

# Designing *ab initio* calculations

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European Theoretical Spectroscopy Facility (ETSF)

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# Outline

Engineering problem  $\rightarrow$  atomistic model

Computation of the physical properties

Validation

Connection with measurable quantities

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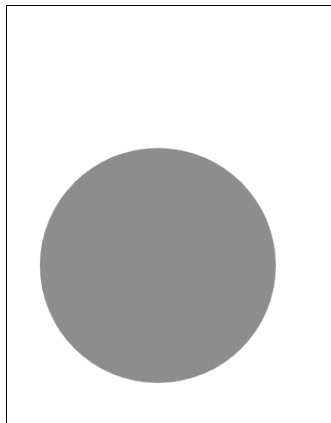
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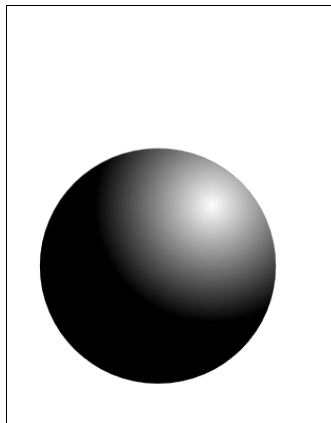
# Translation

- Catalytic system
  - Construction of surface adsorption site
  - Water adsorption
  - Photon absorption  $\{e^- h^+\}$
  - Charge separation
  - Suppression of recombination
  - Migration to surface reaction sites
  - Construction of surface reaction site for  $H_2$  and  $O_2$



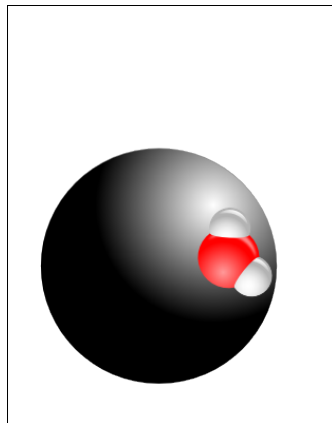
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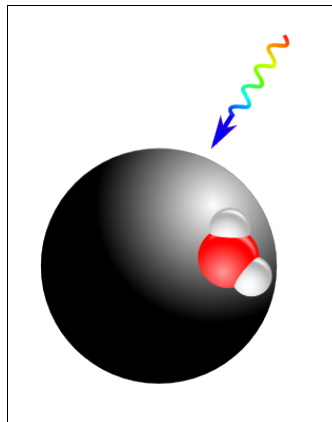
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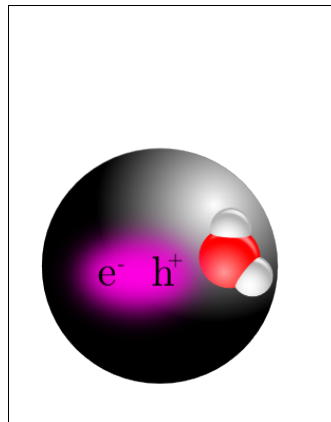
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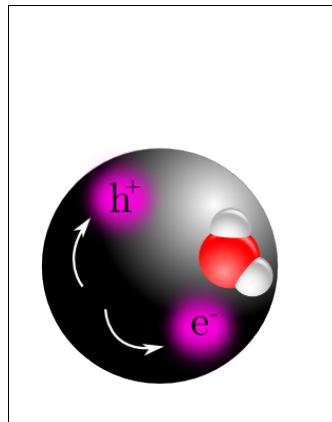
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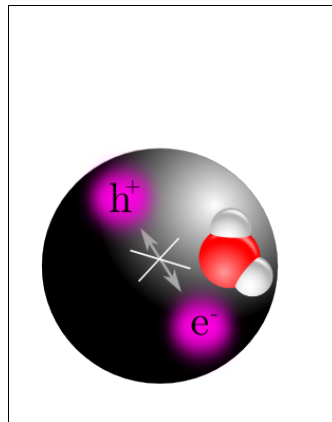
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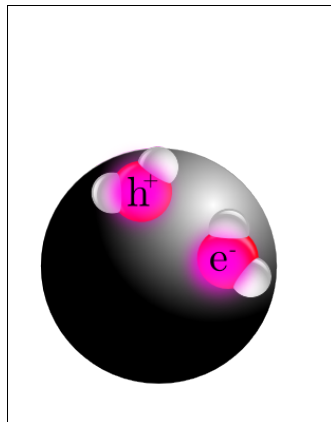
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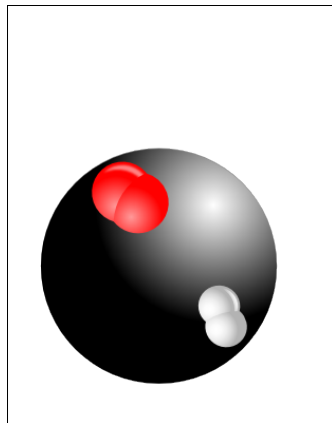
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# Translation

## Basic Steps for Predictive Materials Simulations

- select appropriate theory for given phenomenon and material
- master approximations and their effects (error estimates)
- obtain right answer for right reason (correct physics, correct phenomenon)

No universal method works  
for all materials and all phenomena

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- Properties of interest **valence excitations properties**
- Materials of interest **bulk, nanostructures**
- Scale of the features **nanoscale**

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# Computation

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The term *ab initio* indicates that the calculation is from first principles and that no empirical data is used.

$$V(\{\mathbf{r}\}) = \sum_{i \neq j} \frac{4\pi}{|\mathbf{r}_i - \mathbf{r}_j|}$$



R.G.Parr *et al.* Journal of Chemical Physics **18**, 1561 (1950)

## Schrödinger equation

$$H(\{\mathbf{r}\}, t)\Psi(\{\mathbf{r}\}, t) = i\frac{\partial}{\partial t}\Psi(\{\mathbf{r}\}, t)$$

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$$\Psi(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N, t) \longrightarrow G(\mathbf{r}_1, t_1, \mathbf{r}_2, t_2) \longrightarrow \rho(\mathbf{r}, t)$$

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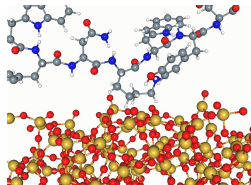
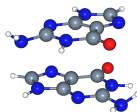
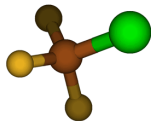
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## DISCREPANCIES

- inaccuracy of the computational approach
- between experimental and theoretical situation

but always keep in mind that ...

computational model (also) provides information that is not accessible (or accessible with great difficulty) by laboratory experiments

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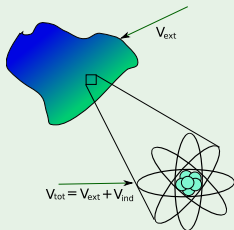
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# Linear Response Approach

System submitted to an external perturbation



$$V_{tot} = \epsilon^{-1} V_{ext}$$

$$V_{tot} = V_{ext} + V_{ind}$$

$$\mathbf{E} = \epsilon^{-1} \mathbf{D}$$

Dielectric function  $\epsilon$

EELS

R index

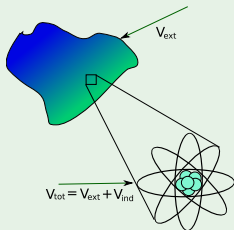
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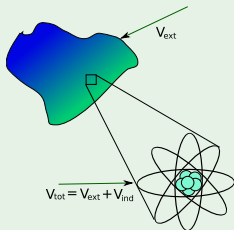
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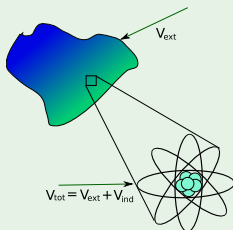
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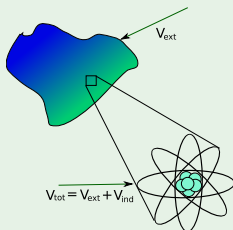
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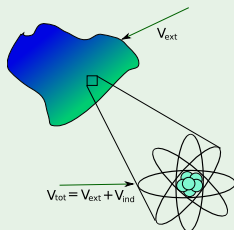
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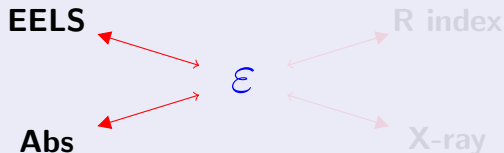


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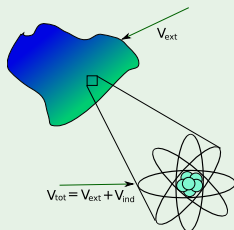
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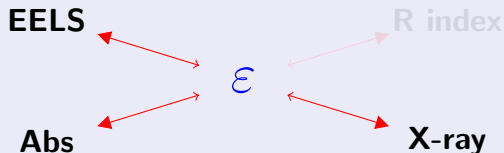


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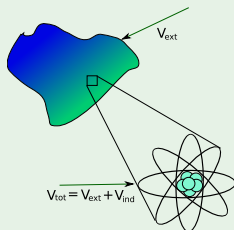
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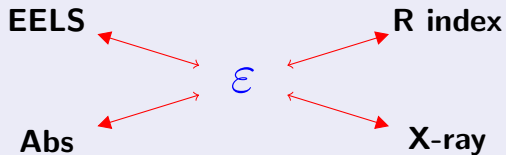


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# Linear Response Approach

## Definition of polarizability

$$\text{not polarizable} \Rightarrow V_{tot} = V_{ext} \Rightarrow \epsilon^{-1} = 1$$

polarizable

$$\epsilon^{-1} = 1 + v\chi$$

$\chi$  is the polarizability of the system

# Linear Response Approach

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$$\text{not polarizable} \Rightarrow V_{tot} = V_{ext} \Rightarrow \epsilon^{-1} = 1$$

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# Absorption coefficient

## General solution of Maxwell's equation

in vacuum  $\mathbf{E}(x, t) = \mathbf{E}_0 e^{i\omega(x/c - t)}$

in a medium  $\mathbf{E}(x, t) = \mathbf{E}_0 e^{i\omega(Nx/c - t)}$

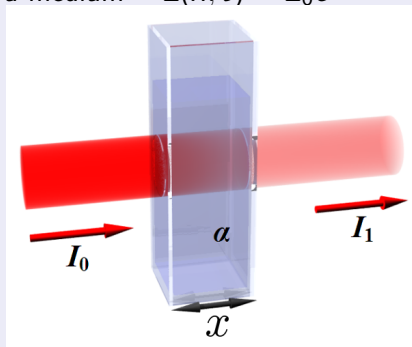


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complex (macroscopic) refractive index  $N$

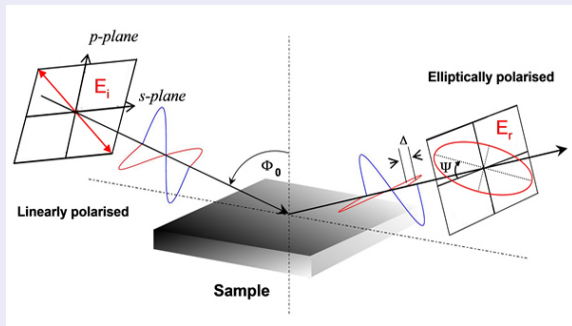
$$N = \sqrt{\varepsilon_M} = \nu + i\kappa \quad ; \quad \mathbf{D} = \varepsilon_M \mathbf{E}$$

absorption coefficient  $\alpha$  (inverse distance  $\left| \frac{|\mathbf{E}(x)|^2}{|\mathbf{E}_0|^2} = \frac{1}{e} \right.$ )

$$\alpha = \frac{\omega \operatorname{Im} \varepsilon_M}{\nu c}$$

# Absorption coefficient

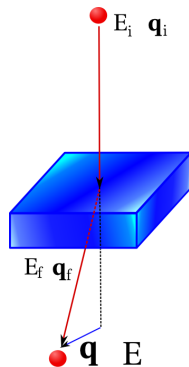
## Ellipsometry Experiment



$$\varepsilon_M = \sin^2 \Phi + \sin^2 \Phi \tan^2 \Phi \left( \frac{1 - \frac{E_r}{E_i}}{1 + \frac{E_r}{E_i}} \right)$$

# Dynamical Structure Factor

$$S(\mathbf{q}, \omega) \propto \frac{1}{\varepsilon_M(\mathbf{q}, \omega)}$$



# Microscopic-Macroscopic Connection

## Theoretical definition

$$\mathbf{E}(\mathbf{r}, \omega) = \int d\mathbf{r}' \varepsilon^{-1}(\mathbf{r}, \mathbf{r}', \omega) \mathbf{D}(\mathbf{r}', \omega)$$

constitutive closure to Maxwell equations

## The connection ?

$$\varepsilon^{-1}(\mathbf{r}, \mathbf{r}', \omega) \implies \varepsilon_M^{-1}(\mathbf{q}, \omega) \propto \int d\mathbf{r} d\mathbf{r}' e^{i\mathbf{q}(\mathbf{r}-\mathbf{r}')} \varepsilon^{-1}(\mathbf{r}, \mathbf{r}', \omega)$$

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microscopic

macroscopic

## Theoretical definition in G space

$$\mathbf{E}(\mathbf{q} + \mathbf{G}, \omega) = \varepsilon_{\mathbf{G}, \mathbf{G}'}^{-1}(\mathbf{q}, \omega) \mathbf{D}(\mathbf{q} + \mathbf{G}', \omega)$$

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 \mathbf{G}_0=0 \\
 \mathbf{G}_1 \\
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 \vdots
 \end{array}
 \left( \begin{array}{c}
 \text{---} \\
 \text{~} \\
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 \vdots
 \end{array} \right)
 =
 \left( \begin{array}{cccc}
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 \mathcal{E}_{G_2G_0}^{-1} & \mathcal{E}_{G_2G_1}^{-1} & \mathcal{E}_{G_2G_2}^{-1} & \mathcal{E}_{G_2G_3}^{-1} & \dots \\
 \mathcal{E}_{G_3G_0}^{-1} & \mathcal{E}_{G_3G_1}^{-1} & \mathcal{E}_{G_3G_2}^{-1} & \mathcal{E}_{G_3G_3}^{-1} & \dots \\
 \vdots & \vdots & \vdots & \vdots & \ddots
 \end{array} \right)
 \left( \begin{array}{c}
 \text{---} \\
 \text{~} \\
 \text{~} \\
 \text{~} \\
 \vdots
 \end{array} \right)$$

## Theoretical definition in G space

$$\mathbf{E}(\mathbf{q} + 0, \omega) = \varepsilon_{0,0}^{-1}(\mathbf{q}, \omega) \mathbf{D}(\mathbf{q} + 0, \omega)$$

$$\begin{array}{c}
 G_0=0 \\
 G_1 \\
 G_2 \\
 G_3 \\
 \vdots
 \end{array}
 \left( \begin{array}{c}
 \text{---} \\
 \text{---} \\
 \text{---} \\
 \text{---} \\
 \vdots
 \end{array} \right)
 =
 \left( \begin{array}{cccc}
 \mathcal{E}_{00}^{-1} & \mathcal{E}_{0,G_1}^{-1} & \mathcal{E}_{0,G_2}^{-1} & \mathcal{E}_{0,G_3}^{-1} & \dots \\
 \mathcal{E}_{G_1,G_0}^{-1} & \mathcal{E}_{G_1,G_1}^{-1} & \mathcal{E}_{G_1,G_2}^{-1} & \mathcal{E}_{G_1,G_3}^{-1} & \dots \\
 \mathcal{E}_{G_2,G_0}^{-1} & \mathcal{E}_{G_2,G_1}^{-1} & \mathcal{E}_{G_2,G_2}^{-1} & \mathcal{E}_{G_2,G_3}^{-1} & \dots \\
 \mathcal{E}_{G_3,G_0}^{-1} & \mathcal{E}_{G_3,G_1}^{-1} & \mathcal{E}_{G_3,G_2}^{-1} & \mathcal{E}_{G_3,G_3}^{-1} & \dots \\
 \vdots & \vdots & \vdots & \vdots & \ddots
 \end{array} \right)
 \left( \begin{array}{c}
 \text{---} \\
 \text{---} \\
 \text{---} \\
 \text{---} \\
 \vdots
 \end{array} \right)$$

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- Valence electron spectroscopy in linear response: absorption, EELS, X-ray scattering, photo-emission, refraction index, etc.
- Micro-macro connection  $\Rightarrow \mathbf{G} = 0$

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