

Classical and quantum reaction dynamics in multidimensional systems

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Joint work with

- Roman Schubert
- Steve Wiggins

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Classical and quantum reaction dynamics in multidimensional systems

Transformations (like chemical reactions) are mediated by phase space “bottlenecks” (transition states)

Transition State Theory (Eyring, Polanyi, Wigner 1930s)

- Compute reaction rate from directional flux through ‘dividing surface’ in the transition state region
- ⇒ Computational benefits:
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Key problems and interests

- Dividing surface needs to have 'no recrossing property', i.e. it is to be crossed exactly once by all reactive trajectories and not crossed at all by non-reactive trajectories
- How to construct a dividing surface with these properties for multidimensional systems?
- Experiments indicate
 - transition states are more than merely a formal concept, but of physical significance
 - 'supermolecules' poised between reactants and products
 - the *dynamics* of reactions is important
 - violation of ergodicity assumptions (non RRKM behaviour; IVR)
- Understanding the mechanisms that govern reaction dynamics is a prerequisite for the control of chemical reactions
- How to formulate and realise a quantum version of transition state theory?

(see, e.g., E. Pollak & P. Talkner. (2005) Reaction rate theory: What it was, where it is today, and where is it going? *Chaos* 15 026116)



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Classical Reaction Dynamics in Multidimensional Systems

Phase Space Conduits for Reaction

Phase Space Structures near a Saddle

Setup

Consider f -degree-of-freedom Hamiltonian system

$(\mathbb{R}^{2f}(p_1, \dots, p_f, q_1, \dots, q_f), \omega = \sum_{k=1}^f dp_k \wedge dq_k)$ and Hamiltonian function \mathcal{H} .

Assume that the Hamiltonian vector field

$$\begin{pmatrix} \dot{p} \\ \dot{q} \end{pmatrix} = \begin{pmatrix} -\frac{\partial \mathcal{H}}{\partial q} \\ \frac{\partial \mathcal{H}}{\partial p} \end{pmatrix} \equiv J D\mathcal{H}, \quad J = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}$$

has **saddle-centre-...-centre equilibrium point** ('saddle' for short) at the origin, i.e.

$$J D^2 \mathcal{H} \text{ has eigenvalues } \pm \lambda, \pm i\omega_2, \dots, \pm i\omega_f, \quad \lambda, \omega_k > 0$$

Phase Space Structures near a Saddle

Linear vector field for $f = 2$ degrees of freedom

Simplest case

Consider Hamilton function

$$\begin{aligned}\mathcal{H} &= \frac{1}{2}p_x^2 - \frac{1}{2}\lambda^2x^2 + \frac{1}{2}p_y^2 + \frac{1}{2}\omega_y^2y^2 \\ &=: \mathcal{H}_x + \mathcal{H}_y\end{aligned}$$

- corresponding vector field is

$$\begin{pmatrix} \dot{p}_x \\ \dot{p}_y \\ \dot{x} \\ \dot{y} \end{pmatrix} = J D\mathcal{H} = \begin{pmatrix} 0 & 0 & -1 & 0 \\ 0 & 0 & 0 & -1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \end{pmatrix} \begin{pmatrix} \frac{\partial \mathcal{H}}{\partial p_x} \\ \frac{\partial \mathcal{H}}{\partial p_y} \\ \frac{\partial \mathcal{H}}{\partial x} \\ \frac{\partial \mathcal{H}}{\partial y} \end{pmatrix} = \begin{pmatrix} \lambda^2x \\ -\omega_y^2y \\ p_x \\ p_y \end{pmatrix}$$

- \mathcal{H}_x and \mathcal{H}_y are conserved individually,

$$\mathcal{H}_x = E_x \in \mathbb{R}, \quad \mathcal{H}_y = E_y \in [0, \infty), \quad \mathcal{H} = E = E_x + E_y \in \mathbb{R}$$

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Linear vector field for $f = 2$ degrees of freedom $E < 0$:Rewrite energy equation $\mathcal{H} = E$ as

$$\underbrace{E + \frac{1}{2}\lambda^2 x^2 = \frac{1}{2}p_x^2 + \frac{1}{2}p_y^2 + \frac{1}{2}\omega_y^2 y^2}_{\simeq S^2 \text{ for } x \in \left(-\infty, -\frac{\sqrt{-2E}}{\lambda}\right)} \\ \text{or } x \in \left(\frac{\sqrt{-2E}}{\lambda}, \infty\right)$$

 \Rightarrow Energy surface

$$\Sigma_E = \{\mathcal{H} = E\}$$

consists of two disconnected components representing 'reactants' and 'products'

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⇒ Energy surface

$$\Sigma_E = \{\mathcal{H} = E\} \simeq S^2 \times \mathbb{R} \quad (\text{spherical cylinder})$$

⇒ Σ_E bifurcates at $E = 0$ (the energy of the saddle) from *two* disconnected components to a *single* connected component

- Consider projection of Σ_E to $\mathbb{R}^3(x, y, p_y)$, i.e. project out

$$p_x = \pm \sqrt{2E - p_y^2 + \lambda^2 x^2 - \omega_y^2 y^2}$$

which gives two copies for the two signs of p_x

Phase Space Structures near a Saddle
Linear vector field for $f = 2$ degrees of freedom $E > 0$:

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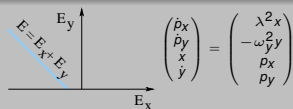
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Phase Space Structures near a Saddle

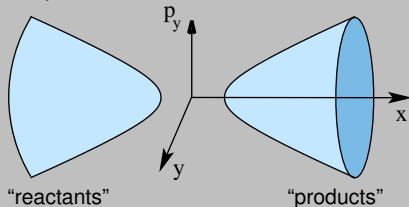
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E < 0$

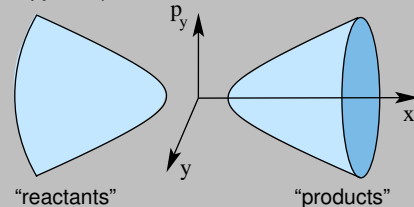


- Σ_E consists of two components representing reactants and products

copy with $p_x \geq 0$



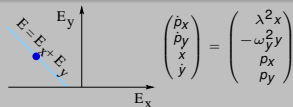
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

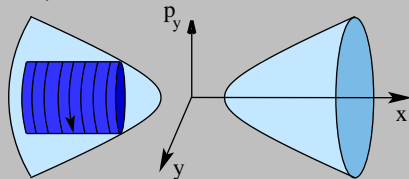
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Σ_E for $E < 0$



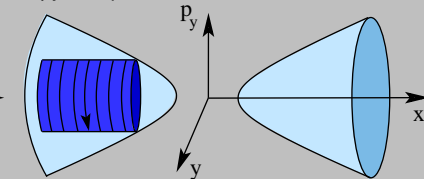
- all trajectories have $\mathcal{H}_x = E_x < 0$ and hence are non-reactive

copy with $p_x \geq 0$



non-reactive trajectory on the side of reactants

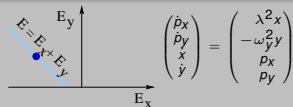
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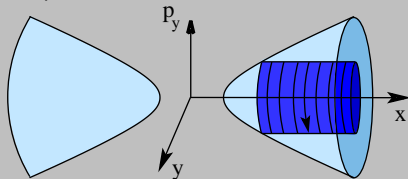
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Σ_E for $E < 0$



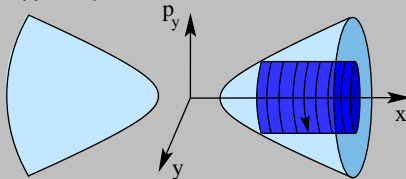
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non-reactive trajectory on the side of products

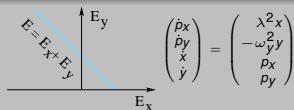
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Phase Space Structures near a Saddle

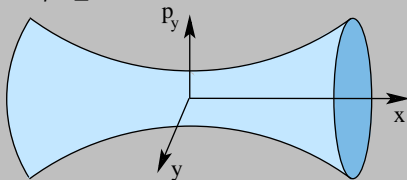
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$

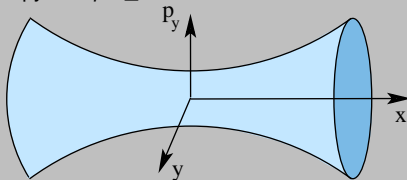


$\Sigma_E \simeq S^2 \times \mathbb{R}$

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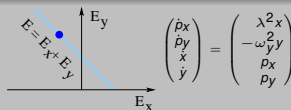
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

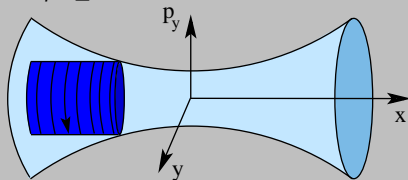
Linear vector field for $f = 2$ degrees of freedom

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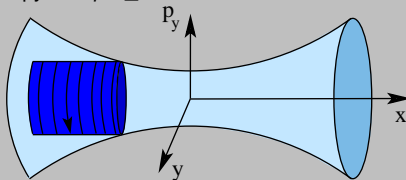
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copy with $p_x \geq 0$



Non-reactive trajectory on the side of reactants

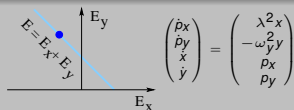
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

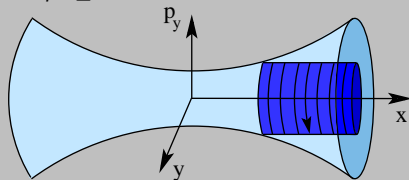
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$



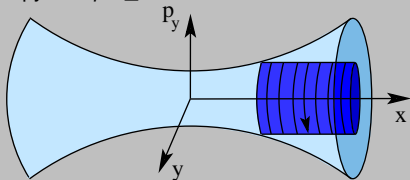
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Non-reactive trajectory on the side of products

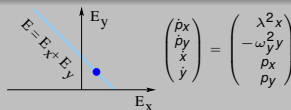
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

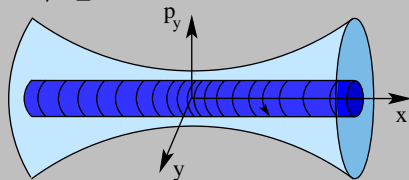
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$



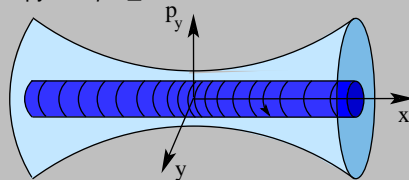
- Reactive trajectories have $\mathcal{H}_x = E_x > 0$

copy with $p_x \geq 0$



forward reactive trajectory

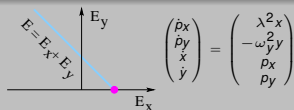
copy with $p_x \leq 0$



backward reactive trajectory

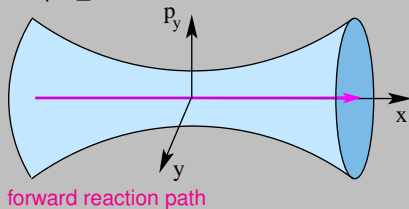
Phase Space Structures near a Saddle Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$

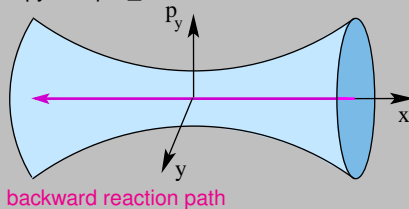


- **Dynamical reaction paths** have $\mathcal{H}_x = E_x = E$ (i.e. $\mathcal{H}_y = E_y = 0$)

copy with $p_x \geq 0$

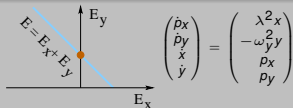


copy with $p_x \leq 0$



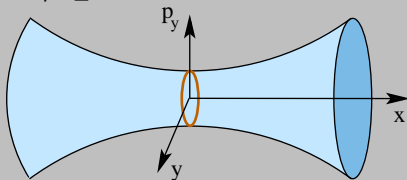
Phase Space Structures near a Saddle Linear vector field for $f = 2$ degrees of freedom

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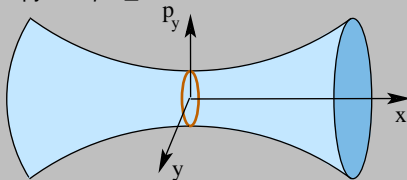


- Lyapunov periodic orbit $\simeq S^1$ has $\mathcal{H}_x = E_x = 0$ with $x = p_x = 0$

copy with $p_x \geq 0$



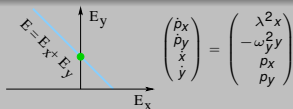
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Phase Space Structures near a Saddle

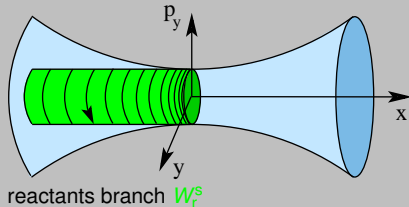
Linear vector field for $f = 2$ degrees of freedom

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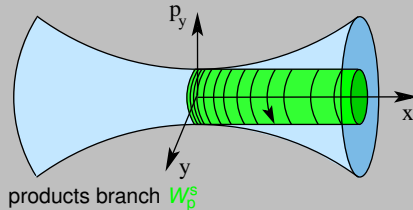


- Stable manifolds $W^s \simeq S^1 \times \mathbb{R}$ has $\mathcal{H}_x = E_x = 0$ with $p_x = -\lambda x$

copy with $p_x \geq 0$



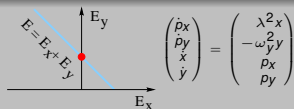
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

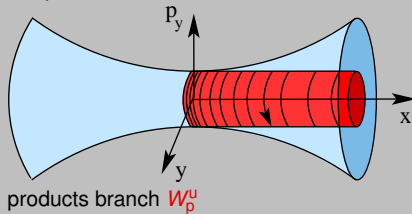
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$

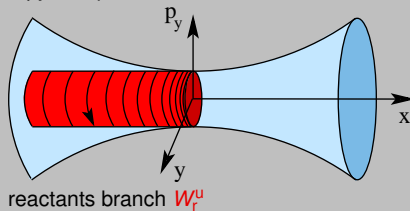


- Unstable manifolds $W^u \simeq S^1 \times \mathbb{R}$ has $\mathcal{H}_x = E_x = 0$ with $p_x = \lambda x$

copy with $p_x \geq 0$

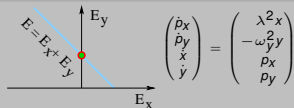


copy with $p_x \leq 0$



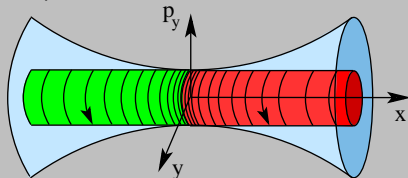
Phase Space Structures near a Saddle Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$



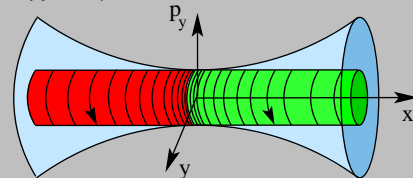
- Forward cylinder $W_r^s \cup W_p^u$ and backward cylinder $W_p^s \cup W_r^u$ enclose all the forward and backward reactive trajectories, respectively

copy with $p_x \geq 0$



forward cylinder

copy with $p_x \leq 0$

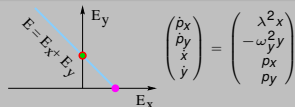


backward cylinder

Phase Space Structures near a Saddle

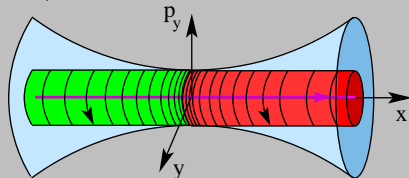
Linear vector field for $f = 2$ degrees of freedom

Σ_E for $E > 0$



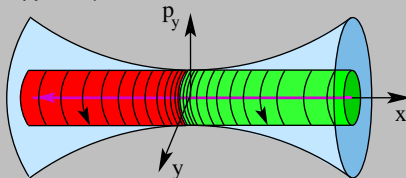
- Forward and backward **dynamical reaction paths** form the centreline of the forward and backward cylinders, respectively

copy with $p_x \geq 0$



forward reaction path

copy with $p_x \leq 0$

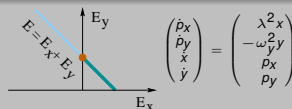


backward reaction path

Phase Space Structures near a Saddle

Linear vector field for $f = 2$ degrees of freedom

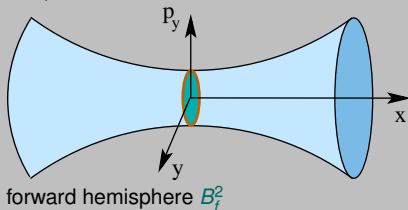
Σ_E for $E > 0$



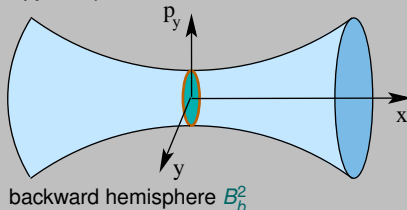
- Dividing surface $\simeq S^2$ has $x = 0$,

Lyapunov periodic orbit $\simeq S^1$ forms its equator and divides it into two hemispheres $\simeq B^2$

copy with $p_x \geq 0$



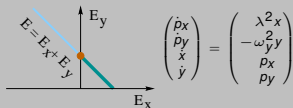
copy with $p_x \leq 0$



Phase Space Structures near a Saddle

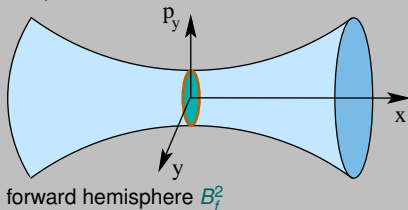
Linear vector field for $f = 2$ degrees of freedom

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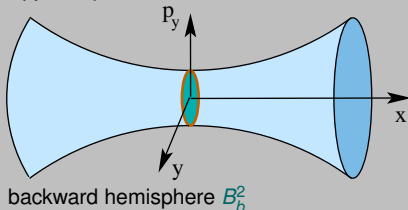


- Apart from its equator (which has $x = p_x = 0$) the **dividing surface** is transverse to the flow ($\dot{x} = p_x \neq 0$ for $p_x \neq 0$)

copy with $p_x \geq 0$



copy with $p_x \leq 0$



Phase Space Structures near a Saddle General (nonlinear) case

- $f = 2$ degrees of freedom: dividing surface can be constructed from periodic orbit
Periodic Orbit Dividing Surface (PODS) (Pechukas, Pollak and McLafferty, 1970s)
- How can one construct a dividing surface for a system with an arbitrary number of degrees of freedom? What are the phase space conduits for reaction in this case?

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Phase Space Structures near a Saddle

General (nonlinear) case; $E > 0$

	2 DoF	3 DoF	f DoF
energy surface	$S^2 \times \mathbb{R}$	$S^4 \times \mathbb{R}$	$S^{2f-2} \times \mathbb{R}$
dividing surface	S^2	S^4	S^{2f-2}
normally hyperbolic invariant manifold (NHIM)	S^1	S^3	S^{2f-3}
(un)stable manifolds	$S^1 \times \mathbb{R}$	$S^3 \times \mathbb{R}$	$S^{2f-3} \times \mathbb{R}$
forward/backward hemispheres	B^2	B^4	B^{2f-2}
“flux” form $\Omega' = d\varphi$	ω	$\frac{1}{2}\omega^2$	$\frac{1}{(f-1)!}\omega^{f-1}$
“action” form φ	$p_1 dq_1 + p_2 dq_2$	$(p_1 dq_1 + p_2 dq_2 + p_3 dq_3) \wedge \frac{1}{2}\omega$	$\sum_{k=1}^f p_k dq_k \wedge \frac{1}{(f-1)!}\omega^{f-2}$

Flux (rate): $N(E) = \int_{B_{ds; \text{forward}}^{2f-2}} \Omega' = \int_{S_{\text{NHIM}}^{2f-3}} \varphi$

Uzer et al. (2001) Nonlinearity **15** 957-992
 H. W. & S. Wiggins (2004) J. Phys. A **37** L435
 H. W., A. Burbanks & S. Wiggins (2004) J. Chem. Phys. **121** 6207
 H. W., A. Burbanks & S. Wiggins (2005) Mon. Not. R. Astr. Soc. **361** 763

Phase Space Structures near a Saddle

General (nonlinear) case; construction of the phase space structures from normal form

- locally: decouple the dynamics in terms of Poincaré-Birkhoff normal form
 - Suppose generic non-resonance condition is fulfilled. Then, for each order N , there is a symplectic transformation $\Phi_{(N)}$ such that the transformed Hamiltonian $\mathcal{H}_{\text{NF}}^{(N)} = \mathcal{H} \circ \Phi_{(N)}^{-1}$ truncated at order N is of the form

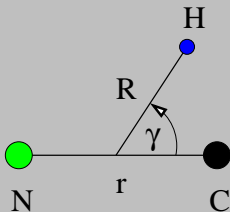
$$\mathcal{H}_{\text{NF}}^{(N)} = \mathcal{H}_{\text{NF}}^{(N)}(I, J_2, \dots, J_f) = \lambda I + \omega_2 J_2 + \dots + \omega_f J_f + \text{h.o.t.}$$

where

$$\begin{aligned} I &= p_1 q_1 \equiv \frac{1}{2}(\tilde{p}^2 + \tilde{q}^2) && \text{"reaction coordinate"} \\ J_k &= \frac{1}{2}(p_k^2 + q_k^2) && \text{"bath coordinates"} \end{aligned}$$

- phase space structures mentioned above can be explicitly constructed in terms of the normal form coordinates (\mathbf{p}, \mathbf{q}) , and transformed back to the original coordinates using $\Phi_{(N)}^{-1}$
- globally: "globalise" manifolds by integrating them out of the neighbourhood of validity of the normal form

Example: HCN/CNH Isomerisation



3 DoF for vanishing total angular momentum:
Jacobi coordinates r, R, γ

Hamilton function

$$\mathcal{H} = \frac{1}{2\mu} p_r^2 + \frac{1}{2m} p_R^2 + \frac{1}{2} \left(\frac{1}{\mu r^2} + \frac{1}{mR^2} \right) p_\gamma^2 + V(r, R, \gamma),$$

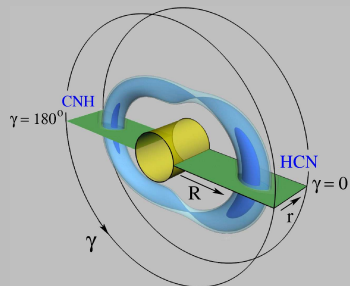
where

$$\mu = m_C m_N / (m_C + m_N), \quad m = m_H (m_C + m_N) / (m_H + m_C + m_N)$$

$V(r, R, \gamma)$: Murrell-Carter-Halonen potential energy surface

Example: HCN/CNH Isomerisation Decoupling the dynamics

Iso-potential surfaces $V = \text{const.}$



saddle(s) at $\gamma = \pm 67^\circ$

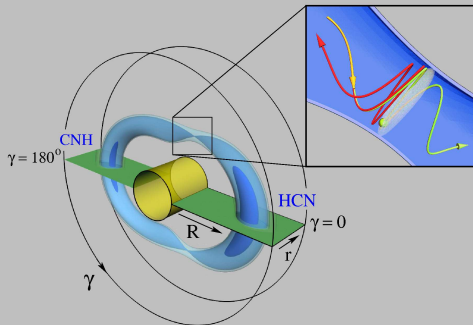
consider energy 0.2 eV above saddle

normal form to 16th order

H. W., A. Burbanks & S. Wiggins (2004) J. Chem. Phys. 121 6207

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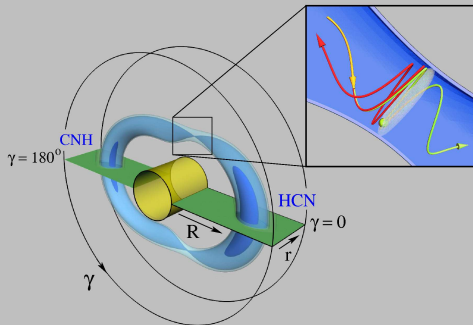
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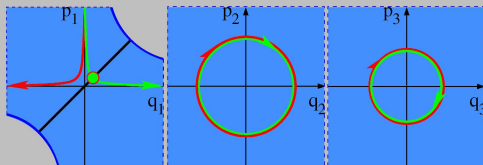
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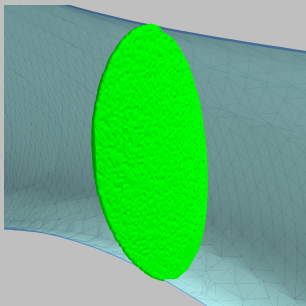


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Example: HCN/CNH Isomerisation

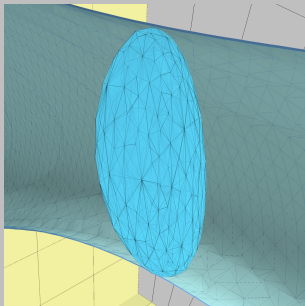
Phase space structures

dividing surface S^4



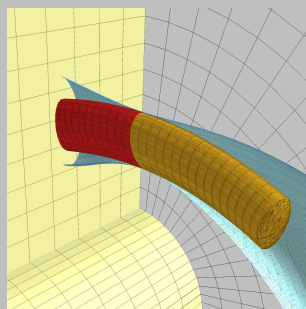
- transverse to Hamiltonian vector field
- minimises the flux

NHIM S^3



- *transition state or activated complex*

(un)stable manifolds $S^3 \times \mathbb{R}$



- phase space conduits for reaction

- The stable and unstable manifolds of the NHIM(s) and the geometry of their intersections contain the full information about the reaction dynamics
- This allows one to study
 - complex reactions (rare events - how does a system find its way through a succession of transition states? global recrossings of the dividing surface?)
 - violations of ergodicity assumptions which are routinely employed in statistical reaction rate theories (can every initial condition react?)
 - time scales for reactions (classification of different types of reactive trajectories)
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Global Recrossings and Rare Events

The role of homoclinic and heteroclinic connections

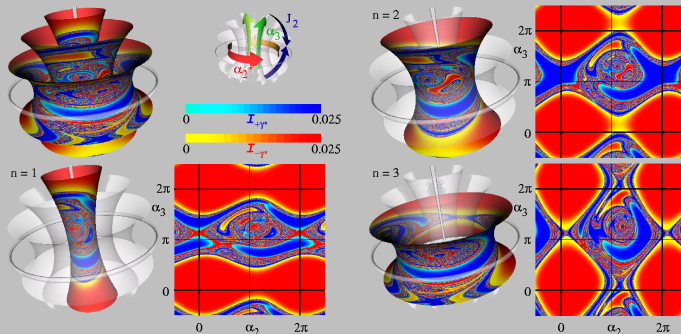
- Homoclinic connections
 - orbits contained in the stable and unstable manifold of the same NHIM
- Heteroclinic connections
 - orbits contained in the stable and unstable manifold of different NHIMs
- Heteroclinic cycles
 - succession of heteroclinic connections

H. W., A. Burbanks & S. Wiggins (2004) J. Phys. A **37** L257

H. W., A. Burbanks & S. Wiggins (2004) J. Chem. Phys. **121** 6207

Example: HCN/CNH Isomerisation

Fibration of the NHIM and homoclinic and heteroclinic connections

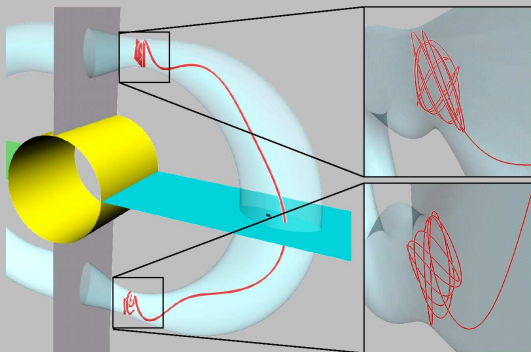


H. W., A. Burbanks & S. Wiggins (2004) J. Phys. A **37** L257

H. W., A. Burbanks & S. Wiggins (2004) J. Chem. Phys. **121** 6207

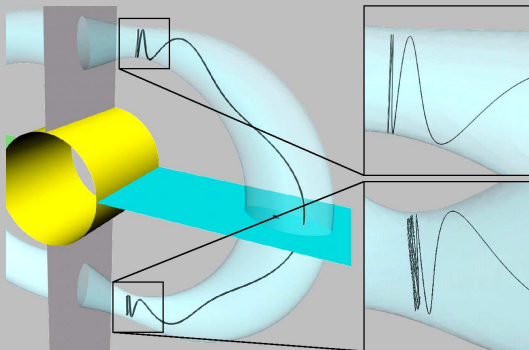
Example: HCN/CNH Isomerisation Homoclinic and heteroclinic connections

Heteroclinic connection between invariant 2-tori in different NHIMs



Example: HCN/CNH Isomerisation Homoclinic and heteroclinic connections

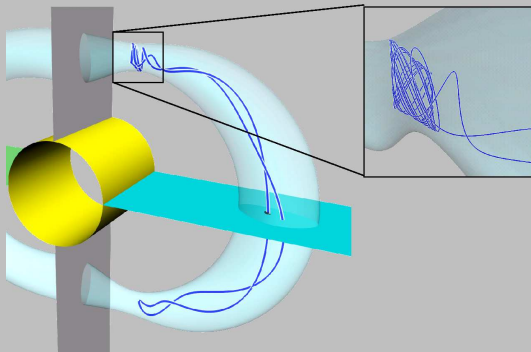
Heteroclinic connection between invariant 2-torus and Lyapunov periodic orbit in different NHIMs



Example: HCN/CNH Isomerisation

Homoclinic and heteroclinic connections

Homoclinic connection to a *single* invariant 2-torus in a NHIM



Violations of ergodicity assumptions

Are all points in phase space reactive i.e. do they all, as initial conditions for Hamilton's equations, lead to reactive trajectories?

Theorem (Reactive Phase Space Volume) Consider a region M in an energy surface (e.g. the energy surface region corresponding to a potential well) with n exit channels associated with saddle equilibrium points. The energy surface volume of initial conditions in M that lead to reactive (escape) trajectories is given by

$$\text{vol}(M_{\text{react}}) = \sum_{j=1}^n \langle t \rangle_{B_{\text{ds};j}} N_{B_{\text{ds};j}}$$

where

$\langle t \rangle_{B_{\text{ds};j}}$ = mean residence time in the region M of trajectories starting on the j^{th} dividing surface $B_{\text{ds};j}$

$N_{B_{\text{ds};j}}$ = flux through j^{th} dividing surface $B_{\text{ds};j}$

H. W., A. Burbanks & S. Wiggins (2005) Phys. Rev. Lett. 95 084301

H. W., A. Burbanks & S. Wiggins (2005) J. Phys. A 38 L759

H. W., A. Burbanks & S. Wiggins (2005) Mon. Not. R. Astr. Soc. 361 763

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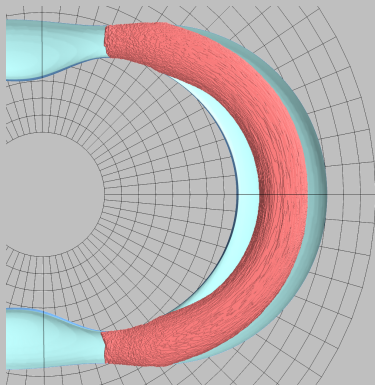
H. W., A. Burbanks & S. Wiggins (2005) Phys. Rev. Lett. **95** 084301

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H. W., A. Burbanks & S. Wiggins (2005) Mon. Not. R. Astr. Soc. **361** 763

Example: HCN/CNH Isomerisation

Reactive phase space volumes



$$\frac{\text{vol}(M_{\text{HCN}; \text{react}})}{\text{vol}(M_{\text{HCN}; \text{total}})} = 0.09$$

only 9 % of initial conditions in the HCN well are reactive!

The procedure to compute $\text{vol}(M_{\text{react}})$ following from the theorem is orders of magnitudes more efficient than a brute force Monte Carlo computation

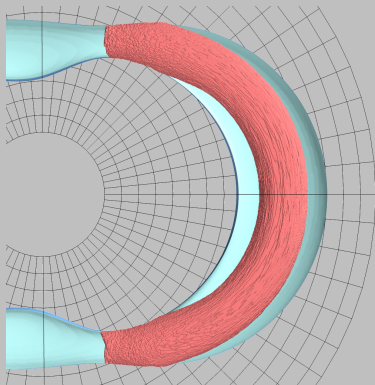
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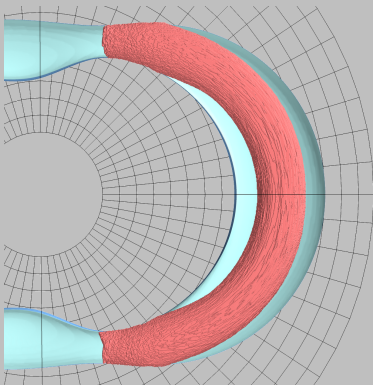
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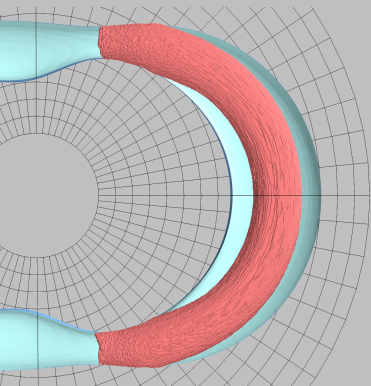
H. W., A. Burbanks & S. Wiggins (2005) Phys. Rev. Lett. **95** 084301

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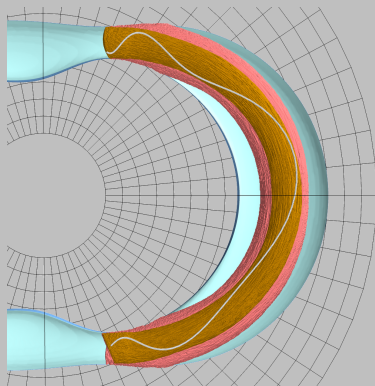
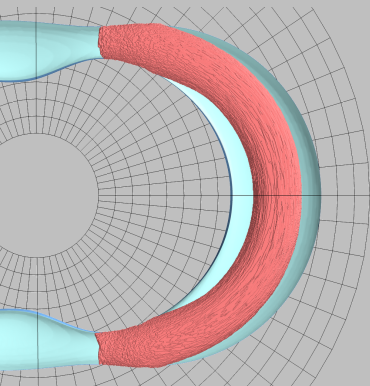
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The stable and unstable manifolds structure the reactive region into subregions of different types of reactive trajectories with a hierarchy of reaction time scales

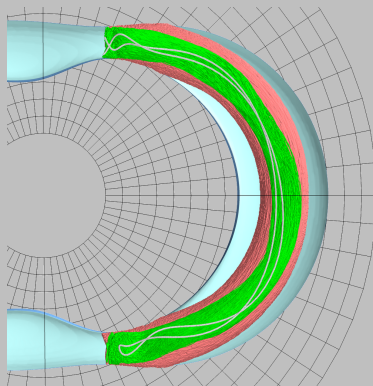
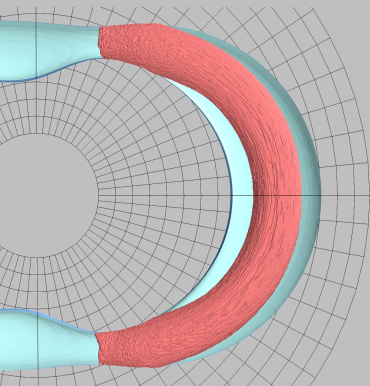
Example: HCN/CNH Isomerisation Reactive phase space subvolumes



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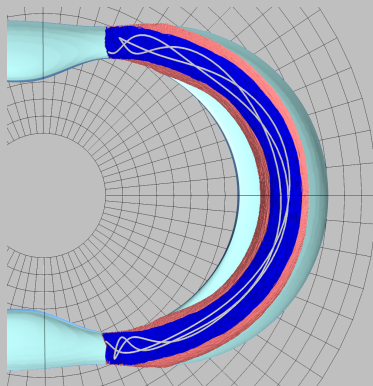
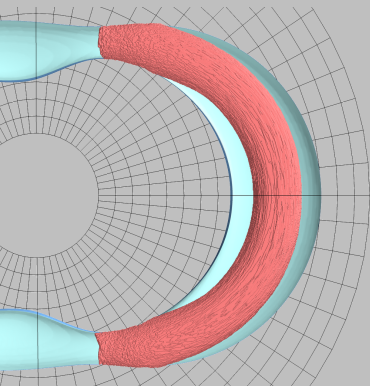


Example: HCN/CNH Isomerisation Reactive phase space subvolumes



Example: HCN/CNH Isomerisation

Reactive phase space subvolumes



Quantum Reaction Dynamics in Multidimensional Systems

Quantum Transition State Theory

Quantum Transition State Theory

classical	quantum
Hamilton's equations	Schrödinger equation
$\dot{p} = -\frac{\partial \mathcal{H}}{\partial q}, \quad \dot{q} = \frac{\partial \mathcal{H}}{\partial p}, \quad (p, q) \in \mathbb{R}^{2f}$	$\hat{H}\psi \equiv \left(-\frac{\hbar^2}{2}\nabla^2 + V\right)\psi = E\psi, \quad \psi \in L^2(\mathbb{R}^f)$

- Main idea: "locally simplify" Hamilton function/operator

symplectic transformations

$$\mathcal{H} \mapsto \mathcal{H} \circ \phi$$

(classical) normal form

unitary transformations

$$\hat{H} \mapsto U\hat{H}U^*$$

quantum normal form

R. Schubert, H. W. & S. Wiggins (2006) Phys. Rev. Lett. 96 218302

H.W., R. Schubert & S. Wiggins (2008) Nonlinearity 21 R1-R118

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Quantum Transition State Theory

classical	quantum
Hamilton's equations	Schrödinger equation
$\dot{p} = -\frac{\partial \mathcal{H}}{\partial q}, \quad \dot{q} = \frac{\partial \mathcal{H}}{\partial p}, \quad (p, q) \in \mathbb{R}^{2f}$	$\hat{H}\psi \equiv \left(-\frac{\hbar^2}{2}\nabla^2 + V\right)\psi = E\psi, \quad \psi \in L^2(\mathbb{R}^f)$

- Main idea: “locally simplify” Hamilton function/operator

symplectic transformations

$$\mathcal{H} \mapsto \mathcal{H} \circ \phi$$

(classical) normal form

unitary transformations

$$\hat{H} \mapsto U\hat{H}U^*$$

quantum normal form

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Quantum normal form

- Quantum normal form is based on the symbol calculus (this leads to explicit algorithms like in the classical case)
- Suppose generic non-resonance condition is fulfilled. Then, for each order N , there is a unitary transformation $U_{(N)}$ such that the transformed Hamilton operator $\widehat{H}_{\text{QNF}}^{(N)} = U_{(N)} \widehat{H} U_{(N)}^*$ resulting from truncating its symbol at order N is of the form

$$\widehat{H}_{\text{QNF}}^{(N)} = H_{\text{QNF}}^{(N)}(\widehat{I}, \widehat{J}_2, \dots, \widehat{J}_f),$$

where

$$\begin{aligned}\widehat{I} &= -i\hbar\left(q_1 \frac{\partial}{\partial q_1} + \frac{1}{2}\right) \\ \widehat{J}_k &= -\frac{\hbar^2}{2} \frac{\partial^2}{\partial q_k^2} + \frac{1}{2} q_k^2\end{aligned}$$

- The elementary operators \widehat{I} and \widehat{J}_k have well known spectral properties

$$\sigma(\widehat{I}) = \mathbb{R}, \quad \sigma(\widehat{J}_k) = \{\hbar(n_k + \frac{1}{2}) : n_k \in \mathbb{N}_0\}$$

- This allows one to compute
 - cumulative reaction probabilities and quantum resonances
 - scattering and resonance wavefunctions ('quantum bottleneck states')

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Example: Coupled Eckart-Morse-Morse Potential

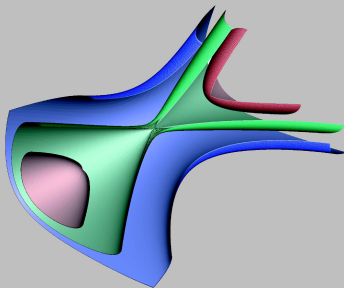
$$H = \frac{1}{2}(p_x^2 + p_y^2 + p_z^2) + \underbrace{V_E(x) + V_{M,y}(y) + V_{M,z}(z)} + \underbrace{\epsilon(p_x p_y + p_x p_z + p_y p_z)}$$

$$V_E(x) = \frac{A e^{ax}}{1 + e^{ax}} + \frac{B e^{ax}}{(1 + e^{ax})^2} \quad \text{'kinetic coupling'}$$

$$V_{M,y}(y) = D_y \left(e^{(-2\alpha_y y)} - 2e^{(-\alpha_y y)} \right)$$

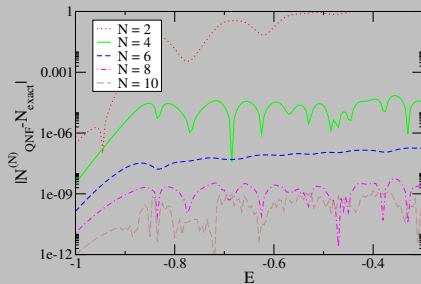
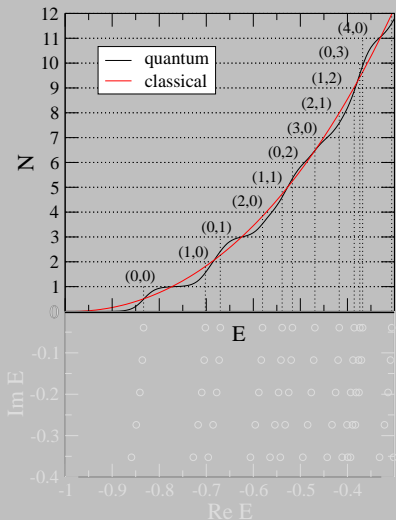
$$V_{M,z}(z) = D_z \left(e^{(-2\alpha_z z)} - 2e^{(-\alpha_z z)} \right)$$

Iso-potential surfaces:

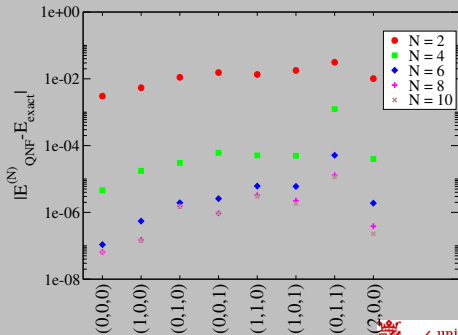
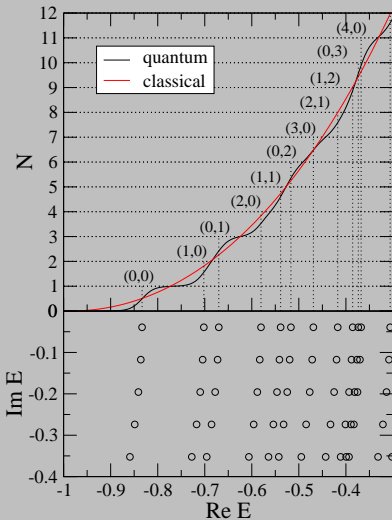


Example: Coupled Eckart-Morse-Morse Potential

Cumulative reaction probability



Example: Coupled Eckart-Morse-Morse Potential Quantum resonances



Outlook

- scattering and resonance states \leftrightarrow classical phase space structures
- experimental observability of 'quantum bottleneck states'
- state-to-state reactivities

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