



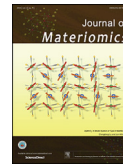
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On the relevance between fine structure and enhanced performance of skutterudite thermoelectric materials: X-ray spectroscopy studies

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Abstract

The relevance between the fine structure and transport performance of thermoelectric materials can be revealed by X-ray spectroscopy including X-ray absorption and emission spectra as an effective tool. In this paper, the experimental spectra of extended X-ray absorption fine structure (EXAFS), X-ray absorption near-edge structure (XANES), and valence-band X-ray photoelectron spectroscopy (XPS) of Ba and In double-filled skutterudites ($\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$) were analyzed *via* the first-principles calculation and spectrum simulation. The atomic-scale fine structures indicate that the rectangle Sb_4 rings become square when the total filling fraction of Ba and In increases. The transition of Sb_4 rings leads to the band convergence and density of states (DOS) increase of the $\text{Sb-Sb } pp\sigma$ bonding and $pp\pi^*$ antibonding states. The enhanced TE performance of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ is essentially attributed to the band convergence, the increased DOS near the Fermi level, and the resonant phonon scattering of Ba and In fillers.

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Keywords: Thermoelectric materials; X-ray absorption near-edge structure; Extended X-ray absorption fine structure; Band convergence

1. Introduction

Thermoelectric (TE) materials provide a fully solid-state solution for direct and reversible conversion from heat to electricity, showing a great potential in the applications of power generation and cooling [1,2]. The performance of a TE material is governed by the dimensionless figure of merit $ZT = S^2\sigma T/\kappa$, where σ is the electrical conductivity, S the Seebeck coefficient, T the absolute temperature, and κ the thermal conductivity, which comprises an electronic (κ_e) component and a lattice (κ_l) component. Exploring materials that possess both a high power factor ($S^2\sigma$) and a low thermal

conductivity is a key to developing high-performance TE materials. However, the realization of high TE performance is challenging since these TE properties are strongly interdependent, which are fundamentally determined by the atomic-scale fine structure, electronic structure, and the scattering mechanisms of electrons and phonons [3,4]. In the past decades, various strategies have been developed to optimize TE performance. It has been demonstrated that the lattice thermal conductivity can be suppressed by several approaches such as alloying [5], nanostructure engineering [6], and intrinsically large anharmonic lattice [7–9]. As the κ_l values of some TE materials have been reduced towards their amorphous limits [7–10], there is an increasing interest in optimizing the electrical properties by engineering the band structure or changing the energy dependence of carrier transport [11–20]. For instance, improved power factor can be realized by creating localized resonant states near the Fermi level [11,12], increasing the band degeneracy *via* adjusting the temperature

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or composition [15–17], or by changing the carrier scattering mechanisms *via* energy filtering effect or introducing additional scattering [18–20]. Therefore, for a specific TE material, an in-depth understanding of the atomic-scale fine structure and electronic structure is fundamentally important in optimizing the transport properties.

The good TE performance and thermal stability of skutterudite CoSb_3 make it suitable for the large-scale application in mid-temperature power generation [21–23]. Binary CoSb_3 crystallizes in an open cubic structure, which is characterized by CoSb_6 octahedra, Sb_4 rectangle rings, and large Sb-icosahedral voids, as shown in Fig. 1. The oversized icosahedral voids can be filled with foreign atoms A (A can be alkali metal, alkali earth metal, rare earth metal, and other species such as Tl and In) to form filled skutterudites $A_x\text{Co}_4\text{Sb}_{12}$. The foreign atoms (so-called fillers) in the voids are weakly bonded with the surrounding Sb, rendering CoSb_3 very low κ_l due to the strong resonant phonon scattering [3,22]. Meanwhile, incorporating different kinds and amounts of fillers to the lattice of CoSb_3 enables a wide tuning of carrier concentration. Based on the rigid band approximation, which assumes that the fillers should have no significant effect on the band

structure, the carrier concentration, at which the optimized power factor is obtained, should be on the order of 10^{20} cm^{-3} [23]. This approximation is instructive to optimize the power factor of most CoSb_3 . Nevertheless, in some specific cases, the electronic structure of filled CoSb_3 is sensitive against the carrier concentration and the fillers, leading to unusual transport behavior [17,24,25]. One of the specific cases has been demonstrated in In-filled CoSb_3 where the coexistence of multiple localized effects was proposed to be responsible for the good TE performance [26]. The multiple localized effects include: i) the increase in localized density of states (DOS), ii) the accelerated electron movement, and iii) the heat-carrying phonon resonant scattering. Also found is that an incorporation of Ba into the In-filled CoSb_3 led to better TE performance [27,28]. However, the influences of atomic-scale fine structure and electronic structure on the transport properties of Ba and In double-filled CoSb_3 are still not well understood. In this work, by means of X-ray photoelectron spectroscopy (XPS) and X-ray absorption fine structure (XAFS), and combining with theoretical calculation, we have carried out a thorough study on the atomic-scale fine structure and electronic structure of Ba and In double-filled skutterudites

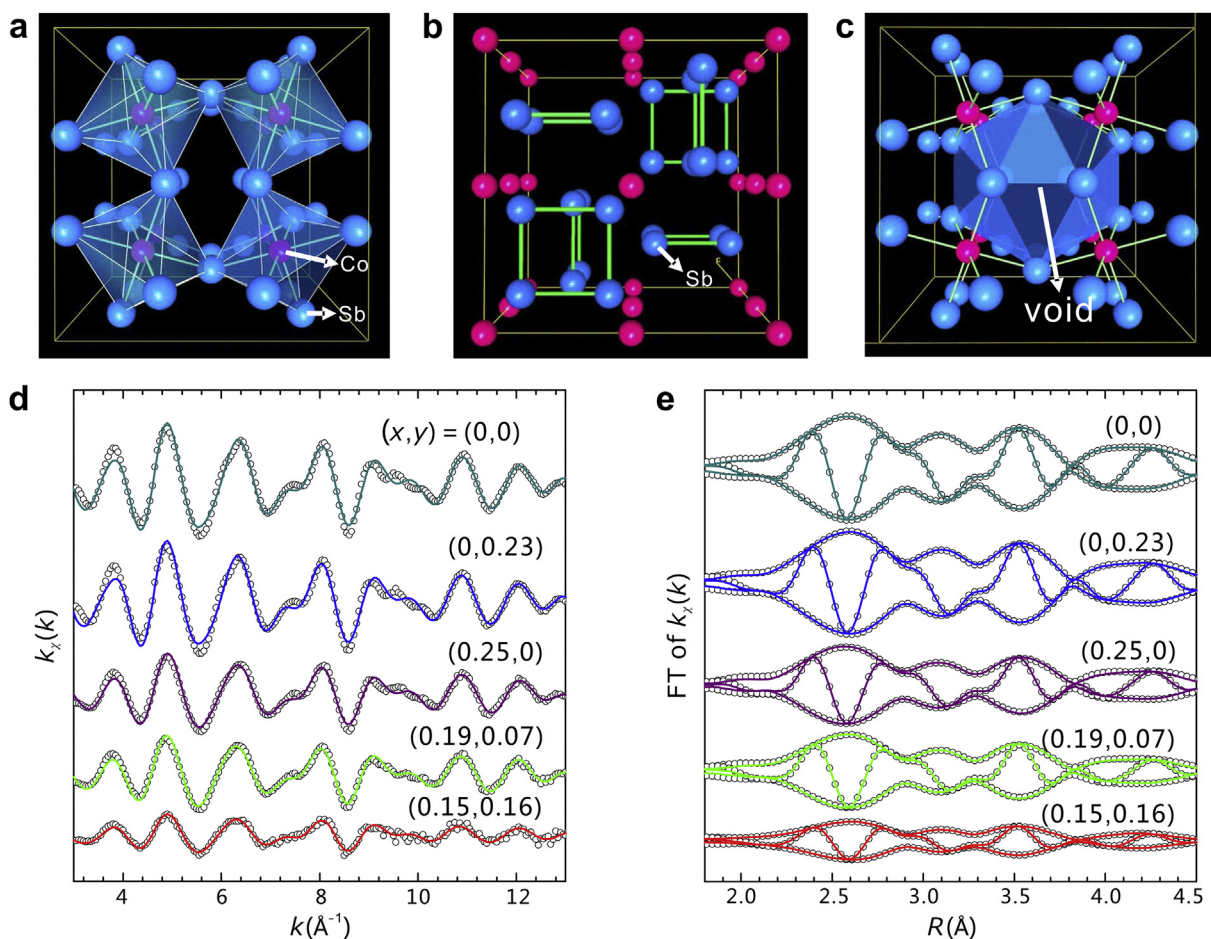


Fig. 1. Crystal structure of CoSb_3 and EXAFS modeling of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. The crystal structure of CoSb_3 consists of (a) CoSb_6 octahedra, (b) Sb_4 rings, and (c) Sb-icosahedral voids which allow the accommodation of foreign atoms to form filled CoSb_3 . Experimental (circles) and simulated (lines) (d) k -weighted Sb K -edge EXAFS spectra and (e) the Fourier transformed spectra for $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$.

$\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$, with the aim of revealing the physical mechanisms underlying the improved TE performance. The theoretical and experimental results indicate that the DOS of the Sb–Sb $pp\sigma$ bonding and $pp\pi^*$ antibonding states of the Sb_4 rings were increased in Ba and In double-filled CoSb_3 . This behavior is caused by the atomic-scale fine structure changes of the rectangle Sb_4 rings which trend to be squarer upon filling. These atomic-scale fine structure and electronic structure variations are responsible for the improved power factor as experimentally observed in Ba and In double-filled CoSb_3 .

2. Experiments and calculations

2.1. Materials and methods

Single-phase unfilled CoSb_3 and filled skutterudites $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ ($0 \leq x \leq 0.3$, $0 \leq y \leq 0.3$) were synthesized by the combination of melt-quenching, annealing, and spark plasma sintering (SPS). The synthesis procedure, phase determination, and TE properties were reported in previous work [27,28]. The actual filling fractions (x and y) of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ were determined by a model JXA-8100 electron probe micro-analyzer (EPMA). The collection of valence-band spectra was performed on a model VG Thermo Multilab 2000 X-ray photoelectron spectrometer (XPS), using a monochromatic Al K_α line with a photon energy of 1486.6 eV and a 180° hemispherical analyzer in a constant-resolution mode with a pass energy of 25 eV. The energy resolution was determined to be 0.6 eV based on the analysis of the Ag Fermi edge. The energy step size and spot size were kept at 0.05 eV and OFF. Before spectrum collection, the samples with polished surface were loaded into an ultrahigh vacuum analyzer chamber (10^{-6} – 10^{-7} Pa) and then bombarded with Ar-ion beam until no trace of contamination.

The XAFS measurements involved X-ray absorption near-edge structure (XANES) and extended X-ray absorption fine structure (EXAFS), which were performed in a model BL14W1 beamline in Shanghai synchrotron radiation facility (SSRF). The storage ring was working at 3.5 GeV and 300 mA. Si (111) double-crystal monochromator with an energy resolution of 1.5×10^{-4} eV at 10 keV was used for Co K -edge and Ba L_{III} -edge XAFS measurements. Si (311) double-crystal monochromator with an energy resolution of 0.5×10^{-4} eV at 10 keV was used for Sb K -edge and In K -edge measurements. Before measurements, the powder samples were passed through a 400 mesh sieve and then brushed onto a thin Kapton tape for Co K -edge and Ba L_{III} -edge measurements. In the case of Sb K -edge and In K -edge measurements, the sieved powder mixed with LiF powder was pressed to pellets with uniform thickness. All the XAFS spectra were collected in the transmission mode at room temperature. The energy calibration was monitored using metal Co, Sb, and In foils for their K -edge measurements and metal Ti foil for Ba L_{III} -edge. The data treatments including background subtraction, normalization, and derivative were carried out on the IFEFFIT program [29].

2.2. Theoretical calculations

The first-principles calculations of ground-state electronic structure of CoSb_3 were performed using density-functional theory (DFT) with norm-conserving pseudo-potentials, as implemented in the CASTEP package [30]. Lattice relaxation and structural optimization were first carried out through total energy calculations. Spin-orbit effect was not taken into account [31,32]. A $2 \times 1 \times 1$ supercell was used and the Monkhorse-Pack grid for the Brillouin zone was set as $4 \times 4 \times 4$. To extract atomic-scale fine structures from experimental spectra of Sb K -edge EXAFS, the theoretical spectra were calculated with the IFEFFIT package [29] based on the reported CoSb_3 structure [33]. The scattering path, scattering spherical potential, and phase shift were determined by the FEFF9 code [34]. The scattering amplitudes contributed from the fillers were neglected for the low concentration and low scattering intensity of Ba and In (<5%). The scattering amplitudes and thermal vibration parameters for the Sb–Sb long pair and short pair in the Sb_4 ring were assumed to be identical due to their same atomic coordination and close distances [35].

3. Results and discussion

3.1. Atomic-scale structure of filled CoSb_3

Skutterudite CoSb_3 crystallizes in a body-centered cubic structure with space group $Im\bar{3}$. Each unit cell contains eight CoSb_6 octahedra cornered by Sb atoms as shown in Fig. 1a, and the twelve nearest Sb atoms form icosahedral voids which distribute the body center and eight corners of unit cell as shown in Fig. 1c. In many cases, the crystal structure of CoSb_3 is shown as Fig. 1b, where each unit cell is made of eight sub-cubes cornered by Co atoms, and six of which are occupied by planar Sb_4 rectangle rings, leaving the other two empty. The centers of the empty sub-cubes are the sites where the fillers reside, which in fact are the centers of the icosahedral voids surrounded by the twelve nearest Sb atoms. For filled skutterudites, the structural parameters such as the sizes of the icosahedral voids and the rectangle rings are important in studying the structural response to filling.

EXAFS has been used to determine the atomic-scale fine structure of caged TE materials such as skutterudites and clathrates [35,36]. Here, it was used to discern the geometrical changes of the Sb_4 rings in CoSb_3 as a response to the filling. The k -weighted spectra and the Fourier transforms over a k range from 3 to 13 \AA^{-1} of the measured EXAFS spectra are shown in Fig. 1d and e. It can be seen that the filling with Ba and In has noticeable effect on the total scattering amplitudes, which gradually decrease with more filling. These experimental results can be explained with the large thermal vibration parameters of filling atoms and the enlarged lattice parameters [28]. Table 1 shows the distances of the nearest Co–Sb pairs (R) and Sb–Sb short (R_1) and long pairs (R_2) obtained from simulations. Filling Ba and In has less impact on the distance of Co–Sb pairs although it can remarkably change the distance of Sb–Sb short and long

Table 1
Structure parameters of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ based on EXAFS modeling. The error for distances is ± 0.02 Å.

Samples	$R(\text{Co-Sb})$ (Å)	R_1 (Å)	R_2 (Å)	R_2-R_1 (Å)	$R_2:R_1$
CoSb_3	2.52	2.87	3.03	0.16	1.06
$\text{In}_{0.23}\text{Co}_4\text{Sb}_{12}$	2.52	2.88	3.03	0.15	1.05
$\text{Ba}_{0.25}\text{Co}_4\text{Sb}_{12}$	2.52	2.84	2.92	0.08	1.03
$\text{Ba}_{0.19}\text{In}_{0.07}\text{Co}_4\text{Sb}_{12}$	2.53	2.88	2.92	0.04	1.01
$\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$	2.53	2.90	2.93	0.03	1.01

pairs. For unfilled CoSb_3 , a large distance difference of R_1 and R_2 (R_2-R_1) was detected, which is in reasonable agreement with the intrinsic rectangle Sb_4 rings [37]. For In-filled $\text{In}_{0.23}\text{Co}_4\text{Sb}_{12}$, R_1 and R_2 show small changes as compared to these of CoSb_3 , and the similar trend was reported based on X-ray single crystal data of In-filled CoSb_3 [38], despite a discrepancy of distances R_1 and R_2 can be found in these two individual analysis. The discrepancy could be attributed mainly to the samples which were synthesized by different methods. In the case of Ba-filled $\text{Ba}_{0.25}\text{Co}_4\text{Sb}_{12}$, R_2 shrinks significantly. As a consequence, the distance difference of R_1 and R_2 and the square ratio of the Sb_4 rings ($R_2:R_1$) reduce considerably, confirming the squarer Sb_4 rings in Ba-filled $\text{Ba}_{0.25}\text{Co}_4\text{Sb}_{12}$ [27]. When filling with Ba and In, R_2 is enlarged slowly, while R_1 is increased remarkably and gets close to R_2 gradually. As a result, their difference in $\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$ is almost zero within the errors, and accordingly the square ratio is reduced significantly from 1.06 for CoSb_3 to 1.01 for $\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$. These results clearly signify the structural transition of the Sb_4 rings from rectangle to square as a response to the double-atom filling. The square rings were also reported in Tl-filled and Ce-filled skutterudites from the structural refinements based on experimental diffraction data [37,39]. The theoretical work indicated that the size of Sb_4 rings might have an influence on the band structure of filled skutterudites, especially near the Fermi level [32]. However, a fundamental understanding on the effect of the local structural transition on the electronic structure is still inadequate. Therefore, the following section deals with the electronic structure evolution in Ba and In double-filled CoSb_3 .

3.2. Valence-band electronic structure of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$

The electronic structure of CoSb_3 is closely related to the bonding feature [40,41], where twelve $5p$ states in the rectangle Sb_4 rings form $pp\sigma$ long and $pp\sigma$ short bonds in the plane of rings and $pp\pi$ bonds perpendicular to the plane. The perpendicular $\text{Sb } 5p$ states also involve in the formation of CoSb_6 octahedron with nearby Co in the form of d^2sp^3 hybridization. The valence band top and the conduction band bottom are mainly derived from the Co $3d$ and Sb $5p$ electrons [42,43]. Fig. 2a shows the ground-state partial density of state (PDOS) of CoSb_3 . The valence-band structure of CoSb_3 can be described as a combination of eight component

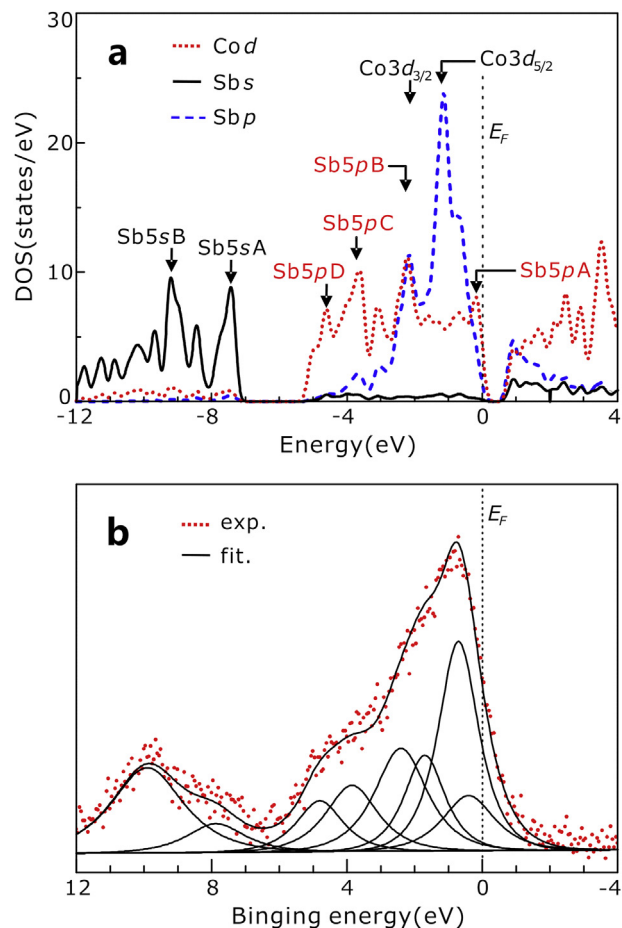


Fig. 2. Valence-band electronic structure of CoSb_3 . (a) PDOS of unfilled CoSb_3 calculated with first-principles theory. Eight component states used to describe the valence band structure of CoSb_3 are labeled. (b) Experimental valence-band XPS spectrum of CoSb_3 (dots) was fitted with the eight component states using the combined Gaussian and Lorentzian profiles (solid lines).

states. The valence band bottom is composed of $\text{Sb } 5s$ A (-9 to -6 eV) and $\text{Sb } 5s$ B (-12 to -9 eV) states. The middle of valence band consists of two component states $\text{Sb } 5p$ C (-4 to -2.5 eV) and $\text{Sb } 5p$ D (-6 to -4 eV), which are arisen from the hybridized $pp\sigma$ bonding states in Sb_4 rings. The top of valence band, with main contributions from the states of Co $3d$ and Sb $5p$ electrons, is attributed to the d^2sp^3 hybridization of CoSb_6 octahedron. Four different component states at the top of valence band can be distinguished and denoted as $\text{Sb } 5p$ A (-1 to 0 eV), Co $3d_{5/2}$ (-1.5 to -0.5 eV), Co $3d_{3/2}$ (-2.5 to -1.5 eV), and $\text{Sb } 5p$ B (-2.5 to -1.5 eV). The states Co $3d_{3/2}$ and Co $3d_{5/2}$ are localized, showing an intense spin-orbit splitting induced by the CoSb_6 octahedral crystal field, which is in agreement with the previous reports [44,45]. The contributions of Co $4s$ and Co $4p$ states to valence-band DOS can be neglected due to the low magnitude and broad dispersion. It is pointed out that the states near the Fermi level can be contributed to the Co $3d$ and Sb $5p$ electrons, which are in agreement with the calculated data [40,41].

Fig. 2b shows the experimental valence-band spectrum of CoSb₃ after subtracting a smooth Shirley-type background. The spectrum was deconvoluted with the eight component states according to the theoretical valence-band structure as proposed above. For each component state, the peak profile was mixed with the Gaussian and Lorentzian functions with an area ratio of 20:80, which was used to account for the spectrometer resolution and the lifetime broadening of photoelectrons, respectively [27]. At different lifetime broadenings, the full width at half maximum is 1.4 eV, 1.6 eV, and 2.0 eV for Co 3*d*, Sb 5*p*, and Sb 5*s* electrons, respectively. All the spectral features were well reproduced with the combination of eight component states. It can be found that the energies of the eight component states are in reasonable agreement with the calculated values, as shown in Fig. 2a. Note that the Co 3*d*_{5/2} and Co 3*d*_{3/2} show energies of 0.7 and 1.7 eV, separated by a spin-orbit splitting of 1.0 eV, which is consistent with the calculated value. The number of valence electron (*C_i*) for each component state can be determined by the integral intensity of the experimental valence-band spectra,

$$C_i = T_e \cdot [I_i / (\sigma_i \lambda_i)] / \left[\sum_{j=1}^n I_j / (\sigma_j \lambda_j) \right] \quad (1)$$

where *T_e* is the total valence electrons of the measured compound, *n* is the number of component states in the valence band, *λ_i* the inelastic electron mean free path for a constituent atom *i*, *σ_i* the photoionization cross-section of atom *i*. The total valence electron number in CoSb₃ is 96 per each unit cell. *λ_i* is 24.0 Å and 30.4 Å for Co and Sb. Since the incident photon energy is 1486.6 eV, *σ_i* has a value of 0.16 and 0.11 for Co 3*d*_{5/2} and 3*d*_{3/2} electrons, and 0.08 and 0.11 for Sb 5*p* and 5*s* electrons, respectively [42]. For CoSb₃, 62.5% of the valence electrons occupy the top region of the valence-band, while the valence electrons in the middle and bottom regions are almost equal (i.e., 18.6% and 18.8%), indicating that the largest contribution to the valence-band originates from the CoSb₆ octahedron. The Co 3*d*_{5/2} contains over 26% of the total valence electrons, reflecting a strong localized nature of Co 3*d* electrons.

The electronic structure of filled skutterudites Ba_{*x*}In_{*y*}Co₄Sb₁₂ was examined by valence-band XPS spectra. Fig. 3 shows the measured valence-band spectra of Ba_{*x*}In_{*y*}Co₄Sb₁₂. In order to achieve clear evidence on the valence band changes, the experimental spectra were numerically modeled using the same configuration of eight component states. The rationality of this modeling used for Ba-filled is understandable since Ba has no valence electron in the valence band and instead donates two electrons to the framework. For In-contained CoSb₃, the rationality is since i) the atomic percentage of In fillers is much smaller than those of Co and Sb; ii) for two In 5*s* electrons contributing to the valence band, one has localized feature and another is delocalized [26]; and iii) the photoionization cross-section of In (0.02) is much smaller than those of Co and Sb (about 0.1) [42]. Therefore, the measured valence-band XPS spectra can clearly detect the electronic states contributed from Co and Sb framework

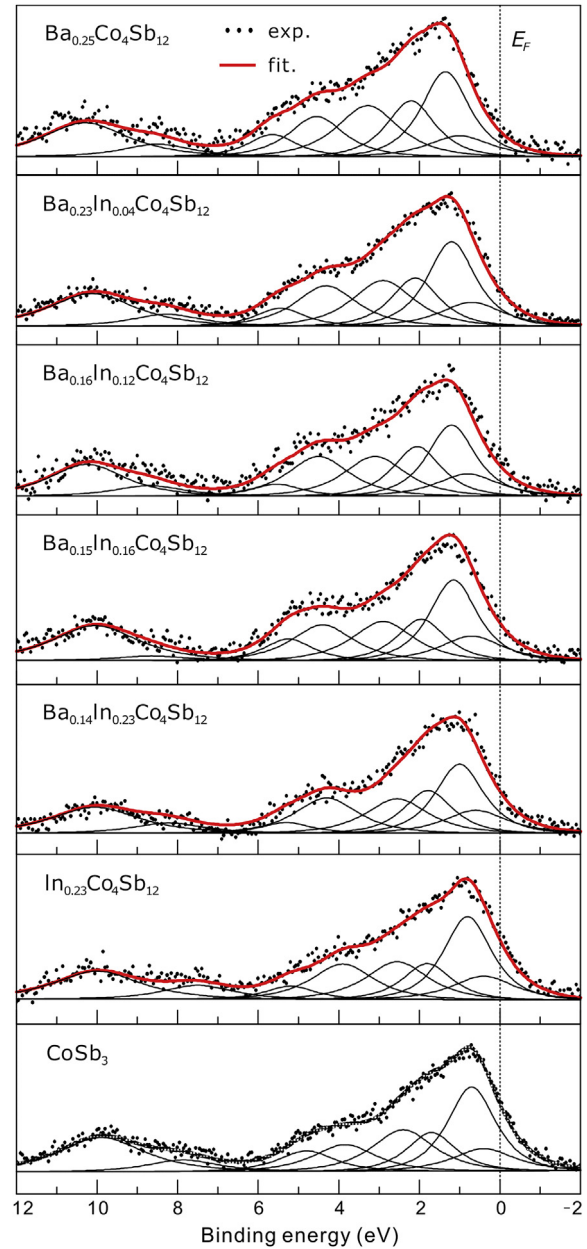


Fig. 3. Valence-band spectra of Ba_{*x*}In_{*y*}Co₄Sb₁₂. The experimental data (dots) are fitted with eight component states using the combined Gaussian and Lorentzian profiles (solid lines).

atoms. Fig. 3 also shows the modeling of the valence-band XPS spectra of Ba_{*x*}In_{*y*}Co₄Sb₁₂. For Ba_{*x*}In_{*y*}Co₄Sb₁₂, the valence electron number is 96 + 2*x* + *y* when considering the chemical state of Ba and In is divalent and monovalent, respectively [28]. The energy position (*P*) and valence electron number (*C_i*) for each component state for Ba_{*x*}In_{*y*}Co₄Sb₁₂ compounds can be hence determined.

Ba and In fillings cause a chemical shift (*δ*) in the valence-band XPS spectra. The peak position of Co 3*d*_{5/2} component state shifts towards high binding energy side by *δ* = 0.1 eV for In-filled In_{0.23}Co₄Sb₁₂, and to higher binding energy when Ba filling fraction (*x*) increases and In filling fraction (*y*) decreases. The largest shift is *δ* = 0.65 eV for Ba-filled

$\text{Ba}_{0.25}\text{Co}_4\text{Sb}_{12}$. Other component states show the similar tendency. The different energy shifts for Ba- and In-contained filled CoSb_3 reflect their different donor abilities since Ba filler is purely ionic and donates two electrons to the conduction band, while In filler is covalently bonded with surrounded Sb atoms with a monovalent configuration. The chemical shift is also supported by the carrier concentration variations [27]. The effect of In filler on the electronic structure of CoSb_3 is more complicated than the effect of alkali and alkali earth metals [26,27].

To clarify the effect of the filling fraction of Ba and In (x and y) on the valence-band structure of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$, the component states, which belong to the same chemical bonds, are merged together. For instance, the component states $\text{Co } 3d_{5/2}$ and $\text{Co } 3d_{3/2}$ originating from the CoSb_6 octahedron are merged into $\text{Co } 3d$. The $\text{Sb } 5p$ A and $\text{Sb } 5p$ B corresponding to the Co-Sb bonds of CoSb_6 octahedron are designated as $\text{Sb } 5p$ A + B. The $\text{Sb } 5p$ C and $\text{Sb } 5p$ D involving in the Sb-Sb bonds of Sb_4 ring are merged into $\text{Sb } 5p$ C + D. The $\text{Sb } 5s$ A and $\text{Sb } 5s$ B become into $\text{Sb } 5s$ A + B. After this treatment, the valence-band structure of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ now is composed of four combined states, which are $\text{Co } 3d$, $\text{Sb } 5p$ A + B, $\text{Sb } 5p$ C + D, and $\text{Sb } 5s$ A + B. Fig. 4 shows the valence electron number for each combined state as a function of filling fraction (x and y). For unfilled CoSb_3 , the valence electron numbers of $\text{Co } 3d$ and $\text{Sb } 5s$ A + B are 32.2 and 17.9, which are in agreement with the theoretical values of 32.4 and 19.2, respectively. The $\text{Sb } 5p$ A + B and $\text{Sb } 5p$ C + D states possess valence electron numbers of 27.2 and 18.7, the sum of them is very close to the theoretical value of 44.4. These results validate the merging treatment.

Compared to unfilled CoSb_3 , In-filled $\text{In}_{0.23}\text{Co}_4\text{Sb}_{12}$ exhibits small changes in the valence electron numbers, showing a slight increase in the $\text{Sb } 5p$ C + D states and correspondingly a small decrease in the $\text{Sb } 5s$ A + B states. The valence electron number of $\text{Sb } 5p$ C + D firstly increases and then decreases slowly with increasing the filling fraction of Ba and decreasing that of In. The maximum for $\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$

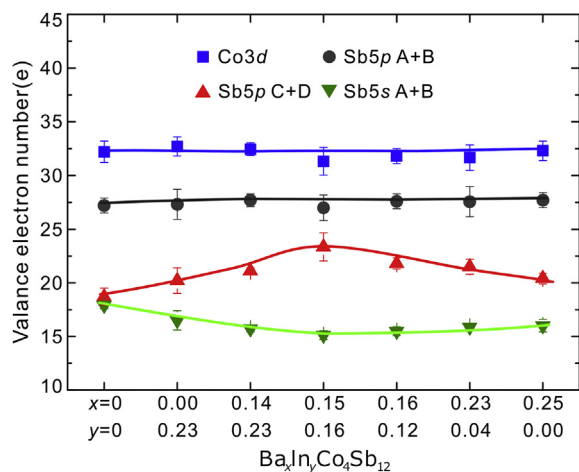


Fig. 4. Valence electron number changes of the four component states of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ at different filling fractions.

can be obtained, which is greater than that of the unfilled CoSb_3 . The valence electron numbers of $\text{Co } 3d$ and $\text{Sb } 5p$ A + B states are almost unchanged upon filling. The reason is attributed to the weak interaction between the fillers and Co because of the strong charge screening effect of the large Sb-icosahedrons. The valence electron number of the $\text{Sb } 5s$ A + B states slowly decreases and then keeps unchanged. It is assumed that a part of the $\text{Sb } 5s$ nonbonding states should transfer into the bonding states as induced by the structural change of Sb_4 rings.

As is shown above, the filling has an influence on the valence band of CoSb_3 in terms of increasing the valence electron number of $\text{Sb } 5p$ C + D states, which involve in the $pp\sigma$ bonds of the Sb_4 rings, but no effect on the electronic states of the CoSb_6 octahedra. The EXAFS analysis indicates that the Sb_4 rings of CoSb_3 gradually change the shape from rectangle to square and the structure of CoSb_6 octahedra keeps fixed when the total filling fraction increases. Note that the square ratio of Sb_4 ring is reduced from 1.06 for CoSb_3 to 1.01 for $\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$, indicating an improved symmetry. As a consequence, the short and long $pp\sigma$ bonds of the rectangle Sb_4 rings, with a relatively large bond length difference (i.e., 2.87 Å and 3.03 Å) in CoSb_3 , gradually become identical as the total filling fraction increases. Accordingly, the two separate groups of electronic bands deep in the valence band of CoSb_3 , contributed by the bonding states of the short and long $pp\sigma$ bonds, gradually converge in energy due to the improved symmetry of the Sb rings. The occurrence of band convergence deep in the valence band can reasonably explain the increase in the valence-band DOS. For $\text{Ba}_{0.15}\text{In}_{0.16}\text{Co}_4\text{Sb}_{12}$ in which the Sb_4 rings are square, a significant convergence and a great increment of valence electron number of $\text{Sb } 5p$ C + D states thus can be expected. Therefore, the increased electron number of the $\text{Sb } 5p$ C + D states is attributed to the band convergence of the $pp\sigma$ electronic states.

3.3. Conduction-band electronic structure of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$

XANES technique is a powerful tool in detecting the low-energy excited photoelectrons when undergoing the transition from the core-level states to the unoccupied states. The absorption feature of XANES spectrum mainly depends on the unoccupied states in the conduction band and a weak perturbation from core-hole interaction due to the highly localized character of the core-level electrons. In the case of CoSb_3 , the core-hole interaction is fully suppressed by screening effect due to a great amount of valence electrons [46]. The conduction-band electronic structure of CoSb_3 can be thus detected by XANES technique. The theoretical results shown in Fig. 2 indicate that the lowest unoccupied states near the Fermi level are composed of $\text{Co } 3d$ and $\text{Sb } 5p$ states, which is assigned to the mixture of $\text{Co } e_g^*$ and $\text{Co } 3d\text{-Sb } 5p$ antibonding states, as resulted from the d^2sp^3 hybridization in the CoSb_6 octahedra and the $pp\pi^*$ antibonding states in the Sb_4 rings [44]. Fig. 5 shows the experimental spectra of Co and Sb K -edge XANES of

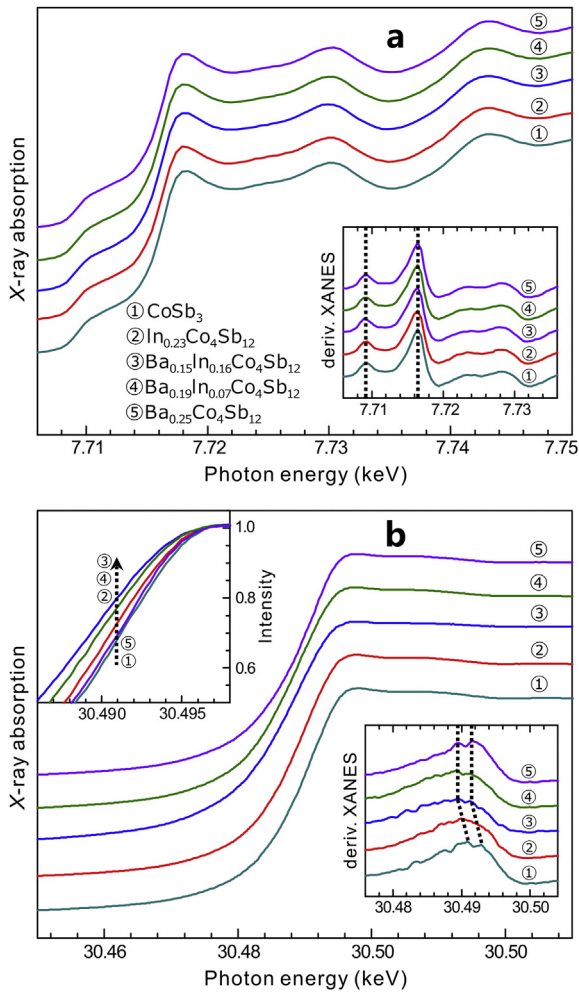


Fig. 5. Co *K*-edge and Sb *K*-edge XANES spectra. Experimental spectra of (a) Co *K*-edge and (b) Sb *K*-edge XANES of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. The first derivative curves are plotted in the right insets in which the first and second inflection points are denoted with dashed lines. The left inset of the plot (b) shows the comparison of Sb *K*-edge XANES spectra with an energy shift towards high energy side by δ ($0 \leq \delta \leq 0.65$ eV). The δ value for each compound is determined by XPS valence-band spectra.

$\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. The first inflection points of these spectra are shown in the right insets of Fig. 5. The first inflection points of Co and Sb *K*-edge spectra locate at 7709 and 30,491 eV, respectively, which are identical with those of the elemental Sb and Co [47]. For XANES, the first inflection point represents the transition starting from the core-level electron to the lowest unoccupied states. According to the dipole transition rule, the *K*-edge absorption is arisen from the $1s \rightarrow np$ transitions. In the case of Co *K*-edge XANES, the first inflection point of the pre-edge peak is caused by the dipole forbidden $1s \rightarrow 3d$ transitions with a small contribution from the Co $3d-4p$ hybridization, which is linked to the inversion symmetry breaking in the distorted CoSb_6 octahedron. Therefore, the metallic-like feature of the inflection point of the Co *K*-edge XANES proves that the unoccupied Co $3d$ states essentially situate near the Fermi level, which is consistent with the calculated value [46]. The main absorption peak near 10 eV greater than the pre-edge peak is

originated from the unoccupied Co $4p$ states with the dipole $1s \rightarrow 4p$ transitions. The absorption spectra of unfilled and filled CoSb_3 are similar. The first inflection points and absorption intensity of Co *K*-edge XANES spectra are almost identical, indicating the small effect of Ba and In filling on the unoccupied Co $3d$ states. This phenomenon is due to the stiff framework of CoSb_6 octahedron as determined by the former EXAFS analysis, which further confirms the slight influence of filling on the electronic structure of the CoSb_6 octahedron.

For the Sb *K*-edge XANES spectra, the absorption edge and main peak both can be attributed to $1s \rightarrow 5p$ transitions, while the absorption peaks at the greater energy side correspond to the transitions from the Sb $1s$ core-level states to the unoccupied Co $4p$ states due to the existence of d^2sp^3 orbital hybridization in CoSb_6 octahedron. The derivative curves exhibit double inflection points near the absorption edge. The first inflection point refers to the position of the lowest unoccupied Sb $5p$ states, which are close to the Fermi level. The second inflection point, which is about 2 eV greater than the first one, corresponds to the energy maximum of the unoccupied Sb $5p$ states. It can be found that the first inflection point shifts toward a lower energy by 1.0 eV for In-filled $\text{In}_{0.23}\text{Co}_4\text{Sb}_{12}$, and by 2.0 eV for Ba and In double-filled $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. The energy shift towards a lower energy, which is attributed to the increased carrier concentration as observed in the Hall measurements [26,27].

The variations of absorption edge intensity can be an indicator of the number of unoccupied states [48,49], especially for the material systems in which the core-hole interaction can be fully suppressed, i.e., CoSb_3 . The comparison of absorption edge intensity of the Sb *K*-edge XANES spectra of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ is shown in the left inset of Fig. 5b. Since Ba and In are dopants and the Fermi level shifts from the band gap to the conduction-band bottom, the whole absorption spectra of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$ are intentionally shifted towards a higher energy side by an energy of δ ($0 \leq \delta \leq 0.65$ eV) to eliminate the effect of charge transfer. The δ values were determined from the above valence-band measurements, by calculating the energy shift of the Co $3d_{5/2}$ component state. This treatment is reasonable since the fillers bring out only a slight change in the band gap [32]. It can be seen that the absorption edge intensity of the Sb *K*-edge XANES spectra increases slightly for In-filled CoSb_3 and is considerably increased for Ba and In double-filled CoSb_3 , indicating that the DOS of the unoccupied Sb $5p$ states is accumulated in $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. According to the former results, the unoccupied Sb $5p$ states in CoSb_3 are composed of two components, i.e., Co–Sb antibonding states in the CoSb_6 octahedron and Sb–Sb $pp\pi^*$ antibonding states in the Sb_4 ring. Since the electronic structure of CoSb_6 octahedron has no change with varying the filling fraction, any change in the unoccupied Sb $5p$ states must come from the variation of Sb–Sb $pp\pi^*$ antibonding states in the Sb_4 ring. Therefore, the DOS increase of the unoccupied Sb $5p$ states is attributed to the increased Sb–Sb $pp\pi^*$ antibonding states. Based on the former valence-band spectra analysis, we find that with increasing the filling fraction of Ba and In, the DOS

of Sb–Sb $pp\sigma$ bonding deep in the valence band and Sb–Sb $pp\pi^*$ antibonding states at the bottom of conduction-band both are improved, and the reasons of which both point to the band convergence caused by the improved symmetry of the Sb_4 ring.

Fig. 6 shows the In K -edge XANES spectra of $Ba_xIn_yCo_4Sb_{12}$ and metallic In foil. The inset shows the Ba L_{III} -edge XANES spectra of $Ba_{0.3}Co_4Sb_{12}$ and BaO. For $Ba_{0.3}Co_4Sb_{12}$ and BaO, the absorption white lines and the energy of main absorption peaks are similar. The inflection points of the white lines of Ba L_{III} -edge for $Ba_{0.3}Co_4Sb_{12}$ and BaO both locate at 5249 eV, which are greater than those of the standard metal Ba (5427 eV) by 2 eV [47], indicating the divalent Ba^{2+} in $Ba_{0.3}Co_4Sb_{12}$. For $In_{0.23}Co_4Sb_{12}$, the main absorption peak has the energy as that of In foil (i.e., 27,945.5 eV). This corresponds to the dipole $1s \rightarrow 5p$ transitions, indicating the covalent interaction of In with the host framework. The first inflection point of $In_{0.23}Co_4Sb_{12}$ is similar to that of the In metal at 27,940 eV (marked by dotted line), indicating that the unoccupied In $5p$ states locate close to the Fermi level, which is in agreement with the above calculations. For Ba and In double-filled $CoSb_3$, the first inflection points keep unchanged as the filling fraction of In increases, showing the Fermi pinning behavior of In $5p$ states. The Fermi pinning of In electrons was also found in In-doped PbTe system [50,51], which is supposed to be caused by the relatively localized feature of the unoccupied states of In electrons. Incorporating In into $CoSb_3$ leading to multiple localized effects has been recently clarified [26].

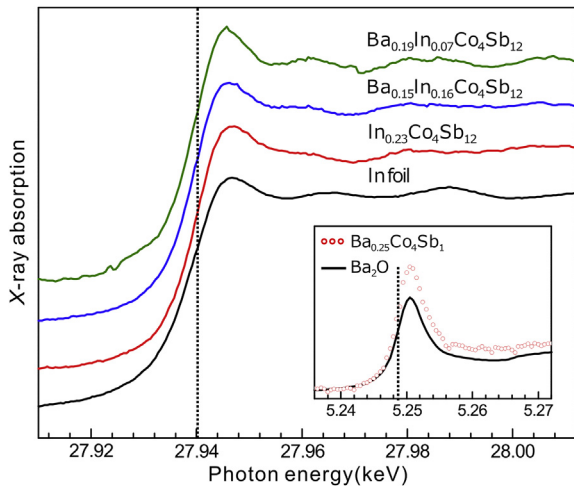


Fig. 6. In K -edge and Ba L_{III} -edge XANES spectra. Experimental spectra of In K -edge XANES are obtained from $Ba_xIn_yCo_4Sb_{12}$ and metallic In foil. The inset shows experimental spectra of Ba L_{III} -edge XANES for $Ba_{0.3}Co_4Sb_{12}$ and BaO. The first inflection points are denoted by dashed lines.

3.4. Enhanced thermoelectric properties in $Ba_xIn_yCo_4Sb_{12}$

For n -type materials, the electronic states situated at the conduction band bottom are responsible for the carrier

transport properties especially for the electrical conductivity and the Seebeck coefficient. According to the Mott relation [52],

$$S = \frac{\pi^2 k_B k_B T}{3q} \left\{ \frac{d[\ln(\sigma(E))]}{dE} \right\}_{E=E_F} \\ = \frac{\pi^2 k_B k_B T}{3q} \left\{ \frac{1}{n} \frac{dn(E)}{dE} + \frac{1}{\mu} \frac{d\mu(E)}{dE} \right\}_{E=E_F} \quad (2)$$

where n is the carrier concentration, μ the carrier mobility, q the charge of an electron, k_B the Boltzmann constant, and E_F the Fermi energy to describe the electron energy E at E_F . It can be seen that a rapid change in carrier concentration and/or mobility in a small energy interval close to the Fermi level is favorable for the enhanced Seebeck coefficient. Since $n(E) = f(E)g(E)$, where $f(E)$ is the Fermi integral determined by E_F and $g(E)$ is the DOS near the Fermi level, a strong energy dependence of DOS near the Fermi level is crucial for the Seebeck coefficient enhancement [53].

The results indicate that the filling of Ba and In can affect the DOS of conduction-band bottom in two aspects: i) the introduction of unoccupied In $5p$ localized states near the Fermi level and ii) the increased DOS of Sb–Sb $pp\pi^*$ antibonding states. The introduction of unoccupied In $5p$ states favors the optimization of the electrical transport properties due to its resonant-like behavior [26]. That is also the reason why In-filled $In_{0.23}Co_4Sb_{12}$ exhibits a higher power factor (i.e., $\sim 38 \mu W K^{-2} cm^{-1}$) at room temperature [28]. The occurrence of increased Sb–Sb $pp\pi^*$ antibonding states can be expected due to the increased Seebeck coefficient and maintained high electrical conductivity, thus which is favorable for power factor. The electrical transport properties measurements show that at 850 K $Ba_{0.15}In_{0.16}Co_4Sb_{12}$ and $Ba_{0.14}In_{0.23}Co_4Sb_{12}$ exhibit the maximum power factor (i.e., $\sim 40 \mu W K^{-2} cm^{-1}$) [27]. These experimental results further substantiate the benefits of the modified electronic states in improving the electrical properties.

The thermal conductivity measurements show that the decrease of lattice thermal conductivity is due to the rattling of fillers, which decreases from the unfilled $CoSb_3$ ($\sim 10 W m^{-1} K^{-1}$), the Ba-filled $Ba_{0.25}Co_4Sb_{12}$ ($4.7 W m^{-1} K^{-1}$) and the In-filled $In_{0.23}Co_4Sb_{12}$ ($3.1 W m^{-1} K^{-1}$) to the Ba and In double-filled $Ba_{0.15}In_{0.16}Co_4Sb_{12}$ ($\sim 1.5 W m^{-1} K^{-1}$) at room temperature. These experimental results show that the weakly bounded fillers in the Sb-icosahedrons can effectively suppress the propagation of the heat-carrying phonons by creating intense resonant phonon scattering. In addition, the filling of Ba and In is more effective in reducing lattice thermal conductivity, as compared to the single-filled cases, which can be attributed to the wider range of phonon scattering frequency aroused by two distinct fillers [22]. Based on the electronic structure study, the physical mechanisms behind the enhanced TE performance in Ba and In double-filled $CoSb_3$ become clear, which are associated with three beneficial effects as following: i) the increased conduction-band DOS due to the band

convergence effect of the Sb–Sb $pp\pi^*$ antibonding states, ii) the localized feature of the unoccupied states of In $5p$ electrons near the Fermi level, and iii) the wide-frequency resonant phonon scattering created by distinct Ba and In fillers.

4. Conclusions

The EXAFS, XANES, and XPS techniques were employed to discern the underlying physical connections between the atomic-scale fine structure and electronic structure and the enhanced TE properties in Ba and In double-filled CoSb_3 . The local structure evolution of Sb atoms from the EXAFS data indicated that the atomic-scale structural change of the Sb_4 rings occurred from rectangle to square as the total filling fractions increased. A combined solution for eight component states was proposed, which enabled a reasonable description of the valence-band electronic structure of $\text{Ba}_x\text{In}_y\text{Co}_4\text{Sb}_{12}$. It was revealed that the filling of Ba and In had no effect on the electronic structure of CoSb_6 octahedron, but improved the DOS of the Sb–Sb $pp\sigma$ bonding and $pp\pi^*$ antibonding states of Sb_4 ring. The occurrence of electronic state degeneracy caused by the structural transition of the Sb_4 rings led to the increased DOS both at valence band and conduction band. Ba, as an ionic filler, donates all its valence electrons to the neighboring Sb, having less influence on the electronic structure. However, the filler In, which is covalently bonded with nearby Sb, brings about the modification to the electronic structure in a manifestation of creating localized electronic states and pinning the Fermi level. The improved TE properties of Ba and In double-filled CoSb_3 can be explained in terms of the three beneficial effects, including localized DOS increase, band convergence, and wide-frequency resonant phonon scattering as well.

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