






Article

# Ab Initio Computations of O and AO as well as ReO<sub>2</sub>, WO<sub>2</sub> and BO<sub>2</sub>-Terminated ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) Surfaces

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**Abstract:** We present and discuss the results of surface relaxation and rumpling computations for ReO<sub>3</sub>, WO<sub>3</sub>, SrTiO<sub>3</sub>, BaTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surfaces employing a hybrid B3LYP or B3PW description of exchange and correlation. In particular, we perform the first B3LYP computations for O-terminated ReO<sub>3</sub> and WO<sub>3</sub> (001) surfaces. In most cases, according to our B3LYP or B3PW computations for both surface terminations BO<sub>2</sub>- and O, AO-terminated ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surface upper layer atoms shift downwards, towards the bulk, the second layer atoms shift upwards and the third layer atoms, again, shift downwards. Our ab initio computes that ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surface  $\Gamma$ - $\Gamma$  bandgaps are always smaller than their respective bulk  $\Gamma$ - $\Gamma$  bandgaps. Our first principles compute that B-O atom chemical bond populations in the BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> perovskite bulk are always smaller than near their BO<sub>2</sub>-terminated (001) surfaces. Just opposite, the Re-O and W-O chemical bond populations in the ReO<sub>3</sub> (0.212*e*) and WO<sub>3</sub> (0.142*e*) bulk are slightly larger than near the ReO<sub>2</sub> and WO<sub>2</sub>-terminated ReO<sub>3</sub> as well as WO<sub>3</sub> (001) surfaces (0.170*e* and 0.108*e*, respectively).

**Keywords:** ab initio methods; (001) surfaces; ReO<sub>3</sub>; WO<sub>3</sub>; BaTiO<sub>3</sub>; SrTiO<sub>3</sub>; BaZrO<sub>3</sub>



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## 1. Introduction

Advanced (001) surfaces and interfaces in the ReO<sub>3</sub>, WO<sub>3</sub> complex oxides as well as BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> perovskites are of paramount importance due to the numerous technological applications and great potential for fundamental research caused by their phase transitions [1–10]. Over the course of the last 25 years, the (001) surfaces of ReO<sub>3</sub> and WO<sub>3</sub>, as well as BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> perovskites, have been broadly explored worldwide both from the theory and experimental sides [11–26]. All our ab initio computed BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> complex oxides belong to the commonly named ABO<sub>3</sub> perovskites. In our case, A is equal to Ba or Sr, whereas B denotes the Ti or Zr atoms [27]. Our computed materials ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> have a huge number of applications in new and emerging technologies. For example, the novel trioxo-rhenium complex [ReO<sub>3</sub>(phen)(H<sub>2</sub>PO<sub>4</sub>)]·H<sub>2</sub>O has important antibacterial properties [28]. Tungsten oxide nanodots (WO<sub>3-x</sub>) exhibit remarkable antibacterial capabilities [29]. Tungsten oxide and graphene oxide (WO<sub>3</sub>-GO) nanocomposite is an excellent antibacterial as well as an anticancer agent [30]. BaTiO<sub>3</sub> may be used as an electrical insulator and a piezoelectric substance in different kinds of microphones as well as other transducers [31]. SrTiO<sub>3</sub> is an outstanding photocatalyst for the extremely important water splitting process [32,33]. BaZrO<sub>3</sub>-based ceramic substances are widely used in protonic fuel cell applications [34–38] as well as in hydrogen separation membranes [39,40].

Along with its great technological potential [31,41], BaTiO<sub>3</sub> is also a marvellous material for fundamental research since it exhibits several phase transitions [42]. Namely, BaTiO<sub>3</sub> exists as one of four polymorphs [43,44] as a function of temperature. As the temperature lowers from high temperature to low temperature [43,44], the crystal symmetries of these four BaTiO<sub>3</sub> polymorphs are the cubic BaTiO<sub>3</sub> phase, tetragonal BaTiO<sub>3</sub> phase, orthorhombic BaTiO<sub>3</sub> phase and, finally, the rhombohedral BaTiO<sub>3</sub> phase [43,44]. Three of these four BaTiO<sub>3</sub> phases, tetragonal, orthorhombic and rhombohedral [43,44], display the ferroelectric effect [43,44]. It is worth noting that recently, the ab initio computations of the temperature effects on the structural, energetic, electronic as well as vibrational properties of four BaTiO<sub>3</sub> polymorphs by means of the quasi-harmonic approximations were carried out by Oliveira et al. [45]. The ab initio study of the stability between these four BaTiO<sub>3</sub> phases, performed by Oliveira et al. [45], breaks out into several contributions arising from the vibration of the lattice, electronic structure as well as volume expansion/contraction. This novel study by Oliveira et al. [45] was helpful in order to confirm the sequence of the BaTiO<sub>3</sub> phase transitions as cubic → tetragonal → orthorhombic → rhombohedral [45] and also its transition temperatures. In contrast to BaTiO<sub>3</sub>, the SrTiO<sub>3</sub> and BaTiO<sub>3</sub> perovskites are so-called incipient ferroelectrics, and they exist only in their high symmetry cubic structure [46,47].

In our ab initio computations, we employed the standard cubic unit cells of BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> crystals containing five atoms [46,47]. The A-type ABO<sub>3</sub> perovskite atom in the cubic structure was positioned at the corner of the cube position. The ABO<sub>3</sub> perovskite A atom had the following fractional coordinates (0, 0, 0). The B-type ABO<sub>3</sub> perovskite atom in the cubic structure was positioned at the cube body center position. The B atom had the following fractional coordinates (1/2, 1/2, 1/2). Lastly, at the ABO<sub>3</sub> perovskite, cubic phase face center positions were filled with three cubic ABO<sub>3</sub> perovskite O atoms. The three ABO<sub>3</sub> perovskite O atoms had the following fractional coordinates (1/2, 1/2, 0), (1/2, 0, 1/2) and (0, 1/2, 1/2) [48–51]. All three of our ab initio computed cubic ABO<sub>3</sub> perovskites (BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub>) had the  $Pm\bar{3}m$  space group with the space group number 221. Additionally, the ReO<sub>3</sub> and WO<sub>3</sub> crystals at their cubic symmetry structure had exactly the same space group  $Pm\bar{3}m$  with the same space group number 221. The only paramount difference between the BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> ABO<sub>3</sub> perovskites as well as ReO<sub>3</sub> and WO<sub>3</sub> crystals, which had exactly the same cubic symmetry structure, the same space group  $Pm\bar{3}m$  and even the same space group number 221, was missing an A-type atom in the ReO<sub>3</sub> and WO<sub>3</sub> materials.

To the best of our knowledge, only a few ab initio computations up to now exist in the world of science, dealing with the ReO<sub>2</sub> or WO<sub>2</sub>-terminated polar ReO<sub>3</sub> and WO<sub>3</sub> (001) surfaces [52–54]. It is worth noting that up to now there have been no ab initio computations performed in the world dealing with O-terminated polar ReO<sub>3</sub> or WO<sub>3</sub> (001) surfaces. For our ab initio computations, relevant experimental data [46,55–65] dealing with ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and PbTiO<sub>3</sub> bulk crystals are collected in Table 1.

**Table 1.** Experimental details for ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> crystals relevant to our ab initio computations. The experimental data include the crystal structure at room temperature (RT), bandgap values at RT, transition temperatures to cubic phase, as well as experimental lattice constants at cubic phase.

Crystal	Symmetry in RT	BandGap ( $\Gamma$ - $\Gamma$ ) (eV) in RT	Trans. T (K) to Cubic Phase	Exp. Latt. Con. ( $\text{\AA}$ ), Cubic Ph.
ReO <sub>3</sub>	Cubic [55]	Unknown	Cubic from liquid helium T till 673 K	3.747 $\text{\AA}$ [61]
WO <sub>3</sub>	Monoclinic [56]	3.74 eV [57]	Unknown	3.71–3.75 $\text{\AA}$ [62]
BaTiO <sub>3</sub>	Tetragonal $\leftrightarrow$ orthorhombic (278 K)	3.38 eV ( $\parallel c$ ); 3.27 eV ( $\perp c$ ) [58]	403 K [45]	4.004 $\text{\AA}$ —474 K [63]
SrTiO <sub>3</sub>	Cubic	3.75 eV [59]	110 K [45]	3.898 $\text{\AA}$ —110 K [64]
BaZrO <sub>3</sub>	Cubic	5.3 eV [60]	Cubic, all T	4.199 $\text{\AA}$ RT [65]

The perfect cubic structure for the ReO<sub>3</sub> conducting oxide [55] is stable at all temperature ranges starting from room temperature. The crystal structure of tungsten trioxide (WO<sub>3</sub>) [56] depends on the temperature. WO<sub>3</sub> has tetragonal symmetry if the temperature is above 740 °C. WO<sub>3</sub> is orthorhombic [56] at the temperature range from 330 °C to 740 °C. WO<sub>3</sub> is monoclinic [56] at the temperature range from 17 °C to 330 °C. Finally, WO<sub>3</sub> is triclinic [56] at the temperature range from  $-50$  °C to 17 °C. It is worth noting that the most common structure for WO<sub>3</sub> is monoclinic. The space group for the WO<sub>3</sub> monoclinic structure is  $P2_1/n$ . The experimentally measured WO<sub>3</sub> ( $\Gamma$ - $\Gamma$ ) bandgap is equal to 3.74 eV [57]. In the BaTiO<sub>3</sub> perovskite matrix, according to the experimental measurements performed by Wemple, the room temperature (RT) bandgaps are equal to 3.38 eV and 3.27 eV [58] for the light polarized parallel and perpendicular to the ferroelectric axis  $c$ . The experimental SrTiO<sub>3</sub>  $\Gamma$ - $\Gamma$  bandgap, according to measurements by Benthem et al. [59], is equal to 3.75 eV (Table 1). Finally, the experimental BaZrO<sub>3</sub>  $\Gamma$ - $\Gamma$  bandgap, according to experiments performed by Robertson, is equal to 5.3 eV [60] (Table 1). ReO<sub>3</sub> is cubic at all temperatures, starting from liquid helium temperature to 673 K. The experimentally measured ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> bulk lattice constants in cubic crystal structures are listed by us in Table 1. The objective of our contribution was to carry out the first ab initio computations for polar O-terminated ReO<sub>3</sub> and WO<sub>3</sub> (001) surfaces. We compared our ab initio computation results for polar ReO<sub>3</sub> and WO<sub>3</sub> as well as neutral BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> perovskite (001) surfaces and pointed out systematic tendencies in our performed computations in a way that is comfortably approachable for a broad audience of readers worldwide.

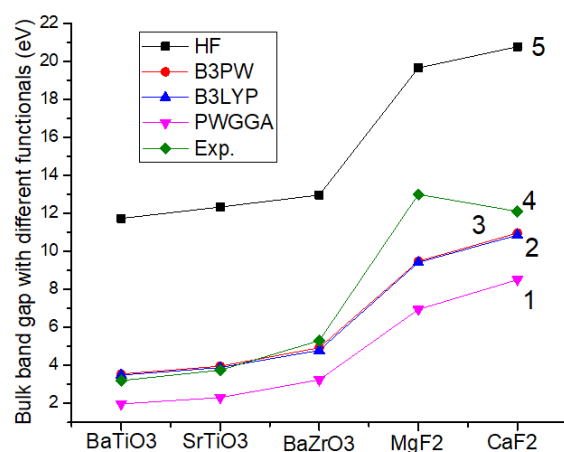
## 2. Computation Methods and Materials

We performed our forefront ab initio computations for the ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> bulk and their (001) surfaces by means of the hybrid B3PW [66,67] or B3LYP [68] exchange-correlation functionals. Both these B3PW [66,67] as well as B3LYP [68] hybrid exchange-correlation functionals are implemented into the very famous, world-class computational package CRYSTAL [69], developed by Torino University, Italy. The computational package CRYSTAL [69] utilizes 2-D isolated slab representation for the (001) surface structure first principles computations. We performed the reciprocal space integration in our first principles computations for ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> matrixes. Namely, we integrated the Brillouin zone employing the  $8 \times 8 \times 8$  times expanded Pack–Monkhorst [70] net for the bulk ab initio computations as well as  $8 \times 8 \times 1$  times enlargement for the (001) surface ab initio computations of these materials. In order to achieve the high accuracy of our computations, sufficiently large tolerances of 7, 8, 7, 7 and 14 were used by us for the Coulomb overlap, Coulomb penetration, exchange overlap, the first exchange pseudo-overlap as well as for the second exchange pseudo-overlap, respectively. With

the goal of detecting the performance of various non-identical methods, we computed the bulk  $\Gamma$ - $\Gamma$  bandgaps for  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  matrixes (Table 2 and Figure 1) and compared our ab initio computation results with the available experimental data [14,59,60,71–76].

**Table 2.**  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$ ,  $\text{BaZrO}_3$ ,  $\text{MgF}_2$  as well as  $\text{CaF}_2$  ( $\Gamma$ - $\Gamma$ ) bulk bandgaps (in eV) ab initio computed by means of various methods [14,71–74]. Available experimental data for bulk ( $\Gamma$ - $\Gamma$ ) bandgaps (in eV) are listed for comparison purpose [59,60,72,75,76].

Approach	$\text{BaTiO}_3$	$\text{SrTiO}_3$	$\text{BaZrO}_3$	$\text{MgF}_2$	$\text{CaF}_2$
HF	11.73	12.33	12.96	19.65	20.77
B3PW	3.55	3.96	4.93	9.48	10.96
B3LYP	3.49	3.89	4.79	9.42	10.85
PWGGA	1.97	2.31	3.24	6.94	8.51
Experiment	3.2 [72]	3.75 [59]	5.3 [60]	13.0 [76]	12.1 [75]

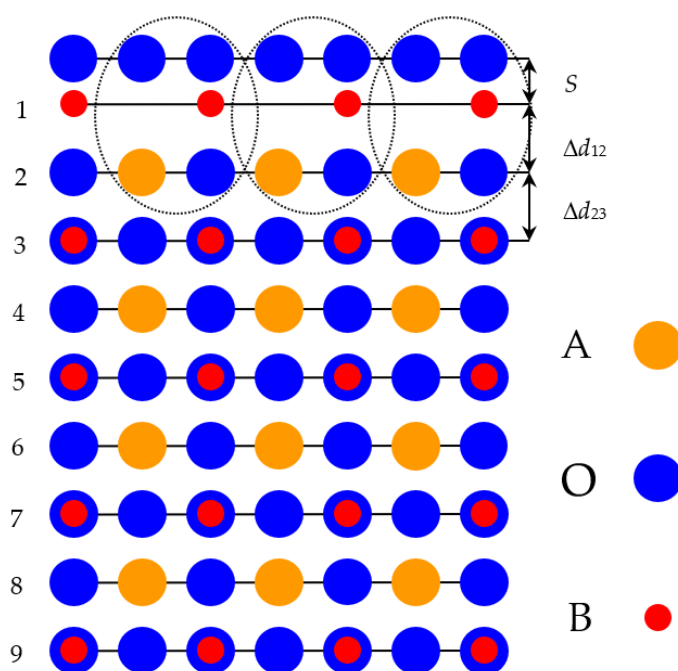


**Figure 1.** Ab initio computed and experimentally studied bulk  $\Gamma$ - $\Gamma$  bandgaps (in eV) for  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$ ,  $\text{BaZrO}_3$ ,  $\text{MgF}_2$  and  $\text{CaF}_2$  crystals obtained by means of different methods: (1) PWGGA; (2) B3LYP; (3) B3PW; (4) Experiment; (5) HF.

As it is possible to see from Table 2 and Figure 1, the Hartree–Fock (HF) [77,78] method always, for all computed materials, significantly overestimates the  $\Gamma$ - $\Gamma$  bandgap. For example, our ab initio computed  $\text{BaTiO}_3$  ( $\Gamma$ - $\Gamma$ ) bulk bandgap is overestimated by 3.67 times with respect to the experimental  $\text{BaTiO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgap values (Table 2). Additionally, our ab initio computed  $\text{SrTiO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgap is overestimated by 3.29 times regarding the experimental  $\text{SrTiO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgap value (Table 2). In our density functional theory (DFT) computations, we used the local density approximation (LDA) with the Dirac–Slater exchange [79] as well as the Vosko–Wilk–Nusair correlation [80] energy functionals and a set of GGA exchange and correlation functionals as suggested by Perdew and Wang (PWGGA) [66,67]. On another side, the ab initio computed  $\Gamma$ - $\Gamma$  bulk bandgaps for all five materials using the PWGGA are always considerably underestimated with respect to the experimental bulk  $\Gamma$ - $\Gamma$  bandgap values (Table 2 and Figure 1). For example, our ab initio PWGGA computed  $\text{MgF}_2$  bulk  $\Gamma$ - $\Gamma$  bandgap value (6.94 eV) is 1.97 times underestimated with respect to the experimental  $\text{MgF}_2$   $\Gamma$ - $\Gamma$  bulk bandgap value equal to (13.0 eV) [76] (Figure 1 and Table 2). As we can see from Table 2 and Figure 1, the hybrid exchange–correlation functionals B3PW and B3LYP always allow us to achieve the best possible agreement between the ab initio computed as well as experimental bulk  $\Gamma$ - $\Gamma$  bandgaps for all five of our first principles computed materials  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$ ,  $\text{BaZrO}_3$ ,  $\text{MgF}_2$  as well as  $\text{CaF}_2$ . The main reason for such a good agreement is that the hybrid B3LYP and B3PW functionals include a portion of exact exchange energy density from the HF theory (20%),

while the rest of the exchange-correlation part is a mixture of various approaches (both exchange and correlation). This is the key reason why we performed all our future bulk as well as (001) surface ab initio computations by means of the B3PW or B3LYP hybrid exchange-correlation functionals (Table 2 and Figure 1).

With an aim to ab initio compute the  $\text{TiO}_2$ -terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{ZrO}_2$ -terminated  $\text{BaZrO}_3$  (001) surfaces, we selected nine-layer, mirror-symmetrical (001) slabs. They consisted of neutral and alternating  $\text{TiO}_2(\text{ZrO}_2)$  or AO layers (Figure 2). These slabs were positioned perpendicular to the axis  $z$ . Our generated nine-layer slab, used by us in  $\text{ABO}_3$  perovskite (001) surface ab initio computations, was terminated from both sides by the  $\text{TiO}_2$ -terminated planes for  $\text{BaTiO}_3$  and  $\text{SrTiO}_3$  perovskites as well as by  $\text{ZrO}_2$ -terminated planes for  $\text{BaZrO}_3$  perovskite (Figure 2). Accordingly, our in ab initio computations employed the (001) surface model for the  $\text{BO}_2$ -terminated  $\text{ABO}_3$  perovskites and the nine-layer slab consisted of a 23-atom supercell. Our ab initio computed  $\text{ABO}_3$  perovskite  $\text{BO}_2$ -terminated (001) slab was non-stoichiometric (Figure 2), and it had the following chemical equation  $\text{A}_4\text{B}_5\text{O}_{14}$ . With the objective to directly compare the properties of three perovskites ( $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$ ) as well as  $\text{ReO}_3$  and  $\text{WO}_3$  materials under the same conditions and, as much as possible, to reduce the computational time, we only investigated the high symmetry ( $Pm\bar{3}m$ ) cubic phases of these five materials. In our surface structure B3LYP and B3PW first principles computations, we allowed the atoms of the upper two or three surface layers to only relax along the  $z$ -axis since the (001) surfaces of the perfect cubic crystals, due to symmetry restrictions, do not have any forces acting along the other  $x$ - or  $y$ -axes. We optimized the (001) surface atom atomic coordinated through the slab total energy minimization. For this purpose, we employed our own computer code, which implements [81] conjugated gradients optimization technique with numerical computation of derivatives [81].

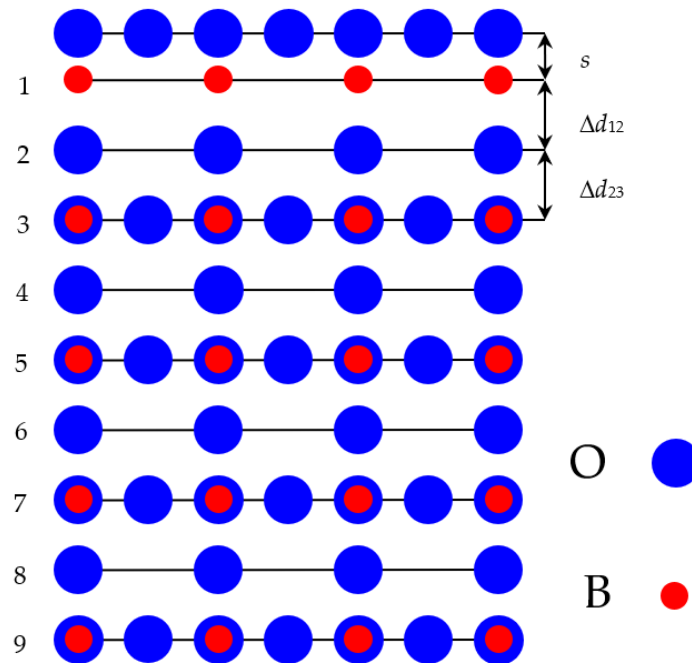


**Figure 2.** Side view of the  $\text{BO}_2$ -terminated  $\text{ABO}_3$  perovskite (001) surface slab containing 9 layers as well as the definitions of the surface rumpling  $s$  and the near-surface interplane distances  $\Delta d_{ij}$ .

Just opposite to our ab initio computed neutral  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces, which are built up from the neutral  $\text{BO}_2$  or AO layers (Figure 2), the  $\text{WO}_2$  or  $\text{ReO}_2$ -terminated polar  $\text{WO}_3$  or  $\text{ReO}_3$  (001) surfaces were formed from charged (Figure 3)  $\text{WO}_2$  ( $\text{ReO}_2$ ) or O layers. This is much more demanding to compute at the ab initio level for the polar  $\text{WO}_2$  or  $\text{ReO}_2$ -terminated  $\text{WO}_3$  or  $\text{ReO}_3$  (001) surfaces (Figure 3) than the neutral (Figure 2)  $\text{ABO}_3$  perovskite  $\text{BO}_2$ -terminated (001) surfaces [8,52,82–84]. For example, in our



ab initio computations, the  $\text{ReO}_2$ -terminated polar  $\text{ReO}_3$  (001) surface consisted of nine alternating  $\text{ReO}_2$  or O layers (Figure 3). This means that this  $\text{ReO}_2$ -terminated  $\text{ReO}_3$  polar (001) surface contained 19 atoms and had the chemical equation  $\text{Re}_5\text{O}_{14}$ .



**Figure 3.** Side view of the  $\text{BO}_2$ -terminated  $\text{ReO}_3$  or  $\text{WO}_3$  (001) surface slab containing 9 layers as well as the definitions of the surface rumpling  $s$  and the near-surface interplane distances  $\Delta d_{ij}$ .

In our ab initio computations, we employed the neutral atomic basis sets for all three atoms entering the  $\text{WO}_3$  and  $\text{ReO}_3$  crystals. Namely, we used the neutral W atom basis set from the reference [85] for the W atom. Additionally, for the Re atom, we used the neutral atom basis set from the reference [69]. Finally, for the O atom, again, we used the neutral O atom basis set, developed by Piskunov et al., from reference [71]. Using the neutral atomic basis sets for all three Re, W and O atoms, we determined in our ab initio computations that both  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  and  $\text{WO}_3$  (001) surfaces have a total charge of our employed nine-layer slab equal to zero. In our ab initio computations, we utilized the well-known classical Mulliken population analysis for the description of the  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  effective atomic charges  $q$  and also their chemical bond populations  $P$  [86–89].

For our ab initio computations of AO-terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) neutral surfaces, we used, from both sides, AO-terminated mirror-symmetrical slabs containing nine alternating AO and  $\text{BO}_2$  layers (Figure 4). These AO-terminated  $\text{ABO}_3$  perovskite (001) nine-layer slabs consisted of a supercell containing 22 atoms (Figure 4). They were non-stoichiometric, and they had the following unit cell equation  $\text{A}_5\text{B}_4\text{O}_{13}$  (Figure 4). The only striking difference between the AO-terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) slabs (Figure 4) and O-terminated  $\text{ReO}_3$  and  $\text{WO}_3$  slabs was the missing O atom in the  $\text{ReO}_3$  and  $\text{WO}_3$  (001) slabs (Figure 5). Thereby, the O-terminated  $\text{ReO}_3$  and  $\text{WO}_3$  nine-layer (001) slabs consisted of alternating O- $\text{BO}_2$ -O- $\text{BO}_2$ -O- $\text{BO}_2$ -O- $\text{BO}_2$ -O layers (Figure 5). They contained 17 atoms and had the following unit cell equation  $\text{B}_4\text{O}_{13}$  (Figure 5).

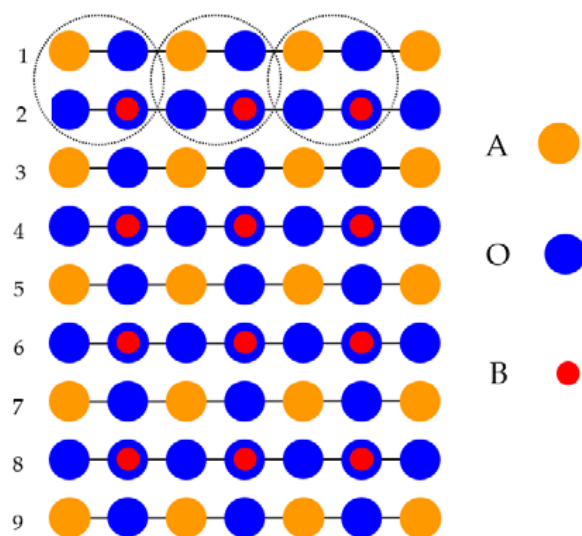


Figure 4. Side view of the AO-terminated  $ABO_3$  perovskite 9 layers containing (001) surface.

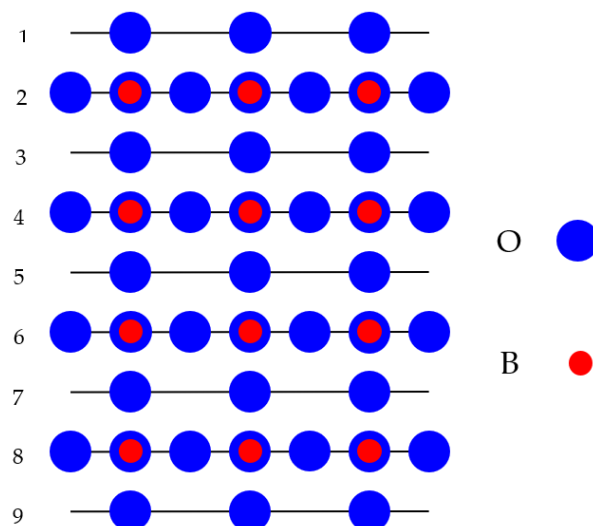


Figure 5. Side view of the O-terminated  $ReO_3$  and  $WO_3$  (001) surface containing nine-layer slabs.

### 3. Ab Initio Computation Results for $ReO_3$ , $WO_3$ , $BaTiO_3$ , $SrTiO_3$ and $BaZrO_3$ Bulk Properties

As an opening of our first principles computations, by means of the B3LYP or B3PW hybrid exchange-correlation functionals, we computed the  $ReO_3$ ,  $WO_3$ ,  $BaTiO_3$ ,  $SrTiO_3$  and  $BaZrO_3$  bulk lattice constants [52–54,90–93]. It is worth noting that we performed all our ab initio computations by B3LYP hybrid exchange-correlation functional B3LYP for  $ReO_3$  and  $WO_3$  matrixes as well as by B3PW hybrid exchange-correlation functional for  $BaTiO_3$ ,  $SrTiO_3$  and  $BaZrO_3$  perovskites. Our ab initio computed bulk lattice constants for  $ReO_3$  (3.758 Å),  $WO_3$  (3.775 Å),  $BaTiO_3$  (4.008 Å),  $SrTiO_3$  (3.904 Å) and  $BaZrO_3$  (4.234 Å) perovskites are in a fine agreement with the obtained experimental measurements (Table 1). For example, our ab initio B3LYP computed  $ReO_3$  bulk lattice constant (3.758 Å) is only overestimated by approximately 0.29% with respect to the experimental  $ReO_3$  bulk lattice constant equal to 3.747 Å (Table 1). Additionally, our ab initio B3PW computed  $BaTiO_3$  bulk lattice constant (4.008 Å) is almost in a perfect agreement with the experimentally measured  $BaTiO_3$  bulk lattice constant (4.004 Å) (Table 1).

As we can see from Table 3, our ab initio computed atomic charges for all atoms are considerably smaller than the generally accepted classical ionic charges in  $ABO_3$  perovskites for Ba or Sr atoms (+2e), for Ti or Zr atoms (+4e), or for O atoms (−2e). Additionally, our

ab initio computed Re and W atom effective charges in  $\text{ReO}_3$  or  $\text{WO}_3$  materials ( $+2.382e$  or  $+3.095e$ , respectively) are considerably smaller than the Re or W classical ionic charges equal to ( $+6e$ ). It is worth noting that the absolute values of O atom charges in the  $\text{ABO}_3$  perovskites  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  ( $-1.388e$ ,  $-1.407e$ , and  $-1.316e$ , respectively) are always larger than the absolute values of O atom charges in the  $\text{ReO}_3$  or  $\text{WO}_3$  crystals ( $-0.794e$  or  $-1.032e$ , respectively). Just opposite, our ab initio computed chemical bond populations between the Re and O as well as W and O atoms in the  $\text{ReO}_3$  and  $\text{WO}_3$  materials (Table 3) ( $+0.212e$  and  $+0.142e$ , respectively) are always considerably larger than the respective B-O atom chemical bond populations in the  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskites ( $+0.098e$ ,  $+0.088e$  and  $+0.108e$ , respectively).

**Table 3.** Our ab initio B3LYP or B3PW computed  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  bulk crystal effective atomic charges  $Q$  (in  $e$ ) as well as bond populations  $P$  (in  $e$ ) between the atoms.

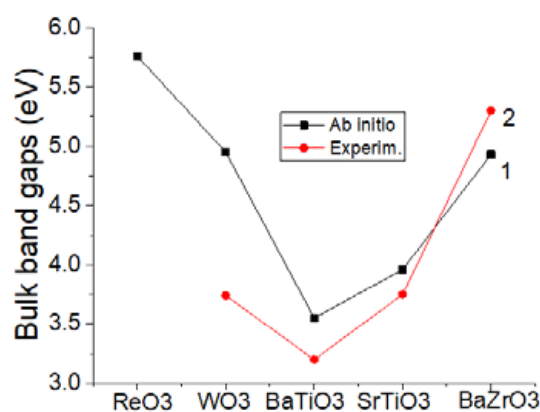
Crystal		$\text{ReO}_3$	$\text{WO}_3$	$\text{BaTiO}_3$	$\text{SrTiO}_3$	$\text{BaZrO}_3$
Atom	Property	B3LYP	B3LYP	B3PW	B3PW	B3PW
A	$Q$	-	-	+1.797	+1.871	+1.815
	$P$	-	-	-0.034	-0.010	-0.012
O	$Q$	-0.794	-1.032	-1.388	-1.407	-1.316
	$P$	+0.212	+0.142	+0.098	+0.088	+0.108
B	$Q$	+2.382	+3.095	+2.367	+2.351	+2.134

As a next step, by means of B3LYP or B3PW (Table 4 and Figure 6) hybrid exchange-correlation functionals, at the ab initio level, we computed the  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgaps. As we can see from Table 4 and Figure 6, our B3LYP computed  $\text{ReO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgap is equal to 5.76 eV. This is a theoretical prediction since, to the best of our knowledge, there is no experimental bandgap yet detected for the  $\text{ReO}_3$  matrix at  $\Gamma$ -point. Our computed  $\text{WO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgap (4.95 eV) by 1.21 eV exceeds the  $\text{WO}_3$  experimentally detected [56] bulk  $\Gamma$ - $\Gamma$  bandgap (Table 4). Determined by means of the B3PW hybrid exchange-correlation functional ab initio, our computed  $\text{BaTiO}_3$  (3.55 eV),  $\text{SrTiO}_3$  (3.96 eV) and  $\text{BaZrO}_3$  (4.93 eV) bulk  $\Gamma$ - $\Gamma$  bandgaps are in a fair agreement with the experimentally measured bulk  $\Gamma$ - $\Gamma$  bandgaps for  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskites (3.2 eV, 3.75 eV and 5.3 eV, respectively) (Table 4 and Figure 6).

**Table 4.** Our ab initio B3LYP or B3PW computed  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  bulk  $\Gamma$ - $\Gamma$  bandgaps (in eV). Experimentally measured  $\Gamma$ - $\Gamma$  bulk bandgaps (in eV) are listed for comparison purposes.

Material	Theoretical $\Gamma$ - $\Gamma$ Bulk Gap (eV)	Experimental $\Gamma$ - $\Gamma$ Bulk Gap (eV)
$\text{ReO}_3$	5.76 eV (B3LYP)	Unknown
$\text{WO}_3$	4.95 eV (B3LYP)	3.74 eV [57]
$\text{BaTiO}_3$	3.55 eV (B3PW)	3.2 eV [72]
$\text{SrTiO}_3$	3.96 eV (B3PW)	3.75 eV [59]
$\text{BaZrO}_3$	4.93 eV (B3PW)	5.3 eV [60]





**Figure 6.** Ab initio computed (1) as well as experimentally measured (2) bulk  $\Gamma$ - $\Gamma$  bandgaps (in eV) for  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$ .

#### 4. Ab Initio Computation Results for the $\text{BO}_2$ and O-Terminated $\text{ReO}_3$ , $\text{WO}_3$ , $\text{BaTiO}_3$ , $\text{SrTiO}_3$ and $\text{BaZrO}_3$ (001) Surfaces

As we can see from our ab initio computation results for  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  and  $\text{WO}_3$ , as well as  $\text{BO}_2$ -terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces, collected in Table 5, for all five our computed materials  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$ , the upper layer atoms relax inwards, in the direction towards the bulk (Table 5). The only exception from this systematic trend is the upward shift of the  $\text{WO}_2$ -terminated  $\text{WO}_3$  (001) surface upper layer O atom by 0.42% of  $a_0$  (Table 5). Just opposite, all second layer atoms relax upwards, with the single exception of the  $\text{ReO}_2$ -terminated  $\text{ReO}_3$  (001) surface second layer O atom, which relaxes inwards by 0.32% of the  $\text{ReO}_3$  cubic lattice constant  $a_0$  (Table 5). Again, all third layer  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  and  $\text{WO}_3$ , as well as  $\text{ZrO}_2$ -terminated  $\text{BaZrO}_3$  (001) surface atoms, relax inwards (Table 5). It is worth noting that for all our calculated  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  and  $\text{WO}_3$  as well as  $\text{BO}_2$ -terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskite (001) surfaces, in all three layers the metal atom displacement magnitudes are always larger than the O atom displacements (Table 5).

**Table 5.**  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  and  $\text{WO}_3$  as well as  $\text{BO}_2$ -terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskite (001) surface upper three-layer atom shifts (in % of the bulk lattice constant  $a_0$ ).

Computed (001) Surf.		$\text{ReO}_3$	$\text{WO}_3$	$\text{BaTiO}_3$	$\text{SrTiO}_3$	$\text{BaZrO}_3$
Layer	Atom	$\text{ReO}_2$ -Ter.	$\text{WO}_2$ -Ter.	$\text{TiO}_2$ -Ter.	$\text{TiO}_2$ -Ter.	$\text{ZrO}_2$ -Ter.
1	B	-3.19	-2.07	-3.08	-2.25	-1.79
	O	-1.17	+0.42	-0.35	-0.13	-1.70
2	A	No atom	No atom	+2.51	+3.55	+1.94
	O	-0.32	+0.11	+0.38	+0.57	+0.85
3	B	-0.17	-0.01	-	-	-0.03
	O	-0.11	0.00	-	-	0.00

It is worth noting that we are the first in the world to perform ab initio computations for O-terminated  $\text{ReO}_3$  and  $\text{WO}_3$  (001) surfaces (Table 6). As we can see from our ab initio computation results for O-terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces, all upper-layer atoms relax inwards (Table 6). The only single exception from this systematic trend is the upwards relaxation of the SrO-terminated  $\text{SrTiO}_3$  (001) surface upper layer O atom by +0.84% (Table 6) of the  $\text{SrTiO}_3$  bulk lattice constant  $a_0$ . In contrast, almost all second layer atoms relax upwards. The only two exceptions are the inward relaxation of O-terminated  $\text{ReO}_3$  and  $\text{WO}_3$  (001) second layer O atoms by (-0.53 and -0.11% of  $a_0$ ,

respectively) (Table 6). Finally, all our ab initio calculated third layer atoms relax inwards, towards the bulk. It is worth noting that for both upper O-terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surface layers, the metal atom displacement magnitudes are always larger than the O atom relaxation shifts (Table 6).

**Table 6.** O-terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surface upper three-layer atom shifts (in % of the bulk lattice constant  $a_0$ ).

Computed (001) Surf.		$\text{ReO}_3$	$\text{WO}_3$	$\text{BaTiO}_3$	$\text{SrTiO}_3$	$\text{BaZrO}_3$
Layer	Atom	O-Termin.	O-Termin.	BaO-Ter.	SrO-Ter.	BaO-Ter.
1	A	No atom	No atom	−1.99	−4.84	−4.30
	O	−3.73	−4.24	−0.63	+0.84	−1.23
2	B	+2.71	+2.65	+1.74	+1.75	+0.47
	O	−0.53	−0.11	+1.40	+0.77	+0.18
3	A	No atom	No atom	-	-	−0.01
	O	−0.44	−0.48	-	-	−0.14

Comparison of our ab initio calculation results with other calculations as well as available experimental data for SrO-terminated  $\text{SrTiO}_3$  (001) surface [94–98] are listed in Table 7. As we can see from Table 7, our ab initio B3PW computed surface rumpling amplitudes  $s$  for SrO-terminated  $\text{SrTiO}_3$  (001) surfaces (+5.66% of  $a_0$ ) are in a qualitative agreement with other computation results ranging from (+5.8% of  $a_0$ ) to (+8.2% of  $a_0$ ) as well as in a qualitative agreement with available experimental data (Table 7). Additionally, our ab initio investigation calculated that changes in the interlayer distances  $\Delta d_{12}$  and  $\Delta d_{23}$  are in qualitative agreement with other calculation results and most experiments (Table 7). Unfortunately, our computed changes in interlayer distances  $\Delta d_{12}$  disagree with the RHEED experiment (Table 7), but our computed changes in interlayer distance  $\Delta d_{23}$  disagree with the SXRD experiment (Table 7). Nevertheless, since the LEED, RHEED and SXRD experiments do not always agree with each other, even with respect to signs, we can not take these LEED, RHEED and SXRD experiments (Table 7) too seriously.

**Table 7.** Surface rumpling  $s$  and relative displacements  $\Delta d_{ij}$  for the 3 near-surface planes of SrO-terminated  $\text{SrTiO}_3$  (001) surface [94–98].

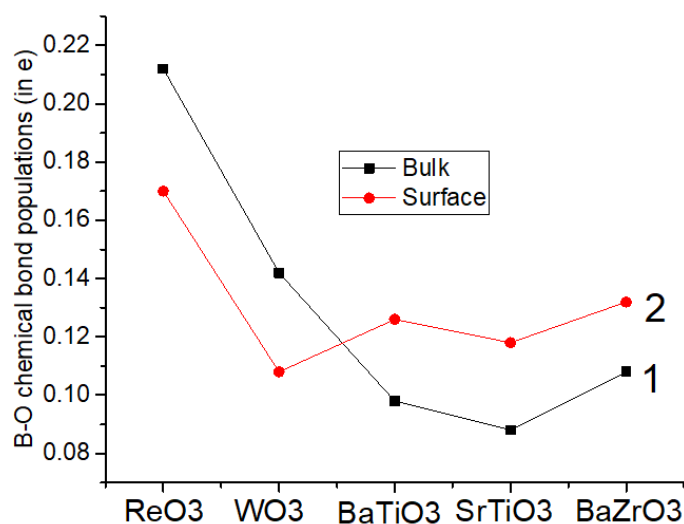
SrO-Terminated $\text{SrTiO}_3$ (001) Surface			
	$s$	$\Delta d_{12}$	$\Delta d_{23}$
Our B3PW results	+5.66	−6.58	+1.75
Ab initio [94]	+5.8	−6.9	+2.4
Ab initio [95]	+7.7	−8.6	+3.3
Shell model [48]	+8.2	−8.6	+3.0
LEED exp. [96]	$4.1 \pm 2$	$-5 \pm 1$	$2 \pm 1$
RHEED exp. [97]	4.1	2.6	1.3
SXRD exp. [98]	$1.3 \pm 12.1$	$-0.3 \pm 3.6$	$-6.7 \pm 2.8$

Our ab initio computed that B-O atom chemical bond populations in the  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskite bulk (Table 8 and Figure 7) are always smaller than near their  $\text{BO}_2$ -terminated (001) surfaces. Just opposite, the Re-O and W-O chemical bond populations in the  $\text{ReO}_3$  (0.212 $e$ ) and  $\text{WO}_3$  (0.142 $e$ ) bulk (Table 8 and Figure 7) are slightly larger than near the  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated  $\text{ReO}_3$  as well as  $\text{WO}_3$  (001) surfaces (0.170 $e$  and 0.108 $e$ , respectively) (Table 8 and Figure 7). Nevertheless, the largest chemical bond populations in the  $\text{ReO}_3$  and  $\text{WO}_3$  matrixes are among the upper layer Re atom and the

second layer O atom ( $0.262e$ ) as well as among the upper layer W atom and the second layer O atom ( $0.278e$ ).

**Table 8.** Our ab initio computed Re-O, W-O and B-O chemical bond populations (in  $e$ ) for the  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  crystal bulk as well as their  $\text{ReO}_2$ -,  $\text{WO}_2$ - and  $\text{BO}_2$ -terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces.

Material	Functional	Re-O, W-O and B-O Chemical Bond Populations (in $e$ )	
		Bulk	$\text{ReO}_2$ , $\text{WO}_2$ , $\text{BO}_2$ -Term. (001) Surfaces
$\text{ReO}_3$	B3LYP	0.212	0.170
$\text{WO}_3$	B3LYP	0.142	0.108
$\text{BaTiO}_3$	B3PW	0.098	0.126
$\text{SrTiO}_3$	B3PW	0.088	0.118
$\text{BaZrO}_3$	B3PW	0.108	0.132

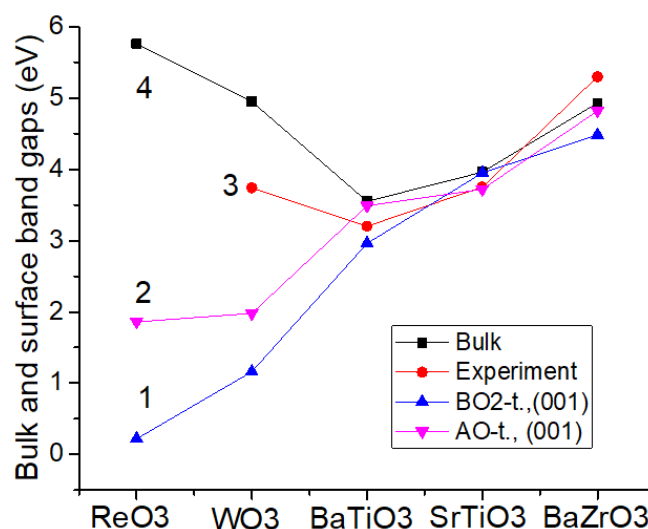


**Figure 7.** Our ab initio computed Re-O, W-O and B-O chemical bond populations (in  $e$ ) for the  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  crystal bulk (line 1) as well as their  $\text{ReO}_2$ -,  $\text{WO}_2$ - and  $\text{BO}_2$ -terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces (line 2).

According to our ab initio computations, the  $\Gamma$ - $\Gamma$  bandgaps near the  $\text{BO}_2$ , AO, or O-terminated  $\text{ReO}_3$ ,  $\text{WO}_3$ ,  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  (001) surfaces are always reduced with respect to their relevant bulk  $\Gamma$ - $\Gamma$  bandgaps (Table 9 and Figure 8). Experimental data, where available, for the bulk  $\Gamma$ - $\Gamma$  bandgaps are listed for comparison purposes (Figure 8 and Table 9). As we can see from Table 9 and Figure 8, for  $\text{ReO}_3$  and  $\text{WO}_3$  crystals, our ab initio computed  $\Gamma$ - $\Gamma$  bandgaps near their O and especially  $\text{ReO}_2$  and  $\text{WO}_2$ -terminated (001) surfaces are much more strongly reduced with respect to their bulk  $\Gamma$ - $\Gamma$  bandgap values, than near the  $\text{BO}_2$  and AO-terminated  $\text{BaTiO}_3$ ,  $\text{SrTiO}_3$  and  $\text{BaZrO}_3$  perovskite (001) surfaces. For example,  $\text{TiO}_2$  (3.95 eV) and SrO-terminated (3.72 eV)  $\text{SrTiO}_3$  (001) surface  $\Gamma$ - $\Gamma$  bandgaps are reduced only by (0.01 and 0.24 eV, respectively) regarding their bulk  $\Gamma$ - $\Gamma$  bandgap value of 3.96 eV (Table 9 and Figure 8).

**Table 9.** Our ab initio computed bulk  $\Gamma$ - $\Gamma$  bandgaps as well as  $\Gamma$ - $\Gamma$  bandgaps near the BO<sub>2</sub> or AO-terminated ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surfaces (in eV). Experimental bulk  $\Gamma$ - $\Gamma$  bandgaps are listed for comparison purposes.

Material	Functional	Bulk ( $\Gamma$ - $\Gamma$ )	Exp. ( $\Gamma$ - $\Gamma$ )	BO <sub>2</sub> -T. (001)	AO-T. (001)
ReO <sub>3</sub>	B3LYP	5.76	No data	0.22	1.86
WO <sub>3</sub>	B3LYP	4.95	3.74	1.16	1.98
BaTiO <sub>3</sub>	B3PW	3.55	3.2	2.96	3.49
SrTiO <sub>3</sub>	B3PW	3.96	3.75	3.95	3.72
BaZrO <sub>3</sub>	B3PW	4.93	5.3	4.48	4.82



**Figure 8.** Our ab initio computed ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> bulk  $\Gamma$ - $\Gamma$  bandgaps (in eV) (line 4), experimental bulk  $\Gamma$ - $\Gamma$  bandgaps (line 3), AO-terminated (001) surface bandgaps at  $\Gamma$ -point (line 2) as well as BO<sub>2</sub>-terminated (001) surface bandgaps at  $\Gamma$ -point (line 1).

## 5. Conclusions

According to our ab initio computation results for BO<sub>2</sub>, AO and O-terminated ReO<sub>3</sub>, WO<sub>3</sub>, SrTiO<sub>3</sub>, BaTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surfaces, in most cases, the upper surface layer atoms relax inwards towards the bulk. The second surface layer atoms, again, in most cases, relax upwards, while the third layer atoms, again, relax inwards.

Our ab initio computation results for SrO-terminated SrTiO<sub>3</sub> (001) in most cases are in a fair agreement with previous calculation results and available experimental data. It is worth noting that our ab initio calculated interlayer distance  $\Delta d_{12}$  disagrees with the RHEED experiment (Table 7) with respect to the sign. Nevertheless, since the RHEED experiment also disagrees with the LEED and SXRD experiments, we can probably not take this available RHEED experiment [97] too seriously (Table 7).

According to our ab initio computations, the  $\Gamma$ - $\Gamma$  bandgaps near the BO<sub>2</sub>, AO or O-terminated ReO<sub>3</sub>, WO<sub>3</sub>, BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> (001) surfaces are always reduced with respect to their relevant bulk  $\Gamma$ - $\Gamma$  bandgaps.

Our ab initio computed B-O atom chemical bond populations in the BaTiO<sub>3</sub>, SrTiO<sub>3</sub> and BaZrO<sub>3</sub> perovskite bulk are always smaller than near their BO<sub>2</sub>-terminated (001) surfaces. Just opposite, the Re-O and W-O chemical bond populations in the ReO<sub>3</sub> (0.212e) and WO<sub>3</sub> (0.142e) bulk are slightly larger than near the ReO<sub>2</sub> and WO<sub>2</sub>-terminated ReO<sub>3</sub> as well as WO<sub>3</sub> (001) surfaces (0.170e and 0.108e, respectively). Nevertheless, the largest chemical bond populations in the ReO<sub>3</sub> and WO<sub>3</sub> matrixes are among the upper layer Re atom and the second layer O atom (0.262e) as well as among the upper layer W atom and the second layer O atom (0.278e).

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**Data Availability Statement:** Not applicable.

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