Defect structure and optical properties of alkaline-earth fluorides

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I would like to dedicate this thesis to my loving parents ...
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List of Acronyms

- BS – Basis Set
- BZ – Brillouin Zone
- CB – Conduction Band
- CI – Configuration Interaction
- DFT – Density Functional Theory
- DOS – Density of States
- ECP – Effective Core Pseudopotential
- ENDOR – Electron Nuclear Double Resonance
- EPR – Electron Paramagnetic Resonance
- FPLAPW – Full-Potential Linearized Augmented Plane-Wave
- GGA – Generalized Gradient Approximation
- GTF – Gaussian Type Function
- HF – Hartree-Fock
- LCAO – Linear Combination of Atomic Orbitals
- LDA – Local Density Approximation
- LEED – Low Energy Electron Diffraction
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• **LSDA** – Local Spin Density Approximation
• **LSDFT** – Local Spin Density Functional Theory
• **OLCAO** – Orthogonalized Linear Combination of Atomic Orbitals
• **QM** – Quantum Mechanical
• **RHF** – Restricted Hartree-Fock
• **SCF** – Self-Consistent-Field
• **UHF** – Unrestricted Hartree-Fock
• **UV** – Ultraviolet
• **VB** – Valence Band
Chapter 1

Introduction

Density Functional Theory (DFT) is widely used as an efficient and reliable method for computing the ground state energetics for a wide spectrum of solids. In recent years the use of functionals based on the generalized gradient approximation (GGA) has significantly improved the accuracy of computed energies when compared to the original local density approximation (LDA). However, the eigenvalues in DFT calculations do not formally correspond to excitation energies. This is particularly apparent in their use to estimate band gaps where the non-analytic dependence of the effective potential on the density often leads to a crystalline gap which is less than half of that observed. The poor estimation of the band gap has a number of unfortunate consequences. For instance, in some systems the band gap collapses completely, and a qualitatively incorrect description of the ground state, as a metal rather than an insulator, is obtained. Consequently the utility and reliability of DFT calculations is limited, especially when properties depending explicitly on the excited state energies are of interest.

An alternative to DFT, Hartree-Fock (HF) approach gives both ground and excited states, but considerably overestimates the optical band gap. In order to study the electronic and optical properties of complex materials, an approach providing a reliable estimate of band gaps coupled with the reasonable description of the ground state is required. In the present study, the fulfillment of such requirements is clearly demonstrated using a simple hybrid HF/DFT scheme containing and admixture of non-local Fock exchange.
1. INTRODUCTION

In present theoretical investigations, I preformed \textit{ab initio} calculations on CaF$_2$ and BaF$_2$ crystals in their high symmetry cubic phase ($Fm\bar{3}m$). These alkaline-earth fluoride crystals present a great technological and fundamental interest due to their optical applications. Although these materials have been intensively investigated theoretically and experimentally at least in the last fifty years, a proper description of their electronic properties is still an area of active research. In order to make a contribution to the explanation of various electro-optical effects observed in alkaline-earth fluoride materials, their ground-state properties have been calculated from first principles and analyzed in the present study.

The present work is divided into three main parts. The first part, which includes Chapter 2 and 3, is concerned with the introduction into materials and different computational approaches. In Chapter 2, the selected alkaline-earth fluorides are described in detail, and the experimental and theoretical results known in the literature are presented. Chapter 3 serves to explain the DFT/HF formalism and methodology concisely. In the second part, including Chapter 4, a comparison of the effect of various approximations on the bulk properties of CaF$_2$ and BaF$_2$ calculated on equal computational grounds is presented; and as a basis for future defect calculations in the surface region of CaF$_2$ and BaF$_2$, theoretical investigations for pure (111), (110) and (100) surfaces are also reported. Finally, the third part which is the core of this thesis, including Chapter 5—8, concerns the defective alkaline-earth fluorides. Chapter 5 is dedicated to the investigations on $F$ centers in bulks and the (111) surfaces. In Chapter 6, oxygen-vacancy ($OV$) dipoles in CaF$_2$ are concerned. Chapter 7 introduces my calculations on the other important anion impurities into CaF$_2$ and BaF$_2$, namely hydrogen centers. The last study, Chapter 8, is dealing with the hole trapped at an interstitial anion site, i.e. $H$ center.
Chapter 2

Basic alkaline-earth fluorides: CaF$_2$ and BaF$_2$

Introduction

Alkaline-earth fluorides such as CaF$_2$ and BaF$_2$, whose band gaps are larger than 10 eV, are very important for many optical applications. As an example, a recent demand for lens materials available in short wavelength lithography is a typical application. The currently targeted wavelength is 157 nm (about 8 eV) from an F$_2$-excimer laser. This wavelength is far shorter than the transparent region of quartz that is the most popular optical material in the ultraviolet (UV) region. Additionally, for BaF$_2$, it is the fastest luminescent material that has been found to date [Kawano et al. (1999)]. Recently, BaF$_2$ has also been found to exhibit superionic conductivity by dissolving appropriate impurities into the lattice or by introducing an interface that causes the redistribution of ions in the space charge region, and is therefore considered as a candidate material for high-temperature batteries, fuel cells, chemical filters and sensors [Sata et al. (2000)]. Considering the high technological importance of alkaline-earth fluorides, it is not surprising, that during the last years, they have been the subject of many experimental and theoretical studies [Barth et al. (1990); Bennewitz et al. (1999); Catti et al. (1991); Ching et al. (1995); de Leeuw & Cooper (2003); de Leeuw et al. (2000); Foster et al. (2002); Gan et al. (1992); Jockisch et al. (1993); Letz & Parthier 3]
2. BASIC ALKALINE-EARTH FLUORIDES: $\text{CAF}_2$ AND $\text{BAF}_2$

(2006); Merawa et al. (2003); Puchin et al. (2001); Puchina et al. (1998); Rubloff (1972); Schmalzl et al. (2003); Verstraete & Gonze (2003); Wu et al. (2006)].

2.1 Bulk crystals

Pressure-induced phase transformations of $\text{CaF}_2$ have been reported by many research groups [Burnett et al. (2001); El’kin et al. (2005); Gerward et al. (1992); Kanchana et al. (2003b); Khenata et al. (2005); Seifert (1966); Speziale & Duffy (2002)]. In the first report of $\text{CaF}_2$ as a function of pressure in 1966, Seifert showed that it undergoes a pressure-induced phase transition from the fluorite structure ($Fm\overline{3}m$) to an orthorhombic $\alpha$-$\text{PbCl}_2$ structure ($Pnma$) in the pressure range 8−10 GPa [Seifert (1966)], which has been confirmed by other groups using various methods, such as X-ray diffraction, Raman spectra and theoretical calculations [El’kin et al. (2005); Gerward et al. (1992); Kanchana et al. (2003b); Khenata et al. (2005); Pendas et al. (1994); Speziale & Duffy (2002)]. Recently the initial stages of phase transformations in $\text{CaF}_2$ have been investigated in detail by means of the strain gauge technique in ideal hydrostatic pressure at room temperature, which indicates that the phase transition pressure is 8.01±0.01 GPa [El’kin et al. (2005)]. The high-pressure phase ($Pnma$) has been shown to still be stable up to 49 GPa at room temperature by X-ray diffraction and Raman spectra [Gerward et al. (1992); Speziale & Duffy (2002)]. The phase transition occurs at room temperature but is reversible under these conditions, with the $Pnma$ phase reverting to the $Fm\overline{3}m$ during decompression. The phase change of $\text{BaF}_2$ from the cubic fluorite structure ($\beta$-$\text{BaF}_2$) to the orthorhombic $\alpha$-$\text{PbCl}_2$ phase under pressure was also found by [Ayala (2001); Leger et al. (1995)]. This fluorite phase transition occurs at about 3 GPa [Leger et al. (1995)].

However, $\text{CaF}_2$ and $\text{BaF}_2$ are stable, chemically rather inert materials in moderate pressure and (or) temperature. Therefore, I only concentrate on the well-known face-centered-cubic (f.c.c) structure of alkaline-earth fluorides in this thesis.

The fluorite lattice structure is shown in Figure 2.1. In a compound $\text{MF}_2$ (M: metal ion), each M ion is surrounded by eight equivalent nearest-neighbor F ions forming the corners of a cube of which M is the center. Each F ion is
Figure 2.1: A cubic structure of an alkaline-earth fluoride with the formula unit MF$_2$, where M=Ca or Ba, and F is fluorine. The upper and lower figures correspond to $T_d$ and $O_h$ symmetries, respectively.
surrounded by a tetrahedron of four equivalent M ions. More fundamentally the structure has a f.c.c translational group and a space lattice of symmetry $O_h^5$. The unit cell of fluorite MF$_2$ includes three ions, one cation chosen as origin, and two anions that are situated at $(\frac{1}{4}a, \frac{1}{4}a, \frac{1}{4}a)$ and $(-\frac{1}{4}a, -\frac{1}{4}a, -\frac{1}{4}a)$, where $a$ is the lattice constant. The site of the M ion has $O_h$ symmetry and the site of the F ion has $T_d$ symmetry. The interstitial site again has $O_h$ symmetry, being at the center of a cube of eight F ions.

The bulk properties of crystals play an important role in solid state physics and are the basic measure allowing to understand how well experiments and theory correlate. These bulk properties could be mainly characterized by the lattice constant $a_0$ and the bulk modulus $B$, the theoretical and experimental values of which are collected in Table 2.1.

On the other hand, a substantial understanding of many crystalline properties requires the knowledge of the electronic structure and optical properties of the bulk material. In principle, the density of electrons at all points in the unit cell may be determined by a study of the diffraction of X-rays by the crystal. Such studies have been made on CaF$_2$ by Togawa (1964), by Weiss et al. (1957) and by Warren (1961). The crystal is built of well-defined ions with a low density of electrons between them. No evidence can be seen of a strong covalent bonding which would produce bridges of high electron density between the atoms.

A schematic band structure for CaF$_2$ showing the highest valence band (VB) and the lowest conduction band (CB) states is shown in Figure 2.2 [Rubloff (1972)]. Double-group notation is used for those levels where spin-orbit splitting is significant. Inclusion of the spin-orbit splitting of the F$^-$ ions would split the upper level into two with symmetries $\Gamma_8^-$ and $\Gamma_6^-$. This splitting is too small to be observed (0.03 eV), so that $\Gamma_8^-$ and $\Gamma_6^-$ are combined into a single level $\Gamma_{15}^-$. The presence of two fluorine ions in the unit cell produces the state with symmetry $\Gamma_{25}'$. Optical dipole transitions from $\Gamma_{25}'$ to the conduction states with symmetries $\Gamma_1$, $\Gamma_{12}$ and $\Gamma_{25}'$ are forbidden by parity conservation [Starostin (1969)]. Transitions are however allowed from $\Gamma_{15}$ to $\Gamma_1$. From Figure 2.2, it is clear that the excitons of lowest energy will probably be associated with the transitions of an electron from the $\Gamma_{15}$ VB to the $\Gamma_1$ CB minimum of CaF$_2$. In the Frenkel picture this
Figure 2.2: Schematic band structure of a typical alkaline-earth fluoride. Using CaF$_2$ as an example [Rubloff (1972)].

may be visualized as the transfer of an electron from a fluorine ion to a nearest-neighbor Ca$^{2+}$ ion. Excitons of higher energy will be associated with the transfer of electrons from deeper core levels to the CB. The first of such transitions will generate holes in the 3$p$ band of the Ca$^{2+}$ ions. As the CB is primarily of Ca 4$s$ character, these first core excitons may be regarded as an internal transition of the Ca$^{2+}$ ion. A series of levels is indeed found to be associated with the 3$p^53d$ and 3$p^54s$ configuration of the free Ca$^{2+}$ ion [Hayes (1974)].

Experimentally, the direct band gap of CaF$_2$ is 12.1 eV and the indirect gap is estimated to be 11.8 eV [Rubloff (1972)]. The band structure of CaF$_2$ also has been calculated from first-principles and published by several research groups recently. In the beginning of the 1990’s, Catti et al. (1991) performed an all-electron \textit{ab initio} Hartree-Fock calculation for the band structure of CaF$_2$. The energy-gap width between valence and conduction bands at the $\Gamma$ point was about 21 eV, considerably exceeding the experimental value. From another side, it is well known that the local-density and generalized-gradient approximations (LDA and GGA) to density functional theory (DFT) systematically underesti-
mate the band gap in semiconductors and insulators; an error of a factor 2 is
typical. For example, in Ref. [Verstraete & Gonze (2003)] the indirect band gap
($X \rightarrow \Gamma$) of 7.07 eV is underestimated with respect to experiment as expected in
a GGA-DFT calculation. A similar result for the indirect band gap in CaF$_2$ (6.53
eV) using the first-principles orthogonalized linear combination of atomic orbitals
(OLCAO) method in the LDA was obtained by Gan et al. (1992). For BaF$_2$, the
direct band gap at the $\Gamma$ point according to ab initio calculations performed by
means of the full-potential linearized augmented plane-wave (FPLAPW) method,
as implemented in the WIEN-97 code [Khenata et al. (2005)], is 7.49 eV, consider-
ably less than the experimental value of 11.00 eV [Rubloff (1972)]. Jiang
et al. (2003) predict BaF$_2$ to be a direct-gap material with the band gap of 7.5
eV using gradient-corrected functionals, Becke (1988a) for exchange and Perdew

### 2.2 Defects in alkaline-earth fluorides

Many alkali halides provide an attractive medium for color center research because
of the ease with which they can be grown in reasonably pure single-crystal form
and because they may be colored by ionizing radiations. It is well known that
optical and mechanical properties of crystals are strongly affected by defects and
impurities unavoidably present in any real material. Contemporary knowledge
of defects in solids has helped to create a field of technology, namely, defect
engineering, which is aimed at manipulating the nature and concentration of
defects in a material so as to tune its properties in a desired manner or to generate
different behaviors. CaF$_2$ and BaF$_2$ could become important optical materials
if one could avoid or, at least, control the photoinduced defect formation, which
so far in applications degrades its optical quality. Therefore, it is important to
understand the nature of defects in alkaline-earth fluorides.

Two intrinsic color centers have been observed in CaF$_2$ and BaF$_2$ by elec-
tron spin-resonance techniques. One is the $F$ center, an electron trapped in an
anion vacancy. The electron paramagnetic resonance (EPR) spectrum of $F$
centers was identified in CaF$_2$ and BaF$_2$ by Arends (1964) who carried out his
investigations on additively-colored crystals. The EPR spectrum of $F$ centers
in additively-colored SrF$_2$ was subsequently described by den Hartog & Arends (1967). A description of the electron nuclear double resonance (ENDOR) spectrum of the $F$ centers in CaF$_2$ was given by Hayes & Stott (1967) and in BaF$_2$ by Stoneham et al. (1968). Approximate values for the peak position of the $F$ band in CaF$_2$, SrF$_2$ and BaF$_2$ were obtained by Arends (1964) and den Hartog & Arends (1967) by investigating effects of optical bleaching on the intensity of $F$ center EPR spectra. More precise values for the peak position of the $F$ band and values for the spin-orbit coupling constant in the excited $^2P$ state of the $F$ band were obtained, using magneto-optical methods, by Cavenett et al. (1969). Further, optical absorption of the $F$ centers in CaF$_2$ (3.3 eV) is well established experimentally [Hayes & Stoneham (1985)]. Nepomnyashchikh et al. (2002) measured that X-ray irradiation at 77 K of undoped BaF$_2$ produces $F$ centers having absorption band at 2.3 eV. $F$ centers in alkaline-earth fluorides also have been studied theoretically with the Xo method [Feltham (1967) and Taurian & Kai (1987)]. Puchina et al. (1998), using the Hartree-Fock embedded molecular cluster method, performed calculations for the ground electronic state of the $F$ center in CaF$_2$ crystal and its optical absorption energy.

The other is the $V_k$, or self-trapped hole. In some ionic crystals, holes may be stabilized at particular lattice sites due to strong electron-lattice interaction. These holes are described as self-trapped when no other lattice defects are involved [Hayes (1974)]. The self-trapped hole is paramagnetic and its EPR spectrum in CaF$_2$ was described by Hayes & Twidell (1962). The centers may be produced by X-irradiating undoped CaF$_2$ crystals at 77 K. Analysis of the EPR spectrum showed that the $V_k$ center in alkaline-earth fluorides was a molecular-type center with its principal axis aligned along (100). The EPR of the $V_k$ center in SrF$_2$ and BaF$_2$ was investigated by Tzalmona & Pershan (1969) and by Beaumont et al. (1970) and in BaF$_2$ by Kazumata (1969).

Another kind of important point defect, $H$ center (a hole trapped at an interstitial anion site), which is relevant and similar to the $V_k$ center, is readily formed in crystals doped with the heavier trivalent rare-earth ions (Re$^{3+}$). $H$ centers produced by X-irradiation of rare-earth doped crystals have been identified in CaF$_2$ by Hall et al. (1969) and in CaF$_2$, SrF$_2$ and BaF$_2$ by Beaumont et al. (1970). In
s suitably grown crystals these ions introduce charge-compensating fluorine interstitials \( (F^-_i) \) and a fraction of these are not closely associated with the rare-earth ions. When such crystals are X-irradiated at 77 K large concentrations of \( V_k \) centers are produced and a relatively small concentration of \( H \) centers. However, when the crystals are heated to induce migration of \( V_k \) centers a fraction of the moving holes are retrapped at \( F^-_i \) sites producing additional \( H \) centers. The hole is located on the interstitial fluorine and a nearest substitutional fluorine giving a (111) oriented molecular ion \( (X^-_2) \). \( H \) centers may also be produced in undoped alkaline-earth fluorides by heavy irradiation with 1 MeV electrons at 77 K. In some orientations of the external magnetic field the EPR lines of \( H \) centers produced by electron irradiation show partly resolved structure suggesting perturbation by another defect produced by the radiation \[Hayes et al. (1974)\]. For the optical absorption, Beaumont et al. (1970) found evidence for the existence of a absorption band of the \( H \) center peaking at about 4.03 eV in \( \text{CaF}_2 \) and at about 3.76 eV in \( \text{BaF}_2 \).

On the other hand, coloration effects in alkaline-earth fluorides are strongly influenced by some impurities. Evidence for the existence of hydroxyl and carbonate ions in \( \text{CaF}_2 \) have been obtained by infrared methods \[Bontinck (1958b); Wickersheim & Hanking (1959)\]. Some trivalent rare-earth ions strongly affect the colorability of crystals because of their electron-trapping properties and because of the charge-compensating defects introduced into the crystals by them. Hydrogen and oxygen are two kinds of important point impurities which affect the behavior of alkaline-earth fluorides under ionizing radiations because they act as hole traps and under certain circumstances introduce anion vacancies into the crystals.

Hydrogen-doped crystals color quickly under X-irradiation at room temperature because of rapid generation of \( F^- \)-aggregate centers. Using infrared methods it was shown by Elliott et al. (1965) that crystals treated in this way contain hydrogen dissolved as \( H^- \) ions in fluorine sites \( (H^-_s \) centers) and concentrations of \( H^-_s \) approaching \( 10^{20} \) cm\(^{-3} \) are readily achieved. The first detailed investigations of \( \text{CaF}_2:H \) crystals were carried out by Hall & Schumacher (1962) who showed, using EPR methods, that X-irradiation at room temperature produced hydrogen atoms stable in interstitial sites \( (H^0_i \) centers). It was subsequently shown by
Bessent et al. (1967, 1969), using again EPR methods, that X-irradiation at 77 K produced hydrogen atoms in fluorine sites ($H^0_s$ centers) and that the $H^0_s$ centers are converted to $H^i_s$ centers on warming to room temperature.

Investigations by Adler & Kveta (1957) and by Bontinck (1958b) show that CaF$_2$ reacts readily with water vapor at high temperatures and suggest that the resulting hydrolysis gives rise to a variety of defects which includes O$^{2-}$ ions in fluorine sites and charge-compensating fluorine vacancies (see also [Messier (1968)]). It has been suggested that absorption at about 200 nm in hydrolysed CaF$_2$ is associated with the presence of oxygen [Bontinck (1958a); Bruch et al. (1964); Feltham & Andrews (1965)]. Charge compensation of Y$^{3+}$ and trivalent rare-earth ions in CaF$_2$ by O$^{2-}$ ions is fairly well established. A first step in the understanding of the effects of ionizing radiation on CaF$_2$ containing oxygen was made by Bill & Lacroix (1966) who investigated hydrolysed CaF$_2$ by EPR methods. They found a spectrum after X-irradiation at room temperature which they assigned to O$^-$ ions in fluorine sites. This is produced by capture of a hole by substitutional O$^{2-}$ ions. Recently, oxygen-vacancy dipoles and dimers in CaF$_2$ crystals have been studied ab initio at DFT level and with the shell model using pair potentials by Mysovsky et al. (2004). Optical absorption of O$^{2-}$-V$_A$ dipole have been calculated with time-dependent (TD) DFT and identified with experimental absorption bands, which appeared to have complex structure. Their calculations show that the optical transitions are split into three groups. The first one contains 5.22, 5.38 and 5.61 eV transitions from $2p$-orbitals of oxygen to the ground state of vacancy. Experimentally, the results of polarization of luminescence measurements [Archangelskaya et al. (1980); Radzhakov & Figura (1986)] show the 6.7 eV absorption band which consists of at least two elementary peaks with separation of 0.48 eV.

### 2.3 Surfaces

Laser ablation and the resistivity of optical materials against laser pulses with sub-band-gap photon energy strongly depend on the purity of the crystal and the quality of its surface. Surface defects and adsorbed species induce local electronic states in the insulator band gap, initiating optical absorption. The
absorbed energy is transferred to the lattice and may cause damage and ablation, especially when dealing with high-power laser light [Reichling (1998); Reichling et al. (1999)]. Information about the atomic and electronic structure of particular surface defects can be very helpful for achieving a detailed understanding the basic mechanisms of such laser degradation processes. As a promising candidate for use in high-performance optical lens systems [Hofmann (1992)] for the next generation of ultraviolet laser steppers operated a wavelength of 193 nm, CaF$_2$ lens systems involve a large number of surfaces and, therefore, it is an important task to understand the structural and optical properties of such surfaces.

An alkaline-earth fluorite crystal is composed of F-M-F triple layers in the (111) direction. These are the natural cleavage planes of the crystal [Hayes (1974)]. The structure of this (111) plane is shown schematically in Figure 2.3. The perfect (111) cleavage plane is F$^-$ terminated and the topmost F$^-$ ions form a hexagonal array. The threefold symmetry of the surface is determined by the M$^{2+}$ and F$^-$ ions in the second and third planes, as seen in the top view (top figure) of Figure 2.3.

A comparative study of CaF$_2$ (111) surfaces cleaved in air and in ultrahigh vacuum probing the density of occupied electronic states in the band gap by ultraviolet photoelectron spectroscopy reveals that there is a tail of emission extending from the valence band about 6 eV into the band gap for air-cleaved crystals, while there is no measurable band-gap emission for vacuum-cleaved crystals [Huisinga et al. (1998)]. This result indicates that cleavage steps do not introduce band-gap states and the density of states in the band gap for air-cleaved crystals is mainly formed during irradiation by oxygen already present at the crystal surface.

Theoretically, Puchin et al. (2001) investigated the atomic and electronic structure and relaxation of the perfect (111) surface and several low-index surfaces of CaF$_2$ by means of an \textit{ab initio} Hartree-Fock method. According to their study for the (111) slab, the surface energy was found to be 0.47 J/m$^{-2}$ and in good agreement with experimental data (0.45 J/m$^{-2}$) [Gilman (1960)]; the charges of ions in the surface layers are almost the same as in the bulk or in deeper layers of the slab; the surface band gap are almost the same as that in the bulk; and only the topmost layer introduces a small contribution to the density of states just above the bulk valence band edge. The (110) and (100)
2.3 Surfaces

Figure 2.3: The structure of the MF$_2$(111) surface in the top and side view. F1 and F2 indicate the fluorine atoms located at the upper and lower sublayers, respectively.
2. BASIC ALKALINE-EARTH FLUORIDES: CAF$_2$ AND BAF$_2$

slabs have higher surface energies and the calculated values are 0.819 J/m$^{-2}$ and 1.189 J/m$^{-2}$ [Puchin et al. (2001)], respectively, which is in agreement with the fact that the (111) surface is the natural cleavage plane of the crystal.

The electronic structure of the perfect CaF$_2$ (111) surface has also previously been calculated using the semi-empirical LCAO method [Stankiewicz & Modrak (1995)]; however, surface relaxation effects were neglected. Earlier calculations of the surface structure and dynamics including relaxation were performed in the framework of the shell model [Jockisch et al. (1993); Tasker (1980)]. Both calculations predicted the reduction of the distance between the topmost fluorine and next calcium layers. However, the magnitude of this relaxation depends on the parameters of the pair potential model. It varies between 19% [Jockisch et al. (1993)] and 1.7% [Tasker (1980)] of the interlayer distance. Experimentally, the surface structures of CaF$_2$(111) and BaF$_2$(111) was investigated by means of low energy electron diffraction (LEED) with primary beam currents [Vogt et al. (2005)]. The results provide for the first time quantitative experimental information about the relaxation of this surface. The CaF$_2$ (111) surface deviates only insignificantly from a truncated fluorite bulk lattice with F-Ca-F layer structure, the largest displacement being the inward shift of the topmost layer of fluoride anions by 0.03$\pm$0.06 Å. The same contraction of the interlayer distance at the topmost union is displaced towards the bulk by 0.12$\pm$0.07 Å. The positions of the alkaline-earth metal cations as well as those of the second fluoride layer in this topmost F-M-F sheet are almost identical to their bulk values. The same holds for all deeper layers.

The electronic structure of CaF$_2$ (111) with a completely remove topmost fluorine layer, as an example of a defective surface, was calculated and for this configuration an additional half-filled band was found in the middle of the band gap [Stankiewicz & Kisiel (1994)]. Band-gap states were also found in molecular cluster calculations of the electronic structure of the CaF$_2$ (111) with surface $F$ centers and $F$-center clusters by Westin et al. (1990).
2.4 Motivation

As it is shown above, the electronic structure of alkaline-earth fluorides have been the subject of many experimental and theoretical investigations. The alkaline-earth fluorides have excellent transmission properties without absorption bands over a wide wavelength range and these optical properties are related to their structural and electronic properties, especially, such as a very large band gap. Therefore, obtaining the reliable prediction of the band gap in semiconductors and insulators is a well recognized problem in first-principles calculations, and still remains an obstacle in \textit{ab initio} band-gap engineering. This is even more important for defects, since the defects level positions with respect to the band edges are of key importance for their applications.

In order to study the electronic and optical properties of alkaline-earth fluorides, an approach providing a reliable estimate of band gaps while retaining a reasonable ground state description of the GGA is required. In the present study the fact that these requirements are satisfied by a simple hybrid scheme which contains an admixture of non-local Fock exchange to the DFT scheme is clearly demonstrated.

Hybrid functional were originally developed to improve the description of the ground state energetics of small molecules \cite{Becke1993b}. Subsequently, they have been demonstrated to be significantly more reliable then the best GGA functional for computing atomization enthalpies \cite{Curtiss1997}, ionization potentials and electron affinities \cite{Curtiss1998}, geometries and vibrational frequencies \cite{Adamo2000}. The application of these methods in periodic calculations of solids has been inhibited by difficulties in computing the non-local Fock exchange since this is not convenient within the commonly used plane-wave basis set. Nevertheless, it can be implemented readily and very efficiently within the linear combination of atomic orbitals (LCAO) technique that uses localized gaussian type functions (GTF) localized at atoms as the basis for expansion of the crystalline orbitals. Recently, a LCAO-GTF study has been performed for both bulk and surface phases of SrTiO$_3$ crystal \cite{Heifets2002}. In this study, the electronic structure of the SrTiO$_3$(100) surface has been calculated by means of various approximations including \textit{ab initio} HF method with electron
correlation corrections and DFT with different exchange-correlation functionals, including hybrid (B3PW, B3LYP) exchange techniques. This work demonstrated a noticeable improvement of the calculated lattice constant, bulk modulus and optical band gap of SrTiO$_3$ with respect to those experimentally observed when the hybrid B3LYP functional was applied.

For my PhD program, further *ab initio* investigations on alkaline-earth fluorides are of high interest to give the most reliable theoretical predictions for many crystal properties. Therefore the main aims of present study are the following:

- Critical choice among different Hamiltonians for the *ab initio* calculations of selected alkaline-earth fluorides.

- Using the selected method to obtain the electronic structure of the perfect and defective fluorite crystals.

Additionally, it could be noted that comparative first-principles calculations on alkaline-earth fluoride surfaces are quite scarce in literature. Thus, this study is an attempt to compensate such lack of information.
### 2.4 Motivation

Table 2.1: Theoretically calculated and experimentally observed lattice constant $a_0$ (Å) and bulk modulus $B$ (GPa) for CaF$_2$ and BaF$_2$ crystals in their high-symmetry cubic phase.

<table>
<thead>
<tr>
<th></th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Theoretical</td>
<td>Experimental</td>
</tr>
<tr>
<td>$a_0$</td>
<td>5.5252$^a$</td>
<td>5.466$^b$</td>
</tr>
<tr>
<td>(Å)</td>
<td>5.3252$^a$</td>
<td>5.4630$^d$</td>
</tr>
<tr>
<td></td>
<td>5.563$^g$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5.444$^b$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5.3378$^j$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5.515$^l$</td>
<td></td>
</tr>
<tr>
<td>$B$</td>
<td>77, 103$^a$</td>
<td>81.0±1.2$^n$</td>
</tr>
<tr>
<td>(GPa)</td>
<td>84.7, 82.7$^b$</td>
<td>87±5$^b$</td>
</tr>
<tr>
<td></td>
<td>103$^j$</td>
<td>82.0±0.7$^g$</td>
</tr>
<tr>
<td></td>
<td>82.14$^l$</td>
<td>81.1$^p$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>84.7$^q$</td>
</tr>
</tbody>
</table>

$^a$reference Wu et al. (2006)
$^b$reference Gerward et al. (1992)
$^c$reference Leger et al. (1995)
$^d$reference Wu et al. (2005)
$^e$reference Jiang et al. (2003)
$^f$reference Wyckoff (1982)
$^g$reference Pendas et al. (1994)
$^h$reference Merawa et al. (2003)
$^i$reference Ching et al. (1995)
$^j$reference Kanchana et al. (2003a)
$^k$reference Kanchana et al. (2003b)
$^l$reference Khenata et al. (2005)
$^m$reference Levine et al. (2003)
$^n$reference Katrusiak & Nelmes (1986)
$^o$reference Speziale & Duffy (2002)
$^p$reference Catlow et al. (1978)
$^q$reference Ho & Ruoff (1967)
2. BASIC ALKALINE-EARTH FLUORIDES: CAF$_2$ AND BAF$_2$
Chapter 3

HF/DFT formalism and methodology

Introduction

The theoretical possibility to study complex crystalline systems containing many atoms is to perform computer simulations. This can be performed with a variety of methods ranging from classical to quantum mechanical (QM) approaches. The former are force field or semi-empirical schemes, in which the forces that determine the interactions between the atoms are parameterized in order to reproduce a series of experimental data, such as equilibrium geometries, bulk modular or lattice vibrational frequencies (phonons). These schemes have reached a high level of sophistication and are often useful within a given class of materials provided good parameters are already known. If, however, such parameters are not available, or if a system shows unusual phenomena that are not yet understood, one must rely only on ab initio calculations. They are more demanding in terms of computer requirements and thus allow only the treatment of much smaller unit cells than semi-empirical calculations do. The advantage of first-principle methods lies in the fact that they do not require any experimental knowledge to carry out such calculations. The following presentation will be restricted to ab initio methods whose main characteristics will be briefly sketched.

The fact that electrons are indistinguishable and are Fermions requires that their wave functions must be antisymmetric when two electrons are permuted.
3. HF/DFT FORMALISM AND METHODOLOGY

This leads to the phenomenon of exchange and correlation. There are two types of approaches for a full quantum mechanical treatment of many-atom systems: Hartree-Fock (HF) and Density Functional Theory (DFT). The traditional scheme is the HF method which is based on a wave function in a form of one Slater determinant. Exchange is treated exactly but correlation effects are neglected. The latter can be included by more sophisticated approaches such as configuration interaction (CI), but they progressively require much more computer time. As a consequence, it is only feasible to study small systems which contain a few atoms. An alternative scheme is DFT which is commonly used to calculate the electronic structure of complex systems containing many atoms such as large molecules or solids. It is based on the electron density rather than on the wave functions and treats both exchange and correlation, but both approximately. The ideal crystal is defined by the unit cell which may contain several atoms (up to about 100, in practical state-of-the-art calculations) and is repeated infinitely according to the translational symmetry. Periodic boundary conditions are used to describe an infinite crystal. The additional symmetry operations (inversion, rotation, mirror plane, etc.) that retain the ideal crystal invariant allow to simplify the calculations, which always correspond to the absolute zero temperature.

Detailed HF and DFT methods can be seen in most general physical chemistry textbooks. In this Chapter, I introduce the elementary concepts of HF and DFT methods concisely. The sketchy text mainly comes from Leach (2001).

3.1 HF formalism

3.1.1 Schrödinger equation

The starting point for any discussion of quantum mechanics is, of course, the Schrödinger equation. When the external potential \( \mathcal{V} \) is independent of time then the Schrödinger equation can be written in the time-independent form:

\[
\left\{-\frac{\hbar^2}{2m} \nabla^2 + \mathcal{V}\right\} \Psi(\mathbf{r}) = E \Psi(\mathbf{r})
\]  

(3.1)
Where $\hbar$, $m$ and $E$ are Planck’s constant, the mass of particles and the total energy of the system, respectively. The wave function of the system in coordinate space ($r$) is expressed by $\Psi(r)$.

Solving the Schrödinger equation for atoms with more than one electron is complicated by a number of factors. The first complication is that the Schrödinger equation for such systems can not be solved exactly, even for the helium atom. The helium atom has three particles (two electrons and one nucleus) and is an example of a *three-body problem*. No exact solutions can be found for systems that involve three (or more) interacting particles. Thus, any solutions we might find for polyelectronic atoms or molecules can only be approximations to the real, true solutions of the Schrödinger equation. A second complication with multi-electron species is that we must account for electron spin. Electron spin is incorporated into the solutions to the Schrödinger equation by writing each one-electron wave function as the product of a spatial function that depends on the coordinates of the electron and spin function that depends on its spin. Such solutions are called *spin orbitals*, which we will represent using the symbol $\chi$.

Next, what is an appropriate functional form of the wave function for a poly-electronic system with $N$ electrons that satisfies the antisymmetry principle? A determinant is the most convenient way. In general, if we have $N$ electrons in spin orbitals $\chi_1$, $\chi_1$, ..., $\chi_N$ (where each spin orbital is the product of a spatial function and a spin function) then an acceptable form of the wave function is:

$$
\Psi = \frac{1}{\sqrt{N!}} \left| \begin{array}{cccc}
\chi_1(1) & \chi_2(1) & \cdots & \chi_N(1) \\
\chi_1(2) & \chi_2(2) & \cdots & \chi_N(2) \\
\vdots & \vdots & \ddots & \vdots \\
\chi_1(N) & \chi_2(N) & \cdots & \chi_N(N)
\end{array} \right|
$$

Where $\chi_1(1)$ is used to indicate a function that depends on the space and spin coordinates of the electron labeled ‘1’. The factor $1/\sqrt{N!}$ ensures that the wave function is normalized. This functional form of the wave function is called a *Slater determinant* and is the simplest form of an orbital wave function that satisfies the antisymmetry principle.
3. HF/DFT FORMALISM AND METHODOLOGY

3.1.2 The energy of a general polyelectronic system

For a $N$-electron system, the Hamiltonian (in atomic units $m = h = e^2 = 1$) takes the following general form:

$$
\mathcal{H} = \left( -\frac{1}{2} \sum_{i=1}^{N} \nabla_i^2 - \frac{1}{r_{1A}} - \frac{1}{r_{1B}} \cdots + \frac{1}{r_{12}} + \frac{1}{r_{13}} + \cdots \right) \quad (3.3)
$$

where $r$ is the distance between two charged particles (electron or nucleus). The nuclei are labeled using capital letters $A$, $B$, $C$, etc., and the electrons are labeled $1$, $2$, $3$, $\cdots$. As usual, the energy can be calculated from $E = \int \Psi \mathcal{H} \Psi$. There are three types of interaction that contribute to the total electronic energy of the system. First, there is the kinetic and potential energy of each electron moving in the field of the nuclei. The second contribution to the energy arises from the electrostatic repulsion between pairs of electrons. This interaction depends on the electron-electron distance. The third contribution to the energy is the exchange interaction. This has no classical counterpart and arises because the motions of electrons with parallel spins are correlated: whereas there is a finite probability of finding two electrons with opposite (i.e. paired) spins at the same point in space, where the spins are the same then the probability is zero. This can be considered a manifestation of the Pauli principle.

3.1.3 The Hartree-Fock equations

It is well known that for many-body problems there is no 'correct' solution; we therefore require some means to decide whether one proposed wave function is 'better' than another. Fortunately, the variation theorem provides us with a mechanism for answering this question. The 'best' wave function is achieved when the energy is a minimum. The HF equations are obtained by using the variation theorem to the energy, subject to the constraint that the molecular orbitals remain orthonormal. This type of constrained minimization problem can be tackled using the method of Lagrange multipliers. After performing tediously mathematical calculations, we can get the HF equations taking on the standard eigenvalue form:

$$
\mathcal{F} \chi_i = \varepsilon_i \chi_i
$$

(3.4)
Where, the eigenvalue $\varepsilon_i$ indicates the orbital energy of the spin orbital, $\chi_i$, and $\mathcal{F}_i$ is called the Fock operator:

$$\mathcal{F}_i(1) = \mathcal{H}^\text{core}(1) + \sum_{j=1}^{N} \{ \mathcal{J}_j(1) - \mathcal{K}_j(1) \}$$  \hspace{1cm} (3.5)$$

As mentioned before, $\mathcal{H}^\text{core}(1)$ corresponds to the kinetic and potential operator of an electron moving in the field of the nuclei. The Coulomb operator, $\mathcal{J}_j(1)$ is written as:

$$\mathcal{J}_j(1) = \int d\tau_2 \chi_j(2) \frac{1}{r_{12}} \chi_j(2)$$  \hspace{1cm} (3.6)$$

and the exchange operator, $\mathcal{K}_j(1)$ has the following expression:

$$\mathcal{K}_j(1) \chi_i(1) = \left[ \int d\tau_2 \chi_j(2) \frac{1}{r_{12}} \chi_i(2) \right] \chi_j(1)$$  \hspace{1cm} (3.7)$$

The general strategy of solving these equations is called a self-consistent-field (SCF) approach. First, a set of trial solutions $\chi_i$ to the HF eigenvalue equations are obtained. These are used to calculate the Coulomb and exchange operators. The HF equations are solved, finding a second set of solutions $\chi'_i$ which are used in the next iteration. The SCF method thus gradually refines the individual electronic solutions that correspond to lower and lower total energies until the point is reached at which the results for all the electrons are unchanged, when they are said to be self-consistent.

### 3.1.4 The electron correlation

Within the HF method, the total, antisymmetric, wave function is approximated by a single Slater determinant. At this point, it must be said that exact wave functions can not generally be expressed as single determinants. The primary deficiency of the HF procedure is inadequate description of the correlation between electrons. A priori, the single-determinant approximation takes no account of e.g. correlation between electrons with opposite spin, thus leading to a total electronic energy which does not equal the exact solution of the non-relativistic Schrödinger equation, within the Born-Oppenheimer approximation. The calculated HF limit is always above the exact energy. Using the Roothaan (1951) procedure, which
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linearizes the HF problem, the so-called HF limit can be obtained, if an infinite number of basis functions is used. The correlation energy is defined as the difference between the energy in the HF limit and the exact non-relativistic energy of a system.

A certain amount of electron correlation is already considered within the HF theory, as can be seen in the electron exchange term (correlation between parallel spin electrons) of the expectation value. This prevents two parallel-spin electrons being found at the same point in space. This kind of correlation is often referred to as Fermi correlation. The major deficiency in the HF scheme is the neglect of the correlation between the spatial position of electrons with opposite spin due to their Coulomb repulsion. This is called Coulomb correlation.

Within HF theory, the interaction of one electron with the remaining \((N - 1)\) electrons is approximated by the interaction of the electron with the average field generated by the \((N - 1)\) electrons. This field is static and neglects the influence of the motion of the one electron on the motion of the other \((N - 1)\) electrons and vice versa, that is, the motion of electrons is correlated. Considering two electrons, it can be said that the probability of finding one electron at a certain position in space, depends on the position of the other electron and vice versa. In the statistical sense, for independent electrons, the product of the density functions does not adequately describe the ‘real’ situation. For small distances, the pair density is too large and similarly, too small for large distances. That is, the electrons ‘avoid’ each other. If the electrons were not correlated, each electron could be described by a ‘charge cloud’ (density) and the only interaction between the two electrons would be the Coulomb repulsion between these densities. However, the actual electron repulsion is less than it should be according to this model, because electrons avoid each other. That is, they never come as close together as statistically independent particles would do. This decreased repulsion, due to the correlation of the electron motion, is partly responsible for the correlation energy.

Summing up, for the correlation of the electrons in space, there are essentially two reasons. One is that an antisymmetric wave function (Pauli’s principle) must be used for electrons (fermions) and the associated correlation is the Fermi
correlation. The other is the Coulomb correlation, corresponding to the Coulomb repulsion of the electrons.

## 3.2 Density functional theory

### 3.2.1 Hohenberg-Kohn theorems

Density functional theory (DFT) is an approach to the electronic structure of atoms and molecules which has enjoyed a dramatic surge of interest since the late 1980s and 1990s [Parr (1983); Wimmer (1997)]. Our approach here will be to introduce the key elements of the theory and to identify the similarities and differences between DFT and the HF approach. In HF theory the multi-electron wave function is expressed as a Slater determinant which is constructed from a set of $N$ single-electron wave functions. DFT also considers single-electron functions. However, whereas HF theory does indeed calculate the full $N$-electron wave function, DFT only attempts to calculate the total electronic energy and the overall electronic density distribution. The central idea underpinning DFT is that there is a relationship between the total electronic energy and the overall electronic density. This is not a particularly new idea; indeed an approximate model developed in the late 1920s (the Thomas-Fermi model) contains some of the basic elements. However, the real break through came with a paper by Hohenberg \\& Kohn (1964), who showed that the ground-state energy and other properties of a system were uniquely defined by the electron density. This is sometimes expressed by stating that the energy, $E$, is a unique functional of $\rho(r)$. In DFT the energy functional is written as a sum of two terms:

$$E[\rho(r)] = \int V_{\text{ext}}(r)\rho(r)\,dr + F[\rho(r)] \quad (3.8)$$

The first term arises from the interaction of the electrons with an external potential $V_{\text{ext}}(r)$ (typically due to the Coulomb interaction with the nuclei). $F[\rho(r)]$ is the sum of the kinetic energy of the electrons and the contribution from inter-electronic interactions. The minimum value in the energy corresponds to the exact ground-state electron density, so enabling a variational approach to be used (i.e. the ‘best’ solution corresponds to the minimum of energy and an incorrect
density gives an energy above the true energy). There is a constraint on the electron density as the number of electrons \( N \) is fixed:

\[
N = \int \rho(r) dr
\] (3.9)

In order to minimize the energy we introduce this constraint as a Lagrangian multiplier \((-\mu)\), leading to:

\[
\frac{\delta}{\delta \rho(r)} \left[ E[\rho(r)] - \mu \int \rho(r) dr \right] = 0 \] (3.10)

From this we can write:

\[
\left( \frac{\delta E[\rho(r)]}{\delta \rho(r)} \right)_{V_{\text{ext}}} = \mu \] (3.11)

Equation (3.11) is the DFT equivalent of the Schrödinger equation. The subscript \( V_{\text{ext}} \) indicates that this is under conditions of constant external potential (i.e. fixed nuclear positions). It is interesting to note that the Lagrange multiplier, \( \mu \), can be identified with the chemical potential of an electron cloud for its nuclei.

The second landmark paper in the development of DFT was by Kohn & Sham (1965) who suggested a practical way to solve the Hohenberg-Kohn theorem for a set of interacting electrons. The difficulty with Equation (3.8) is that we do not know what the function \( F[\rho(r)] \) is. Kohn and Sham suggested that \( F[\rho(r)] \) should be approximated as the sum of three terms:

\[
F[\rho(r)] = E_{\text{KE}}[\rho(r)] + E_{\text{H}}[\rho(r)] + E_{\text{XC}}[\rho(r)] \] (3.12)

where \( E_{\text{KE}}[\rho(r)] \) is the kinetic energy, \( E_{\text{H}}[\rho(r)] \) is the electron-electron Coulombic energy, and \( E_{\text{XC}}[\rho(r)] \) contains contributions from exchange and correlation. It is important to note that the first term in Equation (3.12), \( E_{\text{KE}}[\rho(r)] \), is defined as the kinetic energy of a system of non-interacting electrons with the same density \( \rho(r) \) as the real system:

\[
E_{\text{KE}}[\rho(r)] = \sum_{i=1}^{N} \int \psi_i(r) \left( -\frac{\nabla^2}{2} \right) \psi_i(r) dr
\] (3.13)

The second term, \( E_{\text{H}}[\rho] \), is also known as the Hartree electrostatic energy. The Hartree approach to solving the Schrödinger equation was introduced briefly before and almost immediately dismissed because it fails to recognize that electronic
3.2 Density functional theory

motions are correlated. In the Hartree approach this electrostatic energy arises from the classical interaction between two charge densities, which, when summed over all possible pairwise interactions, gives:

\[ E_{\text{H}}[\rho(r)] = \frac{1}{2} \int \int \frac{\rho(r_1)\rho(r_2)}{|r_1 - r_2|} dr_1 dr_2 \]  

(3.14)

Combining these two and adding the electron-nuclear interaction leads to the full expression for the energy of an \( N \)-electron system within the Kohn-Sham scheme:

\[ E[\rho(r)] = \sum_{i=1}^{N} \int \psi_i(r) \left( -\frac{\nabla^2}{2} \right) \psi_i(r) dr + \frac{1}{2} \int \int \frac{\rho(r_1)\rho(r_2)}{|r_1 - r_2|} dr_1 dr_2 + E_{\text{XC}}[\rho(r)] - \sum_{A=1}^{M} \int \frac{Z_A}{|r - R_A|} \rho(r) dr \]  

(3.15)

This equation acts to define the exchange-correlation energy functional \( E_{\text{XC}}[\rho(r)] \), which thus contains not only contributions due to exchange and correlation but also a contribution due to the difference between \( E^{(T)}_{\text{KE}}[\rho] \), the true kinetic energy of the system, and \( E_{\text{KE}}[\rho] \). Therefore the exchange-correlation energy functional \( E_{\text{XC}}[\rho(r)] \) has the following expression:

\[ E_{\text{XC}}[\rho] = (E^{(T)}_{\text{KE}}[\rho] - E_{\text{KE}}[\rho]) + (E_{\text{ee}}[\rho] - E_{\text{H}}[\rho]) \]  

(3.16)

Here, \( E_{\text{ee}}[\rho] \) is the true electron-electron interaction.

Kohn and Sham wrote the density \( \rho(r) \) of the system as the sum of the square moduli of a set of one-electron orthonormal orbitals:

\[ \rho(r) = \sum_{i=1}^{N} |\psi_i(r)|^2 \]  

(3.17)

By introducing this expression for the electron density and applying the appropriate variational condition the following one-electron Kohn-Sham equations result:

\[ \left\{ -\frac{\nabla^2}{2} - \left( \sum_{A=1}^{M} \frac{Z_A}{r_{1A}} \right) + \int \frac{\rho(r_2)}{r_{12}} dr_2 + V_{\text{XC}}[r_1] \right\} \psi_i(r_1) = \varepsilon_i \psi_i(r_1) \]  

(3.18)

In Equation (3.18) we have written the external potential in the form appropriate to the interaction with \( M \) nuclei. \( \varepsilon_i \) are the orbital energies and \( V_{\text{XC}} \) is known
as the exchange-correlation functional, related to the exchange-correlation energy by:

\[ V_{XC}[\rho] = \left( \frac{\delta E_{XC}[\rho]}{\delta \rho} \right) \]  

(3.19)

The total electronic energy is then calculated from Equation (3.15).

To solve the Kohn-Sham equations, a self-consistent approach is taken. An initial guess of the density is fed into Equation (3.18) from which a set of orbitals can be derived, leading to an improved value for the density, which is then used in the second iteration, and so on until convergence is achieved.

### 3.2.2 Spin-polarized density functional theory

Local spin density functional theory (LSDFT) is an extension of ‘regular’ DFT in the same way that restricted and unrestricted HF extensions were developed to deal with systems containing unpaired electrons. In this theory, both the electron density and the spin density are fundamental quantities with the net spin density \( \sigma(\mathbf{r}) \) being the difference between the density of up-spin and down-spin electrons:

\[ \sigma(\mathbf{r}) = \rho_\uparrow(\mathbf{r}) - \rho_\downarrow(\mathbf{r}) \]  

(3.20)

The total electron density is just the sum of the densities for the two types of electron. The exchange-correlation functional is typically different for the two cases, leading to a set of spin-polarized Kohn-Sham equations:

\[
\left\{ -\nabla_1^2 \frac{1}{2} - \left( \sum_{A=1}^{M} \frac{Z_A}{r_{1A}} \right) + \int \frac{\rho_2(\mathbf{r}_2)}{r_{12}} d\mathbf{r}_2 + V_{XC}[\rho_1, \sigma] \right\} \psi_\sigma(\mathbf{r}_1) = \varepsilon_\sigma \psi_\sigma(\mathbf{r}_1) \\
\sigma = \alpha, \beta
\]  

(3.21)

This leads to two sets of wave functions, one for each spin, similar to spin-unrestricted Hartree-Fock (UHF) theory of Pople & Nesbet (1954). The brief introduction of UHF theory is shown in Appendix A.

### 3.2.3 Local density approximation

The exchange-correlation functional is clearly key to the success of the density functional approach. One reason why DFT is so appealing is that even relatively
simple approximations to the exchange-correlation functional can give favorable results. The simplest way to obtain this contribution uses the so-called local density approximation (LDA; the acronym LSDA is also used, for local spin density approximation), which is based upon a model called the uniform electron gas, in which the electron density is constant throughout all space. Thomas (1927) and Fermi (1928) independently studied the uniform electron gas in the early 1920s. Further, the dependence of the kinetic and exchange energy on the density of the electron gas was extracted by Dirac (1930) and expressed in terms of a local functions of the density. This suggests that in an inhomogeneous system, it is possible to approximate the functional as an integral over a local function of the charge density. Using the kinetic and exchange energy densities of the non-interacting uniform electron gas leads to

\[ E_{KE}[\rho(r)] = 2.87 \int \rho^{5/3}(r)dr \] (3.22)

and

\[ E_{XC}[\rho(r)] = 0.74 \int \rho^{4/3}(r)dr \] (3.23)

These results are highly suggestive of a representation for \( E_{XC} \) in an inhomogeneous system. The total exchange-correlation energy, \( E_{XC} \), for our system can then be obtained by integration over all space:

\[ E_{XC}[\rho(r)] = \int \rho(r)\varepsilon_{XC}(\rho(r))dr \] (3.24)

\( \varepsilon_{XC}(\rho(r)) \) is the exchange-correlation energy per electron as a function of the density in the uniform electron gas. The exchange-correlation functional is obtained by differentiation of this expression:

\[ V_{XC}[r] = \rho(r)\frac{d\varepsilon_{XC}(\rho(r))}{d\rho(r)} + \varepsilon_{XC}(\rho(r)) \] (3.25)

In the LDA it is assumed that at each point \( r \) in the inhomogeneous electron distribution (i.e. in the system of interest) where the density is \( \rho(r) \) then \( V_{XC}[\rho(r)] \) and \( \varepsilon_{XC}(\rho(r)) \) have the same values as in the homogeneous electron gas. In other words, the real electron density surrounding a volume element at position \( r \) is replaced by a constant electron density with the same value as at \( r \). However, this 'constant' electron density is different for each point in space.
The exchange-correlation energy per electron of the uniform electron gas is known accurately for all densities of practical interest from various approaches such as quantum Monte Carlo methods [Ceperley & Alder (1980)]. In order to be of practical use, this exchange-correlation energy density is then expressed in an analytical form that makes it amenable to computation. It is usual to express $\varepsilon_{\text{XC}}(\rho(\mathbf{r}))$ as an analytical function of the electron density and to consider the exchange and correlation contributions separately. However, some analytical expressions for the combined exchange and correlation energy density do exist, such as the expression of Gunnarsson & Lundqvist (1976). The relatively simple expression of Slater (1974) is commonly used for the exchange-only energy under the LDA. In general, more attention has been paid to the correlation contribution, for which there is no such simple functional form. Perdew & Zunger (1981) suggested the parametric relationship for the correlation contribution. This result applies when the number of up spins equals the number of down spins and so is not applicable systems with an odd number of electrons. The correlation energy functional was also considered by Vosko et al. (1980), whose expression has a very complex form.

The overall procedure to achieve self-consistency, the general strategy of solving the Kohn-Sham equations, is very reminiscent of that used in HF theory, involving first an initial guess of the density by superimposing atomic densities, construction of the Kohn-Sham and overlap matrices, and diagonalization to give the eigenfunctions and eigenvectors from which the Kohn-Sham orbitals can be constructed and thus the density for the next iteration. This cycle continues until convergence is achieved.

### 3.2.4 Beyond the LDA: Gradient-corrected functionals

The most important feature of DFT is probably the way in which it directly incorporates exchange and correlation effects; the latter in particular are only truly considered in the more complex, post-HF approaches such as configuration interaction (CI) or many-body perturbation theory. Despite its simplicity the LDA performs surprisingly well. However, the LDA has been shown to be clearly inadequate for some problems and for this reason extensions have been developed.
The most common method is to use gradient-correct, ‘non-local’ functionals which depend upon the gradient of the density at each point in space and not just on its value. These gradient corrections are typically divided into separate exchange and correlation contributions. A variety of gradient corrections have been proposed in the literature. One of the popular gradient correction is generalized gradient approximation (GGA) which is proposed by Langreth & Perdew (1980) and by Perdew & Wang (1986, 1992), labeled ‘PW86’ and ‘PW91’ in general computational codes. In the GGA, a functional form is adopted which ensures the normalization condition and that the exchange hole is negative definite [Perdew & Wang (1986)]. This leads to an energy functional that depends on both the density and its gradient but retains the analytic properties of the exchange-correlation hole inherent in the LDA. The typical form for a GGA functional is:

\[
E_{XC}[^{\rho}(r)] \approx \int \rho(r)\varepsilon_{XC}(\rho, \nabla \rho) d\mathbf{r}
\]  

(3.26)

The gradient correction to the exchange functional proposed by Becke is also popular [Becke (1988a, 1992)] and this correction corrects the local spin density approximation (LSDA) result. Two particular features of this corrected functional form are that in limit \( r \rightarrow \infty \) the limiting form of the exchange-correlation integral is correctly achieved and that it uses just a single parameter. The correlation functional of Lee, Yang and Parr is also widely used [Lee et al. (1988)]. In their scheme, the expression of the corrected correlation functional provides both local and non-local components within a single expression and the gradient contribution to second order. A combination of the standard LSDA exchange result with the Becke gradient-exchange correction and the Lee-Yang-Parr correlation functional is currently a popular choice, commonly abbreviated to BLYP.

### 3.3 Hybrid HF/DFT methods

As we stated earlier, a key feature of DFT is the way in which correlation effects are incorporated from the beginning, unlike HF theory. However, it is important to recognize that HF theory does provide an essentially exact means of treating the exchange contribution. One potentially attractive option is thus to add a
correlation energy derived from DFT (e.g. the LDA) to the HF energy. In such an approach, the exchange-correlation energy is written as a sum of the exact exchange term together with the correlation component from the LDA. This ‘exact’ exchange energy is obtained from the Slater determinant of the Kohn-Sham orbitals. Becke has proposed a strategy which does seem to have much promise Becke (1993a,b). In his approach the exchange-correlation energy \( E_{\text{XC}} \) is written in the following form:

\[
E_{\text{XC}} = \int_0^1 U_{\text{XC}}^\lambda d\lambda
\]  

(3.27)

Equation (3.27) contains a coupling parameter \( \lambda \), which takes values from 0 to 1. A value of zero corresponds to a system where there is no Coulomb repulsion \( U_{\text{XC}} \) between the electrons (i.e. the Kohn-Sham non-interacting reference state). As \( \lambda \) increases to 1 the interelectronic Coulomb repulsion is introduced until \( \lambda = 1 \), which corresponds to the ‘real’ system with full interactions. For all values of \( \lambda \) the electron density is the same and equal to the density of the real system. It is not practical to perform this integral analytically and so it must be approximated. The simplest approximation is a linear interpolation:

\[
E_{\text{XC}} = \frac{1}{2}(U_{\text{XC}}^0 + U_{\text{XC}}^1)
\]  

(3.28)

When \( \lambda = 0 \) we have \( U_{\text{XC}}^0 \), which is the exchange-correlation potential energy of the non-interacting reference system. As there are no electronic interactions in this system, there is no correlation term and so \( U_{\text{XC}}^0 \) corresponds to pure exchange energy of the Kohn-Sham determinant and can be determined exactly. \( U_{\text{XC}}^1 \) is the exchange-correlation potential energy of the full-interacting real system. Becke proposed that this should be calculated using the LSDA. This potential energy (note that it is not the total energy, \( E \)) is available from:

\[
U_{\text{XC}}^1 \approx U_{\text{XC}}^{\text{LSDA}} = \int u_{\text{XC}}[\rho_\alpha(r), \rho_\beta(r)]dr
\]  

(3.29)

\( u_{\text{XC}} \) is the exchange-correlation potential energy density of an electron gas for which appropriate expressions are available.

This so-called ‘half-and-half’ theory proved to be significantly better than the alternative methods based on mixing exact exchange and correlation energies.
In a refinement of the scheme, Becke recognized that there were problems with the model when $\lambda = 0$. These problems arise because the electron gas model is not appropriate near this exchange-only limit for molecular bonds. Hence a key feature of Becke’s modified model is to eliminate the term $U^0_{\text{XC}}$ and to write the exchange-correlation energy as the following linear combination:

$$E_{\text{XC}} = E_{\text{XC}}^{\text{LSDA}} + a_0(E_{\text{X}}^{\text{exact}} - E_{\text{X}}^{\text{LSDA}}) + a_X \Delta E_{\text{X}}^{\text{GC}} + a_C \Delta E_{\text{C}}^{\text{GC}}$$  \hspace{1cm} (3.30)

In Equation (3.30), $E_{\text{X}}^{\text{exact}}$ is the exact exchange energy (obtained from the Slater determinant of the Kohn-Sham orbitals), $E_{\text{X}}^{\text{LSDA}}$ is the exchange energy under the LSDA, $\Delta E_{\text{X}}^{\text{GC}}$ is the gradient correction for exchange and $\Delta E_{\text{C}}^{\text{GC}}$ is the gradient correction for correlation. $a_0$, $a_X$ and $a_C$ are empirical coefficients obtained by least-squares fitting to experimental data. Their values are $a_0 = 0.20$, $a_X = 0.72$ and $a_C = 0.81$. Hybrid functionals of this type are now very widely used in chemical applications with the B3LYP or B3PW functionals (in which the parameterisation is as given above but with a different GGA treatment of correlation [Lee et al. (1988); Perdew & Wang (1992)] being the most notable). In Becke’s original paper, his own gradient correction for exchange was used together with a gradient correction for correlation suggested by Perdew and Wang and the resultant three parameter energy functional is:

$$E_{\text{XC}} = E_{\text{XC}}^{\text{LSDA}} + 0.2(E_{\text{X}}^{\text{exact}} - E_{\text{X}}^{\text{LSDA}}) + 0.72\Delta E_{\text{X}}^{\text{B88}} + 0.81\Delta E_{\text{C}}^{\text{PW91}}$$ \hspace{1cm} (3.31)

where $\Delta E_{\text{X}}^{\text{B88}}$ and $\Delta E_{\text{C}}^{\text{PW91}}$ are widely used GGA corrections [Becke (1988b); Perdew & Wang (1992)] to the LDA exchange and correlation energies respectively. This hybrid B3PW method is the most important tool for my forthcoming theoretical works.
3. HF/DFT FORMALISM AND METHODOLOGY
Chapter 4

Calculations on perfect bulks and slabs of CaF$_2$ and BaF$_2$ crystals

Introduction

In this Chapter, firstly, in order to compare the various type Hamiltonians, the results of detailed calculations for bulk properties and the electronic structure of the cubic phase of CaF$_2$ and BaF$_2$ alkaline-earth fluoride crystals are documented and discussed. These are obtained using both \textit{ab initio} Hartree-Fock (HF) and density functional theory (DFT) applying a number of different exchange-correlation functionals including hybrid (B3PW and B3LYP) exchange techniques. Results, obtained for seven methods, are compared with available experimental data. Great attention is paid to the calculated optical band gap which is responsible for many observed crystal properties (\textit{e.g.} optical absorption). According to the comparison among these seven theoretical methods, I chose the best method which gives the best agreement with experiment for the lattice constant, bulk modulus and optical band gap for future calculations.

In a second part of this chapter, as a basis for forthcoming defect calculations in the surface regions of CaF$_2$ and BaF$_2$, I also presented theoretical investigations using the hybrid B3PW method for the pure (111), (110) and (100) surfaces.
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CAF$_2$ AND BAF$_2$ CRYSTALS

4.1 Method of calculations

All numerical calculations dealing with the CaF$_2$ and BaF$_2$ electronic structures were performed by the CRYSTAL-2003 computer code [Saunders et al. (2003)]. In my calculations, I used several quite different methods: ‘pure’ HF and different DFT type a posteriori electron correlation corrections to the total energy [Causa & Zupan (1994)]. In DFT computations, the local density approximation (LDA) scheme with the Dirac-Slater exchange [Dirac (1930)] and Vosko-Wilk-Nusair correlation [Vosko et al. (1980)] energy functionals have been used as well as a set of generalized gradient approximation (GGA) exchange and correlation functionals as suggested by Perdew and Wang (PW) [Perdew & Wang (1986, 1992)], by Perdew, Burke and Ernzerhof (PBE) [Burke & Ernzerhof (1996)], and lastly by the Becke exchange potential [Becke (1988b)] combined with the correlation potential by Lee, Yang and Parr (BLYP) [Lee et al. (1988)]. Also calculations using the hybrid functionals [Becke (1993a)] mixing the Fock exchange and Becke’s gradient corrected exchange functional have been performed. Two versions of the gradient corrected correlation potentials together with hybrid exchange potentials have been employed: by Perdew and Wang (B3PW), or by Lee, Yang and Parr (B3LYP).

The CRYSTAL-2003 code employs Gaussian-type functions (GTF) localized at atoms as the basis for an expansion of the crystalline orbitals. In order to employ the LCAO-GTF (linear combination of atomic orbitals) method, it is desirable to have optimized basis sets (BS). In my calculations for CaF$_2$, I applied the basis sets developed by Catti et al. (1991). The basis set of F atoms, for BaF$_2$, is the same as that in CaF$_2$. For Ba, the BS optimization for BaTiO$_3$ perovskite was developed and discussed in [Eglitis et al. (2004); Piskunov et al. (2004)]. The Hay-Wadt small-core effective core pseudopotential (ECP) was adopted for the Ba atom [Hay & Wadt (1985)]. The small-core ECP replaces only inner core orbitals, but orbitals for subvalence electrons as well as for valence electrons are calculated self-consistently. In the present thesis, I used this BS for the Ba atom. The basis sets are believed to be transferable, so that, once determined for some chemical constituents, they may be applied successfully in calculations for a variety of chemical substances where the latter participates. Besides giving
4.1 Method of calculations

A reasonable lattice constant [Piskunov et al. (2004)], the basis set for Ba also allowed us to achieve excellent results for the BaTiO$_3$(001) surface relaxation and surface band structure [Eglitis et al. (2004)].

I performed band-structure calculations with $8 \times 8 \times 8 = 512$ $k$ points in the Brillouin zone (BZ). The calculation thresholds $N$ (i.e., the calculation of integrals with an accuracy of $10^{-N}$) were chosen as a compromise between the accuracy of the calculations and the large computational time for large cells. They are $7, 8, 7, 7$ and $14$ for the Coulomb overlap, Coulomb penetration, exchange overlap, the first-exchange pseudo-overlap and the second-exchange pseudo-overlap, respectively [Pisani (1996)]. The convergence criteria for the self-consistent field (SCF) energy and eigenvalues were set to $10^{-10}$ and $10^{-12}$ a.u., respectively. An additional advantage of the CRYSTAL-2003 code is that it treats isolated two-dimensional (2D) slabs, without an artificial periodicity in the $Z$ direction perpendicular to the surface, and thereby is a very convenient tool for modeling of CaF$_2$ and BaF$_2$ surfaces.

Unlike the (111) neutral surface, the problem in modeling the (100) polar surface is that it consists of charged planes F-F or Ca/Ba. If one assumes fixed ionic charges F$^-$ and Ca$^{2+}$/Ba$^{2+}$ (which is the case for shell model calculations or ideal ionic crystals), then modeling of the (100) surface exactly as would be obtained from a perfect-crystal cleavage leads either to an infinite macroscopic dipole moment perpendicular to the surface, when the slab is terminated by planes of different kinds (F$_2$ and Ca/Ba), or to an infinite charge, when it is terminated by the same type of crystalline planes (F$_2$-F$_2$ or Ca-Ca/Ba-Ba). It is known that such crystal terminations make the surface unstable [Noguera (2000); Tasker (1979)]. In real quantum-mechanical calculations for a finite-thickness slab terminated by the different kinds of planes, the charge redistribution near the surface arising during the self-consistent-field procedure, could, in principle, compensate the macroscopic dipole moment. On the other hand, in the calculations of slabs terminated by similar planes, the charge neutrality could be easily retained by setting in the computer input an appropriate number of electrons or just put the net charge of the unit cell to zero. However, careful studies [Bottin et al. (2003); Noguera (2000); Pojani et al. (1999)] demonstrate that these two options are energetically expensive with respect to the dipole moment elimination.
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CAF$_2$ AND BAF$_2$ CRYSTALS

via introduction of vacancies. This is why in my calculations I removed half of the F atoms from the F$_2$-terminated CaF$_2$ and BaF$_2$ (100) surfaces.

4.2 Calculations on perfect CaF$_2$ and BaF$_2$ bulks

Table 4.1: Optimized lattice constant $a_0$ (Å), and bulk modulus $B$ (GPa) for CaF$_2$ and BaF$_2$.

<table>
<thead>
<tr>
<th></th>
<th>Method</th>
<th>LDA</th>
<th>PWGGA</th>
<th>PBE</th>
<th>BLYP</th>
<th>B3PW</th>
<th>B3LYP</th>
<th>HF</th>
<th>Expt</th>
</tr>
</thead>
<tbody>
<tr>
<td>CaF$_2$</td>
<td>$a_0$</td>
<td>5.34</td>
<td>5.51</td>
<td>5.52</td>
<td>5.56</td>
<td>5.50</td>
<td>5.52</td>
<td>5.52</td>
<td>5.46$^a$</td>
</tr>
<tr>
<td></td>
<td>$B$</td>
<td>103</td>
<td>88</td>
<td>90</td>
<td>79</td>
<td>85</td>
<td>91</td>
<td>93</td>
<td>82.71$^b$</td>
</tr>
<tr>
<td>BaF$_2$</td>
<td>$a_0$</td>
<td>6.11</td>
<td>6.27</td>
<td>6.28</td>
<td>6.34</td>
<td>6.26</td>
<td>6.30</td>
<td>6.35</td>
<td>6.20$^c$</td>
</tr>
<tr>
<td></td>
<td>$B$</td>
<td>73</td>
<td>63</td>
<td>63</td>
<td>60</td>
<td>61</td>
<td>62</td>
<td>53</td>
<td>57$^c$</td>
</tr>
</tbody>
</table>

$^a$reference Weast (1976)
$^b$reference Nicolav (2000)
$^c$reference Leger et al. (1995)

As a starting point of my calculations, I have tested how different methods reproduce the experimentally observable bulk properties – the lattice constant $a_0$ and the bulk modulus $B$ [Leger et al. (1995); Nicolav (2000); Weast (1976)]. For CaF$_2$, the LDA calculation underestimates $a_0$ by 2.2% and overestimates $B$ by 24.5%. The HF method without any correlation corrections to the total energy overestimates both $a_0$ (by 1.1%) and $B$ (by 12.4%). DFT with the GGA correction overestimates $a_0$ by 0.9% and $B$ by 6.4%. Lastly, the hybrid B3PW method gives the best result for the lattice constant $a_0$ (overestimates only by 0.7%) and also for $B$ (overestimates by 2.7%) (see Table 4.1). For the BaF$_2$ bulk, the PWGGA and PBE calculations, like the CaF$_2$ case, overestimate both $a_0$ and $B$. However, the pure HF method, unlike the CaF$_2$ case, overestimates $a_0$ by 2.4% and underestimates $B$ by 7.0%. Finally, although we can’t determine the best theoretical method for BaF$_2$ calculations like the CaF$_2$ case, as a whole, the hybrid B3PW method gives the better results for the lattice constant (overestimates by 1.0%) and the bulk modulus (overestimates by 7.0%) (see Table 4.1).
4.2 Calculations on perfect CaF\textsubscript{2} and BaF\textsubscript{2} bulks

Table 4.2: Static (Mulliken) charges (Q in e\textsuperscript{-}) of atoms and bond populations (P in me\textsuperscript{+}) for bulk CaF\textsubscript{2} and BaF\textsubscript{2} calculated by various methods.

<table>
<thead>
<tr>
<th>Atom</th>
<th>Q (e)</th>
<th>LDA</th>
<th>PWGGA</th>
<th>PBE</th>
<th>BLYP</th>
<th>B3PW</th>
<th>B3LYP</th>
<th>HF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ca\textsuperscript{2+}</td>
<td>Q</td>
<td>+1.728</td>
<td>+1.769</td>
<td>+1.771</td>
<td>+1.776</td>
<td>+1.803</td>
<td>+1.805</td>
<td>+1.895</td>
</tr>
<tr>
<td>F\textsuperscript{-}</td>
<td>Q</td>
<td>-0.864</td>
<td>-0.885</td>
<td>-0.886</td>
<td>-0.888</td>
<td>-0.902</td>
<td>-0.903</td>
<td>-0.948</td>
</tr>
<tr>
<td>F-Ca</td>
<td>P</td>
<td>-28</td>
<td>-8</td>
<td>-6</td>
<td>-8</td>
<td>-10</td>
<td>-12</td>
<td>-18</td>
</tr>
<tr>
<td>Ba\textsuperscript{2+}</td>
<td>Q</td>
<td>+1.827</td>
<td>+1.828</td>
<td>+1.827</td>
<td>+1.844</td>
<td>+1.845</td>
<td>+1.859</td>
<td>+1.906</td>
</tr>
<tr>
<td>F\textsuperscript{-}</td>
<td>Q</td>
<td>-0.914</td>
<td>-0.914</td>
<td>-0.914</td>
<td>-0.922</td>
<td>-0.923</td>
<td>-0.930</td>
<td>-0.953</td>
</tr>
<tr>
<td>F-Ba</td>
<td>P</td>
<td>-52</td>
<td>-34</td>
<td>-32</td>
<td>-28</td>
<td>-38</td>
<td>-36</td>
<td>-42</td>
</tr>
<tr>
<td>F-F</td>
<td>P</td>
<td>-2</td>
<td>0</td>
<td>+2</td>
<td>+2</td>
<td>-2</td>
<td>0</td>
<td>-2</td>
</tr>
</tbody>
</table>

To characterize the chemical bonding and covalency effects, I used a standard Mulliken population analysis for the effective atomic charges Q and other local properties of electronic structures (bond orders, atomic covalencies and full valencies) as described e.g. in Refs. \cite{Bochicchio & Reale 1993; Catlow & Stoneham 1983}. Table 4.2 presents the calculated results of the effective atomic charges and bond populations in CaF\textsubscript{2} and BaF\textsubscript{2} bulks. The effective charges for Ca/Ba and F ions are only slightly smaller than the formal ionic charges (+2 e\textsuperscript{-} and -e\textsuperscript{-}, respectively). This arises due to the high ionic nature of the Ca/Ba - F chemical bonding. Note that these results are close for all methods used. The most obvious difference is between the effective charges for the metal ions calculated by LDA (Ca: +1.728 e\textsuperscript{-}; Ba: +1.827 e\textsuperscript{-}) and HF (Ca: +1.895 e\textsuperscript{-}; Ba: +1.906 e\textsuperscript{-}). According to the calculations of the effective atomic charges, we can see that BaF\textsubscript{2} has a higher ionic degree than CaF\textsubscript{2} and it is in agreement with the fact that the metallic property of Ba is stronger than that of Ca. Obviously, there is practically no chemical bonding between Ca/Ba-F or F-F, since the relevant bond populations are even negative, which indicates a repulsion. Figure 4.1 shows the charge density map of the CaF\textsubscript{2} bulk from the (110) side view obtained with the hybrid
Figure 4.1: Charge density map of the CaF$_2$ bulk from the (110) side view calculated by means of the hybrid B3PW method. Isodensity curves are drawn from 0 to 0.1 $e/\text{bohr}^3$ with an increment of 0.001 $e/\text{bohr}^3$.

B3PW method. Figure 4.1 confirms that the charge density between atoms is very small and in agreement with the charge and bond population calculations, reflecting the high degree of ionic bonding in this crystal.

The optical band gaps of two alkaline-earth fluorides obtained using various functionals are summarized in Tables 4.3 and 4.4. Experimentally, the direct band gap for the CaF$_2$ bulk is 12.1 eV and the indirect band gap is estimated to be 11.8 eV [Rubloff (1972)]. It is a well-known fact that the DFT-LDA calculation underestimates the band gap by a factor of typically two. According to my calculations, the indirect band gap ($X \rightarrow \Gamma$) using the LDA method is 8.44 eV.
4.2 Calculations on perfect CaF$_2$ and BaF$_2$ bulks

Figure 4.2: Electronic band structures of CaF$_2$ and BaF$_2$ bulks calculated by means of the hybrid B3PW method.
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CaF$_2$ AND BaF$_2$ CRYSTALS

Table 4.3: The calculated optical gaps (in eV) for the CaF$_2$ bulk. Experimentally, the direct band gap is 12.1 eV and the indirect band gap is equal to 11.8 eV [Rubloff (1972)].

<table>
<thead>
<tr>
<th>Optical gap</th>
<th>LDA</th>
<th>PWGGA</th>
<th>PBE</th>
<th>BLYP</th>
<th>B3PW</th>
<th>B3LYP</th>
<th>HF</th>
</tr>
</thead>
<tbody>
<tr>
<td>CaF$_2$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$\Gamma \rightarrow \Gamma$</td>
<td>8.72</td>
<td>8.51</td>
<td>8.45</td>
<td>8.40</td>
<td>10.96</td>
<td>10.85</td>
<td>20.77</td>
</tr>
<tr>
<td>$X \rightarrow X$</td>
<td>9.30</td>
<td>9.33</td>
<td>9.30</td>
<td>9.28</td>
<td>11.99</td>
<td>11.93</td>
<td>22.72</td>
</tr>
<tr>
<td>$U \rightarrow U$</td>
<td>9.60</td>
<td>9.58</td>
<td>9.55</td>
<td>9.52</td>
<td>12.27</td>
<td>12.20</td>
<td>23.07</td>
</tr>
<tr>
<td>$W \rightarrow W$</td>
<td>9.56</td>
<td>9.55</td>
<td>9.52</td>
<td>9.49</td>
<td>12.23</td>
<td>12.16</td>
<td>23.00</td>
</tr>
<tr>
<td>$L \rightarrow L$</td>
<td>11.41</td>
<td>10.82</td>
<td>10.77</td>
<td>10.64</td>
<td>13.63</td>
<td>13.54</td>
<td>24.90</td>
</tr>
<tr>
<td>$X \rightarrow \Gamma$</td>
<td>8.44</td>
<td>8.22</td>
<td>8.20</td>
<td>8.16</td>
<td>10.68</td>
<td>10.57</td>
<td>20.43</td>
</tr>
<tr>
<td>$U \rightarrow \Gamma$</td>
<td>8.55</td>
<td>8.34</td>
<td>8.29</td>
<td>8.24</td>
<td>10.78</td>
<td>10.67</td>
<td>20.53</td>
</tr>
<tr>
<td>$W \rightarrow \Gamma$</td>
<td>8.54</td>
<td>8.33</td>
<td>8.28</td>
<td>8.24</td>
<td>10.78</td>
<td>10.66</td>
<td>20.55</td>
</tr>
<tr>
<td>$L \rightarrow \Gamma$</td>
<td>9.34</td>
<td>9.07</td>
<td>9.02</td>
<td>8.96</td>
<td>11.58</td>
<td>11.46</td>
<td>21.50</td>
</tr>
</tbody>
</table>

(see Table 4.3), considerably less than the value obtained experimentally. On the other hand, the band gap obtained through the pure-HF calculation usually greatly overestimates the experimental value [Pisani (1996)]. Indeed, the result of our pure-HF calculation for indirect band gap ($X \rightarrow \Gamma$) (20.43 eV) confirms this rule (see Table 4.3). In Chapter 3, I introduced a possible solution of this problem, the use of so-called hybrid functionals (a combination of the non-local HF exchange, DFT exchange and the GGA correlation functional). Examples are so-called B3PW and B3LYP, which nowadays are extremely popular in quantum chemistry of molecules and recently have been applied to periodic-structure ab initio calculations of a wide range of crystalline materials [Muscat et al. (2001)]. Also for the CaF$_2$ band structure, the hybrid B3PW and B3LYP methods give the best results (see Table 4.3). Namely, according to my calculations, the indirect band gap ($X \rightarrow \Gamma$) using B3PW is 10.68 eV (see Figure 4.2), and 10.57 eV by the B3LYP functional, in good agreement with experiment. For BaF$_2$, the direct band gap ($\Gamma \rightarrow \Gamma$) calculated by means of the hybrid methods B3PW (11.30 eV) and B3LYP (11.19 eV) are much better agreement with experiment.
4.2 Calculations on perfect CaF$_2$ and BaF$_2$ bulks

Table 4.4: The calculated optical gaps (in eV) for the BaF$_2$ bulk. Experimentally, the direct band gap is 11.0 eV [Rubloff (1972)].

<table>
<thead>
<tr>
<th>Optical gap</th>
<th>LDA</th>
<th>PWGGA</th>
<th>PBE</th>
<th>BLYP</th>
<th>B3PW</th>
<th>B3LYP</th>
<th>HF</th>
</tr>
</thead>
<tbody>
<tr>
<td>BaF$_2$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$\Gamma \rightarrow \Gamma$</td>
<td>8.94</td>
<td>8.85</td>
<td>8.81</td>
<td>8.75</td>
<td>11.30</td>
<td>11.19</td>
<td>20.82</td>
</tr>
<tr>
<td>$X \rightarrow X$</td>
<td>9.61</td>
<td>9.54</td>
<td>9.50</td>
<td>9.53</td>
<td>11.97</td>
<td>11.94</td>
<td>21.64</td>
</tr>
<tr>
<td>$W \rightarrow W$</td>
<td>9.98</td>
<td>9.91</td>
<td>9.87</td>
<td>9.92</td>
<td>12.35</td>
<td>12.34</td>
<td>22.14</td>
</tr>
<tr>
<td>$X \rightarrow \Gamma$</td>
<td>9.03</td>
<td>8.90</td>
<td>8.85</td>
<td>8.78</td>
<td>11.36</td>
<td>11.24</td>
<td>20.96</td>
</tr>
<tr>
<td>$U \rightarrow \Gamma$</td>
<td>9.04</td>
<td>8.96</td>
<td>8.91</td>
<td>8.83</td>
<td>11.40</td>
<td>11.28</td>
<td>20.91</td>
</tr>
<tr>
<td>$W \rightarrow \Gamma$</td>
<td>9.10</td>
<td>8.95</td>
<td>8.90</td>
<td>8.83</td>
<td>11.42</td>
<td>11.30</td>
<td>21.01</td>
</tr>
<tr>
<td>$L \rightarrow \Gamma$</td>
<td>8.97</td>
<td>8.95</td>
<td>8.91</td>
<td>8.86</td>
<td>11.39</td>
<td>11.28</td>
<td>20.86</td>
</tr>
</tbody>
</table>

(11.00 eV) [Rubloff (1972)], such as my calculations using other methods and the recent result of Khenata et al. (2005) (7.49 eV) using the FPLAPW (full-potential linearized augmented-plane wave) method. My result for the BaF$_2$ band gap is also in line with the early conclusion by Muscat et al. (2001) that the hybrid scheme allows us to achieve the best agreement with experiment for the band gaps of a variety of materials.

I calculated the total and partial density of states (DOS) of the cubic CaF$_2$ and BaF$_2$ using the hybrid B3PW method. As they are seen in Figure 4.3, the upper valence bands (VB) mainly consist of F $p$-orbitals, whereas the conduction band (CB) bottom consists essentially of Ca/Ba $d$-orbitals. The orbital contribution from F atoms is small in this energy range. This conclusion fits to the previous theoretical study [Catti et al. (1991)], but it contrasts with the results of Evarestov et al. (1989), which show major contributions from Ca $s$- and F $s$-orbitals. My DOS calculations also have a small difference to the results of Rubloff (1972), which show the CB bottom at $\Gamma$ point is primarily of Ca 4$s$ character, but the second conduction band at $\Gamma$ point and the CB bottom at $X$ point mainly consist of Ca 3$d$ orbitals, as mentioned in Chapter 2. My calculations
Figure 4.3: The calculated total and projected density of states (DOS) for CaF$_2$ and BaF$_2$ bulks by means of the hybrid B3PW method.
4.2 Calculations on perfect CaF$_2$ and BaF$_2$ bulks

Figure 4.4: The calculated total and projected density of states (DOS) in deep energy range for the CaF$_2$ bulk by means of the hybrid B3PW method.
are based on the LCAO-GTF within both HF and DFT methods, in which the basis sets don’t describe the atomic orbitals as the true atomic orbitals in real crystals. We can’t say that one band consists of one type orbital (e.g. 1s, 2s, 2p, ...) completely, and we can only say that one type orbitals do the most or main contributions to one band, especially for CB and outer VB. My DOS calculations for CB bottom show that there is also a small contribution from Ca outer s-orbitals. However, this contribution is much smaller than that of Ca d-orbitals. In order to investigate more detailed electronic information, I also calculated the DOS in the deeper energy range for the CaF$_2$ bulk, as we can see in Figure 4.4. The analysis of DOS calculations shows that, Ca 1s- and F 1s-orbitals form the deepest (about -4000 eV) and second-deepest (around -700 eV) bands, respectively, and the bands located at around -300 eV consist of Ca 2s- and 2p-orbitals. For these deeper bands are very narrow, we can consider that these bands are formed by a single type of atomic orbitals approximately.

4.3 Calculations on perfect CaF$_2$ and BaF$_2$ slabs

4.3.1 Surface relaxations

I started my calculations from the case of the CaF$_2$ and BaF$_2$ (111) surfaces, which are known to be experimentally stable. Let us, for the analysis, look at the particular B3PW results, since they gave the best agreement with experiment for the lattice constant and bulk modulus. The structure of the CaF$_2$ (111) surface and directions of atomic displacements are illustrated in Figure 4.5. I found, in contrast to Puchin et al. (2001), that the atomic displacements for the (111) surface are not fully negligible. The calculated displacements of the atoms by the HF method are < 0.01 Å in Ref.[Puchin et al. (2001)], whereas according to my B3PW calculations, F atoms in the upper sublayer of the top (111) surface layer are relaxed inward by 0.05 Å (see Table 4.5). Recently the CaF$_2$ (111) surface structure was investigated by means of low energy electron diffraction (LEED) approach [Vogt et al. (2005)]. The CaF$_2$ (111) surface deviates only insignificantly from a truncated fluorite bulk lattice with F-Ca-F layer structure, the largest displacement was the inward shift of the topmost layer of fluorine anions by
Figure 4.5: Schematic sketch of CaF$_2$ and BaF$_2$ (111) surface structures. Layer numbering introduced in this figure is used in Table 4.5. Arrows indicate the calculated displacement directions of Ca, Ba and F atoms.
4. Calculations on Perfect Bulks and Slabs of CaF$_2$ and BaF$_2$ Crystals

Table 4.5: Atomic relaxations of slabs (containing 9 layers for CaF$_2$ and 15 layers for BaF$_2$) in the (111) direction (in percent of the lattice constant: $a_0 = 5.50$ Å for CaF$_2$; $a_0 = 6.26$ Å for BaF$_2$), calculated by means of the hybrid B3PW method. Positive sign corresponds to outward atomic displacement (toward the vacuum).

<table>
<thead>
<tr>
<th>Layer</th>
<th>Atom</th>
<th>CaF$_2$: $\Delta Z$ (%)</th>
<th>BaF$_2$: $\Delta Z$ (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>F</td>
<td>-0.90</td>
<td>-0.87</td>
</tr>
<tr>
<td></td>
<td>M (Ca/Ba)</td>
<td>-0.68</td>
<td>+0.17</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>-0.78</td>
<td>-0.37</td>
</tr>
<tr>
<td>2</td>
<td>F</td>
<td>-0.34</td>
<td>+0.73</td>
</tr>
<tr>
<td></td>
<td>M (Ca/Ba)</td>
<td>-0.41</td>
<td>+0.19</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>-0.36</td>
<td>-0.07</td>
</tr>
<tr>
<td>3</td>
<td>F</td>
<td>-0.34</td>
<td>+0.25</td>
</tr>
<tr>
<td></td>
<td>M (Ca/Ba)</td>
<td>-0.28</td>
<td>+0.01</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>-0.23</td>
<td>-0.15</td>
</tr>
<tr>
<td>4</td>
<td>F</td>
<td>-0.19</td>
<td>—</td>
</tr>
<tr>
<td></td>
<td>M (Ca/Ba)</td>
<td>-0.14</td>
<td>—</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>-0.09</td>
<td>—</td>
</tr>
</tbody>
</table>

0.03±0.06 Å. The structure of the BaF$_2$ (111) surface and directions of atomic displacements is also shown in Figure 4.5. The calculated atomic displacements in the upper three layers (nine sublayers) are listed in Table 4.5. According to my calculations, the relaxation of F atoms in the upper sublayer of the top (111) surface layer is inward by 0.054 Å, and is comparable with the experiment (0.12±0.07 Å) [Vogt et al. (2005)]. The experiment also shows that the positions of Ba atoms as well as those of the second fluoride sublayer in this topmost F-Ba-F sheet are almost identical to their bulk values. My results of the displacements of Ba atoms and lower F atoms in the topmost F-Ba-F layer are in agreement with this experiment. The surface-layer relaxation of F atoms in the BaF$_2$ upper sublayer has the same direction and comparable magnitude as I found for CaF$_2$. However, the direction of atomic displacements for Ba atoms in the topmost
F-Ba-F sheet is opposite to the relevant CaF$_2$ case (see Figure 4.5).

As a next step, I optimized the slab atomic structure for the case of the CaF$_2$ (110) surface. I performed the geometry relaxation for a slab containing 15 layers (see Table 4.6). For the CaF$_2$ (110) surface there appears an additional degree of freedom for the atomic displacements in the direction Y (see Figure 4.6). Ca atoms at the CaF$_2$ (110) surface upper layer move inward (toward the bulk) by 3.35% of $a_0$, whereas the displacement of upper layer Ca atoms in the case of
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CAF$_2$ AND BAF$_2$ CRYSTALS

Table 4.6: Atomic relaxations of the CaF$_2$ slab containing 15 layers in the (110) direction (in percent of the lattice constant: $a_0 = 5.50$ Å), calculated by means of the hybrid B3PW method. $\Delta Y$ is the relative displacement (in percent of $a_0$) between two F atoms. Negative sign means the shortening of the F-F distance.

<table>
<thead>
<tr>
<th>Layer</th>
<th>Atom</th>
<th>$\Delta Y$ (%)</th>
<th>$\Delta Z$ (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>F</td>
<td>+3.21</td>
<td>-0.87</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-3.35</td>
</tr>
<tr>
<td>2</td>
<td>F</td>
<td>-0.14</td>
<td>-0.83</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>+0.80</td>
</tr>
<tr>
<td>3</td>
<td>F</td>
<td>+0.08</td>
<td>-0.26</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-0.88</td>
</tr>
<tr>
<td>4</td>
<td>F</td>
<td>-0.03</td>
<td>-0.40</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-0.13</td>
</tr>
<tr>
<td>5</td>
<td>F</td>
<td>+0.03</td>
<td>-0.22</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-0.33</td>
</tr>
<tr>
<td>6</td>
<td>F</td>
<td>-0.03</td>
<td>-0.18</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-0.13</td>
</tr>
<tr>
<td>7</td>
<td>F</td>
<td>+0.03</td>
<td>-0.08</td>
</tr>
<tr>
<td></td>
<td>Ca</td>
<td>0</td>
<td>-0.09</td>
</tr>
</tbody>
</table>

the CaF$_2$ (111) termination was only 0.68% of $a_0$ toward the bulk. Also for the deeper layers, the magnitudes of atomic displacements in the case of the CaF$_2$ (110) surface are considerably larger than for the CaF$_2$ (111) surface, see Tables 4.5 and 4.6 for comparison.

Next, I calculated the relaxation of the CaF$_2$ (100) surface using a slab containing 15 layers (see Figure 4.7). I found, that the relaxation of the CaF$_2$ (100) surface is considerably stronger than for the (111) and (110) surfaces. F atoms at the upper surface layer are relaxed most noticeably, by 5.65% of $a_0$ toward the bulk, but also F atoms even at the seventh layer are still considerably displaced, by 0.82% of $a_0$ inward and by 0.76% of $a_0$ outward (see Table 4.7). Here, we
4.3 Calculations on perfect CaF$_2$ and BaF$_2$ slabs

Layer
No.
1 --->
2 --->
3 --->
4 --->
5 --->
6 --->

Figure 4.7: Schematic sketch of the CaF$_2$ (100) surface structure. Layer numbering introduced in this figure is used in Table 4.7. Arrows indicate the calculated displacement directions of Ca and F atoms.

should note that the two F atoms in deeper layers for each unit cell slab are not equivalent due to the removing of half of F atoms from the F$_2$-terminated (100) surfaces for avoiding an infinite macroscopic dipole moment or an infinite charge slab (see Figure 4.7).

I also calculated the geometry relaxation for the BaF$_2$ (110) and (100) slabs. For the (110) surface, Ba atoms in the top layer move inward (towards the bulk) by 3.15% of $a_0$, whereas the displacement of upper layer Ba atoms in the case of the BaF$_2$ (111) termination was only 0.17% of $a_0$ (see Table 4.5 for comparison) backwards from the bulk. Also, for the deeper layers, the magnitudes of atomic
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CA\textsubscript{2}F\textsubscript{2} AND BAF\textsubscript{2} CRYSTALS

Table 4.7: Atomic relaxations of the CaF\textsubscript{2} slab containing 15 layers in the (100) direction (in percent of the lattice constant: \( a_0 = 5.50 \) Å), calculated by means of the hybrid B3PW method. Positive sign corresponds to outward atomic displacement (toward the vacuum).

<table>
<thead>
<tr>
<th>Layer</th>
<th>Atom</th>
<th>( \Delta Z (%) )</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>F</td>
<td>-5.63</td>
</tr>
<tr>
<td>2</td>
<td>Ca</td>
<td>+0.34</td>
</tr>
<tr>
<td>3</td>
<td>F</td>
<td>-3.20</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>+4.03</td>
</tr>
<tr>
<td>4</td>
<td>Ca</td>
<td>-0.03</td>
</tr>
<tr>
<td>5</td>
<td>F</td>
<td>+1.49</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>-1.53</td>
</tr>
<tr>
<td>6</td>
<td>Ca</td>
<td>-0.07</td>
</tr>
<tr>
<td>7</td>
<td>F</td>
<td>-0.82</td>
</tr>
<tr>
<td></td>
<td>F</td>
<td>+0.76</td>
</tr>
</tbody>
</table>

displacements in the case of the (110) surface are considerably larger than for the (111) surface. For the (100) case, F atoms in the top layer are relaxed most noticeably, by 6.53\% of \( a_0 \) towards the bulk. According to my calculations, like CaF\textsubscript{2}, the relaxation of the (100) surface is considerably stronger than for the (111) and (110) surfaces.

4.3.2 Surface electronic structures

All electronic properties for the CaF\textsubscript{2} and BaF\textsubscript{2} slabs in the (111), (110) and (100) have been calculated by means of the hybrid B3PW method. Firstly, let us focus on effective charge and bond population analysis. The cation effective charges in two top CaF\textsubscript{2} (111) surface layers (+1.797 \( e \)) and (+1.802 \( e \)) turn out to be smaller than in the bulk (+1.803 \( e \)), whereas the F charges (-0.891 \( e \)) in the upper sublayer of the top surface layer is by 0.011 \( e \) larger than in the bulk (-0.902 \( e \)). For BaF\textsubscript{2}, the charges of Ba atoms in the top (111) surface layer (+1.838 \( e \))
are smaller than in the bulk (+1.845 e) and the F charges (-0.918 e) in the upper sublayer of the top surface layer are larger by 0.005 e than in the bulk (-0.923 e). Changes in the atomic charges in the deeper layers become very small.

The charges of the CaF$_2$/BaF$_2$ (110) surface upper-layer F atoms are -0.882 e/-0.908 e, and increase by 0.020 e/0.015 e in comparison to the bulk, and by 0.009 e/0.010 e relative to the (111) surface upper-layer F atoms. The largest charge change is for the CaF$_2$/BaF$_2$ (110) surface upper-layer Ca/Ba atoms. Their charges are reduced by 0.041 e/0.042 e in comparison to the bulk charge (+1.803 e/+1.845 e) and are equal to +1.762 e/+1.803 e. Charges in the (110) surface deeper layers become very close to the relevant Ca/Ba and F charges in the bulk.

Static Mulliken charges of atoms for the CaF$_2$ (100) surface differ from the bulk charges by +0.055 e for the top-layer F atoms and by -0.52 e for the second-layer Ca atoms, which is considerably more than in the cases of the (110) and (111) surfaces. For BaF$_2$, the top-layer F charge increases by 0.047 e in comparison to the bulk and the charges of Ba atoms in the second layer are reduced by 0.051 e with respect to the bulk.

Bond population analysis between neighbor atoms for the CaF$_2$ (111) surface shows that the major effect observed here is a strengthening of the Ca-F chemical bond near the surface. The bond population between Ca and F atoms in the upper sublayer of the first surface layer by +12 me exceeds the respective bond population value between Ca and F atoms in the bulk. At deeper layers of the CaF$_2$ (111) surface, the bond population between Ca and F atoms is practically the same as in the bulk. The similar effect, a strengthening of the Ti-O chemical bond near the SrTiO$_3$ (001) surface, was also observed by Heifets et al. (2001). We also can observe an increase of the Ca-F chemical bond population near the CaF$_2$ (100) surface by +18 me in comparison to the CaF$_2$ bulk and thereby a strengthening of the Ca-F chemical bonding. The strengthening of the chemical bonding between Ca and F atoms in the upper surface layer is more pronounced for the CaF$_2$ (100) surface than for the CaF$_2$ (111) termination.

I also computed the electronic energy-band structures for the (100), (110) and (111) surfaces using the hybrid B3PW method. The band-structure pictures for CaF$_2$ are shown in Figure 4.8 and data on the optical band gaps for the (100),
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CaF₂ AND BaF₂ CRYSTALS

Figure 4.8: Electronic band structures of the (111), (110) and (100) CaF₂ slabs calculated by means of the hybrid B3PW method.
4.3 Calculations on perfect CaF$_2$ and BaF$_2$ slabs

Table 4.8: The calculated direct ($\Gamma \rightarrow \Gamma$) optical band gaps (eV) for the (100), (110) and (111) slabs. All calculations have been performed using the hybrid B3PW method. The last column contains the respective optical band gaps for the bulks.

<table>
<thead>
<tr>
<th>Slabs</th>
<th>(100)</th>
<th>(110)</th>
<th>(111)</th>
<th>Bulk</th>
</tr>
</thead>
<tbody>
<tr>
<td>CaF$_2$</td>
<td>9.95</td>
<td>10.13</td>
<td>10.87</td>
<td>10.96</td>
</tr>
<tr>
<td>BaF$_2$</td>
<td>10.29</td>
<td>10.77</td>
<td>10.94</td>
<td>11.30</td>
</tr>
</tbody>
</table>

(110) and (111) CaF$_2$ and BaF$_2$ surfaces are collected in Table 4.8. Since the surface band-structure properties for BaF$_2$ look quite similar to CaF$_2$, I mainly focus on CaF$_2$ discussion here. The direct optical band gap for the (111) surface (10.87 eV) is close to the relevant optical band gap value for the CaF$_2$ bulk (10.96 eV). The direct optical band gaps for the CaF$_2$ (100) and (110) surfaces (9.95 eV and 10.13 eV, respectively) are considerably reduced in comparison to the CaF$_2$ bulk.

The DOS calculated using the hybrid B3PW method for the CaF$_2$ (100), (110) and (111) surfaces are illustrated in Figures 4.9, 4.10 and 4.11, respectively. As we can see in Figure 4.9, the calculated DOS for the CaF$_2$ (100) surface shows that the (100) surface upper-layer F $p$-orbitals move upward, toward the Fermi energy, with respect to the F $p$-orbitals at deeper layers, and this leads to the narrowing of the (100) surface band gap. This finding is in line with the narrowing of the band gaps at the SrTiO$_3$, BaTiO$_3$ and PbTiO$_3$ perovskite (100) surfaces reported by Eglitis et al. (2004) and Heifets et al. (2001, 2002) and by Padilla and Vanderbilt for the SrTiO$_3$ and BaTiO$_3$ (100) surfaces [Padilla & Vanderbilt (1997, 1998)]. The calculated DOS for the CaF$_2$ (110) surface shows that the (110) surface first layer F $p$-orbitals have some states near the Fermi energy, but their magnitudes are rather small (see Figure 4.10). Thereby they contribute to some narrowing of the band gap, but this effect is not so well pronounced than in the case of the CaF$_2$ (100) surface. From the calculated DOS for the CaF$_2$ (111) surface, we can conclude that the F $p$-orbitals in the upper layer of the CaF$_2$ (111) surface have one large peak near the Fermi energy, whereas the F ($p$) DOS has two peaks at deeper layers, and with a growing number of layers, they
become more and more close to the relevant F (p) DOS for the CaF$_2$ bulk (see Figure 4.11).

### 4.3.3 Surface energies

Next, we discuss the surface energetics. The surface energy, i.e. an energy per unit area, was calculated as the difference between the total energy per unit cell of the slab and the normalized energy of the bulk:

$$E_{\text{surface}} = \frac{1}{2\sigma}[E_{\text{relax}}^{(\text{slab})} - nE_{\text{bulk}}]$$  \hspace{1cm} (4.1)
4.3 Calculations on perfect CaF$_2$ and BaF$_2$ slabs

Figure 4.10: Projected density of states (DOS) for F $p$-orbitals in the (110) CaF$_2$ slab.

where $n$ is the number of bulk primitive cells in the slab. $\sigma$ is the surface area of the unit cell. $E_{\text{bulk}}$ is the total energy per bulk unit cell, and $E_{\text{slab}}^{\text{(relax)}}$ is the total energy for a relaxed slab containing $n$ layers. My calculated surface energies for the (111), (110) and (100) surfaces containing a different number of layers, using the hybrid B3PW functional, are collected in Table 4.9. As we can see from the results of my calculations, for CaF$_2$, the (111) surface energy is the lowest (0.437 J/m$^2$) for the slab containing seven layers, thereby indicating that the (111) surface is the most stable one among the (100), (110) and (111) surfaces, in agreement with experiment. For the CaF$_2$ (111) slab containing nine layers, according to my calculation, the surface energy is practically the same (0.438
4. CALCULATIONS ON PERFECT BULKS AND SLABS OF CAF$_2$ AND BAF$_2$ CRYSTALS

Figure 4.11: Projected density of states (DOS) for F $p$-orbitals in the (111) CaF$_2$ slab.

J/m$^2$) and has converged for the seven-layer slab. The calculated (111) surface energy is close to the (111) surface energy calculated earlier by Puchin et al. (2001), using the ab initio HF method, and is in good agreement with the only experimental estimation to my knowledge available (0.45 J/m$^2$) [Gilman (1960)]. My calculated surface energy for the CaF$_2$ (110) surface is considerably larger (0.719 J/m$^2$) than for the (111) surface. Finally, my calculations show that the CaF$_2$ (100) surface energy is the largest one (0.979 J/m$^2$) and also agrees qualitatively with the only previous ab initio (HF) calculation mentioned in Ref. [Puchin et al. (2001)] (1.189 J/m$^2$).

The calculated surface energy for the BaF$_2$ (111) is 0.334 J/m$^2$ and in agree-
4.3 Calculations on perfect CaF\textsubscript{2} and BaF\textsubscript{2} slabs

Table 4.9: Surface energies (J/m\textsuperscript{2}) for the CaF\textsubscript{2} and BaF\textsubscript{2} (111), (110) and (100) surfaces calculated by means of the hybrid B3PW method. The experimental surface energy for the CaF\textsubscript{2} (111) surface is 0.45 J/m\textsuperscript{2} [Gilman (1960)].

<table>
<thead>
<tr>
<th>Slabs</th>
<th>Number of layers</th>
<th>Surface energies</th>
</tr>
</thead>
<tbody>
<tr>
<td>CaF\textsubscript{2}</td>
<td>(111)</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7</td>
</tr>
<tr>
<td></td>
<td>(110)</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>(100)</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td>BaF\textsubscript{2}</td>
<td>(111)</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>(110)</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>(100)</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>17</td>
</tr>
</tbody>
</table>

ment with the experiment value of 0.280 J/m\textsuperscript{2} [Balik \textit{et al.} (1982)]. The calculated surface energies for the (110) and (100) surfaces are 0.494 J/m\textsuperscript{2} and 0.666 J/m\textsuperscript{2}, respectively. The (111) surface is also the energetically most favorable one. In comparison with my calculations for CaF\textsubscript{2}, I predict that the BaF\textsubscript{2} (111) surface (0.334 J/m\textsuperscript{2}) is slightly more stable than the CaF\textsubscript{2} (111) surface (0.438 J/m\textsuperscript{2}).

Conclusions

Summing up, a comparison of \textit{ab inito} HF and DFT calculations employing different exchange-correlation functionals clearly demonstrates that the best agreement with experiment for the lattice constant, bulk modulus, as well as the band structure is possible to achieve by the hybrid B3PW functional.

According to my calculations, the direct optical band gaps for CaF\textsubscript{2} and BaF\textsubscript{2}
bulks are narrowed for the (111), (110) and (100) surfaces. This narrowing effect is mainly due to the F $p$ orbitals at the surface layers. The (111) surface energy is the smallest one among these three terminations, indicating that the (111) surface is the most stable one, in good agreement with the available experimental result. The relaxation of F atoms in the upper sublayer of the top (111) surface layer is inwards and is comparable with the LEED experimental results.
Chapter 5

F centers in CaF$_2$ and BaF$_2$ 
bulks and the (111) slabs

Introduction

In this Chapter, I used the hybrid B3PW method to simulate $F$ centers in CaF$_2$ and BaF$_2$. Firstly, I present theoretical investigations for the electronic structure, atomic geometry and formation energy of the $F$ center in bulks. In the second part of this chapter, my calculation results for the simplest $F$-center aggregate, namely $M$ center, were reported. Finally, as an extension of my study dealing with $F$ centers in bulks, I performed calculations for surface $F$ centers located at the (111) surface.

5.1 Method of calculations

To investigate $F$ centers in CaF$_2$ and BaF$_2$, I used the first-principles DFT-B3PW method, according to my previous study dealing with CaF$_2$ and BaF$_2$ perfect crystals, which gave the best agreement with experiment for the lattice constant, bulk modulus and optical band gaps. The reciprocal space integration was performed by sampling the Brillouin zone of the unit cell with the $8 \times 8 \times 8$ Pack-Monkhorst net [Monkhorst & Pack (1976)].

To simulate $F$ centers, I started with a 48-atom supercell with one of the
5. $F$ CENTERS IN CaF$_2$ AND BaF$_2$ BULKS AND THE (111) SLABS

fluorine atoms removed. The 48-atom supercell is obtained by exploiting the transformation matrix that transforms the conventional f.c.c unit cell (3 atoms) into the primitive b.c.c cubic supercell (48 atoms). After the fluorine atom is removed, the atomic configuration of the surrounding atoms is re-optimized via a search of the total energy minimum as a function of the atomic displacements from the regular lattice sites. The basis sets for F, Ca and Ba atoms are the same as previous calculations. In order to have an accurate description of the $F$ center, a basis set has been added at the fluorine vacancy, corresponding to the ghost atom. For the ghost atom, I used the same basis set as that used for the F$^-$ ions of the bulk CaF$_2$ and BaF$_2$. For the $M$-center system, I used a 96-atom supercell with two of the neighbor fluorine atoms removed. The transformation matrices for the 48- and 96-atom supercells are expressed as:

$$T_{48} = \begin{pmatrix} 3 & -1 & -1 \\ -1 & 3 & -1 \\ -1 & -1 & 3 \end{pmatrix} \quad T_{96} = \begin{pmatrix} -2 & 2 & 2 \\ 2 & -2 & 2 \\ 2 & 2 & -2 \end{pmatrix}$$  (5.1)

5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

Table 5.1: Formation energies, $E_{\text{formation}}$ (in eV), for an $F$ center in CaF$_2$ and BaF$_2$ bulks for different supercells.

<table>
<thead>
<tr>
<th>Number of atoms</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>7.88</td>
<td>7.82</td>
</tr>
<tr>
<td>24</td>
<td>7.87</td>
<td>7.82</td>
</tr>
<tr>
<td>48</td>
<td>7.87</td>
<td>7.82</td>
</tr>
</tbody>
</table>

$F$ center, an electron trapped in an anion vacancy, is created on removal of the anion by irradiation or by additive colouration. As a starting point of my $F$-center calculations, I calculated the formation energy of the fluorine vacancy in CaF$_2$ and BaF$_2$ crystals. The formation energies of vacancies were calculated from the total energies of the supercells, based on the standard formalism by Mattila et al. (1997) and Zhang & Northrup (1991). For compound systems, formation energies of vacancies depend on the atomic chemical potentials. In addition, formation
5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

energies of charged defects also vary with the electron chemical potential. For a vacancy with a charge state $q$, the formation energy is given by

$$E_{\text{formation}} = E_T(\text{defect} : q) - N_M \mu_M - N_F \mu_F + q(\varepsilon_F + E_{\text{VBM}})$$ (5.2)

where $E_T(\text{defect} : q)$ is the total energy of the supercell containing a vacancy in a charge state $q$. Here $N_M$ and $N_F$ are the numbers of metal (M: Ca or Ba) and F atoms in the supercell, respectively. $\mu_M$ and $\mu_F$ are the atomic chemical potentials, and $\varepsilon_F$ is the Fermi energy measured from the valence band maximum (VBM). In the supercell calculations for an isolated vacancy in alkaline-earth fluorides, Eq.5.2 can be rewritten using total energy of the perfect supercell $E_T(\text{perfect})$ as follows:

$$E_{\text{formation}} = E_T(\text{defect} : q) - [E_T(\text{perfect}) - n_M \mu_M - n_F \mu_F] + q(\varepsilon_F + E_{\text{VBM}})$$ (5.3)

Here $n_M$ and $n_F$ are the numbers of M and F atoms removed from the perfect supercell to introduce an isolated vacancy. We can modify Eq.5.3 for the formation energy of a neutral (the charge of total supercell is neutral) $F$ center in fluorite as follows:

$$E_{\text{formation}} = E(\text{Fluorine}) + E(F) - E(\text{perfect})$$ (5.4)

where $E(\text{Fluorine})$ is the energy for the isolated fluorine atom, $E(F)$ and $E(\text{perfect})$ are the energies of the defective crystal containing the $F$ center and the perfect crystal, respectively. The fluorine vacancy formation energy, calculated using the hybrid B3PW method, going from the 12-atom supercell to the 48-atom supercell, as shown in Table 5.1, is reduced only by 0.01 eV and equals to 7.87 eV for the supercell containing 48 atoms in the CaF$_2$ case, and for BaF$_2$, the corresponding formation energies equal to 7.82 eV for the 12-, 24- and 48-atom supercells. It practically shows that the formation energy has converged.

The analysis of the effective charges shows that the electron associated with the removed F atom is well localized (-0.752 e) (see Table 5.2) inside the fluorine vacancy ($V_F$), -0.04 e is localized on the four nearest Ca atoms and -0.09 e on the six second-nearest neighbor fluorine atoms. The charge density map of the $F$ center in CaF$_2$ (see Figure 5.1) also shows that in CaF$_2$ the $F$-center charge is well localized inside the $V_F$ and the deformation of the neighbor ions from their
5. *F* CENTERS IN CAF₂ AND BAF₂ BULKS AND THE (111) SLABS

![Diagram of electron charge and spin density maps of CaF₂ with an F center from the (110) side view.](image)

**Figure 5.1:** Electron charge (upper) and spin (lower) density maps of CaF₂ with an F center from the (110) side view. Isodensity curves are drawn from 0 e/bohr³ to 0.1 e/bohr³ with an increment of 0.001 e/bohr³ for charge density and from -0.005 e/bohr³ to 0.06 e/bohr³ with an increment of 0.001 e/bohr³ for spin density. Blue, green and red lines denote positive, negative and zero values, respectively.
Table 5.2: The effective charges \( (Q(e)) \) of the F center and surrounding atoms in CaF\(_2\) and BaF\(_2\) crystals for a supercell containing 48 atoms. \( \Delta Q(e) \) is the charge difference between the defective and perfect crystals.

<table>
<thead>
<tr>
<th>Atoms (ith-nearest)</th>
<th>( Q(e) )</th>
<th>( \Delta Q(e) )</th>
<th>Spin ( (n_\alpha - n_\beta)(e) )</th>
</tr>
</thead>
<tbody>
<tr>
<td>CaF(_2)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>XX</td>
<td>-0.752</td>
<td>+0.150</td>
<td>0.716</td>
</tr>
<tr>
<td>Ca(1)</td>
<td>+1.793</td>
<td>-0.010</td>
<td>0.035</td>
</tr>
<tr>
<td>F(2)</td>
<td>-0.917</td>
<td>-0.015</td>
<td>0.019</td>
</tr>
<tr>
<td>F(3)</td>
<td>-0.902</td>
<td>0</td>
<td>0.001</td>
</tr>
<tr>
<td>Ca(4)</td>
<td>+1.802</td>
<td>-0.001</td>
<td>0</td>
</tr>
<tr>
<td>BaF(_2)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>XX</td>
<td>-0.801</td>
<td>+0.122</td>
<td>0.747</td>
</tr>
<tr>
<td>Ba(1)</td>
<td>+1.828</td>
<td>-0.017</td>
<td>0.045</td>
</tr>
<tr>
<td>F(2)</td>
<td>-0.929</td>
<td>-0.006</td>
<td>0.008</td>
</tr>
<tr>
<td>F(3)</td>
<td>-0.923</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Ba(4)</td>
<td>+1.845</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

spherical shapes is negligible. My effective charge calculations for each basis set shell show that the inner part of the basis set, describing the 1s \((0\ e)\) and 2s \((0.013\ e\) and \(0.018\ e\) for CaF\(_2\) and BaF\(_2\), respectively) electrons of F\(^-\), is obviously useless. Further analysis of the effective charges indicates that the unpaired electron inside the \(V_F\) is more diffuse than the valence electrons in the F\(^-\) valence shell and \(p\)-orbitals give just a minor contribution, as a consequence both of their different symmetry \((s\ for\ the\ F\ center\ and\ p\ for\ the\ valence\ electrons\ of\ F^-\) and of lack of nuclear attraction at the vacancy. Eventually, we can predict that the defect wave function can be described by a single, diffuse \(s\) Gaussian function very accurately. On the other hand, the localization of the unpaired electron at the \(V_F\) is clearly evident at the center of the spin map (Figure 5.1, lower) and the spin polarization of the nearest neighboring atoms is also appreciable. According to the results of my calculations, the experimentally measurable F-center spin density is equal to 0.716 \(e\). Unfortunately, I did not find the experimental data for the F-center spin density in CaF\(_2\) in literature. The calculated results of
5. \textit{F} CENTERS IN \textit{CAF}_2 AND \textit{BAF}_2 BULKS AND THE (111) SLABS

The effective charges for the \textit{BaF}_2 \textit{F}-center crystal are also reported in Table 5.2. The \textit{F}-center charge for the \textit{BaF}_2 bulk is -0.801 \textit{e} and even more localized inside the \textit{V}_F than in the \textit{CaF}_2 case. This phenomena is in line with the fact that \textit{Ba} has more metallic property than that of \textit{Ca}.

Figure 5.2: A view of the \textit{F}-center nearest-neighbor geometry in \textit{MF}_2, with the indication of relaxation shifts. The position of the \textit{F} center is indicated by XX. The fluorine atoms in the first shell are labeled 1, in the second shell 2 and in the third shell 3a and 3b.

The fluorine vacancy site (\textit{F} center) is surrounded in the ideal lattice by four metal (\textit{M}) atoms forming a tetrahedron (see Figure 5.2). The next-nearest neighbor shell is formed by six fluorine atoms. The positions of 10 atoms surrounding the \textit{F} center in alkaline-earth fluorides with point group symmetry \textit{T}_d after lattice relaxation to the minimum of the total energy are calculated by means of the hybrid B3PW method. The atomic relaxations of 10 atoms surrounding the
5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

Table 5.3: Atomic relaxations of 10 atoms surrounding an $F$ center placed at the coordinate origin in the CaF$_2$ and BaF$_2$ 48-atom supercells (in percent of the lattice constants, $a_0=5.50$ Å for CaF$_2$, $a_0=6.26$ Å for BaF$_2$). Positive signs indicate the outward movements of the $F$ center.

<table>
<thead>
<tr>
<th>Atom</th>
<th>Number of atoms</th>
<th>CaF$_2$ D (% $a_0$)</th>
<th>BaF$_2$ D (% $a_0$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>4</td>
<td>+0.15</td>
<td>+0.03</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>-0.28</td>
<td>-0.23</td>
</tr>
</tbody>
</table>

$F$ center in CaF$_2$ and BaF$_2$ bulks are reported in Table 5.3. The conclusion is that the repulsions of the four nearest M atoms from the $F$ center by 0.15 % of $a_0$ for CaF$_2$ and 0.03 % of $a_0$ for BaF$_2$, and inward displacements of the second-nearest neighbor F atoms by 0.28 % of $a_0$ and 0.23 % of $a_0$ for CaF$_2$ and BaF$_2$, respectively, are small, since the effective charge of the $F$ center is close to the effective charge of the fluorine ions in the perfect crystals.

The defect-defect coupling is also seen in the CRYSTAL-B3PW calculations. For the CaF$_2$ case, the width of the defect band is 1.13 eV for the 12-atom supercell, 0.23 eV for the 24-atom supercell and 0.07 eV for the 48-atom supercell. In these supercells the distance between the periodically repeated $F$ centers varies from 5.50 Å (12-atom supercell) to 9.53 Å (48-atom supercell). On the other hand, the width of the defect band is only 0.016 eV for the BaF$_2$ 48-atom supercell. The defect-defect coupling due to the periodically repeated defects in our supercell model is practically negligible for the 48-atom supercell, since the width of the defect band is very small.

As mentioned in Chapter 2, alkaline-earth fluorides exhibit optical absorption, centered around 3.3 eV for CaF$_2$ [Arends (1964)] and 2.3 eV for BaF$_2$ [Nepomnyashchikh et al. (2002)]. My results for defect levels (see Figure 5.3 and 5.4) suggest a possible mechanism for this optical absorption. In the ground state, the defect band in the $\alpha$ graph is occupied and is unoccupied in the $\beta$ figure (see Figure 5.3 and 5.4). The optical absorption corresponds to an electron transition from the $F$-center ground state to the conduction band (CB). Because of the spin difference between $\alpha$ and $\beta$ states and the selection rules, the electron transition...
5. \textit{F} CENTERS IN CaF\textsubscript{2} AND BaF\textsubscript{2} BULKS AND THE (111) SLABS

Figure 5.3: Calculated band structure for the 48-atom supercell modeling the \textit{F} center in CaF\textsubscript{2}. \(\alpha\) (left) and \(\beta\) (right) denote the majority and minority spin states, respectively.

from the \(\alpha\) occupied band to the \(\beta\) unoccupied band is impossible. The calculated optical band gaps for the \textit{F} centers in CaF\textsubscript{2} and BaF\textsubscript{2} bulks are collected in Table 5.4. The experimentally observed optical absorption could be due to an electron transfer from the \textit{F}-center ground state, located at \(\Gamma\) point 6.75 eV for CaF\textsubscript{2} and 7.01 eV for BaF\textsubscript{2} above the valence band (VB) top, to the conduction band bottom. The corresponding calculated values in CaF\textsubscript{2} and BaF\textsubscript{2} are 4.24 eV and 4.27 eV, respectively, which, however, still differ considerably from the experimental results. It is well known that only the highest occupied one-electron level has a strict physical meaning in exact DFT, which is merely a formalism for the electronic ground state [Jones & Gunnarsson (1989)]. This discrepancies may be caused by the reason, that I calculated the optical absorption energy as a difference between occupied and unoccupied one-electron energies, which in general is a very crude approximation, but could be justified in our case by the fact, that my calculated band gaps are reasonable and close to the experimental
5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

Figure 5.4: Calculated band structure for the 48-atom supercell modeling the $F$ center in BaF$_2$. $\alpha$ (left) and $\beta$ (right) denote the majority and minority spin states, respectively.

The presence of an unpaired electron is also revealed by the band structure of the defective system, given in Figure 5.3 and 5.4. The bound unpaired electron level lies in the gap; the corresponding unoccupied level appears in the $\beta$ spin structure, again in the gap but at positive energies. Unlike unpolarized band structure curves whose states can be occupied by two electrons, only one electron occupies one state in Figure 5.3, and 5.4.

At this point, I should address the question of the band-gap difference between $\alpha$ and $\beta$ states. From Table 5.4, we can see that the band gaps between VB and CB in the $\alpha$ case for the $F$-center systems are very close to the gaps in perfect crystals (10.96 eV for CaF$_2$ and 11.30 eV for BaF$_2$), and the gaps in the $\beta$ case are slightly larger than in the $\alpha$ case. The reason is that there is more exchange energy for the $\alpha$ case due to the more number of the $\alpha$-spin electrons and the exchange contribution is negative. The detailed discussion about this problem
5. \textit{F} CENTERS IN \textit{CAF}_2 AND \textit{BAF}_2 BULKS AND THE (111) SLABS

Table 5.4: Direct optical gaps (eV) ($\Gamma \rightarrow \Gamma$) of the \textit{F} center in \textit{CaF}_2 and \textit{BaF}_2 bulks.

<table>
<thead>
<tr>
<th>Optical Gaps</th>
<th>\textit{CaF}_2</th>
<th>\textit{BaF}_2</th>
</tr>
</thead>
<tbody>
<tr>
<td>$V_F \rightarrow \text{CB}$</td>
<td>4.24</td>
<td>4.27</td>
</tr>
<tr>
<td>$V_B \rightarrow \text{CB}$</td>
<td>10.99</td>
<td>11.20</td>
</tr>
<tr>
<td>$V_B \rightarrow V_F$</td>
<td>—</td>
<td>9.71</td>
</tr>
</tbody>
</table>

can be seen in Appendix A.

To get more detailed electronic structure information of the defect bands, total and projected DOS for the \textit{F} center in the \textit{CaF}_2 bulk was calculated and shown in Figure 5.5. The analysis of DOS calculations shows that, the defect bands between the VB and CB mainly consist of $V_F$ s-orbitals, and $d$-orbitals of the nearest Ca atoms, s- and p-orbitals of the second-nearest F atoms also do a few contributions to the defect bands. Further investigation of DOS calculations indicates that the outer s-orbitals of the $V_F$ do more contributions. This is also supported by the Mulliken charge analysis, which gives charges very close to zero for the two inner shells of the basis set of the $V_F$.

Next, I researched the hyperfine structure of the \textit{F} center in \textit{CaF}_2 and \textit{BaF}_2. A hyperfine structure of the electron paramagnetic resonance (EPR) spectra can be detected, due to the interaction between the unpaired spin and the spin of neighboring nuclei. This information gives better insight into the structure of the defect. The isotropic hyperfine interaction is caused by the non-zero probability of an electron being in the position of a given nucleus. This is only true for the s type orbitals (they are the only ones which do not become zero at the origin). The anisotropic contribution is due to the presence of higher order poles, and it is indicative of the deformation of the electronic density with respect to the spherical distribution [Saunders \textit{et al.} (2003)].

The electron and nuclear spin coupling term $\mathcal{H}_S$ in the Hamiltonian is defined as:

$$\mathcal{H}_S = \vec{S} \cdot A \cdot \vec{N} \quad (5.5)$$
5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

![Graph showing density of states for $F$ centers in CaF$_2$ bulk.](image)

Figure 5.5: Total and projected density of states (DOS) for the $F$ center in the CaF$_2$ bulk. $\alpha$ and $\beta$ denote the up- and down-spin states, respectively.
5. \( \textit{F} \) CENTERS IN CAF\(_2\) AND BAF\(_2\) BULKS AND THE (111) SLABS

where \( \mathbf{S} \) and \( \mathbf{N} \) denote the electron and the nuclear spin vector operators, respectively, \( \mathbf{S}^\top \) is the transpose of \( \mathbf{S} \) and \( \mathbf{A} \) is known as the hyperfine parameter matrix. The symmetry properties of \( \mathbf{A} \) allow its decomposition into two terms as follows:

\[
\mathbf{A} = A_0 \mathbf{I}_3 + \mathbf{T} \tag{5.6}
\]

\( \mathbf{T} \) being a traceless tensor, \( \mathbf{I}_3 \) a \( 3 \times 3 \) identity matrix and \( A_0 \) a scalar quantity. Thus, substituting Eq.5.6 into Eq.5.5, \( \mathcal{H}_S \) can be written as the sum of an isotropic (iso) and an anisotropic or dipolar (dip) component:

\[
\mathcal{H}_S = \mathcal{H}_{iso} + \mathcal{H}_{dip} \tag{5.7}
\]

with

\[
\mathcal{H}_{iso} = A_0 \mathbf{S} \cdot \mathbf{N} \tag{5.8}
\]

and

\[
\mathcal{H}_{dip} = \mathbf{S} \cdot \mathbf{T} \cdot \mathbf{N} = \frac{\mu_0}{4\pi} g \beta_e g_N \beta_n \left( \frac{\mathbf{S} \cdot \mathbf{N}}{r^3} - \frac{3\mathbf{S} \cdot \mathbf{r} \mathbf{N} \cdot \mathbf{r}}{r^5} \right) \tag{5.9}
\]

Usually, the experimental hyperfine coupling data are reported in terms of the isotropic \( a \) and anisotropic \( b \) hyperfine coupling constants. For each nucleus \( N \), they (in MHz) are expressed as [Weil \textit{et al.} (1994)]:

\[
a = \frac{2\mu_0}{3h} g \beta_e g_N \beta_n \rho^{a-b}(0) \tag{5.10}
\]

\[
b = \frac{\mu_0}{4\pi h} g \beta_e g_N \beta_n [T_{11} - \frac{1}{2}(T_{22} + T_{33})] \tag{5.11}
\]

where the spin density \( \rho^{a-b} \) at \( \mathbf{N} \), the elements of the hyperfine coupling tensor \( \mathbf{T} \), and the electron \( g \) factor are the only terms that depend on the electronic structure of the system. All other multiplicative factors in Eq.5.9, 5.10 and 5.11 are tabulated constants [Lide (1991); Weil \textit{et al.} (1994)] (\( h \) is the Planck constant, \( \beta_e \) and \( \beta_n \) the electronic and nuclear magnetons, \( \mu_0 \) the permeability of the vacuum, and \( g_N \) the nuclear \( g \) factor). \( \mathbf{T} \) is a tensor of rank 2, which is obtained as the field gradient of the spin density at \( \mathbf{N} \). Its generic element has the form:

\[
T_{ij}^N = \sum_{\mu\nu} \sum_G P_{\mu\nu}^{\text{spin}} \int \varphi_\mu(r) \left( \frac{r^2 \delta_{ij} - 3r_i r_j}{r^5} \right) \varphi_\nu(r - G) dr \tag{5.12}
\]
5.2 $F$ centers in CaF$_2$ and BaF$_2$ bulks

where the origin of the Cartesian reference system is at nucleus $N$, $r_i$ denotes the $i$-th component of $\mathbf{r}$ and $\varphi_\nu(\mathbf{r} - \mathbf{G})$ is the $\nu$-th atomic orbital centered in cell $\mathbf{G}$. $P^{\text{spin}}_{\mu \nu \mathbf{G}}$ is the direct space spin density matrix element connecting the $\mu$-th atomic orbital in the zero cell (the reference cell) to the $\nu$-th one in cell $\mathbf{G}$.

Table 5.5: Observed and calculated hyperfine constants $a$ and $b$ (MHz) for the $F$ center in CaF$_2$.

<table>
<thead>
<tr>
<th>Atom (shell) (a)</th>
<th>My results</th>
<th>Expt$^a$</th>
<th>Theory$^a$</th>
<th>Theory$^b$</th>
</tr>
</thead>
<tbody>
<tr>
<td>F(1)</td>
<td>147.11</td>
<td>182.51</td>
<td>245.5</td>
<td>279.16</td>
</tr>
<tr>
<td>F(2)</td>
<td>5.83</td>
<td>10.85</td>
<td>16.4</td>
<td>38.75</td>
</tr>
<tr>
<td>F(3a)</td>
<td>23.24</td>
<td>21.33</td>
<td>2.33</td>
<td>43.92</td>
</tr>
<tr>
<td>F(3b)</td>
<td>1.57</td>
<td>3.72</td>
<td>2.33</td>
<td>1.10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Atom (shell) (b)</th>
<th>My results</th>
<th>Expt$^a$</th>
<th>Theory$^a$</th>
</tr>
</thead>
<tbody>
<tr>
<td>F(1)</td>
<td>16.63</td>
<td>24.55</td>
<td>26.7</td>
</tr>
<tr>
<td>F(2)</td>
<td>1.30</td>
<td>1.81</td>
<td>2.58</td>
</tr>
<tr>
<td>F(3a)</td>
<td>3.41</td>
<td>3.00</td>
<td>0.87</td>
</tr>
<tr>
<td>F(3b)</td>
<td>0.64</td>
<td>0.90</td>
<td>0.87</td>
</tr>
</tbody>
</table>

$^a$Reference Stoneham et al. (1968)
$^b$Reference Bartram et al. (1971)

The calculated and experimental values of $a$ for the coupling of the unpaired electron spin to nuclear spins are presented in Table 5.5 and 5.6. For F(1), our calculation underestimates the experimental value by nearly 19% for CaF$_2$ and 45% for BaF$_2$, but it is much better than other theoretical results [Bartram et al. (1971); Stoneham et al. (1968)]. The evaluation of F(3a) is in good agreement with the experiment, but F(2) and F(3b) are underestimated considerably. A comparison of my hybrid B3PW calculation for the anisotropic hyperfine constants $b$ with other theoretical studies and experimental results [Stoneham et al. (1968)] is also presented in Table 5.5 and 5.6. The agreement for $b$ constants is better than for $a$. From Table 5.5 and 5.6, we can find it is difficult to give good theoretical results of hyperfine constants for $F$-center systems, unlike lattice
5. F CENTERS IN CAF$_2$ AND BAF$_2$ BULKS AND THE (111) SLABS

Table 5.6: Observed and calculated hyperfine constants $a$ and $b$ (MHz) for the $F$ center in BaF$_2$.

<table>
<thead>
<tr>
<th>Atom (shell)</th>
<th>My results</th>
<th>Expt$^a$</th>
<th>Theory$^a$</th>
<th>Theory$^b$</th>
</tr>
</thead>
<tbody>
<tr>
<td>F(1)</td>
<td>29.46</td>
<td>53.8</td>
<td>149.0</td>
<td>174.70</td>
</tr>
<tr>
<td>F(2)</td>
<td>0.66</td>
<td>5.1</td>
<td>7.7</td>
<td>23.09</td>
</tr>
<tr>
<td>F(3a)</td>
<td>46.38</td>
<td>42.6</td>
<td>0.89</td>
<td>28.52</td>
</tr>
<tr>
<td>F(3b)</td>
<td>0.09</td>
<td>2.2</td>
<td>0.89</td>
<td>1.20</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Atom (shell)</th>
<th>My results</th>
<th>Expt$^a$</th>
<th>Theory$^a$</th>
</tr>
</thead>
<tbody>
<tr>
<td>F(1)</td>
<td>6.59</td>
<td>7.0</td>
<td>15.5</td>
</tr>
<tr>
<td>F(2)</td>
<td>0.51</td>
<td>1.1</td>
<td>1.45</td>
</tr>
<tr>
<td>F(3a)</td>
<td>6.00</td>
<td>5.4</td>
<td>0.55</td>
</tr>
<tr>
<td>F(3b)</td>
<td>0.36</td>
<td>0.5</td>
<td>0.55</td>
</tr>
</tbody>
</table>

$^a$Reference Stoneham et al. (1968)
$^b$Reference Bartram et al. (1971)

constant, bulk modulus and band gaps for the perfect crystals. However, on the whole, my results for hyperfine coupling look reasonable. In Chapter 8, the hyperfine calculations dealing with hydrogen centers in alkaline-earth fluorides are in much better agreement with experimental data than in this $F$-center case. I suggest that the reason should be the choice of the basis sets of the point defects. Additionally, the results of hyperfine coupling calculations for CaF$_2$ look better than for BaF$_2$. I suggest that it is due to the ECP adoption for Ba basis set.

5.3 M centers in CaF$_2$ and BaF$_2$ bulks

$F$ centers in additively-colored alkaline-earth fluoride crystals readily aggregate forming more complex centers [Hayes (1974)]. The simplest aggregate, the $M$ center (see Figure 5.6), is composed of two $F$ centers. I computed a 96-atom supercell with two of the neighbor fluorine atoms removed.

I calculated the redistribution of the electrons after the $M$-center formation.
Figure 5.6: A view of the $M$-center nearest-neighbor geometry in CaF$_2$ and BaF$_2$ with indication of relaxation shifts. The positions of the anion vacancies are indicated by two squares. The directions of atomic displacements are shown with arrows, the values are given as $\%$ of the lattice constant in circles.
Figure 5.7: Charge density maps of CaF$_2$ and BaF$_2$ crystals with the periodic $M$ center from the (1 1 0) (left) and (1 -1 0) (right) side views. Isodensity curves are drawn from 0 $e$/bohr$^3$ to 0.1 $e$/bohr$^3$ with an increment of 0.001 $e$/bohr$^3$. 
For CaF$_2$, the effective charges of the anion vacancies in the $M$-center case are -0.759 e and decrease slightly by 0.007 e in comparison with the $F$-center case (-0.752 e) (see Table 5.2). The charge value and charge density map (see Figure 5.7) of the $M$ center show that the charges are well localized inside the $M$ center. Bond population analysis between vacancy-vacancy (+274 $me$) in the $M$-center system and F-F bond population (-22 $me$) in the perfect CaF$_2$ bulk shows that the major effect observed here is a considerable increase of the chemical bonding covalency. For BaF$_2$, the charge of one anion vacancy in the $M$ center is -0.794 e and increase slightly by 0.007 e in comparison with the $F$-center case. Similar to CaF$_2$, bond population vacancy-vacancy (+142 $me$) in the $M$-center system shows a considerable covalency.

The displacement values of six metal atoms surrounding the $M$ center after the lattice relaxation to the minimum of the total energy are given in Figure 5.6. According to my calculations, the relaxations of other atoms surrounding the $M$ center are small and the displacements are all less than 1% of $a_0$. These slight relaxations of atoms near the $M$ center in alkaline-earth fluorides can be explained by the fact that the $M$-center charge is close to the double of fluorine charge in the perfect bulk.

According to our previous research dealing with $F$ centers, because of an unpaired electron in the single $F$ center, the band structure of the $F$-center system is polarized and is separated into two spin band structures, namely $\alpha$ (up-spin) spin structure and $\beta$ (down-spin) spin structure. The bound unpaired electron level lies in the gap; the corresponding electron-hole level appears in the $\beta$ spin structure, again in the gap but at positive energies. Unlike unpolarized band structure curves whose one state can be occupied by two electrons, only one electron occupies one state in the polarized band structure. In the ground state, the defect band in the $\alpha$ spin structure is occupied and is unoccupied in the $\beta$ spin band. The optical absorption corresponds to an electron transition from the $F$-center ground state to the conduction band. Because of the spin difference between $\alpha$ and $\beta$ states and the selection rules, the electron transition from the $\alpha$ occupied band to the $\beta$ unoccupied band is impossible. The $\beta$ band absorption is predominantly due to the presence of $M$ centers [Hayes (1974)]. In the $M$-center case, the two original unpaired electrons of two neighbor $F$ centers form a pair,
5. $F$ CENTERS IN CaF$_2$ AND BaF$_2$ BULKS AND THE (111) SLABS

Figure 5.8: Calculated band structures for the 96-atom supercell modeling the $M$ centers in CaF$_2$ (upper) and BaF$_2$ (lower).
5.4 Surface F centers in CaF\textsubscript{2} and BaF\textsubscript{2}

so there is no unpaired electrons in the supercell. The \( \alpha \) band can be occupied by two electrons due to unpolarized band structure, so the electron transition from \( \alpha \) band to \( \beta \) band is possible. \( M \) centers contribute to absorption in the \( \beta \) band and this band will sometimes be referred to as the \( M \) band. My calculation of the direct optical gap (\( \Gamma \rightarrow \Gamma \)) for \( M \) centers in CaF\textsubscript{2} is 2.22 eV (see Figure 5.8) and is much smaller than the corresponding value in the \( F \)-center case (4.24 eV). A similar phenomenon, a decrease in the optical gap for \( M \) centers, was also observed for SrF\textsubscript{2} [Hayes (1974)] and BaF\textsubscript{2} (1.38 eV). Experimentally, the \( \beta \) band is located 2.38 eV above the \( \alpha \) band for CaF\textsubscript{2} [Hayes (1974)]. It means that my calculated result is in good agreement with the experiment. Compared with the band structure of \( F \) centers, the \( \alpha \) band in the \( M \)-center systems move upward (toward the gap) (\( \Gamma \) point) by 0.48 eV and 0.74 eV for CaF\textsubscript{2} and BaF\textsubscript{2}, respectively. It is due to the extra Coulomb energy between the paired electrons of the \( M \) center. The detailed discussion can be seen in Appendix A.

5.4 Surface F centers in CaF\textsubscript{2} and BaF\textsubscript{2}

As an extension of my study dealing with \( F \) centers in alkaline-earth fluoride bulks, I performed calculations for CaF\textsubscript{2} and BaF\textsubscript{2} surface \( F \) centers. The atomic and electronic structure of surface \( F \) centers, is practically unknown, and according to my knowledge has never been addressed in literature.

In the present work, I have studied the surface \( F \) centers on the (111) surface, which is the most stable one among the (111), (110) and (100) terminated surfaces according to my previous discussion about the pure slabs. I considered the surface \( F \) centers located in the upper sublayer of the first surface layer (see Figure 5.9). I performed my surface \( F \)-center investigations for a slab containing 4 layers. Each layer consists of 3 sublayers, containing 9 atoms. Thereby I performed the surface \( F \)-center calculations for supercells containing 108 atoms.

According to the results of my calculations, for CaF\textsubscript{2}, the formation energy of the surface \( F \) center located at the surface was found to be 7.10 eV. The conclusion can be drawn that the defect formation in the CaF\textsubscript{2} (111) surface is by 0.77 eV smaller than in the bulk (7.87 eV). This is similar to what has been obtained for other materials and is due to the reduced coordination at the surface.
5. \textit{F} \text{CENTERS IN CAF}_2 \text{ AND BAF}_2 \text{ BULKS AND THE (111) SLABS}

Figure 5.9: Schematic sketch of the (111) surface containing \textit{F} centers.

[Carrasco et al. (2004)]. The formation energy of the \textit{F} center at the surface for \text{BaF}_2 \text{ equals to 7.48 eV and is also smaller than in the bulk by 0.34 eV. The lower formation energy for the surface \textit{F} center shows the preference of \textit{F} centers locating near the surface.}

The relaxation of the atoms nearest to the surface \textit{F} center is calculated and depicted in Figure 5.10 and Table 5.7. The Ca atoms located at the middle sublayer of the first surface layer is repulsed from the surface \textit{F} center by 0.66\% of \textit{a}_0\. The displacement of Ca atoms exceeds by a factor of four that in the bulk. The three fluorine atoms located at the lower sublayer of the first surface layer, due to the surface effect and an additional degree of freedom in the Z direction, are repulsed from the surface \textit{F} center by 0.34\% of \textit{a}_0\. The magnitude of this displacement is comparable with fluorine atoms attraction to the \textit{F} center in the CaF$_2$ bulk, but the displacement direction is opposite. For \text{BaF}_2\, unlike the slight repulsion in the bulk \textit{F}-center case, the nearest three Ba atoms located at the second sublayer of the top surface layer approach the surface \textit{F} center by 0.13\% of \textit{a}_0\. The three neighbor F atoms located at the lower sublayer of the first surface layer are attracted to the surface \textit{F} center by
Figure 5.10: A top view of the surface $F$-center nearest-neighbor geometry with the indication of relaxation shifts. The directions of atomic displacements are shown with arrows.
5. F CENTERS IN CAF$_2$ AND BAF$_2$ BULKS AND THE (111) SLABS

Table 5.7: Atomic relaxations of CaF$_2$ and BaF$_2$ slabs containing an F center located at the (111) surface (as a percentage of the lattice constant). Positive signs correspond to outward atomic displacements (toward the vacuum). The directions of atomic displacements in the XY-plane are indicated in Figure 5.10. Atom labels are also defined in Figure 5.10. L indicates the distance between two neighbor atoms. Positive signs correspond to repulsions.

<table>
<thead>
<tr>
<th>Atoms</th>
<th>Number</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>XY ($a_0$)</td>
<td>Z ($a_0$)</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>0.15</td>
<td>-0.75</td>
</tr>
<tr>
<td>M(Ca/Ba)</td>
<td>3</td>
<td>0.37</td>
<td>-0.92</td>
</tr>
<tr>
<td>F2</td>
<td>3</td>
<td>0.20</td>
<td>-0.87</td>
</tr>
<tr>
<td></td>
<td></td>
<td>XX – Ca</td>
<td>XX – F2</td>
</tr>
<tr>
<td>L (Å)</td>
<td></td>
<td>2.4181</td>
<td>2.7689</td>
</tr>
<tr>
<td>$\Delta$L ($a_0$)</td>
<td></td>
<td>+0.66</td>
<td>+0.34</td>
</tr>
</tbody>
</table>

0.37% of $a_0$. The magnitude of this displacement is larger than that in the bulk F-center case (0.23%) by around 60%.

With respect to the electronic structure of the surface F center in alkaline-earth fluorides, the effective charge analysis shows, that the electronic density around it is slightly more delocalized than that corresponding to the bulk F center. Table 5.8 shows the effective charge values of the F center and the nearest atoms. The effective charge localized inside the surface F center in CaF$_2$ is -0.744 e, by 0.008 e less than for the bulk F center (-0.752 e) in CaF$_2$ (see Table 5.2). According to my calculations, the decrease of the surface F-center charge is mainly due to outer p-orbitals and the charge movement from 3s to 4s-orbitals leads the surface F center to be more diffuse. The charges of the nearest Ca atoms of the surface F center (+1.775 e) are reduced by 0.018 e in comparison with the charges of the respective Ca atoms (+1.793 e) near the bulk F center. Bond populations between the surface F center and the nearest Ca atoms are calculated. The major effect observed here is a strengthening of the surface F center and Ca chemical bond. The surface F center – Ca bond population is 36
5.4 Surface F centers in CaF$_2$ and BaF$_2$

Table 5.8: The effective charges ($Q(e)$) of the surface $F$ center and surrounding atoms for the supercell containing 4 layers (108 atoms). $\Delta Q(e)$ is the charge difference between the defective slab and the perfect CaF$_2$/BaF$_2$ bulk. (For the CaF$_2$ bulk, Ca: +1.803 e, F: -0.902 e. For the BaF$_2$ bulk, Ba: +1.845 e, F: -0.923 e.)

<table>
<thead>
<tr>
<th>Atoms</th>
<th>Number</th>
<th>$Q(e)$</th>
<th>$\Delta Q(e)$</th>
<th>$Q(e)$</th>
<th>$\Delta Q(e)$</th>
</tr>
</thead>
<tbody>
<tr>
<td>XX</td>
<td>1</td>
<td>-0.744</td>
<td>+0.158</td>
<td>-0.790</td>
<td>+0.133</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>-0.893</td>
<td>+0.009</td>
<td>-0.920</td>
<td>+0.003</td>
</tr>
<tr>
<td>M(Ca/Ba)</td>
<td>3</td>
<td>+1.775</td>
<td>-0.028</td>
<td>+1.813</td>
<td>-0.032</td>
</tr>
<tr>
<td>F2</td>
<td>3</td>
<td>-0.923</td>
<td>-0.021</td>
<td>-0.930</td>
<td>-0.007</td>
</tr>
</tbody>
</table>

me, which is larger than the relevant value (10 me) in the bulk by 26 me. The effective charge values of the surface $F$ center and surrounding atoms for BaF$_2$ also can be found in Table 5.8. A similar effect to CaF$_2$, a strengthening of the $F$ center – Ba bond population was also found. In the BaF$_2$ case, the corresponding bond population equals to 28 me and is larger than the relevant value (18 me) in the BaF$_2$ bulk by 10 me.

The $\alpha$ energy band corresponding to the surface $F$ center at $\Gamma$ point is located 7.00 eV (by 0.25 eV higher than in the bulk $F$-center case) for CaF$_2$ and 6.83 eV (by 0.18 eV lower than in the bulk $F$-center case) for BaF$_2$ above the VB top and is separated from the CB bottom by 3.81 eV and 3.98 eV for CaF$_2$ and BaF$_2$, respectively (see Figure 5.11 and 5.12). Because of the surface effect, these gaps are smaller than the corresponding values in the bulk $F$-center cases (4.24 eV for CaF$_2$ and 4.27 eV for BaF$_2$). On the other hand, the $\beta$ band lies 10.16 eV for CaF$_2$ and 9.83 eV for BaF$_2$ above the VB top. Negligible dispersion effect of the defect band for 108-atom supercell means that the defect-defect interaction is practically eliminated, thus approaching the desired isolated single $F$ center limit.

Here, we should note the question of the defect-band shift with respective to the VB top. As discussion above, the charge movement from 3s to 4s-orbitals
5. *F* CENTERS IN CaF$_2$ AND BaF$_2$ BULKS AND THE (111) SLABS

Figure 5.11: Calculated band structure for the 108-atom supercell modelling the surface *F* center in CaF$_2$.

Figure 5.12: Calculated band structure for the 108-atom supercell modelling the surface *F* center in BaF$_2$. 
indicating more diffused surface $F$ center, which should lead the defect band move away (toward the gap) from the VB top. However, for the BaF$_2$ case, the distance between the defect band and the VB top narrows. We can explain this narrowing by the fact that the DOS of $p$-orbitals of the surface fluorine atoms move toward the gap more remarkably due to the surface effect, as mentioned in the discussion dealing with perfect slabs in Chapter 4.

Conclusions

The characterization of native point defects in alkaline-earth fluorides has important technological implications. In this Chapter, I applied the first-principles approach to the calculations of $F$ centers in CaF$_2$ and BaF$_2$. I found, that the vacancy formation energies in CaF$_2$ and BaF$_2$ are 7.87 eV and 7.48 eV, respectively. The charge density map of the $F$ center and effective charge calculation show, that the charge is well localized inside the $V_F$. My theoretical hyperfine coupling constants are in qualitative agreement with the experimental results. The relaxation of atoms surrounding the $F$ center, according to my calculations, is small. The creation of a neutral $V_F$ in CaF$_2$ and BaF$_2$ results in a new $F$-center defect band located at the $\Gamma$ point 6.75 eV and 7.01 eV, respectively, above the VB top. I suggest that the optical absorption energy, experimentally observed in the CaF$_2$ crystal at around 3.3 eV and in the BaF$_2$ crystal at around 2.3 eV, can be due to an electron transfer from the $F$-center ground state to the CB.

The $\beta$ band absorption in alkaline-earth fluorides is predominantly due to the presence of $M$ centers. According to my calculations, the direct optical gap ($\Gamma \rightarrow \Gamma$) for $M$ centers in CaF$_2$ is 2.22 eV, which is in good agreement with the experimental value of 2.38 eV, and much smaller than the corresponding value in the $F$-center case. The relevant optical gap in the BaF$_2$ $M$-center case is 1.38 eV and is also much smaller than in the $F$-center case.

The formation energies for the (111) surface $F$ center in CaF$_2$ (7.10 eV) and BaF$_2$ (7.48 eV) are by 0.77 eV and 0.34 eV, respectively, smaller than in the bulks. The lower formation energy for a surface $F$ center implicates the preference for $F$ centers located near the surface.
5. *F* CENTERS IN CAF$_2$ AND BAF$_2$ BULKS AND THE (111) SLABS
Chapter 6

Oxygen-Vacancy dipoles in CaF$_2$

Introduction

In this Chapter, performing first principles calculations, I intend, firstly, to clarify the electronic structure, atomic geometry and band structure of Oxygen-Vacancy (OV) dipoles and, secondly, to study the aggregation of the OV dipoles in CaF$_2$ bulk. Finally, as an extension of my study dealing with OV dipoles in the bulk, I performed ab initio calculations of surface OV centers in CaF$_2$.

6.1 Method of calculations

I performed calculations for OV centers in CaF$_2$ using the hybrid B3PW method, which gives the best agreement with experiment for the lattice constant, bulk modulus and optical band gap (see Chapter 4).

In this Chapter, I used the same basis sets for the Ca and F atoms as in my previous study dealing with the CaF$_2$ electronic structure and F centers therein. For the O atom I used the basis set given in the Basis Sets Library [Saunders et al. (2003)]. The reciprocal space integration was performed by sampling the Brillouin zone of the unit cell with the $6 \times 6 \times 6$ Pack-Monkhorst net [Monkhorst & Pack (1976)].

In order to calculate the OV center, I removed one fluorine atom from a 96-atom supercell and replaced a second fluorine atom with an oxygen atom.
After the fluorine atom is removed or replaced with an oxygen atom, the atomic configuration of the surrounding atoms is re-optimized via a search of the total energy minimum as a function of the atomic displacements from the regular lattice sites. In order to have an accurate description of the anion vacancy, a basis set has been added at the fluorine vacancy, corresponding to the ghost atom. For the ghost atom, like the F-center case, I used the same basis set as that used for F atoms.

As an approximation only, the optical absorption energies I calculated as a difference between occupied and unoccupied one-electron energies. In my calculations, I used periodic boundary conditions. Since I used a very large supercell containing 96 atoms, the interaction between periodically translated defects was negligible.

6.2 \textit{OV} dipoles in the CaF$_2$ bulk

6.2.1 Single \textit{OV} dipole in the CaF$_2$ bulk

One of the big unsolved problems in the context of the application of CaF$_2$ as an optical material is oxygen contamination in the bulk and at the surface. Oxygen is readily incorporated into the bulk during crystal growth and it is very difficult to avoid this contamination or to remove contaminants after growth [Mysovsky et al. (2004)]. Investigations by Adler & Kveta (1957) and by Bontinck (1958b) show that CaF$_2$ reacts readily with water vapor at high temperatures and suggest that the resulting hydrolysis gives rise to a variety of defects which includes O$^{2-}$ ions in fluorine sites and charge-compensating fluorine vacancies (see also Messier (1968)).

A first step in the understanding of the \textit{OV} centers in CaF$_2$, I performed the geometry relaxation of the atoms surrounding the \textit{OV} dipole oriented along the (100) axis in CaF$_2$ (see Figure 6.1). Firstly, the oxygen impurity atom is strongly displaced by 3.02\% of the lattice constant ($a_0$) towards the vacancy. The four nearest fluorine atoms located in the plane containing oxygen are displaced from the oxygen by 1.69\% of $a_0$. The nearest neighbor fluorine atom located above the oxygen is even stronger displaced by 1.92\% of $a_0$ from the oxygen. The four
Figure 6.1: OV center in CaF$_2$ oriented along the (100) axis. The arrows show the directions of the atomic displacements surrounding the OV center, the displacement values are given in circles in % of the lattice constant $a_0 = 5.50 \, \text{Å}$. 
OXYGEN-VACANCY DIPOLES IN CaF$_2$

The nearest Ca atoms are strongly attracted by the oxygen impurity atom. So the two Ca atoms located at the plane above the oxygen atom move towards the oxygen impurity by 2.50\% of $a_0$. The two Ca atoms located at the plane below the oxygen atom are even more strongly shifted by 2.84\% of $a_0$ towards the oxygen impurity. According to my calculation, I found that the relaxation of the four Ca atoms surrounding the fluorine vacancy is much stronger than for the $F$-center case in CaF$_2$.

I also calculated the $OV$ dipole oriented along the (110) direction. I found, that the total energy for the (110) case is by 0.32 eV larger than for the (100) case, i.e., the $OV$ orientation along the (100) direction is energetically more favorable, with respect to the (110) case. Also according to the calculation of Mysovsky et al. (2004), the $OV$ dipole (100) orientation is by 0.45 eV more stable as the (110) $OV$ direction. Therefore, I focus my current research on the investigation of the (100) case.

The charge density map for the $OV$ center in the CaF$_2$ bulk is shown in Figure 6.2. The analysis of the effective charges of the $OV$ center and surrounding atoms shows that, unlike the well localized $F$-center in CaF$_2$, only -0.082 e is localized inside the fluorine vacancy (see also Figure 6.2). Further investigation to the vacancy charge shows that almost all the charges occupy the outer-shell orbitals of the vacancy basis set. As mentioned before, the stronger relaxation of the four Ca atoms surrounding the fluorine vacancy also can be explained by the delocalized nature of the electron centered at the anion vacancy. The effective charge values of the $OV$ center and surrounding atoms are shown in Figure 6.3.

The effective charge of the impurity oxygen atom, which replaces a fluorine at the regular crystal site is -1.598 e and far from the ideal ionic value of -2 e. The effective charges (+1.809 e) of the two Ca atoms located above the oxygen impurity atom are by 0.006 e larger than in the perfect CaF$_2$ bulk (+1.803 e). For the Ca atoms located between the oxygen impurity and the fluorine vacancy, and below the fluorine vacancy, their effective charges are +1.775 e and +1.769 e, respectively. Both values are smaller than in the perfect CaF$_2$ bulk. The effective charge (-0.908 e) of the apical fluorine atom located above the oxygen impurity is by 0.006 e less than in the CaF$_2$ bulk (-0.902 e). The effective charges of the four fluorine atoms located at the same plane as oxygen ion are -0.901 e. The effective
Figure 6.2: Charge density map of a CaF$_2$ crystal with the periodic OV center from the (1 1 0) side view. Isodensity curves are drawn from 0 $e$/bohr$^3$ to 0.1 $e$/bohr$^3$ with an increment of 0.001 $e$/bohr$^3$. 

6.2 OV dipoles in the CaF$_2$ bulk
Figure 6.3: A view of the OV center geometry with the indication of effective charges.
6.2 \( OV \) dipoles in the \( \text{CaF}_2 \) bulk

charges of the four fluorine atoms located at the same plane as fluorine vacancy are \(-0.905\ e\). Finally the effective charge of the fluorine atom located below the fluorine vacancy is \(-0.897\ e\) and increases by \(0.005\ e\) in comparison with the \( \text{CaF}_2 \) bulk. The total charge of the \( OV \) center, estimated as a sum of the O and V charges, equals to \(-1.680\ e\), smaller than double of the F charge in the perfect \( \text{CaF}_2 \) bulk. Thereby, part of the charges of the \( OV \) dipole diffuses to the surrounding atoms. Bond population analysis shows that the bond population between the oxygen impurity atom and the fluorine vacancy \((\text{+62}\ \text{me})\) is strongly increased with respect to the bond population between two neighbor fluorine atoms \((-22\ \text{me})\) in the perfect \( \text{CaF}_2 \) crystal.

![Calculated band structure for the 96-atom supercell modeling the \( OV \) center in the \( \text{CaF}_2 \) bulk.](image)

As a next step, I calculated the band structure of the \( OV \) center oriented along
the (100) axis in CaF$_2$. The optical band gap between conduction bands (CB) and valence bands (VB) for the CaF$_2$ 96-atom supercell containing an oxygen impurity atom and a fluorine-site vacancy at the $\Gamma$ point is 10.79 eV (see Table 6.1), which is slightly reduced with respect to the optical band gap of the perfect CaF$_2$ crystal (10.96 eV). According to my detailed effective charge and density of states (DOS) calculations, this reduction is mainly due to the $p_z$-orbitals of the F atom located below the vacancy. The empty defect level induced by the fluorine vacancy, and consisting mainly of $s$-orbitals of the vacancy is located 1.31 eV below the bottom of CB at the $\Gamma$ point (see Figure 6.4). The three occupied defect levels, induced by the oxygen impurity atom are located 3.08 eV, 2.96 eV and 2.82 eV, respectively, above the VB top at the $\Gamma$ point. The DOS of the OV center in CaF$_2$ is depicted in Figure 6.5. According to the
Table 6.1: Direct optical gaps (Γ → Γ) of the OV center in the CaF$_2$ bulk. V indicates the vacancy band; O$_1$, O$_2$ and O$_3$ are three oxygen bands.

<table>
<thead>
<tr>
<th>Optical gaps</th>
<th>Γ → Γ (eV)</th>
</tr>
</thead>
<tbody>
<tr>
<td>O$_1$ → V</td>
<td>6.40</td>
</tr>
<tr>
<td>O$_2$ → V</td>
<td>6.52</td>
</tr>
<tr>
<td>O$_3$ → V</td>
<td>6.66</td>
</tr>
<tr>
<td>VB → V</td>
<td>9.48</td>
</tr>
<tr>
<td>O$_1$ → CB</td>
<td>7.71</td>
</tr>
<tr>
<td>VB → CB</td>
<td>10.79</td>
</tr>
</tbody>
</table>

calculated DOS, oxygen p-orbitals are split into three bands near the Fermi-Energy due to the broken symmetry of the OV center. These three oxygen defect bands near the Fermi energy are separated by 0.26 eV, which is in the same energy range as the experimental separation interval of 0.48 eV [Mysovsky et al. (2004)]. My calculated optical absorption bands above the fluorine vacancy level at the Γ point are 6.40 eV, 6.52 eV and 6.66 eV, respectively, and very close to the complex experimental 6.7 eV absorption bands consisting of at least two elementary peaks with separation of 0.48 eV [Archangelskaya et al. (1980); Radzhabov & Figura (1986)]. The calculation of optical absorption bands simply as a difference between occupied and unoccupied one-electron energies, which is a very crude approximation, can be justified here, since my calculated optical band gap is in good agreement with the experiment. The separations of oxygen and vacancy levels induced by the defects in the gap, calculated by Mysovsky et al. (2004) (5.22 eV, 5.38 eV and 5.61 eV) are in qualitative agreement, but smaller than mine.

6.2.2 Aggregation of OV dipoles

Next, I calculated the aggregation of OV dipoles. I considered in my calculations a system which contains two oxygen impurity atoms and two vacancies (see Figure 6.6). Configuration 1, 2 and 3 are formed from the configuration
0 when one vacancy switches its position. I found, that the energetically most favorable \((OV)_2\)-dimer orientation is configuration 0 (see Figure 6.6). The association energy of two dipoles in configuration 0 is 0.55 eV. This energy is the energy difference between the same two remote dipoles and the \((OV)_2\)-dimer of configuration 0. So, we can see, that there is some attraction effect between two \(OV\) dipoles in a CaF\(_2\) crystal. The interaction energy between the periodically repeated \(OV\) dipoles in our calculations is negligible. The association energy of two \(OV\) dipoles calculated by Mysovsky et al. (2004) (0.48 eV) is close to my result. The relative energies of configurations 1-3 are given in Table 6.2.
6.3 $OV$ centers at the CaF$_2$ (111) surface

Table 6.2: Energies of three different $(OV)_2$-dimer mutual orientations with respect to configuration 0 (see Figure 6.6).

<table>
<thead>
<tr>
<th>Configuration</th>
<th>My results (eV)</th>
<th>Theory $^a$ (eV)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>+0.54</td>
<td>+0.375</td>
</tr>
<tr>
<td>2</td>
<td>+0.37</td>
<td>+0.361</td>
</tr>
<tr>
<td>3</td>
<td>+0.34</td>
<td>+0.307</td>
</tr>
</tbody>
</table>

$^a$Reference Mysovsky et al. (2004)

6.3 $OV$ centers at the CaF$_2$ (111) surface

Figure 6.7: Side view of the $OV$ center placed at the CaF$_2$ (111) surface. The directions of atomic displacements in the (111) axis are shown with arrows.

As an extension of my pervious study of $OV$ dipoles in the CaF$_2$ bulk, I investigated the $OV$ dipole placed at the CaF$_2$ (111) surface (see Figure 6.7), which is the most stable one among the (111), (110) and (100) terminated surfaces. As we can see in Figure 6.8, for the (111) slab, there are three sublayers in each layer from the side view. For the surface $OV$ center, the oxygen impurity atom and
the fluorine vacancy occupy upper and lower fluorine sublayers, respectively. I found, that energetically the most favorable situation for the surface OV center is the situation V-O$_1$ (see Figure 6.8). The situation O-V$_1$ is energetically 0.42 eV less favorable, and finally the OV dipole in the CaF$_2$ bulk is less energetically favorable, as the surface configuration V-O$_1$ by 0.59 eV. So, it implicates a trend of OV dipoles to locate near the surface.

I also calculated the relaxation of the atoms near the (111) surface. According to my calculations, the distance between the fluorine-site vacancy and the oxygen impurity for the V-O$_1$ case is reduced by 0.046 Å (0.84% of $a_0$) with respect to the bulk OV-center case. For the O-V$_1$ case, the O-V distance decreases by 0.159 Å (2.89% of $a_0$). The effective charges of the OV center at the CaF$_2$ (111) surface for the V-O$_1$ case are -0.061 e for the vacancy and -1.608 e for the oxygen impurity. To compare with the OV center in the CaF$_2$ bulk (V: -0.082 e; O: -1.598 e), the vacancy charge increases by 0.021 e, and the O charge decreases by 0.010 e. Unlike the V-O$_1$ case, for the O-V$_1$ case in comparison with the OV center in the CaF$_2$ bulk, the oxygen impurity charge (-1.545 e) increases by 0.053 e, and the vacancy charge (-0.088 e) is reduced by 0.006 e. The bond population between

![Figure 6.8: Sketch of the OV center placed at the CaF$_2$ (111) surface.](image-url)
6.3 $OV$ centers at the CaF$_2$ (111) surface

the fluorine-site vacancy and oxygen impurity in the CaF$_2$ (111) surface is $+52\ me$ for the V-O$_1$, which is comparable, but slightly weaker, as the corresponding bond population value in the CaF$_2$ bulk ($+62\ me$). However, for the situation O-V$_1$, this bond population ($+70\ me$) increases slightly by $8\ me$. According to my calculations of $OV$ centers in deeper CaF$_2$ (111) layers, the differences such as O-V distance, effective charges and bond populations between V-O and O-V configurations become smaller and smaller, and finally disappear.

Table 6.3: Direct optical gaps (eV) ($\Gamma \rightarrow \Gamma$) of the $OV$ center at the CaF$_2$ (111) surface. V indicates the vacancy band; O$_1$, O$_2$ and O$_3$ are three oxygen bands.

<table>
<thead>
<tr>
<th>Optical gaps</th>
<th>V-O$_1$</th>
<th>O-V$_1$</th>
<th>Bulk</th>
</tr>
</thead>
<tbody>
<tr>
<td>O$_1 \rightarrow$ V</td>
<td>7.22</td>
<td>6.06</td>
<td>6.40</td>
</tr>
<tr>
<td>O$_2 \rightarrow$ V</td>
<td>7.30</td>
<td>6.49</td>
<td>6.52</td>
</tr>
<tr>
<td>O$_3 \rightarrow$ V</td>
<td>7.38</td>
<td>6.54</td>
<td>6.66</td>
</tr>
<tr>
<td>VB $\rightarrow$ V</td>
<td>9.84</td>
<td>9.82</td>
<td>9.48</td>
</tr>
<tr>
<td>O$_1 \rightarrow$ CB</td>
<td>8.04</td>
<td>6.60</td>
<td>7.71</td>
</tr>
<tr>
<td>VB $\rightarrow$ CB</td>
<td>10.66</td>
<td>10.36</td>
<td>10.79</td>
</tr>
</tbody>
</table>

Next, I calculated the band structure for the $OV$ center located at the CaF$_2$ (111) surface (see Figure 6.9). The optical band gaps for the surface $OV$ center in CaF$_2$ are collected in Table 6.3. The band gap between CB and VB ($\Gamma \rightarrow \Gamma$) for the V-O$_1$ system (10.66 eV) is reduced with respect to the CaF$_2$ bulk $OV$-center case (10.79 eV). The narrowing of the surface band gap is in line with my previous studies of perfect slabs and surface $F$ centers. The fluorine-site vacancy induces an empty vacancy level, which mainly consists of the vacancy s-orbitals, 9.84 eV above the VB top in the V-O$_1$ case and increases by 0.36 eV with respect to the bulk $OV$-center case (9.48 eV). The oxygen p-orbitals in the V-O$_1$ case are split into three bands near the Fermi energy. The splits are around 0.08 eV, smaller than in the bulk, and the separation between oxygen bands O$_1$ and O$_3$ is 0.16 eV. The three oxygen bands in the V-O$_1$ configuration at $\Gamma$ point are located 2.62 eV, 2.54 eV and 2.46 eV above the top of VB and move toward the VB top with respect to the bulk case. In the configuration of O-V$_1$ at $\Gamma$ point, the band
6. OXYGEN-VACANCY DIPOLES IN CAF$_2$

![Graph of band structure](image)

**Figure 6.9:** Band structure of the $OV$ center at the CaF$_2$(111) surface for the V-O$_1$ case.

The gap between CB and VB (10.36 eV) is even more strongly reduced with respect to the CaF$_2$ bulk $OV$-center case and the three oxygen bands, unlike the V-O$_1$ case, slightly shift upward and are located 3.28 eV, 3.33 eV and 3.76 eV above the VB top.

**Conclusions**

According to my calculated results for the $OV$ center in the CaF$_2$ bulk, the optical absorption bands at the $\Gamma$ point are 6.40 eV, 6.52 eV and 6.66 eV, in good agreement with the experimental value (6.7 eV) for the complex absorption bands with separation interval of 0.48 eV. Several configurations of the $(OV)_2$-
dimer were calculated. The association energy for the most favorable one is 0.55 eV.
6. OXYGEN-VACANCY DIPOLES INCAF$_2$
Chapter 7

Hydrogen centers in CaF\textsubscript{2} and BaF\textsubscript{2}

Introduction

In this Chapter, I performed \textit{ab initio} calculations to determine the electronic structure and atomic geometry of the hydrogen impurities in CaF\textsubscript{2} and BaF\textsubscript{2}. Two kinds of hydrogen impurities, namely $H_\text{s}^-$ centers and $H_\text{i}^0$ centers, defined detailedly in this Chapter, were calculated by means of the hybrid B3PW method. Firstly, I introduced the hydrogen centers in CaF\textsubscript{2} and BaF\textsubscript{2} bulks. In a second part of this Chapter, I presented the $H_\text{s}^-$ centers in the CaF\textsubscript{2} and BaF\textsubscript{2} (111) surfaces.

7.1 Method of calculations

The calculations for the hydrogen centers in CaF\textsubscript{2} and BaF\textsubscript{2} crystals were performed using the hybrid B3PW method. The hybrid B3PW functional has been proved to yield remarkably accurate electronic and geometrical structures for CaF\textsubscript{2} and BaF\textsubscript{2} crystals, as well as for ABO\textsubscript{3} perovskites [\textit{Eglitis et al.} (2004); \textit{Heifets et al.} (2001); \textit{Piskunov et al.} (2004)].

In this Chapter, I used the same basis sets for the Ca, Ba and F atoms as in my previous study, dealing with the CaF\textsubscript{2} and BaF\textsubscript{2} electronic structure and $F$
centers therein. For the H atom, I used the basis set developed by Dovesi et al. (1984). The reciprocal space integration was performed by sampling the Brillouin zone of the unit cell with the $8 \times 8 \times 8$ Pack-Monkhorst net [Monkhorst & Pack (1976)].

In this Chapter, like before, I used a periodic supercell model of the hydrogen center combined with a first-principles method for the calculations of its atomic and electronic structure. In order to calculate the hydrogen centers, for the $H^-_s$ centers, I started with a 81-atom supercell with one of the fluorine atoms substituted by a H$^-_i$ ion, and for the $H^0_i$ case, I inserted one hydrogen atom into an atomic interstitial site of the supercell. The 81-atom supercell is a primitive f.c.c unit cell which is extended three times along all three translation vectors. After the hydrogen atom substitutes or is inserted, the atomic configuration of the surrounding atoms is re-optimized via a search of the total energy minimum as a function of the atomic displacements from the regular lattice sites.

In previous discussion (Chapter 5) dealing with $F$ centers in CaF$_2$ and BaF$_2$, I carefully investigated the effect of the supercell size on various defect properties. I found, that the $F$ center formation energy converges for a supercell containing 48 atoms. The width of the defect band is very small. Because of the more localized electron of the hydrogen center, the interaction between the periodically repeated defects will be less than in the $F$-center case. Therefore, I believe that a 81-atom supercell is sufficient in the present case.

At this point, I should address the question of the stability of the hydrogen impurities. As mentioned in Chapter 2, experimental works have clearly shown that hydrogen impurities can be trapped in several local minima of the energy hypersurface and thus show metastability. Typical activation barriers for conversion from the fluorine site to the interstitial site are of the order of 0.37 eV for CaF$_2$ and 0.33 eV for BaF$_2$ [Hayes (1974)]. Therefore, quantum effect should be negligible and, within the Born-Oppenheimer approximation, it should be a sound procedure to treat the hydrogen as a classical particle. This is in accordance with other recent theoretical work, i.e. on interstitial hydrogen in PbTiO$_3$ [Park & Chadi (2000)].
7.2 Hydrogen centers in CaF$_2$ and BaF$_2$ bulks

7.2.1 Calculated results for the $H_s^-$ centers in CaF$_2$ and BaF$_2$ bulks

Figure 7.1: A view of the $H_s^-$-center nearest-neighbor geometry with the indication of relaxation shifts. According to the symmetries of the atoms, different labels are defined in circles.

$H_s^-$ center, a fluorine ion substituted with a H$^-$ ion at an anion site in CaF$_2$ and BaF$_2$, was calculated by means of the hybrid B3PW method. Figure 7.1 shows the geometry relaxations of the atoms surrounding the $H_s^-$ center in CaF$_2$ and BaF$_2$, see also Table 7.1. For the CaF$_2$ $H_s^-$-center case, the conclusion is that, unlike the repulsive displacements of the four nearest Ca atoms surrounding
Table 7.1: Atomic relaxations of 10 atoms surrounding a $H_s^-$ center in CaF$_2$ and BaF$_2$ 81-atom supercells, (in percent of the lattice constants, $a_0$=5.50 Å for CaF$_2$, $a_0$=6.26 Å for BaF$_2$). Positive signs indicate the outward movements of the $H_s^-$ center.

<table>
<thead>
<tr>
<th>Atom</th>
<th>Number of atoms</th>
<th>CaF$_2$ D (% $a_0$)</th>
<th>BaF$_2$ D (% $a_0$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>4</td>
<td>-0.04</td>
<td>+0.09</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>-0.13</td>
<td>-0.08</td>
</tr>
</tbody>
</table>

the $F$ center in CaF$_2$ crystal, the Ca atoms are slightly displaced toward the $H_s^-$ center. The six 2nd-nearest $F$ atoms move also toward the hydrogen. For the BaF$_2$ $H_s^-$-center system, the four nearest Ba atoms are displaced outward of the hydrogen and therefore have the opposite directions with respect to the CaF$_2$ case. According to my calculations, I found that all these relaxations are very small. This phenomenon can be explained by looking at the effective charges.

Table 7.2: The effective charges ($Q(e)$) of the $H_s^-$ center and surrounding atoms in the CaF$_2$ and BaF$_2$ bulk. $\Delta Q(e)$ is the charge difference between the defective and perfect CaF$_2$/BaF$_2$ crystal. (For the CaF$_2$ bulk, Ca: +1.803 e, F: -0.902 e. For the BaF$_2$ bulk, Ba: +1.845 e, F: -0.923 e.)

<table>
<thead>
<tr>
<th>Atoms</th>
<th>Number</th>
<th>CaF$_2$ Q (e)</th>
<th>$\Delta Q$ (e)</th>
<th>BaF$_2$ Q (e)</th>
<th>$\Delta Q$ (e)</th>
</tr>
</thead>
<tbody>
<tr>
<td>H</td>
<td>1</td>
<td>-0.895</td>
<td>+0.007</td>
<td>-0.895</td>
<td>+0.028</td>
</tr>
<tr>
<td>M</td>
<td>4</td>
<td>+1.801</td>
<td>-0.002</td>
<td>+1.841</td>
<td>-0.004</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>-0.902</td>
<td>0</td>
<td>-0.924</td>
<td>-0.001</td>
</tr>
<tr>
<td>F2</td>
<td>12</td>
<td>-0.901</td>
<td>+0.001</td>
<td>-0.923</td>
<td>0</td>
</tr>
</tbody>
</table>

The charge density map for the $H_s^-$ center in CaF$_2$ bulk is shown in Figure 7.2. The $H_s^-$ center for the BaF$_2$ crystal has a similar charge density map. Table 7.2 presents the effective charges of the $H_s^-$ center and the surrounding atoms.
The analysis shows that the effective charge of the hydrogen ion in CaF$_2$ and BaF$_2$ is close to the F ion charge in CaF$_2$ and BaF$_2$ perfect crystals. These calculated results explain the negligible relaxations of the atoms surrounding the $H_s^-$ center. According to my calculations, although the F ion charges in CaF$_2$ are quite different from those in BaF$_2$, the effective charges (-0.895 $e$) of the $H_s^-$ center are almost the same in both materials. However, further analysis of effective charges in each basis set shell shows that, the $H_s^-$ center in CaF$_2$ is more localized than in BaF$_2$, though the Mulliken effective charges are almost the same, since more electrons occupy the outer $s$-orbital for BaF$_2$. For the charge transfer
from ions to ions, in the CaF\(_2\) case, the charge difference (0.007 e) of the \(H^-_s\) center is almost localized on the four nearest Ca atoms; for the BaF\(_2\) crystal, around -0.016 e and -0.006 e from the \(H^-_s\) are localized on the four nearest Ba atoms and the six 2nd-nearest neighbor fluorine atoms, respectively.

![Calculated band structure and DOS (density of states) for the 81-atom supercell modeling the \(H^-_s\) center in CaF\(_2\).](image)

**Figure 7.3:** Calculated band structure and DOS (density of states) for the 81-atom supercell modeling the \(H^-_s\) center in CaF\(_2\).

<table>
<thead>
<tr>
<th></th>
<th>CaF(_2)</th>
<th>BaF(_2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(H^-_s) → CB</td>
<td>8.17</td>
<td>8.27</td>
</tr>
<tr>
<td>VB — (H^-_s)</td>
<td>2.75</td>
<td>3.07</td>
</tr>
</tbody>
</table>

**Table 7.3:** Direct optical gaps (eV) (\(\Gamma \rightarrow \Gamma\)) of the \(H^-_s\) center in CaF\(_2\) and BaF\(_2\) bulks.

Next, I calculated the band structure of the \(H^-_s\) center in CaF\(_2\) and BaF\(_2\) bulks. The defect-defect coupling due to the periodically repeated defects in my supercell model is negligible for the 81-atom supercell, since the widths of the defect bands are only 0.004 eV for the CaF\(_2\) case and 0.0005 eV for the BaF\(_2\) crystal. The \(H^-_s\) defect band at \(\Gamma\) point is located 2.75 eV for CaF\(_2\) and
3.07 eV for BaF$_2$ above the top of the valence band (VB) (see Figure 7.3 and 7.4). As mentioned in previous Chapters, I suggest a possible mechanism for the optical absorption. Though it is an approximation only, in the present case some justification can be drawn. The experimentally observable optical absorption could be due to an electron transfer from the $H_{s}^-$-center ground state to the conduction band (CB) bottom. The corresponding calculated values for CaF$_2$ and BaF$_2$ are 8.17 eV and 8.27 eV, respectively. Experimentally, the transition energy of the $H_{s}^-$ center in CaF$_2$ is 7.65 eV, and my calculated result is in agreement with the experiment [Beaumont et al. (1970)]. For the BaF$_2$ case, this experimental value is 6.00 eV [Beaumont et al. (1970)], and my calculation is reasonable but overestimates it by 2.27 eV. Additionally, the $H_{s}^-$ band for BaF$_2$ lies higher than for CaF$_2$ above the VB top. It is due to the less localized electrons of the $H_{s}^-$ center for BaF$_2$, as discussed before.

In comparison with previous studies dealing with $F$ centers in CaF$_2$ and BaF$_2$, I found that the $H_{s}^-$ bands are located not so high above the top of VB as for the $F$-center cases. The corresponding value of the $F$-center in the CaF$_2$ bulk
7. HYDROGEN CENTERS IN CAF\textsubscript{2} AND BAF\textsubscript{2}

is 6.75 eV, much larger as for the $H_s^-$ case (2.75 eV) (see Table 7.3). For BaF\textsubscript{2}, the $F$ center band lies 7.01 eV above the VB top, but the $H_s^-$ band is located only 3.01 eV above the VB top. I suggest that this phenomenon is due to the localization difference of the effective charge between the $H_s^-$ center and the $F$ center. The effective charge of the $F$ center in CaF\textsubscript{2} is -0.752 e and the $H_s^-$'s charge is -0.895 e, it means, that the $H_s^-$ center is more localized. A similar effect was also observed for the oxygen-vacancy dipoles in CaF\textsubscript{2} in Chapter 6.

The total and partial density of states (DOS) of the $H_s^-$ center in CaF\textsubscript{2} bulk are displayed in the right part of Figure 7.3. The results of my calculations show that the $H_s^-$ s-orbitals do the most contributions to the $H_s^-$ band. The F p-orbitals form the upper VB and the $H_s^-$ defect level is primarily composed of hydrogen s-orbitals, whereas the CB bottom consists mainly of metal ion d-orbitals.

7.2.2 Calculated results for the $H_i^0$ centers in CaF\textsubscript{2} and BaF\textsubscript{2} bulks

Table 7.4: The effective charges ($Q(e)$) of the $H_i^0$ center and surrounding atoms in the CaF\textsubscript{2} and BaF\textsubscript{2} bulk. $\Delta Q(e)$ is the charge difference between the defective and perfect CaF\textsubscript{2}/BaF\textsubscript{2} crystal. Spin ($e$) is expressed as ($n_\alpha - n_\beta$).

<table>
<thead>
<tr>
<th>Atoms</th>
<th>Number</th>
<th>CaF\textsubscript{2}</th>
<th>BaF\textsubscript{2}</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$Q (e)$</td>
<td>$\Delta Q (e)$</td>
</tr>
<tr>
<td>H</td>
<td>1</td>
<td>-0.097</td>
<td>—</td>
</tr>
<tr>
<td>F</td>
<td>8</td>
<td>-0.888</td>
<td>+0.014</td>
</tr>
<tr>
<td>M</td>
<td>6</td>
<td>+1.801</td>
<td>-0.002</td>
</tr>
</tbody>
</table>

I also investigated another kind of hydrogen centers in alkaline-earth fluorides, namely $H_i^0$ center, which is a hydrogen atom occupying an interstitial site (see Figure 7.5). The redistribution of the electrons after $H_i^0$-center formation in CaF\textsubscript{2} can be seen in Figure 7.6 for a supercell containing 82 atoms. The analysis of the effective charges shows that the $H_i^0$-center charge has a very small and negative
value (see Table 7.4). This charge arises mainly from the eight nearest fluorine ions. As we can see from Table 7.4, the charge change of the nearest fluorine ions is $+0.014 \, e$ for CaF$_2$ and $+0.009 \, e$ for BaF$_2$. Bond population analysis shows that the bond populations between the hydrogen impurity atom and the nearest fluorine ions ($-26 \, me$ for CaF$_2$ and $-2 \, me$ for BaF$_2$) are close to the F-F bond populations in the perfect crystal ($-22 \, me$ for CaF$_2$ and $-2 \, me$ for BaF$_2$). The localization of an unpaired electron at the $H^0_1$ center is clearly evident at the center of the spin map (Figure 7.6) and the spin polarization of the nearest neighboring F atoms is appreciable obviously. However, this spin polarization effect to the further atoms is very weak. The spin density of the nearest F ions
Figure 7.6: Electron charge (upper) and spin (lower) density map of a CaF$_2$ crystal with the periodic $H_0^0$ center from the (1 1 0) side view. Isodensity curves are drawn from 0 e/bohr$^3$ to 0.2 e/bohr$^3$ with an increment of 0.002 e/bohr$^3$ (charge) and drawn from -0.05 e/bohr$^3$ to 0.3 e/bohr$^3$ with an increment of 0.001 e/bohr$^3$ (spin). Blue and red lines in the spin density map denote positive and zero values, respectively.
and the second-nearest metal ions are only 0.004 e and 0.001 e, respectively (see Table 7.4).

Table 7.5: Atomic relaxations of the atoms surrounding a $H_i^0$ center in CaF$_2$ and BaF$_2$. Positive signs indicate the outward movements of the $H_i^0$ center.

<table>
<thead>
<tr>
<th>Atom</th>
<th>Number of atoms</th>
<th>CaF$_2$ D (% $a_0$)</th>
<th>BaF$_2$ D (% $a_0$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1</td>
<td>8</td>
<td>+0.36</td>
<td>+0.17</td>
</tr>
<tr>
<td>M</td>
<td>6</td>
<td>+0.08</td>
<td>&lt; +0.01</td>
</tr>
</tbody>
</table>

The relaxation of the atoms surrounding the $H_i^0$ center are shown in Figure 7.5. The conclusion is that the repulsions of the eight nearest F$^-$ ions and the six second-nearest-neighbor metal ions from the $H_i^0$ center for both CaF$_2$ and BaF$_2$ are rather small (see Table 7.5). These small outward displacements of atoms surrounding the $H_i^0$ center can be explained by the fact that the $H_i^0$ charge is close to zero.

Table 7.6: Direct optical gaps (eV) ($\Gamma \rightarrow \Gamma$) of the $H_i^0$ center in CaF$_2$ and BaF$_2$ bulks.

| Optical Gaps | CaF$_2$ | | BaF$_2$ | |
|--------------|---------||---------|---|
| $H_i^0 \rightarrow$ CB | 9.15 | 3.54 | 10.52 | 4.54 |
| VB $\rightarrow$ $H_i^0$ | 1.80 | 7.44 | 0.81 | 6.81 |

To investigate the optical properties of $H_i^0$ centers in CaF$_2$ and BaF$_2$, I calculated the band structure of periodically repeated $H_i^0$ center in my supercell model (see Figure 7.7 and 7.8). The inserted hydrogen atom has only one electron, so there is an unpaired electron in each supercell. As mentioned in previous study dealing with $F$ center in Chapter 5, the bound unpaired electron level lies in the band gap; the corresponding unoccupied level appears in the $\beta$-spin structure, again in the gap, but at positive energies. Following the previous $F$-center
Figure 7.7: Calculated band structure for the 82-atom supercell modeling the $H_i^0$ center in CaF$_2$. $\alpha$ (left) and $\beta$ (right) denote the up- and down-spin states, respectively.

discussion, I can now suggest a possible mechanism for the optical absorption of $H_i^0$-center systems. In the ground state, the defect band is occupied in the $\alpha$-spin system and unoccupied in the $\beta$-spin system (see Figure 7.7 and 7.8). The optical absorption corresponds to an electron transition from the $H_i^0$-center ground state to the CB. Because of the selection rules, the electron transition from the $\alpha$ occupied band to the $\beta$ unoccupied band is forbidden. My calculated optical gap between the $\alpha$ band and the CB is 9.15 eV and 10.52 eV for the CaF$_2$ and BaF$_2$ cases, respectively (see Table 7.6). These values are larger than for $H_s^-$ case. Unfortunately, I did not find any experimental data for the $H_i^0$-center optical absorption in literature.

The calculated total and partial density of states (DOS) of the $H_i^0$ center in CaF$_2$ bulk are displayed in Figure 7.9. The results of my calculations show, like $H_s^-$ case, that the hydrogen s-orbitals do the most contributions to the defect
bands ($\alpha$ band and $\beta$ band).

Similar to the $F$-center case, due to the presence of an unpaired electron and the interaction between the unpaired spin and the spin of neighboring nuclei, a hyperfine structure of the EPR spectra also can be detected in $H_0^i$-center system. My calculated hydrogen and the nearest fluorine hyperfine parameters are compared with experiment in Table 7.7 and are in excellent agreement with experiment.

### 7.3 Surface $H_s^-$ centers in CaF$_2$ and BaF$_2$

As an extension of my study dealing with $H_s^-$ centers in CaF$_2$ and BaF$_2$ bulk, I investigated the $H_s^-$ center placed at the (111) surface, which is the most stable one among the (100), (110) and (111) terminated surfaces for CaF$_2$ and
BaF$_2$. In this Chapter, I performed my surface $H_s^-$ center calculations for a slab containing four layers. Each layer consists of three sublayers, containing nine atoms. Therefore, the supercell used in my calculations contains 108 atoms.

The relaxations of the atoms near the (111) surface are presented in Table 7.8 and Figure 7.8. The hydrogen ions at the surface move outward by 1.02% of $a_0$ for CaF$_2$ and by 0.81% of $a_0$ for BaF$_2$. Otherwise, the six neighbor F atoms at the same upper sublayer move inward. The relaxations of the three neighbor metal ions at the middle sublayer of the surface layer, moving inward for CaF$_2$ and outward for BaF$_2$, are in qualitative agreement with my previous studies about the perfect (111) slabs for CaF$_2$ and BaF$_2$. The $H_s^-$-M (metal ion) distance increases by 0.62% of $a_0$ for CaF$_2$ and by 0.15% of $a_0$ for BaF$_2$ with respect to the corresponding value of bulk $H_s^-$ case. In comparison with the bulk $H_s^-$-center case, for the surface $H_s^-$-center system, we can conclude that the atoms surrounding the $H_s^-$ center show a stronger repulsion to the hydrogen ion located at the surface.

Figure 7.9: Total and projected density of states (DOS) for the $H_0$ center in CaF$_2$ bulk. $\alpha$ and $\beta$ denote the up- and down-spin states, respectively.
Figure 7.10: A top view of the surface $H_s^-$-center nearest-neighbor geometry with the indication of the atomic displacement directions. F1 indicates the fluorine atoms located at the upper sublayer, and F2 means the fluorine atoms located at the lower sublayer.
Table 7.7: Observed and calculated isotropic hyperfine constants $a$ and anisotropic hyperfine constants $b$ (MHz) for the $H^0$ center in CaF$_2$ and BaF$_2$.

<table>
<thead>
<tr>
<th>Hyperfine constants</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>$a$</td>
<td>My results</td>
<td>Expt$^a$</td>
</tr>
<tr>
<td></td>
<td>99.5</td>
<td>104</td>
</tr>
<tr>
<td>$b$</td>
<td>35.2</td>
<td>34.93</td>
</tr>
</tbody>
</table>

$a$Reference Hall & Schumacher (1962)
$b$Reference Bessent et al. (1969)

Table 7.8: Atomic relaxation of the CaF$_2$ or BaF$_2$ slab containing an $H^-$ center located at the (111) surface (as a percentage of the lattice constant). Positive signs correspond to outward atomic displacements (toward the vacuum). The directions of atomic displacements in the XY-plane are indicated in Figure 7.8.

<table>
<thead>
<tr>
<th>Atoms</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>XY (% $a_0$)</td>
<td>Z (% $a_0$)</td>
</tr>
<tr>
<td>$H^-$</td>
<td>1</td>
<td>+1.02</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>0.16</td>
</tr>
<tr>
<td>M(Ca/Ba)</td>
<td>3</td>
<td>0.12</td>
</tr>
<tr>
<td>F2</td>
<td>3</td>
<td>0.32</td>
</tr>
</tbody>
</table>

With respect to the electronic structure of the surface $H^-$ center, the effective charge analysis shows that the electronic density around it is slightly more delocalized than that corresponding to the bulk $H^-$-center case. Table 7.9 presents the effective charge values of the surface $H^-$ center and surrounding atoms. The effective charge of the $H^-$ center is -0.877 $e$, 0.018 $e$ less than for the bulk $H^-$ center in CaF$_2$ (see Table 7.9). Otherwise, the BaF$_2$ surface $H^-$ charge value is -0.894 $e$, only 0.001 $e$ less than in the bulk. The charges of the nearest metal ions of the surface $H^-$ center (+1.794 $e$ for CaF$_2$ and +1.834 $e$ for BaF$_2$) are reduced by 0.007 $e$ and 0.007 $e$ in comparison with the charges of the relevant Ca ions (+1.801 $e$) and Ba ions (+1.841 $e$). Bond populations between the surface $H^-$
## 7.3 Surface $H_s^-$ centers in CaF$_2$ and BaF$_2$

Table 7.9: The effective charges ($Q(e)$) of the surface $H_s^-$ center and surrounding atoms. $\Delta Q(e)$ is the charge difference between the defective slab and perfect CaF$_2$/BaF$_2$ bulk.

<table>
<thead>
<tr>
<th>Atoms</th>
<th>Number</th>
<th>Q (e)</th>
<th>$\Delta Q$ (e)</th>
<th>Q (e)</th>
<th>$\Delta Q$ (e)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$H_s^-$</td>
<td>1</td>
<td>-0.877</td>
<td>+0.025</td>
<td>-0.894</td>
<td>+0.029</td>
</tr>
<tr>
<td>F1</td>
<td>6</td>
<td>-0.891</td>
<td>+0.011</td>
<td>-0.918</td>
<td>+0.005</td>
</tr>
<tr>
<td>M(Ca/Ba)</td>
<td>3</td>
<td>+1.794</td>
<td>-0.009</td>
<td>+1.834</td>
<td>-0.011</td>
</tr>
<tr>
<td>F2</td>
<td>3</td>
<td>-0.907</td>
<td>-0.005</td>
<td>-0.924</td>
<td>-0.001</td>
</tr>
</tbody>
</table>

The major effect observed here is, like surface $F$-center case mentioned in Chapter 5, a strengthening of the surface $H_s^-$ and M chemical bond. The surface $H_s^-$-Ca bond population is +6 me and larger than the corresponding value in the bulk by 18 me. For the BaF$_2$ case, there is a similar, but weaker, strengthening effect of $H_s^-$-Ba bond. The surface $H_s^-$-Ba bond population equals to -30 me, which is larger than the relevant value in bulk by 6 me.

Table 7.10: Direct optical gaps (eV) ($\Gamma \rightarrow \Gamma$) of the (111) surface $H_s^-$ center in CaF$_2$ and BaF$_2$.

<table>
<thead>
<tr>
<th>Atoms</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>$H_s^-$</td>
<td>7.91</td>
<td>7.94</td>
</tr>
<tr>
<td>VB − $H_s^-$</td>
<td>2.87</td>
<td>2.86</td>
</tr>
</tbody>
</table>

The band structures of the surface $H_s^-$ center for CaF$_2$ and BaF$_2$ are shown in Figure 7.11. The defect energy band is located 2.87 eV (0.12 eV higher than in the bulk $H_s^-$-center case) for CaF$_2$ and 2.86 eV (0.21 eV lower than in the bulk $H_s^-$-center case) for BaF$_2$ above the VB top and is separated from the CB bottom by 7.91 eV and 7.94 eV for CaF$_2$ and BaF$_2$, respectively (see Table 7.10). Because of the surface effect, according to my calculations, this gap is smaller than the corresponding value in the bulk $H_s^-$-center case (8.17 eV) by 0.26 eV for CaF$_2$. 

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Figure 7.11: Calculated band structure for the 108-atom supercell modeling the $H_s^-$ center in the CaF$_2$ (upper) and BaF$_2$ (lower) (111) slabs.
7.3 Surface $H_{s}^-$ centers in CaF$_2$ and BaF$_2$

For BaF$_2$, this gap is reduced by 0.33 eV with respect to the value of the bulk $H_{s}^-$ center (8.27 eV). The negligible dispersion effect of the defect band for a 108-atom supercell means that the defect-defect interaction is practically eliminated, thus approaching the desired isolated single $H_{s}^-$-center limit.

Further analysis of the layer-resolved DOS on an expanded energy scale shows the existence of an electronic surface state near the top of the VB. It is found that the DOS of the $p$-orbitals of the surface F ions moves towards higher energies and in this way splits off the bulk continuum. This mechanism is in fact the main reason for the narrowing of the gap at the (111) surface and it happens on both ideal and defective surfaces (see Chapter 4).

Conclusions

My calculated optical absorption energy for hydrogen impurities ($H_{s}^-$ centers) in CaF$_2$ (8.17 eV) is close to the experimental result of 7.65 eV, but is overestimated for the BaF$_2$ crystal. I found, that the defect band induced by hydrogen impurities in CaF$_2$ and BaF$_2$ is much more close to the VB top as it was for the $F$ centers in CaF$_2$ and BaF$_2$. The hydrogen impurity band in CaF$_2$ and BaF$_2$ crystals is located 2.75 eV and 3.07 eV respectively, above the VB.

My calculations show, that the relaxation of the atoms around the hydrogen impurity in CaF$_2$ and BaF$_2$ bulk is very small, but the relaxation of surrounding atoms is not any more negligible for a hydrogen impurity located at CaF$_2$ and BaF$_2$ surfaces.

I also observed strengthening of the surface $H_{s}^-$ and M (metal ion) chemical bond. The surface $H_{s}^-$-Ca bond population is +6 $me$ and larger than the corresponding value in bulk by 18 $me$. A similar effect, strengthening of the $F$ center-metal ion bond populations near the surfaces, was also observed in previous studies.
7. HYDROGEN CENTERS IN CAF$_2$ AND BAF$_2$
Chapter 8

$H$ centers in CaF$_2$ and BaF$_2$

Introduction

In this Chapter, the atomic geometry and electronic structures of the $H$ center in CaF$_2$ and BaF$_2$ bulks are presented.

8.1 Method of calculations

I performed calculations for $H$ centers in CaF$_2$ and BaF$_2$ bulks using the hybrid B3PW method, which gives the best agreement with experiment for the lattice constants, bulk moduli and optical band gaps for CaF$_2$ and BaF$_2$ crystals.

In this Chapter, I used the same basis sets for Ca, Ba and F atoms as in my previous study, dealing with the CaF$_2$ and BaF$_2$ electronic structures and $F$ centers therein. The reciprocal space integration was performed by sampling the Brillouin zone of the unit cell with the $6 \times 6 \times 6$ Pack-Monkhorst net [Monkhorst & Pack (1976)]. The calculation thresholds $N$ (i.e., the calculation of integrals with an accuracy of $10^{-N}$) where chosen as a compromise between the accuracy of the calculations and the large computational time for the large cells. They are 7, 7, 7, 7 and 14 for the Coulomb overlap, Coulomb penetration, exchange overlap, the first exchange pseudo-overlap and the second exchange pseudo-overlap, respectively [Pisani (1996)].
In this Chapter, I used a periodic supercell model of the $H$ center combined with a first-principles method for the calculation of its atomic and electronic structure. The 81-atom supercell is a primitive f.c.c unit cell which is extended three times along all three translation vectors. In order to calculate the $H$ center, I inserted one fluorine atom into the 81-atom supercell. After the fluorine atom is inserted, the atomic configuration of the surrounding atoms is re-optimized via a search of the total energy minimum as a function of the atomic displacements from the regular lattice sites. According to my discussion about the effect of supercell size in previous chapters, I am sure that the 81-atom supercell used in my current $H$-center calculations is large enough to catch the basic physics of $H$ centers in CaF$_2$ and BaF$_2$ bulks.

### 8.2 Calculated results for the $H$ centers in CaF$_2$ and BaF$_2$ bulks

$H$ center, a hole trapped at an interstitial anion site (see Figure 8.1), in CaF$_2$ and BaF$_2$ bulks, was calculated by means of the hybrid B3PW method. Firstly, I performed calculations of different configurations for the $H$ centers in CaF$_2$ and BaF$_2$ bulks. Considering the symmetry of the geometric structure of alkaline-earth fluorides, I calculated two simple configurations in which the $H$ center orients along (100) and (111), respectively. According to my calculations, I found that the energetically more favorable configuration of the $H$ center is the (111) oriented molecular ion. This theoretical conclusion is in agreement with experiment [Hayes (1974)]. For the CaF$_2$ $H$ center, the total energy of the (100) configuration is higher than the corresponding value of the (111) case by 0.69 eV. For the BaF$_2$ $H$ center, the (111) total energy is reduced by 0.89 eV with respect to the (100) configuration. Therefore, I focus this Chapter on the investigation of the (111) $H$ center.

Next, I present the geometry relaxation of the atoms surrounding the $H$ center in CaF$_2$ and BaF$_2$ (see Figure 8.1). The calculated atomic displacements of the $H$ center and surrounding atoms are listed in Table 8.1. For the CaF$_2$ $H$-center case, firstly, the three Ca1 atoms and one Ca2 atom are repulsed from the $H$
8.2 Calculated results for the $H$ centers in CaF$_2$ and BaF$_2$ bulks

Figure 8.1: $H$ center oriented along the (111) axis. The arrows show the directions of the atomic displacements surrounding the $H$ center. According to the symmetries of the atoms, different labels are defined in circles.

center by 0.97% and 0.77% of the lattice constant ($a_0$), respectively. F2 and F4 atoms also shift backward the $H$ center and their displacements are 2.37% and 1.07% of $a_0$, respectively. Oppositely, F1 and F5 atoms are attracted to the $H$ center slightly by 0.74% and 0.40% of $a_0$, respectively. And finally, the fluorine atom of H1 moves from the anion site towards the H2 atom by 0.67% of $a_0$. The distance between the H1 and H2 (or named the length of the $H$ center) is 1.98 Å and much shorter than the F-F distance (2.75 Å). The analysis of the relaxation of the $H$ center and surrounding atoms in CaF$_2$ shows that the relaxation is slightly stronger than for the $F$-center case in CaF$_2$ and F2 atoms have considerable movements. This phenomenon can be explained by the forthcoming effective charge discussion. For BaF$_2$, as we can see in Figure 8.1 and Table 8.1, the relaxation manner of the $H$ center and surrounding atoms is similar to the CaF$_2$ case. The length of the $H$ center in BaF$_2$ is 1.98 Å and
8. **H CENTERS IN CaF₂ AND BaF₂**

Table 8.1: Atomic relaxation of an H center oriented along the (111) axis in the CaF₂ or BaF₂ 81-atom supercell (in percent of the lattice constants, $a₀=5.50$ Å for CaF₂, $a₀=6.26$ Å for BaF₂). The shell labels have been defined in Figure 8.1.

<table>
<thead>
<tr>
<th>Shells</th>
<th>CaF₂</th>
<th>BaF₂</th>
</tr>
</thead>
<tbody>
<tr>
<td>H1</td>
<td>0.67</td>
<td>0.22</td>
</tr>
<tr>
<td>M1</td>
<td>0.97</td>
<td>0.99</td>
</tr>
<tr>
<td>M2</td>
<td>0.77</td>
<td>0.71</td>
</tr>
<tr>
<td>F1</td>
<td>0.74</td>
<td>0.59</td>
</tr>
<tr>
<td>F2</td>
<td>2.37</td>
<td>1.72</td>
</tr>
<tr>
<td>F3</td>
<td>0.39</td>
<td>0.27</td>
</tr>
<tr>
<td>F4</td>
<td>1.07</td>
<td>0.70</td>
</tr>
<tr>
<td>F5</td>
<td>0.40</td>
<td>0.17</td>
</tr>
</tbody>
</table>

essentially the same as the H-center length in CaF₂. I also calculated the length of the H center in SrF₂ and the value (1.97 Å) is very close to the CaF₂ and BaF₂ cases.

The charge density map for the H center in the CaF₂ bulk is shown in Figure 8.2. The H center for the BaF₂ crystal has a similar charge density map. Table 8.2 presents the effective charges of the H center and surrounding atoms for the CaF₂ and BaF₂ bulks. The analysis of the effective charges shows that the total effective charge of the H center in CaF₂ or BaF₂ is close to the single F charge in the CaF₂ or BaF₂ perfect crystal. These calculated results can explain the weak relaxations of the atoms surrounding the H center in CaF₂ or BaF₂. For the CaF₂ case, the total charge of the H center is -0.946 e and is larger than the fluorine charge in the perfect CaF₂ bulk (-0.902 e) by 0.044 e. The H1 charge is -0.664 e and larger than H2 charge (-0.282 e) by a factor of two. For the BaF₂ crystal, calculated H-center charge equals -0.959 e and is also more than the fluorine charge in the perfect BaF₂ bulk (-0.923 e) by 0.036 e. The absolute value of the H1 charge is also much larger than the corresponding value of H2 and
Table 8.2: The effective charges ($Q(e)$) of the $H$ center and surrounding atoms in CaF$_2$ and BaF$_2$ bulks. $\Delta Q(e)$ is the charge difference between the defective and perfect CaF$_2$/BaF$_2$ crystal. (For the CaF$_2$ bulk, Ca: +1.803 $e$, F: -0.902 $e$. For the BaF$_2$ bulk, Ba: +1.845 $e$, F: -0.923 $e$.)

<table>
<thead>
<tr>
<th>Shells</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$Q(e)$</td>
<td>$\Delta Q(e)$</td>
</tr>
<tr>
<td>H1</td>
<td>-0.664</td>
<td>+0.238</td>
</tr>
<tr>
<td>H2</td>
<td>-0.282</td>
<td>+0.620</td>
</tr>
<tr>
<td>M1</td>
<td>+1.799</td>
<td>-0.004</td>
</tr>
<tr>
<td>M2</td>
<td>+1.792</td>
<td>-0.011</td>
</tr>
<tr>
<td>F1</td>
<td>-0.900</td>
<td>+0.002</td>
</tr>
<tr>
<td>F2</td>
<td>-0.895</td>
<td>+0.007</td>
</tr>
<tr>
<td>F3</td>
<td>-0.900</td>
<td>+0.002</td>
</tr>
<tr>
<td>F4</td>
<td>-0.894</td>
<td>+0.008</td>
</tr>
<tr>
<td>F5</td>
<td>-0.890</td>
<td>+0.012</td>
</tr>
</tbody>
</table>

has an approximate factor of two. Therefore, for the CaF$_2$ or BaF$_2$ crystal, the total charge of the $H$ center is not distributed equally between two F atoms. Hall et al. (1969) and Beaumont et al. (1970) demonstrated that the hole is located on the interstitial fluorine. My calculations of effective charges are in qualitative agreement with their measurements.

The localization of the unpaired electron at the $H$ center is clearly shown in the spin density maps for CaF$_2$ (see Figure 8.3). From Figure 8.3, we can see that the spin density around the nearest F5 atom is remarkable, the spin density around the nearest F1 and F4 atoms is much weaker and the spin polarization of other neighbor atoms almost disappear (see Figure 8.3 (upper)). According to my calculations, the F5 spin charge ($n_{\alpha}-n_{\beta}$) is 0.014 $e$, the F4 and F2 spin charges are 0.005 $e$ and 0.002 $e$, respectively. The spin charge for H1 0.299 $e$ and H2 0.667 $e$ is also in accordance with the fact that the hole is primarily located on the interstitial fluorine.
Figure 8.2: Charge density map of a CaF$_2$ crystal with the periodic H center from the (1 1 0) side view. Isodensity curves are drawn from 0 e/bohr$^3$ to 0.1 e/bohr$^3$ with an increment of 0.001 e/bohr$^3$.

Next, I calculated the band structures of the H center in CaF$_2$ and BaF$_2$ bulks. CaF$_2$ and BaF$_2$ with H centers exhibit optical absorption, centered around 4.03 eV and 3.76 eV, respectively [Beaumont et al. (1970)]. My results for defect levels (see Figure 8.4) allow to explain this experimentally observed optical absorption. In the one-electron approximation scheme, the experimentally observed optical absorption could be due to an electron transfer from the H-center ground state, to the empty band at $\beta$-spin induced by a hole localized on the H center (see Figure 8.4). The corresponding calculated values are 2.97 eV for CaF$_2$ and 2.93 eV for BaF$_2$, which are reasonable, however, are underestimated with respect to the experimental results.

The presence of an unpaired electron is also revealed by the band structure
8.2 Calculated results for the $H$ centers in CaF$_2$ and BaF$_2$ bulks

Figure 8.3: Spin density maps of a CaF$_2$ crystal with the periodic $H$ center from the (1 1 0) (upper) and (1 -1 0) (lower) side views. Isodensity curves are drawn from $-0.01\ e/\text{bohr}^3$ to $0.1\ e/\text{bohr}^3$ with an increment of $0.001\ e/\text{bohr}^3$. Blue, green and red lines denote positive, negative and zero values, respectively.
Figure 8.4: Calculated band structure for the 81-atom supercell modeling the H center in CaF$_2$. $\alpha$ (left) and $\beta$ (right) denote the spin-up and spin-down states, respectively.

of the defective system given in Figure 8.4. Unlike the F-center case, the bound unpaired electron level labeled $\alpha$ band lies in the gap, but very closes to the top of VB, as we can see in the $\alpha$-spin band structure in Figure 8.4. The empty level induced by a hole localized on the H center appears in the $\beta$-spin band 2.97 eV above the VB top. Because of the selection rules, the electron transition from the $\alpha$ occupied band to the $\beta$ unoccupied band is forbidden. Therefore, optical absorption mentioned before could be due to an electron transfer from the $\beta$-VB top to the empty level, induced by a hole localized on the H center. The band

<table>
<thead>
<tr>
<th>Gaps</th>
<th>CaF$_2$</th>
<th>BaF$_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>VB $\rightarrow$ H</td>
<td>$\alpha$</td>
<td>2.97</td>
</tr>
<tr>
<td>VB $\rightarrow$ CB</td>
<td>10.83</td>
<td>10.82</td>
</tr>
</tbody>
</table>

Table 8.3: Direct optical band gaps (eV) ($\Gamma \rightarrow \Gamma$) for H centers in CaF$_2$ and BaF$_2$ bulks.
8.2 Calculated results for the $H$ centers in CaF$_2$ and BaF$_2$ bulks

gaps (distance between VB and CB) for the CaF$_2$ crystal containing $H$ centers at Γ point are 10.83 eV and 10.82 eV for the α- and β-spin states, respectively, which are very close to each other and slightly reduced with respect to the band gap of the perfect CaF$_2$ crystal (10.96 eV). For the defective BaF$_2$ system, the band gaps between VB and CB at Γ point (11.11 eV for α and 11.10 eV for β) are also slightly smaller than the value in the perfect BaF$_2$ crystal (11.30 eV).

![Density of States Diagram](image)

Figure 8.5: Total and projected density of states (DOS) for the $H$ center in the CaF$_2$ bulk.

The total and partial density of states (DOS) of the $H$ center in the CaF$_2$ bulk are displayed in Figure 8.5. The results of my calculations show that the H1 and H2 $p$-orbitals form the $\beta$ band and the H2 does the major contribution. There are also some contributions from the $H$-center $p$-orbitals to the top of valence bands, as we can see from Figure 8.5. According to my previous work and current discussion, we can conclude that the F $p$-orbitals form the upper valence bands.
and the $\beta$-spin defect level is mainly composed of $H$-center $p$-orbitals, whereas the CB bottom consists mainly of metal ion $d$-orbitals.

In comparison with other defects investigated before, the defect level induced by $H$ centers in the $\alpha$ band structure is extremely close to the VB top. I suggest that it is due to this $\alpha$ defect level also consisting mainly of $F$ $p$-orbitals, which form the VB top in both perfect and defective crystals. However, other kinds of defect bands, unlike the $H$-center case, are induced by other impurity species, such as ghost electrons, hydrogen atoms and oxygen atoms.

Conclusions

My calculations show that the creation of $H$ centers in CaF$_2$ and BaF$_2$ crystals is accompanied with a stronger lattice relaxation around it, as I found previously for the $F$-center case. The results of my calculations show, that the $H$-center oriented in the (111) direction in CaF$_2$ and BaF$_2$ crystals is the energetically most favorable one, in agreement with experiment, and by 0.69 eV and 0.89 eV more favorable than the $H$-center orientation in the (100) direction. According to my calculations, the hole is mainly localized on the interstitial fluorine, in agreement with the experimental observations, and induces the empty level in the $\beta$-spin band gaps of CaF$_2$ and BaF$_2$ crystals, located 2.97 eV and 2.93 eV above the VB top, respectively. My calculations allow to explain theoretically an absorption band of the $H$ center peaking at about 4.03 eV in CaF$_2$ and at about 3.76 eV in BaF$_2$ [Beaumont et al. (1970)].
Chapter 9

Conclusions

In this Thesis, I performed ab initio calculations to investigate the defect structures and optical properties of alkaline-earth fluorides, such as CaF$_2$ and BaF$_2$. The electronic structures of perfect crystals and slabs, $F$ centers, $M$ centers, oxygen and hydrogen impurities, and $H$ centers were calculated. In order to obtain a good theoretical method for further calculations on defective systems, the bulk and electronic properties of CaF$_2$ and BaF$_2$ crystals have been calculated by seven different methods. The comparison of these seven types of Hamiltonians shows that the best agreement with the experimental results for the lattice constant, bulk modulus, as well as the band structure, is obtained by the hybrid technique (B3PW).

The calculations on perfect slabs show that the direct optical band gaps for CaF$_2$ and BaF$_2$ bulks are narrowed for the (111), (110) and (100) surfaces. The (111) surface energy is the smallest one among these three terminations, indicating that the (111) surface is the most stable one, in good agreement with the available experimental result. The relaxation of F atoms in the upper sub-layer of the top (111) surface layer is inwards and is comparable with the LEED experimental results.

The data obtained in $F$-center DFT-B3PW calculations show that an unpaired electron is well localized inside the vacancy ($V_F$); the relaxation of atoms surrounding the $F$ center is small; the creation of a neutral $V_F$ in CaF$_2$ and BaF$_2$ results in a new $F$-center defect band located at the $\Gamma$ point 6.75 eV and 7.01 eV, respectively, above the VB top. The $\beta$ band absorption in alkaline-earth
fluorides is predominantly due to the presence of $M$ centers. According to my calculations, the direct optical gap ($\Gamma \rightarrow \Gamma$) for $M$ centers in CaF$_2$ is 2.22 eV, which is in good agreement with the experimental value of 2.38 eV, and much smaller than the corresponding value in the $F$-center case. The relevant optical gap in the BaF$_2$ $M$-center case is 1.38 eV and is also much smaller than in the $F$-center case. The formation energy for the (111) surface $F$ center is smaller than in the bulk. The lower formation energy for a surface $F$ center implicates the preference for $F$ centers located near the surface.

The electronic structures of the $OV$ dipoles in CaF$_2$ calculated using the hybrid B3PW method have been compared with the known experimental results and the theoretical work performed by Mysovsky et al. (2004). The optical absorption bands at the $\Gamma$ point are in good agreement with the experimental value. Several configurations of the $(OV)_2$-dimer were calculated. The conclusion is a presence of the aggregation of $OV$ dipoles and the association energy for the most favorable one is 0.55 eV.

In order to study the other kind of important doped atoms, hydrogen impurities, I performed the hybrid B3PW calculations. My calculated optical absorption energy for hydrogen impurities ($H^-_s$ centers) is in qualitative agreement with the experimental results. I found, that the defect band induced by hydrogen atoms is much more close to the VB top than it was for the $F$-center case. The relaxation of the atoms around the hydrogen impurity in the bulk is very small, but the relaxation of surrounding atoms is not any more negligible for a hydrogen impurity located at surfaces. I also observed a strengthening of the surface $H^-_s$ and M (metal ion) chemical bond. A similar effect, strengthening of the $F$ center-metal ion bond populations near the surfaces, was also observed.

My calculations using the hybrid B3PW method on $H$ centers show that the creation of $H$ centers in CaF$_2$ and BaF$_2$ crystals is accompanied with a stronger lattice relaxation around it. The $H$-center oriented in the (111) direction in CaF$_2$ and BaF$_2$ crystals is the energetically most favorable one, in agreement with experiment. According to my calculations, the hole is mainly localized on the interstitial fluorine, fitting to the experimental observations, and induces empty level in the $\beta$-spin band gaps of CaF$_2$ and BaF$_2$ crystals, located 2.97 eV and 2.93 eV above the VB top, respectively.
Appendix A

Spin-restricted/unrestricted
Hartree-Fock theory

A.1 The energy of a general polyelectronic system

For a $N$-electron system, the Hamiltonian (in atomic units $m = \hbar = e^2 = 1$) takes the following general form:

$$H = \left( -\frac{1}{2} \sum_{i=1}^{N} \nabla_i^2 - \frac{1}{r_{1A}} - \frac{1}{r_{1B}} \cdots + \frac{1}{r_{12}} + \frac{1}{r_{13}} + \cdots \right)$$  \hspace{1cm} (A.1)

where $r$ is the distance between two charged particles (electron or nucleus). The nuclei are labeled using capital letters $A$, $B$, $C$, etc., and the electrons are labeled $1, 2, 3, \cdots$.

Recall that a system of $N$ electrons in $N$ spin orbitals, $\chi_i$, can be written as a Slater determinant (see Chapter 3). Each term in the determinant can thus be written $\chi_i(1)\chi_j(2)\chi_k(3)\cdots\chi_u(N-1)\chi_v(N)$, where $i, j, k, ..., u, v$ is a series of $N$ integers.
A. SPIN-RESTRICTED/UNRESTRICTED HARTREE-FOCK THEORY

The energy can be calculated from:

\[ \int \Psi \mathcal{H} \Psi = \int \cdots \int d\tau_1 d\tau_2 \cdots d\tau_N \left\{ \chi_i(1)\chi_j(2)\chi_k(3) \cdots \right\} \times \left( -\frac{1}{2} \sum_{i=1} \nabla_i^2 - \left( \frac{1}{r_{1A}} \right) - \left( \frac{1}{r_{1B}} \right) \cdots + \left( \frac{1}{r_{12}} \right) + \left( \frac{1}{r_{13}} \right) + \cdots \right) \times [\chi_i(1)\chi_j(2)\chi_k(3) \cdots] \]  

(A.2)

It is more convenient to write the energy expression in a concise form that recognizes the three types of interaction that contribute to the total electronic energy of the system.

First, there is the kinetic and potential energy of each electron moving in the field of the nuclei. The energy associated with this contribution for the molecular orbital \( \chi_i \) is often written \( H_{\text{core}}^{\text{ii}} \) and for \( M \) nuclei is given by:

\[ H_{\text{core}}^{\text{ii}} = \int d\tau_1 \chi_i(1) \left( -\frac{1}{2} \nabla_i^2 - \sum_{A=1}^{M} \frac{Z_A}{r_{iA}} \right) \chi_i(1) \]  

(A.3)

For \( N \) electrons in \( N \) molecular orbitals, this contribution to the total energy is:

\[ E_{\text{total}}^{\text{core}} = \sum_{i=1}^{N} \int d\tau_1 \chi_i(1) \left( -\frac{1}{2} \nabla_i^2 - \sum_{A=1}^{M} \frac{Z_A}{r_{iA}} \right) \chi_i(1) = \sum_{i=1}^{N} H_{\text{core}}^{\text{ii}} \]  

(A.4)

Here we have followed convention and have used the label '1' wherever there is an integral involving the coordinates of a single electron, even though the actual electron may not be 'electron 1'. Similarly, when it is necessary to consider two electrons then the labels 1 and 2 are conventionally employed. \( H_{\text{core}}^{\text{ii}} \) makes a favorable (i.e. negative) contribution to the electronic energy.

The second contribution to the energy arises from the electrostatic repulsion between pairs of electrons. This interaction depends on the electron-electron distance and, as we have seen, is calculated from integrals such as:

\[ J_{ij} = \int \int d\tau_1 d\tau_2 \chi_i(1)\chi_j(2) \left( \frac{1}{r_{12}} \right) \chi_i(1)\chi_j(2) \]  

(A.5)

The symbol \( J_{ij} \) is often used to represent this Coulomb interaction between electrons in spin orbitals \( i \) and \( j \), and is unfavorable (i.e. positive). The total Coulomb
contribution to the electronic energy of the system is obtained as a double summation over all electrons, taking care to count each interaction just once:

$$E_{\text{Coulomb total}} = \sum_{i=1}^{N} \sum_{j=i+1}^{N} \int d\tau_1 d\tau_2 \chi_i(1) \chi_i(1) \frac{1}{r_{12}} \chi_j(2) \chi_j(2) = \sum_{i=1}^{N} \sum_{j=i+1}^{N} J_{ij} \quad (A.6)$$

The third contribution to the energy is the exchange 'interaction'. This has no classical counterpart and arises because the motions of electrons with parallel spins are correlated: whereas there is a finite probability of finding two electrons with opposite (i.e. paired) spins at the same point in space, where the spins are the same then the probability is zero. This can be considered a manifestation of the Pauli principle, for if two electrons occupied the same region of space and had parallel spins then they could be considered to have the same set of quantum numbers. Electrons with the same spin thus tend to 'avoid' each other, and they experience a lower Coulombic repulsion, giving a lower (i.e. more favorable) energy. The exchange interaction involves integrals of the form:

$$K_{ij} = \int d\tau_1 d\tau_2 \chi_i(1) \chi_j(2) \left( \frac{1}{r_{12}} \right) \chi_i(2) \chi_j(1) \quad (A.7)$$

This integral is only non-zero if the spins of the electrons in the spin orbitals $\chi_i$ and $\chi_j$ are the same. The energy due to exchange is often represented as $K_{ij}$. The total exchange energy is calculated thus:

$$E_{\text{exchange total}} = \sum_{i=1}^{N} \sum_{j'=i+1}^{N} \int d\tau_1 d\tau_2 \chi_i(1) \chi_j(2) \frac{1}{r_{12}} \chi_i(2) \chi_j(1) = \sum_{i=1}^{N} \sum_{j'=i+1}^{N} K_{ij} \quad (A.8)$$

The prime on the counter $j'$ indicates that the summation is only over electrons with the same spin as electron $i$.

## A.2 Closed-shell systems

### A.2.1 The energy of a closed-shell system

In molecular modeling we are usually concerned with the ground states of molecules, most of which have closed-shell configurations. In a closed-shell system containing $N$ electrons in $N/2$ orbitals, there are two spin orbitals associated with each
spatial orbital $\psi_i$: $\psi_i\alpha$ and $\psi_i\beta$. The electronic energy of such a system can be calculated in the following manner. First, there is the energy of each electron moving in the field of the bare nuclei. For an electron in a molecular orbital $\chi_i$, this contributes an energy $H_{\text{core}}^{ii}$. If there are two electrons in the orbital then the energy is $2H_{\text{core}}^{ii}$ and for $N/2$ orbitals the total contribution to the energy will be: $\sum_{i=1}^{N/2} 2H_{\text{core}}^{ii}$.

If we consider the electron-electron terms, the interaction between each pair of orbitals $\psi_i$ and $\psi_j$ involves a total of four electrons. There are four ways in which two electrons in one orbital can interact in a Coulomb sense with two electrons in a second orbital, thus giving $4J_{ij}$. However, there are just two ways to obtain paired electrons from this arrangement, giving a total exchange contribution of $-2K_{ij}$. Finally, the Coulomb interaction between each pair of electrons in the same orbital must be included; there is no exchange interaction because the electrons have paired spins. The total energy is thus given as:

$$E = 2 \sum_{i=1}^{N/2} H_{\text{core}}^{ii} + \sum_{i=1}^{N/2} \sum_{j=i+1}^{N/2} (4J_{ij} - 2K_{ij}) + \sum_{i=1}^{N/2} J_{ii}$$

(A.9)

A.2.2 Linear combination of atomic orbitals (LCAO) in Hartree-Fock theory

Direct solution of the Hartree-Fock equations is not a practical proposition for molecules and so it is necessary to adopt an alternative approach. The most popular strategy is to write each spin orbital as a linear combination of single electron orbitals:

$$\psi_i = \sum_{\nu=1}^{K} c_{\nu i} \phi_\nu$$

(A.10)

The one-electron orbitals $\phi_\nu$ are commonly called basis functions and often correspond to the atomic orbitals. In the case of Equation (A.10) there are $K$ basis functions and we should therefore expect to derive a total of $K$ molecular orbitals (although not all of these will necessarily be occupied by electrons). The smallest
number of basis functions for a molecular system will be that which can just accommodate all the electrons in the molecule. More sophisticated calculations use more basis functions than a minimal set. At the Hartree-Fock limit energy of the system can be reduced no further by the addition of any more basis functions; however, it may be possible to lower the energy below the Hartree-Fock limit by using a function form of the wave function that is more extensive than the single Slater determinant.

In accordance with the variation theorem we require the set of coefficients $c_{\nu i}$ that gives the lowest-energy wave function, and some scheme for changing the coefficients to derive that wave function. For a given basis set and a given functional form of the wave function (i.e. a Slater determinant) the best set of coefficients is that for which the energy is a minimum, at which point $\partial E/c_{\nu i} = 0$ for all coefficients $c_{\nu i}$. The objective is thus to determine the set of coefficients that gives the lowest energy for the system.

### A.2.3 The Roothaan-Hall equations

The derivation of the Hartree-Fock equations for a closed-shell system was first proposed by Roothaan (1951) and (independently) by Hall (1951). The resulting equations are known as the Roothaan equations or the Roothaan-Hall equations. Unlike the integro-differential form of the Hartree-Fock equations, Roothaan and Hall recast the equations in matrix form, which can be solved using standard techniques and can be applied to systems of any geometry.

We now introduce the atomic orbital expansion for the orbitals $\psi_i$ and substitute for the corresponding spin orbital $\chi_i$ into the Hartree-Fock equation, $\mathcal{H}_i(1)\chi_i(1) = \varepsilon_i \chi_i(1)$:

$$\mathcal{H}_i(1) \sum_{\nu=1}^{K} c_{\nu i} \phi_{\nu}(1) = \varepsilon_i \sum_{\nu=1}^{K} c_{\nu i} \phi_{\nu}(1) \quad (A.11)$$

Pre-multiplying each side by $\phi_{\mu}(1)$ (where $\phi_{\mu}$ is also a basis function) and integrating gives the following matrix equation:

$$\sum_{\nu=1}^{K} c_{\nu i} \int d\nu_1 \phi_{\mu}(1) \mathcal{H}_i(1)\phi_{\nu}(1) = \varepsilon_i \sum_{\nu=1}^{K} c_{\nu i} \int d\nu_1 \phi_{\mu}(1) \phi_{\nu}(1) \quad (A.12)$$
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\[ \int d\nu_1 \phi_\mu(1) \phi_\nu(1) \] is the overlap integral between the basis functions \( \mu \) and \( \nu \), written \( S_{\mu\nu} \). Unlike the molecular orbitals, which will be required to be orthonormal, the overlap between two basis functions is not necessarily zero (for example, they may be located on different atoms).

The elements of the \textit{Fock matrix} are given by:

\[ F_{\mu\nu} = \int d\nu_1 \phi_\mu(1) \mathcal{F}(1) \phi_\nu(1) \quad (A.13) \]

The elements of the Fock matrix can thus be written as the sum of core, Coulomb and exchange contributions. For a closed-shell system, the substitution of Equation (A.11) for \( \mathcal{F}(1) \) leads the elements of the Fock matrix to be written as:

\[ F_{\mu\nu} = H^{\text{core}}_{\mu\nu} + \sum_{\lambda=1}^{K} \sum_{\sigma=1}^{K} P_{\lambda\sigma} [(\mu\nu|\lambda\sigma) - \frac{1}{2}(\mu\lambda|\nu\sigma)] \quad (A.14) \]

\( H^{\text{core}}_{\mu\nu} \) is the core contribution, the two terms in the summation are the Coulomb and exchange contributions, respectively. Where \( \mathbf{P} \), the \textit{charge density matrix}, whose elements are defined as:

\[ P_{\lambda\sigma} = 2 \sum_{i=1}^{N/2} c_{\lambda i} c_{\sigma i} \quad (A.15) \]

and the shorthand notation \( (\mu\nu|\lambda\sigma) \) means:

\[ (\mu\nu|\lambda\sigma) = \int d\nu_1 d\nu_2 \phi_\mu(1) \phi_\nu(1) \frac{1}{r_{12}} \phi_\lambda(2) \phi_\sigma(2) \quad (A.16) \]

Note that the summation of the \( P \) formula is over the \( N/2 \) occupied orbitals. Other properties can be calculated from the density matrix; for example, the electronic energy is:

\[ E = \frac{1}{2} \sum_{\mu=1}^{K} \sum_{\nu=1}^{K} P_{\mu\nu} (H_{\mu\nu}^{\text{core}} + F_{\mu\nu}) \quad (A.17) \]

The electron density at a point \( \mathbf{r} \) can also be expressed in terms of the density matrix:

\[ \rho(\mathbf{r}) = \sum_{\mu=1}^{K} \sum_{\nu=1}^{K} P_{\mu\nu} \phi_\mu(\mathbf{r}) \phi_\nu(\mathbf{r}) \quad (A.18) \]

Equation (A.14) is the standard form for the expression for the Fock matrix in the Roothaan-Hall equations.
Recall that a Hartree-Fock calculation provides a set of orbital energies, \( \varepsilon_i \). The energy of an electron in a spin orbital is calculated by adding the core interaction \( H_{\text{core}}^i \) to the Coulomb and exchange interactions with the other electrons in the system:

\[
\varepsilon_i = H_{\text{core}}^i + \sum_{j=1}^{N/2} (2J_{ij} - K_{ij}) \quad (A.19)
\]

The total electronic energy of the ground state is given by Equation (A.9) and is therefore not equal to the sum of the individual orbital energies but is related as follows:

\[
E = \sum_{i=1}^{N} \varepsilon_i - \frac{N/2 \times N/2}{2} \sum_{i=1}^{N/2} \sum_{j=1}^{N/2} (2J_{ij} - K_{ij}) \quad (A.20)
\]

The reason for the discrepancy is that the individual orbital energies include contributions from the interaction between that electron and all other electrons in the system. The Coulomb and exchange interactions between pairs of electrons are therefore counted twice when summing the individual orbital energies.

### A.3 Open-shell systems

The Roothaan-Hall equations are not applicable to open-shell systems, which contain one or more unpaired electrons. Radicals are, by definition, open-shell systems as are some ground-state molecules such as NO and O\(_2\). Two approaches have been devised to treat open-shell systems. The first of these is spin-restricted Hartree-Fock (RHF) theory, which uses combinations of singly and doubly occupied molecular orbitals. The closed-shell approach that we have developed thus far is a special case of RHF theory. The doubly occupied orbitals use the same spatial functions for electrons of both \( \alpha \) and \( \beta \) spin. The orbital expansion Equation (A.10) is employed together with the variational method to derive the optimal value of the coefficients. The alternative approach is the spin-unrestricted Hartree-Fock (UHF) theory of Pople & Nesbet (1954), which uses two distinct sets of molecular orbitals: one for electrons of \( \alpha \) spin and the other for electrons of \( \beta \) spin. Two Fock matrices are involved, one for each type of spin, with elements
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as follows:

\[ F^{\alpha}_{\mu\nu} = H_{\mu\nu}^{\text{core}} + \sum_{\lambda=1}^{K} \sum_{\sigma=1}^{K} [(P^{\alpha}_{\lambda\sigma} + P^{\beta}_{\lambda\sigma})(\mu\nu|\lambda\sigma) - P^{\alpha}_{\lambda\sigma}(\mu\lambda|\nu\sigma)] \]

\[ F^{\beta}_{\mu\nu} = H_{\mu\nu}^{\text{core}} + \sum_{\lambda=1}^{K} \sum_{\sigma=1}^{K} [(P^{\alpha}_{\lambda\sigma} + P^{\beta}_{\lambda\sigma})(\mu\nu|\lambda\sigma) - P^{\beta}_{\lambda\sigma}(\mu\lambda|\nu\sigma)] \]  

(A.21)

UHF theory also uses two density matrices, the full density matrix being the sum of these two:

\[ P^{\alpha}_{\mu\nu} = \sum_{i=1}^{\alpha_{\text{occ}}} c_{\mu i}^{\alpha} c_{\nu i}^{\alpha} \]

\[ P^{\beta}_{\mu\nu} = \sum_{i=1}^{\beta_{\text{occ}}} c_{\mu i}^{\beta} c_{\nu i}^{\beta} \]  

(A.22)

\[ P_{\mu\nu} = P^{\alpha}_{\mu\nu} + P^{\beta}_{\mu\nu} \]  

(A.23)

The summations in Equations (A.22) and (A.23) are over the occupied orbitals with \( \alpha \) and \( \beta \) spin as appropriate. Thus, \( \alpha_{\text{occ}} + \beta_{\text{occ}} \) equals the total number of electrons in the system. In a closed-shell Hartree-Fock wave function the distribution of electron spin is zero everywhere because the electrons are paired. In an open-shell system, however, there is an excess of electron spin, which can be expressed as the spin density, analogous to the electron density. The spin density \( \rho^{\text{spin}}(\mathbf{r}) \) at a point \( \mathbf{r} \) is given by:

\[ \rho^{\text{spin}}(\mathbf{r}) = \rho^{\alpha}(\mathbf{r}) - \rho^{\beta}(\mathbf{r}) = \sum_{\mu=1}^{K} \sum_{\nu=1}^{K} [P^{\alpha}_{\mu\nu} - P^{\beta}_{\mu\nu}] \phi_{\mu}(\mathbf{r}) \phi_{\nu}(\mathbf{r}) \]  

(A.24)

Clearly, the UHF approach is more general and indeed the RHF approach is a special case of UHF. Figure A.1 illustrates the conceptual difference between the RHF and the UHF models.

Following the previous calculations of the orbital energies for closed-shell systems, for a open-shell system that has \( p \alpha \)-spin orbitals and \( q \beta \)-spin orbitals (and \( p > q \)), the energy of an electron in a spin orbital is given by:

\[ \varepsilon^{\alpha(\beta)}_{i} = H_{ii}^{\alpha(\beta)} + \sum_{j=1}^{p(q)} (J_{ij} - K^{\alpha(\beta)}_{ij}) + \sum_{j=1}^{q(p)} J_{ij} \]  

(A.25)
A.3 Open-shell systems

Figure A.1: The conceptual difference between the RHF and the UHF models.
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Where, $K^{\alpha(\beta)}_{ij}$ indicate the exchange energies between the electrons that have the same spin. The total energy can then be expressed as:

$$E = \frac{1}{2} \sum_{i=1}^{p} (\varepsilon_i^\alpha + H_{ii}^\alpha) + \frac{1}{2} \sum_{i=1}^{q} (\varepsilon_i^\beta + H_{ii}^\beta) \quad (A.26)$$

A.4 A tentative explanation to polarized band structures

As mentioned in Chapter 5, there is a band-gap difference between $\alpha$ and $\beta$ states. Here, I try to give a qualitative explanation in the HF scheme. The explanation should also be available in the DFT framework. The reason of the band-gap difference between $\alpha$ and $\beta$ states is that there is more exchange energy for the $\alpha$ case due to the more number of the $\alpha$-spin electrons.

Let’s consider the F-center case as an example. The one-electron spin orbital energies in the valence band top ($V$), the F-center band ($F = V + 1$) and the conduction band bottom ($C = V + 2$) can be expressed as:

$$\varepsilon_V^\alpha = H_{VV}^\alpha + \sum_{j=1}^{V+1} (J_{Vj} - K_{Vj}^\alpha) + \sum_{j=1}^{V} J_{Vj}$$

$$\varepsilon_F^\alpha = H_{FF}^\alpha + \sum_{j=1}^{V+1} (J_{Fj} - K_{Fj}^\alpha) + \sum_{j=1}^{V} J_{Fj}$$

$$\varepsilon_C^\alpha = H_{CC}^\alpha + \sum_{j=1}^{V+1} (J_{Cj} - K_{Cj}^\alpha) + \sum_{j=1}^{V} J_{Cj} \quad (A.27)$$

$$\varepsilon_V^\beta = H_{VV}^\beta + \sum_{j=1}^{V} (J_{Vj} - K_{Vj}^\beta) + \sum_{j=1}^{V+1} J_{Vj}$$

$$\varepsilon_F^\beta = H_{FF}^\beta + \sum_{j=1}^{V} (J_{Fj} - K_{Fj}^\beta) + \sum_{j=1}^{V+1} J_{Fj}$$

$$\varepsilon_C^\beta = H_{CC}^\beta + \sum_{j=1}^{V} (J_{Cj} - K_{Cj}^\beta) + \sum_{j=1}^{V+1} J_{Cj} \quad (A.28)$$
A.4 A tentative explanation to polarized band structures

Because there is an unpaired electron occupying the $F$-center band in the $\alpha$-spin state, extra terms of $-K^{\alpha}_{V(C),V+1}$, the exchange interactions between the electron in the VB top orbital or the CB bottom orbital and the electron in the $F$-center band orbital, present in Equation (A.27). Therefore, the band-gap difference is mainly due to these extra exchange interactions. For the energies $\varepsilon^{\alpha(\beta)}_F$, since $-K^{\alpha}_{F,V+1}$, the extra exchange energy, is negative, the $F$-center band for $\alpha$ spin is lower than for $\beta$ spin.
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Eidesstattliche Erklärung

Hiermit erkläre ich an Eides Statt, daß ich die vorliegende Dissertation selbständig verfaßt, keine anderen als die angegebenen Hilfsmittel verwendet und noch keinen Promotionsversuch unternommen habe.

Osnabrück, den 5. February 2007

Shi Hongting