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# Atomistic determination of the surface structure of Cu<sub>2</sub>O(111): experiment and theory†

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Cuprous oxide (Cu<sub>2</sub>O) is a promising catalyst for several important reactions. However, the atomic structures of defective Cu<sub>2</sub>O surfaces, which critically affect the catalytic properties both thermodynamically and kinetically, are not unambiguously characterized. High-resolution scanning tunneling microscopy (STM), combined with density functional theory (DFT) calculations and STM simulations, has been used to determine the atomic structure of the (111) surface of a Cu<sub>2</sub>O bulk crystal. The single crystal surface, processed by ultrahigh vacuum cleaning and oxygen annealing, shows a (1 × 1) periodicity in the low-energy electron diffraction pattern. The pristine (defect-free) Cu<sub>2</sub>O(111) surface exhibits a lattice of protrusions with hexagonal symmetry under STM, which is attributed to the dangling bonds of the coordinatively unsaturated copper (Cu<sub>U</sub>) atoms on the surface. Two types of surface atomic defects are also identified, including the Cu<sub>U</sub> vacancy and the oxygen-vacancy-induced local surface restructuring. The electronic structure of this surface measured by dI/dV spectroscopy shows an energy band gap of ~1.6–2.1 eV. Consistent with dI/dV measurements, DFT calculations identified surface states within the electronic band gap arising from the Cu ions on the surface. Our results provide a clear picture of the pristine and defective Cu<sub>2</sub>O(111) surface structure in addition to the formation mechanism of the reconstructed surface, paving the way toward studying the site-dependent reactivity of this surface.

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## Introduction

Cuprous oxide (Cu<sub>2</sub>O) is a prototypical p-type semiconducting oxide with applications in photovoltaics<sup>1–3</sup> and photocatalysis.<sup>4–9</sup> The Cu<sup>+</sup> ions on Cu<sub>2</sub>O single crystalline surfaces play an important role in the functioning of Cu-based photocatalysts,<sup>10,11</sup> which have been used in water–gas shift reactions for hydrogen production<sup>12</sup> and CO<sub>2</sub> reduction reactions for methanol synthesis.<sup>11</sup> Therefore, studying the surface structure of Cu<sub>2</sub>O single crystals is helpful for the understanding of the process and mechanism of catalytic reactions taking place on the surface, and the unambiguous determination of the correct surface structure of Cu<sub>2</sub>O surfaces is of particular importance for the demonstration

of the site-dependent catalytic reactivity of the surface Cu ions that has been reported in several reactions.<sup>13–15</sup>

The oxygen-terminated Cu<sub>2</sub>O(111) surface has been found to be one of the most energetically stable single crystalline facets of Cu<sub>2</sub>O,<sup>16–18</sup> but its exact surface termination, stoichiometry, and atomic structure still remain uncertain and have been the subjects of many recent experimental and theoretical investigations. The stoichiometric Cu<sub>2</sub>O(111) surface with the minimum surface energy is nonpolar and terminated by an outmost atomic layer of coordinatively unsaturated oxygen anions (O<sub>U</sub>), with a second atomic layer of Cu<sup>+</sup> cations, and a third atomic layer of coordinatively saturated oxygen anions (O<sub>S</sub>).<sup>18</sup> The Cu ions between the O<sub>U</sub> and O<sub>S</sub> layers on the stoichiometric Cu<sub>2</sub>O(111) surface can also be categorized into two groups depending on their local bonding environments, namely, coordinatively saturated copper ions (Cu<sub>S</sub>) and coordinatively unsaturated copper ions (Cu<sub>U</sub>) (Fig. 1a).<sup>14</sup> These surface sites act as an excellent platform for the study of site-dependent catalytic reactivity. The atomic structure of this surface has been theoretically studied by first-principles density functional theory (DFT) calculations,<sup>10,13,14,16–19</sup> which predicted that the (1 × 1) Cu<sub>2</sub>O(111) surface with missing Cu<sub>U</sub> ions has the lowest surface energy while the stoichiometric surface shows a slightly higher energy than the Cu<sub>U</sub> vacant surface under ultrahigh vacuum (UHV) conditions.<sup>14,20</sup> Spatially averaged experimental

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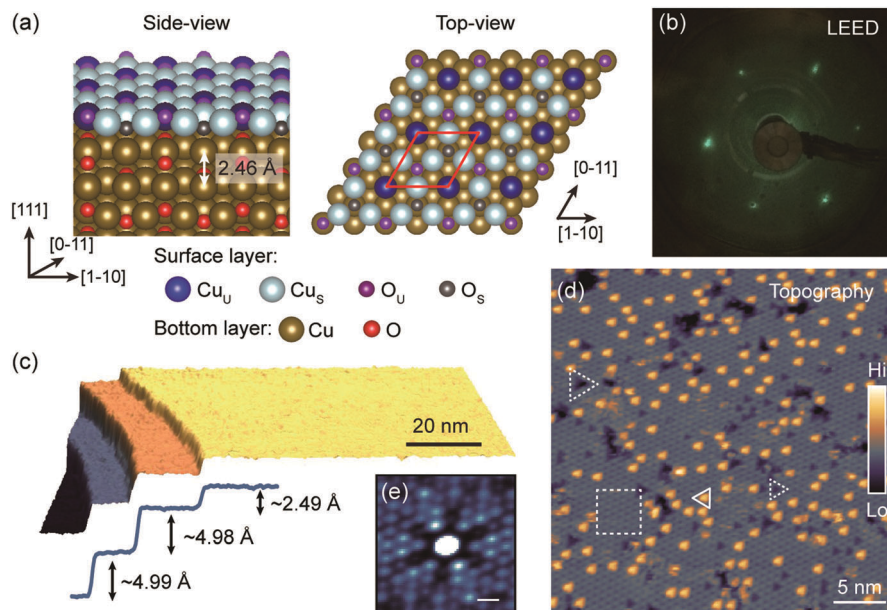
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**Fig. 1** Morphology of a single crystalline surface of  $\text{Cu}_2\text{O}(111)$ . (a) Model of the atomic structure of the stoichiometric  $\text{Cu}_2\text{O}(111)$  surface. The interlayer distance along the  $[111]$  direction is 2.46 Å. (b) LEED pattern of the  $\text{Cu}_2\text{O}(111)$  single crystal surface taken just after the UHV preparation. (c) Large-scale STM topographic image (+2 V, 20 pA) and the corresponding height profile of the atomic terraces of the  $\text{Cu}_2\text{O}(111)$  surface. (d) High-resolution STM topographic image (−1.5 V, 30 pA, z range: 51 Å) showing three representative surface structures: the pristine surface region (dashed square), bright protrusions (solid triangle), and dark depressions (dashed triangle). (e) 2D autocorrelation analysis of data from (d); scale bar is 1 nm, details in the ESI.†

approaches using photoelectron spectroscopies and low-energy electron diffraction (LEED) have also been used to study the structure of this surface.<sup>21</sup> Two types of surface structures corresponding to  $(1 \times 1)$  and  $(\sqrt{3} \times \sqrt{3})R30^\circ$  periodicities were identified. The former corresponds to the pristine oxygen-terminated (111) surface, while the latter reconstruction is attributed to the removal of one-third of the surface oxygen anions.

Recently, scanning tunnelling microscopy (STM) has been used to directly access the surface and electronic structures of  $\text{Cu}_2\text{O}(111)$  single crystals<sup>22</sup> and thin films.<sup>23–25</sup> The thin film samples, which consist of one<sup>25</sup> to a few<sup>23,24</sup> atomic layers on gold substrates, have revealed many insights into the surface terminations and strain-induced structuring; however, experiments on single crystals are critical to understand the structure, electronic structure, and native point defects away from doping and strain introduced by a nearby substrate, and without the confinement effects of a nm-scale film thickness.<sup>24</sup> On single crystals, Önsten *et al.*<sup>22</sup> successfully acquired both the  $(1 \times 1)$  and  $(\sqrt{3} \times \sqrt{3})R30^\circ$  reconstructed  $\text{Cu}_2\text{O}(111)$  surfaces, and measured the surface topography of the latter reconstructed surface down to a sub-nanometer length scale. They proposed two possible atomic models for both surfaces. One of these is based on the stoichiometric (111) surface (with  $\text{Cu}_\text{U}$  ions), while the other is based on the stoichiometric surface without  $\text{Cu}_\text{U}$  ions. However, the exact atomic structure of this (111) surface could not be determined due to the limited resolution of the STM measurements. For a more complete understanding of the chemical properties of this surface, especially with respect to catalytic reactions, it is important to investigate the atomically

resolved surface configuration as well as surface defects and their formation mechanisms.

In this work, we determine the  $\text{Cu}_2\text{O}(111)$  surface atomic structure using STM in combination with DFT calculations and STM simulations. We demonstrate that the STM signal is dominated by unsaturated Cu atoms ( $\text{Cu}_\text{U}$ ), and unambiguously identify and characterize defects due to both  $\text{Cu}_\text{U}$  and  $\text{O}_\text{U}$  vacancies at the atomic scale. We also perform scanning tunnelling spectroscopy (STS) studies and compare with DFT calculations of the electronic structure, and show that the surface atomic defect structures provide low-lying energy states, which may benefit the adsorption and/or reaction of gas molecules on this catalytically active surface. This characterization and understanding at the atomic scale are critical factors in the development of an accurate and complete picture of the surface reactivity of  $\text{Cu}_2\text{O}$ .

## Results and discussion

The  $\text{Cu}_2\text{O}(111)$  single crystal sample was grown by using the floating zone method as previously reported.<sup>26,27</sup> The single crystal was oriented with Laue diffraction, cut, and mechanically polished. In order to acquire an atomically flat sample surface for STM measurements, further surface preparation has to be performed under UHV conditions (base pressure:  $\sim 1 \times 10^{-11}$  mbar), including argon ion sputtering and 860 K annealing in a low pressure oxygen environment ( $\sim 2 \times 10^{-6}$  mbar).<sup>22,28</sup> Compared to the atmospheric conditions used for oxidation,<sup>26,27</sup> this oxygen pressure is very low. Copper vacancies have been predicted as the most energetically favored defects in  $\text{Cu}_2\text{O}$ .<sup>14,26,29</sup> Oxygen vacancies,

though exhibiting poor thermodynamic stability as discussed in the following sections, could form due to the ion sputtering and annealing processes, which are commonly adopted surface treatment techniques to create O vacancies on oxide surfaces.<sup>30,31</sup> After the surface preparation, this sample was transferred into an analysis chamber to perform the LEED and STM characterization under the UHV conditions. Tungsten tips were used for the STM measurements, which were prepared by first electrochemically etching and then degassing in UHV at  $\sim 600$  K for 3 hours. Bias voltages were applied to the sample. All measurements were performed at room temperature (RT) due to the very low electrical conductivity of the sample at low temperature.

Fig. 1a shows both side and top views of the unreconstructed structural model of the unreconstructed oxygen-terminated  $\text{Cu}_2\text{O}(111)$  surface, in which the  $\text{Cu}_\text{U}$  and  $\text{O}_\text{U}$  ions in the surface layer are indicated in blue and purple in order to differentiate them from the  $\text{Cu}_\text{S}$  and  $\text{O}_\text{S}$  ions in the surface and interior layers. We believe that this stoichiometric surface is the primary (111) surface that we observe after processing; however, as we discuss below, we will also consider the surface with the Cu ions removed. The interatomic spacing of the surface  $\text{Cu}_\text{U}$  ions (and the surface-terminating  $\text{O}_\text{U}$  ions) is  $6.1 \text{ \AA}$ , as shown in the red rhombus in the top view model in Fig. 1a. Fig. 1b shows a LEED pattern acquired from the as-prepared  $\text{Cu}_2\text{O}(111)$  surface. The LEED shows a sharp hexagonal pattern, indicating a large-scale atomically flat surface morphology with a  $(1 \times 1)$  periodic atomic construction, consistent with previous results for the surface prepared with the same procedures.<sup>21</sup> Fig. 1c shows a representative large-scale STM topography of the sample surface presenting atomic terraces. The minimum terrace height measured in the STM image is  $\sim 2.49 \text{ \AA}$ , which is consistent with a layer spacing of  $2.46 \text{ \AA}$  from the theoretical model of the (111) surface, as depicted in Fig. 1a.

More features of this surface can be seen when we focus on the terraces. Fig. 1d shows a high-resolution STM image of the atomically flat  $\text{Cu}_2\text{O}(111)$  surface. Three representative surface structures are seen: the pristine (defect-free) surface region (dashed square), triangular dark depressions (dashed triangle) and triangular bright protrusions (solid triangle). Interestingly, all bright defects are found to have the same appearance with a uniform atomic scale size, whereas some dark defects appear as atomic scale defects and some agglomerate into a large dark depression (the larger dashed triangle in Fig. 1d). Moreover, the bright triangular defects are rotated by  $180^\circ$  with respect to the dark triangular defects. These findings suggest that these features are likely to be native structural defects of this (111) surface. We may further exclude unexpected molecular adsorption and surface contamination from the UHV chamber because these dark and bright triangular surface structures remain stable at RT and are not observed to increase or decrease over time in UHV after surface preparation.

Fig. 2a shows an atomically resolved STM image of the pristine surface region, which presents an fcc (111)-like lattice structure, as indicated by the white rhombus with an average side length of  $\sim 6.4 \text{ \AA}$  (averaged from the three directions indicated in Fig. 2b). This spacing rules out the notion that

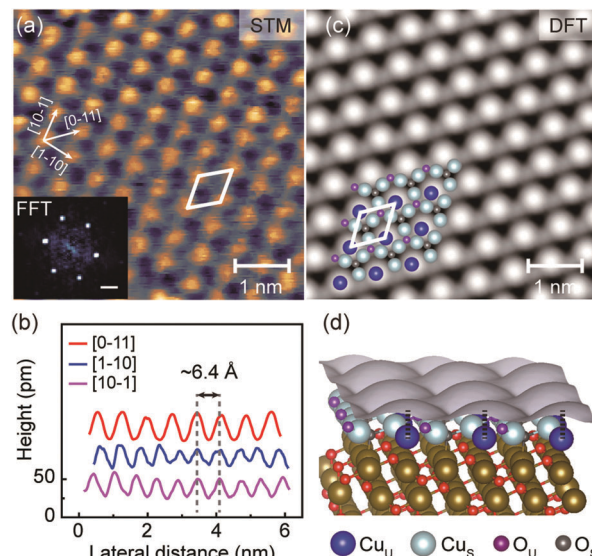


Fig. 2 Atomic structure of the pristine  $\text{Cu}_2\text{O}(111)-(1 \times 1)$  surface. (a) High-resolution STM image ( $+1.5 \text{ V}$ ,  $20 \text{ pA}$ ,  $z$  range:  $6.1 \text{ \AA}$ ) of the pristine surface region. Inset: FFT pattern for the STM image. Scale bar:  $1 \text{ nm}^{-1}$ . (b) Height profiles taken from (a) along three different directions showing an average peak-to-peak separation of  $\sim 6.4 \text{ \AA}$ . (c) DFT-simulated STM image ( $+1.5 \text{ V}$ ) of the pristine  $\text{Cu}_2\text{O}(111)-(1 \times 1)$  surface, after relaxation. (d) Atomic model of the pristine  $\text{Cu}_2\text{O}(111)-(1 \times 1)$  surface overlaid with the DFT-simulated STM image. Black dashed lines show the correspondence of  $\text{Cu}_\text{U}$  ions.

this periodicity corresponds to every Cu atom because the nearest neighboring Cu atoms are spaced by  $\sim 3.0 \text{ \AA}$  in the structural model, as seen in Fig. 2c. Instead, based on the model structures, four scenarios for the origin of these periodic bright protrusions characterized by a rhombic unit with a side length of  $6.1 \text{ \AA}$  appear to be possible. For the stoichiometric (111) surface (Fig. 1a), the protrusions could be due to (1) the outmost  $\text{O}_\text{U}$  ions or (2) the  $\text{Cu}_\text{U}$  ions; for the (111) surface after removing the  $\text{Cu}_\text{U}$  ions, the protrusions could be due to (3) the outmost  $\text{O}_\text{U}$  ions or (4) the triplets of  $\text{Cu}_\text{S}$  ions surrounding the  $\text{O}_\text{S}$  atoms. To explain their observations, Önsten *et al.*<sup>22</sup> suggested that they were observing Cu ions, but were unable to determine which surface they were observing (scenarios (2) and (4)). As we will see below, based on STM measurements combined with DFT-based STM simulations, we believe scenario (2) explains the images, where these protrusions correspond to the  $\text{Cu}_\text{U}$  ions on the stoichiometric (111) surface, as indicated by the model in Fig. 2c. This identification is in agreement with previous findings on few-atomic layer (2–3) thick  $\text{Cu}_2\text{O}$  films on Au.<sup>24</sup>

In order to make this assignment, we simulate the STM images (see Methods for details) for the relaxed DFT structure for both the stoichiometric (111) surface (Fig. 2c) and the (111) surface after removing the  $\text{Cu}_\text{U}$  ions (Fig. S1a, ESI†); these simulations critically consider both the morphology of the surface and the DOS available inside the experimental bias window ( $V = +1.5 \text{ V}$ ). While both surfaces reveal periodic protrusions with the expected unit cell, when matched to the underlying model, it is clear that the simulations suggest that the protrusions have different origins for the two surfaces. For



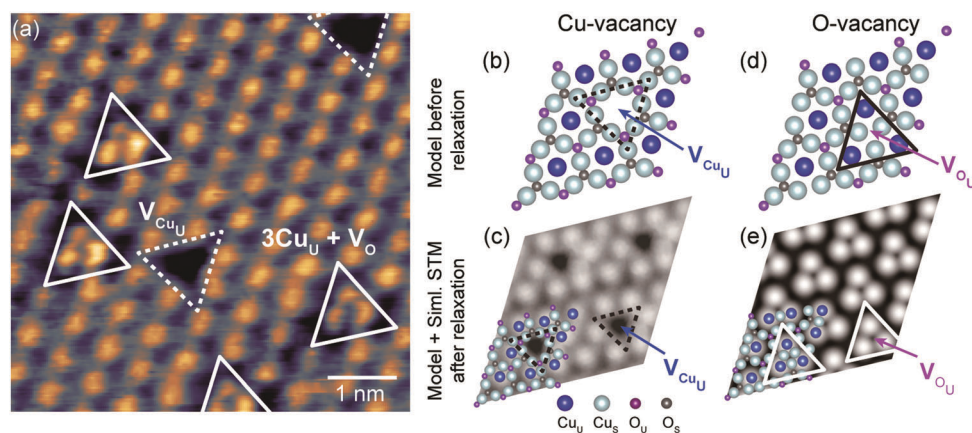
the stoichiometric (111) surface (Fig. 2c), the protrusions are due to the  $\text{Cu}_\text{U}$  ions (scenario (2)); for the (111) surface without  $\text{Cu}_\text{U}$  ions (Fig. S1a, ESI<sup>†</sup>), however, the protrusions are due to the outmost  $\text{O}_\text{U}$  ions (scenario (3)). This second result bucks the conventional wisdom employed by Önsten *et al.*,<sup>22</sup> which states that the topographic features observed in the STM images will be primarily attributed to the variation of local DOS of surface Cu ions, rather than the outmost O ions on the surface. Previous calculations have shown that the electronic states from O atoms lie far away from the conduction and valence band edges, and the electronic DOS around the Fermi energy ( $E_\text{F}$ ) is primarily dominated by contributions from the 3d electrons of surface Cu atoms.<sup>13,32</sup> While these  $\text{Cu}_\text{S}$  ions are evident in the simulation in Fig. S1a (ESI<sup>†</sup>), the superior height of the  $\text{O}_\text{U}$  atoms (Fig. 1a) combined with the available DOS due to their empty valence shell allows these ions to dominate the simulated STM image.

We note that after DFT relaxation, the simulated surface  $\text{Cu}_\text{U}$  atoms move slightly downward and transversely, and are no longer at the center of the hexagons formed by  $\text{Cu}_\text{S}$  atoms (Fig. 2c), consistent with previous theoretical studies.<sup>33,34</sup> A detailed comparison between the unrelaxed and relaxed surface structures is presented in Fig. S2 (ESI<sup>†</sup>). STM image simulation shows that the  $\text{Cu}_\text{U}$  atoms give a bright round contrast pattern with a periodicity of 6.1 Å, in reasonable agreement with the experimental result of ~6.4 Å (the difference may arise from thermal drift, as well as error in the calculated  $\text{Cu}_2\text{O}$  lattice parameters). The correspondence between the positions of high topographic contrast and unsaturated copper ions on the surface is also shown in Fig. 2d.

We now turn to discuss the dark and bright defect features observed on the surface, both to determine their origin and confirm the dominant surface structure. In scenario (2), we identify the bright round protrusions as  $\text{Cu}_\text{U}$  ions; in this case, we can clearly identify the dark triangular defects (Fig. 1d) as

missing  $\text{Cu}_\text{U}$  atoms, *i.e.*,  $\text{Cu}_\text{U}$  vacancies, as shown in detail in Fig. 3a (dashed triangles). We performed a DFT relaxation calculation for a model of this  $\text{Cu}_\text{U}$  vacancy (Fig. 3b) and simulated the STM image (Fig. 3c); this prediction agrees well with the experimental STM image. In contrast, if we consider scenario (3), these defects would appear to correspond to  $\text{O}_\text{U}$  vacancies; modelling this structure, performing the DFT calculation and plotting the simulated-STM image reveals features that are completely at odds with observations (Fig. S1b, ESI<sup>†</sup>). Instead of revealing depressions at the vacancy sites, the uncovered Cu ions and their available DOS close to the Fermi level produce new protrusions that dominate the simulated topography. This result is exactly opposite to the observations and rules out scenario (3), leaving us with scenario (2) as the only reasonable explanation for our observations.

In light of this assignment, we examine the bright triangular defects in Fig. 3a (solid triangles). In contrast to the  $\text{Cu}_\text{U}$  vacancies, these defects show completely different atomic-scale features consisting of three smaller bright  $\text{Cu}_\text{U}$  ions that appear to be drawn closer together, forming dark depressions around them. As shown in Fig. 3d, between the three nearest  $\text{Cu}_\text{U}$  atoms (black triangle), there should exist an  $\text{O}_\text{U}$  ion (purple) bonded with other three neighboring  $\text{Cu}_\text{S}$  ions. We built an atomic model by removing every third  $\text{O}_\text{U}$  ion along each direction of O rows on the surface, indicated by the purple arrow, and optimized the resulting structure using DFT; this  $\text{O}_\text{U}$  ion vacancy was proposed to be a possible defect structure which produced the (111) ( $\sqrt{3} \times \sqrt{3}$ ) $R30^\circ$  reconstructed surface.<sup>22</sup> As shown in Fig. 3e, the optimized atomic structure after the removal of one-third of the surface  $\text{O}_\text{U}$  ions shows that the three nearest  $\text{Cu}_\text{U}$  ions are pulled together, significantly reducing the interatomic-distance from 6.1 Å to 5.0 Å; this is consistent with the experimental observation of 4.7 Å. These simulated features ( $V = +1.5$  V) are also rotated by  $180^\circ$  with respect to the  $\text{Cu}_\text{U}$  vacancies in accordance with the observations. Simulations for



**Fig. 3** Atomic structure of native defects of the  $\text{Cu}_2\text{O}(111)$  surface. (a) High-resolution STM image (+1.5 V, 20 pA, z range: 11 Å) of a representative defective surface region, containing the dark and bright triangular defects. (b) Structural model of a surface  $\text{Cu}_\text{U}$  vacancy ( $V_{\text{Cu}_\text{U}}$ , dashed triangles) without any structural relaxation. Only surface layer atoms are shown and denoted. (c) DFT-simulated STM image (+1.5 V) of the surface model shown in (b) after structural relaxation. (d) and (e) Same as (b) and (c) but for the surface  $V_{\text{O}_\text{U}}$  vacancy ( $V_{\text{O}_\text{U}}$ ). The relaxed atomic structure is also overlaid on the simulated image. After relaxation, the three nearest neighboring  $\text{Cu}_\text{U}$  have moved towards the center of the oxygen vacancy, forming a shrunken triangular pattern shown as a white solid triangle.

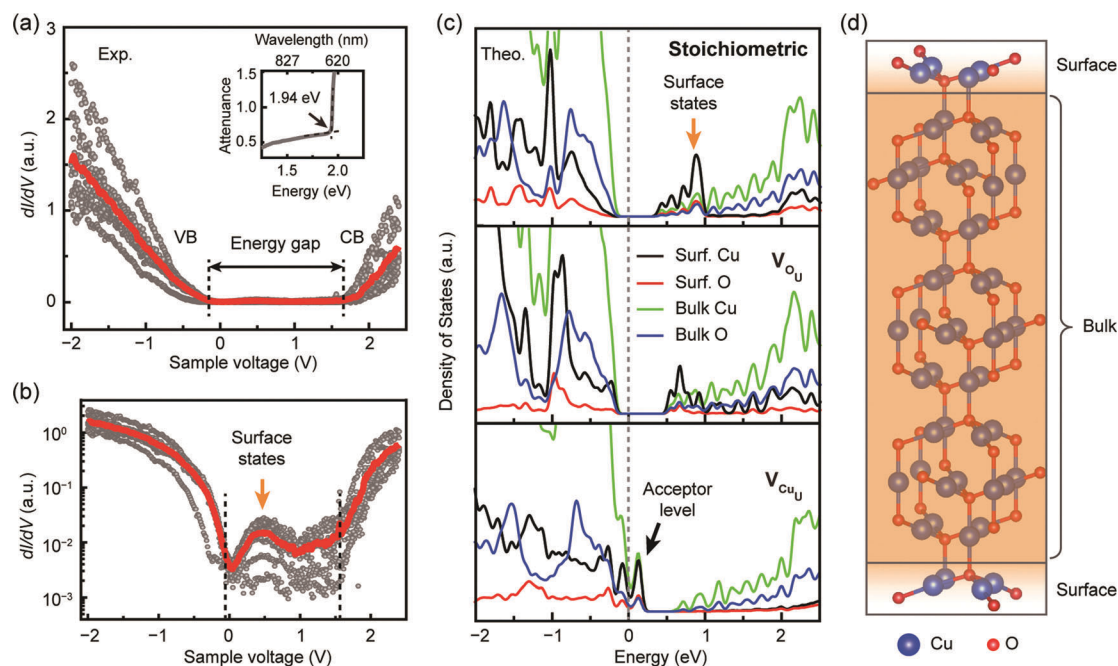
an isolated  $O_U$  vacancy, both at the positive ( $V = +1.5$  V, Fig. S3a, ESI†) and the negative ( $V = -1.5$  V and Fig. S3b, ESI†) bias, are also consistent with the observed structures in Fig. 3a and 1d, respectively. Therefore, the atomic-scale imaging and DFT calculations argue that each bright triangular defect contains an  $O_U$  vacancy in the center (and further support the assignment of scenario (2)).

Based on our identification, it appears that ‘isolated’  $Cu_U$  and  $O_U$  vacancies coexist on the same surface, in some cases separated by only  $\sim 2$  nm (Fig. 3a). While Cu vacancies are well-known to form in bulk<sup>20,26</sup> and lead to the p-type behavior of  $Cu_2O$  crystals, O vacancies are not as frequently reported.<sup>35</sup> We calculated the formation energies of isolated and paired surface defects under oxygen-poor conditions (details in the ESI†, Fig. S4). We find that surface Cu vacancies are spontaneous (with a formation energy of  $-0.6$  eV), but surface O vacancies have a high formation energy of  $+1.4$  eV, making their formation thermodynamically rare. Oxygen vacancies are likely generated through the sputtering process and persist because they have no path to resolution in the UHV environment.<sup>22</sup> It is worth noting that the negative formation energy of Cu vacancies indicates that the  $Cu_U$  vacant surface is thermodynamically favorable, but previous DFT calculations have also shown that the stoichiometric Cu-terminated surface only has marginally higher surface energy than the  $Cu_U$  vacant surface under high vacuum conditions.<sup>14,20</sup> Moreover, the formation of a large-scale

$Cu_U$  vacant surface may be hindered by kinetic factors in spite of its thermodynamic favorability. It was concluded through the comparison between experimental and simulated STM images that the Cu-terminated surface is what we have observed experimentally.

We were also interested in the energetic stability of pairs or assemblies of defects. Clearly,  $Cu_U$  vacancies (possibly combined with  $O_U$  vacancies) appear to congregate into the larger vacancy islands shown in Fig. 1d. Conversely, the bright protrusions identified as associated with O vacancies do not appear to congregate – in fact, they may even ‘repel’ one another. We tested this hypothesis by creating a binary image by thresholding the data by height in Fig. 1d and performing a 2D auto-correlation function (details in Section S5 of the ESI†). Indeed, the auto-correlation function (shown in Fig. 1e) shows a significant dip at nearest neighbor sites and next nearest neighbor sites along the primary axes, indicating that these bright protrusions – identified as the  $O_U$  vacancies – are unlikely to be found close to one another. This relative repulsion may be explained by the charge on these defects; previous DFT calculations<sup>36</sup> showed that in the bulk, Cu vacancies are likely neutral while O vacancies are positively charged.

Having determined the atomic structures of pristine and defective surfaces, we turn to examine the electronic properties of these surfaces in order to gain insight into the electronic states that determine the experimental observations. We characterized



**Fig. 4** Electronic structure of the  $Cu_2O(111)$  surface. (a) Averaged experimental  $dI/dV$  curve (red) measured at the different sites (gray) on the  $Cu_2O(111)$  surface. The inset shows an optical attenuation spectrum of the  $Cu_2O$  single crystal. (b) Detailed plot of (a) on a logarithmic scale. (c) DFT-calculated density of states (DOS) of the surface and bulk of the  $Cu_2O(111)$  system shown in (d) with the surface termination of the stoichiometric  $(1 \times 1)$  structure (top panel), the  $(1 \times 1)$  surface without  $O_U$  ions (middle), and the  $(1 \times 1)$  surface without  $Cu_U$  ions (bottom). The energy is reported to be relative to the valence band maximum, which is close to the Fermi energy ( $E_F$ ) in  $Cu_2O$ . The black, red, green, and blue curves in each panel represent the DOS dispersion of surface Cu, surface O, bulk Cu, and bulk O species with energy, respectively. The orange and black arrows indicate the positions of the surface states related to the surface  $Cu_U$  ions, and the acceptor level associated with the  $Cu_U$ -vacancies on the surface, respectively. (d) The  $Cu_2O$  structure for the DOS calculation. Both top and bottom layers of  $Cu_2O$  are considered the surfaces, and the nine middle layers are considered the bulk.

the electronic structure of this crystalline surface by STS (Fig. 4a). It was challenging to precisely acquire isolated  $dI/dV$  spectra for all these featured surface structures, *e.g.* the vacancies of  $\text{Cu}_\text{U}$  and  $\text{O}_\text{U}$  ions, due to the poor electrical conductivity and stability of the surface structures (and the requirement of working at room temperature). The  $dI/dV$  spectra measured at various sites on the surface (which may include the  $\text{Cu}_\text{U}$  and  $\text{O}_\text{U}$  vacancies) are generally characterized by global features including the wide energy band gap. The band gap evaluated from the averaged  $dI/dV$  spectrum (the red curve in Fig. 4a) at RT is  $\sim 1.6\text{--}2.1$  eV, which is consistent with the onset of optical absorption at 1.94 eV observed in the attenuation spectrum (inset, Fig. 4a) taken on the same sample.

Additionally, at certain points on the surface, a weak and broad  $dI/dV$  peak is seen at  $\sim 0.5$  eV above  $E_\text{F}$  in the band gap (Fig. 4b). Previous STS measurements on few-atomic-layer  $\text{Cu}_2\text{O}$  on Au have also revealed a peak in the band gap, which the authors attributed to mixed  $\text{Cu}_\text{U}$  and  $\text{O}_\text{U}$  character.<sup>24</sup> However, it is not clear whether the peak we observed (Fig. 4b) has the same origin; the peak from the few-atomic-layer sample was observed at the conduction band edge and dominated the spectrum,<sup>24</sup> while for our single-crystalline sample, the peak resides in the middle of the band gap and can only be resolved on a log scale. In order to explain our observation, we performed DFT calculations (Fig. 4c) for a symmetrical  $\text{Cu}_2\text{O}$  slab consisting of eleven stoichiometric  $\text{Cu}_2\text{O}$  atomic layers along the surface normal direction (Fig. 4d) in order to analyze the dependency of the DOS with ion species and the tendency of the DOS change with the surface defects. The top and bottom layers are considered as the surfaces, and the interior is considered as the bulk region. Three surface structures, *i.e.* the stoichiometric  $(1 \times 1)$  surface, the  $(1 \times 1)$  surface without  $\text{O}_\text{U}$  ions ( $\text{V}_\text{O}_\text{U}$  surface) and the  $(1 \times 1)$  surface without  $\text{Cu}_\text{U}$  ions ( $\text{V}_\text{Cu}_\text{U}$  surface), were evaluated. These calculations are able to provide a qualitative description of the energy states in the gap, although the magnitude of the  $\text{Cu}_2\text{O}$  band gap is significantly underestimated by DFT using GGA functionals.<sup>19,37,38</sup> As shown in Fig. 4c, the stoichiometric surface (top panel) and the surface without  $\text{O}_\text{U}$  ions (middle panel) show very a similar electronic structure in which they present a wide gap feature and the in-gap states (orange arrow) at  $\sim 0.8$  eV above  $E_\text{F}$ . The in-gap peak is shifted to lower energy for the  $\text{O}_\text{U}$  vacant surface as compared to the stoichiometric surface. However, these in-gap features disappear for the surface without  $\text{Cu}_\text{U}$  ions (bottom panel), indicating that these states largely stem from the  $\text{Cu}_\text{U}$  ions on the surface, consistent with the results reported previously.<sup>24,32</sup> Moreover, the calculation also shows that the surface without  $\text{Cu}_\text{U}$  ions presents extra electronic states around  $E_\text{F}$  (black arrow), qualitatively consistent with the acceptor level associated with Cu vacancies in  $\text{Cu}_2\text{O}$  crystals examined by either optical spectroscopy or theoretical calculations, which is usually slightly ( $\sim 0.4$  eV) higher than the valence band maximum.<sup>20,39</sup> However, we did not see such distinct acceptor energy levels on the experimental  $dI/dV$  curves, likely because they are affected by thermal broadening at RT and/or tip effects, overlaid with the valence band, or simply undersampled in the measurements.

## Conclusions

In summary, we studied the atomic structure of the  $\text{Cu}_2\text{O}(111)$  surface by STM imaging combined with DFT calculations and simulations. We determined that the  $\text{Cu}_\text{U}$  ions on the surface are observable as bright protrusions under STM. Two types of surface defects, vacancies of Cu and O ions, were also identified. The Cu vacancies appear as depressions under STM while the O vacancies attract three neighboring  $\text{Cu}_\text{U}$  ions together, forming a brighter triangular defect structure oriented in the opposite direction. The electronic band gap of a single crystalline surface revealed by  $dI/dV$  spectroscopy was estimated to be within the range of  $\sim 1.6\text{--}2.1$  eV. Moreover, extra in-gap electronic states were also observed to form near the  $E_\text{F}$  in both  $dI/dV$  spectroscopy and DFT calculations, which were assigned to the surface states stemming from the unsaturated surface Cu ions. The surface defect structures ( $\text{O}_\text{U}$  and  $\text{Cu}_\text{U}$  vacancies) were further predicted to shift the energy level of these in-gap states or introduce more acceptor levels, which could provide more actively binding sites for gas molecules to react on the surface.

## Methods

The  $\text{Cu}_2\text{O}$  crystal was grown by oxidizing high-purity copper rods and crystallizing it with the floating zone method.<sup>26</sup> The (111) crystalline orientation was determined with Laue diffraction and then prepared by mechanical cutting and polishing. This surface was further processed under UHV conditions with  $\text{Ar}^+$  ion sputtering (1.0 kV) and high-temperature annealing (860 K) in oxygen (oxygen pressure:  $\sim 2 \times 10^{-6}$  mbar) for 30 minutes. LEED and STM experiments were performed under UHV conditions (base pressure:  $1 \times 10^{-11}$  mbar) in a commercial UHV chamber (Omicron) with a home-built STM microscope. Electrochemically etched tungsten tips were used for the STM imaging and tunnelling spectroscopy measurements. We further degassed the tip at 600 K for 3 hours, and cleaned and inspected it on a clean Cu metal surface by imaging and  $dI/dV$  spectroscopy. Lock-in detection was used to extract the effect of a 30 mV amplitude 20 kHz voltage modulation that was added to the DC sample voltage for  $dI/dV$  measurements.

The Vienna Ab initio Simulation Package (VASP)<sup>40,41</sup> was used to perform DFT calculations to simulate the surface geometries and STM images of various  $\text{Cu}_2\text{O}(111)$  surface types. Projector-augmented wave (PAW)<sup>42</sup> atomic potentials were used in conjunction with a cutoff energy of 400 eV for the plane-wave basis set. The generalized-gradient approximation (GGA) with the parametrization of Perdew–Burke–Ernzerhof (PBE) was used for the exchange–correlation functional.<sup>43</sup> On-site Coulomb interaction between the localized 3d electrons was accounted for using the DFT+*U* approach proposed by Dudarev,<sup>44</sup> with a *U*–*J* value of 4 eV applied on Cu, as calibrated by Wang *et al.*<sup>45</sup> The calculated  $\text{Cu}_2\text{O}$  lattice parameter was 4.30 Å, in close agreement with the experimental value of 4.27 Å.<sup>46</sup> The Kohn–Sham gap of bulk  $\text{Cu}_2\text{O}$  was found to be 0.64 eV, in comparison with the experimental value of 2.17 eV.<sup>47,48</sup>



STM images were obtained within the Tersoff–Hamann approximation,<sup>49</sup> in which the constant current STM image is modeled as a surface of constant charge density from Kohn–Sham eigenstates corresponding to eigenenergies within a certain range. Asymmetric Cu<sub>2</sub>O(111) surface slabs were used for STM simulation, which consisted of five O–Cu–O trilayers. A trilayer is defined as one layer of Cu atoms between two O layers.<sup>50</sup> A vacuum spacing of approximately 15 Å separates each slab from its periodic images to prevent unphysical coupling. The positions of all atoms, except the bottom trilayer, were allowed to relax in all three directions until the force components acting on each atom were less than 0.01 eV Å<sup>-1</sup>. All calculations were spin polarized. The Brillouin zone was sampled using a 6 × 6 × 1 Monkhorst–Pack<sup>51</sup> grid for the vacancy-free 1 × 1 surfaces. Surfaces containing Cu or O vacancies were modeled using 3 × 3 surfaces with a 2 × 2 × 1 Monkhorst–Pack grid. Density of states (DOS) calculations used symmetric surface slabs consisting of 11 trilayers with all atoms being allowed to relax. Electron smearing was carried out using Gaussian smearing with a width of 0.05 eV. Convergence tests were performed by varying the computational parameters such as the slab thickness, planewave cutoff energy, Brillouin zone sampling grid and vacuum size.

## Conflicts of interest

The authors declare no conflict of interest.

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