

Gyrokinetic Energetics

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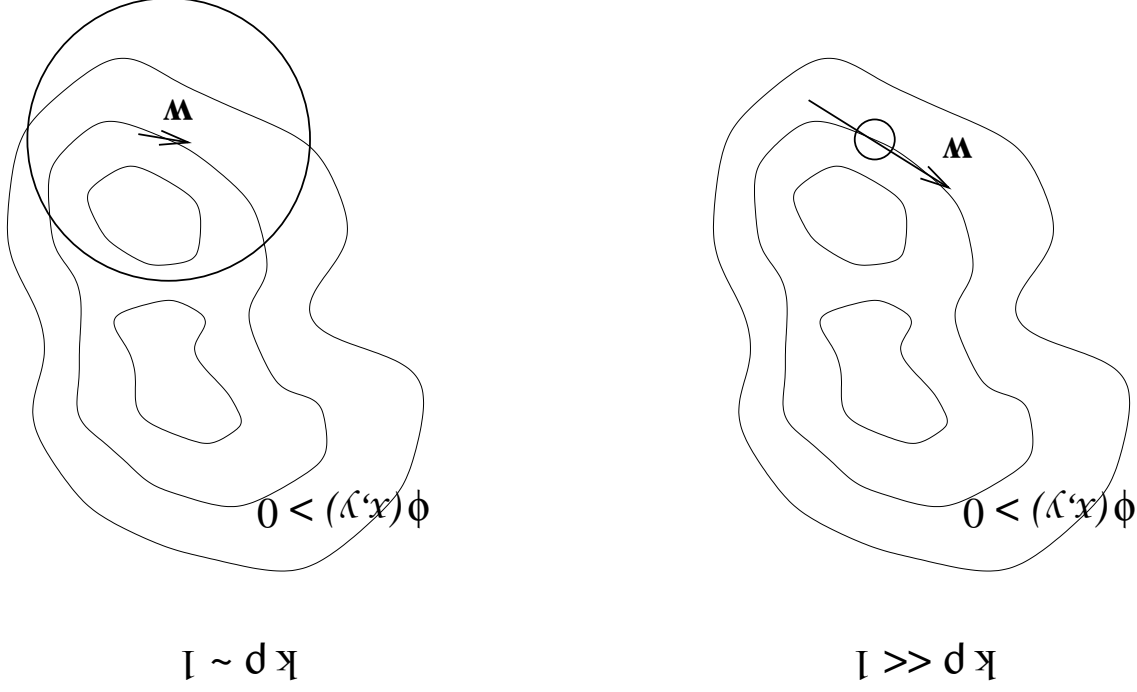
Outline

- **What Gyrokinetics Means, Gyrokinetic Equation**
 - electrostatic, fully nonlinear
 - Lagrangian, Hamiltonian structure
 - variational principle \leftrightarrow polarisation
- **Energy conservation**
 - particle versus field Hamiltonian
 - drift energy versus thermal energy
 - polarisation equation and energy theorem
 - phase space conservation
- **Flow Energy**
 - flows: field energy
 - zonal flows: contribution of zonal component to field energy
 - energy exchange mechanisms
- **Delta-F Codes GENE and FEFC**
 - delta-f approximations
 - free energy conservation

The Meaning of Gyrokinetics

- low frequencies $\omega \ll \Omega_c = eB/mc$ for each species

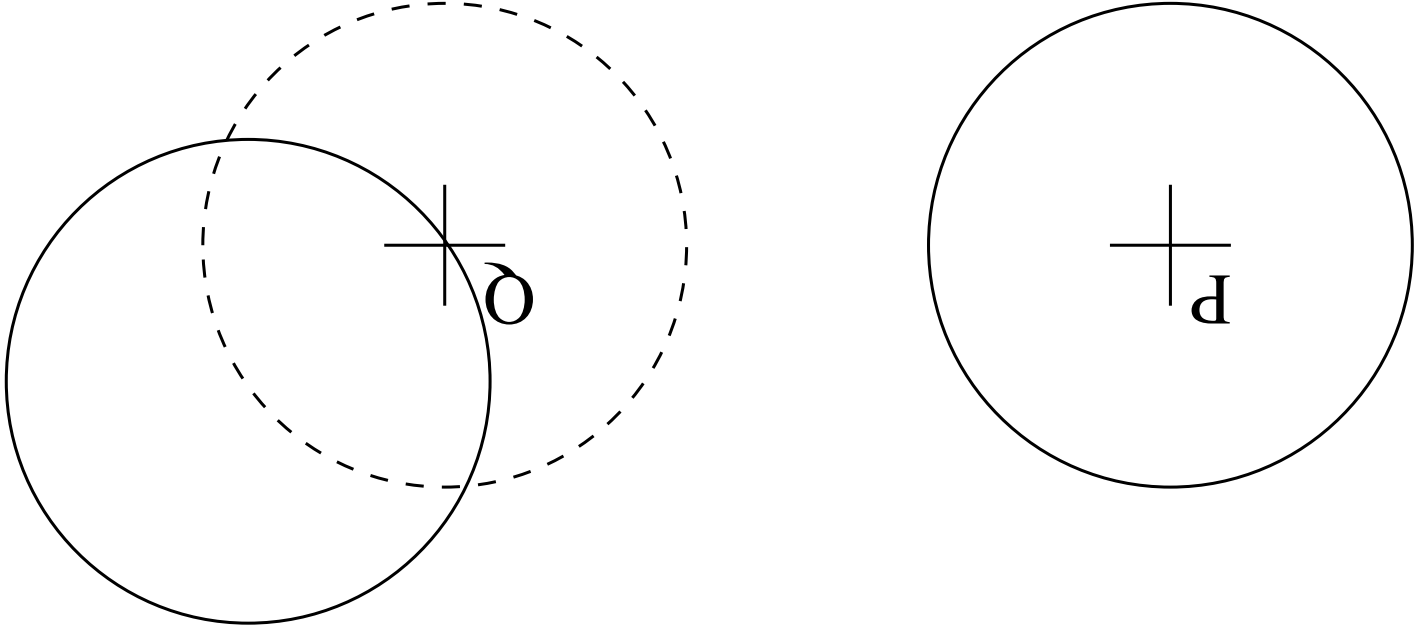
treat particles as rings of charge in spatially varying fields



- reduced response: “gyroaveraging”

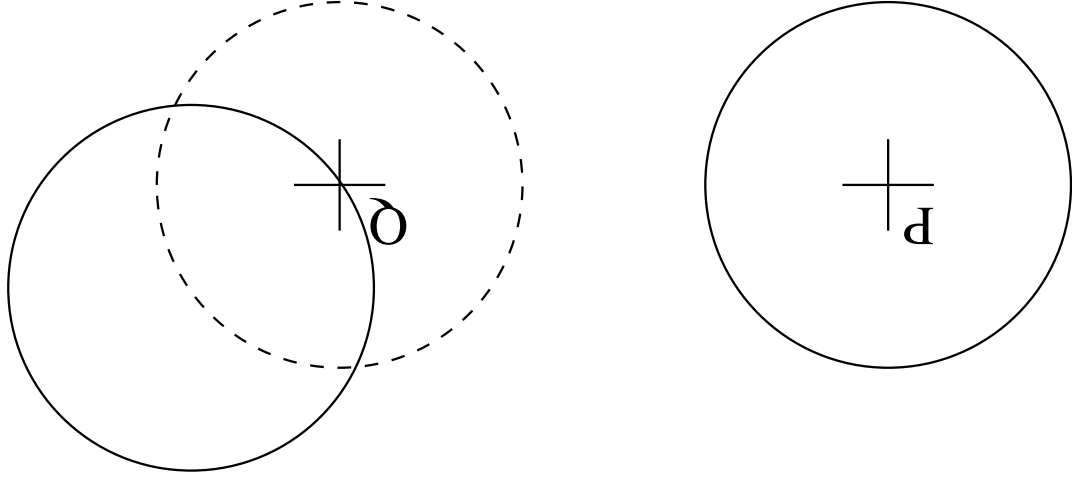
- reaction to fields, polarisation density “gyroscreening”

Gyroaveraging Operations



gyrocenter at P contributes charge to points on the ring
gyrocenters contributing charge to Q lie on dashed ring

Gyrokinetic/Gyrofluid Polarisation



gyrocenter at P senses potential at points on the ring

gyrocenters on dashed ring contribute charge to Q

mathematics identical in both procedures (Hermitian operators)

polarisation density \propto part of f dependent upon gyrophase angle

The Gyrokinetic Model

- electrostatic, full-f version to show structure

- particle Lagrangian

$$L_p = \left(\frac{e}{c} \mathbf{A} + m v_{\parallel} \mathbf{b} \right) \cdot \dot{\mathbf{R}} + \mu \frac{\Omega}{B} \theta - \left(m \frac{v_{\parallel}^2}{2} + \mu B - e\psi \right)$$

- Hamiltonian

$$H = m \frac{v_{\parallel}^2}{2} + \mu B - e\psi$$

- gyroaveraged and (low- k_{\perp}) screened potential

$$e\psi = e J_0 \phi - m \frac{v_E^2}{2}$$

- modified field

$$\mathbf{A}^* = \mathbf{A} + \frac{e}{mc} v_{\parallel} \mathbf{b}$$

$$\mathbf{B}^* = \nabla \times \mathbf{A}^*$$

$$B^* = \mathbf{B}^* \cdot \mathbf{b}$$

$$\mathbf{b}^* = \frac{\mathbf{B}^*}{B^*}$$

The Gyrokinetic Equation

- particle Lagrangian

$$L_p = \frac{e}{c} \mathbf{A}^* \cdot \dot{\mathbf{R}} + \mu \frac{\Omega}{B} \dot{\theta} - H$$

- equation of motion for distribution function

$$\frac{\partial f}{\partial t} = \frac{1}{m} \left(\frac{\partial f}{\partial v_{\parallel}} \mathbf{p}^* \cdot \nabla H - \frac{\partial H}{\partial v_{\parallel}} \mathbf{p}^* \cdot \nabla f \right) + \frac{e B B^*}{c} \mathbf{F} : (\nabla H \nabla f)$$

- tensor representation for magnetic field

$$\mathbf{F} = \epsilon \cdot \mathbf{B} \quad \text{hence} \quad \mathbf{v}_E = \frac{B^2}{c} \mathbf{B} \times \nabla \phi = - \frac{B^2}{c} \mathbf{F} \cdot \nabla \phi$$

- Hamiltonian structure

$$\frac{\partial f}{\partial t} [H, f]$$

where ...

... where we have a spatial coordinate system $\{x, y, s\}$ so that

$$[H, f] = \frac{m}{b^* x} \left(\frac{\partial f}{\partial H} \frac{\partial v_{\parallel}}{\partial x} - \frac{\partial v_{\parallel}}{\partial H} \frac{\partial f}{\partial x} \right) + \frac{e F_{xy}}{c} \left(\frac{\partial f}{\partial H} \frac{\partial x}{\partial y} - \frac{\partial x}{\partial H} \frac{\partial f}{\partial y} \right) + \frac{m}{b^* y} \left(\frac{\partial f}{\partial H} \frac{\partial v_{\parallel}}{\partial y} - \frac{\partial v_{\parallel}}{\partial H} \frac{\partial f}{\partial y} \right) + \frac{e F_{ys}}{c} \left(\frac{\partial f}{\partial H} \frac{\partial y}{\partial s} - \frac{\partial y}{\partial H} \frac{\partial f}{\partial s} \right) + \frac{m}{b^* s} \left(\frac{\partial f}{\partial H} \frac{\partial v_{\parallel}}{\partial s} - \frac{\partial v_{\parallel}}{\partial H} \frac{\partial f}{\partial s} \right) + \frac{e F_{ys}}{c} \left(\frac{\partial f}{\partial H} \frac{\partial y}{\partial s} - \frac{\partial y}{\partial H} \frac{\partial f}{\partial s} \right)$$

• notes:

- curvature drift is in the b^* terms
- grad-B drift is in the μ_B part of the drift terms
- (generalised) ExB drift is in the $e\psi$ part of the drift terms
- parallel dynamics is in the b terms

• note especially:

- parallel dynamics and trapping go together, in both $e\psi$ and μ_B
- (really subtle) phase space conservation:

$$\frac{e}{\partial} \frac{m \partial v_{\parallel}}{\partial \psi} (\mathbf{b}^* \cdot \nabla \psi) \quad \text{versus} \quad \nabla \cdot \frac{B B^*}{c} \mathbf{F} \cdot \nabla \psi$$

◦ that is, curvature drift part of trapping versus ExB advection!

Polarisation: Reaction of the Field

- find from Hamilton's principle, variation of ϕ

$$\sum_{\text{species}} \left[\int d\mathcal{W} e^{J_0 f + \Delta \cdot \frac{m c^2}{B^2} \Delta^\perp \phi} \right] = 0 \quad \text{where} \quad n = \int d\mathcal{W} f$$

- a little slower ...

◦ position gyrocenters in space (G is positioning kernel):

$$\int d\mathcal{V} \mathcal{I} = \int d\mathcal{V} \sum^d L^p G(\mathbf{R}, \mathbf{x})$$

◦ examine part due to the potential ϕ :

$$\int d\mathcal{V} \mathcal{I} = \int d\mathcal{V} \int d\mathcal{W} f(\dots - e\psi) = \dots = \int d\mathcal{V} \int d\mathcal{W} f \left(e^{J_0 \phi} - \frac{m c^2}{2 B^2} |\Delta^\perp \phi|^2 \right)$$

◦ vary with respect to ϕ (J_0 is Hermitian, do one Δ^\perp by parts, incorporate f into n):

$$\delta \left(\int d\mathcal{V} \mathcal{I} \right) = - \int d\mathcal{V} \delta \phi \left(\int d\mathcal{W} e^{J_0 f + \Delta \cdot \frac{m c^2}{B^2} \Delta^\perp \phi} \right)$$

Energy Conservation

- main point:

particle and field energy work together

- in this case, field energy is actually ExB motion of particles

- an important auxiliary relation using polarisation:

$$\sum_{\text{species}} \int dV \int dW e J_0 \phi f = \sum_{\text{species}} \int dV m v \frac{E}{2}$$

- proof: multiply polarisation by ϕ , integrate over volume

$$0 = \left[\int dV \phi \sum_{\text{species}} \left[\int dW e J_0 f + \Delta \cdot \frac{B^2}{m c^2} \Delta^\perp \phi \right] \right]$$

$$\int dV \sum_{\text{species}} \left[\int dW \phi e J_0 f - \Delta \phi \cdot \frac{B^2}{m c^2} \Delta^\perp \phi \right] = 0$$

$$\int dV \sum_{\text{species}} \int dW f e J_0 \phi = \int dV \sum_{\text{species}} \frac{B^2}{m c^2} |\Delta^\perp \phi|^2$$

Energy Conservation (2)

- “charge density” is really ExB energy
 - start with

$$\sum_{\text{species}} \int d\nu \int d\mathcal{W} e J_0 \phi f = \sum_{\text{species}} \int d\nu m \nu \frac{v_E^2}{2}$$

- subtract the ExB energy from both sides

$$\sum_{\text{species}} \int d\nu \left(\int d\mathcal{W} e J_0 \phi f - m \nu \frac{v_E^2}{2} \right) = \sum_{\text{species}} \int d\nu m \nu \frac{v_E^2}{2}$$

- combine left side into effective potential

$$\sum_{\text{species}} \int d\nu \int d\mathcal{W} e \psi f = \sum_{\text{species}} \int d\nu m \nu \frac{v_E^2}{2}$$

Energy Conservation (3)

- entire energy is therefore thermal plus field energy

$$n = \sum_{\text{species}} \int d\nu \int d\mathcal{W} H f = \sum_{\text{species}} \int d\nu \int d\mathcal{W} (H_0 + e\psi) f$$

where

$$H_0 = m \frac{v_{\parallel}^2}{2} + \mu_B$$

and then

$$\sum_{\text{species}} \int d\nu \int d\mathcal{W} H f = \sum_{\text{species}} \int d\nu \left(\int d\mathcal{W} H_0 f + m \frac{v_E^2}{2} \right)$$

- part of energy due to H_0 is thermal energy

- part of energy due to $e\psi$ is ExB energy (“drift energy” or “field energy”)

Energy Conservation (4)

- time derivative works the same way (more manipulations):

$$\frac{\partial}{\partial t} \sum_{\text{species}} \int \mathcal{V} \rho_{nm} \frac{v_E^2}{2} = \sum_{\text{species}} \int \mathcal{V} \rho_{e\psi} \frac{\partial \psi}{\partial t}$$

- so that the evolution of the total energy is given by ...

$$\frac{\partial \mathcal{E}}{\partial t} = \sum_{\text{species}} \int \mathcal{V} \rho_{H_0} \frac{\partial \psi}{\partial t} + \sum_{\text{species}} \int \mathcal{V} \rho_{nm} \frac{v_E^2}{2}$$

$$= \frac{\partial \psi}{\partial t} (\rho_{H_0} + \rho_{e\psi}) \int \mathcal{V} \rho_{\text{species}} =$$

$$= \frac{\partial \psi}{\partial t} \int \mathcal{V} \rho_{\text{species}} =$$

$$= \sum_{\text{species}} \int \mathcal{V} \rho_{\text{species}} [f, H] = 0$$

... zero! One more little detail however ...

Phase Space Conservation

... the assertion that the integral over $H[H, f]$ vanishes requires the Liouville theorem

• express the gyrokinetic equation in advection form

$$\frac{\partial f}{\partial t} + V^\alpha \Delta^\alpha f = 0 \quad \text{where} \quad V^\alpha = \left\{ -\frac{eBB^*}{c} \mathbf{F} \cdot \nabla H + \mathbf{b}^* \frac{m}{\partial H}, -\frac{m}{1} \mathbf{b}^* \cdot \nabla H \right\}$$

• it is important to note that not $\Delta^\alpha V^\alpha$ but $\Delta^\alpha(B^*V^\alpha)$ is zero
 ◦ proof (use $\nabla \times \mathbf{b} = -\nabla \cdot (\mathbf{F}/B)$ and $\nabla \cdot \mathbf{B}^* = 0$):

$$\Delta^\alpha(B^*V^\alpha) = -\nabla \cdot \left(\frac{c}{\mathbf{F}} \frac{e}{B} \cdot \nabla H \right) - \frac{1}{\partial \mathbf{B}^*} \frac{m}{\partial v_{\parallel}} \cdot \nabla H$$

$$= -\nabla \cdot \left(\frac{c}{\mathbf{F}} \frac{e}{B} \cdot \nabla H \right) - \frac{e}{c} (\nabla \times \mathbf{b}) \cdot \nabla H$$

$$= -\nabla \cdot \left(\frac{c}{\mathbf{F}} \frac{e}{B} \cdot \nabla H \right) + \frac{e}{c} \left(\nabla \cdot \frac{\mathbf{B}}{\mathbf{F}} \right) \cdot \nabla H$$

$$= 0$$

• the phase space element is $\int d\mathcal{W} = 2\pi \int dv_{\parallel} d\mu B^*$

Phase Space Conservation (2)

- thus we have

$$\frac{\partial f}{\partial t} + \mathcal{H}[H, f] = \left[\frac{z}{H^2}, f \right]_{V_\alpha} \Delta_\alpha f$$

where V_2 is V defined with $H \rightarrow H^2/2$

- number and energy conservation follow the same way:

$$\int dV \int dW \frac{\partial f}{\partial t} = \int dV \int dW \mathcal{H}[H, f] = -2\pi \int dV \int dW \Delta_\alpha (B^* V_\alpha) f =$$

$$= -2\pi \int dV \int dW \Delta_\alpha (B^* V_\alpha) f = 0$$

that is, zero.

- find energy conservation using $H \rightarrow H^2/2$ and $V \rightarrow V_2$ (trivial)

Energy Transfer

- using total energy conservation it is simple to get the transfer:

$$\frac{\partial n_k}{\partial t} = \frac{\partial n_e}{\partial t}$$

$$\sum_{\text{species}} \int \mathcal{V} \int \mathcal{W} \frac{\partial f}{\partial t} \psi_e \mathcal{W} \int \mathcal{V} \int \mathcal{W} \sum_{\text{species}} = \frac{\partial}{\partial t} \int \mathcal{V} \int \mathcal{W} H_0 \mathcal{W} \int \mathcal{V} \int \mathcal{W} \sum_{\text{species}}$$

- the energy theorem for zonal flows follows

- define the zonal average $\langle \phi \rangle$ according to coordinate system
- field aligned, unit Jacobian Hamada coordinates x, y, s : $\langle \phi \rangle = \int dy \int ds \phi$

$$\int dx \int \mathcal{W} \langle \psi \rangle \frac{\partial}{\partial t} \langle f \rangle = \text{“Reynolds stress”} - \text{“geodesic transfer”}$$

- gyrokinetic codes should be using relations like these as diagnostics!

The Delta-F Model

- using usual local approx, take $\delta f / F_M \sim \delta \ll 1$
 - linearise the trapping term
 - divergence free advection, divergences kept in coupling terms

$$\frac{\partial f}{\partial t} + \mathbf{v}_d \cdot \nabla f + \frac{e}{m} E_{\parallel} \frac{\partial f}{\partial v_{\parallel}} = 0$$

- drift velocity: $E \times B$, parallel, curvature/grad-B

- 1st order gyroaveraging

$$\widehat{f} = \sum_{\mathbf{k}_{\perp}} J_0(k_{\perp} v_{\perp} / \Omega) f_{\mathbf{k}_{\perp} \cdot \mathbf{x}} e^{i \mathbf{k}_{\perp} \cdot \mathbf{x}} \quad E_{\parallel} = - \left(\frac{1}{c} \frac{\partial \widehat{A}_{\parallel}}{\partial t} + \mathbf{b} \cdot \nabla \widehat{\phi} \right)$$

- 2nd order \rightarrow gyroscreeching \rightarrow field energy term

$$N_E = \int d\nu \sum_{\text{species}} \left[\frac{e^2 J}{2} (1 - \Gamma_0) \frac{\phi^2}{2} \right]$$

where

$$\Gamma_0 = \int d\mathcal{W} J_0^2 F_M \quad F_M = \text{Maxwellian}(n, T)$$

The Delta-F Equation

- split off nonlinear terms into a bracket form (with gyroaveraged potentials)

$$\mathbf{v}_E \cdot \nabla f = \frac{B}{c} \mathbf{b} \times \nabla \phi \rightarrow \langle [\hat{\phi}, f] \rangle \quad \mathbf{b} \cdot \nabla f = \frac{\partial f}{\partial s} - \frac{1}{\widehat{A}_{\parallel}} [\widehat{A}_{\parallel}, f]$$

- generalised nonlinear potential — in general, nonadiabatic potentials

$$\psi = \widehat{\phi} - \frac{c}{v_{\parallel}} \widehat{A}_{\parallel} \quad g = f + e \frac{c}{v_{\parallel}} \widehat{A}_{\parallel} \frac{\mathcal{J}}{F_M} \quad h = f + e \widehat{\phi} \frac{\mathcal{J}}{F_M}$$

- divergences kept in curvature terms acting on $\widehat{\phi}$

$$\mathcal{K}(f) = - \frac{e}{mv_{\parallel}^2 + \mu B_0} [\log B^2, f] \rightarrow \mathcal{K}(h)$$

- entire equation works with nonadiabatic potentials

Gyrokinetic Eq:

$$\frac{\partial g}{\partial t} + [\psi, h] + v_{\parallel} \frac{\partial h}{\partial s} = \mathcal{K}(h)$$

- it remains to show this equation plus its field equations have an exact energy theorem

Delta-F Polarisation

- field energy works the same way as in full-f model, with linearised, second order field forms

$$n_E = \int d\mathcal{V} \sum_{\text{species}} \left[\frac{e^2}{T} (1 - \Gamma_0) \frac{\phi^2}{2} \right] \quad n_M = \int d\mathcal{V} \frac{1}{8\pi} |\Delta_{\perp} A_{\parallel}|^2$$

- consider first order gyroaveraged Hamiltonian, find field potential Euler-Lagrange equations

$$\sum_{\text{species}} \left[\frac{e^2}{T} (1 - \Gamma_0) \right] \phi = \sum_{\text{species}} \int d\mathcal{W} e \hat{f} \quad \Delta_{\perp}^2 A_{\parallel} = - \sum_{\text{species}} \frac{e}{4\pi} \int d\mathcal{W} e v_{\parallel} \hat{f}$$

- in the Ampere's law, use \hat{g} , and in ExB polarisation note symmetry, replace \hat{f} with \hat{g}

Field Eqs:

$$\sum_{\text{species}} \int d\mathcal{W} e \hat{g} = \sigma_{\perp}^E \phi = \sum_{\text{species}} \int d\mathcal{W} e \hat{g} \quad \sigma_{\perp}^A A_{\parallel} = \frac{e}{4\pi} \sum_{\text{species}} \int d\mathcal{W} e v_{\parallel} \hat{g}$$

with screening functions (used in \mathbf{k}_{\perp} -space)

$$\sigma_{\perp}^E = \sum_{\text{species}} \int d\mathcal{W} e^2 (1 - J_2^0) \frac{J}{F_M} \quad \sigma_{\perp}^A = k_{\perp}^2 + \sum_{\text{species}} \int d\mathcal{W} \frac{c}{4\pi e^2} (v_{\parallel}^2 J_2^0) \frac{J}{F_M}$$

Delta-F Energy

- “free energy” most closely related to entropy

- use field energies, add model for delta-f entropy

$$n_E = \int d\nu \sum_{\text{species}} \left[\frac{T}{e^2} (1 - \Gamma_0) \frac{\phi^2}{2} \right] \int d\nu \frac{8\pi}{1} |\Delta^\perp A|^2 = n_M \quad n_E = \int d\nu \frac{T}{f_2} \frac{F_M}{2} = n_F$$

where $d\nu = \sum_{\text{species}} d\nu d\nu$

- use polarisation to re-form field pieces

$$n_E = \int d\nu e^{\frac{1}{2}} \phi f \quad n_M = \int d\nu e^{\frac{1}{2}} \frac{c}{\|A\|} f$$

- use symmetry to freely add ϕ $\|A\|$ F_M piece

$$n = n_E + n_M + n_F = n \quad \int d\nu \frac{1}{T} \frac{F_M}{2} h g$$

recall

$$g = f + e \frac{c}{\|A\|} \frac{T}{F_M} \quad h = f + e \frac{T}{F_M} \phi$$

Delta-F Energy Conservation

- similar tricks used to get field energy time derivatives, e.g.,

$$\frac{\partial \mathcal{U}_E}{\partial t} = \int dV \phi \sum_{\text{species}} \left[\frac{e^2 T}{2} (1 - \Gamma_0) \right] = \int dV e \hat{\phi} \frac{\partial f}{\partial t} = \int dV e \hat{\phi} \frac{\partial g}{\partial t}$$

- ExB, magnetic, and thermal free energy pieces

$$\frac{\partial \mathcal{U}_E}{\partial t} = \int dV e \hat{\phi} \frac{\partial g}{\partial t} \quad \frac{\partial \mathcal{U}_M}{\partial t} = \int dV f e \frac{c}{v_{\parallel}} \frac{\partial \hat{A}_{\parallel}}{\partial t} \quad \frac{\partial \mathcal{U}_F}{\partial t} = \int dV \frac{F_M}{T} f \frac{\partial f}{\partial t}$$

- use these individually to get transfer effects (and contributions per species to them)

- add them up to find total free energy conservation

Energy Theorem:

$$\frac{\partial \mathcal{U}}{\partial t} = \int dV \frac{F_M}{T} h \frac{\partial g}{\partial t} = 0$$

since each term in the gyrokinetic equation has the form of a bracket, e.g.,

$$0 = \int dV \frac{F_M}{T} \psi [\psi, h] = \int dV \frac{F_M}{T} \left[\frac{z}{2} \psi, \phi \right]$$

Procedure in FFIC code

- model is same as F Jenko's GENE code but scheme is different
- known quantities (last 3 time steps): f and ϕ and A_{\parallel} hence also g and $\widehat{\phi}$ and \widehat{A}_{\parallel}
- find h and use gyrokinetic equation to update g

$$\frac{\partial g}{\partial t} + [\psi, h] + v_{\parallel} \frac{\partial h}{\partial s} = \mathcal{K}(h)$$

- sum up charge density and current moments, find field potentials in \mathbf{k}_{\perp} -space

$$\sigma_E^2 \phi = \sum_{\text{species}} \int d\mathcal{W} e g \quad \sigma_A^2 A_{\parallel} = \frac{e}{4\pi} \sum_{\text{species}} \int d\mathcal{W} e v_{\parallel} \widehat{g}$$

with screening functions (used in \mathbf{k}_{\perp} -space)

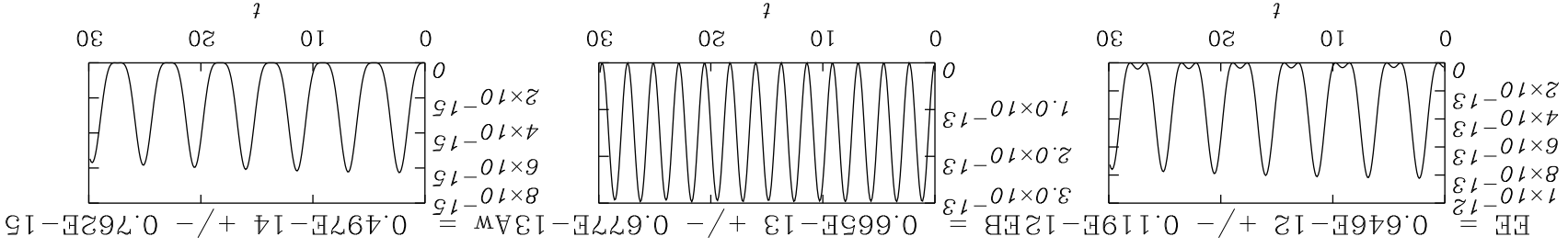
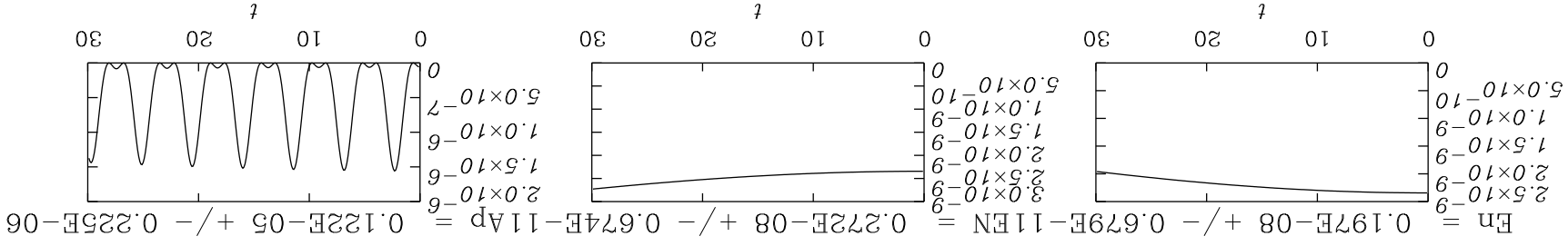
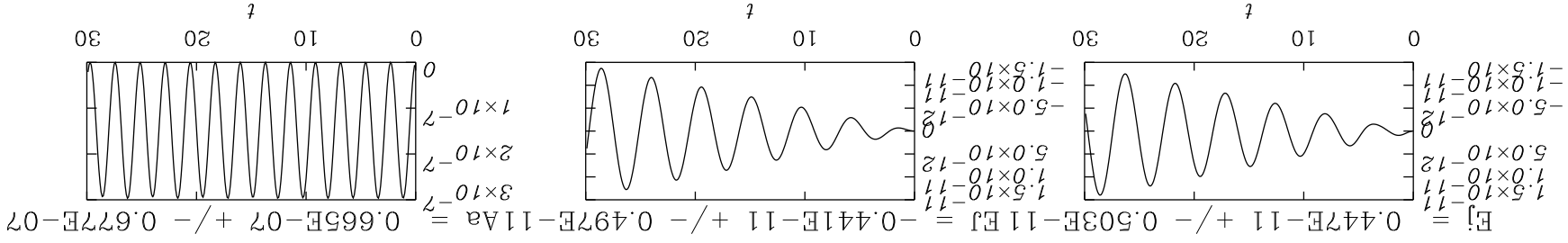
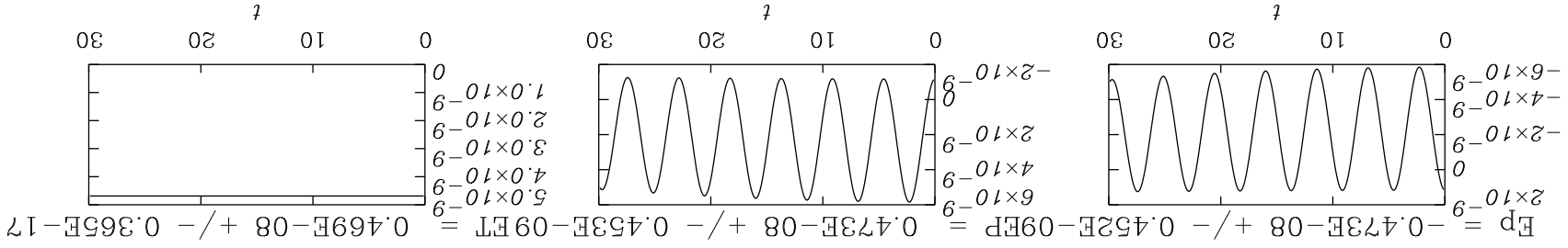
$$\sigma_E^2 = \sum_{\text{species}} \int d\mathcal{W} e^2 (1 - J_2^0) \frac{J}{F_M} \quad \sigma_A^2 = k_{\perp}^2 + \sum_{\text{species}} \int d\mathcal{W} \frac{4\pi e^2}{F_M} (v_{\parallel}^0 J_2^0) \frac{J}{F_M}$$

- all terms involving h are bracket forms \rightarrow Arakawa spatial scheme

- central dynamics are waves and advection \rightarrow Karniadakis time step scheme

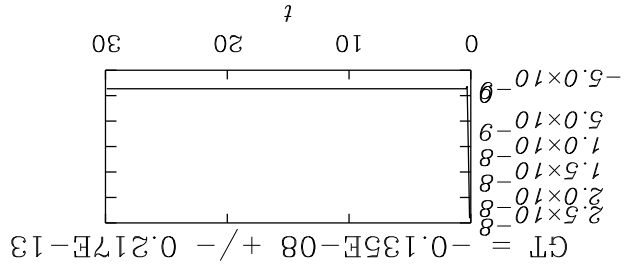
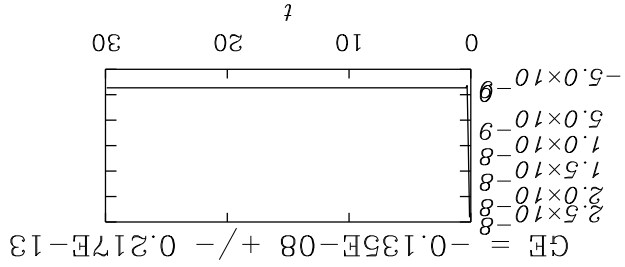
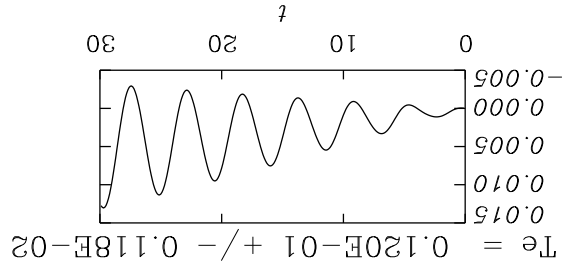
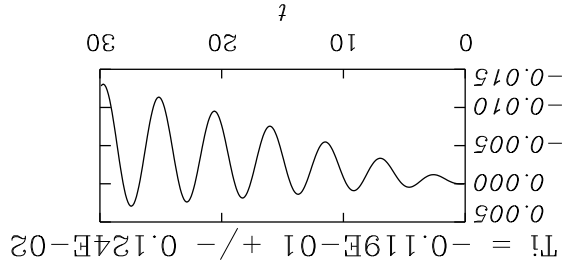
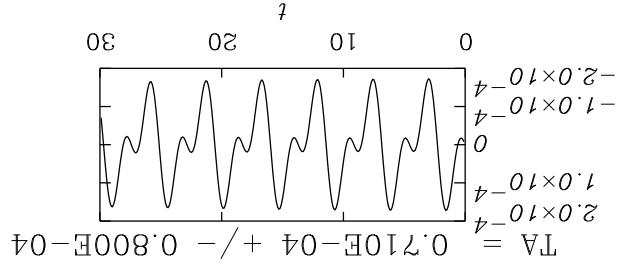
time traces

FE 3 Alfvén transient, $K = 0.01$, $\beta = 0.001$, $\mu = \text{me}/\text{MD}$, $qR/L = 100$



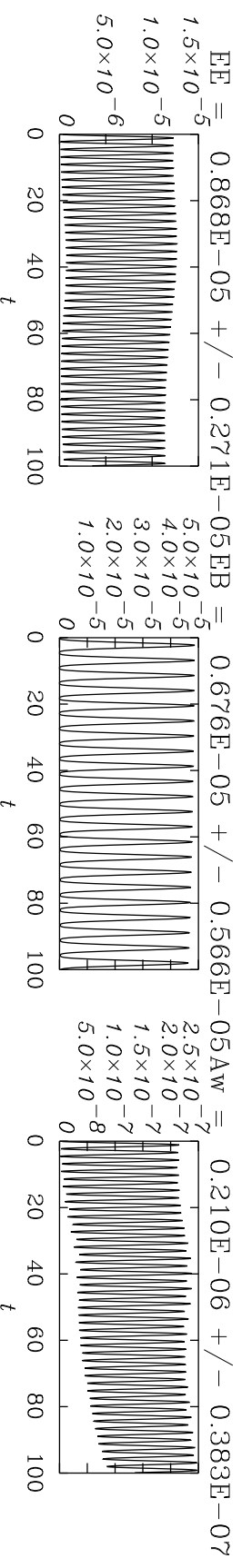
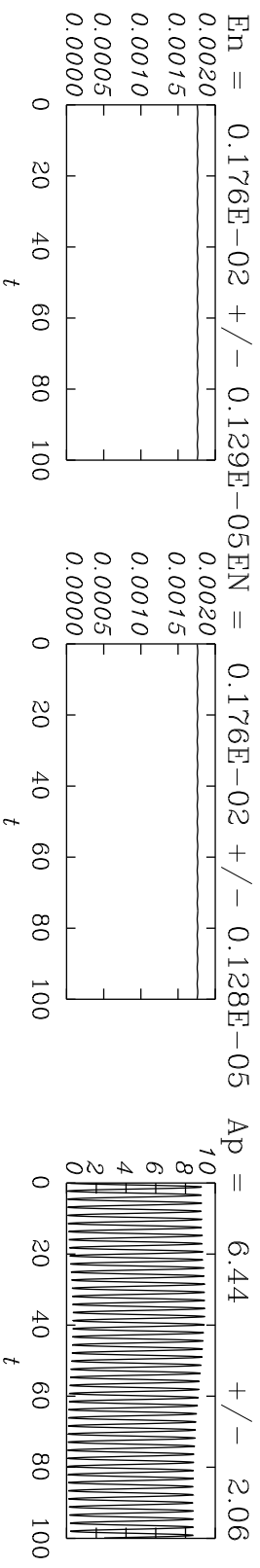
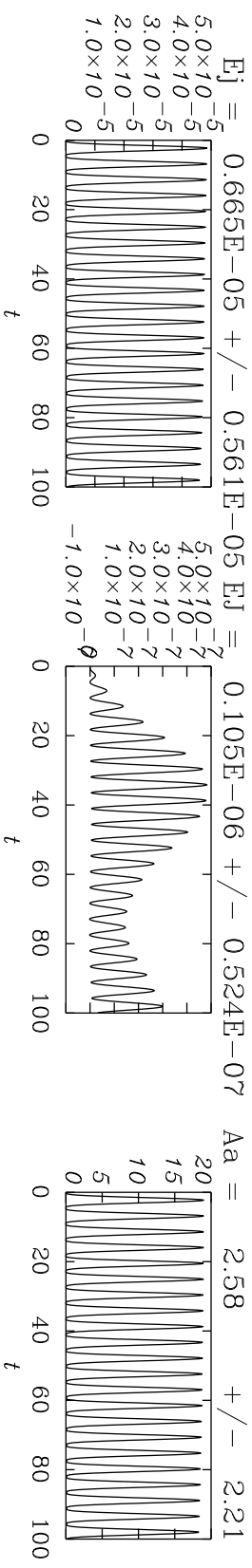
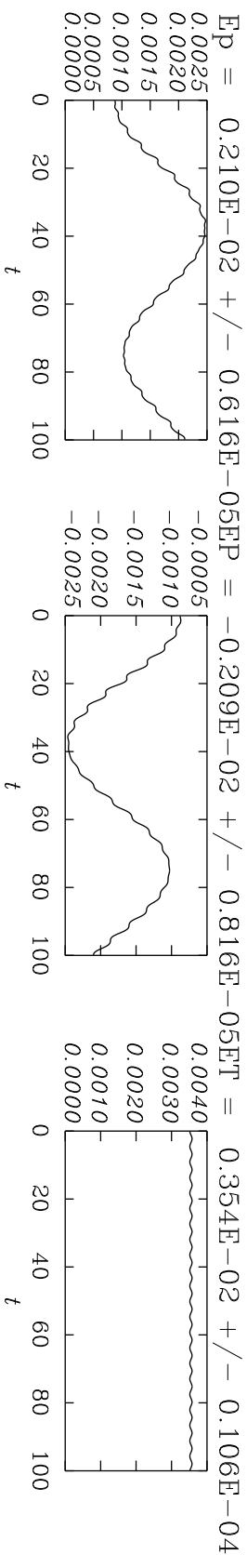
energetics

FE 3 Alfvén transient, $K = 0.01$, $\beta = 0.0001$, $\mu = \text{me}/\text{MD}$, $qR/L = 100$



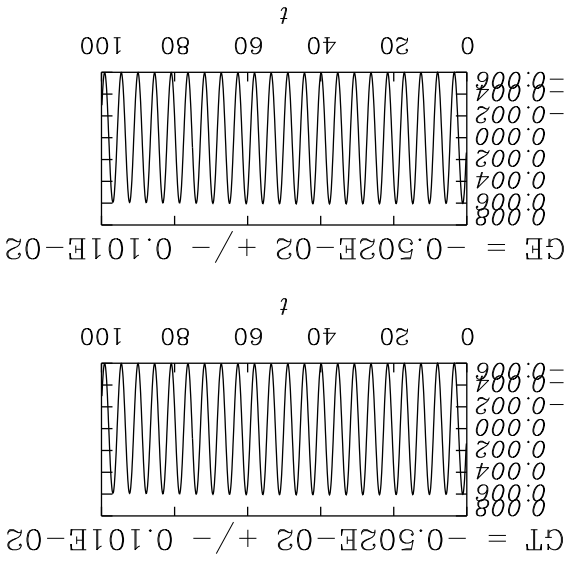
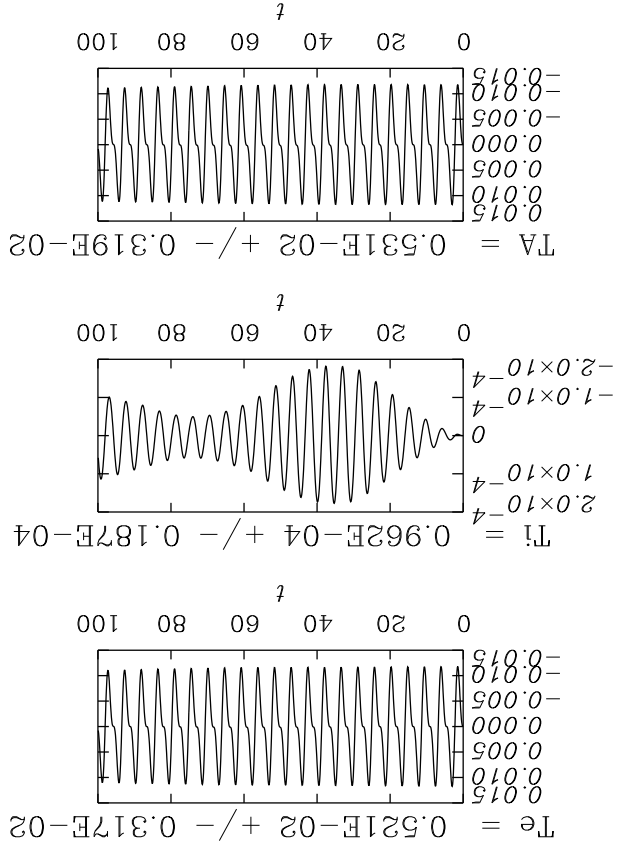
time traces

FE 4 Pfirsch-Schlüter transient, $d = 0.01$, $\beta = 0.0001$, $\mu = me/MD$, $qR/L = 100$



energetics

FE 4 Pfirsich-Schlüter transient, $d = 0.01$, $\beta = 0.0001$, $\mu = m_e/MD$, $qR/L = 100$



zonal profiles

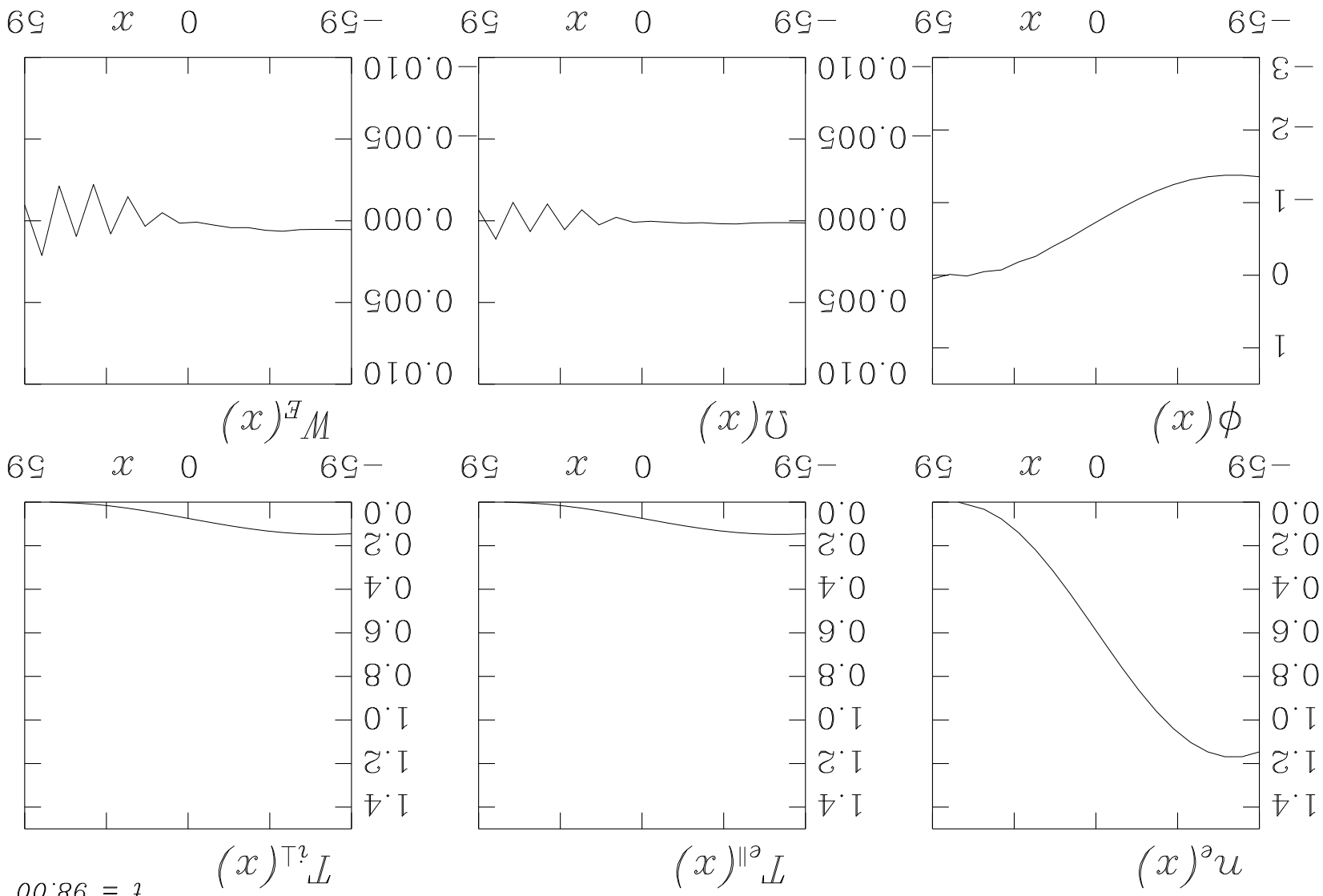
FE 4 Pfirsich-Schlüter transient,

$d = 0.01$, $\beta = 0.0001$,

$\mu = m_e/MD$,

$qR/L = 100$

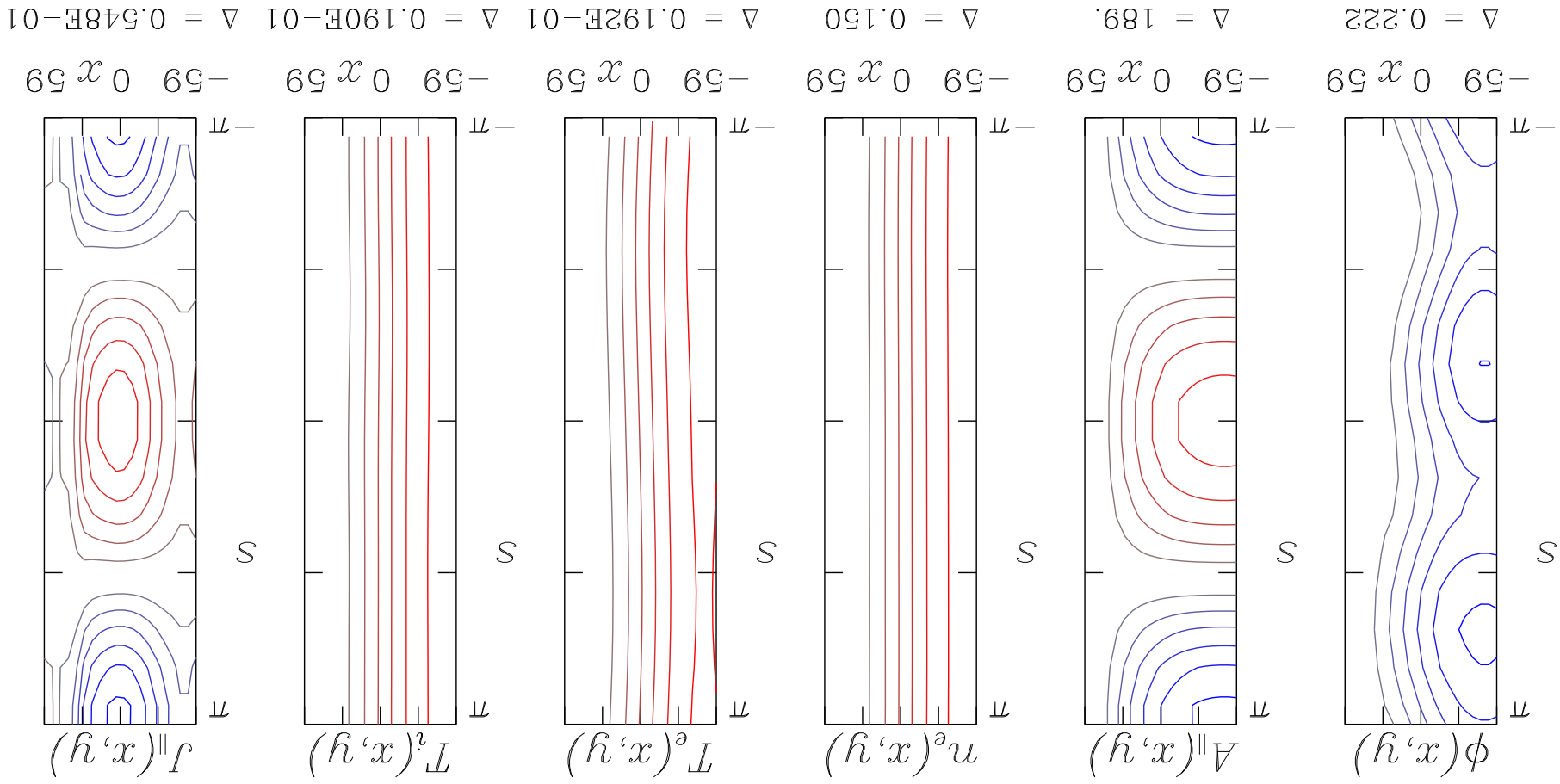
$t = 98.00$



poloidal plane morphology

FE 4 Pfirsich-Schlüter transient, $d = 0.01$, $\beta = 0.001$, $\mu = me/MD$, $qR/L = 100$

$t = 98.00$



Main Points

- **Gyrokinetic Equation**
 - Hamiltonian structure follows Lagrangian formulation
 - polarisation equation follows from field variation
- **Energy conservation**
 - split between particle and field Hamiltonian
 - polarisation equation \rightarrow ExB energy
 - flows (zonal): field energy (zonal)
- **Delta-F Model**
 - delta-f approximations
 - free energy (not energy) conservation
 - inhomogeneity through v-dependence, but F_M is spatially constant
- **Delta-F Code FEFC**
 - Alfvén energy conservation performs well
 - geodesic (2D) equilibrium recovered up to curvature + boundaries
 - trapping can be included up to minor modifications
 - expect to recover self consistent pedestal dynamics