

Ab-Initio-Based Potential Energy Surfaces for Complex Molecules and Molecular Complexes

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ABSTRACT The Born–Oppenheimer potential energy surface(s) underlies theoretical and computational chemistry (whether one considers a single or multiply coupled surfaces). The recent progress in representing these surfaces, rigorously obtained from electronic structure calculations, is the focus of this Perspective. Examples of potentials of complex molecules, namely, CH_3CHO , CH_5^+ , and H_5^+ , and molecular complexes, namely, water clusters, are given.



he potential energy surface (PES) plays a central role in the theory and computational simulation of virtually all types of molecular interactions of interest to chemists and physical chemists especially. The PES (and here, we consider a single so-called Born-Oppenheimer PES), together with a treatment of the nuclear dynamics, is the major approach taken by theoretical and computational chemists to perform their research. Often times, owing to the complexity of the problem, only stationary points, that is, minima and saddle points, and associated harmonic frequencies are the extent of the PES that is obtained. These data are generally not sufficient for a dynamics study, and instead, they are the input of statistical theories, such as Transition-State Theory. In any case, it is clear that a highly accurate, that is, high-level abinitio-based, full-dimensional global PES is the ideal, 1^{-3} as is performing a quantum mechanical treatment of the nuclear dynamics with such a PES.

The potential energy surface (PES) plays a central role in the theory and computational simulation of virtually all types of molecular interactions.

Of course, the reality of a given problem, indeed most problems of interest, is that this ideal approach is just not computationally feasible. Thus, compromises in both the potential and the dynamics are often made, the specifics of which often depend on the problem of interest. For example, for computational modeling of water and/or water clusters, where chemical exchange is not relevant, simple functional forms, based on physical models, (e.g., dipole–dipole interactions etc.) are typically used. The parameters of the function are typically determined empirically, and the nuclear motion is typically treated using classical dynamical or statistical mechanical methods.⁴ Of course, even for such nonreactive systems, a highly accurate ab-initio-based PES is desirable. In the case of water clusters, this has been done for rigid monomers⁵ and more recently for flexible monomers.⁶

Another class of PESs, which is far more demanding to represent mathematically, are those for chemical reactions. In this case, simple functional forms are highly problematic, and other approaches are often taken. These approaches, in particular, one with which we have had success, are the focus of this Perspective. It important to also note that one can avoid any representation of the PES by employing direct dynamics,⁷ also known as ab initio molecular dynamics (AIMD). This generally means running classical trajectory calculations and obtaining the potential and its gradient by direct calls to electronic structure codes at each time step. There is a huge amount of literature about applications of this approach, owing to its obvious appeal and generality. The list of limitations of this approach includes the use of classical mechanics, relatively short total integration times, small numbers of trajectories (less and often much less than 1000), and the use of below the highest level of ab initio theory and basis. These limitations originate from the very large amount of computer time and resources required to implement AIMD, compared to making a function call to a routine that returns a value of the PES at each time step. (Much more efficient semiempirical variations of AIMD are the empirical valence

Received Date: May 13, 2010 Accepted Date: May 28, 2010



bond method^{8,9} and semi-emprical electronic theories with specific reaction parameters.¹⁰) These limitations notwith-standing, the direct dynamics/AIMD method is a very power-ful means to investigate the mechanisms of reaction dynamics, as can be appreciated from some recent examples.^{11–13}

Returning now to the focus here, substantial progress has been made recently in the mathematical representation of high-dimensional PESs for both reactive and nonreactive systems with up to 10 atoms. This progress has required significant departures from approaches that were developed in the 1970–1980s for triatomic molecules.^{1–3} This was required because those approaches scale exponentially with the number of degrees of freedom and thus have not been adopted for larger numbers of atoms. A number of new strategies have been developed for larger molecules.^{14–18} Notable among these is the approach by Collins and coworkers,^{14,15} which is based on interpolation of local force fields and which has been applied to a number of polyatomic reactions.

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We have implemented a different approach, which is based on global fitting of ab initio electronic energies using a fitting basis that is manifestly invariant with respect to all permutations of like atoms.^{19,20} This invariance property of the PES should be obvious, and although noted some years ago,³ it was not systematically exploited as a general fitting method until fairly recently by us. (The approach has been suggested by several groups for the special case of XY₄ molecules^{21,22} and nicely applied recently to the challenging cation $CH_4^{+,23}$) A triatomic molecule that illustrates this invariance property is O₃, for which the symmetric group is of order 3! = 6. First, it should be clear that the three internuclear distances form a closed set under these permutations. Letting [1, 2, 3] denote the initial arrangement of the three atoms, consider the permutation (2, 3, 1). It is easy to see that this permutation maps the initial internuclear distances r_{12} , r_{13} , r_{23} to r_{23} , r_{12} , r_{13} . Thus, a monomial basis function $r_{12}^a r_{13}^b r_{23}^c$ maps onto $r_{23}^a r_{12}^b r_{13}^c$, and it is easy to see that the sum of these monomials produces a basis function that is invariant under this particular permutation. Application of the remaining four permutations generates four other monomials, and finally the sum of all six monomials yields a basis function that is invariant with respect to all permutations. Clearly then, a set of such symmetrized basis functions can be used to represent the PES. In actual applications of this approach, the variables used for fitting are transformed internuclear distances, that is, $y_{\alpha} = \exp(-r_{\alpha}/\lambda)$, where α runs from 1 to N(N-1)/2, the number of internuclear distances for an *N*-atom molecule, and λ is a constant typically in the range of 2–3 bohr.

Clearly this procedure, which we term monomial symmetrization, becomes tedious for larger molecules and clusters such as CH_5^+ and $(H_2O)_5$, which have large symmetric groups. Software to perform the mapping of internuclear distances by the permutations, the generation of symmetrized monomials, and relating at least some of them from lower order ones for virtually any molecule has been written.²⁴ (For more information, see http://www.mcs.anl.gov/research/projects/msa/.)

The procedure of monomial symmetrization provides a basis for the vector space of invariant polynomials. The basis is typically truncated at some maximum polynomial degree, and expansion coefficients relative to that truncated basis may then be obtained by standard least-squares procedures. The generic basis function that is obtained this way is the sum of #G terms, where #G denotes the number of elements of the relevant symmetry group. These basis functions, and therefore the fitted function, are expensive to evaluate.

Fortunately, there is a branch of algebra, computational invariant theory, that provides powerful algorithms to obtain compact representations of the vector space of invariant polynomials.²⁵ This representation of invariant polynomials relies on the concept of families of so-called primary and secondary invariant polynomials. These are invariant polynomials of the y_{α} variables. The number of primary invariant polynomials is equal to the number of variables, N(N - 1)/2, and the number of secondary invariant polynomials depends on the group and its representation and also on the choice of primary invariant polynomials. In terms of these polynomials, the potential can be represented by a compact expression, given elsewhere.^{19,20}

For each molecular symmetry group of interest, the generation of primary and secondary invariant polynomials has been done with the computer algebra package MAGMA.²⁶ A large library of these polynomials for up to 10 atoms exists and is available for download at the Website http://iopenshell. usc.edu/downloads/ezpes/. More details and some examples are given in the recent review by Braams and Bowman.²⁰

Examples of Complex Molecules. More than 20 potential energy surfaces have been generated using these fitting methods. These include reactive potentials of considerable complexity, of which CH_3CHO is one example that we briefly consider here. Other PESs describe complex molecules and clusters. Examples that we consider here are CH_5^+ , H_5^+ , and, very briefly, water clusters.

First consider CH₃CHO. Ohno and co-workers²⁷ have located 98 stationary points (minima and saddle points) on the PES. This number does not take into account the permutational symmetry of this system. The importance of describing this permutational invariance is illustrated by the radical-radical reaction $CH_3 + HCO \rightarrow H_2 + CH_2CO$. In principle, any of the H and C atoms of the reactants can appear in any combination of the H and C atoms of the products. Of course, energetics and other features of the PES together with the dynamics determine the actual outcomes; however, it is clear



Figure 1. Indicated stationary points of the CH₃CHO potential energy surface and indicated fragments.

that a completely unbiased approach requires that the PES describe all possible pathways. Using the approach described above, we have developed a global PES for this system,²⁸ which does describe the complexity implied by the number of stationary points as well as the permutational symmetry. (The order of the symmetric group here is 4!2! = 48.) This published PES and a newer unpublished one are fits to roughly 200 000 electronic energies. This is actually a modest number of energies considering that CH₃CHO has 15 vibrational degrees of freedom and 21 internuclear distances, which by either measure is a high dimensionality (and "rugged"). The PES does describe many reaction channels, and these are indicated in Figure 1, with an emphasis on the unimolecular dissociation of acetaldehyde to $CH_4 + CO$ and $CH_3 + HCO$. Interest in the these channels has focused on the "roaming" pathway to the molecular products, instead of the conventional pathway over the molecular transition state, labeled TS4 in the figure. $^{28-30}$

The next illustrations are to the notoriously floppy carbocation CH_5^+ and the slightly less floppy cation H_5^+ . Both cations have a symmetric group of order 5! = 120, and the PES should be invariant with respect to all of those permutations. The first full-dimensional, permutationally invariant PES for CH_5^+ was reported in 2003 and was the first application of the permutationally invariant bases described above.³¹ This PES was used in diffusion Monte Carlo (DMC) calculations of the zero-point state to rigorously characterize the degree of delocalization over the 120 minima.³² A newer PES based on fitting 36 000 CCSD(T)/aug-cc-pVTZ energies that also describes dissociation to $\text{CH}_3^+ + \text{H}_2$ was reported in 2006.³³ It should be noted that a PES for ${\rm CH_5}^+$ using the interpolation approach of Collins and co-workers and made permutationally invariant by replicating the force fields was developed and used in DMC calculations of the zero-point state.³⁴ This approach was also used to develop the first global PES for ${\rm H_5^+}^{.35}$ We have reported a newer, permutationally invariant PES for ${\rm H_5^+}^{.36}$

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The equilibrium structures and some relevant low-lying saddle points for CH_5^+ and H_5^+ are shown in Figure 2; these are important in understanding the fluxional nature of these molecules. As seen, CH_5^+ has two low-lying saddle points that separate the global minima. These are easily overcome in the zero-point state (which has an energy of 10917 cm⁻¹), which exhibits complete scrambling of the H atoms across the 120 permutationally equivalent global minima. For H_5^+ , the low-lying saddle point indicates that a better picture of this cation is as a proton bound to the H₂ dimer, and indeed, this is born out by rigorous calculations briefly described below.

A variety of dynamics calculations have been done with the latest CH_5^+ PES. In particular, in 2006, we and Anne McCoy reported predictions of the IR spectra of CH_5^{+37} and its deuterated isotopologues.^{38,39} The motivation for those predictions was to investigate spectroscopic signatures of "quantum localization" that is induced by D-substitution. That is, by breaking the mass symmetry, it was shown quantitatively that the H atom prefers to concentrate at the H₂ site of the global minimum, shown in Figure 2. A careful analysis of DMC calculations of the zero-point density of these and other isotopologues provided weights for the location of D and H atoms. These weights were used in anharmonic variational



Figure 2. Equilibrium and low-lying saddle point structures of CH_5^+ and H_5^+ .

calculations of the IR spectra for the various configurations and then scaled by the DMC weights to obtain final spectra. The opportunity to test these predictions against experiment has just been made possible by new IR action spectra of isotopologues of CH_5^{+} .⁴⁰ We show a comparison of a subset of the predicted and experimental spectra in Figure 3. The experimental spectra shown here were taken with digitizing software from Figure 2 of ref 40 and do not reproduce the small, high-frequency "noise" superimposed on the signal. As seen, there is very good agreement between theory and experiment, which validates the quantitative predictions of the degree of localization in these isotopologues, as well as the accuracy of the PES.

Turning now to H_5^+ , we and Duncan and co-workers recently reported a comparison of calculated and experimental dissociation spectra of H_5^+ and D_5^+ in which the motion of the central proton "shuttling" between the two H_2 groups was shown to have clear spectroscopic signatures.⁴¹ The calculated spectra extended to lower frequencies than experiment and predicted a very intense feature which has been ascribed to the fundamental of the delocalized proton stretch. The spectrum and the ground-state density of the proton stretch are shown in Figure 4. This intense spectral feature awaits experimental verification; however, we are confident that this delocalized shared proton mode is accurately predicted by the calculations.

Here, we briefly consider one of the most widely studied and important molecular complexes, water. The term "complex" here simply means an assembly of many H_2O monomers, which is of course what physical chemists mean by "water." The distinction between "water" and "water clusters" is mainly a matter of the number of monomers and, to some extent, the properties being studied. In any case, we simply wish to briefly indicate the way in which permutationally invariant fitting has made an impact in this area. A detailed account of this work has very recently appeared,⁶ and we refer the interested reader there for details. The key element in the approach that we have taken is the established rate of convergence of electronic energies of a number of water clusters in terms of an *N*-body (monomer) representation. Careful work by several groups 5,42,43 has established that the two- and three-body interactions account for roughly 80% and nearly 20% of the total energy, respectively, and thus, these interactions are the crucial building blocks of a general potential for large numbers of monomers. In view of this, we have developed full-dimensional ab-initio-based (and permutationally invariant) PESs for the water dimer/two-body⁴⁴⁻⁴⁶ and three-body interactions.⁴⁷ The family of two-body potentials, denoted HBBn, do accurately describe all of the low-lying stationary points, including of course the global minimum of the water dimer, as indicated in Figure 5. These stationary points describe the two-body H-bonded network, and it is gratifying that the HBB PESs describe them very accurately. That figure also contains the structures of the low-lying stationary points of the water trimer and the lowest-energy (prism) configuration of the important water hexamer, which has only recently been established as the lowest-energy conformation. The two- and three-body PES does correctly predict this result and numerous other important ones. (More details of tests and predictions of the PES are given in refs 6 and 47.) Evidently, both the short-range, that is, hydrogenbonded and repulsive interactions, and the long-range electrostatic interactions (including induction) are captured by the high-quality ab initio two- and three-body PESs of water. These PESs, especially the three-body one, are computationally demanding relative to model potentials. However, the



Figure 3. Low-resolution spectra of CH_5^+ and indicated isotopologues from predictions made in 2006 (refs 38 and 39) and recent experiments (ref 40).

rapid increase in available computer power and resources combined with massively parallel computing should make this not a serious obstacle to their use. In any case, they are much faster to evaluate than direct calls to an electronic structure package. Therefore, in short, a highly accurate, ab initio, and flexible PES for water complexes is basically in hand.

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We conclude this brief subsection by noting that a rapidly converging *N*-body representation should also apply to many hydrated solutes. For example, we have begun investigating



Figure 4. Low-resolution calculated spectra of ${\rm H_5}^+$ and the onedimensional potential and ground-state density of the protontransfer mode.

this for hydrated Cl⁻ using the two-body HBB PES and a previously published two-body flexible Cl⁻ H_2O PES.⁴⁸ Preliminary results are extremely encouraging for structures, energies, harmonic frequencies, and so forth in tests for Cl⁻(H_2O)₂ and Cl⁻(H_2O)₃.

Prognosis for Future Directions. The focus of this Perspective has been on the potential energy surface and the central role it plays in theoretical and computational chemistry. In many ways, it is the least "glorious" and yet most onerous component of a simulation of the nuclear dynamics. We have indicated the recent progress that has been made in the mathematical representation of high-dimensional, "rugged" PESs for complex molecules, including those with many reaction fragments and also those with low-energy isomerization pathways. Exploiting the permutational invariance of the PES is the key to the path-to-progress focused on here.

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Predictions about future directions are more fun than reliable of course. However, with that caveat in mind, here are some thoughts. First, we expect to see ab-initio-based, fully flexible two- and three-body potentials as the foundation of *N*-body interactions for many molecular complexes. For nonreactive complexes, for example, hydrated ions, the progress already discussed above makes this prediction a "safe" one. More problematic is representing potentials of many hundreds of atoms of biomolecules, where parts of the molecule are stiff and other parts are quite floppy and where the potential is highly rugged, that is, with many minima.



Figure 5. Low-lying stationary points of the water dimer and trimer and the structure of the water hexamer predicted from ab initio twoand three-body potential energy surfaces.

Perhaps a way forward is to emulate, at least in spirit, the highly successful QM/MM approach taken for electronic energies. The analogue for the potential energy surface would be to combine say a permutationally invariant ab-initio-based

PES with a molecular mechanics or similar empirical or semiempirical force field for a secondary set of atoms that are not strongly interacting with the primary region. An important step in that direction has been taken by Truhlar

and co-workers, using multiconfiguration molecular mechanics.⁴⁹ Another possible research area for the future is to somehow hybridize direct dynamics with ab-initio-based PESs.

Finally, with PESs obtained from first principles, that is, not empirical or semiempirical, the treatment of the nuclear dynamics (or statistical mechanics) will in many cases have to consider quantum effects in order to make meaningful comparisons with experiment. This is certainly appreciated already for water, and a number of groups are actively working in this area. This is a huge area for future method development as well as computational algorithms as quantum (many semiclassical) approaches require, in many cases, quite different computational approaches from those used in strictly classical treatments of the dynamics.

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ACKNOWLEDGMENT Financial support from the Office of Naval Research, the Department of Energy, and the National Science Foundation is gratefully acknowledged.

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