# **LECTURE 12 : A survey of ab initio based MD**

- Finding approximations
- Density functional theory
- Functionals
- Car Parrinello MD

## Goals ...

□ We want to study glasses or glass-forming liquids without any prerequisite e.g. models coming from the force field (approximation in classical MD).

□ Charge transfer in covalent systems or in metallic glasses. q=cst in most classical MD (Coulomb interaction)

Description of other (e.g. spectroscopic) properties - X-ray, Raman, IR, XPS,...

#### How?

 $\Box$  Just solve Schrödinger equation  $H\Phi = E\Phi$ 

□ For large systems, there are basically 2 options

- Adiabatic approximation: e<sup>-</sup> move faster than nucleus which can be considered as fixed.

- Mean field approximation for the e<sup>-</sup> -e<sup>-</sup> correlation (DFT)

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#### 1. Finding approximations

- We write the Hamiltonian for molecules or solids
- Contains the interaction and the kinetic energy of N atoms (nuclei of mass M) at positions R<sub>i</sub>, and n electrons of mass m at positions r<sub>i</sub>
- Can be also writtent under the simpler form:

 $\sum_{i=1}^{n} \frac{P_i^2}{2m} + \frac{1}{2} \sum_{j,i\neq j}^{n} \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$  $\mathcal{H} =$  $\frac{Z_l e^2}{|\mathbf{r}_i - \mathbf{R}_l|} +$  $Z_k Z_l e^2$ 

$$\mathcal{H} = T_e(\{p\}) + V_{ee}(\{r\}) + V_{eN}(\{r\}, \{R\}) + T_N(\{P\}) + V_{NN}(\{R\})$$
Electronic kinetic E
Electron-nucleus potential E
Electron-nucleus potential E
Nuclear kinetic E
Electron-dectron potential E
Electron potentia

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#### 1. Finding approximations

- lacksquare We then solve Schrödinger equation:  $\mathcal{H} \, \Psi_{(i,l)}(r,R) \, = \, E_{(i,l)} \, \Psi_{(i,l)}(r,R)$
- Adiabatic approximation. Since M=2000-100.000me, there are two different time scales: electrons and nuclei (ions).
  - > Vibrational excitations:  $h\omega$ ~10 meV
  - $\blacktriangleright$  Electronic excitations: h<sub>we</sub>~1 eV
  - →  $\tau_{ion}$ >> $\tau_{e}$ ...on the time scale of electrons, ions can be considered as frozen.
- **Consequence.** We can split the wavefunction into an e-part and a ion-part:

$$\Psi_{(i,l)}(r,R) \equiv \chi_{i,l}(R).\Phi_e(r,R)$$
$$\left[T_e + V_{ee} + V_{eN}(R) + V_{NN}(R)\right]\Phi_e(r,R) = E_e(R)\Phi_e(r,R)$$
$$\left|T_n + E_e(R)\right|\chi_{i,l}(R) = E_{i,e}\chi_{i,l}(R)$$

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#### 1. Finding approximations

Adiabatic approximation, continued. 1) We solve for a parameter R

$$\left[T_e + V_{ee} + V_{eN}(R) + V_{NN}(R)\right] \Phi_e(r,R) = E_e(R) \Phi_e(r,R)$$

to obtain  $\Phi_e(r,R)$  and  $E_e(R)$  (Born-Oppenheimer surface)

2) Knowing 
$$E_e(R)$$
, we solve  $\left\lfloor T_n + E_e(R) \right\rfloor \chi_{i,l}(R) = E_{i,e} \chi_{i,l}(R)$   
to obtain  $\chi_{i,l}(R)$  and  $E_{i,e}$ 

#### **Common approximations:**

> At low temperature, harmonic approximation.  $\chi_{i,l}(R)$  only non-zero around

$$E_e(R) \simeq E_e(R_0) + \frac{1}{2!}(R - R_0)^2 \frac{\partial^2 E_l(R)}{\partial R^2} + \dots$$

➤ At high temperature, nuclei behaves as a classical particle  $M\frac{d^2M}{dt^2} = -\frac{\partial E_e(R)}{\partial R}$ 

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#### 2. Solutions for the electronic Hamiltonian

- **\Box** Reduction of complexity. We want to compute  $\Phi(r_1, r_2, \dots, r_{Nel})$
- □ Discretize space of each variable on a grid of  $N_G$  grid points. To define  $\Phi$ , we need to specify  $(N_G)^{Nel}$  values. Ugh ! Many body problem !
- □ Many properties can be reproduced by an independent electron approach. Description of the system with Nel single particle wavefunctions  $Φ_1$  having N<sub>G</sub>Nel values. For total energy of the ground state, the best available method is **density functional theory**
- □ Many static or quasi-static can be obtained from derivatives of the total energy

Forces 
$$-\frac{\partial E_e(\mathbf{R})}{\partial \mathbf{R}}$$
Dynamic matrix (vibrations)  $-\frac{\partial^2 E_e(\mathbf{R})}{\partial \mathbf{R}_i \partial \mathbf{R}_j}$ 
Polarisation  $-\frac{\partial E_e(\mathbf{R})}{\partial \mathbf{E}_{elect}}$ 

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□ Idea: Systems with interacting electrons in a potential

$$= -\sum_{i=1}^{N} \frac{Z_i e^2}{|\mathbf{r} - \mathbf{R}_i|}$$

 $V(\mathbf{r})$ 

can be mapped onto a system with **non-interacting** electrons in a fictitious potential  $V'(\mathbf{r}) \neq V(\mathbf{r})$  that has the same total energy and the same electronic density.

Definition : *Density is the basic variable*.

□ N interacting electrons in an external potential V<sub>ext</sub>(r) in a non degenerate groundstate. (GS) The ground state density is unique (non degenerate):

$$n(\mathbf{r}) = N \int \int \Psi_{GS}^*(\mathbf{r}, \mathbf{r}_2, \mathbf{r}_3, ..., \mathbf{r}_N) \Psi_{GS}(\mathbf{r}, \mathbf{r}_2, \mathbf{r}_3, ..., \mathbf{r}_N) d^3\mathbf{r}_2 .d^3\mathbf{r}_3 ... d^3\mathbf{r}_N$$

□ It can be shown (Hohenberg- Kohn th.) that for the non-interacting electronic system, one has :

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• The DFT functional is given by:  $F[n] \equiv \langle \Psi_{GS}^{[n]} | T_e + V_{ee} | \Psi_{GS}^{[n]} \rangle$ with:  $\int n(\mathbf{r}) d^3 \mathbf{r} = N$ 

Universal functional (does not depend on a specific  $V_{ext}(\mathbf{r})$ ).

□ Energy of the system is :  $E[n] = F[n] + \int n(\mathbf{r})V_{ext}(\mathbf{r})d^3\mathbf{r}$ and minimized by the ground state density  $E[n_{GS}] = E_{GS}$ 

#### □ Kohn-Sham approach:

- Given an interacting GS charge density n<sub>GS</sub>(r) of a N electron system
- > There exists just one external potential  $V_{KS}(\mathbf{r})$  for a non-interacting N-elec. System that has  $n_{GS}(\mathbf{r})$  as the ground state charge density.

> Defines the Kohn-Sham Hamiltonian 
$$\mathcal{H}_{KS} \equiv \frac{p^2}{2m} + V_{KS}(\mathbf{r})$$

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**Given the KS Hamiltonian**  $\mathcal{H}_{KS} \equiv \frac{p^2}{2m} + V_{KS}(\mathbf{r})$ we find the eigenvector  $|\Psi_{KS}^i\rangle$  with eigenvalue  $\mathbf{\mathcal{E}}_{KS}^l$  satisfying  $n(\mathbf{r}) = 2\sum_{i=1}^{N/2} \langle \Psi_i^{KS} | r \rangle \langle r | \Psi_i^{KS} \rangle$ The KS exact functional then writes:  $E[n] = F[n] + \int n(\mathbf{r}) V_{ext}(\mathbf{r}) d^3\mathbf{r}$ Ordinary DFT functional But we define:  $T_0[n] = \sum_{k=1}^{N/2} 2\langle \Psi_{KS}^{i[n]} | \frac{p^2}{2m} | \Psi_{KS}^{i[n]} \rangle \quad \longleftarrow \quad \begin{array}{l} \text{Kinetic energy of the KS system} \\ \text{Universal functional of n} \end{array}$ Hartree Coulomb  $E_H[n] = \frac{1}{2} \int \int d^3 \mathbf{r} d^3 \mathbf{r}' \frac{e^2 n(\mathbf{r}) n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} \boldsymbol{\leftarrow}$ interaction **Classical interaction of** the electrons

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□ By definition, the exchange-correlation (XC) functional is:

$$E_{XC}[n] = F[n] - T_0[n] - E_H[n]$$

□ The total energy functional then writes:

$$E[n] = T_0[n] + E_H[n] + E_{XC}[n] + \int n(\mathbf{r}) V_{ext}(\mathbf{r}) d^3 \mathbf{r}$$
  
=  $T_0[n] + E_{KS}[n]$ 

- Note that T0 is not the kinetic part of the real interacting system but the fictitious non-interacting one.
- □ By construction, one has for the electronic density:

$$n(\mathbf{r}) = 2\sum_{i=1}^{N/2} \langle \Psi_i^{KS} | r \rangle \langle r | \Psi_i^{KS} \rangle$$

**Conclusion**: All the difficult part is hidden in E<sub>xc</sub>

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# **C. EXCHANGE-CORRELATION**

$$\Box \text{ We want to calculate :} \quad E_{XC}[N] = \frac{1}{2} \int n(\mathbf{r}) d^3 \mathbf{r} \int d^3 \mathbf{r}' \frac{n_{XC}(\mathbf{r}, \mathbf{r}' - \mathbf{r})}{|\mathbf{r}' - \mathbf{r}|}$$

with 
$$n_{XC}(\mathbf{r}, \mathbf{r}' - \mathbf{r}) \equiv n(\mathbf{r}') \int_{0}^{1} d\lambda [g(\mathbf{r}, \mathbf{r}', \lambda) - 1]$$

Involving the pair correlation function  $g(\mathbf{r}, \mathbf{r}, \lambda)$  of a system with density n(r) and electron-electron interaction  $\lambda$ .

- n<sub>xc</sub> is the exchange-correlation hole, a quantum-mechanical zone surrounding every electron in an interacting system that reduces the probability P(r,r') of finding other electrons within the immediate vicinity.
- □ Classically, one would have P(**r**,**r**')~n(**r**)n(**r**') (Hartree-Coulomb energy). But this neglects the possibility of (spin) symetry (Pauli exchange interaction)
- $\Box$  Exact results when  $g(\mathbf{r},\mathbf{r}') \rightarrow 1$  (i.e. at infinity) or for other selected cases

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# **C. EXCHANGE-CORRELATION**

□ Otherwise...approximations

> Local density approximation (LDA)  $E_{XC}[n] \simeq E_{XC}^{LDA}[n]$ 

> Generalized gradient approximation (GGA)  $E_{XC}[n] \simeq E_{XC}^{GGA}[n]$ 

**Local density approximation**: 
$$E_{XC}^{LDA}[n] \equiv \int d^3 \mathbf{r} \ n(\mathbf{r}) \ \varepsilon(n(\mathbf{r}))$$

assuming that  $\epsilon(n(\mathbf{r}))$  is just a function of the local electronic density.

- □ Advantage:  $\varepsilon(n(\mathbf{r}))$  is the exchange and correlation energy per electron of a homogeneous interacting electron gas. Exact for this system.
- Allows reproducing shell structure of atoms, bond lengths, vibrational frequencies.

### **C. EXCHANGE,-CORRELATION**

Generalized gradient approximation: the functional now also depends on the local gradient of n(r).

$$E_{XC}^{GGA}[n] \equiv \int d^3 \mathbf{r} \, f\!\left(n(\mathbf{r}), \nabla n(\mathbf{r})\right)$$

Gradient expansion of the exchange-correlation hole

#### Perdew et al. PRL 1999

Provides better geometries for weak bonds which are too short in LDA. Better total energies (e.g. atomisation). Lattice constants a (in A) for some solids	Solid	a LDA	$a^{ m GGA}$	$a^{\text{expt}}$
	Na	4.05	4.20	4.23
	NaCl	5.47	5.70	5.64
	Al	3.98	4.05	4.05
	Si	5.40	5.47	5.43
	Ge	5.63	5.78	5.66
	GaAs	5.61	5.76	5.65
	Cu	3.52	3.63	3.60
	W	3.14	3.18	3.16
	Mean abs. error	0.078	0.051	

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### **C. EXCHANGE,-CORRELATION**

#### **Generalized gradient approximation:**

E<sub>xc</sub> often break up into exchange (e.g. Becke, B) and correlation functionals (e.g. Lee, Yang and Parr, LYP). Or Perdew-Wang (PW91).

$$\mathcal{E}_{xc}(\rho(\vec{r})) = \mathcal{E}_{x}(\rho(\vec{r})) + \mathcal{E}_{c}(\rho(\vec{r}))$$

$$LDA \quad \mathcal{E}_{x}(\rho(\vec{r})) = -\frac{3}{4} \left(\frac{3\rho(\vec{r})}{\pi}\right)^{1/3}$$

$$Coulomb correlation Interpolated by Ceperley et Alder 1980$$

$$E_{x}^{CGA} = E_{x}^{LDA} - \sum_{\sigma} F(s_{\sigma})\rho_{\sigma}^{4/3}(\vec{r})d\vec{r} \quad s_{\sigma} = \frac{|\nabla \rho|}{\rho_{\sigma}^{4/3}}$$

$$Becke \& \text{Perdew/Wang:} BPW91$$

$$Becke \& \text{Lee/Parr/Yang: BLYP}$$

$$F^{B} = \frac{\beta s_{\sigma}}{1 + 6\beta s_{\sigma} Sinh^{-1}(s_{\sigma})}$$

$$Becke, 1988$$

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# **C. EXCHANGE-CORRELATION**

**Perspectives and conclusions:** 

- Modelling of such XC functions beyond the scope of the lecture.
- Generation of E<sub>xc</sub> approximations is still a large and still rapidly expanding field of research.

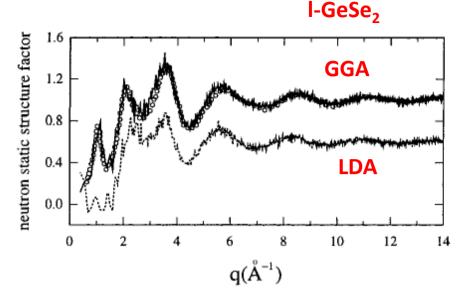


Figure 1. Neutron structure factor S(q) as a function of magnitude of momentum transfer q for liquid GeSe<sub>2</sub>, obtained within GGA (solid line) and LDA (dots), compared to experiment (circles), ref 8. For clarity, the LDA curve is displaced downward by 0.4. We used scattering lengths of  $b^{\text{Ge}} = 8.189$  fm and  $b^{\text{Se}} = 7.97$  fm. Massobrio et al. JACS 1999

- Many different flavours of functional available which are more or less appropriate for any particular study.
- Ultimately the choice E<sub>xc</sub> of must be made in terms of results (direct comparison with experimental data).

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**Plane waves.** We are now trying to obtain the ground state (GS) energy and the electronic density.

$$E_{GGA}^{GS} = min_{\Psi_i^{KS}} \left[ T_0[\{\Psi_i^{KS}\}] + E_{KS}^{GGA}[n(\mathbf{r})] \right]$$
$$n(\mathbf{r}) = 2\sum_{i=1}^{N/2} \langle \Psi_i^{KS} | r \rangle \langle r | \Psi_i^{KS} \rangle$$

□ In a practical calculation, one uses a variational approach and expands  $\Psi_i^{KS}$ on a finite basis (Hilbert space), e.g. with atomic orbitals (most common approach in quantum chemistry): I ions, n Q numbers  $|\Psi_i^{KS}\rangle = \sum \sum C_{In}^i |\Phi_{I,n}\rangle$ 

- calculated in terms of atomic orbitals.
- Disadvantages: Basis depends on atomic position. No systematic way to increase the basis, delocalized states in en empty region are hard to describe (e- in a crystal vacancy).

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□ Plane-wave basis set. Alternative for periodic systems (Bloch's theorem):  $\Psi_i^{KS}$  can be written as the product of the lattice periodic part (e.g. reciprocal lattice vectors **G**) and a wavelike part.

$$|\Psi_{i,\mathbf{q}}^{KS}\rangle = e^{i\mathbf{q}\cdot\mathbf{r}}\sum_{\mathbf{G}} C_{\mathbf{G}}^{i,\mathbf{q}}|\mathbf{G}\rangle$$

Exact if the basis set is infinite, otherwise fixed by an energy cutoff E<sub>cutoff</sub>.

- Advantage: Basis covers all space uniformaly, does not depend on position (good for weak bonds), simple and fast evaluation, fixed by a single parameter E<sub>cutoff</sub>.
- □ Disadvantages: To have a converged result with reasonable small E<sub>cutoff</sub>, one describes only valence electrons. Need of pseudopotentials.

**Pseudopotentials.** Concept related to replacing the effects of the core electrons with an effective potential.

**Pseudopotentials.** Concept related to replacing the effects of the core electrons with an effective potential. Just the outer shell electrons participate in the chemical bonding.

- □ The pseudopotential generation procedure starts with the solution of the atomic problem (all electrons) using the Kohn-Sham approach.
- Once the KS orbitals are obtained, one makes an arbitrary distinction between valence and core states.
- □ The core states are assumed to change very little due to changes in the environment so their effect is replaced by a model potential derived in the atomic configuration and it is assumed to be transferable.
- Outside the core region, the pseudo-wavefunction coincides with the all electron calculation.

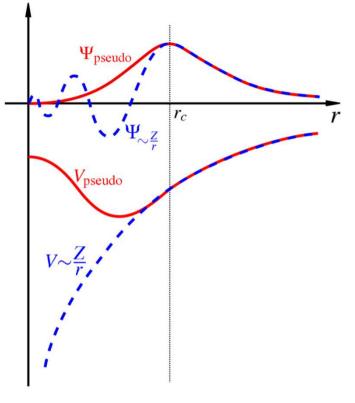
Refs. Blöchl, PRB 50, 17953 (1994).

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- □ General conditions for pseudo-potential generation (Hamann, et al. PRL 43, 1494 (1979).
  - 1. All-electron and pseudo eigenvalues agree for the reference configuration.
  - 2. AE and PS wavefunctions agree beyond a certain cutoff, rc.

#### **Two opposing considerations** :

- 1. Good transferability  $\Rightarrow$  small rc.
- 2. Large rc  $\Rightarrow$  smoother pseudopotentials.
- A good pseudopotential is one that strikes a balance between these two contraints.



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#### PHYSICAL REVIEW LETTERS

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#### Unified Approach for Molecular Dynamics and Density-Functional Theory

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We present a unified scheme that, by combining molecular dynamics and density-functional theory, profoundly extends the range of both concepts. Our approach extends molecular dynamics beyond the usual pair-potential approximation, thereby making possible the simulation of both co-valently bonded and metallic systems. In addition it permits the application of density-functional theory to much larger systems than previously feasible. The new technique is demonstrated by the calculation of some static and dynamic properties of crystalline silicon within a self-consistent pseudopotential framework.

PACS numbers: 71.10.+x, 65.50.+m, 71.45.Gm

Electronic structure calculations based on densityfunctional (DF) theory<sup>1</sup> and finite-temperature computer simulations based on molecular dynamics<sup>2</sup> (MD) have greatly contributed to our understanding of condensed-matter systems. MD calculations are able to predict equilibrium and nonequilibrium properties of condensed systems. However, in all practical applivery large and/or disordered systems and to the computation of interatomic forces for MD simulations.

We wish to present here a new method that is able to overcome the above difficulties and to achieve the following results: (i) compute ground-state electronic properties of large and/or disordered systems at the level of state-of-the-art electronic structure calcula-

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- "We present a unified scheme that, by combining molecular dynamics and density-functional theory, profoundly extends the range of both concepts."
   R. Car and M. Parrinello, Phys. Rev. Lett. 55, 2471-2474 (1985).
- □ **Car-Parrinello Molecular Dynamics (CPMD)**. Idea: Split the dynamics (as expected from Lagrangian) into ion (classical) and electronic (fictitious) dynamics. Newton's equation of motion for the ions is solved:

$$M_I \frac{d^2 \mathbf{R_I}}{dt^2} = \mathbf{F}_I$$

the forces being calculated from the electronic density, via:

$$\mathbf{F}_{I} = -\frac{\partial}{\partial \mathbf{R}_{I}} V\left(\{\mathbf{R}_{I}\}\right)$$
$$V\left(\{\mathbf{R}_{I}\}\right) = min_{\Psi_{KS}} E^{GGA}\left[\{\Psi_{KS}\}, \{\mathbf{R}\}\right] = E^{GGA}\left[\{\Psi_{KS}^{GS}\}, \{\mathbf{R}\}\right]$$

plus some usual (classical) MD ingredients (Verlet algorithm, time step,...)

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□ Minimization technique in CPMD

- 1. For a given set of {R}, minimize  $E[\Psi_{KS}]$  to obtain  $\Psi_{KS}^{GS}$
- 2. Compute the forces on the ions from  $\Psi_{\rm KS}{}^{\rm GS}$
- 3. Move the ions with the Newton equation

□ Car Parrinello fictitious dynamics:

Conserved energy is:

$$\frac{1}{2}M_{I}\left|\frac{d\mathbf{R_{I}}}{dt}\right|^{2} + \mu \sum_{i} \left\langle\frac{d\Psi_{KS}^{i}}{dt}\right| \left|\frac{d\Psi_{KS}^{i}}{dt}\right\rangle + E^{GGA}[\Psi_{KS},\mathbf{R}]$$

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#### Meaning of the fictitious electronic mass $\mu$ :

"Non-physical" parameter controlling the time scale of the "classical" Car Parrinello electronic dynamics.

lacksquare Close to the minimum  $\Psi^i_{KS}$  ,  $\Psi_{KS}$  oscillates at frequencies

$$\omega_{electron} = \sqrt{\frac{2(E_e^{KS} - E_o^{KS})}{\mu}}$$

with  $E_e^{KS}$  and  $E_o^{KS}$  the eigenvalues of empty/occupied states, so that a minimum frequency is  $\sqrt{2E_{gap}}$ 

$$\omega_{min}^{electron} \simeq \sqrt{\frac{2E_{gap}}{\mu}}$$

To be sure of adiabatic separation between artificial electronic and real ionic motion, one must have :

$$\omega^{ions} \ll \omega^{electron}_{min} \simeq \sqrt{\frac{2E_{gap}}{\mu}}$$

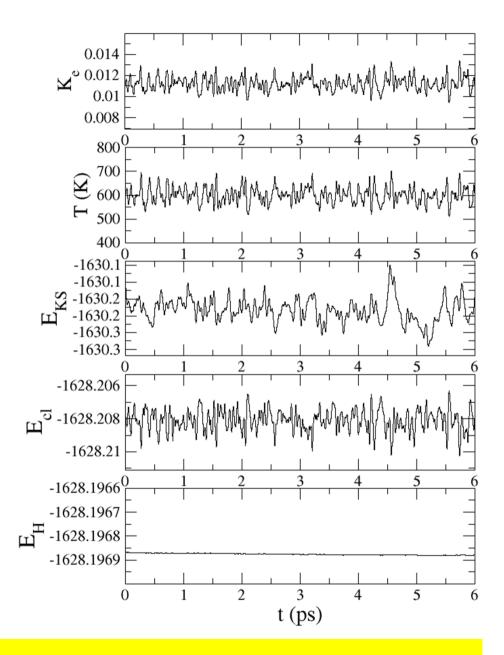
In this case, the electronic system remains near the ground state and  $K_e$  is small.

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#### **CPMD simulation of 200 atomic As<sub>2</sub>Se<sub>3</sub>**

t=10 a.u. (0.24 fs) L=17.98 A Trouillier-Martins pseudos Ecut=20 Ry BLYP functional m=2000 a.u.

- □ Kinetic energy of the electrons Ke remains small.
- □ Total energy EH conserved



# **F. GETTING STARTED**

**What you need to specify to run a DFT computation** 

- Basis set
- Coordinates
- Exchange functional: B, B3, etc.
- Correlation functional: LYP, PW91, etc.

#### Packages

✤ Fireball	http://fireball-dft.org
VASP	<u>https://www.<b>vasp</b>.at</u>
* ABINIT	<u>www.<b>abinit</b>.org</u>
<pre>     CPMD </pre>	<u>www.cpmd.org</u>

- □ Lectures. Need of a detailed course on quantum chemistry, DFT, and ab initio methods.
  - CECAM tutorials <u>www.cecam.org/</u>
  - Salanne-Vuilleumier lectures on CPMD- CP2K <u>http://www.pecsa.upmc.fr/spip.php?rubrique155</u>

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# Conclusion

- Ab initio methods allow to investigate materials properties using atomic number as only input.
- □ Theoretical background provided by density functional theory (DFT)
- Additional approximations are needed to make DFT useful and applicable
- □ The combination of DFT with MD is provided through the Car-Parrinello approach involving the fictitious dynamics of the electron.

**Next (last) lecture:** Application of ab initio methods to glasses **Home reading: The impact of DFT on Materials research** 

#### Useful references:

- D. Marx and J. Hutter, *Ab Initio Molecular Dynamics : Basic Theory and Advanced Methods*. Cambridge University Press, 2009.
- R. Vuilleumier, Density functional theory based ab initio molecular dynamics using the Car-parrinello approach, Lect. Notes Phys., 703(1) :223–285, 2006.

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