

# density-functional perturbation theory

*response functions, phonons, and all that*

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# response functions

$$\text{property} = \frac{\partial(\text{variable})}{\partial(\text{strength})}$$

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➡ polarizability, dielectric constant

$$\frac{\partial P_i}{\partial E_j}$$

➡ elastic constants

$$\frac{\partial \sigma_{ij}}{\partial \epsilon_{kl}}$$

➡ piezoelectric constants

$$\frac{\partial P_i}{\partial \epsilon_{kl}}$$

➡ interatomic force constants

$$\frac{\partial f_i^s}{\partial u_j^t}$$

➡ Born effective charges

$$\frac{\partial d_i^s}{\partial u_j^s}$$

➡ ...

...

susceptibilities as energy derivatives

$$\hat{H}_\alpha = \hat{H}^\circ + \alpha \hat{A}$$

$$\chi_{BA} = \frac{\partial \langle \hat{B} \rangle_\alpha}{\partial \alpha}$$



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$$\langle \hat{B} \rangle = \frac{\partial E_\beta}{\partial \beta}$$

(Hellmann & Feynman)

$$\hat{H}_\beta = \hat{H}^\circ + \beta \hat{B}$$

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(Hellmann & Feynman)

$$\hat{H}_\beta = \hat{H}^\circ + \beta \hat{B}$$

$$\chi_{BA} = \frac{\partial^2 E_{\alpha\beta}}{\partial \alpha \partial \beta}$$

$$\hat{H}_{\alpha\beta} = \hat{H}^\circ + \alpha \hat{A} + \beta \hat{B}$$

# energy derivatives

$$H = H_0 + \sum_i \lambda_i v_i$$

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➡ structural optimization & molecular dynamics

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- ➡ structural optimization & molecular dynamics
- ➡ (static) response functions
  - elastic constants
  - dielectric tensor
  - piezoelectric tensor
  - ...
- ➡ vibrational modes in the adiabatic approximation
  - interatomic force constants
  - Born effective charges
  - ...

# energy derivatives from perturbation theory

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the “2n+1” theorem

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$$E^{(3)} = \langle \Phi' | V' | \Phi' \rangle - \langle \Phi' | \Phi' \rangle \langle \Phi_0 | V' | \Phi_0 \rangle$$

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$$\frac{\partial^2 E(\lambda)}{\partial \lambda_i \partial \lambda_j} = \int \frac{\partial n_{\lambda}(\mathbf{r})}{\partial \lambda_j} v_i(\mathbf{r}) d\mathbf{r}$$

DFPT

# calculating the response

$$n(\mathbf{r}) = \sum_v |\phi_v(\mathbf{r})|^2$$

$$n'(\mathbf{r}) = 2\text{Re} \sum_v \phi_v^{\circ*}(\mathbf{r}) \phi'_v(\mathbf{r})$$

# calculating the response

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$$\begin{aligned} n'(\mathbf{r}) &= 2\text{Re} \sum_v \phi_v^{\circ*}(\mathbf{r}) \phi'_v(\mathbf{r}) \\ &= 2\text{Re} \sum_{cv} \rho'_{vc} \phi_v^{\circ*}(\mathbf{r}) \phi_c^{\circ}(\mathbf{r}) \end{aligned}$$

$$\phi'_v = \sum_c \phi_c^{\circ} \frac{\langle \phi_c^{\circ} | V' | \phi_v^{\circ} \rangle}{\epsilon_v^{\circ} - \epsilon_c^{\circ}}$$



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$$(H^{\circ} - \epsilon_v^{\circ}) \phi'_v = -P_c V' \phi_v^{\circ}$$

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# DFPT: the equations

DFT

$$V_0(\mathbf{r}) \rightleftharpoons n(\mathbf{r})$$

$$V_{SCF}(\mathbf{r}) = V_0(\mathbf{r}) + \int \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \mu_{xc}(\mathbf{r})$$

$$n(\mathbf{r}) = \sum_{\epsilon_v < E_F} |\phi_v(\mathbf{r})|^2$$

$$(-\Delta + V_{SCF}(\mathbf{r}))\phi_v(\mathbf{r}) = \epsilon_v \phi_v(\mathbf{r})$$

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DFPT

$$V'(\mathbf{r}) \rightleftharpoons n'(\mathbf{r})$$

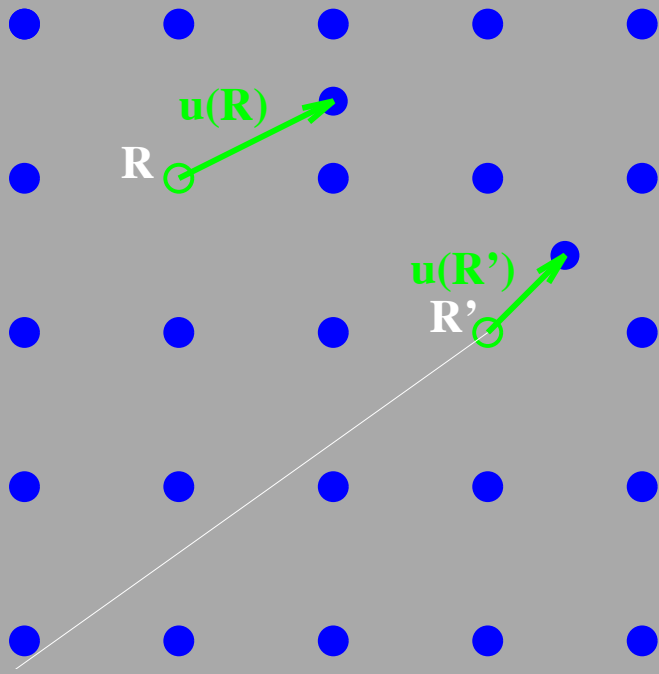
$$V'_{SCF}(\mathbf{r}) = V'(\mathbf{r}) + \int \frac{n'(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \mu'_{xc}(\mathbf{r})$$

$$n'(\mathbf{r}) = 2 \operatorname{Re} \sum_{\epsilon_v < E_F} \phi_v^*(\mathbf{r}) \phi'_v(\mathbf{r})$$

$$(-\Delta + V_{SCF}(\mathbf{r}) - \epsilon_v)\phi'_v(\mathbf{r}) = P_c V'_{SCF}(\mathbf{r}) \phi_v(\mathbf{r})$$

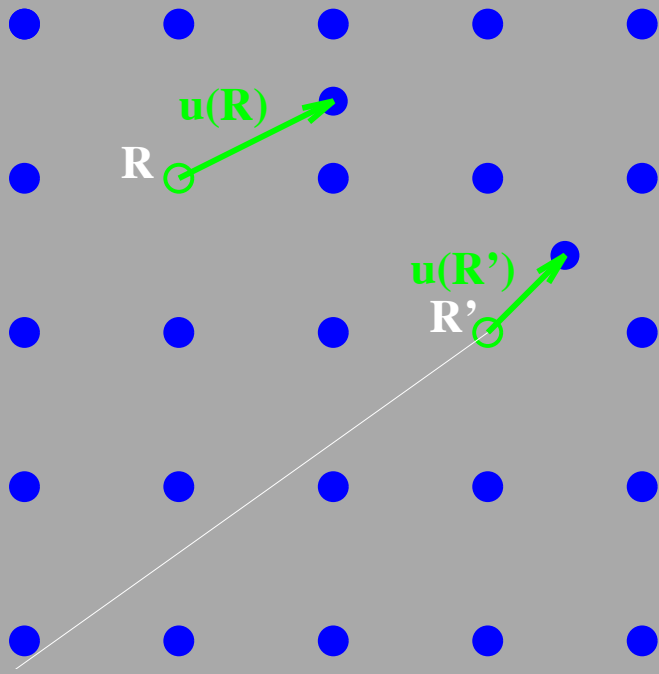
simulating atomic vibrations ...

# lattice dynamics



$$V(\mathbf{r}) = V_0(\mathbf{r}) + \sum_{\mathbf{R}} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial v(\mathbf{r} - \mathbf{R})}{\partial \mathbf{R}} + \dots$$

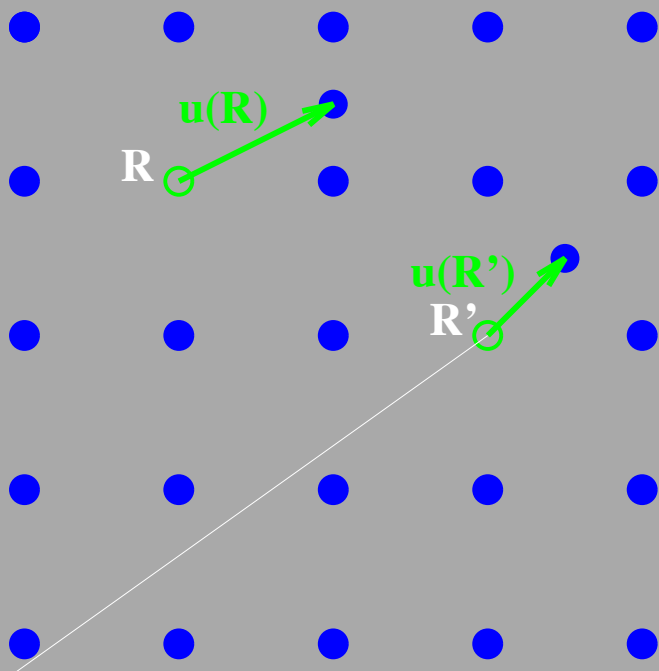
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$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$

# lattice dynamics



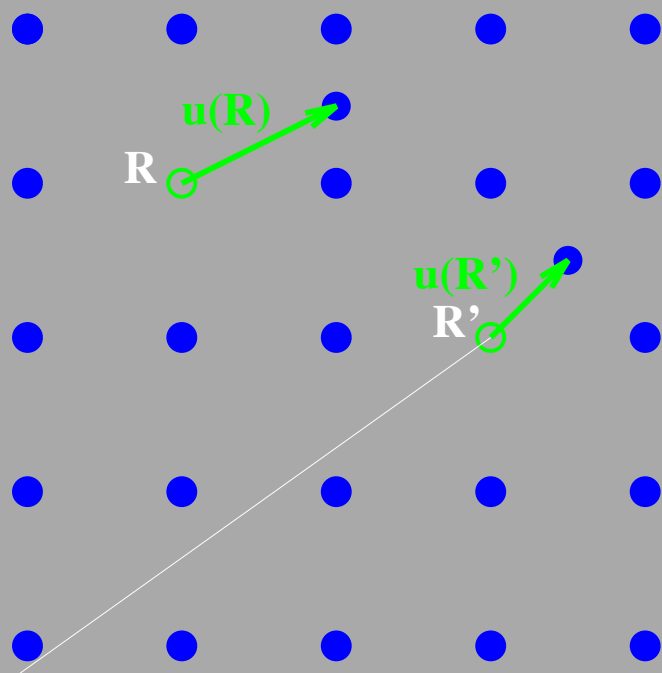
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$$\frac{\partial \mathbf{F}(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$$

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# lattice dynamics



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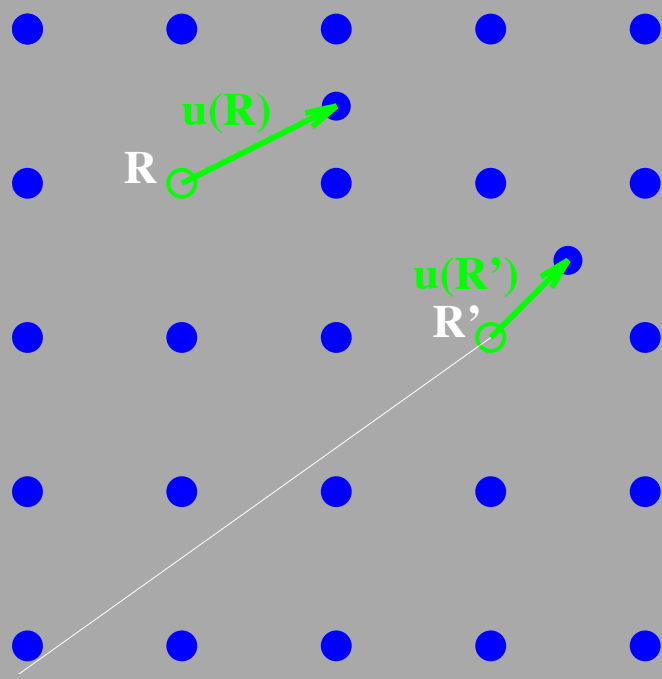
DFT

DPFT

$$-\frac{\partial F(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$$

$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$

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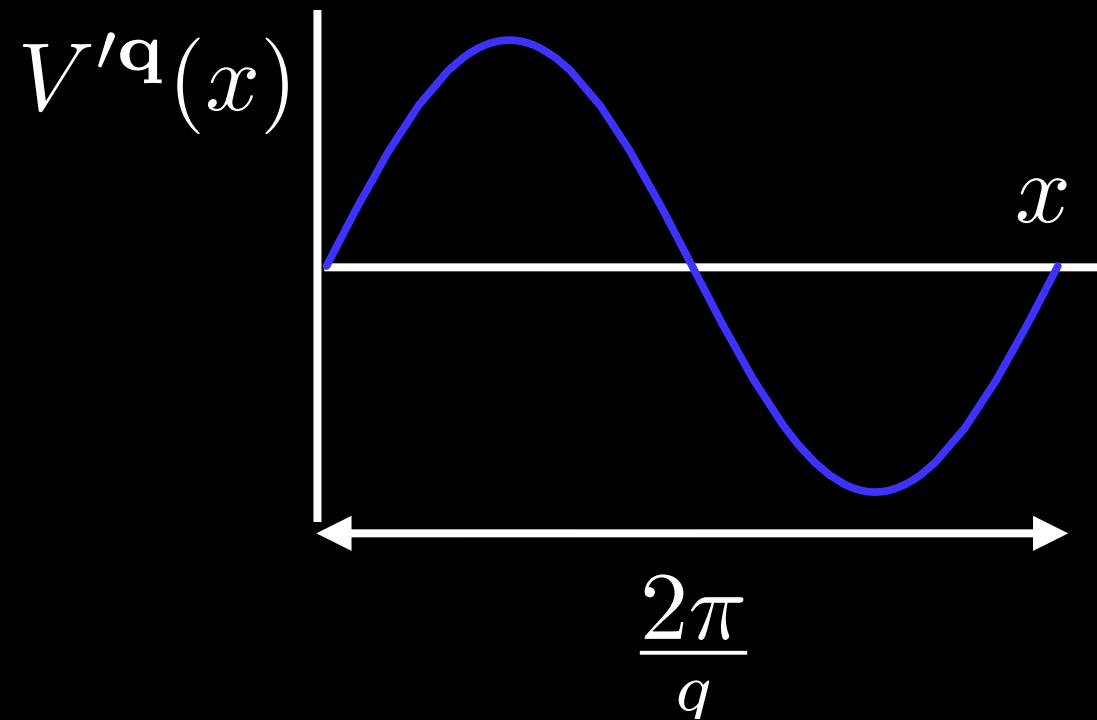
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$$\frac{\partial \mathbf{F}(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$$

$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$

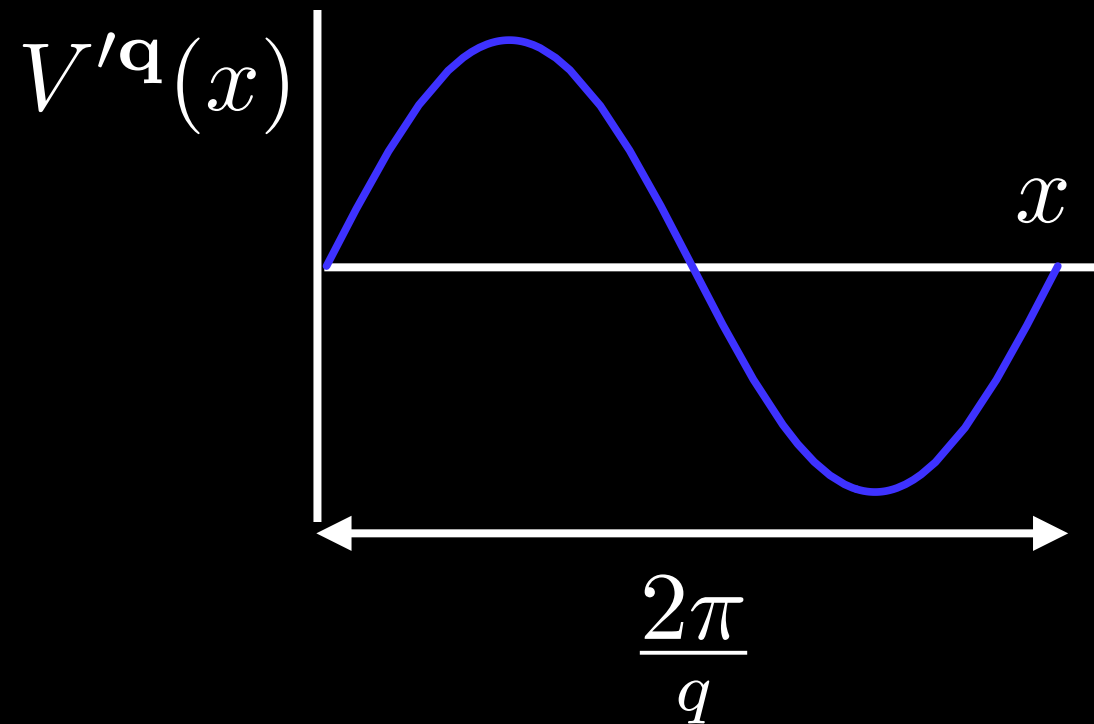
$$\det \left[ \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} - \omega^2 M(\mathbf{R}) \delta_{\mathbf{R}, \mathbf{R}'} \right] = 0$$

# monochromatic perturbations



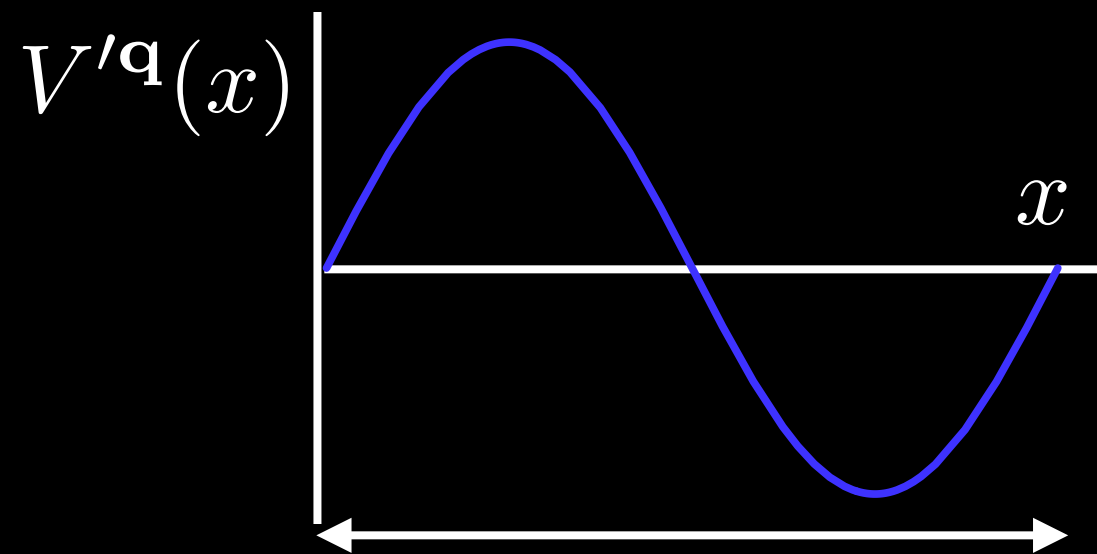
DFPT rhs:  $-P_c V'_{SCF}{}^{\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$

# monochromatic perturbations



$$(H_0 - \epsilon_v^{\mathbf{k}}) \phi_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r}) = -P_c V_{SCF}'^{\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$$

# monochromatic perturbations



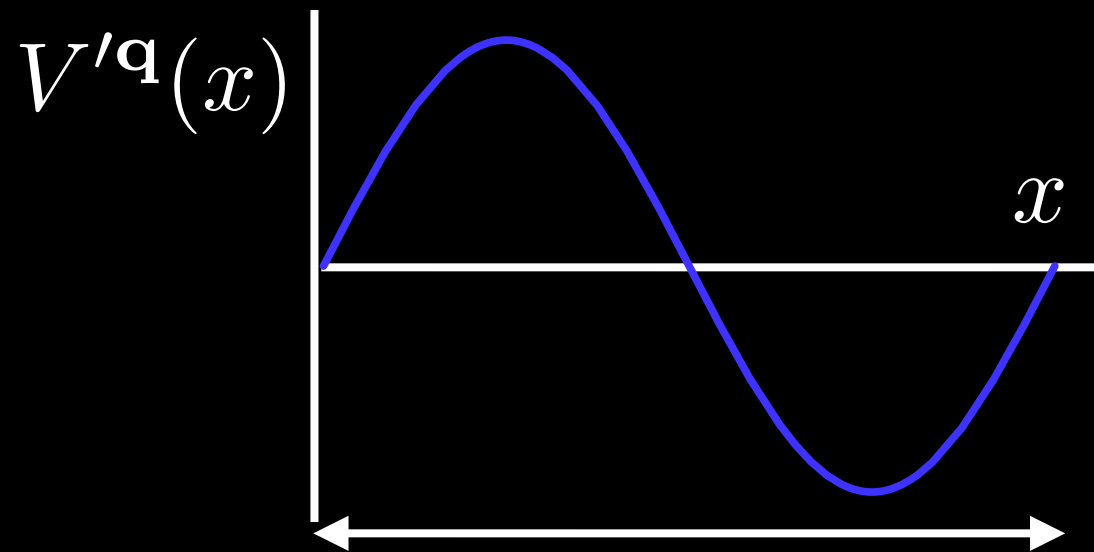
$$e^{i(\mathbf{k}+\mathbf{q})\cdot\mathbf{r}} u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

$$\frac{2\pi}{q}$$

$$e^{i\mathbf{k}\cdot\mathbf{r}} u_v^{\circ\mathbf{k}}(\mathbf{r})$$

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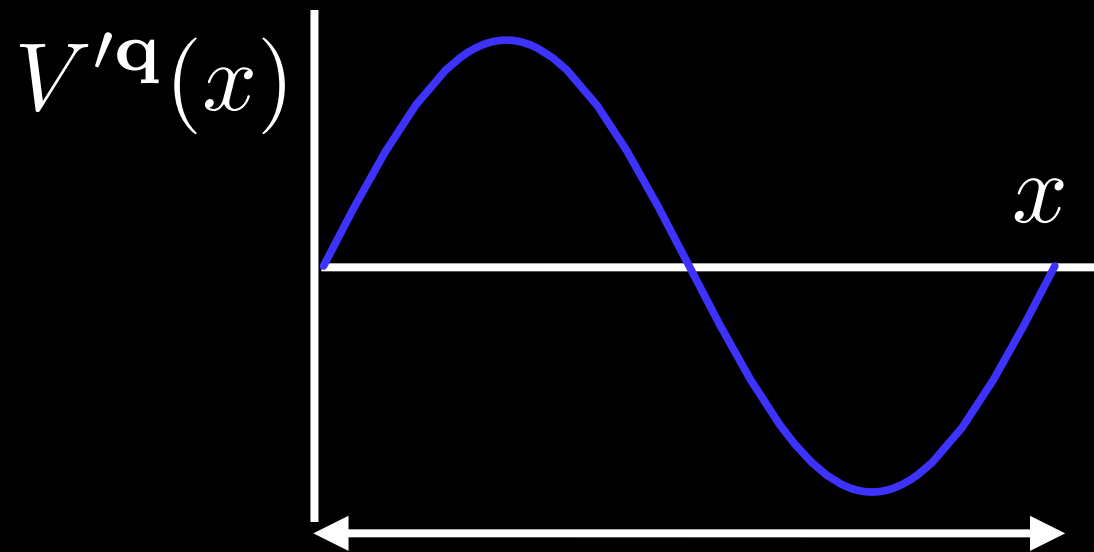
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$$n'^{\mathbf{q}}(\mathbf{r}) = e^{i\mathbf{q}\cdot\mathbf{r}} \sum_{v,\mathbf{k}} u_v^{\circ\mathbf{k}*}(\mathbf{r}) u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

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$$V'^{\mathbf{q}}(\mathbf{r}) = V_{ext}'^{\mathbf{q}}(\mathbf{r}) + \int \left( \frac{e^2}{|\mathbf{r} - \mathbf{r}'|} + \kappa_{xc}(\mathbf{r}, \mathbf{r}') \right) n'^{\mathbf{q}}(\mathbf{r}') d\mathbf{r}'$$

# phonons in polar materials

$$E(\mathbf{u}) = \frac{1}{2}M\omega_0^2 u^2$$



# phonons in polar materials

$$E(\mathbf{u}, \mathbf{E}) = \frac{1}{2}M\omega_0^2 u^2 - \frac{\Omega}{8\pi}\epsilon_\infty \mathbf{E}^2 - eZ^* \mathbf{u} \cdot \mathbf{E}$$

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$$\mathbf{F} \equiv -\frac{\partial E}{\partial \mathbf{u}} = -M \omega_0^2 \mathbf{u} + Z^* \mathbf{E}$$

$$\mathbf{D} \equiv -\frac{4\pi}{\Omega} \frac{\partial E}{\partial \mathbf{E}} = \frac{4\pi}{\Omega} Z^* \mathbf{u} + \epsilon_\infty \mathbf{E}$$

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$$\mathbf{u} \perp \mathbf{q} \Rightarrow \mathbf{E} = 0$$

(T)

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$$\mathbf{u} \perp \mathbf{q} \Rightarrow \mathbf{E} = 0 \quad (\text{T})$$

$$\mathbf{F}_T = -M \omega_0^2 \mathbf{u}$$

# phonons in polar materials

$$E(\mathbf{u}, \mathbf{E}) = \frac{1}{2} M \omega_0^2 u^2 - \frac{\Omega}{8\pi} \epsilon_\infty \mathbf{E}^2 - e Z^* \mathbf{u} \cdot \mathbf{E}$$

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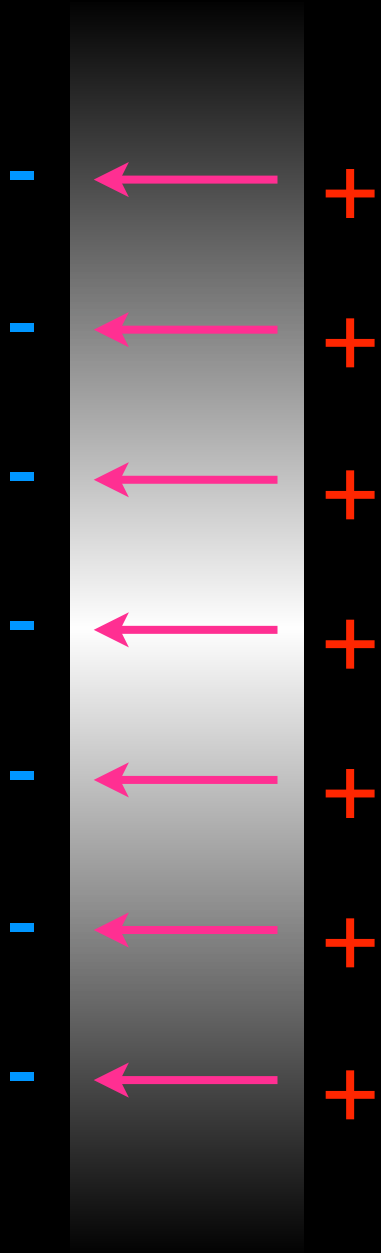
$$\mathbf{F}_T = -M \omega_0^2 \mathbf{u}$$

$$\mathbf{F}_L = -M \left( \omega_0^2 + \frac{4\pi Z^*}{M \Omega \epsilon_\infty} \right) \mathbf{u}$$



# macroscopic electric fields

$$\mathbf{E} = \text{const}$$

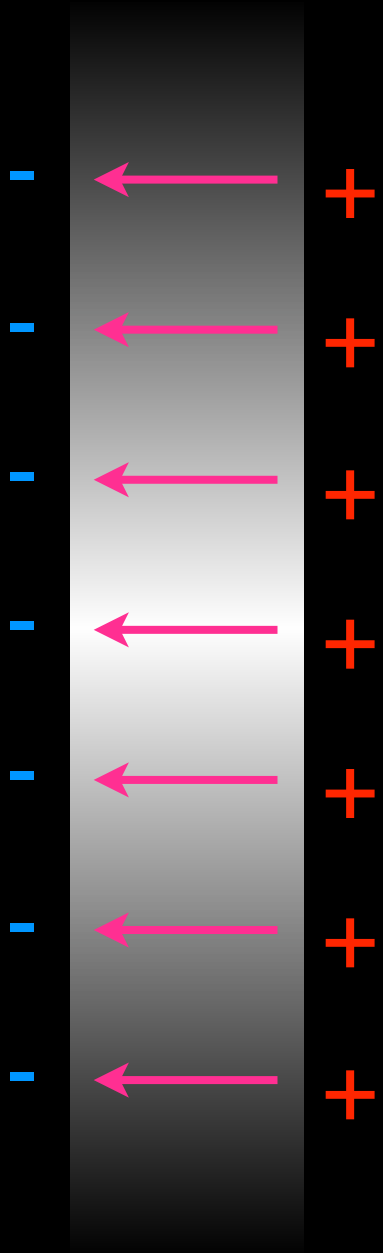


$$V'(\mathbf{r}) = \mathbf{E} \cdot \mathbf{r}$$

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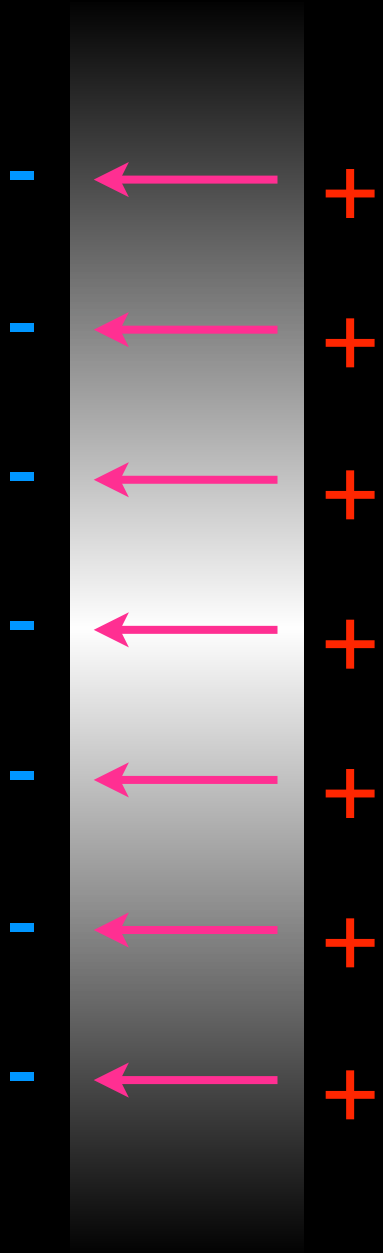
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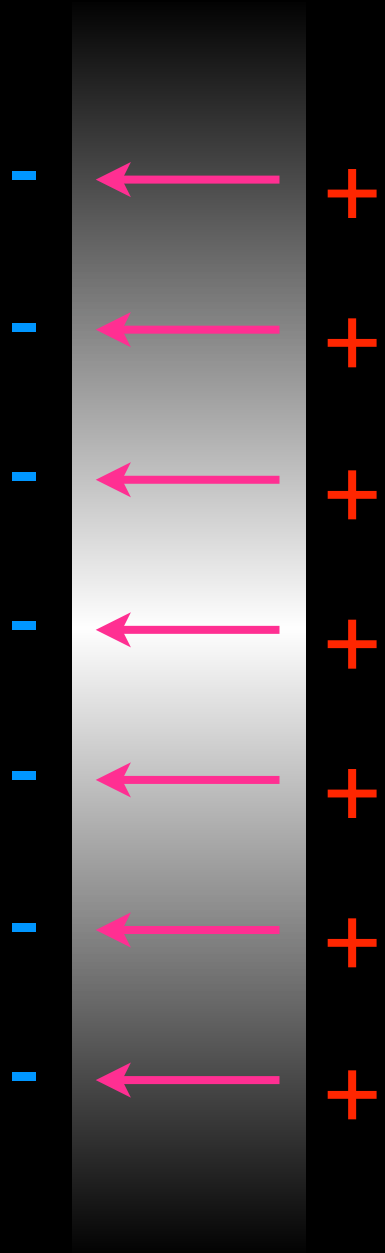


$$\begin{aligned}\phi_v^0(\mathbf{r}) &= e^{i\mathbf{k}\cdot\mathbf{r}} u_{v,\mathbf{k}}(\mathbf{r}) \\ V'(\mathbf{r})\phi_v^0(\mathbf{r}) &= ??\end{aligned}$$

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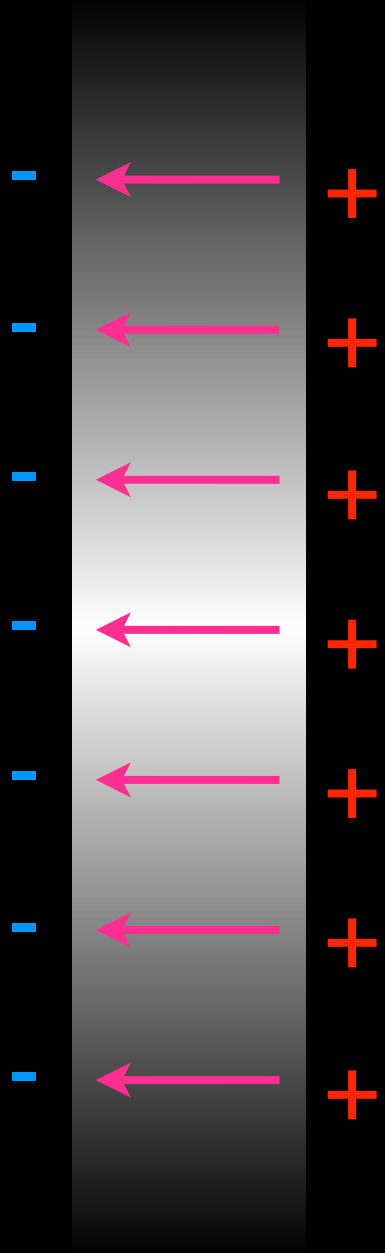
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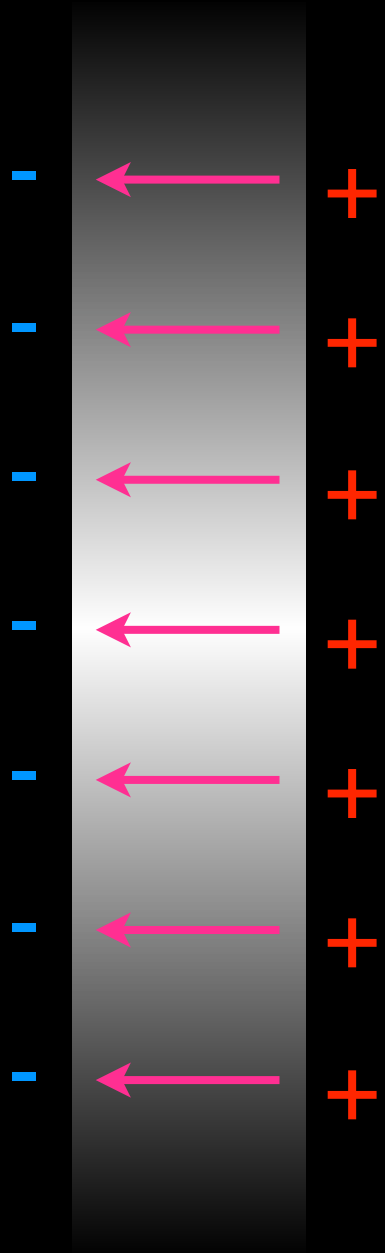
$$\langle \phi_v^0 | x | \phi_u^0 \rangle = \frac{\langle \phi_v^0 | [H, x] | \phi_u^0 \rangle}{\epsilon_v^0 - \epsilon_u^0} \quad [H, x] = -\frac{\hbar^2}{m} \frac{\partial}{\partial x} + [H, V_{nl}]$$

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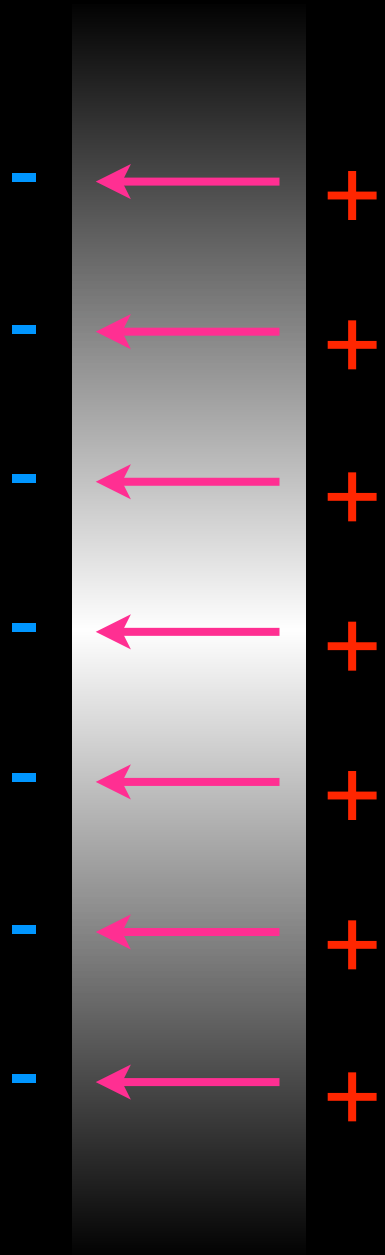
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$$V'(\mathbf{r}) = \mathbf{E} \cdot \mathbf{r}$$

$$(H_0 - \epsilon_v^0) \psi'_v = -E P_c [H_0, x] \phi_v^0$$

DFPT rhs

# interatomic force constants

$$\Phi_{st}^{\alpha\beta}(\mathbf{R} - \mathbf{R}') = -\frac{\partial^2 E}{\partial u_s^\alpha(\mathbf{R}) \partial u_t'^\beta(\mathbf{R}')}$$



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short ranged +  
dipole-dipole

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short ranged +  
dipole-dipole

- **remove singularities** in  $D(\mathbf{q})$
- **do FFT's** (# R's = # q's - the shorter the range, the coarser the grid)
- **store information**
- **interpolate**  $D(\mathbf{q})$  on any finer mesh (pad  $\Phi$  with 0's and do FFT<sup>-1</sup>: # q's = # R's)
- **calculate phonon bands**

# DFPT: the main features

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- ☞ non-periodic perturbations: OK
- ☞ macroscopic electric fields: OK

Piezoelectric Properties of III-V Semiconductors from First-Principles Linear-Response Theory

Stefano de Gironcoli<sup>(a)</sup>

Dipartimento di Fisica Teorica, Università di Trieste, Strada Costiera 11, I-34014 Trieste, Italy

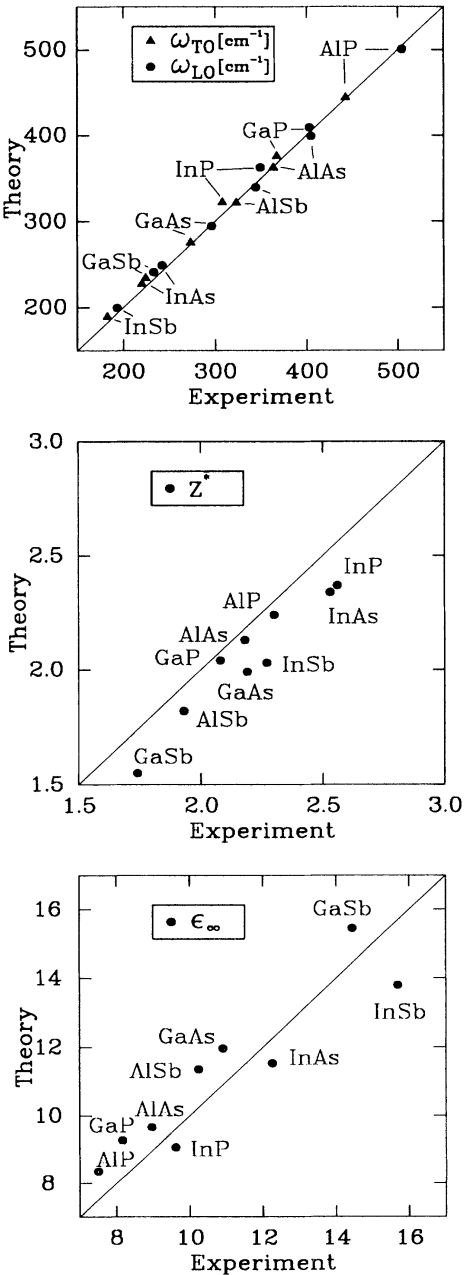
Stefano Baroni

Scuola Internazionale Superiore di Studi Avanzati (SISSA), Strada Costiera 11, I-34014 Trieste, Italy

Raffaele Resta<sup>(b)</sup>

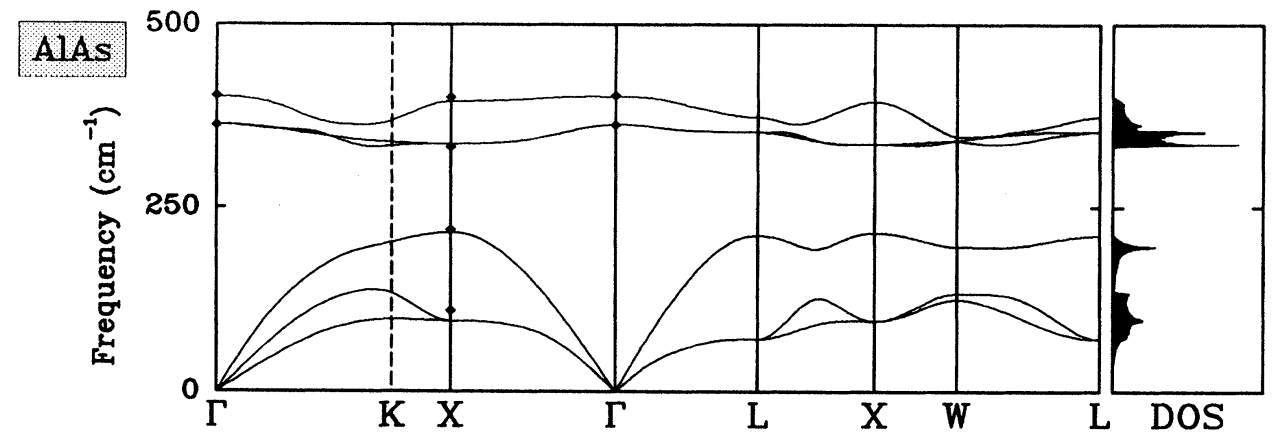
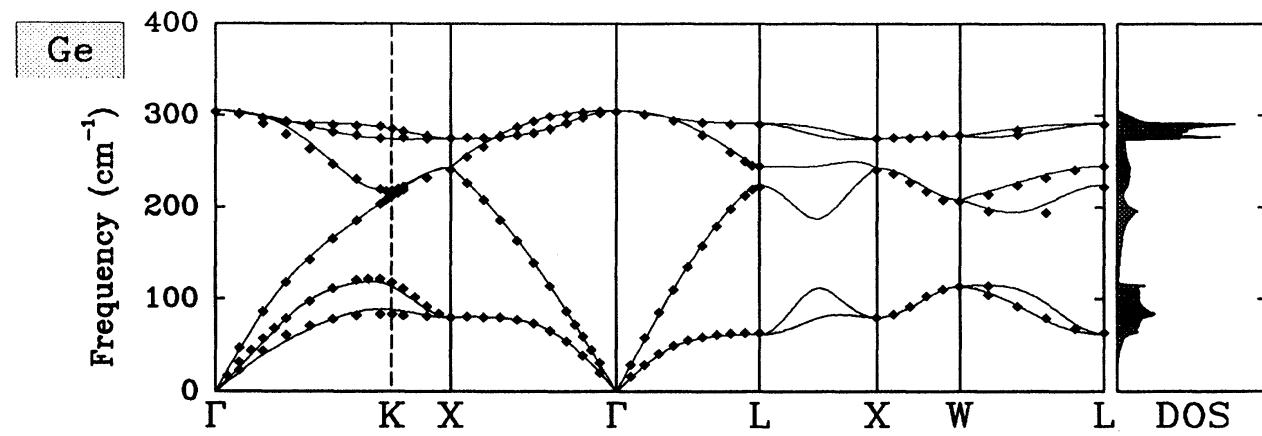
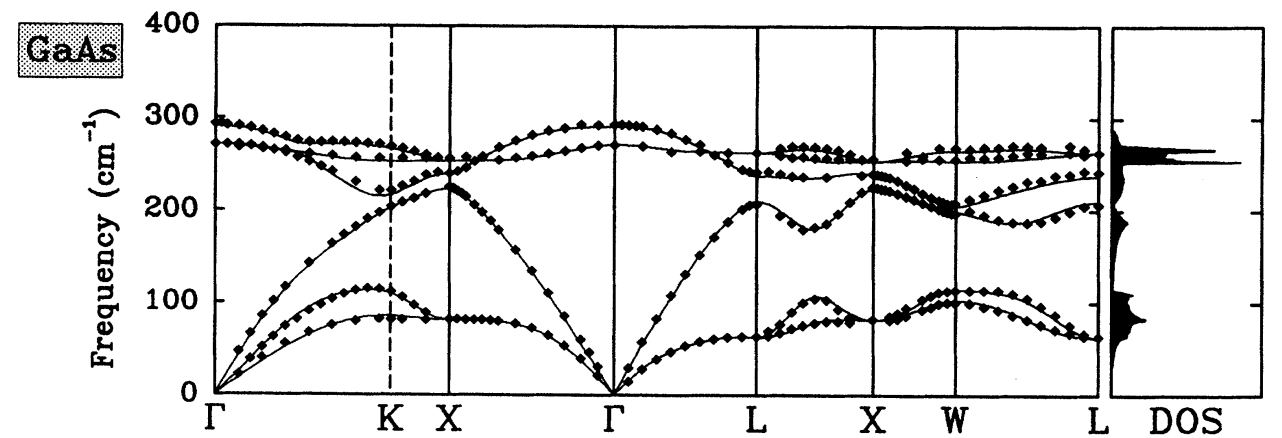
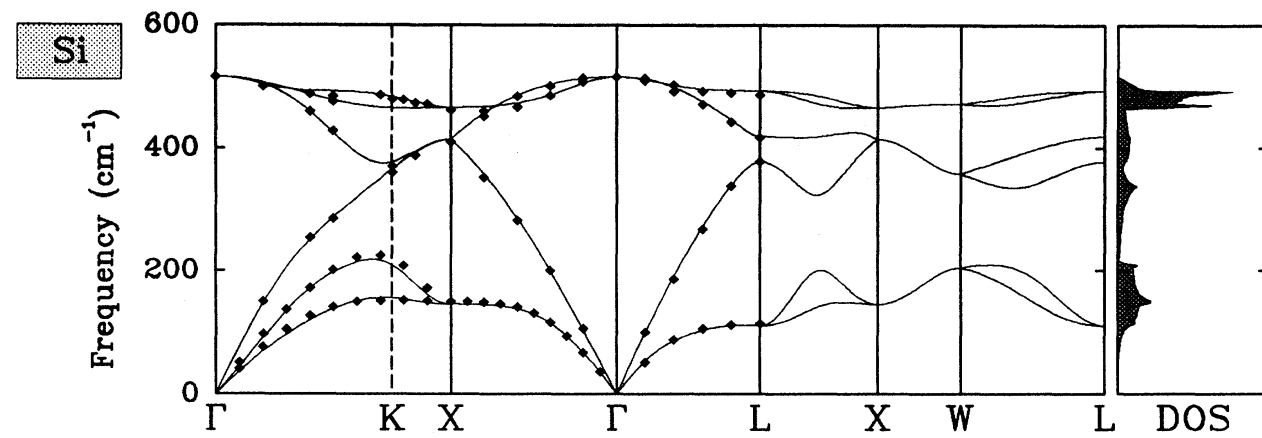
Institut Romand de Recherche Numérique en Physique des Matériaux (IRRMA), Ecole Polytechnique  
Fédérale de Lausanne, CH-1015, Lausanne, Switzerland

(Received 7 November 1988)



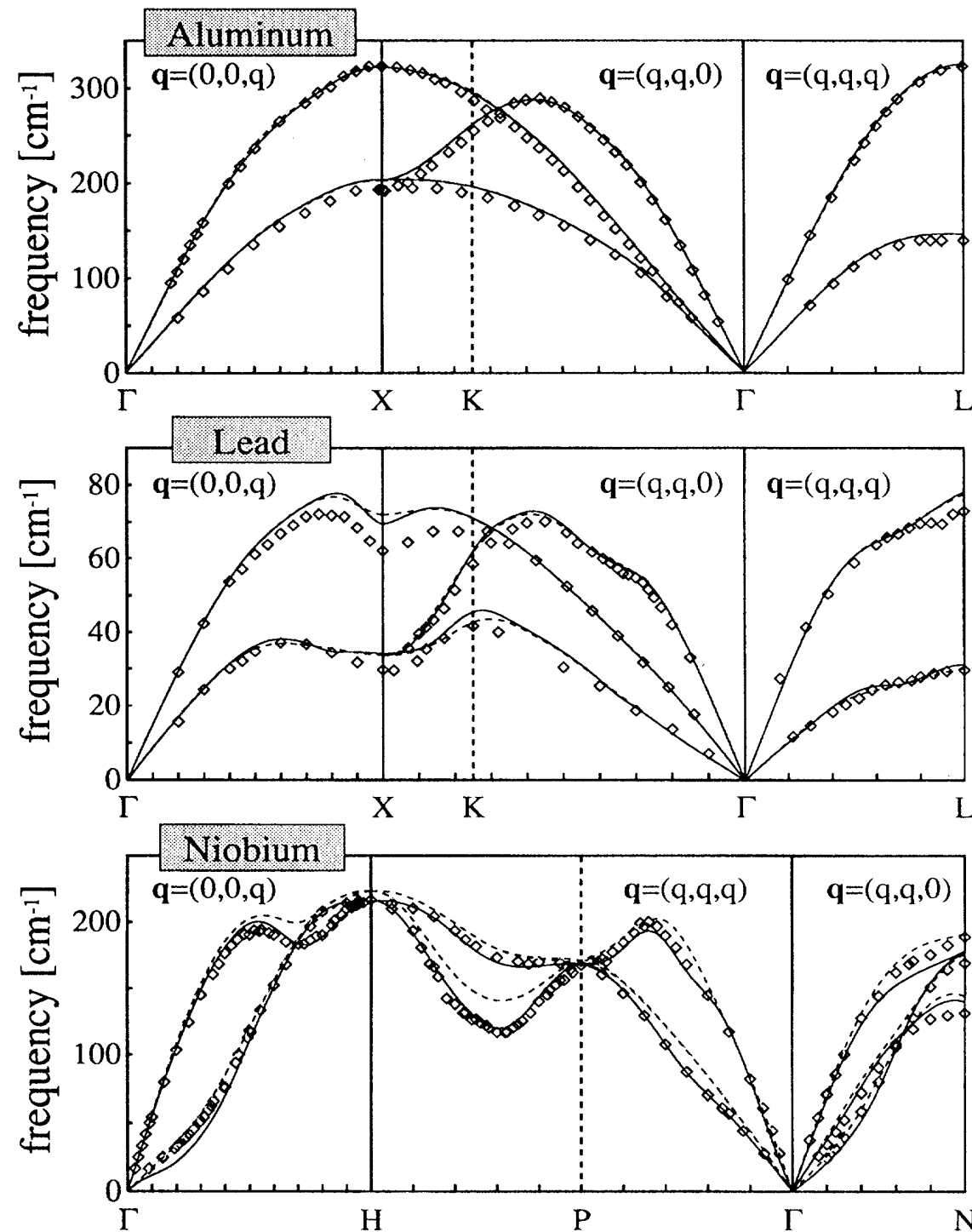
$\bar{\gamma}_{14}$	P	As	Sb
Al	0.11 ( . . . )	-0.03 ( . . . )	-0.13 (-0.16)
Ga	-0.18 (-0.18)	-0.35 (-0.32)	-0.40 (-0.39)
In	0.12 ( 0.09 )	-0.08 (-0.10)	-0.20 (-0.18)

# phonons from DFPT



P. Giannozzi, S. de Gironcoli, P. Pavone, and SB, Phys. Rev. B **43**, 7231 (1991)

# DFPT phonons in metals



Stefano de Gironcoli,  
Phys. Rev. B **51**, 6773 (1995)

# applications done so far

- Dielectric properties
- Piezoelectric properties
- Elastic properties
- Phonon in crystals and alloys
- Phonon at surfaces, interfaces, super-lattices, and nano-structures
- Raman and infrared activities
- Anharmonic couplings and vibrational line widths
- Mode softening and structural transitions
- Electron-phonon interaction and superconductivity
- Thermal expansion
- Isotopic effects on structural and dynamical properties
- Thermo-elasticity and other thermal properties of minerals
- ...

SB, A. Dal Corso, S. de Gironcoli, and P. Giannozzi, *Phonons and related crystal properties from density-functional perturbation theory*, *Rev. Mod. Phys.* **73**, 515 (2001)

# a sampler of recent applications

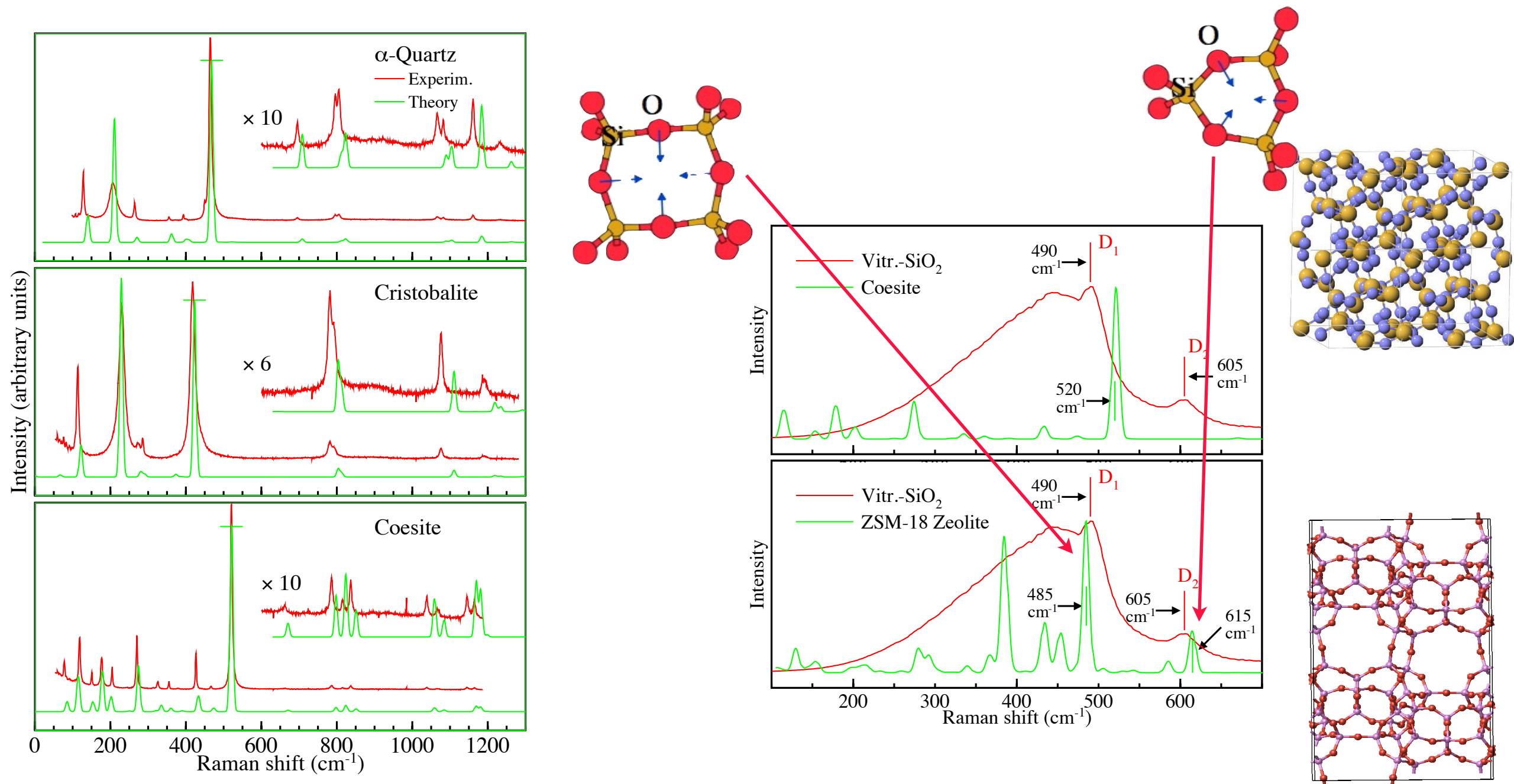
VOLUME 90, NUMBER 3

PHYSICAL REVIEW LETTERS

week ending  
24 JANUARY 2003

## First-Principles Calculation of Vibrational Raman Spectra in Large Systems: Signature of Small Rings in Crystalline $\text{SiO}_2$

Michele Lazzeri and Francesco Mauri



# a sampler of recent applications

J|A|C|S

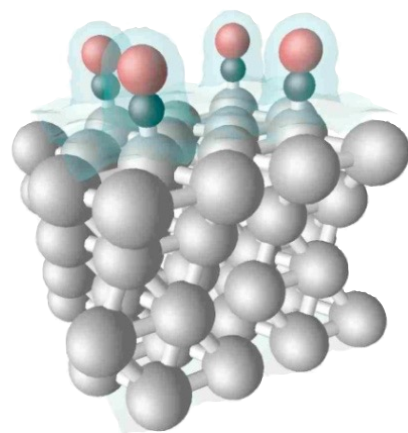
A R T I C L E S

Published on Web 08/17/2007

## Vibrational Recognition of Adsorption Sites for CO on Platinum and Platinum–Ruthenium Surfaces

Ismaila Dabo,<sup>\*,†</sup> Andrzej Wieckowski,<sup>‡</sup> and Nicola Marzari<sup>†</sup>

11046 J. AM. CHEM. SOC. ■ VOL. 129, NO. 36, 2007

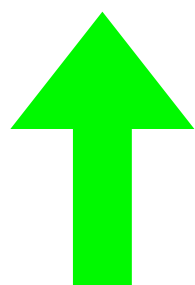


atop (CO@Pt<sub>1</sub>)

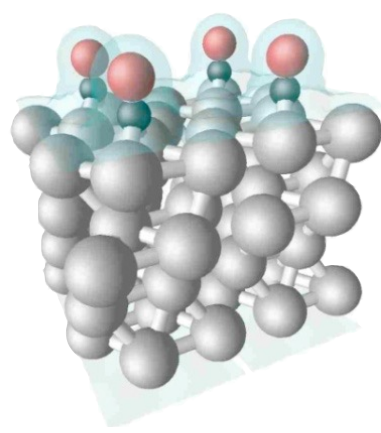
$E_{\text{DFT}} = +0.10 \text{ eV}$

$\nu_{\text{DFT}} = 2050 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 2070 \text{ cm}^{-1}$



expt

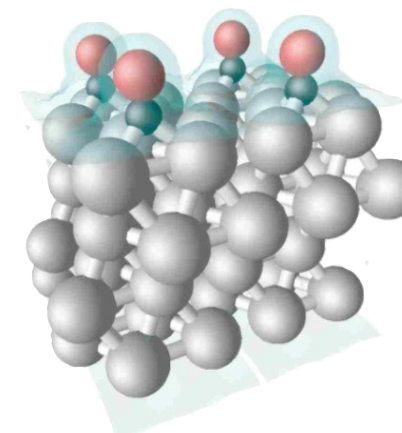


bridge (CO@Pt<sub>2</sub>)

$E_{\text{DFT}} = +0.03 \text{ eV}$

$\nu_{\text{DFT}} = 1845 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 1830 \text{ cm}^{-1}$

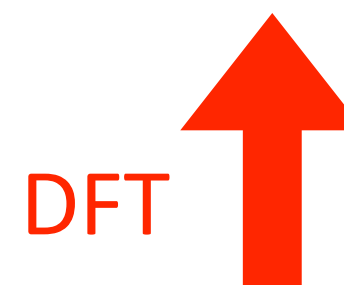


fcc (CO@Pt<sub>3</sub>)

$E_{\text{DFT}} = 0 \text{ eV}$

$\nu_{\text{DFT}} = 1743 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 1780 \text{ cm}^{-1}$



DFT

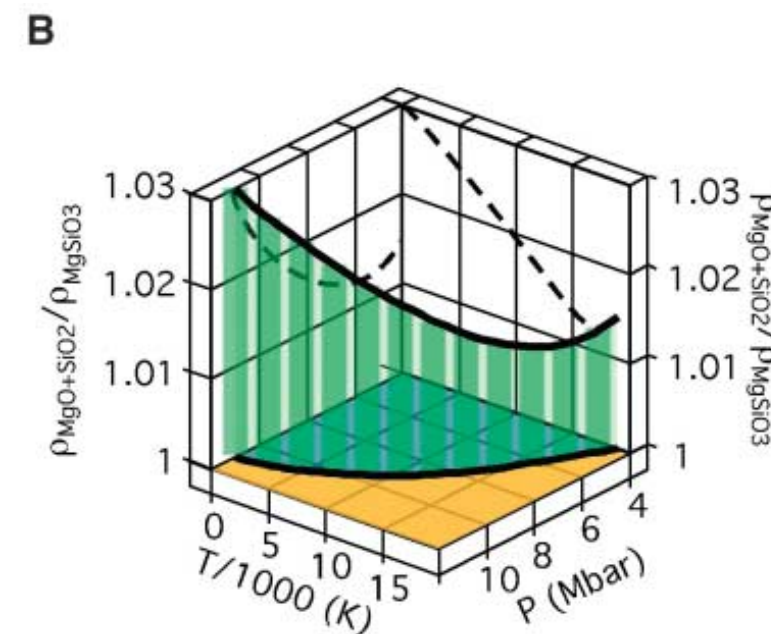
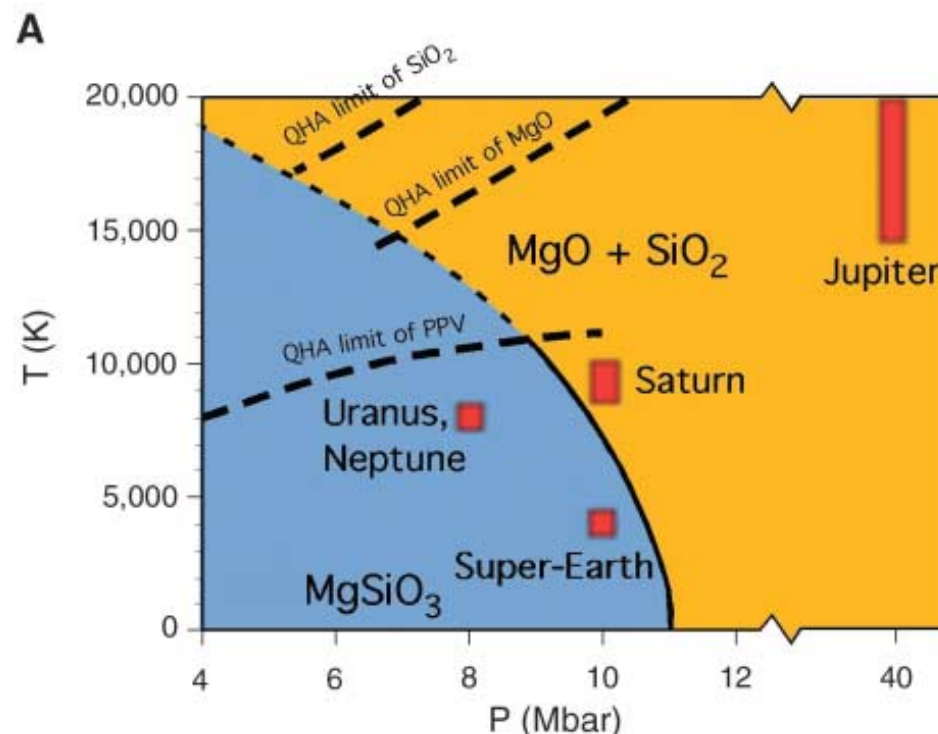
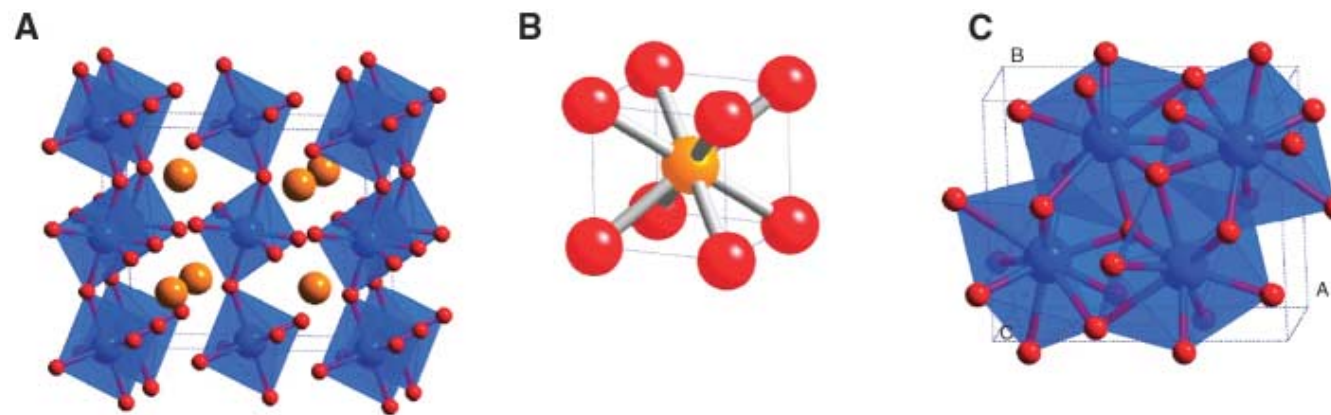
a sampler of recent applications

# Dissociation of $\text{MgSiO}_3$ in the Cores of Gas Giants and Terrestrial Exoplanets

Koichiro Umemoto,<sup>1</sup> Renata M. Wentzcovitch,<sup>1\*</sup> Philip B. Allen<sup>2</sup>

www.sciencemag.org SCIENCE VOL 311 17 FEBRUARY 2006

983





# a sampler of recent applications

PRL **100**, 257001 (2008)

PHYSICAL REVIEW LETTERS

week ending  
27 JUNE 2008



## ***Ab Initio* Description of High-Temperature Superconductivity in Dense Molecular Hydrogen**

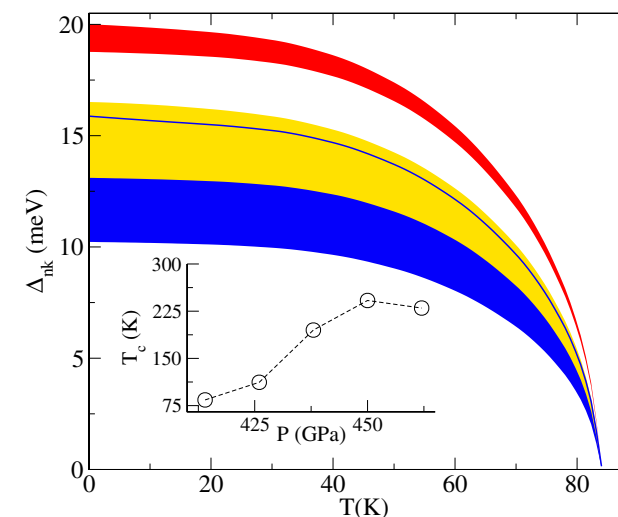
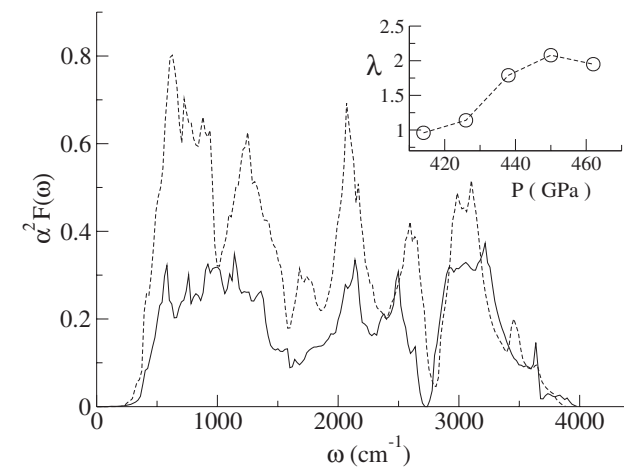
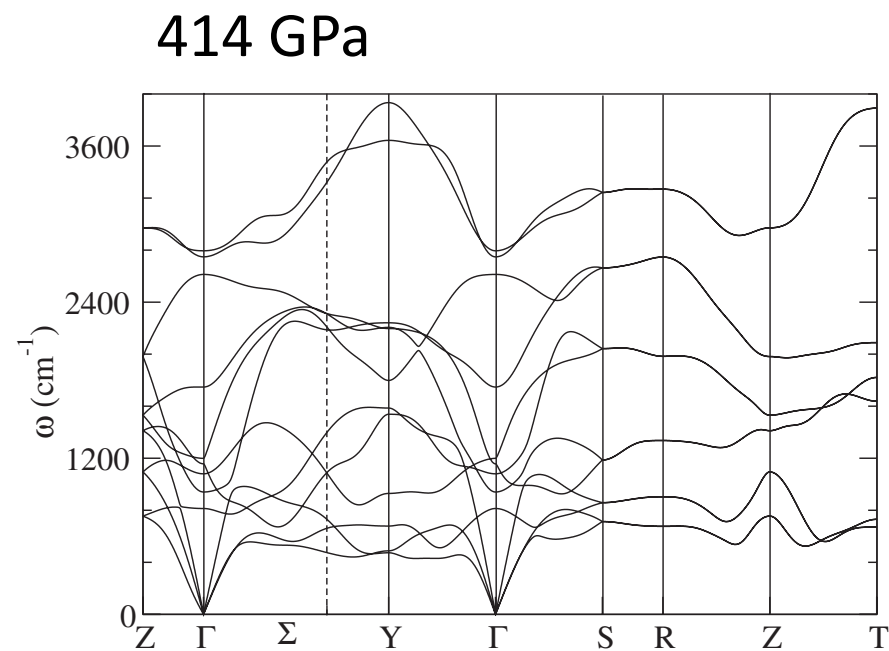
P. Cudazzo,<sup>1</sup> G. Profeta,<sup>1</sup> A. Sanna,<sup>2,3</sup> A. Floris,<sup>3</sup> A. Continenza,<sup>1</sup> S. Massidda,<sup>2</sup> and E. K. U. Gross<sup>3</sup>

<sup>1</sup>*CNISM - Dipartimento di Fisica, Università degli Studi dell'Aquila, Via Vetoio 10, I-67010 Coppito (L'Aquila) Italy*

<sup>2</sup>*SLACS-INFM/CNR—Dipartimento di Fisica, Università degli Studi di Cagliari, I-09124 Monserrato (CA), Italy*

<sup>3</sup>*Institut für Theoretische Physik, Freie Universität Berlin, Arnimallee 14, D-14195 Berlin, Germany*

(Received 7 December 2007; published 23 June 2008; corrected 27 June 2008)



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PRL **100**, 257001 (2008)

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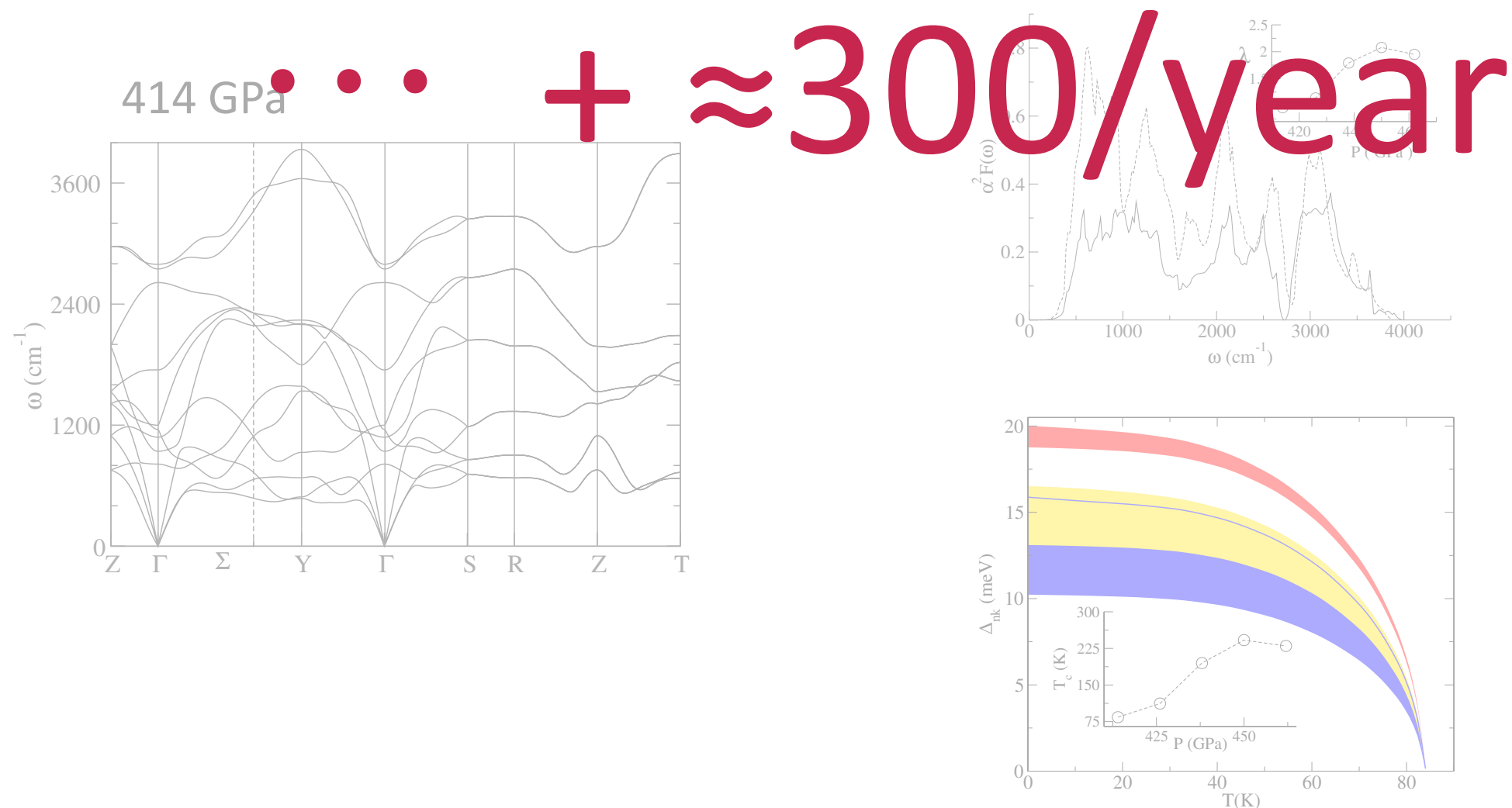
P. Cudazzo,<sup>1</sup> G. Profeta,<sup>1</sup> A. Sanna,<sup>2,3</sup> A. Floris,<sup>3</sup> A. Continenza,<sup>1</sup> S. Massidda,<sup>2</sup> and E. K. U. Gross<sup>3</sup>

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*That's all Folks!*

these slides at  
<http://talks.baroni.me>