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Ab initio calculations of ABO_3 perovskite (001), (011) and (111) nano-surfaces, interfaces and defects

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We carried out *ab initio* calculations for technologically important ABO₃ perovskite, such as, SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ (001), (011) and (111) nano-surfaces, interfaces and bulk *F*-centers. For SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ (001) nanosurfaces, as a rule, all first surface layer atoms relax inward, whereas all second layer atoms relax outward, and, typically, all third surface layer atoms, again, relax inward. Calculated (001) surface energies for SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites are almost equal for both BO₂ and AO-terminations, and always smaller than the (011) and (111) surface energies. We discussed the results of our *ab initio* calculations dealing with BaTiO₃/SrTiO₃ and SrZrO₃/PbZrO₃ (001) interfaces. We analyzed systematic trends in ABO₃ perovskite bulk *F*-center *ab initio* calculations.

Keywords: Ab initio calculations; ABO₃ perovskites; (001) surfaces; F-centers.

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1. Introduction

Surface as well as interface phenomena, happening in the SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites and their nanostructures, the very complicated nature of their surface and interface states are extremely important topics in solid state physics.¹⁻¹⁰ SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ crystals all are the members of the so-called group of ABO₃ perovskites. ABO₃ perovskites have a large amount of technologically important applications as capacitators, actuators, water split implementations, as well as many others.¹¹ For all this applications, the ABO₃ perovskite

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surface structure and quality are essential. Due to this technological importance, the ABO₃ perovskite neutral (001) surfaces were worldwide extensively explored both theoretically and experimentally.^{12–23} It is much more difficult, at the *ab initio* level, to calculate the ABO₃ perovskite polar and charged as well as very complex $(011)^{12-14,22,24-28}$ and (111) surfaces.^{29–33}

As an extension of our SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite neutral (001) as well as charged, polar and thereby very complex (011) and (111) surface studies, we performed *ab initio* calculations for the BaTiO₃/SrTiO₃ and SrZrO₃/PbZrO₃ (001) interfaces. Taking into account the huge technological importance of ABO₃ perovskites and a large amount of *ab initio* studies dealing with their (001) surfaces, it is not clear, why only a very limited amount of theoretical and experimental studies exist dealing with their (001) heterostructures.^{34–38}

It is well known that all physical properties of the complex oxide materials, like ABO₃ perovskites, are strongly affected by the point defects, such as the oxygen vacancies. Oxygen vacancy, or so-called neutral *F*-center, traps two electrons inside the vacancy in the ABO₃ perovskites. *Ab initio* calculations as well as experimental investigation of the *F*-centers in ABO₃ perovskites is a hot topic, since the *F*-center is the most common point defect, which strongly influence all material physical properties.³⁹⁻⁴⁴

2. Calculation Method

We carried out *ab initio* calculations for ABO₃ perovskite (001), (011), and (111) surfaces as well as their (001) heterostructures and *F*-centers therein by means of the hybrid exchange-correlation functionals $B3LYP^{45}$ or $B3PW^{46}$ as it is implemented in the world-famous CRYSTAL computer code.⁴⁷ The strong side of the CRYSTAL computer package is its ability to perform first principles calculations for two-dimensional isolated slabs perpendicular to the ABO₃ perovskite surface, without artificial periodicity in the *z* direction.

As an example, for calculations of ABO₃ perovskite (001) surfaces, we employed symmetrical slabs consisting of nine alternating neutral AO and BO₂-terminated layers. First slab, in our calculations, was terminated from both sides by AO planes and consisted of a supercell containing 22 atoms. Our calculated second slab was terminated from both sides by BO₂-planes, and, consequently, consisted from a supercell containing 23 atoms (Fig. 1). Both our calculated AO and BO₂terminated ABO₃ perovskite (001) slabs were non-stoichiometric, with unit cell equations $A_5B_4O_{13}$ and $A_4B_5O_{14}$, respectively. Details of our calculations for very complex polar and charged ABO₃ perovskite (011) and (111) surfaces are described by us previously.^{12–14,30,32}

By means of the same computer code CRYSTAL, we performed also the modelling of the $SrZrO_3/PbZrO_3$ and $BaTiO_3/SrTiO_3$ (001) interfaces. For example, the calculations of the $SrZrO_3/PbZrO_3$ (001) interface were performed using the symmetrically terminated slab model. The $SrZrO_3$ substrate, in our calculations, ABO₃ perovskite surfaces, interfaces and defects



Fig. 1. (Color online) Side view of the BO₂-terminated ABO₃ perovskite (001) surface.

contained 11 atomic layers and it was terminated from both sides by the ZrO_2 layer. As a next step, layer by layer epitaxial growth was modelled by adding a pair of PbZrO_3 layers symmetrically to the both sides of the SrZrO_3 substrate.

Lastly, the ABO₃ perovskite bulk *F*-center calculations were performed using the $3 \times 3 \times 3$ times extended supercell. Such supercell in performed calculations contained 134 atoms as well as one isolated *F*-center. The *F*-center formation energy in the ABO₃ perovskites was calculated by means of the following equation:

$$E_{\text{form}}^{(F)} = E(\text{oxygen}) + E(F) - E(\text{perfect}), \qquad (1)$$

where $E_{\text{form}}^{(F)}$ is the *F*-center formation energy in the ABO₃ perovskite bulk. E(oxygen) is our calculated total energy for the single oxygen atom. The E(perfect) and E(F) are the calculated total energies for the pristine ABO₃ perovskite bulk, and the related ABO₃ perovskite bulk containing the single *F*-center defect.

3. Ab Initio Calculation Results

3.1. Calculations for SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ (001), (011) and (111) nano-surfaces

In order to start our calculations, we calculated the bulk lattice constants for SrTiO₃ (3.914 Å) and BaTiO₃ (4.021 Å) perovskites by means of the B3PW exchangecorrelation functional and for SrZrO₃ (4.195 Å) and PbZrO₃ (4.220 Å) perovskites using the B3LYP exchange-correlation functional. We used our calculated cubic ABO₃ perovskite bulk lattice constants in all our performed calculations.

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bZrO ₃	$SrZrO_3$	$BaTiO_3$	SrTiO ₃ BaTiO ₃		Material	
PbO	SrO	BaO	SrO	(001)-terminat.		
B3LYP	B3LYP	B3PW	B3PW	Ion	Layer	
$-5.69 \\ -2.37$	$-7.63 \\ -0.86$	$-1.99 \\ -0.63$	$\begin{array}{c} -4.84 \\ 0.84 \end{array}$	A O	1	
$0.57 \\ 0.09$	$\begin{array}{c} 0.86 \\ -0.05 \end{array}$	$\begin{array}{c} 1.74 \\ 1.40 \end{array}$	$\begin{array}{c} 1.75 \\ 0.77 \end{array}$	B O	2	
$-0.47 \\ -0.47$	$-1.53 \\ -0.45$	_	_	A O	3	
ZrO_2	$\rm ZrO_2$	${\rm TiO}_2$	TiO_2	(001)-terminat.		
$-2.37 \\ -1.99$	-1.38 -2.10	$-3.08 \\ -0.35$	$-2.25 \\ -0.13$	B O	1	
$\begin{array}{c} 4.36 \\ 1.04 \end{array}$	$2.81 \\ 0.91$	$\begin{array}{c} 2.51 \\ 0.38 \end{array}$	$3.55 \\ 0.57$	A O	2	
$-0.47 \\ -0.28$	$-0.04 \\ -0.05$	_	_	B O	3	
	$\begin{array}{c} 0.86 \\ -0.05 \\ -1.53 \\ -0.45 \\ \hline \\ \hline \\ \hline \\ \hline \\ \hline \\ -1.38 \\ -2.10 \\ \hline \\ 2.81 \\ 0.91 \\ -0.04 \\ -0.05 \\ \hline \end{array}$	$\begin{array}{c} 1.74 \\ 1.40 \\ - \\ - \\ \hline \\ \hline \\ \hline \\ \hline \\ \hline \\ -3.08 \\ -0.35 \\ 2.51 \\ 0.38 \\ - \\ - \\ \hline \\ - \\ \hline \end{array}$	$\begin{array}{c} 1.75 \\ 0.77 \\ - \\ - \\ \hline \\ TiO_2 \\ \hline \\ -2.25 \\ -0.13 \\ 3.55 \\ 0.57 \\ - \\ - \\ - \\ - \\ \end{array}$	B O A O inat. B O A O B O	2 3 (001)-term 1 2 3	

Table 1. Our calculated atomic relaxations (in percents of the bulk lattice constant) for the $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ perovskite AO and BO_2 -terminated (001) surfaces.

As a next point of our calculations, we performed upper two or three layer atom relaxations for the neutral AO and BO₂-terminated SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite (001) surfaces (Table 1). Systematic trend for the above mentioned four ABO₃ perovskites is that all upper layer atoms, with the single exception of the SrO-terminated SrTiO₃ (001) surface first layer O atom, relax inwards. At the same time, all second layer atoms, with an exception of the second layer SrO-terminated SrZrO₃ (001) O atom, relax outwards. Again, completely all third layer atoms, relax inwards. It is worth to notice, that all first layer metal and oxygen atom relaxation magnitudes are considerably larger than the respective third layer metal and also oxygen atom relaxation magnitudes (Table 1).

The atomic relaxation for different terminations of $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ (011) surfaces are collected in Table 2. On the BO-terminated $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ (011) surface B atoms move inward by 7.69, 7.86, 6.16 and 6.87% of a_0 , respectively. Just opposite, first layer O atoms move outward by 3.59, 2.61, 4.36 and 4.27% of a_0 , respectively (see Table 2), which leads to a large BO-terminated (011) surface rumpling. On the A-terminated $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ (011) surfaces, the upper layer Sr, Ba, Sr and Pb atoms move extremely strongly inwards by 12.81, 8.67, 15.73 and 15.17% of a_0 , repectively (Table 2). These our calculated upper layer Sr, Ba, Sr and Pb atomic displacements are the largest between all our calculated $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ (011) surface atoms.

$SrTiO_3$ (011) s		1) surface		$BaTiO_3$	$BaTiO_3 (011)$		$SrZrO_3$ (011) $PbZrO_3$		(001)
Layer	Ion	Δz	Δy	Δz	Δy	Δz	Δy	Δz	Δy
TiO-terminat		iO-terminated (011) surface		TiO-termin.		ZrO-tern	nin.	ZrO-termin.	
1	В	-7.69	-	-7.86	-	-6.16	-	-6.87	_
	0	3.59	-	2.61	-	4.36	-	4.27	-
2	Ο	-0.51	-	-1.02	-	-0.38	-	-0.24	-
	А	-2.10	—	-0.88	—	-1.94	—	-2.37	_
3	0	-2.56	_	_	_	-5.69	_	-5.69	_
	В	0.16	-	-	-	0.40	-	-0.02	-
Sr-ter	Sr-terminated (011) surface		Ba-termin.		Sr-termin. Pb-te		Pb-termi	n.	
1	А	-12.81	-	-8.67	-	-15.73	-	-15.17	-
2	Ο	1.02	_	0.80	_	1.24	_	-0.57	-
	В	-0.04	_	0.16	_	0.10	_	-0.66	_
3	Ο	-1.08	-	-0.43	-	-0.95	-	2.37	-
	А	0.26	_	-	_	-0.48	_	3.41	-
O-tern	O-terminated (011) surface		O-termin.		O-termin. O-term		O-termin	ι.	
1	Ο	-6.61	-0.14	-5.40	-1.67	-6.56	-3.58	-6.61	-3.55
	В	-1.02	-4.35	-0.15	-6.38	1.45	-4.29	0.73	-4.53
2	А	-1.18	0.85	1.54	-1.27	-1.43	-0.24	0.73	-3.79
	0	1.79	6.40	1.95	2.97	4.29	7.87	4.29	7.94
3	Ο	-0.79	2.10	0.90	4.49	-0.10	1.74	-0.19	1.66

Table 2. Atomic relaxation of the $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ (011) surface for the three terminations (in percent of the bulk lattice constant).

Table 3. Ab initio calculated surface energies (in eV per surface cell) for $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ (001), (011) and (111) surfaces.

Material	SrTiO_3	BaTiO_3	$SrZrO_3$	$PbZrO_3$
Termination	Ab initio	calculated surf	face energies for	r (001) surfaces
AO BO ₂	$1.15 \\ 1.23$	$\begin{array}{c} 1.19 \\ 1.07 \end{array}$	$\begin{array}{c} 1.13 \\ 1.24 \end{array}$	$\begin{array}{c} 1.00\\ 0.93 \end{array}$
	Ab initio	calculated surf	ace energies for	r (011) surfaces
BO A O	$3.06 \\ 2.66 \\ 2.04$	$2.04 \\ 3.24 \\ 1.72$	$3.61 \\ 2.21 \\ 2.23$	$1.89 \\ 1.74 \\ 1.85$
	Ab initio	calculated surf	ace energies for	r (111) surfaces
AO ₃ B	$6.30 \\ 4.99$	8.40 7.28	$9.45 \\ 7.98$	8.21 6.93

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As it is possible to see from Table 3, our at *ab initio* level calculated SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ neutral (001) surface energies for both BO₂ and AOterminations are almost equal for all calculated perovskites, whereas polar (011) and (111) surface energies are completely different for different terminations. It is important, that the (111) polar surface energies, for both terminations, are always larger than the polar (011) surface energies. At the same time, polar (011) surface energies, again, for all terminations, always are larger than the neutral (001) surface energies.

3.2. Ab initio calculations of $BaTiO_3/SrTiO_3$ and $SrZrO_3/PbZrO_3$ (001) interfaces

We carried out first principles calculations dealing with $BaTiO_3/SrTiO_3$ and $SrZrO_3/PbZrO_3$ (001) heterostructures.^{35,38} As an example we will analyze the $BaTiO_3/SrTiO_3$ (001) heterostructure. For our calculations, we used as a substrate 11 layer thick symmetrical $SrTiO_3$ (001) slab from both sides terminated by TiO_2 (001) layers. As a next step, we augmented to both sides of this SrTiO₃ (001) substrate one layer of BaO-terminated $BaTiO_3$ (001) slab. As a result, our calculated band gap of this 13-layer containing $BaTiO_3/SrTiO_3$ (001) interface is equal to 3.47 eV. In case, when we add to the SrTiO₃ (001) substrate from both sides 3, 5, 7, 9 BaO-terminated BaTiO₃ layers, the band gap of our calculated $BaTiO_3/SrTiO_3$ (001) interface is equal to 3.29, 3.25, 3.24 and 3.22 eV. So, it means, that the $BaTiO_3/SrTiO_3$ (001) heterostructure band gap slowly decrease with the number of augmented layers from 3.47 eV (1 augmented BaO-terminated layer from both sides) till 3.22 eV (for the case when there are 9 augmented BaO-terminated BaTiO₃ layers from the both sides of the $SrTiO_3$ substrate). In case, when we augment on the $SrTiO_3$ substrate from both sides 2, 4, 6, 8 and 10 TiO₂-terminated BaTiO₃ (001) layers, the BaTiO₃/SrTiO₃ (001) interface band gap is equal to 2.33, 2.16, 2.10, 2.06, 2.06 eV, respectively.

3.3. Ab initio calculations of $BaTiO_3/SrTiO_3$ and $SrZrO_3/PbZrO_3$ (001) interfaces

By means of the hybrid exchange-correlation functional B3PW calculated nearest atom displacements surrounding the F-center in the SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites are summarized in Table 3 as well as compared with related results obtained for another ABO₃ perovskites.

As it is possible to see from Table 4, the two nearest neighbors to the F-center in the BaTiO₃ perovskite Ti atoms are repulsed by 1.06% of a_0 from the oxygen vacancy. Also in the SrTiO₃, SrZrO₃ and PbZrO₃ crystals, the B atoms are repulsed from the oxygen vacancy by 7.76, 3.68 and 0.48% of the bulk lattice constant a_0 . Just opposite, the second nearest neighbor O atoms in the SrTiO₃, BaTiO₃ and SrZrO₃ materials, as a rule, are attracted towards the oxygen vacancy by 7.79, 0.71 and 2.63% of the a_0 .

Bulk <i>F</i> -center characteristics	SrTiO_3	BaTiO_3	SrZrO_3	$PbZrO_3$
F-center charge (in e)	-1.1	-1.103	-1.25	-0.68
F-center level under CB (eV)	0.69	0.23	1.12	1.72
F-center formation energy (eV)	7.1	10.3	7.55	7.25
B atom relaxation (% of a_0)	7.76	1.06	3.68	0.48
O atom relaxation (% of a_0)	-7.79	-0.71	-2.63	-
A atom relaxation (% of a_0)	3.94	-0.08	0.46	-5.99

Table 4. *Ab initio* calculated main characteristics of bulk *F*-center in SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites.

Inside the oxygen vacancy in $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ perovskites are located -1.1, -1.103, -1.25 and -0.68 electrons of the additional charge. The *F*-center formation energy for $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ perovskites are in the range between 7.1 and 10.3 eV. The *F*-center defect induced levels are located 0.69, 0.23, 1.12 and 1.72 eV below the conduction band bottom in the $SrTiO_3$, $BaTiO_3$, $SrZrO_3$ and $PbZrO_3$ perovskites.

4. Conclusions

SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite neutral (001) surface upper layer atoms, with a very few exceptions, relax inwards, the second layer atoms relax outwards, and again, third layer atoms relax inwards. The SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite (001) surface energies for both possible BO2 and AO terminations are almost equal. The SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite polar (111) surface energies are considerably larger than the polar (011) surface energies. The neutral SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskite (001) surface energies are always smaller than the polar (011) and especially polar (111) surface energies. The BaTiO₃/SrTiO₃ and SrZrO₃/PbZrO₃ (001) interface band gaps depend much more strongly from the termination of the upper interface layer (BO₂ or AO) than from the number of augmented layers. The results of calculations for the bulk *F*-centers in SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites are presented, and systematic trends, common for the *F*-center defects in SrTiO₃, BaTiO₃, SrZrO₃ and PbZrO₃ perovskites are analyzed.

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