Activated Escape of Periodically Modulated Systems

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The rate of noise-induced escape from a metastable state of a periodically modulated overdamped system is found for an arbitrary modulation amplitude A. The instantaneous escape rate displays peaks that vary with the modulation from Gaussian to strongly asymmetric. The prefactor ν in the period-averaged escape rate depends on A nonmonotonically. Near the bifurcation amplitude A_c it scales as $\nu \propto (A_c - A)^{\zeta}$. We identify three scaling regimes, with $\zeta = 1/4, -1, \text{ and } 1/2$.

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Thermally activated escape from a metastable state is often investigated in systems driven by time-dependent fields. Recent examples are activated transitions in modulated nanomagnets [1-3] and Josephson junctions [4-6]. Modulation changes the activation barrier. This enables efficient control of the escape rate and accurate measurement of the system parameters [7]. Most frequently used types of modulation are slow ramping of a control parameter, when the system remains quasistationary, and periodic modulation. In the latter case the system is away from thermal equilibrium, which complicates the theoretical formulation of the escape problem [8].

In the present Letter we extend to periodically modulated systems the analysis of the escape rate done by Kramers for systems in thermal equilibrium [9]. Our approach gives the full time-dependent escape rate W(t) as well as the period-averaged rate $\overline{W} = \nu \exp(-R/D)$, where *R* is the activation energy of escape and *D* is the noise intensity, $D = k_B T$ for thermal noise.

For comparatively small modulation amplitude *A* escape of an overdamped Brownian particle was studied in Ref. [10]. The range of intermediate *A* and intermediate modulation frequencies ω_F was analyzed in Refs. [11,12]. Here we find W(t) for an arbitrary *A* and an arbitrary interrelation between ω_F and the relaxation time of the system t_r . We show that the prefactor ν depends on *A* strongly and nonmonotonically. It displays scaling behavior near the bifurcational modulation amplitude A_c for which the metastable state disappears.

In the spirit of Kramers's approach, we relate the instantaneous escape rate W(t) to the current well behind the boundary $q_b(t)$ of the basin of attraction to the initially occupied metastable state (q is the system coordinate). This is the current usually studied in experiments. Because of the oscillations of $q_b(t)$, it has a different functional form from the current at $q_b(t)$ calculated in Refs. [11,12]. We find W(t) by matching the probability distribution $\rho(q, t)$ near $q_b(t)$ and inside the basin of attraction. This can be done without a complete calculation of $\rho(q, t)$ near $q_b(t)$, using singular features of the dynamics of large fluctuations. For a periodically modulated overdamped Brownian particle, the distribution $\rho(q, t)$ is given by the Fokker-Planck equation (FPE)

$$\partial_t \rho = -\partial_q [K(q, t)\rho] + D\partial_q^2 \rho. \tag{1}$$

Here, K(q, t) is the periodic force driving the particle, $K(q, t) = K(q, t + \tau_F) \equiv -\partial_q U(q, t)$, where $\tau_F = 2\pi/\omega_F$ is the modulation period and U(q, t) is the metastable potential. The equation of motion of the particle in the absence of noise is $\dot{q} = K(q, t)$. The metastable state $q_a(t)$, from the vicinity of which the system escapes due to noise, and the basin boundary $q_b(t)$ are the stable and unstable periodic solutions of this equation, respectively.

We assume that the noise intensity *D* is small. Then in a broad time range $t_r \ll t \ll 1/\overline{W}$ the distribution $\rho(q, t)$ is nearly periodic in the basin of attraction to $q_a(t)$. The current away from this basin, and thus the escape rate W(t), are also periodic.

The distribution ρ is maximal at $q_a(t)$ and falls off exponentially away from it. In the presence of periodic driving it acquires singular features as $D \rightarrow 0$ [13]. The singularities accumulate near $q_b(t)$. In order to find W(t)one has to understand how they are smeared by diffusion.

In the absence of noise the motion of the system close to the periodic states $q_i(t)$ (i = a, b) is described by the equation $\dot{q} = K$ with K linearized in $q - q_i(t)$. The evolution of $q(t) - q_i(t)$ is given by the factors

$$\kappa_i(t, t') = \exp\left[\int_{t'}^t d\tau \mu_i(\tau)\right] \qquad (i = a, b), \qquad (2)$$

where $\mu_i(t) = \mu_i(t + \tau_F) \equiv [\partial_q K(q, t)]_{q_i(t)}$. Over the period τ_F the distance $q(t) - q_i(t)$ decreases (for i = a) or increases (for i = b) by the Floquet multiplier $M_i = \kappa_i(t + \tau_F, t) \equiv \exp(\bar{\mu}_i \tau_F)$, where $\bar{\mu}_i$ is the period-average value of $\mu_i(t)$, with $\bar{\mu}_a < 0$, $\bar{\mu}_b > 0$.

For weak noise the expansions of *K* can be used to find $\rho(q, t)$ near $q_{a,b}(t)$. Near the metastable state q_a , the distribution is Gaussian [14], $\rho(q, t) \propto \exp\{-[q - q_a(t)]^2/2D\sigma_a^2(t)\}$. The reduced time-periodic variance is given by the equation

$$\sigma_i^2(t) = 2|M_i^{-2} - 1|^{-1} \int_0^{\tau_F} dt_1 \kappa_i^{-2}(t+t_1, t)$$
 (3)

with i = a (in the absence of modulation $\sigma_a^2 = 1/|\mu_a|$).

The general form of the periodic distribution near the unstable state $q_b(t)$ (the boundary-layer distribution) can be found from Eq. (1) using the Laplace transform, similar to the weak-driving limit [10]. With K linear in $q - q_b$, the equation for the Laplace transform of $\rho(q, t)$ is of the first order, giving

$$\rho(q, t) = \int_0^\infty dp e^{-pQ/D} \tilde{\rho}(p, t), \qquad Q = q - q_b(t),$$

$$\tilde{\rho}(p, t) = \mathcal{E}D^{-1/2} \exp\{-[s(\phi) + p^2 \sigma_b^2(t)/2]/D\}.$$
(4)

In Eq. (4), \mathcal{E} is a constant, $s(\phi)$ is an arbitrary zero-mean periodic function, $s(\phi + 2\pi) = s(\phi)$, and $\phi \equiv \phi(p, t)$,

$$\phi(p,t) = \Omega_F \ln[p\kappa_b(t,t')/\bar{\mu}_b l_D].$$
(5)

Here, $\Omega_F = \omega_F/\bar{\mu}_b \equiv 2\pi/\ln M_b$ is the reduced field frequency, $l_D = (2D/\bar{\mu}_b)^{1/2}$ is the typical diffusion length, and t' determines the initial value of ϕ ; from Eq. (5), $\phi(p, t + \tau_F) = \phi(p, t) + 2\pi$. In Eq. (4) we assumed that the basin of attraction to q_a lies for $q < q_b(t)$, and $|Q| \ll \Delta q \equiv \min_t [q_b(t) - q_a(t)]$.

The form (4) is advantageous as it immediately gives the current j(q, t) from the occupied region $(-\infty, q]$. Well behind the basin boundary, where $Q = q - q_b(t) \gg l_D$, diffusion can be disregarded; the current becomes convective and gives the instantaneous escape rate, $j(q, t) \approx \mu_b(t)\rho(q, t)Q$ at a given Q. Disregarding the term $\propto p^2/D$ in $\tilde{\rho}$ for $Q \gg l_D$, we obtain from Eq. (4)

$$j(q,t) = \mu_b(t) \mathcal{E} D^{1/2} \int_0^\infty dx e^{-x} \exp[-s(\phi_d)/D].$$
 (6)

Here, $\phi_d = \Omega_F \ln[x\kappa_b(t_d, t')]$, and $t_d \equiv t_d(Q, t)$ is given by the equation $\kappa_b(t_d, t) = l_D/2Q$. In the whole harmonic range *j* depends on the observation point *Q* only in terms of the delay time t_d , which shows how long it took the system to roll down to the point *Q*, $\partial t_d/\partial Q = -1/\mu_b(t_d)Q$. We note that $\mu_b(t)$ can be negative for a part of the period, leading to reversals of the instantaneous current.

The escape rate \overline{W} is given by the period-averaged j(q, t)and is independent of q. From Eq. (6)

$$\overline{W} = \frac{\overline{\mu}_b}{2\pi} \mathcal{E} D^{1/2} \int_0^{2\pi} d\phi \exp[-s(\phi)/D].$$
(7)

Equations (6) and (7) provide a complete solution of the Kramers problem of escape of a modulated system and reduce it to finding the function *s*. They are similar in form to the expressions for the instantaneous and average escape rates for comparatively weak modulation, $|s| \ll R$, where *s* was obtained explicitly [10].

Unless the modulation is very weak or has a high frequency, for small noise intensity max $s \sim |\min s| \gg D$. In this case the major contribution to the integrals in Eqs. (6) and (7) comes from the range where *s* is close to its minimum $s_{\rm m}$ reached for some $\phi = \phi_{\rm m}$. Then the escape rate j(q, t) sharply peaks as a function of time once per period when $\phi_d(t) = \phi_{\rm m}$. This means that escape events are *strongly synchronized*. As we show, both j(q, t) and \overline{W} are determined just by the curvature of $s(\phi)$ near $\phi_{\rm m}$.

To find j(q, t) we match Eq. (4) to the distribution $\rho(q, t)$ close to $q_b(t)$ but well inside the attraction basin, $-Q \gg l_D$. For small *D* this distribution can be found, for example, by solving the FPE (1) in the eikonal approximation, $\rho(q, t) = \exp[-S(q, t)/D]$. To zeroth order in *D*, the equation for $S = S_0$ has the form of the Hamilton-Jacobi equation $\partial_t S_0 = -H$ for an auxiliary nondissipative system with Hamiltonian [15]

$$H(q, p; t) = p^2 + pK(q, t), \qquad p = \partial_q S_0.$$
 (8)

The Hamiltonian trajectories of interest q(t), p(t) start in the vicinity of the metastable state. The initial conditions follow from the Gaussian form of $\rho(q, t)$ near $q_a(t)$, with $S_0 = [q - q_a(t)]^2 / 2\sigma_a^2(t)$.

To logarithmic accuracy, the escape rate is determined by the probability to reach the basin boundary $q_b(t)$, i.e., by the action $S_0(q_b(t), t)$ [8]. The Hamiltonian trajectory $q_{opt}(t)$, $p_{opt}(t)$, which minimizes $S_0(q_b(t), t)$, approaches $q_b(t)$ asymptotically as $t \to \infty$. It is periodically repeated in time with period τ_F ; $q_{opt}(t)$ is the most probable escape path (MPEP) of the original system.

Close to $q_b(t)$, the Hamiltonian equations for q(t), p(t) can be linearized and solved. On the MPEP

$$p_{\text{opt}}(t) = -Q_{\text{opt}}(t)/\sigma_b^2(t) = \kappa_b^{-1}(t, t')p_{\text{opt}}(t'),$$

$$S_0(q_{\text{opt}}(t), t) = R - Q_{\text{opt}}^2(t)/2\sigma_b^2(t),$$
(9)

where $Q_{opt}(t) = q_{opt}(t) - q_b(t)$. The quantity $R = S_0(q_{opt}(t), t)_{t\to\infty}$ is the activation energy of escape.

The surface $S_0(q, t)$ is flat for small $Q - Q_{opt}$ due to nonintegrability of the dynamics with Hamiltonian (8) [13]. It touches the surface $S_b(q, t) = R - Q^2/2\sigma_b^2(t)$ on the MPEP, $Q = Q_{opt}(t)$. Away from the MPEP $S_0(q, t) >$ $S_b(q, t)$, and therefore the function $\rho_b(q, t) = \rho(q, t) \times$ $\exp[S_b(q, t)/D]$ is maximal on the MPEP.

We match on the MPEP ρ_b found in the eikonal approximation to the maximum of ρ_b found from Eq. (4) near the basin boundary. For $|s_m| \gg D$ and $-Q \gg l_D$, the integral over p in Eq. (4) can be evaluated by the steepest descent method. The integrand is maximal if $p = -Q/\sigma_b^2(t)$ and s is minimal for this p; i.e., $\phi(p, t) = \phi_m$ and $s = s_m$. These conditions can be met on the whole MPEP at once, because $\phi(p_{opt}(t), t) = \text{const.}$ Then from Eq. (4)

$$\rho(q, t) = \mathcal{E}_b(t) \exp[-S_b(q, t)/D],$$

$$\mathcal{E}_b(t) = \tilde{\mathcal{E}} D^{-1/2} [\sigma_b^2(t) + \Omega_F^2 s_m'' p_{\text{opt}}^{-2}(t)]^{-1/2},$$
(10)

where $\tilde{\mathcal{E}} = \mathcal{E}(2\pi D)^{1/2} \exp[(R - s_{\rm m})/D]$, and $s_{\rm m}'' \equiv [d^2s/d\phi^2]_{\phi_{\rm m}}$. From Eqs. (9) and (10), not only the exponents, but also their slopes coincide along the MPEP for the boundary-layer and eikonal-approximation distributions.

The function $\mathcal{E}_b(t)$ should match on the MPEP the prefactor of the eikonal-approximation distribution $\rho = \exp(-S/D)$, which is given by the term $S_1 \propto D$ in S. On the MPEP, $z = \exp(2S_1/D)$ obeys the equation [16]

$$\frac{d^2z}{dt^2} - \frac{2d(z\partial_q K)}{dt} + \frac{2zp\partial_q^2 K}{dt} = 0, \quad (11)$$

where $q = q_{opt}(t)$, $p = p_{opt}(t)$. The initial condition to this equation follows from $\rho(q, t) = z^{-1/2} \exp(-S_0/D)$ being Gaussian near $q_a(t)$, which gives $z(t) \rightarrow 2\pi D\sigma_a^2(t)$ for $t \rightarrow -\infty$. Close to $q_b(t)$, from Eq. (11) $z(t) = D[z_1\sigma_b^2(t) + z_2p_{opt}^{-2}(t)]$, where $z_{1,2}$ are constants [11]; the term $\propto z_1$ was disregarded in the analysis [11]. Remarkably, $z^{-1/2}(t)$ is of the same functional form near $q_b(t)$ as $\mathcal{E}_b(t)$. Thus the prefactors in $\rho(q, t)$ as given by the eikonal and the boundary-layer approximations also match each other.

Explicit expressions for the escape rate in the regime of strong synchronization can be obtained for comparatively weak or slow modulation, where $s''_m \sim |s_m| \gg D$ but

$$\Omega_F^2 s_{\rm m}'' \ll R. \tag{12}$$

The results for $D \ll |s_m| \ll R$ should coincide with the results of Ref. [10], which were obtained in a different way. We have verified this by finding s''_m from Eq. (11) by perturbation theory in the modulation amplitude *A*.

Condition (12) can be met for large A, where $s''_{\rm m} \sim R$, provided the modulation frequency is small, $\omega_F t_{\rm r} \sim \Omega_F \ll 1$ (adiabatic modulation). Here, the MPEP is given by the equation $\dot{q}_{\rm opt} = -K(q_{\rm opt}, t_{\rm m})$, with $t_{\rm m}$ found from the condition of the minimum of the adiabatic barrier height $\Delta U(t) = U(q_b(t), t) - U(q_a(t), t)$. The activation energy $R = \Delta U_{\rm m} \equiv \Delta U(t_{\rm m})$.

The value of $s''_{\rm m}$ can be obtained from z(t) or by matching the adiabatic intrawell distribution $\propto \exp[-U(q, t)/D]$ and the boundary-layer distribution (4) in the region $|Q| \gg l_D$ and $\Omega_F^2 s''_{\rm m} \ll \mu_b(t_{\rm m})Q^2$ for $|t - t_{\rm m}| \ll \tau_F$. Both approaches give $\Omega_F^2 \mu_b^2 s''_{\rm m} = \Delta \ddot{U}_{\rm m}$, where μ_b and $\Delta \ddot{U}_{\rm m} \equiv \partial_t^2 \Delta U$ are calculated for $t = t_{\rm m}$.

The form of j(q, t) depends on the parameter $\Omega_F^2 s_m''/D$. When it is small, the term $\propto p_{opt}^{-2}$ in $\mathcal{E}_b(t)$ [Eq. (10)] and z(t) is also small away from the diffusion region around q_b . Then $z = 2\pi D\sigma_a^2(t_m)$. The pulses of j(q, t) are Gaussian,

$$j(q,t) = \frac{|\mu_a \mu_b|^{1/2}}{2\pi} e^{-R/D} \sum_k e^{-(t-t_k)^2 \Delta \ddot{U}_{\rm m}/2D}$$
(13)

 $[\mu_{a,b} \equiv \mu_{a,b}(t_m)]$. They are centered at $t_k = t_m + k\tau_F$, with $k = 0, \pm 1, ...$ [we disregard the delay $\sim \mu_b^{-1} \ln(Q/l_D)$ in t_k]. Equation (13) corresponds to the fully adiabatic picture, where the escape rate is given by the instantaneous barrier height $\Delta U(t)$. The current has a different form for $\Omega_F^2 s_m''/D \gg 1$. Because $p_{opt}^{-2}(t) \propto \kappa_b^2(t, t')$ exponentially increases in time near q_b , the term $\propto p_{opt}^{-2}$ in \mathcal{E}_b and z becomes dominating before the MPEP reaches the diffusion region $|Q| \sim l_D$. Then Eqs. (6) and (10) give

$$j(q, t) = \frac{\mu_b(t)\tilde{\mathcal{E}}D^{1/2}}{\Omega_F \sqrt{s_m''}} e^{-R/D} \sum_{k=-\infty}^{\infty} x_k e^{-x_k},$$

$$x_k = x_0 \exp(2\pi k/\Omega_F), \qquad x_0 = p_{\text{opt}}(t)Q/D.$$
(14)

Note that here $p_{opt}(t)$ can be smaller than $l_D/\sigma_b^2(t)$.

Equation (14) describes the escape rate in the whole region $\Omega_F^2 s_m'' \gg D$; it does not require the adiabatic approximation. Its form is totally different from that of the diffusion current $-D\partial_Q \rho$ on the basin boundary Q = 0 as given by Eqs. (4) and (10). The ratio $\tilde{\mathcal{E}}/\sqrt{s_m''} = \Omega_F z_2^{-1/2}$ can be obtained by solving Eq. (11).

For $\Omega_F \ll 1$ the current (14) is a series of distinct strongly asymmetric peaks, with $x_k \approx \exp[-(t - k\tau_F - t_m)\mu_b(t_m)]$ near the maximum. The transition between the pulse shapes (13) and (14) occurs for $\Omega_F^2 s_m''/D \sim 1$. It is described by Eq. (6) with $\mathcal{E} = (2\pi)^{-1}D^{-1/2}|\mu_a/\mu_b|^{1/2}\exp[-(R - s_m)/D]$. For $\Omega_F \ll 1$, the shape of current pulses in the whole range (12) is the same as for weak modulation [17], but the parameters depend on A, ω_F differently. With increasing Ω_F the peaks of j (14) are smeared out and the escape synchronization is weakened. For $\Omega_F \gg 1$ it disappears.

The escape current (14) is completely different from the current on the basin boundary [11]. The regime $\Omega_F^2 s_m''/D \ll 1$, where the current has the form (13), cannot be studied in the approximation [11] at all.

In the range $s''_m \sim |s_m| \gg D$, the period-averaged escape rate (7) is

$$\overline{W} = \nu \exp(-R/D), \qquad \nu = \bar{\mu}_b \tilde{\mathcal{E}} D^{1/2} / 2\pi \sqrt{s_m''}. \quad (15)$$

The prefactor ν can be expressed in terms of z_2 , giving the result [11] even where the theory [11] does not apply.

The asymptotic technique developed in this Letter allows obtaining the prefactor ν in several limiting cases. For comparatively weak modulation, $D \ll |s_m| \ll R$, Eqs. (11) and (15) give the same result as in Ref. [10]. Since the theory [10] covers the whole range $|s_m| \ll R$, a transition from the limit of no modulation to the case of arbitrarily strong modulation is now fully described.

In the whole range where the adiabatic approximation applies, $\Omega_F \ll 1$, we obtain

$$\nu = (2\pi)^{-3/2} |\mu_a \mu_b|^{1/2} D^{1/2} \omega_F (\Delta \ddot{U}_{\rm m})^{-1/2}, \qquad (16)$$

where $\mu_{a,b}$ are calculated for $t = t_{\rm m}$. Interestingly, ν (16) is independent of the modulation frequency.

Equation (16) is simplified for the modulation amplitude close to the bifurcational value A_c where the metastable and unstable states merge. For small $\delta A = A_c - A$ and

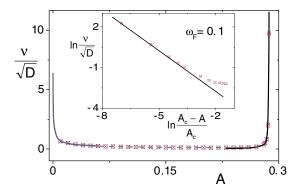


FIG. 1 (color online). The prefactor ν in the average escape rate \overline{W} (15). The results refer to a Brownian particle with $K(q, t) = q^2 - 1/4 + A \cos(\omega_F t)$, $\omega_F = 0.1$ and describe escape in the regime of strong synchronization, where $\nu \propto D^{1/2}$. The solid line for small A shows the scaling $\nu \propto A^{-1/2}$ [10]. The solid line for small $A_c - A$ ($A_c \simeq 0.29$) shows the scaling (17). The dashed line shows the result of the numerical solution of Eq. (11). The squares and crosses show the results of Monte Carlo simulations for R/D = 5 and R/D = 6, respectively.

 $\omega_F |t - t_{\rm m}|$ the adiabatic barrier is $\Delta U(t) \propto [\delta A + a_c \omega_F^2 (t - t_{\rm m})^2]^{3/2}$ (here $a_c \sim A_c$), and $|\mu_{a,b}| \propto (\delta A)^{1/2}$; cf. Refs. [18–23]. Then, from Eq. (16), the prefactor in the adiabatic limit scales as $\nu \propto (\delta A)^{1/4}$.

The slowing down of the system motion makes the adiabatic approximation inapplicable in the region $\delta A/A_c \leq \Omega_F$. In contrast to the adiabatic scaling $R \propto (\delta A)^{3/2}$, the activation energy scales here as $R \propto (\delta A)^2$ [22]. Using the results [22], we obtain from Eq. (11)

$$\nu = \nu_0 D^{1/2} (\delta A)^{-1} \omega_F^{5/4}, \tag{17}$$

where $\nu_0 = (64\pi^7 \omega_F)^{-1/4} |\partial_t^2 K \partial_q^2 K|^{1/8} / |\partial_A K|$. Here all derivatives are evaluated for q, t, and the amplitude $A = A_c^{ad} \approx A_c$ where the minimum and maximum over q of the potential U(q, t) merge (once per period).

From Eq. (17), the prefactor $\nu \propto (\delta A)^{-1}$ sharply increases as the modulation amplitude approaches A_c . This is qualitatively different from the decrease of ν in the adiabatic approximation. The scaling $\nu \propto (\delta A)^{-1}$ agrees with the numerical solution of Eqs. (11) and (15) for a model system shown in Fig. 1. The calculations in a broad range of A are also confirmed by Monte Carlo simulations.

For high frequencies, $\Omega_F \gg 1$, escape is not synchronized by the modulation. The prefactor in the escape rate is $\nu = |\bar{\mu}_a \bar{\mu}_b|^{1/2}/2\pi$; it is independent of the noise intensity *D*. Near the bifurcation point it scales as in stationary systems, where $\nu \propto (\delta A)^{1/2}$ and $R \propto (\delta A)^{3/2}$ [18,19]. Very close to the bifurcation point modulation is necessarily fast, because $|\bar{\mu}_{a,b}| \rightarrow 0$ for $A \rightarrow A_c$. Therefore the prefactor always goes to zero for $A \rightarrow A_c$. However, for small ω_F the corresponding region of δA is exponentially narrow [22]. In conclusion, we have obtained a general solution of the problem of noise-induced escape in periodically modulated overdamped systems. With increasing modulation frequency, the pulses of escape current change from Gaussian to strongly asymmetric; for large ω_F current modulation is smeared out. The prefactor ν in the period-averaged escape rate is a strongly nonmonotonic function of the modulation amplitude A for low frequencies. It first drops with increasing A to $\nu \propto (D/A)^{1/2}$ [10], then varies with A smoothly [11,12], and then sharply increases, $\nu \propto D^{1/2}/(A_c - A)$, near the bifurcation amplitude A_c . We found three scaling regimes near A_c , where $\nu \propto (A_c - A)^{\zeta}$ with $\zeta = 1/4$, -1, or 1/2. The widths of the corresponding scaling ranges strongly depend on the modulation frequency.

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