# First-principles study of native defects in anatase TiO<sub>2</sub>

Sutassana Na-Phattalung,<sup>1,2</sup> M. F. Smith,<sup>1</sup> Kwiseon Kim,<sup>3</sup> Mao-Hua Du,<sup>3</sup> Su-Huai Wei,<sup>3</sup>

S. B. Zhang,<sup>3</sup> and Sukit Limpijumnong<sup>1,2,3</sup>

<sup>1</sup>National Synchrotron Research Center, Nakhon Ratchasima, Thailand

<sup>2</sup>School of Physics, Suranaree University of Technology, Nakhon Ratchasima, Thailand

<sup>3</sup>National Renewable Energy Laboratory, Golden, Colorado 80401, USA

(Received 21 January 2006; revised manuscript received 27 February 2006; published 31 March 2006)

Native point defects in anatase  $\text{TiO}_2$  are investigated by using first-principles pseudopotential calculations based on density-functional theory (DFT). Antisite defects, namely, Ti-antisite (Ti<sub>O</sub>) and O-antisite (O<sub>Ti</sub>), have high formation energies and are hence unstable. In contrast, all other fundamental native defects (Ti<sub>i</sub>, O<sub>i</sub>, V<sub>Ti</sub>, and V<sub>O</sub>) have low formation energies. In particular, titanium interstitial (Ti<sub>i</sub>) is a quadruple donor defect with lowest formation energy in *p*-type samples, whereas Ti vacancy (V<sub>Ti</sub>) is a quadruple acceptor defect with lowest formation energy in *n*-type samples. Interstitial oxygen (O<sub>i</sub>) would spontaneously and strongly bind to lattice oxygen, resulting in a neutral O<sub>2</sub> dimer substituting on one O site. None of the four low-energy defects have energy levels inside the DFT band gap.

DOI: 10.1103/PhysRevB.73.125205

PACS number(s): 61.72.Bb, 61.72.Ji

#### I. INTRODUCTION

Semiconductor photocatalysis begins with the activation of an electron from the valence band to the conduction band by optical excitation, creating an electron in the conduction band and a hole in the valence band. These excited carriers may diffuse to the surface to initiate chemical reactions with agents in the surrounding fluid. (The process is commonly applied to air and water purification, for which the relevant chemical reactions are those resulting in the destruction of various microorganisms.<sup>1,2</sup>) Electron-hole recombination is an important competing process, as it tends to prevent the carriers from reaching the surface. The efficiency of a photocatalytic process involving visible light thus depends mainly on two factors: (i) the absorption of the semiconductor in the visible region, which determines the initial number of carriers being created, and (ii) the time required for the excited carrier to move to the surface to initiate reactions, as compared to the recombination lifetime. The ratio between these two time constants determines the fraction of the carriers that will take part in photocatalysis. In this regard, it is often beneficial to use small particles ranging between 1 and 100 nm in diameter to maximize the photocatalytic rates.

TiO<sub>2</sub> has been successfully applied as a semiconductor photocatalyst. Its main advantages over similar materials are its high oxidizing power and durability (i.e., high resistance to photo- and chemical corrosion). A major drawback of the  $TiO_2$ , however, is its large band gap, which does not permit efficient absorption of visible light and hence prevents TiO<sub>2</sub> from being used in large-scale environmental applications. There is a rich literature describing the attempts to chemically dope  $TiO_2$  in order to reduce the band gap, but how to best manipulate the gap while maintaining the beneficial photocatalytic properties is still an unresolved challenge. For example, one of the difficulties in the chemical doping is that, while reducing the band gap, the dopants also act as carrier scattering centers and traps, which reduce the chance for the carriers to reach particle surfaces to participate in the desired reactions. Further complications arise in an effort to distinguish the effect of surface impurities from that of bulk impurities.

These problems underscore the need to understand, in detail, the changes in TiO<sub>2</sub> that result from impurity introduction. Before this can be done, however, one also has to understand the role of native defects in TiO<sub>2</sub>. Native defects could influence both of the factors mentioned above. The concentration of the native defects typically depends on the growth conditions, as well as on the presence of chemical impurities. This implies that it will be difficult for an experimentalist to unravel the effect of a particular chemical impurity simply from measuring the doping dependence of a photocatalytic process, because it is difficult to get rid of all the native defects. It is therefore desirable to study the properties of the defects. At the very least, one should know what can be expected under the various growth conditions, so that the experimental results can be interpreted without any ambiguity arising from the contribution of the native defects.

TiO<sub>2</sub> has three polymorphs: rutile, anatase, and brookite. Rutile TiO<sub>2</sub> is the most studied phase. This is probably due to its simple crystal structure and to the fact that rutile single crystal, as well as thin film, can be readily grown by several conventional techniques. Brookite TiO<sub>2</sub> is the least studied TiO<sub>2</sub>, due to its complex structure and naturally the difficulties encountered during growth. Although bulk single-crystal anatase is less stable than bulk rutile, nanoparticles of TiO<sub>2</sub> used in photocatalysis and photoelectrochemistry<sup>3</sup> tend to exhibit only the anatase structure. For this reason, we will consider here the anatase polymorph. To our knowledge, no first-principles studies of native point defects in any form of the TiO<sub>2</sub> have previously been carried out.

Using first-principles total-energy calculations, we have investigated the fundamental native point defects in anatase TiO<sub>2</sub>. These include Ti vacancy ( $V_{Ti}$ ), O vacancy ( $V_O$ ), Ti interstitial (Ti<sub>i</sub>), and O interstitial (O<sub>i</sub>). All can have very low, and even negative, formation energies depending on the growth conditions. We have also studied the antisites and found that they have very high energies due to the large

TABLE I. Formation energy of native defects in anatase TiO<sub>2</sub> with the Fermi level at the VBM. The results are shown for both the 48- and 108-atom supercells. Both the Ti-rich ( $\mu_{Ti}$ =-2.67 eV, *precipitated by* Ti<sub>2</sub>O<sub>3</sub>;  $\mu_{O}$ =-3.79 eV) and O-rich ( $\mu_{Ti}$ =-10.25 eV;  $\mu_{O}$ =0 eV) conditions are shown.

		$E_f$ (eV) (Ti-rich <sup>a</sup> )		$E_f$ (eV) (O-rich)	
Defect	Charge state	48-atom	108-atom	48-atom	108-atom
Ti <sub>i</sub>	+4	-9.88	-9.42	-2.31	-1.84
$V_{\mathrm{Ti}}$	-4	12.64	13.40	5.06	5.82
$O_i \equiv (O_2)_O$	0	4.50	4.40	0.71	0.61
$V_{\rm O}$	+2	-2.82	-3.26	0.97	0.52
O <sub>Ti</sub>	-4		21.91		10.54
Ti <sub>O</sub>	+6		-6.83		4.53

<sup>a</sup>For the Ti-rich case, we have taken into account the formation of  $Ti_2O_3$ , which has a lower energy than the Ti metal.

cation-anion size mismatch and strong ionicity of TiO<sub>2</sub> (see Table I). The formation energy of an antisite is even higher than the sum of those for vacancy and interstitial. For instance, the energy of  $O_{Ti}$  is higher than the sum of  $V_{Ti}$  and  $O_i$ . This means  $O_{Ti}$  is unstable against spontaneous disintegration into a pair of isolated  $V_{Ti}$  and  $O_i$ . Since antisites are unlikely to form in TiO<sub>2</sub>, they are excluded from the discussion below. Due to a strong preference of the interstitial  $O_i$  to bind strongly with lattice O, however, a substitutional diatomic molecule (O<sub>2</sub>) always forms on the O site. To be consistent with our earlier work of defects in ZnO, we will call this paired oxygen  $(O_2)_{O}$ .<sup>4</sup>

Interestingly, none of the above defects has a level inside the density functional theory (DFT) band gap. This finding is unexpected because, typically, native defects in wide gap semiconductors<sup>5–7</sup> do introduce deep levels inside the DFT gaps. Later in the paper we will present a simple qualitative picture to show why the more ionic TiO<sub>2</sub> is distinct from other semiconductors in this way.

# **II. COMPUTATIONAL METHOD**

We used the DFT with the local density approximation (LDA) and ultrasoft pseudopotentials,8 as implemented in the VASP codes.<sup>9</sup> The cutoff energy for the plane-wave basis set is 300 eV. Our calculated crystal parameters of bulk anatase TiO<sub>2</sub> are a=3.764, c/a=2.515, and u=0.208. These are in good agreement with the experimental values: a=3.785, c/a=2.513, and u=0.208 (Ref. 10). Other calculations<sup>11-13</sup> showed similar agreement. To calculate the formation energy of the defects, a supercell approach is used<sup>14,15</sup> in which all atoms are allowed to relax by minimization of the Hellmann-Feynman force to less than 0.05 eV/Å. Our preliminary study was based on a supercell with 48 atoms, as a  $2 \times 2 \times 2$  repetition of the primitive anatase unit cell. To ensure the convergence of the calculations, especially for high charge-state defects, we repeated all the calculations with a larger supercell size of 108 atoms (namely  $3 \times 3 \times 2$ ). We found that formation energies calculated using the 48-atom cell typically agree to within 0.45 eV with those calculated using the 108-atom cell [best case:  $(O_2)_0^0$ , 0.1 eV; worst case:  $V_{Ti}^{4-}$ , 0.76 eV]. For the Brillouin zone integration, a  $2 \times 2 \times 2$  Monkhorst-Pack special *k*-point mesh is used regardless of the cell size. Unless noted otherwise, all results presented here are based on the 108-atom cell calculations. We will present the electronic structure using a special *k*-point scheme as discussed in Ref. 16. The calculated band gap averaged over the special *k* is 2.32 eV. Due to the wellknown LDA gap error, the calculated band gap is smaller than the experimental band gap of 3.2 eV.<sup>17</sup>

For a supercell, the defect formation energy is defined as<sup>14</sup>

$$E_f = E_{\text{tot}}(D^q) - E_{\text{tot}}(0) + \sum \Delta n_x \mu_x + q E_f, \qquad (1)$$

where  $E_{tot}(D^q)$  is the total energy of the cell with defect *D* in charge state *q*.  $E_{tot}(0)$  is the total energy of the cell without the defect and  $\Delta n_X$  is the number of atoms from species *X* (=Ti,O) being removed from a defect-free cell, to its respective reservoir with chemical potential  $\mu_X$ , to form the defect cell. The chemical potential reflects the availability (or elemental partial pressure) of each element. During the growth, if any chemical potential rises above its natural phase value (i.e., that of hcp Ti and O<sub>2</sub> molecule), then the natural phase will form instead of the TiO<sub>2</sub>. Because of this, only the  $\mu_X$ values below those of the natural phases need to be considered. More strict limitations on the chemical potentials may be imposed by the formation of alternative phases containing both Ti and O, as will be discussed below.

If the  $TiO_2$  crystal is to grow slowly, it is required that

$$\mu_{\rm TiO_2} = \mu_{\rm Ti} + 2\mu_{\rm O},\tag{2}$$

where  $\mu_{\text{TiO}_2}$  is the chemical potential of anatase TiO<sub>2</sub>. If we set  $\mu_X=0$  for their respective natural phases, then  $\mu_{\text{TiO}_2}=-10.25$  eV is the calculated formation energy of anatase TiO<sub>2</sub> per molecular formula. The constraint, Eq. (2), ensures equilibrium growth conditions. If the sum on the right-hand side is larger than  $\mu_{\text{TiO}_2}$ , then the crystal will grow rapidly and will not be homogeneous. On the other hand, if this sum is lower than  $\mu_{\text{TiO}_2}$ , then the crystal will disintegrate instead of grow.

In Fig. 1, we illustrate the allowable conditions of growth on a graph of  $\mu_{Ti}$  versus  $\mu_{O}$ . The condition given by Eq. (2) is indicated by a solid line. There are other titanium-oxygen stable phases that may exist, including Ti<sub>2</sub>O<sub>3</sub> and TiO. Since the Ti-to-O ratio is higher in both Ti<sub>2</sub>O<sub>3</sub> and TiO than that in TiO<sub>2</sub>, we expect the growth of these alternate phases to be favorable under the Ti-rich growth conditions. To determine whether the formation of these alternative phases imposes a stricter upper limit on  $\mu_{Ti}$ , we need to consider the equilibrium growth of Ti<sub>2</sub>O<sub>3</sub> and TiO. For example for Ti<sub>2</sub>O<sub>3</sub>, equilibrium growth takes place when

$$\mu_{\rm Ti_2O_3} = 2\mu_{\rm Ti} + 3\mu_{\rm O},\tag{3}$$

where  $\mu_{Ti_2O_3} = -16.7 \text{ eV}$  is the calculated formation energy of  $Ti_2O_3$ . Equation (3) (and the corresponding expression for TiO) is illustrated by a dashed (and dotted) line in Fig. 1. We see that the lines corresponding to Eqs. (2) and (3) intersect

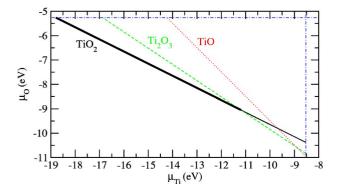


FIG. 1. (Color online) Graphic illustration of thermodynamic growth conditions for TiO<sub>2</sub>, i.e., the allowed values of the atomic chemical potentials,  $\mu_{Ti}$  and  $\mu_{O}$ . The dot-dashed horizontal and vertical lines indicate the upper bounds determined by the natural phases of Ti and O, respectively. Equilibrium growth of TiO<sub>2</sub> takes place for  $\mu_{Ti}$  and  $\mu_{O}$  lying on the solid line, whereas equilibrium growth of Ti<sub>2</sub>O<sub>3</sub> and TiO takes place for  $\mu_{Ti}$  and  $\mu_{O}$  lying in the dashed and dotted lines, respectively.

at  $\mu_{Ti}$ =-2.67 eV. For higher values of  $\mu_{Ti}$ , the growth of Ti<sub>2</sub>O<sub>3</sub> is expected to proceed much more rapidly than that of TiO<sub>2</sub>, so that we may regard  $\mu_{Ti}$ =-2.67 eV as the real upper limit for the TiO<sub>2</sub> growth. With this, the range of allowable growth conditions is described by the bold solid line in Fig. 1.

In our calculations, we vary the charge of the defect in order to identify the most stable charge state. To calculate the charged defects, a jellium background is used to neutralize the supercell. We have not applied any correction to the fictitious electrostatic interactions between the charged defect and its images in the neighboring supercells. This is justifiable especially in the case of TiO<sub>2</sub> where the dielectric constant ( $\varepsilon > 100$ ) (Ref. 18) is about an order of magnitude higher than other semiconductors. The high dielectric constant results in small correction terms for the fictitious electrostatic interactions. For instance, the leading term of the Makov-Payne correction<sup>19</sup> for the charge state  $4\pm$  in the 108atom cell is only about 0.1 eV, which is comparable to the expected error bars of our calculations. Moreover, we compare the results of the 48- and 108-atom cells to estimate the errors arising from the finite cell size and the supercell shape.

The concentration of a defect (c) is related to its formation energy  $E_f$  through the equation

$$c = N_{\text{sites}} \exp(-E_f/kT), \qquad (4)$$

where  $N_{\text{sites}}$  is the number of possible lattice sites per unit volume to form the defect, k is Boltzmann's constant, and T is the temperature in Kelvin. To be exact, Eq. (4) is only valid under thermodynamic equilibrium. Regardless of whether the growth/anneal process is under the thermal equilibrium or not, the formation energy is still a good indicator of the abundance of the defect: namely, defects with high formation energies are difficult to be incorporated and defects with lower formation energies are more likely to form.

# **III. RESULTS AND DISCUSSION**

# A. Structural properties of the anatase TiO<sub>2</sub>

 $TiO_2$  is a highly ionic semiconductor. The strength of the Coulombic attraction between the cation and anion is decisive in determining its crystal stability. In general, an ionic crystal prefers structures that maximize the number of oppositely charged nearest neighbors for each ion. This is in contrast to covalent semiconductors, which often exhibit tetrahedral bonding configurations that allow the formation of  $sp^3$ hybridization. In  $TiO_2$ , the Ti atom (with a high oxidation number of +4) prefers to have a large number of O neighbors (oxidation number=-2), and strongly repels its Ti nextnearest neighbors. The specific geometry of the anatase crystal structure is such that each Ti atom has six O neighbors but only four Ti next-nearest neighbors. This explains why it is one of the stable crystal structures for TiO<sub>2</sub>. Since O has a smaller oxidation number than Ti, it also has a smaller number (only three) of Ti neighbors. An illustration of the anatase crystal structure is shown in Fig. 2(a). One can think of this crystal structure as obtained from a distorted NaCl structure of TiO by removing half of the Ti atoms. The slight distortion from the ideal NaCl structure results in shorter Ti-O distances and longer Ti-Ti distances to further reduce the Madelung energy.

# B. Formation energies and charge states of the native defects

Figure 2 shows the calculated atomic structures of Ti<sub>*i*</sub>,  $V_{\text{Ti}}$ ,  $(O_2)_{\text{O}}$ , and  $V_{\text{O}}$ . The defect formation energies are tabulated in Table I, as well as plotted as a function of the electron Fermi energy in Fig. 3. The most important feature of Fig. 3 is that none of the defects introduce any defect levels inside the band gap. The charge state of Ti<sub>*i*</sub>,  $V_{\text{Ti}}$ ,  $(O_2)_{\text{O}}$ , and  $V_{\text{O}}$  is 4+, 4–, 0, and 2+, respectively.<sup>20</sup> Moving the Fermi level across the band gap cannot change the charge state of these defects. Even if the Fermi level is moved into the valence or conduction band, there is still no significant filling of the defect, because the defect-induced electronic states are all delocalized resonant states, as revealed by the partial DOS in Fig. 4.<sup>21</sup> As a result, none of these defects is a carrier trap.

Due to the well-known LDA gap problems, our calculated conduction-band minimum at the special *k*-points ( $\varepsilon_k$ ) used for the Brillouin zone integration, indicated in Fig. 3 by the dashed line, is smaller than the experimental gap. However, the defect states shown in Fig. 4 are not expected to fall into the band gap when a band-gap correction is applied, because they are all delocalized resonant states with symmetries resembling those of the extended band states (i.e., both the donors [Ti<sub>i</sub> and V<sub>O</sub>] and conduction-band edge states have the Ti *d* character, while both the acceptors [(O<sub>2</sub>)<sub>O</sub> and V<sub>Ti</sub>] and valence-band edge states have the O *p* character), which should follow the band edge closely in schemes that correct the LDA band gap. In this regard, a GW quasiparticle calculation like the one in Ref. 22 is highly desirable to confirm such predictions.

Being free of native-defect-induced gap states is a result of high ionicity of the  $TiO_2$ . The Ti has a small electronega-

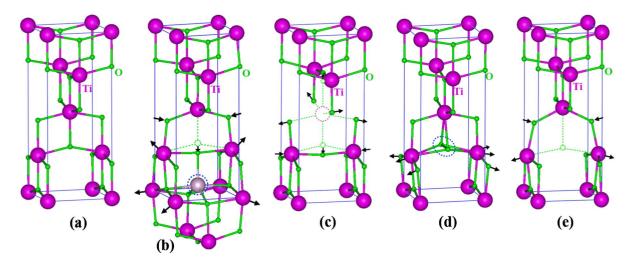


FIG. 2. (Color online) Atomic structures of (a) bulk anatase  $TiO_2$ , (b)  $Ti_i^{4+}$ , (c)  $V_{Ti}^{4-}$ , (d)  $(O_2)_0$ , and (e)  $V_0^{2+}$  defects. The large spheres are the Ti atoms and the small spheres are the O atoms. Relaxation directions of neighboring atoms are selectively indicated by the arrows. In some cases, ideal positions of the atoms before relaxation or removal are shown by dashed circles.

tivity (Ti=1.54 in Pauling scale), smaller than the cations in all major group IV, III-V, and II-V semiconductors, and the O has a very large electronegativity of 3.44. The defect states for Ti<sub>i</sub> and  $V_O$  are the Ti d states. Figures 4(b) and 4(e) show that these states are all above the CBM. In fact, a nominal Ti ion also has levels above the CBM. These explain why Ti<sub>i</sub> and  $V_O$  do not induce gap levels and, as a matter of course,

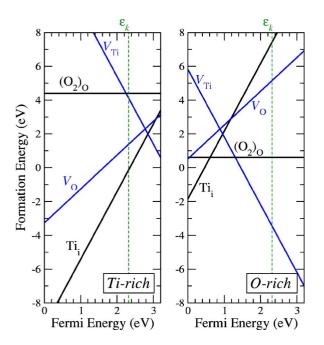


FIG. 3. (Color online) Defect formation energies as a function of the Fermi level, under the Ti-rich (left panel) and O-rich (right panel) growth conditions, respectively. The slope of the line is an indication of the charge state of the defect. The Fermi energy, referenced to the top of the valence band, is all the way to the experimental band gap. The vertical dotted line is the calculated band gap at the special k-point.

the large heat of formation of TiO<sub>2</sub> (-10.25 eV, see Sec. II). Also due to the strong electron donating tendency of Ti, the O atoms around a  $V_{\text{Ti}}$  can easily draw electrons, resulting in defect states below the VBM.

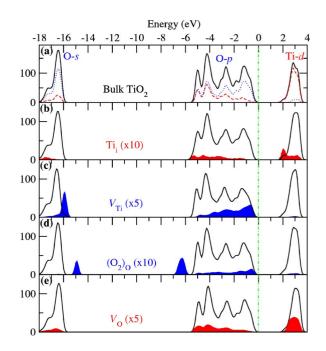


FIG. 4. (Color online) Site decomposed electron density of states (DOS). For each atom center, the local partial DOS in a sphere radius R (Ti:R=1.48 Å and O:R=0.74 Å) is calculated. (a) Bulk TiO<sub>2</sub>, where the solid line is the total DOS, the dashed line is the DOS on Ti, and the dotted line is the DOS on O. (b)–(e) Native defects where the shaded area is the DOS on the atoms directly related to the defect (scaled up by a factor given in parentheses for clarity) and the solid line is the DOS on the remaining atoms in the supercell. Vertical dash-dotted line indicates the position of the VBM.

# C. Structure and stability of the native defects

# 1. Titanium interstitial (Ti<sub>i</sub>)

Titanium interstitial favors an octahedral site [Fig. 2(b)]. The site is similar to a lattice Ti site in that horizontally there are four neighboring O atoms nearly in a plane. The main difference is that the lattice Ti site also has two additional O atoms (one located directly above and one below). However, when a Ti is placed on the octahedral interstitial site, as shown in Fig. 2(b), one of the vertical O neighbors moves considerably toward it. The surrounding Ti atoms are also slightly relaxed outward, due to the electrostatic repulsion between positively charge Ti ions.

Ti<sub>i</sub> is a *quadruple shallow donor*. Under the Ti-rich and p-type condition, i.e.,  $E_F$  is at the VBM, which is the extremely favorable situation for  $Ti_i^{4+}$  incorporation, the formation energy of the Ti<sub>i</sub> is negative and, surprisingly, very low, i.e., -9.42 eV. This low formation energy is due mainly to the energy gain from a transfer of four electrons to the low  $E_F$  level. In addition, the anatase structure contains a lot of open space that can accommodate the interstitial atom without much strain. (First-principles studies of SnO<sub>2</sub> also found  $Sn_i^{4+}$  to have a negative formation energy at the cation-rich and *p*-type condition.<sup>23</sup>) This  $Ti_i$  formation energy remains negative as long as  $E_F < 2.4$  eV (Fig. 3, left panel). A negative formation energy means that the formation of the defect is spontaneous, so it is impossible to grow TiO<sub>2</sub> under such conditions. (Even if one begins in the *p*-type region, the rapid formation of the quadruple donor Ti<sub>i</sub> would quickly turn the sample *n*-type.) Under the O-rich condition,  $Ti_i$  may also have a negative formation energy unless  $E_F > 0.5$  eV (see Fig. 3, right panel). From these results, we expect it to be difficult to dope TiO<sub>2</sub> p-type under any equilibrium growth conditions.

The low formation energy of Ti<sub>i</sub> makes it the strongest candidate for the shallow donors observed in undoped anatase TiO<sub>2</sub> with high purity.<sup>24</sup> The low formation energy may also explain the earlier observations of Ti<sub>i</sub> in oxygen-deficient rutile samples by ion beam channeling,<sup>25</sup> electron paramagnetic experiment,<sup>26</sup> and others as summarized in the review in Ref. 27. Although most of the experimental works were performed on rutile TiO<sub>2</sub>, the local structures of rutile and anatase are very similar. Because the oxygen-deficient TiO<sub>2</sub> samples were prepared by heating TiO<sub>2</sub> (1000–1400 °C) in a reducing atmosphere for a prolonged period of time (typically 100-1000 h), it is likely that some of the O atoms first migrate out of the sample, leaving vacancies behind. However, due to the small formation energy of  $Ti_i$ , these oxygen vacancies will subsequently react with the remaining  $TiO_2$  via the following reaction:

$$m \text{TiO}_2 + 2n V_0^{2+} \rightarrow (m-n) \text{TiO}_2 + n \text{Ti}_i^{4+} + 2n e^-,$$
 (5)

to produce  $Ti_i$  interstitials.

# 2. Titanium vacancy (V<sub>Ti</sub>)

The atomic structure of  $V_{\text{Ti}}$  is shown in Fig. 2(c). As one Ti atom is missing here, the surrounding O atoms relax outward, each to a point approximately halfway between its two remaining Ti neighbors. This relaxation increases the Coulomb binding by reducing the Ti-O distances while increasing the O-O distances.

The Ti vacancy is a *quadruple shallow acceptor*. Under the O-rich (i.e., Ti-poor) growth condition, the formation energy of  $V_{\text{Ti}}$  is negative if  $E_F > 1.46$  eV. This means that  $V_{\text{Ti}}$ will spontaneously form and, as a result (and because  $V_{\text{Ti}}$  is a quadruple acceptor),  $E_F$  will be pushed down until it is below 1.46 eV. Under the Ti-rich condition,  $V_{\text{Ti}}$  is still a low-energy defect, and hence acts as a leading native acceptor. To the best of our knowledge, there is still no experimental identification of the  $V_{\text{Ti}}$ .

# 3. Oxygen interstitial $(O_i)$

Isolated interstitial O has high formation energy and is hence unstable. It spontaneously binds with an O on the lattice site, forming a substitutional  $O_2$  molecule,  $(O_2)_0$ . Each lattice O atom has an oxidation number of -2. A neutral  $(O_2)_O$  thus contains two more electrons compared to a free O<sub>2</sub> molecule in the vacuum. Similar to the case of substitutional diatomic molecules in ZnO,<sup>4</sup> the additional two electrons occupy and completely fill the molecular  $pp\pi^*$  states, which lie below the VBM. The atomic structure of the  $(O_2)_O$ is shown in Fig. 2(d). Because the charge neutral  $O_2$  is electrostatically equivalent to any O atom on a lattice site, one can expect that there should not be any large relaxation of the neighboring atoms. All the neighboring Ti atoms relax only slightly outward. Substitutional O<sub>2</sub> has a bond length of 1.46 Å, which is very similar to substitutional  $O_2$  in ZnO [also 1.46 Å (Ref. 4)]. The bond length of a substitutional  $O_2$ is longer than that of a free  $O_2$  [1.21 Å (Ref. 28)] due mainly to the occupation of the two extra electrons on the  $pp\pi^*$ antibonding orbital, and to the screening effect of the host. Under the Ti-rich condition, the  $(O_2)_O$  has high formation energy and is hence unlikely to exist in any appreciable amount. However, under the O-rich condition, its formation energy is reasonably low, making it an important defect.

# 4. Oxygen vacancy $(V_0)$

For O vacancy, each of the three nearest-neighbor Ti atoms moves away from the vacancy toward its five remaining O neighbors, as illustrated in Fig. 2(e). The next-nearestneighbor O atoms move slightly inward due to the absence of electrostatic repulsion by the missing O atom.

Our calculations show that  $V_{\rm O}$  is a *double donor*. This is because the O has an oxidation state 2- or, in other words, has two additional electrons transferred from the three surrounding Ti atoms. When the oxygen is removed as a neutral atom, the two additional electrons are no longer needed, making the  $V_{\rm O}$  a double donor. This is consistent with firstprinciples calculations by Sullivan and Erwin.<sup>29</sup> The formation energy of the  $V_{\rm O}$  reported in Ref. 29 is slightly higher than ours, partly because they used the "Makov-Payne correction."<sup>19</sup>

Our calculation suggests that  $V_{\rm O}$  is *not* a dominant native defect *near equilibrium growth* conditions. Even in the Tirich growth condition, which is most favorable for  $V_{\rm O}$  formation, Ti<sub>i</sub> has a lower formation energy than  $V_{\rm O}$  at all possible  $E_F$ . However,  $V_{\rm O}$  can be created in certain processes

such as annealing to create oxygen-deficient samples. Although the energetics suggests that subsequent conversion to  $Ti_i$  via Eq. (5) is likely, the kinetics may not support such a process, as one only needs to break the Coulomb bindings with three neighboring Ti to free an O, but six such bindings to free a Ti. This might be why  $V_0$  are still observed by certain experiments (thermogravimetric, electrochemical titration, diffusion, and conductivity measurements as discussed in Ref. 27).

#### **IV. CONCLUSION**

Our calculations of native defects in anatase  $\text{TiO}_2$  provide detailed information on the atomic structures and electronic properties for each of them. We found that  $\text{Ti}_i$  is a quadruple donor with very low formation energy, especially in *p*-type samples but also in *n*-type samples. This makes it the strongest candidate responsible for the native *n*-type conductivity observed in TiO<sub>2</sub>. While  $V_O$  has higher formation energy than that of Ti<sub>i</sub>, the kinetic barrier for creating  $V_O$  from a perfect TiO<sub>2</sub> is expected to be lower than that for creating Ti<sub>i</sub>. Hence, post-growth formation of  $V_O$  is also possible, especially after the sample has been heated for a prolonged time. A quadruple acceptor  $V_{\text{Ti}}$  is the lowest-energy acceptor in TiO<sub>2</sub>. Thus in undoped samples, Ti<sub>i</sub> and  $V_{\text{Ti}}$  should be the leading donor and acceptor, respectively. Formation of Ti<sub>i</sub> is further enhanced under the Ti-rich growth condition, while that of  $V_{\text{Ti}}$  is further enhanced under the O-rich growth condition. Interstitial oxygen would spontaneously bond to lattice oxygen, forming electrically inactive O<sub>2</sub> dimer substituting on one O lattice site. Antisite defects have relatively high formation energies and are likely to spontaneously break into isolated vacancies and interstitials. Our calculations also show that none of the four low-energy defects, Ti<sub>i</sub>, O<sub>i</sub>, V<sub>Ti</sub>, and V<sub>O</sub>, introduce any defect levels inside the DFT band gap.

### ACKNOWLEDGMENTS

This work was supported by the National Synchrotron Research Center (Thailand) under Contract No. 2547/004. The work at NREL was supported by the U.S. DOE under Contract No. DE-AC36-99GO10337. We acknowledge R. Thongpool for bringing the problem of defects in TiO<sub>2</sub> to our attention. We also thank P. Reunchan and S. Jungthawan for their help with some of the calculations and S. Rujirawat and N. Kopidakis for fruitful discussions.

- <sup>1</sup>M. R. Hoffmann, S. T. Martin, W. Choi, and D. W. Bahnemann, Chem. Rev. (Washington, D.C.) **95**, 69 (1995) and references therein.
- <sup>2</sup>J. C. Yu, J. Yu, W. Ho, Z. Jiang, and L. Zhang, Chem. Mater. 14, 3808 (2002).
- <sup>3</sup>Q. Chen and H.-H. Cao, THEOCHEM **723**, 135 (2005).
- <sup>4</sup>S. Limpijumnong, X. Li, S.-H. Wei, and S. B. Zhang, Appl. Phys. Lett. 86, 211910 (2005).
- <sup>5</sup>S. Limpijumnong and C. G. Van de Walle, Phys. Rev. B 69, 035207 (2004).
- <sup>6</sup>J. Neugebauer and C. G. Van de Walle, Phys. Rev. B **50**, R8067 (1994).
- <sup>7</sup>S. Limpijumnong, S. B. Zhang, S.-H. Wei, and C. H. Park, Phys. Rev. Lett. **92**, 155504 (2004); A. F. Kohan, G. Ceder, D. Morgan, and C. G. Van de Walle, Phys. Rev. B **61**, 15019 (2000).
- <sup>8</sup>D. Vanderbilt, Phys. Rev. B **41**, R7892 (1990).
- <sup>9</sup>G. Kresse and J. Furthmüller, Comput. Mater. Sci. 6, 15 (1996).
- <sup>10</sup>C. J. Howard, T. M. Sabine, and F. Dickson, Acta Crystallogr., Sect. B: Struct. Sci. 47, 462 (1991).
- <sup>11</sup>A. Fahmi, C. Minot, B. Silvi, and M. Causá, Phys. Rev. B 47, 11717 (1993).
- <sup>12</sup>R. Asahi, Y. Taga, W. Mannstadt, and A. J. Freeman, Phys. Rev. B **61**, 7459 (2000).
- <sup>13</sup>M. Calatayud, P. Mori-Sánchez, A. Beltrán, A. M. Pendás, E. Francisco, J. Andrés, and J. M. Recio, Phys. Rev. B 64, 184113 (2001).
- <sup>14</sup>S. B. Zhang and J. E. Northrup, Phys. Rev. Lett. **67**, 2339 (1991);
  J. E. Northrup and S. B. Zhang, Phys. Rev. B **50**, 4962 (1994).
- <sup>15</sup>S. B. Zhang, S.-H. Wei, and A. Zunger, Phys. Rev. B 63, 075205 (2001).
- <sup>16</sup>S. B. Zhang, J. Phys.: Condens. Matter 14, R881 (2002).

- <sup>17</sup>H. Tang, H. Berger, P. E. Schmid, F. Lévy, and G. Burri, Solid State Commun. 23, 161 (1977).
- <sup>18</sup>R. A. Parker, Phys. Rev. **124**, 1719 (1961).
- <sup>19</sup>G. Makov and M. C. Payne, Phys. Rev. B **51**, 4014 (1995).
- <sup>20</sup>The reported stable charge states of +1 and 0 for  $V_{\rm O}$  [J. M. Sullivan and S. C. Erwin, Phys. Rev. B **67**, 144415 (2003)] are probably due to electron filling of the conduction-band edge states rather than the actual defect states, because their calculated transition levels are >2.6 eV above the VBM and are hence above our calculated CBM (they have used a very similar calculation method to ours).
- <sup>21</sup>For vacancies, the defect atoms include the nearest neighbors of the missing atom, i.e., six O atoms for  $V_{\text{Ti}}$  and three Ti atoms for  $V_{\text{O}}$ . For Ti<sub>*i*</sub>, only the interstitial Ti atom itself is included as the defect atoms, whereas for  $(O_2)_{\text{O}}$ , both O atoms in the dimer are included.
- <sup>22</sup>S. B. Zhang, D. Tománek, M. L. Cohen, S. G. Louie, and M. S. Hybertsen, Phys. Rev. B 40, 3162 (1989).
- <sup>23</sup>C. Kiliç and A. Zunger, Phys. Rev. Lett. **88**, 095501 (2002).
- <sup>24</sup>L. Forro, O. Chauvet, D. Emin, L. Zuppiroli, H. Berger, and F. Lévy, J. Appl. Phys. **75**, 633 (1994).
- <sup>25</sup>E. Yaki, A. Koyama, H. Sakairi, and R. R. Hasiguti, J. Phys. Soc. Jpn. **42**, 939 (1977).
- <sup>26</sup> M. Aono and R. R. Hasiguti, Phys. Rev. B 48, 12406 (1993); R. R. Hasiguti and E. Yagi, *ibid.* 49, 7251 (1994).
- <sup>27</sup>J. Sasaki, N. L. Peterson, and K. Hoshino, J. Phys. Chem. Solids 46, 1267 (1985), and references therein.
- <sup>28</sup>K. P. Huber and G. Herzberg, *Molecular Spectra and Molecular Structure. IV. Constants of Diatomic Molecules* (Van Nostrand Reinhold, New York, 1979).
- <sup>29</sup>J. M. Sullivan and S. C. Erwin, Phys. Rev. B 67, 144415 (2003).