

Remarks on the Nuclear Shell-Correction Method



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Introduction

In the **macroscopic-microscopic** method the nuclear binding energy consists of three parts:

$$E(Z, A; \text{def}) = E_{\text{mac}}(Z, A; \text{def}) + E_{\text{shell}}(Z, A; \text{def}) + E_{\text{pair}}(Z, A; \text{def}) ,$$

The **pairing energy** E_{pair} is usually evaluated in the (projected or unprojected) BCS approximation, while the shell energy E_{shell} is the sum of the proton and neutron contributions

$$E_{\text{shell}}(Z, A; \text{def}) = E_{\text{shell}}^p(Z; \text{def}) + E_{\text{shell}}^n(A - Z; \text{def}) .$$

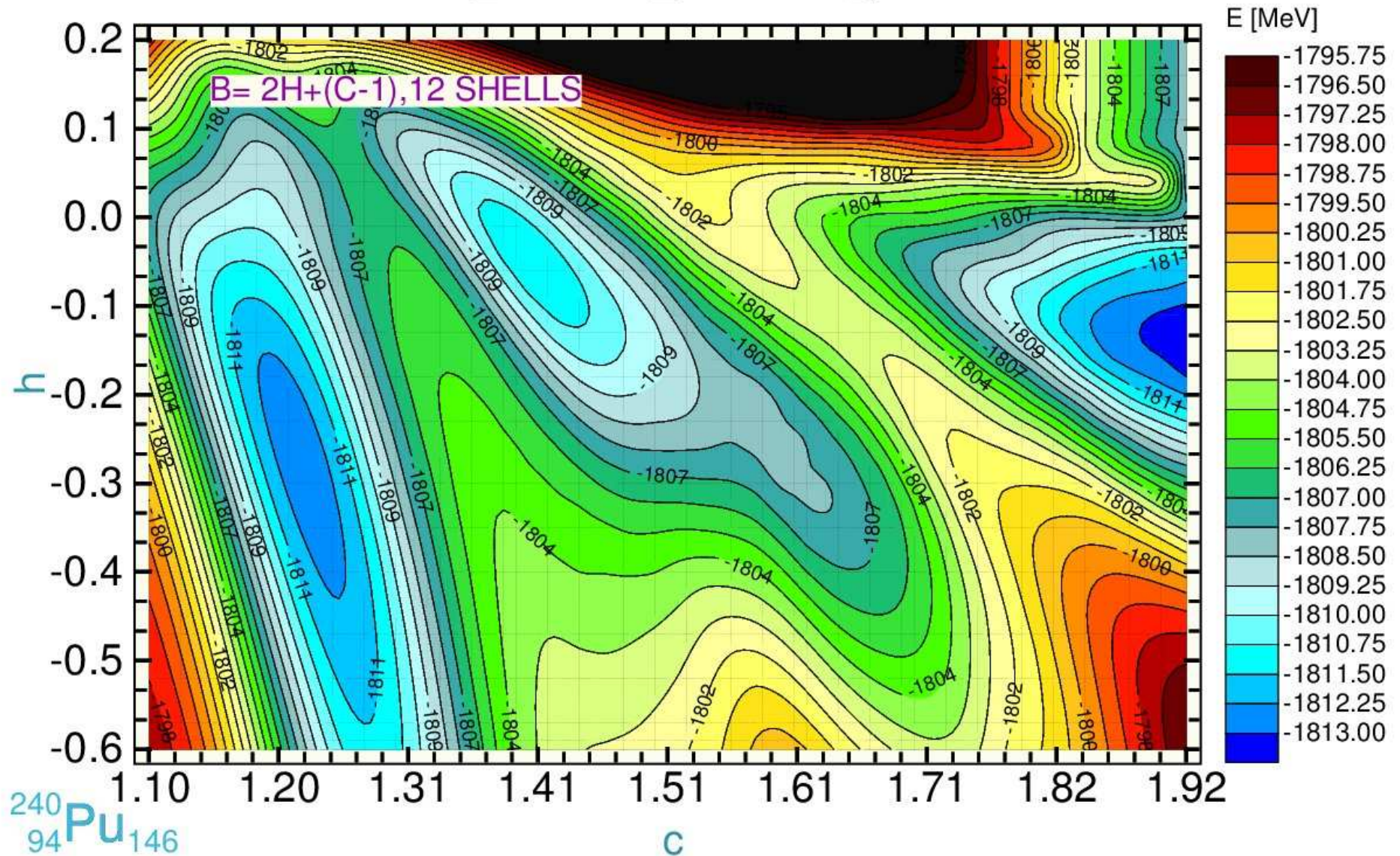
The **shell** energy of the one kind of particles is equal to the difference

$$E_{\text{shell}} = \sum_{i=1}^{\mathcal{N}} e_i - \tilde{E}(\mathcal{N}) ,$$

where \mathcal{N} is the number of particles in the system and \tilde{E} is the **smooth part of the total single-particle energy**. In the following two different methods of evaluating of this smoothed part will be presented.

Example of the potential energy surface

$E_{\text{LSD}} + E_{\text{shell}} + E_{\text{pair}}$



Gauss-Hermite folding

Let $j_n(x, x')$ be a **symmetric weight function** which has the following properties:

$$\int_{-\infty}^{+\infty} j_n(x, x') dx = 1 \quad \text{and} \quad P_k(x) = \int_{-\infty}^{+\infty} P_k(x') j_n(x, x') dx' ,$$

where $P_k(x)$ is an **arbitrary polynomial** of the order k .

Let us assume that an unknown function $y(x)$ is **tabulated in points** (x_i, y_i) , where $i = 1, 2, \dots, N$.

With each point (x_i, y_i) one can **associate a function**:

$$\tilde{y}_i(x) = \int_{-\infty}^{+\infty} y_i \delta(x' - x_i) j_n(x, x') dx' = y_i j_n(x, x_i) .$$

Obviously, the integral of the function $\tilde{y}_i(x)$ is:

$$\int_{-\infty}^{+\infty} \tilde{y}_i(x) dx = y_i .$$

Gauss-Hermite folding, cont.

Let us construct the following function:

$$\tilde{y}(x) = \sum_{i=1}^N w_i \tilde{y}_i(x) .$$

The function $\tilde{y}(x)$ is an **approximation** of $y(x)$ if the **weights** w_i are determined from the assumption:

$$\sum_{i=1}^N y(x_i) \Delta x_i = \int_{-\infty}^{+\infty} \tilde{y}(x) dx = \sum_{i=1}^N w_i y_i ,$$

where $\Delta x_i = \frac{1}{2} (x_{i+1} - x_{i-1})$. This implies that $w_i = \Delta x_i$.
Finally the **folded function** $\tilde{y}(x)$ is given by

$$\tilde{y}(x) = \sum_{i=1}^N y_i \Delta x_i j_n(x, x_i) .$$

Examples of folding functions

a) **Dirac delta**: $j(x, x') = \delta(x - x')$, where $\int_{-\infty}^{+\infty} \delta(x - x') dx' = 1$,

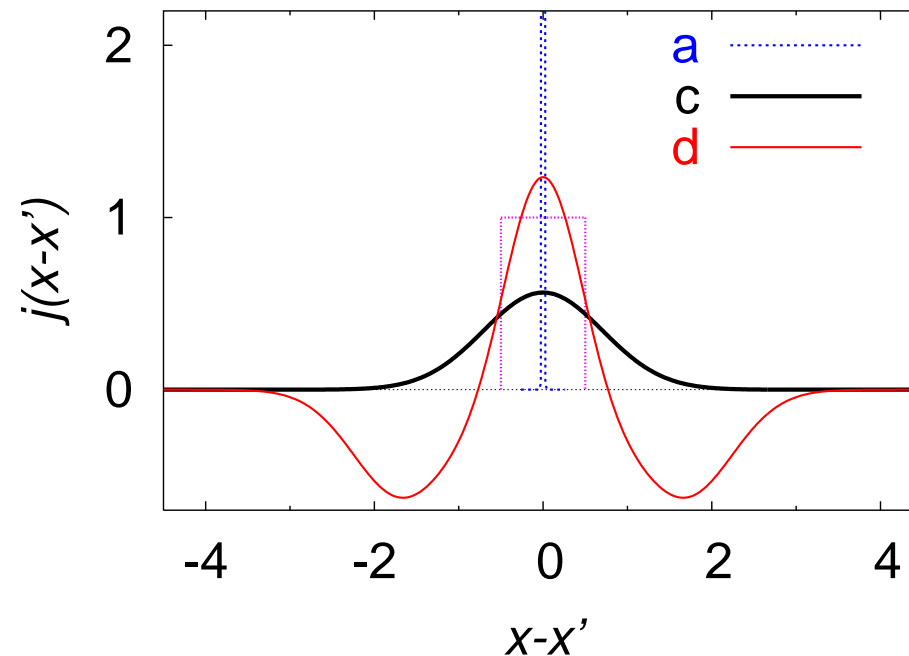
b) **Rectangular distribution** (with $\theta(x)$ being Heaviside step function):

$$j(x, x') = \frac{1}{2a} \{ \theta[x' - (x - a)] - \theta[x' - (x + a)] \},$$

c) **Gauss function**: $j(x, x') = \frac{1}{\gamma\sqrt{\pi}} e^{-\left(\frac{x-x'}{\gamma}\right)^2}$,

d) **Modified 6th order Gauss-Hermite function**:

$$j_n(x, x') = \frac{1}{\gamma\sqrt{\pi}} e^{-\left(\frac{x-x'}{\gamma}\right)^2} \left[\frac{35}{16} - \frac{35}{8} \left(\frac{x-x'}{\gamma}\right)^2 + \frac{7}{4} \left(\frac{x-x'}{\gamma}\right)^4 - \frac{1}{6} \left(\frac{x-x'}{\gamma}\right)^6 \right].$$



Properties of the harmonic oscillator spectrum

The spherical harmonic oscillator $\widehat{H} = \frac{-\hbar^2}{2m} \Delta + \frac{1}{2} m \omega_0^2 r^2$ eigenenergies $e_n = (n + \frac{3}{2}) \hbar \omega_0$ are degenerated $\text{deg}_n = \frac{1}{2} (n + 1)(n + 2) \times 2$.

According to the BM-book this degeneracy can be approximated by

$$\text{deg}_n \approx \left(n + \frac{3}{2} \right)^2 = \left(\frac{e_n}{\hbar \omega_0} \right)^2 .$$

The total number of particles (\mathcal{N}) occupying all shells up to $n = N$ is

$$\mathcal{N} = \sum_{n=0}^N \text{deg}_n = \frac{1}{3} (N + 1)(N + 2)(N + 3) ,$$

what can be approximated by:

$$\mathcal{N}(N) \approx \frac{1}{3} \left(N + \frac{3}{2} \right)^3 = \frac{1}{3} \left(\frac{e_N}{\hbar \omega_0} \right)^3 .$$

This equation can serve as the average relation between the number of particles and their energies:

$$\mathcal{N}(e) = \frac{1}{3} \left(\frac{e}{\hbar \omega_0} \right)^3 , \quad \text{or} \quad e = (3\mathcal{N})^{1/3} \hbar \omega_0 .$$

Last equation leads to the known expression for the **average density of s.p levels**:

$$g = \frac{\partial \mathcal{N}}{\partial e} = \frac{e^2}{(\hbar\omega_0)^3} = \frac{(3\mathcal{N})^{2/3}}{\hbar\omega_0} .$$

The **sum** (E) of the energies of all occupied single-particle levels is

$$E = \sum_{n=0}^N e_n \text{deg}_n = \hbar\omega_0 \sum_{n=0}^N \left(n + \frac{3}{2}\right) (n + 1) (n + 2)$$

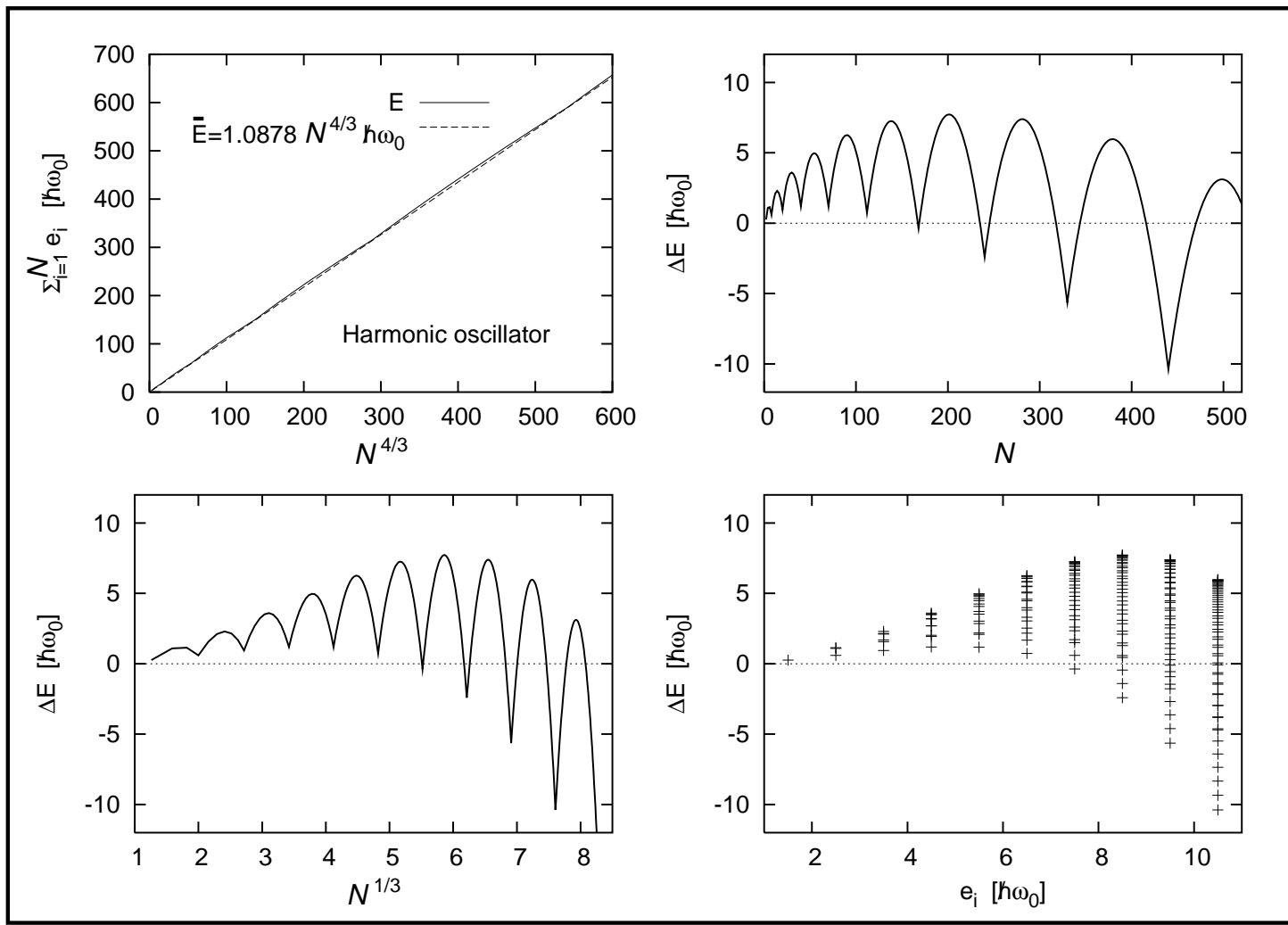
and can be approximated by the integral

$$\bar{E} \approx \int_0^{\mathcal{N}} e(\mathcal{N}') d\mathcal{N}' .$$

Inserting here the relation $e = (3\mathcal{N})^{1/3} \hbar\omega_0$ one obtains the **sum rule**:

$$\bar{E} = \overline{\left(\sum_{i=1}^{\mathcal{N}} e_i\right)} \approx \frac{3^{4/3}}{4} \mathcal{N}^{4/3} \hbar\omega_0 .$$

Sum of energies of nucleons which occupy the harmonic oscillator levels is proportional to the 4/3 power of the total number of particles in the system.



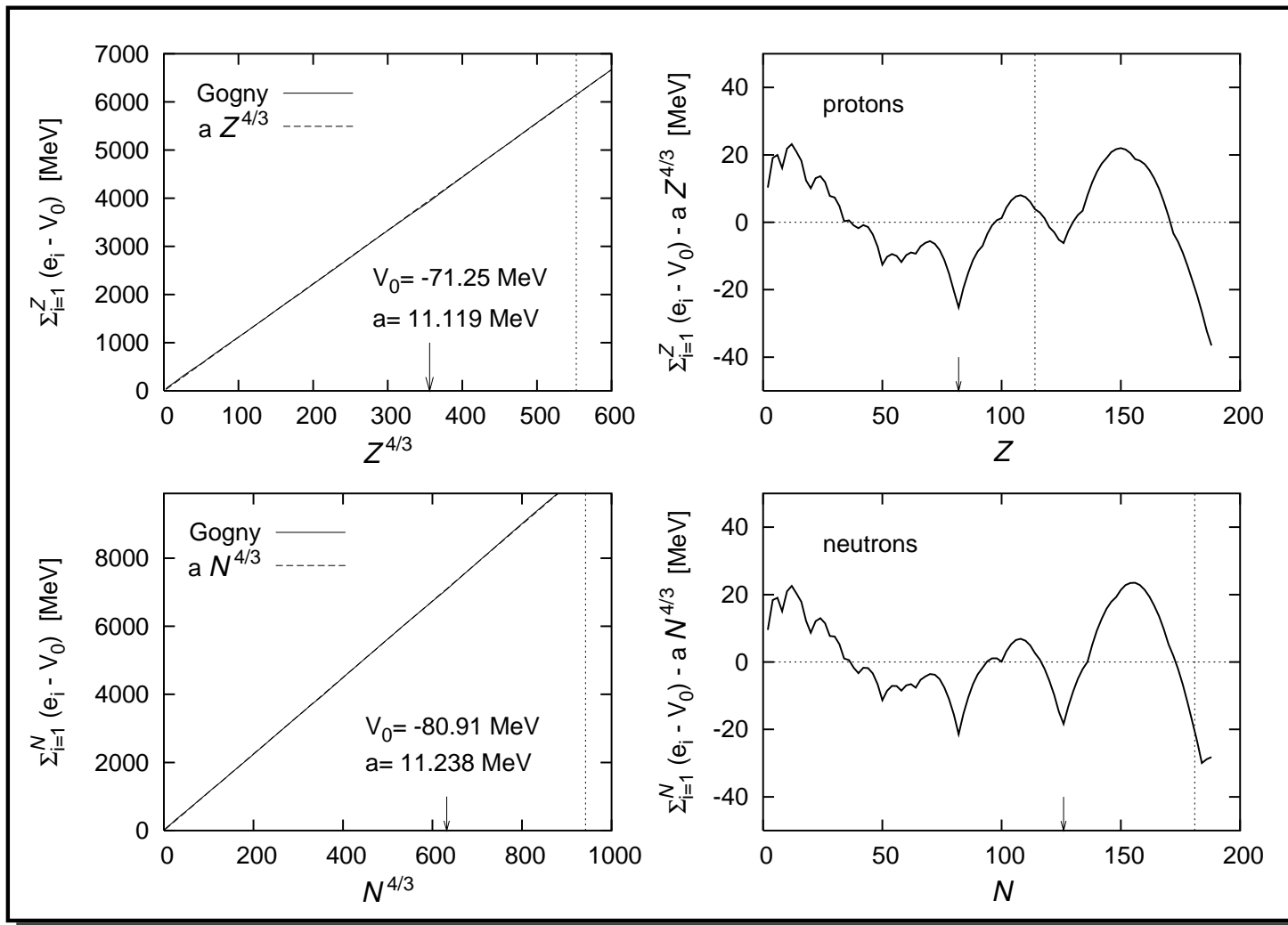
The **average distance** between the HO major shells can be approximated by:

$$\mathcal{N}_{n+1}^{1/3} - \mathcal{N}_n^{1/3} = \frac{1}{3^{1/3}} \frac{e_{n+1} - e_n}{\hbar\omega_0} = 3^{-1/3} .$$

Assuming that the minimum of the s.p. potential corresponds to V_0 one can

get a **more general relation**: $\overline{E} = \left(\sum_{i=1}^{\mathcal{N}} e_i \right) \approx a \mathcal{N}^{4/3} + V_0 \mathcal{N}$.

The above relation is even valid for the ^{208}Pb single particle spectrum obtained within the HFB theory with the **Gogny force**:



Average of the sum of the s.p. energies

Let us define a **discrete sample of data**:

$$S_n = \sum_{i=1}^n e_i - \bar{E}(n) = \sum_{i=1}^n e_i - a n^{4/3} - V_0 n .$$

The parameters a and V_0 can be fixed by **minimizing** the square deviation of the energy sum and \bar{E} :

$$\sum_{n=1}^{\mathcal{N}_{max}} S_n^2 = \min ,$$

Using the **Gauss-Hermite folding** one obtains the average value of S_n :

$$\tilde{S}_{\mathcal{N}} = \frac{1}{\gamma \sqrt{\pi}} \sum_{n=2,4}^{\mathcal{N}_{max}} \frac{2}{3 n^{2/3}} S_n e^{-\left(\frac{\mathcal{N}^{1/3} - n^{1/3}}{\gamma}\right)^2} f_6 \left(\frac{\mathcal{N}^{1/3} - n^{1/3}}{\gamma} \right) ,$$

where $f_6(x) = \frac{35}{16} - \frac{35}{8}x^2 + \frac{7}{4}x^4 - x^6$ is the **correction polynomial**.

The **smoothed energy** over particle number of an even or odd \mathcal{N} system is

$$\tilde{E}(\mathcal{N}) = \tilde{S}_{\mathcal{N}} + a\mathcal{N}^{4/3} + V_0\mathcal{N} .$$

Strutinsky smoothed energy

In this method one evaluates first the smooth s.p. particle level density $\tilde{g}(e)$ by folding the discrete spectrum of the eigenenergies e_i

$$g(e) = \sum_i \delta(e - e_i) \quad \longrightarrow \quad \tilde{g}(e) = \frac{1}{\gamma_S} \sum_i j \left(\frac{e - e_i}{\gamma_S} \right) ,$$

where $j(x) = \frac{1}{\sqrt{\pi}} e^{-x^2} \left(\frac{35}{16} - \frac{35}{8} x^2 + \frac{7}{4} x^4 - x^6 \right) .$

According to Strutinsky the smoothed s.p. energy is given by the integral

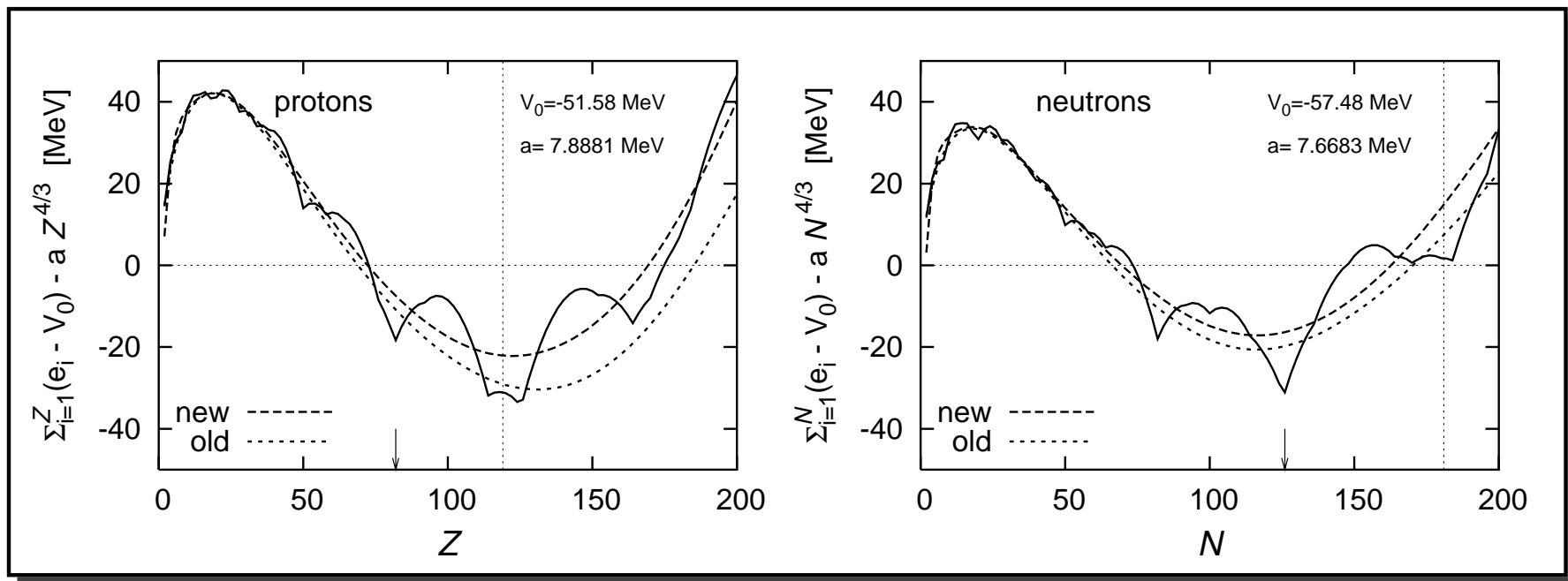
$$\tilde{E}_{\text{Str}} = \int_{-\infty}^{\lambda} 2 e \tilde{g}(e) de , \quad \mathcal{N} = \int_{-\infty}^{\lambda} 2 \tilde{g}(e) de .$$

where λ is the Fermi energy in the system without the shell structure.

Note: The Strutinsky energy \tilde{E}_{Str} is not equal to the average sum of the s.p. energies \tilde{E} and it corresponds to the system which only conserves on average (not exactly) the number of nucleons.

Comparison of the both smoothed energies

Sum of the s.p. energies E obtained with the **Saxon-Woods** potential ^a for ^{208}Pb and its smooth part \tilde{E} evaluated by folding in the \mathcal{N} -space (new) as well as that \tilde{E}_{Str} obtained within the Strutinsky method (old). From all the curves the average HO trend is subtracted. The arrows indicate positions of the Fermi energies and the **vertical lines mark the end of the bound spectra**.



^aChepurnov parameters

Difference between the both types of smoothing

The sum of the single-particle energies is approximated roughly by

$$\overline{\left(\sum_{i=1}^{\mathcal{N}} e_i \right)} \approx a \mathcal{N}^{4/3} + V_0 \mathcal{N} ,$$

Let us assume that \mathcal{N}_i and \mathcal{N}_{i+1} are two neighboring magic numbers. The Strutinsky prescription for the half filled shell $\mathcal{N} = (\mathcal{N}_{i+1} - \mathcal{N}_i)/2$ is

$$\tilde{E}_{\text{Str}} = a \mathcal{N}^{4/3} + V_0 \mathcal{N} .$$

The average in the \mathcal{N} -space is given by the integral

$$\tilde{E} = \frac{1}{\Delta} \int_{\mathcal{N}-\Delta/2}^{\mathcal{N}+\Delta/2} (a n^{4/3} + V_0 n) dn ,$$

where $\Delta = \mathcal{N}_{i+1} - \mathcal{N}_i$ is the degeneracy of the level.

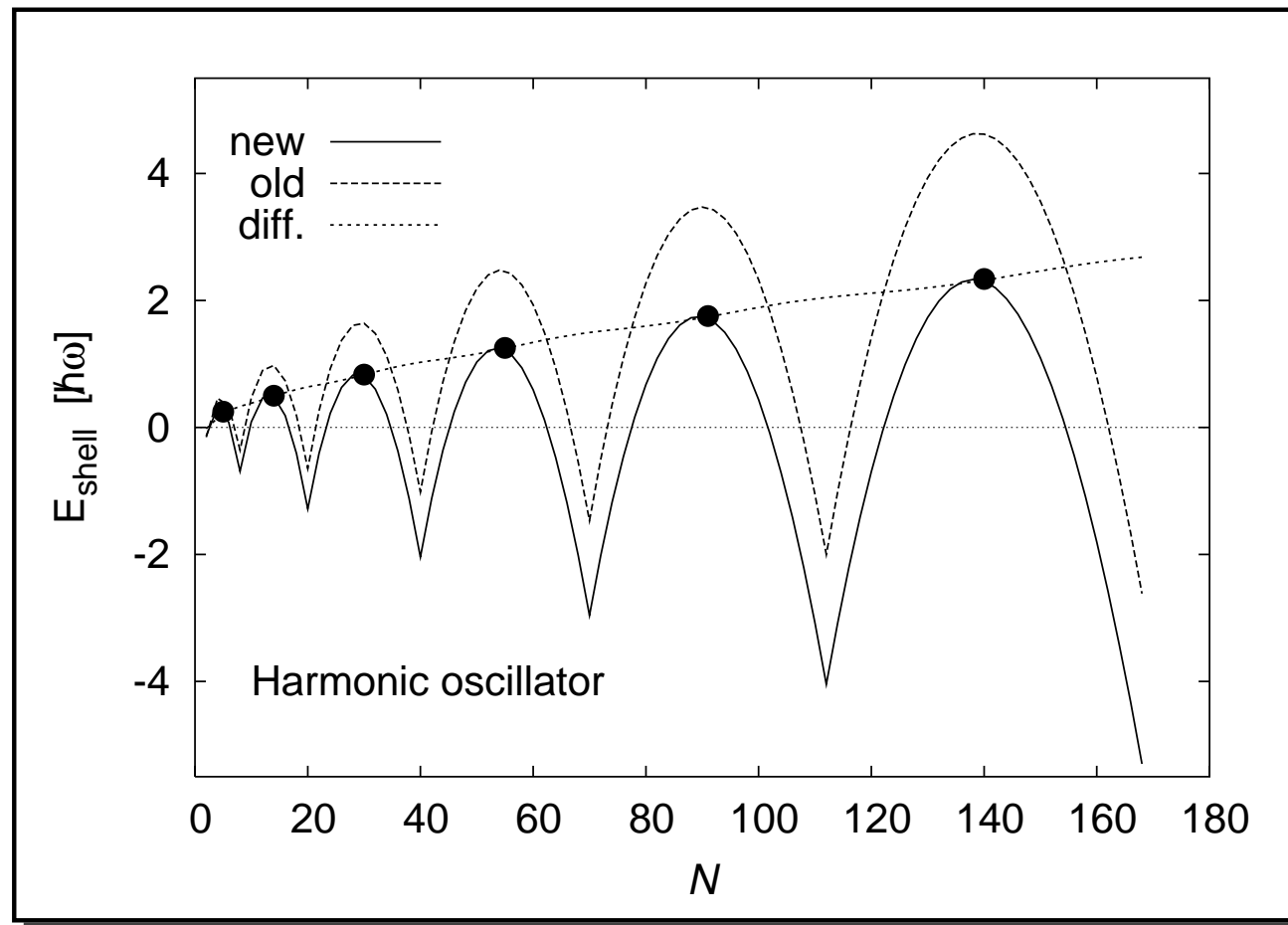
So, the difference between the both smoothed energies is

$$\tilde{E} - \tilde{E}_{\text{Str}} \approx \frac{1}{54} a \frac{\Delta^2}{\mathcal{N}^{2/3}} ,$$

where $a \approx 3^{4/3}/4 \hbar \omega_0$.

Spherical harmonic oscillator case

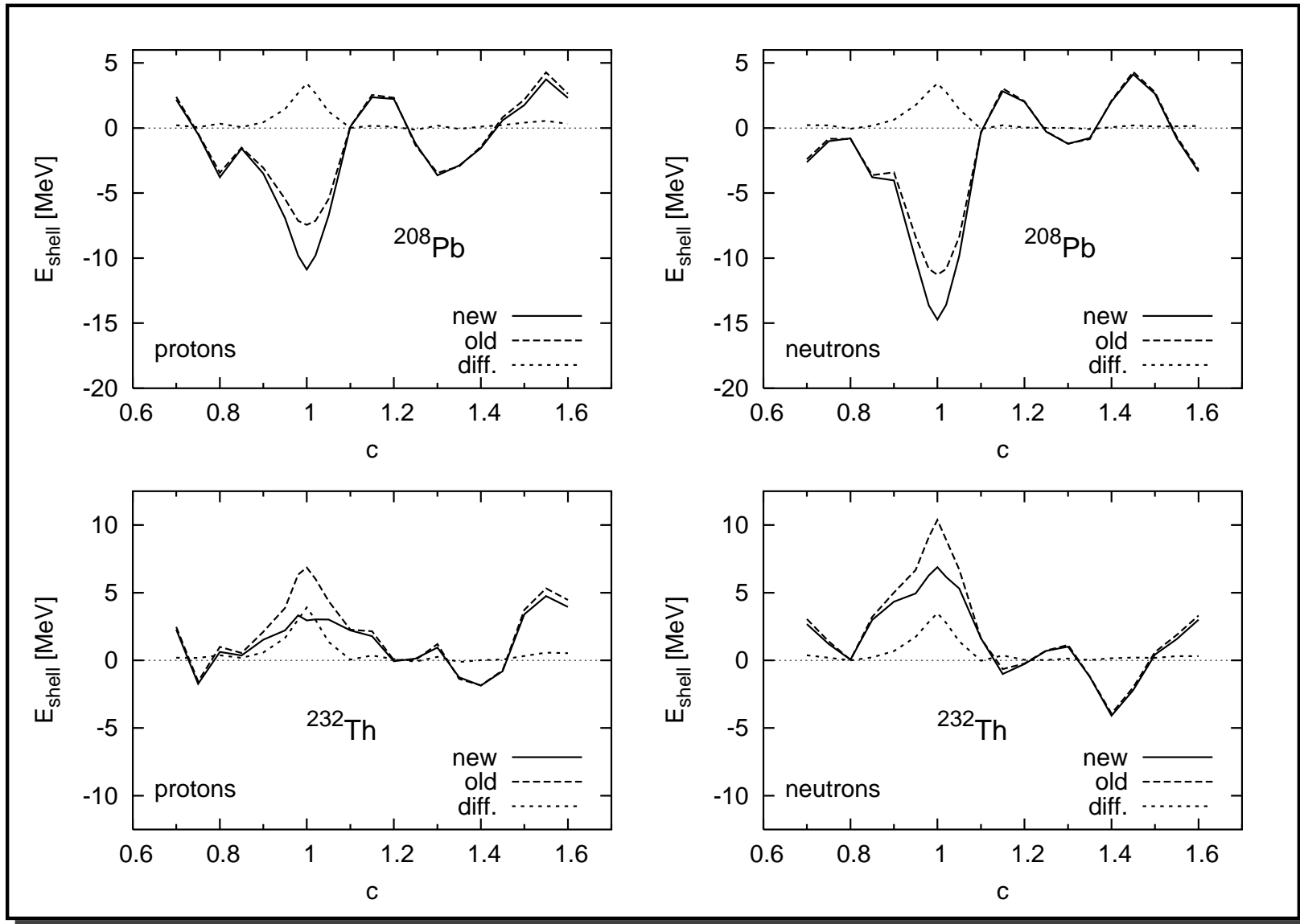
The shell energy $E_{\text{shell}} = \sum_{i=1}^N e_i - \tilde{E}$ for the spherical harmonic oscillator single-particle levels evaluated in the both approaches



The difference between the old and new shell energies is marked by the dots while its estimates by a simple formula is represented by the black points.

Deformed Saxon-Woods potential case

a

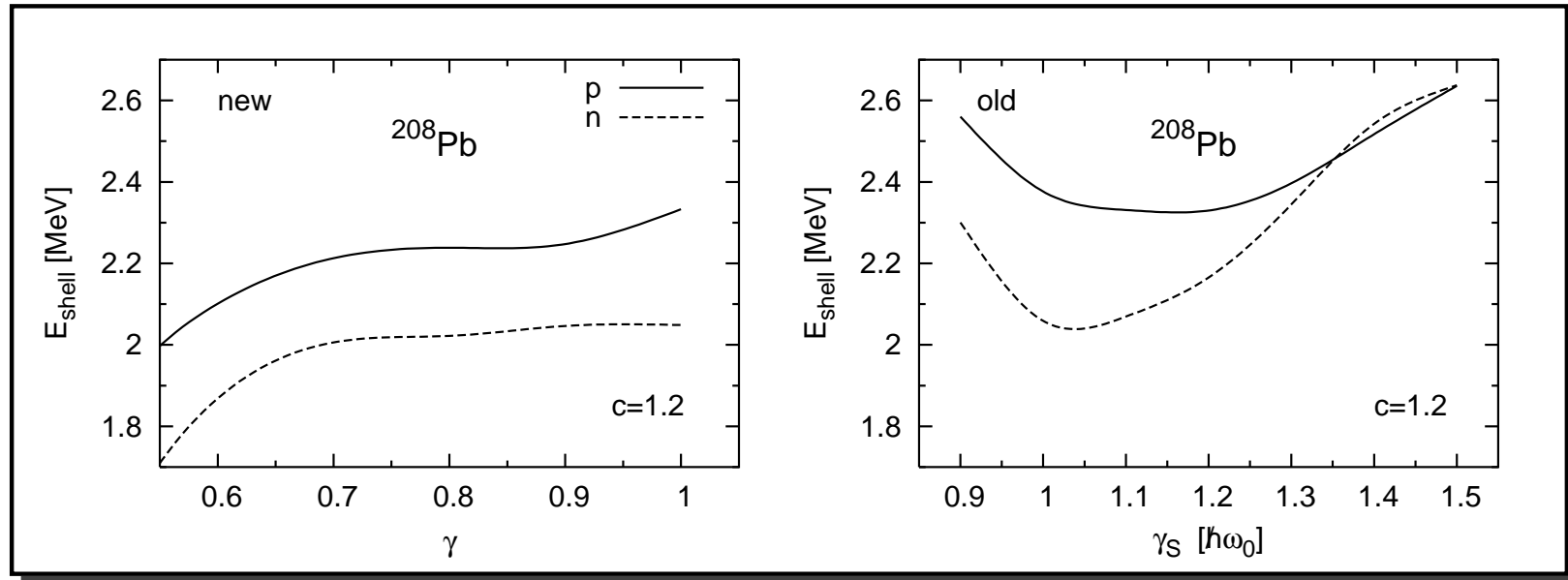


^aThe deformation c is the relative elongation defined as in the Funny-Hills paper.

Plateau condition

The proton and neutron shell energies E_{shell} obtained with the Saxon-Woods potential for ^{208}Pb at deformation $c = 1.2$ with the smooth part \tilde{E} evaluated by folding in the \mathcal{N} -space (l.h.s.) and that \tilde{E}_{Str} obtained within the Strutinsky method (r.h.s.) as function of the smearing parameters γ (dimensionless) and γ_S (in $\hbar\omega_0$).

a



^aThe deformation c is the relative elongation defined as in the Funny-Hills paper.

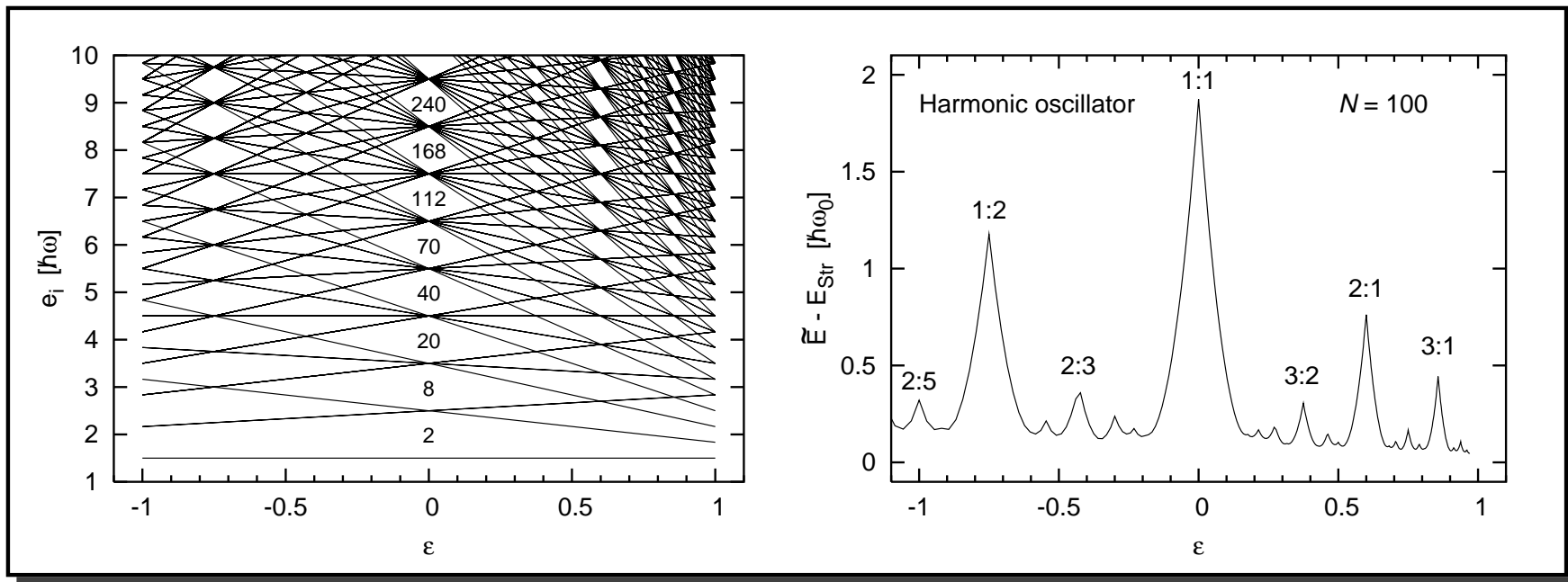
Deformed harmonic oscillator case

The eigenenergies of the axially deformed harmonic oscillator

$$\widehat{H} = \frac{-\hbar^2}{2m} \Delta + \frac{1}{2} m [\omega_{\perp}^2 (x^2 + y^2) + \omega_z^2 z^2]$$

are

$$E_{n_{\perp} N_z} = \hbar\omega_{\perp} (n_{\perp} + 1) + \hbar\omega_z (n_z + \frac{1}{2}) .$$



a

The **pikes** are visible when the ratio of the HO frequencies ω_{\perp}/ω_z is equal to the **ratio of small integers**.

^aHere ϵ is the Nilsson quadrupole deformation and $\omega_{\perp}/\omega_z = (1 + \epsilon/3)/(1 - 2\epsilon/3)$.

Summary and conclusions

- An **alternative method** of evaluating of the smooth part of the total single-particle energy is presented. One performs here the **folding of the sums of nucleon energies in the particle number space**, not in the energies of individual nucleons as it was done in the traditional Strutinsky method.
- The averaging in the \mathcal{N} -space is **more consistent** with the definition of the macroscopic energy which represents the average dependence on Z and A of the nuclear binding energy.
- The new shell energy is systematically **smaller** (by a couple MeV) than the old one for spherical nuclei (and some shape isomers) but for deformed nuclei systems the both energies are **close each other**.
- The difference between the smooth energies evaluated using the both averaging methods can serve as a **tool to find semi-magic structure** in the deformed nuclei.

'Technical' conclusions

- The sum of nucleon energies follows the harmonic oscillator sum rule.
- The new estimate of the smoothed energy is by a few MeV smaller than the Strutinsky one for nuclei with the large degeneracy of the s.p. levels, while for the non-degenerated systems they are close each other.
- The sum over \mathcal{N} of the new estimates of the shell energies is close to zero for sufficiently large number of particles, while such a sum for the traditional Strutinsky shell correction grows systematically with \mathcal{N} when the s.p. levels are degenerate.
- The amplitudes of the both shell energies are almost the same when the number of particle varies.
- The plateau condition for the \mathcal{N} averaging is better fullfield than in the Strutinsky averaging over energy.
- The new estimates of the shell energy are more stable for the energy cut-off in the s.p. spectrum because one smoothes only the difference from the HO sum rule.

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Gauss-Hermite Approximation Formula

Let us consider an ensemble of N points $\{x_i\}$ distributed uniformly in the interval $[a, b]$. To each point x_i corresponds a point y_i , and we assume there exists a function $y(x)$ such that: $y_i = y(x_i)$.

The folded function $\tilde{y}(x)$ is given by

$$\tilde{y}(x) = \sum_{i=1}^N y_i \Delta x_i j_n(x, x_i) .$$

The Riemann integral of the function $y(x)$ between bounds a and b should be equal to the integral of $\tilde{y}(x)$:

$$\int_a^b y(x) dx \approx \sum_{i=1}^N y(x_i) \Delta x_i = \int_{-\infty}^{\infty} \tilde{y}(x) dx ,$$

where Δx_i is set to: $\Delta x_i = \frac{1}{2} (x_{i+1} - x_{i-1})$ with $x_0 = a$ and $x_{N+1} = b$ and

$$\int_{-\infty}^{\infty} j(x, x_i) dx = 1 .$$

Gauss-Hermite folding, cont.

The function $y(x)$ approximated by the Gauss-Hermite folding reads:

$$\tilde{y}(x) = \frac{1}{\gamma\sqrt{\pi}} \sum_{i=1}^N y_i \Delta x_i \exp \left\{ - \left(\frac{x - x_i}{\gamma} \right)^2 \right\} f_n \left(\frac{x - x_i}{\gamma} \right) ,$$

where

$$f_0(u) = 1 ,$$

$$f_2(u) = \frac{3}{2} - u^2 ,$$

$$f_4(u) = \frac{15}{8} - \frac{5}{2}u^2 + \frac{1}{2}u^4 ,$$

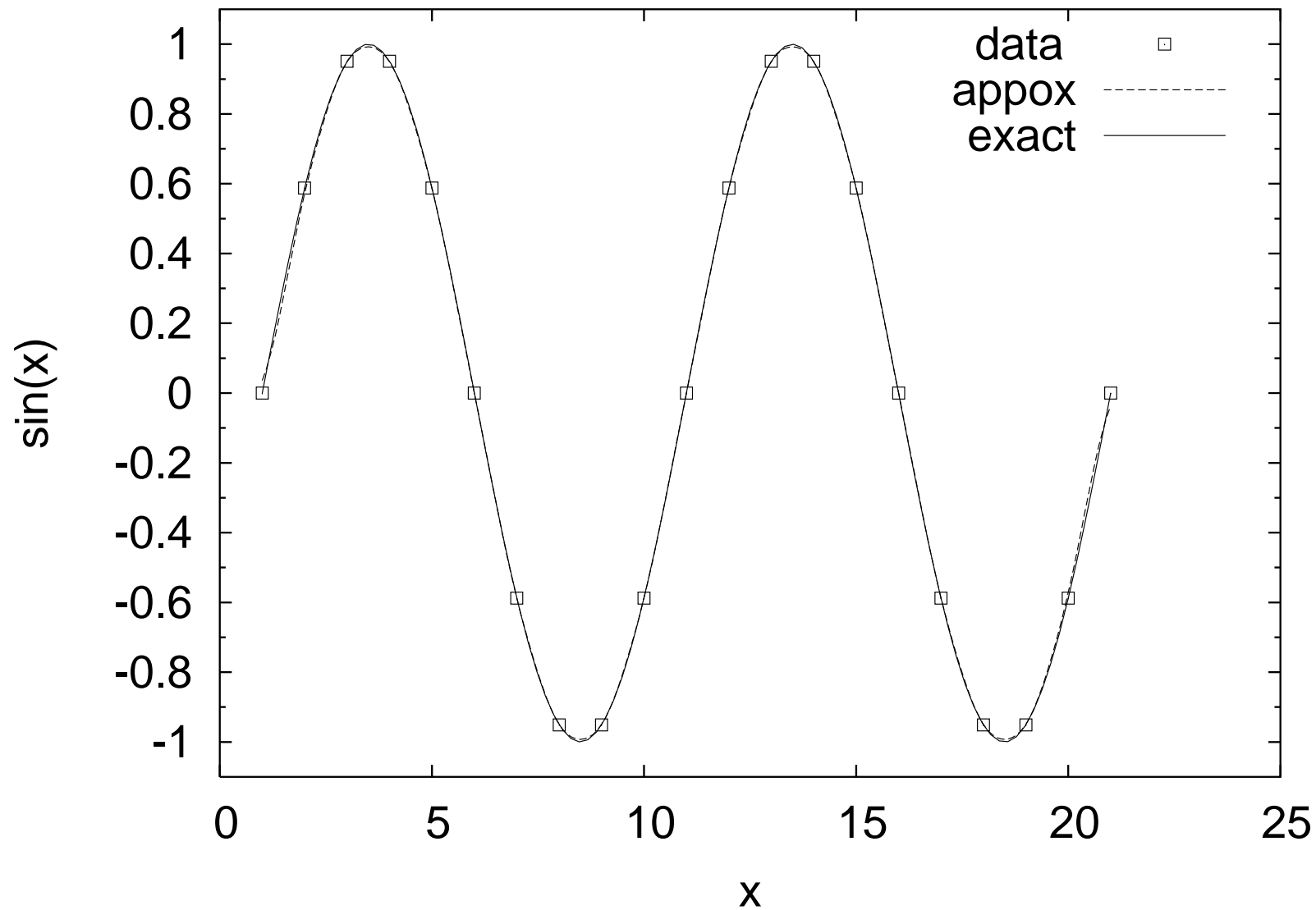
$$f_6(u) = \frac{35}{16} - \frac{35}{8}u^2 + \frac{7}{4}u^4 - \frac{1}{6}u^6 ,$$

The polynomials $f_n(u)$ are found from the Strutinsky requirement

$$P_k(x) = \int_{-\infty}^{+\infty} P_k(x') j_n(x, x') dx' ,$$

where $k \leq n$ are the even natural numbers and P_k is an arbitrary polynomial of the order k .

Example of one-dimensional approximation



The sinus function approximated by the 2^{nd} order Gauss-Hermite folding.

Multidimensional case

Let assume that the data points are stored in a m -dimensional array $Y[1 : N_1, 1 : N_2, \dots, 1 : N_m]$ which corresponds to the ordinates $X_i[1 : N_i]$, where $i = 1, 2, \dots, m$.

The ensemble of the Hermite polynomials $H_i(x)$ forms a complete basis of orthogonal functions in which an arbitrary m -dimensional function $F(\vec{r}) \equiv F(x_1, x_2, \dots, x_m)$ can be expanded

$$F(x_1, x_2, \dots, x_m) = \sum_{i_1=0}^{\infty} \sum_{i_2=0}^{\infty} \dots \sum_{i_m=0}^{\infty} C_{i_1 i_2 \dots i_m} H_{i_1}(x_1) H_{i_2}(x_2) \dots H_{i_m}(x_m) \cdot$$

It means that one can perform independent foldings in each x_i coordinate. So, the approximation of the function $Y(X)$ can be written as:

$$\begin{aligned} \tilde{Y}(x_1, x_2, \dots, x_m) = & \sum_{i_1=0}^{N_1} \Delta x_{i_1} \sum_{i_2=0}^{N_2} \Delta x_{i_2} \dots \sum_{i_m=0}^{N_m} \Delta x_{i_m} \\ & \cdot Y[i_1, i_2, \dots, i_m] j_n(x_1, X_1[i_1]) \dots j_n(x_m, X_m[i_m]) \cdot \end{aligned}$$

and Δx_{i_k} are the distances between the mesh-points.

Example of the approximation in 4 dimensions

The approximation of the four-dimensional $\cos(r)$ function by the 2^{nd} order Gauss-Hermite folding on basis of $p = 5$ and $p = 7$ closest to the given points in function of the smearing parameter γ :

| $1/\gamma$ | δ_{avr} | δ_{min} | δ_{max} | δ_{avr} | δ_{min} | δ_{max} |
|------------|----------------|----------------|----------------|----------------|----------------|----------------|
| | $p = 5$ | | | $p = 7$ | | |
| 0.98 | 0.0081 | -0.0296 | 0.0530 | 0.0030 | -0.0073 | 0.0241 |
| 1.00 | 0.0072 | -0.0261 | 0.0485 | 0.0029 | -0.0074 | 0.0242 |
| 1.02 | 0.0065 | -0.0233 | 0.0452 | 0.0030 | -0.0076 | 0.0249 |
| 1.04 | 0.0060 | -0.0210 | 0.0428 | 0.0032 | -0.0080 | 0.0260 |
| 1.06 | 0.0057 | -0.0192 | 0.0414 | 0.0035 | -0.0086 | 0.0276 |
| 1.08 | 0.0057 | -0.0179 | 0.0409 | 0.0040 | -0.0093 | 0.0295 |
| 1.10 | 0.0059 | -0.0171 | 0.0411 | 0.0046 | -0.0102 | 0.0320 |

Here δ_{avr} is the root mean square deviation and $r = \sqrt{x_1^2 + x_2^2 + x_3^2 + x_4^2}$.

Example of the approximation in 4 dimensions

The functions are tabulated in 21 equidistant points along each coordinate. The smearing parameter $\gamma = 0.93$ or $\gamma = 1$ is chosen in case of the $p = 5$ or $p = 7$ point basis used when folding, respectively.

| Function Y | Range | Y_{\min} | Y_{\max} | p | δ_{avr} | δ_{\min} | δ_{\max} |
|---|----------------|------------|------------|-----|-----------------------|-----------------|-----------------|
| $\sin(r)/r$ | $-2\pi : 2\pi$ | -0.2172 | 1 | 5 | 0.0011 | -0.0029 | 0.0128 |
| | | | | 7 | 0.0005 | -0.0012 | 0.0059 |
| $x_1^2 + x_2^2 + x_3^2 + x_4^2$ | -2 : 2 | 0 | 8 | 5 | 0.0053 | -0.0218 | 0.0102 |
| | | | | 7 | 0.0013 | -0.0017 | 0.0014 |
| $(x_1 \cdot x_2 \cdot x_3 \cdot x_4)^2$ | -2 : 2 | 0 | 256 | 5 | 0.0076 | -0.2491 | 0.1161 |
| | | | | 5 | 0.0017 | -0.0191 | 0.0102 |
| $x_1 \cdot x_2 \cdot x_3 \cdot x_4$ | -2 : 2 | -16 | 16 | 5 | 0.0014 | -0.0180 | 0.0180 |
| | | | | 7 | 0.0001 | -0.0017 | 0.0017 |

The root mean square deviation δ_{avr} as well as the maximal in plus difference (δ_{max}) and the minimal in minus one (δ_{min}) are evaluated for the $N = 149057$ mesh and inter-mesh points (in the middle) excluding the points which lie on two outer layers (i.e two first or last rows or columns).

ghost.f

```
C-----
C  The 2nd order Gauss-Hermite folding (a la V.M. Strutinsky) of a function
C  defined on a sample of equidistant points in the n-dimensional space
C-----
subroutine ghost(nna,npts,xdn,dx,y,yref,gamma,x,fun,dfun)
parameter (ndim=4,id=2,nid=2*id+1)
dimension y(npts),xdn(ndim),dx(ndim),x(ndim),dfun(ndim),nna(ndim)
C
C  The data points which should be approximated by the function fun(x) have
C  to be stored in the main program as the n-dimensional array:
C  dimension y(nna(1),nna(2),...,nna(ndim)) ,
C  where nna(i) is the number of points related to the x_i coordinate.
C  The total number of points in y is npts=nna(1)*nna(2)*...*nna(ndim).
C  The equidistant grid beginning at xdn(i) with step dx(i) is assumed
C  for each coordinate. The value and gradient of the approximated function
C  in the the point x(ndim) are stored in fun and dfun respectively.
C  REMARK: In order to increase the accuracy of the approximation one
C  preforms the folding of the differences y(i)-yref, where yref is the
C  function value around which the approximation should be the best.
C  A reasonable choice of yref is the average of the input points i.e.
C  yref=(sum y(i))/npts. The folding is performed using 2*id+1 points
C  closest to point x in each direction and gamma is the smearing width.
C  (C) Copr. 2004 Krzysztof Pomorski, email: pomorski@kft.umcs.lublin.pl
C
dimension f(ndim,nid),df(ndim,nid),fdf(ndim),ni(ndim),nnn(ndim)
gami=1./gamma
fun=0.
nnn(1)=1
do 2 i=1,ndim
dfun(i)=0.
if(i.gt.1) nnn(i)=nnn(i-1)*nna(i-1)
xx=(x(i)-xdn(i))/dx(i)+1.
ni(i)=int(xx+0.5)
fnorm=0.
do 1 j=1,nid
t=gami*(xx-(ni(i)+j-id-1))
gauss=exp(-t**2)
f(i,j)=gami*gauss*(1.5-t**2)
fnorm=fnorm+f(i,j)
1 df(i,j)=gami**2*gauss*(2.*t**3-5.*t)/dx(i)
do 2 j=1,nid
f(i,j)=f(i,j)/fnorm
2 df(i,j)=df(i,j)/fnorm
nbox=nid*ndim
do 6 k=1,nbox
l=1
ff=1.
do 3 m=1,ndim
3 fdf(m)=1.
icur=k-1
nn=nid*(ndim-1)
do 5 i=ndim,1,-1
j=icur/nn+1
ff=ff*f(i,j)
do 4 m=1,ndim
if(m.eq.i) fdf(m)=fdf(m)*df(i,j)
4 if(m.ne.i) fdf(m)=fdf(m)*f(i,j)
l=l+nnn(i)*(min(nna(i),max(1,ni(i)+j-id-1))-1)
icur=icur-(j-1)*nn
5 nn=nn/nid
fun=fun+(y(l)-yref)*ff
do 6 m=1,ndim
6 dfun(m)=dfun(m)+(y(l)-yref)*fdf(m)
fun=fun+yref
return
end
```