

### Ab-initio Calculations in Physics of Extreme States of Matter

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### Outline

- Extreme States of Matter
- Ab-initio calculations
- Quantum-statistical models
- Density functional theory
- Quantum molecular dynamics
- Quantum Monte Carlo
- Conclusions

### **Ab-initio calculations**

- Thermodynamic, transport and optical properties
- Use the following information:
  - fundamental physical constants
  - charge and mass of nucleus
  - thermodynamic state

### **Extreme States of Matter**

- Kirzhnits D.A., Phys. Usp., 1971
- Atomic system of units:

 $-m_e = \hbar = a_0 = 1$ 

• Extreme States of Matter (Kalitkin N.N.)

- 
$$P = e^2/a_0^4 = 294.2$$
 Mbar

$$- E = e^2/a_0 = 27.2 \text{ eV}$$

$$-V = a_0^3 = 0.1482 \text{ A}$$

• Hypervelocity impact, laser, electronic, ionic beams, powerful electric current etc.



### **EOS: Traditional Form**



to decrease the number of fitting parameters

### **Electronic Contribution to Thermodynamic Functions**

- Exact solution of the 3D multi-particle Schrödinger equation
- Atom in spherical cell
- Hartree-Fock method (1-electron wave functions)
- Hartree-Fock-Slater method
- Hartree method (no exchange)
- Thomas-Fermi method
- Ideal Fermi-gas





#### **Finite-Temperature Thomas-Fermi Model**

- The simplest mean atom model
- The simplest (and fully-determined) DFT model
- Correct asymptotic behavior at low T and V (ideal Fermi-gas)
  - and at high *T* and *V* (ideal Boltzmann gas)

Poisson equation

$$\Delta V = -4\pi Z \delta(r) + \frac{2}{\pi} (2\theta)^{3/2} I_{1/2} \left( \frac{V(r) + \mu}{\theta} \right)$$
  
(0 \le r < r<sub>0</sub>)  
 $rV(r)_{r=0} = Z$   $V(r_0) = 0$   $\frac{dV(r)}{dr}|_{r=r_0} = 0$ 

#### Is the TF model reliable at low T and relatively high V?

For F(T, V) - No For F(T, V) - F(0, V) - ?

Feynman R., Metropolis N., Teller E. // Phys. Rev. 1949. V.75. P.1561.



#### Thermodynamic Functions of Thomas-Fermi Model

Free energy:

$$F(V,T) = \frac{2\sqrt{2}\upsilon_{a}T^{5/2}}{\pi^{2}} \left[ I_{3/2} \left( \frac{\mu}{T} \right) - 8 \int_{0}^{1} u^{5} I_{3/2} \left( \phi \right) du + 3 \int_{0}^{1} u^{5} \phi I_{1/2} (\phi) du \right]$$

 $\varphi$  - dimensionless atomic potential,  $\phi = \varphi / (u^2 T)$ ,  $v_a$  – cell volume,  $u = (r / r_0)^{1/2}$ 

Expressions for  $1^{st}$  derivatives of *F* (*P* and *S*) are known.

#### Second derivatives of free energy

$$\begin{split} P_{V}^{'} &= -F_{VV}^{''} = \frac{\left(2\theta\right)^{3/2}}{2\pi^{2}} I_{1/2}\left(\frac{\mu}{T}\right) \left(\frac{\mu}{V}\right)_{N,T} \\ P_{T}^{'} &= -F_{VT}^{''} = \frac{\left(2\theta\right)^{3/2}}{2\pi^{2}} \left[ I_{1/2}\left(\frac{\mu}{T}\right) \left(\frac{\mu}{T}\right)_{N,V} + \frac{5}{3} I_{3/2}\left(\frac{\mu}{T}\right) - \frac{\mu}{T} I_{1/2}\left(\frac{\mu}{T}\right) \right] \\ S_{T}^{'} &= -F_{TT}^{''} = \frac{3\sqrt{2}\nu_{a}}{\pi^{2}T^{3/2}} \int_{0}^{1} \left[ 5T^{2}u^{5}I_{3/2}\left(\phi\right) + 3u^{3}\left(\frac{\varphi_{T}}{T}T^{2} - 2\varphi T\right) I_{1/2}\left(\phi\right) - u\varphi\left(\frac{\varphi_{T}}{T}T - \varphi\right) I_{-1/2}\left(\phi\right) \right] du \end{split}$$

Shemyakin O.P. et al., JPA 43, 335003 (2010)

#### Second Derivatives of the Thomas-Fermi Model

The number of particles and potential are the functions of the grand canonical ensemble variables, which are in turn depend on the variables of the canonical ensemble:

$$N = N[\mu(N,V,T), \upsilon(N,V,T), T(N,V,T)]$$
$$\varphi = \varphi[\mu(N,V,T), \upsilon(N,V,T), T(N,V,T)]$$

From the expressions for  $(N'_{T})_{N,\upsilon'} (\varphi'_{T})_{N,\upsilon} \bowtie (N'_{\upsilon})_{T,N}$  one can obtain:

$$\left( \frac{\partial \mu}{\partial T} \right)_{V,N} = -\frac{\left( \frac{\partial N}{\partial T} \right)_{v,\mu}}{\left( \frac{\partial \mu}{\partial V} \right)_{v,T}}$$

$$\left( \frac{\partial \mu}{\partial V} \right)_{N,T} = -\frac{\left( \frac{\partial N}{\partial v} \right)_{\mu,T}}{\left( \frac{\partial N}{\partial \mu} \right)_{v,T}}$$

$$\left( \frac{\partial \varphi}{\partial T} \right)_{N,v} = \left( \frac{\partial \varphi}{\partial T} \right)_{\mu,v} - \frac{\left( \frac{\partial N}{\partial T} \right)_{\mu,v}}{\left( \frac{\partial N}{\partial \mu} \right)_{v,T}} \left( \frac{\partial \varphi}{\partial \mu} \right)_{v,T}$$

We need 6 derivatives in the grand canonical ensemble

 $(\varphi_{\nu})_{\mu,T}$   $(\varphi_{T})_{\mu,\nu}$   $(\varphi_{\mu})_{T,\nu}$ 

 $\left(N_{T}^{'}\right)_{\nu,\mu} \qquad \left(N_{\mu}^{'}\right)_{T,\nu} \qquad \left(N_{\nu}^{'}\right)_{T,\mu}$ 

Shemyakin O.P. et al., JPA 43, 335003 (2010)

#### TF Potential and its Derivatives on $\mu$ , $\upsilon$ and T

Poisson equation  

$$\begin{cases}
W = \varphi - u^{2}\mu; \\
W'_{u} = 2uV; \\
V'_{u} = 2au^{3}T^{3/2}I_{1/2}\left(\frac{W + u^{2}\mu}{Tu^{2}}\right); \\
W |_{u=0} = Z/r_{0}, W |_{u=1} = W'_{u} |_{u=1} = 0.
\end{cases}$$

Derivative of the Poisson equation on 
$$v$$
:  

$$\begin{cases}
L = (\varphi_{v})_{\mu,T}; \\
L_{u} = 2uM; \\
M_{u}' = \frac{4au^{3}T^{3/2}}{3v}I_{1/2}(\phi) + auT^{1/2}I_{-1/2}(\phi)L; \\
L_{u=1} = L_{u}|_{u=1} = 0. \quad \swarrow \\
(N_{v})_{\mu,T}
\end{cases}$$

Derivative on  $\mu$ :

)))

$$\begin{cases} \Phi = (\varphi'_{\mu})_{\nu,T} - U^{2}; \\ \Phi'_{u} = a u T^{1/2} (\Phi + u^{2}) I_{-1/2} (\phi); \\ \Psi'_{u} = a u T^{1/2} (\Phi + u^{2}) I_{-1/2} (\phi); \\ \Phi |_{u=1} = F'_{u} |_{u=1} = 0. \end{cases}$$

$$(N'_{\mu})_{\nu,T}$$

### Adiabatic Sound Velocity by Thomas-Fermi Model





- Thomas-Fermi method is quasiclassical; if one calculates energy levels in  $V_{TF}(r)$  using the Shrödinger equation and then electron density  $\rho_{quant}(r)$ , it will differ from the original TF electron density  $\rho(r)$
- Mean ion charge is roughly determined
- The solution is to make  $\rho(r)$  self-consistent and use the corrected potential and electron density

### HARTREE-FOCK-SLATER MODEL

Nikiforov A.F., Novikov V.G., Uvarov V.B. Quantum-statistical models of hightemperature plasma. M.: Fizmatlit, 2000.

Atom with mean populations

$$N_{nl} = \frac{2(2l+1)}{1 + \exp(\varepsilon_{nl} - \mu/\theta)}$$

Potential:

 $V(r) = V_c(r) + V_{ex}(r)$ 

Poisson equation solution:

$$V_{c}(r) = \frac{Z}{r} - 4\pi \left[ \frac{1}{r} \int_{0}^{r} r'^{2} \rho(r') dr' + \int_{r}^{r_{0}} r' \rho(r') dr' \right]$$

Exchange potential:

$$V_{ex}(r) = \frac{\pi r(r)}{\theta} \left[ 1 + 5.7 \frac{\rho(r)}{\theta^{3/2}} + \frac{\pi^4}{3} \frac{\rho^2(r)}{\theta^3} \right]^{-1/3}$$

Iterative procedure for determination of  $\rho(r)$ ,  $\varepsilon_{nl}$  and V(r)

From the Schrödinger equation

 $\varepsilon_{nl}$  – energy levels in V(r)



### RADIAL ELECTRON DENSITY $r^2\rho(r)$ BY HARTREE-FOCK-SLATER MODEL





# **MEAN ION CHARGE (HFS)**

 $\rho$  = const



### **Density Functional Theory**

• Thomas-Fermi theory is the density functional theory:

kinetic energy external potential  

$$E_{TF}[n] = C_1 \int d^3 r n(\mathbf{r})^{5/3} + \int d^3 r V_{ext}(\mathbf{r}) n(\mathbf{r}) + C_2 \int d^3 r n(\mathbf{r})^{4/3} + \frac{1}{2} d^3 r d^3 r' \frac{n(\mathbf{r}) n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|}$$
exchange energy Hartree energy

• Is it a general property?

### **Density Functional Theory**

For systems with Hamiltonian

$$\hat{H} = -\frac{1}{2} \sum_{i} \nabla_{i}^{2} + \sum_{i} V_{\text{ext}} \left( \mathbf{r}_{i} \right) + \frac{1}{2} \sum_{i \neq j} \frac{e^{2}}{\left| \mathbf{r}_{i} - \mathbf{r}_{j} \right|}$$

the following theorems are valid:

**Theorem 1.** For any system of interacting particles in an external potential  $V_{ext}(\mathbf{r})$  the potential  $V_{ext}(\mathbf{r})$  is determined uniquely, except for a constant, by the ground state particle density  $n_0(\mathbf{r})$ .

Therefore, all properties are completely determined given only the ground state density  $n_0(\mathbf{r})$ .

**Theorem 2.** A universal functional for the energy E[n] in terms of the density  $n(\mathbf{r})$  can be defined, valid for any external potential  $V_{ext}(\mathbf{r})$ . For any particular  $V_{ext}(\mathbf{r})$ , the exact ground state energy of the system is the global minimum value of this functional, and the density  $n(\mathbf{r})$  that minimizes the functional is the exact ground state density  $n_0(\mathbf{r})$ .

Hohenberg, Kohn, 1964

### **Kohn-Sham Functional**

The system of interacting particles is replaced by the system of non-interacting particles:

$$E_{KS}[n] = T_{s}[n] + \int d\mathbf{r} V_{ext}(\mathbf{r}) n(\mathbf{r}) + E_{Hartree}[n] + E_{II} + E_{XC}[n]$$
  
kinetic energy ion-ion exchange-  
interaction functional

All many-body effects of exchange and correlation are included into  $E_{XC}[n]$ 

$$E_{XC}[n] = \left\langle \hat{T} \right\rangle - T_s[n] + \left\langle \hat{V}_{int} \right\rangle - E_{Hartree}[n]$$
  
true system  
non-interacting system

Kohn, Sham, 1965

### **Minimization in HFS and DFT**

- In Hartree-Fock(-Slater) method we find  $\min_{\Psi_i(\mathbf{r})} \Omega[\Psi_i(\mathbf{r})]$
- In DFT we find

$$\min_{n(\mathbf{r})} \Omega[n(\mathbf{r})]$$



- Diminish the number of plane waves necessary for the good representation of inner electrons wave functions
- Part of electrons are considered as a core, part as valent
- Pseudopotential is constructed at T = 0 and doesn't depend on pressure and temperature

Pseudopotential approach



Full-potential approach muffin-tin orbitals for all electrons



# APPROXIMATIONS IN PSEUDOPOTENTIAL APPROACH

Pseudopotential describes electrons with energies less than the Fermi energy – errors at relatively high temperatures



Spatial distribution of core electrons in a pseudopotential is unchanged – errors at relatively high pressures







#### Density Functional Theory: All-Electron and Pseudopotential Approaches

Full-potential approach: all electrons are taken into account (FP-LMTO)

- (S. Yu. Savrasov, PRB 54 16470 (1996),
- G. V. Sin'ko, N. A. Smirnov, PRB 74 134113 (2006)
  - At T > 0: occupancies are  $f(\varepsilon, \rho, T) = 1/\{1 + \exp[(\varepsilon \mu(\rho, T))/T]\}$

<u>Pseudopotential approach</u>: the core is replaced by a pseudopotential, the Kohn-Sham equations are solved only for valent electrons (VASP)

G. Kresse and J. Hafner, Phys. Rev. B **47**, 558 (1993); **49**, 14251 (1994). G. Kresse and J. Furthmuller, Phys. Rev. B **54**, 11169 (1996).





Calculations were made in the unit cell at fixed ions and heated electrons

### **Aluminum. Cold Curve**



### **Potassium. Cold Curve**





Why can we use DFT for thermodynamic properties of electrons?



- Cold ions, hot electrons
- Heat capacity is very close for fcc and bcc structures of W
- It should be close to unordered phase at the same density



### Tungsten, $T_i = 0$ , $V = V_0$ . Electron Heat Capacity





#### Electron Heat Capacity for W at T = 11eV. Return of Free Electrons into 4*f*-state under Compression



Electrons return to 4f state under compression



### Tungsten, $T_i = 0$ , $V = V_0$ . Thermal Pressure



- Pressure is determined by free electrons only
- Interaction of electrons should be taken into account

Levashov P.R. et al., JPCM 22 (2010) 505501

### **Thermal contribution of ions**

Ab-initio molecular dynamics (AIMD) simulations

$$F(V,T) = F_{c}(V) + F_{i}(V,T) + F_{e}(V,T)$$

$$F_{AIMD}(V,T) - F_{e}(V,T) - F_{c}(V) + F_{ions,kin}(V,T)$$
From AIMD From AIMD From DFT Analytic expression

But it's better to use AIMD to calibrate the EOS by changing fitting parameters

Desjarlais M., Mattson T.R., Bonev S.A., Galli G., Militzer B., Holst B., Redmer R., Renaudin P., Clerouin J. and many others use AIMD to compute EOS for many substances

# **Details of the AIMD simulations**

- We use VASP (Vienna Ab Initio Simulation Package) package for performing ab-initio quantum-mechanical molecular dynamics (MD) using pseudopotentials and a plane wave basis set.
- Generalized Gradient Approximation (**GGA**) for Exchange and Correlation functional
- Ultrasoft Vanderbilt pseudopotentials (US-PP)
- One point (**F-point**) in the Brillouin zone
- The QMD simulations were performed for 108 atoms of Al
- The dynamics of Al atoms was simulated within 1 ps with 2 fs time step
- The electron temperature was equal to the temperature of ions through the Fermi–Dirac distribution
- 0.1 <  $\rho$  /  $\rho_0$  < 3, T < 75000 K



G. Kresse and J. Hafner, Phys. Rev. B **47**, 558 (1993); **49**, 14251 (1994). G. Kresse and J. Furthmuller, Phys. Rev. B **54**, 11169 (1996).

# **Shock Hugoniots of Al**

JIHT

RAS

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### **Release isentropes of Al: reconstruction**

- Zel'dovich method (Zel'dovich, 1957):
- Global isentrope reconstruction:
   interpolate P(T, V) and E(T, V) on the
   mesh of isotherms and isochors
  - Integration with any step on V
  - Isentrope can be improved by mesh refinement











### **Release Isentropes of Al**

correspond to the experiments from M. V. Zhernokletov et al. // Teplofiz. Vys. Temp. 33(1), 40-43 (1995) [in Russian]





### **Release Isentropes of Al**



# Sound Velocity in Shocked Al





# Quasi-Isentropic Compression of Deuterium by AIMD



Quantum vibrations of atoms in D<sub>2</sub> molecules should be taken into account





108 atoms; US pseudopotential; 9x9x9 k-points in the Brillouin zone; cut-off energy 100 eV;  $\delta$ -function broadening 0.1 eV

Drude-like dependencies of dielectric function

Experiment: Krishnan S. and Nordine P.C. PRB 47, 11780 (1993)

### Beyond DFT and Mean Atom: Path Integral Monte Carlo

#### **PATH INTEGRAL MONTE-CARLO METHOD**

for degenerate hydrogen plasma (V. M. Zamalin, G. E. Norman, V. S. Filinov, 1973-1977)

- Binary mixture of  $N_e$  quantum electrons,  $N_i$  classical protons
- Partition function:

$$Z(N_{e}, N_{i}, V, \beta) = Q(N_{e}, N_{i}, \beta) / N_{e}!N_{i}!$$
$$Q(N_{e}, N_{i}, \beta) = \sum_{\sigma} \int_{V} dq dr \rho(q, r, \sigma; \beta) / N_{e}!N_{i}!$$

• Density matrix:

$$\rho = \exp\left(-\beta H\right) = \exp\left(-\Delta\beta H\right) \times \dots \times \exp\left(-\Delta\beta H\right)$$

$$\beta = 1/kT \qquad \Delta\beta = \beta/(n+1)$$

#### **PATH INTEGRAL MONTE-CARLO METHOD**



#### PATH INTEGRAL MONTE-CARLO METHOD

Path integral representation of density matrix:

$$\rho(q,r,\sigma;\beta) = \int dR^{(1)} \dots dR^{(n)} \rho^{(1)} \dots \rho^{(n)} \sum_{p} (-1)^{k_p} S(\sigma, \hat{P}\sigma') \hat{P} \rho^{(n+1)}$$

$$R^{(i)} = (q^{(i)}, r^{(i)}) \qquad \rho^{(i)} = \langle R^{(i-1)} | e^{-\Delta \beta \hat{H}} | R^{(i)} \rangle \qquad \substack{\text{spin} \\ \text{matrix}} \qquad permutation \\ \hat{H} = \hat{K} + \hat{U}_c, \quad \hat{U}_c = \hat{U}_c^p + \hat{U}_c^e + \hat{U}_c^{ep}$$

$$\sum_{\sigma} \rho(q,r,\sigma;\beta) = \left(\prod_{l=1}^n e^{-\Delta \beta \hat{U}_l(\Delta \beta)} \prod_{p=1}^{N_e} \phi_{pp}^l\right) \sum_{s=0}^{N_e} C_{N_e}^s \det |\psi_{ab}^{n,1}|_s$$

$$U_l^p(\Delta \beta) + U_l^e(\Delta \beta) + U_l^{ep}(\Delta \beta) \qquad \substack{\text{kinetic part} \\ \text{of density} \\ \text{matrix}}} \qquad exchange effects}$$

#### **KELBG PSEUDOPOTENTIAL**

First order perturbation theory solution of two-particle Bloch equation for density matrix in the limit of weak coupling

$$\Phi^{ab}(\mathbf{r}_{ab},\mathbf{r}_{ab},\Delta\beta) = e_a e_b \int_{0}^{1} \frac{d\alpha}{d_{ab}(\alpha)} \operatorname{erf}\left(\frac{d_{ab}(\alpha)}{2\lambda_{ab}\sqrt{\alpha(1-\alpha)}}\right)$$
$$d_{ab}(\alpha) = \left|\alpha\mathbf{r}_{ab} + (1-\alpha)\mathbf{r}_{ab}'\right| \qquad \lambda_{ab} = \hbar^2 \beta/2\mu_{ab}$$
$$\mu_{ab}^{-1} = m_a^{-1} + m_b^{-1}$$

Diagonal Kelbg potential:

$$\begin{aligned}
\Phi^{ab}(\mathbf{r}_{ab},\Delta\beta) &= \frac{e_a e_b}{\lambda_{ab} X_{ab}} \left\{ 1 - e^{-x_{ab}^2} + \sqrt{\pi} X_{ab} \left[ 1 - erf(x_{ab}) \right] \right\} \\
|\mathbf{r}_{ab}| \to 0 \\
\frac{|\mathbf{r}_{ab}| \to \lambda_{ab}}{\sqrt{\pi} e_a e_b} \\
\frac{\sqrt{\pi} e_a e_b}{\lambda_{ab}} \\
\frac{e_a e_b}{|r_{ab}|} \\
\text{Ebeling et al., Contr. Plasma Phys., 1967}
\end{aligned}$$

#### **ACCURACY OF DIRECT PIMC**

High-temperature pseudopotential

#### **TREATMENT OF EXCHANGE EFFECTS**



Inside main cell – exchange matrix

Outside main cell – by perturbation theory

Accuracy control – comparison with ideal degenerate gas

$$n_e \lambda_e^3 \sim 300$$

Filinov V.S. // J. Phys. A: Math. Gen. **34**, 1665 (2001) Filinov V.S. et al. // J. Phys. A: Math. Gen. **36**, 6069 (2003)

### HYDROGEN, PIMC-SIMULATION, $n = 10^{21}$ cm<sup>-3</sup>

 $N_e = N_i = 56, n = 20$ 



T = 50 kK  $\rho = 1.67 \cdot 10^{-3} \text{ g/cm}^3$   $\Gamma = 0.54$  $n\lambda^3 = 3.7 \cdot 10^{-2}$  *T* = 10 kK *Γ* = 2.7  $n\lambda^3 = 0.41$ 



#### HYDROGEN, PIMC-SIMULATION AND CHEMICAL PICTURE, $n_e = 10^{20}$ , $10^{21}$ cm<sup>-3</sup>







D. Saumon, G. Chabrier, H.M. Van Horn, Astrophys. J. Suppl.Ser. 1995. V.99. P.713

#### **DEUTERIUM SHOCK HUGONIOTS**



### **HYDROGEN, PIMC-SIMULATION, T = 10000 \text{ K}**

 $N_e = N_i = 56, n = 20$ 



 $n = 3 \cdot 10^{22} \text{ cm}^{-3}$   $\rho = 0.05 \text{ g/cm}^{3}$   $\Gamma = 8.4$  $n\lambda^{3} = 12.4$   $n = 10^{23} \text{ cm}^{-3}$   $\rho = 0.167 \text{ g/cm}^{3}$   $\Gamma = 12.5$  $n\lambda^{3} = 41$ 





#### **TYPICAL CONFIGURATION OF PARTICLES**

H + He mixture,  $T = 10^5$  K,  $n_e = 10^{23}$  cm<sup>-3</sup>

$$m_{\rm He}/(m_{\rm He} + m_{\rm H}) = 0.988$$

40  $\alpha$ -particles, 2 protons, 82 electrons



**ENERGY IN H + He MIXTURE ON ISOTHERMS** 



crystal,  $m_h$ (eff) = 800,  $m_e$ (eff) = 1



still crystal,  $m_h(eff) = 100$ ,  $m_e(eff) = 1$ 



liquid,  $m_h(eff) = 25$ ,  $m_e(eff) = 1$ 



unordered plasma,  $m_h(eff) = 1$ ,  $m_e(eff) = 1$ 



#### PAIR DISTRIBUTION FUNCTIONS. QUANTUM MELTING

 $< r > / a_B = 0.63$ 

 $T = 0.064E_{b}$ 

 $M = m_h / m_e$ 



#### **HOLE-HOLE DISTANCE FLUCTUATIONS**



#### **ELECTRON DENSITY DISTRIBUTION**

#### **IN COULOMB CRYSTAL**

 $m_h = 800$   $\varepsilon = 25$   $m_e = 2.1$   $T/E_b = 0.002$  $< r > /a_B = 3$ 



top view

#### side view

### Conclusions

- Ab initio methods are useful for calculation of different properties of matter at high energy density
- The main goal of ab initio methods is to replace experiment; in some cases it's already possible
- Currently, however, semiempirical approaches are main workhorses; ab initio methods are used for calibration of such models