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# Electronic structure and energetics of tetragonal SrCuO<sub>2</sub> and its high-pressure superstructure phase

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## Abstract

First-principles calculations have been used to investigate the electronic structure and energetics of the simple tetragonal SrCuO<sub>2</sub> (*P4/mmm*) and its high-pressure tetragonal superstructure (*P4/mmm*). Based on the calculations, the high-pressure phase is metastable as compared with the low pressure tetragonal phase, with an energy difference of 0.13 eV per SrCuO<sub>2</sub> formula unit. The energy barrier to the transition from the superstructure to the simple tetragonal structure is 0.24 eV at 7 GPa; thus, high temperatures are required to synthesize the latter. Among the possible structural configurations resulting from the partially occupied oxygen site in the superstructure phase, the most stable structure has a space group *P4m2*, reduced from that of the simple tetragonal structure *P4/mmm*. The detailed analysis of the electronic band structures of the simple tetragonal and superstructure phases suggests that the out-of-plane buckling of the O atoms in the superstructure leads to significant decrease in the O p–Cu d orbital overlap, allowing the energy of the system to be lowered, which is necessary for the structural stability. An understanding of the electronic structure and energetics of the high-pressure superstructure phase and its relation to the simple tetragonal phase provides a basis for exploring the physical properties of the infinite layer, high-*T<sub>C</sub>* superconductor.

(Some figures may appear in colour only in the online journal)

## 1. Introduction

The tetragonal cuprate, SrCuO<sub>2</sub>, and its doped compounds have been a subject of extensive studies [1–7]. The structure is two-dimensional and becomes a high-temperature superconductor upon hole-doping [8, 9]. The tetragonal SrCuO<sub>2</sub> has a simple structure with infinite, two-dimensional CuO<sub>2</sub> planes separated by layers of Sr atoms [10]. The synthesis of this simple tetragonal phase, however, is not straightforward because it is metastable at ambient conditions. The stable phase is orthorhombic and the transition to the tetragonal phase in undoped as well as for most doped compositions of SrCuO<sub>2</sub> can be achieved at high pressure and high temperature [10]. Recently, at room temperature

and pressures above 7 GPa, a new tetragonal superstructure phase has been observed for the pure SrCuO<sub>2</sub>. The new structure results from the splitting of one O site along the *c*-axis [1]. This superstructure cannot be quenched at ambient temperature and pressure, and it reversibly transforms to the orthorhombic phase. It remains to be understood why temperature treatment is required at high pressure in order to synthesize the simple tetragonal phase from the orthorhombic phase.

At room temperature and high pressure the orthorhombic phase transforms to the tetragonal superstructure, while at high temperature and high pressure it transforms to the simple, infinite-layer tetragonal phase. Temperature may provide the necessary activation energy to the system such that the transition from the superstructure to the simple tetragonal structure may occur. It is expected that the structural,

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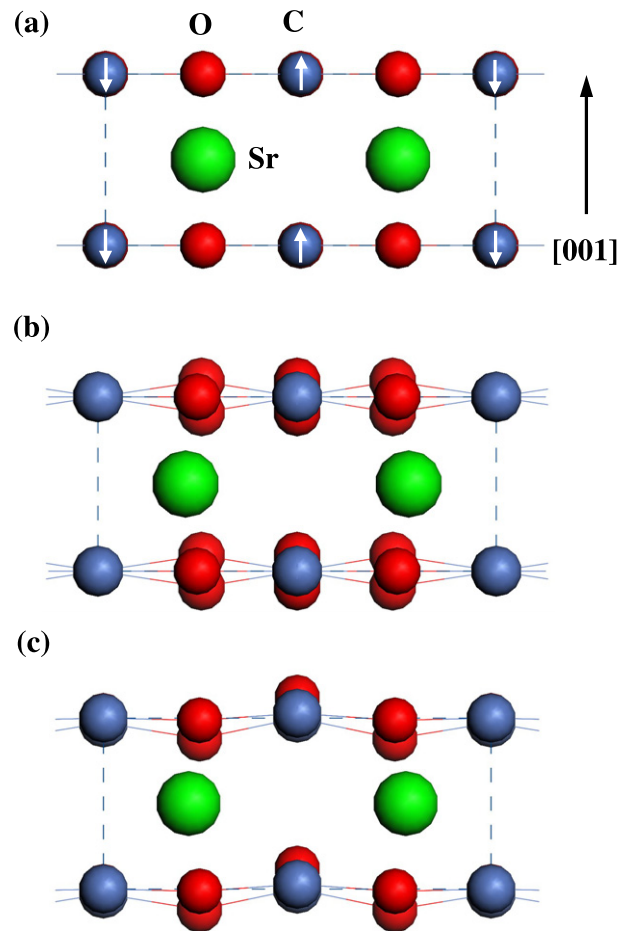
energetic, and electronic relations between the tetragonal and superstructure phases would provide important clues about the phase transition and stabilities. A fundamental understanding of the phase relations is important for the synthesis and design of the compound. In addition, most physical properties of the high-pressure tetragonal SrCuO<sub>2</sub> superstructure have not been investigated. It has not been determined whether a doped SrCuO<sub>2</sub> tetragonal superstructure exists and whether it is a high-temperature superconductor.

In this study, first-principles electronic structure calculations were completed on both the high-pressure superstructure and the simple tetragonal phases, with the aim of achieving a fundamental understanding of the energetics of both structures. In order to see whether high-temperature treatment provides the necessary activation energy to stabilize the simpler tetragonal phase, *ab initio* calculations were performed to calculate the energy difference of the two phases, as well as the energy barriers of the transition from the tetragonal superstructure to the simple tetragonal phases at different pressures. The electronic origin of this transition was examined by comparing the calculated electronic band structures of SrCuO<sub>2</sub> in the two configurations. Possible local ordering of the tetragonal superstructure phase is discussed in the light of the calculated energetics.

## 2. Methods

The first-principles calculations were carried out using two different methods within density functional theory (DFT). In order to calculate and compare the energetics of the simple tetragonal (figure 1(a)) and the superstructure phases (figure 1(b)), the pseudopotential method in combination with the B3LYP hybrid functional was used [11], as implemented in the CRYSTAL package [12]. The B3LYP functional has been successfully applied to many periodic systems, including CaCuO<sub>2</sub>, since it has enough variational freedom to describe 3d electron systems [2]. In addition, to examine details of the electronic band structures of SrCuO<sub>2</sub> in the two structural configurations, the full-potential linearized augmented plane wave method (FP-LAPW) was used [13], as implemented in the WIEN2k package [14].

To investigate the energetics of the transition between the two phases, unit cells with 4 SrCuO<sub>2</sub> units (16 atoms) were examined. The setup of the computational parameters for the SrCuO<sub>2</sub> was similar to the one presented in [2] (for CaCuO<sub>2</sub>) except that for the Sr ion, a small-core Hay–Wadt pseudopotential in the form of 31(3d)G was used [15]. The all-electron basis sets for Cu and O ions were of the forms 86-4111(41d)G [16] and 8-411G [17], respectively. The optimization of the simple tetragonal structure was tested for *k*-points and convergence tolerance. 75 *k*-points in the irreducible part of the Brillouin zone (IBZ) were used. With regard to the spin configuration of the Cu ions, the antiferromagnetic (AFM) arrangement is energetically more favorable by 0.273 eV per unit cell as compared with the ferromagnetic (FM) case. As shown in a previous study [2], the two-dimensional and three-dimensional AFM spin structures have similar energies since the interaction



**Figure 1.** Structures of SrCuO<sub>2</sub>: (a) the simple tetragonal structure represented in a  $2 \times 2 \times 1$  supercell, (b) the disordered superlattice structure, and (c) the calculated tetragonal superlattice structure. The green balls are Sr ions, the blue balls are Cu ions, and the red balls are O atoms. The thick blue dashed lines represent the computational or crystallographic unit cell. The thin lines are bonds between Cu and O.

between the layers is weak. Thus, for simplicity, the two-dimensional AFM structure, where spins on Cu are antiferromagnetic only within the Cu–O layer, was used as the initial constraint throughout the calculations (figure 1(a)).

The simple tetragonal phase (figure 1(a)) has a space group  $P4/mmm$  and cell parameters  $a = b = 3.952(2)$  Å and  $c = 3.389(2)$  Å [18], while the dimensions of the superstructure (also  $P4/mmm$ , figure 1(b)) are doubled in the crystallographic *a* and *b* directions ( $2a \times 2b \times c$ ) [1]. For consistency in the total energy calculations and in the dimensions of the computational models, the simple tetragonal phase was modeled with a  $2 \times 2 \times 1$  supercell, where the unit cell parameters are doubled along the *a* and *b* axes.

The calculations of the electronic energy bands were completed using the highly accurate FP-LAPW method, in combination with the generalized gradient approximation (PBE-GGA) [19] for the exchange–correlation potential. In order to handle the strong intra-atomic Coulomb interaction within the Cu *d* shell, an orbital dependent potential (GGA + *U*) was included in the calculations, in the form introduced by Anisimov *et al* in 1993 [20], with an approximate correction

for self-interaction. This functional is often mentioned in the literature as the fully localized limit (FLL) [21]. The inclusion of this electronic correlation (Hubbard  $U$ ) is necessary in order to reproduce the insulating ground state of the infinite-layer SrCuO<sub>2</sub>. Calculations were completed for several different values of  $U$  ( $U = 3.5, 5.0, 7.5$  and  $9.0$  eV), and the minimum required value for obtaining a semiconducting state was  $U = 7.5$  eV. Therefore, this value was used for the band structure calculations.

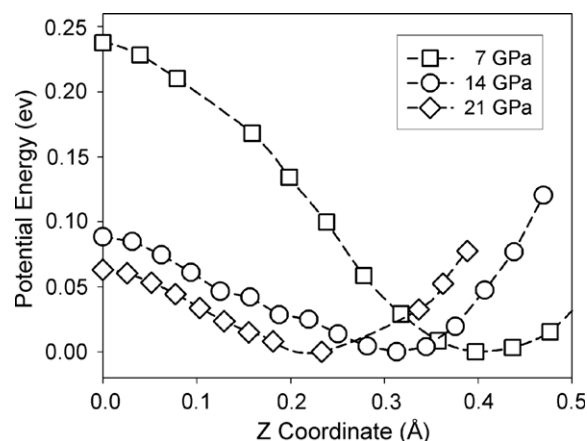
In order to compare the electronic energy bands of the simple tetragonal SrCuO<sub>2</sub> with the superstructure phase, the high-pressure superstructure phase was modeled by using a small unit cell (one Sr, one Cu, and two O atoms) with the two oxygen atoms moved out of the CuO<sub>2</sub> plane (one above and one below the CuO<sub>2</sub> plane). In this way, the effect of ‘out-of-plane’ buckling of the O atoms on the electronic structure of SrCuO<sub>2</sub> could be examined. Furthermore, by choosing this small cell, complications arising from Brillouin-zone (BZ) folding associated with a supercell calculation could be avoided, which would make the comparison between the band structures quite cumbersome.

### 3. Results and discussion

#### 3.1. Structure of the high-pressure tetragonal phase

The optimized cell parameters for both the phases were approximately 2% larger than the experimental values [1, 18], a difference that is typical of DFT–GGA calculations. In order to reproduce the two-dimensional AFM configuration, no symmetry constraints were imposed on the system, and this spin configuration (figure 1(a)) remained stable after the ionic and electronic optimizations. In the case of the simple tetragonal system, the calculated magnetic moment of the Cu ion was  $0.59 \mu_B$ , which is in reasonably good agreement with  $0.51 \mu_B$ , measured for the CaCuO<sub>2</sub> phase [2] in neutron scattering experiments [22]. These results suggest that the computational method based on the B3LYP functional, employed here, is adequate for describing the crystal structure and electronic structure of the phases and should also be suitable to reasonably understand the energetics of the phase transition between the simple tetragonal and the tetragonal superstructure phases of SrCuO<sub>2</sub>.

Based on the x-ray diffraction (XRD) data, the superstructure has two O sites: 4l and 8t. The 8t site has 1/2 occupancy, and its coordinates are shifted up from the Cu plane along the  $c$ -axis (by  $0.3 \text{ \AA}$  at 11.2 GPa) [1]. In the computational model, several different configurations were considered by removing half of the O atoms at the 8t site in the supercell. The structure with lowest energy was found to belong to the space group  $P4m2$  (no. 115), which is a subgroup of  $P4/mmm$  (no. 123), the simple tetragonal phase. This structure was chosen as model for the high-pressure tetragonal superlattice phase (figure 1(c)). The calculated x-ray diffraction pattern using this ordered model was similar to that of the disordered model, derived from the observed x-ray diffraction (XRD) data [1]. However, it is difficult to differentiate the disordered and ordered models solely based

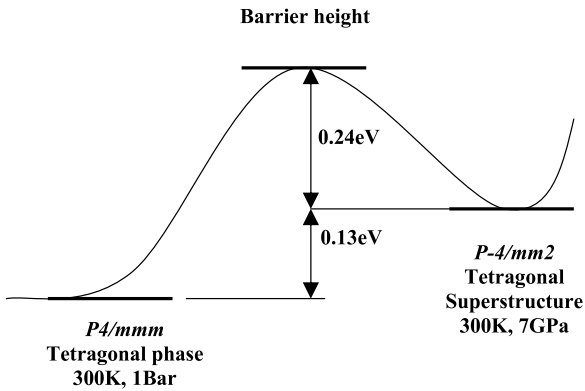


**Figure 2.** Potential energy surfaces of the O atom along the splitting direction at different pressures. The dashed lines are guides to the eye. The square, circle, and diamond symbols are calculations at different pressures of 7 GPa, 14 GPa, and 21 GPa, respectively.

on the XRD data. This is largely because the difference between the two models only depends on the positions of the oxygen atoms on one site, and the XRD signal from the oxygen atoms is overshadowed by much the heavier elements Sr and Cu in the structure. The agreement between the measured XRD pattern and the calculated one, based on the ordered model, suggests that the calculated structure is an adequate model for the superstructure phase. In going from the simple tetragonal structure to the high-pressure superstructure phase, the four-fold symmetry at the Cu site is reduced to four-fold inversion symmetry. The other symmetry elements do not change from one phase to the other.

#### 3.2. Energetics of the high-pressure tetragonal superstructure

The energy barrier for the transition from the superlattice structure to the simple tetragonal phase was estimated by moving one of the O atoms at the 8t site along the normal to the Cu–O<sub>2</sub> plane, in steps of  $0.02 \text{ \AA}$ , from an out-of-plane position toward the Cu–O<sub>2</sub> plane. This method of calculating the energetics through a transition path is similar to the well known nudged elastic band (NEB) method [23]. In the total energy calculations, a constraint on the system was imposed, namely the positions of all Sr ions were kept fixed at their optimized positions. Without such a constraint, the system would spontaneously change to the relaxed superlattice structure. However, by constraining the Sr positions artificially, the calculated path may be altered from the physical path with possible relaxations involving Sr atoms, resulting in errors of the calculated structure and overestimation of the calculated energy barriers. The calculated potential energy values at different pressures are shown in figure 2, where the horizontal axis represents the splitting of the O atom from the Cu–O<sub>2</sub> plane. The potential energy minima were obtained for oxygen splitting distances of  $\sim 0.4, 0.3,$  and  $0.2 \text{ \AA}$  at pressures of 7, 14, and 21 GPa respectively. The experimental value is  $0.3 \text{ \AA}$  at 11.2 GPa [1], which is the value calculated at 14 GPa. A



**Figure 3.** Energetic and phase relationship between the superstructure and the tetragonal structure.

small difference ( $\sim 3$  GPa) in calculated pressure for the same O-splitting reflects the error in the calculated structure, which originates from the methods used in this study, including the position constraints used in the barrier calculations. The small difference in pressure indicates that the constraint of fixing the positions of the Sr atoms does not significantly affect qualitative understanding and correct prediction of the crystal structure at high pressure. The energy barriers, which have to be overcome in order for the transition from one phase to another to take place, are 0.24, 0.09, and 0.06 eV at pressures of 7, 14, and 21 GPa, respectively. By moving the O atoms into the Cu plane and relaxing all the atoms in the computational cell, the simple tetragonal structure is recovered and the energy is reduced by 0.13 eV (at 7 GPa). This result confirms that the tetragonal superstructure is metastable with respect to the simple tetragonal SrCuO<sub>2</sub> phase at high pressure.

Figure 3 shows a schematic of the energetics between the two tetragonal phases. The barrier at 7 GPa is 0.24 eV, much greater than  $k_B T$  (0.0256 eV) at room temperature. Although the tetragonal phase with a simple structure is lower in energy by 0.13 eV, and more stable than the superstructure, the energy barrier is too high for the phase transition to occur at room temperature. The high-temperature treatment, often at 1000 K and 6 GPa [10], which is required to synthesize the simple tetragonal phase, probably serves the purpose of providing enough kinetic energy for the system to overcome the barrier of the phase transition. Based on the calculated energy barrier at 7 GPa, the fraction of the split O atoms at the top of the transition barrier is  $\sim 6\%$  at 1000 K, as calculated from the Boltzmann factor. This fraction of split O atoms may be required for the phase transition to occur at 6 GPa and 1000 K [10]. Although the absolute values of the calculated energetic barriers could be overestimated because of the constraints applied in the calculations, the dependence of the energy barrier on pressure is expected to be more reliable and suggests that as pressure increases the required temperature for the phase transition is lower.

Based on the x-ray diffraction result [1], the 8t site is partially occupied with O atoms, indicating a long-range disorder. The calculated ordered structure shows a possible ordering of O atoms around Cu atoms in the superstructure phase. Such ordering could be short-range and may not be detected

by x-ray diffraction. If the oxygen atoms have long-range disorder, such long-range disorder is expected to be static at room temperature because the calculated energy barrier against moving an oxygen atom from one side of the Cu plane to the other is 0.24 eV. This value is approximately 10 times greater than the room temperature thermal energy,  $k_B T$ .

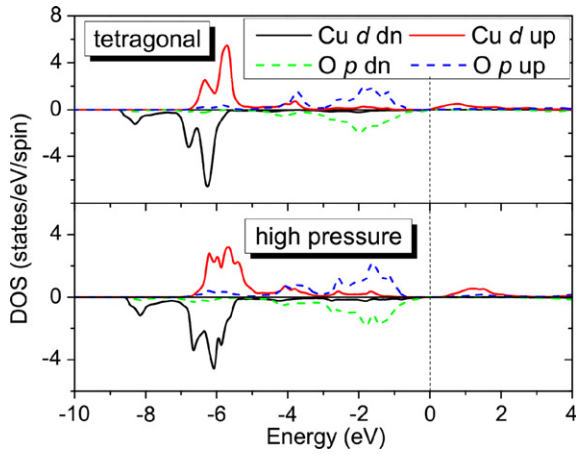
### 3.3. Electronic structure

The theoretical investigation of the electronic properties of the infinite-layer cuprates (CaCuO<sub>2</sub> and SrCuO<sub>2</sub>) is quite interesting, as they are parent compounds for the high- $T_C$  superconductors, and they have a very simple crystal structure and small unit cell. The undoped systems contain only four atoms per unit cell, with the CuO<sub>2</sub> planes separated by single atomic layers of Ca or Sr. Consequently, there are quite a few theoretical studies investigating the structural, dynamical, and electronic properties of CaCuO<sub>2</sub> and SrCuO<sub>2</sub> systems [2, 24–32]. The electronic structure of Ca<sub>1-x</sub>Sr<sub>x</sub>CuO<sub>2</sub> compounds exhibits very little dependence on the  $x$  value. However, since many of these studies are based on the standard local (spin) density approximation (L(S)DA), they fail to describe the correct insulating ground state of the cuprate systems, due to the lack of intra-atomic Coulomb correlation inherent in the L(S)DA functional. In order to overcome this deficiency, one has to go beyond standard DFT–L(S)DA and include an orbital dependent potential in the calculation, to account for the strong Coulomb repulsion within the localized Cu d orbitals [25, 32]. Hybrid methods, based on the B3LYP density functional, as used in this paper for the energetics of the phase transition, also capture the physics of strongly correlated systems and generate the correct ground state electronic structure for the infinite-layer cuprates [2, 30].

The electronic structure of the simple tetragonal SrCuO<sub>2</sub> was investigated, and compared with the high-pressure superstructure phase. As mentioned in section 3.2, for the electronic structure calculations, the high-pressure superstructure was modeled by a small unit cell, containing two O atoms, one Sr atom, and one Cu atom, with the O atoms shifted above and below the Cu plane. Clearly, this simple model does not allow for AFM spin configuration. However, since we are only interested in the electronic origin of the ‘out-of-plane’ buckling of O atoms, the ferromagnetic (FM) setup serves the purpose.

The electronic density of states (DOS) projected on the Cu 3d and O 2p orbitals is shown in figure 4. For both the simple tetragonal and high-pressure structures, the main Cu 3d weight is below  $-5$  eV, while the bands closer to the Fermi energy ( $E_F$ ) are mainly of O 2p character with small Cu 3d admixture. In the high-pressure phase, the DOSs associated with the Cu 3d orbitals are slightly wider, indicating a somewhat stronger hybridization with other valence band (VB) states, as compared to the simple tetragonal phase.

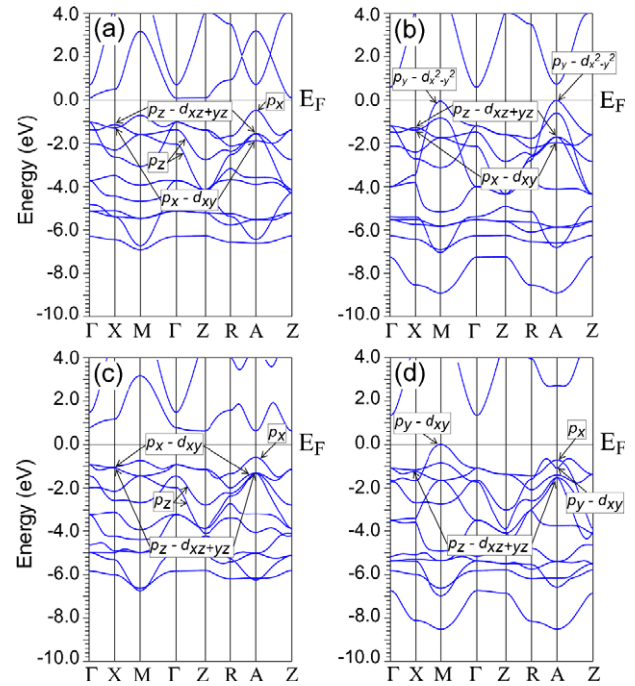
The electronic band structures of SrCuO<sub>2</sub> in the simple tetragonal and high-pressure phases are shown in figure 5. Both spin-up (figures 5(a), (c)) and spin-down (figures 5(b), (d)) channels are represented. In general, the overall shapes



**Figure 4.** Electronic density of states projected onto Cu 3d and O 2p orbitals in the simple tetragonal (upper panel) and high-pressure (lower panel) phases. The spin-up states are represented on the positive axis while the spin-down states are shown with negative values.

and dispersions of the electronic bands are similar as one goes from the simple, infinite-layer structure (figures 5(a), (b)) to the high-pressure phase (figures 5(c), (d)). The VB and the bottom of the conduction band (CB) are composed mainly of hybridized Cu 3d and O 2p orbitals. The bands along the  $\Gamma$ -Z direction are quite flat, indicating that the interaction between the atomic layers ( $\text{CuO}_2$ ) is rather weak. This is consistent with previous theoretical calculations [2] and experimental results [33], according to which the interlayer magnetic coupling is about two orders of magnitude weaker than the intralayer coupling. The only bands that show some dispersion along the  $\Gamma$ -Z direction are the O  $p_z$  bands. This is because the O  $p_z$  orbitals are the ones facing the interlayer region.

In order to understand the electronic origin of the high-pressure phase, the details of the electronic bands in the vicinity of  $E_F$  were examined and the main differences between the two phases were analyzed. The out-of-plane buckling of the O atoms mainly alters the overlap and hybridization between the O p and Cu d orbitals. Therefore, the way in which the band (orbital) ordering changes from the simple tetragonal to the high-pressure phase needs to be examined. One of the most noticeable differences between the two band structures is found at the top of the VB at the A-point, where the uppermost VB shifts below the lower-lying band when the O atom is moved out of the Cu plane (figures 5(b) and (d)). In the simple tetragonal phase, the top of the VB at the A-point is a linear combination (antibonding state with  $\sigma$ -character) of the O  $p_y$  and Cu  $d_{x^2-y^2}$  orbitals. When the O atoms are shifted out of the Cu plane, the degree of  $p_y$ - $d_{x^2-y^2}$  mixing decreases and the O  $p_y$  orbitals will rather hybridize with Cu  $d_{xy}$ , giving rise to an antibonding state with  $\pi$ -character. This leads to significant decrease in the O p-Cu d orbital overlap and consequently the uppermost VB at the A-point moves below the lower-lying band (which has O  $p_x$  character), allowing the energy of the system to be lowered. A similar line of reasoning can be applied for the top valence bands at the X-point. In the simple tetragonal configuration



**Figure 5.** Electronic band structure of the simple tetragonal ((a), (b)) and high-pressure phases ((c), (d)) of  $\text{SrCuO}_2$ . Both spin-up ((a), (c)) and spin-down ((b), (d)) channels are shown. The orbital character of the bands is indicated in the figure.

(figures 5(a) and (b)), the two uppermost bands correspond to the antibonding combinations of the O  $p_z$ -Cu  $d_{xz+yz}$  orbitals and O  $p_x$ -Cu  $d_{xy}$  orbitals. They both have  $\pi$ -bond character. When the O atom is moved out of the Cu plane, the overlap between the O  $p_z$  and Cu  $d_{xz+yz}$  orbitals decreases faster than the O  $p_x$  and Cu  $d_{xy}$  overlap. Therefore, the top of the  $p_z$ - $d_{xz+yz}$  band shifts below the  $p_x$ - $d_{xy}$  band, leading to the decrease of the energy. Exactly the same argument is applicable to the ordering of the lower-lying valence bands at the A-point, as indicated in figure 5.

From the analysis and comparison of the band structures described above, the out-of-plane instability of the O atoms shows a significant electronic origin. Similar results were obtained for  $\text{CaCuO}_2$  by Savrasov *et al* [30] and Andersen *et al* [30, 31] using linear response calculations within DFT. They suggest that the out-of-plane distortion of the O atoms is necessary for the structural stability in the hole-doped  $\text{CaCuO}_2$  as compared with the  $\text{SrCuO}_2$  at high pressure.

#### 4. Conclusions

In summary, the structure and energetics of the tetragonal  $\text{SrCuO}_2$  phase and the recently determined tetragonal superstructure phase have been investigated based on *ab initio* calculations. The B3LYP hybrid density functional was used and this method correctly reproduced the unit cell parameters and the O-splitting in the superlattice structure. The energetic relation between the simple tetragonal structure and the tetragonal superstructure quantified the phase stability and kinetics of the phase transition. The result is consistent with experimental observations. The predictions based on the *ab*

*initio* calculations, for instance the short-range ordering in the superstructure tetragonal phase, can be tested by experiment. The band structure calculations suggest that the out-of-plane buckling of the O atoms is important for the stability of the superstructure phase. The present theoretical results provide a fundamental understanding of the phase relations that are essential for synthesizing SrCuO<sub>2</sub>.

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