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FIRST-PRINCIPLES STUDIES OF WATER AT SEMICONDUCTOR INTERFACES

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To my parents

Essentially, all models are wrong, but some are useful.

- George E.P. Box

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Nine years ago, in October, I left my parents for the first time to start a journey of education. At that time, I couldn't have foreseen that in the same October, I would conclude my student years with this doctoral thesis.

Throughout my PhD journey, I have been involved in projects directly relevant to everyday life. This connection has repeatedly convinced me that my research is meaningful. However, as I conclude this thesis, I realize that my years as a PhD student did not contribute to the advancement of the field. I am also uncertain about whether I will continue to pursue a career in research in the future. Nevertheless, the years dedicated to studying fundamental science, along with numerous moments of witnessing brilliant minds pushing the boundaries of human knowledge, will forever remain cherished in my life.

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ABSTRACT

Water plays an essential role in many physical and chemical processes, in addition to being the so-called molecule of life. For example, in several batteries, photoelectrochemical cells, and bioelectronic devices, solid-water interfaces are present and critically influence the devices' properties. Water also plays a key role in geochemical processes. It constitutes a major portion of the Earth's crust and mantle, participating in geological phenomena under high-pressure, high-temperature conditions, including metasomatism, carbon transport, and continental crust evolution. To understand the electronic characteristics and structural modifications of water molecules at interfaces or in extreme environments, computational modeling at the atomistic scale is an essential tool.

In this thesis, we employed first-principles molecular dynamics simulations to study semiconductor-water interfaces and water under extreme conditions. We focused on hydrogenated silicon (Si) surfaces interfaced with water, given silicon's widespread use in electronic devices, including photocathodes. Furthermore, we investigated water under pressures and conditions relevant to the Earth's interior (11 GPa and 1000 K).

In our interfacial studies, we explored the electronic structure of the hydrogenated Si(100) and water interfaces by performing first-principles molecular dynamics simulations in the presence of an electric field. We correlated the computed flat-band potential and tunneling current images at the interface with experimentally measured capacitive and Faradaic currents. Consistent with chronoamperometry measurements, our simulations indicate that the capacitive currents at the interface are voltage-dependent, while the Faradaic currents are weakly dependent on the applied voltage but are related to surface defects. Next, we investigated the dynamic and vibrational properties of water at the electrified interface. We analyzed the H-bond structures and orientation of water molecules, and we related the structural properties of interfacial water molecules to the OH stretching mode in Raman spectra. The calculated spectra reveal a combined effect of the surface and the electric field

on the Raman features observed at the interface. The presence of the surface leads to low-coordinated hydrogen bonding configurations and, hence, a blue-shift of the O-H stretching band relative to that of bulk water. The electric field regulates the orientation of interfacial water molecules, resulting in a stable H-bond network that gives rise to specific Raman peaks in the low-frequency region of the spectrum. Our computational studies provided comprehensive insights into the electronic and dynamic properties of Si-based electrochemical or photoelectrochemical devices.

In our study of water in extreme conditions, we carried out calculations of photoelectron spectra of water and a simple solution of NaCl under high pressure and high temperature. We combined first-principles and deep-potential molecular dynamics with dielectric-dependent hybrid functionals. We found notable changes in the spectra relative to ambient conditions; in particular, we observed anion energy levels closer to the valence band maximum of the liquid than those observed at ambient conditions, indicating that as pressure and temperature are increased, the defect levels of Cl^- and OH^- in water may eventually lie below the valence band maximum of water. We also elucidated the electronic states associated with proton transfer events at high pressure by calculating the projected density of states. Our results represent an important first step in predicting the electronic properties of solutions in supercritical conditions.

CHAPTER 1

INTRODUCTION

Water is the fundamental molecule of life; it plays a vital role in climate change [6, 7], energy conversion [8, 9], and geological evolution [10]. The strong hydrogen bonding interaction and weak van der Waals forces lead to numerous unusual properties of liquid water [11], such as high surface tension, high boiling/melting point, decreased viscosity under pressure, and maximum density at 4°C. Furthermore, due to its polar nature, water possess the ability to dissolve and dissociate a wide range of solutes, and it is considered a universal solvent.

Solid/water interfaces represent an important topic in water research. Electrochemical devices, e.g. several batteries [12, 13, 14], photoelectrochemical cells [15, 16, 17], and biosensors [18, 19, 20] rely on the interactions between electrode materials and water-based electrolytes. In these systems, water not only acts as a solvent for ions but actively participates in chemical reactions at surfaces, enabling, for example, the charge transfer and generation of currents, leading to distinct structural and dynamical properties of interfacial water compared to its bulk form [21, 22]. The interplay between the structural and electronic properties of electrode materials and those of interfacial water significantly influences the performance of electrochemical devices, and gaining detailed insight into the properties of aqueous interfaces requires molecular-level investigations. This involves deriving atomistic structural models and conducting in-depth research on electronic states at solid/water interfaces. It also encompasses the study of adsorption properties of ions on electrode surfaces, the analysis of hydrogen bonding patterns of interfacial water, and the investigation of water dissociation at catalyst surfaces under applied electric fields.

Another active topic in water research relevant to Earth and planetary science is the study of the properties of the fluid at extreme conditions. High pressure and temperature (HPT) affect the structural properties and dissociation processes of water [23, 24], which are crucial in geochemical environments. However, experimental characterization of water

at extreme condition is challenging due to the corrosive properties of the liquid [25, 26]. As a result, the behavior and electronic properties of aqueous fluids under extreme conditions are not very well known and have been studied using a limited number of techniques, such as vibrational spectroscopy and, theoretically, classical molecular dynamics simulations.

The chemical complexity of solid/water interfaces and the challenges involved in probing HPT water call for the use of computational methods capable of addressing multiple properties of the fluid under multiple conditions. One powerful theoretical tool is density functional theory (DFT) [27, 28], which is based on the fundamental physical principles of quantum mechanics. The use of DFT coupled with molecular dynamics simulations, known as first-principles molecular dynamics (FPMD) [29], enables the description of both electronic interactions and dynamical properties of aqueous interfaces. This method has also been employed for the exploration of systems at high pressures and high temperatures, providing valuable insights into the structural behavior of HPT water [30, 31], and amorphous solids [32, 33].

In Chapter 2 of this thesis, we present the theoretical background of first-principles methods used to study aqueous interfaces and HPT water. Starting from the electronic problem, we introduce the nonrelativistic time-independent Schrödinger equation and the Born-Oppenheimer approximation. Next, we present the Hohenberg and Kohn theorems, which set the foundation of DFT. We discuss the Kohn-Sham equations [34, 27] for the calculation of the electronic ground state and the choice of the exchange-correlation functionals used in this thesis. Then we present the theory of FPMD simulations, which couples the electronic structure calculations with molecular Dynamics simulations, as well as finite field methods [35], which allow for the computation of the ground states energy of a solid or fluid in the presence of an electric field. In addition to the theoretical framework, Chapter 2 includes the description of computational methods used to interpret the experimental spectroscopic measurements for interfacial and/or bulk aqueous systems. We first discuss

the calculation of Raman spectra obtained from the system's polarizability and contributions from the effective polarizability of molecules, and then we introduce a method to obtain the photoelectron (PE) spectra from absolute orbital energies.

Using the theoretical frameworks and computational methods of Chapter 2, we present our investigation of the electrochemical properties of semiconductor/water interface [36]. In Chapter 3, we focus on the hydrogenated silicon (Si)/water interface, a system of interest in various electrochemical [37, 16, 38] and bioelectronic devices [1, 39]. As one of the most widely used semiconductor materials, Si-based devices are used in biosensors [40], photocathodes for water splitting cells [41] and transient electronics [1], and are in contact with a water-based electrolyte. In addition, in several instances the interfaces are under the effect of electric fields (e.g. an applied bias). The formation of an electrochemical interface leads to the generation of currents, i.e. capacitive and Faradaic currents. While understanding the behavior of the Si/water interfaces is beneficial for optimizing device performance, it is also a fundamental problem addressing complex aqueous environments, in particular the interplay between surface chemistry and solvation effects. Such effects are critical for interpreting challenging experiments on heterogeneous structures. In our work, we constructed an atomistic model of a Si/water interface by performing FPMD simulations in the presence of electric fields. We determined the electronic structure of the interface by computing flat-band potentials as a function of the electric field and calculating the tunnelling current images. Our work provides insight into the atomistic origin of currents generating at electrified aqueous interfaces. Our study reveals that capacitive currents depend linearly on the magnitude of the applied field, while Faradaic currents are weakly affected by the field and are related to the surface chemistry.

In Chapter 4, we focus on investigating the vibrational and dynamical properties of the Si/water interface. The properties of electrified aqueous interfaces critically depend on the structural arrangement of interfacial water molecules, in particular on the Hydrogen

bond (HB) structures. Vibrational spectroscopy is an ideal tool for exploring the bonding configurations of HBed systems. To comprehend the vibrational signatures of water at the electrode surfaces, the in-situ probing of the interfacial systems is essential. In recent years, the advancement of surface-enhanced Raman spectroscopy (SERS) [42] has allowed for the characterization of the HB networks of water at electrified solid/liquid interface. However, an atomistic interpretation is required to interpret measured Raman spectra. We combined computational method and an in-situ surface-enhanced Raman spectroscopy carried out by collaborators at the University of Illinois, Urbana, to study the vibrational properties of interfacial water at a H-terminated Si surface [43]. We analyzed the HB structures of water at the surfaces, and calculated the Raman spectra from time correlation functions of polarizability tensors. To explore the experimental surface-enhanced Raman spectra at the molecular level, we calculated the effective polarizabilities, and thus obtained the Raman line shape for selected water molecules. The combined effect of surface and electric field on the interface was elucidated. The presence of the surface breaks the HB network of interfacial water molecules, leading to a blue-shift of O-H stretching mode in Raman spectra, relative to pure water. The negative electric field enhances the HB network between water molecules, but further weakens the HB between the H-Si surface and the topmost layer of water, yielding a merged O-H stretching peak in the Raman spectrum. The stable HB networks of interfacial water produced by a positive electric field leads instead to sharp peaks in the low frequencies region of Raman spectra.

In Chapter 5, we turn to studying the electronic properties of aqueous solutions and water under pressure and high temperature [44]. The deep-earth aqueous fluids play an essential role in transport process and may participate in chemical reactions when in contact with rocks in the Earth's interior [45]. Most of the current knowledge of HPT liquids comes from geophysical models and from limited vibrational spectroscopic measurements. The characterization of electronic properties of aqueous solutions and water at high pressure and

high temperature conditions is challenging. First-principles methods are a useful tool to predict the electronic properties of HPT aqueous systems and to interpret experiments. In our study, we calculated the photoelectron (PE) spectra of water and NaCl solutions, at conditions corresponding to those in the Earth's upper mantle (11GPa and 1000K); we used FPMD and DFT with dielectric-dependent hybrid (DDH) functionals [46, 47]. We computed the PE spectra of water and NaCl solution referenced to vacuum and observed a broadening of the HPT spectra relative to ambient conditions. We found that the ionization potentials of ions are underestimated by the semi-local functional PBE relative to DDH, and DDH results show a red shift with increasing P and T which is not reproduced by the PBE functional. To understand the electronic states involved in proton transfer events at HPT, we calculated the projected density of states of selected dissociating species. Our results illustrate the contributions of dissociated species in particular hydroxide, hydronium ions and H_4O_2 to the PE spectra.

The thesis is concluded in Chapter 6, with a discussion and perspective about future work.

CHAPTER 2

THEORETICAL BACKGROUNDS

2.1 Introduction

In this chapter, we present the theoretical methods employed in this thesis. We start from the nonrelativistic time-independent Schrödinger equation and introduce the Born-Oppenheimer approximation. We then provide an overview of density functional theory (DFT), beginning with the Hohenberg and Kohn theorems [34] that establish the connection between electron density and the external potential. The Kohn-Sham equations [27] are discussed, offering a practical approach for solving the electronic structure problem within DFT. We compare various approximations and exchange-correlation functionals used in DFT calculations, which are essential for approximating the unknown exchange-correlation energy functional.

Continuing our exploration, we introduce the concept of First-principles Molecular Dynamics (FPMD) [29], an approach combining electronic structure calculations with Molecular Dynamics simulations, and enabling the study of systems at finite temperatures. Then we introduce the finite-field method [35], which allows for FPMD simulations in finite electric fields. In the later section of this chapter, we shift our focus to the application of FPMD in computing the vibrational and electronic properties of both solid/liquid interfaces and pure water systems. Specifically, we discuss the computational Raman spectra and photoelectron spectra, leveraging the principles and techniques outlined earlier in the chapter.

2.2 The Electronic Problem

In quantum chemistry, solving the electronic problem involves calculating the eigenvalues and eigenvectors of the nonrelativistic time-independent Schrödinger equation.

$$H\Psi = \mathcal{E}\Psi \tag{2.1}$$

Where H is the Hamiltonian operator for a system of nuclei and electrons, Ψ is the wave functions, and \mathcal{E} is the energy. Various numerical methods and approximations have been employed to solve the Equation 2.1. The Born-Oppenheimer approximation simplifies the electronic problem by separating the electronic and nuclear motions. Within this approximation, the kinetic energy of nuclei can be neglected and the repulsion between nuclei can be considered to be constant, and hence, the electronic Hamiltonian for a system with N electrons and M nuclei can be expressed as

$$H_{ele} = \sum_{i=1}^N \frac{1}{2} \nabla_i^2 - \sum_{i=1}^N \sum_{I=1}^M \frac{Z_I}{|\mathbf{r}_i - \mathbf{R}_I|} + \sum_{i=1}^N \sum_{j>i}^N \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|} \quad (2.2)$$

In the above equation, the indices i and j represent electrons, while I denotes the nucleus. \mathbf{r}_i and \mathbf{R}_I are the position vectors for electron and nucleus, respectively. Z_I is the atomic number of nucleus I . The Laplacian operators ∇_i^2 involve differentiation with respect to the coordinates of the i -th electron. The three terms in Equation 2.2 correspond to the kinetic energy of the electrons, the attraction between electrons and nuclei, and the repulsion between electrons. Solving the Schrödinger equation that includes the term H_{ele} yields the electronic wave function and electronic energy, which depend explicitly on the coordinates of electrons and parametrically on the coordinates of nuclei [48].

2.3 Density Functional Theory

2.3.1 The Hohenberg-Kohn Theorems

In the landmark paper published in 1964 [34], P. Hohenberg and W. Kohn proposed the foundation of density functional theory (DFT). The influential work proved what later became known as the Hohenberg-Kohn theorems (H-K theorems). The first theorem states that

The external potential acting on a system of interacting electrons is a unique

functional of the electron density.

This theorem can also be expressed as stating that the total energy of a system of interacting electrons in the presence of an external potential (e.g., that of the nuclei in a solid) is a unique functional of the electron density. We denoted the functional as $E[\rho(\mathbf{r})]$. The second theorem states that

For any trial density ρ_t , such that $\rho(t) \geq 0$ and $\int \rho_t(\mathbf{r})d\mathbf{r} = N$, then $E[\rho_t] \geq E_0$.

This theorem states that the density that minimizes the total energy is the ground state density, and the minimum energy is the ground state energy.

The H-K theorems state that a universal energy functional $E_{HK}[\rho]$ exists. Such functional may be written as the sum of the kinetic energy $T[\rho]$ of the interacting electrons, the external potential $E_{ext}[\rho]$ (e.g., the interaction of electron with the nuclei), and electron-electron interaction $E_{ee}[\rho]$, which includes the Hartree energy:

$$E_{HK}[\rho] = T[\rho] + E_{ext}[\rho] + E_{ee}[\rho] = F_{HK}[\rho] + \int V_{ext}(\mathbf{r})\rho(\mathbf{r})d\mathbf{r} \quad (2.3)$$

The HK theorems do not provide any expression for the energy functional E , which remains unknown.

2.3.2 The Kohn-Sham Equations

In 1965, W. Kohn and L. J. Sham (KS) proposed an approach to evaluate the energy functional E_{HK} in equation 2.3 by considering an auxiliary system that can be solved in a simpler manner [27]. KS assumed that there exists a system of non interacting electrons (auxiliary system) that has the same charge density as that of the system of interacting electrons. For a system of non interacting electrons, the charge density ρ can be written as the sum of the square moduli of single particle orbitals ψ , and the kinetic energy functional can be easily

obtained from the single particle wavefunctions. KS then included all of the many body effects of the interacting system (including those present in the kinetic energy of the interacting system) into an unknown functional, called exchange correlation functional $E_{XC}[\rho]$. The total energy functional is then expressed as

$$E_{KS}[\rho] = T_s[\rho] + E_{ext}[\rho] + E_H[\rho] + E_{XC}[\rho] \quad (2.4)$$

The external potential energy functional $E_{ext}[\rho]$ and Hartree energy functional $E_H[\rho]$ can be determined directly from their classical expressions,

$$E_{ext}[\rho] = \int V_{ext}(\mathbf{r})\rho(\mathbf{r})d\mathbf{r} = - \sum_I^{N_{nuclei}} \int \frac{Z_I}{|\mathbf{R}_I - \mathbf{r}|} \rho(\mathbf{r})d\mathbf{r} \quad (2.5)$$

and

$$E_H[\rho] = \frac{1}{2} \int \int \frac{\rho(\mathbf{r})\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}d\mathbf{r}' \quad (2.6)$$

The kinetic energy functional of non-interacting electron $T_s[\rho]$ is

$$T_s[\rho] = \sum_i^{N_{electron}} \left\langle \psi_i \left| -\frac{1}{2} \nabla^2 \right| \psi_i \right\rangle \quad (2.7)$$

The unknown term, the exchange-correlation energy functional $E_{XC}[\rho]$ includes all the electron-electron interactions. The minimization of $E_{KS}[\rho]$ with respect to the density, subject to the constraint of orthonormality condition of the single particle orbitals results in a set of partial differential equations to be solved self-consistently, the KS equations:

$$H_{KS}\psi_i(\mathbf{r}) = \varepsilon_i\psi_i(\mathbf{r}) \quad (2.8)$$

Where

$$H_{KS} = -\frac{1}{2}\nabla^2 + V_{ext} + V_H + V_{XC} \quad (2.9)$$

The external potential is:

$$V_{ext} = - \sum_I^{N_{nuclei}} \frac{Z_I}{|\mathbf{R}_I - \mathbf{r}|} \quad (2.10)$$

The Hartree potential is

$$V_H = \frac{1}{2} \int \int \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' \quad (2.11)$$

The exchange-correlation potential is the derivative of exchange-correlation energy

$$V_{XC} = \frac{\delta E_{XC}}{\delta \rho(\mathbf{r})} \quad (2.12)$$

As mentioned above, the electron density is the sum of the square moduli of single particle orbitals, the KS orbital ψ_i ,

$$\rho(\mathbf{r}) = \sum_i^{N_{electron}} |\psi_i|^2 \quad (2.13)$$

The ε_i are KS eigenvalues. Note that these eigenvalues are not the energies to add or subtract the electrons from the many-body system.

2.3.3 *Approximations and Exchange-correlation Functionals*

The accuracy of DFT calculations depends on the choice of the exchange-correlation energy functional. The exact form of exchange-correlation is not known and remains an active area of research. As a result, approximations are used to describe this term in practical calculations. The quality of the selection of exchange-correlation energy functional is typically assessed by comparing the computational properties with experimental data, or with results obtained via the calculation from quantum chemistry wave-function methods [49]. Some

early approximations include the local density approximations (LDA) [27] and semi-local generalized gradient approximation (GGA) methods [50].

LDA assumes that the density locally can be approximated as a uniform electron gas. The LDA functional has the form

$$E_{xc}^{LDA}[\rho] \approx \int \rho(\mathbf{r})\varepsilon_{xc}(\rho(\mathbf{r}))d\mathbf{r} \quad (2.14)$$

where $\rho(\mathbf{r})$ is the electron density at position \mathbf{r} , and ε_{xc} is the exchange-correlation energy per electron of a uniform electron gas of density $\rho(\mathbf{r})$.

LDA can provide reasonable accuracy for many systems; however, it does not capture important non-local effects and can lead to limitations in describing systems with strong electron correlation or weak dispersion forces. The GGA considers an inhomogeneous electron gas, with which the exchange and correlation energy depend not only on the electron density but the derivative of the density. The typical form for a GGA functional is

$$E_{xc}^{GGA}[\rho] \approx \int \rho(\mathbf{r})\varepsilon_{xc}(\rho, \nabla\rho)d\mathbf{r} \quad (2.15)$$

The use of GGA has improved the accuracy in calculating certain properties of materials when compared to LDA, such as atomization energies of molecules [50] and binding energies of rare-gas dimers [51]. The introduction of GGA functionals led to widespread acceptance of DFT in the 1990s in the chemistry community [52]. Among the various GGA functionals, the Perdew, Burke, and Ernzerhof (PBE) functional [50] has gained popularity due to its favorable performance-to-cost ratio for electronic structure calculations. PBE has been extensively applied to study a wide range of systems, including solid-state materials, and in the context of this thesis, the PBE functional serves as the primary functional used for the investigations.

The PBE functional may not always provide sufficient accuracy in representing the elec-

tronic properties of certain systems. To overcome this limitation, an improvement can be achieved by incorporating exact Hartree-Fock exchange, leading to hybrid functionals. One example is PBE0[53].

$$E_{xc}^{PBE0} = \alpha E_x^{HF} + (1 - \alpha) E_x^{PBE} + E_c^{PBE} \quad (2.16)$$

The inclusion of exact exchange helps to better capture non-local effects, and in some cases, may improve the treatment of systems with strong electron correlation or weak dispersion forces. The mixing coefficient for the exchange α is argued to be 0.25 for the PBE0 functional from perturbation arguments. For dielectric-dependent hybrid functional (DDH) [46, 47], this parameter is determined from the dielectric constant of the system.

Some calculations present in this thesis also employed a vdW density functional. A proper description of vdW interaction is an important prerequisite to gain insight into the interfacial effects. Many schemes have been developed to enable the dispersion interaction to be accounted for within DFT, one of the most promising methods being the non-local van der Waals density functional (vdW-DF) [54]. The exchange correlation functional for vdW-DF has the form

$$E_{xc} = E_x^{GGA} + E_c^{LDA} + E_c^{nl} \quad (2.17)$$

where E_x^{GGA} and E_c^{LDA} are the exchange energy defined for GGA functionals and correlation energy obtained with LDA, respectively, and E_c^{nl} is the non-local correlation energy, which is based on electron densities interacting via a model response function.

It has been observed that the performance of non-local vdW-DF methods is highly dependent on the choice of the exchange functional. In the original vdW-DF, E_x^{GGA} was derived from a revised version of the PBE functional (known as revPBE). However, an optimized exchange functional called B88 (referred to as 'optB88') was introduced as a replacement

for the revPBE-based functional [55]. This modification resulted in a new functional that exhibits improved performance, particularly when evaluated against the S22 dataset [56], which consists of 22 weakly interacting dimers, primarily of biological significance.

2.3.4 Planewave Pseudopotential Method

The DFT calculations performed in this thesis use a planewave basis set and periodic boundary conditions. The eigenfunctions $\psi_{n,\mathbf{k}}$ of a single-particle Schrödinger equation with a periodic potential can be written as a periodic function $u_{n,\mathbf{k}}$ modulated by a plane wave with wave vector \mathbf{k}

$$\psi_{n,\mathbf{k}}(\mathbf{r}) = u_{n,\mathbf{k}}e^{i\mathbf{k}\cdot\mathbf{r}} \quad (2.18)$$

Since $u_{n,\mathbf{k}}$ is periodic, the wave function may be expressed as a linear combination of plane waves

$$\psi_{n,\mathbf{k}}(\mathbf{r}) = \sum_{\mathbf{G}} c_{n,\mathbf{k}}(\mathbf{G})e^{i(\mathbf{k}+\mathbf{G})\cdot\mathbf{r}} \quad (2.19)$$

where \mathbf{G} is the reciprocal lattice vector. The larger the number of \mathbf{G} vectors, the more accurate the results but the longer the computational time. Hence, the wave functions are truncated by keeping the plane wave vectors $\mathbf{k} + \mathbf{G}$ with a kinetic energy lower than the cutoff value E_{cut}

$$\frac{\hbar^2}{2m}|\mathbf{k} + \mathbf{G}|^2 \leq E_{cut} \quad (2.20)$$

One advantage of using planewave basis sets in DFT is the speedup provided by the FFT algorithm [57] for various calculations. For FPMD simulation, the use of planewave basis sets allows for a convenient way of calculating the ionic forces without basis set superposition effects [58] in comparison with Gaussian basis sets. However, planewave basis sets suffer from slow convergence due to the sharp nodes of core electron wave functions, and therefore,

all-electron calculations require a large number of planewaves. To address this challenge, pseudopotentials are employed to effectively represent the nucleus and core electrons with valence electrons while reducing computational costs. The pseudopotential approximation assumes that valence electrons are sensitive to the chemical bonding environment, while core electrons are chemically inert. The work presented in this thesis utilizes optimized norm-conserving Vanderbilt (ONCV) pseudopotentials [59]. The construction process involves fitting the pseudo wavefunctions to the all-electron valence electron wave functions such that the integral of the squared magnitude of the pseudopotential wave functions is equal to that of the all-electron wave functions.

2.4 Many-Body Perturbation Theory

Although the DFT provides a computationally efficient way to calculate the ground-state electronic properties of condensed-phase systems, accurate description of band structures requires advanced electronic structure theories including the calculations of electronic excited states. In Chapter 3 of this thesis, we employed many-body perturbation theory (MBPT) with the GW approximation to obtain better agreement with experimental measured band gaps of Si and water slabs.

The GW approximation is a specific implementation of MBPT that focuses on improving the description of charged electronic excitations. In 1965, Hedin published the GW method [60]; however, owing to the computational complexity, the first application of the GW method to the solid-state materials was reported 20 years later [61]. The GW method overcomes some of the deficiencies of DFT calculations and is based on the representation of single particle Green's functions, G , whose pole describes single particle excitation energies. The GW method replaces the unknown exchange-correlation term in the DFT calculation by a non-local energy and dependent self-energy Σ , and thus, the KS equation is replaced into a self-consistent set of quasiparticle (QP) equations. The QP states ψ_n^{qp} and QP energies

E_n^{QP} can be obtained from

$$[T + V_{ext}(\mathbf{r}) + V_H(\mathbf{r})]\psi_n^{QP}(\mathbf{r}) + \int d\mathbf{r}' \Sigma(\mathbf{r}, \mathbf{r}'; E_n^{QP})\psi_n^{QP}(\mathbf{r}') = E_n^{QP}\psi_n^{QP}(\mathbf{r}) \quad (2.21)$$

where T is the kinetic energy, V_{ext} is the external potential, and V_H is Hartree potential. Within the GW approximation, Σ can be expressed as

$$\Sigma(\mathbf{r}, \mathbf{r}', \omega) = i \int \frac{d\omega'}{2\pi} G(\mathbf{r}, \mathbf{r}'; \omega + \omega') W(\mathbf{r}, \mathbf{r}'; \omega') \quad (2.22)$$

The G_0W_0 approximation is the simplest version of the GW method. It involves calculating the self-energy without any self-consistent procedure. The G_0W_0 method provides a reasonable balance between accuracy and computational cost, and the QP energies are computed as first-order correction to the KS energies:

$$E_n^{QP} = \epsilon_n + \langle \psi_n | \Sigma_{G_0W_0}(E_n^{QP}) - V_{xc} | \psi_n \rangle \quad (2.23)$$

where ϵ_n is the KS energies and V_{xc} is the exchange-correlation potential from the KS equation.

The demonstrated effectiveness has rendered the GW method a valuable tool for exploring the electronic properties of various materials with diverse applications [62, 63]. For example, previous studies using the GW approximation have included the band structures of semiconductors with defects [64], the band alignment at metal-molecule interfaces [65], and the ionization potentials of organic semiconductors [66]. Additionally, the knowledge of the full spectrum of QP states facilitates the computation optical excitation spectra [63, 67].

2.5 First-Principles Simulations in Finite Temperatures

Classical Molecular dynamics (MD) simulations are valuable tools for studying the structural and thermodynamic properties of materials at finite temperatures. Classical MD generates molecular trajectories based on the classical statistical mechanics with the use of a force field to describe the interactions between atoms and molecules [68]. However, classical MD does not consider the quantum mechanical effects, such as electron-electron and electron-nucleus interactions and therefore lacks the ability to accurately describe properties like bonding in molecular systems, electronic structures, and chemical reactions. To investigate the structural and vibrational behaviors of complex aqueous systems, MD has been coupled with DFT, resulting in First-Principles Molecular Dynamics (FPMD) [29].

2.5.1 *First-Principles Molecular Dynamics*

In FPMD, for N atoms with coordinates $R_I(t)$ at time t , based on the Hellmann-Feynman theorem [69], the ionic forces F_I are obtained from the gradient of the ground state energy, which is calculated by solving the KS equations within DFT. The appropriate exchange-correlation functionals are employed to describe the electronic interactions in the system.

$$F_I = -\nabla_I E \left(\{R_I(t)\} \right) \quad (2.24)$$

Since the time evolution of electrons is much more rapid than that of the nuclei due to the difference in mass, in Born-Oppenheimer molecular dynamics, the motion of electrons and nuclei are treated separately to obtain the trajectory of molecular configurations, where the ground state wave function is first computed by solving KS equation (electronic step), then the coordinates of ions in the system are updated (ionic step) based on

$$M_I \ddot{R}_I = F_I \quad (2.25)$$

where M_I is the mass of the atom associated with the the I-th coordinate.

FPMD simulations offer an accurate description of various structural and dynamical properties of aqueous systems at finite temperatures. The atomistic structures constructed through FPMD simulations enable theoretical predictions of various experiments. For water and aqueous solutions, FPMD-generated trajectories allow for the computation of time-dependent properties, such as Raman [43, 70] and infrared (IR) spectra [71, 72]. In addition to reproducing measurable experimental quantities, FPMD simulations play a crucial role in predicting materials' properties and are vital for materials design [73]. FPMD has become a major tool to investigate the impact of synthetic tunable parameters on performance of electrochemical devices, such as photoelectrochemical cells (PECs) [74, 75, 76], batteries [77, 78], and bioelectronics [36].

It is worth noting that the GGA exchange-correlation functionals, such as the commonly used PBE functional, do not adequately capture nondirectional van der Waals (vdW) interactions, resulting in overstructured properties when simulating liquid water at room temperature [79, 80]. To retain the realistic properties of liquid water at room temperature, PBE simulations are usually conducted at an elevated temperature of 400K [81, 82].

2.5.2 *Neural Network Potential*

The computational cost of FPMD simulations in evaluating the energy and forces of molecules restrict its application to systems contain thousands of atoms.

In recent years, the use of machine learning (ML) potentials has allowed for large-system calculations with first-principle accuracy; ML potentials include neural network potential (NNP) [83], Gaussian approximation potential (GAP) [84], the moment tensor potentials (MTP) [85] and the spectral neighbor analysis potential (SNAP)[86]. In Chapter 5, we use DeePMD [87] to simulate a HPT water slab in a vacuum.

Behler and Parrinello proposed the first neural network potential [83]. The fundamental

concept, grounded in the locality assumption, posits that the overall energy of a system results from the accumulation of individual atomic energy contributions.

$$E = \sum_i E_i \quad (2.26)$$

where E_i is the atomic energy of i -th atom with neighbors within a pre-defined cutoff radius R_c .

$$E_i = E_{s(i)}(\mathbf{R}_i, \mathbf{R}_j) \quad (2.27)$$

\mathbf{R}_i is atomic position of atom i , \mathbf{R}_j is neighbor atoms within the R_c , and $|\mathbf{R}_i - \mathbf{R}_j| \leq R_c$. $s(i)$ is the chemical species of atom i . In NNPs, where descriptors are often used to represent the atomic coordinates, it is a numerical representation that summarizes the characteristics of input data. In the DeePMD potential, the descriptor is constructed by shifting the position of neighbors by the position of atom i , i.e. $\mathbf{R}_{ij} = \mathbf{R}_i - \mathbf{R}_j$, and then introducing a local frame and recording the local coordinate for each atom. Finally, the descriptive information of atoms in the cutoff is segregated into full and radial-only information. The NNPs map the descriptors to atomic energy. The NNs are fully connected layers of linear transformations, and these contain the input descriptor vectors \mathbf{x} , weights \mathbf{W} , biases \mathbf{b} , nonlinear activation function φ , hidden layer \mathbf{h} and output vectors \mathbf{y} [88]. To construct a deep NN with L hidden layers

$$\mathbf{h}_1 = \sigma(\mathbf{W}_1 \mathbf{x} + \mathbf{b}_1) \quad (2.28)$$

$$\mathbf{h}_2 = \sigma(\mathbf{W}_2 \mathbf{h}_1 + \mathbf{b}_2) \quad (2.29)$$

$$\vdots \quad (2.30)$$

$$\mathbf{h}_L = \sigma(\mathbf{W}_L \mathbf{h}_{L-1} + \mathbf{b}_L) \quad (2.31)$$

$$\mathbf{y} = \mathbf{W}_{L+1} \mathbf{h}_L + \mathbf{b}_{L+1} \quad (2.32)$$

The parameters \mathbf{W} and \mathbf{b} are initialized randomly and optimized to minimize the loss function that measures the discrepancy between the predicted output and reference data. In DeepMD the loss function is defined as the mean square error (MSE).

$$L(p_\epsilon, p_f, p_\xi) = \frac{p_\epsilon}{N} \Delta E^2 + \frac{p_f}{3N} \sum_i |\Delta \mathbf{F}_i|^2 + \frac{p_\xi}{9N} \|\Delta \Xi\|^2 \quad (2.33)$$

The p_ϵ , p_f , p_ξ are prefactors that relate to the learning rate and can be adjusted during the training process. ΔE , $\Delta \mathbf{F}_i$, $\Delta \Xi$ are root mean square error of energy, force, and virial.

The development of NNP has unlocked possibilities of exploring large and complex systems, and enabled significant progress that was previously impeded by the computational costs associated with conventional electronic-structure methods. In addition to the advantages in investigating the structural properties of large-scale systems [89, 90, 11, 91], NNPs have proven to be an essential tool to study electrochemical systems [92], including the proton transfer on TiO_2 surfaces [93], the Hydrogen evolution reactions on Pt [94], and ion transport in Li-ion batteries [95].

2.6 First-Principles Simulations in Finite Electric Fields

First-principles simulations may be performed in the presence of a finite electric field through two methods: linear response and the finite field methods. The linear response method based on density functional perturbation theory (DFPT) [96] treats the electric field as a perturbation and computes response properties [97]. For the finite field method, the electric field is introduced by carrying out the calculation of the electronic ground state using the electric enthalpy as defined by Souza et al. [35]. This latter method has been implemented in the massively parallel, open source Qbox code [98], hence in this thesis, we mainly use the finite field approach to simulate an electrified interfacial model from first-principles.

To calculate the ground state of an insulating system under a finite electric field, we solve

for the field-polarized Bloch functions by minimizing the electric enthalpy functional [99],

$$\mathcal{F}[u_{n\mathbf{k}}; \mathbf{E}] = E_{KS} - \Omega \mathbf{P}_{mac} \cdot \mathbf{E} \quad (2.34)$$

where $u_{n\mathbf{k}}$ is the periodic part of the field-polarized Bloch function $\psi_{n\mathbf{k}}(\mathbf{r})$,

$$\psi_{n\mathbf{k}}(\mathbf{r}) = e^{i\mathbf{k}\cdot\mathbf{r}} u_{n\mathbf{k}}(\mathbf{r}) \quad (2.35)$$

and \mathbf{E} is the macroscopic field, Ω is the unit cell volume, and E_{KS} is Kohn–Sham energy. The macroscopic polarization \mathbf{P}_{mac} was obtained using the Berry-phase approach [100, 101]

$$\mathbf{P}_{mac} = \frac{-2e}{(2\pi)^3} \sum_n \int_{BZ} d\mathbf{k} \langle u_{n\mathbf{k}} | i\nabla_{\mathbf{k}} | u_{n\mathbf{k}} \rangle \quad (2.36)$$

It should be noted that the electric enthalpy will lose its minima when the \mathbf{E} gets too big [35], which occurs for

$$e|\mathbf{E} \cdot \mathbf{a}_i| \simeq \frac{E_{gap}}{N_i} \quad (2.37)$$

where E_{gap} is the energy gap of the system, \mathbf{a}_i is the lattice vector along the direction of the applied electric field, and N_i is the the number of k-points along the reciprocal lattice vector i , in the $N_1 \times N_2 \times N_3$ k-mesh.

First-principles simulations of the polarizability and dielectric properties of materials require electric field response calculations [102]. The development and implementation of finite electric field methods have enabled the evaluation of these quantities, allowing for the theoretical modeling of Raman and sum-frequency generation (SFG) spectra of water and aqueous interfaces [43, 103, 45]. Moreover, the construction of electrified structures brings us closer to modeling experimental setups, including batteries, photoelectrochemical cells, and bioelectronics [104]. In such devices, the electrode/electrolyte interface is subjected to an external electric field or undergoes an electrochemical charge transfer process. FPMD

simulations coupled with the finite field approach have been utilized to study the structural behavior of NaCl and methanol solutions under an electric field [105, 106], as well as phenomena occurring at electrode surfaces, such as water dissociation [107] and electrochemical currents [36].

Despite recent advancements in describing liquid and aqueous interfaces in the presence of electric fields, simulating electrified electrochemical systems still presents challenges, particularly in terms of computational cost due to the size of the simulation cell and the required time scale [8]. The finite field approach may suffer from slow convergence as a function of the supercell size [97]. However, to understand the microscopic properties of aqueous interfaces for electrochemical applications, the construction of realistic atomistic models of systems containing thousands of electrons is necessary. This challenge may be addressed in the future by integrating new algorithms with high-performance computing capabilities.

2.7 Computational Raman Spectroscopy

As discussed in Section 2.5, the accurate calculation of Raman spectra of water and aqueous interface involves the evaluation of polarization tensors as the function of time, which requires first-principles simulations in the presence of external electric fields. The polarizability tensor can be accessed using density functional perturbation theory (DFPT) [43] or by carrying out simulations in a finite electric field, and obtaining the polarization from the maximally localized Wannier functions [108]. The Raman spectra are then obtained from the correlation function (TCF) of polarizability tensors computed for snapshots extracted from FPMD trajectories.

The polarizability tensor α can be decomposed into an isotropic part

$$\bar{\alpha} = \frac{1}{3}Tr\alpha \tag{2.38}$$

and an anisotropic part

$$\boldsymbol{\beta} = \boldsymbol{\alpha} - \mathbf{1}\bar{\alpha}, \quad (2.39)$$

These two terms correspond to the isotropic R_{iso} and anisotropic component R_{aniso} of Raman spectra, respectively:

$$R_{iso}(\omega) \propto \frac{\hbar\omega}{k_b T} \int dt e^{-i\omega t} \langle \bar{\alpha}(0)\bar{\alpha}(t) \rangle \quad (2.40)$$

$$R_{aniso}(\omega) \propto \frac{2}{15} \frac{\hbar\omega}{k_b T} \int dt e^{-i\omega t} \langle Tr\beta(0)\beta(t) \rangle \quad (2.41)$$

where ω is the frequency shift of Raman spectra. Equations 2.40 and 2.41 originate from the differential cross section of Raman scattering and relate to the polarization directions of the incident and scattered light. In practice, experimental measurements of Raman scattering are the linear combinations of isotropic and anisotropic Raman component.

2.7.1 Maximally Localized Wannier Functions

Obtaining the molecular contributions of Raman spectra requires the calculation of Maximally localized Wannier functions (MLWFs) [108]. Wannier functions are a set of orthogonal functions obtained from unitary transformation of Bloch orbitals that provide a localized description of the electronic structure. MLWFs are a subset of Wannier functions that are optimized to be as localized as possible in real space. The goal of MLWFs is to minimize the spread of the electronic wave function while still preserving the important features of the underlying electronic structure. Wannier centers are a measure of the spatial localization of electrons within a crystal. They provide information about the average position of the electronic charge density associated with a particular Wannier function. The Wannier center of the n th MLWF w_n is defined as

$$r_{n,i}^0 = \frac{L_i}{2\pi} \text{Im} \ln \langle w_n | e^{i \frac{2\pi}{L_i} r_i} | w_n \rangle \quad (2.42)$$

where L_i denotes i -th cell dimension, w_n is obtained by applying a unitary transformation to the occupied KS eigenstates.

2.7.2 Effective Polarizability

To identify molecular contributions to the total Raman line shapes, we can calculate the effective polarizability [43] of individual molecules in the system, as obtained from the derivative of the molecular dipole moment with respect to the electric field. The dipole moment can be obtained using MLWFs, as a function of simulation time $\boldsymbol{\mu}(t)$:

$$\boldsymbol{\mu}(t) = 6e \sum_i \mathbf{r}_i^O(t) + e \sum_j \mathbf{r}_j^H(t) - 2e \sum_k \mathbf{r}_k^{MLWF}(t) \quad (2.43)$$

where $\mathbf{r}_i^O(t)$ and $\mathbf{r}_j^H(t)$ are the coordinates of the Oxygen and Hydrogen atoms. The third term $\mathbf{r}_k^{MLWF}(t)$ is the coordinate of MLWFs centers belonging to a water molecule. Within the Born-Oppenheimer approximation, the polarizability tensor $\boldsymbol{\alpha}$ at time t can be obtained from the response of the dipole moment under a small electric field \mathbf{E} .

$$\boldsymbol{\alpha}(t) = \frac{\delta \boldsymbol{\mu}(t)}{\delta \mathbf{E}} \quad (2.44)$$

In this thesis, the effective polarizability tensor, denoted as $\boldsymbol{\alpha}_{ij}$ for a molecule i , is obtained by applying a small electric field along each of the Cartesian axes. To compute the molecular dipole moment $\boldsymbol{\mu}_i$ for an individual molecule in the system, we rely on its atomic coordinates and the centers of MLWFs. By employing the centered finite difference expression in six different directions, we can determine the change in dipole moment resulting from a small perturbation of an electric field.

$$\alpha_{ij}^{\text{eff}} = \frac{\boldsymbol{\mu}_i(+\delta E_j) - \boldsymbol{\mu}_i(-\delta E_j)}{2\delta E_j} \quad (2.45)$$

Note that the effective polarizability is obtained by projecting the total polarizability tensor onto each individual molecule described by MLWFs. In the case of a water molecule, there are four MLWFs, which correspond to two covalent bond pairs (BP) and two lone pairs (LP).

$$\boldsymbol{\alpha}_i^{\text{eff}} = \boldsymbol{\alpha}_{i,BP1}^{\text{eff}} + \boldsymbol{\alpha}_{i,BP2}^{\text{eff}} + \boldsymbol{\alpha}_{i,LP1}^{\text{eff}} + \boldsymbol{\alpha}_{i,LP2}^{\text{eff}} \quad (2.46)$$

The effective polarizability also differs from the molecular polarizability; the latter only depends on the electronic structure of the molecule, and hence, it does not account for dipole-induced dipole contributions arising from the environment.

When summing the effective polarizability tensor over all i species in the system, we obtain the total polarizability of the system.

$$\boldsymbol{\alpha}(t) = \sum_i \boldsymbol{\alpha}_i^{\text{eff}}(t) \quad (2.47)$$

We decomposed the Raman spectra into interfacial contributions by selecting surface water molecules and calculating their corresponding effective polarizability tensors. The Raman line shapes of interfacial water molecules could then be obtained from the TCF of effective polarizability tensors.

$$R_{iso}(\omega) \propto \frac{\hbar\omega}{k_bT} \int dt e^{-i\omega t} \langle \sum_{i,j} \bar{\alpha}_i^{\text{eff}}(0) \bar{\alpha}_j^{\text{eff}}(t) \rangle \quad (2.48)$$

$$R_{aniso}(\omega) \propto \frac{2}{15} \frac{\hbar\omega}{k_bT} \int dt e^{-i\omega t} \langle \text{Tr} \sum_{i,j} \beta_i^{\text{eff}}(0) \beta_j^{\text{eff}}(t) \rangle \quad (2.49)$$

Based on these theoretical foundations, Putrino et al. conducted one of the earliest

FPMD studies on Raman scattering utilizing DFPT to investigate H-bond structures of ice under varying high pressures [109, 110]. Quan et al. later carried out the first Raman spectra study of liquid water using DFPT with 64 heavy water molecules at 400K [43]. The analysis involved calculating the effective polarizabilities, which enables the decomposition of Raman spectra into individual molecules. The differences in intramolecular and intermolecular contributions were also discussed.

Since then, the computational Raman spectroscopy has predominantly focused on bulk systems like high-pressure Hydrogen [111], Methyloxirane [70], and ZnCl_2 melt [112]. Recent advancements include the use of deep neural network-based potentials to reproduce Raman spectra [4]. These neural network models accurately predict vibrational properties of water and heavy water with FPMD-level accuracy, bypassing the need for expensive simulations [113].

The invention of nanoparticle-enhanced Raman spectroscopy in 2010 [114] opened up new possibilities for experimental investigations of electrochemical interfaces. However, to gain a deeper understanding of the interfacial structures and their vibrational behavior under the influence of an electric field, it is essential to complement experimental findings with computational studies of Raman spectra using the finite-field method and FPMD. This approach not only provides an interpretation to the experimental spectra but also allows for the exploration of individual interfacial molecules' contributions to the spectral features. In Chapter 4 of this thesis, a comprehensive and detailed discussion of this topic will be presented, shedding light on the Raman spectroscopy of interfacial systems.

2.8 Computational Photoelectron Spectra

2.8.1 Absolute Orbital Energies

Photoelectron (PE) spectra can be obtained from the electronic density of states (DOS) using DFT. However, though the eigenvalue differences obtained from DFT are well defined, the eigenvalues obtained with the plane-wave pseudopotential method for periodic systems are not well defined [5, 115]. Hence, the computed energy states cannot be directly compared with experimental measured values. In order to obtain absolute energies $\tilde{\varepsilon}_i$, we reference the electronic energies with the energy level corresponding to vacuum,

$$\tilde{\varepsilon}_i = \varepsilon_i - \Delta V - V_{\text{bulk}} \quad (2.50)$$

where ε_i denotes Kohn-Sham eigenvalues computed for a bulk system in periodic plane-wave calculations. The term V_{bulk} is the averaged electrostatic potential $V(\mathbf{r})$ for bulk water samples.

2.8.2 The Electrostatic Potential

The electrostatic potential is defined as the sum of Hartree potential $V_H(\mathbf{r})$ due to the valence electron density, and a local part of the pseudopotential $V_{loc}(\mathbf{r})$, which includes the potential due to the nuclei and the core electrons, written as sum of spherical functions $V_{loc}^{(i)}$ centered at nucleus at \mathbf{r}_i [116]

$$V(\mathbf{r}) = V_H(\mathbf{r}) + V_{loc}(\mathbf{r}) \quad (2.51)$$

where

$$V_H(\mathbf{r}) = \int \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' \quad (2.52)$$

$$V_{loc}(\mathbf{r}) = \sum_i V_{loc}^{(i)}(|\mathbf{r} - \mathbf{r}_i|) \quad (2.53)$$

The term ΔV represents the electrostatic potential difference between the regions corresponding to the vacuum and bulk liquid.

$$\Delta V = \bar{V}_{\text{vacuum}} - \bar{V}_{\text{liquid}} \quad (2.54)$$

To determine this value, an interfacial model needs to be constructed. The potential difference for a specific structure can be calculated by taking the plane-average of $V(\mathbf{r})$ along the direction perpendicular to the interface[117]. In Cartesian coordinates, if the direction of interest is along the z -axis, the potential difference can be expressed as

$$\bar{V}(z) = \frac{1}{A} \langle \int \int V(x, y, z) dx dy \rangle \quad (2.55)$$

Here, A represents the cross-sectional area of the interface. The integral is taken over the region spanning the interface.

In the calculations of PE spectra for water or aqueous solutions, the term ΔV can be obtained by carrying out MD simulations of the liquid in contact with a vacuum and then carrying out electronic structure calculations on the trajectories generated for the liquid/vacuum slab.

CHAPTER 3

ELECTRONIC PROPERTIES OF ELECTRIFIED SEMICONDUCTOR AND WATER INTERFACES

This chapter is reproduced with permission from Ye, Z., Prominski, A., Tian, B., and Galli, G. (2021). Probing the electronic properties of the electrified silicon/water interface by combining simulations and experiments. *Proceedings of the National Academy of Sciences*, 118(46), e2114929118.

3.1 Introduction

Silicon-based materials have been used in a myriad of applications, including field-effect-transistor(FET)-based biosensing [118, 119], photoelectrochemical cells for water splitting [41, 37], transient electronics for minimally invasive implants [120], and photodiode-enhanced neuromodulation [1, 121, 122] (Figure 3.1). In all these devices, the Si surfaces are in contact with water, and the interfaces are either under the effect of an electric field (e.g., in the case of an FET biosensor or a photodiode-enhanced neuromodulator), or undergoing an electrochemical process (e.g., in the case of transient electronics or a water-splitting cell). These Si/water electrified interfaces can produce capacitive and/or Faradaic currents, which in turn can impact the signal transduction mechanism and efficacy of Si-based electrochemical or photoelectrochemical devices. Additionally, unintended electrochemical or photoelectrochemical current leakage at the Si/water interface may raise the noise level of the electronic or optoelectronic devices that are operated in an aqueous environment.

While the understanding and control of electrified semiconductor/water interfaces are important for both fundamental studies and technological applications, experimental approaches that can directly probe the interfacial dynamics and electrochemical reactivity at the atomistic level are still limited [123], especially in transient regimes. The aqueous envi-

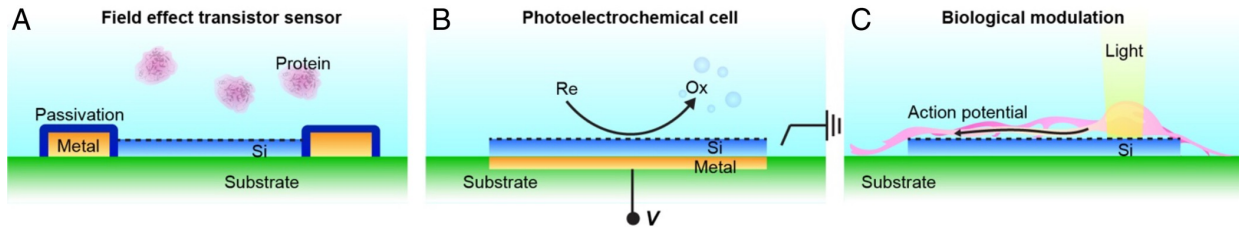


Figure 3.1: Electrified Si/water interfaces in silicon-based electronic, electrochemical, and photoelectrochemical devices. The dashed lines denote the Si/water interfaces. (A) Si nanowire FET sensor for proteins. The electrified Si/water interface may yield current leakage or corrosion, raising the noise level or causing device failure. (B) Si homojunction or heterojunction photoelectrochemical cells. Technically important applications such as water splitting can be assisted by this process. (C) Si homojunction- or heterojunction-based biological modulation tool. In one important case, light can produce photoelectrochemical effect at the Si surface for neuromodulation[1].

ronment present in biological and electrochemical systems is often rather complex; it includes multiple surface adsorbates leading to different charge-transfer mechanisms, and the interplay between the surface chemistry and solvation effects usually hampers a spectroscopic investigation of the electrified electrode/liquid interface at the atomistic level. Computer simulations, on the other hand, can provide valuable information on the structural and electronic properties of aqueous interfaces [73, 22, 124, 125, 126] at the atomistic level, especially when first-principles methods [29] are used to describe interatomic forces and bond breaking and formation. When integrated with experiments [127], these simulations may help us understand specific Faradaic and non-Faradaic processes occurring at interfaces that in turn underpin the functions of bioelectronic and electrochemical devices. In Faradaic processes, currents cross the interface by virtue of an electrochemical reaction, while there is no transfer of ions or electrons across the electrode in non-Faradaic (or capacitive) processes. In the latter case, an equilibrium charge–voltage (σ - V) curve can be constructed, while in Faradaic processes one can construct a steady-state current–voltage (i - V) curve [128].

Here we focus on processes relevant to transient electronics and photoelectrochemical modulation of biological cells and tissues, where hydrogenated Si surfaces are initially in contact with water. Si-based transient electronics are largely based on the dissolution of Si

in water [129], where the Si–H bond attack by water molecules is typically expected to occur. In photoelectrochemical modulation, freshly etched Si nanowires or multilayered membranes are usually prepared and the surface of Si is hydrogen-terminated [1]. To investigate these aqueous interfaces, we generated an atomistic model of the electrified interface between the hydrogenated Si(100) surface and water by performing first-principles molecular dynamics (FPMD) [29] simulations in the presence of an electric field [130, 35]. We determined the electronic structure of the interface as a function of the applied bias, including band offsets, flat-band potentials, and interfacial scanning tunneling microscope (STM) images. We then investigated the origin of capacitive and Faradaic processes by directly comparing simulation and experimental results obtained for Si wafers etched in hydrofluoric acid (HF) so as to yield a hydrogen-terminated surface. Our work provides a strategy and a protocol to study electrified interfaces for biological and transient electronic applications, and it gives insight into the atomistic origin of capacitive and Faradaic currents. Interestingly, our simulations, validated by pulsed chronoamperometry measurements, show that capacitive currents depend almost linearly on the magnitude of the applied field, while Faradaic currents are weakly affected by the presence and magnitude of the applied electric field or by doping of the sample.

3.2 Methods

3.2.1 Computer Simulations and Electronic Structure Calculations

In our simulations we constructed a hydrogenated Si slab to model the electronic properties of Si in contact with water before the formation of the oxidation layer. In order to validate the results of the simulations, in our experiments we etched the Si surfaces with HF to remove any oxidized layers. This treatment yields Si surfaces mostly covered with H atoms, with a small amount of Si dangling bonds due to the corrosion of HF.

In particular, we modeled an H-Si/water interface with a supercell consisting of 124 water

molecules interfaced with a eight-layer hydrogenated Si(100) slab with 128 Si atoms, and we terminated the surface with hydrogen atoms. We also introduced a dangling bond on the surface, before equilibration, to mimic the presence of defects that are expected to be present in freshly prepared experimental samples. The interfacial thickness between Si and water was determined using the results of a previous study [22].

We first carried out first-principles Molecular Dynamics (FPMD) simulations using the Perdew-Burke-Ernzerho (PBE) exchange-correlation functional [50], norm-conserving pseudopotentials [59], and a plane wave basis set and kinetic energy cutoff of 60 Ry. The Γ point was used to sample the Brillouin zone of the supercell. We generated trajectories in the NVT ensemble using the Qbox code [98] at a target temperature of 400K with the Bussi, Donadio, and Parrinello (BDP) thermostat [131]. The target temperature was chosen to be higher than room temperature to model structural properties of water in better agreement with experiments, when using the PBE functional [132]. The whole slab was equilibrated at 400 K, including the Si part.

To understand the effect of van der Waals interactions on the description of the properties of liquid water, bulk Si, and the interface we also conducted additional FPMD simulations with the van der Waals density functional optB88 [55] at a target temperature of 330 K. We calculated the lattice parameter of bulk Si related with optB88 and PBE, and compared with the experimental value, as shown in Table 3.1. The lattice constants of bulk Si obtained with PBE and optB88 calculated in the present work are similar to reported computational values, as well as to the experimental measurement.

We also compared the structural properties of water obtained with optB88 and PBE functionals in the absence of bias. We present a detailed comparison between the results obtained with the two functionals. Specifically, We conducted FPMD simulations with van der Waals density functional optB88 at 330K and PBE at 400K. The two temperature were chosen to correct for inaccuracies of the two functionals in modeling the structure of water

Table 3.1: The lattice parameter of bulk Si relaxed with the van der Waals functional optB88 and semi-local functional PBE. The lattice constant of bulk Si obtained with the PBE and optB88 functionals are compared with previous simulation results as well as with experimental values. The lattice constants obtained with PBE and opbB88 differ by $\sim 0.1\%$.

Functional	Reference, Å[133]	Present work, Å
optB88	5.460	5.450
PBE	5.466	5.456
Exp. 5.416Å[133].		

(See Ref. [3] and [134] for optB88 and PBE, respectively).

To analyze the structural properties of interfacial water, we computed the molecular dipole moment of water using maximally localized Wannier functions. A comparison of the results of the two functionals have been presented in Figure 3.2 and 3.3 showing similar results.

The calculations of the lattice parameters of Si slab and the structural properties of water using two functionals, have led us to conclude that for the objectives of this work using the PBE functional is sufficiently accurate and hence we conducted the simulations under bias using PBE.

To model the electrified interface, we performed simulations in the presence of an finite electric field by carrying out the calculation of the electronic ground state using the electric enthalpy as defined by Souza et al. [35]. A detailed theoretical introduction of FPMD simulations under an finite electric field calculation can be found in Chapter 2, Section 2.6.

At each step of the FPMD we minimized the electric enthalpy functional,

$$\mathcal{F}[u_{n\mathbf{k}}; \mathbf{E}] = E_{KS} - \Omega \mathbf{P}_{mac} \cdot \mathbf{E} \quad (3.1)$$

Where $u_{n\mathbf{k}}$ is the periodic part of the field-polarized Bloch function, E is the macroscopic field, Ω is the unit cell volume, and E_{KS} is Kohn–Sham energy. The macroscopic polarization

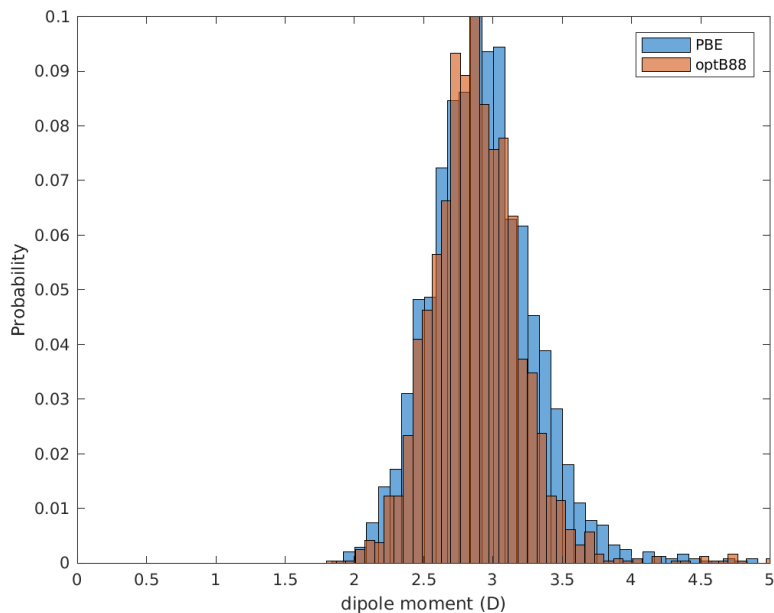


Figure 3.2: The probability distribution of molecular dipole moment of water obtained for PBE and optB88 equilibrated samples. The simulations were conducted with 124 water molecules and the BDP thermostat. When using PBE, the average dipole moment of water molecules is $\sim 2.93\text{D}$, slightly smaller than that of the bulk PBE water $\sim 3.06\text{D}$ by 4.2%. Such a decrease has been previously observed close to surfaces and under confinement. [2] The average dipole moment of water molecules calculated with the optB88 functional ($\sim 2.88\text{D}$) is slightly smaller than the PBE one, yet similar (1.7% difference), again consistent with previous reports [3]. The decrease relative to the optB88 bulk values $\sim 3.00\text{D}$ is 4.0%, similar to the decrease 4.2% found in the PBE case.

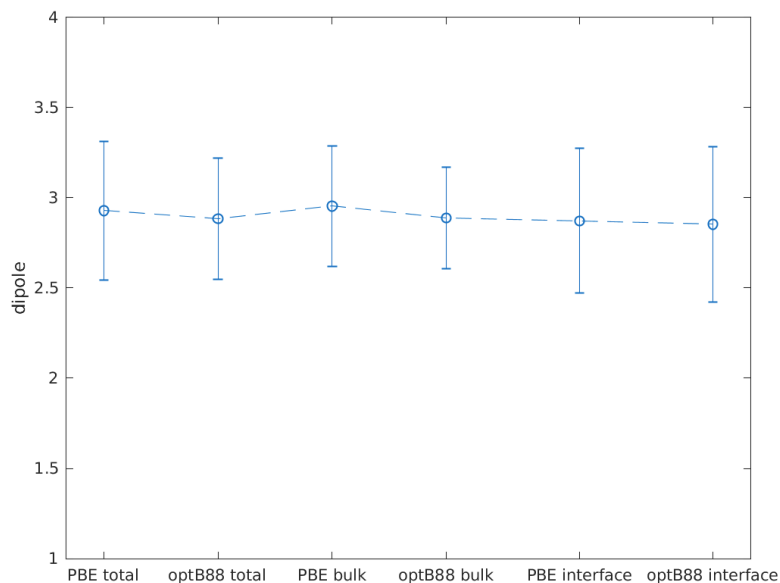


Figure 3.3: Molecular dipole moment (D) of water molecules in bulk and interfacial regions (within 5\AA from the surface) of a simulation conducted with 124 water molecules using PBE and optB88 equilibrated samples. When using the PBE functional, we find that water molecules in the bulk region show a slightly larger dipole moment compared with those in the interfacial region, ($2.95D$ vs. $2.87D$). When using the optB88 functional, we find the same the trend: water molecules in the bulk region have a larger dipole than the interfacial region ($2.89D$ vs. $2.85D$). Comparing quantitatively the PBE and optB88 results, we find that the reduction of dipole moment from the bulk to the interfacial region is slightly more significant for PBE ($\sim 2.7\%$) than optB88 water ($\sim 1.4\%$).

\mathbf{P}_{mac} was obtained using the Berry-phase theory [100, 101].

The electric field was applied along the direction perpendicular to the surface to model the accumulation of charge that results experimentally when using n-type Si interfaced with water. The field intensities were chosen so that built-in potentials are comparable to those of experimental PIN-Si structures [135], assuming the experimental thickness of the intrinsic layer to be around 150 nm [1]. The electric field intensities and built-in potentials used in our work are listed in Table 3.2. We note that the intensity of the electric field considered here corresponds to energies smaller than thermal energies, and hence the dynamics and structure of water were not perturbed during our FPMD simulations.

Table 3.2: The intensities of electric field applied to the H-Si/water interface in this study and the corresponding built-in potentials. The electric field was determined based on the thickness of the intrinsic layer ($\sim 150nm$) of the experimental PIN-Si structure, and the built-in voltage across a Si p-n diode junction ($\sim 0.7V$). We also considered smaller electric fields relevant to the electronic properties of Si-based bioelectronic devices.

Electric field, a.u	Voltage, V
0	0
4.6×10^{-6}	0.35
7.0×10^{-6}	0.54
9.5×10^{-6}	0.73

We equilibrated and collected FPMD trajectories for pristine and electrified samples for ~ 10 and 5 ps, respectively. For the equilibration process, we collected FPMD trajectories for pristine and electrified samples for ~ 10 and 5ps, respectively. We checked the equilibration process by monitoring whether the total energy of the system fluctuated at a stable value and whether the system temperatures reached the target. We also calculated the equipartition of energy between different species to verify the equilibration process, the normalized probability distribution of temperature for H, O and Si have been illustrated in Figure 3.4.

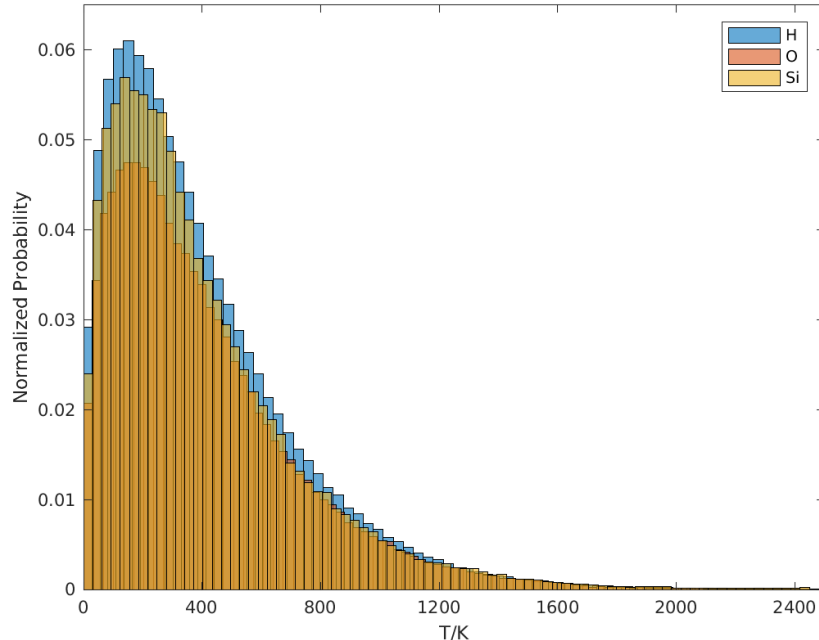


Figure 3.4: Normalized probability distribution of temperature (in terms of squared velocity) of individual species of the FPMD with a thermostat set to 400K for PBE functional. The average temperature for H, O and Si atoms are all reached the target temperature of 400K

The data for electronic structure calculations beyond DFT were originally obtained with the WEST code interfaced with Quantum ESPRESSO[136, 137]. The latter code was also used for STM image calculations.

3.2.2 Pulsed Chronoamperometry Measurements

In order to measure capacitive and Faradaic currents we performed pulsed chronoamperometry using silicon electrodes. Electrodes were prepared from (100) silicon wafers (550 μm , n-type, 0.001 to 0.005 $\Omega\text{ cm}$; Nova Electronic Materials). In short, a 5-nm chromium layer and 10-nm gold layer were deposited sequentially on the back side of the 10- \times 10-mm wafer using an electron-beam evaporator (EvoVac; Angstrom Engineering). The connecting copper wires were then soldered to the gold contact. The connection, together with part of the front wafer surface, was insulated using a fast-set epoxy (MG Chemicals). The area of

tested electrode was $\sim 0.77 \text{ cm}^2$. Right before the measurement, the electrodes were cleaned in isopropanol in an ultrasonic bath for 5 min. Subsequently, the surface oxide was removed in concentrated HF (48 to 51%; Acros Organics) for 1 min. Finally, the electrode was soaked in ultrapure water for 1 min, washed with copious amounts of ultrapure water, and dried using compressed nitrogen.

Pulsed chronoamperometry was performed using a potentiostat (SP-200; BioLogic) controlled with EC-Lab Express. The time base of measurements was $140 \mu\text{s}$. A platinum wire was used as a counterelectrode and an Ag/AgCl (1 M) electrode was used as a reference. For the measurement, the silicon electrode was put into the electrochemical cell filled with phosphate-buffered saline solution at room temperature and had the resting potential of $\sim 300 \text{ mV}$. A series of 500-ms pulses with variable negative potentials vs. initial electrode resting potential was applied to silver electrode and current transients were measured. The rest period between subsequent pulses was 1,000 ms. Transient currents were taken as a difference between the holding current and the specific points on the response curve: The capacitive current for each pulse was defined as a maximal negative recorded current and the Faradaic current as an average current observed in the last 25 ms of a pulse. The values represent a mean of three recordings from a representative electrode.

3.3 Results and discussion

After equilibrating the H-Si/water interface using FPMD, we computed band offsets and flat-band potentials as a function of the applied field to understand the qualitative behavior of capacitive currents as a function of the applied voltage. The magnitude of the electric field was chosen to be similar to that present when operating Si-based electronic, electrochemical, and photoelectrochemical devices in water [122]. Capacitive and Faradaic currents were also measured with the pulsed chronoamperometry method [138, 139] and used to validate our simulation results; in addition, computed STM images were used to characterize and

understand the origin of Faradaic processes.

3.3.1 Capacitive Currents

We start by discussing capacitive currents, which originate from an electron accumulation near the solid/water interfacial region, giving rise to an energy barrier at the interface. We investigate such an energy barrier by computing the band offsets between water and the silicon surface and the flat-band potential. The changes of band offsets and flat-band potential as a function of the electric field are indicative of changes in the electron accumulation at the interface, which in turn regulates the presence and magnitude of capacitive currents.

We computed band offsets of several snapshots and averaged the results, following the protocol of Ref. [22]. Twenty snapshots, evenly spaced in time, were extracted from an equilibrated MD trajectory, for which we computed the electronic structure at the density functional theory (DFT) level of theory.

We then corrected our DFT results for single particle energy levels using the G_0W_0 approximation [61, 60]. Our findings for nonelectrified samples were consistent with previous literature reports [22, 140]. The computed position of the valence band maximum of Si with respect to vacuum (-5.049 eV) is consistent with the experimental ionization potential 5.29 eV measured for an H-terminated Si(111) surface [141]. The band edge positions calculated at the PBE [50] level of theory and with G_0W_0 corrections, as a function of the applied field, are summarized in Table 3.3.

Our results show that the conduction band offset of the electrified samples is decreased with increasing intensity of the applied electric field (see Table 3.4), suggesting a lower energy barrier for electron accumulation at the Si surface or for electron injection into water. To quantify the energy barrier and the effect of the electric field on band bending, we computed the flat-band potentials U_{fb} of the Si surface at the electrochemical interface.

The flat-band potential U_{fb} is defined as the electrochemical potential of an interface at

Table 3.3: Valence band maximum (VBM) and conduction band minimum (CBM) of the H-Si/water interface, as a function of the applied electric field. The values were calculated using DFT with PBE functional and corrected using G_0W_0 approximation.

Voltage, V	VBM_{DFT} , eV	CBM_{DFT} , eV	$VBM_{G_0W_0}$, eV	$CBM_{G_0W_0}$, eV
0	-3.80	-4.55	-5.05	-3.70
0.35	-3.67	-4.42	-4.92	-3.57
0.54	-3.58	-4.33	-4.83	-3.48
0.73	-3.43	-4.18	-4.68	-3.33

Table 3.4: Computed valence band offsets (VBO), conduction band offsets (CBO), and flat-band potentials (U_{fb}) of the H-Si(100)/water interface as a function of the applied voltage. We report results including G_0W_0 corrections on results obtained by carrying out FPMD simulations at the DFT level.

Voltage, V	VBO, eV	CBO, eV	U_{fb} vs. vacuum, eV	U_{fb} vs. SCE, eV
0	4.01	2.60	-4.37	-0.31
0.35	4.14	2.47	-4.12	-0.56
0.54	4.23	2.38	-3.93	-0.75
0.73	4.38	2.23	-3.64	-1.04

which the semiconductor bands are flat [74]. For an n-type semiconductor, which we want to mimic here, it may be expressed with reference to vacuum as

$$U_{fb} = E_{CB} - \Delta E_F + V_{dip} + V_H \tag{3.2}$$

where E_{CB} is the position of the conduction band edge and ΔE_F is the energy difference between the Fermi level and the conduction band edge. We determined the position of the Fermi level referenced to vacuum $E_F = E_{CB} - \Delta E_F$ as the midpoint between the conduction band minimum (CBM) and VBM. In Eq. 3.2, V_{dip} is the potential drop due to the dipole layer formed at the interface [142]. The electric field and solvation effect both contribute to determine the values of V_{dip} ; since the VBM and CBM were computed in the presence of explicit water molecules, solvation effects are automatically included in our calculations. The contribution from the electric field was obtained from the difference of the electrostatic potential between electrified and nonelectrified samples. The values of E_F and V_{dip} are summarized in Table 3.5.

Table 3.5: The computed flat-band potential U_{fb} of different electrified samples at point of zero conditions; the V_{dip} and E_F were obtained from band alignment calculations. V_{dip} is the electrostatic potential difference between electrified and non-electrified Si(100)/Water structure. The E_F is determined as the midpoint between the CBM and VBM. Since the band edge positions were computed in the presence of water molecules, solvation effects are included.

Voltage, V	V_{dip} , eV	E_F , eV	U_{fb} vs. vacuum, eV
0	0	-4.37	-4.37
0.35	0.129	-4.25	-4.12
0.54	0.224	-4.15	-3.93
0.73	0.368	-4.00	-3.64

Finally, V_H is the potential drop across the Helmholtz layer due to ion accumulation

and absorption at the interface, which in the case of our simulation is zero since we did not include any ions. According to the Nernst equation, at room temperature

$$V_H = 0.059(pH - pH_{PZC}) \tag{3.3}$$

where pH_{PZC} is the pH value at which the point of zero charge (PZC) condition is realized. By setting V_H to zero, we computed the flat-band potential at PZC conditions; for an Si surface, such a condition corresponds to $pH = pH_{PZC} \sim 2$ to 3 [143]. In order to compare with experiments, the computed flat-band potential was referenced to the standard calomel electrode (SCE) on the absolute scale (-4.68 eV) [144]. Since the experimental flat-band potential for n-type Si can be sensitive to the exact surface termination and oxidation conditions (32), we compared our computed value with data measured from HF-treated Si samples which are expected to yield hydrogen-terminated surfaces such as those investigated in our simulations. The results, shown in the last two columns of Table 3.4, indicate that the computed U_{fb} are qualitatively in the range of the experimental U_{fb} , which is around $-0.2 \sim -0.6$ at the PZC [145]. We note that the variability of experimental results may be due to measurements carried out in slightly different conditions; for example, the results may depend on the stage of the oxidation process at which the flat-band potential is measured.

Our simulations indicate that for n-type Si in solution the U_{fb} decreases with increasing magnitude of a negative electric field. Such a decrease is expected to lead to a higher degree of electron accumulation at the interface and hence to higher capacitive currents, or to an easier charge injection into water, which would produce Faradaic currents at the electrified n-type Si/water interface. These results are consistent with prior experimental observations, where the photoelectrochemical current produced from a photodiode subject to a larger photovoltage yields stronger amplitude of photocapacitive currents [1].

In order to validate the predictions of our FP simulations and the validity of the model used here, we performed pulsed chronoamperometry experiments (Figure 3.5) [138, 139],

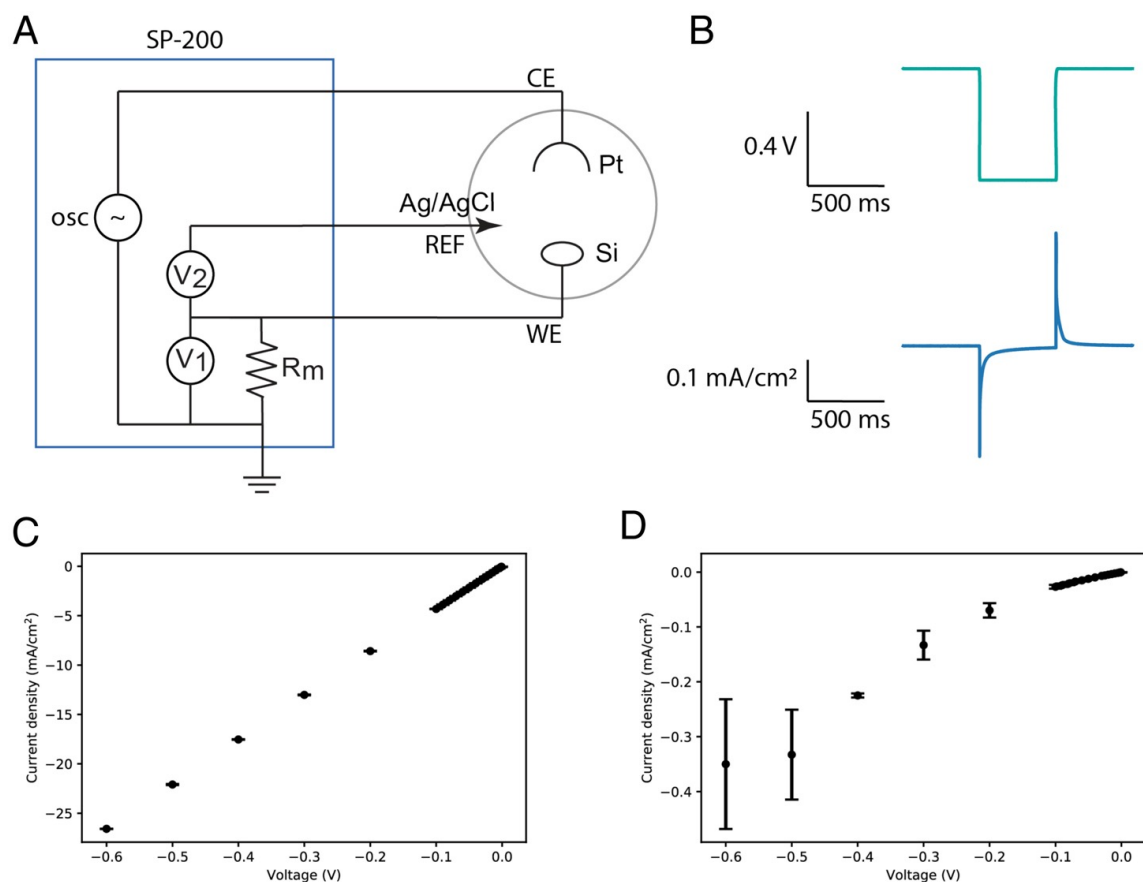


Figure 3.5: Pulsed chronoamperometry experiments using silicon electrodes. (A) Three-electrode experimental setup used for the measurements. (B) Representative voltage traces and recorded current response of the silicon electrode. (C) Capacitive current density and (D) Faradaic current density as the function of applied voltage. Both the capacitive and Faradaic current of wired Si wafer increases with the increasing of external electric field intensity.

where negative voltage pulses with different amplitudes were applied to newly prepared n-type Si wafers in an electrochemical setup. We observed that capacitive currents substantially increase with increasing applied voltage intensity (Figure 3.5C), consistent with the trend observed in our simulations (see Table 3.4), where the capacitive currents are predicted to increase with the increasing intensity of the electric field. In addition, we found that the Faradaic currents are significantly smaller than the capacitive ones and are weakly dependent on voltage in the high voltage range (Figure 3.5D).

3.3.2 Faradic Currents

We turned again to simulations to investigate Faradaic processes at the atomistic level, and to this end we computed STM images of the pristine and electrified H-Si/water interfaces. In the electrochemical measurements, the Faradaic current is associated with surface redox reactions. The change of ion concentrations leads to a charge redistribution in the interfacial region. Such process can be probed by placing a conductive tip near the surface (patch-clamp method), where the ionic flow from the surface to the tip are measured as Faradaic current signals.

The physical processes occurring in STM experiments are similar to those probed by the patch-clamp method [146] used to study Faradaic currents in several devices.

Here, we computed two-dimensional (2D) STM tunneling current images in planes parallel to the interface using the Tersoff–Hamann approximation[147, 148], and we evaluated the local density of states (LDOS):

$$LDOS(\epsilon, x, y) = 2\sum_i |\psi_i(x, y)|^2 \delta(\epsilon - \epsilon_i)|_z \quad (3.4)$$

where (ϵ, x, y) is the single particle wave function projected on a given x–y plane, the factor of 2 accounts for the spin degeneracy, \sum_i denotes the Kohn–Sham eigenvalues, and z represents the position of the tip above the interface. The tunneling current (I) in the x–y plane can then be obtained from the integral of the LDOS:

$$I \propto \int_{\epsilon_f - eV}^{\epsilon_f} LDOS(\epsilon, x, y) d\epsilon \quad (3.5)$$

where ϵ_f is the Fermi energy and eV is the bias applied by the tip, which is chosen to be negative to model the electron transfer from the surface to the tip. We first determined the position of the virtual tip by identifying the interfacial region from the LDOS plotted along the direction perpendicular to the interface [149], as shown in Figure 3.6. The interfacial

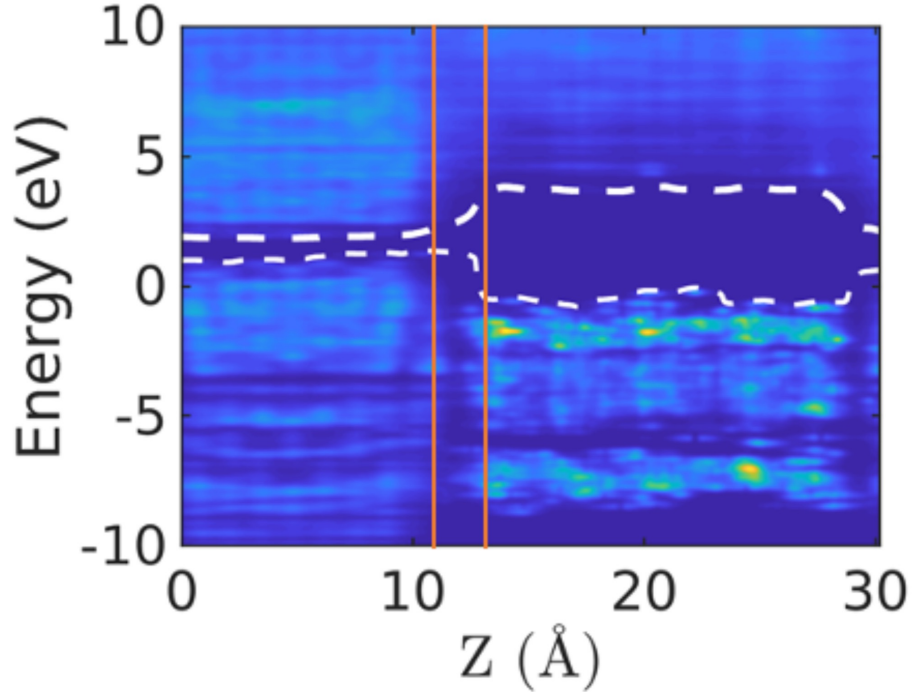


Figure 3.6: LDOS projected in the direction perpendicular to the interface (z); the VBM and CBM are indicated by white dashed lines. Note that the LDOS is computed here at the DFT/PBE level for the purpose of identifying an interfacial region, although our computed eigenvalues in Table 3.4 are all corrected using the G_0W_0 approximation. The interfacial region is shown by the two orange lines.

region is approximately defined by the two lines parallel to the interface shown in the figure. In our model, we positioned the tip inside the interfacial region, i.e., around 2\AA above the H atoms of the hydrogenated Si(100), thus capturing the current stemming from the interaction between the surface and the interfacial water molecules.

Figure 3.7 shows the tunneling current at constant voltage conditions (-200 meV , -700 meV , and -1 eV) obtained from Eq. 3.5 for the nonelectrified interface. Higher voltage probes energy levels of crystalline structure of Si, as apparent from Figure 3.7C. Note that increasing the tip bias does not change the position or area of the high-current-density region. We found that the high-current region originates from an interface state (shown in Figure 3.8A) which is generated by the presence of a dangling bond at the Si surface. Such a defect was introduced manually in our computational sample by removing an H terminating a Si

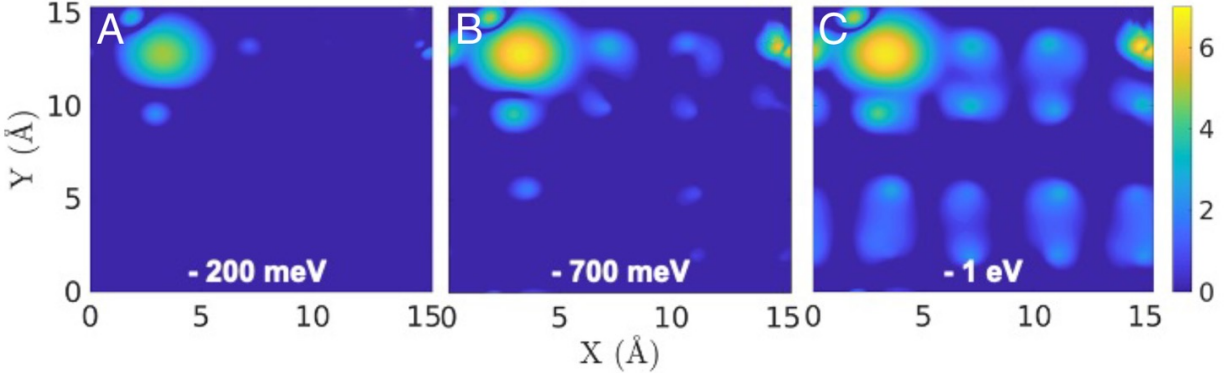


Figure 3.7: STM images computed at the interfacial region of the H-Si surface (see Figure 3.6) using Eq 3.5 at (A) -200 meV, (B) -700 meV, and (C) -1 eV. The high current density stemming from the surface reaction corresponds to the brighter region in the images. The color bar is in logarithm scale.

atom and letting it diffuse in the bulk of the water sample. This dangling bond in the computational sample mimics one of the processes which may occur experimentally in the early stages of the oxidization of a freshly prepared H-terminated Si substrate; such a process has been shown to produce hydrogen gas [150, 151].

We note that in our simulation the formation of Si–OH bonds, shown in Figure 3.8B, can be observed over short time scales, and we expect that such an event would appear multiple times in longer simulations. We also note that the occurrence of this bond was observed in simulations carried out with different density functionals (Figure 3.2 and Figure 3.3), and thus appears to be a robust feature of our computational model.

The oxidation of Si dangling bonds suggests that the Faradaic current might be measurable experimentally only for newly treated surface samples, before the reactive sites are gradually oxidized by water. We note that in the presence of Faradaic currents, devices with aqueous interfaces might degrade over time, consistent with experimental observations in transient electronics and the degradation of Si-based FET sensors.

We also computed the STM images for electrified samples shown in Figure 3.9, and found that the area or position of high-current-density regions showed barely any difference relative to the nonelectrified sample, confirming that the origin of Faradaic currents is related

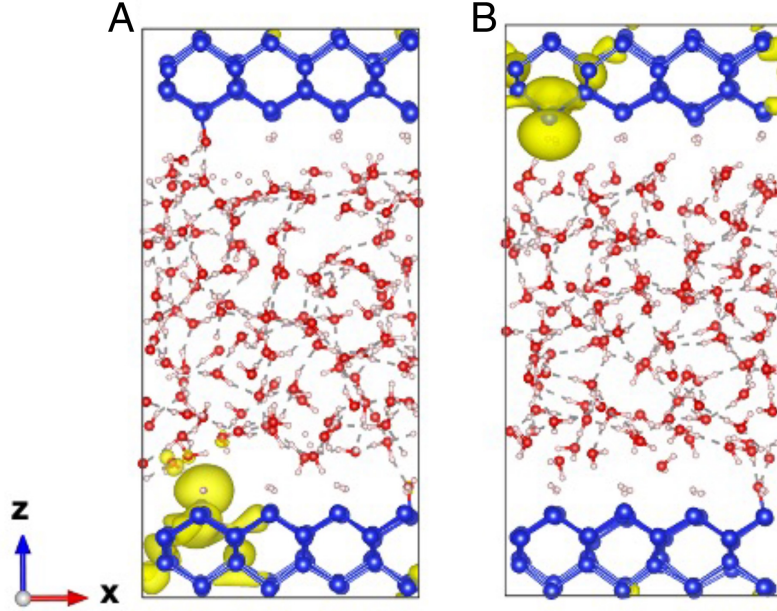


Figure 3.8: Iso-surface of the charge density (in yellow) for the states corresponding to a dangling bond at the surface (see main text). Silicon, oxygen, and hydrogen atoms are indicated by blue, red, and white spheres, respectively. A and B show two configurations of the surface.

to surface chemistry, on which the influence of the electric field is weak; however, the current density for electrified samples under the tip bias is slightly larger than for the nonelectrified counterpart, consistent with our electronic structure findings.

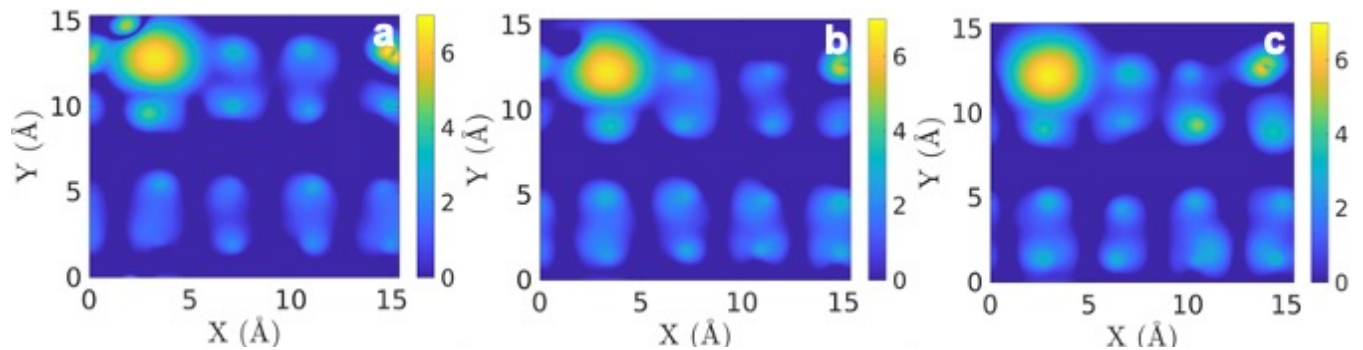


Figure 3.9: Computed tunneling current images (see main text) for a bias voltage -1eV for nonelectrified (a) and electrified (b,c) samples. In (b) and (c) the voltage applied to the interface is 0.35V , and 0.67V , respectively. The area and position for high current density regions is the same for electrified and non-electrified samples; the maximum current value is slightly larger in electrified samples than in non-electrified ones.

The results of our calculations showing that the Faradaic processes are weakly dependent

on the applied bias are validated by the trends observed in our pulsed chronoamperometry (Figure 3.5C and D) experiments: While the capacitive currents are linearly proportional to the applied voltage, the Faradaic current grows slower in the voltage regime investigated in this study, where presumably not all dangling bond defects present at the surface have been oxidized. This observation also agrees with previous neuromodulation studies, where the intensity of Faradaic currents from Si-based modulators is not significantly enhanced by an increase of the photovoltage (i.e., use of p-i-n diode configuration versus a pure p-type Si)[1].

3.4 Conclusions

In this work we derived an atomistic model of electrified H-Si/water interfaces from FP to investigate capacitive and Faradaic currents at interfaces and gain insight into the functions of electrochemical devices at the microscopic level. We focused on Si(100), a prototypical semiconducting material, as Si is the most biocompatible and biodegradable of all known semiconductors, and thus relevant to many biological interface studies.

We explicitly devised experiments to validate our models and predictions. In particular, we computed the band offsets at the Si/water interface as a function of the electric field using methods based on DFT [29, 50] and many-body perturbation theory (GW) [61, 60]. We then determined the flat-band potentials of a Si electrode (energy barrier) as a function of bias and we found that it decreases when the intensity of the electric field increases, suggesting a high degree of electron accumulation in the case of n-type Si interfaced with water. Such an accumulation may lead to capacitive currents or to injection of charges ultimately responsible for Faradaic currents. The results of our simulations were validated by pulsed chronoamperometry measurements for Si wafers, which consistently showed that capacitive currents depend almost linearly on the magnitude of the applied field. These results are consistent with those of prior studies on the photoelectrochemical currents in Si

photodiode-based neuromodulation tools [1].

In addition, we analyzed Faradaic currents by computing 2D tunneling current images corresponding to STM experiments. Similar to the patch-clamp method in photoresponse measurements, STM experiments can probe the current originating from the electrode surface at a given bias and tip position. The tunneling current was obtained by integrating the local density of states (LDOS) projected on a plane parallel to the surface [147, 148]. We found that the high-current-density regions observed in 2D tunneling current images correspond to interface electronic states arising from dangling bonds (defects) present at the Si surface, which we expect to be present in freshly prepared experimental samples. In our simulations we found that the magnitude of Faradaic currents is weakly affected by the presence and magnitude of the applied electric field or by doping, and these results were again confirmed by our patch-clamp experiments [1].

Our combined simulation and experimental study provided a comprehensive picture of the physical properties of the electrified H-Si/water interface and it represents a first, key step in understanding, at the microscopic levels, the Si-based electrochemical or photoelectrochemical devices relevant to transient electronics and biomodulation applications. Interestingly, our findings reveal a previously overlooked origin of Faradaic processes at the Si/water interface. As nanostructured Si has been widely used for a range of applications in solution, the defects of the Si surface (such as dangling bonds or Si-H bonds) may contribute significantly to Faradaic processes that are desirable for several applications, for example in the case of hydrogen evolution at the surface of nanoporous Si particles [152], or in the case of neural modulations with nanocrystalline Si nanowires [121].

CHAPTER 4

VIBRATIONAL SPECTROSCOPY OF ELECTRIFIED SEMICONDUCTOR AND WATER INTERFACES

This chapter is adapted from a preprint of a paper in preparation by Ye, Z., Zhao, F., Zhang, Y., Gygi, F., and Galli, G. (2023). "Computational and Experimental study of Raman spectra of electrified Si/Water interfaces".

4.1 Introduction

Aqueous interfaces play an important role in numerous electrochemical processes occurring, for example, in batteries [153, 154, 155, 156], bio-electronic devices [157, 158], and photo-electrochemical cells [159, 160, 161]. In many of these devices, the electrode surfaces are in contact with an aqueous electrolyte solution, and the interface is under the influence of an electric field. Electrons and ions are transferred at the interface, leading to chemical reactions and/or generation of electrical currents. The electrochemical properties of aqueous, electrified interfaces critically depend on the structural arrangement of interfacial water molecules, in particular on how the H-bond (HB) network is modified [162, 163], relative to that of pristine, bulk water [164]. The modifications of the network stem from the complex interplay between the influence of the surface in contact with the solution and the presence of an electric field [165, 164]. Therefore, investigating the structural and dynamical properties of water at electrified interfaces is an essential prerequisite to understanding and eventually optimizing the performance of electrochemical devices.

The number of hydrogen bonds between interfacial water molecules decreases with respect to the bulk liquid, leading, in many cases, to a weakening of the HB network and a spectral blue-shift of the O-H stretching band in vibrational sum frequency generation (SFG), Raman and infrared (IR) spectra [166, 167, 168]. The electric field is responsible for reorientation

of water molecules relative to the electrode surface [169, 170] and hence it is indirectly responsible for changes in the HB network. All of these effects contribute to a voltage-dependent evolution of the O-H stretching band of water at interfaces, as observed, for example, from in situ Raman spectroscopy [171].

Recently, the use of surface-enhanced Raman Spectroscopy (SERS) has enabled the study of aqueous interfaces with high sensitivity and selectivity [172, 42, 173]. In addition, the advancement of shell-isolated nanoparticle-enhanced Raman spectroscopy (SHINERS) has overcome the morphological constraints of SERS. Instead of being restricted to a rough plasmonic metal surface, SHINERS employs a monolayer of core shell nanoparticles [174, 175], enabling the measurements of Raman signals at the interface of water with several types of crystalline surfaces. This innovative technique has been applied to probe water dissociation and catalytic reactions occurring at electrified electrode surfaces [171, 176, 177].

While SHINERS has the potential to probe a wide range of material surfaces, its application has predominantly focused on metallic surfaces, where the local surface plasmonic resonance provided by nanoparticles can be further enhanced by the sample itself. However, for semiconductor/liquid interfaces, achieving high surface sensitivity remains a challenging task. Hence, a combined investigation using both computational and experimental techniques becomes indispensable for interpreting spectral features at the molecular level. This approach is particularly valuable in distinguishing the contributions of Raman signals from interfacial and bulk water molecules, which may facilitate a deeper understanding of electrochemical processes, including those relevant to photoelectrochemical water splitting and photocatalysis.

Computational studies of water at electrified interface have been carried out to explore electrochemical currents [36], surface-assisted proton transfer [178], and the structure of the electric double layer [179]. With the goal of interpreting Raman spectra, vibrational density of states (VDOS) have been calculated to investigate the O-H stretching mode of

water at electrified electrode surfaces [167]. However, the accurate calculation of Raman spectra of water at electrified interface is much more complex and demanding than that of the VODS, as it involves the calculation of polarization correlation functions [180, 181, 163], which require the use of first-principles electronic structure methods. The polarizability tensor can be evaluated using density functional perturbation theory (DFPT) [43] or by carrying out simulations in finite electric field, and obtaining the polarization from maximally localized Wannier functions (MLWFs) [134]. The Raman spectra are then obtained from the correlation function (TCF) of polarizability tensors [182] computed for snapshots extracted from first-principles Molecular dynamics (FPMD) [29] trajectories. Previous studies utilizing these methods have shown good agreement between experimental and computational spectra [43, 134, 113, 111, 45] of pristine water, but they have not yet been applied to electrified interfaces.

In this study, we combine computational and experimental methods to explore the Raman spectra of interfacial liquid water in contact with a semiconductor surface. In particular, we consider a hydrogenated silicon/water interface, as silicon(Si)-based materials are broadly used in electrochemical and photoelectrochemical devices. We employed FPMD to calculate the Raman spectra. In addition, by computing effective polarizability tensors we could establish a clear relationship between features in the spectra and structural properties of the water network at the interface and thus understand the influence and vibrational signatures of the electric field on the structure of the interfacial fluid. We found that in the case of the electrified interface under negative bias, the applied field leads to a reduction of the number of HBs formed between the H-terminated Si surface and the top most water layer, and to an enhancement of the HB interactions between water molecules, with signatures of these effects recognizable in the Raman spectra. Instead, for the electrified interface under positive bias, the applied field leads to an enhancement of both the HB interactions between water and the surface and between water molecules, leading to semi-ordered structures that give

rise to well-defined Raman peaks.

To validate our computational analysis, in-situ electrochemical surface-enhanced Raman spectroscopy measurements were conducted on electrified si/water interfaces. Notably, we observed a peak corresponding to the free OH group in the high-frequency region of the Raman spectra under a large negative bias. This observation indicates the presence of weakly hydrogen-bonded structures at the interface due to the combined effects of the surface and electric field, consistent with the proposed water structure identified in our computer simulations.

Overall, our work provides valuable insights into electrified semiconductor/water interfaces at the molecular level, and in particular into the identification of specific structural features through Raman spectroscopy. By combining first principles computational approaches and validating our results with experiments, we gained a deep understanding of the impact of an external electric field on water in contact with a semiconductor surface.

4.2 Method

4.2.1 Computational methods

Our model consists of 124 water molecules and an eight-layer H-terminated Si(100) slab [36]. We carried out FPMD simulations using the Qbox code [98] with the PBE exchange-correlation functional [183], and the Bussi, Donadio, and Parrinello thermostat [131]. The choice of the PBE functional is motivated by its ability to provide reasonable description of water at relatively low computational cost [132]. We used a plane wave basis set with a kinetic energy cutoff of 65 Ry and norm-conserving pseudopotentials [59]. The Γ point was used to sample the Brillouin zone of the periodically repeated slab used to represent the interface. The H-terminated Si(100) slab and liquid water were thermalized and equilibrated with FPMD at a target temperature of 400K (to correct for at least some of the inaccuracies

of the PBE functional for water), with a time step of 0.24 fs [132].

We modeled the presence of an electric field by calculating the electric enthalpy [35] and we obtained the macroscopic polarization using the Berry-phase method [100, 101]. The intensity of the electric field used in our calculations is 5.14×10^7 V/m. We note that the value chosen here is smaller than the field typically applied in experiments; our choice is based on the technical limit dictated by the band gap of silicon and the dimensions of the simulation slab along the direction of the applied field. The electric field is applied homogeneously along the direction perpendicular to the Si surface to model an electrified electrode/water interface, and Raman spectra calculations were performed for snapshots extracted from FPMD trajectories, by evaluating TCF of the polarizability tensor of the system. Details about calculations of the polarizability tensor and Raman spectra using the finite field method can be found in Chapter 2, Section 2.7.

The polarizability tensor $\boldsymbol{\alpha}$ can be decomposed into a isotropic $\bar{\alpha} = \frac{1}{3}Tr\boldsymbol{\alpha}$, and an anisotropic term $\boldsymbol{\beta} = \boldsymbol{\alpha} - \mathbf{1}\bar{\alpha}$, corresponding to the isotropic R_{iso} and anisotropic component R_{aniso} of the Raman spectra [43, 184], respectively:

$$R_{iso}(\omega) \propto \frac{\hbar\omega}{k_bT} \int dt e^{-i\omega t} \langle \bar{\alpha}(0)\bar{\alpha}(t) \rangle \quad (4.1)$$

$$R_{aniso}(\omega) \propto \frac{2}{15} \frac{\hbar\omega}{k_bT} \int dt e^{-i\omega t} \langle Tr(\boldsymbol{\beta}(0)\boldsymbol{\beta}(t)) \rangle \quad (4.2)$$

where ω is the frequency shift of Raman spectra. In experimental measurements of Raman scattering, linear combinations of isotropic and anisotropic spectral components [182] are measured.

To further identify molecular contributions to the total Raman line shapes, we computed the polarizability tensor of individual water molecules in the liquid, as obtained from the derivative of the molecular dipole moment with respect to the electric field. We calculated

the dipole moment using MLWFs [108], as a function of simulation time $\boldsymbol{\mu}(t)$:

$$\boldsymbol{\mu}(t) = 6e \sum_i \mathbf{r}_i^O(t) + e \sum_j \mathbf{r}_j^H(t) - 2e \sum_k \mathbf{r}_k^{MLWF}(t) \quad (4.3)$$

where $\mathbf{r}_i^O(t)$ and $\mathbf{r}_j^H(t)$, are the coordinates of the Oxygen and Hydrogen atoms, and $\mathbf{r}_k^{MLWF}(t)$ is the coordinate of MLWFs centers belonging to a water molecule. Within the Born-Oppenheimer approximation, the polarizability tensor $\boldsymbol{\alpha}$ at time t can be obtained from the response of the dipole moment under a small electric field \mathbf{E} .

$$\boldsymbol{\alpha}(t) = \frac{\delta \boldsymbol{\mu}(t)}{\delta \mathbf{E}} \quad (4.4)$$

The effective polarizability $\boldsymbol{\alpha}_i$ of single water molecules was obtained by applying the electric field along each of the Cartesian axes. Note that the effective polarizability is the projection of the total polarizability tensor onto each single molecule in the system, and it includes dipole-induced dipole contributions; hence, the effective polarizability differs from the molecular polarizability, which only depends on the electronic structure of the molecule. When summing the effective polarizability tensor over all of the species in the system, we obtain the total polarizability.

$$\boldsymbol{\alpha}(t) = \sum_i \boldsymbol{\alpha}_i(t) \quad (4.5)$$

We decomposed the Raman spectra into interfacial contributions by selecting water molecules residing in proximity of the surface and calculating their corresponding effective polarizability tensors. The Raman line shapes of interfacial water molecules could then be obtained from the TCF of effective polarizability tensors.

4.2.2 *In-situ electrochemical Raman measurements*

In-situ electrochemical SHINERS measurements were carried out in a commercial cell from Dek Research. A ‘Si film on Au nanoparticle’ configuration was used to serve as the working electrode, and Ag/AgCl (BASi MF-2052) and Pt wire (CHI 115) were used as reference and counter electrodes, respectively. Specifically, the working electrode was prepared by sputtering 2 nm of Si onto Au nanoparticle decorated Au substrate. The thickness and coverage of the deposited Si layer were verified by scanning transmission electron microscopy (STEM, ThermoFisher Scientific Talos F200X G2), as shown in Figure 4.1. Electrochemical measurements were performed using a CH Instrument 600E potentiostat. Raman measurements were carried out using a Horiba LabRAM HR Raman spectroscopy imaging system. The objective lens was 50 \times and the grating was 300 grooves/mm. The laser source has a wavelength of 633 nm, and the power was selected to be \sim 3.5 mW.

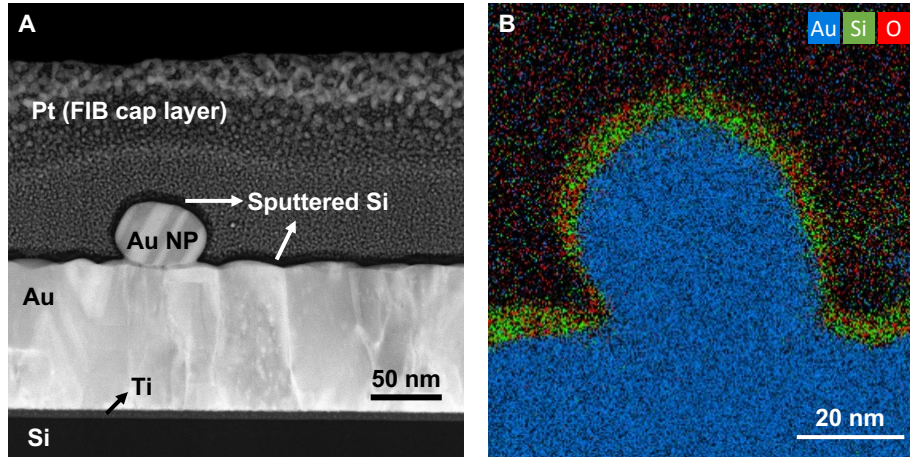


Figure 4.1: Thickness and coverage of SiO_2 layer (Si layer after oxidation). A. STEM image of the cross-section of the sample. The SiO_2 layer was proven to cover the entire surface of Au substrate and Au nanoparticles, though at the side-wall area it is a bit thinner. The thickness of the SiO_2 layer is around 4 nm. According to the expansion ratio of Si oxidation, the original Si layer is supposed to be around 2 nm thick, ensuring a good enhancement effect. The Pt layer was introduced in the slice sample preparation process with focused ion beam (FIB, FEI Helios 600i Dual Beam SEM/FIB). B. Energy dispersive spectra (EDS) mapping of elemental distribution.

4.3 Results and Discussion

4.3.1 Structural properties and Raman spectra of the pristine Si-H/Water interface

The analysis of HBs of water in the pristine H-Si/Water interface was conducted on FPMD trajectories [36], and we plotted the average number of H-bonds as the function of z (the direction perpendicular to the surface) in Figure 4.2 left.

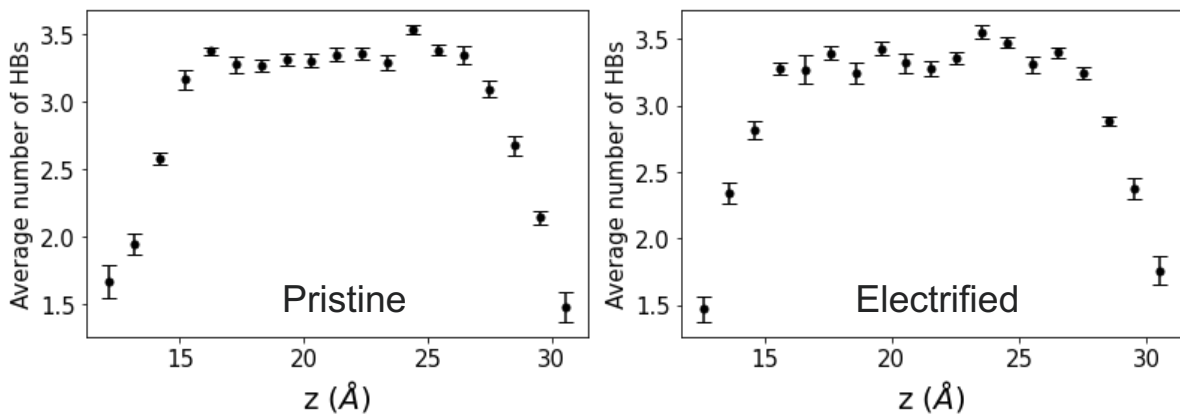


Figure 4.2: The computed average number of H-bonds as a function of the vertical distance from the surface (z) for a pristine (left) and electrified (right) interface.

We considered two molecules as H bonded if the distance between the Oxygen and Hydrogen atoms was in the range of 1.3 Å to 2.5 Å and the O-H \cdots H angle was less than 30 degrees [185]. The distance cutoff was based on the computed Oxygen-Hydrogen pair distribution function. As expected, the average number of HBs for water molecules in the bulk region was found to be approximately 3.5, while a reduced number of HBs of less than 3 was observed for water molecules near the substrate. The decrease in the number of HB at the surface is accompanied by a decrease of the dipole moment of interfacial water molecules relative to those in the bulk region (2.87D vs. 2.95D), consistent with other interfacial studies [2].

We first computed the vibrational density of state (VDOS) of the nonelectrified H-Si/Water structure from the TCF of the velocities and identified the contributions of different

species in the system to the various peaks, as illustrated in Figure 4.3. We observed that the vibrations of Si-H bonds give rise to the bands at approximately 600 cm^{-1} and 2100 cm^{-1} , corresponding to Si-H bending and stretching modes [186], respectively. The O-H stretching at $3000\text{-}3800\text{ cm}^{-1}$, librations at $500\text{-}600\text{ cm}^{-1}$ and bending at 1600 cm^{-1} are related to contributions from liquid water [187].

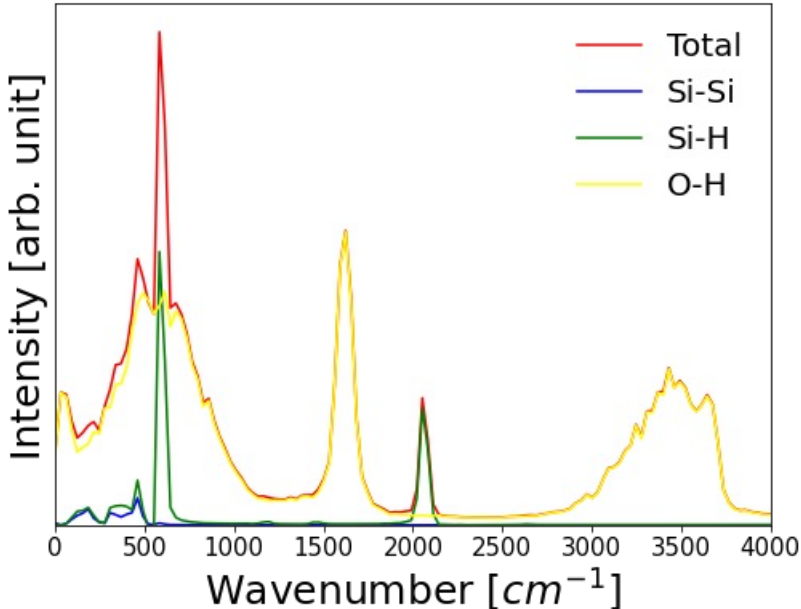


Figure 4.3: Vibrational density of states of the pristine H-Si/water interface computed from the velocity/velocity correlation function and averaged over first-principles MD trajectories.

We then calculated the isotropic and anisotropic Raman spectra of the nonelectrified Si/Water interface based on the system’s polarizability tensors, as shown in Figure 4.4. We observed a peak at $2000\text{-}2100\text{ cm}^{-1}$; these frequencies are within the range of vibrational frequency of the Si-H stretching mode calculated from the VDOS. The broad peak at $2800\text{-}3800\text{ cm}^{-1}$ is related to the O-H stretching mode of water. The peak at about $500\text{-}600\text{ cm}^{-1}$ arises from the librations of water and from the Si-H bending mode. The positions of all these peaks are consistent with those observed in the experimental Raman spectrum measured for Si films in contact with water [188, 189, 180].

The isotropic contribution of the Raman spectrum is independent of the orientation of

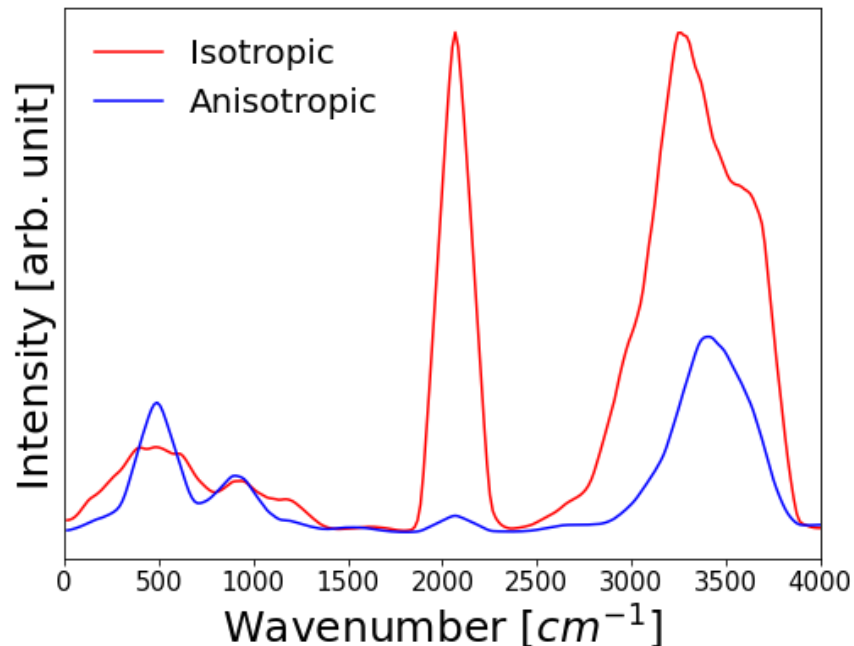


Figure 4.4: Computed isotropic (red) and anisotropic (blue) Raman spectra of the H-Si/Water interface obtained from the time correlation function of the total polarizability tensor of the slab used in our simulations.

the sample relative to the polarization of the incident light. Here, we find that the isotropic contribution is larger than the anisotropic one for both the Si-H stretching and O-H stretching modes, due to a more pronounced effect of the thermal contribution to these modes.

We also observe a shoulder at 3500-3700 cm^{-1} in the O-H stretching band of the isotropic spectrum. This feature arises from the weakened HB network in the interfacial water region [190], as discussed above. A similar peak shift was reported for the $\text{CCl}_4/\text{H}_2\text{O}$ interface and attributed to the reduction in coordination number of interfacial water molecules [166], but such a surface-dependent feature has not been observed before in the Raman spectra for electrode/water interfaces.

To further investigate and isolate the contribution to the Raman spectra from specific interfacial water molecules, we selected specific molecules in the interfacial regions, based on their vertical distance from the plane of the H atoms terminating the surface; we selected molecules within 3Å to 6Å. We then computed the contributions of those interfacial water

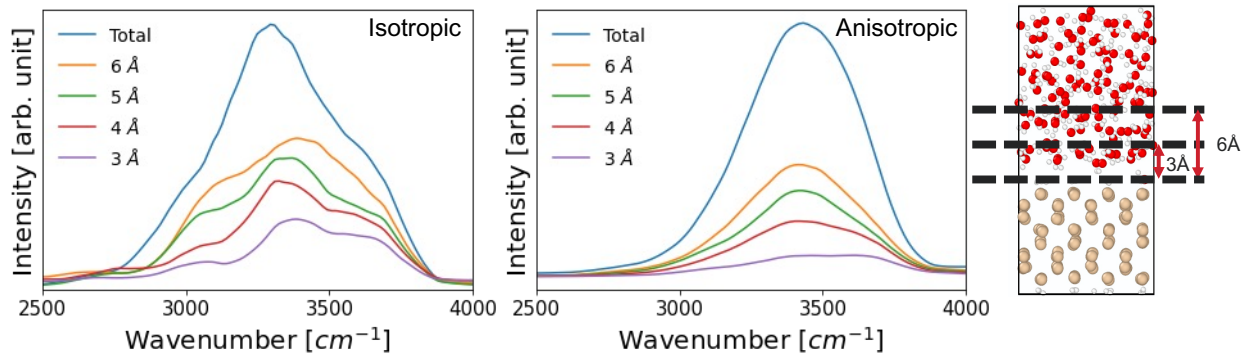


Figure 4.5: Isotropic (left panel) and anisotropic (middle panel) contributions to the Raman spectra of the pristine H-Si/Water interface, arising from water molecules at various distances from the surface, as indicated by the lines of different colors (see also right panel).

molecules to the O-H stretching mode of the Raman spectrum as a function of the distance from the surface, as shown in Figure 4.5. We observed a broad O-H stretching band in both the isotropic and anisotropic spectrum, arising from several different HB configurations in liquid water. We identified three prominent peaks present in the isotropic spectrum, at 3100-3200 cm^{-1} , 3300-3400 cm^{-1} , and 3500-3700 cm^{-1} , which we assigned to four-fold coordinated (4HB), three-fold coordinated (3HB) water molecules and to free OH groups present in the interfacial water layer, respectively. Peaks in the same frequency range were also observed in the experimental in-situ electrochemical Raman spectra of Pt-Ni nanoparticles in contact with water [191].

By computing the area under each peak, we could estimate the percentage ratio corresponding to four-fold, three-fold coordinated water molecules and free OH groups, as shown in Figure 4.6.

The number of 4HB water molecules responsible for the peak at 3100-3200 cm^{-1} decreases when approaching to the surface, while the number of free OH groups responsible for the peak at 3500-3700 cm^{-1} increases. Three-fold coordinated configurations dominate in the interfacial region. Hence we conclude that the overall blue-shift feature observed in the O-H stretching band of the Raman spectrum arises from three-fold coordinated water molecules at the interface.

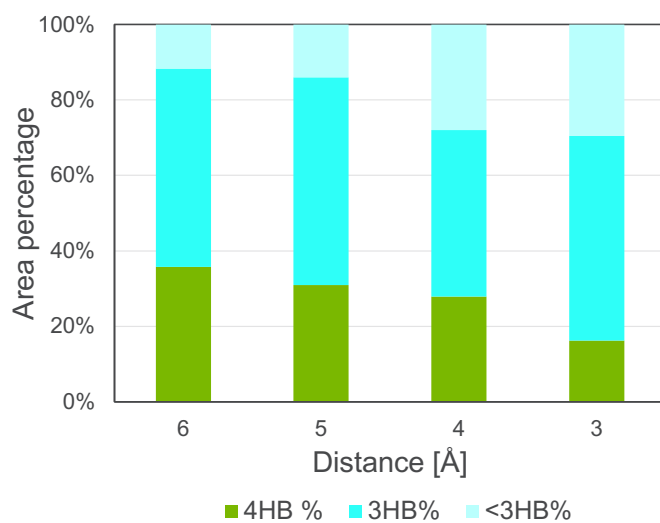


Figure 4.6: Area percentage for peaks correspond to tetrahedral 4HB, trihedral 3HB and H-bond acceptor < 3HB structures, respectively, measured from isotropic Raman contributions as the function of different interfacial regions.

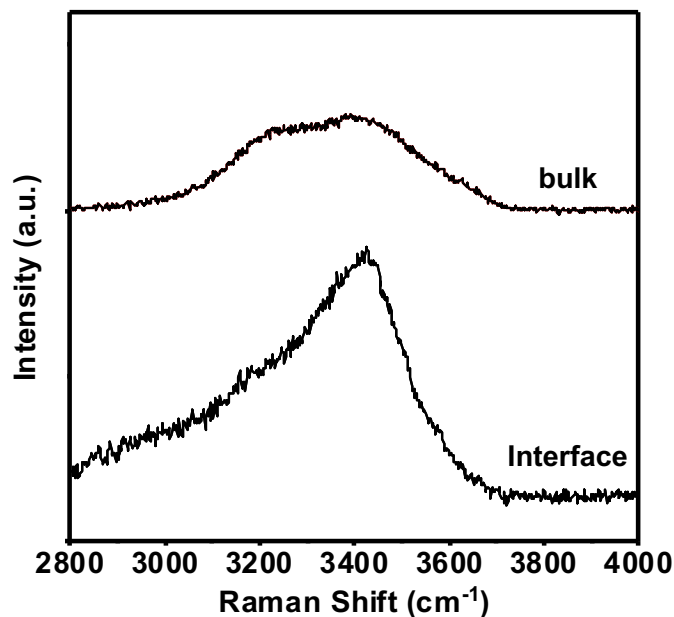


Figure 4.7: The Raman spectra of bulk and interfacial water in contact with a Si surface measured by in-situ electrochemical SHINERS.

Figure 4.7 displays the experimental Raman spectra of water obtained in the bulk and interfacial regions. We note that the surface enhancement effect is weak as no potential was applied during the measurement; hence, the signal from the free OH structure was not enhanced. Nevertheless, a comparison between the Raman spectrum of bulk water and that of interfacial water does reveal the effect of the surface on the liquid. The interfacial water spectrum exhibits a sharp peak at approximately 3400 cm^{-1} , corresponding to 3-fold HB molecules, while the peak arising from 4HB molecules at approximately 3200 cm^{-1} is weaker. These results are consistent with our computed Raman line shapes, where a decrease in the intensity of 4-fold coordinated molecules was observed in the interfacial region.

In the next section, we investigate the impact of an electric field on the structural properties of water molecules, addressing realistic operation conditions encountered in many electrochemical devices.

4.3.2 Structural properties and Raman spectra of the electrified Si-H/Water interface

In our FPMD simulations, we applied a homogeneous external electric field along the direction perpendicular to the surface, as shown in Figure 4.8. Hence, two electrified surfaces were created in the periodically repeated slab, one subject to a positive bias and the other one subject to a negative bias. In this section, we discuss the effect of the electric field on water under both positive and negative bias conditions, mimicking conditions leading to either hydrogen evolution reactions (HER) or oxygen evolution reactions (OER) [192] at electrode surfaces. Further, as well known, Si-based devices such as supercapacitors and transistors rely on an applied voltages for their operation [1, 120].

As expected, we find that when the electric field is pointing towards the surface (electrified surface under negative bias), the H atoms of the topmost layer of water in contact with the semiconductor tend to be closer to the Si slab than in the absence of the field; on the other

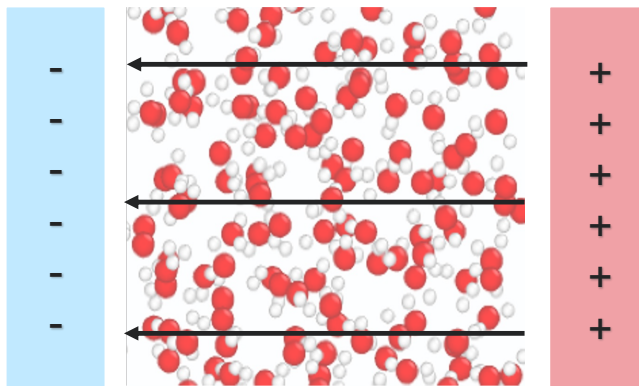


Figure 4.8: Schematic illustration of the direction of electric field and electrified interfaces.

hand, for electrified surfaces under positive bias, O atoms tend to be closer to the Si slab. To study the modification of water geometries due to the electric field, we calculated the average number of HBs as a function of the position of the water molecules along the z-axis, using the same criterion to define HBs as used in the previous section (see Figure 4.2 right).

We compare the percentage difference of HBs in nonelectrified and electrified interfaces, as a function of z : $\% \frac{\text{nonelectrified} - \text{electrified}}{\text{nonelectrified}}$ in Figure 4.9. Given the reorientation of molecules by the field, HBs are less likely to form between interfacial water molecules and the surface under negative bias; in the water region 1-2 Å from the surface, the number of HBs is larger in the nonelectrified surface under negative bias. Instead, in the case of positive bias, where O atoms are closer to the surface, HBs are easier to form between the first layer of water and the H-terminated surface, and the number of HBs at the electrified surface increases. The influence of the electric field goes beyond the topmost layer, where water molecules are also re-oriented, resulting in a relatively ordered layer of interfacial water molecules. As a result, we observe an increase of HBs formed in the region 2-3 Å above the surface for both electrified surfaces, regardless of the field direction.

In summary, we found that the HBs formed at electrified interfaces under negative bias decrease relative to pristine interfaces, while in the presence of a positive bias the number of HBs increases. However, in both cases a relatively ordered HB network above the topmost layer of interfacial water molecules forms, where the number of HBs increases. We now move

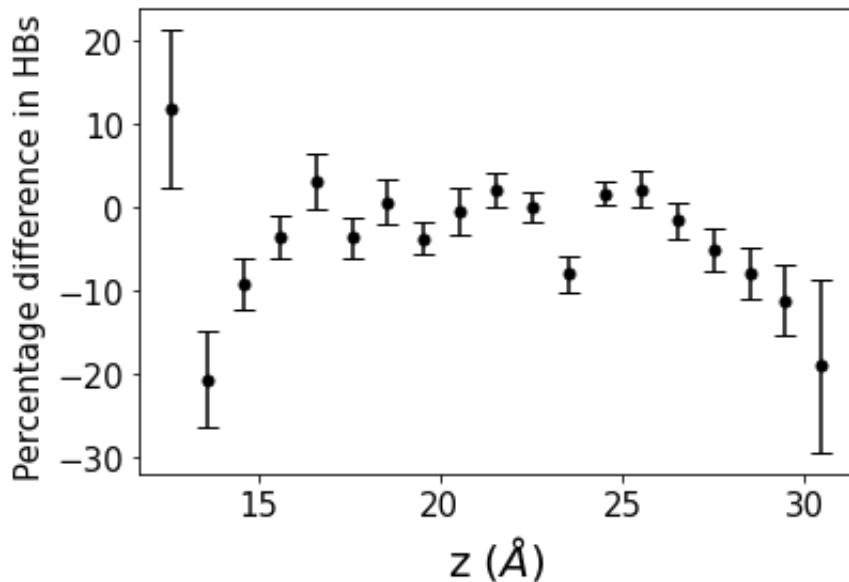


Figure 4.9: Difference in the number of hydrogen bonds (HB) between a pristine and electrified H-Si water interfaces. The interface under positive (negative) bias is positioned at approximately 30 and 12.5 Å, respectively, in the slabs used in our calculations.

to investigate the signatures of these interfacial modifications in the Raman line shapes.

The calculated the isotropic and anisotropic Raman line shapes of interfacial water molecules obtained from interfaces under positive and negative bias, respectively, are illustrated in Figure 4.10.

We find a splitting of the peaks at 3300-3400 cm^{-1} and 3500-3700 cm^{-1} in the anisotropic Raman line shape of the electrified interface, as shown in Figure 4.10, which is not present in anisotropic line shapes of the pristine surface (Figure 4.5). Based on our structural analysis, the splitting is ascribed to the effect of the external electric field on the orientations of water molecules, which in turn lead to a more ordered HB network above the first interfacial layer, compared to the pristine case.

The effect of the surface, which results from the low-coordinated configurations of interfacial water molecules, leads to peaks at 3500-3700 cm^{-1} . The effects arising from the electric field lead to the merging of the peak at 3100-3400 cm^{-1} , corresponding to 3- and 4-fold hydrogen bonded water molecules. In the case of the positively electrified interface,

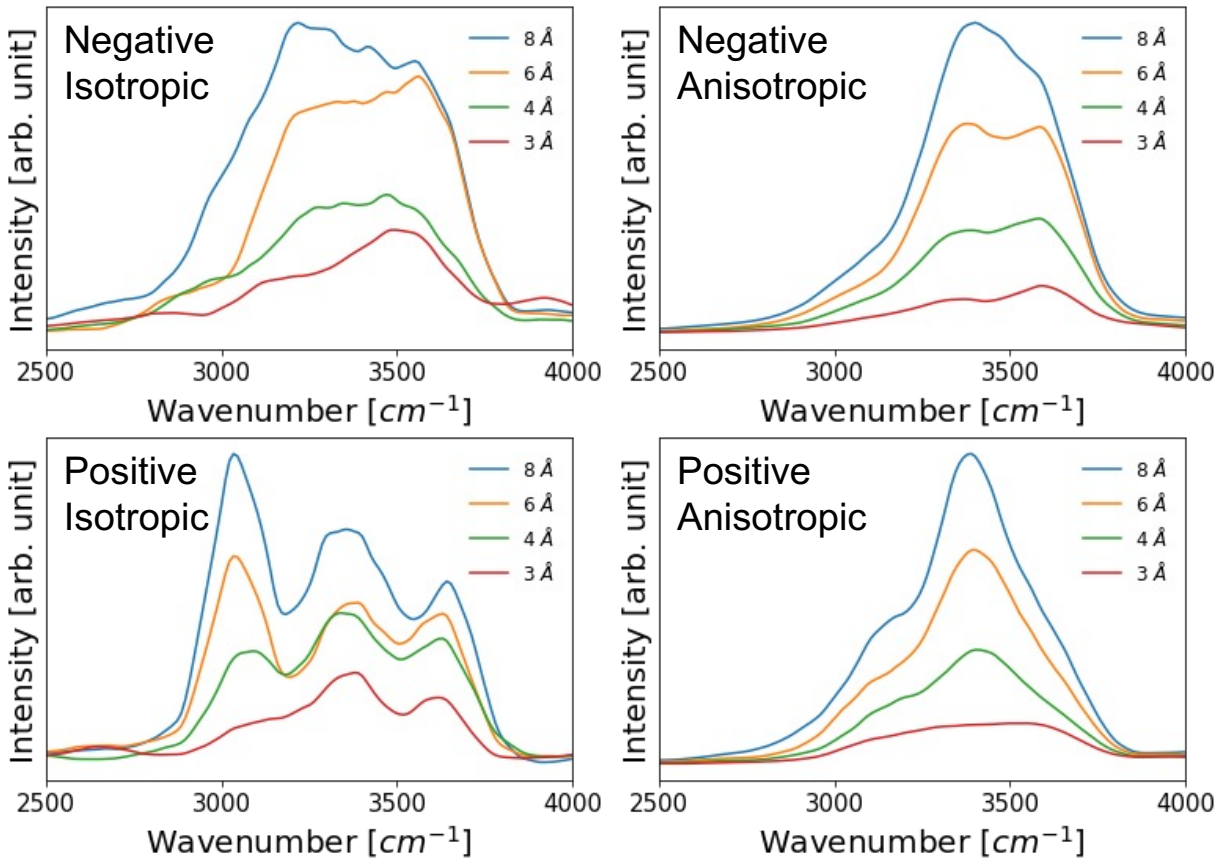


Figure 4.10: Isotropic (left panels) and anisotropic (panels) contributions to the Raman spectra of electrified H-Si/Water interfaces (negative bias, upper panels; positive bias, lower panels), arising from water molecules at various distances from the surface, as indicated by the lines of different colors.

the presence of ordered structures lead to well-defined peaks at 3100-3200 cm^{-1} and 3300-3400 cm^{-1} . Although the peak corresponding to free OH bonds at 3500-3700 cm^{-1} is more intense for interfacial water molecules, the signal arising from 3-fold coordinated molecules is continuously observable from the bulk to the surface region, indicating the presence of a stable HB network induced by a positive bias at the H-terminated surface.

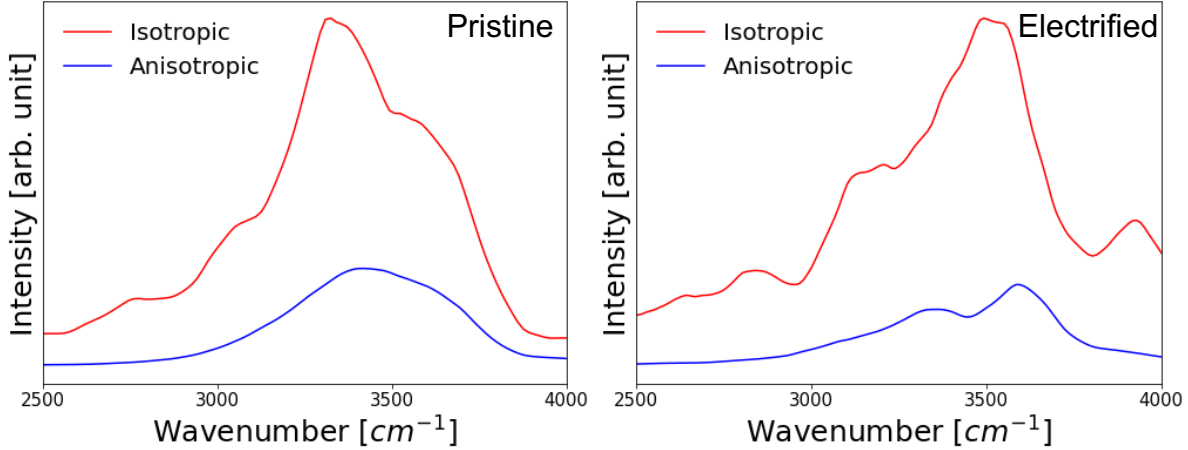


Figure 4.11: A. The isotropic and anisotropic contributions to the O-H stretching mode in Raman spectra from interfacial water molecules at 3 Å above the nonelectrified surface. B. The isotropic and anisotropic Raman contributions of interfacial water molecules at 3 Å above the surface under a negative bias.

We also compared the Raman contributions of interfacial water molecules in the case of nonelectrified and negatively electrified surfaces in the same region (3 Å from the surface), as shown in Figure 4.11 A and B. In the case of the electrified surface, we observed a relatively intense peak at 3100-3200 cm^{-1} , indicating that the number of 4-fold coordinated molecules is larger at the electrified interface. The ratio between the area of the 3100-3200 cm^{-1} peak and the total area of the stretching mode part of the spectrum is 16% and 9% for electrified and non electrified samples, consistent with our analysis of the geometry of water molecules in the interfacial layer, shown in Figure 4.9.

We obtained experimental in-situ Raman spectra of the Si/water surface using surface-enhanced Raman spectroscopy for a sample under negative bias. With the enhancement

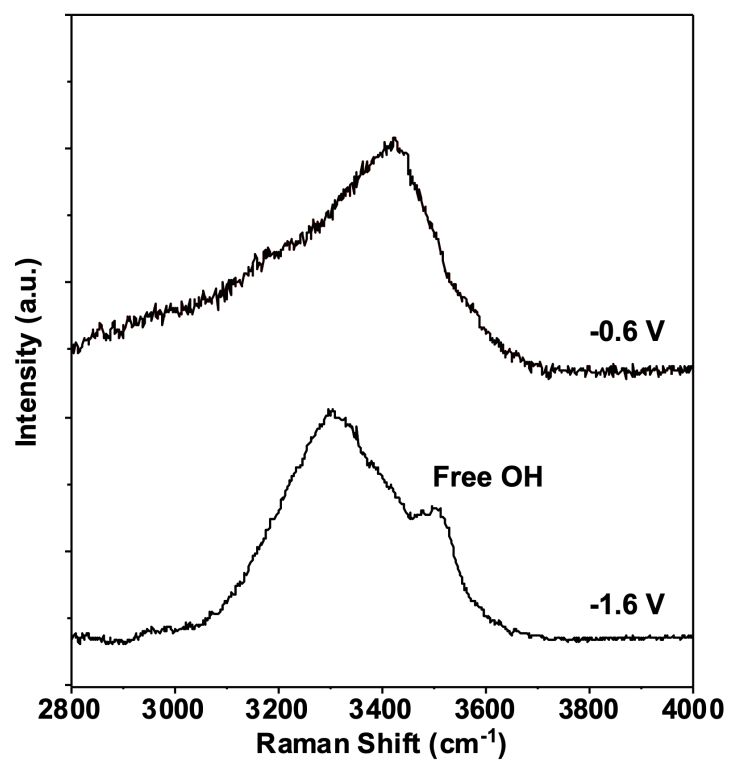


Figure 4.12: The Raman spectra of interfacial water measured by in-situ electrochemical SHINERS under a negative potential.

effect provided by Au nanoparticles, we could observe Raman signals from the interfacial water molecules. Figure 4.12 illustrates the effect of the applied negative voltage on the Raman peaks, resulting in an overall red-shift of the bands. At a voltage of -1.6V, a shoulder at 3500 cm^{-1} was observed in the spectrum, indicating the presence of free OH groups. This observation is consistent with our computed spectra for a negatively electrified Si-H/Water structure, where water molecules are less likely to form HB with the surface. Notably, the experimental peak corresponding to free OH becomes observable when the applied negative voltage exceeds 1.6V. This finding might suggest that the large negative potential further enhances surface signals and prevents the surface oxidation reactions that may influence the detection of interfacial water signals, specifically the presence of free OH groups.

4.4 Conclusion

We presented a first-principle study of water in contact with a H-Si surface and we identified Raman signatures of specific geometric arrangements at the interface, which were validated by experimental measurements. We studied both pristine and electrified interfaces under negative and positive bias. In the case of the pristine surface, we found that the shoulder present in the O-H stretching band can be ascribed to the modifications of the water HB network due to the presence of the surface. We also calculated the Raman contributions of interfacial water molecules and found that free OH bonds give rise to a peak in the high frequency region, which leads to a blue-shift of the O-H stretching band relative to that of bulk water. In the case of electrified interfaces we found that a negative bias weakens the HB interaction between the top most layer of water and the surface, while a well-defined HB network with sharp Raman peaks in the low frequency region are obtained for the interface under a positive bias. The free OH line of interfacial water molecules is observed from in-situ Raman spectroscopy under a large negative potential, validating the proposed water structure obtained in our simulations. By using validated first principles simulations

our work give insights on Raman signatures of the geometrical arrangements of water at an hydrophobic semiconductor interface. The approach employed in our study is general and can be used to explore intricate electrochemical characteristics of electrode-electrolyte systems.

CHAPTER 5

ELECTRONIC PROPERTIES OF WATER AND AQUEOUS SOLUTIONS UNDER EXTREME CONDITIONS

This chapter is reproduced with permission from Ye, Z., Zhang, C., and Galli, G. (2022). Photoelectron spectra of water and simple aqueous solutions at extreme conditions. *Faraday Discussions*, 236, 352-363.

5.1 Introduction

Water-rich fluids are important constituents of the Earth's crust and mantle [193, 194, 10] and they play a central role in many fundamental processes, including metasomatism [195], transport of oxidized carbon [23, 45] and ultimately in the evolution of the continental crust [10]. The presence of so called deep-earth aqueous fluids has been reported in aqueous pockets in diamond [196], metamorphic minerals [197, 198] and stable hydrous silicate minerals under pressure (P) [199], and inferred from seismic data [200] and conductivity measurements [201, 202].

While most of the current knowledge of deep-earth aqueous fluids comes from geophysical models [203, 204, 205, 206, 207, 208, 40, 209, 210, 211] and from vibrational spectroscopic measurements, progress has been made in recent years in understanding the properties of these fluids at the microscopic level, using first principles simulations. The latter have been used to investigate fundamental properties at high P and T (HPT) including the dielectric constant of water [212, 102], ionic speciation [23, 45], ion solvation [213, 31] and ionic conductivity of simple solutions [25, 214, 215, 30]. However, relatively little is known about the electronic structure [216] of aqueous fluids under extreme conditions, which is important to understand, for instance, electron and proton transfer processes in redox reactions occurring [217, 218] in water and solutions in contact with rocks in the Earth's interior.

Many electronic structure probes used at ambient conditions are difficult to employ at high temperature and pressure. For example, photoelectron (PE) spectroscopy has been widely used to probe the electronic properties of hydrogen bonded liquids, providing information on their occupied energy levels [219, 220, 221], including the ionization potentials (IP) of solvated ions [222, 223, 5, 224], e.g. hydrated OH^- , H_3O^+ , Cl^- , Na^+ , thus elucidating their structural and chemical environment. However, obtaining PE spectra for HPT water and solutions is a challenging task not only because of the reactivity of water at high P and T , but also for the difficulty in preparing super-critical liquids in contact with vacuum and detecting PE signals with high time-resolution in the presence of rapid thermal expansion[225, 226, 227].

First principles theoretical methods based on quantum mechanical calculations have been applied to predict the PE spectra of several aqueous solutions at ambient P and T (APT)[5, 224, 115, 228, 229], providing results in excellent agreement with experiments. In particular, recent investigations have shown that a combination of first-principles molecular dynamics (FPMD) and density functional theory calculations with dielectric-dependent hybrid (DDH) functionals [46] is a robust, predictive approach to study photoelectron spectra of aqueous fluids [5, 224]. It is hence interesting to explore how to predict PE under extreme conditions and gain insight into the electronic properties of aqueous fluids at high P and T .

Here, we generalize the approach recently used to compute PE spectra at ambient conditions to the study of aqueous fluids under pressure, at high temperature. We carry out first principles simulations with semilocal and hybrid functionals, and we consider two specific systems at conditions (11 GPa and 1000K) relevant to the Earth upper mantle, where pressure can reach ~ 13 GPa and temperature $\sim 1700\text{K}$ [230, 231]; in particular we investigate pure water and a 0.68 M NaCl solution, whose structural and bonding properties have been previously studied[30, 31]. We report PE spectra on an absolute scale, by using a technique to refer energy levels to vacuum which is appropriate for hot compressed fluids; we discuss

results obtained with dielectric-dependent hybrid functionals, and with a fraction of exact exchange determined for the specific conditions studied here [216]. We also analyze the contribution of dissociated species to the PE spectra, in particular hydroxide (OH^-), hydronium (H_3O^+) ions and H_4O_2 , which play an important role in proton transfer processes and acid-base chemistry [232, 233, 234], and contribute to the increased ionic conductivity [30] of water under extreme conditions.

The rest of the paper is organized as follows: the methods used here are described in the next section, followed by a discussion of our results and conclusions.

5.2 Methods

5.2.1 *First-principles simulations and electronic structure calculations*

We consider the FPMD trajectories generated at 11 GPa and 1000 K by Rozsa et al. and Zhang et al. [30, 31] to model pure water and a 0.68 M NaCl solution, respectively. These trajectories were obtained with the Qbox [98] code, employing the Perdew–Burke–Ernzerhof (PBE) [50] functional, with 64 water molecules to model pure water and 126 water molecules and 1 NaCl formula to model the solution. The length of the trajectory is ~ 240 (300) ps for pure water (NaCl solution). We note that in the case of the solution, the Na-Cl distance was constrained to be $< 6 \text{ \AA}$ in Ref. [31] to sample ion-pair configurations. From the FPMD trajectories we extracted 500 (285) snapshots by every ~ 0.5 (~ 1) ps for pure water (NaCl solution), which we then used to compute the electronic density of state (EDOS), as well as the projected EDOS, with the Quantum ESPRESSO [137, 235] code, using both the PBE semi-local and dielectric dependent hybrid (DDH) functionals [46]. The DDH functional was previously shown to provide an excellent description of PE spectra at ambient conditions, in good agreement with experimental measurements [5, 224]. In order to model HPT conditions, we used a DDH functional with a fraction of exact exchange (42%) equal to the inverse of the

macroscopic dielectric constant of water at 11 GPa and 1000 K, which was determined to be 2.37 in a recent study [216]. In our electronic structure calculations, we used norm-conserving pseudopotentials [59] to describe the interactions between core and valence electrons, a plane-wave basis set with a kinetic energy cutoff of 60 Ry and only the Γ -point to sample the Brillouin zone.

To predict PE spectra comparable to experiments, the calculation of absolute energies referenced to vacuum is required, and the strategy chosen to do so in our work is described in detail in the next section.

5.2.2 Evaluation of Absolute Orbital Energies

A complete method of obtaining the absolute orbital energies from FPMD simulations can be found in Chapter 2, Section 2.8.

While eigenvalue and total energy differences are well defined, the energies obtained with the plane-wave pseudopotential method for periodic systems are not [5, 115, 116]. In order to obtain absolute energies $\tilde{\varepsilon}_i$, i.e. to refer the electronic energies to vacuum, we evaluate:

$$\tilde{\varepsilon}_i = \varepsilon_i - \Delta V - V_{\text{bulk}} \tag{5.1}$$

where ε_i denotes Kohn-Sham eigenvalues computed for either bulk water or a NaCl solution in periodic plane-wave calculations. The term V_{bulk} is the average electrostatic potential for bulk water samples, which can be easily computed following the procedure outlined in Ref. [117]. Consistent with the results reported in Ref. [5], we found that the value of V_{bulk} , 0.81 eV, is insensitive to the choice of the energy functional.

The term ΔV is the difference between the electrostatic potential in the bulk region of a water sample interfaced with vacuum, and the vacuum region. In previous calculations of PE spectra at ambient conditions, the term ΔV was obtained by carrying out MD simulations of water in contact with vacuum using empirical potentials and then carrying out electronic

structure calculations on the trajectories generated for the water/vacuum slab. However, this scheme is not applicable at HPT, where hot, compressed water in contact with a vacuum region would immediately expand. Hence, here we adopt a different approach to compute ΔV that we call *Slice* and that we compare in Figure 5.1 with other approaches adopted in the literature.

Figure 5.1 illustrates three possible strategies to obtain ΔV , which are summarized below.

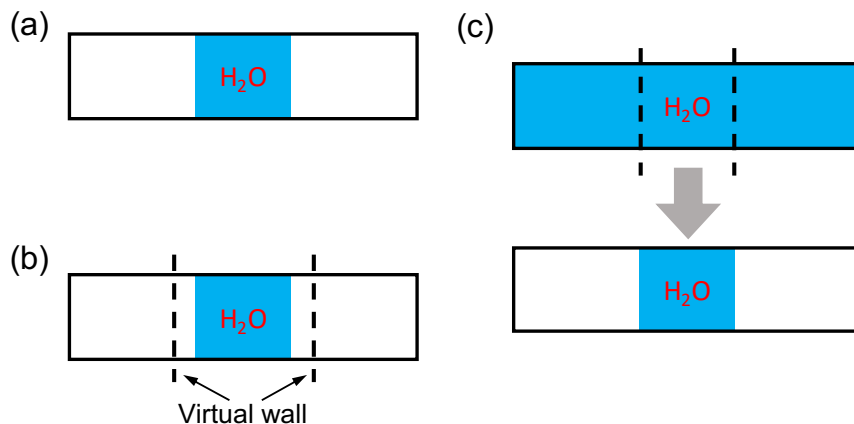


Figure 5.1: Strategies to generate water samples in contact with vacuum: *Vacuum* (a), *Wall* (b) and *Slice* (c) (See text). The three rectangles schematically represent a slab used and periodically repeated in our pseudopotential-plane-wave calculations, and the white and blue regions denote vacuum and a water sample, respectively.

- *Vacuum*: A water sample at a chosen, initial density is in contact with vacuum within a periodically repeated slab that is equilibrated using MD at a given temperature. This scheme was used for calculations of PE spectra at APT and is applicable if the density of water is such that immediate evaporation is not observed, over the time scale of the simulations. Hence it is not applicable to simulate water at high P and T , where the sample would tend to expand into vacuum over short time scales.
- *Wall*: Similar to the previous approach, a water sample is in contact with vacuum within a periodically repeated slab that is equilibrated using MD at given temperature.

However in this case a repulsive potential is added to the Hamiltonian so as to maintain the water sample at a density corresponding to the desired pressure. Such a repulsive potential prevents water from evaporating into the vacuum portion of the slab. This method can in principle be used at any $P - T$ conditions, however the results may be affected by the choice of the specific form of the repulsive potential and the approach requires the use of relatively large systems to obtain a converged electrostatic potential.

- *Slice*: A relatively large bulk water model is equilibrated in a periodically repeated supercell at desired P and T conditions. A slice of the sample is then extracted after equilibration and placed in contact with vacuum, with no further MD simulations of the whole slab. To avoid dangling bonds at the interface, when taking the slice, we retain the H-O covalent bonds. This scheme is applicable to any $P - T$ conditions, provided a slice of sufficient thickness is chosen.

To reduce the computational cost in preparing the samples required to obtain ΔV , we carried out simulations with empirical potentials first, for benchmarking purposes, and then we used the deep-MD potential [4, 236] implemented in the DeePMD-kit package [87]. The deep-MD potential (DP) [237] is trained on first principle data obtained with the SCAN functional [238] at HPT and allows for the proper description of dissociated species at extreme conditions, unlike empirical potentials. In addition, using the DP potential, simulations with cells larger than those affordable with FPMD can be carried out and longer time scales can be sampled with first-principle accuracy, as described below.

In order to assess the robustness of our methodology, we first carried our simulations with the TIP3P [239] potential and we compared results obtained with the *Vacuum* and *Slice* procedures at ambient conditions; we also compared our results with those previously reported in the literature. We then further compared the results obtained with the *Wall* and *Slice* methods at HPT. MD simulations were carried out in the NVT ensemble with the LAMMPS package [240, 241]. A timestep of 2 (1) fs was used for TIP3P simulations at APT

(11 GPa & 1000 K). When using the *Vacuum* method, our samples consisted of 108 water molecules interfaced with vacuum in a cell of dimensions $12.77 \times 12.77 \times 80$ Å. When using the *Slice* method, we equilibrated water samples with 435 and 683 molecules at APT and 11 GPa & 1000 K, respectively, corresponding to the densities of 1.0 and 1.57 g/cm³ in a cell of dimensions $12.77 \times 12.77 \times 80$ Å. The thickness of a slice was chosen to be 20 (18) Å at APT (11 GPa & 1000 K). When adopting the *Wall* method, we considered 300 water molecules at 11 GPa & 1000 K, and the *wall/lj126* scheme implemented in the LAMMPS code. The distance between two virtual walls simulating a repulsive potential in the Hamiltonian was set to be 39 Å. The repulsive part of Lennard-Jones interactions between the wall and water was described by using carbon-oxygen Lennard-Jones parameters [242] to mimic the interaction with water oxygen atoms only. For all the procedures adopted here, the MD simulations with the TIP3P potential were performed for 4 ns following a 2 ns equilibration, with 200 equally-spaced snapshots extracted every 20 ps.

The results for the average potential obtained with the PBE functional on the configurations extracted from our MD simulations are presented in Figure 5.2. Our results with the *Vacuum* method are nearly identical with those reported using the same scheme in the literature: 3.53 eV versus 3.54 eV [5]. When using the *Slice* method we obtain a value of 3.36 eV and we consider the difference relative to the result with the *Vacuum* method (0.17 eV) to be negligible, given that the position of the valence band maximum (VBM) of water is at approximately 10 eV [5, 228, 223, 224] relative to vacuum. The difference of 0.17 eV may be ascribed to the specific surface of the chosen slice (the statistical error in our evaluation of ΔV is smaller than 0.1 eV).

At 11 GPa and 1000 K, as reported in Figure 5.2 (b), ΔV is computed to be 5.43 (*Slice*) and 5.58 (*Wall*) eV. Again, we consider the difference of 0.15 eV to be small for the purpose of our study.

Next we compared the results obtained with the *Slice* method and the TIP3P potential

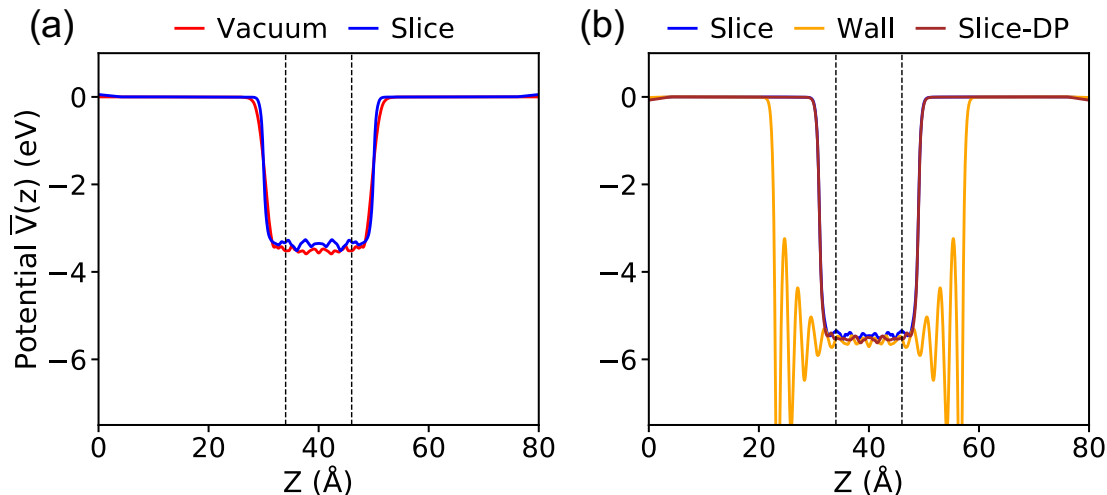


Figure 5.2: Plane-average electrostatic potential \bar{V} along the z direction perpendicular to the interface between water and vacuum, calculated with the PBE functional at ambient conditions (a) and 11 GPa & 1000 K (b). The vacuum level is set to zero. The equilibrium configurations were generated using molecular dynamics simulations and the TIP3P potential except for the case denoted as Slice-DP, for which we used the deep-MD potential [4]. See Figure 5.1 for the definition of different procedures. The dashed lines define the region used for averaging the electrostatic potential.

with those obtained with the DP potential. When using the DP potential, we performed 210 independent MD simulations (with a time step of 0.25 fs) each of 13 ps long, at the end of which we extracted configurations for our electronic structure calculations. We obtained $\Delta V = 5.53$ eV, in good agreement with the value computed with TIP3P, indicating that the value of ΔV depends rather weakly on subtle structural differences in the liquid samples. These comparisons between different approaches gave us confidence that the *Slice* method is a reliable technique to use both at APT and HPT.

Therefore, in the following we compute ΔV with the *Slice* method and the DP potential to obtain the spectra at HPT and to discuss the physical properties of water and the NaCl solution. We note that when using the DDH functional, we could only carry out calculations of ΔV for a small number of configurations (5), much smaller than with the PBE functional. Hence we estimated the difference between ΔV computed with PBE and DDH for those limited number of configurations, and we applied the same difference between the DDH and

PBE result (5.31 vs. 5.53 eV) to all eigenvalues obtained at the DDH level of theory for the bulk samples.

5.3 Results and Discussion

5.3.1 Photo-electron spectra of water and NaCl solution at high pressure and temperature

The PE spectra are evaluated as the EDOS of single-particle eigenvalues referred to vacuum, as an approximation to the electronic binding energies (BE). In Figure 5.3, we compare low and high pressure spectra of the NaCl solution computed at the PBE (left hand side) and DDH (right hand side) level of theory. The positions in energy of peaks' maxima are summarized in Table. 5.1.

Table 5.1: Electron binding energy (eV) of NaCl solution at ambient conditions(APT) and high pressure and temperature (HPT) (11 GPa & 1000 K) obtained with the PBE and DDH functionals. See Figure 5.3 for the labeling of the electronic states.

Method	2p (Na ⁺)	2a ₁	3s (Cl ⁻)	1b ₂	3a ₁	1b ₁	3p (Cl ⁻)
PBE-APT ^a	26.90	24.71	18.06	12.63	9.03	6.99	6.20
DDH-APT ^a	34.04	32.57	24.15	17.14	13.56	11.34	9.46
PBE-HPT ^b	27.02	24.81	18.62	12.84	8.98	7.12	6.28
DDH-HPT ^b	31.92	30.18	22.93	15.98	12.01	10.02	8.41

^a Results at APT of a 1 M NaCl solution from Ref. [5].

^b Results at 11 GPa & 1000 K of a 0.68 M NaCl solution.

The four major peaks (labeled, in order of increasing BE as: 2a₁, 1b₂, 3a₁, and 1b₁) are notably broadened at HPT, with the 3a₁ and 1b₁ features strongly overlapping with each other, consistent with larger structural fluctuations in the HPT samples. The DDH results show that the relative spacing of the water 2a₁ band with respect to the 1b₁ peak

is decreased by ~ 1.1 eV at high P, while that of $1b_2$ and $3a_1$ bands are less affected at extreme conditions. Interestingly, calculations with the DDH functional predict a reduction of the BE by roughly $1.1\sim 2.4$ eV at high pressure, depending on the character of electronic states; however calculation with the PBE or standard hybrid functionals such as PBE0 [243, 53] yield negligible differences between the band positions in the PE spectra at high and low pressure. This finding is important and highlights the need to correctly take into account screening effects at HPT and correspondingly adjust the amount of exact exchange used to define hybrid functionals ($\sim 60\%$ in DDH at APT [5, 224]; $\sim 42\%$ in DDH at the HPT conditions of this study, corresponding to the dielectric constants $\epsilon_\infty = 1.78$ and 2.37 , respectively).

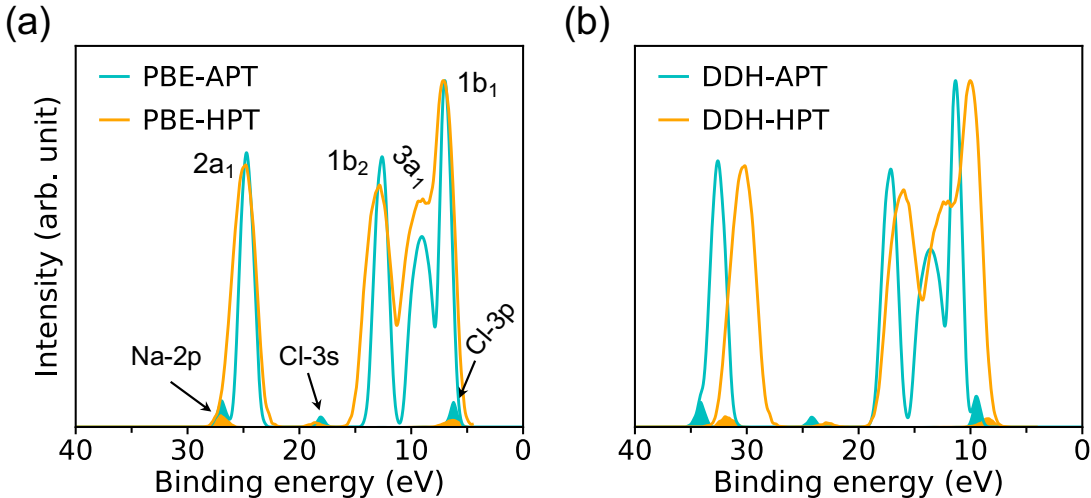


Figure 5.3: Photoelectron spectra of a 1M NaCl solution at ambient conditions (APT) [5] and a 0.68 M NaCl solution at high pressure conditions (HPT) (11 GPa & 1000 K) obtained with the PBE (a) and DDH (b) functionals. The intensities are rescaled to those of the water $1b_1$ peak; the shaded areas show the distribution of ionization potentials of solvated Cl^- and Na^+ ions

The ionization potentials (IPs) of hydrated Cl^- and Na^+ at APT and HPT are indicated in Figure 5.3 as shaded areas. Similar to the BE of water electronic states, the IPs of ions are underestimated by PBE, relative to DDH, and DDH results show a red shift with increasing P and T which is not reproduced by the PBE functional. In addition, when using the DDH

functional, the relative positions of IPs referenced to water is slightly different at low and high P. In particular, the separation between the 3p-level of Cl^- and the $1b_1$ peak of water is decreased by 0.27 eV, suggesting a modified electronic structure near the band edges of water at high P, which in turn may affect the chemical reactivity of solutions under extreme conditions. Our results hint at a possible tendency of anion levels to move below the valence band of water as a function of increasing pressure, at high T. We note that the BE of water and IP of ions are not sensitive to the $\text{Cl}^- - \text{Na}^+$ distance, hence the results reported here should be representative of weakly concentrated solutions.

5.3.2 Water dissociation

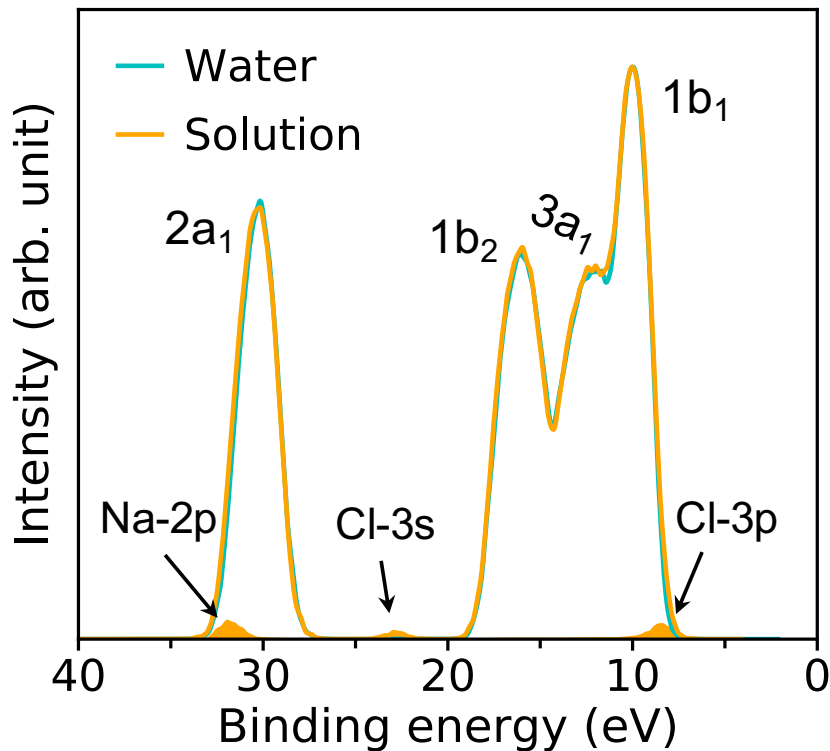


Figure 5.4: Photoelectron spectra of water and a 0.68 M NaCl solution obtained with the DDH functional at 11 GPa & 1000 K. The intensities of the spectra are rescaled to the water $1b_1$ peak; the shaded areas indicate the ionization potential of solvated Cl^- and Na^+ ions.

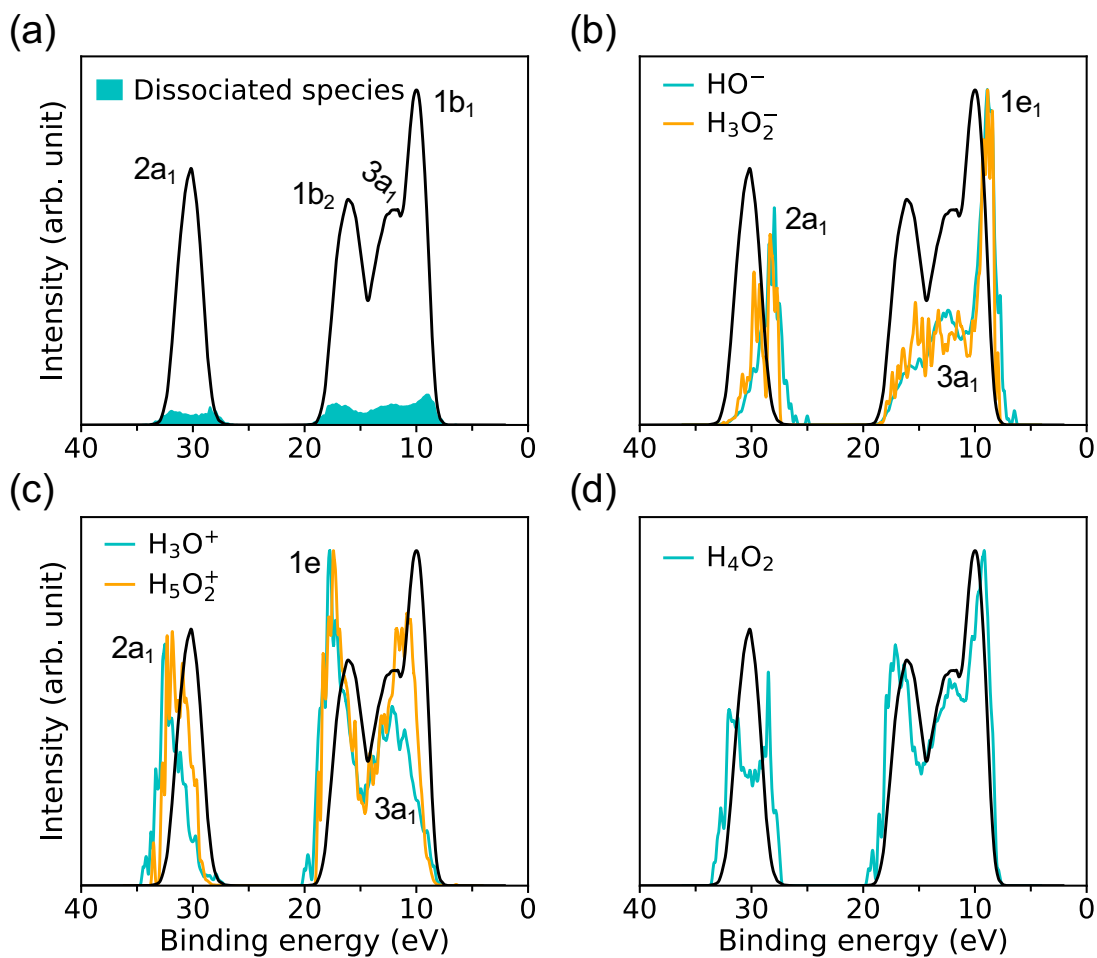


Figure 5.5: Signals of dissociated water species contributing to the photoelectron spectra (PE) of water under pressure, at high temperature, calculated with the DDH functional at 11 GPa & 1000 K. The full spectrum of bulkwater is represented by the black line. (a) The shaded areas (cyan) represent the total PE spectrum from all dissociated species (magnified five times for clarity). The intensities in (b) HO^- and H_3O_2^- , (c) H_3O^+ and H_5O_2^+ , (d) H_4O_2 are magnified between ~ 100 (e.g. HO^- and H_4O_2) and ~ 1000 (e.g. H_3O_2^-) times.

Figure 5.4 compares the spectra obtained at HPT for water and the solution. We find that the effects of ions on the electronic properties of water are minor at the concentrations considered here (0.68~1 M) [224]; for example, the centers of the $1b_1$ and $1b_2$ peaks obtained in HPT water and in the solutions with the DDH functional differ by only 0.03 and 0.13 eV, respectively.

In our FPMD simulations, we directly observe frequent dissociation events at HPT, indicating that water itself becomes an electrolyte. The short-lived dissociated products [30, 31] are characterized using a cutoff distance for O-H bonds of 1.25 Å. A detailed analysis reveals that about 2% of water molecules are dissociated, into species including solvated HO^- , H_3O^+ and H_4O_2 . These species play a critical role in proton transfer events and acid-base reactions in water.

As shown in Figure 5.5 (a), the signal coming from ionic species resulting from water dissociation spans the entire spectrum range. The signal is weak and expected to become more prominent at higher pressure and temperature, where the concentration of dissociated species will increase. The contributions to the overall PE signal of hydrated HO^- and H_3O^+ are presented in Figure 5.5 (b) and (c), and it has been identified by carrying out projected EDOS calculations. Similar to ambient conditions, the solvated HO^- level is just above the VBM of water, and it originates from two degenerate lone-pair orbitals ($1e_1$) localized on the oxygen atom. The solvated H_3O^+ levels lie instead close to the high-energy edge of the $1b_2$ feature of bulk water and originates from the ionization from two degenerate covalent orbitals with mainly p-character ($1e$). However the IPs of hydrated HO^- and H_3O^+ at HPT, peaking at 8.9 and 17.75 eV, are red-shifted relative to ambient conditions, where they are centered at ~ 9.2 and ~ 20 eV (~ 9.99 and ~ 19.01 eV) in the experiments of Ref. [223] (calculated by many-body perturbation approach [228]). In addition, the separation between $1e_1$ level of HO^- and $1b_1$ peak of water is ~ 1.91 eV at APT based on experiment [223], while we find that at HPT is 1.12 eV, when using DDH. Hence our simulations show that

similar to the case of the Cl^- , the level of HO^- gets closer to the VBM of water as pressure is increased.

To understand the electronic states involved in proton transfer events at high pressure, we plot the IP distributions for three hydrated intermediate complexes H_3O_2^- , H_5O_2^+ and H_4O_2 in Figure 5.5 (b-d). With respect to HO^- , the IP of H_3O_2^- is blueshifted with a slightly enhanced signal near the $1b_2$ region of bulk water, similar to what found in proton transfer events at APT [228]. Compared to H_3O^+ , we observe a red shift in the IP of H_5O_2^+ with increased spectral weights near the $1b_1$ region of bulk water, again similar to what observed in proton transfer events at APT [228]. For solvated H_4O_2 cluster referenced to bulk water, the major change at high pressure is the double-peak near the $2a_1$ region of bulk water, giving rise to the $2a_1$ peaks with lower or higher IP in the resulting species HO^- and H_3O^+ . The results reported here for ionization potentials of dissociated species in water may help, at least qualitatively, to understand proton transfer reactions at high pressure.

5.4 Conclusions

In summary, we proposed a new computational scheme to evaluate photo-electron spectra of water and simple aqueous solutions at high P and T (HPT). By combining deep-MD and first-principles simulations, and electronic structure calculations with hybrid functionals, we computed the absolute orbital energies of water and a 0.68 M NaCl solution at 11 GPa and 1000K, which are conditions relevant to the earth mantle. We found a broadening of the spectra relative to ambient conditions, particularly prominent for the merging of the $3a_1$ and $1b_1$ peaks of water. In addition we found an overall red shift of the HPT spectra relative to ambient conditions, which is however not constant over the whole energy range and varies between 1.1 and 2.4 eV. Our results also show that the anion energy levels are closer to the VBM of water at high pressure and temperature and we speculate that as P and T are increased, the "defect levels" of Cl^- and OH^- in water may eventually lie below the valence

band maximum. We also characterized the IP of hydrated species deriving from rapid water dissociation, e.g. hydrated hydroxide and hydronium, and elucidated the electronic states associated with proton transfer events at high pressure. Our results represent a first step in predicting the electronic properties of solutions in super-critical conditions. Finally we note that the prediction of hybrid and PBE functionals for the electronic properties of the APT and HPT fluids are markedly different; in addition PBE predicts no notable changes between high and low pressure spectra, at variance with dielectric dependent hybrid functionals, when used with a screening fraction computed for the specific HPT conditions investigated here.

CHAPTER 6

SUMMARY AND OUTLOOK

Summary and Outlook

This thesis provides a comprehensive investigation of the electronic and structural properties of two aqueous systems that hold both fundamental and applied significance: (1) a silicon/water interface and (2) water under extreme conditions. We studied these systems utilizing first-principles simulations based on DFT, and we performed detailed comparisons with experiments.

In our exploration of electrified aqueous interfaces, we unraveled the effects of solvation and electric fields on the electronic properties of silicon/water interfaces and we compared our calculations with experimentally measured electrochemical currents. Our simulations revealed that the capacitive current depends on the strength of the applied electric field, while the Faradaic currents are related to the presence of surface defect sites. Our study introduced a computational protocol enabling the systematic exploration of how experimentally adjustable parameters affect the performance of electronic devices, particularly those related to transient electronics and biomodulations.

We then studied the vibrational signatures of water at the silicon interface. We identified hydrogen bonding (HB) configurations of water molecules at the interface and correlated them with vibrational modes observed in computed Raman spectra. Our findings illustrate how the interplay of surface and applied electric fields (positive or negative) can individually disrupt or facilitate the formation of specific HBs. Overall, the analysis of time-series data provided molecular-level insights into the structural behavior of interfacial water, a critical factor influencing surface redox reactions in photoelectrochemical cells.

Our research on the behavior of water and aqueous solutions under extreme conditions mainly focused on the electronic properties of these systems, which are challenging to study

experimentally. We introduced a computational approach to predict the photoelectron spectra of water and a NaCl solution under conditions relevant to the Earth’s interior. We found that the resulting spectra exhibit a significant broadening compared to ambient conditions, attributed to enhanced structural fluctuations in HPT water. When using a hybrid functional (DDH), we observed an overall red shift in the photoelectron spectra of HPT water relative to those obtained under ambient conditions. Our results highlighted the importance of accounting for screening effects to obtain the electronic properties of HPT water, which semi-local density functional cannot describe in a sufficiently accurate manner. Furthermore, we identified connections between proton transfer events in HPT water and the ionization potential of dissociated species in the liquid.

In summary, our research on aqueous systems has explored structural, vibrational and electronic properties at the microscopic scale and identified strategies to compare simulations data with experiments. The methods used in this thesis to study interfaces are general and applicable to other semiconducting and insulating aqueous interfaces and may be used in modeling complex electrochemical systems that involve surface reactions and defects. Our study on HPT water represents a first step towards predicting the electronic properties of aqueous solutions under supercritical conditions, where experimental measurements are often unavailable. The computational methods introduced in our work hold significant promise, enabling further investigations into the redox chemistry of other deep-earth aqueous solutions under various pressure and temperature conditions. They may also be integrated with the methods used and developed here for interfaces to understand the electronic and vibrational properties of HPT aqueous interface.

As mentioned in Chapter 2, the incorporation of machine learning (ML) methods into molecular simulations has brought about an important transformation in the field of quantum chemistry and computational materials [244, 88]. One interesting direction relevant to our research is the development of ML potentials (MLPs) for aqueous interfaces with

long-range electrostatic interactions. While many existing MLPs successfully predict atomic structures and forces based on the locality assumption [83], when studying heterogeneous systems, especially solid/water interfaces under the effect of electric fields, it becomes essential to account for the long-range interactions between polar and charged molecules. In such cases, the current MLPs, which primarily focus on short-range geometric information, may introduce quantitative errors when describing polarization and dielectric properties. Work has been done to develop MLPs that capture both short-range interactions and long-range electrostatics, although their application so far has been restricted to liquid water [245, 246, 247]. Another challenge in deriving accurate ML potentials — the use of which could in principle alleviate the time scale problem encountered in our FPMD simulations — is the choice of the exchange and correlation potential to generate data for the training set. The search for exchange and correlation potentials to accurately simulate the properties of interfaces, especially their electronic properties [248] is an active field of research, as is the generation of training sets using higher-level electronic structure theories. Recent advances have demonstrated a data-efficient training approach to generate MLPs with coupled cluster singles, doubles and perturbative triples, CCSD(T) or Auxiliary Field Quantum Monte Carlo, AFQMC-level accuracy [249, 250], but their applications have also been limited to small water clusters. Overall, the progress in MLPs aimed at achieving precise calculations of aqueous systems holds the potential to significantly impact the field of interfacial simulations [251, 252].

In addition to MLPs, multiscale modeling offers another promising approach to gain insights into aqueous interfaces in electrochemical devices [253] not only at the microscopic scale, but also at the mesoscopic and perhaps macroscopic scale. In this thesis, we employed first-principles simulations and compared them to surface-sensitive measurements to understand microscopic phenomena at the aqueous interface with atomic-level precision. However, due to the inherent multiscale nature of electrochemical processes, one would need

to go beyond the level of theory adopted here to simulate additional properties of interest for applications [254, 255], including coarse-grained methods [256, 257]. By integrating these diverse modeling approaches, one may eventually navigate the complexities of electrochemical systems, and gain a deeper understanding of aqueous interfaces at multiple length and time scales.

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