Electronic structure calculations at macroscopic scales

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Crystals are like people - it's the defects in them that make them interesting Sir F. Charles Frank

- Defects mediate many important macroscopic properties
 - Vacancies: Creep, spall, prismatic loops, radiation ageing
 - Dislocations: Metal plasticity
 - Domain walls, grain boundaries, free surfaces, interfaces
- Defects give rise to complex interactions
 - Typical concentrations are small. Eg. Vacancies: 1 part per million
 - Range of interacting scales and physics: Electronic, Atomistic, Elastic ...
 - Defects break the translational symmetry (periodicity) of the lattice
- Seek a method to describe defects
 - Idea: Start with Density Functional Theory and develop a numerical method that adapts the resolution to the structure of the solution

Example: Radiation Damage and Prismatic Loops





- Introduction and Motivation
- (Orbital-Free) Density-Functional Theory
- Quasi-Continuum reduction
- Vacancy clustering and prismatic loop nucleation in Aluminum
- Towards Quasi-Continuum Density-Functional Theory
- Concluding Remarks



Quantum mechanics and material properties

Quantum Mechanics of Many-Electron Systems. By P. A. M. DIRAC, St. John's College, Cambridge.

(Communicated by R. H. Fowler, F.R.S.-Received March 12, 1929.)

§1. Introduction.

The general theory of quantum mechanics is now almost complete, the imperfections that still remain being in connection with the exact fitting in of the theory with relativity ideas. These give rise to difficulties only when high-speed particles are involved, and are therefore of no importance in the consideration of atomic and molecular structure and ordinary chemical reactions, in which it is, indeed, usually sufficiently accurate if one neglects relativity variation of mass with velocity and assumes only Coulomb forces between the various electrons and atomic nuclei. The underlying physical laws necessary for the mathematical theory of a large part of physics and the whole of chemistry are thus completely known, and the difficulty is only that the exact application of these laws leads to equations much too complicated to be soluble. It therefore becomes desirable that approximate practical methods of applying quantum mechanics should be developed, which can lead to an explanation of the main features of complex atomic systems without too much computation.

charya John Ball 60th: #5

- Born-Oppenheimer approximation: Treat atomic nuclei classically
- Schrödinger equation $H\psi = E\psi$

$$egin{aligned} H &= -rac{1}{2}\sum_i
abla^2_{\mathbf{r}_i} - \sum_{i,a} rac{Z_a}{|\mathbf{r}_i - \mathbf{R}_a|} - \sum_{i,j} rac{1}{|\mathbf{r}_i - \mathbf{r}_j|} - \sum_{a,b} rac{Z_a Z_b}{|\mathbf{R}_a - \mathbf{R}_b|} \ \psi &= \psi(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N; \mathbf{R}_1, \mathbf{R}_2, \dots, \mathbf{R}_M) \end{aligned}$$

• Computational difficulty: $\psi \in \mathbb{R}^{3N}$

100 points/variable, 100 electrons means 100³⁰⁰~10⁶⁰⁰ degrees of freedom!

• Ground-state energy depends only on the electron-density

$$\begin{split} E_{0} &= \min_{\psi} \langle \psi | H | \psi \rangle \\ &= \min_{\psi} \left\langle \psi \left| \frac{1}{2} \sum_{i} |\nabla_{i} \psi|^{2} + \frac{1}{2} \sum_{i,j} \frac{1}{|\mathbf{r}_{i} - \mathbf{r}_{j}|} + \sum_{i,I} \frac{Z_{I}}{|\mathbf{r}_{i} - \mathbf{R}_{I}|} \right| \psi \right\rangle + \sum_{I,J} \frac{Z_{I}Z_{J}}{|\mathbf{R}_{I} - \mathbf{R}_{J}|} \\ &= \min_{\rho} \left\{ \min_{\psi \to \rho} \left\langle \psi \left| \frac{1}{2} \sum_{i} |\nabla_{i} \psi|^{2} + \frac{1}{2} \sum_{i,j} \frac{1}{|\mathbf{r}_{i} - \mathbf{r}_{j}|} \right| \psi \right\} + \int \rho(\mathbf{r}) V_{ext}(\mathbf{r}) d\mathbf{r} + E_{ZZ} \right\} \\ &= \min_{\rho} \left\{ T_{s}[\rho] + \int \int \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}' + E_{xc}[\rho] + \int \rho(\mathbf{r}) V_{ext}(\mathbf{r}) d\mathbf{r} + E_{ZZ} \right\} \\ & \\ & \\ \hline \text{Kinetic energy of a non-interacting system} \\ \text{Nonlinear eigenvalue problem} \end{array} \end{split}$$

Hohenberg and Kohn, Phys. Rev (1964) Kohn and Sham, Phys. Rev (1965)



- Idea: Model T_s
- Thomas-Fermi-von Weizsacker

$$T_s(\rho) = \frac{3}{10} (3\pi^2)^{2/3} \int \rho^{5/3}(\mathbf{r}) d\mathbf{r} + \frac{\lambda}{8} \int \frac{|\nabla \rho(\mathbf{r})|^2}{\rho(\mathbf{r})} d\mathbf{r}$$

• Subsequent improvements Teter, Smargiassi, Carter and others.

The ground-state energy functional:

 $E(\rho, \mathbf{R}) = T_s(\rho) + E_{xc}(\rho) + E_H(\rho) + E_{ext}(\rho, \mathbf{R}) + E_{ZZ}(\mathbf{R})$ $T_s(\rho) = C_F \int_{\Omega} \rho^{5/3}(\mathbf{r}) d\mathbf{r} + \frac{\lambda}{8} \int_{\Omega} \frac{|\nabla \rho(\mathbf{r})|^2}{\rho(\mathbf{r})} d\mathbf{r};$ $E_{xc}(\rho) = \int_{\Omega} \epsilon_{xc}(\rho(\mathbf{r}))\rho(\mathbf{r})d\mathbf{r};$ $E_H(\rho) = \frac{1}{2} \int_{\Omega} \int_{\Omega} \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}';$ Non-local: Fourier methods, but $E_{ext}(\rho, \mathbf{R}) = \int_{\Omega} \sum_{I=1}^{M} \frac{\rho(\mathbf{r}) Z_{I}}{|\mathbf{r} - \mathbf{R}_{I}|} d\mathbf{r}$ require periodicity Multi-pole methods, but require structure $E_{zz}(\mathbf{R}) = \frac{1}{2} \sum_{I=1}^{M} \sum_{I=1}^{M} \frac{Z_I Z_J}{|\mathbf{R}_I - \mathbf{R}_J|};$ K. Bhattacharya John Ball 60th: #9

• Observe
$$E_H(\rho) + E_{ext}(\rho, \mathbf{R}) + E_{ZZ}(\mathbf{R}) =$$

 $- \min_{\phi} \left\{ \frac{1}{8\pi} \int_{\Omega} |\nabla \phi(\mathbf{r})|^2 d\mathbf{r} - \int_{\Omega} (\rho(\mathbf{r}) + b(\mathbf{r}))\phi(\mathbf{r}) d\mathbf{r} \right\}$
regularization of $\sum_{I=1}^{M} Z_I \delta_{\mathbf{R}_I}$
• Therefore, $E(\rho, \mathbf{R}) = \max_{\phi} L(\rho, \mathbf{R}, \phi)$
 $L(\rho, \mathbf{R}, \phi) = C_F \int_{\Omega} \rho^{5/3}(\mathbf{r}) d\mathbf{r} + \frac{\lambda}{8} \int_{\Omega} \frac{|\nabla \rho(\mathbf{r})|^2}{\rho(\mathbf{r})} d\mathbf{r} + \int_{\Omega} \epsilon_{xc}(\rho(\mathbf{r}))\rho(\mathbf{r}) d\mathbf{r}$
 $- \frac{1}{8\pi} \int_{\Omega} |\nabla \phi(\mathbf{r})|^2 d\mathbf{r} + \int_{\Omega} (\rho(\mathbf{r}) + b(\mathbf{r}))\phi(\mathbf{r}) d\mathbf{r}$

• Finally, enforce the constraint $\rho > 0$ by setting $\rho = u^2$



$$\min_{u,\mathbf{R}} \max_{\phi} L(u,\mathbf{R},\phi)$$

$$\begin{split} L(u,\mathbf{R},\phi) &= \frac{\lambda}{2} \int_{\Omega} |\nabla u(\mathbf{r})|^2 d\mathbf{r} + C_F \int_{\Omega} u^{10/3}(\mathbf{r}) d\mathbf{r} + \int_{\Omega} \varepsilon_{xc}(u^2(\mathbf{r})) u^2(\mathbf{r}) d\mathbf{r} \\ &- \frac{1}{8\pi} \int_{\mathbb{R}^3} |\nabla \phi(\mathbf{r})|^2 d\mathbf{r} + \int_{\mathbb{R}^3} (u^2(\mathbf{r}) + b(\mathbf{r})) \phi(\mathbf{r}) d\mathbf{r} \end{split}$$

- Minimizers exist
- *L* is local and can be discretized using a finite element approximation
- Finite element approximation with an approximation of degree k and numerical quadrature accurate to order n converges if n-2k+3>0

• Let
$$E_1(u_{eq}, \phi_{eq}, \mathbf{R}) = \min_u \max_{\phi} L(u, \mathbf{R}, \phi)$$

• Force on the *I*th atom

$$\mathbf{f}_{i} = \frac{\partial E_{1}}{\partial \mathbf{R}_{I}} = \int_{\Omega} \frac{\partial b_{I}(\mathbf{r} - \mathbf{R}_{I})}{\partial \mathbf{R}_{I}} \phi_{eq} = -\int_{\Omega} (\nabla b_{I}) \phi_{eq} = \int_{\Omega_{c}} (\nabla \phi_{eq}) b_{I}$$
Appears
Infact, local
Infact, local

In a finite-element approximation

$$f_X^{bK} = \int_{\Omega} \mathsf{E}_{KJ} N_{b,J} d\Omega + \int_{\Omega} Z_b b_b \left(\sum_{a=1}^n \phi_a N_{a,K} \right) d\Omega$$

Forces arising due to the configuration of nodes
Physical force on nuclei



Aluminum clusters

- $\lambda = 1/6$
- Heine-Abarenkov psuedopotential:

$$V_{ext} = \begin{cases} -\frac{Z_v}{r}, & \text{if } r \ge r_c; \\ -A, & \text{if } r < r_c; \end{cases}$$

- Simulations are performed on 1x1x1 3x3x3 5x5x5 9x9x9 clusters
- Equilibrium configurations of small clusters are determined



Aluminum clusters: electron density

Contours of electron-density in an aluminum cluster of 5x5x5 fcc unit cells



mid-plane



face



Example – Aluminum clusters

Property	OFDFT-FE	KS-LDA ^a	Experiments ^b
Lattice parameter (a.u.)	7.42	7.48	7.67
Cohesive energy (eV)	3.69	3.67	3.4
Bulk modulus (Gpa)	83.1	79.0	74.0





Perspectives

- Real-space formulation and finite-element approximation provides a viable means of computing with OFDFT
- However, it is expensive:
 9x9x9 cluster = 3730 atoms required 10,000 CPU hours!
- Have to coarse-grain away "uninteresting regions"



Some features of OFDFT

Large body limit (Catto, Le Bris and Lions, 1998)

$$\varepsilon^{3}E(\mathcal{L}\cap\frac{1}{\varepsilon}\Omega)\to E^{\#}(\mathcal{L})$$



$$\begin{pmatrix} 1 \\ -\Omega \\ \varepsilon \end{pmatrix} f$$

For
$$y \in \mathcal{C}^{\infty}(\Omega, \mathbb{R}^3)$$
,
 $\varepsilon^3 E(\frac{1}{\varepsilon}y(\varepsilon \mathcal{L} \cap \Omega)) \to \int_{\Omega} W(\nabla y) dx \qquad W(F) = E^{\#}(F\mathcal{L})$

Can approximate energy of a slowly varying deformation by a local density obtained from a periodic calculation

TFW Euler-Lagrange Equation
$$-\Delta u + V[u,b] = \lambda u$$

Consider
$$(-\Delta + V(x))u = \lambda u$$

 $(-\Delta + V^p(x) + V^{\#}(x))u^p = \lambda u^p$
Compact support

Compact support
$$\# | \leq C \exp(-\alpha | | | | |)$$

Then,
$$|u_j^p - u_j^\#| \le C \exp(-\gamma_j |x|)$$

Kohn: "Near-sightedness of electronic matter"

But, let us relax the atoms! Small displacement from perfect lattice Long-wavelength is deformation is consistent with linear elasticity

Displacements decay slowly (polynomial) away from defects



- Features:
 - Details are important close to the defect
 - Displacements suffer polynomial decay consistent with elasticity
 - Electronic fields approach periodic far from the defects



Design a numerical method that exploits this structure

Constrain atomic positions following an adaptive supra-atomic mesh (*T_{h1}*)

(Like Quasi-continuum method, Tadmor Ortiz, Phillips)

 Write electron density and electrostatic potential as a sum of two terms

$$\begin{split} u^h &= u^h_0 + u^h_c \,, \\ \phi^h &= \phi^h_0 + \phi^h_c \,, \end{split}$$

- Predictor u_0^h , ϕ_0^h Computed element by element assuming periodicity on a local subatomic mesh (T_{h2}) followed by $L^2 \rightarrow H^1$ projection
- Cluster quadrature rules for T_{h3}
- Finally, $\min_{u_c^h, R^h} \max_{\phi_c^h} L(u_0^h + u_c^h, R^h, \phi_0^h + \phi_c^h)$



• Corrector u_c^h , ϕ_c^h Computed on an adaptive mesh which is sub-atomic near defects and refines away from it (T_{h3})

QC/OFDFT – Nested meshes





QC-OFDFT has the following properties:

- adapts the level of spatial resolution to the local structure of the solution
- the coarse-graining is completely unstructured
- the coarse-graining is seamless
- OFDFT is the sole physics input to the calculations, and no spurious physics or a priori ansatz regarding the behavior of the system is introduced
- fully-resolved OFDFT and finite lattice-elasticity are obtained as extreme limits

Vacancy in Aluminum

- Test case
 - Simple defect with both electronic core and long-range
 - Formation energy is commonly used as benchmark
- TFW + LDA + Heine-Aberenkov pseudopotentials
 Dirichlet boundary conditions corresponding to bulk fields
- Sample size: 4, 32, 256, 2048, 16348, 1048576 atoms
- Million atom sample: 1500 atomic nodes and 450,000 electronic nodes
- Mesh gradation $h(r) \sim r^{6/5}$



(100) plane



(111) plane K. Bhattacharya John Ball 60th: #23



Di-vacancies in Aluminum

Electron density along (100) plane



<100> di-vacancy complex



<110> di-vacancy complex

- Experimental observations (Ehrhart et al. 1991; Hehenkamp et al. 1994)
 - Vacancies attract with 0.2 to 0.3eV binding energy
- Previous DFT computations
 - Vacancies attract along <100> with 0.005-0.05 eV binding energy
 - Vacancies repel along <110> with -0.08 binding energy



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Di-vacancies in Aluminum: Electron density

Correction to periodic electron density along (100) plane





<100> di-vacancy complex

<110> di-vacancy complex

The oscillations in electron-density are counterparts of Friedel oscillations for the TFW kinetic energy functionals

Prismatic loops





Prismatic dislocation loops formed by
condensation of vacancies in
quenched aluminumPrismatic dislocation loops formed by
condensation of vacancies in
quenched Al-05%Mg
Takamura and Greensfield,
J. Appl. Phys., **31** (1960) 516.Prismatic dislocation loops formed by
condensation of vacancies in
quenched Al-05%Mg
Takamura and Greensfield,
J. Appl. Phys., **31** (1960) 516.

- What is the nucleation mechanism?
 - Loops smaller than 50nm are difficult to observe experimentally
 - Vacancy condensation followed by collapse?

Vacancy Clusters

Clusters of 4 vacancies (each vacancy has at least two NN as vacancy)

	Structure	Positions of vacancies	Vacancy binding energy (eV)	
1	planar $\{100\}$	(0,0,0), (a/2,a/2,0), (a,0,0), (a/2,-a/2,0)	-0.52	
2	planar $\{100\}$	(0,0,0), (a/2,a/2,0), (a,0,0), (3a/2,a/2,0)	-0.50	
3	planar $\{100\}$	(0,0,0), (a/2,a/2,0), (a,0,0), (a,a,0)	-0.48	
4	planar $\{100\}$	(0,0,0), (a,0,0), (0,a,0), (a,a,0)	-0.48	
5	planar $\{110\}$	(0,0,0), (0,a/2,a/2), (a,0,0), (a,a/2,a/2)	-0.56	
6	planar $\{111\}$	(0,0,0), (0,a/2,a/2), (a/2,a/2,0), (a/2,a,a/2)	-0.55	
7	non-planar	(0,0,0), (0,a/2,a/2), (a/2,0,a/2), (a/2,a/2,0)	-0.53	
8	non-planar	(0,0,0), (a,0,0), (a/2,a/2,0), (a/2,0,a/2)	-0.51	
9	non-planar	(0,0,0), (a,0,0), (a/2,a/2,0), (0,a/2,a/2)	-0.50	

Larger clusters

- {110} plane
- 6 vacancy rectangular cluster : Binding energy = -0.81eV
 9 vacancy rectangular cluster : Binding energy = -1.16eV
- {111} plane
 7 vacancy hexagonal cluster : Binding energy = 0.88eV
- Each cluster is energetically stable against breakup into smaller clusters
 Vacancy condensation is energetically feasible
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 $E_{nv}^{bind} = E_{nv}^J - nE_v^J$

Bi-stability of 7-vacancy cluster: prismatic loop nucleation

- 7-vacancy hexagonal cluster on a {111} plane has two stable configurations
 - Uncollapsed with binding energy -0.88 eV
 - Collapsed prismatic dislocation loop with binding energy -1.55 eV



Electron density on the (100) plane Electron density on the (111) plane Prismatic dislocation loops can nucleate and be stable at extremely small sizes! John Ball 60th: #30



Recall,

$$\begin{split} E_{0} &= \min_{\psi} \langle \psi | H | \psi \rangle \\ &= \min_{\rho} \left\{ \underbrace{\min_{\psi \to \rho} \left\langle \psi \left| \frac{1}{2} \sum_{i} |\nabla_{i} \psi|^{2} + \frac{1}{2} \sum_{i,j} \frac{1}{|\mathbf{r}_{i} - \mathbf{r}_{j}|} \right| \psi \right\rangle + \int \rho(\mathbf{r}) V_{ext}(\mathbf{r}) d\mathbf{r} + E_{ZZ} \right\} \\ & F[\rho] \quad \text{Universal, independent of system!} \end{split}$$

Introduce Orbitals Let ψ be the Slater determinant of the orbitals $\psi_1(\mathbf{r}_1), \psi_2(\mathbf{r}_2), \dots \psi_N(\mathbf{r}_N)$

$$= \min_{\psi_i} \left\{ \sum_i \frac{1}{2} \int |\nabla \psi_i|^2 d\mathbf{r} + \int \int \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}' + E_{xc}[\rho] + \int \rho(\mathbf{r}) V_{ext}(\mathbf{r}) d\mathbf{r} + E_{ZZ} \right\}$$

$$= \text{Traditionally,}$$

Traditionally,

$$\Big(-\frac{1}{2}
abla^2 + V_{\text{eff}}(
ho, \mathbf{R})\Big)\psi_i = \lambda_i\psi_i$$

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 $\langle \psi_i, \psi_j \rangle = \delta_{ij}$

$$\begin{split} \min_{\psi \in X} E[\psi; \mathbf{R}] \\ E[\psi; \mathbf{R}] &= \int_{\Omega} \left(\sum_{i=1}^{N} \frac{1}{2} |\nabla \psi_i|^2 + \rho \epsilon_{xc}(\rho) \right) d\mathbf{r} + J(\rho; \mathbf{R}) \\ J(\rho; \mathbf{R}) &= -\min_{\phi \in H_0^1(\mathbb{R}^3)} \left\{ \frac{1}{2} \int_{\Omega} |\nabla \phi|^2 d\mathbf{r} - \int_{\Omega} (\rho + b(\mathbf{r})) \phi \, d\mathbf{r} \right\} \\ X &= \left\{ \psi \in H_0^1(\Omega, \mathbb{R}^N) | \langle \psi_i, \psi_j \rangle = \delta_{ij} \right\} \qquad \rho = \sum_{i=1}^{N} |\psi_i|^2 \end{split}$$

Proposition. E has a minimum in X

- X is closed in H^1_0
- E is lower-semicontinuous in the weak topology of X
- E is coercive in the weak topology of X



Theorem. Let

 T_h sequence of triangulations of R³, h -> 0 X_h restriction of X to T_h and polynomial of degree k in each triangle $E_h(\psi) = \begin{cases} \frac{1}{2} \|\nabla\psi\|_{L^2}^2 + E_{xc}(\rho) + J_h(\rho) & \text{if } \psi \in X_h, \\ +\infty & \text{otherwise} \end{cases}$ $J_{h}(\rho) = -\min_{\phi \in H^{1}} \begin{cases} I(\phi, \rho) = \frac{1}{2} \int_{\Omega} |\nabla \phi|^{2} d\mathbf{r} - \int_{\Omega} (\rho + b(\mathbf{r})) \phi \, d\mathbf{r} & \text{if } \phi \in X_{1_{h}}, \, \psi \in X_{h}, \\ +\infty & \text{otherwise}, \end{cases}$ Then, $\lim_{h \to 0} \inf_X E_h = \min_X E$ $E_h \xrightarrow{\Gamma} E$ in the weak topology of X Proof. E_h is equicoercive in the weak topology of X Theorem. \tilde{E}_h as before but with quadrature of degree n $\lim_{h \to 0} \inf_X \tilde{E}_h = \min_X E \quad \text{if } n - 2k + 3 > 0$ K. Bhattacharva John Ball 60th: #33

Simple examples

			Binding energy and bond length of N2 molecule		
Ground state Energies of atoms (a.u)			Property	KS-DET-FE	KS-LSD
Element	KS-DFT-FE	KS-LSD	Toperty	RS-DI I-IL	KS-LSD
		(NIST)			(Engel et al., 2001)
He	-2.833	-2.834	Binding energy (eV)	-11.6	-11.593
T :	7.240	7 242	Bond length (a.u.)	2.06	2.068
	-7.340	-7.343	Binding energy and bond length of CO molecule		
с	-37.460	-37.470	Property	KS-DFT-FE	KS-LSD
N	-54.125	-54.136			(Engel et al., 2001)
0	-74.518	-74.527	Binding energy (eV)	-13.03	12.967
			Bond length (a.u.)	2.08	2.128



Charge density in 2x2x2 bcc Sodium clusters







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Happy Birthday!