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Density functional theory versus GW calculations

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Energy level alignment and quantum conductance of functionalized metal-molecule junctions: Density functional theory versus GW calculations

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We study the effect of functional groups (CH$_3$, OCH$_3$, CH$_3$, Cl, CN, F) on the electronic transport properties of 1,4-benzenediamine molecular junctions using the non-equilibrium Green function method. Exchange and correlation effects are included at various levels of theory, namely density functional theory (DFT), energy level-corrected DFT (DFT+Σ), Hartree-Fock and the many-body GW approximation. All methods reproduce the expected trends for the energy of the frontier orbitals according to the electron donating or withdrawing character of the substituent group. However, only the GW method predicts the correct ordering of the conductance amongst the molecules. The absolute GW (DFT) conductance is within a factor of two (three) of the experimental values. Correcting the DFT orbital energies by a simple physically motivated scissors operator, Σ, can bring the DFT conductances close to experiments, but does not improve on the relative ordering. We ascribe this to a too strong pinning of the molecular energy levels to the metal Fermi level by DFT which suppresses the variation in orbital energy with functional group. © 2013 AIP Publishing LLC. [http://dx.doi.org/10.1063/1.4829520]

A single molecule connected to source and drain electrodes through well-defined chemical bonds constitutes an ideal system for exploring (coherent) charge and heat flow within a molecule and across a metal-molecule interface. Understanding the electronic and interface conductance, is essential for the development of accurate models in several research fields including strong correlation Kondo physics, electro-chemical reactions, and quantum interference, have recently been demonstrated at the single-molecule level. However, the most unique property of molecular junctions, which continues to drive new discoveries in the field, is the vast degree of flexibility in the design of molecular components providing atomic-scale handles on the electronic properties. The main problem is the lack of atomic-scale control of the metal-molecule interface. Amine anchoring groups have shown promise in some experimental testbeds, offering well-defined and reproducible electronic properties.

The effect of chemical modifications of the 1,4-benzenediamine (BDA) molecule on the electrical conduc-

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latter is estimated using a classical electrostatic model, which depends on the positions of two image planes as adjustable parameters. Self-interaction errors and image charge screening could, in principle, also affect the shape of molecular orbitals which thus influence the metal-molecule coupling strength and the broadening of molecular resonances.\textsuperscript{23} More recently, the self-consistent GW method has been successfully applied to calculate the conductance of several small molecules.\textsuperscript{24–26} It has been demonstrated that the GW scheme, without adjustable parameters, provides quantitative agreement with the experiments for both conductance\textsuperscript{25,26} and thermopower.\textsuperscript{27}

In this paper, we address the effect of functional groups on the conductance of gold/BDA junctions using the non-equilibrium Green’s function method (NEGF) with different levels of theory to describe exchange-correlation (xc) effects. The DFT+$\Sigma$ method improves on DFT-PBE and yields conductances within a factor 2 of the experimental results for certain positions of the image planes. However, both DFT-PBE and DFT+$\Sigma$ fail to capture the trends in the conductance observed in experiment and expected from the electron donating or withdrawing character of the functional group. Hartree-Fock (HF) underestimates the conductance by a factor of 20 and also fails to capture the conductance trends. We find that only the GW method predicts both the trend, that is, the relative ordering of conductance amongst the BDA functionalized molecules, as well as the overall magnitude of the conductance in good agreement with experiments.

All the calculations are performed with the GPAW code\textsuperscript{28} using the projector-augmented wave method and a numerical atomic orbitals basis set.\textsuperscript{29} We use a double zeta with polarization (DZP) basis for Au and a double zeta (DZ) basis for the molecules. We use rather diffuse basis functions for Au corresponding to an energy shift of 0.01 eV. This is essential to obtain a good description of the surface dipole, which is important for a correct alignment of molecular energy levels. With the present basis set, we obtain a work function of 5.4 eV for the flat Au(111) surface in good agreement with the experimental value of 5.31 eV.\textsuperscript{30} The molecules are sandwiched between two-four-atom Au tips attached to Au(111) surface as illustrated in Fig. 1(a). The supercell contains eight $4 \times 4$ Au(111) atomic layers. The geometries of the molecular junctions are optimised by relaxing the molecule and four atom tips until the residual force on any atom is less than 0.01 eV/Å. For the relaxation, we use the PBE\textsuperscript{31} functional and a $4 \times 4 \times 1$ k-point sampling. The HF and GW transport calculations are performed according to the method described in Ref. 24. The transmission is calculated from the Landauer formula\textsuperscript{32,33}

$$T(\epsilon) = \text{Tr} \left[ G^r(\epsilon) \Gamma_L(\epsilon) G^a(\epsilon) \Gamma_R(\epsilon) \right],$$

(1)

where the retarded Green’s function is obtained from

$$G^r(E) = [(E + i\eta)S - H_0 + V_{xc} - \Delta V_H(G)]^{-1} - \Sigma_{L/R}(E) - \Sigma_{xc}(G)[E]^{-1}.$$  

(2)

Here $S$, $H_0$, and $V_{xc}$ are the overlap matrix, Kohn-Sham (KS) Hamiltonian matrix and the PBE xc-potential in the atomic orbital basis, respectively, $\eta$ is a numerical positive infinitesimal which is set to 0.02 eV in all the calculations. $\Sigma_{L/R}$ are the retarded lead self-energies and $\Delta V_H$ is the deviation of the Hartree potential from the equilibrium DFT-PBE value. $\Sigma_{xc}$ is the many-body xc self-energy. For HF and GW, $\Sigma_{xc}$ is the non-local Fock exchange potential and the GW self-energy, respectively. These self-energies are evaluated self-consistently for atomic orbitals centered on atoms within the box region in Fig. 1(a). A standard NEGF-DFT calculation is recovered when $\Sigma_{xc}$ is taken as KS xc-potential, $V_{xc}$. The self-consistent cycle is performed by a linear mixing of the Green functions. The energy dependent quantities are represented on an energy grid ranging from $-160$ eV to $160$ eV with an energy-grid spacing of 0.01 eV.

In the DFT+$\Sigma$ method an orbital dependent self-energy term $\Sigma$ is included to shift the molecular orbital energies.\textsuperscript{19–22} The self-energy term $\Sigma$ has the form $\sum_n \Delta_n |\psi_n\rangle \langle \psi_n|$, where $\Delta_n = \Delta_{occ}$ for all the occupied states and $\Delta_n = \Delta_{unocc}$ for all the unoccupied states. The states $|\psi_n\rangle$ are the molecular orbitals calculated by diagonalizing the molecular part of the DFT Hamiltonian for the junction. The energy shift $\Delta_{occ}$ has two contributions: A correction obtained as the difference between the Kohn-Sham HOMO energy and the vertical ionisation potential (IP) of the molecule in the gas-phase. The IP is evaluated from a DSCF calculation involving the PBE ground state energies of the neutral and cation species, i.e., $IP = E(N - 1) - E(N)$. This term mainly corrects for self-interaction errors and moves the occupied states down by 2–3 eV. Likewise, $\Delta_{unocc}$ corrects the LUMO to fit the electron affinity $EA = E(N) - E(N + 1)$ and moves the unoccupied states up in energy. Second, we include a classical image charge correction due to the screening from the metal electrodes of the HOMO and LUMO charge densities. This correction relies on the assumption that screening by the Au electrodes can be described.

FIG. 1. (a) The atomic structure of the gold/BDA junction. The amine linkers connect the benzene ring to the gold electrodes via two 3-fold coordinated gold atoms. The black box indicates the region where the GW self-energy is evaluated self-consistently. The other structures considered are constructed by replacing BDA by (b) BDA+CH$_3$4, (c) BDA+OCH$_3$, (d) BDA+OCH$_3$, (e) BDA+Cl, (f) BDA+CN, (g) BDA+F4.
classically as two flat conductors characterised by two image planes, the positions of which are adjustable parameters. The image planes are placed symmetrically in the junction. We consider three different positions of the image plane relative to the tip gold atom, namely, $z = -1.0, 0.0, +1.0 \, \text{Å}$.

The junction atomic structure and the functionalized BDA molecules investigated are shown in Fig. 1. For all the junctions, we observe very small structural variations at the contact interface due to the side group substitution. The average Au-N bond length is 2.55 Å with standard deviation (STD) of 0.026 Å and the average Au-N-C angle is 130.4° with STD of 3.1°. It is known, both experimentally and theoretically, that the conductance is relatively insensitive to the contact geometry for amine-linked junctions. 20, 34 Previous calculations also show that, for the most stable configurations, the conductance remains essentially constant when the Au-N bond length is changed by up to 0.05 Å. 35 Since the STD of the Au-N bond length obtained for the molecules is only 0.026 Å, we conclude that the origin of the conductance variation observed for the functionalized junctions is an electronic rather than a structural effect.

The transmission functions for the unsubstituted BDA junction calculated using DFT-PBE, HF, and GW are shown in Figs. 2(a) and 2(b) shows a zoom of the transmission of all the different functionalized BDA junctions around the Fermi energy on a logarithmic scale. For each method, we find that the functional group only induces small changes in the shape and value of the transmission around the Fermi energy. This indicates that the effect of functional group on conductance is weak, in agreement with the experiment. In all cases, the Fermi level is crossing the tail of a HOMO resonance peak, indicating that the HOMO level is mediating the charge transport. We note that the slope of the transmission function at the Fermi energy is an indicator for the Seebeck coefficient. The negative slope signals HOMO-mediated transport in agreement with measurements of the Seebeck coefficient of gold BDA junctions. 22

The positions of the HOMO resonance in the junction and in the gas-phase are shown in Figs. 3(a) and 3(b), respectively. In addition, we show the results obtained with the DFT+Σ approach. To define the HOMO level position in the junction we have used the position of the first transmission peak below the Fermi level reaching a value of 0.8–1. The functional groups have been ordered according to their electron donating/withdrawing nature with the most donating groups to the left and most withdrawing groups to the right. The position of the HOMO level is seen to follow this trend both in the junction and the gas-phase.

Focusing on the gas-phase, we see that although all methods give the same trend for the HOMO level position, there are considerable differences both in the absolute values as well as the relative differences between the molecules. Taking either GW or ∆SCF as a reference, the DFT-PBE levels are typically overestimated by 2–3 eV while HF underestimates by 0.5–1 eV. The large overestimation of the HOMO level by DFT-PBE can be explained by the spurious self-interaction. In contrast, the self-interaction free HF approximation underestimates the HOMO due to the missing correlation. All methods predict similar trends for the dependence of the HOMO energy on the functional group, except for the F4 group where DFT+Σ and DFT-PBE predict much smaller change than HF and GW.

We note that the GW results for the IPs lie around 1 eV above the IPs predicted by the ∆SCF method. For BDA, the IP predicted by GW (6.2 eV) is 1–1.5 eV smaller than the experimental vertical IP which lies in the range 7.3–7.6 eV. 36 Thus, it seems that the gas-phase IPs obtained with GW are on the order 1 eV too small for the present set of molecules. This is somewhat larger than that reported previously by some of us for a test set of 34 small molecules (mean deviation from experiments of 0.4 eV). 37 We ascribe this difference to the different basis sets employed. In Ref. 37 we used a DZP basis set comprising maximally localized Wannier functions constructed from a highly accurate real space grid DFT calculation augmented by numerical atomic orbitals, whereas the present calculations are performed with a D2Z basis of numerical atomic orbitals. We further note that previous plane wave G0W0 calculations found an IP for BDA of 7.0 eV. 38 This result is more consistent with the mean deviation of 0.4 eV reported in Ref. 37 and indicates that our present basis set is not
fully converged for gas-phase calculations. We would like to stress, however, that the accuracy of our GW calculations are expected to be higher for the molecules in the junction than for the gas-phase. This is because in the junction, the screened interaction entering the GW self-energy is dominated by the response function of the gold electrodes. The latter is mainly determined by low-energy transitions (s – s intraband and s – d interband transitions), which are well represented by our DZP basis set. The last point follows from the excellent agreement between the band structure of bulk gold obtained with our DZP basis set and a plane wave basis set (not shown). More-
effects, such as the variation in the coupling strengths, and does not reflect the (small) variation in the level positions.

In Fig. 5, we compare the DFT+$\Sigma$ results with GW and experimental values. The conductances of the $z = +1.0$ Å image plane position gives results in overall best agreement with the experimental values. Shifting the image planes further away from the molecule by $z = -1.0$ Å or $z = 0.0$ Å reduces the image charge energies. This implies that the molecular levels are shifted away from the Fermi level, and the conductances are lowered to values closer to the GW results. While the DFT+$\Sigma$ results are in overall good agreement with the experiments, the changes in conductance with different side groups are not correctly captured by this method. Interestingly, if the positions of the DFT HOMO and LUMO levels are shifted using a scissor operator (DFT+SO) to match the positions of GW HOMO and LUMO levels, the correct ordering of the conductance is recovered. We note in passing that the relative conductance difference between the DFT+SO results are more correct positions of the image planes. More importantly, the conductances in DFT and DFT+SO methods give conductance values in close agreement with experiment for image plane positions at $z = +1.0$ Å. On the other hand, the closer agreement with the more accurate GW calculations for $z = 0.0$ Å or $z = -1.0$ Å might just as well suggest that these are more correct positions of the image planes. More importantly, both DFT and DFT+$\Sigma$ show, irrespective of image plane positions, a very similar relative ordering of the conductance, although the absolute position of the frontier energy levels are rather different in the two methods. This is a consequence of the strong pinning of the DFT molecular responses to the metal Fermi level an effect which is absent in DFT+SO. The DFT+SO results further support the interpretation that the wrong ordering of the conductances in DFT and DFT+$\Sigma$ is a consequence of incorrect level alignment.

In their original work Venkataraman et al. explored the connection between the change induced by a side group on the tunnel conductance and reaction rate of the BDA, respectively. To this end, they plotted the log of the ratio of the measured conductance for the substituted ($G_X$) and unsubstituted ($G_H$) molecule scaled by the number of substituents on the ring against the Hammett parameter $\sigma_{para}$. In Fig. 6 we have made a similar plot comparing our calculated data with the measured data from Ref. 16 and taking Hammett constants from Ref. 42. Overall, there is a good agreement between the GW and experimental data sets. In particular, the clear trend that the conductance decreases as the Hammett constant is made more positive is well reproduced by GW. In contrast the DFT results do not show this trend. The non-additive dependence on the number of substituent groups (labels 1,2,4 for methyl and 11,12 for fluorine) is, however, not well accounted for by GW which underestimates the change in conductance with the number of groups compared with experiments.

The results presented above demonstrate a quantitative agreement between experiments and self-consistent GW transport calculations. Although the GW conductances are still around a factor of two lower than the experiments, the agreement is indeed satisfactory given the statistical variations in the metal-molecule linker structure, solvent, and temperature effects. In a recent study we have investigated the influence of structural effects on the BDA conductance. At the level of DFT+$\Sigma$ we found that the conductance varied by about a factor of two for different junction geometries in agreement with previous work, and similar structure-induced variation are expected at the GW level. In contrast, the DFT-based calculations, the variations in GW conductance for different side groups follow the experimental trends as well as the variations in the HOMO position as expected from the donating/accepting character of the functional groups.

We have found that the DFT+$\Sigma$ method gives conductance values in close agreement with experiment for image plane positions at $z = +1.0$ Å. On the other hand, the closer agreement with the more accurate GW calculations for $z = 0.0$ Å or $z = -1.0$ Å might just as well suggest that these are more correct positions of the image planes. More importantly, both DFT and DFT+$\Sigma$ show, irrespective of image plane positions, a very similar relative ordering of the conductance, although the absolute position of the frontier energy levels are rather different in the two methods. This is a consequence of the strong pinning of the DFT molecular resonances to the metal Fermi level an effect which is inherited by the DFT+$\Sigma$ method.

In conclusion, we have explored the role of energy level alignment for a correct description of the electronic conductance of side group functionalized benzene-diamine molecular junctions. The self-consistent GW method was found to yield excellent agreement with experiments for both qualitative trends and absolute conductance values. In contrast, standard DFT as well as the scissors operator corrected DFT+$\Sigma$ method failed to reproduce the relative variation in
conductance with functional group. This result could be explained by incorrect energy level alignment predicted by DFT due to over-pinning of the molecular levels to the metal Fermi level.

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