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OPEN Conservation of the pure adiabatic state in Ehrenfest dynamics of the photoisomerization of molecules

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We examined real-time-propagation time-dependent density functional theory (rtp-TDDFT) coupled with molecular dynamics (MD), which uses single-particle representation of time-evolving wavefunctions allowing exchange of orbital characteristics between occupied and empty states making the effective Kohn-Sham Hamiltonian dependent on the potential energy surfaces (PESs). This scheme is expected to lead to mean-field average of adiabatic potential energy surfaces (PESs), and is one of Ehrenfest (mean-field) approaches. However, we demonstrate that the mean-field average can be absent in simulating photoisomerization of azobenzene and ethylene molecules. A transition from the S2 to the S1 excited state without the mean-field average was observed after examining several rtp-TDDFT-MD trajectories of a photoexcited azobenzene molecule. The subsequent trans-cis isomerization was observed in our simulation, which is consistent with experimental observation and supported by previous calculations. The absence of the mean-field average of PESs was also observed for the transition between the S1 and S0 states, indicating that the MD simulation was on a single PES. Conversely, we found no transition to the ground state (S0 state) when we performed a MD simulation of an S1 excited ethylene molecule owing to the constraint on the occupation number of each molecular orbital. Thus, we conclude that, at least for azobenzene and ethylene molecules, the rtp-TDDFT-MD is an on-the-fly simulation that can automatically see the transition among the PESs of excited states without the mean-field average unless the simulation reaches the PES of the S0 state.

MD simulations in electronic excited states are useful for photoinduced dynamics. A major problem in excited-state dynamics in materials is the transition among adiabatic potential energy surfaces (PESs). Based on the many-body wavefunction theory of quantum chemistry, the surface hopping approach¹⁻³ using multiple MD trajectories allowed excited-state dynamics to be studied by expressing the time-dependent electron wavefunctions as a linear combination of adiabatic wavefunctions with time-dependent coefficients. Because the Hamiltonian is common to molecular orbitals (MOs) no matter which PES the set of MOs belongs to, the transition matrix element can be computed directly. However, this approach becomes practically difficult as the size of molecules increases. This is because of the increase in the Slater-determinant size, the number of PESs involved in the transition, and the number of MD trajectories necessary for surface hopping operations, even when a single initial atomic configuration is used.

An alternative approach to the many-body wavefunction theory of quantum chemistry is density functional theory (DFT)^{4,5} using the single-particle representation for wavefunctions of electrons with a Hamiltonian depending on the charge density of electrons. Combining surface-hopping with DFT is valid within linear-response time-dependent DFT (LR-TDDFT) that only considers the charge density of the electron ground state⁶⁻⁹. When the charge density depends strongly on PESs, the Kohn-Sham Hamiltonian should deviate from that of the ground state, meantime, the LR-TDDFT can follow the change of the self-consistent potential within linear response to the change of the charge¹⁰.

On the other hand, an Ehrenfest approach¹¹ combined with real-time electron propagation by solving the time-dependent Schrödinger equation allows us to perform unbiased on-the-fly simulations of excited-state MD.

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Figure 1. Schematics of the $S_n \rightarrow S_{n-1}$ transition. (a) Single-particle transition from the MO of the S_n excited state to that of the S_{n-1} excited state. (b) Transition and PES of the S_n state to the PES of the S_{n-1} state, and (c) Mean-field average of the S_n and S_{n-1} states throughout the simulation.

The transition among PESs is approximated as a mean-field average of several PESs, as discussed in ref. 2. Because real-time propagation time-dependent density functional theory (rtp-TDDFT)^{12,13} coupled with MD is an Ehrenfest approach, the mean-field average of PESs is expected to arise. If so, the MD simulation is performed under the *mean* forces, and multiple MD trajectories are required.

Suppose we start from the singlet S_n excited state of a molecule and experience the transition toward a singlet S_{n-1} excited state. This transition is allowed without changing the set of occupation numbers of MOs by alternating the order of the energy levels of differently occupied MOs. Figure 1(a) shows this scenario with a schematic of a single-particle transition between two MOs. If the $S_n \rightarrow S_{n-1}$ transition occurs, rtp-TDDFT-MD should show the potential energy curve from the S_n to the S_{n-1} state (Fig. 1(b)). Otherwise, the rtp-TDDFT-MD shows the mean-field average of the S_n and S_{n-1} states by taking the intermediate value of the potential (Fig. 1(c)).

In this paper, we examined the rtp-TDDFT-MD approach to photoexcited molecular systems to determine which of the scenarios in Fig. 1(b,c) occurs. We chose practical, common examples. The first case is photoinduced S_2 excitation and transition to the S_1 state in azobenzene and subsequent *trans-cis* isomerization. The other case is an S_1 excited ethylene (C_2H_4) molecule for examining the S_1 to S_0 transition. For both cases, we did not see the mean-field average shown in Fig. 1(b). Azobenzene undergoes a smooth $S_2 \rightarrow S_1$ transition, whereas C_2H_4 shows no $S_1 \rightarrow S_0$ transition. Thus, we conclude that, at least for the current cases, the rtp-TDDFT-MD is an on-the-fly tool to model the PES transition automatically unless the simulation reaches the PES of the S_0 state. (Note that the current scheme did not show the decay into the ground state.).

Computational schemes

To examine the presence or absence of the mean-field average of PESs in the rtp-TDDFT-MD simulation, we used the local density approximation $(LDA)^{14}$ for the adiabatic exchange-correlation functional of DFT. The LDA was used because there are previous studies of azobenzene¹⁵ that show that PESs for the S₀, S₁, and S₂ states obtained with several types of DFT exchange-correlation functional, such as the BLYP^{16,17} and PBE functional¹⁸ of the generalized gradient approximation and LDA, are similar to each other, and to those obtained by the many-body wavefunction theory of quantum chemistry with a higher level of accuracy including the complete active space self-consistent field (CASSCF) method¹⁹. LDA also performed well for the photoinduced reaction of diazomethane, which is a precursor of carbene²⁰ and the S₁ excited-state MD of C₂H₄ presented in this work, which is consistent with ref. 21.

The calculation was performed by using plane-wave total energy formalisms²² and the norm-conserving pseudopotentials²³. The cutoff energy for the plane-wave basis set was set as 60 Ry. The rtp-TDDT-MD simulation was performed by using the code developed in ref. 24. The real-time propagation of the electron wavefunctions by solving the time-dependent Kohn-Sham equation,

$$i\hbar \frac{\partial \psi_{n}^{KS}(\mathbf{r},t)}{\partial t} = H^{KS}(\rho(\mathbf{r},t))\psi_{n}^{KS}(\mathbf{r},t), \qquad (1)$$

was computed by applying the Suzuki-Trotter split operator method^{25,26} with a time-step interval of 0.03 a.u. (1 a.u. = 2.42×10^{-2} fs). Here, $\psi_n^{KS}(\mathbf{r}, t)$ is the *n*-th time-dependent Kohn-Sham orbital and $H^{KS}(\mathbf{r}, t)$ is the Kohn-Sham Hamiltonian of TDDFT¹². $\rho(\mathbf{r}, t)$ is the electron charge density consisting of the norm of all occupied



Figure 2. Contour maps of norms of (a) HOMO-1 and (b) LUMO states of an azobenzene molecule. The contour line interval is set as $0.019 e/Å^3$, which is also a common minimum value of the contour lines in (**a**,**b**).

Kohn-Sham orbitals. To perform the MD simulations, forces were derived from the same formalism as the Hellmann-Feynman force for the plane wave scheme²². To prepare the excited state, we manually set occupation numbers of some MOs as half and performed the self-consistent calculation as in ref. 27 within the constraint DFT (Δ SCF) scheme. The validation of using the Δ SCF scheme has been discussed thoroughly and is summarized in ref. 28, and agreement with PES by TDDFT was reported for azobenzene in ref. 15. We employed a spin-unpolarized approximation, assuming that half-occupied MOs consist of 0.5 electrons with an up spin and 0.5 electrons with a down spin.

Results for azobenzene

Optical and orbital properties. First, we optimized the molecular structure of azobenzene in the electronic ground state. The cell size was $20 \times 14 \times 14$ Å³ with the longest lattice vector parallel to the long molecular axis of azobenzene. We assumed no symmetric restriction in determining the atomic coordinates and the electron charge density of azobenzene. Atomic coordinates include an error of ± 0.042 Å that was derived from the averaged deviation in equivalent atomic pairs of an azobenzene molecule after C_2 rotation around the center of the N = N bond. The optimized atomic coordinates are listed in Table S1 in the supplementary material. According to the optical matrix elements obtained by using the Kohn-Sham orbital from *static* LDA calculations, the magnitude of the oscillator strength for the S₂ excitation is stronger than the S₁ excitation. The corresponding excitation energies for the S₁ and S₂ excitations are 2.48 and 3.37 eV, respectively, obtained by a Fourier transformation of the dipole dynamics induced by a short pulse^{29,30} based on rtp-TDDFT. These quantities are comparable to experimental data³¹ with an error of ~0.3 eV for S₁ and ~0.7 eV for S₂.

The HOMO-1 and LUMO orbitals individually have N-N π and π^* characters, as shown by the contour maps of the norm of each MO in Fig. 2. These orbital characters obtained by LDA are consistent with theoretical natural orbital plots that were obtained by the CASSCF method³².

rtp-TDDFT-MD electron-ion dynamics. The rtp-TDDFT-MD simulations of azobenzene were performed with no symmetry constraints. At the beginning of the rtp-TDDFT-MD simulation, all ions had no initial velocities. We used four initial conditions, one of which was the optimized atomic geometry and others were obtained by sampling the atomic geometries of snapshots of a single trajectory of the ground-state MD simulation. The initial condition of the MD simulation was assumed with randomized ionic velocities with a corresponding temperature of 230 K. The four initial atomic coordinates are listed in Tables S1 to S4 in the supplementary materials with a potential energy variation of up to 0.5 eV per azobenzene molecule.

We compared the potential energy of the rtp-TDDFT-MD simulation

$$E_{\text{tot}}(t) = \sum_{n} f_{n} \left[\int \psi_{n}^{KS*}(\mathbf{r}, t) \frac{-1}{2} \Delta \psi_{n}^{KS}(\mathbf{r}, t) d\mathbf{r} + \iint \psi_{n}^{KS*}(\mathbf{r}, t) V_{nonloc}^{PS}(\mathbf{r}, \mathbf{r}') \psi_{n}^{KS*}(\mathbf{r}', t) d\mathbf{r} d\mathbf{r}' \right] + \frac{1}{2} \iint \frac{\rho(\mathbf{r}, t) \rho(\mathbf{r}', t)}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}' + \int \varepsilon_{XC} [\rho(\mathbf{r}, t)] \rho(\mathbf{r}, t) d\mathbf{r} + \sum_{I} Z_{I} \int \frac{\rho(\mathbf{r}, t)}{|\mathbf{r} - \mathbf{R}_{I}(t)|} d\mathbf{r} + \sum_{I \neq J} \frac{Z_{I} Z_{J}}{|\mathbf{R}_{I}(t) - \mathbf{R}_{J}(t)|}$$
(2)

with the potential energy obtained by *static* DFT, which is also expressed by equation (2), but without *t* dependence. In these four rtp-TDDFT-MD trajectories, sets of coordinates obtained from several snapshots were used to calculate the potential by *static* DFT for the ground state, and S₁ and S₂ excited states within the Δ SCF scheme. In equation (2), $\frac{-1}{2}\Delta$ is the kinetic-energy operator. V_{nonloc}^{ps} is the sum of the non-local terms of the pseudopotentials. f_n is the occupation number, which was manually set for excited states. ε_{XC} is the exchange-correlation potential as a functional of the charge density. Z_I and \mathbf{R}_I are the charge and coordinate of the *I*-th ion, respectively.



Figure 3. Comparison of the TDDFT potential energy and *static* DFT potential energies of S_n states with n=0,1, and 2 for four trajectories of the rtp-TDDFT-MD simulation. Hatched triangles, circles, and squares are the total energies of the S_2 , S_1 , and S_0 states, respectively, obtained by *static* DFT with common atomic coordinates in the snapshot of the rtp-TDDFT-MD simulations. The origin of the potential is set to that of the S_2 state at beginning of "Trajectory 1".

By setting the S_2 excited state as an initial condition, the rtp-TDDFT simulations were continued to 11 fs, which induced the $S_2 \rightarrow S_1$ transition, as described later. Figure 3 shows the results for the time-evolution of the rtp-TDDFT potential energy of the four trajectories, in which E_{TOT}^{TDDFT} is the potential energy obtained by equation (2) throughout the rtp-TDDFT-MD simulations. Solid squares, circles, and triangles show the potential energies of S_0 , S_1 , and S_2 states obtained by the *static* DFT at the atomic coordinates for the corresponding times determined by the rtp-TDDFT-MD simulations. For all trajectories, the potential energy obtained by the rtp-TDDFT-MD simulation followed the PES of the S_2 state at the beginning then switched to that of the S_1 state after 6 fs, which indicates that the lifetime of the S_2 state is short. (One can note that the E_{TOT}^{TDDFT} is in midpoint between S_2 and S_1 state from 4 fs to 6 fs in "Trajectory 1" of Fig. 3 but follows S_1 state later than 6 fs. In such a short time-constant, the influence on ionic motion is negligibly small, thus MD simulation will follow a trajectory of S_1 state later than 6 fs.).

Even at the transition from the S_2 to the S_1 states, the original orbital characters of HOMO-1 and LUMO remained as same as those displayed in Fig. 1(a,b). However, the expectation values of the Kohn-Sham Hamiltonian for HOMO-1 and HOMO, which can be approximately interpreted as energy levels, alternated after 6 fs, which was consistent with the orbital character of the S_1 state obtained by Δ SCF. This indicates that the change in the level ordering of the MO at particular atomic coordinates can automatically be searched by the rtp-TDDFT-MD simulation. The automatic on-the-fly identification of PES-crossing is an important advantage of the rtp-TDDFT-MD simulation.

Finally in this subsection, we show that Fig. 3 indicates that the value of the potential energy obtained by the rtp-TDDFT-MD simulation does not show the intermediate value between those of the S_1 and S_2 states. Thus, we conclude that the mean-field average of PESs is not the case in the rtp-TDDFT-MD simulation of S_2 excited azobenzene. The slight deviation in the values of the potentials in Fig. 3 may arise from a small amount of mixing between the S_1 and S_0 states, which is negligible considering the photoisomerization dynamics presented in the next subsection.

Long-time simulation of photoisomerization. The fact that rtp-TDDFT-MD beyond 6 fs follows a pure S_1 state can also be demonstrated by a long-time simulation of the *trans-cis* photoisomerization of azobenzene. Because this long-time simulation is computationally expensive, we have chosen only "Trajectory 1" in Fig. 3 as a sample case. Figure 4(a) shows a conformational change in azobenzene in the long-time simulation. Up to 250 fs, the N = N axis started to move away from the molecular plane in the direction denoted by the blue arrow, and then at 250 fs two benzene rings began to lift from the original molecular plane. This is the beginning of the rotation pathway toward *cis*-azobenzene, which was achieved at $t \sim 500$ fs in the simulation. This time constant is the same order of magnitude as the constant obtained by the time-variation of the fluorescence data^{33,34}, the energy-broadening factors of which indicate a lifetime of 200–700 fs. Statistical treatment of many trajectories of electron-ion dynamics including energy dissipation processes would be necessary for precise comparison, which is beyond the scope of the current work. We confirmed the (meta)stability of the last geometry of *cis*-azobenzene by performing conjugate-gradient geometry optimization in the S_0 state (electronic ground state). The computed total energy of the *cis*-azobenzene is 0.8 eV higher than *trans*-azobenzene in the S_1 state within the LDA level of accuracy.

We also compared our current results with recent simulations of azobenzene^{35–39}. Non-adiabatic transitions using surface hopping technique within fewest-switch scheme were done by Ref. 35,39, while others^{36–38} studied profiles of PESs of excited states. Grannuci *et al.*³⁵ reported a short time constant for both the $S_2 \rightarrow S_1$ transition and the subsequent rotation pathway of the photo-isomerization within sub ps, which is consistent with our current results for photo-isomerization despite the different theoretical approach in ref. 35, *i.e.*, a combination of CASSCF





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and surface hopping with fewest switching mode. Meantime, the time constant around 6 fs for $S_2 \rightarrow S_1$ transition in current simulation cannot be directly compared with ref. 35 because of the fewest-switch scheme. Other theoretical works^{36,37} using CASSCF¹⁹ formalisms and B3LYP^{16,17,40} functionals, showed the absence of a reaction barrier along with the rotational pathway and presence of the barrier along with inversion pathways upon S_1 excitation. The current on-the-fly simulation starting from S_2 excitation through relaxation to S_1 excitation also shows no barrier for the rotational pathway, as seen in the potential-time plots in Figs 3 and 4(b). However, inversion pathways for photoisomerization that contradict our results have also been reported^{38,39}. Theoretical conclusions about the pathway of photoisomerization are still under debate. However, this problem does not affect our current conclusion concerning the conservation of pure adiabatic states in the Ehrenfest dynamics because the potential mixing should be concerned only at a conformation region of the "cis"-azobenzene.

The oscillating behaviour in the potential in Fig. 4(b) arises from the induction of many vibration modes in the azobenzene molecule, such as bond stretching and bending, throughout the *trans-cis* conversion. During the isomerization, we monitored the N = N bond length as a function of time. Figure 5(a) shows the computed value and Fig. 5(b) shows its Fourier transformation in wavenumber domains. The Fourier transformation of the time-evolution of the N = N length shows two major peaks at 1414 and 1145 cm⁻¹, which are consistent with the Raman spectra of photoexcited azobenzene at 1428 and 1130 cm⁻¹³⁴ within the possible error caused by LDA. These peaks are also consistent with recent theoretical work with higher accuracies in many-body treatments^{32,41} indicating the preservation of the double bond character of the N = N axis.

The potential energy obtained by the rtp-TDDFT-MD simulation in Fig. 4(b) was compared with those obtained by *static* DFT calculations of S_2 , S_1 , and S_0 states along with the MD-trajectory. The long-time simulation showed that the potential of the rtp-TDDFT-MD simulation follows that of the S_1 state instead of showing the mean-field average of PESs, and the potential goes near the S_0 state after 400 fs.

Results for the C₂H₄ molecule. The simulation in Fig. 4(b) could demonstrate the $S_1 \rightarrow S_0$ transition or mean-field average of these states. However, examining azobenzene is too time-consuming because it is expected that the time-constant for the intersections of PESs of the S_1 and S_0 states will be beyond 500 fs at all MD-trajectories. We chose another common molecule, C_2H_4 , which has π and π^* orbitals equivalent to a 90° twist of the two CH₂ components of the C_2H_4 molecule, which is similar to azobenzene photoisomerization.

Figure 6(a) shows the dynamics of the C_2H_4 molecules under S_1 excitation. The initial atomic configuration was slightly twisted from the optimized structure under a periodic $10 \times 5 \times 5$ Å³ box. The coordinates are listed in Table S5 in the supplementary material. There are three C_2 axes; one of the three is along the C-C bond axis and the other two are perpendicular to the C-C axis. The three C_2 axes remain, even during photoisomerization of a C_2H_4 molecule keeping a constraint under the D_2 symmetry. Assuming no initial velocities on all atoms, the molecule immediately shows the rotation of the CH₂ unit being accompanied by C-C stretching. Even within the LDA functional, the dynamics are consistent with quantum chemistry many-body wavefunction theory coupled with a surface-hopping technique²¹. Ben-Nun *et al.*²¹ also present further results for the intramolecular proton transfer derived from a lower symmetric configuration, which is beyond the scope of our work.



Figure 5. (a) Time-evolution of the N = N length of the azobenzene molecule throughout the dynamics displayed in Fig. 4. (b) Period domain of N = N stretching after the data in Fig. 5 (a) has been Fourier transformed. The corresponding wavenumbers expressing the frequencies are also displayed.



Figure 6. (a) Dynamics of a C_2H_4 molecule upon S_1 excitation under high geometric symmetry conditions. (b) Corresponding potentials of the rtp-TDDFT-MD simulation and *static* DFT for the S_1 and S_0 states. Hatched squares and circles denote *static* DFT total energies of the S_0 and S_1 states, respectively.

Figure 6(b) shows a comparison of the potential energies obtained by ftp-TDDFT-MD and by *static* DFT for the S₁ and S₀ states. The simulation showed the intersection of PESs of the S₁ and S₀ states. Similar to the azobenzene simulation, the mean-field average of the PESs did not occur. The potential energy of rtp-TDDFT-MD coincided with the PES of the S₁ state, and thus the S₁ \rightarrow S₀ transition was inhibited. Considering the orbital occupation, the S₀ state does not have a half-occupied MO, so a smooth transfer maintaining the numbers of fully and half-occupied MOs did not occur. We also examined the inhibition of the S₁ \rightarrow S₀ transition and the mean-field average in the C₂H₄ molecule with no symmetric restriction on three MD trajectories. For the trajectories, see Tables S6 to S8 in the supplementary information, which show the initial conditions in the atomic coordinates and velocities of ions randomly distributed with a corresponding temperature of about 110 K. Here, the calculations were performed with a 10 \times 10 \times 10 Å³ periodic box. The results are displayed in Fig. 7, where the intersection of S₁ and S₀ can be seen several times in all trajectories.





If the spin-polarized Kohn-Sham wavefunction is available, the S₁ state can be expressed with a singly occupied LUMO and HOMO with up and down spins, respectively. If the time-evolution of the spin-up LUMO smoothly changes the orbital into a spin-up HOMO when the PESs of the S₁ and S₀ states intersect, the smooth S₁ \rightarrow S₀ transition can be simulated. However, this is still not trivial in the rtp-TDDFT-MD scheme because there can also be an opposite change in wavefunction, namely changing the spin-down HOMO into a spin-down LUMO. If this occurs, we re-create an S₁ state with the opposite spin configuration. Therefore, we expect that a smooth S₁ \rightarrow S₀ transition is not guaranteed with the spin-polarized rtp-TDDFT-MD approach.

Concluding remarks. The absence of the mean-field average of PESs may only occur in cases allowing neither charge transfer nor molecular disintegration. When disintegration occurs in the rtp-TDDFT-MD simulation, the numbers of distributed electrons are likely to be fractional. In this case, the simulation should be under a mean-field average of many PESs, in contrast to our present results. This case was also discussed in ref. 2.

However, the presence of many MOs may also explain the absence of the mean-field average particularly in current cases of rtp-TDDFT-MD. A C_2H_4 molecule has seven occupied MOs per spin for the S_1 excited state within Δ SCF, whereas an azobenzene molecule has 35 occupied MOs per spin for S_2 excited states. This number of MOs can interfere with each other through the Hartree-exchange-correlation potential of DFT during the rtp-TDDFT-MD simulation. This contradicts the two PES systems with a coherent Rabi-oscillation expressing the mean-field average of PESs. The interference becomes substantial as the number of wavefunctions increases and can suppress the mean-field average of PESs, setting the probability weighted on a particular PES. Interference among many orbitals is also seen in extended systems, similar to the relaxation of hot carriers in carbon nanotubes⁴².

In summary, we have demonstrated the absence of the mean-field average of PESs throughout the rtp-TDDFT-MD simulations for photoexcited azobenzene and C_2H_4 molecules. The $S_2 \rightarrow S_1$ transition in azobenzene was observed in several trajectories followed by the *trans-cis* isomerization, which was consistent with previous experimental and theoretical studies. Conversely, the $S_1 \rightarrow S_0$ transition was not observed in an S_1 excited C_2H_4 molecule owing to the restriction of occupation numbers. Therefore, we concluded that each MD trajectory presented here was on a single PES and that the rtp-TDDFT-MD approach, at least for the current cases, is an on-the-fly tool for automatically monitoring transitions among PESs, unless the simulation reaches the PES of the S_0 state. Further investigation of other molecules will help to generalize our findings.

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Author Contributions

Y.M. and N.O. performed the numerical simulations. Y.M. prepared all the figures. Y.M., Y.T. and T.O. wrote the main text. All authors reviewed the manuscript.

Additional Information

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