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1 **Internal Conversion and Intersystem Crossing in  $\alpha,\beta$ -Enones: A Combination of**  
2 **Electronic Structure Calculations and Dynamics Simulations**

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13 The ab initio electronic structure calculations and CASSCF-based nonadiabatic  
14 dynamics simulations have been used to investigate the internal conversion and  
15 intersystem crossing process of both *trans*-acrolein and 2-cyclopentenone in the gas  
16 phase. Our calculation results show that relaxation from the Franck-Condon region to  
17 a  $S_1$  minimum is ultrafast, and that the  $S_1$  state will dominantly undergo intersystem  
18 crossing to triplet states due to the existence of significant barriers to access the  $S_1/S_0$   
19 intersection points and of energetically close-lying triplet states. The  $S_1/T_2/T_1$   
20 three-state intersection is observed in our dynamics simulations to play an important  
21 role in population of the lowest triplet state, which is consistent with previous  
22 suggestions. Although the evolution into triplet states involves the similar path and  
23 gives rise to a similar triplet quantum yield for these two molecules, the intersystem  
24 crossing rate of 2-cyclopentenone is lower owing to the ring constraint that results in a  
25 smaller spin-orbital coupling in the singlet-triplet crossing region. The present  
26 theoretical study reproduces the experimental results and gives an explanation about  
27 the structural factors that rule the excited-state decay of some types of  $\alpha,\beta$ -enones.

28 **Introduction**

29  $\alpha,\beta$ -Enones are a class of molecules containing two direct linked functional

1 groups: ethylenic ( $\text{CH}_2=\text{CH}-$ ) and carbonyl ( $-\text{HC}=\text{O}$ ) group. Among the  $\alpha,\beta$ -enone  
2 derivatives, acrolein (AC) is the smallest acyclic  $\alpha,\beta$ -enones, which has been observed  
3 in interstellar space<sup>1</sup> and found in cigarette smoke and automobile exhaust.<sup>2</sup> Moreover,  
4 AC was known to exert different biologic effects through reactions with cellular  
5 macromolecules to give adducts, some of which are potentially involved in human  
6 cancers.<sup>3,4</sup> 2-Cyclopentenone (CPO) is a cyclic  $\alpha,\beta$ -enone molecule, and the organic  
7 photochemistry of cyclic enones has received considerable interest due to their  
8 applications in organic synthesis.<sup>5,6</sup>

9 Upon UV excitation,  $\alpha,\beta$ -enones showed a variety of photoinduced processes.  
10 Several works were devoted to the photodissociation of AC under irradiation with  
11 wavelengths in the range of 288–334 nm,<sup>7–9</sup> and three product channels, that is,  
12  $\text{CH}_3\text{CH} + \text{CO}$ ,  $\text{CH}_2\text{CH} + \text{CHO}$ , and  $\text{CH}_2\text{CHCO} + \text{H}$ , were identified as major. The  
13 ultraviolet photodissociation of AC upon excitation into the  $\text{S}_2$  state with wavelength  
14 193 nm has also been studied experimentally in some details<sup>10–18</sup> and six dissociation  
15 channels were observed. Fifteen photofragments upon photolysis of AC at 193 nm  
16 were even observed using photofragment translation spectroscopy and selective  
17 vacuum-ultraviolet photoionization.<sup>19</sup> Theoretically, Fang computed the  $\text{S}_0$ ,  $\text{S}_1$  and  $\text{T}_1$   
18 potential energy surfaces (PESs) of AC for the gaseous photodissociation.<sup>20</sup> Reguero  
19 *et al.*<sup>21</sup> performed computational investigations of the photophysics of *trans*-acrolein  
20 following photoexcitation, and showed that the  $\text{S}_1$  state decays via a series of crossing  
21 points to the  $\text{T}_1(\pi\pi^*)$  state. In the solution-phase environment, [1,3] H-migration was  
22 observed to be the major channel with a product yield of 0.78 and was suggested to  
23 take place on the  $\text{T}_1(\pi\pi^*)$  state of AC.<sup>22</sup> For CPO and related cyclic  $\alpha,\beta$ -enones, their  
24 typical photo-induced reactions include cycloaddition, hydrogen abstraction, and  
25 rearrangements, and have been investigated in many experiments<sup>23–29</sup> and theoretical  
26 calculations.<sup>30–33</sup> These works provided important insights into the multi-channel  
27 photodissociation and photoisomerization mechanisms of  $\alpha,\beta$ -enones, and emphasized  
28 the significant role played by the internal conversion (IC) and intersystem crossing  
29 (ISC) in these reactions. Small yields of fluorescence and phosphorescence of

1  $\alpha,\beta$ -enones have also been reported and explained in terms of the rapid IC to ground  
2 state and/or ISC to triplet states that lies close to the first excited singlet state.<sup>34</sup>

3 The intramolecular electronic relaxation processes in some  $\alpha,\beta$ -enones have been  
4 investigated using time-resolved and cavity ringdown spectroscopy.<sup>17,35–38</sup> These  
5 experiments indicated that ISC is able to efficiently compete with IC in most of the  
6 simple enones upon optical excitation to the  $S_2$  state. Furthermore, ISC is the only  
7 observed relaxation pathway upon direct excitation to the  $S_1$  state.<sup>20,29</sup> Recently,  
8 Schalk et al.<sup>39</sup> investigated the nonradiative relaxation pathways of CPO and its  
9 methylated derivatives, as well as the open chain molecule MVK, by means of  
10 time-resolved photoelectron spectroscopy, and found that the molecule subsequently  
11 decays to the triplet manifold and the singlet ground state, with quantum yields of  
12 0.35 and 0.65, respectively, upon excitation to the  $S_2$  state.

13 Previous static electronic structure calculations, including optimizations of  
14 minima, transition states, and conical intersections (CIs), are very helpful for  
15 understanding the mechanism of photochemical reactions of enone.<sup>20,21</sup> In fact, the  
16 photophysics and photochemistry of  $\alpha,\beta$ -enones involve a complicated process in  
17 which many electronic states interact and overlap with one another. Thus it would be  
18 beneficial to investigate these interactions with a combination of electronic structure  
19 calculations and dynamics simulations, providing additional insights to the  
20 complicated excited-state decay dynamics. In this study, we took AC and CPO as  
21 representative model systems, and attempted to elucidate the atomic details, time  
22 scales, and factors that affect the rate and efficiency of both IC and ISC upon  
23 excitation to the  $S_1$  state by a combination of advanced electronic structure  
24 calculations and ab initio based dynamics simulations.

25 The present calculations show that relaxation from the Franck–Condon (FC)  
26 region to a  $S_1$  minimum is ultrafast, and that the  $S_1/T_2/T_1$  three-state intersection plays  
27 an important role in population of the  $T_1$  state. Although the evolution into triplet  
28 states involves the similar path and gives rise to a similar triplet quantum yield (0.8)  
29 for these two molecules, the intersystem crossing rate of CPO is lower owing to the

1 ring constraint that results in a smaller spin-orbital coupling (SOC) in the  
2 singlet-triplet crossing region. The present theoretical study reproduces the  
3 experimental results and gives an explanation about the structural factors that rule the  
4 excited-state decay of some types of  $\alpha,\beta$ -enones.

### 5 **Computational Details**

6 **Electronic Structure Calculations.** All stationary geometries on the  $S_0$ ,  $S_1$ ,  $T_1$  and  $T_2$   
7 state PESs were fully optimized with the complete active space self-consistent field  
8 (CASSCF) energy gradient method. Points of surface crossing among different  
9 electronic states were determined by the state-averaged (SA) CASSCF  
10 calculations.<sup>40,41</sup> For the optimized equilibrium and transition state geometries, the  
11 nature of stationary points was confirmed by an analytical frequency computation.  
12 The optimization calculations described above were carried out with the Gaussian 09  
13 software package,<sup>42</sup> and the Molpro 2010.1 software package<sup>43</sup> was applied in  
14 optimization of the singlet/triplet crossing points and dynamics simulation. The SOC  
15 constants were computed at the optimized singlet/triplet crossing points using the  
16 atomic mean-field approximation (AMFI)<sup>44,45</sup> as implemented in the Molpro 2010.1  
17 software package.

18 To describe equilibrium structures of both AC and CPO in low-lying electronic  
19 states, one needs the  $\pi$  and  $\pi^*$  orbitals of both C=C and C=O groups and a  
20 nonbonding molecular orbital on the oxygen atom, that is, 6 electrons in 5 orbitals,  
21 referred to as CAS(6,5) hereafter. For CPO, additional  $\sigma$  and  $\sigma^*$  orbitals between the  
22 carbonyl carbon and an  $sp^3$ -ring carbon atom were included in the active space,  
23 referred to as CAS(8,7) hereafter.

24 It is well known that the relative energies are usually overestimated by the  
25 CASSCF calculation, and it is necessary to take a correction to energies by the  
26 inclusion of dynamic correlation. The multiconfigurational second-order perturbation  
27 theory (CASPT2) approach<sup>46-48</sup> is a very efficient algorithm for treating dynamic  
28 correlation. To refine the relative energies of the CASSCF optimized structures,  
29 single-point energies were calculated using the CASPT2 method as implemented in

1 MOLCAS 8.0 software package.<sup>49</sup> To achieve a balanced description of the states in  
 2 the CASPT2 calculation, the multi-state (MS) CASPT2 method<sup>50</sup> was applied when  
 3 more than one state was considered. Also, the imaginary shift technique (0.2 a.u.) was  
 4 employed to avoid intruder state issues in CASPT2 calculations.<sup>51</sup> All calculations  
 5 were performed with 6-31G\* basis set. Furthermore, based on the CASSCF/6-31G\*  
 6 optimized structures, CASPT2 single-point calculations with ANO basis set have also  
 7 been conducted. As shown in Tables S1 and S2 of Supporting Information, the  
 8 relative energies are not sensitive to the basis sets too much.

9 **Details of dynamics simulation.** The nonadiabatics dynamics simulations were  
 10 carried out with an in-house ab initio molecular dynamics code,<sup>52,53</sup> which was  
 11 designed to interface to the Gaussian 09 and Molpro 2010.1 software packages. In the  
 12 dynamics simulations, the nuclear trajectories evolve always on a single adiabatic  
 13 surface, and the nonadiabatic events were taken into account by means of Tully's  
 14 fewest-switches surface hopping (FSSH) algorithm.<sup>54</sup> When the spin-orbital (SO)  
 15 interactions between the singlet and triplet states should also be taken into account,  
 16 the non-relativistic electronic Hamiltonian can be defined as

$$17 \quad \hat{H}^{el}(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) = \hat{H}^{SF}(\mathbf{r}, \mathbf{R}(t)) + \hat{H}^{so}(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)), \quad (1)$$

18 where  $\hat{H}^{SF}$  is the spin-free part of Hamiltonian,  $\hat{H}^{so}$  is the spin-orbital interaction  
 19 term, and  $\mathbf{r}$  and  $\mathbf{s}$  correspond to spatial and spin coordinates of electrons. The  
 20 time-dependent Schrödinger equation now can be written down as

$$21 \quad i\hbar \frac{\partial \Psi(\mathbf{r}, \mathbf{s}, \mathbf{R}(t), t)}{\partial t} = \left( \hat{H}^{SF}(\mathbf{r}, \mathbf{R}(t)) + \hat{H}^{so}(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) \right) \Psi(\mathbf{r}, \mathbf{s}, \mathbf{R}(t), t). \quad (2)$$

22 The time-dependent electronic wave function can be expressed in terms of the  
 23 eigenvectors of  $\hat{H}^{SF}$ ,

$$24 \quad \Psi(\mathbf{r}, \mathbf{s}, \mathbf{R}(t), t) = \sum_k c_k(t) \phi_k(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)). \quad (3)$$

25 After inserting Eq. (3) into Eq. (2), multiplying by  $\phi_k^*(\mathbf{r}, \mathbf{s}, \mathbf{R}(t))$  from the  
 26 left-hand side, and integrating over electronic coordinates, we obtain the system of  
 27 coupled equation for the time evolution of the expansion coefficients of the electronic  
 28 basis function

$$i\hbar \frac{\partial c_k(t)}{\partial t} = c_k(t)V_k(\mathbf{R}(t)) + \sum_j c_j(t)(H_{kj}^{SO}(\mathbf{R}(t)) - i\hbar\dot{\mathbf{R}}(t) \cdot \mathbf{d}_{kj}(\mathbf{R}(t))) \quad (4)$$

where  $H_{kj}^{SO}(\mathbf{R}(t)) = \langle \varphi_k(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) | \hat{H}^{SO} | \varphi_j(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) \rangle$  is the SOC matrix element between electronic states  $k$  and  $j$  at nuclear coordinates  $\mathbf{R}(t)$ ,  $\mathbf{d}_{kj}(\mathbf{R}(t)) = \langle \varphi_k(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) | \nabla_{\mathbf{R}} \varphi_j(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) \rangle$  is the nonadiabatic coupling vectors, and  $V_k(\mathbf{R}(t)) = \langle \varphi_k(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) | \hat{H}^{SF} | \varphi_k(\mathbf{r}, \mathbf{s}, \mathbf{R}(t)) \rangle$ . It should be noted that,  $\mathbf{d}_{kj}(\mathbf{R}(t))$  is zero when state  $k$  is the same as state  $j$  or both states are of different spin multiplicity.

Then, the hopping probability from state  $k$  to state  $j$  can be written down as

$$P_{k \rightarrow j}(t) = 2 \int_t^{t+\Delta t} d\tau \frac{Im[c_j(\tau)c_k^*(\tau)H_{kj}^{SO}(\tau)/\frac{\hbar}{2\pi}] - Re[c_j(\tau)c_k^*(\tau)\dot{\mathbf{R}} \cdot \mathbf{d}_{jk}(\tau)]}{c_k(\tau)c_k^*(\tau)}. \quad (5)$$

It is noted that, the original Tully's FSSH has only been formulated to deal with the IC process, but Eq. (5) can be used to take into account both IC and ISC processes simultaneously in a dynamic simulation calculation. That is, in Eq. (5) an additional term,  $Im[c_j(\tau)c_k^*(\tau)H_{kj}^{SO}(\tau)/\frac{\hbar}{2\pi}]$ , was introduced to mediate the hopping between electronic states of different spin multiplicity.

In fact, the SO interaction has previously been taken into account in many trajectory calculations, including classical and quantum wavepacket simulations, of multi-state reaction and photodissociation dynamics, but most of which are based on the use of pre-computed PESs and some types of SOC approximations.<sup>55-65</sup> Combined with Tully's FSSH, Granucci *et al.*<sup>66-68</sup> provided two algorithms in both spin-diabatic and spin-adiabatic representations and investigated their merits and limitations for model systems. Cui *et al.*<sup>69</sup> also present a generalized trajectory surface-hopping method for simulating both IC and ISC processes. Richter *et al.*<sup>70-72</sup> formulated a general FSSH method which resort to a unitary transformation between diabatic and adiabatic representations to enable the treatment of SOC and other types of couplings.

Eq. (5) is the central formula used in our trajectory calculations. As stressed by Granucci *et al.*,<sup>66</sup> in the spin-diabatic approach the total intermultiplet transition probability between two states of different spin should be rotationally invariant, and it



1 can be achieved by assuming that each spin multiplet can be considered as a single  
2 electronic state. As a matter of fact, this approximation has commonly been used in  
3 previous studies of SOC-mediated processes.<sup>55,57,60,62,64,65</sup> This is a good  
4 approximation for organic molecule, and it simplifies our ISC dynamics treatment. In  
5 present implement, we adopt this approximation and determine an effective SOC  
6 value as the root mean squared coupling constant as the strength of SO interaction  
7 between the two interacting multiplets.

8 The nuclear trajectories were investigated using the velocity-Verlet algorithm  
9 with the time step of 0.5 fs. At each new generated structure, the energies, gradients,  
10 and nonadiabatic coupling vectors  $\mathbf{d}_{kj}$ , as well as SOC constants, were computed at  
11 the state-averaged CASSCF level. For propagation of the electronic wave function,  
12 the fourth-order Runge-Kutta method was used with the integration step of 0.01 fs,  
13 where the energies, velocities, and nonadiabatic coupling vectors, as well as SOC  
14 constants, were linearly interpolated for the intermediate steps. Finally, the  
15 nonadiabatic transition probability between different electronic states can be  
16 computed. In the case of hopping, the nuclear velocities were adjusted in the direction  
17 of the gradient difference vectors to conserve the total energy of the system.

18 The initial geometries and velocities for the photodynamics simulations of these  
19 two molecules in the gas phase were generated by a Wigner distribution for the  
20 quantum harmonic oscillator in the specified ground vibrational state at the ground  
21 electronic states. The maximum simulation time of each trajectory was initially set to  
22 10 ps for AC, and 20 ps for CPO. Due to the omitting of the possible isomerization  
23 events on the  $S_0$  or  $T_1$  state, we determined to terminate a trajectory calculation if the  
24 trajectory passes the intersection/crossing point and resides in the  $S_0$  or  $T_1$  state for  
25 about 100 fs. The trajectory calculations of both AC and CPO were performed at the  
26 SA2-CAS(6,5)/6-31G\* and SA2-CAS(8,7)/6-31G\* level, respectively.

## 27 **Results and Discussions**

28 **Equilibrium structures and their relative energies.** The optimized equilibrium  
29 geometries of AC and CPO in the  $S_0$ ,  $S_1$ ,  $T_1$  and  $T_2$  state, and their relative energies



1 were shown in Figures 1 and 2, respectively. The Cartesian coordinates and relative  
2 energies of these optimized structures were given in parts of S1, S2, and Tables S1  
3 and S2 of Supporting Information.

4 As can be seen in Figure 1, for the minimum of AC in the  $S_0$  state, referred to as  
5 AC\_ $S_0$  hereafter, the optimized bond-lengths of the C=O, C–C, and C=C bond agree  
6 well with the experimental values.<sup>73</sup> For CPO, the CAS(8,7) calculated ground-state  
7 structure, referred to as CPO\_ $S_0$  in Figure 2, gives rise to rotational constants of  $\bar{A}$  =  
8 7.431 GHz,  $\bar{B}$  =3.582 GHz, and  $\bar{C}$  =2.490 GHz, which may be compared to the  
9 experimental microwave values of 7.410, 3.586, and 2.493 GHz.<sup>74</sup> Both AC and CPO  
10 in the ground state have a central C–C bond of higher bond order than a single bond,  
11 due to conjugative effects between the C=C and C=O group. Similar to the optimized  
12  $S_0$  minima, the excited state minima also have a  $C_s$  symmetry with the molecular  
13 plane as the mirror plane, but the C2–C3 bond shrinks further compared to the ground  
14 state. The shrinking of the C2–C3 bond on excited states results in a higher barrier for  
15 the trans-cis isomerization around the C2–C3 bond, which implies that the trans-cis  
16 isomerization was not easy to occur on the excited states.<sup>21,34</sup> The ab initio  
17 calculations also showed that the lowest  $^3\pi\pi^*$  state minimum of AC has a diradical  
18 electronic structure, and that the terminal CH<sub>2</sub> group twists 90° out of the molecular  
19 plane, resulting in the  $T_1(\pi\pi^*)$  state is ca. 10 kcal/mol lower than the  $T_1(n\pi^*)$  state  
20 minimum. Whereas, this type of conformational change is not so large in CPO due to  
21 the geometrical constraints of the ring, thus the two triplet states are seen to be nearly  
22 isoenergetic, which is consistent with the spectroscopic observations.<sup>25,28</sup>

23 The computed  $S_0 \rightarrow S_1(n\pi^*)$  vertical excitation energy of AC is 91.3 kcal/mol  
24 by the CASPT2//CAS(6,5)/6-31G\* calculation, which reproduces the measured value  
25 of 331.5 nm (86.3 kcal/mol).<sup>34</sup> For CPO, the  $S_0 \rightarrow S_1(n\pi^*)$  vertical excitation energy  
26 was computed to be 89.5 kcal/mol at the CASPT2//CAS(8,7)/6-31G\* level, which is  
27 in reasonable agreement with the experimental observation.<sup>38,39</sup> The  $S_1$  minimum of  
28 AC, referred to as AC\_ $S_1$  hereafter, was predicted to have a relative energy of 76.0  
29 kcal/mol by the CASPT2//CAS(6,5)/6-31G\* calculation compared to AC\_ $S_0$ , and for

1 CPO the relative energy of the  $S_1$  minimum (CPO\_ $S_1$ ) is 78.5 kcal/mol at the  
2 CASPT2//CAS(8,7)/6-31G\* level.

3 **The  $S_1$  State Decay of AC.** The optimized geometries of the minimum energy  
4 conical intersection (MECI) points connecting  $S_1$  with  $S_0$ , and  $T_2$  with  $T_1$ , and the  
5 minimum energy crossing points (MECP) connecting  $S_1$  with  $T_2$ , and  $S_0$  with  $T_1$ , were  
6 displayed in Figure 1(a), and the corresponding schematic potential energy profile  
7 was plotted in Figure 1(b). Also, the Cartesian coordinates and energies of these  
8 optimized structures were given in parts of S1 and Table S1 of Supporting  
9 Information.

10 After initial relaxation from the FC region to a  $S_1$  minimum, the molecule may  
11 decay through either IC to the electronic ground state or ISC to the triplet  
12 manifold.<sup>20,21</sup> The  $S_1$  state has a conical intersection with the  $S_0$  state at a geometry  
13 with 90°-twisted ethylenic C=C coordinate, referred to as AC\_ $S_1S_0$  hereafter. This  
14 MECI was located about 20.0 kcal/mol above AC\_ $S_1$ . A similar barrier of 17.3  
15 kcal/mol was reported for this path.<sup>21</sup> For the triplet decay path of the  $S_1$  state of AC, a  
16 MECP point structure between  $S_1$  and  $T_2$ , AC\_ $S_1T_2$ , was optimized. The gradient  
17 difference vectors of this crossing point shows that the  $S_1 \rightarrow T_2$  transition mainly  
18 involves shrinking of the O1-C2 and C2-C3 bond, and stretching out of the C3-C4  
19 bond with respect to the  $S_1$  minimum. By going over AC\_ $S_1T_2$ , the system can  
20 access a MECI between  $T_2$  and  $T_1$ , AC\_ $T_2T_1$ , which is also planar and provides a fast  
21 radiationless decay channel from  $T_2$  to  $T_1$ . It has been noted that the motion from  
22  $S_1/T_2$  to  $T_2/T_1$  occurs via an in-plane deformation, which essentially involves a bond  
23 order inversion with respect to the ground-state structure.<sup>21</sup>

24 The  $S_1/T_2$  crossing is rather close to the  $S_1$  minimum (~1.0 kcal/mol), thus the  
25 facile intersystem crossing at the  $S_1/T_2$  crossing is usually assumed to be ultrafast and  
26 occurs very efficiently.<sup>75</sup> However, the efficiency of the ISC process is determined by  
27 not only the small energy gap separating the singlet and triplet states, but also the size  
28 of SOC and dynamic factors. Therefore, 100 trajectories for dynamic simulation of

1 the excited state decay of AC have been performed from the FC region of the  $S_1$  state,  
2 and 18 trajectories failed due to CASSCF convergence problem.

3 After close examination to time evolution of the bond parameters (see Figure S1 )  
4 and potential energies of the electronic states, it was found that all trajectories relax  
5 from the  $S_1$  FC region to a structural region of  $S_1$  minimum within  $\sim 1000$  fs, and then  
6 keep oscillation for some periods before crossing the  $S_1/T_2$  or  $S_1/S_0$  point. During this  
7 period, both trans-cis isomerization around the central C2–C3 bond (see  
8 O1–C2–C3–C4 dihedral angle of Figure S1) and rotation of the terminal CH2 group  
9 around the C3–C4 bond were observed (see C2–C3–C4–H8 dihedral angle of Figure  
10 S1). After that time, 62 trajectories were observed to undergo a  $S_1 \rightarrow T_2$  hop, and 3  
11 trajectories for a  $S_1 \rightarrow T_1$  hop. The remaining 17 trajectories decay by a  $S_1 \rightarrow S_0$  hop.  
12 Below, we will describe these three typical trajectories in some details.

13 We first address an example of a  $S_1 \rightarrow S_0$  hop. Figure 3 shows the time evolution  
14 of the potential energies, SOC constants, nonadiabatic couplings, and several key  
15 geometric parameters in a representative trajectory. It is seen that the  $S_1 \rightarrow S_0$  hopping  
16 takes place at 1758.5 fs at which there is a nonadiabatic coupling value of  $-38.1 \text{ ps}^{-1}$   
17 and an energy gap of 12.8 kcal/mol. After returning to the  $S_0$  state, the bond-lengths  
18 of the O1–C2 and C2–C3 bond quickly relax to typical ground-state values around  
19 1.21 and 1.34 Å, respectively. In the  $S_0$  state, the hot *trans*-acrolein can also transform  
20 into the *cis*- isomer (see O1–C2–C3–C4 dihedral angle). Closer examination of time  
21 evolution of the C2–C3–C4–H8 and H7–C3–C4–H8 dihedral angles (see Figure S1)  
22 and potential energies for all trajectory of this type shows that a hop from  $S_1$  to  $S_0$  is  
23 triggered by a twist-pyramidalization motion, which is consistent with the proposition  
24 of Lee et al.<sup>36</sup> They theoretically investigated the  $S_1$  relaxation of some methyl  
25 substituted AC in terms of the energetic and topographical features of the  $S_1/S_0$   
26 intersection points, and proposed that the vibrational dynamics occurring near the  
27  $S_1/S_0$  CI is closely associated with the surface crossing probabilities and that torsion  
28 about the terminal CHX group is a important factor for sufficient nonadiabatic  
29 transition from  $S_1$  to  $S_0$ , although the torsion is not one of the two coordinates that

1 lifts the degeneracy in first order at the MECI.

2 The second example shows a  $S_1 \rightarrow T_2$  hop. As seen from our trajectory  
3 calculations, most trajectories (62 trajectories) undergo ISC to reach the triplet state  
4 potential energy surfaces. In the trajectory depicted in Figure 4, a  $S_1 \rightarrow T_2$  hop takes  
5 place at 1930.0 fs when the SOC constant is computed to be  $43.6 \text{ cm}^{-1}$ . After another  
6 5.5 fs, there is a  $T_2 \rightarrow T_1$  hop triggered by a large nonadiabatic coupling of  $239.5 \text{ ps}^{-1}$ .  
7 During this small time interval, the three involved states are almost degenerate in  
8 energy, which facilitates the observed sequential nonadiabatic transitions. After  
9 another  $\sim 80.0$  fs (i.e., at 2010.0 fs), AC in the  $T_1$  state starts to twist around the  
10 H6–C3–C4–H8 dihedral angle, accompanied by a shortening of the O1–C2 bond and  
11 an elongation of the C2–C3 and C3–C4 bonds. These structural changes reflect the  
12 evolution into the  $T_1$  state minimum of AC.

13 The third typical example (see Figure 5) concerns a direct  $S_1 \rightarrow T_1$  hop. This type  
14 of trajectory is only found rarely (in 3 trajectories). The  $S_1 \rightarrow T_1$  hop takes place at  
15 1822.0 fs when there is a large  $S_1$ - $T_1$  SOC of  $44.6 \text{ cm}^{-1}$  and a small  $S_1$ - $T_1$  energy gap  
16 of 1.1 kcal/mol. In the trajectory AC does not access the  $T_2$  state, implying that the  $T_2$   
17 state has no relevance to the dynamics.

18 **The  $S_1$  State Decay of CPO.** A MECP between  $S_1$  and  $T_2$  of CPO, CPO\_ $S_1T_2$ ,  
19 was optimized, in which the O1–C2 bond-length decreased by 0.03 Å and the C3–C4  
20 bond-length is increased by  $\sim 0.07$  Å compared to CPO\_ $S_1$ . Also, a pyramidalization  
21 of C6 atom occurs. A planar MECI between  $T_2$  and  $T_1$  of CPO, CPO\_ $T_2T_1$ , was  
22 optimized. Examination to structural parameters of the optimized  $S_1/T_2$  and  $T_2/T_1$   
23 geometries showed that CPO\_ $S_1T_2$  is very similar to CPO\_ $T_2T_1$  in structure, and both  
24 have nearly the same energy.

25 Along the  $\alpha$ -cleavage of the C2–C6 bond, a transition state, referred to as TS\_ $S_1$   
26 hereafter, was optimized and confirmed by a frequency calculation. Taking TS\_ $S_1$  as  
27 an initial guess, a conical intersection between  $S_1$  and  $S_0$ , CPO\_ $S_1S_0$ , was optimized  
28 by the SA2-CAS(8,7)/6-31G\* calculation. The C2–C6 bond-length increases from  
29 1.964 Å in TS\_ $S_1$  to 2.665 Å in CPO\_ $S_1S_0$ . The CASPT2//CAS(8,7)/6-31G\*

1 calculations predicted that, the barrier to access TS<sub>S<sub>1</sub></sub> is 12.7 kcal/mol, while only  
2 ~2.0 kcal/mol for the S<sub>1</sub>/T<sub>2</sub> crossing.

3 A S<sub>1</sub>/S<sub>0</sub> conical intersection was optimized and found to be associated with the  
4 C2–C3 bond cleavage. The barrier to access this CI is about 40.0 kcal/mol compared  
5 to CPO\_S<sub>1</sub>. All attempts to optimize a S<sub>1</sub>/S<sub>0</sub> CI which is similar to the twisted one of  
6 AC at the CAS(8,7)/6-31G\* level failed, but it was believed that when the rigidity of  
7 the system is increased, more energy is required to reach the twisted S<sub>1</sub>/S<sub>0</sub> intersection.  
8 A barrier of 28.4 kcal/mol (1.23 eV) for the twist-pyramidalization S<sub>1</sub>/S<sub>0</sub> MECI of  
9 CPO was estimated in previous study.<sup>39</sup>

10 The optimized MECI and MECP geometries for CPO and corresponding  
11 schematic potential energy profile were shown in Figure 2, and the Cartesian  
12 coordinates and energies of these optimized structures were given in parts of S2 and  
13 Table S2 of Supporting Information.

14 One hundred trajectories were initially calculated starting from the FC region of  
15 the S<sub>1</sub> state of CPO in the gas phase, and 13 trajectories failed due to CASSCF  
16 convergence problem. Figure S2 shows the time evolution of some key geometrical  
17 parameters for these remaining 87 trajectories. Upon analyzing time evolution of the  
18 bond parameters and energies of the excited states, it was found that the initial  
19 relaxation of CPO is very similar to AC. That is, upon photo-excitation of CPO into  
20 the S<sub>1</sub> state, the molecules make their way toward the S<sub>1</sub> minimum, and this relaxation  
21 process is ultrafast and mainly involves stretching of the O1–C2 and C3–C4 bond and  
22 shrinking of the C2–C3 bond. After initial relaxation, all trajectories keep oscillation  
23 in a structural region of S<sub>1</sub> minimum for a long time before crossing the S<sub>1</sub>/T<sub>2</sub> or S<sub>1</sub>/S<sub>0</sub>  
24 point. Summarily, for CPO, three relaxation pathways that lie below the excitation  
25 energy were observed: the familiar twist-pyramidalization at the C3–C4 double bond  
26 in the CPO ring (5 trajectories), α-cleavage of the C2–C6 bond (11 trajectories), and  
27 ISC to T<sub>2</sub> (66 trajectories) or T<sub>1</sub> (5 trajectories) from S<sub>1</sub>. Below, we will describe these  
28 four typical trajectories.

1 We first address a typical example of a  $S_1 \rightarrow S_0$  hop. For decay through the  
2 twisted  $S_1/S_0$  intersection, this type of trajectory is rare (5 trajectories). Figure 6 shows  
3 the time evolution of the potential energies, SOC constants, nonadiabatic couplings,  
4 and several key geometric parameters in a representative trajectory. It is seen that a  $S_1$   
5  $\rightarrow S_0$  hop takes place at 1930.0 fs at which there is a nonadiabatic coupling value of  
6  $-15.1 \text{ ps}^{-1}$  and a energy gap of 36.6 kcal/mol. After returning to the  $S_0$  state, the  
7 bond-lengths of the O1–C2 and C3–C4 bond quickly relax to typical ground-state  
8 values around 1.22 and 1.34 Å, respectively, while the C2–C3 bond-length returns to  
9 1.48 Å. Closer examination of time evolution of the C2–C3–C4–H8 dihedral angle  
10 for the representative trajectory shows that, this dihedral angle reaches  $\sim 108^\circ$  at 1400  
11 fs and then oscillates around  $150^\circ$  until a  $S_1 \rightarrow S_0$  hop occurs at a geometry in which  
12 the C2–C3–C4–H8 dihedral angle is  $157.1^\circ$ . Once hopping to the ground state, large  
13 oscillation of the O1–C2–C3–C4 and H7–C3–C4–H8 dihedral angles was also  
14 observed. Close examination of the energy gap between  $S_1$  and  $S_0$  at a hop for all of  
15 this type of trajectory shows that, the  $S_1$ - $S_0$  energy gap varies from 23 to 42 kcal/mol,  
16 and mainly involves out-of-plane of the C2–C3–C4–H8 dihedral angle.

17 Secondly, we address the other typical example of a  $S_1 \rightarrow S_0$  hop. In CPO, the  
18 large amplitude rotation distortion of the terminal CH<sub>2</sub> group is hindered, thus IC to  
19 ground state through the twisted  $S_1/S_0$  intersection is unfavorable. Alternatively,  
20 returning to ground state through  $\alpha$ -cleavage of the C2–C6 bond is preferable due to a  
21 lower barrier (12.7 kcal/mol) to access this path. As seen from Figure 7, a  $S_1 \rightarrow S_0$   
22 hop takes place at 4733.5 fs at which there is a large nonadiabatic coupling value of  
23  $-517.1 \text{ ps}^{-1}$  and a small energy gap of 1.1 kcal/mol. After returning to the  $S_0$  state, the  
24 C2–C6 bond-length quickly increases, while the C4–C6 bond-length quickly  
25 decreases, and they then keep oscillation around 3.8 and 1.45 Å, respectively. Closer  
26 examination of time evolution of the geometrical parameters shows that the trajectory  
27 traps in the ground state minimum of cyclopropylketenes, referred to as CK\_ $S_0$  in  
28 Figure 2. In fact, this type of trajectory can also result in returning to the reactant in  
29 the ground state when passing the  $S_1/S_0$  CI.

1 The third example shows the  $S_1 \rightarrow T_2$  hop. In the trajectory depicted in Figure 8,  
2 a  $S_1 \rightarrow T_2$  hop takes place after 5584.5 fs, when the SOC constant is computed to be  
3  $25.6 \text{ cm}^{-1}$ . After another 11 fs, there is a  $T_2 \rightarrow T_1$  IC triggered by a nonadiabatic  
4 coupling of  $-144.4 \text{ ps}^{-1}$ . During this small time interval, the three involved states are  
5 almost degenerate in energy, which facilitates the observed sequential nonadiabatic  
6 transitions. After another about 700 fs (i.e. at 6295 fs), CPO in the  $T_1$  state starts to  
7 twist around the C2–C3–C4–H8 and H7–C3–C4–H8 dihedral angles, accompanied  
8 by a shortening of the O1–C2 bond and an elongation of the C2–C3 and C3–C4  
9 bonds. In fact, closer examination of time evolution of the geometrical parameters  
10 shows that hopping to  $T_2$  involves stretching of the C3–C4 bond and shrinking of the  
11 O1–C2 bond, which is consistent with the results of electronic structure calculations.

12 Figure S3 shows distribution of the energy difference and time interval for those  
13 trajectories which undergo a  $S_1 \rightarrow T_2$  hop. As seen from Figure S3, these two  
14 molecules have similar distribution. That is, the energy difference is below  $\sim 10.0$   
15 kcal/mol, and the time interval is central at about 16 fs for both AC and CPO.  
16 Checking the character of the  $S_1$ ,  $T_1$ , and  $T_2$  states shows that the  $S_1/T_2$  crossing  
17 occurs between the  $^1n\pi^*$  and  $^3\pi\pi^*$  state, which is consistent with El-Sayed's rules.<sup>76</sup>  
18 The  $S_1/T_2/T_1$  three-state intersection regions have been identified in many carbonyl  
19 compounds through various electronic structure calculations.<sup>77–81</sup> Here, we directly  
20 see their role in the excited-state nonadiabatic dynamics, and most trajectories  
21 undergo ISC to reach the triplet state PESs.

22 The fourth example (see Figure 9) concerns a direct  $S_1 \rightarrow T_1$  path. This type of  
23 trajectory is only found rarely (in 5 trajectories). The  $S_1 \rightarrow T_1$  hop takes place at  
24 3423.0 fs when there is a large  $S_1$ - $T_1$  SOC of  $37.9 \text{ cm}^{-1}$  and a small  $S_1$ - $T_1$  energy gap  
25 of 4.8 kcal/mol.

26 **Time-dependent state populations.** The excited state population is defined as  
27 the fraction of trajectories running on the specified excited state PES at a given time.  
28 Figure 10 shows the time-dependent populations of the  $S_0$ ,  $S_1$ ,  $T_1$  and  $T_2$  state of both  
29 AC and CPO. The populations show a latency time  $\tau_0$  up to which the  $S_1$  state



1 population remains a constant value of 1. The latency time is the time needed for one  
2 trajectory to reach the crossing region and perform the transition to the ground or  
3 triplet states. As can be seen in Figure 10(a), the  $S_1$  population exponentially  
4 decreases from 1 to 0.10 at  $\sim 3000$  fs. The  $S_0$  population rises notably faster than the  
5  $T_1$  population before 1200 fs, and after that time the  $T_1$  population increases quickly  
6 to 0.6 at about 3000 fs. In CPO (see Figure 10(b)), after the latency time the  $S_1$   
7 population exponentially decreases and reaches 0.10 at 10000 fs. The  $S_0$  population  
8 rises notably faster than the  $T_1$  population before 1500 fs, and after that time the  $T_1$   
9 population increases quickly and reaches 0.6 at 9000 fs. Similar to AC, the  $T_2$   
10 population of CPO remains negligible in the whole simulation time.

11 To obtain the  $S_1$  lifetime, the range from  $\tau_0$  to 8000 or 18000 fs of the decay  
12 curves in Figure 10 has been fitted, and the fitting details and results were given in the  
13 part of S3 and Figure S4 of Supporting Information. For AC, the latency time is 163.5  
14 fs and the delay constant  $\tau_1$  is 2156.2 fs, but they become to be 726.5 and 5244.9 fs  
15 for CPO. The computed excited state lifetime is composed of both the latency time  
16 and the decay constant, thus the  $S_1$  lifetimes are respectively  $\sim 2.3$  and  $\sim 6.0$  ps for AC  
17 and CPO. The ISC time was also estimated (see Figure S5) to be respectively  $\sim 2.3$  ps  
18 for AC and  $\sim 6.4$  ps for CPO. Evidently, structural rigid enones, such as CPO in this  
19 study, have longer  $S_1$  lifetime and slower ISC rate compared to that of AC and  
20 analogous flexible enones, which is consistent with the experimental observations. A  
21 lower bound for the  $S_1$  lifetime of AC was determined from linewidth measurements  
22 to be 1.8–2.1 ps,<sup>35</sup> and a time constant of 3.5 ps for ISC of the  $S_1$  state of CPO was  
23 estimated from the time-resolved photoelectron spectrum.<sup>39</sup>

#### 24 **Distribution of geometrical parameters and SOC at the hopping geometries.**

25 Figure 11 shows the distribution of the selected bond-lengths and SOC constants of  
26 the geometries at which a hop from  $S_1$  to  $T_2$  or  $T_1$  occurs, and Figure S6 shows the  
27 distribution of the O1–C2–C3–C4 dihedral angle. The average geometry of all hops  
28 and the optimized MECP geometries were also given in Figures 11 and S6. The  
29 bond-lengths are grouped in 0.01 Å increments, and the bond angle in 5° increments.

1 According to Figures 11(a) and (d), the majority of hopping occurs for the O1–C2  
2 bond-length in the range from 1.29 to 1.45 Å for AC, and from 1.27 to 1.48 Å for  
3 CPO. As shown in Figure 11(b) and (e), the majority of hopping occurs for the  
4 C3–C4 bond in the range from 1.36 to 1.50 Å for AC, and from 1.35 to 1.55 Å for  
5 CPO. As can be seen in Figure S6, both molecules have the same range (150-180°)  
6 for the O1–C2–C3–C4 dihedral angle. For AC, though the average hopping C3–C4  
7 bond-length is the same as the MECP geometry, the average hopping O1–C2  
8 bond-length is located at 1.391 Å, about 0.05 Å longer than the MECP geometry. The  
9 difference in bond-lengths between the MECP geometry and the average hopping  
10 geometry is more pronounced for CPO. These data showed that the geometries that  
11 result in hops according to nonadiabatic dynamics are not localized at the MECP, and  
12 the true ISC process deviates from the minimum energy path. Additionally, it is noted  
13 that these two molecules have nearly the same decay path, since differences in both  
14 the O1–C2 and C3–C4 bond-lengths at the average hopping geometries of AC and  
15 CPO are small.

16 Figures 11(c) and (f) show the distribution of SOC of the geometries at which a  
17 hop from  $S_1$  to  $T_2$  or  $T_1$  takes place. The SOC are grouped in  $1.0 \text{ cm}^{-1}$  increments.  
18 The average SOC of all hops and the SOC constants at the MECP geometries are also  
19 given in Figure 11. According to Figures 11(c) and (f), the majority of hopping occurs  
20 for SOC between 36 and  $56 \text{ cm}^{-1}$  for AC, and between 20 and  $45 \text{ cm}^{-1}$  for CPO. Also,  
21 the distribution of SOC for CPO is more diffuse than that of AC. The SOC constant  
22 between  $S_1$  and  $T_2$  at the MECP of AC is  $36.7 \text{ cm}^{-1}$ , while only  $4.4 \text{ cm}^{-1}$  at the MECP  
23 of CPO. Evidently, the SOC at the MECP geometry of CPO is more largely outside of  
24 the range of dynamics simulation than that of AC.

25 It has been shown that the efficiency of spin inversion is proportional to the SOC  
26 matrix element, and inversely proportional to the energy gap.<sup>82</sup> Moreover, efficient  
27 spin inversion can be enhanced by motions, which maximize the SOC matrix element  
28 and minimize the singlet-triplet separation. According to the calculation results, the  $S_1$ ,  
29  $T_1$ , and  $T_2$  state are generally close in energy from the FC geometry to the  $S_1$

1 minimum for these two molecules, besides of that both the  $S_1/T_2$  and  $T_2/T_1$  points  
2 occur within 5 kcal/mol of the respective  $^3n\pi^*$  minimum. In addition, according to the  
3 trajectory calculations, the ISC paths of these two molecules are very similar. Thus,  
4 the lower ISC rate of CPO can be explained taking into account a smaller SOC  
5 constant at the singlet-triplet crossing region. Fast intersystem crossing was observed  
6 in the  $S_1(n\pi^*)$  state of N-heterocyclic aromatic hydrocarbons and carbonyl  
7 compounds, and it is suggested to be primarily mediated by SOC with the  $^3\pi\pi^*$  state  
8 in the same energy region.<sup>83</sup>

### 9 **Summary and Conclusion**

10 In the present work, a combination of electronic structure calculations and  
11 nonadiabatic dynamics simulations was used to explore the gaseous photodynamics of  
12 both AC and CPO. When these two molecules were initially excited into the  $S_1$  state,  
13 they relax rapidly toward the more energetically favored geometries via bond  
14 alternation of the carbon backbone. After residing on the  $S_1$  surface for some time, the  
15 molecules can reach the hot ground state by a  $S_1/S_0$  intersection or undergo ISC to the  
16 triplet state PESs. Our dynamics simulations showed that, the  $S_1 \rightarrow T_2$  hop occurs in  
17 the picosecond timescale and can efficiently compete with IC to the ground state,  
18 which is reasonably consistent with previous experimental results. In addition, we  
19 have also observed a few trajectories that decay directly from the  $S_1$  to the  $T_1$  state,  
20 but the  $S_1 \rightarrow T_1$  is the minor channel for population of the  $T_1$  state compared with the  
21  $S_1 \rightarrow T_2$ . The important role played by the  $S_1/T_2/T_1$  three-state intersection in  
22 population of the  $T_1$  state was shown here by direct nonadiabatic dynamics  
23 simulations. Since the existence of significant energy barriers to access the relevant  
24 conical intersection points to the  $S_0$  state and of energetically close-lying  $^3\pi\pi^*$  state  
25 over large regions of configuration space, these two molecules undergo efficient ISC  
26 with a triplet quantum yield of 0.8, which is consistent with the experimental  
27 values.<sup>84,85</sup> The ISC path is also very similar for both molecules. However, CPO has a  
28 lower ISC rate owing to the ring constraint that results in a smaller SOC in the  
29 singlet-triplet crossing region. The present theoretical study reproduces the

1 experimental results and gives an explanation about the structural factors that rule the  
2 excited-state decay of some types of  $\alpha,\beta$ -enones.

3 Upon excitation to the  $S_2$  state, however, more decay paths become accessible  
4 and they can compete with each other, resulting in a more complex photodynamics.  
5 Theoretical calculations on the  $S_2$  state decay of  $\alpha,\beta$ -enones are presently under study.

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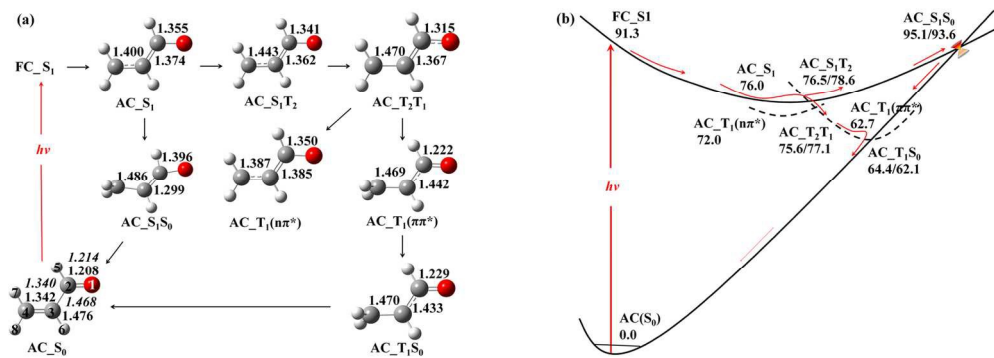
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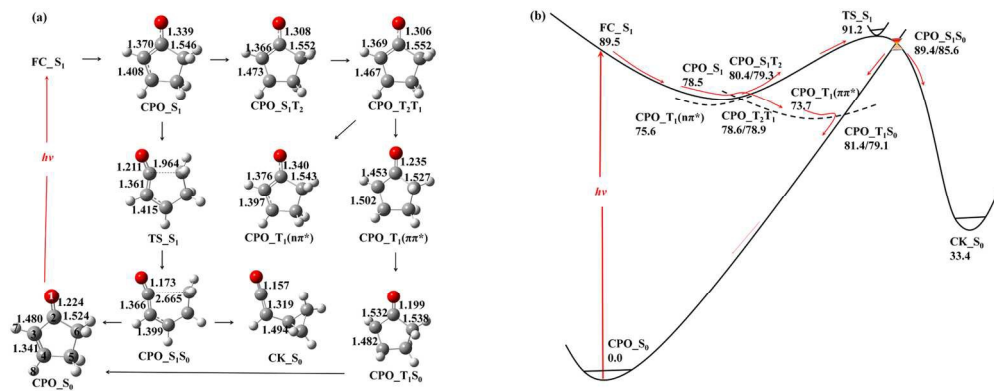
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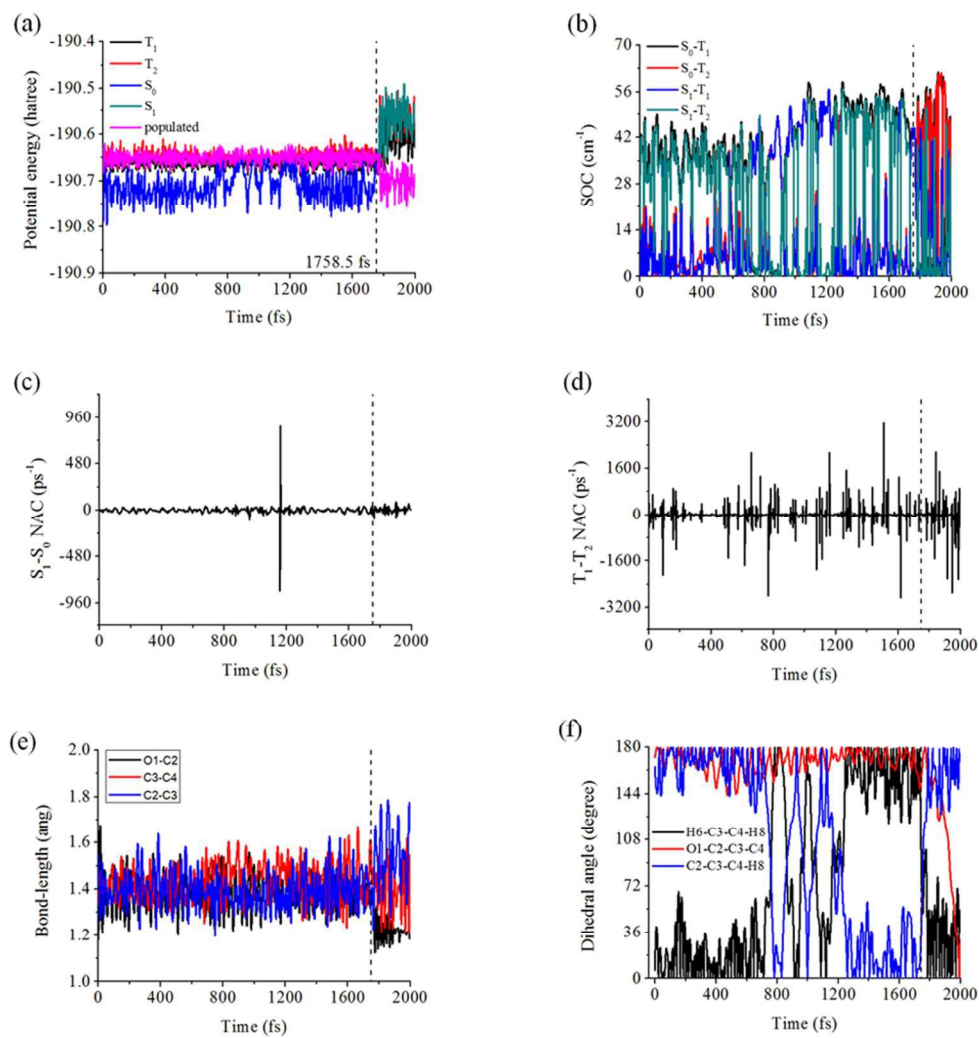
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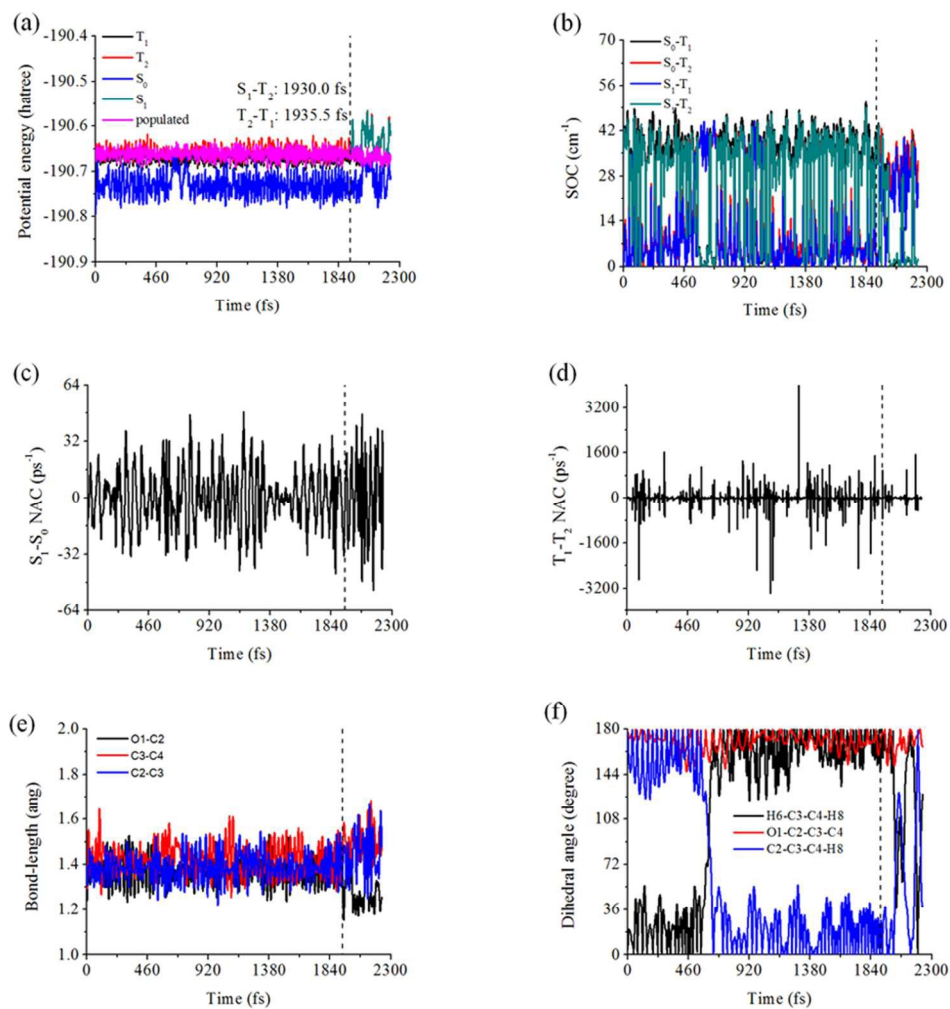
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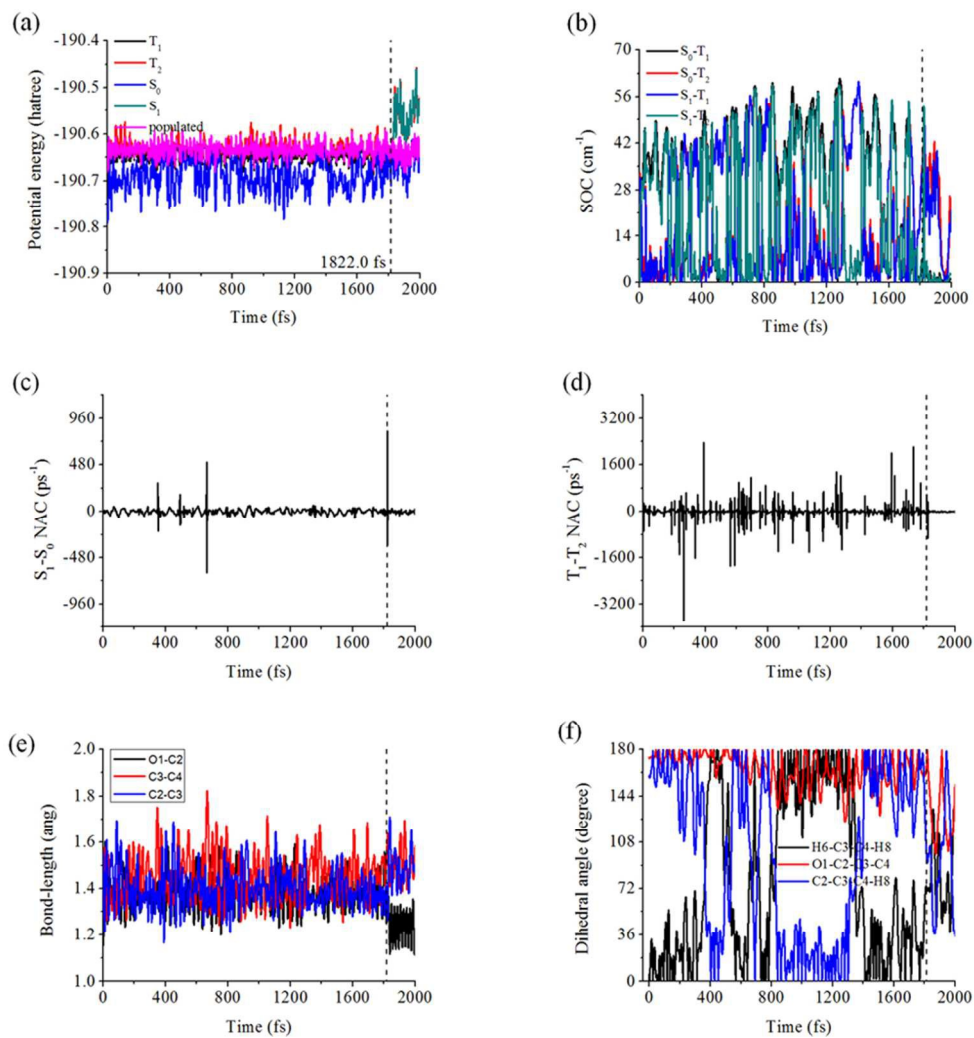
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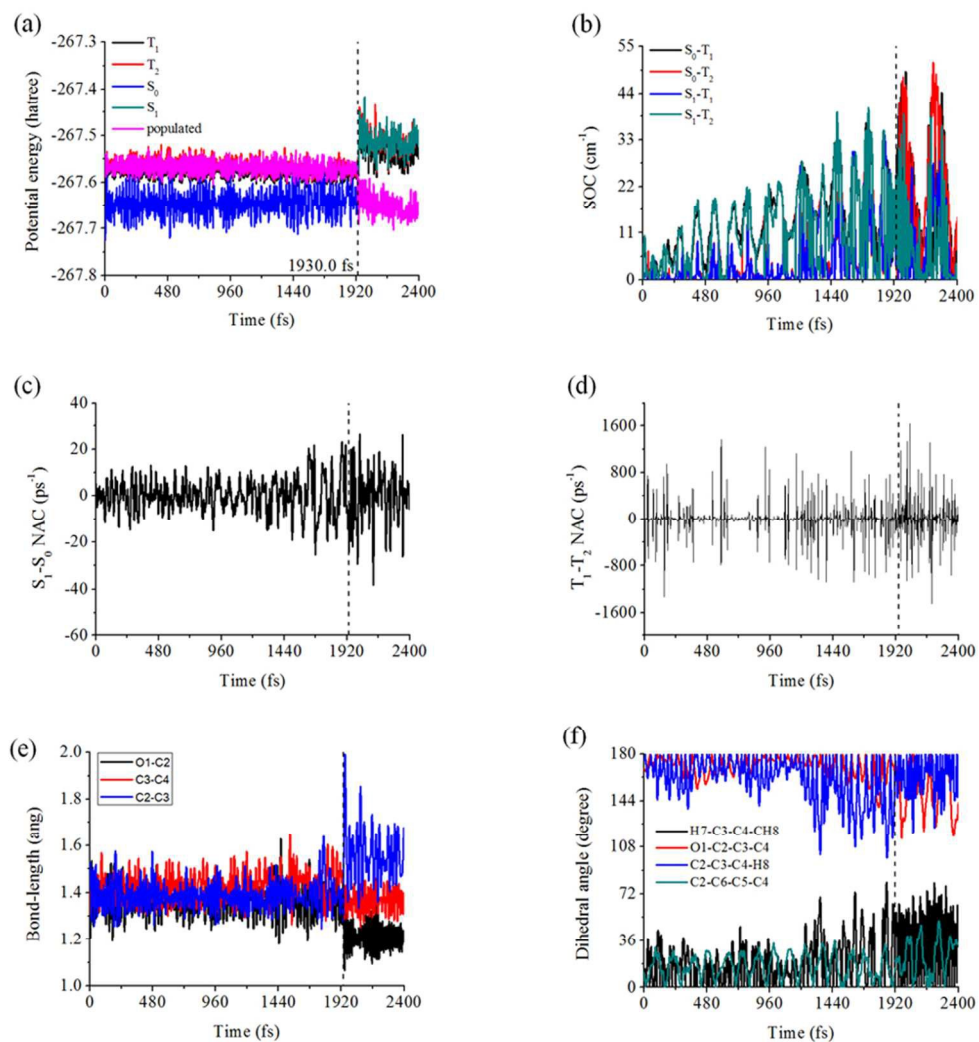
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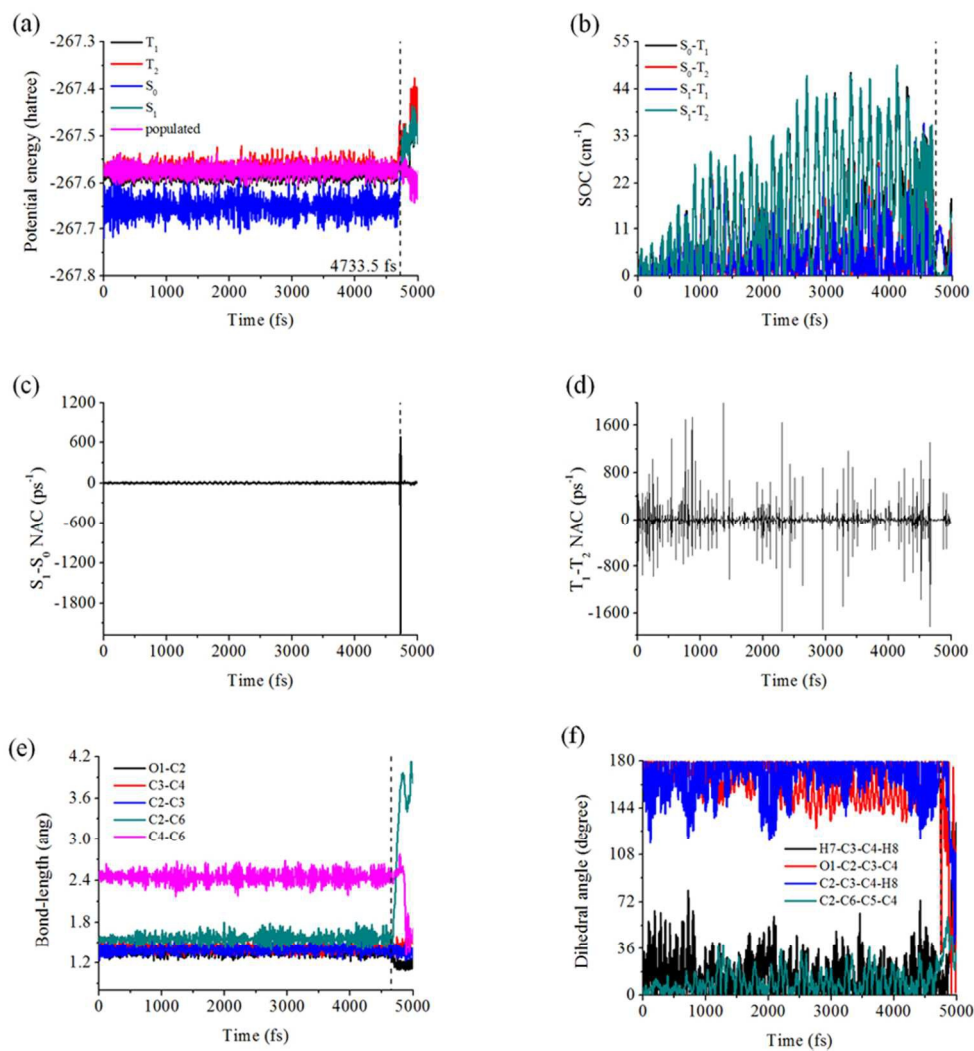


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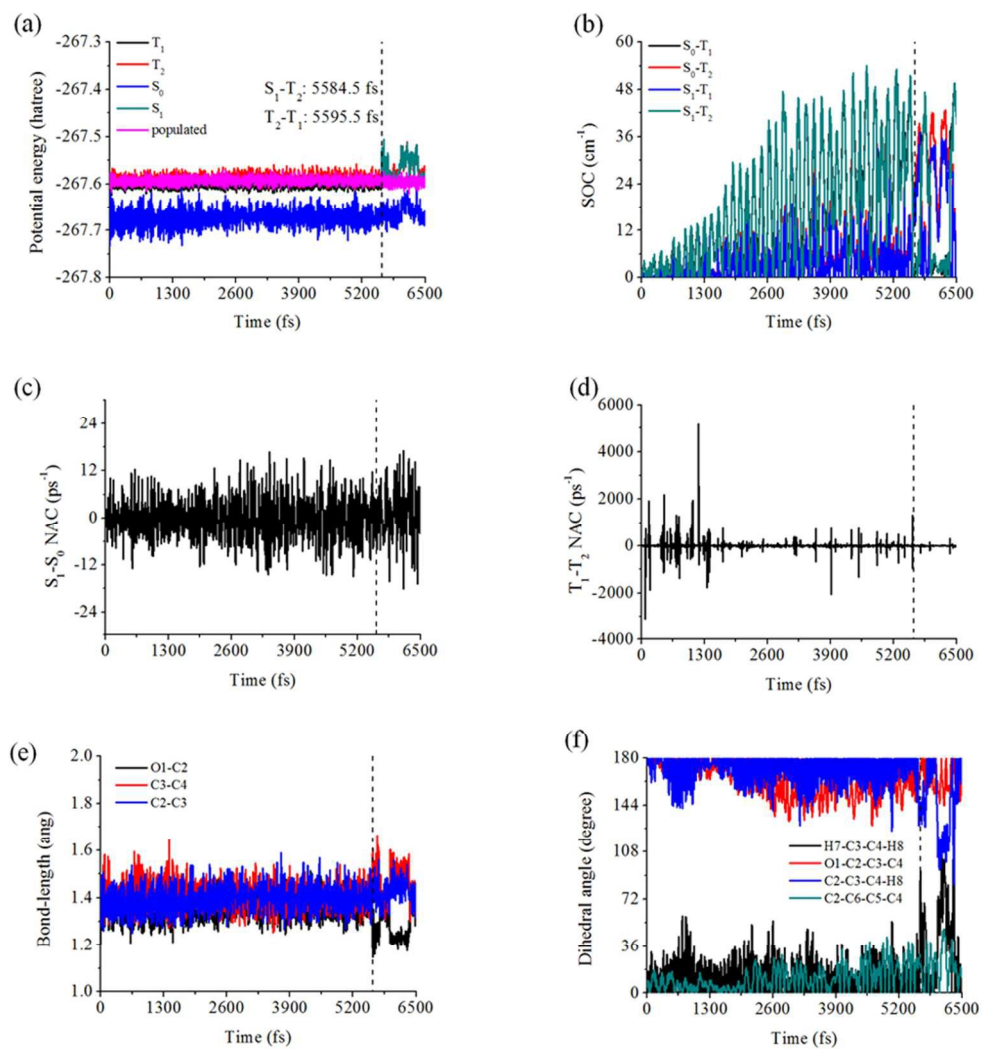


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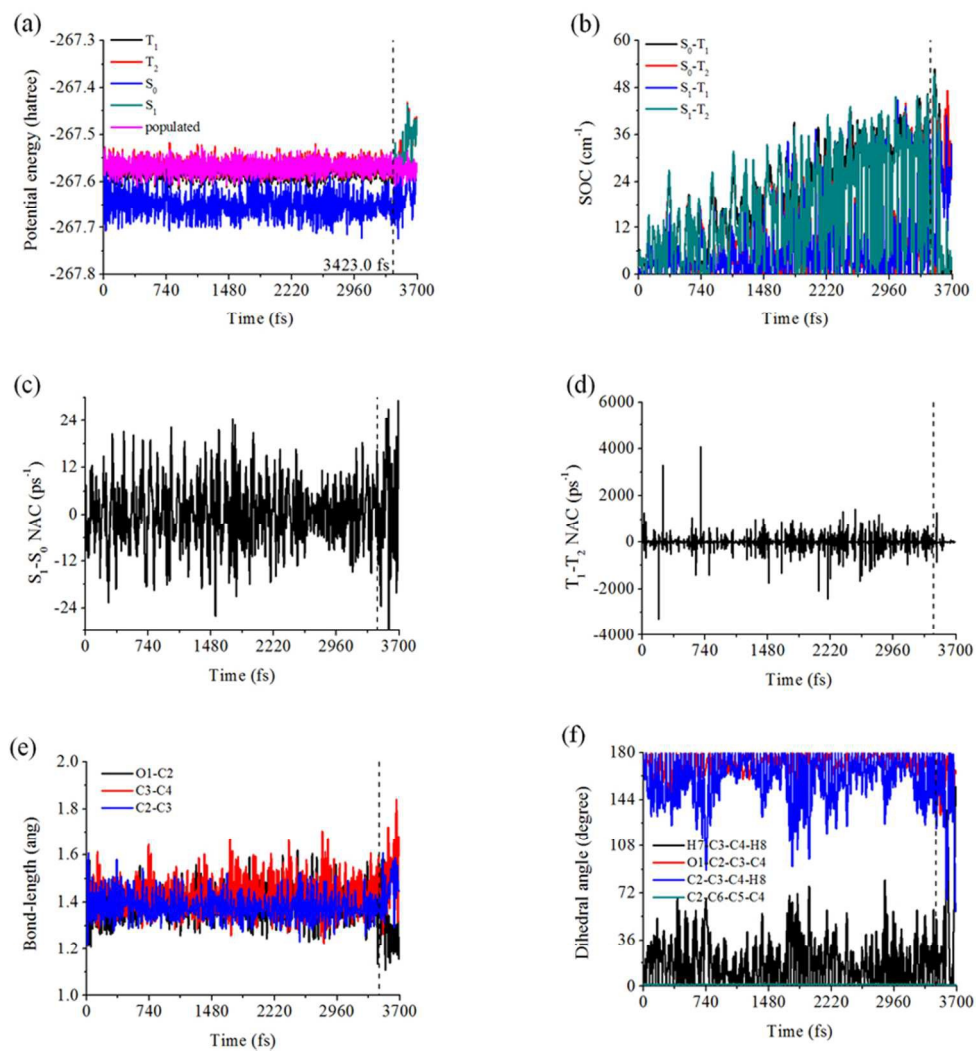




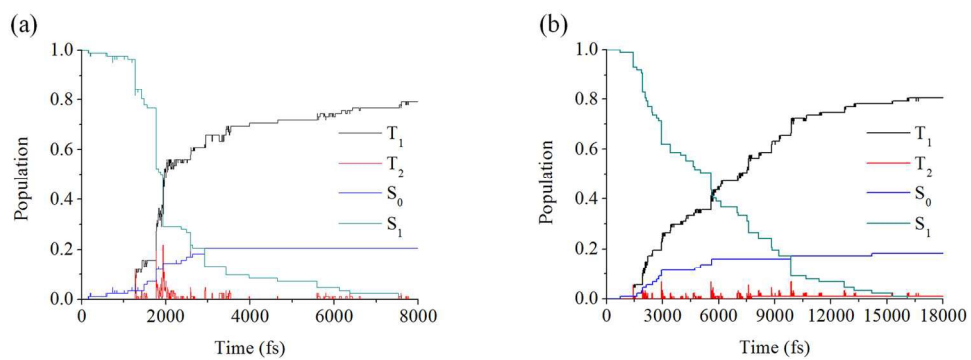
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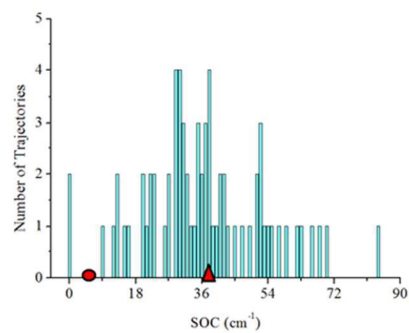
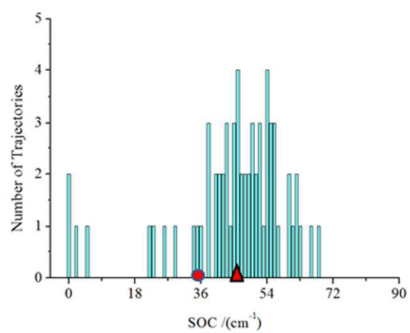
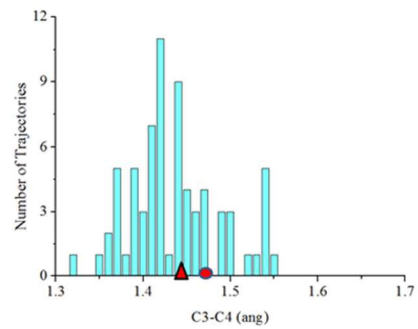
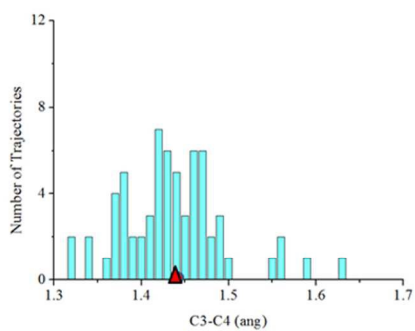
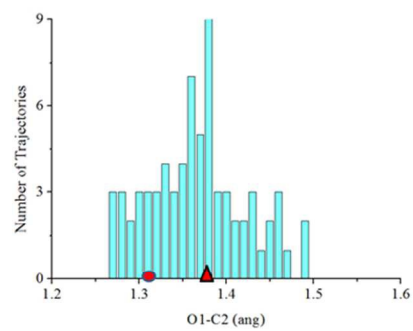
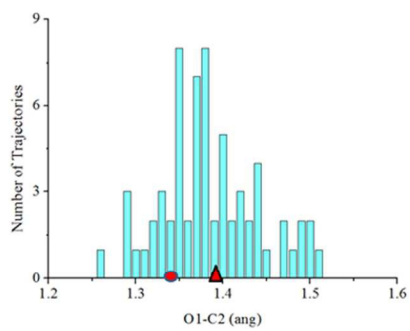
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82x87mm (300 x 300 DPI)



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