
Large deviations of one-dimensional kinetically constrained models with recurrent neural networks

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Abstract

We show how neural-network states can be used to calculate the dynamical large-deviation functions of classical systems, which play the role of thermodynamic potentials for trajectories. We use a recurrent neural network to obtain the scaled cumulant-generating function for the dynamical activity of the Fredrickson-Andersen model, a prototypical kinetically constrained model for glass formers, in one dimension with high accuracy. These results offer a novel method for the determination of large-deviation functions, and highlight the broad applicability of the neural-network state ansatz.

1 Introduction

Whereas equilibrium systems are studied with ensembles of configurations, dynamical systems—including glassy [1, 2, 3], driven [4, 5, 6, 7, 8], and biochemical systems [9, 10]—are studied with ensembles of stochastic trajectories. Time-extensive trajectory observables, examples of which include dynamical activity [1, 2, 11], entropy production [12, 13], or other currents [14, 15, 16], characterize these trajectories. Large-deviation functions—the scaled cumulant-generating function (SCGF) and rate function—describe the fluctuations of these observables, and play the role of thermodynamic potentials for trajectories [17, 18]. Here, we demonstrate the use of the neural-network state ansatz [19], which shall represent the long-time configurational probability distributions associated with rare trajectories, to calculate these large-deviation functions. In particular, we will study the large deviations of a time-extensive observable \mathcal{A} , which is defined along a trajectory ω of length t with $K(\omega)$ configurational changes as

$$\mathcal{A} = \sum_{k=0}^{K(\omega)-1} \alpha_{x_k x_{k+1}}, \quad (1)$$

with α_{xy} the change in \mathcal{A} when jumping between the discrete configurations x and y . Such an observable is said to follow a large-deviation principle if in the limit of $t \rightarrow \infty$ it follows the distribution

$$P(\mathcal{A}) \approx e^{-tJ(a)}, \quad (2)$$

where $a = \mathcal{A}/t$, and $J(a)$ is the rate function which quantifies the exponential decrease of observing atypical values of \mathcal{A} [17]. The cumulants of \mathcal{A} can in this limit be obtained as derivatives of the scaled cumulant-generating function $\theta(s)$

$$\theta(s) = \lim_{t \rightarrow \infty} \frac{1}{t} \ln \langle e^{-s\mathcal{A}} \rangle. \quad (3)$$

The SCGF $\theta(s)$ and rate function $J(a)$ are connected through a Legendre transform, $\theta(s) = -\min_a \{sa + J(a)\}$.

Obtaining these rate functions is challenging for many physical systems, requiring the use of advanced Monte Carlo methods based on *e.g.* cloning [20, 21, 22] or auxiliary dynamics [23, 24, 25]. Recently, neural networks have been used to construct such auxiliary dynamics [26, 27, 28]. Alternatively, the SCGF $\theta(s)$ can be obtained as the largest eigenvalue of a modified or “tilted” generator W^s whose matrix elements connecting microstates x and y are

$$W_{xy}^s = W_{xy} e^{-s\alpha_{xy}} (1 - \delta_{xy}) - R_x \delta_{xy}. \quad (4)$$

Here W_{xy} are the matrix elements of the original generator describing the dynamical process and $R_x = \sum_{y \neq x} W_{xy}$ [29, 17, 30]. The SCGF can hence be obtained by solving the eigenproblem $W^s |P^s\rangle = \theta(s) |P^s\rangle$, where the right eigenvectors $|P^s\rangle$ contain the configurational probabilities in the long-time limit for trajectories conditioned on $\langle a \rangle = -d\theta(s)/ds$. The similarities between the variational energy minimization in quantum systems and finding the SCGF as largest eigenvalue of a tilted generator have led to the use of variational techniques for studying large deviations in dynamical systems, in particular the density matrix renormalization group (DMRG), [31, 32, 33]. Inspired by their recent applications in the variational optimization of quantum systems, we here demonstrate the use of the neural-network state ansatz [19] for determining the SCGF of a one-dimensional dynamical system.

2 Recurrent neural-network states

Artificial neural networks can be used as a variational ansatz by mapping configurations $\mathbf{x} \equiv (x_1, \dots, x_N)$ of an N -site lattice system to their corresponding probability amplitude $\psi(\mathbf{x})$, which defines the state $|\psi\rangle = \sum_{\mathbf{x}} \psi(\mathbf{x}) |\mathbf{x}\rangle$. This ansatz has recently been shown to be capable of faithfully representing highly entangled quantum systems [19, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53], and has found use in quantum state tomography [54, 55, 56, 57]. The expressivity of the neural-network state ansatz depends on the architecture of the neural network, and typical choices include restricted Boltzmann machines, fully-connected and convolutional neural networks, and autoregressive neural networks. Here, we use autoregressive neural networks which are popular architectural choices for complex machine learning tasks such as natural language processing, sequence generation or handwriting recognition [58, 59, 60, 61, 62]. A state defined by such a network can be sampled in parallel without Markov chains, which is particularly useful for physical regimes where Markov chains struggle to propose uncorrelated configurations. Examples of autoregressive neural networks include PixelCNN [51] and recurrent neural networks (RNN) [52, 53]. Here, we use the RNN ansatz of [52, 53], which was shown to be highly efficient in the optimization of quantum systems. An RNN is defined by its elementary building block, the RNN cell, which is a parametrized non-linear function that sweeps over the lattice site by site. For a given configuration \mathbf{x} , at each lattice site i the RNN cell receives the “visible” state x_{i-1} from the previous site, as well as the “hidden” state h_{i-1} , which contains information from the previously encountered degrees of freedom and serves as a form of memory. From this, the RNN cell calculates the hidden state for the current lattice site, h_i , and further processes this hidden state to obtain a conditional probability amplitude $\psi(x_i | x_{i-1}, \dots, x_1)$ for a new visible state—depending entirely on $x_{j < i}$ encountered earlier on the lattice. A new visible state is obtained by sampling from the distribution $P(x_i | x_{i-1}, \dots, x_1) = |\psi(x_i | x_{i-1}, \dots, x_1)|^2$ which, together with the new hidden state, can be used as input for the next site. Starting from an initial visible and hidden state, the whole lattice can be traversed in this way, which allows for highly parallel sampling and calculation of probability amplitudes. The probability amplitude of the entire configuration \mathbf{x} with an autoregressive neural-network state is defined as

$$\psi(\mathbf{x}) = \prod_{i=1}^N \psi(x_i | x_{i-1}, \dots, x_1). \quad (5)$$

The expressivity of this neural network ansatz is determined by the choice of the RNN cell and by the dimension of its hidden state vector d_h , also known as the number of hidden units.

The weights of the neural network are updated according to the variational principle. The expectation value of the tilted generator can be written as

$$\langle \psi | W^s | \psi \rangle = \sum_x |\psi(x)|^2 \sum_{x'} W_{xx'}^s \frac{\psi(x')}{\psi(x)} \quad (6)$$

$$\equiv \sum_x |\psi(x)|^2 \theta_{\text{loc}}(x). \quad (7)$$

The goal of our training routine is the maximization of this expectation value, as to obtain the SCGF $\theta(s)$. This is done using variational Monte Carlo: given a parameterized state, $\psi_{\mathcal{W}}$, we sample the current value of $\langle \psi_{\mathcal{W}} | W^s | \psi_{\mathcal{W}} \rangle \equiv \tilde{\theta}(s)$ using N_S samples $\{x_S\}$ drawn according to $|\psi_{\mathcal{W}}|^2$:

$$\tilde{\theta}(s) \approx \frac{1}{N_S} \sum_{x \in \{x_S\}} \theta_{\text{loc}}(x). \quad (8)$$

The gradients of $\tilde{\theta}(s)$ w.r.t. to the variational parameters \mathcal{W} are then calculated as

$$\partial_{\mathcal{W}} \tilde{\theta}(s) = \frac{2}{N_S} \sum_{x \in \{x_S\}} \partial_{\mathcal{W}} \log \psi_{\mathcal{W}}(x) \left(\theta_{\text{loc}}(x) - \tilde{\theta}(s) \right), \quad (9)$$

and the parameters \mathcal{W} are updated as to maximize $\tilde{\theta}(s)$. This is repeated until convergence is achieved, at which point we obtain our best estimate for the SCGF $\theta(s)$.

3 Dynamical activity of the Fredrickson-Andersen model

The Fredrickson-Andersen (FA) model describes glassy dynamics by placing kinetic constraints on the transitions between configurations of the system, which gives rise to slow relaxation [63, 64, 65]. On each lattice site, a binary spin can only flip up (resp. down) with rate c (resp. $1 - c$) if one of its neighbouring spins is up, and this rate increases for each of its neighbours in the up state, see Fig. 1a. These dynamics are described by the generator W , given by

$$W = \sum_i (n_{i-1} + n_{i+1}) [c\sigma_i^+ + (1 - c)\sigma_i^- - c(1 - n_i) - (1 - c)n_i], \quad (10)$$

where n_i is 1 if site i is in the up state and zero otherwise, and σ_i^{\pm} flips site i up or down. We work with open boundary conditions by connecting each spin on the boundary of the lattice to a site in the down state. The configuration with all sites in the down state is disconnected from the rest of configuration space due to the kinetic constraints; we only consider dynamics without this state. In the following, we will study the large-deviation properties of the dynamical activity of the FA model in one dimension. The dynamical activity measures the number of spin flips during a trajectory of time t , so that $\alpha_{xy} = 1$ in Eq. (1). The tilted generator W^s (Eq. (4)) for the dynamical activity of the FA model is then obtained by multiplying the off-diagonal elements of W with the factor e^{-s} , and the corresponding SCGF can be calculated as the largest eigenvalue of W^s . A dynamical phase transition separates an active and inactive dynamical phase at a size-dependent critical value of the tilting parameter $s_c \geq 0$ [2, 32, 66, 67, 68], which is marked by a singularity in the SCGF. The dynamics described by W^s obey detailed balance, so that a similarity transformation $P^{-1}W^sP = H^s$ —which leaves the eigenvalue spectrum of W^s unchanged—can be performed, which results in a Hermitian matrix given by [2]

$$H^s = \sum_i (n_{i-1} + n_{i+1}) [e^{-s} \sqrt{c(1-c)} \sigma_i^x - c(1 - n_i) - (1 - c)n_i], \quad (11)$$

where σ_x is a Pauli matrix. As H^s is a Hermitian operator, the SCGF obtained through the variational method results in a lower bound on the exact SCGF—whereas if it were obtained through W^s , the result can be above or below it—allowing for a straightforward comparison of the accuracy of the RNN ansatz with other methods.

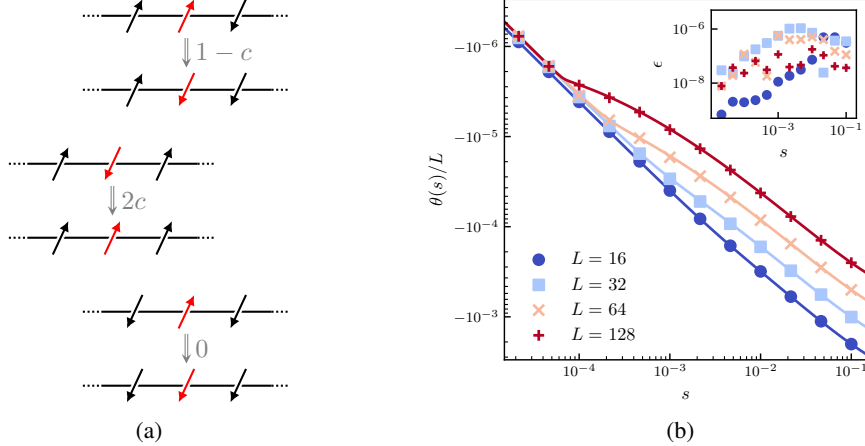


Figure 1: (a) Example transition rates of the one-dimensional Fredrickson-Andersen model studied in this work. (b) Scaled cumulant-generating function $\theta(s)$ per lattice site of the one-dimensional Fredrickson-Andersen model with a recurrent neural network ansatz (marks) and DMRG (lines) for various values of s , and system sizes between $L = 16$ and $L = 128$. Inset: Difference $\epsilon \equiv \theta(s)_{\text{DMRG}}/L - \theta(s)_{\text{RNN}}/L$ between DMRG calculations and the RNN ansatz.

4 Results

We demonstrate the success of the neural-network state ansatz in computing large deviation functions by obtaining the SCGF for the dynamical activity of the FA model on a one-dimensional lattice. We optimize RNN states to find the largest eigenvalue of H^s (Eq. (11)), at $c = 0.1$ and for values of s corresponding to both the active and inactive dynamical phases. The derivatives of the SCGF provide us with e.g. the average value of the dynamical activity or its susceptibility, while the probability distribution of the dynamical activity can be obtained by taking its Legendre transform, allowing us to quantify the rarity of certain values of the activity. Similar results were recently obtained with very high precision using DMRG [32]. The cell type of the RNN used here is a gated recurrent unit [69], and we set $d_h = 128$. The RNN is first optimized on an $L = 16$ chain (Fig. 1b), using $N_S = 5000$ samples and updating the weights using the Adam optimizer [70] with a learning rate $\alpha = 10^{-4}$, which is lowered to $\alpha = 10^{-5}$ until convergence is acquired. Additionally, we enforce parity symmetry [52]. The optimized RNN cell obtained in this way is not explicitly dependent on the lattice size, and can be used as a starting point for training of larger systems belonging to the same dynamical phase [53]. Hence, we can first extensively train the RNN cell on a small lattice, which is computationally cheap for actions such as determining the optimal training hyperparameters and avoiding local minima. These cells are then used as a starting point to obtain the SCGF for large lattices in an iterative fashion; $L = 16 \rightarrow L = 32 \rightarrow L = 64 \rightarrow L = 128$ (Fig. 1b). Each of these steps typically requires only a few hundred training iterations until convergence, so that even large lattices can be studied in a computationally efficient way. In the inset of Fig. 1b, we compare the SCGF obtained with the RNN states to those calculated with DMRG. The error per lattice site made with the RNN ansatz $\epsilon \equiv \theta(s)_{\text{DMRG}}/L - \theta(s)_{\text{RNN}}/L$ is typically very small, $\epsilon \lesssim \mathcal{O}(10^{-6})$ —with the largest errors often occurring near the transition point—which demonstrates the capability of the RNN states in representing the steady-state configurational probability distribution for both dynamical phases.

5 Discussion

We have demonstrated the use of neural-network states for obtaining large-deviation functions of dynamical systems. In particular, we have shown that a recurrent neural-network state ansatz is capable of accurately determining the scaled cumulant-generating function of the Fredrickson-Andersen model on large one-dimensional lattices. Similar ansätze have previously been shown to outperform tensor network techniques for two-dimensional quantum systems [51, 52]. Hence, this ansatz could prove powerful in studying large deviation functions of two-dimensional systems which

are relatively unexplored; we are currently investigating this. As improvements are still being made rapidly to this ansatz, we can expect it to play an important role for the study of large deviations of dynamical systems.

Broader Impact

The authors do not foresee their work having any negative societal consequences or causing ethical issues.

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