

Using Valence Bond Theory to Understand Electronic Excited States: Application to the Hidden Excited State (2^1A_g) of $C_{2n}H_{2n+2}$ ($n = 2-14$) Polyenes

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A valence bond (VB) method is presented and applied to calculate the hidden excited states, 2^1A_g , and other covalent excited states of polyenes from C_4H_6 to $C_{28}H_{30}$. The ground rules needed to understand the results are qualitatively outlined and used to discuss the asymptotic behavior of these molecules as n goes to infinity. The theory enables to understand in a coherent and lucid manner excited state properties, such as the makeup of the various states, their energies and geometries, the puzzling increase of the C=C frequency in the excited state, the opposite bond alternation properties of the ground and excited state, isomerization patterns, soliton characteristics, etc.

I. Introduction

One of the most powerful approaches to conceptualize and predict chemical behavior is provided by valence bond (VB) theory.¹ A special area where the use of VB theoretic ideas may have a serious conceptual impact is the electronic structure and reactivity patterns of excited states.² In this paper we extend our recently developed VB method, scaled to density functional energies,³ to compute the ground and covalent excited states of polyenes $C_{2n}H_{2n+2}$ (from $n = 2$ to $n = 14$), and in so doing we also develop tools and qualitative guides required to understand trends across the polyene series. Polyenes are versatile molecules with a great deal of appeal to the chemistry, biochemistry, and physics communities. In their ground or doped states, polyenes conduct electricity. While the doped states are metallic, the neutral ground states are semiconductors with a finite intrinsic gap. In their excited states, these molecules are important in several key processes in nature, such as vision and light harvesting.⁴⁻⁷ It is no surprise therefore that this molecular family has become an arena for experimental and theoretical treatments.

One of the excited states which has attracted considerable attention is the "hidden" excited state, 2^1A_g , which is dipole forbidden. Since the discovery of this state by Hudson and Kohler,^{8,9} the "hidden" excited state has continued to occupy a central theme in polyene chemistry. The pioneering study of Karplus and Schulten¹⁰ designed to understand the ordering of the $1^1B_u^+ - 2^1A_g$ states has shown that the 2^1A_g state is formally a doubly excited one, whereas $1^1B_u^+$ is a singly excited state, and that therefore the correct ordering of these states requires inclusion of doubly excited configurations in the configuration interaction treatment. After this study, and following two-photon excitation experiments, it was established that the 2^1A_g state is the first vertical excited state, for all polyenes starting with C_8H_{10} onward,⁴⁻⁷ and is likely to be the first adiabatic excited state even for shorter polyenes. The most

sophisticated calculations to date, complete active space self-consistent field followed by second-order perturbation treatment (CASPT2)¹¹⁻¹³ and multireference Møller-Plessett perturbation (MRMP) calculations,^{14,15} further establish this trend up to $C_{10}H_{12}$.

This hidden state exhibits a few interesting features which are summarized in excellent reviews.⁴⁻⁷ For example, the $1^1A_g \rightarrow 2^1A_g$ excitation energy decreases steeply with n but converges to a finite value.¹⁶⁻¹⁹ Both the ground²⁰⁻²² 1^1A_g and the excited^{4-7,14} 2^1A_g states seem to sustain significant bond alternation, albeit in opposite manners. The totally symmetric C=C stretch mode in the hidden state has a frequency, $\omega_{C=C}(2^1A_g)$, which is considerably higher than the corresponding frequency of the ground state. This is reminiscent of the exalted b_{2u} frequency in benzene, acenes, and in annulenes in the 1^1B_{2u} excited state.²³ Excited-state isomerization mechanisms of the mono-cis isomer to the all-trans and various other isomers is an active field of study⁵ due to its potential association with isomerization that triggers the visual mechanism. Radiationless decay patterns depend on the size of the polyene in an irregular manner.^{4,5} Add to that the question of solitons which are observed for these states^{4,24} and their possible relation to the isomerization pathways, and one has at hand a fascinating multidimensional problem. Many of the features of these states have been addressed before with various methods and models, and there is a considerable degree of understanding of the problem in terms of ideas such as vibronic coupling^{4-7,25} and modified Hückel treatment,^{5,16} which start with the molecular orbital formulation of the states. Nevertheless, a VB method which combines simplicity and accuracy, and which enables understanding of the asymptotic behavior of these molecules as n goes to infinity, is still desirable and may add complementary insight to the existing models.

Already, in the pioneering work of Schulten and Karplus¹⁰ it was noted that a VB formulation of the problem leads to a clear and simple understanding of both the ground and the hidden excited states of butadiene. The same insight was provided some time later by Simmoneta et al.,²⁶ and Hudson et al.,⁴ Ohmine

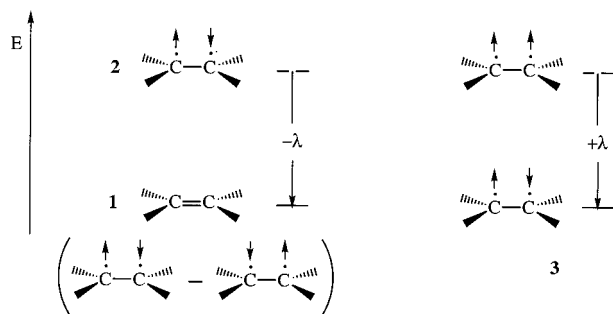
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et al.,¹⁹ and Dunning and co-workers²⁷ have further shown that a fragments-in-molecules VB approach (excitonic model) is very useful for understanding the ordering pattern of the excited states in butadiene. Subsequently, Malrieu et al.²⁸ have developed an empirical VB model based on the Heisenberg Hamiltonian and scaled to ab initio energies and provided significant insight and understanding of the polyene states. More recent treatments of the ground state have been presented by Klein et al.²⁹ A very recent treatment of Li and Paldus³⁰ used the Hiesenberg Hamiltonian with Rumer VB structures to discuss the behavior of the $1^1B_u^-$ state and showed the potential of VB theory to present a coherent and simple picture which extends from the smallest member all the way to an infinite polyene. Hirao and collaborators^{14,15,31} used a complete active space SCF to generate a CASVB wave function and to apply it to excited states of a few polyenes. Here we use our recently developed VBDFT(s) approach³ which is a VB method scaled to density functional energies. The method was shown to reproduce ground-state properties very well.^{3,32} In the present paper we show that VBDFT(s) which uses Rumer structures that are the canonical chemical structures, provides accurate excitation energies which are at par with sophisticated methods such as CASPT2^{11,12} and MRMP,¹⁴ for both 2^1A_g and $1^1B_u^-$ states. We develop a qualitative VB theory which enables to discuss the makeup of the various states, their energies and geometries, and other properties, such as the C=C frequency and bond alternation, in a coherent and lucid manner.

II. Methods

A. Brief Summary of VBDFT(s). The basis of VBDFT(s) was described before³ and a summary follows. This is a semiempirical VB method that scales the final energy to a corresponding density functional energy utilizing the DFT energy of the spin-alternate determinant^{28,29} and a parameter, λ , which is the interaction term that couples an electron pair into a bond. For ethylene, λ is a positive quantity standing for



the energy difference between the π -bonded molecule (1) and its spin-alternate determinant (2) which possesses two unpaired p_z electrons in an antiferromagnetic arrangement, one spin up and one spin down. Thus, λ accounts for the energy lowering due to the spin pairing energy of two electrons to a bond pair. In fact, in this picture λ is also the matrix element that mixes the two spin-alternate determinants into a singlet paired π -bond. Ionic structures are not included explicitly, and their effect is embedded within the λ parameter.^{32b-35}

Once the DFT energy for the spin-alternate determinant (E_{sa}) is calculated^{3,36} and the value of λ is also obtained, one can calculate the energy of all the other relevant determinants and either diagonalize the VB determinant basis set or construct from it a set of Rumer structures that correspond to chemical structures, and then proceed to diagonalize the Rumer basis set.³ Because the Rumer basis set involves *chemically meaningful*

structures, we have chosen to focus on this option and to utilize the “spin-free” approach³⁷⁻⁴¹ to generate states (see equations in Appendix 2).

The number of Rumer structures rises steeply with the number of electrons, and therefore truncation of the Rumer basis is necessary. The size consistency of the truncation^{28c} was tested by comparing the full and truncated results for $C_{14}H_{16}-C_{20}H_{22}$. The level of truncation that gave good results is discussed later in the Results section.

B. Parametrization of λ . In the original application,³ λ was determined using ethylene. Subsequently, it was found that using butadiene which is a more typical “polyene” gives a somewhat better numerical performance for a larger data set, presumably because the λ values incorporate effectively long-range orbital distortion.³³ The present paper uses the latter λ values. For the 1^1A_g ground state of butadiene, the spin-free method³⁷⁻⁴¹ shows that the energy is lowered relative to the spin-alternate determinant by $\sqrt{3}\lambda$ (see later, Scheme 5b). Therefore, for the ground state λ_g is determined from DFT calculations using eq 1.

$$\lambda_g = \frac{\sqrt{3}}{3}[E_{sa} - E(1^1A_g)] \quad (1)$$

By changing the uniform bond length r of butadiene, one finds λ_g as a function of the bond length as in eq 2.

$$\lambda_g = 0.6850 - 0.6722r + 0.1720r^2 \quad (2)$$

where λ_g is in a.u. and r in Å.

Similarly, from the spin-free method, the excitation energy $1^1A_g \rightarrow 2^1A_g$ for butadiene is $2\sqrt{3}\lambda$ (see Scheme 5). Therefore, to get spectroscopic λ values, we carried out CASPT3 and MRCI calculations (using the MOLPRO package⁴²) of the excitation energy for a uniform bond length butadiene, and we obtained the value of λ_s from eq 3.

$$\lambda_s = \frac{\sqrt{3}}{6}[E(2^1A_g) - E(1^1A_g)] \quad (3)$$

By varying r , the expression for λ_s becomes eq 4.

$$\lambda_s = 0.4435 - 0.4168r + 0.1021r^2 \quad (4)$$

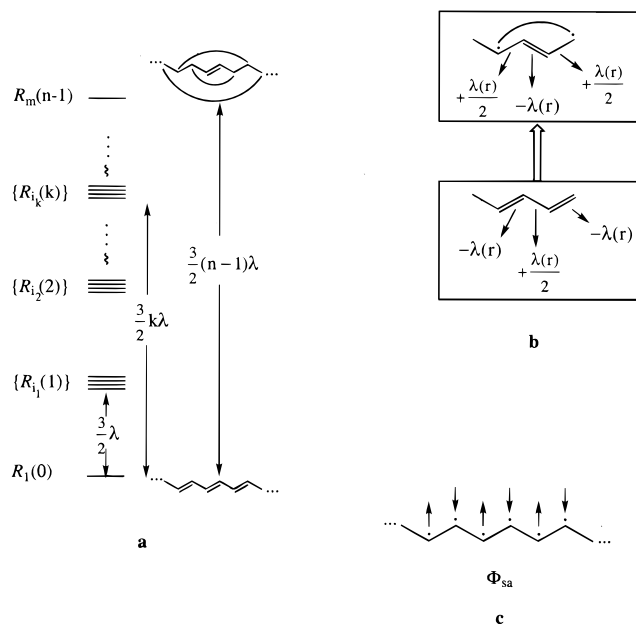
Thus, VBDFT(s) is a two-parameter method: one parameter describes the ground state and the other the excitation gap, analogous to the treatment of Malrieu et al.²⁸ All excitation energies were calculated using λ_s values only.

Optimized geometries for ground state all-trans polyenes from C_4H_6 to $C_{28}H_{30}$ were carried out in C_{2h} symmetry, using B3LYP/6-31G calculations, as implemented in Gaussian 94.⁴³ The resulting C–C bond lengths show that bond alternation persists all the way to the longest polyene, in line with known data.^{21,22} The C–C bond lengths are collected in the table in Appendix 1. Our VBDFT(s) program is still not equipped with an automatic geometry optimization procedure, so optimized excited-state geometries, when used, were taken from literature.¹² In a few cases, geometries were optimized by VBDFT(s) in a pointwise manner by varying the only C–C distances along the bond-alternating mode.

III. Qualitative VB Theory for Polyenes

Appendix 2 provides the spin-free equations³⁷⁻⁴¹ for the Rumer-based method, while this section develops the qualitative guides to use the VB theory and thereby understand the

SCHEME 1: (a) Spectrum of the Rumer Basis Set for n -Electron Pairs. (b) Schematic Representation of the Elementary Excitation of the Electron Pairs, and Energy Terms for a Paired Bond and a Couple of Nonbonded Electrons (c) Spin Alternant Determinant (spins shown by arrows)



variations of energy gap between the different Rumers, their overlaps, matrix elements, and their mixing patterns.

Description of the Rumer Basis. For singlet states, diagonalization of the Rumer basis set will lead to a spectrum of covalent singlet states of A_g and B_u symmetry. Our focus here is on the ground state and the two lowest excited states. The total number of Rumer basis structures for $C_{2h}H_{2n+2}$ polyenes is given by eq 5 (based on eq (A.2.4) in Appendix 2).

$$d_{\text{full}} = \binom{2n}{n} - \binom{2n}{n-1} \quad (5)$$

The structures are described in Scheme 1. The lowest energy structure, is the fundamental Rumer which involves n short π -bonds. The uppermost Rumer possesses a single π -bond in the center of the molecule, while the rest of the electrons are paired into $n-1$ long bonds which do not contribute to the VB energy in our scheme. Thus, the uppermost Rumer is $(n-1)$ tuplet excited relative to the fundamental Rumer, and is indicated as $R_m(n-1)$. The rest of the Rumers fall into blocks which differ in their excitation rank, relative to the fundamental structure, and involve successive excitations of short bonds into long ones till $R_m(n-1)$ is reached (see **a** in Scheme 1). A Rumer belonging to a general block is indicated by $R_i(k)$ where k is the excitation rank, and is simply the number of long bonds possessed by all the Rumers of the k block.

The π -energy associated with a Rumer structure can be written based on eq (A.2.3) of the spin-free theory. A helpful mnemonic is drawing **b** in Scheme 1 which indicates that each pair of bonded electrons lowers the π -energy by an amount $-\lambda$, while a pair of nonbonded electrons raises the energy by $+0.5\lambda$. The destabilizing nonbonded interaction has been explained²⁸ to arise from the fact that the wave function of two nonbonded electrons contains 50% triplet relationship between the two electrons, hence resulting in a repulsive interaction which is half as much as the bonding interaction. Drawing **b** shows also that *the elementary excitation energy*, short-bond \rightarrow long-bond,

involves a net loss of one $-\lambda$ for the broken short bond and the creation of a new nonbonded repulsion, $+0.5\lambda$. For a uniform geometry, the elementary excitation energy is given by

$$\Delta E(\text{short bond} \rightarrow \text{long bond}) = \frac{3}{2}\lambda \quad (6)$$

and this is also the spacing between the different blocks in Scheme 1a. The energy of a block k relative to the fundamental Rumer is then simply k -fold the elementary excitation energy, as indicated also in Scheme 1a.

The energy of a Rumer structure involves a balance of the short π -bonds and close neighbor nonbonded interactions. Relative to the spin-alternate determinant (**c** in Scheme 1, with energy E_{sa}), this energy is given by

$$E(R_i) = E_{\text{sa}} - \sum_{i_b} \lambda(r_{i_b}) + \frac{1}{2} \sum_{i_{\text{nb}}} \lambda(r_{i_{\text{nb}}}) \quad (7)$$

where the first summation is over the short π -bonds while the second summation is over the close neighbor nonbonded interactions.

For example, in an alternated geometry which conserves the C_{2h} point group symmetry, the energy of the fundamental Rumer will be given by eq 8

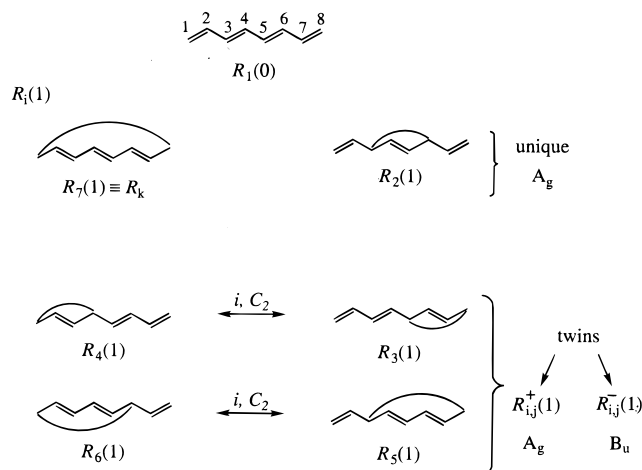
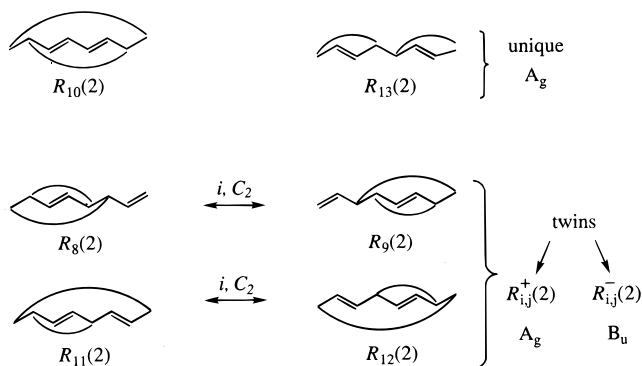
$$E(R_1) = E_{\text{sa}} - n\lambda(r_b) + \frac{(n-1)}{2}\lambda(r_{\text{nb}}) \quad (8)$$

where r_b is the distance across the short π -bonds and r_{nb} is the nonbonded close neighbor distance. All other expressions can be written using the above simple recipe.

As shown later, the most important excited Rumer blocks for understanding the ground and the first covalent excited states are the singly and doubly excited ones. The singly excited block involves one long bond, and its configurations are indicated by $R_i(1)$. The number of configurations in this block, d_1 is given by eq 9.

$$d_1 = \binom{n}{2} \quad (9)$$

These configurations can be classified into two categories according to their transformation properties with respect to the symmetry operations of the C_{2h} point group.³⁰ The first category involves *unique structures* that transform as the totally symmetric representation A_g . An important structure among the unique ones is the Kekulé structure R_K that possesses $n-1$ short bonds and a long one across C_1-C_{2n} . In the second category are the structures which possess a long bond off-center, and therefore each such Rumer has a *twin-structure*. These twins transform to each other by the 2-fold rotation and center of inversion symmetry operations. Scheme 2 illustrates these key features of the singly excited block structures, $R_i(1)$, for $n=4$. The numbering of the configurations corresponds to their energy ordering in the bond alternated geometry of the ground state. Shown are two unique structures which transform as the totally symmetric representation; the Kekulé structure R_K which possesses three short bonds and a long bond across C_1-C_8 , and $R_2(1)$ in which the long bond stretches across C_3-C_6 . In addition, there exist two pairs of twins which are mutually transformable via the operations of the inversion i and the 2-fold rotation C_2 operators. As a result, their positive combinations transform as A_g while their negative combinations transform as B_u .

SCHEME 2: Singly Excited Rumer Structures for C_8H_{10} and Their Symmetry Properties

SCHEME 3: Doubly Excited Rumer Structures for C_8H_{10} and Their Symmetry Properties


The doubly excited block, $R_i(2)$, includes all of the structures that possess two long bonds. The number of structures in this block are given by eq 10,

$$d_2 = 2 \binom{n}{4} + \binom{n}{3} \quad (10)$$

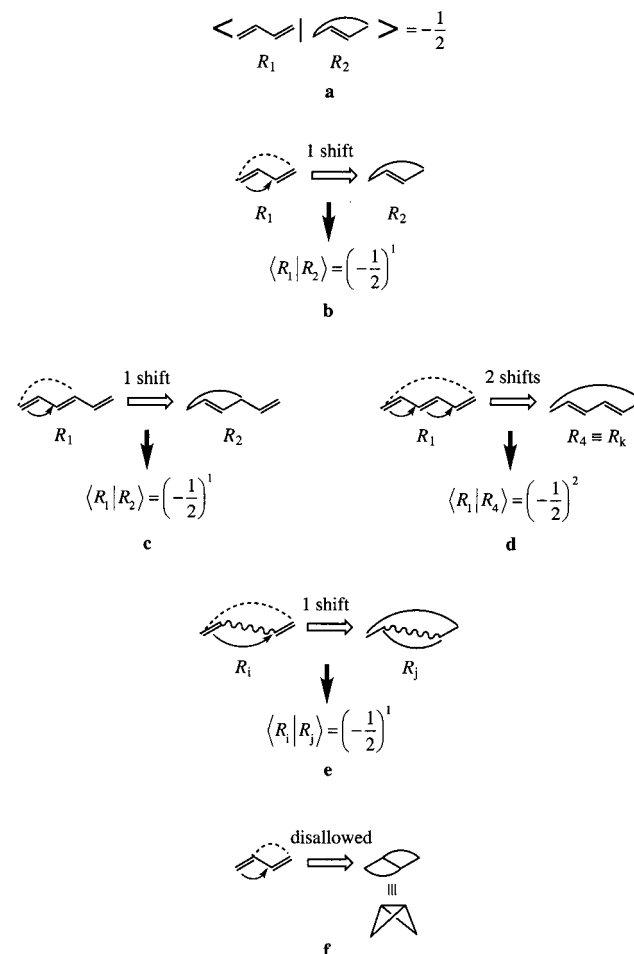
and their main features are based on the same principles as discussed for the singly excited block. Scheme 3 shows the unique and twin structures for C_8H_{10} . It is seen that the unique structures arise when the two long bonds both stretch, albeit with different bites, over the central part of the polyene, and when they are distributed symmetrically over the molecular center. The logic behind the twin structures is also quite obvious and as described before they will form positive combinations which transform as A_g and negative combinations which transform as B_u .

The number of structures in the triply excited Rumer block is given by eq 11. The structures of this block have a minor effect on the excitation energy (see later) but are required to eliminate size-inconsistency due to truncation.

$$d_3 = 5 \binom{n}{6} + 5 \binom{n}{5} + \binom{n}{4} \quad (11)$$

Overlap of Rumer Structures. A simple mnemonic follows that translates the spin-free theoretical equations in Appendix 2 to pictorial cartoons.

Let us start with the overlap property which is independent of geometry and is due to the fact that Rumer structures involve

SCHEME 4: Pictorial Method for Determining Overlap of Rumer Structures: (a) Overlap of the Rumers of C_4H_6 (b) Definition of an "Elementary Shift" Which Transform One Rumer into Another, and the Corresponding Overlap. (c-e) Examples of "Shifts" and Corresponding Overlaps. (f) Disallowed "shift" that Creates Crossing Bonds


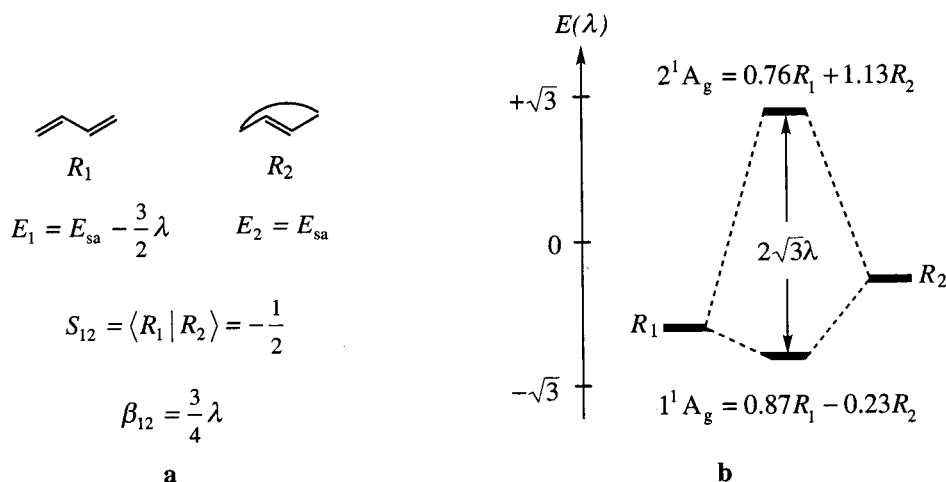
common VB determinants based on p_π AOs.^{1,3} Based on eq A.2.2 in Appendix 2, the overlap of two Rumers can be written as follows:

$$\langle R_i | R_j \rangle = \left(-\frac{1}{2}\right)^s \quad (12)$$

where the exponent s is the number of "steps" required to convert one Rumer into the other by means of pairwise transposition of electron indexes. Consider the calculated overlap between the R_1 and R_2 structures of butadiene in Scheme 4 (a). This overlap is $-1/2$, since it can be shown that it is possible to interconvert the structures by a single index transposition. Namely, a single step is required to convert R_1 to R_2 and vice versa. Using this overlap as a starting point, we can represent the overlap of any two arbitrary Rumers by shifting the electron pairing from a paired position to a nonbonded position, in a manner similar to the way organic chemists shift electron pairs, albeit with some differences.

Let us define the "elementary shift" that is shown in Scheme 4(b) for the same two Rumer structures of butadiene in (a). The elementary shift is composed of shifting the π -pairing into the nonbonded space of a single bond. Once this is done, the other two electrons will be paired automatically across the 1-4

SCHEME 5: (a) Rumer Structures, Energies, and Reduced Matrix Element for C₄H₆. (b) Corresponding Rumer Mixing Diagram Showing the Generation of 1¹A_g and 2¹A_g from Rumer Structures



linkages, as shown by the dashes connecting terminal atoms. Thus, the elementary shift applied on R_1 is the generator of R_2 . For this elementary shift, the overlap of the Rumers will be defined according to eq 14 as $-(1/2)$. Thus, the overlap between two Rumers will equal $-(1/2)^s$, where s is the number of elementary shifts required to interconvert the Rumer structures.

There are two types of elementary shifts: short-range and long-range ones. Short-range shifts are shown in (c) and (d) for C₆H₈. In (c), one elementary shift generates R_2 from R_1 , and in (d) two elementary shifts are needed to generate R_4 from R_1 . A long-range shift is illustrated in (e), and is seen to have a similar result to the short-range one; the π -pairing moves to the space between the two bonds, while the termini of the two bonds get automatically paired (indicated by the dashed curve in (e)). Any shift which forms crossing bonds, e.g., shifting the pairing across an odd-number of carbons, as in (f), is disallowed.⁴⁴

It is convenient to start with the fundamental Rumer, from which all the singly excited Rumers are generated by a systematic application of short-range shifts, while the doubly excited Rumers require combinations of short- and long-range shifts, and so on until one generates the entire Rumer basis.⁴⁵ The $\langle R_i | R_j \rangle$ overlaps follow eq 12, where s is the number of minimal shifts required to obtain R_j from R_i , or vice versa.

An important overlap to consider is between the fundamental Rumer and its Kekulé counterpart. For the general case of C_{2n}H_{2n+2}, we need $(n-1)$ elementary short-range shifts to generate R_K from R_1 , and therefore the overlap will be given by eq 13.

$$\langle R_1 | R_K \rangle = \left(-\frac{1}{2}\right)^{n-1} \quad (13)$$

This overlap will gradually diminish with size, and at an infinite chain the two structures have a zero overlap, as has already been pointed out by Klein et al.²⁹

Matrix Elements between Rumer Structures. The meaningful matrix elements in VB theory are the reduced matrix elements^{1,46} given by

$$\beta_{ij} = H_{ij} - eS_{ij} \quad (14)$$

where $e = \min(e_i, e_j)$ and/or $e = (e_i + e_j)/2$; H_{ij} is the unreduced matrix element, $\langle R_i | H | R_j \rangle$; S_{ij} is the corresponding overlap; and e_i is the self-energy of R_i .

Scheme 5 shows these quantities for butadiene in a uniform geometry. In (a) it is seen that the reduced matrix element (for $e = e_1$) is given by $(3/4)\lambda$ where λ is the interaction term for a short π -bond. Since the overlap is negatively signed and λ is a positive quantity, the ground state will be made from the negative combination of the two Rumers as shown in (b), while the excited state will correspond to the positive combination. In fact, the signs of the linear combinations in the ground and excited state can be deduced from the sign of the overlap of the Rumers using a simple rule: Whenever the overlap of two Rumers is negatively signed, the lower state will be the negative linear combination, while the upper state will be the positive combination. A positively signed overlap, on the other hand, leads to a lower state which is the positive linear combination and an upper state which is the negative combination.

Due to the dependence of the reduced matrix elements on three variables, our qualitative wisdom concerning the general behavior of these matrix elements is still limited. We found that it was possible to reduce the Hamiltonian and obtain reasonable behaviors for the 1¹A_g and 2¹A_g states, either by using in eq 14; $e = e_1$ uniformly or the averaging formula $e = (e_i + e_j)/2$. From these attempts we can make the following generalizations limited to open-chain polyenes C_{2n}H_{2n+2}:

(i) The reduced matrix element between R_1 and any excited Rumer $R_i(j)$ is given by

$$\beta_{1i} = -\frac{3}{2}\lambda S_{1i} s_{sr} = -\frac{3}{2}\lambda \left(-\frac{1}{2}\right)^s s_{sr} \quad (15)$$

where S_{1i} is the overlap between R_1 and $R_i(j)$ and s is the total number of elementary shifts required to obtain $R_i(j)$ from R_1 (including short- and long-range shifts), while s_{sr} is the number of short-range elementary shifts. The reasoning for that is rooted in the fact that the λ value is nonzero only for neighboring atoms.³ Consequently, long-range shifts will contribute zero to the reduced matrix element. Since λ is positive, the reduced matrix element, β_{1i} , and the corresponding overlap, S_{1i} , are oppositely signed, leading to a bonding combination which is signed as the sign of the overlap between the respective Rumers, R_1 and $R_i(j)$.

(ii) Qualitatively speaking, for a general case the less similar the Rumers, the smaller will be their reduced matrix element.

IV. Results

The Effect of Truncating the Rumer Basis. The VB energies have been calculated for C_{2n}H_{2n+2} species up to $n =$

TABLE 1: Effect of Truncation of the Rumer Space on the $1^1A_g \rightarrow 2^1A_g$ Vertical Excitation Energy (eV) for $C_{2n}H_{2n+2}$ ($n = 7-14$)^a

n	# Rumer structures	type	$\Delta E_v(1^1A_g \rightarrow 2^1A_g)$
7	126	VB(S,D)	2.95
	175	VB(S,D,T)	2.93
	429	VB(full)	2.93
8	429	VB(full)	2.93 ^b
	224	VB(S,D)	2.74
	714	VB(S,D,T)	2.70
	1430	VB(full)	2.70
9	1430	VB(full)	2.70 ^b
	373	VB(S,D)	2.57 ^c
	1549	VB(S,D,T)	2.51
	4862	VB(full)	2.51
10	4862	VB(full)	2.51 ^b
	540	VB(S,D)	2.47
	2520	VB(S,D,T)	2.36
	16796	VB(full)	2.36
11	16796	VB(full)	2.36 ^b
	890	VB(S,D)	2.40
	5831	VB(S,D,T)	2.25
12	58786	VB(full)	2.23 ^b
	1276	VB(S,D)	2.36
	10351	VB(S,D,T)	2.16
13	208012	VB(full)	2.17 ^b
	1794	VB(S,D)	2.35
	742900	VB(full)	2.12 ^b
14	2457	VB(S,D)	2.34
	2674440	VB(full)	2.09 ^b

^a B3LYP geometry is used – see Appendix 1. ^b Evaluated from the error expression for VB(S,D): $\text{error(eV)} = 0.284 - 0.295e^{-d(S,D)/1106}$, $d(S,D) = d_1 + d_2$ (see eqs 9 and 10). An error expression as a function of the number of truncated Rumer gives smaller errors. ^c $\Delta E = 3.46$ eV with VB(S).

14. At present the program efficiency is limited by a rather slow diagonalization routine, and truncation of the basis is required for the large systems. Truncation is classified in hierarchy of excitations. Thus, VB(S) corresponds to inclusion of only singly excited Rumer structures in addition to the fundamental, while VB(S,D) includes also doubly excited ones, etc.

Table 1 shows the effect of truncating the Rumer basis on the $1^1A_g \rightarrow 2^1A_g$ excitation energy for $C_{14}H_{20} - C_{24}H_{26}$. Use of only singly excited Rumer structures is insufficient. Truncation beyond triply excited Rumer structures gives quantitatively the same results as the full Rumer set for the cases where the full Rumer set could still be computed, $C_{14}H_{20} - C_{20}H_{22}$. Importantly, truncation of all structures beyond double excitation produce excitation energies which are within 0.02–0.15 eV of results from the full Rumer set. Using an error function enables to estimate the results for the full Rumer set from the VB(S,D) calculations. One can see that VB(S,D,T) is quantitatively excellent, while the maximum error of the VB(S,D) level is ca. 0.285 eV. Thus, there is no significant effect of size inconsistency on the excitation energy, and the trends in the excitation energies can be analyzed using the singly and doubly excited Rumer blocks only.

VB Excitation Energies. Table 2 shows the VB vertical excitation energies alongside available experimental data^{47–49} and values calculated by sophisticated ab initio methods such as CASPT2^{11,12} and multireference Møller–Plessett perturbation (MRMP)¹⁴ treatments. The VB results are seen to be in remarkably good agreement with data available from reliable sources.

Table 3 shows a good match of the VB values of the vertical excitation, vertical emission, and adiabatic excitation energies for C_8H_{10} to the corresponding values calculated by CASPT2

TABLE 2: Vertical Excitation Energies (eV) $\Delta E(1^1A_g \rightarrow 2^1A_g)$, for All trans $C_{2n}H_{2n+2}$ Polyenes^a

n	$\Delta E_v(1^1A_g \rightarrow 2^1A_g)$, eV			
	CASPT2 ^b	MRMP ^c	VBDFT(s) ^d	exptl
2	6.27	6.31	6.29	
3	5.19	5.09	5.02	5.21 ^e
4	4.38	4.47	4.19 (4.45) ^f	4.41 ^g
5		3.65	3.63	3.48 ^h
6			3.23	>2.68 ⁱ
7			2.93	>2.34 ⁱ (2.93)
8			2.70	>2.22 (2.72)
9			2.51	
10			2.36	
11			2.25	
12			2.16	
13			2.12	
14			2.09	
∞			1.95 \pm 0.1 ^j	

^a The ground-state geometries are specified in Table A1. ^b References 11 and 12. ^c Reference 14. ^d This work. The values for $n = 13, 14$ are estimated from the error function (Table 1). ^e Cited in ref 11. ^f The value in parentheses was obtained by use of the CASSCF geometry in ref 12. ^g References 12 and 47. ^h Reference 48. ⁱ Adiabatic values from ref 49. In parentheses are estimated vertical values. ^j This value is an average of the following values: The fit for $n = 2-12$ (Figure 1) yields 2.05 eV. Fitting only the results for $n = 7-11$ gives a value of 1.83 eV (exponential fit) or 1.86 eV (polynomial fit). Using the maximum error (error expression in Table 1) yields 1.98 eV. We note that the $VB(S,D)_\infty$ value is 2.266 eV.

TABLE 3: Vertical and Adiabatic ($1^1A_g \rightarrow 2^1A_g$) Excitation and Emission Energies (eV) for C_8H_{10} and C_4H_6

	$\Delta E_v(\text{excitation})$	ΔE_{00}	$\Delta E_v(\text{emission})$
C_8H_{10}			
CASPT2 ^a	4.38	3.61	2.95
VBDFT(s) ^b	4.45 ^c (4.19)	3.52 ^c	2.84 ^c
exptl	≤ 4.41	3.59	3.1
C_4H_6			
CASPT2 (exptl)	6.27	(5.40 ^d)	
VBDFT(s)	6.29	5.54	4.93

^a From ref 12. ^b This work. ^c The values out of parentheses are obtained with the CASSCF geometries in ref 12. The parenthetical value is obtained for the B3LYP geometry in Table A1 of this paper. ^d From ref 6.

and obtained from experiment.¹² Entries 4 and 5 show the same type of values for C_4H_6 , and the match is again good.

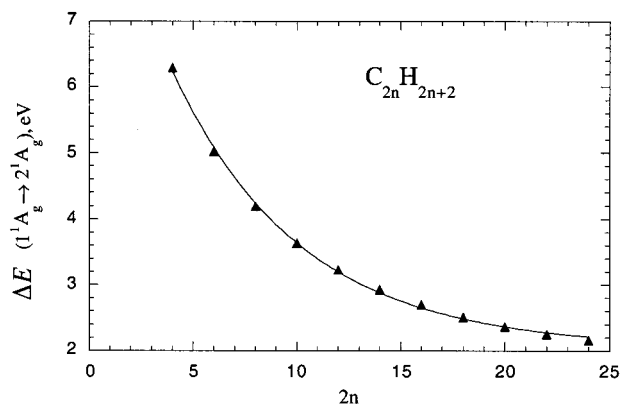
The $1^1 B_u^-$ state has been shown by Tavan and Schulten¹⁷ to lie for long polyenes just above the “hidden” state 2^1A_g and to lead to the weakly allowed $1^1A_g \rightarrow 1^1 B_u^-$ transition. A recent theoretical study by Li and Paldus³⁰ shows that this state has a mixed covalent and ionic character, and therefore it was deemed interesting to compare the results of our VB calculations with those derived by Nakayama et al.¹⁴ using MRMP theory, and with the conclusions of Tavan and Schulten.¹⁷ Table 4 shows the VBDFT(s) and MRMP excitation energies, and while the VB values are consistently lower, the match of the two sets is reasonably good. The last column in the table shows the $2^1A_g - 1^1 B_u^-$ energy differences which indicates that the two states should approach one another as the polyene gets longer. Their energy gaps seem to decrease, albeit slowly near 0.5 eV. We are therefore in full agreement with the prediction of Tavan and Schulten¹⁷ about the presence of the $1^1 B_u^-$ state alongside and very near the hidden state.

Figure 1 shows the $1^1A_g \rightarrow 2^1A_g$ vertical excitation values (Table 2), obtained with the VB method, plotted against number of carbons in the polyene chain. The plot shows the experimentally observed^{5,16} falloff of the excitation energy as the chain

TABLE 4: VBDF(T)s Vertical Excitation Energies to the $1^1B_u^-$ State, and Energy Gaps between the 2^1A_g and $1^1B_u^-$ States for $C_{2n}H_{2n+2}$ Polyenes.

n	MRMP ^a	$\Delta E(1^1A_g \rightarrow 1^1B_u^-)^b$	$\Delta E(2^1A_g \rightarrow 1^1B_u^-)^b$
3	6.31	6.22	1.20
4	5.76	5.34	1.15
5	4.91	4.68	1.05
6		4.16	0.93
7		3.76	0.83
8		3.44	0.74
9		3.29	0.72
10		3.14	0.67
11		3.02	0.62
12		2.94	0.58
13		2.89	0.54
14		2.84	0.50

^a From ref 14. ^b Starting with $n = 9$ onward, VB(S,D) was used.

**Figure 1.** Dependence of the $1^1A_g \rightarrow 2^1A_g$ vertical excitation energy on the polyene length for $C_{2n}H_{2n+2}$.

gets longer. The exponential fit leads to eqs 16a and 16b

$$\Delta E(1^1A_g \rightarrow 2^1A_g) \quad \text{eV} = 2.05 + 8.0022 e^{-0.1617(2n)} \\ n = 2 - 12 \quad (16a)$$

$$\Delta E(1^1A_g \rightarrow 2^1A_g) \quad \text{eV} = 1.83 + 5.99346 e^{-0.12(2n)} \\ n = 7 - 12 \quad (16b)$$

Equation 16a, which fits all of the data set, gives an intercept value of 2.05 eV at $n \rightarrow \infty$ (0.22 eV lower than VB(S,D)). Using the error function to evaluate the intercept from the VB(S,D) data gives a consistent value of 1.98 eV. Equation 16b fits only the data for the higher polyenes, where the excitation energy changes very slowly in the range of 2.95–2.16 eV and gives an intercept value of 1.83 eV. A polynomial fit to the same data of eq 16b gives virtually the same result, an intercept value of 1.86 eV. This suggests that at an infinitely long chain, the excitation energy should converge to a finite value of 1.95 ± 0.1 eV. The adiabatic excitation energy in *trans*-polyacetylene is 1.97 eV for the $1^1B_u^+$ state.^{6,28b} From this value, an adiabatic excitation of ca. 1–1.4 eV can be estimated for 2^1A_g , and hence the projected corresponding vertical value (which for finite polyenes is ca. 0.5–0.8 eV higher than the adiabatic one) is in reasonable accord with the above converged value of 1.95 ± 0.1 eV. We note that the VBDF(T)s vertical excitation energies at uniform geometries also converge to a finite value, thus showing that the two states are separated by some intrinsic finite quantity which was called by Schulten and Tavan¹⁷ the covalent gap and which merits understanding in terms of our Rumer structures.

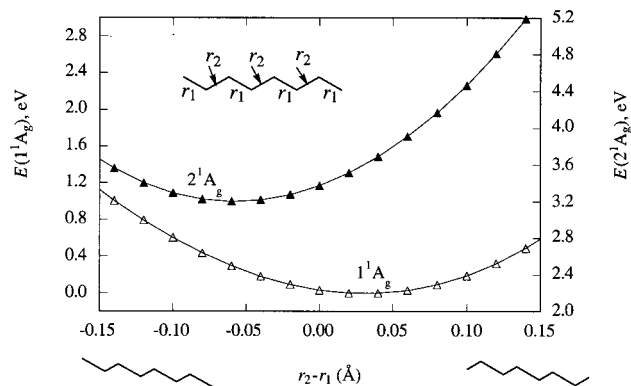
**Figure 2.** Energy variation of the 1^1A_g and 2^1A_g states of C_8H_{10} along the a_g coordinate. The 1^1A_g energy scale is read on the left-hand side while for 2^1A_g on the right-hand side.

Figure 2 shows the potential energy curves of the 1^1A_g ground state and the 2^1A_g excited state for C_8H_{10} plotted along the totally symmetric a_g coordinate, given by the bond length difference $r_2 - r_1$, and which inverts the direction of bond length alternation passing through the uniform geometry ($r_1 = r_2 = 1.41$ Å). The minimum of the ground state is obtained at $r_1 < r_2$ (1.44 Å and 1.38 Å). This result is in accord with sophisticated calculations by Roos et al.¹² and Nakayama et al.¹⁴ who showed that the bond alternation for the 2^1A_g state is opposite that in the 1^1A_g ground state. The same conclusion is deduced from experimental study of substituent effects on the excitation energy and on the vibrational modes, for polyenes up to $C_{16}H_{18}$.⁴⁹ Semiempirical calculations⁶ reveal that the 2^1A_g state undergoes reversal of the bond alternation in the central section C_3-C_{2n-2} of the polyene, whereas the terminal bonds remain short as in the 1^1A_g state. For $C_{10}H_{12}$, the semiempirical prediction is not corroborated by the MRMP¹⁴ datum which reveals a bond alternated structure for 2^1A_g . There are no ab initio data for longer polyenes to be compared with semiempirical predictions for 2^1A_g state geometries. Our own method is not equipped with an automatic geometry optimizer to tackle the precise geometric details. But, be the situation as it may, it is clear that as the polyene grows, its 2^1A_g state will exhibit reversed bond alternation, at least in a significant section of the polyene.

Comparison of the energy rise of the two curves in Figure 2 (read left vs right-hand scales) from their respective minimum shows that the excited-state potential is steeper than the ground-state potential. The same trend is obtained for other polyenes, which we have tested ($C_{2n}H_{2n+2}$; $n = 2-5$). The relative steepness of the states would require an exalted frequency of the a_g C=C stretching mode for the excited state, in line with experimental observations^{5,6,49} and ab initio calculations.⁵⁰

VB Wave Functions. The number of the Rumer structures becomes quite large as the polyene grows (Table 1). However, a few features of the wave function can still be understood with reference to two key structures, which are the fundamental structure R_1 and its Kekulé pair R_K (see, e.g., Scheme 2). Table 5 shows the coefficients and weights of these Rumer structures for the ground state and 2^1A_g excited state of a few polyenes. Each entry involves subentries, which correspond respectively to the situations in the ground-state geometry (a), in a uniform bond length geometry (b), and in the excited-state geometry (c). Inspection of the data in Table 5 shows that at the ground-state geometry, the fundamental Rumer structure has the highest weight in 1^1A_g , while R_K makes a minor contribution that decreases as the polyene gets longer.

TABLE 5: VBDF(T) Coefficients (*c*) and Weights (*w*) of the Fundamental Rumer Structure (*R*₁) and Its Kekulé Partner, (*R*_K) for C_{2n}H_{2n+2} Polyenes in the Ground and Excited States

entry ^a	n	1 ¹ A _g			2 ¹ A _g		
		c ₁ , w ₁	c _K , w _K	w(S) ^b	c ₁ , w ₁	c _K , w _K	w(S,D) ^c
1a	2	0.87, 0.85	-0.23, 0.15	0.15	0.76, 0.15	1.13, 0.85	0.85
2a	3	0.73, 0.70	0.09, 0.04	0.29	0.75, 0.19	-0.72, 0.61	0.81
2b	3	0.65, 0.60	0.15, 0.08	0.39	0.73, 0.24	-0.79, 0.64	0.76
2c	3	0.53, 0.46	0.24, 0.15	0.51	0.72, 0.30	-0.85, 0.63	0.70
3a	4	0.61, 0.56	-0.04, 0.01	0.39	0.64, 0.18	0.40, 0.32	0.81
3b	4	0.50, 0.44	-0.08, 0.04	0.49	0.58, 0.20	0.50, 0.40	0.79
3c	4	0.42, 0.34	-0.13, 0.07	0.57	0.54, 0.22	0.57, 0.44	0.77
4a	5	0.50, 0.45	0.02, 0.01	0.46	0.53, 0.15	-0.22, 0.16	0.83
4b	5	0.39, 0.32	0.05, 0.02	0.53	0.44, 0.16	-0.32, 0.24	0.82
4c	5	0.23, 0.16	0.14, 0.08	0.62	0.36, 0.18	-0.44, 0.30	0.81
(4d) ^d	5				0.43, 0.18	-0.33, 0.23 [0.04] ^d	

^a All entries marked (a) use ground-state geometry, (see Appendix 1). All entries marked (b) use uniform geometry, ($\lambda_s = 0.07$). All entries marked (c) use excited-state geometry. For $n = 4$, the excited-state geometry is taken from ref 12. For $n = 3, 5$, $r_1 = 1.46$ Å and $r_2 = 1.36$ Å are used. ^b $w(S)$ includes all $R_i(1)$. ^c $w(S,D)$ includes all $R_i(1)$, $R_i(2)$. ^d Data corresponding to semiempirical geometry in ref 6. The value in brackets is the weight of the Rumer structure with short terminal bonds and a long bond stretching over carbons 3 and 8.

The weight of R_K is significant in the 2¹A_g excited state and becomes increasingly more important at the uniform geometry and still more so at the excited-state geometry with reversal of bond alternation. For example, in C₁₀H₁₂ ($n = 5$), the weight of R_K doubles as the geometry varies from that of the ground state to that of the excited state (compare entries 4c and 4a). In fact, for all polyenes tested, R_K is the dominant excited-state structure at a geometry which exhibits reversed bond alternation relative to the ground state. Note, however, that the other singly and doubly excited Rumers make together a significant contribution to the excited state, as may be seen from the column entitled $w(S, D)$.

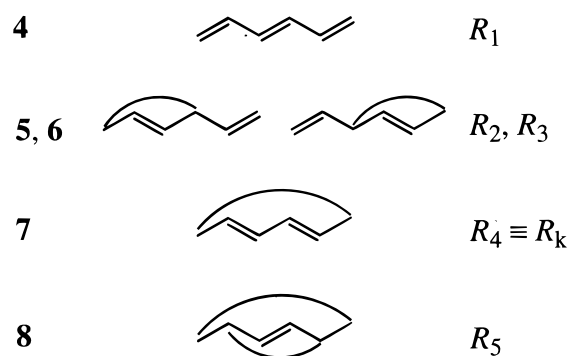
The last line in the table shows the weight of the structures at the semiempirically predicted geometry⁶ of the excited state for C₁₀H₁₂, with short terminal bonds and reversed bond alternation in the C₃-C₈ section. It is seen that R_K has the highest weight even in this geometry, while the Rumer structure with the long bond stretching over C₃-C₈ has a small weight (datum in square brackets). Clearly, the R_K Rumer will be important for the excited state in any geometry that involves reversed bond alternation in a significant portion of the polyene. As the polyene grows, R_K and other Rumers which possess long bonds extending over a major portion of the polyene, e.g., C₃-C_{2n-2}, C₁-C_{2n-2}, and C₃-C_{2n}, will all become important and lead to a geometry with reversed bond alternation over a significant length of the polyene.

An interesting feature in Table 5 is the relative sign of mixing of R_1 and R_K , which is precisely as in the corresponding antiaromatic/aromatic cyclic species,^{1,51-53} and may be understood based on the sign alternation of the overlap (and hence also of the reduced matrix element) between R_1 and R_K which is given by $(-1/2)^{n-1}$ in eq 12.

Discussion

Understanding the behavior of the Rumer structures and their mixing patterns provides some insight into the nature of the ground state and its covalent singlet excited states. To illustrate the insight we use C₆H₈ and analyze it in excruciating detail, which will assist us later to generalize the conclusions to higher polyenes. There exist five covalent structures which are shown in drawings 4-8.

Figure 3 shows Rumer mixing diagrams for C₆H₈. Part (a) constructs from the twin-pairs of the singly excited structures (R_2, R_3) the positive and negative linear combinations which transform as A_g and B_u, respectively. Subsequently, in part (b),



we mix all of the Rumers according to their symmetry properties. Thus, the $R_{2,3}^-$ combination that transforms as B_u finds no symmetry match and forms the 1¹B_u⁻ state. The four A_g combinations form in turn four A_g states, 1¹A_g - 4¹A_g, but we show in Figure 3(b) only the first two corresponding to the ground state and the hidden excited state.

The ground state 1¹A_g is nascent from R_1 , which mixes all other Rumers in bonding combinations (oppositely signed to the corresponding overlaps). The mixing of the doubly excited Rumer (R_5) is quite small, and hence its contribution is not shown explicitly. The hidden excited state, 2¹A_g, is nascent from R_K which mixes in a sandwich fashion with R_1 , $R_{2,3}^+$, and R_5 .

To understand this sandwich interaction better, we show it gradually in parts (c) and (d). Thus, in diagram (c), we mix R_1 initially with $R_{2,3}^+$ to form Φ_1 and Φ_1^* . Subsequently, in part (d) these two Rumer combinations, as well as R_5 , mix with R_K from above and below to form the 2¹A_g state that ends up involving R_1 and $R_{2,3}^+$ with the same sign of mixing (note that this is an antibonding relationship of the two). Thus, the final energy of 2¹A_g will be set by the balance of the sandwich interaction of R_K .

Figure 4 shows a Rumer correlation diagram for C₆H₈ along the bond-alternation coordinate which transforms as the totally symmetric representation and is hence the a_g mode coordinate. A few trends can be pointed out.

The fundamental Rumer is stabilized at $r_2 - r_1 > 0$ and is destabilized in the opposite direction of the coordinate. This behavior of R_1 is in accord with its tendency to maximize the stabilizing π -bonding energy along the short bonds which are along the C-C linkages having r_1 distances, and its tendency to minimize the repulsive nonbonded interactions which are

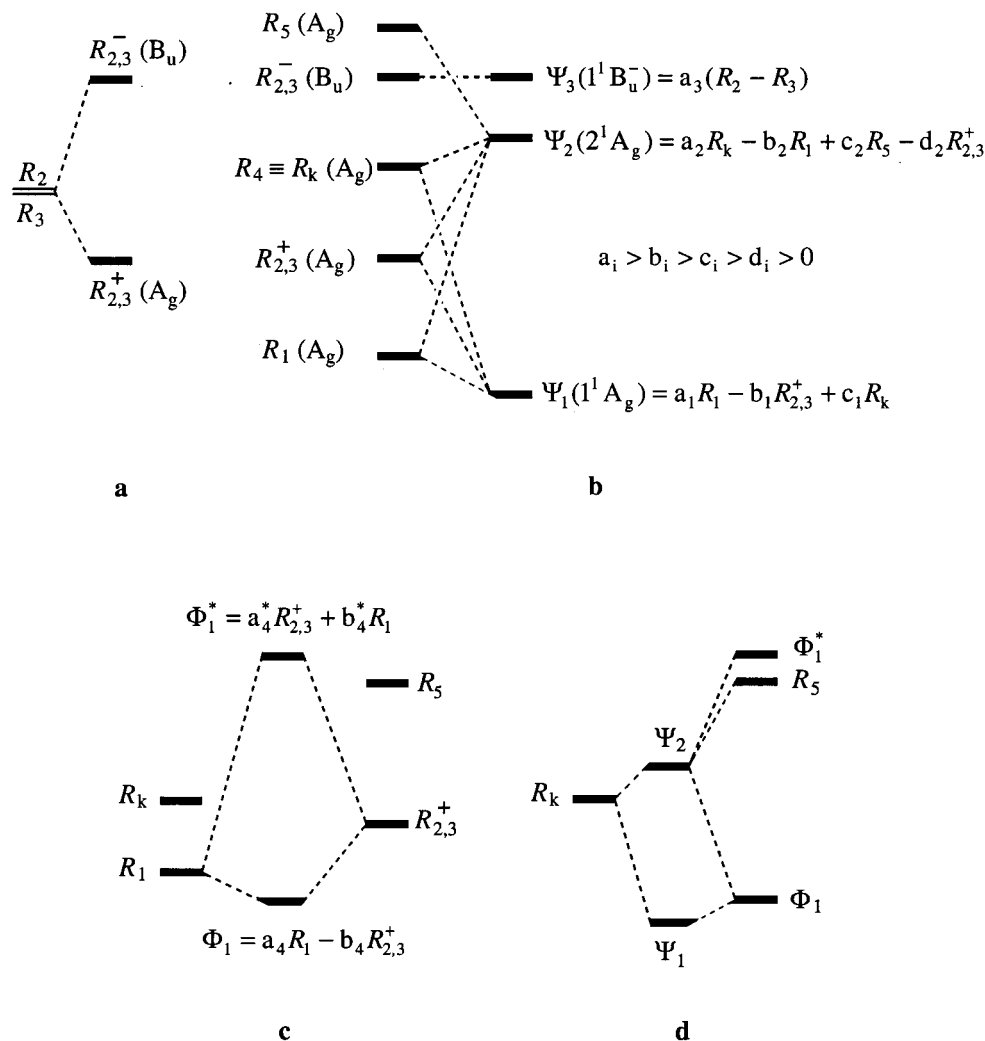


Figure 3. Rumer mixing diagram for C_6H_8 . (a) Construction of the symmetry adapted combinations of R_2 and R_3 . (b) Mixing of the symmetry matched structures and the resulting states. (c, d) Stepwise Rumer mixing diagrams which illustrate the bonding–antibonding interactions embedded in the 2^1A_g state.

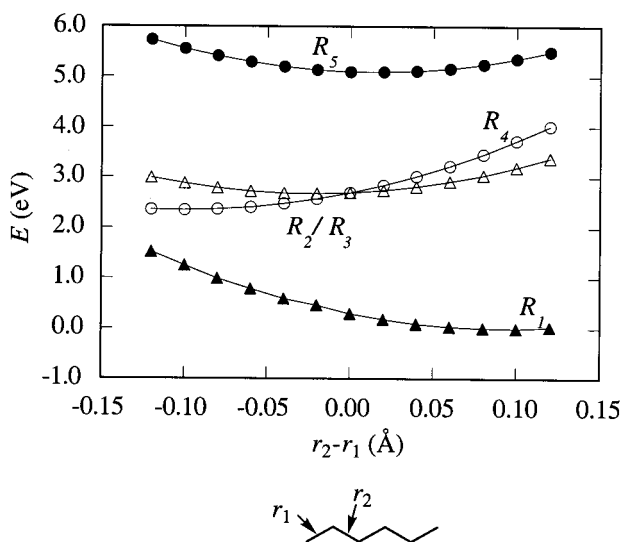


Figure 4. A Rumer correlation diagram along the a_g (bond alternation) coordinate.

across the linkages having an r_2 distance. The ground-state minimum of C_6H_8 is located at $r_2 - r_1 > 0$, near the minimum of the R_1 curve.

The Rumers of the singly excited block, $R_2 - R_4$, are degenerate at the uniform geometry ($r_2 - r_1 = 0$) but spread into a two-below-one or to a one-below-two on the two sides of the uniform geometry. The Kekulé structure R_K (R_4) has a minimum at a geometry corresponding to $r_2 - r_1 < 0$. This is in accord with the fact that now the short π -bonds are across the C–C linkages which possess r_2 distances. In fact, the minimum of the hidden excited state, 2^1A_g , is near the minimum of the Kekulé structure R_K . It follows therefore that both the ground state, 1^1A_g , and the hidden excited state, 2^1A_g , prefer a bond-alternated structure but will exhibit opposite bond alternation patterns. We further note that among the singly excited Rumers, R_K experiences the strongest relaxation along the a_g coordinate, simply because it contains the maximal number of short π -pairs which are stabilized along this coordinate, while at the same time the nonbonded repulsive π -interactions along the single bonds can be minimized along the same coordinate.

General Trends in $C_{2n}H_{2n+2}$. The basic features of Figures 3 and 4 are quite general, albeit more Rumer structures join the key players as the polyene grows longer. Thus, the ground state, 1^1A_g , will be nascent from R_1 mixed in primarily with all of the positive combinations of the twin-pair singly excited Rumers, $R_{ij}^+(1)$. The $R_{ij}^+(1)$ pairs that mix the most with R_1 are those which differ from R_1 by the smallest number of elementary shifts, and hence will possess a long bond with the shortest

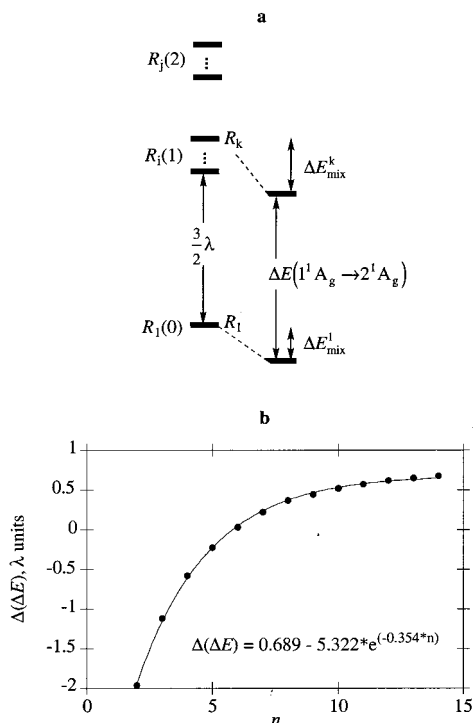


Figure 5. (a) The relation of the excitation energy, $\Delta E(1^1A_g \rightarrow 2^1A_g)$, to the original R_1 – R_K energy gaps, and the mixing energy quantities of these configurations. (b) The convergence of the difference mixing energy quantities of R_1 and R_K (eq 17) as a function of the polyene length.

possible range. Smaller contributions arise from R_K and other unique $R_i(1)$ structures. Still smaller (and negligible) contributions will come from doubly excited structures.

The $1^1 B_u^-$ state will generally be the third covalent state, Ψ_3 , and will be constructed from all the negative combinations, $R_{ij}^-(1)$, of the twin-pairs in the singly excited block, mixed with each other in a bonding fashion, with smaller contributions coming from the analogous twin combinations of the doubly excited blocks, $R_{ij}^-(2)$.

The hidden excited state will involve R_K mixed in an antibonding manner with R_1 and in a bonding manner with all other unique structures that are singly and doubly excited, as well as with all positive combinations of twin-pairs, $R_{ij}^+(1)$ and $R_{ij}^+(2)$, which belong to the singly and doubly excited blocks (the R_1 and the $R_{ij}^+(1)$ pairs will maintain an antibonding relation between them). Since the long bond of R_K stretches over the termini of the polyene, R_K will mix more strongly with those Rumer structures that possess long bonds with the longest possible bite (this ensures the largest overlap and reduced matrix element). It follows, therefore, that the 2^1A_g state will involve Rumers having contiguous double–single bond alternation in long sections of the polyene, e.g., C_1 – C_{2n-2} , C_3 – C_{2n} , and C_3 – C_{2n-2} . Thus, even though the state involves an extensive mixture of Rumer structures, it will bear R_K –likeness.

We may therefore regard R_1 and R_K as the generators of 1^1A_g and 2^1A_g , and focus hereafter on the behavior of these two Rumers, to understand trends in the 1^1A_g – 2^1A_g states.

Convergence of the Excitation Gap for Large Polyenes. Let us proceed first to understand the pattern of the 1^1A_g – 2^1A_g vertical excitation energy, as observed in experiment^{5,6,16,49} and as presented by the VB results in Figure 1. Figure 5(a) shows a schematic diagram that depicts the emanation of the 1^1A_g and 2^1A_g states from the generator Rumer structures. For simplicity, we consider here the case of a uniform geometry. Thus, initially

R_1 and R_K are separated by $(3/2)\lambda$ which is the elementary excitation energy involved in going from the fundamental Rumer to the singly excited block (recall Scheme 1a). By allowing the Rumer structures to mix with each other, the R_1 structure develops into the ground state and is lowered by ΔE_{mix}^1 . Similarly, R_K mixes with the other singly as well as with the doubly excited Rumers, develops into the excited state (2^1A_g), and is lowered by ΔE_{mix}^K . The excitation gap can be written then as

$$\Delta E(1^1A_g \rightarrow 2^1A_g) = \frac{3}{2}\lambda - (\Delta E_{\text{mix}}^K - \Delta E_{\text{mix}}^1) \quad (17)$$

Initially, for C_4H_6 and C_6H_8 the ΔE_{mix}^K quantity is negative due to the overriding antibonding interactions suffered by R_K as described in Figure 3. Starting with C_8H_{10} , the mixing quantity becomes negative and stabilizing due to the increasing number of doubly excited Rumer structures. As the polyene continues to grow, the difference of the mixing terms of R_1 and R_K will begin to converge to a finite quantity. Figure 5b shows a plot of $\Delta(\Delta E_{\text{mix}}^K - \Delta E_{\text{mix}}^1)$ in units of λ , against n , for a uniform polyene. It is apparent that the difference of the mixing quantities converges to a finite value which is somewhat less than $(3/4)\lambda$. As a result, the excitation energy of the uniform chain converges itself to a value which is very nearly $(3/4)\lambda$, ca. 1.1–1.5 eV, depending on the value of r at the uniform geometry. The same convergence of the mixing quantity is expected, and is in fact observed for a bond alternate polyene whether it is for the vertical excitation or the adiabatic excitation energies (see Figure 1). An upper bound for the excitation energy for the infinite polyene chain can be written as eq 18, by assuming that the $\Delta(\Delta E_{\text{mix}}^K - \Delta E_{\text{mix}}^1)$ quantity converges to zero for a bond alternated structure.

$$\Delta E(1^1A_g \rightarrow 2^1A_g)_{n \rightarrow \infty} \approx \frac{3}{2}\lambda_{\text{av}} \quad (18)$$

Here the quantity λ_{av} is the average value (1.4–1.5 eV) which sets the upper bound value of the excitation energy at 2.1–2.3 eV, in the range of the converged vertical value in Figure 1 (eq 16). It is seen then, that the intrinsic gap between the ground state and the hidden excited state of a polyene is simply the elementary excitation of unpairing one short bond to one long bond, as schematically depicted in Scheme 1b.

Bond Alternation Properties in the Ground and Excited States. R_K which completely alternates the short and long bonds relative to R_1 has the largest potential of stabilization along the bond alternation coordinate. All of the singly excited Rumers share a few short bonds, in the same positions as in the fundamental Rumer, and as such, their potential stabilization by geometric relaxation is limited to the site of the excitation. For long polyenes, the singly excited Rumer structures with long bonds in positions C_1 – C_{2n-2} , C_3 – C_{2n} , and C_3 – C_{2n-2} , etc., share with R_K a significant common length of reversed bond alternation, and as such they will all be stabilized along a_g coordinates which involve a significant bond alternation.

Figure 6 is a generalized Rumer correlation diagram, showing R_1 and R_K Rumer structures, along the a_g mode. The first important trend seen in the figure is the opposite sense of bond alternation exhibited by the two Rumers. Using the theoretical section we may write based on eq 8, the expressions for the energy of R_1 at the bond-alternated geometry and at the uniform geometry. For a bond-alternated geometry where the n short π -bonds are across the short r_1 distances and are associated with a large λ value (λ_1), while the $n - 1$ nonbonded interactions are

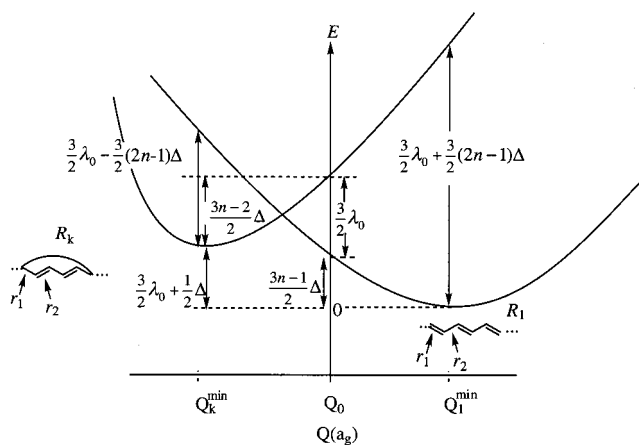


Figure 6. A general behavior and energetics of R_1 and R_K along the bond alternation coordinate.

across the longer r_2 distances and have a small λ value (λ_s), the energy will be given by eq 19.

$$E(R_1)_{\text{alt}} = E_{\text{sa}} - n\lambda_1 + \frac{(n-1)\lambda_s}{2} \quad (19)$$

For a uniform geometry with $\lambda = \lambda_0$, the energy expression reduces to eq 20.

$$E(R_1)_0 = E_{\text{sa}} - \frac{(n+1)\lambda_0}{2} \quad (20)$$

Assuming a simple relation between all of these λ values,

$$\lambda_1 = \lambda_0 + \Delta \quad \lambda_s = \lambda_0 - \Delta \quad (21)$$

The energy stabilization of R_1 by bond alternation will be given by,

$$E(R_1)_{\text{alt}} - E(R_1)_0 = -\frac{(3n-1)\Delta}{2} \quad (22)$$

In a similar manner for R_K , in the bond-alternated geometry, where now r_1 is longer than r_2 , there exist $n-1$ π -bonds and n nonbonded repulsions across the longer linkages. Accordingly the energy expression is

$$E(R_K)_{\text{alt}} = E_{\text{sa}} - (n-1)\lambda_1 + \frac{n\lambda_s}{2} \quad (23)$$

At the uniform geometry, this becomes

$$E(R_K)_0 = E_{\text{sa}} - \frac{(n-2)\lambda_0}{2} \quad (24)$$

Using the expressions for the λ in terms of the uniform λ_0 , the stabilization of R_K due to bond alternation follows as

$$E(R_K)_{\text{alt}} - E(R_K)_0 = -\frac{(3n-2)\Delta}{2} \quad (25)$$

Because R_K possesses the maximal number of short bonds among the singly excited Rumer, it will enjoy the largest stabilization by bond alternation and will drive the 2^1A_g excited state toward this geometry. Since Δ is a significant quantity, 0.3–0.4 eV, the bond alternation propensity of R_1 and R_K will be very strong and will dominate the behavior of their respective states, which will in turn exhibit bond alternation in opposite

senses along the a_g coordinate.^{29b} The intrinsic energy of the σ -frame given by E_{sa} , which does not prefer bond alternation, and the effect of mixing of other Rumer structures (e.g., with C_1-C_{2n-2} , C_3-C_{2n} , and C_3-C_{2n-2} , long bonds) will modify the geometries and will introduce fluctuation from perfect bond alternation,⁶ but will not disrupt the trends established by R_1 and R_K . We may therefore, generalize, that for $C_{2n}H_{2n+2}$, the ground and hidden excited states will both exhibit approximate bond alternation in opposing senses. As the polyene grows, this bond alternation reversal, even if not stretching across the full length, will still be maintained in a significant portion of the polyene. Very crudely speaking, the adiabatic $1^1A_g \rightarrow 2^1A_g$ excitation may be described based in Figure 6 as a bond shift attended by concomitant inversion of the bond-length alternation, in a significant length of the polyene.

The Frequency of the Totally Symmetric C=C Stretching Mode. To understand the trends in the $\omega(a_g)$ frequency of the C=C mode, consider the mixing patterns of the two key Rumer in the vicinities of their respective minima in Figure 6 (consult also Figure 4 for C_6H_8). The energy difference between the fundamental and the excited Rumer structures is larger near Q_1^{min} and decreases toward Q_K^{min} . Consequently, R_1 enjoys the least stabilization energy by VB mixing near its own minimum Q_1^{min} , whereas away from the minimum toward $r_1 > r_2$, the energy gap decreases and the mixing increases. Similarly, to the right of Q_1^{min} , the mixing increases since λ , the mixing parameter, increases. Consequently, the ground-state curve will become shallow around Q_1^{min} , leading to a low frequency for the a_g mode.

Understanding the steepness of the excited state is a bit more complex because 2^1A_g is obtained from R_K by a balance of bonding and antibonding interactions with the other structures. However, it is clear from Figure 6 that R_1 and R_K approach one another near the Q_K^{min} minimum. Eventually the two Rumer will cross one another along the a_g coordinate. From the energy expressions of the two Rumer in the alternate geometry, near Q_K^{min} , and by use of the condition for crossing ($E_1 = E_K$), it is possible to derive a general condition for the crossing, in eq 26

$$\Delta = \frac{\lambda_0}{(2n-1)} \quad (26)$$

This expression provides the means to locate the crossing point for any given λ_0 value. Using the value for $r_0 = 1.41$ Å, it is possible to find the values of Δ which will correspond to a crossing point for any given n in $C_{2n}H_{2n+2}$. It is apparent that for short polyenes $n = 2$ and 3 the crossing will require large Δ , corresponding to unrealistic geometries. Thus, for C_4H_6 ($n = 2$), our calculated crossing point corresponds to $r_1 = 1.57$ Å and $r_2 = 1.25$ Å, which corresponds almost to a fragmented molecule. As n gets larger Δ gets closer to zero, which means that the crossing will shift gradually toward the uniform geometry, and the infinitely long polyene will resemble an infinite $C_{2n}H_{2n}$ ring.

The crossing of R_1 and R_K was verified also for $C_8H_{10}-C_{12}H_{14}$. In the vicinity of the crossing point, 1^1A_g and 2^1A_g correspond to bonding and antibonding combinations of R_1 and R_K which contribute, in turn, approximately equal weights to the two states. This avoided crossing picture is reminiscent of the Kekulé mixing picture,^{52a,53,54} which was used before to account for the exalted frequency of the b_{2u} mode in the 1^1B_{2u} excited state of benzene. In the benzene case, the two Kekulé structures intersect along the b_{2u} mode, and by avoided crossing lead to a low $\omega(b_{2u})$ frequency in the ground state and an exalted

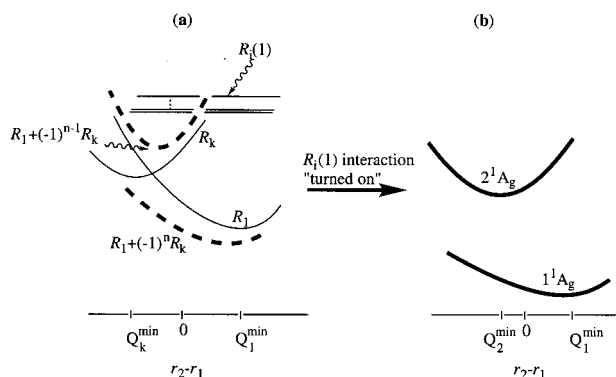


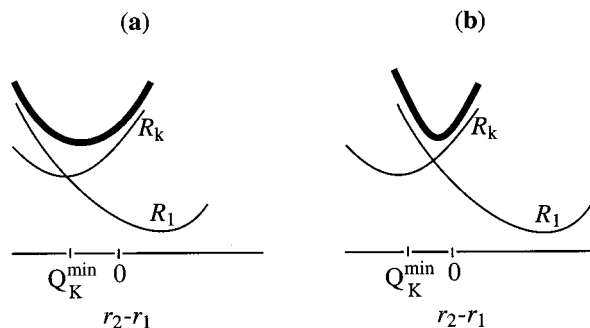
Figure 7. (a) Crossing and avoided crossing of R_1 and R_K along the bond alternation coordinate. The resulting avoided crossing combinations are traced by dashed-bold lines. (b) The 1^1A_g and 2^1A_g states after the “turning on” of the interaction with all other singly excited Rumer structures, $R_i(1)$. After this latter mixing, near the corresponding minima of each state, the 1^1A_g state is shallower than R_1 , while the 2^1A_g retains the memory of the avoided crossing and is steeper than R_K . Note that in the 1^1A_g ground state, the C=C mode motion follows the bonding properties of R_1 , while in the 2^1A_g excited state the motion follows the π -bond reversal inherent in the R_1 – R_K avoided crossing.

one in the 1^1B_{2u} excited state. In the present problem, the situation is more complex because the R_1 – R_K crossing occurs at a geometry where all other singly excited Rumers are close in energy and mix into the two states. To decipher the problem, we studied the C_8H_{10} and $C_{10}H_{12}$ cases in details and the results are depicted in Figure 7.

Thus, Figure 7a shows the avoided crossing (by dashed-bold curves) of R_1 and R_K along the bond alternation coordinate. As a result of the avoided crossing, one forms a lower combination which is shallower than R_1 , and a higher combination flanked between the rising branches of both R_1 and R_K , and hence is much steeper than either Rumer structure in the avoided crossing region. Above the upper combination there lie all other singly excited Rumer structures, labeled as $R_i(1)$. In a second step, in Figure 7b, we turn on the interaction of these $R_i(1)$ structures which, by mixing with the $R_1 \pm R_K$ combinations, generate the final 1^1A_g and 2^1A_g states. Hence, due to the increased mixing of R_1 with higher lying singly excited Rumers, the 1^1A_g potential becomes shallower along the a_g mode, as the ground-state geometry varies to-and-fro around Q_1^{\min} . The excited state, on the other hand, retains the memory of the R_1/R_K avoided crossing, and has therefore a steeper potential around Q_2^{\min} . This steeper potential is the root cause of the exalted $\omega(a_g)$ frequency in 2^1A_g . Thus, even though there is a significant blending of a sea of Rumer structures in each state, in the end the $\omega_{C=C}(1^1A_g)$ frequency reflects the behavior of R_1 and its mixing patterns as the C–C bonds swing back and forth about their equilibrium values in Q_1^{\min} . In contrast, the exalted $\omega_{C=C}(2^1A_g)$ frequency reflects the behavior of an antibonding avoided crossing state combination of R_1 and R_K . Thus, the exalted C=C frequency in the 2^1A_g excited state of polyenes is reminiscent of the behavior of the Kekulé mode (b_{2u}) in benzene and other acenes.^{52a,53,54}

In fact, the R_1/R_K avoided crossing model for the excited state frequency can account for an additional trend, namely that the upshift of the C=C frequency generally gets larger as the polyene chain gets longer.⁴⁹ Thus, it is apparent from Figures 6 and 7a that, as the polyene grows longer and the crossing point shifts toward the uniform geometry (eq 26), the two crossing curves become steeper in the crossing region since their

SCHEME 6: Behavior of the Excited State Resulting from the Avoided Crossing of R_1 and R_K , for $C_{2n}H_{2n+2}$, along the Bond Alternation Coordinate (a) for Larger n Values, when the Crossing Takes Place near Q_K^{\min} , and (b) when the Crossing Takes Place near the Uniform Geometry



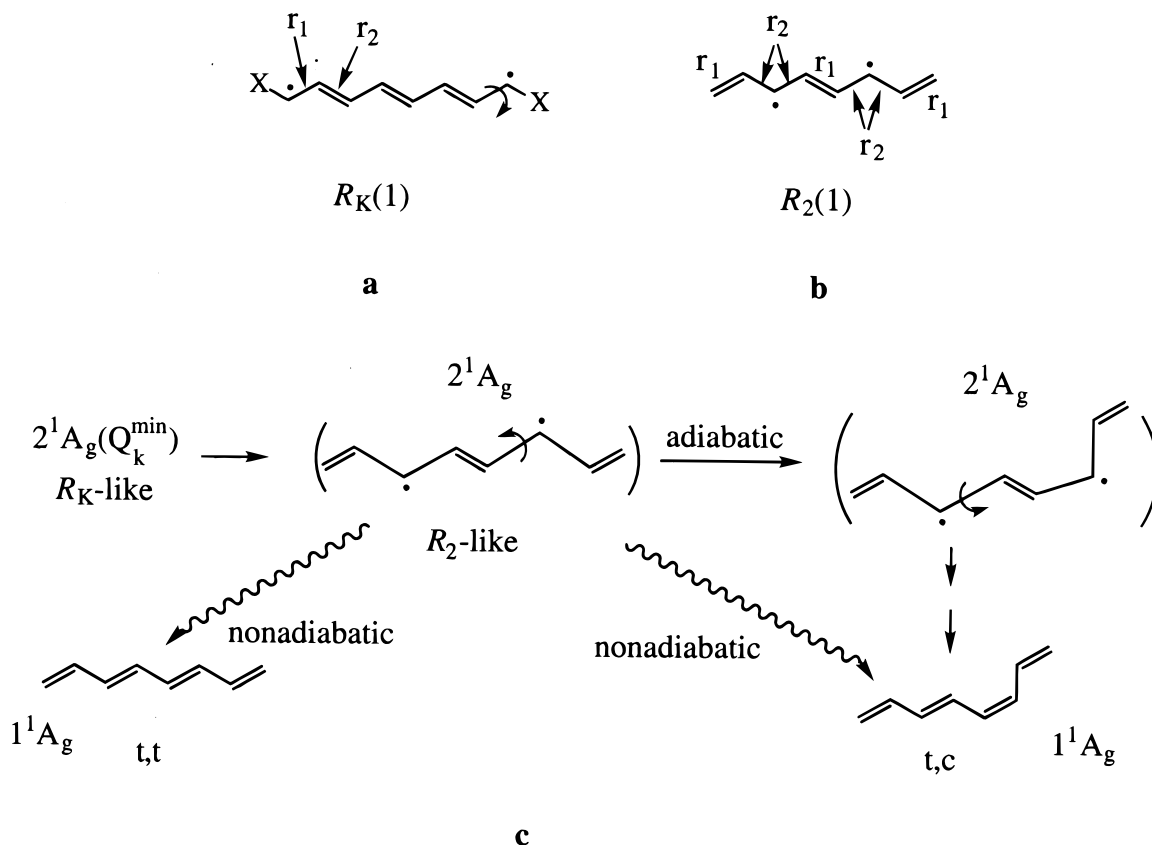
energies relative to the curve minima increase in proportion to n (see eqs 22 and 25). Consequently, due to avoided crossing, the antibonding combination will become gradually steeper, leading eventually to an increase of the C=C frequency in 2^1A_g (as shown in a vs b in Scheme 6). One can further predict that the frequency of the excited state should ultimately converge because the number of excited Rumers that mix into the avoided crossing state (Figure 7b) increases, thus mitigating the steepness of the state as the polyene grows longer.

The role of the R_K structure in the increase frequency of the $\omega_{C=C}$ mode has been deduced before by Kohler et al.⁴⁹ who ascribed the frequency exaltation to the “double bond reversal” relative to the ground state. Kohler has concluded that the bond-alternation reversal inherent in the VB picture accounts better than other models for several observations regarding the hidden excited state (e.g., the frequency exaltation, the signs of anharmonicity in the ground and excited states, and the stability patterns of the excited state). Kamisuki et al.^{55a} have used an empirical VB treatment similar to that of Scherer et al.,^{55b} to account for the upshift of the C=C frequency in C_8H_{10} .

Possible Other Manifestations of the Valence Bond Picture. The R_1/R_K crossing can have an important impact on the connection of the ground and excited states. Thus, at the avoided crossing geometry, the 1^1A_g – 2^1A_g gap is small (e.g., for $C_{10}H_{12}$ the gap is 2.1 eV compared with 3.6 eV at the ground-state minimum). Because the reduced matrix element β_{1K} approaches zero as n goes to infinity (eq 15), we expect the avoided-crossing interaction to diminish with the polyene size. This small gap, which is near the 2^1A_g minimum, will affect the efficiency of radiationless decay from 2^1A_g to 1^1A_g . Thus, by twisting out of planarity, the mixing parameter λ further decreases and the avoided crossing becomes a real crossing and can serve as a funnel from the excited state to the ground state.⁵⁶ This has been shown in a series of important papers by Olivucci, Bernardi, and Robb for excited states of a few short polyenes.⁵⁷

C_8H_{10} has been studied extensively by Kohler⁵ and by Christensen et al.^{47f} and was found to exhibit a low fluorescence quantum yield which increased with terminal substitution, and to undergo very facile isomerization from the trans,trans isomer to the cis,trans and cis,cis isomers. The isomerization mechanism has been elucidated by computational means,^{57c} and the fastest process appears to be associated with a conical intersection between 2^1A_g and 1^1A_g , while a slower one involves initial isomerization on 2^1A_g followed by decay. Here we merely wish to show the useful insight gained by use of Rumer structures.

Scheme 7 shows two singly excited structures for C_8H_{10} . These structures appear also above in Scheme 2, and here we

SCHEME 7: Singly Excited Rumer Structures with the Long Bonds Depicted as Diradicaloids, and Mechanistic Significance

TABLE A. 1: C–C Bond Lengths of $C_{2n}H_{2n+2}$ Polyenes^{a,b}

n	r_1	r_2	r_3	r_4	r_5	r_6	r_7	r_8	r_9	r_{10}	r_{11}	r_{12}	r_{13}	r_{14}
2	1.3554	1.4672												
3	1.3579	1.4592	1.3653											
4	1.3588	1.4571	1.3685	1.4499										
5	1.3592	1.4562	1.3698	1.4470	1.3720									
6	1.3595	1.4558	1.3705	1.4458	1.3737	1.4439								
7	1.3596	1.4555	1.3709	1.4451	1.3745	1.4423	1.3754							
8	1.3597	1.4554	1.3711	1.4447	1.3750	1.4415	1.3765	1.4407						
9	1.3598	1.4552	1.3713	1.4444	1.3754	1.4408	1.3772	1.4394	1.3777					
10	1.3597	1.4551	1.3713	1.4442	1.3756	1.4405	1.3775	1.4389	1.3782	1.4385				
11	1.3599	1.4551	1.3715	1.4441	1.3757	1.4404	1.3777	1.4386	1.3787	1.4379	1.3790			
12	1.3599	1.4551	1.3715	1.4441	1.3758	1.4403	1.3779	1.4385	1.3789	1.4376	1.3793	1.4373		
13	1.3599	1.4551	1.3715	1.4441	1.3758	1.4403	1.3779	1.4384	1.3790	1.4374	1.3796	1.4370	1.797	
14	1.3599	1.4551	1.3715	1.4441	1.3758	1.4403	1.3779	1.4384	1.3791	1.4374	1.3797	1.4369	1.3800	1.4365

^a Optimized at the B3LYP/6-31G level. ^b Unique bond lengths are reported and are specified in order where the terminal bond is denoted as r_1 , etc.

draw them in the essential chemical character where the “long-bond” is replaced by a diradical structure. Thus, the Kekulé structure, R_K , in a is a 1,8-diradical, and a rotation about its terminal C–C bond will possess a small barrier in comparison with the corresponding process in the ground state. Upon rotation (a more complex motion is shown in ref 57c), the 1^1A_g – 2^1A_g surfaces will touch and the radiationless conversion from the excited state to the ground state will be facilitated. Terminal substituent X (e.g., Ph), which hinders the rotation, will reduce the radiationless efficiency and increase the fluorescence yield. A similar rationale was given by Kohler et al.⁴⁹ for the stability of polyenes conferred by α,ω substituents such as Ph which stabilize radical centers.

From a broader perspective, the 2^1A_g excited state is a mixture of excited Rumer structures where the diradicaloid moiety is distributed in different locations of the polyene. At different

geometries, the excited state will have a different dominant character. For example, in the bond alternated geometry where $r_1 > r_2$, R_K will be the dominant character and the diradical will occupy the 1,8 terminals, as in a. In a nonalternated geometry, where two long bonds separate two shorter bonds, the excited state will possess a major R_2 character as shown in b, with a diradical in the 3,6 positions. From these different geometries the polyene excited state can experience different decay and isomerization pathways. In c we show how a geometric distortion which localizes the odd electrons in two (CH)₃ units with long C–C bonds, transforms the 2^1A_g excited state from R_K -like to R_2 -like. In this geometry the polyene can undergo an adiabatic isomerization on the 2^1A_g potential to the trans,cis (t,c) isomer. It has been invincibly demonstrated by Olivucci, Robb, Bernardi, et al.^{57c} that the structure of the conical intersection, which leads to radiationless decay, involves a

localized (CH)₃ moiety. Thus, the R₂-like geometry is also a precursor of a conical intersection, which leads to nonadiabatic isomerization along with decay to the (t,t)-isomer. Finally, it seems reasonable to postulate that different distortions from the bond-alternated 2¹A_g minima will generate a variety of shallow local minima which will have characteristics of the different singly excited Rumer. These minima will correspond to bi-solitons which localize singlet paired radicals on different sites of the polyene. As argued above, the more likely positions of the bi-solitons are not too distant from the termini of the polyene (e.g., C₁–C_{2n-2}, C₃–C_{2n}, and C₃–C_{2n-2}, etc bi-soliton). These solitons will be separated from each other by tiny barriers, and therefore one may envision the 2¹A_g excited state as a species which performs soliton hopping between quasidegenerate Rumer minima.

Conclusion

The VBDFT(s) method presented above combines accuracy and simplicity. Its mixing rules enable to gain insight into a variety of properties of the various covalent states of polyene, such as the excitation energies and their convergence at an infinite length of the polyene, the opposite bond alternation of the ground state and the 2¹A_g state, and notably the puzzling phenomenon of the C=C frequency exaltation in the 2¹A_g state.

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Appendix 1

The appendix consists of a table (Table A.1) which collects the optimized C–C distances of the polyenes studied in the paper.

Appendix 2. A Spin-Free Form of VBDFT(s)

The spin-free form of valence bond theory has been discussed using symmetric group approach by McWeeny,³⁷ Zhang,^{38,39} and co-workers. The spin-free form of VBDFT(s) is used in this paper to carry out all calculations using Rumer structures because of its computational and conceptual conveniences. With the approximations used³ (zero differential overlap between VB determinants, and retention of neighboring λ only), the Hamiltonian and overlap matrix elements for linear systems in VBDFT(s) become

$$H_{ij} = E_{sa} S_{ij} - \sum_{k=1}^{N-1} D_{11}^{[\mu]} (P_i^{-1} (k, k+1) P_j) \lambda_{k, k+1} \quad (\text{A2.1})$$

$$S_{ij} = D_{11}^{[\mu]} (P_i^{-1} P_j) \quad (\text{A2.2})$$

Here N is the number of electrons of the system, P_i is the permutation acting on electronic indexes by means of a transposition $(k, k+1)$ between indexes k and $k+1$, and thereby transforming Rumer structure R_1 to R_i . The $D_{11}^{[\mu]}$ term is the first diagonal matrix element of the irreducible representation $[\mu] = [2^{N/2-S}, 1^{2S}]$ for permutation P , whereas S is spin multiplicity. The structure R_1 is the fundamental structure with a consecutive bonding pattern, 1–2, 3–4, ..., $(N-1) - N$ (i.e., atom 1 is bonded to 2, 3 to 4, etc.). The value of $D_{11}^{[\mu]} (P)$ has been shown³⁹⁻⁴¹ to have the form of $(-1)^t (-1/2)^u$, where t and u depend on the permutation P and the irreducible representation $[\mu]$. For singlet states, $t = 0$. Thus $D_{11}^{[\mu]} (P)$ has

a simple form $(-1/2)^u$. From eq A.2.1 there follows an expression for the energy of Rumer, in eq A.2.3.

$$E(R_i) = E_{sa} - \sum_{k=1}^{N-1} D_{11}^{[\mu]} (P_i^{-1} (k, k+1) P_i) \lambda_{k, k+1} \quad (\text{A.2.3})$$

A discussions of u is more complex and the interested reader is referred to the original literature.³⁷⁻⁴¹ In the text we provide qualitative guides for determining this quantity.

The number of Rumer structures is the same as the dimension of the irreducible representation $[\mu]$, and given as eq A.2.4 for any spin situation S .

$$m = \binom{N}{\frac{1}{2}N - S} - \binom{N}{\frac{1}{2}N - S - 1} \quad (\text{A.2.4})$$

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