note: In the latter case, we optimize a mathematical expression as the optType variable. The mathematical expression should be in parentheses and should be a valid MATLAB expression. The whole expression (including min_ and max_ if applicable) should be one unit, do NOT put blank space between the expression compartments. For example “(bandgap - 1.3 ) ^2” or min_ (bandgap-3) are NOT valid formats.

Multiobjective (Pareto) optimizations are also available by specifying several fitnesses in the optType keyblock, e.g.,

\begin{verbatim}
% optType
3 1
% EndOptType
\end{verbatim}

or

\begin{verbatim}
% optType
max_Hardness enthalpy
% EndOptType
\end{verbatim}

In multiobjective optimization, it is useful to start with a few generations of enthalpy-only optimization and then switch to Pareto optimization of all desired properties. The number of initial generations spent on enthalpy-only optimization by default is zero and is given in brackets as follows:

\begin{verbatim}
% optType
3 6 [5]
% EndOptType
\end{verbatim}

or

\begin{verbatim}
% optType
max_Hardness min_Diel_sus [5]
% EndOptType
\end{verbatim}

This means USPEX does enthalpy-only optimization up to 5\textsuperscript{th} generation, and then
4 Input options. The INPUT.txt file

switches to multiobjective optimization.

Fig. 6 gives an example of hardness maximization for TiO$_2$ (optType=hardness), showing maximum possible hardness 14 GPa$^{23}$ and refuting claims of Dubrovinsky (2001) about ultrahardness of TiO$_2$.$^{21}$ A good example of how a simple USPEX run can resolve a long-standing dispute. Fig. 6 shows an example of Pareto optimization, clearly displaying frequent trade-off between stability and properties.

Figure 5: Examples of properties optimizations: (a) Prediction of the hardest structure of TiO$_2$.$^{20}$ (b) Pareto optimization of hardness and stability in the Cr-B system, showing several Pareto fronts.$^{22}$

Notes: If optType=bandgap or diel_gap, instead of the gap we use an extended function that also behaves continuously for metals — namely, $\Delta E_g - g(E_F)/N$, where $\Delta E_g$ is the gap, $g(E_F)$ is the density of states at the Fermi level (for metals) and $N$ is the number of atoms in the unit cell. Thanks to the continuity of this function, global maximization of gap-related quantities can even be performed for metallic solutions. For metals it is equal to the DOS at the Fermi level, for semiconductors and insulators — to the band gap.

Fig. 6 gives an example of hardness maximization for TiO$_2$ (optType=hardness), showing maximum possible hardness $\sim$14 GPa$^{23}$ and refuting claims of Dubrovinsky (2001) about ultrahardness of TiO$_2$.$^{21}$ A good example of how a simple USPEX run can resolve a long-standing dispute.

> variable atomType

Meaning: Describes the identity of each type of atom.

Default: none, must specify explicitly

Format:
If you prefer to use the atomic numbers from Mendeleev’s Periodic Table of the Elements, specify:
4 Input options. The INPUT.txt file

Input options:

% atomType
12 14 8
% EndAtomType

Or, if you prefer to use atomic names, specify:

% atomType
Mg Si O
% EndAtomType

You can alternatively specify the full names of the elements, for example:

% atomType
Magnesium Silicon Oxygen
% EndAtomType

(variable) numSpecies

Meaning: Describes the number of atoms of each type.
Default: none, must specify explicitly
Format:

% numSpecies
4 4 12
% EndNumSpecies

This means there are 4 atoms of the first type, 4 of the second type, and 12 of the third type.

Notes: For variable-composition calculations, you have to specify the compositional building blocks as follows:

% numSpecies
2 0 3
0 1 1
% EndNumSpecies

This means that the first building block has formula A₂C₃ and the second building block has formula BC, where A, B and C are described in the block atomType. All structures will then
have the formula $x A_2 C_3 + y B C$ with $x, y = (0, 1, 2, \ldots)$ — or $A_{2x} B_y C_{3x+y}$. If you want to do prediction of all possible compositions in the A-B-C system, you should specify:

```plaintext
% numSpecies
1 0 0
0 1 0
0 0 1
% EndNumSpecies
```

You can also do fixed-composition calculations with a variable number of formula units; in this case set `calculationType`=300, the composition of one formula unit, for example, $A_2 B C_4$:

```plaintext
% numSpecies
2 1 4
% EndNumSpecies
```

and minimum and maximum total numbers of atoms in the unit cell, for example:

```plaintext
14 : minAt
28 : maxAt
```

> **variable magRatio**

**Meaning:** Initial ratio of the structures with different type of magnetic properties for non-magnetic (NM), FM-LS, FM-HS, AFM-L, AFM-H, FM-LH, AF-LH states, respectively. Only VASP is supported.

**Default:** 0.1, 0.9/4, 0.9/4, 0.9/4, 0.9/4, 0, 0

**Format:**

```plaintext
% magRatio
1/8 1/8 1/8 1/8 1/8 0 0
% EndMagRatio
```

This means that probabilities of generating NM, FM-LS, FM-HS, AFM-L, AFM-H structures are all 20% (NOT 1/8 here! The number are rescaled so that sum of probabilities is 1.). No structures with FM-LH, AF-LH magnetic states will be generated.

**Notes:**

1. The sum of `magRatio` can be larger than 1, the ratio will be rescaled to 1 automatically.
2. The meaning and initial magnetic moment value in USPEX:
   - **NM** — non-magnetic;
   - **FM-LS** — low-spin ferromagnetic;
   - **FM-HS** — high-spin ferromagnetic;
   - **AFM-L** — low-spin antiferromagnetic;
   - **AFM-H** — high-spin antiferromagnetic;
Input options. The *INPUT.txt* file

- FM-LH — low/high spin mixture ferromagnetic;
- AF-LH — low/high spin mixture antiferromagnetic.

(3) For NM states, the initial magnetic moment will be 0 for all atoms. The initial magnetic moment \( \text{MAGMOM} \) of the atoms will be set to 1 and 4 for low and high spin states, respectively. For low/high spin mixture states, \( \text{MAGMOM} \) will be set to 1 or 4 randomly for each atom.

(4) AFM type structures will not be generated when having odd number of magnetic atoms in a unit cell.

(5) \( \text{magRatio} \) is also used for the mutation ratio in spinmutation operation.

▷ variable \( \text{ldaU} \)

*Meaning*: Specifies Hubbard \( U \) value for atoms of each type with the LDA+U method. Only VASP is supported.

*Default*: 0 for each type of atoms

*Format*:

\[
\%
\text{ldaU}
4\ 0
\%
\text{EndLdaU}
\]

▷ variable \( \text{ExternalPressure} \)

*Meaning*: Specifies external pressure at which you want to find structures, in GPa.

*Default*: 0

*Format*:

\[
100\ :\ \text{ExternalPressure}
\]

*Note*: As of USPEX version 9.4.1 pressure value (in GPa) is set by the tag \( \text{ExternalPressure} \) in the *INPUT.txt* file. Please NO LONGER specify it in relaxation files in the *Specific/* folder.

▷ variable \( \text{valences} \)

*Meaning*: Describes the valences of each type of atom. Used only to evaluate bond hard-nesses, which are used for computing the approximate dynamical matrix (for softmutation) and hardness of the crystal.

*Default*: USPEX has a table of default valences (see Appendix 9.9). Beware, however, that for some elements (e.g., N, S, W, Fe, Cr, etc.) many valence states are possible. Unless you calculate hardness, this is not a problem and you can use the default values. If you do calculate the hardness, you need to carefully specify the valence explicitly.

*Format*:

\[
\%
\text{valences}
\]

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Page 40
\[ 2 \ 4 \ 2 \]
\% EndValences

goodBonds

**Meaning:** Specifies, in the matrix form, the minimum bond valences for contacts that will be considered as important bonds. Like the IonDistances matrix (see below), this is a square matrix. This is only used in calculations of hardness and in softmutation. One can estimate these values for a given bond type taking \( \text{goodBonds} = \frac{\text{valence}}{\text{max coordination number}} \) or slightly smaller.

**Default:** USPEX can make a reasonable default estimation of goodBonds, you will see the values in OUTPUT.txt file. This should be sufficient for most purposes, but for hardness calculations you may need to carefully examine these values and perhaps set them manually. For more details, see Appendix 9.10

**Format:**

\% goodBonds
10.0 10.0 0.2
0.0 10.0 0.5
0.0 0.0 10.0
\% EndGoodBonds

**Notes:** The dimensions of this matrix must be equal to either the number of atomic species or unity. If only one number is used, the matrix is filled with this number. The above matrix reads as follows: to be considered a bond, the Mg–Mg distance should be short enough to have bond valence of 10 or more, the same for Mg–Si, Si–Si, and O–O bonds (by using such exclusive criteria, we effectively disregard these interactions from the softmutation and hardness calculations), whereas Mg–O bonds that will be considered for hardness and softmutation calculations will have a bond valence of 0.2 or more, and the Si–O bonds will have a bond valence of 0.5 or more.

checkMolecules

**Meaning:** Switches on/off post-relaxation check that original molecules (files MOL_1, MOL_2, ...) are intact. Useful for molecular crystals (calculationType=310, 311).

**Possible values (integer):**

- 0 — check is not performed, structures with broken or merged molecules are considered. (We strongly suggest users not to use this.)
- 1 — check is performed, all the structures with broken or merged molecules are discarded.

**Default:** 1

**Format:** 

1 : checkMolecules

▷ variable checkConnectivity

Meaning: Switches on/off hardness calculation and connectivity-related criteria in soft-mutation.

Possible values (integer):

- 0 — connectivity is not checked, no hardness calculations;
- 1 — connectivity is taken into account, hardness is calculated.

Default: 0
Format:

1 : checkConnectivity

▷ variable fitLimit

Meaning: For maximization: USPEX calculation finishes after first generation if maximum obtained fitness is less than fitLimit. For minimization: USPEX calculation finishes after first generation if minimum obtained fitness is higher than fitLimit.

Default: no default, has to be specified by the user.
Format:

10 : fitLimit

4.2 Population

▷ variable populationSize

Meaning: The number of structures in each generation; size of initial generation can be set separately, if needed.

Default: $2 \times N$ rounded to the closest 10, where $N$ is the number of atoms/cell (or maxAt for variable composition). The upper limit is 60. Usually, you can trust these default settings.

Format:

20 : populationSize

▷ variable initialPopSize

Meaning: The number of structures in the initial generation.
Default: equal to populationSize.

Format:

20 : initialPopSize

Note: In most situations, we suggest that these two parameters be equal. Sometimes (especially in variable-composition calculations) it may be useful to specify initialPopSize to be larger than populationSize. It is also possible to have a smaller initial population, and this is useful if one wants to generate the first population from seed structures.

▷ variable numGenerations

Meaning: Maximum number of generations allowed for the simulation. The simulation can terminate earlier, if the same best structure remains unchanged for stopCrit generations.

Default: 100

Format:

50 : numGenerations

▷ variable stopCrit

Meaning: The simulation is stopped if the best structure did not change for stopCrit generations, or when numGenerations have expired — whichever happens first.

Default: total number of atoms for fixed-composition runs, maximum number of atoms maxAt for variable-composition runs.

Format:

20 : stopCrit

4.3 Survival of the fittest and selection

▷ variable bestFrac

Meaning: Fraction of the current generation that shall be used to produce the next generation.

Default: 0.7

Format:

0.7 : bestFrac

Note: This is an important parameter, values between 0.5–0.8 are reasonable.

▷ variable keepBestHM
Meaning: Defines how many best structures will survive into the next generation.

Default: \(0.15 \times \text{populationSize}\)

Format:

3 : keepBestHM

▷ variable **reoptOld**

Meaning: Defines reoptimization of the survived structures. If \(\text{reoptOld}=0\), these structures will be left without reoptimization while if \(\text{reoptOld}=1\), they will be reoptimized again. Usually \(\text{reoptOld}=0\) is a reasonable choice (provided your structure relaxation was high quality).

Default: 0

Format:

1 : reoptOld

### 4.4 Structure generation and variation operators

▷ variable **symmetries**

Meaning: Possible symmetry groups for random symmetric structure generator crystals (spacegroups), layer plane groups for 2D-crystals, plane groups for surfaces, or point groups for clusters. A certain number of structures will be produced using randomly selected groups from this list, using randomly generated lattice parameters and atomic coordinates. During this process special Wyckoff sites can be produced from general positions (Fig. 7).

Default:

- For 3D crystals: 2–230
- For 2D crystals: 2–80
- For clusters: E C2 D2 C4 C3 C6 T S2 Ch1 Cv2 S4 S6 Ch3 Th Ch2 Dh2 Ch4 D3 Ch6 0 D4 Cv3 D6 Td Cv4 Dd3 Cv6 0h Dd2 Dh3 Dh4 Dh6 0h C5 S5 S10 Cv5 Ch5 D5 Dd5 Dh5 I Ih

Format:

\%

symmetries
195–198 200 215–230
% EndSymmetries
4 Input options. The INPUT.txt file

Figure 7: Example of random symmetric structure generation and merging atoms onto special Wyckoff positions (for detail, see Ref.13).

▷ variable splitInto

Meaning: Defines the number of identical subcells or pseudosubcells in the unit cell. If you do not want to use splitting, just use the value 1, or delete the block. Use splitting only for systems with >25–30 atoms/cell.

Default: 1

Format:

% splitInto (number of subcells into which the unit cell is split)
1 2 4
% EndSplitInto

Subcells introduce extra translational (pseudo)symmetry. In addition to this, each subcell can be built using a special space groups algorithm developed by A.R. Oganov and H.T. Stokes and implemented by H.T. Stokes (see Reference13).

▷ variable fracGene

Meaning: Percentage of structures obtained by heredity; 0.1 means 10%, etc.

Default: 0.5

Format:

0.5 : fracGene

▷ variable fracRand

Meaning: Fraction of the generation produced by random symmetric structure generator.

Default: 0.2

Format:

0.20 : fracRand
4 Input options. The INPUT.txt file

▷ variable fracTopRand  
Meaning: Percentage of structures obtained by topological random generator.  
Default: 0.2  
Format:  

0.20 : fracTopRand

▷ variable fracPerm  
Meaning: Percentage of structures obtained by permutation; 0.1 means 10%, etc.  
Default: 0.1 if there is more than one type of atom/molecule; 0 otherwise.  
Format:  

0.1 : fracPerm

▷ variable fracAtomsMut  
Meaning: Specifies the percentage of structures obtained by softmutation or coormutation.  
Default: 0.1  
Format:  

0.1 : fracAtomsMut

▷ variable fracRotMut  
Meaning: Percentage of structures obtained by mutating orientations of randomly selected molecules; 0.1 means 10%, etc.  
Default: 0.1 for molecular crystals; 0 otherwise.  
Format:  

0.1 : fracRotMut

▷ variable fracLatMut  
Meaning: Percentage of structures obtained from lattice mutations; 0.1 means 10%, etc.  
Default: 0 for fixed-cell prediction; 0.1 otherwise.  
Format:  

0.1 : fracLatMut

Note: If the sum of all the fractions (fracGene + fracRand + fracPerm + ...) is not equal to 1, all fractions will be normalized.
▷ variable fracSpinMut

*Meaning:* Percentage of structures obtained by spin mutation; 0.1 means 10%, etc.

*Default:* 0.1

*Format:*

```
0.2 : fracSpin
```

*Notes:*

1. Spin mutation operator always changes the magnetic structure. For example, FM-L states will *never* generate FM-L states after mutation, but can transform to NM, FM-H and so on. For AFM states, spin mutation can generate another AFM, but with different spin-up and spin-down arrangement.

2. The ratio of mutation to new states is determined by *magRatio*.

▷ variable howManySwaps

*Meaning:* For permutation, the number of pairwise swaps will be randomly drawn from a uniform distribution between 1 and *howManySwaps*.

*Default:* $0.5 \times$ (maximum number of possible swaps). If atoms $Na$ and $Nb$, and atoms $Nc$ and $Nd$ are swappable, then the total number of possible swaps is $\min(\text{Na}, \text{Nb}) + \min(\text{Nc}, \text{Nd})$, and the default for *howManySwaps* is $0.5 \times \left[\min(\text{Na}, \text{Nb}) + \min(\text{Nc}, \text{Nd})\right]$. In most cases, it is a good idea to rely on this default.

*Format:*

```
5 : howManySwaps
```

▷ variable specificSwaps

*Meaning:* Specifies which atom types you allow to swap in permutation.

*Default:* blank line, which means no specific swaps and all atoms are permutable.

*Format:*

```
% specificSwaps
1 2
% EndSpecific
```

*Note:* In this case, atoms of type 1 could be swapped with atoms of type 2. If you want to try all possible swaps, just leave a blank line inside this keyblock, or delete the block.

▷ variable mutationDegree

*Meaning:* The maximum displacement in softmutation in Å. The displacement vectors for softmutation or coormutation are scaled so that the largest displacement magnitude equals *mutationDegree*. 
4 Input options. The INPUT.txt file

Default: 3×(average atomic radius)
Format:

2.5 : mutationDegree

▷ variable mutationRate

Meaning: Standard deviation of the strain matrix components for lattice mutation. The strain matrix components are selected randomly from the Gaussian distribution and are only allowed to take values between -1 and 1. Lattice mutation essentially incorporates the ideas of metadynamics into our method, where new structures are found by building up cell distortions of some known structure. Unlike in metadynamics, the distortions are not accumulated in our method, so the strain components should be large enough to obtain new structures.
Default: 0.5
Format:

0.5 : mutationRate

It is a good idea to combine lattice mutation with a weak softmutation:

▷ variable DisplaceInLatmutation

Meaning: Specifies softmutation as part of lattice mutation and sets the maximum displacement in Å.
Default: 1.0
Format:

1.0 : DisplaceInLatmutation

▷ variable AutoFrac

Meaning: Enables automatic evolution of percentage variation operators, which speeds up the calculation by up to ∼2 times. To switch to user-defined percentages, set AutoFrac=0.
Default: 0
Format:

1 : AutoFrac

4.5 Constraints

The same structure can be represented in an infinite number of coordinate systems (“modular invariance”). Most of these equivalent choices will lead to very flat unit cells, which
Input options. The INPUT.txt file

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creates problems for structure relaxation and energy calculation (e.g., a very large number of \(k\)-points are needed). The constraint, well known in crystallography, that the cell angles be between 60° and 120°, does not remove all redundancies and problematic cells (e.g., thus allowed cells with \(\alpha =\beta =\gamma \sim 120^\circ\) are practically flat). Therefore, we developed a special scheme to obtain special cell shapes with the shortest cell vectors. This transformation can be performed if there is at least one lattice vector whose projection onto any other cell vector or the diagonal vector of the opposite cell face is greater (by modulus) than half the length of that vector, i.e., for pairs \(\mathbf{a}\) and \(\mathbf{b}\), or \(\mathbf{c}\) and \((\mathbf{a} + \mathbf{b})\) these criteria are:

\[
\frac{|\mathbf{a} \cdot \mathbf{b}|}{|\mathbf{b}|} > \frac{|\mathbf{b}|}{2} \tag{2}
\]

\[
\frac{|\mathbf{a} \cdot \mathbf{b}|}{|\mathbf{a}|} > \frac{|\mathbf{a}|}{2} \tag{3}
\]

\[
\frac{|\mathbf{c} \cdot (\mathbf{a} + \mathbf{b})|}{|\mathbf{c}|} > \frac{|\mathbf{c}|}{2} \tag{4}
\]

\[
\frac{|\mathbf{c} \cdot (\mathbf{a} + \mathbf{b})|}{|\mathbf{a} + \mathbf{b}|} > \frac{|\mathbf{a} + \mathbf{b}|}{2} \tag{5}
\]

For instance, for the criterion 2 the new vector \(\mathbf{a}^*\) equals:

\[
\mathbf{a}^* = \mathbf{a} - \text{ceil}\left(\frac{|\mathbf{a} \cdot \mathbf{b}|}{|\mathbf{b}|^2}\right) \text{sign}(\mathbf{a} \cdot \mathbf{b})\mathbf{b} \tag{6}
\]

This transformation is performed iteratively, completely avoids pathological cell shapes, and thus solves the problem. During this transformation, the atomic fractional coordinates are transformed so that the original and transformed structures are identical (during the transformation, the Cartesian coordinates of the atoms remain invariant).

\(\uparrow\) variable \texttt{minVectorLength}

\textit{Meaning:} Sets the minimum length of a cell parameter of a newly generated structure.

\textit{Default:} 1.8 \times \text{covalent diameter of the largest atom}. For molecular crystals (\texttt{calculationType} = 310, 311) default value is 1.8 \times \text{max(MolCenters)}.

\textit{Format:}

\[
2.0 : \text{minVectorLength}
\]

Commonly used computational methods (pseudopotentials, PAW, LAPW, and many parametric forcefields) break down when the interatomic distances are too small. This situation needs to be avoided and you can specify the minimum distances between each pair of atoms using the \texttt{IonDistances} square matrix cast in an upper-triangular form:
▷ variable IonDistances

**Meaning:** Sets the minimum interatomic distance matrix between different atom types. Distances lower than IonDistances are considered entirely unphysical and will be strictly avoided.

**Default:** The IonDistances between atom A and B are estimated as $0.22 \times (V_A^{1/3} + V_B^{1/3})$ but not larger than 1.2 Å, and $0.45 \times (V_A^{1/3} + V_B^{1/3})$ in molecular calculations, where $V_A$ and $V_B$ are the default volumes of atom $A$ and $B$ estimated in USPEX.

**Format:**

```
% IonDistances
1.0 1.0 0.8
1.0 1.0 0.8
0.8 0.8 1.0
% EndDistances
```

**Note:** The dimensions of this matrix must be equal to the number of atomic species. If the compound in the example above is MgSiO$_3$, the matrix reads as follows: the minimum Mg–Mg distance allowed in a newly generated structure is 1.0 Å, the minimum Mg–Si, Si–Si and O–O distances are also 1.0 Å, and the minimum Mg–O and Si–O distances are 0.8 Å. You can use this keymatrix to incorporate further system-specific information: e.g., if you know that Mg atoms prefer to be very far apart and are never closer than 3 Å in your system, you can specify this information. Beware, however, that the larger these minimum distances, the more difficult it is to find structures fulfilling these constraints (especially for large systems), so strive for a compromise and remember that IonDistances must be much smaller than the actual bond lengths.

▷ variable constraint_enhancement

**Meaning:** Allows one to apply the stricter constraints of the IonDistances matrix (by constraint_enhancement times) for symmetric random structures (for all variation operators, unenhanced IonDistances matrix still applies). Only use it if you know what you are doing.

**Default:** 1

**Format:**

```
1 : constraint_enhancement
```

For molecular crystals, the following keyblock is extremely important:

▷ variable MolCenters

**Meaning:** Matrix of minimal distances between the geometric centers of molecules. Any distances lower than these indicate large overlap of the molecules, are unphysical and will
be strictly avoided.  
*Default:* none.

*Format:*

\begin{verbatim}
% MolCenters
 5.5 7.7
 0.0 9.7
% EndMol
\end{verbatim}

**Note:** In the above example, there are two types of molecules. In all of the generated structures, the distance between the geometric centers of the molecules of the first type must be at least 5.5 Å (A–A distance), the distance between the centers of the molecules of the first and second type — 7.7 Å (A–B distance), and the distance between the molecules of the second type — 9.7 Å (B–B distance).

### 4.6 Cell

It is useful to create all new structures (before relaxing them) with a unit cell volume appropriate for given conditions. This can be specified in the *Latticevalues* keyblock:

\begin{verbatim}
▷ variable Latticevalues

Meaning: Specifies the initial volume of the unit cell or known lattice parameters.  
*Default:* For cell volumes you don’t have to specify values — USPEX has a powerful algorithm to find reasonable estimates at any pressure.  

*Format:*

\begin{verbatim}
% Latticevalues
 125.00
% Endvalues
\end{verbatim}

*Notes:* (1) This volume is only used as an initial guess and only influences the first generation, each structure is fully optimized and adopts the volume corresponding to the (free) energy minimum. This keyblock also has another use: when you know the lattice parameters (e.g., from experiment), you can specify them in $3 \times 3$ matrix (calculationType = 300/310) or $2 \times 2$ matrix (-200) in the *Latticevalues* keyblock instead of unit cell volume, *e.g.:

\begin{verbatim}
% Latticevalues
 7.49 0.0 0.0
 0.0 9.71 0.0
 0.0 0.0 7.07
% Endvalues
\end{verbatim}

Alternatively, you can specify unit cell parameters just by listing $a$, $b$, $c$, $\alpha$, $\beta$, and $\gamma$.  

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values:

\[
\begin{array}{c}
\% \text{ Lattice values} \\
10.1 \ 8.4 \ 12.5 \ 90.0 \ 101.3 \ 90.0 \\
\% \text{ End values}
\end{array}
\]

For 2D crystal (calculationType = -200), you just need cell parameters a, b, and α.

\[
\begin{array}{c}
\% \text{ Lattice values} \\
10.1 \ 8.4 \ 90.0 \\
\% \text{ End values}
\end{array}
\]

Attention: if you do a calculation with a fixed monoclinic cell, please use setting with special angle β (standard setting).

(2) For variable-composition calculations, you have to specify the volume of end members of the compositional search space, \textit{e.g.}:

\[
\begin{array}{c}
\% \text{ Lattice values} \\
12.5 \ 14.0 \ 11.0 \\
\% \text{ End values}
\end{array}
\]

(3) Users no longer need to specify the unit cell or atomic volumes in the keyblock \texttt{Latticevalues} — a special algorithm has been implemented that accurately estimates it at the pressure of interest, without the need for the user to specify it. This option works well and is available for any \texttt{calculationType} where input volumes are required: 3**, 2D-crystals, 110, 000. You can also use online program \url{http://uspex-team.org/online_utilities/volume_estimation}. The users can also input the volumes manually.

(4) If you study molecular crystals under pressure, you might sometimes need to increase the initial volumes somewhat, in order to be able to generate structures by the random symmetric algorithm.

### 4.7 Restart

If something goes wrong, you may want to continue the calculation from the point where it stopped — or from an earlier point. If all you want to do is continue the run from where it stopped, you do not need to change any settings (all information will be stored in the \*\texttt{.mat} files) and it will be sufficient to remove the file \texttt{still_reading} and run USPEX again.

If you want to restart from a particular generation in a particular \texttt{results}-folder, then specify \texttt{pickUpGen} = number of the generation from which you want to start, \texttt{pickUpFolder} = number of \texttt{results}-folder (\textit{e.g.}, 1 for \texttt{results1}, 2 for \texttt{results2}, \ldots) from which the restart needs to be. If \texttt{pickUpGen}=0, then a new calculation is started. The default values for both parameters are 0. For example, to restart a calculation performed in the folder \texttt{results5} from generation number 10, specify:

\[
10 : \texttt{pickUpGen}
\]
4.8 Details of \textit{ab initio} calculations

USPEX employs a powerful two-level parallelization scheme, making its parallel scalability exemplary. The first level of parallelization is performed within structure relaxation codes, the second level of parallelization distributes the calculation over the individuals in the same population (since structures within the same generation are independent of each other).

First, you must specify which code(s) you want to use for structure relaxation and fitness calculation:

\begin{itemize}
  \item \textbf{variable abinitioCode}
  \item \textit{Meaning:} Defines the code used for every optimization step.
  \item \textit{Default:} 1 for every optimization step (VASP)
  \item \textit{Format:}
    \begin{verbatim}
    % abinitioCode
    3 2 2 1 1
    % ENDabinit
    \end{verbatim}
  \item \textit{Note:} Numbers indicate the code used at each step of structure relaxation:
    \begin{itemize}
      \item 1 — VASP
      \item 2 — SIESTA
      \item 3 — GULP
      \item 4 — LAMMPS
      \item 5 — Neural Networks code (unused at the moment)
      \item 6 — DMACRYST
      \item 7 — CP2K
      \item 8 — Quantum Espresso
      \item 9 — FHI-aims
      \item 10 — ATK
      \item 11 — CASTEP
      \item 12 — Tinker
      \item 13 — MOPAC
      \item 14 — BoltzTraP
      \item 15 — DFTB
      \item 16 — Gaussian (only for clusters)
      \item 17 — SCPH
    \end{itemize}
\end{itemize}

\begin{itemize}
  \item \textbf{variable KresolStart}
  \item \textit{Meaning:} Specifies the reciprocal-space resolution for \textit{k}-points generation (units: $2\pi\text{Å}^{-1}$).
\end{itemize}
Default: from 0.2 to 0.08 linearly

Format:

```
% KresolStart
 0.2 0.16 0.12 0.08
% Kresolend
```

Note: You can enter several values (one for each step of structure relaxation), starting with cruder (i.e., larger) values and ending with high resolution. This dramatically speeds up calculations, especially for metals, where very many $k$-points are needed. This keyblock is important if you use VASP or QuantumEspresso (with GULP it is not needed at all, and with SIESTA you will have to define `KresolStart` within SIESTA input files).

For clusters, 2D-crystals, and surfaces, you have to specify the thickness of the vacuum region around the cluster (or around the surface slab):

▷ variable vacuumSize

Meaning: Defines the amount of vacuum added around the structure (closest distance in Å between neighboring clusters in adjacent unit cells). Used only for surfaces, 2D-crystals, and nanoparticles.

Default: 10 Å for every step of relaxation

Format:

```
% vacuumSize
 10 15 20
% EndVacuumSize
```

▷ variable numParallelCalcs

Meaning: Specifies how many structure relaxations you want to run in parallel.

Default: 1

Format:

```
10 : numParallelCalcs
```

You need to supply the job submission files or the names of executable files for each code/mode you are using.

▷ variable commandExecutable

Meaning: Specifies the name of the job submission files or executables for a given code.

Default: no default, has to be specified by the user.

Format:
% commandExecutable
gulp < input > output
mpirun -np 8 vasp > out
mpirun -np 8 vasp > out
mpirun -np 8 vasp > out
% EndExecutable

**Note:** Every line corresponds to a stage of relaxation — the first line describes the execution of the first stage of relaxation, etc. For example, `abinitioCode` equal to “3 1 1 1” means that the first relaxation step will be performed with GULP, while the subsequent steps will be performed using VASP via the command “`mpirun -np 8 vasp > out`”. If only one line is present in `commandExecutable`, then the same execution will be performed for all steps of relaxation.

You can actually use USPEX on virtually any platform in the remote submission mode. All you need is MATLAB/Octave to be running on your workstation. In that case, your workstation will prepare input (including jobs), send them to the remote compute nodes, check when the calculations are complete, get the results back, analyze them, and prepare new input. The amount of data being sent to and fro is not large, so the network does not need to be very fast. Job submission is, of course, machine-dependent.

▷ **variable** `whichCluster`

*Meaning:* Specifies the types of job submission.

Possible values (integer):

- 0 — no-job-script;
- 1 — local submission;
- 2 — remote submission.

*Default:* 0

*Format:*

```
1 : whichCluster
```

▷ **variable** `remoteFolder`

*Meaning:* Folder on the remote supercomputer where the calculation will be performed. This keyword is activated only if `whichCluster`=2.

*Default:* none

*Format:*

```
Blind_test : remoteFolder
```
4  Input options. The INPUT.txt file

**Note:** there is a similar parameter specified in the remote submission file — homeFolder. The actual path to the calculation will be `*homeFolder*/remoteFolder*/CalcFolderX` where X=1, 2, 3,...

▷ variable **PhaseDiagram**

*Meaning:* Enables calculation of a phase diagram for `calculationType=300` and 301. It gives an idea (crude one — just to get a rough idea!) of which structures may be stable at higher and lower pressures, and a rough idea of transition pressures.

*Default:* 0

*Format:*

    1 : PhaseDiagram

4.9  Fingerprint settings

Please read (Oganov & Valle, 2009) for details on fingerprint functions.

▷ variable **RmaxFing**

*Meaning:* Distance cutoff (in Å).

*Default:* 10.0

*Format:*

    10.0 : RmaxFing

▷ variable **deltaFing**

*Meaning:* Discretization (in Å) of the fingerprint function.

*Default:* 0.08

*Format:*

    0.10 : deltaFing

▷ variable **sigmaFing**

*Meaning:* Gaussian broadening of interatomic distances.

*Default:* 0.03

*Format:*

    0.05 : sigmaFing

toleranceFing (default=0.008) specifies the minimal cosine distances between structures that qualify them as non-identical — for participating in the production of child structures.
and for survival of the fittest, respectively. This depends on the precision of structure relaxation and the physics of the system (for instance: for ordering problems, fingerprints belonging to different structures will be very similar, and these tolerance parameters should be made small).

### 4.10 Antiseed settings

A family of antiseed techniques have been developed and implemented in USPEX, all based on the idea of penalizing already sampled structures to ensure that the simulation is not stuck in a local minimum. Here, time-dependent fitness is the sum of the actual enthalpy (or another fitness property of interest) and a history-dependent term, which is the sum of the Gaussian potentials added to already sampled parts of the energy landscape:

\[
f = f_0 + \sum_a W_a \exp \left( -\frac{d_{a}^2}{2\sigma_a^2} \right),
\]

where \(f\) is fitness \((f_0\) — the true fitness, \(f\) — history-dependent fitness), \(W_a\) is the height and \(\sigma_a\) is the width of the Gaussian. In our approach, Gaussian parameters change depending on the population diversity and energy spread at each generation.

There are three ways to use this technique. In the first, you can put the structure that you wish to penalize in the `AntiSeeds` folder. For example, this can be the ground state structure — in this case, USPEX will try to find the second lowest-enthalpy structure.

In the second and third methods, you don’t specify antiseed structure(s) — the calculation either uses all sampled structures as antiseeds (well tested; the recommended approach) or just the best structure in each generation. You need to specify a few settings:

\[ \text{\textbackslash{} variable \textbackslash{} antiSeedsActivation} \]

**Meaning:** Specifies from which generation the antiseed mode will be switched on. When \(\text{antiSeedsActivation} = N > 0\), Gaussians are added to all structures starting from generation \(N\), and when \(N < 0\) — Gaussians are only added to the best structure of each generation, starting from generation \(N\). When \(N = 0\), Gaussians are only added to the structures put in the `AntiSeeds` folder. If you don’t want to use antiseeds, specify very large \(\text{antiSeedsActivation}\) (for example, 5000) and \(\text{antiSeedsMax}=0.0\).

**Default:** 5000

**Format:**

\[
1 : \text{antiSeedsActivation}
\]

\[ \text{\textbackslash{} variable \textbackslash{} antiSeedsMax} \]

**Meaning:** Specifies the height of the Gaussian, in units of the mean square deviation of the enthalpy in the generation (computed only among \textbf{bestFrac} structures, \textit{i.e.}, among
potential parents). We recommend \texttt{antiSeedsMax}=0.01.

\textit{Default}: 0.000

\textit{Format}:

\begin{verbatim}
  0.005 : antiSeedsMax
\end{verbatim}

\textbf{variable} \texttt{antiSeedsSigma}

\textit{Meaning}: Specifies the width of the Gaussian, in units of the average distance between structures in the generation (computed only among \texttt{bestFrac} structures, \textit{i.e.}, among potential parents). We recommend \texttt{antiSeedsSigma}=0.005.

\textit{Default}: 0.001

\textit{Format}:

\begin{verbatim}
  0.005 : antiSeedsSigma
\end{verbatim}

\textbf{Fig. 8} shows an example of use of antiseed technique.

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{example.png}
\caption{Example of a calculation of a Lennard-Jones cluster with 38 atoms with the use of \texttt{antiseeds}. The energy of the best structure in every generation is plotted. One can clearly see that the algorithm does not get stuck for a long time to any of the candidate minima and quickly finds the ground state. Here we used \texttt{antiSeedsActivation}=1, \texttt{antiSeedsMax}=0.01, \texttt{antiSeedsSigma}=0.001.}
\end{figure}

\subsection*{4.11 Space group determination}

\textbf{variable} \texttt{doSpaceGroup}
4 Input options. The INPUT.txt file

Meaning: Determines space groups and also writes output in the crystallographic *.CIF-format (this makes your life easier when preparing publications, but beware that space groups may often be under-determined if relaxation was not very precise and if very stringent tolerances were set for the symmetry finder). This option is enabled thanks to the powerful symmetry code provided by H.T. Stokes.

Default: 1, if calculationType=3** (300, 301, 310, 311 — bulk crystals) and 0 otherwise.

Format:

1 : doSpaceGroup (0 - no space groups, 1 - determine space groups)

▷ variable SymTolerance

Meaning: Precision for symmetry determination using the symmetry finder code of H.T. Stokes. Can be specified either as a number (in Å) or as high | medium | low (= 0.05 | 0.10 | 0.20)

Default: medium

Format:

medium : SymTolerance

4.12 Keywords for developers

▷ variable repeatForStatistics

Meaning: Number of automatically executed USPEX runs. USPEX simulations are stochastic, and redoing the simulation with the same input parameters does not necessarily yield the same results. While the final result — the ground state — is the same (hopefully!), the number of steps it takes to reach it and the trajectory in chemical space will differ from run to run. To quantify performance of the algorithm, you MUST collect some statistics — do not rely on just a single run (which may be lucky or unlucky... USPEX does not rely on luck!). This option is only of interest to developers and it only makes sense to collect statistics with simple potentials (e.g., using GULP).

Default: 1 (i.e., no statistics will be gathered)

Format:

20 : repeatForStatistics

▷ variable stopFitness

Meaning: Specifies the fitness value so that the calculation will stop after reaching fitness \( \leq \) stopFitness.
Default: no default, has to be specified by the user.

Format:

90.912 : stopFitness

Note: Automatic analysis of statistics is enabled when stopFitness is specified. It is recommended to set repeatForStatistics keyword to values >1 to collect the statistics of reachability of stopFitness. Sample output is:

<table>
<thead>
<tr>
<th>Generation</th>
<th>Number</th>
<th>Enthalpy</th>
<th>Mat-file</th>
</tr>
</thead>
<tbody>
<tr>
<td>23</td>
<td>1326</td>
<td>90.919</td>
<td>/home/USPEX/01/results1/USPEX.mat</td>
</tr>
<tr>
<td>22</td>
<td>1224</td>
<td>90.919</td>
<td>/home/USPEX/02/results1/USPEX.mat</td>
</tr>
<tr>
<td>60</td>
<td>3451</td>
<td>90.919</td>
<td>/home/USPEX/03/results1/USPEX.mat</td>
</tr>
<tr>
<td>30</td>
<td>1739</td>
<td>90.919</td>
<td>/home/USPEX/04/results1/USPEX.mat</td>
</tr>
<tr>
<td>17</td>
<td>966</td>
<td>90.919</td>
<td>/home/USPEX/05/results1/USPEX.mat</td>
</tr>
<tr>
<td>36</td>
<td>2055</td>
<td>90.919</td>
<td>/home/USPEX/06/results1/USPEX.mat</td>
</tr>
<tr>
<td>35</td>
<td>1987</td>
<td>90.919</td>
<td>/home/USPEX/07/results1/USPEX.mat</td>
</tr>
<tr>
<td>22</td>
<td>1241</td>
<td>90.919</td>
<td>/home/USPEX/08/results1/USPEX.mat</td>
</tr>
<tr>
<td>18</td>
<td>1002</td>
<td>90.919</td>
<td>/home/USPEX/09/results1/USPEX.mat</td>
</tr>
<tr>
<td>29</td>
<td>1641</td>
<td>90.919</td>
<td>/home/USPEX/10/results1/USPEX.mat</td>
</tr>
<tr>
<td>21</td>
<td>1197</td>
<td>90.919</td>
<td>/home/USPEX/11/results1/USPEX.mat</td>
</tr>
<tr>
<td>27</td>
<td>1542</td>
<td>90.919</td>
<td>/home/USPEX/12/results1/USPEX.mat</td>
</tr>
<tr>
<td>44</td>
<td>2619</td>
<td>90.919</td>
<td>/home/USPEX/13/results1/USPEX.mat</td>
</tr>
<tr>
<td>32</td>
<td>1821</td>
<td>90.919</td>
<td>/home/USPEX/14/results1/USPEX.mat</td>
</tr>
<tr>
<td>15</td>
<td>835</td>
<td>90.919</td>
<td>/home/USPEX/15/results1/USPEX.mat</td>
</tr>
<tr>
<td>43</td>
<td>2477</td>
<td>90.919</td>
<td>/home/USPEX/16/results1/USPEX.mat</td>
</tr>
<tr>
<td>40</td>
<td>2278</td>
<td>90.919</td>
<td>/home/USPEX/17/results1/USPEX.mat</td>
</tr>
<tr>
<td>24</td>
<td>1368</td>
<td>90.919</td>
<td>/home/USPEX/18/results1/USPEX.mat</td>
</tr>
<tr>
<td>14</td>
<td>757</td>
<td>90.919</td>
<td>/home/USPEX/19/results1/USPEX.mat</td>
</tr>
<tr>
<td>27</td>
<td>1532</td>
<td>90.919</td>
<td>/home/USPEX/20/results1/USPEX.mat</td>
</tr>
</tbody>
</table>

Found structures numbers: 1326 1224 3451 1739 966 2055 1987 1241 1002 1641 1197 1542 2519 1821 835 2477 2278 1368 757 1532

Found generations numbers: 23 22 60 30 17 36 35 22 18 29 21 27 44 32 15 43 40 24 14 27

Success rate: 100 percent
Average number of generations to get E=90.912: 29
Average number of structures to get E=90.912: 1647
Standard deviation: 670

▷ variable fixRndSeed

Meaning: The random seed number for USPEX calculations. For the same random seed, USPEX is supposed to produce the same result.

Default: 0

Format:

-2000 : fixRndSeed

▷ variable collectForces

Meaning: Enables gathering all relaxation information in USPEX calculation, including total energies, forces on atoms, atomic positions, lattice parameters and stress tensors during structure relaxations. The information is stored in FORCE.mat file. Only VASP is supported.

Default: 0

Format:

1 : collectForces
4.13 Seldom used keywords

▷ variable ordering_active

*Meaning:* Switch on the biasing of variation operators by local order parameters.
*Default:* 1
*Format:*

```
1 : ordering_active
```

▷ variable symmetrize

*Meaning:* Switches on a transformation of all structures to standard symmetry-adapted crystallographic settings.
*Default:* 0
*Format:*

```
1 : symmetrize
```

▷ variable valenceElectr

*Meaning:* Number of valence electrons for each type of atoms.
*Default:* these numbers are constants for all atoms, and we have tabulated them, no need to specify explicitly.
*Format:*

```
% valenceElectr
2 6
% EndValenceElectr
```

▷ variable percSliceShift

*Meaning:* Probability of shifting slabs (used in heredity) in all dimensions, 1.0 means 100%.
*Default:* 1.0
*Format:*

```
0.5 : percSliceShift
```

▷ variable maxDistHeredity

*Meaning:* Specifies the maximal cosine distances between structures that participate in heredity. This specifies the radius on the landscape within which structures can mate. Use with care (or do not use at all).
Default: 0.5

Format:

0.5 : maxDistHeredity

d> variable manyParents

Meaning: Specifies whether more than two slices (or more than two parent structures) should be used for heredity. This may be beneficial for very large systems.

Possible values (integer):

0 — only 2 parents are used, 1 slice each.
1 — many structures are used as parents, 1 slice each.
2 — two structures are used as parents, many slices (determined dynamically using parameters minSlice and maxSlice) are chosen independently from each one.
3 — two structures are used as parents, many slices (determined dynamically using parameters minSlice and maxSlice) are cut from the cell with a fixed offset. This is the preferred option for large systems. For example, we cut both structures into slices of approximately the same thickness and then choose the even slices from parent 1 and odd slices form parent 2, making a multilayered “sandwich”, or a “zebra”.

Default: 0

Format:

3 : manyParents

minSlice, maxSlice: Determines the minimal and maximal thickness of the slices in Å that will be cut out of the parent structures to participate in creation of the child structure. We want the slices to be thick enough to carry some information about the parent (but not too thick to make heredity ineffective). Reasonable values for these parameters are around 1 and 6 Å, respectively.

For clusters, you can directly specify the number of parents participating in heredity (but we found this to be of little use):

d> variable numberparents

Meaning: Defines the number of parents in heredity for clusters.

Default: 2

Format:

2 : numberparents
5 Additional input for special cases

5.1 MOL_1, MOL_2, ... files for molecular crystals

5.1.1 Molecular crystals, calculationType=310/311

For a molecular crystal, the MOL_1 file describes the internal geometry of the molecule from which the structure is built. The Z_Matrix file is created using the information given in the MOL_1 file, i.e., bond lengths and all necessary angles are calculated from the Cartesian coordinates. The lengths and angles that are important should be used for the creation of Z_Matrix — this is exactly what columns 5–7 specify. Let’s look at the MOL_1 file for benzene C₆H₆:

![Figure 9: Sample of MOL_1 file and illustration of the corresponding molecular structure.](image)

The 1ˢᵗ atom is H, its coordinates are defined without reference to other atoms (“0 0 0”).
The 2ⁿᵈ atom is C, its coordinates (in molecular coordinate frame) in Z_matrix will be set only by its distance from the 1ˢᵗ atom (i.e. H described above), but no angles — (“1 0 0”).
The 3ʳᵈ atom is C, its coordinates will be set by its distance from the 2ⁿᵈ atom, and the bond angle 3-2-1, but not by torsion angle — hence we use “2 1 0”.
The 4ᵗʰ atom is C, its coordinates will be set by its distance from the 3ʳᵈ atom, bond angle 4-3-2, and torsion angle 4-3-2-1 — hence, we use “3 2 1” and so forth...until we reach the final, 12ᵗʰ atom, which is H, defined by its distance from the 7ᵗʰ atom (C), bond angle 12-7-6 and torsion angle 12-7-6-11 — hence “7-6-11”.
The final column is the flexibility flag for the torsion angle. For example, in C4, the tosion angle is defined by 4-3-2-1. This flag should be 1 for the first three atoms, and 0 — for
the others, if the molecule is rigid. If any other flexible torsion angle exists, specify 1 for this column.

5.1.2 Polymeric crystals, calculationType=110 (“linear chain model”)

For polymers, the MOL_1 file is used to represent the geometry of a monomeric unit, in the same style as for molecular crystals, except that we use the last column to specify the reactive atoms as shown in the MOL_1 file for PVDF:

Figure 10: Sample of MOL_1 file of PVDF and illustration of the corresponding monomeric structure.

5.1.3 Additional inputs for classical forcefields

Above we described a generic MOL_1 file format. However, some classical forcefield based codes need additional information. For instance, GULP needs to specify the chemical labels and charge. The MOL_1 file for aspirin can be written in the following way:

Aspirin_charge
Number of atoms: 21
H_1  0.2310  3.5173  4.8778  0  0  0  1  0.412884
O_R  0.7821  4.3219  4.9649  1  0  0  1  -0.676228
C_R  0.4427  5.0883  6.0081  2  1  0  1  0.558537
O_2  -0.5272  4.5691  6.6020  3  2  1  0  -0.658770
C_R  1.0228  6.3146  6.3896  3  2  4  0  0.116677
C_R  2.1330  6.8588  5.6931  5  3  2  0  0.311483
C_R  0.4810  7.0546  7.4740  5  3  6  0  -0.119320
O_R  2.8023  6.2292  4.6938  6  5  3  0  -0.574557
C_R  2.6211  8.1356  6.0277  6  5  8  0  -0.083091
C_R  0.9966  8.3146  7.8237  7  5  3  0  -0.103442
H_2  -0.3083  6.6848  8.0128  7  5  10  0  0.198534
Here, the keyword **charge** in the title tells the program to read the charge in the additional (last) column.

To work with Tinker, the additional column must specify the atomic type label as follows:

**Urea**

Number of atoms: 8

<table>
<thead>
<tr>
<th>Atom</th>
<th>X</th>
<th>Y</th>
<th>Z</th>
<th>Type</th>
<th>Atomic number</th>
<th>Charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>C</td>
<td>0.000000</td>
<td>0.000000</td>
<td>0.000000</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>O</td>
<td>0.000000</td>
<td>0.000000</td>
<td>1.214915</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>N</td>
<td>1.137403</td>
<td>0.000000</td>
<td>-0.685090</td>
<td>1</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>N</td>
<td>-1.137403</td>
<td>0.000000</td>
<td>-0.685090</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>H</td>
<td>1.194247</td>
<td>0.000000</td>
<td>-1.683663</td>
<td>4</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>H</td>
<td>-1.194247</td>
<td>0.000000</td>
<td>-1.683663</td>
<td>4</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>H</td>
<td>1.998063</td>
<td>0.000000</td>
<td>-0.138116</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>H</td>
<td>-1.998063</td>
<td>0.000000</td>
<td>-0.138116</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

### 5.1.4 How to prepare the MOL files

There are plenty of programs which can generate Zmatrix style files, such as Molden, Avogadro, and so on. Experienced users might have their own way to prepare these files. For the users’ convenience, we have created an online utility to allow one to generate the USPEX-style MOL file just from a file in XYZ format. Please try this utility at [http://han.ess.sunysb.edu/zmatrix](http://han.ess.sunysb.edu/zmatrix).

### 5.2 Optimization of Thermoelectric efficiency

Finding materials with high thermoelectric efficiency is an important research field. Therefore, it is necessary to enable the optimization of it.

The figure of merit \((ZT)\) measures the thermoelectric efficiency of a material, and it is defined as

\[
ZT = \frac{\sigma S^2 T}{\kappa_E + \kappa_{PH}},
\]

(7)
where $\sigma$ is the electrical conductivity, $S$ is the Seebeck coefficient, $T$ is temperature, and $\kappa_e$ and $\kappa_{ph}$ are electronic and phonon parts of thermal conductivity, respectively. These values (except for $\kappa_{ph}$) can be calculated, within a constant relaxation time approximation, using the code BoltzTraP\textsuperscript{26} on fully relaxed structures, from the electronic structure obtained by VASP.

### 5.2.1 Installation of supporting software

To run a thermoelectric efficiency optimization using USPEX, some additional software is required.

1. Source code of BoltzTraP\textsuperscript{26}. It can be downloaded from [http://www.icams.de/content/departments/cmat/boltztrap/](http://www.icams.de/content/departments/cmat/boltztrap/). Please, follow the manual attached to its source distribution for installation.

2. Python and python libraries. The interface of USPEX, VASP and BoltzTraP\textsuperscript{26} has been tested on the Anaconda Python 2.7.10, which can be downloaded from [https://www.continuum.io/downloads](https://www.continuum.io/downloads). In addition to the standard libraries, the following are also required:

   - **numpy**, version 1.4.1 or later.
   - **scipy**, version 0.11.0 or later.
   - **ase**, version 3.8.1 or later.
   - **pyspgrid** (optional)
   - **matplotlib** (optional)

   With Anaconda Python, there is a large volume of stocked libraries that can be installed with the command `conda`. The following command lines are an example for installing libraries required for running a thermoelectric optimization.

   ```bash
   $ conda install numpy scipy matplotlib
   $ pip install ase pyspgrid
   ```

   Under a normal Python distribution with `pip` installed, one can install required packages by typing the following command line.

   ```bash
   $ pip install numpy scipy matplotlib ase pyspgrid
   ```

### 5.2.2 Specifying Optimization of thermoelectric efficiency in INPUT.txt

For a thermoelectric efficiency optimization, the flag `optType` should be set to 14 as:
% optType
14
% EndOptType

Since the calculation of thermoelectric properties is performed on relaxed structures, a series of well-designed relaxation steps is necessary. Currently, VASP is the only implemented interface between USPEX and BoltzTraP\textsuperscript{26}. This is specified as follows:

% abinitioCode
1 1 1 (1 14)
% ENDabinit

% KresolStart
0.12 0.10 0.07 0.05 0.05
% Kresolend

In the above example, structure relaxation is performed by a series of VASP executions (four in total) with finer and finer \textbf{k}-point grid. Note that the last value of \texttt{KresolStart} is not used, it is listed only as a placeholder.

Optimization of thermoelectric efficiency is enabled only for \texttt{calculationType} 300 and 301. The following flags are also expected to be set. For a deeper understanding of them, the user is referred to the original BoltzTrap paper\textsuperscript{26}.

\begin{verbatim}
800.0 : BoltzTraP_T_max
50.0  : BoltzTraP_T_delta
0.15  : BoltzTraP_efcut
300.0 : TE_T_interest
0.45  : TE_threshold
ZT    : TE_goal
\end{verbatim}

\textit{键 variable BoltzTraP_T_max}

\textit{Meaning:} Maximum temperature (K) for calculations by BoltzTraP.

\textit{Default:} 800.0

\textit{Format:}

\begin{verbatim}
 800.0 : BoltzTraP_T_max
\end{verbatim}

\textit{键 variable BoltzTraP_T_delta}

\textit{Meaning:} Temperature (K) increments used by BoltzTraP.

\textit{Default:} 50

\textit{Format:}
50.0 : BoltzTraP_T_delta

▷ variable BoltzTraP_T_efcut

Meaning: This variable specifies the interval of the chemical potential $\mu$ (eV) for BoltzTraP calculations.
Default: 0.15
Format:
0.2 : BoltzTraP_efcut

▷ variable TE_T_interest

Meaning: Target temperature (K) at which you want to optimize thermoelectric efficiency.
Default: 300.0
Format:
300.0 : TE_T_interest

▷ variable TE_threshold

Meaning: This flag is used for reducing the amount of storage space required by the optimization and it sets a lower limit for $ZT$. Saving all information generated by BoltzTraP for a large number of structures could occupy a vast amount of disk space. Structures with a $ZT$ value below $TE_threshold$ are discarded.
Default: 0.5
Format:
0.45 : TE_threshold

▷ variable TE_goal

Meaning: The component of $ZT$ to be optimized. Since the quantities defining $ZT$ are tensorial, the user is expected to select a component of $ZT$ to carry out the optimization. The options currently supported are the trace $ZT$, or the diagonal components $ZT_{xx}$, $ZT_{yy}$, and $ZT_{zz}$.
Default: $ZT$
Format:
ZT : TE_goal
5.2.3 Output

The output of a thermoelectric efficiency optimization can be found in the sub-folder TEproperties under the appropriate results-folder. The maxima of $ZT$ and their corresponding $\mu$ are listed in the summary file summary.txt. The first column is the ID of the structure. With the ID, its structure can be found in the file gatheredPOSCARS. Structures created by the keepBest operation are not listed in the summary file, as each of them is a copy of another structure listed. A sample part of the summary file is as follows:

```
# trace
# ID mu_max_1 ZT_max_1 mu_max_2 ZT_max_2
1 0.019900 0.314997 -0.186600 0.294976
2 0.152270 0.913590 0.002270 0.864951
3 -0.021300 4.951155 0.152200 3.244481
4 -0.194630 0.677683 0.054370 0.628948
6 0.024120 6.144226 0.053620 0.914606
7 0.030460 0.887808 0.041960 0.831734
9 0.167860 0.479234 0.159360 0.446431
10 0.133260 0.893694 0.144760 0.822560
12 0.063250 0.903193 0.075750 0.843479
13 0.044820 1.793899 0.004820 1.026578
```

Individual thermoelectric properties (such as $\sigma$, $S$, $\kappa_e$ and power factor $\sigma S^2$) can also be found in the folder TEproperties with corresponding structure ID number appended in the file name.

Note that, due to numerical instabilities in the computation of thermoelectric properties, some of the results might be incorrect, in which case the values of $ZT$ can be tens or hundreds of thousands times a normal value. USPEX makes sure that such values are discarded. To reduce frequency of occurrence of such numerical instabilities, we recommend symmetrization of structures, when their band structures are computed for $ZT$ calculation.

5.3 Surfaces

To perform a prediction of surface reconstructions, you have to:

- Specify 200 or 201 : calculationType.
- Provide a file containing substrate in VASP5 POSCAR format, as shown on Fig. [11]
- Specify the following parameters:
Figure 11: The surface model used in USPEX. Note that POSCAR_SUBSTRATE shall exactly represent the geometrical information of its bulk crystal without vacuum. If the input has large vacuum region, the program will automatically delete it and provide a new file called POSCAR_SUBSTRATE_NEW, and this file has to be used in the calculation (renamed as POSCAR_SUBSTRATE).

% symmetries
2-17
% endSymmetries

Note: If the symmetries tag is present, USPEX will try to generate surface structures using plane groups.

▷ variable thicknessS

*Meaning:* Thickness of surface region. Adatoms are allowed only in this region.

*Default:* 2.0 Å

*Format:*

```
3.5 : thicknessS
```

▷ variable thicknessB

*Meaning:* Thickness of buffer region in substrate. This region is part of POSCAR_SUBSTRATE, and is allowed to relax.

*Default:* 3.0 Å

*Format:*
3.0 : thicknessB

▷ variable reconstruct

*Meaning:* Maximum multiplications of the surface cell, to allow for complex reconstructions.

*Default:* 1

*Format:*

1 : reconstruct

USPEX also provides the possibility of predicting surface reconstructions with variable number of surface atoms. In this case, stable surface reconstructions are dictated by chemical potentials. A typical set of input is the following:

```
* TYPE OF RUN AND SYSTEM *
USPEX : calculationMethod (USPEX, VCNEB, META)
201 : calculationType (dimension: 0-3; molecule: 0/1; varcomp: 0/1)

% atomType
Si 0
% EndAtomType

% numSpecies
2 4
% EndNumSpecies

Here we specify the maximum number of surface atoms in a 1 × 1 cell.

* SURFACES *

% symmetries
2-17
% endSymmetries

% StoichiometryStart
1 2
% StoichiometryEnd

This defines the stoichiometry of the bulk.
At the moment, USPEX supports variable-composition calculation for the following cases of surfaces:

- Reconstructions of elemental surfaces (such as C@diamond(100) surface).
- Reconstructions of surfaces at binary compounds (such as GaN(0001) surface).
- Reconstructions involving foreign species on elemental surfaces (such as PdO@Pd(100) surface).

5.4 Clusters

To perform a structure prediction of clusters, you have to:

- Specify 000 : calculationType.
- Specify the following parameters:

▷ variable vacuumSize

*Meaning*: Defines the amount of vacuum added around the structure of cluster (closest distance in Å between neighboring clusters in adjacent unit cells).

*Default*: 10.0 Å for every step of relaxation

*Format*:

```
% vacuumSize
10 10 15 20 20
% endVacuumSize
```

USPEX also provides the possibility of studying the stable configurations of clusters with variable number of atoms. A typical set of input is the following:
Specify 001 : calculationType.

Specify range of compositions:

Format for one-component clusters:

% numSpecies
10 20
% EndNumSpecies

Format for two-component (binary) clusters:

% numSpecies
1 1
5 10
% EndNumSpecies

5.5 Variable-composition code

To switch on the variable-composition mode, you have to:

1. Specify 301 or 311 or 201 : calculationType.

2. Specify compositional building blocks in numSpecies (see the description of numSpecies variable).

3. Optionally specify the approximate atomic volumes for each atom type (or for each compositional block) using keyblock Latticevalues. However, we recommend relying on their default values, built into the program.

4. Specify the following varcomp-only options:

▷ variable firstGeneMax

Meaning: How many different compositions are sampled in the first generation. If 0, then the number is equal to initialPopSize/4. For binaries, we recommend firstGeneMax=11, for ternaries a higher value is needed, e.g. 30.

Default: 11

Format:

10 : firstGeneMax

▷ variable minAt
Meaning: Minimum number of atoms (for calculationType=301/201/300) or molecules (for calculationType=311) in the primitive unit cell for the first generation.
Default: No default
Format:
\[10 : \text{minAt}\]

▷ variable \textit{maxAt}

Meaning: Maximum number of atoms (for calculationType=301/201/300 or in META calculations) or molecules (for calculationType=311) in the primitive unit cell for the first generation.
Default: No default
Format:
\[20 : \text{maxAt}\]

▷ variable \textit{fracTrans}

Meaning: Percentage of structures obtained by transmutation. In this operator, a randomly selected atom is transmuted into another chemical species present in the system — the new chemical identity is chosen randomly by default, or you can specify it in the block \textit{specificTrans}, just like with specific permutation swaps.
Default: 0.1
Format:
\[0.1 : \text{fracTrans}\]

▷ variable \textit{howManyTrans}

Meaning: Maximum percentage of atoms in the structure that are being transmuted (0.1 = 10%). The fraction of atoms that will be transmuted is drawn randomly from a homogeneous distribution bounded from 0 to the fractional parameter \textit{howManyTrans}.
Default: 0.2
Format:
\[0.2 : \text{howManyTrans}\]

▷ variable \textit{specificTrans}

Meaning: Specifies allowed transmutations.
Default: blank line (no specific transmutations)
Format:
5 Additional input for special cases

% specificTrans
1 2
% EndTransSpecific

Note: In this case, atoms of type 1 could be transmuted into atoms of type 2 and vice versa. If you want to try all possible transmutations, just leave a blank line inside this keyblock.

In the case of variable-composition runs, parameter keepBestHM takes a new meaning — all structures on the convex hull (i.e., thermodynamically stable states of the multicomponent system) survive, along with a few metastable states closest to the convex hull — the total number is keepBestHM.

For variable-composition runs, it is particularly important to set up the first generation wisely. Choose a suitably large initial population size initialPopSize. Choose a reasonably large number of different compositions firstGeneMax to be sampled in the first generation (but not too large — each composition needs to be sampled several times at least). Finally, minAt and maxAt should not differ by more than 2 times, and you may need a few calculations with different system sizes: e.g., 4–8, 8–16, 16–30 atoms, etc.

Figure 12: Convex hull diagram for Na-Cl system at selected pressures. Solid circles represent stable compounds; open circles — metastable compounds.

An additional comment for VASP users — if you want to perform a variable-composition run, let’s say for the Na-Cl system, you should make sure the atomic types are given correctly in INPUT.txt, and put pseudopotential files POTCAR_Na and POTCAR_Cl in the folder ~/StructurePrediction/Specific/. USPEX will then recognize each atom and take each atom’s POTCAR file appropriately for the calculations. Fig. 12 shows thermodynamics of stable sodium chlorides discovered using USPEX and confirmed by experiment.
5.6 Evolutionary metadynamics code

This is a very powerful method for finding the global minimum, as well as many low-energy metastable structures that are potentially kinetically accessible from the starting structure. The starting structure has to be high-quality and is given in the file POSCAR. Evolutionary metadynamics is only enabled with the VASP and GULP codes at the moment.

To switch on the evolutionary metadynamics mode, you have to:

1. Specify
   
   ```
   META : calculationMethod
   300 : calculationType
   ```

2. Create file POSCAR in the VASP5 format in your folder (evolutionary metadynamics requires a good starting structure, relaxed at the pressure of interest).

3. Specify the population size (in this case, this is the number of softmutations at each metastep):
   
   ```
   30 : populationSize
   ```

4. Specify the pressure:

   ```
   variable ExternalPressure
   Meaning: The pressure at which you want to perform the calculation, in GPa.
   Default: no default
   Format:
   10 : ExternalPressure (GPa)
   ```

5. Specify the following metadynamics-only options:

   ```
   variable GaussianWidth
   Meaning: The width of each of the Gaussians added to the energy surface to accelerate phase transitions. A good rule of thumb is to choose a value close to 0.10–0.15\( L \), where \( L \) is the minimum length of the unit cell, in Angstroms.
   Default: 0.10 \times L \ (\text{Å})
   Format:
   0.80 : GaussianWidth
   ```
▷ variable GaussianHeight

Meaning: The height of each of the Gaussians added to the energy surface to accelerate phase transitions. A good rule of thumb (Martoňák et al., 2005) is to choose a value close to \( L(\delta h)^2 G \), where \( L \) is the average length of the unit cell in Angstroms, \( \delta h \) is the Gaussian width in Angstroms (see below), and \( G \) is the shear modulus in kbars.

Default: \( 1000 \times (0.10 \times L)^2 \times L = 10 \times L^3 \ \text{(Å}^3 \text{kbar}) \)

Format:

\[
2000 : \text{GaussianHeight}
\]

▷ variable FullRelax

Meaning: Metadynamics as such only relaxes structures within a fixed cell. For analysis, you need to perform complete structure relaxation (i.e. relaxing also the cell).

- FullRelax=0 — no full relaxation will be performed (very fast option, but inconvenient for analysis of the results).
- FullRelax=1 — only the best structure of the generation will be fully relaxed (also fast, sometimes sufficient).
- FullRelax=2 — all inequivalent structures are fully relaxed (still fast, only \( \sim 2 \) times slower than FullRelax=1, but provides a lot more insight. Strongly recommended for most cases).

Default: 2

Format:

\[
2 : \text{FullRelax}
\]

For full relaxation, when performing evolutionary metadynamics the format of the block abinitioCode is slightly different, for example:

\[
\text{abinitioCode}
3 \ 3 \ 3 \ 3 \ (3 \ 3)
\text{ENDabinit}
\]

In the example above, there are four stages of relaxation within a fixed cell, and two stages of full relaxation (in parentheses). Remember that in the last fixed-cell stage of relaxation, pressure tensor must be accurate — this is what drives metadynamics.

▷ variable maxVectorLength
Meaning: Together with \texttt{minVectorLength}, this sets boundary values for basic cell lengths in evolutionary metadynamics (note that this is a different meaning for \texttt{minVectorLength} from normal calculations, and \texttt{maxVectorLength} is only used in evolutionary metadynamics). When any of the basic cell lengths becomes smaller than \texttt{minVectorLength} or larger than \texttt{maxVectorLength}, we add a steep correction “force” in metadynamics, which drives cell evolution towards “good” values. The correction forces are exactly zero when all basic cell lengths are in the “good” range.

Default: No default

Format:

\[ 12.0 : \texttt{minVectorLength} \]

Figure 13: Enthalpy evolution of Al$_2$SiO$_5$ starting with andalusite at 10 GPa (black line: enthalpies for best structures with constant \( h \); magenta line: enthalpies for best structures after full relaxation). Sequence of structures obtained in this run: generation 1 (andalusite) → generation 9 (sillimanite) → generation 14 → generation 66 → generation 68 → generation 69 → generation 70 (kyanite).

When you run metadynamics, additional files will be found in the results1 folder, most importantly:

- \texttt{force.dat} — analysis of forces on the cell, internal (\( f_c \)) and from the Gaussians (\( f_g \)).
5 Additional input for special cases

- **presten** — pressure tensor;
- **lattice.dat** — cell shape change during the simulation;
- **enthalpies** and **enthalpies_relaxed** — enthalpies of structures at each metastep at fixed cell and after full relaxation, respectively;
- **gatheredPOSCARS** and **gatheredPOSCARS_relaxed** — structures at fixed cell and after full relaxation, respectively.

Fig. 13 shows an example of use of evolutionary metadynamics: starting from one Al$_2$SiO$_5$ polymorph (andalusite), we obtained the other two known polymorphs (kyanite and sillimanite) and non-trivial phase transformation mechanisms.

## 5.7 Particle swarm optimization (PSO) code

In the field of crystal and cluster structure prediction, several approaches proved to be successful for small systems. Particle Swarm Optimization (PSO), pioneered in this field by Boldyrev\textsuperscript{[29]} is a special class of evolutionary algorithms where a population (swarm) of candidate solutions (called “particles”) is moved in the search space according to a few simple formulae. The movements of the particles are guided by their own best known position in the search space as well as the entire swarm’s best known position. Initially, the coordinates $\chi$ and ‘velocities’ $\upsilon$ of the particles are generated randomly. Then at every step, the positions and velocities are updated according to the formulae:

\begin{align}
\upsilon_i' &= \omega \cdot \upsilon_i + \varphi_p \cdot r_p \cdot (p_i - \chi_i) + \varphi_g \cdot r_g \cdot (g - \chi_i), \\
\chi_i' &= \chi_i + \upsilon_i'.
\end{align}

(8)

Here $\omega$, $\varphi_p$ and $\varphi_g$ are weight factors that control the behavior and efficiency of the PSO algorithm; $r_p$ and $r_g$ are random numbers in the $[0; 1]$ range generated separately for every particle at every step; $p_i$ is the best known position of particle $i$ and $g$ is the best known position of the entire swarm.

Such an algorithm, despite its simplicity, can work\textsuperscript{[29]}. Key points to improve with respect to previous implementations\textsuperscript{[29,30]} are (1) metric of the search space (it is not trivial to map crystal structures uniquely onto a coordinate system) and (2) ways to evolve structures in PSO, \textit{i.e.} variation operators.

Evolving the particles by determining the speed $\upsilon_i$ \textsuperscript{[5]} directly from coordinates of the atoms and cell parameters of two structures (as in Ref.\textsuperscript{[30]}) cannot be productive. Our solution is to use fingerprint distances\textsuperscript{[17]} as the most natural metric for the energy landscape, and variation operators of USPEX for evolving the ‘PSO particles’ (\textit{i.e.} structures) as the most efficient unbiased ways to evolve a population of structures. Namely, the particle is either mutated (to imitate a random move), or participates in heredity with its best known position or in heredity with the best known population position (to imitate PSO
Additional input for special cases

Figure 14: Illustration of PSO-USPEX hybrid algorithm for the population of three individuals (marked by diamonds, squares and circles) after 10 generations. Best position for each particle is marked by an enlarged symbol. The best structure is the big square. The structure shown by circle can be either mutated, create a child with its historically best position (large circle) or the best position of entire population (large square) using heredity operator with probabilities $P_m$, $P_p$ and $P_g$, respectively.

moves in the direction of these positions). Instead of applying at each step all moves with some weights (see Eq. 8), we apply them one at a time with probabilities described by formulae:

$$P_m = \frac{\omega}{\Sigma}; \quad P_p = \frac{\varphi_p \cdot r_p \cdot D_p}{\Sigma}; \quad P_g = \frac{\varphi_g \cdot r_g \cdot D_g}{\Sigma};$$

$$\Sigma = \omega + \varphi_p \cdot r_p \cdot D_p + \varphi_g \cdot r_g \cdot D_g,$$

where $D_p$ is a fingerprint distance between current and best position of a particle, while $D_g$ is a fingerprint distance between the current position of the particle and best known position of the entire population. Our tests, performed on a few diverse systems, show that this approach (which we call “cor-PSO”, i.e. corrected PSO) is relatively successful and works better than previous versions of PSO, but still cannot compete with the USPEX algorithm\textsuperscript{[231]} for success rate or efficiency.

The following variables are unique for calculationMethod=PSO:

\> variable PSO_softMut

	Meaning: Weight of softmutation ($\omega$ in eq. 9).

	Default: 1

Format:

\> 1 : PSO_softMut

May 21, 2018
$\triangledown$ variable `PSO_BestStruc`

*Meaning:* Weight of heredity with the best position of the same PSO particle ($\varphi_p$ in eq. 9).

*Default:* 1

*Format:*

```
1 : PSO_BestStruc
```

$\triangledown$ variable `PSO_BestEver`

*Meaning:* Weight of heredity with the globally best PSO particle ($\varphi_g$ in eq. 9).

*Default:* 1

*Format:*

```
1 : PSO_BestEver
```
6 Prediction of Phase Transition Pathways

Phase transitions determine many aspects of the behavior of materials. Thus, it is essential to reveal possible mechanisms of structural phase transitions.

6.1 Variable-cell nudged elastic band (VCNEB) method

Prediction of a phase transition mechanism can be considered as a double-ended problem, in which the algorithm has to locate the intermediate states. The nudged elastic band (NEB) method is a widely used technique for solving double-ended problems, an efficient and robust approach for seeking reaction paths and saddle points along the “minimum energy path” (MEP) on the potential energy surface between the two endpoints. The NEB method has been successfully applied to molecular chemical reactions, surfaces, and defect migration, in particular it could provide the energy barrier between the given initial and final states of a phase transition process. Unfortunately, most of the problems treated by the NEB method are considered under the constraint of constant unit cell — which precludes it from being used for phase transitions (which involve the variation of the unit cell along the transition path).

Figure 15: The minimum energy path (line with gray circles) and initial path on a model 2D enthalpy surface. The forces in the VCNEB method on image \( i \) are shown in the inset. \( \mathbf{F}_i^\nabla \) is the potential force in the gradient direction. \( \mathbf{F}_i^{\nabla \perp} \) and \( \mathbf{F}_i^{\parallel} \) are the transverse component of \( \mathbf{F}_i^\nabla \) and the spring force, respectively.

The variable cell NEB (VCNEB) method, which we have developed with somewhat different formulation, treats the cell and atomic coordinates on an equal footing and operates in an expanded configuration space under the condition of constant pressure. Our
VCNEB method framework has been added to the USPEX code in 2013. The VCNEB method is a more general tool for exploring the activation paths between the two endpoints of a phase transition process within a larger configuration space. Every structure on the pathway in the VCNEB method is regarded as an “Image”.

### 6.1.1 Input options for VCNEB

The VCNEB method is only enabled with the VASP, GULP and Quantum Espresso codes at the moment.

To switch on the VCNEB mode, you have to:

1. Specify
   
   VCNEB : calculationMethod

2. Create a file `Images` in the VASP5 format in your folder (VCNEB requires at least two structures, initial and final phases, to run the phase transition pathway prediction).

3. Specify the following VCNEB options:

   - **variable vcnebType**

   *Meaning:* Specifies type of the VCNEB calculation. This variable consists of three indices: *calculation mode*, *image number variability*, and *spring constant variability*:

   - calculation option:
     
     “1” — the VCNEB method;
     
     “2” — structure relaxation mode with no VCNEB calculation.

   - Variable-Image-Number method:
     
     “0” — the number of images in VCNEB calculation is fixed;
     
     “1” — the number of images in VCNEB calculation is variable.

   - variability of spring constant:
     
     “0” — fixed spring constant;
     
     “1” — variable spring constant.
Default: 110

Format:

111 : vcnebType

Note: If vcnebType=111, i.e., a calculation for VCNEB calculation with variable number of Images and variable spring constant is to be performed. We strongly suggest users to run a variable number of images in VCNEB calculations when investigating reconstructive phase transitions.

▷ variable numImages

Meaning: Initial number of images to perform the calculation.

Default: 9

Format:

13 : numImages

▷ variable numSteps

Meaning: Maximum number of VCNEB steps.

Default: 600

Format:

500 : numSteps

Notes: (1) When numSteps=-1, the initial pathway will only be generated with no further optimization. (2) Convergence of VCNEB pathways is usually rather slow. We recommend to set numSteps to at least 500.

▷ variable optReadImages

Meaning: Options for reading the Images file:

- “0” — All images (numImages) are needed and specified in Images file;
- “1” — Only initial and final images are needed and would be read in Images file;
- “2” — The initial, final and any specified intermediate Images will be read in Images file.

Default: 2

Format:

1 : optReadImages

Note: In all options, the initial and final images must be specified. Automatic linear interpolation will be applied to generated the initial Images in option 1 and 2.
variable optimizerType

Meaning: Optimization algorithm option of structure relaxation:

- "1" — Steepest Descent (SD);
- "2" — FIRE (Fast Inertial Relaxation Engine) Algorithm.

Default: 1 (SD) — for VCNEB calculations; 2 (FIRE) — for structure relaxation

Format:

1 : optimizerType

variable optRelaxType

Meaning: Structure relaxation mode:

- "1" — relax only atomic positions (with cell fixed), e.g. as in the classical NEB method;
- "2" — relax only cell lattice (used only for testing);
- "3" — full relaxation of atomic positions and cell.

Default: 3

Format:

3 : optRelaxType

variable dt

Meaning: Time step for structure relaxation.

Default: 0.05

Format:

0.1 : dt

Note: If dt is very small, the calculations will be very slow. If dt is too large, the calculation will be unstable and often generate meaningless pathways.

variable ConvThreshold

Meaning: Halting criteria condition for RMS (Root Mean Square forces) on images.

Default: 0.003 eV/Å

Format:

0.005 : ConvThreshold
\section*{6 Prediction of Phase Transition Pathways}

\begin{itemize}
\item \textbf{variable VarPathLength}
\textit{Meaning}: Criterion for path length between images for variable Image method. When the length between two neighbor images is larger than 1.5 times of \texttt{VarPathLength}, a new image will be added between the two images using linear interpolation; when less then 0.5 the value, the second image will be removed.

\textit{Default}: The average path length between images of the initial pathway

\textit{Format}:
\begin{verbatim}
0.3 : VarPathLength
\end{verbatim}

\item \textbf{variable K\textsubscript{min}}
\textit{Meaning}: Minimum spring constant, only used in variable-spring constant VCNEB (in eV/Å\textsuperscript{2}).

\textit{Default}: 5

\textit{Format}:
\begin{verbatim}
3 : K_min
\end{verbatim}

\item \textbf{variable K\textsubscript{max}}
\textit{Meaning}: Maximum spring constant, only used in variable-spring constant VCNEB (in eV/Å\textsuperscript{2}).

\textit{Default}: 5

\textit{Format}:
\begin{verbatim}
6 : K_max
\end{verbatim}

\item \textbf{variable Kconstant}
\textit{Meaning}: Spring constant, Only used in fixed-spring constant VCNEB (in eV/Å\textsuperscript{2}).

\textit{Default}: 5

\textit{Format}:
\begin{verbatim}
4 : Kconstant
\end{verbatim}

\item \textbf{variable optFreezing}
\textit{Meaning}: Option for freezing the Image structure. Image structure will be frozen when \texttt{ConvThreshold} is achieved if enabled. Image structure freezing options:

\begin{itemize}
\item “0” — no Images freeze any time;
\item “1” — freeze when \texttt{ConvThreshold} is achieved.
\end{itemize}
\end{itemize}

\clearpage
Default: 0
Format:

    1 : optFreezing

▷ variable optMethodCIDI

Meaning: Option for Climbing-Image (CI) and Downing-Image (DI) method. This method is only suggested to be used when you have a reasonable and well converged pathway. CI/DI-Image method options:

- “0” — CI/DI method not used;
- “1” — single CI method, only the highest energy or user-provided transition state (TS) will be used for CI;
- “-1” — single DI method, only the lowest energy or user-provided local minimum state (LM) will be used for DI;
- “2” — mixed multi-CI/DI method, the sequential numbers of TS and LM states need to be provided;

Default: 0
Format:

    1 : optMethodCIDI

▷ variable startCIDIStep

Meaning: CI/DI method starting step number, only available when optMethodCIDI=1.
Default: 100
Format:

    200 : startCIDIStep

▷ variable pickupImages

Meaning: Images number to be picked up for CI/DI method.
Default: Image number of transition state and local minima state Images
Format:

    % pickupImages
    9 11 17
    % EndPickupImages
Note: In this case, the 9th, 11th and 17th images will be picked up for applying CI/DI-Image method. The image at transition state will evolve with CI method and the image at local minimum will evolve with DI method automatically.

▷ variable FormatType

Meaning: The format of structures in pathway output file, locates in results1/PATH/. Pathway structures output format:

- “1” — XCrySDEN format (.xsf file);
- “2” — VASP POSCAR;
- “3” — XYZ format with lattice.

Default: 2

Format:

1 : FormatType

▷ variable PrintStep

Meaning: Save the VNCEB restart files located in results1/STEP/ every PrintStep steps.

Default: 1

Format:

10 : PrintStep

Note: For empirical codes, such as GULP, we suggest users to set PrintStep=10 to reduce time cost of saving the restart files.

Fig. 16 shows an example of use of the VCNEB method: phase transition mechanism and energy barrier with the Ibam→P6/mmm transition of BH at 168 GPa, here we obtained a Pbcm intermediate phase.
Figure 16: The \textit{Ibam→P6/mmm} transition of BH at 168 GPa.\cite{14} A $Pbcm$ intermediate phase is revealed. The saddle points on $Ibam→Pbcm$ and $Pbcm→P6/mmm$ segments have barriers of 0.32 and 0.19 eV/f.u., respectively.
6.1.2 How to set the initial pathway in the VCNEB calculation

The VCNEB method is very efficient for finding the phase transition path, but we must also carefully prepare the initial path. Cell rotations happen near the initial and final structures during the VCNEB calculation, where the pathway includes a lot of identical structures near the initial and final images. We improved Variable-Image-Number method will prevent cell rotations automatically, which saves quite a lot of time.

Alternatively, you can apply the rotation-avoiding technique before you apply the VCNEB method when generating the initial image set. The general $3 \times 3$ rotation matrix with Euler angles $R(\phi, \theta, \psi)$ and the lattice mirror operator $M(x, y, z)$ matrix are defined. Before performing a VCNEB calculation, the global numerical search in space of Euler angles and mirror operator are used to find the minimal lattice cell transformation distance $\Delta h$:

$$\Delta h = |h_{\text{initial}} - R(\phi, \theta, \psi)M(x, y, z)h_{\text{final}}|.$$  \hspace{1cm} (10)

The rotation-avoiding lattice vector of the final image $\tilde{h}_{\text{final}}$ is assigned as the endpoint image:

$$\tilde{h}_{\text{final}} = R(\phi, \theta, \psi)M(x, y, z)h_{\text{final}}.$$ \hspace{1cm} (11)

More important, we need to prevent the arbitrariness assigning the atomic fractional coordinates $r_v$ of the initial and final images (correctly mapping the atoms at the initial and final structures). Otherwise, the calculation will be hard to converge or several identical paths can be found in a calculation, as shown in Fig. 17. For more complicated systems, you will get some unreasonable or messy pathways if you don’t have a good initial pathway. Global numerical search for minimizing the distance between the atoms from two endpoint images helps the VCNEB method to reassign the atom sequence. The ability to automatically create model paths before the VCNEB calculation is crucial for the stability and convergence of the algorithm, and is a prerequisite for studying large and complex systems.
Figure 17: **Identical pathways found when setting up a “bad” initial image file.** The pathway is for the B3→B1 phase transition in GaN at the equilibrium pressure 45.0 GPa. At images 11 and 21, B1 and B3 structures in a monoclinic cell are found during the MEP optimization. The Ga atoms move along the arrow directions during the phase transition.
6.2 Transition path sampling (TPS) method

Transition path sampling (TPS) is a rare event sampling method: a good example of a rare event is a transition of a system from one stable state to another; these occur due to rare fluctuations, which cannot be observed within typical timescales of molecular dynamics simulations. Examples include protein folding, chemical reactions and nucleation. TPS is a powerful method to study these phenomena. In short, TPS is a technique performing Monte-Carlo sampling over transition trajectories (each of which is a molecular dynamics trajectory).

6.2.1 Input options for TPS

The TPS method is only enabled with the LAMMPS and CP2K (will be available soon) codes at the moment.

To switch on the TPS mode, you have to:

1. Specify
   TPS : calculationMethod

2. Create a MD restart file lammps.restart for LAMMPS code or cp2k.restart for CP2K code in the Seeds/ folder.

3. Create an order parameter calculation script or use USPEX’s fingerprints as default. (See more details below).

4. Specify the following TPS options:

   ▶ variable numIterations
   
   Meaning: Maximum number of TPS steps.
   Default: 1000
   Format:
   
   500 : numIterations

   ▶ variable speciesSymbol
   
   Meaning: Describes identities of all chemical species (atomic or molecular).
   Default: No default
   Format:
   
   % speciesSymbol
   CH4 Si O
   % EndSpeciesSymbol
Note: In TPS, we use speciesSymbol to replace the atomType to support molecular species, together with numSpecies. For example, we can use

```plaintext
% numSpecies
1 648 1296
% EndNumSpecies

% speciesSymbol
CH4 Si O
% EndSpeciesSymbol
```

to study diffusion of a methane (CH$_4$) molecule in a silica zeolite (SiO$_2$). In this case, methane molecule will be considered as a whole particle in writing MD input files in LAMMPS.

\[ variable \textbf{mass} \]

Meaning: Masses for each type of species.

Default: Default value corresponding to the species

Format:

```plaintext
% mass
16.000
% EndMass
```

\[ variable \textbf{amplitudeShoot} \]

Meaning: Distribution amplitude of the momentum for A→B and B→A directions in shooting operation.

Default: 0.1 0.1

Format:

```plaintext
% amplitudeShoot
0.12 0.12
% EndAmplitudeShoot
```

\[ variable \textbf{magnitudeShoot} \]

Meaning: Factor for increasing or decreasing the amplitude of magnetic distribution when succeeded or failed to have a new MD trajectory, respectively.

Default: 1.05 1.05

Format:

```plaintext
% magnitudeShoot
1.0 1.05
% EndMagnitudeShoot
```
Note: Unless the user has system-specific experience, we strongly suggest to use this option to automatically adjust the distribution amplitude of the momentum.

▷ variable shiftRatio

Meaning: Ratio of applying a shifter operation after having a successful shooter operation.
Default: 0.1
Format:

0.5 : shiftRatio

▷ variable orderParaType

Meaning: Method of order parameter calculation to distinguish different phases:

- "0" — user-defined method to calculate the order parameter, a script should be provided in cmdOrderParameter;
- "1" — fingerprint method (Oganov & Valle, 2009).

Default: No default
Format:

0 : orderParaType

▷ variable opCriteria

Meaning: Two values here specify the tolerable degree of similarity to the starting and ending states, respectively. If one or both ends of the trajectory lead to different end structures, such a trajectory will be rejected in the TPS method.
Default: No default
Format:

% opCriteria
-0.1 0.1
% EndOpCriteria

Note: If you use the fingerprint method, the larger system you have, the more strict criteria you should have. For example, we should set opCriteria=[ 0.995, 0.995 ] with 1,000 atoms; and opCriteria=[ 0.998, 0.998 ] in system more than 30,000 atoms when studying the fcc→hcp phase transition.

▷ variable cmdOrderParameter

Meaning: User-defined command to calculate the order parameter. It is not needed if you use the fingerprint method.
Default: No default

Format:

\[
\begin{align*}
\% \text{cmdOrderParameter} \\
./\text{extractOp.sh} \\
\% \text{EndCmdOrderParameter}
\end{align*}
\]

\>[variable \text{cmdEnthalpyTempture}]

\text{Meaning:} User-defined command to extract the enthalpy and temperature from MD results.

Default: No default

Format:

\[
\begin{align*}
\% \text{cmdEnthalpyTempture} \\
./\text{extractHT.sh} \\
\% \text{EndCmdEnthalpyTempture}
\end{align*}
\]

\>[variable \text{orderParameterFile}]

\text{Meaning:} File name to store the order parameter history in a single MD calculation for TPS to read.

Default: \text{fp.dat}

Format:

\[
\begin{align*}
\text{op.dat} : \text{orderParameterFile}
\end{align*}
\]

\>[variable \text{enthalpyTemptureFile}]

\text{Meaning:} File name to store the enthalpy & temperature history in a single MD calculation for TPS to read or user-defined script to analyze.

Default: \text{HT.dat}

Format:

\[
\begin{align*}
\text{HT0.dat} : \text{enthalpyTemptureFile}
\end{align*}
\]

\>[variable \text{trajectoryFile}]

\text{Meaning:} File name to store the MD trajectory. This name should be consistent with the MD trajectory output file name from the calculation.

Default: \text{traj.dat}

Format:

\[
\begin{align*}
\text{trajectory.xyz} : \text{trajectoryFile}
\end{align*}
\]
variable MDrestartFile

Meaning: File name to store the MD restart file from the calculation for TPS to read. This name should be consistent with the MD restart file name from the calculation.

Default: traj.restart

Format:

lammps0.restart : MDrestartFile
7 Online utilities

We have created a number of useful online utilities, which can be used for preparing USPEX input and for post-processing. The utilities are available at:

http://uspex-team.org/online_utilities/

Below you can find information about each one of them.

7.1 Structure characterization

Here we have 4 utilities:

- **Fingerprints** — the utility calculates and plots fingerprint function, which is a crystal structure descriptor, a 1D-function related to the pair correlation function and diffraction patterns. It does not depend on absolute atomic coordinates, but only on interatomic distances. Small deviations in atomic positions will influence fingerprints only slightly, i.e. they are numerically robust.

- **Multifingerprint** — the utility calculates average quasi-entropy, A-order(average atomic order parameter) and S-order(whole-structure order parameter) for a set of structures. Also it filters unique structures by cosine distances difference $\geq 0.003$, identifies the symmetry of these structures and lists them in the uniq.gatheredPOSCARS file.

- **POSCAR2CIF** — determines space group and prepares a CIF file from a POSCAR file.

- **CIF2POSCAR** — prepares a POSCAR file from a CIF file.

- **XSF2POSCAR** — prepares a POSCAR file from a XSF (XCRYSDEN) file.

7.2 Properties calculations

Here we have 2 utilities:

- **Hardness** — the utility is to calculate hardness based on the Lyakhov-Oganov model.

- **EELS** — the utility calculates the Electron Energy Loss Spectrum (EELS). Written by Priya Johari.
7.3 Molecular crystals

Here we have 2 utilities:

- **MOL precheck** — the utility allows you to check MOL_1 files before running USPEX for molecular crystals (calculationType=310/311/110).

- **Zmatrix** — the utility converts XYZ file to USPEX MOL_1 file.

7.4 Surfaces

**Substrate** — a program which prepares a substrate from a POSCAR/CIF file, given Miller indices, thickness of the layer, and shift. The resulting POSCAR file can be used for calculationType=200/201 as a substrate for surface calculations.

7.5 Miscellaneous

Here we have the following:

- **Input generator** — USPEX INPUT.txt generator. The utility can help beginners to create a correct input for USPEX calculations.

- **Volume estimation** — the utility estimates volumes of non-molecular and molecular crystals for USPEX (for INPUT.txt file).

- **USPEX manual** — online version of this manual.

- **USPEX examples** — archives with USPEX examples.
8 Frequently Asked Questions

8.1 How can I visualize the results?

USPEX produces a large set of numbers (structures, energies, etc). Post-processing, or analysis of the data, is extremely important. Analysis of these data “by hand” can be quite tedious and time-consuming. USPEX benefits from an interface specifically developed for USPEX by Mario Valle to read and visualize USPEX output files using his STM4 visualization toolkit\cite{STM4}, which includes analysis of thousands of structures in a matter of a few minutes, determination of structure-property correlations, analysis of algorithm performance, quantification of the energy landscapes, state-of-the-art visualization of structures, determination of space groups, etc., including preparation of movies showing the progress of the simulation! Fig. 18 shows typical figures produced by STM4. To use STM4, you need to have AVS/Express installed on your computer. AVS/Express is not public domain and requires a license. STM4 is available at http://mariovalle.name/STM4.

![Figure 18: STM4 interface for USPEX.](image)

Alternatively, you can visualize USPEX results with other software, e.g., VESTA, which can USPEX structure files directly.

8.2 How can I avoid trapping?

First, use a sufficiently large population size. Second, USPEX by default uses a powerful fingerprint niching method. Anything that increases diversity of the population will reduce the chances of trapping in a local minimum. To make sure that your simulation is not trapped, it is useful to run a second simulation with different parameters. A powerful trick to avoid trapping is the antiseed technique.
8.3 What is a single block calculation?

The single block feature was introduced in USPEX 9.3.9, and enables USPEX users to run structure predictions with a variable number of formula units of the same composition. For example:

```
% atomType
Si 0
% EndAtomType

% numSpecies
1 2
% EndNumSpecies

12 : minAt
24 : maxAt
```

This means we sample structures of compound SiO$_2$ (with the atomic ratio of 1:2) with a variable number of formula units with 12–24 atoms.

Starting from USPEX 9.4.1, the single block feature has been moved from `calculationType` = 301/311 to 300/310. The settings are still the same, users just need to set up the `minAt`, `maxAt` and `numSpecies` keywords.

Currently, one can use this feature in 300, 310 and -200 (since 2015 October).

8.4 How to predict structures based on known fragments?

Sometimes you already know that your structure is based on packing of some well defined motifs. You can tell the program to generate only structures based on the packing ‘fake molecules’. Meanwhile, you still use the standard approach to generate child structures (such as heredity and mutation) which treat the structure as atomic crystals, and thus can break the predefined motif. To activate the function, you just prepare an ordinary `INPUT.txt`,

```
% atomType
B
% EndAtomType

% numSpecices
48
% EndNumSpecices
```

Suppose you want to generate structures base on boron icosahedra, an additional MOL file is needed.
B12_[4]  
Number of atoms: 12  
B  -1.591325  -0.618615  -0.217220  0 0 0 0  
B  -0.574110  -0.095870  -1.619670  1 0 0 0  
B  -1.211325   1.134555  -0.455665  2 1 0 0  
B  -1.158010   0.414740   1.203810  3 2 1 0  
B  -0.487865   -1.260560   1.065420  4 3 1 0  
B  -0.126980  -0.576135  -0.679575  5 4 1 0  
B   0.487845   1.260560  -1.065430  3 2 1 0  
B   0.127000   1.576130   0.679585  4 3 1 0  
B   0.574120   0.095870   1.619670  5 4 1 0  
B   1.211315  -1.134555   0.455685  6 5 1 0  
B   1.158015  -0.414735  -1.203800  2 6 1 0  
B   1.591320   0.618615   0.217195  7 8 3 0  

Its format has been described in Section 5.1. The only difference is that we need to put some additional information in the header. [4] here tells that 4 MOL_1 (B12) will be used, which is consistent with 48 B atoms described in INPUT.txt. The consistency is required. Otherwise, the fragment feature won’t be activated, even though you put addition MOL_x files in the INPUT.txt. If you set everything right, you will find the messages that this feature is used from OUTPUT.txt.

For 2D crystals, you need to specify two thicknesses in this case.

4.0 : thicknessS (it specifies the overall thickness of 2D crystal)  
0.0 : thicknessB (it specifies the thickness of the molecular centers)

Currently, one can use this feature in 300 and -200. Note that you cannot use single block and fragment feature simultaneously. It is highly recommended to use it with the fixed cell mode, when the cell parameters are available.

8.5 How do I use the seed technique?

This technique is useful, if instead of starting with random structures, you would like to input some structures that you already know for the compound or related materials. Just create a file Seeds/POSCARS for the next generation, or Seeds/POSCARS_gen (gen is the generation number) for the specific generation of an USPEX calculation, in the format of concatenated POSCAR files in VASP5 format. Don’t miss letter “S” in the file name.

Example:

```
EA33  2.69006  5.50602  4.82874  55.2408  73.8275  60.7535  no SG
  1.0
   2.690100  0.000000  0.000000
```
One can add seeds at any time during the calculation. USPEX will look for new seeds at the beginning of each generation. The corresponding information will be recorded to results1/Seeds_history and the seeds files (POSCARs or POSCARS_gen) will be kept as POSCARs_gen in Seeds/ folder.

Whenever seeds are added, we advise users to check the results1/Seeds_history and Warnings files. There will be a warning message “Meet a problem when reading Seeds - ...” if your seeds are problematic. When an error appears in the seeds file, such as missing lines, the structures after the error point will not be added.

**Note:** Make sure you specified all atomic symbols at the 6th line of each structure. For example, to add the P6_3/mc H_2 structure to a H-O variable-composition calculation, you should edit the file as:

```
H_I-P63/mc
1
4.754726 -2.74514 0.000000
-0.00000 5.490285 0.000000
0.000000 0.000000 4.508715
H
16
Direct
```
8.6 How do I play with the compositions?

For variable-composition and single block calculations, as soon as the calculation starts, it produces a file Seeds/compositions with all possible compositions, from which the code randomly takes compositions for the random structure generator. You can edit this file, leaving the compositions you are most interested in — only these compositions will be used for random structure production in the second and subsequent generations.

Seeds/compositions file lists the numbers of atoms of each type in the cell, e.g., for the C-O system:

```
8 0
0 8
2 4
```

means that you are interested in randomly producing C$_8$, O$_8$, and C$_2$O$_4$ structures. Other compositions will be sampled too, thanks to the heredity and transmutation operators.

When you want to generate structures with specific compositions, you can use the anti-compositions feature — write the list of all unwanted compositions to the file named Seeds/Anti-compositions. There are three ways to do so:

1. For all unwanted compositions with the same ratios, you can write stoichiometric ratio to ban these compositions. For example, you can use “1 2 1” to ban all the composition with the same ratio, such as “1 2 1”, “2 4 2”, “3 6 3” and so on.

2. Only for the specific composition, but not for other compositions with the same ratio. You can write the compositions with a minus sign. For example, you can use “-3 -2 0” or “3 -2 0” to ban the “3 2 0” composition, but not to ban “6 4 0” or “9 6 0” composition. (Notice: “3 2 -0” does not work for this case).

3. For all single/binary/ternary compounds. If you don’t want to sample all single/binary/ternary compounds, just write the keyword single/binary/ternary in Anti-compositions file.

Example:

```
single
binary
1 1 2
-2 2 1
```
8 Frequently Asked Questions

If you don’t clearly know what you are doing, please leave Anti-compositions file empty. For more information about the compositions you don’t want, you can have a look at results1/compositionStatistic file.

Note:

- Even if compositions or Anti-compositions files exist before the calculation starts, they will be ignored. Anti-compositions file will be renamed to a backup file Anti-compositions-back. Therefore, please edit compositions or Anti-compositions files after the calculation starts.

- Please also be aware, that in USPEX calculations with compositional blocks, the compositions usually mean the numbers of these blocks. Therefore, to have the correct format of Anti-compositions file, please check compositions file first.

8.7 How do I set up a passwordless connection from a local machine to a remote cluster?

There are two ways to solve this problem:

1. SSH login without password.

Note: this part based on follows article: http://linuxproblem.org/art_9.html

Your aim: You want to use OpenSSH to enable automatic job submission. Therefore you need an automatic login from hostA / userA to hostB / userB. You don’t want to enter any passwords, because you want to call ssh from within a shell script.

How to do it: First log in on A as user A and generate a pair of authentication keys. Do not enter a passphrase:

userA@hostA:~> ssh-keygen -t rsa Generating public/private rsa key pair.
Enter file in which to save the key (/home/userA/.ssh/id_rsa): Created directory '/home/userA/.ssh'.
Enter passphrase (empty for no passphrase): Enter same passphrase again:
Your identification has been saved in /home/userA/.ssh/id_rsa.
Your public key has been saved in /home/userA/.ssh/id_rsa.pub.
The key fingerprint is:
3e:4f:05:79:3a:9f:96:7c:3b:ad:e9:58:37:bc:37:e4 userA@hostA

Now use ssh to create a directory ~/.ssh as userB on hostB with portB. (The directory may already exist, which is fine):

userA@hostA:~> ssh -p portB userB@hostB 'mkdir -p .ssh' userB@hostB's password:
Finally append A’s new public key to userB@hostB: .ssh/authorized_keys and enter B’s password one last time:

```
userA@hostA:~> cat .ssh/id_rsa.pub | ssh -p portB userB@hostB’cat >>
.ssh/authorized_keys’.
userB@hostB’s password:
```

From now on you can log into hostB as userB from hostA as userA without password:

```
userA@hostA:~> ssh -p portB userB@hostB
```

2. You will need to copy the public key from your local machine (directory ./ssh or ./ssh2) to the remote cluster. Here is the list of commands you need to execute:

```
local # ssh-keygen -t dsa
local # scp ~/.ssh2/id_dsa.pub oganov@palu.cscs.ch:~/.ssh/tmp.pub
remote # cd ~/.ssh/
remote # ssh-keygen -f tmp.pub -i >> authorized_keys
remote # rm tmp.pub
```

### 8.8 How do I restart a calculation with a corrupt *.mat file?

When there is a problem in the file system, e.g. the disk is full, the file system is overloaded, USPEX could have a problem in writing these *.mat files correctly, and meet a message during the calculation like:

```
???Error using ==> load
Unable to read MAT file /home/USPEX/Current_POP.mat
```

File may be corrupt.

When you meet an error with a corrupt *.mat file, please recover the broken *.mat file with the backup one, delete the matfilelocke file, then restart the calculation. Unfortunately, when the backup *.mat file is empty or also corrupt, you have to restart the calculation with a generation pickup.

### 8.9 What should I do when USPEX is not running for a while?

When you found USPEX is not running for a while, with file still_running existing for a long time (usually longer than 30 minutes; use “ls -l” command to check the timestamp of the still_running file), you should consider that there is something wrong with the calculation. In this situation, what you need to do is to follow a checking procedure below:
• Make sure your MATLAB calculation is not running, use “top” command to check it. Sometimes USPEX can take long time in structure generation and softmutation. Once you are sure that MATLAB stopped, you can continue with the next step.

• Stop your crontab or job running script to avoid USPEX running during the checking procedure. This is very important, otherwise you will mess up your USPEX calculations.

• Delete the still_running file.

• Run USPEX with command “USPEX -r” or “matlab < USPEX.m” to check what will happen. If you meet errors or bugs, you can try to fix them, or report a bug to our USPEX Google forum.

• If everything is fine, just restart your crontab or job running script to continue the calculation.

8.10 How do I set up a calculation using a job submission script?

To set up a job submission script, we expect users to know some basic knowledge of MATLAB programing and your job submission systems, at least the basic idea of how to work with strings in MATLAB and how to get the job information.

There are two modes for job submission: local submission or remote submission, depending on whether you submit ab initio calculations to the local machine where you run USPEX and MATLAB, or to a remote supercomputer.

8.10.1 Step 1: Configuring files in Submission/ folder

Case I: Local submission.

Please edit in INPUT.txt file the following tag:

1 : whichCluster (0: no-job-script, 1: local submission, 2: remote submission)

Then, go to the directory Submission/, where you need to edit two files: submitJob_local.m and checkStatus_local.m.

One can find the detailed instructions in these files. In general, one just needs to tell USPEX how to submit the job and check if the job has completed or not.

In submitJob_local.m:

```matlab
function jobNumber = submitJob_local()
%
% This routine is to check if the submitted job is complete or not
% One needs to do a little edit based on your own situation.
```
% 1 : whichCluster ( default 0, 1: local submission, 2: remote submission )

% Step 1: to prepare the job script that is required by your supercomputer
fp = fopen('myrun', 'w');
fprintf(fp, '#!/bin/sh
');
fprintf(fp, '# PBS −l nodes=1:ppn=8, walltime =1:30:00 −q cfn_short
');
fprintf(fp, '# PBS −N USPEX
');
fprintf(fp, '# PBS –j oe
');
fprintf(fp, '# PBS –V
');
fprintf(fp, 'cd ${PBS_O_WORKDIR}
');
fprintf(fp, 'mpirun −np 4 vasp1 > vasp.out
');
close(fp);

% Step 2: to submit the job with a command like qsub, bsub, llsSubmit, etc.
[a, b] = unix('qsub myrun');

% Step 3: to get the jobID from the screen message
% It will output some message on the screen like '2350873.nano.cfn.bnl.local'
end_marker = findstr(b, '.');
jobNumber = b(1:end_marker(1)-1);

In checkStatus_local.m:

function doneOr = checkStatus_local(jobID)
% This routine is to check if the submitted job is complete or not
% One needs to do a little edit based on your own case.
1 : whichCluster (0: no-job-script, 1: local submission, 2: remote submission)

% Step 1: the command to check job by ID.
[a, b] = unix(['qstat ' jobID '
'])

% Step 2: to find the keywords from the screen message to determine if the job is complete
% Below is just a sample:
% Job id  Name  User  Time  Use  S  Queue
% 2455453.nano  USPEX  qzh  02:28:42  R  cfn_gen04

% If the job is still running, it will show as above.
% If there are no keywords like 'Q/R Cfn_gen04', it indicates the job is complete.
% Therefore, we can use a small MATLAB function findstr to apply this argument.
if isempty(findstr(b, 'R cfn_gen.')) & isempty(findstr(b, 'Q cfn.'))
doneOr = 1
unix('rm USPEX*'); % to remove the log file
end

Case II: Remote submission.

Please edit in INPUT.txt file the following tag:

2 : whichCluster (default 0, 1: local submission; 2: remote submission)
C-20GPa : remoteFolder
Finally, go to the directory Submission/, where you need to edit two files: submitJob_remote.m and checkStatus_remote.m
In `submitJob_remote.m`:

```matlab
function jobNumber = submitJob_remote(USPEX, Index)
%
% This routine is to check if the submitted job is complete or not
% 1 : whichCluster (default 0, 1: local submission; 2: remote submission)
% C−20GPa : remoteFolder
%
%---------------------------------------------------------------
%
% Step1: To prepare the job script, runvasp.sh
10  fp = fopen(’runvasp.sh’, ’w’);
11  fprintf(fp, ’#!/bin/sh
12  fprintf(fp, ’#PBS −l nodes=2:ppn=2,walltime=1:30:00
13  fprintf(fp, ’#PBS −N USPEX
14  fprintf(fp, ’#PBS −J oe
15  fprintf(fp, ’#PBS −V
16  fprintf(fp, ’cd $(PBS_O_WORKDIR)
17  fprintf(fp, ’/usr/local/pkg/openmpi−1.4.5/bin/mpirun −np 4 vasp1 > vasp.out
18  fclose(fp);
%
% Step 2: Copy the files to the remote machine
20  %Step2−1: Specify the PATH to put your calculation folder
21  Home = [’/nfs/user08/qiazhu ‘]; %’pwd ‘ of your home directory on remote machine
22  Address = ’qiazhu@seawulf.stonybrook.edu ‘; %your target server: username@address
23  Path = [Home ’/’ USPEX ‘/CalcFold ‘num2str(Index)]; %Just keep it
20  %Step2−2: Create the remote directory
25  % Sometimes you don’t need the −i option!
26  try
27      unix([’ssh −i˜/.ssh/seawulf ‘ Address ‘ mkdir ’ USPEX ‘]);
28  catch
29  end
30  try
31      unix([’ssh −i˜/.ssh/seawulf ‘ Address ‘ mkdir ’ Path ‘]);
32  catch
33  end
%
% Step2−3: Copy the necessary files (for VASP calculations, we need POSCAR, INCAR, POTCAR, % KPOINTS and job script)
40  unix([’scp −i˜/.ssh/seawulf POSCAR ‘ Address ’ : ’ Path ‘]);
41  unix([’scp −i˜/.ssh/seawulf INCAR ‘ Address ’ : ’ Path ‘]);
42  unix([’scp −i˜/.ssh/seawulf POTCAR ‘ Address ’ : ’ Path ‘]);
43  unix([’scp −i˜/.ssh/seawulf KPOINTS ‘ Address ’ : ’ Path ‘]);
44  unix([’scp −i˜/.ssh/seawulf runvasp.sh ‘ Address ’ : ’ Path ‘]);
%
% Step 3: to submit the job and get JobID, i.e., the exact command to submit the job.
50  [a,v]=unix([’ssh −i˜/.ssh/seawulf ’ Address ‘ /usr/local/pkg/torque/bin/qsub ’
51      Path ‘ ’runvasp.sh’]);
52  % format: Job 1587349.nagling is submitted to default queue <mono>
53  end_marker = findstr(v,’.’);
54  if strstr(v,’error ‘)
55      jobNumber=0;
56  else
57      jobNumber = v(1:end_marker(1)−1);
58  end
```
In CheckStatus_remote.m:

```matlab
function doneOr = checkStatus_remote(jobID, USPEX, Folder)
    % This routine is to check if the submitted job is complete or not
    % One needs to do a little edit based on your own situation.
    
    % Step 1: Specify the PATH to put your calculation folder
    Home = '/nfs/user08/qiazhu'; % 'pwd' of your home directory of your remote machine
    Address = 'qiazhu@seawulf.stonybrook.edu'; % Your target: username@address.
    Path = [Home '/USPEX '/CalcFold' num2str(Folder)]; % just keep it
    
    % Step 2: Check JobID, the exact command to check job by jobID
    [a,b]= unix([['ssh -i ~/.ssh/seawulf ' Address '/path/to/qstat ' num2str(jobID)]])
    tempOr1 = strfind(b, 'R batch');
    tempOr2 = strfind(b, 'Q batch');
    if isempty(tempOr1) & isempty(tempOr2)
        doneOr = 1;
    end
    
    % for vasp, we usually need OSZICAR for reading energy and CONTCAR for reading
    % for reading structural info
end
```

It might take some time to correctly configure these files. To test if it works or not, you can type “USPEX -r” twice and then track the screen information. The first attempt is to check if the jobs are submitted, while the second attempt is to check if USPEX can correctly check the status of the submitted jobs. All of the related information can be found in the screen output message. If MATLAB exits without any errors, you are almost ready to go.

### 8.10.2 Step 2: Running USPEX periodically

The real calculation starts with the command “USPEX -r > log”. Each time the MATLAB process will check the status of the running *ab initio* calculations. If the job is completed, MATLAB will go the the calculation folder to read the results, and then submit new calculations. After that, MATLAB will exit. Therefore, one needs to periodically call the command (for example, every 5 minutes). The periodic script can be executed by using either `crontab` or a shell script.

### 8.10.3 Crontab

This can be performed using a `crontab` daemon on your Linux machine. In your user home directory, there should now be the files:

```
crontab -e
```

May 21, 2018
~/CronTab

Here is an example of a 1-line CronTab file from one of our clusters:

```
*/5 * * * * sh call_job
```

It states that the interval between job submissions is 5 minutes and points to the file `call_job`, which should contain the address of the directory where USPEX will be executed, and the file `call_job` looks like this:

```
#!/bin/sh
source $HOME/.bashrc
cd /ExecutionDirectory
date >> log
USPEX -r >> log
```

To activate cron tab, type

```
crontab ~/CronTab
```

If you want to terminate this run, either edit `call_job` or remove this cron tab by typing

```
crontab -r
```

To check if cron tab works well, one should also keep tracking updates of the log file at the beginning of the calculation.

### 8.10.4 Shell script

You can also prepare the script by using the `sleep` command in Linux shell. Below is a rather simple script `run-uspex.sh`:

```
#!/bin/sh
while [ ! -f ./USPEX_JS_DONE ]; do
date >> log
USPEX -r >> log
sleep 300
done
```

**Note:** keep in mind that this calculation can only be terminated by killing the process ID of this script.
8.11 How do I run USPEX on 32-bit Linux or Mac machines?

Execute the shell scripts "./install-32bit.sh" or "./install-Mac.sh" under folders FunctionFolder/Tool/32bit/ or FunctionFolder/Tool/32bit/ folder to replace the default 64-bit binary codes by the 32-bit and Mac (Only tested on OS X 10.10) executables.

Then you can have fun with USPEX on 32-bit Linux or Mac machines.
9 Appendices

9.1 List of Examples

- **EX01-3D_Si_vasp**: Silicon (8 atoms/cell) at zero pressure. Variable-cell DFT calculation using VASP, PBE96 functional. Many thanks to G. Kresse for permission to include his PAW files (POTCAR) in our distribution.

- **EX02-3D_MgAl2O4_gulp**: MgAl₂O₄ (28 atoms/cell) at 100 GPa pressure. Variable-cell calculation using Buckingham potentials, GULP code. Beware that for reliable results, you should better do *ab initio* calculations.

- **EX03-3D.const_cell_MgSiO3_gulp**: this example shows how to do structure prediction when you know cell parameters. MgSiO₃ (20 atoms/cell) with Buckingham potentials, GULP code. Cell parameters correspond to post-perovskite. The discovery of post-perovskite (*Oganov & Ono, Nature 2004; Murakami et al., Science 2004*) was a major breakthrough in Earth sciences.

- **EX04-3D_C_lammps**: this example shows how to do crystal structure prediction using USPEX together with the LAMMPS code. In this a simple example: 8 carbon atoms, and Tersoff potential.

- **EX05-3D_Si_atk**: Example of crystal structure prediction of Si with 8 atoms/cell using the density-functional tight binding approximation and ATK code.

- **EX06-3D_C_castep**: DFT-based prediction of the crystal structure of carbon with 8 atoms/cell at 10 GPa, using the CASTEP code.

- **EX07-2D_Si_vasp**: prediction of the 2D-crystal of silicon using DFT and VASP. Simple and powerful.

- **EX08-0D_LJ_gulp**: Nanoparticle structure prediction. Lennard-Jones nanoparticle with 30 atoms, using the GULP code.

- **EX09-3D-molecules_CH4_vasp**: methane with 4 molecules/cell, at the pressure of 20 GPa. DFT, VASP. Molecule is described in the file MOL.1.

- **EX10-3D-molecules_CH4_dmacrys**: methane with 8 molecules/cell, with forcefield and DMACRYS code, at normal pressure. Molecule is described in the file MOL.1, but note its slightly unusual format for DMACRYS calculations. Please put executables dmacrys, neighcrys-pp, neighcrys-vv in the Specific/ folder.

- **EX11-3D-molecules_urea_tinker**: urea with 2 molecules/cell, with forcefield and TINKER code, at normal pressure. Molecule is described in the file MOL.1.

- **EX12-3D_varcomp LJ_gulp**: Lennard-Jones binary system with fake “Mo” and “B” atoms, GULP, and variable-composition USPEX (*Lyakhov and Oganov, 2010*).
• **EX13-3D_special_quasirandom_structure_TiCoO**: USPEX can easily find the most disordered (or the most ordered) alloy structure. Here, this is shown for Ti$_x$Co$_{(1-x)}$O. You need to specify the initial structure in **Seeds/POSCARS** and use only the permutation operator. In this case, you don’t need to use any external codes. In this example, we optimize (minimize) the structural order (*Oganov and Valle (2009); Lyakhov, Oganov, Valle (2010)*) without relaxation (**abinitioCode** = 0). Seed structure (supercell of Ti-Co-O-structure) is permuted to find the structure the minimum/maximum order. Minimizing order in this situation, one gets a generalized version of the “special quasirandom structure”.

• **EX14-GeneralizedMetadynamics_Si_vasp**: simple example of a powerful capability to find complex low-energy structures starting with a simple seed structure (*Zhu et al., 2013*). Silicon, up to 16 atoms/cell, DFT, VASP. Pay special attention to **INCAR** files. Best of all, just keep the files that you see here, changing only **ENCUT**, perhaps **SIGMA**. Evolutionary metadynamics not only predicts low-energy structures, but also gives an idea of transition mechanisms between crystal structures.

• **EX15-VCNEB_Argulp**: example of a variable-cell nudged elastic band (**VCNEB: Qian et al., 2013**) calculation of the fcc-hcp transition in a model system, argon, at 0 GPa pressure. Lennard-Jones potential, GULP code.

• **EX16-USPEX-performance_SrTiO3 gulp**: SrTiO$_3$ (50 atoms/cell) at zero pressure. Variable-cell calculation using Buckingham potentials, GULP code. Running this example you can see that even for such a relatively large system USPEX code scores a >90% success rate and remarkable efficiency. This contrasts with a 7-12% success rate reported for the same system and using the same potential by Zurek & Lonie. Clearly, USPEX outperforms the poor reimplementation of our method by Zurek and Lonie. We have witnessed excellent performance of our code also for much larger systems.

• **EX17-3D_DebyeTemp_C_vasp**: example of optimization of the elasticity-related properties (bulk or shear moduli, Poisson ratio, Chen-Niu hardness, or Debye temperature). In this example, we maximize the Debye temperature of carbon using the VASP code.

• **EX18-3D_varcomp_ZnOH gulp**: as you know, USPEX has unique capabilities for variable-composition searches. This example shows a pretty challenging case — variable-composition calculation for the ternary system Zn-O-H. This calculation uses a ReaxFF forcefield in GULP code. USPEX can do calculations for any number of components — e.g. quaternary, quinternary, etc. systems are within its reach. Of course, the more components you have, the more expensive (and the more risky) your calculation is. No reference results at the moment.

• **EX19-Surface-boron111**: Prediction of (111) surface reconstruction of alpha-boron, with variable number of atoms (*Zhou et al., Phys. Rev. Lett. 113, 176101 (2014)*).
• **EX20-0D_Cluster_C60_MOPAC**: Cluster structure prediction (000) for C\textsubscript{60} using MOPAC.

• **EX21-META_MgO gulp**: Evolutionary metadynamics, with GULP code and Buckingham potentials, MgO with 8 atoms/cell. Starting structure is of rocksalt type, and evolutionary metadynamics finds a number of low-energy structures and structural relations.

• **EX22-GEM_MgO gulp**: Generalized evolutionary metadynamics, with GULP code and Buckingham potentials. Starting structure is of rocksalt type, with 8 atoms/cell, the calculation is allowed to increase system size up to 16 atoms/cell, and generalized evolutionary metadynamics (GEM) finds a number of low-energy structures and structural relations.

• **EX23-MinHop_SiO\textsubscript{2} gulp**: Minima Hoping calculation of SiO\textsubscript{2} (300).

• **EX24-SingleBlock_Magnetic_Fe3C_VASP**: Magnetic structure prediction (300) for Fe\textsubscript{3}C in single block using VASP.

• **EX25-3D-C8-DFTB**: Structure prediction (300) for C (8 atoms/cell) using DFTB+ with 3ob-3-1 set. The energy difference between graphite and diamond seems to be overestimated by the current DFTB parameter set.

• **EX26-GB-SrTiO\textsubscript{3}-GULP**: A preliminary example for SrTiO\textsubscript{3} grain boundary using GULP.

• **EX27-3D-P2_FHIaims**: Structure prediction (300) for P (2 atoms/cell) using FHI-aims.

• **EX28-0D-Cluster_Cu9_FHIaims**: Cluster structure prediction (000) for Cu\textsubscript{9} using FHI-aims.

• **EX29-Si_gap-maximize_singleblock**: Structure prediction (300) of silicon with optimization of the band gap using a meta-GGA functional.

• **EX30-Ar_TPS**: TPS calculation for the phase transformation in Ar hcp and fcc solid of 8000 atoms at 40K under 1 atmosphere.
9.2 Test runs

Figure 19: **Evolutionary structure search for Au$_8$Pd$_4$.** a, b — evolution of the total energy (for clarity, panel (b) zooms in on the lowest-energy region of the same data set), c — the lowest-energy structure found in our evolutionary simulation, and d — the lowest-energy structure found by cluster expansion calculations of Zunger. Note that our structure (c) is the lowest-energy known structure for this compound. This establishes the power of our method (even in its ancient, 2007, version).
9.3 Sample INPUT.txt files

9.3.1 Fixed-composition USPEX calculation (calculationType=300):

```plaintext
PARAMETERS EVOLUTIONARY ALGORITHM
% Example of the short input, using most options as defaults

% atomType
Mg Al O
% EndAtomType

% numSpecies
2 4 8
% EndNumSpecies

50 : numGenerations
50.0 : ExternalPressure

% abinitioCode
3 3 3 3 3
% ENDabinit

% commandExecutable
gulp < input > output
% EndExecutable
```
9.3.2 Variable-composition USPEX calculation (calculationType=301):

```
USPEX : calculationMethod (USPEX, VCNEB, META)
301 : calculationType (dimension: 0–3; molecule: 0/1; varcomp: 0/1)
1   : AutoFrac

% atomType
Mo B
% EndAtomType

% numSpecies
1 0
0 1
% EndNumSpecies

80 : populationSize
200 : initialPopSize
60  : numGenerations
20  : stopCrit

11  : firstGeneMax
 8  : minAt
18  : maxAt

% abinitioCode
3 3 3
% ENDabinit

% commandExecutable
gulp < input > output
% EndExecutable
```
9.3.3 Evolutionary metadynamics (calculationMethod=META):

```
META : calculationMethod (USPEX, VCNEB, META)
301 : calculationType (dimension: 0–3; molecule: 0/1; varcomp: 0/1)

0.0001 : ExternalPressure

16 : maxAt
2.0 : minVectorLength
8.0 : maxVectorLength

15 : populationSize
40 : numGenerations
3.0 : mutationDegree
250.0 : GaussianHeight
0.3 : GaussianWidth
2 : FullRelax

abinitioCode
   1 1 1 (1 1)
ENDabinit

% KresolStart
0.12 0.10 0.09 0.10 0.08
% Kresolend

% commandExecutable
   mpirun -np 4 vasp > log
% EndExecutable
```
9.3.4 VCNEB calculation (calculationMethod=VCNEB):

```
VCNEB : calculationMethod

% numSpecies 4
% EndNumSpecies

% atomType
  Ar
% EndAtomType

0.0 : ExternalPressure

111 : vcnebType
15 : numImages
500 : numSteps
1 : optimizerType
2 : optReadImages
3 : optRelaxType
0.25 : dt
0.003 : ConvThreshold

0.3 : VarPathLength
3 : K_min
6 : K_max
0 : optFreezing
0 : optMethodCIDI

2 : FormatType
10 : PrintStep

abinitioCode
3
ENDabinit

% commandExecutable
gulp < input > output
% EndExecutable
```
### 9.4 List of space groups

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May 21, 2018
9.6 List of plane groups

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### 9.7 List of point groups

List of all crystallographic and the most important non-crystallographic point groups in Schönflies and Hermann-Mauguin (international) notations.

#### Crystallographic point groups:

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#### Important non-crystallographic point groups

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### 9.8 Table of univalent covalent radii used in USPEX

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*Source: Cordero et al., Dalton Trans. 2832-2838, 2008*
9.9 Table of default chemical valences used in USPEX

Table of chemical valences used in USPEX (for hardness calculations, etc.):

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Table of default goodBonds used in USPEX (for hardness calculations, etc.):

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