

## EFFECTS OF Mg, Ca, AND Fe(II) DOPING ON THE KAOLINITE (001) SURFACE WITH H<sub>2</sub>O ADSORPTION

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**Abstract**—Kaolinite is often a cause of deformation in soft-rock tunnel engineering, leading to safety problems. The mechanism of the deformation is closely related to the interaction between kaolinite and water molecules. Because kaolinite has multiple defects, the effects of Mg, Ca, and Fe(II) doping on the atomic structure of the kaolinite (001) surface, and the subsequent adsorption and penetration of H<sub>2</sub>O into the interlayer, were studied systematically using density-functional theory. The results showed that for the Mg-, Ca-, and Fe(II)-doped kaolinites (001), the surface relaxation around the doping layer changed from contraction to expansion, due to the redistribution of electrons. The adsorption energies of the H<sub>2</sub>O monomer on Mg-, Ca-, and Fe(II)-doped kaolinites (001) were less than on undoped kaolinite (001). The results further revealed that the H<sub>2</sub>O molecule can also adsorb on the hollow site on the second-layer O surface of the Mg-, Ca-, and Fe(II)-doped kaolinites (001). For the undoped kaolinite, however, the H<sub>2</sub>O molecule adsorbs on the surface only. The energetic barriers for penetration of H<sub>2</sub>O from the adsorption site on the surface to the adsorption site on the O surface of Mg-, Ca-, and Fe(II)-doped kaolinites were also calculated: 1.18 eV, 1.07 eV, and 1.41 eV, respectively. The results imply that the influences of Mg, Ca, and Fe(II) doping on kaolinite allow the adsorbed water molecules to penetrate from the on-surface adsorption site to the O-surface site.

**Key Words**—Adsorption, First-principles Calculations, Kaolinite, Penetration, Point Defect.

### INTRODUCTION

Soft rocks rich in clay minerals can cause harm to tunnel engineering because, when adsorbing water, the mechanical strength of the clay minerals is reduced, leading to deformation of the rocks. In order to gain a better predictive understanding of the governing principles associated with this phenomenon, the interaction between clay minerals and water molecules requires further investigation (Roland *et al.*, 2011; Croteau *et al.*, 2009). Kaolinite is one of the most abundant components in clay minerals and understanding the interaction between kaolinite and water molecules is important to researchers in the fields of geophysics and geomechanics (Yoshihiko *et al.*, 1999; He *et al.*, 2009; Gupta and Miller, 2010; Yin and Miller, 2012). Due to the limitations of experimental methods, theoretical analysis of the mechanism from a microscopic point of view will help to solve the engineering problems. Computer simulation based on the density-functional theory (DFT) has been proven to be a powerful and reliable tool to study water–solid interfaces at the molecular level (Yang *et al.*, 2004; Park and Sposito, 2004). The behavior of water at the kaolinite (001) surface using DFT has been investigated (Hu and Angelos, 2008). However, as indicated by Hinckley indexes ranging from

1.44 to 0.18 (Plançon *et al.*, 1997), natural kaolinite includes a large range of defect elements (Figure 1). The primary contaminant cations are Mg, Ca, and Fe(II) and the concentration ranges are 0.07–0.71 wt.%, 0.14–0.54 wt.%, and 0.07–0.31 wt.%, respectively (Chen and Wang, 2004; Frost *et al.*, 2004). The influences of Mg, Ca, and Fe(II) doping on the interaction between H<sub>2</sub>O molecules and kaolinite have not yet been established (Jiang *et al.*, 2010; He *et al.*, 2000). Greater insight into the Mg, Ca, and Fe(II) doping effect of the interaction between water molecules and kaolinite (001), through detailed first-principles calculations, is needed.

The existing experimental (Adams, 1983; Benco *et al.*, 2001; Bish, 1993) and theoretical data (Hayashi, 1997; Hess and Saunders, 1992; Hobbs *et al.*, 1997; Plançon *et al.*, 1997; Teppen, *et al.*, 1997; Hu and Angelos, 2008) for the kaolinite Al<sub>2</sub>Si<sub>2</sub>O<sub>5</sub>(OH)<sub>4</sub> surface are often rationalized by modeling two surfaces as almost perfect 1:1 layer structures consisting of two different surfaces of aluminosilicate. One side consists of a gibbsite-type sheet where Al ions are coordinated octahedrally by oxygen ions and hydroxyl groups; the other side of the layer consists of a silica sheet in which Si ions are coordinated tetrahedrally by only oxygen ions (Sato *et al.*, 2005). While the silica-sheet side is saturated and hydrophobic, the hydroxyl at the Al (oxyhydr)oxide side is hydrophilic. The (001) (basal) surface of kaolinite is that which is mainly exposed. In particular, the hydroxylated (001) surface is of primary interest in adsorption and penetration studies. Moreover,

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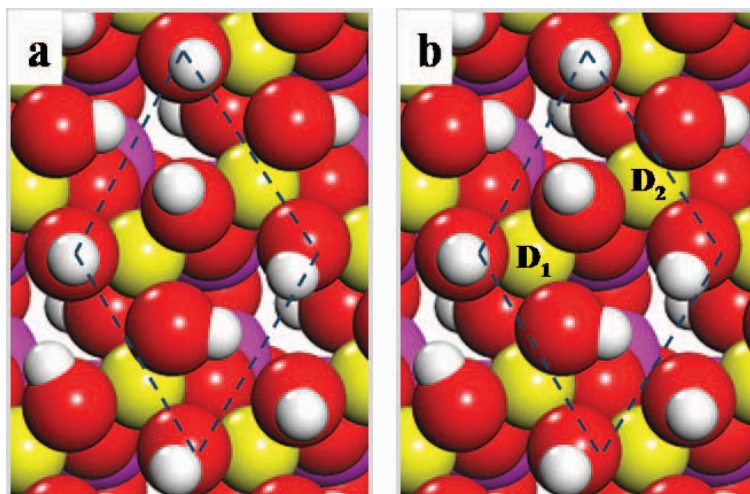


Figure 1. (a) Undoped kaolinite crystal structure seen from the hydroxylated (001) face. (b) Top view of two kinds of doping sites for defect-ion substitutions for Al in kaolinite ( $D_1$  and  $D_2$ ). Here, white spheres, red spheres, yellow spheres, and purple spheres represent H, O, Al, and Si, respectively.

because the void space between the second and third layers is large enough, the Al (001) face of the third layer is also of interest in adsorption studies such as the present one.

## METHODS

The first-principles calculations were performed using the Vienna *ab initio* simulation package, *VASP* (Kresse and Furthmüller, 1996). Projector augmented-wave (PAW) pseudopotentials (Blöchl, 1994; Kresse and Joubert, 1999) were used. The energy cutoff for the plane waves was 400 eV. The undoped, Mg-doped, Ca-doped, and Fe(II)-doped kaolinite (001) surfaces were modeled by a slab made up of six atomic layers and a vacuum region of 20 Å, which was found to be sufficiently convergent. All the calculations were performed in a four-formula unit  $\text{Al}_2\text{Si}_2\text{O}_5(\text{OH})_4$  supercell with an Al ion replaced by a defect ion. The  $2 \times 2 \times 1$  supercell was chosen to provide sufficient lattice sites to accommodate Mg, Ca, and Fe(II) concentrations as low as 1.47 mol.%. The  $\text{H}_2\text{O}$  molecule adsorbed and penetrated on one side of the slab. The Monkhorst–Pack scheme (Monkhorst and Pack, 1976) with  $2 \times 2 \times 1$   $k$  points was used to integrate in the irreducible bands around the Fermi energy ( $E_f$ ) by a finite- $T$  Fermi function and extrapolating to  $T = 0$  K. During geometry optimizations, two layers at the bottom of the undoped and doped kaolinite (001) surfaces were fixed while other atoms were free to relax until the forces acting on them were  $< 0.02$  eV/Å. The calculated lattice parameters of bulk kaolinite were  $a = 5.160$  Å,  $b = 5.160$  Å,  $c = 7.602$  Å,  $\alpha = 81^\circ$ ,  $\beta = 89^\circ$ , and  $\gamma = 60.18^\circ$ , in good agreement with experimental lattice parameters reported previously (Hess and Saunders, 1992). The bond length and the H–O–H internal angle of a free  $\text{H}_2\text{O}$

molecule were calculated to be 0.97 Å and  $104.6^\circ$ , respectively.

## RESULTS

The microscopic mechanisms of Mg, Ca, and Fe(II) ion doping in kaolinite were studied first before considering the effect of doping on the interaction between water molecules and kaolinite. The atomic structure for the relaxed kaolinite (001) surface was calculated (Figure 1a), during which the two kinds of high-symmetry doping sites ( $D_1$  and  $D_2$ ) for Mg, Ca, and Fe(II) to substitute for the Al ion in kaolinite were considered (Figure 1b). Following Wei and Zhang (2002), the defect formation energy  $\Delta H_f(\alpha, q)$  as a function of the Fermi energy  $E_f$  and atomic chemical potential  $\mu_i$  of the  $i$ th element were deduced. For the present system,  $\Delta H_f(\alpha, q)$  is given by:

$$\Delta H_f(\alpha, q) = \Delta E(\alpha, q) + n_{\text{Al}}\mu_{\text{Al}} + n_{\text{Si}}\mu_{\text{Si}} + n_{\text{A}}\mu_{\text{A}} + n_{\text{O}}\mu_{\text{O}} + n_{\text{H}}\mu_{\text{H}} + qE_f \quad (1)$$

Here,  $\Delta E(\alpha, q)$  can be determined by the following self-consistent total energy calculation:

$$\Delta E_f(\alpha, q) = \Delta E_f(\alpha, q) - E(\text{kaolinite}) + n_{\text{Al}}\mu_{\text{Al}}^0 + n_{\text{Si}}\mu_{\text{Si}}^0 + n_{\text{A}}\mu_{\text{A}}^0 + n_{\text{O}}\mu_{\text{O}}^0 + n_{\text{H}}\mu_{\text{H}}^0 + qE_{\text{VBM}} \quad (2)$$

$E(\alpha, q)$  is the total energy of the supercell containing the defect  $\alpha$  in charge state  $q$ ,  $E(\text{kaolinite})$  is the total energy of the defect-free supercell containing 68 atoms, and  $n_{\text{Al}}$ ,  $n_{\text{Si}}$ ,  $n_{\text{A}}$ ,  $n_{\text{O}}$ , and  $n_{\text{H}}$  are the number of Al, Si, extrinsic defects (A), O, and H ions in the supercell, respectively. In the present case, the kaolinite kept its equilibrium with bulk Al, Si, and doped ions under ambient conditions and, therefore,  $\mu_{\text{Al}}^0$ ,  $\mu_{\text{Si}}^0$ , and  $\mu_{\text{A}}^0$  were identical to the ground-state energies (per ion) of bulk Al (cubic close-packed), Si (diamond structure), and doped

ions, *i.e.*  $\mu_{\text{Al}}^0 = E_{\text{bulk}}(\text{Al})$ ,  $\mu_{\text{Si}}^0 = E_{\text{bulk}}(\text{Si})$ , and  $\mu_{\text{A}}^0 = E_{\text{bulk}}(\text{A})$ . Likewise, the chemical potentials  $\mu_{\text{H}}^0$  and  $\mu_{\text{O}}^0$  are given by half of the ground-state gas energies for hydrogen and oxygen molecules, respectively, *i.e.*  $\mu_{\text{H}}^0 = 0.5E_{\text{H}_2}$  and  $\mu_{\text{O}}^0 = 0.5E_{\text{O}_2}$ .  $E_{\text{F}}$  in equation 1 is the Fermi energy measured from the valence band maximum (VBM),  $E_{\text{VBM}}$ . Depending on the experimental growth conditions, some thermodynamic limits exist for chemical potentials. In the present study, the chemical potential of kaolinite was not considered, *i.e.* all the results calculated were discussed for  $\mu_{\text{i}} = 0$  in equation 1. The Mg, Ca, and Fe(II) defect-formation energies at D<sub>1</sub> doping sites were 3.25 eV, 3.31 eV, and  $-0.36$  eV, respectively, and at D<sub>2</sub> doping sites they were 3.15 eV, 3.19 eV, and  $-0.58$  eV, respectively. The results showed that Mg, Ca, and Fe(II) ions can easily substitute for Al ions. Interestingly, the Fe(II) ion has a negative formation energy, which means that the Fe(II) substitutes easily for the Al ion in kaolinite. The other defect ions, such as Mg and Ca as calculated above, require an observable amount of energy to substitute for the Al ion in kaolinite. Compared with the defect-formation energies at two doping sites, the results suggested that these three kinds of ions substitute more easily for the Al ion at the D<sub>2</sub> site.

The atomic structures for the relaxed kaolinite (001) surface (Figure 2), and of the Mg-, Ca-, and Fe(II)-doped kaolinite (001) surfaces were considered. During the geometry optimizations, the distances between the top-most four atomic layers of the undoped and doped kaolinite (001) were changed. To describe the changes more clearly, the surface relaxation is defined here as

$$\Delta d_{ij} = \frac{d_{ij} - d_0}{d_0} \quad (3)$$

where  $d_{ij}$  and  $d_0$  are the distance between the *i*th and *j*th layer of the relaxed surface and the corresponding distance between the *i*th and *j*th layer of bulk kaolinite along the (001) direction, respectively. The calculated relaxations for the undoped and for the Mg-, Ca-, and Fe(II)-doped kaolinite (001) surfaces are summarized in Table 1. The distances between the top-most four atomic layers of the undoped kaolinite (001) surface contracted by 1.06, 0.04, and 0.02%, respectively. After Mg ion doping at the third layer, the distance between the first

and second layer,  $d_{12}$ , decreased by 1.1%, but  $d_{23}$  and  $d_{34}$  expanded by 1.2 and 1.14%, respectively. Analogously, for the Ca-doped and Fe(II)-doped surfaces,  $d_{12}$  decreased by  $\sim 1.1$  and 1.25%, respectively. The values for  $d_{23}$  and  $d_{34}$  expanded by  $\sim 1.2\%$  for the Ca-doped and Fe(II)-doped surfaces. For the third layer, containing the doped Mg, Ca, and Fe(II) ions, the lattice spacing with respect to the nearest layer expanded considerably from that of bulk kaolinite.

One quantity tailored for the present study was the adsorption energy ( $E_{\text{ads}}$ ) of the adsorbed H<sub>2</sub>O molecule on Mg-, Ca-, or Fe(II)-doped kaolinite substrate, which is defined as:

$$E_{\text{ads}} = E_{\text{H}_2\text{O}} + E_{\text{substrate}} - E_{\text{H}_2\text{O}/\text{substrate}} \quad (4)$$

Here  $E_{\text{H}_2\text{O}}$ ,  $E_{\text{substrate}}$ , and  $E_{\text{H}_2\text{O}/\text{substrate}}$  are the total energies of the H<sub>2</sub>O molecule, the doped kaolinite surface, and the total adsorption system, respectively. According to this definition, a positive value of  $E_{\text{ads}}$  indicated that the adsorption was exothermic (stable) and a negative value indicated endothermic (unstable) reaction. A single water molecule adsorbed on the surface and the void space between second and third layers of doped kaolinite (001) were investigated to give a general understanding of the water–kaolinite bonds. Four kinds of high-symmetry adsorption sites (Hu and Angelos, 2008) for H<sub>2</sub>O were considered, including on-surface (three one-fold top sites T<sub>1</sub>–T<sub>3</sub>, three two-fold bridge sites B<sub>1</sub>–B<sub>3</sub>, and six three-fold hollow sites H<sub>1</sub>–H<sub>6</sub>) and Al-subsurface (one six-fold hollow site H<sub>7</sub>) of the Mg-, Ca-, and Fe(II)-doped kaolinites (Masel, 1996), respectively (Figure 3). The O ion of water was initially placed on the precise high-symmetry sites with various orientations of water with respect to the substrate.

For optimization, the water molecule and doped kaolinite were allowed to relax fully and all of the initial structures with the water molecule adsorbed at the top and at the bridge sites moved to the three-fold hollow sites on the surface, which have proven to be the most stable sites for water-molecule adsorption on the surface (Hu and Angelos, 2008). In addition, upon optimization, the H<sub>2</sub>O monomer was initially placed in the void space between the second and third layers relaxed to close the three-fold hollow site on the O-surface of the second layer of kaolinite. The adsorption energies of the water

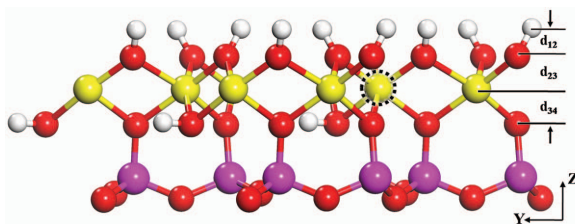


Figure 2. Atomic configurations of the kaolinite (001) surfaces. The yellow sphere marked with black dots represents the Al ion replaced by a defect.

Table 1. Surface relaxations ( $\Delta d_{12}$ ,  $\Delta d_{23}$ , and  $\Delta d_{34}$ ) of undoped and of Mg-, Ca-, and Fe(II)-doped kaolinites (001).

Surface	$\Delta d_{12}$ (%)	$\Delta d_{23}$ (%)	$\Delta d_{34}$ (%)
Kaolinite (001)	-1.06	-0.04	-0.02
Mg-doped	-1.10	1.20	1.14
Ca-doped	-1.10	1.23	1.09
Fe(II)-doped	-1.25	1.46	1.37

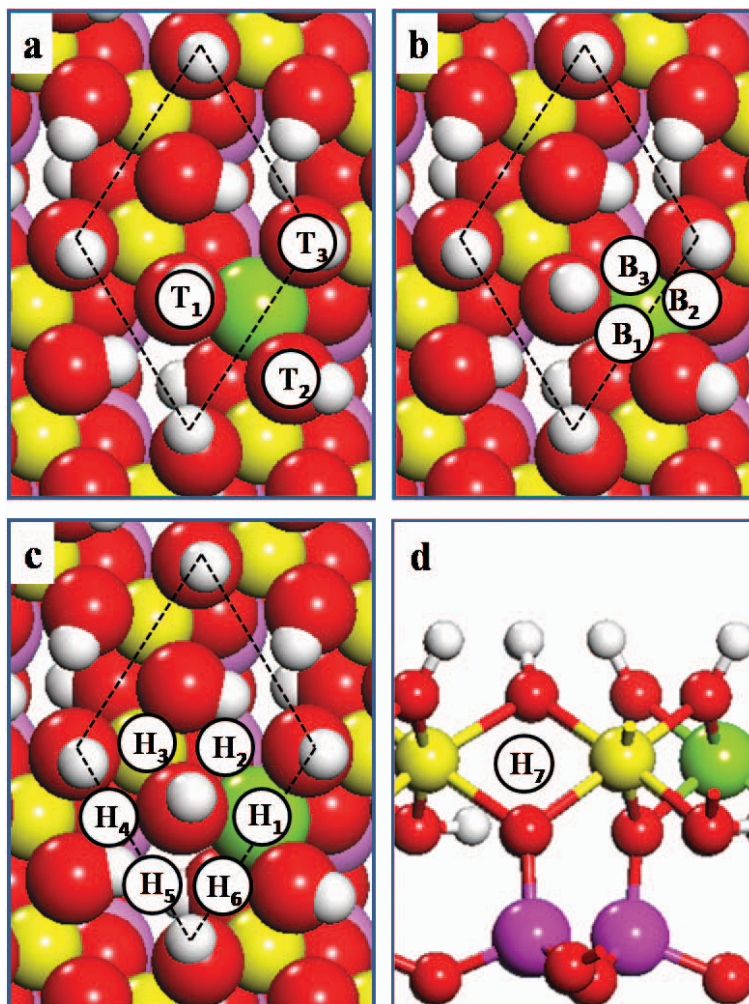


Figure 3. (a–c) Top view of defect-doped kaolinite (001) on the surface with three top adsorption sites ( $T_1$ – $T_3$ ), three bridge adsorption sites ( $B_1$ – $B_3$ ), and six three-fold hollow adsorption sites ( $H_1$ – $H_6$ ). (d) Side view of the void space of defect-doped kaolinite (001) with one six-fold adsorption site ( $H_7$ ).

adsorbate on Mg-, Ca-, and Fe(II)-doped kaolinites were calculated (Table 2). The adsorption on three-fold hollow sites on the surface of Mg-, Ca-, and Fe(II)-doped kaolinites were preferred energetically within an observable energy which ranged from 0.95 to

1.1 eV/ $H_2O$ , 0.83 to 1.03 eV/ $H_2O$ , and 1.00 to 1.08 eV/ $H_2O$ , respectively. At these sites the  $H_2O$  monomer sat upright (Figure 4a). The most stable adsorption was found to be the three-fold hollow site  $H_5$  of Mg-doped kaolinite. The O–H bond in  $H_2O$  was

Table 2. Calculated energies for monomer adsorption on six hollow adsorption sites on the surface and one hollow adsorption site on the Al surface of Mg-, Ca-, and Fe(II)-doped kaolinite (001). Adsorption energies,  $E_{ads}$  (in eV/ $H_2O$ ), are listed. The first row lists the calculated values for adsorption of water molecules on the undoped kaolinite (001) surface for comparison.

$E_{ads}$ (eV)	$H_1$	$H_2$	$H_3$	$H_4$	$H_5$	$H_6$	$H_7$
Undoped	1.07	1.06	1.10	1.06	1.15	1.07	–
Mg-doped	0.95	1.04	1.08	0.99	1.10	1.08	0.28
Ca-doped	0.83	0.96	0.85	0.90	1.03	0.90	0.26
Fe(II)-doped	1.01	1.07	1.02	1.03	1.08	1.00	0.20

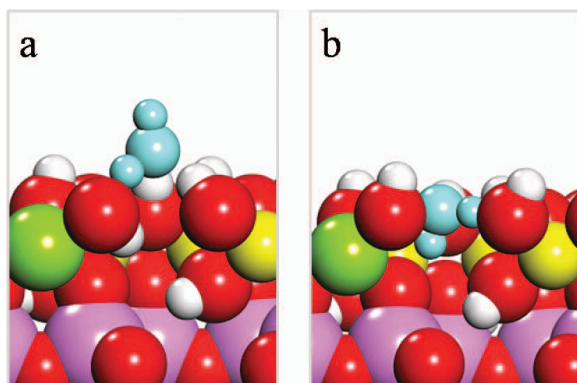


Figure 4. Side view of: an adsorbed water molecule on the surface of the hollow site (a); and the Al-surface hollow site (b) of defect-doped kaolinite.

elongated by 0.08 Å from a calculated gas phase value of 0.97 Å and the H–O–H internal angle was expanded by 5° from 104.6°.

In order to gain more insight into the precise nature of the chemisorbed molecular state, the electronic partial density of states (PDOS) of the H<sub>2</sub>O molecule and of the top-most H layer were calculated. As a typical example, the PDOS for the most stable adsorption configuration of H<sub>5</sub> was plotted. For comparison, the PDOS of the free H<sub>2</sub>O molecule and the top-most H layer of clean (*i.e.* kaolinite surface without H<sub>2</sub>O adsorption) Mg-doped kaolinite (001) were also calculated (Figure 5). The three-dimensional (3D) electron density difference  $\Delta\rho(r)$ , which was obtained by subtracting the electron densities of non-interacting component systems,  $\rho^{\text{kaolinite}(001)}(r) + \rho^{\text{H}_2\text{O}}(r)$ , from the density  $\rho(r)$  of the

H<sub>2</sub>O/kaolinite (001) surface, while retaining the atomic positions of the component system at the same location as in H<sub>2</sub>O/kaolinite (001), is shown in the inset of Figure 5a. A positive (blue)  $\rho(r)$  value indicated accumulation of electron density upon binding, while a negative (yellow) value corresponded to electron-density depletion. After adsorption, the 3 $\sigma$ , 4 $\sigma$ , and 5 $\sigma$  bonding molecular orbitals of H<sub>2</sub>O shifted down in energy by 0.35, 0.75, and 0.34 eV, respectively. The results were essentially caused by the different electronegativities of kaolinite and water molecules which induce charge redistribution and, thus, build a global electrostatic attraction between the water and substrate. In addition, the amplitudes of 1 $\pi$  bonding and 2 $\pi$  anti-bonding orbitals were much weaker than those in free H<sub>2</sub>O. Furthermore, the energy overlap between adsorbed H<sub>2</sub>O and kaolinite (001) surface electrons ranged from –8.5 eV to the Fermi energy. All these features indicated a covalent coupling between the adsorbed water and the substrate; no charge transferred from the electronic states of kaolinite back to the H<sub>2</sub>O molecule as no new orbital occupation in the PDOS of H<sub>2</sub>O was seen after adsorption. This result was substantiated by the 3D electron-density difference. A large charge accumulation existed between the adsorbate and the substrate, and three hydrogen bonds were formed, among which one donates electrons from the water monomer to the substrate while two donate electrons from surface hydroxyl groups to the water monomer.

The hollow site H<sub>7</sub> was proven to be the only stable adsorption site for the H<sub>2</sub>O monomer on the O surface of Mg-, Ca-, and Fe(II)-doped kaolinites. The adsorption energies for H<sub>7</sub> of Mg-, Ca-, and Fe(II)-doped kaolinites

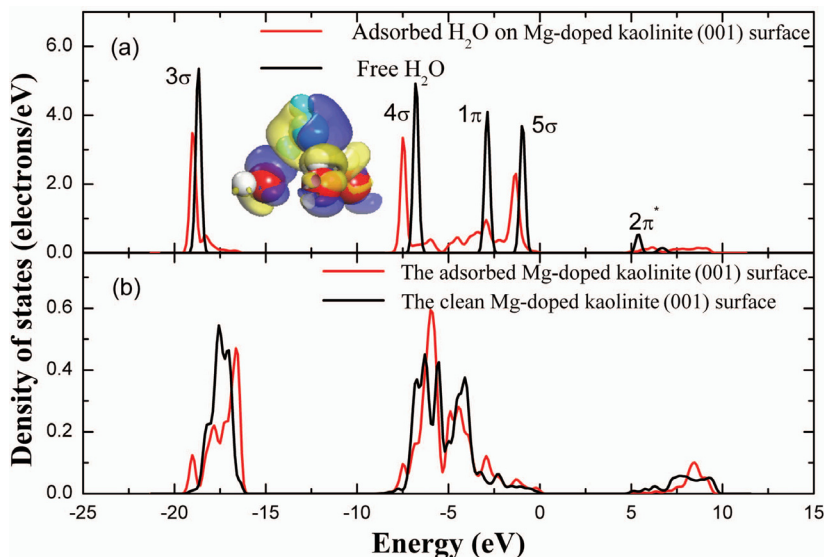


Figure 5. Electronic partial density of states plots for the H<sub>2</sub>O molecule and the top-layer H ions bonded to H<sub>2</sub>O at the stable three-fold hollow adsorption site on the surface: (a) free and adsorbed H<sub>2</sub>O molecule, where the inset shows the side view of electron density difference for a water molecule at the stable adsorption site; and (b) clean and adsorbed kaolinite (001) surface. The Fermi energy is set at zero.

were 0.28, 0.26, and 0.20 eV less than the on-surface adsorption sites, respectively. Compared with Ca-doped and Fe(II)-doped kaolinites, the adsorption site  $H_7$  of Mg-doped kaolinite had the largest adsorption energy. As a typical example, the O–H bond in  $H_2O$  was elongated to 1.09 Å from a calculated gas-phase value of 0.97 Å and the H–O–H internal angle was expanded by  $0.6^\circ$  from  $104.6^\circ$ . In the plane of the O-surface normal, one O–H bond of  $H_2O$  pointed to an oxygen ion as a proton donor and two hydroxyls of the surface pointed to the oxygen ion of the  $H_2O$  molecule. The other H ion of  $H_2O$  pointed to an oxygen ion of the fourth O layer (Figure 4b). In order to further understand the precise nature of the chemisorbed molecular state, the electronic PDOS of the  $H_2O$  molecule and the second O layer were plotted (Figure 6). The difference between the three-dimensional (3D) electron density  $\Delta\rho(r)$  and the density  $\rho(r)$  of the  $H_2O$ /Mg-doped kaolinite (001) surface is shown in the inset of Figure 6a. After adsorption, the  $3\sigma$  and  $4\sigma$  bonding molecular orbitals of  $H_2O$  shifted down in energy by 1.5 and 1.37 eV, respectively, while the  $5\sigma$  shifted up by 1.06 eV. In addition, the amplitudes of all bonding orbitals were much weaker than those in free  $H_2O$ . These features were essentially caused by the different electronegativities of the kaolinite and water molecules, which induced charge redistribution and, thus, built a global electrostatic attraction between the water and the O substrate. Furthermore, the s and p

electronic states of the adsorbed kaolinite (001) O surface expanded in energy compared with the clean kaolinite (Figure 6b,c). For Mg-doped surface states, new peaks appeared, aligning in energy with the  $3\sigma$ ,  $4\sigma$ , and  $5\sigma$  bonding orbitals of  $H_2O$ , indicating a weak hybridization contribution to the molecule–solid interaction. The results were substantiated by the 3D electron density difference. Between the adsorbate and substrate a large charge accumulation existed. To compare, the adsorption of the  $H_2O$  monomer on the same void space between the second and third layers of undoped kaolinite was calculated. The results revealed that the  $H_2O$  monomer cannot adsorb on the void space of undoped kaolinite (001). In fact, after relaxation, the water molecule initially placed in the void space will segregate spontaneously onto the surface without encountering an energy barrier.

Because the most favorable adsorption sites on the outer surface and at the O-surface were the three-fold hollow  $H_5$  and  $H_7$  sites, respectively, no geometric obstacle existed between  $H_5$  and  $H_7$ , leading to speculation that, at low temperature, the  $H_2O$  on surface hollow sites may penetrate to the O-surface hollow sites by overcoming a relatively low barrier. The penetration energy path from the  $H_2O$  of on-surface  $H_5$  to the O-surface  $H_7$  in the Mg-, Ca-, and Fe(II)-doped kaolinites using the nudged elastic band method (Roehl *et al.*, 2010) were investigated. The difference between the

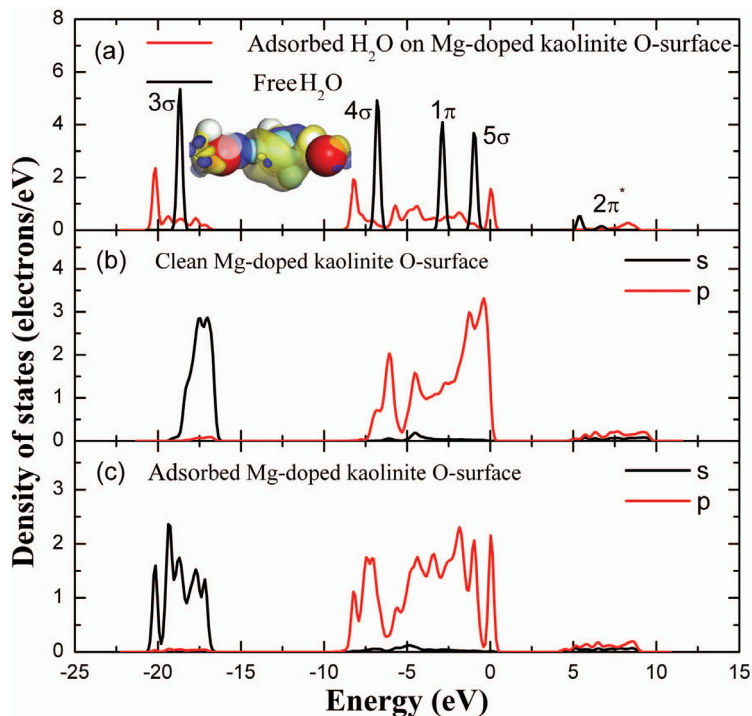


Figure 6. Electronic partial density of states plots for the  $H_2O$  molecule and the second-layer O ions bonded to  $H_2O$  at the stable hollow adsorption site on the subsurface: (a) free and adsorbed  $H_2O$  molecule, where the inset shows the electron density difference for the water molecule at the stable adsorption site; (b–c) clean and adsorbed kaolinite (001) O-surface. The Fermi energy is set at zero.

highest energy and that of the initial binding site was taken as the penetration barrier (Michaelides *et al.*, 2004). The penetration path between hollow  $H_5$  on-surface and hollow  $H_7$  O-surface sites was modeled using nine images. The route was investigated by moving  $H_2O$  from the initial to the final hollow site and seven linear interpolations between the initial and final positions. Given a  $H_2O$  monomer at the hollow site  $H_5$  on-surface, movement through the (001) surface to the hollow site  $H_7$  at the O surface was then investigated.

The activation energies,  $E_a$ , determined from the three penetration energy paths, were investigated. The  $E_a$  for a given route was the energy difference between the highest and lowest energy points along that route. The activation energies for the Mg-, Ca-, and Fe(II)-doping routes were calculated to be 1.18, 1.07, and 1.41 eV, respectively (Figure 7). The three penetration paths encountered two small, different activation barriers. For  $H_2O$  to penetrate from one hollow site on the surface to another hollow site at the O surface, a relatively small energy barrier must be overcome. The transition state, *i.e.* the atomic geometry of the energy maximum in the penetration path, corresponded to the atoms of the  $H_2O$

monomer at the surface H layer. When the  $H_2O$  monomer penetrated from  $H_5$  to  $H_7$ , the distance of the O ion from the top-most H layer changed from 0.9 to  $-0.7$  Å, 0.9 to  $-0.5$  Å, and 0.9 to  $-1.1$  Å, respectively.

## SUMMARY

The effects of the doping of Mg, Ca, and Fe(II) ions in the atomic structure of the kaolinite (001) surface and the adsorption and penetration behaviors of the  $H_2O$  molecule were examined using the plane-wave pseudo-potential formalism of DFT. The results showed that doping with Ca, Mg, or Fe(II) changed the surface atomic structure. Due to redistribution of electrons, the surface relaxation changed from contraction to expansion around the doping layer. The results showed that  $H_2O$  adsorbs preferentially on the surface three-fold hollow sites of Mg-, Ca-, and Fe(II)-doped kaolinites (001) with the adsorption energies ranging from 0.95 to 1.1 eV/ $H_2O$ , 0.83 to 1.03 eV/ $H_2O$ , and 1.00 to 1.08 eV/ $H_2O$ , respectively, which are less than undoped kaolinite. At the hollow sites, the  $H_2O$  molecule formed three hydrogen bonds with the surface hydroxyl groups.

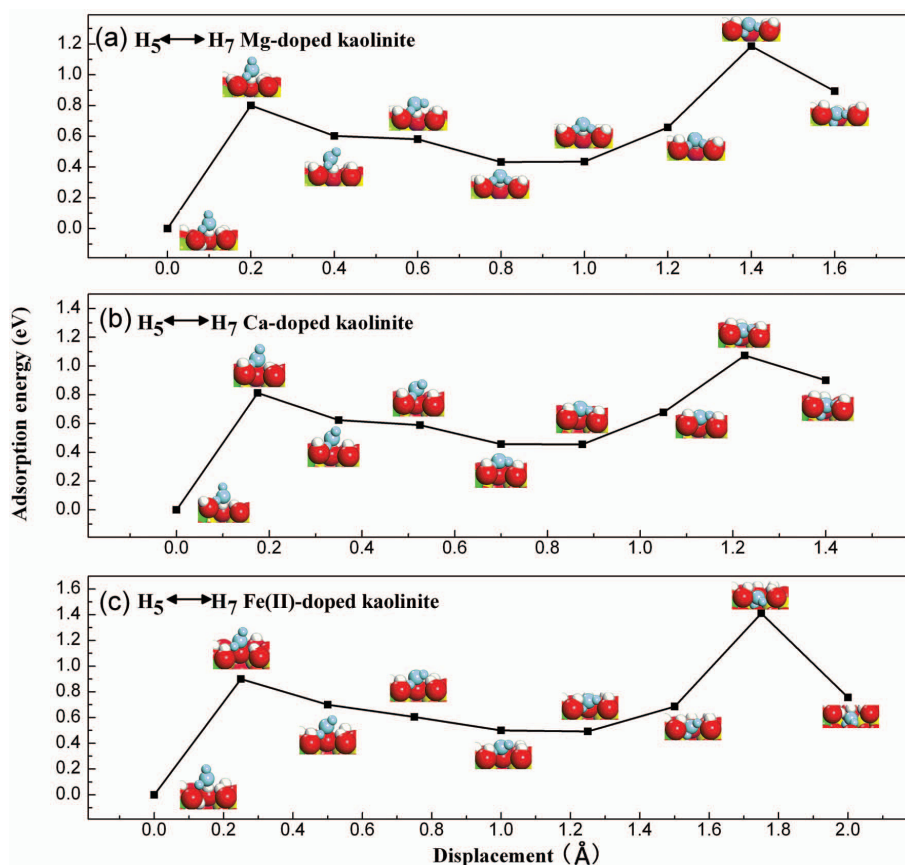


Figure 7. Variation in  $H_2O$  adsorption energy from the original three-fold hollow site for the  $H_2O$  penetration route on kaolinite (001). The structure of the initial, transition, and final states of the pathway are also shown. The solid lines connecting the data points are guides to the eye.

From PDOS and electron density difference analysis, the hollow site on the O surface also proved to be the only stable adsorption site for chemisorbed H<sub>2</sub>O of Mg-, Ca-, and Fe(II)-doped kaolinites. However, the H<sub>2</sub>O molecule cannot adsorb on the undoped kaolinite O surface. Finally, the energetic barriers for penetration of H<sub>2</sub>O from the adsorption site on the surface to an adsorption site on the O surface of Mg-, Ca-, and Fe(II)-doped kaolinites, which were 1.18, 1.07, and 1.41 eV, respectively, implied that the effects of Mg, Ca, and Fe(II) doping make it easier for water molecules to penetrate from the on-surface site to the O-surface site. The simulations above show the key role played by defects during the interaction between water and kaolinite, which explains the deformation problem for soft rocks, *i.e.* the reduction in mechanical strength and the increase in structural deformation of soft rock upon adsorption of water.

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