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1 Introduction

Ceria (CeO_2) is a wide band gap insulator which has been widely utilized in catalysis where it can act as a catalyst itself,¹⁻⁴ or as a support material.⁵⁻⁹ The properties that make CeO₂ attractive for catalytic processes are its high thermal stability and high oxygen storage capacity (OSC), which is ceria's ability to absorb oxygen in oxidizing environments and release oxygen under reducing conditions.¹⁰⁻¹² CeO₂ is also a promising candidate electrolyte in solid oxide fuel cells (SOFCs) operating in the intermediate temperature range (≈ 600 to 1000 K).¹³ It displays both ionic and electronic conductivity,¹⁴ and it is known that both types of conductivity are influenced by the OSC since it governs the presence of intrinsic oxygen vacancies $(V_{\rm O})$. Upon the formation of a $V_{\rm O}$, two excess electrons will localize on two nearby cerium atoms, formally reducing them from Ce^{IV} to Ce^{III} .¹⁵ The V_O will then act as a pathway for ionic diffusion¹⁶ while the localized electrons are small polarons for electronic conductivity.17 For SOFCs, it is important to have high ionic conductivity and a very low electronic conductivity, as electronic conductivity will short circuit the operation of the fuel cell. A common method for increasing the performance of CeO2 electrolytes is the introduction of trivalent dopants, which introduce charge compensating vacancies (CCVs) without reducing the cerium ions.18-27

Recently, CeO₂ has been shown to be potentially useful in high- κ dielectric applications.²⁸⁻³⁴ Currently HfO₂ is commonly used to replace SiO₂ in metal–oxide–semiconductor field-effect

Computational testing of trivalent dopants in CeO₂ for improved high- κ dielectric behaviour

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Due to its high dielectric constant, large band gap, and very small lattice mismatch with Si, CeO₂ has been proposed as a promising candidate high- κ dielectric material. The performance of CeO₂ as a dielectric material, however, is severely limited due its propensity for facile reduction (oxygen vacancy formation), which causes a high interface state density, and subsequent decreased drain currents. In this article we use density functional theory (DFT) to screen for trivalent dopants which could decrease the concentration of defects in CeO₂ samples. We demonstrate that La and Y are the most soluble trivalent dopants in CeO₂, and can reduce the number of the electrons in the system both ionically (formation of $[M_{Ce}-V_O-M_{Ce}]$ clusters) or to a lesser extent electronically (hole formation). La doping also increases the lattice constant of CeO₂, improving the lattice match with Si.

transistors (MOSFETs)³⁵⁻⁴⁰ due to its moderate dielectric constant (14–18) and large band gap (5.8 eV).³⁸ However, there are some notable drawbacks to HfO₂ based MOSFETs. The main disadvantage is the large lattice mismatch between HfO₂ and the Si substrates, which can be as much as 6.39%.⁴¹ Although stabilizing the cubic phase of HfO₂ by doping with yttrium can reduce this problem the lattice mismatch still remains high.^{37,38} Furthermore, defects at the interface, such as Hf–Si bonds, can also degrade the operation of the MOSFET.³⁷ As a result of this, large leakage currents have been observed in HfO₂, CeO₂ has been found to be a good candidate due to its high dielectric constant (23–52),^{42–44} moderate band gap (2.76–3.60 eV),^{45–47} small equivalent oxide thickness (EOT = 3.8 Å)⁴³ and low mismatch with the Si substrate ($\Delta d < 1\%$).²⁹

To be effective for MOSFET applications, the interface state density (D_{it}) between CeO₂ and the Si substrate should be as low as possible as higher values of D_{it} are associated with decreased drain currents.²⁹ The formation energy of V_O in CeO₂ is quite low,⁴⁸ leading to the presence of Ce^{III} ions at the CeO₂–SiO₂ interface. The presence of such defects may cause higher values of D_{it} , and indeed it has been found that CeO₂ MOSFETs grown under oxygen-poor conditions have a greater leakage current than those grown under oxygen-rich conditions.²⁹ It is therefore clear that a mechanism for suppressing the interface state density in CeO₂ is necessary to maximize the potential of CeO₂ for high- κ dielectric applications.

In this article we employ the generalized gradient approximation with on-site Coulomb corrections (GGA + U) to investigate a series of intrinsic and extrinsic defects in CeO₂. We demonstrate: (i) the dominant intrinsic defect in CeO₂ is the $V_{\rm O}$, which cannot be intrinsically compensated under Ce-rich/Opoor conditions, and can only be compensated at higher Fermi

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energies ($E_{\rm F}$) by cerium vacancies ($V_{\rm Ce}$) under Ce-poor/O-rich conditions, (ii) La and Y doping can effectively compensate the electrons left behind upon $V_{\rm O}$ formation through the formation of [$M_{\rm Ce}-V_{\rm O}-M_{\rm Ce}$] complexes, and (iii) the addition of La to CeO₂ increases the lattice constant, reducing the lattice mismatch with Si. We propose optimal growth conditions for La-doping to achieve maximally resistive CeO₂ with a low defect density.

2 Methods

All our DFT calculations were carried out using the VASP code,49-51 utilizing GGA-PBE exchange-correlation functionals52 with the projector augmented wave (PAW) method.53 To describe the localized nature of both n-type and p-type defects in CeO₂, we apply U = 5 eV on the Ce_{4f},^{54–57} and a U = 5.5 eV on the O_{2p}.48 To avoid the problem of Paulay stress, the 12 atom unit cell of CeO₂ was optimized at a series of different volumes with a 500 eV plane wave cut-off and a 4 \times 4 \times 4 Monkhorst-Pack⁵⁸ k-point mesh. The resulting energy-volume data was fitted to the Murnaghan equation of state to give us the equilibrium lattice constant. Our approach yields a lattice constant of 5.477 Å which is within 1.2% of experiment, and a band gap of 2.51 eV,48 which is underestimated compared to the experimental values as is common with GGA-DFT.⁵⁹ All the defects were modeled within a $2 \times 2 \times 2$ (96 atom) expansion of the unit cell and a 2 \times 2 \times 2 Monkhorst-Pack k-point mesh. All calculations were spin polarized and deemed converged when the total force on each ion was less than 0.01 eV $Å^{-1}$.

The equilibrium concentration of a defect is determined by its formation energy. The formation energy of defect D with a charge state q is given by

$$\Delta H_{\rm f}(D,q) = \left(E^{D,q} - E^{\rm H}\right) + \sum_{i} n_i (E_i + \mu_i) + q(E_{\rm Fermi} + \varepsilon^{\rm H}_{\rm VBM}) + E_{\rm align}[q].$$
(1)

 $E^{\rm H}$ is the total energy of the stoichiometric host supercell and $E^{D,q}$ is the total energy of defective cell. The elemental reference energies are denoted by E_i . These are the energies of the constituent elements in their standard states, *i.e.*, Ce_(s) and $O_{2(g)}$. *n* denotes the number of atoms that have been added to (positive value) or taken from (negative value) an external reservoir. $E_{\rm f}$ ranges from the valence band maximum (VBM) $(E_{\rm f} = 0 \text{ eV})$ to the calculated conduction band minimum (CBM) $(E_{\rm f} = 2.51 \text{ eV}). \varepsilon_{\rm VBM}^{\rm H}$ is the VBM eigenvalue of the host bulk cell and $E_{\text{align}}[q]$ is a correction term which aligns the VBM of the bulk and defective cells and also corrects finite-size effects in calculations of charged defects. $E_{\text{align}}[q]$ is determined with the SXDEFECTALIGN code.60 Tests comparing the correction scheme we have employed with similar correction schemes have demonstrated its excellent performance in the calculation of charged defects in finite-size supercells.⁶¹ Furthermore, the SXDEFECT align code has been successfully applied to the description of charged defects in numerous systems.62-66

The chemical potentials, μ_i , represent specific equilibrium growth conditions, under the global constraint of the calculated enthalpy of formation of the host, *i.e.* CeO₂. Our calculated

Paper

formation energy for ceria is $\Delta H_{\rm f}({\rm CeO}_2) = \mu_{\rm Ce} + 2\mu_{\rm O} = -9.67$ eV. The upper limit for $\mu_{\rm O}$ represents the Ce-poor/O-rich environment and is determined by the formation of gaseous oxygen: $\mu_{\rm Ce} = -9.67$ eV, $\mu_{\rm O} = 0$ eV. The lower limit of $\mu_{\rm O}$ (Ce-rich/O-poor environment) is determined by the formation of Ce₂O₃: $\Delta H_{\rm f}({\rm Ce}_2{\rm O}_3) = -17.70$ eV, and hence we obtain $\mu_{\rm Ce} = -6.39$ eV, $\mu_{\rm O} = -1.64$ eV. For the calculation of doped CeO₂ we calculated the chemical potentials for the dopant cations using a method similar to the one described by Varley *et al.*,⁶⁷ where the boundary of the chemical potentials are set as the formation enthalpy of $M_2{\rm O}_3$: $\Delta H_{\rm M_2O_3} = 2\mu_{\rm M} + 3\mu_{\rm O}$ where M = Al, Ga, Sc, In, Tl, Y and La.

The thermodynamic transition/ionization levels of a defect, $\varepsilon_D(q/q')$, correspond to the Fermi-level energy at which the q and q' charge states of a defect are equal in energy:

$$r_D(q/q') = \frac{\Delta H^{\rm f}(D,q) - \Delta H^{\rm f}(D,q')}{q'-q}$$
 (2)

3 Results and discussion

ε

3.1 Intrinsic defects

The formation of point defects in a lattice can be compensated by ionic or electronic defects.⁶⁸ The intrinsic defects considered in this study include the positively charged $V_{\rm O}$ and Ce_i, which are electron compensated, as well as the negatively charged oxygen interstitial (O_i) and cerium vacancy ($V_{\rm Ce}$) centres, which are hole compensated, as well as both Schottky and anion Frenkel defects. The energy of the excess electrons and holes are determined by the electron chemical potential (Fermi level).

Fig. 1 shows a plot of formation energy for all point defects under O-poor and O-rich conditions. Under O-poor growth conditions, it is clear that the dominant defect will be the $V_{\rm O}$, which will not be compensated over the entire range of the band gap. $V_{\rm O}$ is a negative-U type defect, *i.e.* it exists only in the +2 and neutral charge states, consistent with the behaviour of $V_{\rm O}$ in a range of other wide band gap oxides.⁶⁹⁻⁷⁵ The +2/0 ionization level is ~0.9 eV below the conduction band minimum, meaning that $V_{\rm O}$ is a *deep* donor, which is mediated by the localized Ce^{III} states present in the band gap.⁵⁴ Thus, under O-poor growth



Fig. 1 Formation energies for intrinsic defects under O-poor conditions (left panel) and O-rich (right panel) conditions. 'The coloured regions at the bottom indicate which defect is energetically preferred.

In an O-rich growth environment, $V_{\rm O}$ is the most stable defect up to 1.03 eV below the CBM, whereafter the interstitial peroxide (dumbell O_i, similar to that formed in many wide band gap oxides^{48,66,76-82}), followed by the $V_{\rm Ce}$ in the –4 charge state, start to dominate. Although at higher $E_{\rm F}$ the electrons formed upon $V_{\rm O}$ formation would be compensated, it is highly unlikely that the $E_{\rm F}$ could ever be raised high enough, due to the polaronic nature of reduced Ce,⁵⁴ which means that the Fermi level will be trapped near the Ce^{III} states in the band gap. Therefore, the much higher formation energy of $V_{\rm O}$ in this growth regime is the explanation for the lower $D_{\rm it}$ from samples grown in an O-rich growth environment.²⁹ There will be, however, a considerable amount of $V_{\rm O}$ present in the system under O-rich conditions,⁴⁸ which needs to be significantly reduced for optimum performance.

3.2 Trivalent dopants

At this juncture, it is instructive to rationalize what research in the field of catalysis has learned about the behaviour of dopants in CeO₂. For instance, both divalent and trivalent dopants will form charge compensating vacancy (CCV) to counteract the charge imbalance, and will also experience lattice relaxations which forms weakly bound or undercoordinated lattice oxygen, lowering the $V_{\rm O}$ formation energy,^{83–86} while pentavalent dopants donate one electron to the Ce lattice, creating new electronic states.⁸⁷ Trivalent dopants are regularly used to create oxygen vacancies in CeO₂ for SOFC applications, where the $V_{\rm O}$ act as diffusion pathways, but they are not noted for increasing the reducibility of CeO₂ and may even reduce it.^{88,89}

A trivalent dopant can enter the CeO₂ lattice as either a substitutional defect (M_{Ce}) or as an interstitial, M_i . Previous theoretical studies^{48,90} and many years of experimental characterization of trivalently doped CeO₂ for SOFC applications have demonstrated that cations interstitials are highly unlikely to be present in CeO₂, and so we have considered only substitutional defects in our calculations. We calculated a range of 3+ dopants (Sc, Y, La, Al, Ga, In, Tl), testing both ionic compensation ([$M_{Ce}-V_O-M_{Ce}$] formation) and electronic compensation by hole formation ([$M_{Ce}-O_O^-$]).

From an extensive search of configurations of the $[M_{Ce}-V_O-M_{Ce}]$ complexes, we found that the lowest energy structure depends on the ionic radius of the dopant ions. The ionic radii of Al^{III} and Ga^{III} are much smaller than that of Ce^{IV}, 1.11 Å, resulting in the configuration seen in Fig. 2(a), with the CCV nearest-neighbour to one of the dopants. As the ionic radius of the dopant increases, but remains smaller than Ce^{IV}, the most stable configuration has a CCV nearest neighbour to both the dopant ions, as seen in Fig. 2(b). Finally for La^{III}, which has a larger ionic radius than Ce^{IV}, the CCV is now next-nearest neighbour to the two dopants (Fig. 2(c)). From the range of dopants considered, La was found to be the most soluble acceptor defect, with Y the next most soluble with the energies for the complex shown in Fig. 3 (dashed lines).

The formation energies for $[M_{Ce} - O_O^{\bullet}]$ defects are also shown in Fig. 3 (solid lines). Once again, La and Y are the most soluble dopants. All M_{Ce} dopants formed localized oxygen holes (polarons) neighbouring the dopant, and thus the corresponding 0/-1 transition levels are deep in the band gap. The correct modeling of this requires the DFT self-interaction error be canceled and hence this is why we apply +U = 5.5 eV to the O 2p states. This behaviour is to be expected for a material with an O



Fig. 3 Formation energies for trivalent dopants in CeO₂ under O-poor conditions (left panel) and O-rich (right panel) conditions. The full lines indicate the M_{Ce} defects, with the dashed lines indicating the $[M_{Ce}-V_O-M_{Ce}]$ formation energies. The coloured regions at the bottom indicate which defect is energetically preferred.



Fig. 2 The converged structures $[M_{Ce}-V_O-M_{Ce}]$ defect clusters in CeO₂ with the charge compensating vacancy (a) nearest neighbor to one dopant (Al, Ga), (b) nearest neighbor to both dopants (Sc, Tl, Y, In) and (c) next nearest neighbor to both dopants (La). Ce ions are represented by the white spheres, O ions by the red spheres and the dopant ions by the blue spheres. The position of the charge compensating vacancy (CCV) is represented by the yellow sphere.

Paper

2p dominated VB^{91,92} and has been observed in other oxide materials.^{93,94} The La¹⁻_{Ce} and Y¹⁻_{Ce} charge states cross the V_O^{2+} charge state near the middle of the band gap, indicating that La and Y doping can compensate the electrons from V_O formation, pinning E_F in the band gap.

Although in all cases the formation energy of M_{Ce} was lower than the formation energy of the $[M_{Ce}-V_O-M_{Ce}]$, this comparison is slightly misleading, as there are different numbers of M in each defect. To determine whether ionic (CCV) or electronic (oxygen hole) compensation of the dopants is preferable, we have calculated the relative stability of $[M_{Ce}-V_O-M_{Ce}]$ and $[M_{Ce}-O_O^{\bullet}]$ from the equation: $2\Delta H_f[M_{Ce}-O_O^{\bullet}] \xrightarrow{\Delta E} \Delta H_f[M_{Ce}-V_O-M_{Ce}] + \frac{1}{2}E(O_2)$. The results of these calculations, shown in Table 1, are all negative which indicates that upon the introduction of trivalent dopants in CeO₂, the formation of the CCV is spontaneous and hence ionic compensation is preferable to electronic compensation.

To determine how strongly bound the dopant cations and CCV are, we have calculated the binding energy of these complexes, using: $E_{\rm b} = \Delta H_{\rm f}(V_{\rm O}^{2+}) + 2\Delta H_{\rm f}({\rm M}_{\rm Ce}^{1-}) - \Delta H_{\rm f}[{\rm M}_{\rm Ce}-V_{\rm O}-{\rm M}_{\rm Ce}]$. If the value of $E_{\rm b}$ is positive, then the dopant will preferentially form the [M_{Ce}-V_O-M_{Ce}] clusters instead of isolated $V_{\rm O}$ and M_{Ce} defects, with the results of this analysis shown in Table 2. The binding energy is positive in all cases, hence the thermodynamic driving force is for [M_{Ce}-V_O-M_{Ce}] formation.

Under O-rich growth conditions, the energy to dope CeO₂ with La or Y is lower than the formation energy of the $V_{\rm O}$, indicating that both dopants will act as an effective electron killer, therefore reducing the D_{it} which will be very beneficial for high- κ dielectric applications. Interestingly, as the ionic radii of La^{III} (1.16 Å) and Y^{III} (1.02 Å) are larger than that of Ce^{IV} (0.97 Å), the incorporation of La and Y could increase the lattice constant of CeO₂. To check this effect, we have carried out a series of constant volume optimizations of a 2 \times 2 \times 2 supercell, containing a $[M_{Ce}-V_O-M_{Ce}]$ cluster (Ce₃₀M₂O₆₃). The resulting energy-volume data was fitted to the Murnaghan equation of state to obtain the new equilibrium lattice volume for the doped supercells. It was found that the lattice constant for La doped CeO_2 is increased by 0.285%, whereas in Y doped CeO_2 the lattice constant actually decreased by 0.08%. This is because the expansion associated with the dopant cations is counteracted by

Table 1 The stability of $[M_{Ce} - V_O - M_{Ce}]$ defect clusters compared to $[M_{Ce} - O_O^\bullet]$. All values are given in eV

Dopant	Al	Ga	In	Tl	Sc	Y	La
$\Delta E \text{ (O-poor)} \\ \Delta E \text{ (O-rich)}$	$-4.86 \\ -6.51$	$-3.87 \\ -5.51$	$-2.87 \\ -4.51$	$-2.81 \\ -4.46$	$-2.77 \\ -4.41$	$-2.57 \\ -4.21$	$-2.46 \\ -4.10$

Table 2 The binding energies for $[M_{Ce} – V_O – M_{Ce}]$ defect clusters. All values are given in eV

Dopant	Al	Ga	In	Tl	Sc	Y	La
Eb	3.58	2.29	1.33	1.23	1.00	0.48	0.59

a contraction due to the CCV. Marrocchelli *et al.* determined that a trivalent dopant must have an ionic radius greater than 1.03 Å to cause overall expansion of the CeO₂ lattice.⁹⁵ Therefore La doping will decrease the lattice mismatch between CeO₂ (5.41 Å)⁹⁶ and Si (5.43 Å)⁹⁷ even further while Y doping would increase it making La the most effective dopant for MOSFET applications out of those studied in this report.

4 Conclusions

In summary, we have studied a range of trivalent dopants in CeO_2 as a means to lower the inherent density of electrons in the system, caused by V_O formation. Our calculations predict that La and Y are the best *electron killer* defects, being the most soluble trivalent dopants in CeO_2 , compensating electrons ionically through $[M_{Ce}-V_O-M_{Ce}]$ formation. The incorporation of La increases the lattice constant of CeO_2 , lowering the already small lattice mismatch between CeO_2 and Si. Growth of Ladoped CeO_2 under Ce-poor/O-rich conditions is expected to be optimal for production of highly resistive CeO_2 . These results open up the possibility of La-doped CeO_2 as a replacement for SiO₂ in high- κ dielectric applications.

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