

# Nonadiabatic Quantum Molecular Dynamics (NAQMD) via Fewest-Switches Surface Hopping (FSSH)

1/6/10

[J.C. Tully, J. Chem. Phys. 93, 1061 ('90)]

## §. Mixed electron-nuclei system

Let  $\mathbf{r} = (r_1, \dots, r_n)$  be the positions of  $n$  electrons of mass  $m$ , and  $\mathbf{R} = (R_1, \dots, R_N)$  be those of  $N$  nuclei with masses  $(M_1, \dots, M_N)$  and charges  $(Z_1, \dots, Z_N)$ . The Hamiltonian is

$$H = T_{\mathbf{R}} + \hat{h}(\mathbf{r}, \mathbf{R}) \quad (1)$$

$$\left\{ \begin{aligned} T_{\mathbf{R}} &= \sum_{I=1}^N \frac{\mathbf{P}_I^2}{2M_I} \end{aligned} \right. \quad (2)$$

$$\left\{ \begin{aligned} \hat{h}(\mathbf{r}, \mathbf{R}) &= \sum_{i=1}^n \frac{\mathbf{p}_i^2}{2m} + \frac{1}{2} \sum_{i \neq j} \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|} - \sum_{i,I} \frac{Z_I e^2}{|\mathbf{r}_i - \mathbf{R}_I|} + \frac{1}{2} \sum_{I \neq J} \frac{Z_I Z_J e^2}{|\mathbf{R}_I - \mathbf{R}_J|} \end{aligned} \right. \quad (3)$$

### §. Length-scale separation

Let us assume the separation of thermal de Broglie wave lengths

$$\Lambda_I^{\text{ion}} = \frac{\hbar}{\sqrt{2\pi M_I k_B T}} \ll \underbrace{\lambda}_{\text{length scale of interest}} \sim \Lambda^{\text{electron}} = \frac{\hbar}{\sqrt{2\pi m k_B T}} \quad (4)$$

Note

$$\frac{\Lambda^{\text{electron}}}{\Lambda_I^{\text{ion}}} = \sqrt{1836.1 \frac{M_I}{M_{\text{proton}}}} = 42.8 \text{ (H)}, 148 \text{ (C)}, 171 \text{ (O)}, 346 \text{ (Zn)}, \dots$$

12.0                  16.0                  65.38

thus the nucleus quantum effect is rarely effective except for protons, occasionally.

At 300K,

species	$\Lambda$ (a.u.) = $[\sqrt{2\pi \cdot 1836.1 (M_I/M_{\text{proton}}) \cdot 300 / (11604.8 \times 27.2116)}]^{-1/2}$
electron	12.94
proton	0.302
C	$8.72 \times 10^{-2}$
O	$7.55 \times 10^{-2}$
Zn	$3.74 \times 10^{-2}$

$\ll \Delta r = 0.36 \text{ au} : \text{MGDC mesh size for graphene}$

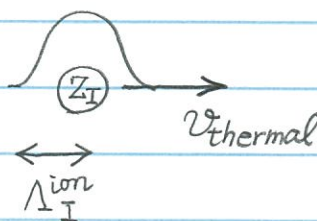
(Insight: Minimum-uncertainty wave packet)

$$(\Delta x) \cdot (\Delta p) = \frac{\hbar}{2}$$

$$\sim \sqrt{M_I k_B T}$$

$$\therefore \Delta x \sim \frac{\hbar}{2\sqrt{M_I k_B T}}$$

$$\sim \Lambda_I^{\text{ion}}$$



## § Born representation

Consider a set of electronic eigensolutions

$$\{\psi_k(r; R) \mid k=0,1,\dots; @ \forall R\} \quad (5)$$

for  $\forall$  possible "clamped" nuclei positions  $\{R\}$ , where

$$h(r, R) \psi_k(r; R) = E_k(R) \psi_k(r; R). \quad (6)$$

↳ parametric dependence

We expand the electron-nuclei wave function as

$$\Psi(r, R, t) = \sum_k \chi_k(R, t) \psi_k(r; R), \quad (7)$$

where the expansion coefficients  $\{\chi_k(R, t)\}$  are the probability amplitudes to find the nuclei at positions  $R$  at time  $t$ .

Q: Is  $\{\psi_k(r; R) \mid \forall k, \forall R\}$  a complete set in the  $r \times R$  space? In the absence of a proof, it is called the Born ansatz.

§. Quantum molecular dynamics (cf. 10/19/89)

Under the length-scale separation condition, we perform the small  $\hbar$  expansion only for the nuclei (or  $\hbar/\sqrt{M_I}$  expansion). To do so, we define an S-matrix

$$S = \frac{1}{\sum_{\mathbf{k}} \rho_{\mathbf{k}}(\mathbb{R})} \sum_{\mathbf{k}} \rho_{\mathbf{k}}(\mathbb{R}) \langle \mathbf{k} | \mathbb{R} | \mathcal{U}_-(t_0, t_f) \mathcal{U}_+(t_f, t_0) | \mathbf{k} | \mathbb{R} \rangle \quad (8)$$

where  $t_f \gg t \sim \text{time of interest} \gg t_0$ , and at time  $t_0$ , the nuclei are in the position eigenstate  $|\mathbb{R}\rangle$  and the electrons are in a mix state represented by the statistical matrix  $\rho_{\mathbf{k}}(\mathbb{R})$ , where

$$|\mathbf{k} | \mathbb{R} \rangle = \underbrace{|\mathbb{R}\rangle}_{\delta(\mathbf{X}-\mathbb{R})} \underbrace{|\mathbf{k}; \mathbb{R}\rangle}_{\Psi_{\mathbf{k}}(\mathbb{R}; \mathbb{R})} = \Psi(\mathbb{R}, \mathbf{X}) \quad (9)$$

In Eq. (8),

$$\mathcal{U}_{\pm}(t, t') = T_{\pm} \exp \left[ -\frac{i}{\hbar} \int_{t'}^t dz \tilde{H}(z) \right] \quad (10)$$

where  $T_{\pm}$  are the forward/backward time-ordering operators, and we have introduced an external time dependence of the Hamiltonian through

$$\tilde{H}(z) = H + \sum_{i=1}^n \mathcal{V}(\mathbb{R}_i, t) + \sum_{I=1}^N V(\mathbb{R}_I, t). \quad (11)$$

### (Physical meaning of the S-matrix)

The S-matrix encodes the dynamics of the electron-nuclei system, in the sense that the expectation value of any operator  $\hat{X}$  at time  $t$ , in the presence of an extra Hamiltonian term  $\hat{X}F(t)$ , is given by

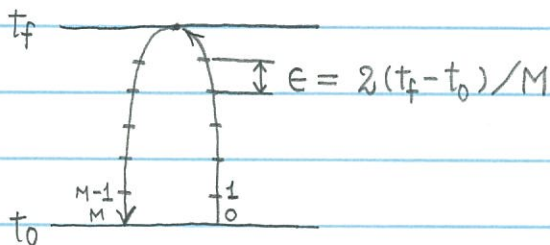
$$\langle \hat{X}(t) \rangle = \frac{\delta S}{\delta F(t)} \Big|_{F=F_0} = -\frac{i}{\hbar} \frac{1}{\sum_{\mathbf{R}} P_{\mathbf{R}}(\mathbf{R})} \sum_{\mathbf{R}} P_{\mathbf{R}}(\mathbf{R}) \langle \mathbf{k} | \mathbf{R}(t) | \hat{X} | \mathbf{k} | \mathbf{R}(t) \rangle \quad (12)$$

where

$$| \mathbf{k} | \mathbf{R}(t) \rangle = \mathcal{U}_+(t, t_0) | \mathbf{k} | \mathbf{R} \rangle \quad (13)$$

### (Path-integral representation of the S-matrix)

We divide the closed time path  $t_0 \rightarrow t_f \rightarrow t_0$  into  $M$  sections.



Then, the S-matrix can be represented by path integral as

$$S = \int_{\mathbf{p}}^{\mathbf{R}(t_0)=\mathbf{R}} \mathcal{D}[\mathbf{R}(t)] \exp\left(\frac{i}{\hbar} S_0[\mathbf{R}(t)]\right) T[\mathbf{R}(t)] \quad (14)$$

where

$$\left\{ \begin{aligned} S_0 &= \int_{\mathbf{p}} dt \frac{M}{2} \left( \frac{d\mathbf{R}}{dt} \right)^2 \end{aligned} \right. \quad (15)$$

$$\left\{ \begin{aligned} T &= \frac{1}{\sum_{\mathbf{R}} P_{\mathbf{R}}(\mathbf{R})} \sum_{\mathbf{R}} P_{\mathbf{R}}(\mathbf{R}) \langle \mathbf{k} | \mathbf{R} | T_{\mathbf{p}} \left[ -\frac{i}{\hbar} \int_{\mathbf{p}} dt h(\mathbf{R}, \mathbf{R}(t), t) \right] | \mathbf{k} | \mathbf{R} \rangle \end{aligned} \right. \quad (16)$$

⑥

and the functional integral along the closed time path is

$$\int_p^{\mathbb{R}(t)=\mathbb{R}} \mathcal{D}[\mathbb{R}(t)] = \lim_{M \rightarrow \infty} \left( \frac{M}{2\pi i \hbar \epsilon} \right)^{3M/2} \prod_{j=1}^{M-1} \int d\mathbb{R}_j \quad (17)$$

The path integral path representation, Eq.(14), thus expresses the S-matrix as a superposition of multiple-path contributions.

(Stationary-phase approximation)

For  $\hbar \rightarrow 0$ , the dominant contribution to the functional integral comes from the maximum of the argument of its exponential integrand,

$$\exp \left[ \frac{i}{\hbar} \left( S_0 + \frac{\hbar}{i} \ln T \right) \right],$$

namely its stationary point (or path),

$$\delta \left\{ S_0[\mathbb{R}(t)] + \frac{\hbar}{i} \ln T[\mathbb{R}(t)] \right\} = 0 \quad (18)$$

The result is

$$S \xrightarrow{\hbar \rightarrow 0} \exp \left( \frac{i}{\hbar} S_0[\mathbb{R}_c(t)] \right) \quad (19)$$

where the classical path  $\mathbb{R}_c(t)$  satisfies

$$M \ddot{\mathbb{R}}_c(t) = - \frac{1}{\sum_R P_R(\mathbb{R})} \sum_R P_R(\mathbb{R}) \langle k(t); \mathbb{R} | \frac{\partial h(\mathbb{R}, \mathbb{R}_c(t), t)}{\partial \mathbb{R}_c(t)} | k(t); \mathbb{R} \rangle \quad (20)$$

and

$$M = \text{diag}(M_1, \dots, M_N) \in \mathcal{B}^{N \times N} \quad (21)$$

The electronic dynamics is governed by the propagator

$$U(t, t') = T_P \exp \left[ -\frac{i}{\hbar} \int_{t'}^t d\tau h(r, |R_c(\tau), \tau) \right] \quad (22)$$

time-ordering operator on path p

and hence the electronic state is obtained by solving

$$i\hbar \frac{\partial}{\partial t} |k(t); |R\rangle = h(r, |R_c(t), t) |k(t); |R\rangle \quad (23)$$

with the initial condition

$$|k(t=t_0); |R\rangle = |k; |R\rangle \quad (24)$$

(Ehrenfest dynamics — mean-field description)

The classical nuclei approximation to the path integral thus amounts to a single nuclei-path, Ehrenfest dynamics:

$$\left\{ \begin{aligned} M \ddot{R}_c(t) &= - \frac{1}{\sum_k P_k(|R\rangle)} \sum_k P_k(|R\rangle) \langle k(t); |R | \frac{\partial h(r, |R_c(t), t)}{\partial R_c(t)} | k(t); |R \rangle \end{aligned} \right. \quad (20)$$

$$\left\{ \begin{aligned} i\hbar \frac{\partial}{\partial t} |k(t); |R\rangle &= h(r, |R_c(t), t) |k(t); |R\rangle \end{aligned} \right. \quad (23)$$

The coupled classical-quantum equations, (20) & (23), describe the nuclei moving in a "mean-field" (or self-consistently obtained average field) over mixed states  $\{|k(t); |R\rangle\}$ .

The mean-field nature of the Ehrenfest dynamics is more apparent from its alternative derivation by Marx & Hutten ('09).

Here, we introduce a separable approximation,

$$\Psi(r, R, t) \simeq \psi(r, t) \chi(R, t), \quad (25)$$

with which decoupled electron & nuclei Schrödinger equations in self-consistent potentials averaged over each other's wave functions ( $\simeq$  time dependent Hartree approximation). We can then take the classical ( $\hbar \rightarrow 0$ ) limit only of the nuclei equation to derive its single classical path.

### §. Adiabatic dynamics

Consider the time-dependent Schrödinger equation for electrons, Eq. (23) (in the absence of external time dependence  $V(r, t)$ ),

$$i\hbar \frac{\partial}{\partial t} \psi(r, t) = \hat{h}(r, \underbrace{R(t)}) \psi(r, t) \quad (26)$$

single classical path  
(we omit subscript c for simplicity)

Expand the wave function in terms of the Born adiabatic basis

$$\psi(r, t) = \sum_{\underline{k}} C_{\underline{k}}(t) \psi_{\underline{k}}(r; \underline{R}(t)) \quad (27)$$

Substituting Eq. (27) in (26),

$$(\text{lhs}) = \sum_{\underline{k}} \left[ i\hbar \dot{C}_{\underline{k}}(t) \psi_{\underline{k}}(r; \underline{R}(t)) + i\hbar C_{\underline{k}}(t) \dot{\underline{R}}(t) \cdot \frac{\partial}{\partial \underline{R}(t)} \psi_{\underline{k}}(r; \underline{R}(t)) \right]$$

$$(\text{rhs}) = \sum_{\underline{k}} C_{\underline{k}}(t) \hat{h}(r, \underline{R}(t)) \psi_{\underline{k}}(r; \underline{R}(t))$$

$E_{\underline{k}}(\underline{R}(t)) \psi_{\underline{k}}(r; \underline{R}(t))$  (⊙ Eq. (6))



$\int d\mathbf{r} \psi_k^*(\mathbf{r}; R(t)) \times (\text{above})$

$$i\hbar \dot{C}_k(t) + i\hbar \sum_l C_l(t) \dot{R}(t) \cdot \underbrace{\int d\mathbf{r} \psi_k^*(\mathbf{r}; R(t)) \frac{\partial}{\partial R} \psi_l(\mathbf{r}; R)}_{\equiv d_{kl}(R(t))}$$

$$= E_k(R(t)) C_k(t)$$

In summary, the electrons dynamically follows the single nuclei path as

$$i\hbar \dot{C}_k(t) = E_k(R(t)) C_k(t) - i\hbar \dot{R}(t) \cdot \sum_l d_{kl}(R(t)) C_l(t) \quad (28)$$

where the nonadiabatic coupling vector is defined as

$$d_{kl}(R) \equiv \int d\mathbf{r} \psi_k^*(\mathbf{r}; R) \frac{\partial}{\partial R} \psi_l(\mathbf{r}; R) = \langle k; R | \frac{\partial}{\partial R} | l; R \rangle \quad (29)$$

$-\frac{i}{\hbar} \times \text{Eq. (28)}$

Note that

$$d_{kl}^* = -d_{lk}$$

and especially

$$d_{kk} = 0$$

$$C_k = -\frac{i}{\hbar} E_k C_k - \dot{R} \cdot \sum_l d_{kl} C_l$$

$$= \sum_l \left( -\frac{i}{\hbar} \delta_{kl} E_l - \underbrace{\langle k | \dot{R} \cdot \frac{\partial}{\partial R} | l \rangle}_{\langle k | \frac{d}{dt} | l \rangle} \right) C_l \quad (30)$$

$$= -\sum_l \left( i \delta_{kl} \omega_l + \underbrace{\langle k | \frac{d}{dt} | l \rangle}_{\equiv d_{kl}} \right) C_l \quad (31)$$

☺

$$\frac{\partial}{\partial R} \underbrace{\langle \psi_l(\mathbf{r}; R) | \psi_k(\mathbf{r}; R) \rangle}_{\delta_{lk} (\text{☺ orthonormality})} = 0$$

$$\begin{aligned}
 (\text{lhs}) &= \int d\mathbf{r} \left\{ \left[ \frac{\partial}{\partial R} \psi_l^*(\mathbf{r}; R) \right] \psi_k(\mathbf{r}; R) + \psi_l^*(\mathbf{r}; R) \frac{\partial}{\partial R} \psi_k(\mathbf{r}; R) \right\} \\
 &= \underbrace{\left[ \int d\mathbf{r} \psi_k^*(\mathbf{r}; R) \frac{\partial}{\partial R} \psi_l(\mathbf{r}; R) \right]^*}_{d_{kl}^*} + d_{lk}
 \end{aligned}$$

$$\therefore d_{kl}^* + d_{lk} = 0$$

Setting  $k=l$  in the above

$$\text{Re } d_{kk} = 0$$

In fact, in a nonmagnetic system, the adiabatic electronic wave function  $\psi_k(\mathbf{r}; R)$  can be made real always, in which case,

$$d_{kk} = 0. \quad //$$

Suppose that  $C_k(t) = \delta_{k,k_0}$  at  $t=0$  (pure adiabatic state), and  $\dot{R}(t) \sim 0$ , then the electronic state remains at state  $k_0$ .



Adiabatic approximation

### §. Validity of the adiabatic approximation (cf. 10/18/89)

Substitute the Born adiabatic representation of the electron-nuclei wave function, Eq. (7), to the electron-nuclei Schrödinger equation (in the absence of external time dependence),

$$i\hbar \frac{\partial}{\partial t} \Psi(\mathbf{r}, \mathbf{R}, t) = H \Psi(\mathbf{r}, \mathbf{R}, t) \quad (32)$$

Then, we obtain

$$\begin{aligned} & \left[ i\hbar \frac{\partial}{\partial t} + \sum_{I=1}^N \frac{\hbar^2}{2M_I} \nabla_I^2 - E_k(\mathbf{R}) - T_{RR}(\mathbf{R}) \right] \chi_k(\mathbf{R}, t) \\ & = \sum_{k'(\neq k)} T_{kk'}(\mathbf{R}) \chi_{k'}(\mathbf{R}, t) \end{aligned} \quad (33)$$

where

$$T_{kk'}(\mathbf{R}) = \sum_{I=1}^N \langle k; \mathbf{R} | \frac{\hbar}{i} \nabla_I | k'; \mathbf{R} \rangle \cdot \frac{\hbar}{2M_I} \nabla_I - \sum_{I=1}^N \langle k; \mathbf{R} | \frac{\hbar^2 \nabla_I^2}{2M_I} | k'; \mathbf{R} \rangle \quad (34)$$

If we set  $T_{kk} = 0$  in Eq. (33), we obtain a single nuclei motion in the presence of the potential surface  $E_k(\mathbf{R})$ , the adiabatic dynamics.

(Validity of dropping  $T_{kk}$ )

Let

$$\chi_k(\mathbf{R}, t) = \zeta_k(\mathbf{R}, t) \exp[-iE_k(\mathbf{R})t/\hbar] \quad (35)$$

and assume  $\zeta_k(\mathbf{R}, t=0) = \delta_{k,l} C(\mathbf{R})$ . Then, for  $k \neq l$

$$|\zeta_k(\mathbf{R}, t)|^2 = 4 \left| \frac{T_{kl}(\mathbf{R})}{E_k(\mathbf{R}) - E_l(\mathbf{R})} \right|^2 \sin^2 \left( \frac{E_l(\mathbf{R}) - E_k(\mathbf{R})}{\hbar} t \right) |C(\mathbf{R})|^2 \quad (36)$$

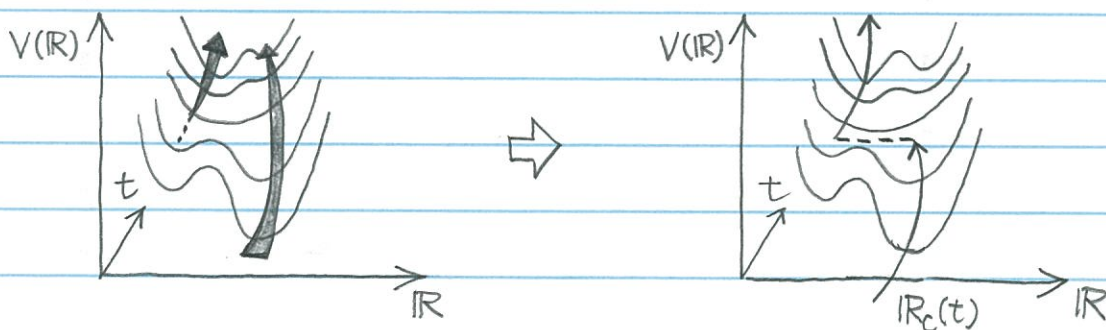
Dropping it is valid for  $T_{kl}(\mathbf{R}) \sim k_B T \ll E_k(\mathbf{R}) - E_l(\mathbf{R})$ .

Namely, near a level-crossing point (or conical intersection), the adiabatic dynamics becomes invalid.

In fact, near a conical intersection, the length-scale separation (or  $\hbar/\sqrt{M_I}$  expansion), which leads to the single-nuclei-path Ehrenfest dynamics, may not apply ( $\leftarrow$  to be checked), and the nuclei dynamics may inherently involve multiple nuclei paths.

### §. Surface-hopping approach

- ① Approximate a multipath-involving transition event as an instantaneous transition sandwiched by two single-path trajectories (where the adiabatic approximation holds).



- ② The quantum uncertainty (or multipath probability) is dealt with an ensemble of classical paths with instantaneous nonadiabatic branches.

## §. Fewest-switches surface hopping (Density matrix)

For stochastic simulation involving inter-path transitions, we introduce a density matrix,

$$a_{kl}(t) \equiv C_k(t) C_l^*(t) \quad (37)$$

such that the diagonal matrix element,

$$a_{kk}(t) = |C_k(t)|^2 = P_k(t), \quad (38)$$

is the probability to find the system in state  $k$  at time  $t$ .

From Eq. (28) and its complex conjugate, the equation of motion for the density matrix is

$$i\hbar \dot{a}_{kl}(t) = i\hbar (\dot{C}_k C_l^* + C_k \dot{C}_l^*)$$

$$\begin{aligned} &= [E_k C_k - i\hbar \dot{R} \cdot \sum_{k'} d_{kk'} C_{k'}] C_l^* \\ &+ C_k [-E_l C_l^* - i\hbar \dot{R} \cdot \sum_{k'} \underbrace{d_{lk'}^* C_{k'}^*}_{-d_{k'l}^*} \text{ (Eq. (30))}] \end{aligned}$$

$$\therefore i\hbar \dot{a}_{kl} = (E_k - E_l) a_{kl} - i\hbar \dot{R} \cdot \sum_{k'} (d_{kk'} a_{k'l} - a_{kk'} d_{k'l}) \quad (39)$$

For the diagonal element (probability),

$$\begin{aligned} i\hbar \dot{P}_k = i\hbar \dot{a}_{kk} &= -i\hbar \dot{R} \cdot \sum_{k'} (d_{kk'} a_{k'k} - \underbrace{a_{kk'} d_{k'k}}_{-a_{k'k}^* d_{kk'}^*} \text{ (Eq. (30))}) \\ &= \underbrace{d_{kk'} a_{k'k} + (d_{kk'} a_{k'k})^*}_{2 \operatorname{Re}(d_{kk'} a_{k'k})} \end{aligned}$$

(14)

$$\therefore \dot{P}_k = \dot{R} \cdot \sum_{k'(\neq k)} 2 \operatorname{Re}(d_{kk'} a_{k'k}) \quad (40)$$

$$= \sum_{k'(\neq k)} b_{kk'} \quad (41)$$

← (☺)  $d_{kk} = 0$ , Eq. (31)

where the transition matrix is

$$b_{kk'} = 2 \dot{R} \cdot \operatorname{Re}(d_{kk'} a_{k'k}) \quad (42)$$

Note

$$b_{kk'} = 2 \dot{R} \cdot \operatorname{Re}(\underbrace{d_{kk'}}_{-d_{k'k}^*} \underbrace{a_{k'k}}_{a_{kk}^*}) = -2 \dot{R} \cdot \operatorname{Re}(\underbrace{d_{k'k}}_{= \operatorname{Re}(d_{k'k} a_{kk}^*)})^* = -b_{k'k}$$

$$\therefore b_{kk'} = -b_{k'k} \quad (\Pi_{kk'} P_{k'} = -\Pi_{k'k} P_k) \quad (43)$$

For a pair of states, we only consider transitions toward the probability-increasing state (not vice versa), i.e., minimal switching to maintain the correct ensemble population.

↖  $\simeq$  Metropolis algorithm

During  $\Delta t_{\text{MD}} (\sim 1 \text{ fs})$ ,

$$\Delta P_{k'} = \sum_{k(\neq k')} \Delta t_{\text{MD}} b_{k'k} = \sum_{k(\neq k')} \Pi_{k' \leftarrow k} P_k \quad (44)$$

where the (conditional) transition probability is

$$\Pi_{k' \leftarrow k} = \frac{\Delta t_{\text{MD}} b_{k'k}}{P_k} = 2 \Delta t_{\text{MD}} \dot{R} \cdot \frac{\operatorname{Re}(d_{k'k} a_{kk})}{a_{kk}} \quad (45)$$

(FSSH algorithm)

Let

$$\tilde{\pi}_{k' \leftarrow k} = \max\left(0, \pi_{k' \leftarrow k}\right) = \max\left(0, 2\Delta t_{\text{MD}} \dot{R} \cdot \frac{\text{Re}(d|_{kk} a_{kk})}{a_{kk}}\right) \quad (46)$$

and the system is on the  $k$ -th adiabatic state.

Order the other ( $k' \neq k$ ) states in descending order of transition probability,  $\tilde{\pi}_{1 \leftarrow k} > \tilde{\pi}_{2 \leftarrow k} > \dots$ , and define an accumulated transition probability,

$$\Lambda_{k' \leftarrow k} = \sum_{l=1}^{k'} \tilde{\pi}_{l \leftarrow k} \quad (47)$$

Then, generate a uniform random number,  $\text{rnd} \in [0, 1]$ , and make a transition to destination  $k'$  such that

$$\Lambda_{k-1 \leftarrow k} \leq \text{rnd}() < \Lambda_{k' \leftarrow k} \quad (48)$$

(Here, we define  $\Lambda_{0 \leftarrow k} = 0$ .)

