

Electronic correlation and magnetic properties of one-dimensional systems

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May 20, 2022



Zientziaren berri duen gizartea askeago eta manipulagaitzagoa da.

Zientziaren Giltzak

Aume, ama, aita, sis, loba, familixa eta lagun, zeuentzat

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Acknowledgments

May your heart be your guiding
key

Kingdom Hearts

These years have been awesome and awful, the full experience of science. I have been able to experience the beauty of science when you find something unexpected, the despair that brings all the questions arising (and calculations to do) and the joy when you find the answers. After almost four years, we reach the end of the Ph.D., and my journey into Academia with it. But, before this chapter of my life closes I feel the need to thank all the people that have been part of this journey.

First of all, I am really thankful to my supervisors Andres and Maria. Without your guidance, this Thesis would have been a sketch of what it has become. Even though, as Andres said once: "By the end of the Ph.D. you won't stand us." time has shown that this was true at certain moments! But, I am really grateful for the help you have given to me discussing the results and the patience you have shown with me. I am very grateful to Gustav Bihlmayer, as without the stay in the Forschungszentrum in Jülich this Ph.D. could have been very differently and half the interesting as it is now.

In 2018 the journey of the Ph.D. started after the CFM organized the Ph.D. fair, also known as the Hunger Games. In this journey, I have met many amazing people, so let's give it up to the crew of CFM! So, let's begin with the old (old) group that I first met in the CFM: Unai, Thomas, Andrea, Moritz and certainly Iker, thanks for

your patience every time I went to ask you questions about the calculations when I started. 2020 arrived and a pandemia with it, modifying our life from day to night. After this pandemia and the old people were gone, the CFM crew totally changed for these last years. I am really grateful to Alvaro, Antton, Adrian, Arru, August, Carmen, Charlie, Cris, Fernando, Iker, Jon, Jorge grande, Jorge largo, Marina, Martin, Miguelf, Txemikel, Roberto and more! Thanks for all the beers after work, And the Drag Race viewing parties! Thanks to Jose, Francesco, Antonella, and the new addition Josu, for the laughs in the office and make this journey a bit more endurable! Last but not least, Idoia, I am really thankful to you. Of all the people of the CFM, I really believe your job is the most important. Thank you for the outreach activities you organize and let us be part of them. Each time I was part of them, I thought about how much I enjoyed physics. I hope you continue for many years like that!

Ah, zer, nire tesisin Ondarrutar enebalakun idatziko? Eon pixkatin! Eskerrik asko kuadrillako danai, natxe satellite baten latxeik ibili alkar ikusten gazenin zelan nabilen galdetzezuelako, natxe moska laga eta tutik ez ulertu ikerkuntzako mundu beti interesa jartzezuelako (edo ondo disimulatezue bentzat) eta animuk emoteztazuelako. Gradukuai, Amaia, Ainhoa, Lete, Iker, Aitor etab. dudaik eztakat zuek ezpaziñake eongo Fisika ikasten eongiñan (inpernuko) urtitan hona enitxakela allako.

Aume dana ondo juteko horrenbeste kandela ipinitxe gero tarjeta vip-e emon-bikotzenela elixan, eta nire aukera guztik babestuzuzelako. Eta azkaneako, ama, aita eta sis, Fisika ikastea dezidiu neban momentun natxe harrixute gelditxu aurrea jarraitzeko animaztazue natxe hau mundu zuek ezautuzuenetik oso aparte gelditxu, eta edozein problema eukiaz laguntzeko prest zaze. Eta azkan agurre urtitan Ondarrure jun nazen momento guztik eurak ikusi hutsaz pozten nabena neure lobantzat Julen, eta azkan adiziñoi Nikole. Matxe-matxe eta muso bat danontzat!

That's all folks!

Laburpena

Tesi honen helburu nagusia, nanokate magnetiko desberdinetan, magnetismoaren eta elektroien arteko korrelazioaren analisi teorikoa egitea da. Egitura sinpleak izan arren, dimentsio baxuko sistemek ezaugarri magnetiko interesgarriak erakutsi ahal dituzte. Esperimentalki horrelako sistemak gauzatzeak erronka handia suposatzen du, eta ondorioz neurketak egitea ia ezinezkoa bihurtzen da. Beraz, analisi teorikoa ezinbestekoa da material horien ezaugarriak aurreikusteko. Gure lanaren lehendabiziko helburuan, kateen eta katea hazten den sustratuaren arteko elkarrekintzak aztertzen dituugu. Bi kasu ezberdin ditugu, lehena sustratua eta katearen artean elkarrekintza handiak dardenean eta bigarrena, elkarrekintza baxuak direnean, hau da, katea sustratuarekiko isolatuta egongo balitz bezala aintzat hartuz. Kate-sustratu elkarrekintzak elektroien korrelazioa erabat aldatu dezake, eta ondorioz, kateen magnetismoa guztiz aldarazi. Gure bigarren eta azken helburua, atomo magnetikoez erakutsi ahal duten egoera desberdinek (spin ezberdin edo berdinarekin) propietate magnetikoetan duten eragina aztertzea da.

XX. mendean material magnetikoen ezagutzak izan zuen iraultzaz geroztik, material hauek gure egunerokotasunean parte izatera pasa dira. Material magnetikoen erabilera ezagunena datuak gordetzeko ahalmena da: ordenagailuetako disko gogorak material magnetikoz osatuta daude. Tresneria hauetan domeinu magnetikoen (atomoen momentu magnetikoez norabide orokorra duten eskualdeak) magnetizazioa neurtzen da, momentu magnetikoaren noranzkoak 0 edo 1 bit kodea ezartzen duelarik. Azken urte hauetan, mundu mailako datu kopuruak esponenzialki gora egin du, beraz memoria handiagoak duten disko gogorren beharra dugu. Kontutan izanda informazioa domeinu magnetikoetan gordetzen dela, memoria handitzeko modu bakarra domeinuak txikitzea da. Gaur egun, disko gogorretan 10^{16} bit/m²-ko oroimenen dentsi-

tatea lor dezakete, hau da, domeinuak gutxi-gorabehera 10mm^2 -koak dira. Domeinu magnetikoen tamaina txikitzeak, domeinuen arteko hormak txikitzean lortzen da. Hormen tamaina bi elkarrekintzen arabera da: truke elkarrekintzak eta anisotropia magnetikoak. Truke elkarrekintzak atomoen arteko spinak lerrokatzearen alde egiten du, eta anisotropia magnetikoak spinak kristalaren norantza zehatz batean egoteak lehenesten du. Beraz, trukeak domeinuen arteko hormak luzeatzea hobesten du, anisotropiak, ordea, horma motzagoak. Domeinu magnetikoen tamaina txikitzeak muga bat du, txikitzean efektu termikoak gero eta nabariagoak baitira, magnetizazioaren ausazko alderantziketaz sortuz. Muga honi muga superparagnetikoa deritzogu. Domeinu magnetikoen txikitzearen limitea dimentsio baxuko sistemekin gainditu dezakegu.

Dimentsio baxuko materia sorta bidimentsionalak (2D) diren sistemetatik imanen limitea den atomora (0D) arteko sistemak osatzen dute. Gure ikerkuntza dimentsio bakarreko (1D) sistemetan zentratuta dago. Zehazki, Tesi honetan, bi kate magnetiko mota aztertuko ditugu, bat trantsizio-metal atomoak O atomoekin lotura dutenean, hots, trantsizio metal-oxido kateak, eta bestean, trantsizio-metalak molekula organikoen bidez lotzen direnean. Zergatik dimentsio baxuak erabili? Sistemen dimentsioa txikitzen denean, gorputz anitzen arteko elkarrekintzak gora egiten du. Loturak dituzten atomo kopurua gutxitzen direnez, elektroien arteko Coulomb elkarrekintzak handiagoak dira, apantailatze efektuak txikiagotzen baitira. Ondorioz, spin-spin arteko truke elkarrekintza areagotzen da. Mermin-Wagner teoriaren arabera dimentsio baxuko materialetan ezin da ausazko irismen luzeko magnetismorik eman, baldin eta anisotropia magnetikorik ez badago. Beraz, anisotropia magnetikoa ezinbestekoa da dimentsio baxuetan magnetismoa gauzatzeko. Gainera, dimentsio baxuetan eremu kristalinoa (beste atomoek sortutako potentzial elektrikoen konbinazioa) txikiagotzen da, elektroien momentu orbitalaren deuseztapena ezabatuz eta anisotropiari balio handiak izatea ahalbidetuz. Are gehiago, sistemen simetria ere txikiagotzen da, adibidez, inbertsio simetriarik ez dago, eta spinen arteko truke elkarrekintza handitzen denez, kolinealak ez diren spin egiturak egotea ahalbidetzen ditu, baita beste motatako elkarrekintzak agertu ere, adibidez, truke antisimetrikoa, spin egitura kiralak ahalbidetuz. Propietate horiek dimentsio baxuko sistemak gailu elektronikoetan erabiltzeko oso erakargarriak egiten dituzte. Baina batez ere, kateen ezaguarri magnetikoen interes handiena spintronikaren alorrean sustatzen dute, hau da, elektroien kargaz gain spina ere manipulatzeko ahalbidetzen duten tresnerien ik-

erkuntzan.

Lehenago aipatu dugun bezala, kalkulu teorikoak ezin bestekoak dira kateen propietateak aurreikusteko. Gure analisi teorikoa gauzatzeko dentsitate funtzionalaren teoria (DFT) erabili dugu. Metodo honek parametro empirikoen erabilera saihesten du, konputazio denboraren eta zehaztasunaren arteko balantzea orekatuta mantenduz. Spina kontutan hartzen duten DFT kalkuluekin materialen propietate magnetikoak lortu ditzakegu, hala nola, spin egoera eta truke elkarrekintza konstatea \mathcal{J} . DFT kalkuluetan spin orbita elkarrekintza (SOE) sartuta anisotropia magnetikoaren energia lortu ahal dugu. DFT partikula bakarreko probleman oinarritzen denez gorputz askoko elkarrekintzak ez ditu ondo deskribatzen. Arazo hau argi ikusten da trantsizio-metal atomoetan, non, d orbitalean duaden elektroiek elkarrekintza handiak izan ahal duten. Coulomb elkarrekintzaren deskribapen mugatuaren ondorioz, materialen ezau-garrien emaitza okerrak izan ahal ditugu, adibidez, sistema metalikoa berez isolatza-ilea denean. Hau konpontzeko DFT+ U zuzenketa erabiltzen da, non, U parametroak orbital jakin bateko elektroien elkarrekintza deskribatzen duen. Honez gain, DFT metodo bariazionala izanik, energiaren minimizazio prozesu baten bitartez lortzen du oinarritzko egoera. Prozedura hau zehatza izango balitz beti energia gutxineko egoeran amaituko genuke, hau da, oinarritzko egoeran. Energiaren minimizazioaren prozedura ez denez perfektua, energetikoki baxuak diren egoera kitzikatuetan bukatu dezakegu, oinarritzko egoera saiheztuz.

Tesiak hurrengo egitura du:

2. atalean, lehendabizi, Estatu Solidoko Fisikan erabiltzen diren ekuazioen eta hurbilketen sarrera labur bat emango dugu. Bigarrenez, DFT teoriaren oinarritzko teorema eta ekuazioak azalduko ditugu, DFT+ U zuzenketarekin eta orbitalen oku-pazio kontrolaren metodoarekin batera. Jarraian, anisotropia magnetikoaren energia kalkulatzeko erabili ditugun bi metodoak azalduko ditugu: indar teorema eta autokon-sistentzia zikloak. Amaitzeko, mugatutako ausazko fase hurbilketa azalduko dugu, metodo honekin elektroien elkarrekintza intraorbital, U , eta elkarrekintza interorbitala, J , parametroak kalkulatu ahal ditugu. Honekin batera maximoki lokalizatuta dauden Wannierren funtzioen azalpen labur emango dugu.

3. eta 4. ataletan, trantsizio metal-oxido kateetan oinarrituko gara, XO_2 non $X = Ni, Co, Fe$ eta Mn izanik, Ir(100) sustratuan hazita. **3. atalean**, isolatutako kateen propietate magnetikoak kalkulatuko ditugu. Atomoen arteko distantzia eta

Hubbard- U parameteroa aldatzen ditugunean hainbat spin egoera lortu ditzakegu atomo magnetikoetan. Zenbat eta U parametro handiagoa izan, orduan eta spin balio handiagoa lortzen ditugu. Katearen gela unitatea bikoiztuz, eta egoera antiferromagnetiko (AFM)-pin antiparaleloak- edo ferromagnetikoa (FM)-spin paraleloak-ezarriz, truke elkarrekintza kalkulatzen dugu. Kate guztiak AFM egoera lehenesten dute, MnO_2 -k izan ezik, FM egoera nahiago izanda. Spin egitura baikotzerako egoera dentsitateak kalkuluek MnO_2 kasuan FM egoera erdi-eroalea da erakusten dute. AFM egoera eroalea izanik. Beste kateetan aldiz AFM egoera isolatzailea da. Beraz, spin egituraren lehenespena materialen metaltasunarekin zerikusia du. Azkenik, anisotropia magnetikoa kalkulatu dugu indar teorema eta kalkulu autokonsistenteak erabiliz. Bi metodoek ardatz lehun (energia gutxieneko norabidea) berbera ematen dute, NiO_2 eta CoO_2 kateentzat katearen planoan baina bere norabidearekiko perpendikularra, eta beste bi kasuetan, FeO_2 eta MnO_2 , katearen planoarekiko perpendikularra. Baina NiO_2 kasuan balioak oso desberdinak dira, balio autokonsistente indar teoremarena baino hiru bidar handiagoa izanik. Bi metodoak aplikatu eta geroko egitura elektronikoa kalkulatu dugu aldaketa horren arrazoa lortzeko. Egitura elektronikoa argi uzten du indar teorema ez duela ondo deskribatzen SOE efektua Fermi maila inguruan. Honen arrazoa, gure materialaren dimentsio baxua izan ahal da. Simetriak gutxitzen direnez, elektroien uhin funtzioak ez daude mugatuta, beraz SOE ezartzean bilakaera handiagoa eman ahal da, eta indar teorema ez da gai deskribatzeko. Azkenik, anisotropia magnetikoaren energiaren dentsitatea kalkulatu dugu, hau da, autoenergia bakoitzak anisotropia magnetikoaren energian duen ekarpena. Honekin, kateen artean ardatz lehunaren aldaketaren arrazoa bilatu ahal dugu, SOIaren ondorioz emandako banda banaketa garrantzitsuenak bilatuz eta banden orbitalen proiektzioa erabiliz.

4. atalean, X atomoetako $3d$ orbitalean ematen diren Coulomb elkarrekintzak azterkuko ditugu. Mugatutako ausazko fase hurbilketa erabiliz, U -ren zein J -ren balioak lortu ditzakegu. Lehendabizi, isolatutako katearen interakzioa kalkulatu dugu. Kate guztientzat $J \sim 1$ eV lortzen dugu. FeO_2 kate isolatzailean lortzen dugu balio handiena $U \sim 7.7$ eV, gainerakoak erdi-eroaleak izanik $U \sim 6$ eV balioa lortzen dugu. NiO_2 kateen bi egoera desberdin lortzen ditugu, C1 eta C2 egoerak, DFT kalkuletan ezartzen dugun U balioaren arabera. Bi egoera hauek, bi U balio desberdin ematen dituzte mugatutako ausazko fase hurbilketa kalkuluetan, batek $U^{\text{C1}} \sim 6$ eV eta besteak $U^{\text{C2}} \sim 2.4$ eV. Korrelazio espazioa aldatuz $O(p)$ orbitala interakzioaren apantaimenduan ekarpen handiena duen orbitala dela ezartzen dugu. Gainera, kalkulu

hauekin Ni(d)-O(p) loturaren arteko interakzioa C1 eta C2 egoeretako aldatu egiten dela ezartzen dugu, ondorioz, apantailamendu efektuak aldatuz. Sustratua gehi kate sisteman U ren balioa are gehiago txikitzen da balioak $U \lesssim 2$ eV izan arte kate guztietan, MnO₂a izan ezik non $U \sim 3.8$ eV den. J ren balioak ez du aldaketa nabaririk sustratuta ezartzean. Sustratua ezartzean, FeO₂ kateak du aldaketa handiena $U \sim 1.4$ eV izatera bihurtzen da, aldaketa bortitz hau isolatzailetik metaliko izatera pasatzearen ondorioa deritzogu. Horretaz aparte, sustratuak karga katera transferitzeko gai da orbitalen egoerak aldatuz eta ondorioz spin egoera spin egoera aldatzen da, adib., FeO₂ katean $S = 2$ -tik $S = 3/2$ -ra. Honek $X(d)$ orbitalaren eta O(p) arteko interakzioa aldatzen du, kalkuluek baieztatzen dute apantailamenturako beste efektu bat izan ahal dela. Gainera, bi efektu hauek ezin dira bi termino desberdinetan banatu, beraz ezin dezakegu bakoitzaren ekarpena kalkulatu.

5. atalean, trantsizio metal-molekula organiko kate polimerikoetan zentratuko gara. Kate hauetan Co eta Cr atomoak 2,5-diamino-1,4-benzoquinonediimina (QDI) molekularen bidez lotzen dira. Hasieran, U -ren balio desberdinetarako geometria erlaxatzen dugu. $4 \leq U \leq 5$ arteko kalkuluek, kate hauetan Co atomoak bi spin egoera desberdin izan ahal duela frogatzen dute, $S = 1/2$ eta $S = 3/2$, bi egoeretan atomoen distantzia desberdina izanik. Gainera, $U = 4$ eV kasuan, oinarrizko egoera $S = 1/2$ den bitartean $U = 5$ ezartzean $S = 3/2$ egoera pasatzen da oinarrizko egoera izatera. Aldiz, CrQDI katean soilik $S = 2$ egoera lortzen dugu Cr atomorako. Metaegoeren azterketa bat burutzen dugu orbitalen okupazio kontrolaren metodoa erabiliz. Co atomoarentzat metaegoera bat lortzen du $S = 3/2$ -rekin, oinarrizko egoeratik 72 meV-ra. Co $S = 1/2$ eta Cr atomoan lortutako metaegoerak oinarrizko egoeratik energikoki oso urrun daude, beraz ez ditugu kontutan hartzen. Anisotropia magnetikoaren energia kalkuluek, CoQDI ardatz lehuna katearen planoan baina berekiko perpendikularra ezartzen dute $S = 3/2$ egoeretan, eta kateraren norabiden $S = 1/2$ egoerarentzat. CrQDI katean ardatz erraza katearen planoaren normalaren norabidean dago. Truke elkarrekintzaren kalkuluek, CoQDI kateko $S = 3/2$ egoerek AFM egitura lehenesten dutela frogatzen dute, aldiz $S = 1/2$ -ko egoerak FM egitura, CrQDI kateak AFM egitura erakusten du. Emaitza hauek Pavel Jelineken taldeak XMCD eta XLD esperimenteretan neurtutako emaitzekin bat egiten dute. Soilik CrQDI truke elkarrekintzan neurtutako seinaleak AFM egitura ahula neurtzen du eta gure kasuan AFM egitura egonkorra lortzen dugu. Truke elkarrekintzaren desberdintasuna azaltzeko asmoz katean zentzu fisikoa duten aldaketak egiten saiatu gara, adib.: U ren balioa aldatu, spinen egitura kolinealak ez diren egiturak ezarri, katearen geometrian distortzioak

eragin etab. Hala ere, aldaketa hauek ez dute truke elkarrekintzan ia eraginik, soilik U ren aldaketek txikitzen du truke elkarrekintza, baina ez esperimientua azaltzeko bezain beste.

Azkenik, **6. atalean**, Tesi honetan burutu dugun ikerkuntzaren ondorio nagusiak aurkezten ditugu.

Chapter 1

Introduction

Pretentious quotations are the
surest road to tedium

H.G. and F.G. Fowler

The main purpose of this Thesis is to perform a theoretical analysis of the magnetism and electron correlation on different spin chain system¹ systems. Though simple in their structure, they show intriguing magnetic properties due to their low dimensionality. Synthesizing one-dimensional systems present a great challenge to realize experimentally, and to do any measurement is a great task. Therefore, theoretical calculations are essential to predict the magnetism in these systems. Our work's first aim is to give insights into the interplay between chains and the substrate where the chain is grown. Studying two different systems, one considering the whole chain and substrate system and the other with isolated chains. Depending on the interaction between substrate and chain, the magnetic atom electron occupancy can be entirely modified and interaction between the electrons affected, thus, modifying the magnetic properties of the system. Our second goal is to analyze the consequences when the theoretical analysis is capable to converge to excited states apart from the minimum energetic ground state. We will study the change in the magnetic properties when the

¹We refer as spin chains to chains where spin-spin interactions between magnetic atoms take place [1]

different states are set in the magnetic atoms.

The discovery of magnetic materials and their utility has been a key element in the development of humanity. For instance, without the magnetic compass pointing to the North pole² navigation would have been inconceivable. From the late 20th century, magnetic materials have become a part of our daily life, from the most common use as magnets sticking to the fridge to data storage devices in computers. These advances have been only possible after deeply understanding the origin of magnetism. Historically speaking, the first clear reference to magnetism was given by Thales of Miletus around the 6th century BC with lodestones, a magnetic mineral of Fe_3O_4 . The understanding of magnetism took a huge step forward in the 19th century with the experiments of Oersted and Faraday which linked electric currents and the magnetic field. Later generalized by Maxwell's equations, giving rise to the joint theory of electromagnetism. These equations could describe the magnetic and electric fields, but the description of the source of magnetism in materials was still lacking. In the 20th century, the advent of Quantum Mechanics and a better understanding of the structure of atom brought a great revolution in the research of magnetic materials. The Stern-Gerlach experiment showed that a neutral Ag atoms beam under a nonuniform magnetic field separated into two spots, becoming the first experimental signature of the electron's spin [3]. Uhlenbeck and Goudsmit were the first to publish the hypothesis of the "spinning" electron³ [4]. In their hypothesis, they proposed a magnetic moment proportional to the angular momenta \mathbf{S} Pauli already proposed that another quantum number should be needed to understand the electronic structure, hence, he further developed the idea of the electrons spin, setting that \mathbf{S} , the spin operator is an orbital moment associated with the quantum number m_s . As the orbital momenta \mathbf{L} , \mathbf{S} can be associated with a vector $\mathbf{S} = (S_x, S_y, S_z)$, its component values given by the three Pauli matrices. In 1925, Pauli proposed its well known exclusion principle for the electrons, stating that particles with $S = 1/2$, can not be in the same state, i.e. have equal quantum numbers⁴. The formal derivation of the half-integer spin into theory was obtained by P. Dirac with the inclusion of relativity in Schrödinger's equa-

²In fact, for the last 780.000 years, it is the magnetic South pole [2] due to the inversion of the magnetic field of the Earth.

³Note, that even if we mentioned "spinning" electron this is no true as in our theory we treat the electron as a point like.

⁴The generalized exclusion principle for the fermions, i.e., particles with half-integer spin was stated in 1940.

tion resulting in the so-called Dirac's equation [5, 6]. The spins appears automatically in Dirac's equation, setting the spin as a quantum property of particles, without any equivalent characteristic in classical physics. Considering all these theory, the total magnetic moment has two contributions of the different angular momenta: orbital (μ^L) and spin (μ^S), the latter being twice the first one. The spin magnetic moment of the atoms originates from the unpaired electron spins that results in a total net spin different from zero. These implies that all atoms that have are unpaired orbitals should show a hint of magnetism.

In contrast to the atomic model, where almost all atoms show a magnetic moment, band theory predicts that only a few materials are magnetic in bulk. In general, magnetism appears in aterials that contain transition metal atoms and rare-earth elements [7, 8, 9]. Magnetism in solids originates from the competition between the motion, i.e., the kinetic energy, and the exchange interaction between electrons resulting from the Coulomb interaction. Coulomb interaction favors the electron localization and thus the magnetic moment, while kinetic energy favors the itinerancy of electrons. $3d$ transition metals are a good example of the interplay of these two effects, as the d electrons are strongly localized within the magnetic atoms but still can form dispersive bands [10]. In magnetic materials, the atomic spin magnetic moment can be aligned different ways (see Fig. 1.1), such as, parallel (ferromagnetic)[11] and antiparallel (antiferromagnetic) [12], ferrimagnetic or forming complex non-collinear structures [6]. These spin orderings are possible by the exchange interaction proposed by Heisenberg: $\mathbf{S}_i \cdot \mathbf{S}_j$, where \mathbf{S}_i is the spin vector at atom i . The exchange interaction counteracts thermal disorder effects. There is a critical temperature where all spin order vanishes, e.g., Curie temperature for ferromagnets and Neel temperature for antiferromagnetic materials. Above these temperatures the magnetic material are randomly orientated, resulting in a zero net magnetic moment, these materials are paragnagnetic. The stability of the magnetic moment is also related to the magnetocrystalline anisotropy, i.e. the preference of the spin to be aligned to a specific crystallographic⁵ direction, due the spin-orbit coupling (SOC). The higher the magnetocrystalline anisotropy the harder will be to change the spin oriantation, e.g. using external magnetic fields.

A well-known use of magnets is as data storage where data is stored in magnetic domains, i.e., regions in magnetic materials where the atoms have a common mag-

⁵The preferred direction is known as easy-axis

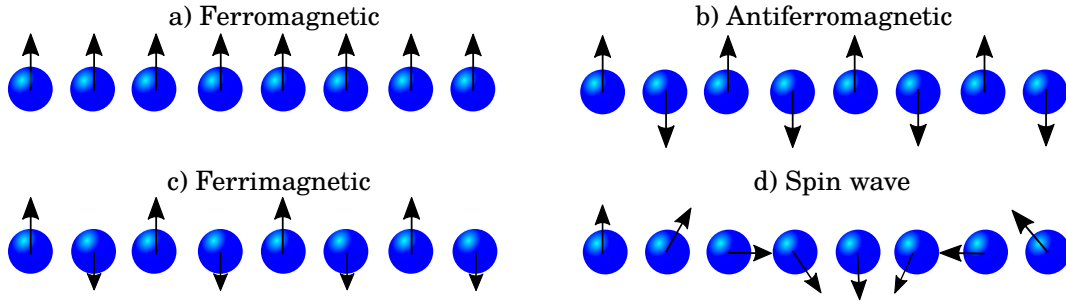


Figure 1.1: Examples of spin orders in a chain. (a) Ferromagnetic, (b) antiferromagnetic, and (c) ferrimagnetic orders are collinear, while the (d) spin wave is a non-collinear order.

netization direction, using as support, for example, magnetic tapes and hard disk drives [13]. These devices are made of thin films of ferromagnetic materials, such as Co-based alloys, deposited on a non-magnetic substrate, e.g., aluminum, glass or ceramic. The different magnetization alignments in the domains set the 0 or 1 bit encoding in the read-write processes. The amount of information that can be stored depends on the magnetic domain density. Nowadays, hard disk drives can reach a memory density of 10^{16} bit/ m^2 , where each bit spatial extent is roughly 100 nm^2 [14]. With the rapid progress of information technology, the data that needs to be stored in these devices has grown exponentially in the last years [15]. Magnetic domains need to be reduced to allow larger data storage. The size of the domains can be controlled by manipulating the walls that separate each other. The wall length is given by the competition between the exchange coupling and magnetic anisotropy [16], where the exchange favors larger walls and anisotropy shorter ones. As the size of the magnetic domains is reduced, thermal effects can drive to random magnetization flips, the so-called superparamagnetic limit, that may lead to the loss of the stored information [17]. Low-dimensional systems can be considered, from two-dimensional systems (2D) up to the 0D limit of the magnet: the atom. Our work is focused in one-dimensional (1D) systems. 1D chains comprise a diverse family of different structures, such as, atomic chains (a linear array of atoms) or complexes where different atomic species bond forming a chain. In this family, we also include "quasi-one-dimensional" nanowires (or nanoribbons), wires with some lateral extension, but still 1D quantum effects determine their properties [18, 19] to 3D structures that effectively can be treated as arrays of stacked 1D chains e.g. perovskites [20]. Specifically, in this Thesis we will work with chains where the transition metal atoms are linked with O atoms(

transition metal-oxide, TMO) chains [21, 22, 23] and with organic molecule ligands, forming metal-organic chains [24, 25, 26, 27, 28].

Along with the reduction of dimensionality, the many-body interactions become more relevant. Due to the lower coordination, Coulomb interaction screening is reduced compared to that of a bulk system, thus, enhancing the spin-spin exchange interactions. Therefore, there exists a possibility of appearing spontaneous magnetism in otherwise non-magnetic materials, for example, *sp* elements such as Al nanowires [29]. In low dimensional systems ($d \leq 2$), the Mermin-Wagner theorem forbids long-range spin ordering at any non-zero temperature [30], unless magnetic anisotropy is present. The lower dimension favors larger spin and orbital moments in consequences enhancing the magnetic anisotropy [9]. The 1D chains can be used for electrical purposes [31], such as logic gates [32], diodes [33] or transistors [34, 35]. But the main attention of one-dimensional chains is their intriguing magnetic properties. Symmetry reduction in chains (e.g. lack of inversion symmetry) and the Heisenberg exchange interaction makes different magnetic collinear or non-collinear order possible. The loss of centrosymmetry combined with SOC allows the appearance of other interactions such as the antisymmetric (Dzyaloshinskii-Moriya) exchange, forming non-collinear chiral spin orderings. This type of interactions allows the existence of exotic magnetic textures, such as, skyrmions in nanowires [36] and spin-orbit torque [37] that make them applicable for state-of-the-art technological devices based on spintronics [38], i.e. devices that consider the spin degree-of-freedom [39, 40, 41]. Low dimensional systems can help reducing the size of devices, however, they have a drawback, the critical temperature is lower than the 3D materials [9].

Synthesizing one-dimensional systems is challenging for experimentalists. Among the used techniques are the controlled self-assembly, e.g., in stepped surfaces [42] [43, 44, 45] and atomic manipulation [46] by STM [47]. The first experimental evidence of magnetic order in atomic chains was reported in 2002 by Gambardella *et al.* [48], who found ferromagnetism in monoatomic Co chains grown along the step-edges of Pt(997) substrate. Experimentally, the geometry can be characterized at the atomic scale by means of low-energy electron diffraction [49] and scanning electron microscopy (STM) [50]. The electronic structure can be studied using scanning electron spectroscopy (STS) [51], inelastic electron tunneling spectroscopy (IETS) [52] and angle-resolved photoemission spectroscopy (ARPES) [53]. Magnetic characterization can be performed by X-ray magnetic circular dichroism (XMCD) and linear

dichroism (XLD) [54, 55] and also using IETS [56] and spin-polarized STS techniques [57, 58, 59]. The advanced of the experimental techniques, such as, the STM allows the characterization of spin of individual atoms, and in some cases the displacement and transfer of specific atoms [46, 1], this allows to a spin-by-spin control of the magnetic chains [60].

Early theoretical studies of spin chains include Heisenberg's work on ferromagnetic chains [11], Bethe's research on antiferromagnetism [61], the study of spin-wave excitations by des Cloizeaux [62, 63] and many others [64, 9]. Later on, the development of *ab initio* calculation methods, such as, density functional theory (DFT) allowed to perform calculations without empirical parameters, but still with an adequate balance between accuracy and computation cost. The spin-polarized DFT allows us to calculate the systems total energy for different spin alignments. This allows to obtain the magnetic ground state configuration and thus, the exchange coupling constant \mathcal{J} between these spin orderings. The magnetic anisotropic energy (MAE) of each system can be obtained by the difference in the total energy for different magnetization orientations in DFT+SOC calculations. MAE is around $\sim 1 - 10$ meV in low dimensional systems [9]. Thus, the total energy convergence needs to be obtained with a large precision. Different approaches have been considered to ease the evaluation of SOC effects in the systems. In our work, we use two different methods: one where the SOC is considered self-consistently and the other is the force theorem [65, 66]. In the latter one, SOC effects are evaluated in a converged spin-polarized electron density without any further relaxation; hence, a computationally less demanding calculation is obtained compared to the former one. In the self-consistent calculation, a more accurate effect of SOC is obtained as the electron density is allowed to relax, though, increasing the computational cost.

DFT is based on a one-electron picture, hence, it can not always describe the properties of strongly correlated materials. In these materials, the electron-electron needs to be considered in the calculation. This problem becomes evident in $3d$ transition metal atoms, where the d shell is strongly localized in low-dimensional systems. This limitation may result in the erroneous prediction of a metallic system instead of insulating [67]. To improve the description of the localized electrons, different corrections have been implemented into DFT, e.g. self-interaction correction and the DFT+ U correction. In our work, we use the latter method where a Hubbard-like term[68] is

included in the Hamiltonian to describe the interaction between the localized electrons. Another limitation when DFT is used to compute the ground-state properties is that we rely on that the converged state is the ground state. If the energy minimization procedure was exact, the resulting state would always be the ground state. However, the numerical procedure is not perfect, it can find configurations with sufficient energetic barrier that the energy minimization can not surpass hindering the true ground state [69, 70].

The structure of the Thesis is as follows:

In **Chapter 2**, we describe the theoretical framework used in our work. We begin with a basic introduction to the basic equations in Solid State Physics. Next, the DFT background is described along with the DFT+ U correction scheme and the occupancy matrix control method used to find metastable configurations. Next, we present the two methods used to evaluate the MAE: the self-consistent method and the force theorem approach. Finally, we describe the constrained random phase approximation (cRPA), a method to calculate the U (intraorbital) and J (interorbital) interaction parameters needed in the DFT+ U calculations, together a brief introduction to maximally localized Wannier functions (MLWF) is given.

In **Chapter 3** and **4**, we present the results for our research on TMO chains, XO_2 where $X = \text{Ni, Co, Fe and Mn}$ [23, 71]. In **Chapter 3**, we show the obtained results for the magnetic properties of free-standing TMO chains. We calculate the ground state dependence on the U , along with the Heisenberg coupling and MAE.

Chapter 4 explores the screened Coulomb interaction in the d shell of the X atom in the TMO chains. Using cRPA, we compute the U and J for the isolated and supported chains on an Ir(100) substrate. We study the variation of U and J with the X atom d -orbital configuration for both cases.

Chapter 5 is devoted to the analysis of the metal-organic chains formed by Co and Cr atoms coordinated with 2,5-diamino-1,4-benzoquinonediimine (QDI) ligands [72]. In particular, we analyze the existence of metastable states in the TM atoms, and their effects in the magnetic features. Our theoretical results on the electronic structure and the magnetic properties help to interpret the obtained experimental measurements of XMCD and XLD made by the group of Prof. Pavel Jelinek from the Institute of Physics in Prague.

Finally, in **Chapter 6**, we present the main conclusions of the investigation performed during the Thesis.

Chapter 2

Theoretical methods

That is brand-new information!

Phoebe Buffay, *Friends*

In Condensed Matter Physics, the framework to study materials at the atomic scale is quantum mechanics. In this chapter, we introduce the theoretical background of the Thesis.

2.1 The Many-Body problem in Condensed Matter Physics

An atomistic model of matter starts by N_i nuclei and N_e electrons that interact via Coulomb's law and obey the time-dependent many-body Schrödinger equation:

$$\hat{H}\Phi(\{\mathbf{r}\}, \{\mathbf{R}\}, t) = i\frac{\partial\Phi(\{\mathbf{r}\}, \{\mathbf{R}\}, t)}{\partial t}, \quad (2.1)$$

where \hat{H} is the Hamiltonian of the system, $\Phi(\{\mathbf{r}\}, \{\mathbf{R}\}, t)$ is the many-body wavefunction, $\{\mathbf{R}\} = (\mathbf{R}_1, \mathbf{R}_1, \dots, \mathbf{R}_N)$ are the spatial coordinates of nuclei and $\{\mathbf{r}\} = (\mathbf{r}_1, \mathbf{r}_1, \dots, \mathbf{r}_N)$ are the electronic spatial coordinates. t is the time. In the case of the stationary problem, we can separate the spatial degrees of freedom from the time:

$$\hat{H}\Psi(\{\mathbf{r}\}, \{\mathbf{R}\}) = E\Psi(\{\mathbf{r}\}, \{\mathbf{R}\}), \quad (2.2)$$

being E the total energy of the stationary system and Ψ the time-independent wave function. The Hamiltonian can be split into the kinetic energy of the ions and electrons and the interaction terms between them. For a system under no external fields, the non-relativistic Hamiltonian in atomic units¹ can be written:

$$\begin{aligned} \hat{H} = \hat{T}_i + \hat{T}_e + \hat{V}_{ii} + \hat{V}_{ie} + \hat{V}_{ee} = & \sum_i^{N_i} \frac{\mathbf{P}_i^2}{2M_i} + \sum_n^{N_e} \frac{\mathbf{p}_n^2}{2} + \frac{1}{2} \sum_{i \neq j}^{N_i} \frac{Z_i Z_j}{|\mathbf{R}_i - \mathbf{R}_j|} \\ & - \sum_i^{N_i} \sum_n^{N_e} \frac{Z_i}{|\mathbf{R}_i - \mathbf{r}_n|} + \frac{1}{2} \sum_{n \neq n'}^{N_e} \frac{1}{|\mathbf{r}_{n'} - \mathbf{r}_n|}, \end{aligned} \quad (2.3)$$

where \hat{T}_i and \hat{T}_e are the kinetic energy operators of the ions and electrons, respectively, and \hat{V}_{ii} , \hat{V}_{ie} and \hat{V}_{ee} the Coulomb interaction terms between the ions, ion-electron and electrons, respectively. The subindices i and j run over the ion nuclei and n and n' over the electrons. \mathbf{P}_i and \mathbf{p}_n are ionic and electronic momentum operators, respectively. M_i is the nuclear mass and Z_i the nucleus charge.

Solving Eq. (2.2) allows us to obtain the exact wavefunction Ψ and, therefore, all information regarding the system. However, we face an equation system with $3(N_i + N_e)$ spatial degrees of freedom and Coulomb interactions make it impossible to separate the many-body problem into a single-particle one. Furthermore, if the goal is to obtain solutions for macroscopic behavior, we deal with an enormous number, $\sim 6 \times 10^{23}$, of atoms. Therefore, an exact solution is unfeasible and approximations are required from the beginning.

The Born-Oppenheimer approximation

In the Born and Oppenheimer approximation, the full many-body wavefunction is split into two different functions [73] as follows:

$$\Psi(\{\mathbf{r}\}, \{\mathbf{R}\}) = \sum_n \chi_n(\{\mathbf{R}\}) \psi_n(\{\mathbf{r}\}; \{\mathbf{R}\}), \quad (2.4)$$

¹ $m_e = e = \hbar = 1$.

where χ_n and ψ_n stand for the set of nuclei and electron wavefunctions, and n runs through the nuclei states. The Born-Oppenheimer approximation is based on the huge difference of masses between the electrons and nuclei (for instance, in the Hydrogen atom the mass ratio between is 1/1836). Hence, in the electron framework, nuclei move slow enough² for the electron wavefunction to adapt instantaneously to their movement. Inserting Eq. (2.4) into Eq. (2.2) we build a Hamiltonian \hat{H}_e that depends only on the electronic degrees of freedom and where the ion spatial coordinates $\{\mathbf{R}\}$ enter as parameters:

$$\hat{H}_e \psi_n(\{\mathbf{r}\}; \{\mathbf{R}\}) = E_n(\{\mathbf{R}\}) \psi_n(\{\mathbf{r}\}; \{\mathbf{R}\}), \quad (2.5)$$

$$\hat{H}_e = \hat{T}_e + \hat{V}_{ie} + \hat{V}_{ee} + E_{II}, \quad (2.6)$$

where the interaction between nuclei E_{II} is a constant. The $\psi_n(\{\mathbf{r}\}; \{\mathbf{R}\})$ and $E_n(\{\mathbf{R}\})$ in Eq. (2.5) are obtained for a given nuclear configuration. Within the Born-Oppenheimer approximation, the system with $3(N_i + N_e)$ degrees of freedom is reduced to $3N_e$ electronic variables.

Hartree-Fock approximation

Despite the Born-Oppenheimer approximation, we still face the complexity of the many-body character of the electronic wavefunction and the electron-electron interaction. One of the proposed approaches to deal with this problem is the Hartree-Fock (HF) method [75]. The HF method is a mean-field theory where the many-body wavefunction is approximated to an independent electron problem. In order to construct the approximated wavefunction³ we use the Slater determinant[76]:

$$\psi(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_{N_e}) = \frac{1}{\sqrt{N_e!}} \begin{vmatrix} \phi_1(\mathbf{r}_1) & \phi_1(\mathbf{r}_2) & \cdots & \phi_1(\mathbf{r}_{N_e}) \\ \phi_2(\mathbf{r}_1) & \phi_2(\mathbf{r}_2) & \cdots & \phi_2(\mathbf{r}_{N_e}) \\ \vdots & \vdots & \ddots & \vdots \\ \phi_{N_e}(\mathbf{r}_1) & \phi_{N_e}(\mathbf{r}_2) & \cdots & \phi_{N_e}(\mathbf{r}_{N_e}) \end{vmatrix}, \quad (2.7)$$

where $\phi_\nu(\mathbf{r}-)$ are the single-particle wavefunctions. The Slater determinant builds an antisymmetric wavefunction suitable for fermionic systems that fulfills the Pauli

²Sommerfeld's theory of conduction predicts $\sim 10 \text{ \AA/fs}$ for electrons and classical harmonic theory predicts $\sim 10^{-2} \text{ \AA/fs}$ for ions [74].

³For simplicity sake, we remove the implicit dependence on the nuclei positions $\{\mathbf{R}\}$.

exclusion principle. The expectation value of the Hamiltonian Eq. (2.6) using the wavefunction of Eq. (2.7) is

$$\begin{aligned} \langle \hat{H}_e \rangle &= \sum_n \int d\mathbf{r} \phi_n^*(\mathbf{r}) \left[-\frac{1}{2} \nabla^2 + V_{\text{ext}} \right] \phi_n(\mathbf{r}) \\ &+ \frac{1}{2} \sum_{nn'} \int d\mathbf{r} d\mathbf{r}' \frac{|\phi_n(\mathbf{r})|^2 |\phi_{n'}(\mathbf{r}')|^2}{|\mathbf{r} - \mathbf{r}'|} \\ &- \frac{1}{2} \sum_{nn'} \int d\mathbf{r} d\mathbf{r}' \phi_n^*(\mathbf{r}) \phi_{n'}^*(\mathbf{r}') \frac{1}{|\mathbf{r} - \mathbf{r}'|} \phi_{n'}(\mathbf{r}) \phi_n(\mathbf{r}') . \end{aligned} \quad (2.8)$$

The first term contains the kinetic energy of each particle and the external potential acting on the electrons. The second and third terms are two-body Coulomb interactions, direct and exchange terms between two electrons, the latter one arising because of the Pauli exclusion principle.

In the HF method, we use the variational principle to find the approximated ground state energy of the system. Using Lagrange multipliers, the energy is minimized while maintaining the constraint of orthogonality between one-electron wavefunctions:

$$F[\phi_n] = \langle \hat{H}_e \rangle - \sum_n \epsilon_n \left[\int d\mathbf{r} |\phi_n(\mathbf{r})|^2 - 1 \right] \quad (2.9)$$

where F is the functional to be minimized, the first term is given by Eq. (2.8) and the second term is the set of orthogonality constraints, where ϵ_n are the Lagrange multipliers. But, even if the electrons were uncorrelated, we still face a set of non-linear equations with $3N_e$ variables, which makes the problem too computationally demanding.

2.2 Density Functional Theory

In Density Functional Theory (DFT), the center of interest is the electron density instead of the wavefunction. Hohenberg and Kohn stated the two principal theorems that established DFT foundations [77]:

Theorem 2.1 *The external potential $V_{\text{ext}}(\mathbf{r})$ is determined by a unique functional, aside from a constant, of the ground state electron density $n_0(\mathbf{r})$.*

Theorem 2.2 *There exists a functional of the total energy dependent on the electron density, $E[n]$, for any external potential. The exact ground state density gives the global minimum of the energy functional which is the ground state energy.*

These two theorems set the relationship between the energy and the density. However, the kinetic energy can not be directly rewritten in terms of the density and the wavefunctions within a many-body problem are still intractable.

Kohn and Sham proposed an approach that, instead of studying an interacting many-body problem, replaced it with a non-interacting one. Still, the non-interacting picture upholds the same exact ground state density of the many-body system [78]. All the information related to the many-body character of the particles is incorporated in an exchange-correlation functional term. Within the Kohn-Sham (KS) ansatz the electron density is obtained from non-interacting single-particle wavefunctions, $\psi_i^{KS}(\mathbf{r})$:

$$\rho(\mathbf{r}) = \sum_i^{N_e} |\psi_i^{KS}(\mathbf{r})|^2 . \quad (2.10)$$

The electronic energy functional can be decomposed as:

$$E^{KS}[\rho] = T^{KS}[\rho] + E_{\text{ext}}[\rho] + E_H[\rho] + E_{\text{xc}}[\rho] , \quad (2.11)$$

where the kinetic energy expressed in terms of the KS orbitals is:

$$T^{KS}[\rho] = -\frac{1}{2} \sum_i^{N_e} \int [\psi_i^{KS}(\mathbf{r})]^* \nabla^2 \psi_i^{KS}(\mathbf{r}) ; . \quad (2.12)$$

In the kinetic functional, the dependence on the density is implicit, it comes from the KS wavefunctions. Note that the $T^{KS}[n]$ does not account for the correlation component of the kinetic energy as we use non-interacting KS orbitals to build the functional.

The energy due to the external potential can be expressed as:

$$E_{\text{ext}}[\rho] = \int d\mathbf{r} \rho(\mathbf{r}) V_{\text{ext}} , \quad (2.13)$$

and the Hartree energy, which corresponds to the electron-electron interaction is:

$$E_H[\rho] = \frac{1}{2} \int d\mathbf{r} d\mathbf{r}' \frac{\rho(\mathbf{r}')\rho(\mathbf{r})}{|\mathbf{r} - \mathbf{r}'|} . \quad (2.14)$$

The information regarding the many-body features is in the exchange-correlation energy. In the KS approach, the exchange-correlation energy can be approximated by a local functional of the density as:

$$E_{xc}[\rho] = \int d\mathbf{r} \rho(\mathbf{r}) \epsilon_{xc}([\rho], \mathbf{r}), \quad (2.15)$$

where $\epsilon_{xc}([\rho], \mathbf{r})$ is the exchange-correlation energy per electron. The solutions of the total energy functional are obtained by minimizing the functional 2.11 with the Lagrange multipliers method:

$$\delta \left[E^{KS} - \mu \left(\int d\mathbf{r} \rho(\mathbf{r}) - N \right) \right] = 0 \quad (2.16)$$

where the constraint is set to be a fixed number N , of electrons with the chemical potential μ acting as the multiplier.

In the KS picture the Hamiltonian is separable into single-particle KS orbitals as follows:

$$\left[-\frac{1}{2} \nabla^2 + V^{KS}(\mathbf{r}) \right] \psi_i^{KS}(\mathbf{r}) = \epsilon_i \psi_i^{KS}(\mathbf{r}), \quad (2.17)$$

where V^{KS} is the effective potential of the system:

$$V^{KS} = V_{\text{ext}} + \int d\mathbf{r}' \frac{\rho(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} + \frac{\delta E_{xc}}{\delta \rho(\mathbf{r})}. \quad (2.18)$$

Eq. (2.10) and Eq. (2.17) constitute the KS equations. The KS equations are solved iteratively following the procedure shown in Fig. 2.1. From an initial guess of the density, $\rho(\mathbf{r})$, we get the potential of Eq. (2.18). Introducing the obtained V^{KS} potential into the Kohn-Sham eigenvalue problem, Eq. (2.17), we obtain a set of KS orbitals. We build a new density from the latter and repeat the process until we reach a certain convergence threshold.

If the exact form of the exchange-correlation functional ϵ_{xc} were known, we would be able to attain an exact description of the electrical properties of the systems. Instead, ϵ_{xc} is obtained by means of approximations. In the following section, we present the ones used in our calculations.

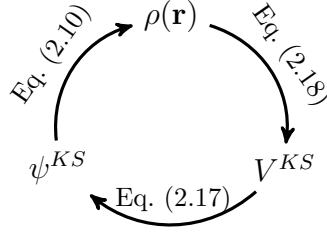


Figure 2.1: Simplified scheme of the self-consistent cycle to solve the Kohn-Sham equations.

Exchange and correlation functional

Kohn and Sham proposed one of the most successful approaches: the local density approximation (LDA) [78]. In LDA, the exchange-correlation energy is considered a local function of the density in the limit of the uniform electron gas (UEG).

$$E_{xc}^{\text{LDA}} = \int d\mathbf{r} \rho(\mathbf{r}) \epsilon_{xc}^{\text{UEG}}(\rho(\mathbf{r})). \quad (2.19)$$

In LDA the functional ϵ^{UEG} can be separated into the exchange and correlation terms [79]:

$$\epsilon_{xc}^{\text{UEG}} = \epsilon_x^{\text{UEG}} + \epsilon_c^{\text{UEG}} \quad (2.20)$$

where the exchange term ϵ_x^{UEG} is known for a UEG system, whereas no analytic form is known for the correlation energy ϵ_c^{UEG} . Numerical methods, such as the Monte Carlo method, are used to obtain approximated values of the correlation energy. LDA is a fine approximation unless the system presents high inhomogeneities. Well-known systematic inaccuracies are present in the LDA approximation, the most remarkable one is the overestimation of the binding energies and, in consequence, the underestimation of the bond-lengths [80].

The next step to improve the LDA is the construction of a semi-local approximation. In the generalized gradient approximation (GGA) a gradient of the density is included to take into account the spatial variations of the density.

$$E_{xc}^{\text{GGA}} = \int d\mathbf{r} \rho(\mathbf{r}) \epsilon[\rho(\mathbf{r}), |\nabla\rho(\mathbf{r})|]. \quad (2.21)$$

In the GGA functional, E_{xc} has the general form:

$$E_{xc}^{\text{GGA}} = \int d\mathbf{r} \rho(\mathbf{r}) \epsilon^{\text{UEG}}[n(\mathbf{r})] F_{xc}(\rho(\mathbf{r}), |\nabla\rho(\mathbf{r})|), \quad (2.22)$$

where $F_{xc}(\rho(\mathbf{r}), |\nabla\rho(\mathbf{r})|)$ is the so-called enhancement function, which holds the information about the non-locality of the density. In our calculations, we have used the parametrization given by Perdew, Burke and Ernzerhof (PBE) [81].

Another way to improve the exchange-correlation functional is to combine the Hartree-Fock (HF) exchange and the LDA or GGA exchange-correlation functionals. The hybrid functionals consider a mixing of both [82]:

$$E_{xc}^{\text{Hybrid}} = (1 - a)E_{xc}^{\text{HF}} + aE_{xc}^{\text{LDA/GGA}}, \quad (2.23)$$

where the parameter a is a mixing factor $0 < a < 1$. In our calculations, we use the HSE06[83] formulation. Both functionals set $a = 3/4$. The HSE06 functional divides the exchange term into short and long range part, where only the short-range term is mixed with the HF.

Spin in DFT

Hohenberg and Kohn developed DFT theory for spinless systems and von Barth and Hedin extended it to include spin-polarized systems [84]. Spin-polarized DFT uses spinor wavefunctions to build a density matrix. The density matrix, $\hat{r}\hat{h}o$, can be separated into a scalar density ρ and vectorial \mathbf{m} density:

$$\hat{\rho}(\mathbf{r}) = \psi^{\alpha*} \mathbf{1} \psi^{\beta} + \psi^{\alpha*} \boldsymbol{\sigma}^{\alpha\beta} \psi^{\beta} = \frac{1}{2} \begin{pmatrix} \rho(\mathbf{r}) + m_z(\mathbf{r}) & m_x(\mathbf{r}) - im_y(\mathbf{r}) \\ m_x(\mathbf{r}) + im_y(\mathbf{r}) & \rho(\mathbf{r}) - m_z(\mathbf{r}) \end{pmatrix} \quad (2.24)$$

where ψ^{α} is the wavefunction with spin $\alpha, \beta = \uparrow, \downarrow$, $\mathbf{1}$ is the 2×2 unitary matrix and $\boldsymbol{\sigma} = (\sigma_x, \sigma_y, \sigma_z)$ are the Pauli matrices. The density matrix elements are given by: $\rho_{\alpha\beta} = \psi^{\alpha*} \psi^{\beta}$. In the case of no external magnetic field coupling to the spin the resulting Schrödinger-like equation is:

$$\left[\left(-\frac{1}{2} \nabla^2 + \sum_{\alpha} \int d\mathbf{r}' \frac{\rho^{\alpha\alpha}(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} \right) \mathbf{1} + V_{\text{ext}}^{\alpha\beta}(\mathbf{r}) + \frac{\delta E_{xc}[\rho^{\alpha\beta}(\mathbf{r})]}{\delta \rho^{\alpha\beta}(\mathbf{r})} \right] \begin{pmatrix} \psi^{\uparrow} \\ \psi^{\downarrow} \end{pmatrix} = \epsilon_i \begin{pmatrix} \psi^{\uparrow} \\ \psi^{\downarrow} \end{pmatrix} \quad (2.25)$$

Analogously to the density, the exchange-correlation functional is spin dependent. Eq. (2.25) is the general case that describes noncollinear spin textures. Considering that all atoms align their spins in the z -axis direction, such as in the collinear case, e.g. antiferromagnetic, ferromagnetic or ferrimagnetic, the potential matrix becomes diagonal, resulting in two decoupled equations [85]:

$$\left[-\frac{1}{2}\nabla^2 + \int d\mathbf{r}' \frac{\rho^{\uparrow\uparrow}(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} + V_{\text{ext}}^{\uparrow\uparrow} + v_{xc}^{\uparrow\uparrow} \right] \psi^\uparrow = \epsilon_i^\uparrow \psi^\uparrow \quad (2.26)$$

$$\left[-\frac{1}{2}\nabla^2 + \int d\mathbf{r}' \frac{\rho^{\downarrow\downarrow}(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} + V_{\text{ext}}^{\downarrow\downarrow} + v_{xc}^{\downarrow\downarrow} \right] \psi^\downarrow = \epsilon_i^\downarrow \psi^\downarrow \quad (2.27)$$

where $v_{xc}^{\uparrow\uparrow, \downarrow\downarrow} = \frac{\delta E[\rho^{\uparrow\uparrow, \downarrow\downarrow}]}{\delta \rho^{\uparrow\uparrow, \downarrow\downarrow}}$.

DFT in strongly correlated systems: DFT+ U method

LDA and GGA functionals consider an orbital-independent potential. Both functionals have been successful to obtain materials properties, but they can fail when strong electron interactions are present at the systems. The latter systems are usually compounds with transition metal or rare-earth atoms with partially filled d or f orbitals [86]. If the strong correlations are not taken into account, LDA- and GGA-based calculations can miss their localized character, resulting sometimes in an itinerant electron behavior and a metallic state instead of an insulating one [67]. This latter problem is evident in Mott insulators[87], where non-interacting band theory predicts a metallic state, but experiments show an insulating behavior, e.g. V_2O_3 , CoO ...[88]. Several features depend strongly on the value of the interaction between the electrons, such as, magnetic moment, magnetic exchange coupling etc. [89, 90, 10].

In order to obtain the correct ground-state properties in strongly correlated systems, we need to take into account the Coulomb intratomic interactions between the localized states. A way to do so is to combine DFT and the Hubbard Hamiltonian, which constitutes the so-called DFT+ U scheme. The Hamiltonian of the system is separated into two subsets: one where the orbital-independent one-electron potential is maintained and another one where we include a Hubbard-like term [68]. With the

latter term we aim to describe the screened Coulomb interaction⁴ [91, 92] between electrons in the correlated orbitals (d orbital in this work). The DFT+ U energy functional[93] is defined as follows:

$$E^{\text{DFT}+U}[\rho^\sigma, n_l^\sigma] = E^{\text{DFT}}[\rho^\sigma] + E^{ee}[n_l^\sigma] - E^{\text{dc}}[n_l^\sigma], \quad (2.28)$$

where $E^{\text{DFT}}[\rho^\sigma]$ is the functional with the LDA or GGA exchange-correlation. Considering collinear spins, ρ^σ is the spin density with spin $\sigma = \uparrow, \downarrow$. The second term is the multiorbital Hubbard-like functional dependent on the orbital occupation matrix n_l^σ , where l is the orbital shell number, and the last term is the double counting (DC) term. In Eq. (2.28) the DC term is introduced to eliminate the electron-electron interaction of the localized states that is already taken into account in E^{DFT} . We will give details about the two different forms of the Hubbard term that have been used in the manuscript. The first one is proposed in Ref. [94]⁵:

$$E^{ee}[n] = \frac{1}{2} \sum_{\substack{\sigma\sigma' \\ m_1, m_2 \\ m_3, m_4}} \hat{n}_{m_1 m_2}^\sigma (\langle m_1 m_3 | V_{ee} | m_2 m_4 \rangle - \langle m_1 m_3 | V_{ee} | m_4 m_2 \rangle \delta_{\sigma\sigma'}) \hat{n}_{m_3 m_4}^{\sigma'} \quad (2.29)$$

where $\hat{n}_{m_1 m_2}^\sigma$ are the matrix elements of the occupation matrix, m_i are the orbitals of the shell l , running for $m_i = -l, \dots, l$, and V^{ee} is the screened Coulomb interaction. Different flavours to account for DC term exist, such as the around mean-field approximation [91] (AMF) and the fully localized limit [93] (FLL). Results may be subject to the chosen DC term. In the FLL, the states that are more than half-occupied are lowered in energy while in the AMF case the states with an occupation higher than the average are lowered in energy[95, 96]. In our calculations, we use the DFT+ U within the fully localized limit DC term [97]:

$$E^{\text{dc}}[n] = \frac{U}{2} N(N-1) - \frac{J}{2} \sum_{\sigma} N^{\sigma} (N^{\sigma} - 1), \quad (2.30)$$

where $N^{\sigma} = \text{Tr}(\hat{n}^{\sigma})$ is the trace of the \hat{n}^{σ} matrix, and $N = N^{\uparrow} + N^{\downarrow}$. The U and J parameters are the screened electron interaction and the exchange parameters, obtained from the screened Coulomb interaction as follows:

⁴From now on, when we write *screening*, we refer to the screening of the localized states, e.g. d and f orbitals. In case we refer to the screening of the full system, W , we will write *fully screened*.

⁵We adopt Dirac's notation to account for the Coulomb matrix elements.

$$U = \frac{1}{2l+1} \sum_{m_1 m_3} \langle m_1, m_3 | V^{ee} | m_1, m_3 \rangle \quad (2.31)$$

$$J = U - \frac{1}{2l(2l+1)} \sum_{m_1 m_3} (\langle m_1, m_3 | V^{ee} | m_1, m_3 \rangle - \langle m_1, m_3 | V^{ee} | m_3, m_1 \rangle) . \quad (2.32)$$

The second one is a simplified version of Eq. (2.29), derived by Dudarev *et al.* [98] considering the Hamiltonian given in [92]:

$$E^{ee}[n] = \frac{U}{2} \sum_{mm'\sigma} n_m^\sigma n_{m'}^{-\sigma} + \frac{U-J}{2} \sum_{m \neq m'\sigma} n_m^\sigma n_{m'}^\sigma . \quad (2.33)$$

where n_m is the occupation number of the m orbital, i.e. $n_m = \hat{n}_{mm}$.

In order to take into account the double counting term, we evaluate the previous equation in the limit of integer values of the occupation matrix and subtract it from the DFT energy. The resulting DFT+ U functional in Dudarev's approach is expressed as:

$$E_{\text{Dudarev}}^{\text{DFT}+U}[\rho^\sigma, n] = E^{\text{DFT}}[\rho^\sigma] + \frac{U-J}{2} \sum_{\sigma} \left(\sum_{m_1} \hat{n}_{m_1 m_1}^\sigma - \sum_{m_1 m_2} \hat{n}_{m_1 m_2}^\sigma \hat{n}_{m_2 m_1}^\sigma \right) . \quad (2.34)$$

where, the second term, proportional to $U - J$, acts as a penalty function on the DFT energy, driving the system towards an integer on-site occupancy matrix, $n_m^\sigma m$.

In the DFT+ U , the U correction scheme is only applied to states with the orbital character of the localized orbital and the total energy will depend on U and J . This means that total energies resulting from two calculations that use different U and J values cannot be compared.

Bloch's theorem

Perfect crystals are formed by repeated units with lattice vectors \mathbf{R}_1 , \mathbf{R}_2 and \mathbf{R}_3 . Therefore, the effective potential V_{eff} acting on the electrons has to be \mathbf{R} -periodic.

$$V_{eff}(\mathbf{r} + \mathbf{R}) = V_{eff}(\mathbf{r}) , \quad (2.35)$$

Bloch's theorem [99] states that the eigenfunctions, ψ , of a Hamiltonian with a periodic potential like, Eq. (2.35), can be written as a product of a plane-wave and a function $u(\mathbf{r})$ with the periodicity of the lattice:

$$\psi_{n\mathbf{k}}(\mathbf{r}) = e^{i\mathbf{k}\cdot\mathbf{r}} u_{n\mathbf{k}}(\mathbf{r}) \quad (2.36)$$

$$u_{n\mathbf{k}}(\mathbf{r}) = u_{n\mathbf{k}}(\mathbf{r} + \mathbf{R}) \quad (2.37)$$

where \mathbf{k} is a wave vector in the 1st Brillouin zone of the reciprocal lattice and n is a band index resulting from different solutions for a given \mathbf{k} . Because of Eq. (2.36), we can expand the wavefunctions using a plane-wave basis:

$$\psi_{n\mathbf{k}}(\mathbf{r}) = \frac{1}{\sqrt{V}} \sum_{\mathbf{G}} c_{n\mathbf{k}}(\mathbf{G}) e^{i(\mathbf{k}+\mathbf{G})\cdot\mathbf{r}} \quad (2.38)$$

where V is the volume of the cell, $c_{n\mathbf{k}}(\mathbf{G})$ the coefficients and \mathbf{G} are reciprocal lattice vectors.

Projector Augmented Wave

In order to solve the KS equations numerically, different methods have been implemented in software codes. In our calculations, we use two different codes: VASP (*Vienna Ab-Initio Software Package*) [100] and FLEUR[101]. Both codes calculate the electronic structure and ground-state properties of the systems. In this section, we will describe briefly the Projector Augmented Wave (PAW) method [102] used in VASP. For a detailed description the reader is referred to ref. [103].

The PAW method generalizes the pseudopotentials and linearized augmented plane-wave techniques. The valence electrons are responsible for most physical and chemical properties and therefore enter into the KS equations and construction of the density. The valence electrons wavefunctions show a rapid oscillatory behavior near the nuclei, making it necessary to use a large number of plane-waves to describe them correctly. To overcome this problem, the potential acting on the core electrons is replaced by a pseudopotential inside a spherical region, where valence electrons are described by smoothed pseudowavefunctions. In the PAW method, the transformation from the pseudowavefunction to the true one-electron wavefunction $\tilde{\psi}_{n\mathbf{k}}$ is done by:

$$\psi_{n\mathbf{k}} = (1 + \mathcal{L}) \tilde{\psi}_{n\mathbf{k}} \quad (2.39)$$

where \mathcal{L} is the linear transformation function acting inside the PAW sphere, which maps the pseudowavefunction $\tilde{\psi}_{n\mathbf{k}}$ to the true wavefunction. Inside this region the constructed pseudowavefunction is a mathematical tool that does not resemble the true all-electron wavefunction. Outside, the wavefunction $\tilde{\psi}_{n\mathbf{k}}$ matches the true all-electron wavefunctions. In VASP, the $\tilde{\psi}_{n\mathbf{k}}$ is expanded in a plane-wave basis.

Full Potential Linearized Augmented Plane Wave

The FLEUR code is an implementation of the full-potential linearized augmented plane wave (FLAPW) method [104]. We give here the basic details of FLAPW. For a complete description we refer to the review of S. Blügel and G. Bihlmayer Ref. [105].

In the LAPW method, the space is divided into non-overlapping muffin-tin (MT) spheres centered at each atom and the interstitial region (IR) between them. The core electrons are localized inside the MT region, while the valence electrons spread over the MT and IR. In the MT region, the wavefunctions are described by the spherical harmonics times a radial function, while in the IR a plane-wave basis is used. The radial function is the solution of the radial Schrödinger equation. To avoid the dependence on the energy E parameter, in LAPW, a linear approximation in E of the radial function is made that depends on an orbital (l) dependent parameter E_l . Therefore, the valence electrons wavefunctions are:

$$\psi_{\mathbf{k}\mathbf{G}}(\mathbf{r}) = \begin{cases} \frac{1}{\sqrt{V}} e^{i(\mathbf{k}+\mathbf{G})\cdot\mathbf{r}}, & \text{if } \mathbf{r} \in \text{IR} \\ \sum_{lm} (a_{\mathbf{k}\mathbf{G}}^{lm} u(r; E_L) + b_{\mathbf{k}\mathbf{G}}^{lm} \dot{u}(r; E_L)) Y_{lm}(\hat{\mathbf{r}}), & \text{if } \mathbf{r} \in \text{MT} \end{cases} \quad (2.40)$$

where $u(r, E_l)$ is the radial function and $\dot{u}(r, E_l)$ the first derivative with respect to the energy evaluated at the energy parameter E_l . $Y_{lm}(\hat{\mathbf{r}})$ is the spherical harmonic for angular momentum quantum number l and magnetic quantum number m . The coefficients $a_{\mathbf{k}\mathbf{G}}^{lm}$ and $b_{\mathbf{k}\mathbf{G}}^{lm}$ are obtained from the matching conditions of u and \dot{u} at the boundary of each MT sphere.

The FLAPW approach is the combination of the potential without any shape approximations i.e. keeping the full potential and the linearized functions of the LAPW basis.

Occupancy Matrix Control

The DFT+ U functionals introduce an explicit orbital occupancy dependence, since partial occupations are penalized in favor of integer ones (see Eq. (2.29) and Eq. (2.34)). The Hubbard correction also introduces the dependence at the DC term, which is also occupation dependent and, moreover, is not uniquely defined, so that results may depend on the chosen formulation. In practice, this makes the KS equations self-consistency biased by the initial orbital occupancy matrix. Different initial matrix \hat{n}^σ guesses may lead to metastable states instead of the true ground state configuration, as schematically shown in Fig. 2.2.

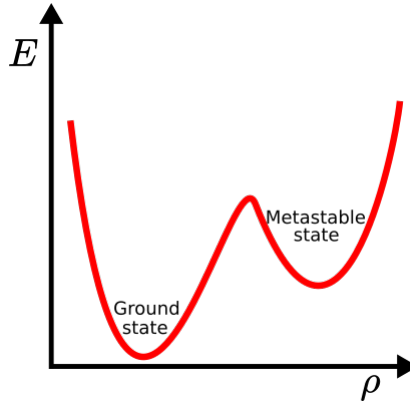


Figure 2.2: Representation of an energy curve vs the density. The local minimum is a metastable state of the system while the global minimum is the true ground state.

To search for energetically accessible metastable configurations, in this work we have used the occupancy matrix control (OMC) method developed by Allen *et al.* [70] and implemented in VASP via Dudarev’s DFT+ U correction. In an initialization run, the occupancy matrix provided by the user is kept fixed while the wavefunctions and charge density are allowed to relax. The resulting total energy of this calculation is meaningless as we have obtained it imposing a constraint. With the resulting charge density and wavefunctions, we run again the calculation without applying OMC. To allow further relaxation of the occupations. States within a low energetic barrier landscape can relax to a more stable configuration, but those configurations located in a sufficient energetic barrier will remain as metastable configurations. From the resulting energies, the lowest one might correspond to the actual ground state.

2.3 Spin-Orbit Coupling

In this section, we will discuss the spin-orbit coupling (SOC) effect in the electrons of solids. Considering a non-relativistic limit of Dirac's equation, the Schrödinger Hamiltonian along with other terms can be obtained. The latter terms are the relativistic corrections to the Schrödinger equation. One of those terms is the SOC. The SOC term is can be expressed as:

$$\boldsymbol{\sigma} \cdot (-\nabla V(r) \times \mathbf{p}) = -\frac{1}{r} \frac{dV(r)}{dr} \boldsymbol{\sigma} \cdot (\mathbf{r} \times \mathbf{p}) = \xi(r) \boldsymbol{\sigma} \cdot \mathbf{L} , \quad (2.41)$$

where $\boldsymbol{\sigma}$ are the Pauli spin matrices, $V(r)$ the potential, \mathbf{L} the orbital moment and $\xi(r) = -\frac{1}{r} \frac{dV(r)}{dr}$. In Eq. (2.41), a spherically symmetric potential SOC has been assumed, as SOC is an atomic property. The function $\xi(r)$ increases for heavy atoms as the Coulomb potential is proportional to Z , nuclear number. Integrating $\xi(r)$ over the radial function for each orbital and rewriting Eq. (2.41) in terms of the spin $\mathbf{S} = \boldsymbol{\sigma}/2$, we obtain the well-known SOC Hamiltonian:

$$H_{\text{SOC}} = \lambda \mathbf{S} \cdot \mathbf{L} , \quad (2.42)$$

where $\lambda = \langle \xi \rangle / 2$ is the radially integrated spin-orbit constant. Note that the constant differs for different orbital shells of the atom. As a consequence of this relativistic term, the are shifts in the atomic energetic states. In solids, the inclusion of SOC can split energy bands with degeneracies if their orbital symmetry allows for it [106, 107].

In DFT, to account for relativistic effects instead of solving Dirac's equation, which would require a 4-component spinor, we consider the Schrödinger equation that includes the relativistic terms. This Hamiltonian is known as the Pauli equation (without an external magnetic field). In this method, the needed spinor is reduced to a 2-component one [85]:

$$H_{\text{Pauli}} = H_{\text{NR}} + H_{\text{SR}} + H_{\text{SOC}} \quad (2.43)$$

where the H_{NR} is the non-relativistic term, as in the Schodinger equation, and H_{SR} are the scalar-relativistic terms which are the relativistic corrections without the spin term⁶.

⁶The mass-velocity and Darwin terms.

In magnetic systems, the SOC is the origin of several effects, such as the anti-symmetric magnetic exchange (the so-called Dzyaloshinskii-Moriya interaction), the anomalous Hall effect and the magnetocrystalline anisotropy. This Thesis focuses on the latter effect. The SOC introduces a spin-orientation dependence in the total energy of the system and, hence, the existence of a preferred magnetization direction with respect to the lattice. This energy difference between directions is the magnetocrystalline anisotropy energy (MAE).

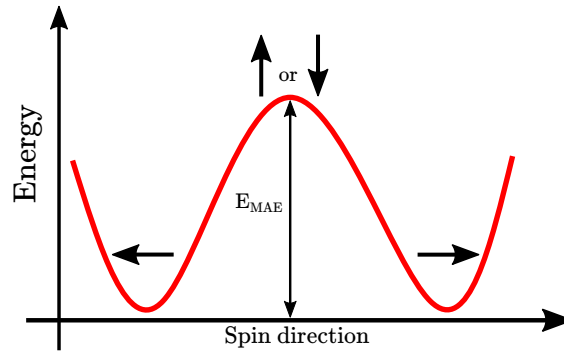


Figure 2.3: Scheme of the total energy dependence on the spin orientation and the MAE.

The MAE is usually small for fcc and hcp bulk systems, around $10 \mu\text{eV}$ or less [9], because the high symmetry reduces it to a λ^4 effect. For other bulk structures [108] and lower-dimensional systems symmetries are reduced and higher values of the MAE are possible (of the order of λ^2). In order to evaluate such low values of the MAE a fine k-point mesh is needed, as well as a precise Fermi level determination.

To calculate the MAE, first, a scalar-relativistic self-consistent ground state is obtained [109]. In the following step, a fully-relativistic self-consistent DFT calculation is carried out, SOC effects. The MAE is obtained by substrating the two different total energies for two different spin orientations, \mathbf{a} , \mathbf{b} as seen in Fig. 2.3,

$$\text{MAE}_{\text{SCF}} = E_{\text{TOT}}^{\mathbf{a}} - E_{\text{TOT}}^{\mathbf{b}} . \quad (2.44)$$

As commented before, calculating the MAE needs a fine treatment of the SOC and a demanding convergence. Different approximations have been used to overcome this, such as those based on second-order perturbation theory [110, 111, 112, 54] and

the force theorem (FT) method [65, 113]. In the following section, we describe the FT technique used in our work.

The non-self-consistent approach of the MAE: the force theorem

In this method, the SOC effect is added non-self-consistently to the already converged scalar-relativistic density. The FT approach can be considered because the SOC term is small compared to the other terms of the KS equation, hence, its effect on the density of the system can be treated as a perturbation. The FT approximation is correct up to the $\Delta\rho'$ density term, where ρ' is the change on the density when SOC term is included. Terms of $(\Delta\rho')^2$ order have a minor effect due to cancellations between different orientations [113]. The cancellation of different terms allow to obtain the MAE as the difference of the band energies for two magnetization orientations.

$$\text{MAE}_{\text{FT}} = E_{\text{band}}^{\mathbf{a}} - E_{\text{band}}^{\mathbf{b}} = \sum_{n\mathbf{k}} [f^{\mathbf{a}}(\epsilon_{n\mathbf{k}}^{\mathbf{a}})\epsilon_{n\mathbf{k}}^{\mathbf{a}} - f^{\mathbf{b}}(\epsilon_{n\mathbf{k}}^{\mathbf{b}})\epsilon_{n\mathbf{k}}^{\mathbf{b}}] \quad (2.45)$$

where $\epsilon_{n\mathbf{k}}$ is the KS eigenenergy of band n at point \mathbf{k} and \mathbf{a}, \mathbf{b} the directions of the spins. $f^{\mathbf{a}, \mathbf{b}}$ accounts for the Fermi-Dirac distribution for each spin direction, included separately because the Fermi level varies with the magnetization directions. With the FT approach the computational cost of calculating the MAE is considerably reduced.

SOC term can split band degeneracies depending on the spin orientation. In Fig. 2.4, we show schematically how band splittings due to SOC affect the MAE. In Fig. 2.4 (a) and (b) the bands are fully occupied. The splitting (a) is symmetric, thus, there is no net effect in the MAE. The splitting (b) is asymmetric, favoring the easy-axis to be the z -axis. In Fig. 2.4 (c) and (d) the Fermi energy lies at the degeneracy point. In (c) one part becomes fully occupied while the other is unoccupied giving the largest contribution to MAE, in this case to the z -axis. The (d) splitting is not affected as the occupation is not modified.

Making use of the FT method, we can define a MAE density in the reciprocal space to understand the origin of the MAE in terms of the electronic structure details as described in Fig. 2.4:

$$\text{MAE density}(\epsilon, \mathbf{k}) = \sum_n \epsilon_{\mathbf{k}n}^{\mathbf{a}} g(\epsilon_{\mathbf{k}n}^{\mathbf{a}} - \epsilon) - \sum_{n'} \epsilon_{\mathbf{k}n'}^{\mathbf{b}} g(\epsilon_{\mathbf{k}n'}^{\mathbf{b}} - \epsilon) \quad (2.46)$$

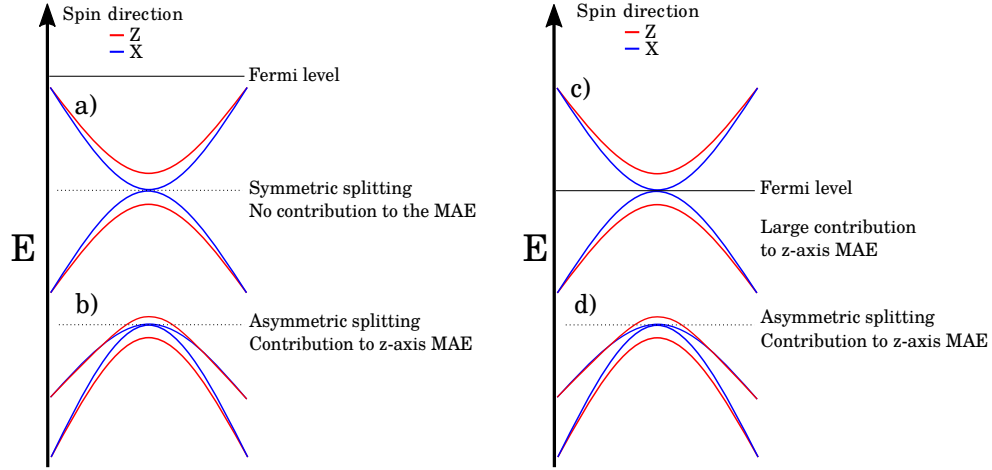


Figure 2.4: Scheme of band splittings induced by SOC and their effect on the MAE.

where $f(\epsilon_{\mathbf{k}n}^{\mathbf{a}} - \epsilon)$ is a Gaussian or a Lorentzian centred at $\epsilon_{\mathbf{k}n}^{\mathbf{a},\mathbf{b}}$ of width σ , this allows us to estimate the MAE contribution of states near energy ϵ at point \mathbf{k} . With this equation, we can identify the band splittings that mainly contribute to the MAE [114].

2.4 Constrained Random Phase Approximation

In Equation 2.2, we introduced the theoretical method to add the screened Coulomb interaction as a Hubbard-like term into the *ab initio* calculation, where U and J are parameters. These parameters are often unknown. When previous experimental work exists, the values can be chosen to match the experimental results. Several methods have been developed to determine the value of U and J for different systems from first principles. In the constrained local density approximation (cLDA) [115, 116], the Hubbard- U is calculated from the second derivative of the total energy with respect to the occupation number of the localized states. The cLDA does not provide the matrix elements of the screened Coulomb matrix elements, neither the frequency dependence of the screened Coulomb interaction (note that the response function of materials under time-dependent external fields is frequency-dependent). It is known that the cLDA overestimates the Hubbard- U , compared to other methods [117]. Other techniques based on Slater integrals [67] and linear methods that compute the Hubbard- U parameter using response functions calculated by means of constrained DFT [118]

have been derived.

The method used in this Thesis is the constrained random phase approximation (cRPA) [117, 119, 120, 121]. the starting point is the fundamental equation of the screened Coulomb interaction:

$$W(\mathbf{r}, \mathbf{r}') = \int d\mathbf{r}'' V(\mathbf{r}, \mathbf{r}'') \varepsilon^{-1}(\mathbf{r}', \mathbf{r}'') , \quad (2.47)$$

where V is the bare interaction and ε the dielectric function. Within the RPA approximation [122] the dielectric function can be expressed as⁷

$$\varepsilon(\mathbf{r}, \mathbf{r}'; \omega) = \delta(\mathbf{r} - \mathbf{r}') - \int d\mathbf{r}'' V(\mathbf{r}, \mathbf{r}'') P(\mathbf{r}'', \mathbf{r}'; \omega) , \quad (2.48)$$

where P is the polarization. Note that the polarization induces a frequency dependence into the dielectric function. In the RPA linear response theory, the interacting polarization is approximated by the non-interacting one, which can be written as :

$$P(\mathbf{r}, \mathbf{r}'; \omega) = \sum_{\sigma} \sum_{n\mathbf{k}}^{occ} \sum_{n'\mathbf{q}}^{unocc} \psi_{n\mathbf{k}}^{\sigma*}(\mathbf{r}) \psi_{n'\mathbf{k}+\mathbf{q}}^{\sigma}(\mathbf{r}') \psi_{n'\mathbf{k}+\mathbf{q}}^{\sigma*}(\mathbf{r}) \psi_{n\mathbf{k}}^{\sigma}(\mathbf{r}') \left(\frac{1}{\omega + \epsilon_{n\mathbf{k}}^{\sigma} - \epsilon_{n'\mathbf{k}+\mathbf{q}}^{\sigma} + i0^+} - \frac{1}{\omega - \epsilon_{n\mathbf{k}}^{\sigma} + \epsilon_{n'\mathbf{k}+\mathbf{q}}^{\sigma} - i0^+} \right) , \quad (2.49)$$

where $\psi_{n\mathbf{k}}^{\sigma}$ and $\epsilon_{n\mathbf{k}}^{\sigma}$ are the KS eigenfunctions and eigenvalues of the system, respectively, the sum for $n\mathbf{k}$ states runs over the occupied states and that for $n'\mathbf{k} + \mathbf{q}$ over the unoccupied states, and σ is the spin.

In the cRPA, we split the Hilbert space into two separate sets, one composed of the localized states (l) and the other of the rest of the states (r). This results in the separation of the full polarization into transitions inside the localized subspace, P_l and the other transitions, P_r :

$$P = P_l + P_r \quad (2.50)$$

The P_r includes also transitions that end or start in the l subspace⁸. In Figure 2.5, the division of the space is illustrated for the SrVO₃ case. In SrVO₃, we want to determine

⁷For the sake of simplicity we use a matrix notation. Consider a KS orbital basis of any DFT solver. [Not sure of this, \[123\] mentions only matrix \(between eq.31-32\)](#)

⁸These contributions are suppressed in the cLDA [119].

the Hubbard- U for the t_{2g} subspace -the l subset- formed by the orbitals d_{xz} , d_{yz} and d_{xy} .

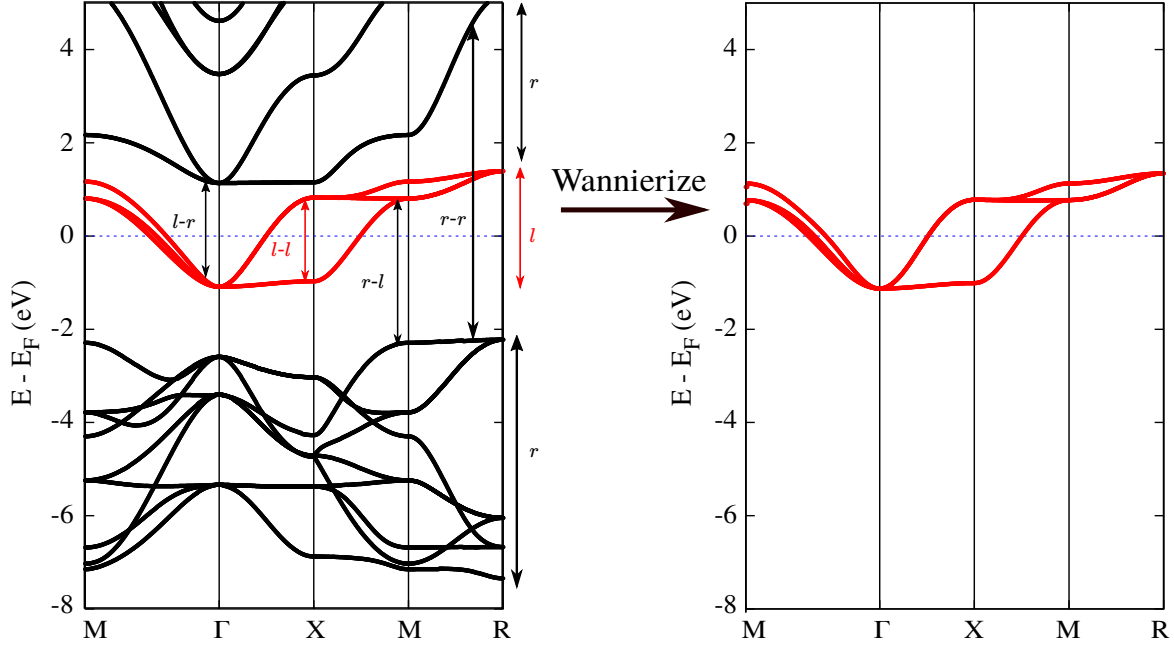


Figure 2.5: Left: SrVO₃ bandstructure with the cRPA space division. The red bands comprise the t_{2g} localized states (l -subspace). The black bands are the r -subspace. The transitions between the states are also shown. Right: Band structure interpolation of the localized subspace spanned by maximally localized Wannier functions.

Inserting Eq. (2.50) into Eq. (2.48) and combining them with Eq. (2.47), the Coulomb interaction can be rearranged in the following manner [120]:

$$W = [1 - V(P_l + P_r)]^{-1} V = [1 - (1 - VP_r)^{-1} VP_l]^{-1} (1 - VP_r)^{-1} \quad (2.51)$$

$$= (1 - W_r P_l)^{-1} W_r ,$$

where we have defined an interaction, W_r , that excludes the $l-l$ screening channels:

$$W_r = (1 - VP_r)^{-1} V . \quad (2.52)$$

So, W_r is an effective interaction that is screened further when adding the transitions between the localized orbitals, resulting in the fully screened interaction.

Therefore, the W_r can be interpreted as an effective interaction that acts on the localized subset, i.e., it is equivalent to the Hubbard- U parameter:

$$U(r, r'; \omega) = W_r(r, r'; \omega) = \int d\mathbf{r}'' [\delta(\mathbf{r} - \mathbf{r}') - V(r, r'')P_r(r', r''; \omega)]^{-1} V(r, r''). \quad (2.53)$$

The latter equation can be solved by any KS system solver. As the Coulomb screened is localized in the atom, to obtain the matrix elements centered in the atom \mathbf{R} , $U_{n_1 n_2 n_3 n_4; \mathbf{R}}(\omega)$, is natural to choose a localized basis set (the matrix elements are basis dependent), where n_i are the orbitals running through $n_l = -l, \dots, l$. The calculation of $U_{n_1 n_2 n_3 n_4; \mathbf{R}}(\omega)$ is straightforward when the strongly correlated states and the other bands are separated. As an example, in Figure 2.5 the bands with $t2g$ orbital character are isolated from the other bands. However, when localized orbitals are hybridized with other orbitals separating the polarization into two terms is a challenging problem.

Different methods have been proposed to tackle the problem of entangled bands. These methods use maximally localized Wannier functions (MLWFs). The MLWFs built real-space localized basis from unitary transformations on the Bloch states. The use of the MLWFs was introduced by Miyake *et al.* in Ref. [124]. Still this technique is not capable of providing a well-defined polarization for each set, as hybridization between the l subspace and r subspace is switched off, hence, electronic structure can be modified in the case of strong hybridization.

In this work, we have used the method derived by Şaşıoğlu *et al.*[125], so-called projection method, which is a parameter-free procedure. The MLWFs span the localized orbitals as:

$$w_{m\mathbf{R}}^\sigma(\mathbf{r}) = \frac{1}{N_k} \int d\mathbf{k} e^{-i\mathbf{k}\cdot\mathbf{R}} \sum_{\mathbf{k}n} T_{mn\mathbf{k}}^\sigma \psi_{n\mathbf{k}}^\sigma(\mathbf{r}), \quad (2.54)$$

where $w_{m\mathbf{R}}^\sigma$ are the MLWF centered at the atomic position \mathbf{R} , N_k the number of k -points and $T_{mn\mathbf{k}}^\sigma$ is a unitary matrix. The MLWFs construction will be addressed in the next section.

It can happen that in order to built adequate MLWFs of the localized space states from the r space need to be considered. In order to obtain adequate P_r and P_l , transitions that take place between the $l-l$ states need to be single out from the total

polarization. The total probability for an electron to be in the localized set before and after the transition $\psi_{n\mathbf{k}}^\sigma \rightarrow \psi_{n\mathbf{k}+\mathbf{q}}^\sigma$ is $p_{\mathbf{k}n}^\sigma p_{\mathbf{k}+\mathbf{q}n'}^\sigma$ where:

$$p_{\mathbf{k}n}^\sigma = \sum_m |T_{m\mathbf{k}n}^\sigma|^2. \quad (2.55)$$

Therefore, for entangled bands we have $p_{\mathbf{k}n}^\sigma p_{\mathbf{k}+\mathbf{q}n'}^\sigma < 1$ and for disentangled bands $p_{\mathbf{k}n}^\sigma p_{\mathbf{k}+\mathbf{q}n'}^\sigma = 1$. Then, P_l constructed as:

$$P_l(r, r'; \omega) = \sum_\sigma \sum_{n\mathbf{k}}^{\text{occ}} \sum_{n'\mathbf{q}}^{\text{unocc}} (p_{\mathbf{k}n}^\sigma p_{\mathbf{k}+\mathbf{q}n'}^\sigma)^2 \psi_{n\mathbf{k}}^{\sigma*}(\mathbf{r}) \psi_{n'\mathbf{k}+\mathbf{q}}^\sigma(\mathbf{r}') \psi_{n\mathbf{k}}^\sigma(\mathbf{r}') \psi_{n'\mathbf{k}+\mathbf{q}}^{\sigma*}(\mathbf{r}) \quad (2.56)$$

$$\left(\frac{1}{\omega + \epsilon_{n\mathbf{k}}^\sigma - \epsilon_{n'\mathbf{k}+\mathbf{q}}^\sigma + i0^+} - \frac{1}{\omega - \epsilon_{n\mathbf{k}}^\sigma + \epsilon_{n'\mathbf{k}+\mathbf{q}}^\sigma - i0^+} \right).$$

Combining this equation with Eq. (2.50), the polarization for the rest of space P_r is obtained and, from this, $U(\mathbf{r}, \mathbf{r}'; \omega)$. The screened Coulomb matrix elements in the MLWFs basis are given by:

$$U_{m_1 m_2 m_3 m_4; \mathbf{R}}(\omega) = \langle m_1 m_2 | U | m_3 m_4 \rangle \quad (2.57)$$

$$= \int \int d\mathbf{r} d\mathbf{r}' w_{m_1 \mathbf{R}}^{\sigma*}(\mathbf{r}) w_{m_3 \mathbf{R}}^\sigma(\mathbf{r}) U(\mathbf{r}, \mathbf{r}'; \omega) w_{m_2 \mathbf{R}}^{\sigma'*}(\mathbf{r}') w_{m_4 \mathbf{R}}^{\sigma'}(\mathbf{r}').$$

The effective Hubbard- U and J parameters are calculated by averaging the matrix elements in the static limit, $\langle U(\omega \rightarrow 0) \rangle$. Different parametrizations exist to do this. The Kanamori parametrization calculates parameters adapted for $t2g$ and eg ($d_{x^2-y^2}$ and d_{z^2} orbitals) [126]. The Slater parametrization was already defined in Eq. (2.31) and Eq. (2.32):

$$U_l = \frac{1}{(2l+1)^2} \sum_{m=-l}^l \sum_{m'=-l}^l U_{mm'mm';0}(\omega=0) \quad (2.58)$$

$$J_l = U_l - \frac{1}{2l(2l+1)} \sum_m^l \sum_{m'}^l [U_{mm'mm';0}(\omega=0) - U_{mm'm'm;0}(\omega=0)], \quad (2.59)$$

where $l = 2$ for the d shell. U_l accounts for the on-site intraorbital interactions and J_l is the on-site inter-orbital exchange parameter. The Coulomb matrix elements spin

dependence is small according to calculations [125].

In this work, cRPA calculations have been performed with the SPEX code [127] where the projection method is implemented. SPEX uses previously converged ground-state *ab initio* wavefunctions from the FLEUR code and makes use of the Wannier90 [128] library to construct MLWFs. SPEX code has implemented the cRPA method by means of the mixed-product basis (MPB)[129]. The polarization function and Coulomb matrix elements involve the calculation of products of wavefunctions, as they both describe the initial and final states between two electrons. Each product arising from initial-final state pairs is transformed to the mixed-product basis, which allows an efficient numerical evaluation of the total polarization and the Coulomb matrix elements using the FLAPW basis, provided by FLEUR. The MPB allows a mathematically exact treatment of the divergence of the Coulomb interaction at $\mathbf{k} \rightarrow 0$.

In Figure 2.6 a simplified workflow to compute the Hubbard- U parameters is shown. We show two key factors to obtain well converged Hubbard- U parameters. First, proper convergence in the DFT+ U calculation is needed. Second, the MLWFs need to be properly localized and centered. Only then, we can calculate the polarizations (P , P_l and P_r) and screened matrix elements (U and J). All these values are computed in the same run of SPEX.

2.5 Maximally Localized Wannier Functions

Bloch-like wavefunctions can be expanded into real-space localized basis proposed by Wannier [130]. We will give below a summary of the construction of the Wannier functions (WF). For a detailed description, we refer to the review Ref. [131]. The WF can be written as:

$$|\mathbf{R}n\rangle = \frac{1}{\sqrt{N}} \sum_{\mathbf{k}} e^{-i\mathbf{k}\cdot\mathbf{R}} |\psi_{\mathbf{k}n}\rangle , \quad (2.60)$$

where N is the number of k -points in the 1BZ and \mathbf{R} a lattice vector. The coordinate representation is obtained as $\langle \mathbf{r}|\mathbf{R}n\rangle = w_{\mathbf{R}n}(\mathbf{r})$. The inverse transformation from WF to Bloch states is:

$$|\psi_{\mathbf{k}m}\rangle = \frac{1}{\sqrt{N}} \sum_{\mathbf{R}} e^{i\mathbf{k}\cdot\mathbf{R}} |\mathbf{R}m\rangle . \quad (2.61)$$

Eq. (2.60) and Eq. (2.61) constitute a unitary linear transformation between the WFs and Bloch functions. Thus, both are valid to describe electronic bands. Bloch functions show a "gauge freedom" that makes them invariant to unitary transformations. The generalized gauge freedom for M multiband case is expressed as:

$$|\psi'_{\mathbf{k}m}\rangle = \sum_{m=1}^M T_{mn\mathbf{k}} |\psi_{\mathbf{k}n}\rangle , \quad (2.62)$$

where $T_{mn\mathbf{k}}$ is a unitary matrix of dimension $M \times M$. When a multiband manifold is considered states can be degenerate at band crossings. At this points, the Bloch states are not analytic. Hence, constructing WFs from degenerate bands would result in poor localization and it is necessary to include the unitary matrix transformation. To solve the latter problem, the non-uniqueness of the WFs is used. The T matrix induces unitary rotations to obtain smooth ψ_k in the degenerate points, resulting in well localized WFs. Although, the trace is preserved, $|\psi'_{\mathbf{k}m}\rangle$ may not be an eigenstate, and the index m is no longer a valid band index. Inserting Eq. (2.62) into Eq. (2.60) gives the general WF construction:

$$|\mathbf{R}m\rangle = \frac{1}{\sqrt{N}} \sum_{\mathbf{k}} e^{-i\mathbf{k}\cdot\mathbf{R}} \sum_{n=1}^M T_{mn\mathbf{k}} |\psi_{\mathbf{k}n}\rangle . \quad (2.63)$$

The unitary matrix rotation has to be optimized to obtain "maximally localized" WFs. In this work we use the technique derived by Marzari *et al.*[132], whose localization functional is:

$$\Omega = \sum_m [\langle 0m|r^2|0m\rangle - \langle 0m|\mathbf{r}|0m\rangle] = \sum_m [\langle r^2 \rangle_m - \langle \mathbf{r}_m \rangle^2] , \quad (2.64)$$

which measures the sum of the quadratic spreads of the WFs centers located in the initial unit cell. Bont *et al.*[133] proved that the matrix elements for the position operator could be obtained by means of derivatives with respect to the wave vector \mathbf{k} , which can be calculated using finite differences. All the needed information is given by the overlap between neighboring Bloch states,

$$M_{mn}^{\mathbf{k},\mathbf{b}} \equiv \langle \psi_{m'\mathbf{k}} | \psi_{m\mathbf{k}+\mathbf{b}} \rangle . \quad (2.65)$$

At each iteration, the overlap and the transformation matrix are updated in order to minimize Ω . This method can be extended to include non-isolated bands, i.e. entangled bands [134].

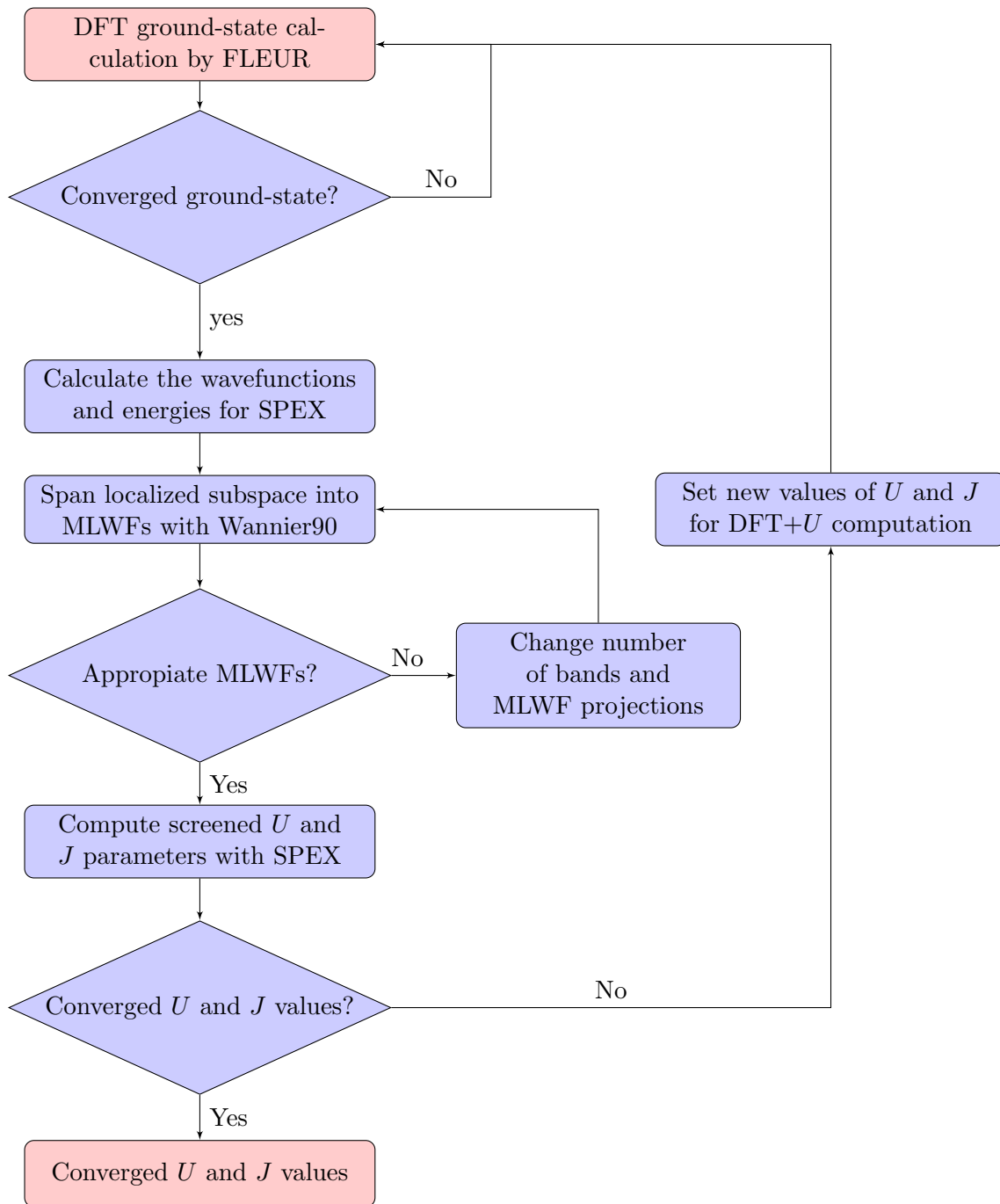


Figure 2.6: Scheme of the work flowchart to calculate the values of the U and J combining FLEUR, SPEX and Wannier90.

Chapter 3

Magnetic properties of planar free-standing transition metal oxide chains

*I'm not so good with the
advice... Can I interest you in
a sarcastic comment?*

Chandler Bing, *Friends*

3.1 Introduction

Reduction of coordination in low-dimensional systems results in less atoms forming bonds, enabling the emergence of magnetism in materials that have non-magnetic bulks [29, 9, 135].

Theoretical methods, e.g. DFT, have made it possible to study different low-dimensional systems, from 2D [136] to 1D systems [48, 137] and adatoms [138, 139]. Typically, lowering the dimension results in larger spin and orbital moments, and the magnetic anisotropy is enhanced. The magnetic anisotropic energy (MAE) is a

necessary property for low dimensional systems to allow a long-range magnetic order at finite temperature [30]. Furthermore, enhancement of spin-orbit effects and the sizeable energetic difference between the easy- and hard-axes make low dimensional systems suitable¹ for spintronic devices [141, 142].

The Hubbard Hamiltonian is used to describe the interaction between the localized electrons within certain orbitals, for instance, electrons in the $3d$ orbital of transition metals. The larger the Hubbard- U parameter the larger the screened Coulomb interaction, and hence, localization of electrons. Localization of electrons favors larger magnetic moments, therefore, the U parameter value can induce the stabilization of magnetic states and even alter the spin state.

In this chapter, we study the ground-states magnetic properties of transition metal-oxide (TMO) chains XO_2 , where $X = Ni, Co, Fe,$ and Mn [23]. These are one-dimensional chains that can be grown on Ir and Pt substrates [71]. Spin-polarized STM (SP-STM) experiments have determined some of the chains' magnetic properties [71]. Combining SP-STM data with DFT calculations, the presence of non-collinear spins between adjacent MnO_2 chains has been observed. The non-collinear spin texture results from an antisymmetric exchange interaction mediated by the substrate, indicating the presence of a RKKY interaction[143]. The experimental data do not always agree with the theoretical calculations. For instance, $CoO_2/Ir(100)$ is predicted to show a FM coupling [23] while in no magnetic contrast is observed with the SP-STM[71]. Measuring the magnetic properties is a difficult task, hence, theoretical calculations are needed to obtain the magnetic properties of the chains. In particular, DFT calculation allows us to understand the magnetic properties in terms of the electronic structure of the chains, which can give the insights of the magnetic coupling, MAE etc. Following the latter reason, we calculate the magnetic coupling between the X atoms and we obtain the MAE of each chain, which has not been previously studied, experimentally or theoretically. The anisotropy is calculated using two methods: treating SOC in a self-consistent manner and the FT approach (see Section 2.3 for the background of these two techniques).

The chapter is structured as follows: in Section 3.2 the geometry of the planar unsupported chain. In Section 3.3, we show the obtained spin states for each metal atom. Next, in Section 3.4, we describe the exchange coupling between the metal

¹Particularly, when the out-of-plane direction is the easy-axis of the chain [140].

atoms. In Section 3.5, we compute the MAE and analyze the obtained easy-axes in terms of the resulting band-structures. Finally, in Section 3.6, we give the conclusions on the obtained results.

3.2 Structural model

The one-dimensional XO_2 chains, where $X=Ni, Co, Fe, Mn$, form in a reconstructed Ir(100) surface. Structural analyses carried out with LEED-IV and STM show defect-free chains with of 500 atom lengths arranged in periodically ordered (3×1) domains orientated along the $[110]$ and $[1\bar{1}0]$ crystallographic directions. The procedure to grow the chains is given by Ferstl *et al.*[23]: the chains are formed on Ir(100)- (2×1) -O or on metastable Ir(100)- (1×1) by depositing 0.33 of a monolayer of each transition metal atom followed by an annealing in ultra high-vacuum conditions . In Fig. 3.1 the structure of the system is shown.

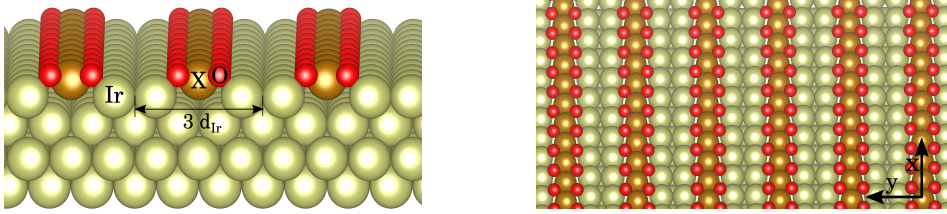


Figure 3.1: Left: side view of the structure of the XO_2 chains. Chains are separated by $3d_{Ir}$, where $d_{Ir} = 2.71\text{\AA}$ is the Ir(100) lattice constant. Right: top view.

In our first calculations, instead of the whole system, we consider the ideal case of a planar free-standing chain (see 3.2). The chains are isolated from the Ir substrate and the oxygens atoms are placed between the transition metal atoms coplanarly.

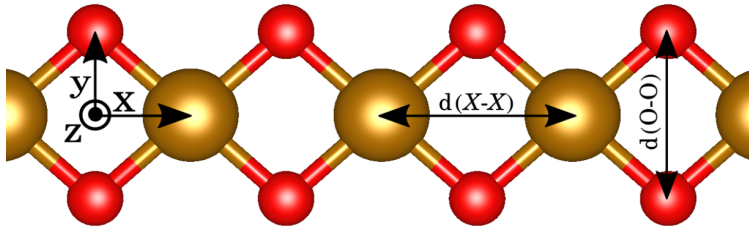


Figure 3.2: Planar free-standing chain geometry.

3.3 Planar free-standing chain: Spin phase diagrams

DFT calculations were performed using the VASP code, with the PBE exchange-correlation functional [81] and Dudarev’s formulation of the DFT+ U functional [98] where the interaction parameter is given by $U - J$, applied to the d -orbital. We used a plane-wave energy cut-off of 450 eV with a Γ -centered $10 \times 1 \times 1$ k -point grid. To avoid interaction between different chains, we set 10 Å of vacuum between the chain’s replicas. The total energy convergence threshold is set at 10^{-6} eV. The geometry relaxation is performed until the forces are less than < 0.01 eV/Å. We modify the distance between the $X - X$ and O-O atoms to obtain the relaxed ground state.

In Fig. 3.3, the resulting spin values for different $X-X$ and O-O distances are shown as spin state phase diagrams for $U - J = 0, 1.5$ and 5 eV. The spin values at the ground state for each U parameter are tabulated in Table 3.1. Note that the spin states differ from an integer or half-integer value because in DFT the occupation matrix elements are fractional². The fractional occupations indicate that the m_l orbitals of the d shell are forming bonds, instead of being empty or fully occupied as in the isolated atom case (see Section 2.2).

A non-magnetic state appears in all chains when the Hubbard U parameter is set to 0 eV. Generally, increasing the value of the U increases the spin value.

In the case of Ni, two states are accessible. The equilibrium geometry at $U = 0$ eV lies at the boundary between the non-magnetic and the magnetic state, implying that a small distortion could drive it either to magnetic polarization or quenching. For finite U values, the Ni atom stabilizes in a magnetic state with $S = 1/2$. The Co atom lies in a magnetic state for all U values. For $U = 0$ eV and $U = 1.5$ eV, the Co atom is in a $S = 1$ state and for $U = 5$ eV the spin state is at the transition between $S = 1$ and $S = 3/2$. Fe and Mn atoms are both in magnetic states with $S = 3/2$ for $U = 0$ eV and $U = 1.5$ eV. For $U = 5$ eV both atoms show a spin state $S = 2$.

Multiple spin states are accessible by modifying only the value of U .

Table 3.2 shows the equilibrium $X-O$ bond lengths. They are weakly affected by

²In the analysis, we will mention the closest spin value.

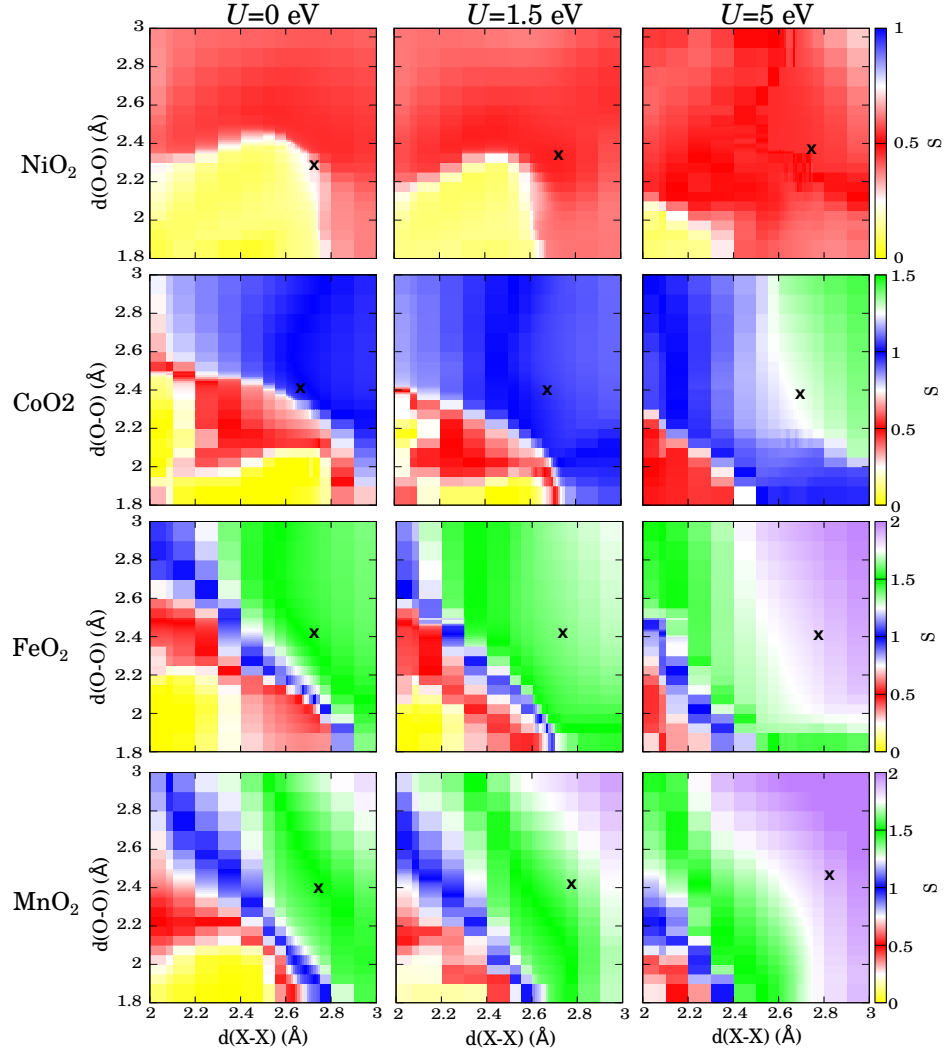


Figure 3.3: Spin values for different planar chain geometries. The distance between metal atoms, $d(X-X)$, and oxygen atoms, $d(O-O)$ is varied for three U values. Colors show different spin values and white spaces indicate a spin state transition. The black cross indicates the ground state configuration in each case.

the increase of the Hubbard- U parameter. The maximum change is 5% for the MnO_2 between the $U=0$ and 5 eV, while in the other chains it is less than 2%.

U (eV)	NiO ₂	CoO ₂	FeO ₂	MnO ₂
	S^{Ni}	S^{Co}	S^{Fe}	S^{Mn}
0	0.29	0.98	1.52	1.47
1.5	0.47	1.05	1.63	1.61
5	0.55	1.26	1.83	1.88

Table 3.1: Spin states of the metal atoms in the equilibrium geometry for different Hubbard- U parameters.

U (eV)	NiO ₂	CoO ₂	FeO ₂	MnO ₂
	$d_{\text{Ni-O}}$ (Å)	$d_{\text{Co-O}}$ (Å)	$d_{\text{Fe-O}}$ (Å)	$d_{\text{Mn-O}}$ (Å)
0	1.77	1.78	1.82	1.82
1.5	1.79	1.79	1.82	1.83
5	1.80	1.79	1.83	1.87

Table 3.2: Equilibrium X -O bond lengths at each ground state given by the U values.

3.4 Magnetic coupling in planar free standing chains

The magnetic order of the ground state of each chain has been calculated for the Hubbard- U parameter given in the literature $U = 1.5$ eV [23, 71, 143]. A low value of U is used to consider the screening effects of the Ir substrate in the chains. The supercell is doubled and the transition metals magnetic moment is set parallel, i.e. a ferromagnetic (FM) state or anti-parallel, i.e. antiferromagnetic (AFM). To consider possible effects in the total energy due to strain, the AFM doubled cell has been relaxed for each magnetic configuration. In Table 3.3, we give the bond-length at each magnetic coupling. The largest difference between the AFM and FM states bond-length is 0.02 Å for the CoO₂. Therefore, setting either magnetic coupling affects slightly the bond-length.

We describe the magnetic exchange of the chains with a Heisenberg model:

$$H = - \sum_{\langle ij \rangle} \mathcal{J}_{ij} \mathbf{S}_i \cdot \mathbf{S}_j, \quad (3.1)$$

where $\langle ij \rangle$ indicates that the sum is over pairs of nearest neighbors. \mathbf{S}_i is the spin for the transition-metal atom in site i and \mathcal{J}_{ij} the magnetic exchange coupling

parameter between spins at sites i and j . The sign of the exchange coupling determines if the coupling is FM, $\mathcal{J} > 0$, or AFM, $\mathcal{J} < 0$. In DFT calculations, the exchange coupling is obtained by the difference of total energies of the AFM and FM magnetic configuration, calculated in a doubled cell:

$$\mathcal{J} = \frac{E_{\text{AFM}} - E_{\text{FM}}}{2S^2} \quad (3.2)$$

The interaction between the TM atoms is mediated by the Oxygen atoms. This type of indirect interaction is known as the superexchange interaction [144, 145]. In Table 3.3, we summarize the results obtained by doubling the cell. The X-O bond lengths at the AFM and FM states differ less than 2%. The energy difference, $\Delta E = E_{\text{AFM}} - E_{\text{FM}}$, establishes that for the NiO₂, CoO₂ and FeO₂ the preferred magnetic coupling is AFM, while MnO₂ is FM. In the FM state, the oxygen atoms are polarized parallel to the X atoms spin except in the MnO₂, where they are set antiparallel. In a naive reasoning, the O atom's spin inversion in the latter chain sets the Mn atom coupling, setting the order of Mn up-O down-Mn up. In the AFM state, the O atoms do not show any polarization as the oxygen atoms lie in the center plane between the two metal atoms with opposite polarizations.

XO_2	d_{X-O} (Å)	μ_S^X (μ_B)	μ_S^O (μ_B)	ΔE (meV)	\mathcal{J} (meV/ μ_B^2)
NiO2 (AFM)	1.78	0.89	0.00	-42	-95
NiO2 (FM)	1.79	0.95	0.43		
CoO2 (AFM)	1.77	2.01	0.00	-350	-159
CoO2 (FM)	1.79	2.12	0.36		
FeO2 (AFM)	1.81	3.11	0.00	-476	-90
FeO2 (FM)	1.82	3.26	0.24		
MnO2 (AFM)	1.82	2.86	0.00	562	108
MnO2 (FM)	1.83	3.23	-0.18		

Table 3.3: Obtained data for the AFM and FM magnetic orders. The relaxed bond-lengths between TM and O atoms, spin magnetic moments of the TM atom μ_S^X and oxygen atom μ_S^O is given for boths magnetic states. The calculations were performed for the 2×1 supercell with $U = 1.5$ eV.

In Fig. 3.4, we show the projected density of states (DOS) of the XO_2 onto the $X(d)$ and $O(p)$ orbital for each magnetic state. We make the important observation that the AFM chains NiO_2 , CoO_2 , and FeO_2 are insulators, while MnO_2 , which favors a FM state, is *half*-metallic³. In CoO_2 and FeO_2 , the AFM state shows a larger gap than the FM state, the larger gap the lower the total energy. For MnO_2 , the insulating behavior of the minority spin in the FM state implies a lowering of the total energy compared to the metallic AFM. Now, looking to the total energy difference between the magnetic states in Fig. 3.4, we see the difference increases from NiO_2 to MnO_2 , this trend is consistent as the band gap increases going from NiO_2 to FeO_2 , being the largest difference between the metallic AFM vs half-metallic FM states of the MnO_2 chain.

3.5 Magnetic Anisotropic Energy in planar free standing chains

We have calculated the MAE for the planar free-standing chains with $U = 1.5$ eV with two methods: SCF and with the FT approach. In the latter one, the SOC term is added non-self-consistently to a converged spin-polarized electron density, while in the former SOC is considered in a self-consistent manner (see Section 2.3). We have calculated the MAE for several plane-wave energy cut-offs and k -point grids to obtain properly converged values. The total energy convergence threshold for both calculation set-up is 10^{-8} eV. We give in Appendix A the convergence tests of the MAE.

	MAE^{FT} (meV)	MAE^{SCF} (meV)	Easy-axis
NiO_2	-2.04	-6.43	y
CoO_2	-0.51	-0.84	y
FeO_2	0.81	1.13	z
MnO_2	0.54	0.96	z

Table 3.4: We show the MAE values between the *hardest*- and easy-axis of each chain, which is the $y - z$ difference. The MAE is obtained using the SCF and FT techniques.

³In a half-metallic compound, one spin channel is metallic while the other presents a gap.

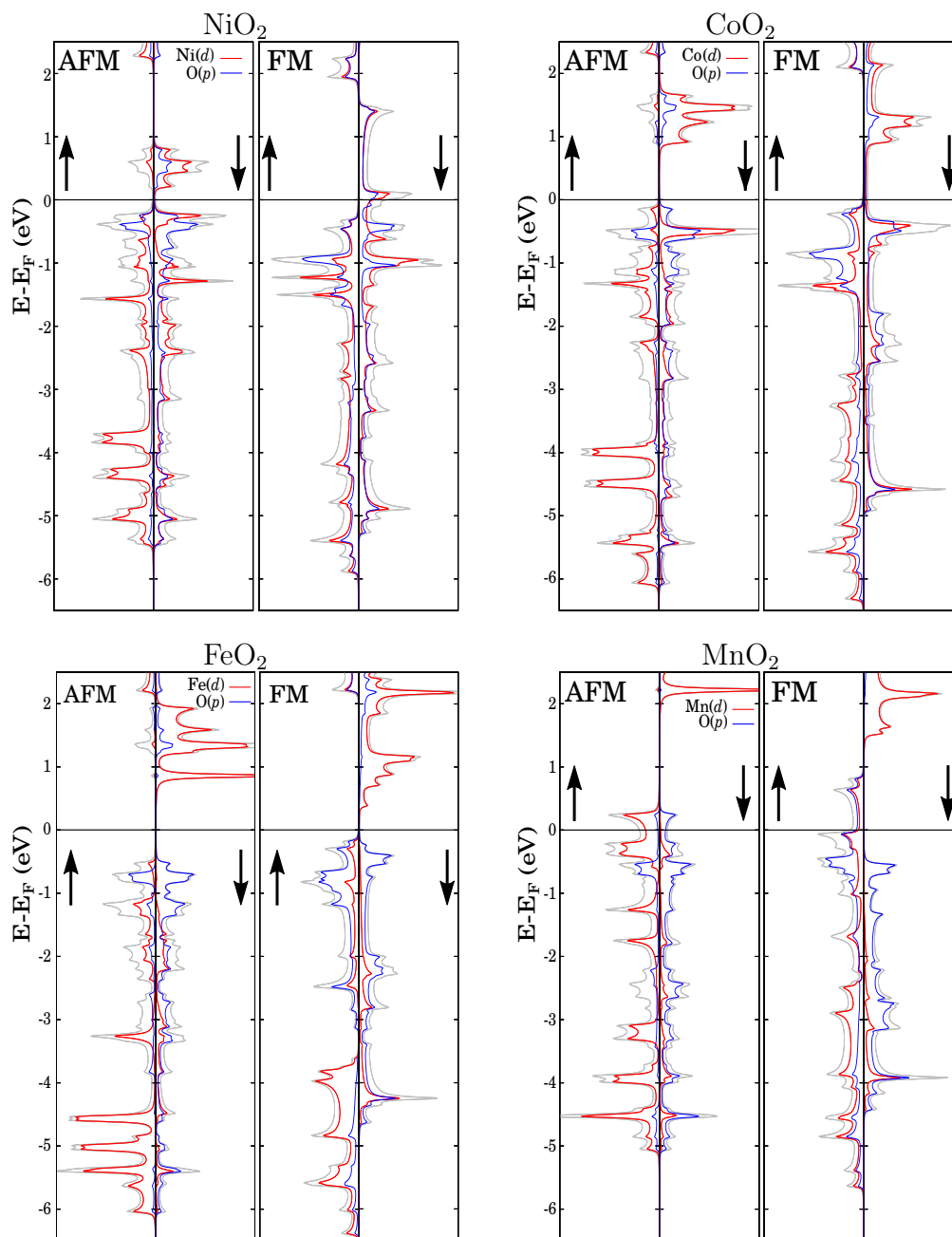


Figure 3.4: Projected density of states. The solid gray indicates the total DOS, red and blue are the projections on the $X(d)$ and $O(p)$ orbitals, respectively. Only the projections on atoms in one half of the (2×1) cell are plotted.

In Table 3.4, we summarize the obtained MAE and the easy axes of magnetization. For the NiO₂ and CoO₂, we obtain that the easy-axis is the y -axis, i.e., across the chain axis (see Fig. 3.2 for the orientations). The FeO₂ and MnO₂ have the easy-axis along the z -axis direction. The FT approach and calculations including SOC self-consistently agree in the prediction of the easy-axis. The MAE values differ between both techniques, but overall the agreement is acceptable, except in the case of the NiO₂ where the self-consistent MAE is three times larger than the FT one. To understand this, we calculate the band structure of NiO₂ in both approaches (see Fig. 3.5). The main difference between the band structures is seen around the Fermi level, at $\vec{k} \approx (0.25, 0, 0)$, where for SCF a band becomes fully occupied, but it is still partially unoccupied for the FT. This significant change in the contributing eigenenergies at the Fermi level can result in a substantial difference in the MAE (see Fig. 2.4), as seen in Table 3.4. In the NiO₂ case, the FT method fails to describe the SOC effect correctly in the system. Hence, the converged wavefunctions may differ between the two methods. The FT has been successfully applied to bulk systems [114], but it is less accurate for lower dimensional systems [146, 147], because the wavefunction is less constrained by symmetries than in bulk materials and can have larger variations when allowed to relax in the presence of a SOC term in the Hamiltonian.

The NiO₂ chain also shows magnetic anisotropy for $S = 1/2$. It has been stated that systems with $S = 1/2$ should not show any magnetic anisotropy [148, 149]. The supposed absence of anisotropy in $S = 1/2$ is a consequence of the atomic-like single-ion treatment of the anisotropy. In DFT, there is the possibility of hybridization between atoms. This would modify the orbital shapes and can cause partial fillings, such as the X-O bonds do in our system. Consequently, DFT calculations do not necessarily follow the single-ion behavior.

In Table 3.5, we give the orbital moments. The orbital moment, μ_i^i , for each axis is defined by projecting \mathbf{L} on the \mathbf{S} vector, at each calculation where \mathbf{S} is aligned to different magnetization axes. The orbital moments calculated in the FT approach are lower than in the SCF ones. In the SCF the charge density is allowed to modified on the contrary of the FT. Therefore, larger orbital moment are obtained for the SCF than for the FT method. In all calculations, the \mathbf{L} and \mathbf{S} vector remain colinear after the energy minimization procedure.

The NiO₂ and CoO₂ orbital moments along the easy axis are ten times larger than

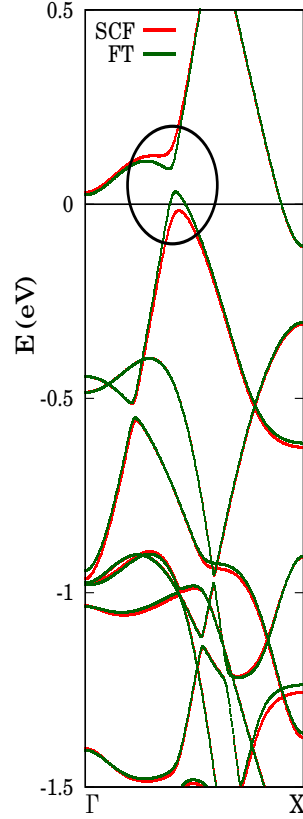


Figure 3.5: Band structure of the NiO_2 chain where SOC is introduced in a self-consistently (green, SCF) and non-SCF (red, FT). The circle highlights the feature that explains the MAE difference.

	SCF			FT			Easy-axis
	$\mu_l^x (\mu_B)$	$\mu_l^y (\mu_B)$	$\mu_l^z (\mu_B)$	$\mu_l^x (\mu_B)$	$\mu_l^y (\mu_B)$	$\mu_l^z (\mu_B)$	
Ni	0.088	0.215	0.032	0.066	0.106	0.024	y
Co	0.097	0.121	0.018	0.065	0.072	0.014	y
Fe	0.031	0.020	0.008	0.030	0.017	0.006	z
Mn	-0.020	-0.012	-0.022	-0.016	-0.011	-0.017	z

Table 3.5: Orbital moments of each metal atom when SOC is included.

the ones obtained for FeO_2 and MnO_2 . The difference in the orbital moments comes from the minority d orbital configuration. Empty and full orbitals do not contribute to the orbital moment. Comparing the minority spin orbital occupancy we see that

the NiO₂ and CoO₂ chains have partially filled orbital occupancies, except the full d_{z^2} , that contribute to the orbital moment, while in the FeO₂ and MnO₂, all orbitals except the partially filled d_{xy} are almost empty.

P. Bruno using a second-order perturbative analysis, established that the MAE and orbital magnetic moment anisotropy, $\mu_l^\perp - \mu_l^\parallel$, were proportional to each other by a constant $C > 0$ [112, 54]. This relation is valid if spin-flip are neglected and the majority spin is completely filled. Bruno's relations allows us to understand the MAE in terms of the orbital moment direction of the magnetic atom. The orbital moments of each chain is larger at the easy-axis of each chain, fulfilling Bruno's relation, except in the FeO₂ chain. Considering that the majority spin shows a partially filled d_{xy} the requirements to fulfill Bruno's relation are not completely meet. This can be the reason why the FeO₂ does not obey Bruno's relation.

The orbital moment direction depends on the occupancy of the d orbitals. According to Störh [55], the electron residing in a certain orbital is able to "hop" between the lobes of the orbital, as shown in Fig. 3.6(a) for the d_{xy} case, the hopping in the xy plane of the electrons sets the orbital moment direction. Therefore, the d_{xy, x^2-y^2} orbitals contribute to the μ_l^\perp , and the $d_{xz, yz}$ orbitals to μ_l^\parallel .

In the MnO₂ chain, the only contribution to the orbital moment is the partially field d_{xy} orbital, which sets the orbital moment in the z -axis. In the NiO₂ and CoO₂ chains, except the full d_{z^2} the rest of orbitals contribute to the orbital moment, thus, the preferred orbital moment orientation can not be easily guessed. However, considering that the TM atoms bond with the coplanar oxygen atoms, because of the crystal field and hybridization with the atom, the d_{xy, x^2-y^2} orbitals are perturbed, resulting in a quenched out-of-plane orbital moment (see Fig. 3.6(b)). The $d_{xz, yz}$ orbitals are not that affected by the oxygen atoms, hence, the orbital moment has a larger contribution in the xy -plane, setting the in-plane orbital moment. The O and TM atoms do not form a perfect square resulting on a larger orbital moment projection on the y -axis, as in the NiO₂ and CoO₂ chains. In the FeO₂, we cannot associate the orbital moment direction to the easy-axis preference as Bruno's relation is not fulfilled.

MAE density for XO₂ chains

We have analyzed the band-resolved MAE and used the orbital-projected band structure to identify the orbital character of the band splittings by SOC that mainly con-

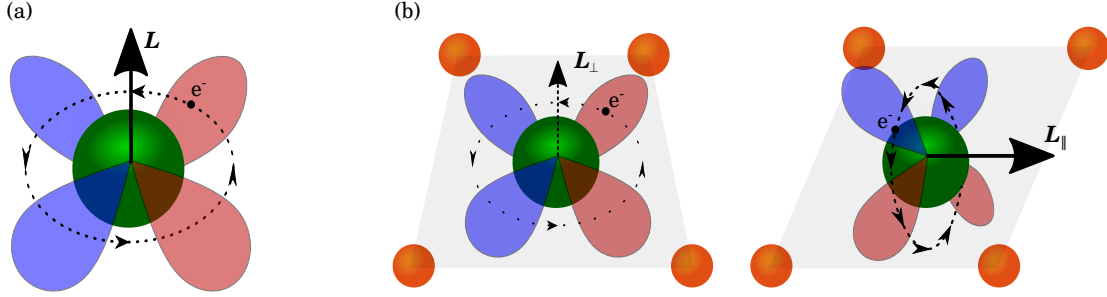


Figure 3.6: (a) The cycling electron is the origin of the out-of-plane orbital moment. (b) The out-of-plane orbital moment (L_{\perp}) is quenched because of the O atoms, while the in-plane moment (L_{\parallel}) is almost non-affected.

tribute to the MAE. The band degeneracy breakings can be accounted for by the matrix elements $\langle \psi_l^{\sigma} | \mathbf{l} \cdot \mathbf{s} | \psi_l^{\sigma'} \rangle$ using the one-electron wavefunctions (ψ_l^{σ}) for d orbitals ($l = 2$) of spin σ [106, 107].

$\langle n \mathbf{l} \cdot \mathbf{s} m \rangle$	$ x^2 - y^2\rangle$	$ xz\rangle$	$ z^2\rangle$	$ yz\rangle$	$ xy\rangle$
$\langle x^2 - y^2 $	0	$i\hat{s}_y$	0	$i\hat{s}_x$	$-2i\hat{s}_z$
$\langle xz $	$-i\hat{s}_y$	0	$i\sqrt{3}\hat{s}_y$	$-i\hat{s}_z$	$i\hat{s}_x$
$\langle z^2 $	0	$-i\sqrt{3}\hat{s}_y$	0	$i\sqrt{3}\hat{s}_x$	0
$\langle yz $	$-i\hat{s}_x$	$i\hat{s}_z$	$-i\sqrt{3}\hat{s}_x$	0	$-i\hat{s}_y$
$\langle xy $	$2i\hat{s}_z$	$-i\hat{s}_x$	0	$i\hat{s}_y$	0

Table 3.6: Matrix elements of the $\mathbf{l} \cdot \mathbf{s}$ operator for the d orbitals, given in Ref.[150].

We show in Fig. 3.7 the electronic structure for each chain including SOC in the FT approach for all chains. We compare the band splittings that occur with the magnetization along the y - (blue) or z -axis (red). We mark with circles the band splittings that have the largest contribution to the easy-axis determination according to the MAE density Fig. 3.7 panels (d).

In NiO_2 , four main splittings can be identified that contribute to the y -axis (blue), as shown in Fig. 3.7. These splittings occur between the spin majority d_{yz} and minority d_{z^2} orbitals crossing. In the bottom left, the splitting is given by minority d_{xy} and $d_{x^2-y^2}$, and in the bottom right, the splitting is between majority d_{xy} and $d_{x^2-y^2}$. In CoO_2 (Fig. 3.7) two splittings are the main contribution to the y -axis. The top

splitting is between the majority d_{xz} and minority d_{z^2} . Other split bands are the minority $d_{x^2-y^2}$ and the majority d_{xz} . For the FeO_2 , the easy-axis is the z -axis. Only the crossing of majority d_{xz} and d_{z^2} orbital has an appreciable contribution to anisotropy along the z -axis at $E - E_F = -3$ eV. In the MnO_2 , the MAE density shows two red spots that lie deep in the energy, i.e. $E - E_F = -3$ and -4 eV, where the splitting is between the $d_{z^2,\uparrow}$ and the $d_{xz,\uparrow}$ setting the easy-axis along the z -axis. Second-order perturbation analysis of the SOC set that the main contribution to the MAE is due to splittings near Fermi level, but in all of our chains there are splittings lying deeper than the Fermi level in energy which show an appreciable contribution to the MAE.

Apart from the key factor that the split bands have different orbital characters, another essential element is the occupation of the d orbital. The FeO_2 chain has one less electron compared to the CoO_2 chain so that an occupied minority d_{z^2} band in CoO_2 crossing becomes unoccupied in FeO_2 . These bands show a split that contributes to the y -axis in the CoO_2 , but not in FeO_2 . These two splittings involve bands with the same orbital character: majority d_{xz} and d_{z^2} . The latter atoms, FeO_2 and MnO_2 , have a similar d orbital filling that makes them follow the same trend having the same easy-axis with the same orbital character band splittings, even if the magnetic ground state coupling differs.

3.6 Conclusions

To summarize, we have studied the magnetic properties of ideal isolated and planar XO_2 ($X=\text{Ni, Co, Fe, Mn}$). We have obtained the spin phase diagram in the configuration space for a range of variations of the bond-lengths and different selected Hubbard- U values. The chains show up to four different spin states.

For $U=1.5$ eV, NiO_2 , CoO_2 and FeO_2 , the preferred magnetic ordering is AFM while the MnO_2 is in a FM state. Band structure calculations indicate that chains preferring the AFM coupling are insulators, and the MnO_2 chain, FM shows a half-metallic state and metallic in the AFM i.e., the band gap reduces the total energy.

Finally, the magnetic anisotropic energy has been obtained. No calculation of the MAE had been performed in these chains before. We have found that NiO_2 and CoO_2

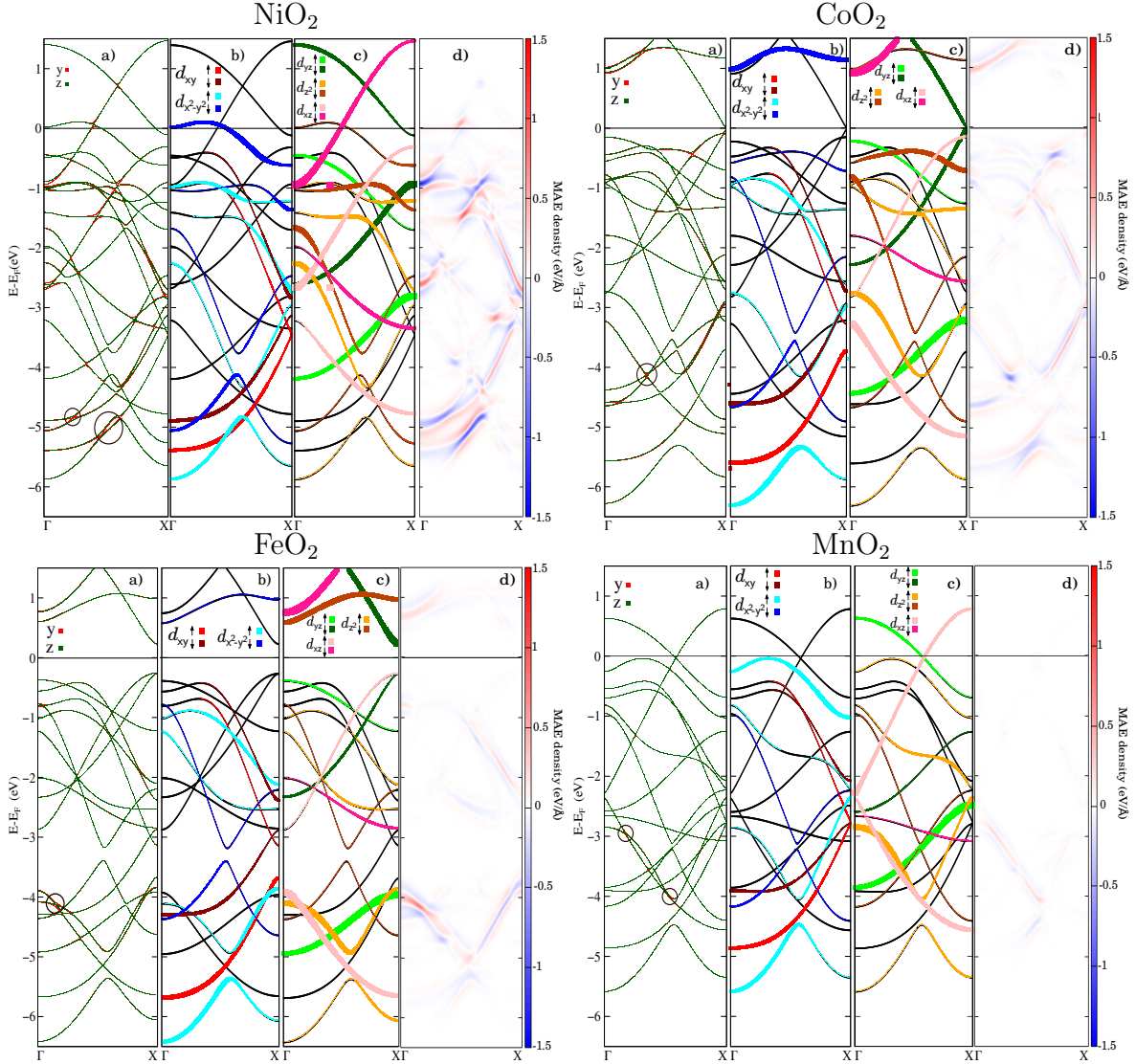


Figure 3.7: In all panels: (a) Electronic structure with SOC when the magnetization is aligned to the y -axis (red) or z -axis (green) MAE density, the contribution of each colored points is as follows: red for z -axis and blue for y -axis, the density varies from -0.8 (bluest) to 0.8 (reddest)

show an in-plane easy-axis perpendicular to the chain axis. The FeO₂ and MnO₂ show an out-of-plane easy-axis. The self-consistent and force theorem calculation methods agree on the sign prediction, but the magnitudes differ significantly for NiO₂, where the FT approach fails to describe SOC effects adequately for band splittings at the

Fermi level. The other chains show good agreement. This study has shown that the easy-axis variation of the chains can be related to the occupancy of specific d orbitals. In particular, CoO_2 shows an occupied d_{z^2} band that contributes to the in-plane easy-axis. This latter band is unoccupied for FeO_2 and MnO_2 , resulting in an out-of-plane easy-axis.

Chapter 4

Electron correlation and multiplet effect on TMO chains

*I wish I could,
but I don't want to.*

Phoebe Buffay, *Friends*

4.1 Introduction

Strong Coulomb interaction can give rise to high- T_C superconductivity [151], colossal magnetoresistance [152], ferroelectricity etc. [153, 154, 155]. Magnetic materials with d and f orbitals localized in the atom show the need to include interactions withing these orbitals.

The study of correlated materials is a challenging research area, as it implicates a many-body problem. Experimental data showed that some transition metal compounds have an insulating character, while the orbital shell is incomplete, a hint of a metallic behavior [88]. N.F. Mott [87] described the insulator state in the correlated materials using the Hubbard Hamiltonian [68]. Not all strongly correlated materials display an insulator behavior; compounds that show a metallic behavior do exist,

e.g. V_2O_3 at high-temperature [156]. The latter systems are out of the scope of the description given by the Mott-Hubbard theory. Zaanen, Sawatzky and Allen developed a model (ZSA model) where the insulator gap and metallic behavior could be described in terms of the charge transfer energy (Δ_{CT}), the bandwidth (W) resulting from hybridization and intraorbital Coulomb interactions modeled by a Hubbard- U parameter. Within this theory, both metallic and insulating states can be obtained in compounds with correlated elements (see Fig.3 in [157]). The ZSA model allows to distinguish two types of insulating states: the Mott insulator where the band gap is determined by U (e.g. MnO [158]) and the charge-transfer (CT) insulator where the gap is defined by Δ_{CT} (e.g. NiO [158, 159]).

The Hubbard- U describes the effective screening due to the surrounding environment inside the localized orbitals. Thus, its effective value will be dependent on hybridization. As the number of atoms surrounding the correlated atom increases, the effective screening is enhanced. Therefore, dimensionality can drastically change the value of U [126]. The Coulomb interaction can be strongly damped in bulk and interfaces where the U value can drop from tens of eV to a few eV [160, 161]. Coulomb interaction in low dimensions can even show non-conventional phenomena, such as antiscreeing in Fe_xO_y clusters due to the behavior of the polarization in one-dimensional systems. [162, 163, 164].

DFT is a one-electron framework where individual interactions within orbitals cannot be adequately described. For instance, it predicts an incorrect metallic behavior in FeO and CoO compounds [165, 158]. The DFT+ U technique can provide better results to systems with localized states (see Section 2.2 for a more detailed discussion). Other theoretical methods that go beyond DFT have been developed that can treat many body-interactions, such as, GW[166, 167], LDA++[168], MP2[169], RPA[170] and DMFT [171, 172, 173], but these methods can be computationally demanding. Another technique to solve the problem of correlated materials is combining many-body methods and DFT+ U [174]. The U value can be obtained by combining Auger spectroscopy and X-ray photoemission spectroscopy [175, 176] using Herring's definition. According to Herring [177, 178] the U parameter is the sum between the ionization energy and electron affinity: $U = [E(d^{n+1}) - E(d^n)] + [E(d^{n-1}) - E(d^n)]$. Another possibility is to calculate suitable U and J by *ab initio* methods. Different first principles methods have been developed for this, such as the constrained LDA

(cLDA) [115, 179], others based on linear response theory [118] and the constrained random-phase approximation (cRPA) [120, 117, 121]. In this Thesis, we use the cRPA to calculate the U and J parameters (see Section 2.4 for a detailed explanation of the method).

In the previous chapter, we studied the magnetic properties of the planar free-standing XO_2 chains. Fig. 3.3 shows that the modification of the $U - J$ parameter does not alter the bond length, but it can trigger a spin state transition. A change in the Hubbard- U can drive the NiO_2 chain from a non-magnetic to a magnetically polarized state. The magnetic exchange coupling is also dependent on the chosen Hubbard- U (\mathcal{J}) is inversely proportional to the U parameter, for the exchange interaction [144, 10]. The dependency of the magnetic properties on the Hubbard- U show that adequate U and J parameters are needed. In this chapter, we calculate the U and J for the ideal case of the planar isolated chain and the chain with substrate. In the $XO_2/Ir(100)$ system, the inclusion of the Ir atoms induces effects, such as charge transfer to the TM atom and hybridization between the orbitals, that can modify the electron-electron interaction. Apart from the electronic structure screening, the cRPA allows to modify the source of the screening, by varying the correlated space. Therefore, we can discern the contribution of the orbital shells to the screening.

This chapter is organized as follows: in Section 4.2, we describe the relaxation of the chain plus substrate system, and the cRPA calculation setup. In Section 4.3, the ideal planar free-standing screened Coulomb interaction is calculated. The non-planar case is studied for the MnO_2 chain. Section 4.4 is devoted to the supported chains, where the effects of the Ir layers in the U and J are analyzed. Finally, in Section 4.5, we draw the conclusions of our research.

4.2 Computational details

$XO_2/Ir(100)$ geometry

The relaxed geometry of the planar free-standing chains has been obtained in the previous chapter (see Table 3.2). In this chapter, we will compare the ideal and supported cases. Therefore, we relax the geometry including the Ir substrate. The equilibrium geometry for the $XO_2/Ir(100)$ - 3×1 system is obtained considering five Ir layers, where

the last layer is kept frozen during relaxation. We set the same convergence parameters as in the previous chapter (see Section 3.2), only the k -grid is different, where we set $10 \times 3 \times 1$. The relaxed geometry is given in Table 4.1 for $U = 1.5$ eV.

	NiO ₂	CoO ₂	FeO ₂	MnO ₂
z_O	1.32	1.34	1.31	1.39
z_X	1.19	1.17	0.89	1.12
d_{X-O}	1.85	1.90	1.96	1.90
d_{O-O}	2.56	2.64	2.63	2.62
Δ_{12}	1.87	1.84	1.84	1.84
Δ_{23}	1.98	1.99	1.99	1.99
Δ_{34}	1.84	1.84	1.84	1.84

Table 4.1: All lengths are given in Angstroms. The distance between the metal atoms is fixed by the Ir(100) lattice parameter $d_{\text{Ir-Ir}} = 2.71$ Å. The d_{X-O} and d_{X-X} are the interatomic lengths. The height (z) of the X and O atoms is measured from the topmost Ir layer. Δ is the averaged interplanar distance between the Ir layers. Bucklings and lateral displacements of individual Ir atoms, not shown, are of the order of 0.1 Å for the topmost layer and below 0.05 Å elsewhere.

cRPA calculations

The cRPA calculations were done using the SPEX code[127]. SPEX needs previously converged wavefunctions, obtained from DFT calculations done by the FLEUR code, based on the FLAPW method (see Section 2.2). In FLEUR, we use the GGA+ U with the PBE exchange-correlation functional. The + U correction is implemented as described by Shick *et al.* [94] within the fully-localized limit [96] to account for the double-counting correction. The specific setting of the convergence parameters of each chain is specified in Appendix B. In the unsupported case, we maintain the geometry obtained in the previous chapter, with the same k -grid sampling. The supported system is sampled with a $10 \times 3 \times 1$ k -grid centered in Γ . Partial occupations and Fermi level have been determined by a Fermi-Dirac smearing with a 0.015 Htr width.

In SPEX, the polarization involves a summation over empty states. We use a total of 150 bands to calculate a converged sum. The convergence parameters of the cRPA

are specified in Appendix B. Maximally localized wannier functions (MLWFs) are used to build real-space localized states (see Section 2.5 for a theoretical background of the MLWFs) [131]. For the MLWFs construction and cRPA calculations, a $10 \times 3 \times 3$ k -grid has been used ¹.

The screened Coulomb interaction is calculated for the $X(d)$ orbital. Therefore, the space spanned by the MLWFs should only contain the d orbitals. In the supported case, the X and O atoms are hybridized (in Fig. 4.1 a small weight of $Mn(d)$ orbitals can be appreciated in the bands near Fermi level, which have a main $O(sp)$ orbitals character). To avoid losing any contribution of the d orbital and obtain well-localized MLWFs, the localized space includes both X and O atomic orbitals. We consider 11 bands for the NiO_2 , CoO_2 , FeO_2 chains. The MLWFs are constructed with projections on the $X(d)$ orbital, as well as $O(s, p_x, p_z)$ orbitals. In the MnO_2 chain there are degenerate states, around 6 eV, (see Fig. 4.1) that need to be included to obtain well-localized MLWFs. Therefore, in the case of MnO_2 , 13 bands that include the $O(p_y)$ orbitals are considered.

Because of the short screening length in metals, we consider that two layers will be sufficient to account for the screening due to the Ir substrate (to validate the latter assumption we have made also a calculation using 3 layers, see Appendix B.2). Therefore, unless specified, only two layers are used in cRPA and FLAPW calculations. Fig. 4.1 shows a strong hybridization between chain and substrate. Hence, the Ir atomic orbitals are also included to construct the MLWFs. 41 bands are used with projections onto the p , d on the X atom, s , p on O atom and sp^3d on Ir atom. When Bloch states are projected on the MLWFs basis, we ensure that eigenstates character is not modified, i.e. that their character is approximately preserved. We calculate the projected electronic structure with FLEUR for the Bloch states and with SPEX for the MLWFs. In Fig. 4.1, we show for the unsupported and supported MnO_2 chains band structure, obtained with FLEUR and the band interpolation made by MLWFs. The MLWFs orbital characters of the bands nicely match with the ones obtained by FLEUR.

¹The k -points along the z axis are considered for the construction of the MLWFs. Setting $10 \times 1 \times 1$ or $10 \times 3 \times 1$ resulted on a impossibility to obtain adequate MLWFs, because of the lack of points in the y and z -axes needed to evaluate the derivatives using finite differences.

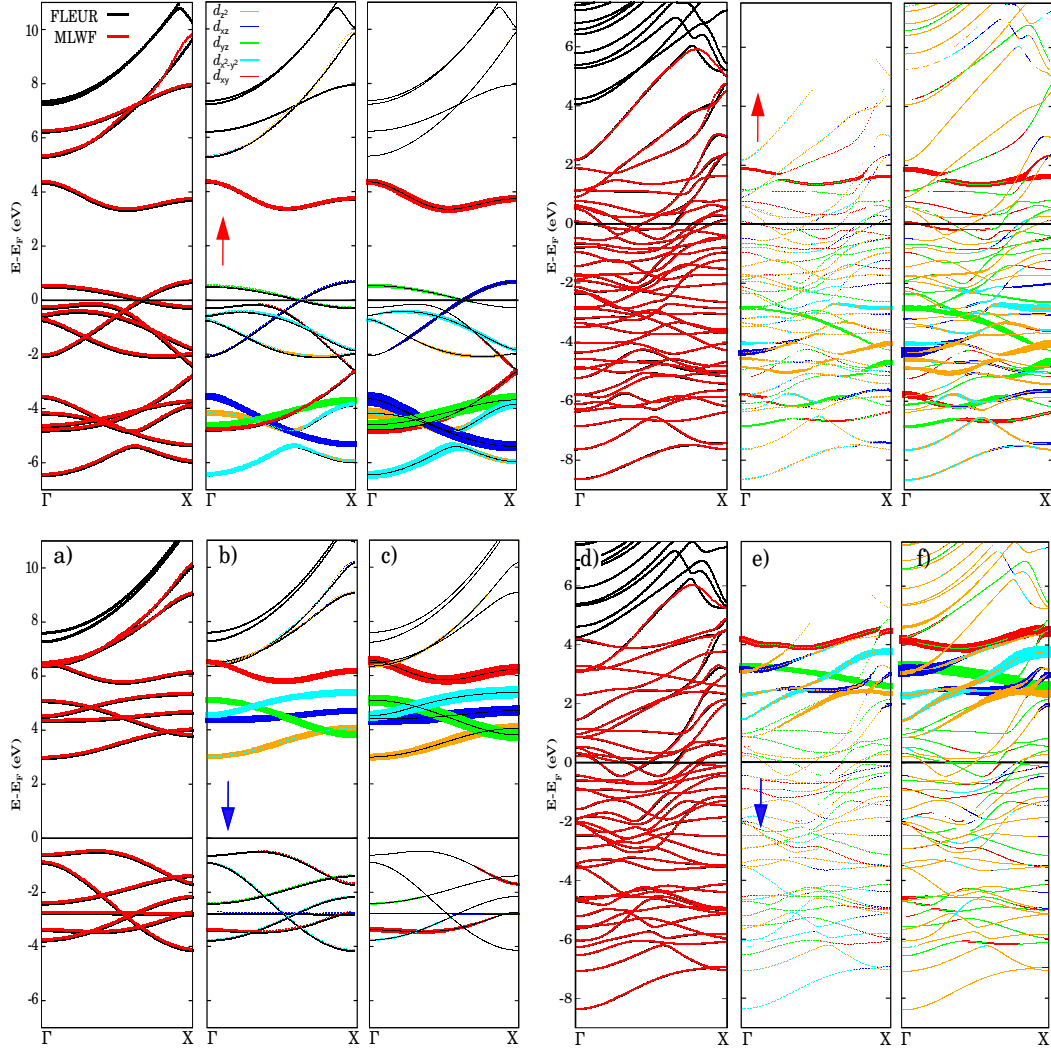


Figure 4.1: Panels (a), (b) and (c) correspond to planar free-standing chain and pannels (d), (e) and (f) to the supported case. Pannels (a) and (d) show the bands obtained by FLAPW (black) and MLWFs (red) interpolation. The (b) and (e) are the orbital weighted bands for the MLWFs, and the (c) and (f) for the FLEUR calculation.. The size of the curves is proportional to the magnitude of the projection. Arrows indicate spin up/majority (red) and spin down/minority (blue).

The U values are obtained by calculating how the polarization of the rest of the space² affects the bare Coulomb potential of the localized set. The localized space

²States not included in the correlated space.

correlation is eliminated from the total polarization. In our system, the localized set is composed of a larger space than only the $X(d)$ orbitals. This requires that the projection of the d orbitals onto the MLWF have to be singled-out from the other contributions. The projection method allows to isolate the subset formed by the $X(d)$ -like MLWFs from the whole localized set, and obtain the localized subset polarization using Eq. (2.57). In Fig. 4.2, we show the MnO_2 band structure along with the probability ($p_{\mathbf{k}m}$) of the electron to be in a certain m state at a given k -points using Eq. (2.55), for the whole localized space and only for the d orbitals subset. In Fig. 4.2 we use squares to visualize the probability, when the whole localized set is considered the squares have all the same size ($p_{\mathbf{k}m} = 1$), while when calculating $p_{\mathbf{k}m}$ for the d subset the size is smaller ($p_{\mathbf{k}m} < 1$) for bands with Mn and O orbitals mixed character and one for states with pure d orbital character.

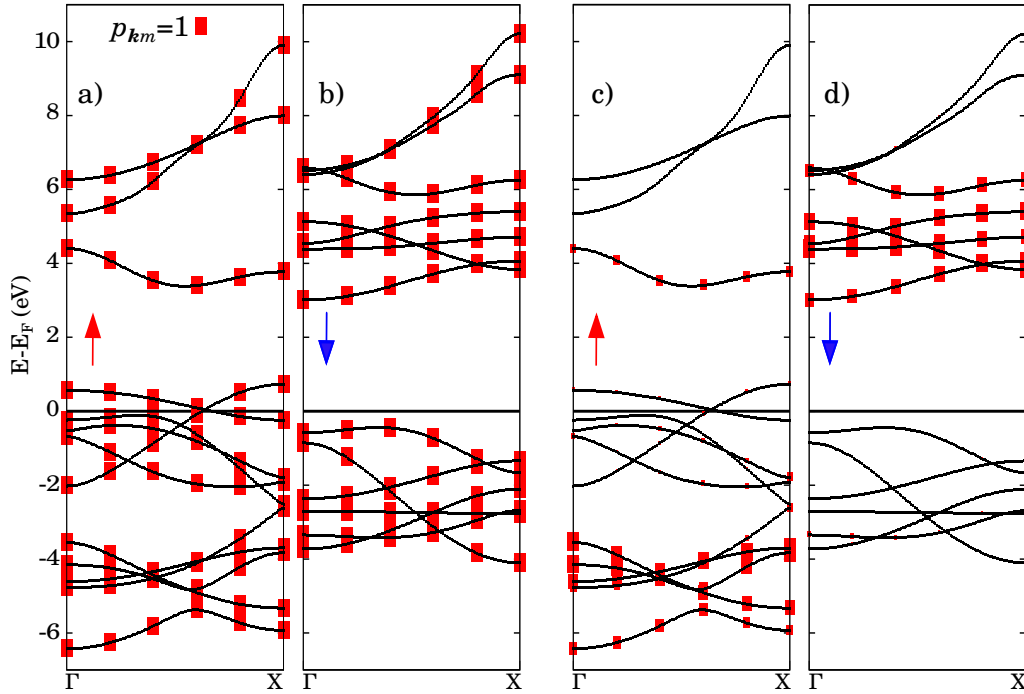


Figure 4.2: Probability $p_{\mathbf{k}m}$ of the localized space in MnO_2 chain. Pannels (a) and (b), show the probability when the whole localized set of 13 bands is considered, pannels (c) and (d) when d orbitals formed subset is chosen. The size of the square indicates the value of the probability ($p_{\mathbf{k}m}$). Bands are obtained by MLWFs interpolation. Arrows indicate spin up/majority (red) and spin down/minority (blue).

The U and J values are obtained by spherical averaging of the interaction matrix elements in the static limit $U_{mm'nn'}^{\alpha\beta}(\omega \rightarrow 0)$, previously defined in Eq. (2.59). We follow the workflow of Fig. 2.6 with the convergence criteria of $\Delta U = |U_{\text{new}} - U_{\text{old}}| < 0.05$ eV.

4.3 Planar free-standing XO_2 chains

The isolated chain model allows to study the screened Coulomb interaction arising only due to the bonding to O atoms. We set $U_0 = 5.5$ eV and $J_0 = 0.0$ eV as initial guess values to calculate the one-electron wavefunctions in FLEUR. With them obtain the new U and J values with SPEX.

The U and J values are calculated for the spin channels $\uparrow\uparrow$, $\uparrow\downarrow$ and $\downarrow\downarrow$. Note that $\uparrow\downarrow$ will yield the same result as $\downarrow\uparrow$ ³. About 4-5 cycles are needed to obtain convergence. In Table 4.2, we give the results for the $\uparrow\uparrow$ channel. We find that the U and J values are rather insensitive to the selected spin channels (we tabulate the value of U and J for different spin channels in Appendix B). To check if the obtained values depend on our initial guess we have also considered other starting values, namely, $U_0 = 3.5$ and 7.5 eV, which tend to converge to the same U and J , except the NiO_2 , which will be discussed separately. The interorbital interaction, J , does not show a significant variation. Differences are ≤ 0.2 eV for the different compounds. The Hubbard parameters can be interpreted with the Slater integrals, where the intraorbital parameter is $U = F^0$ and, for the d orbital, the interorbital exchange is $J = \frac{1}{14}(F^2 + F^4)$ [177, 180, 92]. The F^2 and F^4 are slightly affected by screening effects, maintaining an almost constant J value [177, 181, 161].

The U values of CoO_2 , FeO_2 and MnO_2 range from 5.73 eV to 7.67 eV (see Table 4.2). The FeO_2 shows the highest value compared to the other chains. Electronic structure calculations show that this system is an insulator while the others are half-metallic (see Fig. 4.3). Metals have a shorter screening length than insulators, agreeing with FeO_2 showing a larger U value.

³The average U value is the same, since matrices are conjugated transposes: $U_{mn;mn}^{\uparrow\downarrow} = (U_{mn;mn}^{\downarrow\uparrow})^\dagger$.

XO_2	U	J	\tilde{U}
Ni (C1)	6.59	1.17	8.45
Ni (C2)	2.41	1.01	7.03
Mn	6.21	1.04	6.57
Co	5.73	1.11	8.62
Fe	7.67	1.13	9.06

Table 4.2: Converged U and J values ($\uparrow\uparrow$ spin channel) for the planar free-standing XO_2 chains. The \tilde{U} is the result when the shell-folding method is used. All units in eV.

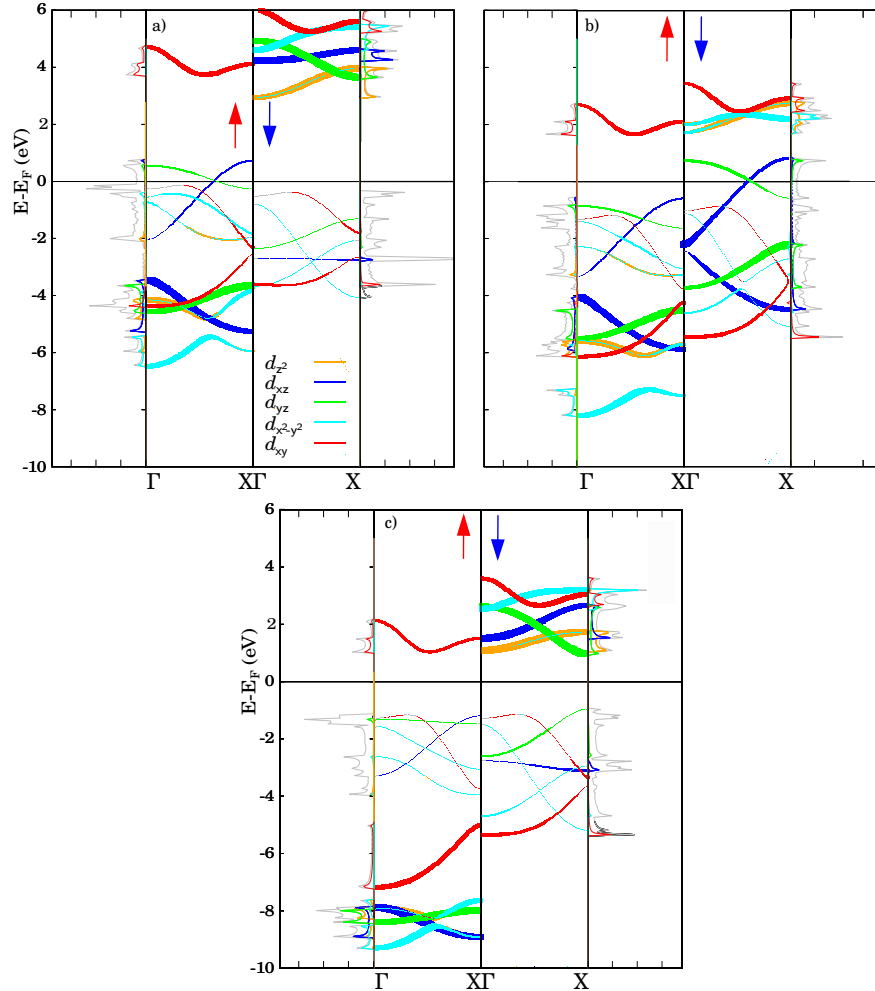


Figure 4.3: In each panel, central subpanels show the electronic structure of the planar unsupported chain, and on the sides the PDOS. (a) MnO_2 , (b) CoO_2 and (c) FeO_2 . Arrows indicate spin majority (red) and spin minority (blue). The d orbital character of the bands is plotted with a color code, where the thickness is proportional to the magnitude of the projection of each d orbital. Full bands and the total DOS are plotted in gray.

The NiO_2 shows a distinct behavior from the rest. Two different $\text{Ni}(d)$ orbital configurations are converged depending on the starting U_0 . We label them C1 and C2. These configurations are maintained throughout consecutive FLAPW and cRPA cycles. If $U_0 \geq 4$ eV the resulting orbital configuration will be the C1, and for $U_0 < 4$ eV the C2 configuration is favored, with converged U values of $U = 6.59$ eV and $U = 2.41$ eV, respectively. The difference between C1 and C2 is the occupation of the $\text{Ni}(d)$ orbital (see Fig. 4.5 for the band structure and PDOS for the C1 and C2 configurations). DFT+ U calculations show that the spin magnetic moment of each configuration is $\mu_{\text{Ni}}^{\text{C1}} = 1.23 \mu_B$ and $\mu_{\text{Ni}}^{\text{C2}} = 0.55 \mu_B$, respectively. C1 and C2 configurations can be considered as two multiplets of $S = 1/2$, i.e. two states with the same spin state but different orbital occupancy configuration. Nevertheless, the difference between the bare Coulomb parameters⁴ is just $V^{\text{C1}} - V^{\text{C2}} = 25.02 - 24.81 = 0.21$ eV, a 0.8% relative variation on the averaged matrix elements. A large variation on the bare Coulomb potential would indicate that the shape of the orbitals is altered depending on the configuration. A real space representation of the Wannier orbitals, shown in Fig. 4.4, assures that both C1 and C2 present almost no difference. The slight variations between the MLWFs can result in a small difference on the bare Coulomb parameters, but they can not explain the large variation of U . C1 and C2 screening difference is the result of the different $\text{Ni}(d)$ orbital occupancy and consequently the different electronic structures.

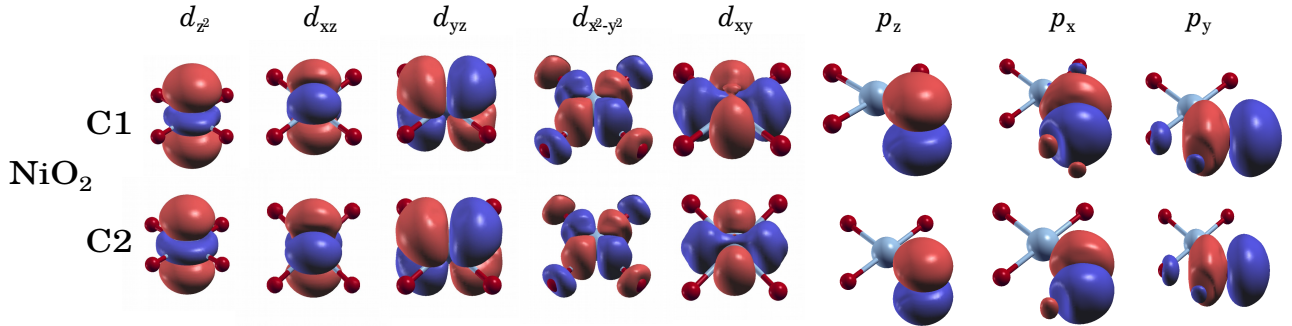


Figure 4.4: Real space representation of the unsupported chains MLWFs of the spin minority $\text{Ni}(d)$ and $\text{O}(p)$ orbitals.

⁴Average of the electron interaction without screening: $V_{m_1 m_2 m_3 m_4} = \langle m_1 m_2 | \frac{1}{|\mathbf{r} - \mathbf{r}'|} | m_3 m_4 \rangle$.

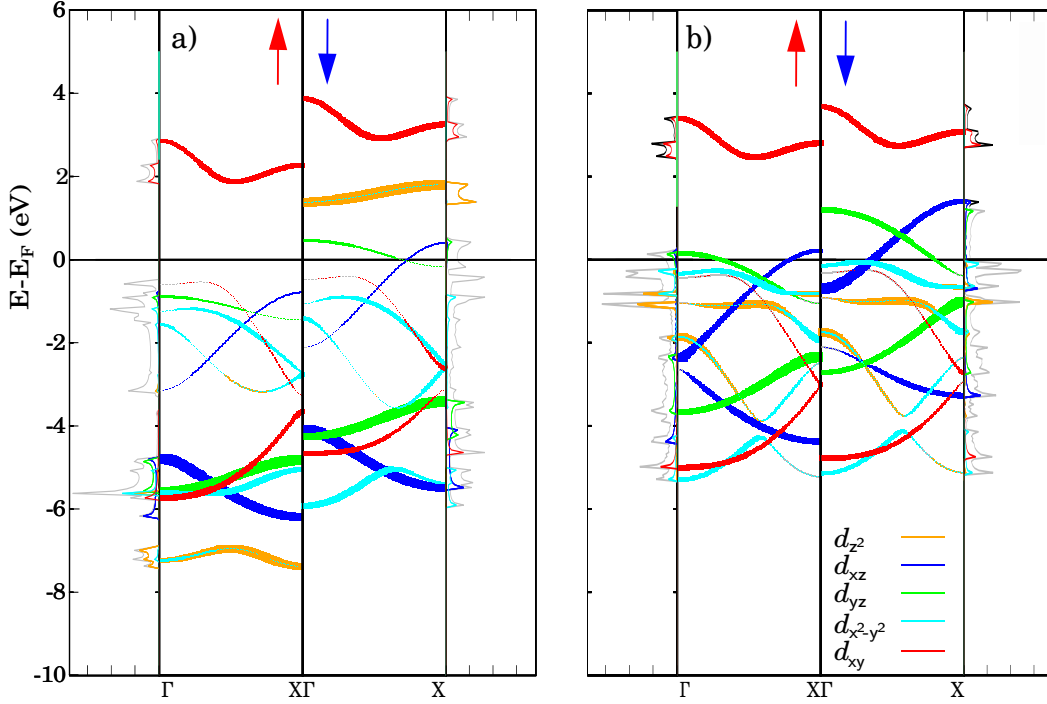


Figure 4.5: Same information as in Fig. 4.3. The free standing NiO_2 is shown in panels (a) C1 and (b) C2.

To obtain insight into the effective screening, we modify the subset where the screened interaction is calculated. In Fig. 4.6, we show the matrix elements U_{mn} ⁵ for the $\uparrow\uparrow$ spin channel. We recall that the subset correlation is excluded. In consequence, if we include $O(s)$ [$O(p)$], the origin of the effective screening will be due solely to $O(p)$ [$O(s)$]. Only bands that lie deeply in energy have $X(s)$ and $X(p)$ orbital weight in the muffin-tin. Therefore, we assume that the screening effects from these orbitals are negligible.

The matrix elements shown in panels (a) and (d) in Fig. 4.6 consider only d orbitals subset, hence, screening is due to $O(sp)$. In the following panels the combined effect of $O(s)$ and $O(p)$ is separated. For (b) and (e) is due to $O(p)$, for panels (c) and (f) only to $O(s)$. As a reference, we also show the bare Coulomb matrix elements of $\text{Ni}(d)$, $O(s)$ and $O(p)$ of C1. When the $O(p)$ orbital is considered as the origin of the screening, and

⁵We use contracted indices notation: $U_{mn;mn} \rightarrow U_{mn}$.

similarly with the $O(sp)$ combined effect, the averaged $U(d, d)$ ⁶ parameter is 6.70 eV in C1 and 2.61 eV in C2. Nevertheless, $O(s)$ is not to be overlooked, as the $O(s)$ reduces the U from 25 eV to 15 eV in the C1 state and to 10 eV in the C2. From these results, we can conclude that the combined effect of $O(sp)$ on $Ni(d)$ can not be separated into a summation of individual terms regarding the effective screening of the $O(s)$ and $O(p)$ orbitals. The $O(p)$ orbital is the main source of the screening on the d orbital for the C1 and C2. Still, in the C2, the $O(p)$ shows a larger efficiency in the screening. This indicates that the $Ni(d)$ - $O(p)$ interaction differs for the C1 and C2 configurations.

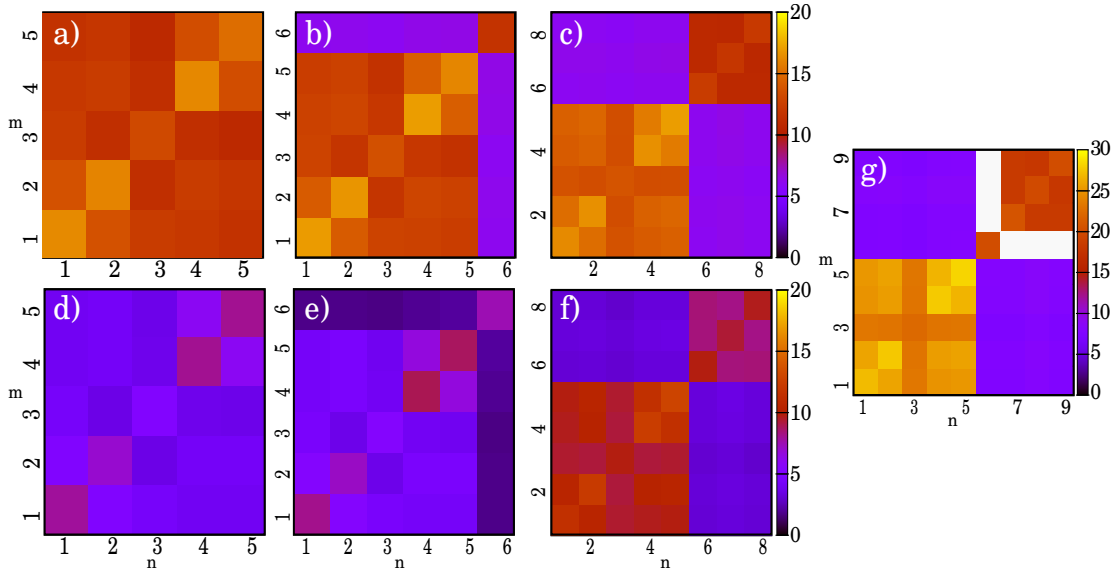


Figure 4.6: $U_{mn}^{\uparrow\uparrow}$ matrix elements for the screened orbitals. The indices indicate the orbitals, ordered as 1- d_{z^2} , 2- d_{xz} , 3- d_{yz} , 4- $d_{x^2-y^2}$, 5- d_{xy} for the Ni and 6- p_z , 7- p_x and 8- p_y for the O atom. In panels (a) and (d) the subset is formed with $Ni(d)$, in (d) and (e) with the $Ni(d)$ and $O(s)$ and in (e) and (f) with the $Ni(d)$ and $O(p)$. As a reference the bare Coulomb matrix (C1 configuration) is included (panel g). Color code units in eV

The PDOS and band structure (see Fig. 4.5) of the chain shows the features arising from the different $d-p$ bonding of each multiplet state. According to Eq. (2.57), at the static limit ($\omega \rightarrow 0$) the main contribution to the polarization are the states around

⁶With $U(d, d)$ we refer to the matrix block formed by the d orbital.

the Fermi level [126]. Therefore, the larger the density of states at Fermi level, $\rho(E_F)$, the more effective the screening. The multiplets show different electronic structures: C1 presents a half-metallic state, where the band-gap is at majority spin, and d_{xz} and d_{yz} states are fully occupied, while C2 is metallic. These findings agree with the obtained results, where C1 has a larger U than the metallic C2. In addition, the C2 configuration presents sharp peaks around the Fermi level. The band narrowing in C2 enhances the electronic polarization, which in turn can reduce the U value even more [126].

Bands with d_{xy} character show a similar splitting and localization in energy in both multiplets. The main difference between the C1 and C2 is at bands with d_{z^2, x^2-y^2} character⁷. According to Table 4.3 in C1 the $d_{z^2, \downarrow}$ is empty. In C2 the d_{z^2, x^2-y^2} orbitals are fully occupied. In the C2 configuration, the Ni and O atom orbitals are more hybridized around the Fermi level than in the C1, where there are almost no mixing between Ni(d) and oxygen orbitals in majority spin (see PDOS in the Fig. 4.5). The change in the hybridization suggests that the Ni(d) and O(p) interact in a different manner in the C1 and C2 configurations. The ligand field difference of C1 and C2 is reflected in the charge transfer between O and Ni atom: in C2 PDOS peaks at $E_F - 1$ eV indicate a $d-d$ character band gap (meaning that $U < \Delta_{CT}$), while in the C1 the band gap is formed between Ni(d) – O(p) orbitals (i.e. $U > \Delta_{CT}$) [157].

Next, we estimate the correlation energy with:

$$E_U = U \sum_i n_i^\uparrow n_i^\downarrow \quad (4.1)$$

where $n_i^{\uparrow(\downarrow)}$ are the individual orbital occupations in Table 4.3. The latter estimation shows the trend of the U values depending on the orbital occupation. The results for $\sum_i n_i^\uparrow n_i^\downarrow$ and E_U are given in Table 4.4⁸. C2 shows a larger $\sum_i n_i^\uparrow n_i^\downarrow$ than C1, suggesting that U should be lowered in order to minimize the energy, in agreement with our results. Note, however, that Eq. (4.1) results can not be used as a criterion to define which configuration is more stable, as DFT+ U total energies for different U values can not be compared. Only for $U \simeq 6$ eV and $J \simeq 1$ eV both configurations have been

⁷The chain symmetry favors the formation of the sp^3d^2 hybrid orbital, where d_{z^2} and $d_{x^2-y^2}$ orbitals are hybridized.

⁸Since d_{z^2} and $d_{x^2-y^2}$ form a hybrid atomic orbital⁷, we consider them a single orbital with double maximum occupancy.

converged, resulting in a C1 ground state while C2 is a metastable state separated by 0.33 eV.

	Spin	d_{z^2}	d_{xz}	d_{yz}	$d_{x^2-y^2}$	d_{xy}	μ_X (μ_B)
NiO ₂ : C1	↑	0.99	0.99	0.99	0.99	0.54	1.23
	↓	0.03	0.94	0.85	0.97	0.42	
NiO ₂ : C2	↑	0.99	0.91	0.86	0.99	0.48	0.55
	↓	0.99	0.64	0.61	0.99	0.46	
MnO ₂	↑	0.94	0.91	0.86	0.99	0.41	3.49
	↓	0.01	0.10	0.08	0.09	0.28	
FeO ₂	↑	0.98	0.98	1.00	1.00	0.59	3.67
	↓	0.01	0.21	0.14	0.11	0.49	
CoO ₂	↑	0.97	1.00	1.00	0.96	0.52	2.21
	↓	0.00	0.84	0.75	0.14	0.46	

Table 4.3: Individual occupations of the X(d) orbital of the unsupported chains. The spin magnetic moment is included to indicate the spin state.

	$n^\uparrow n^\downarrow$	E_U
NiO ₂ C1	3.98	26.2
NiO ₂ C2	5.09	12.3
MnO ₂	0.40	1.3
CoO ₂	2.11	12.1
FeO ₂	0.80	6.1

Table 4.4: $n^\uparrow n^\downarrow$ factors and correlation energy estimates E_U of free-standing chains.

Seth *et al.* [182] proposed another method to cope with the correlation when strong hybridization between the d and p In Ref. [182], the "shell-folding" (SF) method is proposed, where a renormalization of U value is made to account for the screening due to the d - p ligand field. Within the shell-folding approach, the localized subset includes d and also p orbitals, resulting on off-diagonals elements in the Coulomb matrix that will account for the d - p interaction (see Fig. 4.6). Assuming that the

total occupation of d and p orbitals is invariant over changes in the U , the resulting effective screening is calculated as $\tilde{U}(d, d) = U(d, d) - U(d, p)$, where $\tilde{U}(d, d)$ is the renormalized screening, $U(d, d)$ is the average value of the matrix elements of the d - d diagonal block (intraorbital interaction), and $U(d, p)$ is the average of the off-diagonal block. The resulting $\tilde{U}(d, d)$ are given in Table 4.5.

	$U(d, d)$	$U(d, p)$	$U(p, p)$	$\tilde{U} = U(d, d) - U(d, p)$	$\tilde{U} - U$
MnO ₂	12.24	5.67	9.96	6.57	0.36
FeO ₂	15.19	6.13	10.64	9.06	1.39
CoO ₂	14.84	6.22	11.08	8.62	2.89
NiO ₂ (C1)	14.61	6.15	11.26	8.45	1.86
NiO ₂ (C2)	10.31	3.28	8.77	7.03	4.62

Table 4.5: Screened Coulomb parameter using the shell-folding method for the planar unsupported chain. The U values indicate the averaged of block matrices dd , dp or pp . The fourth column is the result of the shell-folding renormalization (\tilde{U}). The last column indicates the difference between the shelf-folded \tilde{U} and the cRPA with projection method with only a d orbital subset. All values in eV.

For all unsupported planar chains $\tilde{U} > U$ is obtained, as shown in Table 4.2. In the MnO₂ chain, the difference between the $\tilde{U} - U$ is 0.36 eV. The small difference between the two methods implies that the $d - p$ ligand contribution is correctly described, i.e. the correlated space is well separated from the rest of space. In NiO₂, we already mentioned that the d - p ligands do not interact in the same manner at C1 and C2 configurations. The difference in $\tilde{U} - U$ is 1.86 eV and 4.62 eV for the C1 and C2, respectively. In the C2 configuration, the $d - p$ ligand field has a significant effect compared to the C1 one. The block average $U(d, p)$ for the NiO₂-C2 is 3.28 eV, which shows in a large difference from the other chains where a $U(d, p) \sim 6$ eV is obtained. The FeO₂ and CoO₂ are in between the limit behaviors of the MnO₂ and NiO₂-C2.

Non-planarity in free standing chains

In the ideal case, metal and O atoms are coplanar, but as the X and O atom form the chain in a reconstructed Ir(100), the O atoms are lifted. The non-planarity induces larger bonds between the X and O atoms, that alters the electron hopping and may

affect the Coulomb interaction. To consider separately the effects of the adsorbed geometry in the substrate, we have made a cRPA calculation with the free-standing MnO_2 chains in the adsorbed buckled geometry. In Fig. 4.7, we compare the band structures of the both unsupported MnO_2 chain.

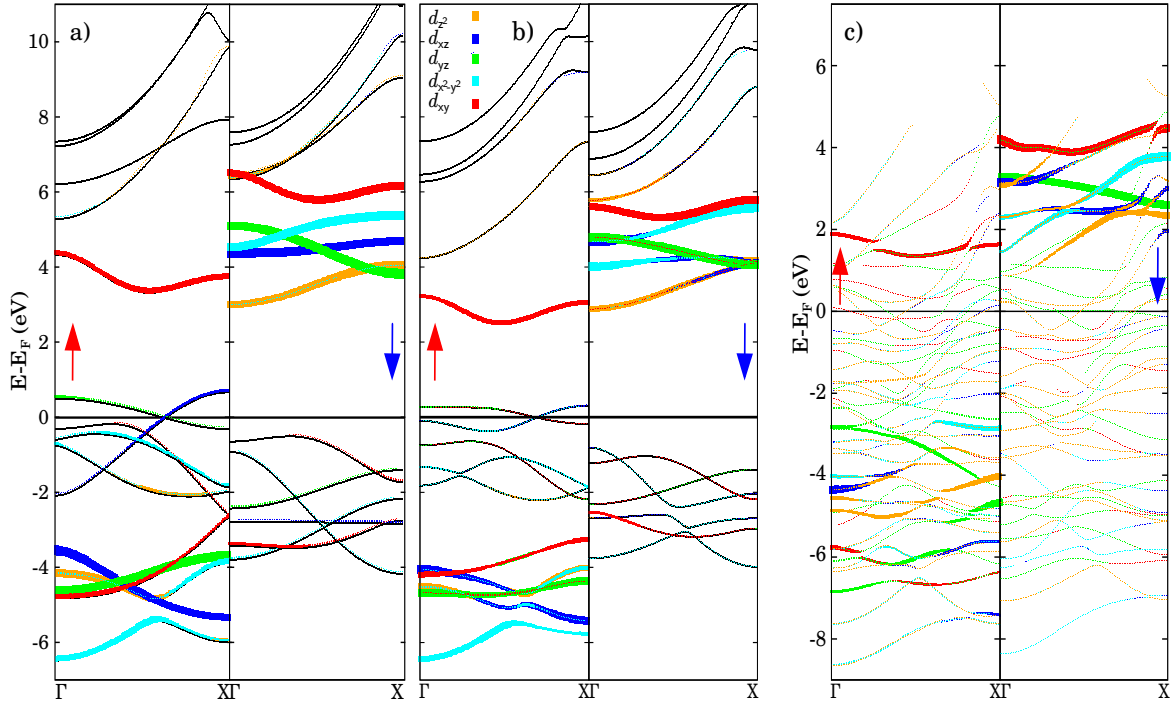


Figure 4.7: Band structure of the unsupported (a) planar, (b) adsorbed geometry and (c) supported MnO_2 chain for majority and minority spins. The d orbital projections color code is the same as in Fig. 4.5.

In the buckled geometry, band dispersion is modified with respect to the planar chain, but the general aspects of the hybridization between the Mn and O atoms is maintained. For the buckled MnO_2 , the converge interaction parameters are $U = 6.18$ eV and $J = 1.04$ eV (in the $\uparrow\uparrow$ spin channel). There is a change of 0.03 eV on the intraorbital interaction while there is no variation on the interorbital exchange interaction. In the next section, we will study the screened correlation when the Ir substrate is included.

4.4 Supported XO_2 chains on Ir(100)

Charge transfer and orbital hybridization between substrate and chain can alter the electronic structure of the chains, which may, in turn, affect the screened Coulomb interaction. We have already seen that different orbital configurations with the same spin state yield different effective screenings, e.g. NiO₂ C1 vs C2, since the binding with O(p) is different in these cases. Hence, a contribution due to multiplet change can not be disregarded in our calculations. Non-planarity between O and X atoms does not induce major changes in the screening as seen in the previous subsection, Section 4.3. Therefore, in our discussion, we neglect its contribution.

The U value can be defined as the sum between the affinity and ionization energies, but upon deposition of the oxides on metals, the interaction between the d orbitals is further screened by another term, $U = E(d^{n+1}) + E(d^{n-1}) - 2E(d^n) - 2E_{im}$, where E_{im} is the image potential originated from the ions creating a mirror charge in the substrate [160, 161]. However, this approximation is not applicable because the X atom is absorbed into a missing row of, i.e. they are not on top of the substrate but *in* the substrate (see Fig. 3.1). Therefore, an approximation of the atom as a point charge with a Coulomb interaction tail of $1/|z - z_x|$, where z is the distance and z_x height of the X atom can not be considered.

In the supported case, the initial guess is set at $U_0 = 3.5$ eV and $J_0 = 0.0$ eV. The converged values of U and J for the supported chains are given in Table 4.6. All U values are reduced in comparison to the planar free-standing chain. At the FeO₂ chain, the effective screening is reduced by as much as ~ 6 eV compared to the free-standing case. The interorbital exchange coupling, J , is also smaller than in the unsupported case. The largest change is ~ 0.30 eV for the Fe atom.

Interaction between the Ir atoms and the chain is visible in the electronic structure of the chains (see Fig. 4.8). We begin by discussing the MnO₂ and CoO₂ chains, as they show a similar trend. Charge transfer from the substrate fills the partially occupied $d_{xz,\uparrow}$ and $d_{yz,\uparrow}$ bands in both chains, and in CoO₂, a partial filling of the $d_{x^2-y^2,\downarrow}$ can be observed near the Fermi level. In Table 4.7, we give the individual partial occupations of the supported chains.

XO ₂ /Ir	U	J	\tilde{U}
Ni	1.71	0.87	1.16
Mn	3.78	0.98	3.29
Co	2.39	0.90	
Fe	1.38	0.80	

Table 4.6: Converged U and J values ($\uparrow\uparrow$ spin channel) for the XO₂/Ir(100) chains. All units in eV.

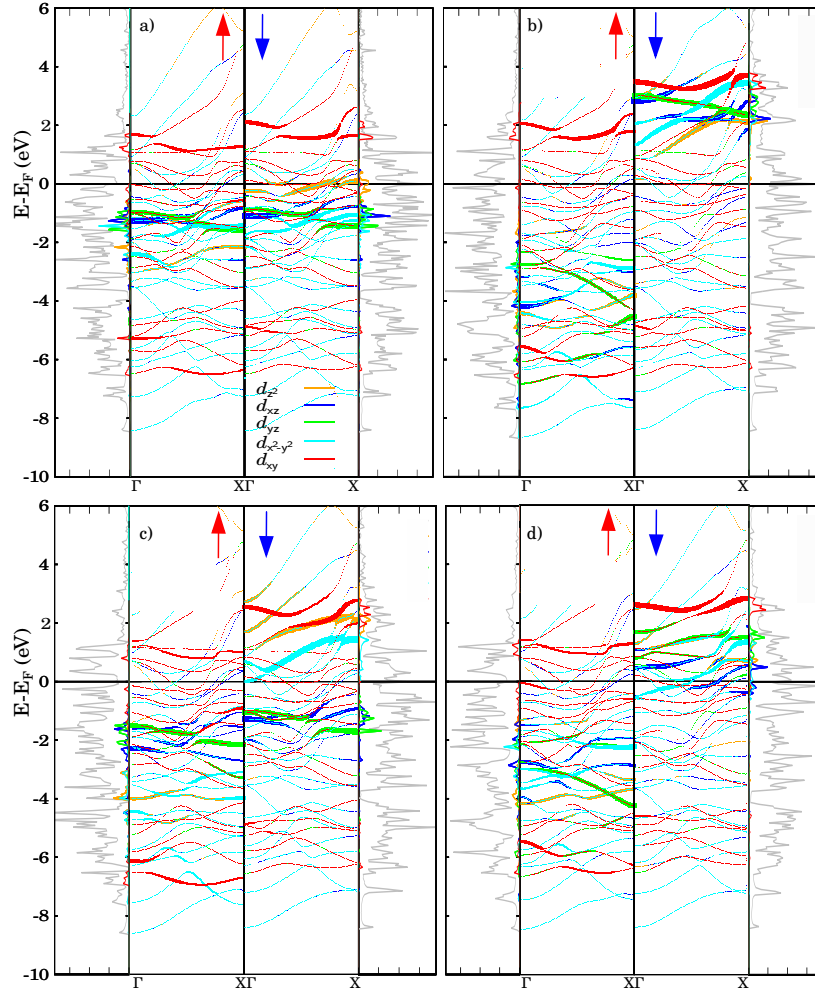


Figure 4.8: Same information as Fig. 4.3 for the supported (a) NiO₂ (b) MnO₂, (c) CoO₂ and (d) FeO₂ chains.

	Spin	d_{z^2}	d_{xz}	d_{yz}	$d_{x^2-y^2}$	d_{xy}	μ_X (μ_B)
NiO ₂ /Ir	↑	0.97	0.95	0.95	0.97	0.62	0.52
	↓	0.59	0.94	0.95	0.96	0.41	
MnO ₂ /Ir	↑	0.96	0.98	0.98	0.99	0.41	3.66
	↓	0.08	0.08	0.08	0.09	0.23	
FeO ₂ /Ir	↑	0.95	0.97	0.97	0.98	0.68	2.87
	↓	0.25	0.41	0.17	0.36	0.28	
CoO ₂ /Ir	↑	0.97	0.96	0.96	0.98	0.70	2.02
	↓	0.08	0.93	0.94	0.29	0.31	

Table 4.7: Individual occupations of the $X(d)$ orbital in the supported chain. The spin magnetic moment is shown too.

	$n^\uparrow n^\downarrow$	E_U (eV)
NiO ₂ /Ir	5.08	8.7
MnO ₂ /Ir	0.61	2.3
CoO ₂ /Ir	2.74	6.5
FeO ₂ /Ir	1.93	2.7

Table 4.8: $n^\uparrow n^\downarrow$ factors and correlation energy estimates E_U for the supported chains.

Using Eq. (4.1) to estimate the correlation energy, the $\sum_i n_i^\uparrow n_i^\downarrow$ factor shows a subtle increase (see Table 4.8), consistent with the U values decrease as indicated in Table 4.6. The study of individual occupancies shows that the multiplet configuration of the MnO₂ and CoO₂ is maintained upon deposition. Even the magnetic moments are similar to those of the unsupported chain.

We apply the shell-folding method, where all screening processes due to the $O(sp)$ are eliminated, leaving only the Ir substrate, i.e. the localized subset is formed by the $X(d)$ and $O(sp)$. The obtained matrix elements for MnO₂ are plotted in Fig. 4.9. The renormalized \tilde{U} value yields 3.29 eV, similar to the value obtained including $O(sp)$ orbitals in the screening, $U = 3.78$ eV. The small difference (~ 0.5 eV) between shell-folding and our method implies that bonds $d-p$ are disentangled as in the free-standing case. In Fig. 4.9, we compare the matrix elements obtained for the MnO₂

and $\text{MnO}_2/\text{Ir}(100)$. In panels (a) and (b) we show planar unsupported case where the $\text{O}(p)$ is the main source of the screening. In the supported case (panels (c) and (d)), there is only a slight change when the $\text{O}(sp)$ is taken out, implying that Ir is the main source of screening.

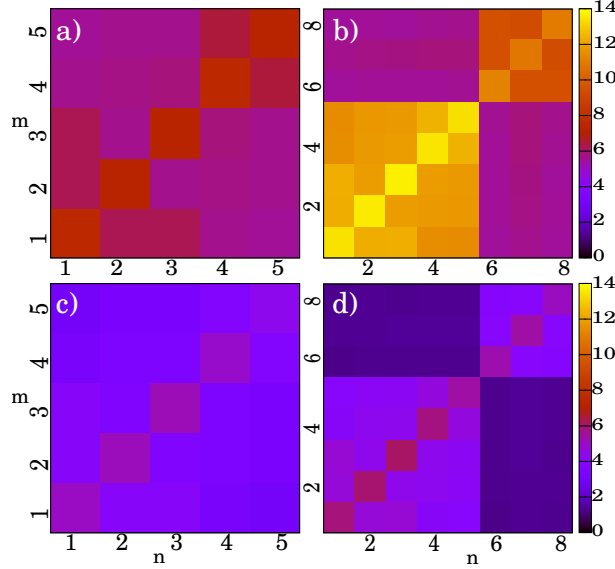


Figure 4.9: Screened Coulomb matrix elements for MnO_2 and MnO_2/Ir . Panel (a) is only for $\text{Mn}(d)$, (b) considers a $\text{Mn}(d)$ and $\text{O}(p)$ formed subset. Panel (c) is the same as (a) for the MnO_2/Ir and (d) the correlated space is the $\text{Mn}(d)$ and $\text{O}(sp)$. The $\text{O}(s)$ matrix elements are not shown. The numbering follows the same code as in Fig. 4.6. All units in eV.

The NiO_2/Ir chain shows a similar trend as CoO_2 and MnO_2 chain on the orbital filling: d_{xz} and d_{yz} become occupied by charge transfer, but, in this case the $d_{z^2, x^2-y^2, \downarrow}$ becomes partially occupied (see Table 4.7). All states of $\text{Ni}(d)$ form narrow bands around the Fermi level and $E_F - 2$ eV, resembling the narrow peaks present in the C2 configuration. In addition, as given in Table 4.8 the $\sum_i n_i^\uparrow n_i^\downarrow$ factor differs only by 0.01 and the spin magnetic moment by $0.03 \mu_B$ from the free-standing C2 configuration. Hence, we consider that upon deposition a similar state as the C2 is settled for the Ni atom. The converged low value of $U = 1.71$ eV can be considered an effect of the further screening of the Ir to the $\text{NiO}_2\text{-C2}$, which already shows a substantial screening. Thus, the multiplet state plays an important role on the obtained U value.

A comparison with the C1 value would be interesting, but it is not obtained in the adsorbed NiO_2 chains, neither as a ground state nor as a metastable state for the studied U parameter range ($U_0 = 1.5, 3.5$ and 5.5 eV). All calculations initializing with the orbital configuration of C1 are driven to the similar C2 ground state, yielding the same converged U and J values. We calculate the *shell-folded* interaction for the NiO_2 , being $\tilde{U} = 1.16$ eV. The difference between the d formed correlation space U value and \tilde{U} is ~ 0.6 . The $Ni(d) - O(p)$ ligand field is effectively well described when the chain is on the substrate, owing to a change in the $d - p$ interaction due to the Ir.

Note that in the unsupported chains, the shell-folded method yields $\tilde{U} > U$, while in the supported case, $\tilde{U} < U$. This implies that Ir layers also modifies the p orbitals of the O atoms (see Fig. 4.10). In the supported case, the Ir substrate effectively screens both X and O atoms. The real space representation of the MLWFs shows that including the substrate can affect the shape of the orbitals, e.g. $O(p_z)$ and $O(p_y)$ orbitals.

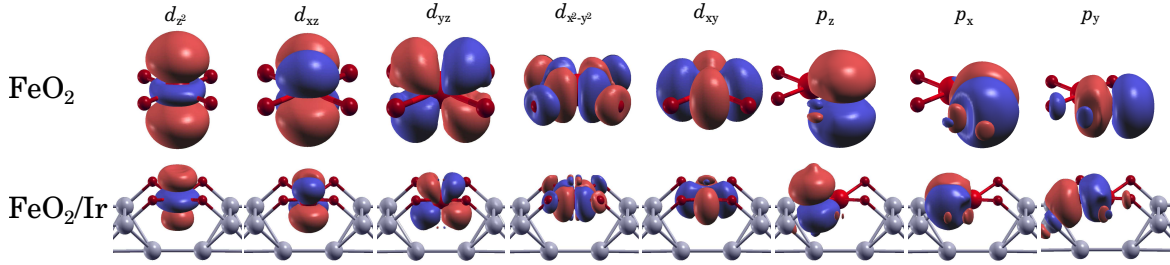


Figure 4.10: Real space representation of the minority spin MLWFs in the FeO_2 and FeO_2/Ir chain. Second and bottom rows show the unsupported and supported FeO_2 chains, respectively.

	$U(d, d)$	$U(d, p)$	$U(p, p)$	$\tilde{U} = U(d, d) - U(d, p)$	$\tilde{U} - U$
$MnO_2/Ir(100)$	4.66	1.37	4.34	3.29	-0.49
$NiO_2/Ir(100)$	1.99	0.83	1.26	1.16	-0.55

Table 4.9: Screened Coulomb parameters using the shell folding method for the supported MnO_2 and NiO_2 chains. The distribution of the table follows Table 4.5. All values in eV.

Finally, the FeO₂/Ir system is discussed. The converged intraorbital value shows a drastic enhancement of the effective screening compared to the isolated chain case, $U = 1.38$ eV, which is a reduction of more than 6 eV. The real-space representation of the MLWFs do not show major changes due to the substrate (see Fig. 4.10), hence, the change in the U needs to be due to other features. In Table 4.8, the sum over $n_i^\downarrow n_i^\uparrow$ increases by one unit compared to the ideal chain case. This increase is also reflected in the change of spin state, where the Fe atom changes from a $S = 2$ (unsupported case) to a $S=3/2$ state. The planar free-standing FeO₂ electronic structure shows the features of a CT insulator, i.e. a band gap between $X(d) - O(p)$ orbitals. However, in the supported case the chain becomes metallic as spin minority d bands are located around Fermi. The drastic change in the U value can be associated with the insulator-to-metallic transition. We have checked that, despite varying the U value in the GGA+ U calculations, the minority d band is pinned at the Fermi level, and this could be driving the cRPA cycles to the low U values.

Considering the change of state and the large U variation, one could pose the question: can the free-standing chain properties could be recovered by lifting the chain from the surface?. We artificially set it to two different heights: $z_{\text{Fe}} = 2.5$ Å and $z_{\text{Fe}} = 4$ Å, measured from X atom in the absorbed geometry. At the same time, we consider two different initial U values: the converged free-standing value $U_0^f = 7.67$ eV and the converged absorbed one $U_0^s = 1.35$ eV. In Table 4.10, we show the obtained U values for each calculation.

$z_{\text{Fe}} = 2.5$ Å		$z_{\text{Fe}} = 4$ Å
$U_0^s = 1.35$ eV	$U_2^s = 3.38$ eV	$U_1^s = 3.18$ eV
$U_0^f = 7.67$ eV	$U_2^f = 3.73$ eV	$U_1^f = 6.13$ eV

Table 4.10: Resulting U values when the FeO₂ chain is lifted at $z_{\text{Fe}} = 2.5$ and 4 Å starting from U_0^s or U_0^f . The subscript indicates the iteration number, and the $f(s)$ superscript indicates that the starting U value is the free-standing or supported.

The resulting PDOS are shown in Fig. 4.11. At the intermediate height of $z_{\text{Fe}} = 2.5$ Å, both cRPA calculations yield a $U \simeq 3.5$ eV after two iterations. Looking to the PDOS at $z_{\text{Fe}} = 2.5$ Å, the $d_{z^2, \downarrow}$ is pinned at the Fermi level for both starting values (panels (a) and (b)), and also a $d_{xy, \uparrow}$ for the U_2^f (panel (b)) that can contribute to reduce the Hubbard- U .

At height $z_{\text{Fe}} = 4 \text{ \AA}$, the first iteration the cRPA results in $U_1^f = 6.13 \text{ eV}$ and $U_1^s = 3.81 \text{ eV}$ values. Both U_0^s and U_0^f values are not capable of attaining the free-standing chain's U value. Fig. 4.11 panel (c) shows a small peak of $d_{z^2, \uparrow}$ and other d character peaks persist near E_F . For U^f (panel (d)) this pinning of the d_{z^2} vanishes becoming an empty orbital for both U values, but still a empty $d_{xy, \uparrow}$ is near Fermi. If we compare the free-standing FeO_2 chain's PDOS (Fig. 4.3) with the lifted ones (Fig. 4.11), we see that at $z = 4$, panel (d), the PDOS is similar to the free-standing FeO_2 chain, as the d orbitals peaks are at a similar energy range ($E_F - 8 \text{ eV} - E_F - 10 \text{ eV}$), except for the $d_{xy, \uparrow}$ which is situated near the Fermi level instead of $E_F + 1 \text{ eV}$.

The artificial lifting of the chain cannot reproduce the free-standing U value, even though hybridization between substrate and chain is almost completely lost in the $z = 4 \text{ \AA}$ and U_0^f . The still present long-range screening effect might be due to the exchange-correlation functional. The GGA works with error cancellation, hence, low-density situation result in poorer description, not being able to describe the Coulomb tail $1/(z)$ correctly.

4.5 Conclusions

In conclusion, DFT+ U and cRPA calculations are used to study the electronic correlation of TMO $X\text{O}_2$ chains on Ir(100), where $X = \text{Ni, Co, Fe and Mn}$. We have calculated the U and J values of the free-standing planar and supported chains, with an analysis of the interplay between the ligand field and the substrate.

In the ideal case of the planar free-standing chains, we obtain U values ranging from 2.4 to 7.7 eV, being the largest value that of the insulator FeO_2 chain. DFT+ U calculations show the existence of two different multiplets for the same spin state for NiO_2 : C1 and C2 configurations, which C1 can be associated to a $d-d$ gap, ($U < \Delta_{\text{CT}}$), and C2 a $d-p$ one ($U > \Delta_{\text{CT}}$), where Δ_{CT} is the charge-transfer energy. Each configuration shows a different U value. Calculations with the shell folded method result on higher values of the U for all chains. These calculations show that each $\text{Ni}(d)$ multiplet interacts differently with the $\text{O}(p)$ orbital depending on the orbital configuration. Calculations varying the correlated space show that the $\text{O}(p)$ is the main source of screening. The non-planar geometry of the chain modifies the band structure but the U value is slightly affected.

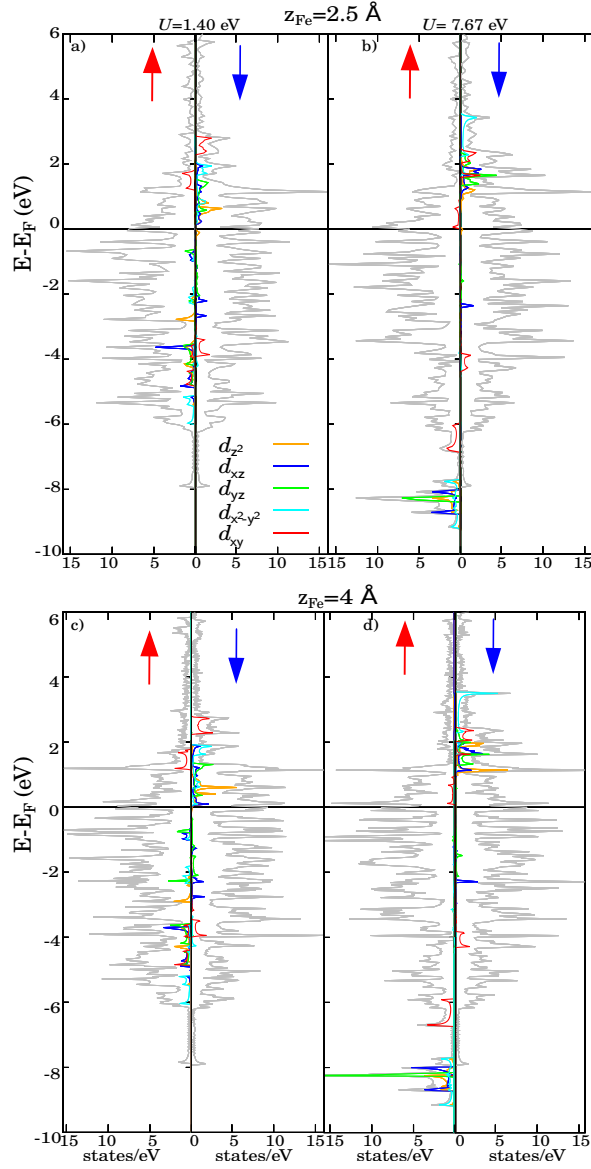


Figure 4.11: The colored curves show Fe(d) orbital contributions to the PDOS of FeO₂ detached from the Ir(100) substrate at heights 2.5 Å (a,b) and 4 Å (c,d), for $U_0^s = 1.40$ and $U_0^f = 7.67$ eV, which correspond to the limit U values in the adsorbed (a,c) and free standing (b,d) configurations, respectively. The gray curve corresponds to the total DOS.

All supported chains show an increased effective screening. The FeO₂/Ir shows

an insulator-to-metallic transition, which enhances the screening reducing the U from 7.7 eV to 1.38 eV. The Ir substrate also can modify the d orbital configuration, the NiO₂/Ir shows a similar configuration as the unsupported C2, and Fe atom's spin state is altered from $S = 2$ to a $S = 3/2$, which can contribute to the screening, only MnO₂ and CoO₂ states are maintained almost unchanged. The shell folded method allows to estimate the ligand field contribution to the U value, setting that the $X(d)$ - $O(p)$ bonding is different between the unsupported and supported case. An artificial lifting of the chains from the substrate cannot reproduce the free-standing U value. Screening due to Ir is present in the detached chain limit, suggesting the presence of a non-negligible long-range interaction.

Chapter 5

Magnetic properties of transition metal-organic chains: the CoQDI and CrQDI cases

They don't know that we know
they know we know.

Phoebe Buffay, *Friends*

5.1 Introduction

In this chapter, we will focus on metal-organic chains, i.e. a type of chain where transition metal (TM) atoms combine with organic ligands. This type of system can be formed on surfaces through self-assembly [42].

The large amount of accessible molecular complexes allows the synthesis of different metal-organic networks, considering that these type of networks are formed by many bonded atoms leading to a have a high number of spatial degrees of freedom, combined with the spin makes the metal-organic system capable of displaying different possible geometries that can show different magnetic and electronical properties

[25, 183, 184, 185]. Occasionally, they are capable of having a spin crossover (SC) transition [26], where the TM atom can switch between a low-spin (LS) state to high-spin (HS) state due to an external perturbation, such as, thermal effects, light, pressure or high-magnetic fields. The SC can be used to build pressure-sensors, as data storage devices or may be applicable to holography because of the different refractive indices of the LS and HS states [186]. The interesting magnetic properties of TM-organic networks open the possibility of employing metal-organic networks as electronic devices [187, 188, 189, 190].

In low-dimensional systems, where the electron correlation is enhanced, DFT+ U needs to be applied to improve the description of specific orbital potentials. The inclusion of the U Hamiltonian adds an implicit bias in the DFT calculation depending on the orbital occupation matrix and the chosen double-counting term (see Section 2.2). In addition, the TM-organic species can show different states (with the same spin or different), i.e. different orbital occupations. Recall that in the previous chapter the NiO₂ could show two different orbital occupations with the same spin state for different values of U , and both could be converged for a given U value. If the energy minimization procedure was exact, the obtained state would be the ground state (GS). However, this numerical minimization procedure can converge to states that do not need to be the actual GS [69, 191, 192]. The different orbital occupation matrices for different or even the same spin states can affect the magnetic properties, e.g., modifying the magnetic anisotropy and exchange coupling. In order to sort out the true GS from the metastable states we use the occupancy matrix control (OMC) method [70] (see Section 2.2).

This chapter focuses on the CrQDI and CoQDI 1D polymeric chains, transition metal-organic chains that result from the combination of 2,5-diamino-1,4-benzoquinonediimines (2HQDI) with Cr and Co atoms (see Fig. 5.1 for the structure). The research group of Prof. P. Jelinek from the Czech Academy of Science in Prague synthesized these chains on a Au(111) surface in ultra-high vacuum conditions, forming well-ordered long chains (> 100 nm). The structural properties of the chains have been previously analyzed by V. M. Santhini *et al.* [72] using atomic force microscopy and scanning tunneling microscopy. The experimental data on the magnetic properties of these chains have been obtained by C. Wäckerlin *et al.* from the Swiss Federal Laboratories for Materials Science and Technology in collaboration with the group of

Prof. P. Jelinek by employing X-ray absorption spectroscopy combined with X-ray magnetic dichroism (XAS/XMCD) and linear dichroism (XAS/XLD) [6]. In addition, inelastic electron tunneling spectroscopy (IETS) with a tip decorated with a nickelocene (NiCp_2) molecule [193] have also been performed to study the vibrational and spin excitations, albeit this is out-of-scope of our work.

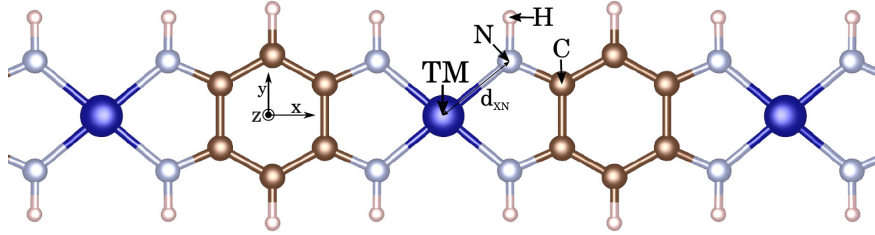


Figure 5.1: Structure of the TMQDI chains where $\text{TM}=\text{Co}, \text{Cr}$.

In our work, we study the possible states in the CoQDI and CrQDI chains, ground state and metastable, and the consequences that these may have on the magnetic properties. We also study the stability of the magnetic coupling over distortions and different modifications: variation of U , consider a spin spiral order etc. The theoretical results are used to interpret the experiments. Previous work, Ref.[72], show that in the chain could be manipulated easily with the STM, implying a weak substrate-chain interaction. Therefore, our analysis is made considering a planar free-standing chain, i.e. no Au(111) substrate.

The chapter is organized as follows: in Section 5.2, combining DFT+ U and OMC, we calculate the possible spin states and establish the ground state of each system. In Section 5.3, the magnetic properties of the CoQDI and CrQDI chains are analyzed using DFT+ U , with a study of the robustness of the magnetic coupling for the CrQDI chain. We compare our results with the experimental data. Finally, in Section 5.4, we give the main conclusions of the chapter.

5.2 Computational details

The theoretical analysis of the unsupported planar chains is done using DFT+ U calculations with the Vienna Ab Initio Simulation Package (VASP) (see Section 2.2),

with the PBE exchange-correlation functional[81]. The Hubbard- U correction scheme is applied via Dudarev's functional[98]. The plane-wave cut-off energy is set at 450 eV with a $10 \times 1 \times 1$ k -grid centered at Γ . The relaxed geometry is calculated imposing a periodic supercell and setting 12 Å of vacuum between the periodic repetitions. The forces minimization threshold is < 0.01 eV/Å and the total energy minimization convergence criterion is set to 10^{-6} eV.

In the geometrical optimization, we modify the lattice parameters of the chain, and let the molecule atoms to relax while the TM atom is frozen. The aromatic ring bond-lengths is almost unaffected by the geometrical relaxation, the distance between the N-C atoms changes less than 0.02Å compared to the gas-phase molecule. The main change in is at the bond-length between the TM atom and N atoms. In Fig. 5.2, we show the resulting total energy with respect to the bond-length between the Co and N atoms for $U = 0, 1.5, 4$ and 5 eV. For $U = 0$ and 1.5 eV only one curve is obtained. For high U values (4 and 5 eV), two different curves are obtained showing different minima. At each curve, the Co atom shows a different spin state: low-spin state (LS) with $S = 1/2$ (blue) and the red curve is a high-spin state (HS) with $S = 3/2$ (red), i.e., there is a spin crossover. Each spin state shows a distinct Co-N bond-length as indicated in Fig. 5.2. In Table 5.1, we give the Co-N bond-length and the spin magnetic moment of the Co atom for the LS and HS states. The LS states shows a shorter bond-length compared to the HS one. The bond-lengths do not show a large variation when U increases. For $U = 5$ eV the HS and LS states energies differ 88 meV, while for $U = 4$ eV, the energy difference is 200 meV.

In Fig. 5.3, we show the energy at each bond-length for $U = 0, 3, 4$ and 5 eV for the CrQDI chain. As in the CoQDI, we have considered different lattice vectors and then let the geometry to relax, maintaining only the TM atom frozen. For all the U values, only one spin state is obtained, $S = 2$. The equilibrium bond-lengths shows an appreciable change between $U = 0$ and $U = 3$ eV, where there is almost no variation in the Cr-N distance between $U = 3, 4$ and 5 eV. In Table 5.1, we show the $d_{\text{Cr-N}}$ and spin magnetic atom of the Cr atom for $U = 5$ eV.

In Figs. 5.4 and 5.5, we show the band structure and the projected density of states (PDOS) of both chains. The CoQDI shows a metallic-to-insulator transition when the spin state goes from the LS to the HS state. In the former, the majority d_{xy}

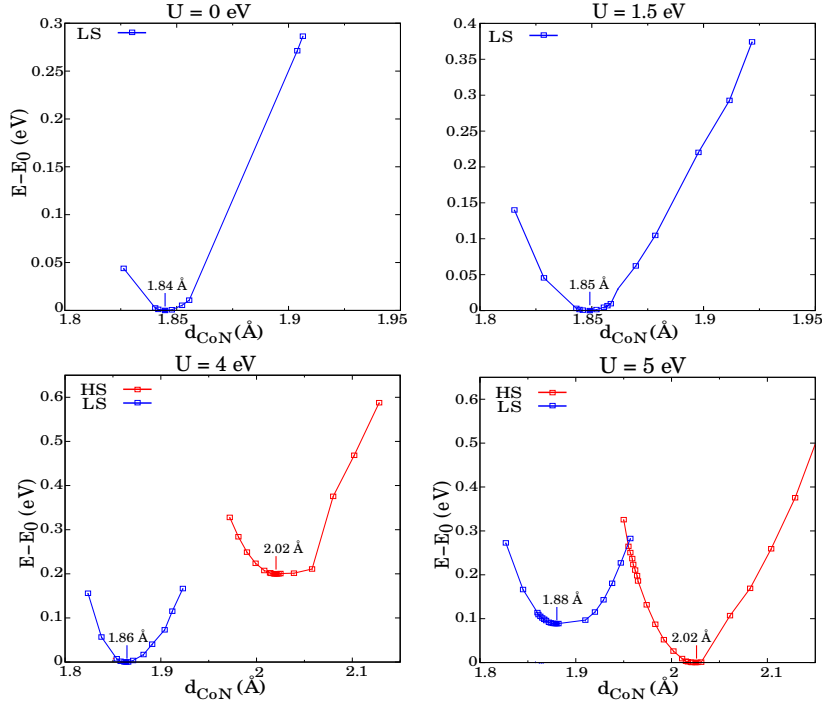


Figure 5.2: Total energy with respect to the Co-N bond-length measured from the ground state of each U value. The curve color shows the spin state of the Co atom: blue for $S = 1/2$ (LS) and red for $S = 3/2$ (HS).

	$d_{\text{TM-N}}$	μ_{TM}^S (μ_B)
CoQDI (LS) ($U = 4$ eV)	1.86	1.20
CoQDI (HS) ($U = 5$ eV)	2.02	2.73
CrQDI ($U = 5$ eV)	2.08	3.71

Table 5.1: Equilibrium TM-O bond lengths and spin magnetic moment of each TM atom.

band is half-filled, while in the HS state becomes fully occupied. The minority spin bands show the largest change: in the HS state only the d_{z^2} and $d_{x^2-y^2}$ bands are fully occupied, while in the LS the d_{xy} and d_{xz} bands are partially filled. The change in the orbital occupancy is related with a different hybridization between the Co(d) and O(p) orbitals. The CrQDI chain shows an insulator state with an empty $d_{xy,\uparrow}$ orbital and all minority orbitals unoccupied.

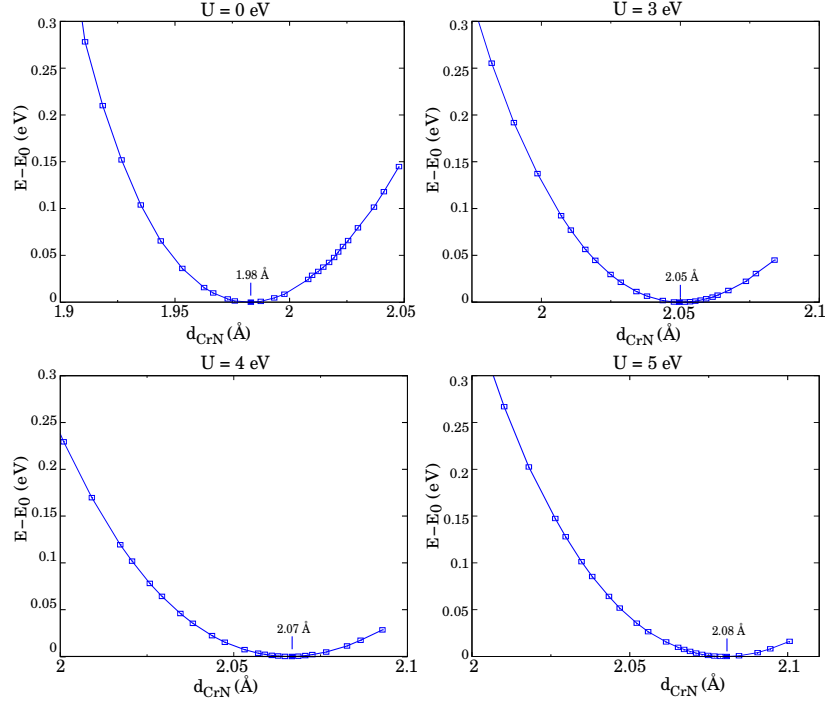


Figure 5.3: Total energy with respect the Cr-N atom bond-length measured from the ground state total.

Metastable configurations

As previously commented, the U functional introduces a dependence on the initial orbital configuration. For instance, the CoQDI spin state depends on the given initial magnetic moment, and whether it is a ground state or a metastable state depends on the U value. A study of the energy minimization for several orbital matrix occupations can show if the converged states are the GS or metastables states of the energy functional. For this analysis, we use the OMC method.

We consider first the HS state with $U = 5$ eV. The orbital matrices have to be built maintaining the $S = 3/2$ state. The majority spin matrix is fully occupied, while the minority spin one has two occupied orbitals. We have to build combinations with two electrons filling different orbitals. Due to the planar chains symmetry, the out-of-plane d_{xz} and d_{yz} can share an electron, while one of the remaining orbitals can be fully occupied by the remaining electron. We also consider the sp^3d^2 hybrid atomic orbital where the out-of-plane d_{z^2} and in-plane orbitals $d_{x^2-y^2}$ become hybridized and

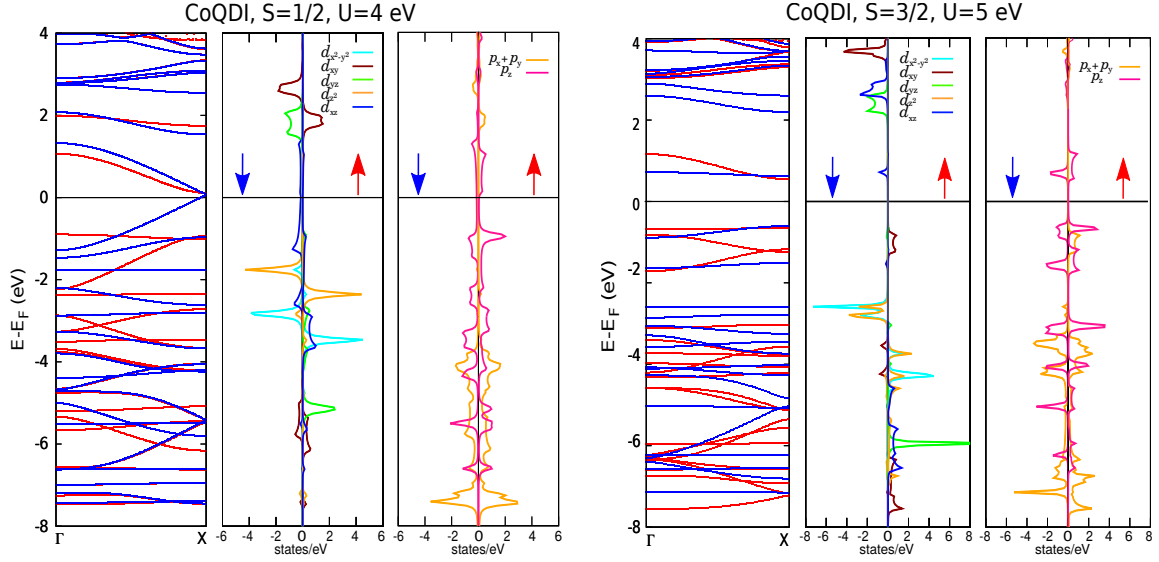


Figure 5.4: Electronic structure of the CoQDI chain in the LS (left) and HS (right) states. (a) Band structure for majority (red) and minority (blue) spins. The PDOS for the Co(d) orbitals is shown in (b) and for the O(p) in (c).

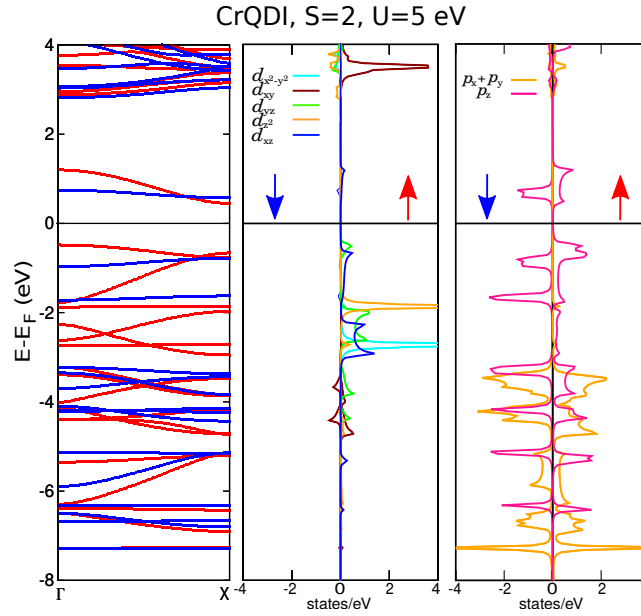


Figure 5.5: Same as in Fig. 5.4 for the CrQDI chain.

hence, share an electron. We use the following notation to simplify the matrices:

$$[111111] = \begin{pmatrix} 1 & 0 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 0 & 1 \end{pmatrix}, [0h0h1] = \begin{pmatrix} 0 & 0 & 0 & 0 & 0 \\ 0 & 0.5 & 0 & 0.5 & 0 \\ 0 & 0 & 0 & 0 & 0 \\ 0 & 0.5 & 0 & 0.5 & 0 \\ 0 & 0 & 0 & 0 & 1 \end{pmatrix}. \quad (5.1)$$

The last matrix is an example of the d_{xz} and d_{yz} orbitals sharing an electron, indicated with h . The order of the orbitals is $[d_{xy} d_{yz} d_{z^2} d_{xz} d_{x^2-y^2}]$. There are 11 different combinations to be considered. In Table 5.2, we give the initial orbital occupation matrices and the final ones after the OMC is applied and a self-consistent energy minimization procedure (without constraint orbital occupations) has been done. We also give the energy difference with respect to the true ground state. We fix the atomic positions to the relaxed structure obtained in the previous section. From 11 initial matrices, only seven different configurations are converged. The ground state orbital configuration is $[00101]$, the same as obtained without OMC. The $[00h1h]$ orbital occupation configuration shows only 72 meV of difference with respect to the ground state. The interatomic forces in the metastable state are < 0.05 eV/Å, thus, letting the geometry to relax still maintains the HS-2 configurations. Hence, this metastable state may become relevant in the calculations, if any distortion is applied to the chain, the energy minimization can go the excited state instead of the GS.

To differentiate the GS and this metastable state, we label them as HS-1 and HS-2, respectively. All the other excited states show differences larger than 300 meV with respect to the ground state. Therefore, in principle, these states can be disregarded as the energy difference is too large. The PDOS of the HS-1 and HS-2 configurations is shown in Fig. 5.6. HS-1 and HS-2 differ in the minority occupation. In HS-1, the $d_{z^2,\downarrow}$ and $d_{x^2-y^2,\downarrow}$ bands are filled and $d_{xz,\downarrow}$ is empty, while in the HS-2, $d_{z^2,\downarrow}$ and $d_{x^2-y^2,\downarrow}$ are half-filled and d_{xz} is fully occupied. In HS-1 the $d_{xz,\uparrow}$ orbital is localized in energy between $E_F - 7$ and $E_F - 5$ eV, while in the HS-2 it is set between $E_F - 6$ and $E_F - 4$ eV. The $d_{z^2,\uparrow}$ and $d_{x^2-y^2,\uparrow}$ show sharper peaks at $E_F - 4$ eV in the HS-1 state than in the HS-2. Nevertheless, the different occupation does not affect the Co(d)-N(p) bond. As shown in Fig. 5.6, the N(p) PDOS is only slightly affected. We compare both states with a calculation done using the hybrid HS06 functional. The hybrid calculation shows a similar configuration as the HS-1 state as ground state,

Initial conf.	Final conf.	μ_{Co}^S (μ_B)	$\Delta E = E - E_0$ (eV)
[1 0 1 0 0]	[0 1 0 1 0]	2.88	1.682
[1 0 0 0 1]	[0 0 1 0 1]	2.73	0.000
[0 0 1 0 1]	[0 0 1 0 1]	2.73	0.000
[0 1 0 1 0]	[0 1 0 1 0]	2.75	0.333
[1 h 0 h 0]	[0 h 1 h 0]	2.75	0.563
[0 h 1 h 0]	[0 h 1 h 0]	2.75	0.563
[0 h 0 h 1]	[0 h 0 h 1]	2.73	0.471
[1 0 h 0 h]	[1 0 h 1 h]	1.06	0.385
[h h h h 0]	[0 0 h 1 h]	2.74	0.072
[0 h h h h]	[0 0 h 1 h]	2.74	0.072
[h 0 h 0 1]	[0 0 1 0 1]	2.73	0.000

Table 5.2: Initial and converged minority spin orbital occupation matrices at the HS state. The energy with respect to the ground state is given for each calculation. We also give the spin magnetic moment of the Co atom of each converged state. The calculations were done at $U = 5$ eV.

albeit with sharper peaks and a larger gap than the GGA calculations. This is due to the Hartree-Fock approximation employed in the hybrid functional that uses the bare electron interaction overriding the screened value of the GGA, resulting in a stronger localization and a larger gap.

We make the same study for the LS state. In this case, the occupation matrices are built considering the $S = 1/2$ state. In the converged LS state, the majority orbital is occupied by four electrons and the minority part with three electrons. We also take into account the hybridization, e.g. d_{xz} and d_{yz} symmetry and the sp^3d^2 hybrid orbital. This results in six different orbital occupations for the majority channel and five for the minority one, 66 combinations in total. To reduce the total number of combinations to be studied, we make use of an estimation of the correlation energy:

$$E_U = U \sum_m N_m(N_m - 1) \quad (5.2)$$

where $N_m = \sum_{\sigma} n_{m\sigma}$, being $n_{m\sigma}$ the individual occupation at each m orbital and spin $\sigma = \uparrow, \downarrow$. In the HS state, all the different combinations have $E_U^{\text{HS}} = 6U$ and in the case of the already converged LS is $E_U^{\text{LS}} = 3.5U$. For a given U , the only possibility to reduce E_U is modifying the orbital occupancy. In a simple approximation, the LS

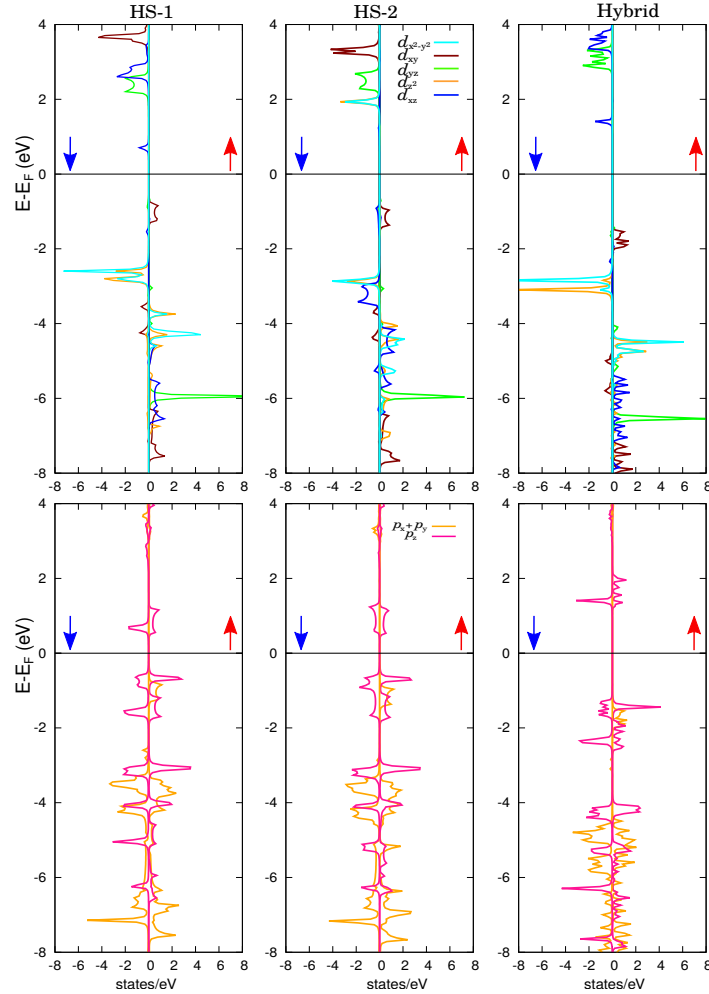


Figure 5.6: PDOS for Co(d) at the HS-1 ground state, HS-2 metastable states with DFT+ U and the hybrid functional result. Calculations for the HS-1 and HS-2 were done with $U = 5$ eV

GS should have a lower or equal E_U^{LS} value as the converged LS state. Therefore, we consider only those orbital occupations that satisfy $E_U \leq 3.5U$ eV. This reduces the total number of orbital matrices to be tried out to 23 (see Table 5.3).

After the OMC procedure, only five different states remain. From these states, only one configuration shows a small energy difference (92 meV) with respect to the ground state. However, in this low-energy metastable state, the value of the inter-

atomic forces are of the order of ~ 0.3 eV/Å. After geometry relaxation, the orbital occupation converges to the ground state. Therefore, we can disregard this metastable state. Other metastable states show a difference in energy larger than 800 meV. Thus, we consider that only the $[0.5\ 1\ 1\ 1\ 1]$, $[0.5\ 0\ 1\ 0.75\ 1]$ orbital occupation will be achieved in DFT calculations.

Initial conf. \uparrow, \downarrow	Final conf. \uparrow, \downarrow	$\mu_{C_o}^S$ (μ_B)	$\Delta E = E - E_0$ (eV)
$[1\ 1\ 1\ 1\ 0], [0\ h\ 1\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ 1\ 1\ 1\ 0], [1\ h\ 0\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[1\ 1\ 1\ 1\ 0], [h\ h\ h\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ h\ 1\ h\ 1], [1\ 1\ 0\ 1\ 0]$	$[1\ 1\ 1\ 1\ 1], [0, 1, 0, 1, 0]$	2.61	1.23
$[1\ h\ 1\ h\ 1], [0\ 1\ 1\ 1\ 0]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ h\ 1\ h\ 1], [0\ 1\ 0\ 1\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[1\ h\ 1\ h\ 1], [0\ h\ 1\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	-1.14	0.000
$[1\ h\ 1\ h\ 1], [h\ 1\ h\ 1\ 0]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[1\ h\ 1\ h\ 1], [h\ h\ h\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.00
$[1\ h\ 1\ h\ 1], [0\ 1\ h\ 1\ h]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[1\ h\ 1\ h\ 1], [1\ h\ h\ h\ h]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[1\ 1\ 0\ 1\ 1], [1\ h\ 1\ h\ 0]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	-1.05	0.092
$[1\ 1\ 0\ 1\ 1], [0\ h\ 1\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[0\ 1\ 1\ 1\ 1], [1\ h\ 1\ h\ 0]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	1.05	0.092
$[0\ 1\ 1\ 1\ 1], [1\ h\ 0\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 0\ 0.75\ 1]$	-1.00	0.092
$[0\ 1\ 1\ 1\ 1], [1\ h\ h\ h\ h]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ 1\ h\ 1\ h], [0\ h\ 1\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ 1\ h\ 1\ h], [h\ h\ h\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[1\ 1\ h\ 1\ h], [1\ h\ h\ h\ h]$	$[1\ 1\ 1\ 1\ 1], [0\ 0\ h\ 1\ h]$	2.47	0.811
$[h\ 1\ h\ 1\ 1], [1\ 0\ 1\ 0\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[h\ 1\ h\ 1\ 1], [1\ h\ 1\ h\ 0]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 1\ 1\ 1\ 0]$	1.17	1.323
$[h\ 1\ h\ 1\ 1], [h\ h\ h\ h\ 1]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000
$[h\ 1\ h\ 1\ 1], [1\ h\ h\ h\ h]$	$[0.5\ 1\ 1\ 1\ 1], [0.5\ 0\ 1\ 0.75\ 1]$	1.14	0.000

Table 5.3: Same information as in Table 5.2 for the LS state. We show the majority and minority matrices of each calculation. The calculations were done at $U = 4$ eV.

To obtain a complete analysis of all the chains, we also use the OMC method in the CrQDI chain. In the converged ground state the majority spin orbital matrix has four electrons while the minority one is completely empty. From seven different initial

matrices, only two different states are kept after the energy minimization procedure (see Table 5.4). One is the ground state given by $[01111]$, and the other one is the metastable state $[11110]$, with a large energy difference of 2.15 eV.

Initial configuration	Final conf.	μ_{Cr}^S (μ_B)	$\Delta E = E - E_0$ (eV)
$[01111]$	$[01111]$	3.71	0.000
$[10111]$	$[01111]$	3.71	0.000
$[11011]$	$[01111]$	3.71	0.000
$[11101]$	$[01111]$	3.71	0.000
$[11110]$	$[11110]$	3.54	2.151
$[11h1h]$	$[01111]$	3.71	0.000
$[1h1h1]$	$[01111]$	3.71	0.000

Table 5.4: Same information as in Table 5.2 for the CrQDI chain. The calculations were done at $U = 5$ eV.

5.3 Magnetic anisotropy and exchange coupling

Knowledge of the true ground state is mandatory to obtain the actual magnetic properties of the chains. In this section, we will calculate the magnetic anisotropic energy (MAE) and the magnetic exchange coupling constant of the CoQDI and CrQDI chains.

XAS, XMCD and XML experiments

In this section, we will present the experimental data of the CoQDI and CrQDI obtained by XAS/XMCD and XAS/XLD experiments provided by C. Wackerlin *et al.*. The XAS experiment is based on electrons getting excited by the absorption of an X-ray photon. In the XAS/XMCD and XAS/XLD experiments, the photons are polarized circularly (σ^L and σ^R) or linearly (σ^h or σ^v) while an external magnetic field is applied to the sample. Combining the XAS/XMCD and XAS/XLD data with atomic multiplet calculations the spin state, magnetic coupling and the MAE of each chain can be determined. The obtained results are given in Table 5.5. The CoQDI is determined to be in the $S = 3/2$ ground state, which agrees with our calculations for the HS state, which points to an electron correlation of $U \geq 5$ eV. The CrQDI is in a $3d^4$ state, i.e. $S = 2$, also in agreement with the DFT+ U calculations. By

fitting the XLD data, the CoQDI chain is shown to have the easy-axis aligned along the y -axis, while in the CrQDI the easy-axis is along the z -axis. The fitted data of the XLD experiment is used to obtain the crystal field parameters of the systems. The latter parameters are used in the multiplet calculations to simulate the XMCD spectra. Because atomic multiplet calculations consider the metal atoms individually (as if they were paramagnetic), the simulated XMCD spectra (b-f) show a large magnetic dichroism in the absence of magnetic interactions. However, the experimental XMCD of Co is quenched (b,c) and the one of Cr is very weak (e,f), thus suggesting an antiferromagnetic interaction in both cases.

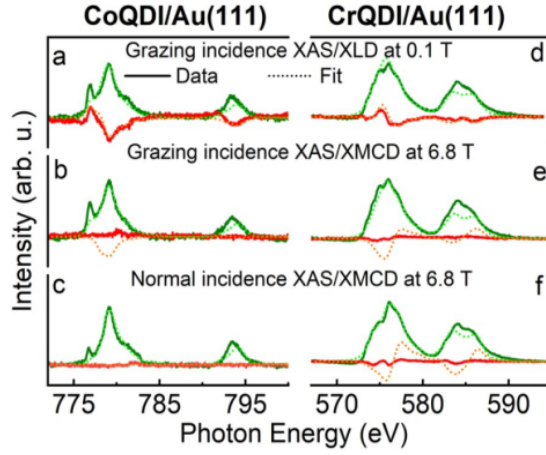


Figure 5.7: XAS/XMLD and XAS/XMCD experimental and simulated data. The XAS/XMLD fitted data results is used to simulate the XAS/XMCD spectra. The solid line indicates the experimental data (green: XAS and red: XLD and XMCD). The simulations are indicated by the dotted lines (light green: XAS and orange: XLD and XMCD).

TM atom	Spin state	μ_{TM}^S (μ_B)	μ_{TM}^L (μ_B)	Easy-axis	ZFS (meV)
Co	$1.47 \cong 3/2$ (HS)	2.94	1.79	y	37
Cr	$4/2$	4	0.05	z	0.7

Table 5.5: Resulting magnetic properties from the XAS/XMCD and XAS/XMLD data for the CoQDI and CrQDI chains. The MAE is given by the Zero-Field Splitting (ZFS)[148, 149] value.

DFT calculations

The DFT calculations are used to interpret the obtained experimental results in terms of the electronic structure of the systems. In addition, we will analyze the consequences on the MAE and exchange coupling of the previously found low-energy states in the CoQDI chain. First, we calculate the MAE for each metal-organic chain. The spin-orbit coupling (SOC) is evaluated self-consistently, and the MAE is calculated by the difference in the total energy between the different magnetization alignments (see Section 2.3). The total energy convergence threshold is set at 10^{-8} eV.

Magnetic anisotropic energy

For the CoQDI, we have calculated the MAE for the LS, HS-1 and HS-2 states. The results are given in Table 5.6. For the LS state, the easy-axis is along the chain axis. In both cases HS-1 and HS-2 states have an in-plane easy-axis across the chain, with the HS-2 MAE value being twice that of the HS-1 one. Looking to the PDOS in Fig. 5.6 of the HS-1 state, we see that the $d_{xz,\downarrow}$ is the closest empty state. According to Ke *et al.* [111], transitions between the d_{z^2} and $d_{x^2-y^2}$ orbitals to the d_{xz} ($m' = m+1$ and $\sigma = \sigma'$ type) favor the in-plane easy-axis. In the HS-2 state, the $d_{xz,\downarrow}$ is filled, contribution to set the orbital moment along the y -axis, which is missing in the HS-1 state [55]. The obtained result for the HS states agrees with the experimentally observed easy-axis, still the values differ by one order of magnitude from the experimental ones. The order difference is maintained between the theoretical and measured orbital moments (see Table 5.7). Note that DFT+ U calculations tend to underestimate the orbital moment (\mathbf{L}) [91, 194]. Bruno's relation [112, 54] states that MAE is proportional to the orbital moment. In all the cases, the orbital anisotropy shows the largest projection of \mathbf{L} along the easy-axis directions. The change of the MAE between the HS-1 and HS-2 states is not reflected in the orbital moment anisotropy, as it is almost unaffected. The easy-axis change between the HS and LS states can result from the orbital occupancy matrix variation.

In the CrQDI chain, the easy-axis is out-of-plane of the chain, i.e. in the z -axis. The DFT calculation agrees with the XAS/XMLD results in sign and magnitude order. In Table 5.6, the orbital moment also shows a similar value in both experimental and DFT results. The calculated orbital anisotropy also follows Bruno's relation. The

antiparallel alignment between the orbital moment (\mathbf{L}) and spin (\mathbf{S}) is due to Hund's third rule.

TM atom	μ_{TM}^L (μ_B)	MAE (meV)	Easy-axis
Co	0.200	-0.76 ($x - z$)	x
Co (HS-1)	0.207	-1.22 ($y - z$)	y
Co (HS-2)	0.236	-2.76 ($y - z$)	y
Cr	-0.039	0.54 ($x - z$)	z

Table 5.6: MAE results for the CoQDI and CrQDI chains. The total energy difference is calculated between the easy and hardest axis of each chain. The calculation for the LS state is done with $U = 4$ eV and the rest with $U = 5$ eV. We indicate the easy-axis of each chain and give the orbital moment (μ^L) along the easy-axis of each TM atom.

TM atom	$\mu_{\text{TM},x}^L$ (μ_B)	$\mu_{\text{TM},y}^L$ (μ_B)	$\mu_{\text{TM},z}^L$ (μ_B)
Co (LS)	0.200	0.039	0.066
Co (HS-1)	0.200	0.207	0.086
Co (HS-2)	0.191	0.236	0.100
Cr	-0.013	-0.017	-0.039

Table 5.7: Orbital moment anisotropy of the TM atoms. The projection is calculated by setting \mathbf{L} along the direction of \mathbf{S} at the beginning of each calculation (throughout the self-consistent calculations the collinearity is maintained, i.e., transverse directions values are negligible).

Magnetic coupling

To obtain the magnetic coupling constant we double the periodic cell, and calculate the total energy for ferromagnetic (FM) and antiferromagnetic (AFM) spin alignments. We let the doubled cell geometry to relax. OMC method is applied to the HS-CoQDI to ensure the convergence to the HS-1 configuration. From these calculations, the magnetic exchange coupling constant (J) can be obtained (see Eq. (3.2)). In Table 5.8, we give the resulting total energy differences between the AFM and FM states, the coupling constant J and the TM atoms spin magnetic moment.

In the CoQDI, the LS spin state favors a very weak FM coupling, being the total energy difference less than 1.50 meV. In both HS states, the TM atoms spins prefer

the antiparallel alignment. The obtained result in the HS-1 state agrees with the absence of signal in the XMCD experiments. The Cr spins show an AFM coupling. Remarkably, the band structure of each chain (see [????](#) and Fig. 5.5), show that the LS state which prefers a FM coupling is the only metallic one, while the HS states and CrQDI are both insulators with an AFM coupling. The metallicity and magnetic coupling follow the same trend observed in the TMO chains.

TM atom	$\Delta E(\text{meV})$	J (meV)	μ_{TM}^S (μ_B)
Co (LS)	1.48	2.05 (FM)	1.20
Co (HS-1)	-11.07	-2.97 (AFM)	2.73
Co (HS-2)	-7.60	-2.02 (AFM)	2.74
Cr	-30.43	-4.42 (AFM)	3.71

Table 5.8: Total energy difference calculated as $\Delta E = E^{\text{AFM}} - E^{\text{FM}}$, coupling constant and spin magnetic moment. The electron interaction is set to $U = 5$ eV, except for the LS state where $U = 4$ eV.

We will address the AFM coupling of the CrQDI. Considering that the magnetic interactions between the distant TM atoms occur via the organic molecule, and the magnetic moment is largely localized in the TM atom, one could expect a low difference between the magnetic coupling, as in the CoQDI chains. Indeed, the XMCD data shows an almost negligible signal which can be interpreted as a small antiferromagnetic coupling. The obtained total energy difference and J value for the CrQDI do not agree with that interpretation. The difference can be a result of different assumptions made in the theoretical calculations, such as the U value, the planar geometry, or even a consequence of effects not considered previously, for instance, the presence of spin spirals or an anisotropic exchange coupling due to SOC. Therefore, we have performed an analysis of the change of the CrQDI chain's exchange coupling constant when the previous modifications are considered.

Experimental control of the chains with STM showed a weak interaction with the Au(111) substrate. This effect is also confirmed with the good agreement between the experimental and DFT calculations in the unsupported chain. The value of U can be quite large in one-dimensional systems in the absence of interaction with the substrate, for instance, in the previous calculations, the free-standing oxide chains could reach $U \approx 8$ eV (see Chapter 4). Therefore, we analyze the change of \mathcal{J} in the range of U between 0 and 8 eV. The results are given in Table 5.9. As expected, the trend

of \mathcal{J} is to decrease its value upon the increase of U , because the coupling constant is known to be $\propto U^{-n}$, e.g. direct exchange, superexchange interaction etc. [10]. The coupling for a value of U as large as 8 eV is halved compared to the $U = 5$ eV, as the energy difference, in this case, is ~ 15 eV. The energy difference is reduced, but the system is weakly AFM.

U	\mathcal{J} (meV)
0	-19.03
3	-14.56
4	-6.45
5	-4.42
8	-2.09

Table 5.9: Exchange coupling constant variation with respect the value of U for the CrQDI chain.

To investigate the possibility that \mathcal{J} has an anisotropic behavior, i.e. its value depends on the magnetization orientation. We have performed DFT+SOC calculations at different magnetization alignments in the doubled cell. The variation of the resulting magnetic coupling constants, shown in Table 5.10, is weak.

We have also examined the possibility of a non-collinear spin ordering, originated

Axis	J (meV/)
x	-4.336
y	-4.339
z	-4.335

Table 5.10: Exchange coupling constant at each crystallographic axis when SOC is considered for the CrQDI chain.

from the non-negligible interaction between neighbors further than the nearest ones. The exchange coupling constant between a spin and its n -th neighbors can be obtained by Fourier transforming the coupling constant for different values of the spin spiral wave q , \mathcal{J}_q :

$$\mathcal{J}_n = \frac{1}{N_q} \sum_{-q}^q \mathcal{J}_q e^{iqna}, \quad \text{where} \quad \mathcal{J}_q = \frac{E_q - E_0}{S^2}, \quad (5.3)$$

where n is the atom number, a the lattice parameter and N_q the total number of used q values. In Fig. 5.8(a), we show the obtained total energies for the CrQDI referred to the energy of $q = 0$, E_0 . $q = 0$ corresponds to the FM alignment and $q = \frac{2\pi}{a}\frac{1}{2}$ to AFM. Since, the latter q value shows the lowest energy, the AFM alignment is favored against the formation of spin spirals. Fig. 5.8(b) shows that the next-nearest exchange constant $|\mathcal{J}2|$ is half the $|\mathcal{J}1|$ value. The exchange constant \mathcal{J} for $n > 2$ is drastically reduced by one order of magnitude. Thus, the AFM coupling is preferred over a non-collinear order.

We continue to investigate other possible effects that may change the nearest-neighbor interaction. We have said earlier that the Au substrate is inert, i.e. negligible charge transfer, but the substrate can affect the geometry of the chains. Therefore, we have investigated the stability of the exchange coupling under distortions of the CrQDI chain that modify the Cr-N bond. We have done these studies at the Γ point in the doubled cells. Neglecting distortions that do not affect the Cr-N bonds and the three translational modes, only three possible low-energy ($E \lesssim 6$ meV) and low-frequency ($\nu \lesssim |1.5|$ THz) distortions are possible candidates. These three modes appear in the AFM and FM states. These modes are a soft mode that bends the TM-N bond-length and two real modes that twist the molecule: one out-of-plane and the other in-plane. These three distortions are shown in Fig. 5.9. Neither of these low-energy vibrations can change the preferred coupling. Remarkably, both magnetic orders show the same trend, showing that J remains constant when low amplitude distortions are applied.

The analysis shows that the exchange coupling is robust under different modifications of the CrQDI chain. The mismatch can be due to other effects, such as, neglecting the effect of the substrate through weak van der Waals interactions or screenings effects, recall that the Ir substrate showed a non-negligible screening even if there was no charge-transfer to the TMO chains. In addition, as we are in the low-dimensional case, the description of the enhanced exchange-correlation interactions is on the limit of DFT theory [195].

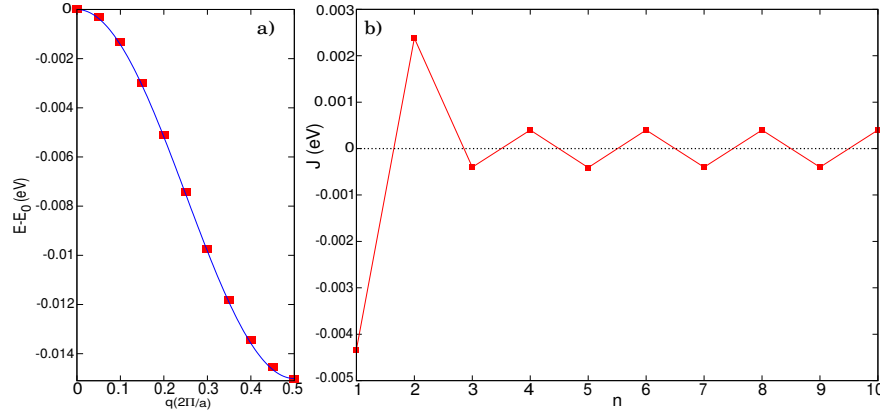


Figure 5.8: Total energies and coupling constant resulting from a spin spiral calculation for the CrQDI chain. (a) The red points are the total energy for each q vector with respect to the total energy of $q = 0$, E_0 . The blue curve shows a fitting to $A \cos(q)$, where A is constant. (b) Resulting J_n for n -th neighbors.

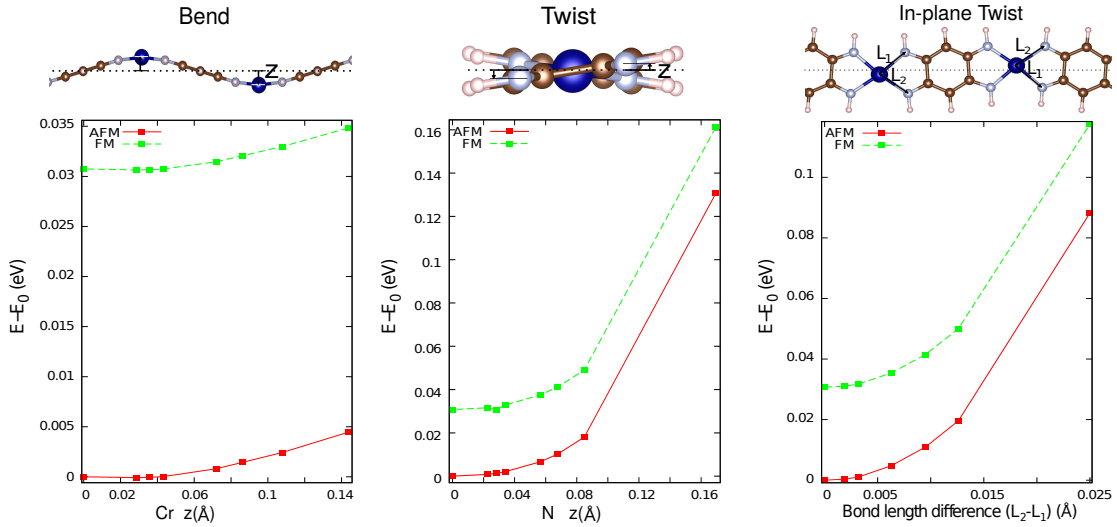


Figure 5.9: Total energy with respect to the lowest energy (AFM without distortion) for the AFM and FM orderings in the distorted CrQDI chain.

5.4 Conclusions

We have studied two metal-organic chains, the CoQDI and CrQDI, where organic ligands connect the transition metal atoms. Our DFT+ U calculations show that the CoQDI has a spin crossover from a low-spin state ($S=1/2$) to a high-spin state

($S=3/2$), triggered by the U between 4 and 5 eV. Occupancy matrix control calculations show that the CoQDI chain has a metastable state with $S = 3/2$ at 72 meV from the HS ground state. The $S = 1/2$ state does not show any metastable state. The CrQDI chain shows only the $S = 2$ state without metastable states.

In the LS, the exchange coupling between Co atoms is predicted to be FM and the easy axis is orientated along the chain axis, while in both (ground state and metastable) HS states an AFM coupling is preferred and the easy-axis is across the chain axis. The HS state is the one that agrees with the XAS/XMCD and XAS/XMLD spin and MAE.

In the CrQDI chain, the easy-axis is aligned out-of-plane of the chain in agreement with the experiments. The XAS/XMCD suggests the presence of a significant AFM coupling. However, our theoretical calculations show an evident AFM coupling. To sort out these differences, we have analyzed the coupling constant, \mathcal{J} , under several variations, such as, for U values between 0 and 8 eV, including SOC if there is an anisotropic exchange effect, a non-collinear spin ordering and lastly, distortions that modify the Cr-N bond. Except for high values of U , none of these changes significantly modify the magnetic coupling.

Conclusions

It'll pass.

The Priest, *Fleabag*

The main goal of this Thesis is to provide a theoretical description, at the Density Functional Theory (DFT) level, of the magnetic properties and electronic correlation of one-dimensional systems. In particular, we have focused on two types of magnetic chains: oxide chains XO_2 , where X =Ni, Co, Fe and Mn on Ir(100) substrate, and XQDI chains, where the X =Co and Cr atoms are connected with the organic molecule (QDI), grown in a Au(111) substrate.

In the first part of the Thesis, we have analyzed the XO_2 chains using the DFT+ U method. By varying the distance between the atoms for different values of U , we show that the X atoms can have different spin states. The bond-lengths variation allows to achieve different magnetic states, while the larger U values the larger the S value that can be obtained. For large U values all equilibrium geometries are in a magnetic state. Considering that the Ir(100) substrate screens the value of U , we set $U = 1.5$ eV for the calculations. The NiO_2 , CoO_2 , FeO_2 chains prefer the antiferromagnetic (AFM) coupling, while the MnO_2 favors a ferromagnetic (FM) coupling. The metallicity of each chain seems to be related to the preferred magnetic coupling, as the MnO_2 is half-metallic while the other chains are insulators. We have studied the magnetic anisotropy energy (MAE) using two different methods: the self-consistent, where the spin orbit coupling (SOC) is evaluated self-consistently and the force theorem (FT), where SOC is added to a converged scalar-relativistic electron density without self-consistent iterations. In the latter method, the MAE is obtained by the difference over

the band energies of the system for two different magnetization alignments and in the former one by the difference of the total energies, also, for two different spin orientations. Because of the needed fine convergence of the MAE, we use both methods as the latter is computationally less demanding than the first method. The calculations show that NiO₂ and CoO₂ have the easy-axis of magnetization across the chain direction, while the FeO₂ and MnO₂ easy-axis is out-of-plane of the chain. In the NiO₂ the FT and the self-consistent MAE agree in the predicted easy-axis, but the values differs largely. An analysis of the bands when SOC is included shows that the FT methods fails to accurately describe SOC effects near Fermi level. Because of the low-dimensionality of the system the wave functions is not as constrained with symmetries as in the bulk, hence, allowing a larger change when SOC is included that the FT is not capable of describe. We have calculated the contribution of each eigenstate to the MAE and the main difference between the preference of in-plane or out-of-plane due to occupation of the d_{z^2} . When this orbital empties (FeO₂ and MnO₂ chains) the easy-axis is set out-of-plane.

We have seen that the U parameter is a key component to obtain magnetic states, in the previous calculation this value has been estimated considering screenings effects due to the Ir(100) substrate. By combining DFT and constrained Random Phase approximation (cRPA) calculations, we have obtained the value of U and J for each chain. The cRPA calculations based on the projection method allows to separate the correlated space and the rest-of-space, while transitions between these two spaces are not neglected. The latter calculation has been done for the unsupported and supported chains. In the planar unsupported case, the insulator FeO₂ reaches the largest value of $U \sim 7.67$ eV, while the CoO₂ and MnO₂ are of the order of $U \sim 6$ eV. The NiO₂ shows a different behavior, having two different orbital occupancy configurations depending on the value of the U , while maintaining the same spin state, labeled as C1 and C2. Each configuration converges to a different U value: $U^{C1} = 6.6$ eV and the C2 to $U^{C2} = 2.41$ eV. To account for the $d - p$ ligand effects we use the shell-folded method, where $O(p)$ orbitals are included in the correlated space, the resulting $d - p$ interaction is used to renormalize the value of U . These calculations confirms that the ligand-field effect on the correlation between the Ni(d)-O(p) varies for each configuration. Varying the correlated space to include the $O(s)$ or $O(p)$ orbitals allows to set main contribution to the screening, whi is the $O(p)$ orbital in the free-standing case. Non-planar unsupported calculations do not show any significant variation of U

with respect to the planar one.

In the supported case, the value of U is reduced compared to the unsupported case. The largest difference is for FeO_2/Ir , where upon deposition, the chain goes from an insulating to a metallic state. Because of the charge transfer from the $\text{Ir}(100)$ substrate to the chain, the orbital configuration can be modified, e.g., the NiO_2/Ir shows a similar configuration to the C2, and the Fe atoms spin state changes from a $S = 2$ to a $S = 3/2$ state. This in turn modifies the ligand-field between the $X - O$ atoms being another contribution to the screening. The shell folded method confirms that the substrate changes the ligand-field between the $X(d)$ - $O(p)$ atoms. Inclusion of the $O(sp)$ into the correlated space shows that in this case the Ir substrate screens both X and O atoms. So, in the supported case, the Ir affects both the X and O atom, therefore, there are two contributions to the screening hybridization with the Ir substrate and the $X - O$ ligand-field modification due to the charge transfer. These two contributions can not be decoupled from each other. We analyze if an artificial lifting of the chain from the substrate could reproduce the free-standing U value. The Ir substrate gives a non-negligible contribution to the screening in all the tried heights.

In the last part of the Thesis, we have studied the CoQDI and CrQDI polymeric chains. Previous experiments showed that the chains could be easily manipulated with the STM, suggesting a weak coupling with the $\text{Au}(111)$ substrate. Therefore, the calculations have been made considering a free-standing chains. For values of $4 \geq U \leq 5$ eV the CoQDI chain shows a spin crossover, i.e., a spin transition from a low spin (LS) state $S = 1/2$ to a high spin (HS) state ($S = 3/2$). For $U = 4$ eV, the ground state is at the LS state, while at $U = 5$ eV the HS becomes the ground state configuration. In the CrQDI, only the $S = 2$ state is found for the studied range of U values. We analyzed the different possible orbital occupations with the same spin using the occupancy matrix control (OMC) method. OMC calculations show that there is an excited state for the CoQDI with $S = 3/2$ at 72 meV with respect to the ground state for $U = 5$ eV. The converged metastable states of LS-CoQDI and CrQDI show a large difference in the energy with respect the ground state energy, thus, these states can be disregarded. We have calculated the MAE for all CoQDI states and the CrQDI chain. In the CoQDI, the HS ground and metastable states prefer an AFM coupling and in-plane easy-axis across the chain axis. In the LS state the preferred coupling is FM, and the easy-axis is aligned to the chain axis. In the case of the CrQDI, the preferred magnetic coupling is the AFM one and the easy-axis is the out-of-plane of the

chain. These theoretical results are used to interpret the experimental data obtained by XMCD and XLD experiments performed by C. Wäckerlin *et al.*. In the CoQDI chain, the measurements agree with the predicted magnetic properties of the HS state. For the CrQDI, the experimental data agree with the MAE and AFM prediction. The magnetic coupling constant \mathcal{J} , remains unchanged upon various alterations, such as, increasing the U value, non-collinear spin orders or distorting the chain.

To sum up, we show that electron correlation is a key feature to determine the magnetic properties of one-dimensional systems. The cRPA calculations show that different values of U are allowed for different atomic species depending on the configuration of the d orbital and the interaction with the substrate. In addition, a study over different U needs to be made to not miss the possible states with different orbital configurations. Magnetic properties, in localized magnetism, is governed by the orbital occupations, hence, varying the orbital occupations can alter the magnetic properties of the same atomic species. Metastable states are a handicap for the DFT+ U calculation, as the energy minimization procedure can get trapped in a local minimum. Hence, methods like the OMC needs to be applied to facilitate finding the ground state.

Appendix A

Magnetic Anisotropy Energy (MAE) convergence test

A.1 Convergence details

The small value of the MAE in bulk ($\sim 10 \mu\text{eV}$) and low dimensional systems ($\sim 10 \text{ meV}$) imposes a strict convergence criterion. We compute the MAE of the TMO chains for different energy cut-offs for the plane-wave basis, from 350 to 650 eV, with a step of 50 eV. and $25 \times 1 \times 1$, $35 \times 1 \times 1$ and $45 \times 1 \times 1$ k -point grids. For the DFT+SOC calculations, the convergence threshold of the total energy is set to 10^{-8} . The MAE can be considered converged by 500 eV, with subtle differences ($\sim \mu\text{eV}$) for higher cut-offs. All chains show a properly converged MAE for a $35 \times 1 \times 1$ k -grid, except the MnO_2 where 45 k -points are needed. To characterize the orbital partial occupation effects, we calculate the self-consistent MAE with the tetrahedron method¹ [196] and with Fermi-Dirac distribution for several values of the width, $\sigma = 0.02, 0.05, 0.1$ eV. In the FT approach, we use an Fermi smearing of $\sigma = 0.05$ eV width, to consider an in-between value of the SCF.

In Tables A.1 to A.3 the resulting energy differences are shown. In the SCF calculations, the MAE shows little variation with the smearing, particularly in the

¹We say tetrahedron as it is the methods name, but as 1D instead of tetrahedron is *triangular*.

FeO₂ chain. Considering that σ influences the partial occupations of orbitals, it is to be expected that the metallic systems, i.e., NiO₂, and MnO₂, are the ones that have a larger variation compared to the semimetallic CoO₂ and the insulating FeO₂ chains.

	MAE= $E^x - E^y$ (meV)				
	FT	SCF			
	$\sigma = 0.05$ (eV)	Tetra	$\sigma = 0.02$	$\sigma = 0.05$	$\sigma = 0.1$
NiO ₂	1.74	6.09	6.62	7.06	5.23
CoO ₂	0.40	0.57	0.57	0.58	0.59
FeO ₂	0.02	0.07	0.07	0.08	0.07
MnO ₂	0.23	0.32	0.29	0.25	0.21

Table A.1: XO₂ MAE between $x - y$ directions computed with a cut-off of 650 eV and a $45 \times 1 \times 1$ k -point mesh.

	MAE= $E^x - E^z$ (meV)				
	FT	SCF			
	$\sigma = 0.05$ (eV)	Tetra	$\sigma = 0.02$	$\sigma = 0.05$	$\sigma = 0.1$
NiO ₂	-0.29	-0.35	-0.36	-0.36	-0.33
CoO ₂	-0.12	-0.27	-0.26	-0.28	-0.30
FeO ₂	0.83	1.12	1.20	1.20	1.22
MnO ₂	0.31	0.64	0.59	0.52	0.51

Table A.2: Same as Table A.1 for directions $x - z$.

	MAE= $E^y - E^z$ (meV)				
	FT	SCF			
	$\sigma = 0.05$ (eV)	Tetra	$\sigma = 0.02$	$\sigma = 0.05$	$\sigma = 0.1$
NiO ₂	-2.04	-6.43	-6.98	-7.15	-5.57
CoO ₂	-0.51	-0.84	-0.83	-0.86	-0.86
FeO ₂	0.81	1.13	1.27	1.13	1.13
MnO ₂	0.54	0.96	0.88	0.78	0.96

Table A.3: Same as Table A.1 for directions $y - z$.

Appendix B

cRPA calculations

B.1 FLEUR and SPEX convergence parameters

A summary of the convergence parameters is given in Table B.1. The FLAPW wavefunctions are expanded up to the angular momentum $l_{max} = 8, 6, 8$ for X, O and Ir atoms respectively, and the non-spherical contribution is set to $l_{max}^{nonsph} = l_{max} - 2$. In SPEX, the mixed basis product angular momentum is set to $L_{max} = l_{max}/2$ and the plane wave energy cut-off is set to $0.75E_c^{wvf}$, where E_c^{wvf} is the plane-wave energy cut-off.

	MnO ₂	FeO ₂	CoO ₂	NiO ₂
R_{MT}^X (a.u.)	2.24(2.16)	2.28(2.14)	2.23(2.11)	2.23(2.11)
R_{MT}^O (a.u.)	1.27(1.22)	1.29(1.21)	1.26(1.19)	1.26(1.19)
R_{MT}^{Ir} (a.u.)	2.45	2.35	2.37	2.34
E_c^{wvf} (a.u. ⁻¹)	4.7(4.9)	4.5(5.0)	4.7(5.0)	4.6(4.5)
E_c^{pot} (a.u. ⁻¹)	14.2(14.7)	13.8(14.9)	14.2(14.9)	14.1(13.0)

Table B.1: Convergence parameter used in the FLAPW and SPEX calculations for the unsupported (supported) chains. The R are the muffin-tin radii where the local basis functions are considered for each atom. The energy cut-offs of the interstitial planes and potential are given by E_c^{wvf} and E_c^{pot} . Values between the parenthesis are for the supported case.

B.2 cRPA calculation results

In Table B.2 we give the converged U and J values at each spin channel combination. The maximum spread between the different spin channels is ~ 0.5 eV for the U value and ~ 0.15 eV for the J .

	$U^{\uparrow\uparrow}$	$U^{\uparrow\downarrow}$	$U^{\downarrow\downarrow}$	$J^{\uparrow\uparrow}$	$J^{\uparrow\downarrow}$	$J^{\downarrow\downarrow}$
MnO ₂	6.21	5.95	5.73	1.04	0.95	0.89
MnO ₂ /Ir(100)	3.78	3.53	3.33	0.98	0.88	0.83
FeO ₂	7.67	7.38	7.12	1.13	1.04	0.97
FeO ₂ /Ir	1.38	-	1.32	0.80	-	0.73
CoO ₂	5.73	5.58	5.45	1.11	1.05	1.00
CoO ₂ /Ir	2.39	-	-	0.90	-	-
NiO ₂ (C1)	6.59	6.49	6.38	1.17	1.13	1.10
NiO ₂ (C2)	2.41	2.40	2.39	1.01	1.00	1.00
NiO ₂ /Ir	1.71	-	1.70	0.87	-	0.86

Table B.2: Averaged screened Coulomb parameter for different spin channels. All values in eV.

MnO₂ with 3 layers of Ir(100)

We calculate the Hubbard- U interaction for a three layered MnO₂/Ir system. We obtain $U = 3.86$ eV and $J = 1.00$ eV on a first iteration with cRPA. The obtained U value differs slightly by 0.12 eV from the two-layer case, suggesting that two layers are enough to characterize the screening due to Ir substrate. In Fig. B.1 we show the MLWFs band interpolation compared to the band structure obtained with FLEUR.

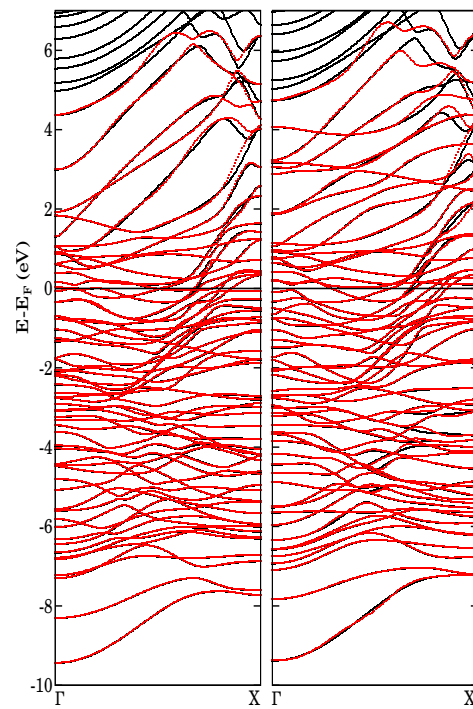


Figure B.1: Wannier band interpolation (FLAPW band structure) for MnO₂ with 3 layers of Ir in red (black).

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