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Crystal structure and thermoelectric properties of the type-I clathrate compound \( \text{Ba}_8\text{Ge}_{43} \) with an ordered arrangement of Ge vacancies

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The crystal structure of the type-I clathrate compound \( \text{Ba}_8\text{Ge}_{43} \) has been investigated by x-ray diffraction and transmission electron microscopy. The thermoelectric properties of \( \text{Ba}_8\text{Ge}_{43} \) have also been investigated. The crystal structure of \( \text{Ba}_8\text{Ge}_{43} \) is different from that reported for the usual type-I clathrate compounds with the space group of \( \text{Pm}\overline{3}n \) but is a superlattice structure based on the usual type-I clathrate structure due to the ordering of Ge vacancies in half the 6c sites of the usual type-I clathrate structure. The crystal structure of \( \text{Ba}_8\text{Ge}_{43} \) belongs to the space group of \( \text{Ia}\overline{3}d \) and Ge vacancies exclusively occupy the 24c sites. The thermoelectric properties of \( \text{Ba}_8\text{Ge}_{43} \) are not particularly good, as exemplified by the rather low \( ZT \) value of 0.057 because of the high value of electrical resistivity, which may arise from the existence of Ge vacancies. © 2006 American Institute of Physics. [DOI: 10.1063/1.2169869]

I. INTRODUCTION

Intermetallic clathrate compounds possess polyhedral cages encapsulating guest atoms.\(^1\) The guest atoms are typically alkali metals or alkali-earth metals, whereas the cages consist of group-IV elements, Si, Ge, or Sn, although Al, Ga, In, As, or Sb can also be substituted for these elements to some extent. Clathrate compounds form in a variety of structures, depending on the combination of different cages: pentagonal dodecahedra, tetrakaidecahedra, and hexakaidecahedra formed by 12 pentagonal faces, 12 pentagonal and 2 hexagonal faces, and 12 pentagonal and 4 hexagonal faces, respectively.\(^2\)–\(^9\) Three different types of intermetallic clathrate compounds, types I, II, and III, have been the subjects of extensive studies in the past for their crystal structures and physical properties.\(^2\)–\(^9\) The type-I structure comprises a cage structure consisting of two pentagonal dodecahedra and six tetrakaidecahedra and the corresponding unit cell is cubic with the space group of \( \text{Pm}\overline{3}n \).\(^10\) The type-II structure comprises a cage structure consisting of 16 pentagonal dodecahedra and 8 hexakaidecahedra. Its unit cell is also cubic with the space group of \( \text{Fd}\overline{3}m \). On the other hand, the crystal-like high electrical conductivity is believed to be due to the high electrical conductivity of the cage structure itself in the absence of strong bonding with the guest atoms. The thermoelectric performance of intermetallic clathrate compounds is thus expected to be good, since the thermoelectric performance of a given material is evaluated with the dimensionless figure of merit, \( ZT = \alpha^2 T/\rho \lambda \), where \( \alpha \), \( \rho \), \( \lambda \), and \( T \) stand for Seebeck coefficient, electrical resistivity, thermal conductivity, and temperature, respectively. Among the various types of clathrate compounds, some Ga-bearing type-I clathrate compounds, such as \( \text{Sr}_8\text{Ga}_{16}\text{Ge}_{30} \),\(^13\) have attracted considerable attention in recent years as thermoelectric materials of high performance because of their high values of Seebeck coefficient, in addition to the low thermal conductivity and relatively low electrical resistivity.

Type-I intermetallic clathrate compounds usually possess the general formula of \( M_8X_{46} \), where \( M \) stands for K, Sr, or Ba while \( X \) for Si, Ge, or Sn. The usual type-I clathrate compounds consist of two pentagonal dodecahedra (\( X_{20} \)) and six tetrakaidecahedra (\( X_{24} \)) in the cubic unit cell of the space group of \( \text{Pm}\overline{3}n \), as shown in Fig. 1. The \( X_{20} \) cages are located at the body center and all the corners of the cubic unit cell, while the \( X_{24} \) cages occupy the positions of linear-chain atoms of the \( \text{A}15 \) structure on the cube faces. The guest atoms (\( M \)) are located at the center of these cages. These two different types of cages (\( X_{20} \) and \( X_{24} \)) are connected with each other by sharing their pentagonal faces. \( X \) atoms constituting the cage structure are reported to occupy 6c, 16i, and 24\( \text{k} \) crystallographic sites in the space group of \( \text{Pm}\overline{3}n \).\(^2\) Of these three sites, 6c sites are repeatedly reported to be those preferentially occupied by substitutional atoms, as in the case of \( \text{Sr}_8\text{Ga}_{16}\text{Ge}_{30} \).\(^14\) Thus, the occupancy behavior of the 6c sites seems to play a very important role in determining the physical properties of type-I clathrate compounds. Some type-I clathrate compounds have been reported to have a chemical composition deviated from that expected from the formula of \( M_8X_{46} \). These include \( \text{Ba}_8\text{Ge}_{43} \), \( \text{K}_8\text{Ge}_{44} \), \( \text{K}_8\text{Ge}_{44} \), \( \text{K}_8\text{Ge}_{44} \), and \( \text{K}_8\text{Ge}_{44} \).
Specimens of the Ba$_8$Ge$_43$ single phase can be obtained by oil-quenching above 770 °C. Otherwise, specimens exhibit the two-phase microstructure consisting of the Ba$_2$Ge$_{100}$ and Ge phases. This is consistent with the Ba–Ge phase diagram reported by Cabrera et al., in which the Ba$_8$Ge$_{43}$ phase is indicated to be unstable below 770 °C and to decompose into the Ba$_2$Ge$_{100}$ and Ge phases below the temperature.

Selected area electron-diffraction (SAED) patterns of Ba$_8$Ge$_{43}$ taken along various zone-axis orientations from the oil-quenched specimen are shown in Figs. 2(a)–2(d). SAED patterns of the corresponding zone-axis orientations calculated assuming the space group of $Pm\bar{3}n$ as the usual type-I clathrate compounds are shown in Figs. 2(e)–2(h). In the model structure based on the space group of $Pm\bar{3}n$, Ge vacancies are assumed to randomly distribute in 6c sites. Reflections of the 001 type in Fig. 2(e) are forbidden reflections that appear as “double” reflections, as is evident from the fact that they are extinct in Fig. 2(f). Many additional diffraction spots are observed in Figs. 2(b)–2(d) when compared to the corresponding calculated ones, as indicated by arrows. These additional diffraction spots are located at positions expressed with half-integer indices when indexed on the basis of the space group of $Pm\bar{3}n$. For example,
(1/2, 1/2, 1/2)-type reflections in the SAED’s with the [101] and [111] incidence. This indicates that the Ge vacancies are ordered so that the unit cell of Ba₈Ge₄₃ is larger than that of the usual type-I clathrate compounds with the space group of Pm3n by a factor of multiples of 2.

In order to determine the crystal system of Ba₈Ge₄₃, SAED patterns were taken by tilting the specimen from [111] to various zone-axis orientations, as shown in Fig. 3. All the SAED patterns with the incident beam parallel to (110)-type zone-axis orientations are identical with each other and this is also the case for all the SAED patterns with the incident beam parallel to (112)-type zone-axis orientations. This clearly indicates that [111] corresponds to the threefold axis and the crystal system is cubic. Thus, the unit cell of Ba₈Ge₄₃ is cubic with the lattice parameter larger than that for the usual type-I clathrate compounds by a factor of multiples of 2.

The possible space groups for Ba₈Ge₄₃ can be considered from the group theory by taking into account of k subgroups, in which some of translation symmetry elements are removed from the parent space group, and t subgroups, in which some of rotation, glide, screw, reflection symmetry elements are removed from the parent space group. Since Ba₈Ge₄₃ has a superlattice structure with a doubled lattice parameter due to the ordering of Ge vacancies in 6c sites, it loses translation symmetry of the space group of Pm3n. This indicates that the k subgroups of Pm3n can be the space group of Ba₈Ge₄₃. There exist two such k subgroups; Ia3d and Pm3n with a lattice parameter doubled and tripled, respectively, as shown in the group-subgroup relation for the parent space group of Pm3n in Fig. 4. Since the lattice parameter of Ba₈Ge₄₃ is larger than that for the parent unit cell by a factor of multiples of 2, Pm3n with a tripled lattice parameter is ruled out. Thus, the space group of Ia3d is one of the possible space groups for Ba₈Ge₄₃. The t subgroups of Ia3d can also be the possible space groups. These include I43d, I4132, Ia3, R3c, and I41/2/acd. The former three are of the cubic system while the last two are noncubic. Since our TEM observations indicate that the crystal system of Ba₈Ge₄₃ is cubic (Fig. 3), the last two t subgroups are ruled out. The t subgroups of the three t subgroups, I43d, I4132, and Ia3, can also be the possible space groups. These include I213, R3c, I42d, R32, I4122, R3, and Ibca (Fig. 4). Of these seven space groups, only I213 is a cubic system and the other six are noncubic to be ruled out. The space group of I213 also has t subgroups of R3 and I212121 as the possible space groups for Ba₈Ge₄₃ but both of them are noncubic to be ruled out. Thus, the five cubic space groups of Ia3d, I43d, I4132, Ibca, and I213 are the possible space groups for Ba₈Ge₄₃ to be considered further.

We select the most plausible one from the five possible space groups by referring to the extinction rule. Indices for reflections expected to occur from the five possible space groups are tabulated in Table I together with those for reflections observed in the SAED patterns [Figs. 2(a)–2(d)]. The indices for experimentally observed reflections with asterisk (*) in Table I indicate that they are forbidden reflections that appear as double reflections in the SAED patterns, as indicated by double arrows in Figs. 2(a)–2(d). As seen in Table I, the extinction rule of the space group of Ia3d can only reproduce the observed SAED patterns. The space group of Ia3d is thus selected uniquely as the most plausible space group for Ba₈Ge₄₃.
Vacancies have frequently been claimed to occupy the 6c sites in many of usual type-I clathrate compounds with the space group of \( \text{Pm\overline{3}n} \). The 6c sites of the parent space group of \( \text{Pm\overline{3}n} \) correspond to the 24c and 24d sites of the space group of \( \text{Ia\overline{3}}d \), as shown in Fig. 5. Two different models can be considered for the crystal structure of \( \text{Ba}_8\text{Ge}_{43} \), depending on whether vacancies are exclusively in 24c sites or in 24d sites. However, it was impossible to distinguish one model from the other by x-ray powder diffraction, because of the weak intensity for superlattice reflections and the very small difference in their structure factors. We thus employ HRTEM in order to determine Ge vacancy sites. Ge vacancies are thus distinguished from each other by HRTEM. This is actually due to the fact that the vacancy distribution for the one model is quite different from that for the other in the [111] projections, as shown in Fig. 7.

We thus determine that the crystal structure of \( \text{Ba}_8\text{Ge}_{43} \) belongs to the cubic space group of \( \text{Ia\overline{3}}d \) and is a superlattice structure based on the structure of usual type-I clathrate compounds with the doubled lattice parameter. The doubling of the unit cell is due to the ordering of Ge vacancies in the 24c site. The crystal structure can be thought of as being made up of eight unit cells of usual type-I clathrate compounds with four different Ge vacancy distributions [A–D in Fig. 8(a)] so that the lattice parameter of the unit cell is doubled [Fig. 8(b)].

Because the crystal structure of \( \text{Ba}_8\text{Ge}_{43} \) is a superlattice structure based on the usual type-I clathrate compounds [Fig. 8(b)], antiphase boundaries (APB’s) are observed to usually form in the microstructure, as shown in the dark-field image of Fig. 9(a) formed with a 112-type superlattice reflection. These APB’s are observed not to lie on any particular crystallographic planes, indicating they are of thermal origin. In fact, the domain size bounded by APB’s increases as the

### Table I. Indices of observed reflections in the SAED patterns [Figs. 2(a)–2(d)] and those of possible reflections for the five structure models with the space group of \( \text{Ia\overline{3}}d, \text{I\overline{4}3}d, \text{I}4\text{c}32, \text{Ia\overline{3}}, \text{and I}_{2,3} \).

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<th>Experiment</th>
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<th>( \text{I\overline{4}3}d )</th>
<th>( \text{I}4\text{c}32 )</th>
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![FIG. 5. Possible vacancy positions on the planes of \( x=0 \) and \( 1/2 \) in the superlattice unit cell with the space group of \( \text{Ia\overline{3}}d \).](image-url)
Aging time at 790 °C prior to quenching is increased. A HR-TEM image from the same crystal of Fig. 9(a) taken along the [111] direction is shown in Fig. 9(b), revealing an inclined APB (as outlined) across which the image contrast is shifted by a vector of the 1/6(112) type in the projection. The shift by a vector of 1/6(112) in the projection corresponds to the displacement vectors of the 1/2(110) and 1/2(001) types for the APB’s. These two vectors are equivalent to each other since these two differ from each other by a vector of the 1/2(111) type, which is a translation vector of the corresponding superlattice.

B. Transport properties

Values of electrical resistivity, Seebeck coefficient, and thermal conductivity of Ba$_8$Ge$_{43}$ are shown respectively in Figs. 10(a)–10(c) as a function of temperature. The value of electrical resistivity is as high as about 10$^{-3}$ Ω m at room temperature and it decreases with the increase in temperature up to 400 °C on heating, which is a characteristic of semiconductor, followed by a sudden increase between 400 and 500 °C and then by a decrease again above 500 °C. On the other hand, the value of electrical resistivity is almost independent of temperature on cooling from 700 °C. The value of Seebeck coefficient is always negative, as in other type-I clathrate compounds$^{11,13}$ and the absolute value increases with the increase in temperature up to 400 °C, followed by a sharp increase by 200 μV/K at about 500 °C and then by a sharp decrease up to 600 °C. On cooling from 700 °C, the absolute value of Seebeck coefficient decreases as the temperature is decreased. The sharp change in values of electrical resistivity and Seebeck coefficient on heating above 400 °C is due to the phase decomposition of Ba$_8$Ge$_{43}$ into Ba$_{24}$Ge$_{100}$ and Ge phases. In fact, scanning electron micros-

FIG. 7. [111] projection of 24c and 24d sites; (a) and (b) are for models with Ge vacancies in 24c sites and 24d sites, respectively.

FIG. 8. (a) Four different subunit cells with different distributions of Ge vacancies in 6c sites of the usual type-I clathrate compound. (b) Unit cell of Ba$_8$Ge$_{43}$ corresponding to a superlattice formed by stacking eight subunit cells shown in (a).

FIG. 9. APB’s observed in Ba$_8$Ge$_{43}$ quenched from 790 °C: (a) dark-field image formed with a 112-type superlattice reflection and (b) HRTEM image taken along [111].
copy (SEM) observations of the specimen after the measurement have revealed the phase decomposition, as shown in Fig. 11. The value of electrical resistivity of Ba₈Ge₄₃ is larger than that reported for Sr₈Ga₁₆Ge₃₀, which is free from Ge vacancies, by an order of magnitude.¹³ The cagelike framework consisting of Ge atoms in the clathrate compounds is considered to play an important role in electrical conduction. Since the 6c sites of the usual type-I clathrate compounds correspond to the linkage points of four Ge₂₄ cages, vacancies located there are considered to increase the value of electrical resistivity of Ba₈Ge₄₃. The value of thermal conductivity for Ba₈Ge₄₃ shows a decrease with the increase in temperature from 200 °C, followed by a sharp increase above 500 °C. The sharp increase in thermal conductivity above 500 °C is also due to the phase decomposition of Ba₈Ge₄₃ into Ba₂₄Ge₁₀₀ and Ge phases. The high value of thermal conductivity at high temperatures may be due to the high thermal conductivity of the Ge phase.²⁰ The value of thermal conductivity below 400 °C is larger than those reported for other type-I clathrate compounds such as Sr₅Ga₁₆Ge₃₀.¹³

Values of the dimensionless figure of merit ZT calculated with the physical parameters of Fig. 10 are plotted in Fig. 12 as a function of temperature. The value of ZT increases as the temperature is increased to 0.057 at 420 °C, followed by a decrease with the increase in temperature above that temperature. The ZT value is considerably small in the whole temperature range because of the high electrical resistivity and low Seebeck coefficient.

IV. DISCUSSION

Our analysis has indicated that the crystal structure of Ba₈Ge₄₃ is different from that reported for the usual type-I clathrate compounds with the space group of Pm̅₃n but is a superlattice structure based on the usual type-I clathrate structure with the doubled lattice parameter, belonging to the space group of Ia̅₃d. Ge vacancies in half the 6c sites of the usual type-I clathrate structure are distributed in an ordered manner so as to form the superlattice structure. HRTEM imaging clearly indicates that Ge vacancies are exclusively in the 24c sites. In view of the weakness of intensities for superlattice reflections, crystal structure refinement to deduce
atomic coordinates, thermal factors, and so on for Ba₈Ge₄₃ may not be easily made by x-ray diffraction with a conventional x-ray source such as that used in the present study. Structure refinement of Ba₈Ge₄₃ by x-ray diffraction with synchrotron radiation is under way in our group.

One-third of the 6c sites for X atoms are reported to be randomly occupied by vacancies for some type-I clathrate compounds such as K₈Ge₄₄, K₈Ge₄₄, (K, Cs)₆Sn₄₄, and Rb₈Sn₄₄. When judged from the weakness of x-ray intensities for superlattice reflections observed presently for Ba₈Ge₄₃, the intensities for superlattice reflections, if any, for these off-stoichiometric type-I clathrate compounds are expected to also be very weak. We thus cannot exclude the possibility where vacancies are distributed in an ordered manner also in these off-stoichiometric type-I clathrate compounds. In fact, a small amount of P vacancies in sites corresponding to the 6c sites of the type-I clathrate structure is recently reported to arrange in an ordered manner in an off-stoichiometric type-I clathrate compound I₈Sn₄₄[10P]_{21,2} so as to form a tetragonal superstructure with the space group of P4₃/m. As clearly demonstrated in the present study, electron diffraction is powerful to easily observe superlattice reflections arising from an ordered arrangement of vacancies and thus to identify the corresponding superlattice structure.

Type-I clathrate compounds K₈Ge₄₄, (K, Cs)₆Sn₄₄, and Rb₈Sn₄₄, in which vacancies are believed to randomly occupy one-third of the 6c sites, are of semiconductor that can be interpreted on the basis of the Zintl-Klemm concept, since in the unit cell of these clathrate compounds, the number of the valence electrons of the guest atoms (1 × 8) is identical to that of the dangling bonds produced by two vacancies (4 × 2). On the other hand, there are four excess electrons per unit cell (when referring to the usual type-I clathrate structure) for Ba₈Ge₄₃ because only 12 of 16 valence electrons of eight Ba atoms are compensated by three Ge vacancies. This indicates that Ba₈Ge₄₃ may not be a semiconductor of the Zintl-Klemm concept. However, the temperature dependence of electrical resistivity for Ba₈Ge₄₃ is of semiconductor [Fig. 10(a)]. The discrepancy may be ascribed to the change in the electronic structure due to the formation of the superstructure with the ordering arrangement of Ge vacancies in half the 6c sites of the usual type-I clathrate structure. The value of electrical resistivity of a disordered structure can be significantly different from that of the corresponding ordered structure for some intermetallic compounds such as CuPt (Ref. 23) since with the formation of the ordered structure, a Brillouin zone is produced inside the Brillouin zone of the disordered structure (Fig. 13). Introduction of the zone tends to stabilize the ordered structure by the reduction of the total energy due to the readjustment of electron distribution, simultaneously modifying the Fermi surface. If the excess electrons in the conduction band move to the valence band in order to readjust the electron distribution in Ba₈Ge₄₃ on the formation of the superlattice structure, the Fermi surface falls to the energy band gap so as to exhibit a semiconducting behavior.

As a result, the thermoelectric properties of Ba₈Ge₄₃ are not particularly good, as exemplified by the rather low ZT value of 0.057. For the property improvement of Ba₈Ge₄₃, some alloying elements such as Ga that preferentially occupies the Ge vacancy sites and restores the usual type-I structure may be effective. Investigation to deduce the relationships between the transport properties and the occupancy behavior for the 6c sites for Ba₈GaₓGe₄₃₋ₓ alloys at small levels of Ga additions is under way in our group.

V. CONCLUSIONS

(1) The crystal structure of Ba₈Ge₄₃ is different from that reported for the usual type-I clathrate compounds with the space group of Pm₃m but is a superlattice structure based on the usual type-I clathrate structure with the doubled lattice parameter. The superlattice structure is formed as a result of the ordering of Ge vacancies in half the 6c sites of the usual type-I clathrate structure. The crystal structure belongs to the space group of Ia₃d and Ge vacancies exclusively occupy 24c sites.

(2) The value of electrical resistivity of Ba₈Ge₄₃ is as high as 10⁻³ Ω m at room temperature, exhibiting the negative temperature dependence, which is typical of semiconductor. The semiconducting behavior of electrical resistivity is considered to originate from the formation of the superstructure due to the ordering of Ge vacancies. Because of the high electrical resistivity, the thermoelectric properties of Ba₈Ge₄₃ are not particularly good, as exemplified by the rather low ZT value of 0.057.

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FIG. 13. Schematic illustrations of density-of-state curves for (a) disordered and (b) ordered structures.
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