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Application of Strain Functionals for Physics Informed Machine Learning

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College Station, TX
10/16-19/22



Introduction

- Quantify MD simulations of dislocation-GB interactions
 - Stukowski approaches (OVITO): *ad hoc* and incomplete
 - SOAP more complete (& redundant): no direct physical interpretation
- Development of quantifiable metrics
 - Strain Functional Descriptors (initial development XWG6)
 - Mathematically complete and unique (non-redundant)
- Basis for Physics Informed Machine Learning analysis
 - Leading to physically justifiable models
 - Also maps onto diffraction analysis cleanly

N. Mathew, J.P. Tavenner, C.M. Adams and E.M. Kober, *Development of Strain Functionals to Characterize Atomistic Geometries*, in preparation.

Strain Functional Derivation: Map atomic quantities to continuum field

Map atomic quantities g_j to continuum field G using a Gaussian kernel

$$G(\mathbf{r}) = \sum_j g_j W_j = \sum_j \frac{g_j}{V_0} \exp\left(-\frac{|\mathbf{r} - \mathbf{r}_j|^2}{2\sigma^2}\right)$$

N = number density	$g_j = 1$
ρ = number density	$g_j = \text{atomic mass}$
U = velocity field	$g_j = \text{atomic velocity}$

Define local number density (N) as a Taylor series expansion about \mathbf{r}_i : $\mathbf{r} = \mathbf{r}_i + \Delta\mathbf{r}$

$$N(\mathbf{r}) \approx N(\mathbf{r}_i) + \Delta\mathbf{r} \odot \frac{\partial N}{\partial \mathbf{r}} \bigg|_{\mathbf{r}_i} + \frac{\Delta\mathbf{r} \otimes \Delta\mathbf{r}}{2} \odot \frac{\partial^2 N}{\partial \mathbf{r}^2} \bigg|_{\mathbf{r}_i} + \frac{\Delta\mathbf{r} \otimes \Delta\mathbf{r} \otimes \Delta\mathbf{r}}{6} \odot \frac{\partial^3 N}{\partial \mathbf{r}^3} \bigg|_{\mathbf{r}_i} + \dots$$

$$\frac{\partial N}{\partial \mathbf{r}} \bigg|_{\mathbf{r}_i} = \sum_j \frac{\partial W_j}{\partial \mathbf{r}} \bigg|_{\mathbf{r}_i} = - \sum_j \frac{\mathbf{r}_{ij}}{\sigma^2} \frac{1}{V_0} \exp\left(-\frac{|\mathbf{r}_{ij}|^2}{2\sigma^2}\right) = - \sum_j \frac{\mathbf{r}_{ij}}{\sigma^2} w_{ij} \quad \text{Weighted sum of neighbor distances}$$

$$\frac{\partial^2 N}{\partial \mathbf{r}^2} \bigg|_{\mathbf{r}_i} = \frac{1}{\sigma^2} \sum_j \left[\frac{\mathbf{r}_{ij} \otimes \mathbf{r}_{ij}}{\sigma^2} - \mathbf{I}_2 \right] w_{ij} \quad \sim \text{conventional strain: deviatoric and total (trace)} \\ (\text{Han, Zimmerman})$$

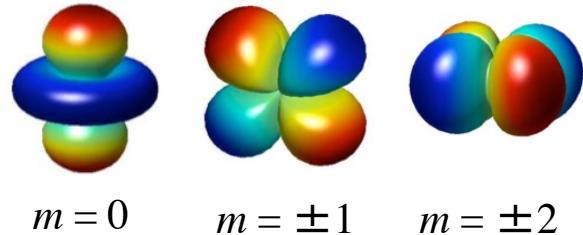
$$\frac{\partial^4 N}{\partial \mathbf{r}^4} \bigg|_{\mathbf{r}_i} = \frac{1}{\sigma^4} \sum_j \left[\frac{\mathbf{r}_{ij} \otimes \mathbf{r}_{ij} \otimes \mathbf{r}_{ij} \otimes \mathbf{r}_{ij}}{\sigma^4} - 6 \frac{\mathbf{r}_{ij} \otimes \mathbf{r}_{ij}}{\sigma^2} \otimes \mathbf{I}_2 + \mathbf{I}_4 \right] w_{ij} \quad \text{Tensor Hermite polynomials}$$

Strain Functional Derivation: Taylor Series Expansion & Atomic Orbital Analogy

- Standard nth order convergence in accuracy of describing the neighborhood
- Local nth order derivatives \Leftrightarrow local nth order moments (shapes)
- Atomic volume V_0 defines σ ($\sim 1.2 \text{ \AA}$ for Cu)
 - 50-80 neighbors for numerical precision
 - Shapes are strongly dominated by the 1st nearest neighbors
- Hermite polynomials readily map onto Harmonic polynomials
 - Solid spherical harmonics with pure Gaussian weighting
 - That transformation generates radial nodes for subspaces (e.g. 1s vs 2s orbital)
 - Retain Principal Quantum Number (PQN) notation vs bispectrum approach
 - Readily partitioned onto rotation sub-spaces of the SO(3) 3D rotation space

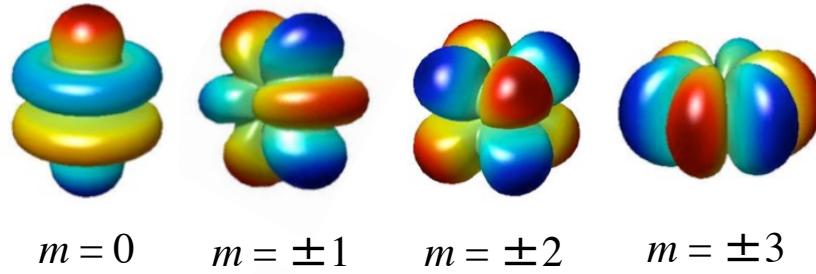
Strain Functional Derivation: Solid Harmonic Polynomials: $r^l Y_{lm}(\theta, \phi) \exp(-br^2)$

$l = 2$
d orbital
tension, shear

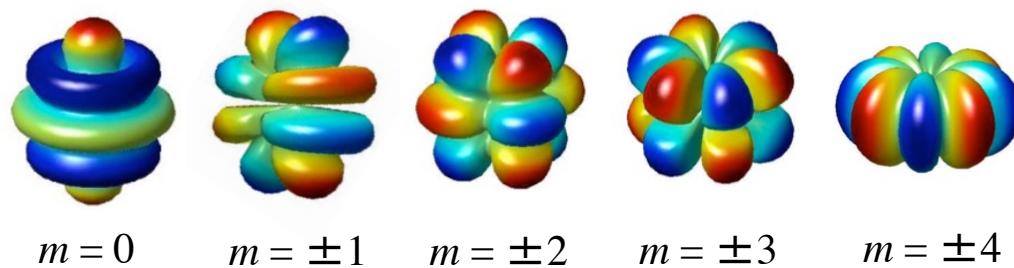


Blue = positive phase,
red = negative phase;
consider as density
changes to a sphere...

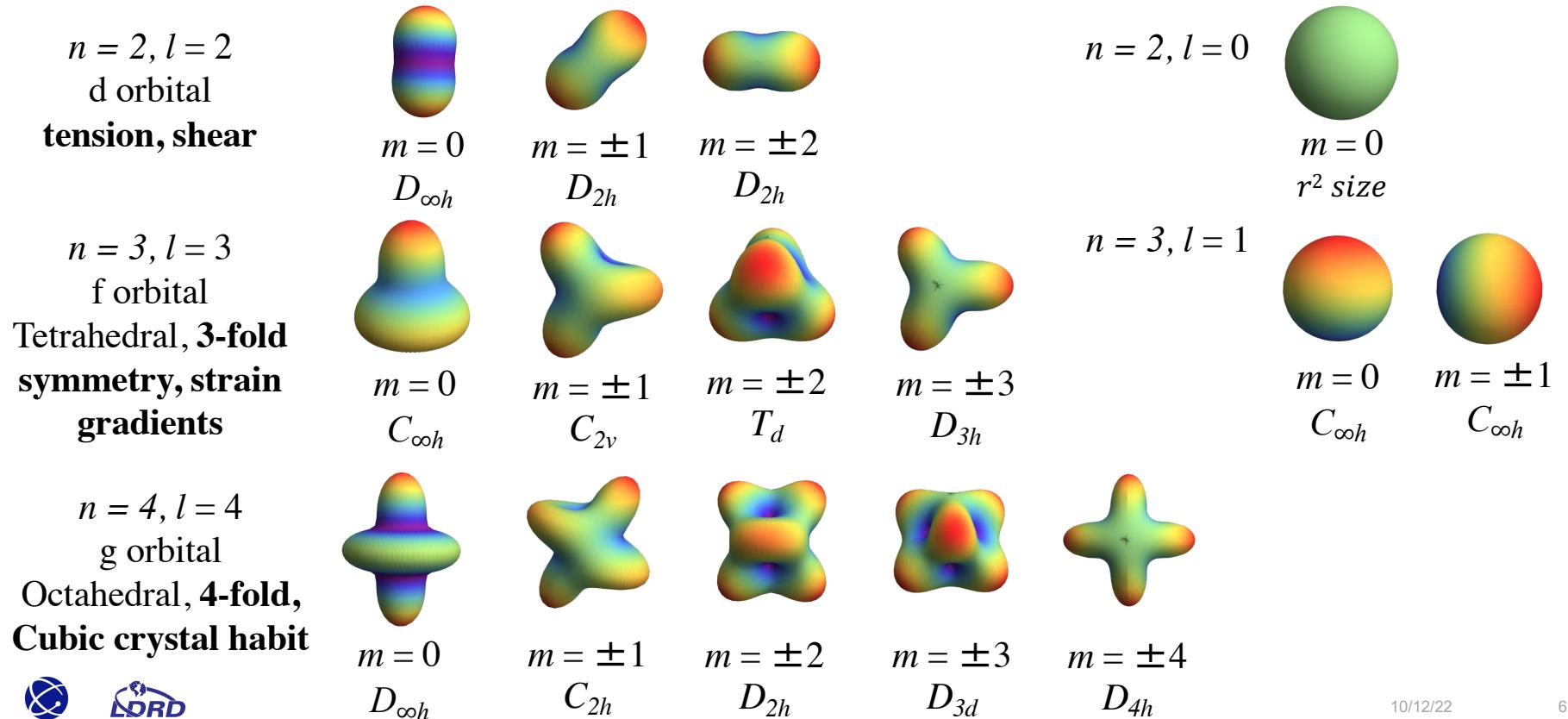
$l = 3$
f orbital
Tetrahedral, 3-fold
symmetry, strain
gradients



$l = 4$
g orbital
Octahedral, 4-fold,
Cubic crystal habit



Strain Functional Derivation: Solid Harmonic Polynomials: $R_{nlm} \sim r^n Y_{lm}(\theta, \phi) \exp(-br^2)$



Strain Functional Derivation: Contrasts with SOAP (GAP), SNAP

- Use of pure Gaussian weights
 - Transformation generates radial nodes defined by σ
 - Analogous to hydrogen-like orbitals with Principal Quantum Numbers: n, l, m
 - The n th shell tracks the n th order of the Taylor series expansion
- Use of non-Gaussian weights loses this
 - Requires the bispectrum approach which mixes terms between orders: convergence?
 - SOAP, GAP (Csanyi group): truncated Gaussian, Bessel Functions
 - SNAP (Thompson): stronger cut-off function: completeness
 - General spherical harmonic properties retained: Y_{lm} , but not R_{nlm}
- SFDs and PQN labels map directly onto Spherical Tensors
 - Spherical Tensor \Leftrightarrow Angular Momentum Vector $\Leftrightarrow Y_{lm} \Leftrightarrow \{Y_{l1}, \dots, Y_{ll}\}$
 - These map onto different subspaces of SO(3) 3D rotation space
 - General rank n tensor can be expressed in terms of irreducible spherical tensors

Strain Functionals: Irreducible Spherical Tensors

“The description of the physical properties of condensed matter using irreducible tensors”

J. Jerphagnon, D. Chemla, R. Bonneville

Advances in Physics **27**, 609 (1978)

Identifies number of independent components and subspaces for various physical properties

Stress: $6 = 1 \times 5 + 1 \times 1$

Strain Gradient: $10 = 1 \times 7 + 1 \times 3$

Cauchy: $15 = 1 \times 9 + 1 \times 5 + 1 \times 1$

Elasticity: $21 = 1 \times 9 + 2 \times 5 + 2 \times 1$

Each subspace should be expressible as rotational invariants...



Table 1. Reduction spectrum of tensors up to rank 4.

Rank	Indices partition	Example	Number of components	$J :$	Reduction spectrum								
					0	1	2	3	4				
					Name :	scalar	vector	deviator	septor				
					nonor								
0		Pressure	1		1								
1	r	Spontaneous polarization	3			1							
2	rs	Optical activity	9		1	1	1						
	(rs)	Stress and strain	6		1		1						
3	rst	Optical mixing	27		1	3	2	1					
	$(rs)t$	Piezo-electric effect	18			2	1	1					
	(rst)	Kleinman symmetry in SHG	10			1		1					
4	$rstu$	Optical mixing	81		3	6	6	3	1				
	$(rs)tu$	Photo-elastic effect	54		2	3	4	2	1				
	$(rs)(tu)$	Kerr effect	36		2	1	3	1	1				
	$(rst)u$	Third harmonic generation	30		1	1	2	1	1				
	$((rs)(tu))$	Elasticity	21		2		2		1				
	$(rstu)$	Cauchy relations	15		1		1		1				

Construction of Rotational Invariants

- Addition of angular momentum vectors: $\nu_{l(n)}^m \sim r^n Y_l^m \exp(-br^2)$
 - $\nu_l = \{\nu_l^{-l}, \nu_l^{-l+1}, \dots, \nu_l^{l-1}, \nu_l^l\}$: $2l+1$ terms (DOF)
 - Addition using Clebsch-Gordan coupling coefficients (Lo & Don, Edmonds)
 - *Analogous to tensor inner & outer products, contractions*
 - Can then add in a third, fourth, ... vector (infinite...)
- For $j=0$, the result is a rotationally invariant scalar
 - For $l=l', j=0$ this is the norm of the vector ν_l
 - For two different vectors $\nu_l \neq \nu_{l'}, j=0 \rightarrow$ dot product defining relative orientation
 - $2l+1$ contractions define the $2l+1$ DOF: no more, no less
 - But an infinite number of possible contractions...

“3-D Moment Forms: Their Construction and Application to Object Identification and Positioning” C.-H. Lo, H. S. Don *IEEE Trans. Patt. Analysis Mach. Intel.* **11**, 1053 (1989)

“Angular Momentum and Quantum Mechanics” A. R. Edmonds, Princeton, 1974

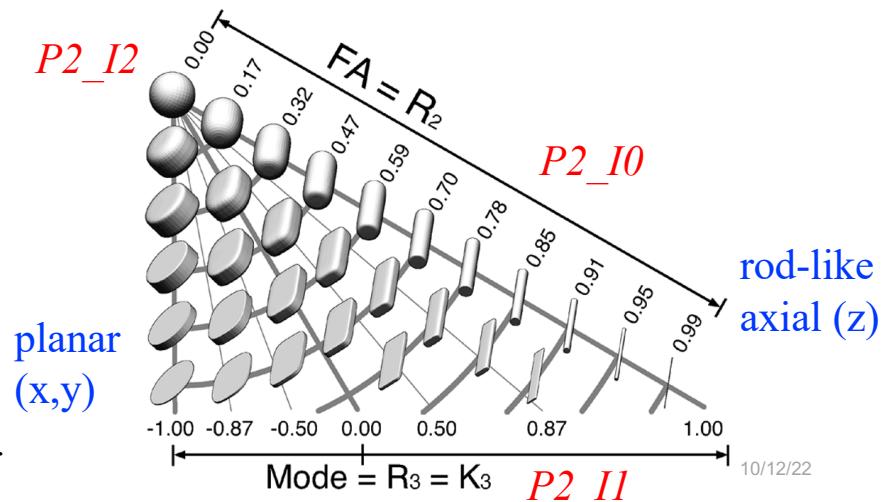
Rank 2 Invariants: Shear & Size

- Rank 2 moment tensors have 6 independent factors
 - Traceless rank 2 tensor & scalar trace: $1 \times 5 + 1 \times 1$
 - Scalar is the mean of the eigenvalues (EV): $P2_I2 = \nu_{0(2)}^0$
 - Traceless rank 2 tensor (spherical tensor) has two invariants
 - Net 2-fold distortion: rms EV: $P2_I0 = \nu(2,2)_0^0$
 - Skewness EV: $P2_II = \nu((2,2)_2, 2)_0^0$
 - 3 degrees of freedom define orientation wrt arbitrary axis
 - $O2_I0 = \nu(2, Z^2)_0^0$
 - $O2_II = \nu((2,2)_2, Z^2)_0^0$
 - $O2_I2 = \nu((2,2)_2, X^2 - Y^2)_0^0$

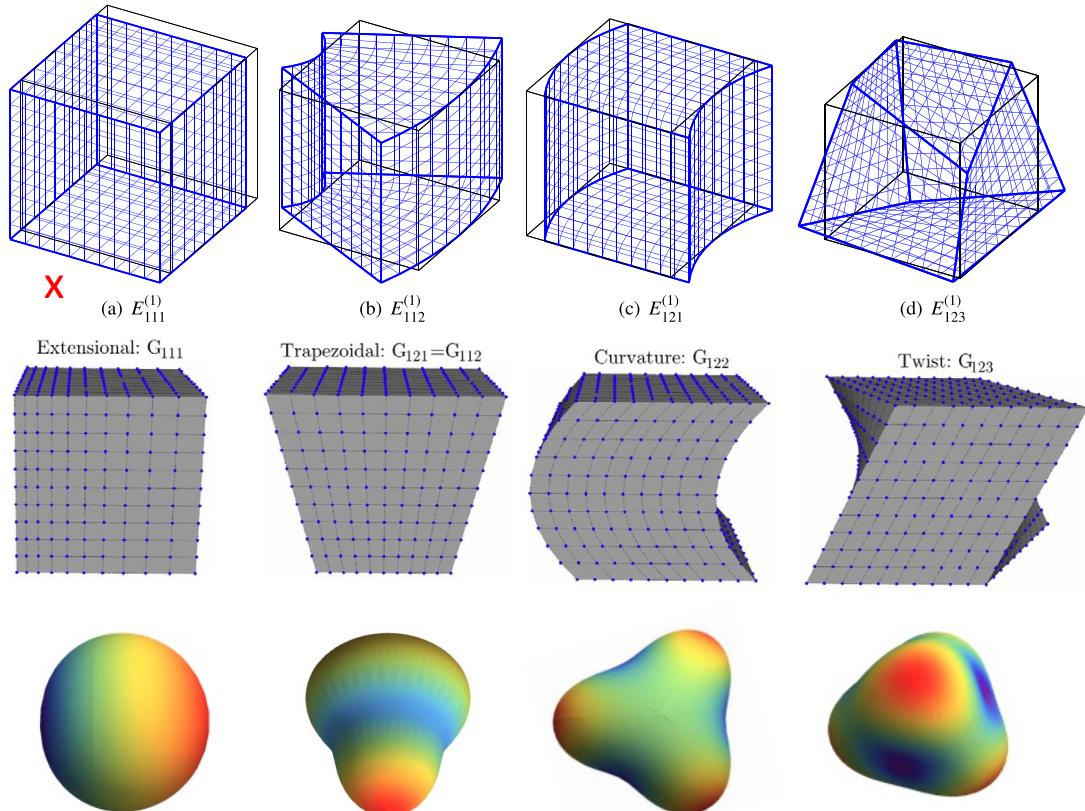
$$Z^2 = \frac{1}{\sqrt{6}} \begin{bmatrix} -1 & 0 & 0 \\ 0 & -1 & 0 \\ 0 & 0 & 2 \end{bmatrix} \quad X^2 - Y^2 = \frac{1}{\sqrt{2}} \begin{bmatrix} 1 & 0 & 0 \\ 0 & -1 & 0 \\ 0 & 0 & 0 \end{bmatrix}$$

MRI Analysis: Water diffusion tensor
 G. Kindlmann *IEEE Trans. Med. Imag.*
 2007, **26**, 1483

$$M = \begin{bmatrix} XX & XY & XZ \\ XY & YY & YZ \\ XZ & YZ & ZZ \end{bmatrix}$$



Rank 3 Tensors = Strain Gradients



$v_{1(3)}^0$

v_3^0

$v_3^{\pm 3}$

$v_3^{\pm 2}$

Admal, N.C., J. Marian, and G. Po, *The atomistic representation of first strain-gradient elastic tensors*. Journal of the Mechanics and Physics of Solids, 2017. **99**: p. 93-115.

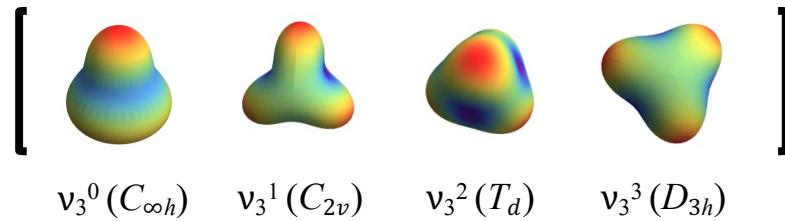
Luscher, D.J., D.L. McDowell, and C.A. Bronkhorst, *A second gradient theoretical framework for hierarchical multiscale modeling of materials*. International Journal of Plasticity, 2010. **26**(8): p. 1248-1275.

Rank 3 Invariants = Strain Gradients

$$v(3,3)_0^0 = |v_3^0, v_3^{\pm 1}, v_3^{\pm 2}, v_3^{\pm 3}|$$

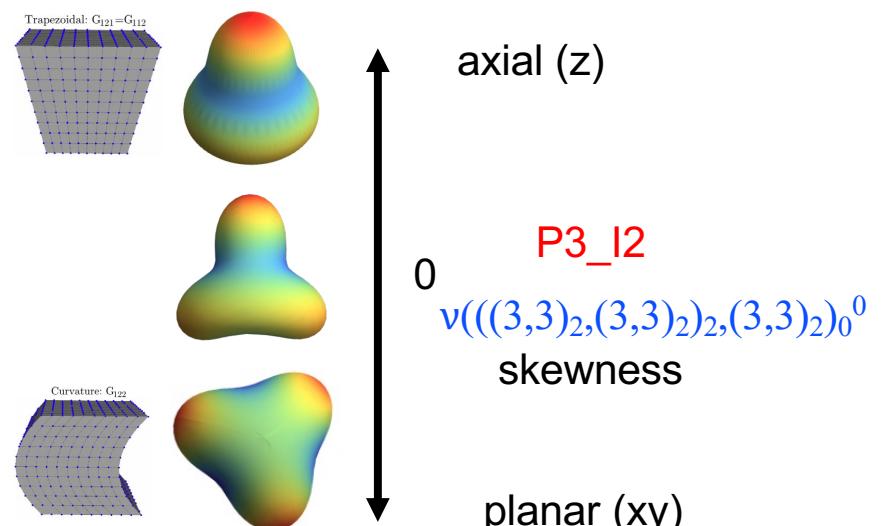
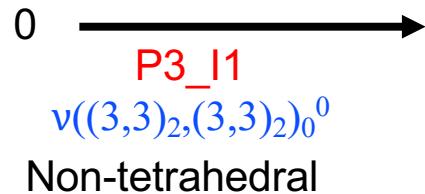
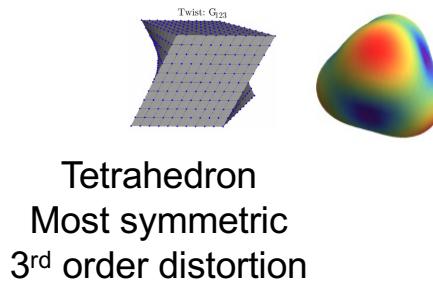
Net 3rd order distortions

P3_I0

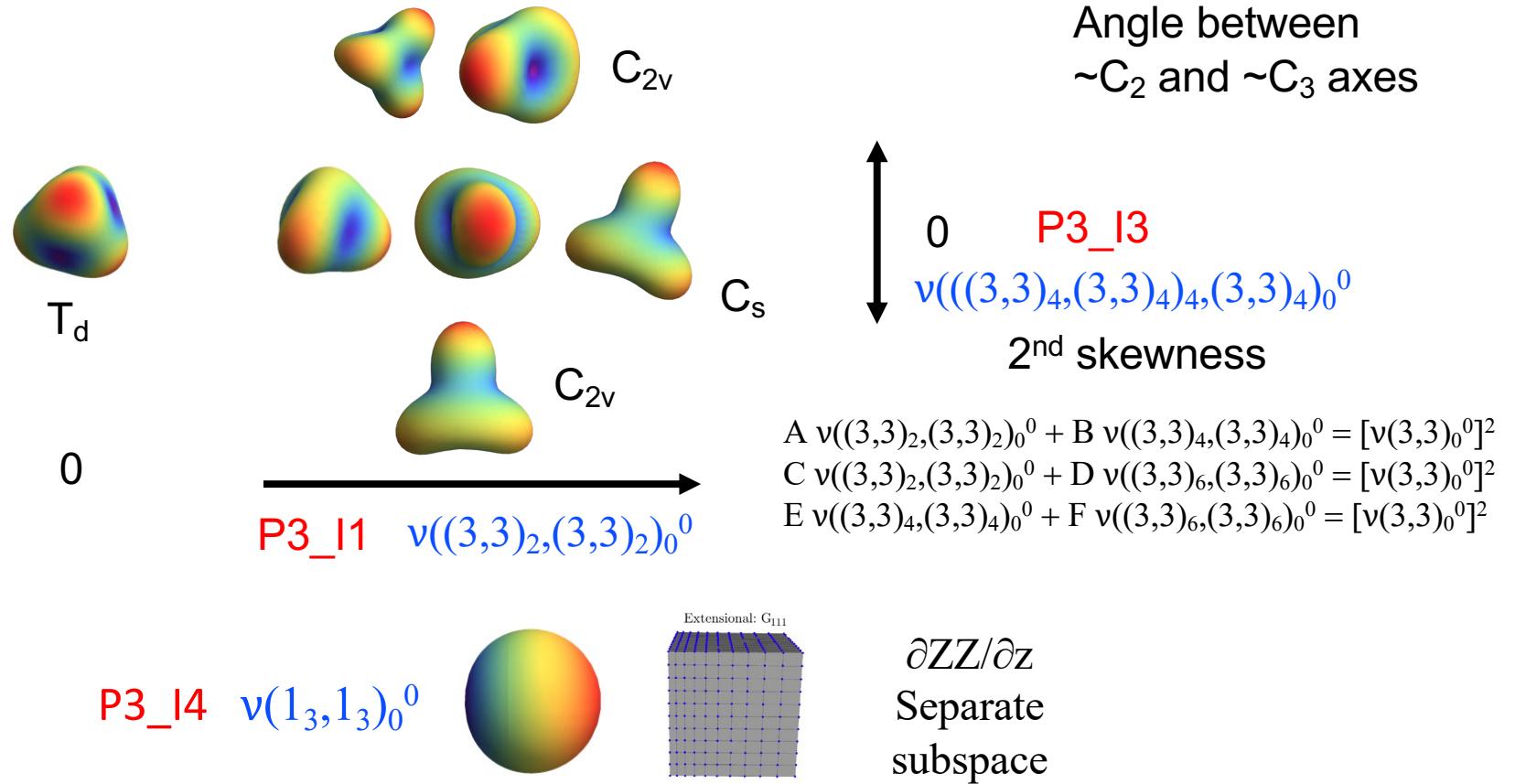


$$v((3,3)_3,3)_0^0 = 0$$

$$v((3,3)_3,(3,3)_3)_0^0 = k [v(3,3)_0^0]^2$$



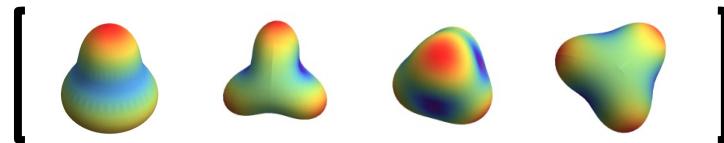
Rank 3 Invariants = Strain Gradients



Rank 3 Invariants (Strain Gradients 3x3x3): 10 DOF

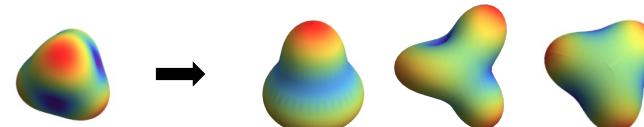
$$P3_I0 = v((3,3)_0^0) = |v_3^0, v_3^{\pm 1}, v_3^{\pm 2}, v_3^{\pm 3}|$$

General 3rd order deviatoric



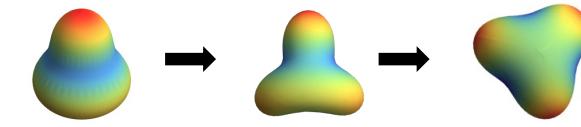
$$P3_I1 = v(((3,3)_2, (3,3)_2)_0^0)$$

Non-tetrahedral



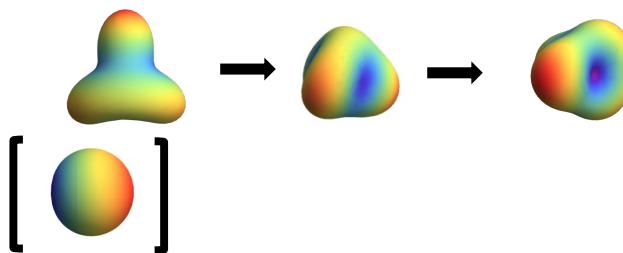
$$P3_I2 = v(((3,3)_2, (3,3)_2)_2, (3,3)_2)_0^0$$

Axial skewness, axes



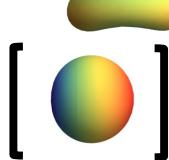
$$P3_I3 = v(((3,3)_4, (3,3)_4)_4, (3,3)_4)_0^0$$

2nd skewness, low symmetry



$$P3_I4 = v(I_3, I_3)_0^0$$

Extensional gradient



External orientation

$$O3_I0 = v((3,3)_2, Z^2)_0^0$$

Internal orientation

$$O3_I1 = v(((3,3)_2, (3,3)_2)_2, Z^2)_0^0$$

$$P3_I5 = v((3,3)_2, (1,1)_2)_0^0$$

$$O3_I2 = v(((3,3)_2, (3,3)_2)_2, X^2 - Y^2)_0^0$$

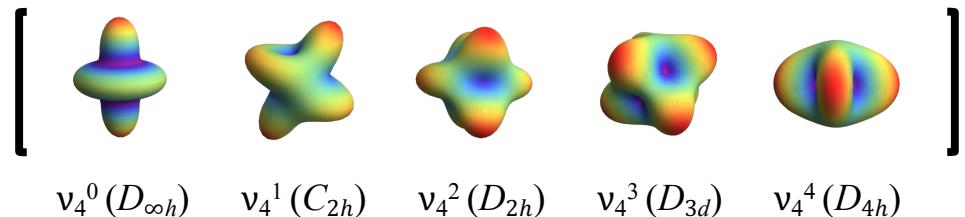
$$P3_I6 = v(((3,3)_2, (3,3)_2)_2, (1,1)_2)_0^0$$

Rank 4 Invariants = Cubic deformations

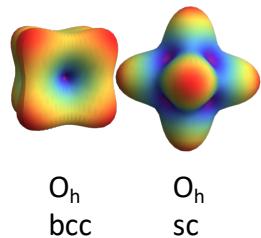
$$v(4,4)_0^0 = |v_4^0, v_4^{\pm 1}, v_4^{\pm 2}, v_4^{\pm 3}, v_4^{\pm 4}|$$

Net 4th order distortions

P4_I0

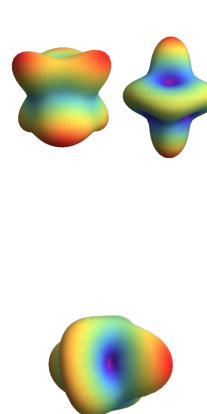


Octahedron
Most symmetric
4th order distortion



0

P4_I1
 $v((4,4)_2, (4,4)_2)_0^0$
Non-octahedral



0



P4_I2 defines internal axes

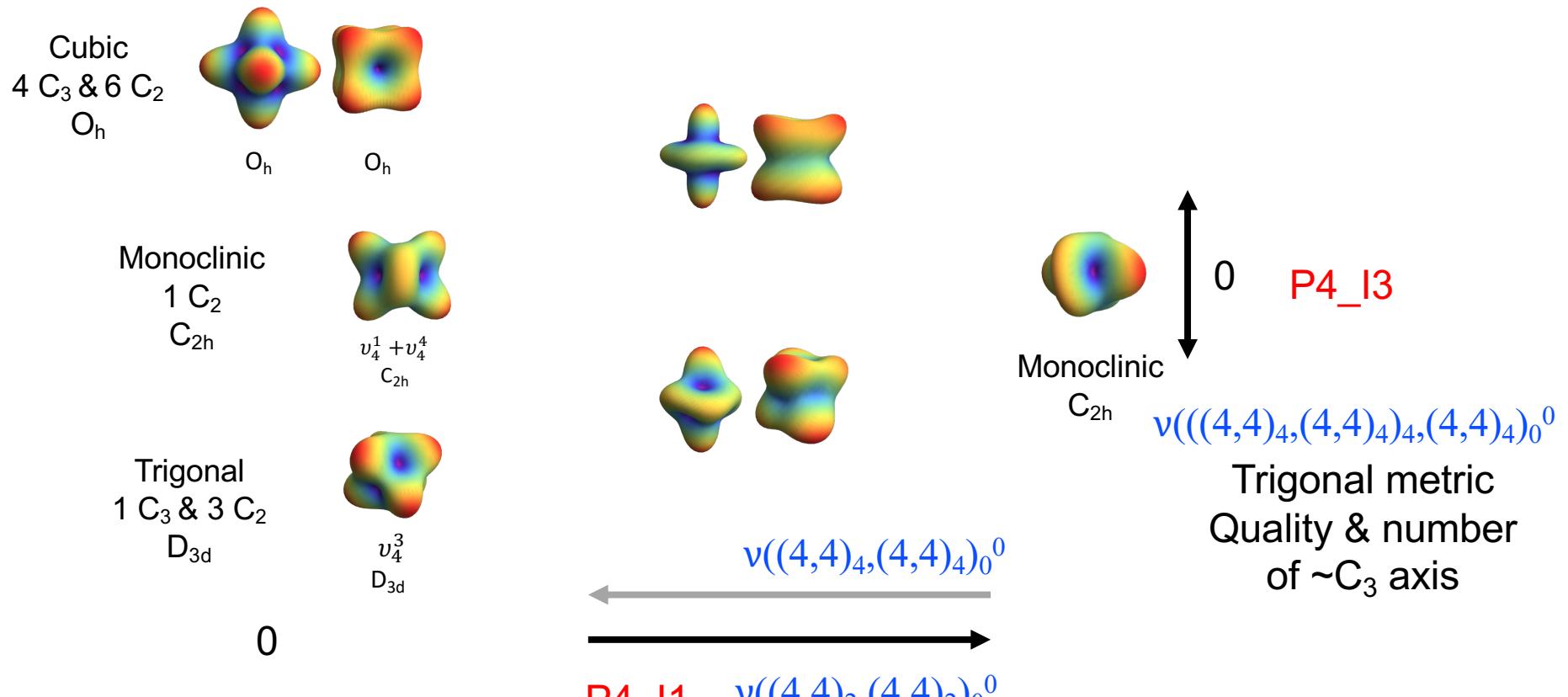
axial (z)
Tetragonal $a > b = c$

P4_I2

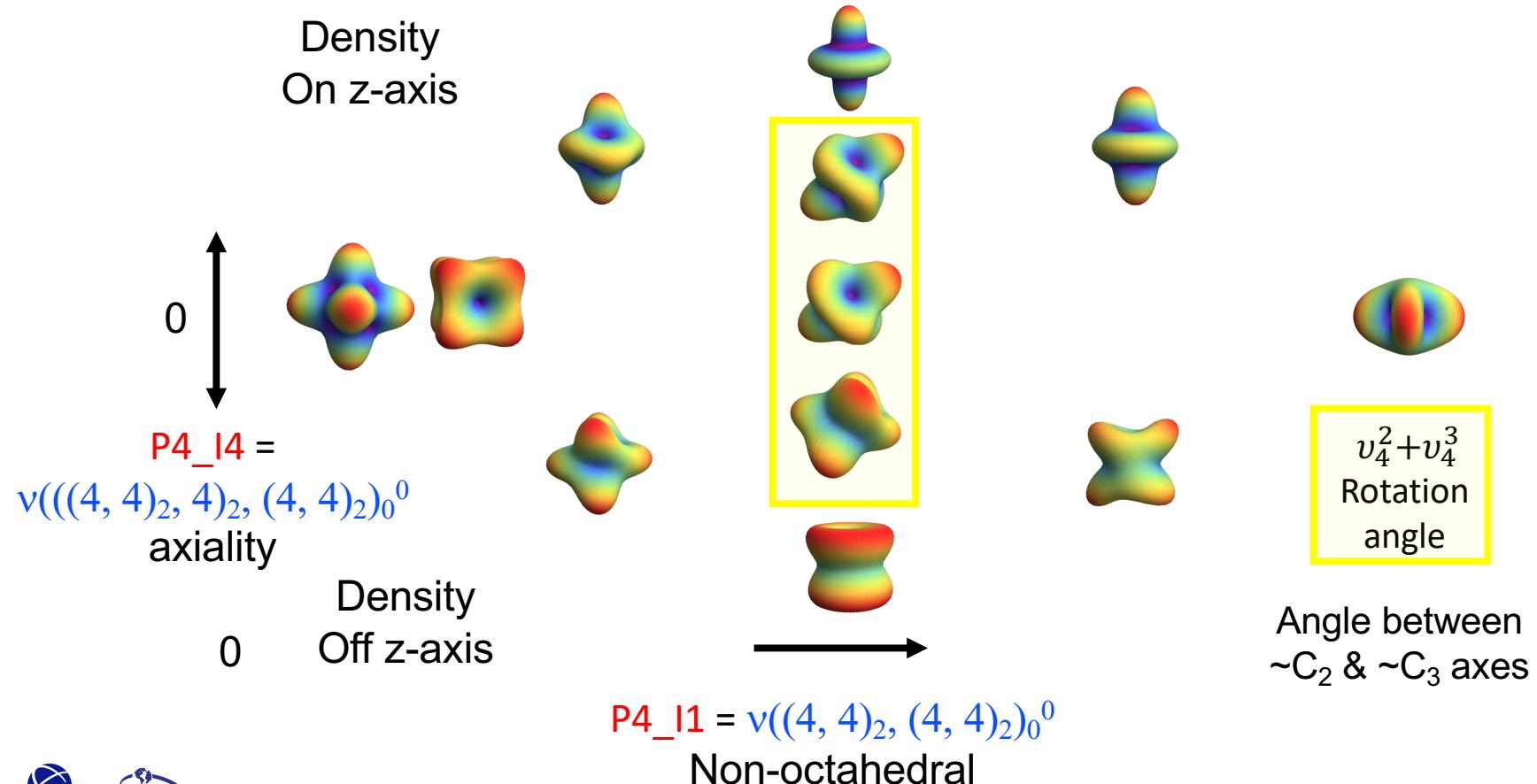
$v(((4,4)_2, (4,4)_2)_2, (4,4)_2)_0^0$
rhombohedral

planar (xy)
Tetragonal $a < b = c$

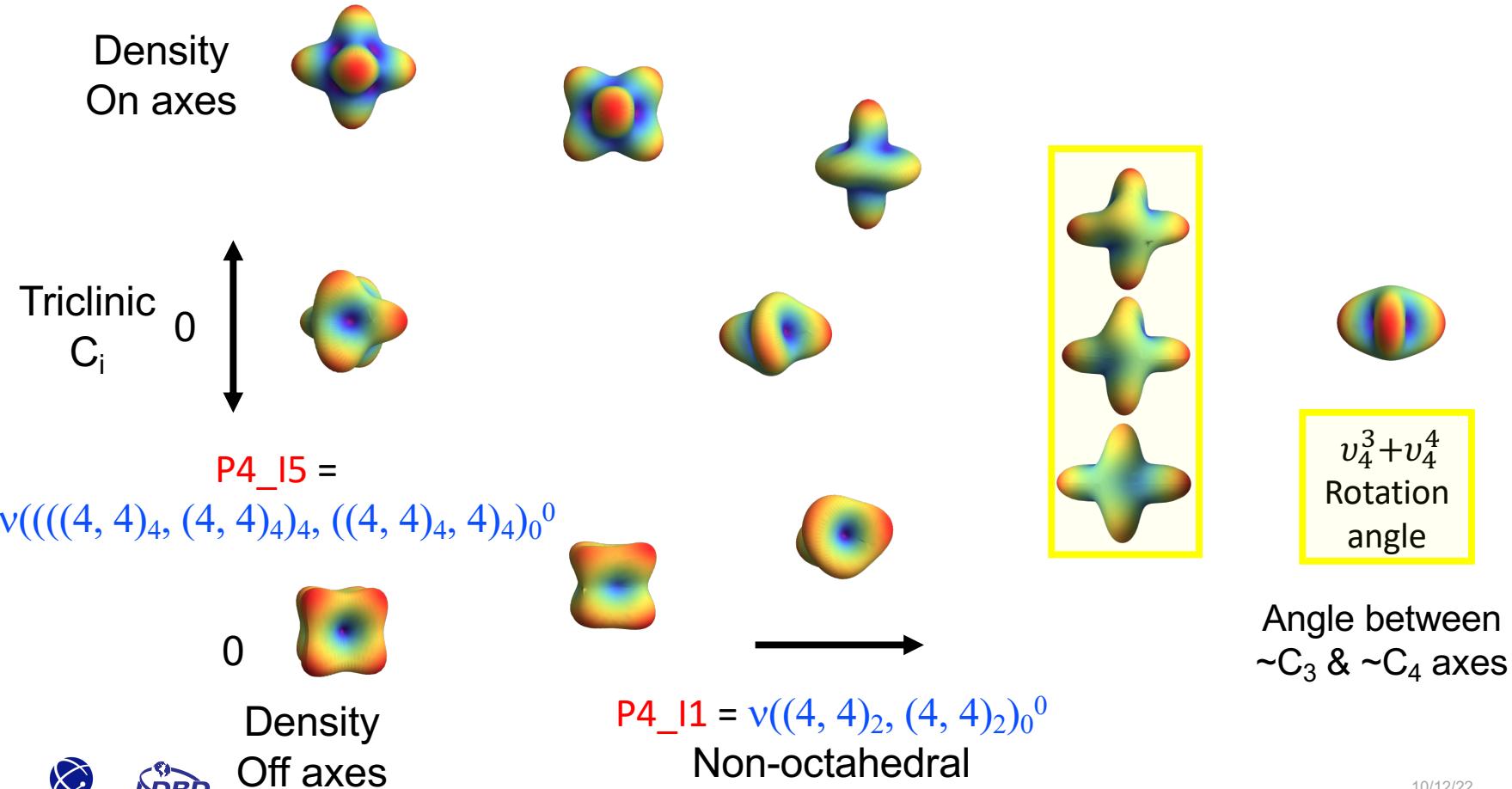
Rank 4 Invariants = Cubic deformations



Rank 4 Invariants = Cubic deformations

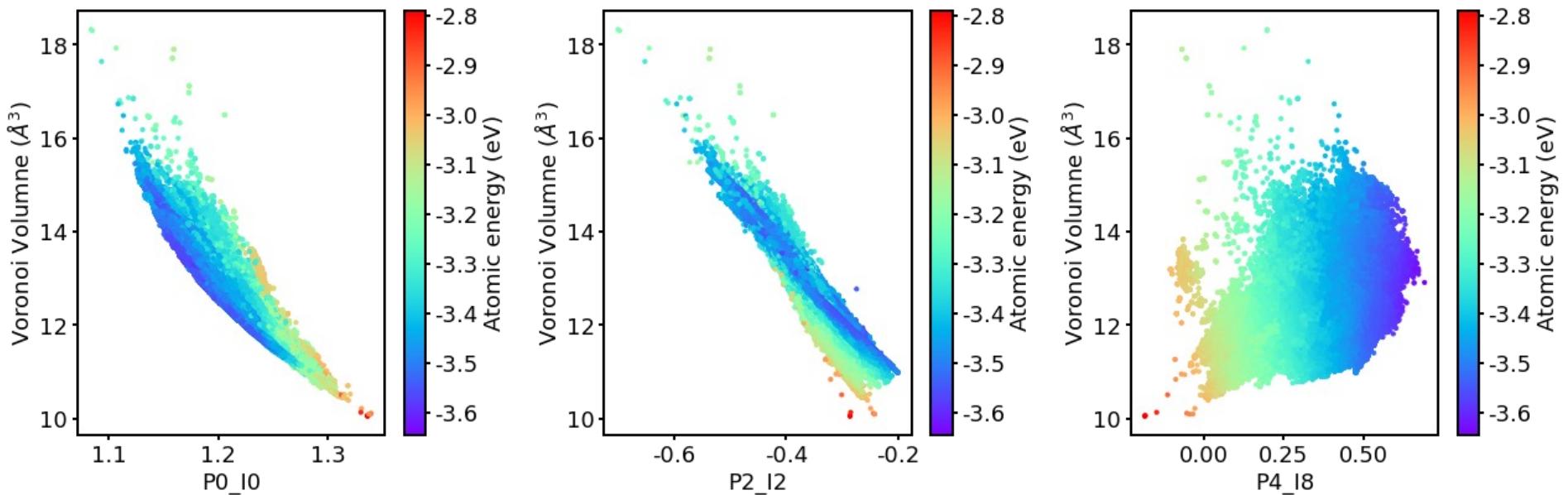


Rank 4 Invariants = Cubic deformations



Voronoi volume and SFDs

- Combined dataset shows also a correlation of 0.94 is observed between Voronoi volume and P0_I0



Rank 4 Invariants: 15 for Cauchy ($\partial^4/\partial r^4$) unique & complete

	Harmonic Polynomials	Rotational Invariants	
R_{44m} (5g)	v_4^4 v_4^3 v_4^2 v_4^1 v_4^0 v_4^{-1} v_4^{-2} v_4^{-3} v_4^{-4} $v_2^2 \cdot (r^2-a)$ $v_2^1 \cdot (r^2-a)$ $v_2^0 \cdot (r^2-a)$ $v_2^{-1} \cdot (r^2-a)$ $v_2^{-2} \cdot (r^2-a)$ $v_0^0 \cdot (r^4-br^2-c)$	$v(4, 4)_0^0$ $v((4, 4)_2, (4, 4)_2)_0^0$ $v(((4, 4)_2, (4, 4)_2)_2, (4, 4)_2)_0^0$ $v(((4, 4)_4, (4, 4)_4)_4, (4, 4)_4)_0^0$ $v(((4, 4)_2, 4)_2, (4, 4)_2)_0^0$ $v(((4, 4)_4, (4, 4)_4)_4, ((4, 4)_4, 4)_4)_0^0$ $v((4, 4)_2, Z^2)_0^0$ $v(((4, 4)_2, (4, 4)_2)_2, Z^2)_0^0$ $v(((4, 4)_2, (4, 4)_2)_2, X^2-Y^2)_0^0$ $v(2_4, 2_4)_0^0$ $v((2_4, 2_4)_2, 2_4)_0^0$ $v((4, 4)_2, 2_4)_0^0$ $v((2_4, 2_4)_2, (4, 4)_2)_0^0$ $v(((4, 4)_2, (4, 4)_2)_2, 2_4)_0^0$ $v(0_4, 0_4)_0^0$	4 th order shapes
R_{42m} (4d)			Orientations with respect to external frame
R_{400} (3s)			r ⁴ radial extent (with 2 radial nodes)

Elasticity (compliance) tensor has 21 elements with additional 4d' & 3s' terms arising from inequivalence of XYXY and XXYY type terms

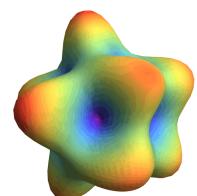


Rank 5 Invariants

$$v(5,5)_0^0 = |v_5^0, v_5^{\pm 1}, v_5^{\pm 2}, v_5^{\pm 3}, v_5^{\pm 4}, v_5^{\pm 5}|$$

Net 5th order distortions

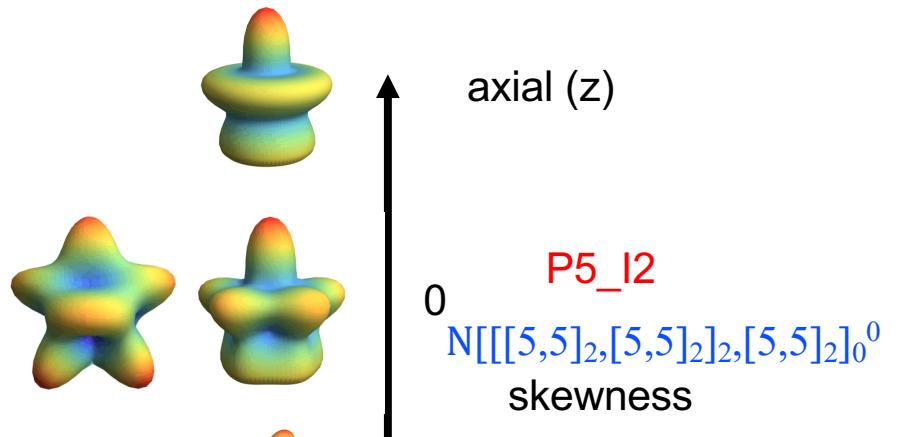
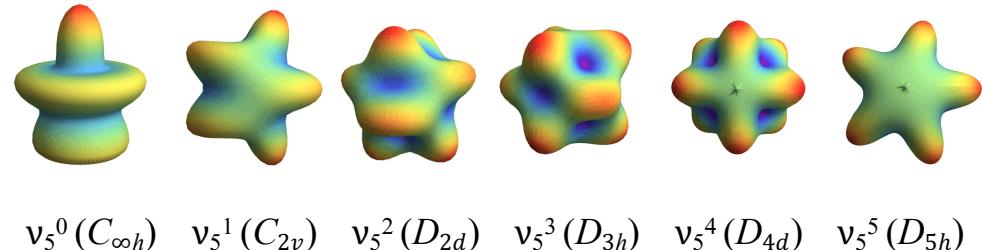
P5_I0



“The Blob” C_s
No symmetric
5th order structure

0 \longrightarrow

P5_I1
 $N[[5,5]_2, [5,5]_2]_0^0$
5-fold character



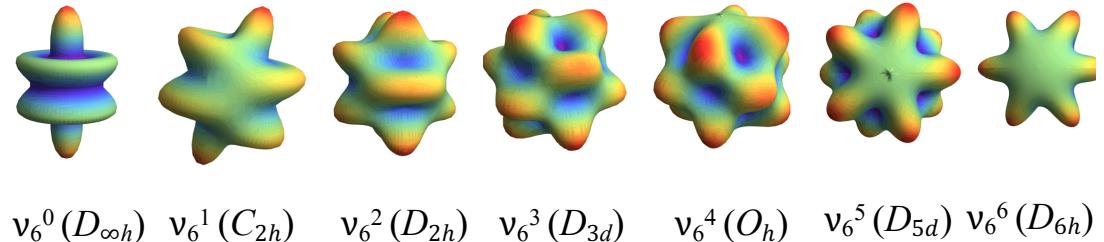
P5_I2 defines
internal axes

Rank 6 Invariants

$$v(6,6)_0^0 = |v_6^0, v_6^{\pm 1}, v_6^{\pm 2}, v_6^{\pm 3}, v_6^{\pm 4}, v_6^{\pm 5}, v_6^{\pm 6}|$$

Net 6th order distortions

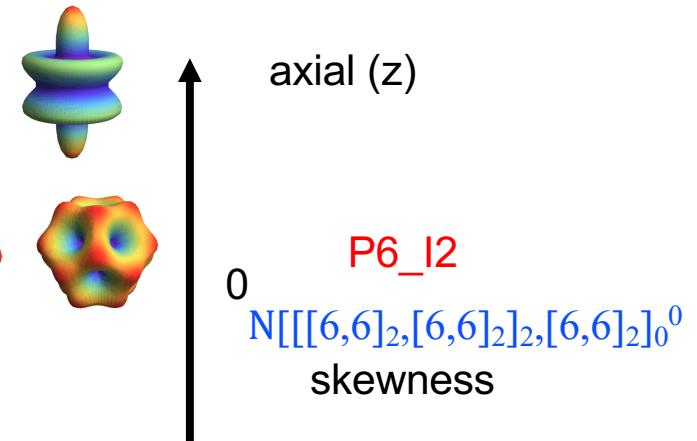
P6_I0



O_h (bcc w 2nd)
6th order ideal
 O_h (fcc)
Close, but
Not zero

0 →

P6_I1
 $N[[6,6]_2,[6,6]_2]_0^0$
 5-fold character



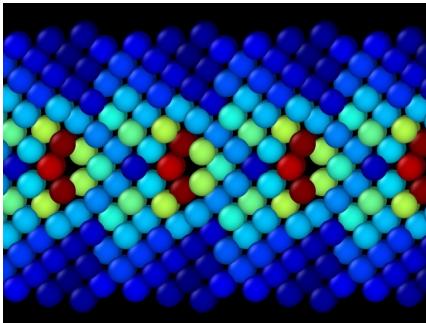
P6_I2 defines
 internal axes

P6_I2
 $N[[[6,6]_2,[6,6]_2]_2,[6,6]_2]_0^0$
 skewness

Characterizing Simulations

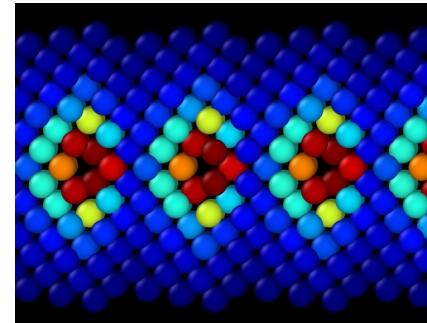
- SFDs provide numerical measures of different geometric distortions
- Single snapshots can be noisy: time-average or minimize
- Physically complete and interpretable basis for classification

P4_I1
Non-fcc (O_h) metric

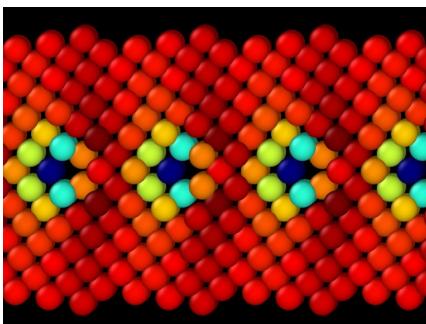


{100} symmetric tilt
Misorientation = 74°

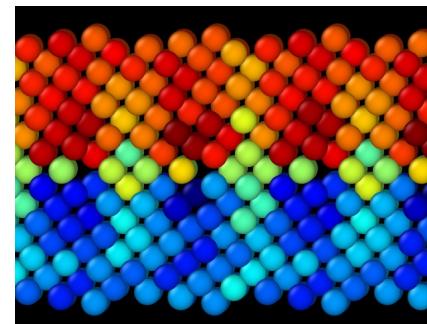
P3_I0
net strain gradient



P2_I2
average r^2



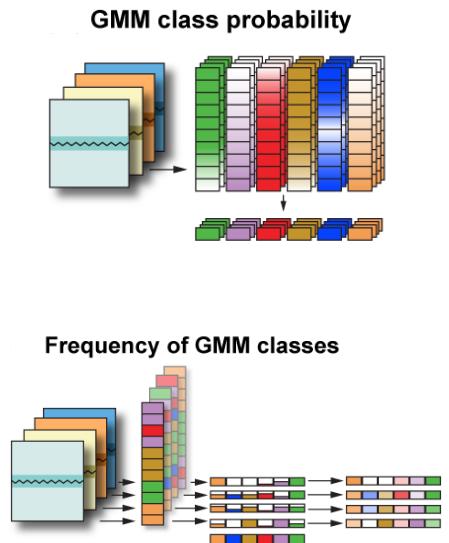
O4_I2
rotation angle



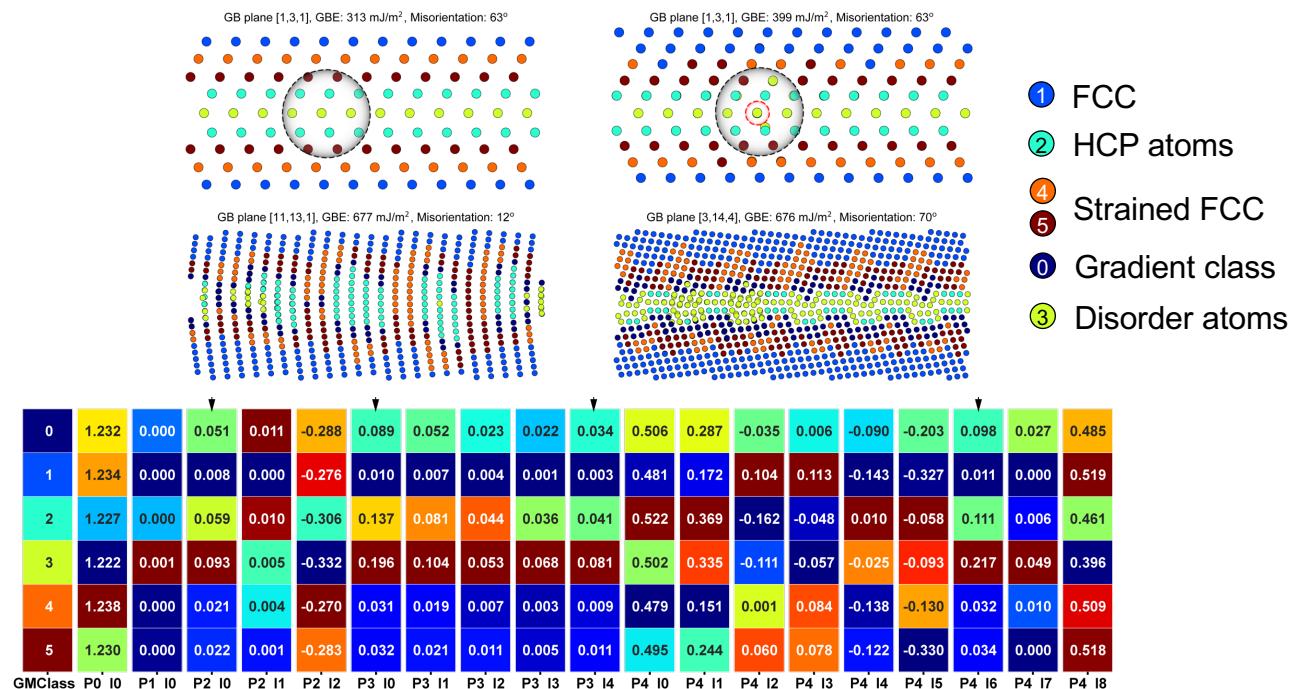
GBE prediction using GMM classes

- Regression models are developed using **GMM class probability and frequency**

Six-class GMM



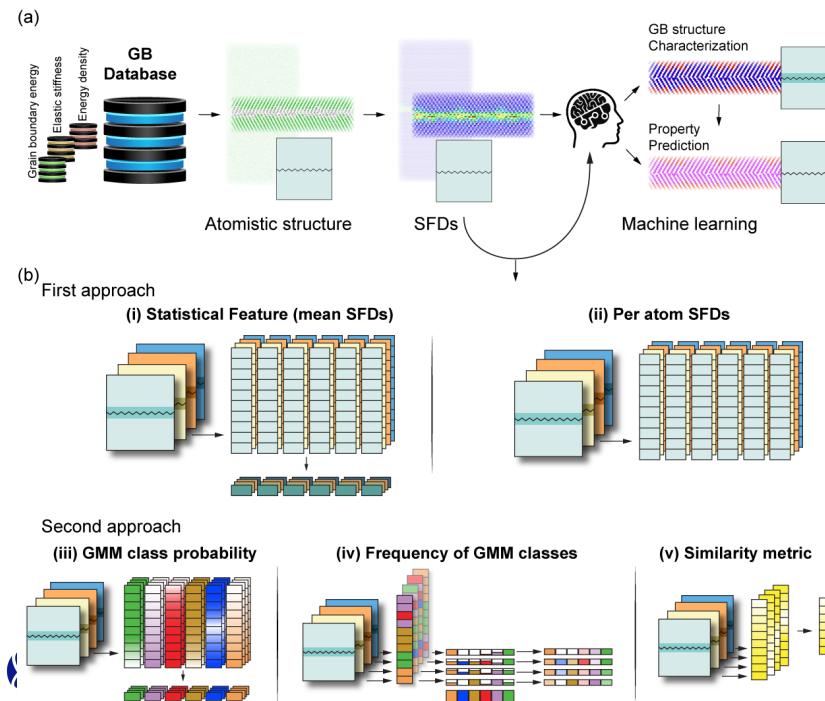
<112> symmetric tilt



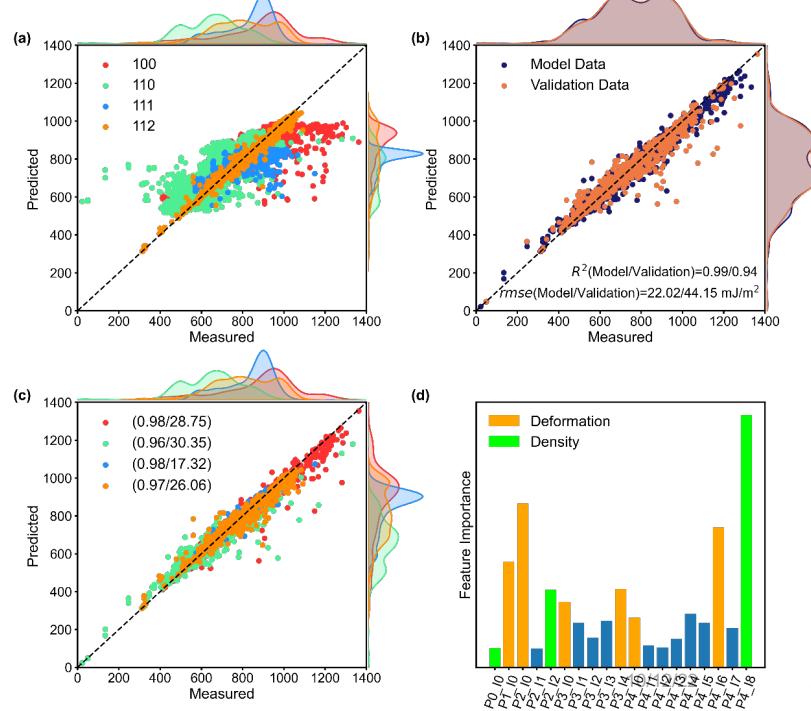
Grain boundary database and strain field descriptor

- Symmetric tilt grain boundary database of Cu (>5000) and grain boundary energy (GBE) prediction using ML

Database and workflow



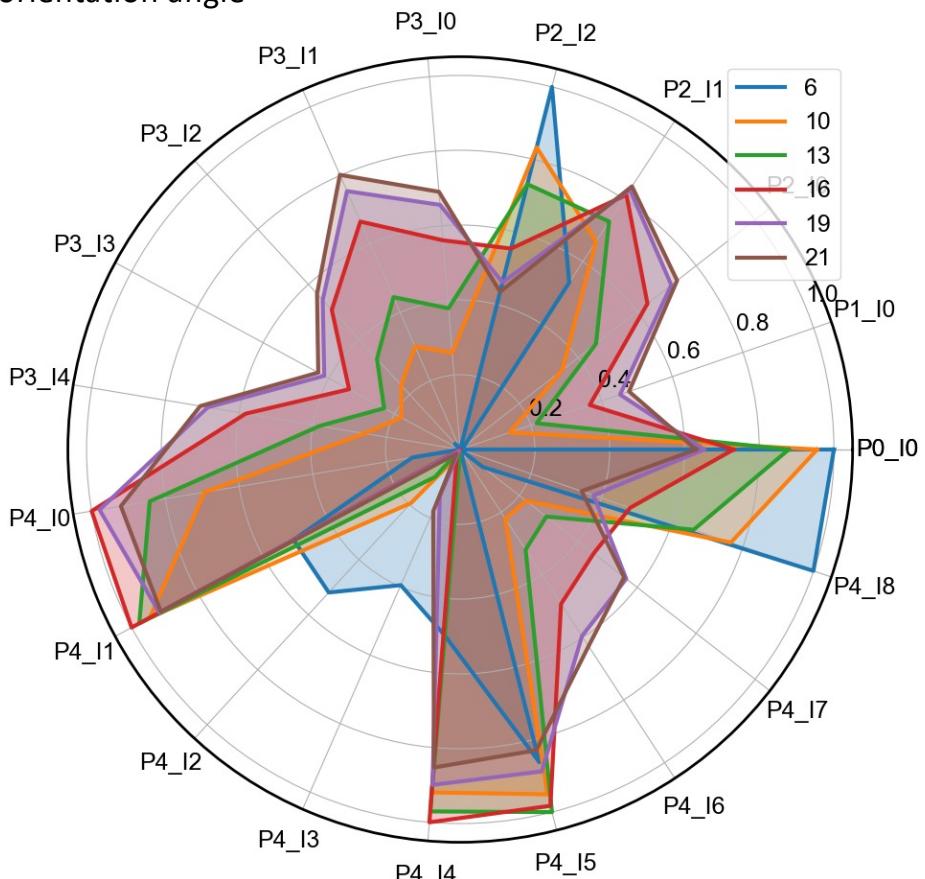
GBE prediction using ML



(100) Symmetric tilt

3	170.40	169.78	168.73	75.91	74.19	75.61	485.00	6.00
0	170.03	170.68	165.46	75.95	72.22	75.51	656.00	10.00
18	170.23	170.01	165.67	76.27	72.10	74.32	720.00	13.00
14	169.34	172.34	162.97	66.72	71.68	29.57	796.00	16.00
13	170.43	174.46	161.12	79.32	70.76	76.18	838.00	19.00
1	170.57	177.14	159.89	72.73	71.06	15.27	865.00	21.00
9	168.46	175.85	158.93	75.14	71.00	28.78	878.00	23.00
7	170.28	177.19	159.53	81.92	70.44	69.35	915.00	28.00
15	169.06	174.87	160.61	79.18	71.78	32.41	939.00	32.00
6	167.31	180.24	161.46	82.21	73.04	61.70	905.00	37.00
10	173.80	183.34	162.44	81.48	72.69	56.92	983.00	44.00
16	176.36	186.27	162.77	79.30	73.90	37.92	988.00	46.00
4	178.68	195.10	159.14	86.15	74.38	13.32	951.00	53.00
2	189.12	194.70	163.25	77.23	74.48	16.49	941.00	56.00
19	190.52	198.42	162.92	78.48	74.32	28.48	917.00	58.00
11	193.30	200.42	163.50	78.11	74.38	34.32	856.00	62.00
5	202.32	204.96	164.57	77.38	74.44	30.09	790.00	67.00
17	204.86	210.69	165.41	77.20	74.89	28.26	732.00	71.00
8	209.36	213.41	166.08	77.66	75.18	27.26	677.00	74.00
12	213.14	218.77	166.92	78.15	75.68	26.09	595.00	77.00
20	218.82	221.86	168.69	76.73	76.09	24.20	411.00	83.00
	c11	c22	c33	c44	c55	c66	GBE	mis

Label are misorientation angle



Summary

- Demonstrated SFDs as a rigorous approach to describing atomic environments
 - Minimal, complete and non-redundant for n th order expansion
 - Physical basis for classification, machine learning
- SFD further development
 - Extension to sixth order (full characterization of hexagonal space groups)
 - Application to diffraction analysis, neutron scattering of defects
 - Extension to vector (displacement) & tensors (compliance)
- Application future
 - Characterize general GBs (twist & tilt): 2D patterns
 - Characterize GB changes with transmission, absorption
 - Strong basis for general ML: GBs, dislocations, diffraction

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