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INDEXING OF POWDER DIFFRACTION PATTERNS FOR LOW SYMMETRY LATTICES
BY THE SUCCESSIVE DICHOTOMY METHOD

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APPENDIX

ANALYSIS OF BOUNDS Q_- AND Q_+ FOR MONOCLINIC SYMMETRY WHEN THE PRODUCT hl IS NEGATIVE

$Q_{hkl} (= 1/d_{hkl}^2)$ is related to the direct parameters of the unit cell (a, b, c, β) through

$$Q = f(A, C, \beta) + g(B), \quad (1)$$

where $f(A, C, \beta) = \frac{h^2}{A^2} + \frac{l^2}{C^2} - \frac{2hl \cos \beta}{AC}$ and $g(B) = \frac{k^2}{B^2}$,

with $A = a \sin \beta$, $B = b$ and $C = c \sin \beta$.

The variable of the g -function is independent of the variables in the f -function. The bounds Q_- and Q_+ are then :

$$Q_- = f_{min} + g_{min} \quad \text{and} \quad Q_+ = f_{max} + g_{max}; \quad (2)$$

f_{min} and g_{min} are the smallest values taken by f and g in their respective defined ranges $F = [A_-, A_+] \times [C_-, C_+]$ and $G = [B_-, B_+]$; f_{max} and g_{max} are their greatest values.

I. Values of g_{min} and g_{max}

For the g -function, it is clear that :

$$g_{min} = \frac{k^2}{B_+^2} \quad \text{and} \quad g_{max} = \frac{k^2}{B_-^2}. \quad (3)$$

II. Determination of the values of f_{min} and f_{max}

II.1 Generalities

The determination of f_{min} and f_{max} is particularly laborious. First, note that the partial derivative $\frac{\partial f}{\partial \beta} = \frac{2hl \sin \beta}{AC}$ is always negative. Then, f_{max} corresponds to $\beta = \beta_-$ and f_{min} to

$\beta = \beta_+$ and also the f -function has no extremum in its domain F . Indeed, the value of A and C which should give these extrema must satisfy the following equations :

$$\begin{cases} \frac{\partial f}{\partial A} = 0 \\ \frac{\partial f}{\partial C} = 0 \end{cases} \Leftrightarrow \begin{cases} \frac{h}{A} = \frac{l \cos \beta}{C} \\ \frac{l}{C} = \frac{h \cos \beta}{A} \end{cases} \Rightarrow \cos^2 \beta = 1 \Rightarrow \beta = 0^\circ \text{ or } \beta = 180^\circ \quad (4)$$

It is evident that these β values have no physical sense. Consequently, f_{\min} and f_{\max} necessarily correspond to points on the boundaries $M_1M_2M_3M_4$ and $N_1N_2N_3N_4$, respectively, of the domain F (Fig. 1).

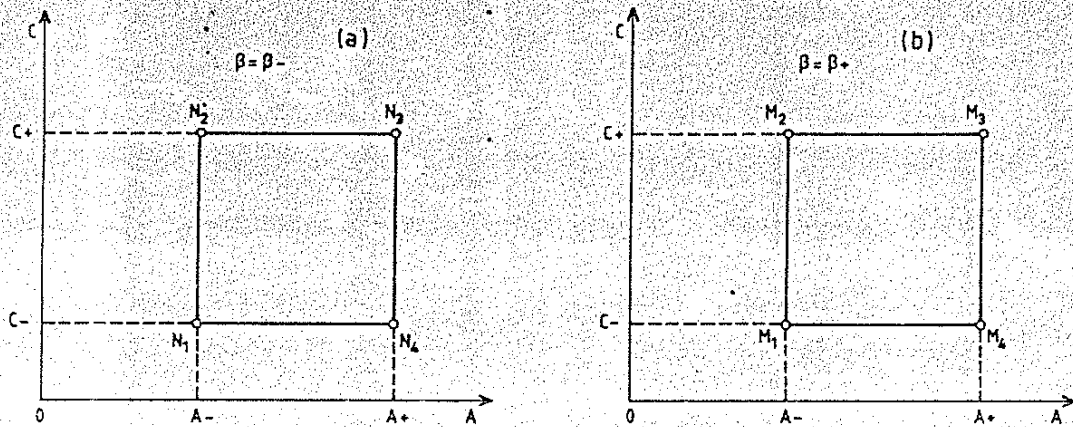


Fig. 1. Boundaries of the domain F : (a) $\beta = \beta_-$, the point of the maximum is located on the full line $N_1N_2N_3N_4$; (b) $\beta = \beta_+$, the point of the minimum is located on the full line $M_1M_2M_3M_4$.

The extrema located on each of the segments M_1M_2 , M_3M_4 , N_1N_2 and N_3N_4 (Fig. 1) have coordinates A , C , β which satisfy equation (5). Then :

$$\beta = \beta_o = \beta_{\pm} ; A = A_o = A_{\pm} ; C_e = C_e = \frac{l A_{\pm}}{h \cos \beta_{\pm}} \text{ (if } \beta_{\pm} \neq 90^\circ \text{)}. \quad (6)$$

Likewise, if $\beta_{\pm} \neq 90^\circ$, the coordinates of the extrema on the segments M_1M_4 , M_2M_4 , N_1N_4 and N_2N_4 are :

$$\beta = \beta_o = \beta_{\pm} ; A = A_e = \frac{h C_{\pm}}{l \cos \beta_{\pm}} \text{ [see (4)] ; } C = C_o = C_{\pm}. \quad (7)$$

At these points, the respective extrema have the value:

$$f_A = f(A_e, C_{\pm}, \beta_{\pm}) = \frac{l^2 \sin^2 \beta_{\pm}}{C_{\pm}^2} \quad \text{and} \quad f_C = f(A_{\pm}, C_e, \beta_{\pm}) = \frac{h^2 \sin^2 \beta_{\pm}}{A_{\pm}^2} \quad (8)$$

If $\beta_{\pm} = 90^\circ$ (only possible for β_{\pm} , because β is an obtuse angle), the extrema f_A and f_C do not exist, since the equations (4) and (5) are not satisfied (h and l not equal to zero). In these cases, f_{min} corresponds to one of the four corners M_1, M_2, M_3, M_4 (Fig. 1a) and f_{max} to one of the four other corners N_1, N_2, N_3, N_4 (Fig. 1b).

Let us show that f_A (or f_C) is a minimum and not a maximum. When C and β are fixed, f becomes a single-variable function: $f(A, C_o, \beta_o) = \Phi(A)$. Then :

$$\frac{d\Phi}{dA} = -\frac{2h^2}{A^3} + \frac{2hl \cos \beta_o}{A^2 C_o};$$

$\frac{d\Phi}{dA}$ has the same sign as $\frac{A^3}{2h^2} \frac{d\Phi}{dA}$. Since A_e is given by (7), it follows that :

$$\frac{A^3}{2h^2} \frac{d\Phi}{dA} = \frac{A}{A_e} - 1 \Rightarrow \frac{dF}{dA} > 0 \quad \text{when } A > A_e \quad \text{and} \quad \frac{dF}{dA} < 0 \quad \text{when } A < A_e$$

It can be seen that f_A is thus a minimum. The minimum f_A (or f_C) has only to be taken into account when A_e (or C_e) is included in the range $[A_-, A_+]$ (or $[C_-, C_+]$).

It is now necessary to demonstrate that the values A_e and the values C_e [see (6) and (7)] cannot belong simultaneously to the domain $[A_-, A_+] \times [C_-, C_+]$. Indeed, in the reverse case, one should have :

$$\frac{h C_{\pm}}{l \cos \beta_o} \leq A_+ \quad (9)$$

$$\text{and} \quad \frac{l A_{\pm}}{h \cos \beta'_o} \leq C_+ \quad (10)$$

where $\beta_o = \beta_+$ or $\beta_o = \beta_-$ and $\beta'_o = \beta_+$ or $\beta'_o = \beta_-$. (9) and (10) imply that :

$$\begin{aligned}
 (\cos \beta_0) (\cos \beta'_0) &\geq \frac{C_{\pm}}{C_{+}} \frac{A_{\pm}}{A_{+}} \\
 \Rightarrow |\cos \beta_0| &\geq \min \left(\frac{C_{-}}{C_{+}}, \frac{A_{-}}{A_{+}} \right). \quad (11)
 \end{aligned}$$

Let the minimum values of $\frac{C_{-}}{C_{+}}, \frac{A_{-}}{A_{+}} = \frac{X_{-}}{X_{+}} = \frac{X_{-}}{X_{-} + \varepsilon}$ be $\varphi(X_{-})$, where ε is the dichotomy step (the initial value is 0.4 Å). Then, to determine the smallest value of $\varphi(X)$,

$$\frac{d\varphi}{dX_{-}} = \frac{\varepsilon}{(X_{-} + \varepsilon)^2} > 0 \Rightarrow \left(\frac{X_{-}}{X_{+}} \right)_{\min} = \frac{x_{\min} \sin \beta}{x_{\min} \sin \beta + \varepsilon} = \frac{x_{\min}}{x_{\min} + \varepsilon / \sin \beta},$$

where x_{\min} is the minimum value of the dimensions of the direct unit cell. In the program, this value is fixed at 2.5 Å and the maximum value of the β angle is fixed at 140° ; then

$$\left(\frac{X_{-}}{X_{+}} \right)_{\min} = 0.8007 \Rightarrow \beta > 143^\circ.$$

Condition (11) is not possible for $\beta < 140^\circ$, therefore A_e and C_e cannot both be in the domain $[A_{-}, A_{+}] \times [C_{-}, C_{+}]$. Note that inequalities (9) and (10) are not compatible.

After these general considerations, f_{\min} and f_{\max} will be determined for the different possible cases. It should be remembered that :

- the product hl is negative ;
- the parameter A is always greater than, equal to, parameter C ;
- the inequality (11) is impossible if $\beta < 140^\circ$;
- the inequalities (9) and (10) are inconsistent if $\beta < 140^\circ$;
- the β coordinate of f_{\min} is β_{+} ; likewise, the β coordinate of f_{\max} is β_{-} ;
- because the extrema f_A and f_C considered above are minima, it can be deduced that :
 - f_{\min} is either one of these extrema or the f value at one of the four corners M_1, M_2, M_3 and M_4 (Fig. 1a),
 - f_{\max} necessarily occurs at one of the four corners N_1, N_2, N_3 and N_4 (Fig. 1b).

Let the boundaries be $M_1M_2M_3M_4$ and $N_1N_2N_3N_4$ (Fig. 1). The different possible cases will now be analysed.

II.2 Calculation of f_{min} and f_{max} for the different cas

II.2.1 Existence of the minimum point on the M_2M_3 segment

Let f_{A_+} be this extremum : $f_{A_+} = \frac{l^2}{C_+^2} \sin^2 \beta_+$. By taking into account the above derivations, extremum points cannot exist on the segments M_1M_2 , M_3M_4 , N_1N_2 and N_1N_4 .

Consequently, f_{min} is equal to f_{A_+} , since the other extremum $f_{A_-} (= \frac{l^2}{C_-^2} \sin^2 \beta_-)$ located on the line M_1M_4 is greater than f_{A_+} (f_{A_-} and f_{A_+} are directly comparable) :

$$f_{min} = \frac{l^2}{C_+^2} \sin^2 \beta_+$$

Moreover the extremum point on M_2M_3 is located between M_2 and M_3 ; consequently :

$$\begin{aligned} \frac{h C_+}{l \cos \beta_+} \leq A_+ &\Rightarrow \cos \beta_+ \leq \frac{h C_+}{l A_+} \Rightarrow \cos \beta_{\pm} \geq \frac{l A_{\pm}}{h C_{\pm}} \quad [\text{see II.1(d)}] \\ \Rightarrow C_{\pm} &\leq \frac{l A_{\pm}}{h \cos \beta_{\pm}} ; \end{aligned}$$

it can be concluded that the value of f -function at N_1 is greater than at N_2 (Fig. 2) ; in the same way its value at N_4 is greater than at N_3 . Therefore f_{max} corresponds to C_- .

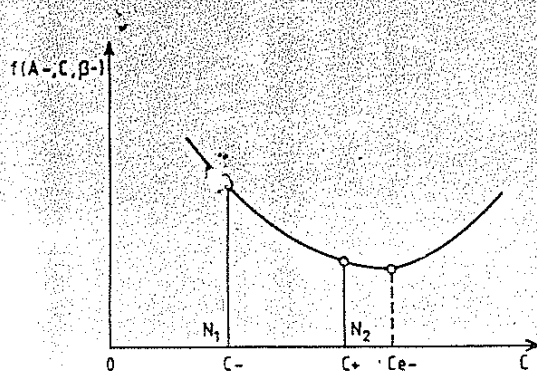


Fig. 2. Choice of the value of the maximum of f -function : $C_{e-} = l A_- / h \cos \beta_-$ being the minimum point on line N_1N_2 , the value of the f -function at N_1 is greater than at N_2 .

In order to compare the values of the function f at the points N_1 and N_4 , a change in the variable $X = \frac{1}{A}$ can be made: $X_+ = \frac{1}{A_-}$ and $X_- = \frac{1}{A_+}$. At a point M , between N_1 and N_4 and having a coordinate A , it follows that :

$$f(A, C_-, \beta) = \frac{h^2}{A^2} + \frac{l^2}{C_-^2} - \frac{2hl \cos \beta}{AC_-} = h^2 X^2 + \frac{l^2}{C_-^2} - \left(\frac{2hl \cos \beta}{C_-} \right) X = T(X).$$

If X_0 is the minimum point of this parabolic function $T(X)$, then :

- for $X_0 > \frac{X_- + X_+}{2}$, the maximum of f is obtained for X_- (dotted line in Fig. 3),
- for $X_0 < \frac{X_- + X_+}{2}$, the maximum of f is obtained for X_+ (full line in Fig. 3).

With the original variable A , it follows that :

$$X_0 = \frac{1}{A_0} = \frac{l \cos \beta}{h C_-}; \quad \frac{X_- + X_+}{2} = \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right).$$

$$f_{\max} = f(A_+, C_-, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) < \frac{l \cos \beta}{h C_-}$$

$$\text{and } f_{\max} = f(A_-, C_-, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) \geq \frac{l \cos \beta}{h C_-}.$$

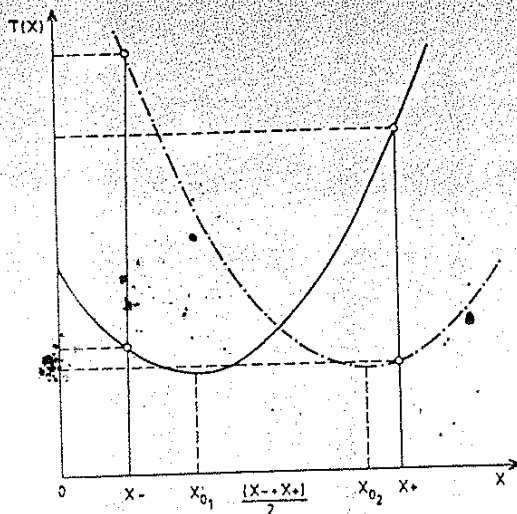


Fig. 3 - Determination of f_{\max} according to the position of X_0 with respect to $\frac{X_- + X_+}{2}$:

II.2.2 Existence of the minimum point on the M_1M_4 segment (and no extremum on M_2M_3)

Let A_e be the coordinate A of this extremum and $\chi(C) = f(A_e, C, \beta_+)$ (Fig. 4).

Then :

$$\frac{d\chi}{dC} = \left(\frac{\partial f}{\partial C} \right)_{A_e, \beta_+} = -\frac{2l}{C^2} \left(\frac{l}{C} - \frac{\cos^2 \beta_+}{A_e} \right) = -\frac{2l^2}{C^2} \left(\frac{l}{C} - \frac{\cos^2 \beta_+}{C} \right)$$

$$\frac{d\chi}{dC} = 0 \Rightarrow C = C_1 = \frac{C_-}{\cos^2 \beta_+} \quad (l \neq 0),$$

where C_1 is a minimum point for the function χ . Moreover, C_+ is lower than C_1 , otherwise

$$C_+ \geq C_1 \Rightarrow C_+ \geq \frac{C_-}{\cos^2 \beta_+} \Rightarrow \cos^2 \beta_+ \geq \frac{C_-}{C_+} \Rightarrow |\cos \beta_+| > \frac{C_-}{C_+} \quad (|\cos \beta_+| < 1).$$

This inequality is impossible, as is the inequality (11) [see II.1(c)]. It follows that

$f(A_e, C_-, \beta_+) > f(A_e, C_+, \beta_+)$, which means that the minimum corresponds to C_+ and not to C_- . This minimum is either $f(A_-, C_+, \beta_+)$ or $f(A_+, C_+, \beta_+)$, depending on whether the value

$$A_{e+} = \frac{h C_+}{l \cos \beta_+} \text{ is lower than } A_- \text{ or greater than } A_+.$$

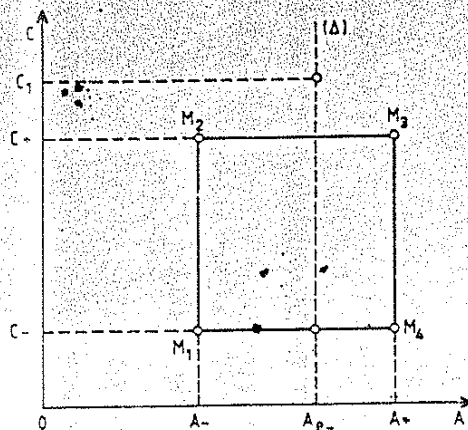


Fig. 4 - Comparison of $\chi(C_-)$ and $\chi(C_+)$. On the line (Δ) : $A = A_e = \text{constant}$, the minimum of $\chi(C)$ is obtained from C_1 : $C_1 > C_+$; then $\chi(C_-) > \chi(C_+)$.

Now, the minimum point on M_1M_4 is located between M_1 and M_4 ; then :

$$\frac{hC_-}{l \cos \beta_+} > A_- \Rightarrow \frac{hC_+}{l \cos \beta_+} > A_-.$$

A graphical representation, as in Fig. 2, of the function $H(A) = f(A, C_+, \beta_+)$, should show that :

$$f_{min} = f(A_+, C_+, \beta_+).$$

The same demonstration as in case II.2.1, gives

$$\begin{aligned} f_{max} &= f(A_+, C_-, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) < \frac{l \cos \beta_-}{h C_-} \\ \text{and } f_{max} &= f(A_-, C_-, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) \geq \frac{l \cos \beta_-}{h C_-}. \end{aligned}$$

II.2.3 Existence of the minimum point on the M_3M_4 segment (and no extremum on M_2M_3 and M_1M_4)

The value of this extremum is $f_{C_+} = \frac{h^2 \sin^2 \beta_+}{A_+^2}$; this is lower than the extremum $f_{C_-} = \frac{h^2 \sin^2 \beta_-}{A_-^2}$, which exists on the line M_1M_2 ; f_{C_+} and f_{C_-} are lower than the values of the function at the points M_1, M_2, M_3 and M_4 , because f_{C_+} and f_{C_-} are the minimum quantities on the segments M_1M_2 and M_3M_4 , respectively. Consequently, $f_{min} = f_{C_+}$, ie :

$$f_{min} = \frac{h^2 \sin^2 \beta_+}{A_+^2}.$$

Due to the symmetry of C and A in equation (1), a similar demonstration as in case II.2.1, applied to the parameter C , gives :

$$\begin{aligned} f_{max} &= f(A_-, C_+, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{C_-} + \frac{1}{C_+} \right) < \frac{h \cos \beta_-}{l A_-} \\ \text{and } f_{max} &= f(A_-, C_-, \beta) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{C_-} + \frac{1}{C_+} \right) \geq \frac{h \cos \beta_-}{l A_-}. \end{aligned}$$

II.2.4 Case where the minimum point exists only on \dot{M}_1M_2

The same demonstration as in case II.2.2 can be applied here. The results are :

$$f_{min} = f(A_+, C_+, \beta_+)$$

$$f_{max} = f(A_-, C_+, \beta_-) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{C_-} + \frac{1}{C_+} \right) < \frac{h \cos \beta_-}{l A_-}$$

$$\text{and } f_{max} = f(A_-, C_-, \beta_-) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{C_-} + \frac{1}{C_+} \right) \geq \frac{h \cos \beta_-}{l A_-}$$

II.2.5 Case where no minimum point exist on the line $M_1M_2M_3M_4$

To select between the points (corners) giving the lowest and the greatest value of f , two conditions have to be tested :

II.2.5.1 Case where $\cos \beta_- < \frac{l A_+}{h C_-}$ (12)

In this case, the following inequalities occur simultaneously :

$$C_- > \frac{l A_+}{h \cos \beta_-} \quad [\text{see (12)}] ,$$

$$C_- > \frac{l A_-}{h \cos \beta_-} \quad (A_- < A_+) ,$$

$$C_- > \frac{l A_+}{h \cos \beta_+} \quad (|\cos \beta_+| > |\cos \beta_-|) ,$$

$$C_- > \frac{l A_-}{h \cos \beta_+} \quad (A_- < A_+) .$$

The two last expressions show that the minimum points on the lines M_1M_2 and M_3M_4 have coordinates $\frac{l A_-}{h \cos \beta_+}$ and $\frac{l A_+}{h \cos \beta_+}$ and lower than C_- . The graphic representations of $f(A_-, C, \beta_-)$ and $f(A_+, C, \beta_+)$, similar to Fig. 2, confirm that f_{min} corresponds to C_- and f_{max} to

C_+ . Moreover, the relation $A_e = \frac{h C_-}{l \cos \beta_+} < A_-$ is inconsistent with inequality (12) [see II.1(d)]. A_e is not within $[A_-, A_+]$, and is greater than A_- ; consequently, A_e is greater than A_+ . Then

$$f_{min} = f(A_+, C_-, \beta_+).$$

Also, it follows that $\frac{h C_+}{l \cos \beta_-} > A_+$ and consequently

$$f_{max} = f(A_-, C_+, \beta_-).$$

II.2.5.2 Case where $\cos \beta_- \geq \frac{l A_+}{h C_-}$

$$i) \text{ If } \cos \beta_- \leq \frac{l A_-}{h C_+} \Rightarrow \cos \beta_+ \leq \frac{l A_-}{h C_+} \Rightarrow C_+ \geq \frac{l A_-}{h \cos \beta_+}$$

$$\Rightarrow C_- \geq \frac{l A_-}{h \cos \beta_+} \text{ [in the inverse case the minimum point } \frac{l A_-}{h \cos \beta_+} \text{ is on the segment } M_1 M_2 \text{ (Fig. 1)}]$$

$$\Rightarrow C_+ \geq \frac{l A_+}{h \cos \beta_+} \text{ [because } \frac{C_+}{A_+} > \frac{C_-}{A_-} \text{ given by II.1(b)}]$$

$$\Rightarrow C_- \geq \frac{l A_+}{h \cos \beta_+} \text{ [in the inverse case the minimum point is on the segment } M_3 M_4 \text{ (Fig. 1)}].$$

In other respects, hypothesis (i) imposes the condition : $\cos \beta_{\pm} \geq \frac{h C_{\pm}}{l A_{\pm}}$ [see II.1(d)]. Then,

$A_{\pm} < \frac{h C_{\pm}}{l \cos \beta_{\pm}}$. Consequently, f_{min} corresponds to A_+ and f_{max} to A_- . This results combined

with the hypothesis (i), gives

$$f_{min} = f(A_+, C_-, \beta_+),$$

$$f_{max} = f(A_-, C_+, \beta_-).$$

$$\text{ii) If } \cos \beta_- > \frac{lA_-}{hC_+} \Rightarrow \cos \beta_- > \frac{lA_{\pm}}{hC_{\pm}} \quad (\text{because } \frac{lA_{\pm}}{hC_{\pm}} \leq \frac{lA_-}{hC_+})$$

$$\Rightarrow C_{\pm} < \frac{lA_{\pm}}{h \cos \beta_-}$$

The coordinates of the minimum points on the segment N_1N_2 and N_3N_4 ($\frac{lA_+}{h \cos \beta_-}$ and $\frac{lA_-}{h \cos \beta_-}$) are greater than C_+ . Then f_{max} corresponds to C_- . In order to see if it is A_- or A_+ which gives this maximum, it is necessary to proceed as in II.2.1 :

$$f_{max} = f(A_+, C_-, \beta_-) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) < \frac{l \cos \beta_-}{h C_-}$$

$$\text{and } f_{max} = f(A_-, C_-, \beta_-) \quad \text{if} \quad \frac{1}{2} \left(\frac{1}{A_-} + \frac{1}{A_+} \right) \geq \frac{l \cos \beta_-}{h C_-}$$

$$\text{a) If } \cos \beta_+ < \frac{hC_+}{lA_-} \Rightarrow \cos \beta_{\pm} \geq \frac{lA_{\pm}}{hC_{\pm}} \quad [\text{see II.1(d)}] ;$$

it follows that f_{min} corresponds to A_- , ie :

$$f_{min} = f(A_-, C_+, \beta_+)$$

$$\text{b) If } \cos \beta_+ \geq \frac{hC_+}{lA_-} \Rightarrow A_- \leq \frac{hC_+}{l \cos \beta_+}$$

$$- \text{ if } \cos \beta_+ < \frac{lA_+}{hC_-} \Rightarrow \cos \beta_{\pm} \geq \frac{hC_{\pm}}{lA_{\pm}} \quad [\text{see II.1(d)}] ; \quad (13)$$

then f_{min} corresponds to A_+ . Taking into account this hypothesis, it follows that :

$$f_{min} = f(A_+, C_-, \beta_+)$$

Note : In this latter case, it is possible to deduce f_{max} directly without a supplementary test.

Indeed, from (13), f_{max} corresponds to A_- :

$$f_{max} = f(A_-, C_-, \beta_-)$$

$$- \text{ if } \cos \beta_+ \geq \frac{IA_+}{hC_+}$$

$$\Rightarrow C_+ \leq \frac{IA_+}{h \cos \beta_+} \quad (\text{because the extremum } \frac{IA_+}{h \cos \beta_+} \in [C_-, C_+]) \quad (14)$$

$$\Rightarrow C_- \leq \frac{IA_-}{h \cos \beta_+} \quad \left[\frac{C_-}{A_-} < \frac{C_+}{A_+} \text{ given by II.1(b)} \right]$$

$$\Rightarrow C_+ \leq \frac{IA_-}{h \cos \beta_+} \quad [\text{in the inverse case, the minimum point is on the segment } M_1M_2 \text{ (Fig. 1)}] \quad (15)$$

From (14) and (15) f_{min} corresponds to C_+ . This result used with the hypothesis (b) shows that f_{min} corresponds to A_+ :

$$f_{min} = f(A_+, C_+, \beta_+).$$

To conclude, from the f_{min} and f_{max} expressions, rigorously derived for all possible cases when $hl < 0$ (§ II), and from the g_{min} and g_{max} expressions (§ I), the bounds $Q_-(hkl)$ and $Q_+(hkl)$ are calculated according to equations (2). The results of these mathematical calculations are summarised elsewhere in Table 1 and have been incorporated in the computer program DICVOL91.