



# linear-response theory (and numerical simulation) of transport in condensed matter

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Scuola Internazionale Superiore di Studi Avanzati  
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# *the linear-response theory of transport*

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$$\mathbf{J} = \frac{1}{\Omega} \int \mathbf{j}(\mathbf{r}) d\mathbf{r} \quad \mathbf{F} = \frac{1}{\Omega} \int \nabla \frac{\partial S}{\partial \mathcal{A}} d\mathbf{r}$$



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charge transport

$$J_Q = \sum_I q_I \mathbf{v}_I$$
$$\mathbf{F}_Q = -\nabla \phi$$

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$$\mathbf{J}_E = \sum_I e_I \mathbf{V}_I + \frac{1}{2} \sum_{I \neq J} (\mathbf{V}_I \cdot \mathbf{F}_{IJ})(\mathbf{R}_I - \mathbf{R}_J)$$
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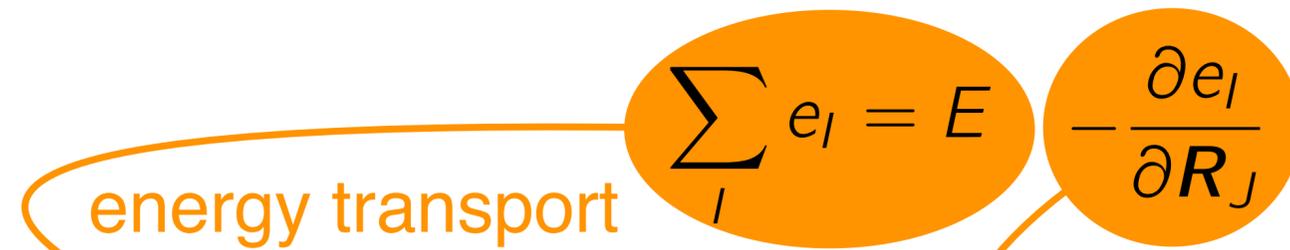
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momentum transport

$$\mathbf{J}_P = \frac{1}{m} \sum_I \mathbf{p}_I \mathbf{p}_I + \frac{\partial E}{\partial \epsilon} + p \delta$$

$$\mathbf{J}_P = \nabla \langle \mathbf{v} \rangle$$

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$$\lambda \propto \int_0^\infty \langle \mathbf{J}(t) \mathbf{J}(0) \rangle dt$$

Green-Kubo

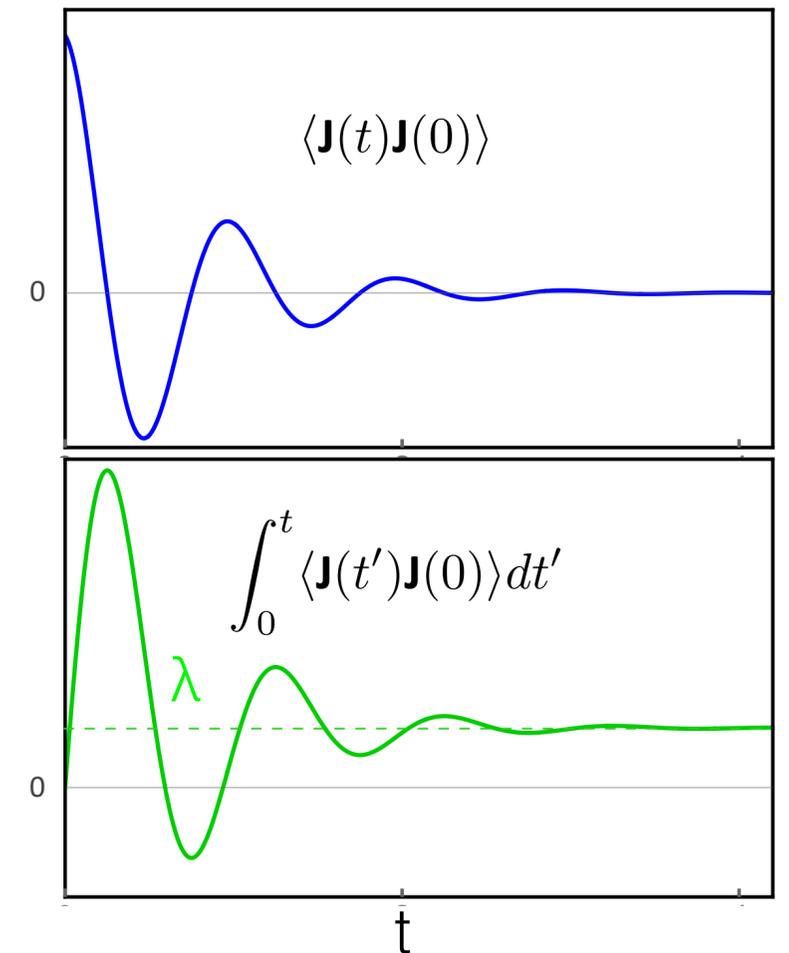


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$$\lambda \propto \underbrace{\int_0^\infty \langle \mathbf{J}(t) \mathbf{J}(0) \rangle dt}_{\langle \mathbf{J}^2 \rangle \tau}$$



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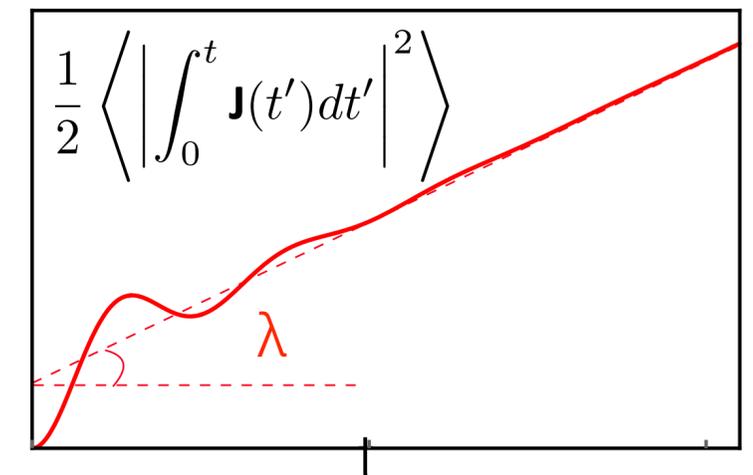
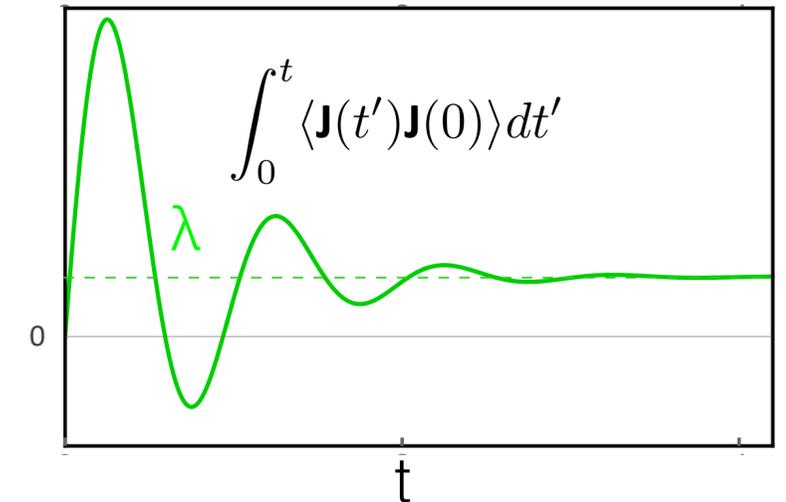
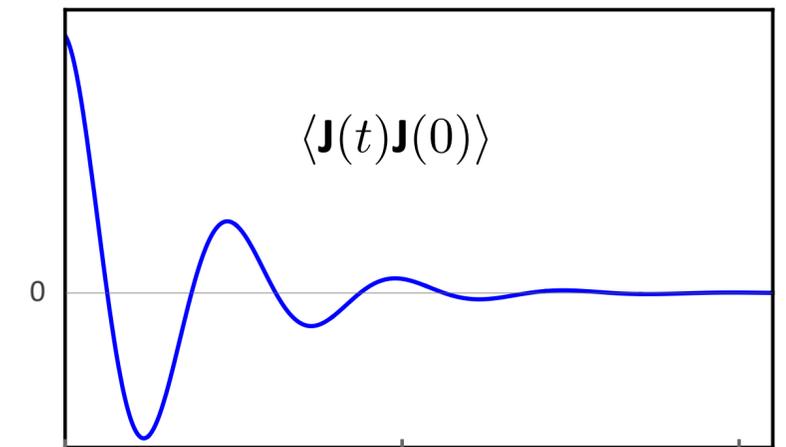
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Einstein-Helfand

$$\lambda \propto \lim_{t \rightarrow \infty} \frac{1}{2t} \text{var} \left[ \int_0^t \mathbf{J}(t') dt' \right]$$



# *correlation functions from molecular dynamics*

$$\lambda \propto \int_0^{\infty} \langle \mathbf{J}(t) \mathbf{J}(0) \rangle dt$$

$$\mathbf{J}(t) = \mathbf{J}(\Gamma_t)$$

$$\Gamma_t = \{q_t, p_t\}$$

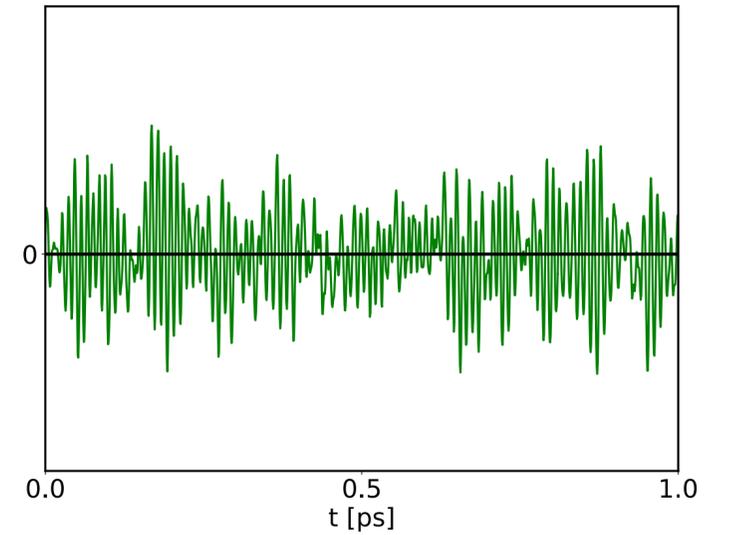
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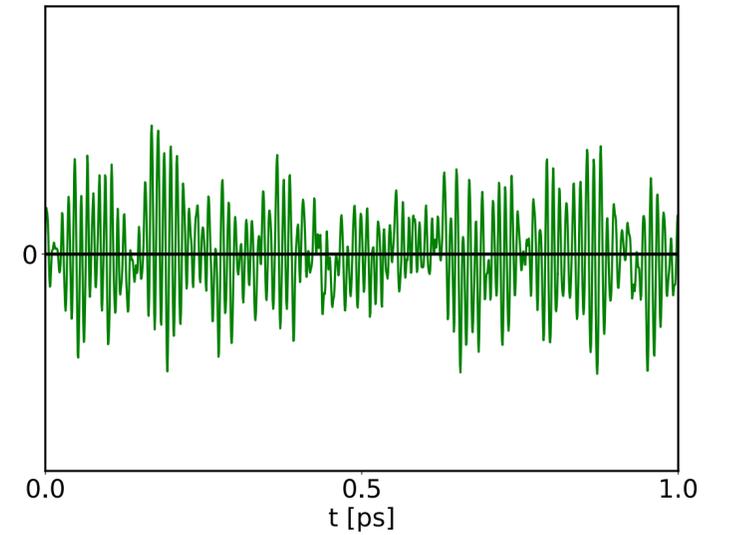
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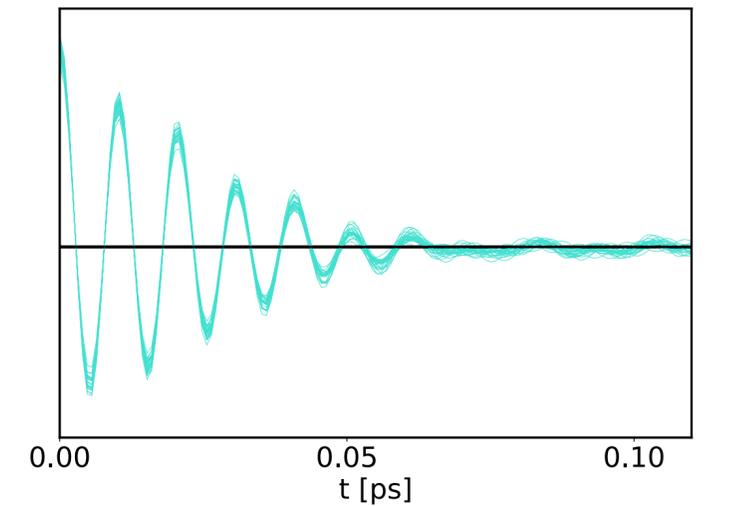
$$\langle \mathbf{J}(t) \mathbf{J}(0) \rangle =$$

$$\frac{1}{T-t} \int_0^{T-t} \mathbf{J}(t+t') \mathbf{J}(t') dt'$$

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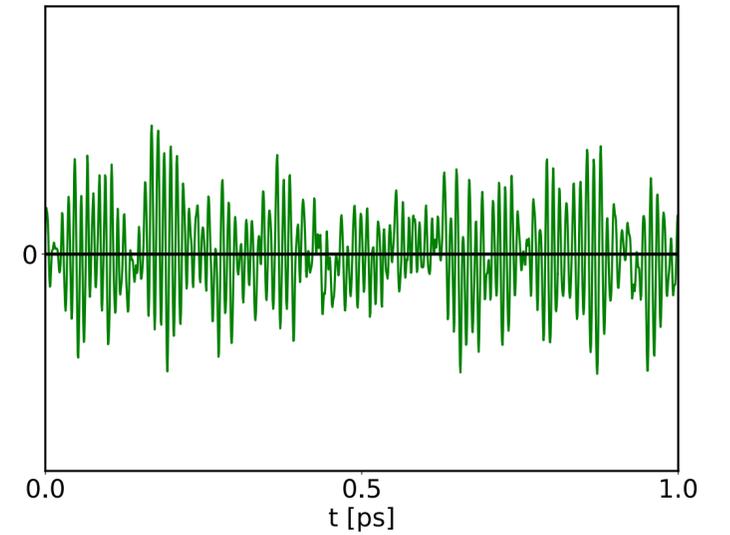
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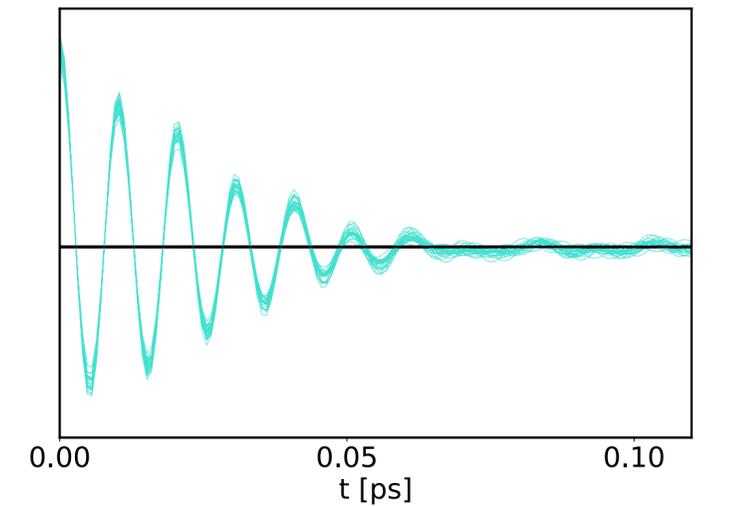
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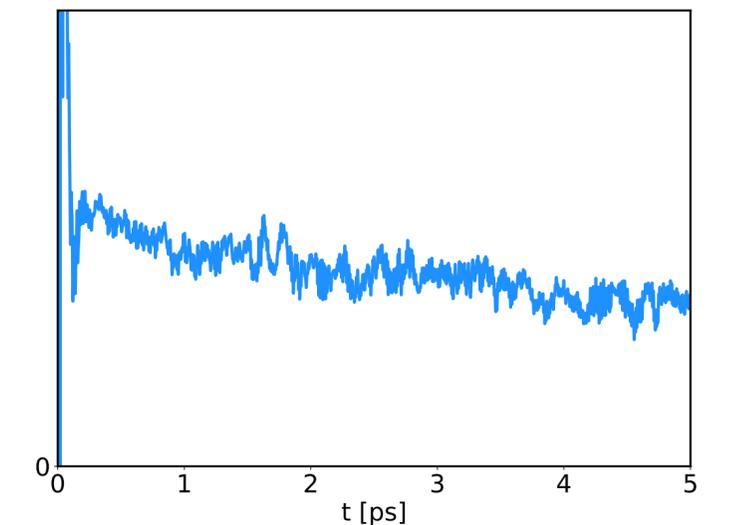


$$\Gamma_t = \{q_t, p_t\}$$

$$\dot{q} = \frac{\partial H}{\partial p}$$

$$\dot{p} = -\frac{\partial H}{\partial q}$$

$$\lambda(\tau) = \int_0^\tau \langle \mathbf{J}(t) \mathbf{J}(0) \rangle dt$$



# *spectral analysis*

$$\begin{aligned} J &= \int_V \mathbf{j}(\mathbf{r}) d\mathbf{r} \\ &= \sum_i \int_{V_i} \mathbf{j}(\mathbf{r}) d\mathbf{r} \end{aligned}$$

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if  $\langle \mathbf{j}(\mathbf{r})\mathbf{j}(\mathbf{r}') \rangle$  is short-range,  $\int_{V_i} \mathbf{j}(\mathbf{r}) d\mathbf{r}$  and  $\int_{V_j} \mathbf{j}(\mathbf{r}) d\mathbf{r}$  for  $i \neq j$  are independent stochastic variables and, by the central-limit theorem,

**$\mathbf{J}(t)$  is a Gaussian process**

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$$\tilde{\mathbf{J}}_T(\omega) = \int_0^T \mathbf{J}(t) e^{i\omega t} dt \quad \text{is Gaussian as well}$$

stationarity implies:

$$\langle \tilde{\mathbf{J}}_T(\omega) \tilde{\mathbf{J}}_T(-\omega') \rangle \sim \begin{cases} 1/T & \text{for } \omega \neq \omega' \\ TS(\omega) & \text{for } \omega = \omega' \end{cases}$$



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$$\begin{aligned}\lambda &= \int_0^{\infty} \langle \mathbf{J}(t)\mathbf{J}(0) \rangle dt \quad S(\omega) \\ &= \frac{1}{2} \int_{-\infty}^{\infty} \langle \mathbf{J}(t)\mathbf{J}(0) \rangle e^{i\omega t} dt \Big|_{\omega=0} \\ &= \frac{1}{2} S(0)\end{aligned}$$

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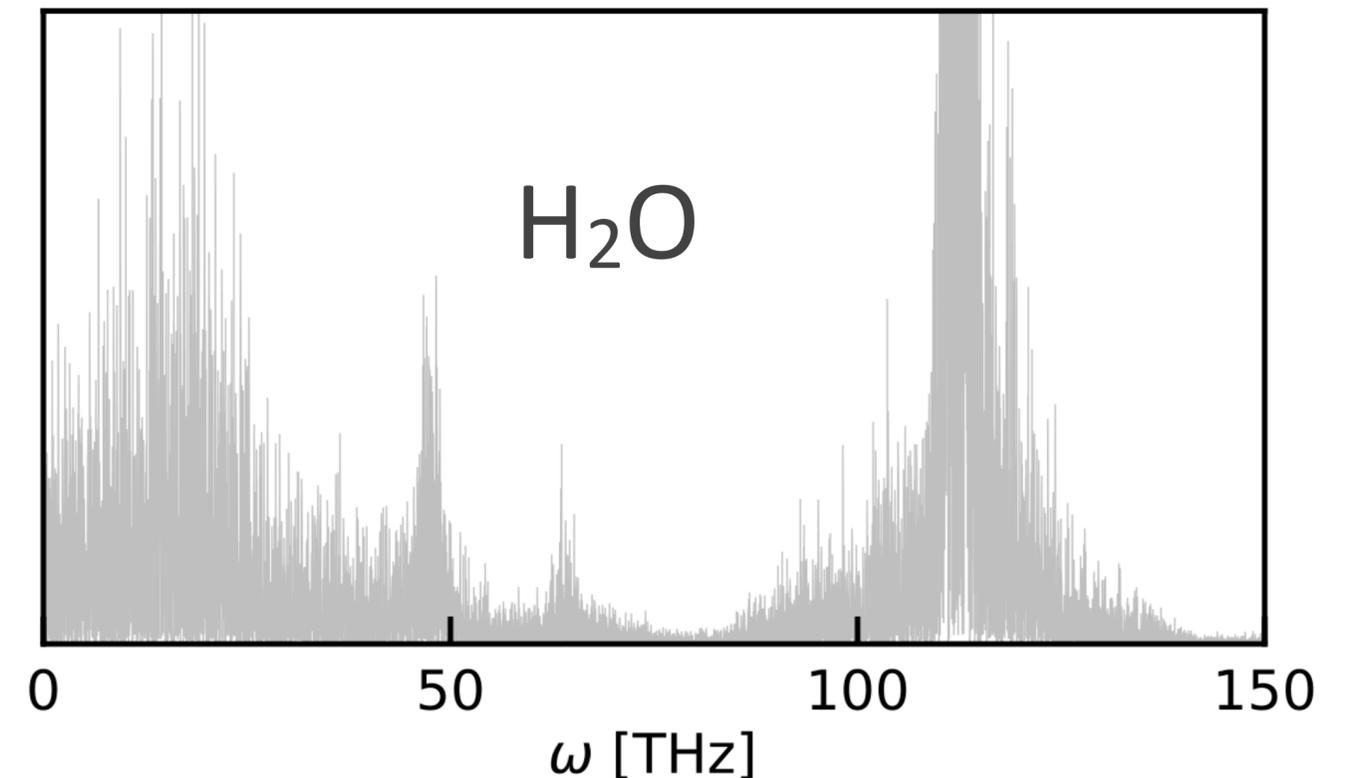
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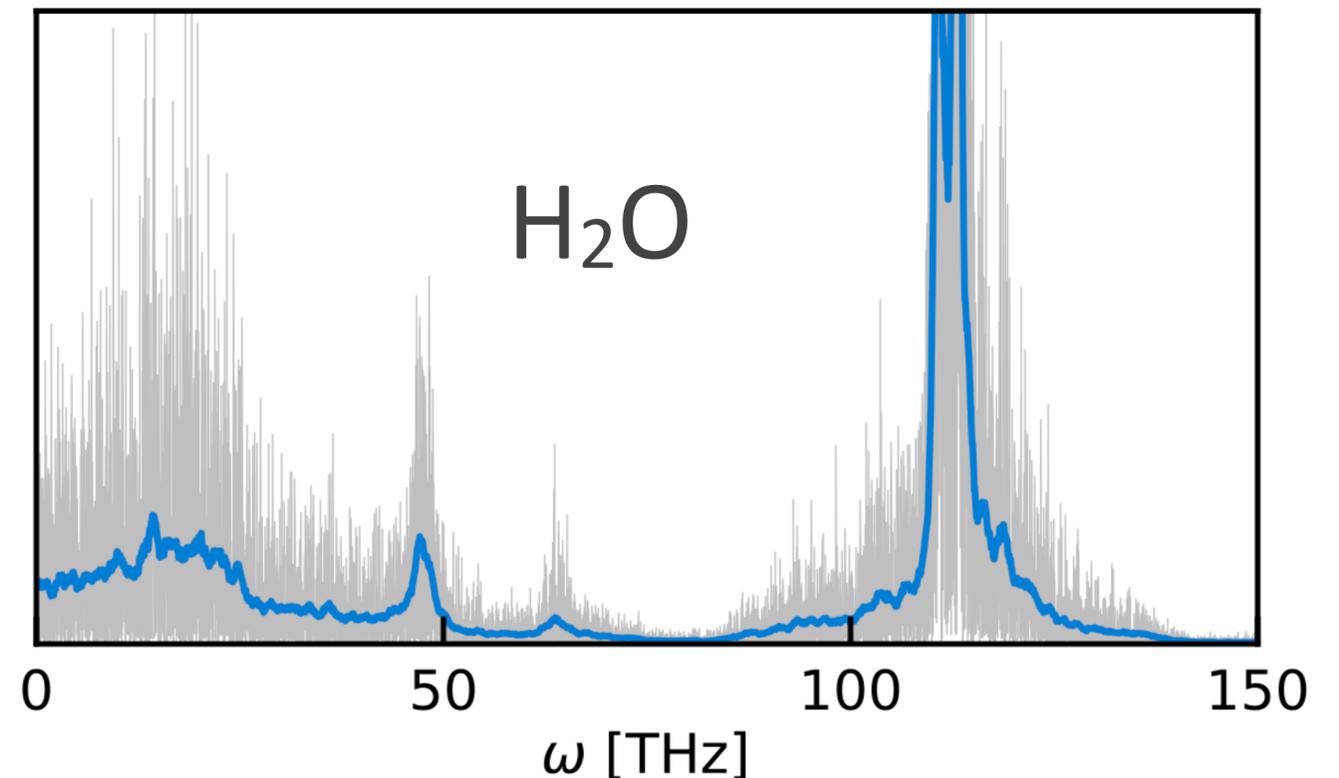
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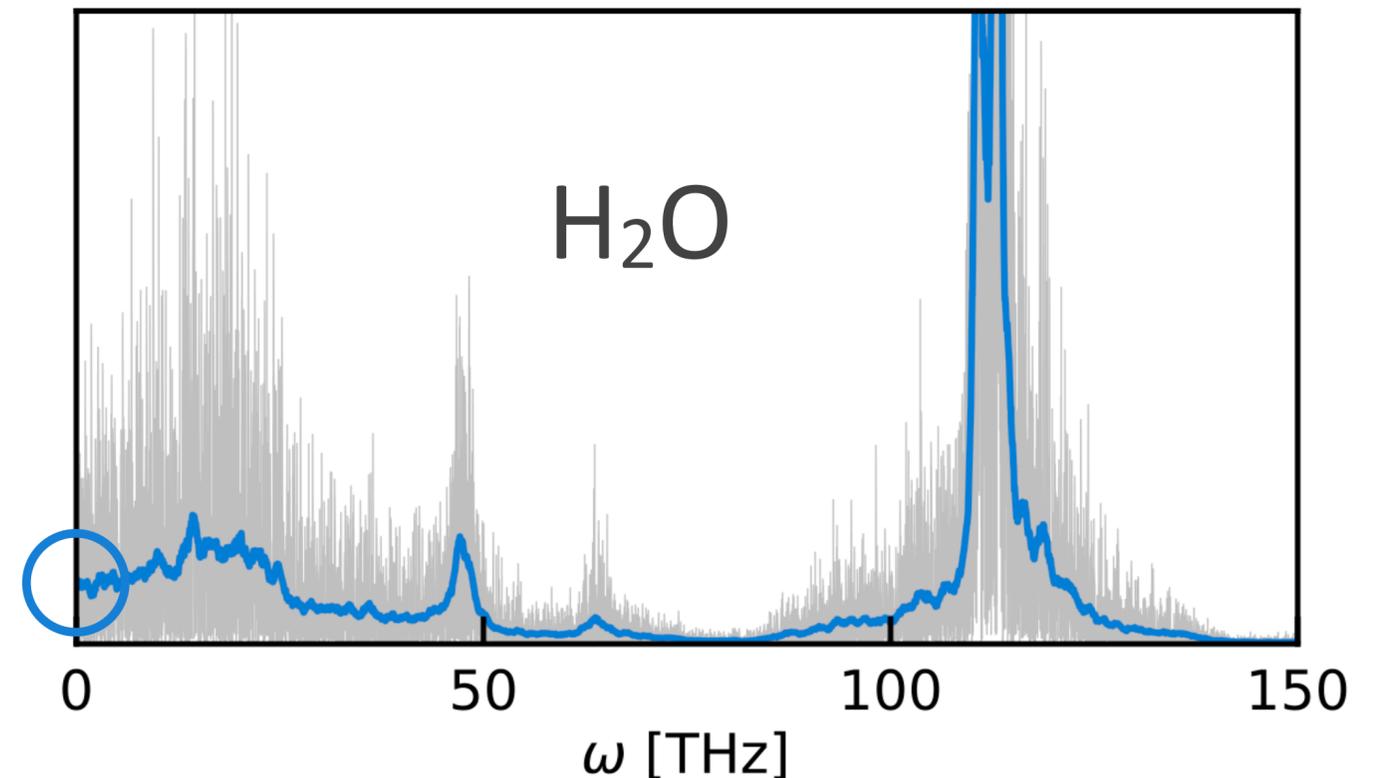
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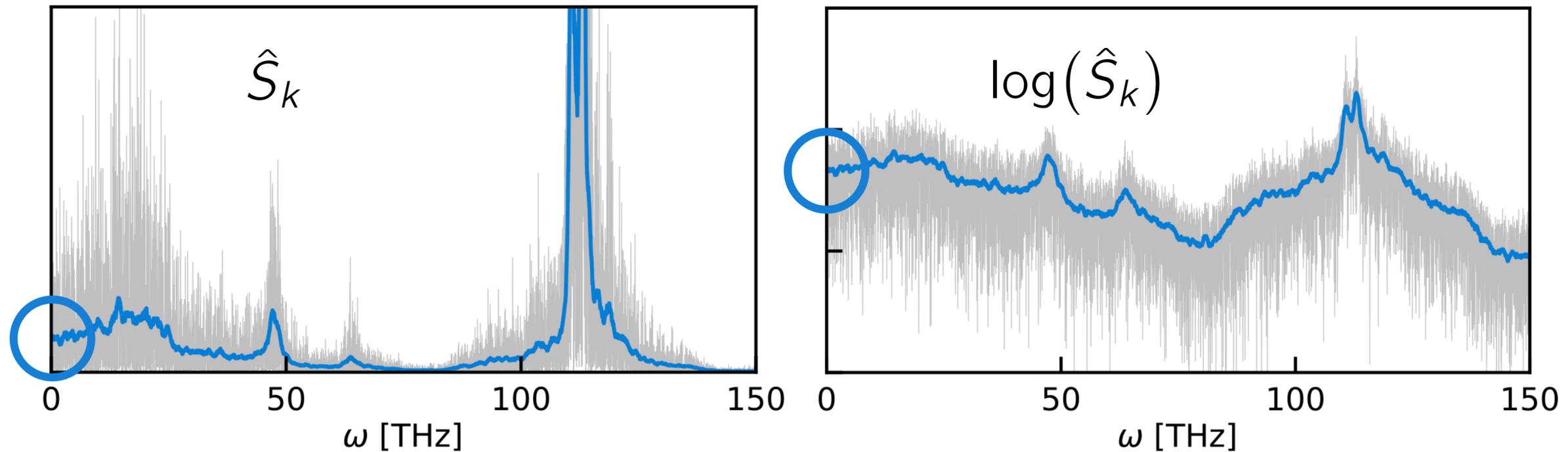
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# *separating flour from bran*

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$$\begin{aligned}\langle \hat{\lambda} \rangle &= 0 \\ \langle \hat{\lambda}^2 \rangle &= \sigma^2\end{aligned}$$

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“cepstral coefficients”  
(J.W. Tukey, 1963)

$$\begin{aligned} \hat{C}_n &\doteq \frac{1}{N} \sum_{k=0}^{N-1} \log(\hat{S}_k) e^{2\pi i \frac{kn}{N}} \\ &= C_n + \lambda \delta_{n0} + \hat{W}_n \end{aligned}$$

$$\hat{w} \sim \mathcal{N}\left(0, \frac{\sigma^2}{N}\right)$$



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$$\sum_{n=-P^*+1}^{P^*-1} \hat{C}_n e^{2\pi i \frac{kn}{N}} = \log(S(\omega_k)) + \lambda + \hat{W}_k$$

$$\hat{W} \sim \mathcal{N}\left(0, \frac{4P^* - 2}{N} \sigma^2\right)$$



# *the cepstral cavobulary*

The Quefreny Alanysis of Time Series for  
Echoes: Cepstrum, Pseudo-Autocovariance,  
Cross-Cepstrum and Saphe Cracking

Bruce P. Bogert, M. J. R. Healy,\* John W. Tukey†  
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Proceedings of the Symposium on Time  
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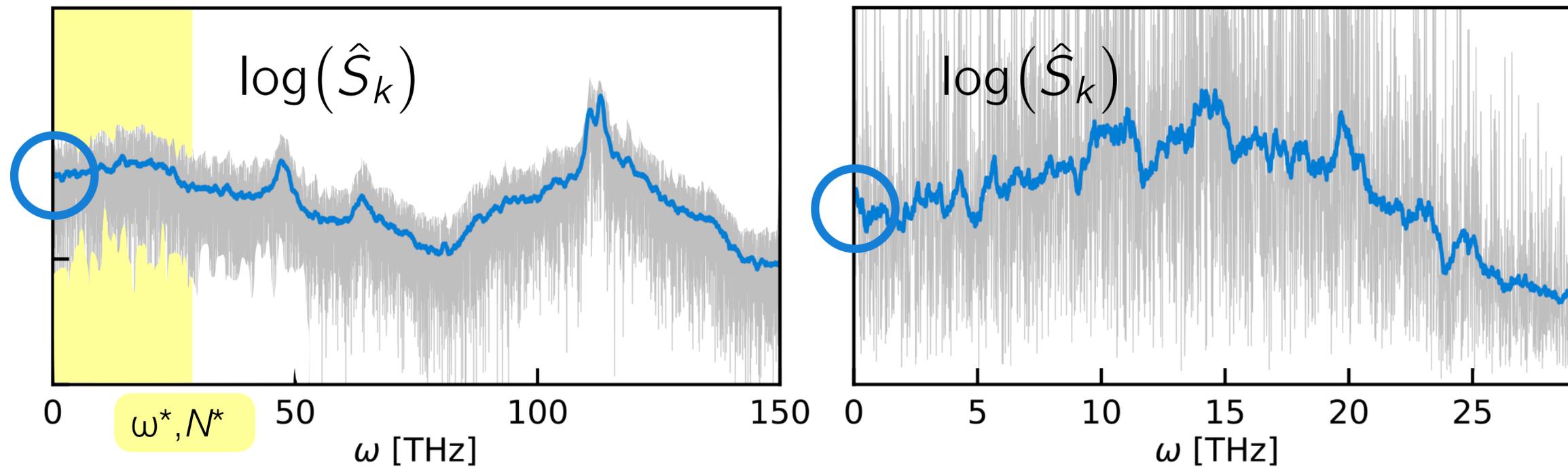
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|           |       |           |
|-----------|-------|-----------|
| spectrum  | ..... | cepstrum  |
| frequency | ..... | quefreny  |
| analysis  | ..... | alansys   |
| period    | ..... | repiod    |
| filtering | ..... | liftering |
| phase     | ..... | saphe     |



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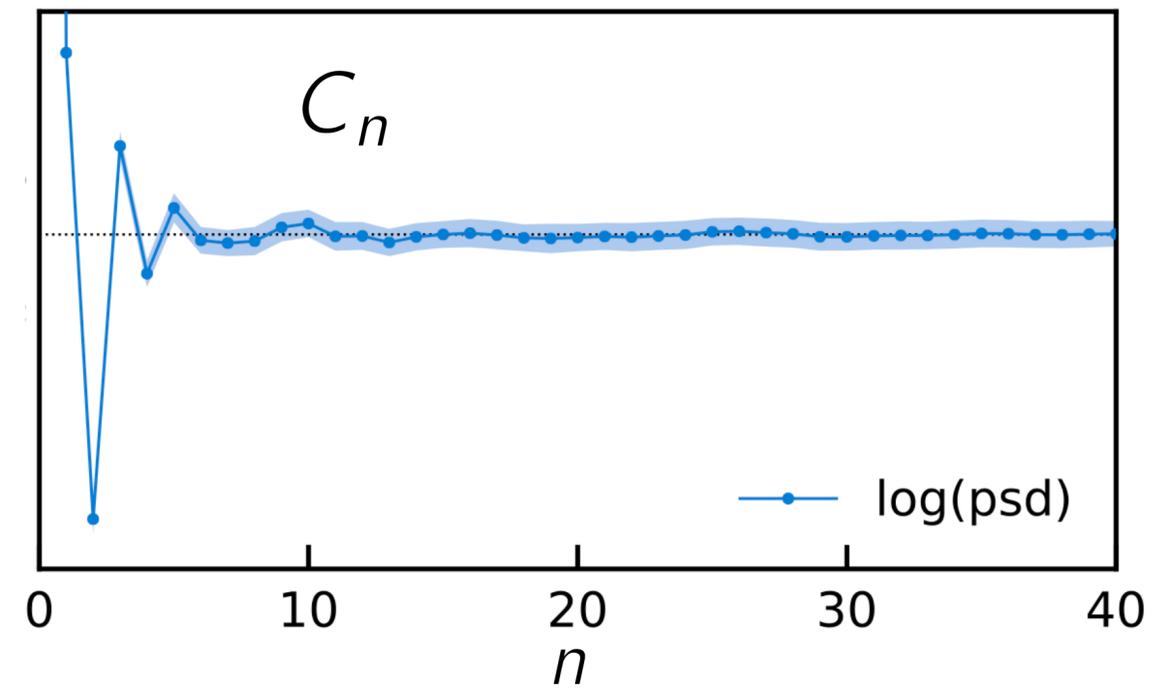
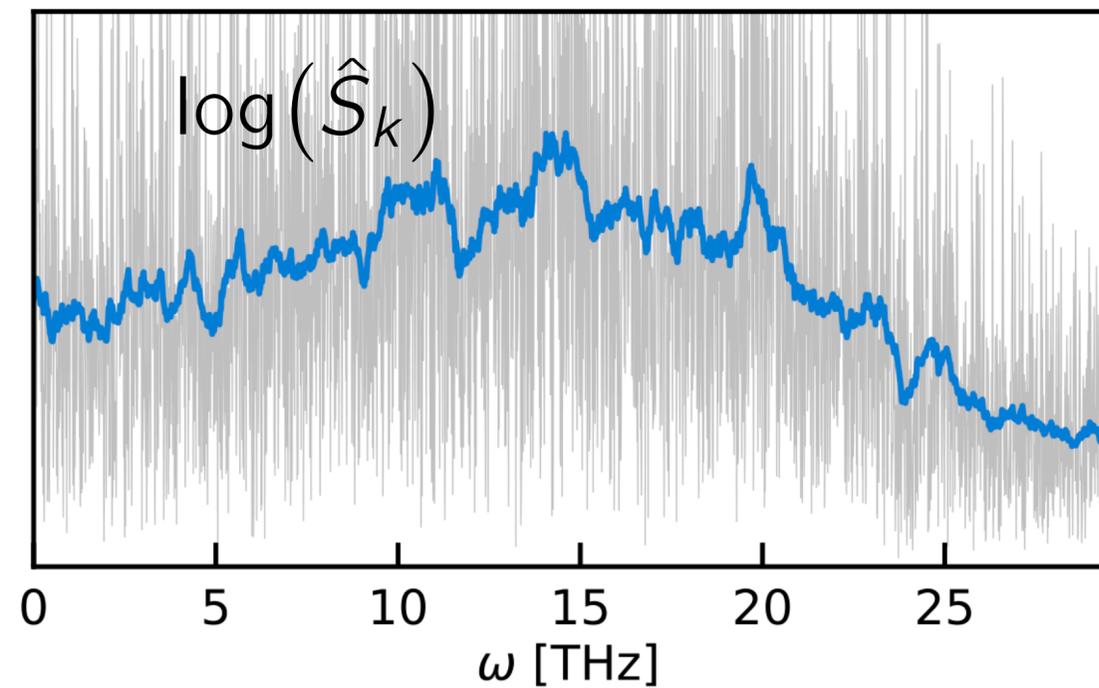
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$$\sum_{n=0}^{N^*-1} \hat{C}_n e^{2\pi i \frac{nk}{N^*}} = \log(S(\omega_k)) + \lambda + \text{noise}$$

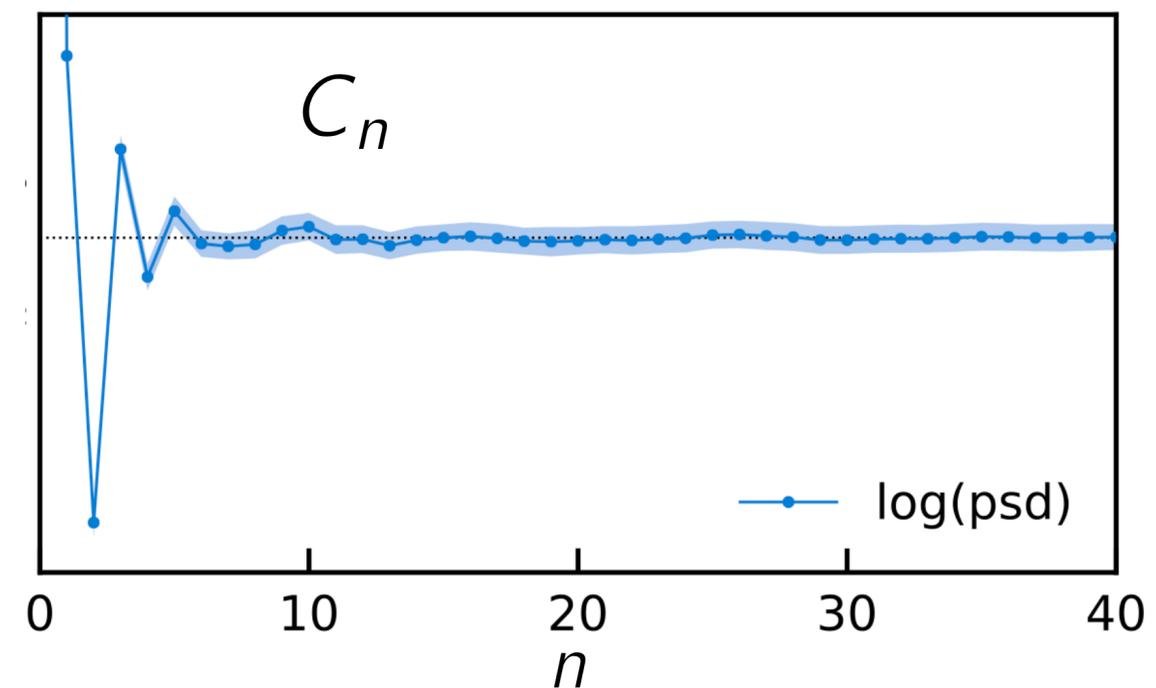
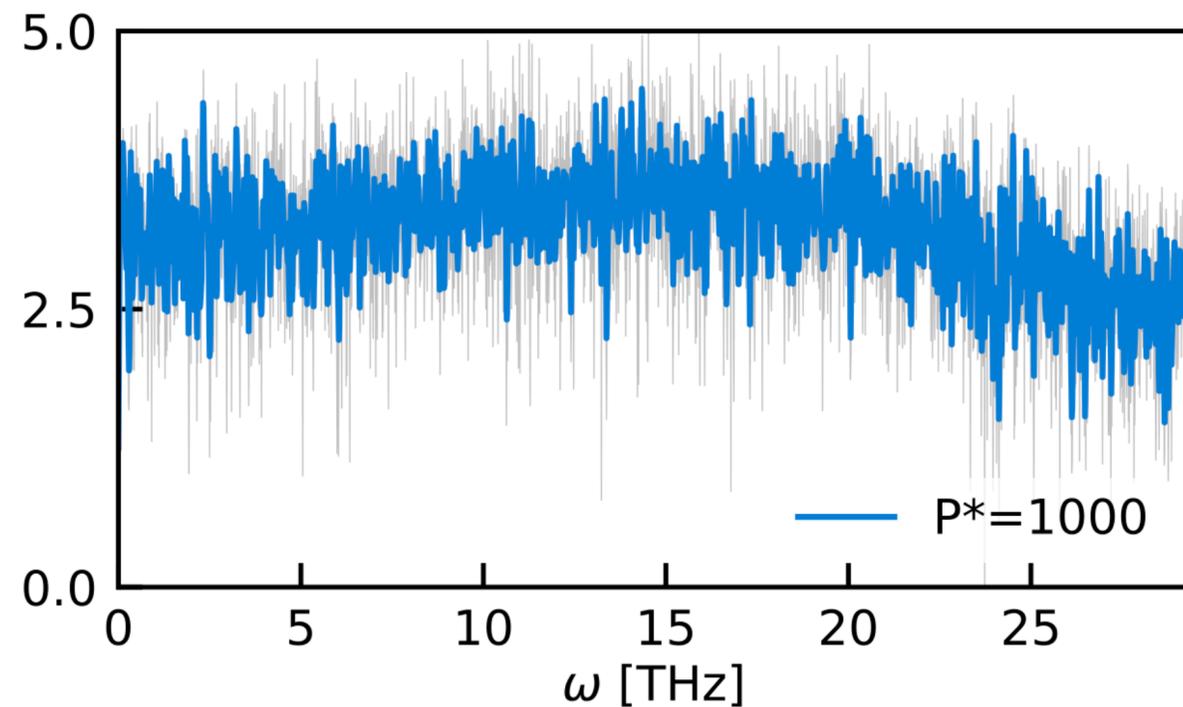


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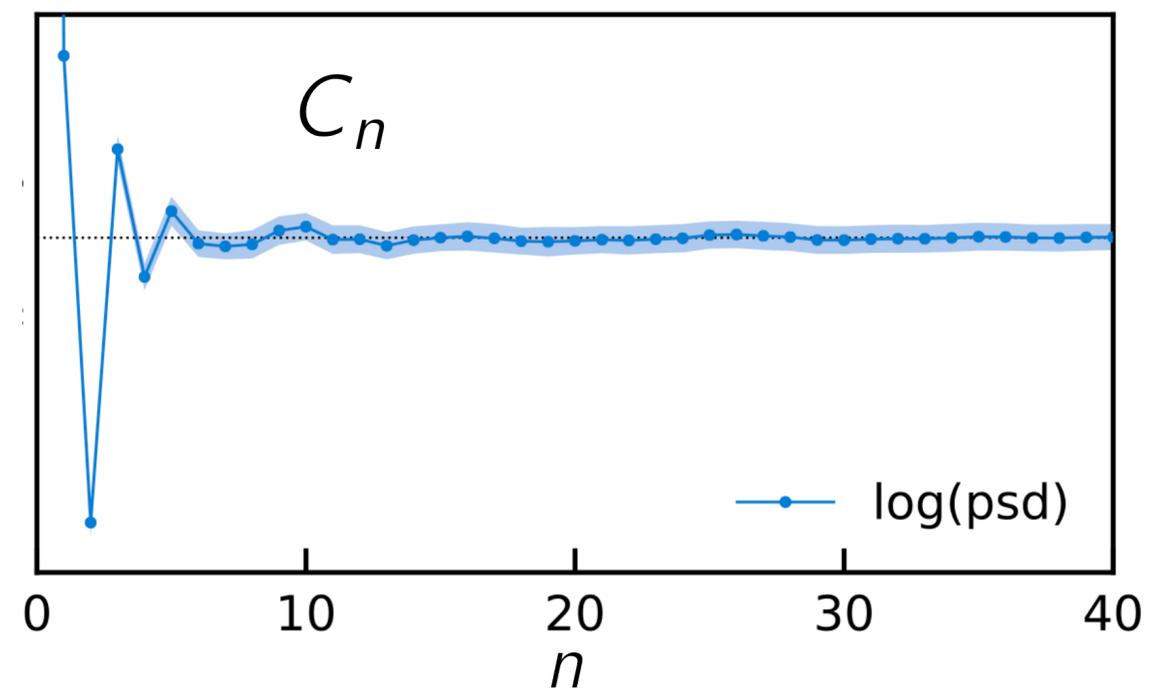
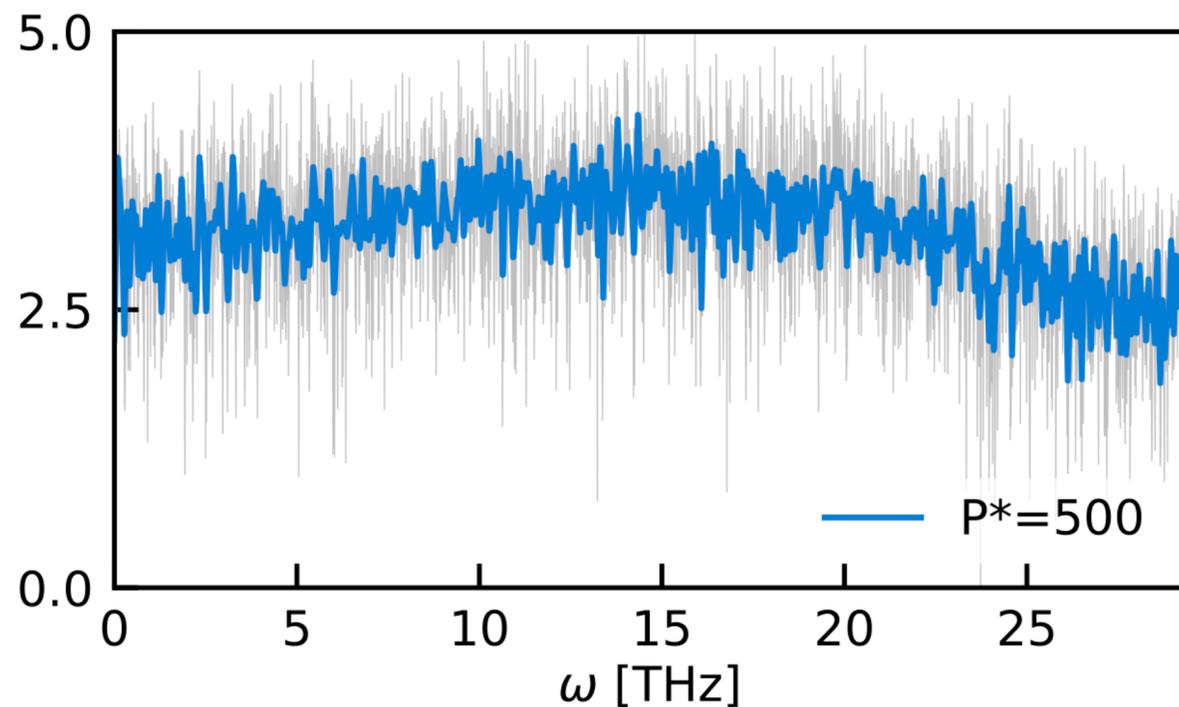


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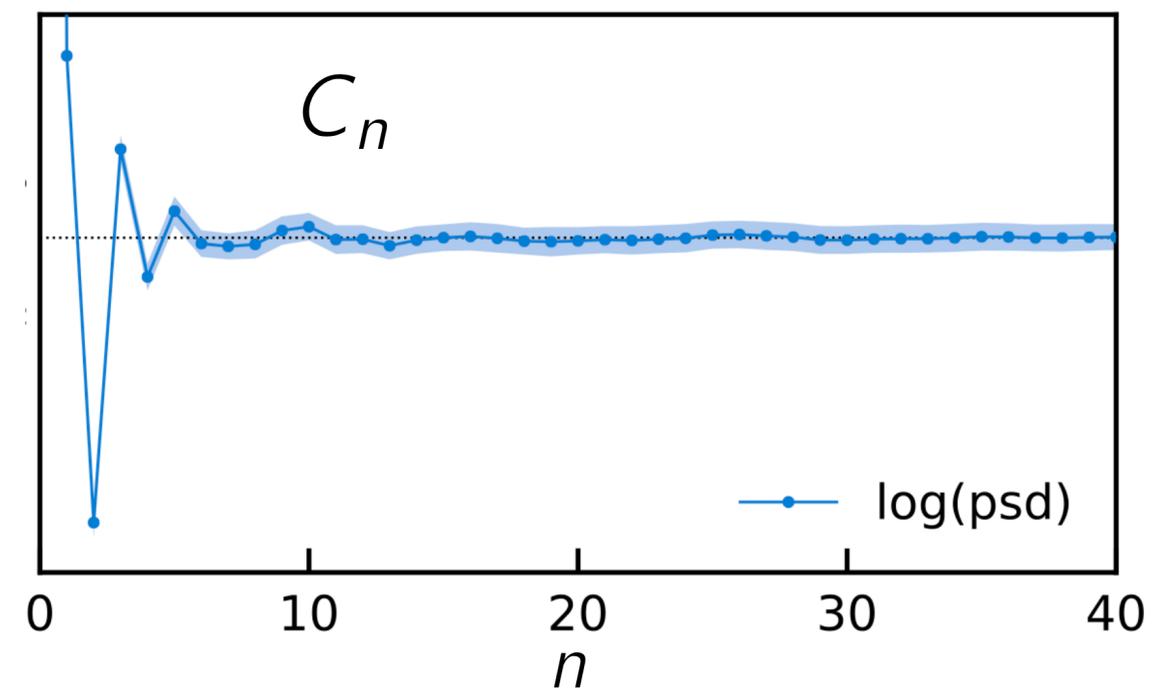
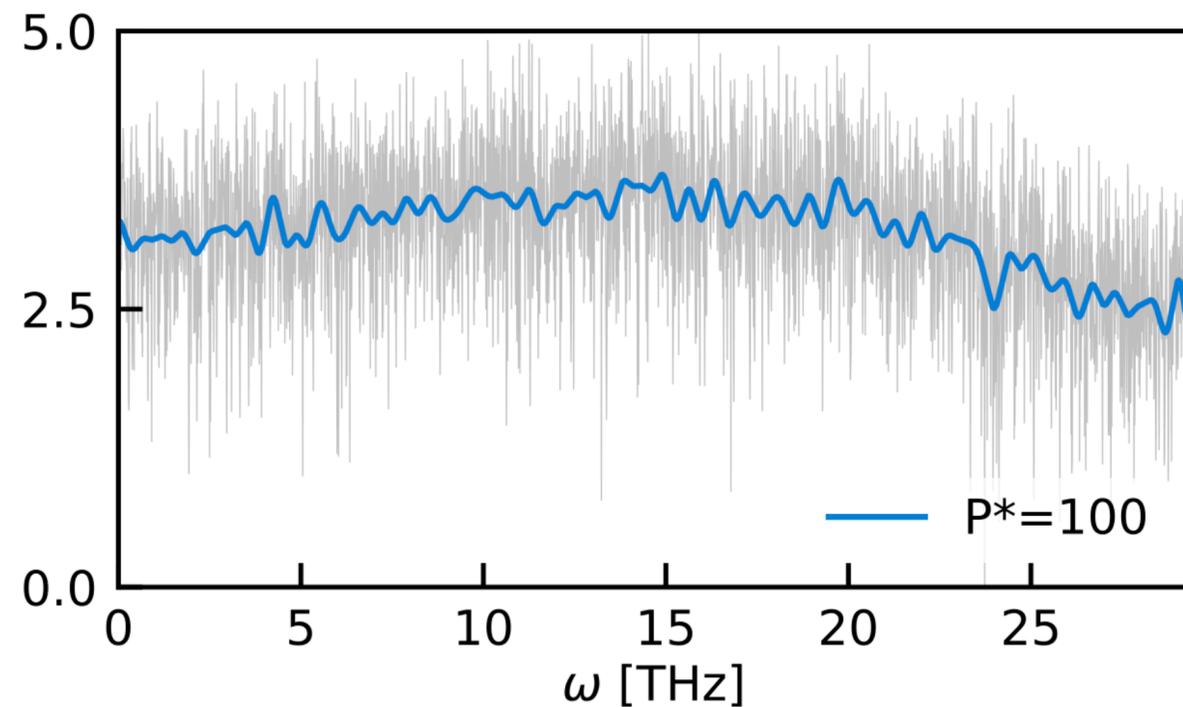


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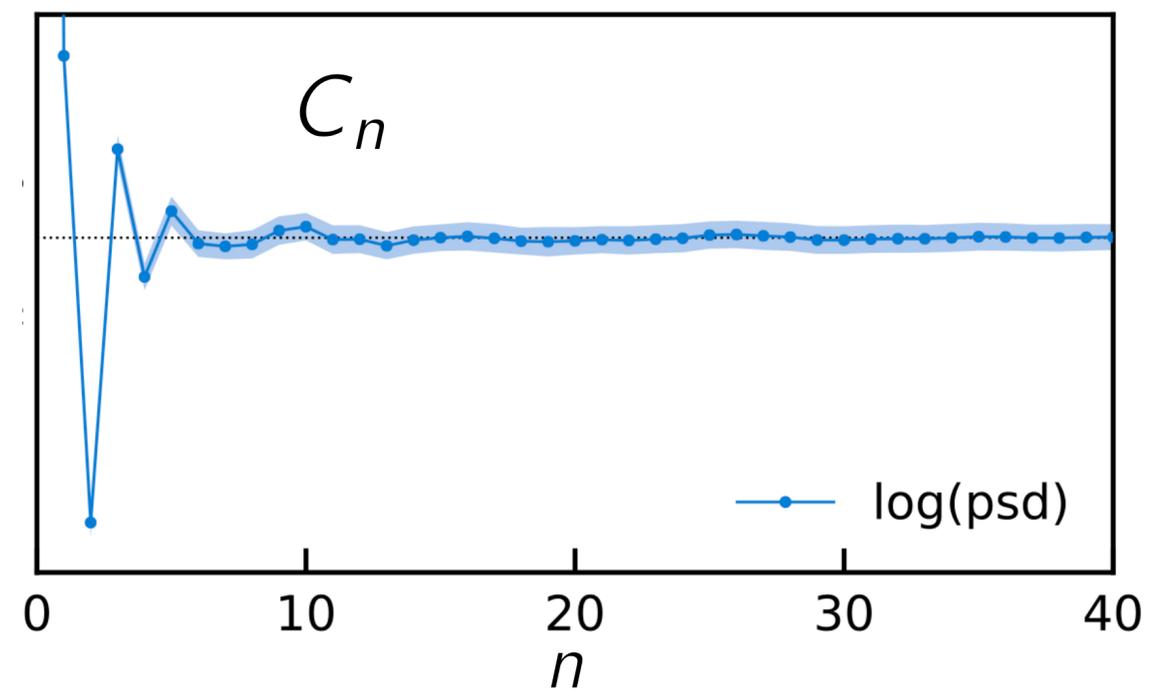
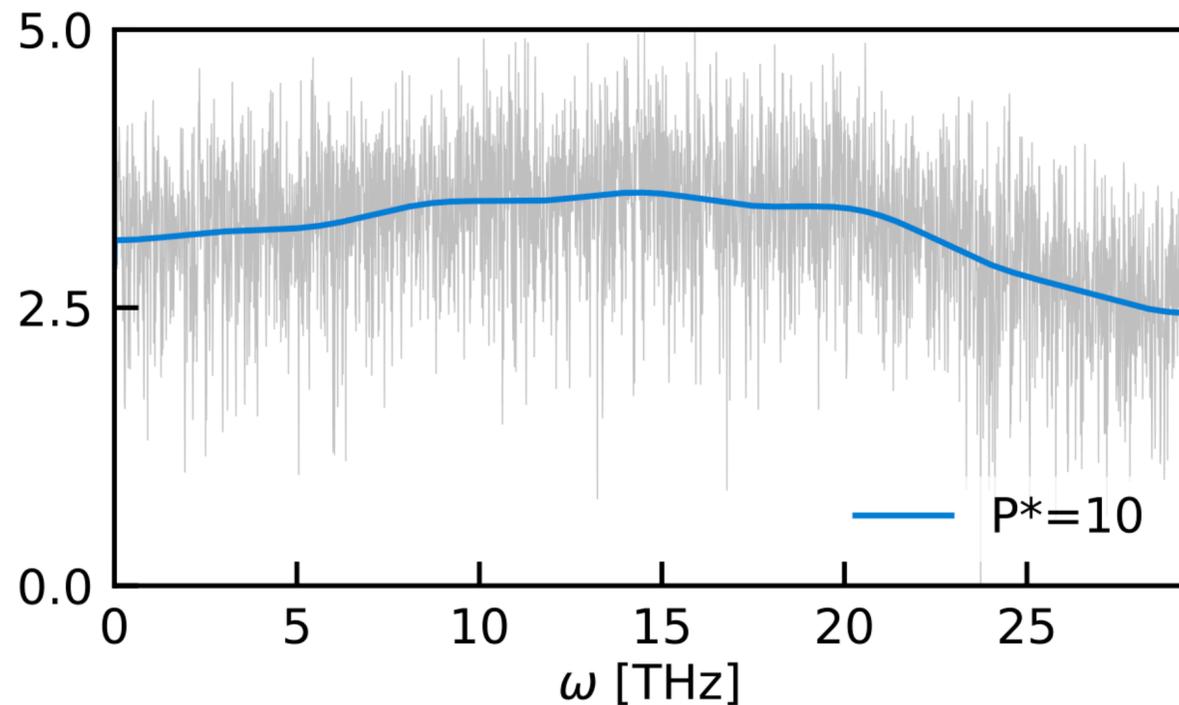


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$$\log(S(0)) = -\lambda + C_0 + 2 \sum_{n=1}^{P^*-1} C_n \pm \sigma \sqrt{\frac{4P^* - 2}{N^*}}$$

constants independent of the time series being sampled



# *determining the optimal number of cepstral coefficients*

cepstral analysis amounts to assuming that the logarithm of the power spectrum can be modelled by a smooth Fourier series:



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AIC:  $\alpha = 2$



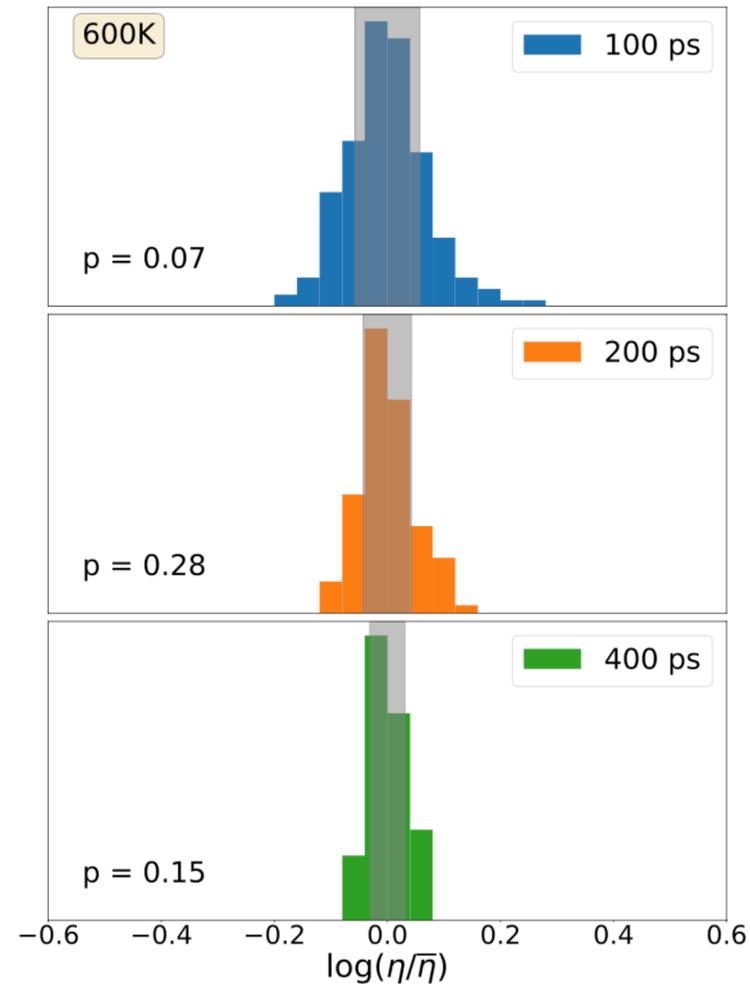
# *checking normality*

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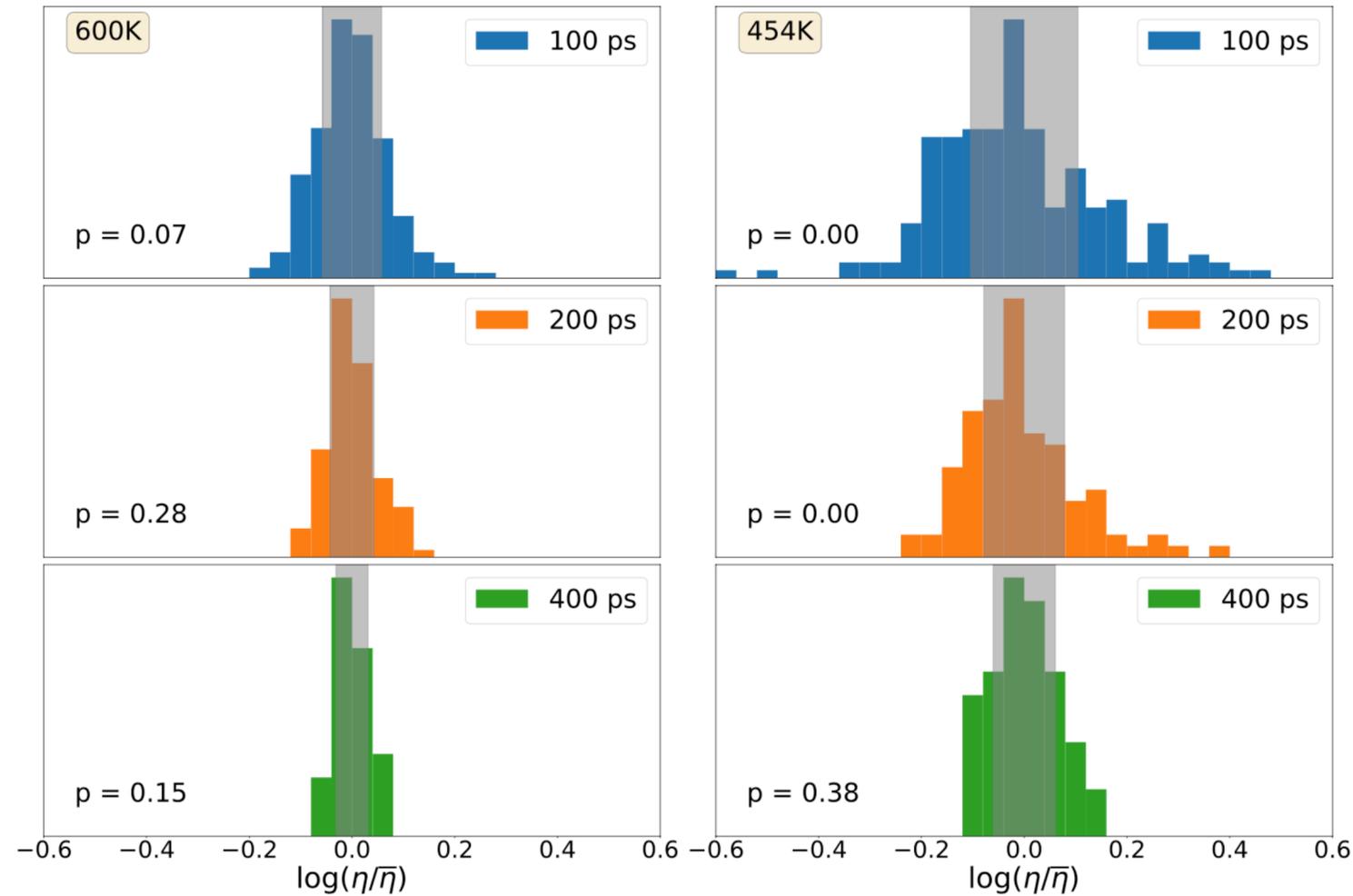
viscosity of DeepMD water computed for different temperatures and using trajectory segments of different lengths



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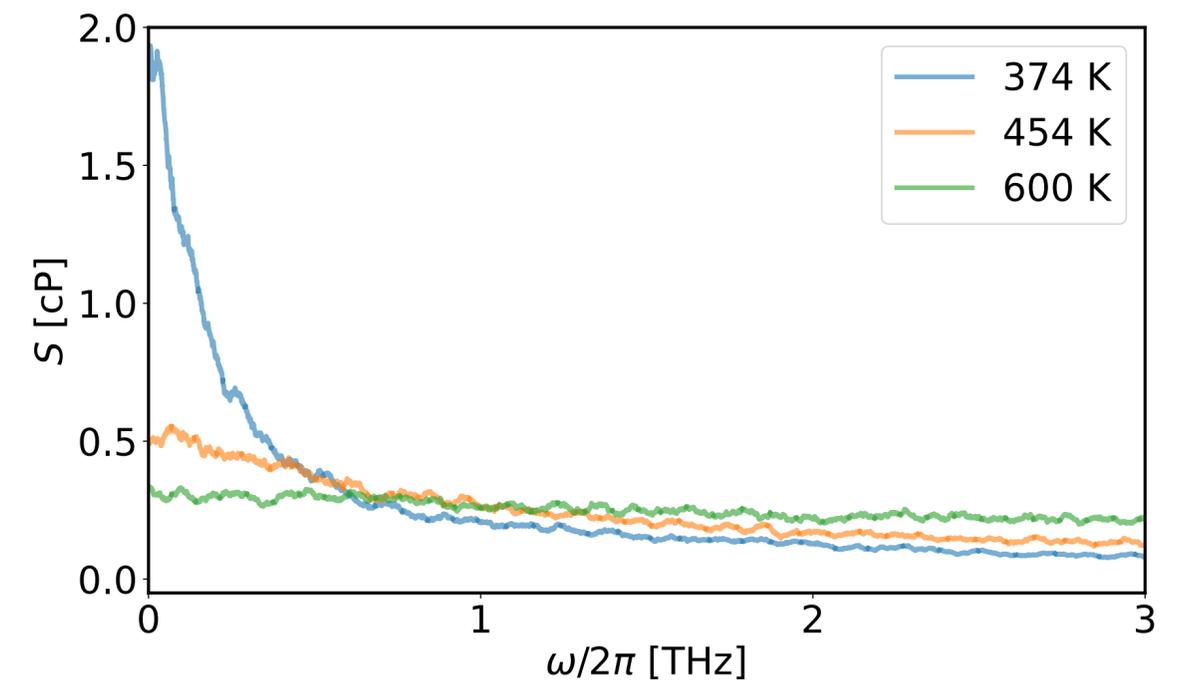
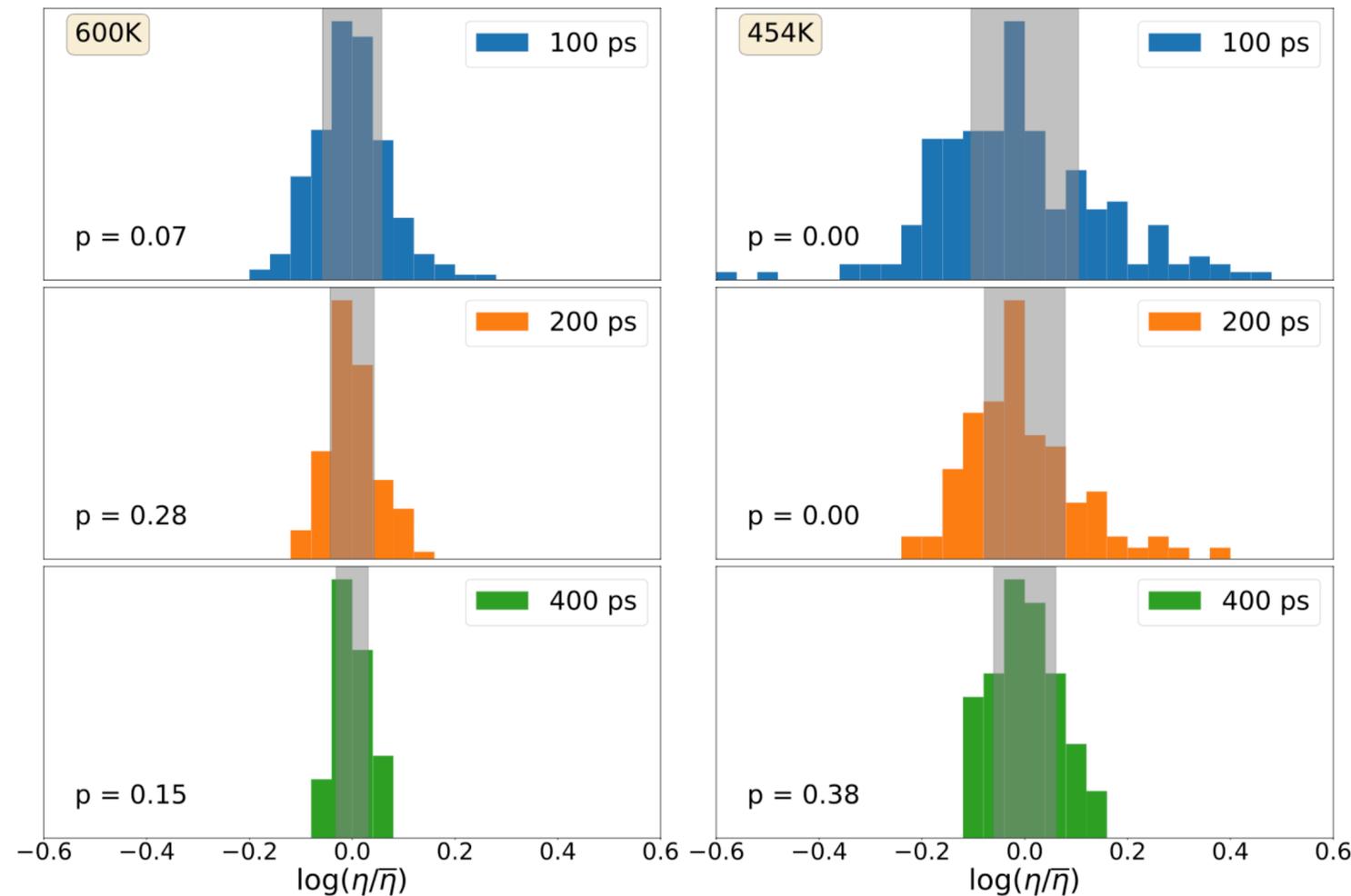
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# *hurdles toward an ab initio Green-Kubo theory*

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PRL **104**, 208501 (2010)

PHYSICAL REVIEW LETTERS

week ending  
21 MAY 2010

## **Thermal Conductivity of Periclase (MgO) from First Principles**

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Lars Stixrude<sup>†</sup>

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and Department of Geology and Geophysics, Louisiana State University, Baton Rouge, Louisiana 70803, USA*

sensitive to the form of the potential. The widely used Green-Kubo relation [14] does not serve our purposes, because in first-principles calculations it is impossible to uniquely decompose the total energy into individual contributions from each atom.



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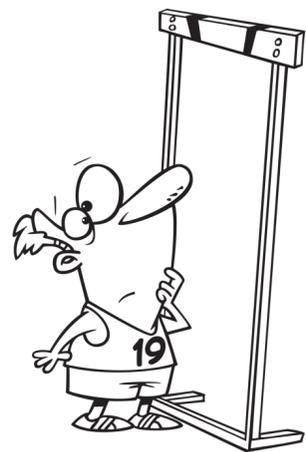
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how come?



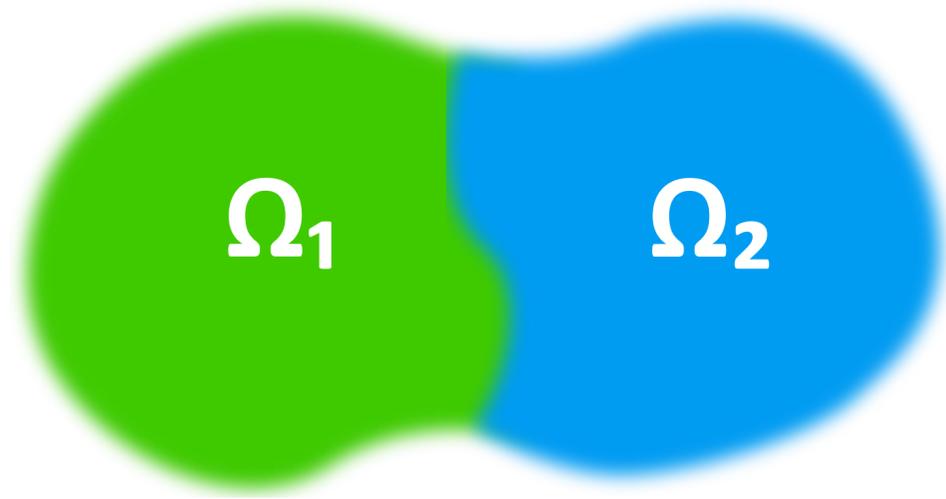
# how come?



how is it that a formally exact theory of the electronic ground state cannot predict *all* measurable adiabatic properties?

# *gauge invariance of transport coefficients*

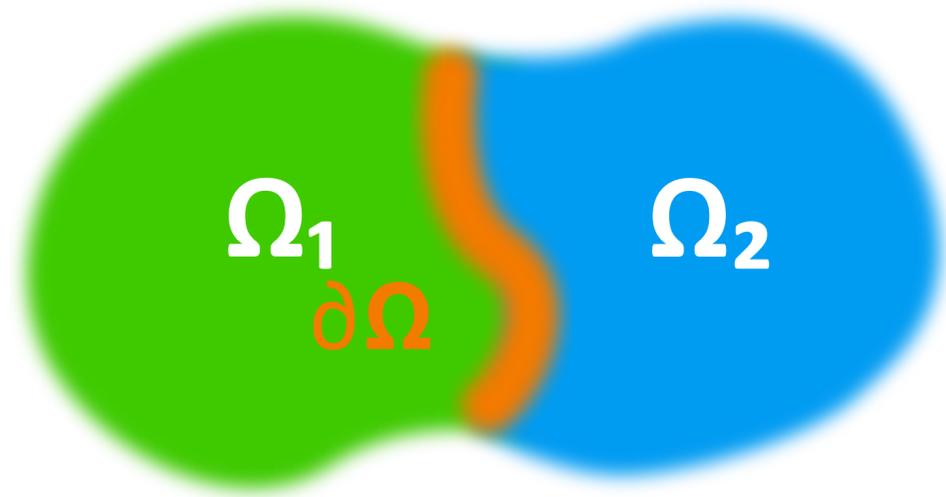
energy is extensive



$$E[\Omega_1 \cup \Omega_2] = E[\Omega_1] + E[\Omega_2]$$

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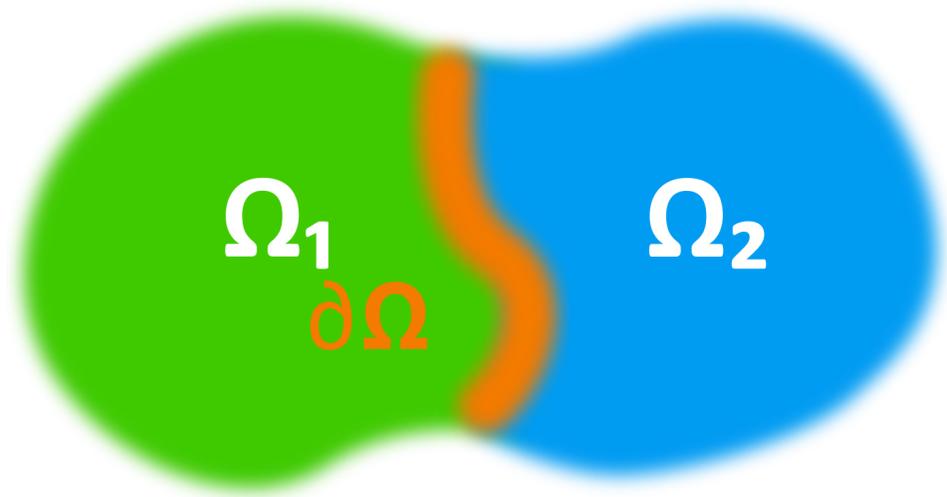
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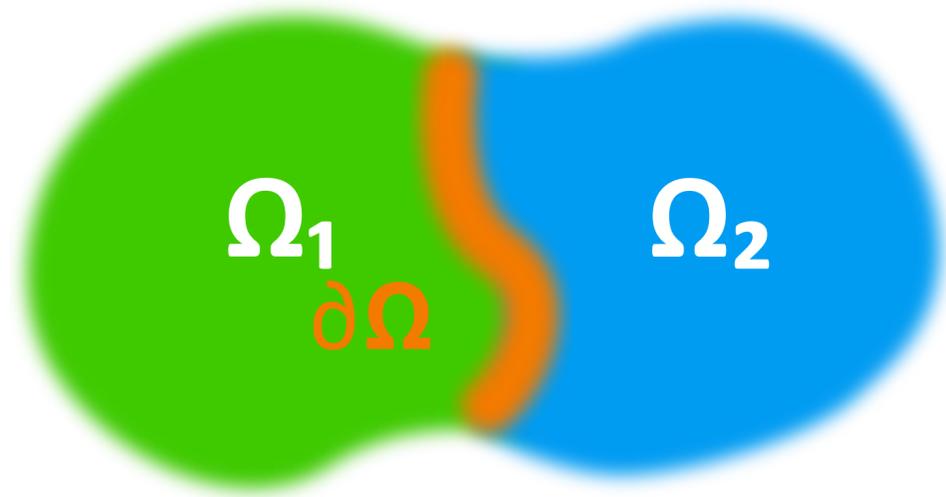


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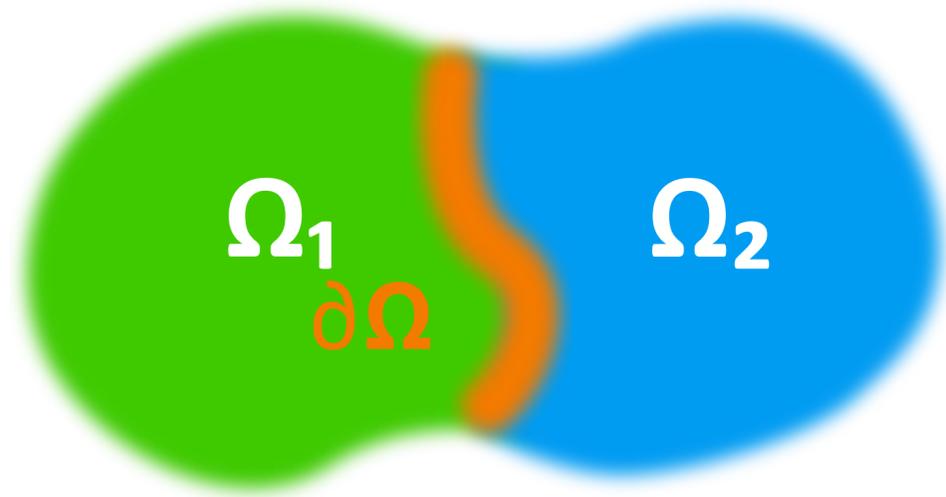
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thermodynamic invariance

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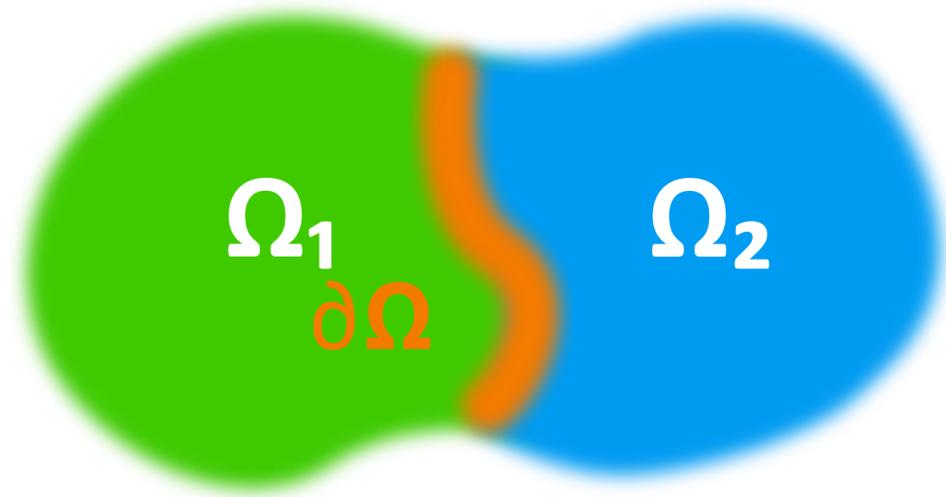
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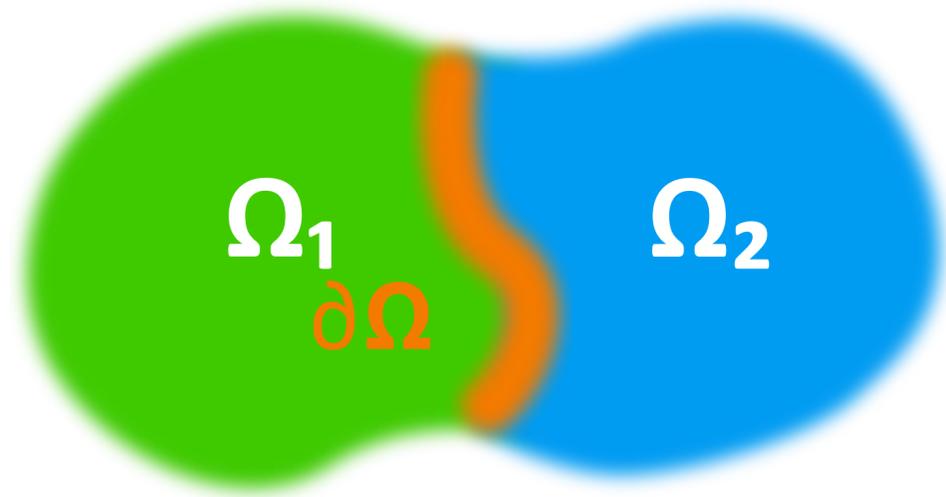
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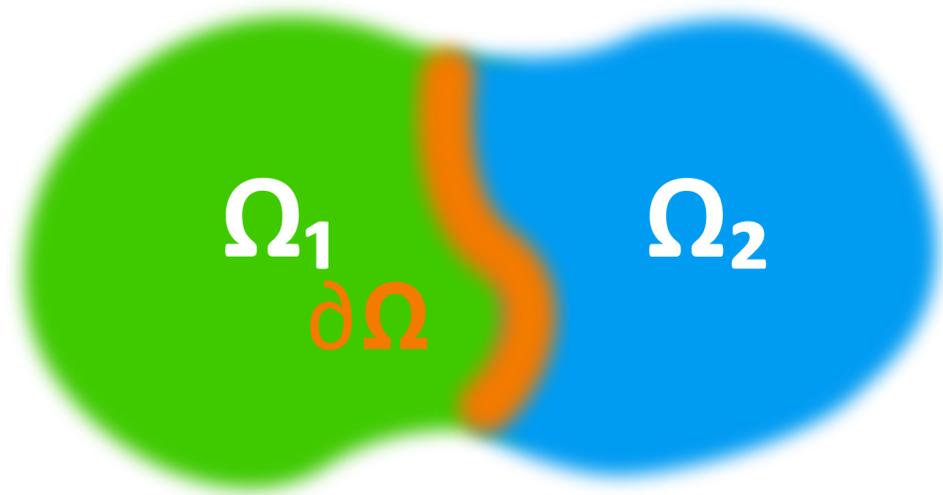
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*gauge invariance of transport coefficients*

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# *gauge invariance of transport coefficients*

$$\mathbf{J}' = \mathbf{J} + \dot{\mathbf{P}}$$

any two conserved densities that differ by the divergence of a (bounded) vector field are physically equivalent

$$\lambda \sim \frac{1}{2t} \text{var}[\mathbf{D}(t)] \quad \mathbf{D}(t) = \int_0^t \mathbf{J}(t') dt'$$

the corresponding conserved fluxes differ by a total time derivative, and the transport coefficients coincide

nature  
physics

ARTICLES

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Microscopic theory and quantum simulation of  
atomic heat transport

Aris Marcolongo<sup>1</sup>, Paolo Umari<sup>2</sup> and Stefano Baroni<sup>1\*</sup>



# *gauge invariance of heat transport*

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sensitive to the form of the potential. The widely used Green-Kubo relation [14] does not serve our purposes, because in first-principles calculations it is impossible to uniquely decompose the total energy into individual contributions from each atom.

## **solution:**

choose *any* local representation of the energy that integrates to the correct value and whose correlations decay at large distance — the conductivity computed from the resulting current will be *independent* of the chosen representation.



# *gauge invariance and neural-network potentials*

$$J_{\mathcal{E}} = \sum_I e_I \mathbf{V}_I + \frac{1}{2} \sum_{I \neq J} (\mathbf{V}_I \cdot \mathbf{F}_{IJ}) (\mathbf{R}_I - \mathbf{R}_J)$$

$$\sum_I e_I = E \quad \mathbf{F}_{IJ} = -\frac{\partial e_I}{\partial \mathbf{R}_J} = 0 \text{ for } |\mathbf{R}_I - \mathbf{R}_J| \geq R^*$$

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how come that two currents,  $\mathbf{J}$  and  $\mathbf{J}'$ , derived from different (and *not measurable*) local partitions of the total energy,  $\{e_I\}$  and  $\{e'_I\}$ , both satisfying the above conditions, and hence equally acceptable, result in the same *measurable* value of the heat conductivity?

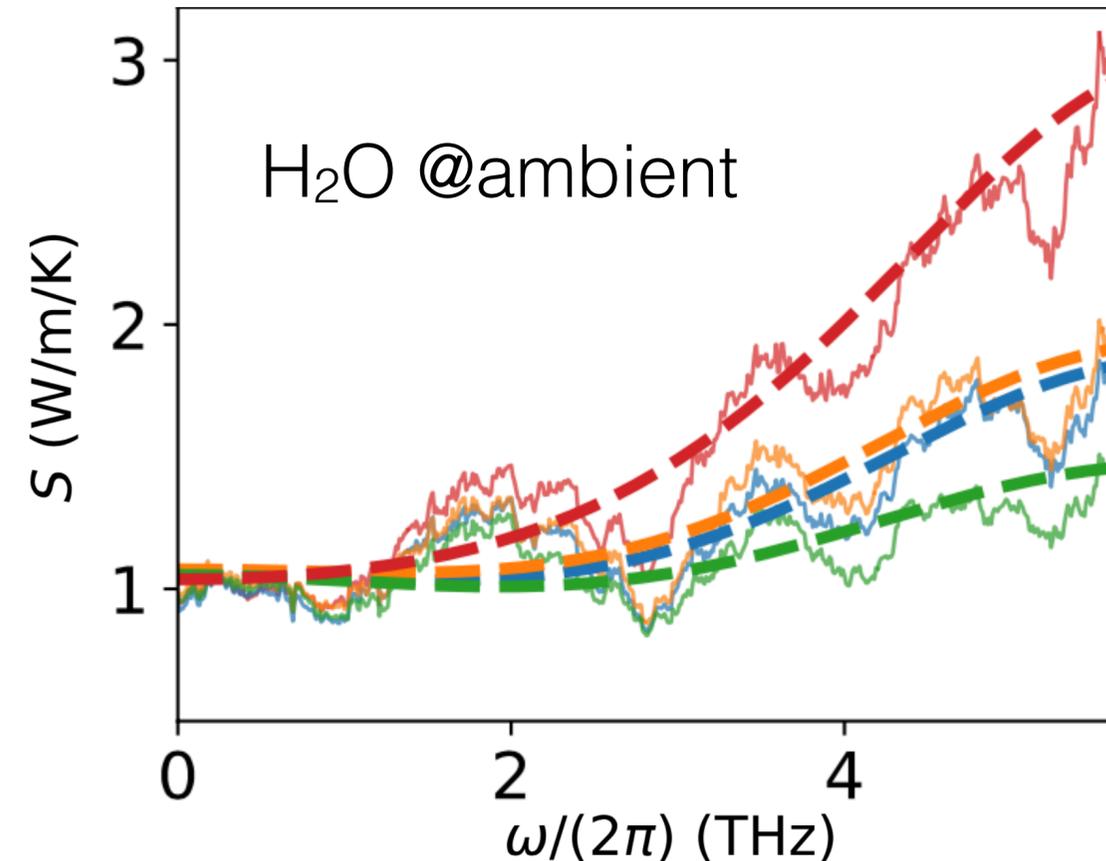


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- this same gauge-invariance principle makes the value of the heat conductivity computed from deep-neural-network potentials independent of the details of the NN model;
- the straightforward application of the Green-Kubo theory of linear response to *ab initio* molecular dynamics is numerically challenging, in that it would require sampling trajectories of several nano-seconds;



# *conclusions*

- a newly discovered gauge-invariance principle for transport coefficients makes it possible to formulate a consistent density-functional or, more generally, quantum theory of adiabatic heat transport;
- this same gauge-invariance principle makes the value of the heat conductivity computed from deep-neural-network potentials independent of the details of the NN model;
- the straightforward application of the Green-Kubo theory of linear response to *ab initio* molecular dynamics is numerically challenging, in that it would require sampling trajectories of several nano-seconds;
- cepstral analysis provides a rigorous and practical means of exploiting the information on the spectral properties of the current being sampled, to evaluate transport coefficients and their statistical uncertainties with MD simulations of the order of a few hundred ps.



# Microscopic theory and quantum simulation of atomic heat transport

Aris Marcolongo<sup>1</sup>, Paolo Umari<sup>2</sup> and Stefano Baroni<sup>1\*</sup>

PHYSICAL REVIEW LETTERS **122**, 255901 (2019)

## Theory and Numerical Simulation of Heat Transport in Multicomponent Systems

Riccardo Bertossa,<sup>1</sup> Federico Grasselli,<sup>1</sup> Loris Ercole,<sup>1,\*</sup> and Stefano Baroni<sup>1,2,†</sup>

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Stefano Baroni, Riccardo Bertossa, Loris Ercole, Federico Grasselli, and Aris Marcolongo

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