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Article

# Study on Structural Stability of ZrO<sub>2</sub> and YSZ: Doping-Induced Phase Transitions and Fermi Level Shift

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**Abstract:** The article deals with the issues of structural stability, electronic properties and phonon dispersion of the cubic, tetragonal and monoclinic phase of ZrO<sub>2</sub>. The monoclinic phase of ZrO<sub>2</sub> is found to be the most stable among all the phases of this compound, in terms of total energy comparison, the lowest enthalpy value, the highest entropy and the lowest negative modes found for m-ZrO<sub>2</sub>. An analysis of the electronic properties showed that during the m-t phase transformation of ZrO<sub>2</sub>, the Fermi level first shifts by 0.125 eV towards higher energies, and then, in the t-c section, goes down by 0.08 eV. In this case, the band gaps for c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, and m-ZrO<sub>2</sub> are 5.140 eV, 5.898 eV, and 5.288 eV, respectively. Calculations based on the analysis of the effect of doping with 3.23, 6.67, 10.35, and 16.15 mol. % Y<sub>2</sub>O<sub>3</sub> on the m-ZrO<sub>2</sub> structure showed that the m-YSZ enthalpy decreases linearly, which accompanies doped-induced phase transitions and further stabilization of monoclinic ZrO<sub>2</sub>. In this case, the position of the Fermi level changes stepwise, and the energy gap decreases. It has been found that not only for pure systems, including for Y<sub>2</sub>O<sub>3</sub>-doped systems, the p-states of electrons make the main contributions to the formation of the conduction band. The obtained results complement the database of research works carried out in the field of application of biocompatible zirconium dioxide crystals and ceramics for green energy generation and can be used in the design of humidity-to-electricity converters and the creation of solid oxide fuel cells based on ZrO<sub>2</sub>.

**Keywords:** zirconium dioxide; stability; yttrium-stabilized ZrO<sub>2</sub> (YSZ); oxygen vacancy; enthalpy and entropy; doped-induced phase transition; fermi level shift

## 1. Introduction

With the ongoing threat of the energy crisis and global warming caused by the increase in the use of fossil energy, the search for sustainable and environmentally friendly sources of energy is one of the most urgent challenges of human civilization in the 21<sup>st</sup> century [1,2], since it is known that the continued use of fossil fuels in the world threatens our energy supply and creates a huge burden on the environment. Research on the use of sustainable green energy represents one of the ways to mitigate the growing threat of global environmental problems and the energy crisis, which is very intense and active around the world. Solar panels and wind turbines have become familiar to us. However, new advances in nanotechnology and materials science make it possible to collect energy from other sources and will allow and implement the creative idea of Nikola Tesla about "Getting an electric current from the air" Recently, scientists and engineers have been working on the creation of innovative devices for converting humidity into electricity, which will expand the range of known renewable energy sources due to a new source of atmospheric humidity (galvanic converters that convert air humidity into electricity). That is, such devices are capable of collecting electricity from

atmospheric humidity and supplying electrical current, similar to how solar panels capture sunlight and generate electricity.

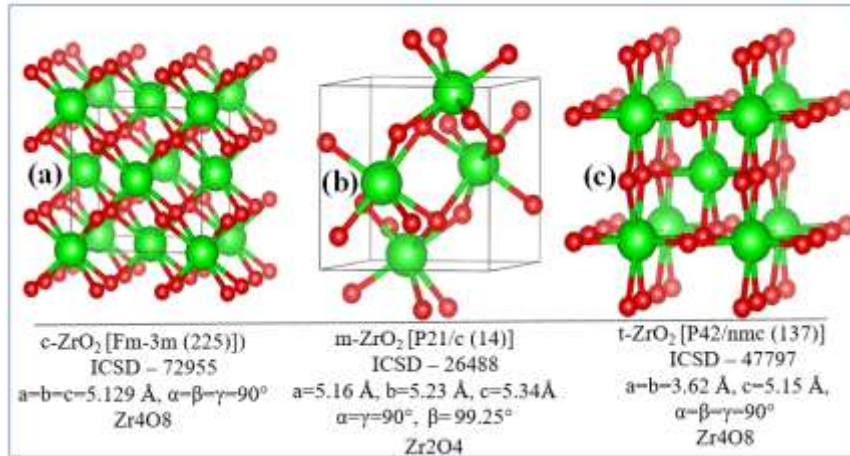
Zirconium ceramics have been extensively studied in recent years because of their excellent electrical, optical and mechanical properties. They are also biocompatible and have a wide range of biomedical applications. Tetragonal phase yttria stabilized zirconia (Y-TZP) has been used in various medical applications since the 1980s, particularly for dental crowns [2]. In addition, bulk materials and nanocomposites based on  $ZrO_2$  are used in electrochemical cells because of their high oxide ion conductivity and catalytic activity, low thermal conductivity and mechanical/chemical stability, as well as compatibility with electrolytes, which makes them from a structural point of view [3,4].

One of the most remarkable properties of ceramics based on zirconia is the presence of three crystalline forms with different properties [5–9]. There are the most stable monoclinic (mineral baddeleyite; m- $ZrO_2$ ), metastable tetragonal (medium temperature) and unstable cubic structure of zirconium dioxide (high temperature). High-pressure induced zirconium phases in the form of brookite (orthorhombic-I) and cotunnite (orthorhombic-II) are also known [10,11]. Pure zirconium dioxide undergoes a phase transformation from monoclinic to tetragonal (about 1173°C), and then to cubic (about 2370°C), accompanied by a change in volume and, accordingly, their strength [12–14]. For the application of zirconia in advanced zirconia ion-conducting ceramic devices, it is important that the stabilized material has an adequate level of conductivity and the desired mechanical-chemical stability in both oxidizing and reducing atmospheres. Obtaining a stable material from zirconia is difficult due to a noticeable change in volume during the phase transition. Stabilization of zirconium dioxide is achieved by replacing some  $Zr^{4+}$  ions with larger ions in the crystal lattice [15–17]. For example, numerous studies have shown that doping with polyvalent oxides, including certain concentrations of yttrium oxide, stabilizes the high-temperature cubic and tetragonal phases of  $ZrO_2$  at room temperature. This also leads to an increase in the concentration of oxygen vacancies and oxygen-ion conductivity, which makes it possible to use stabilized  $ZrO_2$  as an electrolyte in fuel cells [17]). The ionic conductivity of  $ZrO_2$  strongly depends on the phase modification and the content of stabilizing additives in the system, which is also evidenced by the phase diagram given in [18]. At the same time, it is difficult to study experimentally single crystals of pure  $ZrO_2$  grown from a melt, they exhibit phase transformations upon cooling, therefore, their doped structures (for example, yttrium-doped structure  $ZrO_2$ , YSZ) are usually studied. However, the surface chemistry of YSZ is much more complex than that of the purest  $ZrO_2$ . In another work, Kobayashi et al. [19] found that YSZ decomposes slowly at about 250°C due to the t-m transformation. This t-m transformation is accompanied by microcracking and loss of material strength in a humid atmosphere. This t-m transformation also occurs due to the presence of water or a humid environment in zirconia-based ceramic materials, which is called low-temperature degradation or aging of  $ZrO_2$  crystals. Over the past couple of decades, a large amount of work has been done on this topic, including many hypotheses and discussions, and the most reliable hypothesis on the YSZ topic is based on filling oxygen vacancies that were present in the matrix to maintain a stable t-YSZ phase. Thus, filling these O-vacancies with water radicals, either  $O_2$  or OH, destabilizes the YSZ phase. However, the YSZ stabilization mechanism itself is not fully understood, and it is still the subject of much debate. Therefore, theoretical research and modeling of the properties of bulk and 2D materials based on  $ZrO_2$  and YSZ is necessary as a starting point for a good understanding of their fundamental properties. On the other hand, aspects of the shift of the Fermi level after doping of yttrium oxide in  $ZrO_2$ , and the effect of doping on their stabilization are still not sufficiently understood due to the difficulty of detecting them in the experiment.

## 2. Ab-initio simulation details

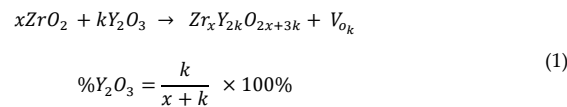
Ab initio calculations were carried out on the basis of the density functional theory [20]. All three modifications of  $ZrO_2$  (Figure 1a–c) were first relaxed using the GGA functionals (PBE) [21] and strictly bounded normalized potential (SCAN) [22]. To obtain the most accurate value of the ground state energy, the total energy was calculated in terms of the GGA exchange correlation potential, and SCAN was used to correctly estimate the lattice parameters. The calculations were carried out using

the Vienna Ab-initio Simulation Package (VASP 6.4.2) [23]. By comparing the total energy in the unit cell, the stability of the three phases of  $ZrO_2$  was evaluated, and then a supercell with a size of  $2 \times 2 \times 2$  was created to simulate the effect of 3.23, 6.67, 10.34, and 16.15 mol%  $Y_2O_3$  on the stability of  $ZrO_2$  in order to investigate doped-induced phase transitions of zirconium dioxide and evaluate the effect of  $Y_2O_3$  doping on the position of the Fermi level, as well as the stability of this  $ZrO_2$ .



**Figure 1.** Crystal lattice models: a) cubic, b) monoclinic and c) tetragonal phase of  $ZrO_2$ .

For yttrium oxide doping, some  $Y_2O_3$  formula units were replaced by  $ZrO_2$  in a  $2 \times 2 \times 2$  supercell, with one oxygen vacancy created in each substitution. A schematic description of the generation of YSZ - structures is made according to the scheme:



This can be thought of as combining  $x$   $ZrO_2$  formula units with  $k$   $Y_2O_3$  formula units arranged in an initial lattice of  $x+k$   $ZrO_2$  units, resulting in the formation of  $m$  oxygen defects. Based on this, we determine the percentage of vacancy equal to the percentage of yttrium units in the final structure. Thus, our calculations were implemented for 4 different concentrations of  $Y_2O_3$  doping (Table 1), which were refined using formula 1.

**Table 1.** Number of Zr, Y, O ions and oxygen vacancy for various mol. %  $Y_2O_3$ .

| mol. % $Y_2O_3$ | Zr | Y  | O  | O vacancy | System     |
|-----------------|----|----|----|-----------|------------|
| 0               | 32 | 0  | 64 | 0         | Zr32O64    |
| 3.23            | 30 | 2  | 63 | 1         | Zr30Y2O63  |
| 6.67            | 28 | 4  | 62 | 2         | Zr28Y4O62  |
| 10.35           | 26 | 6  | 61 | 3         | Zr26Y6O61  |
| 16.15           | 22 | 10 | 59 | 5         | Zr22Y10O59 |

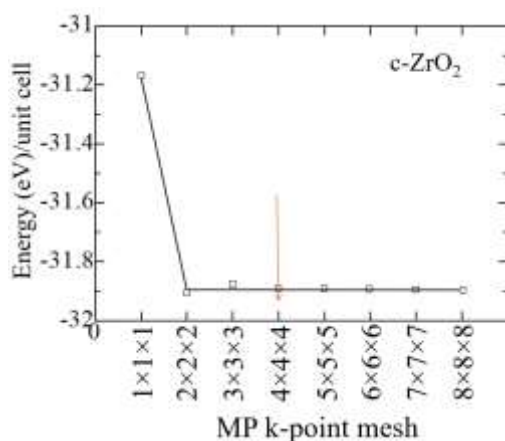
Vacancies were taken into account by removing one O atom with each subsequent substitution of 2  $Y^{3+}$  ions in the  $Zr^{4+}$  position. The atomic orbitals O (2s, 2p), Zr (4d, 5s) and Y (4s 4p 4d 5s) were considered as valence electrons, while the remaining electrons were considered as nucleus electrons and remained frozen. The PAW method has been used to describe the interaction between valence electrons and electrons in the nucleus. The cutoff of the kinetic energy was fixed at the level of 600

eV, and all calculations were carried out taking into account spin-polarized effects. Orbital analyzes were performed by summing the contributions of individual atomic varieties in the unit cell and showing the contributions of the main atoms at the meeting point of the valence band and the conduction band.

### 3. Results and discussion

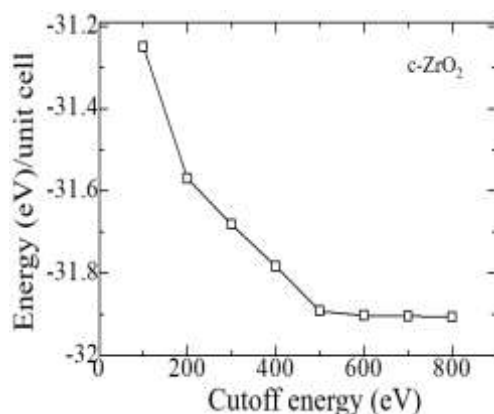
#### 3.1. Structural, electronic and phonon properties of $ZrO_2$

At the first step of the study, the geometry of pure  $ZrO_2$  phases was optimized using the VASP package. To find the optimal value of the cutoff energy (ENCUT) and the appropriate number of k-points in the Brillouin zone, we tested the convergence of the total unit cell energy as a function of ENCUT and KPOINTS. The results of the convergence test for the number of k-points for the  $ZrO_2$  cubic phase are shown in Figure 2, performed to build a k-point grid with a starting value of ENCUT =  $1.3 \cdot ENMAX$ . Based on the results, it can be concluded that a  $4 \times 4 \times 4$  k-point grid with the Monkhorst-Pack scheme is optimally suited for the geometric relaxation of  $ZrO_2$ . However, when calculating the electronic structure of these compounds, the number of k-points was at least doubled in order to obtain the most accurate density of states (DOS).



**Figure 2.** Total energy of the  $c\text{-}ZrO_2$  unit cell as a function of the number of k-points (in the condition ENCUT= $1.3 \cdot ENMAX$ ).

Similar tests were carried out to establish the cutoff energy, from which it can be seen that the choice of ENCUT = 600 eV is suitable for modeling  $ZrO_2$ , and further increase in this energy only increases the calculation time without affecting its accuracy (Figure 3). Therefore, all further calculations were carried out at 600 eV. Similar convergence tests have also been carried out for the tetragonal and monoclinic phase of  $ZrO_2$  using the GGA potential, which are also consistent with the results for the cubic phase.



**Figure 3.** Total energy of the c-ZrO<sub>2</sub> unit cell versus cutoff energy ( $4 \times 4 \times 4$  k-points).

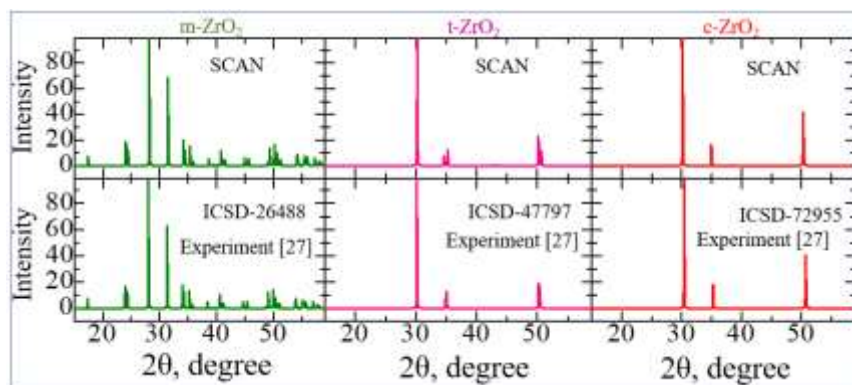
Table 2 compares the calculated values of the lattice parameters of the ZrO<sub>2</sub> phase with the results from the literature.

**Table 2.** Relaxed parameters of the ZrO<sub>2</sub> phase (The calculated results are compared with experimental and previous theoretical results).

|   | Lattice constants   | This work |         | Exp.          |
|---|---------------------|-----------|---------|---------------|
|   |                     | GGA       | SCAN    |               |
| m-ZrO <sub>2</sub> [P2 <sub>1</sub> /c]   | a (Å)               | 5.191     | 5.115   | 5.0950 [24]   |
|   | b (Å)               | 5.245     | 5.239   | 5.2116 [24]   |
|   | c (Å)               | 5.202     | 5.304   | 5.3173 [24]   |
|   | $\beta^\circ$       | 99.639    | 99.110  | 99.230 [24]   |
|   | V (Å <sup>3</sup> ) | 144.410   | 139.400 | 140.88 [24]   |
| t-ZrO <sub>2</sub> [P4 <sub>2</sub> /nmc] | a=b (Å)             | 3.593     | 3.622   | 3.64 [25]     |
|   | c (Å)               | 5.193     | 5.275   | 5.27 [25]     |
|   | c/a                 | 1.445     | 1.456   | 1.45 [25]     |
|   | V (Å <sup>3</sup> ) | 67.05     | 69.214  | 69.83 [25]    |
|   | dz                  | 0.012     | 0.013   | 0.046 [25]    |
| c-ZrO <sub>2</sub> [Fm-3m]                | a=b=c (Å)           | 5.075     | 5.12    | 5.129 [26,27] |
|   | V(Å <sup>3</sup> )  | 130.709   | 134.06  | 134.9 [26,27] |

According to the results given in Table 2, it can be seen that as the transition from a high-temperature phase to a lower-temperature phase, lattice distortion leads to a displacement of O ions in the c direction by a value of dz, expressed in relative units. As a result of distortion in the tetragonal phase, all Zr-O bonds will become nonequivalent. According to Table 2, the SCAN functionality describes the geometry much better than the standard GGA-PBE. Since the SCAN exchange-correlation functional describes the structural properties well, we decided to use this functional further when describing the geometry of other systems. The X-ray diffraction patterns of the initial structures obtained by us after their final relaxing are compared with the data from the literature, from which it can be seen that the results obtained by us are in good agreement with the experimental data, except for an imperceptible difference in the position of the X-ray peaks depending on the Bragg angles for the tetragonal system (Figure 4).

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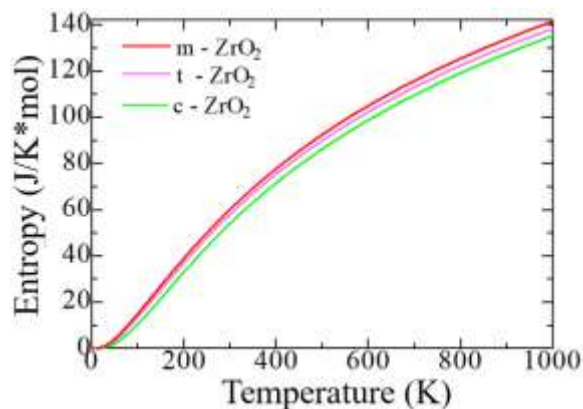
**Figure 4.** Comparison of experimental and calculated (SCAN) X-ray diffraction patterns of m-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, and c-ZrO<sub>2</sub>.

Table 3 compares the total energy calculated by the GGA method for the monoclinic, tetragonal, and cubic ZrO<sub>2</sub> phases, from which it can be seen that m-ZrO<sub>2</sub> is the most stable phase in terms of energy values compared to other phases, that is, the monoclinic ZrO<sub>2</sub> phase with space group P21/c is the most stable at low temperatures.

**Table 3.** GGA- calculated total electronic energies of c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, m-ZrO<sub>2</sub> unit cells.

| System             | Energy   | $\Delta E$ |
|--------------------|----------|------------|
| m-ZrO <sub>2</sub> | -28.7947 | 0          |
| t-ZrO <sub>2</sub> | -28.6885 | 0.106      |
| c-ZrO <sub>2</sub> | -28.5865 | 0.201      |

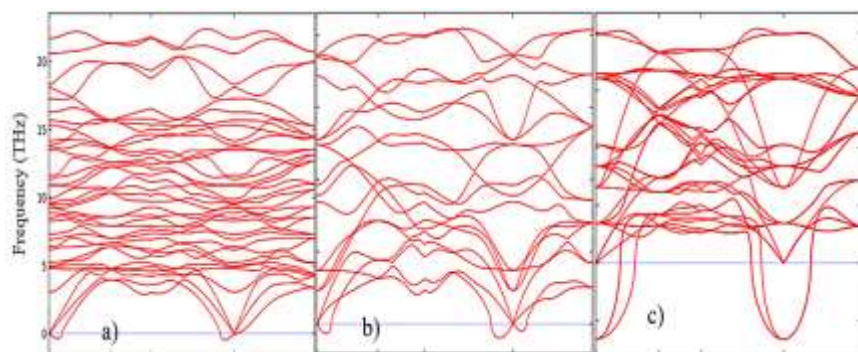
Next, using the Phonopy code in the VASP package, we simulated the thermodynamic properties and phonon spectra of the ZrO<sub>2</sub> phase for a more detailed discussion of the structural stability of the ZrO<sub>2</sub> monoclinic phase. Figure 5 shows the change in the entropy of the unit cells of the ZrO<sub>2</sub> phase as a function of temperature.



**Figure 5.** Entropy as a function of absolute temperature per unit cell c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, m-ZrO<sub>2</sub>.

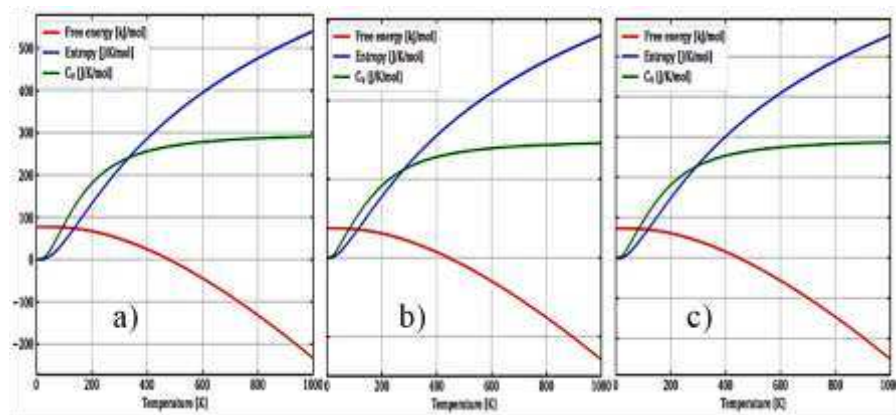
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According to Figure 5, as the transition from the monoclinic to the tetragonal and cubic phases, the entropy of these compounds decreases, which corresponds to the criterion of inverse dependence of enthalpy or direct dependence of the entropy and stability of solid systems [28]. This pattern can also be clearly observed after analyzing the pattern of phonon frequencies of the three phases of  $ZrO_2$  (Figure 6 a–c) from which it is clearly seen that the monoclinic phase has the smallest negative modes than the other two phases.



**Figure 6.** Phonon dispersion relations of (a) monoclinic, (b) tetragonal, and (c) cubic  $ZrO_2$  at 0 K.

Figure 7a–c shows the temperature dependence of free energy, entropy and heat capacity for m- $ZrO_2$ , t- $ZrO_2$  and m- $ZrO_2$ .



**Рисунок 7.** Temperature dependence of free energy, entropy and heat capacity for: m- $ZrO_2$  (a), t- $ZrO_2$  (b), and m- $ZrO_2$  (c).

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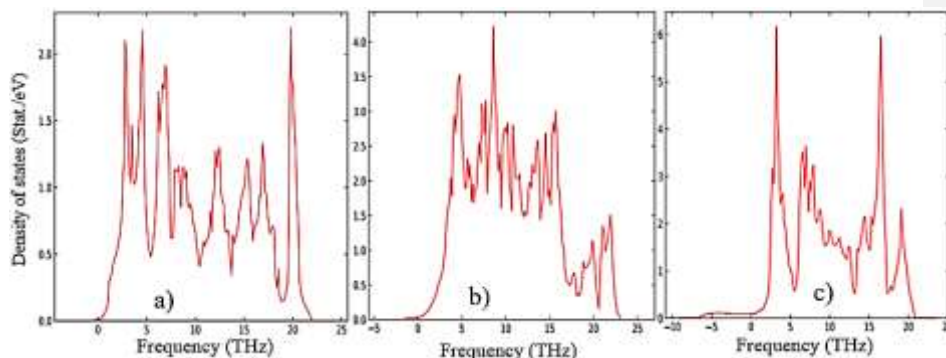


Figure 7. Phonon density of states for (a) m-ZrO<sub>2</sub>, (b) t-ZrO<sub>2</sub>, and (c) c-ZrO<sub>2</sub>.

The results of calculations of the density of phonon states are shown in Figure 7a–c indicate that as the transition from the monoclinic to the tetragonal and cubic phases, the density of electronic states increases, and they also correspond well with the results given in Figure 6 and confirm the monoclinic phase as the most stable among other ZrO<sub>2</sub> phases. This is also confirmed by the result of the Energy/Volume diagram shown in Figure 8 and is in good agreement with literature data [29]. Therefore, for further stabilization by doping with Y<sub>2</sub>O<sub>3</sub>, the choice of the monoclinic phase is appropriate.

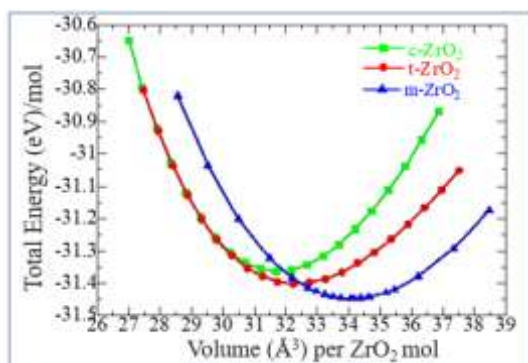


Figure 8. Total energy as a function of volume for m-ZrO<sub>2</sub> (a), t-ZrO<sub>2</sub> (b), and c-ZrO<sub>2</sub> (c).

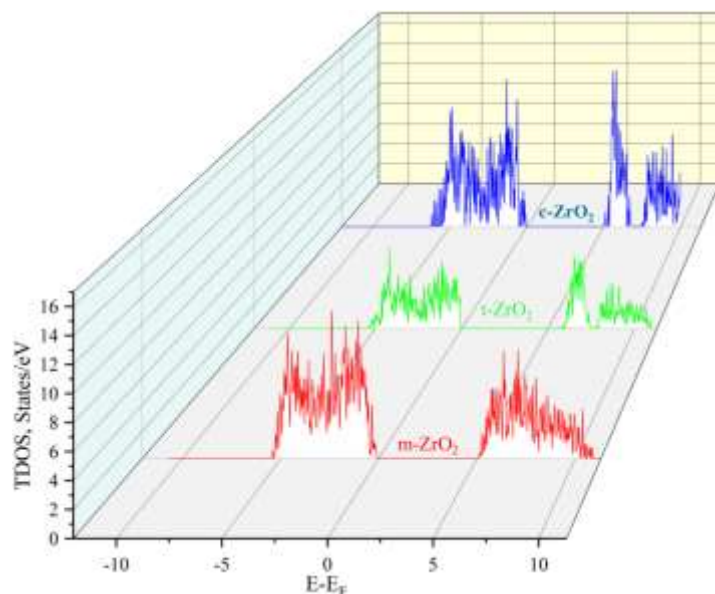
Next, using the well-optimized structures of the three phases of ZrO<sub>2</sub>, we studied the electronic properties of these systems. Using the GGA, SCAN functionals and the HSE06 hybrid functional, the band gap values of these systems were found (Table 4), their orbital structure was analyzed, and the change in the position of the Fermi level in these systems was modeled.

Table 4. Calculated and experimental band gap of c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, m-ZrO<sub>2</sub> in eV.

| System             | This work |      |       | Experiment <sup>[30]</sup> |
|--------------------|-----------|------|-------|----------------------------|
|                    | GGA       | SCAN | HSE06 |                            |
| m-ZrO <sub>2</sub> | 3.9       | 3.8  | 5.288 | 5.78                       |
| t-ZrO <sub>2</sub> | 4.42      | 4.37 | 5.898 | 5.83                       |
| c-ZrO <sub>2</sub> | 4.03      | 3.93 | 5.140 | 6.10                       |

According to the results presented in Table 3, the GGA and SCAN functionals showed a rather small band gap compared to the HSE06 hybrid functional [31], which traditionally overcomes underestimation of the band gap well. Given the suitability of HSE06 for estimating the band gap energy, we further used this particular hybrid functional to describe all problems related to the electronic properties of the systems under study.

Next, using the  $\text{ZrO}_2$  structures relaxed using the SCAN functional, calculations were made of the density of available electronic states at the Fermi level (Figure 9), which is crucial for interpreting the electronic properties of  $\text{ZrO}_2$  and the transport characteristics of electronic devices based on it.

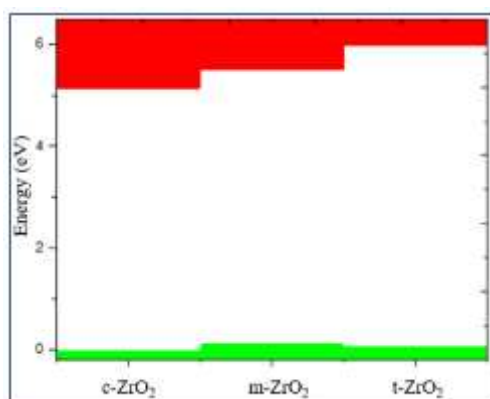


**Figure 9.** Total density of electron states (TDOS) of monoclinic, tetragonal, and cubic  $\text{ZrO}_2$ .

According to Figure 9, the density of electronic states for  $\text{c-ZrO}_2$  is slightly overestimated compared to other phases. Moreover, secondary energy gaps are observed in the energy diagram of the tetragonal and cubic phases. Also, this gap increases with the transition from the tetragonal to the cubic phase.

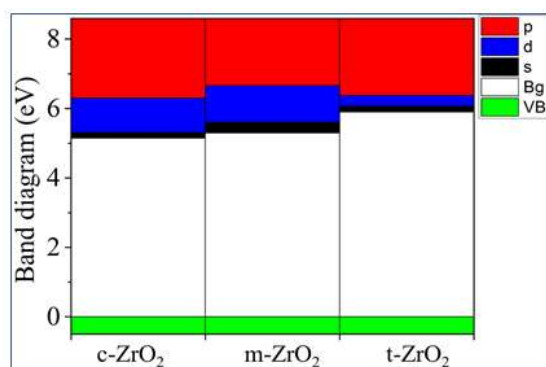
Next, we determined the position of the Fermi level in  $\text{ZrO}_2$  crystals and the shift of this level during their phase transformation. As can be seen from Figure 10, if the position of the Fermi level (maximum of the valence band) for the monoclinic phase is taken as the reference point, then during the m-t phase transformation of  $\text{ZrO}_2$ , this level first drops by 0.125 eV towards lower energies and then descends again in the t-c section by 0.08 eV. This is also observed in detail from the results of the summarized bands for the orbital analysis, which are shown in Figure 11 for the three phases of  $\text{ZrO}_2$ .

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**Рисунок 10.** Conduction (red) - and valence (green)-band change for c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, m-ZrO<sub>2</sub>. Position of the Fermi level corresponds to the maximum of the valence band at each of the sites.

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**Figure 11.** Composite PDOS diagram showing the main contributions of s-, p- and d-orbitals to the states that form the CB bottom for c-ZrO<sub>2</sub>, t-ZrO<sub>2</sub>, m-ZrO<sub>2</sub>. Top of VB (green), scaled to zero.

It can be seen from Figure 11 that as we move from the monoclinic to the tetragonal and cubic phase, the contribution of the p orbitals becomes more significant in CB, and the s orbitals make a small contribution, while the d state shows a different trend. It is assumed that this behavior may be associated with a change in the crystal field and covalence of ZrO<sub>2</sub> during the phase transformation.

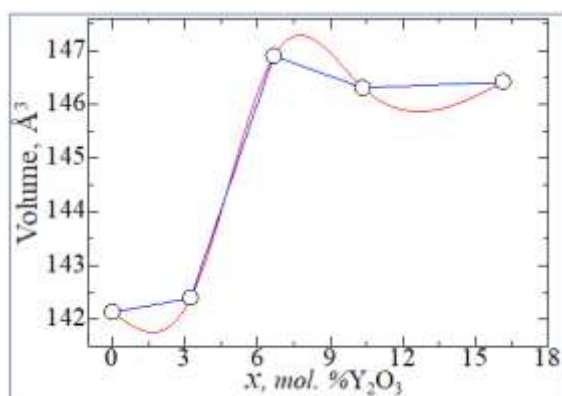
### 3.2. Stabilization of m-ZrO<sub>2</sub> and electronic properties of YSZ

After the final preparation of YSZ - structures (according to the scheme proposed in formula 1 and Table 1), geometric optimization was carried out and Y<sub>2</sub>O<sub>3</sub> - doped ZrO<sub>2</sub> supercells were relaxed using the GGA and SCAN functionals. Table 5 shows the geometric parameters of the ZrO<sub>2</sub> and YSZ supercells at various Y<sub>2</sub>O<sub>3</sub> concentrations after relaxation using the SCAN functional.

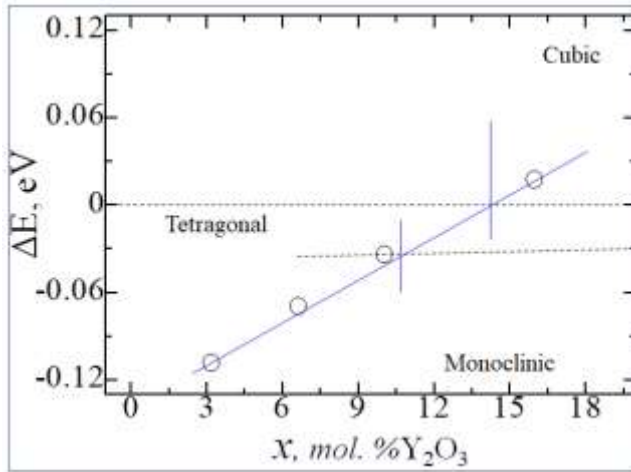
**Table 5.** Lattice parameters of 2x2x2 supercells of ZrO<sub>2</sub> and YSZ at various Y<sub>2</sub>O<sub>3</sub> concentrations.

| System                                    | Lattice parameters |        |        |              |             |              | Phase   |
|---|--------------------|--------|--------|--------------|-------------|--------------|---------|
|   | a (Å)              | b (Å)  | c (Å)  | $\alpha$ (°) | $\beta$ (°) | $\gamma$ (°) |         |
| 0   | 10.23              | 10.478 | 10.608 | 90           | 99.64       | 90.00        | m - YSZ |
| 3.23 mol. %Y <sub>2</sub> O <sub>3</sub>  | 10.274             | 10.524 | 10.536 | 90.21        | 98.84       | 89.94        | m - YSZ |
| 6.67 mol. %Y <sub>2</sub> O <sub>3</sub>  | 10.512             | 10.544 | 10.603 | 89.90        | 90.12       | 89.62        | t - YSZ |
| 10.35 mol. %Y <sub>2</sub> O <sub>3</sub> | 10.529             | 10.541 | 10.546 | 89.98        | 90.09       | 90.08        | t - YSZ |
| 16.15 mol. %Y <sub>2</sub> O <sub>3</sub> | 10.540             | 10.541 | 10.543 | 90.08        | 90.00       | 90.02        | c - YSZ |

According to the results shown in Table 5, it can be seen that the doping of yttrium oxide, namely the concentration of more than 14 mol. %Y<sub>2</sub>O<sub>3</sub> stabilizes the monoclinic phase of zirconia to a cubic phase. However, in this case, the lattice parameters of Y<sub>2</sub>O<sub>3</sub> - doped structures change non-linearly. Figure 12 shows the volume vibration of ZrO<sub>2</sub> lattices as a function of Y<sub>2</sub>O<sub>3</sub> concentration (x).

**Figure 12.** Vibrations of ZrO<sub>2</sub> volume as a function of Y<sub>2</sub>O<sub>3</sub> concentration.

According to Figure 13, with increasing doping concentration, the energy difference between the monoclinic phase with the tetragonal and cubic decreases, which indicates the possibility of doping-induced phase transitions of zirconium dioxide in the indicated Y<sub>2</sub>O<sub>3</sub> doping concentration ranges.



**Figure 13.** Total energy difference between unit cell phases of ZrO<sub>2</sub> as a function of Y<sub>2</sub>O<sub>3</sub> doping concentration.

Having obtained the optimized structures, we calculated the energy of formation ( $E_f$ ) and enthalpy energy of formation ( $\Delta H$ ) for ZrO<sub>2</sub> and YSZ, as well as the energy of formation of a vacancy ( $E_{df}$ ) for YSZ using the following formulas:

$$E_f = E_{tot} - \sum_x E_{tot}(x) \quad (2)$$

$$E_{df} = E_{tot}^{Zr_{32-x}Y_xO_{64-\delta}} - E_{tot}^{Zr_{32}O_{64}} + \delta * E_{tot}^O \quad (3)$$

$$\Delta H = \frac{E_{YSZ} - [xE_{ZrO_2} + kE_{Y_2O_3}]}{x + k} \quad (4)$$

where  $E_{tot}$  is the total energy of the system,  $E_{tot}(x)$  is the total energy of individual components, and  $\delta$  is the number of vacancies (defects) in the crystal. The calculated values of  $E_f$  and  $E_{df}$  per atom are given in Table 6.

**Table 6.** GGA-calculated values of enthalpy ( $\Delta H$ ) and formation energy ( $E_f$ ) for ZrO<sub>2</sub> and YSZ. Oxygen vacancy formation energy ( $E_{df}$ ) for YSZ.

| System                                    | $\Delta H$  | $E_f$        | $E_{df}$     |
|---|-------------|--------------|--------------|
| 0   | 64.02917222 | -4.747216667 | 0            |
| 3.23 mol. %Y <sub>2</sub> O <sub>3</sub>  | 59.91124404 | -4.848422632 | -1.874577368 |
| 6.67 mol. %Y <sub>2</sub> O <sub>3</sub>  | 56.13271879 | -4.967857447 | -3.739875532 |
| 10.35 mol. %Y <sub>2</sub> O <sub>3</sub> | 52.7041267  | -5.106527419 | -5.596013441 |
| 16.15 mol. %Y <sub>2</sub> O <sub>3</sub> | 47.00229139 | -5.384704945 | -9.220196154 |

On Figure 14 shows a diagram of the dependence of the change in the enthalpy of formation of YSZ on the concentration of Y<sub>2</sub>O<sub>3</sub>, calculated by formula 4, from which it is clearly seen that doping with Y<sub>2</sub>O<sub>3</sub> reduces the enthalpy and leads to the stabilization of zirconium dioxide. The empirical

formula obtained by the least squares method says that the enthalpy of formation energy decreases linearly according to the law  $\Delta H = -1.0407x + 63.532$ , where  $x$  is the concentration of  $Y_2O_3$  in YSZ.

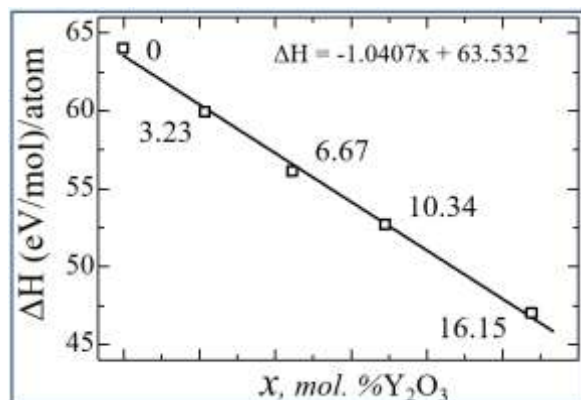


Figure 14. Enthalpy formation energy for YSZ as a function of  $Y_2O_3$  concentration.

Thus, as the concentration of  $Y_2O_3$  increases, the number of oxygen vacancies in YSZ increases, and the growth of these O vacancies is considered as a stabilizing mechanism for the monoclinic phase of zirconia, as evidenced by a decrease in the enthalpy of formation. The numerical value of the enthalpy formation energy is shown in Table 6.

Figure 15 shows the nature of the change in  $E_f$  and  $E_{df}$  from the concentration of yttrium oxide, from which the regularity of their linear decrease is clearly visible.

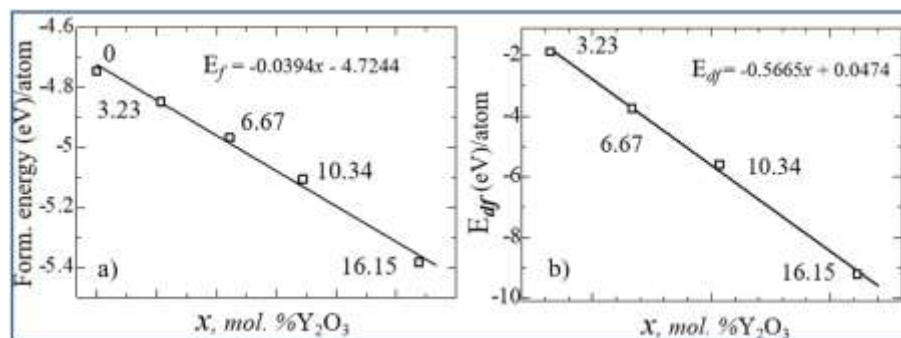
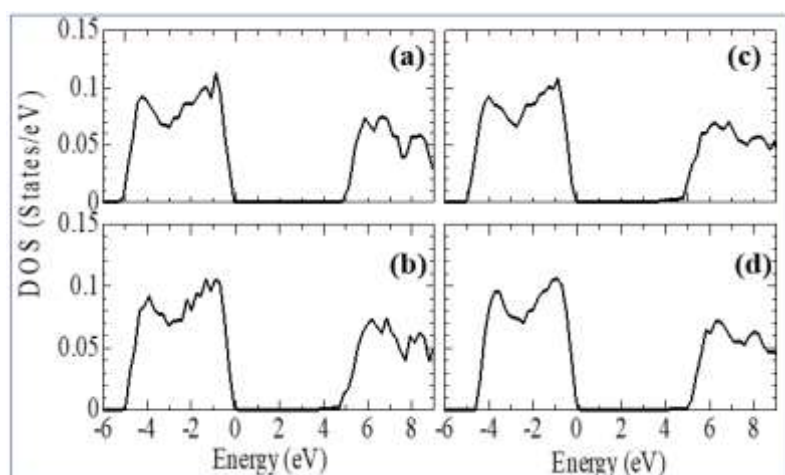


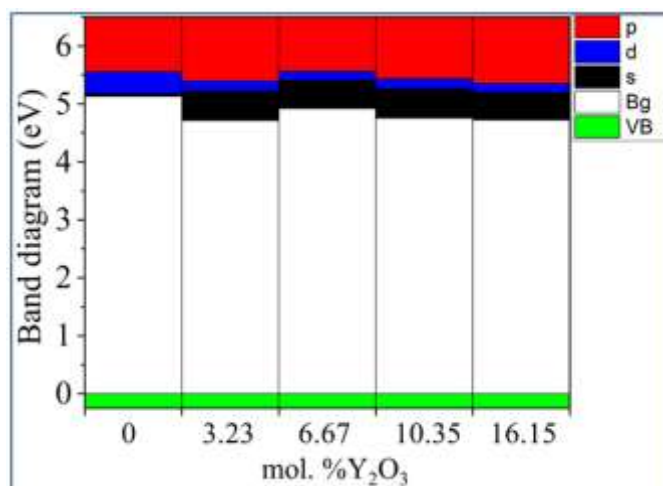
Figure 15. Energy of formation (a) and energy of formation of an oxygen vacancy (b) for YSZ as a function of  $Y_2O_3$  concentration.

Next, calculations were carried out to study the electronic structure of  $Y_2O_3$  stabilized  $ZrO_2$  supercells to reveal in detail the effects of doping on their density of states, Fermi energy behavior, and orbital states. Figure 16 shows plots of the change in the density of electronic states YSZ for all doping concentrations of  $Y_2O_3$ .

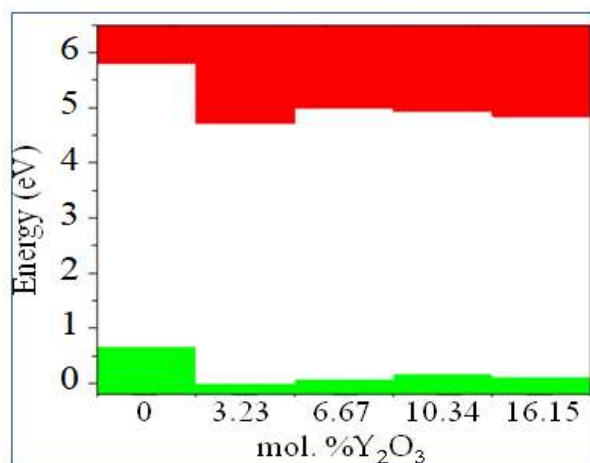


**Figure 16.** Total electron density of states (TDOS) for  $\text{ZrO}_2$  doped with 3.23, 6.67, 10.34, and 16.15 mol%  $\text{Y}_2\text{O}_3$ .

According to the results presented in Figure 16, it can be seen that after  $\text{Y}_2\text{O}_3$  doping in TDOS structures, no new energy states arise due to the introduction of defects, that is, it does not lead to a change, except for the band gap shift, which can be considered in detail after orbital analysis (Figure 17) and estimates of the shift of the Fermi level (Figure 18). The band gap is 4.71 eV, 4.92 eV, 4.75 eV, and 4.72 eV, respectively, for  $\text{ZrO}_2$  with dopid 3.23, 6.67, 10.34, and 16.15 mol%  $\text{Y}_2\text{O}_3$ .



**Figure 17.** Composite PDOS diagram demonstrating the main contributions of s-, p- and d-orbitals to the states forming the CB bottom for  $\text{ZrO}_2$  doped with 3.23, 6.67, 10.34 and 16.15 mol%  $\text{Y}_2\text{O}_3$ . Top of VB (green), scaled to zero.



**Figure 18.** Conduction (red) - and valence (green)-band change for ZrO<sub>2</sub> doped with 3.23, 6.67, 10.34 and 16.15 mol% Y<sub>2</sub>O<sub>3</sub>. The position of the Fermi level corresponds to the maximum of the valence band at each of the sites.

According to Figure 18, after doping with 3.23 mol% Y<sub>2</sub>O<sub>3</sub> in pure m-ZrO<sub>2</sub>, the Fermi level drops by 0.067 eV and then shifts by 0.007 eV towards the conduction band when doped with 6.67 mol% Y<sub>2</sub>O<sub>3</sub>. Then, at a doping concentration of 10.34 mol%, it still rises by 0.01 eV, being 0.017 eV higher than in the case of 3.23 mol% Y<sub>2</sub>O<sub>3</sub>. However, after doping with 16.15 mol% Y<sub>2</sub>O<sub>3</sub>, it drops to 0.012 eV. According to the PDOS diagram, one can interpret and observe the step pattern of the conduction band with the contribution of s-, p- and d-orbitals. Understanding these features make it possible to tune the Fermi energies in the band structure for specific tasks in modern materials science and instrumentation. The results obtained will help to interpret some of the features of the electronic properties of ZrO<sub>2</sub> and solid materials [32–48], and also complement the base of scientific work carried out in the field of using biocompatible zirconium dioxide crystals and ceramics for generating green energy. The data can be used in the design of moisture-to-electricity converters and the creation of solid oxide fuels. cells based on ZrO<sub>2</sub>.

#### 4. Conclusion

The phase transition of zirconia caused by yttrium doping leads to the stabilization of zirconia, which is widely used in many applications. Our calculations have shown that ab initio research methods are able to describe the mechanism of phase transitions of materials under the action of doping. That is, this approach can be applied to study the effect of doping on other properties that are difficult to observe experimentally. Also, using ab initio calculations, one can well describe the effect of doping on the behavior of the Fermi level in crystals. This result confirms the possibility of predicting the effect of doping on other physical properties of the system within the framework of the density functional theory. Thus, the calculations showed that the presence of oxygen vacancies plays an important role in the phase transition and stabilization of ZrO<sub>2</sub>. The results obtained enrich the data bank to improve understanding of the phase transitions of zirconia, and can also be used to adjust the parameters of theoretical calculations to describe other properties of zirconia, which are still beyond the scope of consideration.

possibilities of quantum-chemical modeling.

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