First-principles Molecular **Dynamics Simulations**

François Gygi

University of California, Davis

fgygi@ucdavis.edu

http://eslab.ucdavis.edu

http://www.quantum-simulation.org



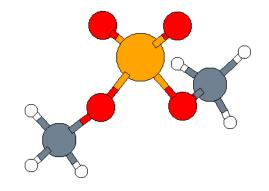
MICCoM Workshop and Tutorial, Jul 17-19, 2022

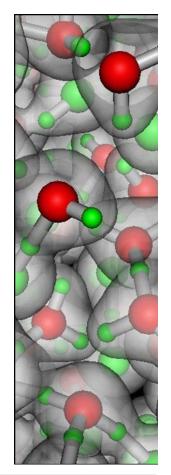




Outline

- Molecular dynamics simulations
- Electronic structure calculations
- First-Principles Molecular Dynamics (FPMD)
- Applications



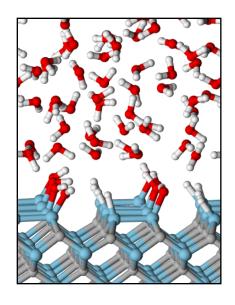






Molecular Dynamics

- An atomic-scale simulation method
 - Compute the trajectories of all atoms
 - extract statistical information from the trajectories



Atoms move according to Newton's law:

$$m_i \ddot{\mathbf{R}}_i = \mathbf{F}_i$$





Molecular dynamics: general principles

• Integrate Newton's equations of motion for ${\cal N}$ atoms

$$m_i \ddot{\mathbf{R}}_i(t) = \mathbf{F}_i(\mathbf{R}_1, ..., \mathbf{R}_N)$$
 $i = 1, ..., N$
 $\mathbf{F}_i(\mathbf{R}_1, ..., \mathbf{R}_N) = -\nabla_i E(\mathbf{R}_1, ..., \mathbf{R}_N)$

 Compute statistical averages from time averages (ergodicity hypothesis)

$$\langle A \rangle = \int_{\Omega} dr^{3N} dp^{3N} A(\mathbf{r}, \mathbf{p}) e^{-\beta H(\mathbf{r}, \mathbf{p})} \cong \frac{1}{T} \int_{0}^{T} A(t) dt$$

• Examples of A(t): potential energy, pressure, ...





Simple energy model

Model of the hydrogen molecule (H₂): harmonic oscillator

$$E(\mathbf{R}_1, \mathbf{R}_2) = E(|\mathbf{R}_1 - \mathbf{R}_2|)$$
$$= \alpha(|\mathbf{R}_1 - \mathbf{R}_2| - d_0)^2$$

This model does not describe intermolecular interactions





Simple energy model

 Model of the hydrogen molecule including both intra- and intermolecular interactions:

$$E(\mathbf{R}_{1},...,\mathbf{R}_{N}) = \sum_{\{i,j\}\in M} E_{\text{intra}}(\left|\mathbf{R}_{i} - \mathbf{R}_{j}\right|) + \sum_{\substack{i\in M\\j\in M'}} E_{\text{inter}}(\left|\mathbf{R}_{i} - \mathbf{R}_{j}\right|)$$

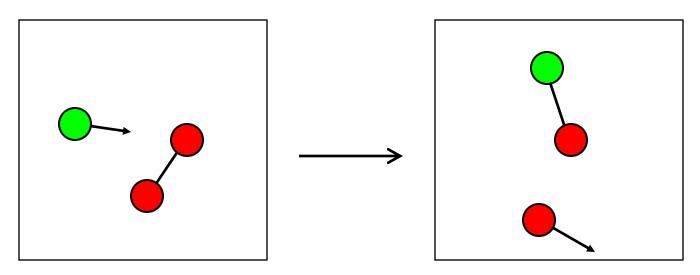
 This model does not describe adequately changes in chemical bonding





Simple energy model

Description of the reaction H₂+H→ H + H₂

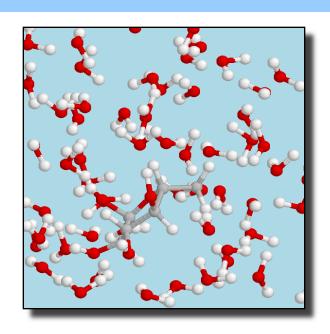


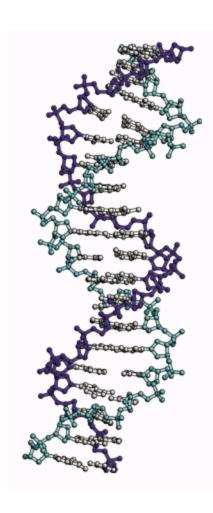
• The model fails!

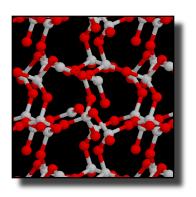


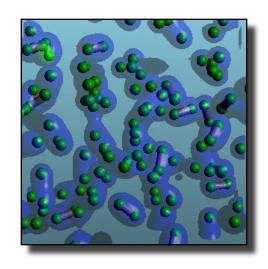


What is a good energy model?





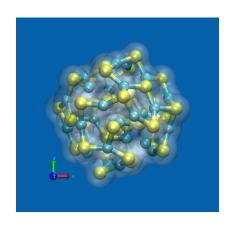


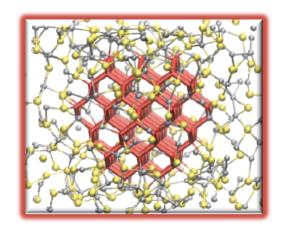


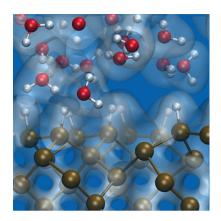


Atomistic simulation of complex structures

- Complex structures
 - Nanoparticles
 - Assemblies of nanoparticles
 - Embedded nanoparticles
 - Liquid/solid interfaces





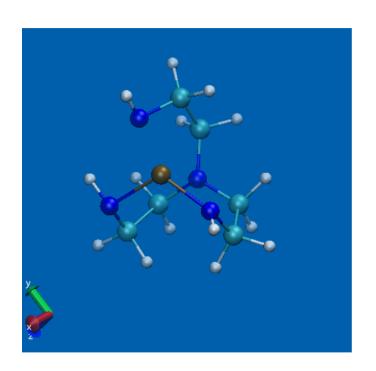


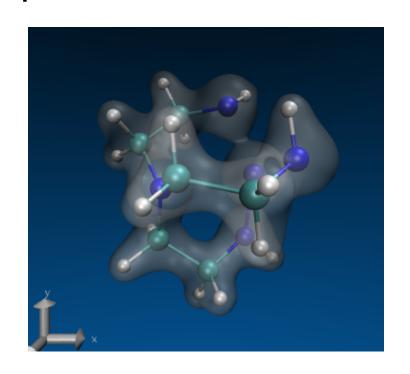




The energy is determined by quantum mechanical properties

• <u>First-Principles Molecular Dynamics:</u> Derive interatomic forces from quantum mechanics

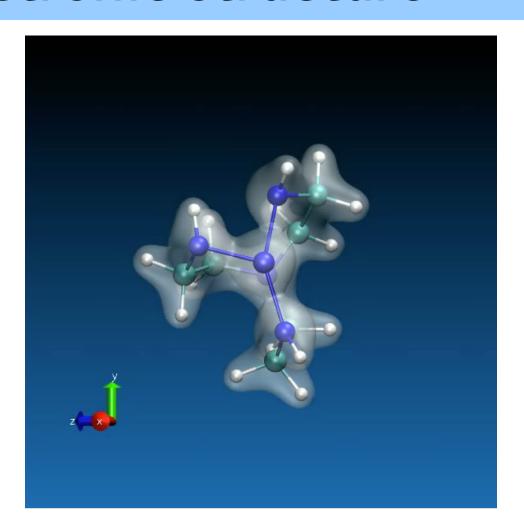








FPMD = Molecular dynamics + Electronic structure

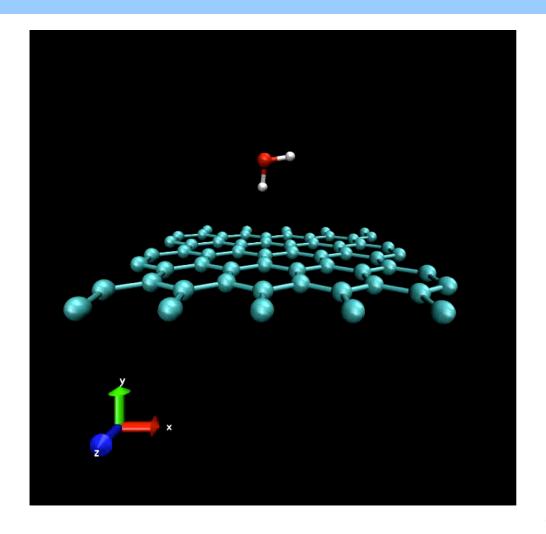


Ni-tris(2-aminoethylamine)





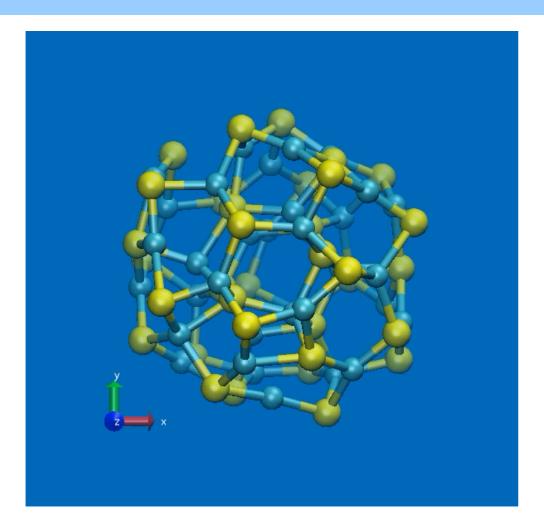
H₂O + graphene







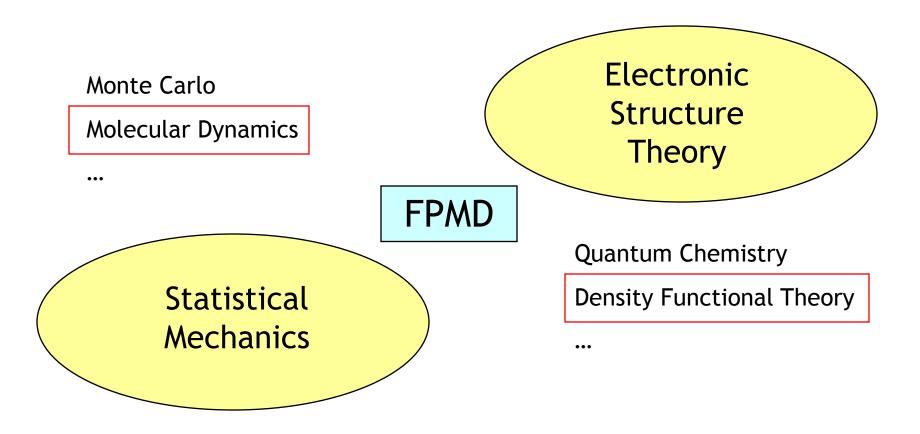
$Cd_{34}Se_{34}$







First-Principles Molecular Dynamics







Electronic structure calculations

- Problem: determine the electronic properties of an assembly of atoms using the laws of quantum mechanics.
- Solution: solve the Schrödinger equation!





The Schrödinger equation for *N* electrons

• A partial differential equation for the wave function ψ :

$$\mathbf{r}_{i} \in R^{3}, \qquad \psi \in L^{2}(R^{3N})$$

$$i\hbar \frac{\partial}{\partial t} \psi(\mathbf{r}_{1}, \dots, \mathbf{r}_{N}, t) = H(\mathbf{r}_{1}, \dots, \mathbf{r}_{N}, t) \psi(\mathbf{r}_{1}, \dots, \mathbf{r}_{N}, t)$$

• *H* is the Hamiltonian operator:

$$H(\mathbf{r}_1,\ldots,\mathbf{r}_N,t) = -\frac{\hbar^2}{2m} \sum_i \nabla_i^2 + V(\mathbf{r}_1,\ldots,\mathbf{r}_N,t)$$





The time-independent Schrödinger equation

If the Hamiltonian is time-independent, we have

$$\psi(\mathbf{r}_1,...,\mathbf{r}_N,t) = \psi(\mathbf{r}_1,...,\mathbf{r}_N) e^{iEt/\hbar}$$

• where $\psi(r)$ is the solution of the *time-independent* Schrödinger equation:

$$H(\mathbf{r}_1,...,\mathbf{r}_N)\psi(\mathbf{r}_1,...,\mathbf{r}_N) = E\psi(\mathbf{r}_1,...,\mathbf{r}_N)$$
energy





Solving the Schrödinger equation

 The time-independent Schrödinger equation can have many solutions:

$$H(\mathbf{r}_1,...,\mathbf{r}_N)\psi_n(\mathbf{r}_1,...,\mathbf{r}_N) = E_n \psi_n(\mathbf{r}_1,...,\mathbf{r}_N)$$
 $n = 0,1,2...$

- The ground state wave function ψ_0 describes the state of lowest energy E_0
- *Excited states* are described by ψ_1 , ψ_2 ,.. and have energies $E_1, E_2,... > E_0$





Hamiltonian operator for *N* electrons and *M* nuclei

- Approximation: treat nuclei as classical particles
- Nuclei are located at positions R_i , electrons at r_i $H(\mathbf{r}_1,...,\mathbf{r}_N,\mathbf{R}_1,...,\mathbf{R}_M) =$

$$-\frac{\hbar^{2}}{2m_{e}}\sum_{i=1}^{N}\nabla_{i}^{2}-\sum_{i=1}^{N}\sum_{j=1}^{M}\frac{Z_{j}e^{2}}{|\mathbf{r}_{i}-\mathbf{R}_{j}|}+\sum_{i< j}^{N}\frac{e^{2}}{|\mathbf{r}_{i}-\mathbf{r}_{j}|}$$

$$+\sum_{i< j}^{M} \frac{Z_i Z_j e^2}{\left|\mathbf{R}_i - \mathbf{R}_j\right|} + \frac{1}{2} \sum_{i=1}^{M} M_i \dot{\mathbf{R}}_i^2$$





The adiabatic approximation

 The Hamiltonian describing an assembly of atoms is time-dependent because atoms move:

$$H(\mathbf{r},t) = -\frac{\hbar^2}{2m} \sum_{i} \nabla_{i}^{2} + V(\mathbf{r},t)$$

$$V(\mathbf{r},t) = \sum_{j} V_{\text{ion}}(r - R_{j}(t)) + V_{\text{e-e}}(\mathbf{r})$$
time-dependence
through ionic positions





The adiabatic approximation

 If ions move sufficiently slowly, we can assume that electrons remain in the electronic ground state at all times

$$\psi(\mathbf{r},t)=\psi_0(\mathbf{r})$$

$$H(\mathbf{r},\{R_i(t)\})\psi_0(\mathbf{r})=E_0\psi_0(\mathbf{r})$$
 Ground state energy Ground state wave function





Mean-field approximation

• The problem of solving the *N*-electron Schrödinger equation is formidable (*N*! complexity).

$$H(\mathbf{r}_1,...,\mathbf{r}_N)\psi_n(\mathbf{r}_1,...,\mathbf{r}_N) = E_n \psi_n(\mathbf{r}_1,...,\mathbf{r}_N)$$

- Wave functions must be antisymmetric (Pauli principle)

- Assuming that electrons are <u>independent</u> (i.e. feel the same potential) reduces this complexity dramatically.
 - The potential is approximated by an average effective potential





Independent particles, solutions are Slater determinants

• A *Slater determinant* is a simple form of antisymmetric wave function :

$$\psi(\mathbf{r}_1,...,\mathbf{r}_N) = \det{\{\varphi_i(\mathbf{r}_i)\}}$$

• The one-particle wave functions φ_i satisfy the one-particle Schrödinger equation:

$$h(\mathbf{r})\varphi_i(\mathbf{r}) = \varepsilon_i \varphi_i(\mathbf{r})$$

$$h(\mathbf{r}) = -\frac{\hbar^2}{2m} \nabla^2 + V_{\text{eff}}(\mathbf{r})$$

Note: effective potential





Electron-electron interaction

$$H(\mathbf{r}_{1},...,\mathbf{r}_{N},\mathbf{R}_{1},...,\mathbf{R}_{M}) =$$

$$-\frac{\hbar^{2}}{2m_{e}}\sum_{i=1}^{N}\nabla_{i}^{2} - \sum_{i=1}^{N}\sum_{j=1}^{M}\frac{Z_{j}e^{2}}{|\mathbf{r}_{i} - \mathbf{R}_{j}|} + \sum_{i < j}^{N}\frac{e^{2}}{|\mathbf{r}_{i} - \mathbf{r}_{j}|}$$

$$+\sum_{i < j}^{M}\frac{Z_{i}Z_{j}e^{2}}{|\mathbf{R}_{i} - \mathbf{R}_{j}|} + \frac{1}{2}\sum_{i=1}^{M}M_{i}\dot{\mathbf{R}}_{i}^{2}$$





Density Functional Theory

- Introduced by Hohenberg & Kohn (1964)
- Chemistry Nobel prize to W.Kohn (1999)
- The electronic density is the fundamental quantity from which all electronic properties can be derived $E = E[\rho]$

$$E[\rho] = T[\rho] + \int V(\mathbf{r})\rho(\mathbf{r})d\mathbf{r} + E_{xc}[\rho]$$

• Problem: the functional $E[\rho]$ is unknown!





The Local Density Approximation

Kohn & Sham (1965)

$$E[\rho] = T[\rho] + \int V(\mathbf{r})\rho(\mathbf{r})d\mathbf{r} + E_{xc}[\rho]$$

- Approximations:
 - The kinetic energy is that of a non-interacting electron gas of same density
 - The exchange-correlation energy density depends locally on the electronic density

$$E_{xc} = E_{xc} [\rho(\mathbf{r})] = \int \varepsilon_{xc} (\rho(\mathbf{r})) \rho(\mathbf{r}) d\mathbf{r}$$





The Local Density Approximation

$$V_{\text{e-e}} = \int \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + V_{\text{XC}}(\rho(\mathbf{r}))$$

- The mean-field approximation is sometimes not accurate, in particular for
 - strongly correlated electrons
 - excited state properties





The Kohn-Sham equations

Coupled, non-linear, integro-differential equations:

$$\begin{cases} -\Delta \phi_{i} + V(\rho, \mathbf{r})\phi_{i} = \varepsilon_{i}\phi_{i} & i = 1...N_{el} \\ V(\rho, \mathbf{r}) = V_{ion}(\mathbf{r}) + \int \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + V_{XC}(\rho(\mathbf{r}), \nabla \rho(\mathbf{r})) \\ \rho(\mathbf{r}) = \sum_{i=1}^{N_{el}} |\phi_{i}(\mathbf{r})|^{2} \\ \int \phi_{i}^{*}(\mathbf{r})\phi_{j}(\mathbf{r}) d\mathbf{r} = \delta_{ij} \end{cases}$$





Numerical methods

 Basis sets: solutions are expanded on a basis of N orthogonal functions

$$\phi_i(\mathbf{r}) = \sum_{j=1}^{N} c_{ij} \varphi_j(\mathbf{r})$$

$$\int_{\Omega} \varphi_j^*(\mathbf{r}) \varphi_k(\mathbf{r}) = \delta_{jk} \quad \Omega \subset \mathbb{R}^3$$

 The solution of the Schrödinger equation reduces to a linear algebra problem





Numerical methods: choice of basis

Gaussian basis (non-orthogonal)

$$\varphi_i(\mathbf{r}) = e^{-\alpha_i |\mathbf{r} - \mathbf{R}|^2}$$

• Plane wave basis (orthogonal)

$$\varphi_{\mathbf{q}}(\mathbf{r}) = e^{i\mathbf{q}\cdot\mathbf{R}}$$

- Other representations of solutions:
 - values on a grid
 - finite element basis





Numerical methods: choice of basis

Hamiltonian matrix:

$$H_{ij} = \langle \varphi_i | H | \varphi_j \rangle = \int_{\Omega} \varphi_i^*(\mathbf{r}) H \varphi_j(\mathbf{r}) d^3 \mathbf{r}$$

Algebraic eigenvalue problem

$$\mathbf{Hc}_n = \varepsilon_n \mathbf{c}_n \qquad \mathbf{c}_n \in \mathbb{C}^N$$





Numerical methods: choice of basis

Non-orthogonal basis sets lead to generalized eigenvalue problems

$$S_{ij} = \left\langle \phi_i \middle| \phi_j \right\rangle = \int_{\Omega} \phi_i^*(\mathbf{r}) \, \phi_j(\mathbf{r}) \, d^3 \mathbf{r} \neq \delta_{ij}$$

$$\mathbf{Hc}_n = \varepsilon_n \mathbf{Sc}_n \qquad \mathbf{c}_n \in \mathbb{C}^N$$





Solving large eigenvalue problems

- The size of the matrix H often exceeds 10³-10⁴
- Direct diagonalization methods cannot be used
- Iterative methods:
 - Lanczos type methods
 - subspace iteration methods, Chebyshev filtering
- Many algorithms focus on one (or a few) eigenpairs
- Electronic structure calculations involve many eigenpairs (~ # of electrons)
- Robust methods are necessary



Solving the Kohn-Sham equations: fixed-point iterations

The Hamiltonian depends on the electronic density

$$\begin{cases} -\Delta \phi_{i} + V(\rho, \mathbf{r})\phi_{i} = \varepsilon_{i}\phi_{i} & i = 1...N_{el} \\ V(\rho, \mathbf{r}) = V_{ion}(\mathbf{r}) + \int \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + V_{XC}(\rho(\mathbf{r}), \nabla \rho(\mathbf{r})) \\ \rho(\mathbf{r}) = \sum_{i=1}^{N_{el}} |\phi_{i}(\mathbf{r})|^{2} \\ \int \phi_{i}^{*}(\mathbf{r})\phi_{j}(\mathbf{r}) d\mathbf{r} = \delta_{ij} \end{cases}$$





Self-consistent iterations

- For k=1,2,...
 - Compute the density ρ_k
 - Solve the Kohn-Sham equations

The iteration may converge to a fixed point



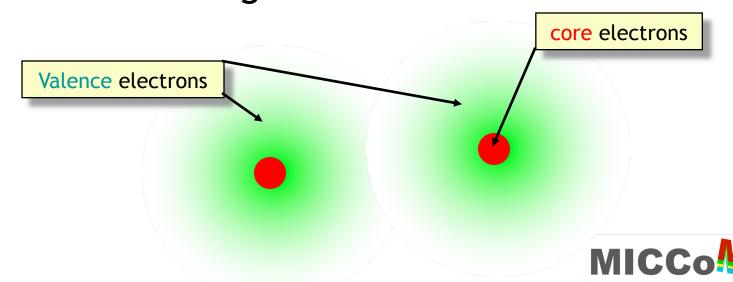


Simplifying the electron-ion interactions: Pseudopotentials

• The electron-ion interaction is singular

$$V_{\text{e-ion}}(\mathbf{r}) = -\frac{Ze^2}{|\mathbf{r} - \mathbf{R}|}$$

 Only valence electrons play an important role in chemical bonding





Simplifying the electron-ion interactions: Pseudopotentials

 The electron-ion potential can be replaced by a smooth function near the atomic core

$$V_{\text{e-ion}}(\mathbf{r}) = \begin{cases} -\frac{Ze^2}{|\mathbf{r} - \mathbf{R}|} & |\mathbf{r} - \mathbf{R}| > r_{\text{cut}} \\ f(|\mathbf{r} - \mathbf{R}|) & |\mathbf{r} - \mathbf{R}| < r_{\text{cut}} \end{cases}$$

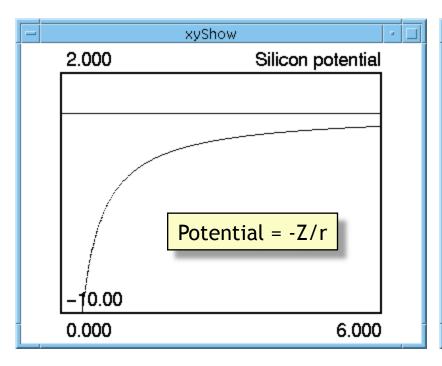
 Core electrons are not included in the calculation (they are assumed to be "frozen")

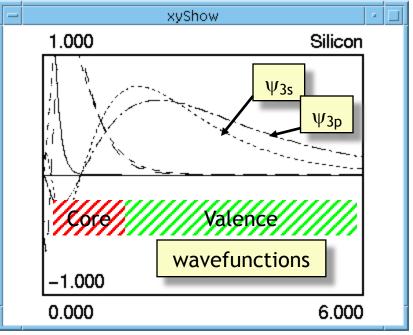




Pseudopotentials: Silicon

 Solutions of the Schrödinger equation for Si including all electrons (core+valence):



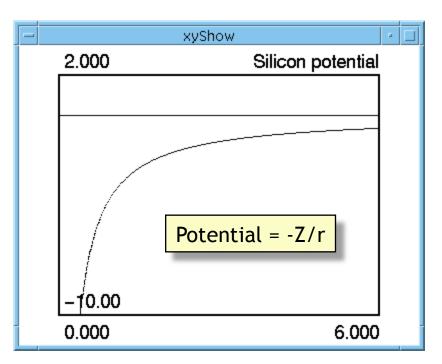


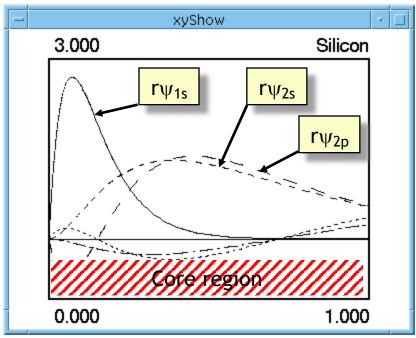




Pseudopotentials: Silicon

 Solutions of the Schrödinger equation for Si including all electrons (zoom on core region):



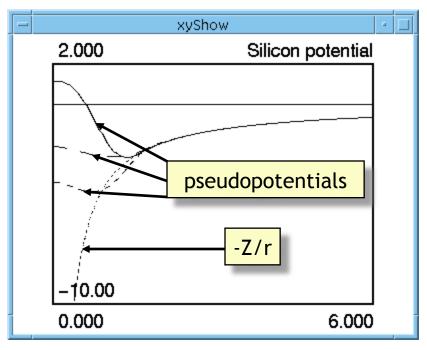


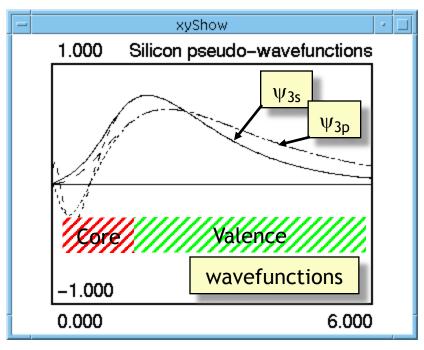




Pseudopotentials: Silicon

 The electron-ion potential can be replaced by a smooth function near the atomic core









Summary: First-principles electronic structure

- Time-independent Schroedinger equation
- Mean-field approximation
- Simplified electron-electron interaction:
 - Density Functional Theory, Local Density Approximation
- Simplified electron-ion interaction:
 - Pseudopotentials





Molecular dynamics: Computation of ionic forces

- Hamiltonian: $H(\lambda)$
- Hellman-Feynman theorem: if $\psi_0(\lambda)$ is the electronic ground state of $H(\lambda)$

$$\left. \frac{\partial E}{\partial \lambda} \right|_{\lambda_0} = \frac{\partial}{\partial \lambda} \left\langle \psi_0(\lambda) \middle| H(\lambda) \middle| \psi_0(\lambda) \right\rangle = \left\langle \psi_0(\lambda_0) \middle| \frac{\partial H(\lambda)}{\partial \lambda} \middle|_{\lambda_0} \middle| \psi_0(\lambda_0) \right\rangle$$

• For ionic forces: $\lambda = R_i$ (ionic positions)

$$F_{i} = -\frac{\partial E}{\partial R_{i}} = \left\langle \psi_{0} \left| \frac{\partial H}{\partial R_{i}} \right| \psi_{0} \right\rangle = \left\langle \psi_{0} \left| \frac{\partial}{\partial R_{i}} \sum_{j} V_{\text{e-ion}} (r - R_{j}) \right| \psi_{0} \right\rangle$$





Integrating the equations of motion: the Verlet algorithm

- The equations of motion are coupled, second order ordinary differential equations
- Any ODE integration method can be used
- Time-reversible integrators are preferred
- The *Verlet algorithm* (or *leapfrog method*) is time-reversible

$$x(t + \Delta t) = 2x(t) - x(t + \Delta t) + \frac{\Delta t^2}{m} F(x(t))$$





Integrating the equations of motion: the Verlet algorithm

 Derivation of the Verlet algorithm: Taylor expansion of x(t)

$$x(t + \Delta t) = x(t) + \Delta t \frac{dx}{dt} + \frac{\Delta t^2}{2} \frac{d^2 x}{dt^2} + \frac{\Delta t^3}{6} \frac{d^3 x}{dt^3} + O(\Delta t^4)$$
$$x(t - \Delta t) = x(t) - \Delta t \frac{dx}{dt} + \frac{\Delta t^2}{2} \frac{d^2 x}{dt^2} - \frac{\Delta t^3}{6} \frac{d^3 x}{dt^3} + O(\Delta t^4)$$

Add the two Taylor expansions:

$$x(t + \Delta t) + x(t - \Delta t) = 2x(t) + \Delta t^2 \frac{d^2x}{dt^2} + O(\Delta t^4)$$





Integrating the equations of motion: the Verlet algorithm

use Newton's law

$$m\frac{d^2x}{dt^2} = f(x(t))$$

$$x(t + \Delta t) + x(t - \Delta t) = 2x(t) + \Delta t^2 \frac{d^2x}{dt^2} + O(\Delta t^4)$$

$$x(t + \Delta t) = 2x(t) - x(t - \Delta t) + \frac{\Delta t^2}{m} F(x(t)) + O(\Delta t^4)$$

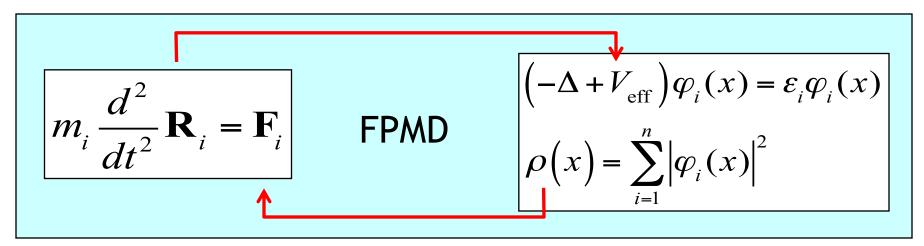




First-Principles Molecular Dynamics

Molecular Dynamics

Density Functional Theory



Newton equations

Kohn-Sham equations





FPMD: the Recipe

- Choose a starting geometry: atomic positions
- Choose an exchange-correlation functional
- Choose appropriate pseudopotentials
- Run!
- Publish!!





FPMD: the Recipe

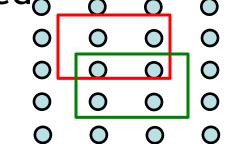
- Choose a starting geometry: atomic positions
- Choose an exchange-correlation functional
- Choose appropriate pseudopotentials
- Run!
- PD 'n!!
- Test!
 - Test sensitivity to starting geometry, finite size effects
 - Test sensitivity to duration of the simulation
 - Test accuracy of the basis set
- Test choice of exchange-correlation functionals

est accuracy of pseudopotentials

Electronic properties: Polarization

The electronic polarization (per unit cell) of an infinite periodic system is ill-defined

$$P = \frac{1}{\Omega} \left[-e \sum_{l} Z_{l} R_{l} + \int r \rho(r) dr \right]$$



- P depends on the choice of origin
- The change in polarization caused by a small perturbation is well defined
- The electric current caused by a perturbation (e.g. a deformation) can be computed

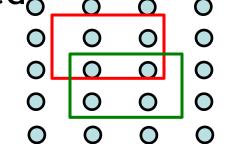




Electronic properties: Polarization

The electronic polarization (per unit cell) of an infinite periodic system is ill-defined

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Wannier functions

- A set of <u>localized</u> orbitals that span the same subspace as the Kohn-Sham eigenvectors
- minimize the spread $\sigma^2 = \langle \phi | (x \langle \phi | x | \phi \rangle)^2 | \phi \rangle$
- Wannier centers: centers of charge of each Wannier function
- Polarization can be expressed in terms of the centers

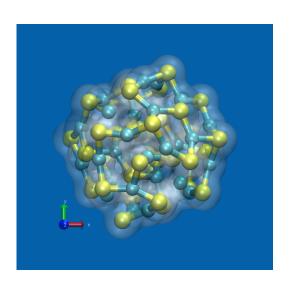
$$P = \frac{1}{\Omega} \left[-e \sum_{l} Z_{l} R_{l} + e \sum_{n} \int r w_{n}(r) dr \right]$$

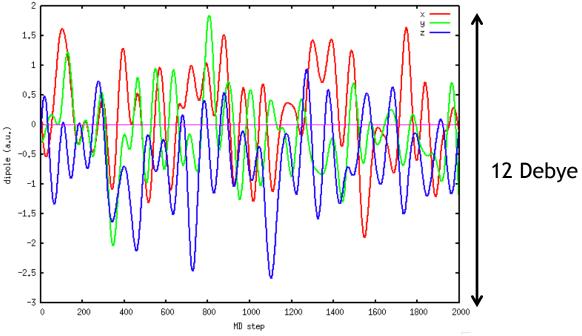


Time-dependent polarization of nanoparticles

- PBE DFT MD 300K
- dt=1.9 fs

 $Cd_{34}Se_{34}$







IR Spectroscopy

- IR spectra during MD simulations
- Autocorrelation function of P(t)

$$\alpha(\omega) = \frac{2\pi\omega^{2}\beta}{3cVn(\omega)} \int_{-\infty}^{\infty} e^{-i\omega t} \left\langle \sum_{\mu\nu} P^{\mu}(0) \cdot P^{\nu}(t) \right\rangle dt$$





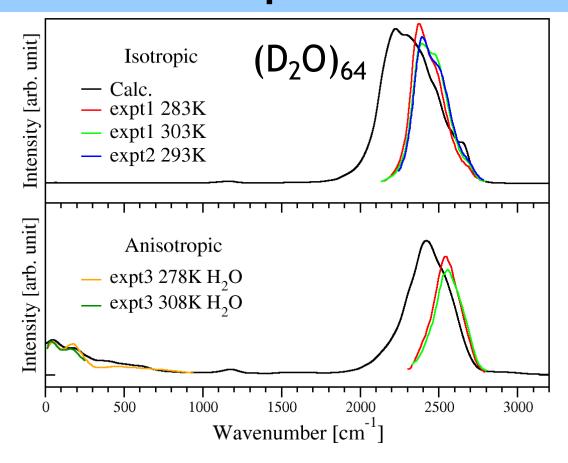
Raman Spectroscopy

- Compute the polarizability at each MD step
 - Use Density Functional Perturbation Theory (Baroni, Giannozzi, Testa, 1987)
 - Use a finite-difference formula with P(t) and finite field





On-the-fly Computation of Raman spectra



- Position of O-D stretching band: PBE functional yields a red shifted peak, compared to expt.
- Low frequency bands: satisfactory agreement with expt.
- Peak Intensities in good agreement with expt.

Q. Wan, L. Spanu, G. Galli, F. Gygi, JCTC 9, 4124 (2013)





Solving the Kohn-Sham equations in a finite electric field

• In finite systems: add a linear potential

$$H_{KS} = \frac{p^2}{2m} + V(r) - eEx$$

- The spectrum is not bounded below (no "ground state")
- In periodic systems: define the electric enthalpy:

$$F[\phi] = E_{KS}[\phi] - \Omega P[\phi] \cdot E$$

I. Souza, J. Iniguez, D. Vanderbilt, Phys. Rev. Lett. 89, 117602 (2002).

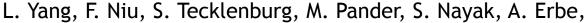




Si(100):H-H₂O interface

- DFT MD of the Si/H₂O interface under finite field
- Si(100)-(3x3):H-H₂O, canted dihydride surface termination, 116 water molecules
- Analysis of time-dependent polarization
- Comparison with IR spectra





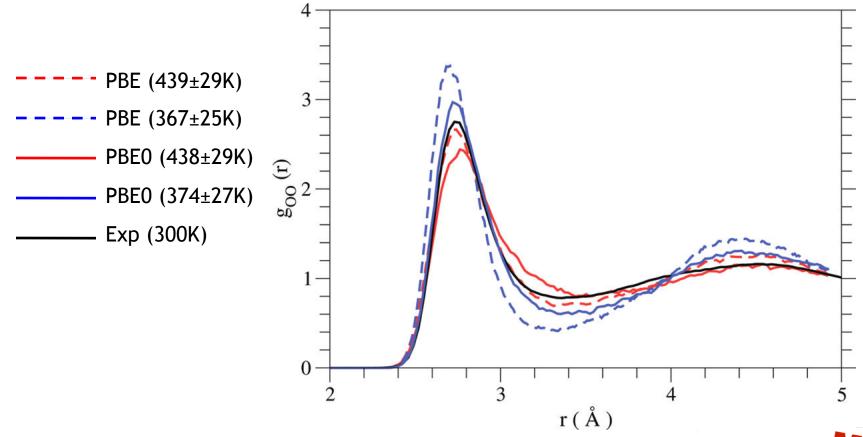
S. Wippermann, F. Gygi, G. Galli





Validation of DFT: PBE vs PBE0 vs ...

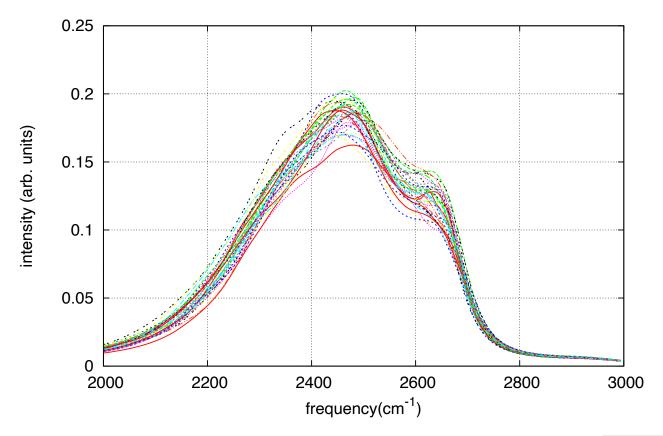
Oxygen-oxygen pair correlation function in (H₂O)₃₂





Is my simulation reproducible?

• D₂O power spectrum of ionic velocities (32 x 10 ps runs)







Validating/comparing levels of theory

- Need for (quantitative) statistical analysis
 - compute confidence intervals
- An accurate determination of structural and electronic properties requires multiple uncorrelated simulations
- Autocorrelation times may vary for different quantities
- Example: the PBE400 dataset
 - First-principles MD simulations of water
 - http://www.quantum-simulation.org/reference/h2o/pbe400





Summary

- Basic features of FPMD
- Approximations of electronic structure calculations
- Extensions: polarization, finite electric field
- IR, Raman spectroscopy

Next FPMD steps:

Today 10:30 am: Qbox tutorial

